

Decarbonize Energy Systems

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Caltech

NSF Workshop April 2023



Outline

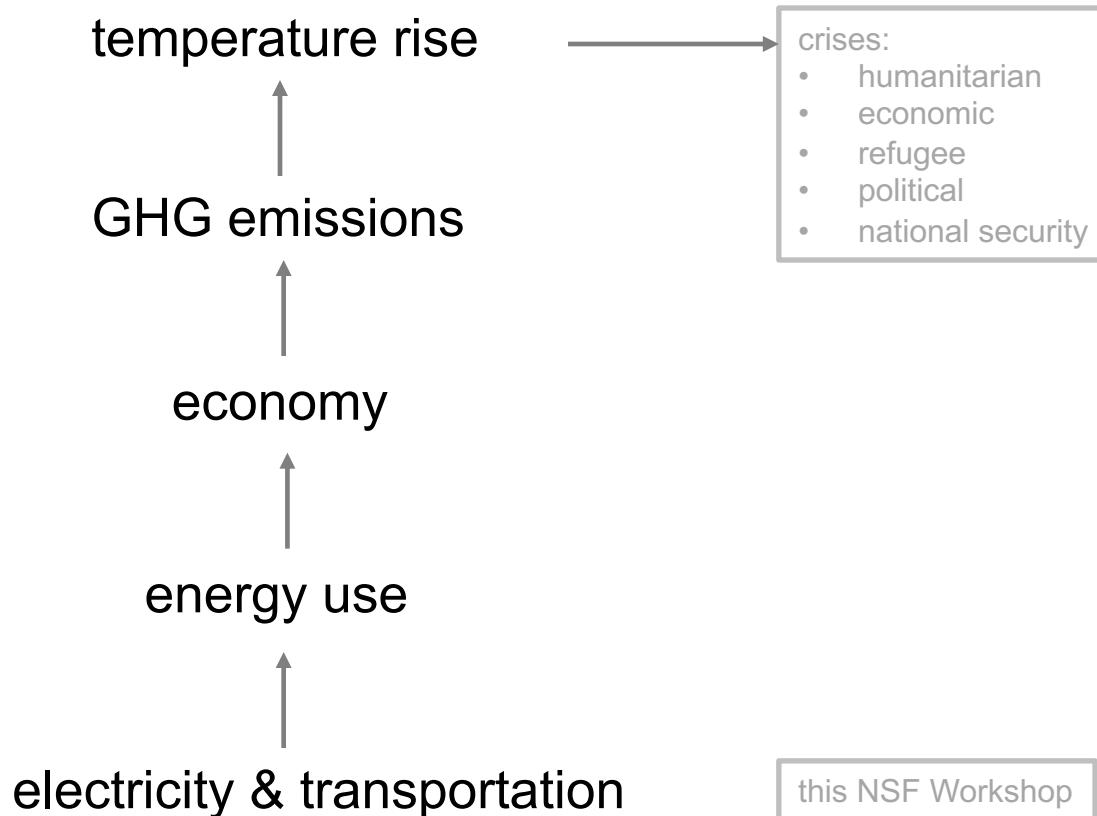
Trends and challenges (15)

Some experiences

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



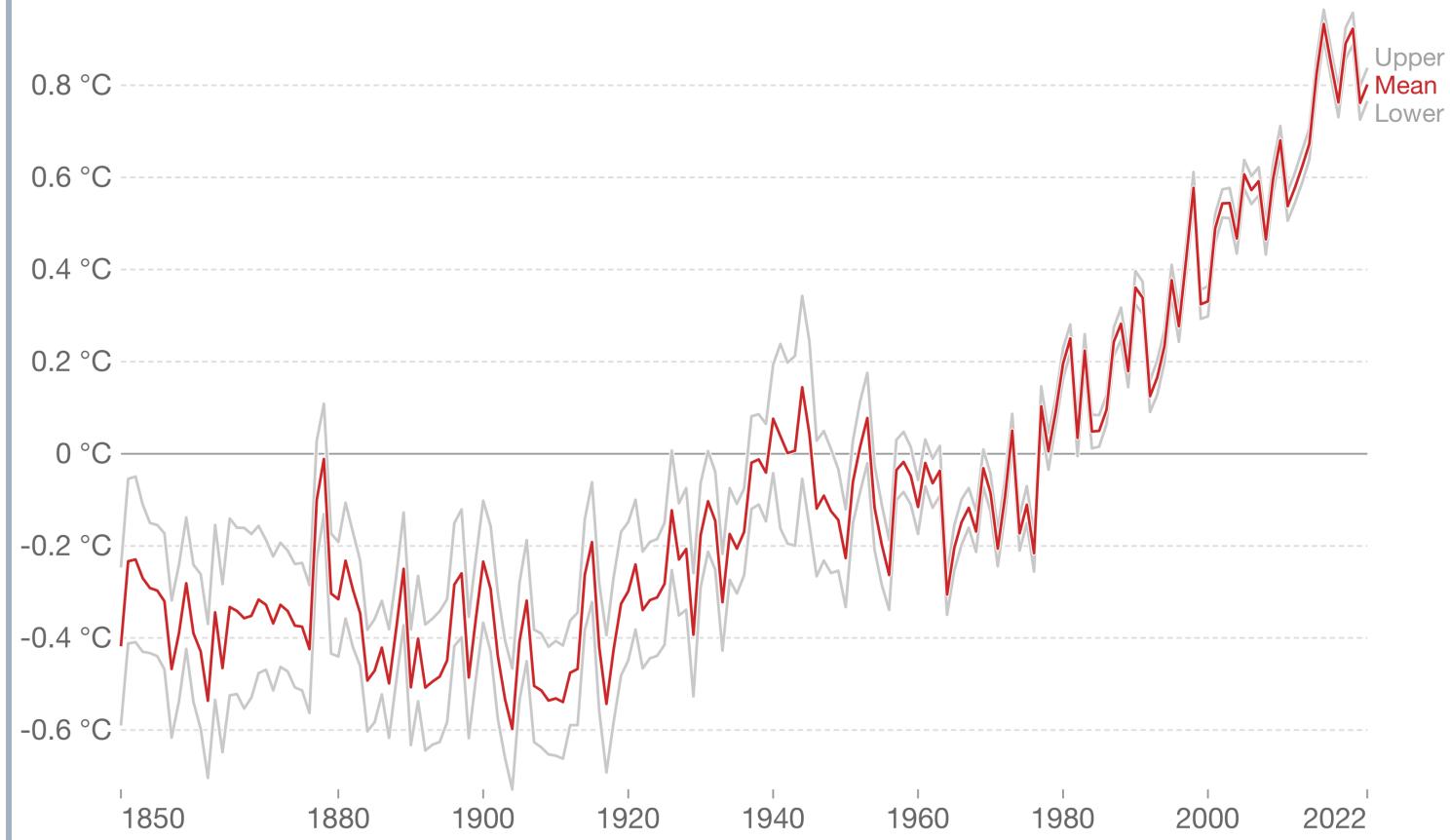
Why this workshop





Average temperature

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

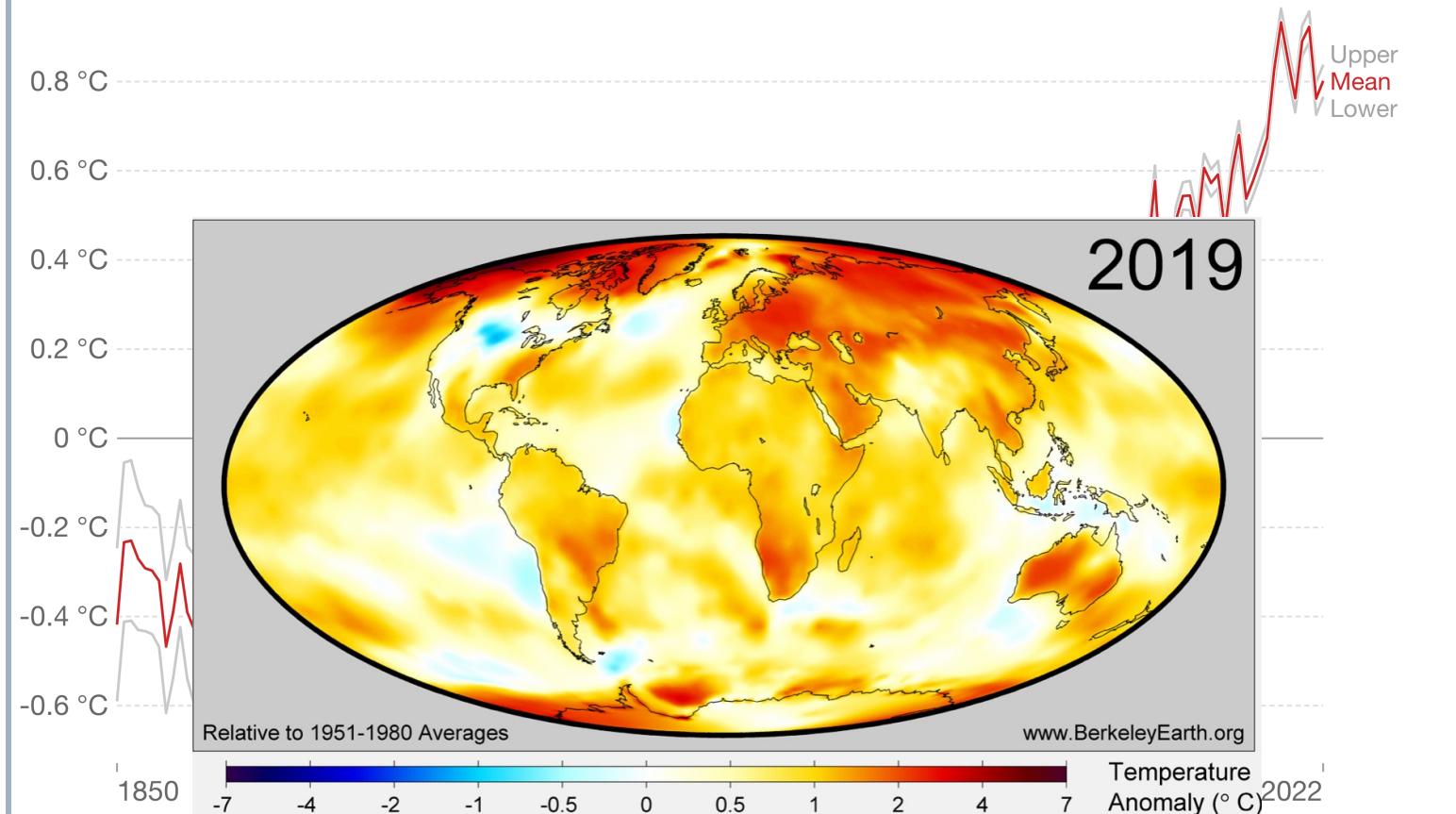


Global average temp has increased by >1C since pre-industrial time



Average temperature

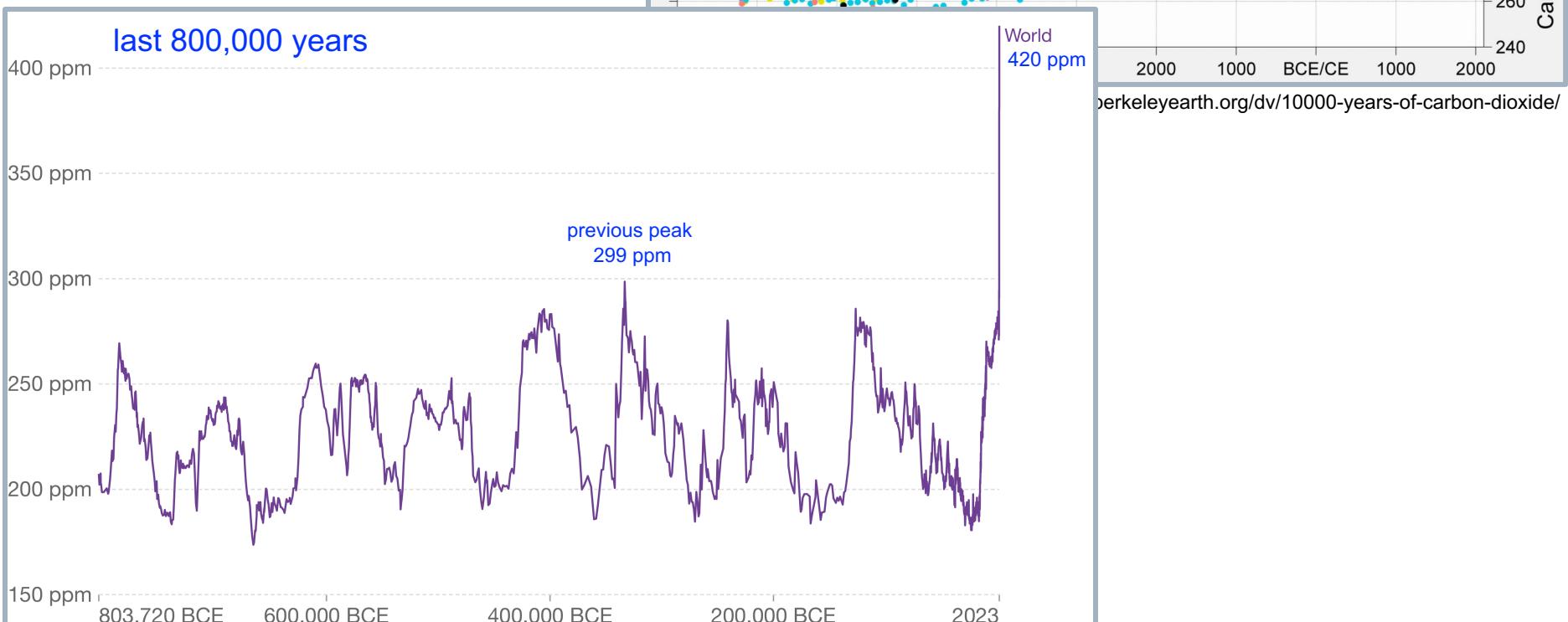
Global average land-sea temperature anomaly relative to the 1961-1990 average temperature.



Local temperature can be much warmer than global average

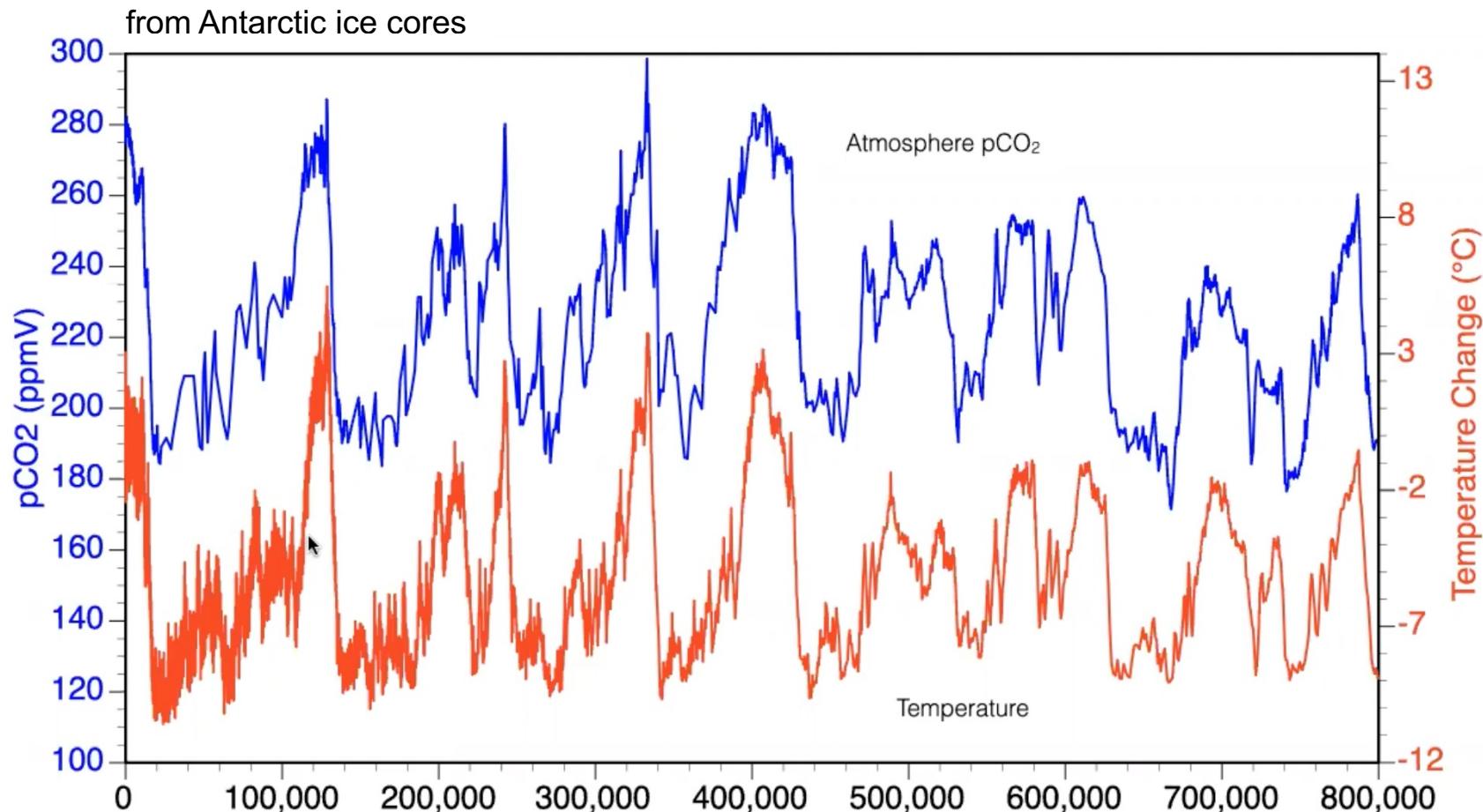


Atmospheric CO₂



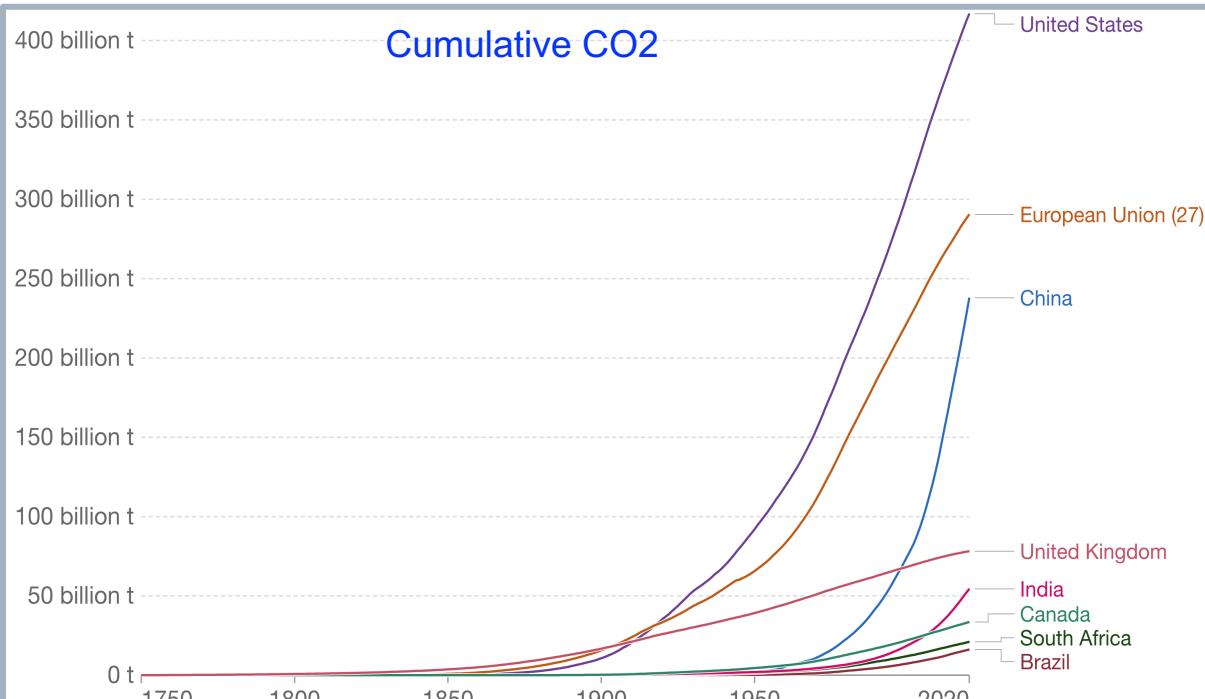


CO₂ and temperature

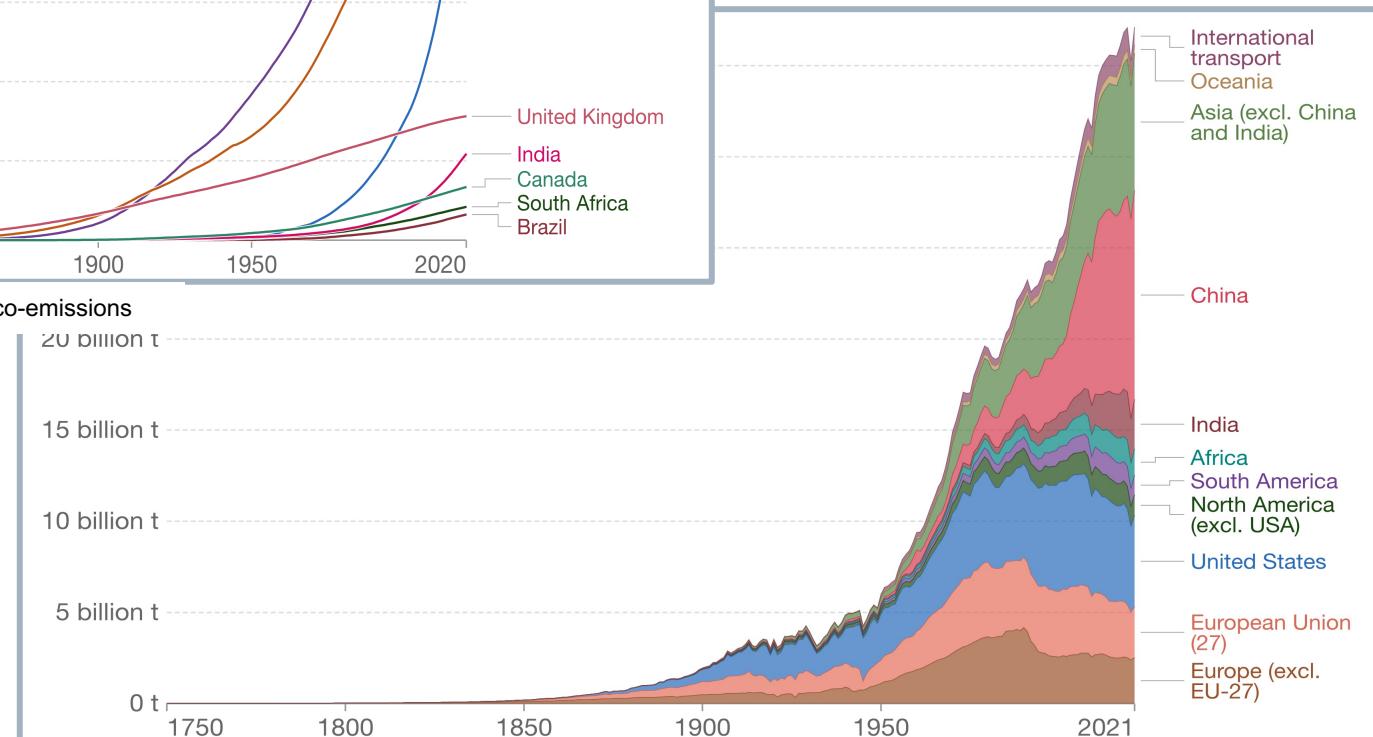




CO₂ emissions



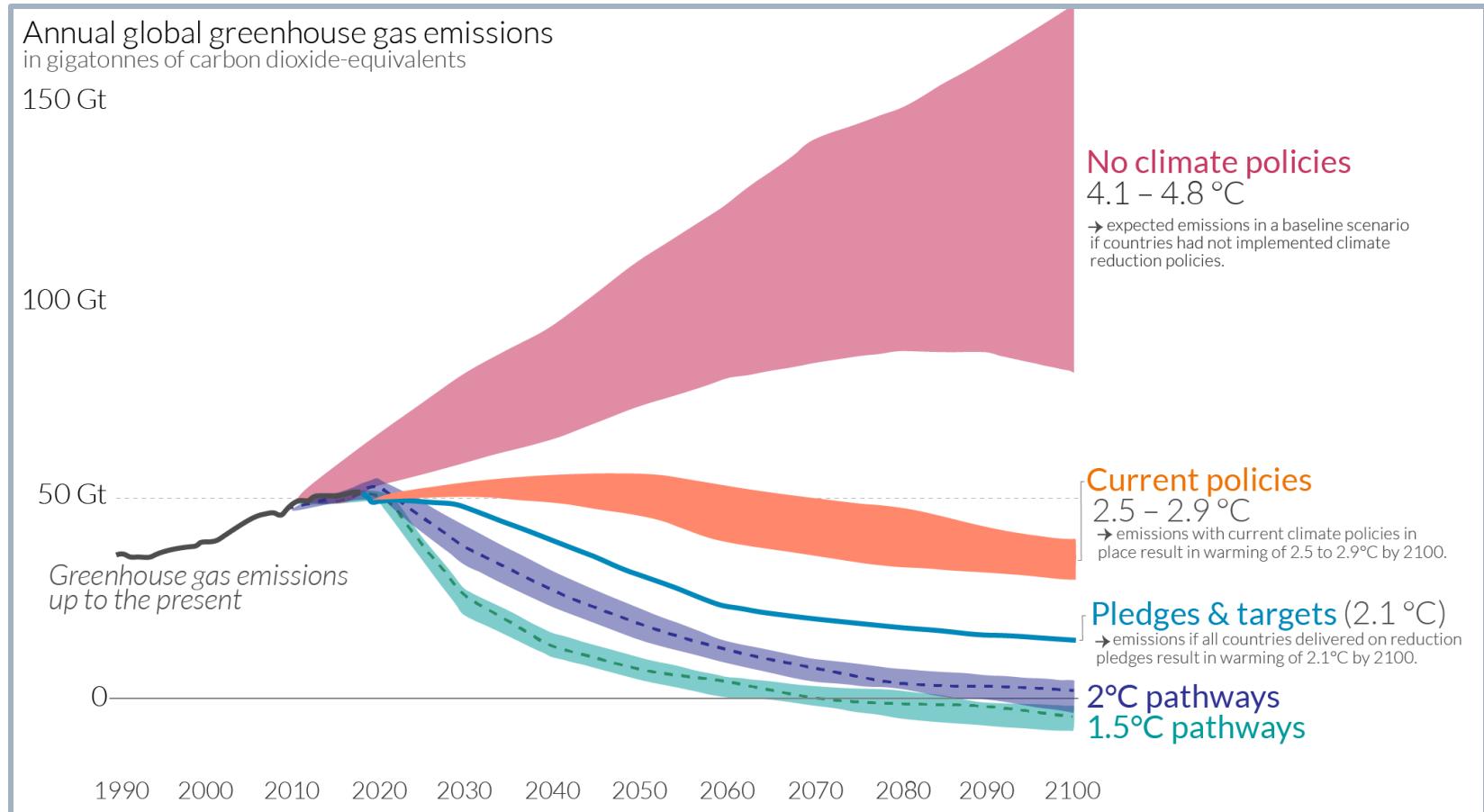
<https://ourworldindata.org/grapher/cumulative-co2-emissions>



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

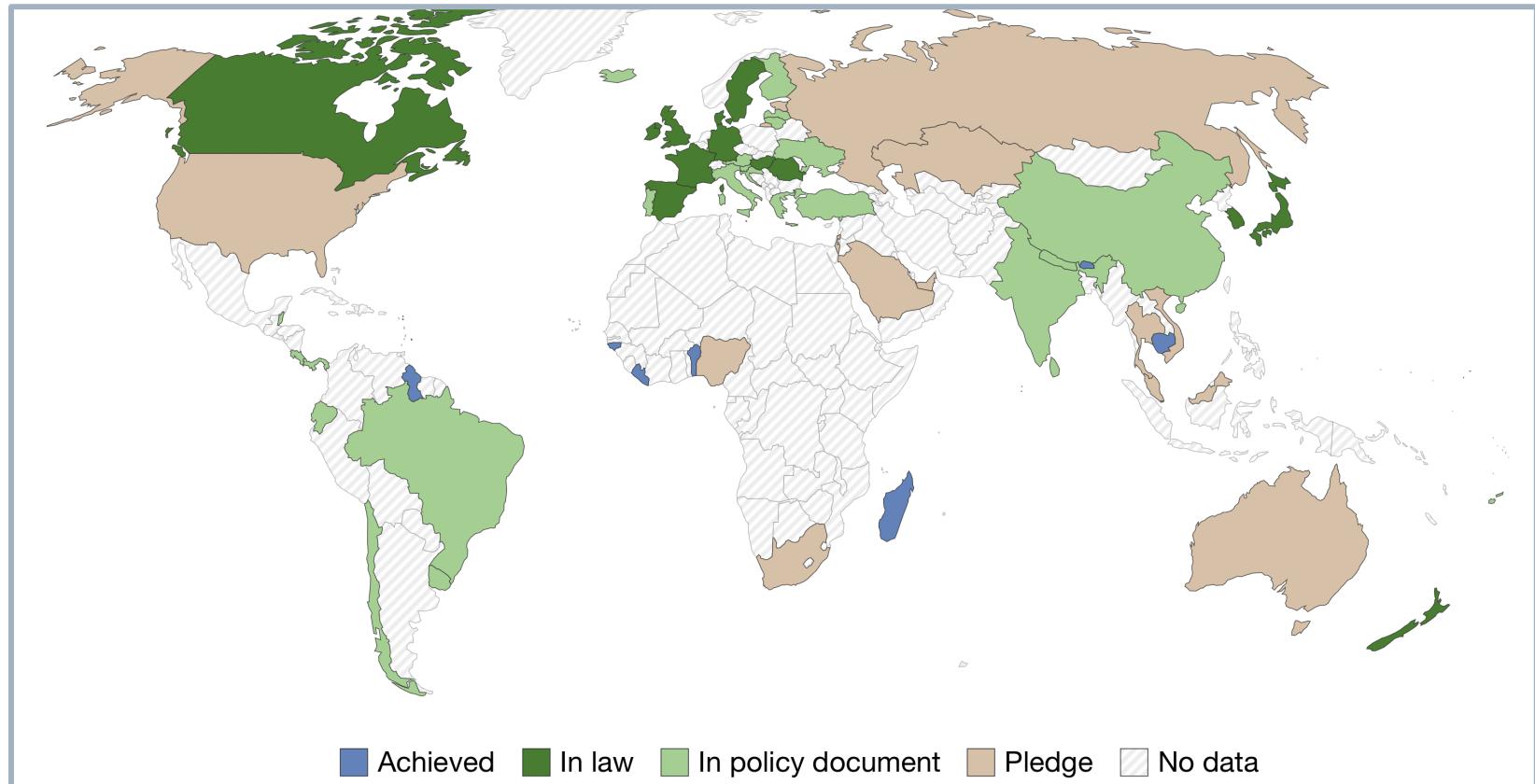


GHG pathways





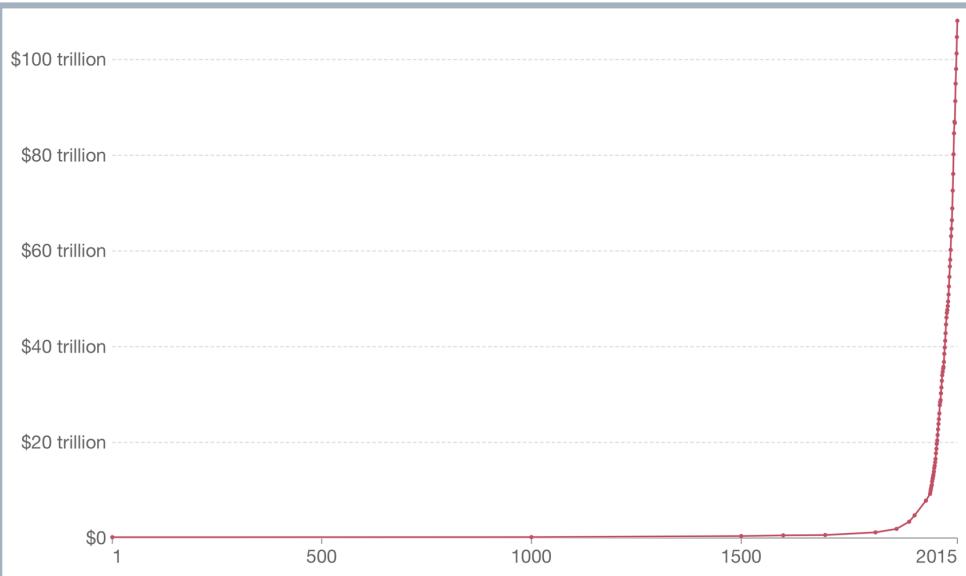
Net zero GHG pledges



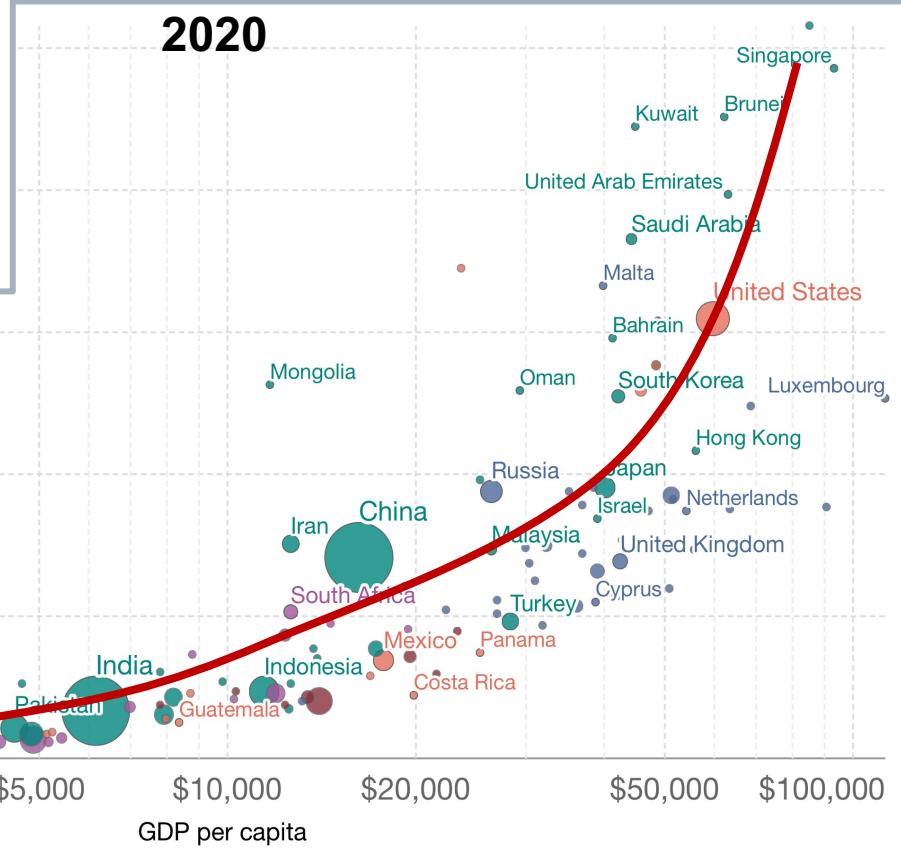
% coverage of net zero GHG pledges (Oxford 2022)
(2019: coverage = 16% GDP)



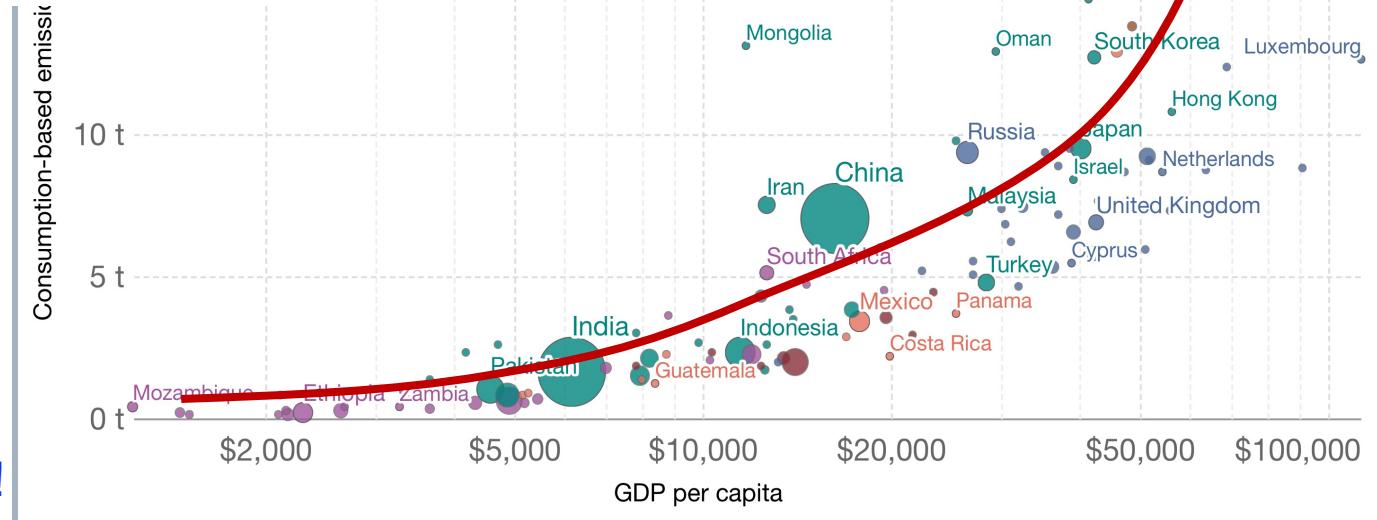
CO₂ and GDP



<https://ourworldindata.org/grapher/world-gdp-over-the-last-two-millennia>



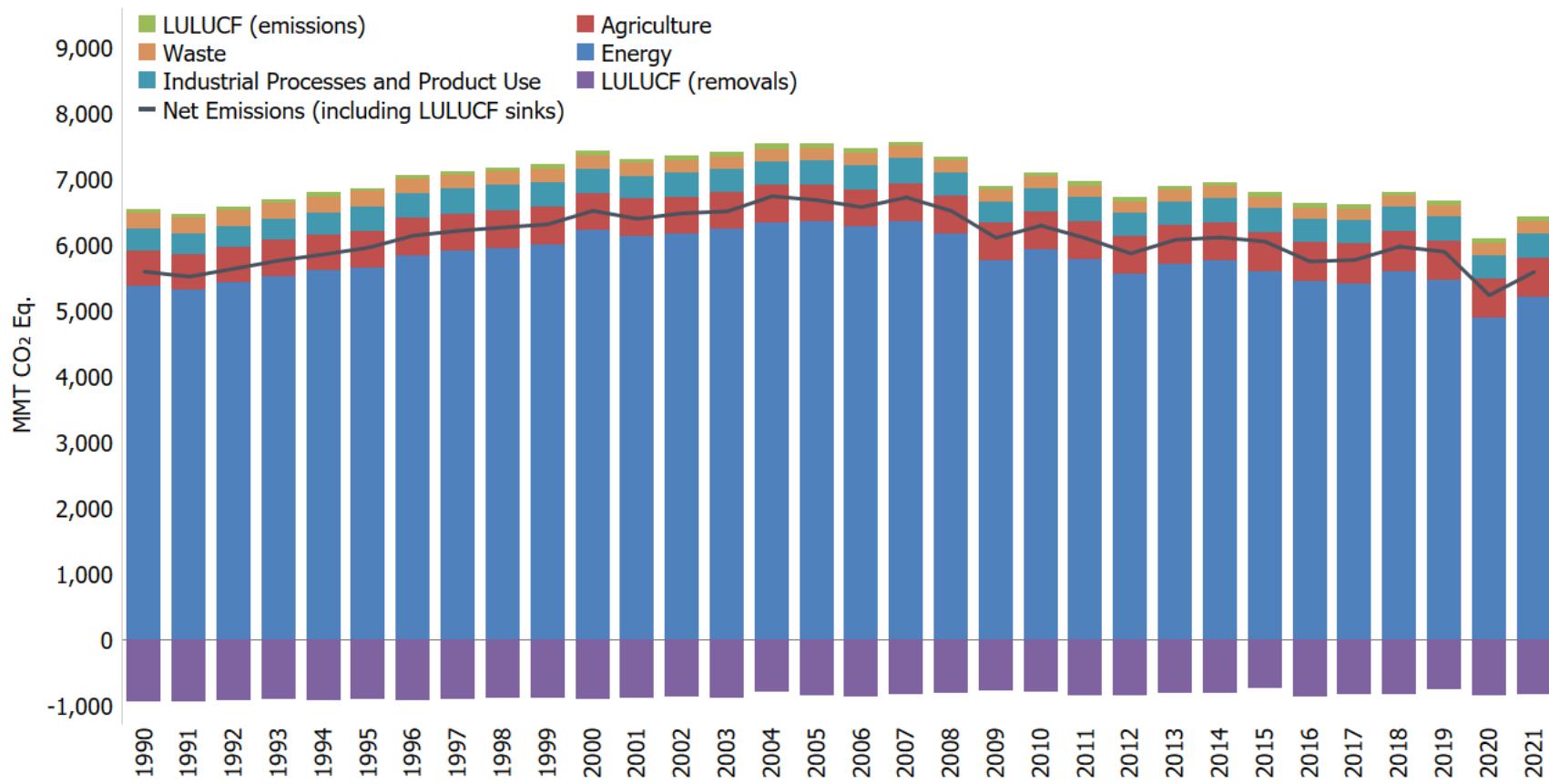
x-axis is not time:
energy inequality !



<https://ourworldindata.org/grapher/consumption-co2-per-capita-vs-gdppc>



GHG and energy use

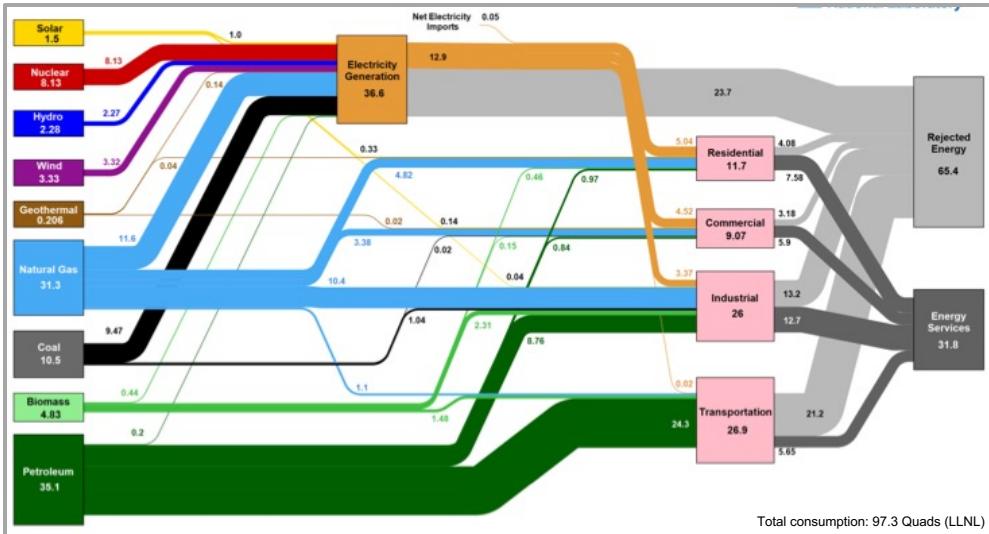


Energy use emitted 82% of total greenhouse gas emissions in US in 2021 (EPA)



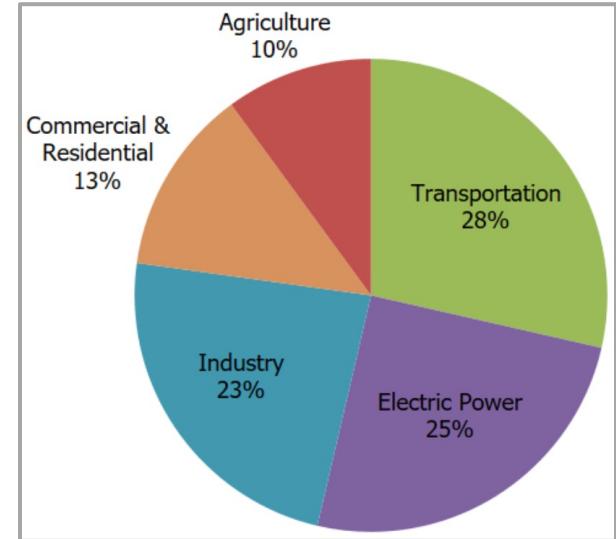
Electricity gen & transportation

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>



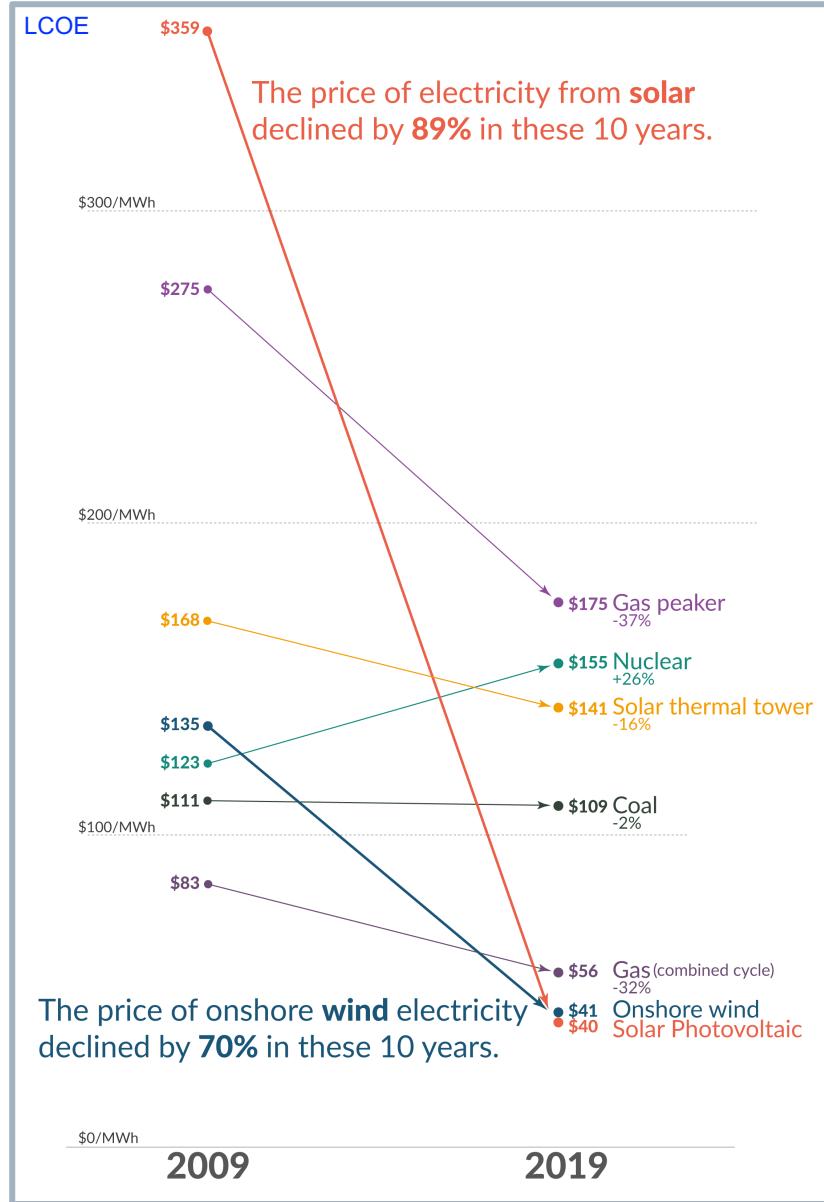
Electricity generation & transportation in US:

- 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% !



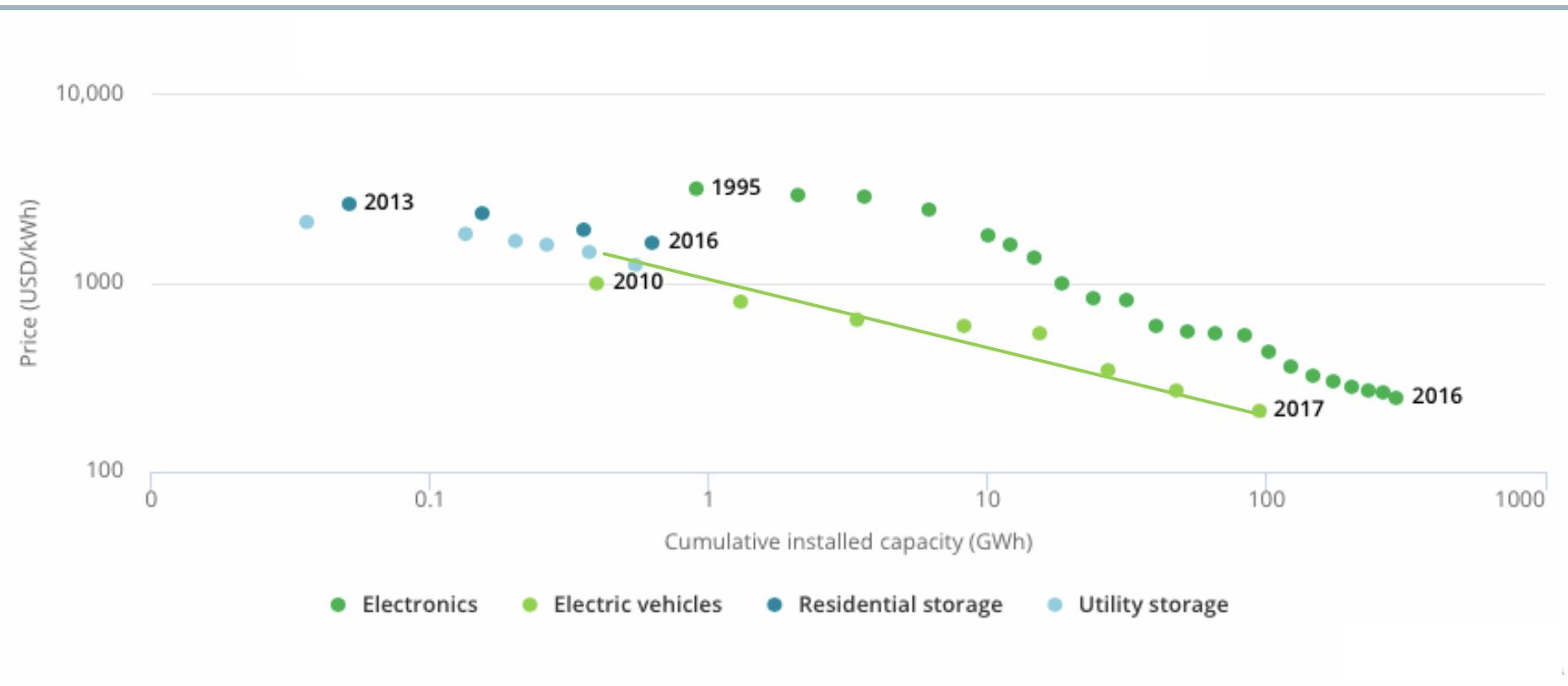
Electricity cost



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 technical challenges

Numerous research needs/opportunities

- Many experts in this NSF Workshop !



Some technical 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

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

Architecture

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



A policy challenge

1. Infrastructure challenge
 - Can necessary infrastructure be built in time for net zero by 2050?
2. Equitable development challenge
 - Can inequity be overcome while transition at the necessary speed?

Two most important determining factors

- Political system and political culture
- Economic system and economic culture
- Technology is the easy part

Political & economic systems

- Authoritarian, central planning; e.g. China (central planning+market)
- Democratic, market based; e.g. US
- Convex combinations; e.g. Nordic countries

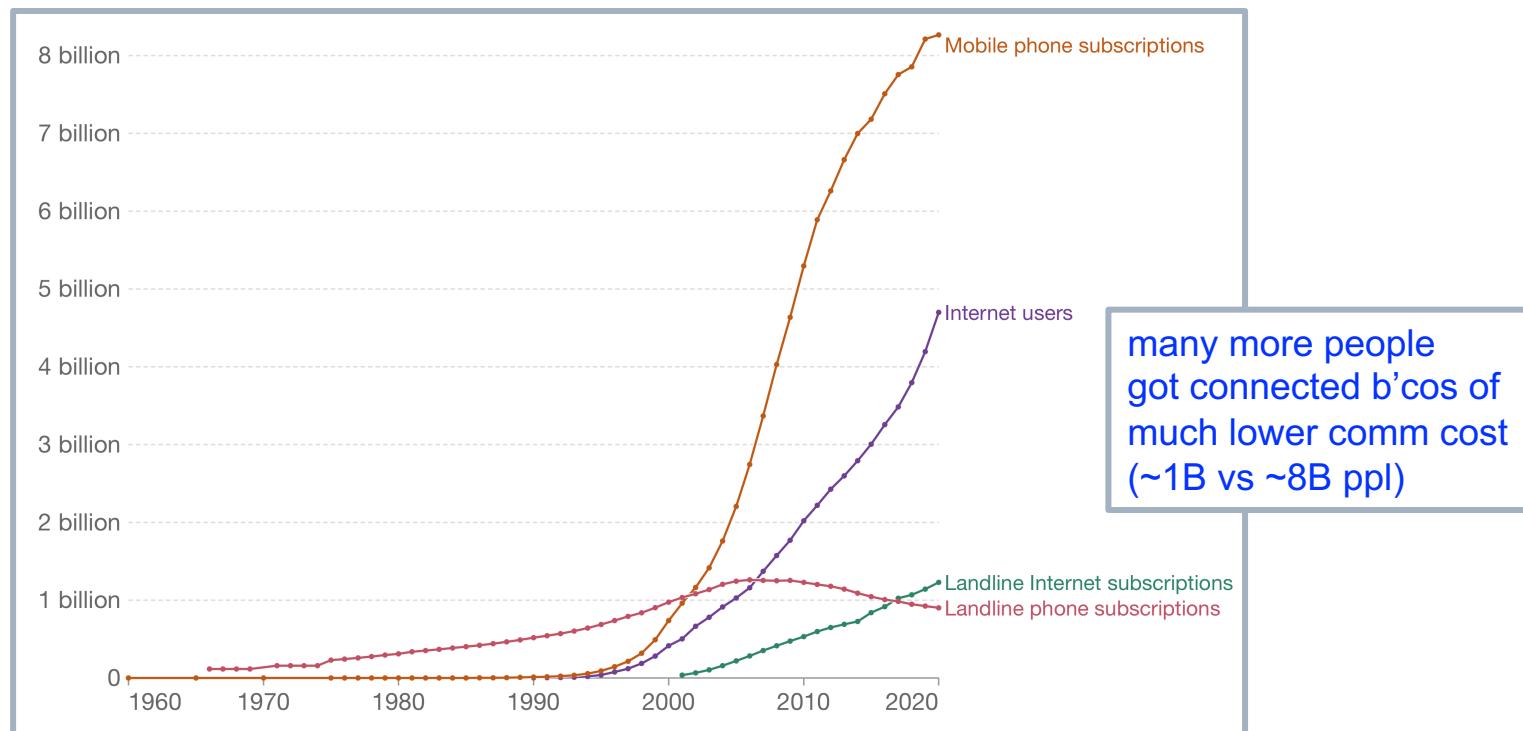
Are there examples of transformation of similar scale and speed? Yes!



Example 1: Internet

Telephony → Internet: US

- Communication network transformed from telephony to Internet over 2-3 decades from 1990s
- Centered in Silicon Valley and spread across the globe
- ... with implications way beyond communications, & changing multiple industries
- Driven almost entirely by private sector





Example 1: Internet

New platform for communication (& innovation)

- Cheaper, better, faster communication

Transformation has been very **profitable**

- Both transfer from and growth of existing markets, e.g., telephone services, advertisements, retail
- New markets: video conferencing/sales/services/education, etc.

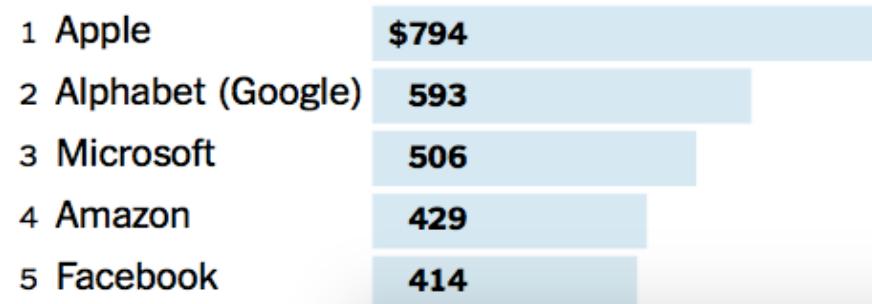
Challenge: for market to drive energy transition

- Are there large existing markets for transfer (besides ICE cars)?
- Will large profitable markets be created?

The five largest companies in 2006 ...

1 Exxon Mobil	\$540 BILLION MARKET CAP
2 General Electric	463
3 Microsoft	355
4 Citigroup	331
5 Bank of America	290

... and by April 20, 2017





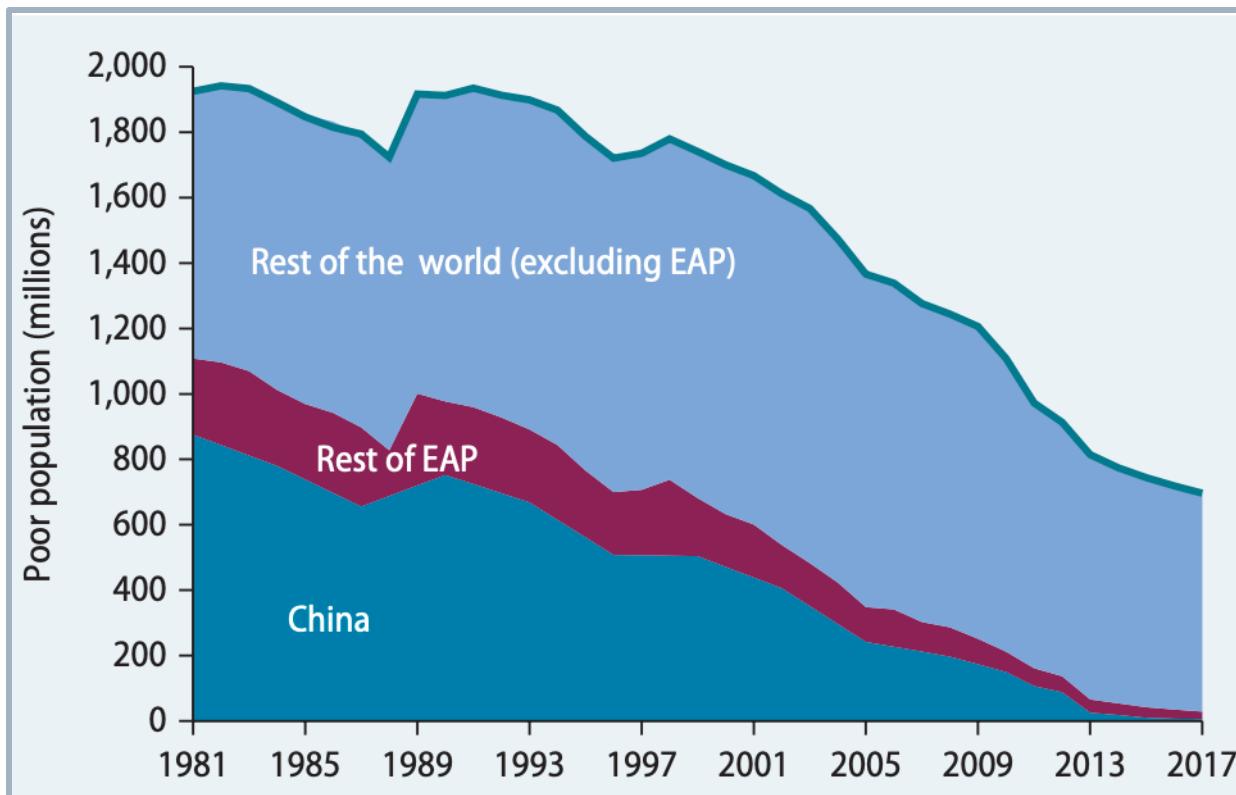
Example 2: Poverty reduction

Extreme poverty reduction: China

- Lifted ~800M people out of extreme poverty since 1981
- Account for almost ¾ of global extreme poverty reduction

Challenge: for equitable development

- Can we combine, or balance, the strengths of two extreme points?
- e.g. protection of minority vs benefits to majority



Int'l poverty line:
US\$1.9/person-day
(2011 PPP)
(EAP = East Asia & Pacific)



Outline

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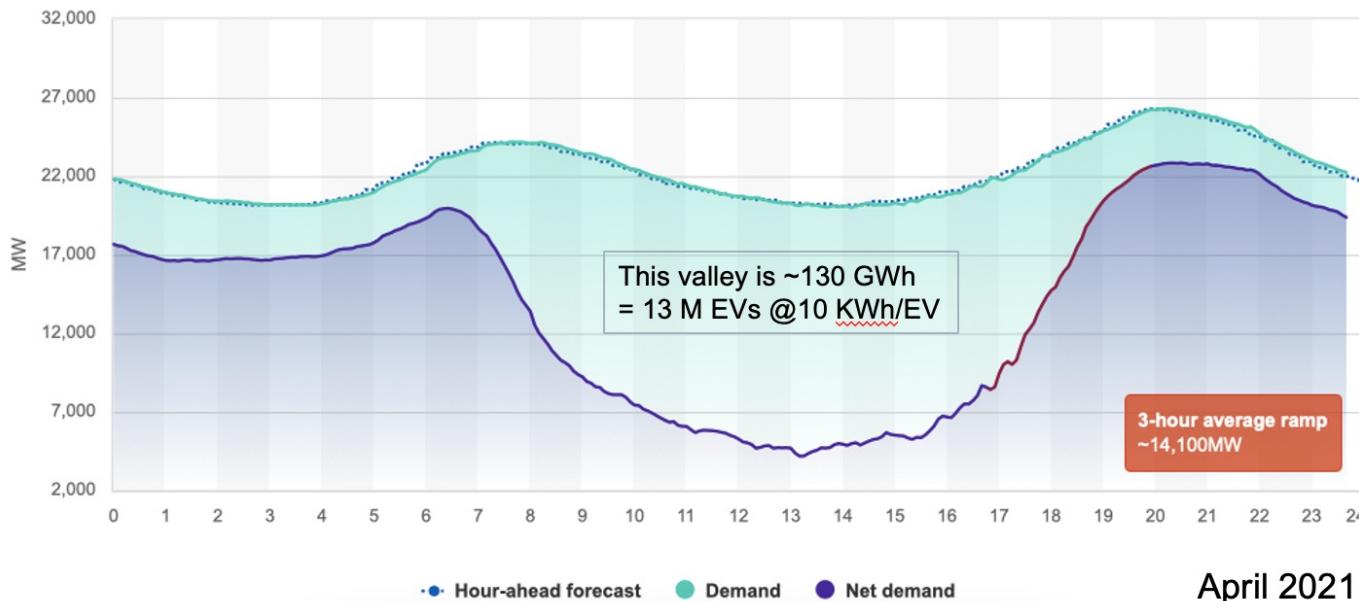
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Workplace charging

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)

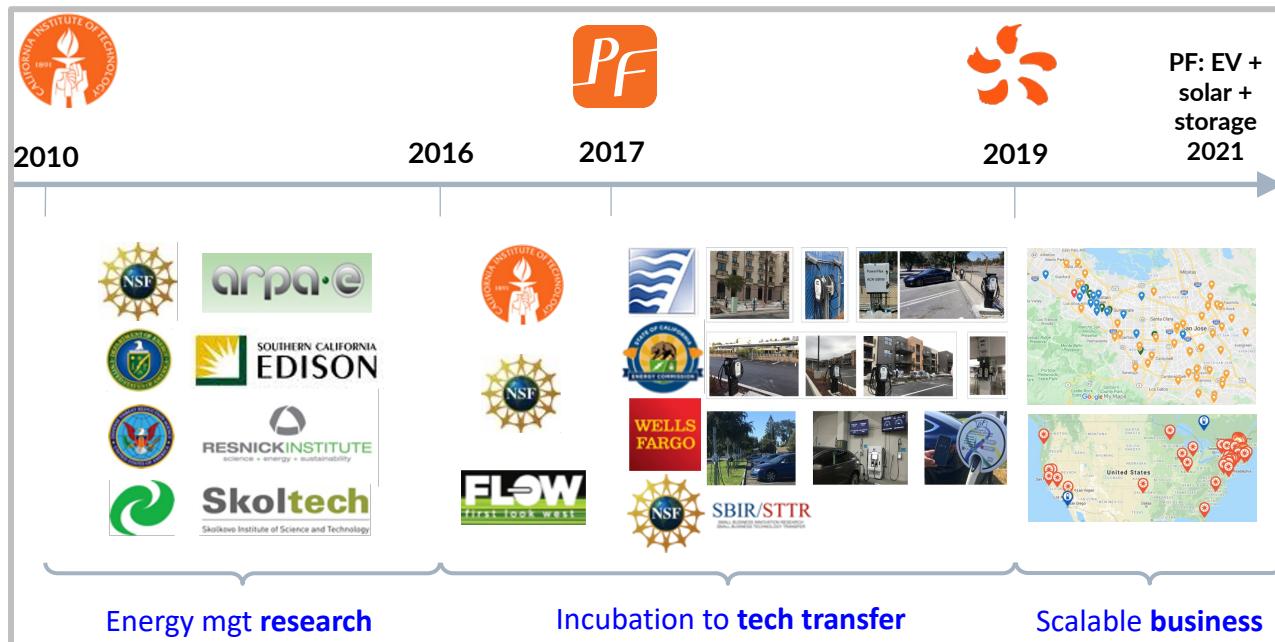
Nonconvex optimization, control & dynamical systems, distributed real-time algorithms

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



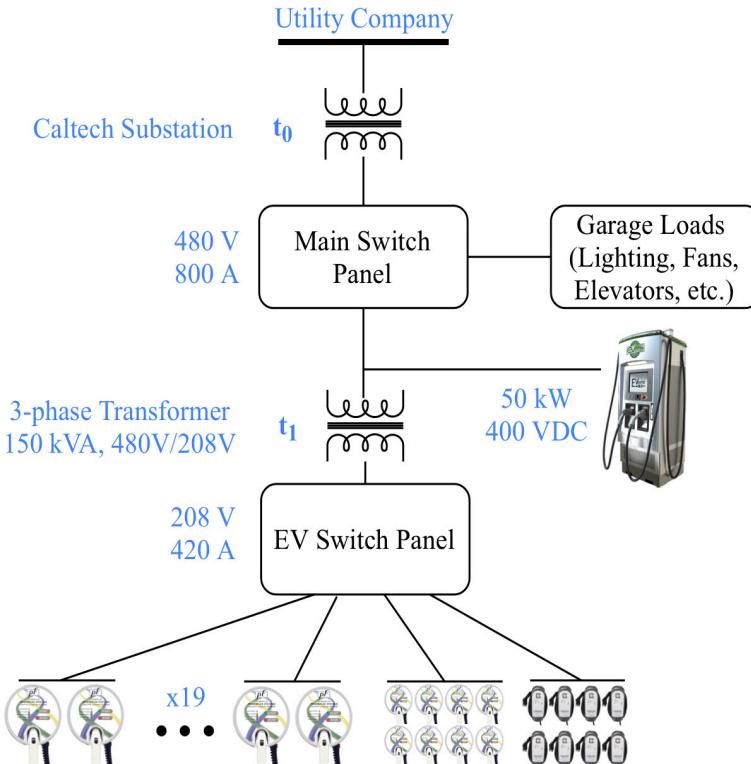
G. Lee (Co-founder)



The image is a horizontal collage of logos and names from various organizations. It includes: Municipal (Pasadena City Council, County of Los Angeles, City of San Jose), Real Estate (Cushman & Wakefield, Avison Young, Hines, SUMMERHILL COMMUNITIES), Universities (Wesleyan College, Caltech, UCSF, UC San Diego), OEM (Volkswagen, Audi, Porsche, Ford, GM), Non-profit (Children's Hospital Los Angeles, Natural History Museum, LACMA, Getty, Los Angeles LGBT Center, SLAC, JPL, SAP, 23andMe), Research (NREL), Workplace (Intuit, Adobe), Medium-duty Fleet (DHL, UPS, FedEx), and county departments (LAX, PowerFlex EMS, 100+ Level 2 ports, 40+ DCFC, 3 DCFC, Phase 1, Phase 2, Phase 3).



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

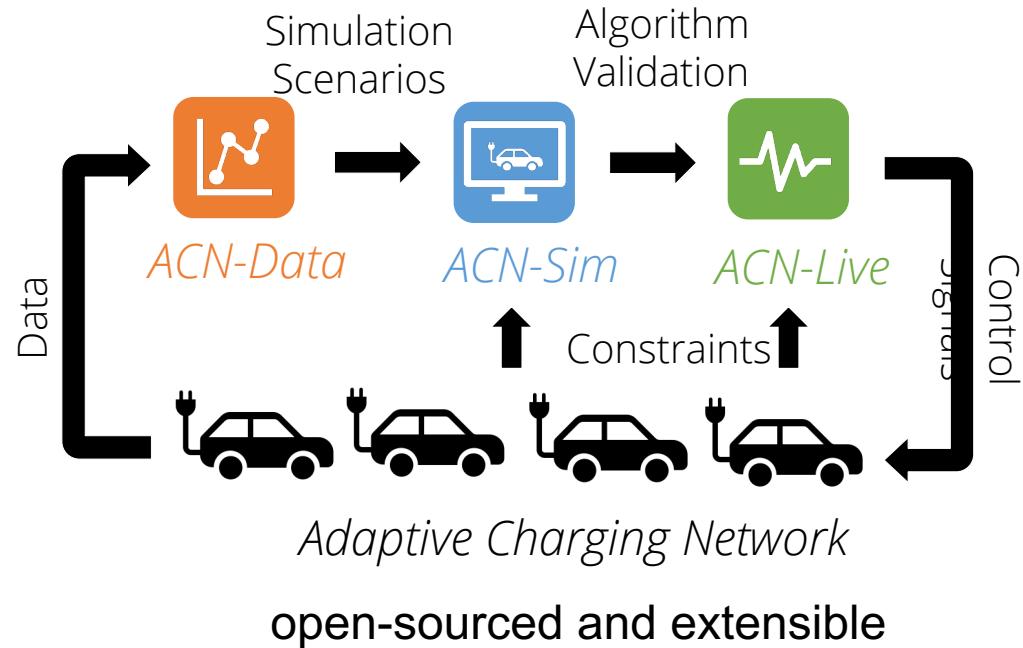
- objectives: cost, PV, asap, regularization
- constraints: energy, deadlines, capacities
- determine charging rates for all EVs





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

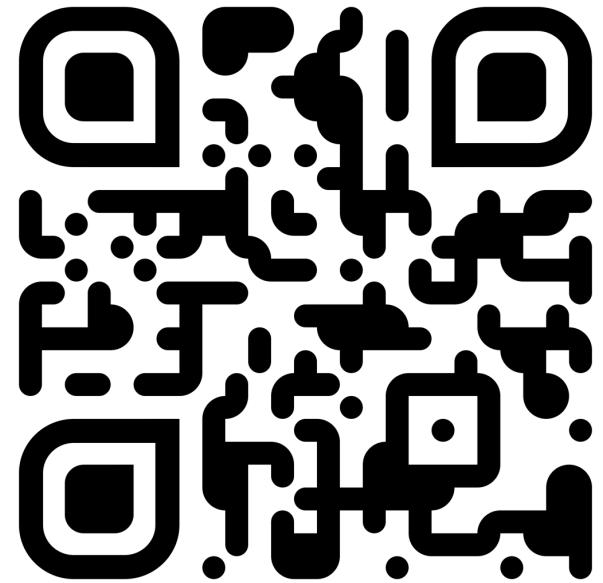
Adaptive Charging Network

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

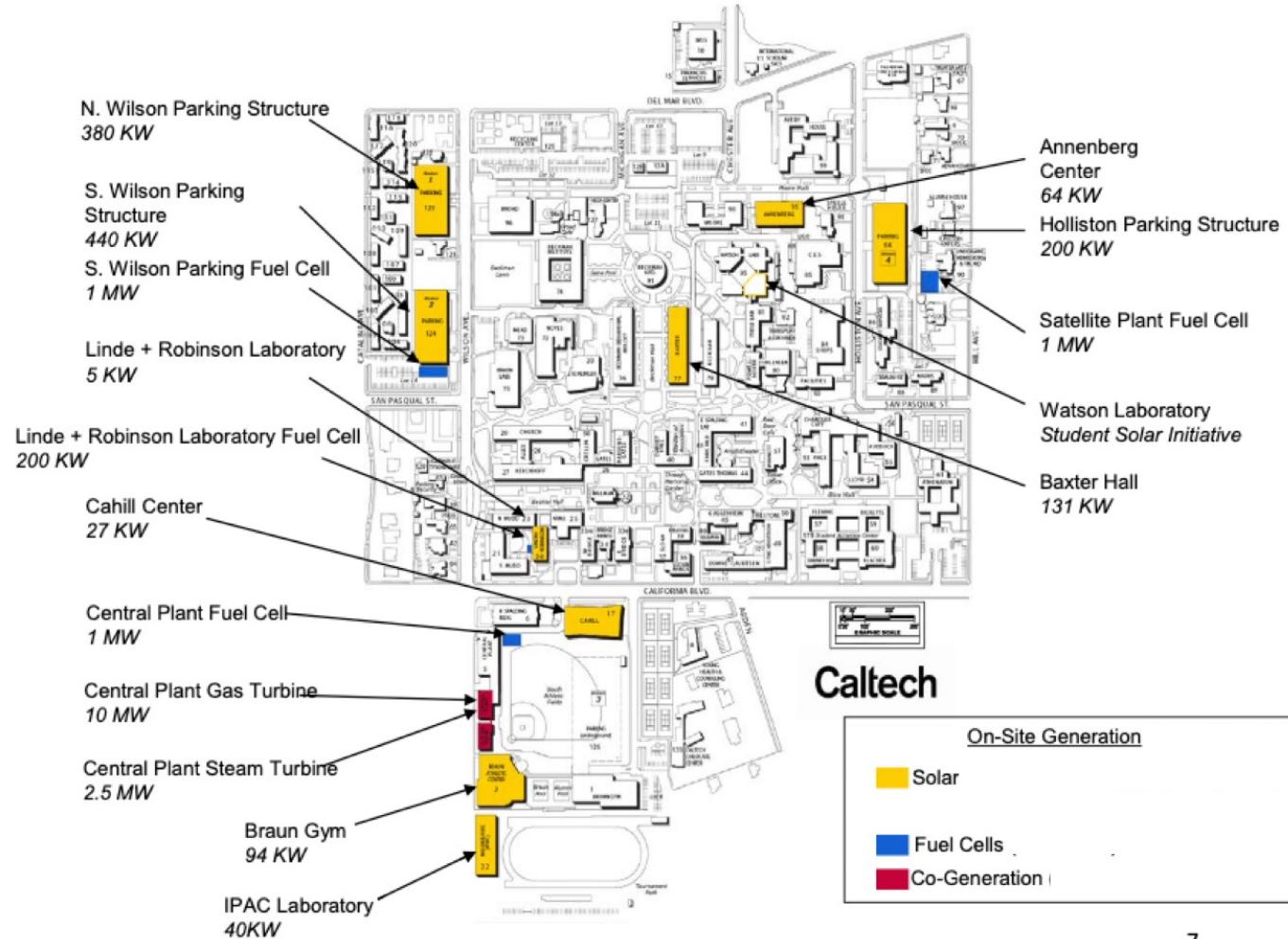
- Large **untapped** value in current system
- Bigger & more complicated system, more expensive infrastructure, more difficult & diverse technical challenges



Caltech energy systems

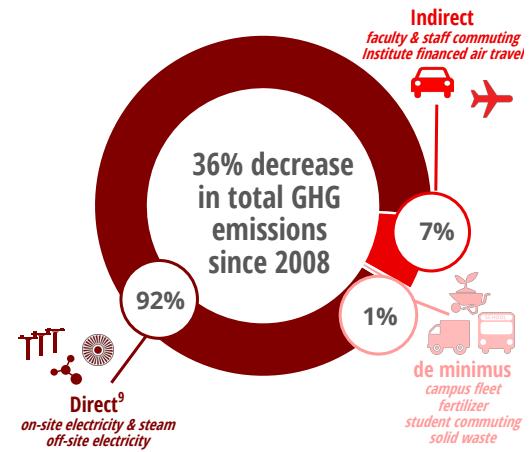
Caltech microgrid

- ~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

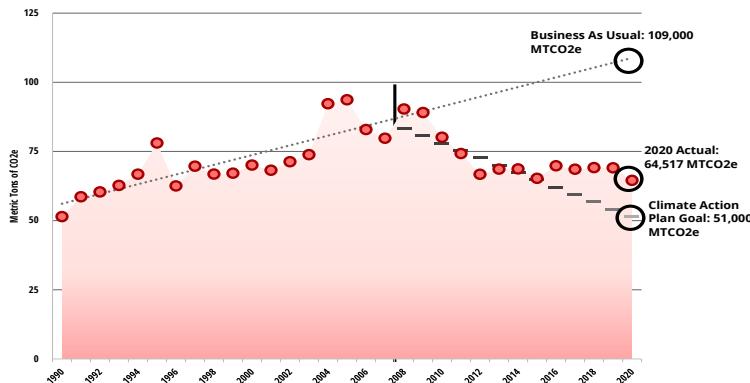




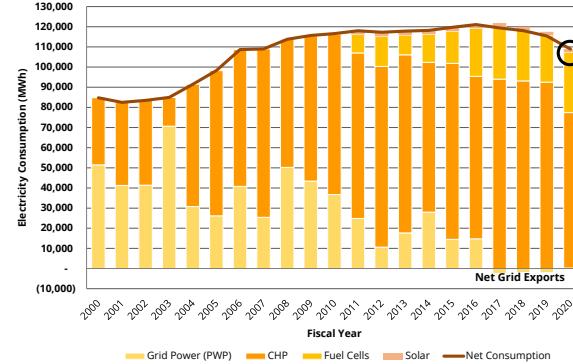
Opportunities



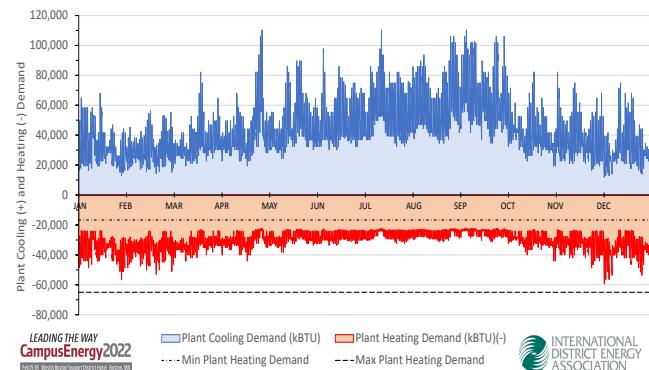
Energy is a 92%-opportunity to reduce GHG



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 DER 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:

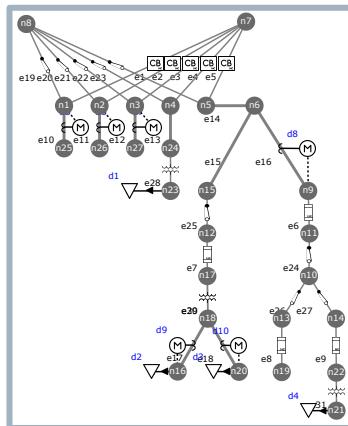
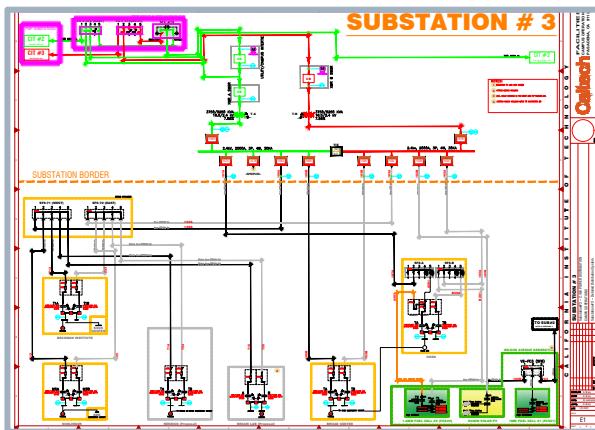
- DER live testbed: PV, building, EV, storage, monitoring system (meters & software)
- Theory & algorithms for learning, control, and optimization of networked DERs
- Software prototypes of some algorithms



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 :

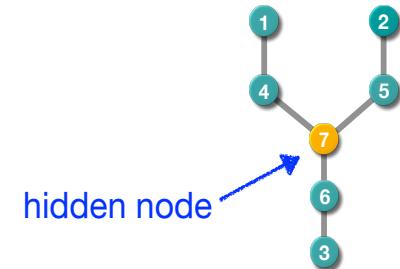
$$\xrightarrow{\text{0 injection at hidden node}} \begin{bmatrix} I_1(t) \\ 0 \end{bmatrix} = \begin{bmatrix} Y_{11} & Y_{12} \\ Y_{21} & Y_{22} \end{bmatrix} \begin{bmatrix} V_1(t) \\ V_2(t) \end{bmatrix}$$

measured nodes
hidden nodes

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

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

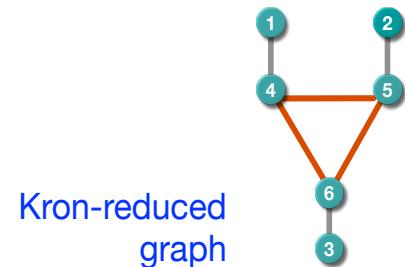
$$\text{with } \bar{Y} := Y_{11} - Y_{12}Y_{22}^{-1}Y_{12}^T$$



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 :

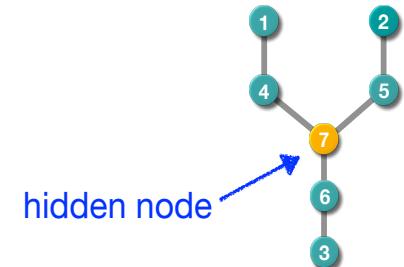
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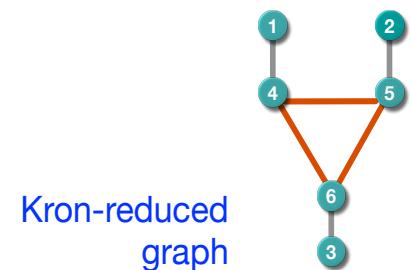
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Can we identify Y from \bar{Y} for radial networks ?





Network identification with hidden nodes

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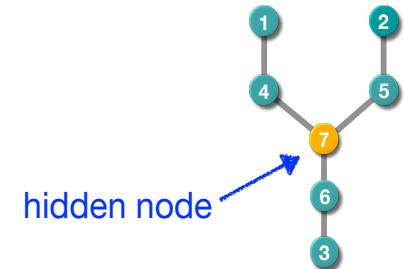
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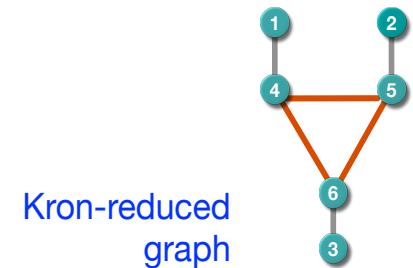
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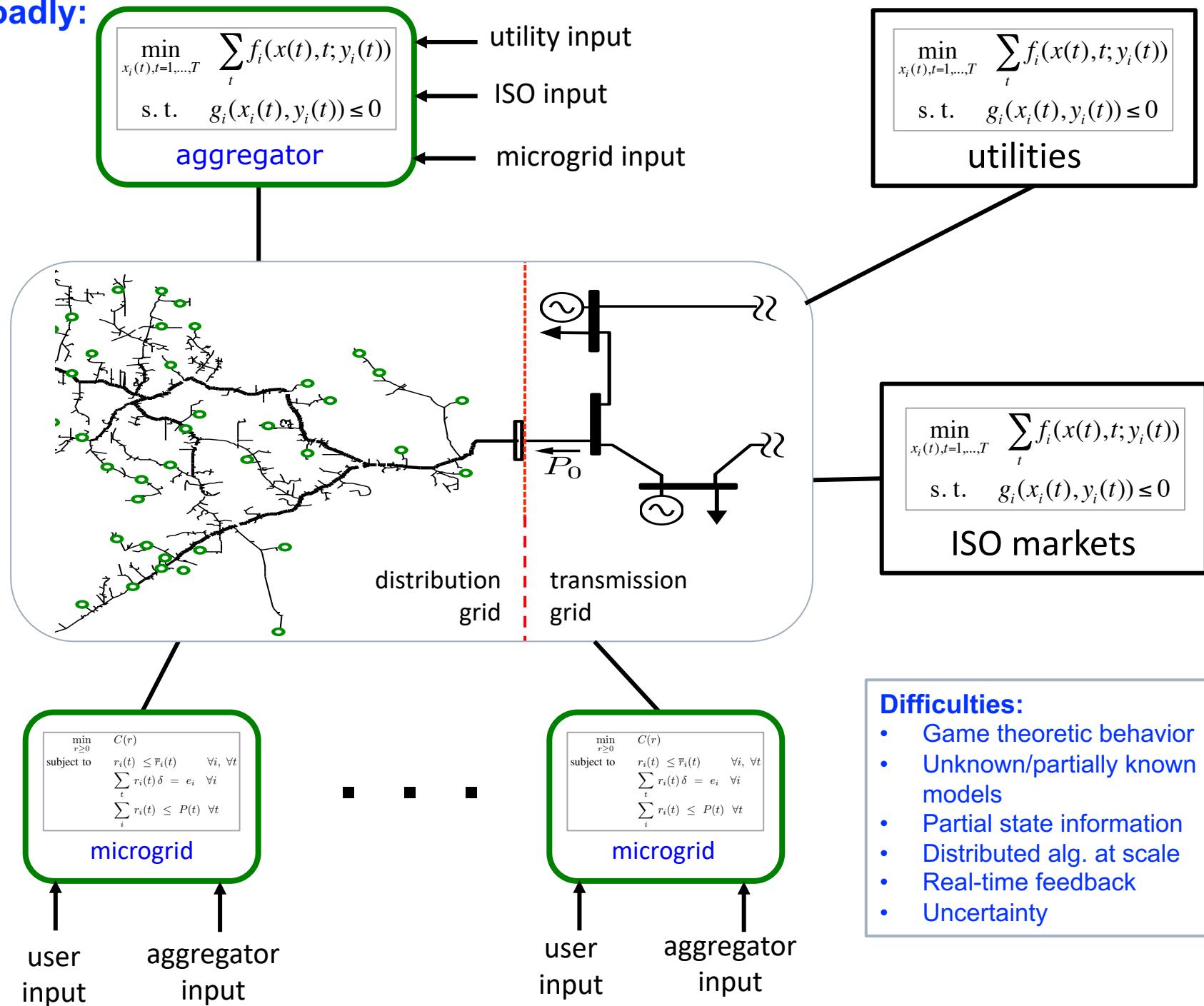
Can we identify Y from \bar{Y} for radial networks ?

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

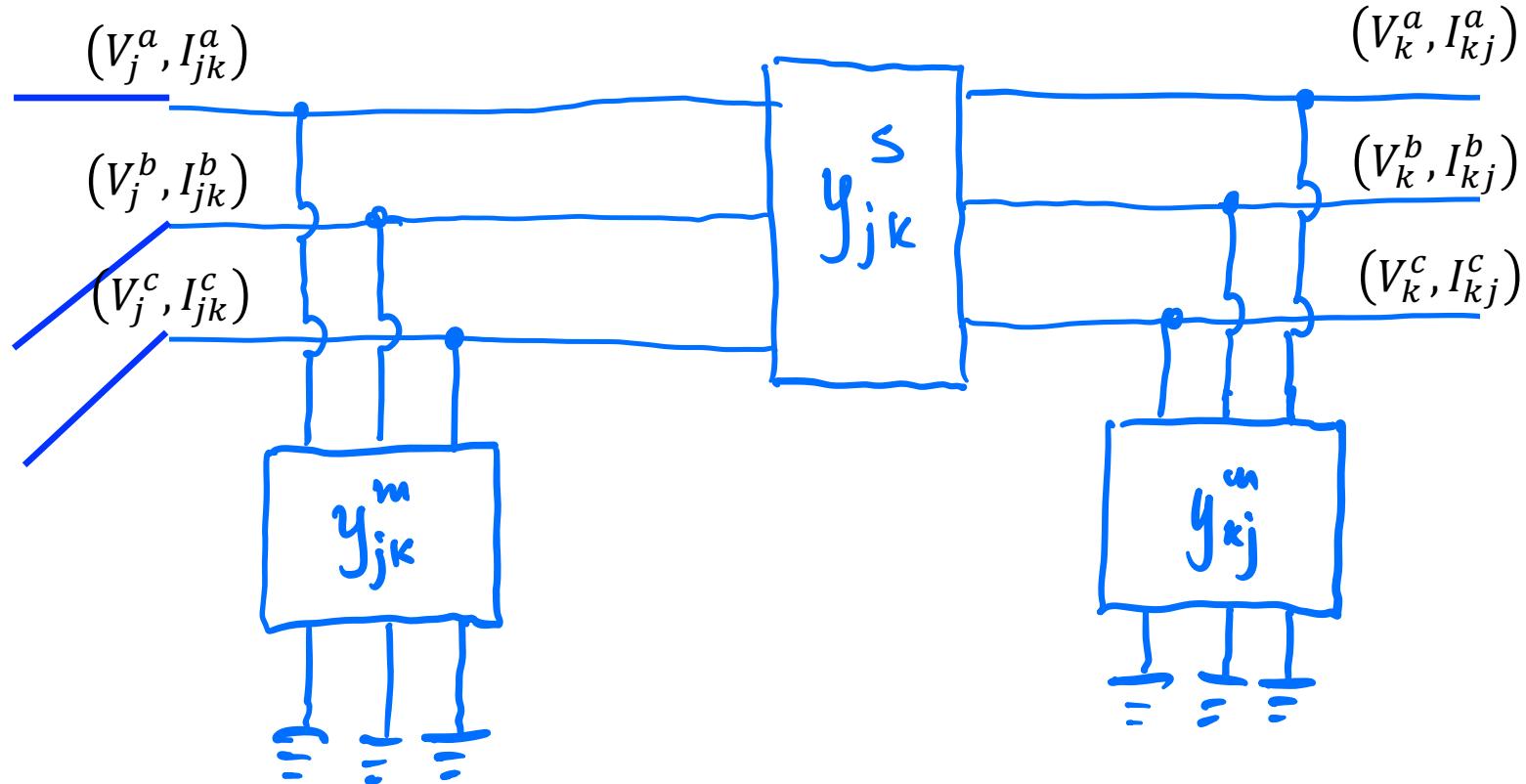
- Transmission system applications
- For illustrating **basic ideas** and analysis of most algorithms (unbalanced 3-phase models structurally similar to 1-phase models)

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



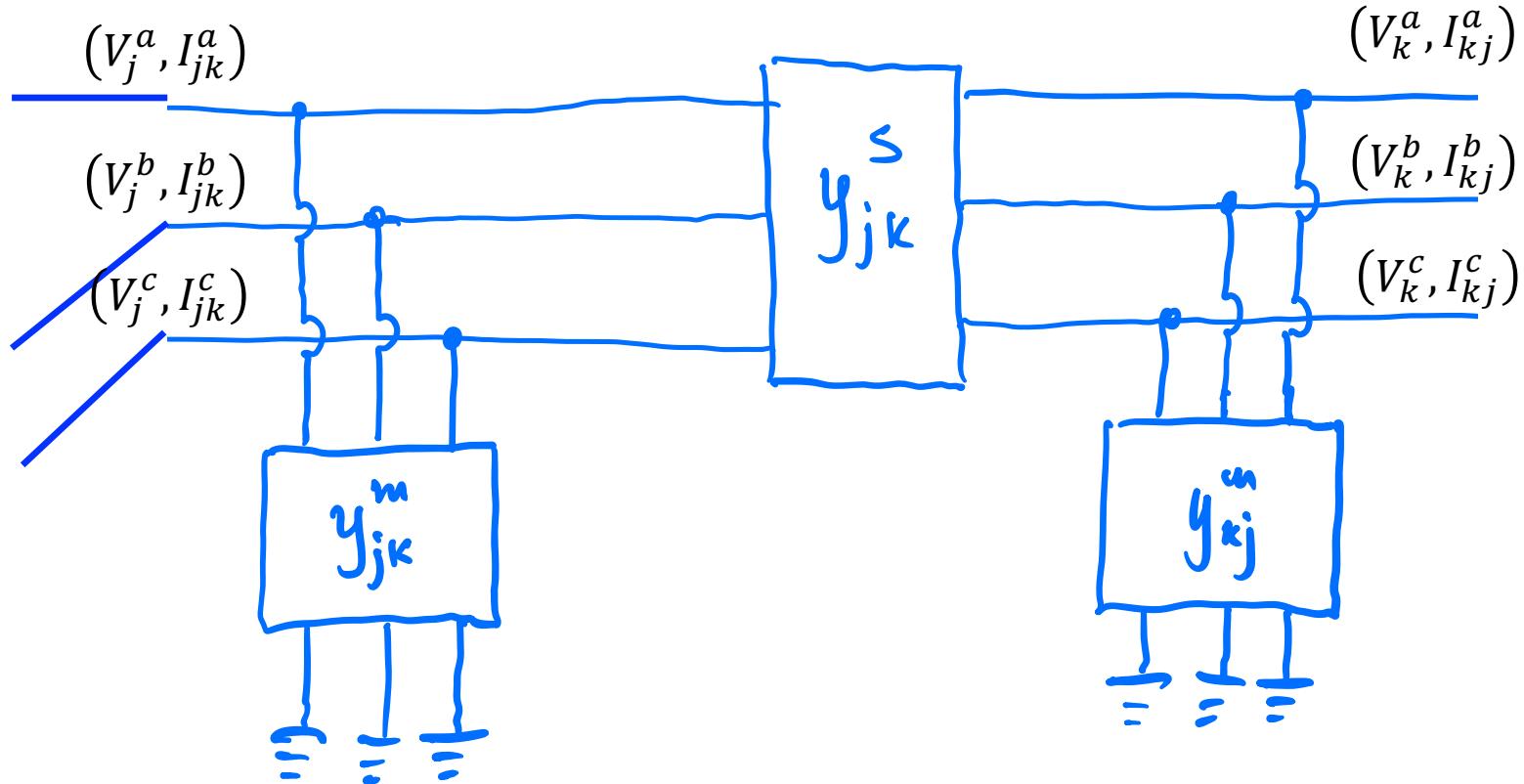
Lessons learnt



- 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



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

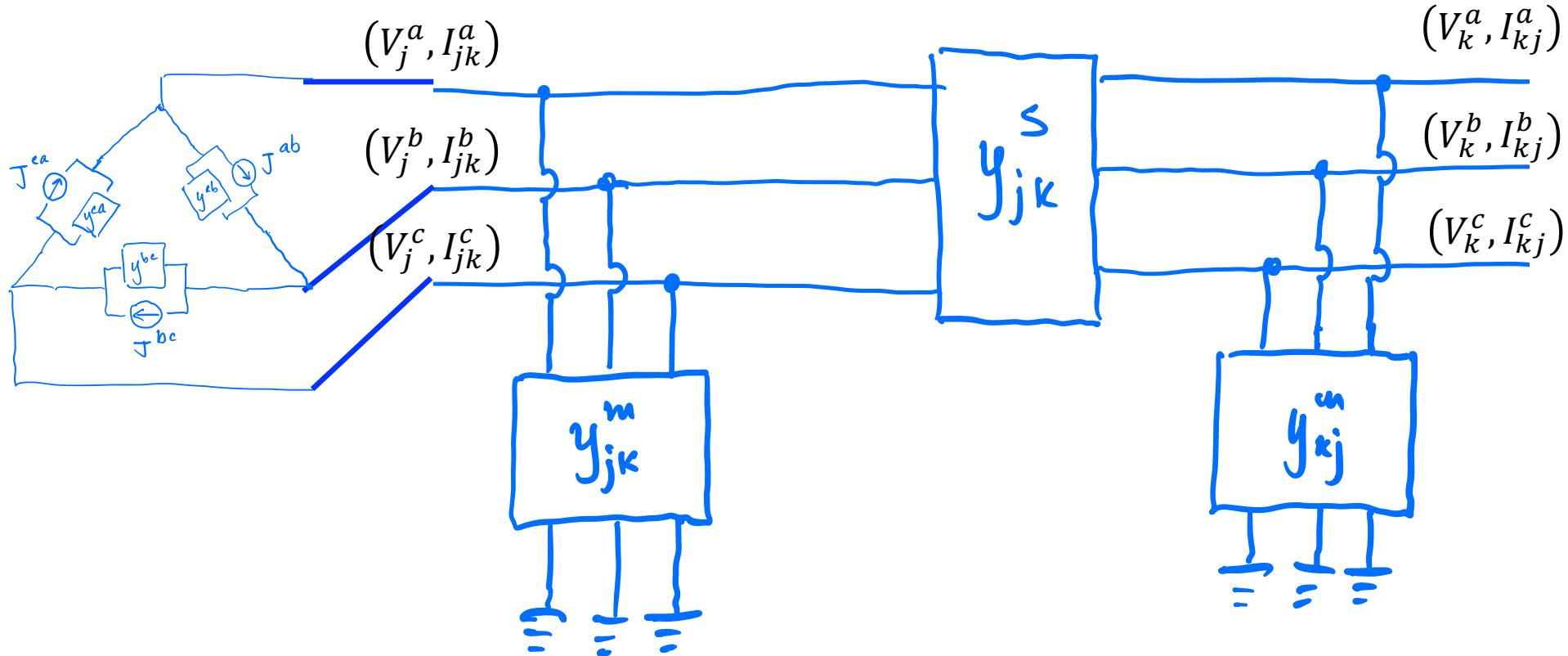
$$I_{kj} = y_{jk}^s (V_k - V_j) + y_{kj}^m V_k$$

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

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



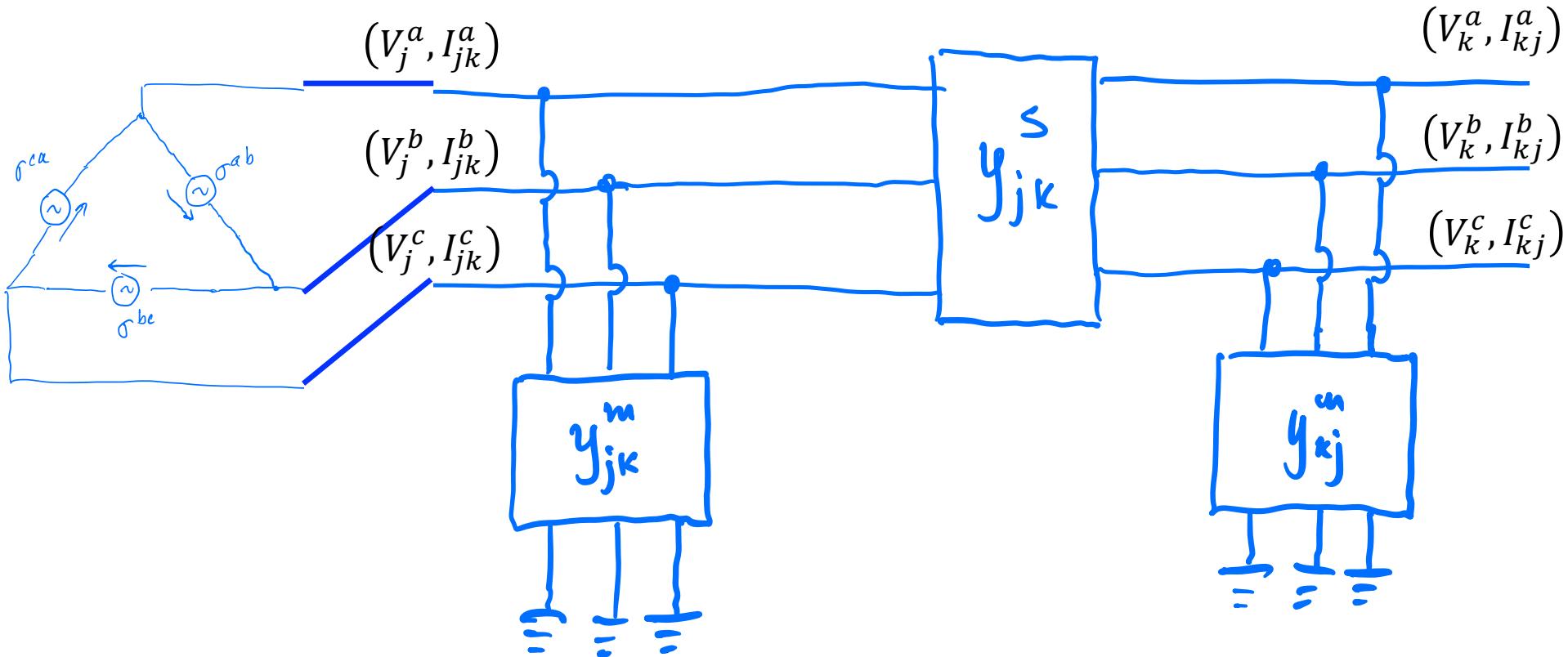
Lessons learnt



- 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



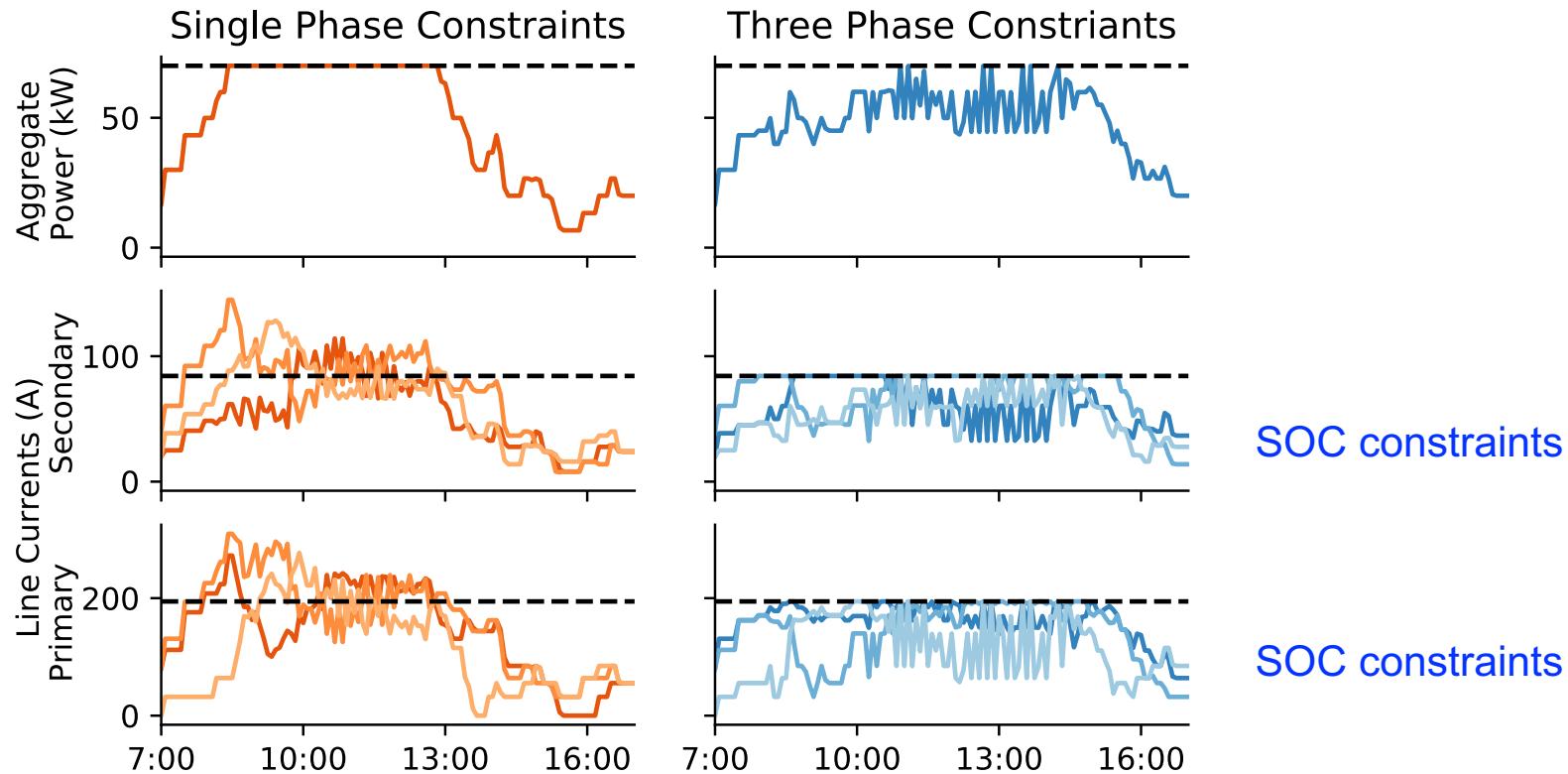
Lessons learnt



Similarly for power sources or voltage sources



Lessons learnt: example

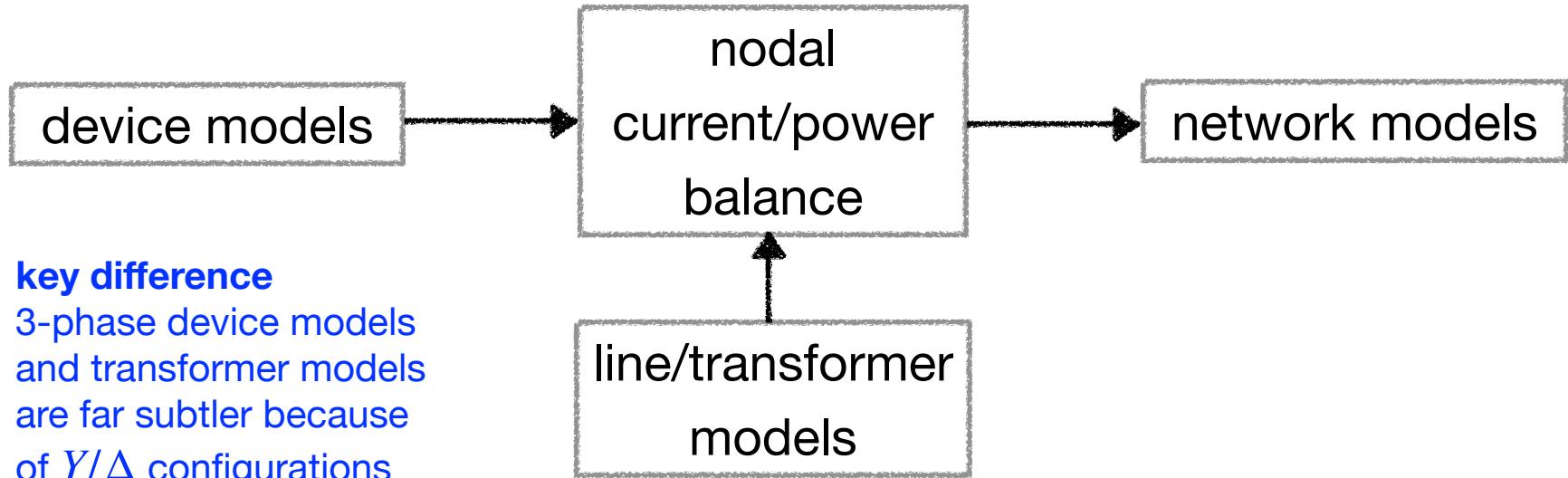


Left panel: Actual 3-phase currents violate capacity constraints if “single-phase constraints” are used (ACN-Sim based on Caltech ACN on Sept 5, 2018 data)

“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

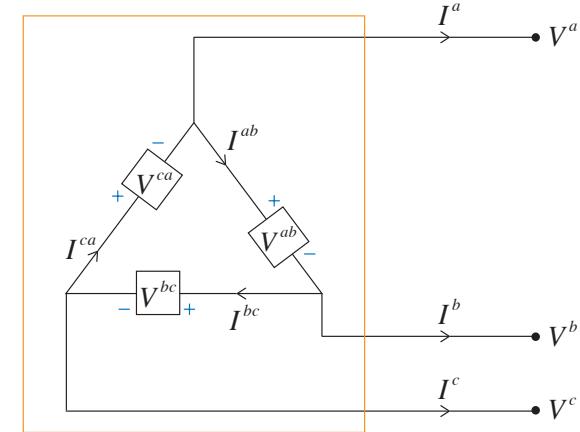


Internal & terminal vars

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**:

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

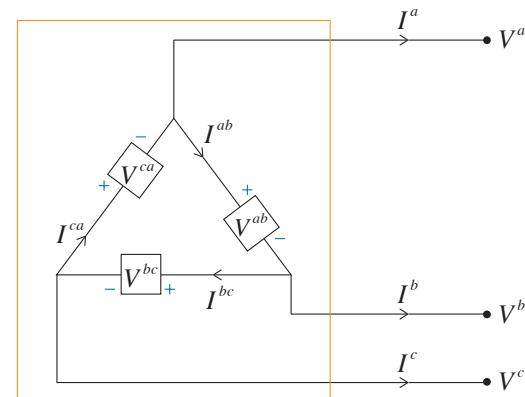
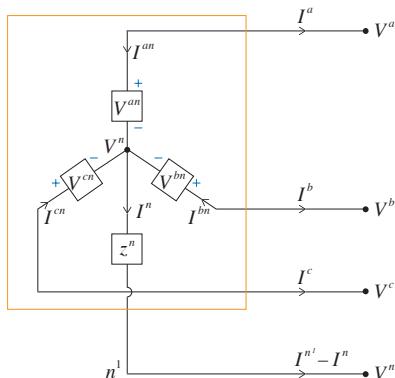
- V is with respect to an arbitrary common reference point, e.g. the ground
- I and s are in the direction **out** of the device



Internal vs external model

1. External model = Internal model + Conversion rule

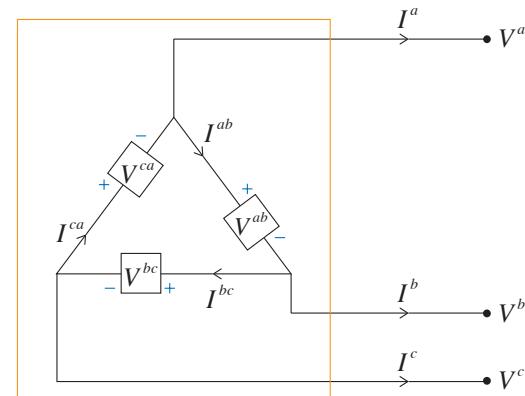
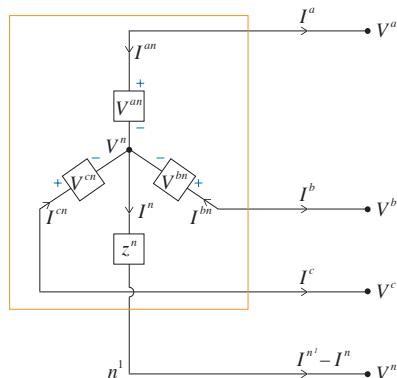
- External model: relation between (V, I, s)
- Devices interact over network **only** through their terminal vars





Internal vs external model

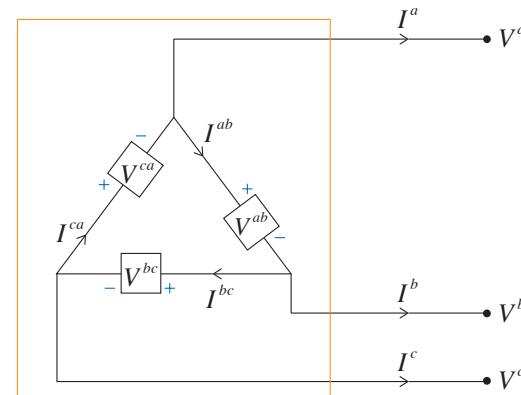
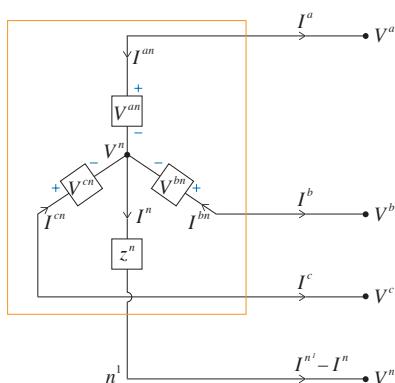
1. External model = Internal model + Conversion rule
 - External model: relation between (V, I, s)
 - Devices interact over network **only** through their terminal vars
2. Internal model : relation between $(V^{Y/\Delta}, I^{Y/\Delta}, s^{Y/\Delta})$
 - Independent of Y or Δ configuration
 - Depends 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)
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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**

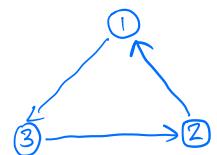
$$\begin{bmatrix} V_{ab} \\ V_{bc} \\ V_{ca} \end{bmatrix} = \underbrace{\begin{bmatrix} 1 & -1 & 0 \\ 0 & 1 & -1 \\ -1 & 0 & 1 \end{bmatrix}}_{\Gamma} \begin{bmatrix} V_a \\ V_b \\ V_c \end{bmatrix}, \quad \begin{bmatrix} I_a \\ I_b \\ I_c \end{bmatrix} = - \underbrace{\begin{bmatrix} 1 & 0 & -1 \\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

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

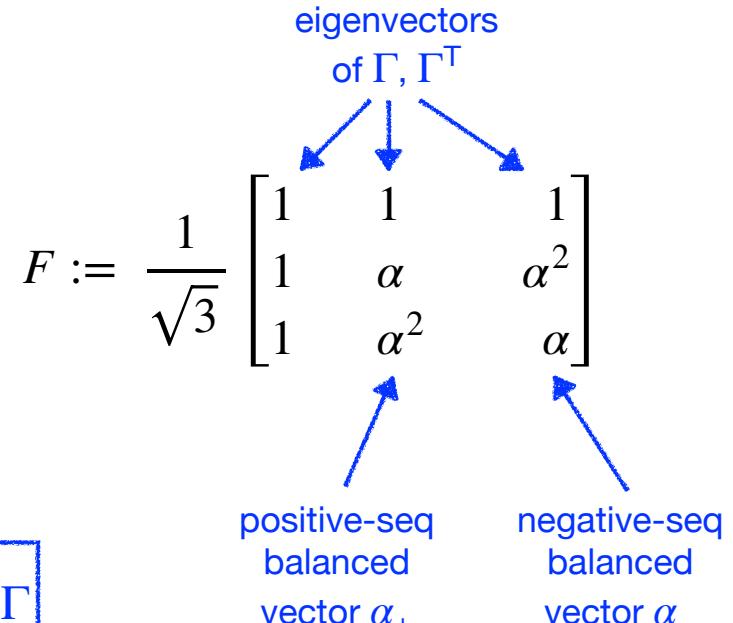
Fortescue matrix F

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

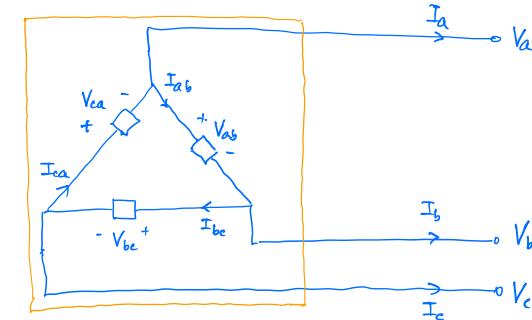


Conversion rule

Δ configuration

1. Converts between internal and terminal voltages & currents

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





Conversion rule

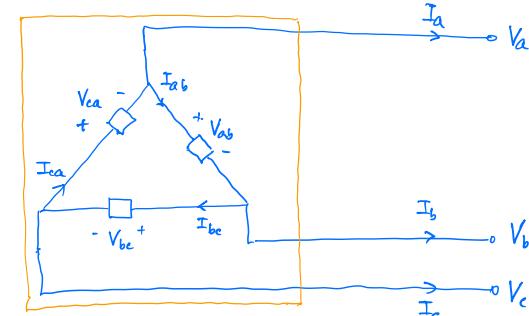
Δ configuration

1. Converts between internal and terminal voltages & currents

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

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

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





Conversion rule

Δ configuration

- Converts between internal and terminal voltages & currents

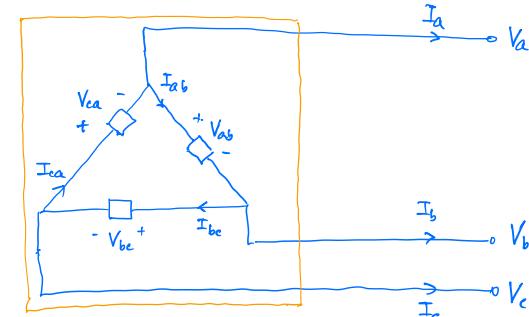
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- Given V^Δ : terminal voltage $V = \frac{1}{3} \Gamma^T V^\Delta + \gamma 1, \quad \gamma \in \mathbb{C}$

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

$\cdot \beta := \frac{1}{3} 1^T I^\Delta$: 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 $V = \frac{1}{3} \Gamma^T V^\Delta + \gamma 1, \quad \gamma \in \mathbb{C}$

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

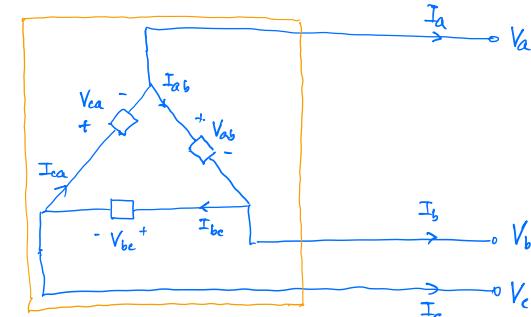
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$\cdot \beta := \frac{1}{3} 1^T I^\Delta$: zero-sequence internal current (does not affect terminal current)

- 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*

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

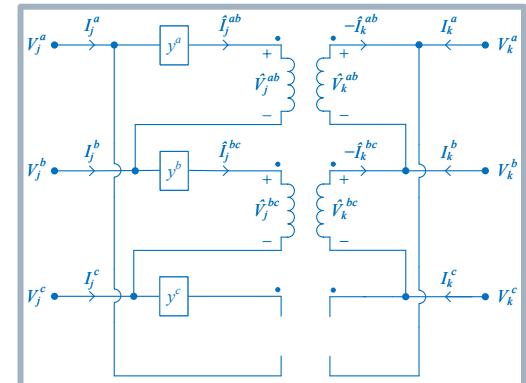
where

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

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

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

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



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!