

**Part I**  
**Basic Concepts and Principles**



# 1

## Introduction

### 1.1 Background and Scope

Engineering can be defined as “the science or art of practical applications of the knowledge of pure sciences such as physics, chemistry, and biology.”

Compared with civil, mechanical, and other forms of engineering, chemical engineering is a relatively young branch of the subject that has been developed since the early twentieth century. The design and operation of efficient chemical plant equipment are the main duties of chemical engineers. It should be pointed out that industrial-scale chemical plant equipment cannot be built simply by enlarging the laboratory apparatus used in basic chemical research. Consider, for example, the case of a chemical reactor—that is, the apparatus used for chemical reactions. Although neither the type nor size of the reactor will affect the rate of the chemical reaction *per se*, they will affect the overall or apparent reaction rate, which involves effects of physical processes, such as heat and mass transfer and fluid mixing. Thus, in the design and operation of plant-size reactors, the knowledge of such physical factors – which often is neglected by chemists – is important.

G. E. Davis, a British pioneer in chemical engineering, described in his book, *A Handbook of Chemical Engineering* (1901, 1904), a variety of physical operations commonly used in chemical plants. In the United States, such physical operations as distillation, evaporation, heat transfer, gas absorption, and filtration were termed “unit operations” in 1915 by A. D. Little of the Massachusetts Institute of Technology (MIT), where the instruction of chemical engineering was organized via unit operations. The first complete textbook of unit operations entitled *Principles of Chemical Engineering* by Walker, Lewis and McAdams of the MIT was published in 1923. Since then, the scope of chemical engineering has been broadened to include not only unit operations but also chemical reaction engineering, chemical engineering thermodynamics, process control, transport phenomena, and other areas.

*Bioprocess plants* using microorganisms and/or enzymes, such as fermentation plants, have many characteristics similar to those of chemical plants. Thus, a chemical engineering approach should be useful in the design and operation of

various plants which involve biological systems, if the differences in the physical properties of some materials are taken into account. Furthermore, chemical engineers are required to have some knowledge of biology when tackling problems that involve biological systems.

Since the publication of a pioneering textbook [1] in 1964, some excellent books [2, 3] have been produced in the area of the so-called “biochemical” or “bioprocess” engineering. Today, the applications of chemical engineering are becoming broader to include not only bioprocesses but also various biological systems involving environmental technology and even some medical devices, such as artificial organs.

## 1.2 Dimensions and Units

A quantitative approach is important in any branch of engineering. However, this does not necessarily mean that engineers can solve everything theoretically, and quite often they use empirical rather than theoretical equations. Any equation – whether theoretical or empirical – which expresses some quantitative relationship must be dimensionally sound, as will be stated below.

In engineering calculations, a clear understanding of dimensions and units is very important. *Dimensions* are the basic concepts in expressing physical quantities. Dimensions used in chemical engineering are length (L), mass (M), time (T), the amount of substance ( $n$ ) and temperature ( $\theta$ ). Some physical quantities have combined dimensions; for example, the dimensions of velocity and acceleration are  $LT^{-1}$  and  $LT^{-2}$ , respectively. Sometimes force (F) is also regarded as a dimension; however, as the force acting on a body is equal to the product of the mass of that body and the acceleration working on the body in the direction of force, F can be expressed as  $MLT^{-2}$ .

*Units* are measures for dimensions. Scientists normally use the centimeter (cm), gram (g), second (s), mole (mol), and degree Centigrade ( $^{\circ}C$ ) as the units for the length, mass, time, amount of substance, and temperature, respectively (the CGS system). Whereas, the units often used by engineers are m, kg, h, kmol, and  $^{\circ}C$ . Traditionally, engineers have used kg as the units for both mass and force. However, this practice sometimes causes confusion, and to avoid this a designation of kg-force ( $kg_f$ ) is recommended. The unit for pressure,  $kg\ cm^{-2}$ , often used by plant engineers should read  $kg_f\ cm^{-2}$ . Mass and weight are different entities: the *weight* of a body is the gravitational force acting on the body, that is, (mass) (gravitational acceleration  $g$ ). Strictly speaking,  $g$  – and hence weight – will vary slightly with locations and altitudes on the Earth. It would be much smaller in a space ship.

In recent engineering research papers, units with the International System of Units (SI) are generally used. The SI system is different from the CGS system often used by scientists, or from the conventional metric system used by engineers [4]. In the SI system, kg is used for mass only, and Newton (N), which is the unit

for force or weight, is defined as  $\text{kg m s}^{-2}$ . The unit for pressure, Pa (pascal), is defined as  $\text{N m}^{-2}$ . It is roughly the weight of an apple distributed over the area of one square meter. As it is generally too small as a unit for pressure, kPa (kilopascal) (i.e., 1000 Pa) and MPa (megapascal) (i.e.,  $10^6$  Pa) are more often used. One bar, which is equal to 0.987 atm, is  $100 \text{ kPa} = 0.1 \text{ MPa} = 1000 \text{ h Pa}$  (hectopascal).

The SI unit for energy or heat is the joule (J), which is defined as  $\text{J} = \text{N m} = \text{kg m}^2 \text{ s}^{-2} = \text{Pa m}^3$ . In the SI, calorie is not used as a unit for heat, and hence no conversion between heat and work, such as  $1 \text{ cal} = 4.184 \text{ J}$ , is needed. Power is defined as energy per unit time, and the SI unit for power is W (watt)  $= \text{J s}^{-1}$ . Since W is usually too small for engineering calculations, kW ( $= 1000 \text{ W}$ ) is more often used. Although use of the SI units is preferred, we shall also use in this book the conventional metric units that are still widely used in engineering practice. The English engineering unit system is also used in engineering practice, but we do not use it in this text book. Values of the conversion factors between various units that are used in practice are listed in the Appendix, at the back of this book.

Empirical equations are often used in engineering calculations. For example, the following type of equation can relate the specific heat capacity  $c_p$  ( $\text{J kg}^{-1} \text{ K}^{-1}$ ) of a substance with its absolute temperature  $T$  (K).

$$c_p = a + bT \quad (1.1)$$

where  $a$  ( $\text{kJ kg}^{-1} \text{ K}^{-1}$ ) and  $b$  ( $\text{kJ kg}^{-1} \text{ K}^{-2}$ ) are empirical constants. Their values in the kcal, kg, and  $^{\circ}\text{C}$  units are different from those in the kJ, kg, and K units. Equations such as Equation 1.1 are called *dimensional equations*. The use of dimensional equations should preferably be avoided; hence, Equation 1.1 can be transformed to a non-dimensional equation such as

$$(c_p/R) = a' + b'(T/T_c) \quad (1.2)$$

where  $R$  is the gas law constant with the same dimension as  $c_p$ , and  $T_c$  is the critical temperature of the substance in question. Thus, as long as the same units are used for  $c_p$  and  $R$  and for  $T$  and  $T_c$ , respectively, the values of the ratios in the parentheses as well as the values of coefficients  $a'$  and  $b'$  do not vary with the units used. Ratios such as those in the above parentheses are called *dimensionless numbers* (groups), and equations involving only dimensionless numbers are called *dimensionless equations*.

Dimensionless equations – some empirical and some with theoretical bases – are often used in chemical engineering calculations. Most dimensionless numbers are usually called by the names of the person(s) who first proposed or used such numbers. They are also often expressed by the first two letters of a name, beginning with a capital letter; for example, the well-known Reynolds number, the values of which determine conditions of flow (laminar or turbulent) is usually designated as  $\text{Re}$ , or sometimes as  $N_{\text{Re}}$ . The Reynolds number for flow inside a round, straight tube is defined as  $d\nu\rho/\mu$ , in which  $d$  is the inside tube diameter (L),  $\nu$  is the fluid velocity averaged over the tube cross-section ( $\text{L T}^{-1}$ ),  $\rho$  is the fluid density ( $\text{M L}^{-3}$ ), and  $\mu$  the fluid viscosity ( $\text{M L}^{-1} \text{ T}^{-1}$ ) (this will be defined in Chapter 2). Most dimensionless numbers have some significance, usually ratios

of two physical quantities. How known variables could be arranged in a dimensionless number in an empirical dimensionless equation can be determined by a mathematical procedure known as *dimensional analysis*, which will not be described in this text. Examples of some useful dimensionless equations or correlations will appear in the following chapters of the book.

**Example 1.1**

A pressure gauge reads  $5.80 \text{ kg}_f \text{ cm}^{-2}$ . What is the pressure ( $p$ ) in SI units?

**Solution**

Let  $g = 9.807 \text{ m s}^{-2}$ .

$$p = (5.80)(9.807)/(0.01^{-2}) = 569\,000 \text{ Pa} = 569 \text{ kPa} = 0.569 \text{ MPa}$$

**1.3****Intensive and Extensive Properties**

It is important to distinguish between the intensive (state) properties (functions) and the extensive properties (functions).

Properties which do not vary with the amount of mass of a substance – for example, temperature, pressure, surface tension, and mole fraction – are termed *intensive properties*. On the other hand, those properties which vary in proportion to the total mass of substances – for example, total volume, total mass, and heat capacity – are termed *extensive properties*.

It should be noted, however, that some extensive properties become intensive properties, in case their specific values – that is, their values for unit mass or unit volume – are considered. For example, specific heat (i.e., heat capacity per unit mass) and density (i.e., mass per unit volume) are intensive properties.

Sometimes, capital letters and small letters are used for extensive and intensive properties, respectively. For example,  $C_p$  indicates heat capacity ( $\text{kJ } ^\circ\text{C}^{-1}$ ) and  $c_p$  specific heat capacity ( $\text{kJ kg}^{-1} ^\circ\text{C}^{-1}$ ). Measured values of intensive properties for common substances are available in various reference books [5].

**1.4****Equilibria and Rates**

Equilibria and rates should be clearly distinguished. *Equilibrium* is the end point of any spontaneous process, whether chemical or physical, in which the driving forces (potentials) for changes are balanced and there is no further tendency to change. *Chemical equilibrium* is the final state of a reaction at which no further changes in compositions occur at a given temperature and pressure. As an example of a physical process, let us consider the absorption of a gas into a liquid.

When the equilibrium at a given temperature and pressure is reached after a sufficiently long time, the compositions of the gas and liquid phases cease to change. How much of a gas can be absorbed in the unit volume of a liquid at equilibrium – that is, the solubility of a gas in a liquid – is usually given by the Henry’s law:

$$p = H C \quad (1.3)$$

where  $p$  is the partial pressure (Pa) of a gas,  $C$  is its equilibrium concentration ( $\text{kg m}^{-3}$ ) in a liquid, and  $H$  ( $\text{Pa kg}^{-1} \text{m}^3$ ) is the Henry’s law constant, which varies with temperature. Equilibrium values do not vary with the experimental apparatus and procedure.

The *rate* of a chemical or physical process is its rapidity – that is, the speed of spontaneous changes toward the equilibrium. The rate of absorption of a gas into a liquid is how much of the gas is absorbed into the liquid per unit time. Such rates vary with the type and size of the apparatus, as well as its operating conditions. The rates of chemical or biochemical reactions in a homogeneous liquid phase depend on the concentrations of reactants, the temperature, the pressure, and the type and concentration of dissolved catalysts or enzymes. However, in the cases of heterogeneous chemical or biochemical reactions using particles of catalyst, immobilized enzymes or microorganisms, or microorganisms suspended in a liquid medium, and with an oxygen supply from the gas phase in case of an aerobic fermentation, the overall or apparent reaction rate(s) or growth rate(s) of the microorganisms depend not only on chemical or biochemical factors but also on physical factors such as rates of transport of reactants outside or within the particles of catalyst or of immobilized enzymes or microorganisms. Such physical factors vary with the size and shape of the suspended particles, and with the size and geometry of the reaction vessel, as well as with the operating conditions, such as the degree of mixing or the rate(s) of gas supply. The physical conditions in industrial plant equipment are often quite different from those in the laboratory apparatus used in basic research.

Let us consider, as an example, a case of aerobic fermentation. The maximum amount of oxygen that can be absorbed into the unit volume of a fermentation medium at given temperature and pressure (i.e., the equilibrium relationship) is independent of the type and size of vessel used. On the other hand, the rates of oxygen absorption into the medium vary with the type and size of the fermentor, and also with its operating conditions, such as the agitator speeds and rates of oxygen supply.

To summarize, chemical and physical equilibria are independent of the configuration of apparatus, whereas overall or apparent rates of chemical, biochemical, or microbial processes in industrial plants are substantially dependent on the configurations and operating conditions of the apparatus used. Thus, it is not appropriate to perform so-called “scaling-up” using only those data obtained with a small laboratory apparatus.

## 1.5

### Batch versus Continuous Operation

Most chemical, biochemical, and physical operations in chemical and bioprocess plants can be performed either batchwise or continuously.

A simple example is the heating of a liquid. If the amount of the fluid is rather small (e.g.,  $1 \text{ kl d}^{-1}$ ), then batch heating is more economical and practical, with use of a tank which can hold the entire liquid volume and is equipped with a built-in heater. However, when the amount of the liquid is fairly large (e.g.,  $1000 \text{ kl d}^{-1}$ ), then continuous heating is more practical, using a heater in which the liquid flows at a constant rate and is heated to a required constant temperature. Most unit operations can be carried out either batchwise or continuously, depending on the scale of operation.

Most liquid-phase chemical and biochemical reactions, with or without catalysts or enzymes, can be carried out either batchwise or continuously. For example, if the production scale is not large, then a reaction to produce C from A and B, all of which are soluble in water, can be carried out batchwise in a stirred-tank reactor; that is, a tank equipped with a mechanical stirrer. The reactants A and B are charged into the reactor at the start of the operation. Product C is subsequently produced from A and B as time goes on, and can be separated from the aqueous solution when its concentration has reached a predetermined value.

When the production scale is large, the same reaction can be carried out continuously in the same type of reactor, or even with another type of reactor (see Chapter 7). In this case, the supplies of the reactants A and B and the withdrawal of the solution containing product C are performed continuously, all at constant rates. The washout of the catalyst or enzyme particles can be prevented by installing a filter mesh at the exit of the product solution. Except for the transient start-up and finish-up periods, all of the operating conditions such as temperature, stirrer speed, flow rates and the concentrations of the incoming and outgoing solutions, remain constant – that is, in the steady state.

## 1.6

### Material Balance

Material (mass) balance, the natural outcome from the law of conservation of mass, is a very important and useful concept in chemical engineering calculations. With normal chemical and/or biological systems, we need not consider nuclear reactions that convert mass into energy.

Let us consider a system, which is separated from its surroundings by an imaginary boundary. The simplest expression for the total mass balance for the system is as follows:

$$\text{input} - \text{output} = \text{accumulation} \quad (1.4)$$

The accumulation can be either positive or negative, depending on the relative magnitudes of the input and output. It should be zero with a continuously operated reactor mentioned in the previous section.

We can also consider the mass balance for a particular component in the total mass. Thus, for a component in a chemical reactor,

$$\text{input} - \text{output} + \text{formation} - \text{disappearance} = \text{accumulation} \quad (1.5)$$

In mass balance calculations involving chemical and biochemical systems, it is sometimes more convenient to use the molar units, such as kmol, rather than simple mass units, such as the kilogram.

### Example 1.2

A flow of  $2000 \text{ kg h}^{-1}$  of aqueous solution of ethanol (10 wt% ethanol) from a fermentor is to be separated by continuous distillation into the distillate (90 wt% ethanol) and waste solution (0.5 wt% ethanol). Calculate the amounts of the distillate  $D$  ( $\text{kg h}^{-1}$ ) and the waste solution  $W$  ( $\text{kg h}^{-1}$ ).

#### Solution

Total mass balance:

$$2000 = D + W$$

Mass balance for ethanol:

$$2000 \times 0.10 = D \times 0.90 + (2000 - D) \times 0.005$$

From these relationships we obtain  $D = 212 \text{ kg h}^{-1}$  and  $W = 1788 \text{ kg h}^{-1}$ .

## 1.7

### Energy Balance

Energy balance is an expression of the first law of thermodynamics – that is, the law of the conservation of energy.

For a nonflow system separated from the surroundings by a boundary, the increase in the total energy of the system is given by:

$$\Delta(\text{total energy of the system}) = Q - W \quad (1.6)$$

in which  $Q$  is the net heat supplied to the system, and  $W$  is the work done by the system.  $Q$  and  $W$  are both energy in transit and hence have the same dimension as energy. The total energy of the system includes the total internal energy  $E$ , potential energy (PE), and kinetic energy (KE). In normal chemical engineering calculations, changes in (PE) and (KE) can be neglected. The internal energy  $E$  is the intrinsic energy of a substance including chemical and thermal energy of molecules. Although absolute values of  $E$  are unknown,  $\Delta E$ , difference from its base values, for example, from those at  $0^\circ\text{C}$  and 1 atm, are often available or can be calculated.

Neglecting  $\Delta(\text{PE})$  and  $\Delta(\text{KE})$  we obtain from Equation 1.6

$$\Delta E = Q - W \quad (1.7)$$

The internal energy per unit mass  $e$  is an intensive (state) function. Enthalpy  $h$ , a compound thermodynamic function defined by Equation 1.8, is also an intensive function.

$$h = e + pv \quad (1.8)$$

in which  $p$  is the pressure, and  $v$  is the specific volume. For a constant pressure process, it can be shown that

$$dh = c_p dt \quad (1.9)$$

where  $c_p$  is the specific heat at constant pressure.

For a steady-state flow system, again neglecting changes in the potential and kinetic energies, the energy balance per unit time is given by Equation 1.10.

$$\Delta H = Q - W_s \quad (1.10)$$

where  $\Delta H$  is the total enthalpy change,  $Q$  is the heat supplied to the system, and  $W_s$  is the so-called “shaft work” done by moving fluid to the surroundings, for example, work done by a turbine driven by a moving fluid.

### Example 1.3

In the second milk heater of a milk pasteurization plant,  $1000 \text{ l h}^{-1}$  of raw milk is to be heated continuously from  $75$  to  $135^\circ\text{C}$  by saturated steam at  $500 \text{ kPa}$  ( $152^\circ\text{C}$ ). Calculate the steam consumption ( $\text{kg h}^{-1}$ ), neglecting heat loss. The density and specific heat of milk are  $1.02 \text{ kg l}^{-1}$  and  $0.950 \text{ (kcal kg}^{-1} \text{ }^\circ\text{C}^{-1})$ , respectively.

### Solution

Applying Equation 1.10 to this case,  $W_s$  is zero.

$$\Delta H = Q = (0.950)(1.02)(1000)(135 - 75) = 58\,140 \text{ kcal h}^{-1}$$

The heat of condensation (latent heat) of saturated steam at  $500 \text{ kPa}$  is given in the steam table as  $503.6 \text{ kcal kg}^{-1}$ . Hence, the steam consumption is  $58\,140 / 503.6 = 115.4 \text{ kg h}^{-1}$ .

### ► Problems

1.1 Convert the following units.

- Energy of  $1 \text{ cm}^3 \text{ bar}$  into J.
- A pressure of  $25.3 \text{ lb}_f \text{ in}^{-2}$  into SI units.

1.2 Explain the difference between mass and weight.

**1.3** The Henry constant  $H' = p/x$  for  $\text{NH}_3$  in water at  $20^\circ\text{C}$  is 2.70 atm. Calculate the values of  $H = p/C$ , where  $C$  is  $\text{kmol m}^{-3}$ , and  $m = \gamma/x$ , where  $x$  and  $\gamma$  are the mole fractions in the liquid and gas phases, respectively.

**1.4** It is required to remove 99% of  $\text{CH}_4$  from  $200 \text{ m}^3 \text{ h}^{-1}$  of air (1 atm,  $20^\circ\text{C}$ ) containing 20 mol% of  $\text{CH}_4$  by absorption into water. Calculate the minimum amount of water required ( $\text{m}^3 \text{ h}^{-1}$ ). The solubility of  $\text{CH}_4$  in water  $H' = p/x$  at  $20^\circ\text{C}$  is  $3.76 \times 10$  atm.

**1.5** A weight with a mass of 1 kg rests at 10 m above ground. It then falls freely to the ground. The acceleration of gravity is  $9.8 \text{ m s}^{-2}$ . Calculate

- the potential energy of the weight relative to the ground;
- the velocity and kinetic energy of the weight just before it strikes the ground.

**1.6**  $100 \text{ kg h}^{-1}$  of ethanol vapor at 1 atm,  $78.3^\circ\text{C}$  is to be condensed by cooling with water at  $20^\circ\text{C}$ . How much water will be required in the case where the exit water temperature is  $30^\circ\text{C}$ ? The heat of vaporization of ethanol at 1 atm,  $78.3^\circ\text{C}$  is  $204.3 \text{ kcal kg}^{-1}$ .

**1.7** In the milk pasteurization plant of Example 1.3, what percentage of the heating steam can be saved if a heat exchanger is installed to heat fresh milk at  $75$  to  $95^\circ\text{C}$  by pasteurized milk at  $132^\circ\text{C}$ ?

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## Further Reading

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