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Optimization-Based Energy Management for Multi-energy Maritime Grids

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Optimization-Based Energy Management
for Multi-energy Maritime Grids

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For our beloved family and friends

Preface

Nowadays, the increment of international maritime trade decelerates by the influence of the global downside economy, and the even stricter environmental policies further intensify the competition between different sectors in maritime transportation systems, which motivates the electrification of all the attached sub-systems for higher energy efficiency, such as the all-electric ships, electrified ports, and various electrified ocean platforms. Different equipment and technologies have been integrated into those sub-systems, such as fuel cell, energy storage, gas capture system, alternative fuel, multi-energy management, and cold-ironing facilities, which gives birth to the maritime grids.

A typical maritime grid consists of generation, storage, and critical loads, and can operate either in grid-connected or in islanded modes, and operate under both the constraints of the energy system and the maritime transportation system, and formulates as *multi-energy maritime grids*. The energy management of this special system will shape the energy efficiency of the future maritime transportation system, and this is the main focus of this book.

This book mainly focuses on the energy management of the *multi-energy maritime grids*. With various practical cases, this book provides a cross-disciplinary view on green and sustainable shipping via the electrification of maritime grids.

Chapter 1 illustrates the background and motivation of the *multi-energy maritime grids*, and then the electrification trend of maritime grids is described; after that, different types of new technologies which are about to integrate are depicted and the concepts of *multi-energy maritime grids* are proposed after a comprehensive literature survey.

Chapter 2 briefly introduces the mathematical basics of optimization techniques used in this book, including the general optimization model, stochastic optimization model, robust optimization model, interval optimization model, convex optimization, and two optimization frameworks, i.e., two-stage optimization and bi-level optimization.

Chapter 3 illustrates the main management targets of *multi-energy maritime grids* under the background of extensive electrification. The targets include navigation tasks, energy consumption, gas emission, reliability under failures, lifecycle cost, and quality of service.

Chapter 4 introduces the formulation and solution of maritime grid optimization. At first, the classification is illustrated as (1) Synthesis optimization, (2) Design optimization, and (3) Operation optimization. Then different practical cases are given. At last, a compact formulation is proposed and a solution method is described.

Chapters 5–8 propose energy management models for maritime grids under different scenarios, i.e., under operating uncertainties (Chap. 5), energy storage integration (Chap. 6), multi-energy management (Chap. 7), and multi-source management (Chap. 8).

Chapter 9 concludes this book and gives the ways ahead. The key challenges are summarized and three promising problems are given: (1) data-driven technologies, (2) siting and sizing problems, and (3) energy management problems.

The intended audience of this book include

- Faculty, students, and researchers active in maritime transportation and interested in the environmental dimension of shipping.
- Carriers, shippers, infrastructure managers, and other logistics providers who aim at improving their environmental performance while staying in business.
- Technology designers and providers.
- Policy-makers at the national and international levels.
- Other stakeholders, environmental or other.

Hong Kong, China   Sidun Fang
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Acknowledgments

Contents

About the Authors

Dr. Sidun Fang born in 1991, received his B.E degree in School of Electrical Engineering, Chongqing University, Chongqing, China, in 2012, and his Ph.D. degree in Power System and its automation in the School of Electronic Information and Electrical Engineering, Shanghai Jiao Tong University, Shanghai, China, in 2017.

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His research interests include optimal operation of mobile microgrids. Dr. Fang was awarded the Outstanding Graduate prize of Shanghai Jiao Tong University and his doctoral dissertation was nominated as Excellent Dissertation Papers in Shanghai Jiao Tong University in 2017. He has organized many special issues in journals and was invited as tutorial presenter in various top-tier international conferences. He also serves as the associate editor of International Transactions on Electrical Energy Systems.

Dr. Hongdong Wang born in 1989, received the degrees of undergraduate, master, and Ph.D. in Naval Architecture and Marine Engineering in Shanghai Jiao Tong University. Dr. Wang is now the associate professor and doctoral supervisor in the School of Naval Architecture, Ocean & Civil Engineering. Meanwhile, Dr. Wang is now the member of Youth Working Committee in the Chinese Society of Naval Architects and Marine Engineers and the director of China Association of the National Shipbuilding Industry in Shanghai. His research area focuses on the development and effectiveness evaluation of marine intelligent equipment, and the intelligent control based on the dynamic properties of marine equipment. More than 40 research papers in the abovementioned areas have been published, while 15 patents have been authorized. In addition, numerous projects are directed by Dr. Wang from National Natural Science Foundation of China, sub-program of National Key Research and Development Program of China, and so on. What's more, Dr. Wang is sponsored by China Association of Science and Technology Youth Talent Support Project and Shanghai Sailing Program.

Abbreviations

ABS	American bureau of shipping
AC/DC	Alternating current/Direct current
AES	All-electric ships
ANN	Artificial neural network
ARIMA	Autoregressive integrated moving average model
BOS	Battery only storage system
CCS	Carbon capture system
CHP/CCHP	Combined heat power/Combined cooling heat power
DG	Diesel engine or generator
DoD	Depth of discharge
dwt	Deadweight tonnes
ECA	Emission control area
EEDI	Energy efficiency design index
EEOI	Energy efficiency operating index
ELC	Equivalent life cycle
EMS	Energy management system
ESS	Energy storage system
EV	Electric vehicle
FC	Fuel cell
GHG	Greenhouse gas
HES	Heterogeneous energy storage
IMO	International maritime organization
LNG	Liquefied natural gas
LP	Linear optimization/Linear programming
MARPOL	International convention for the prevention of pollution from ships
MES	Multi-energy system
MILP	Mixed integer LP
MINLP	Mixed integer NLP
MIQP	Mixed integer QP
MSOC	Mean state of charge
NLP	Non-linear optimization/Non-linear programming
PTC	Power to thermal conversion

PV	Photovoltaic
QC	Quay crane
QCQP	Quadratic constrained QP
QoS	Quality of service
QP	Quadratic optimization/Quadratic programming
rpm	Round per minute
SDO	Synthesis-design-operation
SDP	Semi-definite programming
SOCP	Second-order cone programming
SVM	Supporting vector machine
UNCTAD	United nations conference on trade and development
UPS	Uninterruptable power supply

Chapter 1
Introduction to the Multi-energy Maritime Grids

1.1 Background and Motivation

1.1.1 Economy Growth and the Demand for Maritime Transport

After achieving a 3.1% growth in 2017, the growth rate of global economy declines to 3.0% in 2018 and further declines to 2.3% in 2019 [1]. In 2020 and afterward, a range of downside risks may further intensify the economy growth, such as the tariff between US–China, the decision by the United Kingdom to leave the European Union ("Brexit"), and the global New Coronavirus spread. In this background, a new normal is about to take hold, reflecting a continuous moderate growth of the global economy. This trend will significantly influence all the attached subsystems or sectors in the maritime transportation system, including infrastructure requirements, ship carrying capacity needs, ship design and technology, port developments and performance, and so on.

The primary impact of the slowing-down economy puts on the demand of maritime transport. In 2017–2019, the international maritime trade shares similar moderate growths with the global economy. According to the "Review of Maritime Transport 2019" by UNCTAD [1], although the global maritime trade reaches a new milestone of 11 billion tons in 2019, the growth is only 2.7%, not only lower than 4.1% in 2017, but also lower than 3.0% average from 1970 to 2017 [1]. Figure 1.1 and Table 1.1 respectively show the total cargo volumes of specific types in ton-miles and tons.

The moderate growth of maritime transport demand shall introduce more competition between different players, i.e., shipowners or port administrators and other stakeholders. This trend may re-shape the market structure since many less-efficient sectors in the maritime transportation system will fall into the brutal struggle between embracing the technology evolutions or being eliminated.
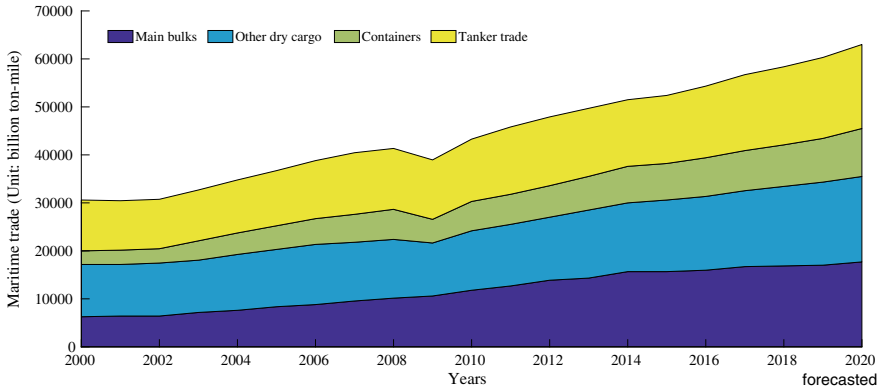
Fig. 1.1 Development of international maritime trade (Unit: billion ton-miles), reprinted from [1], open access

Table 1.1 Specific types of international maritime trade (Unit: million ton) reprinted from [1], open access

Year	Tanker trade	Main bulk	Other dry cargo	Total (all cargos)
2000	2163	1186	2635	5984
2005	2422	1579	3108	7109
2006	2698	1676	3328	7702
2007	2747	1811	3478	7702
2008	2742	1911	3578	8231
2009	2641	1998	3218	7857
2010	2752	2232	3423	8408
2011	2785	2364	3626	8775
2012	2840	2564	3791	9195
2013	2828	2734	3951	9513
2014	2825	2964	4054	9842
2015	2932	2930	4161	10,023
2016	3058	3009	4228	10,295
2017	3146	3151	4419	10,716
2018	3194	3210	4601	11,005

1.1.2 Ship Supply Capacity and Market Structure

The new trend of moderate growth also defines the recent supply-side development of the maritime transportation. In 2019, the world's commercial fleet consists of 95,402 ships, with a combined tonnage of 1.97 billion dwt [1]. The share of each principal vessel type is shown in the following Table 1.2.

Table 1.2 World fleet by principal vessel type (Unit: dwt), reprinted from [1], open access

Principal types	2018	2019	Increments
Oil tankers	562,035 29.2%	567,533 28.7%	0.98%
Bulk carriers	818,921 42.5%	842,438 42.6%	2.87%
General cargo ships	73,951 3.8%	74,000 3.7%	0.07%
Containers	253,275 13.1%	265,668 13.4%	4.89%
Other types	218,002 11.3%	226,854 11.5%	4.06%
Gas carriers	64,407 3.3%	69,078 3.5%	7.25%
Chemical tanker	44,457 2.3%	46,297 2.3%	4.14%
Offshore vessels	78,629 4.1%	80,453 4.1%	2.79%
Passenger vessels	6922 0.4%	7097 0.4%	2.53%
Other	23,946 1.2%	23,929 1.2%	−0.07
World total	**1,926,183**	**1,976,491**	**2.61**

From the Table 1.2, the oversupply of ship capacity remains a prominent characteristic for most of shipping sectors. Among all sectors, the gas carriers experience the highest growth rate at 7.25%, which is driven by the significant expansion of the liquefied natural gas (LNG) trade [2]. Then the container fleet follows at 5% increment. On the contrary, the chemical-tanker and dry-bulk-carrier segments both only experience moderate growths, and the oil tanker segment even suffers a downward trend.

In summary, the oversupply of the ship capacity will further reduce the average freight fare and cut down the profits. Some new technologies are therefore motivated to integrate into the maritime transportation system to gain efficiency improvement and competitional advantage.

1.1.3 Shipping Services and Ports

One effect of the market re-shaping is to enlarge the average sizes of ships since megaships generally have cheaper transportation costs than smaller ships. This trend is suggested in Table 1.3 by the increasing of average vessel size in recent years.

The increasing trend of vessel size has great impacts on the port terminals, as well as the shipyards and the inland logistics. The resulted-in influences come from

Table 1.3 Vessel size distribution to service years (Unit: dwt), reprinted from [1], open access

Types	Service years				
	0–4	5–9	10–14	15–19	20+
Bulk carriers	81,482	77,757	71,592	64,156	52,622
Container ships	83,362	66,050	43,565	38,031	19,579
General cargo	8770	7507	5255	6360	2725
Oil tanker	82,577	78,314	73,092	90,578	8241
Others	10,461	6548	8839	8136	4214
All ships	44,370	39,985	30,696	30,946	6342

two aspects: (1) mega-ships generally have limited access to many ports since draft restrictions or berth-length requirements, which makes the mega-ships can only call for services in some ports; (2) larger ships normally call at fewer ports than smaller ships during one voyage, and less calls with greater cargo volumes will create greater pressure on the operation of ports.

From above, as ships become larger, the ports and terminals that can accommodate the service-calls become limited, which means the main ports around the world, such as Singapore, Shanghai, Istanbul, Houston, Genoa, Hamburg, and so on, will face more competitions and challenges in the future. New equipment and technologies are required for the future large ports to efficiently provide at least three types of services to the berthed-in ships.

(1) Logistic services, including loading/unloading cargos from the onboard to the stacking areas, the restacking of cargos in the stackyard, the transportation to the inland logistic systems, and so on. This type of service is conventional but in current situations, large ports are required to further enhance the cargo handling efficiency and reduce the dwell-time in berth to strengthen their competitiveness.
(2) Electrical services, namely the on-shore power supply, or cold-ironing technology. For the future efficient ports, cold-ironing technology is necessary since it can greatly reduce the gas emission of the berthed-in ships in the harbor territory. According to [3], cold-ironing technology will become a mandatory requirement for large ports in the future.
(3) Heating/cooling services. For specialized cargo such as refrigerated goods, large ports need providing reefer slots, and for future cruise ships, large ports may also provide on-shore heating/cooling services to the onboard passengers [3].

To efficiently and economically provide the above services, the future ports are need to be significantly upgraded in both infrastructure planning and management framework. It should be noted that the ports not only include the mainland ones, but also include those in islands, or "general ports" in various ocean platforms, i.e., ocean oilfields, ocean wind farms, or drilling platforms.

1.1.4   The Path to the Green Shipping

Besides the above motivations, the entry into force of several global environmental policies and the adoption of some voluntary standards also have some fundamental impacts on the maritime transportation system and set the following two main targets to achieve the future green shipping.

(1) Relieving the heavy reliance on oil for propulsion.

Generally, more than 50% of the oil demand around the world is concentrated in the transport sector [4], and the global oil demand for maritime transportation is more than 300 million tonnes and accounts for 86% of the transport sector in 2012 [5]. According to [6], more than half of the fuel consumption increment in transportation is from maritime usage before 2040 if no further actions.

Additionally, the oil used for maritime transportation often has lower quality than other types of oil in the transport sector, i.e., denser and higher carbon-hydrogen ratio, as well as having more "polluted elements". For example, the IFO380 is a frequently used oil type for large container ships, which has more than 3.8% sulfur, much higher than the light-oil used in land-based transportation.

As a result, the great consumption and low quality of maritime oil make the maritime transportation system emit diversified gas emissions, and the heavy reliance on oil for propulsion, therefore, becomes the main obstacle to limit the development of green shipping. The research on alternative fuels or energy sources should raise global concerns, such as hydrogen fuel and ammonia fuel, fuel cell technologies, and energy storage [4, 7–9].

(2) Reducing greenhouse and polluting gas emissions.

The gas emission of maritime transportation usually has three types: carbon dioxide, sulfoxide, and nitrogen oxide. The carbon dioxide is regarded as the main culprit for the greenhouse effect and has been raised as a global concern since the subscription of the Kyoto Protocol in 1997 [10]. As for the sulfoxide and nitrogen oxide, they are viewed as two main types of polluted gas emissions, which are responsible for the acid rains and the ozone hole, respectively [11].

For global sustainable development, those three types of gases are all under strict surveillance, and for the future green shipping, multiple policies have been raised to address different types of gas emissions.

For the carbon dioxide, the International Maritime Organization (IMO) has announced an ambitious target to reduce 70% greenhouse gas (GHG) emission in 2050 compared with 2008 [12], shown as Fig. 1.2.

For better controlling the minimum required level of energy efficiency, the Energy Efficiency Design Index (EEDI) and Energy Efficiency Operating Index (EEOI) were established as the IMO's strategies. Specifically, EEDI is a ship designing index proposed by the Marine Environment Protection Committee (MEPC 62) in 2011 [13]. Then in MEPC 63, four guidelines are amended in MARPOL Annex VI to
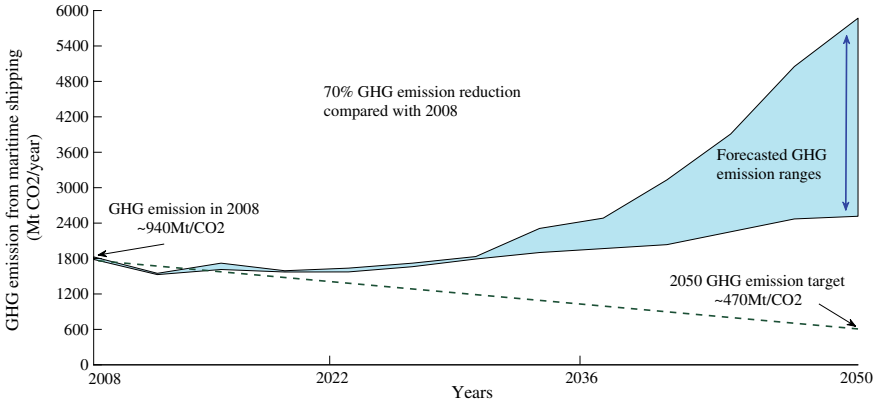
Fig. 1.2 Reduction target of GHG emission from maritime transportation, reprinted from [12], open access

further implement the EEDI as a mandatory regulation [14–17]. As for the EEOI, it is recommended by the Ship Energy Efficiency Management Plan (SEEMP) to manage the efficiency performance of ships and fleets over time using [18]. Both of EEDI and EEOI have been adopted by various ship companies.

For the sulfoxide, IMO has set certain limits since the year of 2000, shown as Fig. 1.3. From 1st, January 2020, the "ever strictest sulfur limit in history" has entered into force for the compulsory usage of low-sulfur fuel (0.5%), or the gas scrubber integration, or the alternative fuels.

The first sulfur limit was introduced in the revised MARPOL Annex VI (Prevention of Air Pollution from Ships) and the concept of designated sulfur emission control area (SECA) was created correspondingly [12]. The Baltic Sea, North Sea,
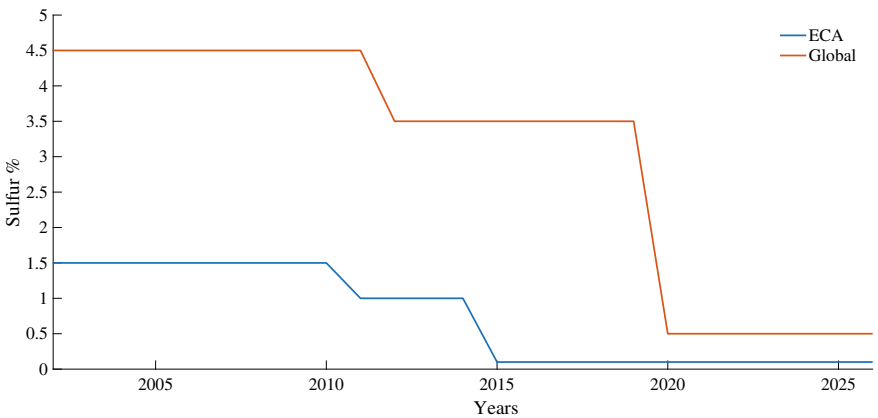
Fig. 1.3 Fuel sulfur limits in ECA and globe, reprinted from [12], open access

Table 1.4 NOx emission limits (MARPOL Annex VI)

Tier	Year	NOx limit (g/kWh)		
		Rated engine speed (r/min)		
		<130	130–2000	>2000
I	2000	17	$45 \cdot n^{-0.2}$	9.8
II	2011	14.4	$45 \cdot n^{-0.23}$	7.7
III	2016	3.4	$45 \cdot n^{-0.2}$	1.96

and North America have been designated as SECAs since 1997, 2005, and 2010, respectively. In 2011, the Caribbean Sea of United States has been designated as SECA. In October 2016, the regulation was confirmed at the MEPC 70, which dictates that from 2020 onward, the global limit of sulfur content will be 0.50% (outside SECAs), referring to the "ever strictest sulfur limit" [19].

For the nitrogen oxide, MARPOL has set tier I–III emission standards based on the speed of main engines and the ship-ages, shown as Table 1.4 [12]. Tier I is for the old ships built before 2000, and tier-II is the current NOx limit standard, and tier III is for the ships built after 2016 and sailing in nitrogen ECAs (NECAs). When outside the NECAs, the ships should follow tier II. It should be noted that the SECAs in the United States have been already set as NECAs. For the European SECAs (North and Baltic Sea), the NOx limits will be enforced from 2021.

Accordingly, to fulfill the above ambitious targets on gas emission reduction, considerable investments should be going into the research and development for new technologies, such as better hydrodynamics in ships, more energy-efficient engines, efficient ships with new configurations, lower carbon or carbon-free fuels, the renewable integrations and more advanced energy management systems.

1.2 Promising Technologies

1.2.1 Overview

To achieve future green and efficient shipping, many technologies have been already or about to implement in maritime transportation. They are mainly classified as (1) the technical designs and (2) the alternative fuel or energy sources. The details are shown in the following Table 1.5.

In the following context, the promising technologies related to the electrification of maritime transportation (in the bold context above) are illustrated in detail to show their usages.

Table 1.5 Promising
technologies for the future
green shipping

Technical designs for energy efficiency improvement	Alternative fuel or energy sources
Light construction material	**Hydrogen fuel cells**
Ship-hull optimization	Hydrogen as fuel
Propulsion-improvement devices	**Shipboard energy storage**
Air lubrication system	**Ammonia fuel cells**
Ballast-water system design	Ammonia as fuel
Engine and auxiliary system	Synthetic methane
Energy-efficiency measures	Synthetic diesel
All-electric ship	**Renewable power integration**
Gas capture system	Advanced biofuels
Multi-energy management	

1.2.2 Selected Technical Designs for Energy Efficiency Improvement

1.2.2.1 All-Electric Ship (AES)

Long before gaining global concerns, the emergence of AES is quite early. In 1922, the first aircraft carrier of the United States named as "Langly (CV-1)" was converted from a coal carrier named as "Jupiter", shown in Fig. 1.4a.

This ship uses the configuration of "steamer-generator-electric machine" to drive the propeller and can be viewed as an embryo of AES. However, due to the technical limits at that time, the reliability of the power network in "Langly" was much lower than other similar mechanically-driven ships. Therefore, after the technical breakthrough in large-scale gearbox, the configuration of "Langly" has been hung on, and the mechanically-driven ships, which directly drive the propeller by the prime mover, have come to their golden age and dominate the configuration designs of ships until now and even the near future.

(a) Langly (CV-1)   (b) Zumwalt-class destroyer   (c) America-class amphibious assault ship

Fig. 1.4 Main representatives of all-electric ships

(a) conventional mechannically-driven ships   (b) All-electric ship
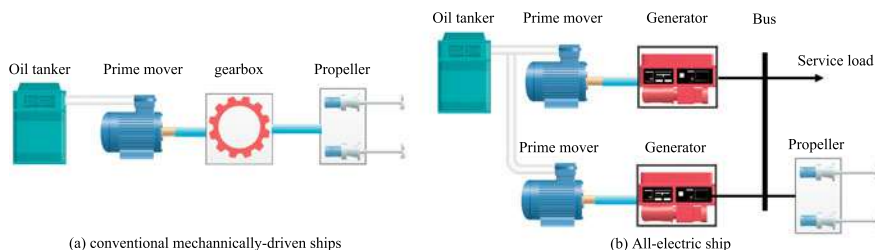
Fig. 1.5 Development of all-electric ships, reprinted from [20], with permission from IEEE

In the last decades, the advances in electrical engineering represented by the power electronic technologies have greatly improved the reliability of power systems, which progressively promote the development of microgrids. Nowadays, various types of microgrids have been utilized in different scenarios and applications. The bottleneck of AES has therefore been relieved.

With this great development, AES has gained the concerns from the shipping industry once again since higher energy efficiency and better controling ability. Currently, the configuration of AES has been already applied in warships, such as the Zumwalt-class destroyer and the America-class amphibious assault ship, which are shown in Fig. 1.4b and c, respectively.

The main advantage of AESs compared with conventional mechanically-driven ships is the usage of an "integrated power system" to dispatch energy, which can be shown as Fig. 1.5 [20].

In Fig. 1.5a, the propellers of conventional ships are directly driven by the prime mover via a gearbox. This configuration limits the speed of prime mover and therefore limits the energy efficiency improvement. Additionally, another system of "prime mover-generator-service load" is necessary for the mechanically-driven ships to supply power to the onboard electrical equipment, which leads to great unnecessary redundancy.

In an AES (Fig. 1.5b), electricity is the only secondary energy form onboard. All the shipboard loads, including the propulsion load and various types of service loads, are supplied by the "integrated power system". The energy flow can be precisely controlled to achieve the optimal energy efficiency, and the energy supply can be from multiple sources to improve the system reliability.

Due to the advantages above, AES has raised global concerns in recent years and has been viewed as the future direction of ship designs. Nowadays, this configuration begins to expand from the military applications to the commercial applications, such as the "ampere" ferry from Denmark [21], "puffer" cargo ship from China [22], and "Viking lady" off-shore support vessel (OSV) [23] and so on, which are shown in Fig. 1.6, respectively.

(a) "Ampere" ferry   (b) "Puffer" cargo ship   (c) "Viking lady" off-shore support vessel

Fig. 1.6 Some commercial all-electric ships

1.2.2.2   Cold-Ironing Technology

The propulsion systems of most ships consist of the main engines and the auxiliary engines, and when berthed in a port, the main engines will be kept off and the auxiliary engines are used to support the onboard load demand, such as lighting, refrigeration, kitchen, entertainment and so on. The auxiliary engines burn fuel to generate electricity and emit various types of gas emissions in the harbor territory, such as CO_2, SOx, and NOx, which brings a great amount of pollution.

Cold-ironing technology, or on-shore power supply, or shoreside power, is to supply the onboard hoteling load for the berthed-in ships by the port-side electricity, and the auxiliary engines onboard are all kept off, shown as Fig. 1.7 [24]. The electricity can be from the main grid, or port-side renewables and other clean fuels [24]. In the future, the cold-ironing technology will become a mandatory service from ports similar to the conventional logistic services.
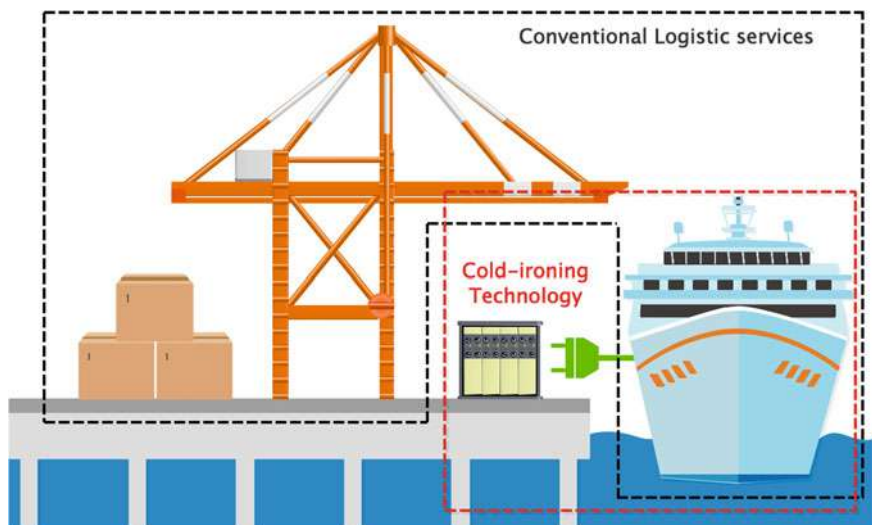
Fig. 1.7 Cold-ironing technology and conventional logistic services, reprinted from [24], with permission from IEEE

The first benefit of cold-ironing technology is the reduction of harbor gas emission. It is reported that the global harbor gas emission can have a 10% reduction by the integration of cold-ironing technology [25]. In UK ports, the cold-ironing technology can reduce 2% SOx emission. According to [26], cold-ironing technology reduces more than 57% of harbor gas emission in the Kaohsiung port in Taiwan. Secondly, cold-ironing technology may bring economic benefits to both the shipowners and the port authorities. Kenan et al. [27] shows in the regions of which the electricity price are lower than 0.19USD/kWh, the cold-ironing may reduce the operating cost of the berthed-in ships. In [25], the cold-ironing brings extra profits for the port with higher average handling time.

Cold-ironing technology is very suitable for the cruise ports, since when berthed-in, the cruise ships require a huge amount of power since many passengers staying on board [28, 29]. According to [30], an average of 29.3% of GHG emissions can be reduced in three different regional cruise ship cases when using cold-ironing. In other regions, the cruise ship ports can reduce 99.5% (Oslo, Norway), 85% (France) GHG emission by the cold-ironing technology, respectively.

Although the above outstanding advantages, the expansion of cold-ironing technology is still a challenging task. The main barriers include power quality [28], system stability [28], reliability and security [3], and synchronization problems [24]. Tsekouras and Kanellos [31] used a port-side reserved generator to improve the power quality of cold-ironing, and [32] proposed smart electrical interfaces to improve the performance of the cold-ironing facility. In [24], the synchronization problem of cold-ironing was investigated, and a control strategy is proposed to mitigate the voltage fluctuation when the ship plugged into the cold-ironing state, which is demonstrated by an OPAL-RT experiment.

1.2.2.3 The Electrification of Ports

The ports are need to provide adequate logistic services to the berthed-in ships by many different types of equipment. The main equipment includes quay crane (QC), rail-mounted gantry crane (RMG), rubber-tire gantry crane (RTG), reach stacker (RC), straddle carrier (SC), and lift trunk (LT), which are shown in the following Fig. 1.8.

QC is used for loading/unloading cargo or containers from the ship-side. RMG and RTG are used to stack containers in the stackyard, and the main difference is that the RMG moves on the rail and the RTG moves on rubber tires. RS is used to reach a container in the stackyard. SC and LT are used to transport the containers within the stackyard. Conventionally, the above equipment are almost manually-driven, and in recent years, highly automated port equipment, such as automated RTG, RMG, LT, SC, begins in usage to improve the efficiency and reduce labor usage [33]. The energy sources of those equipment also become diversified. Table 1.6 gives the possible energy sources of the above equipment.

From the Table 1.6, diesel and LNG are commonly used fuel types in port-side operation, which can power various port-side equipment. In addition from above,

| (a) quay crane | (b) rail-mounted gantry | (c) rubber tire gantry |

| (d) reach stacker | (e) straddle carrier | (f) lift truck |
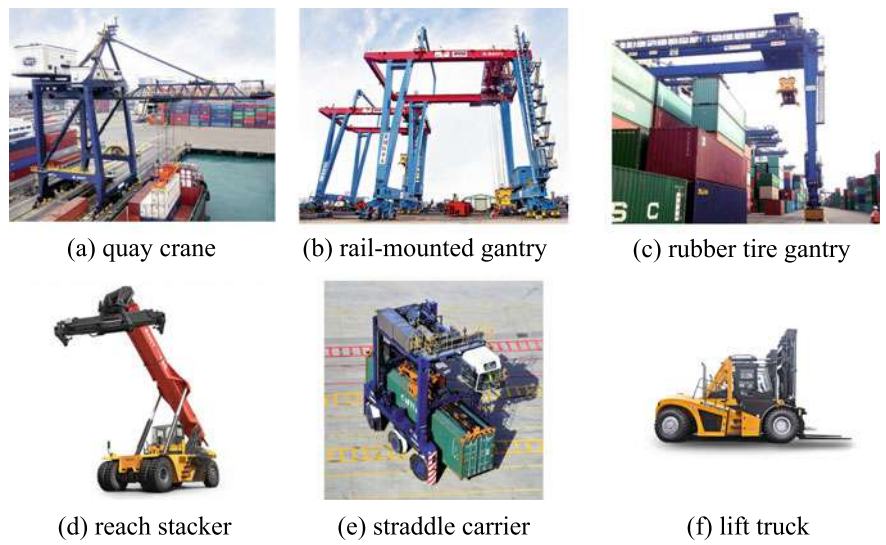
Fig. 1.8   Main port-side logistic equipment

Table 1.6   Energy sources of different port-side equipment (data from [34])

	QC	RMG	RTG	RS	SC	LT
Diesel	Yes	No	Yes	Yes	Yes	Yes
Electricity	Yes	Yes	Yes	Yes	Yes	Yes
LNG	No	No	Yes	Yes	Yes	No

electricity is the most general energy source and can power all the main port-side equipment, and is also energy-efficient, easy to control, and convenient to fulfill automation, which makes the electrification of large ports as an irreversible trend in both shore-side operation and yard-side operation.

During the shore-side operation, the QCs can recover tremendous energy from the hoist-down movement [35]. In this way, the electrification and the integration of energy storage can shift the peak load of QCs and improve energy efficiency. In [35, 36], the peak load of QC can be reduced from 1211 to 330 kW with a supercapacitor integration. In [37], the peak load of QC is reduced from 1500 to 150 kW by the integration of energy storage. The shift of peak load not only represents higher energy efficiency but also can mitigate the influences on the port-side power system.

In yard-side operation, RMGs generally have higher energy efficiency than conventional RTGs since it is electrically-driven, but the advantage of RTG is the higher operating flexibility since its operation is not limited to the rails. In this sense, the electrification of RTG (E-RTG) can combine both advantages on energy efficiency and operating flexibility, which makes it a hot topic now and has reported gaining an 86.6% reduction in energy costs and 67% on GHG emission reduction

Table 1.7 Energy consumption comparison between RTG and E-RMG (data from [34])

	Energy consumption	Energy cost/year (k USD)	GHG emission (kg/container)
RTG	2.21 L/move	64048	5.96
E-RTG	3.02 kWh/move	8621	1.92

[38]. The energy consumption comparison between RTG and E-RTG is shown in Table 1.7, and the results clearly show the energy saving ability of E-RTG. The energy cost of E-RTG is only 13% of RTG, and the GHG emission is only 1/3 of RTG. Similarly, for other yard-side equipment, such as RS, SC, and LT, the hybrid diesel-electric engine system has already been integrated. In literature, the hybrid SC has gained 27.1% fuel efficiency improvement, and the traveling motion, hoisting motion and lowering motion consume 52, 31 and 11% less energy [39]. As above, with the development of electrical engineering technologies, especially the energy storage technology, all-electric RS, SC, and LT will soon become reality and achieve the zero-emission target.

1.2.2.4 Multi-energy Management

In recent years, with the development of global cold-chain supply, the refrigeration power demand grows very fast. In various studies, the energy consumption of refrigeration energy is now between 20 and 45% of the total energy consumption of ports [38, 40]. This suggests the need to improve the energy efficiency of reefer areas, such as determining the number of reefers, locations, and power plans. Additionally, due to the large scale of heating/cooling power demand on board, future cruise ships may also require heating/cooling power from the port-side. In summary, the above refrigeration power demand and the onboard heating/cooling power demand are both supplied by the heating/cooling flow, and can be viewed as "temperature-controled power demand" [40].

With the integration of heating/cooling flows, there will be at least three energy flows coordinated to each other in maritime grids, i.e., fossil fuel, electricity, and heating/cooling power, which makes the future maritime grid as multi-energy systems (MESs), and proper multi-energy management is essential for this special MESs.

Multi-energy management is a newly proposed management framework to coordinate multiple energy flows, shown in Fig. 1.9 [41–43], which shows different energy forms can convert to each other in MES to shift the peak load to fill up the valley, thus gaining higher energy efficiency compared with the single-energy system, such as the conventional power system. This management framework has been used in many land-based applications. In Jiangsu and Guangdong provinces of China, there are already system-scale projects of MESs.

In an MES, the main power sources are the upper electric network (UEN) and the upper gas network (UGN). The main power demands are the electricity demand, gas demand, heating demand, and cooling demand, which are supplied by the electrical
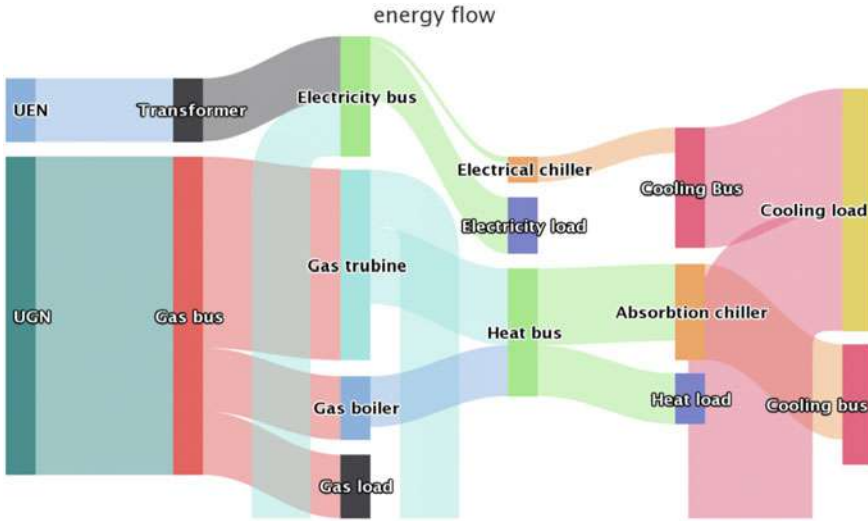
energy flow

Fig. 1.9 Energy flows in a conventional multi-energy system

bus, gas bus, heating bus, and cooling bus, respectively. Among different energy forms, the gas turbine can generate electricity by burning gas. The by-produced heat can supply the heat load or the cooling load after the absorption chiller. The electricity also can be converted to gas by the power to gas equipment (P2G). In the future, the municipal water supply may also implement into MES since the expansion of the electric water pump.

However, the ships and ports have quite different operating scenarios compared with conventional land-based applications, such as extra electrical and logistic constraints, which makes current multi-energy management methods cannot be directly used, and further research efforts should be put into this field.

1.2.2.5 Gas Capture Systems

In Sect. 1.4, the main targets of the gas emission control have been discussed. The alternative fuel and electrification technologies are generally viewed as promising routes to resolve this energy efficiency problem. However, before the maturity of above technologies, the integration of gas capture system can be viewed as an effective transitional approach. With its integration, the gas emission can be captured and stored in a location and permanently away from the atmosphere, thus the energy efficiency (gas emission per unit task) can be improved with continuously using the conventional fossil fuel. Nowadays, the capture systems of CO_2, SOx, NOx are all mature technologies and ready to integrate into maritime grids.

Generally, the gas capture systems have three main working frameworks, which are shown in Fig. 1.10a–c, i.e., the pre-combustion, oxygen-fuel and post-combustion methods [44].

Among the above three working frameworks, the post-combustion method is the most frequently used (Fig. 1.10c) since a relatively simpler process, and the gas capture systems manufactured by the Wasilla and Mann are mostly using the framework of post-combustion.

In recent years, driven by the "ever strictest sulfur limit" planned to enter into force from 1st, January 2020 [19], many shipowners have planned to invest the shipboard gas capture systems to act as the transitional approach. With the gas capture system installed, the ships can continue to sail on the heavy oil (IFO380, 3.8% sulfur) with a lower price (cheaper than MGO, 0.5% sulfur) meanwhile meeting the environmental requirements. The initial cost-benefit analysis shows this investment can be refunded in 4–5 years under current oil prices [45, 46].

A typical illustration of gas capture system into ships is shown in Fig. 1.11 [47]. The emitted gas from the main and auxiliary engines are first absorbed and then stored in a storage. With sufficient energy supply, the gas capture system can reduce more than 70% gas emission [44].

However, most of the ships are not designed with the gas capture system, thus the onboard engines may not have enough capacities to supply the power demand after the installation, and this is one of the main obstacle to limit the gas capture system integration in the views of energy management. In [44], an extra generator is invested to supply the power demand of gas capture system, and in [47], the energy storage and onboard generators are coordinated to meet the power demand of the gas capture system, and the capturing rate is more than 90%.

1.2.3 Selected Alternative Fuels or Energy Sources

1.2.3.1 Renewable Power Generation

Generally, the renewable power generation integration into ships and ports is the fundamental approach to resolve the energy efficiency problem of maritime grids, i.e., when the penetration rate of renewable power generation increases, the usage of conventional fossil fuel will reduce. Until now, the integration of renewable power generation into maritime grids already has many practical cases, shown as Fig. 1.12a–c.

Figure 1.12a shows the "Zhongyuan Tengfei" photovoltaic (PV) integration project in 2016. The total PV module has 143.1 kW capacity and can provide power for lighting in 12 decks [48]. Figure 1.12b shows a conceptual hybrid renewable energy ship proposed by Sauter Carbon Offset company, Germany [49] in 2010. This ship uses wind and PV energy to sustain 16 knot speed with zero-emission. Figure 1.13c is the "Shangde Guosheng" ferry in Shanghai Expo, 2010, which has a length of 31.85 m, a breath of 9.8 meters, and a height of 7 m. Now, this ship serves as a tourist ship in Huangpu River, Shanghai [50].

Pre-combustion
gas capture

Hydrogen

Combustion
chamber

Water-gas shift
reactions

CO2, SOx, NOx

Steam reforming
reactions

Storage

Fuel input

Water-gas shift
reactions

Electricity-driven

(a) Pre-combustion

Oxy-fuel gas capture

Condenser

Combustion
chamber

CO2, SOx,
NOx, water

CO2, SOx, NOx

Fuel input

Oxygen

Water

Air

Nitrogen

Air seperator

Electricity-driven   Storage   Storage

(b) Oxygen-fuel

Post-combustion gas
capture

Absorption

Combustion
chamber

CO2, SOx,
NOx, water

Fuel input

CO2, SOx, NOx

Air

Storage

Electricity-driven

(c) Post-combustion

Fig. 1.10   Main gas capture working frameworks
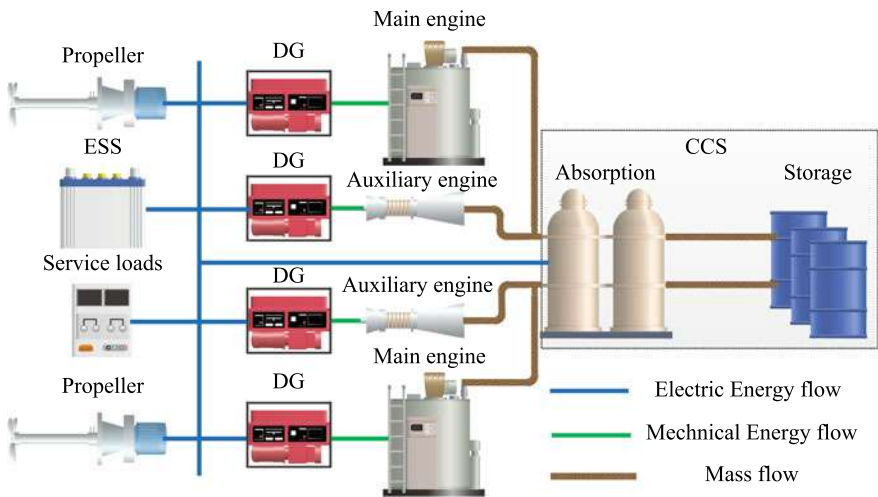
Fig. 1.11 Gas capture system into ships, reprinted from [47], with permission from IEEE

(a) "Zhongyuan Tengfei" shipboard photovoltaic project

(b) "Black magic" hybrid renewable concept ship   (c) "Sangde Guosheng" photovoltaic integrated ferry

Fig. 1.12 Practical renewable integrated ships

However, since the low energy density and limited installment area, renewable energy integration into ships can only supply a small part of total energy demand now, and due to the uncertainties, the shipboard energy management system needs to be upgraded to mitigate their influences [51].

On the port-side, the capacity of renewable energy is much higher since larger installment area. In the Jurong port (Singapore), the installed PV can generate more
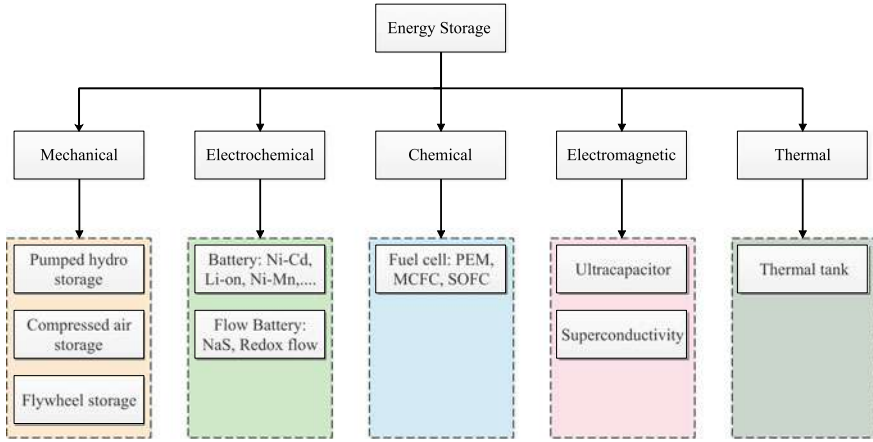
Fig. 1.13 Classification of energy storage

than 12 million kWh electricity per year [3]. In Houston port (US), the Spilman's island is planned for PV modules, and the potential PV capacity can be more than 4 MW [52]. In Hamburg port (Germany), the installed wind turbines scale up to 25.4 MW [53]. The above cases have demonstrated that the renewable power generation has a very promising future in the port-side applications.

1.2.3.2 Energy Storage and Fuel Cell Integration

Generally, electrical energy can be converted to many different forms for storage, which are shown as following Fig. 1.13 [54]. Among all the technologies in Fig. 1.13, pumped hydro storage, compressed air storage and flow battery are not suitable for maritime applications since the limits in locations and operating conditions. The superconductivity storage has very limited energy capacity, which is also not practical nowadays. The most promising energy storage technologies currently in maritime applications include flywheel, battery, ultra-capacitor, and thermal tank. Strictly speaking, fuel cell is a power source technology rather than a type of energy storage technology. But it has similar characteristics and operating conditions with conventional energy storage systems, i.e., no combustion process, small installment area, directly outputting electricity, no spinning components. In this section, the fuel cell is discussed together with the other conventional energy storage systems (ESSs).

In maritime applications, ESSs are used for (1) peak load shifting by the high energy density ESS; and (2) resolving power quality issues by the high power density ESS. In long-term timescale, the peak load shifting can mitigate the burdens of main power sources (generators) and the energy efficiency can be improved [55–62]. Then the high power density ESS can respond to the load fluctuations in short-term timescale to resolve the power quality problems [63–65].

Since no combustion process, fuel cells have higher generation efficiency and smaller unit-sizes than the traditional internal combustion engines, which is the promising power source technology for maritime applications in the future. At present, the hydrogen fuel cell based on proton exchange membradune technology is a relatively mature technology and has been used in the energy supply of submarine [66], but the production and storage of hydrogen are still expensive, which limits the further commercial applications of hydrogen fuel cells. On the other side, liquefied natural gas (LNG) and Maritime Diesel Oil (MDO) are currently the main fuel types in commercial ships, and the corresponding Molten Carbonate Fuel Cells (MCFC) and Solid Oxide Fuel Cells (SOFC) on these two types of fuels, therefore, have higher commercial values.

Currently, fuel cell acts as an auxiliary power source in ships, an illustration in all-electric ships can be shown as Fig. 1.14 [67].

In the Fig. 1.14, fuel cell is installed at one bus to supply the low-voltage hotel load and the propulsion load. Besides, there are two cases in Fig. 1.14, and the first case is the "Viking lady" offshore supporting vessel (OSV) has already installed a 330 kW fuel cell compared with the total generation system of 8040 kW [23]. The other case is, in 2019, the 712 ship institute of China has invented a 500 kW shipboard fuel cell.

All around the world, the fuel cell applications in ships are shown in Table 1.8, which includes both military and commercial applications. With the development of fuel cells, the capacity of the fuel cell will further increase to replace the current onboard spinning prime mover. However, there is still a long way to go before the fully replacement of internal combustion engine to fuel cell. Many obstacles, such as the energy management problems, the lifetime management problems, are still pending.
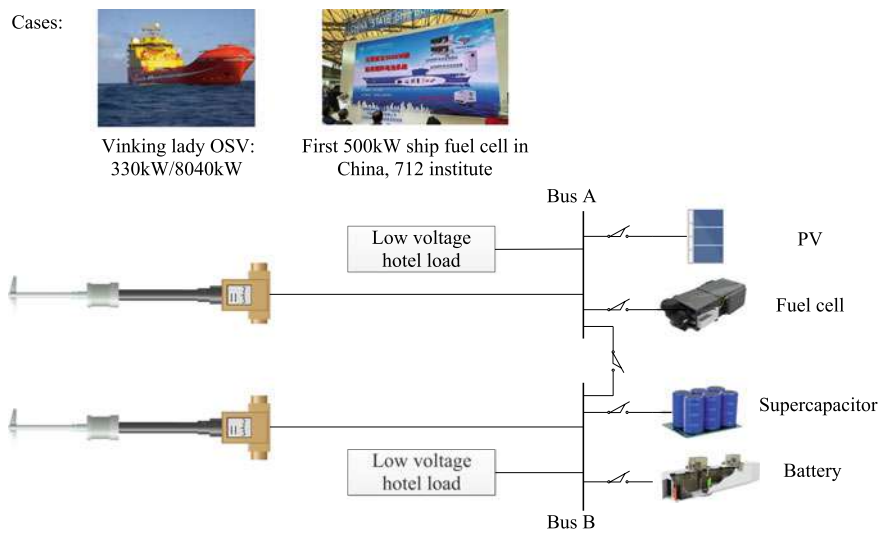
Fig. 1.14 Integration of fuel cell into all-electric ships

Table 1.8 Projects of some selected fuel cell based ships

Ship	Power	Fuel	References
Viking Lady	330 kW	LNG	[23]
SF-Breeze	100 kW	Hydrogen	[68]
PA-X-ELL	30 kW	Methanol	[69]
MV Undine	250 kW	Methanol	[70]
US SSFC	2.5 MW	Diesel	[71]
MC-WAP	500 kW	Diesel	[72]
MS Forester	100 kW	Diesel	[73]
212 submarine U31	330 kW	Hydrogen/Methanol	[74]
212 submarine U32	240 kW	Hydrogen/Methanol	[75]
S-80 Submarine	300 kW	Ethanol	[76]

1.2.3.3   Low-Carbon and Carbon-Free Fuel

Current maritime transportation highly relies on fossil oil for propulsion, especially the usage of heavy oil (IFO380). The replacement of heavy oil to low-carbon and even carbon-free fuel is the fundamental approach to resolve the energy efficiency problem of maritime transportation. Generally, alternative fuels are classified as low-carbon fuels, i.e., LNG, methanol, ethanol, and carbon-free fuels, i.e., hydrogen, ammonia.

Among the low-carbon fuels, LNG is the alternative fuel for heavy oil which gained the highest concerns [4]. It is estimated that the shipping sector can reduce more than 30% GHG emission by using LNG [4]. In 2018, the LNG transport ships have expanded by 7.25%, which represents the prosperous development of this sector [1]. Among the carbon-free fuels, hydrogen has been regarded as the future green fuel for a long time, since the only product after burning is water. The ship using hydrogen for propulsion can achieve zero gas emission [4]. Ammonia is a newly proposed carbon-free fuel in recent years, with the products of nitrogen and water [7].

Despite of the above great achievements, there are still many limits on the application of low-carbon and carbon-free fuels. The gaps come from the following four aspects, and a promising and practical alternative fuel should resolve all the below problems before it can replace the heavy oil for propulsion.

(1)   Mass production

To become a practical alternative fuel, the primary problem is the mass production problem. Although Hydrogen, Methanol, and Ethanol are all vital raw materials in chemical industry, the global production of those fuels is still hard to sustain global shipping [7]. Among current fuels, LNG and ammonia are only two fuels with enough production capacity to sustain global shipping. LNG is for its great amount of natural resource reserves, and the ammonia is for its great production ability as a widely used chemical fertilizer [7].

(2)   Commercial power source technologies

Current engines in ships are mostly designed for heavy oil. When changing to other fuels, the burning chambers should be reformulated or re-designed to keep the burning stability of fuels. However, except for the LNG, there still lacks large-scale commercial power source technologies for other alternative fuels to sustain long-distance of navigation [7]. Furthermore, some alternative fuels, like ammonia, are very hard to burn in conventional conditions. In this way, the fuel cell can be a very promising way for maritime applications since it has no burning process.

(3)   Mass storage

The heavy oil usually has much higher energy density and less volatileness than the low-carbon and carbon-free fuels. When changing to alternative fuels, the storage conditions need to be adjusted, i.e., larger volume to sustain the navigation distance, proper sealing conditions to reduce the volatilization of fuels, and so on. For example, the volatilization loss of LNG transport in a week is about 5% by current technology. In this way, the mass storage technology of LNG, such as re-liquefaction, is needed urgently in this field.

(4)   Global supply chain

Since the shipping fuel is used all around the world, the transport cost will greatly influence the expansions and usages of alternative fuel, which means the candidate alternative fuels should have a mature and complete global supply chain to reduce its transport cost. In fact, LNG and ammonia are the only two fuels with a complete and mature global supply chain [7].

1.3   Next-Generation Maritime Grids

From the above illustrations, the main characteristic of the next-generation maritime grids is the trend of electrification and the involvement of multiple energy flows, and current green shipping technologies are convenient to implement into the maritime grids. With various new technologies integrated, the next-generation maritime grids are defined as those local energy networks (combined with electrical, fossil fuel and heating/cooling energy networks) installed in harbor ports, ships, ferries, or vessels, which consists of generation, storage and critical loads, and can operate either in grid-connected or in islanded modes and operate under both the constraints of power system and maritime transportation system. In the following context, two main representatives of the next-generation maritime grids, i.e., shipboard microgrid, seaport microgrid, are illustrated and then the coordination between them is shown.

1.3.1 Shipboard Microgrid

With full electrification, the integrated power system of ships formulates a microgrid, and the ship is referred as "AES", which is illustrated in Fig. 1.15.

From above, the shipboard microgrid consists of both an energy network (blue lines and arrows) and a communication network (green lines and arrows). The generators and battery deliver power via the energy network to meet the propulsion and service loads. The propulsion load is used to drive the ship. The service load supplies electricity to various onboard equipment, including the onboard radar, navigation system, air conditioning, as well as the gas capture system in Sect. 1.2.2.5. In the future, fuel cells may further replace the generators to act as the main power sources. To further improve the energy efficiency of AES, renewable energy can be integrated, like the photovoltaic modules in Fig. 1.15. As for the communication network, the shipboard energy management system (EMS) can optimally calculate the generators and battery outputs and then send the dispatch signals to each component by it.

A special case is the cruise ship since the large scale of thermal load demand onboard. In fact, the shipboard microgrid of cruise ship can be viewed as an MES [77], shown as Fig. 1.16.

The main differences between Figs. 1.15 and 1.16 are the involvement of heat flow. In a cruise ship, the combined cooling/heating power generator (CCHP) and power to cooling/heating (PTC) equipment are installed to act as the heating sources, and the electrical flow and heating flow should be coordinated to achieve a better economic and environmental behaviors.
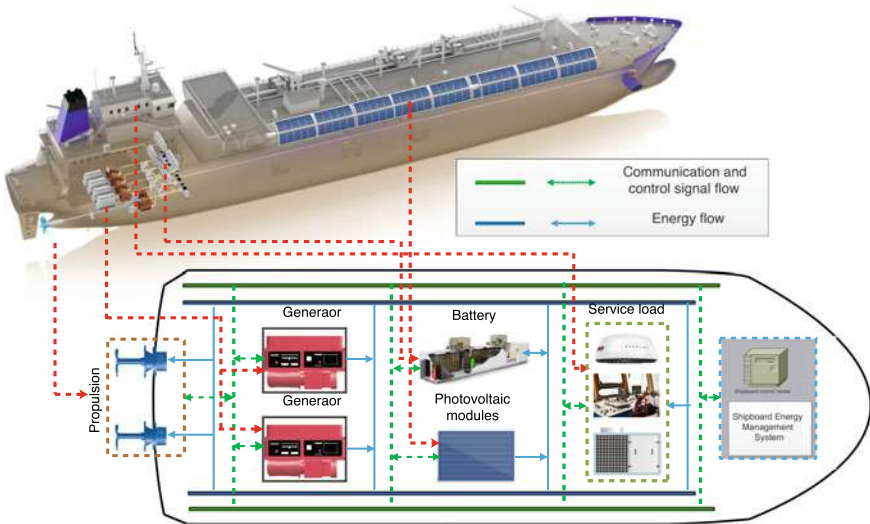
Fig. 1.15 Typical topology of future all-electric ships, reprinted from [24], with permission from IEEE
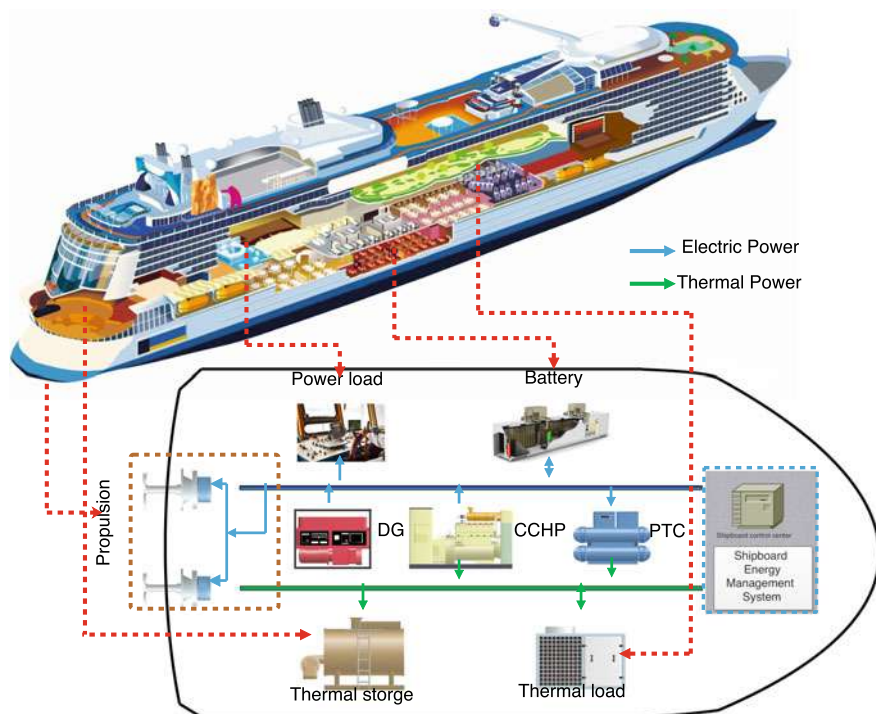
Fig. 1.16   Topology of a multi-energy cruise ship, reprinted from [77], with permission from IEEE

1.3.2   Seaport Microgrid

Seaport microgrid is a newly proposed concept for seaport management, which is depicted by [24]. The incentive of the seaport microgrid is to make it as an energy district to improve renewable energy penetration and enhance the grid storage capacity by selling the electricity to the market through the main grid. There are already many practical cases around the world of seaport microgrid. In [78], the author advocated the harbor area as a unique territory that should have new business models with its energy plan. In [79], two practical projects of seaport microgrids in Hamburg (German) and Genoa (Italy), are manifested in detail, and the operating data proves the validity of seaport microgrid.

A typical seaport microgrid is illustrated in Fig. 1.17. Generally, the seaport is connected with the main grid and various renewable energy are integrated, i.e., seaport wind farms and PV farms. All the port-side equipment, including the quay cranes, gantry cranes, transferring trunks, are electrical-driven.

The seaport provides four types of services to the berthed-in ships: (1) logistic service. The berth allocation and quay crane scheduling for loading/unloading cargo; (2) fuel transportation. Unloading or refilling fuel for the berthed-in ships; (3) cold-ironing. Providing electricity to the berthed-in ships; and (4) refrigeration reefer for
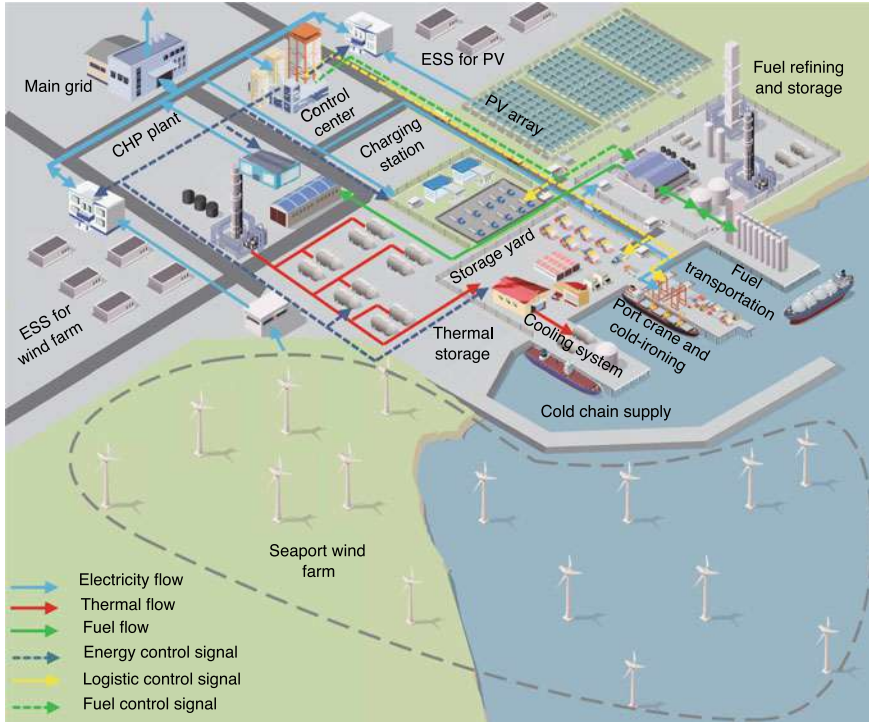
Fig. 1.17   Typical topology of future port microgrid

the cold-chain supply. With the above multiple energy flows involved, the future seaport microgrid is a "**maritime multi-energy system**" [24], and the port central control should give both the energy and logistic control signals to each sub-system in the seaport [24].

1.3.3   Coordination Between Shipboard and Seaport Microgrids

In the future, the connection between the ship and the port is no longer limited in the logistic-side, and will be also expanded to the electrical-side. Figure 1.18 shows the coordination between the ships and ports. When the ship berthed in, the seaport will allocate a berth position and some corresponding port cranes for loading/unloading onboard cargos. In the electric-side, the berthed-in ship is directly connected to the seaport by the AC/DC converters, and all the load demands are met by the on-shore side. The seaport becomes a coordinated electric-logistic multi-microgrid system.
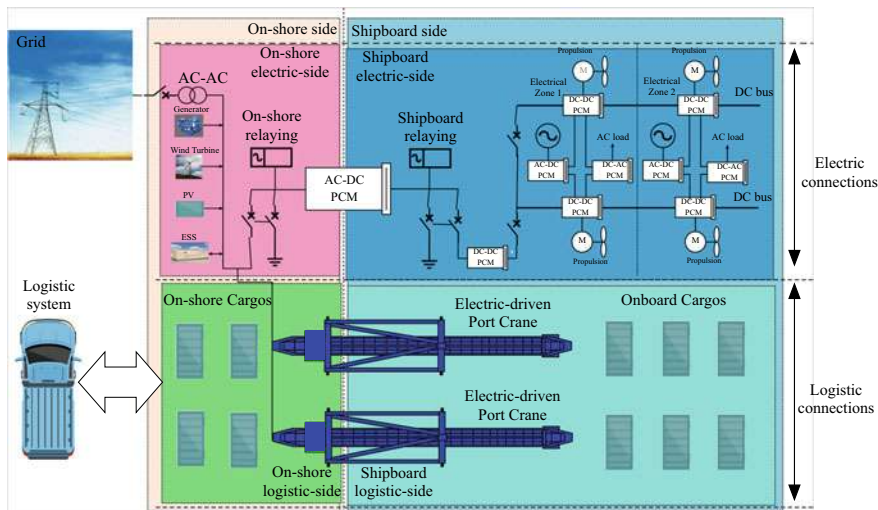
Fig. 1.18 Coordination between the seaport microgrid and shipboard microgrid, reprinted from [24], with permission from IEEE

1.4 Summary

In this chapter, we have concluded that the maritime grids are those local energy networks installed in harbor ports, ships, ferries, or vessels, which consists of generation, storage and critical loads, and are able to operate either in grid-connected or in islanded modes and operate under both the constraints of power system and maritime transportation system. After the illustration of various promising technologies which are about to integrate, the implementation of next-generation maritime grids is suggested to be a promising approach to resolve the energy efficiency problem of the maritime transportation system, and may have the ability to re-shape the future relationship between the ocean and inland.

Using full-electrification as the backbone, the future maritime grids, i.e., all-electric ships, seaport microgrids, and various electrified ocean platforms, become the "**maritime multi-energy system**", which requires an advanced energy management system to achieve the economic and environmental targets. From the aspect of electrical engineering, the future maritime grids are a special type of power systems. In land-based applications, the optimization-based power system operation has been extensively studied and should be expanded to the maritime grids for future usages. This is also the main goal of this book, i.e., the optimization-based energy management for the next-generation maritime grids.

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Chapter 2
Basics for Optimization Problem

2.1 Overview of Optimization Problems

2.1.1 General Forms

In different engineering scenarios, the maximizing or minimizing of some functions relative to some sets are common problems. The corresponding set often represents a range of choices available in a certain situation, and the "solution" infers the "best" or "optimal" choices in this scenario. Some common applications include "minimal cost, maximal profit, minimal error, optimal design, and optimal management". This type of problem has a general form as follows.

$$\min_{x} / \max_{x} f(x)$$
$$s.t.\, h(x) \leq 0 \qquad (2.1)$$
$$g(x) = 0, \forall x \in S$$

In (2.1), $f(x)$ is the objective function, and represents the management tasks; "min" and "max" represent the minimizing and maximizing of $f(x)$, respectively; x is the decision variables, and represents the choices of administrator; $h(x) \leq 0$ and $g(x) = 0$ are the inequality and equality constraints to limit the decision variables, which represents the limitations on the choices of administrator by different operating scenarios; S is the original set for the decision variables, such as continuous variables, binary variables, integer variables, and so on. In this problem, the model expects to find the "best" or "optimal" solution "x^*" which meets the minimization or maximization of $f(x)$, and in reality, this may represent the minimization of costs or the maximization of profits. Here we give a simple case, Example 2.1, for the optimization problems.

Example 2.1: Knapsack Problem

Assuming we have n types of goods and indexed by $i \in 1, 2, 3 \ldots, n$. Each good values W_i and the size is S_i, and we have a knapsack with the capacity of C. The problem is how we can pack the goods with the highest value? The model of this problem is shown as follows.

$$\max \sum_{i=1}^{n} W_i \cdot x_i$$
$$s.t. \ \sum_{i=1}^{n} S_i \cdot x_i \leq C \tag{2.2}$$
$$x_i \in \{0, 1\}$$

In (2.2), x_i is the "decision variables", and represents the choice of the ith good or not. If choosing the ith good into the knapsack, $x_i = 1$ and if not, $x_i = 0$. $x_i \in \{0, 1\}$ is the original set of "decision variables". $\sum_{i=1}^{n} W_i \cdot x_i$ is the "objective function", and represents the total values of the selected goods, and $\sum_{i=1}^{n} S_i \cdot x_i \leq C$ is the "constraint", represents the total sizes of goods that should be smaller or equal to the capacity of the knapsack. The "best" or "optimal" solution "$\{x_i^*, i \in 1, 2, 3 \ldots, n\}$" can achieve the maximization of $\sum_{i=1}^{n} W_i \cdot x_i$.

Case Study for Example 2.1

Here we test a simple case, and the parameters are shown as follows: $n = 5$, $\{W_i | i = 1, 2, \ldots, 5\} = [2, 3, 1, 4, 7]$, and $\{S_i | i = 1, 2, \ldots, 5\} = [2, 2, 1, 2, 3]$, and $C = 6$. The simulation results are shown in Fig. 2.1.

From the Fig. 2.1, the best solution for Example 2.1 is to select the 3rd, 4th and 5th goods, and the maximal total value is 12, and the total size of goods is 6.
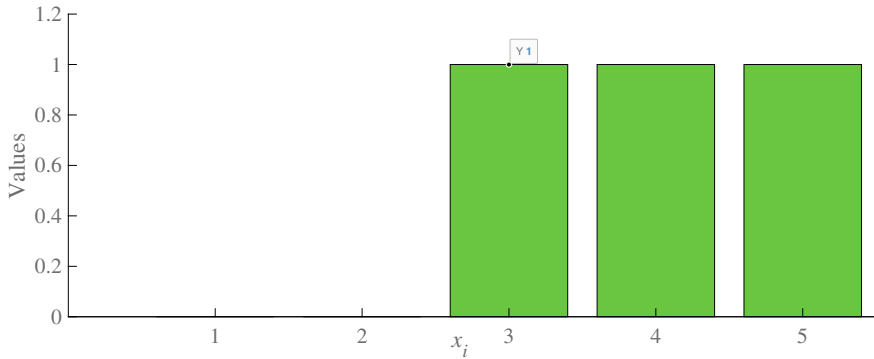
Fig. 2.1 Simulation results of Example 2.1

2.1.2 Classifications of Optimization Problems

(1) Classifications by decision variables

The decision variable x may consist of different number types, such as continuous variables, binary variables, and integer variables, and the combination of different number types produces different optimization problems. For example, if x only consists of continuous variables, then problem (2.1) is "continuous optimization", and if x only consists of binary variables or integer variables, then problem (2.1) is "binary optimization" or "integer optimization". If x simultaneously has continuous variables and integer variables, then problem (2.1) is "mixed-integer optimization".

(2) Classifications by the objective function

Generally, objective function $f(x)$ can be a scalar or vector and based on it, problem (2.1) is "single-objective optimization" when $f(x)$ is a scalar and "multi-objective optimization" or "vector optimization" when $f(x)$ is a vector.

(3) Linear optimization and non-linear optimization

In practical cases, $f(x), h(x)$ and $g(x)$ may have different mathematical characteristics. If $f(x), h(x)$ and $g(x)$ are all linear functions, problem (2.1) is "linear optimization (LP)", and is "non-linear optimization (NLP)" if anyone in $f(x), h(x)$ and $g(x)$ is non-linear. Specifically, if $f(x)$ is non-linear, and $h(x)$ and $g(x)$ are both linear, then problem (2.1) is "linear constrained and non-linear objective optimization (LCNLP)", and if $f(x)$ is linear, and $h(x)$ and $g(x)$ are both non-linear, then problem (2.1) is "non-linear constrained and linear objective optimization". Here we give some typical cases, if $f(x), h(x)$ and $g(x)$ are all polynomials and the largest power is two, then problem (2.1) is "quadratic optimization (QP)". Similarly, we can define the "quadratic-objective quadratic-constrained optimization (QCQP)", "quadratic-objective linear-constrained optimization (LCQP)", and so on.

(4) Convex optimization and non-convex optimization

Before introducing the convex optimization and non-convex optimization, the convex function and convex set should be described in the first place. Firstly, convex functions should meet (2.3) for any x_1 and x_2 in the domain of $f(x)$ [1].

$$f(\alpha \cdot x_1 + (1 - \alpha) \cdot x_2) \leq \alpha \cdot f(x_1) + (1 - \alpha) \cdot f(x_2), \forall \alpha \in [0, 1] \qquad (2.3)$$

Then the convex set S should meet: for any two points in S, denoted as s_1 and s_2, their linear combination $\alpha \cdot s_1 + (1 - \alpha) \cdot s_2$ is still within S [1]. Illustrations for convex function and convex set are shown in Fig. 2.2a and b, respectively.

From Fig. 2.2a, $x_3 = \alpha \cdot x_1 + (1 - \alpha) \cdot x_2$ and $f_3(x_3) < \alpha \cdot f_3(x_1) + (1 - \alpha) \cdot f_3(x_2)$, thus $f_3(x)$ is a convex function. Similarly, $f_1(x)$ is a concave function, and $f_2(x)$ is a convex function and also a concave function. From Fig. 2.2b, any linear combination

(a) convex and concave functions   (b) convex and non-convex sets
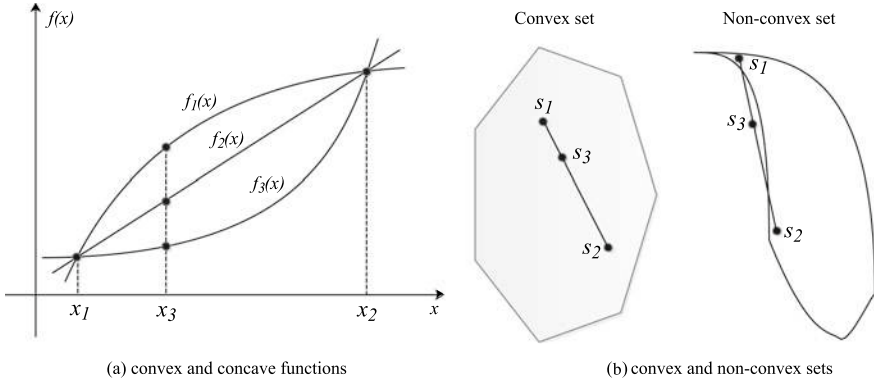
Fig. 2.2 Illustrations of convex functions and convex sets

of s_1 and s_2 belongs to the same set, which represents the convexity. For the non-convex set, at least one combination of s_1 and s_2 is outside the same set, shown in Fig. 2.2b.

With the above definitions, (2.1) is a convex optimization problem when the following two conditions satisfied: (1) $f(x)$ is convex in case of minimization and concave in case of maximization; (2) $S = \{x|h(x) \leq 0, g(x) = 0, \forall x \in S\}$ is a convex set. The main characteristic of the convex optimization compared with non-convex optimization is, a local optimal solution of the convex optimization is also the global optimal solution of this convex optimization [1]. This characteristic greatly benefits the applications of convex optimization, and in reality, if we can model or reformulate the problems as convex optimization, then the global optimal solution can be obtained after resolving any local optimal ones. This is one of the main reasons for "the main watershed in optimization problem is not between the linear ones and non-linear ones, but the convex ones and non-convex ones" [1].

In summary, the classification methods can be combined to characterize different optimization problems, such as "mixed-integer linear optimization (MILP)", "mixed-integer non-linear optimization (MINLP)", "mixed-integer quadratic optimization (MIQCP)", and so on.

2.2   Optimization Problems with Uncertainties

Uncertainties are inevitable in reality since the measurement and control both have errors. To ensure safety and reliability, considering uncertainties in optimization problems is necessary, and stochastic optimization, robust optimization, and interval optimization are three main types.

2.2.1 Stochastic Optimization

A general form of stochastic optimization is shown as (2.4) [2].

$$\min_{x \in X} g(x) + E\left(\min_{y \in Y(x, \xi)} f(y)\right) \tag{2.4}$$

In stochastic optimization (Eq. 2.4), x is the first stage decision variables which are not determined by uncertainties; X is the feasible region of x; $g(x)$ is the objective function of the first stage; ξ is the uncertain variables, and $Y(x, \xi)$ is the feasible region of y determined by x and ξ; $f(y)$ is the objective function of the second stage; $E(\cdot)$ is the expectation. In this model, the uncertain variable ξ is depicted by the probability distribution, such as the probability distribution of equipment failure, or the probability distribution of renewable energy output, and so on. Then stochastic optimization seeks the optimal solution within the feasible region defined by the probability distributions. To clearly show the stochastic optimization, Example 2.2 is reformulated as follows.

Example 2.2: Stochastic Knapsack Problem
Based on all the assumptions of Example 2.1, we further assume that for $\forall i \in \{1, 2, \ldots, n_f\}$, W_i is a constant, and for $\forall i \in \{n_f, n_f + 1, \ldots, n\}$, $W_i = W_c + \Delta W_i$, where W_c is a constant and ΔW_i follows a pre-given distribution ψ. Then the original knapsack problem becomes (2.5).

$$\max\left(\sum_{i=1}^{n_f} W_i \cdot x_i + \sum_{i=n_f}^{n} W_c \cdot x_i\right) + E\left(\max\left(\sum_{i=n_f}^{n} \Delta W_i \cdot x_i\right)\right)$$
$$s.t. \quad \sum_{i=1}^{n} S_i \cdot x_i \leq C \tag{2.5}$$
$$x_i \in \{0, 1\}, \quad \Delta W_i \in \psi$$

where $\left(\sum_{i=1}^{n_f} W_i \cdot x_i + \sum_{i=n_f}^{n} W_c \cdot x_i\right)$ is "$-g(x)$", and the "$-$" is to transform the maximization of (2.5) to the minimization of (2.4), and this term is not influenced by the uncertainties; $\sum_{i=n_f}^{n} \Delta W_i \cdot x_i$ is $f(y)$ which is influenced by the uncertainties; and $x = \{x_i | i = 1, 2, \ldots, n_f\}$, and $y = \{x_i | i = n_f, n_f + 1, \ldots, n\}$.

Case Study for Example 2.2 Here we test a simple case, and the parameters are shown as follows: $n = 5$, $\{W_i | i = 1, 2, 3\} = [2, 3, 1]$, and $\{W_c | i = 4, 5\} = [4, 7]$, and $\{\Delta W_i | i = 4, 5\}$ is normally distributed as $\mathcal{N}(0, 1)$, and $\{S_i | i = 1, 2, \ldots, 5\} = [2, 2, 1, 2, 3]$, and $C = 6$. The simulation results are shown in Fig. 2.3a and b.

From the Fig. 2.3a, the best solution for Example 2.2 is also to select the 3rd, 4th and 5th goods, and the expected maximal total value is 12.23, and the total size of goods is 6. The main difference between the stochastic optimization (2.5) and the conventional deterministic problem (2.2) is the uncertainties of ΔW_i will cause the uncertainties of objective function, which is shown as Fig. 2.3 (b).

(a) Decision variables

(b) Frequency and probability density of objective function
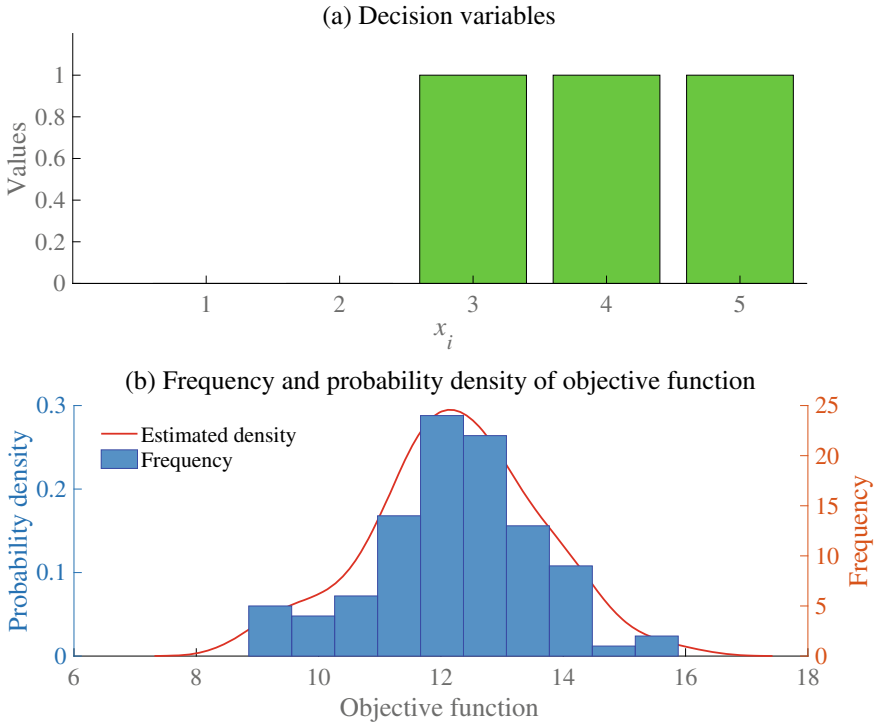
Fig. 2.3 Simulation results of Example 2.2

2.2.2 *Robust Optimization*

A general form of robust optimization is shown as (2.6) [3].

$$\min_{x \in X} g(x) + \max_{\xi \in U} \left(\min_{y \in Y(x,\xi)} f(y) \right) \tag{2.6}$$

In robust optimization (Eq. 2.6), the main difference is the uncertain variable ξ is described by the uncertainty set U, including the upper/lower limits and the uncertainty budget. Then robust optimization seeks the optimal solution in the worst case in the defined uncertainty set and therefore brings conservatism. With above, the primary problem of the uncertainty modeling is how to determine the feasible regions, such as the probability distributions in stochastic optimization and the uncertainty set in robust optimization. Similarly, we can give a robust knapsack problem as Example 2.3.
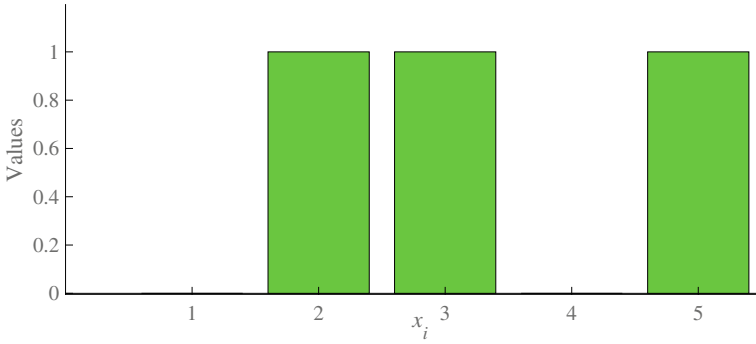
Fig. 2.4   Simulation results of Example 2.3

Example 2.3: Robust Knapsack Problem

Based on all the assumptions of Examples 2.1 and 2.2, we further assume ΔW_i is within a range denoted as $[W_L, W_U]$, and the robust knapsack problem can be shown as (2.7). The meaning of each part is similar to the stochastic model of (2.5).

$$\max\left(\sum_{i=1}^{n_f} W_i \cdot x_i + \sum_{i=n_f}^{n} W_c \cdot x_i\right) + \min_{\Delta W_i}\left(\max\left(\sum_{i=n_f}^{n} \Delta W_i \cdot x_i\right)\right)$$
$$s.t. \sum_{i=1}^{n} S_i \cdot x_i \leq C$$
$$x_i \in \{0, 1\}, \ \Delta W_i \in [W_L, W_U] \tag{2.7}$$

Case Study for Example 2.3

Here we test a simple case, and the parameters are shown as follows: $n = 5$, $\{W_i | i = 1, 2, 3\} = [2, 3, 1]$, and $\{W_c | i = 4, 5\} = [4, 7]$, and $\{\Delta W_i | i = 4, 5\} \in [-2, 1]$, and $\{S_i | i = 1, 2, \dots, 5\} = [2, 2, 1, 2, 3]$, and $C = 6$. The simulation results are shown in Fig. 2.4.

From the Fig. 2.4, the best solution for Example 2.3 in robust optimization becomes the 2nd, 3rd and 5th goods, and the value of the objective function is 9. This change is due to the risk of the 4th good, since in the worst case, its value becomes 2, and it is not worthy to select. From the above results, we can find the results of robust optimization is conserve.

2.2.3   Interval Optimization

Interval optimization can be viewed as an enhancement of robust optimization and consisted of a lower sub-problem and an upper sub-problem, shown as (2.8) [4], and the upper sub-problem is similar with the robust optimization of (2.6). It should

be noted that, for the maximization problem, the lower sub-problem is a robust optimization problem. The main advantage of interval optimization is the interval obtained can be used to analyze the influences of uncertainties on the system. A case is given as Example 2.4.

$$
\left[\underbrace{\min_{x \in X} g(x) + \min_{\xi \in U} \left(\min_{y \in Y(x,\xi)} f(y) \right)}_{Lower\ sub-problem},\ \underbrace{\min_{x \in X} g(x) + \max_{\xi \in U} \left(\min_{y \in Y(x,\xi)} f(y) \right)}_{Upper\ sub-problem} \right] \quad (2.8)
$$

Example 2.4:Interval Knapsack Problem

$$
Lower:\max \left(\sum_{i=1}^{n_f} W_i \cdot x_i + \sum_{i=n_f}^{n} W_c \cdot x_i \right) + \min_{\Delta W_i} \left(\max \left(\sum_{i=n_f}^{n} \Delta W_i x_i \right) \right) \quad (2.9)
$$

$$
Upper:\max \left(\sum_{i=1}^{n_f} W_i \cdot x_i + \sum_{i=n_f}^{n} W_c \cdot x_i \right) + \max_{\Delta W_i} \left(\max \left(\sum_{i=n_f}^{n} \Delta W_i x_i \right) \right) \quad (2.10)
$$

Case Study for Example 2.4

The parameters of Example 2.4 is the same as Example 2.3, and the decision variables keep the same as Example 2.3, shown as Fig. 2.5, and the range of objective function is [9, 12]. From this, we can see the interval optimization can give both pessimistic and optimistic scenarios.

In summary, how to get the range of uncertain variables, i.e., the probability distribution function or the uncertainty set of ξ, is the basic problem of the optimization model. Nowadays, with the development of measurement and communication technology, more operating data can be transmitted and stored in the control center in
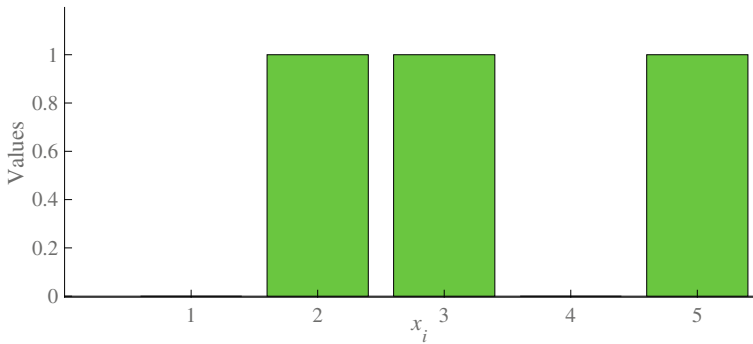
Fig. 2.5 Simulation results of Example 2.4

real-time. How to use this type of massive data to model the feasible region of uncertainty has become a hot topic, and various methods have been proposed. This topic will discuss in Chap. 4.

2.3 Convex Optimization

The importance of convex optimization has been emphasized in the former context, and in practical cases, we always want to model or reformulate a complex problem as convex ones, and the semi-definite programming (SDP) and the second-order cone programming (SOCP) are two classic types and have been well studied, which has gained the concerns from both academic and industry.

2.3.1 Semi-definite Programming

The general form of SDP is given as (2.11) [5].

$$\min A_0 \cdot X$$
$$s.t.\ A_p \cdot X = b_p,\ (p = 1, 2, .., m) \tag{2.11}$$
$$0 \preccurlyeq X \in S^n$$

where A_0, A_p are all coefficient matrixes; X is the decision matrix which should be semi-definite; b_p is a coefficient vector; S^n is the real space with n dimensions. Conventional linear optimization (LP) and quadratic optimization (QP) can be both formulated as SDP by defining $X = x \cdot x^T$ [6], then many commercial solvers can be used to solve the reformulated SDP for the global optimal solution, like Sedumi.

2.3.2 Second-Order Cone Programming

The general form of SOCP is given as (2.12) [7].

$$\min f^T \cdot x$$
$$s.t.\ ||A_i \cdot x + b_i||_2 \le c_i^T \cdot x + d_i, i = 1, 2, \ldots, n \tag{2.12}$$
$$F \cdot x = g$$

where f^T, A_i, b_i, c_i^T, d_i, F, g are all coefficient vectors or matrixes; x is the decision variables. It should be noted that the objective function is no need to be linear, and

quadratic objective function can also be solved like conventional SOCP. Similarly, many types of optimization problems can be reformulated as SOCP, and several cases are given below to show the usages of SOCP.

(1) Quadratic terms

For quadratic terms like x^2, it can be relaxed by the following (2.13) [8].

$$x^2 \leq W, ||2W, \gamma - x||_2 \leq \gamma + q \tag{2.13}$$

(2) Bilinear terms

For bilinear terms like $x \cdot y$, it can be relaxed by the following (2.14) [8].

$$x \cdot y = z \tag{2.14}$$

$$\frac{1}{2}(x + y)^2 - \frac{1}{2}(x^2 + y^2) \leq z$$
$$\frac{1}{2}(x^2 + y^2) - \frac{1}{2}(x + y)^2 \leq z \tag{2.15}$$

In (2.15), $-\frac{1}{2}(x^2 + y^2)$ and $-\frac{1}{2}(x + y)^2$ are concave, and the following convex-concave procedure can be used to convexify them [9].

$$\frac{1}{2}(x + y)^2 - \frac{1}{2}(\bar{x}^2 + \bar{y}^2) - \bar{x} \cdot (x - \bar{x}) - \bar{y} \cdot (y - \bar{y}) \leq z$$
$$\frac{1}{2}(x^2 + y^2) - \frac{1}{2}(\bar{x} + \bar{y})^2 - (\bar{x} + \bar{y})(x - \bar{x} + y - \bar{y}) \leq z \tag{2.16}$$

where $(\bar{x}, \bar{y})$ is a constant reference point.

(3) Exponential terms

For bilinear terms like e^x, it can be relaxed by the following (2.17).

$$y = e^x, \log(y) \geq x, \log(y) \leq x \tag{2.17}$$

Then at a reference point $\bar{y}$, (2.17) can be reformulated as (2.18) similarly by the convex-concave procedure [9].

$$\log(\bar{y}) + \frac{1}{\bar{y}} \cdot (y - \bar{y}) \leq x \tag{2.18}$$

2.4 Optimization Frameworks

2.4.1 Two-Stage Optimization

In reality, there are many cases that the decision variables cannot be determined in the same time, and this is the main motivation of two-stage optimization. The stochastic and robust optimization models in (2.4) and (2.6) are both two-stage optimization. Here we give a general form of two-stage optimization as (2.19) [10].

$$
\begin{aligned}
&\min_{x \in X} g(x) + \min_{y \in Y} f(y) \\
&s.t. \ \ l(x) \leq 0, h(y) \leq 0 \\
&\qquad G(x, y) \leq 0
\end{aligned} \tag{2.19}
$$

In the above formulation, $g(x)$ and $f(y)$ are the objective functions of the first stage and the second stage, respectively; and x, y are the corresponding decision variables; $l(x) \leq 0$, $h(y) \leq 0$ are the corresponding constraints and $G(x, y) \leq 0$ is the coupling constraints. It should be noted that, two-stage means x, y cannot be determined in the same time. To clarify this problem, Example 2.5 is given below.

Example 2.5: Two-stage Knapsack problem
Based on all the assumptions of Example 2.1, we assume that the ith good when $i = 1,2,...,n_1$ is available now and the ith good when $i = n_2, \ldots, n$ will be available after some times, and $n_2 \leq n_1$. The objective is still the maximization of the total values, but each good can only be selected one time. Then the optimization problem becomes (2.20).

$$
\begin{aligned}
&\min_{x \in X} \sum_{i=1}^{n_1} W_i \cdot x_i + \sum_{j=n_2}^{n} W_i \cdot y_j \\
&s.t. \ \ \sum_{i=1}^{n_1} S_i \cdot x_i \leq C, \ \sum_{j=n_2}^{n} S_j \cdot y_j \leq C, x_i \in \{0, 1\}, y_j \in \{0, 1\} \\
&\qquad x_i + y_j \leq 1, i \in n_1, \ldots, n_2
\end{aligned} \tag{2.20}
$$

In the above formulation, $\sum_{i=1}^{n_1} W_i \cdot x_i$ and $\sum_{j=n_2}^{n} W_i \cdot y_j$ are the objective functions of the first stage and the second stage, respectively, and $\sum_{i=1}^{n_1} S_i \cdot x_i \leq C$, $\sum_{j=n_2}^{n} S_j \cdot y_j \leq C$ are their corresponding constraints, and $x_i + y_j \leq 1, i \in n_1, \ldots, n_2$ is the coupling constraints.

Case study for Example 2.5
Here we test a simple case, and the parameters are shown as follows: $n = 5, n_1 = 3$ and $n_1 = 2$, and $\{W_i | i = 1, 2, \ldots, 5\} = [2, 3, 1, 4, 7]$, and $\{S_i | i = 1, 2, \ldots, 5\} = [2, 2, 1, 2, 3]$, and $C = 6$. The simulation results are shown in Fig. 2.6.

From Fig. 2.6, the final objective function is 13 by the final selections of the 1st, 2nd, 3rd, and 5th goods. In the first stage, the capacity of the knapsack is 4, and
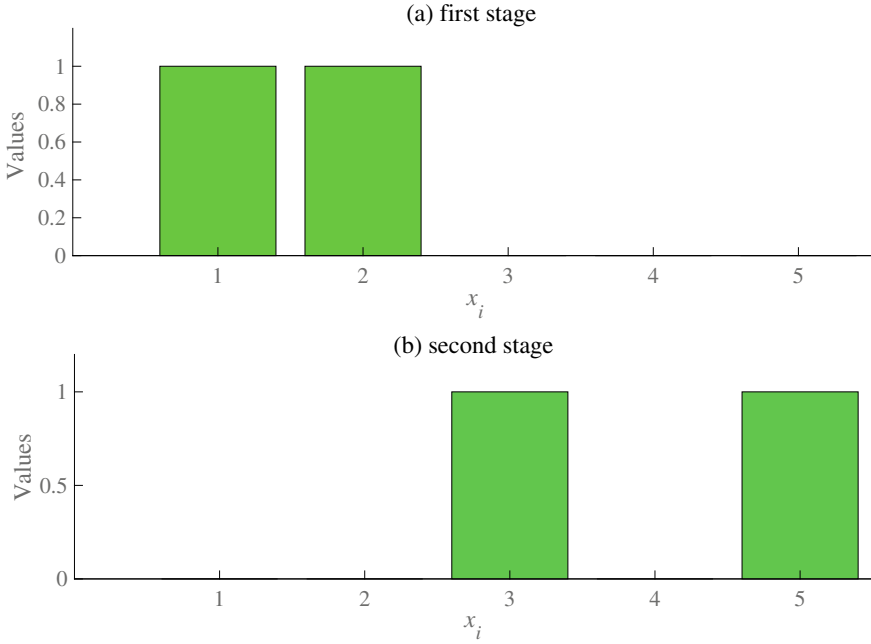
Fig. 2.6 Simulation results of Example 2.5

the 1st and 2nd goods are selected, then in the second stage, the 3rd and 5th goods are selected, and no good has been selected for twice. If the coupling constraint $x_i + y_j \leq 1, i \in n_1, \ldots, n_2$ is eliminated and the value of the 3rd good comes to 2, then the final selections are the 2nd good, and 3rd good for twice and the 5th good, and the objective function comes to 14.

In summary, the coupling constraint in two-stage optimization is essential which could influence the final results. Which is proved by many practical cases, the modifications on the coupling constraints benefit the objective function [10, 11].

2.4.2 Bi-level Optimization

Bi-level optimization is a special type of two-stage optimization and has a general formulation as following (2.21) [12]. In the following formulation, $F(x, y)$ represents the upper-level objective function and $f(x, z)$ represents the lower-level objective function. Similarly, x represents the upper-level decision vector and y represents the lower-level decision vector. $G_i(x, y)$ and $g(x, z)$ represents the inequality constraint functions at the upper and lower levels respectively. We can find that y is the decision variable of $F(x, y)$ and also the optimal decision variable to minimize $f(x, z)$. The upper and lower levels are coupled to achieve the overall optimum. Here we also give Example 2.6.

$$\min_{x \in X, y \in Y} F(x, y)$$
$$s.t.\ G_i(x, y) \le 0, i \in 1, 2, \ldots, I \tag{2.21}$$
$$y \in arg\ \min_{z \in Y}\{f(x, z): g(x, z) \le 0\}$$

Example 2.6: Bi-level Knapsack problem

Based on all the assumptions of Example 2.1, we assume inside the outer knapsack with the capacity of C_o, there is a small bag which holds the most valuable goods, and the capacity is C_s, and the objective is to maximize the total values and also in the small bag. Then the optimization problem becomes (2.22).

$$\max\left(\sum_{i=1}^{n_f} W_i \cdot x_i + \sum_{i=n_f}^{n} W_i \cdot x_i\right)$$
$$s.t.\ \sum_{i=1}^{n_f} S_i \cdot x_i \le C_o - C_s, x_i \in \{0, 1\} \tag{2.22}$$
$$\{x_i | i = n_f, n_f + 1, \ldots, n\} = argmax\left\{\sum_{i=n_f}^{n} W_i \cdot x_i | \sum_{i=n_f}^{n} S_i \cdot x_i \le C_s\right\}$$

In the above formulation, $\sum_{i=1}^{n_f} W_i \cdot x_i + \sum_{i=n_f}^{n} W_i \cdot x_i$ and $\sum_{i=n_f}^{n} W_i \cdot x_i$ are the objective functions of the upper level and lower level, respectively. $\sum_{i=1}^{n_f} S_i \cdot x_i \le C_o - C_s$ and $\sum_{i=n_f}^{n} S_i \cdot x_i \le C_s$ are their constraints, respectively.

Case study for Example 2.6

Here we test a simple case, and the parameters are shown as follows: $n = 5, n_f = 2$, and $\{W_i | i = 1, 2, \ldots, 5\} = [2, 3, 1, 4, 7]$, and $\{S_i | i = 1, 2, \ldots, 5\} = [2, 2, 1, 2, 3]$, and $C_s = 3$, and $C_o = 6$. The simulation results are shown in Fig. 2.7. From the results, the lower level selects the 5th good in the first place and then in the upper level, the 2nd and 3rd goods are selected, and the final objective function comes to 11.

2.5 Summary

This chapter has briefly introduced the frequently used optimization models in engineering, and listed several important literature in the references for the readers. Simple testcases are also given to show different types of optimization models, and the models above will be used in the rest chapters of this book.
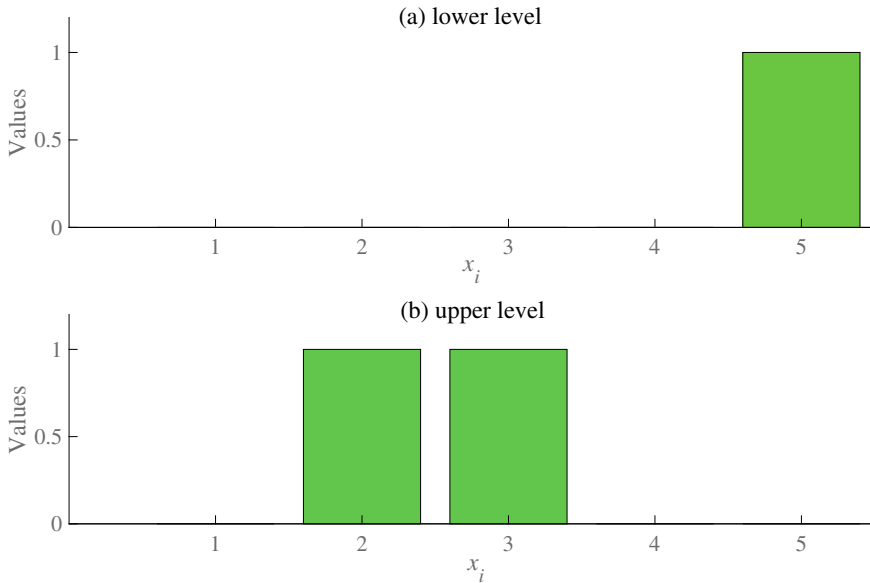
Fig. 2.7 Simulation results of Example 2.6

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Chapter 3
Mathematical Formulation of Management Targets

3.1 Overview of the Management Tasks

Generally, maritime grids are designed to fulfil different missions, and during the missions, different management tasks should be achieved, which can be mainly classified as five types: (1) thermodynamic tasks; (2) environmental tasks; (3) economic tasks; (4) logistic tasks; (5) service tasks. Five types are grouped in Table 3.1.

Chapter 1 has clarified the focus of this book: the long-term energy management of maritime grids, therefore the thermodynamic tasks are beyond the scope. In this chapter, six tasks are selected for their deep relationsip with the maritime grids.

3.2 Navigation Tasks

3.2.1 Typical Cases

As we all know, the ocean area covers more than 70 percent of our planet. In the following Fig. 3.1, we can see the main maritime shipping routes have connected the whole world. With the help of this meshed route grid and the main junctions, the bulk cargos, containers, and passengers are freely traveling by ships. Therefore, the primary management tasks for the maritime grids are the navigation tasks, which require the ships to arrive at the destination on time.

There are many different types of navigation tasks, and in this section, three representative cases are to show the navigation tasks for ships: (1) ferry routes for a short two-way trips; (2) cruise routes for a long-distance traveling; (3) cargo/container ship route for inland/oversea trading.

Table 3.1 Management tasks and articles

Management tasks		Article
Thermodynamic	Exergetic efficiency	[1]
	Exergy destruction	[2]
	Net power output	[3–5]
	Power output	[6]
	Maximum temperature	[7]
	Voltage fluctuation	[8]
Environmental	EEOI	[9]
	Gas emission	[10]
Economic	Operation cost	[9, 10]
	Fuel consumption	[9, 10]
	Investment cost	[10]
Logistic tasks	On-time rate	[11]
	Weather routing	[12]
	Cargo handling	[13]
Service tasks	Customer satisfaction	[14]

3.2.1.1 Ferry Route

In many rivers, lakes, or straits, it is neither economic nor environmental to build bridges above the water, and in those areas, ferries can usually act as one of the main transport vehicles. In the following Fig. 3.2, two ferry routes are shown.

Figure 3.2a shows the ferry routes between Singapore to Batam. The current ferries connect two ports in Singapore with five ports in Batam. There is a combination of 100 ferry-crossings each day across seven ferry routes, and seven routes are operated by four ferry companies, including Sindo Ferry, Horizon Fast Ferry, Batam Fast Ferry, and Majestic Fast Ferry, with the shortest crossing taking around 50 min (HarbourFront Centre to Sekupang) [16].

Figure 3.2b shows the ferry route between the banks of the Yangtze River in Chongqing, China, which connects the downtown of Chongqing "Chaotianmen Square" with the Nanbin Road. This route is a famous tourism route in China which has very nice urban views of the downtown and therefore it is not suitable to build a bridge. This ferry line has been operated for more than 30 years and the entire voyage consumes about 30 min.

Besides the above two cases, ferries are widely used in many other places in the world. Especially in north Europe, ferries can convey both the passengers and cars to pass many strait georges which are not suitable to build bridges.

Generally, the voyage of ferries is usually much shorter than other ships like the cruises or cargo ships, and the ferry routes are often located near cities or towns. Therefore the ferries are the pioneers of electrified ships for environmental concerns.
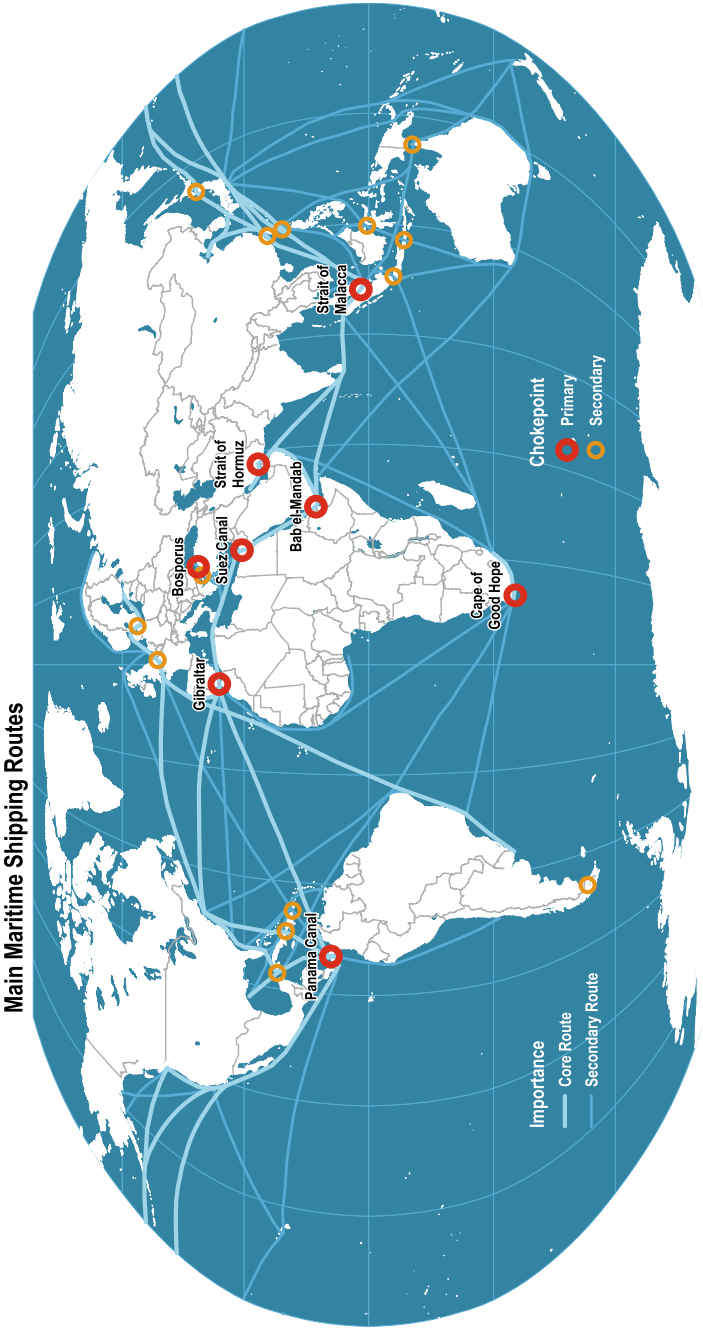
Fig. 3.1 Main maritime shipping routes, reprinted from [15], open access

(a) Singapore to Batam

(b) Banks of Yangtze river in Chongqing, China
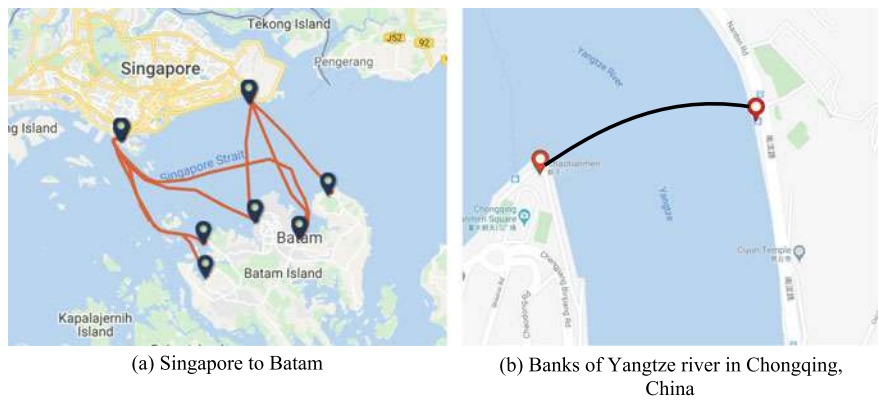
Fig. 3.2 Two cases of ferry routes

The practical cases include the first all-electric ferry "ampere" in Denmark, which is navigated only on batteries and can provide services with ZERO emission, and other cruise ships in Norled company.

3.2.1.2   Cruise Route

Cruise ships are mostly used for commercial purposes. Different from the short trips of ferries, cruise ships need to navigate for weeks with thousands of passengers and staff. Before the widespread of airlines, cruise ships were the only way for inter-continent traveling. Nowadays, cruise routes are mostly for tourism. Figure 3.3 gives

(a) Jakarta-Singapore-Penang

(b) Shanghai-Naha-Kagoshima-Shanghai
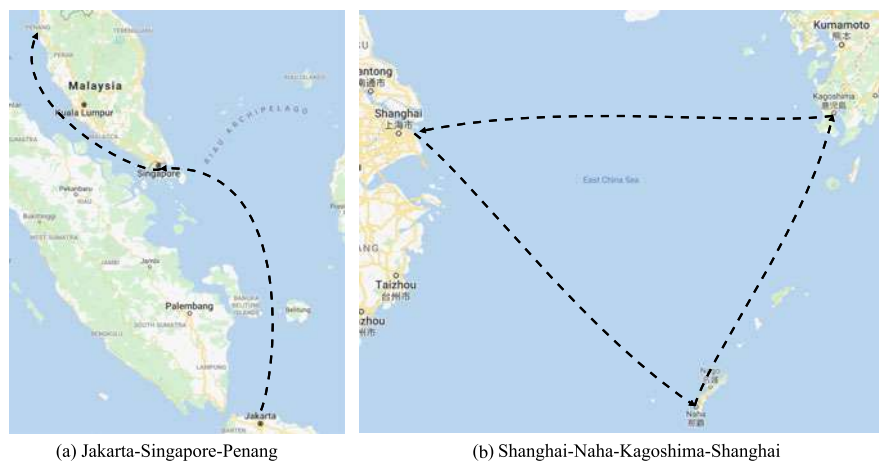
Fig. 3.3 Two cases of cruise routes

two examples of cruise routes.

Figure 3.3a shows a cruise route from Jakarta-Singapore-Penang, which is operated by the "Genting Dream" since 2016 [17]. The "Genting Dream" weights 151,300 dwt, and has 335 meters length, which can accommodate 4000 passengers and 2000 staff. The entire voyage lasts three days.

Figure 3.3b shows a cruise route from Shanghai-Naha-Kagoshima-Shanghai, which is operated by the "Norwegian Joy" since 2017 [18]. The "Norwegian Joy" weights 167,725 dwt, and has 333 meters length, which can accommodate 3800 passengers and 1800 staff. The entire voyage lasts six days.

In other places of the world, such as the Baltic Sea, the North Sea, the Caribbean Sea, and the Mediterranean Sea, there exist many types of cruise routes, and with the demand explosion of tourism, traveling by cruise ships will be more popular in the future.

3.2.1.3 Cargo/Container Ship Route

Nowadays, most of the oversea trading and a certain part of inland trading are based on maritime transportation, i.e., the cargo/container ships. Figure 3.4 shows a cargo/container ship route from Dalian, China to Aden, Yemen.

The total navigation time in Fig. 3.4 from Dalian to Aden takes 20 days. The oil tanker sails four times annually. Typical schedules are, the ship sets sail at 8:00 am on January 1st, April 1st, July 1st, and October 1st from Dalian, and returns on January 25th, April 25th, July 25th, and October 25th respectively from Aden [19].

Fig. 3.4 A case of cargo-container ship route, reprinted from [19], with permission from Elsevier

3.2.2 Mathematical Model

Three main types of navigation routes have been described above. There exist many modeling methods for navigation tasks. In the following, a general complete model will be described in the first place, and a simplified model is then depicted in detail.

3.2.2.1 Time-Space Network Modeling

Generally, the decision variables during different navigation routes include: (1) the calls for the ports, i.e., choosing which port to berth in; (2) the navigation speed during each time-period; and (3) the total navigation time, i.e., determining the total navigation time to meet the requirements of customers. With the decision variables above, the mathematical model of navigation tasks can be shown by the following time-space network as Fig. 3.5, which is also shown in Refs. [20–22] as the navigation routing problems.

Assuming $\mathcal{T}$ is the total navigation time-period and is divided into $N_{|\mathcal{S}|}$ time-intervals. Then the navigation task is modeled in a directed graph $\mathcal{G} = (\bigcup_{(t=1)}^{(N_{|S|})} S_t, A_v)$, where S_t is the navigation point set (ports) which can be selected in the t-th time interval, and A_v is the arc set which connects two concessive time-intervals, i.e., t and $t + 1$. Each element is denoted as $a = (f, t) \in A_v = \left(s_t^f, s_{t+1}^t | \forall s_t^f \in S_t, \forall s_{t+1}^t \in S_{t+1}, t \in \left[1, N_{|\mathcal{S}|} - 1 \right] \right)$. For the t-th time-interval, the
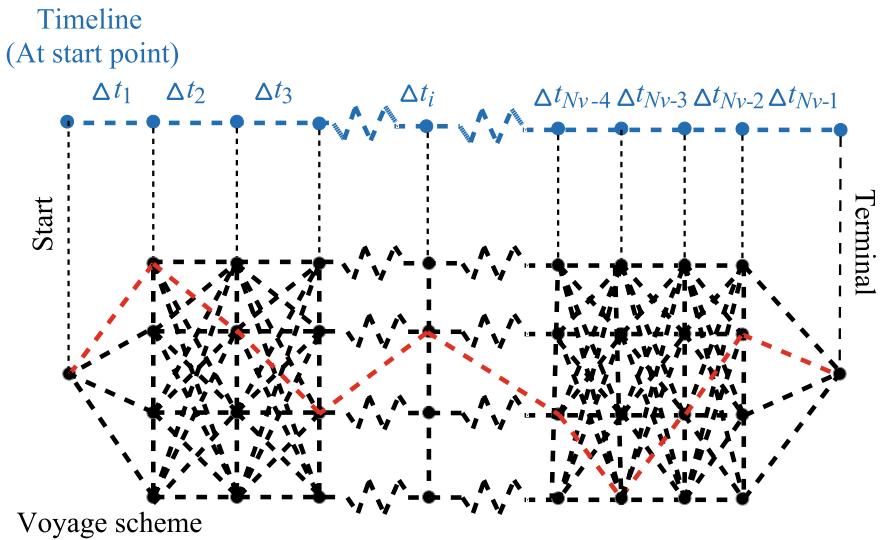
Fig. 3.5 Time-space network modeling of the navigation tasks

ship can choose an arc $a = \left(s_t^f, s_{t+1}^t \right)$ as the navigation route and $x_t^a = 1$ correspondingly, and in other cases, $x_t^a = 0$. The distance of (s_t^f, s_{t+1}^t) is denoted as l_a. The cruising speed is denoted as v_t^c in each navigation route. Then the navigation model can be shown as follows.

$$v_{t-1,t}^{\min} \leq v_t^c \leq v_{t-1,t}^{\min}, \ t \in \left[T_{t-1}, T_t \right] \tag{3.1}$$

$$T_t = T_{t-1} + T_t^{Na}, t \in N_{|\mathcal{S}|} \tag{3.2}$$

$$T_t^{Na} = \Delta t_t = \frac{\sum x_t^a \cdot l_a}{v_t^c}, t \in N_{|\mathcal{S}|} \tag{3.3}$$

$$T_t^{min} \leq T_t \leq T_t^{max}, t \in N_{|\mathcal{S}|} \tag{3.4}$$

$$\sum_{s_t^f \in \delta^+(k)} x_t^a - \sum_{s_{t+1}^t \in \delta^-(k)} x_t^a = b_k, \forall k \in \bigcup_{t=1}^{N_{|\mathcal{S}|}} S_t \tag{3.5}$$

where $v_{t-1,t}^{min}$, $v_{t-1,t}^{max}$ are the minimum and maximum navigation speed during time-period $t \in \left[T_{t-1}, T_t \right]$; T_t^{Na} is the consumed time of the navigation between $\left(s_{t-1}^f, s_t^t \right)$; T_t^{min}, T_t^{max} are the minimum and maximum consumed time when arriving at the port; $\delta^+(k)$ (resp. $\delta^-(k)$) denotes the set of arcs with the tail (resp. head) k; and $b_{s_t^f} = 1$, $b_{s_{t+1}^t} = -1$ and $b_k = 0$ for other cases.

Equation (3.1) represents the navigation speed should be within the upper and lower limits when navigation; Eq. (3.2) calculates the total consumed navigation time; Eq. (3.3) calculates the navigation time between two ports; Eq. (3.4) limits the total navigation time; Eq. (3.5) ensures the connectivity of the navigation scheme.

3.2.2.2 Simplified Modeling Method

In most cases, the navigation route is pre-determined and there is no need to re-schedule the route, and in those scenarios, the only action for determining an energy dispatch scheme is to adjust the navigation speed, and the above model in Sect. 3.2.2.1 can be simplified as Fig. 3.6. This simplification has been utilized in many research works [9, 10, 14, 23, 24].

Illustrated in Fig. 3.6, the voyage is divided into several time-intervals, and the duration of each time-interval is denoted as Δt. In each interval, the cruising speeds should be within the upper and lower bounds. Those time-intervals can be classified into two categories: (1) when the ship berths in the port (berthed intervals, denoted as T_b); (2) when the ship cruises within speed bounds (cruising intervals, denoted as T_c). During most time of T_c, the ship cruises around its nominal speed, while during
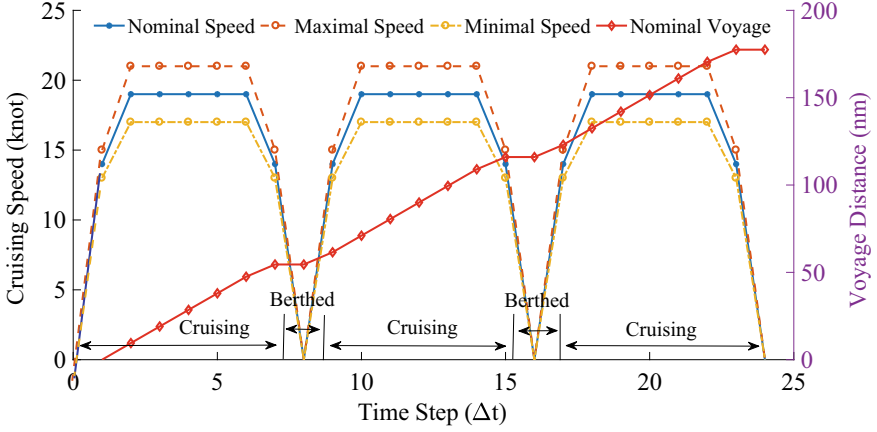
Fig. 3.6 Simplified navigation task model with a fixed route, reprinted from [9], with permission from IEEE

the time-intervals right approaching the port (partial-speed interval, denoted as T_p), it cruises at a slower speed. The relation between T_b, T_c is $T = T_b + T_c$, while the entire voyage horizon is $|\mathcal{K}|T$, and $|\mathcal{K}|$ is the number of ports.

As indicated in Fig. 3.6, the voyage distance between two consecutive time-intervals, i.e. t-th and t-1-th time-interval, is the accumulation of cruising speed with voyage duration Δt, which is represented as (3.6). Other constraints are shown in Eqs. (3.7)–(3.9).

$$Dist_t = Dist_{t-1} + v_t^c \cdot \Delta t \tag{3.6}$$

$$\left(1 - \delta_{D,k}^{max}\right) \cdot Dist_k^R \leq Dist_t \leq \left(1 + \delta_{D,k}^{max}\right) \cdot Dist_k^R, t \in T_p, t \neq |\mathcal{K}|T \tag{3.7}$$

$$Dist_{|\mathcal{K}|}^R \leq Dist_{|\mathcal{K}|T} \leq \left(1 + \delta_{D,|\mathcal{K}|}^{max}\right) \cdot Dist_{|\mathcal{K}|}^R \tag{3.8}$$

$$\begin{cases} \left(1 - \delta_v^{max}\right)v^n \leq v_t^c \leq \left(1 + \delta_v^{max}\right)v^n & \forall t \in T_c \\ \eta_p\left(1 - \delta_v^{max}\right)v^n \leq v_t^c \leq \eta_p\left(1 + \delta_v^{max}\right)v^n & \forall t \in T_p \\ v_t^c = 0 & \forall t \in T_b \end{cases} \tag{3.9}$$

where $Dist_t$ is the traveling distance at t-th time interval; $\delta_{D,k}^{max}$ is the maximum tolerance for traveling distance deviation; δ_v^{max} is the range of navigation speed; η_p is speed ratio when berthing out. This model is under the assumption of a fixed navigation route, which is suitable for energy dispatch analysis in many practical cases.

3.3 Energy Consumption

There are many energy sources in the maritime grids, such as diesel engine/generators (DGs), fuel cells (FCs), energy storage systems (ESSs), renewable energy generation, and so on. To achieve better environmental benefits, the minimization of energy consumption is an important management task.

3.3.1 Diesel Engines/Generators

DG acts as the main energy source for most of the commercial ships and the auxiliary energy sources of ports. DG can scale from several kilowatt to tens of megawatt in different application scenarios. Generally, DGs can be classified as three main types by their rotating speed: (1) slow-speed two-stroke DG; (2) medium-speed four-stroke DG; and (3) high-speed four-stroke DG. A general case of diesel engines in ship is shown as Fig. 3.7a [25].

The main differences between the above types of DGs are the rotating speed. The slow-speed two-stroke diesel engines are typically defined as the one with its rotating speed less than 400 rpm. The rotating speed of the medium-speed four-stroke diesel engines usually is limited within 400~1400 rpm, and the high-speed four-stroke diesel engine has more than 1400 rpm. In addition, the slow-speed two-stroke diesel engine only has two strokes in a full operation cycle, which leads to greater ability to export power than the other two types, meanwhile the size and capacity are also larger.

Currently, the efficiency of the slow-speed two-stroke diesel engine can achieve 52%, compared with 42% for common land-based vehicles. Typical specific fuel-oil consumption (SFOC) curves of different diesel engines are shown in Fig. 3.8.

(a) Diesel engine   (b) Direct propulsion

Fig. 3.7 Typical structure of diesel engines [25]
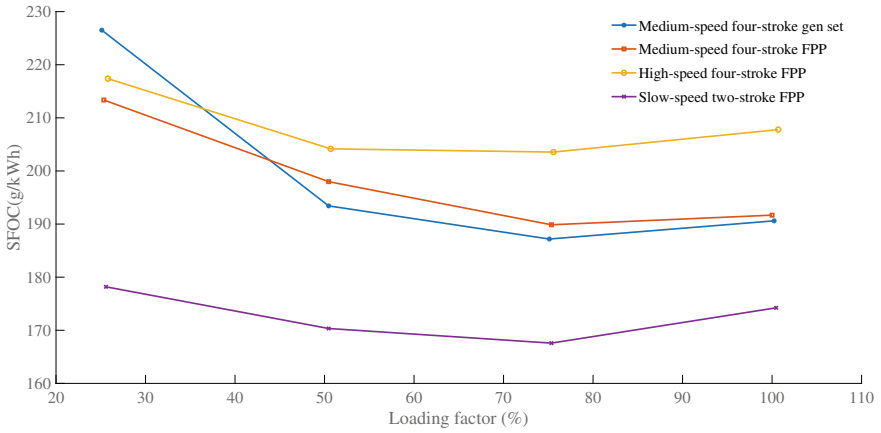
Fig. 3.8 Typical specific fuel-oil consumption (SFOC) curves

From Fig. 3.8, different diesel engines have their highest efficiency at 60~80% of rated power, and the energy consumptions under different power levels can be modeled as quadratic polynomial equations, shown as follows.

$$FC^{DG} = \hbar^2 \cdot (r_{DG})^2 + \hbar^1 \cdot r_{DG} + \hbar^0 \tag{3.10}$$

where FC^{DG} is the fuel consumption of the diesel engine; r_{DG} is the loading factor of the diesel engines, which is defined as $r_{DG} = P^t_{DG} / P^R_{DG}$, and P^t_{DG}, P^R_{DG} are the current power and rated power of the diesel engine; $\hbar^2$, $\hbar^1$, $\hbar^0$ are the coefficients, which can be derived from the experimental curves like Fig. 3.8.

In conventional cases, the slow-speed two-stroke diesel engines are mostly used as the primary energy sources in traditional ships for propulsion. The main reason for this wide usage is the ability to coordinate with various types of propellers. In traditional ships, the propulsion system is directly connected with the main diesel engine, shown as Fig. 3.7b. As we all known, the speed of propeller is low, only around 100 rpm. The low-speed diesel engines can therefore well accommodate various types of propellers. But for the medium and high-speed diesel engines, an extra speed reduction transmission system should be installed and brings 3~5% energy loss. However, in AESs, the propulsion system has no necessity to directly connect with the diesel engines, then the medium and high-speed diesel engines can be served as the main energy sources with convenience. In port-side applications, diesel engines usually act as the prime movers of power generators, and are the power backups for emergency usages, or sharing the power demand in peak hours.

3.3.2 Fuel Cell

Generally, fuel cell is a power source technology like diesel engines, but fuel cell directly transforms the chemical energy of fuel into electricity, thus in operating characteristics, the fuel cell is similar to the energy storage. For illustration, the fuel cell structure and its integration into ships are shown as Fig. 3.9a and b, respectively.

Since no spinning parts and no combustion process, fuel cells combine the characteristics of diesel engines and energy storages, i.e., the ability to continuously ouput power like diesel engines and the high efficiency like energy storages. In addition to the advantages of installment space and scalable capacity, fuel cells are viewed as a promising alternative energy source for the maritime grids, especially for the ships. In this field, fuel cell based on polymer exchange membrane (PEM) is the most mature technology, and has been already applied in ship applications [26, 27]. Additionally, fuel cells using conventional hydrocarbon fuels also have gained great concerns, such as Molten Carbonate Fuel Cell (MCFC) and Solid Oxide Fuel Cell (SOFC). Figure 3.10 gives the power characteristics of a methanol fuel cell [28].

From Fig. 3.10, we take the voltage curve when the fuel flow rate equals 12 mL/min as an example. The curve can be divided into phase I~III: (1) Phase I, electrochemical polarization zone; (2) Phase II, Ohm polarization zone; and (3) Phase III, concentration polarization zone. Phase I happens when the current is small, and in this phase, the electrochemical polarization effect enlarges the internal resistance of fuel cell. The voltage curve therefore has a deep drop. Then in phase II, the internal resistance is kept as a constant and the voltage characteristic follows Ohm's law. At last, in phase III, the concentration polarization effect dominates the process and further enlarges the internal resistance, meanwhile, the voltage suffers a deep drop. From the above Fig. 3.10, we can also find that the change of fuel flow rate has a significant effect on Phase III but smaller effects on Phase I and II, respectively.

In the power curves, the power of fuel cell will firstly increase with the current, then the power becomes saturated, at last in phase III, the power suffers a dramatic drop. For a well-designed fuel cell, the Maximum-Power-Point-Tracking Method

(a) Fuel cell structure   (b) Fuel cell integration
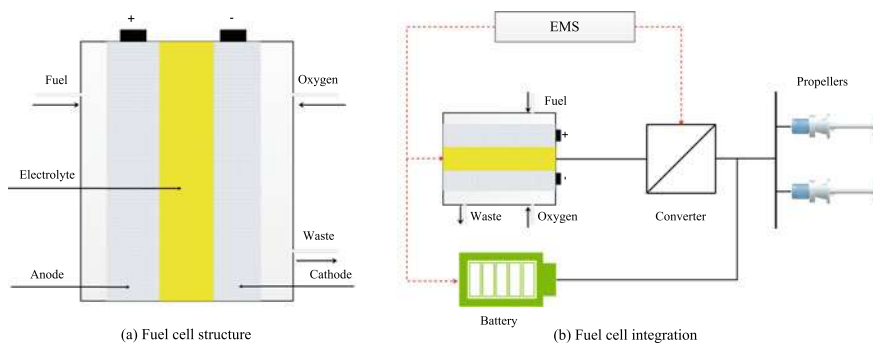
Fig. 3.9 Illustration of fuel cell
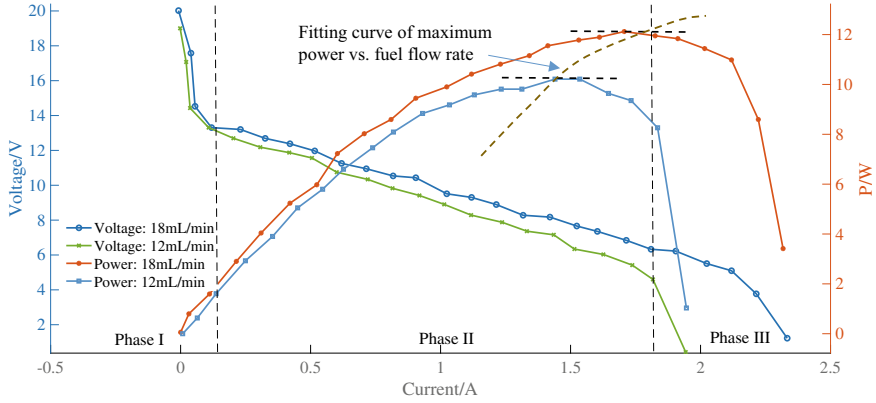
Fig. 3.10 Power characteristic curves of fuel cell [28]

(MPPT) will keep the fuel cell in the state of maximum power [29]. The fitting of the maximum power in each curve with the fuel flow rate, shown as the brown curve in Fig. 3.10, can represent the energy consumption model of a fuel cell. The formulation is shown as follows.

$$P^{FC} = g^2 \cdot (r_{FC})^2 + g^1 \cdot r_{FC} + g^0$$
$$FC^{FC} = p_f \cdot r_{FC} \cdot \Delta t \tag{3.11}$$

where P^{FC} is the power of fuel cell; r_{FC} is the fuel flow rate of fuel cell; g^2, g^1, g^0 are coefficients; FC^{FC} is the fuel consumption of fuel cell; p_f is the unit price of fuel; Δt is the length of time period.

3.3.3 Energy Storage

Generally, the operation of maritime grids includes the grid-connected and islanded modes, and most of maritime grids need to work in the shifting between two modes. For example, when the ship berths in a port and connects on cold-ironing equipment, the ship operates in grid-connected mode, and when the ship berths out, it works in islanded mode. For other ocean platforms, i.e., drilling platforms, offshore wind farms, they may work in different modes by cases. For example, when the offshore wind farms are connected with the main-land power system, they work in grid-connected mode and when they are connected with the islands, they work in islanded mode.

To keep the reliability in the above two modes, ESS is an important component for all types of maritime grids to act as an energy/power buffer between the generation-side and demand-side. In long-term timescale, an important application of ESS in maritime grids is to shave the peak load, which is shown in Fig. 3.11. When in peak

Fig. 3.11 Effects of energy storage in peak load shaving
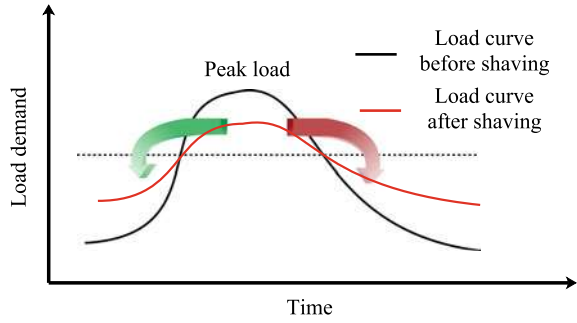
load, ESS can discharge to share the power demand and in valley load, the ESS can charge and the load demand increases. Then the peak load can be viewed as "shaving" to other time periods and the maximum power demand can be reduced. This "load shaving" ability is very important to the maritime grids since most of the ships or ports don't have much power reserve, and the proper operation of ESS is essential to the reliability, security and stability of maritime grids.

The energy output of ESS is actually from other time-period, and the energy consumption of ESS is for the energy losses in the charging and discharging process, which is shown as follows.

$$E_t^B = \begin{cases} E_{t-1}^B - P_{t-1}^{ESS} \cdot \eta_{ch} \cdot \Delta t \ \forall t \in \mathcal{T} \setminus 1, P_{t-1}^{ESS} < 0 \\ E_{t-1}^B - \frac{P_{t-1}^{ESS}}{\eta_{dis}} \cdot \Delta t \quad \forall t \in \mathcal{T} \setminus 1, P_{t-1}^{ESS} \geq 0 \end{cases} \tag{3.12}$$

where E_t^B is the energy stored in the t-th time period; P_t^{ESS} is the power of ESS; Δt is the length of time-period; η_{ch}, η_{dis} are the charging/discharging efficiency of ESS.

3.3.4 Renewable Energy Generation

Renewable energy generation has been viewed as the solution to global fossil fuel depletion. Similar in maritime grids, renewable energy generation has also been gradually integrated. In Chap. 1, we have described many practical cases of renewable integration into ships. Here we give several cases to illustrate the development of renewable energy generation in ports.

The first case is from the Valencia port, Spain. This port plans to construct a breakwater dam and install tidal energy generation on it, shown as Fig. 3.12. The total capacity of the tidal energy generation can be 2.5 MW. A more detailed plan is proposed by the Houston port [13], which is shown in Fig. 3.13.

In Fig. 3.13, Spilman's island (area 6) is planned for the photovoltaic (PV) integration, and the PV power can be used to share the power demand of Houston port,
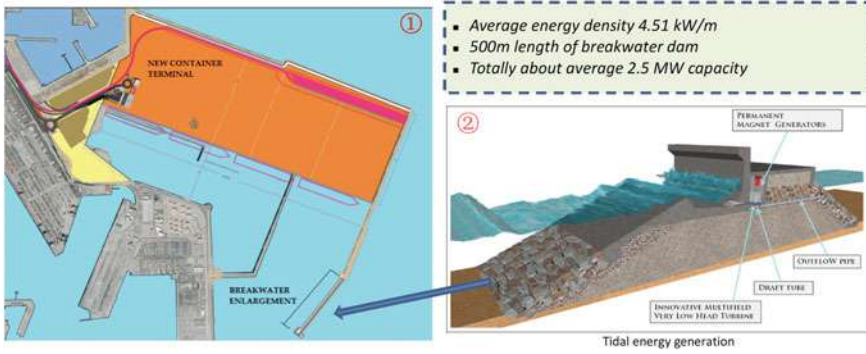
Fig. 3.12 Integration of tidal energy generation [30]

Fig. 3.13 Future development of Houston port, reprinted from [13], with permission from Elsevier

such as cold-ironing, various port cranes and electric transportation. In the future, renewable energy generation will play an even more significant role in maritime grids.

The renewable energy generation harvests different types of energy and transforms them into electricity. Its integration will reduce the usage of fossil fuel, which can be viewed as "negative fuel consumption". Its model can be shown as follow.

$$FC^{RE} = -E^{RE}/\eta_{FC} \tag{3.13}$$

where FC^{RE} is the fuel consumption reduction by renewable energy generation; E^{RE} is the total energy generated by the renewable energy generation; η_{FC} is the average efficiency of fossil fuel to electricity.

3.3.5 Main Grid

As above, the main grid is also an important energy source for maritime grids, especially for the ports. When the ship berths in a port and connects to the cold-ironing equipment, the main energy source also becomes the main grid. Generally, maritime grids will purchase electricity from the main grid according to the negotiated price, and the energy amount is measured at the substation. The model is shown as follows.

$$FC_{MG} = p_t \cdot E_{MG} \qquad (3.14)$$

where FC_{MG} is the price paid for electricity purchase; p_t is the electricity price in t-th time period; E_{MG} is the purchased electricity amount.

3.4 Gas Emission

As we all know, the great concern for gas emission in the maritime industry is the main motivation of maritime electrification, including the electrification of ships and ports. In the last decade, various energy regulations have progressively stimulated the innovations and targeted technology of all components that influencing the system performance from their design phases. As two main representatives of maritime grids, the management tasks of gas emission for the ships and ports are described as follows.

3.4.1 Gas Emission from Ships

3.4.1.1 Greenhouse Emission and Energy Efficiency Indexes

Currently, the plans of Energy Efficiency Design Index (EEDI) and the Energy Efficiency Operational Index (EEOI) are one part of the IMO's strategies to control the greenhouse emission from ships, which have two main roles: (1) providing a benchmark for comparing the energy efficiency of vessels; (2) setting a minimum required efficiency level for different ship types, size segments or cargo volumes.

The EEDI plan was first announced at the 62nd session of IMO's Marine Environment Protection Committee (MEPC 62) with the adoption of amendments to

MARPOL Annex VI, IMO [31]. After that, four important guidelines from IMO were enforced in the MEPC 63 in 2012 [32–35]. However, EEDI is used to measure greenhouse emission in the design phase for new ships. To implement this index for ships which have already been in service, EEOI is proposed as an amendment of EEDI in 2013 [36]. The general simplified formulas of EEDI and EEOI are shown as follows.

$$EEDI = \frac{(Engine\,power) \cdot SFC \cdot CF}{DWT \cdot speed} \tag{3.15}$$

$$EEOI = \frac{(Engine\,power) \cdot SFC \cdot CF}{(Cargo\,weight) \cdot speed} \tag{3.16}$$

where SFC is the specific fuel consumption of engine (g/kW); CF is the conversion factor of unit fuel to greenhouse emission; DWT is the deadweight of the ship; $speed$ is the navigation speed of ship. The difference between $EEDI$ and $EEOI$ is the deadweight to replace the cargo weight. Both the EEDI and EEOI can measure the greenhouse emission per unit transportation task.

From the above definitions, the ship which has higher energy efficiency will have lower values of EEOI and EEDI. A detailed description of EEDI and the meaning of each parts are shown as Fig. 3.14.

IMO also sets many reference lines for various ship types, and each type of ship should attain smaller EEDI than the reference line. The reference lines for some ship types are shown in Table 3.2.

IMO also sets many reduction targets in different time-period, i.e., (1) phase 0, 2013–2015; (2) phase 1, 2015–2020; (3) phase 2, 2020–2025; (4) phase 3, 2025 and later. Phase 1 requires a 10% reduction in the reference lines compared with phase 0, and phase 2 requires a 15~20% reduction in the reference lines compared with
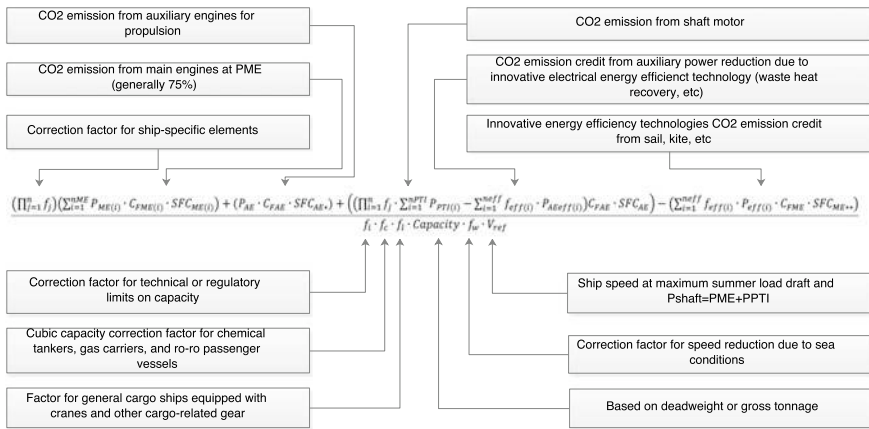

Fig. 3.14 The EEDI calculation formula

Table 3.2 Energy sources of different port-side equipment (data from [37])

Ship type		Reference line
Bulk carrier		$961.79 \times DWT^{-0.477}$
Gas carrier		$1120 \times DWT^{-0.456}$
Tanker		$1218.8 \times DWT^{-0.488}$
Container ship		$174.22 \times DWT^{-0.201}$
General cargo ship		$107.48 \times DWT^{-0.216}$
Refrigerated cargo carrier		$227.01 \times DWT^{-0.244}$
Combination carrier		$1219 \times DWT^{-0.488}$
Ro-Ro ship (Vehicle)	DWT/GT < 0.3	$(DWT/GT)^{-0.7} \times 780 \times DWT^{-0.471}$
	DWT/GT ≥ 0.3	$1812.63 \times DWT^{-0.471}$
Ro-Ro cargo ship		$1405.15 \times DWT^{-0.498}$
Ro-Ro passenger ship		$752.16 \times DWT^{-0.381}$
LNG carrier		$2253.7 \times DWT^{-0.474}$
Cruise passenger ship		$170.84 \times DWT^{-0.214}$

phase 0, and phase 3 requires a 30% reduction in the reference lines compared with phase 0. As we can see, the regulation for the greenhouse emission from ships will be even stricter in the future, and gradually becomes the primary management task for maritime grids.

3.4.1.2 NOx and SOx Emission from Ships

The concerns for both the NOx and SOx emission and some corresponding regulations are depicted in Sect. 1.4. Figure 3.15a and b respectively gives the typical emission characteristic of diesel engines for NOx and SOx [38].

From Fig. 3.15, the unit emission of both NOx and SOx will fall at first and then stabilize when the loading factor increased. In this sense, quadratic models can be formulated to represent the NOx and SOx emission from ships.

$$GE^{Ni} = g_2^{Ni} \cdot (r_{DG})^2 + g_1^{Ni} \cdot r_{DG} + g_0^{Ni} \tag{3.17}$$

$$GE^{Su} = g_2^{Su} \cdot (r_{DG})^2 + g_1^{Su} \cdot r_{DG} + g_0^{Su} \tag{3.18}$$

where GE^{Ni}, GE^{Su} are the NOx emission and SOx emission; g_2^{Ni}, g_1^{Ni}, g_0^{Ni} are the coefficients for NOx emission; g_2^{Su}, g_1^{Su}, g_0^{Su} are the coefficients for SOx emission; r_{DG} is the loading factor of diesel engine.
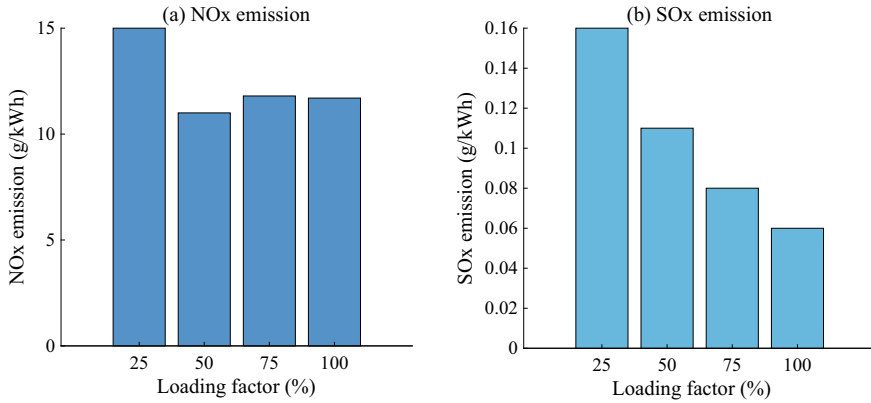
Fig. 3.15 NOx and SOx emission characteristics (data from [38])

3.4.2   Gas Emission from Ports

Generally, the gas emission from ports can be from three aspects, (1) maritime operation, including the approaching, hoteling and berthing-out of ships; (2) yard operation, including the operation of port-side logistic equipment, such as quay cranes, transferring vehicles and gantries; (3) generated hinterland logistic system operation, including the railways or land-based transportation system to transfer the cargo from the ports to the inland.

On the other side, the gas emission from ports has diversified types. Figures 3.16 and 3.17 respectively gives the breakdowns of different gas emissions in Taranto port [39] and Los Angel port [40].

From Fig. 3.16, CO2 contributes to the majority of the total gas emission, and NOx, SOx, and particle mass (PM) are the other three main types of polluted gas emission. From Fig. 3.17, Ocean Going Vessels (OGV) are the main contributors for most of the gas emission, except the carbon monoxide (CO). Especially for the SOx emission, OGVs have contributed a 93.5% share. On the other hand, the cargo handling equipment is the highest contributor for CO emission, mainly for the incomplete combustion in the diesel engines of port cranes. At last, heavy-duty vehicles are also important CO2 contributors, as well as a major NOx contributor.

To measure the gas emission from ports, CO2, SOx and NOx are selected as the main representatives, and their calculations are similar and can be shown as Fig. 3.18.

Where GE is the total gas emission, i.e., CO2, SOx, and NOx; $SFOC_{main}, SFOC_{aux}, SFOC_{eq}$ are the specific fuel oil consumptions (SFOCs) for the main engines, auxiliary engines, and the cargo handling equipment, respectively; $EL_{main}, EL_{aux}, EL_{eq}$ are the average loading factors for the main engines, auxiliary engines, and the cargo handling equipment, respectively; $EP_{main}, EP_{aux}, EP_{eq}$ are the capacities of the main engines, auxiliary engines, and the cargo handling equipment, respectively; D is the radius of the emission control area (ECA); V_s is the speed of
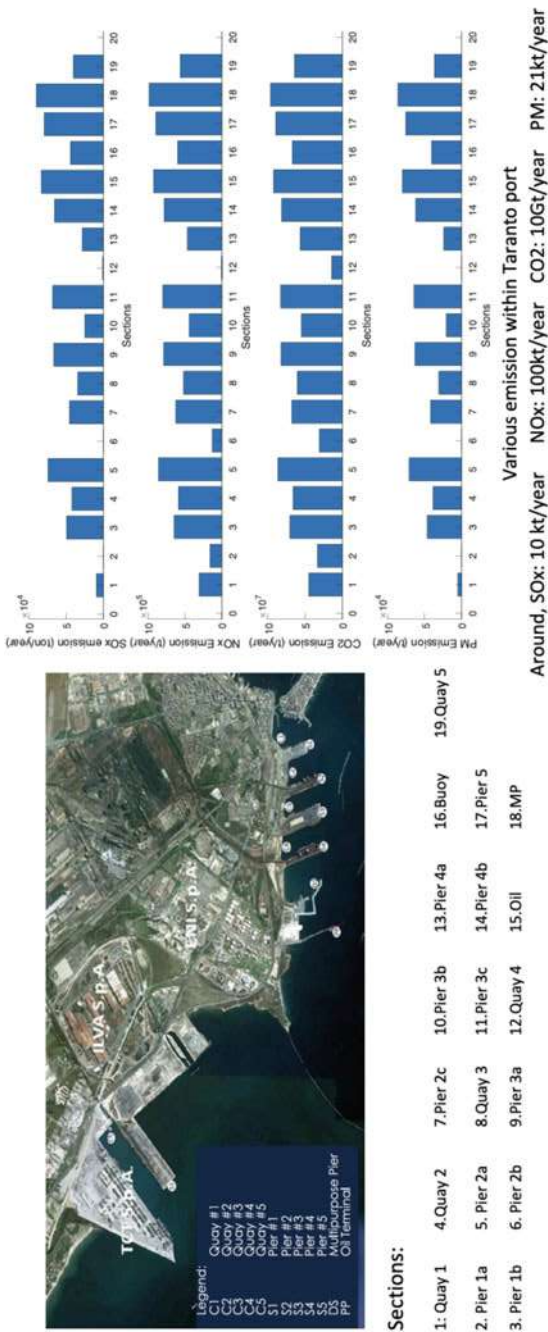
Fig. 3.16 Gas emission breakdown of Taranto port, Spain (data from [39])
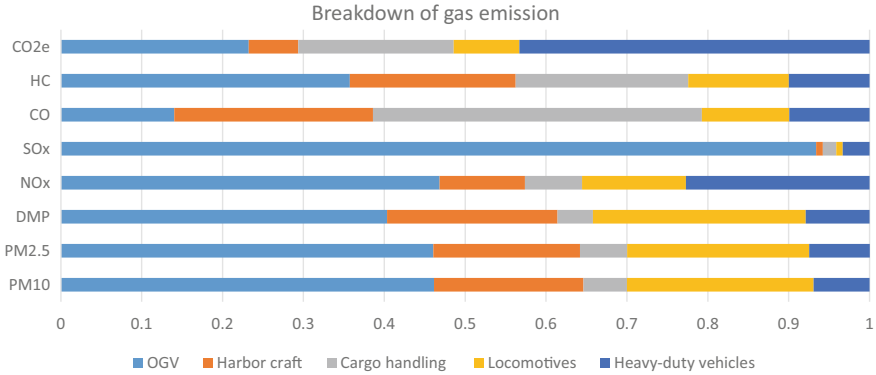
Fig. 3.17   Gas emission breakdown of Los Angeles port, US, reprinted from [40], open access
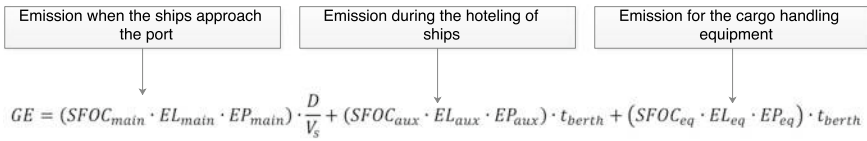
Fig. 3.18   Calculation of gas emission from ports

ship when approaching the port. It should be noted that, Fig. 3.18 gives a general formula to calculate the gas emission of ports. The detailed model can be formulated after proposing the energy models of all the attached equipment.

3.5 Reliability Under Multiple Failures

During operation periods, maritime grids will face many types of failures, including equipment outages, short-circuit failures, and so on. In some severe scenarios, the failures may happen simultaneously and cause some serious consequences. To ensure the security of maritime grids, the reliability under multiple failures is an important management task. To simplify the modeling of multiple failures, only N-2 failures are considered in this book.

3.5.1 Multiple Failures in Ships

Different from the land-based maritime grids, such as ports, the ships are generally "islanded grids" when navigation. To ensure reliability, the ships are generally designed with two parallel buses. Some warships may even have four parallel buses
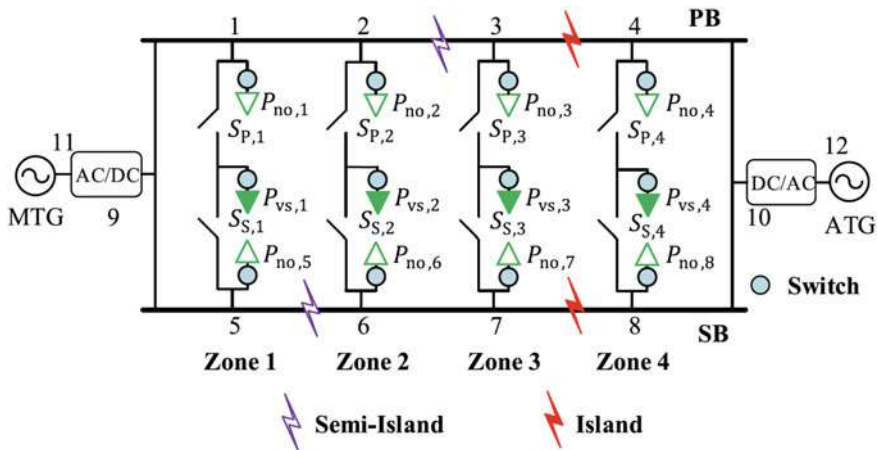
Fig. 3.19 Multiple failure types in ships, reprinted from [41], permission from IEEE

to increase the survivity. Figure 3.19 gives a typical topology with two parallel buses, i.e., PB and SB. Each load, i.e., $P_{no,1} \sim P_{no,8}$, $P_{vs,1} \sim P_{vs,4}$, can receive electricity from two buses, which means any one-bus failure will not cause any loss of load. Currently, the topology as Fig. 3.19 with two parallel buses is a common design for commercial ships.

The multiple failures in the ship power system can be classified into two types: (1) the semi-island mode. This mode has coupled zones between the island parts. For example, in Fig. 3.19, when in semi-island mode, the $P_{no,2}$ can still receive electricity from ATG by SB via the switch $S_{S,2}, S_{p,2}$. (2) island mode. This mode has no coupling zones at all, and the total system is divided into two islands, which is shown as the red failures in Fig. 3.19. In the above two severe multiple failure types, the island mode is more serious than the semi-island mode. Some of the loads have to be cut off if necessary.

3.5.2 Multiple Failures in Ports

The port grids are similar to conventional land-based distribution networks, which will supply various types of service to the berthed-in ships. A typical case is shown in Fig. 3.20, which has an electrical network, a water network, and a heat network. Three networks are coupled together since the water pump is driven by electricity and the combined heat power (CHP) generator is the source of the heat network.

As we can see, the networks in Fig. 3.20 are all radial ones, and any failure of equipment or branch will cause the loss of load demand (electricity, water, or heat). Then the network should be reconfigured to restore service. For example, when W3 is in failure, W4, W5 will have no water supply, then W2 and W5 should be reconfigured, then the water supply of W3~W5 can be restored.
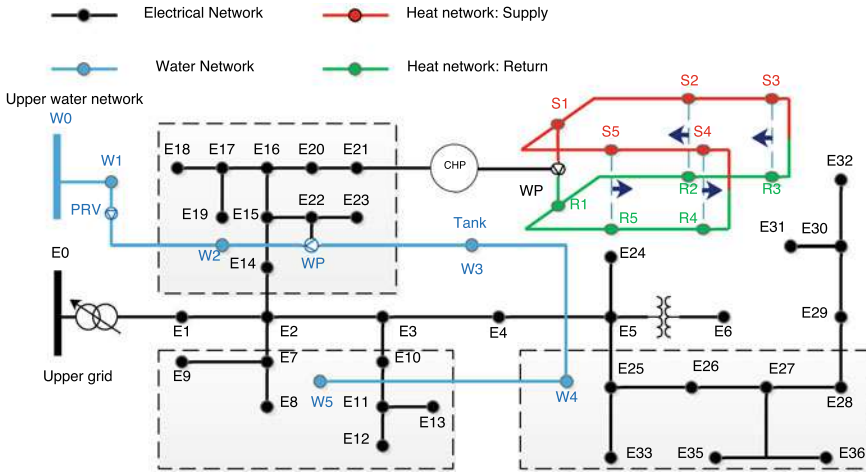
Fig. 3.20 A distribution network with multiple services (representing a port)

For multiple failures, there are two main types: (1) heterogeneous failures in different networks, such as one failure in electrical network and one failure in the water network; (2) homogeneous failures in the same network, such as two failures are both in the electrical network, or in water network. The latter failure mode has been well studied to improve network reliability [42, 43]. The former one involves different types of networks, which is not well studied at present.

3.5.3   Reliability Indexes

Reliability is the ability of the network to provide services in different operating conditions. Until now, there are many indexes to measure the reliability of different types of systems or networks. Table 3.3 gives some examples of reliability indexes,

Table 3.3 Conventional reliability indexes

Indexes	Explanations	Samples	Defintions
$P_{EPSF,i}$	The component failure probability in the i-th system	$P_{EPSF,i}^{(k)}$	$P_{EPSF,i} = \sum\limits_{k=1}^{k_{max}} \dfrac{P_{EPSF,i}^{(k)}}{k_{max}}$
$P_{EPLC,i}$	The probability of load shaving in the i-th system	$P_{EPLC,i}^{(k)}$	$P_{EPLC,i} = \sum\limits_{k=1}^{k_{max}} \dfrac{P_{EPLC,i}^{(k)}}{k_{max}}$
$P_{EDNS,i}$	The expected loss of load demand in the i-th system	$P_{EDNS,i}^{(k)}$	$P_{EDNS,i} = \sum\limits_{k=1}^{k_{max}} \dfrac{P_{EDNS,i}^{(k)}}{k_{max}}$

including the component failure probability, the probability of load shaving, and the expected loss of load demand.

The conventional calculation method for the reliability indexes is the Monte-Carlo simulation [44], which generate a set of scenarios and calculate the samples in each scenario. Then the reliability indexes are obtained by the average of samples. There are also plenty of analytical methods based on system approximation [45], which can calculate the reliability indexes more efficiently.

3.6 Lifecycle Cost

After the electrification of maritime grids, fuel cell and energy storage are both important equipment to improve the overall energy efficiency. Many research has investigated their applications and prove their benefits to the maritime grids. Due to the limits of current technologies, the fuel cell and energy storage cannot fully replace current power resources in the maritime grids. Therefore the fuel cell and energy storage need to operate coordinately with the other energy resources to supply the load demand. Additionally, the investment costs of fuel cell and energy storage are still high, and to reduce their overall operating cost, certain operating strategies should be implemented to extend their lifetime, and their lifetime model should be formulated in the first place.

3.6.1 Fuel Cell Lifetime Degradation Model

According to current research, there are many factors to influence the lifetime of fuel cell, including the operating temperature, humidity, and load profiles. Generally, fuel cells are installed in places with an advanced environmental control system, and the temperature and humidity can be sustained within a proper range [46]. Therefore the load profiles are the main factors that influence the lifetime of a fuel cell.

The load profiles which have influences on the fuel cell lifetime include (1) load changing; (2) start-up and shut-down; (3) idling; and (4) high load demand [47]. Then an empirical model for fuel cell lifetime can be shown as:

$$\Delta De_{FC} = K \cdot p((k_1 \cdot t_1 + k_2 \cdot n_1 + k_3 \cdot t_2) + \beta) \tag{3.19}$$

where ΔDe_{FC} is the degradation percentage of fuel cell; K is the degradation coefficient, which can be obtained by the degradation experiment; t_1, n_1, t_2 are the idle time, start-stop counts, and heavily loading time, respectively; β represents the natural decay rate. After defining the ΔDe_{FC}, the lifetime of fuel cell can be given by Eq. (3.20), and the operating cost of fuel cell can be given by Eq. (3.21).

$$L_{FC} = \frac{1 - EOL_{FC}}{\Delta De_{FC}} \tag{3.20}$$

$$Cost_{FC} = \frac{p_{FC} \cdot E_{FC}}{L_{FC}} \tag{3.21}$$

where L_{FC} is the lifetime of fuel cell; and EOL_{FC} is the end-of-life rate, generally 10%; $Cost_{FC}$ is the operating cost of fuel cell; p_{FC}, E_{FC} are the unit price and energy capacity of fuel cell, respectively.

3.6.2 Energy Storage Lifetime Degradation Model

Among all the energy storage technologies, battery is the most frequently used energy storage technologies for long-term energy management [48]. Furthermore, compared with other energy storage technologies, such as supercapacitors, flywheels, battery is more vulnerable and its lifetime is easier to be influenced by various operating conditions.

Similar to the fuel cell, there are also many factors to influence the lifetime of battery, such as temperature, humidity, and load profiles. Due to the installation of environmental control system, the load profiles are also the main factor on the battery lifetime. Among all the load profiles, the frequent discharging/charging events contribute to significant battery lifetime degradation, which is shown in Fig. 3.21.

In Fig. 3.21, the Depth of charge (DoD) is defined as d_b in a discharging or charging event, which is illustrated in Fig. 3.21a. The discharging or charging event is defined as the process between two concessive state-switching points (charging to discharging or vice versa), i.e., the continuous discharging or charging periods, in which the ESS maintains the single charging or discharging state and lasts for ΔT_{SC} with the average power $P_{Bat}^{avg, \Delta T_{sc}}$. During each charging or discharging event, d_b is defined as the difference between the SOCs before and after the event, which can be expressed as Eq. (3.22), where E^{Bat} is the energy capacity of the battery. The relation
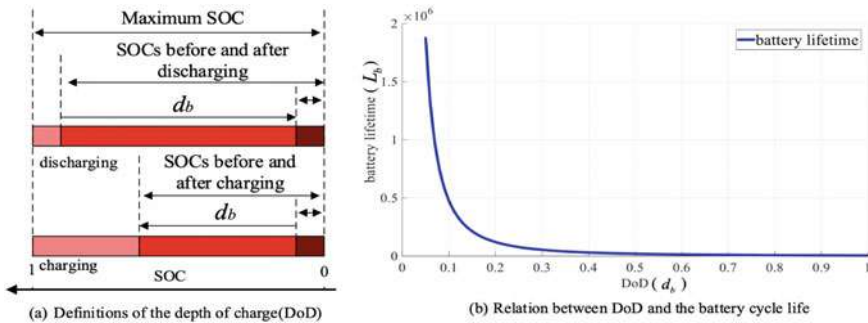

(a) Definitions of the depth of charge(DoD)

(b) Relation between DoD and the battery cycle life

Fig. 3.21 Depth of charge and the battery lifetime, reprinted from [9], permission from IEEE

between the DoD and the battery lifetime, denoted as L_b, is shown in Fig. 3.21b and the mathematical form in Eq. (3.23), where $a, b, c > 0$ are the fitting coefficients in Fig. 3.21b. At last, the operating cost of battery can be formulated as Eq. (3.24), where $Cost_{Bat}$ is the operating cost of battery, and p_{ES} is the unit investment of battery.

$$d_b(\Delta T_{SC}) = P_{Bat}^{avg} \cdot \Delta T_{SC} / E^{Bat} \tag{3.22}$$

$$L_b(d_b) = a \cdot d_b^{-b} \cdot e^{-c \cdot d_b} \tag{3.23}$$

$$Cost_{Bat} = \frac{p_{ES} \cdot E^{Bat}}{L_b} \tag{3.24}$$

3.7 Quality of Service

Besides the economic benefits and allocated tasks, the quality of service (QoS) is also a vital management task for the maritime grids. There are many types of QoS, including the on-time rate of ships, the satisfactory level of passengers and ships. The on-time rate can be controlled by the management of navigation task in Sect. 3.2.1 and is not discussed here. The satisfactory levels of passengers and ships are described as below.

3.7.1 Comfort Level of Passengers

A cruise ship should provide heating load and hot water supply to the passengers. Equations (3.25) and (3.26) define the QoS of the above two services in a cruise ship. $\mathcal{T}$ is the total time period.

$$\begin{aligned}
T_{Air,vio} &= T_{Air,vio.1} \cup T_{Air,vio.2} \\
T_{Air,vio.1} &= \left\{ T^{IN} \geq T_{max}^{IN,RE} \right\} \\
T_{Air,vio.2} &= \left\{ T^{IN} \leq T_{min}^{IN,RE} \right\} \\
T_{Wa,vio} &= \left\{ V^{HW} \leq (1 + \delta_{HW}) V^{SE} \right\}
\end{aligned} \tag{3.25}$$

$$\begin{aligned}
QoS_{Air} &= \frac{\left[\begin{array}{l} \int_{t \in T_{Air,vio.1}} \left(\left| T^{IN} - T_{max}^{IN,RE} \right| \right) \\ + \int_{t \in T_{Air,vio.2}} \left(\left| T^{IN} - T_{min}^{IN,RE} \right| \right) \end{array} \right]}{\int_{t \in T_{Air,vio}} \left(T_{max}^{IN,RE} - T_{min}^{IN,RE} \right)} \\
QoS_{Wa} &= \frac{\int_{t \in T_{wa,vio}} \left| V^{HW} - (1 + \delta_{HW}) V^{SE} \right|}{\int_{t \in \mathcal{T}} \left| V^{SE} - \min(V^{SE}) \right|}
\end{aligned} \tag{3.26}$$

where T^{IN} and V^{HW} represent the indoor temperature and hot water supply; $T_{max}^{IN,RE}$, $T_{min}^{IN,RE}$ are the maximal and minimal limits of the indoor temperature; V^{SE} is the required hot water demand; $T_{Air,vio}$ and $T_{Wa,vio}$ are defined as the time intervals or sub-intervals which violate the indoor temperature and hot water supply service requirement (tighter than the constraints). Equation (3.26) defines the QoS of indoor temperature and hot water supply, respectively. From the above definitions, the cruise ship with a lower QoS index will better satisfy the thermal load demand of the tourists. When the QoS index equals 0, the thermal load demand is met all the time.

3.7.2 Satisfaction Degree of Berthed-in Ships

For the berthed-in ships, the cold-ironing power and cargo handling are two main services provided by the port. Similar to the QoS of Eq. (3.27), the QoS for berthed-in ships can be defined as follow. $\mathcal{T}$ is the total time period.

$$
\begin{aligned}
T_{CP,vio} &= \left\{ P^{CP} \leq P_{min}^{CP} \right\} \\
QoS_{CP} &= \frac{\int_{t \in T_{CP,vio}} \left(|P^{CP} - P_{min}^{CP}| \right)}{\int_{t \in T_{CP,vio}} \left(|P_{min}^{CP}| \right)} \\
QoS_{CH} &= \frac{T^{CH} - T_{max}^{CH}}{T_{max}^{CH}}
\end{aligned}
\tag{3.27}
$$

where $T_{CP,vio}$ is the time intervals or sub-intervals which violates the cold-ironing power requirement; P^{CP} is the actual cold-ironing power; P_{min}^{CP} is the minimal required cold-ironing power; QoS_{CP} is the QoS of cold-ironing power; T^{CH} is the actual cargo handling time; T_{max}^{CH} is the maximal cargo handling time; QoS_{CH} is the QoS of cargo handling.

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Chapter 4
Formulation and Solution of Maritime Grids Optimization

4.1 Synthesis-Design-Operation (SDO) Optimization

As a special energy system, the optimization of maritime grids can be considered as three levels similar to conventional land-based energy systems [1–3].

(1) Synthesis optimization. Synthesis is defined as the components used in the maritime grids and their connections. Via synthesis optimization, the optimal configuration of the maritime grids can be determined. For example, the ship hull design, electrical layout, and whether to integrate a component or not. Since the synthesis optimization answers the "Yes-or-No" questions and therefore involves certain binary decision variables.

(2) Design optimization or planning optimization. Design optimization is to determine the technical characteristics of components which are determined in synthesis optimization, such as the capacity and rated power. The difference between synthesis optimization and design optimization can be given by the well-known "siting and sizing" problems. The "siting problem" determines which type of components can be used and where to install them, which belongs to the synthesis optimization. Then the "sizing problem" determines the capacities of the installed components, which belongs to the design optimization. In power system research, design optimization is often named as planning optimization.

(3) Operation optimization. After the synthesis optimization and design optimization, the operation optimization determines the optimal operating states of each component under specified conditions. Taken the navigation speed as an example. The synthesis optimization determines the type of main engine and the design optimization determines the capacity of the main engine, then operation optimization determines the optimal loading levels to address different navigation scenarios, such as different wave and wind scenarios.

Three optimization problems are the basic problems for a maritime grid. They are abbreviated as Synthesis-Design-Operation (SDO) optimization [4]. It should be noted that only energy management optimization is within the scope of this book.

Many efforts have been devoted to this field to achieve the overall optimum of maritime grids. In this Chapter, the SDO optimization of maritime grids will be comprehensively reviewed in the following, (1) topologies of maritime grids; (2) typical SDO optimization problems; (3) compact form and solution methods. Compared with other review works, this Chapter firstly points out the significance of coordination between different maritime grids in SDO optimization.

4.2 Coordination Between Maritime Grids

Maritime grids are the offspring of extensive maritime electrification, and widely existing in ships, seaports, and various ocean platforms. Conventionally, maritime grids have very limited capacities and their optimizations also have limited influences on the overall system characteristics. For example, in conventional ships, the propulsion is directly driven by the main engines and the capacity of the corresponding ship power system is much smaller than the propulsion system. However, when a ship is fully electrified, the propulsion system becomes the electric load under the ship power system, and the energy management of ship power system can determine the economic and environmental characteristics of ship. Similarly, when a seaport is fully electrified, the energy management of seaport can coordinate both the logistic and electric systems to achieve better economic and environmental benefits. In this sense, with the development of maritime electrification, the energy management of maritime grids will play an even significant role in the future.

Generally, all the electric networks installed within harbor territory can be viewed as maritime grids, which act as the interface between ocean and land. To clarify the relationship between different maritime grids, we give Fig. 4.1 to show their operating framework. There are five types of maritime grids in Fig. 4.1, (1) wind farms, and (2) island microgrids, and (3) offshore platforms, and (4) seaport microgrids and (5) ship power systems. This illustration shows that the future maritime grids will be coupled with each other, and the coordinated optimization is necessary for future maritime grids.

(1) Offshore wind farms, can supply power to island microgrids, harbor city, offshore platforms, and seaport microgrid.
(2) Island microgrids, are islanded microgrids that are away from the main grid, which uses renewable energy and generators to supply the load.
(3) Seaport microgrid, is a grid-connected microgrid in an electrified seaport, which uses electricity to drive the port cranes and providing cold-ironing power to the berthed-in ships. Various renewable energy sources can be integrated into a seaport and excess electricity can sell to the main grid of harbor city.
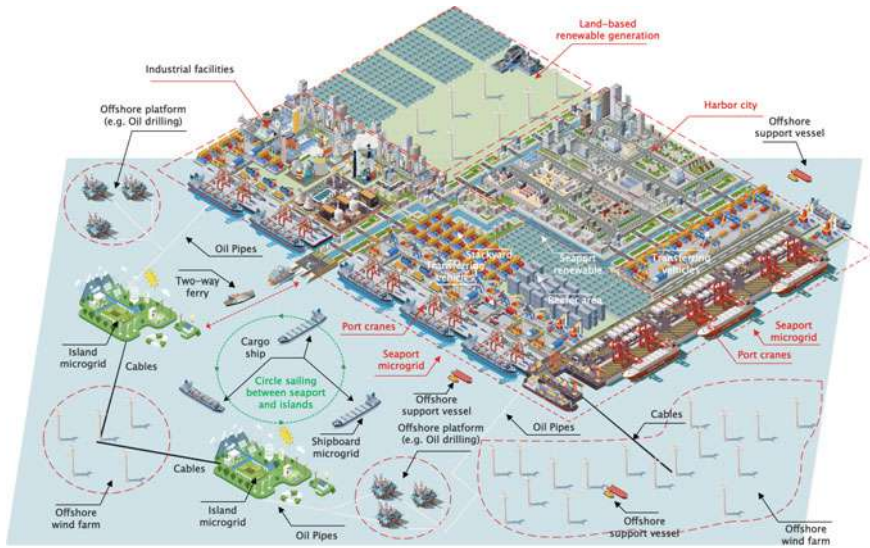
Fig. 4.1 Coordination between different maritime grids

(4) Offshore platforms, are islanded microgrids with many types of construction missions, such as fuel drilling, or underground cable construction. It should be noted that, offshore platforms may be connected with the islands and harbor city by underground pipes.

(5) Ship power systems. The ships can navigate between the islands, offshore platforms, and seaport to transfer fuel or other cargos. For example, the fuel produced by the offshore platform can be supplied to seaport by ships. It should be noted that, ships have different types, such the containers, cargo ships and the ferries for passenagers.

4.3 Topologies of Maritime Grids

Different types of maritime grids work in different conditions. For example, the notation of "CCO-HR(TEMP)+" in the American Bureau of Shipping (ABS) is for the ships which are working under low-temperature environment. "HR" is the emergency operating hours in the low-temperature environment (18 or 36 h). "TEMP" is the design service temperature, and "+" means that there is additional equipment for the crew for training in low-temperature [5]. The notation of "DPS" is for the dynamic position system of ships, which represents the ship has an automatic control system to maintain the position and heading at sea without external aid under specified conditions [5]. For the seaports, various equipment should be invested to serve the containers, cargo ships, or cruise ships, and so on, such as the port cranes to serve the containers, and the cold-ironing equipment for the berthed-in ships. The above designs are all determined by the synthesis optimization of ships.

With full electrification, maritime grids are multi-energy networks that use the electrical network as the backbone to supply various service networks, such as fuel flow network, thermal flow network, and water flow network [6]. In this sense, the synthesis optimization of maritime grids is mainly determining the topologies to achieve better performance. As two main representatives, the ship power system and the seaport microgrid are described in detail in this section.

4.3.1   Topologies of Ship Power Systems

For the ship power system, ABS has "R1", "R1-S", "R2", "R2-S" standards [5]. "R" is shorted for redundancy, "1" or "2" indicates the single/multiple sets of propellers and steering systems. "S" means the propulsion machines are located in separate compartments for emergency cases. Therefore, "R2-S" represents the ships that have multiple sets of propeller and steering system, and the propulsion machines are located in separate compartments. Among the above standards, "ABS-R2" is a conventional standard for the commercial ships under ABS, which means the ship power system can fully restore the serviceability when single failure. Figures 4.2, 4.3, 4.4, 4.5, 4.6 and 4.7 give some examples which follow the "ABS-R2" standard or above.

Ferries are small or medium-sized ships for passenager transportation, often using AC power supply with 690 V, which can carry hundreds to thousands of people, with a round-trip distance of tens of kilometers. For example, the world's first all-electric ferry, named as "Ampere", has been equipped with 2.6 MWh power batteries, reducing the use of 1 million liters diesel every year [7]. A typical illustration is shown in Fig. 4.2.

Cruise ships are large tourist ships that can carry thousands or even tens of thousands of people for several weeks, shown in Fig. 4.3. It usually uses the 11 kV AC power supply and is equipped with 4 or 6 generators. The cruise ship has many restaurants, playgrounds, cinemas, casinos, etc., which uses 440 V low-voltage power
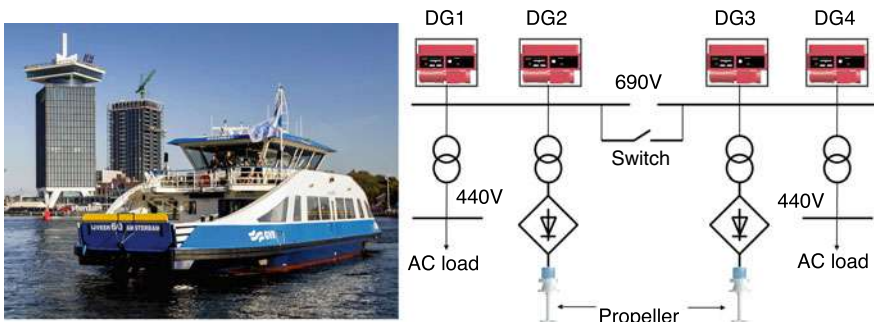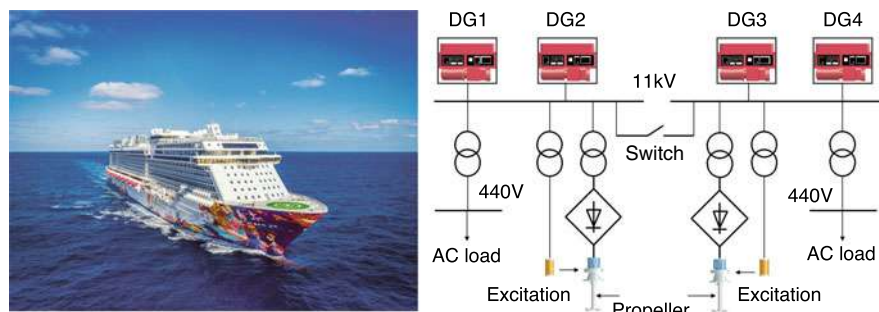

Fig. 4.2 All-electric ferry

Fig. 4.3 All-electric cruise ship
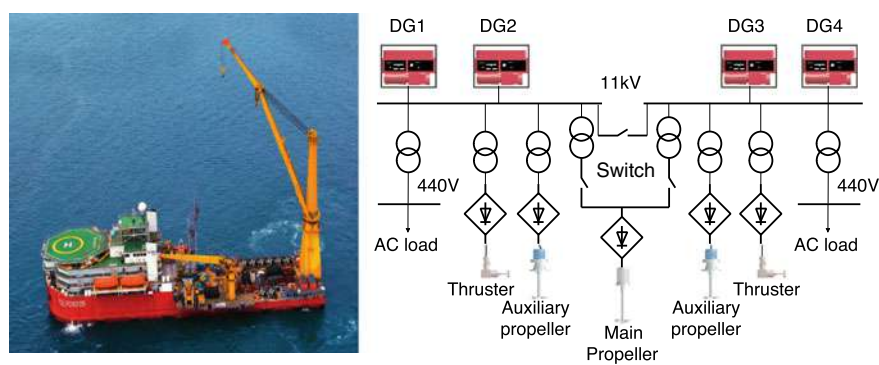
Fig. 4.4 All electric construction ship

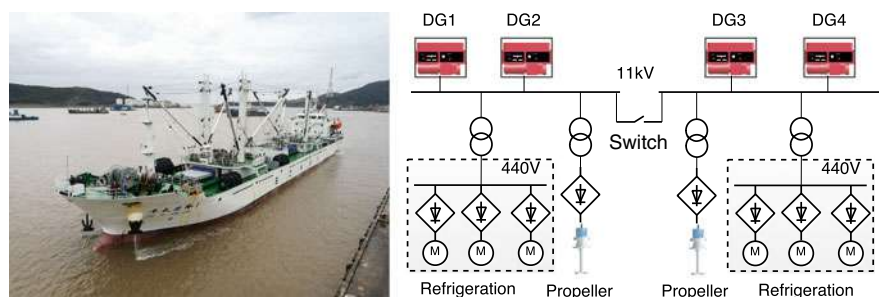**Fig. 4.5** All electric cold-chain transportation ship

supply. Due to the huge volume of cruise ships, the rated power of a single thruster can reach 20 MW. The total propulsion power of the Royal Caribbean's "Ocean Charm" is 97 MW [8].

Offshore construction ships are usually used for ocean-going operations, such as dredgers, oil-drilling, and fiber optic cable laying ships. Such ships require good
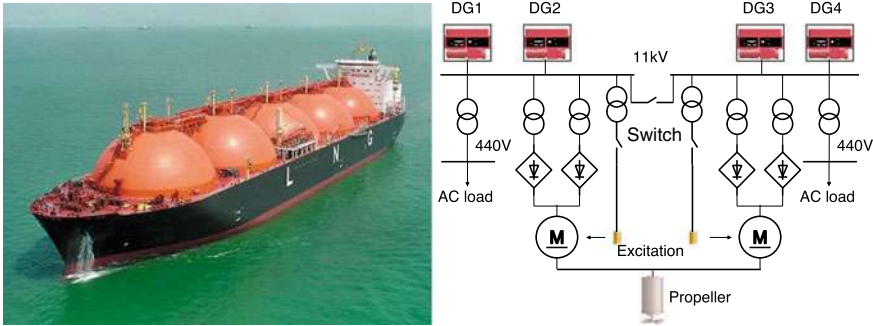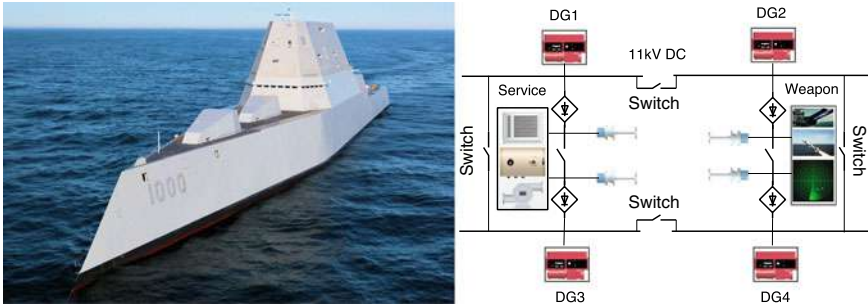
Fig. 4.6 All-electric LNG ship

Fig. 4.7 All-electric warship

maneuverability, so they need propulsion systems with huge capacities, especially for the thrusters to meet ship steering and U-turn. A typical illustration is shown in Fig. 4.4.

Cold chain transportation ships usually transfer refrigerated containers and store all kinds of fresh food. This type of ship needs to provide a large amount of refrigeration load during navigation [9]. In Fig. 4.5, the refrigeration load is supplied by 440 V AC power.

LNG ships are mainly used to transport LNG. Unlike the cold chain transportation ships in Fig. 4.5, LNG ships do not directly supply refrigeration load, but mainly use the vaporization process of LNG to maintain Temperature (-163 °C), and the vaporized natural gas is recovered through a reliquefaction device. This type of ship usually uses the 11 kV AC power supply [10]. Generally, this type of ships usually has a displacement of more than 100,000 tons, and the propellers need to be driven by several motors at the same time to ensure the maneuverability of the ship.

The last case is the warship which has multiple parallel buses (4 buses in Fig. 4.7) [9]. Four buses are backups to each other to ensure the survivability of warships on the battlefield.

In the future, with the development of all-electric ship, there will be more advanced topology designs for ship power systems, and the AC ship power system will be gradually replaced by the DC ship power system, which has larger capacities and more functionalities.

4.3.2 Topologies of Seaport Microgrids

Typically, the structure of seaport microgrid is similar to a land-based distribution network, which has (1) the main loop primary distribution network; (2) secondary loop-islands distribution network; and (3) tertiary distribution systems at specified voltage levels [11]. Figure 4.8 shows the structure of a seaport microgrid [12]. The main difference is the seaport has multiple redundant switches to ensure the power supply to critical loads, such as various port cranes and refrigeration.

With the electrification of seaport, seaport is required to provide more services to the berthed-in ships, such as the cold-ironing power. Additionally, the electrification of transferring vehicles is also another trend, which requires seaport to provide adequate charging facilities. Furthermore, harbor territory usually has much more plentiful renewable energy resources compared with inland, and the renewable generation integration into seaport to improve the energy efficiency is therefore a promising trend in the synthesis optimization of seaport microgrid. In this sense, the synthesis optimization of seaport microgrid can be viewed as an expansion planning problem. Ref. [13] analyzes the impact of cold-ironing power on the seaport and Ref. [14] analyzes the impact of renewable generation integration.
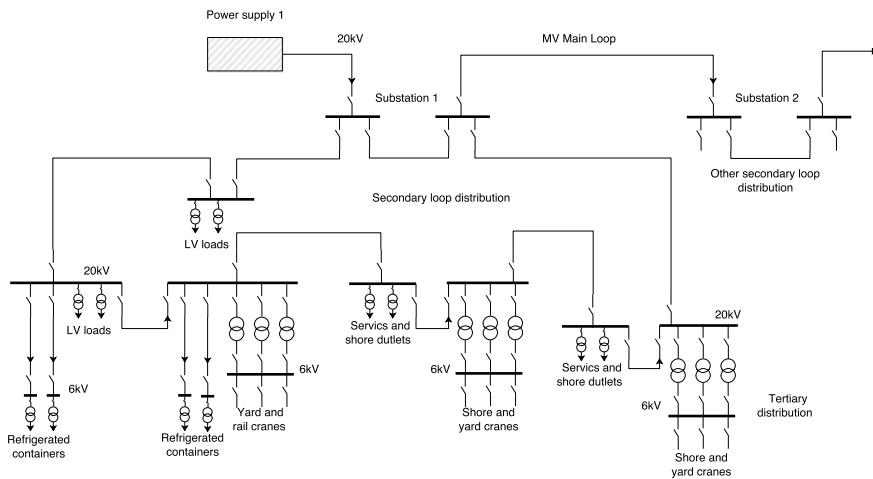

Fig. 4.8 Structure of a seaport microgrid

Electricity flow
Thermal flow
Fuel flow
Energy control signal
Logistic control signal
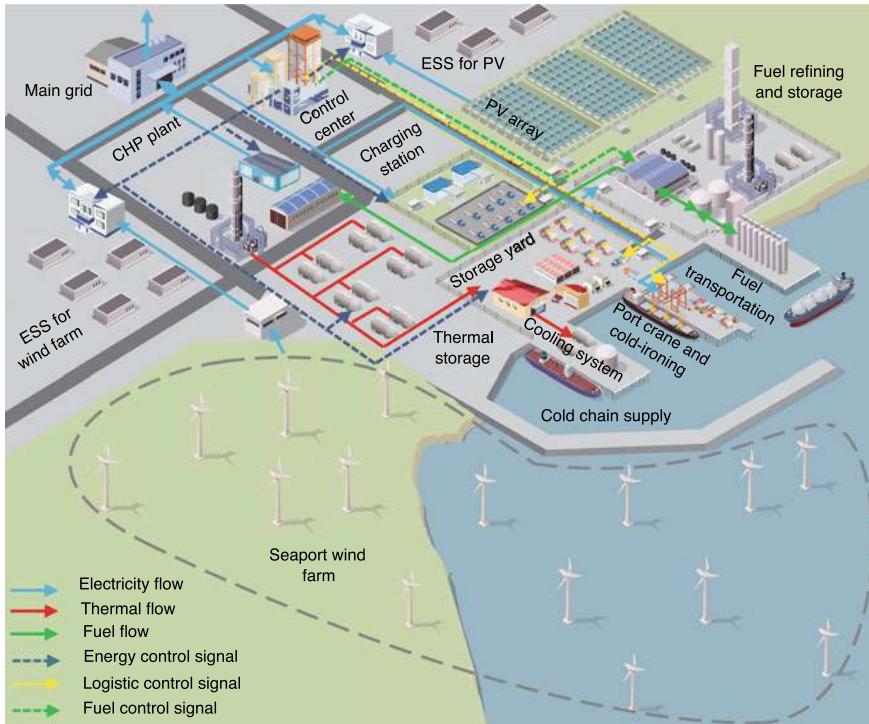Fuel control signal

Fig. 4.9 Typical topology of future port microgrid

In the future, the seaport microgrid will become a multi-energy microgrid that involves electricity, thermal power, fossil fuel, and even water flow supply [6]. To clearly show the future operating framework, we re-draw Figs. 1.17 as 4.9. Different energy systems should be coordinately planned for an overall optimum.

4.3.3 Topologies of Other Maritime Grids

Besides the above two main representatives of maritime grids, i.e., ship power system and seaport microgrid, there still exist many other types of maritime grids, such as the island power system, drilling platform, or offshore oilfield. In this section, an island power system is shown in Fig. 4.10 as a representative [15].

At first, a power plant acts as the main power source of an island power system, and various renewable energy sources are integrated into this system, such as wind power and photovoltaic power. Additionally, several energy storage stations are used to improve the reliability.
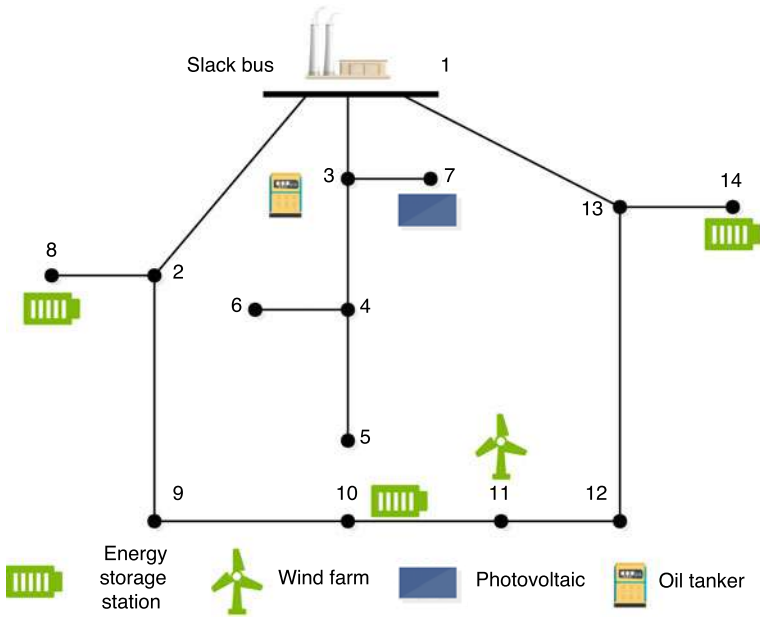
Fig. 4.10 An offshore island microgrid

4.4 Synthesis-Design-Operation Optimization of Maritime Grids

4.4.1 Synthesis Optimization for Maritime Grids

There are currently lots of research on the synthesis optimization of maritime grids. Here we give three cases to show their effects.

(1) Graph theory-based ship power system expansion

Nowadays, full electrification of ships is first implemented in Warships [16, 17] and may further expand to commercial applications [9]. As we know, ships may face various failures when navigation, such as malicious attacks on warships and component failures. To improve the resilience of a ship power system, Ref. [18] has proposed a graph theory-based ship power system expansion method to determine the optimal transmission line expansion strategy. The process is briefly described as follows.

Figure 4.11 gives a graph topology of an all-electric ship [19]. There are 22 buses and 29 lines in this graph. 4 generators are employed as the main power sources. 8 loads are classified as weapon load, propulsion load, radar load, control center, and hotel load according to the significance. The proposed model is to determine which lines should be installed for better resilience.
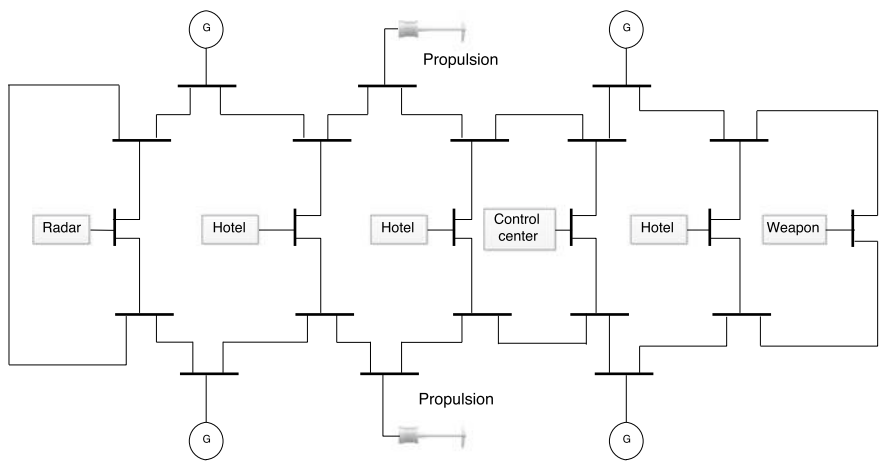
Fig. 4.11 The graph topology of an all-electric ship [19]

The proposed model has two objectives, (1) the weighted maximum flow from the generations to the loads, which is defined as (4.1), (2) Graph algebraic connectivity represented by the second smallest eigenvalue of Laplacian matrix.

$$\text{WSMF} = \sum_{ln} \omega_{ln} \cdot \sum_{gn} MF_{gn,ln} \tag{4.1}$$

where WSMF is the defined weighted maximum flow index; gn, ln are the index set for generations and loads; $MF_{gn,ln}$ is the maximum flow from the generations to the loads. The defined WSMF represents the maximum transmission capacity to the loads and can be acting as an important index to measure the resilience of ship power system.

In the case study, the proposed method is compared with the method of minimizing adding lines cost (MCR) [20]. The comparing results are shown in Table 4.1, and the simulation results bring two conclusions, (1) proper transmission line expansion can improve the resilience of ship power system; (2) the max-flow index is a useful index to measure the resilience of ship power system. From Table 4.1, the proposed model can reduce around 50% attacking scenarios which lead to load shedding.

Table 4.1 Load shedding results of different methods [18]

	1 Attacked line		2 Attacked lines	
	Attacking scenarios causing load shedding	Total attack scenarios	Attacking scenarios causing load shedding	Total attack scenarios
Original	10	27	233	351
MCR	6	29	167	406
Proposed	5	29	138	406

(2) Renewable generation expansion for Houston port

As the main interfaces between the ocean and inland, the environmental behaviors of seaports are always the concerns of the maritime industry [6]. With the electrification of seaports, massive renewable generation expansion in seaport has become reality. Ref. [14] proposes a model for the renewable generation planning and defines (1) smart energy index and (2) smart environmental index to measure the behaviors of seaports. The relevant parts with renewable energy integration are shown as follows.

$$SEgI_{RPG} = \frac{RS_{RPG} \cdot \sum P_{RPG} + RS_{MG} \cdot \sum (1 - \Pr_{outage}) \cdot P_{MG}}{RS_T^{max}} \quad (4.2)$$

$$SEnI_{RPG} = -\frac{EM \cdot \sum P_{RPG}}{EM_T^{max}} \quad (4.3)$$

where $SEgI_{RPG}$ and $SEnI_{RPG}$ are the relevant parts of renewable power generation in smart energy index and smart environmental index; RS_{RPG}, RS_{MG} are the energy consumption ratios from renewable power generation and the main grid; P_{RPG} and P_{MG} are the power from renewable power generation and the main grid; $\Pr_{outage}$ is the outage percentage of the main grid; RS_T^{max} is the goal value of total renewable power generation within the seaport; EM is the average gas emission of unit power; EM_T^{max} is the goal value of total gas emission.

With the above two defined indexes, seaport can select a proper capacity of renewable power generation to achieve various economic and environmental management targets. The case study has shown that the gas mission of seaport can reduce more than 50% by the optimization of the proposed method, which can be a reference for future research.

(3) Structural optimization of an offshore oilfield power system

The ship power system and seaport microgrid are two main types of maritime grids, and there also exist various other maritime grids. The offshore oilfield power system is one representative that is studied by Ref. [15]. An offshore oilfield power system to be optimized is shown in Fig. 4.12a.

An offshore oilfield power system generally consists of an island and many drilling platforms. The island acting as the power source and a proper network structure should be planned to achieve (1) acceptable economic cost; (2) acceptable environmental behavior; and (3) acceptable reliability level. After solving the formulated model, the optimized structure is shown as Fig. 4.12b.

Practically, the drilling platforms may be away from an island. Therefore a more general case is the island is replaced by the mobile power plant. The mobile power system can move with the drilling platform when the mission is finished.

(a) To be optimized   (b) optimized
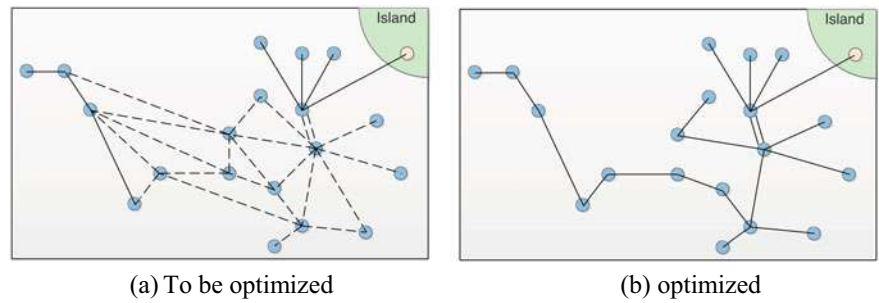
Fig. 4.12 Offshore oilfield power system. **a** To be optimized **b** optimized

4.4.2 Design and Operation Optimization for Maritime Grids

In this section, two cases are given to show the effects of design and operation optimization for maritime grids.

(1) Multi-agent energy management for a large port

Reference [21] proposes an energy management method based on a multi-agent system for a large electrified port. The agents in a port are shown in Fig. 4.13. The energy management process is simplified as follows.

Fig. 4.13 Multiple agents in a large electrified port

Fig. 4.14 Sequential energy management based on multiple agents
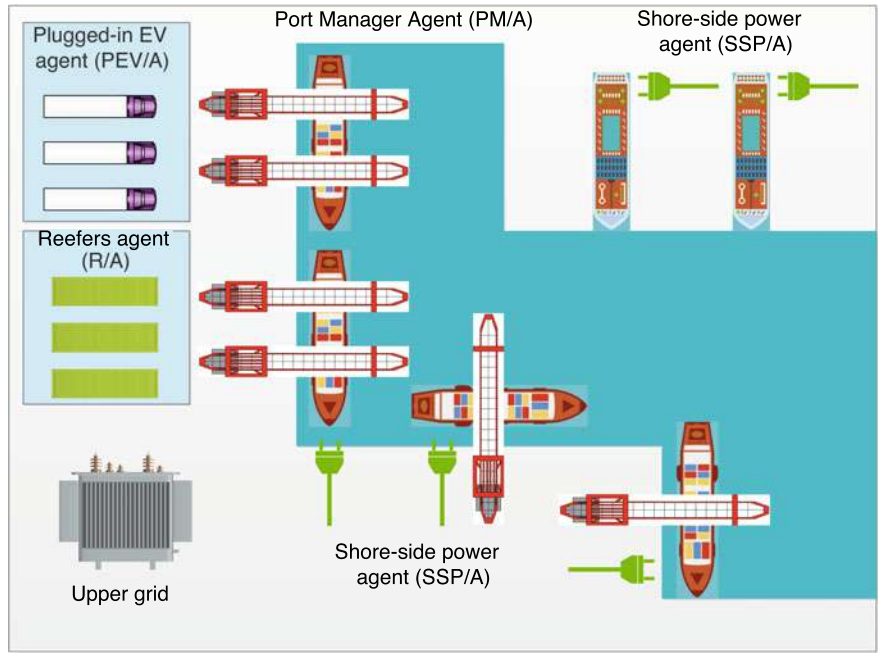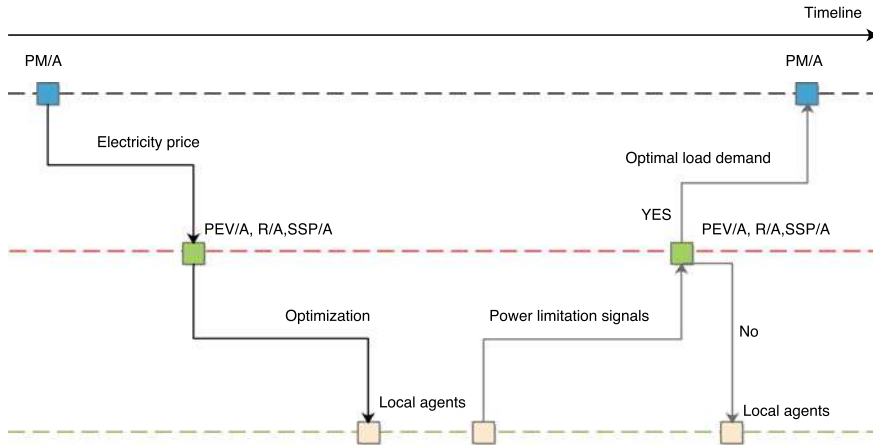
The overall port is under the control of the port manager agent (PM/A). PM/A aggregates the load demand within the port and communicates with the upper grid to determine the electricity price. The other agents include the plugged-in EV agent (PEV/A), which determines the charging/discharging of transferring vehicles, and the reefers agent (R/A), which determines the load demand of reefer containers, and shore-side power agent (SSP/A), which determines the cold-ironing power for each berthed-in ship. PEV/A, R/A, and SSP/A optimally dispatch the load demand of local agents (each component, such as one EV, or one reefer container) and then update with the PM/A. The overall process can be shown in the following Fig. 4.14.

PM/A sends electricity price to each agent (PEV/A, R/A, SSP/A), then each agent calculates its own optimal power demand plan and sends signals to each local agent of components. Each local agent determines if the load demand plan can be achieved. Then the "Yes/No" signals are sent back to PEV/A, R/A, and SSP/A. If all the local agents can achieve the optimal load demand, the total load demand under this agent will be sent to the PM/A. If not, the agent, i.e., PEV/A, R/A, SSP/A, will re-calculate the optimal load demand based on updated system conditions. This process will be repeated until convergence. This method has proved to be efficient and accurate in a real-world large electrified port. However, as an important part, the energy consumed by the port cranes are not considered in this research.

(2) Sizing of the shipboard gas capture system

We have mentioned the gas capture system in Chap. 1. Here we re-draw Fig. 1.11 to show the process of Ref. [22]. When the gas capture system is integrated into ships, the gas emission will be absorbed into storage and not emitted to the atmosphere. Before the wide usage of clean fuel, the gas capture technologies are viewed as feasible transition routes to control the gas emission.
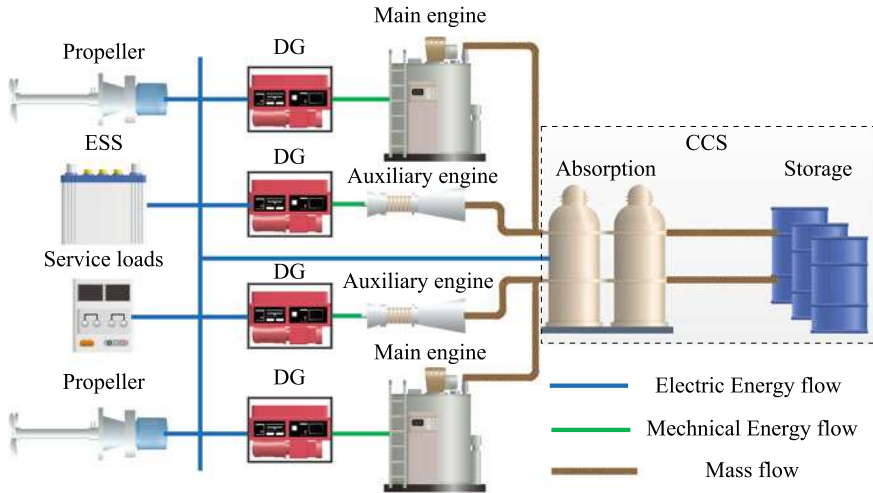
Fig. 4.15   Gas capture system into ships

Currently, the sulfur emission capture is the most mature technology among all the available technologies [23]. Lots of commercial applications have been implemented to meet the "2020 sulfur limit" [24]. The capture of carbon emission is a mature technology in land-based applications, but it still has many obstacles to be used in ships, such as the installment space, energy requirement, and so on. Other gas capture technologies, such as nitrogen capture and particle capture are all under investigation to find feasible implementations (Fig. 4.15).

The gas capture system integration will bring two problems, (1) what is the capacity of the gas capture system? and (2) what is the capacity of additional power sources to supply the gas capture system?

The first question is influenced by the environmental policies. For example, in 2020, IMO has launched the ever strictest sulfur limit policy, which requires to use 0.5% sulfur fuel. Then the installed gas capture system should have enough capacity to make the emitted gas has no more than 0.5% sulfur. In the future, the installed carbon capture system should also meet the global and regional carbon reduction goals. The second question is a design optimization for the ship power system. Since the original configuration of the ship does not have the gas capture system, the original generation system may not have enough capacity to supply the gas capture system. So extra power source, i.e., extra generator or energy storage, should be installed onboard. Ref. [22] formulates a sizing model to determine the above two questions. Its process is shown as the following Fig. 4.16.
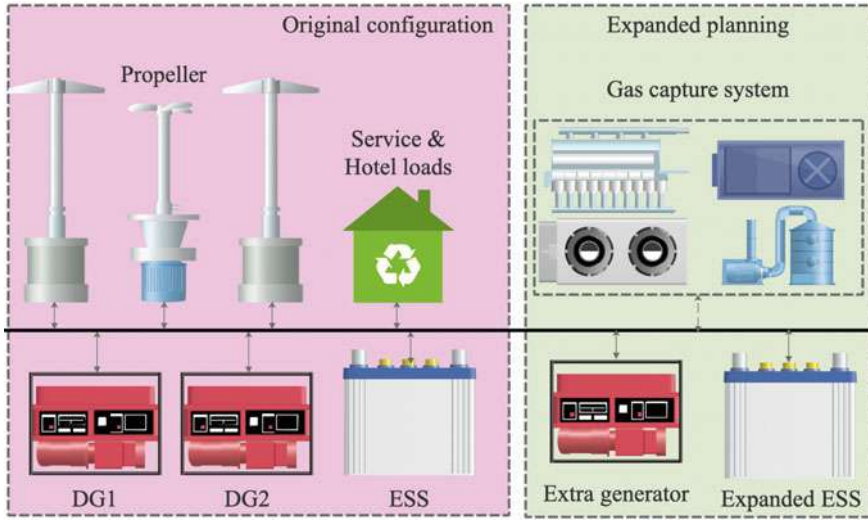
Fig. 4.16 Problems brought by gas capture system integration

4.5 Formulation and Solution of SDO Optimization

4.5.1 The Compact Form of SDO Optimization

In general terms, the compact form of SDO optimization for maritime grids can be shown as follow.

$$\min_{v,w,z} f(v, w, z) \tag{4.4}$$

where $f(v, w, z)$ is the management objective for SDO optimization, which is described in detail in Chap. 2; v is the set of decision variables for operation optimization, i.e., load factors of generators or engines, mass flow rates, pressure/temperature of streams, etc.; w is the set of decision variables for design optimization, i.e., nominal capacities of generators or engines, transmission limits of pipes or lines, etc.; z is the set of decision variables for synthesis optimization, which are generally binary variables to indicate the investment or non-investment of each component, i.e., with 1 value for investment and with 0 for non-investment.

For a complete SDO problem, Eq. (4.4) is under a set of constraints, including both equality and inequality constraints, to represent various limits in different scenarios.

$$h_i(v, w, z) = 0, i = 1, 2, 3 \ldots, I \tag{4.5}$$

$$g_j(v, w, z) \leq 0, j = 1, 2, 3 \ldots, J \tag{4.6}$$

A typical problem can involve one type, two types, or even three types of variables. For example, Refs. [1–3] involves three types of variable v, w, z, and Ref. [22] only involves two types. Generally, the SDO problems are non-linear and non-convex and very hard to be solved. Various methods have been proposed in this field to solve the SDO problems. In the following, the solution methods are classified into groups and then a decomposition-based method is described in detail for its usage in Chaps 4–7.

4.5.2   Classification of the Solution Method

The main classifications for solving the SDO problems are shown in Table 4.2 with some representative references, i.e., (1) mixed-integer linear programming, and (2) constrained non-linear programming, and (3) dynamic programming, and (4) evolutionary algorithm.

Table 4.2 Classifications for the solution methods of SDO problems

Models	Algorithms	References
Mixed-integer linear programming	Branch and bound	[25, 26]
Constrained non-linear programming	Generalized reduced gradient method	[27, 28]
	Sequential quadratic programming	[26, 29–31]
	Mixed-integer non-linear programming	[22, 32–36]
Dynamic programming	Sequential direct method	[3, 37]
	Deterministic dynamic programming	[38]
Evolutionary algorithm	Genetic algorithm	[39]
	Particle swarm optimization	[40, 41]
	Ant colony algorithm	[42]
	Whale optimization	[43]

4.5.3 Decomposition-Based Solution Method

In the following Chaps. 4–7, a decomposition-based solution method is proposed to solve a certain type of SDO problem, which is used in Refs. [22, 32–36] and belongs to the type of constrained non-linear programming. This type of SDO problem is shown in the following compact form.

$$\min_{v_1, v_2} f(v_1, v_2) \tag{4.7}$$

$$s.t. g_j^1(v_1) \leq 0, j = 1, 2, \ldots, J \tag{4.8}$$

$$h_1(v_1) = h_2(v_2) \tag{4.9}$$

$$g_i^2(v_2) \leq 0, i = 1, 2, \ldots, I \tag{4.10}$$

This problem belongs to the operation optimization, and v_1, v_2 are two types of operation variables, and usually belong to two different systems. For example in the navigation optimization of all-electric ships, v_1 represents the energy-related variables and v_2 related to the speed variables.

In the above formulation, Eqs. (4.8), (4.10) are the constraints in two different systems. For example in the navigation optimization of all-electric ships, Eq. (4.8) is the constraint set for energy and Eq. (4.10) is the constraint set for speed, and they are related by Eq. (4.9). This is a special type of maritime grid optimization problems since the couple between two systems only lies on Eq. (4.9).

In this book, this type of problem can be solved by a decomposition-based method and divided the original model into two levels as Eqs. (4.11) and (4.12).

$$\begin{aligned} &\min_{v_1} f\left(v_1, v_2^*\right) \\ &s.t. g_j^1(v_1) \leq 0, j = 1, 2, \ldots, J \\ &\qquad h_1(v_1) = h_2\left(v_2^*\right) \end{aligned} \tag{4.11}$$

$$\begin{aligned} &\min_{v_2} f_{aux}\left(v_1^*, v_2\right) \\ &s.t. g_i^2(v_2) \leq 0, i = 1, 2, \ldots, I \end{aligned} \tag{4.12}$$

Equation (4.11) refers to the upper level, and in this level, decision variables v_2 are viewed as constant variables, which are updated in the lower level, i.e., Eq. (4.12). In Eq. (4.12), f_{aux} is an auxiliary objective function, which represents a management target, such as minimization of voyage deviation, or minimization of voyage period, and so on. With the above decomposition, the original problem is decomposed into two simplified sub-problems.

In literature, Refs. [22, 32–36] solve the energy management problem for all-electric ships. Equation (4.8) is the energy-related constraints and Eq. (4.10) is the

speed-related constraints, and Eq. (4.9) is the speed-energy relationship, i.e., a cubic polynomial constraint. With the above decomposition, a non-linear and non-convex original problem is reformulated as a quadratic and linear programming problems, respectively, and therefore can be solved efficiently. In the following Chapters, this method will be used to solve various practical problems. Ref. [44] give a general method to select the parameters of this solution method.

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Chapter 5
Energy Management of Maritime Grids Under Uncertainties

5.1 Introductions of Uncertainties in Maritime Grids

5.1.1 Different Types of Uncertainties

There are many types of uncertainties during the operation of maritime grids, i.e., demand-side uncertainties, generation-side uncertainties, and failure uncertainties, which are shown in Fig. 5.1.

Generally, navigation uncertainties are the main sources of demand-side uncertainties, such as the uncertain wave and wind and the adverse weather conditions. As we have illustrated in former Chap. 2, there are different management tasks of maritime grids, and the navigation uncertainties therefore can bring uncertainties to the demand, such as the propulsion load in ships and the corresponding calls-for-service delay for berthing.

For the propulsion load, conventional uncertain wave and wind will add navigation resistance and cause speed loss. To ensure the on-time rates, the power generation system requires a certain power reserve, noted as "sea margin" [1]. Table 5.1 shows the "sea margins" in the main navigation route around this world.

From the above table, the "sea margins" are generally within the range of "20%–30%", which represents a general ship design should at least have 30% power reserve [2]. This power reserve range has provided the flexibility for the maritime grids to accommodate navigation uncertainties towards economic and environmental objectives, and also gives the necessity of optimal energy management. When the navigation uncertainties continuously increasing, the route may become not suitable for navigation, and this type of navigation uncertainties is the "adverse weather conditions", the ships need to change another route for safety, which refers to the "weather routing" problems [3–5]. Additionally, navigation uncertainties will bring calls-for-service delays, which means the ships cannot arrive at the mission point at the scheduling time, and the service will be delayed. For example, the pre-scheduled
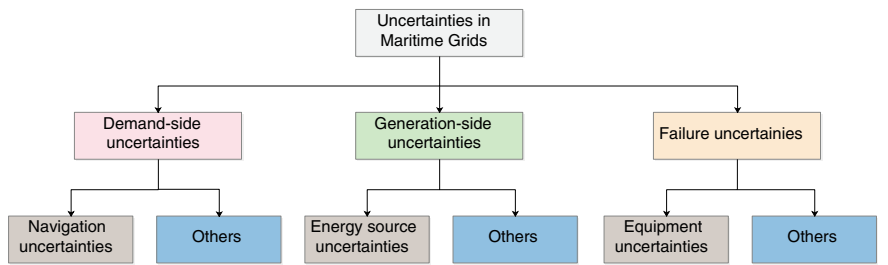
Fig. 5.1 Classification of uncertainties in maritime grids

Table 5.1 "Sea margins" for the main navigation route [2]

Navigation route	Sea margin
North Atlantic, heading west	25%–35%
North Atlantic, heading east	20%–25%
Europe-Australia	20%–25%
Europe-East Asia	20%–25%
Pacific	20%–30%

berth position for a delayed ship may stay idle state till the ship arrives, and the electric and logistic service will also be postponed, which brings uncertainties to the operation of the seaport.

The energy source uncertainties are the main sources of generation-side uncertainties. In conventional operating scenarios, the uncertainties of energy sources are quite limited since the main energy sources, such as diesel engines or gas turbines are highly controllable. However, in recent years, various types of renewable energy are integrated into maritime grids, and the inherent intermittency brings lots of operating uncertainties to the maritime grids, such as the photovoltaic energy in ships, and the offshore wind farms for island microgrid. Those types of uncertainties should be addressed to reduce the operating risks of maritime grids. Another type of energy source uncertainties is the main grid uncertainties from the uncertain electricity price and the main grid failures.

The equipment uncertainties generally include two types, the first one is for the failure and the second one is for the scheduled maintenance or replacement. Their difference is the failure occurs unexpectedly and the system needs to act for correction, and the scheduled uncertainties give much longer time for the system to re-schedule the operating plan.

The main classifications of uncertainties in maritime grids are illustrated above, and the uncertainties bring enormous operating risk to the maritime grids, and proper operating strategies should be promoted to mitigate their influence.

5.1.2 Effects of Electrification for Uncertainties

The above uncertainties have perplexed the maritime industry for a long time. For example, the adverse weather conditions have been viewed as one of the main reason for ocean accidents, for example, the accident of *Svendborg Maersk* in 2014 [6]. The equipment failures are also viewed as the enemy to the system reliability [7, 8]. Lots of control strategies have been studied to prevent their harmful effects, such as spare parts optimization [9] and system reconfiguration [8]. With the extensive electrification, the maritime grids become a highly coupled multi-energy system, and all the system resources can be used to mitigate one type of uncertainty. Here we give two examples to show the effects of electrification for uncertainties.

In conventional ships, the propulsion system is directly driven by the main engine by a gearbox, and the other onboard components are supplied by the shipboard power system, shown as Fig. 5.2.

The main engines cannot freely adjust their outputs, and only several gear positions can be selected, such as 1/2 full power or 1/3 full power. As a result, this type of adjustment is coarse and lacks flexibility for conventional navigation uncertainties, since, for most cases, the speed loss by navigation uncertainties is only 10%~15% of the total speed [2]. With extensive electrification, the propulsion system can be quickly responding to the navigation uncertainties due to the superior rotation regulation performance of electric machines [10, 11]. In this sense, the electrification can make ships navigate in a more steady speed range.

For conventional seaports, the logistic equipment consumes most of the energy consumption and they may be not driven by electricity, such as the rubber-tire gantry may be driven by diesel engines [12]. In some cases, the rest system may not consume all renewable energy integration. For example, the Jurong port of Singapore has 9.5 MW photovoltaic energy integration in 2016 [13], but some of them may be wasted in some time periods. However, with fully electrified, the maritime grids will have a larger capacity to accommodate the energy source uncertainties. Furthermore,
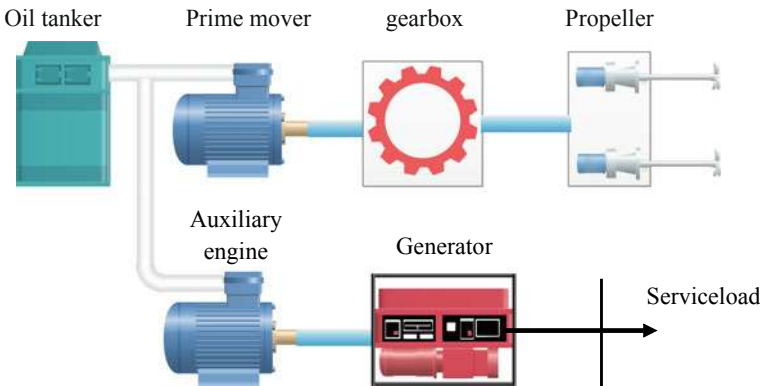

Fig. 5.2 Topology of conventional ships

the auxiliary equipment brought by electrification, such as batteries, combined heat-cooling power generators, can further enhance the reliability under main grid failures.

In summary, with full electrification, the maritime grids will have larger capacity and more resources to withstand different types of uncertainties, and with proper energy management, the economy, environment, and reliability objectives can be better achieved.

5.2   Navigation Uncertainties

5.2.1   Uncertain Wave and Wind

Generally in calm water, the propulsion load of ship has a cubic relationship with the cruising speed, shown as Fig. 5.3. The propulsion load will gradually increase with the speed and finally hits the "wave wall", and the maximum cruising speed achieves. When a ship sails on the sea, the wave and wind will add extra resistance and bring speed losses [2], and the wave wall will be moved to the left.

From Fig. 5.3, when considering the wave and wind, the cruising speed under the same propulsion load will decrease, and this refers to the "speed loss". To mitigate this speed loss, the main engine of ships should have adequate "sea margin", usually more than 15% by different navigation routes and seasons, as shown in Table 5.1. For example, in the route between Japan-Canada, the added resistance may scale up to 220% in some seasons, and the average is about 100% [14], and for most cases, the resistance in summer increases about 50%, and in winter, the resistance increases about 100% [14]. That added resistance will introduce more speed losses, and those speed losses may even accumulate and cause a severe delay in the destination. Therefore, energy management considering speed losses in uncertain wave and wind is essential for the maritime industry.

Fig. 5.3 Relationship between the propulsion load and the cruising speed