Uncertainty Quantification of Linear Scaling,

Machine Learning, and DFT Derived

Thermodynamics for the Catalytic Partial

Oxidation of Methane on Rhodium

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Abstract

Accurate and complete microkinetic models (MKMs) are powerful for anticipating

the behavior of complex chemical systems at different operating conditions. In hetero-

geneous catalysis, they can be further used for the rapid development and screening

of new catalysts. Density functional theory (DFT) is often used to calculate the pa-

rameters used in MKMs with relatively high fidelity. However, given the high cost

of DFT calculations for adsorbates in heterogeneous catalysis, linear scaling relations

(LSRs) and machine learning (ML) models were developed to give rapid estimates of

the parameters in MKM. Regardless of the method, few studies have attempted to

quantify the uncertainty in catalytic MKMs, as the uncertainties are often orders of

magnitude larger than those for gas phase models. This study explores uncertainty

quantification and Bayesian Parameter Estimation (BPE) for thermodynamic param-

eters calculated by DFT, LSRs, and GEMNET, a ML model developed under the

Open Catalyst Project. A model for catalytic partial oxidation of methane (CPOX)

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on Rhodium was chosen as a case study, in which the model's thermodynamic parameters and their associated uncertainties were determined using DFT, LSR, and GEMNET. Markov Chain Monte Carlo coupled with Ensemble Slice Sampling was used to sample the highest probability density (HPD) region of the posterior and determine the maximum of the a posteriori (MAP) for each thermodynamic parameter included. The optimized microkinetic models for each of the three estimation methods had quite similar mechanisms and agreed well with the experimental data for gas phase mole fractions. Exploration of the HPD region of the posterior further revealed that adsorbed hydroxide and oxygen likely bind on facets other than Rhodium 111. The demonstrated workflow addresses the issue of inaccuracies arising from the integration of data from multiple sources by considering both experimental and computational uncertainties, and further reveals information about the active site that would not have been discovered without considering the posterior.

Keywords

Micro-Kinetic Modeling, Bayesian Parameter Optimization, Linear Scaling, Machine Learning, Uncertainty Quantification

1 Introduction

The significance of heterogeneous catalysis extends across fields such as energy production, carbon dioxide conversion, and the synthesis of numerous chemicals, underlining its indispensable role in advancing sustainable and economically viable chemical processes. Accurate chemical models are important, especially in the context of catalyst screening and discovery, where having an accurate model prior to synthesizing a new catalyst could save time, money, and resources. Mean field microkinetic modeling (MKM) is a valuable tool to quantitatively describe the reaction rates and intermediates' thermodynamics of a process,

as it is less computationally taxing compared to spatially-resolved methods like Kinetic Monte Carlo. Therefore, MKM is often used for process design and theoretical catalyst screening.

To determine thermodynamics in MKM, Density Functional Theory (DFT) is a widely acknowledged quantum mechanical approach to study the energy of intermediates in a model. However, its computational expense for solid-state matter poses a challenge. Surrogates such as linear scaling relationships (LSRs) and machine learning (ML) models are developed to approximate the DFT results at much lower cost. LSRs connect the molecular binding energy to the binding energy of the atom(s) in a molecule that are bonded to the surface. They can be used to estimate the difference in adsorption energy of an adsorbate between one metal surface and another. In the context of MKM, LSRs help provide energy estimates for intermediates on different surfaces, so the material search space can be expanded for catalyst discovery. Previous studies show that LSRs can be applied in modeling many commercially important systems such as synthesis gas conversion, [18] oxygen reduction, [19] etc. However, LSRs are sometimes limited by the morphology of catalysts and the coverage of the adsorbates, and they appeared to fail on some alloy systems due to the site specificity and lateral interactions. In addition, utilizing LSRs still requires conducting a few Density Functional Theory (DFT) calculations on similar adsorption systems to establish the linear relationship.

Given the limitation of LSRs, machine learning (ML) models have been developed to estimate the molecular or atomic energy in a wider range of materials. There are various ML models to help accelerate heterogeneous catalysis modeling. This includes ML-aided potential energy surface construction, atomistic structure and potential estimation, and material designs (finding the optimal composition of materials). Both kinetics and thermodynamics evaluations in MKM can substantially benefit from ML models. In this study, ML-predicted thermodynamics are used. A neural network named GEMNET, developed under Open Catalyst Project (OCP), was picked to carry out the task. OCP has

been demonstrated to have good accuracy for energy and force estimation, and has been used in several works. 2930

DFT, LSRs, and ML models all have uncertainty associated with their predictions of species properties, which can be propagated forward through a MKM to reveal the uncertainty in quantities of interest such as turnover frequency, conversion, selectivity, etc. Previous studies have highlighted the importance of propagating energetic parameter uncertainties to industrial operating conditions. Beyond simply determining a "most probable" mechanism, analyzing possible reaction pathways within a given uncertainty space can reveal entirely different reaction pathways and active sites.

Bayes theorem proposes a method for incorporating the prior uncertainties of a model and the marginal probability of observed data as a means of generating a most probably set of parameters. The process for obtaining these credible values is referred to as Bayesian Parameter Estimation (BPE). BPE can also be used to generate the highest probability density (HPD) region around the most likely parameters, which in essence is an uncertainty that has been informed both by prior knowledge and experimental data. This requires comprehensively exploring the parameter space within the model, which can be difficult for a complex system with a large number of parameters. Various methods can be used to efficiently explore the uncertainty space, including surrogate models like polynomial chaos expansion, ³⁷ grid based approaches, ³⁸ and Monte Carlo simulation based methods. ³⁵ Monte Carlo methods are expensive, but they are applicable to almost any model, and can be made more efficient through sophisticated sampling methods. 39 Markov Chain Monte Carlo (MCMC) is particularly useful for model uncertainty quantification, because it implements a probability based approach to sampling, where the "jump" to the next sampled point is based on the probability relative to the previous point. BPE coupled with MCMC has been used successfully for surface chemistry models already in several studies, proving that it is a robust, albeit expensive, method for generating posteriors for catalytic systems. 3536

In this study, BPE was performed via MCMC sampling to reveal posterior uncertainties

in both the input species binding energies and the output molar flow rates. Quantifying the uncertainties in models generated using different thermodynamic calculation method (DFT, LSRs, and GEMNET model) provided a more informed basis for comparing them than simply analyzing the initial, unoptimized models.

This study establishes a workflow to optimize the model according to experimental and computational uncertainties. Data from varied sources are often incorporated in MKMs to reduce the number of DFT calculations or experimental values required, but this integration can introduce inaccuracies and inconsistencies. The proposed workflow improves the coherence of data calculated through different techniques, yielding results that align more closely with experimental observations than simply amalgamating the data without modification. The findings also illustrate that Bayesian Parameter Estimation (BPE) serves as a valuable tool for pinpointing species with inaccurate thermodynamics, paving the way for subsequent fine-tuning through DFT.

2 Methods

2.1 Microkinetic Model

The microkinetic model used was adapted from the original model developed by Mazeau et al. Briefly, this model was constructed using the Reaction Mechanism Generator (RMG), a Python-based tool for automatically constructing microkinetic models. For details on both the original CPOX model and how RMG works, one can refer to the previously cited papers. The model has 19 gas-phase species, 13 adsorbates, and 80 elementary reactions.

Following the adjustments of thermodynamic parameters according to DFT, LSRs, and GEMNET, the kinetics in the model were adjusted to account for the change in the activation energies as the adsorbate enthalpies of formation were varied. A well-accepted method for this is to use Brønsted-Evans-Polanyi (BEP) relations to linearly adjust the activation

energy for a given reaction based on the enthalpy change of the reaction. Doing this after the intermediates' energies are estimated creates a dynamic MKM where changes in the species' thermodynamics have a realistic effect on the activation energies. Unfortunately, the data for BEP relationships is often scarce for catalytic reactions because it relies on the calculation of multiple transition states, which can be a lengthy and expensive process for surface systems. Instead, this study used the Blowers-Masel approximation (BMA) to modify the reaction barriers, ⁴² as shown in Equation 1 and 2 below. The derivation of BMA parameters only needs the activation energy and reaction enthalpy of one reaction, circumventing issues related to data sparsity. A previous study has successfully implemented BMA in heterogeneous catalysis modeling. ⁴⁰

The model from Mazeau et al. was modified so that all of the surface reaction used Blowers-Masel relationships for dynamically calculating the activation energy, instead of using a static activation energy:

$$Ea = \begin{cases} 0 & \text{for } \Delta H_{rxn} < -4E_a^0 \\ \Delta H_{rxn} & \text{for } \Delta H_{rxn} > 4E_a^0 \\ \frac{\left(w_0 + \frac{\Delta H_{rxn}}{2}\right)(V_P - 2w_0 + \Delta H_{rxn})^2}{V_P^2 - 4w_0^2 + \Delta H_{rxn}^2} & \text{otherwise} \end{cases}$$
(1)

where

$$V_p = 2w_0 \frac{w_0 + E_a^0}{w_0 - E_a^0} \tag{2}$$

 E_a^0 is the intrinsic energy and equals the activation energy when $\Delta H_{rxn} = 0$, and w_0 is a parameter that, in the original derivation, represents the average of the bond dissociation energy of the broken bond and the bond being formed. Xu et al. showed that the activation energy Ea is highly insensitive to w_0 , so the only parameter that needs to be derived is E_a^0 .

The parameters used in the BPE were the enthalpies of formation for each surface species.

Defining the relationship between the activation energy and the enthalpy of each reaction

allowed the model to realistically change the kinetics of the microkinetic model. A complete BPE analysis could in theory include all of the parameters in the model, including the E_a and pre-exponential factor for each reaction. However, an analysis of this scale would be both computationally expensive and not useful for the task at hand, namely comparing the associated uncertainty for thermodynamic estimation methods.

2.2 Species Thermodynamics

2.2.1 Density Functional Theory Calculations

Density functional theory (DFT) calculations were performed with Quantum Espresso (QE) version 7.0 [43] 44] on 13 species on Rh(111) and 2 species on Rh(211). A complete list of these species and their prior uncertainties can be found in Table [1]. The BEEF-vdW functional was used for structure relaxations and uncertainty quantification. [45] The molecular structures were constructed with Atomic Simulation Environment (ASE). [46] Equation of state [47] was used to determine the lattice constant of the Rh cell with a wave function kinetic energy cutoff of 60 Ry and a well-converged Monkhorst-Pack mesh of $(15 \times 15 \times 15)$. The electron orbitals were broadened using the Mazari-Vanderbilt smearing method with the value of 0.01 Ry. The lattice constant was estimated as 3.85 Å, aligning well with the literature value. [48] $3 \times 3 \times 4$ Rh(111) and Rh(211) slabs were made with vacuum of 13 Å. The bottom 2 layers were fixed, and the top 2 layers in the slabs were relaxed by QE with a $(5 \times 5 \times 1)$ k-point grid and the same energy cutoff and smearing conditions as used for the lattice constant calculation. The adsorbates' gas-phase counterparts were relaxed in a gamma-centered $13 \times 13 \times 13$ Å cell until the forces fell below 0.01 eV/Å. The functional, energy cutoff, and the smearing methods were the same as for the slab calculations.

The relaxed gas-phase molecules were then placed on the ontop, bridge, fcc and hcp sites on the 111 surface and relaxed with the OCP calculator with the pre-trained GEMNET-OC-L-F²⁸ model until the atomic forces were under 0.05 eV/Å. All the unique sites on the 211 surfaces were identified by Pymatgen, and relaxed by the same OCP calculator.

The lowest energy structures were further relaxed with QE using the same settings as the slab relaxation until the atomic forces were under 0.01 eV/ Å. The vibration analyses were performed using ASE, and imaginary frequencies for physisorbed species were approximated as 12 cm^{-1} as discussed in Ref. The Rh(211) slab and adsorbate DFT calculations used the same settings as the Rh(111) surfaces.

The microkinetic models used the NASA 7-coefficient polynomial parameterization to describe heat of formation ΔH , entropy S, and temperature-dependent heat capacity C_p at low and high temperature ranges. The polynomial parameters can be determined from heat of formation at 0 K and vibrational frequencies through partition functions. The routine reported by Blondal et al. 22 was used in this study to generate the parameters. For the cases where the first 2 frequencies are less than 100 cm⁻¹, a 2D gas model was applied instead of the harmonic oscillator approximation. To calculate heat of formation at 0 K of an adsorbate, the energy of its gas-phase precursor is calculated and corrected to align with Active Thermochemical Tables (ATcT), and the zero-point corrected adsorption energy is added on top of the ATcT corrected energy of the gas-phase precursor. As reported by Klippenstein et al., 55 a reference reaction should be used to reduce the error introduced by different wave functions. Therefore, a similar hypothetical reaction shown in Eq. 3 was used to describe the heat of formation of any species formed by a combination of H, C, N, and O.

$$a\mathrm{CH_4(g)} + b\mathrm{H_2O(g)} + c\mathrm{NH_3(g)} + (\frac{d}{2} - 2a - b - \frac{3c}{2})\mathrm{H_2(g)} \longrightarrow \mathrm{C_aO_bN_cH_d(g)} \tag{3}$$

The heat of formation of the hypothetical reaction Eq. 3 can be written as Eq. 4

$$\Delta H_{\rm rxn,DFT}({\rm g}) = E_{\rm DFT}^{\rm C_aO_bN_cH_d(g)} - aE_{\rm DFT}^{\rm CH_4(g)} - bE_{\rm DFT}^{\rm H_2O(g)} - cE_{\rm DFT}^{\rm NH_3(g)} - (\frac{d}{2} - 2a - b - \frac{3c}{2})E_{\rm DFT}^{\rm H_2(g)}$$
(4)

where $E_{\rm DFT}^{\rm species(g)}$ is the zero-point-corrected energy of a species calculated by DFT, in this case the BEEF-vdW functional. The heat of formation of species $C_aO_bN_cH_d$ corrected by

ATcT reference values can be calculated using Eq. 5.

$$\Delta_{\rm f} H_{\rm 0K,DFT}^{\circ,{\rm C_aO_bN_cH_d(g)}} = \Delta H_{\rm rxn,DFT}({\rm g}) + a\Delta_{\rm f} H_{\rm 0K,ATcT}^{\circ,{\rm CH_4(g)}} + b\Delta_{\rm f} H_{\rm 0K,ATcT}^{\circ,{\rm H_2O(g)}} + c\Delta_{\rm f} H_{\rm 0K,ATcT}^{\circ,{\rm NH_3(g)}} + (\frac{d}{2} - 2a - b - \frac{3c}{2})\Delta_{\rm f} H_{\rm 0K,ATcT}^{\circ,{\rm H_2(g)}}$$
 (5)

The heat of formation of the adsorbed $C_aO_bN_cH_d$ is then calculated by Eq. [6]

$$\Delta_{\rm f} H_{\rm 0K,DFT}^{\rm C_aO_bN_cH_d*} = \Delta_{\rm f} H_{\rm 0K,DFT}^{\circ,\rm C_aO_bN_cH_d(g)} + \Delta H_{\rm 0K,ads}^{\rm C_aO_bN_cH_d*} + \Delta_{\rm f} H_{\rm ref,metal}^{\circ}$$

$$\tag{6}$$

 $\Delta_{\rm f} H^{\circ}_{\rm ref,metal} = 0$ for rhodium and platinum because they are not included in ATcT. $\Delta H^{\rm C_aO_bN_cH_d*}_{\rm 0K,ads}$ is the adsorption energy of $\rm C_aO_bN_cH_d*$ which can be calculated through Eq. [7]

$$\Delta H_{\text{0K,ads}}^{\text{C}_{\text{a}}\text{O}_{\text{b}}\text{N}_{\text{c}}\text{H}_{\text{d}}*} = E_{\text{ZPE}}^{\text{C}_{\text{a}}\text{O}_{\text{b}}\text{N}_{\text{c}}\text{H}_{\text{d}}*} - E^{\text{metal}} - E^{\text{C}_{\text{a}}\text{O}_{\text{b}}\text{N}_{\text{c}}\text{H}_{\text{d}}(g)}$$

$$(7)$$

 $E_{\rm ZPE}^{\rm C_aO_bN_cH_d*}$ is the zero-point corrected energy of the adsorbed $\rm C_aO_bN_cH_d*$ calculated by DFT, $E^{\rm metal}$ is the DFT-calculated metal slab energy, $E^{\rm C_aO_bN_cH_d(g)}$ is the DFT-calculated energy of the gas-phase species.

2.2.2 Linear Scaling Relations

The model for methane catalytic partial oxidation model on Rh(111) from Mazeau et al. was initially developed with RMG using linear scaling relations (LSR) to scale the species binding energies from Pt(111) data. The thermodynamics on Pt(111) were obtained using a calculator different from the one used in this work, and the uncertainties were not reported. To make the LSR-estimated thermodynamic data and uncertainties consistent with the DFT calculations on Rh in this work, the species' thermodynamic parameters on platinum were recalculated using the same workflow discussed in Section 2.2.1. The polynomial parameters for each species were then modified to describe the thermodynamics based on the LSR correction from Pt to Rh, using Equation 8:

$$E_{spec,Rh} = E_{spec,Pt} + \left(\frac{X - X_m}{X_m}\right) \left(E_{A,Pt} - E_{A,Rh}\right) \tag{8}$$

Where E_{spec} is the binding energy of the specific species, and E_A is the binding energy of the adatom (C, H or O). X and X_m are the bond order and the total possible bond order for the adatom ($X_C=4$, $X_H=1$, $X_O=2$) on Pt(111). The four physisorbed species were not scaled from Pt(111) to Rh(111) because traditional LSRs cannot be applied to those species. Since the binding for each of these species is relatively weak (i.e. X=0), the values and uncertainties were kept the same across all of the models used in this study.

2.2.3 Open Catalyst Project Neural Network Calculator

The relaxed slab and gas-phase molecules were prepared as described in Section [2.2.1]. The gas-phase molecules were placed on the top of the Rh(111) slab, and the OCP calculator loaded with the GEMNET-OC-L-F model was used in ASE to relax the structures until the forces were below 0.01 eV/Å. The vibrational analyses were performed in ASE with the same OCP calculator. For the calculation of adsorbate heat of formation at 0 K, The OCP project reported different reference molecules to calculate the heat of formation of gas-phase molecules, so the hypothetical equation was changed to Equation [9]

$$a\mathrm{CO}(\mathrm{g}) + (b-a)\mathrm{H}_2\mathrm{O}(\mathrm{g}) + (\frac{d}{2} - b + a)\mathrm{H}_2(\mathrm{g}) + \frac{c}{2}\mathrm{N}_2(\mathrm{g}) \longrightarrow \mathrm{C_aO_bN_cH_d(g)}$$
(9)

As the result, the workflow described in 2.2.1 was changed accordingly.

2.3 Reactor Simulation

The resulting models with thermodynamics derived from DFT, LSR, and OCP were loaded into a simulated packed bed reactor in Cantera. This reactor was modeled after the experimental setup used by Horn et al. Currently Cantera cannot solve the differential algebraic equations to simulate a packed bed reactor directly, so a series of 700 continuously stirred

tank reactors containing a set catalyst surface area were used to approximate the capillary reactor used in the Horn experiments. The reactor had an inner diameter of 16.5 mm, and a length of 70 mm. The catalyst foam occupied 10 mm of the total reactor length, starting after a 10 mm inlet, and followed by a 50 mm outlet, both containing no catalyst. The porosity of the catalyst was 0.81, and the surface area to volume ratio was 1.6×10^{-4} m²/m³.

The gas feed to the reactor was stoichiometric, meaning the ratio of the molar flow rate of $\mathrm{CH_4}$ to the molar flow rate of $\mathrm{O_2}$ was 0.5. Argon was used as an inert carrier gas, with an $\mathrm{Ar/O_2}$ ratio of 79/21. The total feed flow rate was 4.7 slpm (0.208 mol/min).

The heat transfer for the reactor used by Horn et al. was actually quite complex, as noted in reference 12 Including a fully resolved energy equation for this system would have required assuming a heat transfer model, then iteratively solving the heat transfer equation down the reactor to produce a wall temperature profile, and then resolving this wall temperature with the energy generated within the reactor due to chemical reactions. This iterative approach would have been prohibitively time-consuming for BPE using Monte Carlo methods. Instead, the experimental temperature profile observed by Horn was imposed on the Cantera reactor, and the energy equation was turned off for the simulation.

2.4 Prior and Experimental Uncertainties

2.4.1 Prior Uncertainties

The posterior uncertainties for the surface species in the CPOX model were determined using Bayesian Parameter Estimation (BPE), which is discussed later in Section 2.5. A wrapper for the Cantera model was constructed that accepted the enthalpies of formation (H_f°) for each of the 13 surface species in the model, along with the uncertainties associated with the method used (DFT, LSR, OCP) for that particular species. The model outputs were the flowrates for gas-phase CH_4 , CO_2 , CO, O_2 , and H_2 . Only readings over the catalyst bed were taken into account (10mm to 20mm), due to the lack of change in the concentrations over the rest of the reactor.

Because BEEF-vdW is a Bayesian estimation based approach, the uncertainty can be estimated with 2000 perturbations on the exchange-correlation functional. A Gaussian distribution was constructed with the 2000 energy ensemble, and the 2σ of this distribution was used as the uncertainty for the DFT calculations. The DFT uncertainties were calculated for the gas-phase species used in the work function (Eqation 3), the slabs, and the asorbates. The uncertainties were then propagated through Eq. 7 to calculate the binding energy uncertainty. BEEF-vdW was trained using diverse datasets representing bonding in both chemical and condensed matter systems, so the uncertainty of adsorption systems tends to be overestimated. As such, a factor of 0.683, employed in prior studies, was used to correct the binding energy uncertainty.

For this study, the uncertainty of the species' entropy was not taken into account, although it should be noted that this value is not zero 15960. However, for this model, all of the surface species are small molecules with relatively constrained degrees of freedom, so it was deemed reasonable to neglect. Thus, only the uncertainty in the species enthalpy was considered. The enthalpic portion of the uncertainty was quantified by determining the uncertainty in each species binding energy, and then using that as the uncertainty in the $H_f^{\circ 298}$ for each species. The uncertainty in the binding energy was supplied as $P(\theta)$ to the DFT model. The average 2σ error for species calculated using DFT was 0.299 eV.

For linear scaling the uncertainties were estimated as follows. There were two sources for the uncertainty: the actual DFT measurements for atomic and species binding energies, and the uncertainty of the linear scaling relations themselves. The values for the uncertainty in the linear scaling trends were derived from the original Abild-Pedersen paper. This was simply the sample standard deviation for the trend line residuals for CH, CH₂, CH₃, and OH. An example of a linear scaling plot for CH₃, along with its residuals, is shown in Figure

The aggregate uncertainty was calculated by propagating the error through Equation 8

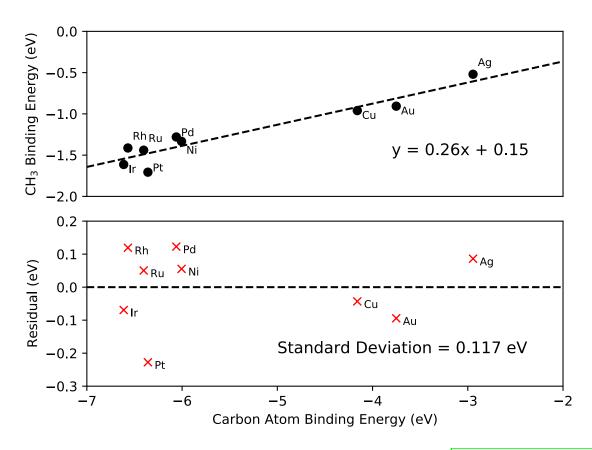


Figure 1: The CH₃ linear scaling relationship plot with data from Abild-Pedersen *et al.* ^[13] (top plot, black circles), along with the residuals for each metal (bottom plot, red crosses) and their standard deviation.

for the species enthalpy:

$$\sigma(E_{spec,Rh}) = \sqrt{\sigma^2(E_{spec,Pt}) + R_{LSR} + \frac{X_m - X}{X_m}(\sigma^2(E_{A,Rh}) + \sigma^2(E_{A,Pt}))}$$
(10)

Where R_{LSR} is the residual uncertainty mentioned for the bound atom and bond order corresponding to each species. The average 2σ error for species calculated using the LSR model was 0.424 eV.

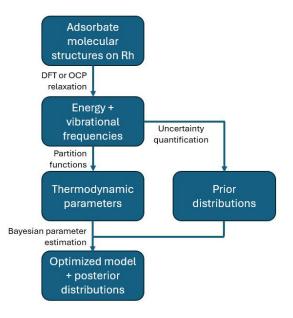
The uncertainty for the Open Catalyst Project model was estimated using the MAE for the GEMNET-OC-L-F model reported in the OC20 dataset. [16] To account for the underlying uncertainty in the original DFT calculations used to train the model, the model MAE (0.239 eV) was added to the DFT error for each species:

$$\sigma(E_{spec}) = \sqrt{(\sqrt{\frac{\pi}{2}} * MAE_{OCP})^2 + \sigma(E_{spec,DFT})^2}$$
(11)

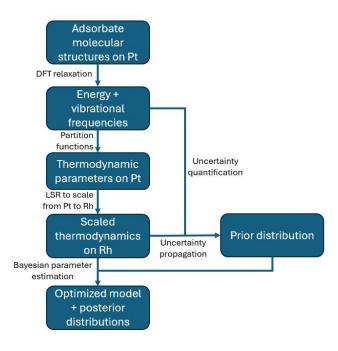
The factor of $\frac{\pi}{2}$ was included to convert the MAE to a standard deviation, assuming all of the model errors are normally distributed. The average 2σ error for species calculated using the OCP model was 0.381 eV. The priors for all three models (DFT, LSR, OCP) can be found in Figure 4 and Table 1. The overall thermodynamic uncertainty workflows for the DFT, LSR, and OCP models are shown in Figure 2.

2.4.2 Experimental Uncertainties

The error for the output molar flow rates were all taken to be 5% of the total molar flow rate. Horn et al⁵⁷ report uncertainties in the atom balances for H, C, and O, which gave uncertainties between 1% and 13% for each atom. Unfortunately, there are no details for specific uncertainties at each point in the reactor. Selection of 5% error for all species was somewhat arbitrary, but a convergence study was performed using 10% and 2.5% error, with negligible differences between the models. Details of this study can be found in the supplementary data.



(a) DFT and OCP workflows



(b) LSR workflow

Figure 2: Figures of uncertainty estimation and BPE workflows for LSR, DFT, and OCP models, (a) shows the workflow for DFT and OCP estimated thermodynamics, (b) shows the workflow for LSR estimated thermodynamics

2.4.3 Covariance Matrix Generation

Many parameter errors are correlated in surface chemistry models. To investigate the effect of accounting for the correlation between parameters, this study was conducted using both the uncorrelated 2σ prior uncertainties and a prior covariance matrix. Since BEEF-vdW supplies an ensemble of 2000 values, an estimate of covariance can be obtained by performing the calculations referenced in Equations 4 through 7 on each of the energies obtained in the 2000 energy ensemble. This results in 2000 values of $\Delta H_{0K,ads}$ for each species. Equation 12 was used for each of the 169 pairs of species, resulting in a 13x13 grid of values.

$$cov(x,y) = \frac{\sum_{i=1}^{n} (x_i - \bar{x})(y_i - \bar{y})}{n-1}$$
(12)

Where x and y are the $\Delta H_{0K,ads}$ entries for each pair of species in the model, and n corresponds to the ensemble of 2000 energies generated using the BEEF-vdW functional. The LSR model used a similar method to calculate the covariance matrix, using the ensemble of values generated for each species on platinum instead of rhodium. The residual error from linear scaling (R_{LSR}) in Equation $\overline{10}$ was not used as a single value in the uncertainty calculations. Instead, each member of the 2000 member ensemble was run through the linear scaling equation 2 million times, using a random sample from a normal distribution with $\sigma = R_{LSR}$ in place of the single value used for the residual error. The resulting ensembles of binding energies for each species were then run through Equation $\overline{12}$ to generate the covariance matrix.

2.5 Parameter Estimation and Uncertainty Quantification

Bayesian Parameter Estimation (BPE) requires prior knowledge of uncertainties for both the model inputs and outputs, as can be seen in Bayes theorem (Equation 13):

$$P(\theta|D) = \frac{P(D|\theta)P(\theta)}{P(D)} \tag{13}$$

In this case θ represents a vector of the surface species enthalpies of formation (H_f°) and D is the observed output flow rates for $\mathrm{CH}_4,~\mathrm{CO}_2,~\mathrm{CO},~\mathrm{O}_2,~\mathrm{and}~\mathrm{H}_2.~P(\theta),$ or the prior, represents the probability distribution of the species enthalpies of formation from Section [2.4.1] and P(D) represents the probability distribution of the experimental mole fractions determined in Section 2.4.2. The likelihood $P(D|\theta)$ and the posterior $P(\theta|D)$ are both distributions themselves, and can be generated by creating successive samples of the prior values and running them through the simulated reactor specified in Section 2.3. Sampling of the posterior was performed using Markov Chain Monte Carlo (MCMC), an algorithm that proposes random jumps in parameter space and either proceeds with the jump or does not based on the probability of the jump destination. This algorithm was used to sample the highest probability density (HPD) region of the posterior. MCMC sampling was performed using the Zeus package, 39 which used a modification of the MCMC algorithm known as Ensemble Slice Sampling (ESS). [63] This approach allowed MCMC chains to run in parallel, and communicates information about all active chains (i.e. the ensemble) to determine the direction of the next jump in parameter space. The Zeus package, as well as utilities for inputting priors, experimental data, and other parameters necessary for BPE, are conveniently wrapped in the Parameter Estimation and Uncertainty Quantification for Science and Engineering (PEUQSE) package, ⁶⁴ which was employed for this study. 52 independent MCMC chains ran in parallel on 52 CPU cores, with an initial distribution spread of 0.25 and a filter coefficient of 1.0.

For a well sampled system, the maximum of the a posteriori distribution (MAP), i.e. the most likely values for a given parameter set, should fall within the HPD region. For Bayesian parameter estimation, the MAP values and their corresponding HPD regions represent the "feasable set" of values and their uncertainties when both the experimental data and prior uncertainties are considered. The quality of sampling was quantified by examining the autocorrelation time (ACT) for each chain, along with observations that the HPD region and MAP were converged at stable values.

Most of the posterior distributions were deemed to be well-sampled within $\sim 100,000$ samples post burn in. The one outlier was the correlated DFT model, which required $\sim 1,000,000$ samples before the ACT assumed a stable value for all chains. The ACT plots for each model can be found in the supplementary data.

3 Results and Discussion

3.1 Thermodynamic Data

There are 13 adsorbates in the model, none of which are larger than C1. As mentioned in Section [2.4.1], small molecules adsorbed on a surface generally have negligible contributions from their rotational and translational modes, so the uncertainty in the entropy was not considered. Consequently, only the uncertainties of species enthalpy were estimated and considered in the reactor simulations. The full thermodynamic data estimated by the DFT, OCP and LSR models for each species can be found in the supplementary material.

Similar to the enthalpy for adsorbed CH₂ in Figure 3a the enthalpy obtained through DFT, LSR and OCP were within the DFT uncertainty for most of the species in the model. However, the enthalpy estimated by LSR and OCP for adsorbed carbon monoxide (CO*) and hydroxide (CH₃*) are outside of the DFT uncertainties as shown in Figure 3b and 3c. The CO* enthalpy of formation difference is about 40 kJ/mol between OCP and DFT, whereas the LSR estimation agrees well with DFT. The enthalpy disagreement for CH₃* is 40 kJ/mol between LSR and DFT and about 20 kJ/mol between OCP and DFT. It is clear that using the LSR and OCP models to generate the thermodynamic data in micro-kinetic modeling is reasonably reliable compared to DFT results for small molecules, considering the relative uncertainties inherent in DFT. The largest enthalpy disagreement of LSR and OCP to DFT is about 60 kJ/mol among all the species in the model. The thermodynamic comparison for the rest of species in the model can be found in the supplementary material.

Figure 4 and table 1 compare the binding energy and the uncertainty of each species

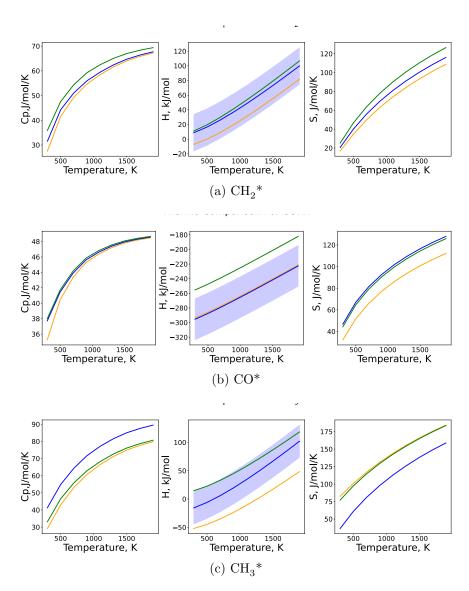


Figure 3: Heat capacity, enthalpy, and entropy comparison for three species estimated through DFT (blue), LSR (orange), and OCP (green), the blue band represents the uncertainty of the DFT method

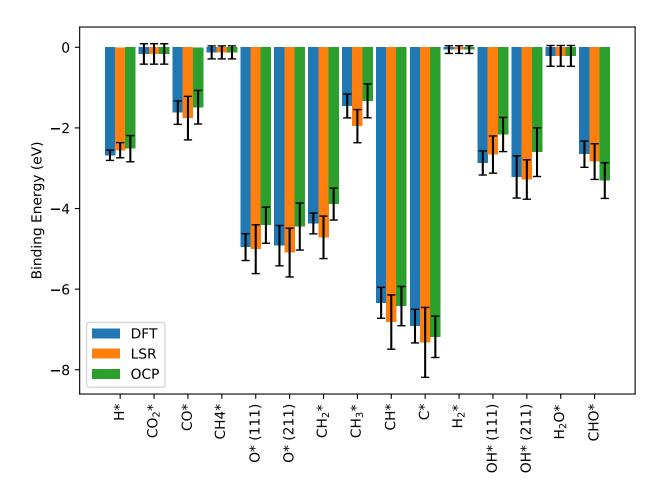


Figure 4: The binding energy and uncertainty of each species estimated by DFT, LSR and OCP methods. The 2σ values of the prior distribution are used as the error bars in black

Table 1: Prior values and 2σ uncertainties for all surface species in the DFT, LSR, and OCP models.

Species	DFT Prior (eV)	LSR Prior (eV)	OCP Prior (eV)
H*	-2.68 ± 0.13	-2.55 ± 0.19	-2.52 ± 0.33
CO_2^*	-0.17 ± 0.25	-0.17 ± 0.25	-0.17 ± 0.25
CO*	-1.62 ± 0.29	-1.76 ± 0.54	-1.49 ± 0.42
CH4*	-0.13 ± 0.16	-0.13 ± 0.16	-0.13 ± 0.16
O* (111)	-4.96 ± 0.33	-5.01 ± 0.61	-4.41 ± 0.45
O^* (211)	-4.92 ± 0.50	-5.09 ± 0.61	-4.45 ± 0.58
$\mathrm{CH_2}^*$	-4.37 ± 0.26	-4.71 ± 0.53	-3.89 ± 0.40
$\mathrm{CH_3}^*$	-1.46 ± 0.30	-1.96 ± 0.41	-1.33 ± 0.42
CH*	-6.34 ± 0.38	-6.82 ± 0.67	-6.42 ± 0.49
C*	-6.92 ± 0.42	-7.32 ± 0.87	-7.18 ± 0.51
$\mathrm{H_{2}}^{*}$	-0.058 ± 0.095	-0.058 ± 0.095	-0.058 ± 0.095
OH* (111)	-2.87 ± 0.30	-2.66 ± 0.46	-2.16 ± 0.42
OH* (211)	-3.22 ± 0.52	-3.28 ± 0.49	-2.60 ± 0.60
H_2O^*	-0.21 ± 0.26	-0.21 ± 0.26	-0.21 ± 0.26
CHO*	-2.65 ± 0.33	-2.84 ± 0.44	-3.31 ± 0.44

estimated by the three methods. The convention recommended by Ruscic for thermochemical uncertainties is used in Figure 4 and throughout this paper, i.e. reporting the 2σ values as the uncertainties, since they encompass approximately 95% of a normal distribution. These uncertainties were used as the prior distribution in the Bayesian Parameter Estimation (BPE), as described in Section 2.5.

As noted earlier, the DFT calculated values were used for all of the physisorbed species, namely CO_2^* , CH_4^* , H_2^* , and H_2O^* . The binding energies agree well among the 3 methods for species H^* , CO^* , and C^* , but some of the LSR and OCP values fall outside the 2σ DFT uncertainty range for the remaining species. The largest difference between the DFT and the LSR model was CH_3^* with a difference of 0.5 eV. The largest difference between the DFT and OCP calculated binding energies was OH^* on Rh(111), with a difference of 0.71 eV. Note that the adsorbed hydroxide and adsorbed oxygen are shown for both the Rh(111) and Rh(211) surfaces. The details will be discussed further in Section 3.2 but generally this was done to determine which was the most likely binding site for these species. Overall, the binding energy estimated by LSR is closer to DFT than OCP is to DFT, and the OCP

uncertainties are higher than LSR and DFT uncertainties. Given the lack of a sophisticated method for calculating the priors, the binding energy uncertainty of OCP method are likely overestimated.

3.2 Optimized Thermodynamics

The prior and posterior probability densities for each of the species used in the model can be found in Figure [5], along with the MAP values for the species binding energies.

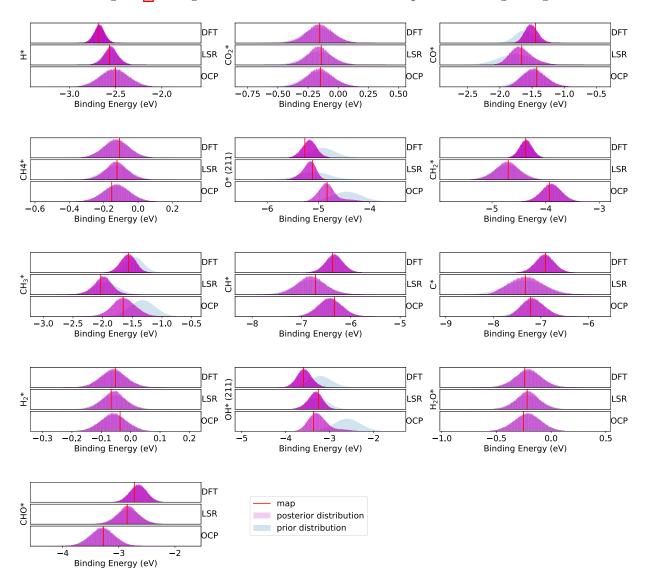


Figure 5: Prior distribution (blue shaded area), posterior distribution (pink shaded area) and the MAP value (red vertical line) for every adsorbed species in the model.

On the whole, the posteriors for all of the species are symmetric, with the exception of OH^* and O^* , which are suspected to have an alternative binding site, and will be discussed momentarily. It is quite surprising that these species are the only ones with asymmetric posteriors, which are quite common in similar studies due to the complex and nonlinear dependence of reaction rates on the species enthalpies. For some species, the lack of skewness and kurtosis in the posterior can be explained by examining the sensitivities of the species within the model. In general, physisorbed hydrogen (H_2^*) and methane (CH_4^*) , along with adsorbed carbon (C^*) , methylidine (CH^*) , and formyl (CHO^*) have little effect on the outlet molar flow rates or model observables. Figure G shows the first order sensitivities of the methane conversion to all of the species in the model. The sensitivity plots for a number of other observables $(CO/CO_2$ selectivity, O_2 conversion, etc.) can be found in the supplementary material, but overall a lack of sensitivity to these species was observed for all benchmarks used. Since the model is insensitive to these species, their posterior distributions are very similar to their prior distributions.

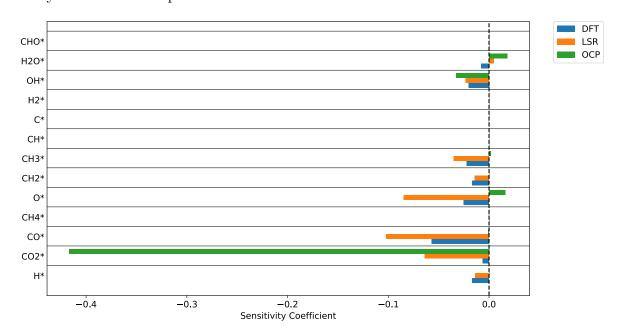


Figure 6: Sensitivity plot of CH₄ conversion to the binding energy of each species

There is a trend in the $\mathrm{CH_3}^*$ posteriors to have a slightly stronger binding energy than predicted a priori for all three models. Prior studies with γ -Al₂O₃ supported rhodium

nanoparticles show evidence that 1) the active sites are on the metal surface for this mechanism, not the support, 6768 and 2) CH₄ conversion both with and without gas-phase O₂ increases with decreasing particle size, which indicates that the active sites are likely edge/step sites. The lower coordination of the step sites means that species will likely bind more tightly to them.

The opposite trend is observed for CO*, with the posteriors showing a slightly weaker binding energy than the priors. It is possible that this is due to coverage dependence not being included in the microkinetic model. Higher oxygen coverage at earlier times in the reactor would limit the rate of formation of CO and the adsorption of CH₄. Since the model was optimized only with respect to the species binding energies, the CO binding energy may have been weakened to account for this. Nevertheless, the differences in both the CO and CH₃ species was slight for the DFT model, indicating that the initial DFT calculations were at least close to the values predicted by the model.

The posterior distributions of OH* and O* for the initial model using Rh(111) showed much stronger binding energies than the priors supplied, indicating that these species may have an alternative binding site. It was also reported by Yang et al. ⁶⁹ that methane has a higher selectivity on Rh(211) compared to Rh(111) during the conversion of synthesis gas into methane, so the possibility of these species having an alternative binding site was considered. As such, the DFT, LSR, and OCP models were updated with calculations for these species on their corresponding lowest energy binding site on Rh(211). A comparison of the priors and posteriors using both the Rh(111) and Rh(211) binding energies for these species can be found below in Figure 7.

The calculations for OH* show a dramatic shift in the posterior when the 211 site is considered, with the MAP value changing by approximately 0.4 eV between the 111 and 211 posteriors in the DFT model. The shift for O* was less dramatic, changing by only 0.11 eV. Literature values show a less dramatic shift as well for oxygen^[13],70] which is likely due to its hollow binding site on both 211 and 111, versus OH which prefers the 211 step edge. ^[50] The

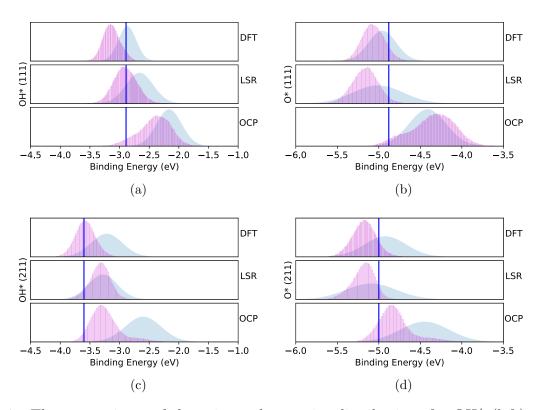


Figure 7: The comparisons of the prior and posterior distributions for OH* (left) and O* (right) on rhodium 111 (top) and 211 (bottom) sites. The prior distributions are shown in blue, the posterior distributions are shown in red, and the blue vertical lines represent the literature data on rhodium 111 sites, [70] or the literature data on rhodium 211 sites.

binding energy values optimized through BPE closely align with those reported for the 211 site on rhodium by Abild-Pedersen et al., although given the priors, it could be said that the actual lowest energy site may have an even higher binding energy, such as a defect site. Further study is required to validate this claim, but the simple result of this work shows that both O* and OH* prefer a lower energy site than initially predicted in the 111 model, which is a useful result.

It is worth mentioning that the optimal binding energy in the OCP model using the Rh(111) priors actually underpredicted the binding energies for O* and OH*, relative to the DFT and LSR models. This may be simply due to the nature of how the MCMC/ESS algorithm was executed. Analyzing the ACT plots for the Rh(111) OCP model, and taking into account the irregular shape of the posteriors, indicates that the HPD region may not have been adequately sampled. Given enough time, it is possible that this mechanism would have explored a stronger binding site, and found a new MAP value that aligned better with the predictions from the LSR and DFT models.

It is noteworthy to highlight that the Bayesian Parameter Estimation (BPE) performed using the Rh(211) DFT, LSR, and OCP models values show very similar posteriors, despite the differences in their priors. This convergence signifies a high level of confidence in the optimized value.

3.3 Simulated Responses

The sampling of the HPD was used to generate the posterior distribution for the gas phase species profiles within the catalyst bed, as seen in Figure 8. All three thermodynamic estimation methods converged on very similar profiles, with the main difference between them being the posterior uncertainties.

The initial model generated using LSRs is quite close to the experimental profiles compared to the DFT and OCP models. This may be due to how the original model from Mazeau et al. et a

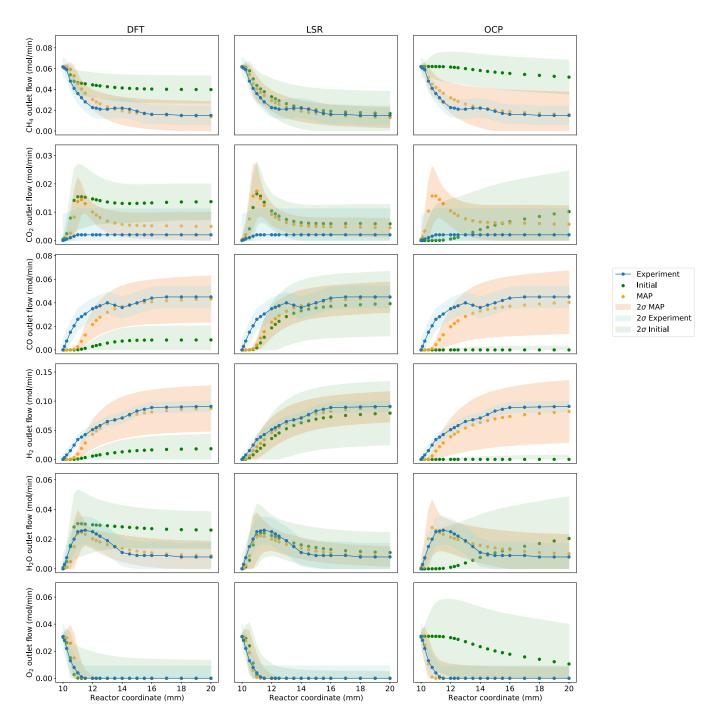


Figure 8: Gas phase flow rates observed in the unoptimized model (green marker), the optimized model (orange marker), and the experimental data reported by Horn et al. ⁵⁷ The shaded regions are the 2σ (95% confidence) intervals for the uncertainty in the experimental data (light blue region) and the MAP outputs (light orange region)

Generator use linear scaling relations on different transition metal surfaces, which may have led to selecting rate rules, reaction trees, and thermodynamic trees that generate slightly more accurate results with thermodynamics generated from linear scaling relations.

The OCP model, in contrast, has the worst initial model, and also exhibited the largest uncertainty in the outlet molar flow rates. This can be traced back to the prior distributions for the binding energies as shown in Figure . The initial values from the OCP model had a particularly stark disagreement with DFT binding energies. This is not surprising, given the current training data for the open catalyst project. The focus generally has been on alloys and oxides, with a relatively small amount of training data for pure transition metal surfaces. Additionally, the RPBE functional. was used to generate all of the DFT training data in the OCP model. This functional has a tendency to under-predict binding energies for certain adsorbates compared to its dispersion corrected GGA counterparts like RPBE-D3 and BEEF-vdW. Despite all of this, using BPE to optimize the model revealed essentially the same MAP mechanism for all three thermodynamic calculation methods. Had the OCP model used the BEEF-vdw functional for the training data, the initial model would have likely been much closer to the DFT and LSR models.

The pathways of three optimized models can be found in the supplementary data. All the pathways were the same with almost identical conversion rates. This further confirmed that the optimized models converged on similar mechanisms.

3.4 Covariance

All of the runs mentioned in the preceding sections used uncorrelated uncertainties for all of the mechanisms analyzed. This is not reflective of the true system, especially for the case of linear scaling relations, where species share a very clear linear correlation with other species bound through the same atom. The covariance matrices for the DFT and LSR mechanisms were constructed using the BEEF-vdW ensembles mentioned previously. As described in Section 2.4.3, each of the equations in Section 2.2.1 were applied for all 2000 rows of the

ensemble calculations, and then the covariance was calculated for each species from the resulting 2000 heats of formation. The resulting prior and posterior covariance matrices can be found in the supplementary data. The OCP model could not be supplied with a covariance matrix.

For the LSR model, the posteriors were all very similar to the uncorrelated case, with MAP values all falling within ± 0.1 eV for each model parameter. The DFT model showed more significant deviations when correlated priors were used. Detailed contour plots can be found for all of the DFT and LSR models in the supplementary data. The differences between the prior and posterior were quantified using the Kullback-Leibler (KL) divergence test. Comparing the relative KL divergences gives a quantitative measure of the information gained from the experimental data.

Figure 9 shows a comparison between the information gained from using covariance for the DFT model (Figure 9a) and the LSR model (Figure 9b). In general, the LSR models with and without covariance were quite similar. This is unsurprising, due to how close the initial model simulated outputs are to the experimental data. The binding energies within the LSR model required less adjusting to generate a model that matched the experimental data.

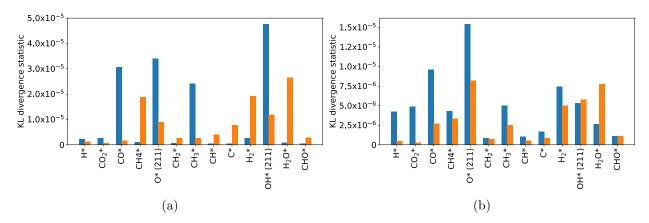


Figure 9: comparison between the KL divergence statistics for (a) the DFT models and (b) the LSR models. Blue bars are the KL divergence statistic for the models with no covariance in the prior. Orange are the statistics for the models including covariance.

One interesting trend in the information gain is the fact that most of the species in the DFT model gain more information from the experimental data when covariance is included. The opposite is true for the LSR models. The priors and posteriors for the DFT models (Figure 10) and LSR models (Figure 11) for C*, CH*, CH₂* and CH₃* illustrate why this trend in information gain occurs.

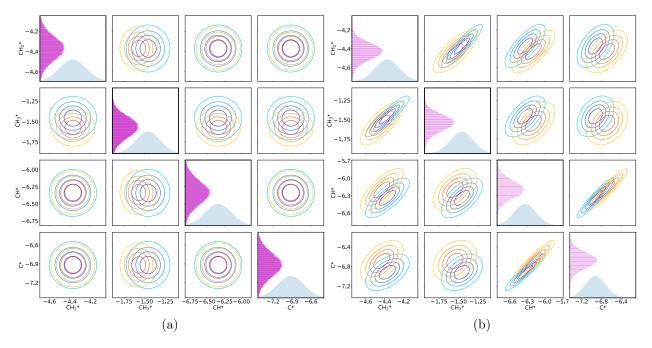


Figure 10: Contour plots for carbon bound species in the DFT models (a) without covariance and (b) with covariance. On the diagonal are the prior distribution (blue) and the posterior distribution (pink). Decreasing contours show a 20% decrease in probability.

The LSR model, as can be seen in Figure . is very close to the MAP model discovered via BPE, whereas the DFT model is slightly farther away. The correlation introduced by the covariance matrix further constrains the probability of our posterior, meaning MAP values may lie in a lower probability region of the prior distribution. For example, in the case of CH₂* and CH*, the posterior is only slightly shifted from the prior, whereas the posterior for the DFT model has a larger offset and is more strongly correlated. Even if the MAP binding energies shifted by the same amount as the LSR model, the higher degree of correlation in the DFT model means that the final answer will fall within a lower probability region of the prior distribution.

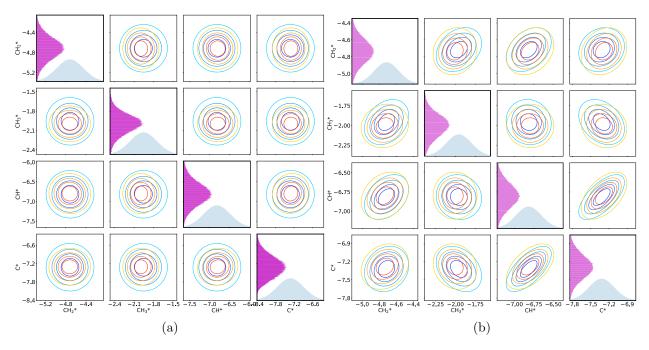


Figure 11: Contour plots for carbon bound species in the LSR models (a) without covariance and (b) with covariance. On the diagonal are the prior distribution (blue) and the posterior distribution (pink). Decreasing contours show a 20% decrease in probability.

The remainder of the posterior distributions for the models including covariance can be found in the supplementary data. Overall, the inclusion of covariance did not change any of the conclusions about the LSR and DFT models concerning the alternative binding sites for O* and OH*, and in fact reinforced them. The correlated posterior distributions for O* and OH* had slightly stronger MAP binding energies than was predicted by the uncorrelated models. Supplying a covariance matrix for the OCP data, if it were possible, would likely not have changed our answers significantly.

3.5 Conclusions

The first goal of this study was to analyze the uncertainty inherent in different thermodynamic estimation methods for adsorbed species. It is clear that the ML (OCP) model is less accurate than linear scaling relations for this CPOX case study, but the thermodynamics did not require any expensive DFT calculations up front, which cannot be said for the other two models. Knowing the uncertainty of the predictions from a calculator before using it to screen thousands of catalysts is vital for any method. Given the large shifts from the prior values to the MAP values for all 3 models, the increase in uncertainty for the OCP calculator is made up for by its speed compared to DFT and universality compared to LSRs. Further, for the system at hand, we showed that while supplying covariance data was useful for having slightly more accurate posteriors, it did not significantly change the final MAP values or the optimized models. This is encouraging, as the data necessary to determine covariance are not always available, especially when dealing with mechanisms that use data from a variety of sources, for example those generated by the Reaction Mechanism Generator.

The secondary goal was to validate that BPE used in conjunction with tools like the OCP calculator could be useful for catalyst screening. The finding that OH and O likely have stronger binding energies than the values reported on Rh(111) shows how informed optimization can improve a microkinetic model that was initially constructed from chemical intuition or automated construction methods. Coupling uncertainties calculated using BPE with rapid screening methods would allow for a more informed exploration of complex chemical spaces, as opposed to using the baseline values from surrogate models like linear scaling relations and the OCP calculator.

Finally, It should be noted that Monte Carlo methods are almost always the most taxing way to optimize a model and quantify error. While this study does show the computational efficiency of using a Machine Learning calculator to replace DFT, exploring the uncertainty space of the resulting model was costly. Specifically, the chain length required for convergence on each model (approximately one million points) took 52 CPU cores approximately 3 days of computing time. In light of this, it would be impractical to run BPE for every point within a screening study. It is more important to apply it to experimental data that are well known, and then using the error bars obtained to extrapolate to different systems.

The exploration of the HPD region would be required regardless of the thermodynamic calculation method used, so it is worth mentioning how well each method compares when

examining the raw time needed to get the initial estimates. The cost of the DFT calculations on Rhodium was about 1500 GPU hours and 10600 CPU hours, and the cost of the DFT calculations on Platinum for LSR fitting was about the 1200 GPU hours and 8000 CPU hours. In comparison, the expense of the OCP calculations can be essentially neglected, as they can give a structure and energy in minutes with minimal resources. Considering the convergence of BPE to a similar optimized model across all three estimation methods, using ML-aided estimation is considerably more efficient. While some species will require DFT calibration, initiating from OCP estimations serves as a valuable starting point, offering substantial time and computational resource savings.

Acknowledgement

This work was supported by the Exascale Catalytic Chemistry (ECC) Project, which is supported by the U.S. Department of Energy, Office of Science, Basic Energy Sciences, as part of the Computational Chemistry Sciences Program.

The authors would like to thank Aditya (Ashi) Savara, the lead developer of Parameter Estimation and Uncertainty Quantification for Science and Engineering (PEUQSE), for his repeated and in-depth help on this project. We made extensive use of PEUQSE throughout this investigation, and he helped us with both the technical implementation of PEUQSE and the scientific interpretation of our results. The authors also thank, Sevy Harris, Nora Khalil, Sun Su, and Ted Raymond for helpful suggestions.

The computational work was performed in part using computing resources from the Discovery cluster supported by Northeastern University's Research Computing team and National Energy Research Scientific Computing Center (NERSC).

Supporting Information Available

The Supporting Information is available free of charge at https://doi.org/(to be determined

by publisher). Mechanism barrier information for select reactions; integrated flux diagrams for the microkinetic models used; prior, posterior and simulated output plots for 10% experimental error and 2.5% experimental error; prior, posterior and simulated output plots for all species on Rhodium 111; prior and posterior covariance matrices; prior and posterior covariance contour plots; autocorrellation time plots; thermodynamic sensitivity of CO selectivity, CO yield, full oxidation selectivity, full oxidation yield, H₂ selectivity, H₂ yield, CH₄ conversion, O₂ conversion, syngas selectivity, and syngas yield; Cantera YAML input files for the MAP mechanisms and xyz files for the relaxed dft structures. (ZIP) More scripts can be found on the Github repository https://github.com/comocheng/cpox_uncertainty

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