

David Tomás Sánchez Martínez
Lourdes García Rodríguez
(coordinadores)

Proceedings of the 7th International Seminar on

ORC

Power Systems

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Optimization of organic Rankine cycle using ocean thermal energy based on NSGA-II

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ABSTRACT

The organic Rankine cycle is one of the key methods to utilize ocean thermal energy, which is abundant and continuous renewable energy. In this paper, a non-dominated sorting genetic algorithm-II (NSGA-II) based approach is utilized to optimize an organic Rankine cycle-based ocean thermal energy conversion system. The objective is to maximize the degree of thermal energy utilization and the maximum system power output in. The decision variables considered for optimization include evaporation temperature, condensation temperature, degree of superheating, and working fluid mass flow. The objective functions are defined as thermal efficiency and net power output. The optimization process for the ocean thermal energy conversion Rankine cycle is performed using NSGA-II. The results indicate an inverse relationship between thermal efficiency and power output, meaning that achieving the highest thermal efficiency does not necessarily result in the highest net power output. The utilization of NSGA-II enables the identification of multiple optimal solutions that lie on the Pareto front, representing the best trade-off between thermal efficiency and power output. By considering the investment cost constraint, the most suitable solution for achieving the maximum net power output can be determined.

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1 INTRODUCTION

Ocean thermal energy refers to the thermal energy stored within the temperature gradient between surface warm sea water and deep cold seawater. It owns the advantages of stableness, non-fluctuation with temporal and spatial variance. Closed Organic Rankine Cycle (ORC) is the most promising for commercial application of ocean thermal energy conversion (OTEC) since it has the simplest configuration and is easy to miniaturize. However, ocean thermal energy functions within a small temperature gradient (usually $\leq 23^{\circ}\text{C}$) and has low thermal efficiency (usually around 3%). To improve thermal efficiency, many researchers focus on the selection of working fluids, optimization of cycle configuration. Hung *et al.* (2010) found that at low temperature difference conditions, the working fluids with high latent heat of evaporation can achieve higher thermal efficiency. Ganic *et al.* (1980) compares the performance of a closed ORC cycle using inorganic working fluid (ammonia), and organic working fluids (R290, R114). The results show that using ammonia as working fluid can achieve the highest thermal efficiency since its latent heat of evaporation is the highest. In the OTEC process, the temperature fluctuation of warm sea water inside the evaporator will increase the temperature difference between the working fluid outlet of the evaporator and heat source, causing the irreversible loss of heat transfer when using pure working fluid. Therefore, in recent years, researchers are searching for non-zeotropic working fluid to enhance OTEC's efficiency (Araghi *et al.*, 2016; Yoon *et al.*, 2015). Meanwhile, methods to improve the ORC cycle, such as the introduction of heat recovery heat

exchanger, ejector and multi-stage expansion in the system design, can also enhance the efficiency (Yoon *et al.*, 2015).

Both the adoption of non-zeotropic working fluid and the improvement of the ORC cycle add the complexity of the ORC system. Optimizing the design and operation parameters of the ORC cycle can be another solution to enhance the system's performance. Sun *et al.* (2012) selected warm sea water temperature, warm sea water flow rate, evaporation temperature and condensation temperature as decision variables, and ORC net power generation as target variables. The optimal system design parameter is obtained. Wang *et al.* (2019) set evaporation temperature, condensation temperature, warm seawater outlet temperature and cold sea water outlet temperature as optimization variables, and levelized electricity cost and exergy efficiency as objective functions. The normalized Pareto front was obtained using multi-objective particle swarm optimization algorithm. In summary, most researches work on OTEC performance enhancement focus on the selection of working fluids and cycle improvement, while research focusing on optimization of the design and operation parameter are less and only limited to single objective optimization.

To deepen the understanding of the thermal characteristics of OTEC based on closed ORC, this paper established the theoretical static model for the closed ORC cycle. The impact of evaporation temperature, condensation temperature, superheat at turbine inlet and flow rate on the turbine output, cycle thermal efficiency, system investment cost and levelized cost of electricity are calculated and analyzed. Based on this, the generic algorithm is adopted to conduct bi-objective optimization based on the OTEC power plant. In the design optimization, the turbine output power and thermal efficiency are the objective functions, the system investment cost, warm and cold seawater flow rate are the constraints, the evaporation temperature, condensation temperature, turbine inlet overheat and flow rate of working fluids are the optimization variables. Non-dominated Sorting Generic Algorithm is adopted to conduct bi-objective optimization of OTEC and obtain Pareto front of the turbine output power and thermal efficiency to guarantee the maximum thermal efficiency under the designed installed capacity of OTEC.

In summary, this paper demonstrates the use of NSGA-II for optimizing an organic Rankine cycle-based ocean thermal energy conversion system. The methodology considers multiple decision variables and objectives, leading to a set of Pareto-optimal solutions. The study highlights the trade-off between thermal efficiency and power output and provides valuable insights for selecting the optimal design that maximizes net power output within the specified investment cost constraint.

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2 OTEC MODEL

2.1 System description

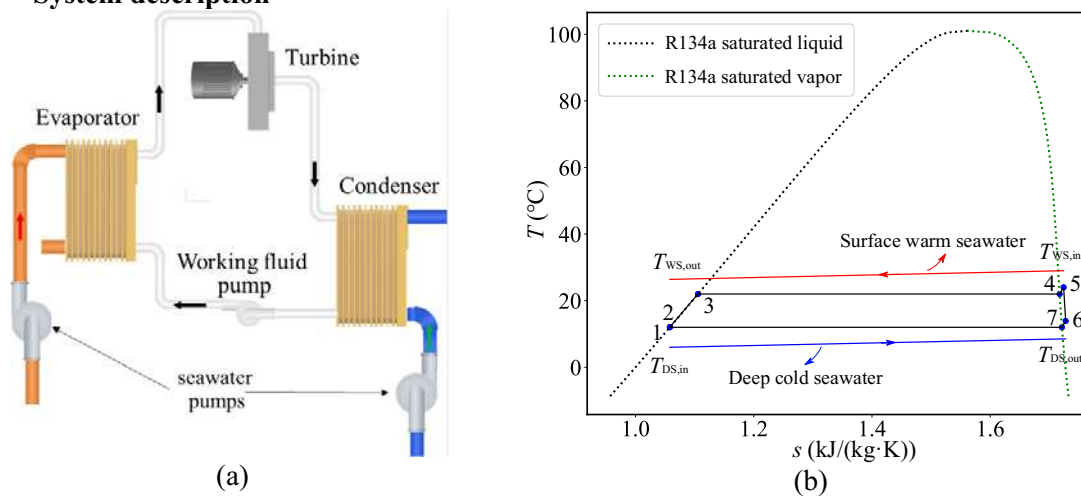


Figure 1: Rankine cycle-based OTEC: (a) working principle, (b) T - s diagram.

OTEC system utilizes the temperature gradient between warm surface seawater and cold deep seawater to generate electricity. Figure 1 provides the schematic of Rankine cycle-based OTEC.

Organic fluid R134a is selected as the working fluid. Liquid R134a (state point 1) is pressurized to state point 2 and sent into the evaporator. The working fluid exchange heat with warm surface seawater in the evaporator, which goes through saturated liquid state (point 3), saturated gas state (point 4) and overheat state (point 5). The gas-phase working fluid enters turbine at the evaporator outlet for expansion to generate electricity, while the exhaust gas at the turbine outlet (state point 6) enters the condenser for heat exchange and condenses to state point 1.

2.2 Thermodynamic model

The key to the thermodynamic calculation is to determine the thermodynamic parameters at each point on the T - s diagram. Therefore, the thermodynamic model of the cycle is established in Matlab according to the conservation of energy and mass, and the other thermodynamic parameters (including enthalpy and entropy) at each state point are determined by the pressure and temperature parameters, and the physical properties of the work material are calculated using Refprop. The energy equations for each component are listed in Table 1.

Table 1: Energy equations for ORC-based OTEC system

Components	Equations
Working fluid pump	$W_{\text{pump, wf}} = m_{\text{wf}}(h_1 - h_2) = m_{\text{wf}}(h_1 - h_{2,\text{is}})\eta_{\text{pump, wf}}$
Evaporator	$m_{\text{WS}} \cdot c_{\text{p, WS}} \cdot (T_{\text{WS, in}} - T_{\text{WS, out}}) = m_{\text{wf}}(h_5 - h_2)$
Turbine	$W_{\text{tur}} = m_{\text{wf}}(h_5 - h_6) = m_{\text{wf}}(h_5 - h_{6,\text{is}})\eta_{\text{tur}}$
Condenser	$m_{\text{DS}} \cdot c_{\text{p, DS}} \cdot (T_{\text{DS, in}} - T_{\text{DS, out}}) = m_{\text{wf}}(h_6 - h_1)$
Seawater pumps	$W_{\text{pump, SW}} = \frac{Q v_{\text{SW}} \Delta P_{\text{t}}}{\eta_{\text{pump, SW}}}$

The subscript pump stands for pump, wf stands for working fluid, η stands for isentropic efficiency of pump; eva and con refer to evaporator and condenser, respectively, WS and DS refer to warm seawater and deep seawater, tur stands for turbine, η_{tur} stands for turbine isentropic expansion efficiency of the turbine, Q_v stands for volume flow rate, ΔP_{t} is the total pressure loss during seawater transportation which can be calculated according to Hu *et al.* (2022).

Hence, the Net power generation of ORC is obtained by

$$W_{\text{net}} = W_{\text{tur}} - W_{\text{pump, wf}} - W_{\text{pump, WS}} - W_{\text{pump, DS}} \quad (1)$$

The net thermal efficiency is given by

$$\eta_{\text{thermal}} = \frac{W_{\text{net}}}{Q_{\text{eva}}} \quad (2)$$

The heat transfer areas of the evaporator and condenser can be calculated by

$$Q = UA\Delta T \quad (3)$$

where, U is total heat transfer coefficient, A is the total heat transfer area, ΔT is Logarithmic mean temperature difference (LMTD).

The total heat transfer coefficient is calculated by

$$\frac{1}{U} = \frac{1}{h_h} + \frac{\delta}{\lambda_p} + \frac{1}{h_c} + R_f \quad (4)$$

where, h_h and h_c are the convective heat transfer coefficient on hot and cold sides, respectively, δ is the plate thickness, λ_p is the thermal conductivity of the plate, R_f is the thermal resistance of dirt.

The LMTD is calculated by

$$\Delta T = \frac{\Delta T_{\text{max}} - \Delta T_{\text{min}}}{\ln(\Delta T_{\text{max}} / \Delta T_{\text{min}})} \quad (5)$$

For the evaporator, only a single-phase heat transfer model is established for the warm sea water side. For working fluid in the evaporator, since it goes through subcooling, evaporation and overheat processes. The subcooling and superheat processes are single-phase processes while the

evaporation lies in a two-phase region. Similarly, the working fluid in the condenser goes through two-phase condensation and single-phase subcooling. Therefore, the calculation of evaporation and condenser can be divided into single-phase and two-phase convective heat transfer.

2.2.1 Single-phase convective heat transfer

For single-phase convective heat transfer of plate heat exchanger, Chishom and Wanniarachchi correlations are used to calculate the Nusselt number of warm seawater, cold seawater working fluid in condenser and evaporator in single-phase region (Garcia *et al.*, 2007).

$$Nu_s = 0.724 \left(\frac{6\beta}{\pi} \right)^{0.646} Re_s^{0.583} Pr_s^{1/3} \quad (6)$$

where, β is the ripple angle plate, Re and Pr are Reynolds number and Prandtl number, subscript s refers to single-phase. Convective heat transfer h_s is calculated by:

$$h_s = \frac{\lambda \cdot Nu_s}{d_e} \quad (7)$$

2.2.2 Two-phase convective heat transfer

In both the condenser and evaporator, two-phase convective heat transfer of the working fluids is calculated by the modified LMTD method. The two-phase region is divided into multiple small sections, in which the thermal and physical properties are considered unchanged. For each section i , the Nusselt number can be calculated using Equation 8 (Wang *et al.* 2013).

$$Nu_{eva,t,i} = 1.926 Pr_l^{1/3} Bo_{eq,i}^{0.3} Re_{eq,i}^{0.5} \left[1 - x_{m,i} + x_{m,i} \left(\frac{\rho_l}{\rho_s} \right)^{0.5} \right] \quad (8)$$

where, subscript t refer to the evaporator and two-phase flow region, Pr is the Prandtl number of the saturated liquid state, x_m is the vapor fraction, $Bo_{eq,i}$ and $Re_{eq,i}$ are the equivalent Boiling number and equivalent Reynolds number respectively. Therefore, for the evaporation process, the convective heat transfer coefficient $h_{eva,t}$ of each unit in two-phase region can be calculated using Equation 9.

$$h_{eva,t} = \frac{\lambda_l \cdot Nu_{eva,t,i}}{d_e} \quad (9)$$

where, λ stands for heat conductivity of the liquid.

After the vapor exits from turbine outlet and enters condenser, it flows within the narrow channel between plates at high flow rate and is condensed by the cold seawater. For the two-phase region in the condenser, the liquid film thickness increases gradually along the flow rate direction and heat conductivity gradually decreases. The convective heat transfer coefficient for the two-phase region in the condenser can be calculated using Equation 10-11 (Yan *et al.* 1999).

$$Nu_{con,t} = 4.118 Re_{eq}^{0.4} Pr_l^{1/3} \quad (10)$$

$$h_{con,t} = \frac{\lambda_l \cdot Nu_{con,t}}{d_e} \quad (11)$$

2.3 Thermo-economic model

To evaluate the economic viability of the ocean thermal energy conversion (OTEC) system, a thermal economic model for the system is constructed, using the total investment cost and the levelized cost of energy (LCOE) as economic indicators. The Module Costing Technique (Turton *et al.*, 2018) is utilized for the cost estimation of OTEC systems, which uses the equipment procurement cost C_p^0 under basic conditions (using carbon steel materials at atmospheric pressure) as the base purchase cost for equipment, and employs fitting relationships with the same form for different equipment to calculate equipment costs. The equations for the calculation are as follows:

$$\log_{10} C_{P,e}^0 = K_{1,e} + K_{2,e} \log_{10}(Y) + K_{3,e} [\log_{10}(Y)]^2 \quad (12)$$

$$C_{BM,e} = C_{P,e}^0 \cdot [Z_{1,e} + Z_{2,e} \cdot (F_{M,e} F_{P,e})] \quad (13)$$

$$C_{BM,tur} = C_{P,tur}^0 \cdot F_{tur} \quad (14)$$

$$\log_{10} F_{P,e} = B_{1,e} + B_{2,e} \log_{10}(P) + B_{3,e} [\log_{10}(P)]^2 \quad (15)$$

$$C_{OTEC} = C_{BM,eva} + C_{BM,con} + C_{BM,pump} + C_{BM,tur} + C_{BM,ele} \quad (16)$$

$$C_{\text{OTEC},2019} = C_{\text{OTEC},2001} \cdot \left(\frac{CEPCI_{2019}}{CEPCI_{2001}} \right) \quad (17)$$

$$LCOE = \frac{\frac{i(1+i)^n}{(1+i)^n - 1} C_{\text{OTEC},2019} + r_M C_{\text{OTEC},2019}}{W_{\text{net}} \cdot t_{\text{op}}} \quad (18)$$

Here, the subscript e represent the equipment, including plate heat exchanger (PHE), turbine (Tur), pump (Pump), and generator (Gen), i is the annual interest rate selected as 5%, and n is the number of years of operation assumed to be 20 years.

Table 2 Bare model cost parameters

e	Y	K_1	K_2	K_3	Z_1	Z_2	B_1	B_2	B_3	F_M	$F_{P,e}$	F_{Tur}
PHE	$A/(\text{m}^2)$	4.6656	-0.1557	0.1547	0.96	1.21	0	0	0	2.4	Eq.(28)	-
Tur	$W/(\text{kW})$	2.2476	1.4965	-0.1618	-	-	-	-	-	-	-	3.5
Pump	$W/(\text{kW})$	3.3892	0.0536	0.1538	1.89	1.35	-0.3935	0.3957	-0.00226	2.15	Eq.(28)	-
Gen	$P/(\text{kW})$	$C_{\text{BM},\text{ele}} = 1850000 \left(\frac{P}{11800} \right)^{0.94}$										

2.4 Bi-objective optimization

The installed capacity and cycle thermal efficiency of the ocean thermal energy conversion (OTEC) system are chosen as the objective functions for optimization. The decision variables for optimization are the evaporator temperature (T_{eva}), condenser temperature (T_{con}), turbine inlet steam superheat (T_{sh}), and working fluid mass flow rate (m_{wf}). Under given cold and heat source conditions, the multi-objective optimization problem of the ocean thermal energy conversion system can be described as follows:

$$\begin{cases} \text{Max}\{W_{\text{tur}} = f_1(T_{\text{eva}}, T_{\text{con}}, T_{\text{sh}}, m_{\text{wf}})\} \\ \text{Max}\{\eta_{\text{thermal}} = f_2(T_{\text{eva}}, T_{\text{con}}, T_{\text{sh}}, m_{\text{wf}})\} \end{cases} \quad (19)$$

For the design of ocean thermal energy conversion (OTEC) systems, considering the potential damage to turbine blades caused by liquid droplets in the turbine, there are constraints on the dryness fraction of turbine exhaust during the thermodynamic cycle. Additionally, the heat exchange process in the heat exchangers is limited by the pinch point temperature difference (T_{pp}). Furthermore, the manufacturing cost of the OTEC system is also constrained. Therefore, the constraints for optimizing ocean thermal energy conversion systems are:

$$x_{\text{tur,out}} \geq x_{\text{tur,en}} \quad (20)$$

$$T_{\text{pp,eva}} \geq T_{\text{pp,en}} \quad (21)$$

$$T_{\text{pp,con}} \geq T_{\text{pp,en}} \quad (22)$$

$$C_{\text{OTEC},2019} \leq C_{\text{OTEC,en}} \quad (23)$$

$x_{\text{tur,out}}$ is the dryness fraction of the exhaust at the outlet of the turbine, and to ensure the safety of the system operation, it is required to design the turbine outlet exhaust dryness fraction to be greater than or equal to 0.98. $T_{\text{pp,eva}}$ and $T_{\text{pp,con}}$ are the pinch point temperature differences of the evaporator and condenser, respectively, which are typically located at the saturated liquid point of the working fluid in the evaporator (i.e., state point 3) and the saturated gas point of the working fluid in the condenser (i.e., state point 7). Noted that the improved NSGA-II proposed by Deb *et al.* (2002) is used to solve this multi-objective problem as it offers a robust and effective approach for optimizing ORC system. Its ability to handle multiple objectives, generate Pareto-optimal solutions, maintain convergence and diversity, and efficiently explore the design space makes it a valuable tool for finding optimal designs in ORC-based ocean thermal energy conversion system. Figure 2 depicts the flowchat of the optimization process.

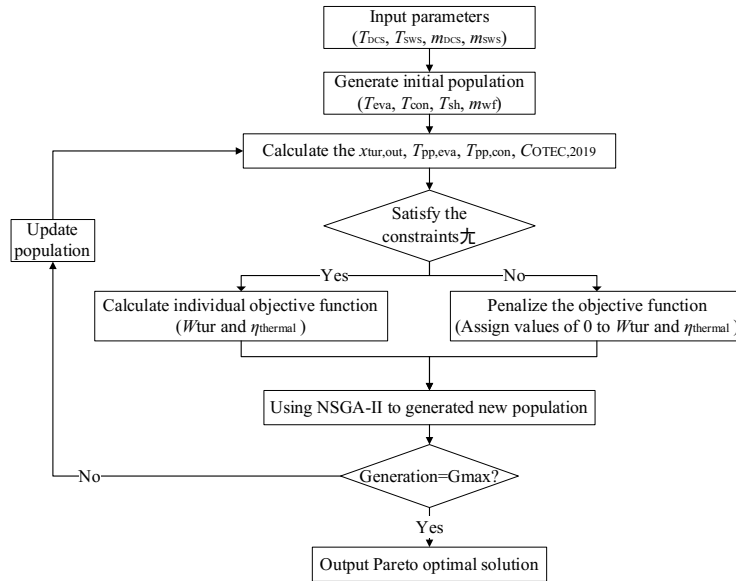


Figure 2: Optimization flowchart.

3 RESULTS AND DISCUSSION

In this section, the decision variables are set as the evaporator temperature, condenser temperature, superheat, and working fluid flow rate, with the system investment cost as a constraint. The turbine output power and cycle thermal efficiency are chosen as objective functions. Genetic algorithm is used to optimize the ocean thermal energy conversion (OTEC) power generation efficiency, and the Pareto front of the bi-objective optimization is obtained. Table 3 gives the input data of the genetic algorithm. Based on the optimization results, the performance of the OTEC system are examined for different installed capacities.

Table 3 Input data for genetic algorithm

Items	Values
Population size	200
Number of iterations	200
Crossover rate	0.9
Mutation rate	0.2

Figure 3 shows the Pareto front obtained with sea water mass flow rates as design parameters, where the temperature of the warm and cold seawater is fixed. It can be observed that for the same installed capacity, a larger seawater mass flow rate leads to a higher optimal thermal efficiency of the system. This is mainly because a larger seawater mass flow rate allows for higher evaporator temperature and lower condenser temperature, according to the Carnot cycle principle. Additionally, Figure 4 presents the change in generational distance with evolution generations, showing that the algorithm converges around 100 generations.

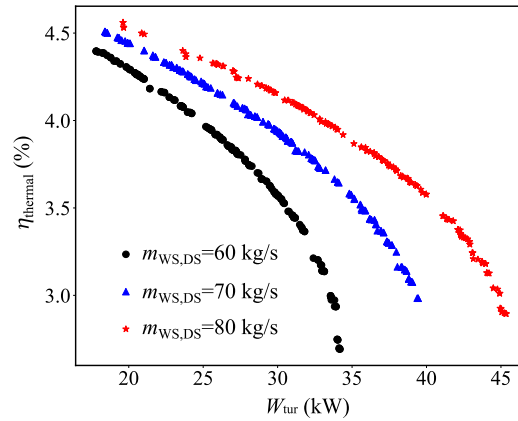


Figure 3: Pareto frontier

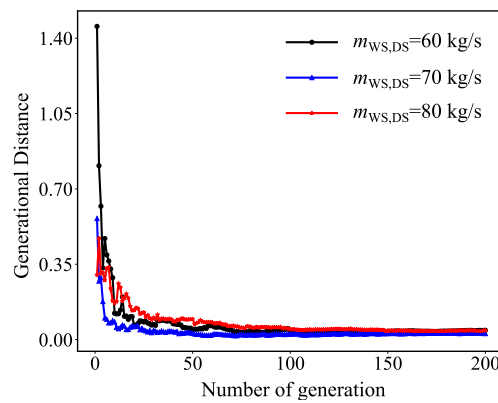


Figure 4: Relationship among number of generations and generation distance.

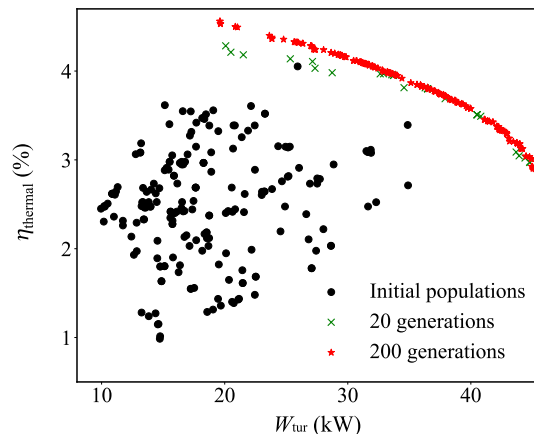


Figure 5: Non-dominated solutions of different generations and initial populations.

To quantify the optimization process and results of the OTEC system's design parameters, with seawater flow rates of hot and cold sides set at 80 kg/s as the design parameters, the system design parameters were optimized. Figure 5 shows the initial population and the non-dominated solution set obtained from the 20th and 200th generations of the optimization process. Figure 6 presents the net power generation capacity, investment cost, and decision variables for some of the Pareto optimal solutions. These solutions represent a trade-off between the two objective functions, and design engineers can choose the best solution for different application conditions. In other words,

each set of solutions ensures the optimal thermal efficiency of the system for a given installed capacity. The solution number in Figure 6 is sorted in ascending order of installed capacity, and from the results, it can be observed that under the given constraints, as the installed capacity increases, the optimal evaporating temperature decreases, the condensing temperature increases, the working fluid mass flow rate increases, which in turn leads to a decrease in the average heat absorption temperature and an increase in the average heat rejection temperature, resulting in lower optimal thermal efficiency, which is in accordance with the Carnot theorem. In other words, increasing the installed capacity of the system comes at the cost of sacrificing the cycle thermal efficiency under the given boundary conditions. Furthermore, as the installed capacity increases, the net output power of the system gradually increases, and the evaporator and condenser areas also increase, as well as the investment cost, but all remain within the given cost constraints.

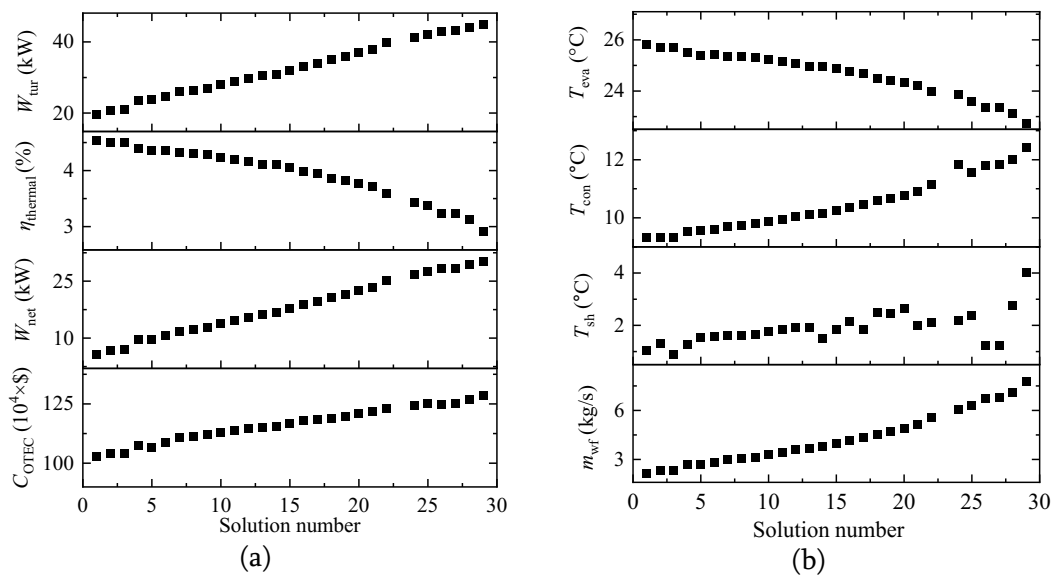


Figure 6: Optimal results of Pareto frontier: (a) objection function, (b) decision variable.

The design parameters of 20kW, 30kW, and 40kW were selected from the optimization results, and the system's other thermodynamic parameters and economic parameters are further obtained, as shown in Table 4. For the oceanic temperature difference closed-cycle power generation system with a capacity of 30kW, using R134a as the organic working fluid, the optimal evaporating temperature is 24.98°C, the condensing temperature is 10.11°C, the superheat is 1.91°C, the mass flow rate of the working fluid is 3.70 kg/s, and the net power generation capacity of the system is 16.17kW. The required evaporator and condenser areas are 122.95 m² and 57.64 m², respectively. The total investment cost is 1.1499 million US dollars, and the levelized cost of electricity is 0.86 US dollars/kWh.

Table 5 Performance evaluation of optimized OTEC plants

Item	Unit	20 kW-class	30 kW-class	40 kW-class
W_{tur}	kW	20	30	40
W_{net}	kW	5.70	16.17	25.13
$\eta_{thermal}$	%	4.531	4.116	3.587
T_{eva}	°C	25.83	24.98	23.98
T_{con}	°C	9.33	10.11	11.15
T_{sh}	°C	1.06	1.91	2.13

m_{wf}	kg/s	2.16	3.70	5.58
A_{eva}	m ²	103.02	122.95	135.63
A_{con}	m ²	43.33	57.64	67.46
C_{OTEC}	10 ⁴ \$	102.93	114.99	123.11
$LCOE$	\$/kWh	2.18	0.86	0.59

4 CONCLUSIONS

To optimize the design parameters prior to the construction of the OTEC power plant, a bi-objective optimization is carried out for the OTEC system, where the evaporator temperature, condenser temperature, turbine inlet superheat, and working fluid mass flow rate are selected as decision variables. Under the constraint of system investment cost and with the objectives of OTEC system installed capacity and cycle thermal efficiency, the thermodynamic cycle parameters were optimized using genetic algorithm to obtain the Pareto optimal solution set. Each design in the solution set maximizes the cycle thermal efficiency for a given installed capacity of the OTEC system. The main findings can be summarized as follows:

- (1) Higher evaporation or lower condensation temperatures will result in higher thermal efficiency, but the power output of the system will decrease. This is mainly due to a decrease in the amount of input heat.
- (2) OTEC power plants exhibit economies of scale, with larger scale resulting in lower levelized cost of electricity.
- (3) For a Rankine cycle-based OTEC system with an installed capacity of 30 kW, the optimal evaporator temperature was found to be 24.98°C, the condenser temperature was 10.11°C, the superheat was 1.91°C, and the working fluid mass flow rate was 3.70 kg/s. The net electricity generation capacity of the system was 16.17 kW, and the required evaporator and condenser areas were 122.95 m² and 57.64 m², respectively. The total investment cost of the system was 1.1499 million \$, and the levelized cost of electricity was 0.86 \$/kWh.

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The ORC conference, organized biennially, stems as the only conference that is specific to ORC technology, therefore gathering a diverse community whose affiliation spans across all the interested stakeholders, not only in this particular technology but also and in a broader context, in the energy transition. Original equipment manufacturers, professional associations, end-users, investors, policy makers, academics, scientists feel at home at ORC 2023.

The almost 100 proceedings in this book cover a wide variety of topics, from fundamentals to system integration through component design, accounting for thermodynamic performance as well as component design. In addition to this, and as a new track in 2023, works on heat pump technology were also accepted in order to raise awareness of the strong ties between both technologies, specifically in energy storage applications.

This book provides an excellent overview of the current maturity of power systems based on Organic Rankine Cycle technology for applications as diverse as geothermal and waste heat recovery in industry or downstream of other prime movers (e.g., marine applications). It is also an excellent source of information to understand the current challenges faced by the technology, stemming from a very competitive market and increasingly stringent environmental regulations.

The organizers of ORC 2023 hope that the reader finds this work as exciting as the attendees to the conference and, maybe, make the decision to join the 8th edition to the conference in 2025.