

Carbon Neutrality

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Caltech

NSF Workshop April 2023



Outline

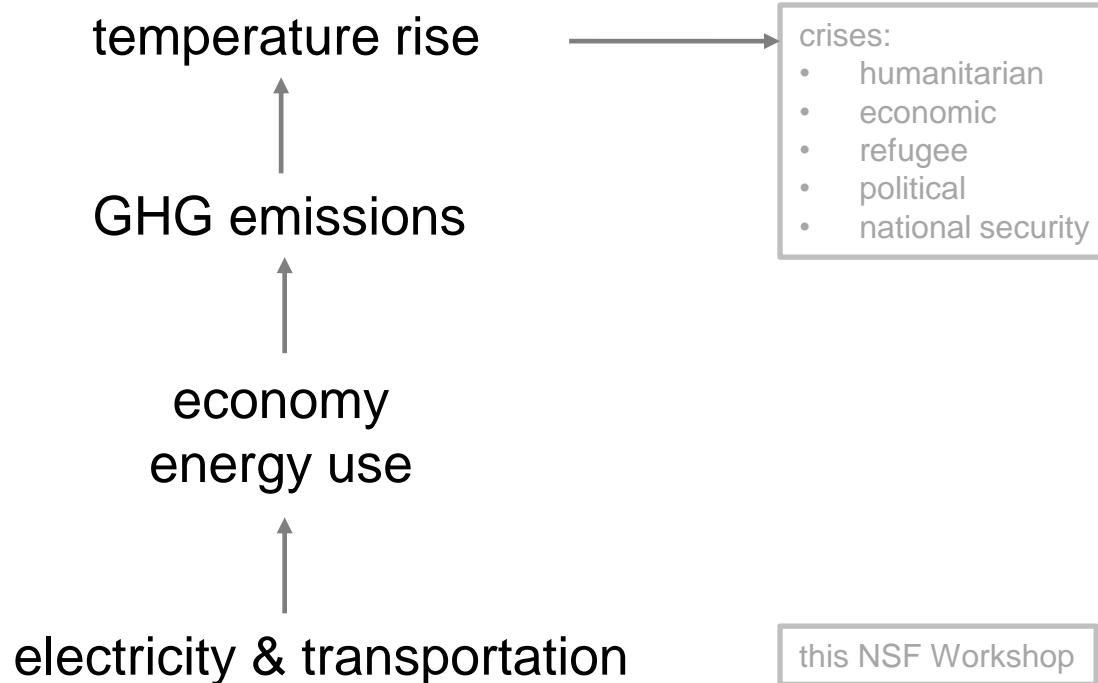
Trends and research needs (10)

Some experiences

- From EV charging (5)
- ... to workplace decarbonization (10)
- ... to unbalanced 3-phase power flows (15)



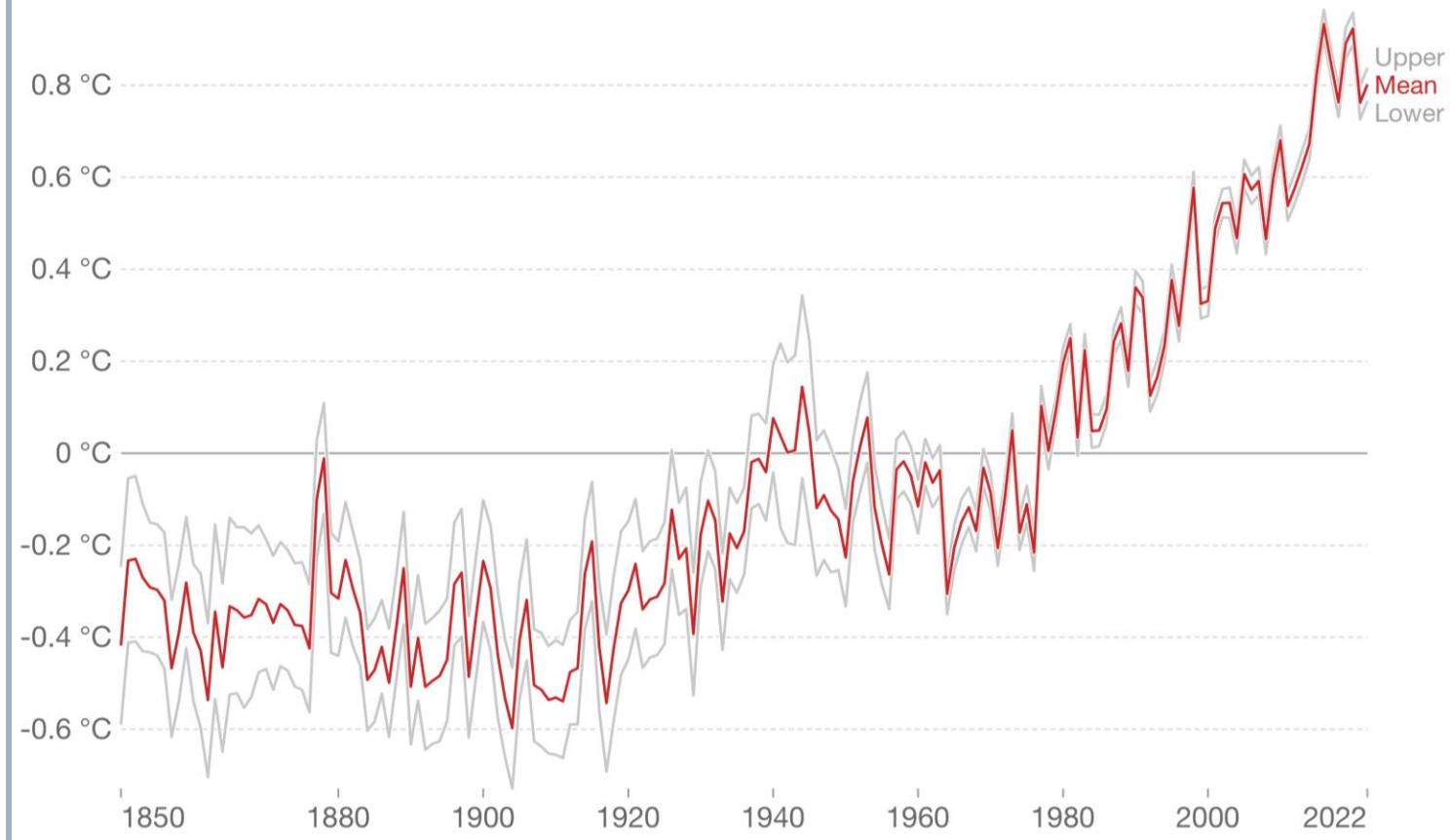
Why this workshop





Average temperature

Global average land-sea temperature anomaly relative to the 1961-1990 average temperature.

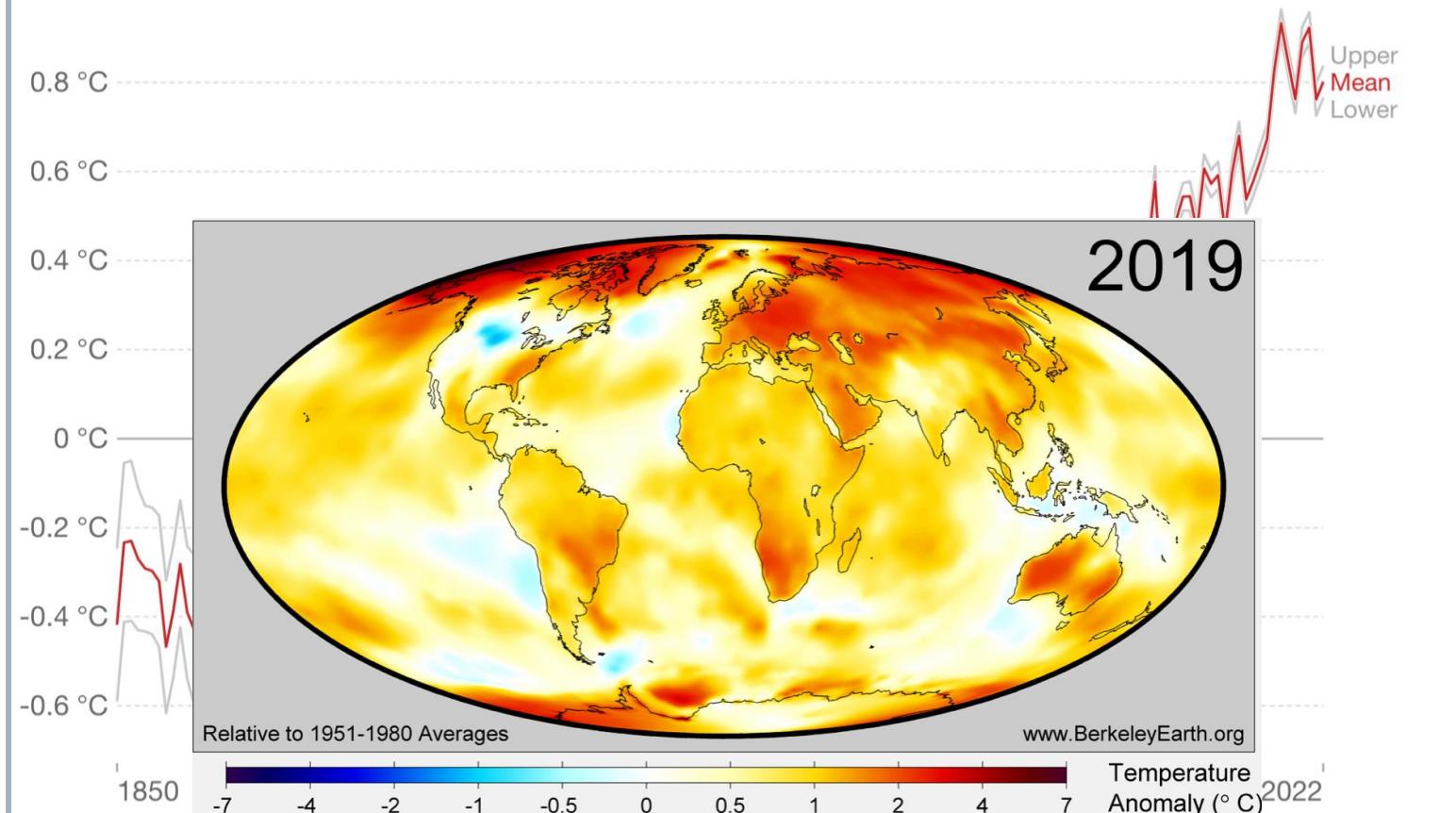


Global average temp has increased by >1C since pre-industrial time



Average temperature

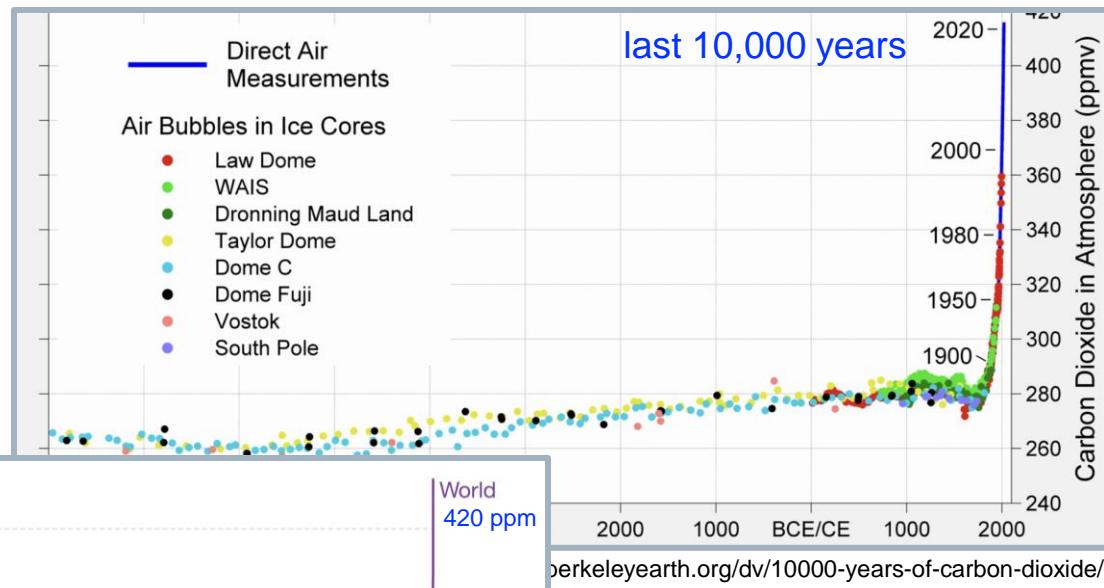
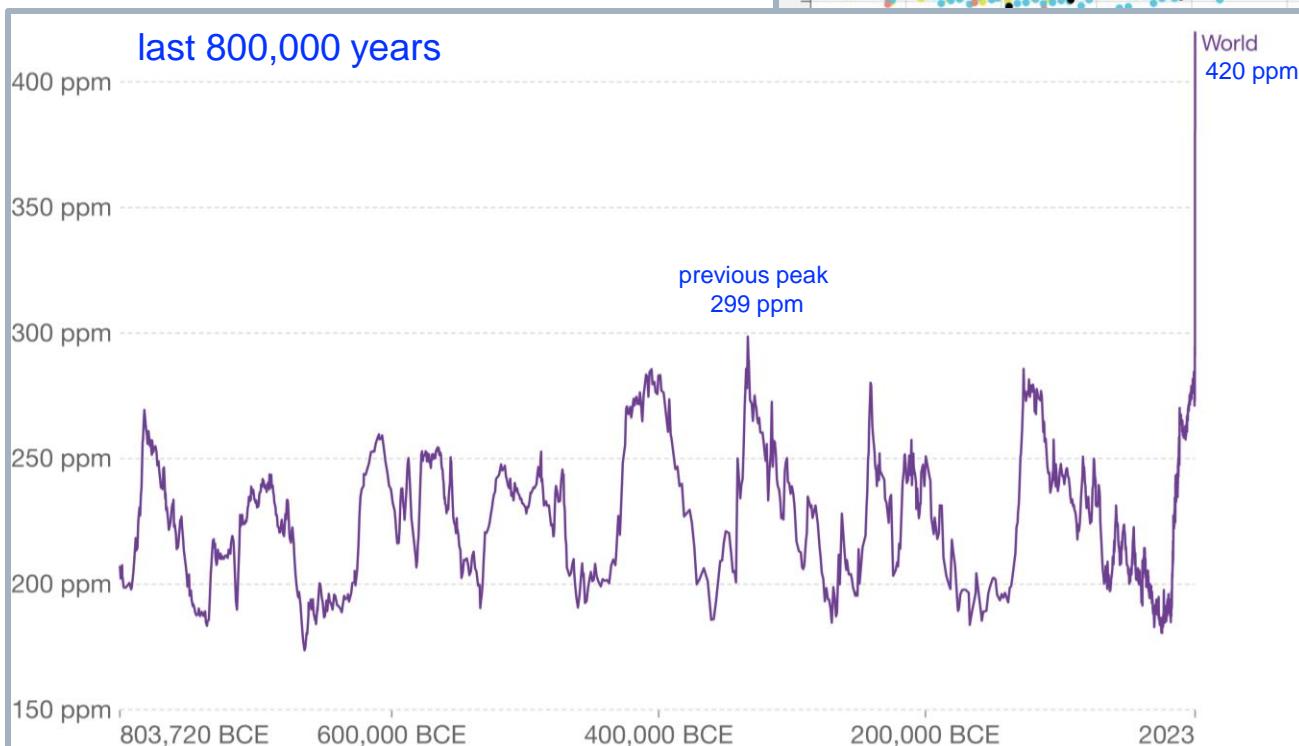
Global average land-sea temperature anomaly relative to the 1961-1990 average temperature.



Local temperature can be much warmer than global average

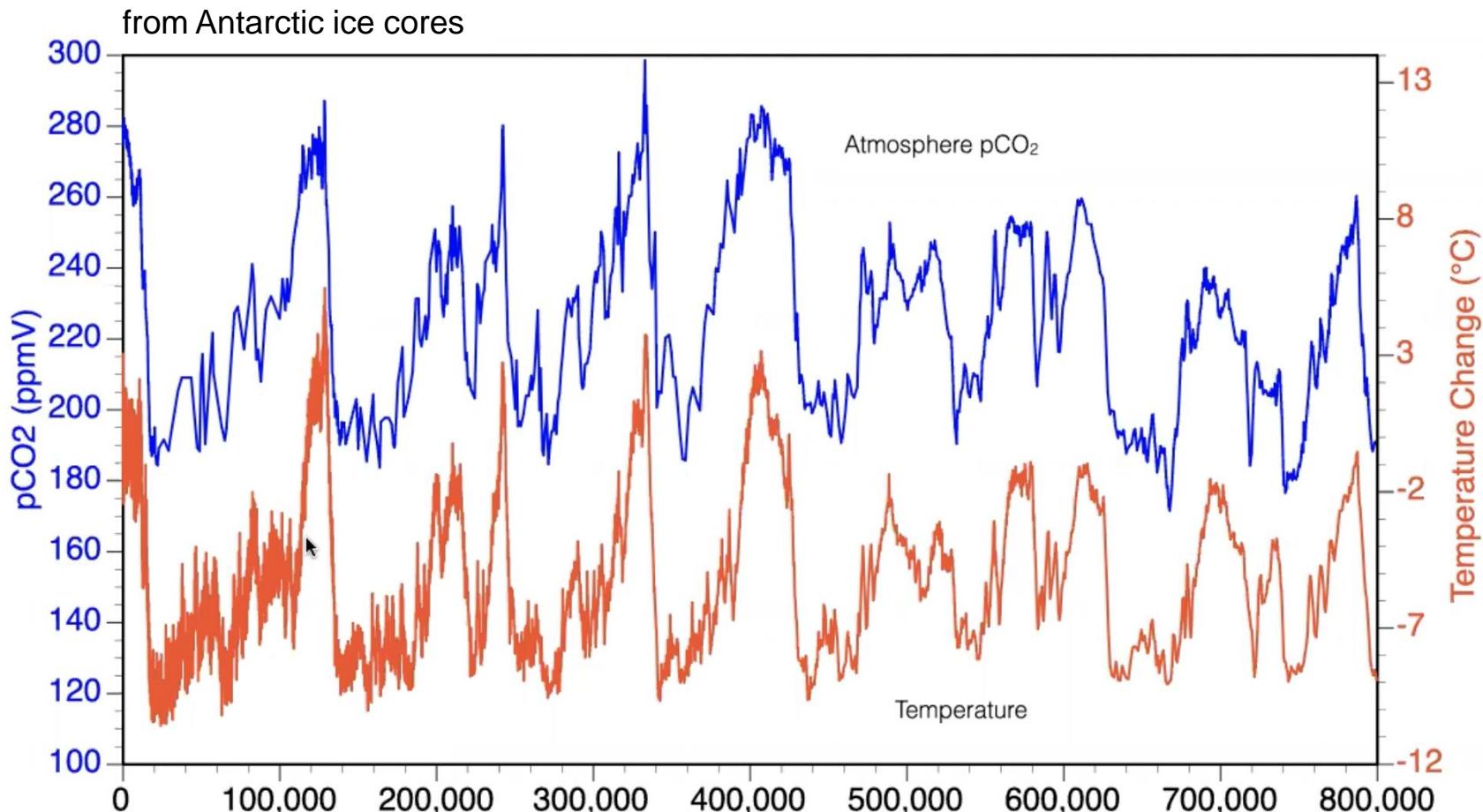


Atmospheric CO₂



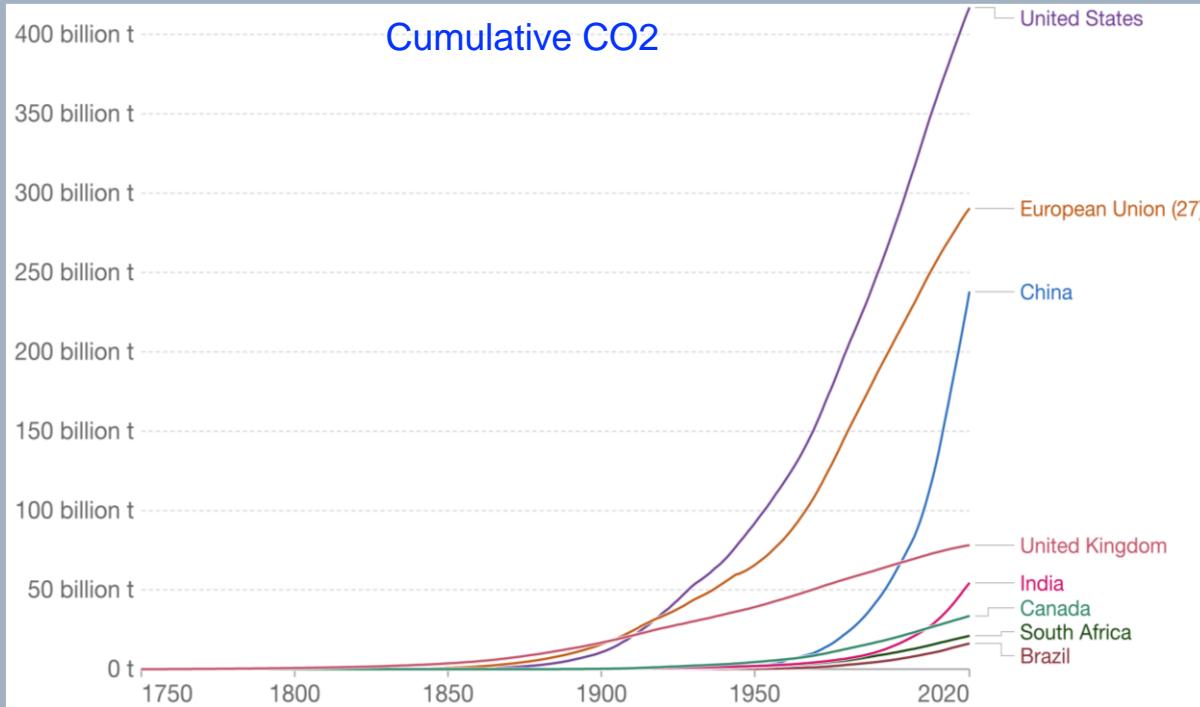


CO₂ and temperature

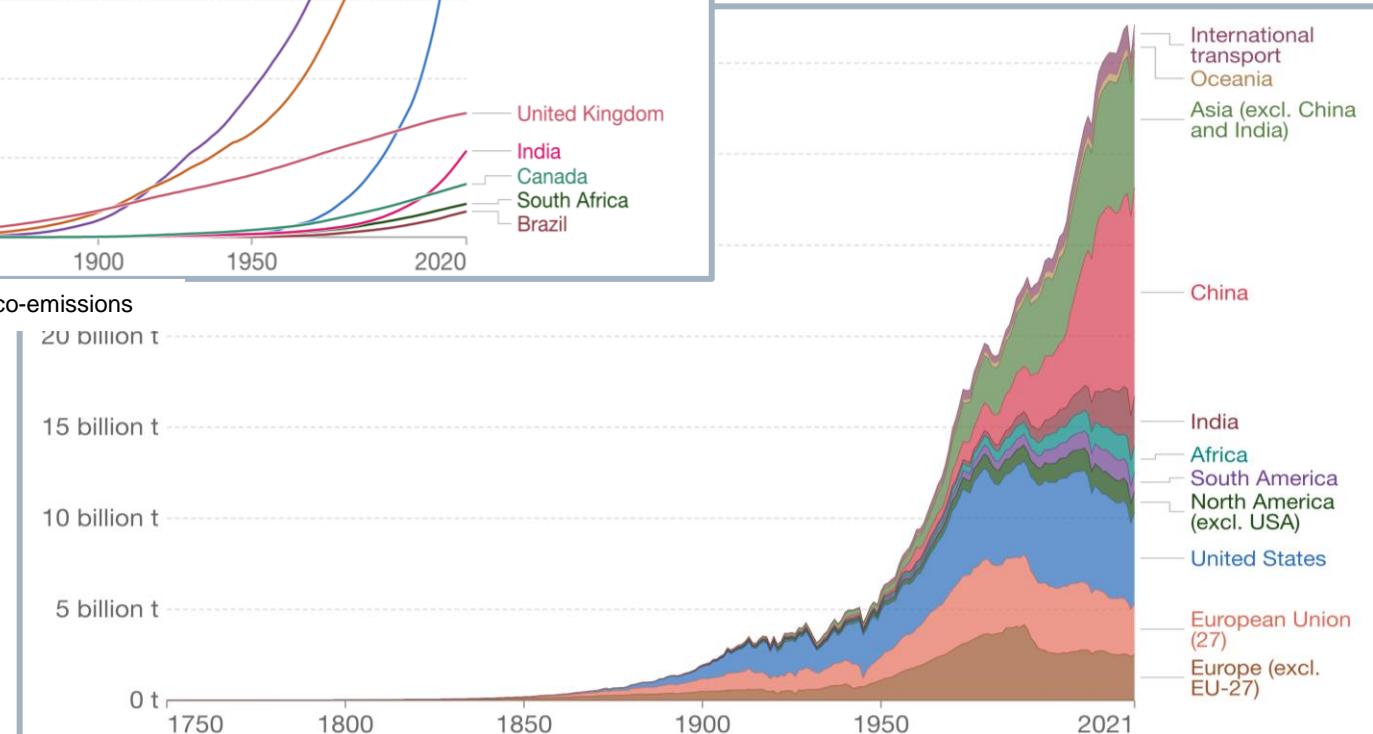




CO₂ emissions



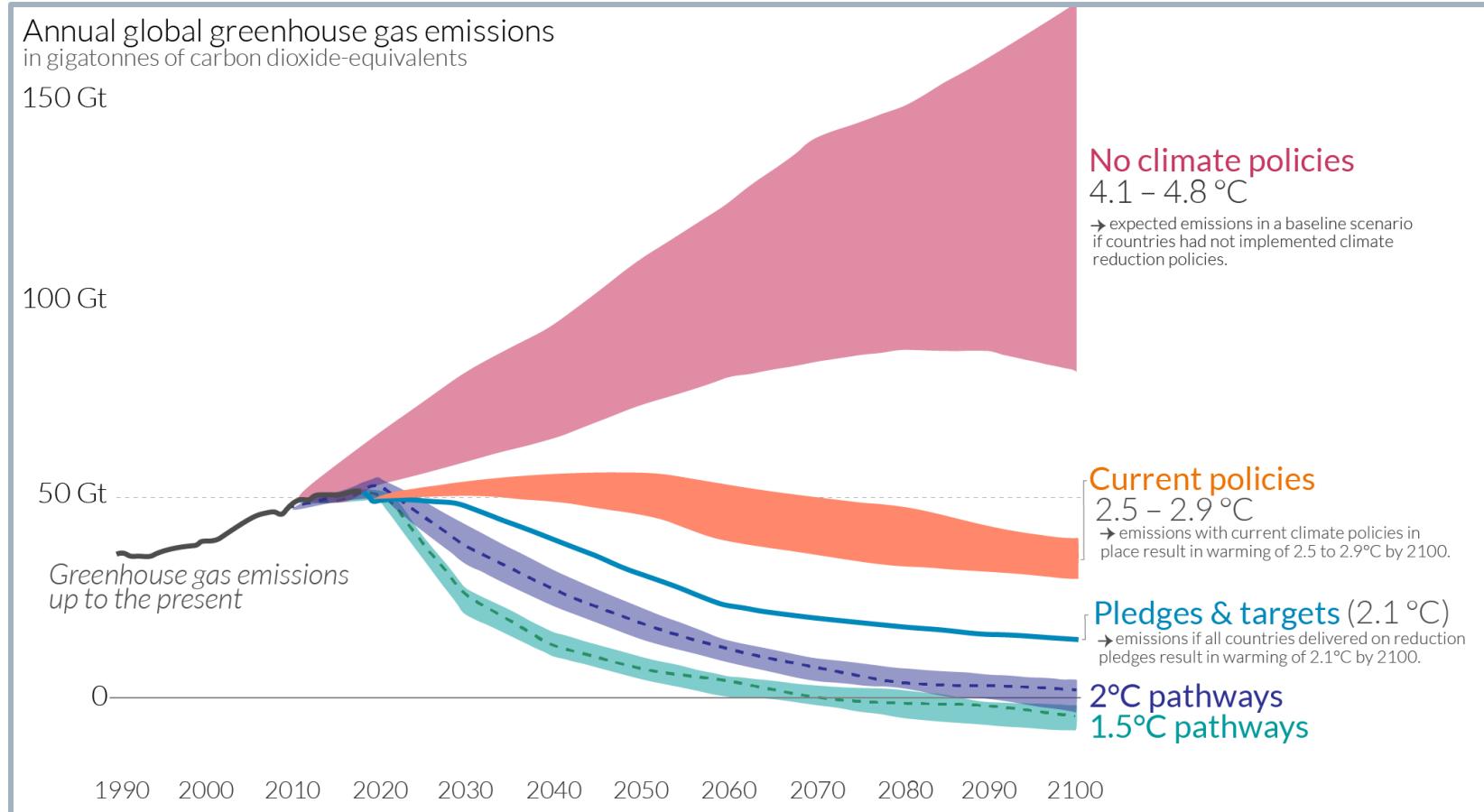
<https://ourworldindata.org/grapher/cumulative-co-emissions>



<https://ourworldindata.org/co2-and-greenhouse-gas-emissions>

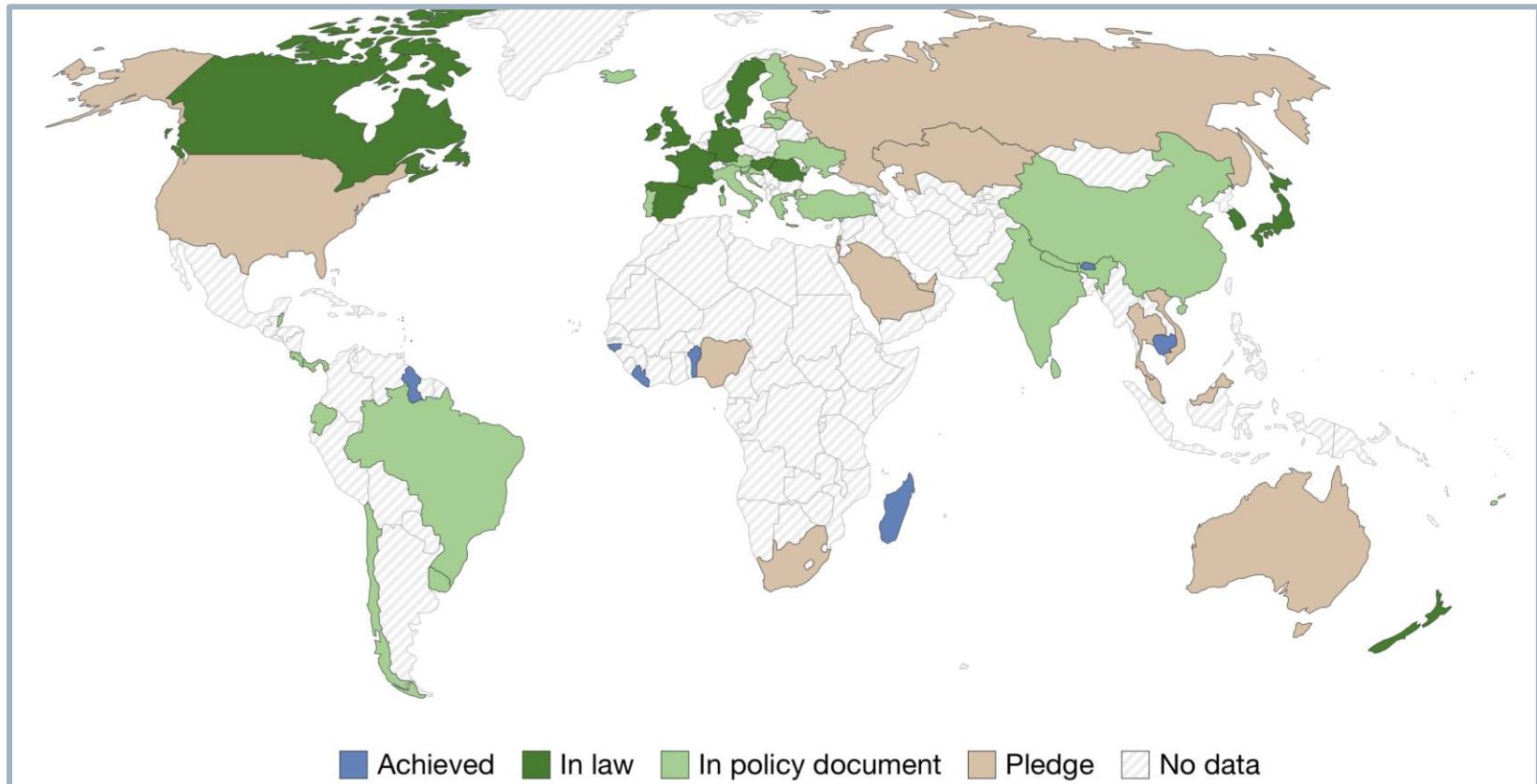


GHG pathways





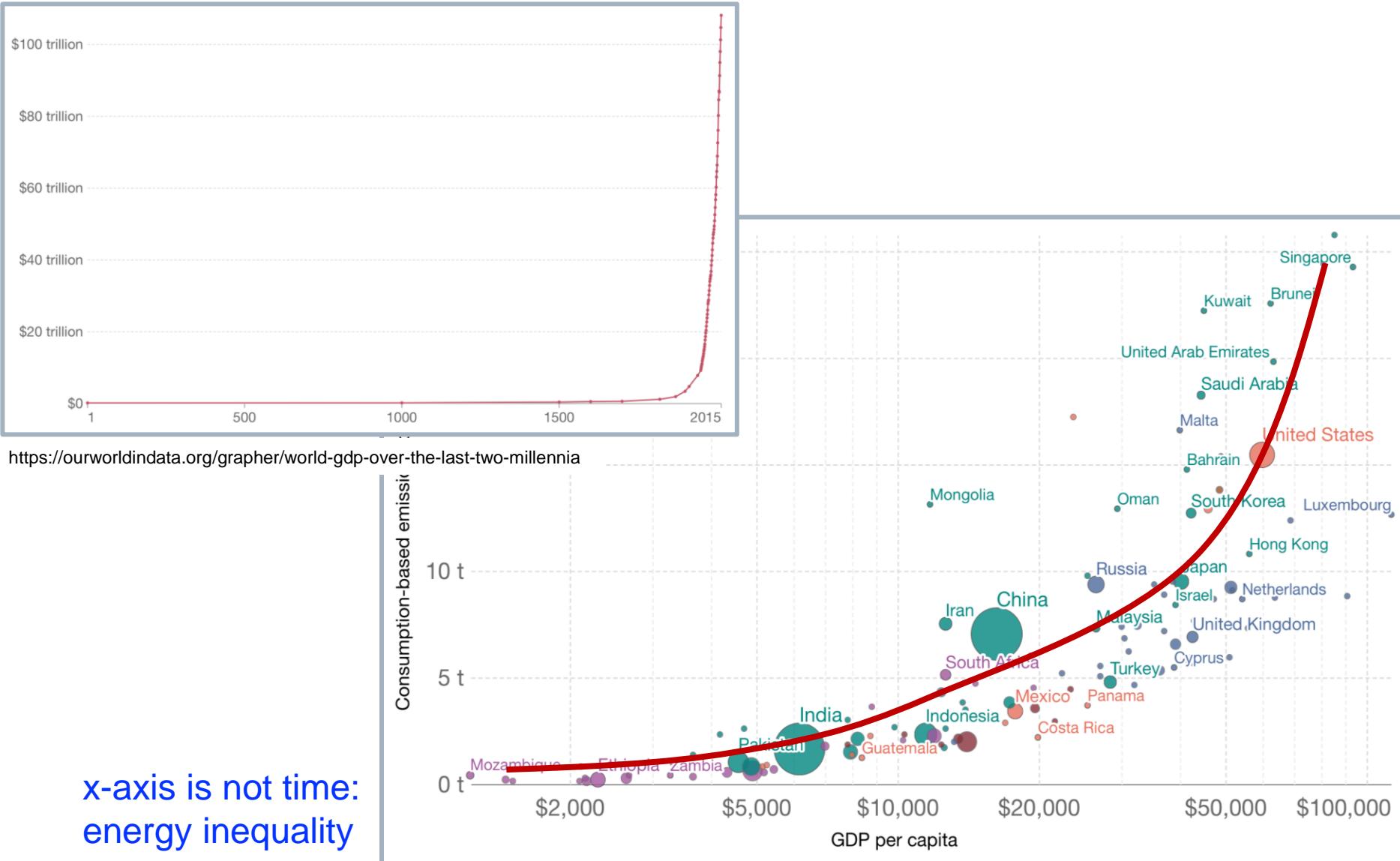
Net zero GHG pledges



% coverage of net zero GHG pledges (Oxford 2022)
(2019: coverage = 16% GDP)

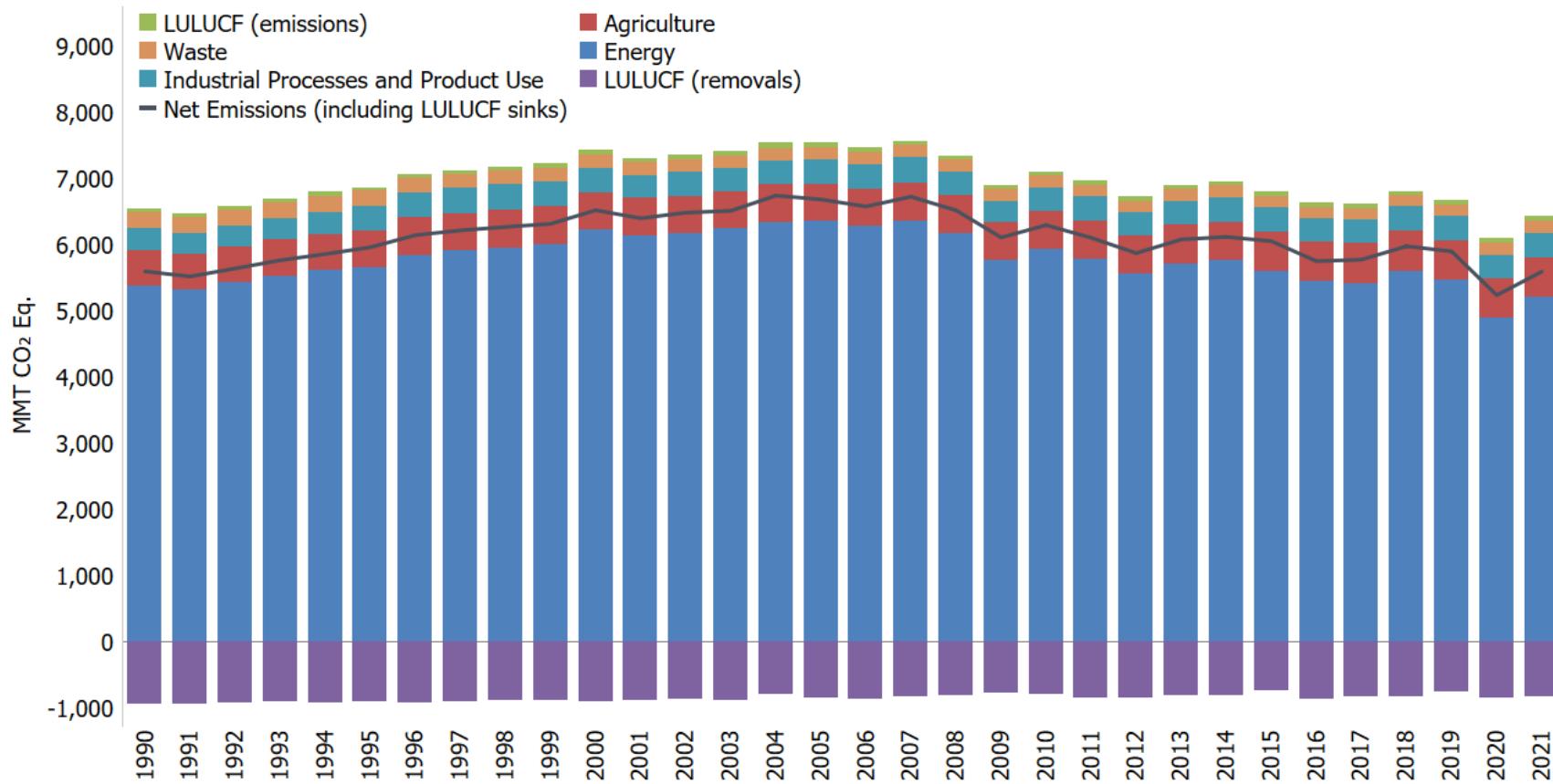


CO₂ and GDP





GHG and energy use

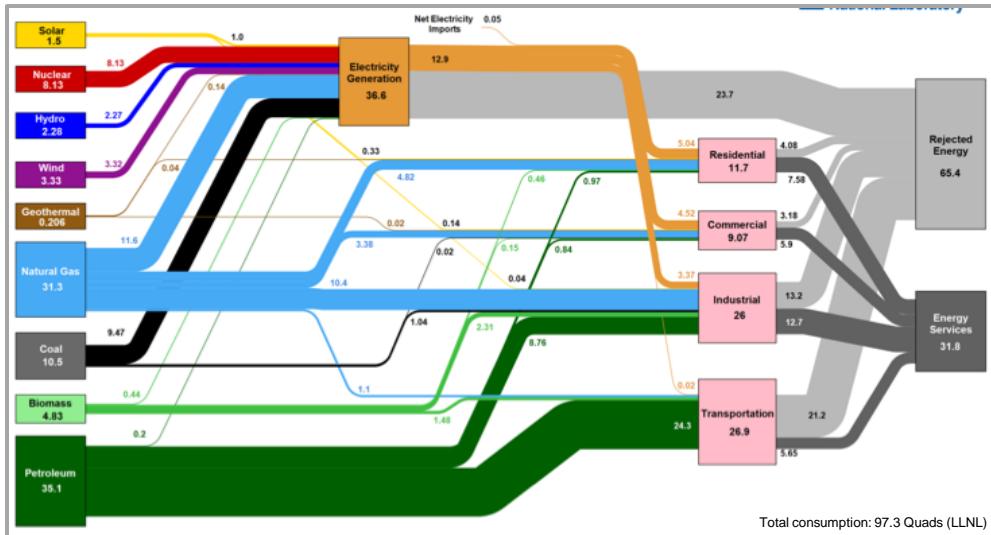


Energy use emitted 82% of total greenhouse gas emissions in US in 2021 (EPA)



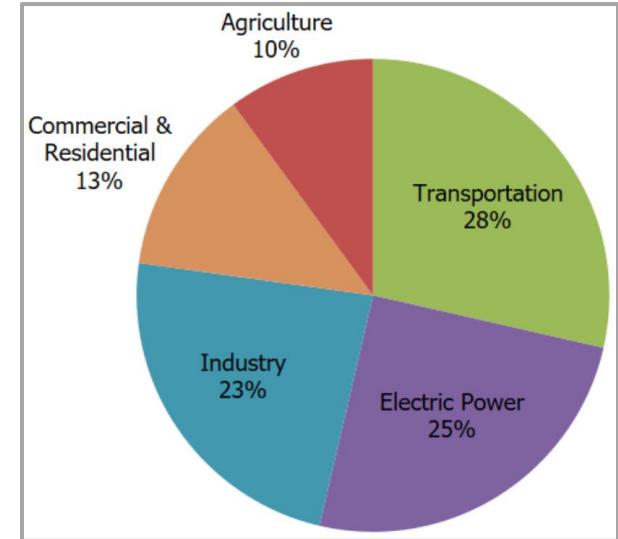
Electricity gen & transportation

2021 consumption: fossil 79.0%; renewables 12.5% (US EPA)



https://flowcharts.llnl.gov/sites/flowcharts/files/2022-09/Energy_2021_United-States.pdf

<https://www.epa.gov/ghgemissions/sources-greenhouse-gas-emissions#transportation>



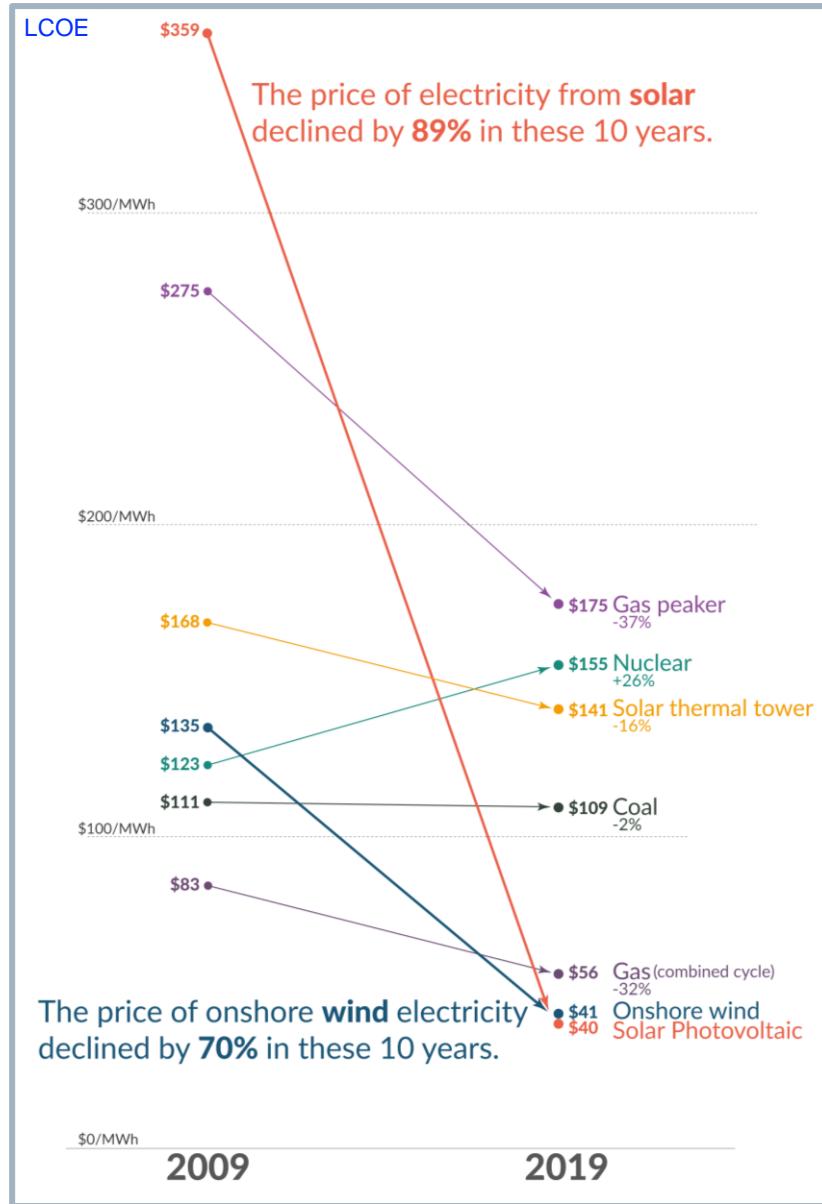
Electricity generation & transportation in US:

- Consume 65% of all energies in 2021 (US EPA)
- Emit 53% of all greenhouse gases in 2021 (US EPA)

both numbers are lower than 2019 numbers by only ~2% !



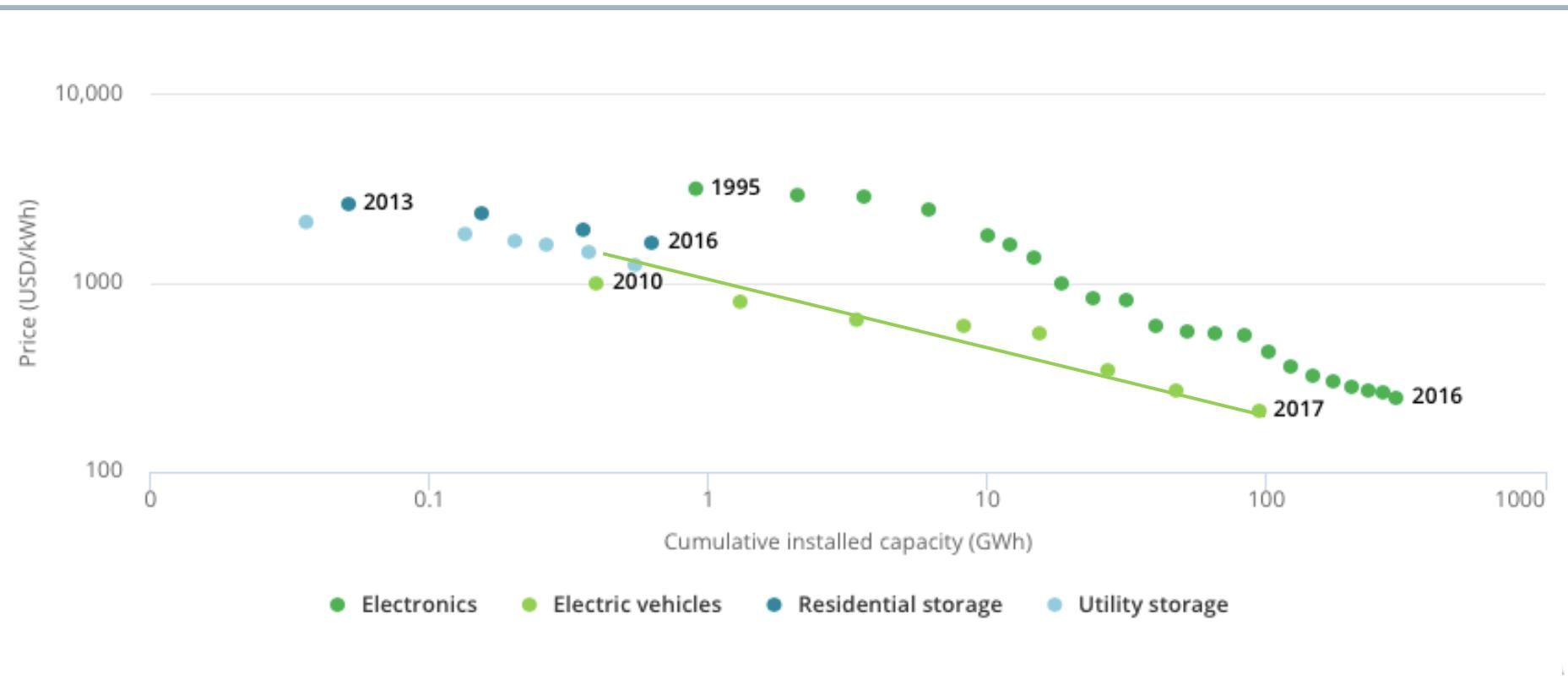
Electricity cost



PV & on-shore wind have lowest LCOE



Li-ion battery cost



Electric vehicle battery:

- 2010: \$1,000 / kWh
- 2016: \$ 275 / kWh
- 2030e: \$ 73 / kWh (Bloomberg New Energy Finance 2016)



Some challenges

Numerous research needs/opportunities

- Many experts in this NSF Workshop !



Some challenges

Integration of grid & mobility

Panel 1

- Technologies, economics, deployment

Data, learning, control

Panels 2, 4

- Unknown/unreliable models, uncertainty, scalability, multiple timescales, reliability

Equitable development

Panel 3

- Per capita CO₂(consumption): US(15.5t) vs Mexico(3.4t), AU(13.8t) vs Indonesia(2.3t), Switzerland(12.4t) vs Portugal(4.7t) (D. Kammen)

Inverter-based resources

- Dynamics, stability, scalability

Economics & policies

- NEM: PV+EV charging+storage, aggregation; hosting cap. (L. Tong)

Architecture

- Layering, constraints that deconstrain, RYF [John Doyle, Caltech]



Outline

Trends and research needs (10)

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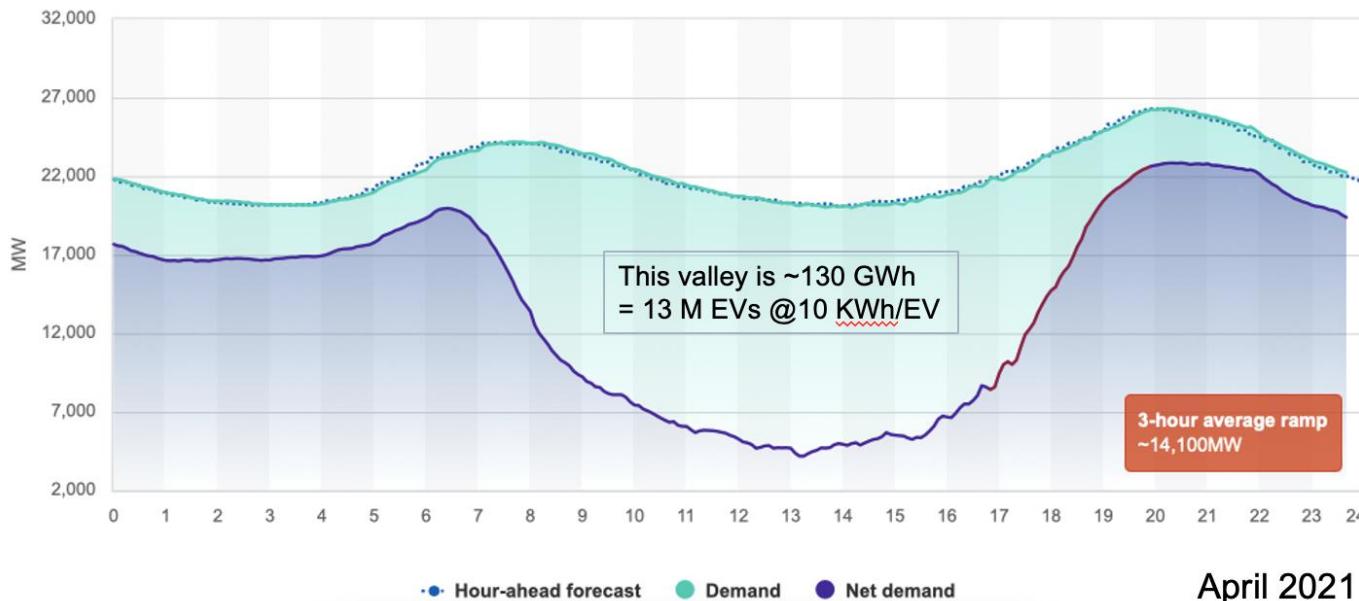
- From EV charging (5)
- ... to workplace decarbonization (10)
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Workplace charging

CA commitment

- ~~50% renewables by 2030, 100% by 2045~~ ^{60%}
- 1.5M ZEV by 2025, 5M by 2030 (CA has ~15M cars)



Drivers twice as likely to get EV when workplace charging is available
(EDF Renewables survey Feb 2018)



EV charging: research → impact

Theory and algorithms

1. Broad power systems research (since 2010)

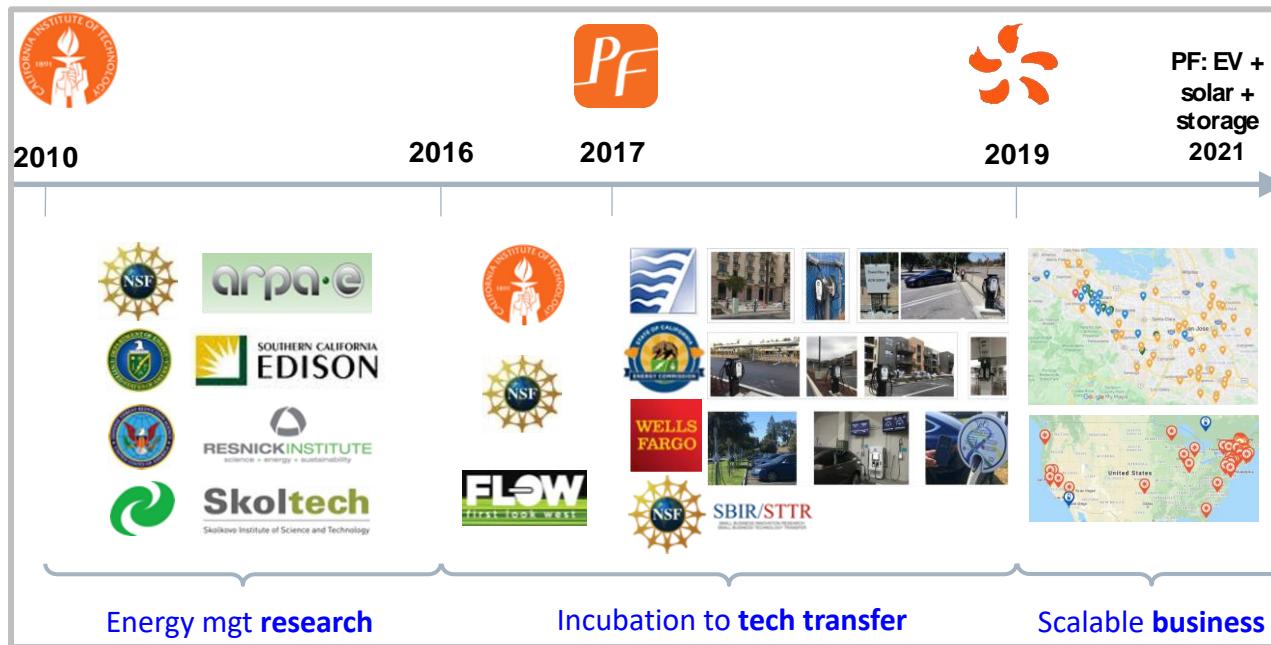
Nonconvex optimization, control & dynamical systems, distributed real-time algorithms

2. Application to EV charging

Optimal decentralized protocol for EV charging (IEEE Trans. Power Systems, 2013)

Theorem: Online LP attains offline optimal (IEEE PES General Meeting, 2017)

Industry	Online LP	Theoret. max
28%	53%	54%





EV charging: research → impact

Testbed → deployment

3. First pilot: Caltech garage (2016)

By July 2020: delivered 3M+ electric miles, avoided 1,000 tons of CO₂e

4. Caltech startup: PowerFlex (2017)

Value proposition: Enable large-scale EV charging by reducing capital & operating costs
Acquired by EDF Renewables to scale business



debugging



charger



transformer & subpanels



main panel



G. Lee (Co-founder)

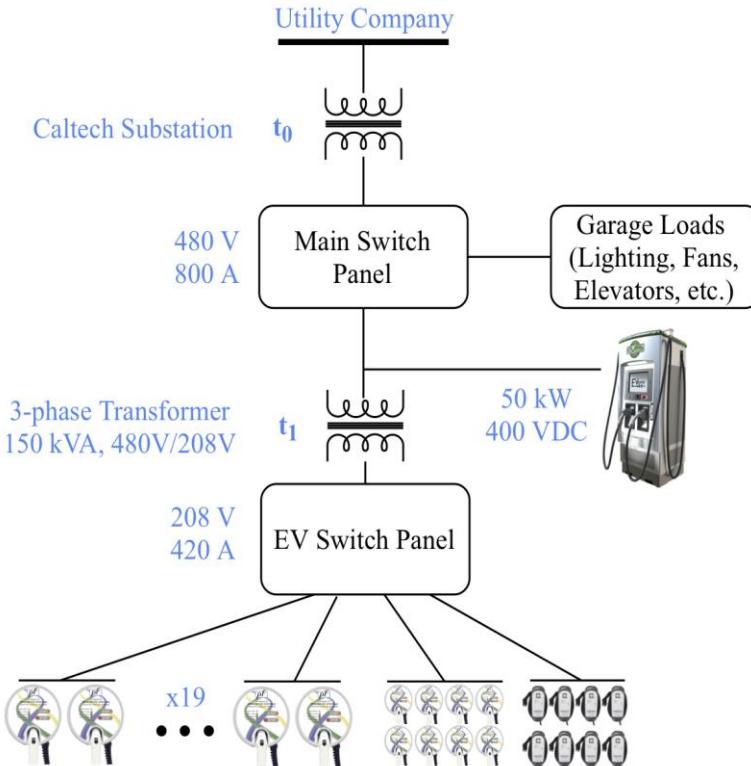


Municipal	Real Estate	Universities	OEM
PASADENA SAN JOSE 	CUSHMAN & WAKEFIELD AVISON YOUNG SUMMERHILL 	Caltech UCSF UC San Diego 	VW AUDI BMW FORD NISSAN RENAULT TOYOTA HYUNDAI BUS
Non-profit	Research	Workplace	Medium-duty Fleet
Children's Hospital LOS ANGELES LACMA Getty NATIONAL HISTORY MUSEUM LOS ANGELES CENTER 	ONREL SLAC NATIONAL ACCELERATOR LABORATORY JPL JET PROPULSION LABORATORY 	intuit Adobe SAP 23andMe 	DHL ups UPS ROBOTICS





Caltech ACN: physical system





Caltech ACN: cyber system

Model predictive control: QCQP

$$\begin{aligned} \max_r \quad & \sum_v \alpha_v u_v(r) \\ \text{s.t.} \quad & 0 \leq r_i(t) \leq \bar{r}_i(t) \\ & \sum_{t \in \mathcal{T}} r_i(t) \leq e_i \\ & \left| \sum_{i \in \mathcal{V}} A_{li} r_i(t) e^{j\phi_i} \right| \leq c_{lt}(t) \end{aligned}$$

Highly customizable QCQP

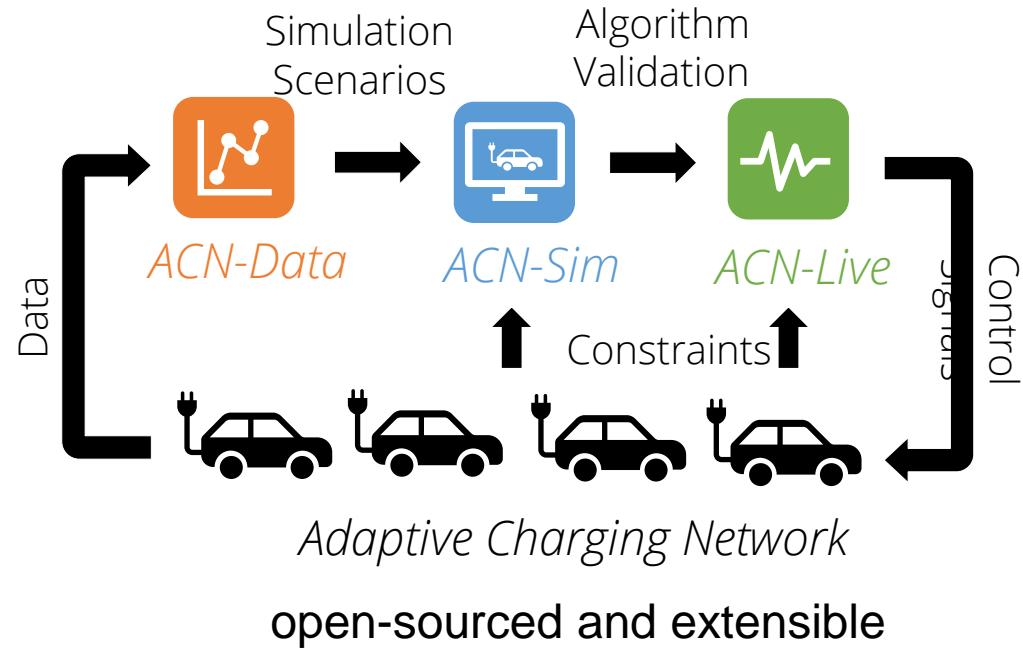
- objectives: cost, PV, asap, regularization
- constraints: energy, deadlines, capacities
- determine charging rates for all EVs





Caltech ACN: open research tool

- ACN-Data
- ACN-Sim
- ACN-Live (HW-in-the-loop)



Lee, Li, Low. ACN-Data: analysis and applications of an open EV charging Dataset
ACM e-Energy, June 2019

Lee, Johansson, Low. ACN-Sim: an open-source simulator for data-driven EV charging research
IEEE SmartGridComm, October 2019



ACN research portal

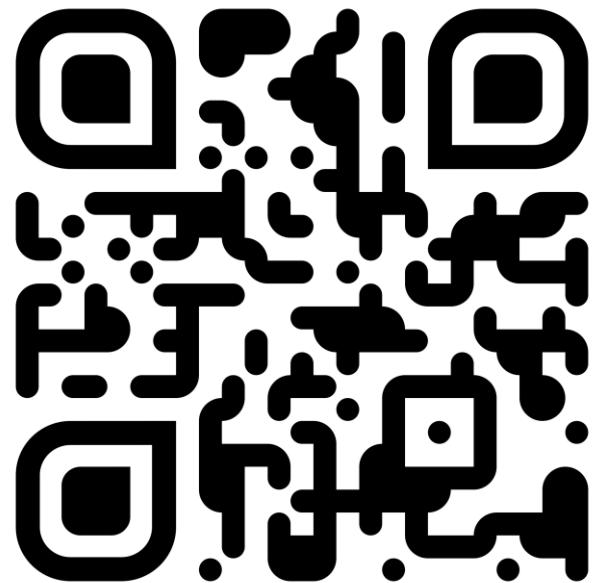
Adaptive Charging Network

HOME INFO RESEARCH DATA SIMULATOR ACCOUNT ▾

The Adaptive Charging Network

Accelerating Electric Vehicle Research @ Caltech and Beyond

Zach Lee
zlee@powerflex.com



ev.caltech.edu



Lessons learnt

Smart EV charging

- R&D to extract **untapped** value intrinsic to EV charging
- Critical to maintain broad theory research
- Translation of energy R&D is hard

Workplace energy systems

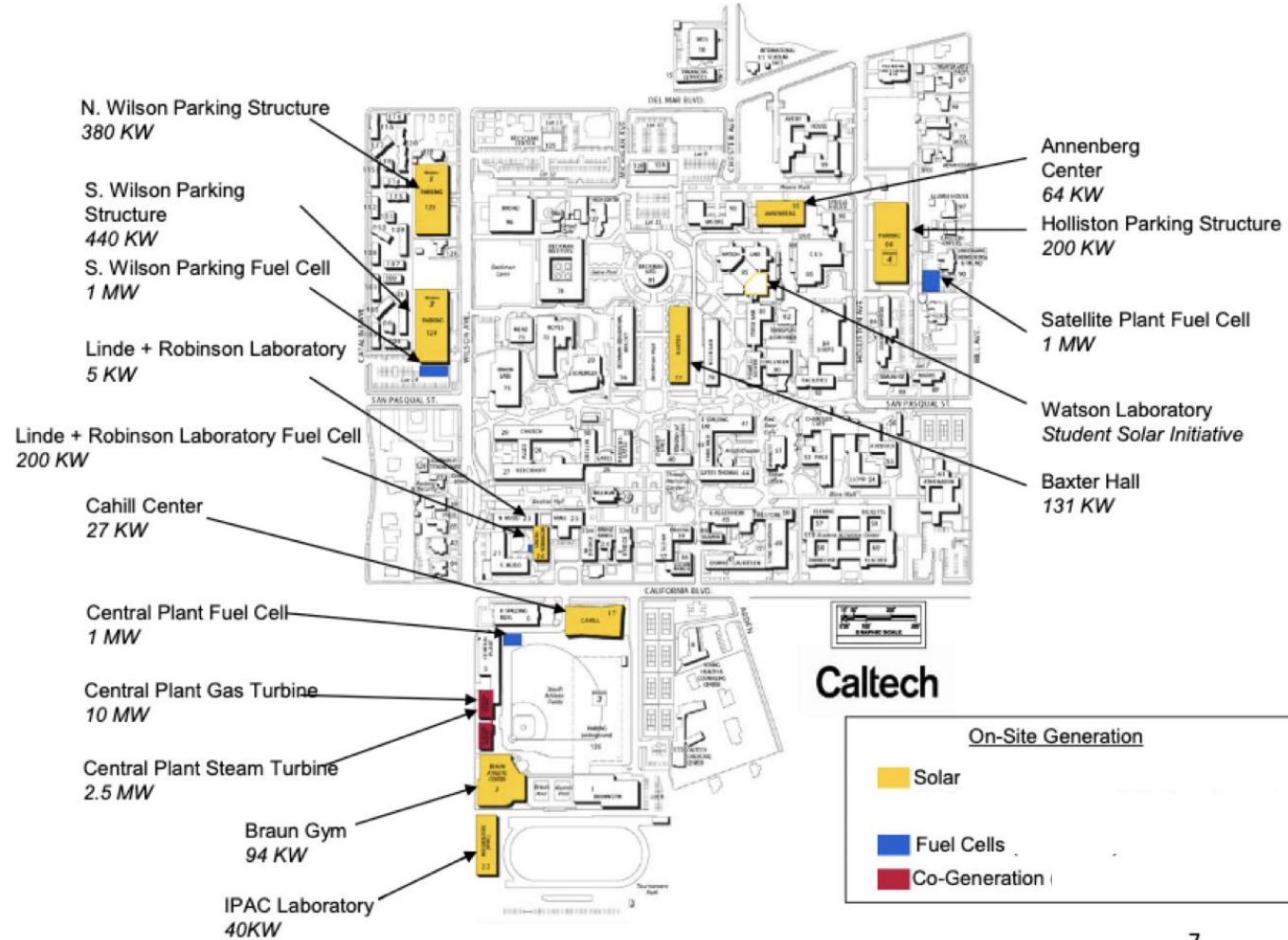
- Large **untapped** value in current system
- Bigger & more complicated system, more expensive infrastructure, more difficult & diverse technical challenges



Caltech energy systems

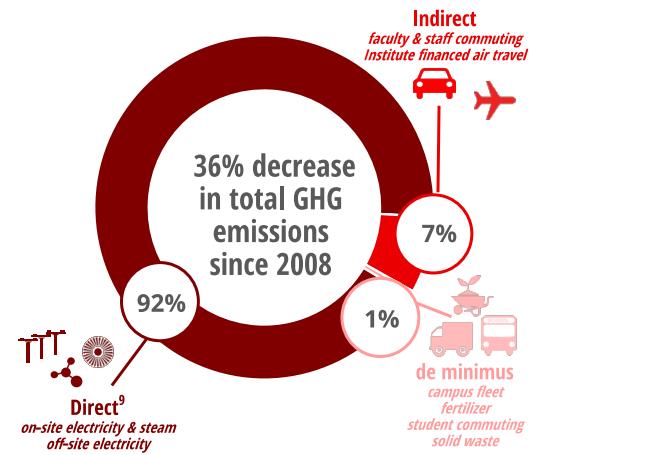
Caltech microgrid

- ~200,000-people city
- >100 commercial-size buildings
- 3 grid interconnections
- 4 substations
- 20 MW peak load
- 2.1 MW onsite solar
- 4 MW NG fuel cells
- 12.5 MW gas co-gen
- Chilled water distribution
- Fossil-based steam and HW distribution

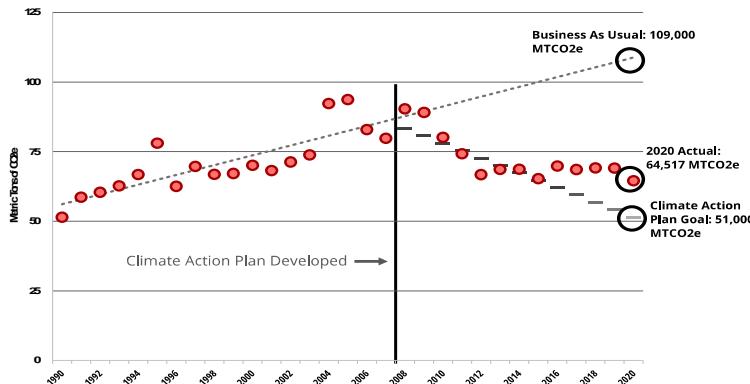




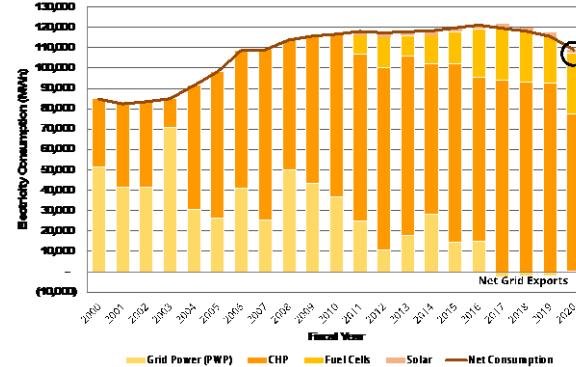
Opportunities



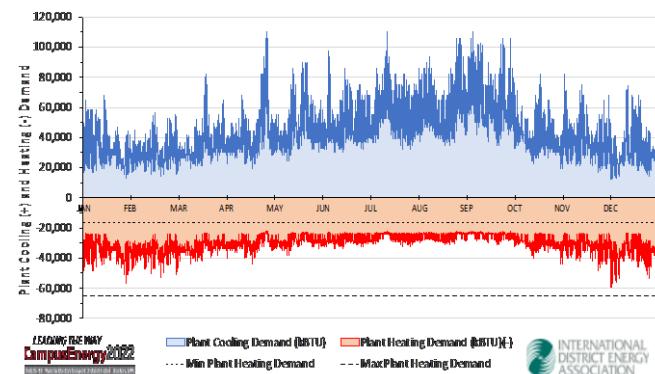
Energy is a 92%-opportunity to reduce GHG



Further reduction needs to retire campus co-gen



Co-gen generated 78% of electricity consumed in 2020



Simultaneous heating and cooling demands



Basic idea

Integrate and holistically optimize operation of electric, heating & cooling systems

- They operate independently today
- HRCs to provide **net** heating & cooling demand

Exploit storage (batteries & thermal) and HRCs to shape electricity demand

- To adapt to random fluctuations in demand, prices & CO₂ intensity
- Greatly reduces capital and operating costs for 24/7 CO₂ neutrality



Campus decarbonization

Infrastructure ([Caltech Admin/Facilities](#))

- Retiring co-gen, electrify hot & chilled water, HRCs, thermal storage, batteries, tunnels & pipes

Data ([Caltech testbed](#))

- Comprehensive reliable data on electric, cooling & heating systems, cost & emission data

Theory, algorithms & prototypes ([focus of R&D](#))

- Theory & algorithms for real-time learning, control & optimization of DERs
- Software prototypes (Digital Twin)

Pilot & deployment

- Work with Caltech Facilities
- Work with industry



R&D: theory, algorithms, prototypes

Layer	R&D	Open problems (examples)
Control	Optimization-based decision making for planning and operation in uncertainty	{ <ul style="list-style-type: none">• Data-driven stochastic optimization• Data-driven real-time OPF
Learning (Digital Twin)	Data-driven continuous learning, identification & tracking of system models & current states	{ <ul style="list-style-type: none">• Network identification• Aggregate flexibility & control
Data (Meter Caltech)	Testbed to provide real-time comprehensive & reliable data	

Expected outcomes:

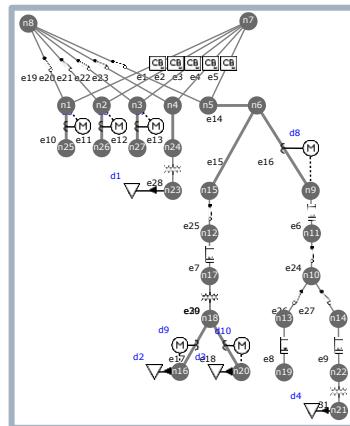
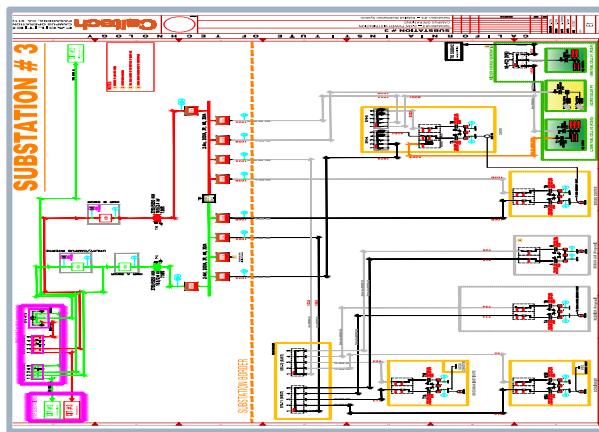
- DER live testbed: PV, building, EV, storage, monitoring system (meters & software)
- Theory & algorithms for learning, control, and optimization of networked DERs
- Software prototypes of some algorithms



DER testbed

Substation 3 (16.5kV/2.4kV/480V)

- Buildings
- Rooftop PVs
- Fuel cells
- EV chargers



digital circuit diagram



electric room



metering cabinet



meters, CTs



3p voltage taps



Network identification

$$I = YV \text{ where } Y_{jk} = \begin{cases} -y_{jk}^s, & j \sim k \ (j \neq k) \\ \sum_{l:j \sim l} y_{jl}^s, & j = k \\ 0 & \text{otherwise} \end{cases}$$

Y is a complex symmetric (Laplacian) matrix with zero row sums

Learning Y from data

- Numerous control & optimization schemes assume Y is known
- But Y often unavailable or unreliable in **distribution** systems (e.g., Caltech does not know Y)
- Little is known about analytical properties of Y (e.g., invertibility only published in [Yuan et al 2022, Torizo & Molzahn 2022, Low 2022])

State of the art

- Full measurement: many schemes based on regressions, entropy, sparse recovery, graph processing, ...
- With hidden nodes (for **radial** networks) ?



Network identification with hidden nodes

At each time t :

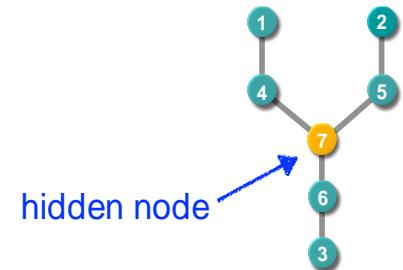
$$\xrightarrow{\text{0 injection at hidden node}} \begin{bmatrix} I_1(t) \\ 0 \end{bmatrix} = \begin{bmatrix} Y_{11} & Y_{12} \\ Y_{21} & Y_{22} \end{bmatrix} \begin{bmatrix} V_1(t) \\ V_2(t) \end{bmatrix}$$

measured nodes
hidden nodes

Suppose we can exactly recover \bar{Y} from $(V_i(t), I_i(t))$ at $i \in M$

$$I_1(t) = \bar{Y}V_1(t)$$

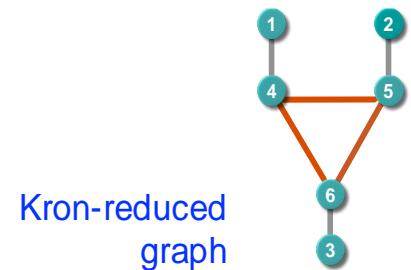
$$\text{with } \bar{Y} := Y_{11} - Y_{12}Y_{22}^{-1}Y_{12}^\top$$



Lemma

Kron-reduced admittance matrix \bar{Y} exists, if lines are resistive & inductive

(Note that Y is complex symmetric !)





Network identification with hidden nodes

At each time t :

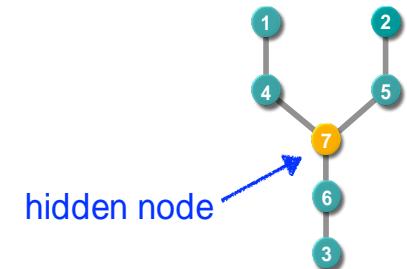
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measured nodes
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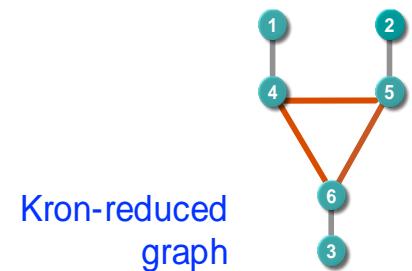
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$$\text{with } \bar{Y} := Y_{11} - Y_{12}Y_{22}^{-1}Y_{12}^\top$$



Can we identify Y from \bar{Y} for radial networks ?





Network identification with hidden nodes

At each time t :

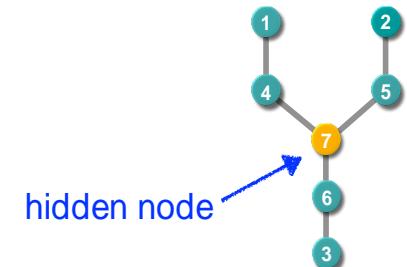
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measured nodes
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Suppose we can exactly recover \bar{Y} from $(V_i(t), I_i(t))$ at $i \in M$

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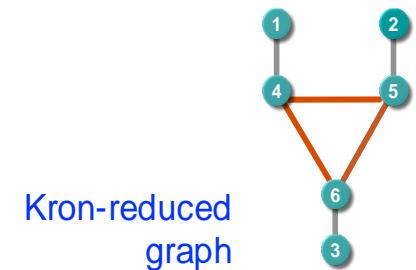
$$\text{with } \bar{Y} := Y_{11} - Y_{12}Y_{22}^{-1}Y_{12}^\top$$



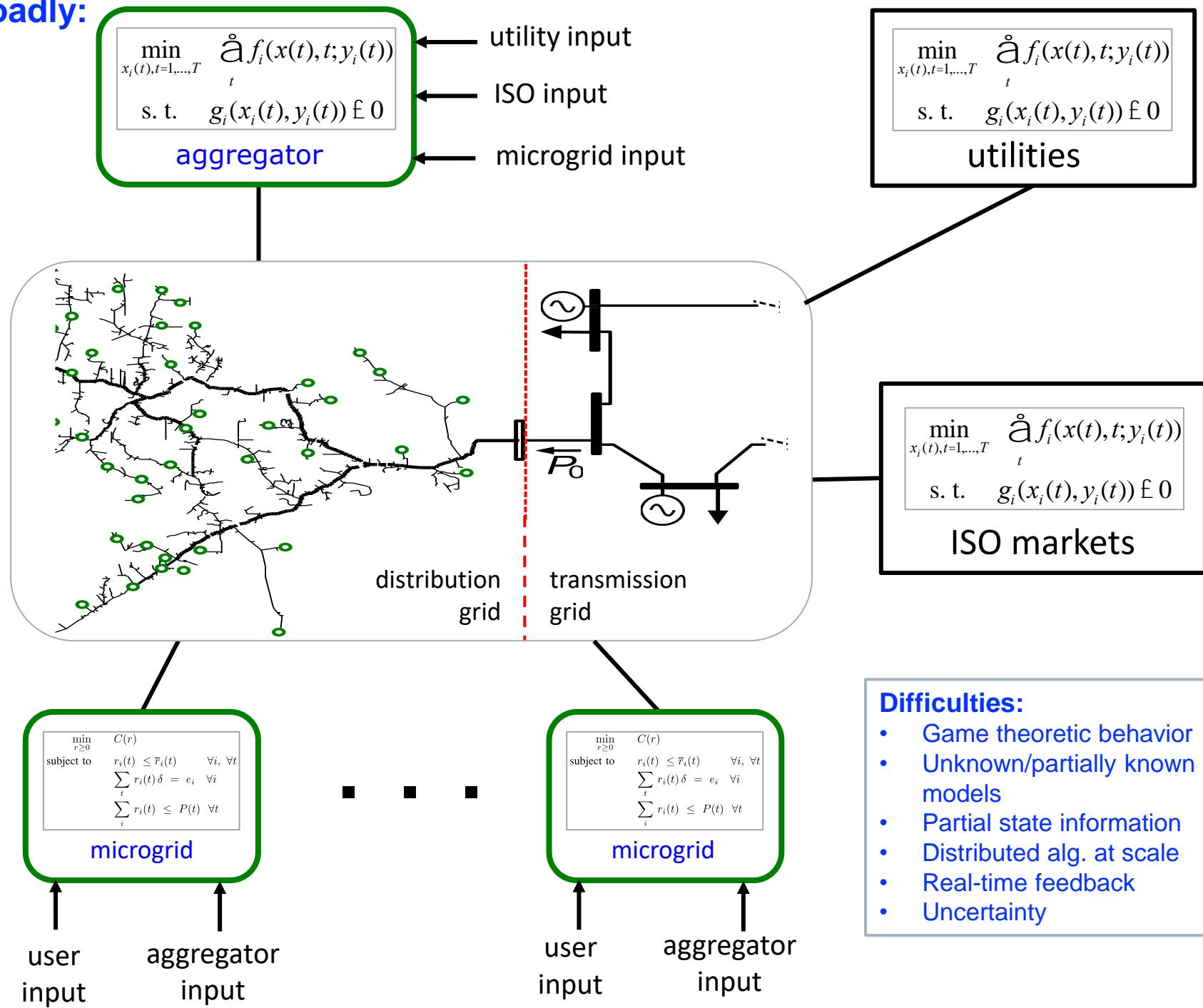
Can we identify Y from \bar{Y} for radial networks ?

Theorem: Yes ! [Yuan et al 2022]

Exactly recover both topology and impedances for radial nks
Constructive proof



More broadly:





Lessons learnt

Most papers implicitly use single-phase models

- Balanced 3-phase systems have single-phase equivalents

Single-phase models applicable for many purposes

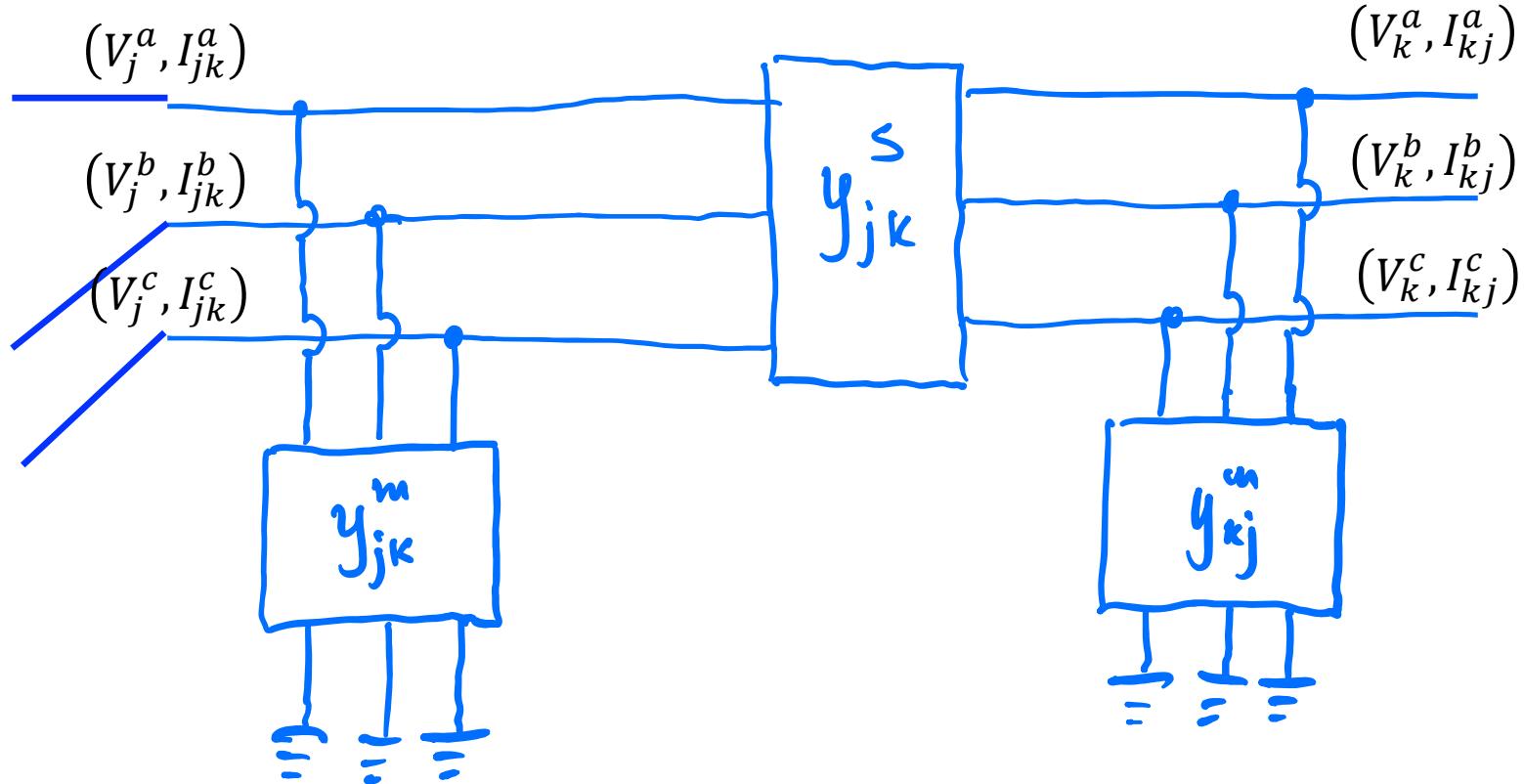
- Transmission system applications
- For illustrating **basic ideas** and analysis of most algorithms (unbalanced 3-phase models structurally similar to 1-phase models)

Unbalanced 3-phase modeling needed

- When control & optimization are explicitly on single-phase devices making up a 3-phase device
- For implementation in real systems when phases are not balanced



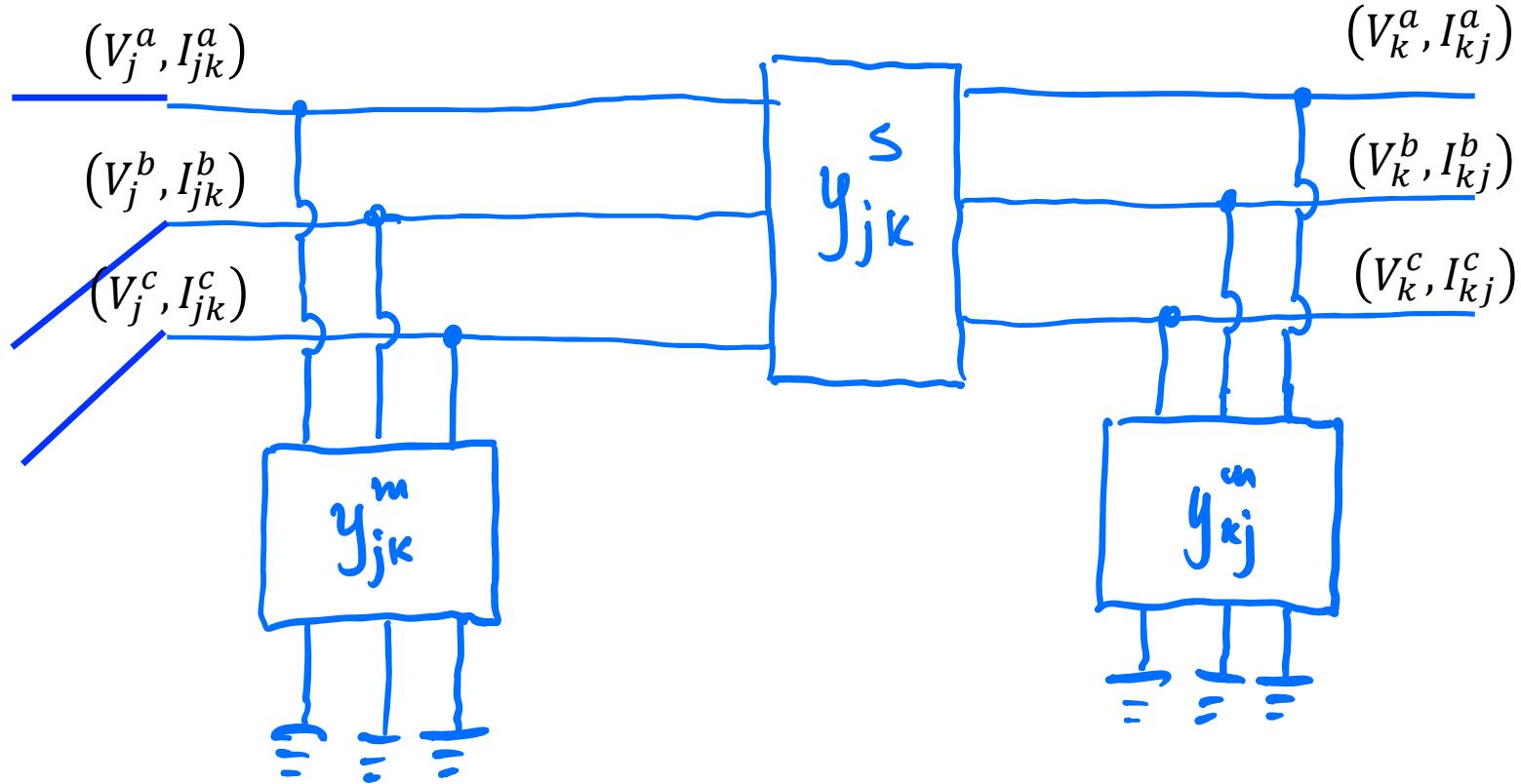
Lessons learnt



- Many models assume **terminal** currents $(I_{jk}^a, I_{jk}^b, I_{jk}^c)$ are controllable (optimization vars)
- Extension to 3-phase setting is straightforward



Lessons learnt



$$I_{jk} = y_{jk}^s (V_j - V_k) + y_{jk}^m V_j$$

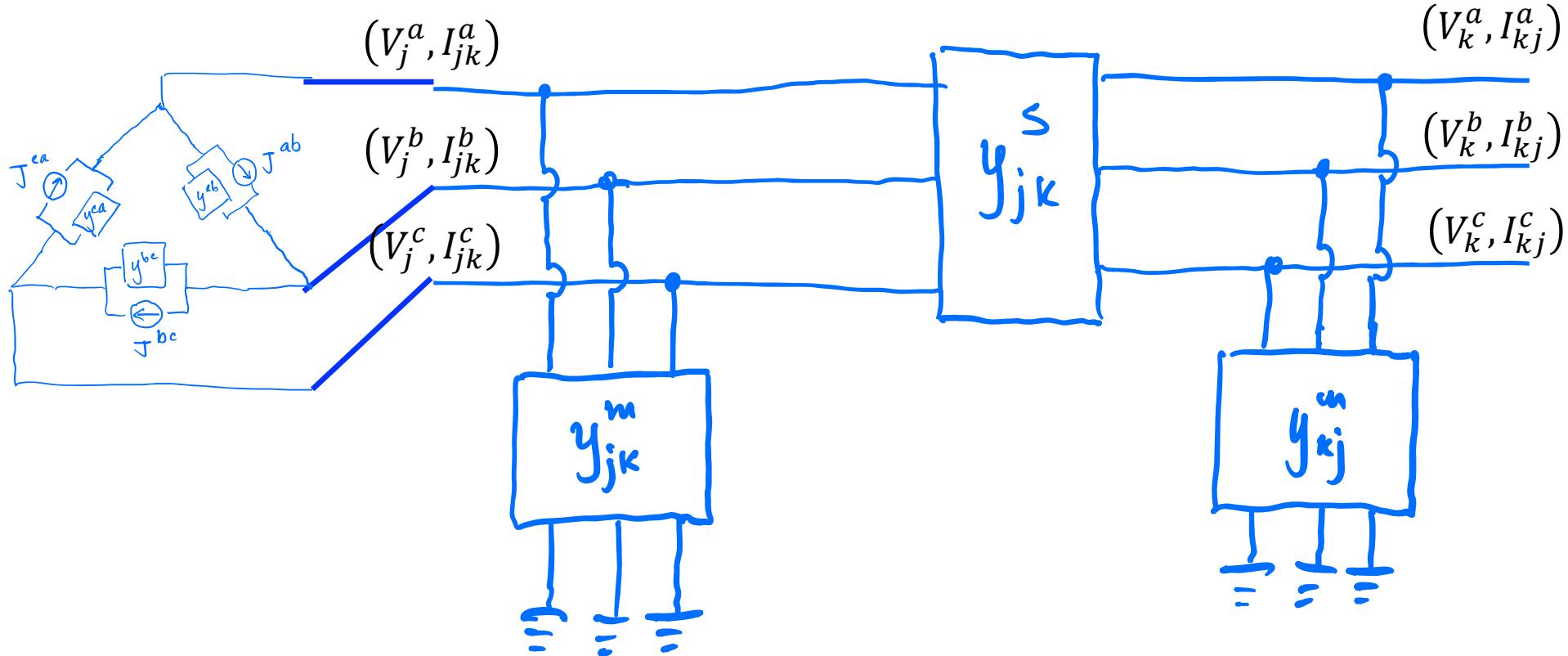
$$I_{kj} = y_{jk}^s (V_k - V_j) + y_{kj}^m V_k$$

1-phase: $I_{jk}, V_j^a \in \mathbb{C}$. $y_{jk}^{s/m} \in \mathbb{C}$

3-phase: $I_{jk}, V_j^a \in \mathbb{C}^3$. $y_{jk}^{s/m} \in \mathbb{C}^{3 \times 3}$



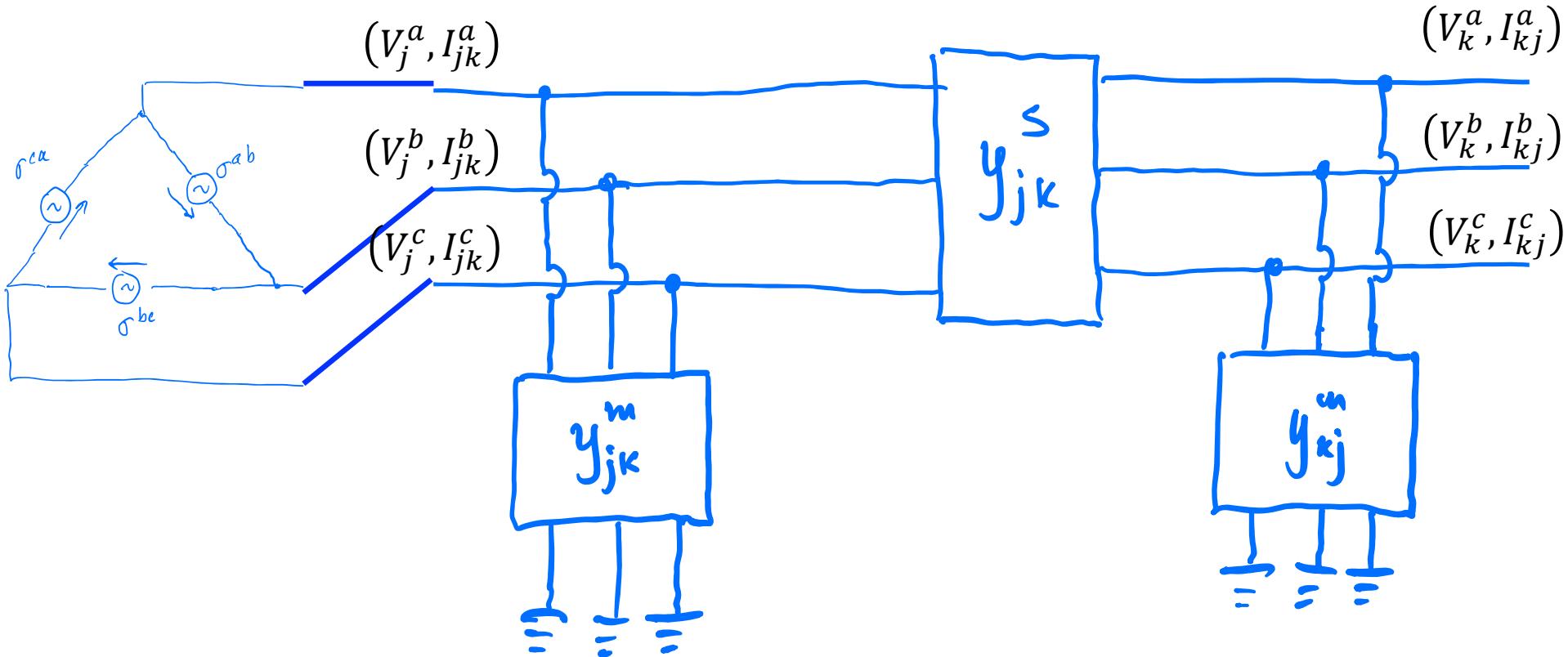
Lessons learnt



- Terminal currents I_{jk} are externally observable, but often not directly controllable
- If only internal currents $(J_j^{ab}, J_j^{bc}, J_j^{ca})$ of current sources are directly controllable, then need a 3-phase device model to convert between internal & terminal vars



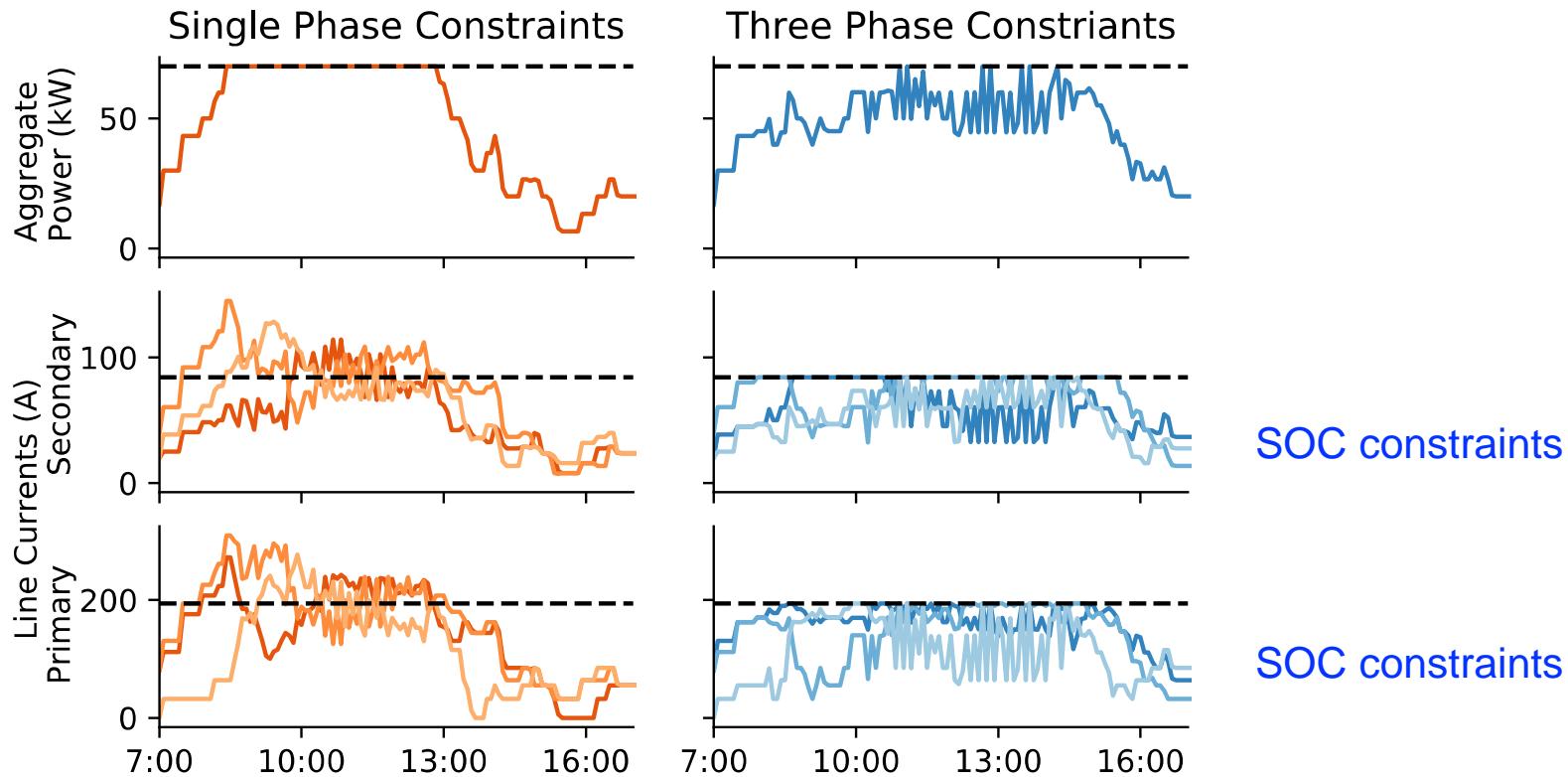
Lessons learnt



Similarly for power sources or voltage sources



Lessons learnt: example

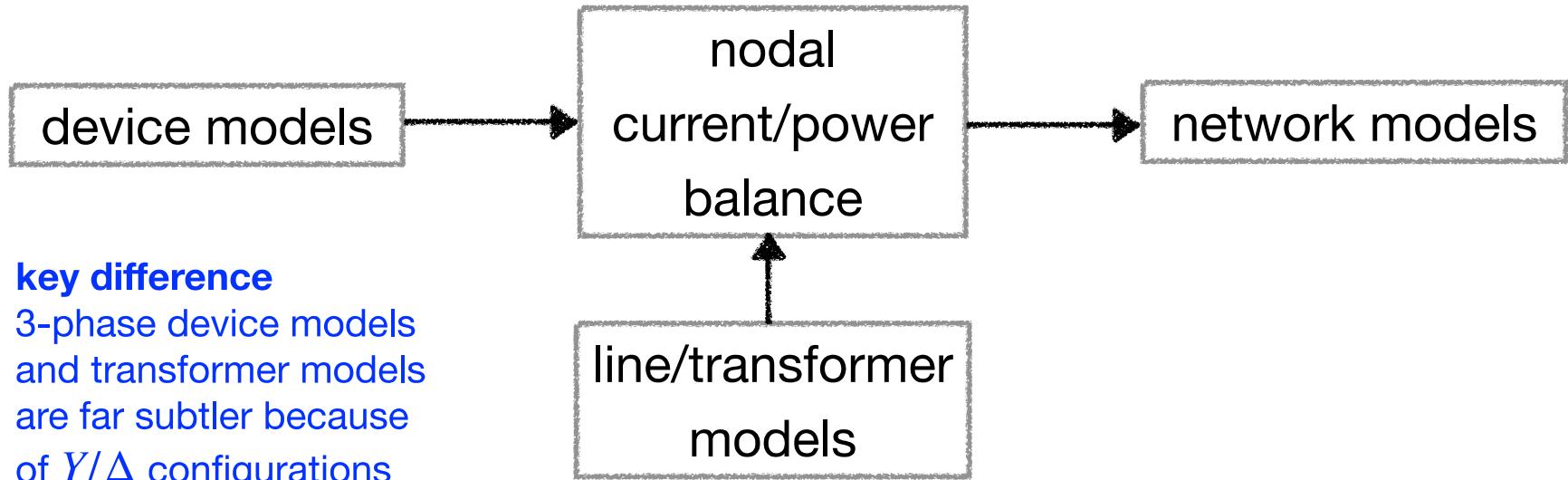


Left panel: Actual 3-phase currents violate capacity constraints if “single-phase constraints” are used (ACN-Sim based on Caltech ACN on Sept 5, 2018 data)

“single-phase constraints” : $\sum_i r_i(t) \leq R$ (no phase line constraints for lack of phase info)



Overview: 3-phase modeling



key difference

3-phase device models
and transformer models
are far subtler because
of Y/Δ configurations

single-phase or 3-phase



Key question

How to derive **external models** of 3-phase devices

1. Voltage/current/power sources, impedances (1-phase device: internal models)
2. ... in Y/Δ configurations (conversion rules: int \rightarrow ext)
3. ... with or without neutral lines, grounded or ungrounded, zero or nonzero grounding impedances

Propose a simple and unified method to derive external models

Will use 3-phase voltage source in Δ configuration to illustrate

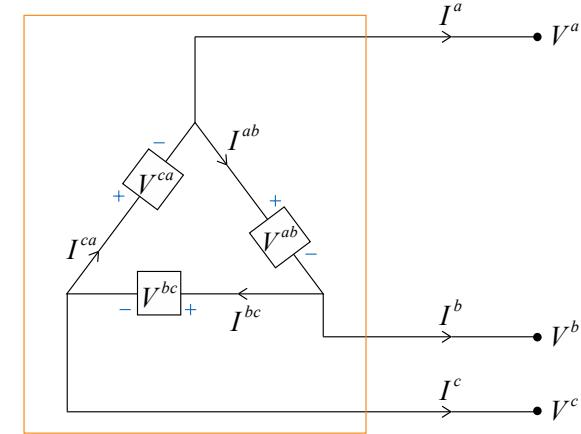


Internal & terminal vars

Internal vars (Δ configuration)

Internal voltage, current, power across **single-phase** devices:

$$V^\Delta := \begin{bmatrix} V^{ab} \\ V^{bc} \\ V^{ca} \end{bmatrix}, \quad I^\Delta := \begin{bmatrix} I^{ab} \\ I^{bc} \\ I^{ca} \end{bmatrix}, \quad s^\Delta := \begin{bmatrix} s^{ab} \\ s^{bc} \\ s^{ca} \end{bmatrix} := \begin{bmatrix} V^{ab}\bar{I}^{ab} \\ V^{bc}\bar{I}^{bc} \\ V^{ca}\bar{I}^{ca} \end{bmatrix}$$



Terminal vars

Terminal voltage, current, power (for both Y and Δ) **to reference**:

$$V := \begin{bmatrix} V^a \\ V^b \\ V^c \end{bmatrix}, \quad I := \begin{bmatrix} I^a \\ I^b \\ I^c \end{bmatrix}, \quad s := \begin{bmatrix} s^a \\ s^b \\ s^c \end{bmatrix} := \begin{bmatrix} V^a\bar{I}^a \\ V^b\bar{I}^b \\ V^c\bar{I}^c \end{bmatrix}$$

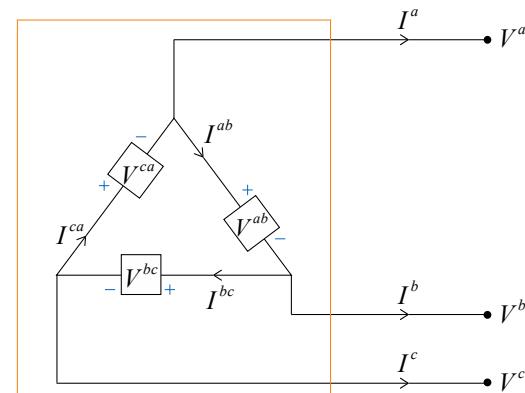
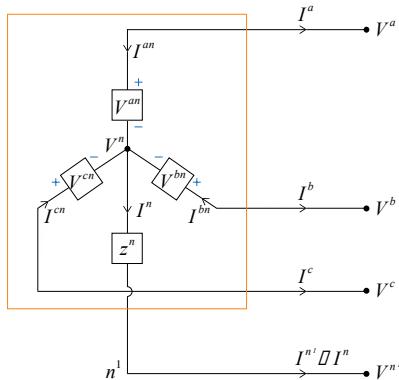
- V is with respect to an arbitrary common reference point, e.g. the ground
- I and s are in the direction **out** of the device



Internal vs external model

1. External model = Internal model + Conversion rule

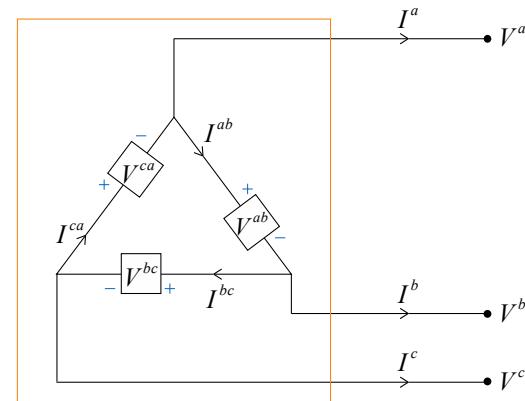
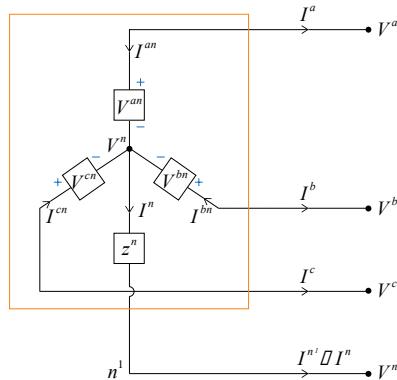
- External model: relation between (V, I, s)
- Devices interact over network **only** through their terminal vars





Internal vs external model

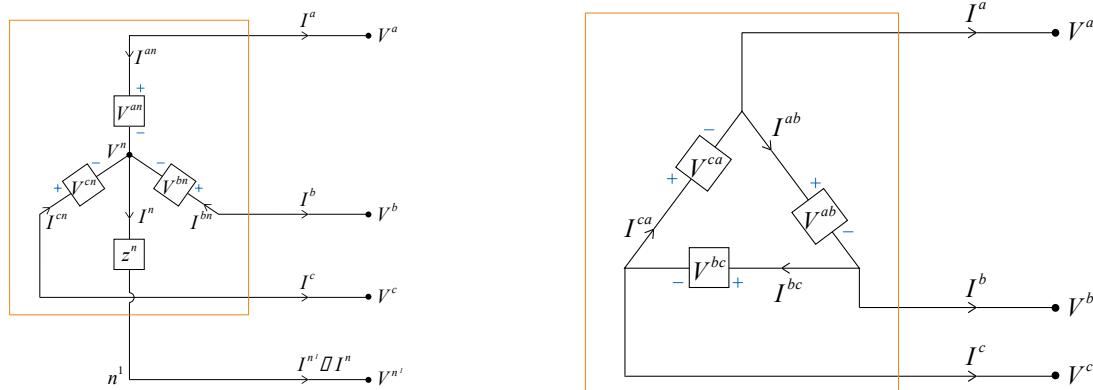
1. External model = Internal model + Conversion rule
 - External model: relation between (V, I, s)
 - Devices interact over network **only** through their terminal vars
2. Internal model : relation between $(V^{Y/\Delta}, I^{Y/\Delta}, s^{Y/\Delta})$
 - Independent of Y or Δ configuration
 - Depends only on behavior of single-phase devices
 - Voltage/current/power source, impedance (voltage scr, ZIP load)





Internal vs external model

1. **External model** = Internal model + Conversion rule
 - External model: relation between (V, I, s)
 - Devices interact over network **only** through their terminal vars
2. **Internal model** : relation between $(V^{Y/\Delta}, I^{Y/\Delta}, s^{Y/\Delta})$
 - Independent of Y or Δ configuration
 - Depends only on behavior of single-phase devices
 - Voltage/current/power source, impedance (voltage scr, ZIP load)
3. **Conversion rule** : converts between internal and terminal vars
 - Depends only on Y or Δ configuration
 - Independent of type of single-phase devices





Conversion rule

Δ configuration

Convert between **internal vars** and **external vars**

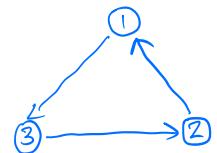
$$\begin{bmatrix} V_{ab} \\ V_{bc} \\ V_{ca} \end{bmatrix} = \underbrace{\begin{bmatrix} 1 & -1 & 0 \\ 0 & 1 & -1 \\ -1 & 0 & 1 \end{bmatrix}}_{\Gamma} \begin{bmatrix} V_a \\ V_b \\ V_c \end{bmatrix}, \quad \begin{bmatrix} I_a \\ I_b \\ I_c \end{bmatrix} = - \underbrace{\begin{bmatrix} 1 & 0 & -1 \\ -1 & 1 & 0 \\ 0 & -1 & 1 \end{bmatrix}}_{\Gamma^\top} \begin{bmatrix} I_{ab} \\ I_{bc} \\ I_{ca} \end{bmatrix}$$

In vector form

$$V^\Delta = \Gamma V, \quad I = -\Gamma^\top I^\Delta$$

↑ ↑ ↑ ↑
internal voltage terminal voltage terminal current internal current

Γ is incidence matrix of:





Conversion matrices Γ & Γ^T

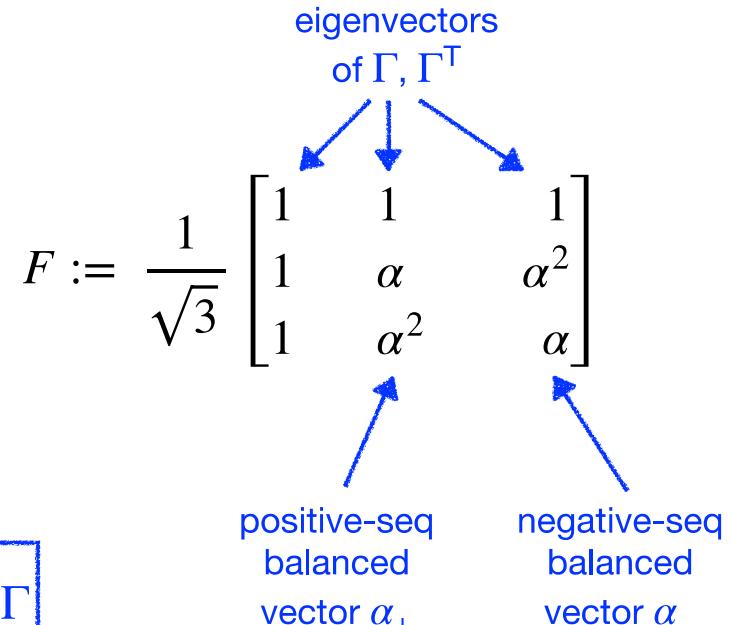
Fortescue matrix F

Spectral decomposition:

$$\Gamma = F \Lambda \bar{F}, \quad \Gamma^T = \bar{F} \Lambda F$$

where

$$\Lambda := \begin{bmatrix} 0 & & \\ & 1 - \alpha & \\ & & 1 - \alpha^2 \end{bmatrix},$$



$$\text{and } \alpha := e^{-i2\pi/3}$$

Pseudo-inverses: $\Gamma^\dagger = \frac{1}{3} \Gamma^T, \quad \Gamma^{T\dagger} = \frac{1}{3} \Gamma$

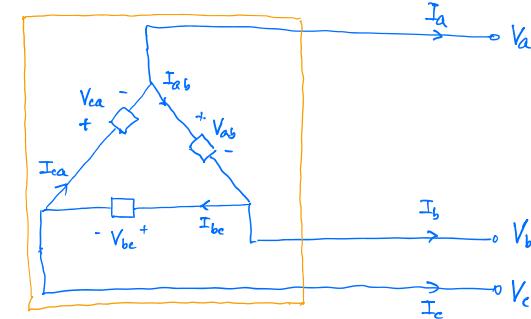


Conversion rule

Δ configuration

1. Converts between internal and terminal voltages & currents

$$V^\Delta = \Gamma V, \quad I = -\Gamma^T I^\Delta$$





Conversion rule

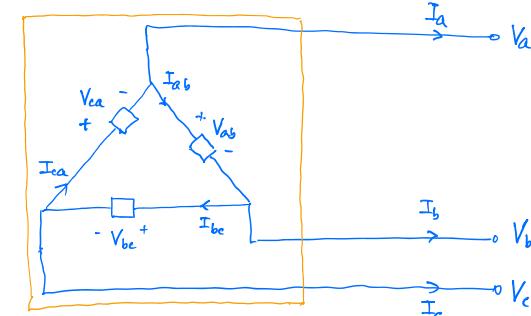
Δ configuration

1. Converts between internal and terminal voltages & currents

$$V^\Delta = \Gamma V, \quad I = -\Gamma^T I^\Delta$$

2. Given V^Δ : terminal voltage $V = \frac{1}{3} \Gamma^T V^\Delta + \gamma 1, \quad \gamma \in \mathbb{C}$

$\cdot \gamma := \frac{1}{3} 1^T V$: zero-sequence terminal voltage (fixed by reference voltage)





Conversion rule

Δ configuration

1. Converts between internal and terminal voltages & currents

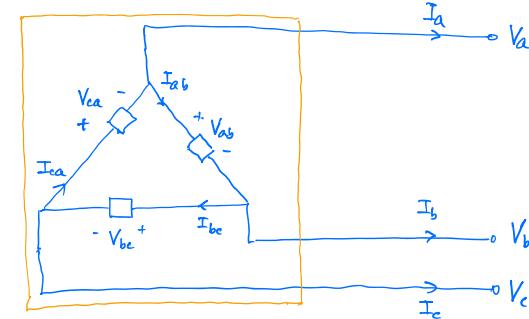
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• $\gamma := \frac{1}{3} 1^T V$: zero-sequence terminal voltage (fixed by reference voltage)

3. Given I : internal current $I^\Delta = -\frac{1}{3} \Gamma I + \beta 1, \quad \beta \in \mathbb{C}$

• $\beta := \frac{1}{3} 1^T I^\Delta$: zero-sequence internal current (does not affect terminal current)





Conversion rule

Δ configuration

- Converts between internal and terminal voltages & currents

$$V^\Delta = \Gamma V, \quad I = -\Gamma^T I^\Delta$$

- Given V^Δ : terminal voltage $V = \frac{1}{3} \Gamma^T V^\Delta + \gamma \mathbf{1}, \quad \gamma \in \mathbb{C}$

$\cdot \gamma := \frac{1}{3} \mathbf{1}^T V$: zero-sequence terminal voltage (fixed by reference voltage)

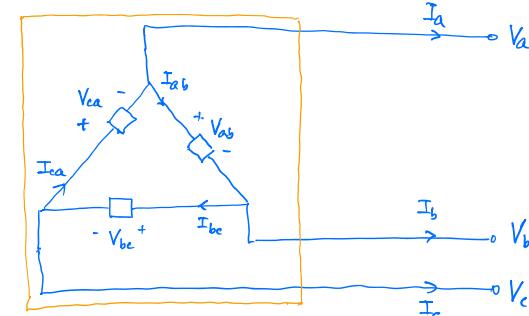
- Given I : internal current $I^\Delta = -\frac{1}{3} \Gamma I + \beta \mathbf{1}, \quad \beta \in \mathbb{C}$

$\cdot \beta := \frac{1}{3} \mathbf{1}^T I^\Delta$: zero-sequence internal current (does not affect terminal current)

- Relation between s and s^Δ through (V, I^Δ) :

$$s = -\text{diag}(VI^{\Delta H}\Gamma), \quad s^\Delta = \text{diag}(\Gamma VI^{\Delta H})$$

(no direct relation between s and s^Δ)





Example: transformers

Theorem 1. *The external models of three-phase transformers in YY, ΔΔ, ΔY and YΔ configurations take the form*

$$I = D^T Y_{YY} D (V - \gamma)$$

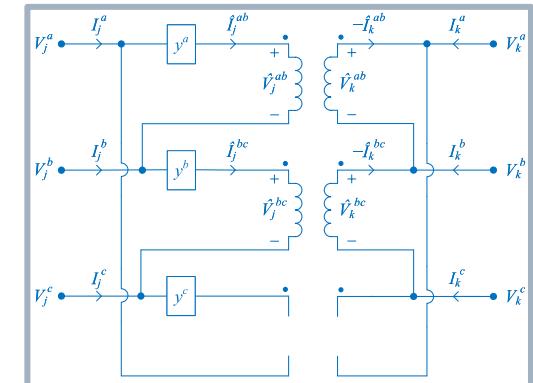
where

$$YY : \quad D := \begin{bmatrix} \mathbb{I} & 0 \\ 0 & \mathbb{I} \end{bmatrix}$$

$$\Delta\Delta : \quad D := \begin{bmatrix} \Gamma & 0 \\ 0 & \Gamma \end{bmatrix}$$

$$\Delta Y : \quad D := \begin{bmatrix} \Gamma & 0 \\ 0 & \mathbb{I} \end{bmatrix}$$

$$Y\Delta : \quad D := \begin{bmatrix} \mathbb{I} & 0 \\ 0 & \Gamma \end{bmatrix}$$



unified & modular characterization



Overall model: device + network

1. Network model relates terminal vars (V, I, s)

- Nodal current balance (linear): $I = YV$
- Nodal power balance (nonlinear): $s_j = \sum_{k:j \sim k} \text{diag} \left(V_j (V_j - V_k)^H y_{jk}^{sH} + V_j V_j^H y_{jk}^{mH} \right)$
- Either can be used

2. Device model for each 3-phase device

- Internal model $\left(V_j^{Y/\Delta}, I_j^{Y/\Delta}, s_j^{Y/\Delta}, \gamma_j, \beta_j \right)$ + conversion rules
- External model $\left(V_j, I_j, s_j, \gamma_j, \beta_j \right)$ with internal parameters
- Either can be used
- Power source models are nonlinear; other devices are linear



Unbalance 3-phase modeling

Power System Analysis A Mathematical Approach

Steven H. Low

DRAFT available at: <http://netlab.caltech.edu/book/>

Corrections, questions, comments appreciated!



Backup slides



Why Caltech

Caltech energy system is large & complex

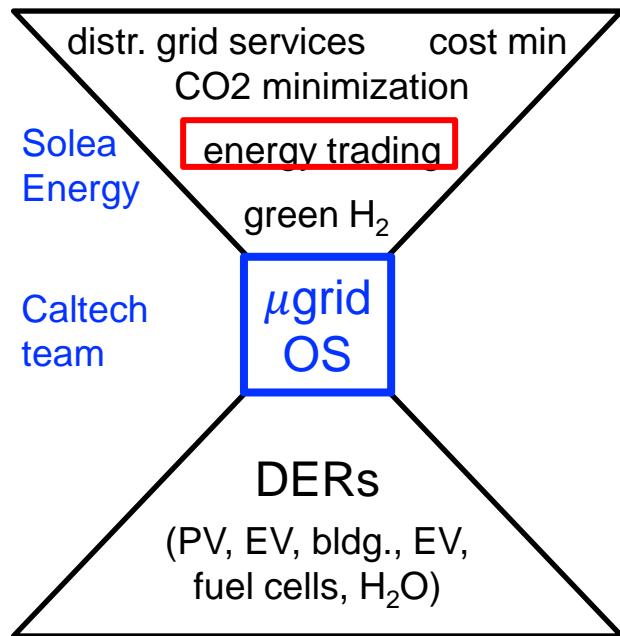
- Energy needs of ~5,000 population correspond to ~20,000 people (CA), peak (electric): 20MW [Caltech Facilities, 2021]
- Stanford: 30K population correspond to 33,000 households (CA); peak (integrated energy system): 40MW [de Chalendar et al, 2019]
- More technical challenges to overcome
- Invaluable live testbed for R&D and validation

Caltech system is representative of large campuses

- With district heating and cooling systems (more popular in EU, China, Russia, Japan)
- e.g., Stanford, PNNL (both pursuing campus decarbonization)
- Stanford's integrated system: first-of-a-kind [de Chalendar et al, 2019]



Example path



We need to develop interfaces

- With Facilities: DER
- With Solea Energy: trading

Warehouses

- Consumes 6 kWh/sqft-year, but can generate 90 kWh/sqft-year of PV
- US has 10B sqft of warehouse space
- Can generate 100 GW PV (~10% of total 1TW of US rooftop PV capacity)
- \$6B/year annual electricity cost
- \$150B microgrid infrastructure market (\$15M / 1M sqft warehouse)

Value proposition

- DER opt technology can save 10% of annual electricity cost (\$600M/year)
- ... and 2% of capital cost (\$3B)
- Emission reduction by 80-100%