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# Multi-objective Bayesian Optimization for the Retrieval of Aggregated Aerosol Structures from Microscopic Images

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#### **Highlights** 1

2 3

4

Multi-objective optimization to predict 3-dimensional morphology from microscopic • images

- 5 Bayesian Optimization for faster convergence •
- 6 • Retrieval time reduced by up to one-tenth of existing methods.
- 7 Accurately predicts 3-dimensional aggregate structures, achieving less than 10% deviation • 8 in mobility diameter.
- 9 Retrieval of aggregate structures with monomers exhibiting both polydispersity and • 10 overlap.
- 11

## 1 Abstract

2 Aerosol particles are increasingly recognized for their significant impacts on human health and climate. Often found in aggregated form, the morphology of these particles plays a 3 4 crucial role in influencing their physicochemical properties. Owing to the sub-micron size, 5 electron microscopy is the most commonly used technique to visualize the aggregated particles. In a prior study, we proposed a combination of forward modelling coupled with optimization 6 7 techniques for the prediction of 3-dimensional structures from microscopic images. Here, we 8 extend the methodology to a multi-objective optimization approach for the specific cases where aggregated particles are classified and sampled based on specific properties such as mobility 9 10 diameter, aerodynamic diameter etc. The comparison of 2-dimensional features of the 11 microscopic image with the projections of computationally generated aggregates forms the first 12 objective function, while the comparison of the measured 3-dimensional property, mobility 13 diameter, is used as the second objective function. The estimation of the mobility diameter 14 often requires the calculation of the hydrodynamic radius (R<sub>h</sub>) and the orientationally averaged 15 projected area (PA), which can be computationally expensive for larger aggregates and for frequent calculations. Bayesian optimization is used for the retrieval process, as it can provide 16 much faster convergence with significantly fewer function evaluations compared to 17 18 metaheuristic algorithms. The multi-objective Bayesian optimization-based retrieval algorithm 19 has been validated using synthetically generated and experimentally collected microscopic 20 images. The process is found to be about 5 to 10 times faster than previously reported methods. 21 The algorithm is further extended to retrieve aggregates with polydisperse and overlapping 22 monomers. The retrieval process demonstrated strong accuracy, with fractal parameters 23 showing around 10-15% error compared to the original values. This includes a mobility 24 diameter difference of less than 10%, indicating high similarity between retrieved and input 25 structures. Furthermore, tests are conducted on welding fume particles of varying mobility 26 diameters, where retrieved structures consistently exhibited mobility diameters within a 10% 27 difference from original values.

28

**Keywords:** Multi-Objective optimization, Bayesian optimization, Aggregated aerosol structures, Morphological analysis

## 1 **1. Introduction**

2 Aerosol particles, originating from various sources such as industrial combustion processes 3 and vehicular emissions, are a major concern due to their significant impact on local and global 4 weather patterns (Cao, 2017; Lighty et al., 2000; Shiraiwa et al., 2017). These particles 5 typically exhibit a wide range of sizes, compositions, and morphologies, which play a crucial 6 role in shaping environmental factors and affecting human health.(David et al., 2019; Gaeckle 7 et al., 2020). Aerosol particles, specifically those generated from combustion sources, 8 frequently exist as clusters rather than individual particles due to continuous collisions and 9 subsequent coagulation (M. Eggersdorfer & Pratsinis, 2014; Filippov et al., 2000; Meakin et 10 al., 1984). The clusters, also referred to as aggregates, often display fractal-like structures, 11 exhibiting self-similarity in their arrangement. However, unlike ideal fractals, these aggregates show self-similarity only over a limited range of length scales and are referred to as quasi-12 fractal aggregates (Filippov et al., 2000; Forrest & Witten, 1979). Quasi-fractal structures are 13 14 found to follow the scaling law given by:

15 
$$N = k_f \left(\frac{R_g}{r_{p_{geo}}}\right)^{D_f}$$
 (1)

where N is the number of particles or monomers with length scales comprising the radius of 16 17 gyration (R<sub>g</sub>). D<sub>f</sub> is the fractal dimension ranging from 1 (for linear aggregates) to 3 (fully compact structure), and k<sub>f</sub> is the fractal prefactor, spanning from lower values around 0.3 to 18 19 higher values exceeding 7 (China et al., 2015; Sipkens et al., 2023; Sorensen & Roberts, 1996). r<sub>pgeo</sub> is the geometric mean radius of monomers, which equals to monomer radius 'a' for the 20 21 case of monodisperse particles. Aggregates encountered in practice often consist of nearly 22 spherical, polydisperse primary particles, commonly described by lognormal distributions. 23 These details in the scaling law to include polydispersed size distribution using the r<sub>p.geo</sub> and 24 the geometric standard deviation  $\sigma_{p,geo}$  as:

25 
$$\log\left(r_{p_{geo}}\right) = \frac{\sum_{i=1}^{N}\log(r_i)}{N}$$
 (2)

26 
$$\log\left(\sigma_{p_{geo}}\right) = \sqrt{\frac{\sum_{i=1}^{N} \left(\log(r_i) - \log(r_p, geo)\right)^2}{N}}$$
(3)

where  $r_i$  is the radius of the i<sup>th</sup> particle, and N is the total number of monomers. For monodisperse primary particles, the RHS term in Eq. (3) becomes zero, yielding  $\sigma_{p,geo} = 1$ . This allows the equation to be applicable to both monodisperse and polydisperse size distributions of monomers in an aggregate.

1 Morphology of the aggregates can significantly influence their properties, including 2 surface reactivity, optical properties, and transport and deposition (China et al., 2015; Yon et 3 al., 2021). Morphological parameters (e.g., effective density, monomer number, fractal 4 dimension) of size-resolved soot particles from various combustion sources were investigated 5 in some recent studies, and the results revealed size-dependent variations, highlighting the 6 differences in soot particle properties across sources (Li et al., 2024; Pang et al., 2022, 2023). 7 Given their nanoscale size, electron microscopy-based image analysis is among the most 8 widely used techniques for studying and visualizing these structures (Park et al., 2003; 9 Thajudeen, Jeon, et al., 2015).

10 In a typical image analysis method, 2-dimensional features from microscopic images are 11 used to retrieve 3-dimensional properties of aggregates, including primary particle size 12 distributions, number of monomers (N), and fractal dimension (Df) (Bescond et al., 2014; Chakrabarty et al., 2011a; Park et al., 2004). Kruis et al. (Einar Kruis et al., 1994) developed 13 14 an automated particle recognition technique to estimate particle size distribution and Fractal 15 dimensions of the aggregates from Transmission Electron Microscope (TEM) images. An 16 image characterization process was proposed by Brasil (Brasil et al., 1999) for extracting 2-17 dimensional features (such as projected area, perimeter, and maximum length) of microscopic 18 images to estimate 3-dimensional properties (N, k<sub>f</sub>, D<sub>f</sub>). Several studies have attempted to 19 develop relations between 3-dimensional properties, like monomer numbers and fractal 20 dimensions, and 2-dimensional projection properties, such as 2-dimensional radius of gyration 21 and maximum length (Chakrabarty et al., 2011b, 2011a). Most of these studies have relied on 22 developing regression-based equations to represent the relationship. Hogan and coworkers 23 (Thajudeen, Jeon, et al., 2015) introduced a technique to predict the 3-dimensional structures 24 of aggregates from TEM images by comparing them with a database of test images created 25 from computationally generated aggregates. The method was later extended to various 26 applications, including the study on the growth and absorption rates of iron oxide nanoparticles 27 (Jeon et al., 2016) and morphological analysis of emissions from electrosurgical pencils (Qiao 28 et al., 2020). However, the efficacy of this method depends on the comprehensiveness of the 29 database.

Considering these limitations, a retrieval process combining optimization methods and forward modelling techniques was developed (Singh & Thajudeen, 2023). In this method, the features obtained from microscopic images were compared to the projections of candidate aggregates generated by FracVAL, an open-source forward modelling method (Morán et al., 2019). Optimization techniques were used to minimize the difference between the 2-

1 dimensional features of microscopic images and candidate projections, using an objective 2 function based on six image features: projected area, perimeter, maximum length, width, 2-3 dimensional radius of gyration, and 2-dimensional fractal dimension. This method was then 4 improved using Machine learning (ML) techniques (Singh et al., 2024) to narrow down the 5 search space for optimization, thereby accelerating the retrieval process. The proposed method was validated by comparing the retrieved structure against available information on the 6 7 sampled aggregate using 3-dimensional aerosol properties, such as mobility and aerodynamic 8 diameters.

9 In certain cases, aggregate samples are collected based on predefined aerosol properties, as is the case when a Differential Mobility Analyzer (DMA) is used to classify aerosol particles 10 11 based on their mobility diameter (d<sub>m</sub>) (Lapuerta et al., 2003; Park et al., 2003; Trivanovic et al., 12 2019). Prior retrieval methods typically compare these 3-dimensional properties post-retrieval. 13 However, incorporating these known properties directly into the retrieval process enhances its 14 efficiency, as each iteration utilizes this information to guide the optimization. This approach ensures that the retrieved structure aligns with both the 2-dimensional projection features and 15 16 the 3-dimensional properties of aerosol particles measured during sampling. Building on the 17 previous methods, we propose a novel multi-objective optimization-based retrieval framework 18 by incorporating known 3-dimensional properties as an additional objective function alongside 19 2-dimensional image features.

20 It could also be possible that an aggregate structure may be inaccurately designated as optimal if its projection closely resembles the input image due to a favourable viewing angle 21 22 despite differences in its true 3-dimensional form. For example, in an ideal case, various 23 candidate aggregate structures may yield identical projection properties, resulting in equivalent 24 objective function values. It is then challenging to determine the best structure. By 25 incorporating an additional objective function, such as a 3-dimensional property, the retrieval 26 process can identify the structure with the closest 3-dimensional property compared to the 27 aggregate corresponding to the microscopic image. This approach ensures that the structure with the closest match in 3-dimensional properties shall be selected as the optimal structure. 28 29 Additionally, multiple aggregates collected at a fixed mobility diameter may exhibit varying 30 projection features due to differences in structural shape. However, if these aggregates do not 31 match the input image projections, they will be discarded. Thus, a multi-objective optimization (MOO) approach is particularly advantageous for retrieval, as it ensures that both 2-32 33 dimensional and 3-dimensional properties are considered in tandem.

1 An important point to consider is the need for an MOO approach rather than a single 2 combined objective function for 2-dimensional features and 3-dimensional properties. The 3 rationale for this choice lies in the varying importance of properties such as mobility diameter 4 and projected features. For a single objective optimization, six 2-dimensional features and one 5 3-dimensional property must be combined into a single objective with a total of seven 6 parameters. Each parameter has varying importance, requiring distinct weights to be added to 7 the objective function. Determining these weights is not trivial, as improper assignment could 8 introduce bias and could fail to accurately capture the trade-offs between the properties, 9 potentially leading to suboptimal results (Cho et al., 2017; Coello, 2000). Moreover, separating each of the six 2-dimensional properties into individual objective functions would further 10 11 complicate the process, making it computationally slow. Increasing the number of objectives 12 in multi-objective problems also impacts the difficulty of convergence, an increase in the 13 computational effort of many operations, or the memory requirements for storing non-14 dominated solutions (Allmendinger et al., 2022; Curry & Dagli, 2014; Schütze et al., 2011). 15 Therefore, we propose a MOO approach with two objective functions, where 2-dimensional properties are aggregated into a single objective function, while the 3-dimensional property is 16 17 used as a separate objective function.

18 The cost of the retrieval process is yet another challenge that stems largely from the 19 inclusion of the mobility diameter (d<sub>m</sub>) as the second objective function. Two geometric 20 properties, hydrodynamic radius (R<sub>h</sub>) and orientationally averaged projected area (PA), are 21 essential for calculating d<sub>m</sub> across different flow regimes, from continuum to free molecular 22 (Gopalakrishnan et al., 2015; C. Zhang et al., 2012). However, calculating Rh and PA is a 23 computationally expensive process, especially when frequent calculations are required, which 24 can significantly increase the simulation time. The process was found to be particularly 25 prohibitive when utilizing population-based metaheuristic optimization techniques (Singh et 26 al., 2024; Singh & Thajudeen, 2023). These methods required evaluating objective function 27 values for the entire population in each iteration, placing increased demands on the 28 computational resources.

Bayesian Optimization (BO) offers a principled alternative to address such computational inefficiencies (Jones et al., 1998; X. Wang et al., 2023). It can be adapted to deal with multiple, expensive black-box functions of potentially incommensurable objectives under constraints on the total number of evaluations due to time limitations (Garnett et al., 2010; Mahendran et al., 2012; Marchant & Ramos, 2012; Shahriari et al., 2016). In this study, the calculation of the objective function based on d<sub>m</sub> is computationally expensive. BO offers advantages over the

previous methods due to its surrogate modelling technique. Unlike the metaheuristic methods,
BO does not depend on the randomized sampling and evaluation of populations of candidate
solutions in every iteration. Instead, it uses the predictive distribution of a probabilistic
surrogate model (Rasmussen, 2003) trained on an evaluated dataset of solutions to determine
the most promising solution to evaluate next. This approach leverages the uncertainty of the
surrogate model to help balance exploration and exploitation of the search space, thereby
reducing the number of expensive evaluations needed in the retrieval process.

8 Previously developed retrieval processes have primarily been applied to aggregates with 9 monomers characterized by point-contact and monodispersity. Studies have shown that an aggregate can contain a range of monomer sizes with a degree of overlap (Dastanpour & Rogak, 10 11 2016; M. Eggersdorfer et al., 2012; Jourdain et al., 2023). These variations can significantly 12 affect properties such as size, surface area, and total mass. Consequently, integrating these 13 aspects into the retrieval process is essential to enhance its accuracy and broader applicability, 14 which is also the focus of this study. The following section explains the methodology of the MOO-based retrieval process, outlining the steps involved in the integration of the BO 15 16 technique for optimization.

### 1 **2. Methodology**

### 2 2.1. Multi-objective Optimization Preliminaries

3 A general MOO may be formulated with the goal of minimizing a vector-valued objective 4 function F(x), i.e.,  $F(x) = [f_1(x), \dots, f_m(x)]$ , where x is a candidate solution belonging to a search 5 space X (Ehrgott, 2005). Each component of F(x) symbolizes a mathematical description of a performance criterion that may be in conflict with the others. In this study,  $x = [N, k_f, D_f]$  forms 6 7 the fractal parameter vector used to generate candidate aggregate structures whose 2-8 dimensional and 3-dimensional properties give  $F(x) = [f_1(x), f_2(x)]; f_1(x)$  is based on 2-9 dimensional image features whereas  $f_2(x)$  is related to 3-dimensional properties of an 10 aggregate.

Unlike traditional single-objective optimization methods, such multi-objective problems typically yield a set of optimal solutions rather than a single unique solution. Some solutions may perform better with respect to  $f_1(x)$ , while others may excel in  $f_2(x)$ . Thus, a collection of trade-off solutions is obtained, known as the Pareto set. Key concepts that formalize the distinctive facets of MOO are defined below (Coello, 2000).

16 **Pareto Dominance:** Solution vector  $x_a$  is said to dominate  $x_b$  if  $f_i(x_a) \le f_i(x_b)$ ,  $\forall i$ , and  $\exists j$  such 17 that  $f_j(x_a) < f_j(x_b)$ .

Pareto-Optimal Solution: A solution is considered Pareto-optimal if it is not dominated by any other solution within the search space. In other words, no alternative solution exists that is equally effective across all objectives and strictly superior in at least one objective. Such a solution is also referred to as a non-dominated solution.

22 **Pareto Set:** The set of all Pareto-optimal solutions is called the Pareto set.

Pareto Front: The image of the Pareto set in the objective space forms the Pareto front,
showing trade-offs between the objectives.

### 25 2.2. Multi-Objective Optimization Framework for Aerosol Structure Retrieval

A bi-objective formulation of the aerosol structure retrieval problem is considered here. The first objective function is a combination of 2-dimensional properties of a candidate structure, whereas the second objective is derived from its 3-dimensional property. In what follows, details of the two objectives and their integration into a unified optimization framework are presented.

### 31 2.2.1. Objective function based on 2-dimensional features

Projected area (A<sub>proj</sub>), perimeter (P), maximum end-to-end length of projection (L<sub>max</sub>),
 maximum width perpendicular to maximum length (W<sub>max</sub>), 2-dimensional radius of gyration

(R<sub>g,2D</sub>), and 2-dimensional fractal dimension (D<sub>f,2D</sub>) are the 2-dimensional features used in the
study (Singh et al., 2024; Singh & Thajudeen, 2023). These properties are calculated by image
analysis using the box-counting method, a widely used technique (Panigrahy et al., 2020; So
et al., 2017; R. Wang et al., 2022). The complete procedure is detailed in our previous study
for reference (Singh & Thajudeen, 2023). The objective function (f<sub>1</sub>) based on these properties
is evaluated as,

7 
$$f_{1}(x) = \left[\frac{A_{\text{proj},T} - A_{\text{proj}}}{A_{\text{proj},T}}\right]^{2} + \left[\frac{L_{\text{max},T} - L_{\text{max}}}{L_{\text{max},T}}\right]^{2} + \left[\frac{P_{T} - P}{P_{T}}\right]^{2} + \left[\frac{R_{g2D,T} - R_{g2D}}{R_{g2D,T}}\right]^{2} + 8 \left[\frac{W_{\text{max},T} - W_{\text{max}}}{W_{\text{max},T}}\right]^{2} + \left[\frac{D_{f2D,T} - D_{f2D}}{D_{f2D,T}}\right]^{2}$$
(4)

9 where all notations are the same as defined earlier, with the subscript 'T' representing true or 10 input image properties, while properties without the 'T' subscript refer to the projection 11 properties of the candidate aggregate projection.

## 12 2.2.2. Objective function based on 3-dimensional properties

In this study, mobility diameter (d<sub>m</sub>) is chosen as the 3-dimensional property, forming the basis of the second objective function. It can be easily extended to other properties, including aerodynamic diameter. Aggregate samples are often collected using a DMA based on their electrical mobility diameter for subsequent image analyses. Similar to the first objective function, the second one is also the squared relative error between the input d<sub>m,T</sub> and the d<sub>m</sub> obtained from the candidate aggregate generated during optimization,

19 
$$f_2(x) = \left[\frac{d_{m,T} - d_m}{d_{m,T}}\right]^2$$
. (5)

The relationship between geometrical parameters, hydrodynamic radius (R<sub>h</sub>), orientationally averaged projected area (PA), and the mobility of aerosol particles is very well established (Thajudeen, Jeon, et al., 2015). We assume that all particles are singly charged. For non-spherical particles in different flow regimes, the expression for mobility is,

24 B = 
$$\frac{1 + \left(\frac{\lambda \pi R_{h}}{PA}\right) \left(1.257 + 0.4 * e^{-\frac{1.1PA}{\lambda \pi R_{h}}}\right)}{6\pi \mu R_{h}}$$
 (6)

where  $\mu$  is dynamic viscosity, and  $\lambda$  is the mean free path of the background medium, in this case, air. Mobility of a non-spherical particle can also be given in terms of the d<sub>m</sub> as,

27 B = 
$$\frac{1 + \left(\frac{2\lambda}{d_{\rm m}}\right) \left(1.257 + 0.4 * e^{-\frac{0.55d_{\rm m}}{\lambda}}\right)}{3\pi\mu d_{\rm m}}$$
. (7)

1  $d_m$  is calculated by solving Eqs. (4) and (5) as implicit functions. To compute the  $R_h$ , the 2 Smoluchowski radius (R<sub>S</sub>) estimation process is used, following the methodology proposed in 3 prior studies (Thajudeen et al., 2012; C. Zhang et al., 2012). The orientationally averaged 4 projected area (PA) is determined through the Monte Carlo simulation technique. These 5 processes become computationally expensive when frequent calculations are required for 6 aggregates with a large number of monomers. Thus, the time required to calculate  $d_m$  can range 7 from minutes to hours as the size of the aggregate increases. In studies where aggregates are 8 generated multiple times, such as Langevin simulations (Thajudeen, Deshmukh, et al., 2015) 9 or iterative optimization processes, the calculation of properties like d<sub>m</sub>, R<sub>h</sub>, and PA is required at each iteration. This frequent computation significantly increases the overall computational 10 11 cost. BO is known to be an effective algorithm for such kinds of optimization problems as its 12 use of computationally cheap surrogates of expensive objective function(s) helps accelerate the 13 search process.

#### 14 2.3. Multi-Objective Bayesian Optimization

In contrast to metaheuristic algorithms-based optimization, in any iteration of BO, the 15 16 available dataset of evaluated solutions is used to train probabilistic surrogate models 17 (Rasmussen, 2003) that serve as substitutes to the true (costly) objective functions. An 18 acquisition function (ascribing an approximate figure of merit to any candidate solution) is 19 defined based on the predictive probability distribution of the surrogate, which, when 20 optimized, yields a single solution for evaluation in the next BO iteration. The evaluated 21 solution is then appended to the dataset on which the surrogate model is retrained. These 22 iterations continue until convergence or until some predefined computational budget is 23 exhausted. The accuracy of the surrogate model improves as the model refines with each 24 iteration, provably guiding the search to converge to an optimal solution (Srinivas et al., 2010). 25 Compared to metaheuristic methods, BO entails significantly fewer expensive function 26 evaluation calls, and hence can be much faster in reaching the optimal solution.

Algorithm 1 outlines the steps for extending basic BO to the multi-objective setting, following a framework similar to the Pareto extension of the efficient global optimization algorithm (Knowles, 2006). A detailed discussion of each step is provided in the subsequent sections. The algorithm begins with a Latin Hypercube Sampling (LHS) of the search space, generating 'm' initial candidate solutions [N, k<sub>f</sub>, D<sub>f</sub>] that ensure a representative coverage of the parameter search space. These solutions are used to generate aggregate structures to get projections to estimate 2D features, which are compared with the input values along with the

- 1 3D properties of the aggregate structures. The number of initial candidate solutions is fixed as
- 2 (11|x|-1), where |x| represents the number of variables; in our case, |x| = 3 for [N, k<sub>f</sub>, D<sub>f</sub>]. This
- 3 formula is commonly used in previous BO studies, initially given in the works of Jones et. al.
- 4 (1998) and Knowles (2006). LHS is a stratified Monte Carlo sampling method that divides
- 5 each dimension into intervals and samples points from each interval, thereby resulting in a
- 6 well-distributed dataset of initial solution samples (Iman, 2008).

## 7 Algorithm 1: Multi-Objective Bayesian Optimization for Structure Retrieval

- 8 Inputs: Microscopic image features (2-dimensional properties), Aerosol properties of sampled
  9 aggregate (3-dimensional properties)
- 10 **Output:** Retrieved aggregate structure
- 11 **1. Initialization:** Apply LHS to generate an initial set of m = 11|x| 1 candidate solutions (x)
- 12 with different N, k<sub>f</sub>, and D<sub>f</sub> values and generate corresponding aerosol structures using
- 13 FracVAL. Evaluate objective functions for each candidate structure:  $f_1(x)$  based on projected

14 features and  $f_2(x)$  based on mobility diameter, to form a dataset  $D = \{(x_1, F(x_1)), (x_2, F(x_2)), (x_2, F(x_2)), (x_3, F(x_3)), (x_$ 

- 15 ...,  $(x_m, F(x_m))$ }
- 16 While the evaluation budget is not met, do
- 17
   2. Objective aggregation: Aggregate the two objective functions f<sub>1</sub>(x) and f<sub>2</sub>(x) into a
   18 single scalar value using a randomly sampled weight vector by Tchebycheff's method
   19 (see Section 2.3.1.)
- 3. Surrogate model building: Train a Gaussian Process (GP) regression model using
   dataset D to predict the aggregated objective value from fractal parameters (see Section
   2.3.2.)
- 4. Determining next solution to evaluate: Search for values of N\*, k<sub>f</sub>\*, and D<sub>f</sub>\* that
   optimize the acquisition function derived from GP predictions (see Section 2.3.3)
- 25 **5. Dataset update**: Use  $x^* = [N^*, k_f^*, D_f^*]$  to generate a new candidate structure with 26 FracVAL and calculate  $f_1$  and  $f_2$ . Update  $D \leftarrow D \cup \{(x^*, F(x^*))\}$  and  $m \leftarrow m + 1$
- 27 End While
- 6. Pareto Solution Selection: Identify the subset of non-dominated solutions in *D* and select
  the "knee" point as the final retrieved aggregate structure (see Section 2.3.4.)
- 30

# 31 2.3.1. Objective Aggregation Method

The fundamental idea behind Algorithm 1 is to decompose the multi-objective optimization problem into a set of single-objective subproblems, with a random subproblem considered in every iteration. Given a candidate solution x, represented by the parameters (N, k<sub>f</sub>, and D<sub>f</sub>), the original multi-objective problem involves two objective functions, f<sub>1</sub>(x) and f<sub>2</sub>

1 (x), based on 2-dimensional and 3-dimensional properties of the aerosol structure generated by 2 FracVAL, respectively. These objectives may however be of incommensurable scale. 3 Therefore, to enable meaningful aggregation of the objectives, each function  $f_i(x)$  is first 4 normalized to the range [0, 1] using the values observed in the dataset D. Following 5 normalization, the Tchebycheff scalarization method is applied in Step 2 of Algorithm 1 to 6 aggregate the objectives into a single weighted objective function (Knowles, 2006; Min et al., 7 2019; Q. Zhang et al., 2010). In each iteration of the proposed multi-objective BO algorithm, a weight vector, i.e.,  $\mathbf{w} = [w_1, w_2]$ , is randomly and independently sampled, ensuring  $\sum w_i = 1$ 8 9 and  $w_i \ge 0 \forall j$ . These weights are incorporated into forming the following optimization subproblem with the Tchebycheff scalarized objective function, 10

11 minimize:  $y_{\mathbf{w}}(x) = \max_{j} \{w_{j}f_{j}(x)\}; \quad j = [1,2].$  (8)

In simple terms, the Tchebycheff scalarization guides the search to move downwards (in the case of minimization problems) along the directional vector  $[w_2, w_1]$  in objective space. An important property of the resulting optimization dynamics is that the Tchebycheff method is compatible with both convex and non-convex Pareto fronts. The applicability of the more straightforward linear weighted sum of objectives, on the other hand, is limited to convex Pareto fronts (Min et al., 2021; Q. Zhang et al., 2010).

## 18 2.3.2. Surrogate Modelling with Gaussian Process

19 Notice that the Tchebycheff scalarized objective function  $y_w(x)$  has no simple 20 mathematical form as  $f_1(x)$  and  $f_2(x)$  are obtained from FracVAL simulations. These 21 simulations may moreover be expensive, adding to the challenge of solving the subproblem in 22 Eq. (8). To address this, BO involves training a probabilistic surrogate model to act as a computationally cheap substitute to the true costly function  $y_w(x)$ . The Gaussian process (GP) 23 24 regression model is a popular choice in this regard, due to its principled modelling of predictive 25 uncertainties (Min et al., 2019; Rasmussen & Williams, 2006; S. Zhang et al., 2022). 26 Uncertainty estimation is especially important in simulation-based global optimization 27 environments where an effective balance of exploration (in regions of large predictive 28 uncertainty due to data sparsity) and exploitation (in regions where the optimum is predicted 29 to exist) of the search space is sought. With more data being gathered with each iteration in 30 Algorithm 1, the GP improves its predictions across the search space, reducing uncertainty in 31 evaluated regions. By leveraging the surrogate model in this manner, BO substantially lowers 32 the need for costly function evaluation calls to  $f_1(x)$  and  $f_2(x)$ .

1 A GP is a stochastic approach to regression that extends the concept of multivariate 2 Gaussians to infinite dimensions (Rasmussen, 2003). It places a Gaussian distribution prior 3 over possible functions  $y_w$ , with the distribution completely specified by its mean (usually set 4 to zero) and covariance function k(x, x') (whose hyperparameters are tuned to maximize the 5 log marginal likelihood of the observed aggregated data). Once the original dataset, D is transformed into the aggregated form  $D_{\mathbf{w}} = \{(\mathbf{x}_i, \mathbf{y}_{\mathbf{w}}(\mathbf{x}_i))\}_{i=1}^m$ , the Gaussian prior can be 6 7 updated to give the posterior predictive distribution over function values at any new query point  $x_q$ . The predictive mean  $\mu(x_q)$  and variance  $\sigma^2(x_q)$  for the function at a new query point  $x_q$ 8 9 are then given by,

10 
$$\mu(\mathbf{x}_q) = \mathbf{k}_q (\mathbf{K} + \sigma_n^2 . \mathbf{I})^{-1} \mathbf{Y}$$
 (9)

11 
$$\sigma^2(\mathbf{x}_q) = \mathbf{k}(\mathbf{x}_q, \mathbf{x}_q) - \mathbf{k}_q(\mathbf{K} + \sigma_n^2 \cdot \mathbf{I})^{-1} \mathbf{k}_q^{\mathrm{T}}$$
 (10)

where  $Y = [y_w(x_1), y_w(x_2), ..., y_w(x_m)]^T$ ,  $k_q = [k(x_1, x_q), k(x_2, x_q), ..., k(x_m, x_q)]$  is the 12 covariance between the test point  $x_q$  and the training points  $(x_1, x_2, ..., x_m)$ , K is an m×m matrix 13 14 whose entries are the covariance between all training points,  $\sigma_n$  is a noise parameter, and I is the identity matrix. In this study, the squared exponential function is chosen as the covariance 15 16 function k(x, x') and the GPyTorch library (Gardner et al., 2018) is used for building the GP 17 model.

#### 2.3.3. Acquisition function 18

Given the trained probabilistic surrogate model, one way to approach the optimization 19 subproblem in Eq. (8) is to solve for x<sup>\*</sup> that minimizes  $\mu(x_q)$  as given by Eq. (9). However, 20 21 this ignores sparsely evaluated / underexplored regions of the search space where the predictive uncertainty,  $\sigma^2(x_q)$ , of the GP may be high, and therefore has the tendency of getting trapped 22 in spurious local minima. In order to address this shortcoming, an acquisition function that 23 24 combines both the predictive mean and the variance of the GP is typically defined in BO 25 frameworks. The acquisition function serves as a figure of merit, which, when optimized, yields 26 an uncertainty-informed solution x\* that offers a trade-off between exploration and exploitation 27 of the search space. While various acquisition functions have been proposed over the years (Shahriari et al., 2016; X. Wang et al., 2023), many of which may be applicable to the structure 28 29 retrieval problem, in this work, we employ the relatively simple lower confidence bound (LCB) 30 acquisition function. Specifically, instead of naively minimizing  $\mu(x_q)$ , with LCB, the optimization in Eq. (8) is approached by minimizing: 31

32 
$$LCB(x_q) = \mu(x_q) - \kappa \cdot \sigma(x_q)$$
 (11)

where  $\kappa$  is a user-defined parameter that controls the trade-off between exploration and exploitation. The search for  $x^* = [N^*, k_f^*, D_f^*]$  minimizing the LCB can ultimately be carried out using any preferred global optimization heuristic. In our implementation, the state-of-theart exponential natural evolution strategies (xNES) (Wierstra et al., 2008) is used for its known efficiency in low-dimensional search spaces.

One advantage of the LCB over many other acquisition functions is that κ can be freely
tuned to instil BO with desired search dynamics. Higher values of κ emphasize exploration,
while lower values focus more on exploitation. In this study, κ was chosen between 0.3 and
0.7, with any value within this range yielding effective results for the test cases considered.

10 2.3.4. Pareto Solution Selection

By the time the available function evaluation budget is exhausted, the iterative multiobjective BO algorithm yields a set of approximately Pareto optimal solutions. Figure 1 provides an illustration of a two-dimensional objective space containing all solutions generated during a single run of the BO algorithm, with the subset of non-dominated solutions (closest to being Pareto optimal) marked in red.





In Figure 1, six non-dominated solutions are identified for further analysis. To illustrate this, consider solutions 1 and 2 from the figure. Both solutions are non-dominated because neither is superior in both objectives; solution 1 offers better performance for  $f_1$ , while solution 2 is slightly better with respect to  $f_2$ . The six non-dominated solutions, including solutions 1 and 2, collectively constitute an approximation of the Pareto set. Each point in the set offers a

unique balance between the two objectives, thereby requiring an additional stage of decision making to determine a single preferred solution to the problem at hand.

3 In this study, the Pareto front is found to often be irregular and non-convex, indicating a 4 complex trade-off landscape among the objectives. Since it is difficult to provide explicit 5 preference information in such cases, a common heuristic strategy to determine a single 6 preferred solution from the Pareto set is to select a point in the middle of the Pareto front, where 7 the surface bulges out the most. This point is marked in Figure 1 with a green diamond. The 8 rationale behind the heuristic strategy is that such points are generally furthest from the 9 extremes of the Pareto front, and thus represent a well-balanced compromise among the various 10 objectives. In some disciplines, this bulge is informally referred to as the "knee" of the Pareto 11 front (Heidari et al., 2022). To locate the knee, both objectives of all non-dominated solutions 12 were normalized to the range [0, 1], following which the point with the minimum Euclidean distance to the origin was selected as the preferred solution. Thus, the aerosol aggregate 13 14 corresponding to this point was identified as the final retrieved structure.

The discussions heretofore outlined the multi-objective optimization approach via probabilistic surrogate model-based BO, incorporating both 2-dimensional image features and 3-dimensional properties of candidate aggregates generated by FracVAL. The algorithm can be further tailored to utilize any other 3-dimensional property-based objective function, such as the aerodynamic diameter. The detailed results and corresponding analysis are discussed in the following section.

## 1 **3.** Results and discussion

2 The proposed method was tested using both synthetic images generated from 3 computationally simulated aggregates and microscopic images of mobility-classified 4 aggregates. The synthetic test aggregates were created with varying fractal parameters, 5 accommodating up to 500 monomers, with  $D_f$  ranging from 1.3 to 2.4 and  $k_f$  from 0.9 to 1.6. 6 These synthetic images were derived from aggregates featuring monomers of a fixed radius of 7 15 nm. Test cases were randomly selected from the defined parameter ranges, with the 8 assumption that all aggregates were constructed with monodispersed monomers with point 9 contact. The testing was subsequently expanded to include synthetic aggregates with 10 monomers having polydispersity and overlapping. Finally, the methodology was applied to 11 microscopic images collected from welding fumes, further validating its applicability in 12 practical scenarios.

## 13 **3.1.** Bayesian optimization-based retrieval with single objective function

The proposed method was first tested with the single-objective optimization (SOO)based retrieval process and compared with previous retrieval methods to evaluate its effectiveness. The effectiveness of the Bayesian optimization-based retrieval process was evaluated using the same test cases. The retrieved fractal parameters and mobility diameters of the resulting structures are presented in Table 1.

**Table 1.** Retrieved fractal parameters and mobility diameters for synthetic aggregates using
 Bayesian optimization-based retrieval.

Case			Fracta	J (T)	J (0)	Function			
no.	N(I)	D <sub>f</sub> (I)	k <sub>f</sub> (I)	N(O)	$D_{f}(O)$	k <sub>f</sub> (O)	um(1)	um(O)	evaluations
1	50	1.8	1.3	50	1.80	1.35	183.6	185.1	55
2	50	2.0	1.1	55	1.90	1.46	177.5	191.6	65
3	100	1.8	1.3	106	1.96	1.05	259.6	263.3	48

21

22 The results are compared based on the number of function evaluations, as illustrated in 23 Figure 2. The comparison was made between the initial retrieval method, based on Particle 24 Swarm Optimization (PSO) and forward modelling method (Singh & Thajudeen, 2023), and 25 ML-based retrieval methods (Singh et al., 2024) developed in earlier studies. The number of 26 function evaluations was recorded when the objective function values reached an order of 10<sup>-</sup> <sup>3</sup>. For both prior retrieval methods, the number of function evaluations was determined by 27 28 multiplying the required iterations by the population size, which was consistently set at 20 for 29 each case.



Figure 2. Comparison of the number of function evaluations required by the Bayesian
 optimization-based retrieval process and the PSO-based retrieval process





Figure 3. Comparison of total retrieval time between different retrieval methods

5 The results indicate that the Bayesian optimization-based retrieval method requires the 6 least number of function evaluations across all tested aggregates across a wide range of fractal 7 parameters. This efficiency is further illustrated in Figure 3, where the computational time for 8 retrieval is compared. The total retrieval time encompasses the entire process, from aggregate 9 generation and projection property calculation to optimization. As the size of the aggregate increases, so does the generation time, leading to a proportional increase in total retrieval time. 10 11 For instance, obtaining the optimal structure of an aggregate with 500 monomers using traditional methods would take approximately 50 to 60 hours. In contrast, employing the 12 13 Bayesian method can reduce this time to just 5 to 6 hours, representing a significant 14 improvement over previous methods. This demonstrates the superiority of the Bayesian optimization-based retrieval method for determining aggregate structures for further analysis. 15

#### **1 3.2.** Multi-objective Bayesian optimization for aggregate retrieval

2 Given the demonstrated effectiveness of BO in the single-objective method, it was 3 extended to MOO. Two objective functions based on projected properties and mobility 4 diameter were used for evaluation, resulting in the Pareto set. The Pareto set was developed 5 with non-dominated (Pareto optimal) solutions in the search space. A solution is nondominated 6 if no solution improves one objective without causing a deterioration in at least one other 7 objective. The final candidate was chosen by identifying the solution on the Pareto front with 8 the minimum distance from the origin after normalization. The process was initially tested on 9 synthetic aggregates.





Figure 4 shows an input image of a synthetic aggregate with monodispersed and pointcontacted monomers. The input fractal parameters were N = 50,  $k_f = 1.3$ , and  $D_f = 1.8$ . The first step in the retrieval process involved the calculation of relevant 2-dimensional features. The mobility diameter of the input aggregates was  $d_m = 183.6$  nm. The plot in Figure 4(b) represents all the solutions (in blue circles), where  $f_{obj,1}$  corresponds to the values of the objective function 19

1 of the 2-dimensional properties, and fobj,2 corresponds to the objective function based on 2 mobility diameter. The point identified as the green diamond on the plot is considered as the 3 preferred solution, and the red squares represent non-dominated solutions. The fractal 4 parameters associated with this point were N = 50,  $k_f = 1.26$ , and  $D_f = 1.8$ . The most similar 5 aggregate and retrieved structure is presented in yellow. The predicted d<sub>m</sub> of the retrieved 6 aggregate was found to be 183.1 nm. The final retrieved structure is chosen from the set of 7 non-dominated solutions, as presented in Table 2. The table demonstrates the progression of 8 the results towards the preferred solution. This case was executed for approximately 200 9 iterations, with convergence towards these solutions starting after 50 iterations.

10 **Table 2.** Selection of the final retrieved structure from non-dominated solutions

No.	k	$\mathbf{D}_{\mathbf{f}}$	Ν	$\mathbf{f}_1$	dm	f <sub>2</sub>
1	1.35	1.74	52	0.077266	183.1	0.0000074
2	1.31	1.73	53	0.045675	181.8	0.0000961
3	1.26	1.80	50	0.046504	183.1	0.0000074
4	1.26	1.79	49	0.078079	183.4	0.0000012
5	1.26	1.80	49	0.092937	183.5	0.0000003

<sup>11</sup> 

12 **3.3.** Comparison between single and multi-objective optimization-based retrieval

13 The method was initially applied to different aggregate structures that were synthetically 14 generated, and the results are presented in Table 3a, and predictions of d<sub>m</sub> are in Table 3b. 15 Retrieval was performed using both single and multi-objective optimization (MOO) 16 approaches, with most retrieved parameters falling within a 10% error margin, demonstrating 17 the effectiveness of the MOO process in improving accuracy. In each case, the best solution 18 has been highlighted in bold for emphasis. The multi-objective approach showed an advantage 19 by selecting aggregates with 3-dimensional properties more closely resembling the input 20 aggregate, as presented in Table 4. This observation is supported by Figure 4(c), where the 21 optimal solution aligned well with both objectives.

22 While MOO outperforms SOO in most cases, SOO still performs well in a few instances. 23 This is expected, as SOO-based retrieval is a well-developed approach and remains effective 24 when no prior 3D information is available. However, when samples are collected based on a specific 3D property, MOO becomes the preferred method, as it integrates both 2D and 3D 25 26 information for improved accuracy. Table 3b further supports this, showing that MOO-based 27 retrieval consistently produces aggregates with better d<sub>m</sub> values compared to SOO. Therefore, 28 MOO is recommended when 3D information is available, while SOO remains useful when 29 only microscopic images are provided without prior 3D data.

- 1 Table 3a. Retrieval of test aggregates with various fractal parameters (input) and retrieved
- 2 parameters using both single and multi-objective optimization-based retrieval processes (best

3 results are in boldface)

Case	Fractal Parameter(s)			Single o	bjective opti	mization	Multi-objective optimization		
no.	N(I)	$D_f(I)$	$k_{f}(I)$	N(O)	$D_f(O)$	$k_{f}(O)$	N(O)	$\mathbf{D}_{\mathbf{f}}(\mathbf{O})$	k <sub>f</sub> (O)
1	50	1.8	1.3	50	1.80	1.35	50	1.80	1.26
2	50	2.0	1.1	55	1.90	1.46	52	2.05	0.91
3	100	1.3	1.4	103	1.41	1.5	100	1.37	1.39
4	100	1.8	1.3	106	1.96	1.05	98	1.86	1.11
5	150	2.2	0.9	138	2.15	1.28	149	2.21	1.22
6	200	1.3	1.4	188	1.52	1.52	210	1.31	1.29
7	250	1.8	1.3	250	1.85	1.32	239	1.79	1.27
8	250	2.3	1.0	229	2.28	1.11	255	2.27	1.04
9	300	1.3	1.4	287	1.2	1.53	313	1.34	1.41
10	300	1.8	1.3	296	1.91	0.93	297	1.85	1.32

4

5 Table 3b. Comparison between input and retrieved mobility dimeters using both single and

6 multi-objective optimization-based retrieval processes (best results are in boldface)

Case no.	N(I)	D <sub>f</sub> (I)	k <sub>f</sub> (I)	d <sub>m</sub> (I)	d <sub>m</sub> (O,soo)	d <sub>m</sub> (O,moo)
1	50	1.8	1.3	183.61	185.11	183.10
2	50	2.0	1.1	177.55	191.58	182.87
3	100	1.3	1.4	312.15	287.47	297.96
4	100	1.8	1.3	259.61	263.26	255.29
5	150	2.2	0.9	291.33	255.95	278.27
6	200	1.3	1.4	473.85	400.38	460.75
7	250	1.8	1.3	414.51	381.66	420.23
8	250	2.3	1.0	342.57	335.71	337.75
9	300	1.3	1.4	628.73	652.64	624.85
10	300	1.8	1.3	458.68	445.36	456.28

7

8 The visual representation in Table 4 highlights the comparison between the retrieved 9 structures obtained through single and multi-objective optimization-based retrieval processes. 10 The results demonstrate that the multi-objective approach yields more structurally similar 11 aggregates. Additionally, aggregates retrieved using the multi-objective method show better 12 similarity in both 2-dimensional and 3-dimensional properties and the fractal parameters, 13 further emphasizing its ability to align with the input data compared to the single-objective 14 approach.

- 15
- 16
- 17

1 **Table 4.** Comparison of retrieved structures using single and multi-objective optimization-2 based retrieval processes

Case no.	Input image and parameters (N, D <sub>f</sub> , k <sub>f</sub> , d <sub>m</sub> )	Single-objective BO optimization & d <sub>m,out</sub>	Multi-objective BO optimization& d <sub>m,out</sub>
Case 1	Solution Solution	Constants Consta	
	50, 1.8, 1.3, 183.6	185.1	183.1
Case 2		Ja Page	S - Paris
	50, 2.0, 1.1, 177.6	191.6	182.9
Case 3		263.3	3000 ANK
	100, 1.8, 1.3, 259.6	203.3	233.5
Case 4			States and
	150, 2.2, 0.9, 291.3	256.0	278.3
Case 5	Same of the second s	2 Martin	And a start of the
	200, 1.3, 1.4, 473.9	400.4	460.8

3

Additional validation has been done, including the calculation of relative errors between input and retrieved parameters (N, k<sub>f</sub>, D<sub>f</sub>) as well as actual and predicted d<sub>m</sub> values for SOO and MOO-based retrieval process, presented in Table 5; the test cases are based on Table 3.

7

Case				% Re	lative Error			
no.	N(SOO)	D <sub>f</sub> (SOO)	k <sub>f</sub> (SOO)	N(MOO)	D <sub>f</sub> (MOO)	k <sub>f</sub> (MOO)	dm(SOO)	d <sub>m</sub> (MOO)
1	0.0	0.0	3.8	0.0	0.0	3.1	0.81	0.28
2	10.0	5.0	32.7	4.0	2.5	17.3	7.90	3.00
3	3.0	8.5	7.1	0.0	5.4	0.7	7.91	4.55
4	6.0	8.9	19.2	2.0	3.3	14.6	1.41	1.66
5	8.0	2.3	42.2	0.7	0.5	35.6	12.15	4.48
6	6.0	16.9	8.6	5.0	0.8	7.9	15.51	2.76
7	0.0	2.8	1.5	4.4	0.6	2.3	7.93	1.38
8	8.4	0.9	11.0	2.0	1.3	4.0	2.00	1.41
9	4.3	7.7	9.3	4.3	3.1	0.7	3.80	0.62
10	1.3	6.1	28.5	1.0	2.8	1.5	2.90	0.52

1 **Table 5.** Relative errors between input and retrieved parameters (N,  $k_f$ ,  $D_f$ ) and actual and 2 predicted  $d_m$  values for SOO and MOO-based retrieval processes.

3

4

#### 3.4. Retrieval of aggregates with polydispersity and overlapping

5 Aggregated aerosol particles are composed of monomers that vary in size, a characteristic known as polydispersity. These particles exhibit a broad size distribution, ranging from a few 6 7 nanometers to several hundred nanometers in diameter (Dastanpour & Rogak, 2016; M. L. 8 Eggersdorfer & Pratsinis, 2012). Subsequently, these particles aggregate to form larger 9 structures composed of primary particles that also display polydispersity. Therefore, incorporating this aspect into the retrieval process is essential to enhance the versatility and 10 11 accuracy of the analysis, since real aggregates exhibit some level of polydispersity in the monomer size. The polydispersity can be determined with a geometric standard deviation  $\sigma_{p,geo}$ 12 13 and the geometric mean of the monomers size  $r_{p,geo}$  based on Eqs. (2), and (3) Monomers of 14 different sizes are generated and attached to the growing cluster by following the scaling law. 15 This feature is available in FracVAL and was exploited to generate candidate aggregates with 16 polydispersity.

17 Additionally, the monomers can overlap with each other due to sintering (M. 18 Eggersdorfer et al., 2012). The aggregates formed from combustion-generated nanoparticles 19 often exhibit overlapping between the monomers. The morphology can vary significantly due 20 to necking or overlap between monomers. Necking or overlap refers to non-point contacts 21 between adjoining monomers due to sintering or variations in combustion temperature, which 22 alter the overall morphology. This overlapping phenomenon requires careful consideration, as 23 excessive overlapping can result in the merging of adjacent monomers. The overlapping can 24 be quantified with the overlapping coefficient (V) as:

$$25 \quad V = 1 - \left| \frac{AB}{2r_p} \right| \tag{12}$$

where AB is the centre distance between the two adjoined monomers and the  $r_p$  is the radius of each monomer. Prior studies used this factor to limit the overlapping between the monomers (Morán et al., 2018; Oh & Sorensen, 1997). It was integrated into the FracVAL code to introduce controlled overlapping between monomers.

5 Initial tests were conducted using synthetic aggregates generated with FracVAL, which was adjusted to produce aggregates with varying degrees of polydispersity and overlapping. 6 The polydispersity index ranged from 1 to 2, and the overlapping index ranged from 0 to 0.5. 7 8 The results are presented in Table 6, which includes different polydispersity indices and 9 overlapping coefficients. This analysis provides insight into prediction accuracy by evaluating the retrieved values of N, k<sub>f</sub>, D<sub>f</sub>, and d<sub>m</sub> for different test cases. It shows that the MOO-based 10 11 retrieval processes perform well with structures having polydispersed monomers with a certain degree of overlap between them. 12

Table 6. Retrieved values of N, k<sub>f</sub>, D<sub>f</sub>, and d<sub>m</sub> for aggregates with varying polydispersity
 indices and overlapping coefficients

Case	N(I)	D <sub>2</sub> (I)	k (I)	6	OV	N(O)	$\mathbf{D}_{\mathbf{r}}(\mathbf{O})$	k.( <b>(</b> ))	d (II)	d (0)
no.	14(1)	$D_{f}(\mathbf{I})$	<b>K</b> f(1)	Op,geo	ŰV	$\Pi(0)$	$\mathbf{D}_{\mathrm{f}}(\mathbf{O})$	$\mathbf{K}_{\mathbf{f}}(\mathbf{U})$	<b>u</b> <sub>m</sub> ( <b>1</b> )	$\mathbf{u}_{\mathrm{m}}(\mathbf{O})$
1	50	1.8	1.3	1.2	0.2	50	1.91	1.15	180.5	184.6
2	50	2.0	1.1	1.2	0.2	49	1.94	1.14	174.1	179.1
3	100	1.6	1.6	1.2	0.2	99	1.65	1.37	263.6	254.1
4	100	1.8	1.3	1.1	0.2	95	1.77	1.19	247.8	251.1
5	100	1.8	1.3	1.2	0.1	99	1.76	1.06	258.1	247.4
6	100	1.8	1.3	1.2	0.3	99	1.84	1.20	242.4	254.2

15

Two test cases were used to demonstrate this retrieval process: In Case 2, the inputs were 16 N = 50,  $D_f = 2.0$ ,  $k_f = 1.1$ ,  $\sigma_{geo} = 1.2$ , with an overlapping coefficient of 0.2 and an input mobility 17 18 diameter for the second objective function of 174.2 nm. In Case 6, the inputs were N = 100,  $D_f$ = 1.8,  $k_f = 1.3$ ,  $\sigma_{geo} = 1.2$ , with an overlapping coefficient of 0.3 and an input mobility diameter 19 for the second objective function of 242.4 nm. The input images are presented in blue in Figure 20 5, while the retrieved projections and aggregates are shown in yellow. The parameters of the 21 retrieved structures are as follows: for case (a), N = 49,  $D_f = 1.94$ ,  $k_f = 1.14$  and the  $d_{m,out} =$ 22 179.1 nm; for case (b), N = 99,  $D_f = 1.84$ ,  $k_f = 1.20$  and  $d_{m,out} = 254.2$  nm. These predictions 23 24 demonstrate good agreement with the input values.



1

Figure 5. Retrieval of aggregates with polydispersity and overlapping of input (blue) and
 retrieved (yellow) aggregate structures.

### 4 **3.5.** Retrieval from microscopic images

5 The proposed retrieval method was further evaluated using microscopic images of 6 aggregates obtained from welding processes through scanning electron microscopy (SEM). 7 The test images are collected from fume particles generated by a wire additive arc welding 8 process. Aggregate samples are collected using a DMA with a fixed voltage, corresponding to 9 a fixed electrical mobility value. Silica wafer is positioned at the outlet of the DMA to collect 10 the particles, which is utilized to collect images using SEM.

11 The obtained images are processed using ImageJ software, and a Fortran code to extract 12 the required features. The 2-dimensional features, along with the measured mobility diameter, 13 are integrated into the retrieval process as an input. The retrieval process follows the proposed 14 methodology to obtain the aggregate structures. The test images used for retrieval were collected from aggregates exhibiting polydispersity and monomer overlap, which are key 15 16 factors for evaluation. ImageJ software is used to assess the monomer size distribution and 17 calculate the polydispersity and overlapping index. Figure 6 presents two test images used in 18 the retrieval process. The retrieval was configured for 5% monomer overlap, with a polydispersity index of 1.5, estimated through ImageJ by measuring the sizes of individual 19 20 monomers.

Figure 6 shows the best-matched projection highlighted in blue and the corresponding 3dimensional aggregate presented in yellow. The predicted fractal parameters for the image (a) with measured  $d_m$  of 500 nm are N = 45,  $D_f = 1.69$ , and  $k_f = 1.12$ . The mobility diameter of the retrieved structure is found to be 537.4 nm. Image (b) is collected with a  $d_m$  of 270 nm and the

- 1 predicted parameters of N = 42,  $D_f = 1.65$ , and  $k_f = 1.31$ . The corresponding predicted mobility
- 2 diameter for the retrieved structure is 303.9 nm. These results highlight the effectiveness of the
- 3 proposed method for real-time analysis of aggregates.



- 5 Figure 6. Retrieved structures of two mobility-classified aggregate images, a)  $d_m = 500$ nm and
- 6 b) 270nm, with the best-matched projection (in blue) and corresponding 3-dimensional
- 7 aggregate (in yellow).

## 1 4. Conclusion

2 In this study, a multi-objective Bayesian optimization-based retrieval method is 3 developed to retrieve 3-dimensional structures from microscopic images of aggregated aerosol 4 particles. The objective was to identify the optimal aggregate structures that exhibit the 5 maximum similarity to the input microscopic image based on projection or image features and 6 3-dimensional property, mobility diameter. Initial testing was conducted using a Bayesian 7 optimization-based retrieval process and compared with previously developed metaheuristic 8 optimization-based retrieval. BO was found to be better than prior methods. It required fewer 9 function evaluations and reduced retrieval time. It showed significant improvement in 10 computational efficiency, reducing the time required for aggregate retrieval from 11 approximately 50-60 hours to 5-6 hours for aggregates with 500 monomers.

12 The following tests involved comparing single-objective and multi-objective Bayesian methods focused on assessing their effectiveness in predicting fractal parameters and mobility 13 14 diameters. The results suggested that the multi-objective approach, which considers two 15 objective functions, consistently outperforms the single-objective method, particularly in terms of predicting mobility diameter (dm). Further testing involved synthetic aggregates with 16 17 polydispersity and overlapping, confirming the adaptability of the proposed method. The 18 method effectively handled aggregates with varying polydispersity indices (up to  $\sigma_{P,geo} = 2$ ) and 19 overlapping coefficients (ov = 0.5), demonstrating accurate predictions of fractal parameters 20 and mobility diameters with errors under the 10% range. Additionally, the methodology was 21 validated with real-time aggregates collected from welding conditions. The Bayesian 22 optimization-based retrieval method successfully predicted the parameters of aggregates with 23 a known mobility diameter, again with an error of less than 10%.

In conclusion, MOO, with Bayesian techniques, represents a fast and efficient method for retrieving aggregate structures. This method has proven successful across various cases, from synthetic test images to real microscopic images of aggregates. The study can also be extended to aggregates sampled based on other aerosol properties like aerodynamic diameter as the second objective function. The method demonstrates its versatility and potential for application in multiple areas requiring morphological analysis.

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7 8

# **Declaration of competing interest**

2 The authors declare that they have no known competing financial interests or personal 3 relationships that could have appeared to influence the work reported in this manuscript.

4

# 5 **CRediT authorship contribution statement**

Abhishek Singh: Writing –original draft, simulations, Algorithm development,
Methodology, Data analysis. Smruti Ranjan Jena: Algorithm development, simulations.
Abhishek Gupta: Conceptualization, Supervision, Review & Editing, Funding acquisition.
Thaseem Thajudeen: Conceptualization, Supervision, Review & Editing, Funding
acquisition.

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..., Supervision, R

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# **Highlights**

- Multi-objective optimization to predict 3-dimensional morphology from microscopic • images
- Bayesian Optimization for faster convergence •
- Second objective function includes apriori information of mobility diameter
- Retrieval time reduced by up to one-tenth of existing methods •
- Accounts for polydispersity in particle size and overlapping •

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The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this manuscript.

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