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# Digital twins in process engineering: An overview on computational and numerical methods

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## A R T I C L E I N F O

## A B S T R A C T

*Keywords:* Digital twin Process- and chemical engineering First-principle models Data-driven models Scientific machine learning Reduced-order modeling

A digital twin (DT) is an automation strategy that combines a physical plant with an adaptive real-time simulation environment, where both are connected by bidirectional communication. In process engineering, DTs promise real-time monitoring, prediction of future conditions, predictive maintenance, process optimization, and control. However, the full implementation of DTs often fails in reality. To address this issue, we first examine various definitions of DTs and its core components, followed by a review of its current applications in process engineering. We then turn to the computational and numerical challenges for building the simulation environments necessary for successful DTs implementation

## **Contents**



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<span id="page-1-3"></span>**Fig. 1.** Number of research works on DTs (published in English) according to the Web of Science over the last 10 years (2014 to October 2024).

## <span id="page-1-0"></span>**1. Introduction**

In recent years, industrial sectors have been under increasing pressure to optimize operations, improve efficiency, and reduce downtime. The rise of automation technologies, along with advances in data analytics and simulation, has paved the way for innovative solutions to these challenges. Among these, the digital twin (DT) concept has emerged as a key strategy for improving process control, operational insight, and risk management.

The growing interest in DTs is reflected in the increasing number of publications, as shown in [Fig.](#page-1-3) [1,](#page-1-3) which tracks English-language publications on DTs from 2014 to 2024. The data show a steady increase in research activity, and projections suggest that this upward trend will continue. Beyond academia, DTs is gaining traction in various industries, including chemistry, healthcare, and energy, as illustrated in [Fig.](#page-1-4) [2](#page-1-4). This widespread adoption highlights the potential for knowledge transfer and synergies between different sectors ([History](#page-17-0) Digital Twin, [2023\)](#page-17-0).

Despite the growing attention, the full potential of DTs remains largely unrealized. Many of the proposed benefits are still difficult to achieve in practice. Bridging this gap requires closer collaboration between academia and industry to align theoretical advances with realworld applications (National Academy of [Engineering](#page-18-0) and National Academies of Sciences, [Engineering,](#page-18-0) and Medicine, [2023](#page-18-0)).

This paper attempts to explore the current state of DTs in process engineering, with a focus on computational and numerical aspects. Following this introduction, Section [2](#page-1-5) discusses key definitions and enablers of DTs. Section [3](#page-2-2) reviews the existing literature on DTs in process engineering. Next, Section [4](#page-3-1) outlines numerical methods for model development with examples from process engineering. Finally, Section [5](#page-14-1) summarizes key findings and suggests directions for future research.

## <span id="page-1-1"></span>**2. Definitions and key enablers**

<span id="page-1-5"></span>This section presents various definitions of DT from the existing literature. Then, the key components that must come together to form a DT are presented.

## <span id="page-1-2"></span>*2.1. Definitions of digital twins*

<span id="page-1-6"></span>Despite being a prominent technological trend, the definition of DTs varies widely both between and within disciplines. In addition, the applications of DTs vary significantly across the various stages of product lifecycle management, including product design, engineering,



<span id="page-1-4"></span>**Fig. 2.** A schematic representation of the diverse applications of DTs across multiple industries. This illustration emphasizes the cross-industry nature of DTs and the potential for synergy and knowledge transfer between different fields.

procurement, construction, and plant operations ([Örs](#page-18-1) et al., [2020\)](#page-18-1). To highlight this inconsistency, Wright and [Davidson](#page-20-0) ([2020\)](#page-20-0) humorously reference a quote from the fictional character Humpty Dumpty in Lewis Carroll's Through the Looking Glass: *''When I use a word, it means whatever I want it to mean''.*

To provide a basic overview, we will explore the most important definitions of DTs below. For a detailed historical overview of the development and definitions of DTs, see [History](#page-17-0) Digital Twin ([2023](#page-17-0)). The concept of DTs was introduced by Michael Grieves during an industry presentation in 2002. Grieves defined DTs as consisting of three essential components: (1) a *physical entity in physical space*, (2) a *virtual entity in virtual space*, and (3) a *link between the physical and virtual entities that enables the exchange of data and information*. Importantly, according to this definition, a DT is not just the virtual part, but a system that integrates all three elements. Nevertheless, DT is often used as a buzzword for (very detailed) models. Clarifying this distinction is essential to avoid mischaracterizing DTs as a fleeting trend [\(Wright](#page-20-0) and [Davidson](#page-20-0), [2020](#page-20-0)).

Building on Grieves' original definition, [Jones](#page-17-1) et al. [\(2020](#page-17-1)) propose an expanded, standardized nomenclature for the DT concept. They define the *physical entity* as the object, the *physical environment* as its conditions, and the *physical processes* as the operations performed within this environment. Accordingly, they introduce *virtual entity*, *virtual environment*, and *virtual processes* to match the naming of the physical counterparts. Interactions are enabled by *physical-virtual connections* and *virtual-physical connections*, where a complete circuit requires both connections. If the virtual-physical connection is missing, the concept is referred to as a *digital shadow*, whereas if both connections are missing, it is called a *digital model* [\(Kritzinger](#page-17-2) et al., [2018\)](#page-17-2).

[Newrzella](#page-18-2) et al. ([2021](#page-18-2)) introduce cross-sectoral terms with a fivedimensional DT concept based on Grieves' three dimensions. These include (1) the *physical entity*, (2) its *characteristics*, (3) the *form of communication*, (4) the *virtual entity*, and (5) the *user-specific value added*. Various user-specific values, ranging from process design and optimization, risk reduction and maintenance ([Zalai](#page-20-1) et al., [2013\)](#page-20-1), to product quality prediction [\(Chen](#page-16-0) et al., [2020\)](#page-16-0) are reported [\(Mabkhot](#page-18-3) et [al.,](#page-18-3) [2018](#page-18-3)).

[Talkhestani](#page-19-0) et al. ([2019\)](#page-19-0) compare different DT definitions, focusing on architectures. Their analysis reveals common requirements, including a realistic digital representation of a physical entity with all relevant information. This information must include all operational characteristics, as well as organizational and technical details from the design phase. The authors further emphasized the need for permanent synchronization and interfaces between DTs for co-simulation and data exchange.

A broader definition focusing on the digital entity is provided by [Glaessgen](#page-17-3) and Stargel [\(2012](#page-17-3)) and [Tao](#page-19-1) et al. [\(2018](#page-19-1)). They describe it as an integrated, multi-physics, multi-scale, and probabilistic simulation of a complex product that uses the best available physical models and real-time sensor data to mirror the life cycle of its physical counterpart. In this view, a DT serves as a digital representation of a physical asset, process, or system, with real-time synchronization being critical. In addition, the authors emphasize the role of artificial intelligence (AI) and machine learning in improving decision-making and asset performance within DT systems. The level of sophistication required for the digital entity is a point of debate in the literature. While some advocate maximum detail and complexity, others argue for simplicity to avoid excessive system complexity (National [Academy](#page-18-0) of Engineering and National Academies of Sciences, [Engineering,](#page-18-0) and [Medicine,](#page-18-0) [2023;](#page-18-0) Ferrari and [Willcox](#page-16-1), [2024](#page-16-1); Willcox and [Segundo](#page-20-2), [2024\)](#page-20-2).

Several DT subcategories have been proposed, but these categories are not widely accepted. Firstly, an *operational* DT includes data management, process modeling, optimization, and production planning ([Örs](#page-18-1) et al., [2020\)](#page-18-1). In contrast, an *executable* DT is an autonomous model integrated into operational environments that represents only those aspects relevant to its specific application [\(Hartmann](#page-17-4) and van der [Auweraer,](#page-17-4) [2022](#page-17-4); [Eppinger](#page-16-2) et al., [2021](#page-16-2)). Additionally, a *hybrid* DT combines physics-based and data-driven methods [\(Chinesta](#page-16-3) et al., [2020](#page-16-3); [Kapteyn](#page-17-5) et al., [2022](#page-17-5)). *Structural* DTs apply to systems that change over time due to environmental or operational factors. Examples include wind turbines, nuclear reactors, gas turbine engines, and civil infrastructure. Finally, *virtual* DTs are traditional numerical models based on different discretization methods that do not continuously assimilate data [\(Abramovici](#page-15-5) et al., [2017;](#page-15-5) [Jones](#page-17-1) et al., [2020;](#page-17-1) [Chinesta](#page-16-3) et al., [2020](#page-16-3)).

For the remainder of this paper, we define a DT as an automation strategy that connects a physical plant to an adaptive real-time simulation environment through bidirectional communication. This environment may include multiple models with different characteristics. Our definition emphasizes that a DT is not just a detailed model, but a broad and flexible concept. Following National [Academy](#page-18-0) of Engineering and National Academies of Sciences, [Engineering,](#page-18-0) and [Medicine](#page-18-0) ([2023\)](#page-18-0), we emphasize that DT models should be fit for purpose, avoiding unnecessary complexity. In addition, we adopt the terminology of [Jones](#page-17-1) et al. [\(2020](#page-17-1)) to describe the relationship between the physical and virtual components of DTs.

The process engineering application of this definition is illustrated in [Fig.](#page-3-2) [3](#page-3-2). In this context, the connection between the physical and digital environments is always mediated by some form of actuation. To ensure the safe operation of the automated system, both human monitoring and intervention are always possible.

## <span id="page-2-0"></span>*2.2. Enablers of digital twins*

<span id="page-2-3"></span>For DTs to work effectively in scientific and industrial settings, several key components need to be in place. These components are outlined below:

• **Data acquisition and connectivity**: Reliable data acquisition systems with strong connectivity gather real-time data from physical assets. This involves using sensors [\(Kapteyn](#page-17-6) and Willcox, [2022](#page-17-6)), internet of things (IoT) devices, and other tools to collect accurate information.

- **Data integration**: Integrating data from sensors, historical records, and external databases provides a complete view of asset behavior. Semantic standards and communication protocols ensure that these models can interact effectively. One such semantic standard is the Asset Administration Shell, which provides a digital interface for physical assets, ensuring consistent data representation and interaction across systems [\(Industrie](#page-17-7) 4.0 Glos[sar,](#page-17-7) [2023](#page-17-7); [Wagner](#page-20-3) et al., [2017](#page-20-3); [Park](#page-18-4) et al., [2021\)](#page-18-4). In industrial automation, OPC-UA is a widely used protocol for secure and reliable machine-to-machine communication. It enables seamless data exchange between devices and systems, regardless of manufacturer, and supports both real-time and historical data ([Greppi](#page-17-8), [2010](#page-17-8); [Redeker](#page-19-2) et al., [2021\)](#page-19-2).
- **Data analytics**: Advanced data analysis extracts valuable information from the collected data. These methods help detect patterns, identify anomalies, and create predictive models that guide decision-making and optimization in DTs ([Kapteyn](#page-17-9) et al., [2020](#page-17-9); [Kapteyn](#page-17-6) and Willcox, [2022\)](#page-17-6). Machine learning methods are commonly employed to perform these tasks effectively.
- **Modeling and simulation**: The development of accurate and reliable simulation models that replicate the behavior and characteristics of physical assets is at the heart of DT. These models serve as the basis for virtual testing, optimization, and ''whatif'' scenarios within the DT environment. This DT component is discussed in detail in Section [4.](#page-3-1)
- **Co-simulation**: The integration of multiple models from different domains improves the accuracy of DTs. Co-simulation allows models — for example, of subsystems or with different levels of detail — to interact in real time. Each model works with its native solver, and a common interface ensures seamless data exchange between them. In this way, subsystems that form a coupled problem are modeled and simulated in a distributed manner [\(Talkhestani](#page-19-0) et al., [2019](#page-19-0)).
- **Cloud computing and big data infrastructure**: The scalability and processing power of cloud computing and big data infrastructure manage the large volumes of data generated. These technologies enable the storage, processing, and analysis of large data sets [\(Kapteyn](#page-17-6) and Willcox, [2022;](#page-17-6) Data [Digital](#page-16-4) Twin, [2023](#page-16-4)).
- **Cybersecurity and privacy**: Because DTs often handles sensitive or critical data, strong cybersecurity measures and privacy protocols are necessary. Protecting the integrity, confidentiality, and availability of data maintains trust and ensures the secure operation of DTs systems ([Balta](#page-15-6) et al., [2023\)](#page-15-6).
- **Visualization and user interfaces**: Visualization and interactive user interfaces make DTs usable and effective. This improves decision-making and process understanding.

## <span id="page-2-1"></span>**3. Digital twin applications in process engineering**

<span id="page-2-2"></span>The enablers mentioned in Section [2.2](#page-2-3) have become more and more available for process engineering applications, which increases the exploration of DTs [\(Kockmann](#page-17-10), [2018](#page-17-10); [Bamberg](#page-15-7) et al., [2021\)](#page-15-7). These DTs promise several benefits such as real-time monitoring, predictive maintenance, process design, optimization, control, and deeper understanding of the system [\(Bamberg](#page-15-7) et al., [2021](#page-15-7); [Yang](#page-20-4) et al., [2020](#page-20-4)). Overall, they are expected to improve efficiency, reduce time-to-market, save costs, and increase productivity ([Kockmann](#page-17-10), [2018\)](#page-17-10).

In the process industry, the concept of DTs has roots that predate the formal definition of the term itself ([Bequette,](#page-16-5) [2019](#page-16-5)). In particular, in the 1990s, Natori and [O'Young](#page-18-5) [\(1996](#page-18-5)) envision an advanced closed-loop chemical plant that integrated multiple technologies and incorporated environmental and sustainability considerations, even before the term DT was coined. These authors also pioneered the first steps in implementing real-time capabilities in existing plants.

Despite early efforts, DT terminology remains inconsistent within the field of process engineering, and the full implementation of a



<span id="page-3-2"></span>Fig. 3. Schematic of the DT concept in process engineering, illustrating the integrated flow between physical and digital environments. The digital entity includes data preprocessing, process modeling, and scenario exploration. An actuator enables real-time control and predictive maintenance by connecting the digital and physical environments.

DT system remains a challenge. In addition, comprehensive studies are difficult to find because the term DT is often used synonymously with model. Despite these challenges, recent research highlights the potential of the DT concept. For example, [He](#page-17-11) et al. ([2019\)](#page-17-11) propose a data-driven DT for chemical processes that includes monitoring, diagnostics, and control. The system is optimized online to increase safety and reduce variability. Similarly, [Min](#page-18-6) et al. [\(2019\)](#page-18-6) present a DT for the petrochemical industry that leverages IoT data, machine learning, and a feedback loop. This DT provides a real-time replica of the process, leading to cost and efficiency optimization. In addition, [Kender](#page-17-12) et al. ([2021\)](#page-17-12) describe a DT for an air separation unit that integrates historical and real-time data, and demonstrates its economic viability through two case studies. Future implementations include the development of a DT for an offshore power-to-X process ([Dittler](#page-16-6) et al., [2022;](#page-16-6) [Rentschler](#page-19-3) et [al.,](#page-19-3) [2023](#page-19-3)).

Several studies focus on the development of individual DT components, each contributing to different aspects of the field. Below are some of the most important and recent works. [Aversano](#page-15-8) et al. ([2019\)](#page-15-8) present reduced-order models (ROMs) for the simulation of combustion systems within a DT. [Lopez](#page-18-7) et al. [\(2020](#page-18-7)) introduce a soft sensor for monitoring cellulose-to-ethanol fermentation, creating a *digital shadow*. In the field of battery management, [Wu](#page-20-5) et al. [\(2020](#page-20-5)) review the use of models, data, and AI, and propose an unvalidated framework aimed at improving control and extending the life of lithium-ion batteries. Scaling up solid oxide fuel cells using pilot scale models and data is explored by [Kang](#page-17-13) et al. ([2021\)](#page-17-13). Meanwhile, [Helgers](#page-17-14) et al. ([2022\)](#page-17-14) develop a dynamic metabolic model for the production of HIV gag virus-like particles that can be integrated into a DT for model-based control with process-analytical detectors. In addition, [Wang](#page-20-6) et al. ([2023a\)](#page-20-6) propose a noise-accounting model identification approach focused on dynamic data, which is demonstrated using the Rössler attractor and a diesel hydrotreating unit. [Edington](#page-16-7) et al. ([2023\)](#page-16-7) present a state-dependent weighting technique for model integration, demonstrated using synthetic data in a two-tank, single-pump system. Moreover, [Wang](#page-20-7) et al. ([2023b\)](#page-20-7) develop a DT for predicting composite quality by integrating a static autoclave model and a dynamic composite model, validated with experimental data. [Hassan](#page-17-15) et al. [\(2024](#page-17-15)) employ a virtual realitybased bioreactor simulation that trains operators by simulating rare events and evaluating their responses. Finally, [Soesanto](#page-19-4) et al. ([2024\)](#page-19-4) refine models of a primary separation vessel to more accurately reflect the actual separation process, using industry data and techniques such as Bayesian optimization, step testing, and sensitivity analysis to parameterize the model.

In addition to developing custom DTs, the process industry has explored commercial software (de Beer and [Depew](#page-16-8), [2021](#page-16-8)). Companies

like AspenTech ([Aspentech](#page-15-9) Digital Twin, [2023](#page-15-9)), gPROMS (PSE [Digital](#page-19-5) [Twin,](#page-19-5) [2023\)](#page-19-5), and AVEVA ([AVEVA](#page-15-10) Digital Twin, [2023\)](#page-15-10) offer software for real-time simulation, optimization, analytics, and control. The solutions use machine learning and AI algorithms, offering a comprehensive approach to DT technology.

Several resources are recommended for further reading. [Herwig](#page-17-16) et [al.](#page-17-16) [\(2021a](#page-17-16)[,b\)](#page-17-17) provide a comprehensive two-volume series on DTs in biomanufacturing. In addition, [Thelen](#page-19-6) et al. [\(2022](#page-19-6), [2023\)](#page-19-7) offer a two-part series that reviews DTs, including a case study on battery modeling and a discussion of uncertainty quantification. ([Guo](#page-17-18) et al., [2023\)](#page-17-18) explore the maturity of DTs components in manufacturing, with electrochemical machining as a key example. [Vassiliadis](#page-20-8) et al. ([2024\)](#page-20-8) provide a process systems engineering perspective, emphasizing the need for improved modeling and simulation tools to fully realize the potential of DTs. Similarly, [Walmsley](#page-20-9) et al. ([2024\)](#page-20-9) discusse the role of self-adaptive DTs in energy-intensive industries, emphasizing its importance for optimizing energy efficiency. Finally, [Bizon](#page-16-9) [\(2023](#page-16-9)) focuses on simulation methods in process engineering, with particular attention to model-order reductions (MORs) techniques.

## <span id="page-3-0"></span>**4. Numerical methods for digital twins in process engineering**

<span id="page-3-1"></span>This section examines the simulation environment within DTs. Models used in DTs face several challenges, both cross-industry and processengineering specific, especially when integrated into high-volume production environments (Willcox and [Segundo](#page-20-2), [2024](#page-20-2)). These challenges include managing large datasets, handling diverse models, addressing prediction discrepancies, and facilitating autonomous updates. In addition, issues such as model transparency, privacy, cybersecurity, ethical considerations, and human-machine interaction must be addressed ([Balta](#page-15-6) et al., [2023;](#page-15-6) [Hartmann](#page-17-4) and van der Auweraer, [2022\)](#page-17-4).

In process engineering, modeling presents unique complexities due to the high dimensionality and interconnected nature of physical and chemical processes at multiple scales ([Bhutani](#page-16-10) et al., [2006](#page-16-10); [Niederer](#page-18-8) et [al.,](#page-18-8) [2021\)](#page-18-8). Data scarcity, resulting from the static nature of process engineering and limited dynamic data collection, complicates the modeling process. Measurement uncertainties introduce additional inaccuracies. Despite these difficulties, accurate simulations must predict system behavior and optimize performance.

To address these challenges, we provide an overview of mathematical tools and methods for constructing DTs, covering both theoretical and practical aspects. To address these challenges, we provide an overview of mathematical tools and methods for constructing DTs, covering both theoretical and practical aspects, and discuss their applications in process engineering and related fields.



<span id="page-4-2"></span>**Fig. 4.** Hierarchical loop concept in the DT development [\(Asch,](#page-15-11) [2022\)](#page-15-11).

This section is organized around the hierarchical loop concept illustrated in [Fig.](#page-4-2) [4,](#page-4-2) which includes three interrelated loops: the physical problem-solving loop (inner loop), the optimization loop (outer loop), and the decision loop (outer-outer loop). The physical problem-solving loop focuses on modeling the physical problem itself. The optimization loop includes techniques such as parameter estimation, uncertainty quantification (UQ), co-simulation, control, and solving inverse problems. We will first explore the inner loop before moving on to the outer loops. The outer-outer loop is primarily concerned with goals and strategies rather than mathematical methods, and will not be discussed here.

## <span id="page-4-0"></span>*4.1. Physical problem-solving loop*

The physical problem-solving loop involves models describing the underlying physical system. The solutions of those models are called simulations. Simulations allow for accurate evaluation of the system response and thereby reduce the number of experimental tests. An example of a generic simulation is given in [Fig.](#page-5-0) [5](#page-5-0).

Modeling dynamic systems such as chemical plants typically involves either *mechanistic models*, *data-driven models*, or a combination of both. Mechanistic models are based on physical laws, while data-driven models are based on empirical or measured data. In many cases, mechanistic models may be too computationally intensive to solve directly, leading to the use of surrogate models that approximate the original problem and reduce computational requirements. Surrogate models can range from ROMs to data-driven models trained on mechanistic data. However, data-driven methods are not limited to surrogates; they are also powerful stand-alone tools. ROMs are discussed in Section [4.1.4](#page-8-1), while methods for building data-driven models and surrogates can be found in Sections [4.1.2](#page-6-1) and [4.1.3](#page-7-1). For a thorough overview of surrogate models in chemical engineering, see McBride and [Sundmacher](#page-18-9) ([2019\)](#page-18-9) and [Peterson](#page-18-10) et al. ([2024b](#page-18-10)).

## <span id="page-4-1"></span>*4.1.1. Equations in mechanistic models: linear, nonlinear, differential, and stochastic forms*

<span id="page-4-3"></span>In process engineering, mechanistic models use mathematical equations to describe chemical systems based on physical principles such as conservation laws, thermodynamics, and transport kinetics. To accurately model chemical processes, hierarchical frameworks represent the system at different levels of abstraction, e.g. from molecular to production scale (Freund and [Sundmacher,](#page-16-11) [2011\)](#page-16-11).

However, mechanistic models are challenged by knowledge gaps and algorithmic inaccuracies that lead to mismatches with real-world processes. Building mechanistic models is often time and resourceconsuming, especially for complex systems with poorly understood

interactions. In addition, solving mechanistic models is computationally demanding. However, when well implemented, mechanistic models effectively simulate complex chemical processes and provide strong predictive capabilities [\(Bhutani](#page-16-10) et al., [2006](#page-16-10); [Pantelides](#page-18-11) and Renfro, [2013\)](#page-18-11).

In the realm of mechanistic models, we encounter two main categories: *Unit-based* and *function-based* models. *Unit-based* models focus on individual plant units such as reactors and heat exchangers. These models are often presented visually as flow diagrams that provide a clear picture of all unit operations. In contrast, *function-based* models encapsulate the overall behavior of the chemical system. They account for the flow of mass, energy, and momentum across system boundaries. Two examples of *function-based* models are the elementary process function (EPF) method and the FluxMax approach. The EPF method dynamically optimizes its process path by manipulating Lagrangian matter elements (Freund and [Sundmacher,](#page-16-12) [2008;](#page-16-12) [Peschel](#page-18-12) et al., [2010](#page-18-12)). The FluxMax approach segments the state space into discrete thermodynamic states and models the transition between them with elementary processes. This results in a network flow optimization problem ([Liesche](#page-18-13) et [al.,](#page-18-13) [2019](#page-18-13); [Schack](#page-19-8) et al., [2020](#page-19-8); Svitnič and [Sundmacher](#page-19-9), [2022](#page-19-9)).

Despite the variety of approaches to mechanistic modeling, the same types of equations appear: *algebraic equations*, *differential equations*, and *stochastic equations*. For each of these types of equations, there are established numerical methods for solving or estimating their solutions. An overview of possible solutions for all types of equations is given in [Table](#page-5-1) [1](#page-5-1).

**Systems of linear and nonlinear equations:** Systems of equations are divided into two categories: *Linear* and *nonlinear*. *Linear equations*, represented as  $Ax = b$ , are characterized by direct relationships between variables. Here,  $A \in \mathbb{R}^{m \times n}$  is the coefficient matrix,  $x \in \mathbb{R}^n$  the vector of variables, and  $\mathbf{b} \in \mathbb{R}^m$  the vector of known constants. The power of each variable in a linear equation is one, which results in a straight line when plotted in two dimensions. Solving linear equations involves finding values of x that (approximately) satisfy the equation. Methods for solving linear equations include direct techniques, such as Gaussian elimination, and iterative approaches, such as Newton's method ([Golub](#page-17-19) and van Loan, [2013\)](#page-17-19). The choice of the numerical scheme depends on factors such as the desired spatial and temporal accuracy, requiring careful consideration of shocks, breaking points, and other discontinuities ([Rheinboldt,](#page-19-10) [1998](#page-19-10)).

*Nonlinear equations* represent more complicated interactions between variables. They are expressed as  $G(x) = 0$ , where  $G : \mathbb{R}^n \to \mathbb{R}^m$  is a vector-valued function. Solving nonlinear equations involves finding the vector  $x \in \mathbb{R}^n$  that (approximately) satisfies  $G = 0$ . Nonlinear equations may involve higher powers of variables, exponential functions, logarithms, or other mathematical functions that introduce complexity beyond simple proportionality. As a result, the graph of a nonlinear equation takes on a variety of shapes, such as parabolas, circles, or exponential curves, depending on the specific form of the equation. Methods for solving nonlinear equations include bracketing methods such as the bisection method, iterative methods such as Newton– Raphson and secant methods, and optimization techniques such as Gauss–Newton and gradient descent algorithms. Each is tailored to the specific characteristics of the problem.

Process engineering applications: In process engineering, systems of equations model complex phenomena such as chemical reactions, phase equilibria, and physical interactions. For example, heat transfer calculations in heat exchangers demonstrate linear behavior, while temperature-dependent reaction rates, described by the Arrhenius equation, illustrate nonlinear behavior.

**Differential equations:** Differential equations describe a system's dynamics, e.g., how variables change with factors such as temperature or pressure. *Ordinary differential equations (ODEs)* are differential equations dependent on one single independent variable. A system of  $n$ 



**Fig. 5.** Diagram describing the simulation of dynamical systems.

<span id="page-5-1"></span><span id="page-5-0"></span>



first-order ordinary differential equations (ODEs) takes the following form:

$$
\begin{cases} \frac{d}{dt}\mathbf{x}(t) = F(t, \mathbf{x}(t)), & t \in I, \\ \mathbf{x}(t_0) = \mathbf{x}_0, \end{cases}
$$
\n(1)

In this equation,  $F : \mathbb{R} \times \mathbb{R}^n \to \mathbb{R}^n$  is a vector-valued function,  $\mathbf{x} \in \mathbb{R}^n$  is the variable vector, *I* is the interval of interest, and  $\mathbf{x}_0$  is the initial condition at time  $t = t_0$ . Solving ODEs involves various numerical methods, including forward and backward approaches. Choosing a method depends on accuracy requirements and whether the problem is stiff or non-stiff [\(Golub](#page-17-19) and van Loan, [2013\)](#page-17-19). In addition, artificial neural networks (ANNs)-based methods, such as physics-informed neural networks (PINNs), solve complex or high-dimensional ODEs by approximating the solution with neural networks.

*Partial differential equation (PDE)* involve multiple variables and their partial derivatives, modeling dynamic systems with spatial and temporal variations. While PDEs are ideal for such modeling, many process models are simplified to differential-algebraic equations (DAEs) or ODEs by assuming steady states or negligible spatial variations. Various methods solve PDEs, with discretization being the most common. The finite difference method (FDM) approximates the PDE derivatives by finite differences and converts them into algebraic equations. The finite volume method (FVM) integrates PDEs over control volumes and calculates boundary flows to satisfy conservation laws, making it ideal for mass, momentum, or energy conservation simulations. Finite element method (FEM) subdivides the domain into elements and uses variational methods. In addition, as with ODEs, ANN methods can solve PDEs.

*Partial differential equations (PDEs)* consist of differential and algebraic equations and typically arise from the spatial discretization of PDEs. They capture the interplay between conservation laws or statedependent equations. Unlike ODEs, which rely on integration, DAEs involve differentiation in their solution, requiring specialized numerical techniques (Ascher and [Petzold,](#page-15-12) [1998a;](#page-15-12) Kunkel and [Mehrmann,](#page-18-14) [2006](#page-18-14); Ascher and [Petzold](#page-15-13), [1998b\)](#page-15-13). While index reduction methods simplify DAEs by converting algebraic constraints into differential relations, direct discretization methods are also applicable, as mentioned in Chapter 10 of Ascher and [Petzold](#page-15-13) ([1998b](#page-15-13)). Reduced DAEs are solved using numerical integrators like Euler or Runge–Kutta methods, chosen based on the system's stiffness.

Process engineering applications: In process engineering, differential equations are critical for modeling conservation laws such as mass, energy, and momentum balances. Recent advances include Ji et [al.](#page-17-20) ([2021\)](#page-17-20), which employ a PINN framework for stiff chemical kinetics, and [Langiu](#page-18-15) et al. ([2021](#page-18-15)), which present a differential–algebraic modeling framework for optimizing energy systems.

**Stochastic Equations:** Stochastic differential equations model processes influenced by random forces or fluctuations, capturing behaviors affected by inherent variability, environmental noise, and uncertain parameters. A general form of a stochastic differential equation is:

$$
\frac{d\mathbf{Z}}{dt} = \mathcal{F}(\mathbf{Z}, t) + \mathcal{G}(\mathbf{Z}, t) \cdot \eta(t),\tag{2}
$$

where **Z** is the systems' state variable, *t* is time,  $F(\mathbf{Z}, t)$  is the deterministic part,  $G(Z, t)$  is the stochastic part, and  $\eta(t)$  is the random noise term. Solving stochastic differential equations involves strong approximation methods, such as the Euler–Maruyama method for approximating the

<span id="page-6-2"></span>

solution path, and weak approximation methods, such as Monte Carlo (MC) simulation for estimating probability distributions.

Process engineering applications: Process engineers use stochastic equations to study noisy chemical reactions, analyze system variability, and assess robustness, reliability, and risk [\(Ripley](#page-19-11), [2009;](#page-19-11) [Prévôt](#page-19-12) and [Röckner,](#page-19-12) [2007](#page-19-12)). Stochastic differential equations are useful for constructing Markov processes with predetermined statistical properties that model random disturbances in process plants [\(King,](#page-17-21) [1974](#page-17-21)). In Pineda and [Stamatakis](#page-18-16) [\(2018](#page-18-16)), stochastic modeling of surface reactions using the Langevin equation generates stochastic realizations of the Fokker–Planck equation, considering test cases of a single species for adsorption, desorption, reaction, or diffusion on a lattice.

## <span id="page-6-0"></span>*4.1.2. Data-driven models*

<span id="page-6-1"></span>Data-driven models use historical, sensor, and simulation data to predict complex system behavior through statistical techniques. The data characteristics and the process being modeled determine the best data-driven approach. For an overview of the data-driven category, see [Table](#page-6-2) [2](#page-6-2).

Data-driven models are increasingly popular in process engineering [\(Pirdashti](#page-18-17) et al., [2013;](#page-18-17) [Kockmann,](#page-17-10) [2018](#page-17-10); [Venkatasubramanian](#page-20-10), [2019;](#page-20-10) [Shang](#page-19-13) and You, [2019;](#page-19-13) Md [Nor](#page-18-18) et al., [2020;](#page-18-18) [Schweidtmann](#page-19-14) et al., [2021;](#page-19-14) [Pistikopoulos](#page-18-19) et al., [2021](#page-18-19)) due to their ability to be built without prior knowledge of underlying physics. They effectively handle nonlinear relationships, a common challenge for mechanistic models, and offer faster decision-making due to computational efficiency. However, challenges include ensuring model reliability, addressing confidence limits, and dealing with ethical concerns like data security ([Wang](#page-20-11) et al., [2021;](#page-20-11) [Pistikopoulos](#page-18-19) et al., [2021](#page-18-19)). Additionally, data-driven models often rely on sparse, noisy data and might miss critical phenomena such as faulty operations [\(Sansana](#page-19-15) et al., [2021](#page-19-15)). Design of experiments (DOE) helps address these issues by systematically collecting relevant data to improve model quality and reliability [\(Pan](#page-18-20) et al., [2022](#page-18-20); [Sharma](#page-19-16) [and](#page-19-16) Liu, [2022](#page-19-16)).

**Data-driven model infrastructure:** Robust data-driven models require a structured infrastructure for *data storage*, *preprocessing*, *parameter optimization*, *feature selection*, and *model evaluation* [\(Raschka](#page-19-17) and Mirjalili, [2019\)](#page-19-17). Efficient data storage systems like databases or data warehouses manage large datasets. *Data preprocessing* includes cleaning, normalization, noise reduction, and dimensionality reduction to prepare data for model training. After preprocessing, *feature selection* identifies relevant variables, improving accuracy and performance. During model development, *optimization algorithms*, such as stochastic gradient descent (SGD), adjust model parameters based on loss gradients [\(Kingma](#page-17-22) and Ba, [2014](#page-17-22); Lydia and [Francis](#page-18-21), [2019\)](#page-18-21), affecting model accuracy. *Model evaluation* applies metrics like accuracy and precision to assess generalizability, with ongoing validation and monitoring essential to detect performance changes.

**Supervised learning:** Supervised learning builds data-driven models using labeled data sets, where the data contains corresponding outcomes for the model to predict. These models include *regression*, *classification*, and *active learning*. *Regression models* predict continuous outcomes, such as chemical process yield, while *classification models* classify inputs into discrete classes, such as determining process states.

*Active Learning Models* optimize data labeling by selecting the most informative data points for training. Supervised learning algorithms can be adapted to different tasks by modifying learning objectives and loss functions, with common methods including

- ANNs, which model nonlinear relationships using layers of interconnected nodes (neurons) that process inputs through activation functions.
- Gaussian processess (GPs), which provide a probabilistic approach, useful for limited data sets, and offer predictions with confidence intervals.
- Decision trees, which model complex decision processes by recursively splitting the data into branches based on feature values.
- Random forests, which combine multiple decision trees trained on random subsets of the data to improve accuracy and reduce the risk of overfitting.
- Support vector machines (SVMs), which identifies the optimal hyperplane for class separation or regression, with a margin of error.

Process engineering applications: Supervised learning methods have proven to be highly effective in modeling, prediction, and optimization in various process engineering applications. For example, [Willis](#page-20-12) et al. ([1991\)](#page-20-12) provide a comprehensive review of ANNs used in chemical engineering, while [Deringer](#page-16-13) et al. ([2021\)](#page-16-13) review GPs regression methods for materials science. In addition, Ma and [Wang](#page-18-22) ([2009\)](#page-18-22) automate decision trees for chemical process control, and [Partopour](#page-18-23) et al. ([2018\)](#page-18-23) apply random forests to microkinetic models. The use of support vector machines (SVMs) in chemical property prediction is explored in [Ivanciuc](#page-17-23) ([2007\)](#page-17-23). Research in active learning demonstrates how the iterative design of experiments can significantly reduce the burden of reaction screening ([Eyke](#page-16-14) et al., [2020](#page-16-14)).

**Unsupervised learning:** Unsupervised learning deals with unlabeled datasets, aiming to uncover hidden patterns and relationships without predefined labels. This is valuable when the data distribution is unknown or manual labeling is impractical. Typical methods are:

- Clustering, which groups data points based on their similarities to reveal natural groupings or trends within the data.
- Principle components analysis (PCA), which reduces the dimensionality of the data by projecting it into a lower-dimensional space while preserving as much variance as possible.
- Self-organizing maps, which create a low-dimensional representation of high-dimensional data by mapping similar data points close together to help identify patterns.

Process engineering applications: Unsupervised learning methods discover patterns in unlabeled process data. For example, [Sancho](#page-19-18) et al. ([2022\)](#page-19-18) use k-means clustering to classify crude oil, while [Lin](#page-18-24) et al. ([2000\)](#page-18-24) apply nonlinear PCA for process monitoring. Furthermore, [Chen](#page-16-15) and [Yan](#page-16-15) ([2012\)](#page-16-15) extend self-organizing maps for troubleshooting in chemical processes.

**Reinforcement learning:** Reinforcement learning focuses on decisionmaking and control in dynamic environments. Unlike supervised learning, it involves an agent that learns through interactions with its



<span id="page-7-2"></span>**Fig. 6.** Circular description of some of the needed steps for SciML.

environment, receiving rewards or penalties to develop strategies for achieving goals.

Process engineering applications: [Shin](#page-19-19) et al. ([2019\)](#page-19-19) review the impact of reinforcement learning on process control, while [Hubbs](#page-17-24) et al. ([2020\)](#page-17-24) demonstrate its application to production scheduling, addressing uncertainty, and enhancing operational efficiency.

#### <span id="page-7-0"></span>*4.1.3. Scientific machine learning*

<span id="page-7-1"></span>Scientific machine learning (SciML) integrates traditional computational sciences with machine learning techniques to improve model robustness, interpretability, and reliability ([Karpatne](#page-17-25) et al., [2017;](#page-17-25) [Sharma](#page-19-16) [and](#page-19-16) Liu, [2022;](#page-19-16) [Karniadakis](#page-17-26) et al., [2021\)](#page-17-26). [Fig.](#page-7-2) [6](#page-7-2) illustrates the key steps in a typical SciML setup. The importance of SciML is highlighted in several studies [\(Karpatne](#page-17-25) et al., [2017;](#page-17-25) [Willard](#page-20-13) et al., [2020](#page-20-13); [Karniadakis](#page-17-26) et [al.](#page-17-26), [2021;](#page-17-26) [Scientific](#page-19-20) machine learning, [2023\)](#page-19-20), with practical applications in aerospace and medical engineering ([Kapteyn](#page-17-9) et al., [2020](#page-17-9), [2021](#page-17-27); [Kapteyn](#page-17-6) and Willcox, [2022](#page-17-6); [Kapteyn](#page-17-5) et al., [2022\)](#page-17-5).

Several methods integrate scientific knowledge with data-driven models throughout the modeling process. These techniques span from initial input selection to final model evaluation:

- Feature selection chooses features that capture the essential physical processes of the system. This ensures that the model focuses on relevant data [\(Schubert](#page-19-21) et al., [1994;](#page-19-21) [Sharma](#page-19-16) and Liu, [2022](#page-19-16)).
- Synthetic data generation supplements real data with synthetic points created using physical principles. This approach reduces the need for additional measurements and is useful when data is limited [\(Sharma](#page-19-16) and Liu, [2022](#page-19-16)).
- Loss function design incorporates physical constraints through penalty terms, ensuring that the model adheres to known physical laws and limits ([Schubert](#page-19-21) et al., [1994](#page-19-21); [Karpatne](#page-17-25) et al., [2017](#page-17-25); [Sharma](#page-19-16) and Liu, [2022\)](#page-19-16).
- Model architecture must be carefully chosen to ensure optimal performance and accuracy. For instance, ANN models can be designed to include symmetries and invariances ([Karpatne](#page-17-25) et al., [2017](#page-17-25); [Karniadakis](#page-17-26) et al., [2021](#page-17-26)).
- Pre-training with synthetic data accelerates learning and improves model robustness ([Serra](#page-19-22) et al., [2003;](#page-19-22) [Karpatne](#page-17-25) et al., [2017](#page-17-25); [Sharma](#page-19-16) and Liu, [2022\)](#page-19-16).
- Hybrid modeling integrates physical information into data-driven models. Mechanism correction uses deviations between model and measured states as error signals, while mechanism estimation predicts process parameters that are challenging to derive from first principles (von [Stosch](#page-19-23) et al., [2014](#page-19-23)).

For effective SciML implementation, advanced computational tools are essential. These tools should integrate smoothly with existing scientific simulations (Essential Tools of Machine [Learning,](#page-16-16) [2023](#page-16-16); [Asch](#page-15-11), [2022\)](#page-15-11) and include:

- Structured linear algebra efficiently manages and manipulates large matrices and vectors common in scientific computing.
- Mixed precision arithmetic number types speed up computations while maintaining accuracy, especially in large-scale simulations.
- Differentiable programming utilizes automatic differentiation tools to compute derivatives efficiently, which is essential for training neural networks and solving differential equations.
- Equation solvers handle algebraic and differential equations in complex systems modeled in SciML (see Section [4.1.1](#page-4-3)).
- Probabilistic programming aids in UQ and global sensitivity analysis by quantifying uncertainty and assessing model reliability (see Section [4.2.4](#page-12-2)).
- Optimization techniques train models and fine-tune hyperparameters to achieve optimal performance (see Section [4.2.1](#page-11-3)).
- Model benchmarking involves using standardized benchmark datasets to compare and evaluate different models, ensuring they meet performance standards [\(Thiyagalingam](#page-19-24) et al., [2022](#page-19-24)).

In the following, we will delve into two key areas within SciML: identifying governing equations and integrating physical principles with ANNs.

**Identification of governing equations:** Two primary techniques, *symbolic regression* and *sparse regression*, are widely used to identify governing equations. Both methods decipher the dynamics of the system, particularly the right-hand side of differential equations. *Symbolic Regression* generates a set of candidate symbolic functions and compares them with the numerical derivatives to select the best-fitting function. Initially, random candidate functions are refined using evolutionary algorithms like genetic programming via expression trees.

*Sparse regression*, specifically the SINDy approach, discovers parsimonious models by applying sparsity-promoting regression on the derivatives to a library of candidate nonlinear functions. This library, which must be created manually, may contain pre-existing information. A limitation of the original SINDy approach is that it requires direct access to or approximation of gradient information in the time domain, as does symbolic regression. This leads to numerical errors from gradient approximation, a problem that is addressed in Goyal and [Benner](#page-17-28) ([2022\)](#page-17-28) by incorporating classical numerical integration schemes (e.g., Runge– Kutta) into the sparse identification process, thereby eliminating the need for derivative information collection. Another solution for the gradient approximation problem is proposed in [Both](#page-16-17) et al. ([2021](#page-16-17)), where the sparse regression is done within ANNs with automatic differentiation. In [Forootani](#page-16-18) and Benner [\(2024](#page-16-18)), the curse of dimensionality and large datasets is addressed by solving the most informative samples via discrete empirical interpolation method (DEIM) as preprocessing for the SINDy algorithm.

Process engineering applications: Symbolic regression is used by [de](#page-16-19) [Carvalho](#page-16-19) Servia et al. ([2023\)](#page-16-19) for model generation in an isomerization case study. In [Bhadriraju](#page-16-20) et al. [\(2020\)](#page-16-20) and [Bhadriraju](#page-16-21) et al. ([2019](#page-16-21)), SINDy derives multiple models from historical data for different input scenarios. These models, along with their training data, are then used to construct a deep ANN. This ANN is integrated into a model predictive control (MPC) framework for closed-loop operation, facilitating the identification and control of a continuous stirred tank reactor (CSTR).

**Combination of physical principles and ANNs:** ANNs handle noisy data, perform automatic differentiation, and act as flexible, meshless models. The *Universal Approximation Theorem* demonstrates this by showing that a feed-forward network with a single hidden layer and a finite number of neurons can approximate continuous functions on compact subsets of  $\mathbb{R}^n$  under certain conditions on the activation function. However, sometimes ANNs face convergence issues, especially for long-time integration and nonlinear problems, and the determination of the optimal network architecture is uncertain. As a result, the combination of ANNs-based solutions with traditional physics-based methods is increasingly being explored to improve performance and reliability.

In this context, we present four approaches. (1) *Neural ODEs* parameterizes the derivative of the hidden state with a neural network, allowing the integration of the hidden state over time ([Chen](#page-16-22) et al., [2018](#page-16-22)). (2) *Neural Operators* learn the map  $G$  between infinite-dimensional function spaces and serve as discretization-free surrogates for PDEs [\(Li](#page-18-25) et [al.,](#page-18-25) [2020\)](#page-18-25). (3) *PINNs* encode the differential equation within the neural network, allowing it to learn the solution as it fits observed data ([Raissi](#page-19-25) et al., [2017,](#page-19-25) [2019;](#page-19-26) [Cuomo](#page-16-23) et al., [2022](#page-16-23)). Finally, (4) *group equivariant convolutional networks* use convolutional layers that preserve the translational structure of the data, exploit symmetries, and require less training data while enforcing structure (Cohen and [Welling](#page-16-24), [2016\)](#page-16-24). These networks maintain transformations that preserve system dynamics, such as invariance under time shifts, time reversal, spatial shifts, spatial reflection, rotations, and coordinate rescaling.

Process engineering applications: Recent advances in process engineering have demonstrated the growing importance of the interaction between physical principles and ANNs. In particular, hybrid modeling has made remarkable progress, as reviewed in von [Stosch](#page-19-23) et al. [\(2014](#page-19-23)), which highlights applications in biochemistry and chemical engineering. For example, [Raccuglia](#page-19-27) et al. [\(2016](#page-19-27)) train models to predict crystallization outcomes and aid material discovery using reaction data, while [Wu](#page-20-14) et al. [\(2019a](#page-20-14)) develop a machine learning predictive control scheme with real-time updates for non-isothermal reactors. In addition, Bangi and [Kwon](#page-15-14) ([2020\)](#page-15-14) combine first principles with deep ANNs to model hydraulic fracturing, and [Wang](#page-20-11) et al. ([2021\)](#page-20-11) integrates deep learning with d-band theory to predict surface reactivity of transition metals. In contrast, [Peterson](#page-18-26) et al. [\(2024a](#page-18-26)) compare hybrid models to data-driven approaches in a CSTR case study, challenging assumptions about the enduring superiority of hybrid modeling.

In the realm of neural ODEs, [Owoyele](#page-18-27) and Pal [\(2022](#page-18-27)) apply this approach to chemical kinetics by modeling hydrogen-air self-ignition, incorporating adjustments to ANN weights for more accurate predictions. Similarly, neural operators are used by [Goswami](#page-17-29) et al. ([2024\)](#page-17-29) to solve stiff chemical kinetics problems, including applications to combustion kinetics and the three-species ROBERS problem. PINNs have also been explored in solving stiff chemical kinetic systems, as demonstrated by Ji et [al.](#page-17-20) ([2021\)](#page-17-20). Furthermore, [Qiao](#page-19-28) et al. [\(2021](#page-19-28)), apply group equivariant convolutional networks to quantum chemistry, and Kaba and [Ravanbakhsh](#page-17-30) [\(2022](#page-17-30)) use these networks to incorporate crystalline symmetries in materials science predictions.

## <span id="page-8-0"></span>*4.1.4. Model order reduction*

<span id="page-8-1"></span>Outer-loop applications require fast and accurate processing of potentially large-scale, complex dynamical systems. With advances in modern computing environments and high-performance clusters, the limits of computational feasibility are continuously pushed.

Reduced-order models (ROMs) addresses the computational challenges of large dynamical systems by intersecting disciplines such as control, systems theory, approximation theory, and numerical linear algebra. The core idea of MOR is to replace complex, large-scale systems, typically described by many ODEs, with reduced-dimensional systems governed by well-understood dynamics. Effective MOR approaches ensure that ROMs exhibit reduced complexity, reliability, and preservation of essential properties of the original system. As highlighted in [Asch](#page-15-11) [\(2022](#page-15-11)), a DT benefits significantly from a finely tuned MOR. The lack of a universal MOR methodology for all DTs requires a tailored approach to ensure that the ROM is calibrated for reliable and accurate results. However, this customization may hinder the development and implementation of DTs ([Asch](#page-15-11), [2022](#page-15-11)).

For a comprehensive review of the variety of MOR methods that have been proposed and continuously developed over the last two decades, we refer the reader to the reviews of [Baur](#page-15-15) et al. ([2014\)](#page-15-15) and [Benner](#page-16-25) et al. ([2015\)](#page-16-25) as well as the books of [Antoulas](#page-15-16) ([2005](#page-15-16)), [Benner](#page-16-26) et al. ([2017\)](#page-16-26), [Antoulas](#page-15-17) et al. [\(2020](#page-15-17)) and [Benner](#page-16-27) et al. ([2021\)](#page-16-27). A survey of MOR methods for DAEs is given in [Benner](#page-16-28) and Stykel ([2017](#page-16-28)). In Eason and [Biegler](#page-16-29) [\(2021](#page-16-29)), developments and practical applications of ROMs in process engineering are emphasized, especially in process optimization.

MOR methods are subdivided into two categories: *intrusive* and *nonintrusive methods*. *Intrusive methods* necessitate the processing of the governing equations of the full order model (FOM), while *non-intrusive methods* operate on the input–output or snapshot data of the system, thereby avoiding making changes to the underlying simulation code. However, not all methods are unequivocally categorized into one of these two subdivisions. [Table](#page-9-0) [3](#page-9-0) lists all the methods described in this section.

**Proper orthogonal decomposition:** A prime example of resistance to categorization is POD. The categorization of POD as either intrusive or non-intrusive depends on its implementation within the MOR process. For example, when POD is used in conjunction with Galerkin projection, which requires access to and modification of the governing equations, it is considered an intrusive method. Conversely, when POD is used in a data-driven manner, such as in the snapshot method introduced by [Sirovich](#page-19-29) [\(1987\)](#page-19-29), it is considered non-intrusive because it operates on snapshot data and does not require modifications to the underlying model. POD, closely related to PCA or Karhunen-Loève expansion, serves two purposes. On the one hand, it acts as a statistical tool, adept at extracting significant structures or patterns from large data sets. On the other hand, it reduces complexity, being able to use a minimal number of POD modes to approximate a given dynamical system to a desired level of accuracy. Once a sufficient number of POD modes are identified, these modes can be used to transform the data into a latent dimensional space. This reduced data can then be used as input to standard data-driven models ([Ammar](#page-15-18) et al., [2024;](#page-15-18) [Chinesta](#page-16-3) et [al.,](#page-16-3) [2020](#page-16-3)).

Process engineering applications: In [Abdullah](#page-15-19) et al. [\(2021](#page-15-19)), a nonlinear identification approach (based on nonlinear PCA and system identification approaches) computes a dynamic model of first-order nonlinear ODEs describing the temporal evolution of the slow process states for two test cases: An isothermal multi-reaction batch reactor and a non-isothermal jacketed CSTR. [Agarwal](#page-15-20) et al. ([2009\)](#page-15-20) develop a ROM based on POD, which is a low-dimensional approximation to a dynamic PDE-based model with application to pressure swing adsorption (PSA) processes (for a dynamically coupled PDE-based model of a two-bed, four-step PSA process for the separation of hydrogen from methane). In [Bremer](#page-16-30) et al. ([2016,](#page-16-30) [2017\)](#page-16-31), a hybrid approach (known as POD-DEIM ([Chaturantabut](#page-16-32) and Sorensen, [2010](#page-16-32))), is applied to a dynamic, two-dimensional reactor model for catalytic  $CO_2$ -methanation. The method is snapshot-based, i.e. it uses snapshots of the time-domain evolution of the system state.

### **I Classical, intrusive methods**

Traditional MOR involves access to the full model and reduction by intrusive methods, typically projection-based. As shown in the linear setup in [Fig.](#page-9-1) [7,](#page-9-1) the main idea behind MOR (and in particular the structure-preserving classes of methods) is to approximate the original (potentially) large-scale model described by  $n$  state variables by a ROM of (much) lower dimension, denoted by  $r$ , and with a structure similar to that of the original.

The classical setup of linear, time-invariant dynamical systems is described by a state-space representation with first-order dynamics. Within this framework, the dynamical system with homogeneous (zero) initial conditions is characterized by equations in both the time (left) and frequency (right) domains, as shown below:  $\epsilon$ 

<span id="page-8-2"></span>
$$
\begin{cases}\n\frac{d}{dt}\mathbf{x}(t) = \mathbf{A}\mathbf{x}(t) + \mathbf{B}\mathbf{u}(t),\\
\mathbf{y}(t) = \mathbf{C}\mathbf{x}(t), \ \mathbf{x}(t) = \mathbf{0}.\n\end{cases}\n\Longleftrightarrow\n\begin{cases}\ns\mathbf{x}(s) = \mathbf{A}\mathbf{x}(s) + \mathbf{B}\mathbf{u}(s),\\
\mathbf{y}(s) = \mathbf{C}\mathbf{x}(s).\n\end{cases}
$$
\n(3)

<span id="page-9-0"></span>



<span id="page-9-1"></span>**Fig. 7.** Projection-based MOR in a particular setup (the linear time-invariant case).

The system matrices  $A \in \mathbb{R}^{n \times n}$ ,  $B \in \mathbb{R}^{n \times m}$ , and  $C \in \mathbb{R}^{p \times n}$  capture the dynamics and relationships between the control inputs  $\mathbf{u}(t) \in \mathbb{R}^m$ , observed outputs  $y(t) \in \mathbb{R}^p$ , and state variables  $x(t) \in \mathbb{R}^n$ .

Using a frequency domain analysis, the Laplace transform is applied to Eq. ([3](#page-8-2)), resulting in  $\mathbf{x}(s) = (s\mathbf{I} - \mathbf{A})^{-1} \mathbf{B} \mathbf{u}(s)$ . This allows us to express the transfer function of the system as  $H(s) = C K(s)^{-1}B$ , where **. The Laplace transform is a mathematical integration** technique commonly used in control systems and signal processing to convert differential equations into algebraic equations in the frequency domain. By analyzing the system's response to different input signals and designing controllers based on the transformed equations, specific tasks are achieved based on performance criteria.

When modeling systems that incorporate state delays and derivative observations adjustments are required. In process engineering, delayed ODEs result from time delays in system response due to transport phenomena, reaction kinetics, or feedback loops. For example, [Roussel](#page-19-30) ([1996\)](#page-19-30) studies delayed variable enzyme catalysis and Oregonator models. These modified equations are expressed, to illustrate the required adjustments, as follows:

$$
\begin{cases}\n\frac{d}{dt}\mathbf{x}(t) = \mathbf{A}\mathbf{x}(t) + \mathbf{A}_1\mathbf{x}(t-\tau) + \mathbf{B}\mathbf{u}(t),\\
\mathbf{y}(t) = \mathbf{C}\mathbf{x}(t) + \mathbf{C}_1 \frac{d}{dt}\mathbf{x}(t).\\
\begin{cases}\ns\mathbf{x}(s) = (\mathbf{A} + e^{-\tau s}\mathbf{A}_1)\mathbf{x}(s) + \mathbf{B}\mathbf{u}(s),\\
\mathbf{y}(s) = (\mathbf{C} + s\mathbf{C}_1)\mathbf{x}(s).\n\end{cases}
$$
\n(4)

Similarly, as before, using the Laplace transformation and solving for **x**(*s*), we get that **x**(*s*) =  $(sI - A - e^{-rs}A_1)^{-1}Bu(s)$ . So the transfer function are written as  $H(s) = \frac{y(s)}{u(s)} = C(s)K(s)^{-1}B$ , where  $K(s) = (sI - A - e^{-rs}A_1)^{-1}$ and  $\mathbf{C}(s) = \mathbf{C} + s\mathbf{C}_1$ .

Among the various intrusive methods in the family of MOR approaches, *balanced truncation (BT)* and *moment matching (MM)* are widely used, established techniques from system and control theory ([Antoulas,](#page-15-16) [2005\)](#page-15-16).

**Balanced truncation:** BT computes ROMs by eliminating states that have a negligible impact on the output of the system. BT-type methods

use basic but important concepts from control theory, such as controllability, observability, and Hankel singular values ([Antoulas,](#page-15-16) [2005\)](#page-15-16). In the case of linear systems, they are shown to preserve the asymptotic stability of the system and also provide explicit ways to quantify the approximation error. BT-type methods have been combined with Bayesian inference ([Qian](#page-19-31) et al., [2022b](#page-19-31)), used in the context of data assimilation (DA) [\(Lawless](#page-18-28) et al., [2008](#page-18-28); König and [Freitag,](#page-17-31) [2022\)](#page-17-31), and extended to a realization-free data-driven formulation (from input– output data) ([Gosea](#page-17-32) et al., [2022\)](#page-17-32). For further reading, we refer the reader to Chapters 4, 5, 6, and 7 in [Antoulas](#page-15-16) ([2005\)](#page-15-16), and to Chapter 6 in [Benner](#page-16-26) et al. [\(2017](#page-16-26)).

Process engineering applications: In their study, Hahn and [Edgar](#page-17-33) ([2002\)](#page-17-33) apply BT to a CSTR case study, proposing the computation of the balancing transformation matrix by empirical Gramians. [Dones](#page-16-33) et al. ([2011\)](#page-16-33) extend BT to nonlinear systems, recommending the inclusion of all states in the balancing outputs and the use of a linearizing static transformation of the states. Their methodology is applied to a distillation column model.

**Moment matching:** In MM, the moments of the original system are matched to the reduced ones. These approximation techniques are computationally efficient through the use of Krylov subspace methods [\(Grimme,](#page-17-34) [1997](#page-17-34)), which are a class of methods used to solve linear systems and eigenvalue problems. With readily available algorithms from numerical linear algebra, MM is easy to implement. For a better understanding of interpolation-based MOR methods, we refer the readers to Chapter 8 in [Antoulas](#page-15-17) et al. ([2020\)](#page-15-17), and Chapters 7 and 8 in [Benner](#page-16-26) et al. [\(2017](#page-16-26)).

Process engineering applications: In Li et [al.](#page-18-29) ([2014\)](#page-18-29), two Krylov subspace methods are proposed to speed up the computation of cyclic steady states for moving bed processes simulated with linear isotherms. Full and partial update schemes for the derivation of ROMs for a glucose-fructose separation are proposed in [Yue](#page-20-15) et al. [\(2014](#page-20-15)). In a related approach, Shih and [Shieh](#page-19-32) [\(1978](#page-19-32)) use MM to reduce the order of multivariable continuous and discrete systems, highlighting its utility in control system design.

**Reduced basis:** Traditional MOR methods, such as modal analysis or system theoretical model reduction of linear time-invariant systems, may not be directly applicable to PDEs since they do not effectively handle the spatial and temporal complexities inherent in these equations. A popular approach in the context of PDEs is the RB method. The RB projects the high-fidelity problem onto a subspace composed of relevant basis functions ([Quarteroni](#page-19-33) et al., [2015](#page-19-33)). For single-domain systems, the RB method focuses on reducing the size of the systemlevel finite element approximation space. This is particularly beneficial when dealing with large and complex engineering systems that require discrete time steps. However, a limitation of these RB-based approaches is that the full system-level problem can still be quite large, posing computational challenges for complex engineering systems.

Process engineering applications: In the context of DT applications in aerospace engineering, [Kapteyn](#page-17-9) et al. [\(2020](#page-17-9)) adopt the staticcondensation RB method [\(Huynh](#page-17-35) et al., [2013\)](#page-17-35) to model lithium-ion batteries with spatially resolved porous electrodes. The application of the RB method to multiscale problems is described in [Ohlberger](#page-18-30) et al. ([2016\)](#page-18-30).



**Fig. 8.** A diagram illustrating non-intrusive construction of ROMs.

#### <span id="page-10-0"></span>**II Data-based, non-intrusive methods**

An alternative approach to classical (intrusive) methods of MOR, which rely on explicit access to a large-scale model, is the use of data-driven (non-intrusive) techniques. Unlike intrusive methods, datadriven ROMs do not require explicit knowledge of the model structure or matrices. Instead, low-order models are directly computed from time-domain data. This makes non-intrusive methods suitable for reduction and system identification tasks where the underlying mathematical model is not known or easily accessible. The general construction of non-intrusive ROMs can be seen in [Fig.](#page-10-0) [8.](#page-10-0) In the following, we highlight several prominent specific examples.

**System identification:** System identification (SI) encompasses various methods for deriving mathematical models of dynamic systems from observed input–output data. Acting as a bridge between practical applications and the mathematical domain of systems and control theory, SI encompasses a wide range of techniques and methodologies. These methods vary according to the structure and behavior of the models, and include linear, nonlinear, hybrid, nonparametric, and other approaches. For further reading, we recommend the influential book by [Ljung](#page-18-31) ([1999\)](#page-18-31), which provides a comprehensive overview of established SI methods. References such as [Gevers](#page-17-36) ([2006](#page-17-36)), [Verhaegen](#page-20-16) and Verdult ([2007\)](#page-20-16), and Pintelon and [Schoukens](#page-18-32) [\(2012](#page-18-32)) further explore related aspects.

Subspace identification (SSI) is a special form of SI that is based on discrete linear systems. Among the many proposed methods, two notable ones are the MOESP algorithm [\(Verhaegen](#page-20-17) and Dewilde, [1992\)](#page-20-17) and the N4SID approach (Van [Overschee](#page-20-18) and De Moor, [1994](#page-20-18)). A comprehensive review of subspace system identification methods, including MOESP and N4SID, is provided by [Favoreel](#page-16-34) et al. [\(2000](#page-16-34)). We further refer the reader to [Qin](#page-19-34) [\(2006](#page-19-34)) for an extensive overview of methods developed by the mid-2000s. Extensions of SSI (e.g., applications to bilinear control systems) are proposed in [Favoreel](#page-16-35) et al. ([1999\)](#page-16-35).

Process engineering applications: Building on the MOESP method, Borjas and [Garcia](#page-16-36) ([2011\)](#page-16-36) introduce the MON4SID algorithm, which computes state sequences and the extended observability matrix. The authors apply SI methods to the Shell benchmark process and demonstrate that a linear model can accurately describe a nonlinear system within a certain operating range. Addressing ill-conditioning in SI, [Hachicha](#page-17-37) et al. ([2014\)](#page-17-37) highlight the robustness of these methods for parameter estimation in process control, emphasizing the MOESP algorithm's ability to handle the Hankel block, which significantly improves parameter estimation and has important implications for process engineering. Finally, [Kumari](#page-17-38) et al. ([2021\)](#page-17-38) present a k-nearest neighborbased parametric ROMs that incorporates MOESP to improve numerical robustness in response to parameter changes, as demonstrated in a case study of a supercritical CO $_2$  release.

**Dynamic mode decomposition:** Dynamic mode decomposition (DMD) extracts the dominant dynamic modes of a system by analyzing timedomain snapshots of state variables ([Schmid](#page-19-35), [2010](#page-19-35)). In particular, DMD is closely related to the concept of the Koopman operator [\(Koopman](#page-17-39) and von [Neumann](#page-17-39), [1932](#page-17-39)), a mathematical tool that describes the evolution of scalar observables (functionals of measurable state variables) in infinite time in an infinite-dimensional Hilbert space (a mathematical space equipped with inner products and completeness properties). Through the extended DMD approach presented in [Williams](#page-20-19) et [al.](#page-20-19) [\(2015](#page-20-19)), the leading Koopman eigenfunctions are identified and a finite-dimensional representation of the underlying linear dynamics is approximated. A comprehensive understanding of DMD, including

its variants such as DMD with control (DMDc) ([Proctor](#page-19-36) et al., [2016](#page-19-36)), which incorporates control signals into the dynamics equation, are found in [Kutz](#page-18-33) et al. ([2016\)](#page-18-33).

Process engineering applications: DMD is often studied and applied in the field of fluid dynamics ([Schmid,](#page-19-37) [2022\)](#page-19-37), which is related to process engineering, but there are also applications to process engineering itself. For example, [Narasingam](#page-18-34) and Kwon ([2017\)](#page-18-34) propose a modification of DMDc to capture local dynamics through temporal clustering of snapshot data using mixed-integer nonlinear programming, which is applied to the feedback control of hydraulic fracturing processes to compute optimal pumping schedules. In addition, [Velegar](#page-20-20) et al. ([2024\)](#page-20-20) present an optimized DMD algorithm for constructing an adaptive and computationally efficient prediction tool for global atmospheric chemical dynamics.

**Operator inference:** Operator inference (OpInf) builds ROMs in continuous time [\(Peherstorfer](#page-18-35) and Willcox, [2016](#page-18-35)). The basic idea is to construct polynomials of a given order in the reduced coordinates. Learning the matrices of the polynomials is theoretically possible using the least squares method. However, since the problem is often ill-conditioned and the stability of the ROM is not guaranteed, parameterization guidelines (Goyal and [Benner,](#page-17-28) [2022](#page-17-28); [Pontes](#page-19-38) Duff et al., [2024\)](#page-19-38) or large regularization terms ([Qian](#page-19-39) et al., [2022a\)](#page-19-39) are often required. For detailed principles, innovations, and applications of OpInf, we refer the reader to [Benner](#page-16-37) et al. [\(2020](#page-16-37), [2022](#page-16-38)), and also to the review paper of [Kramer](#page-17-40) et al. ([2024\)](#page-17-40).

Process engineering applications: OpInf has been applied to process engineering problems, such as a single-injector rocket combustion model ([McQuarrie](#page-18-36) et al., [2021\)](#page-18-36) or the methanation of a carbon dioxide reactor [\(Peterson](#page-18-37) et al., [2024c;](#page-18-37) [Gosea](#page-17-41) et al., [2024\)](#page-17-41).

**Frequency domain analysis methods:** Frequency domain analysis methods approximate and analyze the behavior of a system using its transfer function, which provides insight into the system's response to a range of frequencies actuated by the control input. One notable approach is the *Loewner framework* (Mayo and [Antoulas](#page-18-38), [2007](#page-18-38)), which uses interpolation to construct ROMs using rational approximation. By selecting interpolation points, the Loewner framework recovers the dynamics of the system and provides a priori estimates of the complexity of the system (encoded in the singular values of the Loewner matrix). A major advantage of the Loewner approach is its directness and ease of implementation, avoiding complicated optimization schemes. Another method is the *vector fitting algorithm* ([Gustavsen](#page-17-42) and Semlyen, [1999](#page-17-42)), which uses a linearized least-squares fitting approach. This algorithm iteratively adjusts the parameters of the rational functions to minimize the mismatch between the model and the actual data, resulting in an accurate recovery of the transfer function. In addition, the *adaptive Antoulas-Anderson (AAA) algorithm* ([Nakatsukasa](#page-18-39) et al., [2018](#page-18-39)) combines elements of both interpolation and least squares fitting. It aims at finding an approximation by iteratively adjusting the model based on the greedily selected interpolation points and on the least squares fit.

Process engineering applications: The Loewner framework has recently been applied to electrochemistry test cases, by fitting ROMs constructed from impedance data corresponding to models of polymer electrolyte membrane (PEM) fuel cells [\(Sorrentino](#page-19-40) et al., [2023;](#page-19-40) [Gosea](#page-17-43) et [al.](#page-17-43), [2023\)](#page-17-43) and of lithium-ion batteries [\(Rüther](#page-19-41) et al., [2023\)](#page-19-41). In addition, the vector fitting algorithm has been used in [Hu](#page-17-44) et al. ([2012\)](#page-17-44) for battery thermal management for high-power applications (in the context of hybrid and electric vehicles).



**Fig. 9.** A generic optimization scheme.

#### <span id="page-11-4"></span><span id="page-11-0"></span>*4.2. Optimization loop*

The optimization loop contains methods that repeatedly invoke the model of the physical problem. Many of these methods are based on optimization (e.g., parameter fitting, scheduling optimal control), hence the name. In this section, we will discuss optimization, inverse problems, DA, UQ, and control.

## <span id="page-11-1"></span>*4.2.1. Optimization*

<span id="page-11-3"></span>As stated in [Asch](#page-15-11) ([2022\)](#page-15-11), optimization is fundamental to the development of DT. Typically, optimization involves finding the minimum or maximum of a given function. [Fig.](#page-11-4) [9](#page-11-4) shows a generic optimization scheme. Several steps are needed when formulating an optimization problem:

- Construct a model that describes the underlying process or plant and the associated optimization problem.
- Define a suitable objective (cost) function.
- Choose an optimization algorithm.
- Verify (potential) optimality conditions
- Perform sensitivity analysis of the results.

Optimization problems come in many forms, ranging from discrete to continuous, constrained to unconstrained, and local to global. Traditional optimization methods rely on having an explicit function or numerical approximation to optimize. However, when such explicit knowledge is lacking, finite difference approximations or the ability to compute the gradient of a quadratic cost function are used. Classical optimization methods typically provide only local minimum guarantees, while achieving a global minimum often requires specialized techniques such as simulated annealing, genetic algorithms, or swarm optimization [\(Mitchell](#page-18-40), [1998\)](#page-18-40).

Optimization tools are divided into three main categories: Firstorder or *gradient methods*, second-order or *Newtonian methods*, and *stochastic methods*. *Gradient methods* are typically used when the objective function is smooth and its gradient is easy to compute. *Newtonian methods* are used in cases where the objective function is highly nonlinear and second-order information (i.e., the Hessian) is available and can improve convergence speed. *Stochastic methods* are useful in scenarios where the objective function is noisy, high-dimensional, or computationally expensive to evaluate, as they can efficiently explore the search space without relying on gradient information. Extensive discussions and detailed descriptions of prominent optimization approaches can be found in [Nocedal](#page-18-41) and Wright ([1999\)](#page-18-41) and [Locatelli](#page-18-42) and Schoen ([2013\)](#page-18-42). In the field of process optimization, a comprehensive coverage of nonlinear programming methods, covering both steady-state and dynamic process optimization, is provided in [Biegler](#page-16-39) ([2010\)](#page-16-39).

Process engineering applications: Process engineering often involves complex problems with multiple solutions that interact economically

and in terms of performance, making it difficult to intuitively identify the optimal solution. To address this growing complexity, the Integrated Platform for Advanced Process Modeling and Simulation (IDAES) provides a framework that combines process simulators and algebraic modeling languages ([Lee](#page-18-43) et al., [2021](#page-18-43)). Tailored for process flowsheet optimization, the platform uses advanced solvers and techniques to model and optimize dynamic, interconnected systems. It supports structure-based design and optimization under uncertainty, providing the flexibility to adapt to industrial needs.

Several notable works highlight optimization in process engineering. Genetic algorithms have been applied to computer-aided molecular design in [Venkatasubramanian](#page-20-21) et al. [\(1994](#page-20-21)), while hybrid approaches to modeling intracellular dynamics in biochemical applications are explored in del [Rio-Chanona](#page-16-40) et al. ([2016\)](#page-16-40), [Teixeira](#page-19-42) et al. ([2006](#page-19-42)) and [Zhang](#page-20-22) et al. [\(2019a](#page-20-22)). A gray-box modeling approach for chemical process optimization is proposed in [Asprion](#page-15-21) et al. ([2019\)](#page-15-21), and [Kumar](#page-17-45) et [al.](#page-17-45) [\(2016](#page-17-45)) optimize furnace temperature distribution in a steam methane reformer using ROM. In [Lima](#page-18-44) et al. [\(2007](#page-18-44)), a symbolic representation of fundamental equations for hybrid mechanistic-empirical models is developed and applied to the optimization of the Williams-Otto benchmark reactor. In renewable energy-to-chemicals applications, [Uebbing](#page-20-23) et al. ([2020\)](#page-20-23) optimize power-to-methane processes via superstructure optimization, focusing on heat integration and gas grid requirements. [Uebbing](#page-20-24) et al. ([2021\)](#page-20-24) optimize PSA processes with reduced models and a trust-region filtering method, significantly reducing computational time. In addition, [Garmatter](#page-16-41) et al. [\(2021](#page-16-41)) develop a benchmark structure for syngas production that addresses the complexity of dynamic modeling.

## <span id="page-11-2"></span>*4.2.2. Inverse problems*

Mathematically, two problems are considered inverse if solving one requires addressing all or part of the solution to the other. One is called a *direct problem* and the other is called an *inverse problem*. The *direct problem*, also known as the forward problem, involves solving the physical equations to obtain the dependent variable of interest when all other quantities are known. These problems are solved using established tools from numerical linear algebra in the linear case, or iterative descent methods in the nonlinear case. In contrast, the *inverse problem* aims to go from the effects to the cause by reconstructing the unknown quantities based on observed data. The interaction of the forward and inverse models is shown in [Fig.](#page-12-3) [10.](#page-12-3)

*Inverse problems* are further classified as deterministic or statistical, and linear or nonlinear, depending on the type of algebraic or differential operators involved. Solving *inverse problems* is typically more challenging than solving *direct problems* because they involve incomplete information, measurement errors, and noise, which can lead to ill-posed solutions with unstable or non-unique properties. Addressing these challenges requires specially designed algorithms that deal with errors in the measurement data.



**Fig. 10.** A generic schematic for inverse modeling.

<span id="page-12-3"></span>We follow the general mathematical formulation of an inverse problem from [Asch](#page-15-11) [\(2022](#page-15-11)), given by the equality  $\mathbf{d} = g(\mathbf{m})$ , where  $m$  is a vector of parameters in the model parameter space  $M$ ,  $d$  is a vector of data values in the data space  $D$ , and  $g$  is an operator that describes the forward model. The operator  $g$  is defined by differential, algebraic, integral, or matrix equations. In practical scenarios, the data values are often corrupted by additive (Gaussian) noise, leading to the modification of the relationship, as:  $\mathbf{d} = g(\mathbf{m}) + \eta$ . Then, the data vectors are connected to the prediction vector using the relation  $v = h(d)$  $h(g(\mathbf{m}))$ , where y represents the vector of predictions or observations, H is the observation space, and *h* is the observation operator.

For a comprehensive understanding of the available regularization techniques and strategies in inverse problems, we recommend reading [Kirsch](#page-17-46) [\(2011](#page-17-46)). In addition, the review by Ghattas and [Willcox](#page-17-47) ([2021\)](#page-17-47) highlights significant advances in efficient algorithms for inverse problems related to MOR of large models. As outlined there, the distinction between the two approaches is that inverse problems involve inferring uncertain input components from output observations, whereas MOR focuses on obtaining low-dimensional models that accurately represent the main features of the input–output relationship by approximating them within a reduced subspace.

Process engineering applications: In process engineering, inverse modeling aims to infer the unknown independent variables, or inputs, of a system from its observed outputs. For example, in materials' design, [Venkatasubramanian](#page-20-10) [\(2019](#page-20-10)) use inverse problems for the discovery and design of new materials with desired properties. In process control, inverse modeling techniques enable the control and optimization of process variables, as demonstrated in the control of distillation plants using ANN controllers ([Savkovic-Stevanovic](#page-19-43), [1996\)](#page-19-43). In addition, inverse modeling contributes to process understanding by quantifying the effects of time variations and production dynamics, allowing engineers to gain insight into the relationships between process variables and system behavior ([Tomba](#page-19-44) et al., [2014](#page-19-44)). Moreover, inverse modeling is used in process optimization and parameter estimation in the food processing industry, where techniques such as model validation, optimization algorithms, and sensitivity analysis improve process efficiency and product quality ([Reddy](#page-19-45) et al., [2022](#page-19-45)). The integration of datadriven models into a broader decision framework is facilitated by the OMLT software package, which provides the essential optimization

equations [\(Ceccon](#page-16-42) et al., [2022](#page-16-42)). This concept is further extended to incorporate surrogate models into broader design or operations problems involving complex flowsheets.

## <span id="page-12-0"></span>*4.2.3. Data assimilation*

As illustrated in [Fig.](#page-13-1) [11](#page-13-1), data assimilation (DA) merges knowledge from a numerical model of a system with newly acquired observational data ([Bocquet](#page-16-43) et al., [2015](#page-16-43)). The goal is to accurately predict the state of the system while accounting for uncertainties. The primary benefit of DA is to improve predictions, reduce model uncertainties, and adjust model parameters.

Two main categories of DA are typically prevalent, i.e., *variational* DA and *statistical* (or sequential) DA. *Variational* DA optimally combines model and data by minimizing a given criterion (typically a cost function). Key methods include 3D-Var and 4D-Var approaches as well as nudging techniques. The goal is to improve predictions by adjusting model parameters based on observations. *Statistical* DA uses a set of model trajectories or scenarios that are intermittently updated according to data. It infers the past, present, or future state of a system. Ensemble Kalman Filter approaches, Bayesian methods, and nonlinear filtering all fall into this category. Finally, hybrid methods combine both approaches, i.e., hybrid ensemble-variational (EnVar) DA, such as 3D-EnVar in Hamill and [Snyder](#page-17-48) ([2000](#page-17-48)), or 4DEnVar in [Lorenc](#page-18-45) ([2003\)](#page-18-45), which combine 3D-Var and 4D-Var with ensemble, statistical approaches.

Process engineering applications: Originally developed for computational geosciences, DA has found applications in various fields, including process engineering. In this context, DA techniques integrate real-time measurements into model predictions, improving prediction accuracy and supporting real-time process monitoring, control, and optimization [\(Law](#page-18-46) et al., [2015\)](#page-18-46). By addressing model deficiencies and uncertainties, DA improves both process understanding and decisionmaking capabilities [\(Law](#page-18-46) et al., [2015](#page-18-46)). Despite these benefits, further evaluation is needed to fully assess the effectiveness of DA methods in process engineering applications ([Bocquet](#page-16-43) et al., [2015\)](#page-16-43).

#### <span id="page-12-1"></span>*4.2.4. Uncertainty quantification analysis*

<span id="page-12-2"></span>Uncertainty quantification (UQ) provides a systematic approach to managing uncertainty from sources such as measurement error, model



**Fig. 11.** A generic scheme for data assimilation (DA).

<span id="page-13-1"></span>inaccuracy, and parameter variability. A key component of UQ is the assessment of uncertainty in the computational estimation of a quantity of interest (QoI), focusing on statistical information such as expected values, variances, and probability distributions. A comprehensive reference on UQ theory and practice is [Smith](#page-19-46) [\(2013](#page-19-46)). UQ are divided into *forward propagation* and *inverse evaluation*.

**Forward propagation:** Forward propagation assesses how uncertainties propagate through a model to predict the overall uncertainty in the system response. Existing approaches to forward propagation include *probabilistic* and *non-probabilistic* approaches. *Probabilistic approaches* treat uncertainties as random variables and use probability distributions to represent them. *Non-probabilistic approaches* work with small sample sizes and are often used when the credibility of probabilistic analysis results is questioned due to small sample sizes.

**Inverse evaluation:** Inverse evaluation focuses on uncertainties associated with the model or its parameters. Two main approaches in inverse UQ are *Frequentist* and *Bayesian*. *Frequentist* methods use statistical techniques that treat model parameters as fixed but unknown. Uncertainties are estimated from experimental data.

In contrast, *Bayesian* methods quantify uncertainty through probability distributions. The key steps in the Bayesian approach are: (1) defining the prior distribution, (2) specifying the noise distribution, (3) computing the likelihood function, (4) applying Bayes' law to derive the posterior distribution, and (5) predicting the experimental response and discrepancy function. Numerical methods, such as those described in [Table](#page-14-2) [4](#page-14-2), are crucial for efficient Bayesian inference, especially when analytical solutions are intractable.

Gaussian processes (GP) techniques extend the Bayesian approach by modeling both the function and its uncertainty through probability distributions. This provides not only function estimates but also their associated uncertainties, which helps to manage constraints and ensure that they are satisfied with some probability ([Roberts](#page-19-47) et al., [2013](#page-19-47)). For example, [Raissi](#page-19-25) et al. ([2017\)](#page-19-25) show how modifying GP priors using differential operators allows parameter inference from limited or noisy data. Integrating GPs into the Bayesian framework improves the robustness and reliability of uncertainty quantification.

Process engineering applications: UQ plays a pivotal role in process engineering, providing a robust framework for managing and reducing uncertainties. For example, Thelen (2023) addresses the quantification of epistemic uncertainty, which arises from our limited knowledge, as opposed to aleatory uncertainty inherent in the system itself. Their approach is illustrated with a case study of optimizing the decommissioning of a lithium-ion battery cell. In Rafiei and [Ricardez-Sandoval](#page-19-48) ([2018\)](#page-19-48), a MC sampling strategy for joint uncertainty propagation is applied to facilitate constraint relaxation in a water treatment plant scenario. Additionally, in [Bradford](#page-16-44) et al. [\(2020](#page-16-44)), a stochastic MPC approach incorporating GPs is employed for constraint relaxation in a batch reactor. Similarly, [Bradford](#page-16-45) et al. ([2018\)](#page-16-45) use GPs for optimization of lutein production from microalgae.

#### <span id="page-13-0"></span>*4.2.5. Control*

As discussed in Section [2.1](#page-1-6), the DTs modeling framework not only represents real-world systems but also actively interacts with and influences them. Control is a key aspect of this interaction, aimed at managing dynamic systems to achieve desired states while minimizing undesired behavior such as lags, overshoots, and deviations from steady state. Effective control within DTs facilitates real-time optimization, decision-making, and adaptability to system changes [\(Tao](#page-19-1) et al., [2018](#page-19-1)). An example of a control scheme is shown in [Fig.](#page-14-3) [12](#page-14-3). For a deeper understanding of control theory, the reader is referred to [Franklin](#page-16-46) et al. ([1998\)](#page-16-46) and [Ogata](#page-18-47) [\(2010](#page-18-47)).

To enable control, two considerations must be addressed: *Observability* and *controllability*. *Observability* focuses on the controller's ability to monitor the system state through output measurements, while *Controllability* evaluates the effectiveness of the control signal in steering the system toward the desired state.

A variety of non-model-based control strategies are available. Classical *controllers* (P, I, or PID) adjust control inputs based on the difference between a desired setpoint and the actual state of the system. *Fuzzy logic control*, which uses linguistic variables instead of precise numerical values, effectively handles uncertainty and imprecision. *Reinforcement learning*, a type of machine learning, allows an agent to optimize future actions based on rewards or penalties received from interactions with its environment. Importantly, model-based and non-model-based strategies are synergistically combined. For example, integrating a classical controller into an optimal control framework improves robustness to model inaccuracies and unanticipated disturbances.

When suitable models are available, two main techniques for modelbased control can be applied: *Optimal control* and *MPC*. *Optimal control* determines the best control strategy for a dynamic system over time to optimize an objective. *MPC* uses a discrete-time model of the process to predict its future behavior based on input signals. This allows *MPC* to compute input signals that satisfy certain quality criteria and lead to optimal outputs [\(Allgöwer](#page-15-22) et al., [2004\)](#page-15-22).

Process engineering applications: Control systems play a critical role in chemical engineering, ensuring that processes run efficiently, safely, and sustainably. Among the most important standards in this area are the National Electric Code (NFPA 70), which sets benchmarks for safe electrical design and installation, and the ISA-88 and ISA-95 standards, which provide frameworks for batch control and enterprise control system integration, respectively (Alford and [Buckbee](#page-15-23), [2020](#page-15-23)). While classical controllers are often used in industry, the academic literature frequently explores MPC, with notable studies including [Allgöwer](#page-15-22) et al.

<span id="page-14-2"></span>



**Fig. 12.** A generic closed-loop control scheme.

<span id="page-14-3"></span>([2004\)](#page-15-22), [Morari](#page-18-48) and Lee ([1999\)](#page-18-48) and [Schwenzer](#page-19-50) et al. [\(2021](#page-19-50)). A recent development in process engineering is the integration of machine learning into control systems ([Himmel](#page-17-51) et al., [2024](#page-17-51); [Wu](#page-20-25) et al., [2019b](#page-20-25); [Zhang](#page-20-26) et [al.,](#page-20-26) [2019b\)](#page-20-26), which enables adaptive and self-learning processes for more precise control under dynamic conditions. Comprehensive reviews of control in chemical engineering are provided by [Bequette](#page-16-47) ([2003\)](#page-16-47), Prett and [García](#page-19-51) [\(2013](#page-19-51)) and [Stephanopoulos](#page-19-52) [\(1984](#page-19-52)).

## <span id="page-14-0"></span>**5. Conclusions and outlook**

<span id="page-14-1"></span>DTs offer a transformative potential for process engineering, enabling real-time monitoring, future state prediction, and process optimization. They improve safety and reduce environmental impact by facilitating early risk detection. Despite this promise, the widespread use of DTs remains limited. The primary challenge lies not in the individual components themselves, but in the interdisciplinary integration of these diverse subfields. Our work focuses on addressing this challenge by advancing a key component: the computational tools and numerical methods essential for DTs development.

In this review, we employ the hierarchical loop concept as an organizational framework to structure our discussion of computational tools and methods into three interrelated loops: the physical problemsolving loop, the optimization loop, and the decision loop. The physical problem-solving loop includes numerical simulations, including mechanistic and data-driven approaches, with an emphasis on surrogate and reduced-order models. The optimization loop includes optimization techniques, UQ, co-simulation, control, and inverse problem-solving. Finally, the decision loop ensures the reliability of DTs based on the results of the first two loops. Throughout this review, we have provided practical examples from process engineering that illustrate the application of these tools.

Further advances in fast, robust modeling techniques will accelerate the full realization of DTs. As technologies continue to evolve, building

comprehensive DTs for process engineering will become more feasible, offering significant potential for improved industrial operations.

## **List of acronyms**

- **AAA** adaptive Antoulas-Anderson
- **ANN** artificial neural network
- **AI** artificial intelligence
- **BT** balanced truncation
- **CSTR** continuous stirred tank reactor
- **DA** data assimilation
- **DAE** differential–algebraic equation
- **DEIM** discrete empirical interpolation method
- **DMD** dynamic mode decomposition
- **DMDc** DMD with control
- **DOE** Design of experiments
- **DT** digital twin
- **EPF** elementary process function
- **FDM** finite difference method
- **FEM** finite element method
- **FOM** full order model

**FVM** finite volume method

**GP** Gaussian processes

- **IoT** internet of things
- **MC** Monte Carlo
- **MM** moment matching
- **MOR** model-order reduction
- **MPC** model predictive control
- **ODE** ordinary differential equation
- **OpInf** operator inference
- **PCA** principle components analysis
- **PEM** polymer electrolyte membrane
- **PDE** partial differential equation
- **PINN** physics-informed neural network
- **POD** proper orthogonal decomposition
- **PSA** pressure swing adsorption
- **QoI** quantity of interest
- **ROM** reduced-order model
- **RB** reduced basis
- **SciML** scientific machine learning
- **SGD** stochastic gradient descent
- **SI** sparse identification
- **SSI** subspace identification
- **SVM** support vector machine
- **SI** system identification
- **UQ** uncertainty quantification

## <span id="page-15-0"></span>**CRediT authorship contribution statement**

**Luisa Peterson:** Writing – original draft, Visualization, Investigation, Formal analysis, Conceptualization. **Ion Victor Gosea:** Writing – original draft, Visualization, Supervision, Investigation, Formal analysis, Conceptualization. **Peter Benner:** Writing – review & editing, Validation, Supervision, Funding acquisition, Conceptualization. **Kai Sundmacher:** Writing – original draft, Validation, Supervision, Funding acquisition, Conceptualization.

## <span id="page-15-1"></span>**Declaration of competing interest**

The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

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## <span id="page-15-3"></span>**Data availability**

No data was used for the research described in the article.

#### <span id="page-15-4"></span>**References**

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