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TITLE

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Abbreviations

ANN   Artificial neural network
ANM   Active network management
ANSI   American National Standards Institute
API   Application programming interface

BDEW   German Association of Energy and Water Industries

CNN   Convolution neural network

DER   Distributed energy resources
DES   Distributed energy storage
DNN   Deep neural network
DSO   Distribution system operator

FN   False negative
FP   False positive

IEC   International Electrotechnical Commission

FACTS   Flexible alternating current transmission system

GARPUR   Generally accepted reliability principle with uncertainty modelling and through probabilistic risk assessment
GAN   Generative adversial network
GHG   Greenhouse gas

LSTM   Long short term memory

MAE   Mean absolute error
MLP   Multi layer perceptron

PF   Power flow

PV	Photovoltaic
ReLU	Rectified linear unit
RNN	Recurrent neural network
SLP	Standard load profile
Tanh	Hyperbolic tangent function
TN	True negative
TP	True positive
WP	Wind park

Symbols

CO$_2$ Carbon dioxide

I Electric current

V   Voltage magnitude

ϕ Voltage phase angle

p.u.   Per unit

P Active power

W   Active power unit: Watts

Q Reactive power

VAR   Reactive power unit: Volt-Ampere reactive

$\mathcal{G}$ Directed graph

$\mathcal{N}$ Set of positive integers representing the bus (or node) in the network

$\mathcal{E}$ Set of directed edges linking buses together
e_{ij} Directed edge with sending bus i and receiving bus j

$\mathcal{D}$ Set of all devices

$\mathcal{L}$ Set of all loads

r.m.s.   Root mean square

i.i.d.   Independently and identically distributed

Chapter 1

Changes

1.1   11/03

- Added 'Changes' chapter (to be removed in the final version)
- Added 'Problem statement' section **??**
- Added 'MV Oberrhein' section 5.1
- Minor changes

1.2   18/03

- Added 'Aim of the thesis' section 2.1
- Added 'Power system reliability' section 3.1.3
- Minor changes

1.3   25/03

- Added 'N-1 reliability criterion' sub section 3.1.3
- Modified network elements' description part 3.1.1
- Added 'Power Flow' sub section 3.1.2
- Modified 'Problem formulation' chapter 4
- Added 'Simbench dataset' 5.1.1 and 'Time series' 5.1.2 sub sections
- Minor changes

1.4   01/04

- Changed chapter 4 title to 'Problem analysis'
- Added 'Network topology' section 4.1
- Modified 'Problem statement' section 4.2
- Added 'Solving methodology' section 4.3
- Added 'Pandapower' section **??**
- Modified 'MV Oberrhein' section 5.1
- Minor changes

1.4.1   Questions

- Evaluation of the model issue 5.1.5

1.5   04/04

- Modified 'Problem analysis' chapter 4

1.6   08/04

- Modified 'Problem analysis' chapter 4
- Modified 'Project implementation' chapter 5
- Minor changes

1.6.1   Questions

- GAN for missing values 5.1.3
- Choosing how many missing values 5.1.3

1.7   14/04

- Modified 'Problem analysis' chapter 4
- Modified 'Project implementation' chapter 5
- Minor changes

1.8   22/04

- Modified 'Problem analysis' chapter 4
- Modified 'Project implementation' chapter 5
- Added 'Machine learning overview' section 3.2

1.9   29/04

- Modified 'Problem analysis' chapter 4
- Modified 'Project implementation' chapter 5
- Modified 'Machine learning overview' section 3.2
- Minor changes

1.10   06/05

- Modified 'Problem analysis' chapter 4
- Added runs' results
- Minor changes

1.11   13/05

- Added 'Reinforcement Learning' section 4.4

1.12   20/05

- Modified 'Reinforcement Learning' section 4.4

1.13   27/05

- Modified 'Reinforcement Learning' section 4.4 (added 'Updates #2' part 4.4.2)
- Added classification result table with external grid 5.5
- Removed Pandapower part
- Minor changes

Chapter 2

Introduction

The last decade has experienced a rapid growth in the world population, and, in the following years, it is expected the number of people to increase with a rate of 1.1% for year, reaching 9.7 billions in 2050 [1]. As the world population increases, so the energy demand does. The increasing population and the limited ability to supply non-renewable energy, has led to a rise of power demand, especially in developing countries. This high energy demand has required an intensive usage of fossil energy, causing environmental pollution and changes in the climate.
Indeed, the increasing global temperature and the worsening of the air quality are posing a real problem for the environment. In the last years, some changes have been observed in Earth's climate, primarily driven by human activities, particularly fossil fuel burning.

The biggest disadvantage of fossil fuels is that during the process of combustion in addition to produce energy, greenhouse gases (GHG) are emitted [2].
These gases form a cope in the atmosphere, like glass in greenhouses, that traps the heat, increasing the earth's temperature.
For around a century, humans have relied on fossil fuels, like oil, natural gas and coil for everyday tasks: heating, transportation, to produce electricity. For this reason, the GHG emission have reached historical peaks and are expected to increase in the following years [3]: in the year 2020, the concentration of CO_2 in the atmosphere had risen to 48% above its pre-industrial level (before 1750).

In order to improve the situation, the 2015 Paris Agreement set an ambition to limit global warming to well below 2 °C above pre-industrial levels and pursue efforts to limit it to 1.5 °C - in part by pursuing net carbon neutrality by 2050. The substantial reduction of global greenhouse gas emissions (including CO_2) will limit the increase of global temperature [4].
Countries were asked to go through a process of decarbonization: the reduction of

carbon dioxide emissions through the use of low carbon power sources.

These sources convert the energy coming through naturals elements (sun, wind, geothermal heat) in another form of energy, electricity for example, with low or no waste products such as CO_2 or other chemical pollutants.
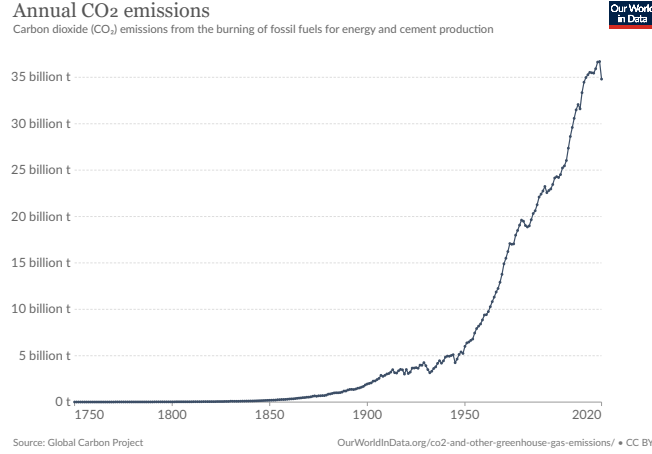

Figure 2.1: World CO_2 production over the years [5]

Thanks to this emerging trend of decarbonization, more and more renewable power energy devices are introduced in the distribution networks [6]. With the advantages of inexhaustibility and low impact on the environment, the high penetration of these renewables devices bring in some technical complications for the distribution of power and voltage in the grids.

The networks, that have been designed around the conventional centralized energy production, have to adapt to the new generators in the system. It is possible to say that the distribution networks are moving from unidirectional power flow (from the distribution system to the consumers) to a bidirectional power flow (in this case the consumers are also producers and the exceed energy can be transported from the consumers to the distribution system. They are also known as prosumers [7]). This switch from unidirectional to bidirectional power flow requires a smarter system that can handle in an efficient way the generation and distribution of voltage.

In the literature, this smarter way to control a distribution system is known as active network management (ANM) and it refers to the design of control schemes that modulate the generators, the loads, and the distributed energy storages (DESs), as well as other elements like switches, connected to the grid.

2.1 Aim of the thesis

The aim of this thesis is to exploit data-driven approaches to forecast the future nodes' voltage based on historical measurements in a medium-voltage distribution system using machine learning techniques, in particular deep learning models. Predicting voltage fluctuation problems in the network would allow avoiding possible consequences related to these issues. Moreover, some control voltage techniques will be employed to avoid the network's critical situations, like for example over voltages problems.

2.2 Thesis outline

Chapter 3

Background

Nowadays, people take electricity for granted and that flipping the switch will turn the light on instantly and effortless. But the electricity, used for everyday purposes, performs a long journey before arriving to houses or where it is consumed. The electricity circulate in power networks. These power networks include many elements and devices that are needed to generate, transport and assure that there are no problems in the network, assuring that they work well.
However, they are far from perfect, and some issue may arise at any moment, for example voltage problems. Voltage problems arise when the voltage through a line or a device is more or less than what it is expected. Should that be the case, these problems should be handled correctly. There are two voltage problems that can raise on a network: under and over voltage problems.

Generally, electronic devices have defined voltage limits they can work in safety conditions. The voltage magnitude in the different parts of a network is not always constant during time, but it fluctuates. These fluctuations, both positive and negative, can be large: when negative, the voltage can drop below the device's minimum allowed voltage limit, in this case there would be an under voltage problem; or when positive, the voltage can increase above its maximum allowed limit, in this case there would be an over voltage problem.

The voltage control problem has been studied for years, but it only comes under the spotlight in the last years for the increasing number of distributed resources introduced in the networks.
The introduction of more and more DER devices in the networks increases the number of voltages problems, in particular over voltage problems. These devices generate electric power and when this power is greater than the energy consumed, the extra energy is emitted back in the network.

For this reason, it is important to control the voltage in an electrical power system for a regular operation of the electrical equipment. It can prevent damages such as overheating of devices and lines, reduce transmission losses and maintain the ability of the system to last and avoid voltage collapse. Over voltages other than shorten the lifetime of equipment have a negative impact on the stable operation of both supply-side devices and demand-side appliances.

The control voltage problem has some interesting properties:

- It is a combination of local and global problem: the voltage at each node is influenced by the powers of all other nodes, but the impact depends on the distance between them.

- It is a constrained optimization problem with many constraints, for example to keep the voltage in a given range, and the objective is to minimise the total power loss.

- Voltage control has a relatively large tolerance, and there are no severe consequences if the control fails to meet the requirements for short periods of time. [8]

- It is a hierarchical problem where the information available can be represented as a pyramid: much information is available at the top of the pyramid (distribution stations and substations) and it decreases at the base of the pyramid (houses, factories) mainly due to the absence of many sensors.

3.1   Power system

3.1.1   Description of a power system

A power system is a complex infrastructure that produces and distribute electricity to different consumers. A power system consists of generation, transmission and distribution system and each of them has a different function.

In the traditional power system, electricity is generated in large, centralised power plants. The electricity is then transferred to the loads using the transmission and distribution networks. Transmission substations are located near the power plants, their main function is to increase the voltage level to high and extra-high voltages levels. The reason for transmitting power at high and extra-high voltage levels is to increase efficiency. The lower current accompanying the high voltage transmission allows for the use of thinner, lighter-weight cables. This reduces the cost in the tower and electrical line construction. In Belgium, high and extra-high

voltages refer to voltage magnitudes $30kV \leq |V| < 380kV$ for the high voltage and $|V| \geq 380kV$ for the extra high voltage [9].

Large industrial complexes and factories that require a substantial amount of power often utilise medium supply voltages. The high voltage coming from the transmission lines is sent to the primary substation, this can supply step-down power to secondary substations or to single buildings. Secondary substations can have transformers to further step down the power, and they are generally located in areas that can serve one or more buildings. Medium voltages refer to voltage magnitude $0.4kV \leq |V| < 30kV$.

Then the medium supply power is step down again to a low voltage and sent to the domestic household or home appliances power supply. Low voltages refer to voltage magnitude $|V| < 0.4kV$.
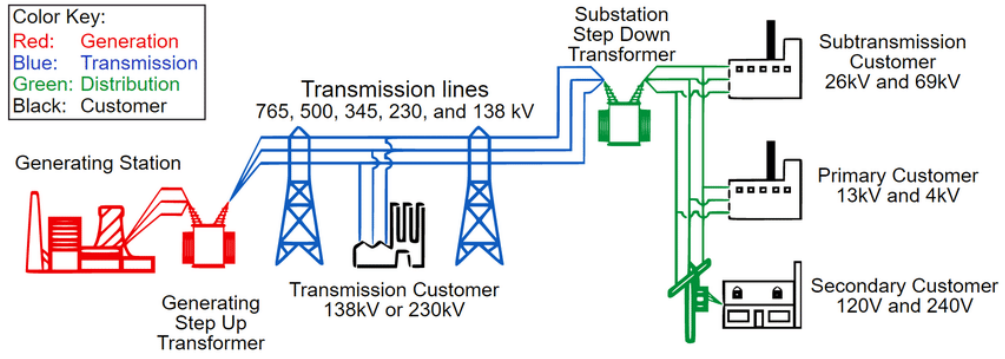
Figure 3.1: Typical Power network distribution [10]

A power system is usually made up of the following main elements:

- **Generator**. These generate energy, converting a form of energy into electricity. In general, electricity is produced when a magnet is moved near a wire to create a steady flow of electrons.
  So, many generators produce energy using turbines: a fluid spin the generator's blades, producing electricity. This fluid, either water or air, can derive from natural sources: hydroelectric, wind or geothermal turbines, or generated by combustion of some fuel, for example coal, natural gas, oil or nuclear source. There are other generators that do not need a turbine to generate electricity, for example solar panels.

- **Lines**. These transport the power from where energy is generated to where it is consumed. One of the main issues about transportation lines is insulation. There are different types of lines: overhead cables, they use air to insulate the bare conductors or underground cables, for these cables particular attention

must be taken to insulate them from other conductors and from the earth (ground). Also, the material used must be resistant to damages, corrosion, and it must avoid that the water is being absorbed.

- **Transformers**. Transformers are used to interlink systems operating at different voltages. These can increase the voltage magnitude near a generator power plant or decrease it near the consumptions facilities.
  Changing the voltage magnitude allows reducing the power loss due to transportation. One of the main causes of power loss is the Joule effect: some part of the energy transmitted is converted in heat generated by the current flowing through a conductor. This power lost is given by the equation $P = VI$, where V is the voltage and I is the current, so decreasing the voltage reduces the energy loss.

- **Switchgear**. In an electricity supply, it is necessary to disconnect equipment from the network quickly if a fault occurs to avoid damage on the elements of the network, or to disconnect some points of the network to avoid excessive losses or too high or low voltages.
  Switchgear is a broad term that describes a wide variety of switching devices that fulfil the need of controlling, protecting, and isolating power systems. Among these switching devices the most common are: *circuit breaker*, during an electrical fault, a circuit breaker will detect the anomaly and interrupt the power flow, effectively limiting damage to the system; *switch* is an electrical component that can disconnect or connect the conducting path in an electrical circuit, interrupting the electric current or diverting it from one conductor to another; *recloser* similar to the circuit breaker but used in high voltage networks, these devices handle trouble temporary occurrences such as lightning, windblown tree branches or wires, birds, or rodents damaging the wires.

- **Loads** are electric components that consume the electric power generated by power plants. The type of loads can be divided base on the consumption in:

  Domestic loads, the domestic loads mainly consist of lights, fan, refrigerator, air conditioners, mixer, grinder, heater, ovens, small pumping, motor, etc. The domestic loads consume very little power.

  Commercial loads, the commercial loads mainly consist of lightning, fans, heating, air conditioning and many other electrical appliances used in establishments such as markets, restaurants, shops. This type of load occurs for more hours during the day as compared to the domestic load.

  Industrial loads, the industrial loads refer from a small-scale industry, to a heavy industry. It includes all electrical loads used in industries along

with the employed machinery. Industrial loads may be connected during the whole day [11].

- **Buses** are nodes where a line or several lines are connected and may also include several components such as loads and generators.

3.1.2 Power flow

An important procedure in power system networks is to perform a numerical analysis to determine the electrical state of the network, starting from some parameters that are known. This analysis is called power flow (PF).
The objective of a power flow study is to calculate the voltages, magnitude and angle, for a given bus, load, generation device. After this information is known for all elements, line flows and losses can be calculated.

Buses

The power flow gives information about the steady state of the entire system such as voltage, active, reactive power and lines' loading.
Each bus is associated with four quantities: voltage magnitude V, phase angle ϕ, real power P and reactive power Q. Depending on the quantity that has been specified, buses in the power system are classified into the following three different types:

- **Slack bus**. It is taken as reference where the magnitude and phase angle of the voltage are specified. Slack bus magnitude considers 1 p.u. and phase angle 0 degrees. This bus provides the additional real and reactive power to supply the transmission losses, since there are unknown until the final solution is obtained.

- **Load buses or PQ bus**. At these buses, the real and reactive powers are specified. The magnitude and phase angle of the bus voltage are unknown until the final solution is obtained.

- **Voltage controlled buses or PV bus**. At these buses, the real power and voltage magnitude are specified. The phase angles of the voltages and the reactive power are unknown until the final solution is obtained. The limits on the value of reactive power are also specified.

Solution techniques

Defining and solving the power flow equations are the main tasks in load flow analysis.

The definition of the power flow equations is based on Ohm's Law, which is the relationship between voltages and currents. For a network, it can be expressed in matrix notation as follows:

$$\mathbf{Y} \times \mathbf{V} = \mathbf{I}$$

$$
\begin{bmatrix}
Y_{1,1} & Y_{1,2} & \cdots & Y_{1,N-1} & Y_{1,N} \\
Y_{2,1} & Y_{2,2} & \cdots & Y_{2,N-1} & Y_{2,N} \\
\vdots & \vdots & \ddots & \vdots & \vdots \\
Y_{N-1,1} & Y_{N-1,2} & \cdots & Y_{N-1,N-1} & Y_{N-1,N} \\
Y_{N,1} & Y_{N,2} & \cdots & Y_{N,N-1} & Y_{N,N}
\end{bmatrix}
\times
\begin{bmatrix}
V_1 \\ V_2 \\ \vdots \\ V_{N-1} \\ V_N
\end{bmatrix}
=
\begin{bmatrix}
I_1 \\ I_2 \\ \vdots \\ I_{N-1} \\ I_N
\end{bmatrix}
$$

Where:

- $\mathbf{Y}$ is the bus admittance matrix

- $\mathbf{V}$ is an array of bus voltages

- $\mathbf{I}$ is an array of bus current injections

The power flow formulation is based on the application of Kirchhoff's laws to meshed electric networks. The basic concept is that the sum of all flows into each and every node should be equal to zero.

The flows are in complex form, they consist of real and reactive components, or Ws and VARs. That means that if there are n nodes, then there are n complex equations. Solution methods for this system of equations are primarily iterative with the objective of reducing the sum of flows in all nodes to some acceptably small value known as the mismatch tolerance.

All these iterative methods follow the same basic concept: they assume starting values for the dependent variables, primarily voltage at nominal voltage magnitude (i.e. 1 p.u.) and zero phase angle; compute new values for those voltages using the nodal network equation or a numerical approximation and repeat until the convergence criteria are met.

The solution has to satisfy some network constrains, in particular:

- Active and reactive power balance: the sum of the power injections (that can be positive or negative) at each bus must be equal to 0. This, as said, results from the Kirchhoff's laws.

- Voltage limits: the voltage magnitude at each bus and the voltage phase difference between two directly connected buses are bounded by some specific values to maintain the system safe.

- Thermal limits on transmission lines: the flow in each transmission line is limited due to the thermal limit of the conductors.

- Generators' active and reactive power limits: the generating units have generally a minimum and maximum level of output power.

- Generator ramping limits: the output power of a generating unit can not be instantaneously increased or decreased. The operator must take into account the ramping limits of the generators.

Convergence

The PF is a non-linear and non-convex numerical analysis, with a large number of constraints (both equality and inequality constraints) and variables (that can be both continuous and discrete). It is therefore a hard problem, whose cost of finding a solution can increase exponentially, particularly with the increasing size of the network. Moreover, there is no guarantee to find the global optimum.
When a solution exists, and it is reached, it is said that the network has converged. Convergence is the state when all nodes have met the mismatch tolerance.
The main power flow solution methods are:

- Gauss-Seidel method updates the voltage one node at a time until all nodes are within the mismatch tolerance.

- Newton-Raphson method uses a first order expansion of the power flow equations to approach convergence. Generally faster than the Gauss-Seidel method and able to converge to small tolerances. However, the method is prone to the phenomenon of **divergence**, when mismatches increase instead of decrease from iteration to iteration. This occurs when the solution vector exits outside the feasible solution space at any point during the algorithm. Once outside feasible space, the solution gradient tends to further increase mismatches, leading to solutions that "blow-up" in the numerical sense. This method requires calculating the first order approximation matrix (known as the Jacobian). Several variations on the Newton-Raphson are in use, including:

  Fast Decoupled: separates the loosely linked real and reactive components of the power flow equations in order to speed up solution.

  Fixed Newton: does not update the first order approximation matrix every iteration to reduce computational burden.

Non-divergent power flow: applies a reduction to the Jacobian multiplier whenever the solution appears to exit feasible space. In certain situations, this may prevent divergence, or at least stop it before blow-up.

- Interior-Point Newton method forces the solution inside feasible space to avoid divergence. The interior point method uses a second order expansion of the power flow equations as a basis for its algorithm. The method is more computationally intensive than either the Gauss-Seidel or Newton-Raphson, but is less susceptible to numerical divergence.

Divergence

Divergence is the condition of the power network when the numerical solution can not be found any more due to some possible issues:

- the power system is going to "blow-up."

- the power system is in voltage collapse.

- the power system is unstable.

- the initial conditions defined were bad or poor.

- some issues related to software or input data.

Divergence of the power flow solution has traditionally been associated with the singularity of the Jacobian matrix. Since some methods require an inverse of the Jacobian as part of its solution algorithm, singularity of the Jacobian means division by zero [12].

3.1.3   Power system reliability

Reliability of a power system is an important factor concerning the quality of energy supply.
Power reliability can be defined as the degree to which the performance of the elements in a system results in electricity being delivered to customers within accepted standards and in the desired amount [13].
Reliability indices typically consider such aspects as:

- the number of customers;

- the connected loads;

- the duration of the interruption measured in seconds, minutes, hours, or days;

- the amount of power interrupted;

- and the frequency of interruptions.

These factors depend on variable such as reliability of individual items of equipment, circuit length and loading, network configuration, distribution automation, and available transfer capacity [11].

For reliability purposes, it is important to know the maximum voltage that can be transferred with transmission lines to meet the anticipated load demand. It is also important to know the levels of power through various transmission lines under certain contingency outage conditions to maintain the continuity of service. Knowledge of power flows and voltage levels under normal operating conditions are necessary in order to determine fault currents and the ensuing consequences on the stability of the system [12].

There exists some standards about power system reliability.
The International Electrotechnical Commission (IEC), IEC TS 62749 [14], that states that the energy suppliers and facility managers need to verify the conformity of the energy supplied to:

- maximum limits

- statistical limits over a week or a year

Under normal operating condition some values must be verified:

- during each period of one week 95% of the 10 minutes mean r.m.s. values of the supply power voltage shall be within the range of $\pm 10\%$ p.u. and

- all 10 minutes mean r.m.s. values of the supply voltage shall be within the range $+10\% - 15\%$ p.u.

The American National Standards Institute (ANSI), C84.1-2016 [15], voltage standards for service voltage limits, for example, are classified as Range A and Range B limits. The voltage between 0.950 p.u. and 1.050 p.u. of nominal voltage lies under Range A, and the voltage between 0.917 p.u. and 1.058 p.u. of nominal voltage for 240 V service voltage lies under Range B. Note that the voltage can be within Range B for only a short duration and frequency, and thus corrective measures are necessary to constrict.

Reliability criteria

The goal of a distribution system operator (DSO) is to ensure a reliable system. Unfortunately, a completely reliable electricity supply is not feasible to obtain since

it comes at an infinite cost. So, network operators need to determine an acceptable reliability level, by balancing the costs and benefits, where acceptable reliability level means that all the elements in a network have an acceptable voltage range.

The European GARPUR project (**G**enerally **A**ccepted **R**eliability **P**rinciple with **U**ncertainty modelling and through probabilistic **R**isk assessment) developed reliability management approaches and criteria. One of these criteria used by system operators is the N-1 criterion.

The basic principle of N-1 security in network planning states that if a component, for example a transformer or circuit, should fail or be shut down in a network operating at the maximum levels of transmission and supply, the network security must still be guaranteed. This means that the safety of the system is guaranteed and the spreading of the failure is avoided.
It is possible that there may be another contingency before restoring the network after the fail of one element, this criterion is known as N-1-1 criterion.

With the increasing of network complexity more than one element may fault, for this reason there exists other levels of reliability, like the N-2 criteria. In this case, even if in the network two components fail, the network security is guaranteed.
This N-2 criteria requires much more computational power since, the system operator must calculate what happens to the network for any combination of two fault elements. So, the problem becomes a combination problem, where the possible combination are given by: $\binom{N}{2}$, with N the number of elements in the network.

In general, the calculation can be extended to any generic k elements, but the complexity of the problem increases with the value of k. Indeed, the possible combination in a N-k contingency are: $\binom{N}{k}$, with $2 < k < N$

3.2 Machine learning overview

Machine learning is a subset of artificial intelligence that trains a machine to learn. In particular machine learning is the study of how a computer algorithm improves its performances at some task through experience or more precisely:

> A computer program is said to learn from experience E with respect to some class of tasks T and performance P, if its performance at tasks in T, as measured by P, improves with experience E [16].

where generally, in a machine learning problem, T is a task too complex to be solved with human written algorithms.

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Machine learning differs from the traditional computer science methods. In traditional approaches, algorithms are sets of explicitly programmed instructions, or rules, used by computers to solve a problem. Machine learning algorithms instead allow for computers to train on data inputs and use statistical analysis in order to output values or answers.
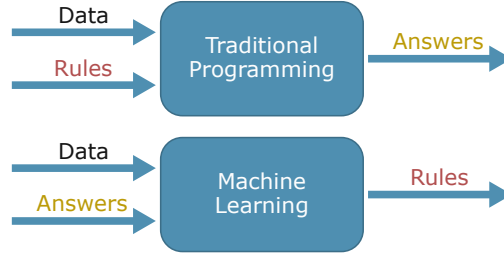

Figure 3.2: Difference between traditional programming and machine learning approach

3.2 shows the main difference between traditional methods and machine learning approach: when solving a problem, traditional programming required someone (usually an expert in the field) to generate some rules that would be used to get some answers from some input data; while in machine learning the model tries to find some rule that link the input data and the output data (or answers). Machine learning approach has demonstrated to outperform humans in find this kind of rules, moreover no real expert is required.

In machine learning, tasks are generally classified into broad categories. These categories are based on how learning is received or how feedback on the learning is given to the system developed. There are three main type of machine learning algorithms: supervised, unsupervised and reinforcement learning.

3.2.1 Supervised learning

In supervised learning, the goal is to learn a function that maps an input X to an output Y based on example input-output pairs and applying this learnt function to predict the output of future unseen data.

More formally, in a supervised learning problem, the goal is to find a function $f : X \rightarrow Y$, from a sample data S_n composed by pairs of (input, output) points:

$$S_n = ((x_1, y_1), \ldots (x_n, y_n)) \in (X \times Y)^n$$

Typically, $x_i \subset R^n$ and $y_i \subset R$ for regression problems or y_i discrete for classification problems, for example $y_i \in \{0,1\}$ for binary problems.

In the statistical learning settings, an important hypothesis is that the training data is independently and identically distributed (i.i.d.). from a probability distribution function $P(X, Y)$. The goal of the learning is to find a mapping function f that can encode the property of $P(X, Y)$ between the inputs X and the output Y.

Another important concept is to evaluate how well the function f performs, calculating the error or loss between the predicted values $f(x)$ and the actual value y. This error is evaluated with a loss, or cost, function $L : Y \times Y \to R^+$. There are many loss functions depending on the problem and requirements, one example is the mean absolute error (MAE) loss function:

$$L(f(x), y) = \frac{1}{N} \sum_{i=0}^{N} |f(x_i) - y_i|$$

Many supervised learning algorithms consider the minimisation of this loss function as an optimisation problem to find the best predictor among all the possible candidate input-output mappings in the solution space $\mathcal{B}$.

With the loss function $L(x, y)$, the definition of risk of the function f, also called generalization error, must be introduced:

$$R(f) = \int L(f(x), y))\ dP(x, y).$$

The objective is to find the function f in $\mathcal{B}$ that minimises the generalization error, $R(f)$. Since it is not possible to solve $R(f)$, because of the joint probability distribution $P(x, y)$ is unknown, f inferred from available data set S_n.

3.2.2 Artificial neural networks

Artificial neural network (ANN) is a computational model that consists of several processing elements that receive inputs and deliver outputs based on their predefined activation functions. They have been proved to provide a strong approach to approximate functions in order to solve continuous and discrete problems.

They have been inspired by the biological neural networks that constitute animal brains. For the first time, in *1943* Walter Pitts and Warren McCulloch published a paper with the mathematical modelling of a neural network, taking inspiration from the human biology. They thought a human neuron cell as a threshold logic unit working together with other neurons to build a complex system. This neuron

cell collects multiple signals arriving at the dendrites, elaborate them and if the accumulated signal exceeds a certain threshold, an output signal is generated that will be passed on by the axon [17].

Perceptron

The simple unit in an ANN is called perceptron. The perceptron is a mathematical function inspired by biological neurons, where each neuron takes inputs, weighs them separately, sums them and pass the sum through a nonlinear function to produce output. This mathematical function can be written as follows:

$$o(x_1, x_2, ..., x_{n-1}, x_n) = f(\sum_{i=0}^{n} w_i x_i + w_0) \tag{3.1}$$

where n is the number of connected neurons, x_i is the input from the neuron i, w_i is the weight that determines the contribution of input i, and f is a nonlinear function, like for example:

$$f(x) = \begin{cases} 1 \text{ if } x > T \\ -1 \text{ otherwise} \end{cases}$$

with T a real value representing the threshold that x has to surpass for the function to output 1. In the formula 3.1 the threshold T is given by the value w_0.

A single perceptron can be used for classification tasks: it builds a hyperplane that separates the data and output a value between -1 and 1 whether a point is on a side of the hyperplane or on the other side. The perceptron can find a hyperplane in any n-dimensional space as long as this decision boundary exists; this happens if the data points are *linearly separable*.

Multi layer perceptron

As said, perceptrons can express only linear decision boundaries. To solve this problem, it is possible to use more perceptrons to represent more complex decision surfaces.
Multi layer perceptron (MLP) are constructed by many perceptrons. These neurons are organized in layers: there are always at least two layers, input and output layer, and one or more hidden layers; from here the term *multi* layer perceptron. Each layer is composed by many neurons and each neuron in one layer is connected to all the neurons in the next layer, so the information from the input layer is propagated to hidden layers and then to the output layer. These model are also known as deep neural network (DNN) since the network's hidden layers make the model 'deep'.

The output of a layer before being propagated to the next layer pass through a non-linear activation function, for example Rectified Linear Unit (ReLU), Sigmoid function or Tanh. The non-linearity of the activation function is needed since it introduce more complexity to the model and summing operations of many linear layers the output would still be linear, so a deep network would perform similarly to a single layer network.

The main idea behind stacking many layers is that each layer represents a boundary region, that will pass to another layer to represent a more complex boundary region. Using many layers, like a chain, it is possible to represent very complex decision boundaries. It is possible to write this sequence of operations as follows:

$$f(x) = f^{(n)}(f^{(\dots)}(f^{(1)}(x))) \tag{3.2}$$

where n is the number of hidden layer, $f^{(n)}(x)$ is the boundary representation at the last hidden layer before the output layer, $f^{(1)}(x)$ is the decision boundary representation at the first hidden layer after the input layer and $f(x)$ is the mapping function that can solve the problem. Equation 3.2 can be viewed as a chain, where the output of the first decision boundary is propagated to the next decision boundary function up to the final hidden layer and then to the output layer to get the predictions.

Convolutional neural network

Convolutional neural networks (CNNs) are a particular type of artificial neural network that process data with a grid-like topology. These kinds of networks are usually used with images, considering an image as a 2D matrix of pixels or for with time series, considering a time series as a 1D structure.

The term convolutional comes from the usage of a mathematical operation called convolution. Convolution is a linear operation that involves two functions:

$$(x * w)(t) \overset{def}{=} \int_{-\infty}^{\infty} x(\tau) \cdot w(t - \tau)d\tau \tag{3.3}$$

where $*$ is the sign for the convolution and $\cdot$ is the sign for the dot product.
The output of this linear operation, given by the input x and the weights w (also called **kernel** or **filter**) is referred to as **feature map**.

The main idea is to *convolve* the input, let's take as reference an image of size n, with a filter of size f. The filter is applied to an area of the image, and the dot product between the that portion of the input image and the filter is computed. Then the filter is shifted to the next portion of the input image, and this way the

dot product is calculated for the full width and height of the input.
Since the convolution is a linear operation, the output of the convolution must go through a non-linear activation function, usually ReLU in the case of CNNs.

The output of a convolutional layer is passed to a pooling function. This pooling function aggregates the output of the convolutional layer at a certain location with a value that represents statistically their values. This allows to reduce the data dimensionality, to shorten the training time and reduce overfitting.
Usually, the most common pooling function are max pooling, which takes the max value of the window, or average pooling, which averages the values of the window.

With these series of operation, a single convolutional block can extract some important feature from the input data. Generally, many convolutional blocks are stacked together so that each of the next block can represent more complex and specific features.
The output of the last block is flatten and passed to one or more fully connected layers to get the final prediction (in case of a classification task).

CNNs have shown to perform very well on some task, especially image classification, and their main advantages are lower number of weights compared with a MLP network and the ability to automatically learn how to extract important features.

Recurrent neural network

Recurrent neural networks (RNNs) are a particular type of ANN that work with time series data or data that involves sequences. They use the output of network units at time t as the input of the other units at time $t + 1$.

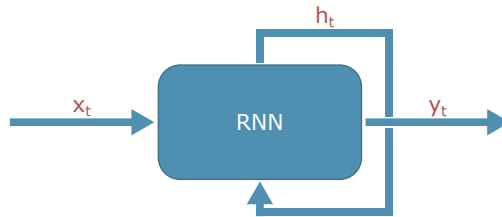Generally RNNs are represented as follows:

Figure 3.3: Graph representation of a RNN

where x is the input RNN is the recurrent network and y is the output of the model.

The arrow coming out and back in in the RNN block is what the term *recurrent* refers to: after receiving an input, at time x_t the RNN computes some operation and a hidden state, h_t, is saved and used for the next input, at time $t + 1$.

Mathematically, this process can be represented with the following formula:

$$h_t = f_W(h_{t-1}, x_t) \tag{3.4}$$

where f_W is a function that takes as input the hidden state of the previous time step h_{t-1} and the input at the current time step x_t and it outputs the hidden state at the current time step h_t. At the next time step the state h_t would be passed to with the next input x_{t+1} to f_W and so on until all the input time steps are consumed.

An important concept to notice is that the function f_w depends on some weights W, and these weights are share for every time step of the computation. For example, the function f_W can be represented as:

$$f_W = tanh(W_h \cdot h_{t-1} + W_x \cdot x_t) \tag{3.5}$$

where $tanh$ is the hyperbolic tangent function, W_h is the matrix of weights that multiplies the hidden state h_{t-1} and W_x is the matrix of weights that multiplies the hidden state x_t.

Long Short-Term Memory networks   A popular type of RNN is the Long Short-Term Memory (LSTM) networks. They were designed to handle the long time dependency of the input. The main difference between a simple RNN and a LSTM network is the complexity of the hidden block: while in a RNN there is only a Tanh function, in a LSTM there usually is the Tanh function and as well some Sigmoid functions.
This more complex model allows the network to keep in memory (as a hidden state) or forget some information that are considered as not too relevant [18].

3.2.3   Metrics

An important part of a machine learning task is to evaluate whether a model performs well or not. There are many ways to evaluate a model, these are commonly referred to as evaluation metrics.

The evaluation metrics differs from task to task, for example there are some specific evaluation metrics for classification and there are other metrics for regression problems. Since this thesis will focus on a classification task, only the classification

evaluation metrics will be presented here.

Before talking about the different evaluation metrics, some terms have to be introduced. During classification, there are four outcomes that can occur:

- **True positive (TP)**: when the result of a test tells that a subject belongs to a particular class, and it actually belongs to that class.

- **True negative (TN)**: when the result of a test tells that a subject does not belong to a particular class, and it actually does not belong to that class.

- **False positive (FP)**: when the result of a test tells that a subject belongs to a particular class, but it actually does not belong to that class.

- **False negative (FN)**: when the result of a test tells that a subject does not belong to a particular class, but it actually belongs to that class.

These different outcomes can be represented in a confusion matrix.

add confusion matrix image

When a test is wrong (either FP or FN) a misclassification occurs. The evaluation metrics try to quantify how well a model performs, elaborating how many miss classification were done.

Accuracy

Accuracy measures how often the model classifies correctly. Accuracy is defined as the ratio between the number of correct classification and the total number of predictions.

$$accuracy = \frac{\text{correct predictions}}{\text{total predictions}} = \frac{TP + TN}{TP + TN + FP + FN}$$

Recall

Recall, also called sensitivity or true positive rate, gives the proportion of cases correctly identified by the test as belonging to a specific class. Recall is defined as the ratio between the number of true positive and the number of subject that were predicted to belong to that class.

$$recall = \frac{TP}{TP + FN}$$

Precision

Precision is defined as the number of true positives divided by the number of predicted positives.

$$precision = \frac{TP}{TP + FP}$$

Trade-off recall precision

Generally there must be a trade-off between recall and precision, or equivalently between the number of false negative and false positive, since increasing the recall (precision) would decrease the precision (recall).

This trade-off is even more important when a misclassification would be worse than the other: predicting a subject to have an illness, but actually it is sane (FP) or predicting a subject sane, but actually it has an illness (FN). In this medical case, FN would be a worse case, since the illness of the subject would not be treated while FP would have only to take some medications.
In general, the trade-off depends on the business and there is not a specific way to tell a priori if FP is a better case than FN.

F1 score

There are other situations where having FP or FN does not change much, they are equally important.
In these cases, it is often convenient to combine recall and precision in a single evaluation metric. It is defined by the harmonic average of the recall and precision.

$$F1score = 2 \cdot \frac{precision \cdot recall}{precision + recall}$$

3.2.4 Unbalanced dataset

Unbalanced dataset are common in real life classification problem. An unbalanced dataset is a dataset where a class is unrepresented with respect to the other classes, the class distribution is not even. As it usually happens, the observation in the minority class are the most important and the problem is more sensitive to misclassification of that class: fraud detection, for example.

Generally this is a difficult problem since some models may not generalize well: the model receiving more observation of a class tend to be more biased towards it and fails to understand the patters that separate the classes.
In these cases, it is also important to consider which evaluation metric to use.

Accuracy metric, in general, is not a meaningful metric, since the model predicting every observation as belonging to the over-represented class would get a high score. More meaningful metrics are precision, recall or an average of the two, for example f1-score.

There are few methods to solve or mitigate the unbalanced dataset issue. Some of them will be reported here:

- Resample the dataset: this can be done, increasing the number of observation in the minority class (*oversampling*) or decreasing the observation in the majority class (*undersampling*).

    - Undersampling: the main idea is to reduce the number of instances in the majority class to the underrepresented class' level.
      This is usually done with a random downsampling, randomly discarding samples.

      A possible problem with this technique is that it does not care discriminate importance that the different observations may have.
      There are some other more informative techniques like for example nearest neighbours algorithms that try to include samples from every cluster in the majority class.

    - Oversampling: opposite to undersampling, its main idea is to increase the number of instances in the minority class. This is usually done generating synthetically observation of the underrepresented class base on the available data. Some popular techniques include Variational Autoencoders (VAE), SMOTE (Synthetic Minority Over-sampling Technique) or MSMOTE (Modified Synthetic Minority Over-sampling Technique).

- Penalize misclassification: the idea is to penalize misclassification of the minority class more than the majority class. In this way the model should put more focus on the underrepresented observation since a penalty in case of error is larger than the major class error.
  These penalties are commonly referred as weights, and finding the right weights' values is usually challenging.

Chapter 4

Problem analysis

The principle of active network management ANM is to address congestion and voltage issues via short-term decision making policies [19].
ANM creates a smarter network infrastructure providing automated control of various components in the network and provides the information needed to ensure that every device performs in an optimal manner. This automated control allows grid companies to avoid the traditional approach of reinforcing the network with expensive upgrades; so reducing the costs. For example, in case of energy generation from the renewable devices higher than what a particular line can handle, a grid company, to avoid congestions and possible overvoltages, has three main options:

- Replace the existing line with a line that can handle a higher voltage. This usually means to replace the existing line with a cable with a larger cross-sectional area.

- Add another parallel line.

- Handle the situation with ANM.

The first two solutions require some infrastructure investment that can be expensive and troublesome, especially in the case of overhead or underground lines.
The solution with ANM does not require construction cost for the grid company; to keep the network working, in this case, the output of the renewable devices can be curtailed to reduce lines' overloading.

In these references, generally, ANM maintains the system within operational limits by relying on the curtailment of the generator devices, PVs, WPs and other DER devices.
Curtailment of renewable energy may be seen as counter-intuitive on the environmental point of view, and it may be considered as last option. Indeed, this process

can slow down the switch to clean energy, because of the lost of the curtailed energy.

In this mindset, ANM could also be used to control flexible loads and reduce the curtailment effects. These flexible loads, also known as virtual batteries, such as water heaters, air conditioning systems, electric vehicles, can be controlled to be turned on if the energy production is higher than the energy consumption so to avoid curtailment on the generators [20].
Another way to reduce the energy curtailment is to use Flexible Alternating Current Transmission System (FACTS) devices. They offer some level of power flow control and enhance the transfer capability over the existing network. This flexibility can be utilized for congestion mitigation and renewable energy integration. Particularly, FACTS devices allow controlling all parameters that determine active and reactive power transmission: nodal voltages magnitudes and angles and line reactance. These devices replace the mechanical switches with semiconductor switches allowed much faster response times. One problem with these devices is the cost a system operator should sustain to implement them in the network [21].

4.1   Network topology

A power network can be represented as a direct graph $\mathcal{G}(\mathcal{N}, \mathcal{E})$, where $\mathcal{N}$ is a set of nodes, also called buses in the network, $\mathcal{E} \subseteq \mathcal{N} \times \mathcal{N}$ is the set of directed edges linking two buses together, also called lines. The notation $e_{ij} \in \mathcal{E}$ refers to the directed edge with sending bus i and receiving bus j. Each bus might be connected to several devices, which may inject or withdraw power from the grid. The set of all devices is denoted by $\mathcal{D}$ that can be either loads $\mathcal{L}$ or generators $\mathcal{G}$.
Power networks generally operate radially as a tree, with the root the substation. The root substation can be seen as a slack bus, where the voltage magnitude V and the phase angle ϕ are considered constants.

4.2   Problem statement

This thesis will focus on ANM and the problem faced by a DSO to maintain the network within its operational limits. In particular, the system operator will evaluate whether in a given moment there will be a voltage problem, so that it would be possible to proceed with some actions, like applying curtailment to generator devices, to maintain the voltage inside a safe range.

The DSO knows some information about the network:

- The network topology: the number of buses, loads and generators, the lines' length, the distance between the connected buses, and the distance between

each load and generator from the external grid. Moreover, the impedance of the lines is known.

- The active and reactive power of some loads at each time step. Some values may not available mainly for two reasons: *a)* for that particular load there are no measurements at all due to privacy reasons or for the lack of sensors or *b)* communication problem so the sensor recording was lost. *remove?*

- The type of DER device connected to each bus. If the DER device is directly connected to the medium voltage grid, the active power and reactive power are considered known.

This data is used to calculate the power flow of the network and obtain more information like the voltage magnitude at each bus, lines' loading and other values. This calculation can be performed with any power system analysis tool, for this thesis Pandapower will be used.

The DSO will consider the behaviour of the network over a set of discrete time steps $t \in \{1,2,...,T-1,T\}$ of length Δt, with, $T \in \mathbb{N}$, the last time step of the time series' horizon. A time step is considered as a snapshot of the system at one particular point in time.

The DSO can have access to some information, let's define the information domain as **I**. This information can be divided in static information like the network topology, and the observation O_t collected at every time step t like the loads and generators' active and reactive power and the buses' voltage magnitude and lines' loading. The information at time step I_t can be defined as:

$$I_t \in \mathbf{I}, \text{with } t \in \{1,2,...,T-1,T\}$$
$$I_t = \langle \text{static information}, O_1, O_2, ...\rangle$$

In general power networks are not static, since the operators can modify their topology, for example changing the connections due to some incidents on the lines. In this thesis, the network topology is considered as static, so that no changes are applied on the network the during the whole time series' horizon.

An instance of the observation O_i can be:

$$O_i = \langle P^{\,load}_{l,i}, Q^{\,load}_{l,i}, P^{\,sgen}_{g,i}, V^{bus}_{v,i}, I^{line}_{\%\ e,i}\rangle$$

where $P^{\,load}_{l,i}$ and $Q^{\,load}_{l,i}$ are active and reactive power of load l at time stamp i, with $l \in \{0,...,|\mathcal{L}|\}$ and $|\mathcal{L}|$ the total number of loads in the network; $P^{\,sgen}_{g,i}$ is the active power of the generator g at time t, with $g \in \{0,...,|\mathcal{G}|\}$ and $|\mathcal{G}|$ the total number

of generators; $V_{b,i}^{bus}$ is the voltage magnitude (in p.u.) of the bus b at time t, with $b \in \{0, ..., |\mathcal{N}|\}$ and $|\mathcal{N}|$ the total number of buses (or nodes); $I_{\% \ e,i}^{line}$ is the line loading (in %) of the line e at time t, with $e \in \{0, ..., |\mathcal{E}|\}$ and $|\mathcal{E}|$ the total number of lines (or edges) .

The operator will predict if the system, in some given $t + n$ future time steps, will be in a critical condition. The network is considered in a critical condition if any of its elements is in an unsafe situation, for example an over voltage condition. Let define **C** as the list of critical situation and C_t the critical situation at time step t, with $C_t \in \{0,1\}$.
For predicting whether the system will be in a critical situation or not, the DSO will consider the history of the system only for h preceding steps, with $h \in \mathbb{N}^+$.

Let also define the function $f_{\mathcal{N}}$ that given the information from a particular network can elaborate this information and output some values, that represent the forecasting of a critical situation.
It is possible to summarize all the information under the relationship:

$$\hat{\mathbf{C}} = f_{\mathcal{N}}(\mathbf{I}) \tag{4.1}$$

where $\hat{\mathbf{C}}$ represents the forecasted values of the system given the information **I**. A single instance $\hat{C}_{t+i}$ ($\hat{C}_{t+i} \in \{0,1\}$) states if the system is critical ($\hat{C}_{t+i} = 1$) or not ($\hat{C}_{t+i} = 0$), with $i \in \{1,2,\dots,n-1,n\}$ and $n \in \mathbb{N}^+$.

The main objective is to find a good mapping function $f_{\mathcal{N}}$ such that the actual critical values **C** and forecasted values $\hat{\mathbf{C}}$ are as close as possible.

4.3   Solving methodology

The goal of this thesis is to find a practical function $f_{\mathcal{N}}$. This function, that can be considered as a pipeline, mainly consist of some steps:

- Solve the partial-observability problem, generating realistic time series or filling the missing measurements for the different elements. These time series are needed to run the power flow calculation. *Remove?*

- Process the information to build a dataset, consisting of $\{\mathbf{x}, \mathbf{y}\}$ couples given by the information of the network **I** and the critical states **C**.

- Use the generated dataset to train a classifier that can forecast whether the network will be in a critical situation.

4.3.1   Partial-observability problem

As mentioned, the network has only a partial-observability mainly due to *a)* values not available at all or *b)* few missing values.

Missing values problems can be solved filling these measurements with some techniques: balancing the flow of the network or using generative models in the case of *a)* or using the values from the adjacent time steps, averages or more complex methods like for example interpolation in the case of *b)*.

These methods will allow complementing the network time series and having sufficient data to perform the power flow calculation.

4.3.2   Processing

Given all the information about the network, only a subset will be used to train the classifier, in particular the information given from the power flow calculation, that can be the voltage magnitude at each bus or the lines' loading.

This subset of information is divided in windows of length h for the history time series, that correspond to the inputs $\mathbf{x}$s and in outputs $\mathbf{y}$s, of length n of future time steps, that correspond to the labels.

4.3.3   Forecasting

It is common in time series forecasting problems to use artificial neural networks (ANNs) to find a solution, thanks to their capacity to learn an approximate mapping function from the input space to the output space. In this case, the ANN will take as input the information from the network, and it will output binary values, stating if there will be or not a critical situation in the network.

Given the input $\mathbf{x}$, the ANN must output some binary values stating whether the system is safe or in a critical situation at the time steps $t + n$.

This database, given by the couple of elements $\{\mathbf{x},\mathbf{y}\}$, will be used with supervised learning techniques that may extract a forecasting function in order to solve the problem.

4.4 Reinforcement learning

4.4.1 Literature review

Brief literature review for RL application on power networks (paper's link in the titles):

- **Reinforcement learning for control of flexibility providers in a residential microgrid**

  A multiagent setting, two RL agents – battery agent and HP (heat pump) agent are considered to control the operation of the battery and HP.
  Small 'micro grid' (<10 devices)

  HP agent: The goal of the heat pump agent is to maximize self-consumption and to minimise the electricity cost while maintaining the indoor temperature within the comfort boundaries chosen by the end user.
  Battery agent: The battery agent controls the operation of the battery to ensure that all the power not consumed by the baseload and/or the HP is stored in the battery. Also, in situations of high electricity prices and low PV generation, the battery agent discharges the battery to match the load.

  State: different for battery and HP (and for single or multiagent) but basically they use active power for gens (PV), the active power of the load, and the cost for buying electricity.
  Action: (discrete) charge/discharge devices
  Cost function energy produced x energy cost (production) + energy used x energy cost (consumption)
  Models: Q-network

- **Data-Driven Multi-Agent Deep Reinforcement Learning for Distribution System Decentralized Voltage Control With High Penetration of PVs**

  The proposed multiagent deep reinforcement learning (MADRL) can coordinate both the real and reactive power control of PVs with existing static var compensators and battery storage system (BSS) to minimize the voltage deviation while maintaining a minimum amount of active power curtailment

of PVs Action each agent represents a subnetwork.(342-node systems)

State: active and reactive power of loads, active power of the generators.
Action: not well defined
Reward: voltage fluctuation + curtailed energy
Models: SAC and MATD3
Training: trained for 50000 episodes. Exploration first 1000 episode.

- **Gym-ANM: Reinforcement Learning Environments for Active Network Management Tasks in Electricity Distribution Systems**
  We seek to promote the application of RL techniques to active network management (ANM) problems, to design a control schemes that modulate the generators, the loads, and/or the DES devices connected to the grid. This is done to avoid problems at the distribution level and maximize profitability through, e.g., avoidable energy loss.

  State: p and q loads, max production of gens
  Action: a value between the bottom and upper limit on the active and reactive power injection for each generator g. The action space is normalized in [-1,1](?)
  Reward: power loss at each instant + penalty term for violation of constraints (line loading, bus voltage, ...)
  Models: PPO (Proximal Policy Optimization), SAC (Soft Actor-Critic) both with a continuos action space

  I like the reward function, I am not sure about the action space.

- **Coordination of PV Smart Inverters Using Deep Reinforcement Learning for Grid Voltage Regulation**
  a deep reinforcement learning (DRL) based algorithm is developed and implemented for coordinating multiple SIs to ensure voltage operation limits of the grid are meet. (37 node test feeder)

  "The other objective is to minimize the PV production curtailment, which is assured by minimization of reactive power utilization."
  Could you clarify the relationship between curtailment and reactive power?

  State: voltage magnitudes of each bus, real and reactive power of PVs and loads
  Action: we consider SI (smart inverter) reactive power outputs as actions

Reward:the objectives are mitigation of voltage violations and minimization of PV generation curtailment. A large penalty for violating voltage limits and a negative reward proportional to total reactive power dispatched by SIs.
Models: deep deterministic policy gradient (DDPG)
Training: 1500 episodes, each of 1000 iterations
Nice results

- **A Multi-Agent Deep Reinforcement Learning Based Voltage Regulation Using Coordinated PV Inverters**
  This paper proposes a multi-agent deep reinforcement learning-based approach (MADRL) for distribution system voltage regulation with high penetration of photovoltaics (PV). (33-bus system, and 123-bus system)

  State: active and reactive power of loads and active power of gens(PV)
  Action: reactive power gens
  Reward: voltage deviation (?)
  Models: deep deterministic policy gradient (DDPG)
  Training: 14000 episodes, each of 24 iterations (hourly). Exploration first 2000 ep

4.4.2   My proposal

Using RL to control the gens (PV and WP) active power output.

State: active and reactive power of loads and active power of gens at time step t OR from time step $t - h + 1$ to time step t (h time steps).

$$s_t = [P_{load,t}, Q_{load,t}, P_{gen,t}] \cdot h$$

this state would be a list of continuos variables of size 182 x h (61 + 61 + 60); with $h = 4$ (consider only 1 h network history) the dimension of the state space would be 728 continuous variables.

Action: the curtailment of the active power of each generator at time $t + 1$ in percentage

$$a_t = [P_{load,t}^{cur\%}]$$

this state would be a list of continuos variables of size 60 (call it |A|).
OR
The same as above, but with one more boolean variable that indicates whether in the next time step $(t+1)$ there will be a critical situation. "Double stream network"

In the last case, the problem would be both a regression and classification problem. The results can be compared with the work I have already done on the classification part, if the results are similar that would solve two problems with a single model.
I think it is an interesting idea also because I have not found many RL problems with a classification and regression problem.

There are few problems I can think about: 1) RL algorithms for classification are slower and perform worse than similar models trained with standard supervised learning; 2) so it may not converge; 3) a custom model should be built that it may not be a problem.

For the regression problem I am not sure about the range of the action space: should it be [0,1] (it means that there are no constraints and that we can handle a 100% energy loss, as long as the network is safe), [0,0.1] (we want a curtailment less than 10% of the total production) or other values? A possible problem may be that even if the actor decides to curtail, in a given time step, many generators, by a large value the network may still be in a critical situation.

So the question:
Q: How much can generators be curtailed?
"For example, PSCO has reported periods of very high levels of wind generation relative to total demand and has curtailed on the order of 1%–2% of wind generation annually in recent years. ... Curtailment levels have generally been 4% or less of wind energy generation in regions where curtailment has occurred." [ref])

Reward: Since it is important it may be defined better while proceeding, but here is a possible implementation:

$$r_t(s,a) = -\alpha \cdot total\_perc\_loss - \beta \cdot network\_violations = -\alpha \cdot \sum_{i=0}^{|A|} a_i + \beta \cdot \phi(s,a)$$

where $r_t(s,a)$ is the reward at time t given the state s and action a; *total_perc_loss* is the percentage of energy lost in that time step (sum of all curtailed values, basically np.sum(a_t)); *network_violations* is a violation term to punish the agent if the network is in a critical situation (voltage above the limit, line loading above the limit, ...); α and β are two scaling factors. In case of the double stream network, the classification variable can be used in the reward function as well; something like "$-\gamma \cdot |y_t - \hat{y}_t|$", with y_t the prediction of the model and $\hat{y}_t$ the actual label (known from the power flow calculation) and γ another scaling factor.

I am not sure with this reward function the agent may converge because is not very specific and does not punish the agent correctly. Maybe it would help to have a $\hat{a}_t$ so to compare with a_t but maybe this is not feasible, and it looks a lot like a supervised problem(?).

So the question:

Q: Is there a way (droop-based method? [ref]) to analytically calculate the active and reactive power of loads and generators to avoid overvoltage problems?

This would also allow shaping a better reward function and improve convergence

Model: not sure for now, both state and action are continuos so a model that can handle this kind of values must be needed, so some actor-critic method (PPO, DDPG)

Training: some episode, with each episode given all the time steps

General thoughts: given the time series for p and q of the loads and p of the generators, the power flow can be calculated and the buses' voltage and can be used to check whether the agent (after training) improved the network situation (the number of critical situation decreased).

The dataset can be divided in training and test set: the training can be used for each episode; it would work also a data augmentation since at each episode the agent would pick a different action (with high probability) so increasing the size of the dataset; the test set can be used at the end of each episode to test the model and evaluate its performances.

There should not be too many problems using the models already implemented: MLP, CNN, and RNN.

Probably the pandapower core library should be changed to have a custom control of the time series execution. This should not be a problem since pandapower is open source and the code is available on GitHub.

Possible problems:

1. Too high state space (curse of dimensionality)

2. Action space should be better defined.
   Trying running a PF with a reduced energy production by 5% of all gens reduced the critical situation by 0.8% (from 3.8% to 3%); so maybe it is not the right direction (?)

3. No converging model, for some reasons: not accurate reward function, too much time required

4. Messing up with pandapower code and obtaining wrong results

5. Computationally expensive

6. Remaining time may not be enough

Updates:

1. I tried to implement the code needed (both change Pandapower code and implementing the DDPG agent code)

2. the code looks like it is working fine

3. The training time seems not too bad: it takes 3 more time (around 1 h) than a normal run; with a MLP with 2 hidden layers with 400 and 300 neurons, trained every 2 time steps.
   It takes 39 mins for training (70% of all time series, repeated for 2 episodes) and 9 mins for testing (the remaining 30% of the time series)

4. I tested a simple reward function:

$$r = - \, alpha * np.sum(action)$$
$$- \, beta * [|1.05 - np.max(vm\_pus)| + \frac{1}{2} * |0.95 - np.min(vm\_pus)|]^2$$

   with alpha=1, beta=500 (the difference between voltage is quite small), action is the list of res curtailment values([0,100%]), vm_pus is the list buses' voltage magnitude after the PF calculation. The idea to punish the agent to curtail too much the generation (np.sum(action)) and punish it if the voltage is out of the constraints. It did not work well.

   Tested another one:

$$r = - \, alpha * np.sum(action)$$
$$- \sum_{v \in vm\_pus} f(v)$$

   with f() a piecewise violation function. Better results.

5. The trained model was able to reduce the number of overvoltages on the test set:
   from 4.0% (836 overvoltages over 21024 time steps) to 3.9% (823 overvoltages).

6. *old. I did not store information about the steps (rewards, ...) so I do not know the total power loss. Another interesting step would be to understand if the agent curtail the generators even if it is not needed.*

7. These are some statistics obtained: Total energy production 161960 MW, total energy curtailed: 1550 MW in 21024 time steps (7 months), ratio: 0.96%. Average for 15mins: 0.07±0.07 MW, average for 15mins per RES device: 0.0012 MW (1.2 kW/15mins)

8. Better results are obtained if the RES's reactive power is controlled.

Updates #2:
I tried to run some experiments with different combinations of reward functions and hyperparameters.
State: active and reactive power of loads and active power of generators at time t (61+61+60).

   Action: the agent can control active and reactive power of the generators, in particular:

$$a = [a_p, a_q]$$

with a_p an array with the active power scaling factors ($a_{p,i} \in [0,1]$) and a_q an array with reactive powers values ($a_{p,i} \in [-0.5,0.5]$).

   Reward function:
The reward function is a composition of 4 values:

1. reward_p = np.sum(a_p): the agent is punished to choose too high values of active power curtailment. goal of the agent minimize this term

2. reward_p = np.sum(np.abs(a_q)): the agent is punished to change the values of reactive power too much. (the np.abs is needed, since a_q may contain both positive and negative values)

3. voltage_violation: the agent is punished if the voltage magnitude of the buses is away from 1pu. The punishment value is chosen with the following punishment shape. The idea is to punish the agent by a low value when the
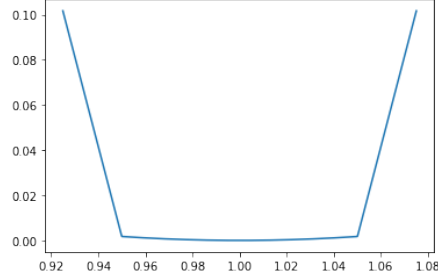
voltage bus is in the range [0.95,1.05] and punish more when the voltage bus is more far away from 1pu.

4. reward_crit_solved: a reward if the critical situation is solved, and punish otherwise. In particular:

$rew\_crit\_solv = gamma * (vm\_pu\_labels_t - 4 * is\_critical\_situation + 1)$
Cases:
0 - 0 - no critical situation before and after the agent's action (OK, +1gamma reward)
0 - 1 - no critical situation before but introduced after the agent's action (WORST POSSIBLE CASE, -3*gamma punishment)
1 - 0 - critical situation before and solved after the agent's action (BEST POSSIBLE CASE, +2gamma reward)
1 - 1 - critical situation before and after the agent's action (NOT REALLY OK, -2gamma punishment)

5. the total reward is given by the algebraic sum of all the previous terms:

$rew = alpha\_p * rew\_p + alpha\_q * rew\_q + beta * rew\_volt\_viol + gamma * rew\_crit\_solv$

with alpha_p=1, alpha_q=0.5, beta=20, gamma=5. These values are chosen such that all the terms have a similar mean value. *maybe it is not right since some term should have a higher weight?*

Results:
I trained the agent for 8 episodes on 30% of the time series and tested on the other 70%. It looks like is capable of learning: it decides that curtail the active power is

bad so a_p is usually an array of 0s and it is able to change the reactive power to avoid critical situations.
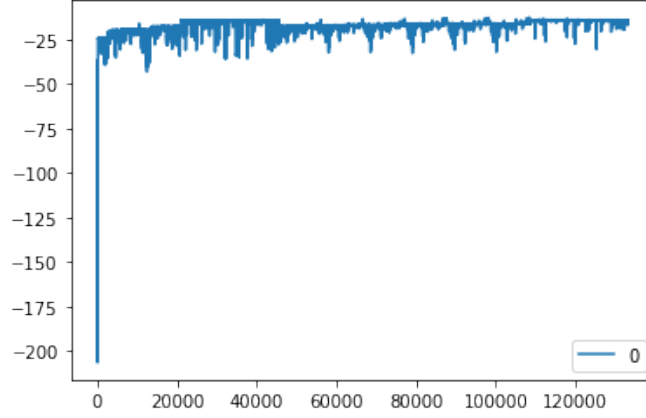
It is possible to see that the reward is increasing over time, but it almost reaches its peak after few steps (around 2000 steps!!).

These the results:

Total reactive power changed 0.73 MVar (actually this is wrong since I forgot the abs() when summing. I will run again the learning process) *Total active power generated 198176 MW, total curtailment: 0.4 MW in 24528 time steps(8 months), ratio: 0.00%*

Total reactive power changed 0.73 MVar (actually this is wrong since I forgot the abs() when summing. I will run again the learning process)
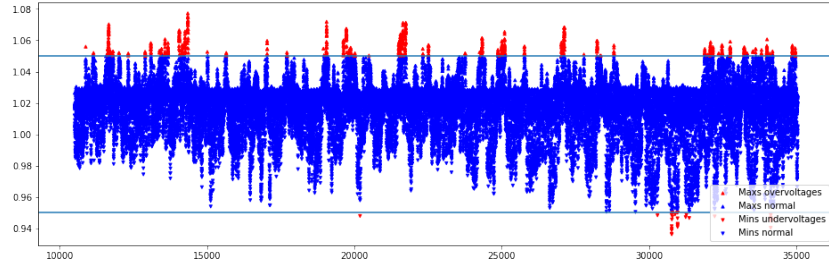
Figure 4.1: Before
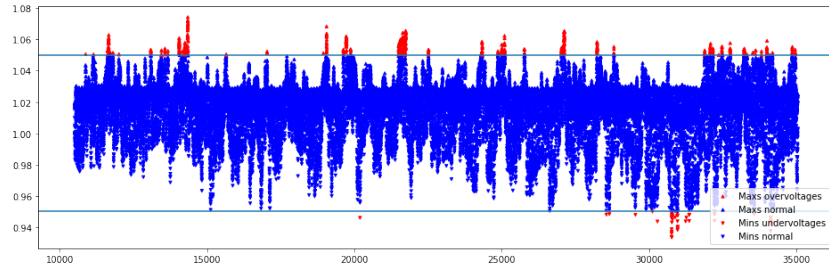
Figure 4.2: After the agent control

Before

Number of over voltage situations: 823, over 24528 time steps, ratio: 3.4

Number of under voltage situations: 33, over 24528 time steps, ratio: 0.1

After

Number of over voltage situations: 538, over 24528 time steps, ratio: 2.2

Number of under voltage situations: 50, over 24528 time steps, ratio: 0.2

A possible problem is that the outputs of the NN look like it is saturated, so the output are the boundaries of the activation function (sigmoid for a_p and tanh for a_q). Even if the agent seems working, maybe it is just a case(?).

Few other elements:

- *3 hidden layers with 128, 64, 64 neurons, with Leaky ReLU (alpha=0.1) for activation function*

- *learning rate for the actor network of 0.003 and for the critic 0.005*

- *tau value (coping NN weight) 0.01*

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- *batch size of 32*

Chapter 5

Project implementation

The solving methodology described will be applied to a specific test case.

5.1   MV Oberrhein

The network used for these experiments is the MV Oberrhein network from Pandapower. MV Oberrhein is a real distribution located at Upper Rhine (German: Oberrhein), Germany. This network is a generic 20 kV power system serviced by two 25 MVA HV/MV transformer stations. The network supplies 141 HV/MV substations and 6 MV loads through four MV feeders. The network layout is meshed, but the network is operated as a radial network with some open sectioning points, i.e., redundant lines/cables. This is common in real network: they are meshed but they operate in a radial way.
The grid also includes geographical information of lines and buses and is assembled from openly available data.

A representation of the network can is presented in 5.1. The blue dots represent the buses where load and/or generators are connected and the yellow squares represent the HV/MV substations.
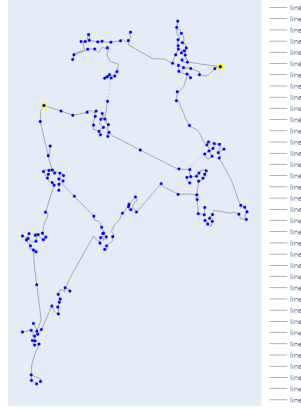
Figure 5.1: MV Oberrhein network. *add feeders division(?)*

To simplify the situation, the network can be divided in 2 independent parts [ref].
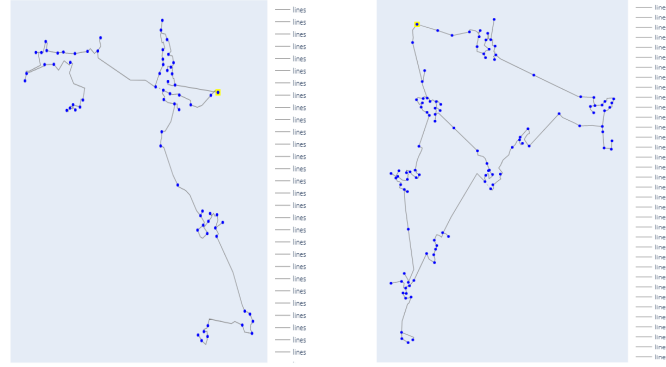
Figure 5.2: MV Oberrhein network. Used network: middle one
TODO add letters

The model consist of: one external grid, one transformer, 70 buses, 61 loads and 60 renewable generators.

5.1.1 Simbench database

The time series dataset used is taken from the Simbench database. This database refers to some real distribution networks in Germany in the year 2016. SimBench includes multiple time series for one year with 15 min resolution for load, generation and storage units. All time series came as active and reactive power. The time series were grouped by element type, reducing the total number of required time series to a reasonable number, while retaining the possibility to model individual nominal power [22]. All active power values are normalized to the maximum active

power value.

Power utilities commonly use generic load profiles to group commercial customers with similar load shapes into categories or standard load profiles (SLPs). The most commonly used profiles set is developed by the German Association of Energy and Water Industries (BDEW). It comprises eleven aggregated profiles, one for residential consumers (H0), three for agricultural (L0-L3), and seven for commercial consumers with different opening hours (G0-G6). They are differentiated into workdays, Saturdays and Sundays as well as three seasonal categories winter, summer, and transitional. The set also includes two profiles for street lightning (B0) and band load (G7).
The generation time series for photovoltaics (PVs), wind energy and biomass generated for the SimBench dataset are created using the agent-based simulation tool for optimized grid expansion planning SIMONA. SIMONA's power plant models receive real weather data of Germany from the German Weather Service in 2011 for Wind and 2012 for PV time series as input data.
For 2011 and 2012 generation data, the time axis is adjusted to 2016 by shifting days so that they correspond to the nearest weekday[23].
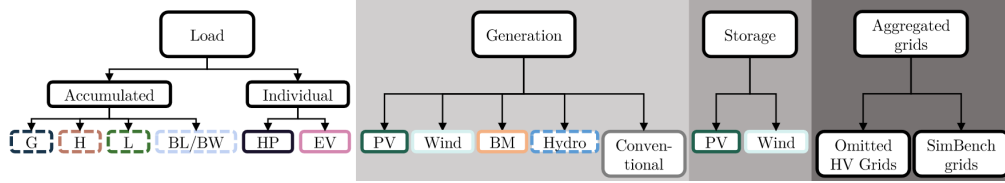
Figure 5.3: Overview of the SimBench time series type

The load time series were distinguished between real measured accumulated, highlighted with a dash, and simulated individual consumers, marked with a solid frame in Figure ??.

5.1.2   Time series

Some time series from the Simbench database are taken to adapt to the number of loads and DERs of the MV Oberrhein network in consideration.

As said, each element (load or generator) falls under a specific profile type that represent the consumption or generation over time.

Figure 5.4: Loads and generations standard profiles

In this case, the profile's types for loads and DER are chosen so that every profile type is present to have a network as close as possible to a real network. The profiles' distribution in the Pandapower network is as follows:

Load elements by type: {'G3-A': 2, 'H0-L': 3, 'G2-A': 5, 'G3-M': 2, 'G5-A': 2, 'L1-A': 3, 'L0-A': 2, 'H0-C': 6, 'H0-G': 3, 'G1-B': 2, 'G0-A': 4, 'L2-A': 2, 'L2-M': 3, 'G1-C': 2, 'G6-A': 3, 'G0-M': 3, 'G1-A': 3, 'G4-B': 2, 'H0-B': 3, 'G4-A': 3, 'H0-A': 3}

RES elements by type: {'WP4': 6, 'PV5': 8, 'PV8': 8, 'PV1': 6, 'PV7': 6, 'PV3': 7, 'PV6': 6, 'PV4': 7, 'WP7': 6}

---

where the letters stand for: commercial enterprises (G), households (H), agricultural holdings (L) and industrial companies (BL/BW)'; with last letters –A to C indicating low consumption, -M medium consumption, and -H high consumption customers.
For the DES device there are photovoltaics PVs and wind parks WPs. It is possible to notice a bigger presence of PVs over WPs.

The loads and DERs are chosen so that different profile types are present.
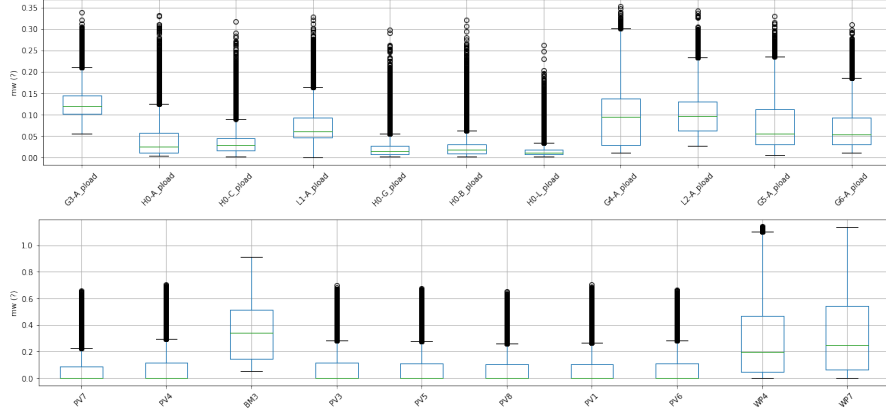
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Figure 5.5: Box plots of load and generation for each profile type

Since the profiles are similar for every element of the same type, some noise is added to increase randomness. In particular, the noise added is a scaling factor in the range [0.85,1.15]. The scaling factor allows avoiding negative values in case of a value lower than 1; subtraction may result in a negative value of reactive power for a particular load.

5.1.3   Partial observability

To simulate the partial observability problem, some time series are considered as unknown: for just some sparse time steps (missing values) or not available at all.

In particular, x_1% values are randomly selected and set as NAN and x_2% time series of some devices are completely deleted.
Q: Any realistic value for x_1 and x_2?

These missing values are reconstructed as follows:

- *for the NAN case, it is possible to fill the missing values with the preceding available value. This method, even if simple, is efficient for some reasons: the Δt considered is not too large, so it is plausible to expect that loads and generators' values do not change rapidly; it is easy to compute with respect to more complex methods; using only past values allows not to wait for the future values, waiting for the future values may not be acceptable after a deployment of the model.*

- *For the case of time series not available at all, it is possible to use balancing flow techniques or generative models like for example GAN.*

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Q: in this case, isn't a bit overkilling using such method when the load and generator's profile are equal/similar?

5.1.4 Processing

For this case, the information used to build the dataset is the voltage magnitude at each buses. The time series will be divided in windows of length, h for the inputs $\boldsymbol{x}$ and length n for the outputs $\boldsymbol{y}$.

It is possible to define $\boldsymbol{x}$ as follows:

$$\boldsymbol{x} = \begin{bmatrix} V_{t-h+1}^1 & V_{t-h+2}^1 & \cdots & V_{t-1}^1 & V_t^1 \\ V_{t-h+1}^2 & V_{t-h+2}^2 & \cdots & V_{t-1}^2 & V_t^2 \\ \vdots & \vdots & \ddots & \vdots & \vdots \\ V_{t-h+1}^{n-1} & V_{t-h+2}^{n-1} & \cdots & V_{t-1}^{n-1} & V_t^{n-1} \\ V_{t-h+1}^n & V_{t-h+2}^n & \cdots & V_{t-1}^n & V_t^n \end{bmatrix} \tag{5.1}$$

where V_t^i is the voltage level V of bus i at time stamp t.

Instead, $\boldsymbol{y}$ can be defined as previously mentioned:

$$\boldsymbol{y} = [C_{t+1}, C_{t+2}, \ldots, C_{t+n-1}, C_{t+n}] \tag{5.2}$$

where C_t is the condition of the system at time stamp t, with $C_t = 1$ if the network is in a critical situation or $C_t = 0$ if it is in a normal situation.

A time step is considered critical when the voltage of at least one of the buses is out of the boundaries $V_i < v^{min}$ (under voltage) or $V_i > v^{max}$ (over voltage), where v^{min} is the minimum acceptable voltage, 0.95 p.u., and v^{max} is the maximum one, 1.05 p.u..

5.1.5 No partial-observability problem

As mentioned the time series were normalized so it is possible to use some scaling factors to generate different case. The high generation case refers to scaling factors, as follows:

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scale_factor_load = 1

scale_factor_sgen = 1.5

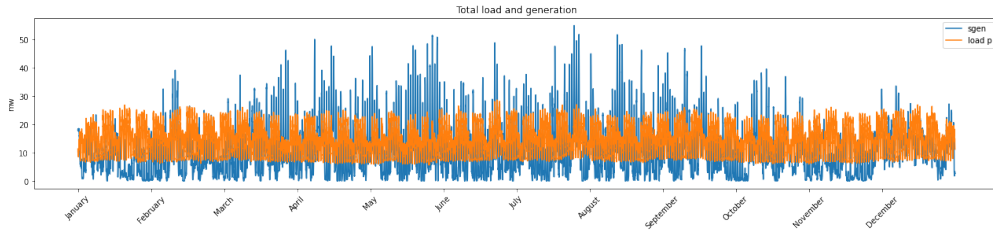*These values are chosen to fit the load and generation profile with the peak capacity of the MV Oberrhein network.*

Figure 5.6: Sum of load energy consumption and energy generation over the considered year

The consumption values are as a typical MV network ([24]), while the generation is higher. This case can represent a future power network when the number and the performance of DER devices increase, so to have a generation of power higher than the demand; especially during the summer period when the consumption is lower and the generation is higher.
Such situation is critical for a network since the surplus energy increase the voltages at the buses that may experience problems or over voltages.

To test whether an over voltage situation occurs or not, the PF is calculated using the Pandapower solver.
It is possible to see that there are some overvoltage problems.
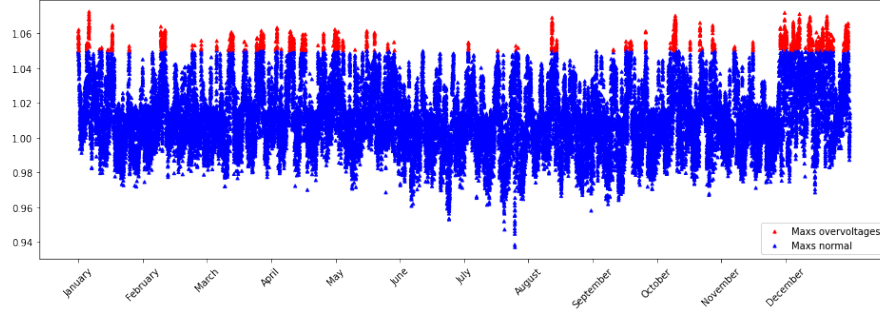*The problems are highlighted in the following plot.*

Figure 5.7: In this plot, the maximum and minimum values found for each time step and plotted, so for each time step there are two values representing the highest and lowest value among each bus. The colours, blue and red, represent the normal or critical condition

The full dataset is divided in train, validation and test set with the following proportions: 0.7, 0.2, 0.1 respectively.

The dataset is highly imbalanced since the number of times the network is in a critical situation are lower than the number of times the network is under normal situation. This is what usually happens in a power system: networks perform well most of the time with some voltage fluctuations and there are few time instants where the voltage increase bringing the system to a critical condition.

Number of critical situations: 1284, over 35040 time steps, ratio: 3.7% *realistic?*

Number of critical instants in Train set: 646, ratio: 2.6%

Number of critical instants in Val set: 193, ratio: 2.8%

Number of critical instants in Test set: 445, ratio: 12.7%

The data input shape is as follows:

Inputs shape (batch size, time steps, features): (512, 16, 69)

Three main ANN are tested:

- *MLP with two hidden layers of size 192 and 64.*

- *CNN with one convolutional layer and one dense layer with 128 neurons.*

- *RNN with one LSTM as recurrent unit and one dense layer with 128 neurons.*

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All models have as last output layer a fully connected layer whose output size is just one neuron with a Sigmoid activation function.

*The test are perform considering a temporal window h of 16 time steps (4 hours in the past), while the output window is just one time step in the future (*can be changed to any number*):*

Labels shape (batch size, time steps): (512, 1)

x=|V|, n=1		Precision	Recall	F1-score
MLP	h=4 (1h)	0.786	0.924	**0.849**
	h=16 (4h)	0.809	0.874	0.840
	h=96 (24h)	0.651	0.688	0.669
CNN	h=4 (1h)	0.903	0.715	**0.798**
	h=16 (4h)	0.645	0.804	0.716
	h=96 (24h)	0.612	0.766	0.681
RNN	h=4 (1h)	0.846	0.832	0.842
	h=16 (4h)	0.883	0.795	0.837
	h=96 (24h)	0.816	0.915	**0.862**

Table 5.1

Different weights to penalize errors on the underrepresented class

x = |V|, n=1		Precision	Recall	F1-score
MLP	h=4 (1h)	0.899	0.762	0.825
	h=16 (4h)	0.819	0.872	0.844
	h=96 (24h)	0.642	0.915	0.754
CNN	h=4 (1h)	0.807	0.919	0.859
	h=16 (4h)	0.701	0.795	0.745
	h=96 (24h)	0.664	0.760	0.709
RNN	h=4 (1h)	0.826	0.874	0.849
	h=16 (4h)	0.864	0.813	0.838
	h=96 (24h)	0.870	0.811	0.839

Table 5.2

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x = P RESs, n=1		**Precision**	**Recall**	**F1-score**
MLP	h=4 (1h)	0.368	0.755	0.495
	h=16 (4h)	0.377	0.789	0.510
	h=96 (24h)	0.386	0.921	0.544
CNN	h=4 (1h)	0.371	0.726	0.491
	h=16 (4h)	0.355	0.872	0.505
	h=96 (24h)	0.485	0.730	0.583
RNN	h=4 (1h)	0.335	0.921	0.492
	h=16 (4h)	0.431	0.575	0.493
	h=96 (24h)	0.415	0.842	0.556

Table 5.3

$x = [sum\_loads\_p, sum\_loads\_q, sum\_sgen\_p]$ *at every time step. Similar as in: ref*

n=1		**Precision**	**Recall**	**F1-score**
MLP	h=16 (4h)	0.675	0.704	0.689
CNN	h=16 (4h)	0.627	0.742	0.6880
RNN	h=16 (4h)	0.652	0.767	0.705
RF	h=16 (4h)	0.857	0.800	0.826

Table 5.4

$x = [sgen\_p, ext\_grid\_p, ext\_grid\_q]$ *at every time step*

n=1		**Precision**	**Recall**	**F1-score**
MLP	h=16 (4h)	0.647	0.610	0.628
CNN	h=16 (4h)	0.617	0.748	0.676
RNN	h=16 (4h)	0.719	0.692	0.705

Table 5.5

Any suggestion?

Moreover, what would be an acceptable level of recall/precision/accuracy? I was thinking that since the network can handle a critical situation for some time, if the DSO would curtail some generators, these values should be >0.8 so that it makes sense to trust the model and apply some action.

(In case of over voltage) Predicting which bus is in a critical situation?

Chapter 6

Conclusions and further works

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