

ACKNOWLEDGMENT

I offer respectful obeisance unto the lotus feet of **Prof. Mani Sankar Dasgupta**, Head of Department, Mechanical Engineering, BITS Pilani and **Prof. Dileep Kumar Gupta**, Mechanical Engineering, IITRAM, for all their valuable guidance, excellent direction, everlasting encouragement and inspiration given to me without which the present work would not have been possible. It was indeed my privilege to work under the supervision of both.

I am grateful to **Prof. Souvik Bhattacharyya**, Vice-Chancellor, BITS Pilani, **Prof. A. K. Sarkar**, Director, BITS Pilani, Pilani Campus for their support and blessings. I also express my sincere thanks to **Prof. Srinivas Krishnaswamy**, Dean, Academic - Graduate Studies and Research Division (AGSRD) and **Prof. Jitendra Panwar**, Associate Dean, AGSRD for their motivation, constant support and encouragement.

I am highly indebted to **Prof. Sharad Shrivastava**, DRC convener Department of Mechanical Engineering. Sincere thank is also due to my respected DAC members **Prof. Manoj Soni** and **Prof. P. Srinivasan**, Department of Mechanical Engineering, Pilani Campus for their valuable and fruitful discussions and suggestions, and for sparing their valuable time for departmental evaluation of this thesis. I would also like to acknowledge all faculty members as well as non-academic staff of Department of Mechanical Engineering for their support, encouragement and cooperation. I would like to thank **HEMAIR LTD.**, Hyderabad and **ASHOK KUMAR PVT. LTD.**, Pilani for assisting and fabricating experimental set up.

I would like to thank **IUSSTF, New Delhi** for providing the **BHAVAN Internship** and **SERB, Government of India** for providing the **Travel Grant** to attend International Conference. Sincere thanks to **Dr. Brian Fricke** and **Mr. Vishaldeep Sharma**, host at **Oak Ridge National Laboratory, USA**. I would also like to thank **Prof. Adriano Millazo** for inviting me for a discussion at **University of Florence, Italy**, which helped me in refining my thought process. Sincere thanks to **Dr. Nitin Karwa** for his extraordinarily support regarding fabrication of experimental setup as well as for guidance on experimentation.

Sincere thanks to all research scholars of Mechanical Engineering Department for their support. I would also like to thank my entire family that their constant love, affection and support that has empowered me to accomplish this work. Last but not the least, I pray and thank the **ALMIGHTY** for showering HIS divine blessings and giving me an inner strength and patience.

Nilesh Purohit
December 2018

*I dedicate this thesis work to my grandfather,
Respected Late Professor Anand Krishna Purohit*

The refrigeration sector consumes more than half of the total energy consumption in a building (supermarket) and contributes to green-house gases. Traditionally, such systems employ synthetic refrigerants from which typically, about 3 to 35% of the refrigerant charge leaks into the atmosphere per year depending on the make, age and usage of system. Leaked synthetic refrigerants are detrimental to environment as they are often greenhouse gases and/or contribute to ozone depletion. With increase in environmental consciousness in recent times, stricter regulations have been enacted globally to control ozone depletion and indirect and direct greenhouse gases emission from refrigerating plants. In such situation, adoption of natural or low-GWP refrigerants such as Carbon Dioxide (CO₂), Ammonia (R717), Propane (R290), R1234ze(E) etc. are expected to increase. This will significantly reduce the harmful effects of direct emissions. For reduction of indirect emission, the systems need to be inherently more efficient compared to the existing systems, which is the focus of research work worldwide at present.

Among the natural refrigerants, CO₂ is one of the preferred choices owing to its high specific heat, non-toxicity, non-flammability, eco friendliness and low cost. From the engineering perspective, CO₂ used as a refrigerant in vapour compression cycle has number of advantages such as lower compression ratio, high volumetric cooling capacity, compatibility with normal lubricants and common machine construction materials and well defined thermo-physical properties.

CO₂ has an old history as refrigerant, widely used before (1930s), however was abandoned later due to the invention of the synthetic refrigerants which were more effective at the then technological state. Meanwhile the world was getting conscious about ozone depletion effect from leaked refrigerants and later, regarding greenhouse effect caused by the synthetic

refrigerants. CO₂ being a constituent of biosphere and environmentally benign is clearly a preferred fluid. Use of CO₂ as a refrigerant was revived in the year 1993 by the work of Norwegian Professor Gustav Lorentzen, who successfully demonstrated working of a Automotive Air Conditioning (AAC) system based on CO₂. Thereafter, studies on CO₂ as refrigerant gained tremendous impetus and are being explored extensively for use in various applications.

With conventional vapor compression cycle design, the performance of CO₂ refrigeration system is economically advantageous only when operated in cold climate. Due to low critical temperature (31.3°C) and high critical pressure (73.8 bar), the performance of CO₂ refrigeration system deteriorates when operated in warm climatic conditions. Further, there are technical challenges of handling high pressure system. Owing to the high-pressure operation, physical issues such as selection of tubing material, safety, cost etc associated with a CO₂ system also poses challenge.

The work conducted in this thesis is broadly divided into three parts. Firstly, experimental investigation is carried out on a fully instrumented, laboratory setup of CO₂ trans-critical refrigeration system equipped with internal heat exchanger. Based on experimental data, analysis is carried out on energetic and exergetic perspectives, especially at high ambient up to 45°C.

Thereafter, theoretical models (physics based as well as an Artificial Neural Network) of CO₂ refrigeration system are developed, validated and implemented to perform parametric investigation and optimization based on two controllable parameters viz gas cooler pressure and cooling air flow velocity across the gas cooler (termed as gas cooler face velocity).

Lastly, application of CO₂ system in supermarket is focussed. Detailed thermodynamic models on booster, indirect/cascade and integrated configurations are developed. Various booster configurations are evaluated using thermodynamic modelling based on both energetic

and economic analysis. The performance of booster configurations is compared to that of indirect/cascade configurations. With regard to intergated system, multi-jet ejetcor configuartion is compared to cascaded booster configuration based on energy and environmental perspectives. Overall the work conducted in thesis is expected to contribute towards promotion of adoption of natural refrigerant, especially CO₂, in warmer part of the globe, like in India.

TABLE OF CONTENTS

Certificate	
Acknowledgement	
Abstract	i
Table of contents	iv
List of Figures	vii
List of Tables	xi
Nomenclature	xii
1. Introduction	1
1.1. Refrigerants	1
1.2. Carbon dioxide (CO ₂) as natural refrigerant	4
1.3. Comparison of CO ₂ with other refrigerants	11
1.4. Motivation	12
1.5. Structure of thesis	13
2. Literature Survey	15
2.1. CO ₂ refrigeration system background	15
2.2. Major components of CO ₂ refrigeration system	17
2.2.1. Compressor	17
2.2.2. Gas cooler	19
2.2.3. Expansion valve/Capillary tube	21
2.2.4. Evaporator	23
2.3. CO ₂ refrigeration system performance enhancement	25
2.3.1. Internal Heat Exchanger (IHX)	25
2.3.2. Ejector expansion	27
2.3.3. Work recovery expander	30
2.3.4. Dedicated sub-cooling	33
2.3.5. Flooded evaporator	34
2.3.6. Twin-staging	35
2.3.7. Cascading	38
2.4. Application and commercialization	40
	iv

2.5. State of art of CO ₂ refrigeration system in supermarkets	44
2.5.1. CO ₂ booster system	44
2.5.2. CO ₂ indirect and cascade system	45
2.5.3. Integrated CO ₂ system	46
2.6. Gap areas in existing research	47
3. Objectives	49
4. Experimental investigation	51
4.1. Experimental setup	51
4.1.1. Compressor	53
4.1.2. Gas cooler	54
4.1.3. Internal heat exchanger (IHX)	55
4.1.4. Expansion valve	57
4.1.5. Evaporator	57
4.1.6. Accumulator and receiver	59
4.1.7. Tubing and fittings	60
4.1.8. Evaporator load simulator	60
4.1.9. Ambient load simulator	60
4.1.10. Instrumentation	63
4.2. Test procedure	63
4.3. Data reduction	65
4.4. Uncertainty analysis	68
4.5. Results and discussion	69
4.5.1. Compressor inlet temperature and refrigerant mass flow rate	69
4.5.2. Effectiveness of IHX	72
4.5.3. Compressor discharge temperature	73
4.5.4. Energetic parameters	74
4.5.5. Exergetic parameters	81
4.6. Summary	86
5. Performance optimization	89
5.1. Physics based model	90
5.1.1. Compressor	90
5.1.2. Gas cooler	91
5.1.3. IHX	95
5.1.4. Expansion valve	96

5.1.5. Evaporator	96
5.1.6. Energy efficiency (COP) calculations	96
5.2. Artificial Neural Network (ANN) model	98
5.3. Model validation	101
5.4. Parametric optimization using trained ANN model	103
5.5. Summary	108
6. CO ₂ application in supermarket refrigeration	109
6.1. Booster and Indirect/Cascade configurations	110
6.1.1. Modelling	114
6.1.1.1. Ambient conditions	115
6.1.1.2. Display cabinets	116
6.1.1.3. Operating conditions	118
6.1.1.4. Control strategy	120
6.1.2. Energy analysis of booster configurations	121
6.1.3. Economic analysis of booster configurations	128
6.1.4. Performance comparison of booster and indirect/cascade configurations	132
6.2. Integrated configurations	134
6.2.1. Multi-jet ejector configuration	135
6.2.2. Cascaded booster configuration	137
6.2.3. Load computation	139
6.2.4. Model and load integration	143
6.2.5. Standalone heat pump and A/C system	146
6.2.6. Energy analysis and Life Cycle Climate Performance (LCCP) analysis	147
6.3. Summary	163
7. Conclusion and scope of future work	164
7.1. Conclusion	164
7.2. Scope of future work	166
Appendix (A: Experimental Reading, B: Uncertainty Sample Calculations)	168
References	175
List of publications	195
Author biography	197
Supervisors biography	198

LIST OF FIGURES

- Fig. 1.1 Roadmap of return of era for natural refrigerants
- Fig. 1.2 Isobaric Specific heat versus temperature in supercritical range
- Fig. 1.3 Density versus temperature in supercritical range
- Fig. 1.4 Thermal conductivity versus temperature in supercritical range
- Fig. 1.5 Dynamic viscosity versus temperature in supercritical range
- Fig. 2.1 Typical Ideal Trans-critical CO₂ Refrigeration Cycle
- Fig. 2.2 Percentage wise distribution of the industries in various business areas.
- Fig. 3.1 Flow chart representing the thesis objectives
- Fig. 4.1 Photograph of the experimental setup
- Fig. 4.2 Schematic of CO₂ trans-critical refrigeration system with and without IHX
- Fig. 4.3 Features and photograph of compressor (Dorin CD 360H)
- Fig. 4.4 Features and photograph of gas cooler
- Fig. 4.5 Features and photograph of IHX
- Fig. 4.6 By-pass valve to cater to the IHX
- Fig. 4.7 Constructional details and photograph of manual expansion valve
- Fig. 4.8 Features and photograph of evaporator
- Fig. 4.9 Construction details of accumulator
- Fig. 4.10 Construction details of receiver
- Fig. 4.11 Chiller load simulator
- Fig. 4.12 Evaporator load simulator parts, (a) Heaters, (b) Autotransformer, (c) Pump at suction end and (d) Pump at delivery end.
- Fig. 4.13 Ambient load simulator
- Fig. 4.14 (a) Automatic controller for ambient simulator and (b) VFD axial fan
- Fig. 4.15 Instrumentation, (a) RTD, (b) Pressure transducer, (c) Turbine flow meter, (d) Rotameter, and (e) Energy meters
- Fig. 4.16 Data acquisition system (DAQ, POLMON PL 160)
- Fig. 4.17 Energy balance deviation for the evaporator
- Fig. 4.18 Compressor inlet temperature for various operating conditions
- Fig. 4.19 Refrigerant mass flow rate for various operating conditions
- Fig. 4.20 IHX effectiveness for various operating conditions
- Fig. 4.21 Compressor discharge temperature for various operating conditions
- Fig. 4.22 Effect of ambient temperature on the energetic parameters ($T_e = -5^\circ\text{C}$)

- Fig. 4.23 Effect of ambient temperature on the energetic parameters ($T_e = 0^\circ\text{C}$)
- Fig. 4.24 Fan power and fan efficiency for the range of experiments
- Fig. 4.25 Effect of gas cooler side air velocity on approach temperature
- Fig. 4.26 Effect of gas cooler side air velocity on COP
- Fig. 4.27 COP and percentage improvement of IHX cycle over the basic cycle
- Fig. 4.28 Effect of ambient temperature on the exergetic efficiency
- Fig. 4.29 Effect of ambient temperature on the irreversibility contribution of compressor, gas cooler and expansion valve
- Fig. 4.30 Effect of gas cooler side air velocity on the exergy efficiency
- Fig. 4.31 Effect of gas cooler side air velocity on the irreversibility contribution of compressor, gas cooler and expansion valve
- Fig. 4.32 Effect of operating parameters on the irrev. contribution of evaporator and IHX
- Fig. 5.1 Grid for gas cooler with flow directions
- Fig. 5.2 Grid for IHX with flow directions
- Fig. 5.3 Numerical algorithm to solve physical model of CO₂ trans-critical refrigeration system with and without IHX
- Fig. 5.4 ANN architecture for the output parameters
- Fig. 5.5 Flow chart for working process of ANN
- Fig. 5.6 MSE for ANN and physical models for cycle with (a) & without IHX (b).
- Fig. 5.7 Effect of high side pressure on COP (Physics based model simulation)
- Fig. 5.8 Effect of high side pressure on COP (ANN based model simulation)
- Fig. 5.9 Effect of air velocity over the gas cooler on COP ($T_o = 0^\circ\text{C}$, $T_a = 35^\circ\text{C}$) at various operating gas cooler pressure
- Fig. 6.1 Standard CO₂ booster system (B1)
- Fig. 6.2 CO₂ booster system with parallel compression (B2)
- Fig. 6.3 CO₂ booster system with flooded LT evaporator (B3)
- Fig. 6.4 CO₂ booster system with work recovery expander (B4)
- Fig. 6.5 CO₂ booster system with parallel compression along with flooded LT evaporator and work recovery expander (B5)
- Fig. 6.6 Combined CO₂/R1234ze(E) secondary/cascade configurations
- Fig. 6.7 Comparison of COP obtained from thermodynamic model with field data extracted from Sawalha et al., (2015)
- Fig. 6.8 Year-round ambient temperature variation for selected locations
- Fig. 6.9 Display cabinets with air curtain

- Fig. 6.10 Control strategy for investigated booster configurations
- Fig. 6.11 COP of investigated booster systems at various ambient temperature
- Fig. 6.12 Optimal gas cooler pressure of booster systems at various ambient temperature
- Fig. 6.13 Opt. receiver (R1) pressure of booster systems at various ambient temperature
- Fig. 6.14 Ratio of flashed mass flow rate at R1 to the total mass flow rate (α)
- Fig. 6.15 Annual energy savings over and above B1 for booster systems investigated
- Fig. 6.16 Effect of expander isentropic efficiency and electricity tariff on investment recovery time for B5 operating in climatic conditions of New Delhi
- Fig. 6.17 Comparison of COP R, B2, CSC and FCSC configurations
- Fig. 6.18 Comparison of warm climate in Europe with Middle East Asia and India
- Fig. 6.19 (a) Schematic, (b) p-h for winter operation and (c) p-h for summer operation of an integrated all CO₂ booster system with multi-ejectors
- Fig. 6.20 (a) Schematic and (b) p-h for summer operation of an integrated all-natural NH₃/CO₂ cascaded booster system
- Fig. 6.21 Year-round climate conditions of Middle East Asia (a) and comparison of typical heating and A/C load to that of European climate (b)
- Fig. 6.22 Year-round climate conditions of (a) India and (b) comparison of typical heating and A/C load to that of European climate
- Fig. 6.23 Flowchart for simulation of integrated B configuration
- Fig. 6.24 Flowchart for simulation of integrated CB configuration
- Fig. 6.25 Monthly COP_{total} for R, B and CB conf. when operated in Midlatitude, Tabriz (a & b) and Dry Arid/Semi-Arid, Kuwait (c & d), climates in the Middle East.
- Fig. 6.26 Monthly COP_{total} for R, B and CB configurations when operated in Cold, Shillong (a & b) and Temperate, Bangalore (c & d), climates in India
- Fig. 6.27 Monthly COP_{total} for R, B and CB configurations when operated in Warm Humid, Chennai (a & b) and Hot Dry, Jodhpur (c & d) climates in India
- Fig. 6.28 Relative annual average COP_{total} for B and CB conf. in comparison to R conf.
- Fig. 6.29 Relative total emissions for B and CB conf. in comparison to R configuration
- Fig. 6.30 Relative indirect emissions for B and CB conf. in comparison to R configuration
- Fig. 6.31 Comparative advantage of systems in various climate zones of the Middle East
- Fig. 6.32 Comparative advantage of systems in various climate zones of India
- Fig. 6.33 Heating COP for B and CB configurations, when operated in (a) Midlatitude Climate (Tabriz) and (b) Cold Climate (Shillong)

Fig. 6.34 COP of A/C in B and CB configurations, when operated in (a) Dry Arid/Semi Arid Climate (Kuwait) and (b) Hot Dry Climate (Jodhpur)

Fig. 6.35 Sensitivity of COP of CB configuration to various assumptions made in the analysis

LIST OF TABLES

Table 1.1	CO ₂ properties at pseudo-critical temperature
Table 1.2	Comparison of CO ₂ properties with other refrigerants
Table 2.1	Summarized studies reported on CO ₂ trans-critical system with IHX
Table 4.1	Specification of compressors
Table 4.2	Specifications details for gas cooler
Table 4.3	Specifications details for IHX
Table 4.4	Specifications details for evaporator
Table 4.5	Accuracies of measuring sensors and instruments
Table 4.6	Sensitivity of fan efficiency on fan power and COP
Table 5.1	Statistical coefficient obtained during training process of ANN
Table 5.2	Optimised operating parameters and COP for CO ₂ chiller (ANN model)
Table 6.1	Operating parameters of the investigated systems
Table 6.2	Correlations for compressor efficiencies for booster configurations
Table 6.3	Compressor global efficiencies of indirect and baseline systems
Table 6.4	Economic analysis of booster investigated systems
Table 6.5	Annual energy consumption (MWh) of B2, CSC, FCSC and R configurations
Table 6.6	Supermarket configuration and monthly averaged heating & A/C load
Table 6.7	Operating parameters of the investigated integrated systems
Table 6.8	LCCP analysis assumptions
Table 6.9	COP _{total} and Total Emissions (TonsCO ₂ _{equ}) for R, B and CB configurations
Table A1	Experimental and model prediction of COP for CO ₂ refrigeration cycle without IHX
Table A2	Experimental and model prediction of COP for CO ₂ refrigeration cycle with IHX