# Systems Nanotechnology: Moving from Nano-science to Nano-products

# Richard D. Braatz http://web.mit.edu/braatzgroup

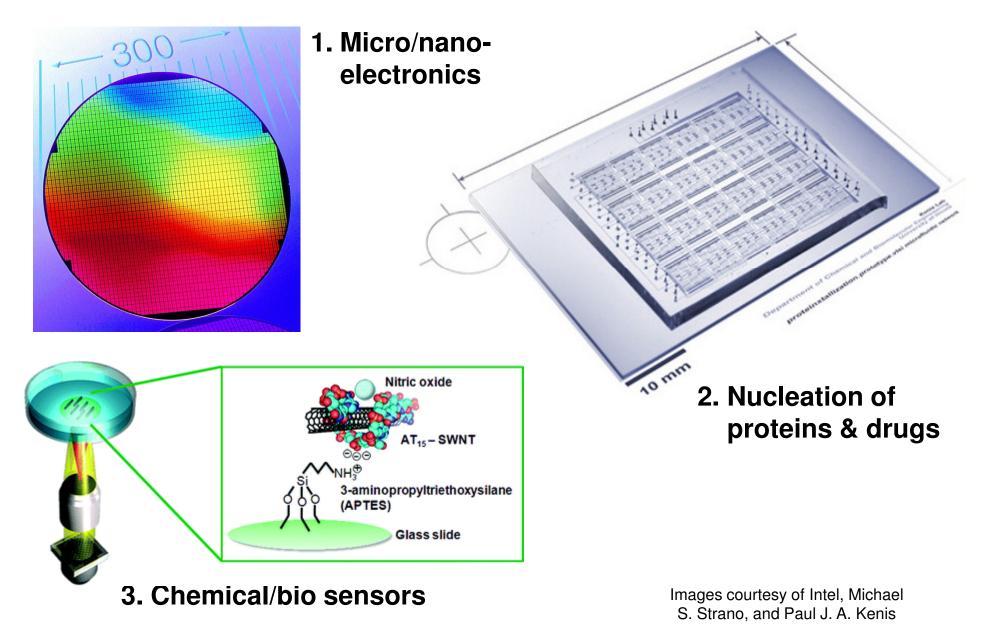


Massachusetts Institute of Technology

# Outline

- Introduction
- Challenges and questions
- Some approaches
- Some more questions

# Control of events at the molecular scale has become critical to product quality in many applications



### **Motivation for Systems Nanotechnology**

- <u>An established field?</u> An ISI search of "nano\*" and "design or control" listed 100,000+ papers
  - Interpretation: The need for systems technology is high
- How many papers apply systematic tools?
  - Very few
- Motivates efforts to generate systems/control methods
- Let's explore some challenges/questions in systems nanotechnology & some approaches for addressing these challenges (with some example applications)

# Outline

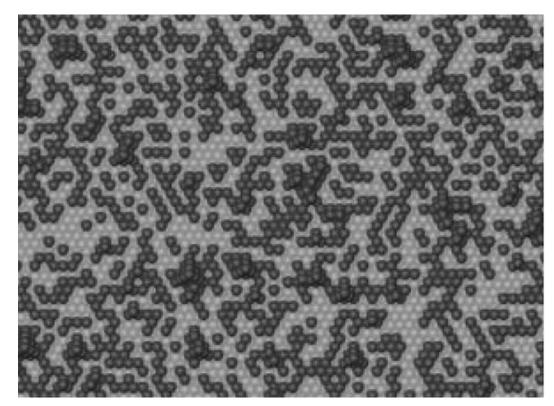
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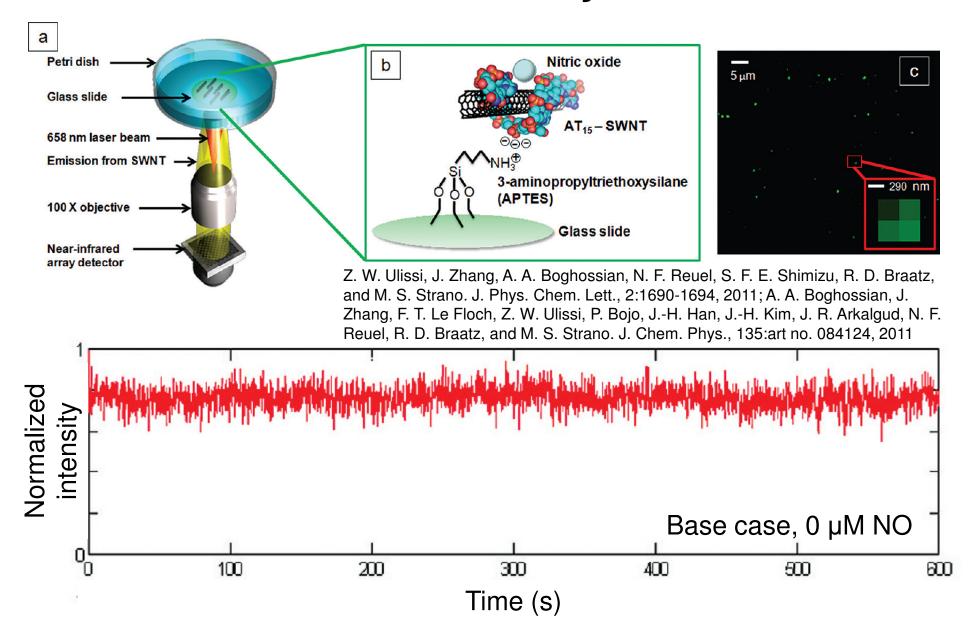
- 1. High state dimensionality and inherent stochasticity of molecular events
  - Q: How do we formulate tractable approaches to address systems with these characteristics?
- 2. Sparsity of on-line measurements available for process identification
  - Q: How do we abstract the most information from the data, and redesign systems to obtain more data?
- 3. Sparsity of manipulated variables available for process identification and control
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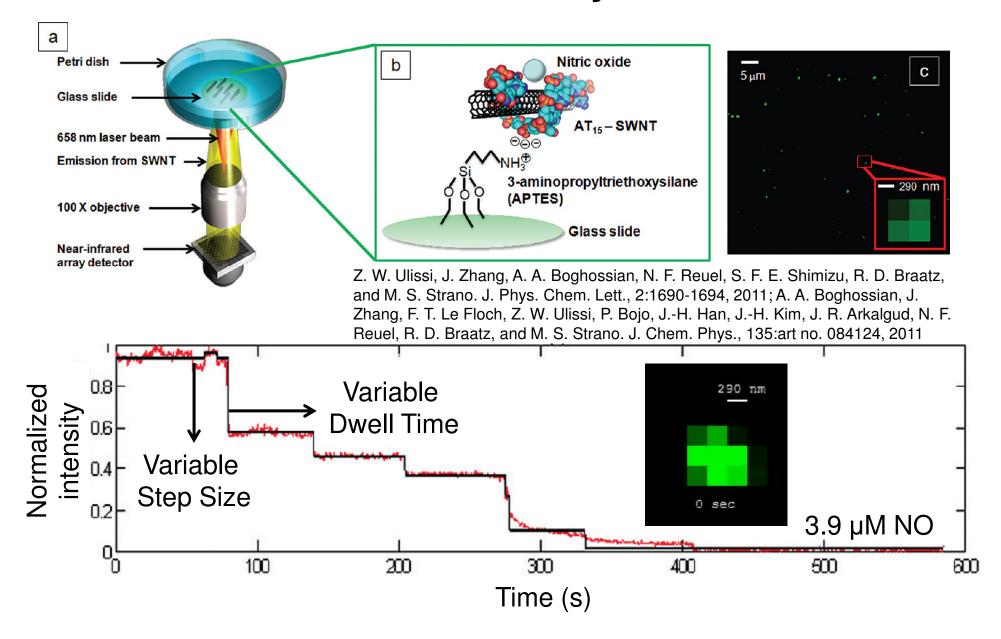
# 1. High state dimensionality and inherent stochasticity of molecular events

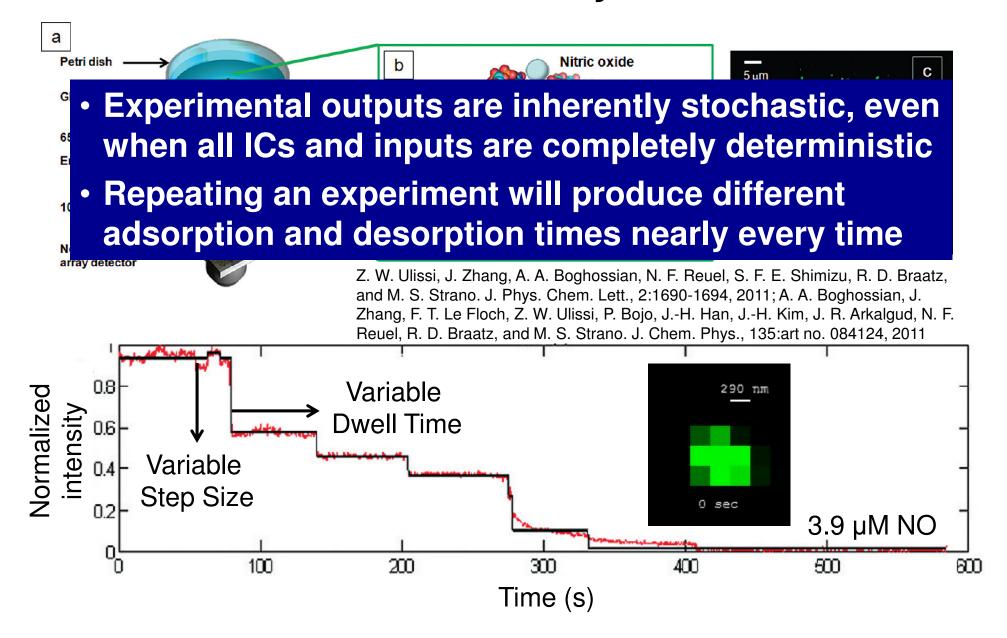
- The dynamics of molecular events are often modeled by Chemical Master equations (up to 100s of seconds)
- In CME the *configuration* of the process is defined by the identity and positions of atoms or molecules on a lattice
- A lattice can be defined by spatial position (right) or non-spatially such as the # of molecules adsorbed on a carbon nanotube

T. O. Drews, A. Radisic, J. Erlebacher, R. D. Braatz, P. C. Searson, and R. C. Alkire. J. Electrochem. Soc., 153:C434-C441, 2006





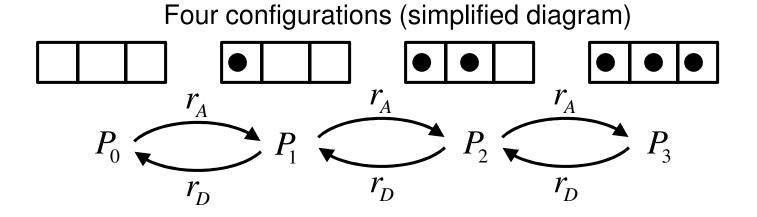




Such phenomena are described by a Chemical Master equation

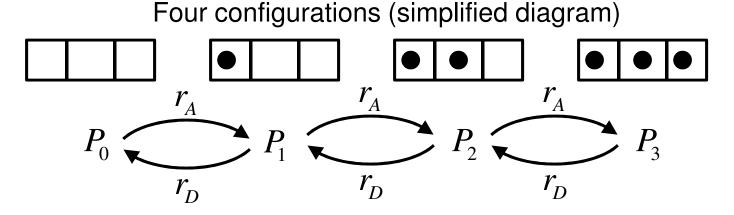
$$\frac{\partial P(\sigma,t)}{\partial t} = \sum_{\sigma'} W(\sigma',\sigma) P(\sigma',t) - \sum_{\sigma'} W(\sigma,\sigma') P(\sigma,t)$$

E.g., consider adsorption/desorption on one carbon nanotube



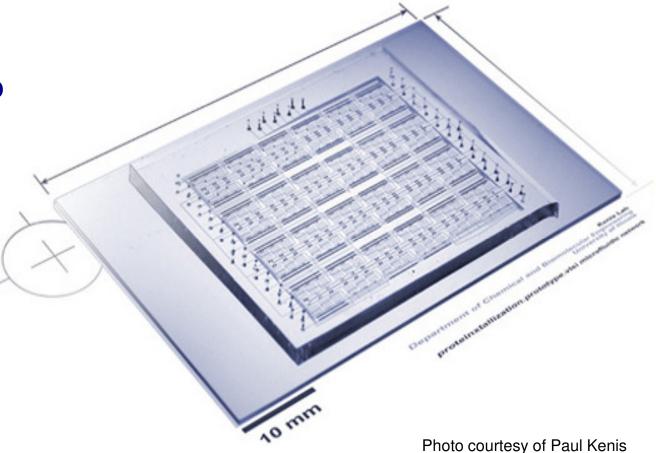
Z. W. Ulissi, J. Zhang, A. A. Boghossian, N. F. Reuel, S. F. E. Shimizu, R. D. Braatz, and M. S. Strano. J. Phys. Chem. Lett., 2:1690-1694, 2011; A. A. Boghossian, J. Zhang, F. T. Le Floch, Z. W. Ulissi, P. Bojo, J.-H. Han, J.-H. Kim, J. R. Arkalgud, N. F. Reuel, R. D. Braatz, and M. S. Strano. J. Chem. Phys., 135:art no. 084124, 2011

**Chemical Master equation**  $\frac{\partial P(\sigma,t)}{\partial t} = \sum_{\sigma'} W(\sigma',\sigma) P(\sigma',t) - \sum_{\sigma'} W(\sigma,\sigma') P(\sigma,t)$ 



- Simulation outputs are inherently stochastic, even when all ICs and inputs are completely deterministic
- Often a huge number of configurations (>>10<sup>9</sup>)
   → usually kinetic Monte Carlo (KMC) simulation is used to simulate a possible future state trajectory instead
- Just as in experiments, repeating a KMC simulation will produce different trajectories nearly every time

 Nucleation in nL droplets applied to proteins & drugs



L. M. Goh, K. J. Chen, V. Bhamidi, G. He, N. C. S. Kee, P. J. A. Kenis, C. F. Zukoski, and R. D. Braatz. Crystal Growth & Design, 10:2515-2521, 2010; K. Chen, L. M. Goh, G. W. He, V. Bhamidi, P. J. A. Kenis, C.F. Zukoski, and R. D. Braatz. Chem. Eng. Sci., 77:235-241, 2012

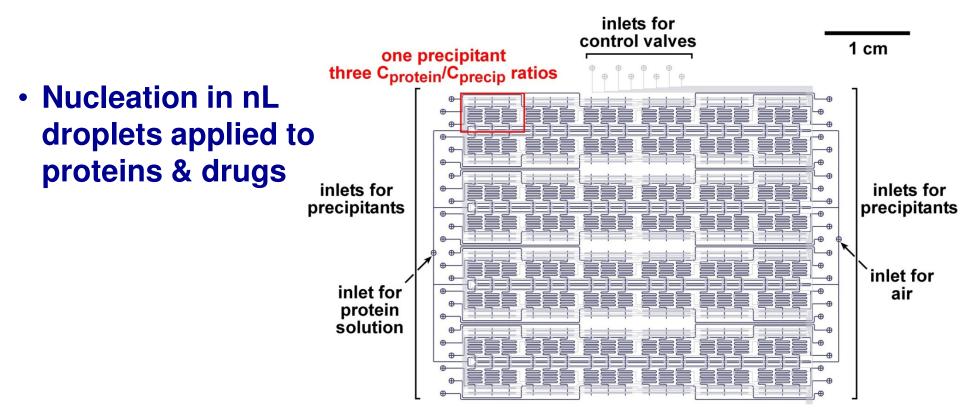
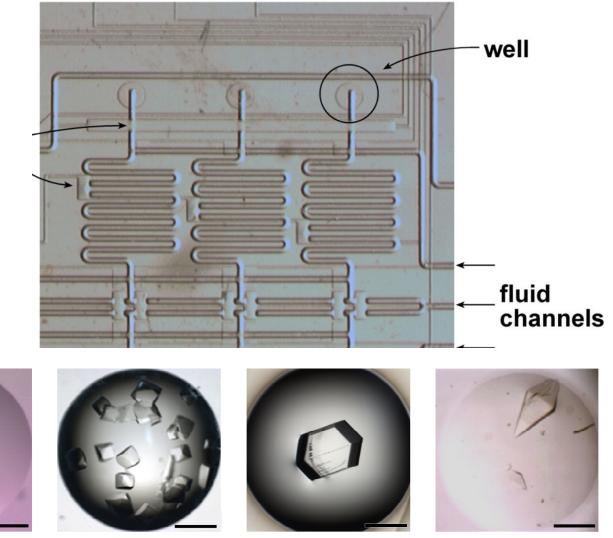


Photo courtesy of Paul Kenis

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 Nucleation in nL droplets applied to proteins & drugs



L-histidine

Scale bar is 500 µm

lysozyme

ribonuclease A

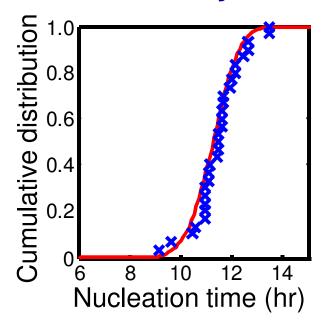
succinic acid

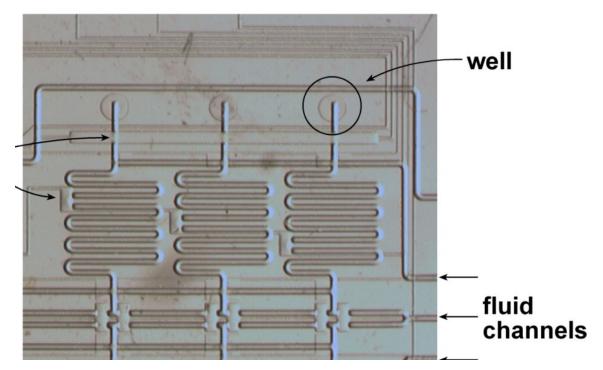


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- Nucleation in nL droplets applied to proteins & drugs
- Nucleation time

   time to nucleate at
   least one crystal





- Measure a distribution of induction times, even when the exact same experimental conditions are repeated
- Nucleation results from a few molecules coming together

L. M. Goh, K. J. Chen, V. Bhamidi, G. He, N. C. S. Kee, P. J. A. Kenis, C. F. Zukoski, and R. D. Braatz. Crystal Growth & Design, 10:2515-2521, 2010

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Q: <u>How do we formulate tractable approaches to</u> <u>address systems with these characteristics?</u>

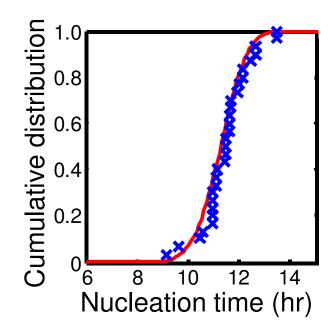
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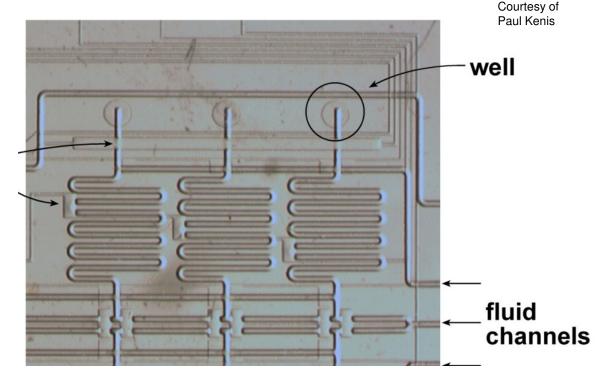
Q: How do we formulate tractable approaches to address systems with these characteristics?

2. <u>Sparsity of on-line measurements available</u> for process identification

# 2. Sparsity of on-line measurements available for process identification: Example

- Can detect when crystals form in nL drops by x-ray crystallography
- Only 1 data point per experiment





- No real-time sensors are available for measurement *during* nucleation
- In particular, no real-time measurement of solution concentrations in nL droplets

L. M. Goh, K. J. Chen, V. Bhamidi, G. He, N. C. S. Kee, P. J. A. Kenis, C. F. Zukoski, and R. D. Braatz. Crystal Growth & Design, 10:2515-2521, 2010

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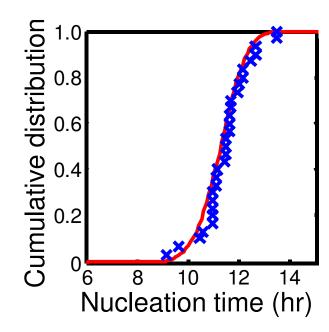
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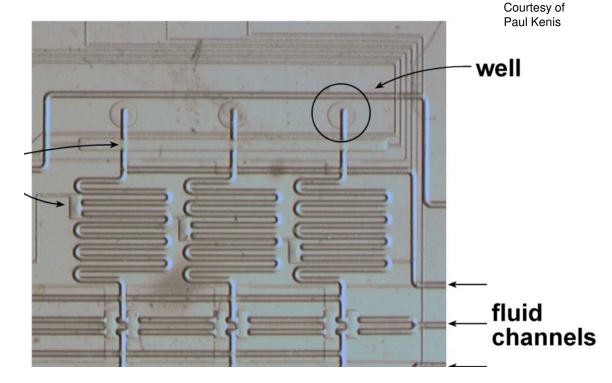
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3. <u>Sparsity of manipulated variables available</u> for process identification and control

# 3. Sparsity of manipulated variables available for process identification and control

- Can detect when crystals form in nL drops by x-ray crystallography
- Only 1 data point per experiment





 The only real-time manipulated variable is typically the temperature, but most proteins and many drugs are too thermally sensitive for T to be used as a manipulated variable

L. M. Goh, K. J. Chen, V. Bhamidi, G. He, N. C. S. Kee, P. J. A. Kenis, C. F. Zukoski, and R. D. Braatz. Crystal Growth & Design, 10:2515-2521, 2010

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### Some approaches:

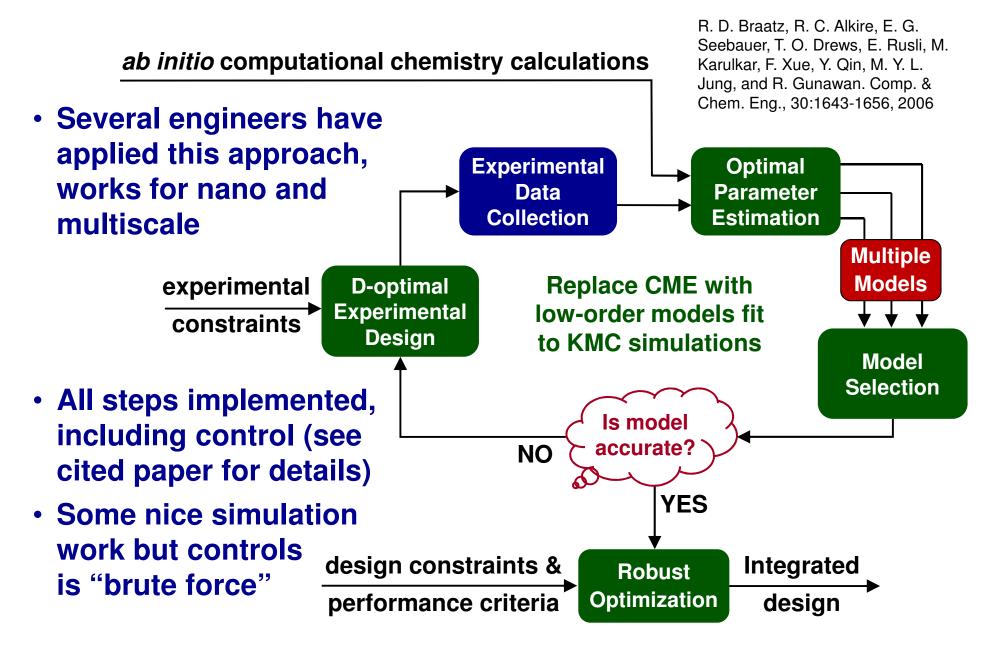
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- → Accelerate KMC by exploiting scale separation inherent in many systems (Rao, Rawlings, Kevrekidis, Vlachos, …)
- → Numerically solve Chemical Master equation (Paul Barton, George Stephanopoulos, Mustafa Khammash)
- → Analytically solve Chemical Master equation by exploiting the structure of interactions between events

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# **PSE Tools Based on KMC Simulations**

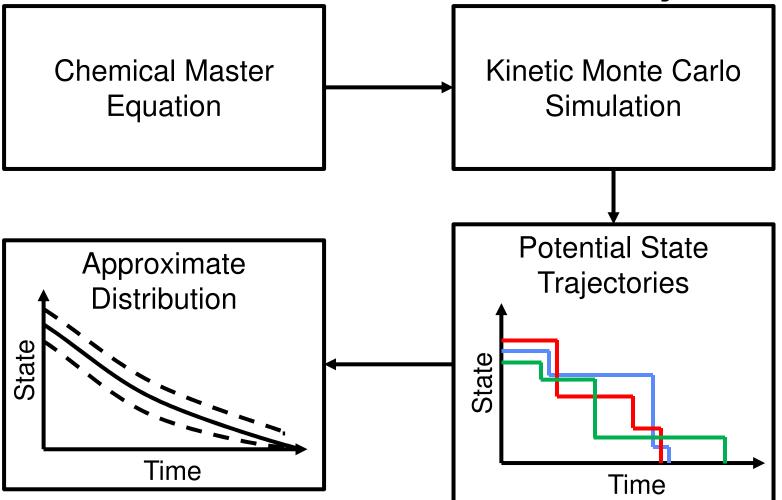


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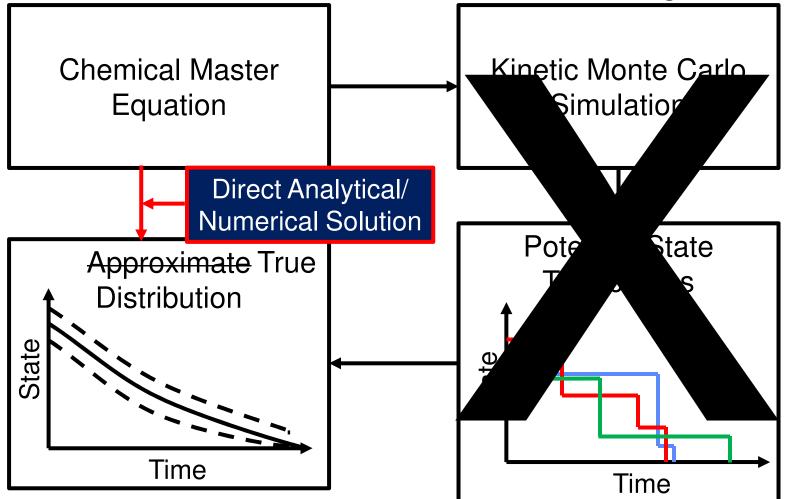
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# Standard Approach is to use KMC Simulations to Construct Distributions of State Trajectories



→ High computational cost and inconvenient for analysis/control Q: Could there be a better way, at least for some nanosystems?

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### **Structure of Chemical Master Equation**

Chemical Master equation:

$$\frac{dP(\sigma,t)}{dt} = \sum_{\sigma'} W(\sigma',\sigma) P(\sigma',t) - \sum_{\sigma'} W(\sigma,\sigma') P(\sigma,t)$$

- Linear time-varying system:
  - Probabilities stacked into a single state vector *x*(*t*)

$$\frac{d}{dt}x(t) = A(t;\theta)x(t)$$

- The chemical kinetic, adsorption and desorption constants, diffusion coefficients, and equilibrium constants collected into the vector  $\theta$
- Transition rates collected into the matrix  $A(t; \theta)$  that depends on temperature, external species concentrations, etc.
- $A(t; \theta)$  is highly structured for most nanoscale systems

Chemical Master equation for nucleation in a nanodroplet:

$$\frac{dP_n(t)}{dt} = \kappa(t) \left[ P_{n-1}(t) - P_n(t) \right], \ n = 0, 1, 2, \dots$$

#### where

- $P_n(t)$  = probability that population size N(t) has the value *n* at time *t*  $\kappa(t)$  = time-varying probability of nucleation = f(nucleation rate, V(t))
- Use probability generating function\* to generate analytical solution

$$P_n(t) = \frac{1}{n!} \left[ \int_0^t \kappa(s) ds \right]^n e^{-\int_0^t \kappa(s) ds}, \quad n = 0, 1, 2, ...$$

Have applied analytical model to identify nucleation kinetics under operating conditions very difficult to achieve in other systems

#### Also used to quantify uncertainties and gain insights into mechanisms

L. M. Goh, K. J. Chen, V. Bhamidi, G. He, N. C. S. Kee, P. J. A. Kenis, C. F. Zukoski, and R. D. Braatz. Crystal Growth & Design, 10:2515-2521, 2010

\* D. G. Kendall, J. Roy. Stat. Soc. Ser. B, 11:211-229, 1949

### Solution via a probability generating function

**Chemical Master equation:** 

$$\frac{dP_n(t)}{dt} = \kappa(t) [P_{n-1}(t) - P_n(t)], \ n = 0, 1, 2, \dots$$

Equation must satisfy the PDE (match each term):

$$\frac{\partial \varphi(z,t)}{\partial t} = (z-1)\kappa(t)\varphi(z,t) \quad \text{where} \quad \varphi(z,t) = \sum_{n=0}^{\infty} z^n P_n(t)$$

**Define**  $\kappa(t)\partial t = \partial s$  and integrate analytically to obtain

$$\varphi(z,t) = e^{(z-1)\int_0^t \kappa(s)ds} = e^{z\int_0^t \kappa(s)ds} e^{-\int_0^t \kappa(s)ds}$$

Expand first term in a Taylor series to obtain

$$\varphi(z,t) = \left[1 + z \int_0^t \kappa(s) ds + \frac{z^2}{2!} \left(\int_0^t \kappa(s) ds\right)^2 + \cdots \right] e^{-\int_0^t \kappa(s) ds}$$

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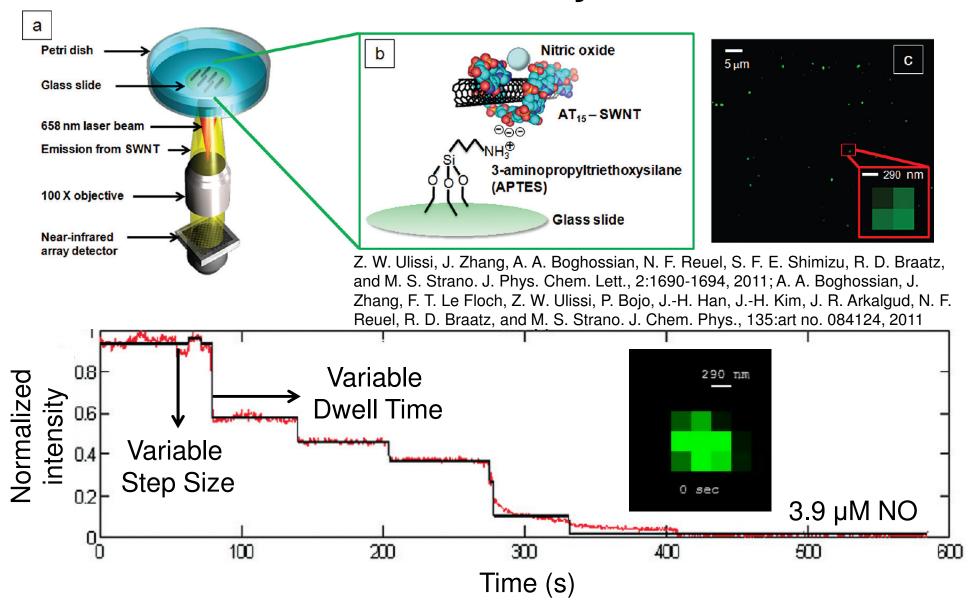
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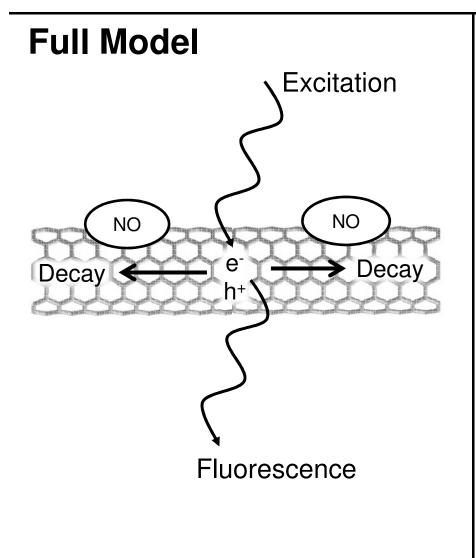
# This CME is easy to solve by other methods; PGFs also applies to systems with two-way interactions

Expand first term in a Taylor series to obtain

$$\varphi(z,t) = \left[1 + z \int_0^t \kappa(s) ds + \frac{z^2}{2!} \left(\int_0^t \kappa(s) ds\right)^2 + \cdots \right] e^{-\int_0^t \kappa(s) ds}$$



# **Example: Single-molecule sensor model**

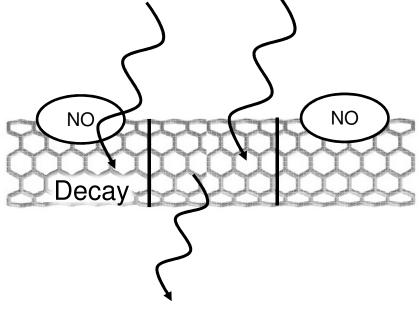


#### (DNA not shown to simplify figures)

D. M. Harrah and A. K. Swan. ACS nano, 5:647-655, 2011

### **Simplified Model**

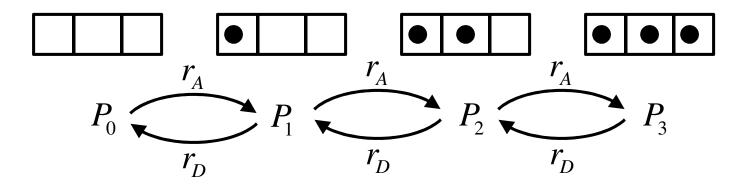
- Finite constant number of uniform segments
- · Each segment is independent
- A segment with NO does not fluoresce
- A segment without NO fluoresces
- · Only one NO can bind to each site
- Don't consider size of the intensity change



Quenching depends on the action of single molecules

#### **Example: Single-molecule sensor arrays**

 Chemical Master equation with use of equivalent classes (good)

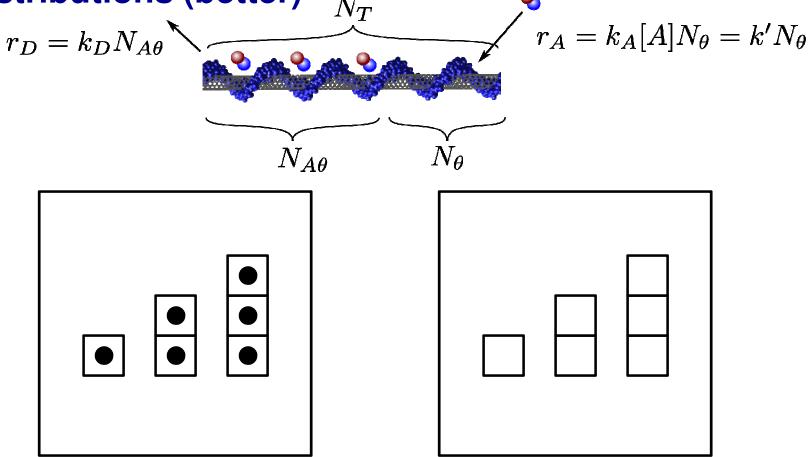


 $\frac{dP(\sigma,t)}{dt} = \sum_{\sigma'} W(\sigma',\sigma) P(\sigma',t) - \sum_{\sigma'} W(\sigma,\sigma') P(\sigma,t)$ 

Z. W. Ulissi, J. Zhang, A. A. Boghossian, N. F. Reuel, S. F. E. Shimizu, R. D. Braatz, and M. S. Strano. J. Phys. Chem. Lett., 2:1690-1694, 2011; A. A. Boghossian, J. Zhang, F. T. Le Floch, Z. W. Ulissi, P. Bojo, J.-H. Han, J.-H. Kim, J. R. Arkalgud, N. F. Reuel, R. D. Braatz, and M. S. Strano. J. Chem. Phys., 135:art no. 084124, 2011

#### **Example: Single-molecule sensor arrays**

 Reformulate in terms of discrete population distributions (better)
 N<sub>T</sub>



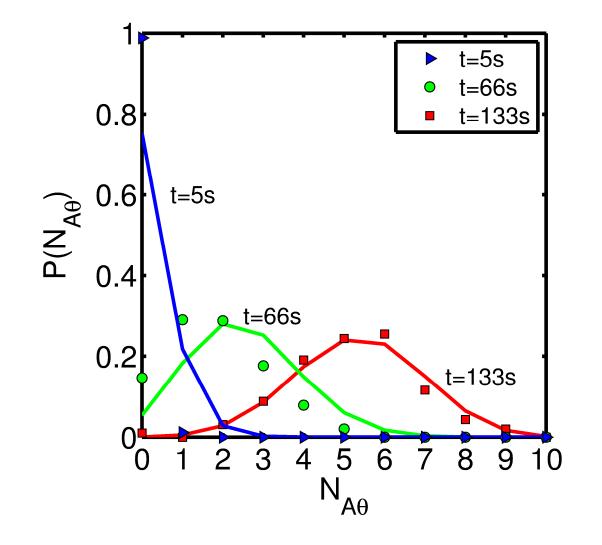
Solution still conforms to the Chemical Master eqn.

#### **Example: Single-molecule sensor arrays**

- First parts of the solution in Siegert, 1949 (possibly earlier in the Markov Chain literature)
- The solution is a discrete convolution of timevarying binomial distributions (from solving ODEs)
- Relevant literature:
  - A. J. F. Siegert. On the approach to statistical equilibrium. Physical Review, 76:1708-1714, 1949
  - I. M. Krieger and P. G. Gans. First-order stochastic processes. J. Chem. Phys., 32:247-250, 1960
  - D. T. Gillespie. The Chemical Langevin and Fokker-Planck equations for the reversible isomerization reaction. J. Phys. Chem. A, 106:5063-5071, 2002
  - <u>T. Jahnke and W. Huisinga</u>. Solving the chemical master equation for monomolecular reaction systems analytically. J. Math. Biology, 54:1-26, 2007

#### **Example: Single-molecule NO sensor arrays**

Comparison to experimental data:



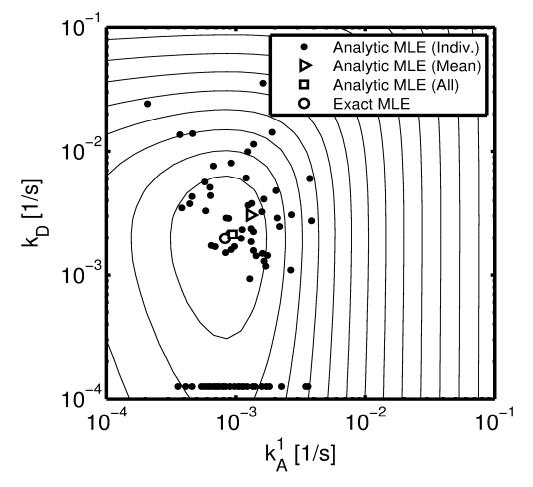
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## Analytical solution enables the answering of many fundamental and practical systems questions

- How to optimally estimate adsorption rate constants (and local NO concentrations) for 2D carbon nanotube sensor arrays?
- What is the uncertainty in the parameter estimates?
- How much of the variance in sensor data is intrinsic vs. other sources?
- What is the best achievable state estimation and feedback control performance?

### **Maximum Likelihood Estimation (MLE)**

→ Analytical solution makes it possible to derive an analytical expression for the maximum likelihood estimates



Z. W. Ulissi, J. Zhang, A. A. Boghossian, N. F. Reuel, S. F. E. Shimizu, R. D. Braatz, and M. S. Strano. J. Phys. Chem. Lett., 2:1690-1694, 2011

- Ignoring the specific stochastic nature can give wrong results
- Estimate obtained by averaging results of KMCs was off by <u>a factor of 8</u>
- Analytical expressions for uncertainty in the parameters, intrinsic variation vs. other sources
- Enables 2D estimation & control (w/Jay H. Lee)\*

<sup>\*</sup> H. Jang, K.-K. K. Kim, J. H. Lee, and R. D. Braatz. Fast moving horizon estimation for a distributed parameter system. *12th International Conference on Control, Automation and Systems*, Jeju Island, Korea, Paper TA01-2, October 17-21, 2012.

### **Addressing Systems & Control Challenges**

- 1. High state dimensionality and inherent stochasticity of molecular events
  - → Analytically solve Chemical Master equation by exploiting structure of interactions between events
    - (i) **Probability-generating functions**
    - (ii) <u>Reformulation as discrete population balance</u> <u>equations</u>
    - (iii) Exploiting of symmetries (Z. W. Ulissi, M. C. Molaro, M. S. Strano, and R. D. Braatz. Proceedings of the American Control Conference, Montreal, Quebec, pp. 1-8, 2012; J. G. VanAntwerp, A. P. Featherstone, B. A. Ogunnaike, and R. D. Braatz. Automatica, 43:191-211, 2007)
    - (iv) Linear time-varying dynamical systems theory
  - → Greatly facilitates dynamic analysis, experimental design, parameter & state estimation, optimal control, …
  - $\rightarrow$  Still need more theoretical approaches

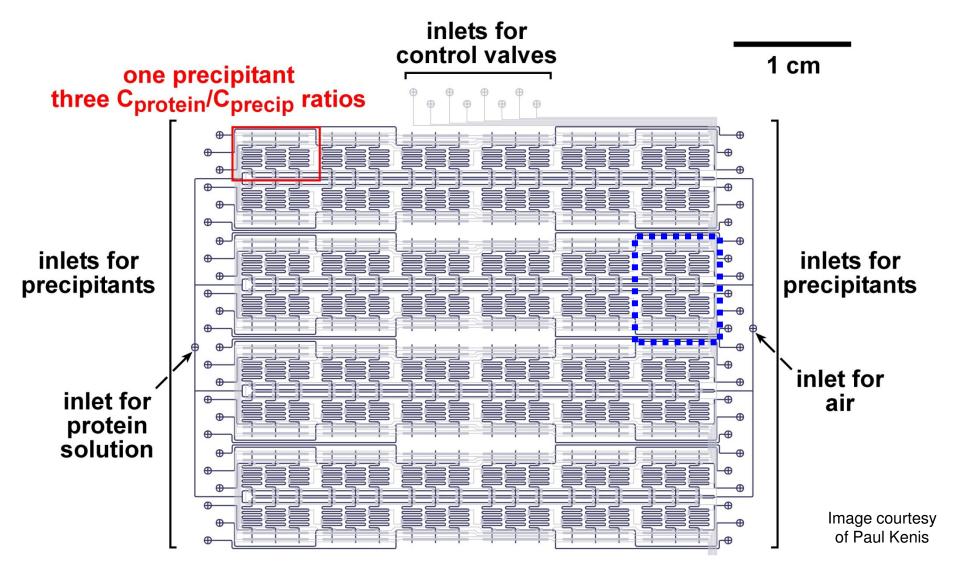
#### **Typical Challenges, and Some Questions**

- 1. High state dimensionality and inherent stochasticity of molecular events
  - Q: How do we formulate tractable approaches to address systems with these characteristics?
- 2. Sparsity of on-line measurements available for process identification
  - Q: How do we abstract the most information from the data, and redesign systems to obtain more data?

#### **Some Approaches:**

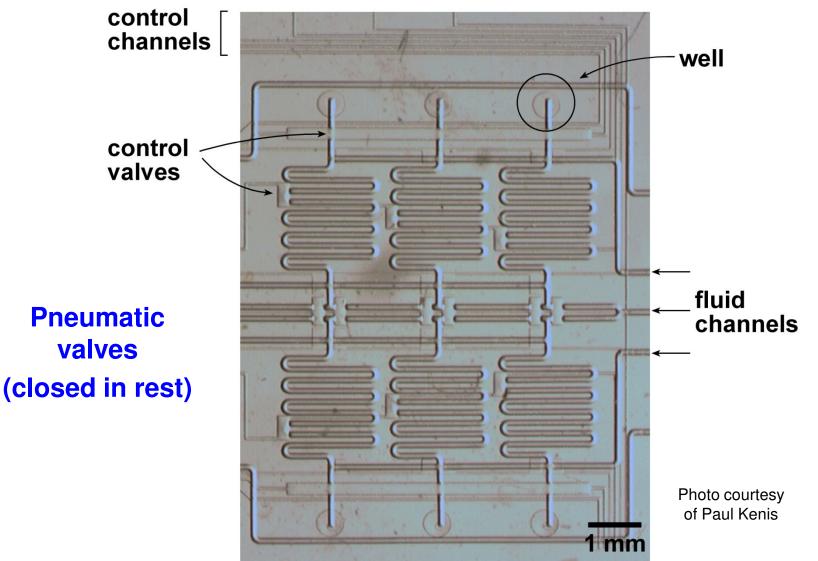
- → Employ high-throughput NEMS/MEMS devices
- $\rightarrow$  Instead of filtering away the noise, exploit it

# 2. Employ high-throughput NEMS/MEMS devices to resolve sparsity of on-line measurements



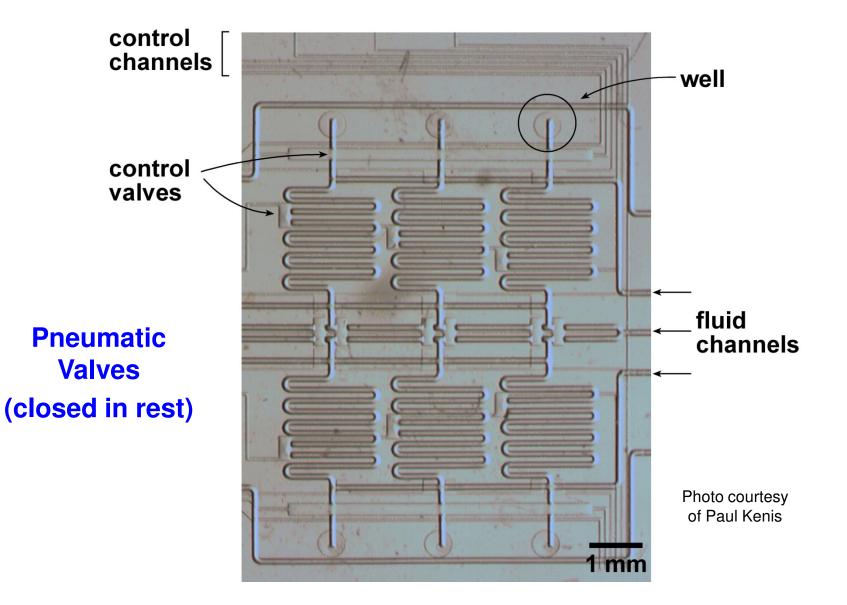
144 measurements for each chip: optical + x-ray

# 2. Employ high-throughput NEMS/MEMS devices to resolve sparsity of on-line measurements

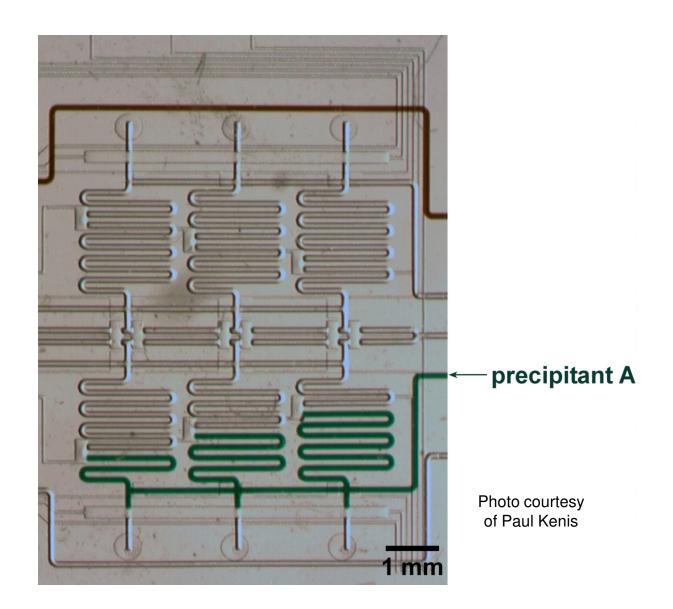


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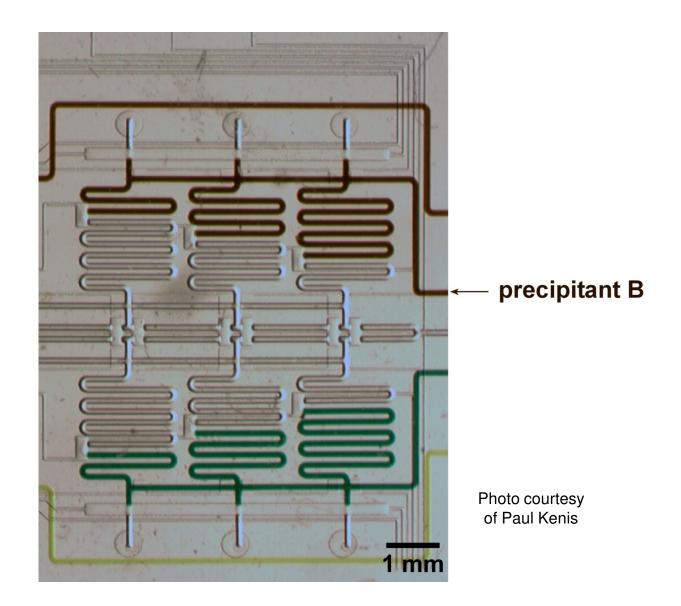
#### Mixing Array for 6 Wells



#### **Introducing Precipitant A**



#### **Introducing Precipitant B**



#### **Introducing Protein**

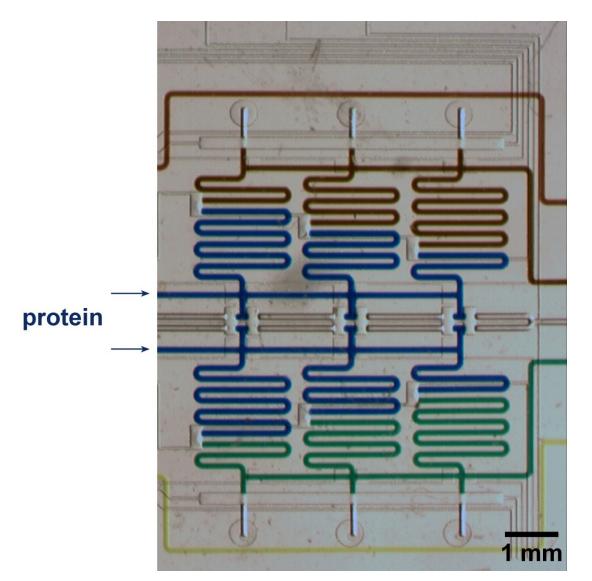


Photo courtesy of Paul Kenis

#### **Empty Mixtures into Wells**

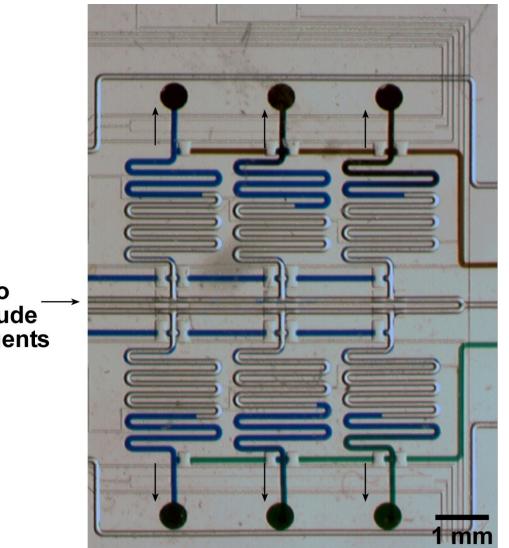
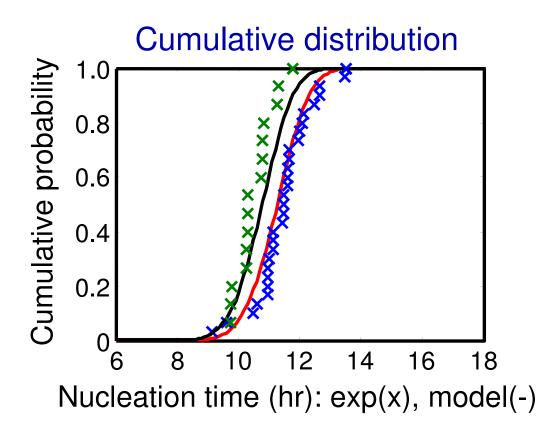


Photo courtesy of Paul Kenis

air to extrude reagents

#### Example Application: Lysozyme-NaCI-H2O System

Estimate nucleation kinetics from fitting CDF for a single experiment condition (exps. repeated in parallel) → used the "noise" to identify model parameters!



$$J(S) = AC \exp\left(-\frac{B}{(\ln S)^2}\right)$$

Parameter estimates:

$$A = 2.2 \times 10^5, B = 9.1$$

### See references for many more applications:

- L. M. Goh, K. J. Chen, V. Bhamidi, G. He, N. C. S. Kee, P. J. A. Kenis, C. F. Zukoski, and R. D. Braatz. Crystal Growth & Design, 10:2515-2521, 2010
- K. Chen, L. M. Goh, G. W. He, V. Bhamidi, P. J. A. Kenis, C.F. Zukoski, and R. D. Braatz. Chem. Eng. Sci., 77:235-241, 2012

#### **Typical Challenges, and Some Questions**

1. High state dimensionality and inherent stochasticity of molecular events

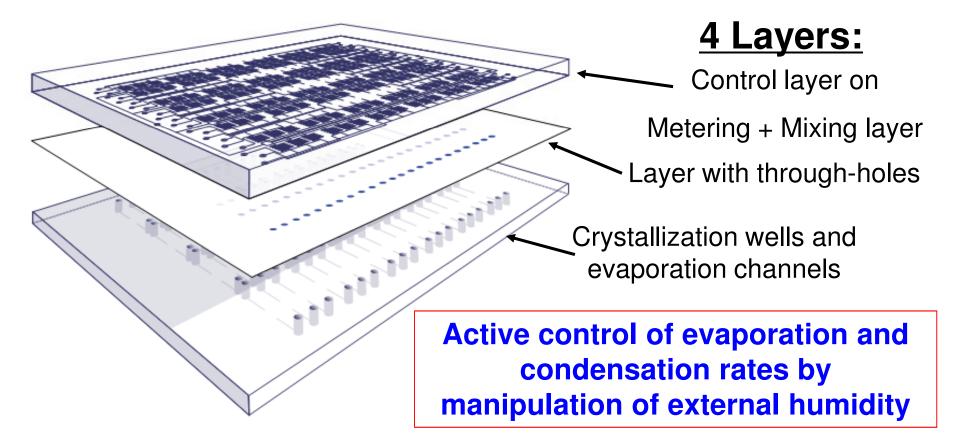
Q: How do we formulate tractable approaches to address systems with these characteristics?

- 2. Sparsity of on-line measurements available for process identification
  - Q: How do we abstract the most information from the data, and redesign systems to obtain more data?
- 3. Sparsity of manipulated variables available for process identification and control
  - Q: How do <u>we redesign systems to have more</u> <u>manipulated variables</u>, and formulate tractable approaches to dealing with some of these new modes of manipulation?

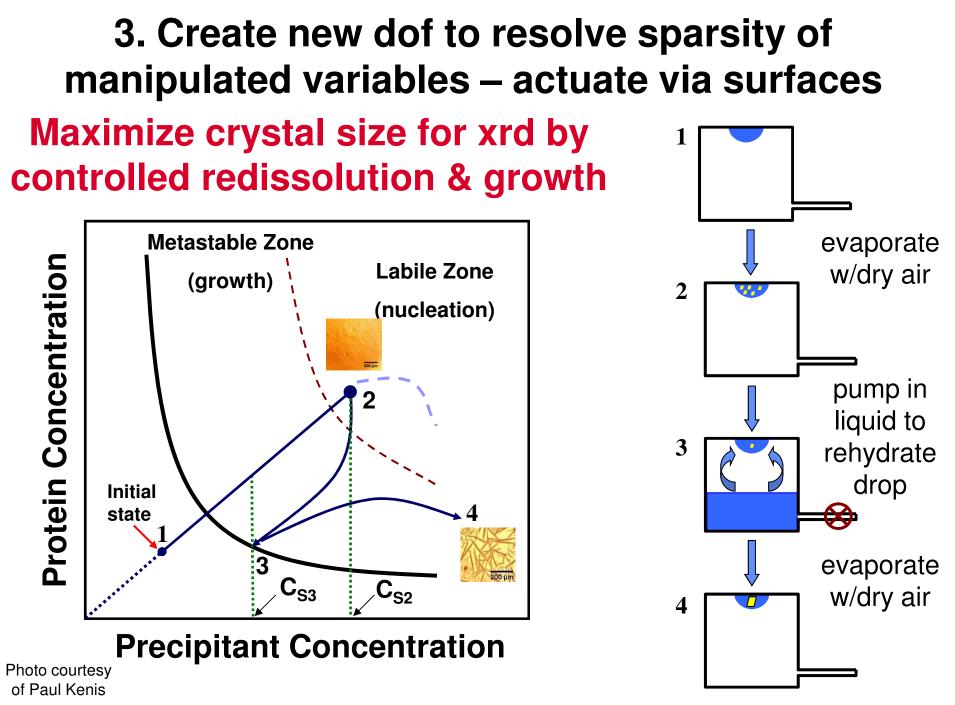
### 3. Create new dof to resolve sparsity of manipulated variables – actuate via surfaces

#### Nano/Microfluidics Chip:

#### 144 crystallization wells, 5-30 nL each



S. Talreja, S. L. Perry, S. Guha, V. Bhamidi, C. F. Zukoski, and P. J. A. Kenis. J. Phys. Chem. B, 114:4432-4441, 2010

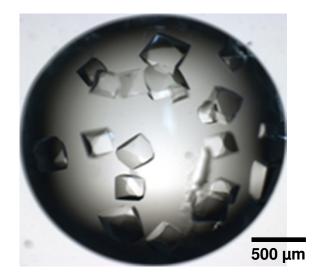


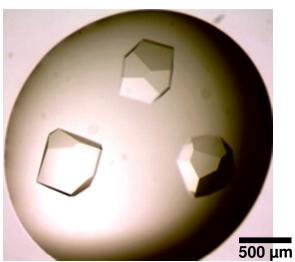
S. Talreja, S. L. Perry, S. Guha, V. Bhamidi, C. F. Zukoski, and P. J. A. Kenis. J. Phys. Chem. B, 114:4432-4441, 2010

#### 3. Create new dof to resolve sparsity of manipulated variables – actuate via surfaces

#### **RNase A**

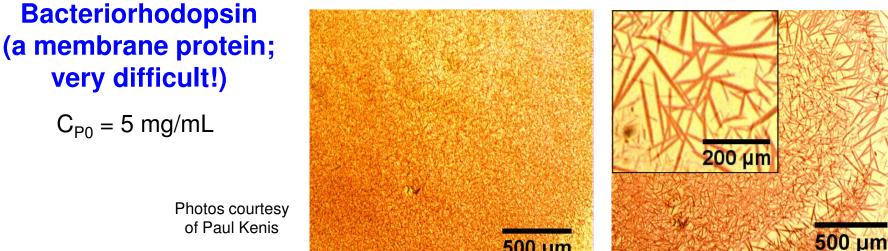
 $C_{\rm P}/C_{\rm S} = 10 \text{ mg}/(\text{mL}^{-}\text{M})$  $C_{P0} = 20 \text{ mg/mL}$  $C_{S0} = 2 M$ 





With Control

Without Control



S. Talreja, S. L. Perry, S. Guha, V. Bhamidi, C. F. Zukoski, and P. J. A. Kenis. J. Phys. Chem. B, 114:4432-4441, 2010

500 µm

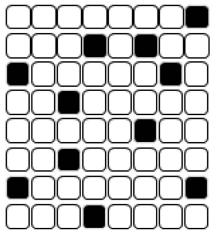
## 3. Create new dof to resolve sparsity of manipulated variables – actuate via external fields



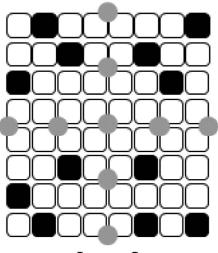
- Approach: actuate through external fields
- Photograph shows the use of an external magnetic to focus nanoparticles to a tumor
- A lot of research is focused on precise control of the motion of particles and the formation of nanostructured materials (e.g., Paul Barton, George Stephanopoulos, Ben Shapiro)

Photo courtesy of A.S. Lübbe et al., Cancer Research, 56:4686-4693, 1996; A. Sarwar, A. Nemirovski, and B. Shapiro, Journal of Magnetism and Magnetic Materials, 324:742-754, 2012

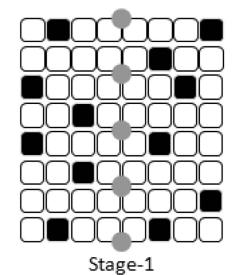
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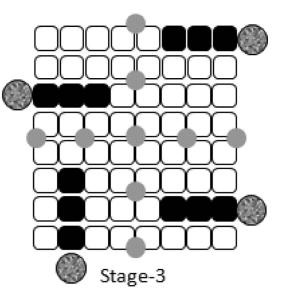


Random Initial Configuration



Stage-2





- Use of charges above or below a surface to control of the motion of particles to form nanostructured materials
- Evolution of control points to construct a 2D nanostructure

Control points with negative charge

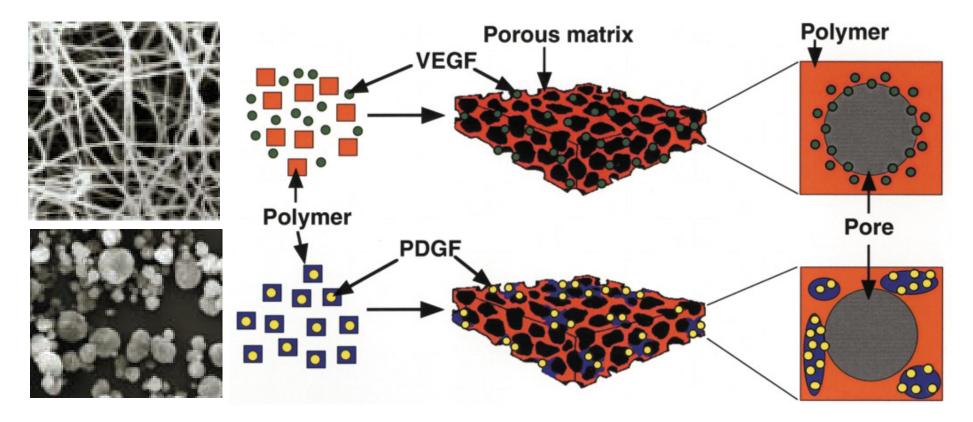


Control points with positive charge

Image from E. O. P. Solis, P. I. Barton, and G. Stephanopoulos. Ind. Eng. Chem. Res., 49:7746-7757, 2010

# 3. Create new dof to resolve sparsity of manipulated variables – embedded actuation

- Approach: embed control into the system
- Release molecules in response to local pH, light, pressure, chemical concentration, temperature, ...

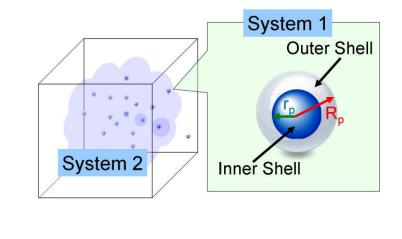


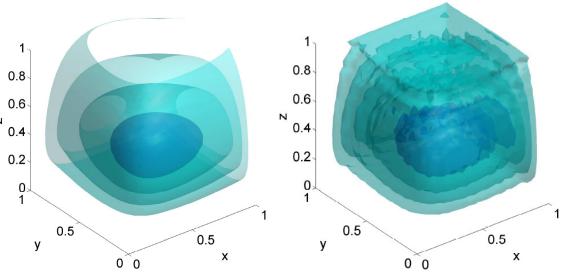
Images from W. M. Saltzman and W. L. Olbricht. Nat. Rev. Drug Disc., 1:177-186, 2002

# 3. Create new dof to resolve sparsity of manipulated variables – embedded actuation

- Example of design of embedded particles to release molecules in response to local concentration
- Comparison of reference and achieved 3D isosurfaces for the concentration of a signaling molecule released from polymer

   spheres within a
   0.8
   0.6
   0.4





M. Kishida, D. W. Pack, and R. D. Braatz, Proceedings of the American Control Conference, pp. 4361-4366, 2010

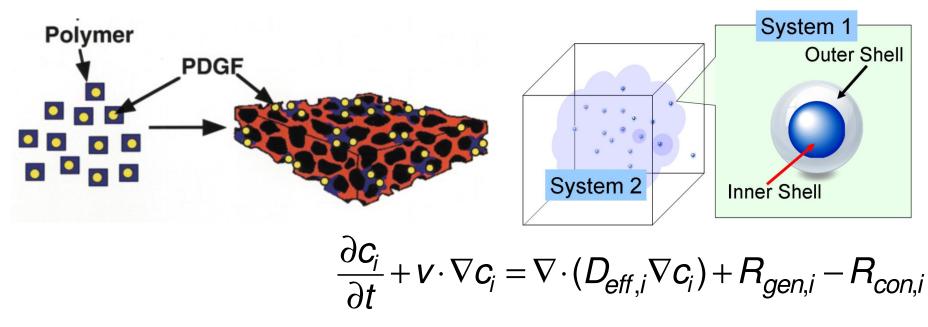
#### **Typical Challenges, and Some Questions**

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- Approach: embed control into the system
- Release molecules in response to local pH, light, pressure, chemical concentration, temperature, ...
- Q: How to handle the large number of dofs?
- → E.g., a discretization approach for the design and placement of nanoparticles in a tissue construct would require 100×100×100×100×10=10<sup>9</sup> design variables



#### **Typical Challenges, and Some Questions**

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  - Q: How do we formulate tractable approaches to address systems with these characteristics?
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### Summary

- Discussed control of systems in which key phenomena occur at the nanoscale
- Discussed some approaches to address the challenges:
  - Fast KMC+ or direct analytical or numerical solution of the Chemical Master equation (by exploiting model structure)
  - Employ high-throughput NEMS/MEMS (to generate data)
  - Exploit information from the intrinsic process noise
  - Create new degrees of freedom for control (surfaces, external fields, and embedded actuation)
- Illustrated approaches on a variety of applications
- Model identification, estimation, and control designs have been validated in experiments

### Outline

- Introduction
- Challenges and questions
- Some approaches
- Some more questions

#### **Structure of Chemical Master Equation**

Chemical Master equation:

$$\frac{dP(\sigma,t)}{dt} = \sum_{\sigma'} W(\sigma',\sigma) P(\sigma',t) - \sum_{\sigma'} W(\sigma,\sigma') P(\sigma,t)$$

- Linear time-varying system:
  - Probabilities stacked into a single state vector *x*(*t*)

$$\frac{d}{dt}x(t) = A(t;\theta)x(t)$$

- The chemical kinetic, adsorption and desorption constants, diffusion coefficients, and equilibrium constants collected into the vector  $\theta$
- Transition rates collected into the matrix  $A(t; \theta)$  that depends on temperature, external species concentrations, etc.
- $A(t; \theta)$  is highly structured for most nanoscale systems

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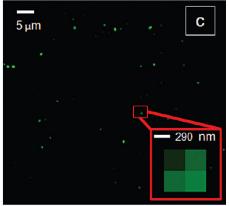
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- $A(t; \theta)$  is highly structured for most nanoscale systems

- Q: How to develop theory and algorithms for the identification, estimation, and control of
  - Nanoscale systems

$$\frac{d}{dt}x(t) = A(t;\theta)x(t); \qquad \frac{d}{dt}x(t) = A(u(t);\theta)x(t)$$

- Multiscale systems, e.g.,

$$\frac{d}{dt}x(t) = A(y(t);\theta)x(t)$$
$$L(y(t), u(t);\varphi) = 0 \quad \text{(IPDAE system)}$$



### Probabilities are computed in the CME model, but usually measure result of a single realization; w/different stochasticity

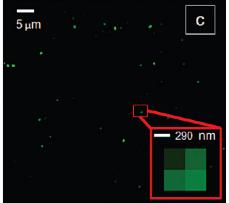
→ Would increase theoretical confidence (by directly analyzing the CME instead of low-order fit), & provide real-time solutions

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$$L(y(t), u(t);\varphi) = 0 \quad \text{(IPDAE system)}$$



Q: How to best deal with uncertainties vs. inherent stochasticity (largely non-Gaussian)? Direct application of Markov Chain Monte Carlo & Polynomial Chaos Expansions or something better able to exploit the model structure?

- Q: How do we educate our nanoscale collaborators to transition our systems engineering methods into practice?
- Partial solution: serve on nano PhD committees
- Partial solution: jointly supervise graduate students and postdocs to solve their nanosystems problems
- Partial solution: Courses; MIT graduate students take
  - Numerical methods (probability, statistics, Chemical Master Eqns., KMC simulation, population balance models, IPDAEs) – ALL
  - Systems engineering (structural analysis, dynamic modeling, steady-state and dynamic simulation and simulators, optimization, DAEs, SPC, process control) – most graduate students take this
  - → Students gain understanding and learn the same language as process systems engineers

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- Prof. Rudiyanto Gunawan ETH Zurich
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