

mechanics

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(references in the form "M28(3-4)" indicate the last time the Journal was cited in *mechanics*: v. 28, n. 3-4, in this case.)

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mechanics

mechanics provides its readers with news in the field of theoretical and applied mechanics, and serves as a forum for the presentation and discussion of issues related to the development of the science and profession of mechanics. Opinions expressed are those of the authors and do not necessarily reflect official points of views of AAM or the institutions with which the authors are affiliated.

Editor: Horacio D. Espinosa (Northwestern University, U.S.A.)

Associate Editors: Gustavo Buscaglia (Balseiro Institute, Argentina), Gerardo Diaz (Universidad de Chile), Alex Elias-Zuniga (Instituto Tecnologica Y De Estudios Superiores De Monterrey), Djenane Pamplona (PUC-Rio, Brazil), Luis Suarez (Universidad de Puerto Rico), Reza Vaziri (The University of British Columbia).

The *American Academy of Mechanics* is a non-profit corporation incorporated in 1969 under the laws of the Commonwealth of Pennsylvania. Its objective is to advance the science and profession of mechanics, with particular reference to the countries of North, South, and Central America. It aims to facilitate cooperation among mechanicians, to encourage recognition of achievements in mechanics, and to promote public understanding of the work of the mechanician.

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American Academy of Mechanics
Academia Americana de Mecánica

LETTER FROM THE EDITOR

October 25, 2002

Dear AAM Member,

It is my pleasure to share with you more general articles written by AAM members with a mechanics audience in mind. The first article is an abstract of a paper by Luis A. Godoy, an AAM member since 1984, published in Spanish in the previous issue of *Mechanics* (Volume 31, Number 7-8, July-August 2002). The paper was very well received by the mechanics community and due to an overwhelming number of requests, Professor Godoy has graciously prepared an abstract in English. The second paper is by Mohamed Gad-el-Hak, AAM Fellow, of the Virginia Commonwealth University. Professor Gad-el-Hak's paper is excerpted from Chapter 4 of *The Handbook of MEMS* (M. Gad-el-Hak, Editor, CRC Press, Boca Raton, Florida, 2002). Additionally, I have reprinted an article on "Carbon Nanotubes – the Route Toward Applications," which I hope that you find informative and stimulating.

As the editor of *Mechanics*, it is my desire to ensure the success of the journal by establishing editorial policies that promote and advance the presentation of *Mechanics*. I would like to enhance the quality of the journal by implementing a few changes that will increase the relevancy of the journal to the members of AAM and that will offer greater substance to the mechanics community. One of these changes is to encourage AAM members to contribute essays on new teaching methodologies, new technologies, new research challenges, etc. This new series of articles written by AAM members has been very well received and I am glad to inform you that we have received commitments to contribute an article from Hassan Aref (University of Illinois at Urbana/Champaign), Stephen Cowin (The City University of New York), Marcelo Epstein (University of Calgary), Pablo Kittl (Universidad de Chile), and Patricio Laura (Universidad Nacional del Sur, Argentina).

I hope that you will give some thought to joining your colleagues in contributing an article for publication in the *Mechanics* magazine. Articles should be written for a *general audience* and discuss aspects of mechanics research and education, including neat derivations of didactic results, discussions of educational issues in mechanics, historical matters, and so on. We would like interesting, high quality articles for distribution to our colleagues and to libraries everywhere.

Together, we can promote a better American Academy of Mechanics, and we can promote higher standards that will be received by a greater audience and provide more relevant information to AAM members. It is with great enthusiasm that I share these ideas with you and I ask for your support in improving the American Academy of Mechanics. I look forward to your contribution.

Sincerely,



Horacio D. Espinosa, Ph.D.
Editor, *Mechanics*

POSITION OPENINGS**UNIVERSITY
OF MINNESOTA****AEROSPACE ENGINEERING AND MECHANICS**

The Department of Aerospace Engineering and Mechanics at the University of Minnesota anticipates filling a faculty position in the area of solid mechanics. The position is at the rank of assistant professor; exceptionally qualified candidates may be considered for appointment at the rank of associate professor without tenure.

We are searching for candidates whose research program will set promising new directions in solid mechanics. We are especially interested in candidates who use computational or experimental tools to bring fundamental atomic scale information to the study of the mechanical behavior of materials or structures. Candidates from any branch of mechanical science and engineering are encouraged to apply, as are candidates from physics, materials science, applied mathematics, biophysics, electrical engineering or solid state chemistry. The successful candidate must also be able to develop and teach undergraduate and graduate courses in aerospace engineering and mechanics.

Current research activities in the department include the study of active materials (such as shape memory and magnetostrictive materials), phase transformations, continuum mechanics, fracture mechanics and biomechanics.

Applicants must have earned a doctorate in a related field by the date of appointment; experience beyond the doctorate degree is desirable. The successful candidate will be expected to develop an independent, externally funded research program, and to participate in all aspects of the department's mission. Strong written and verbal communication skills are required.

It is anticipated that the appointment will begin fall, 2003.

Applicants should send a letter of application, detailed resume, and the names and addresses of three references to:

Solids Search Committee (IT1017)
Department of Aerospace Engineering and Mechanics
University of Minnesota
107 Akerman Hall
110 Union Street S. E.
Minneapolis, MN 55455

Application Deadline: The initial screening of applications will begin on January 1, 2003; applications will be accepted until the position is filled.

The University of Minnesota is an equal opportunity employer and educator and specifically invites and encourages applications from women and minorities.



Department Head
Department of Engineering Science and Mechanics
Virginia Polytechnic Institute and State University

The Department of Engineering Science and Mechanics at Virginia Tech invites applications and nominations for candidates for the position of department head. The Department of Engineering Science and Mechanics (ESM) is a unique department within the College of Engineering at Virginia Tech in that it views physical phenomena from a fundamental level rather than through specialization, as in other departments. The graduate program has an outstanding international reputation and stresses the classic disciplines of solid mechanics, fluid mechanics, and dynamics, and has been increasing course offerings in the biomechanics area. The department is also known for interdisciplinary research and educational activities with departments inside and outside the College of Engineering. The department offers Ph.D. and M.S. degrees in Engineering Mechanics, an accredited undergraduate degree in Engineering Science and Mechanics, and teaches core mechanics courses for the 10 other departments within the college. The department has 28 full-time faculty, an undergraduate enrollment of 70, a graduate enrollment of 90, and annual research expenditures of \$6.5M. Screening of candidates will begin with the strictest of confidence on September 16, 2002 and will continue until the position is filled. A detailed description of the position and the nomination and application process can be found at <http://www.esm.vt.edu>.

Virginia Tech has a strong commitment to the principle of diversity, and in that spirit, seeks a broad spectrum of candidates including women, minorities, and people with disabilities. Individuals with disabilities desiring accommodations in the application process should notify Nancy Linkous, 540-231-3243(V), or by way of the Telecommunication Relay Service number, 711, 8 am – 5 pm Eastern US Time.

ANNOUNCEMENTS

Minutes of the **64th Meeting** of the **Board of Directors**, Meeting of the **Fellows**, and **Open Meeting** of the **Members**

The **14th US National Congress of Theoretical and Applied Mechanics** was held at **Virginia Polytechnic Institute and State University, Blacksburg, Virginia**. In conjunction with this conference, the **64th Meeting of the Board of Directors, the Fellows Meeting, and the Members Meeting** were held in Room 231 Norris Hall, on the campus of Virginia Tech on Thursday, June 27, 2002.

1. A quorum was not present, so no voting action by the Board was taken. President Beatty called the meeting to order at 11:30 EDT. The following were in attendance: M. Beatty (res0guxi@verizon.net), C. Bert (cbert@ou.edu), J. Dally (jimdally@aol.com), E. Dowell (dowell@mail.ee.duke.edu), H. Espinosa (espinosa@nwu.edu), D. Frederick (dfundfff@vt.edu), R. Haythornthwaite (rmh@y.astro.edu), R. Heller (rheller@vt.edu), Q. Jiang (gjiang@engr.ucr.edu), M. Johnson (millard@engr.wisc.edu), W. Knauss (wgk@caltech.edu), M. Ostoja-Starzewski (martin.ostoja@mcgill.ca), S. Shrader (sallys@vt.edu), C. Taylor (cet@aero.ufl.edu), L. Virgin (lvirgin@duke.edu), L. Wheeler (lwheeler@uh.edu).
2. **Minutes of the Previous Meeting**. There was no report on previous Minutes of the Board Meeting in NY scheduled for 12 November 2001, due to its cancellation following the air tragedy. Meeting of the Fellows was held 12 November and 4 new Fellows were elected – information attached. An AAM Awards luncheon on 13 November was conducted by C. Bert. Professor A. Leissa received the Outstanding Service Award for 2001; and previous award recipients C. Taylor for the Outstanding Service Award (1998) and V. Gupta for the Junior Achievement Award (1998), were recognized. Thanks went to C. Bert for a job well done under these unusual circumstances.
3. **AAM Activities Report**. Beatty distributed a summary report on AAM activities for the period 1 June 2001 to 31 May 2002, and several additional documents on previous revisions to the Bylaws and on Rules of Policy and Procedure, for discussion. See attachments.
4. **Awards Committee**. Beatty, reporting for Committee Chair S. Ostrach, noted that Junior Achievement Award nominations have been received. Members need to stimulate interest in these Awards. New members of the Awards Committee were announced – J.T. Oden, W. Knauss, and R. Batra. Knauss suggested a conference call to finalize the selection of awards by the Committee. Hardcopy paperwork would still need to go to all members. S. Shrader (acting on behalf of D. Mook, AAM Secretary) reported that only 6-8 medals currently are on hand. The Board will need to discuss in the future having new medals made, which may require a new mold.
5. **Adjudication Committee**. R. Haythornthwaite reported that no nominations have yet been received for the Founders Prize and Grant, deadline July 1, 2002.
6. **Director Reports**. L. Virgin, Director for Region IA, Eastern U.S., had no news to report.
7. **PACAM VII**. Thanks went to the Chair, Professor P. Kittl, and Co-Chairs, G. Diaz and D. Mook, of the Organizing Committee for the PACAM VII Conference, held at Temuco, Chile, January 2-4, 2001. The proceedings were published in *Applied Mechanics in the Americas* Volume 9, edited by P. Kittl, G. Diaz, D. Mook and J. Geer, to whom thanks was extended.
8. **PACAM VIII**. Co-Chairs are Professors R. Rodriguez-Ramos and M. Ostoja-Starzewski. The latter reported on the proposal for PACAM VIII to be held at Havana, Cuba in January 2004 (see

attachment). In view of current U.S. policy on trade restrictions, some concern was expressed over the distribution of the proceedings and its publication. Treasurer Heller asked where the residual money from PACAM VIII would go. Publisher R. Haythornthwaite indicated that PACAM VIII in Cuba might create some publishing problems and cautioned AAM's involvement with the proceedings publication. The proposal was discussed but no specific decisions were made. Ostoja -Starzewski will develop further information and report at the November meeting on these several issues.

9. **Discussion of Bylaws**. Beatty remarked that the Bylaws need to be updated and amended to make sure everything is clear, to revise some typographical slips, and to include previously approved revisions. It was noted, for example, that Rules of Policy and Procedure mentioned in the Bylaws do not exist. Beatty prepared some established Rules of Policy and Procedure related to Regional Directors and AAM Awards (see attached). These additions and some previously approved revisions to the Bylaws will be included in a new edition of the Bylaws. Beatty will work on this and append the currently established Rules of Policy and Procedure. Espinosa will add the Rules of Policy and Procedure to the web site documentation.

10. **Treasurer's Report**. R. Heller reported on the current financial status of AAM (see attached). There was discussion on how the Founders Prize and Grant is reported. R. Haythornthwaite remarked that it is reported separately through a non-profit foundation handled directly by Haythornthwaite and does not need to be reported by AAM. In reference to *Mechanics* subscriptions, a suggestion was made to accept Credit Card charges only from outside US. S. Shrader, reporting for Secretary Mook, remarked that there are 616 paid members. Of these, 54 are Corresponding Members (outside the Americas), 4 are Student Members. New membership applications for 2001: 12 total – 9 Professional, 1 Student, and 2 Corresponding Members. New membership applications for 2002: 3 total – all professional. There are 117 Fellows, 12 of whom are not active paid members. A list of unpaid Fellow members was given to C. Bert. These Fellows will be notified of their delinquent dues payments and informed that their membership in AAM will be terminated, if these back dues are not paid in full.

11. **Editor's Report**. H. Espinosa reported on the financial status of AAM editorial operations (see attached). Discussion on how to make AAM more attractive through improvements in *Mechanics* and the web site– suggestion by Espinosa to have articles in either English or Spanish as acceptable languages. Discussion to add more information to web site – courses, idea exchanges, etc. Espinosa proposes to put Contents only on the web site in 2003. Haythornthwaite emphasized the need to continue *Mechanics* in hardcopy. The Editor's budget request (see attached) was \$26,000/year, which includes part-time secretarial support, publications costs, and web update.

12. **Remarks on the new *Mechanics***. Thanks went to H. Espinosa for an outstanding job on development of the new *Mechanics* and AAM web site. The *Mechanics Contents* are now more useful than any previous time. M. Beatty described the convenience and utility of the various links to *Mechanics Contents* on the web site. There was some discussion about putting the *Contents* on the web site only instead of hardcopy publication. Espinosa suggested an electronic journal (within the current *Mechanics*) with very short innovative papers. Beatty stated that AAM's goal is not to compete with other journals. Espinosa suggested trying specialty articles that would go through a review process – these would replace the space vacated by removal of the *Contents*. The articles would be called *Mechanics Letters* and would be 2 pages submitted in pdf format. New Associate Editor appointments were discussed. Addition of Associate Editor with the web site as the principal role was discussed – Alberto Cuitino was appointed.

13. **Motion on the Budget**. Bert moved to approve Espinosa's budget – no quorum being present, the vote was postponed. Bert will seek email approval by the Board.

14. **Old Business.** Discussion on changing the term of President. The term of office of President Elect now runs parallel with President so it is not necessary to extend the President's term to 2 years. Bert is next President (2002-2003) and Wheeler the President Elect (2002-2003).

15. **New Business.** Discussion of June 2003 Calgary Conference – ad will be placed in *Mechanics* free. Heller brought up the policy of free ads. It was agreed that job announcement ads should be charged \$200 effective September 1, 2002. Espinosa will collect the payments for job announcement ads and forward them to Heller. Call for papers, conference announcements, etc. will continue free of charge.

16. **Fellows Meeting.** Professor Bert acting as the current President-Elect (simultaneously Secretary to the Fellows) conducted the Fellows Meeting. Twelve Fellows were present. C. Bert reported that several nominations for Fellow have been received for consideration in the Fall election period 2002, and Fellows were encouraged to nominate outstanding colleagues. Membership requirements for Fellow nomination were discussed. It was moved and seconded that, effective in the 2002-2003 nomination and election period concluded in the Fall 2003, a nominee for Fellow must be a (Western Hemisphere, permanent resident) Member or Corresponding Member in good standing for a period of *at least five years* prior to nomination. The motion passed unanimously by the Fellows present.

17. **Members Meeting.** Dr. Ken Chong of NSF handed out a notice of an ASME web-cast. This will be put in *Mechanics* as a conference ad. Professor Jasiuk suggested interaction and joint participation with AAM and SES. Beatty suggested that he would like to see this joint participation and suggested they might get together with PACAM 2004. Interaction would provide good free advertisement for AAM – requested Jasiuk provide information for the next SES symposium. Jasiuk will go back to SES and subsequently report to AAM. Espinosa stated that the Board needs to be involved – get the Latin Americas involved in SES. Dr. Chong said he would be willing to help with research agendas associated with NSF.

18. **Announcement and Introduction.** Lewis Wheeler was announced as the new President Elect for 2002-2003.

19. **Closing Remarks.** Beatty extended thanks and appreciation to all Board Members and others for their support and assistance throughout the year. C. Bert was introduced as new President (2002-2003). Bert requested ideas for AAM Secretary, Secretary to the Fellow, and Regional Director Nominations. Bert thanked Beatty for a job well done.

20. **Meeting Adjourned** 3:30P EDT.

AAM Meeting in New Orleans

Wednesday, November 20, 2002

2:30 p.m. – Executive Committee

3:30 p.m. – Fellow Meeting

4:00 p.m. – General Membership

The AAM Meeting will take place during the *2002 ASME International Mechanical Engineering Congress* in New Orleans, Louisiana at the New Orleans Hilton/Ernest Morial Convention Center

ADVERTISEMENT POLICY

Upon the decision of the Board of Directors, an advertisement for a position opening is charged a flat rate of \$200. Payment must be done only by check and sent to:

American Academy of Mechanics

Horacio D. Espinosa, Editor

Northwestern University

2145 Sheridan Road

Evanston, IL 60208

e-mail: mech1@clifton.mech.northwestern.edu

The FID number for AAM is 23-7045163. Make check payable to American Academy of Mechanics. Announcements for forthcoming events, conferences, and workshops are free of charge. Advertisements may be sent by FAX or e-mail (LaTeX, MSWord, PDF or plain text). Logo of the institution may be included if the postscript (graphic file) is provided.

Mechanics is a bi-monthly magazine. To be considered for publication in forthcoming issues, an advertisement must be received one month in advance of the publication date. For example, an advertisement must be received before the end of November to appear in the January-February issue. Please note that the magazine is distributed at the beginning of the two-month period. The advertisement will continue to appear in future issues until the deadline of the position opening.

Visit the AAM website to read recent advertisements of position openings and past issues of Mechanics at <http://www.AAMech.org>.

MECHANICS On-line

To access *Mechanics* on-line, please visit

www.AAMech.org

Effective November 1, 2002, access to the on-line issues will be restricted to AAM members. A username and password will be required to access the on-line issues. This information will be sent by e-mail to all AAM members. If you do not receive the username and password information by e-mail, please contact the Editor's Assistant, Thomas Milic, at the following e-mail address:
mech1@clifton.mech.northwestern.edu

American Academy of Mechanics Founders Prize and Grant

Up to \$10,000 For the Academic Year 2003-2004
(Deadline: July 1, 2003)

The American Academy of Mechanics is pleased to announce the availability of a Founder's Prize and Grant to be awarded in September 2003 to a doctoral candidate in the field of Mechanics. Funding has been arranged by the Robert M. and Mary Haythornthwaite Foundation through the good offices of Professor Haythornthwaite, founder and first President of the Academy. The award will be made on the recommendation of an AAM committee. The prize consists of a Certificate and \$1,000 that will be presented at the annual meeting of the Academy, usually held in November. The Grant will be made to that same person in two installments, \$6,000 in September 2003 and up to \$3,000 in January 2004, the latter dependent on the size of the approved budget and receipt by the AAM committee of an acceptable progress report. In order to encourage contestants to think constructively about the impact of new and pending developments, they will be asked to compose an original essay of no more than a thousand words under the title "Progress through Mechanics". The winning essay will be published in *mechanics*. The award is open to those who, as of July 1, 2003, are registered as graduate students at a degree granting institution within the Americas, have completed at least one year of full-time graduate study at that institution, have been assigned a thesis advisor at the institution and have had a doctoral thesis topic emphasizing mechanics approved by the institution following candidacy or equivalent procedures. There are no restrictions with regard to citizenship, residency, race, religion, or sex. Letters of support will be required of the thesis advisor and in addition one from either a Member or a Fellow of AAM. Contestants will be judged on the basis of the essay, plans, references and academic history. The intent of the Grant is to support the research of the student through an approved combination of equipment purchases, information access, travel, etc., but not routine living expenses or fees. Detailed rules for the competition will be issued soon: to receive them, express your interest to the committee by FAX to (215) 204-6936, or by writing to:

AAM Founders Prize and Grant Committee
c/o Civil and Environmental Engineering Department
Temple University (084-53)
Philadelphia, PA 19122

7th Meeting on Current Ideas in Mechanics and Related Fields CIMRF – 2003

The 7th Meeting on Current Ideas in Mechanics and Related Fields (CIMRF – 2003) will take place at Portland State University in Portland, Oregon, August 18 – 21, 2003. Like previous CIMRF meetings, this symposium will be concerned with broadly understood applications of mathematics and mathematical techniques to mechanics. However, the leading theme of this conference will be the mathematical methods (geometric, group theoretical, variational, PDEs) in mechanics of materials with special emphasis on representation and understanding the role of inhomogeneities, phase transitions, their creation and evolution.

Plenary lectures will be given by Richard James (University of Minnesota), David Owen (Carnegie-Mellon), and Gareth Parry (University of Nottingham).

Call For Papers

These participants who would like to speak at the meeting are requested to send a one-page abstract (in TeX/LaTeX, both the source file and the dvi file) by e-mail to Serge Preston at serge@pth.pdx.edu, with a copy to Marek Elzanowski at marek@pth.pdx.edu, no later than **June 30, 2003**. Abstract macro will be available on the conference website at <http://www.pth.pdx.edu/~marek/cimrf/2003/cimrf2003.html>

Registration

Those interested in attending this meeting, are kindly requested to submit as soon as possible a *pre-registration form*, which can be found at <http://www.pth.pdx.edu/~marek/cimrf/2003/cimrf2003.html>

Conference Fees

The Conference fee for CIMRF – 2003 is \$240.00, if paid by money order sent directly to the organizers, and \$260.00, if paid by wire transfer. The conference fee includes the welcome reception planned for the evening of August 17th, coffee breaks, conference banquet on Wednesday, August 20th, and the book of abstracts.

Prospective participants are requested to send, preferably before **May 30, 2003**, an international money order, payable to CIMRF2003, to Marek Elzanowski, Department of Mathematics and Statistics, Portland State University, P.O.Box 751, Portland, Oregon 97207, U.S.A. The conference fee (\$260.00) can also be paid directly to CIMRF2003 at US Bank, routing number: 123000220, account number: 153691205261.

Housing and Travel Information

Information about local hotels, travel directions, weather, local attractions etc., can be found on the conference website at <http://www.pth.pdx.edu/~marek/cimrf/2003/cimrf2003.html>

Marek Elzanowski (Portland, marek@pth.pdx.edu)

Marcelo Epstein (Calgary, epstein@enme.ucalgary.ca)

Serge Preston (Portland, serge@pth.pdx.edu)

PACAM VIII

Eighth Pan American Congress of Applied Mechanics

January 5 -9, 2004

Havana, Cuba

<http://www.pacam8.mcgill.ca/>

The Eighth Pan American Congress of Applied Mechanics (PACAM VIII), jointly sponsored by the University of Havana, the Institute of Cybernetics, Mathematics, and Physics of Cuba, and the American Academy of Mechanics, will be held January 5-9, 2004 at the Convention Center, Havana, Cuba. The Honorary Chairman of the Organizing Committee is Prof. Alina Ruiz Jhones of the University of Havana. The Co-Chairmen are Prof. Martin Ostoja-Starzewski of McGill University and Prof. Reinaldo Rodríguez-Ramos of the University of Havana. The Chairman of the Editorial Committee is Prof. Julián Bravo-Castillero of the University of Havana, and the Chairman of the Local Arrangements Committee is Prof. Raúl Guinovart-Díaz of the University of Havana, Cuba.

The aim of sponsors is to promote progress in the broad field of mechanics by (1) exposing engineers and scientists, including graduate students, to new research findings, techniques, and problems, and (2) providing opportunities for personal interactions between mechanics of North and South America, as well as other continents. It is the only conference sponsored by the American Academy of Mechanics (AAM).

The Pan American Congresses of Applied Mechanics are held every two years early in January, always in a Latin American venue, at a time when few other conferences are scheduled. The previous Congresses were held in Rio de Janeiro, Brazil in 1989; Valparaiso, Chile in 1991; São Paulo, Brazil in 1993; Buenos Aires, Argentina in 1995; San Juan, Puerto Rico in 1997, Rio de Janeiro, Brazil in 1999 and Temuco, Chile in 2002. Participants come from the Americas as well as Africa, Asia, Australia, and Europe.

Persons willing to organize special sessions in any area of mechanics are welcome to contact the organizers listed below. All the future announcements will be made at the website listed above, and through the AAM (<http://www.AAMech.org/>). Four-page papers for the conference proceedings will be due June 30, 2003, at either address:

Latin American Co-Chairman
 Prof. Reinaldo Rodríguez-Ramos
 Facultad de Matemática y Computación
 Universidad de la Habana
 San Lazaro y L, Vedado, CP 10400
 La Habana, Cuba
 reinaldo@matcom.uh.cu
<http://www.uh.cu>

North American Co-Chairman
 Prof. Martin Ostoja-Starzewski
 Department of Mechanical Engineering
McGill University
 817 Sherbrooke Street West
 Montréal, PQ, Canada H3A 2K6
 martin.ostoja@mcgill.ca
<http://www.mcgill.ca>

IUTAM Symposium On Integrated Modeling of Fully Coupled Fluid-Structure Interactions Using Analysis, Computations, and Experiments

1 June-6 June 2003

New Brunswick, New Jersey USA

<http://cronos.rutgers.edu/~mechaero/iutam>

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benaroya@rci.rutgers.edu and twei@rci.rutgers.edu

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This Symposium will provide a forum for the latest thinking in analytical, computational and experimental modeling of structures interacting with fluid environments. The specific objective is to provide a structured format in which meaningful and lasting dialogues can be facilitated between leading researchers in the different component disciplines. It is intended that, through these dialogues, multidisciplinary linkages will be established leading to integrated approaches to modeling the complex, nonlinear interactions between fluids and structures. Examples of classes of interactions that may be addressed in this Symposium include ocean structures, fluid conveying structures, and aerospace structures. The energy transfer processes are inherently nonlinear in all aspects of the behavior. The important class of vortex-induced oscillations has regions of lock-in, where the structural natural frequencies rather than the fluid velocity govern the shedding, and there exists hysteric behavior. The real fluid-structure system is one of complex exchanges of forces and energies, resulting in highly nonlinear behaviors. The ability to model, solve and test fully coupled fluid-structure systems portends a rich and profound understanding. In fact, recent research efforts have indeed started to focus on the development of fully coupled models. This Symposium is therefore a response to these new and exciting developments in the field. By bringing together a critical mass of key researchers in each discipline, and organizing the program to focus on multidisciplinary problem solving, this process of developing fully coupled fluid-structure interaction research programs can be reinforced and enhanced. We look forward to receiving abstracts for review, presentation, and eventual full publication, of topics that fall within the broad framework defined above.

DEADLINES

Submission of Abstracts: 1 February 2003

Notification of Acceptance: 15 March 2003

Hotel & Symposium Registration: 1 May 2003

Symposium: Sunday 1 June – Friday 6 June 2003

Final Manuscripts Due: Friday 13 June 2003 (FIRM)

FOURTH INTERNATIONAL SYMPOSIUM ON VIBRATIONS OF CONTINUOUS SYSTEMS

The Fourth International Symposium on Vibrations of Continuous Systems will take place in Keswick, England, July 7-11, 2003. The primary goal of this Symposium is to bring together outstanding experts in the field of vibrations of continuous systems from all over the world, to discuss technical topics in a very informal atmosphere. As before, participation will be by invitation only, and will be limited to maximum numbers of 50 participants and 40 presentations.

The Symposium is devoted to the vibrations of continuous systems (e.g. strings, rods, straight and curved beams, membranes, plates, shells, and three-dimensional bodies). Examples of topics to be considered include: free and forced vibration, linear and nonlinear vibration, undamped and damped vibration, fluid-structure interaction, and structural elements of composite material.

The Symposium location, Keswick, is in the heart of the Lake District of northwestern England, famous for its beautiful lakes and hills. Typical days at the Symposium will consist of morning hikes or bus excursions, presentation sessions in the afternoons, and social gathering times in the evenings. The outings and social gatherings have proved to be excellent ways of generating relaxed and informal technical discussions and friendships which have been of great value to ongoing research.

Individuals who are interested in taking part in this Symposium should write to:

Professor Arthur W. Leissa
General Chairman, ISVCS IV
Dept. of Mechanical Engineering
206 West 18th Ave.
Ohio State University
Columbus, Ohio 43210
USA

Letters should be accompanied by a one-page summary of the writer's research accomplishments (include a list of published books, papers, reports, etc.) in the theme of this Symposium.

SELECTIONS OF THE EDITOR**ON THE PATH OF PROGRESS IN THE THEORY OF ELASTIC STABILITY**Luis A. Godoy ¹

This is a summary of the topics covered in a 25-page paper published in Spanish in a previous issue of Mechanics (Volume 31, Number 3-4, March-April 2002). For detailed arguments, please refer to the original paper.

Several philosophers of science have studied the structure of scientific theories in order to explain the way in which theoretical changes occur in science. Among the most notable of such philosophers are Thomas S. Kuhn (1922-1996), who developed the new concept of scientific paradigm and considered the role of scientific revolutions; Imre Lakatos (1922-1974), who studied scientific progress in terms of programs of scientific research; and Larry Laudan, who emphasized traditions and utility in order to explain changes between theories. The center of this discussion is, to a great extent, about the rationality that drives scientists when they change from an old theory to a new one.

This paper addresses the question if such models of change of scientific theories are adequate for all fields of research and for all periods of history, and more specifically, if they are adequate for applied mechanics in the 20th century. According to Kuhn, there are universal patterns that explain a shift in paradigm in science. However, the examples considered by Kuhn were taken from Physics and Astronomy during the passage from the Middle Ages to the Renaissance. There has been some criticism to this universal approach, mainly from researchers in Biology. Mayr points out that philosophers of science pay too much attention to scientific discoveries and tend to neglect the importance of changes in scientific concepts.

The education of engineers during their doctoral studies is enriched in some cases by courses on epistemology; however, this subject is usually taught by philosophers of science in a traditional way, and it is expected that the doctoral student should find the relevance of the subject and transfer topics to his/her own discipline. Such a knowledge transfer process is often beyond the possibilities of most students.

This paper is motivated by a shortage of references on the philosophy of applied mechanics, which would help graduate students to learn about the construction of knowledge and the evolution of theories in their own field. Specifically, the theory of elastic stability is considered in order to understand the significance of changes that occurred mainly during the first part of the XX century. This is an interesting case, which illustrates the differences between searching for a “thing” (the buckling load) versus searching for a “process” (the passage from critical to post-critical equilibrium states).

¹ Currently researcher of the Science Research Council of Argentina, CONICET.
lgodoy@com.uncor.edu

The paper reviews the classical theory of elastic stability using the books of S. Timoshenko (the two editions, 1936 and 1961) as representative of the state of the art. A crisis in the theory occurred due to the anomalous behavior of cylindrical shells under axial load, and this led to a lack of confidence in the accumulated theoretical knowledge, so that for some time engineers relied almost exclusively in experiments to evaluate buckling loads in many structural forms.

A transition period is identified between 1935 and 1960, in which several attempts were made to reconcile theory and experiments. But it was not until the work of W. T. Koiter became known and understood that a new paradigm was established in the sense of Kuhn. Many concepts that were already present in the classical theory were still present in Koiter's approach, and many elements that were developed during the transition period were incorporated; however, Koiter developed a new conceptual system and introduced new methodologies for the analysis. The new theory did not gain immediate acceptance and was severely questioned for a number of years. Anomalies were also found for which the theory did not have a complete solution; however, such anomalies did not undermine the new theoretical framework.

This paper argues that the theory of change due to Kuhn does not seem to reflect adequately the changes that occurred due to the passage from the classical theory of stability to the initial postcritical theory postulated by Koiter. There was never a complete abandonment of the classical theory due to a mass immigration to the new theory; an extinction of the old theory never occurred; and there was no need to translate the old terms into new ones, as Kuhn expects. It is concluded that the alternative approach by Lakatos, who emphasized more rational aspects of the conceptual change, may be more applicable to the field of applied mechanics.

Prof. Luis A. Godoy obtained his Ph. D. from University College London in 1979 for his work supervised by Prof. J. G. A. Croll. Since then he developed his career with positions of Professor at the National University of Cordoba in Argentina, Researcher of the Science Research Council of Argentina (CONICET), and Professor of the University of Puerto Rico at Mayaguez. Prof. Godoy has been an AAM member since 1984, and participated in the organization of two PACAM congresses as editor of the proceedings: in Buenos Aires (1995) and in San Juan (1997). He is the author of two books: "Thin-Walled Structures with Structural Imperfections" (Pergamon Press, 1996) and "Theory of Elastic Stability" (Taylor and Francis, 2000), and about 100 journal papers in applied mechanics and structural engineering.

FLOW PHYSICS IN MICRODEVICES

Mohamed Gad-el-Hak, AAM Fellow

Virginia Commonwealth University, Richmond, Virginia

(Excerpted from Chapter 4 of *The Handbook of MEMS*, M. Gad-el-Hak, editor, CRC Press, Boca Raton, Florida, 2002)

Abstract

Manufacturing processes that can create extremely small machines have been developed in recent years. Microelectromechanical systems (MEMS) refer to devices that have characteristic length of less than 1 mm but more than 1 micron, that combine electrical and mechanical components and that are fabricated using integrated circuit batch-processing techniques. Electrostatic, magnetic, pneumatic and thermal actuators, motors, valves, gears and tweezers of less than 100 μm size have been fabricated. These have been used as sensors for pressure, temperature, mass flow, velocity and sound, as actuators for linear and angular motions, and as simple components for complex systems such as micro-heat-engines and micro-heat-pumps. The technology is progressing at a rate that far exceeds that of our understanding of the unconventional physics involved in the operation as well as the manufacturing of those minute devices. The primary objective of this paper is to critically review the status of our understanding of fluid flow phenomena particular to microdevices. Continuum as well as molecular approaches to the problem will be surveyed.

1. Introduction

Tool making has always differentiated our species from all others on Earth. Aerodynamically correct wooden spears were carved by archaic Homo sapiens close to 400,000 years ago. Man builds things consistent with his size, typically in the range of two orders of magnitude larger or smaller than himself, as indicated in Figure 1. But humans have always striven to explore, build and control the extremes of length and time scales. In the voyages to Lilliput and Brobdingnag of Gulliver's Travels, Jonathan Swift speculated on the remarkable possibilities which diminution or magnification of physical dimensions provides. The Great Pyramid of Khufu was originally 147 m high when completed around 2600 B.C., while the Empire State Building constructed in 1931 is presently—after the addition of a television antenna mast in 1950—449 m high. At the other end of the spectrum of man-made artifacts, a dime is slightly less than 2 cm in diameter. Watchmakers have practiced the art of miniaturization since the thirteenth century. The invention of the microscope in the seventeenth century opened the way for direct observation of microbes and plant and animal cells. Smaller things were man-made in the latter half of this century. The transistor—invented in 1947—in today's integrated circuits has a size of 0.25 micron in production and approaches 50 nanometers in research laboratories. But what about the miniaturization of mechanical parts—machines—envisioned by Richard Feynman in a legendary lecture delivered in 1959?

Microelectromechanical systems refer to devices that have characteristic length of less than 1 mm but more than 1 micron, that combine electrical and mechanical components and that are fabricated using integrated circuit batch-processing technologies. Current manufacturing techniques for MEMS include surface silicon micromachining; bulk silicon micromachining; lithography, electrodeposition and plastic molding (or, in its original German, Lithographie Galvanoformung Abformung, LIGA); and electrodischarge machining (EDM).

MEMS are finding increased applications in a variety of industrial and medical fields, with a potential worldwide market in the billions of dollars. Accelerometers for automobile airbags, keyless entry systems, dense arrays of micromirrors for high-definition optical displays, scanning electron microscope tips to image single atoms, micro-heat-exchangers for cooling of electronic circuits, reactors for separating biological cells, blood analyzers and pressure sensors for catheter tips are but a few of current usage. Microducts are used in infrared detectors, diode lasers, miniature gas chromatographs and high-frequency fluidic control systems. Micropumps are used for ink jet printing, environmental testing and electronic cooling. Potential medical applications for small pumps include controlled delivery and monitoring of minute amount of medication, manufacturing of nanoliters of chemicals and development of artificial pancreas.

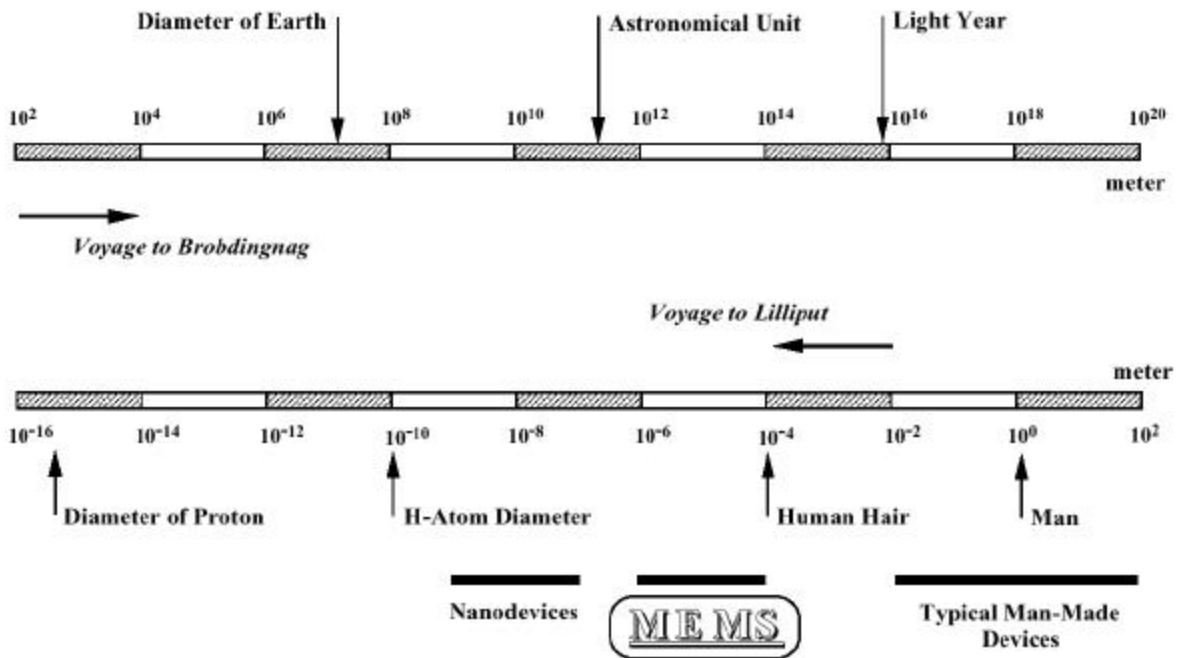


Figure 1: Scale of things, in meters. Lower scale continues in the upper bar from left to right. One meter is 10^6 microns, 10^9 nanometers, or 10^{10} Angstroms.

Not all MEMS devices involve fluid flows, but the present paper will focus on the ones that do. Microfluidics in this context refer to fluid flows in or around microdevices. Microducts, micropumps, microturbines and microvalves are examples of small devices involving the flow of liquids and gases. MEMS can also be related to fluid flows in an indirect way. The availability of inexpensive, batch-processing-produced microsensors and microactuators provides opportunities for targeting small-scale coherent structures in macroscopic turbulent shear flows. Flow control using MEMS promises a quantum leap in control system performance. Because of size limitation, the present paper only touches on its broad subject matter and the reader is referred to three other sources for further details (Gad-el-Hak, 1999; 2000; 2002). This paper is an abridged version of Chapter 4 of the handbook by Gad-el-Hak (2002). The book by Karniadakis and Beskok (2002) contains very useful information on the modeling of Microscale flows.

2. Fluid Mechanics Issues

The rapid progress in fabricating and utilizing microelectromechanical systems during the last decade has not been matched by corresponding advances in our understanding of the unconventional physics involved in the operation and manufacture of small devices. Providing such understanding is crucial to designing, optimizing, fabricating and operating improved MEMS devices.

Fluid flows in small devices differ from those in macroscopic machines. The operation of MEMS-based ducts, nozzles, valves, bearings, turbomachines, etc., cannot always be predicted from conventional flow models such as the Navier–Stokes equations with no-slip boundary condition at a fluid-solid interface, as routinely and successfully applied for larger flow devices. Many questions have been raised when the results of experiments with microdevices could not be explained via traditional flow modeling. The pressure gradient in a long microduct was observed to be non-constant and the measured flowrate was higher than that predicted from the conventional continuum flow model. Load capacities of microbearings were diminished and electric currents needed to move micromotors were extraordinarily high. The dynamic response of micromachined accelerometers operating at atmospheric conditions was observed to be over-damped.

In the early stages of development of this exciting new field, the objective was to build MEMS devices as productively as possible. Microsensors were reading something, but not many researchers seemed to know exactly what. Microactuators were moving, but conventional modeling could not precisely predict their motion. After a decade of unprecedented progress in MEMS technology, perhaps the time is now ripe to take stock, slow down a bit and answer the many questions that arose. The ultimate aim of this long-term exercise is to achieve rational-design capability for useful microdevices and to be able to characterize definitively and with as little empiricism as possible the operations of microsensors and microactuators.

In dealing with fluid flow through microdevices, one is faced with the question of which model to use, which boundary condition to apply and how to proceed to obtain solutions to the problem at hand. Obviously surface effects dominate in small devices. The surface-to-volume ratio for a machine with a characteristic length of 1 m is 1 m^{-1} , while that for a MEMS device having a size of $1 \text{ }\mu\text{m}$ is 10^6 m^{-1} . The million-fold increase in surface area relative to the mass of the minute device substantially affects the transport of mass, momentum and energy through the surface. The small length-scale of microdevices may invalidate the continuum approximation altogether. Slip flow, thermal creep, rarefaction, viscous dissipation, compressibility, intermolecular forces and other unconventional effects may have to be taken into account, preferably using only first principles such as conservation of mass, Newton's second law, conservation of energy, etc.

In this paper, I shall discuss continuum as well as molecular-based flow models, and the choices to be made. Computing typical Reynolds, Mach and Knudsen numbers for the flow through a particular device is a good start to characterize the flow. For gases, microfluid mechanics has been studied by incorporating slip boundary conditions, thermal creep, viscous dissipation as well as compressibility effects into the continuum equations of motion. Molecular-based models have also been attempted for certain ranges of the operating parameters. Use is made of the well-developed kinetic theory of gases, embodied in the Boltzmann equation, and direct simulation methods such as Monte Carlo. Microfluid mechanics of liquids is more complicated. The molecules are much more closely packed at normal pressures and temperatures, and the attractive

or cohesive potential between the liquid molecules as well as between the liquid and solid ones plays a dominant role if the characteristic length of the flow is sufficiently small. In cases when the traditional continuum model fails to provide accurate predictions or postdictions, expensive molecular dynamics simulations seem to be the only first-principle approach available to rationally characterize liquid flows in microdevices. Such simulations are not yet feasible for realistic flow extent or number of molecules. As a consequence, the microfluid mechanics of liquids is much less developed than that for gases.

3. Fluid Modeling

There are basically two ways of modeling a flowfield. Either as the fluid really is—a collection of molecules—or as a continuum where the matter is assumed continuous and indefinitely divisible. The former modeling is subdivided into deterministic methods and probabilistic ones, while in the latter approach the velocity, density, pressure, etc., are defined at every point in space and time, and conservation of mass, energy and momentum lead to a set of nonlinear partial differential equations (Euler, Navier–Stokes, Burnett, etc.). Fluid modeling classification is depicted schematically in Figure 2.

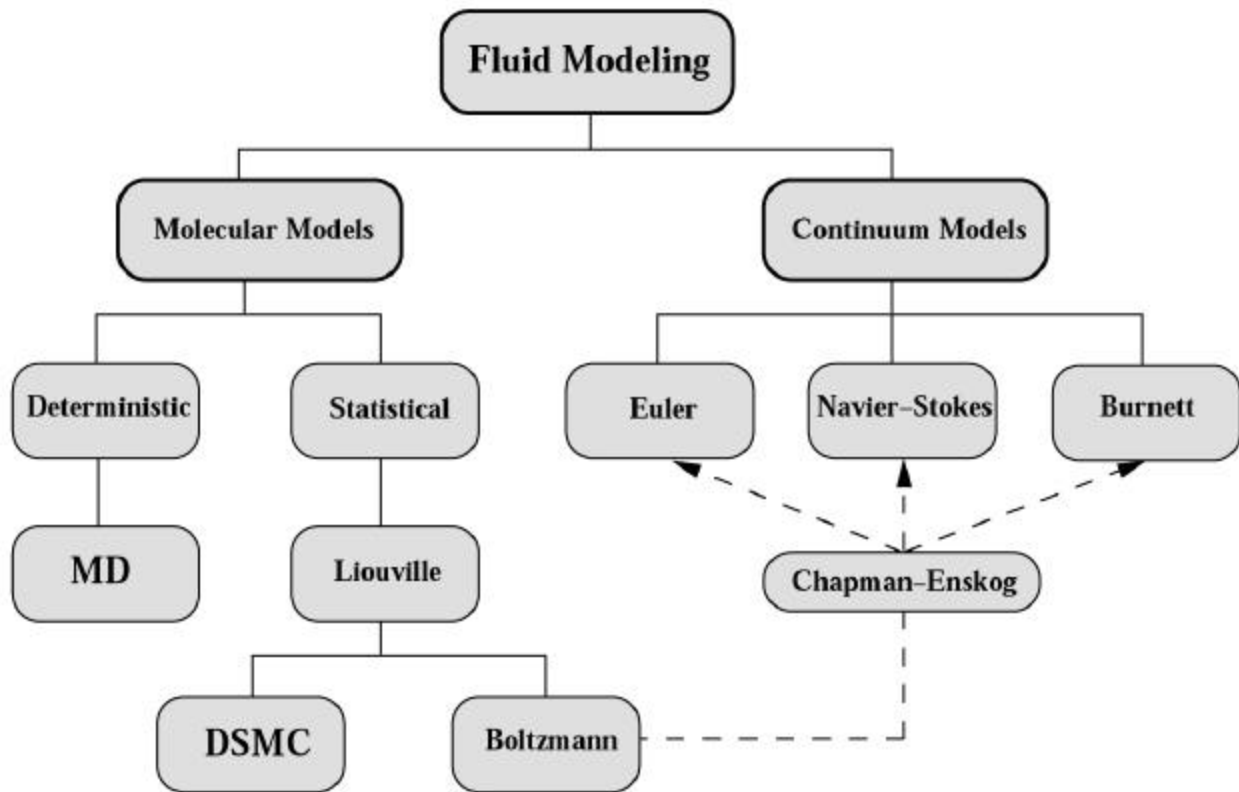


Figure 2: Molecular and continuum flow models.

The continuum model, embodied in the Navier–Stokes equations, is applicable to numerous flow situations. The model ignores the molecular nature of gases and liquids and regards the fluid as a continuous medium describable in terms of the spatial and temporal variations of density, velocity, pressure, temperature and other macroscopic flow quantities. For dilute gas flows near equilibrium, the Navier–Stokes equations are derivable from the molecularly-based Boltzmann equation, but can also be derived independently of that for both liquids and gases. In the case of

direct derivation, some empiricism is necessary to close the resulting indeterminate set of equations. The continuum model is easier to handle mathematically (and is also more familiar to most fluid dynamicists) than the alternative molecular models. Continuum models should therefore be used as long as they are applicable. Thus, careful considerations of the validity of the Navier–Stokes equations and the like are in order.

Basically, the continuum model leads to fairly accurate predictions as long as local properties such as density and velocity can be defined as averages over elements large compared with the microscopic structure of the fluid but small enough in comparison with the scale of the macroscopic phenomena to permit the use of differential calculus to describe them. Additionally, the flow must not be too far from thermodynamic equilibrium. The former condition is almost always satisfied, but it is the latter which usually restricts the validity of the continuum equations. As will be seen in the following section, the continuum flow equations do not form a determinate set. The shear stress and heat flux must be expressed in terms of lower-order macroscopic quantities such as velocity and temperature, and the simplest (i.e. linear) relations are valid only when the flow is near thermodynamic equilibrium. Worse yet, the traditional no-slip boundary condition at a solid–fluid interface breaks down even before the linear stress–strain relation becomes invalid.

To be more specific, we temporarily restrict the discussion to gases where the concept of mean free path is well defined. Liquids are more problematic and we refer the reader to Gad-el-Hak (1999) for more details. For gases, the mean free path L is the average distance traveled by molecules between collisions. For an ideal gas modeled as rigid spheres, the mean free path is related to temperature T and pressure p as follows

$$L = \frac{1}{\sqrt{2} p n s^2} = \frac{k T}{\sqrt{2} p s^2} \quad (1)$$

where n is the number density (number of molecules per unit volume), s is the molecular diameter, and k is the Boltzmann constant (1.38×10^{-23} J/K.molecule).

The Navier–Stokes equations are valid when L is much smaller than a characteristic flow dimension L . As this condition is violated, the flow is no longer near equilibrium and the linear relation between stress and rate of strain and the no-slip velocity condition are no longer valid. Similarly, the linear relation between heat flux and temperature gradient and the no-jump temperature condition at a solid–fluid interface are no longer accurate when L is not much smaller than L .

The length-scale L can be some overall dimension of the flow, but a more precise choice is the scale of the gradient of a macroscopic quantity, as for example the density ρ ,

$$L = \frac{\mathbf{r}}{\left| \frac{\nabla \rho}{\rho} \right|} \quad (2)$$

The ratio between the mean free path and the characteristic length is known as the Knudsen number

$$Kn = \frac{L}{L} \quad (3)$$

and generally the traditional continuum approach is valid, albeit with modified boundary conditions, as long as $Kn < 0.1$.

There are two more important dimensionless parameters in fluid mechanics, and the Knudsen number can be expressed in terms of those two. The Reynolds number is the ratio of inertial forces to viscous ones

$$Re = \frac{v_o L}{\boldsymbol{n}} \quad (4)$$

where v_o is a characteristic velocity, and \boldsymbol{n} is the kinematic viscosity of the fluid. The Mach number is the ratio of flow velocity to the speed of sound

$$Ma = \frac{v_o}{a_o} \quad (5)$$

The Mach number is a dynamic measure of fluid compressibility and may be considered as the ratio of inertial forces to elastic ones. From the kinetic theory of gases, the mean free path is related to the viscosity as follows

$$\boldsymbol{n} = \frac{\boldsymbol{m}}{\boldsymbol{r}} = \frac{1}{2} L \bar{v}_m \quad (6)$$

where \boldsymbol{m} is the dynamic viscosity, and \bar{v}_m is the mean molecular speed which is somewhat higher than the sound speed a_o ,

$$\bar{v}_m = \sqrt{\frac{8}{\boldsymbol{p} \boldsymbol{g}}} a_o \quad (7)$$

where \boldsymbol{g} is the specific heat ratio (i.e. the isentropic exponent). Combining Equations (3)–(7), we reach the required relation

$$Kn = \sqrt{\frac{\boldsymbol{p} \boldsymbol{g}}{2}} \frac{Ma}{Re} \quad (8)$$

In boundary layers, the relevant length-scale is the shear-layer thickness d , and for laminar flows

$$\frac{d}{L} \sim \frac{1}{\sqrt{Re}} \quad (9)$$

$$Kn \sim \frac{Ma}{Re_d} \sim \frac{Ma}{\sqrt{Re}} \quad (10)$$

where Re_d is the Reynolds number based on the freestream velocity v_o and the boundary layer thickness d , and Re is based on v_o and the streamwise length-scale L .

Rarefied gas flows are in general encountered in flows in small geometries such as MEMS devices and in low-pressure applications such as high-altitude flying and high-vacuum gadgets. The local value of Knudsen number in a particular flow determines the degree of rarefaction and the degree of validity of the continuum model. The different Knudsen number regimes are determined empirically and are therefore only approximate for a particular flow geometry. The pioneering experiments in rarefied gas dynamics were conducted by Knudsen in 1909. In the limit of zero Knudsen number, the transport terms in the continuum momentum and energy equations are negligible and the Navier–Stokes equations then reduce to the inviscid Euler equations. Both heat conduction and viscous diffusion and dissipation are negligible, and the flow is then approximately isentropic (i.e. adiabatic and reversible) from the continuum viewpoint while the equivalent molecular viewpoint is that the velocity distribution function is everywhere of the local equilibrium or Maxwellian form. As Kn increases, rarefaction effects become more important, and eventually the continuum approach breaks down altogether. The different Knudsen number regimes are depicted in Figure 3.

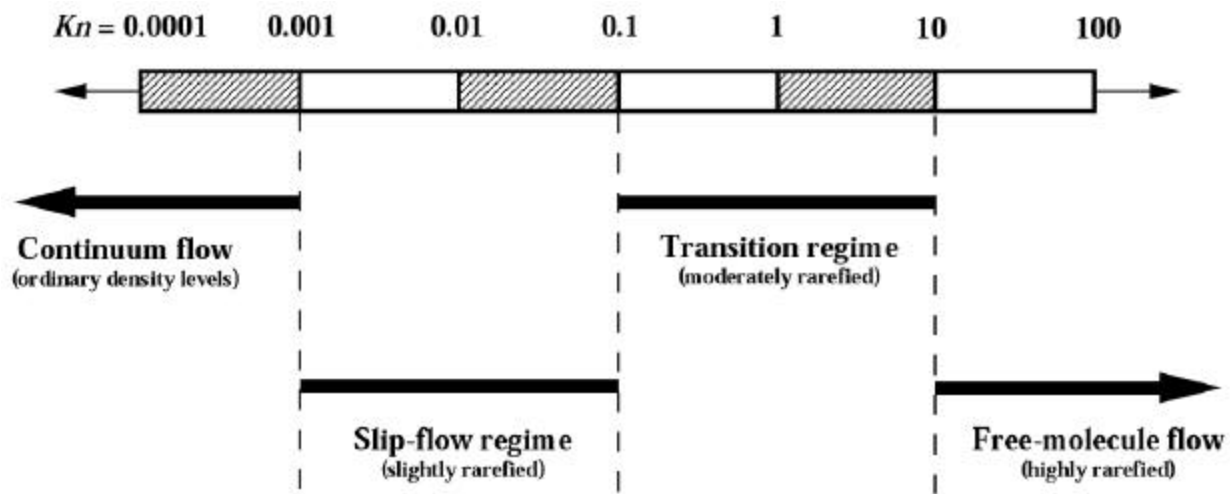


Figure 3: Knudsen number regimes.

As an example, consider air at standard temperature ($T=288$ K) and pressure ($p = 1.01 \times 10^5$ N/m²). A cube one micron on a side contains 2.54×10^7 molecules separated by an average distance of 0.0034 micron. The gas is considered dilute if the ratio of this distance to the molecular diameter exceeds 7, and in the present example this ratio is 9, barely satisfying the dilute gas assumption. The mean free path computed from Equation (1) is $L = 0.065$ μm . A microdevice with characteristic length of 1 μm would have $Kn=0.065$, which is in the slip-flow regime. At lower pressures, the Knudsen number increases. For example, if the pressure is 0.1 atm and the temperature remains the same, $Kn=0.65$ for the same 1 μm device, and the flow is then in the transition regime. There would still be over 2 million molecules in the same one-micron cube, and the average distance between them would be 0.0074 μm . The same device at 100 km altitude would have $Kn = 3 \times 10^4$, well into the free-molecule flow regime. Knudsen number for the flow of a light gas like helium is about 3 times larger than that for air flow at otherwise the same conditions.

Consider a long microchannel where the entrance pressure is atmospheric and the exit conditions are near vacuum. As air goes down the duct, the pressure and density decrease while the velocity, Mach number and Knudsen number increase. The pressure drops to overcome viscous forces in the channel. If isothermal conditions prevail, density also drops and conservation of mass requires the flow to accelerate down the constant-area tube. The fluid acceleration in turn affects the pressure gradient, resulting in a nonlinear pressure drop along the channel. The Mach number increases down the tube, limited only by choked-flow condition $Ma=1$. Additionally, the normal component of velocity is no longer zero. With lower density, the mean free path increases and Kn correspondingly increases. All flow regimes depicted in Figure 3 may occur in the same tube: continuum with no-slip boundary conditions, slip-flow regime, transition regime and free-molecule flow. The air flow may also change from incompressible to compressible as it moves down the microduct. A similar scenario may take place if the entrance pressure is, say, 5 atm, while the exit is atmospheric. This deceptively simple duct flow may in fact manifest every single complexity discussed in this section. In the following four sections, we discuss in turn the

Navier–Stokes equations, compressibility effects, boundary conditions, and molecular-based models.

4. Continuum Model

We recall in this section the traditional conservation relations in fluid mechanics. A concise derivation of these equations can be found in Gad-el-Hak (2000). In here, we re-emphasize the precise assumptions needed to obtain a particular form of the equations. A continuum fluid implies that the derivatives of all the dependent variables exist in some reasonable sense. In other words, local properties such as density and velocity are defined as averages over elements large compared with the microscopic structure of the fluid but small enough in comparison with the scale of the macroscopic phenomena to permit the use of differential calculus to describe them. As mentioned earlier, such conditions are almost always met. For such fluids, and assuming the laws of non-relativistic mechanics hold, the conservation of mass, momentum and energy can be expressed at every point in space and time as a set of 5 partial differential equations as for 17 unknowns. Obviously, the continuum flow equations do not form a determinate set. To close the conservation equations, relation between the stress tensor and deformation rate, relation between the heat flux vector and the temperature field and appropriate equations of state relating the different thermodynamic properties are needed.

The stress–rate of strain relation and the heat flux–temperature gradient relation are approximately linear if the flow is not too far from thermodynamic equilibrium. This is a phenomenological result but can be rigorously derived from the Boltzmann equation for a dilute gas assuming the flow is near equilibrium. The resulting 6 equations in 6 unknown together with sufficient number of initial and boundary conditions constitute a well-posed, albeit formidable, problem. The system of equations is an excellent model for the laminar or turbulent flow of most fluids such as air and water under many circumstances, including high-speed gas flows for which the shock waves are thick relative to the mean free path of the molecules.

Considerable simplification is achieved if the flow is assumed incompressible, usually a reasonable assumption provided that the characteristic flow speed is less than 0.3 of the speed of sound. The incompressibility assumption is readily satisfied for almost all liquid flows and many gas flows. In such cases, the density is assumed either a constant or a given function of temperature (or species concentration).

5. Compressibility

The issue of whether to consider the continuum flow compressible or incompressible seems to be rather straightforward, but is in fact full of potential pitfalls. If the local Mach number is less than 0.3, then the flow of a compressible fluid like air can—according to the conventional wisdom—be treated as incompressible. But the well-known $Ma < 0.3$ criterion is only a necessary not a sufficient one to allow a treatment of the flow as approximately incompressible. In other words, there are situations where the Mach number can be exceedingly small while the flow is compressible. As is well documented in heat transfer textbooks, strong wall heating or cooling may cause the density to change sufficiently and the incompressible approximation to break down, even at low speeds. Less known is the situation encountered in some microdevices where the pressure may strongly change due to viscous effects even though the speeds may not be high enough for the Mach number to go above the traditional threshold of 0.3. Corresponding to the pressure changes would be strong density changes that must be taken into account when writing the continuum equations of motion.

Experiments in gaseous microducts confirm the above arguments. For both low- and high-Mach-number flows, pressure gradients in long microchannels are non-constant, consistent with the compressible flow equations.

There are three additional scenarios in which significant pressure and density changes may take place without inertial, viscous or thermal effects. First is the case of quasi-static compression/expansion of a gas in, for example, a piston-cylinder arrangement. The resulting compressibility effects are, however, compressibility of the fluid and not of the flow. Two other situations where compressibility effects must also be considered are problems with length-scales comparable to the scale height of the atmosphere and rapidly varying flows as in sound propagation.

6. Boundary Conditions

The continuum equations of motion described earlier require a certain number of initial and boundary conditions for proper mathematical formulation of flow problems. In this section, we describe the boundary conditions at a fluid-solid interface. Boundary conditions in the inviscid flow theory pertain only to the velocity component normal to a solid surface. The highest spatial derivative of velocity in the inviscid equations of motion is first-order, and only one velocity boundary condition at the surface is admissible. The normal velocity component at a fluid-solid interface is specified, and no statement can be made regarding the tangential velocity component. The normal-velocity condition simply states that a fluid-particle path cannot go through an impermeable wall. Real fluids are of course viscous and the corresponding momentum equation has second-order derivatives of velocity, thus requiring an additional boundary condition on the velocity component tangential to a solid surface.

Traditionally, the no-slip condition at a fluid-solid interface is enforced in the momentum equation and an analogous no-temperature-jump condition is applied in the energy equation. The notion underlying the no-slip/no-jump condition is that within the fluid there cannot be any finite discontinuities of velocity/temperature. Those would involve infinite velocity/temperature gradients and so produce infinite viscous stress/heat flux that would destroy the discontinuity in infinitesimal time. The interaction between a fluid particle and a wall is similar to that between neighboring fluid particles, and therefore no discontinuities are allowed at the fluid-solid interface either. In other words, the fluid velocity must be zero relative to the surface and the fluid temperature must equal to that of the surface. But strictly speaking those two boundary conditions are valid only if the fluid flow adjacent to the surface is in thermodynamic equilibrium. This requires an infinitely high frequency of collisions between the fluid and the solid surface. In practice, the no-slip/no-jump condition leads to fairly accurate predictions as long as $Kn < 0.001$ (for gases). Beyond that, the collision frequency is simply not high enough to ensure equilibrium and a certain degree of tangential-velocity slip and temperature jump must be allowed. This is a case frequently encountered in MEMS flows, and we develop the appropriate relations in this section.

Assuming isothermal conditions prevail, the above slip relation has been rigorously derived by Maxwell (1879) from considerations of the kinetic theory of dilute, monatomic gases. Gas molecules, modeled as rigid spheres, continuously strike and reflect from a solid surface, just as they continuously collide with each other. For an idealized perfectly smooth wall (at the molecular scale), the incident angle exactly equals the reflected angle and the molecules

conserve their tangential momentum and thus exert no shear on the wall. This is termed specular reflection and results in perfect slip at the wall. For an extremely rough wall, on the other hand, the molecules reflect at some random angle uncorrelated with their entry angle. This perfectly diffuse reflection results in zero tangential-momentum for the reflected fluid molecules to be balanced by a finite slip velocity in order to account for the shear stress transmitted to the wall. A force balance near the wall leads to the following expression for the slip velocity

$$u_{gas} - u_{wall} = L \left. \frac{\mathcal{I}u}{\mathcal{I}y} \right|_w \quad (11)$$

where L is the mean free path. The right-hand side can be considered as the first term in an infinite Taylor series, sufficient if the mean free path is relatively small enough. The equation above states that significant slip occurs only if the mean velocity of the molecules varies appreciably over a distance of one mean free path. This is the case, for example, in vacuum applications and/or flow in microdevices. The number of collisions between the fluid molecules and the solid in those cases is not large enough for even an approximate flow equilibrium to be established. Furthermore, additional (nonlinear) terms in the Taylor series would be needed as L increases and the flow is further removed from the equilibrium state.

For real walls some molecules reflect diffusively and some reflect specularly. In other words, a portion of the momentum of the incident molecules is lost to the wall and a (typically smaller) portion is retained by the reflected molecules. The tangential-momentum-accommodation coefficient s_v is defined as the fraction of molecules reflected diffusively. This coefficient depends on the fluid, the solid and the surface finish, and has been determined experimentally to be between 0.2–0.8, the lower limit being for exceptionally smooth surfaces while the upper limit is typical of most practical surfaces. The final expression derived by Maxwell for an isothermal wall reads

$$u_{gas} - u_{wall} = \frac{2 - s_v}{s_v} L \left. \frac{\mathcal{I}u}{\mathcal{I}y} \right|_w \quad (12)$$

For $s_v = 0$, the slip velocity is unbounded, while for $s_v = 1$, Equation (12) reverts to (11). Similar arguments were made for the temperature-jump boundary condition by von Smoluchowski (1898).

7. Molecular-Based Models

In the continuum models discussed thus far, the macroscopic fluid properties are the dependent variables while the independent variables are the three spatial coordinates and time. The molecular models recognize the fluid as a myriad of discrete particles: molecules, atoms, ions and electrons. The goal here is to determine the position, velocity and state of all particles at all times. The molecular approach is either deterministic or probabilistic (refer to Figure 2). Provided that there is a sufficient number of microscopic particles within the smallest significant volume of a flow, the macroscopic properties at any location in the flow can then be computed from the discrete-particle information by a suitable averaging or weighted averaging process. The present section discusses molecular-based models and their relation to the continuum models previously considered.

The most fundamental of the molecular models is a deterministic one. The motion of the molecules are governed by the laws of classical mechanics, although, at the expense of greatly complicating the problem, the laws of quantum mechanics can also be considered in special circumstances. The modern molecular dynamics computer simulations (MD) have been

pioneered by Alder and Wainwright (1957; 1958; 1970) and reviewed by Ciccotti and Hoover (1986), Allen and Tildesley (1987), Haile (1993) and Koplik and Banavar (1995). The simulation begins with a set of N molecules in a region of space, each assigned a random velocity corresponding to a Boltzmann distribution at the temperature of interest. The interaction between the particles is prescribed typically in the form of a two-body potential energy and the time evolution of the molecular positions is determined by integrating Newton's equations of motion. Because MD is based on the most basic set of equations, it is valid in principle for any flow extent and any range of parameters. The method is straightforward in principle but there are two hurdles: choosing a proper and convenient potential for particular fluid and solid combinations, and the colossal computer resources required to simulate a reasonable flowfield extent.

For purists, the former difficulty is a sticky one. There is no totally rational methodology by which a convenient potential can be chosen. Part of the art of MD is to pick an appropriate potential and validate the simulation results with experiments or other analytical/computational results. A commonly used potential between two molecules is the generalized Lennard-Jones 6–12 potential.

The second difficulty, and by far the most serious limitation of molecular dynamics simulations, is the number of molecules N that can realistically be modeled on a digital computer. Since the computation of an element of trajectory for any particular molecule requires consideration of *all* other molecules as potential collision partners, the amount of computation required by the MD method is proportional to N^2 . Some saving in computer time can be achieved by cutting off the weak tail of the potential at, say, $r_c = 2.5\sigma$, and shifting the potential by a linear term in r so that the force goes smoothly to zero at the cutoff. As a result, only nearby molecules are treated as potential collision partners, and the computation time for N molecules no longer scales with N^2 .

The state of the art of molecular dynamics simulations in the early 2000s is such that with a few hours of CPU time, general purpose supercomputers can handle around 100,000 molecules. At enormous expense, the fastest parallel machine available can simulate around 10 million particles. Because of the extreme diminution of molecular scales, the above translates into regions of liquid flow of about $0.02\ \mu\text{m}$ (200 Angstroms) in linear size, over time intervals of around $0.001\ \mu\text{s}$, enough for continuum behavior to set in for simple molecules. To simulate 1 s of real time for complex molecular interactions, e.g. including vibration modes, reorientation of polymer molecules, collision of colloidal particles, etc., requires unrealistic CPU time measured in hundreds of years.

MD simulations are highly inefficient for dilute gases where the molecular interactions are infrequent. The simulations are more suited for dense gases and liquids. Clearly, molecular dynamics simulations are reserved for situations where the continuum approach or the statistical methods are inadequate to compute from first principles important flow quantities. Slip boundary conditions for liquid flows in extremely small devices is such a case and is discussed in Gad-el-Hak (1999).

An alternative to the deterministic molecular dynamics is the statistical approach where the goal is to compute the probability of finding a molecule at a particular position and state. If the appropriate conservation equation can be solved for the probability distribution, important statistical properties such as the mean number, momentum or energy of the molecules within an element of volume can be computed from a simple weighted averaging. In a practical problem, it

is such average quantities that concern us rather than the detail for every single molecule. Clearly, however, the accuracy of computing average quantities, via the statistical approach, improves as the number of molecules in the sampled volume increases. The kinetic theory of dilute gases is well advanced, but that for dense gases and liquids is much less so due to the extreme complexity of having to include multiple collisions and intermolecular forces in the theoretical formulation.

In the statistical approach, the fraction of molecules in a given location and state is the sole dependent variable. The independent variables for monatomic molecules are time, the three spatial coordinates and the three components of molecular velocity. Those describe a 6-dimensional phase space. For diatomic or polyatomic molecules, the dimension of phase space is increased by the number of internal degrees of freedom. Orientation adds an extra dimension for molecules which are not spherically symmetric. Finally, for mixtures of gases, separate probability distribution functions are required for each species. Clearly, the complexity of the approach increases dramatically as the dimension of phase space increases. The simplest problems are, for example, those for steady, one-dimensional flow of a simple monatomic gas.

To simplify the problem we restrict the discussion here to monatomic gases having no internal degrees of freedom. Furthermore, the fluid is restricted to dilute gases and molecular chaos is assumed. The former restriction requires the average distance between molecules \mathbf{d} to be an order of magnitude larger than their diameter \mathbf{s} . That will almost guarantee that all collisions between molecules are binary collisions, avoiding the complexity of modeling multiple encounters. The molecular chaos restriction improves the accuracy of computing the macroscopic quantities from the microscopic information. In essence, the volume over which averages are computed has to have sufficient number of molecules to reduce statistical errors. It can be shown that computing macroscopic flow properties by averaging over a number of molecules will result in statistical fluctuations with a standard deviation of approximately 0.1% if one million molecules are used and around 3% if one thousand molecules are used. The molecular chaos limit requires the length-scale L for the averaging process to be at least 100 times the average distance between molecules (i.e. typical averaging over at least one million molecules).

Figure 4, adapted from Bird (1994), shows the limits of validity of the dilute gas approximation ($\mathbf{d}/\mathbf{s} > 7$), the continuum approach ($Kn < 0.1$, as discussed previously), and the neglect of statistical fluctuations ($L/\mathbf{d} > 100$). Using a molecular diameter of $\mathbf{s} = 4 \times 10^{-10}$ m as an example, the three limits are conveniently expressed as functions of the normalized gas density \mathbf{r}/\mathbf{r}_o or number density n/n_o , where the reference densities \mathbf{r}_o and n_o are computed at standard conditions. All three limits are straight lines in the log-log plot of L versus \mathbf{r}/\mathbf{r}_o , as depicted in Figure 4. Note the shaded triangular wedge inside which both the Boltzmann and Navier–Stokes equations are valid. Additionally, the lines describing the three limits very nearly intersect at a single point. As a consequence, the continuum breakdown limit always lies between the dilute gas limit and the limit for molecular chaos. As density or characteristic dimension is reduced in a dilute gas, the Navier–Stokes model breaks down before the level of statistical fluctuations becomes significant. In a dense gas, on the other hand, significant fluctuations may be present even when the Navier–Stokes model is still valid.

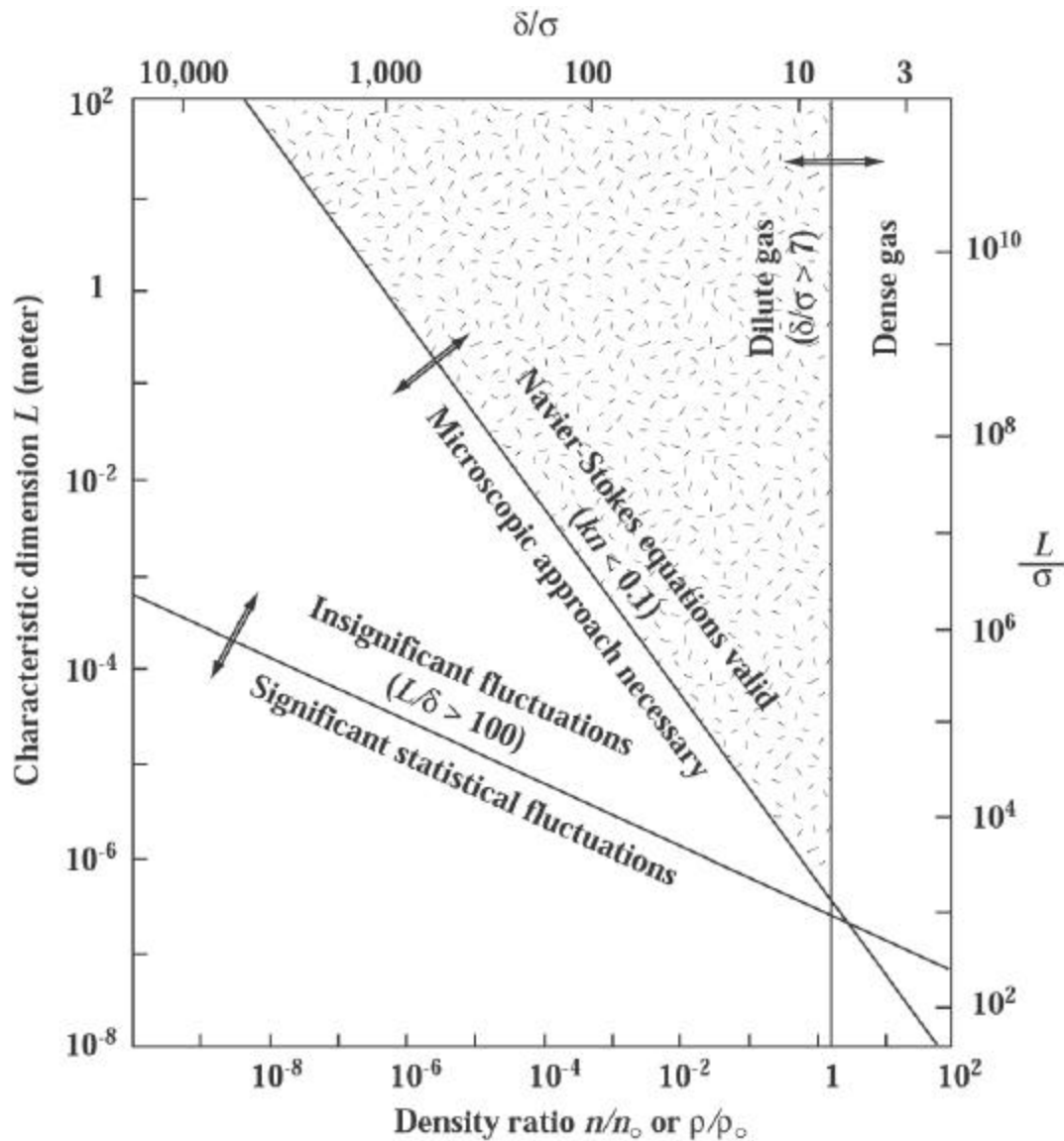


Figure 4: Effective limits of different flow models. From Bird (1994).

8. Summary

The traditional Navier–Stokes model of fluid flows with no-slip boundary conditions works only for a certain range of the governing parameters. This model basically demands two conditions. (1) The fluid is a continuum, which is almost always satisfied as there are usually more than one million molecules in the smallest volume in which appreciable macroscopic changes take place. This is the molecular chaos restriction. (2) The flow is not too far from thermodynamic equilibrium, which is satisfied if there is sufficient number of molecular encounters during a time period small compared to the smallest time-scale for flow changes. During this time period the average molecule would have moved a distance small compared to the smallest flow length-scale.

For gases, the Knudsen number determines the degree of rarefaction and the applicability of traditional flow models. As Kn tends to zero, the time- and length-scales of molecular encounters

are vanishingly small compared to those for the flow, and the velocity distribution of each element of the fluid instantaneously adjusts to the equilibrium thermodynamic state appropriate to the local macroscopic properties as this molecule moves through the flow field. From the continuum viewpoint, the flow is isentropic and heat conduction and viscous diffusion and dissipation vanish from the continuum conservation relations, leading to the Euler equations of motion. At small but finite Kn , the Navier–Stokes equations describe near-equilibrium, continuum flows.

Gaseous flows are often compressible in microdevices even at low Mach numbers. Viscous effects can cause sufficient pressure drop and density changes for the flow to be treated as compressible. In a long, constant-area microduct, all Knudsen number regimes may be encountered and the degree of rarefaction increases along the tube. The pressure drop is nonlinear and the Mach number increases downstream, limited only by choked-flow condition.

Similar deviation and breakdown of the traditional Navier–Stokes equations occur for liquids as well, but there the situation is more murky. Existing experiments are contradictory. There is no kinetic theory of liquids, and first-principles prediction methods are scarce. Molecular dynamics simulations can be used, but they are limited to extremely small flow extents.

The material presented herein is but a very brief summary of a very broad area of research. Several phenomena particularly important in microdevices have not even been discussed, for example surface tension and electroosmotic effects. The reader is referred to the books by Gad-el-Hak (2002) and Karniadakis and Beskok (2002) to fill much of the missing details.

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Mohamed Gad-el-Hak received his B.Sc. in mechanical engineering from Ain Shams University and his Ph.D. in fluid mechanics from the Johns Hopkins University. He is currently the Inez Caudill Eminent Professor of Biomedical Engineering and Chair of Mechanical Engineering at Virginia Commonwealth University in Richmond. Gad-el-Hak is a fellow of the American Academy of Mechanics, the American Physical Society, and the American Society of Mechanical Engineers. He is the author of the book Flow Control: Passive, Active, and Reactive Flow Management, and editor of The MEMS Handbook. In 1998, Professor Gad-el-Hak was named the Fourteenth ASME Freeman Scholar. In 1999, he was awarded the Alexander von Humboldt Prize. In 2002, Gad-el-Hak was named ASME Distinguished Lecturer, as well as inducted into the Johns Hopkins University Society of Scholars.

Carbon Nanotubes – the Route Toward Applications

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By Ray Baughman, Anvar Zakhidov, and Walt Heer

Many potential applications have been proposed for carbon nanotubes, including conductive and high-strength composites; energy storage and energy conversion devices; sensors; field emission displays and radiation sources; hydrogen storage media; and nanometer-sized semiconductor devices, probes, and interconnects. Some of these applications are now realized in products. Others are demonstrated in early to advanced devices, and one, hydrogen storage, is clouded by controversy. Nanotube cost, polydispersity in nanotube type, and limitations in processing and assembly methods are important barriers for some applications of single-walled nanotubes.

There are two main types of carbon nanotubes that can have high structural perfection. Single-walled nanotubes (SWNTs) consist of a single graphite sheet seamlessly wrapped into a cylindrical tube (Fig. 1, A to D). Multiwalled nanotubes (MWNTs) comprise an array of such nano-tubes that are concentrically nested like rings of a tree trunk (Fig. 1E).

Despite structural similarity to a single sheet of graphite, which is a semiconductor with zero band gap, SWNTs may be either metallic or semiconducting, depending on the sheet direction about which the graphite sheet is rolled to form a nanotube cylinder. This direction in the graphite sheet plane and the nanotube diameter are obtainable from a pair of integers (n , m) that denote the nanotube type (1). Depending on the appearance of a belt of carbon bonds around the nanotube diameter, the nanotube is either of the arm-chair ($n = m$), zigzag ($n = 0$ or $m = 0$), or chiral (any other n and m) variety. All arm-chair SWNTs are metals; those with $n - m = 3k$, where k is a nonzero integer, are semi-conductors with a tiny band gap; and all others are semiconductors with a band gap that inversely depends on the nanotube diameter (1).

The electronic properties of perfect MWNTs are rather similar to those of perfect SWNTs, because the coupling between the cylinders is weak in MWNTs. Because of the nearly one-dimensional electronic structure, electronic transport in metallic SWNTs and MWNTs occurs ballistically (i.e., without scattering) over long nanotube lengths, enabling them to carry high currents with essentially no heating (2, 3). Phonons also propagate easily along the nanotube: The measured room temperature thermal conductivity for an individual MWNT (>3000 W/m·K) is greater than that of natural diamond and the basal plane of graphite (both 2000 W/m·K) (4). Superconductivity has also been observed, but only at low temperatures, with transition temperatures of ~ 0.55 K for 1.4-nm-diameter SWNTs (5) and ~ 5 K for 0.5-nm-diameter SWNTs grown in zeolites (6).

Small-diameter SWNTs are quite stiff and exceptionally strong, meaning that they have a high Young's modulus and high tensile strength. Literature reports of these mechanical parameters can be confusing, because some authors use the total occupied cross-sectional area and others use the much smaller van der Waals area for defining Young's modulus and tensile strength. With the total area per nanotube in a nanotube bundle for normalizing the applied force to obtain the applied stress, the calculated Young's modulus for an individual (10, 10) nanotube is ~ 0.64 TPa (7), which is consistent with measurements (8). Because small-diameter nanotube ropes have been extended elastically by $\sim 5.8\%$ before breaking, the SWNT strength calculated from the product of this strain and modulus is ~ 37 GPa (8, 9), which is close to the maximum strength of silicon carbide nanorods (~ 53 GPa) (10). This modulus of ~ 0.64 TPa is about the same as that

of silicon carbide nanofibers (~ 0.66 TPa) but lower than that of highly oriented pyrolytic graphite (~ 1.06 TPa) (10). More impressive and important for applications needing light structural materials, the density-normalized modulus and strength of this typical SWNT are, respectively, ~ 19 and ~ 56 times that of steel wire and, respectively, ~ 2.4 and ~ 1.7 times that of silicon carbide nanorods (10). The challenge is to achieve these properties of individual SWNTs in nanotube assemblies found in sheets and continuous fibers.

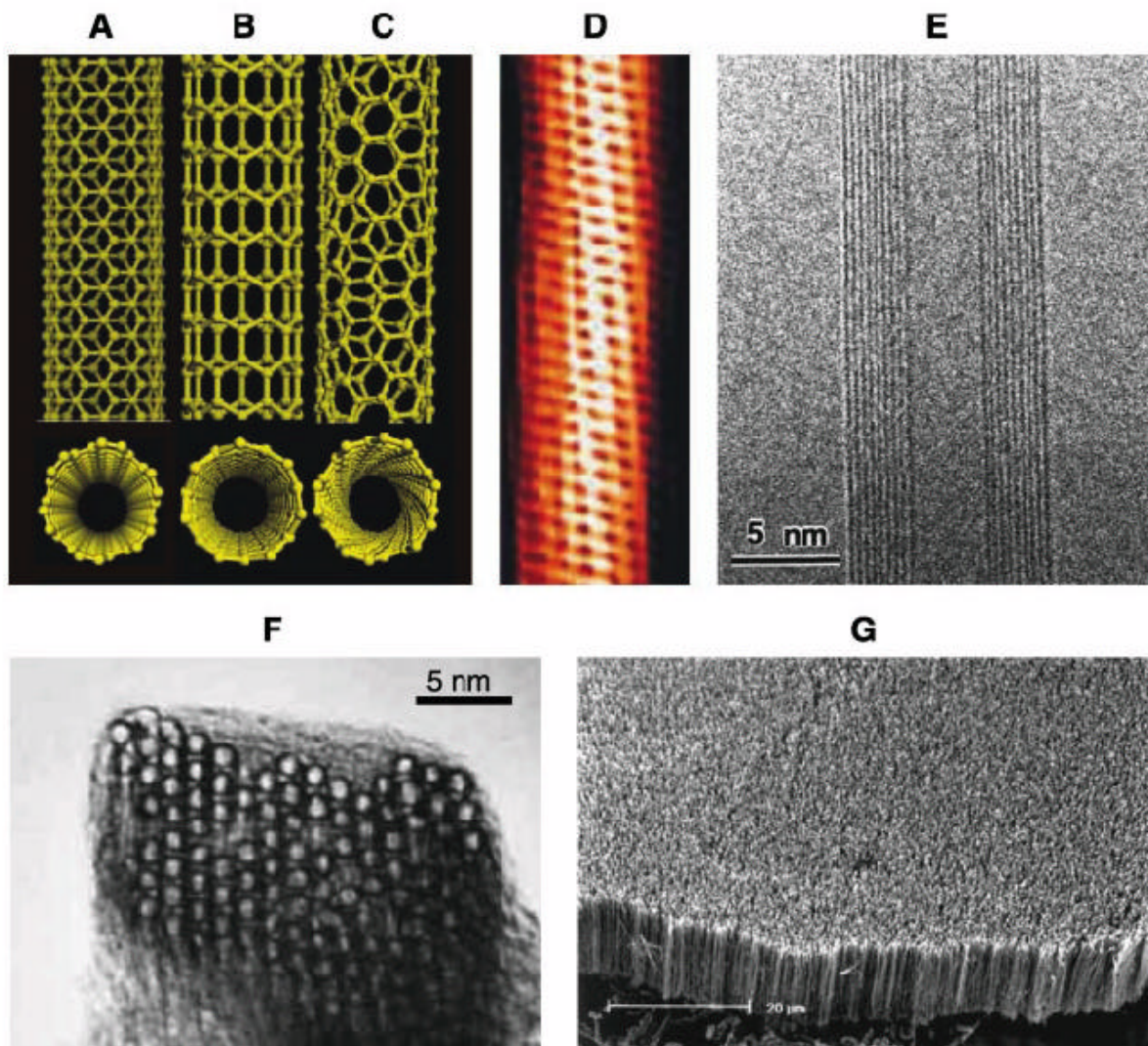


Fig.1. Schematic illustrations of the structures of (A) armchair, (B) zigzag, and (C) chiral SWNTs. Projections normal to the tube axis and perspective views along the tube axis are on the top and bottom, respectively. (D) Tunneling electron microscope image (72) showing the helical structure of a 1.3-nm-diameter chiral SWNT. (E) Transmission electron microscope (TEM) image of a MWNT containing a concentrically nested array of nine SWNTs. (F) TEM micrograph (18) showing the lateral packing of 1.4-nm-diameter SWNTs in a bundle. (G) Scanning electron microscope (SEM) image of an array of MWNTs grown as a nanotube forest (micrograph courtesy of L.Dai).

Nanotube Synthesis and Processing

SWNTs and MWNTs are usually made by carbon-arc discharge, laser ablation of carbon, or chemical vapor deposition (typically on catalytic particles) (11). Nanotube diameters range from ~ 0.4 to >3 nm for SWNTs and from ~ 1.4 to at least 100 nm for MWNTs (6, 11). Nanotube properties can thus be tuned by changing the diameter. Unfortunately, SWNTs are presently

produced only on a small scale and are extremely expensive: High-purity samples cost about \$750/g, and samples containing substantial amounts of impurities cost about \$60/g (12). Many researchers have depended on production facilities started by Rick Smalley of Rice University for purified SWNTs, on laser ablation– produced nanotubes, and now on the high-pressure carbon monoxide (HiPco) nanotubes of Carbon Nanotechnology, Inc. (CNI). CNI “hopes to make around 9 kilograms a day by 2002, and could be turning out thousands of kilograms per week by 2004” (13, p. 144); it is hoped that this will bring the price down.

All currently known synthesis methods for SWNTs result in major concentrations of impurities. Carbon-coated metal catalyst contaminates the nanotubes of the HiPco route, and both carbon-coated metal catalyst and, typically, ~60% forms of carbon other than nanotubes are formed in the carbon-arc route (11). These impurities are typically removed by acid treatment, which introduces other impurities, can degrade nanotube length and perfection, and adds to nanotube cost. Another problem, especially for electronic devices, is that the usual synthetic routes result in mixtures of various semiconducting and metallic nanotubes. Metallic SWNTs can be selectively destroyed by electrical heating, so that only the semiconducting nanotubes needed for nanotube field-effect transistors (NT-FETs) survive (14). However, no route to substantial quantities of SWNTs of one type is yet known.

Commercial access to MWNTs is less problematic. Hyperion Catalysis International, Inc., pioneered the production of MWNTs in multiton quantities in the early 1990s. However, these nanotubes have not been widely available to and used by researchers, because Hyperion has generally sold nanotubes compounded as a minority component in plastics and has traditionally required purchaser agreements that restrict the independent pursuit of patents by customers. Further-more, MWNTs produced catalytically by gas-phase pyrolysis, like the Hyperion nanotubes, have high defect densities compared to those produced by the more expensive carbon- arc process (11). However, the catalytically produced tubes are adequate for many applications, especially because they can be directly synthesized without major contamination by carbonaceous impurities.

When Hyperion’s extremely strong composition- of-matter patent coverage on MWNTs (15) expires (in 2004 in the United States), other large-scale producers of MWNTs are likely to emerge. Mitsui recently announced plans to build a \$15.2 million production facility in Japan that will be ca-able of producing 120 ton/year (16). The company plans to market 20-nm-diameter MWNTs at about \$75/kg.

Nanotube sheets, fibers, and composites should retain the properties of the individual nanotubes as far as possible. A generic problem is that impurities readily coat the surface of nanotubes (as do gases such as oxygen) (17). Even nanometer-thick coatings can affect nanotube dispersibility, binding in composites, and the electronic and mechanical properties of junctions between nanotubes. Also, SWNTs normally form bundles of parallel tubes (Fig. 1F) (18), such that the full surface area of the individual nanotubes is not usually available for stress transfer with the matrix. Nanotube sheets (called “nanotube paper” or “bucky paper”) are conventionally obtained by filtering SWNTs dispersed in a liquid, peeling the resulting sheet from the filter after washing and drying, and annealing the sheet at high temperatures to remove impurities (19). If SWNTs were not so expensive and if there were a commercial need, one could make nanotube sheets with similar methods (and at a similar scale) to those used to make ordinary paper. However, the maximum Young’s modulus of sheets made by the filtration process does not substantially exceed that of sheets of ordinary organic polymers (typically ~1 to 4 GPa), and it increases from

~0.3 to ~6 GPa as increasing care is taken in removing secondary impurities (“bucky goo”) introduced during purification (20).

Advances have been made in producing polymer-containing SWNTs by melt spinning and in aligning the nanotubes by drawing. However, the melt viscosity becomes too high for conventional melt spinning when the nanotube content is much more than 10%, and demonstrated increases in strength and modulus are much smaller than those predicted from the rule of mixtures (21). Vigolo and others have developed a coagulation-based process that enables them to spin continuous fibers containing mostly SWNTs (22, 23). Currently, however, the draw rate from the coagulation bath is slow, the nanotube loading in the spinning solution is low (~0.4 weight %), and the nanotubes are not well aligned. The highest modulus obtained for fibers spun by a modification of Vigolo and others’ coagulation-based process is ~50 GPa (20, 22), more than an order of magnitude lower than the intrinsic modulus of individual SWNTs. Trace poly (vinyl alcohol) from the coagulation solution binds the nanotubes together in air more effectively than do van der Waals interactions, and it causes fiber swelling and corresponding degradation of mechanical properties in aqueous electrolytes; its removal by pyrolysis decreases Young’s modulus to ~15 GPa. Creep is also a major problem for these spun fibers (20). A recently developed fiber-spinning method for SWNTs, which appears to involve a lyotropic liquid crystal phase, increases the nanotube concentration in the spinning solution by more than an order of magnitude and yields oriented nanotube fibers (24). An improvement in coupling between nanotubes appears necessary to optimize the Young’s modulus and tensile strength of these spun nanotube fibers, which are presently low.

Technologies for patterned deposition of nanotubes on the micro- to nanometer scale are important for electronic devices, displays, and nanoscale actuators. With selected area deposition of catalyst, nanotubes have been grown as forests of vertically aligned MWNTs (25) (Fig. 1G), nanopropes (26), and structures for field emission displays (27, 28). By combining surface-patterning techniques with fluidic assembly methods, Huang and co-workers (29) have made networks of crossed nanowire arrays that are individually addressable at each junction.

Carbon Nanotube Composites

The first realized major commercial application of MWNTs is their use as electrically conducting components in polymer composites. Depending on the polymer matrix, conductivities of 0.01 to 0.1 S/cm can be obtained for 5% loading; much lower conductivity levels suffice for dissipating electrostatic charge (30). The low loading levels and the nanofiber morphology of the MWNTs allow electronic conductivity to be achieved while avoiding or minimizing degradation of other performance aspects, such as mechanical properties and the low melt flow viscosity needed for thin-wall molding applications. In commercial automotive gas lines and filters, the nanotube filler dissipates charge buildup that can lead to explosions and better maintains barrier properties against fuel diffusion than do plastics filled with carbon black. Plastic semiconductor chip carriers and reading heads made from nanotube composites avoid contamination associated with carbon black sloughing. Similar materials are also used for conductive plastic automotive parts, such as mirror housings that are electrostatically painted on the assembly line, thereby avoiding separate painting and associated color mismatch. The smoothness of the surface finish provides an advantage over other conductive fillers.

Hyperion worked with major plastic producers, plastic compounders, and automotive manufacturers to develop these applications, which presently consume substantial tonnage of nanotubes. Cost dictates the use of MWNTs rather than SWNTs, but unbundled SWNTs should

enable lower percolation levels, reducing the required loading levels further. A percolation threshold of 0.1 to 0.2% has been reported for SWNTs in epoxy, one-tenth that of commercially available 200-nm-diameter vapor-grown carbon fibers (31). The shielding of electromagnetic radiation from cell phones and computers by using molded SWNT and MWNT composites is also a potentially lucrative application, for which Eikos, Inc., has important patent coverage (32).

Incorporation of nanotubes into plastics can potentially provide structural materials with dramatically increased modulus and strength. The critical challenges lie in uniformly dispersing the nanotubes, achieving nanotube-matrix adhesion that provides effective stress transfer, and avoiding intratube sliding between concentric tubes within MWNTs and intrabundle sliding within SWNT ropes. Some promising results have been reported; for example, Biercuk and others (31) observed a monotonic increase of resistance to indentation (Vickers hardness) by up to 3.5 times on loading up to 2% SWNTs and a doubling of thermal conductivity with 1% SWNTs. Also, 1% MWNT loading in polystyrene increases the modulus and breaking stress by up to 42 and 25%, respectively (33).

Electrochemical Devices

Because of the high electrochemically accessible surface area of porous nanotube arrays, combined with their high electronic conductivity and useful mechanical properties, these materials are attractive as electrodes for devices that use electrochemical double-layer charge injection. Examples include “supercapacitors,” which have giant capacitances in comparison with those of ordinary dielectric-based capacitors, and electromechanical actuators that may eventually be used in robots. Like ordinary capacitors, carbon nanotube supercapacitors (34–36) and electromechanical actuators (37) typically comprise two electrodes separated by an electronically insulating material, which is ionically conducting in electrochemical devices. The capacitance for an ordinary planar sheet capacitor inversely depends on the interelectrode separation. In contrast, the capacitance for an electrochemical device depends on the separation between the charge on the electrode and the countercharge in the electrolyte. Because this separation is about a nanometer for nanotubes in electrodes, as compared with the micrometer or larger separations in ordinary dielectric capacitors, very large capacitances result from the high nanotube surface area accessible to the electrolyte. These capacitances (typically between ~15 and ~200 F/g, depending on the surface area of the nanotube array) result in large amounts of charge injection when only a few volts are applied (34–37). This charge injection is used for energy storage in nanotube supercapacitors and to provide electrode expansions and contractions that can do mechanical work in electromechanical actuators.

Supercapacitors with carbon nanotube electrodes can be used for applications that require much higher power capabilities than batteries and much higher storage capacities than ordinary capacitors, such as hybrid electric vehicles that can provide rapid acceleration and store braking energy electrically. The capacitances (180 and 102 F/g for SWNT and MWNT electrodes, respectively) and power densities (20 kW/kg at energy densities of ~7 W·hour/kg for SWNT electrodes) (34, 35) are attractive, especially because performance can likely be improved by replacing SWNT bundles and MWNTs with unbundled SWNTs. An extraordinarily short discharge time of 7 ms was reported (36) for 10 MWNT capacitors connected in series, which operated at up to 10 V.

Nanotube electromechanical actuators function at a few volts, compared with the ~100 V used for piezoelectric stacks and the ~1000 V used for electrostrictive actuators. Nanotube actuators have been operated at temperatures up to 350°C, and operation above 1000°C should be

possible, on the basis of SWNT thermal stability and industrial carbon electrode electrochemical application above this temperature (20). From observed nanotube actuator strains that can exceed 1%, order-of-magnitude advantages over commercial actuators in work per cycle and stress generation capabilities are predicted if the mechanical properties of nanotube sheets can be increased to close to the inherent mechanical properties of the individual nanotubes (20). The maximum observed isometric actuator stress of SWNT actuators is presently 26 MPa (20). This is >10 times the stress initially reported for these actuators and ~100 times that of the stress generation capability of natural muscle, and it approaches the stress generation capability of high-modulus commercial ferroelectrics (~40 MPa). However, the ability to generate stress is still >100 times lower than that predicted for nanotube fibers with the modulus of the individual SWNTs.

The achievable actuator strain is largely independent of applied load, and hence the work during isobaric (constant load) contraction linearly increases with load until the material fails. The product of actuator strain and fracture stress for nanotube actuators, normalized to density, is already 50 times the corresponding gravimetric work achieved for commercial high-modulus ferroelectrics (20). However, creep prohibits the application of stresses approaching the fracture stress. The success of actuator technology based on carbon nanotubes will depend on improvements in the mechanical properties of nanotube sheets and fibers with a high surface area by increasing nanotube alignment and the binding between nanotubes. Because nanotube actuation depends on ion diffusion, ferroelectrics can be cycled much faster at maximum work per cycle than can large nanotube actuators, which eliminates some applications.

The use of nanotubes as electrodes in lithium batteries is a possibility because of the high reversible component of storage capacity at high discharge rates. The maximum reported reversible capacity is 1000 mA·hour/g for SWNTs that are mechanically milled in order to enable the filling of nanotube cores, as compared to 372 mA·hour/g for graphite (38) and 708 mA·hour/g for ball-milled graphite (39). However, the large irreversible component to capacity (coexisting with the large reversible storage capacity), an absence of a voltage plateau during discharge, and the large hysteresis in voltage between charge and discharge (38) currently limit energy storage density and energy efficiency, as compared with those of other competing materials.

Hydrogen Storage

Nanotubes have been long heralded as potentially useful for hydrogen storage (for example, for fuel cells that power electric vehicles or laptop computers). However, experimental reports of high storage capacities are so controversial that it is impossible to assess the applications potential (40–44). Numerous claims of high hydrogen storage levels have been shown to be incorrect; other reports (45, 46) of room temperature capacities above 6.5 weight % (a U.S. Department of Energy benchmark) await confirmation. Given the high research activity in this area, it is hoped that this controversy will soon be resolved.

Field Emission Devices

Industrial and academic research activity on electronic devices has focused principally on using SWNTs and MWNTs as field emission electron sources (47, 48) for flat panel displays (49), lamps (50), gas discharge tubes providing surge protection (51), and x-ray (52) and microwave generators (53). A potential applied between a carbon nanotube-coated surface and an anode produces high local fields, as a result of the small radius of the nanofiber tip and the length of the nanofiber. These local fields cause electrons to tunnel from the nanotube tip into the vacuum.

Electric fields direct the field-emitted electrons toward the anode, where a phosphor produces light for the flat panel display application (Fig. 2). However, the complete picture is not nearly so simple. Unlike for ordinary bulk metals, nanotube tip electron emission arises from discrete energy states, rather than continuous electronic bands (54). Also, the emission behavior depends critically on the nanotube tip structure: Enhanced emission results from opening SWNT (48) or MWNT (50) tips.

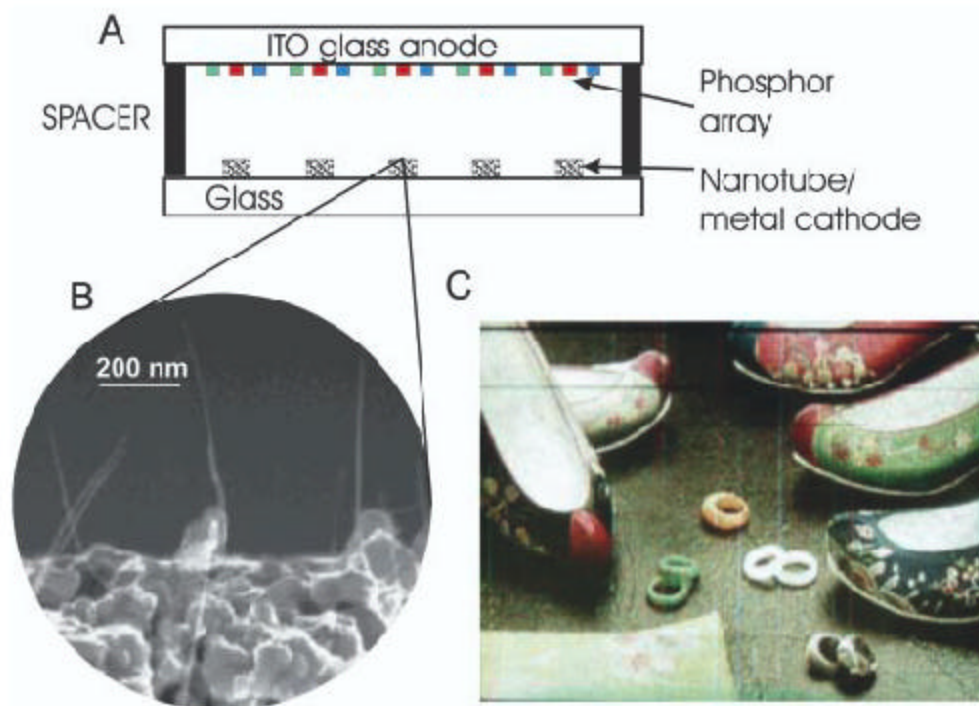


Fig.2. (A) Schematic illustration of a flat panel display based on carbon nanotubes. ITO, indium tin oxide. (B) SEM image (49) of an electron emitter for a display, showing well-separated SWNT bundles protruding from the supporting metal base. (C) Photograph of a 5-inch (13-cm) nanotube field emission display made by Samsung.

Nanotube field-emitting surfaces are relatively easy to manufacture by screen-printing nanotube pastes and do not deteriorate in moderate vacuum (10^{-8} torr). These are advantages over tungsten and molybdenum tip arrays, which require a vacuum of 10^{-10} torr and are more difficult to fabricate (55). Nanotubes provide stable emission, long lifetimes, and low emission threshold potentials (47, 50). Current densities as high as 4 A/cm^2 have been obtained, compared with the 10 mA/cm^2 needed for flat panel field emission displays and the $>0.5 \text{ A/cm}^2$ required for microwave power amplifier tubes (56).

Flat panel displays are one of the more lucrative nanotube applications being developed by industry. However, they are also technically the most complex, requiring concurrent advances in electronic addressing circuitry, the development of low-voltage phosphors, methods for maintaining the required vacuum, spacers withstanding the high electric fields, and the elimination of faulty pixels. The advantages of nanotubes over liquid crystal displays are a low power consumption, high brightness, a wide viewing angle, a fast response rate, and a wide operating temperature range. Samsung has produced several generations of prototypes (Fig. 2), including a 9-inch (23-cm) red-blue-green color display that can reproduce moving images (49). Despite this impressive development, it is not certain when or whether the flat panel nanotube

displays will be commercially available, considering concurrent improvements in relatively low-cost flat panel liquid crystal displays and the emerging organic and polymeric light-emitting diode displays.

Nanotube-based lamps are similar to displays in comprising a nanotube-coated surface opposing a phosphor-coated substrate, but they are less technically challenging and require much less investment. High-performance prototypes seem suitable for early commercialization, having a lifetime of >8000 hours, the high efficiency (for green phosphors) of environmentally problematic mercury-based fluorescent lamps, and the luminance required for large stadium-style displays (50). Nanotube-based gas discharge tubes may also soon find commercial use for protecting telecommunications networks against power surges. Devices comprising nanotube-containing cathodes separated from an anode by a millimeter-wide argon-filled gap provided a 4- to 20-fold improvement in breakdown reliability and an ~30% decrease in breakdown voltage, as compared to commercial devices (51).

If a metal target replaces the phosphorescent screen at the anode in a field emission device and the accelerating voltage is increased, x-rays are emitted instead of light. The resulting x-ray source has provided improved quality images of biological samples, probably because the energy range of the impacting electrons is narrower than that for thermionic electron sources (52). The compact geometry of nanotube-based x-ray tubes suggests their possible use in x-ray source arrays for medical imaging, possibly even for x-ray endoscopes for medical exploration. Another application requiring intense electron beams is for microwave generation. Here, improving the lifetime of the nanotube emitter under very high current (~500 mA/cm²) operating conditions is a key technical challenge (53).

Nanometer-Sized Electronic Devices

Electronic circuits cannot continue to shrink by orders of magnitude and provide corresponding increases in computational power, unless radically different device materials, architectures, and assembly processes are developed. Dramatic recent advances have fueled speculation that nanotubes will be useful for downsizing circuit dimensions. For example, current-induced electromigration causes conventional metal wire interconnects to fail when the wire diameter becomes too small. The covalently bonded structure of carbon nanotubes militates against similar breakdown of nanotube wires, and because of ballistic transport, the intrinsic resistance of the nanotube should essentially vanish. Experimental results show that metallic SWNTs can carry up to 10⁹ A/cm², whereas the maximum current densities for normal metals are ~10⁵ A/cm² (2, 57). Unfortunately, the ballistic current carrying capability is less useful for presently envisioned applications because of necessarily large contact resistances. An electronic circuit involving electrical leads to and from a SWNT will have a resistance of at least $h/4e^2$ or 6.5 kilohms, where h is Planck's constant and e is the charge of an electron (58). Contacting all layers in a MWNT could reduce this contact resistance, but it cannot be totally eliminated.

In nanotube field effect transistors (NT-FETs), gating has been achieved by applying a voltage to a submerged gate beneath a SWNT (Fig. 3, A and B), which was contacted at opposite nanotube ends by metal source and drain leads (59). The transistors were fabricated by lithographically applying electrodes to nanotubes that were either randomly distributed on a silicon substrate or positioned on the substrate with an atomic force microscope (60, 61).

A transistor assembled in this way may or may not work, depending on whether the chosen nanotube is semiconducting or metallic, over which the operator generally has no control. It is

possible to selectively peel outer layers from a MWNT (Fig. 3C) until a nanotube cylinder with the desired electronic properties is obtained (14), but this process is not yet very reliable and is probably unsuitable for mass production. Overall device sizes for current NT-FETs, including contacts, are several hundred nanometers, not radically smaller than silicon-based field-effect transistors. A further reduction in size will require, among others, advances in microlithography.

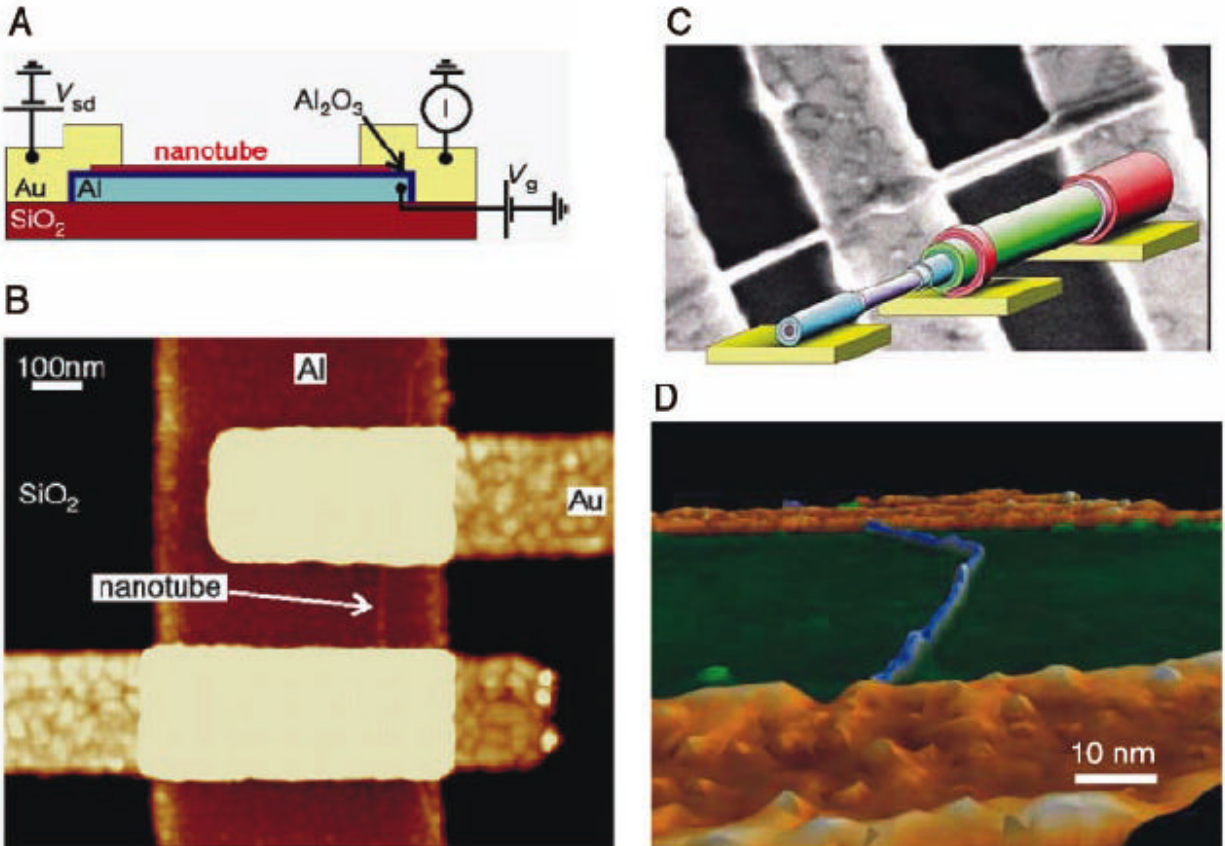


Fig.3. Nanoelectronic devices. **(A)** Schematic diagram (61) for a carbon NT-FET. The semiconducting nanotube, which is on top of an insulating aluminum oxide layer, is connected at both ends to gold electrodes. The nanotube is switched by applying a potential to the aluminum gate under the nanotube and aluminum oxide. V_{sd} , source-drain voltage; V_g , gate voltage. **(B)** Scanning tunneling microscope (STM) picture of a SWNT field-effect transistor (61) made using the design of (A). The aluminum strip is overcoated with aluminum oxide. **(C)** Image and overlaying schematic representation (14) for the effect of electrical pulses in removing successive layers of a MWNT, so that layers having desired transport properties for devices can be revealed. **(D)** STM image (62) of a nanotube having regions of different helicity on opposite sides of a kink, which functions as a diode; one side of the kink is metallic, and the opposite side is semiconducting. The indicated scale bar is approximate.

Research toward nanoscopic NT-FETs aims to replace the source-drain channel structure with a nanotube. A more radical approach is to construct entire electronic circuits from interconnected nanotubes. Because the electronic properties depend on helicity, it should be possible to produce a diode, for example, by grafting a metallic nanotube to a semiconducting nanotube. Such a device has been demonstrated. The bihelical nanotube was not, however, rationally produced; rather, it was fortuitously recognized in a normal nanotube sample by its kinked structure (Fig. 3D), which was caused by the helicity change (62). The development of rational synthesis routes to multiply branched and interconnected low-defect nanotubes with targeted helicity would be a revolutionary advance for nanoelectronics.

Recent developments have focused considerable media attention on nanotube nanoelectronic applications. With crossed SWNTs, three- and four-terminal electronic devices have been made (63), as well as a nonvolatile memory that functions like an electromechanical relay (64). Integrated nanotube devices involving two nanotube transistors have been reported (61, 64), providing visions of large-scale integration. Patterned growth of SWNTs on a 4-inch (10-cm) silicon wafer (65) may prove an important step toward integrated nanotube electronics. IBM expects that nanotube electronics will be realized in about a decade (66). In reaching that goal, formidable technical hurdles must be overcome. Silicon technology is so entrenched that it will take an overwhelmingly compelling new technology to replace it. Nanotubes do not yet qualify, but the potential payoff is so great that this exciting research is amply justified from even a commercial viewpoint.

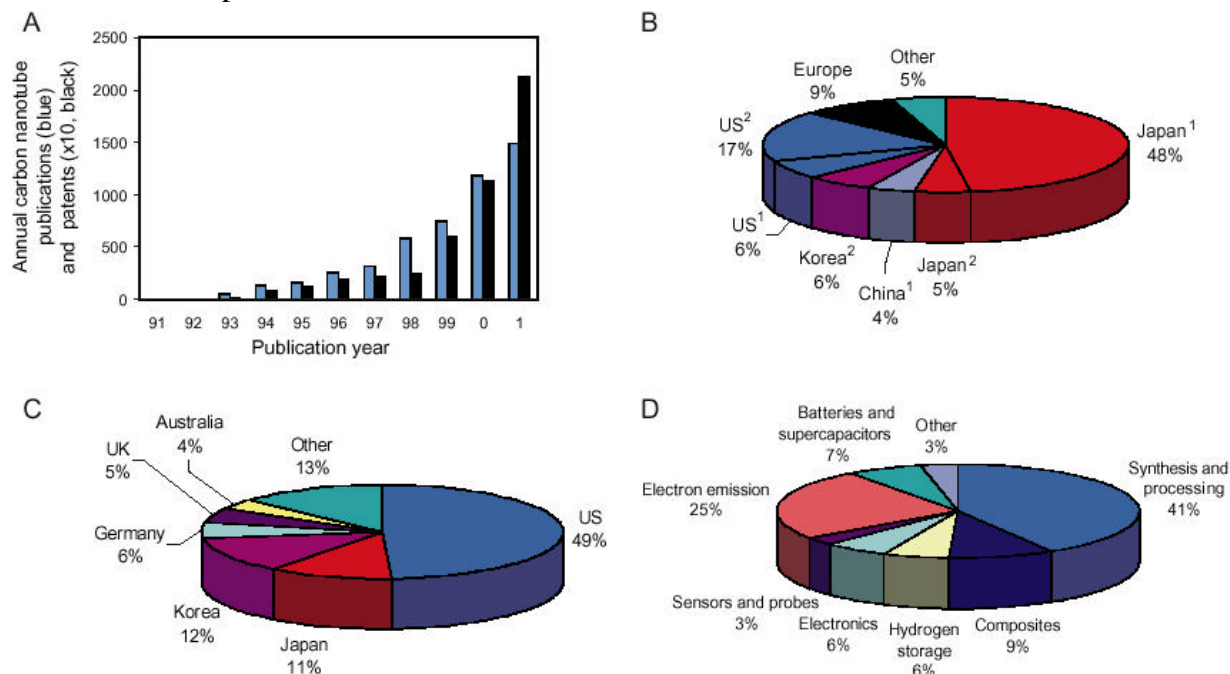


Fig.4. (A) Comparison of the annual number of scientific publications with the number of patent filings and issuances for the carbon nanotube area (71). (B) Percentages of total patent filings and issuances made by individuals in a country or region and filed either in the same location (superscript 1) or in a different location (superscript 2). (C) Percentages of multicountry (world or European) patent filings and issuances that originate from different countries. (D) Patent filings and issuances divided according to the main area of the invention. Although the database for these figures is dependent on the search method and involves judgments in assignments, the information shown here is thought to be reliable.

Sensors and Probes

Possible chemical sensor applications of non-metallic nanotubes are interesting, because nanotube electronic transport and thermopower (voltages between junctions caused by interjunction temperature differences) are very sensitive to substances that affect the amount of injected charge (17, 67). The main advantages are the minute size of the nanotube sensing element and the correspondingly small amount of material required for a response. Major challenges remain, however, in making devices that differentiate between absorbed species in complex mixtures and provide rapid forward and reverse responses.

Carbon nanotube scanning probe tips for atomic probe microscopes are now sold by Seiko Instruments and manufactured by Daiken Chemical Company, Ltd. The mechanical robustness of the nanotubes and the low buckling force dramatically increase probe life and minimize

sample damage during repeated hard crashes into substrates. The cylindrical shape and small tube diameter enable imaging in narrow, deep crevices and improve resolution in comparison to conventional nanoprobes, especially for high sample feature heights (26, 68). Covalently modifying the nanotube tips, such as by adding biologically responsive ligands, enables the mapping of chemical and biological functions (69). Nanoscopic tweezers have been made that are driven by the electrostatic interaction between two nanotubes on a probe tip (70). They may be used as nanoprobes for assembly. These uses may not have the business impact of other applications, but they increase the value of measurement systems for characterization and manipulation on the nanometer scale.

The Past as Harbinger of the Future

The exponential increase in patent filings and publications on carbon nanotubes indicates growing industrial interest that parallels academic interest (Fig. 4A) (71). By percentage of total patent filings (53%), inventors in Japan have led the way (Fig. 4B), but 90% of these patent filings have not yet appeared as filings in other countries. If multicountry foreign filings (world and European patents) are used to gauge the perceived importance of inventions (Fig. 4C), Japan and Korea run a close race, and the United States has a four-fold advantage over each of them.

Consistent with the demonstrated commercial importance of nanotubes in composites, most of the patent filings (50%) are for nanotube synthesis, processing, and composites (Fig. 4D). Reflecting the advanced state of carbon nanotube displays and the attractiveness of related applications, electron emission devices command 25% of the patent filings. Nanotube electronic devices, which might have the most potential for changing the field, provided only 6% of the total patent filings. Impressive advances have been made in demonstrating nanotube electronic device concepts, but a decade or more of additional progress is likely required to reliably assess if and when these breakthroughs will reach commercial application.

Independent of the outcome of the ongoing races to exploit nanotubes in applications, carbon nanotubes have provided possibilities in nanotechnology that were not conceived in the past. Nanotechnologies of the future in many areas will build on the advances that have been made for carbon nanotubes.

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| 363 | Modeling the anisotropy and creep in orthotropic aluminum-silicon carbide composite rotating disc | Singh SB. Ray S. |

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| 448 | Development of a double-beam rheo-optical analyzer for full tensor measurement of optical anisotropy in complex fluid flow | Takahashi T. Shirakashi M. Miyamoto K. Fuller GG. |
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| 461 | Bounds for interpolating complex effective moduli of viscoelastic materials from measured data | Eyre DJ. Milton GW. Lakes RS. |
| 471 | Harmonic analysis in rheological property measurement | Karis TE. Seymour CM. Kono RN. Jhon MS. |
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| 37 | Strain energy density prediction of fatigue crack growth from hole of aging aircraft structures | Zuo JZ. Kermanidis AT. Pantelakis SG. |
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