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Emerging advanced oxidation processes for water and wastewater treatment

– guidance for systematic future research –

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27 **Abstract**

28 Advanced oxidation processes (AOPs) for water treatment are a growing research field with a large
29 variety of different concepts and materials being tested at laboratory scale. However, only few
30 concepts have been translated into pilot- and full-scale operation recently. One major concern are
31 the inconsistent experimental approaches applied across different studies that impede identification,
32 comparison, and upscaling of the most promising concepts. The aim of this tutorial review is to
33 streamline future studies on the development of new solutions and materials for advanced oxidation
34 by providing guidance for comparable and scalable oxidation experiments. We discuss recent
35 developments in catalytic, ozone-based, radiation-driven, and other mostly physical AOPs, and
36 outline future perspectives and research needs. Suitable figures-of-merit for comparison and
37 benchmarking of AOPs are reviewed. Since standardized experimental procedures are not available
38 for the majority of AOPs, we propose basic rules and key parameters for lab-scale evaluation of new
39 AOPs including selection of suitable probe compounds, model compounds, and scavengers for the
40 measurement of (major) reactive species. A two-phased approach to assess new AOP concepts is
41 proposed, consisting of (i) a feasibility-of-concept-study phase with validation of major radical
42 species and comparison to suitable reference processes and materials, followed by (ii) a
43 benchmarking phase conducted in the intended water matrix for the process, applying comparable
44 and scalable parameters such as UV fluence or ozone consumption. Screening for transformation
45 products should be based on chemical logic and combined with complementary tools (mass balance,
46 chemical calculations) to advance mechanistic understanding of the process.

47

48 **1 Introduction**

49 Advanced oxidation processes (AOPs) are generally defined as processes that use in situ generated
50 highly reactive radicals (Comninellis et al., 2008) for the oxidative degradation of contaminants. The
51 major radical formed in most AOPs is the hydroxyl radical ($\cdot\text{OH}$) (Oturán, Aaron, 2014). Besides
52 the $\cdot\text{OH}$, reactive oxygen species (ROS) including singlet oxygen and superoxide, radicals derived

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53 from persulfate, carbonate or nitrate, other dissolved inorganic constituents, and solvated electrons
54 may be involved in AOPs and affect process kinetics, reaction mechanisms, and product formation
55 (Wang, Wang, 2020, 2021). Sulfate and chlorine radical-induced oxidations are often also referred
56 to as AOP-like processes (Lee et al., 2020a). AOPs can be applied during drinking water and
57 wastewater treatment, water reuse applications, brine and leachate treatment, and groundwater
58 remediation, mostly to degrade organic contaminants but also for reduction of natural organic matter,
59 disinfection or as pre-treatment to improve performance of downstream treatment processes (Ao et
60 al., 2021, Ayoub et al., 2010, Chen et al., 2019, Gassie, Englehardt, 2017, Giannakis et al., 2021,
61 Matilainen, Sillanpää, 2010, Oller et al., 2011, Oturan, Aaron, 2014, Pisarenko et al., 2012, Sillanpää
62 et al., 2018). Radicals for AOPs in water, including $\cdot\text{OH}$, can be generated in many ways, while
63 AOPs can be broadly classified into four categories that include ozone-based, radiation-driven,
64 catalytic, and other AOPs. The latter encompass a range of different, often high-energy, physical
65 methods for AOP generation.

66 Given the diversity of AOPs and the wide range of possible applications, research activity and
67 interest into AOPs has been considerably increasing. Beyond AOPs established at full scale, various
68 processes have been tested at pilot scale, while other AOPs are being explored and developed at
69 lab scale (see Figure 1). For instance, research has been conducted on the development of new
70 materials for catalytic and electrolytic oxidation (El Kateb et al., 2019, Xu et al., 2021). Similarly, new
71 advanced oxidation processes such as vacuum UV, plasma treatment as well as new oxidants and
72 radical promoters have been proposed and investigated (Ansari et al., 2021, Lee et al., 2020b, Li et
73 al., 2019, Tian et al., 2020). Various alternative process combinations, from centralized treatment
74 approaches to point-of-use-scale, but also reactor designs for catalytic or radiation-driven AOPs
75 have been developed (Scheideler et al., 2011, Wang et al., 2017, Xu et al., 2021). A large array of
76 water contaminants, including so-called emerging contaminants, has been investigated to a great
77 extent for their degradability by AOPs (Oturan, Aaron, 2014, Rodriguez-Narvaez et al., 2017).

78 Despite several recent reviews on AOPs (Cheng et al., 2016, Lee et al., 2020a, Miklos et al., 2018,
79 Oturan, Aaron, 2014, Ribeiro et al., 2015), it can be challenging for individual researchers to obtain

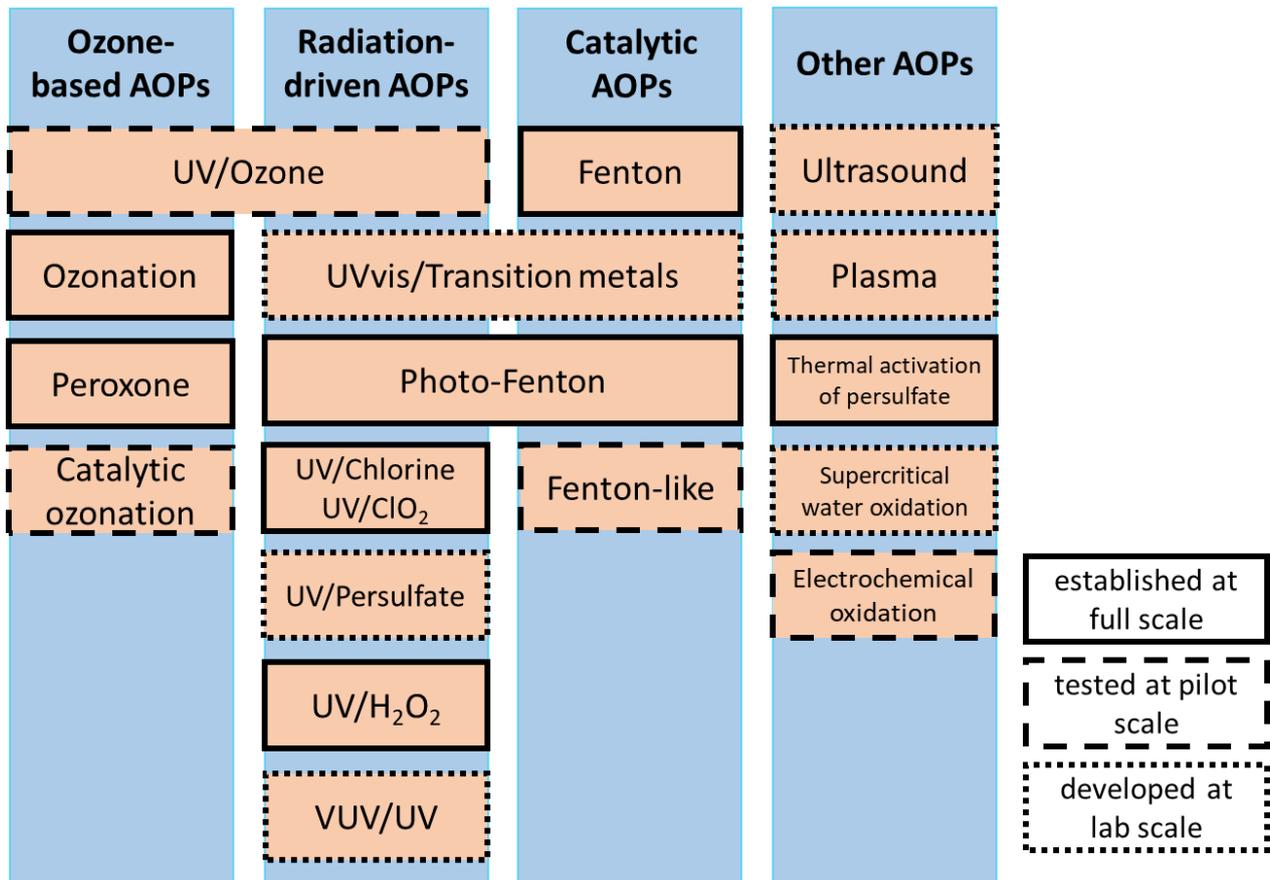
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80 a comprehensive insight and to keep track with the most recent developments in AOP research,
81 given the large number of studies published. One needs to be critical when it comes to the
82 prospective applicability of newly developed AOPs (Gunten, 2018, Loeb et al., 2019). The suitability
83 of many novel AOPs for water treatment is debatable e.g., due to the utilization of materials with
84 concerning toxicity or lack of long-term stability (Bokare, Choi, 2014, Chaplin, 2014, Lee et al., 2016).
85 AOP studies with new materials or new radical generation mechanisms often lack critical information
86 that would allow a sound evaluation of the efficiency in real water matrices, including chemical and
87 energy demand. One example are time-based reaction rate constants of target contaminants only
88 but without further information on energy input, oxidant dose, or chemical reactivity of the target
89 contaminant. Another issue can be the choice of adequate reference processes and treatment
90 objectives. For instance, ozonation has been used as reference process to compare oxidative
91 mineralization efficiency. However, a typical treatment target for ozonation is partial oxidation of
92 target contaminants, followed by biofiltration, which has a significantly lower ozone and, thus, energy
93 demand (Lim et al., 2022, Zoumpouli et al., 2019) and mineralization is not required in most
94 applications. Many studies combine the assessment of new materials and processes with the
95 simultaneous investigation of new emerging contaminants, screening for transformation products,
96 and the analysis of possible toxicological effects. While these aspects provide important information
97 for a detailed understanding and assessment of the process itself, they do not enable an initial
98 evaluation on the applicability and efficiency of the investigated process at larger scale. To
99 streamline research efforts, systematic approaches are needed for an objective assessment of new
100 concepts for oxidation of emerging contaminants.

101 With this tutorial review, we aim to provide guidance for researchers that work on the development
102 of new solutions and materials for advanced oxidation. We briefly discuss status, potential and future
103 research needs for emerging AOPs, summarize available concepts to assess and compare different
104 AOPs, and outline basic rules for conducting oxidation experiments and selecting probe compounds
105 and scavengers. Finally, we propose a systematic approach for the assessment of novel concepts
106 and materials for advanced oxidation.

107 **2 Status and perspectives for “emerging” oxidation processes**

108 There is an immense variety of different approaches proposed and tested to generate radicals in
109 water. Figure 1 summarizes various AOPs with indicated degree of application (lab-scale vs. pilot-
110 and full-scale). Established AOPs operating at full scale comprise mostly UV- and ozone-based
111 approaches. In addition, Fenton-based processes are widely established for industrial wastewater
112 treatment. Besides the long history applying ozone and UV irradiation in drinking water treatment
113 (Gunten, 2018), these most widely applied AOPs typically also provide the highest energy
114 efficiencies among AOPs (Miklos et al., 2018). However, less efficient AOPs might still provide
115 suitable solutions for niche applications, such as groundwater remediation, industrial wastewater
116 treatment, degradation of otherwise recalcitrant contaminants, or decentralized water treatment
117 applications with relatively small volumes of water, including specialized applications such as ballast
118 water treatment (Loeb et al., 2019, Wang, Wang, 2018, Werschkun et al., 2014). In this section, we
119 briefly address the current state of the art for different AOPs and provide references to studies with
120 more detailed mechanistic discussion. We highlight advantages and limitations of individual
121 concepts, discuss future research needs, and identify potential areas for application. This section
122 will review current advances in catalytic AOPs, novel concepts and materials for ozone-based and
123 radiation-driven AOPs, and new alternative solutions for in situ radical generation.



124

125 *Figure 1. Broad overview and classification of different AOPs and AOP-like processes*

126 **2.1 Emerging materials and concepts for catalytic AOPs**

127 In catalytic oxidation, various homogenous and heterogeneous catalysts can be used to generate
 128 reactive species by activating radical precursors such as hydrogen peroxide (H₂O₂), sodium
 129 percarbonate (Na₂CO₃ x 1.5 H₂O₂), peroxydisulfate (S₂O₈²⁻), and monochloramine (NH₂Cl) or
 130 increase radical formation from oxidants such as ozone (Chen et al., 2022, Kasprzyk-Hordern et al.,
 131 2003, Liu et al., 2021, Wang et al., 2019b). This section focuses on dark catalytic processes, i.e.,
 132 those without light as radical initiator, while light-induced AOPs are discussed in the section on
 133 radiation-driven AOPs. The most widely studied and applied homogeneous catalytic oxidation
 134 system is the Fenton reaction, in which H₂O₂ reacts with dissolved ferrous iron (Fe(II)) to
 135 generate ·OH (Bautista et al., 2008). Although the traditional iron-based Fenton reaction is an
 136 established method-of-choice for the treatment of complex industrial wastewaters, critical aspects
 137 for its application include a narrow operation range determined by a maximum catalytic activity at

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138 pH = 2.8 - 3.0, rapid consumption of free radicals by excess Fe(II), and costs for iron-containing
139 sludge disposal (Bautista et al., 2008, Bokare, Choi, 2014). To avoid these bottlenecks, the
140 application of chelating agents as well as iron-free Fenton-like systems have been explored using
141 other transition metal ions (e.g., copper or cobalt), which can activate H₂O₂ at near-neutral pH
142 conditions but only work under well-defined reaction conditions with careful consideration of catalyst
143 toxicity (Bokare, Choi, 2014, Goldstein et al., 1993, Zhang, Zhou, 2019). A great deal of attention
144 has been paid to both natural and synthetic solid catalysts such as iron-, manganese-, or cobalt-
145 based materials (Hu, Long, 2016, Huang, Zhang, 2019, Luo et al., 2021), engineered nanomaterials
146 (Hodges et al., 2018, Sun et al., 2018), metal-free polymers (Han et al., 2020, Yang et al., 2020),
147 carbonaceous materials (Duan et al., 2018, Zhao et al., 2021), layered double hydroxides (Xie et al.,
148 2021), metal-organic frameworks (Du, Zhou, 2021), and single-atom catalysts (Huang et al., 2021,
149 Shang et al., 2021). Many of these materials possess high catalytic activity at the laboratory bench
150 scale and promise AOP operation under neutral pH conditions. However, translation of catalytic
151 AOPs into full-scale water treatment has been slow (Hodges et al., 2018). To overcome obstacles
152 that prevent catalytic systems from commercialization and implementation, efforts should be
153 directed not only towards producing standardized, regenerable, cost-effective, and sustainable
154 catalysts with high physical and chemical stability but especially towards testing their suitability and
155 long-term performance for well-defined water treatment applications (Hodges et al., 2018). These
156 desirable attributes and testing requirements also apply to photocatalysts (see section on radiation-
157 driven AOPs). Moreover, challenges concerning reactor design need to be addressed to allow for
158 high contaminant-to-surface mass transfer and contaminant degradation efficiency, while at the
159 same time minimizing catalyst loss and operational costs (Hodges et al., 2018). Innovative catalysts
160 may broaden AOP applications towards enhanced in situ chemical oxidation or decentralized point-
161 of-use water treatment, and tackle specific treatment goals for the removal of recalcitrant
162 contaminants (Hodges et al., 2018).

163 **2.2 Recent progress in ozone-based advanced oxidation**

164 In every ozonation process, $\cdot\text{OH}$ are formed from the reaction of ozone with the water matrix,
165 especially with organic matter (Pocostales et al., 2010, Sonntag, Gunten, 2012). However, since the
166 formation of $\cdot\text{OH}$ is “uncontrolled”, ozonation is often not defined as an AOP. $\cdot\text{OH}$ formation can be
167 enhanced by the addition of H_2O_2 (either as solution or by electrochemical in situ production) in the
168 peroxone process, pH elevation, catalytic ozonation, or ozone photolysis (Fischbacher et al., 2013,
169 Lamsal et al., 2011, Lucas et al., 2010, Merényi et al., 2010a, Wang, Chen, 2020, Yao et al., 2018).
170 UV/ O_3 is discussed as a UV-based AOP in the next section.

171 In the peroxone process, ozone reacts fast with the H_2O_2 anion (HO_2^-) ($k = 9.6 \times 10^6 \text{ M}^{-1} \text{ s}^{-1}$) with a
172 yield of 0.5 mol $\cdot\text{OH}$ per mol reacted ozone (Fischbacher et al., 2013, Merényi et al., 2010a). The
173 peroxone process is often applied to mitigate formation of undesired bromate (Gunten, Oliveras,
174 1997, 1998) or to quench excess ozone with the advantage of further $\cdot\text{OH}$ formation (Gunten, 2003b).
175 At elevated pH, ozone may react with hydroxide ions to form $\cdot\text{OH}$. However, this reaction is rather
176 slow ($k = 70 \text{ M}^{-1} \text{ s}^{-1}$) (Merényi et al., 2010b, Staehelin, Hoigne, 1982) and the costs for adding bases,
177 especially in strongly buffered waters, as well as increasing risk of bromate formation may limit
178 ozonation at elevated pH towards a narrow range of source and wastewaters (Gunten, 2003a).

179 Homogeneous and heterogenous catalysis in ozonation is based on the decomposition of ozone by
180 transition metal ions or solid metal oxide catalysts (mostly iron- and manganese-based materials),
181 and activated carbon or other carbon-based materials (Rekhate, Srivastava, 2020, Wang, Chen,
182 2020, Yan et al., 2019). In heterogeneous catalytic ozonation, pollutant removal can be achieved
183 via interfacial reactions at the catalyst surface after sorption of ozone (gaseous or dissolved) and/or
184 the pollutant, and in the aqueous phase through $\cdot\text{OH}$, which is generated from ozone decomposition
185 at the catalyst surface (Gottschalk, 2010, Rekhate, Srivastava, 2020). The process may have an
186 advantage over homogenous catalysis because no additional metal ions need to be dosed and
187 subsequently removed. However, it may have mass-transfer limitations as $\cdot\text{OH}$ are formed at the
188 catalyst surface. Knowledge about the driving mechanisms for catalytic ozonation is still limited. For
189 example, different catalytic activity has been reported for various types of MnO_2 , with some types

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190 leading to ozone decay without significant $\cdot\text{OH}$ formation (Nawaz et al., 2017, Wang, Chen, 2020).
191 Different mechanisms have been proposed for catalytic ozonation with activated carbon-based
192 materials (Rekhate, Srivastava, 2020), with some studies indicating that radical formation may be
193 related to finite reactions with functional groups of the carbon leading to a slow consumption of the
194 “catalyst” (Sánchez-Polo et al., 2005). A direct comparison of different study results is often
195 hampered by the use of various experimental procedures with different mass transfers (gaseous
196 ozone vs. injection of ozone stock solution), different design and duration of the experiments, and
197 different active catalyst surface areas. Research on catalytic ozonation should therefore follow
198 standardized experimental procedures (see section 5) that enable the assessment of benefits for
199 radical generation compared to sole ozonation (which already contributes to considerable radical
200 generation), as well as mid- to long-term stability of the catalytic process.

201 **2.3 New solutions in radiation-driven AOPs**

202 In radiation-driven AOPs, the energy of electromagnetic radiation is utilized to form radicals (Buxton
203 et al., 1988, Neta et al., 1988). The applied wavelengths range from > 170 (VUV) to 700 nm (visible
204 light) (Brezonik, Arnold, 2011). UV water treatment has been applied for several decades for water
205 disinfection using mercury (Hg) lamps. Solar radiation and other lamp technologies exist with a small
206 market share. Recently, light emitting diodes (LEDs) have quickly evolved in the UV range and show
207 promise to increasingly replace Hg-containing irradiation sources (see below).

208 **Homogeneous AOPs.** Analogous to dark catalytic AOPs, radiation-driven AOPs can be
209 distinguished into homogeneous and heterogeneous processes applying a similar range of radical
210 precursors for homogeneous processes including H_2O_2 , chlorine and chlorine dioxide,
211 peroxydisulfate ($\text{S}_2\text{O}_8^{2-}$), ozone, and the photo-Fenton process. Photolysis and radical generation
212 mechanisms in these processes are widely established and well-described in literature (Bulman et
213 al., 2019, Chuang et al., 2017, Garoma, Gurol, 2004, Goldstein et al., 2007, Sonntag, 2008,
214 Waclawek et al., 2017).

215 UV/ H_2O_2 and UV/chlorine are the most widely applied processes (Kruithof et al., 2004, Kwon et al.,
216 2020, Swaim et al., 2008, Wang et al., 2015, Wang et al., 2019a). The UV/ H_2O_2 process is used in

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217 drinking water treatment and potable reuse schemes to remove trace contaminants that are difficult
218 to remove otherwise (Collins, Bolton, 2016) and can be advantageous when ozone-based processes
219 would result in undesired bromate formation from naturally occurring Br⁻ (Gunten, Oliveras, 1998).
220 The energy demand of UV/H₂O₂ is higher compared to conventional ozonation and the peroxone
221 process (Katsoyiannis et al., 2011).

222 In full-scale potable reuse schemes, UV/chlorine (HOCl) is increasingly used with and without the
223 addition of chloramines (Kwon et al., 2020). Thereby, the photolysis of HOCl results in the formation
224 of [•]OH and chlorine atoms (Khajouei et al., 2022), the photolysis of chloramines gives rise to
225 formation of aminyl radicals and chlorine atoms (Li et al., 2018). Reactions of these reactive species
226 in water are discussed in more detail elsewhere (Lutze et al., 2015, McElroy, 1990). UV/chlorine is
227 mostly applied as the last treatment step for simultaneous degradation of pollutants and disinfectant
228 residuals, with limited application in organic-rich and ammonia-containing waters due to formation
229 of toxic by-products (Guo et al., 2022a).

230 Sulfate radicals react more substrate specific than [•]OH (Lee et al., 2020a). Therefore the UV/S₂O₈²⁻
231 process benefits from reduced oxidant scavenging by the water matrix, but less reactive compounds
232 are more difficult to eliminate compared to the UV/H₂O₂ process (Nihemaiti et al., 2018). The
233 UV/S₂O₈²⁻ process may provide tailored solutions towards individual substances or substance
234 groups rather than broadband treatment envisioned in most AOP applications (Lee et al., 2020a).
235 Compared to H₂O₂ [$\epsilon_{\text{H}_2\text{O}_2, \lambda=254\text{nm}} = 18.6 \text{ M}^{-1} \text{ cm}^{-1}$ (Stefan et al., 1996)] and S₂O₈²⁻ [$\epsilon_{\text{S}_2\text{O}_8^{2-}, \lambda=254\text{nm}} =$
236 $22 \text{ M}^{-1} \text{ cm}^{-1}$ (Heidt, 1942)], ozone has a high molar absorption coefficient of $\epsilon_{\text{O}_3, \lambda=254\text{nm}} = 3300 \text{ M}^{-1} \text{ cm}^{-1}$
237 ¹ (Sonntag, Gunten, 2012) resulting in an efficient photolysis into [•]OH (Sonntag, 2008) that is 20
238 times more efficient than H₂O₂ photolysis at the same dissolved molar concentration. However, due
239 to the combination of two energy-intensive processes, namely ozonation and UV irradiation, the
240 UV/O₃ process is typically not competitive with alternative solutions.

241 The photo-Fenton process is based on the absorption of light by Fe(III)-HO₂-cComplexes ($\epsilon = (450$
242 $\text{nm}) \approx 450 \text{ M}^{-1} \text{ cm}^{-1}$) (Sonntag, 2008). Thereby, the complex cleaves into HO₂[•] and Fe(II), and Fe(II)
243 reacts with H₂O₂ to form [•]OH. The major obstacle of the photo-Fenton process is that Fe(III)

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244 precipitates in water at pH > 5 and, hence Fenton processes need to be operated at acidic conditions,
245 to avoid excessive iron sludge formation and to improve process efficiency. Review articles on
246 Photo-fenton, including solar photo Fenton are available (Malato et al., 2009, Spasiano et al., 2015).
247 Recent developments are related to using complexing agents to operate at pH 7 and using less
248 costly reactor concepts (Cabrera-Reina et al., 2021, Clarizia et al., 2017).

249 **Heterogeneous photocatalytic AOPs.** Research on photocatalysis for degradation of refractory
250 pollutants has been intense since the discovery of photocatalytic water splitting (Fujishima, Honda,
251 1972). Heterogeneous photocatalysis employs a range of semiconducting catalysts, of which TiO₂
252 and ZnO are the most widely researched materials (Chong et al., 2010, Lee et al., 2016). Despite
253 much research on photocatalysis in the last decades, including large-scale demonstration on the
254 use of solar spectrum UV-A and UV-B radiation (Malato et al., 2009), photocatalysis is rarely applied
255 in water treatment beyond lab and pilot scale (Loeb et al., 2019). There is an ongoing quest for new
256 photocatalysts, with a broad variety of synthesis approaches taken, with the aim to either increase
257 quantum efficiency or to expand the useable wavelength range to access a larger part of the
258 electromagnetic spectrum (Malato et al., 2009). Limitations and barriers for industrial uptake of
259 photocatalysis comprise low energy efficiency, including low quantum efficiency of photocatalysts,
260 complex reactor design, catalyst immobilization and process integration. In a critical analysis of the
261 technology and market prospects of photocatalysis, Loeb et al. (2019) suggest to overcome the
262 barriers to implementation of photocatalysis by focusing on niche applications and emphasizing the
263 unique advantages of photocatalysis over competing technologies. One example is the ability to
264 generate reductive conditions to treat oxyanions (e.g., nitrate) or certain heavy metals such as
265 chromate or arsenate. The ability to work largely chemical-free can be a valuable competitive
266 advantage for small-scale and remote applications. One such promising example relevant to
267 achieving the United Nations Sustainable Development Goals is the photocatalytic enhancement of
268 solar disinfection (SODIS) (Cowie et al., 2020).

269 **Lamp technology.** New UV radiation sources in water treatment have been tested, primarily for
270 disinfection and photocatalysis in the UV-A range (Hinds et al., 2019). UV-light emitting diodes or

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271 UV-LEDs are radiation sources based on semiconductors such as gallium nitride (GaN), indium
272 nitride (InN), and aluminum nitride (AlN). So far, it has been possible to produce LEDs with an
273 emission wavelength as short as 210 nm (Kneissl et al., 2019). The acquisition costs of UV LEDs
274 with wavelengths < 300 nm are currently still high, while the service life, the radiant power, and
275 energy efficiency are limited compared to visible spectrum LEDs (Kneissl et al., 2019). The small
276 size and control of individual LEDs enables an innovative reactor design and a larger range of
277 applications (Autin et al., 2013, Song et al., 2016). UV LED development is a fast-paced research
278 field, and it is likely that UV LED will soon become the lamp option of choice for many applications,
279 not least because of anticipated regulatory pressures regarding the use of mercury. For a
280 comprehensive outlook on the development of UV emitters based on LED technology see Amano
281 et al. (2020).

282 Alternative lamp technologies have been explored to generate vacuum UV (VUV) radiation (i.e.,
283 <200 nm) that can be used to photochemically split water into $\cdot\text{OH}$ and solvated electrons (Legrini
284 et al., 1993). Lamps employed for AOP development include Xe Excimer lamps at 172 nm emission
285 and, more recently, LP-Hg arcs at 185 nm emission, with the latter having a photon conversion
286 efficiency of 4-8% for the electricity invested (Imoberdorf, Mohseni, 2011). The main challenges to
287 implement the VUV process relate to the low penetration depth of VUV into water and possible by-
288 product formation by inorganic ions. At 185 nm, the decadic absorption coefficient of pure water is
289 1.8 cm^{-1} ($\epsilon_{\text{H}_2\text{O},\lambda=185\text{nm}} = 0.032 \text{ M}^{-1} \text{ cm}^{-1}$) (Weeks et al., 1963) meaning that almost 90% of the photons
290 are absorbed in the first 5 mm of the optical pathlength. Therefore, the treatment of large volumes
291 of water requires the development of reactor concepts that go beyond thin-film reactors and enable
292 efficient use of 185 nm photons (and ideally also exploit 254 nm photons) without excessive pumping
293 energy or reactor construction costs. Note that in most water matrices, other than reverse osmosis
294 permeate, penetration depth will be substantially lower due to the competing light absorption of
295 common inorganic anions, specifically chloride (Furatian, Mohseni, 2018). VUV absorption by
296 chloride in real water matrices raises similar concerns as the UV/chlorine process regarding the
297 formation of halogenated oxidation byproducts. Analogously, in waters with high nitrate

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298 concentrations, nitrate photolysis may generate potentially harmful nitrogenous oxidation
299 byproducts (Lyon et al., 2014, Martijn et al., 2016). This is an aspect that has not yet been thoroughly
300 investigated for the VUV process.

301 **2.4 Other AOPs**

302 Here, "other AOPs" include a broad and diverse range of approaches to generate radicals in water
303 for treatment applications. Apart from heat-activated persulfate activation, these approaches largely
304 are more energy intensive treatment solutions compared to the other three groups of AOPs (i.e.,
305 ozone-based, radiation-driven and catalytic AOPs, Figure 1) (Miklos et al., 2018). Despite
306 comparably high energy demand, these processes may have unique features (e.g., chemical-free
307 operation) that make them attractive for specific niche applications (e.g., in small and decentralized
308 systems). In addition, ultrasound, plasma treatment, supercritical water oxidation, and
309 electrochemical oxidation have been discussed for the removal of highly refractory poly- and
310 perfluoroalkyl substances (PFAS)(Pinkard et al., 2021, Radjenovic et al., 2020, Topolovec et al.,
311 2022, Vecitis et al., 2009). However, PFAS are highly persistent to $\cdot\text{OH}$ attack and breakdown is
312 related to different mechanisms, e.g., pyrolysis during ultrasound treatment (Vecitis et al., 2008), or
313 direct electron transfer at anode surface (Radjenovic et al., 2020).

314 Application of ultrasound in water with frequencies of 20-1000 kHz generates oscillating gas bubbles.
315 During the growth of these bubbles, expansion gas is drawn inside the bubble. Subsequent collapse
316 of the bubbles leads to locally high temperatures (> 4000 K) at the microscale (Rae et al., 2005).
317 The resulting pyrolysis of water vapour inside the bubbles yields $\cdot\text{OH}$ and $\text{H}\cdot$ radicals, which do not
318 readily recombine due to the high temperature (Sonntag, 2008). Hence, $\cdot\text{OH}$ diffuse outside the
319 bubble and accumulate at the bubble surface. The local accumulation of reactive species results in
320 comparably high energy demand for contaminant removal (Miklos et al., 2018). To the best of our
321 knowledge, this process has never been tested at pilot or full scale.

322 Plasma is a gas-like state of matter in which a significant portion of molecules or atoms are ionized.
323 This makes plasma highly conductive and a potential initiator of reduction and oxidation reactions.
324 Plasma has been frequently proposed for water treatment (Kumar et al., 2021). Hot thermal or

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325 equilibrium plasma states occur at high temperatures, for example in lightnings or plasma arcs,
326 where the ionized plasma gas molecules eject electrons. Substantial energy input is required for hot
327 plasma formation and such plasmas are therefore unsuitable for engineering energy-efficient water
328 treatment. Non-thermal non-equilibrium or cold plasma consists of positively charged molecule ions
329 at ambient temperature and highly energized electrons (Lieberman, 2005). Ionization is induced by
330 strong electric fields such as dielectric barrier or corona discharge, rather than thermal energy input.
331 Potentially, this leads to a much-improved ratio of reactive species generated to energy invested
332 compared to hot plasma.

333 The cascading effects of accelerated electrons impacting on carrier gas molecules and water matrix
334 compounds leads to a plethora of reactive species that include $\cdot\text{OH}$, reactive oxygen species (ROS),
335 but also nitrogen-containing radicals and related species such as different peroxides. Furthermore,
336 the relaxation of excited states may generate photons across the UV range (Bruggeman et al., 2016).
337 All these species can be involved in the degradation of a pollutant (Zeghroud et al., 2020) but the
338 contribution of each reactive species is highly substance and system specific.

339 Regarding the engineering challenges of the process, it is clear that similar to e.g., electrochemical
340 processes, the active reaction volume, i.e., where plasma contacts with water to be treated, is small
341 (Bruggeman et al., 2016). Consequently, efficient reactor engineering is key to ensure adequate
342 mass transfer and to develop practicable solutions (Malik, 2010). Another hardware-related
343 challenge is the development of economic and efficient plasma generation systems tailored to
344 specific needs of water treatment.

345 Thermal activation of persulfate has been used for in situ chemical oxidation to remediate
346 contaminated groundwater and soil (Wacławek et al., 2017). Due to the small bond dissociation
347 energy of the peroxide bond (120 KJ mol^{-1}) (Sonntag, 2006), even moderate temperatures ($> 40 \text{ }^\circ\text{C}$)
348 suffice to cleave persulfate into sulfate radicals (Liang, Bruell, 2008). It has also been shown that
349 slow reactions with high activation energies can become more important/feasible at the elevated
350 temperatures of thermal activation of persulfate (Kim et al. 2022). A disadvantage of using persulfate

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351 is a strong drop in pH and strong radical scavenging effects in the concomitant presence of chloride
352 and bicarbonate (Lutze et al., 2015).

353 Supercritical water oxidation (SCWO) has been shown to be applicable for the degradation of
354 various wastes in laboratory scale and full scale (Brunner, 2009). However, applications other than
355 demonstration sites are very rare or hardly exist so far. The reason is that alternative treatment
356 options such as incineration and dumping are less complex (Brunner, 2009). In supercritical water
357 oxidation, the water under treatment is heated and pressurized to reach the critical state
358 (temperature range 400-650°C at supercritical pressures) (Brunner, 2009). In the super critical state,
359 water becomes mixable with nonpolar compounds, while polar and ionic compounds may still remain
360 soluble (Weingärtner, Franck, 2005). However, inorganic compounds such as salts can precipitate
361 and be treated as solid waste. In this way, it has been possible, e.g., to separate radioactive
362 elements from bulky non-flammable material of artificial nuclear power plant wastes in bench-scale
363 experiments, which may reduce the volume needed for radioactive waste storage (Sugiyama et al.,
364 2005). Under conditions of SCWO the oxidation process is favoured by high (gas phase) diffusion
365 rates combined with high liquid phase collision rates. Oxygen is typically used as oxidant and as a
366 source of oxygen, H₂O₂ can be used, which decomposes into oxygen upon its thermal
367 decomposition (Brunner, 2009) .

368 In electrochemical advanced oxidation processes, [•]OH are directly generated from water oxidation
369 at the electrode surface (Chaplin, 2014). Among numerous used electrode materials, boron-doped
370 diamond (BDD) and mixed metal oxides (MMO) are mostly applied for the removal of organic
371 compounds in water treatment (Shestakova, Sillanpää, 2017). BDD electrodes are mainly applied
372 at smaller scale for water treatment, e.g., for the removal of chemical oxygen demand (COD) in
373 industrial wastewaters or the disinfection of ballast water (Moreno-Andrés et al., 2018, Radjenovic,
374 Sedlak, 2015). Due to the efficient conversion of electrical energy into [•]OH and secondary oxidants
375 (H₂O₂, O₃) and the chemical-free operation, electrical AOPs are often considered as
376 environmentally-friendly treatment solutions (Tröster et al., 2004). However, additional energy is
377 required to facilitate transfer of contaminants to reactive species generated at the electrode surface.

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378 In addition, chloride is oxidized to active chlorine, which can be rapidly oxidized to chlorate and
379 perchlorate (Radjenovic, Sedlak, 2015). Current research is focused on new electrode design to
380 optimize mass transfer and concepts to mitigate by-product formation (Shestakova, Sillanpää, 2017,
381 Yang, 2020).

382 **3 Comparison and benchmarking of AOPs**

383 One of the first concepts for figures-of-merit for comparing AOPs was proposed in 1996 (Bolton et
384 al. (1996)) and subsequently published as an IUPAC Technical Report (Bolton et al., 2001). Given
385 that ultimately most AOPs are electrically driven, the concept employs electric energy required to
386 decrease the concentration of a target contaminant by 90%, i.e., by one order of magnitude. The
387 electric energy per order (EEO) concept applies to AOP systems with dilute (low) concentration of
388 contaminants and therefore most water treatment applications. There are variations of the concept
389 for systems with high contaminant concentration using electric energy per mass (EEM) and for solar-
390 driven systems using solar collector area instead of electric energy (Bolton et al., 2001). For light-
391 induced AOPs, the EEO concept has been further elaborated to use fluence-based rate constants
392 depending on fundamental photochemical probe compound characteristics i.e., quantum yield and
393 molar absorption coefficients, for both single wavelengths and polychromatic light (Bolton, Stefan,
394 2002, Stefan, Bolton, 2005). The EEO concept has been extensively applied on most AOPs,
395 including ozonation and peroxone (Katsoyiannis et al., 2011, Pisarenko et al., 2012, Yao et al., 2018),
396 electrochemical (Lanzarini-Lopes et al., 2017, Radjenovic, Sedlak, 2015), ultrasound-based
397 (Mahamuni, Adewuyi, 2010), and both homogeneous and heterogeneous UV-based AOPs
398 (Katsoyiannis et al., 2011, Saien et al., 2011, Zhang et al., 2020). Thereby, the EEO concept has
399 proven useful for the initial assessment and comparability of the energy efficiency across different
400 AOPs. However, within each class of AOP, additional relevant experimental and water quality
401 parameters are required to allow for appropriate comparison between different target compounds,
402 water matrices, and reactors. For example, UV/H₂O₂ requires reporting of probe compound
403 concentration, molar absorption coefficients, second-order reaction rate constants with [•]OH (k_{OH}),
404 observed reaction rate constants (k_{obs}), and direct phototransformation rates. In addition, the water

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405 matrix pH, light absorbance, and $\cdot\text{OH}$ scavenging rates by non-target compounds, e.g., natural
406 organic matter should be reported (Keen et al., 2018). To extrapolate upscaling from bench to pilot
407 and full scale, changes in reactor fluid dynamics, mixing and mass transfer, light distribution,
408 including transmittance and path lengths need to be considered (Keen et al., 2018). The variance of
409 literature data within individual AOPs indicates the difficulty to compare processes at different scale
410 and in different water matrices (Miklos et al., 2018).

411 In addition, the electrical energy dose (EED) of a treatment process can be determined. The EED is
412 defined as “electrical energy (kWh) consumed per unit volume [...] of water treated” (Collins, Bolton,
413 2016). For example, for a given UV-AOP it is the UV-reactor’s energy demand divided by the flow
414 rate for a specific treatment target or for a defined percentage lamp ballast power (regulating
415 supplied voltage and current). This factor is independent from the water matrix and allows a direct
416 comparison of different treatment processes. However, it requires a precise definition of the system
417 boundaries to allow a direct comparison of different processes. Scaling effects need to be
418 considered, because large-scale systems are often more efficient than lab-scale processes (Collins,
419 Bolton, 2016). While the EED and EEO have their eligibility as sound factors benchmarking the
420 power efficiencies of different AOP-systems, they are lacking qualification as AOP design
421 parameters. This is because of the difference in energy efficiencies of different AOP systems. For
422 example, two given AOP systems, A and B, may achieve the same treatment target. However, due
423 to different equipment properties such as differences in the efficiency of ozone generation, UV light
424 distribution, or different hydraulic conditions inside each reactor, both EED and EEO of A and B may
425 differ. Therefore, at the same EED or EEO, system B might under- or overachieve the treatment
426 target in comparison to system A.

427 In the UV-AOP business for instance, the market is currently shifting away from use of EED and
428 EEO as design parameters for micropollutant abatement towards the Reduction Equivalent Dose
429 (RED), similar to the RED defined by the Ultraviolet Disinfection Guidance Manual UVDGM for
430 pathogen reduction (Schmelling et al., 2006) (personal conversation, Xylem). As rule of thumb,

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431 disinfection requires less than 10% of energy demand compared to micropollutant reduction to
432 achieve the same RED value.

433 **4 Selection of suitable probe compounds, model compounds and scavengers**

434 Chemical probe compounds, including scavengers and quenchers, have served a central role as
435 diagnostic tools in AOP research (Wang, Wang, 2020). Probe compounds are selective, typically
436 low molecular weight, molecules that allow kinetic and mechanistic investigation of an AOP.
437 Scavengers are compounds that react with or trap reactive species. Quenchers deactivate excited
438 states by energy transfer, electron transfer, or a chemical mechanism (IUPAC, 2019). However, they
439 are used for very similar objectives and therefore jointly named scavengers in the following. AOP
440 literature does not always clearly distinguish between probe, indicator, and model compounds. Here,
441 we define model compounds as actual contaminants or representatives that occur in a specific
442 treatment scenario. The term indicator is synonymous and not used in this paper. In contrast, probe
443 compounds also include compounds that are rarely encountered in water treatment and are only
444 used for diagnostic purposes.

445 Ultimately, both probe and model compounds (if selected based on similar criteria than probe
446 compounds) can be used to gain information on the efficiency of AOPs and to determine reactive
447 species concentration and process performance, including under full-scale conditions (Lee et al.,
448 2014, Wünsch et al., 2021). There is a wide range of probe compounds available for reactive species
449 in water, as recently reviewed (Burns et al., 2012, Fennell et al., 2022, Nosaka, Nosaka, 2017,
450 Rosario-Ortiz, Canonica, 2016, Scholes, 2022). Here, we briefly discuss requirements for suitable
451 probe compounds and provide a few examples for frequently employed compounds for the most
452 relevant reactive species in AOPs.

453 The use of probe compounds in AOP research is imposed by the difficulty to measure reactive
454 species directly given their short lifetime. The half-life ($t_{1/2}$) of reactive species produced in AOPs
455 and AOP-like processes in pure water is typically in the range of microseconds (μs) as for $\cdot\text{OH}$ and
456 $\text{SO}_4^{\cdot-}$, to milliseconds (ms) for less reactive species such as carbonate radicals and superoxide
457 radicals (Burns et al., 2012, Zhou et al., 2017). Non-radical oxidants such as ozone and H_2O_2 are

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458 more stable with half-lives in the range of minutes to hours (Gardoni et al., 2012, Hoigné, Bader,
459 1994). In real water matrices, lifetimes for most reactive species may be much shorter due to the
460 presence of reactants, including scavengers (see this section further below). Generally, short-lived
461 reactive species in water can be measured and characterized directly by laser flash photolysis and
462 pulse radiolysis hyphenated with fast UV-vis spectroscopy, and by electron spin resonance after
463 scavenging with a spin trap, which has resulted in comprehensive compiled reaction rate datasets
464 for radicals in aqueous solutions (Buxton et al., 1988, Neta et al., 1988). However, these methods
465 require expensive specialist non-portable instrumentation and considerable expertise with limited
466 availability to most researchers.

467 There are several requirements for a suitable probe compound in AOP research. A probe compound
468 should react fast and selective with the reactive species of interest with a known second-order
469 reaction rate constant. The reaction of the probe compound with the reactive species should be
470 specific and well-defined, preferably with a known reaction mechanism. A probe compound should
471 not physically interact with the system under investigation, for example via adsorption on solids in
472 heterogeneous processes or on electrodes in electrochemical AOPs. Ideally, probe compounds
473 should only react via one clearly defined transformation pathway. This is especially important in
474 combined AOPs with more than one significant reactive species. Particularly, ozone- or UV-based
475 AOPs require the selection of probe compounds that are insensitive to ozone and photolysis,
476 respectively. To elucidate and distinguish between different radical sources (e.g., HOCl, H₂O₂, and
477 persulfate in UV-based AOPs), a suite of probe compounds or model compounds may be required
478 that exhibit a wide-ranging selectivity toward the relevant individual oxidants present (Guo et al.,
479 2021, Guo et al., 2022b, Zeng, Arnold, 2013). Similarly, the study of complex systems involving the
480 formation of secondary and tertiary radicals may require a combination of probe compounds and
481 selective scavengers (Guo et al., 2021, McElroy, 1990). An exemplary procedure for a sulfate
482 radical-based process in the presence of chloride is provided by Lutze et al. (2015).

483 Preferably, probe compounds should be inexpensive, non-toxic, non-carcinogenic, and readily
484 dissolvable in water at a desired concentration without the need for co-solvents. To determine

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485 oxidant exposures, probe compounds are used at low concentrations to not significantly lower the
486 concentration of reactive species by acting as a scavenger themselves. Probe compounds or
487 reaction products should be straightforward to measure with available analytical equipment. UV/Vis-
488 spectrophotometry has been often the analytical method of choice for initial assessment of AOPs
489 due to its accessibility and availability of portable devices. As non-separating analytical method,
490 UV/Vis has disadvantages due to possible signal interference with reaction products and water
491 matrix components, especially when working with dyes (Wang et al., 2020). Other, typically
492 employed analytical techniques for probe compounds in AOP research include fluorescence
493 spectroscopy, HPLC-UV/Vis or HPLC/MS, and to lesser extent ion chromatography.

494 The $\cdot\text{OH}$ is the reactive species of highest interest for most AOPs. Treatment concepts based on $\cdot\text{OH}$
495 can be adequately evaluated via spectrophotometric monitoring of the removal of chromophores
496 often dyes such as rhodamine B, methylene blue, and fluorescein. For a summary of different
497 approaches for UV/ H_2O_2 , including assessment of an external standard calibration method using
498 methylene blue see Wang et al. (2020). Typical probe compounds for $\cdot\text{OH}$ that can be readily
499 measured via HPLC include *para*-chlorobenzoic acid (*p*CBA), *para*-nitrobenzoic (*p*NBA) acid, and
500 atrazine (Huber et al., 2003, Katsoyiannis et al., 2011, Lutze et al., 2015, Wenk et al., 2011). For
501 UV-only probe compounds, including actinometry, see section 5.2 for fluence rate determination.

502 It is important to distinguish between the various scavengers present in real water matrices, such
503 as organic matter and inorganic ionic species, which have significant effects on AOP treatment
504 performance (Keen et al., 2014, Lado Ribeiro et al., 2019, Nöthe et al., 2009, Vione et al., 2006,
505 Zhang, Parker, 2018), and those employed for diagnostic purposes. Diagnostic scavengers can be
506 used to indicate and quantify the presence of radicals, non-radical reactive species, and excited
507 states in AOPs by suppressing reactions. In principle, any suitable probe compound can serve as a
508 scavenger, but in contrast to its role as a probe it must be added in sufficiently high concentration to
509 outcompete the radical reactions with the matrix constituents. To adjust the dosing of the scavenger,
510 the reaction rate constants of the reactive species of interest with all matrix components and with
511 the scavenger must be known. As rule of thumb, a scavenger should trap more than 95% of the

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512 reactive species, which can be determined by competition kinetics calculations as described by
513 Willach et al. (2017). Typical scavengers for $\cdot\text{OH}$ are e.g., *tert*-butanol, and dimethyl sulfoxide
514 (DMSO) (Flyunt et al., 2003). $\cdot\text{OH}$ reaction with *tert*-butanol and DMSO leads to the formation of
515 formaldehyde (yield \approx 25%) and methanesulfinic/methanesulfonic acid (yield of the sum of each \approx
516 98%), respectively (Flyunt et al., 2003). Quantification of these transformation products allows to
517 calculate the formed $\cdot\text{OH}$ (Flyunt et al., 2003). While a large variety of substances can be used to
518 scavenge different reactive species (Wang et al., 2021), many scavengers are non-specific and do
519 not unequivocally indicate the presence of a single reactive species only. In such cases, in addition
520 to matrix reactions, reaction rate constants with all relevant reactive species should be considered
521 to avoid misinterpretation of the results. Working at relatively high concentrations, often in the
522 millimolar range, provides additional challenges. Scavenger reactions may lead to formation of
523 secondary reactive species or formation of unexpected products, which may interfere with reaction
524 mechanisms, pathways, and kinetics (Zhou et al., 2015). The use of scavengers, thus, requires
525 appropriate control experiments to assess reactivity of the scavenger with the oxidants, the target
526 compounds, and the matrix. For heterogenous AOPs, reiteration of solubility and adsorption
527 consideration of scavengers onto materials may be required to assess the impact on dissolved and
528 surface-bound reactive species.

529 **5 Basic rules for oxidation experiments**

530 Knowledge transfer from many recent AOP studies is limited because experiments were operated
531 with set-ups that are not adequately characterized or comparable. Requirements regarding the
532 experimental design and operation depend on the objective of the study. Initial feasibility tests to
533 confirm the formation of reactive species or the removal of a selected probe compound can be
534 conducted in pure or synthetic water matrices using non-standardized experimental set-ups in the
535 laboratory (see section 6.1 for details). In contrast, for a sophisticated comparison of costs and
536 energy demand, lab-scale experiments should provide comparable and scalable information from
537 standardized experimental set-ups. Ideally, these experiments are conducted in real waters to
538 account for the strong impact of the water matrix on process efficiency (see section 6.2). So far,

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539 standard experimental procedures have been described only for UV-based processes (Bolton,
540 Linden, 2003), and such equipment may not be accessible for researchers or may be unsuitable
541 especially for newly developed treatment concepts. This section provides recommendations for the
542 systematic selection of experimental procedures, when standardized set-ups are undefined,
543 unavailable or unsuitable for the process at study.

544 **5.1 General aspects**

545 Requirements for experimental set-ups of AOPs are highly process specific and discussed
546 separately in the following sections. As already briefly outlined in the section on comparison and
547 benchmarking, the water matrix needs to be well-defined, and possible matrix effects on the
548 oxidation process reported.

549 Broadly, the matrix has three impacts. First, the matrix can compete with radical precursors, e.g.,
550 absorbing photons causing an inner filter effect or consuming ozone (Sonntag, Gunten, 2012,
551 Ulliman et al., 2018). In some cases, this can generate secondary reactive species (Hübner et al.,
552 2015, Sonntag, Gunten, 2012). Second, matrix components can scavenge radicals terminating
553 radical chain reactions in non-productive ways towards treatment targets (Ulliman et al., 2018). Third,
554 upon scavenging of highly reactive radicals, less reactive and longer-lived radical species such as
555 carbonate radicals, superoxide, or dichloride anion radicals can be produced (Wang, Wang, 2021).
556 Depending on their respective reactivity with a target compound and their tendency to accumulate
557 at higher concentrations due to their longevity compared to other radical species, such secondary
558 reactive species can contribute significantly to the degradation of a target compound (Zhou et al.,
559 2020). Probe compounds (see section 4) can be used to estimate the contribution of different
560 radicals. Depending on the target application, matrix components that contribute to scavenging may
561 include organic matter (typically measured as dissolved or total organic carbon, DOC/TOC),
562 inorganic carbon or alkalinity, and nitrogen species (nitrate, nitrite, ammonia). In addition, process-
563 specific reporting of additional water quality parameters affecting the radical generation might be
564 needed (see details in sections 5.2-5.5). Similarly, the pH must be recorded and reported at least
565 before and after, and if possible during the experiment, as it can affect acid-base-equilibria and

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566 reactivity of matrix and target contaminants (Canonica et al., 2008, Prasse et al., 2015b, Wenk et
567 al., 2021). In experiments with synthetic waters, buffer effects should be considered as for example
568 carbonate and phosphate buffers may scavenge radicals, form secondary radicals or interact with
569 catalysts (Canonica et al., 2005, Gottschalk, 2010, Maruthamuthu, Neta, 1978). Furthermore,
570 concentrations of any added chemicals need to be listed.

571 **5.2 UV-based processes**

572 **Fluence-based evaluation.** As outlined in the previous section on benchmarking, scale and
573 geometry importantly affect EEO and EED. That situation is generally exacerbated for laboratory-
574 scale set-ups, which are rarely designed for optimal energy efficiency. At laboratory scale, it is
575 preferable to focus on directly evaluating the photochemical processes only, i.e., direct photolysis of
576 contaminants and photolysis of radical precursor species such as H_2O_2 . This is done by using set-
577 ups that allow assessing photochemical reactions as function of the fluence rate (IUPAC, 2019) in
578 the reactor as basis for comparing photochemical studies.

579 The fluence rate allows to model the fundamental reactions i.e., radical formation rate, direct
580 photolysis and it can be used to determine fundamental photochemical characteristics such as
581 quantum yields of photochemical reactions. These fluence-based parameters such as reaction rates
582 can be translated in time-based parameters by simple calculations with the apparent fluence rate at
583 hand when needed (Katsoyiannis et al., 2011).

584 **Light source and its impact on process evaluation.** The choice of light source is usually
585 intrinsically related to the goal of the study, but the experimenter needs to be aware that the choice
586 of photon source will impact the process evaluation procedure. There are quasi-monochromatic light
587 sources (e.g., low-pressure Hg lamps, excimer lamps, and LEDs with a slightly broader emission
588 peak) and polychromatic light sources (e.g., medium- and high-pressure mercury lamps, Xenon arc
589 lamps, or sunlight). Fundamental photochemical properties such as molar absorption coefficients
590 and quantum yields of photochemical reactions depend on wavelength. How this can be addressed
591 has been extensively discussed for UV disinfection processes (Bolton et al., 2015). The same
592 approach has been transferred also to AOPs (Velo-Gala et al., 2019).

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593 **Fluence rate determination.** There are several methodologies to measure the photon flux. These
594 can rely on different principles, which affects how the information obtained can be used to determine
595 fluence rate. First, there are numerous chemical actinometers, most of which have been
596 conveniently described in an IUPAC Technical Report (Kuhn et al., 2004), some of which have been
597 revisited recently by Rabani et al. (2021). Among them we can distinguish opaque actinometers,
598 e.g., the iodide/ iodate actinometer frequently used to determine 254 nm radiation (Rahn, 1997,
599 Rahn et al., 2003) and non-opaque actinometers such as the uridine actinometer, also used to
600 determine 254 nm radiation (Rabani et al., 2021). The first type essentially counts photons entering
601 the solution yielding a value for irradiance, whereas with the second type an average fluence rate is
602 directly estimated. It should be noted that actinometers provide information different from
603 biodosimetry. The latter is suited to identify deficient mixing and radiation fields in reactors leading
604 to a broadened distribution of applied UV dose (Wols et al., 2012). This is an aspect particularly
605 important in disinfection, where several orders of magnitude of microorganism inactivation are
606 typically envisaged. For AOPs it tends to be of lesser relevance, except perhaps in processes prone
607 to mass transfer limitations. Finally, radiometers and spectroradiometers are commonly applied to
608 measure by means of an electronic device, calibrated against an absolute standard, the photon flux
609 at a chosen location in the experimental set-up (Bolton, Linden, 2003).

610 When choosing the way to measure fluence-rate, the experimenter must be aware that using opaque
611 actinometers and radiometer measurements may require a complex mathematical post-processing
612 to obtain a reliable fluence-rate (depending on the geometry of the photochemical reactor). This
613 issue can be circumvented by using a simplified geometry such as a quasi-collimated beam
614 apparatus (see below). Also, using polychromatic light sources can complicate the use of
615 actinometers for this purpose, although wavelength-dependent quantum yields have been reported
616 for several commonly used actinometers (Rabani et al., 2021).

617 Finally, on a very practical level, it is recommended to implement a combined approach of radiometry
618 and actinometry in the laboratory, whereby on a routine-basis radiometry is used to determine

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619 irradiance and chemical actinometry is used periodically to verify that the calibration of the
620 radiometer is still accurate and does not show drifts.

621 **Advantages and disadvantages of different laboratory set-ups.** From a chemical engineering
622 point of view, we can distinguish continuously stirred tank reactors (CSTR) and flow-through reactors.
623 Among CSTRs, the most referred to and most standardized approach is the quasi-collimated beam
624 apparatus (qCB) (Bolton, Linden, 2003). In flow-through reactors, we can distinguish single-pass
625 and multiple-pass systems, i.e., where treated fluid is fed back to a feed tank and recycled multiple
626 times through the photoreactor.

627 A qCB consists of a (i) light source, (ii) an optical system that eliminates non-parallel radiation and
628 (iii) a shallow, typically round photoreactor whose surface is homogeneously illuminated with the
629 resulting parallel rays. Guidance on system design and acceptable deviations from ideality (therefore
630 quasi-collimated beam) have been reported (Bolton, Linden, 2003) and recently complemented with
631 additional guidance on evaluation (Bolton et al., 2015). The key advantage of this geometry is that
632 due to its simplicity the pathlength of photons and its attenuation by absorption through the treated
633 solution is well-defined. Hence all chemical actinometers as well as radiometry are suitable to
634 determine fluence rate without complex mathematical processing. qCB systems have been
635 extensively used in research using mercury lamps but with modern LEDs with comparably higher
636 power outputs, it is straightforward to construct a qCB with multiple LEDs to satisfy qCB design
637 criteria (e.g., APRIA Systems, 2022).

638 Other CSTR reactors include similar photoreactors, in its simplest form a beaker, exposed to light,
639 often used when working with solar light or solar simulators only. In such geometries, measuring
640 fluence rates accurately is more challenging due to the complex direction and optical pathlength of
641 rays through the treated solution. Actinometers that directly estimate fluence rate or biosimetry
642 are preferable rather than opaque actinometers and radiometers to avoid the complex post-
643 processing to obtain fluence rate from the actinometry result (Bolton, Linden, 2003). Radiation
644 evaluation methods and processes for matching wavelength-dependent responses apply in analogy
645 to action spectra for different pathogens and irradiation sources in disinfection (Bolton, Cotton, 2008).

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646 The second type of photoreactor are flow-through systems, either single pass or multi-pass,
647 including plug-flow reactors. Radiation input into such systems is characterized by biosimetry
648 (often provided by the manufacturer) or actinometry (often conducted in the research laboratory).
649 When using such systems measured fluence rates and radiation distribution are not transferable
650 across optically different solutions e.g., clear water vs. wastewater. Actinometry must be conducted
651 separately for each solution. Similarly, when using radiometry or opaque chemical actinometers
652 geometric complexities and hydraulic flow fields need to be considered. For multi-pass systems,
653 choice of sampling points, recirculation velocity, feed tank volume, and mixing is important to obtain
654 meaningful results. Such considerations are especially important for upscaling to pilot systems, for
655 more details see (Malato et al., 2009).

656 **5.3 Ozone-based processes**

657 **Ozone consumption and mass transfer.** Transfer of results from lab-scale ozonation requires
658 characterization of injected or reacted (consumed) ozone. While pilot- and full-scale ozone injection
659 systems typically provide mass transfer of >95% gaseous ozone into solution, mass transfer in lab-
660 scale reactors can be highly variable (Gottschalk, 2010). Standardized concepts to determine
661 transfer efficiency of a reactor (e.g. k_{La}) do not provide a reliable characterization of ozonation
662 because the high reactivity of ozone affects its transfer efficiency into water (Gottschalk, 2010).
663 Observed better removal of contaminants with ozone-based AOPs compared to ozone alone may
664 be a result of enhanced mass transfer (and ozone consumption) in inefficient lab reactors and not
665 only related to improved treatment efficiency. To generate transferable data from lab- and pilot-scale
666 ozonation, consumed ozone should be reported as a reliable figure of merit (Hübner et al., 2013). In
667 batch ozonation experiments, monitoring of ozone decay over time can provide helpful
668 complementary information. This section discusses major aspects for experiments with ozone-
669 based AOPs. A detailed manual for ozonation experiments is provided by Gottschalk (2010).

670 **Determination of radical formation efficiency.** In a pure water at neutral pH, ozone is slowly
671 decomposed by water (OH^\cdot , $k = 70 \text{ M}^{-1}\text{s}^{-1}$) giving rise to the formation of $\cdot\text{OH}$ (Merényi et al., 2010b).
672 In more complex matrices such as secondary effluents, elevated ozone decay through reactions

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673 with organic matter also leads to considerable $\cdot\text{OH}$ formation (Buffle, von Gunten, 2006). Active
674 enhancement of radical formation in ozone-based AOPs can therefore have two objectives: i) to
675 accelerate ozone decomposition kinetics into radicals by “quenching” (often residual) ozone with a
676 radical promoter, and/or ii) to enhance overall radical generation compared to single ozonation. In
677 complex water matrices, the benefits of the AOP are often limited due to the competing reactions of
678 organic matter with ozone that already generate considerable amounts of $\cdot\text{OH}$ (Hübner et al., 2015).
679 The $\cdot\text{OH}$ yield in the tested AOP should therefore always be assessed in comparison to single
680 ozonation. In experiments with gaseous ozone, researchers also need to account for potential bias
681 caused by effects on mass transfer (see previous discussion).

682 The R_{CT} -concept by Elovitz, von Gunten (1999), which defines the R_{CT} as the ratio between $\cdot\text{OH}$
683 exposure and ozone exposure, has often been applied to assess efficiency of ozone-based AOPs.
684 However, this concept was not designed for this purpose and R_{CT} values should be evaluated
685 carefully because enhanced kinetics compared to single ozonation primarily reduce ozone exposure
686 in the denominator (Wang, Yu, 2022). We therefore recommend to compare radical yields (or
687 exposures) from ozonation and the tested AOP as a function of the consumed ozone as for example
688 described in Hübner et al. (2015).

689 **Advantages and disadvantages of different lab set-ups.** Like UV-based processes, lab-scale
690 ozonation systems can be distinguished into CSTRs (with injection of gaseous ozone (semi-batch
691 experiments) or as a concentrated ozone solution (batch experiments)), and continuously operating
692 systems.

693 For basic experiments with ozone, batch experiments with an ozone stock solution generated in
694 ultrapure water and injected into the water sample are recommended as the easiest and best
695 characterized approach. Concentration of the stock solution can be controlled by adjustment of
696 ozone gas concentration, pressure, and temperature (Atkins, Paula, 2014, Zietzschmann et al.,
697 2018), and easily measured prior to injection on a photometer or using the indigo method (Bader,
698 Hoigné, 1981). Consumed ozone is then determined as the difference between the diluted stock
699 solution and the residual at the end of the experiments. Previous comparison experiments confirmed

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700 good agreement between contaminant oxidation in CSTR batch experiments and experimental set-
701 ups using gas/liquid mass transfer in the sample (Hübner et al., 2013).

702 For experiments with gaseous ozone, a full ozone mass balance including continuous monitoring of
703 gas flow, in-gas and off-gas ozone, and residual ozone in the water is needed to determine the
704 consumed ozone. Lab-scale experiments are mostly operated in semi-batch mode (gaseous ozone
705 injected into a batch reactor). For an accurate determination of consumed ozone in such
706 experiments, it is important to include all residual ozone in off-gas pipes into the mass balance
707 (Gottschalk, 2010, Hübner et al., 2013). A time-resolved sampling from such experiments is not
708 recommended because the consumed ozone at different times (often referred to as “transferred
709 ozone dose”) is not accurately described.

710 Lab-scale experiments are typically not conducted at continuous water flow, since even the smallest
711 commercially available ozone generators (2-4 g O₃/h) would induce considerable water flow rates
712 (or ozone doses). Electrochemical ozone generation can provide a suitable solution for continuous
713 operation of ozonation at lab scale (Zoumpouli et al., 2019). As an alternative approach, gaseous
714 ozone can be injected into a side stream to generate a concentrated solution, which is then
715 continuously mixed into the sample (Ying et al., 2021). Continuous flow operation might be required
716 for some applications, e.g., mid- to long-term stability testing of catalytic ozone decomposition or the
717 continuous feeding into a post-treatment step.

718 **Set-up modifications and important aspects for ozone-based advanced oxidation.** Procedures
719 for testing ozone-based AOPs depend on the objectives and conditions of the target application. In
720 most studies, radical promoters or catalysts are dosed before ozonation. However, for some
721 applications, parallel or later dosing might be more beneficial, e.g., to reduce competition with ozone-
722 reactive water constituents or to utilize the efficiency of direct ozone reactions (e.g., for disinfection)
723 before rapid decomposition during the AOP.

724 For heterogeneous catalytic ozonation, the reactor design should be carefully selected. In addition
725 to the basic rules for catalytic AOPs (see section 5.4), the experimenter needs to account for ozone-
726 related characteristics of the process including the potentially different interaction of gaseous and

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727 dissolved ozone with the catalyst and the ozone decay into $\cdot\text{OH}$ without catalyst. Reference
728 experiments at identical conditions are needed to test effects of ozone alone (ideally with a non-
729 catalytic reference material) as well as sorption of probe compounds onto the catalyst. Different
730 probe compounds may be used to account for various affinity to the catalyst. Moreover, the
731 experiments should provide information on the stability of catalytic activity, because $\cdot\text{OH}$ can also
732 be generated by finite reactions, e.g., from the reaction of ozone with activated carbon (Sánchez-
733 Polo et al., 2005).

734 **5.4 Catalytic AOPs**

735 **Characterization of the dissolved compounds and the catalyst.** In contrast to established
736 ozone- or UV-based processes, experimental protocols for catalytic AOPs are far less standardized
737 (Bligaard et al., 2016), which complicates the comparability between different studies and oxidation
738 processes. In this case, the experimenter must carefully select and report a suitable set-up so that
739 the research outcomes are not only repeatable but also transferrable.

740 Catalytic AOPs require consideration and thorough characterization of (i) the homogeneous
741 (dissolved) and / or heterogeneous (solid) catalyst, and (ii) the water quality. While most
742 homogeneous catalysts are straightforward to describe, characterization of heterogeneous catalysts
743 can be a research task in itself, requiring the use of sophisticated analytical techniques to determine,
744 e.g., catalyst loading density for supported catalysts, particle size, surface area to volume ratio,
745 surface charge, and other relevant quantities. Besides, the synthesis of the catalyst must be reported
746 in detail. It must be taken into account that the properties of the catalyst may change in the
747 application environment compared to the conditions during material characterization. For instance,
748 solution pH can change the surface charge of heterogeneous catalysts and affect their reactivity
749 (Gottschalk, 2010). Water quality measurements should include parameters listed in section 5.1.

750 **Process evaluation.** For an initial feasibility test with new catalyst materials, contaminant or probe
751 compound degradation kinetics can be measured in direct comparison to an established catalyst
752 using the same experimental set-up (see section 6.1). To generate scalable data for benchmarking
753 of the process, the radical formation efficiency can be determined via an adequate system of probe

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754 compounds and radical scavengers as described in section 4. Given the complexity of a catalytic
755 system, control experiments are required for the reactions of probe compounds with the oxidant and
756 catalyst separately, including possible physical interactions with the catalyst. Catalytic activity can
757 be normalized by combining observed kinetics with applied catalyst concentration to determine
758 kinetics-related metrics such as turnover frequency (Kozuch, Martin, 2012), which denotes the
759 number of reactions per catalytic reaction center or, alternatively, per catalyst mass or surface area.
760 Note that the turnover frequency is sometimes used interchangeably with the turnover number,
761 which describes the maximum number of reactions before catalytic activity is lost (Kozuch, Martin,
762 2012). In addition to compound removal, the process evaluation should also include consumption,
763 stability, life cycle, regeneration potential, and toxicity of the catalyst as well as (sacrificial) chemical
764 and energy input demands.

765 **Advantages and disadvantages of different lab set-ups.** Since the evaluation of catalytic
766 systems is inherently nontrivial, we recommend CSTR reactors for fundamental studies on
767 evaluating catalytic activity. This is because CSTR reactors allow for straightforward control of the
768 experimental environment and exclusion of mass transfer limitations for most catalytic systems.

769 Flow-through or flow-by reactors can be appropriate in applications with inherent mass transfer
770 limitations. For catalytic membranes, e.g., the applicable transmembrane flow velocity will be always
771 a limiting factor. Similarly, using reactors with mass-transfer limited geometries can be important,
772 when the innovation is a novel catalyst (support) geometry by itself (Tasso Guaraldo et al., 2021,
773 Warren et al., 2022). However, in such cases mass transfer-related parameters require thorough
774 characterization and reporting.

775 **5.5 Other AOPs**

776 The diverse range of other AOPs is challenging to evaluate because standardized set-ups and
777 suitable figures-of-merit are mostly not available and different treatment efficiency is observed with
778 different lab reactors. For example, for plasma treatment, energy yield, which was defined as mass
779 of pollutant degraded (grams) per unit of electrical energy invested (kWh) at a given percentage of
780 degradation, was differing by up to five orders of magnitude among studied experimental systems

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781 (Malik, 2010). Also results from sonolysis using slightly different reactor design at the same
782 experimental conditions were not comparable (Hung, Hoffmann, 1999). Reactor concepts for pilot-
783 and full-scale operation are often not available, which further limits upscaling of costs and energy
784 efficiencies to realistic treatment scenarios. In addition, mass transfer will play an essential role in
785 practical application and hence, experimental set-ups will have to cope with this situation and with
786 the related difficulties in reporting accurately. For instance, contaminant removal by electrochemical
787 oxidation can be improved by increasing turbulent flow at the electrode, but this will also increase
788 energy demand for pumping. As advised previously for other processes, describing the reactor
789 characteristics as well as the process conditions including the hydraulic conditions becomes even
790 more critical for these processes. Ideally, this includes relevant parameters for the energy efficiency
791 of the set-up (e.g., the calorimetric efficiency of transducers used for sonochemical treatment). A
792 detailed review of this diverse set of processes goes beyond the scope of this manuscript and we
793 kindly refer to review papers outlining reactor concepts for electrochemical oxidation (Radjenovic,
794 Sedlak, 2015), plasma (Malik, 2010), and cavitation processes (Gagol et al., 2018).

795 **6 Implications for future research: Assessment of new concepts and materials for** 796 **advanced oxidation**

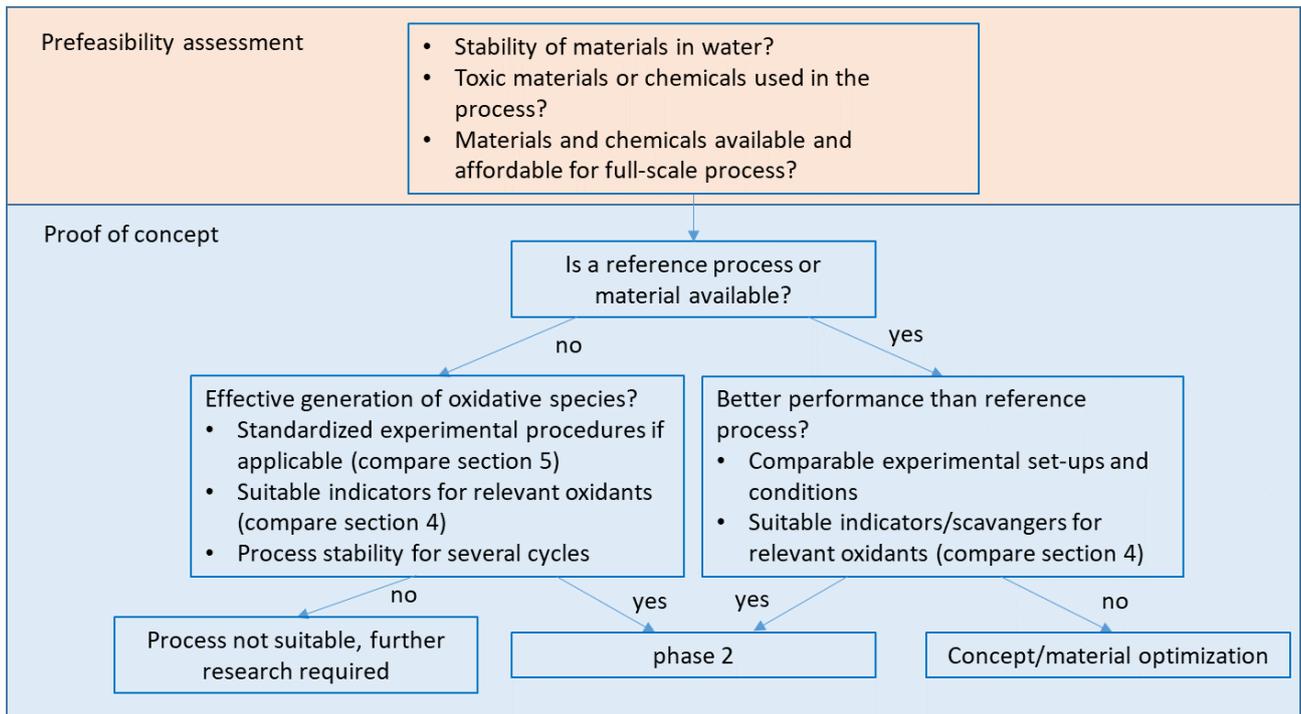
797 Research on AOPs can be separated into two major research tasks: i) the development and
798 assessment of new concepts and materials for advanced oxidation and ii) the selection of suitable
799 oxidation processes for specific treatment targets. This section presents a systematic approach for
800 feasibility testing (Figure 2) and benchmarking new concepts for advanced oxidation in water
801 treatment (Figure 3), which approximately corresponds to a technology readiness level (TRL) of 5,
802 defined as a validated process in a relevant environment (Armstrong, 2015). However, the TRL
803 concept is only partly applicable for AOPs, because other criteria such as energy efficiency are
804 typically more decisive than the technical maturity or technology readiness of the process.
805 Subsequent pilot- and full-scale implementation is briefly discussed in section 6.3 including a
806 corresponding approach for systematically selecting a suitable process for specific treatment targets
807 (Figure 4). Finally, we outline scientific approaches to elucidate oxidation mechanisms and assess

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808 the potential formation of currently unknown by-products. Typically, these studies do not impede the
809 implementation of novel AOP concepts. Nevertheless, there are several examples of detailed
810 mechanistic information being useful to determine potentials for process optimization, identify and
811 manage risks, and develop corrective actions.

812 6.1 Phase 1 – Feasibility study

813 In phase 1, the general feasibility of the developed concept is evaluated based on theoretical
814 considerations and preliminary, (non)standardized bench-scale experiments. The feasibility study
815 elucidates the suitability of applied materials and chemicals for water treatment and the potential of
816 the new concept for contaminant elimination. In addition, this phase provides initial information for
817 the cost and energy evaluation in phase 2. In some cases (e.g., the synthesis of new catalytic
818 materials), lab-scale experiments might already provide direct comparison to established materials
819 or concepts.



820
821 *Figure 2. Systematic approach to assess the feasibility of new developments in advanced oxidation*

822 **Prefeasibility assessment.** It is recommended to consider the fundamental applicability of a new
823 process on a theoretical basis. These considerations include (i) stability and functionality of the new

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824 material or process under water treatment conditions, (ii) potential toxicity or risks of materials and
825 their components, and (iii) availability and costs of required chemicals and materials. The major
826 conditions to be considered in water treatment include pH, salinity, temperature, and matrix
827 constituents. These treatment conditions have a wide span depending on the target process (e.g.,
828 municipal and industrial wastewater, seawater or drinking water). The new process or material has
829 to be durable or self-renewing under these conditions. For example, in case of metal-based
830 electrodes corrosion may occur in waters with high salinity. New materials may be prone to cause
831 toxicity e.g., by leaching of heavy metals, which may require precautionary measures. For instance,
832 cobalt is a powerful catalyst to initiate sulfate radical formation. However, cobalt is also a toxic heavy
833 metal, which should only be used after immobilization on a surface (Anipsitakis et al., 2005). In
834 general, researchers should verify that the applied materials are approved by regulations for the
835 intended application (e.g., drinking water directives).

836 The availability of chemicals and materials and the envisaged scale of application are important
837 points to consider. For example, new iron-based materials may not be constrained by shortage of
838 resources but complex catalysts may have these limitations (Kim et al., 2018, Yang et al., 2022).
839 Another example is ultrasound treatment, which is often tested in an artificial argon atmosphere,
840 which would incur high costs in full-scale applications (Sidnell et al., 2022). Robust materials with
841 no toxicity and high abundance of resources can be used at large scale (e.g., for municipal
842 wastewater treatment). More sophisticated catalysts that require, e.g., rare earth metals, may be
843 tailored to special applications such as small-scale industrial wastewater treatment. Fundamental
844 research on new materials in the context of water treatment is a highly important research field,
845 which should not be restricted by any boundary conditions. However, the recommended
846 prefeasibility considerations are crucial and should be addressed prior to suggesting a new water
847 treatment process.

848 **Proof of concept.** Initial laboratory-scale experiments test the suitability of the process for
849 contaminant removal in well defined (pure) water systems. The experiments should follow the basic
850 rules for oxidation experiments as described in section 5. If a suitable reference system can be

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851 identified, the proof-of-concept study should demonstrate superior performance of the new process
852 (i.e., more efficient pollutant degradation or less by-product formation) in comparison to the
853 reference process or material. An ideal reference system would closely mimic the set-up and
854 reaction conditions of the proposed new water treatment process.

855 A direct comparison to a reference system is often possible, in case new materials are designed for
856 a certain advanced oxidation. For example, new catalysts can often be directly compared to already
857 established materials using the same experimental set-up. In this case, simple probe compounds
858 (see section 4) can be used for a first assessment, but it is important that researchers ensure direct
859 comparability of experimental results, e.g., by using normalized surface areas and similar reaction
860 conditions (e.g., pH and temperature) compared to the reference process. For some new processes
861 and reactor designs, direct comparison is also possible with well-studied experimental set-ups
862 described in section 5, e.g., for ozone- and UV-based AOPs. In such cases, transferable and up-
863 scalable parameters (i.e., UV fluence rate, reacted ozone) are important for comparison. Ideal
864 reference materials might not be available in all cases. A recent study proposed a new material for
865 catalytic activation of H_2O_2 at neutral pH (Xu et al., 2021). Since heterogeneous Fenton processes
866 with established materials are operated at acidic pH, a direct comparison at pH 7 is not possible.

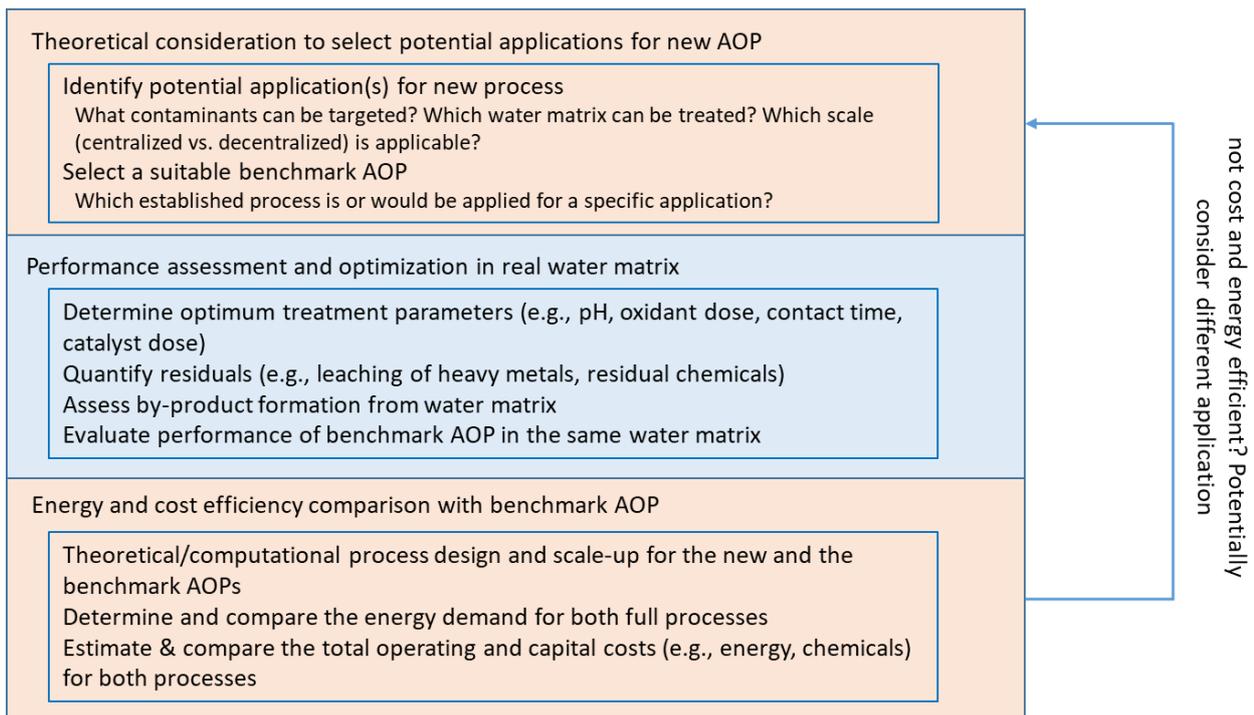
867 If a direct comparison to a reference process or material is not possible, initial feasibility tests should
868 be conducted to i) confirm that the process principally has an “oxidation strength”, ii) identify major
869 reactive species involved in the process, and iii) provide first information on process and material
870 stability. Experiments should be designed to provide the required information for considerations in
871 phase 2. Although different analytical approaches may be used to validate the presence of individual
872 radical species, relevant exposures of these radicals should be verified experimentally with selected
873 probe compounds. In this case, a broader selection of probe compounds with different affinity to
874 sorption, photolysis, ozone, and different radical species can provide a better assessment of process
875 feasibility and involved mechanisms (compare section 4). Details for the feasibility tests are
876 determined by knowledge already available for a given process at study. In some cases (e.g., the
877 combination of UV-LEDs with H_2O_2), a general feasibility study might not be needed because the

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878 reaction mechanism and major oxidants are already well-known. In such cases, evaluation of the
879 process would directly start with phase 2.

880 **6.2 Phase 2 – Benchmarking new concepts for advanced oxidation**

881 Individual AOPs have specific advantages and disadvantages depending on target contaminants,
882 water matrix, and process scale. Lab-scale experiments to benchmark new AOP solutions should
883 be conducted in real water matrices in direct comparison to a benchmark AOP to account for matrix-
884 specific efficiencies. Therefore, the identification of suitable applications for a new AOP is a key step
885 that has often been paid little attention in past studies. Here, we propose benchmarking new AOPs
886 in a three-step procedure that includes theoretical considerations to select potential applications,
887 lab-scale performance assessment in a real water matrix, and cost and energy comparison with a
888 benchmark AOP (Figure 3).



889

890 *Figure 3. Systematic approach for benchmarking new concepts for advanced oxidation*

891 **Theoretical consideration to select potential applications for new AOP.** Before conducting
892 actual experiments to assess and optimize treatment efficiency in the selected water matrix,
893 theoretical considerations are needed to identify the most suitable application for an AOP.
894 Researchers should carefully evaluate the available information on the process at study (i.e., data

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895 from feasibility tests, literature data) and translate it into the definition of potential applications.
896 Current water research has a strong focus on the removal of trace organic chemicals from secondary
897 effluents, but many AOPs are unsuitable for this application due to a high energy demand (e.g.,
898 ultrasound, see section 2), potential by-product formation (e.g., electrochemical oxidation,
899 UV/chlorine), required pH range (Fenton reaction), or the selectivity of oxidants (e.g., $\cdot\text{OH}$ vs. sulfate
900 radicals). Unique features of these oxidative processes can still make them attractive for applications
901 in different water matrices (industrial wastewater, mine waters, drinking water, and water reuse), for
902 different contaminants (e.g., individual chemicals from specific industries), and treatment targets
903 (e.g., removal of COD instead of individual compounds). Alternatively, they may be more relevant
904 for decentralized and small-scale systems, as they potentially offset higher costs by avoiding the
905 need for storage and dosing of chemicals or the removal of residuals (Xu et al., 2021). Criteria for
906 the identification of suitable applications include substrate-specificity of the major reactive species,
907 expected matrix effects on the generation and scavenging of radicals, potential by-product formation
908 in the respective water matrix, as well as requirements for space, labor (for operation and
909 maintenance), and infrastructure (chemicals, electricity). Example discussions on the identification
910 of potential niche applications can be found in reviews on photocatalytic oxidation (Loeb et al., 2019),
911 ballast water treatment (Werschkun et al., 2014), and activation of persulfates (Lee et al., 2020a).
912 In addition, a specific treatment goal needs to be defined for the selected application. This goal may
913 include % elimination of a chemical, or a list of chemicals, but also the removal of alternative
914 parameters such as TOC or COD. Treatment targets can be based on established concepts for
915 comparison as discussed in section 3 (e.g., 90% elimination following the EEO concept), regulatory
916 requirements, or case specific requirements (e.g., in industrial applications).
917 Finally, a suitable benchmark AOP needs to be identified for the selected application. Unlike the
918 reference process in phase 1, which is selected based on mechanistic similarity, the benchmark
919 AOP should provide the most suitable solution for the selected application. Researchers should
920 answer the following questions: Is a state-of-the-art process already applied? If not, which
921 established processes would likely be used for the defined treatment targets? As an example, $\cdot\text{OH}$ -

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922 based processes would not be applied for the oxidation of compounds with electron-rich functional
923 groups (e.g., phenols, anilines, amines), where more specific oxidants such as ozone (or potentially
924 sulfate radicals) are more efficient. Similarly, ozonation alone is not an adequate benchmark for
925 mineralization of a target chemical or COD removal, because the reaction typically stops after few
926 individual transformation reactions.

927 **Performance assessment and optimization in real water matrix.** Based on the selected
928 treatment targets for the new process, studies to evaluate the treatment efficiency should be
929 operated in a real water matrix with environmentally relevant concentration of target pollutants
930 and/or probe compounds. Lab-scale experiments should be designed according to the principles
931 described in section 5 to generate results that are scalable and comparable to the benchmark AOP
932 (e.g., oxidant dose). They should (i) provide information on optimum treatment parameters for the
933 performance of the process (e.g., pH, oxidant dose, contact time, catalyst dose), (ii) indicate toxic
934 residuals, (iii) quantify residual chemicals, and (iv) assess by-product formation. In some cases,
935 additional mechanistic studies might be needed to characterize and optimize the process. In most
936 cases, we would not expect a systematic analysis of transformation products or a screening for
937 toxicological effects at this point (see discussion in section 6.4 for details). The performance of the
938 benchmark AOP needs to be tested in the same water matrix to ensure comparability of both
939 processes.

940 **Energy and cost efficiency comparison with benchmark AOP.** Because energy consumption
941 data from lab-scale experiments are not scalable, we recommend to theoretically upscale both
942 experimentally tested AOPs to a representative full-scale operation. For standard processes such
943 as ozonation or UV/H₂O₂, manufacturers can often provide energy and cost estimations based on
944 system dimensions, UV transmittance of the treated water and scalable results from experiments
945 (i.e., required UV fluence rates or ozone consumption). For new AOPs, upscaling of lab-scale results
946 might not be straightforward because pilot- and full-scale applications are not established. In such
947 cases, researchers need to first think of the design of the final process at full scale. Some processes
948 might be upscaled by implementation of individual modules (e.g., additional electrodes). Other AOPs

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949 might need a full new design because processes applicable at pilot scale or full scale are not
950 available (e.g., high frequency ultrasound reactors). Process scale-up is an integral part of chemical
951 engineering to anticipate the performance of a certain process at large scale based on available
952 preliminary lab- or pilot-scale data and to raise the analyzed process to a similar scale as other
953 commercially available solutions. At scale, efficacy and efficiency of each process is compared or
954 used for a Life Cycle Assessment (LCA) inventory (Mery et al., 2013). Traditionally, scale-up is done
955 after a process is validated at lab scale followed by constructing a pilot-scale plant based on which
956 the full-scale process is anticipated by performing a dimensional analysis. Although effective, the
957 traditional scale-up route is inert, expensive and must advance significantly before data is acquired.
958 Thus, when looking for preliminary insight into the environmental impact of a novel process that is
959 being tested, this is not a sensible approach, and we ought to resort to predictive models based on
960 laboratory data. Equipment used at lab scale is not comparable to commercial equipment. In addition,
961 multiple steps of a treatment train are looked at individually. For this reason, it is recommended to
962 approach the scale-up of a process by scaling up each individual component of the complete
963 process separately. While auxiliary equipment (e.g., pumps) can be scaled up by selecting
964 appropriate commercial equipment available on the market, process scale-up itself depends on the
965 nature of the examined process. In an attempt to standardize this approach, a scale-up methodology
966 was proposed by (Piccinno et al., 2016).

967 The cost and energy evaluation needs to consider the entire process including the dosing of
968 chemicals and subsequent removal and treatment of residuals. In some AOPs, major energy
969 consumption is not only related to the process of radical generation (ozonation, UV-light, or plasma),
970 but also includes energy demand needed to run the desired hydraulics, for example to generate
971 turbulent flow in electrolytic and catalytic AOPs.

972 **6.3 Implementation of new AOPs**

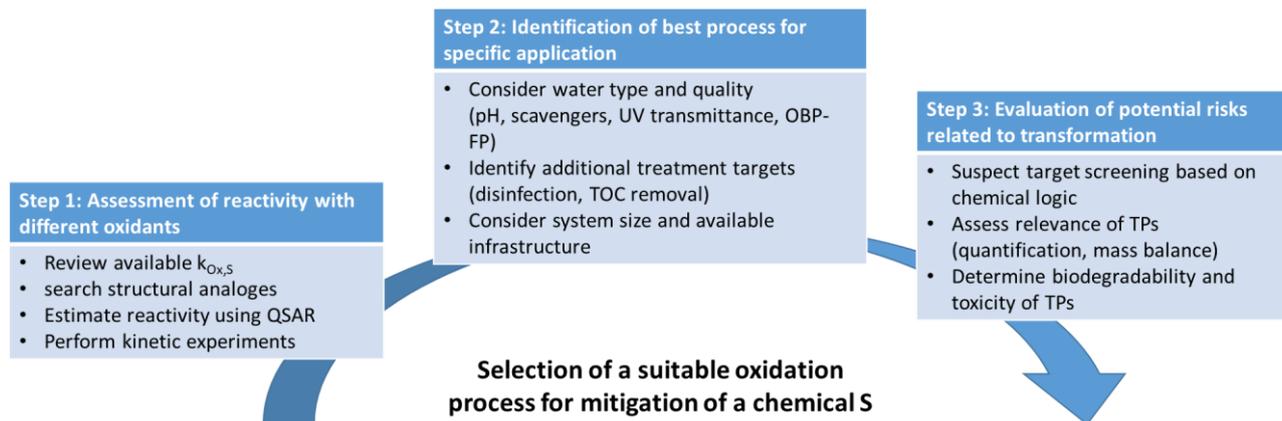
973 **Pilot-scale testing.** The functionality of a new treatment process under real conditions is tested at
974 pilot scale. Even though laboratory experiments are conducted in real water matrices, some aspects
975 such as the longevity of materials, the influence of changes in the water matrix, the effects of

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976 hyphenation with other treatment and unforeseen effects can only be revealed in pilot tests. The
977 latter are ideally carried out directly at the planned site of operation. Pilot testing can proof or disproof
978 the applicability of a new material and may show, e.g., that a photocatalyst loses its photocatalytic
979 activity too quickly or deteriorates mechanically. In such cases, the concept of the new process must
980 be revised. Considering the undesired effects revealed in the pilot tests, solutions may be developed
981 through revisiting and revising the investigations in-depths in phase 2.

982 Successful pilot-testing is paving the way for full-scale applications of the new AOPs. The latter
983 ideally complement the spectrum of well-characterized and ready for use AOPs to provide treatment
984 solutions for a wide spectrum of pollutants and scales. This treatment portfolio is then available for
985 selecting the most appropriate AOP for a specific treatment target.

986 **Selection of suitable oxidation processes for specific treatment targets.** Specific treatment
987 targets are defined according to a particular problem such as degradation of highly recalcitrant
988 pollutants. Developing treatment solutions for emerging persistent contaminants may also include
989 treatment solutions for specific water matrices. New treatment targets can be triggered by revised
990 regulatory requirements for specific chemicals and chemical classes, e.g., the recent regulations for
991 poly- and perfluoroalkyl substances in drinking water (EU, 2020). In addition, the detection of
992 emerging contaminants such as persistent mobile organic chemicals may trigger the need to
993 evaluate the efficiency of existing and novel processes for their mitigation (Schulze et al., 2019).
994 The final selection of a suitable oxidation process depends on the reactivity of the target
995 contaminant(s) but is also always based on other parameters including water quality (OBP
996 precursors, scavengers, turbidity), treatment scale, and potential other treatment objectives
997 (disinfection, removal of other target contaminants). Based on these considerations, we propose a
998 three-step approach to systematically identify a suitable AOP for the defined application (Figure 4).



999

1000 *Figure 4. Systematic concept for the identification of optimum oxidation processes*

1001 In a first step, reactivity of target contaminants with different oxidants (e.g. ozone, $\cdot\text{OH}$ and sulfate
1002 radicals) should be systematically evaluated including also gathering UV/Vis absorption spectra
1003 information in water as solvent and direct photo-transformation quantum yields, when photochemical
1004 AOPs are considered. This can be initiated by searching the literature for reaction rate constants
1005 with oxidants and additional information available on target compound fate in oxidative and
1006 photochemical processes. For compounds with unknown reactivity, reactivity could be estimated
1007 based on structural analogues (Lee, Gunten, 2012) or using in-silico tools based on quantitative
1008 structure-activity relationships (Lee et al., 2017). Simple lab-scale experiments can be conducted to
1009 complement existing knowledge on compound reactivity with different oxidants or in specific
1010 treatment processes. This stage should also consider alternative solutions to oxidation, as some
1011 chemicals are not effectively removed by oxidation (e.g., flame retardants, perfluorinated alkyl
1012 substances) or more cost-efficient processes can be applied for their removal (e.g., adsorption or
1013 biodegradation).

1014 Second, the best-suited oxidative treatment for case-specific conditions should be selected including
1015 information on water quality, process dimensions, and potential benefits from synergistic effects.
1016 Synergies could include the activity of individual oxidants as disinfectant and the formation of
1017 biodegradable products in treatment scenarios when oxidation is combined with biological
1018 processes. Although different processes are often based on the same reactive species (e.g., $\cdot\text{OH}$),
1019 the activity of water matrix parameters as oxidant scavengers, promoters of radical chain reactions

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1020 or precursors for by-product formation may strongly affect the applicability of individual processes
1021 (Lado Ribeiro et al., 2019). The most promising approaches can then be tested using lab-scale
1022 systems with model solutions (to identify reaction kinetics) as well as with real water matrices.
1023 Risks related to the transformation of target pollutants may become relevant for applications with
1024 elevated pollutant concentrations such as industrial wastewater treatment or remediation of
1025 contaminations in groundwater. Also the identification of most relevant transformation products
1026 should follow a systematic approach, which includes available knowledge on the chemical reactions
1027 of different oxidants (Lee, Gunten, 2016). To facilitate the study of transformation product formation,
1028 experiments with the known parent pollutants can be done in pure water under controlled conditions.
1029 Suspected transformation products can be identified based on the structure of the parent
1030 compounds, knowledge from literature, and in-silico chemistry (Tentscher et al., 2019). Ideally,
1031 product screenings should be accompanied by mass-balances to quantify the fractions of both
1032 known and unknown transformation products formed from a specific pollutant. Alternatively, effect-
1033 directed analysis can be used as a powerful approach to first determine the toxicity of the overall
1034 chemical mixture in a sample, and then unravel individual toxicants through a combination of
1035 bioanalytical tools, fractionation steps, and chemical analyses (Brack et al., 2016). In both cases,
1036 relevance of effects for the aquatic environment should be assessed carefully, as toxic effects as
1037 well as transformation products are often removed in subsequent biological treatment steps (Völker
1038 et al., 2019). In fact, several transformation products formed during oxidation processes such as
1039 NDMA and carbonylic compounds display a strong toxicity, but can be readily removed by biological
1040 post-treatment steps (Marron et al., 2020, Schmidt, Brauch, 2008, Zoumpouli et al., 2021). Since
1041 oxidation processes are typically coupled with biological treatment, the biodegradability of relevant
1042 transformation products should be evaluated to assess the entire treatment train.

1043 **6.4 Scientific approaches for mechanistic investigation and extended risk assessment**

1044 Lab- and pilot-scale experiments described in sections 6.1-6.3 are not designed to provide a detailed
1045 mechanistic understanding of the process at study. Nevertheless, there are several examples of
1046 detailed mechanistic information being useful to determine potentials for process optimization,

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1047 identify and manage risks, and develop corrective actions. One example is the development of
1048 bromate mitigation strategies in ozonation processes (e.g., by addition of H_2O_2) based on
1049 fundamental investigations on the formation mechanisms (Gunten, 2003a, Heeb et al., 2014). Other
1050 examples in advanced oxidation include the characterization of nitrite as a scavenger or the
1051 identification of NDMA precursors and formation pathways (Spahr et al., 2017a).

1052 Due to the very different approaches to develop new AOPs, studies on the understanding of main
1053 reactions in a new oxidative process are diverse and case specific. Experiments may address the
1054 whole range and variety of formed reactive species, the reactive sites in heterogeneous processes,
1055 transformation mechanisms for individual pairs of oxidant and contaminant, but also nonspecific
1056 toxicity and specific mixture effects caused by complex mixtures of products formed in waters treated
1057 with AOPs. Experimental approaches often combine various tools such as the use of (multiple)
1058 probe compounds and scavengers, (see section 4), quantum chemical calculation, and the analysis
1059 of transformation products using high-resolution mass spectrometry (HRMS). Good example studies
1060 include the characterization of the heterogeneous catalytic persulfate process by Zhang et al. (2022),
1061 and the peroxone process by Merényi et al. (2010a). Potential risks related to the formation of
1062 unknown by-products may be addressed through bioanalytical tools (Völker et al., 2019) or non-
1063 target screening methods for previously unknown and unregulated by-products (Lavonen et al.,
1064 2013).

1065 High-resolution mass spectrometry (HRMS) can be a powerful method-of-choice to identify
1066 transformation products when it is combined with mechanistic considerations to corroborate reaction
1067 pathways. The analysis of known transformation products can help to identify relevant reactive
1068 species and formation pathways (Spahr et al., 2017b), and corroborate or falsify results from
1069 identification of reactive species. In addition, screening for unknown products can assist to elucidate
1070 relevant transformation pathways (Bletsou et al., 2015, Prasse et al., 2015a). It should be noted that
1071 these studies should be conducted according to a systematic experimental design that is based on
1072 existing knowledge (e.g., transformation mechanisms involving $\cdot\text{OH}$ and different functional groups
1073 are well-described) and provides transferable knowledge.

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1074 Quantum chemical calculation is an important tool to obtain a first estimate on conceivable reaction
1075 mechanisms and transformation products facilitating actual product identification using high
1076 resolution mass spectrometry (HRMS) (Tentscher et al., 2019). Further insights on the potential of
1077 these in-silico tools for mechanistic evaluation of oxidative processes and example applications are
1078 provided in literature (Merényi et al., 2010a, 2010b, Tentscher et al., 2019, Zhang et al., 2022).

1079 Bioassays with suitable endpoints can be applied for indicating mixture toxicity effects after water
1080 treatment (Prasse et al., 2015a), identifying unknown toxic chemicals through effect-directed
1081 analysis (Brack et al., 2016), and monitoring certain classes of chemicals (Escher et al., 2011). For
1082 instance, the estrogen receptor alpha (ER- α) is activated in the presence of endocrine disruptors
1083 (Könemann et al., 2018), which can be expressed as estradiol equivalent concentrations. However,
1084 similar targeted approaches to monitor induced effects from oxidative processes are not available.
1085 Völker et al. (2019) identified most suitable bioassays to detect adverse effects generated during
1086 ozonation of secondary effluents, but these effects have never been attributed to specific unknown
1087 transformation products and oxidation by-products.

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