
Extreme Methods for Solving Ill-Posed Problems with Applications to Inverse Heat Transfer Problems

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FOREWORD to the English Language Edition

I am honored to write a foreword for this book for a number of reasons. One is that I have been privileged to meet personally each of the authors many times and to have lengthy technical discussions with them. We have conversed in Russia, in the United States and in France. There have been joint technical meetings in Moscow and St. Petersburg in Russia and in East Lansing, Michigan (some of which have had US and Russian government support) as well as other places where we met and discussed inverse problems in heat transfer. Such meetings are very important for the advancing of this research area.

Another reason is that the research and methods *complement* the work done in the United States and elsewhere in the West. With the exception of a book written by Dean Alifanov, there is no other comparable book in English that has the same mathematical depth for solving inverse heat transfer problems using the iterative regularization method. This book has the potential of greatly affecting research in the English-speaking world in a large range of inverse heat transfer problems. The iterative regularization method has many advantages including generality and substantial mathematical underpinning.

Yet another reason is the importance of the general topic. Inverse problems in heat transfer involve combining of analysis and experimentation in a more powerful way than is frequently done in heat transfer and in other fields. The name "new research paradigm" has been suggested. By using the techniques in this book, it is possible to estimate parameters and functions that cannot be found by using techniques now commonly used by experimenters. Furthermore the book discusses how experiments can lead to substantial advances in many facets of engineering, medicine, geology and other fields.

The final reason is that this book is tangible proof of *international cooperation* in engineering and mathematics. We in the United States and other English-speaking countries are indeed fortunate to have this book.

James V. Beck
East Lansing, Michigan

FOREWORD

The theory of ill-posed problems, whose fundamentals were developed by Academician A. N. Tikhonov and some other prominent Soviet mathematicians, is rather new but thriving direction in computational mathematics. Permanent interest to its results can be ascribed primarily to its continuously extending sphere of applications to quite different fields of science and technology and to advances in computer science.

Inverse problems, that require determination of a set of causal characteristics from measurements of a system or a process state, present the widest range of application of the ill-posed problem theory. The disturbance of the natural cause-effect relations results in ill-posedness of inverse problems. Many problems of mathematical model identification are ill-posed. They are to be also used in the cases when required characteristics of the process studied are inaccessible for direct observation.

Effective methods developed for solving inverse problems have allowed researchers to simplify considerably experiments, to increase the accuracy and the confidence of results obtained by a certain complication of algorithms for experimental data processing. The part of work done by a computer increases more and more and that reduces time and cost of experimental studies and facilitates their further computerization.

In view of the above, development of effective methods for solving ill-posed problems and computational algorithms for specific applied problems is now of great interest.

This monograph is based on the authors' studies carried out to investigate one of the most promising trends in the theory of ill-posed problems, namely, iterative regularization and its application to inverse heat transfer problems. The studies have been conducted effectively at Moscow Aviation Institute by a group of researchers directed by Prof. O. M. Alifanov. He has obtained important results in methodology of solution

of ill-posed inverse heat transfer problems and it was he who suggested the iterative regularization method. Efficiency and simplicity of the algorithms and versatility of the iterative regularization method enhanced the development and implementation of the method in practice as well as expansion of classes of the problems which can be solved by the use of this method. The authors consistently discuss a broad range of problems concerned with both the theory of regularizing gradient algorithms and peculiarities of their application to the most often encountered inverse problems of reconstruction of external heat fluxes and the identification of mathematical models for heat transfer processes. Great attention is paid to the synthesis of effective computational algorithms, including calculation of the residual gradient and including apriori information on the desired solution. The ways of increasing the data accuracy by optimal experimental design are considered. The discussion is exemplified by results of model experiments that show high efficiency of the algorithms suggested for a wide class of inverse problems.

Undoubtedly, the book may be of interest for both researches of the theory of ill-posed problems and those interested in its applications to inverse heat transfer problems.

V. A. Mel'nikov

PREFACE

The fundamentals of the theory of ill-posed problems, the regularization theory, were developed in the 1950's – 1960's by Soviet mathematicians A. N. Tikhonov, V. K. Ivanov and M. M. Lavrentiev. Its rapid development in recent years, especially, after publication of A. N. Tikhonov's fundamental articles [190, 191] can be attributed, first, to continuous expansion of the field of practical applications of the theory and second, to substantial advances in computer science. The wide use of computational experiment which reduces not only the time but also the cost of research and development has encouraged practical application of the ill-posed problem theory. The computational experiment is of special importance in computerization of research and design of structures in modern engineering. The problems of structural and parametric identification of mathematical models often appear ill-posed. Ill-posed problems frequently arise in data processing in physical experiments.

In recent years a number of theoretical monographs concerned with the theory of ill-posed problems have been published [72, 90, 117, 122, 142, 187, 193, 196]. However, the monographs actually ignore one of the promising direction in the development of the regularization theory which is widely used, in particular, when solving thermophysical problem. That direction, which can be called "iterative regularization", consists in the construction of regularizing algorithms on the basis of various iterative methods, with an iteration number as the regularization parameter. Many iterative methods, including gradient techniques, are rather resistant to errors in the input data: in the initial iterations the produced approximations differ very little from the corresponding approximations obtained with exact input data and the errors gradually increase as the iteration number rises. Therefore, it is natural to try to get stable approximations, by stopping the iterative process at a certain iteration number

consistent with the error in the initial data. M. M. Lavrentiev was the first who used the idea [116].

The simple iteration method is the most convenient for the analysis because it is linear. With exact initial data, its convergence for equations with a continuous linear operator, having no bounded inverse, has been proved by V. M. Friedman [208] who also proved convergence for nonlinear gradient methods of the steepest descent type [207]. B. A. Morozov [140] and A. B. Bakushinsky [40] have obtained complete enough results on the regularizing properties of the simple iteration method. This method was then analyzed in [42, 111, 171, 182, 183, 234, 235]. However, no specific ways were indicated in the publications for the choice of the regularization parameter (the iteration number). The residual criterion for choosing the regularization parameter when the operator is exactly prescribed has been justified in [40, 83]. A technique for the choice of the parameter, taking into consideration computational errors, has been suggested and justified in [84]. In [56, 57], techniques for choosing the regularization parameter are considered by accounting errors in both the right-hand side and the operator, in particular, a residual criterion and a generalized residual criterion, estimation of errors in corresponding regularization algorithms is given and their optimality in order is shown. In [61] choice of the regularization parameter based on the iterative process "stacking" is justified when both errors in the operator and the right-hand side and the computational errors are taken into account. It should be noted that error estimates for regularizing algorithms were obtained under the assumption of source-like representability of a desired solution that could be a strong enough condition. For example, in boundary inverse heat conduction problems of reconstructing the boundary condition of the first or second kind $u(\tau)$ defined at the interval $[0, \tau_m]$, the equality $u(\tau_m) = 0$ is the necessary condition for the source-like representability of $u(\tau)$, i.e. at least $u(\tau_m)$ must be known which is extremely rarely occurs in practice.

It is known that the gradient minimization methods of the steepest descent and conjugate gradient types are more effective when solving well-posed problems compared with the simple iteration method. However, investigation of applicability of the methods to ill-posed problems is very difficult because of their nonlinearity even for linear problems. Therefore gradient-based regularizing iterative algorithms for linear operator equations have been obtained only recently. Convergence of the gradient methods with exact initial data is analyzed in [68, 207, 228, 231]. Regularizing algorithms built on their basis when errors in the operator and the right-hand side take place, including the justification of the residual criterion and generalized residual criterion, are considered in [24, 25, 69, 70, 169, 174, 175]. Publications [38, 39, 170] deal with taking into account of a priori information on the unknown solution in the regularizing gradient algorithms. A regularizing iterative algorithm based on the implicit iterative scheme is considered in [198].

It should be emphasized that the methods with a higher convergence rate, such as the Newton methods, are invalid for iterative regularization since in a linear case they are reduced to direct inversion of the operator in the initial equation, but in nonlinear problems they require inversion of the derivative of the operator that has no

bounded inverse in ill-posed problems. Of course, this fact does not exclude application of the Newton methods in other regularization forms, e.g., in that analyzed in [41, 59] where regularization is performed by introducing appropriate additives into the iterative algorithm itself.

The above studies concerned with iterative regularization were fundamental for this branch of the theory of ill-posed problems. Consistent presentation of corresponding results and their further development is the main goal of this book.

Whereas the iterative regularization of linear ill-posed problems has been studied at present fully enough, there are actually no publications devoted to nonlinear problems; isolated results are presented in [92, 149]. Meanwhile, as it has been shown by computational experiments, the iterative algorithms for nonlinear ill-posed problems formally based on the same scheme as for the linear problems, appear to be quite effective. The results encourage further investigations of iterative algorithms for nonlinear inverse problems in a general case.

Great attention is paid in the book to the various computational aspects of iterative regularization implementation, particularly, that associated with determination of residual functional gradients, development of modified gradient algorithms for multiparametric problems, including those taking into consideration the qualitative and quantitative a priori information on the unknown quantities.

The second goal of the book is application of the method developed to some ill-posed thermal problems, namely, inverse heat transfer problems. Among them, boundary and coefficient inverse heat conduction problems (IHCP) can be mentioned primarily which certainly do not exhaust the sphere of applications of iterative regularization. IHCPs have been chosen by two reasons. First, it is an important enough class of the problems of mathematical physics that has recently become widely used in some fields of science and technology such as mechanical engineering, aerospace industry, power engineering, metallurgy, etc. Second, inverse heat conduction problems are diverse in forms and statements, ill-posedness degree, and, therefore, they appear to be very convenient for testing the efficiency of methods and algorithms of the regularization theory.

The methodology based on solving inverse problems is a new lead in the investigation of heat and mass transfer processes, development and optimization of thermal conditions of engineering objects and production processes. Rather high interest to solution of these problems is induced by practical needs of including of nonstationary and nonlinear effects in heat and mass transfer processes. These effects restrict essentially the application of classical methods and necessitate the development of new approaches, among which there are methods based on solving inverse heat and mass transfer problems. Their main advantage is that they allow experiments to be conducted in conditions maximally close to real ones, or directly during operation of real objects. Besides, the new approach increases the informativeness, saves experimentation time compared with conventional methods. A reduction of the cost is an important quality of the methods as well.

At present, to solve inverse heat transfer problems algorithms are extensively developed on the basis of the variational technique for construction of regularizing

operators, step regularization of approximate analytical and difference forms of solution and step regularization of linear filtration algorithms [2, 3, 5, 9, 51, 85, 105, 106, 112, 130, 131, 147, 151, 179, 195, 211, 214, 221]. Now there is a large amount of relevant publications. They are surveyed in [9, 106, 131]. The analysis of results of computational experiments and practical applications of the above approaches to the solution of inverse heat transfer problems in comparison with iterative regularization has allowed a conclusion to be made that regularizing gradient algorithms are extremely advantageous for inverse problems of various forms and statements, including nonlinear, multidimensional, overdefined ones, because of their simplicity and versatility of algorithmic constructions. Their important strength is the ability to use this approach for problems, whose statements include limitations on the class of admissible solutions. This factor is of special importance since the quality of approximations to the desired solution of an ill-posed problem depends essentially on the completeness of taking into consideration apriori information on that solution.

The accuracy of recovering characteristics from the inverse problem solution can essentially depend on the experiment design, in particular, measurement design. Therefore, of great importance is an optimal design of thermophysical experiments that is closely related to the method of inverse problem solution.

In view of the above said, the authors have tried to consider systematically the theoretical aspects of iterative regularization, to outline the ways of using this method in solution of applied problems, to present iterative algorithms for solving inverse heat transfer problems and the principles and algorithms for the design of thermophysical experiments.

Results given in the book were obtained by the authors. Section 1.6 was written by M. V. Klibanov, D.Sc.(Math) and the authors wish to express their gratitude to him. The structure and contents of the book can be inferred from the Contents List. Chapters 1 and 4 were written by O. M. Alifanov, Chapters 2, 3, and Appendix, by S. V. Rumyantsev, Chapters 5 and 6, by E. A. Artykhin.

Information for Readers. The following formula numbering system is adopted. The ordinal numbers of formulas, tables, and figures are given by the second digit. The first digit is the numbers of formulas refers to the Section number, in tables and figures it indicates the chapter number. The theorems and lemmas are numbered by one figure throughout each section, while referring to theorems and lemmas from another section, double numbering is used (the first figure refers to the section number where the theorem or lemma is presented).

IDENTIFICATION AND INVERSE PROBLEMS IN STUDIES OF THERMOPHYSICAL PROCESSES

1.1 ON MATHEMATICAL MODELING OF PHYSICAL PROCESSES

Physical processes occurring in different media (gases, liquids, solids) are revealed by some effects recorded by special instruments. Leaning upon the observations (measurements) and general physical laws and relationships, one or another suitable mathematical model can be assigned to a process observed. The development and justification of mathematical models are often called *identification*.

A *mathematical model (MM)*, as an abstract means for representing approximately a real process used for its study, is a mathematical description of essential factors and their interrelations. A set of models, differing specifically in the number of factors included and, consequently, in the description accuracy, on the one hand, and in complexity, on the other, can usually be assigned to the same process. The main requirement for *MM* is the necessity to take into account all major factors and interrelations for the process, neglecting the minor ones. The choice of a model primarily depends on the aim of the study. Moreover, the model should be simplified as much as possible for convenience of operation and for reduction of computation time.

Thus, in a general case the first step in the mathematical formulation of a problem is design of the model structure, i.e., the qualitative description of the process, using certain operators. This procedure is called *structural identification*.

Most often, the basis of mathematical models for physical processes constitute differential operators. There are models with *lumped parameters*, described by ordinary differential equations, and those with *distributed parameters*, employing partial differential equations. For physical processes, taking place in continuous media, signals (such as pressure, heat, concentration, electric current, etc.) are transferred through continuum of material points. In a general case, variables that characterize the state of processes are functions of both time and space. Such physical processes require partial differential equations for their description. However, more rough mathematical models based on ordinary differential equations can be used in some cases.

Models with lumped parameters ignore the spatial extent of the object studied or its elements. Naturally, such a description is possible if the transient processes in each element can be assumed independent of the space coordinates (the element dimensions are small compared to the least wavelength of the frequency components included the process). In this case spatial elements are modeled by material points, i.e., a more accurate model with distributed parameters is approximated by a model with lumped parameters.

Ordinary differential equations are used to describe the spatial motion of the center of solid mass, chemical kinetic processes, signal transmission in electrical circuits, and many others.

Partial differential equations are employed for the description of processes distributed in both time and space, the medium being not discrete but continuous in space. Such models are effective in the problems of air and gas dynamics, heat and mass transfer, elasticity, electrodynamics, etc.

The second step in the mathematical problem statement is determination of unknown characteristics (model parameters) included into the structural mathematical model. The step is called *parametric identification*.

The structural and parametric identifications of physical processes are closely connected with solution of *inverse problems for differential equations*. While formalizing general statements and dividing inverse problems into major classes, statements of direct problems are assumed to be known and each of them can be assigned, within the model under identification, to a set of inverse problems.

In what follows, physical processes will be examined on the cause-effect basis. In accordance with the model adopted, boundary conditions and their parameters, initial conditions, coefficients in differential equations and geometrical characteristics of the domain of assigning equations are *causal characteristics*. Then, *effect characteristics* will describe the object states which are generally meant as fields of physical quantities of particular nature.

Causal characteristics do not depend on the effect manifestations in the sense that the former can be specified independently of the latter by rather arbitrary quantities.

Two kinds of quantities are related to a unidirectional cause-effect dependence, and the aim of a *direct problem* is to establish this relation. If some causal characteristics are required to be recovered because of certain information on physical fields, we are to deal with an *inverse problem*.

Disturbance of the natural cause-effect relation that occurs in the statement of an inverse problem can lead to its mathematical ill-posedness, most often, to the solution instability. Therefore, inverse problems can be typical examples of ill-posed problems.

1.2 EXAMPLES OF INVERSE PROBLEM STATEMENTS

1.2.1 Systems with Lumped Parameters

Let the process studied be characterized by n relations in terms of the scalar argument t (process variables or coordinates) $y(t) = [y_1(t), \dots, y_n(t)]^T$ and according to a certain mathematical model, the vector satisfies the set of ordinary differential equations of the form

$$\frac{dy}{dt} = A(t)y + g(t), \quad y(0) = 0, \quad (2.1)$$

where,

$$g(t) = [g_1(t), \dots, g_n(t)]^T,$$

$$A(t) = \begin{bmatrix} a_{11}(t) & \dots & a_{1n}(t) \\ \dots & \dots & \dots \\ a_{n1}(t) & \dots & a_{nn}(t) \end{bmatrix}.$$

The components of the vector $g(t)$ and the matrix $A(t)$ contain unknown quantities. They should be determined in terms of the known (say, measured) vector $z(t) = [z_1(t), \dots, z_n(t)]^T$ ($l \leq n$) linearly related to the vector $y(t)$:

$$z(t) = C(t)y(t),$$

where $C(t)$ is a given matrix.

This inverse problem statement corresponds to identification of vector equation (2.1) with initial conditions known. The problem with matrix A and vector g being constant with time is a particular case.

The above inverse problem is used in many applications, for example, in studying *thermal conditions of engineering objects*. If the object is divided into n isothermal elements and heat is assumed to be transferred by conduction and convection, the heat balance equations written for each element compose the set

$$C_k \frac{dT_k}{d\tau} = \sum_{j=1}^n \lambda_{kj} (T_j - T_k) + S_k, \quad k = \overline{1, n}, \quad \tau \in [0, \tau_m],$$

$$T_k(0) = T_{0k}, \quad k = \overline{1, n}, \quad (2.2)$$

where $T_k(\tau)$ is the temperature of the k th element; C_k is the heat capacity of the k th element; λ_{kj} is the thermal conductivity; S_k is the total heat flux released inside the k th

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