Reinforcement Learning-Based Energy Management of Smart Home with Rooftop Solar Photovoltaic System, Energy Storage System, and Home Appliances

Taeseop Park, Bumsuk Lee, Haejoong Lee

Sogang University, EE

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Article

Reinforcement Learning-Based Energy Management of Smart Home with Rooftop Solar Photovoltaic System, Energy Storage System, and Home Appliances

Sangyoon Lee® and Dae-Hyun Choi *®

School of Electrical and Electronics Engineering, Chung-Ang University, 84 Heukseok-ro, Dongjak-gu, Seoul 156-756, Korea; sangyoon1207@naver.com

* Correspondence: dhchoi@cau.ac.kr; Tel.: +82-2-820-5101

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Abstract: This paper presents a data-driven approach that leverages reinforcement learning to manage the optimal energy consumption of a smart home with a rooftop solar photovoltaic system, energy storage system, and smart home appliances. Compared to existing model-based optimization methods for home energy management systems, the novelty of the proposed approach is as follows: (1) a model-free Q-learning method is applied to energy consumption scheduling for an individual controllable home appliance (air conditioner or washing machine), as well as the energy storage system charging and discharging, and (2) the prediction of the indoor temperature using an artificial neural network assists the proposed Q-learning algorithm in learning the relationship between the indoor temperature and energy consumption of the air conditioner accurately. The proposed Q-learning home energy management algorithm, integrated with the artificial neural network model, reduces the consumer electricity bill within the preferred comfort level (such as the indoor temperature) and the appliance operation characteristics. The simulations illustrate a single home with a solar photovoltaic system, an air conditioner, a washing machine, and an energy storage system with the time-of-use pricing. The results show that the relative electricity bill reduction of the proposed algorithm over the existing optimization approach is 14%.

Keywords: home energy management system; reinforcement learning; artificial neural network; smart home; consumer comfort; smart grid





Reinforcement Learning-Based Energy Management of Smart Home with Rooftop Solar Photovoltaic System, Energy Storage System, and Home Appliances

☐ Background

- TOU price : time-of-use price (Utility Company)
- Appliance Energy Consumption
- Outdoor Temperature (Weather Station)
- PV systems (solar photovoltaic)
- Comfort setting
- Appliance Parameters

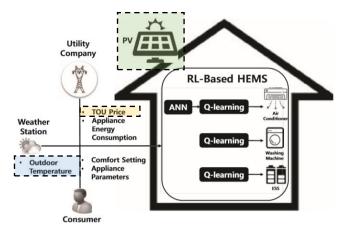
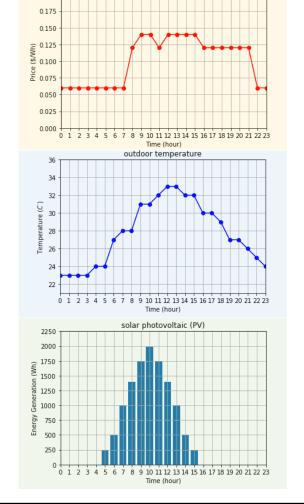


Figure 1. Illustration of the proposed home energy management system (HEMS) framework.



time-of-use (TOU) price

0.200





Introduction

- ☐ Compared to the existing model-based HEMS optimization approaches, we propose a HEMS algorithm using a model-free reinforcement learning (RL).
- The Q-learning method is applied to the energy consumption scheduling of different home appliances
 (air conditioner, washing machine, and ESS), whereby the agent of each appliance determines the
 optimal policy independently to reduce its own electric cost within the consumer comfort level and
 the appliance operation characteristics.
- An ANN model to learn the relationship between the indoor temperature and energy consumption of the air conditioner more accurately, which is integrated into the **Q-learning module to achieve** improved performance of the air conditioner agent.

Simulation showed two results.

- 1. Using reinforcement learning and ANN prediction techniques, power consumption and user dissatisfaction were reduced.
- 2. It can save more energy than the existing mixed-integer linear programming algorithm.

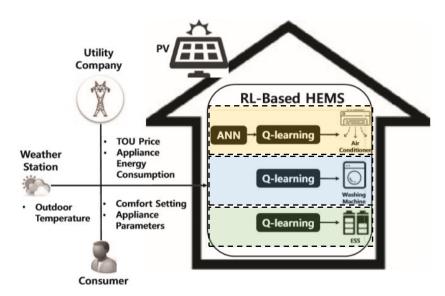


Figure 1. Illustration of the proposed home energy management system (HEMS) framework.





Related Research

model-based HEMS optimization

- the scheduling of different types of home appliances along with electric vehicles using linear programming (LP)
- load scheduling considering the consumer comfort level using mixed integer nonlinear programming (MINLP)
- convex programming based on relaxed MINLP using an L1 regularization technique
- load scheduling for a single consumer or multiple consumers using MILP
- LP-based joint optimization of energy supplies and electric loads through three-stage scheduling (prediction, supply control, and demand control)
- the natural aggregation algorithm (NAA)-based HEMS method consisting of forecasting, day-ahead scheduling, and actual operation
- robust optimization for the scheduling of home appliances to resolve the uncertainty of consumer behavior the outdoor temperature and consumer comfort levels and distributed HEMS architectures consisting of a local and global HEMS.
- using real-time pricing, a HEMS optimization method that considers the operational dependency of various types of home appliances and consumer life style requirements was proposed in
- ☐ model-free reinforcement learning (RL)





☐ Preliminary

 A^c : A controllable appliance is an appliance of which the operation is scheduled and controlled by the HEMS. A^c_r : a **reducible** appliances (e.g. air conditioner) A^c_s : a **shiftable** appliances A^c_s : a **non-interruptible** load (e.g. : washing machine) A^c_s : an **interruptible** load (e.g. : ESS)

 A^{uc} : An uncontrollable appliance cannot be scheduled and operated by the HEMS. (e.g. : TV, PC or lighting) Therefore, A^{uc} maintains the fixed energy consumption scheduling.



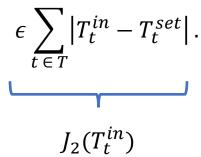


☐ Conventional HEMS Optimization Formulation

Object Function

$$\min_{E_t^{net}, T_t^{in}} \sum_{t \in T} \pi_t E_t^{net} + J_1(E_t^{net})$$

Total electricity cost



Total penalty (consumer discomfort cost)

- π_t : the TOU price
- E_t^{net} : net energy consumption

- T_t^{set} : the preferred consumer temperature
- T_t^{in} : the indoor temperature
- ϵ : Penalty for consumer thermal discomfort cost.





□ Conventional HEMS Optimization Formulation

Constraint 1 (Net Power Consumption)

the predicted PV generation output

$$E_t^{\text{net}} = \sum_{a \in A} E_{a,t} - \widehat{E}_t^{\text{PV}}, \tag{2}$$

$$\sum_{a \in \mathcal{A}} E_{a,t} = \sum_{a \in \mathcal{A}_r^c} E_{a,t} + \sum_{a \in \mathcal{A}_s^{c,NI}} E_{a,t} + \sum_{a \in \mathcal{A}_s^{c,I}} \left(E_{a,t}^{\text{ch}} - E_{a,t}^{\text{dch}} \right) + \sum_{a \in \mathcal{A}^{uc}} E_{a,t}. \tag{3}$$

- A_r^c : a **reducible** appliances (e.g. AC)
- A_s^c : a **shiftable** appliances
- $A_s^{c,NI}$: a **non-interruptible** load (e.g. : WM)
- $A_s^{c,I}$: an **interruptible** load (e.g. : ESS)
- A^{uc} : An **uncontrollable appliance** cannot be scheduled and operated by the HEMS.

• E_t^{net} : Net energy consumption at time slot t

• $E_{a,t}^{ch}$: Charging energy of ESS a at time slot t

 $E_{a,t}^{dch}$: Discharging energy of ESS a at time slot t





□ Conventional HEMS Optimization Formulation

Constraint 2 (Operating Characteristics for Controllable Appliances)

e.g. air conditioner

Constraint for the temperature dynamics of the reducible appliance

$$T_t^{\text{in}} = T_{t-1}^{\text{in}} + \alpha (\widehat{T}_{t-1}^{\text{out}} - T_{t-1}^{\text{in}}) + \beta E_{a,t}, \tag{4}$$

$$T^{\min} \leq T_t^{\inf} \leq T^{\max}$$
, Consumer preferred indoor temperatures range (5)

$$E_a^{\min} \le E_{a,t} \le E_a^{\max}$$
. Capacity range (6)

- T_t^{in} : in-door temperature at time t
- T_{t-1}^{in} : in-door temperature at time t-1
- \hat{T}_{t-1}^{out} : the predicted outdoor temperature at time t-1
- $E_{a,t}$: the energy consumption of the reducible appliances
- α , β : the environmental parameters





☐ Conventional HEMS Optimization Formulation

Constraint 3 (the desired operation of shiftable appliances with a non-interruptible load)

e.g. washing machine

$$b_{a,t}^{c,NI} = 0, \qquad t \in [1, \omega_s^{\text{pref}}) \cup (\omega_f^{\text{pref}}, T],$$
 (7)

$$\sum_{t=\omega_{a,t}^{\text{pref}}}^{\omega_{f}^{\text{pref}}}b_{a,t}^{c,NI}=L_{a},\tag{8}$$

$$\sum_{t=p}^{p+L_a-1} b_{a,t}^{c,NI} \ge (b_p^{c,NI} - b_{p-1}^{c,NI}) L_a, \quad \forall p \in (\omega_s^{\text{pref}}, \omega_f^{\text{pref}} - L_a + 1)$$
(9)

$$E_{a,t} = b_{a,t}^{c,NI} E_a^{\text{max}}. (10)$$

- $b_{a,t}^{c,NI}$: the binary decision variable , "1" for consumption, "0" otherwise
- L_a : the operation period of L_a hours during a day
- E_a^{max} : Maximum consumption of appliance a





□ Conventional HEMS Optimization Formulation

Constraint 4 (the operational dynamics of the state of energy (SOE) for the ESS)

e.g. ESS

$$SOE_{a,t} = SOE_{a,t-1} + \eta_a^{\text{ch}} E_{a,t}^{\text{ch}} - \frac{E_{a,t}^{\text{dch}}}{\eta_a^{\text{dch}}},$$
 (11)

$$SOE_a^{\min} \le SOE_{a,t} \le SOE_a^{\max},$$
 (12)

$$E_a^{\text{ch,min}} b_{a,t}^{c,I} \le E_{a,t}^{\text{ch}} \le E_a^{\text{ch,max}} b_{a,t}^{c,I}, \tag{13}$$

$$E_a^{\text{dch,min}}(1 - b_{a,t}^{c,I}) \le E_{a,t}^{\text{dch}} \le E_a^{\text{dch,max}}(1 - b_{a,t}^{c,I}).$$
 (14)

- η_a^{ch} , η_a^{dch} : the charging and discharging efficiency
- $E_{a,t}^{ch}$, $E_{a,t}^{dch}$: the charging and discharging energy
- SOE_a^{min} , SOE_a^{max} : the SOE capacity constraint with SOE_a^{min} and SOE_a^{max}
- $b_{a,t}^{c,I}$: the binary decision variable that determines the ESS on/off status
- $E_a^{dch,max}$, $E_a^{dch,min}$: Maximum (Minimum) discharging energy of ESS a

"1" for charging, "0" otherwise





□ Conventional HEMS Optimization Formulation

MINLP -> MILP by means of the linearization of the nonlinear o.f.

$$\min_{E_t^{net}, T_t^{in}} \sum_{t \in T} \pi_t E_t^{net} + \epsilon \sum_{t \in T} \frac{|T_t^{in} - T_t^{set}|}{|T_t^{in} - T_t^{set}|}.$$

$$\Delta T_t = |T_t^{in} - T_t^{set}|,$$

$$\Delta T_t \ge T_t^{in} - T_t^{set},$$

$$\Delta T_t \ge T_t^{in} - T_t^{set}.$$

$$(15)$$

$$\Delta T_t \ge T_t^{set} - T_t^{in}.$$

$$(17)$$

- MINLP (mixed-integer non-linear programming)
- MILP (mixed-integer linear programming)





☐ Home Energy Management via Q-Learning

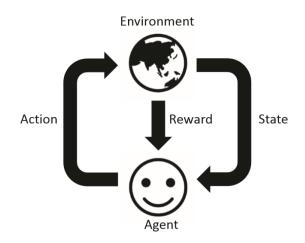


Figure 2. Conceptual architecture of reinforcement learning (RL).

 s_t : State at time slot t

 a_t : Action at time slot t

 $r(s_t, a_t)$: Reward at time slot t

 $Q(s_t, a_t)$: Function that tells how good an action is

in which s_t

Bellman equation

$$Q_{v^*}^*(s_t, a_t) = r(s_t, a_t) + \gamma \max Q(s_{t+1}, a_{t+1}).$$

$$\gamma \in [0,1]$$

discount rate = 0.9

$$Q(s_t, a_t) \leftarrow (1 - \theta)Q(s_t, a_t) + \theta[r(s_t, a_t) + \gamma \max Q(s_{t+1}, a_{t+1})].$$

$$\theta \in [0,1]$$

learning rate = 0.1

 $v^* = \arg\max Q(s_t, a_t).$





☐ Home Energy Management via Q-Learning

State Space

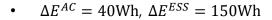
$$\mathcal{S}^{\mathrm{WM}} = \{E_t^{\mathrm{WM}}\}, \ \mathcal{S}^{\mathrm{AC}} = \{E_t^{\mathrm{AC}}\}, \ \mathcal{S}^{\mathrm{ESS}} = \{SOE_t^{\mathrm{ESS}}\}, \ \forall t = 1, \dots, 24, \dots,$$

Action

$$\begin{split} \mathcal{A}^{\text{WM}} &= \{\text{On,Off}\}, \\ \mathcal{A}^{\text{AC}} &= \{0, \Delta E^{\text{AC}}, 2\Delta E^{\text{AC}}, \dots, 8\Delta E^{\text{AC}}, 9\Delta E^{\text{AC}}\}, \\ \mathcal{A}^{\text{ESS}} &= \{-4\Delta E^{\text{ESS}}, -3\Delta E^{\text{ESS}}, -2\Delta E^{\text{ESS}}, -1\Delta E^{\text{ESS}}, 0, 1\Delta E^{\text{ESS}}, 2\Delta E^{\text{ESS}}, 3\Delta E^{\text{ESS}}, 4\Delta E^{\text{ESS}}\}. \end{split}$$

Reward

$$r^{\text{Total}} = r_t^{\text{WM}} + r_t^{\text{AC}} + r_t^{\text{ESS}}.$$



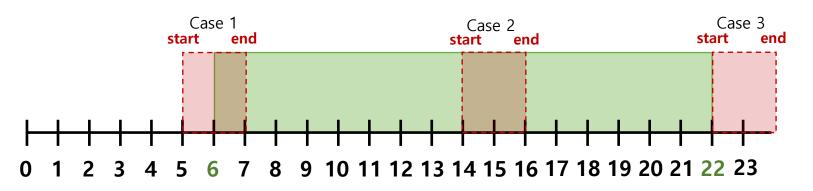




☐ Home Energy Management via Q-Learning

(i) the reward function for the **WM** agent is expressed as the electric cost and consumer undesired operation of the **WM**

$$r_t^{\text{WM}} = \begin{cases} -[\pi_t E_t^{\text{WM}} + \overline{\delta}(\omega_s^{\text{pref}} - t)], & \text{if } t < \omega_s^{\text{pref}}, \\ -[\pi_t E_t^{\text{WM}} + \underline{\delta}(t - \omega_f^{\text{pref}})], & \text{if } t > \omega_f^{\text{pref}}, \\ -\pi_t E_t^{\text{WM}}, & \text{otherwise,} \end{cases}$$
 Case 2



- w_s^{pref} , w_f^{pref} : the consumer **preferred starting** and **finishing** times of the WM
- δ , $\underline{\delta}$: the **penalties** for **early** and **late** operation, respectively, compared to the consumer preferred operation interval





☐ Home Energy Management via Q-Learning

(ii) the reward function for the **AC** agent is expressed as

the electric cost and consumer thermal discomfort of the AC

Prediction of Indoor Temperature via ANN

$$r_t^{AC} = \begin{cases} -\left[\pi_t E_t^{AC} + \kappa (T^{\min} - T_t^{\text{in}})\right], & \text{if } T_t^{\text{in}} < T^{\min}, \\ -\left[\pi_t E_t^{AC} + \kappa (T_t^{\text{in}} - T^{\max})\right], & \text{if } T_t^{\text{in}} > T^{\max}, \\ -\pi_t E_t^{AC}, & \text{otherwise,} \end{cases}$$

- T_t^{in} : **Prediction of Indoor** Temperature via ANN
- T^{min} , T^{max} : the consumer preferred temperature
- *k* : the **penalty** for the consumer thermal discomfort





☐ Home Energy Management via Q-Learning

(iii) the reward function for the ESS agent consists of a negative electric cost and negative energy underutilization cost

$$r_t^{\text{ESS}} = \begin{cases} -[\pi_t E_t^{\text{ESS}} + \overline{\tau}(SOE_t - SOE^{\text{max}})], & \text{if } SOE_t > SOE^{\text{max}}, \text{ overcharging} \\ -[\pi_t E_t^{\text{ESS}} + \underline{\tau}(SOE^{\text{min}} - SOE_t)], & \text{if } SOE_t < SOE^{\text{min}}, \text{ undercharging} \\ -\pi_t E_t^{\text{ESS}}, & \text{otherwise,} \end{cases}$$

- SOE_t : State of energy of ESS
- SOE^{max}, SOE^{min}: Maximum (Minimum) state of energy of ESS
- $\overline{\tau},\underline{\tau}$: the **penalties** for the ESS **overcharging** and **undercharging**





Prediction of Indoor Temperature via ANN

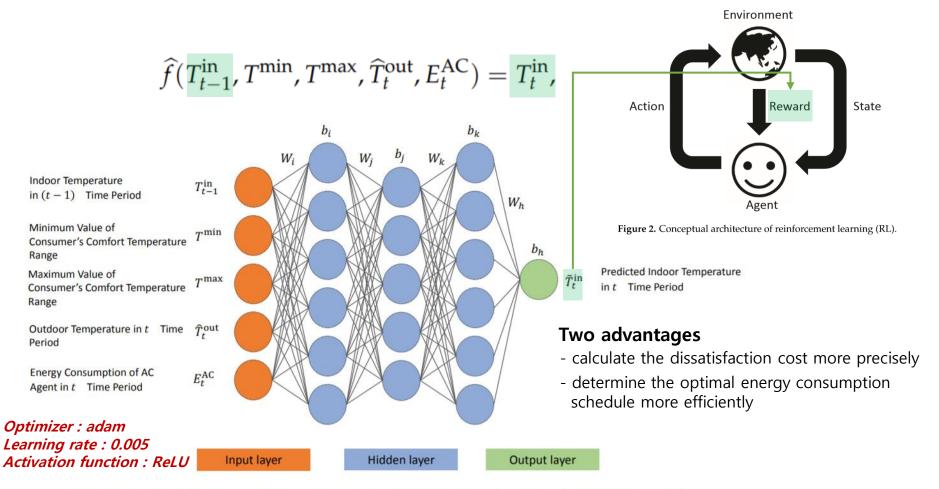


Figure 3. Architecture of the proposed artificial neural network (ANN) model.





☐ Algorithm

Algorithm 1: Q-learning-based energy management of smart home with PV system, ESS, and home appliances.

```
Initialize each appliance's energy demand, dissatisfaction parameters, and Q-learning parameters  
%%Learning with ANN for temperature prediction of AC agent  
Indoor temperature at time period t-1 \to T_{t-1}^{\text{in}}  
Minimum and maximum value of consumer's comfort temperature range \to T^{\text{min}}, T^{\text{max}}  
Predicted outdoor temperature at time t \to \widehat{T}_t^{\text{out}}  
Energy consumption of AC agent at time t \to E_t^{\text{AC}}  
Predicted indoor temperature at time t \to T_t^{\text{in}}
```

Learning process with ANN and approximate the temperature prediction model \hat{f}

```
9 T_t^{\text{in}} = \widehat{f}(T_{t-1}^{\text{in}}, T^{\text{max}}, T^{\text{min}}, \widehat{T}_t^{\text{out}}, E_t^{\text{AC}})

10 Initialize Q-value of each agent

11 for episode = 1, MaxEpisode do

12 \triangleright Initialize state, action and time period

13 for time step = 1, 24 do

14 \triangleright Select a_t from present s_t using \epsilon-greedy policy

15 \triangleright Take action a_t; observe r(s_t, a_t) and s_{t+1}

16 Q(s_t, a_t) \leftarrow (1 - \theta)Q(s_t, a_t) + \theta \left[r(s_t, a_t) + \gamma \max Q(s_{t+1}, a_{t+1})\right]

17 end

18 end
```

Find optimal policy with largest O-value

Figure 4. Overall architecture of the proposed HEMS algorithm using Q-learning and ANN





☐ Simulation Setup

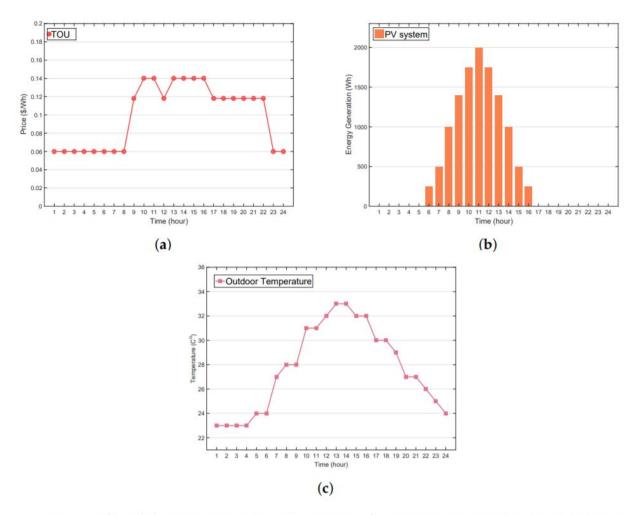


Figure 5. Profiles of electricity price and weather. (a) time-of-use (TOU) price; (b) solar photovoltaic (PV) generation; (c) outdoor temperature.





☐ Performance of the Proposed RL-Based HEMS Algorithm

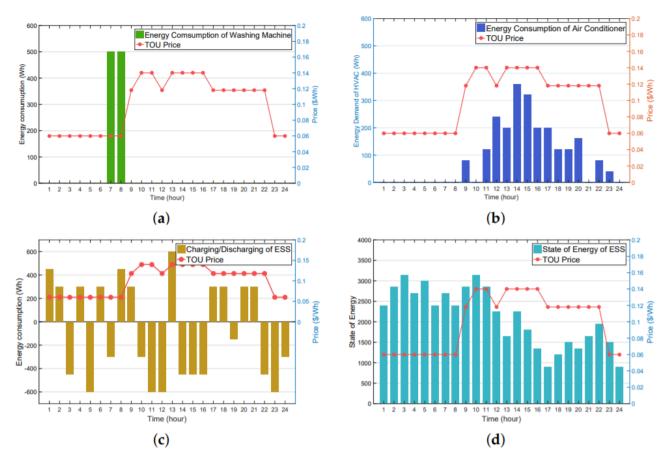


Figure 6. RL-based day-ahead operating schedule of appliance under TOU pricing tariff. (**a**) energy consumption of washing machine (WM); (**b**) energy consumption of air conditioner (AC); (**c**) charging and discharging of energy storage system (ESS); (**d**) state of energy (SOE) of ESS.





Impact of Different Parameters in Reward Function on the Proposed Algorithm

$$r_t^{\text{AC}} = \begin{cases} -\left[\pi_t E_t^{\text{AC}} + \kappa\right] T^{\text{min}} - T_t^{\text{in}})\right], & \text{if } T_t^{\text{in}} < T^{\text{min}}, \\ -\left[\pi_t E_t^{\text{AC}} + \kappa\right] T_t^{\text{in}} - T^{\text{max}})\right], & \text{if } T_t^{\text{in}} > T^{\text{max}}, \\ -\pi_t E_t^{\text{AC}}, & \text{otherwise,} \end{cases}$$

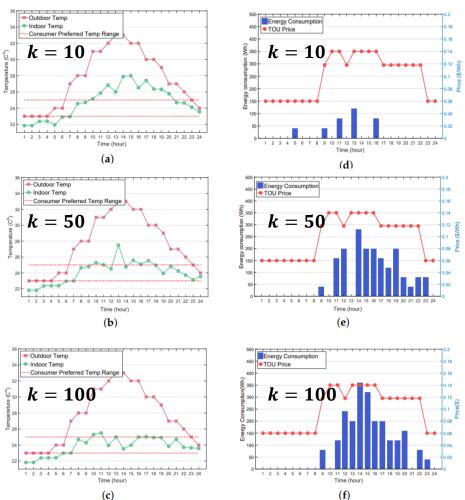


Figure 7. Impact of different penalties (κ) for AC scheduling on indoor temperature (T_t^{in}) and energy consumption ($E_{a,t}$). (**a**) T_t^{in} with $\kappa = 10$; (**b**) T_t^{in} with $\kappa = 50$; (**c**) T_t^{in} with $\kappa = 100$; (**d**) $E_{a,t}$ with $\kappa = 10$; (**e**) $E_{a,t}$ with $\kappa = 50$; (**f**) $E_{a,t}$ with $\kappa = 100$.



Impact of Different Parameters in Reward Function on the Proposed Algorithm

$$r_t^{\text{WM}} = \begin{cases} -[\pi_t E_t^{\text{WM}} + \overline{\delta}(\omega_s^{\text{pref}} - t)], & \text{if } t < \omega_s^{\text{pref}}, \\ -[\pi_t E_t^{\text{WM}} + \underline{\delta}(t - \omega_f^{\text{pref}})], & \text{if } t > \omega_f^{\text{pref}}, \\ -\pi_t E_t^{\text{WM}}, & \text{otherwise,} \end{cases}$$

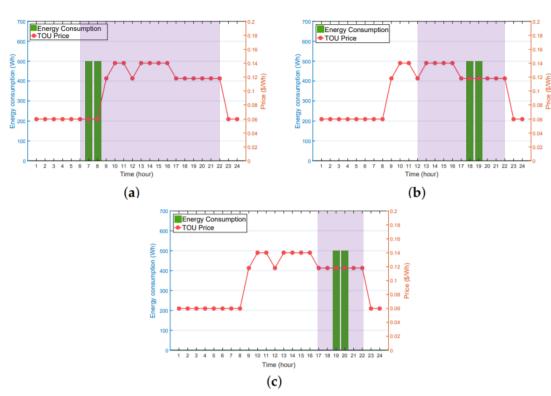


Figure 8. Impact of different preferred operating time interval $[\omega_s^{\text{pref}}, \omega_f^{\text{pref}}]$ for WM scheduling on energy consumption ($E_{a,t}$). (a) (6:00 a.m., 10:00 p.m.); (b) (12:00 p.m., 10:00 p.m.); (c) (5:00 p.m., 10:00 p.m.).





Impact of ANN on AC Agent Performance

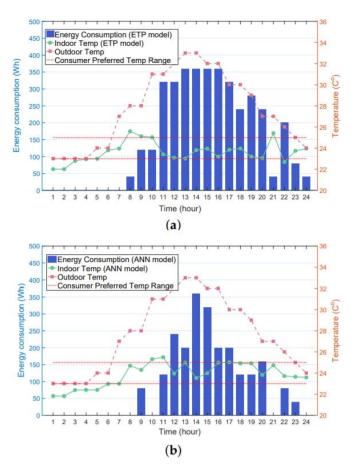


Figure 9. RL-based day-ahead energy consumption schedule of air conditioner through indoor temperature prediction using: (a) equivalent thermal parameters (ETP) model; (b) ANN model.





☐ Performance Comparison between MILP- and RL-Based HEMS

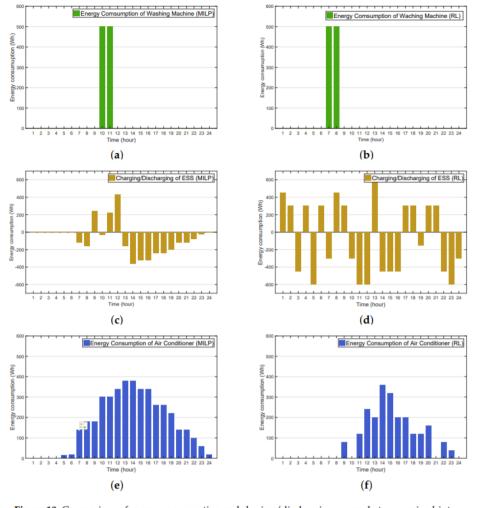


Figure 10. Comparison of energy consumption and charing/discharging energy between mixed-integer linear programming (MILP) and RL methods. (a) WM with MILP; (b) WM with RL; (c) ESS with MILP; (d) ESS with RL; (e) air conditioner (AC) with MILP; (f) AC with RL.





Performance Comparison between MILP- and RL-Based HEMS

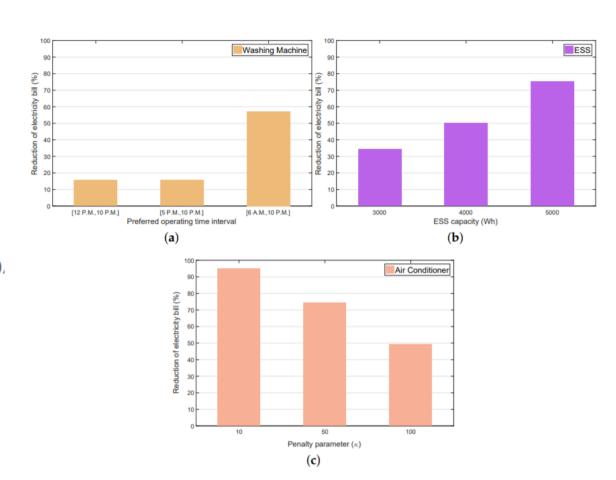


Figure 11. Reduction in electricity bill with different operating conditions of appliances. (a) WM under varying preferred operating time intervals; (b) ESS under varying capacity; (c) AC under varying penalty parameters.





☐ Performance Comparison between MILP- and RL-Based HEMS

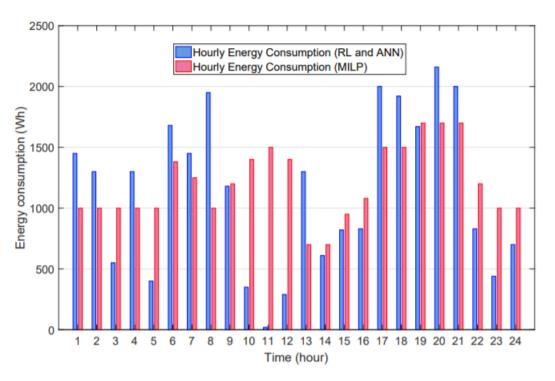


Figure 12. Comparison of hourly energy consumption schedule between MILP method and RL methods.





Discussion / Future work

Discussion

- Wholesale and Retail Electricity Markets under Real-Time Pricing (RTP)
- Electric Vehicle (EV) Integration
- Constraint of the Lifetime for ESS
- Since the data used in the simulation is a deterministic value, it is different from reality.

☐ Future work

- Develop A multi-agent reinforcement learning algorithm
- The practical implementation of the developed algorithm should be tested in largescale realistic electric power networks.
- Plan to integrate advanced neural network models such as recurrent neural networks
 and long short-term memory in the proposed framework to improve the prediction
 accuracy of the indoor temperature.





Code implementation

☐ Visualization

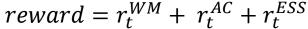
• "AC_agent" 에 넘기는 reward에 따라 결과가 다름

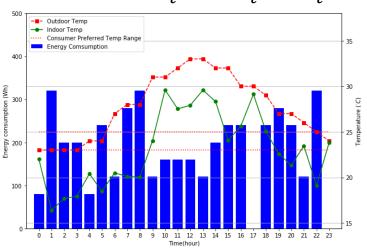
$$T_t^{\mathrm{in}} = \widehat{f}(T_{t-1}^{\mathrm{in}}, T^{\mathrm{max}}, T^{\mathrm{min}}, \widehat{T}_t^{\mathrm{out}}, E_t^{\mathrm{AC}})$$
 X $수집된 \ data \ 가 없는 관계로$ ETP 식으로 대체 $T_t^{\mathrm{in}} = T_{t-1}^{\mathrm{in}} + \alpha(\widehat{T}_{t-1}^{\mathrm{out}} - T_{t-1}^{\mathrm{in}}) + \beta E_{a,t},$





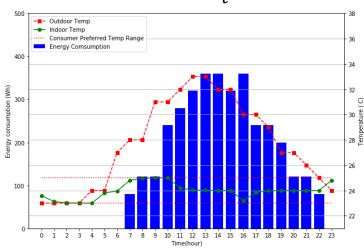
paper





our code

$$reward = r_t^{AC}$$



• ETP: the equivalent thermal parameters (ETP) model Equation

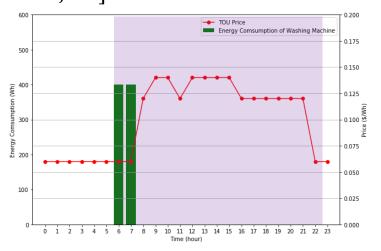


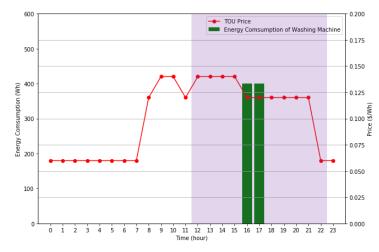


Code implementation

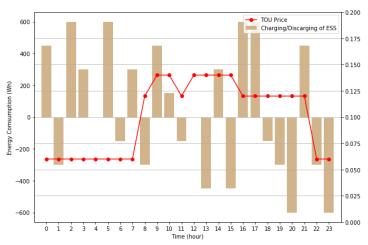
☐ Visualization

• $\left[\omega_s^{pref},\omega_f^{pref}\right]$ 를 [6,22] 및 [12,22] 로 설정한 결과 TOU에 따라 스케줄이 다름을 확인





• 최종 "ESS_agent"로 부터 도출된 시간 및 TOU에 따른 ESS 스케줄 시각화









Networking Next

> Intelligence Innovative

> > Communications Creative

> > > Energy **Envisioning**

