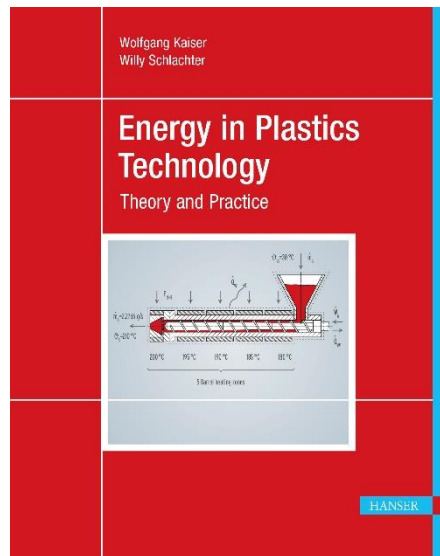


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Wolfgang Kaiser and Willy Schlachter

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Decades ago, the author formulated the “theorem of plastics technology” for his students:

Polymer raw material(s) + Additive(s) → Plastic

This still facilitates access to plastics as a class of materials with its laws for many engineers.

On the occasion of his 70th birthday, Wolfgang Kaiser was awarded the Staudinger-Durrer Medal by ETH Zurich in recognition of his great achievements in the field of polymer materials. As “plastics emperor”, he influenced hundreds of engineers in Windisch, and in later years also at the Department of Materials Science at ETH Zurich. In addition, he took over the establishment and operation of the Plastics Training and Technology Center (KATZ) in Aarau “extra-occupationally” and was its first managing director for many years. He is the founder of systematic education and training in plastics technology for engineers in Switzerland.

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Willy Schlachter was co-author of a thermodynamics textbook and co-editor of the two volumes “Engineers Build Switzerland”, published by NZZ Libro.



Preface

The concept of “Energy in Plastics Technology” dates from the book “Energie in der Kunststofftechnik”, published in German in 2019. The unforeseeable topicality that the subject of energy has experienced since that time was reason enough to revise the content of the present work and, where necessary, to adapt it to current circumstances. The fundamentals of the viscoelastic behavior of plastics in the solid state have been expanded. It goes without saying that the authors’ primary aim has remained the same: to offer readers interested in technical and scientific matters a factually sound book as a guide to this interdisciplinary subject. The only exception is Chapter 10 (Recycling of Plastics), which cannot be treated independently of political will and social implementation.

For the didactic and methodological structure of the book, the previous successful three-part structure was deliberately retained. The focus is on a careful introduction to this fascinating field.

The first part, comprising Chapters 1–5, contains introductory fundamentals as taught in bachelor courses in process engineering, mechanical engineering, or materials science. Where considered helpful, exemplary basic examples solved according to a uniform methodology are included at the end of the chapters for better understanding.

The second part, Chapters 6–10, deals with extended fundamentals, the explanations of which are often of limited value without additional theoretical knowledge, e. g. at master’s level. In the same way as in the first part, solved examples of more complex problems are given at the end of the individual chapters.

An attempt has been made to convey the necessary basics for an introduction to this interdisciplinary field in a concise form. However, depending on the level of previous education, it cannot be ruled out that it may be necessary to consult textbooks on individual subject areas given in the bibliography.

The special field of mass transfer, which is closely related to heat transfer, is therefore limited to a description of air drying under atmospheric conditions. In addition, for reasons of space, an exact description of the fundamentals of electrical engineering is omitted.

In the concluding third part, Chapter 11, the practical aspects are discussed in detail. On broadly defined, i. e. interdisciplinary, problems, the methodical approach to the practical examples treated remains the royal road here as well. These are based on the author's own experiments and those of others, as well as on the collection of data from renowned planners, leading machine manufacturers, and globally active companies in the field of plastics processing.

Last but not least, this book sees itself as a link between helpful theory and urgently sought solutions to problems in practice. In this way, it also attempts to facilitate access to theoretically more demanding textbooks and publications.

At the outset, a big thank you is due to Prof. Dr. Theo Tervoort of ETH Zurich for his valuable support in the preparation of this English-language edition. Sincere thanks are due to Prof. Johannes Kunz of the Eastern Switzerland University of Applied Sciences for his constructive advice on elastic material behavior in the solid state.

Very special thanks go to Dr. Julia Diaz-Luque for her careful editing. Last but not least, a big thank you is due to all the employees of Carl Hanser Verlag who were involved in the publication of this book, namely Ms. Rebecca Wehrmann and Dr. Mark Smith (Director - English-Language Products/Plastics Technology).

May the book be useful to the reader in learning, teaching, reference, and as a guide.

Wolfgang Kaiser and Willy Schlachter, July 2023

Contents

The Authors	V
Preface	VII
List of Symbols	XIX
Greek Characters	XIX
Latin Characters	XXI
Part 1 Introductory Fundamentals	1
1 Introduction	3
1.1 The Importance of Energy Technology in Plastic Processing	3
1.2 Plastic Processing Stages	5
1.3 Logic for Processing Design	6
1.4 Required Fundamentals	8
1.4.1 Overview	8
1.4.2 System Analysis	9
1.4.3 Kinds of Systems	13
1.4.4 Methodology for Solving Thermal Systems Problems	13
1.5 Example B 1.1: Interaction with the Surroundings for System Boundaries A and B of System “Extruder”	16
2 Material Behavior of Plastics	19
2.1 Chemical Basics	20
2.1.1 Polymer Raw Material(s)	21
2.1.2 Additive(s)	23
2.1.3 Classification of Plastics	25

2.1.4	Bonding Forces in Macromolecular Systems	26
2.1.4.1	Main Valence Bonds	26
2.1.4.2	Secondary Valence Bonds	28
2.1.4.3	Mechanical Bonds	31
2.2	Physical Basics	32
2.2.1	Behavior of Plastics in the Solid State	32
2.2.1.1	Density ρ	32
2.2.1.2	Specific Volume v	32
2.2.1.3	Thermomechanical Behavior	32
2.2.1.4	Time-Dependent Mechanical Behavior (Chrono-Mechanical Behavior)	38
2.2.2	Behavior of Plastics in the Viscous or “Molten” State	41
2.2.2.1	Viscosity Functions of Thermoplastic Melts	43
2.2.2.2	Time Behavior of Thermally Unstable Thermoplastic Melts and Reacting Molding Compounds	46
2.3	Thermodynamic Properties	48
2.3.1	Thermal Characteristic Data	50
2.3.1.1	Specific Heat Capacity c_p	50
2.3.1.2	Specific Enthalpy h , Specific Enthalpy of Fusion h_{fus}	51
2.3.1.3	Specific Entropy s	52
2.3.1.4	Thermal Conductivity λ	54
2.3.1.5	Thermal Diffusivity a and Thermal Effusivity b	57
2.3.1.6	Thermal Expansion	59
2.3.2	Measuring Methods for Determining Thermal Parameters	60
2.3.3	Energetic Approach	61
2.3.3.1	Resource Efficiency	62
2.3.3.2	Energy Balances in Thermodynamics	63
2.3.3.3	Energy Balances in Plastics Technology	63
2.3.3.4	Sankey Diagrams	64
2.3.3.5	Light Energy and Plastics Engineering	64
2.3.4	p - v - T Diagrams	65
2.3.4.1	Coefficient of Spatial Expansion β_v	68
2.3.4.2	Compressibility κ	68

2.3.4.3	Process Sequence in the p - v - T Diagram for Injection Molding	69
2.4	The Ageing of Plastics	70
2.4.1	Ageing and Ageing Processes	70
2.4.2	Thermal Influences during Ageing of Plastics	71
2.4.3	Light Influences during Ageing of Plastics	72
2.5	Strain Energy and Elasticity of Solid Plastics	73
2.5.1	Work and Strain Energy	73
2.5.2	Elasticity Aspects of Solid Plastics	78
2.6	Example B 2.1: Simplified Modeling of Viscoelastic Behavior	84
2.7	Example B 2.2: Energetic Vibration Analysis Based on the Kelvin-Voigt Model	88
3	Thermodynamics	95
3.1	Overview	95
3.1.1	Four Laws of Thermodynamics	95
3.1.2	Substance Behavior and Equations of State	102
3.2	First Law of Thermodynamics for Closed Systems	104
3.2.1	Total Energy, Internal Energy, Mechanical Energy	104
3.2.2	Energy Balance for Closed Systems	105
3.2.3	Energy Transfer by Heat	106
3.2.4	Energy Transfer by Work	107
3.2.5	Compression/Expansion/Displacement Work and Quasi-Equilibrium Process	108
3.2.6	Reversible and Irreversible Processes	110
3.2.7	Friction Work	111
3.2.8	First Law for Closed Systems Subjected to Compression/Expansion at Constant Volume and Friction Work	115
3.2.9	First $T \cdot ds$ Relation	115
3.3	First Law of Thermodynamics for Open Systems	116
3.3.1	Introduction	116
3.3.2	Mass Rate Balance	116
3.3.3	Flow Work, Enthalpy, and Energy Rate Balance	118
3.3.4	Special Case: Bernoulli Equation	121

3.3.5	Specific Heat Capacity at Constant Pressure	122
3.3.6	Second $T \cdot ds$ Relation	123
3.3.7	First Law for Open Systems Subjected to Compression/ Expansion and Friction Work	123
3.4	Plasticization of Plastics by Work	125
3.5	Chemical Reactions	128
3.5.1	Introduction	128
3.5.2	Some Definitions	129
3.5.3	Gibbs Free Energy in Reactions: Exergonic and Endergonic Reactions	132
3.5.4	Gibbs Free Energy in Reactions: Maximum Work	135
3.6	Example B 3.1: Heat Pump	136
3.7	Example B 3.2: Isentropic and Polytropic Changes of State of Ideal Gases	141
3.8	Example B 3.3: Filling a Compressed-Air Storage Tank	144
3.9	Example B 3.4: Thermodynamic Measurement Method for Centrifugal Pump	151
4	Fluid Mechanics I	155
4.1	Introduction	155
4.1.1	General Comments	155
4.1.2	Basic Flow Types	158
4.2	Classification of Viscous Fluids	160
4.2.1	Simple Shear Flow and Shear Viscosity	160
4.2.2	Elongational Flow and Elongational Viscosity	162
4.2.3	Physical Phenomena	163
4.2.3.1	Newtonian and Non-Newtonian Fluid Behavior, Experimental Observations	163
4.2.3.2	Remarks on the Tensorial and Vectorial Description	167
4.3	Introduction to Dimensional Analysis and Similarity Using the Example of Pipe Flow	174
4.3.1	Basic Considerations	174
4.3.2	Moody Diagram	177
4.3.3	Hydraulic Diameter	178

4.4	Fully Developed Laminar Flow of Newtonian Fluids in Channels of Simple Geometry	179
4.4.1	Circular Pipe	179
4.4.2	Slit and Rectangular Channel of Finite Width	181
4.5	Pressure Loss of Newtonian Fluids in Piping Systems	183
4.6	Example B 4.1: Pipe Flow – Pressure Loss and Increase of Temperature Due to Dissipation	185
4.7	Example B 4.2: Comments on the Friction Factor λ	189
4.8	Example B 4.3: Comments on the Evaluation of Model Tests	191
5	Heat Transfer	197
5.1	Overview and Definitions	197
5.2	Steady-State Conduction and Total Heat Transfer	199
5.2.1	Fourier’s Law of Heat Conduction	199
5.2.2	Total Heat Transfer through Plane Walls	200
5.2.3	One-Dimensional Radial Heat Conduction	201
5.3	Heat Exchangers and Logarithmic Mean Temperature Difference	204
5.4	Convection – General Comments	206
5.5	Forced Convection	209
5.5.1	Internal Flow (Pipes, Channels)	209
5.5.2	External Flow (Flat Plate in Parallel Flow, Bodies in Crossflow)	214
5.5.3	Impinging Jets	216
5.6	Free Convection	219
5.7	Heat Transfer by Radiation	222
5.7.1	Introduction and Definitions	222
5.7.2	Blackbody Radiation	226
5.7.3	Emissivity, Absorptivity, Reflectivity, Transmissivity	228
5.7.4	Radiation Properties Interrelations	229
5.7.5	Radiative Exchange – Introduction	231
5.7.6	The Geometric View Factor	233
5.7.7	Blackbody Radiative Exchange	236
5.7.8	Radiative Exchange between Diffuse-Gray Surfaces	237
5.8	Example B 5.1: Critical Insulation Radius	241
5.9	Example B 5.2: Insulation of a Hot-Water Pipe	244

5.10	Example B 5.3: Cooling of a Sheet	248
5.11	Example B 5.4: Heat Loss of an Injection Molding Tool	253
5.12	Example B 5.5: Effect of Radiation Shields	255
	Part 2 Advanced Fundamentals	261
6	Steady-State Heat Conduction	263
6.1	Heat Transfer from Extended Surfaces: Fins	263
6.1.1	Energy Rate Balance	263
6.1.2	Long Fin	265
6.1.3	Fin of Finite Length with Insulated Tip	266
6.1.4	Fin Efficiency and Fin Effectiveness	268
6.1.5	Longitudinal Conduction in Long Rods with Relative Motion	270
6.2	Example B 6.1: Fin and System Effectiveness	273
6.3	Example B 6.2: Cooling of a Polyamide Wire – Steady-State Analysis	277
7	Transient Heat Conduction	281
7.1	Introduction and Fourier’s Equation of Heat Conduction	281
7.2	Introduction to One-Dimensional Conduction, Biot Number and Fourier Number	286
7.2.1	Initial Phase (Early Regime)	288
7.2.2	Late Phase (Late Regime)	289
7.2.3	Semi-Infinite Solid Body (Early Regime)	292
7.3	Contact Problem: Two Semi-Infinite Solids Brought into Interfacial Contact	295
7.4	Periodic Temperature Variations	296
7.5	Unidirectional Conduction in Simple Bodies – Introduction	299
7.6	Unidirectional Conduction in Simple Bodies – Plate	302
7.7	Unidirectional Conduction in Simple Bodies – Cylinder and Sphere	308
7.7.1	Infinite Cylinder	308
7.7.2	Sphere	309
7.8	Approximate Solutions for Plate, Cylinder, and Sphere	310
7.8.1	Introduction	311
7.8.2	Estimation of Cooling Time	312
7.8.3	Effective Thermal Diffusivity a_{eff}	315

7.9	Example B 7.1: Cooling of a Polyamide Wire – Transient Analysis	316
7.10	Example B 7.2: Wall Thickness versus Cycle Time	318
7.11	Example B 7.3: Cooling of a Tool	325
7.12	Example B 7.4: PVC Film Cooling on Roller	331
8	Thermodynamics of Air-Drying	337
8.1	Introduction	337
8.2	Psychrometrics	339
8.2.1	Properties of Moist Air	339
8.2.2	Analyzing Elementary Processes	346
8.2.3	Characteristics of Moist Solids	349
8.2.4	Mass and Energy Rate Balance	350
8.3	Additional Aspects of Air-Drying	351
8.3.1	(De)Sorption Isotherm	351
8.3.2	Cooling Limit, Dry-Bulb, Wet-Bulb, and Adiabatic Saturation Temperatures	353
8.3.3	Time Course of Air-Drying Processes	355
8.3.3.1	Qualitative Considerations	355
8.3.3.2	Simplified Analysis of Drying Phase I	357
8.3.3.3	Analogy between Heat and Mass Transfer	360
8.3.3.4	Analysis of Air-Drying of Solids in Through-Flow and Overflow Arrangements (Conveyer Belt)	365
8.4	Example B 8.1: Granulate Drying	369
8.5	Example B 8.2: Adiabatic Saturation Temperature	373
8.6	Example B 8.3: Conveyer-Belt Dryer	375
9	Fluid Mechanics II	381
9.1	Introduction	381
9.2	Power-Law Model (Ostwald–de Waele)	383
9.3	Plane Drag and Pressure Flow of Newtonian Fluids between Parallel Plates	385
9.3.1	Velocity Profile	385
9.3.2	Temperature Profile of Pure Drag Flow	388
9.3.3	Consideration of Heat Flux in Pure Drag Flow	391

9.4	Plane Pressure Flow of Non-Newtonian Fluids between Parallel Plates	393
9.4.1	Velocity Profile	393
9.4.2	Temperature Profile	396
9.5	Axial Pipe Flow of Non-Newtonian Fluids	398
9.5.1	Velocity Profile	398
9.5.2	Temperature Profile	399
9.6	Newtonian Fluid in Axial Annular Flow	400
9.7	Pumping Power and Dissipation	404
9.8	Concluding Remarks	404
9.9	Example B 9.1: Friction Pump	407
9.10	Example B 9.2: On the Similarity Theory of Non-Newtonian Fluids	411
9.11	Example B 9.3: Emptying a Container	412
9.12	Example B 9.4: Viscous Pipe Flow: Pressure Drop and Temperature Increase	417
9.13	Example B 9.5: Temperature Profile for Viscous Pipe Flow	420
10	Recycling of Plastics	425
10.1	The Most Important Facts in Brief	425
10.2	Causes of Growth	426
10.2.1	The Petrochemical Industry as a Raw Material Supplier	427
10.2.2	Lightweight Plastics and Recycling	427
10.2.3	Energy-Efficient Behavior	428
10.2.4	Complex Molding Geometries and High Degree of Automation	429
10.2.5	Exploiting Synergies	429
10.2.6	High Added Value of Petroleum	429
10.3	Sustainable Development Goals (SDGs)	429
10.4	Waste Management and the Limits of Recycling	431
10.4.1	Waste and Recycling Hierarchy	431
10.4.2	Plastics and the Environment	431
10.4.2.1	Plastic Waste	431
10.4.2.2	Service Life of Plastics	432
10.5	Waste Management and Recycling from the Point of View of the Plastics Industry	433
10.6	Three Recycling Routes	434

10.6.1 Mechanical Recycling	434
10.6.1.1 The Crux of Mechanical (Materials) Recycling with Thermoplastics	435
10.6.1.2 Additives	436
10.6.2 Raw Material Recycling (“Depolymerization”)	437
10.6.2.1 Thermochemical Processes/Pyrolysis	437
10.6.2.2 Solvolysis	438
10.6.2.3 Biotechnology	438
10.6.3 Energetic Recovery (E-Recycling)	439
10.6.3.1 Life Cycle Assessment (LCA)	440
10.6.3.2 Controlled Energetic Recovery	441
10.6.3.3 Energy Efficiency and Effectiveness of WTEs	444
10.6.3.4 Cement Industry	445
10.6.4 Energy Balances	445
10.7 Summary and Conclusions	446
10.8 Outlook	447
10.9 Example B 10.1: Energy Analysis of a WTE	448
Part 3 Practical Examples	451
11 Practical Examples	453
11.1 Energy Flow in Plastic Production	453
11.2 Energy Demand of Injection Molding Machines	456
11.3 Energy Balance of an Injection Molding Machine	459
11.4 Characteristics of a Nozzle	466
11.5 Granulate Drying	469
11.6 Friction Welding	479
11.7 Energy Storage of Pneumatic Accumulators	485
12 Appendix: Figures	495
Index	497

List of Symbols

■ Greek Characters

Symbol	Description	Unit
α	Coefficient of heat transfer Absorptivity, subscript λ : spectral absorptivity Linear thermal expansion coefficient	$W/(m^2 \cdot K)$ – K^{-1}
β_V	Spatial thermal expansion coefficient	K^{-1}
β	Radius ratio, Equation 9.7.1	–
β	Coefficient of mass transfer, subscript m: mean value	m/s
$\dot{\gamma}$	Shear rate, subscript rep: representative shear rate, Figure 9.8	s^{-1}
Δ	Symbol for difference	–
ΔG_R	Free reaction enthalpy	J/kg, kJ/kg
ΔG_{Rm}	Molar free reaction enthalpy	J/kmol, kJ/kmol
ΔH_A	Activation enthalpy	J/kmol
ΔH_R	Reaction enthalpy (also enthalpy of reaction)	J/kg, kJ/kg
ΔH_{Rm}	Molar reaction enthalpy	J/kmol, kJ/kmol
ΔS_R	Reaction entropy (also entropy of reaction)	J/(kg·K), kJ/(kg·K)
ΔS_{Rm}	Molar reaction entropy	J/(kmol·K), kJ/(kmol·K)
δ	Flow boundary layer thickness, subscript T or \mathcal{D} : thermal boundary layer thickness, subscript C: concentration boundary layer thickness Thin layer, Section 7.2	m m
ε	Emissivity, subscript λ : spectral emissivity Energy utilization Strain	– – –
ε_{ij}	Coefficient of radiative exchange	–
ε_R	Fin effectiveness	–
$\dot{\varepsilon}$	Elongation rate	s^{-1}
ζ	(Pressure-)Loss coefficient	–

Symbol	Description	Unit
η	Dynamic (shear-)viscosity	Pa·s
η	Efficiency	–
η_C	Carnot efficiency	–
η_R	Fin efficiency	–
η_D	Elongational viscosity	Pa·s
$\theta(x, t), \vartheta(t)$	Dimensionless temperature function	–
ϑ	Celsius temperature	°C
$\Delta\vartheta$	Temperature difference	K
$\Delta\vartheta_m$	Logarithmic mean temperature difference	K
ϑ_K	(Interfacial) Contact temperature	K, °C
	Cooling limit: wet-bulb temperature	K, °C
	Adiabatic saturation temperature, Section 8.3.2	K, °C
κ	Ratio of specific heat capacities c_p/c_v	–
	Isentropic exponent (ideal gas)	–
κ	Annular radius ratio, Equation 9.68	–
κ	Compressibility, Equation 2.10	Pa ⁻¹
Λ	Dimensionless parameter, Equations 9.76 and 9.77	–
	Temperature wavelength, Figure 7.9	m
λ	Thermal heat conductivity	W/(m·K)
	Friction factor (Darcy)	–
	Wavelength (radiation)	m, μm
μ	Eigenvalue, Chapter 7	–
ν	Kinematic viscosity, $\nu = \eta/\rho$	m ² /s
ν	Frequency	s ⁻¹
ξ	Stefan correction factor, Equation 8.45	–
	Dimensionless radius, Equation 9.68	–
ρ	Mass density	kg/m ³
ρ	Reflectivity, subscript λ : spectral reflectivity	–
σ	Axial stress	Pa = N/m ²
$\sigma = 5.67 \cdot 10^{-8}$	Stefan-Boltzmann constant	W/(m ² ·K ⁴)
σ_0	Specific sublimation enthalpy (H ₂ O at 0 °C)	J/kg, kJ/kg
τ	Shear stress	Pa = N/m ²
	Time constant, characteristic time	s
τ	Transmissivity, subscript λ : spectral transmissivity	–
ϕ	Fluidity (power law, Equation 9.1)	(Pa·s) ⁻¹ (Newtonian fluids) Pa ^{-m} ·s ⁻¹ (non-Newtonian fluids)
φ	Relative humidity, Equation 8.8	– or %
	Quality factor, Section 3.1.1	–
ω	Angular velocity	s ⁻¹

■ Latin Characters

Symbol	Description	Unit
$a = \frac{\lambda}{\rho \cdot c}$	Thermal diffusivity, subscript rep: representative thermal diffusivity, Section 9.8	m ² /s
a_T	Shift factor, Equation 9.5	–
A	Surface area	m ²
b	Thermal diffusivity, Equations 2.6 and 7.37	W·s ^{1/2} /(m ² ·K)
b	Temperature coefficient, Equation 9.5	K ⁻¹
B	Width (channel, fin)	m
Bi	Biot number	–
Br	Brinkman number	–
c	Specific heat capacity (solids, fluids)	J/(kg·K), kJ/(kg·K)
c_p	Specific heat capacity at constant pressure	J/(kg·K), kJ/(kg·K)
c_v	Specific heat capacity at constant volume	J/(kg·K), kJ/(kg·K)
c_f	(Wall) Friction factor (Fanning)	–
C_b, c	Integration constant, numerical value Series expansion coefficient, Chapter 7	Problem-oriented –
COP	Coefficient of performance, subscript C: Carnot COP	–
D	Diameter Diffusion coefficient	m m ² /s
D_h	Hydraulic diameter, Equation 4.23	m
D_1	First series expansion coefficient, Table 7.3	–
De	Deborah number	–
e	Equivalent sand roughness, Figure 4.12	m, mm
E	Energy Emissive power (radiation), subscript S: black body	J, kJ W/m ²
E_a	Activation energy	J/kmol
E_λ	Spectral emissive power	W/(m ² ·μm)
ENE	Net energy effectiveness	–
Ex	Exergy	J, kJ
f_G, f_T	Geometry, temperature parameters, Table 5.3	–
F	Force	N
F	Helmholtz free energy	J, kJ
$F(\zeta)$	Spatial function, Equation 7.60	–
F_{ij}	View factor, Section 5.7.6	–
Fo	Fourier number	–
$g = 9.81 \text{ m/s}^2$	Gravitational acceleration	m/s ²

Symbol	Description	Unit
G	Gibbs free energy, free enthalpy	J, kJ
G_m	Molar Gibbs energy	J/kmol, kJ/kmol
G	Shear modulus	N/m ²
G	Immissive power (irradiation)	W/m ²
G_λ	Spectral immissive power	W/(m ² ·μm)
$G(Fo)$	Time function, Equation 7.60	-
Gr	Grashof number	-
Gz	Graetz number	-
h	Specific enthalpy	J/kg, kJ/kg
h	Planck's constant	J·s
h_{1+x}	Specific enthalpy of moist air, Equation 8.16	J/kg dry air, kJ/kg dry air
H or h	Height, fin length	m
H	Enthalpy	J, kJ
H_m	Molar enthalpy	J/kmol, kJ/kmol
$H_u; H_o$	Lower heating value (LHV); upper heating value (UHV)	J/kg, kJ/kg
$H_{mu}; H_{mo}$	Molar heating value, lower; upper	J/kmol, kJ/kmol
i, j	Summation indices	-
J	Radiosity (radiation)	W/m ²
J_λ	Spectral radiosity	W/(m ² ·μm)
J_0, J_1	Bessel function, zeroth or first kind	-
k	Consistency factor (power law, Equation 9.2)	Pa·s (Newtonian fluid) Pa·s ^{<i>n</i>} (non-Newtonian fluid)
k	Total (or overall) heat transfer coefficient	W/(m ² ·K)
k	Reaction rate constant (second order)	(kg/kmol) ⁻¹ ·s ⁻¹
KE	Kinetic energy	J, kJ
$L; L_{ref}$	Length; reference length	m
$Le = a/D$	Lewis number	-
m	Mass, subscript L: dry air, W or H ₂ O: water, G: dry solid, B: fuel	kg
m	Fin parameter, Equation 6.6	m ⁻¹
m	Exponent (power law, Equation 9.1)	-
	Exponent (Nusselt correlation, Equation 5.38)	-
\dot{m}	Mass flow rate, subscript B: fuel	kg/s
$\dot{m}_{w\lambda}$	Drying rate (per unit area), Equation 8.38	kg/(s·m ²)
M	Molar mass	kg/kmol
M_t	Torque	N·m
Ma	Mach number	-
n	Molar quantity (number of moles)	-

Symbol	Description	Unit
n	Exponent (power law, Equation 9.2) Exponent (Nusselt correlation, Equation 5.38)	-
n	Geometry parameters of heat conduction ($n = 0$: plane wall, $n = 1$: cylinder, $n = 2$: sphere)	-
Nu	Nusselt number, subscript m: mean value	-
p	Pressure, subscript s: saturation pressure, L: air partial pressure, W: vapor partial pressure	Pa, bar
p	Exponent, Table 5.3	-
PE	Potential energy	J, kJ
Pe	Péclet number	-
$Pr = \nu/a$	Prandtl number	-
\dot{q}	Heat flux	W/m ² , kW/m ²
Q	Heat	J, kJ
\dot{Q}	Heat rate	W, kW
r	Radius (variable)	m
r_0	Specific enthalpy of vaporization (water at 0 °C)	J/kg, kJ/kg
R	Individual gas constant, subscript L: standard air, subscript W: water vapor	J/(kg·K)
R	Radius (pipe, cylinder, sphere)	m
R_i	Specific resistance, subscripts: $i = \alpha$: heat transfer resistance $i = \lambda$: heat conduction resistance	K·m ² /W
R_i	Surface radiative resistance, Equation 5.96	m ⁻²
R_{ij}	Space radiative resistance, Equation 5.88	m ⁻²
$R_M = 8314.4621$	Universal gas constant	J/(kmol·K)
R_{th}	Thermal resistance, with additional subscript α : heat transfer resistance λ : heat conduction resistance	K/W
Ra	Rayleigh number	-
Re	Reynolds number	-
s	Specific entropy	J/(kg·K)
s	Wall thickness (Ch. 5), fin thickness (Ch. 6), half slab half thickness (Ch. 7)	m
S	Hole or slot spacing, Figures 5.8 and 5.9	m
S	Entropy	J/K
$Sc = \nu/D$	Schmidt-number	-
Sh	Sherwood-number, subscript m: mean value	-
St	Stanton-number, subscript m: mean value	-

Symbol	Description	Unit
t	Time	s
t_e	Lifetime	a (years)
t_{Kn}	Break point time	s
T	Absolute (or thermodynamic) temperature	K (kelvin)
T_g	Glass transition temperature	°C
T_m	Melting temperature	°C
T_z	Decomposition temperature	°C
u	Specific internal energy	J/kg, kJ/kg
U	Internal energy	J, kJ
	(Wetted) Perimeter	m
v	Specific volume	m ³ /kg
v_{1+x}	Specific volume of moist air Equation 8.12	m ³ /kg dry air
V	Volume	m ³
\dot{V}	Volumetric flow rate	m ³ /s
w	Velocity, subscript m: mean value	m/s
w_v	Volumetric strain energy, Section 2.5.1	J/m ³
w_∞	Free stream velocity outside the boundary layer	m/s
\dot{w}	Volumetric thermal power, Equation 7.6	W/m ³
\dot{w}_R	Friction power per unit area, Equation 9.30	W/m ²
W	Slot width (Figures 5.7 to 5.9)	m
W	Work	J, kJ
$W_{KV}; \dot{W}_{KV}$	Technical work; technical power (open system)	J, kJ; W, kW
W_{12}	Work between states 1 and 2 (closed system)	J, kJ
W_R	Friction work	
W_{rev}	Reversible reaction work	J, kJ
W_{mrev}	Molar reversible reaction work	J/kmol, kJ/kmol
W_V	Volume integral, Section 3.2.5	J, kJ
\dot{W}	Mechanical power, subscript R: friction power	W, kW
W_p	Reversible technical work or pressure integral, Section 3.3.7	J, kJ
We	Weissenberg number	-
x	Humidity ratio of moist air, Equation 8.5	kg/kg dry air or %
X	Humidity ratio of moist solid, Equation 8.31	kg/kg dry solid or %
x, y, z	Position coordinates	m
z	Elevation (referred to reference)	m

Part 1

Introductory Fundamentals

1

Introduction

■ 1.1 The Importance of Energy Technology in Plastic Processing

The main processes for producing plastic materials and manufacturing products made of plastics are shown in Figure 1.1. Due to lower processing temperatures, they are more energy-efficient than processes for producing metal parts. However, most of them are demanding in terms of process engineering. In particular, this applies to procedures called “*Urformen*” in German, i.e., creation of the product shape (primary shaping). Due to their importance compared to the other two common types of plastics, thermosets and elastomers, the *focus is on thermoplastics* in this book.

Temperatures in thermoplastics processing usually are between room temperature and approximately 300 °C, in some exceptional cases up to 400 °C. Common standard plastics have processing temperatures in the range of 200 °C to 250 °C [WK-1]. For several reasons, thermal engineering issues play a dominant role, particularly regarding

- Economy and sustainability (energy requirements, cycle time determined by heating and cooling, future production methods, etc.)
- Product quality (strongly influenced by process control, mainly its temperature curve)

Therefore, it is appropriate to address these issues in more detail in the following chapters and provide the necessary basics for their treatment.

Energy-intensive processes such as injection molding or extruding occur in many variants. Due to the lower processing temperatures, energy requirements in the plastics sector are considerably lower compared to those for processing metals, as mentioned above. Main energy requirements are: Energy aspects

- Electrical or mechanical energy for drives and movement (pumps, screws, tools, presses, etc.)

- Thermal or electrical energy for heating and cooling the plastic material, and, for example, for controlling the temperature of tools or calender rollers
- Electrical energy for welding processes, e.g., laser welding

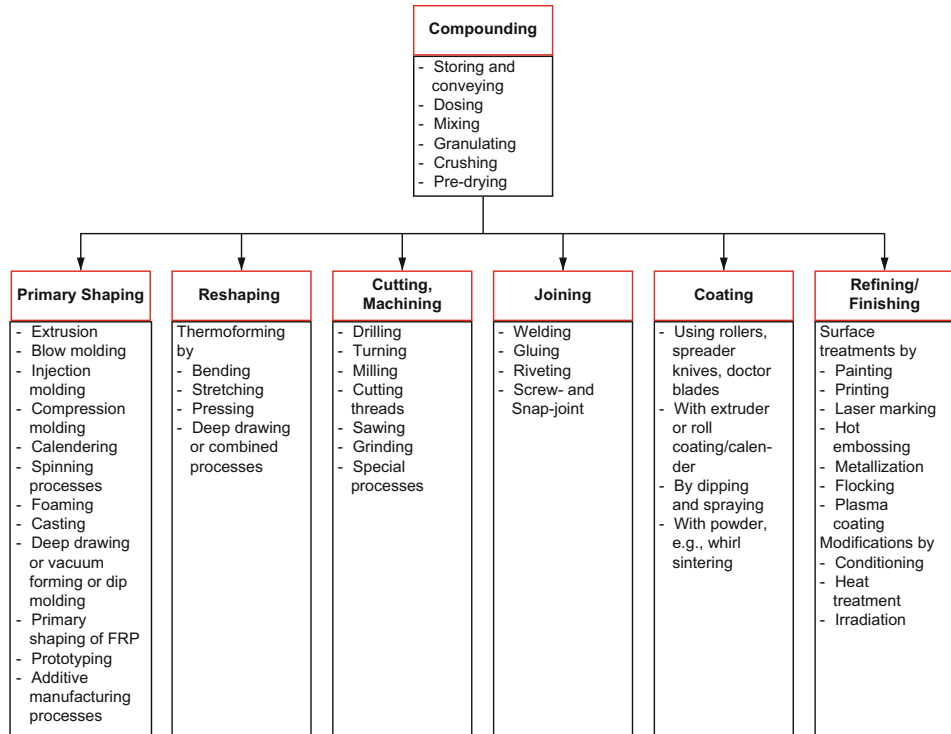


Figure 1.1 Manufacturing processes in plastics technology, from [KA-1]

In the case of injection molding, for example, the proportion of energy costs to total manufacturing costs is only about 3% to 5% [KV-1]. This value seems to be very small. However, energy is required several times during plastic processing: heating the granulate, controlling the temperature of the tool, and driving the injection molding machine. Increasing energy efficiency and saving energy are permanent tasks.

Use of waste heat In modern production plants, the waste heat of manufacturing processes is used for space heating, air-conditioning, or energy storage.

Cycle time The cycle time has a considerable impact on the economic efficiency of injection molding processes. On the other hand, cycle time is strongly dependent on the heating and cooling times. These, in turn, depend on the intensity of the heat transfer processes.

Quality The quality of products made of plastics depends strongly on the temperature curve of the machinery (tools, rollers, etc.) – a matter of thermal process control – which, in turn, determines the cycle time.

These few remarks may show that

- interdisciplinary approaches are needed when dealing with energy issues.
- in general, attention should be paid to energy technology.

This is done in practice but often on an empirical basis. Only in recent years have scientific methods been applied for process optimization. Our contacts with machine manufacturers and manufacturing companies show that sustainability in general and resource efficiency in the use of energy and materials, in particular, are of great importance.

In this book, we limit ourselves to fundamentals and their applications required to assess existing systems (analysis) and identify measures for improving the energy efficiency of plastic process design. We do not address questions of machinery design, design of their components (dies, screws, molds, etc.), electrical engineering, and control technology.

The behavior of plastics in the solid and molten states is much more complex than that of metals, especially with regard to elastic, viscous, and caloric behavior. Chapters 2 and 4 deal with these topics.

■ 1.2 Plastic Processing Stages

Figure 1.2 shows the sequence of general plastic processing stages for thermoplastics [KV-8]. Three thermomechanical processing steps are relevant:

- *Melting stage*: The plastic, initially in a solid state, either as a powder or as a pellet, is converted to a molten state. Depending on the type of plastic, semi-crystalline or amorphous, different physical phenomena influence the energy required for the melting process.
- *Shaping stage*: A specified shape is imposed on the molten plastic by injecting or blowing it with pressure into a mold or through a die.
- *Third stage*, where the final shape of the (solid) product is achieved by drawing, stretching, or blowing and eventually by cooling.

Energy in different forms is required in all processing stages.

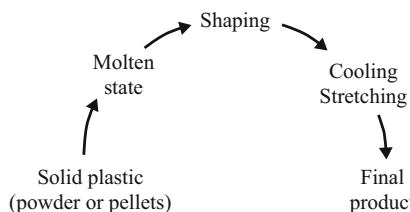


Figure 1.2

Plastic processing stages, from [KV-8]

■ 1.3 Logic for Processing Design

Plastics have specific properties that are decisive for the processing design. The following explanations are taken from [KV-8], partially from [KV-9].

Thermally Insulating Character of Plastic Melts

The *thermal conductivity* of plastic melts is on the order of magnitude of 0.2 W/(m·K) only, which means two to three orders of magnitude lower than that of metals, leading to high cooling or heating times. According to the basics presented in Chapter 7, cooling and heating times increase with increasing wall thickness, approximately with the second power. The orders of magnitude are:

Wall thickness	Cooling or heating time
0.1 mm	0.1 s
1 mm	10 s
10 mm	1000 s

This shows that melting a polymer by unique conduction from equipment walls would lead to unacceptable long residence times and low flow rates. That is why all melting processes require significant mechanical energy input, often much more extensive than thermal energy transferred by conduction. The low thermal conductivity also implies that the majority of plastic products are less than a few millimeters thick to minimize the cooling times and favor high production rates [KV-8].

Very High Viscosity of Plastic Melts

Under typical processing temperatures, molten plastics have viscosities of about 10^3 Pa·s, a million times higher than that of water. The practical consequences are:

- *Reynolds numbers* – representing the ratio of inertia to viscosity terms, see Chapter 4 – are extremely low. Therefore, the flows of molten plastics are never turbulent, and the inertia terms are usually negligible.
- Heating plastics in the barrel of an extruder or an injection molding machine is achieved by viscous dissipation and electric heating.
- *High pressures* are required to ensure the flow of plastic melts in dies and molds at high flow rates, typically 100 MPa or more for injection pressures, 5 to 50 MPa in extruders.

Combined Insulating Character and High Viscosity

The combination of high viscosity, viscous dissipation, and low thermal conductivity creates large temperature gradients in plastic melt flows. Increased local temperatures can lead to the degradation of the plastic. Therefore, viscous dissipation and applied flow rates need to be limited. In some cases, the viscous dissipation dominates so that even cooling is necessary, a step to avoid plastic degradation. However, this is a step to be avoided in the interest of energy efficiency [KV-2].

On the other hand, the high viscosity of polymers coupled with their low conductivity allows us to design processes in ambient air where extrudates remain in the molten state before going through shaping devices or drawing systems. These properties have led to the development of many downstream extrusion processes: spinning, blowing, stretching [KV-8].

Sensitivity of Viscosity to Shear Rates and Temperature

Typically, the viscosity of a molten polymer may decrease by a factor of five when the shear rate is increased by a factor of ten, and it may drop by a factor of two when the temperature is increased by 20 °C [KV-8].

The high sensitivity of viscosity to the shear rate and temperature significantly impacts flow behavior and process optimization.

Viscoelasticity

A plastic may behave as a liquid or a solid depending on temperature and the speed at which the molecules deform. This behavior, which ranges between liquid and solid, is referred to as the viscoelastic behavior. Viscoelasticity refers to the combination of viscous and elastic material properties. *Linear viscoelasticity* is limited to plastic systems undergoing small or slow deformations, whereas *nonlinear viscoelastic models* are required for large and rapid deformations [KV-9].

In plastic processing, viscoelasticity plays many roles, such as:

- It stabilizes the drawing or biaxial stretching of plastic melts, thus allowing spinning at high strain rates, blow molding, and thermoforming with homogenized thicknesses.
- It may be the origin for the onset of instabilities in shear flows.
- It is responsible for the swelling at the outlet of dies.

In Chapter 2 we cover a few aspects of viscoelasticity. Simple linear viscoelastic models provide some basic understanding of the behavior of plastic materials during deformation.

■ 1.4 Required Fundamentals

1.4.1 Overview

Figure 1.3 provides an overview of the necessary basics of thermodynamics, fluid mechanics, heat transfer, and material behavior, especially the complex flow and stress-strain behavior of plastic melts (rheology) in plastic processing. In this book, we cover the basics of these disciplines, which we believe to be relevant in the context of plastic processing. For further details, the reader is referred to selected standard textbooks:

- Thermodynamics In English: [TH-3 to 5] In German: [TH-1, 2]
- Fluid mechanics In English: [FM-2] In German: [FM-1]
- Heat and mass transfer In English: [WU-2, 3] In German: [WU-1, 4, 5]

Information on material behavior, including material data, is provided in Chapter 2.

Fluid mechanics

- Conservation of mass, impulse, momentum
- Equilibrium conditions
- Flow behavior (rheology)
- Shear and elongational flows

Thermodynamics

- with its 4 main laws:
- 0: Thermal equilibrium
 - 1: Conservation of energy
 - 2: Entropy as state property "quality of energy": exergy and anergy (energy = exergy + anergy)
 - 3: Reference state of entropy = 0

Heat transfer

- by
- Heat conduction
 - Convection: forced and free convection
 - Radiation
 - Their combinations

Behavior of materials

- Thermal & caloric equations of state
- For dealing with thermal process engineering; relevant material data for gases, liquids (in particular: coolants), thermoplastics, cross-linked elastomers, thermosets

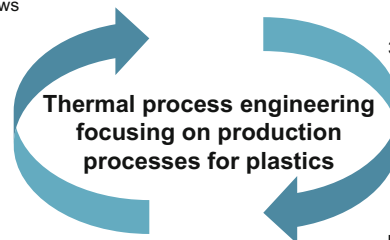


Figure 1.3 Interaction of the disciplines thermodynamics, fluid mechanics, heat transfer, and material behavior required in thermal process engineering

Besides heat transfer, mass transfer is required for treating processes such as mixing, degassing, and pre-drying. To limit the volume of this book, we do not cover the fundamentals of mass transfer. Instead, we refer to the standard textbooks mentioned above. Similarly, in Chapter 8, which provides an overview of drying

processes, we only deal with the basics necessary for treating simple drying processes under ambient air conditions.

The abovementioned basic disciplines are treated individually with partial overlaps in standard textbooks. Figure 1.3 illustrates that solving practical engineering problems requires an interdisciplinary approach. A recommended introductory book on thermal systems engineering, [VT-2], covers the basics of thermodynamics, fluid mechanics, and heat transfer in an integral way.

Thus far, the remarks refer to thermal process engineering, i. e., processes without chemical reactions. A well-known German-language book on this subject is [VT-1]. There are also processes with chemical reactions in plastics processing, e. g., combustion or polymerization processes. In that case, we are talking about chemical process engineering; see, e. g., [VT-3].

Many chemical process engineering textbooks deal with reaction kinetics rather than energy rate balances relevant in energy technology. To limit the scope of this book, chemical reactions are covered only marginally in Chapter 3, Section 3.5.

The following chapters of Part 1 provide introductory explanations, key definitions, and basic principles of thermodynamics, fluid mechanics, heat transfer, and behavior of plastic materials. Extended fundamentals for practical purposes are covered in the chapters of Part 2. *End-of-chapter examples*, called basic examples, illustrate the application of basic principles of Parts 1 and 2. The *practical examples* of Part 3 intend to illustrate the interdisciplinary approach in solving problems of some fundamental processes of Figure 1.1. They all have been worked out jointly with industrial companies, machine manufacturers, and manufacturers of products made of plastics. To finish this introduction, we address three relevant issues:

- System analysis
- Kinds of systems
- Methodology for solving engineering problems

1.4.2 System Analysis

The critical step in any technical analysis is the precise description of what is to be analyzed, i. e., the proper definition of the system.

To illustrate the procedure, we will deal with a simple and illustrative example from mechanics. When examining the static and dynamic behavior of mechanical components (stress and strain levels, motion, etc.), the first step is always to create the so-called free body diagram of the element to be analyzed. Mechanics

The body is completely isolated from its surroundings. In mechanics, the term “free body diagram” is used for the *isolated body*, the system under consideration. Free body diagram

At the boundaries with the surroundings, *all* acting forces and moments are introduced. Then,

- the conditions of equilibrium → static cases
- Newton's laws of motion → dynamic cases

are formulated. We illustrate the methodology with the simple example of a rotary crane; Figure 1.4. The object of study shall be the crane's boom. We are interested in all forces acting under stationary conditions. It is of utmost importance that *all forces* and *moments*, known and unknown, are entered in the free body diagram, the isolated boom (in blue in Figure 1.4). They represent the *mechanical interaction* between boom and surroundings.

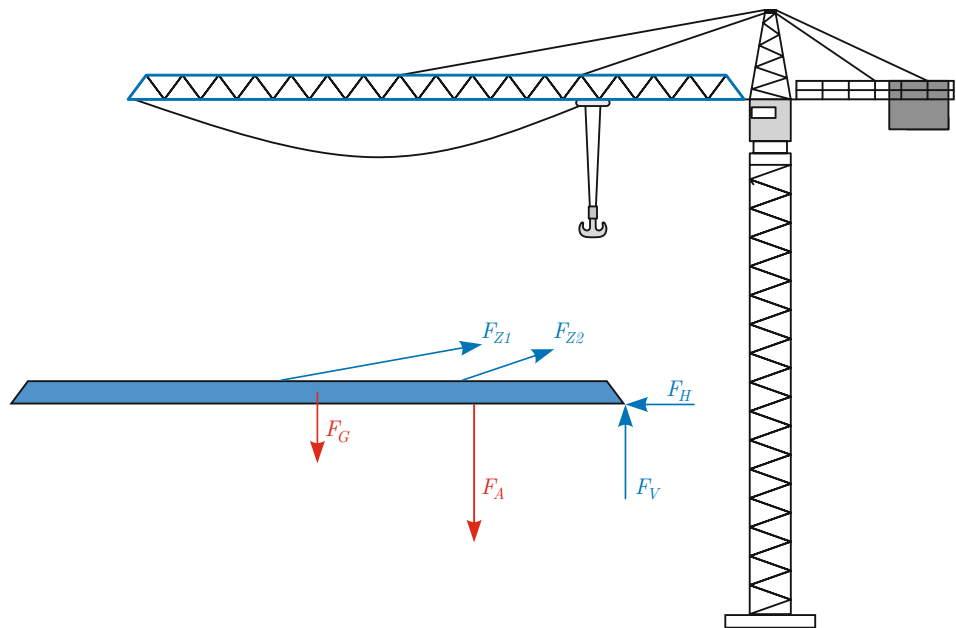


Figure 1.4 Rotary crane: free body diagram of the component to be analyzed, the boom

In reality, the weight F_G is a distributed load (track load); for simplifying reasons, we introduce it as a single load (point load). F_A represents the horizontally sliding towing load. Both forces F_{Z1} and F_{Z2} describe the interaction with the tensile rods attached to the top of the crane tower. The effect of the joint on the right-hand side is specified by the horizontal and vertical bearing reactions, F_H and F_V . The bearing moment is of minor importance; therefore, we neglect it here.

Taking account of the weight of the rope cables depends on the objectives and the accuracy requirements of the analysis. A possible simplification could be to add the weight of the left-hand part of the hanging rope to the boom's weight and the weight of the right-hand portion to the towing load.

Known forces are the weight F_G – including the weight of the hanging rope – and the amount and the position of the sliding towing load F_A . The remaining four forces, F_{Z1} , F_{Z2} , F_H , and F_V , are *unknown*. For solving this two-dimensional problem, *three equilibrium conditions* can be formulated, *one* moment relation and *two* force relations – one in the horizontal and one in the vertical direction. Therefore, the problem is onefold statically indeterminate, i. e., we need an additional relationship, which can be obtained by considering the deformation conditions of the two tensile rods. If the boom is assumed to be rigid, the elongations of the tensile rods are in a fixed ratio given by the geometry. This ratio also applies to the ratio of the forces F_{Z1}/F_{Z2} , assuming linear-elastic deformation (Hooke's law). This deformation condition gives an additional equation. All external loads acting on the boom are determinable. With known load conditions, stresses and deformations (deflections, elastic curve) can be determined. Of primary interest are locations of maximum stress and deflection.

In thermal systems engineering, with disciplines thermodynamics, fluid mechanics, and heat and mass transfer (Figure 1.3), the terms “*system*” and “*control volume*” are used instead of the term “free body diagram” used in mechanics. However, their role is the same in both cases, namely, the precise definition of the subject of the analysis. We say without exaggeration:



The system concept plays an equally important role in energy technology as the function concept in mathematics.

As shown with the simple mechanical example, the initial step in any engineering analysis is to precisely define what is to be analyzed, the *system definition*. The system is separated from the surroundings by the *system boundary*. Everything inside the system boundary belongs to the system; everything outside belongs to the surroundings.

Just as all forces and moments are entered in the free body diagram, all relevant *interactions between the system and the surroundings* are formulated at the system boundary and entered into the system sketch. These interactions are more diverse than in mechanics; for example, they include mass flows, heat flows, mechanical and electric power which may cross the system boundary at different locations. The analog to formulating equilibrium conditions or Newton's laws of motion in mechanics is the formulation of the *rate balances*, primarily for the conservation quantities mass, momentum, angular momentum, and energy.



Fundamental steps when formulating rate balances for energy, mass, etc. are:

- Proper definition of the system
- Precise definition of the system boundary: What belongs to the system under consideration? What belongs to the surroundings?
- Complete description of the interaction between system and surroundings, i. e., formulation of all mass and energy flows crossing the system boundary

The system can be complex like an entire injection molding machine (Figure 1.5) or simple like a heat exchanger. It can also be a differential volume element when dealing with numerical methods for determining flow or temperature fields.

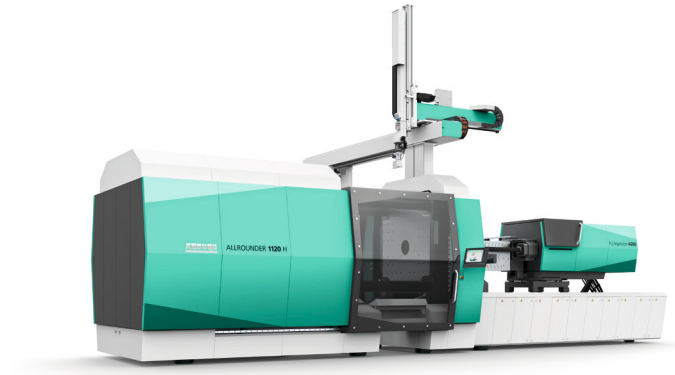


Figure 1.5 Injection molding machine (image: Arburg GmbH + Co. KG)

System The system is a mental aid for problem analysis. It is a physical structure separated from the surroundings by an imaginary *closed surface* – the system boundary – completely enclosing the system.

Control volume KV When mass crosses the system boundary, the term “control volume” (*Kontrollvolumen* in German, abbreviated KV) is preferred for the region enclosed by the system boundary. The system boundary can be fixed or movable.

The appropriate choice of the control volume and system boundary, respectively, will depend on the type of problem to be solved. If the focus is on the energy budget of the entire injection molding machine, the system boundary is set around it. If the main interest is in the screw (granulate in, plastic melt out, heating, and driving power), an appropriate choice of the system boundary enclosing the screw would be along the inner surface of the barrel.

The system boundary should be placed so that the surroundings’ interactions can be described as precisely as possible. The art of selecting an appropriate and problem-oriented system boundary is a matter of experience.

An undeniable advantage of the system approach is that, at least for steady-state conditions, one does not have to worry about the details of complex processes within the system boundary. If it is possible to describe what happens at the system boundary with some degree of reliability, i.e., which mass and energy flow across the system boundary, the balance equations provide access to quantities that cannot accurately be measured or computed with reasonable effort.

1.4.3 Kinds of Systems

Depending on the problem to be solved, different system kinds are common in energy technology. The most important ones are *open*, *closed*, and *adiabatic* systems.

A system is open when energy and mass flows cross the system boundary. Keep in mind that mass flows, besides transporting mass, also transport energy. Section 3.3 deals with the first law of thermodynamics for open systems, where the property *enthalpy* will be defined. The transfer of thermal energy associated with a mass flow is called *convective thermal energy transfer*. Most systems in practice are open systems, for example, the tool of an injection molding machine whose temperature is controlled by oil or water flows. Open system

A system is closed if its boundary is *impermeable to mass*, i. e., the system's mass remains constant during the process under consideration. However, energy may cross the system boundary as heat and work. Example of a closed system: air inside a piston-cylinder assembly (displacement volume) of a piston engine with closed valves and dense piston rings. Energy transfer by work happens by moving the piston during the compression cycle. Energy transfer by heat takes place across the cylinder walls. Closed system

A system is adiabatic if its entire system boundary is *impermeable to heat*. Energy transfer may take place by work and/or mass flow only. In other words, adiabatic systems may be open or closed without heat transfer across its system boundary. The system boundary of a nonadiabatic system can be partially adiabatic. Adiabatic systems and adiabatic system boundaries are idealizations. Adiabatic system

1.4.4 Methodology for Solving Thermal Systems Problems

We strongly recommend adopting a proven systematic approach for solving thermal systems engineering problems. The methodology described here is used in English-language textbooks (e. g., standard textbooks by publishing companies such as John Wiley & Sons and McGraw-Hill, in particular, the excellent books [TH-3, 4, 5], [FM-2], [WU-3], and [VT-2]), but also increasingly in the German-speaking area, e. g., [WU-4, 5]. We call it *a six-point solution methodology*. Of course, it may be supplemented by additional sections or points without changing the essence of the methodology.

1. Known (Given Data)

What do we know about the problem? What quantities are given or specified? Trying to answer these questions, studying the problem, and reflecting on the occurring processes are an integral part of the problem analysis.

2. Find

What does one want to know about the problem? What is to be determined? Jointly with step 1, consider what properties are to be determined, what transfer processes take place, and what relationships are involved. Points 1 and 2 should provide a comprehensive definition of the problem.

3. System and Schematic Diagram

Select the system appropriate to the problem. Set the system boundary so that the interaction with the surroundings can be expressed reasonably. Think about where one wants to determine quantities obtainable via the balance equations. Clear identification of the *interaction with the surroundings* is a relevant issue of this step. Consider what change the system undergoes: Is the process stationary or subject to changes in time? We strongly recommend sketching the system (→ schematic diagram) and entering *all* mass and energy flows at the locations where they cross the system boundary. All given properties should be listed as well.

Example B 1.1 (Section 1.5) illustrates the interaction of a simple system with the surroundings for two different system boundaries.

4. Simplifying Assumptions

In general, technical systems and their interaction with the surroundings are complex, and their modeling needs to be simplified. Examples: one-dimensional flow, uniform pressure distribution, adiabatic walls, neglecting heat flows due to radiation, etc. It is advisable to list *all* simplifying assumptions and idealizations made. With this step, develop a suitable engineering model.

5. Analysis

In this step, equations are formulated, i. e., the balance equations for mass, energy, momentum, and, if necessary, angular momentum and other fundamental laws. We strongly recommend

- performing the analysis algebraically before introducing numbers,
- substituting numerical data after establishing functional relationships. Only in this way does the influence of the individual parameters become transparent,
- checking relationships and data for dimensional homogeneity,
- subjecting intermediate and final results to a plausibility check: Are the magnitudes of the numerical data reasonable?

In summary, the essential analysis steps are:

- Select an appropriate *coordinate system*.

- Define *boundary conditions*, and in the case of transient processes, define *initial conditions*.
- Specify *all interactions* of the system with the surroundings in conjunction with the boundary conditions.
- Depending on the problem to be solved, different laws are required, e.g., Fourier's law of heat conduction, material laws specifying the relationship between stress and strain for solid materials, describing viscosity for fluids, etc.
- Formulate *balance equations* for mass and energy (also for momentum and angular momentum if required) using the selected coordinate system.
- Solve equations or system of equations for quantities to be determined (flow field, temperature field, energy flows, etc.) and – if appropriate – graphically represent them.
- Take *material data* from relevant databases. For details, see Chapter 2. Because of plastics' enormous diversity and complexity, getting consistent data for solids and melts is still a real challenge.

6. Discussion

Following the analysis, the results obtained need to be judged in this step. In particular, one should examine to what extent the simplifying assumptions are appropriate and whether they need to be adapted. Is the choice of the system, including its boundary, reasonable? For complex problems, a first analysis using simplifying assumptions provides a “feeling for the order of magnitude” of the parameters involved, thus making it possible to specify more accurate assumptions for a second or even a third analysis step. This so-called *successive iteration procedure* is typical for engineering problem-solving in practice. In short, the methodology is:

- Perform a comprehensive problem assessment (steps 1 to 4) first.
- After that, perform the analysis, formulate and solve equations, and evaluate the results (steps 5 and 6). If necessary, add further iteration steps.

The sample solutions of all examples, the *basic examples* following each chapter of Parts 1 and 2 as well as the *practical examples* of Part 3, are treated using this methodology. It represents a way to model reality mathematically. This type of modeling is called *process simulation*, performed analytically or numerically.

In general, the analytical method requires simplifying assumptions. However, it does provide the essential relationships in the correct order of magnitude with comparatively little effort. Thus, if necessary, i.e., when higher accuracy results are required, the analytical method represents the starting point for more detailed investigations, like experiments or numerical simulations using advanced simulation tools.

Analytical method

Numerical method Numerical methods (finite difference method, FDM, or finite element method, FEM) are more complex; on the other hand, they allow a more realistic system modeling. Both methods, analytical and numerical, have their justification and are in use in plastics technology today.

In this introductory textbook, we limit ourselves to the analytical method. The analytical solutions – that is, their numerical results – of all examples are obtained using the software package Maple™.

■ 1.5 Example B 1.1: Interaction with the Surroundings for System Boundaries A and B of System “Extruder”

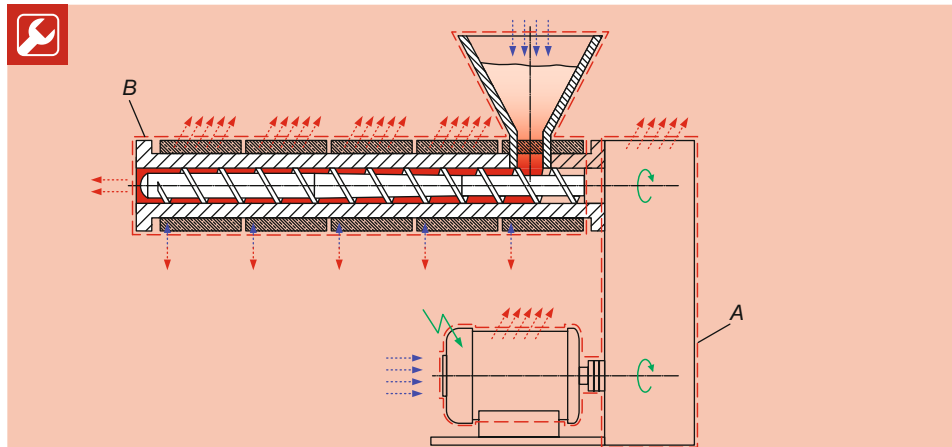


Figure 1.6 System “extruder” with system boundaries A and B [KA-1]

System boundary A “drive system” includes an electric drive motor, closed belt drive, and gear

- Mass flows (note that the system boundary is placed on the surface of the elements): cooling airflow for cooling the drive motor; air enters with ambient air temperature and leaves system A at elevated temperature, thus transferring thermal energy to the surroundings
- Energy flows: electric power to drive motor → in, mechanical drive power to extruder screw → out
- Heat flows: heat transfer motor/belt/gear casing → surroundings due to free convection and radiation
- Convective thermal energy transfer by the motor cooling air, as mentioned above

System boundary B includes funnel, hopper, and extruder

- Mass flows: granulate supply, extrudate at the outlet, heating and cooling fluid mass flow for temperature control
- Energy flows: mechanical power to extruder shaft, heating and cooling power (barrel), heat transfer barrel → surroundings due to free convection and radiation
- Convective thermal energy transfer by the plastic (granulate in, extrudate out)

Note that in both systems, convective energy transfers take place associated with mass flows.

References Chapter 1

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2

Material Behavior of Plastics

Compared to other classes of materials, plastics are characterized above all by a unique variety of properties (such as crystal clear or opaque, tough or soft, nonconductive or conductive) that they offer for a wide range of applications. The Latin expression “*mixtura miraculosa*” would therefore be much more appropriate than the word plastic, which is derived from the Greek term *plastikos*: to form/shape. But all joking aside, almost all plastics exist usually as **complex mixtures!**

For a better understanding of plastics, the following “word equation” – also called the main theorem of plastics technology – has a key function in the field of plastics engineering, especially in solving upcoming problems:



Polymer raw material(s) + Additive(s) → Plastic

Main theorem of
plastics technology

The arrow symbol indicates the process steps of preparation/processing.

In addition, the transparency of this simple statement is complicated by the fact that in everyday life the same designations are used for the polymer raw material(s) (“polymer”) as well as for the plastic – for instance, polyethylene terephthalate (PET) in use for bottles.

Last but not least, it should be remembered that this mixture of substances has been prepared with great care. So even the smallest changes (of any kind) in the mixing ratio of the two components must be expected to have profound consequences for the plastic in question.

Finally, among the many topics available on the material behavior of plastics, a strict selection was made on the premise that the following text would at least indirectly maintain the reference to energy.

The Most Important Facts in Brief

Anyone wishing to understand plastics, their properties, processing, and applications right through to recycling from the ground up must be familiar with their chemistry. Right at the beginning of this chapter, therefore, the aim is to convey as

simply as possible the basic chemistry required for the content of this book, Section 2.1. Armed with this prior knowledge, the focus shifts from chemistry to physics including energetic behavior, Section 2.2.

The focus is now on the behavior of the various types of plastics in the solid and viscous or “molten” states and their dependence on temperature and time. In this context, *thermodynamic properties* become very important not only for this book, but mainly because of their central influence in dealing with plastics, Section 2.3.

Furthermore, the sustainable development goals (SDGs) for the future of plastics cannot be achieved without adequately considering the influence of energy in the form of heat and light – often combined with oxygen – on components or semi-finished products. This is illustrated in a separate section using the example of the ageing of plastics, Section 2.4.

At the same time, it should be recalled once again that in the case of plastics, both the polymer raw material(s) used and the finished blend with additives are almost invariably given the same designation.

This chapter is rounded off with the topic of strain energy and elasticity of solid plastics; see Section 2.5.

■ 2.1 Chemical Basics

Macromolecule A broader understanding of the material behavior of plastics requires basic information about the different structure of polymers compared to other materials, for example, metals. In the structure of metals, atoms are considered as their smallest building blocks, which are arranged in atomic lattices. If we compare water, H₂O, or carbon dioxide, CO₂, with a polymer at this point, the smallest building block common to all is the molecule. But polymers, in contrast, have molecules with at least 1000 atoms being involved, as the lowest limit. The term *macromolecule* is used to take this characteristic into account. However, not only the macromolecule alone but also the *chemical elements* involved in its structure are of fundamental importance for the material behavior of the plastic in question. In addition to the chemical element carbon, these are, above all, hydrogen, oxygen, and nitrogen, all of which belong to the lightweights due to their atomic structure and together explain the *low density of polymers*; see Section 2.2.1.

Chemical Synthesis

As far as the chemical synthesis of macromolecules is concerned, there are many different possibilities; see Figure 2.1.

and temperature, but especially by highly specific catalysts. Thus, using the example of PP, the same polymer raw material is obtained with variable molar masses or molar mass distribution; see Figure 2.3.

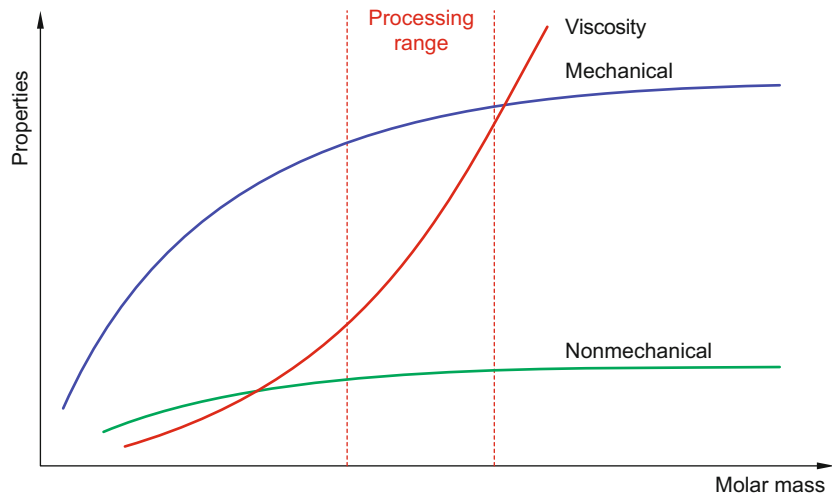


Figure 2.3 Influence of the average molar mass on physical properties in schematic representation, from [KA-1]

Bimodal distribution If the specific advantages of both low and very high molar masses are to be combined, the production of a plastic with *bimodal distribution* of the polymer molar mass is an option; see Figure 2.4.

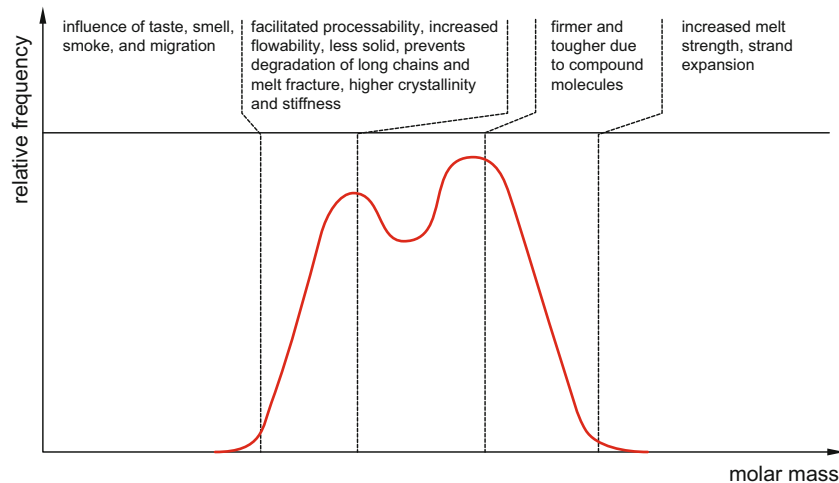


Figure 2.4 Schematic of a bimodal distribution curve, from [KA-1]

Further possibilities to obtain “tailor-made polymers” for practical use are offered by the numerous variants of *chemical modification of polymers*. This is achieved, in the case of PP, for example, through the use of additional monomers, e. g., ethylene. Under the generic term “*PP copolymers*,” they find a wide range of applications; see Figure 2.5.

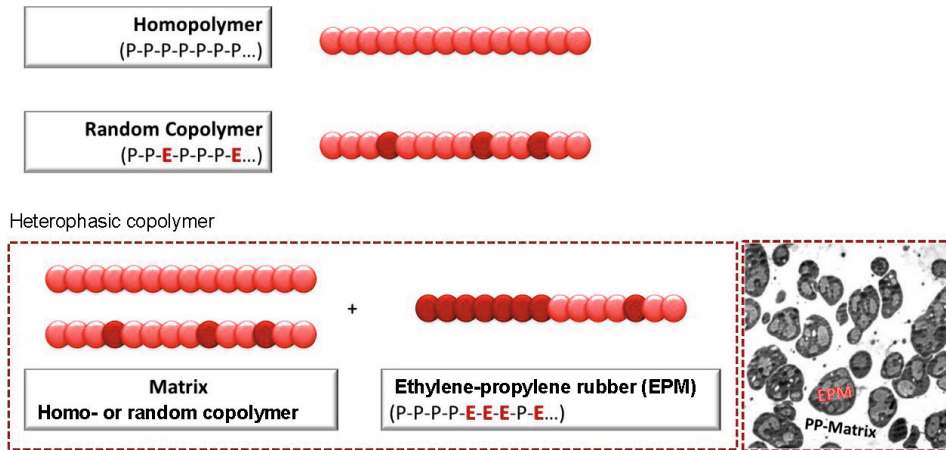


Figure 2.5 Schematic structure of propylene copolymers, from [KA-1]

Last but not least, further chemical modifications can be made to the finished polymer raw material. One example is the subsequent chemical cross-linking of thermoplastics.

It should be noted at this point that the possibilities of “tailoring” a polymer raw material that have been described so far and those that follow do not claim to be exhaustive, but – as already mentioned – are to be understood only as *typical examples*.

It is also deliberately intended in Section 2.1 to largely dispense with chemical and physical formulae in the *further description of the material behavior* and instead to give priority to the qualitative approach with words and pictures.

2.1.2 Additive(s)

Similarly, the properties of a plastic for its intended use in practice can be permanently changed by a selective choice of additives. In everyday plastic applications, these additional possibilities of *physical modification* are almost always exploited to produce high-quality components or semifinished products (pipes, sheets, profiles, etc.), mostly in combination with the already-mentioned chemical variants to optimize the polymer raw material.

Physical modification

Using several examples – initially as undesirable effects – physical modification will also be explained in more detail. PP, for example, is *hydrophobic* when used as a plastic due to its chemical structure. The situation is completely different with PP reinforced with glass fiber. The physical phenomenon of the wettability of glass fibers by water film (H_2O) therefore requires *controlled pre-drying* even before processing in the melting process; see Chapter 8. Otherwise, the desired improvement in mechanical properties would lead to a fault in the component due to water vapor formed as a result, e.g., formation of streaks and bubbles. Polyethylene terephthalate (PET) behaves even more extremely in processing, for example, in the injection molding of preforms used to produce PET bottles. Even as an unreinforced polymer raw material, it is susceptible to *hydrolysis* in the presence of even the smallest traces of water, due to its polyester structure, and consequently requires *extreme pre-drying* before processing. In complete contrast, a polyamide, e.g., PA 66, only acquires its toughness through the absorption of water as an external plasticizer.

Consequential color change Moreover, for example, a color change in the same plastic, e.g., from green to red, can lead to unforeseen consequences such as *shrinkage behavior*.

The modification of the polymer raw materials with additives takes place, depending on the requirements for the plastic part in question, either already at the polymer raw material manufacturer (producer) and/or during compounding or at the processor. Table 2.1 summarizes the individual requirements for additives. At the same time, this list provides a simple explanation for the huge variety of different plastic products that are encountered in everyday life.

Recycling of plastics On the flip side, however, this forces all parties involved to pay due attention to plastics recycling from as early as the development stage of new products in the future.

Taking into account new scientific findings and improved technologies in the field of plastics technology, further growth in the plastics industry can therefore be expected worldwide.

Table 2.1 Thematic Overview: Additives for Plastics (Selection), from [KA-1]

Reaction substances	Processing-enhancing additives	Strength-increasing additives	Stiffness-increasing additives	Stiffness-decreasing additives
<ul style="list-style-type: none"> ▪ Hardeners (cross-linkers) ▪ Photo-initiators ▪ Catalysts ▪ Accelerators ▪ Propellants (for foams) ▪ Degradation-causing additives 	<ul style="list-style-type: none"> ▪ Stabilizers (against heat) ▪ Antioxidants ▪ Lubricants ▪ Bonding agents for filling materials, fibers, etc. ▪ Nucleating agents ▪ Antistatic agents ▪ Release agents 	<ul style="list-style-type: none"> ▪ Reinforcements like fibers, fabrics, mats ▪ Fillers with reinforcer effect (e. g., carbon black, silica for elastomers) ▪ Resin carriers for thermosets (e. g., wood flour, cellulose) 	<ul style="list-style-type: none"> ▪ Reinforcements like fibers, fabrics, mats ▪ Fillers without reinforcer effect (e. g., silicon flour, rock flour) 	<ul style="list-style-type: none"> ▪ Plasticizers ▪ Rubber-like polymers, mixed into the softening plastic (so-called polyblends, e. g., nitrile rubber in PVC or chlorinated PE in PVC)
Antimicrobial additives	Lifetime-prolonging additives	Coloring additives	Properties-modifying additives	Cheapening additives
Biostabilizers against biological attack (e. g., fungistatics against fungus)	Stabilizers against light, oxidation, heat (also called anti-ageing agents)	<ul style="list-style-type: none"> ▪ Pigments ▪ Dyes ▪ Brightening agents (e. g., fluorescent brighteners for PVC) 	<ul style="list-style-type: none"> ▪ Flame retardants ▪ Heat-conduction-improving additives (e. g., metal powder) ▪ Antistatics 	Cheap fillers (e. g., slate flour, chalk, etc., so-called stretching agents)

For a more in-depth understanding of the chemical and physical influences discussed so far – especially with regard to the properties of a plastic – the reader is referred to the relevant technical literature.

2.1.3 Classification of Plastics

Plastics can be classified according to a wide variety of criteria, e. g., according to their production, recyclability, areas of application, etc. The *main criterion*, however, remains the following: their different behavior at *elevated temperature*. Thus, two types can be defined initially:

- Non-cross-linked plastics
- Cross-linked plastics

Temperature as a guideline

Index

A

absolute (Kelvin) temperature 97
absorptivity 228
activation energy 71
activation energy (enthalpy) 131
additive manufacturing 43
additives 23, 25, 56, 70
adiabatic saturation temperature 353
adiabatic wall 389
ageing 70
– external causes 70
– internal causes 70
ageing process 70
air-drying of solids 365
amorphous 32, 33, 40, 50, 54, 65, 78
anergy 99
anisotropy 60
Arrhenius equation 385
aspiration psychrometer 354
availability = exergy of heat 98
axial annular flow 400

B

Bernoulli equation 121
– generalized 125, 184, 413
bimodal distribution 22
Bingham fluid 162
biotechnology 438
Biot number 291, 301
blackbody 226

bladder accumulator 485
bond energy 26, 130
bonds
– chemical 26
– covalent 26
– hydrogen 30
– main valence 26, 49
– mechanical 31
– secondary valence 28, 34, 48, 49
break point 356
Brinkman number 390
Brownian motion 33
Buckingham pi theorem 176
bulk modulus 78, 491

C

Carnot
– efficiency 97
– heat engine 96
– refrigeration cycle 101
Carreau model 384
ceiling temperature 134
Celsius temperature 97
cement industry 445
change of (thermodynamic) state
– definition 111
– nonequilibrium or nonstatic 112
chemical process engineering 9
chemical reaction 128
– endergonic 134
– endothermic 130
– exergonic 134
– exothermic 130
– reversible work 135
coding system 435
coefficient of friction 481
coefficient of performance COP 101, 137
coefficient of thermal expansion 76
– linear 59
coefficient of volume expansion 68
complementary error function 293
compounding 71
compressibility 68, 78, 491
compressibility chart 103
conduction 197
conservation law 157
constitutive equation 168, 173
continuum model 155
control volume 11, 12
convection 197, 198
– definition 206
– forced 198, 209
– free 198, 219
cooling limit 353
copolymer 23, 33, 35
critical insulation radius 241
Cross model 384
crude oil 445
cycle time 4

D

Dalton's law 339
 Deborah number 166
 depolymerization 437
 deviatoric tensor 169
 dew point 340
 differential scanning calorimetry 51, 60
 diffuse-gray surface 230
 diffusion coefficient 358
 dilatant behavior 161
 dimensional analysis 174
 dioxins 443
 dipole-dipole forces 29
 directional distribution 223
 dispersion forces 29, 49
 displacement work 110
 dissipation 100
 downcycling 436
 drag flow 158, 171, 385, 388
 dry-bulb temperature 354
 drying
 – definition 337
 – mechanisms 338
 – phase I 355
 – phase II 356
 drying rate 357
 DSC 51, 60
 duromers 37

E

elastomer recycling 437
 elastomers 26, 27, 36, 39, 47, 64, 82, 83
 elongation rate 163
 emissive power 224
 – spectral 224
 – total 224
 emissivity
 – spectral 228
 – total 228
 energetic approach 61
 energetic recovery 439

energetic recovery, controlled 441
 energy
 – gravitational, potential 104
 – internal thermal 104
 – kinetic 104
 – total 104
 energy balance 445
 – closed system between states 1 and 2 105
 energy balances
 – in plastics technology 63
 – in thermodynamics 63
 energy efficiency 62, 428, 442
 energy efficiency of waste-to-energy plants 444
 energy rate balance 118
 – closed system, time rate form 106
 – control volume 120
 entanglements 31
 enthalpy
 – definition 119
 enthalpy of reaction (reaction enthalpy)
 – definition 130
 entrance length 183
 – thermal 399
 entropy
 – definition 101, 113
 entropy-elastic behavior 41, 82
 equation of state
 – caloric 102
 – thermal 102
 Eulerian description 167
 example 15
 – basic 9, 15
 – practical 9, 15
 exergy
 – definition 99
 exergy analysis 140, 456
 extended surfaces (fins) 263
 extensional flow 158
 extrudate swell 164

F

Fick's law 358
 fin effectiveness 268
 fin efficiency 268
 fin parameter 265
 first law of thermodynamics 95
 – closed system 105
 – open system (control volume) 118
 flow
 – laminar 212
 – turbulent 212
 flow behavior 41, 43
 flow work 119
 fluid
 – definition 155
 fluid mechanics 8
 Fourier number 289, 301
 Fourier's equation of heat conduction 282
 Fourier's law of heat conduction 199, 202, 282
 free body diagram 9
 free volume 27
 frictional force 481
 frictional power 479, 481
 friction factor (Darcy) 175, 190
 friction factor (Fanning) 176
 friction pump 407
 friction welding 479
 friction work 124
 Froude number 414
 fuel cell 135

G

gas constant
 – air and water 340
 – individual 103
 – universal 103
 Gaussian error function 293
 Gibbs free energy
 – definition 132
 glass temperature 33, 34

Graetz number 393
 Grashof number 208, 220

H

Hagen–Poiseuille equation 181, 186
 – generalized 182
 heat and mass transfer 8
 heat conduction
 – boundary condition 284
 – contact problem 295
 – contact temperature 295
 – early regime 288, 289
 – late regime 289
 – periodic temperature variation 296
 – semi-infinite body 292
 – steady-state 199
 – thermal penetration depth 298
 – transient 281
 – transition phase 289
 heat conductivity 199
 heat exchanger 204
 heat flux 197
 heating value 439
 – higher (HHV) 130
 – lower (LHV) 131
 heat pump 136
 heat transfer
 – coefficient 198, 207
 – definition 197
 – rate 197
 heat transfer coefficient
 – total or overall 200, 203
 Hooke's law 168
 humidity ratio 341
 hydraulic diameter 178
 hydrophobic 24

I

ideal gas equation of state 103
 ideal gas equations of state 340

impinging jet 216
 incompressibility 78
 induction forces 30
 interaction with the surroundings 11
 irradiation 224
 – spectral 225
 – total 225
 irreversibility 100, 111
 isothermal wall 389
 isotropy 60

K

Kirchhoff's law 230

L

Lagrangian description 167
 landfill 443, 446
 Laplace transformation 284
 Lewis number 361
 life cycle assessment (LCA) 440
 littering 446
 lubrication approximation 387
 lumped-capacitance model 289

M

Mach number 155
 macromolecule 20, 26, 27, 34, 38, 53, 82
 main theorem of plastics technology 19
 manufacturing processes 4
 mass rate balance 117
 mass transfer coefficient 359
 material behavior 19, 20, 74, 78, 80
 material efficiency 62
 mechanical recycling 434
 melting range
 – crystallite 34
 melting temperature
 – crystallite 34

method 15, 16
 – analytical 15
 – numerical 16
 methodology 13
 microplastics 440
 modification 24
 – chemical 23
 – physical 23
 moist air 339
 – cooling 346
 – definition 341
 – specific enthalpy 343
 – specific volume 342
 – water and steam injection 347
 moist solid
 – definition 349
 – moisture content 349
 – specific enthalpy 349
 molar mass 103
 – air and water 340
 Moody diagram 177

N

Newtonian fluid 155, 161, 163
 Newtonian fluids 41
 Newton's law of cooling 198, 207
 non-Newtonian fluid 156, 161, 163
 normal stress 169
 normal stress difference 170, 171
 numerical procedures 405
 Nusselt number 208

O

Ohm's law 201
 opaque material 229

P

Péclet number 393
 perpetuum mobile
 – second kind 100
 petroleum, added value 429

petroleum consumption 427
 phonons 54
 Planck distribution 227
 plastic waste 431
 plastic waste, utilization 434
 polyethylene 445
 polymer 19, 20, 21, 26, 27, 34, 70, 84
 polymer raw material 19, 21, 24
 polytropic exponent 142
 power law 383
 Prandtl number 208
 preform 24
 pressure flow 158
 pressure integral 124, 127
 pressure loss coefficient 184, 190
 principle of conservation of energy 105
 principle of corresponding states 103
 process
 – definition 111
 – quasi-equilibrium 108
 – reversible 110
 processing stages 5
 property 101
 – caloric 104
 – extensive 104
 psychrometric chart (Mollier) 344
 p-v-T diagrams 42, 65, 69
 p-v-T relation 102
 pyrolysis 437

Q

quality factor 98

R

radiation 197
 – blackbody 226
 – diffuse directional distribution 223
 – spectrum 223
 – thermal 222

radiative exchange 231
 – blackbody 236
 – diffuse-gray surfaces 237
 radiative exchange coefficient 239
 radiative heat transfer coefficient 232
 radiative resistance
 – space or geometrical 236, 239
 – surface 238
 radiosity 224, 225, 230
 rate of strain tensor 168, 172
 raw material recycling 437
 Rayleigh number 208, 220
 reaction enthalpy (enthalpy of reaction)
 – standard 130
 real gas behavior 489
 recycling 425
 reflectivity 228
 relative humidity 342
 reptation 31
 resource efficiency 62
 Reynolds analogy 211
 Reynolds number 6, 155, 175, 208
 rheology 156

S

Sankey diagrams 64
 Schmidt number 360
 sealing point 69
 second law of thermodynamics 96
 semicrystalline 32, 34, 50, 53, 65
 service life 432
 shear rate 41, 46, 160
 shear stress 160, 169
 shear-thinning behavior 162
 Sherwood number 360
 sign convention 105, 120
 similarity 174, 177
 similarity theory 407
 softening temperature 33
 solvolysis 438

sorption isotherm 352
 specific enthalpy 51
 specific heat capacity 50, 51
 – at constant pressure 122
 – at constant volume 105
 – for liquids 123
 specific heat ratio 142
 specific volume 27, 32
 spectral distribution 223
 stabilizers 72
 Stanton number 208
 – interpretation 210
 Stefan-Boltzmann constant 226
 Stefan-Boltzmann law 226
 strain rate tensor 128
 strain tensor 168
 stresses
 – compressive 76
 stress tensor 74, 128, 168, 169
 stress vector 169
 stretching 55, 83
 structural viscosity 41
 sublimation enthalpy 344
 surface-to-content problem 291
 sustainable development goals (SDGs) 429
 swelling 41
 system 13
 – adiabatic 13
 – closed 13
 – open 13
 – open (control volume) 116
 system analysis 9
 system boundary 11
 system concept 11
 system definition 11

T

T-ds relation
 – first 115
 – second 123
 techno-climate 40, 70
 tensorial description 156, 167
 thermal ageing behavior 71

- thermal analysis 51, 60
 - thermal characteristics 55
 - thermal conductivity 6, 54, 57
 - thermal diffusivity 57, 283, 393
 - effective 315
 - thermal effusivity 294, 296, 482
 - thermal expansion coefficient
 - volumetric 220
 - thermal process engineering 9
 - thermal resistance 201, 202
 - contact 201
 - specific, conduction 201
 - specific, convection 201
 - thermodynamic measurement method 151
 - thermodynamics 8
 - thermomechanical behavior 32
 - thermoplastic elastomers 35
 - thermoplastic recycling 435, 437
 - thermoplastics 26, 31, 33, 34, 37, 40, 61, 65
 - thermoset recycling 437
 - thermosets 26, 27, 37, 39, 47, 64
 - third law of thermodynamics 102, 129
 - transmissivity 228
 - triple point 340
- U**
- useful energy 446
- V**
- vectorial description 167
 - view factor 233
 - definition 233
 - reciprocity relation 234
 - summation rule 234
 - viscoelasticity 7, 83
 - viscosity 6
 - elongational 158, 162
 - representative 405
 - shear 158, 160
 - temperature-dependent 186
 - transient 165
 - viscosity functions 43
- W**
- wall slip 395
 - waste and recycling hierarchy 431
 - waste heat 4
 - waste management 431, 433
 - waste-to-energy plant 441
 - Weissenberg effect 164
 - Weissenberg number 166
 - welding
 - infrared 64
 - laser-beam 64
 - wet-bulb temperature 354
 - Wien's displacement law 227
 - work
 - friction work 113
- Z**
- zeroth law of thermodynamics 95