

PROYECTO DE INVESTIGACIÓN

DATOS INFORMATIVOS

Proyecto Interno Proyecto Semilla Proyecto Junior Proyecto Multi e Interdisciplinario

Título del proyecto:

Forecast and Impact of extreme low levels of streamflow in hidropower plants.

Investigación básica Investigación aplicada Investigación pedagógica Innovación

DEPARTAMENTO(S):

1. MATEMATICA

2.

LÍNEA(S) DE INVESTIGACIÓN (verificable en el SAEW):

1. MODELOS DE ESTADISTICA APLICADA

2.

Resumen de información del director y colaboradores del proyecto

Director

Apellidos y nombres	Departamento	Título de mayor nivel (Ing., M.Sc., Ph.D)
UQUILLAS ADRIANA	MATEMATICA	PhD

Colaborador(es)

Apellidos y nombres	Departamento	Título de mayor nivel Ing., M.Sc., Ph.D)
CADENA MEITNER	MATEMATICA	PhD
ILDO SAUER	UNIVERSIDADE SAO PAULO	PhD

PROYECTO DE INVESTIGACIÓN

Proyecto Interno Proyecto Semilla X Proyecto Junior Proyecto Multi e Inter Disciplinario

Investigación Básica Investigación Aplicada X Investigación Pedagógica Innovación

DEPARTAMENTO(S):

1. **Matemática**

2.

LINEA(S) DE INVESTIGACIÓN:

1. **Modelos de Estadística Aplicada**

2.

1 Proyecto de Investigación

Título:

Forecast and Impact of extreme low levels of streamflow in hydropower plants.

Resumen del proyecto (máximo 200 palabras)

The development of a methodology to valuate hydrologic critical situations is critical given that the availability of water, profoundly affects the service conditions of the consumer energy market, mainly in the countries where the predominance energy sector is hydraulic.

In this project, we will propose a new approach for modeling extreme low levels of streamflow in hydropower plants. The Brazilian electricity system has the peculiarity that most of its energy is generated using renewable sources, mainly by hydroelectric plants (as also in Ecuador). Moreover, due to the continental dimensions of Brazil and the influences of many different climatological patterns, there is the possibility to develop a deep search in operation planning of hydroelectric plants. For this reason, it provides a representative sample of the difficulties for operating a predominantly renewable basis energy matrix. To deal with that kind of problems of Brazilian case we have the support of PhD Ildo Sauer, research professor of the Sao Paulo University, who is an expert in energy planning, demand models, resources and energy supply, regulation, control and energy policies.

In this project, we will benefit of him experience in order to replicate these studies to the Ecuadorian case in next researches.

In the theoretical aspect, the modeling of future inflows will be made via Extreme Value Theory, because in the situation of climate changes the deviation of the mean-variance models increase significantly, resulting in periods with risk of deeper droughts. This, may, eventually, lead to situations in which the supply capacity is less than the demand, leading even rationing (Brazil had a rationing in 2002). It is then clear that the ability to accurately predict extreme low levels of flow rates and to make early warnings of these events is an important tool for the operation of the electric sectors with predominance of hydraulic energy.

There are evidences that exist a causal relationship between the streamflow and the large-scale phenomena such as El Niño where the climate information is incorporated in a systematic way for decision making in water resources. (see e.g. [1], [2], [5]). However, this evidences and techniques used in its analysis do not consider extreme events caused by critical climate changes that are the objective of this study, where we propose the study of extreme low water levels in hydropower plants incorporating temporal, spatial and weather couplings that directly affect the operational planning.



Palabras clave (4-6):
Hydroelectric Power, Streamflow, Extreme Values, Regression Models

2 Objetivos, relevancia, productos y resultados esperados de esta propuesta de investigación

2.1 Objetivos

2.1.1 Objetivo General

To develop a stochastic model in order to forecast and evaluate the impact on the generation of energy of extreme low levels of stream flow in hydropower plants.

2.1.2 Objetivos Específicos

1. To fit an econometric and statistical model in order to evaluate extreme future inflows using the Extreme Value Theory approach.
2. To forecast of the probability of occurrence and the duration of extreme low levels of stream flow.
3. To establish relations between severity and duration leading to a design local and regional strategies of energy offering.
4. To develop of an early warning system.

2.2 Detalle de los resultados esperados (con relación a los objetivos)

We hope to get innovative results in the theoretical and applied aspects: theoretical results, as the use of Extreme Value Theory (EVT) in combination with nonregular regression models incorporating temporal and weather couplings. On the other hand, results applied to real data of the energy sector of Brazil, that will give subsidy to a better management of water and thermal resources in the operation of the Brazilian electrical system. Moreover the possibility of import the experience and knowledge of the Brazilian case and support, and the future reply on Ecuadorian case.

In general, it is intended to perform the steps listed in sequence.

1. To fit an econometric and statistical model in order to evaluate extreme future inflows using the Extreme Value Theory approach.
2. To forecast of the probability of occurrence and the duration of extreme low levels of stream flow.
3. To establish relations between severity and duration leading to a design local and regional strategies of energy offering.
4. To develop of an early warning system.

We seeks to disseminate the results of the projects at conferences and academic journals as well as in seminars with research groups in Energy at Universidade de Sao Paulo, Escuela Politécnica Nacional and other institutions.

3 Relevancia de la propuesta de investigación y su relación con la(s) líneas de investigación



The energy deficit is due to a structural deficiency of energy availability. It has economic and social impacts greater than isolated energy interruptions and in the case of hydroelectric power this deficit is caused by a lack of energy stored in the reservoirs, due to the occurrence of critical hydrological events or investment failure in the expansion relative to satisfy demand growth.

Our research proposal is based on extreme value theory in combination with (nonregular) regression models, and is applied to weather analysis. Their results are thus crucial in a number of domains concerning weather variability as for instance energy production, agricultural planning, air traffic, insurance industry and so on. In the case of hydropower plants where a minimum streamflow is required in order to guarantee their power production extreme behaviors in weather could be evidently dangerous due to their economic and social impacts. To this aim, important and modern statistical techniques are reviewed, exploited and put into practice in a range of applications.

Indeed, on the one hand, this research allows the application of probability and statistics concepts to the analysis of real and complex problems as the dealing with weather. On the other hand, similar models to those proposed in this research could be developed in other areas as seismology, public health, agricultural economics and so on, as well as results from this research could be useful in areas as planning and financing power generation. Furthermore, proposed models could be replicated for covering large and complex systems of hydropower generation, distributed in large areas, leading to thus design local and regional strategies of energy offering.

4	Productos esperados
	a. Publicaciones científicas (obligatorio); X
	b. Disertación a la Comunidad Politécnica; X
	c. Proyecto de Titulación; <input type="checkbox"/>
	d. Tesis de Grado (maestría o doctorado); <input type="checkbox"/>
	e. Aplicación tecnológica construida o implementada; <input type="checkbox"/>
	f. Patente presentada; <input type="checkbox"/>
	g. Perfil de proyecto de mayor impacto científico, técnico, pedagógico o de innovación. X

5	Descripción y metodología y diseño del proyecto
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5.1 Descripción, metodología y diseño del proyecto (Máximo dos carillas)

Description

This project proposes a topic of interdisciplinary research involving researchers with experience in statistical and probabilistic modeling and experts in energy planning, demand models, resources and energy supply, regulation, control and energy policies. The wording was meant to get more compliant estimates of the marginal cost of energy deficit and future inflows in critical weather situations with its associated risk, as these two factors are key in the definition of a most appropriate operation policy of the Brazilian electrical system. A very low cost deficit can lead to excessive use of water stored in the tanks with higher risk ration in the future. Moreover, a cost too high can cause an excessive deficit use of thermoelectric system resources with high operation cost.

In relation to energy planning, CEPEL and Eletrobrás have developed optimization models since 1977, with the objective of define the optimal use of hydraulic and thermal resources in the operation of the Brazilian electrical system every month. This, by minimizing the expected value of the total cost of the operation over the planning period and probabilistic analysis of inflows.

The Strategic Model of Hydrothermal Generation (NEWAVE) developed by CEPEL, is based on this philosophy. It gained importance in the electricity sector in 2000 with the creation of the Wholesale Energy Market, as the model generates the Marginal Cost of Operation (CMO), which is currently the base value for the price on the spot market.

The NEWAVE operation policy depends of the future operating scenarios in the model modules. For the construction of these scenarios, some variables are important: hydrological conditions, demand, fuel prices, deficit costs, new projects entry, availability of generation and transmission equipment, etc.

In particular, the affluent energy module (associated with the uncertainty of future inflows) relates the decision to use the energy stocks that can be represented by the water stored in the reservoirs. It is fitted a stochastic model describing the fluids which are used later to calculate the optimal policy and simulation operation.

In the NEWAVE, each decision related to the use of a lower cost generation feature presupposes the existence of a future scenario premise of inflows and an associated risk. It is therefore necessary to develop a methodology to value the stored water in the reservoirs, associated with uncertainties about future inflows, indicating then temporal and spatial couplings that directly affect the operational planning.

The general idea is to minimize the thermal output and fuel consumption whenever there is hydro availability in other points of the system. Similarly, existing unfavorable hydrological conditions, thermoelectric plants are called to generate. The large hydraulic dominance of Brazil's energy sector is a major factor that indicates the importance of proper definition of the cost of lack of electricity to society (cost deficit), since any lack or scarcity of water deeply affects the performance of the industry and the consumer service conditions.

Possible scenarios in the system, associated with decisions and their future consequences are:

1. Make the charge in this service using the existing water in the reservoirs (low present cost). With this decision, the system will be subject to future inflows. With the future rainfall would have no problems, but in the presence of dry then may occur deficit or thermal dispatch (high future cost);
2. Make the charge in this service with the dispatch of thermal generation, saving water supplies stored in hydroelectric plants (high present cost). In this sense, if in the future there is rain, vestment will happen, and in the presence of future droughts, the decision would have been correct;

Thus, the balance between the cost of operation and reliability is achieved through the cost of electricity deficit, which is the economic impact associated with the interruption of supply. A very low cost deficit can lead to excessive use of water stored in the tanks with higher risk ration in the future. Moreover, a cost too high can cause an excessive deficit use of thermoelectric system resources with high operation cost.



5.1 Descripción, metodología y diseño del proyecto (Máximo dos carillas)

Methodology

The methodology of this research on extreme low water levels and their durations in hydropower plants consists in procedures to focus on its two main objectives: to identify contributing factors causing these extreme behaviors and to make early warnings of these events. All this analysis will be based on regression models on monthly or daily basis extreme low water levels ($X(t)$), incorporating time-dependent regressors, some of them related among them. More precisely we propose the model

$$X(t)=Z(t)+T(t)+C(t)+S(t)$$

where $T(t)$, $C(t)$ and $S(t)$ are trend-, cycle- and seasonal-components respectively. $Z(t)$ includes mainly regressor components, it is expressed by

$$Z(t)=Z_0+R(t)+e(t)$$

Where Z_0 is the long-term mean extreme low level, $R(t)$ consists in variability given by local weather (as temperature, precipitation, humidity and wind speed among others) and world weather phenomena (as El Niño and La Niña among others), and $e(t)$ accounting for measurement errors and others terms not included in the equation. It is assumed that this last term represents extreme value residuals (see e.g. [10]) to be modelled using a Generalized Extreme Value (GEV) distribution. Weather variables will be introduced lagged in the equation in order to forecast events of extreme associated to water levels.

We will model minima or maxima random variables observed each month. If X_1, \dots, X_n is a sequence of independent random variables having a common distribution during a given month, then we will focus on $m_n=\min(X_1, \dots, X_n)$ or on $M_n=\max(X_1, \dots, X_n)$.

For estimating the probability of occurrence of extreme low levels observed data will be adjusted to a GEV distribution that is given by (see e.g. [4])

$$G(x)=\exp(-[1-a(x-u)/s]^{1/a})$$

where a , s (>0) and u (≥ 0) are the shape, scale and location GEV parameters. Since for water low levels we will analyze minimum values it is expected $a \leq 0$, the negative case corresponding to a Weibull distribution and the 0 case to a Gumbel distribution. The case concerned in this study will be chosen while the research. The maximum likelihood method will be used to estimate the GEV parameters (see e.g. [6] and [8]).

Focusing on durations of events of low water levels another regression model will be studied. This model will follow a similar structure to the one above described, but focus is now on lapsed time of water levels being under a given level. In this case we will analyze maxima durations of these lapsed times. Hence, it is expected $a \geq 0$, the positive case corresponding to a Fréchet distribution and the 0 case to a Gumbel distribution as above, the concerned distribution being determined while the research. Parameters involved in the GEV will be estimated using also the maximum likelihood method.

Based on the previous regression models an early warning system will be developed. These warnings will be obtained when forecasts of future events of extreme low water levels or their durations are generated. Forecasts of water levels or durations will be computed using return levels for a given probability p , see i.e. [3],

$$x(p)=u+(s/a)*(1-[-\ln(1-p)]^a)$$

Performance of this early warning system will be evaluated using in-sample backtestings.

Main information sources:

Climate Indices. - <http://www.esrl.noaa.gov/psd/data/climateindices/list/>

Sunspots. - <http://solarscience.msfc.nasa.gov/greenwch/>

Streamflow. - <http://www.ons.org.br>



References

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- [5] Marengo, J. A., B., et al. Recent developments on the South American monsoon system. International Journal of Climatology, 32, no 1, p.1–21, Jan., 2012 doi:10.1002/joc.2254.
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- [10] Smith, R. (1994). Nonregular Regression. Biometrika, 81 (1), 173-183.



6.1 Tiempo máximo de dedicación semestral del Director del proyecto, de los docentes participantes y otros colaboradores.

El tiempo de dedicación máximo será de acuerdo al tipo de proyecto:

Proyecto	Director	Colaboradores
PII y PIS	16 HSS	8 HSS
PIJ y PIMI	20 HSS	10 HSS

Nombre	Rol (director o colaborador)	Horas de dedicación	Departamento
Adriana Uquillas	Director	16	Matemática
Meitner Cadena	Colaborador	8	Matemática
Ildo Sauer	Colaborador	8	Universidad de Sao Paulo

6.2 Infraestructura y equipos

- * Se utilizarán las oficinas actuales de los participantes para desarrollar el proyecto.
- * Se utilizará el siguiente equipo el cual será solicitado (este equipo se ubicará en la oficina de Adriana Uquillas): impresora e insumos, y papel para impresora

6.3 Breve justificación del equipo requerido


- * Se solicitará una impresora para imprimir los reportes de avances y resultados del proyecto a fin de que ellos sean discutidos, presentados y difundidos.
- * Se solicitará los insumos necesarios para el funcionamiento de la impresora previamente indicada: tinta para impresora o toner para impresora.
- * Se solicitará papel para impresora necesario para efectuar las impresiones requeridas antes indicadas.
- * El equipo e insumos y papel antes indicados se ubicarán en la oficina de Adriana Uquillas.

6.4 Fondos Adicionales

- *Otros fondos de otros organismos (si los hubiere)*

7 Declaración del Director del Proyecto

Declaro que la presente propuesta es de mi autoría y de los colaboradores mencionados y que no ha sido presentada en ninguna convocatoria de otra institución pública o privada solicitando el financiamiento total del proyecto.


 Quito, 30 de junio de 2016
 (lugar y fecha)

DIRECTOR DEL PROYECTO
 Nombre: *Adriana Uquillas Andrade*
 CC: *1711459267*

DECLARACIÓN DEL JEFE DE DEPARTAMENTO

Esta propuesta ha sido aprobada por el Consejo del Departamento de *Matemática* en sesión del día *18 de junio 2016* mediante resolución No. *065*. Las instalaciones, incluyendo personal, edificios, equipo y recursos financieros están a disposición del proponente y sus colaboradores de acuerdo con las especificaciones que se encuentran en esta propuesta.


 Quito, *18 de junio* de 2016
 (lugar y fecha)

JEFE DEL DEPARTAMENTO
 Nombre: *Sergio A. Campes*
 CC: *1707824932*





ESCUELA POLITÉCNICA NACIONAL

VICERRECTORADO DE INVESTIGACIÓN Y PROYECCIÓN SOCIAL
Dirección de Investigación y Proyección Social

Anexo 5. Verificación de la documentación de la propuesta de proyecto de investigación presentada



#	Item sujeto a revisión	Proponente (Marque con una X)	VIPS	Observaciones VIPS
1	Anexos 1 al 5	X		
2	CD			
#	Anexo 1. Datos informativos del director y colaboradores de la propuesta de proyecto			
3	Nombre del (los) departamento(s)	X	X	
4	Línea(s) de investigación (verificables en el SAEW)	X		
5	Cuadro de resumen con datos del director y colaborador(es) del proyecto completo	X	X	
6	Hoja de vida del director completa	X	X	
7	Hoja(s) de vida del (los) colaborador(es) completa(s)	X	X	
8	Número de colaboradores acorde a los normativos según tipo de proyecto	X	X	
#	Anexo 2. Detalle de la propuesta del proyecto			
9	Nombre del (los) departamento(s)	X	X	
10	Línea(s) de investigación (verificables en el SAEW)	X	X	
11	Sección 1. propuesta de investigación completa	X	X	
12	Sección 2. objetivos, relevancia, productos y resultados esperados de esta propuesta de investigación completa	X	X	
13	Sección 3. relevancia de la propuesta de investigación y su relación con la(s) líneas de investigación completa	X	X	
14	Sección 4. productos esperados	X	X	
15	Sección 5. Selección de publicación científica (obligatorio)	X	X	
16	Sección 6. Selección de al menos 1 de los otros 6 productos esperados	X	X	
17	Sección 7. Descripción y metodología y diseño del proyecto con una extensión máxima de 2 carillas	X	X	
18	Sección 6.1. Tiempo máximo de dedicación semestral del director del proyecto, de los docentes participantes y otros colaboradores acorde a los normativos según tipo de proyecto	X	X	
19	Sección 6.2. Infraestructura y equipos requeridos para el proyecto completa	X	X	
20	Sección 6.3. Breve justificación de los equipos e infraestructura completa	X	X	
21	Sección 7. Declaración del Director del proyecto completa y firmada	X	X	
22	Declaración del Jefe de Departamento completa y firmada	X	X	
#	Anexo 3. Cronograma			
23	Cronograma acorde al tipo de proyecto completo y firmado	X	X	

VERIFICAR EN EL SAEW 'INDICADORES DE ESTADÍSTICA APLICADA'

AMPLIAR LA JUSTIFICACION DE EQUIPOS

#	Anexo 4. Presupuesto				
24	Monto total del presupuesto igual o inferior al monto máximo permitido según tipo de proyecto	X	X		
25	Constatación de las 6 partidas presupuestarias establecidas	X	X		
26	Desglose del tipo de contrataciones requeridas	X	X		
27	Desglose de los ítems requeridos en la partida <i>maquinaria y equipo</i> con 1 proforma de respaldo/item	X	X		
28	Desglose de los ítems requeridos en la partida <i>reactivos y materiales de laboratorio</i> con 1 proforma de respaldo/item	X	N/A		
29	Desglose de los ítems requeridos en la partida <i>literatura especializada</i> de laboratorio con 1 proforma de respaldo/item	X	N/A		
30	Proformas a nombre de la Escuela Politécnica Nacional	X			RESERVA PRIORITARIAS
31	Subtotal de la partida <i>presentación de ponencias en congresos internacionales y publicaciones</i> igual o menor al monto máximo establecido según tipo de proyecto	X	X		
32	Presupuesto completo y firmado	X	X		

PROFORMA: 003-0044216

DISTRIBUIDORA DE LIBROS Y PAPELERIA DILI

Fecha : 22 DE JULIO DEL 2016

Emission Sist.: 22/07/16 11:47:42

Almacen : BODEGA CARRION

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Cliente : 0301116 ESCUELA POLITECNICA NACIONAL

Direccion : ISLA MARCHENA Y GRANADOS

No.

Telefono : 098435256 Ciudad :

RUC/Cedula : 1708069115 Tipo Venta: CON

Pagina: 1 de 1

Pedido: (03-P -0000000) Vendedor: I05-REDROVAN WILFRIDO Usuario: despacar Autoriza: jyanez

SC. COD. BARRAS	PRODUCTO/REFERENCIA	MARCA	CANTIDAD	UNI	T.PRECIO UNITARIO	PRECIO TOTAL	OBSE.
1 0000000000913	LAPTOP ACER E5/471/55EX I5 *VALIDO POR 15 DIAS	ACER	1	UNI:	1 808.5000	808.5000	

 DILIPA


WILFRIDO REDROVAN

SUBTOTAL : 808.50
TARIFA 0% : .00
TARIFA 14% : 808.50
I V A 14% : 113.19
TOTAL \$: 921.69

PROFORMA: 001-002-000028190

RUC : 1790040275001

CONTRIBUYENTE ESPECIAL Resol.: 5368 del 02/06/1995

Fecha : 22 DE JULIO DEL 2016

Fecha Entrega: DE MES: DEL

Emission Sist.: 16/07/22 11:22:30

No. Control : 01-PR-00028190

Cliente : 9999 MEITNER CADENA

Direccion : MARCHENA No:

Telefono : 0998435256 Ciudad :

RUC/Cedula : 1708069115

Razon Social : PA.CO Comercial e Industrial S.A.

Direccion : AV.COLON E4-81 Y AV.9DE OCTUBRE

Almacen : PA-CO COLON

Direccion : MARISCAL AV.COLON E4-81 Y AV.9DE OCTUBRE

Telefonos : 3997500 3997500


QUITO

Pagina: 1 de 1

Pedido: (01-PR-0000000) Vendedor: 999-GENERAL Usuario: eyuqui Autoriza: sleon

SC.COD. BARRAS	PRODUCTO/REFERENCIA	MARCA	CANTIDAD	UNI	T.PRECIO UNITARIO	PRECIO TOTAL	OBSE.
1 0887276856964	IMPRESORA SL-C460FW LASER A COLOR MULTIF SAMSUNG UNICION WIRELESS FAX VELOCIDAD HASTA 19PPM NEGRO Y 4PPM COLOR RESOLUCION 2400X600 DPI CICLO MENSUAL HASTA 20.000 PAGINAS UTILIZA TONER 406 NEGRO Y 406 C-M-Y		1.00	UN 2	403.64000	403.64	
2 8806071684611	TONER SAM CLT-W406 CYAN PARA IMPRESORA C SAMSUNG LX-3305FW/360/365/3300 RENDIMIENTO 1500 PAGINAS		1.00	UN 2	65.34000	65.34	
3 8806071684604	TONER SAM CLT-W406 MAGENTA PARA IMPRESOR SAMSUNG A CLX-3305FW/360/365/3300 RENDIMIENTO 1500 PAGINAS		1.00	UN 2	65.34000	65.34	
4 8806071681917	TONER SAM CLT-W406 NEGRO PARA IMPRESORA SAMSUNG CLX-3305FW/360/365/3300 RENDIMIENTO 1500 PAGINAS		1.00	UN 2	64.60000	64.60	
5 8806071684598	TONER SAM CLT-W406 YELLOW PARA IMPRESORA SAMSUNG CLX-3305FW/360/365/3300 RENDIMIENTO 1500 PAGINAS		1.00	UN 2	65.34000	65.34	
6 5602007579791	PAPEL BOND BLANCO 075GRS A4 INACOPIA		2.00	RM 2	4.99000	9.98	IVA 0%

*SUJETA A CAMBIO DE PRECIO Y STOCK

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VALIDEZ OFERTA: 8 DIAS

SUBTOTAL : 674.24
TARIFA 0% : 9.98
TARIFA 14% : 664.26
I V A 14% : 93.00
TOTAL \$: 767.24

PROFORMA: 001-002-000028190
 RUC : 1790040275001
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 No. Control : 01-PR-00028190
 Cliente : 9999 MEITNER CADENA
 Direccion : MARCHENA No:
 Telefono : 999843288 Ciudad :
 RUC/Debita : 170809912

Razon Social : PA.CO Comercial e Industrial S.A.
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 Almacen : PA.CO COLON
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Página: 1 de 1

Autoriza: sison

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PRECIO TOTAL OBRER.	PRECIO UNITARIO	CANTIDAD UNI.	MARCA	PRODUCTO/REFERENCIA
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 PA.CO
 Comercio e Industrial S.A.

Esta factura tiene validez solo con el nombre, firma del vendedor y sello de PA.CO Comercial e Industrial S.A.
 En el caso de haber cambio de nombre por nuestros proveedores por modificaciones contables o legales que afectan
 el costo de la mercadería, nos vemos obligados a actualizar precios en el momento de la facturación para su conocimiento.

SUBTOTAL : 87.28
 TARIFA 0% : 0.00
 IMPORTE : 87.28
 TOTAL : 87.28