

An optimization framework for the network design of advanced district thermal energy systems

Amy Allen^{a,b,*}, Gregor Henze^{a,b,c}, Kyri Baker^{a,b,c}, Gregory Pavlak^d, Michael Murphy^e

^a*Department of Civil, Environmental and Architectural Engineering, University of Colorado Boulder, UCB 428, Boulder, 80309, Colorado, United States*

^b*National Renewable Energy Laboratory, 15013 Denver West Parkway, Golden, 80401, Colorado, United States*

^c*Renewable and Sustainable Energy Institute, 027 UCB, Boulder, 80309, Colorado, United States*

^d*Department of Architectural Engineering, Pennsylvania State University, 104 Engineering Unit A, University Park, 16802, Pennsylvania, United States*

^e*Department of Process, Energy and Transport Engineering, Munster Technological University, Bishopstown, Cork, Ireland*

Abstract

In this work, a topology optimization framework for district thermal energy systems is presented. The framework seeks to address the questions, for a given district, “What is the best subset of buildings to connect to a district thermal energy system, and by what network should they be connected, to minimize life cycle cost?” A particle swarm optimization approach is validated to address the selection of the subset of buildings, and a graph theory-based heuristic is validated for selection of the network topology for any candidate subset of buildings. The framework is applied to a prototypical urban district for illustrative purposes. Modeling of prototypical districts

*Corresponding author

Email address: amy.allen@colorado.edu (Amy Allen)

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revealed reductions in source energy use intensity for heating and cooling of 21-25% through the use of advanced district energy systems relative to code-compliant, building level systems. The framework identifies solutions with life cycle cost values 14% to 72% lower than that of base case scenarios based on conventional design approaches, depending on the base case scenario selected. Analysis of the search space indicates that topology optimization facilitates reductions in life cycle cost, source energy use intensity, and carbon emissions.

Keywords: District thermal energy systems, ambient loops, topology optimization, particle swarm optimization

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1. Introduction

1 A scientific consensus has emerged that widespread electrification of space
2 heating will be necessary to meet targets for deep decarbonization in the U.S.
3 while minimizing the need for costly technologies to capture and sequester
4 carbon emissions [1]. The U.S. National Academies of Science, Engineering,
5 and Medicine recently called for electrification of heating in new construction
6 in much of the United States by 2030, in order for the country to reach net-
7 zero carbon emissions by 2050, and avert the worst consequences of climate
8 change [2]. The European Commission concluded that averting global tem-
9 perature rise of more than 1.5 °C by 2100 would likely require electrification
10 of more than 60% of energy end uses in buildings by 2050, and that a simi-
11 lar degree of electrification would be required in buildings in China in order

12 to avert global temperature rise of more than 2 °C. [3] . Given worldwide
13 trends towards urbanization, it is expected that 68% of people will be living
14 in cities by 2050 [4]. District thermal energy systems (DES) operating at
15 near-ambient temperatures facilitate beneficial electrification of heating in
16 urban districts, as well as significant reductions in source-energy use inten-
17 sity (EUI) in appropriate applications. However, such systems face barriers
18 to adoption, especially in the United States, due to their high infrastructure
19 costs, and the very large search space of potential network configurations,
20 which complicates their design.

21 In this paper, a novel framework for network topology optimization of
22 DES is presented, and the techniques that it leverages –a graph theory-based
23 heuristic and an optimization approach– are validated. The framework is
24 then applied to a prototypical district as a case study, to quantify the po-
25 tential benefits of the approach. The Topology Optimization Framework
26 (“framework”) is particularly relevant in the context of emerging DES oper-
27 ating at near-ambient temperatures, but the general approach is extensible
28 to other types of DES as well.

29 *1.1. Fifth-generation district heating and cooling systems*

30 This work will adopt the definition of fifth-generation district heating and
31 cooling (5GDHC) systems proposed by [5]. Such systems are distinguished
32 from earlier generations of DES through their use of water at near-ambient
33 temperatures (15 °C - 25 °C) as a working fluid, and the use of water-source
34 heat pumps at connected buildings, which operate with the network as a
35 heat source and sink [5]. The near-ambient water temperatures used by
36 5GDHC systems are conducive to the integration of lower-temperature waste

37 heat sources, as well as renewable thermal sources, and facilitate the use of
 38 electrically-driven heat pumps, and thus, the decarbonization of source en-
 39 ergy for heating [6]. The more moderate operating temperatures of 5GDHC
 40 systems also creates the potential for connected loads to act as *prosumers*,
 41 and exchange heat (or heat rejection) in a synergistic manner [7]. This mo-
 42 tivates the consideration of meshed thermal network configurations, beyond
 43 the radial or ring networks that are commonly used in earlier generations of
 44 DES, and makes the question of network topology optimization especially
 45 relevant.

46 1.2. Relevant concepts from graph theory

47 In this work, thermal networks will be described using concepts from
 48 graph theory. In mathematics, a graph is defined as a set of nodes (vertices)
 49 and edges (pairs of vertices) [8]. In the context of a thermal network, nodes
 50 represent connected loads and centralized supply equipment, and edges rep-
 51 resent thermal connections (pipes carrying the working fluid). A graph can
 52 be represented with an adjacency matrix, a square matrix with dimension
 53 equal to the number of nodes. A given element of the adjacency matrix has
 54 the value of unity if there exists a connection between the corresponding
 55 nodes, and a value of zero otherwise. Of particular interest in the context of
 56 thermal networks are *connected graphs*, in which there exists at least one path
 57 between each pair of nodes. A *spanning tree* is a type of connected graph in
 58 which there exists *exactly* one path between each pair of nodes. A *minimal*
 59 *spanning tree* (MST) is the spanning tree that connects the given nodes with
 60 the least total edge length [8]. In the context of a thermal network, the MST
 61 minimizes the total network length, and thus, the infrastructure cost. In

62 general, the infrastructure cost is often a significant fraction of the overall
63 life cycle cost (LCC) of a district thermal energy system [9].

64 1.3. Particle swarm optimization

65 The network topology optimization problem as defined here is non-convex.
66 Non-convex optimization problems motivate the use of so-called metaheuristic
67 techniques, which, while not offering a guarantee of convergence at the
68 global optimum, are often effective at finding near-optimal solutions, in an
69 efficient manner (relative to an exhaustive search) [10]. Metaheuristics do not
70 require an explicit definition of the objective function or its gradient, making
71 them compatible with the use of a “black box” function evaluator. Particle
72 swarm optimization (PSO) is one such metaheuristic approach. Like other
73 metaheuristics, PSO mimics a search process. Past work has suggested that
74 relative to other metaheuristics, PSO has a lower risk of getting “stuck” at
75 a local minimum [11]. PSO has been implemented in other problems in the
76 building energy use domain, including by [12] and [13]. In the PSO context,
77 “particles” can be interpreted as animals acting as part of a swarm in the
78 natural world, seeking a location that maximizes the value of a certain ob-
79 jective [14]. Particles retain knowledge of both their own prior best location,
80 and that of the best location visited by any member of the group, and are
81 attracted back to both of these locations, to varying extents. For application
82 to the network topology optimization problem for DES, the implementation
83 of PSO for problems with discrete, binary variables is of interest. The work
84 of [15] developed such an approach.

85 1.4. *Topology optimization of district thermal energy systems*

86 There is an extensive body of work in the area of optimization of differ-
87 ent aspects of DES, including network topology and operating parameters,
88 across different system generations. Past studies can be distinguished based
89 on the type of cost function considered, as well as the generation of system,
90 which has implications for the optimization variables. The work of [9] ad-
91 dressed a network topology optimization problem to minimize a LCC metric
92 for a district heating system operating at 55 °C. The LCC metric considered
93 encompassed infrastructure (pipes and distribution pumps), energy associ-
94 ated with pumping and heat losses, and a carbon tax. The optimization
95 variables included pipe diameters (with a zero diameter corresponding to the
96 non-existence of a thermal connection) and the location of a central heat-
97 ing plant. The authors formulated the problem as a mixed-integer nonlinear
98 programming problem (MINLP), and employed genetic algorithms to solve
99 it. Only tree network topologies were considered, and the connected building
100 loads were taken as a boundary condition.

101 The work of [16] addressed a network topology optimization problem for
102 a third-generation DES, to minimize the value of a LCC metric based on
103 costs for piping and trenching, and a limited set of operating costs. The
104 authors compared the optimal network configuration they determined to the
105 network with minimal first cost, and found limited benefits in LCC, though a
106 more significant savings in terms of the internal rate of return. The authors
107 of [16] treated the connected loads as a boundary condition, and also treated
108 the energy consumption of centralized equipment as static. They identified
109 addressing the selection of loads to connect to a DES as an area in which

110 further work was needed.

111 Other past studies have taken a multi-objective approach to optimization
112 of DES. The work of [17] solved an optimization problem for the network
113 topology and selection of primary equipment for a district heating network, to
114 minimize LCC and carbon emissions, using an ϵ -constrained approach. The
115 authors of [17] compared the optimally-designed district heating network to a
116 scenario in which buildings were served by independent heating systems, and
117 found a 23% reduction in carbon emissions, for the same initial investment.

118 The work of [18] applied adjoint-based methods to an optimization prob-
119 lem for a district heating system, with the optimization variables including
120 the network topology and pipe diameters, as well as valve positions at con-
121 nected loads, and the rate of heat supplied by individual pieces of centralized
122 equipment. The authors considered an objective function based on the in-
123 vestment cost of piping and distribution pumps, and the operating cost for
124 pumping. They developed an approach to project a continuous-valued diam-
125 eter variable onto a set of discrete values of available pipe diameters, using
126 a modified version of the *projection method* often used in structural topol-
127 ogy optimization, and structured the cost function to penalize intermediate
128 values of this variable. The use of adjoint-based methods, in conjunction
129 with constraint aggregation, facilitated a large-scale analysis, considering a
130 network with 160 connected loads. Through their topology optimization ap-
131 proach, they identified a network with a 23% reduction in piping cost relative
132 to a base case. The connectivity status of the loads was taken as a boundary
133 condition.

134 The authors of [19] optimized topology configuration, pipe diameter, and

the values of other operating parameters (including supply and return temperatures and mass flow rates) for a district heating system to minimize LCC. The LCC metric considered included costs for infrastructure (primary plant equipment and piping and trenching) and energy use (for heat generation and circulation pumps). Their study considered both parallel and series connection of loads to the network, as well as the connection status of an individual building. Series connections were of interest in the context of buildings with lower temperature supply requirements. The authors of [19] divided the problem into three sub-problems: a MINLP, a mixed integer linear program, and a non-linear program. The authors considered steady-state conditions only. They applied their approach to several configurations of building locations and loads, and determined that solutions to the topology optimization problem were not generalizable.

1.5. Contribution

The work of [16] identified a need for work in topology optimization for DES to address both the selection of buildings to connect to a district thermal energy system, as well as the network by which they should be connected. Additionally, past work in the area of network topology optimization for DES, such as that of [19] and [20], has focused on model formulations oriented around specific case studies. Many past studies, such as those of [9] and [16], have not addressed the full scope of building energy use for heating, ventilation, and air-conditioning (HVAC). To the authors' knowledge, existing studies have not applied a comprehensive network topology optimization approach to DES operating at near-ambient temperatures, in the context of which the problem is particularly interesting and relevant. The

160 presented framework seeks to address the question, for a given urban district,
161 with known building locations and loads, “What is the best subset (if any)
162 of buildings to connect to a district thermal energy system (DES), and by
163 what network should they be connected, to minimize LCC?” It was hypoth-
164 esized that a PSO algorithm could effectively identify the optimal subset of
165 buildings, addressing the first part of the problem, and that the MST heuris-
166 tic could effectively select the optimal thermal network by which to connect
167 them, addressing the second.

168 The framework is novel because it addresses both the selection of loads
169 to connect to a DES, as well as the network by which they should be con-
170 nected, and addresses investment and operating costs in a comprehensive
171 way, accounting for all HVAC-related energy consumption by a considered
172 district. The compatibility with a user-supplied underlying energy model of
173 high fidelity makes it highly extensible and suitable for detailed analysis of
174 potential trade-offs. This contribution is also distinct from past work in that
175 the framework has been evaluated in case studies involving 5GDHC systems
176 with bi-directional thermal and mass flow. The development of the Topol-
177 ogy Optimization Framework builds on the work of [21] in modeling and
178 automated analysis of 5GDHC systems and extends previous work by the
179 authors to evaluate the MST heuristic [22]. In this work, the development
180 of the framework itself and its application in a case study are presented for
181 the first time. While a particular DES model is employed for illustrative
182 purposes in this study, the framework is generally extensible to any system
183 model meeting certain conditions, discussed in more detail in Section 4.

184 In the following sections of this paper, the methods for validating the

185 heuristic and optimization approach are discussed, results from the valida-
 186 tion and application of the framework are presented, the structure of the
 187 developed framework is discussed, and conclusions about the potential of
 188 5GDHC systems are presented.

189 2. Methods

190 The following subsections describe the formulation of the optimization
 191 problem, how these approaches were validated, and the application of the
 192 framework to a case study to quantify the benefits of the approach. The
 193 workflow of the Topology Optimization Framework is outlined schematically
 194 in Figure 1.

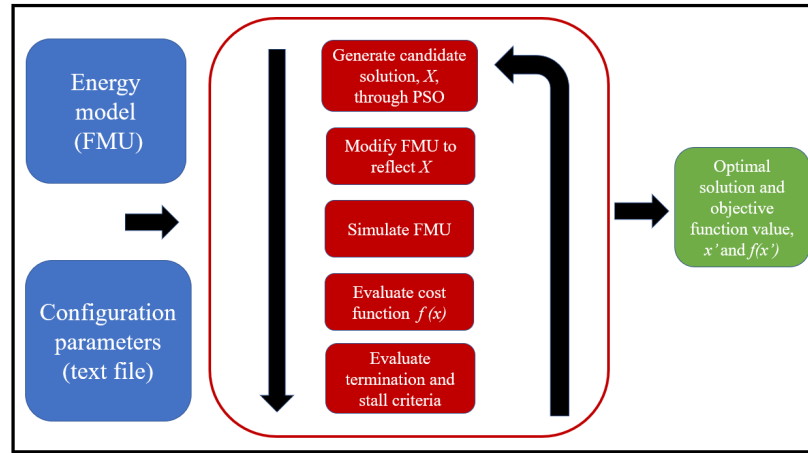


Figure 1: Diagram illustrating the workflow of the presented Topology Optimization Framework

195 2.1. Optimization problem

196 The cost function considered in the network topology optimization prob-
 197 lem represents the LCC associated with meeting the heating and cooling

loads of all buildings in the prototypical district, whether they are served by independent systems or the DES. The LCC considered includes energy costs for HVAC, costs associated with a potential future price on carbon, and infrastructure costs for the thermal network of the DES, evaluated over a thirty-year time period.¹ The LCC is calculated as shown in Eqn. 1:

$$\begin{aligned} \min_{\vec{L}} & C_{pipes} + C_{elec}UPV_{elec}(E_{de} + \sum_{i=1}^n E_{be,i}) + C_{gas}UPV_{gas} \sum_{j=1}^n E_{bg,j} \\ & + UPV_{CO2} \sum_{t=1}^{30} m_{CO2}(t)C_{CO2}(t) \end{aligned} \quad (1)$$

subject to:

- (1) For $i, j \in \{1 \dots n + 1\}$, such that $j > i$, $A_{i,j} = L_{i+j-1}$
- (2) If there exists a pipe directly thermally connecting building i and building j , $A_{i,j} = 1$. Otherwise, $A_{i,j} = 0$.
- (3) If building i is served by the DES, there exists a path from the central plant to node i .
- (4) $\forall i, j \in \{1 \dots n + 1\}$, $A_{i,j} = A_{j,i}$.

Note that since, in the context of this application, all thermal connections are treated as bi-directional, the adjacency matrix $\mathbf{A}$ must be symmetrical, and it can thus be represented with its upper-triangular elements only. Constraints 1, 2, and 4 address the construction of the adjacency matrix. Constraint 3 is a definition – a building is considered to be served by the DES if

¹It was assumed that differential costs between the centralized and distributed heat pumps associated with the DES and building-level primary equipment would be small relative to the overall LCC. This could be refined in future work.

216 and only if a path exists between it and the centralized heat pump through
217 a thermal network. The total number of network nodes is equal to $n + 1$,
218 corresponding to all buildings considered and the centralized heat pump.

219 The uniform present value (UPV) factors are used to convert a cost in-
220 curred in one year to a cost over 30 years, accounting for the time value of
221 money. The UPV factors applied for natural gas and electricity account for
222 projected escalation in the costs of those commodities. The cost function
223 was originally adapted from that used by [21]. Note that the optimization
224 problem as formulated in Eqn. 1 is non-convex, due to the binary optimiza-
225 tion variables, and the nature of the function through which HVAC energy
226 consumption is calculated. Table 1 shows a summary of values of parameters
227 used in the LCC calculation.

228 *2.2. Prototypical districts*

229 An exhaustive search, considering all potential thermal network configu-
230 rations, was performed for a prototypical urban district in order to evaluate
231 the performance of the MST heuristic and the implementation of PSO. As a
232 case study, the framework was applied to a similar, but larger, prototypical
233 district to quantify the potential benefits of topology optimization. The two
234 prototypical districts considered (heretofore referred to as Numerical Exam-
235 ple District for the exhaustive search, and Realistic Application District for
236 the case study) are described in this section.

237 For both prototypical districts, an energy model in Modelica was used to
238 calculate the energy use associated with a 5GDHC system. Modelica is an
239 equation-based, acausal modeling language that is often used for representing
240 physical systems [25]. The energy model was extended from one developed

Table 1: Summary of values of economic parameters used in LCC calculation

Parameter Name	Symbol	Value	Units	Source
Discount rate (%)	NA	3%	NA	[21]
Electricity cost, base year	C_{elec}	27.8	$\frac{\$}{GJ}$	[23]
Natural gas cost, base year	C_{gas}	6.48	$\frac{\$}{GJ}$	[23]
Carbon dioxide cost, base year	C_{CO2}	20.0	$\frac{\$}{mt}$	[24]
Piping and trenching cost	C_{pipes}	548	$\frac{\$}{m}$	[16]

241 by [21], which was validated using experimental data from a laboratory-
 242 scale system at Eurac Research. The DES modeled operated in a two-pipe
 243 configuration, with the warm pipe at 26 °C, and the cool pipe at 16 °C.
 244 Water-source heat pumps located at each connected load further tempered
 245 the water to meet the buildings' heating and cooling loads. The system
 246 design facilitates bi-directional thermal and mass flow. A distribution pump
 247 located at each load was controlled to maintain a temperature differential of
 248 10 °C across the load. Pipe diameters were selected based on nominal mass
 249 flow rates at the district level, and a design nominal flow velocity of 0.15 $\frac{m}{s}$.
 250 A central ground-source heat pump controlled the network temperature. A

251 schematic diagram illustrating the system is shown in Figure 2.

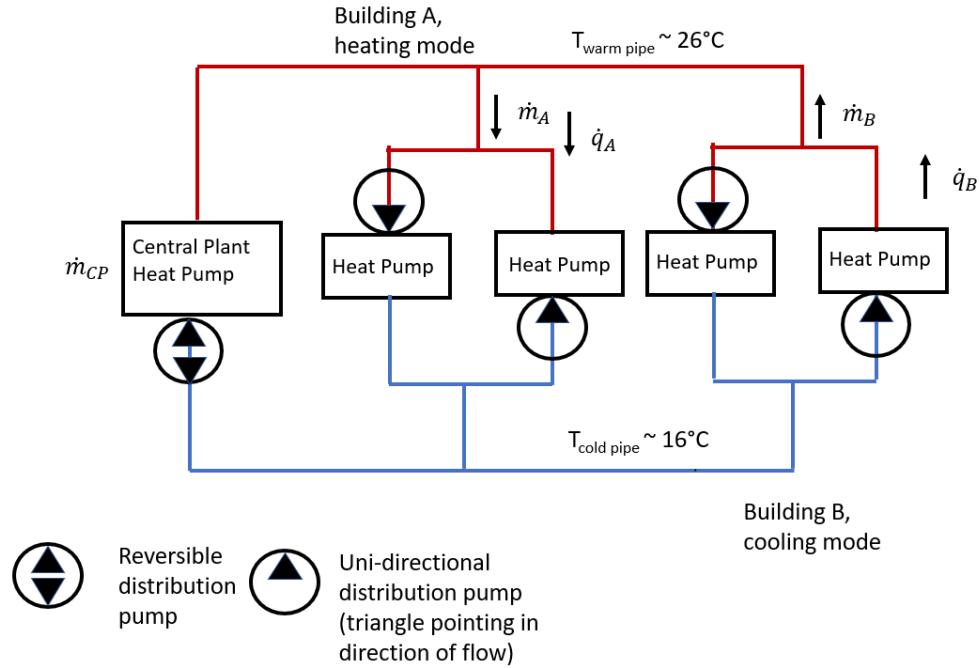


Figure 2: Schematic representation of modeled district thermal energy system, based on a digram by [26]

252 For both prototypical districts, the U.S. Department of Energy's Proto-
 253 type Building Models, which are intended to be representative of the charac-
 254 teristics of common commercial building types in the US, and are available
 255 in EnergyPlus format, were used to generate the building load profiles [27].
 256 The Prototype Building Models are adapted from the Commercial Reference
 257 Building Models, whose development is documented in [28]. The building
 258 types were selected in order to create a sufficient level of thermal load diver-
 259 sity, based on the value of a metric proposed by [29]. Higher levels of thermal
 260 load diversity in a district increase the potential level of source EUI reduc-
 261 tions from a 5GDHC system [29], due to the ability of connected buildings

262 to offset each other's loads.

263 Since the LCC calculation includes the HVAC energy use of all buildings
264 in the prototypical district, whether or not they are tied to the DES in a
265 particular scenario, a separate energy model is required to represent each
266 building in its DES-tied and independent cases. In the DES-tied cases, the
267 existing building-level HVAC equipment was replaced with water-source heat
268 pumps. In the independent case, the HVAC systems present in the proto-
269 type building models were preserved. Table 3 summarizes attributes of the
270 prototypical buildings considered.² In order to integrate the building energy
271 models with the district model in a computationally efficient manner, data-
272 driven metamodels based on the physics-based models were used to represent
273 the building-level HVAC energy use. The Prototype Building models were
274 used to generate a data set over a sweep of parameter values, and random
275 forest models were trained on the data using the Metamodeling Framework
276 developed by [30].

277 The Numerical Example District consisted of three multifamily buildings,
278 a retail building, and a hospital. For purposes of calculating pipe lengths,
279 these buildings were plotted on an existing block in Golden, Colorado. Fig-
280 ure 3 shows a rendering of the district for illustrative purposes. Note that
281 this district was not intended to represent actual buildings at that location.
282 The Realistic Application District consisted of three office buildings, three
283 multi-family housing buildings, and a restaurant. For purposes of creating a
284 realistic representation of an urban district, the general types and locations

²Note that the peak heating and cooling loads shown in Table 3 represent space loads only, exclusive of ventilation.

of the buildings are based on those of real buildings located on the University of Colorado Boulder campus. A schematic view of the Realistic Application District is shown in Figure 4. The Supplementary Material offers time series of the buildings' heating and cooling loads as well as further discussion of the energy-use intensity of the prototypical buildings. As part of the case study, the performance, in EUI and LCC, of a DES designed through the use of the framework was compared to that of a system designed based on common metrics used as design heuristics.

A metric based on the ratio of installed heating power to the length of the thermal network required (linear heating power demand density, LHPDD) is often used to screen for techno-economic potential of district heating systems [5]. For the Realistic Application District, the LHPDD is $0.77 \frac{kW}{m}$, greater than that of some operating 5GDHC systems, as reported by [5]. Based on this evaluation, it is concluded that a DES serving all buildings in the Realistic Application District is a reasonable outcome of a conventional design approach. For the case study evaluation, four different network configurations were considered to represent a conventional design approach, as the base cases: a MST network, ring and radial networks, and a full mesh network, with all possible thermal connections. Ring and radial networks are often used in DES, and the MST and full mesh represent the extremes of network connectivity [21].

2.3. Evaluation of minimal spanning tree heuristic

An exhaustive search, evaluating the LCC of each potential network configuration corresponding to the Numerical Example District, with a total of 30,770 possible configurations, was performed in order to validate the MST

310 heuristic. For each possible subset of connected buildings, the LCC of the
311 MST network was compared to that of all other possible networks to deter-
312 mine if, in fact, the MST corresponded to the least-cost network. There are
313 thirty-two such subsets, including the “null set”, in which all buildings are
314 served by independent systems.

315 *2.4. Evaluation of particle swarm optimization*

316 An implementation of the PSO algorithm was evaluated, through com-
317 parison of the solution determined by the algorithm to the ground truth
318 determined by an exhaustive search of all possible scenarios, for the Numer-
319 ical Example District. This was performed for six cases, distinguished by
320 values of key parameters in the objective function (LCC) , in order to affirm
321 the robustness of the conclusion. Parameter values such as costs for energy
322 and carbon in the objective function effectively weight different components
323 of the LCC, and thus, varying them potentially alters the solution to the
324 problem, making these changes meaningful extensions of the ground truth
325 data set.

326 For each valid candidate solution, the energy model, in functional mock-
327 up unit (FMU) format, was modified to represent the thermal network con-
328 nectivity corresponding to the candidate, using the PyFMI Python package.
329 The PyFMI package was then used to simulate the model [31]. The en-
330 ergy consumption values calculated by the simulation, and the static LCC
331 parameter values were then used to calculate the LCC .

332 2.4.1. *Implementation of particle swarm optimization*

333 The formulation of the PSO algorithm for a problem with discrete, binary,
334 variables was implemented, using the PySwarms package in Python [32]. For
335 each of the six sets of LCC parameter values considered, the PSO algorithm
336 was executed for a fixed number of iterations, in order to form a consistent
337 basis of comparison. Based on the work of [13], a threshold for the CV-
338 RMSE of the objective function values for the swarm relative to that of the
339 best objective function thus far was implemented as a convergence criterion.³
340 An additional criterion for termination of the algorithm was implemented,
341 based on “stall”, under which the algorithm will terminate if the global best
342 value of the objective function has not improved for a certain number of
343 iterations. In this implementation of PSO, the maximum number of iterations
344 was set at 500, based on the results of several test evaluations.

345 2.4.2. *Selection of life cycle cost parameter values*

346 The six scenarios, distinguished by their parameter values, were selected
347 such that each one resulted in the optimal solution consisting of a differ-
348 ent number of buildings served by the thermal network. These parameter
349 values were selected by leveraging a Monte Carlo simulation (MCS) frame-
350 work for 5GDHC Systems, which will be described in a forthcoming article
351 currently under preparation. The MCS framework performs Monte Carlo
352 analysis varying the values of parameters in the LCC function, to enhance
353 the extensibility of the exhaustive search performed for the Numerical Ex-

³The CV-RMSE values observed were consistently very low, on the order of 10^{-10} , and did not meaningfully converge.

Table 2: Summary of scenarios for PSO evaluation

Number of connected buildings	Electricity cost $\frac{\$}{kWh}$	Gas cost $\frac{\$}{therm}$	Electricity	Pipe cost $\frac{\$}{m}$
			carbon dioxide	
			emissions intensity $\frac{kg}{kWh}$	
0	0.14	0.57	0.38	922
1	0.15	0.76	0.44	436
2	0.15	1.25	0.75	324
3	0.12	1.20	1.0	311
4	0.11	1.40	0.76	1130
5	0.09	1.20	0.55	815

ample District. Note that the static parameter values shown in Table 1 were used for application to the case study districts.

Parameters related to utility costs—natural gas and electricity rates—were selected to distinguish the scenarios, in addition to the carbon intensity of electricity, and the unit cost of piping and trenching. The considered range of values for the utility costs was selected based on data from the continental U.S. between 2013 and 2018, and for carbon intensity of electricity, for data from the continental U.S. between 1990 and 2018 [23]. The range of values for the unit cost of piping and trenching was selected based on an extensive literature review, including the work of [16], [33], and [19]. The selected values of parameters for these scenarios are shown in Table 2.

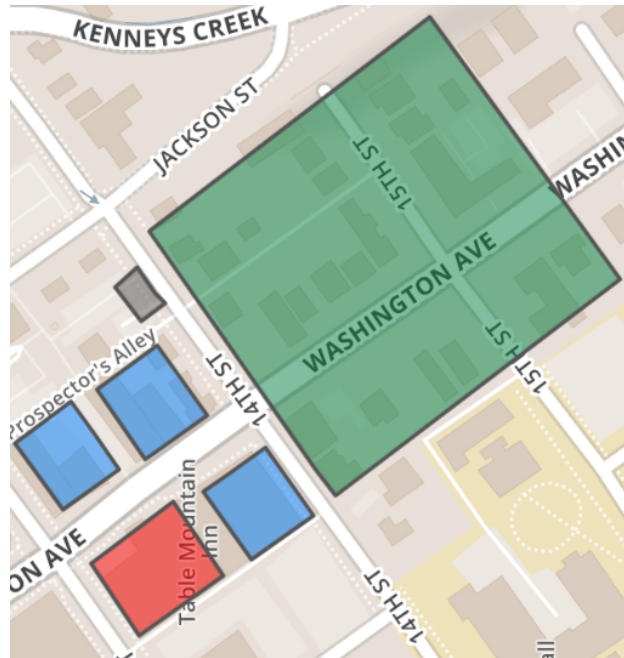


Figure 3: Numerical Example District, with multi-family buildings shown in blue, retail building in red, hospital in green, and central plant in brown.

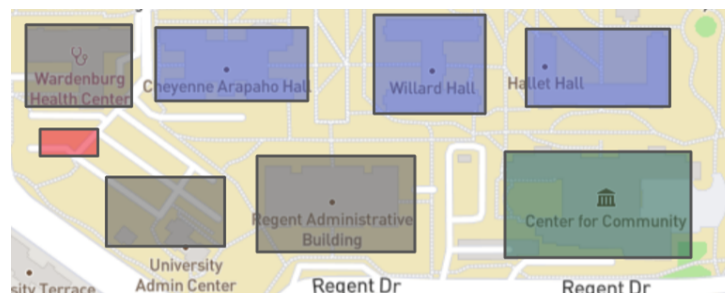


Figure 4: Realistic Application District, with multi-family buildings shown in blue, offices in grey, a restaurant in green, and the central plant in red.

365 3. Results

366 Results from the evaluation of the MST heuristic, the PSO implementa-
 367 tion, and the application of the framework to a case study are presented in

Table 3: Summary of characteristics of prototypical buildings, including peak heating and cooling loads

Building	Floor Area m^2	Individual HVAC System	Cooling Peak (kW)	Heating Peak (kW)
Hospital	22,436	Variable-air volume reheat system served by water-cooled chillers and hot water boilers	612	514
Multifamily	3,120	Zone-level direct-expansion cooling and gas heating	46.6	30.0
Retail	2,295	Roof-top units with DX cooling and gas heating	70.8	106
Restaurant	510	Roof-top units with DX cooling and gas heating	72.3	72.3

the following sub-sections.

3.1. Evaluation of minimal spanning tree heuristic

For the Numerical Example District, the subset of buildings selected for connection to the DES was greatly influential on the LCC, much more so than the choice of network by which a given subset of buildings was connected.

373 Inclusion of the prototypical hospital building among the connected buildings
374 is necessary in order for a given scenario to have a lower LCC than that of the
375 “null case”, in which all buildings are served by independent systems. The
376 prototypical hospital building had a significantly higher thermal load density
377 than the multi-family or retail buildings, and also has significant internal
378 load diversity. Other studies, including that of [34], have also concluded that
379 higher internal thermal load diversity, as well as higher district-level thermal
380 load diversity, contributes to greater reductions in source EUI for 5GDHC
381 systems relative to independent systems. The hospital is the only building
382 for which a reduction in energy cost occurs with a connection to the DES,
383 though all buildings exhibit at least a slight reduction in site- and source- EUI
384 through a connection to the DES. For the prototypical retail and multi-family
385 buildings, the lower magnitude of this reduction is eclipsed by the higher unit
386 cost of electricity than natural gas. In the independent case, the buildings
387 have natural gas-fired heating systems, while the DES uses only electricity
388 for heating and cooling. There is generally a positive correlation between
389 network length and LCC, due to the fact that the infrastructure cost scales
390 with the network length. The distribution of LCC and source EUI for HVAC
391 exhibited a bifurcation, with the scenarios in which the hospital is served by
392 the DES having a significantly lower LCC and source EUI . Refer to [22] for
393 a figure showing this distribution and to the Supplementary Material for a
394 detailed discussion of the results for source EUI for HVAC.

395 The exhaustive search confirmed the validity of the MST heuristic. For
396 all possible subsets of buildings in the prototypical district, the network cor-
397 responding to the MST indeed provided the solution with the least LCC.

398 These results were evaluated in terms of an “MST ratio”, representing the
399 ratio of the LCC of a given scenario to that of the MST connecting the same
400 subset of buildings. For MST scenarios, the value of this ratio is naturally
401 unity. The fact that this ratio never took on a value less than one demon-
402 strates the validity of the heuristic. Refer to [22] for a figure plotting the
403 MST ratio as a function of network length.

404 3.2. *Evaluation of particle swarm optimization*

405 A summary of results for two of the sets of parameter values considered
406 for the evaluation of PSO are shown in Figure 5. The minimum value in
407 the current swarm and the global minimum thus far, as well as the ground
408 truth value, and the maximum value in the search space, are plotted as a
409 function of the number of iterations. (The scenarios are identified based on
410 the number of connected buildings in the optimal case, with “Scenario 0”
411 corresponding to all buildings having independent systems.) As expected,
412 the global minimum value is monotonically decreasing. In all the scenarios
413 considered, the global best value quickly approached the ground truth value,
414 within the first 100 iterations.

415 In Scenario 5, the variation in the swarm minima is small compared with
416 the range between the minimum and maximum values of LCC in the search
417 space. In all scenarios, the swarm minimum did not consistently decrease as
418 the algorithm progressed. This behavior is inherent in the structure of the
419 PSO algorithm to balance exploration of the search space with exploitation
420 of a fruitful area. By definition, once the algorithm has identified what is in
421 fact the ground truth solution, it will be impossible to identify a better one,

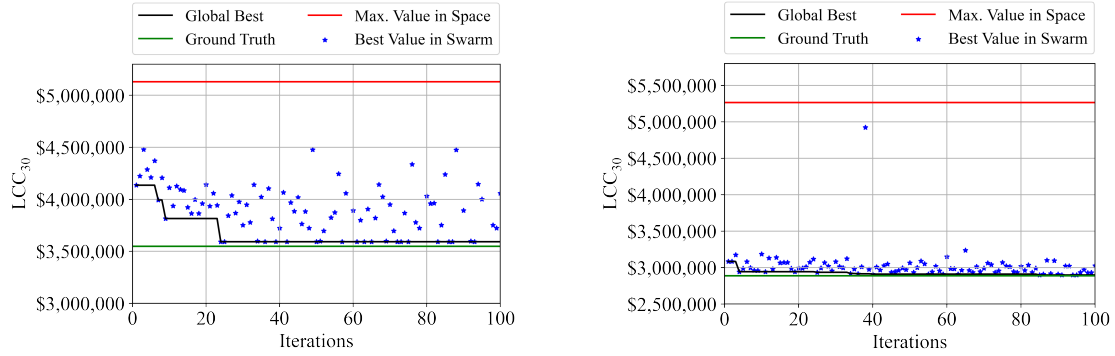


Figure 5: Best values over first 100 iterations for Scenario 0, left, and Scenario 5, right

and the algorithm will continue to explore other areas of the search space.⁴

3.3. Value of topology optimization

For each of the six sets of parameter values considered in the evaluation of PSO, there is a significant range of associated lifetime carbon dioxide emissions and LCC, when statistical outliers are included, as well as significant variation between scenarios. The energy consumption for each case remains the same across scenarios, as the scenarios are distinguished in utility rates, carbon dioxide emissions intensity of electricity, and unit cost of infrastructure. Each of the scenarios represents a set of circumstances that is reasonably likely to occur in the United States, and thus, forms a reasonable basis for quantifying benefits of network topology optimization.

Figure 6 shows boxplots depicting the variation in associated lifetime carbon dioxide emissions and LCC across scenarios and the base case, with the base case characterized by the set of parameter values shown in Table

⁴In all cases considered, the algorithm terminated due to the stall criterion being met.

1, from the exhaustive searches performed. The variation in lifetime carbon emissions among the scenarios considered is due to the differing rates of carbon intensity of electricity. The variation in LCC is due to differences in utility rates and infrastructure unit costs, as well as variation in carbon intensity of electricity, which influences the amount of carbon tax accrued. The primary factor contributing to the variation in range of LCC between scenarios is the unit cost of piping and trenching. This parameter takes on its highest value in Scenario 4. For all scenarios, the highest-cost case considered is either a full-mesh network serving all considered buildings, or a network serving all buildings except the prototypical hospital building. This is consistent with results observed for the base case scenario—that the inclusion of a building that experiences a reduction in energy costs due to the use of a district system is necessary, but not always sufficient, in causing a 5GDHC network to be preferable to independent systems on an LCC basis. Figure 8 shows in boxplot form, the range of source EUI for all potential network configurations. The network configuration with the minimum source EUI has a value that is 28% less than that of the maximum source EUI in the search space. Among the six scenarios considered and the base case, the median range of lifetime carbon dioxide emissions is 9.8 megatons, or about 40% of the overall maximum value. Among those same scenarios, the median range of LCC is \$1.64 million, or about 26% of the maximum value.

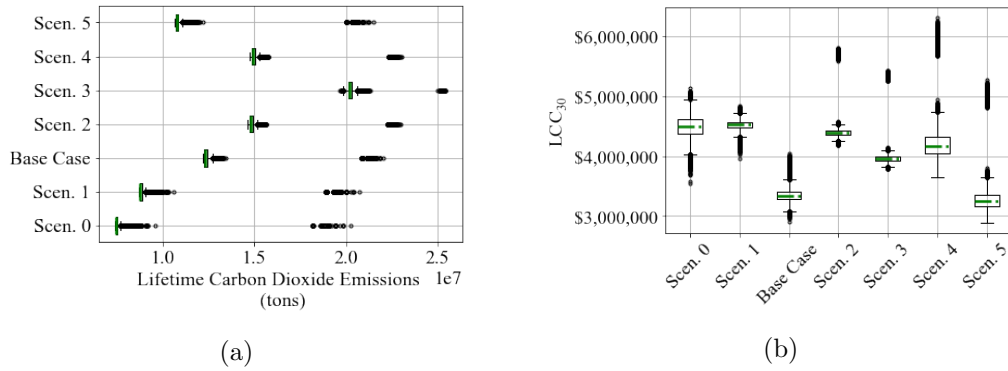


Figure 6: Boxplots showing the range in carbon dioxide emissions (left) and LCC (right) across scenarios, with median values in green

3.4. Case study

The use of the framework in the context of the Realistic Application District identified network solutions with values of LCC significantly lower than that of the designs based on heuristics. The framework identified four solutions with very similar values of LCC, a value which is 14% lower than that of the best-performing base case (the MST) and 72% lower than that of the worst-performing base case (the full mesh network). Though the objective function considered here does not address potential benefits of resiliency or redundancy of supply, those benefits may, under some circumstances, justify the additional LCC associated with a greater degree of network connectivity. (See the Supplementary Material for a small scale analysis that was performed to address the addition of a constraint in the optimization problem related to redundancy of supply.) Additionally, different configurations of 5GDHC systems, such as those with loads connected in series, may exhibit more pronounced effects on energy consumption associated with greater network connectivity. Characteristics of the optimal solutions determined by

Table 4: Summary of base cases and solutions identified by framework

Scenario	LCC \$	Network length (m)	Connected buildings	Source EUI $\frac{MJ}{m^2}$
Opt-1	979,867	0	0	176.9
Opt-2	980,377	64	1	170.2
Opt-3	981,602	65	1	170.3
Opt-4	982,381	130	2	163.6
Base-Ring	1,254,779	803	7	141.6
Base-Radial	1,430,558	1,136	7	140.4
Base-Full Mesh	3,500,538	4,924	7	139.4
Base-MST	1,137,870	589	7	141.6

the framework, identified in ascending order of LCC, and of the base case configurations, are shown in Table 4. Design attributes of the DES associated with each solution, where applicable, including maximum pipe diameters, are shown in Table 5. Note that solutions Opt-2 and Opt-3 have very similar values of network length, due to the fact that two of the buildings in the Realistic Application District are almost equidistant from the central plant.

As shown in Table 4, the four optimal solutions identified by the framework consist of a very limited thermal network, or no network at all. Of the four solutions with very similar values of LCC, the solution with the least cost (Opt-1) represents the scenario in which all buildings are served by independent HVAC systems. Recall that the four base case scenarios each entail the connection of all seven buildings to the network. These scenarios

Table 5: Design attributes of base cases and solutions identified by framework

Scenario	Pipe Diameter (m)	Q_{heat} (GJ)	Q_{cool} (GJ)	E_{pump} (GJ)
Opt-1	NA	NA	NA	NA
Opt-2	0.21	132	630	1.88
Opt-3	0.21	138	629	1.87
Opt-4	0.30	270	1,255	3.80
Base-Ring	0.44	964	3,583	20.9
Base-Radial	0.44	977	3,563	9.40
Base-Full Mesh	0.44	1,035	3,326	8.45
Base-MST	0.44	958	3,587	24.5

485 have very similar values of source EUI, and differ chiefly in terms of the asso-
486 ciated network length, which influences the LCC. Ring, radial, and meshed
487 networks can be beneficial in terms of offering resiliency or redundancy of
488 supply. These objectives were not considered in this case, but may be im-
489 portant in some applications. Note also that the optimization search space
490 is constrained to include MST networks only, based on the heuristic valida-
491 tion discussed previously. Thus, full mesh networks were not evaluated as
492 candidate solutions in the optimization process.

493 The candidate solutions evaluated by the framework offer insight into the
494 attributes influencing the EUI and LCC associated with potential system
495 configurations. Note that these candidate solutions represent a subset of
496 the problem's overall search space, and that the stochastic nature of the

497 PSO algorithm introduces some randomness into the selection of potential
498 solutions. It is informative to characterize the candidate solutions by the
499 number of connected buildings, because that significantly influences the LCC,
500 a result consistent with the analysis of the Numerical Example District. In
501 this case study, the PSO algorithm converged before evaluating any candidate
502 solutions involving the connection of all seven buildings to the DES. The
503 candidate solutions explored by the optimization algorithm, as well as the
504 base case scenarios, are plotted in Figure 7, in terms of their network length
505 and LCC.

506 Figure 8 shows, in boxplots, the range of variation in overall LCC, and
507 in the energy and infrastructure components specifically, for the candidate
508 solutions explored by the algorithm and the base case scenarios, grouped
509 by the number of connected buildings. The case in which all buildings are
510 served by independent systems is shown as a single point. (For purposes of
511 concision, the “full mesh” base case scenario, which has a much higher LCC,
512 is not shown on this plot.) A higher number of connected buildings generally
513 results in higher life cycle costs. The use of the district thermal energy system
514 results in lower source EUI relative to independent, building-level systems.
515 In terms of LCC, that effect is dominated by the higher infrastructure costs
516 associated with a thermal network. As shown in the plot on the left in Figure
517 8, variation in infrastructure cost, driven by the different associated network
518 length, explains most of the variation in LCC among solutions with the same
519 number of connected buildings. The boxplot on the right in Figure 8, showing
520 variation in district-level source EUI, further demonstrates this.

521 The median source EUI of the four base case scenarios (all of which entail

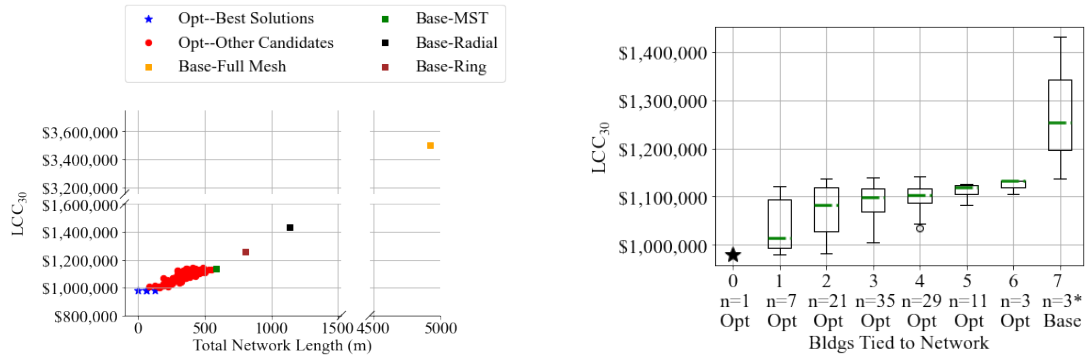


Figure 7: The LCC as a function of network length for base case scenarios and those evaluated by the framework (left) and boxplots showing range of overall LCC as a function of the number of buildings connected to the DES for base case scenarios and those evaluated by the framework (right), with median values in green

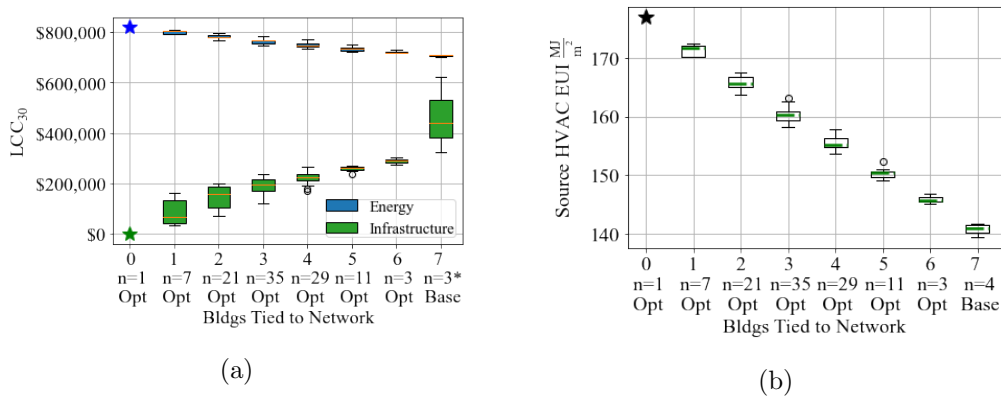


Figure 8: Boxplots showing range of overall LCC as a function of the number of buildings connected to the DES for base case scenarios and those evaluated by the framework for energy and infrastructure LCC components (left) and showing range of district-level source EUI for HVAC (right), with median values in green

the connection of all seven buildings to the DES) is 20% lower than that of the null case, in which all buildings are served by independent systems. For intermediate numbers of connected buildings, the district-level source EUI for HVAC is monotonically decreasing between these two values. However, the median energy cost component of the LCC decreases by only 14% (roughly \$ 114,500) between the same two points. This is largely the result of the higher cost of meeting a given heating load with electricity as opposed to natural gas, under the rates considered in this study, with electricity having a unit cost 4.3 times that of natural gas. The reduction in energy costs is offset by the increase in infrastructure costs of \$ 531,300 between the same two points. The median infrastructure cost also increases monotonically with the number of connected buildings, and is a linear function of the network length.

Each of the building types considered in the Realistic Application District exhibited a reduction in source EUI for HVAC in its DES-connected state. These reductions primarily accrue in heating mode. The centralized ground source heat pump that is modeled as serving the DES operates between an evaporator temperature of 4.4 °C and a condenser temperature of 26 °C in heating, enabling it to achieve an annualized average coefficient of performance (COP) of around 6.0 in heating mode. The building-level heat pumps have nominal COPs in the range of 5.0 to 6.0 for the loop temperatures of 16 °C in cooling and 26 °C in heating. In heating in particular, this represents a significant improvement in exergetic efficiency relative to the 80% efficient gas heating coils serving the independent HVAC systems considered, whose heat loss results in high-temperature exhaust.

547 4. Discussion

548 Based on the results of the evaluation of the MST heuristic and PSO,
 549 the framework leverages both techniques to address the network topology
 550 optimization problem. The optimization problem is formulated as follows:

$$\begin{aligned} \min_{\vec{L}} & C_{pipes} + C_{elec}UPV_{elec}(E_{de} + \sum_{i=1}^n E_{be,i}) + C_{gas}UPV_{gas} \sum_{j=1}^n E_{bg,j} \\ & + UPV_{CO2} \sum_{t=1}^{30} m_{CO2}(t)C_{CO2}(t) \end{aligned} \quad (2)$$

551 subject to:

- 552 (1) $L_i = 1$ if building i is connected to the DES, and $L_i = 0$ otherwise
- 553 (2) If there exists a pipe directly thermally connecting building i and build-
 554 ing j , $A_{i,j} = 1$. Otherwise, $A_{i,j} = 0$.
- 555 (3) If $\sum_{j=1}^{n+1} \sum_{i=1}^{n+1} A_{i,j} \geq 1$, $\sum_{j=1}^{n+1} A_{1,j} \geq 1$
- 556 (4) $\forall i, j \in \{1 \dots n+1\}$, $A_{i,j} = A_{j,i}$.

557

558 where $\vec{L}$ is now a vector of $n+1$ dimensions, corresponding to the total num-
 559 ber of network nodes considered. The formulation of the problem differs from
 560 that in Eqn. 1 due to the reduction in dimensionality of the optimization vari-
 561 able, facilitated by the use of the MST heuristic. Constraint 3 ensures that if
 562 any load is connected to the network in a candidate solution, the centralized
 563 heat pump is also connected. By definition, an MST network is a connected
 564 graph, and thus this constraint is now sufficient to ensure network connectiv-
 565 ity. Constraints 2 and 4 are incorporated implicitly, through the approach by
 566 which candidate solutions are interpreted in this context. Prim's Algorithm

567 is used to construct the adjacency matrix of the MST graph corresponding
568 to $\vec{L}$ [35]. The application of the MST heuristic significantly reduces the
569 size of the search space, which improves the computational efficiency of the
570 framework.

571 Analysis of the solution space to the network topology optimization prob-
572 lem revealed that the selection of the subset of buildings to connect to a DES
573 was much more influential on source EUI for HVAC than the network by
574 which they were connected. This result is likely a consequence of the par-
575 allel thermal network connections considered in this case, which reduce the
576 potential for localized synergistic exchange of heat among buildings, though
577 building thermal loads still have the potential to offset each other at the
578 network level. This suggests that analysis of other 5GDHC system config-
579 urations, such as those with loads connected in series, would demonstrate
580 greater benefits from topology optimization. Future work could address the
581 evaluation of the MST heuristic for 5GDHC systems in which loads are con-
582 nected in series, which could demonstrate more effects of network topology
583 on energy consumption, due to the greater variation in supply temperature
584 at connected loads.

585 In the application of the framework to a case study, the four tightly
586 clustered solutions with the least life cycle cost all entailed the absence of a
587 5GDHC network, or a very limited one. The low cost of natural gas relative to
588 electricity in the US poses a barrier to cost-effective beneficial electrification
589 of heating, and thus, the associated reductions in carbon dioxide emissions.
590 The case study to which the framework was applied sought to represent a
591 generic collection of buildings in an urban area. Location-specific attributes,

592 such as the availability of waste heat from low- and moderate-temperature
593 sources (including data centers and commercial refrigeration), can enhance
594 the cost-effectiveness of 5GDHC systems [36].

595 **5. Conclusion**

596 The significant energy savings potential of 5GDHC systems, and the wide
597 solution space of potential network configurations, motivate improved design
598 approaches for such systems. To advance this, a network Topology Opti-
599 mization Framework has been developed to select the optimal (with respect
600 to life cycle cost) subset of buildings, if any, to connect to a DES, and the
601 network by which to connect them. The application of the framework to a
602 case study and analysis of realistic values of high-level LCC parameters has
603 revealed:

- 604 1. Reductions in source EUI for HVAC of 21-25% through the use of a
605 5GDHC system, for a typical collection of buildings, relative to code-
606 compliant building-level systems.
- 607 2. A median range of carbon dioxide emissions across the scenarios of 40%
608 of the overall maximum value, and a median range of life cycle cost of
609 26% of the maximum value.
- 610 3. Solutions resulting in LCC savings of 14% relative to the best-performing
611 base case, and 72% relative to the worst-performing base case.

612 Thus, network topology optimization has the potential to facilitate sig-
613 nificant reductions in LCC, source EUI, and carbon dioxide emissions. The
614 use of PSO and the MST heuristic by the framework have been validated

615 through the exhaustive search for the Numerical Example District, extended
616 with six different sets of realistic parameter values. This work has addressed
617 buildings with typical space conditioning loads, served by a parallel network
618 configuration. Promising areas for future work in the realm of network topol-
619 ogy optimization include the optimal integration of waste heat, which has the
620 potential to improve the economic viability of 5GDHC systems, and evalua-
621 tion of the MST heuristic in the context of different system configurations.

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639 **Nomenclature**

640 *Acronyms*

641 5GDHC

642 fifth-generation district heating and cooling

643 COP

644 coefficient of performance

645 CV-RMSE

646 coefficient of the variation of the root mean square error

647 DES

648 district energy system

649 DX

650 direct expansion

651 EUI

652 energy use intensity

653 HVAC

654 heating, ventilation, and air-conditioning

655 LCC

656 life cycle cost

657 LHPDD

658 linear heating power demand density

659 MINLP

660 mixed-integer non-linear programming problem

661 MST

662 minimal spanning tree

663	PSO
664	particle swarm optimization
665	<i>Variables</i>
666	A
667	adjacency matrix corresponding to the thermal network
668	$C_{CO2}(t)$
669	cost associated with carbon emissions in a given year
670	C_{pipes}
671	cost of pipes and trenching
672	C_{elec}
673	electricity cost per unit of consumption
674	C_{gas}
675	natural gas cost per unit of consumption
676	$E_{be,i}$
677	annual electric consumption for HVAC at building i
678	$E_{bg,j}$
679	annual natural gas consumption for HVAC at building j
680	E_{de}
681	annual electric consumption for the centralized heat pump
682	$m_{CO2}(t)$
683	annual carbon emissions in a given year
684	n
685	number of buildings considered
686	UPV_{CO2}
687	uniform present value factor associated with carbon pricing

688 UPV_{elec}
689 uniform present value factor for electricity
690 UPV_{gas}
691 uniform present value factor for natural gas

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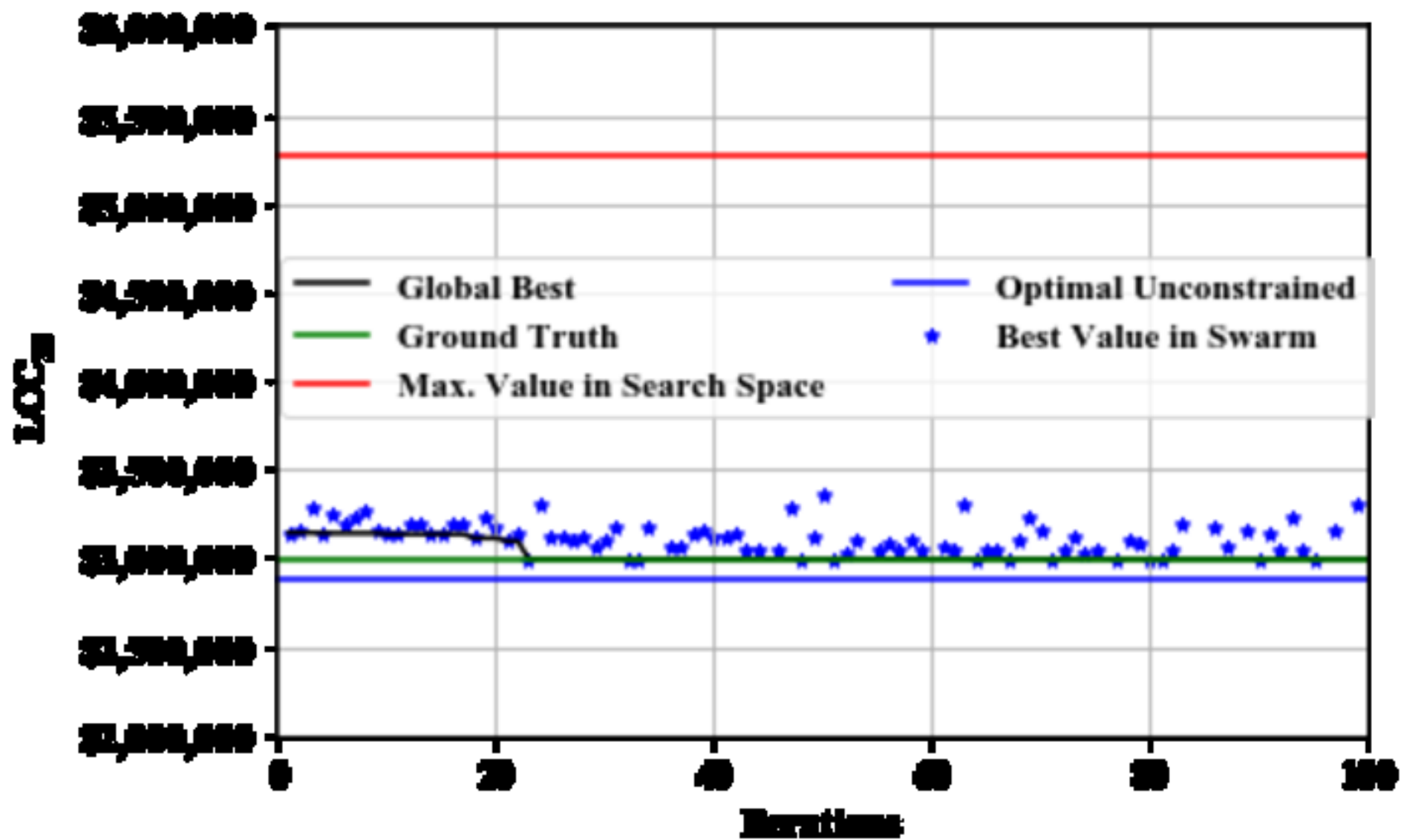
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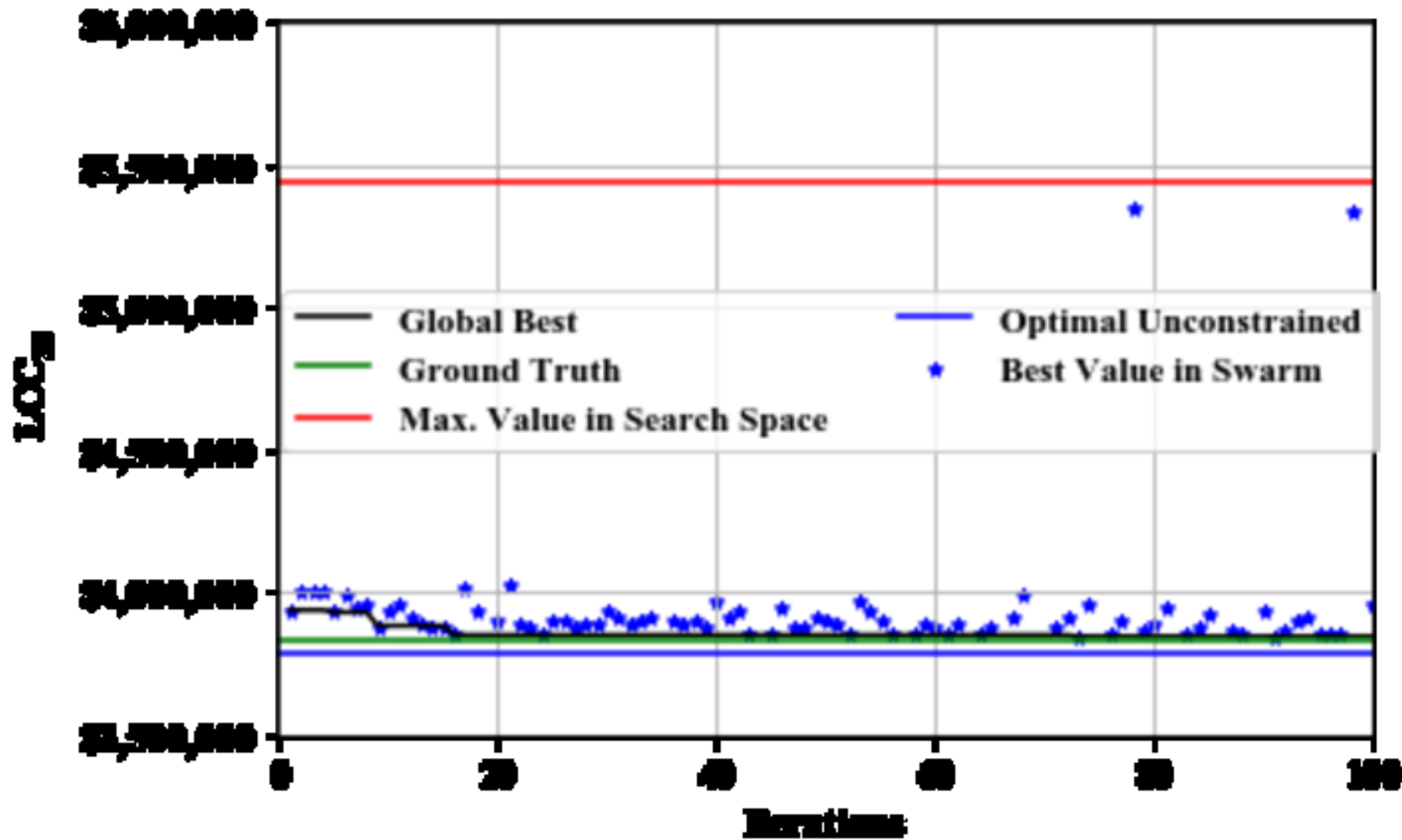
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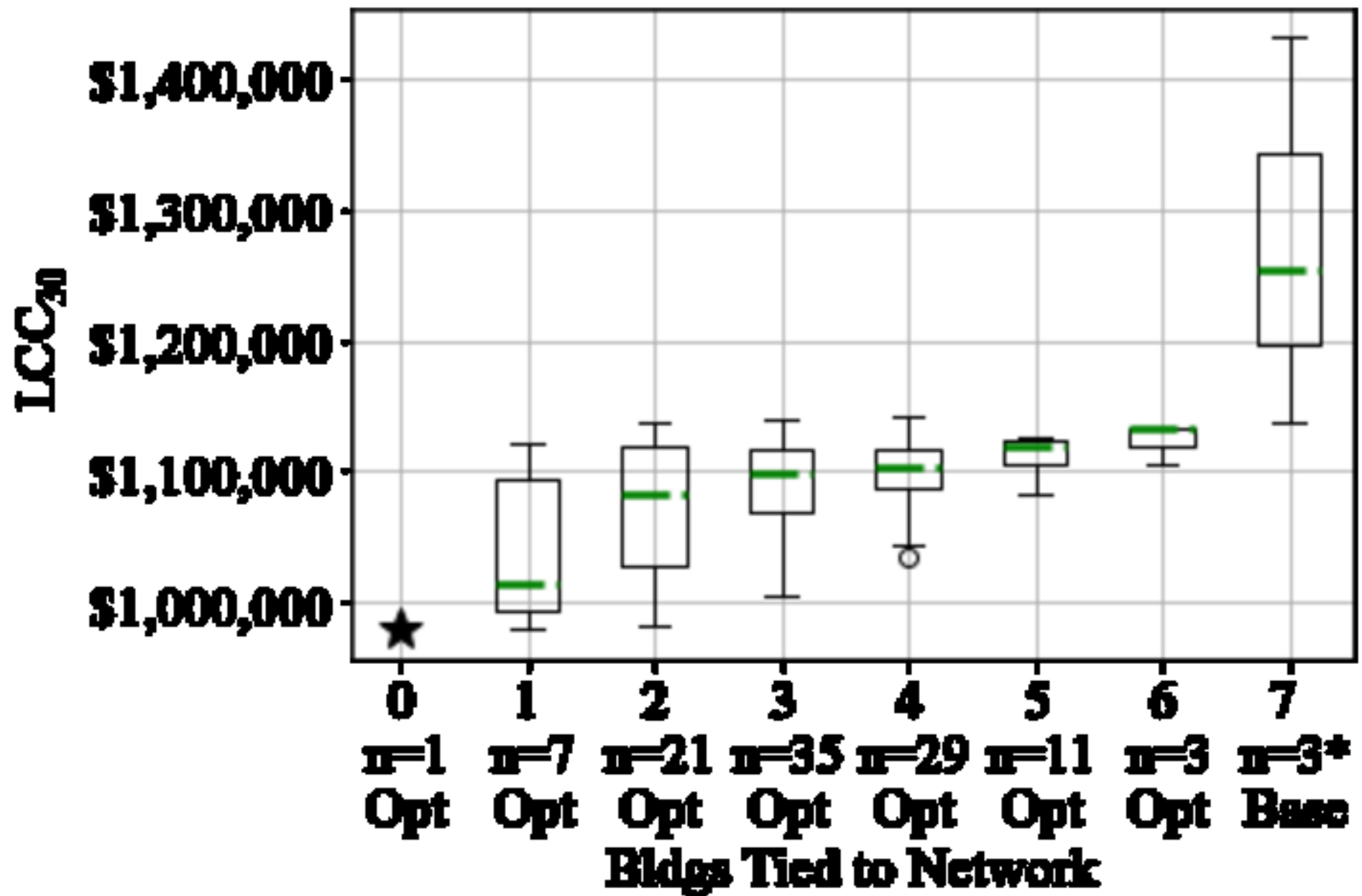
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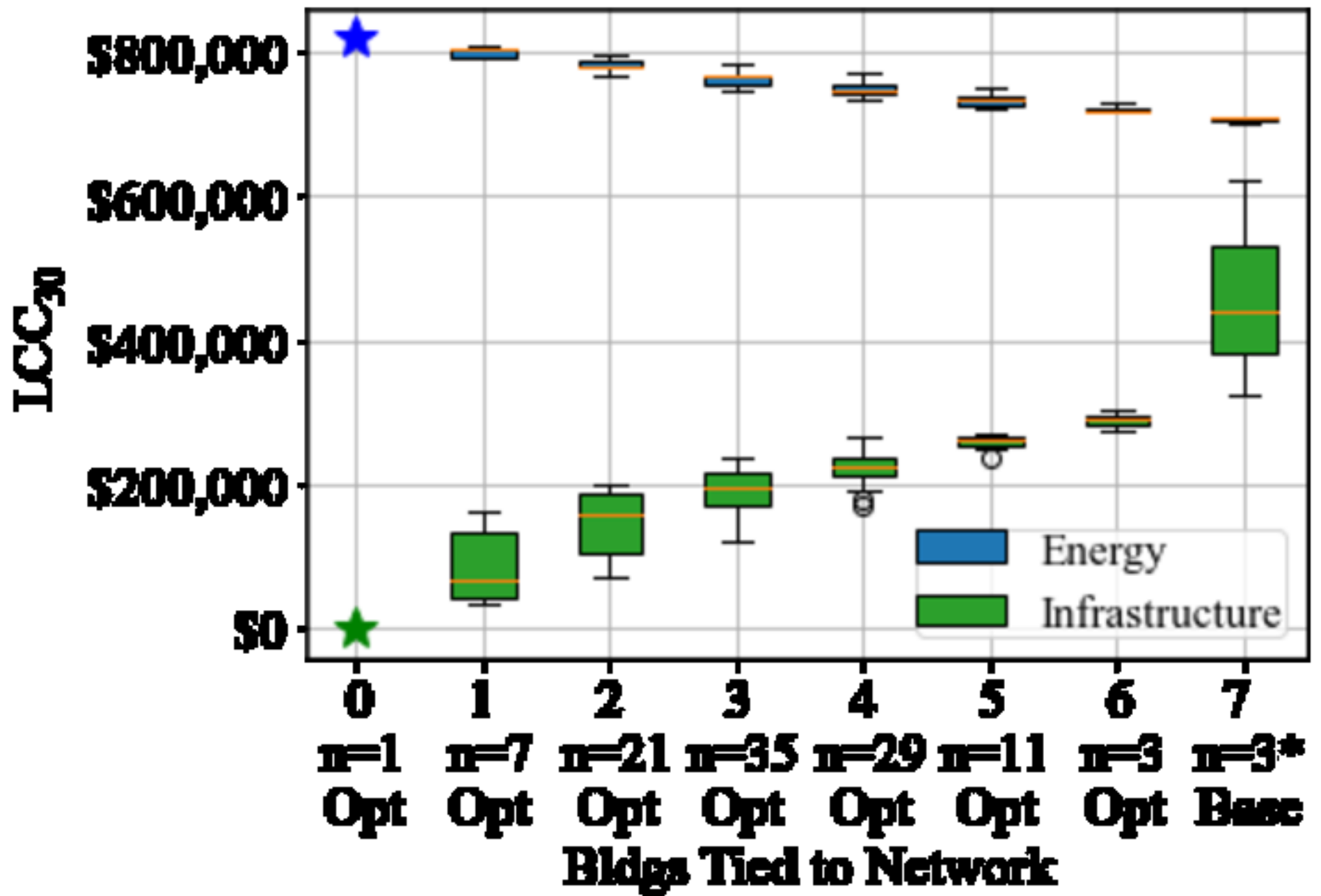
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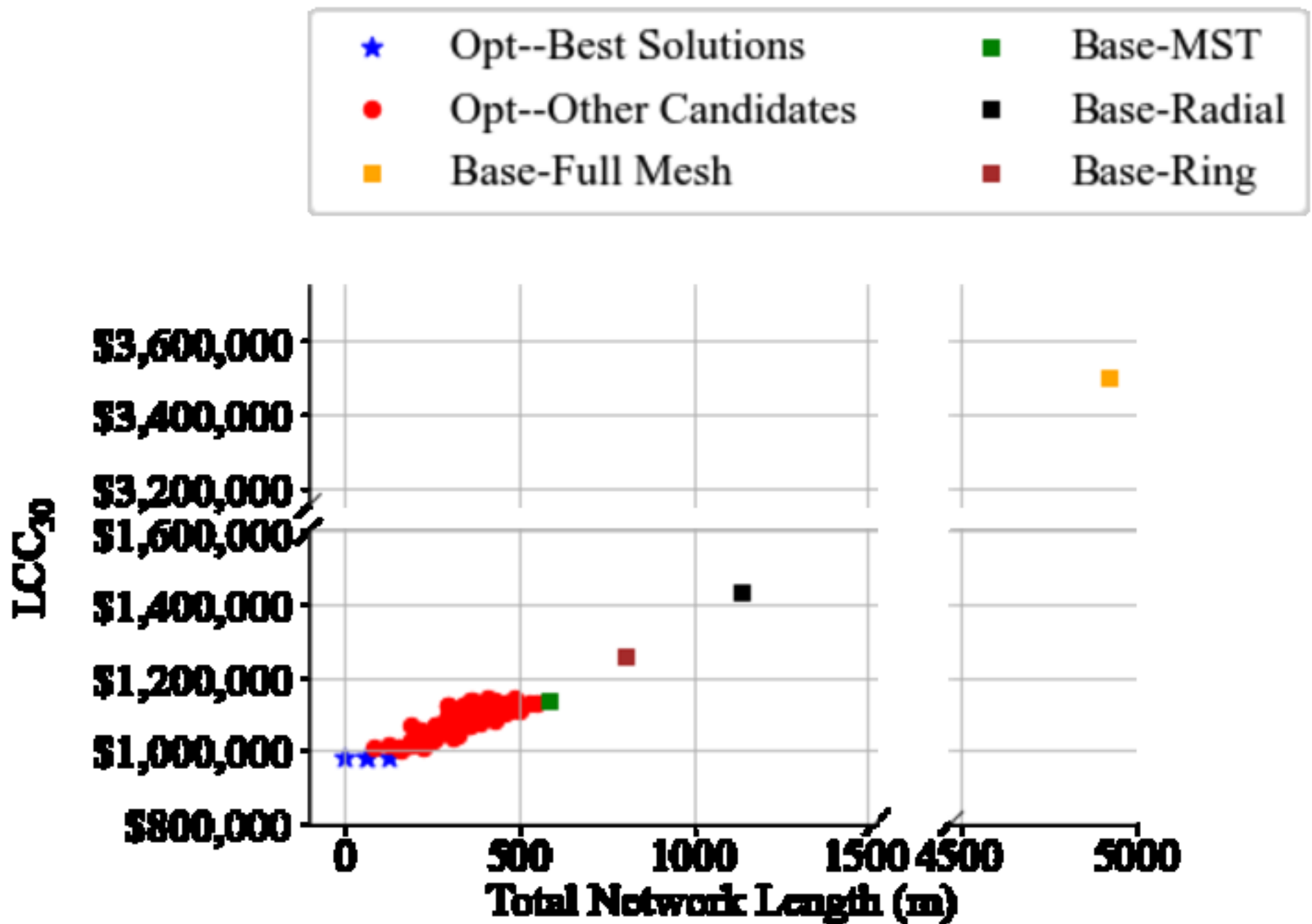
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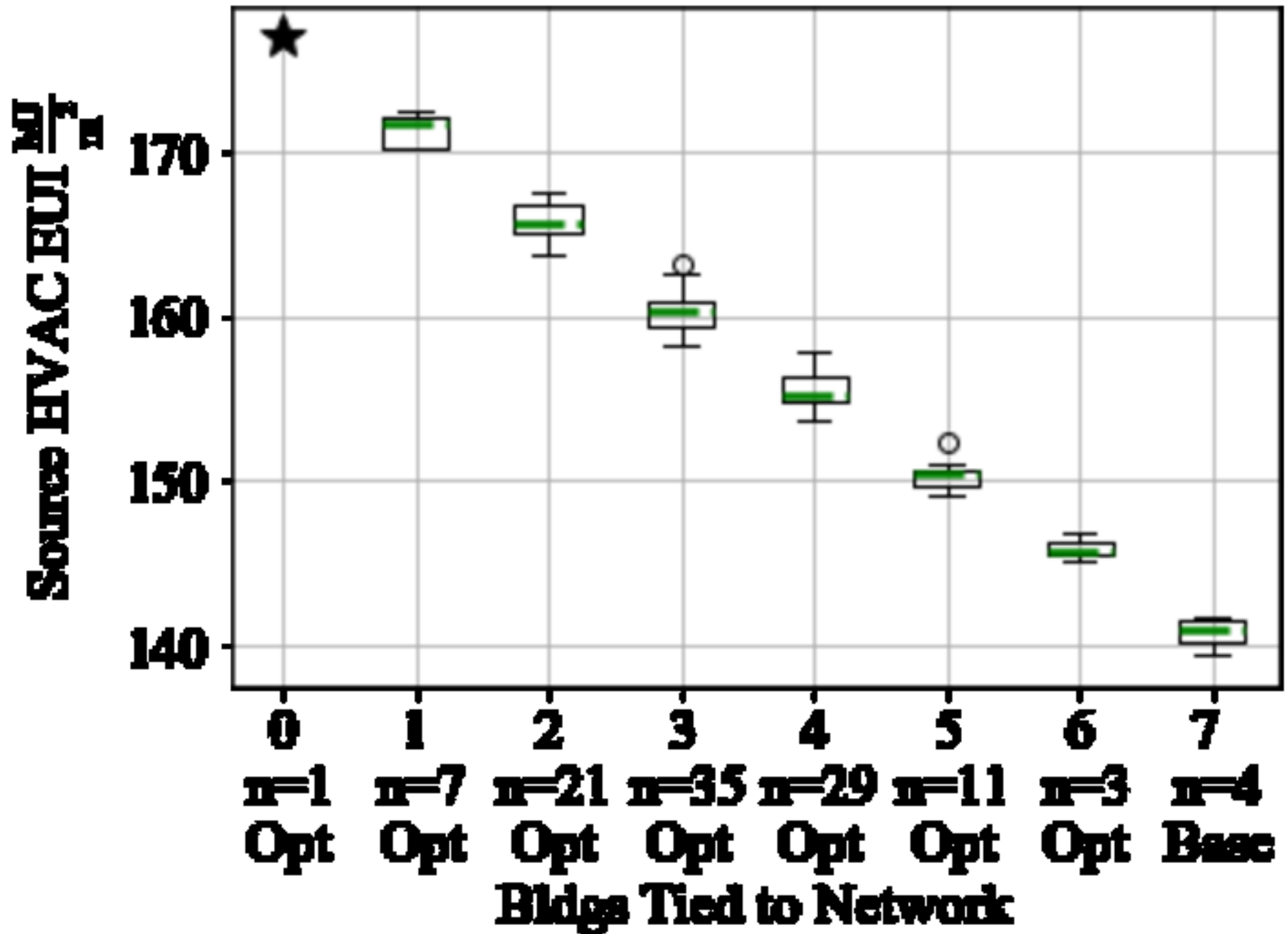


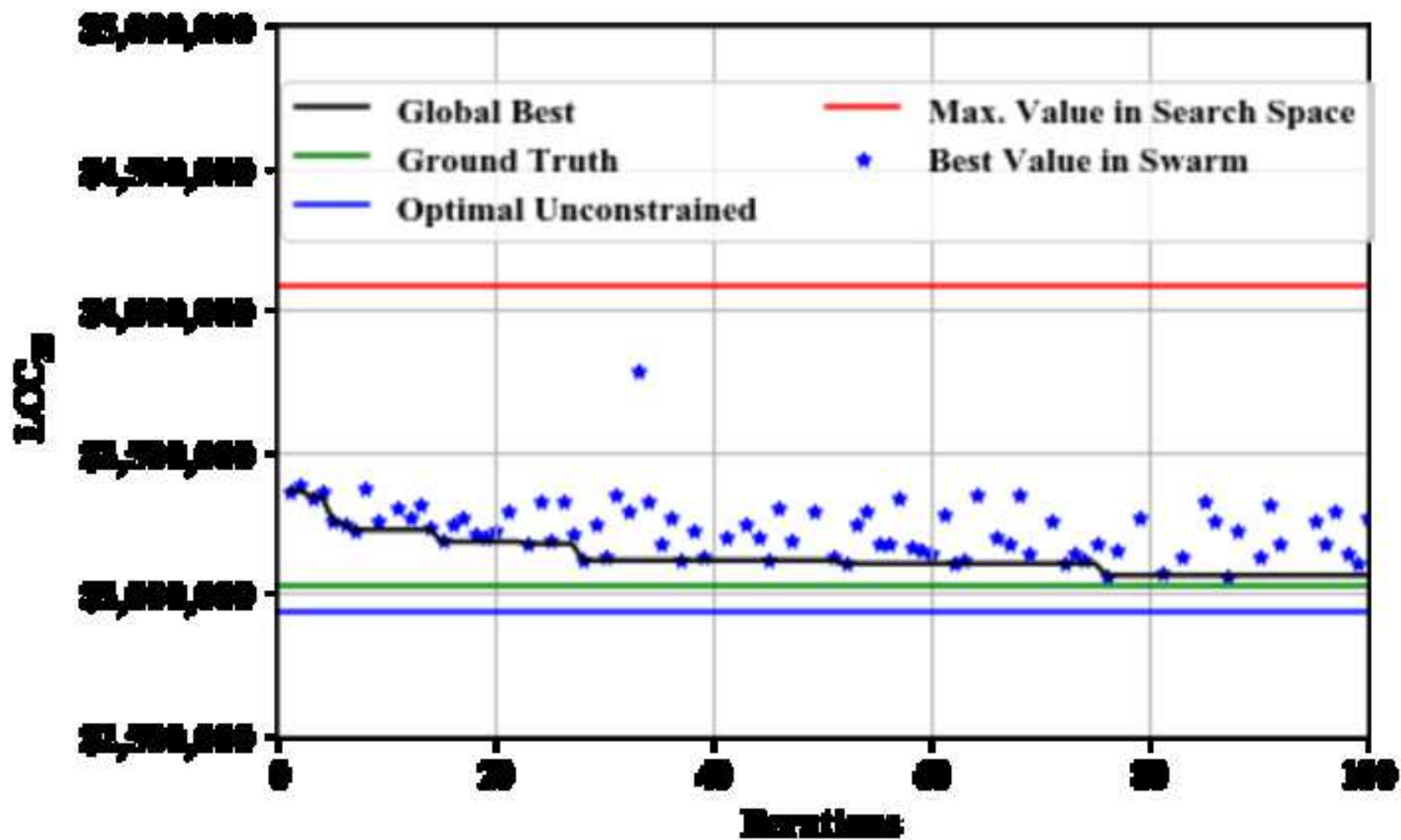


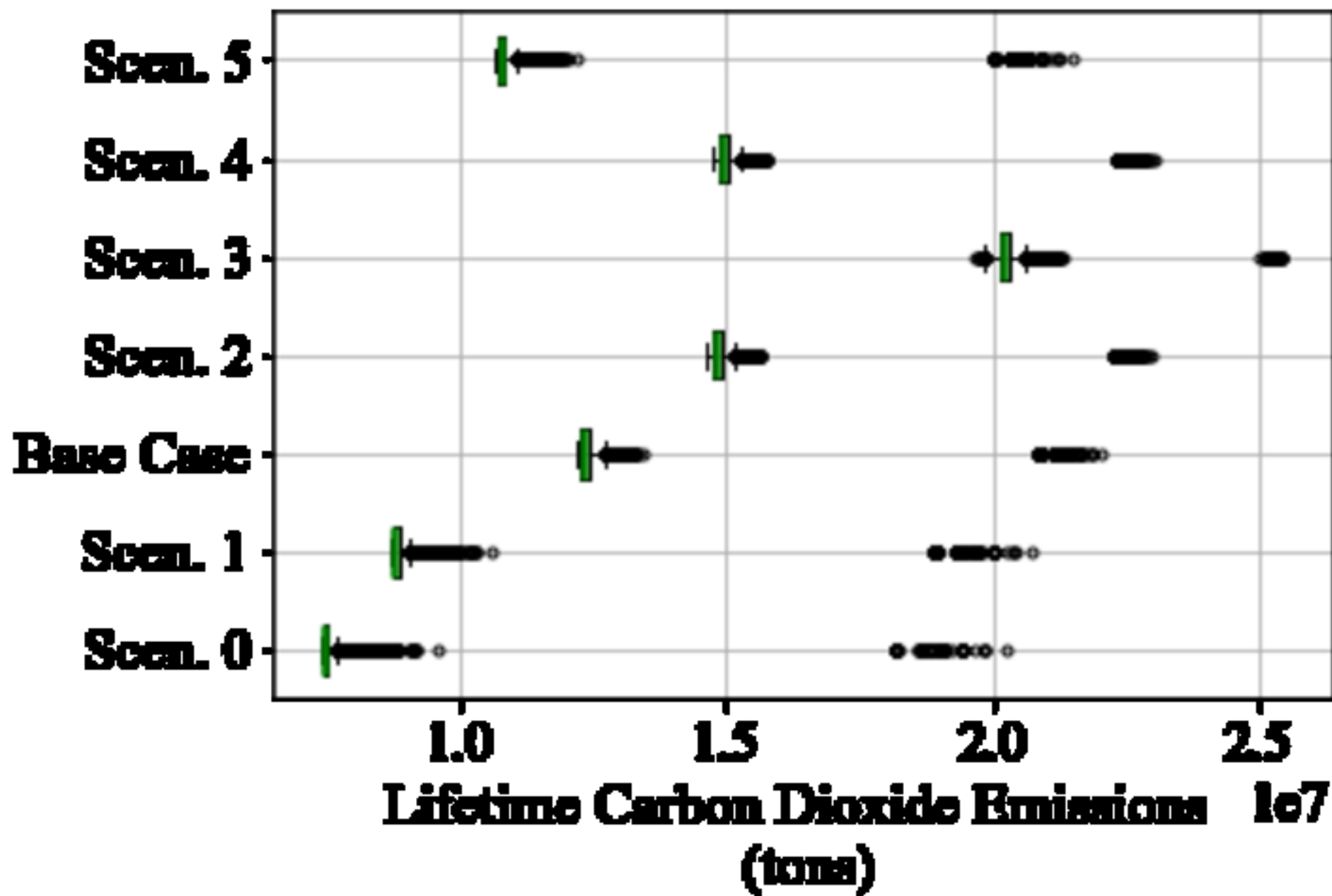


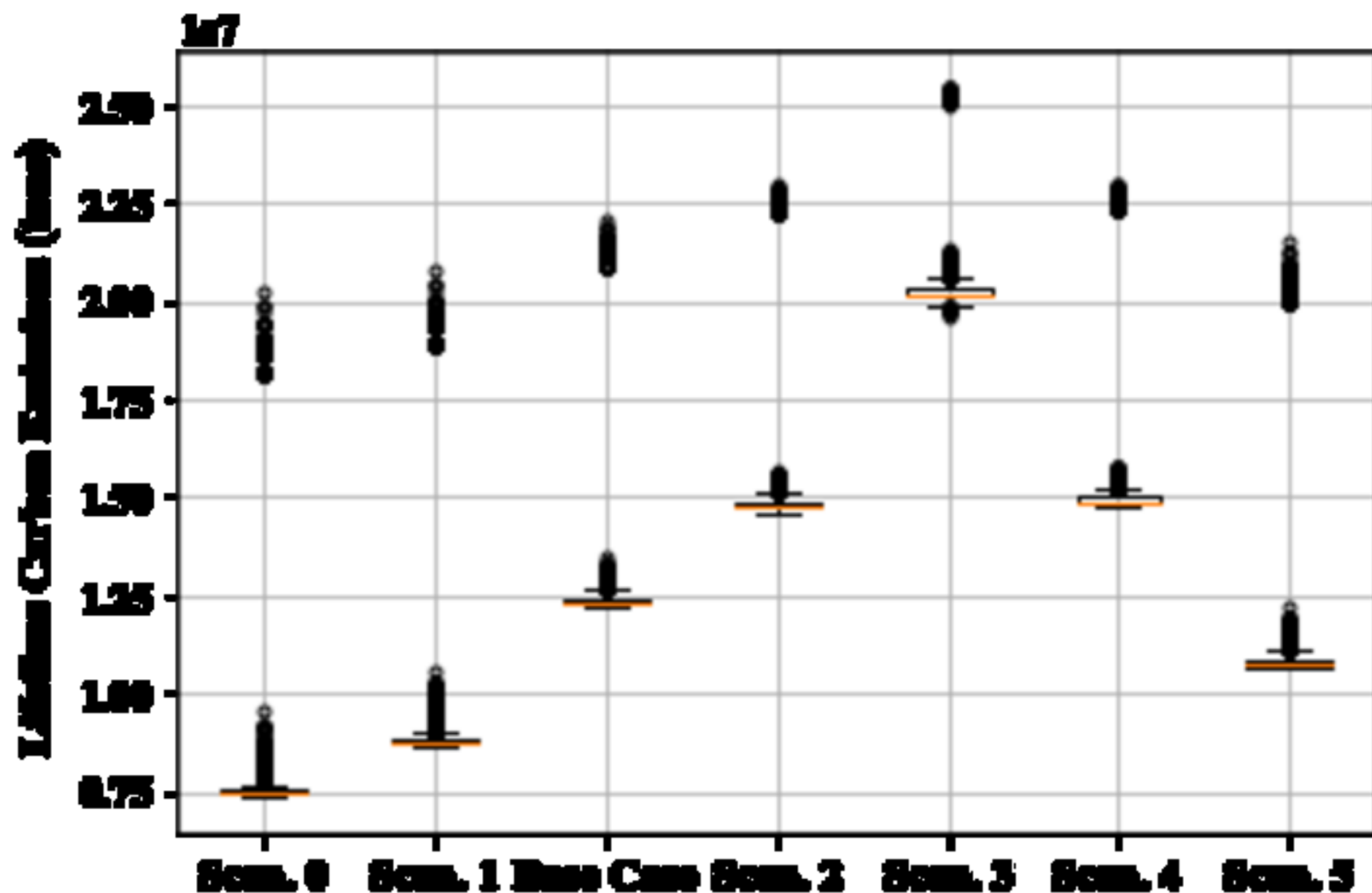


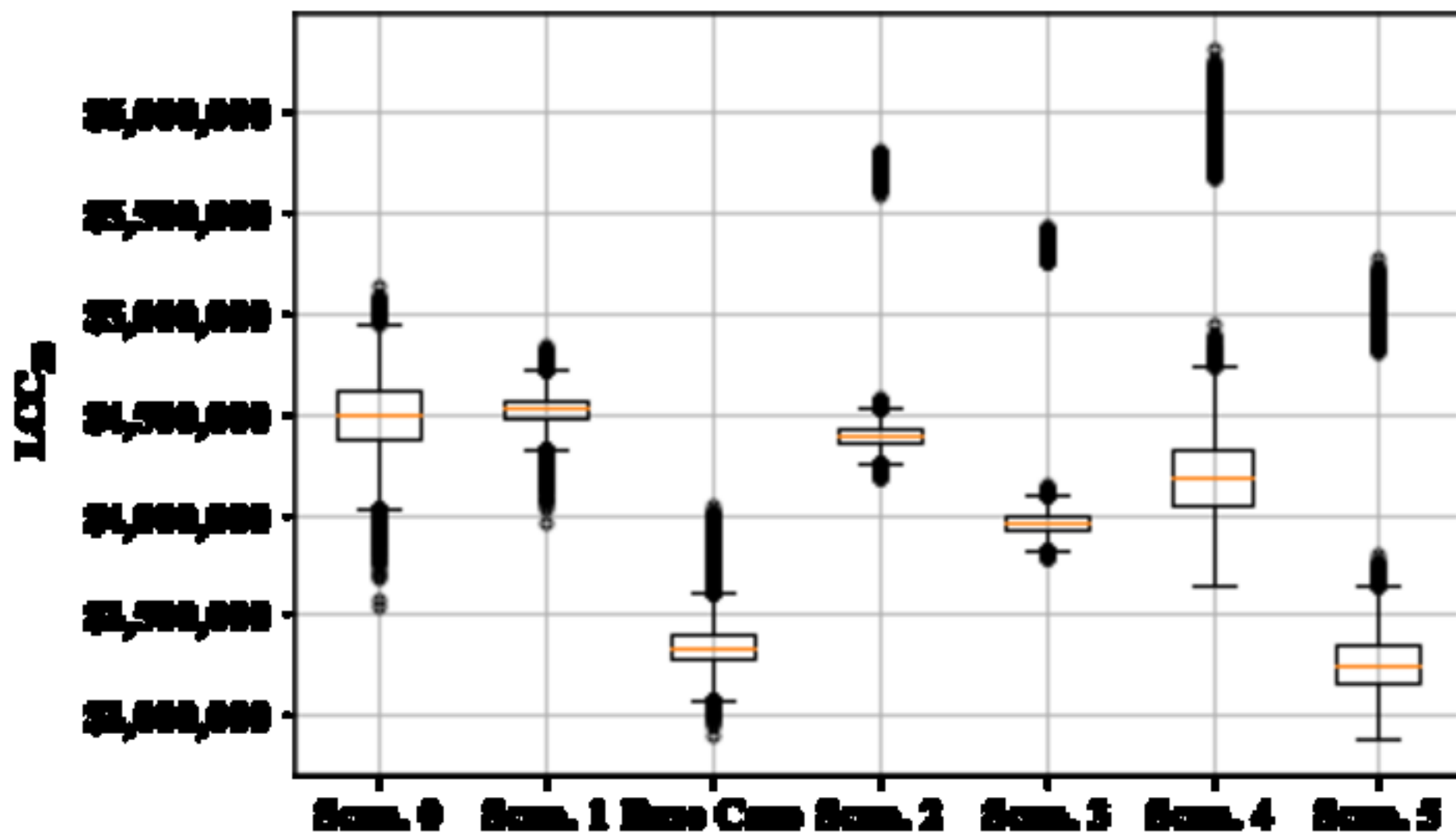


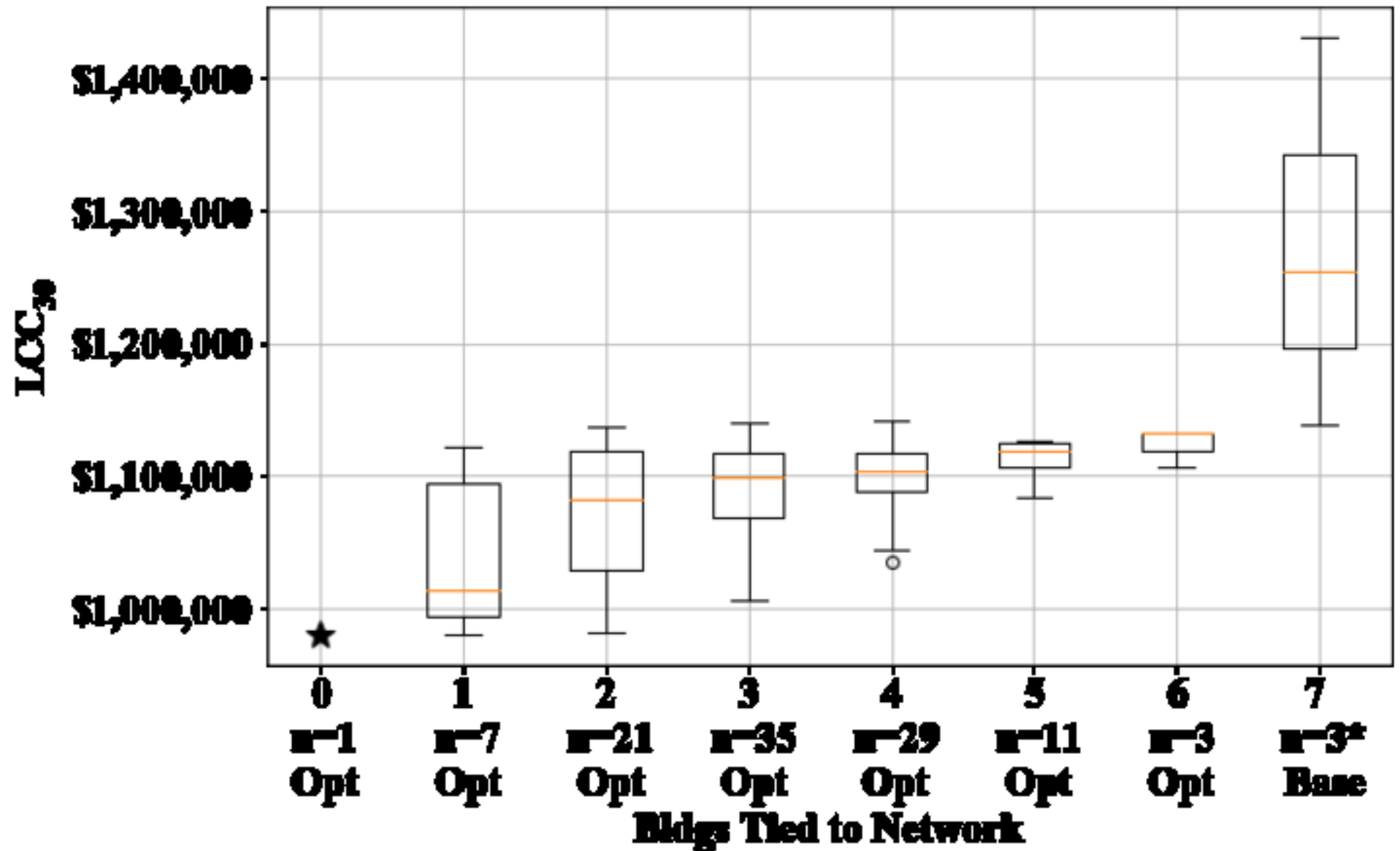


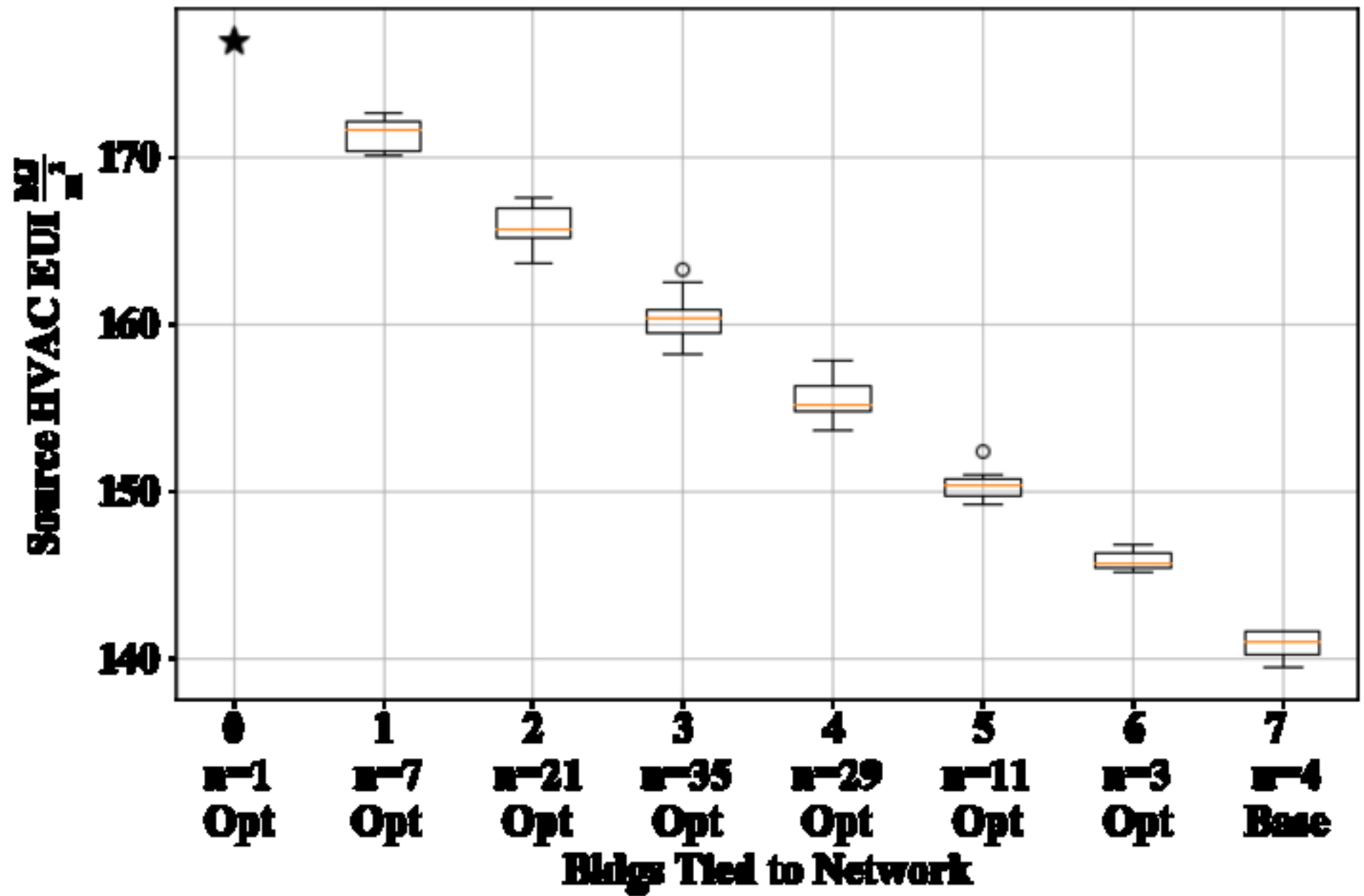


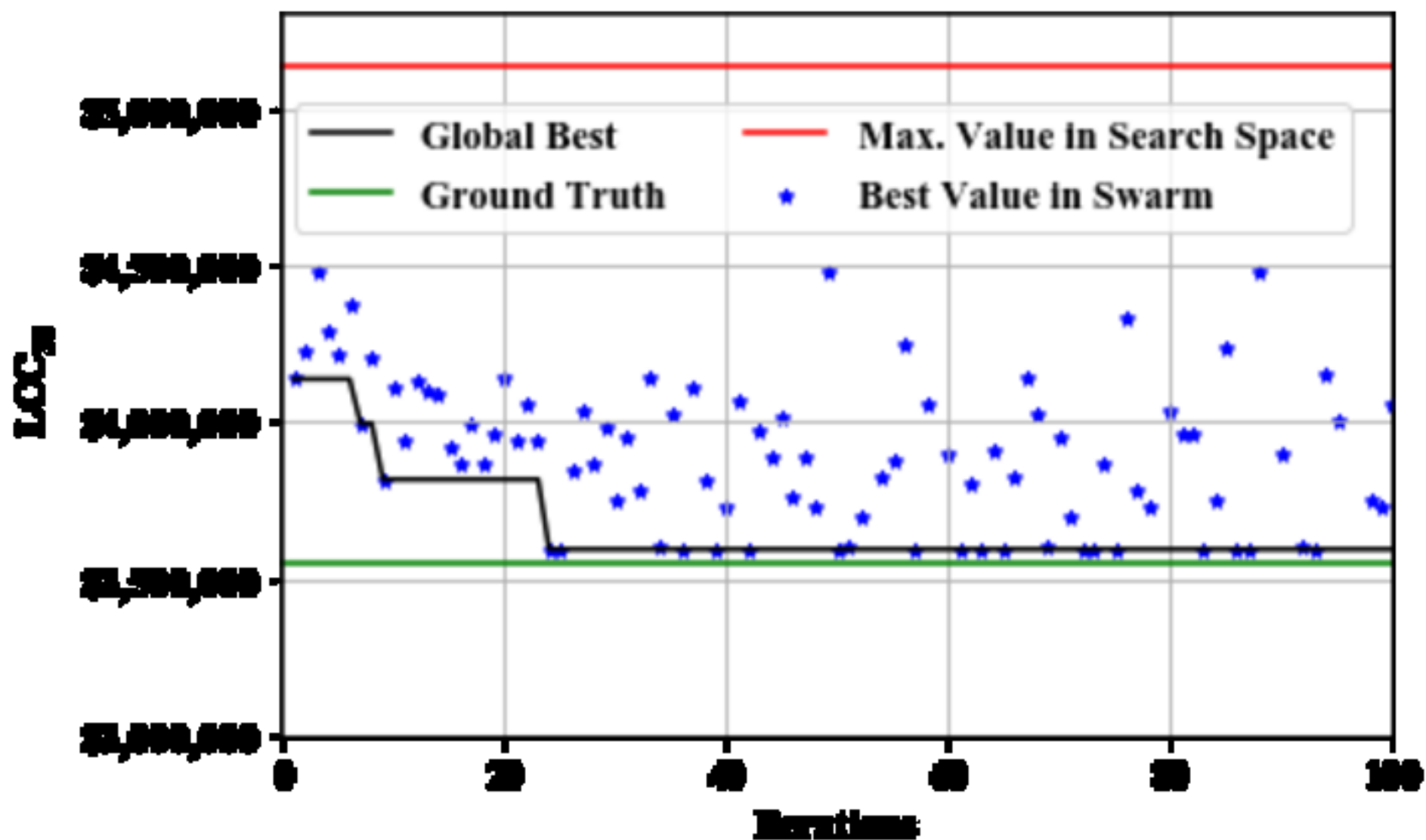


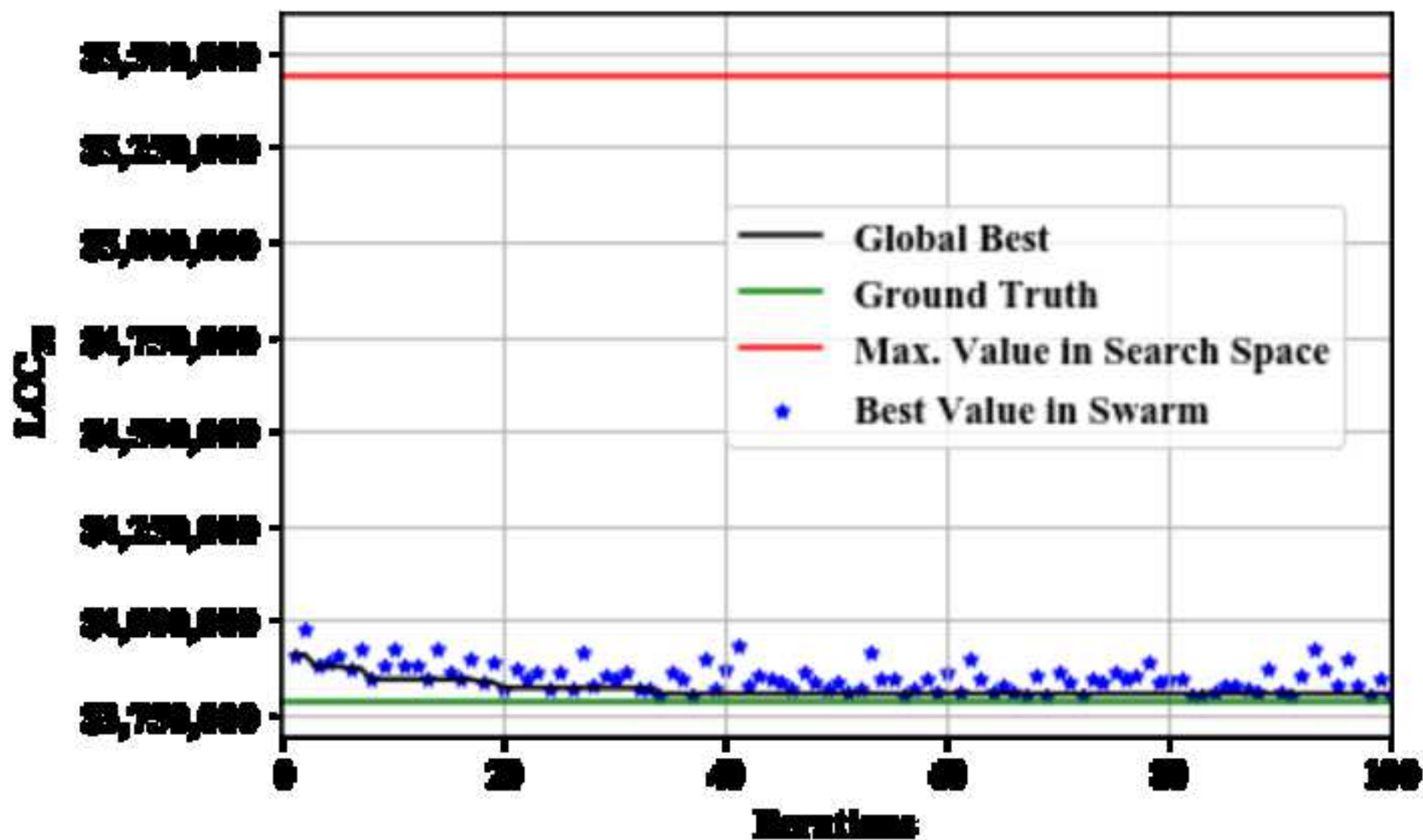


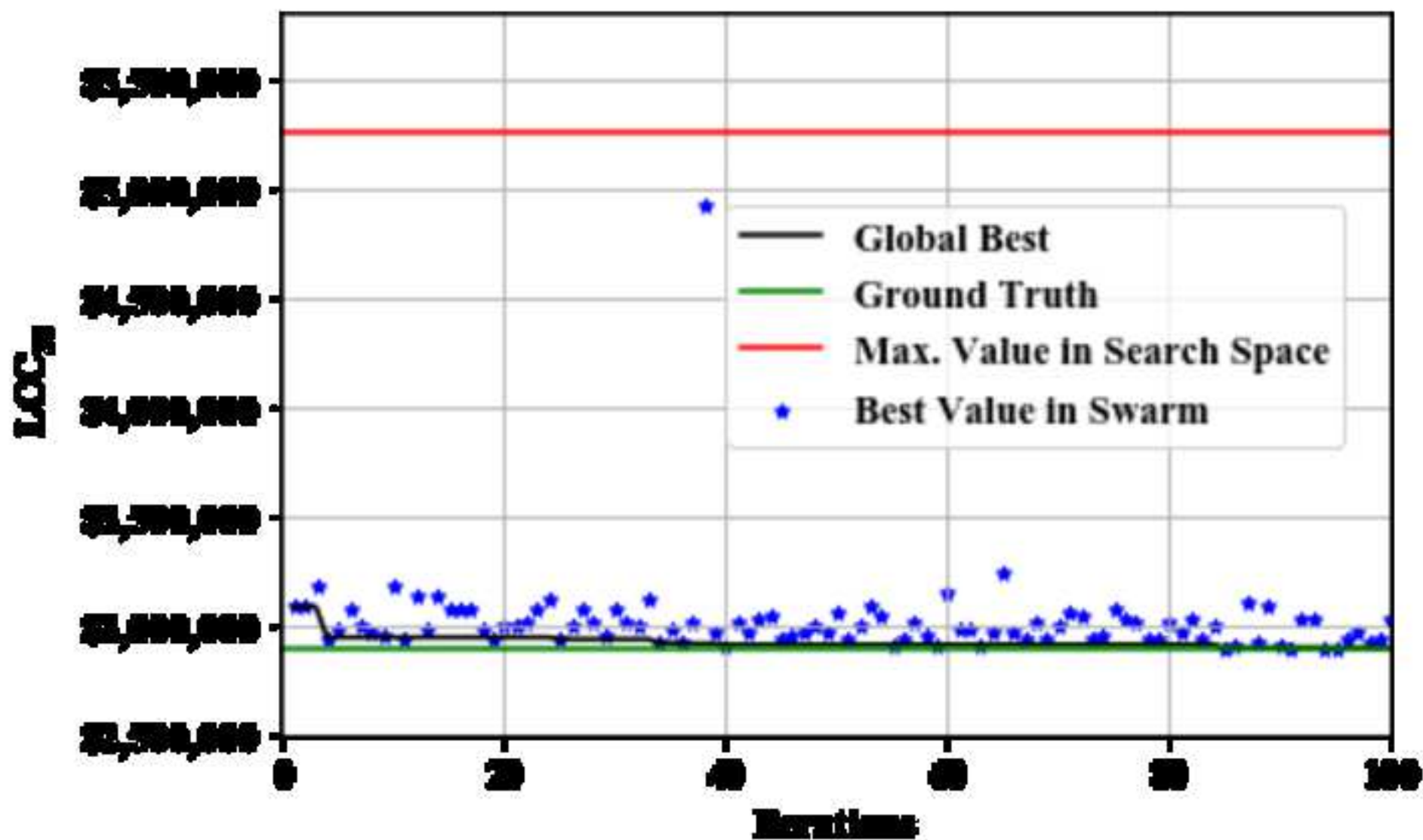


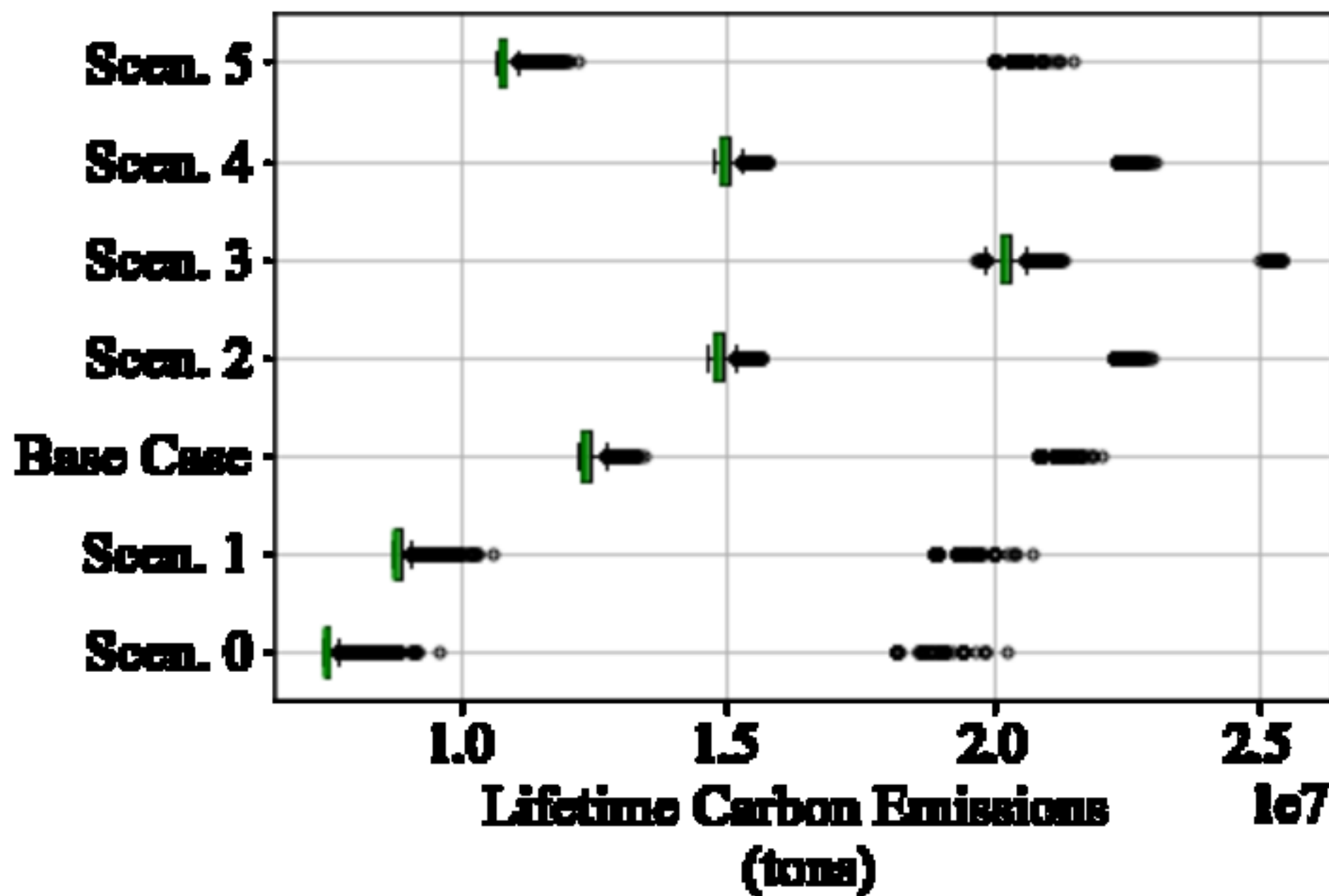


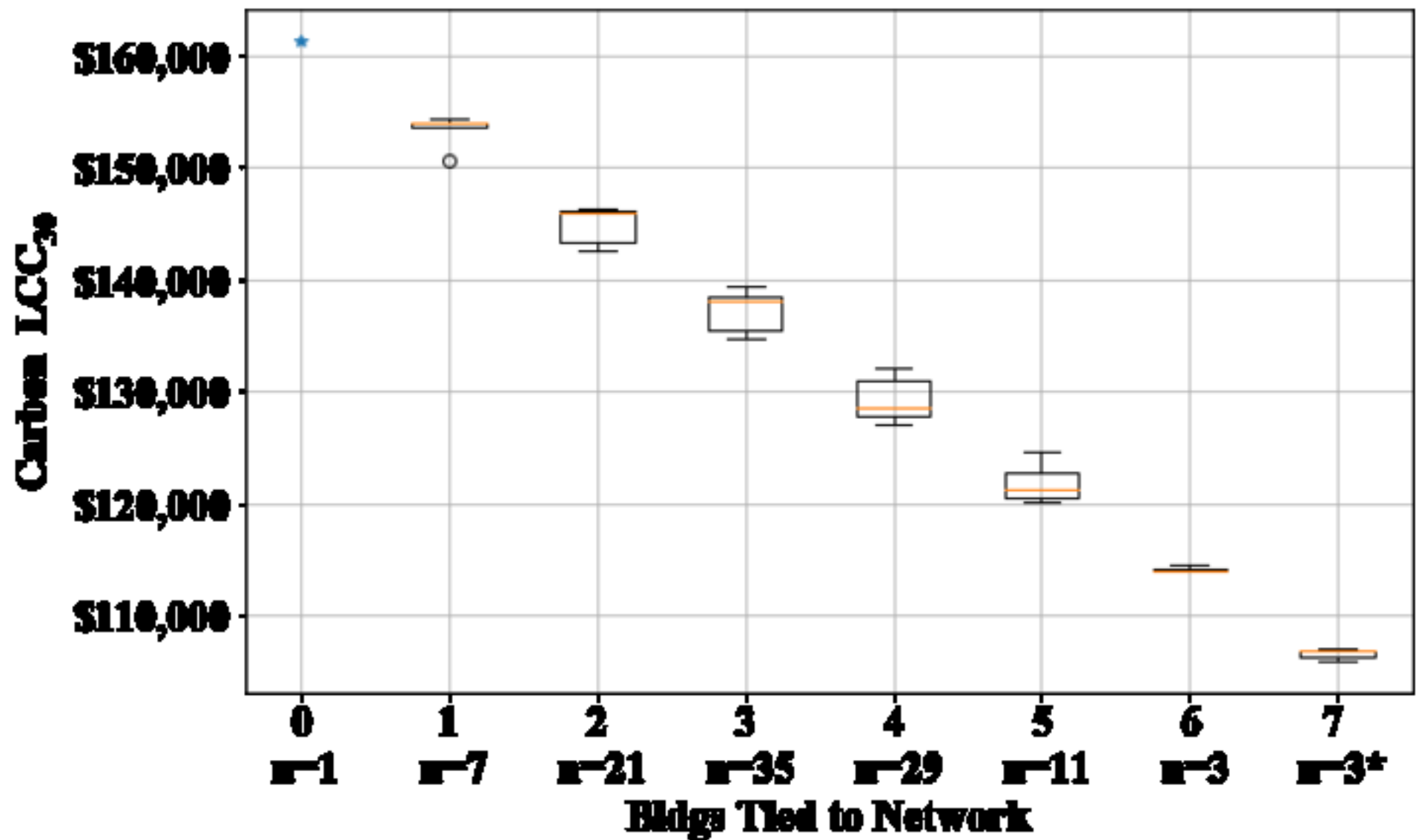




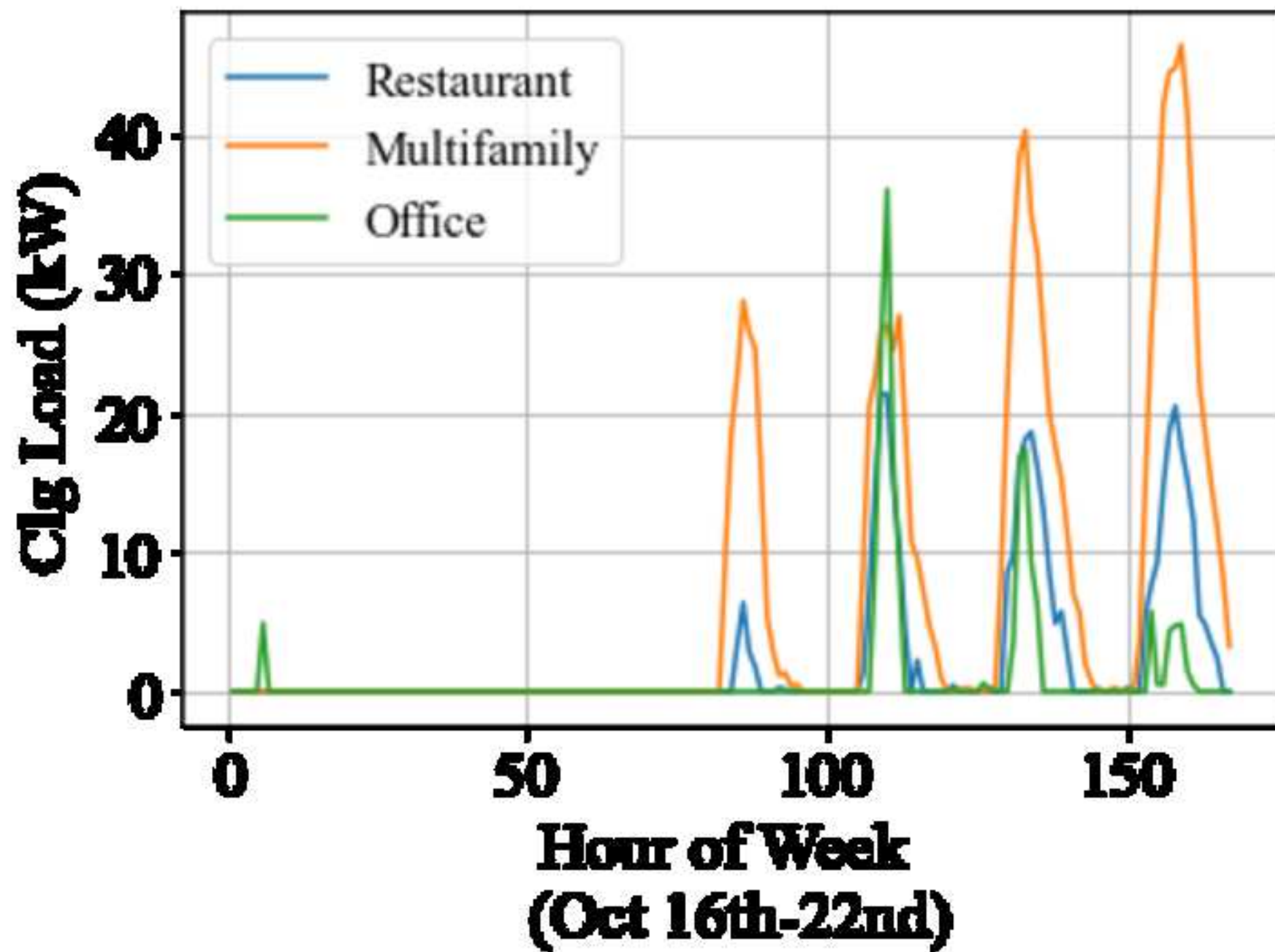


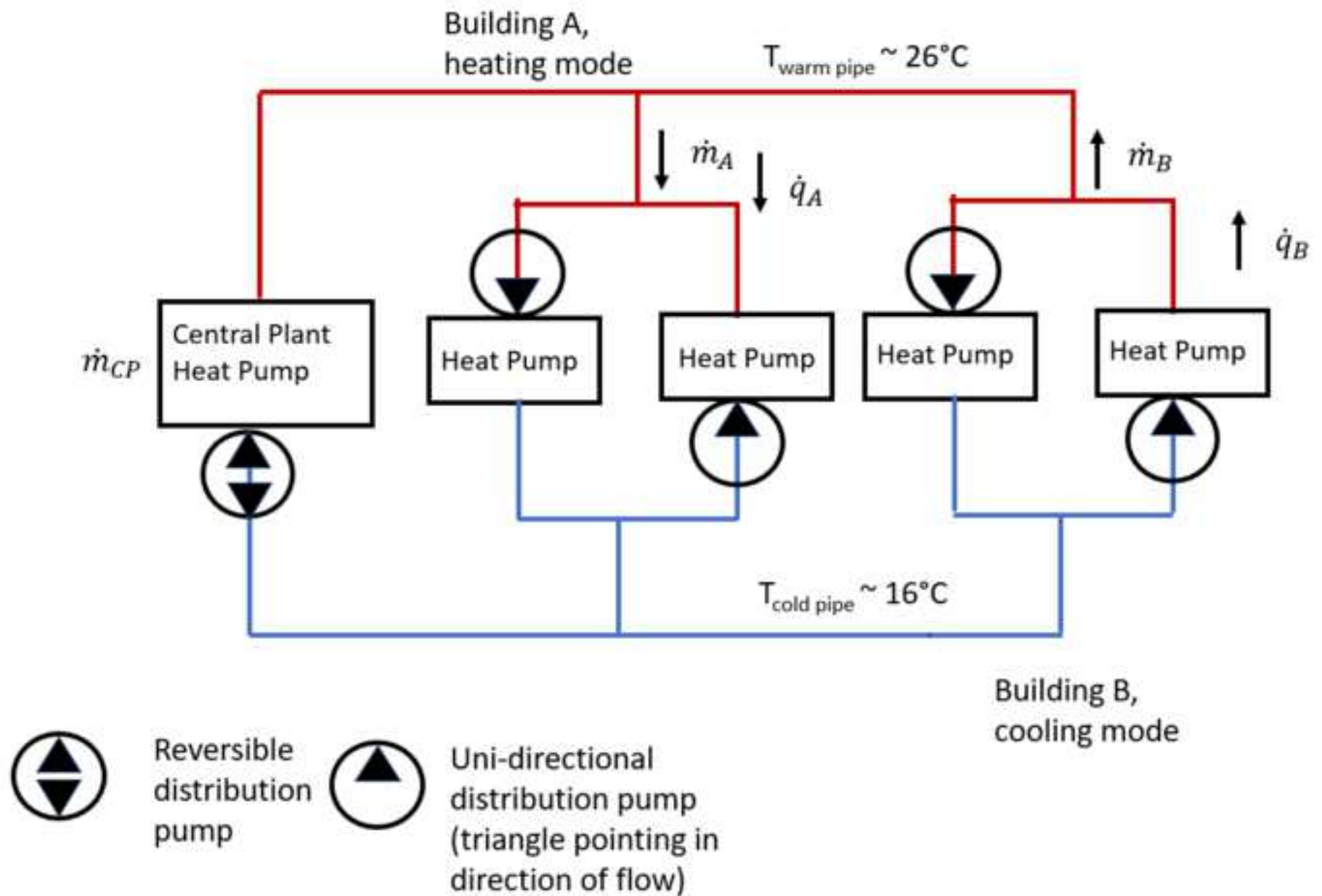


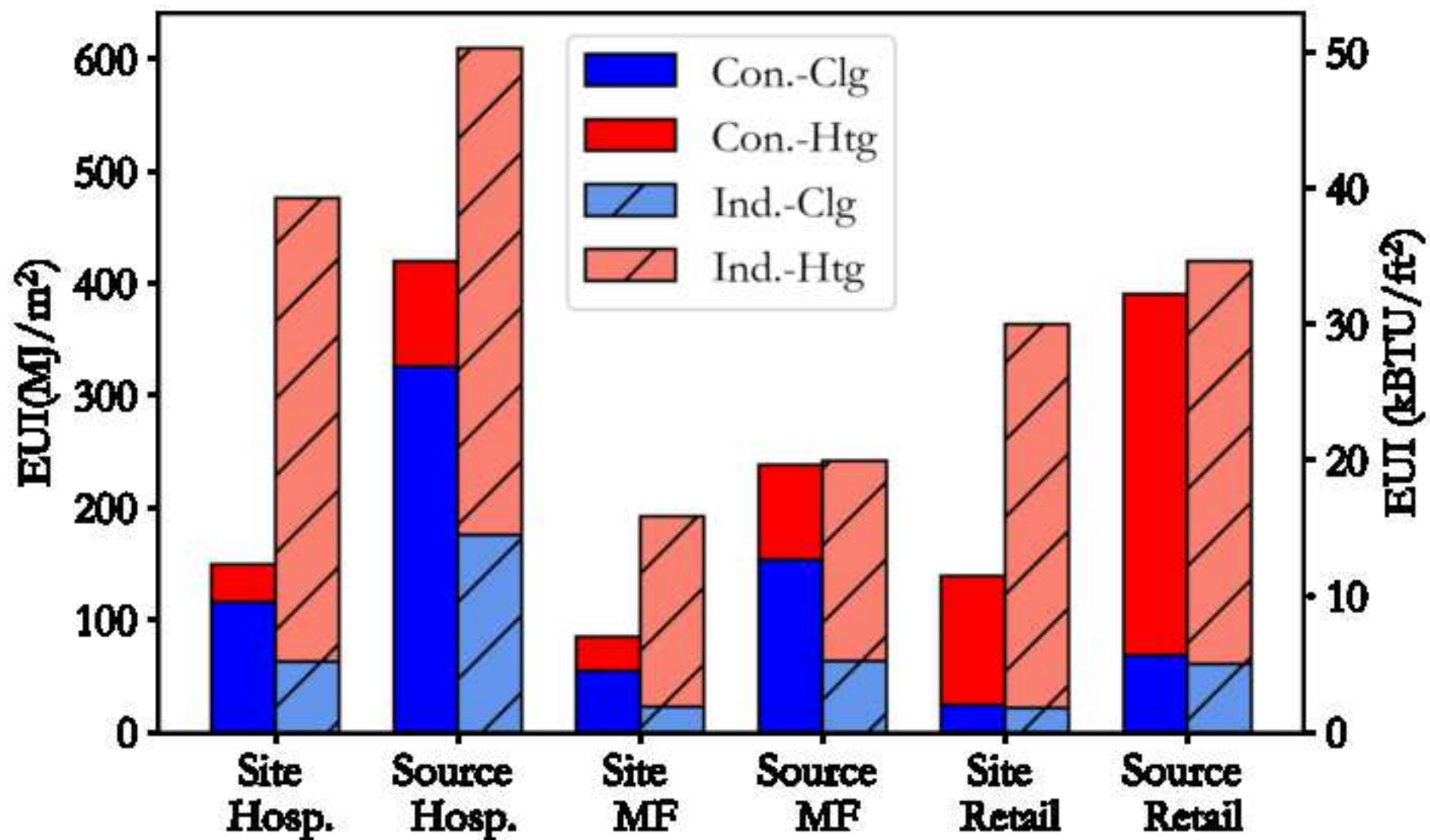


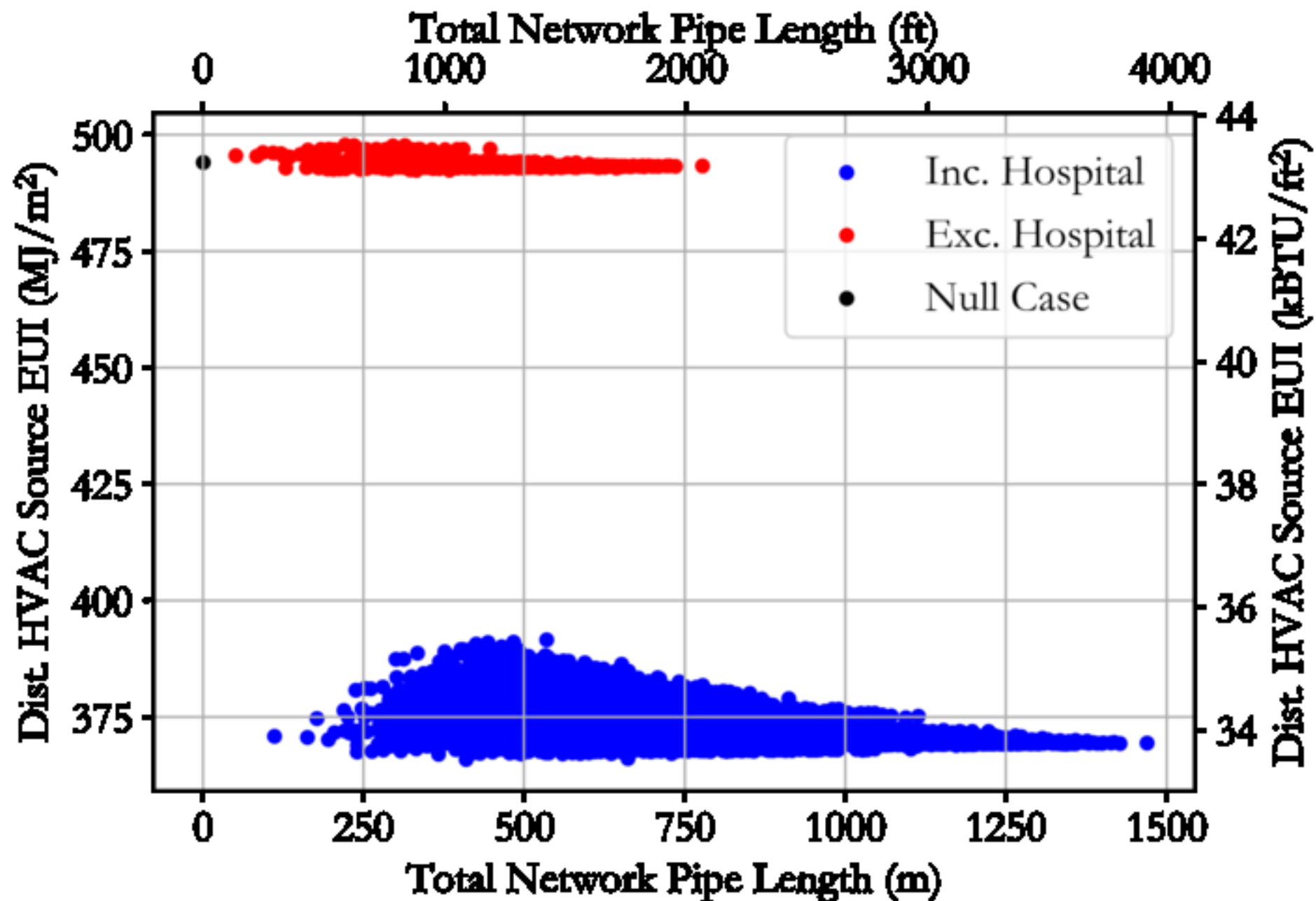


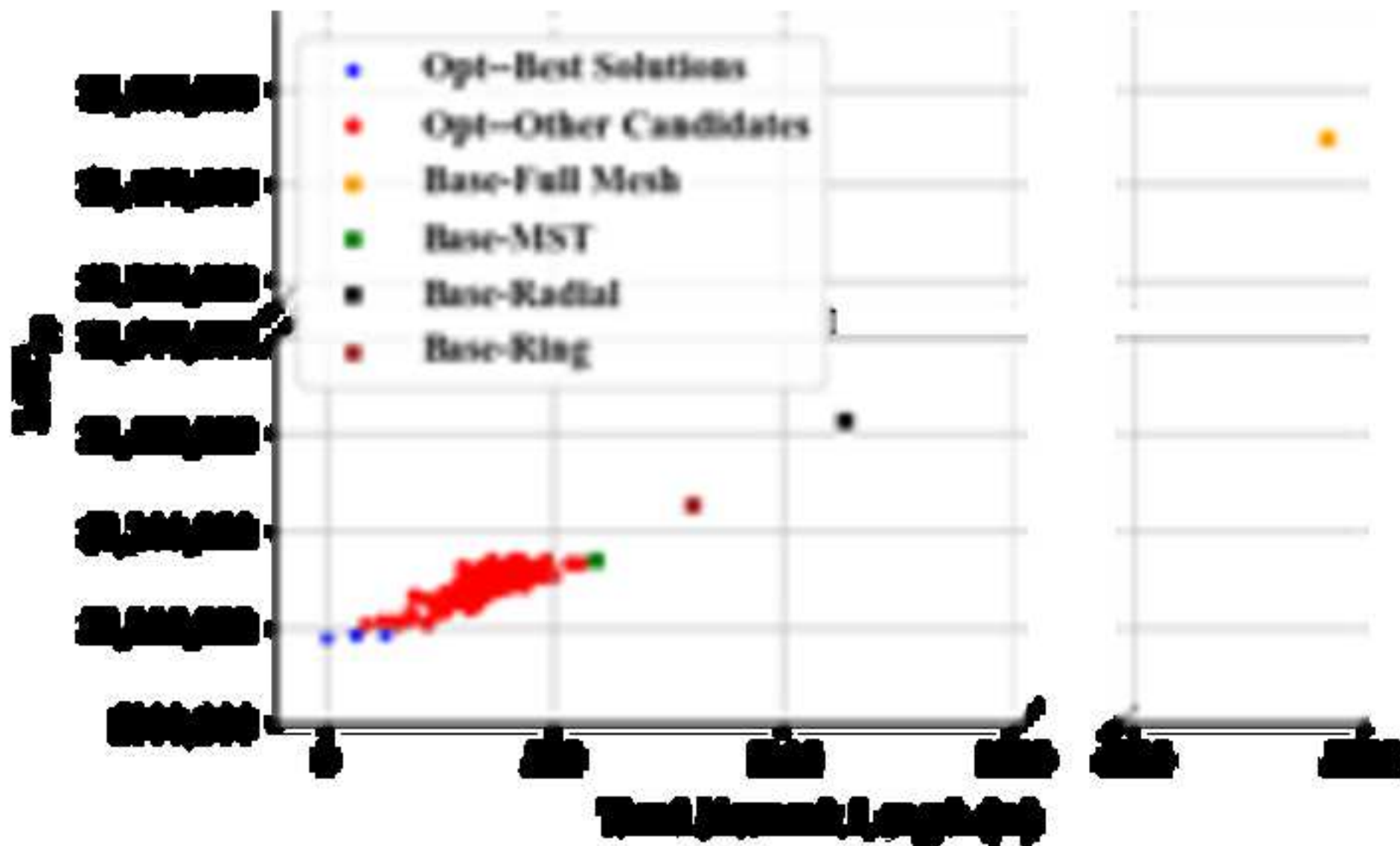


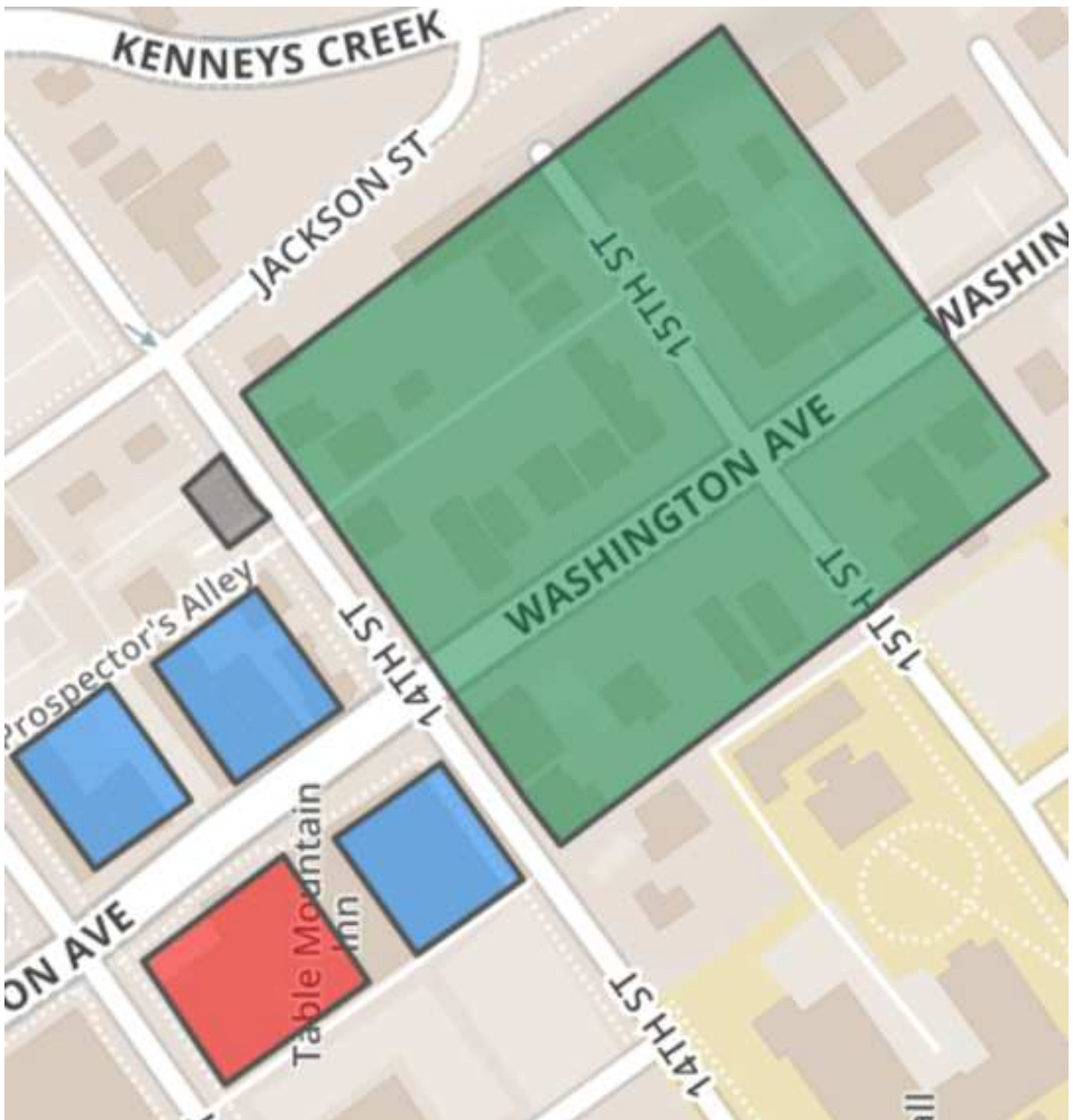


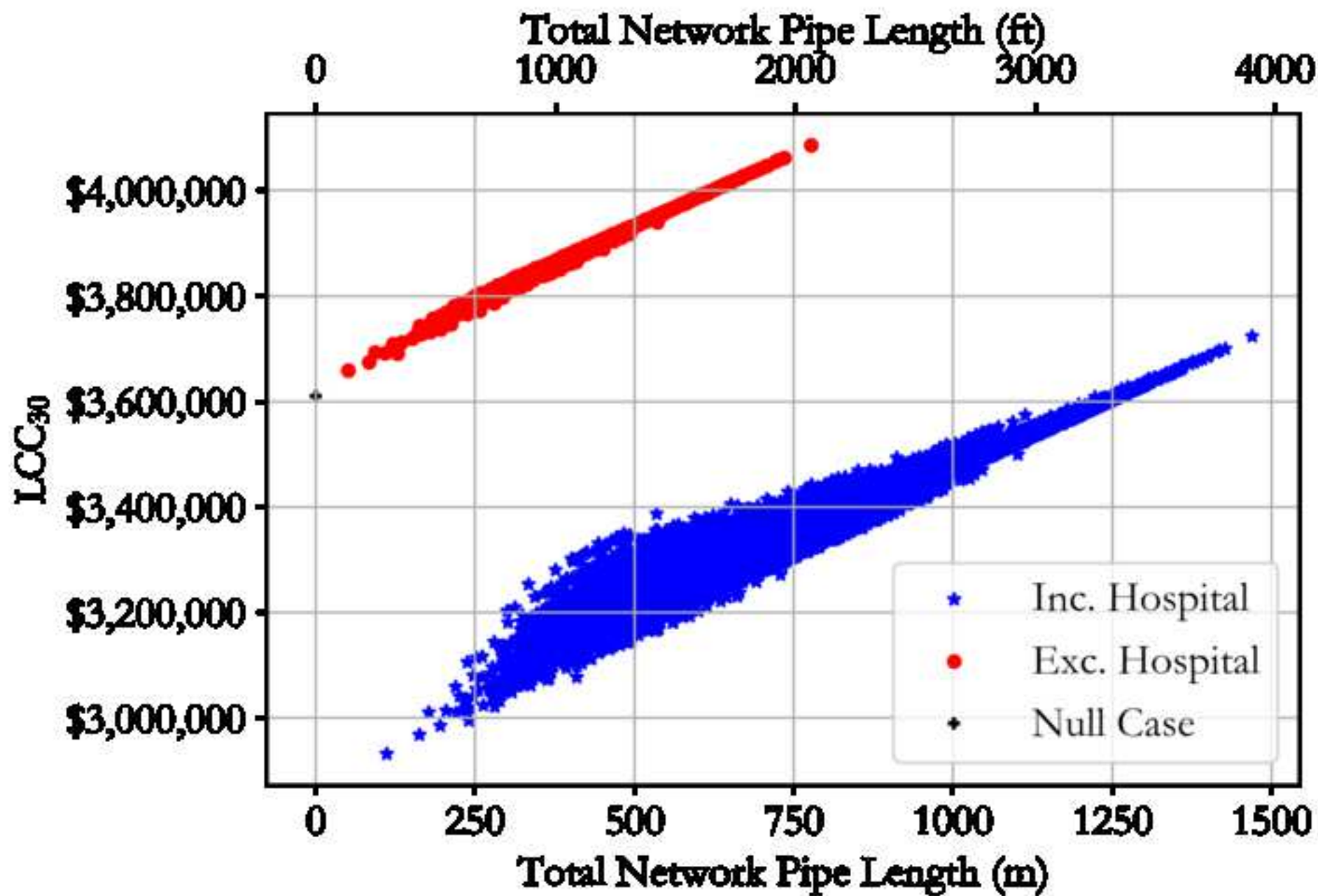


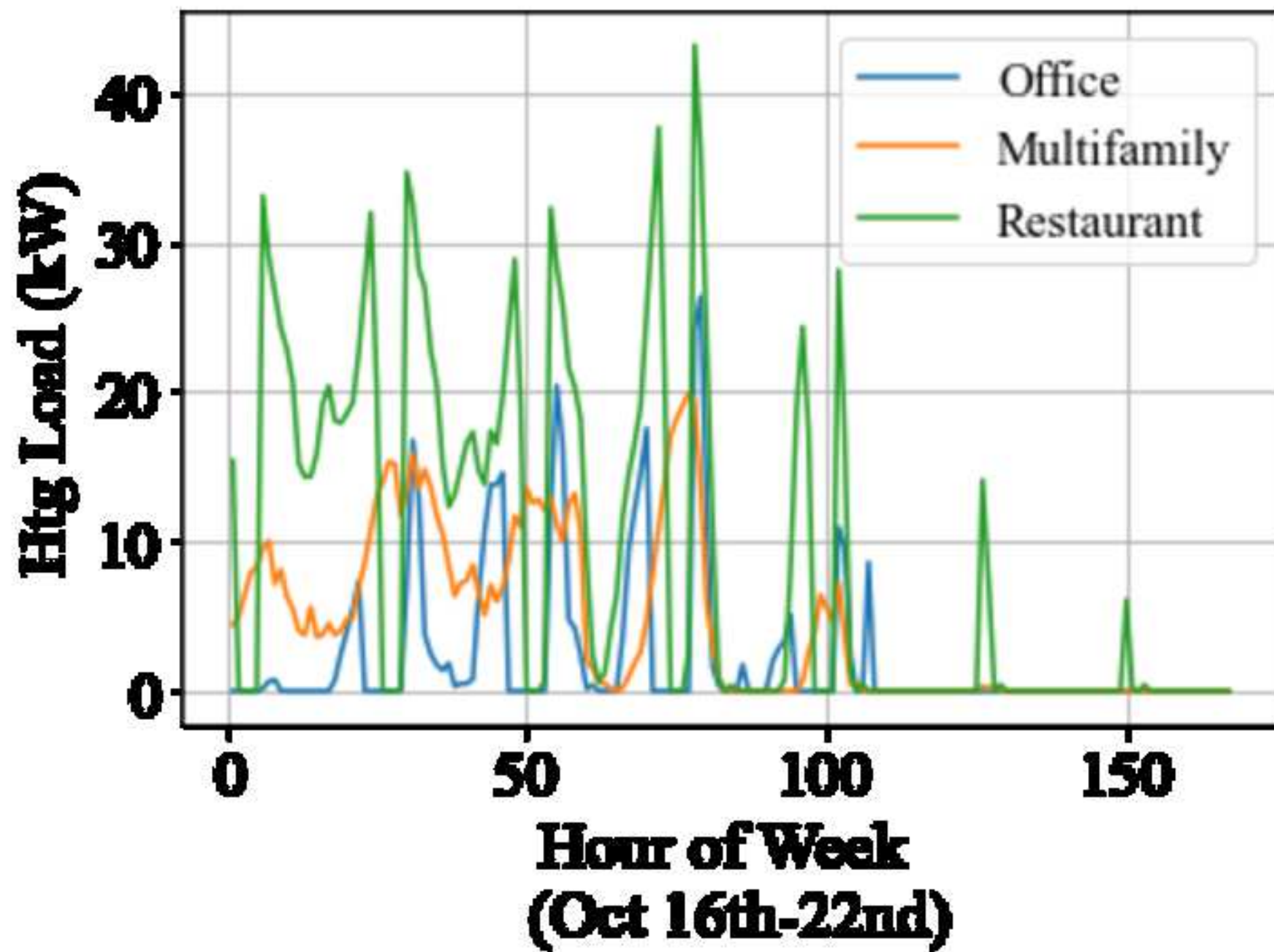


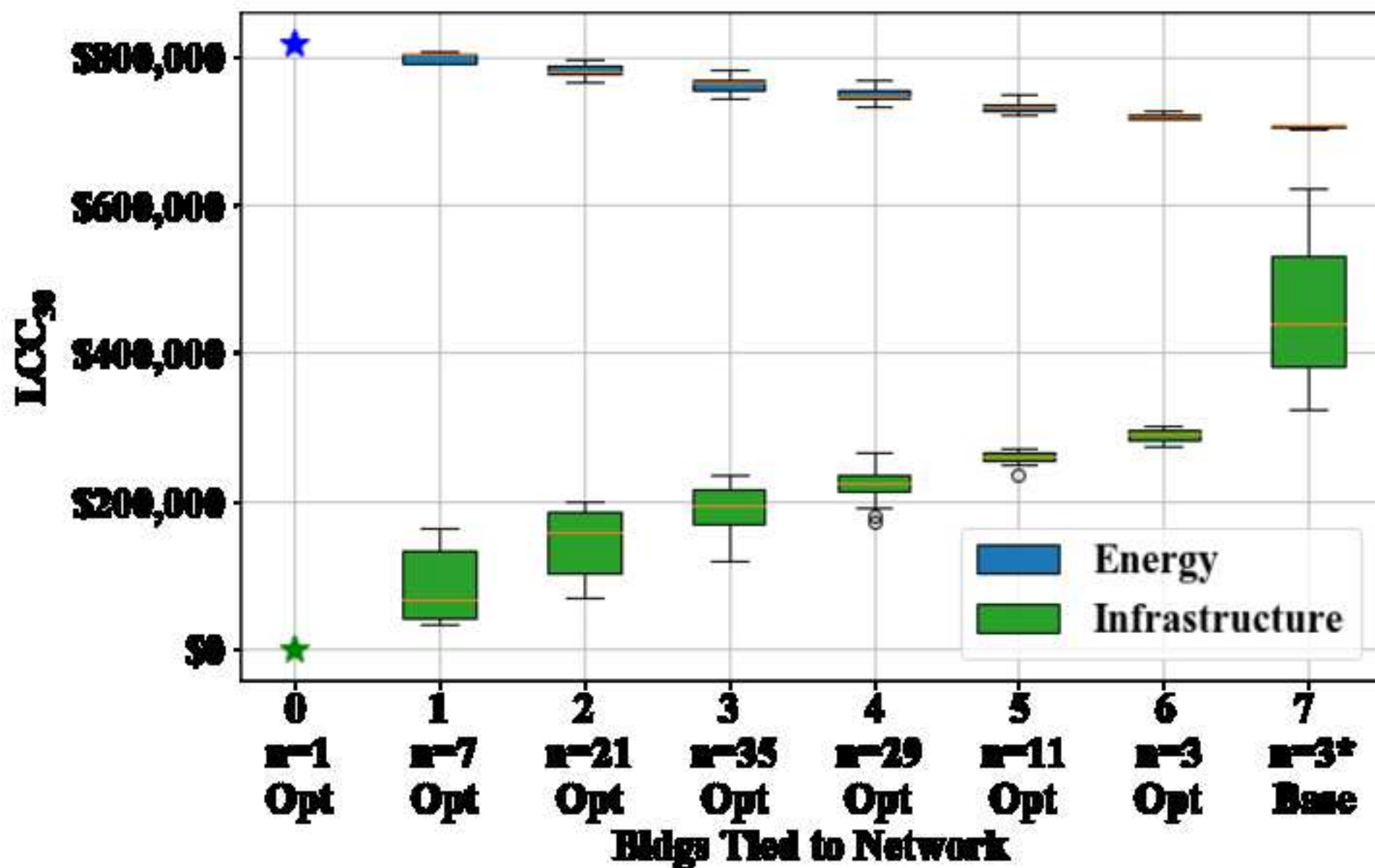


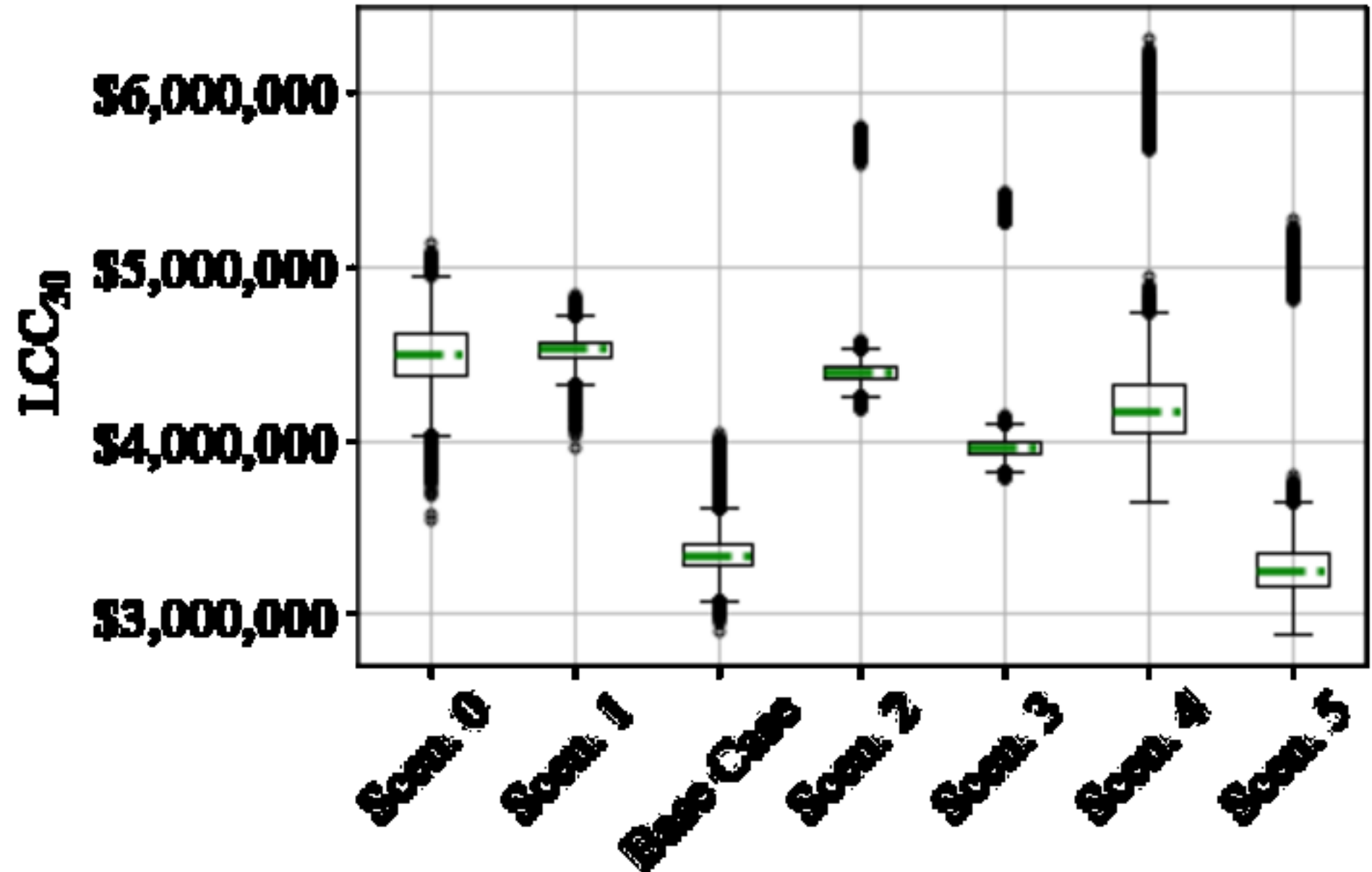


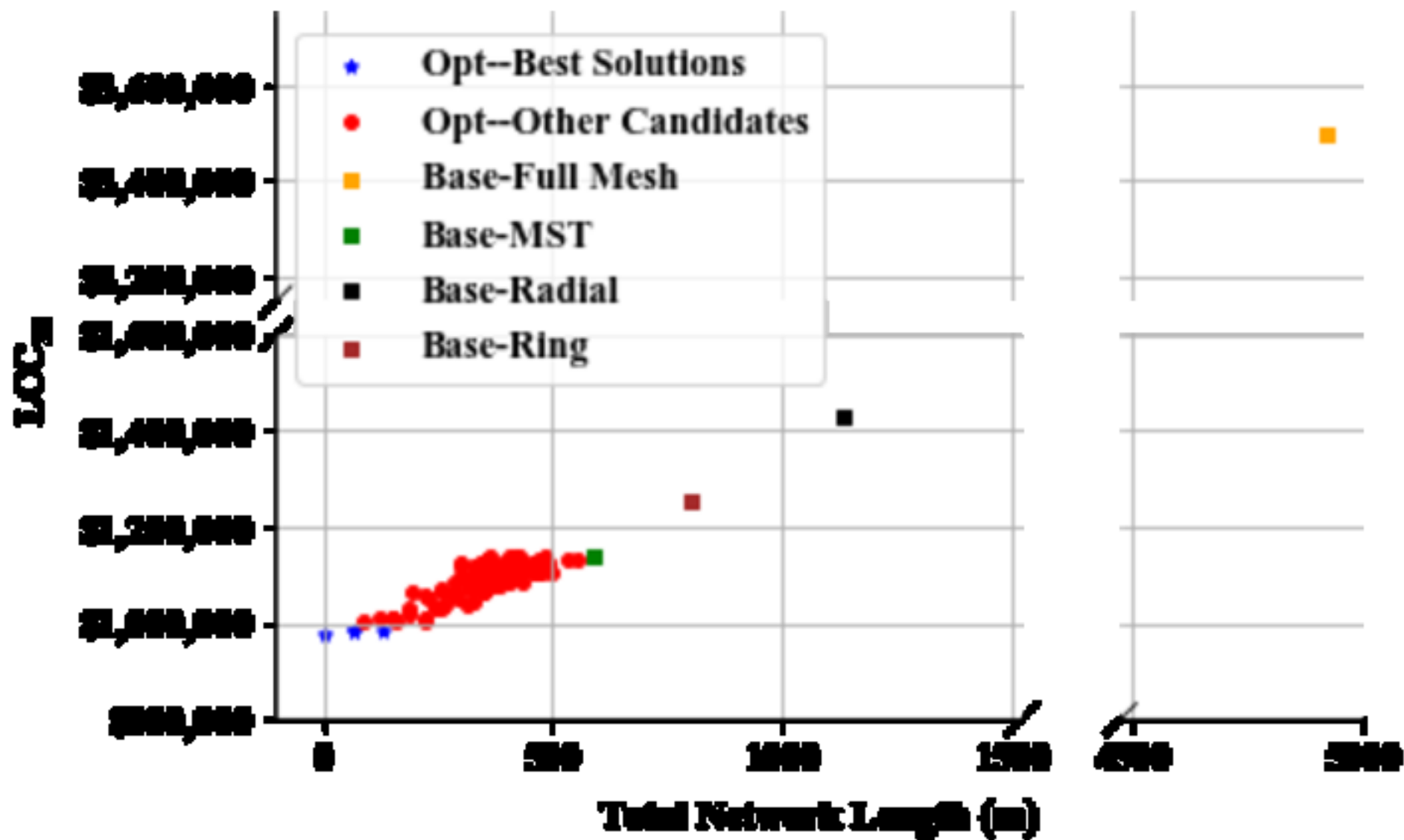


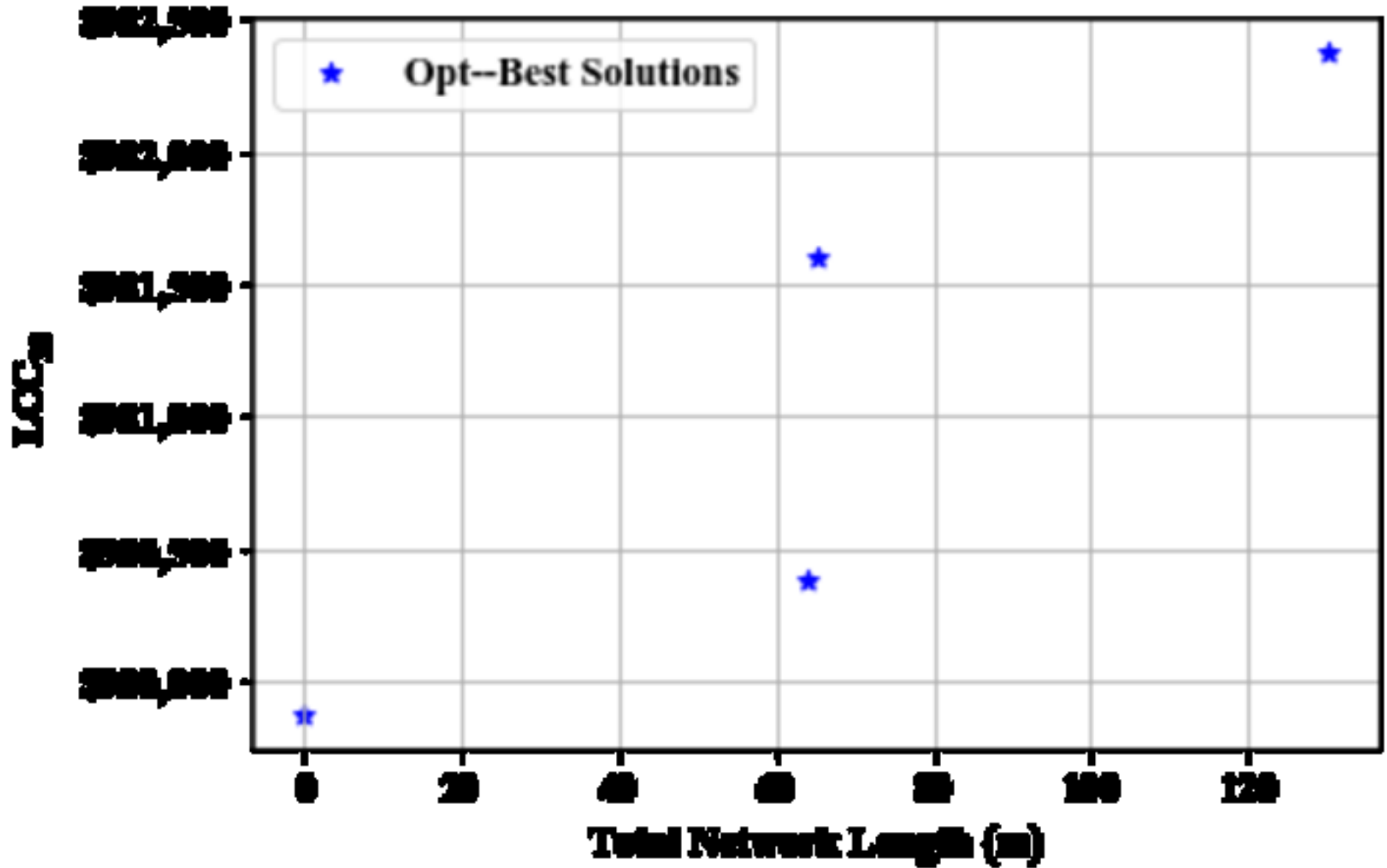


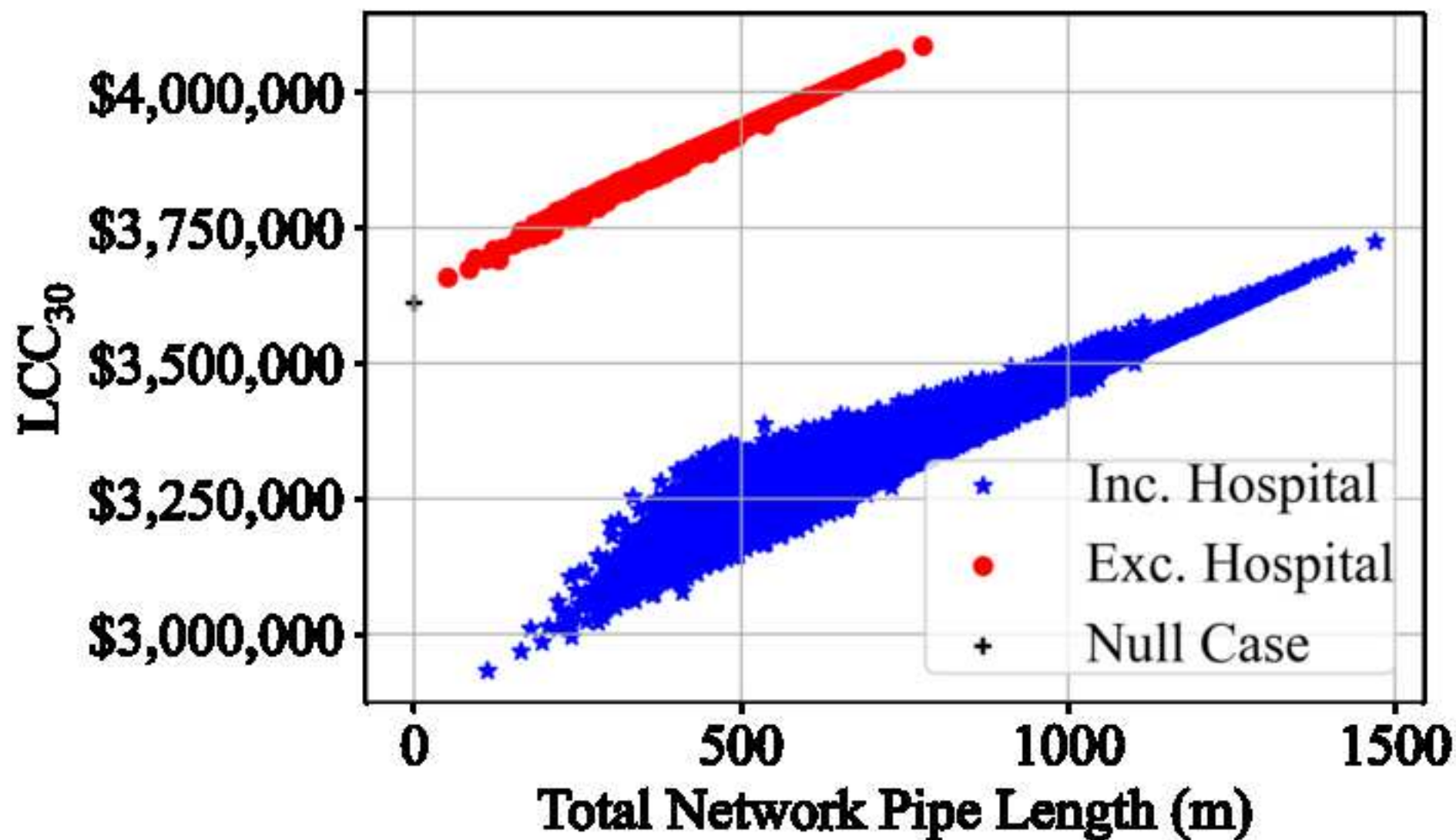


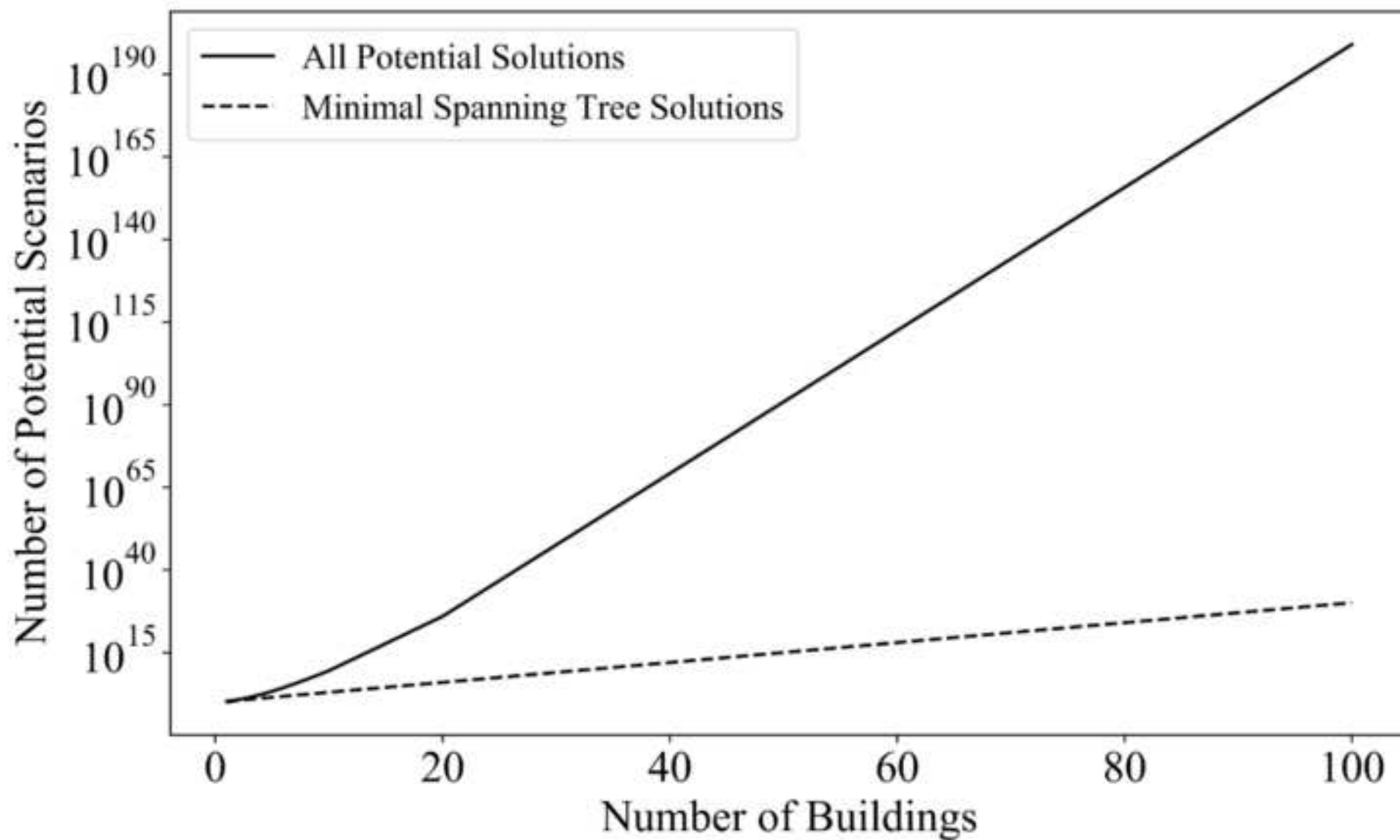


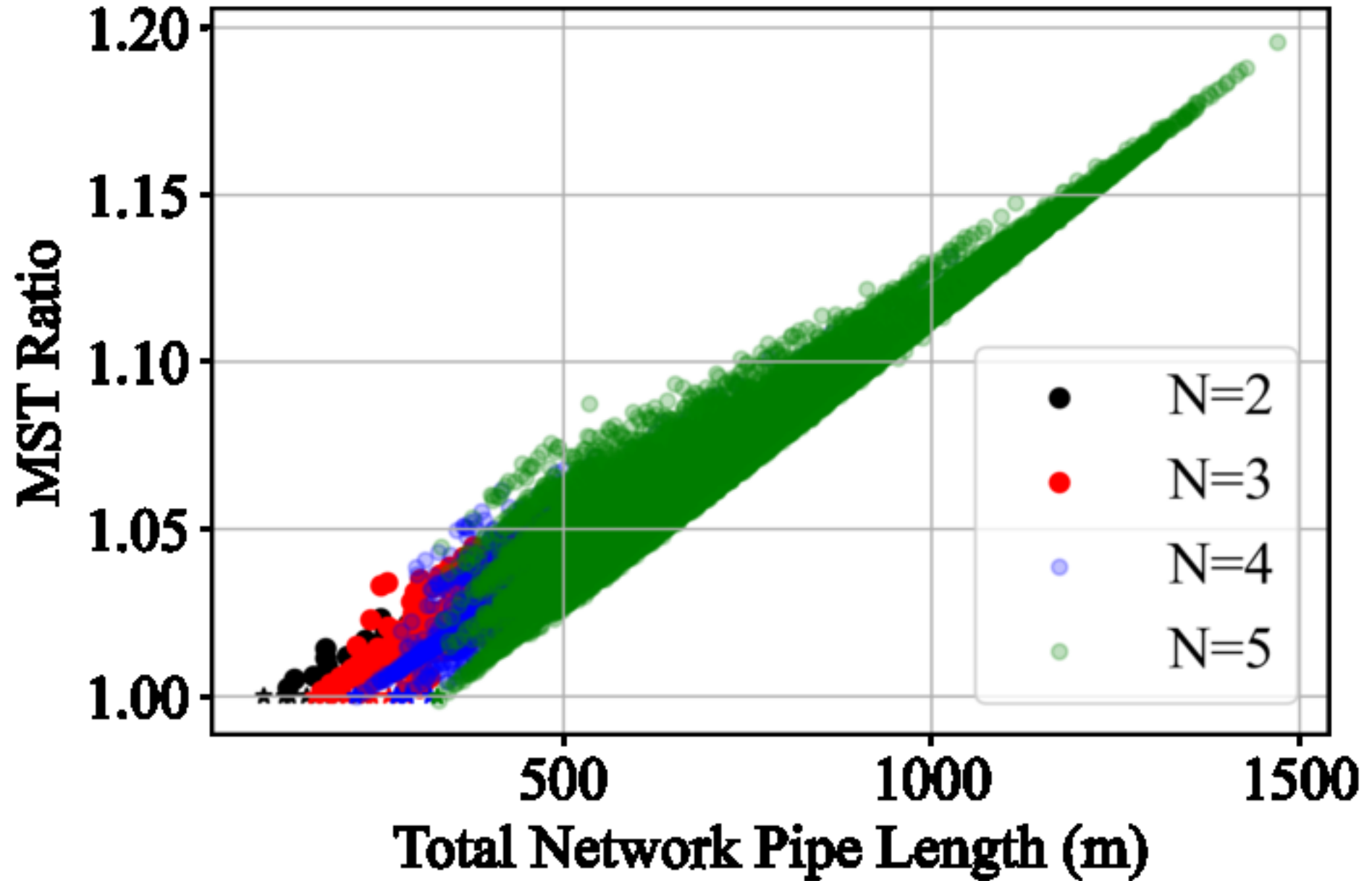


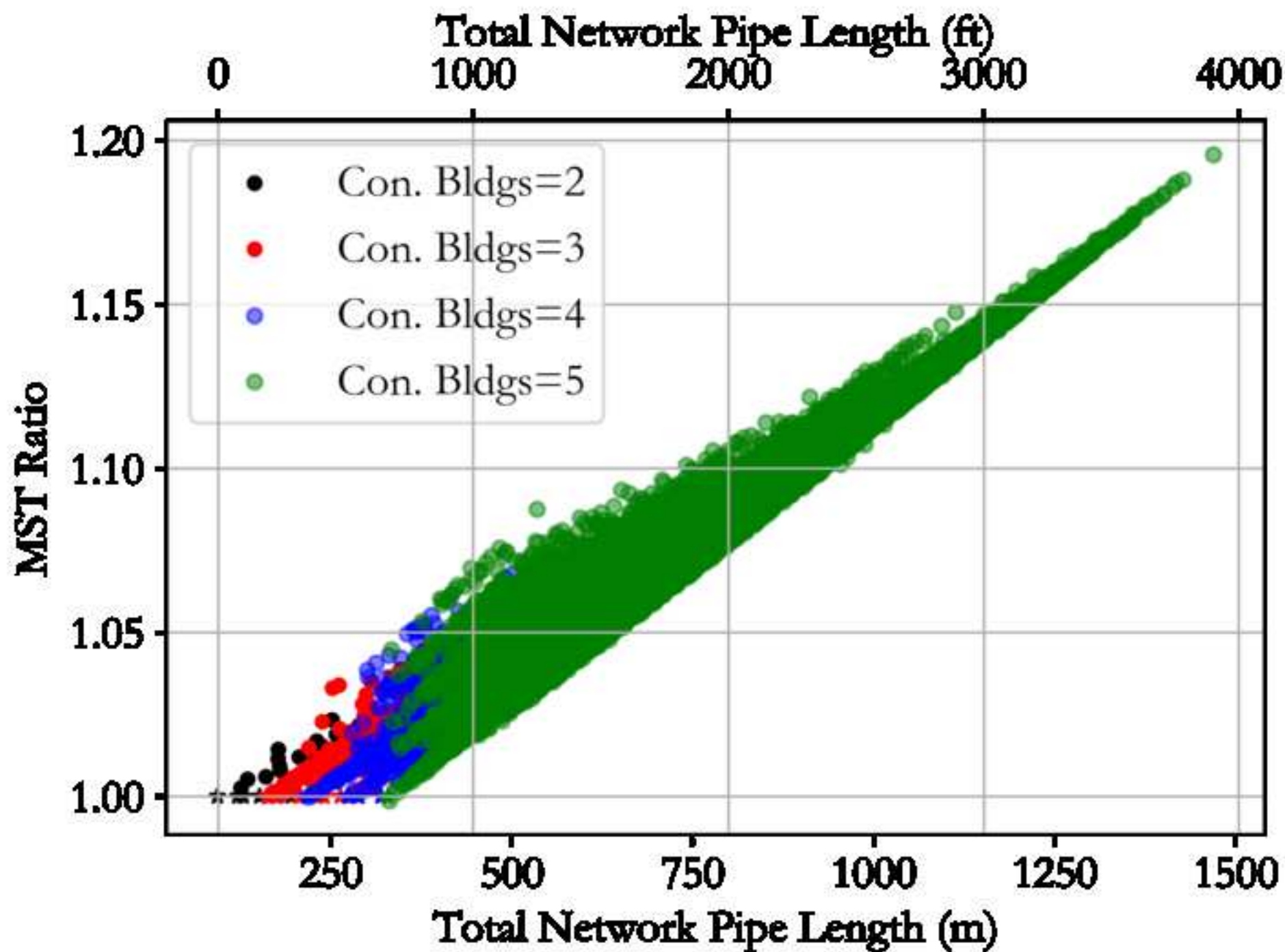


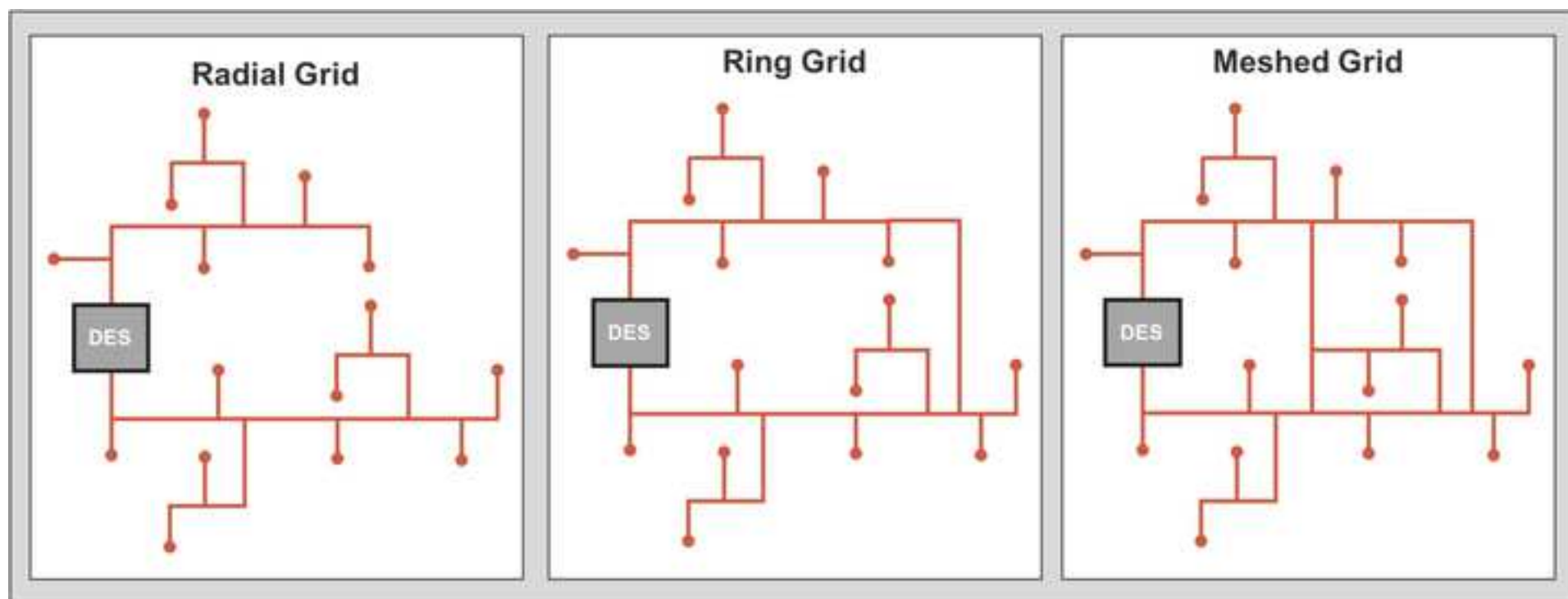


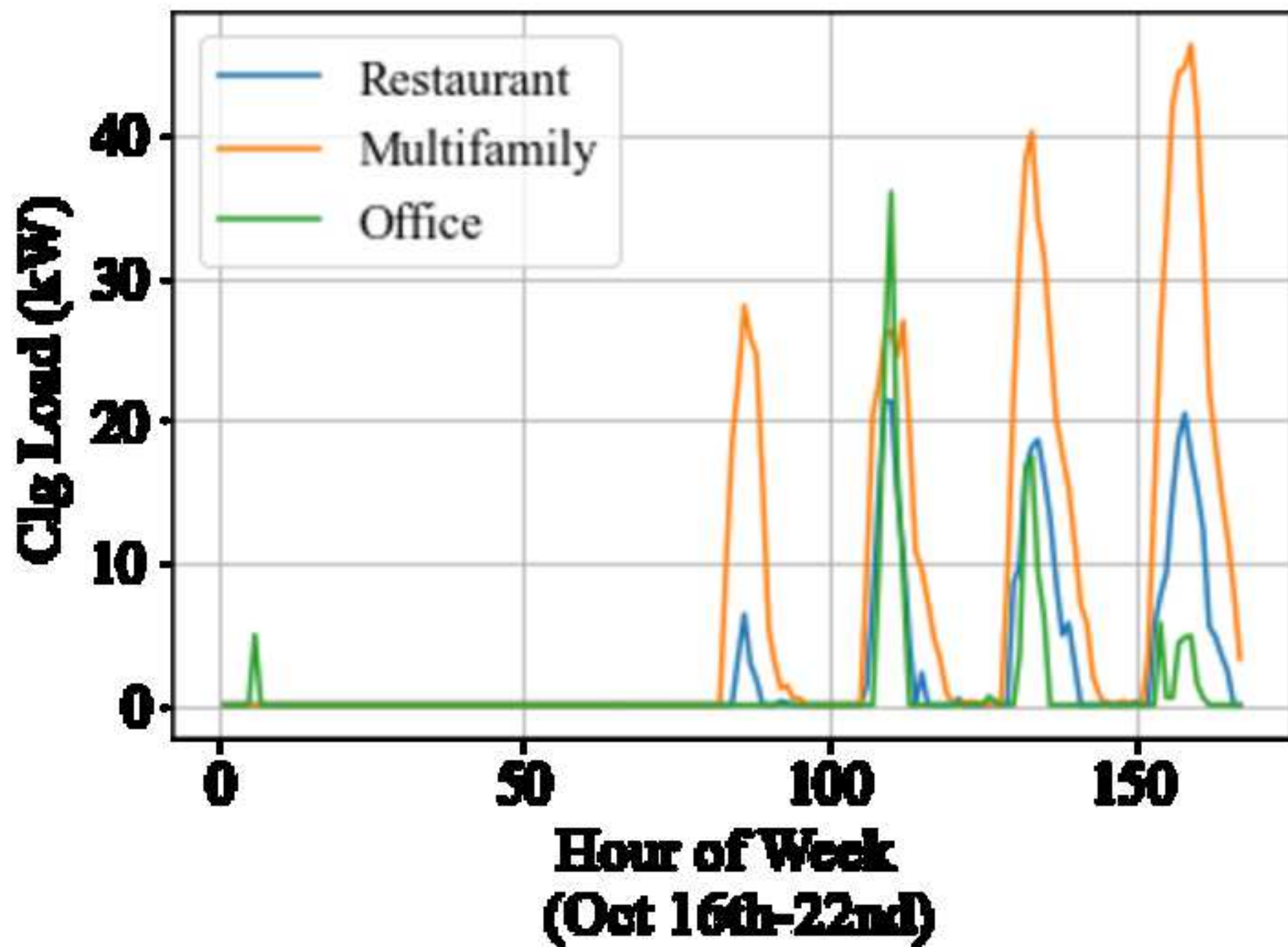


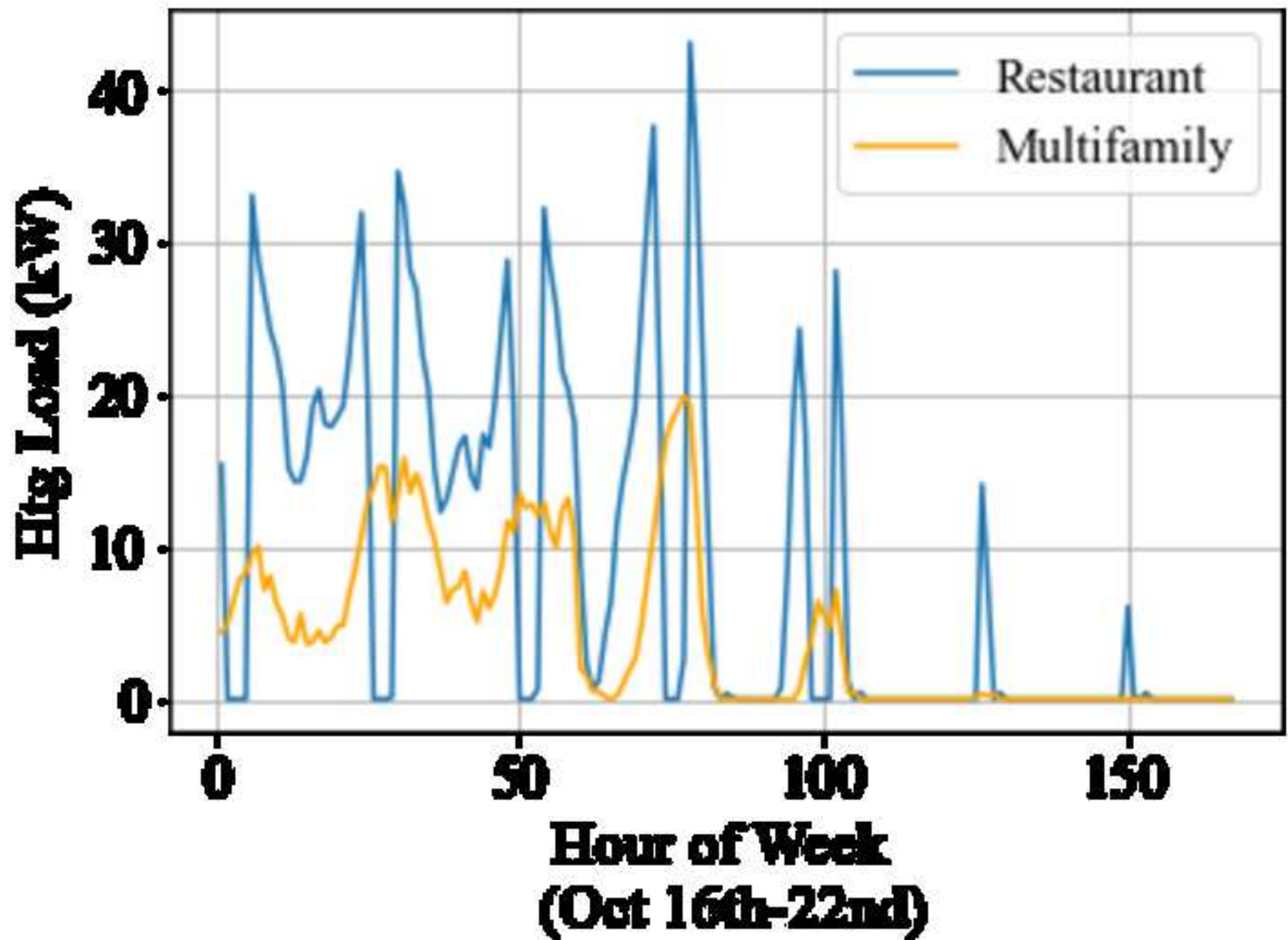


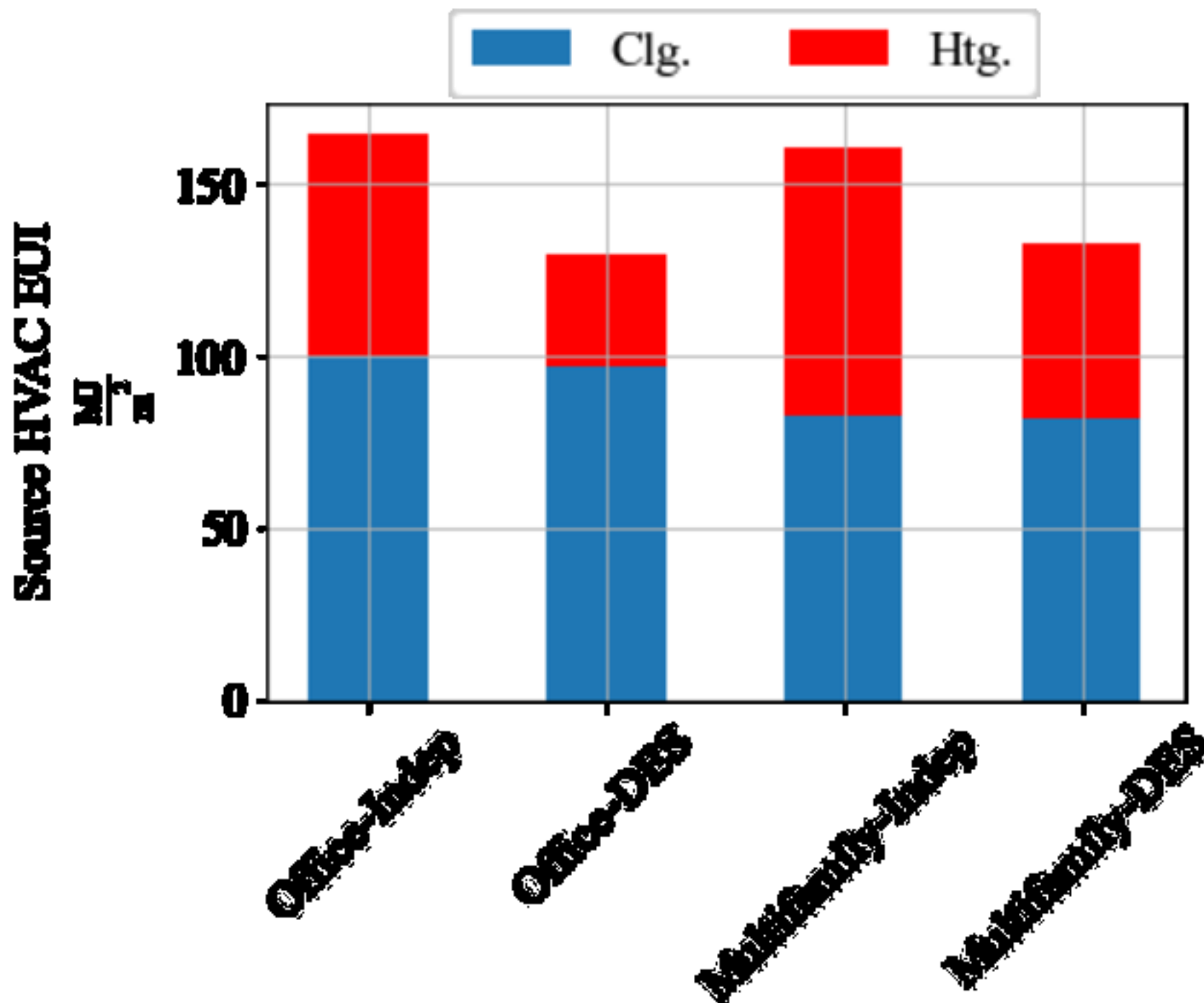


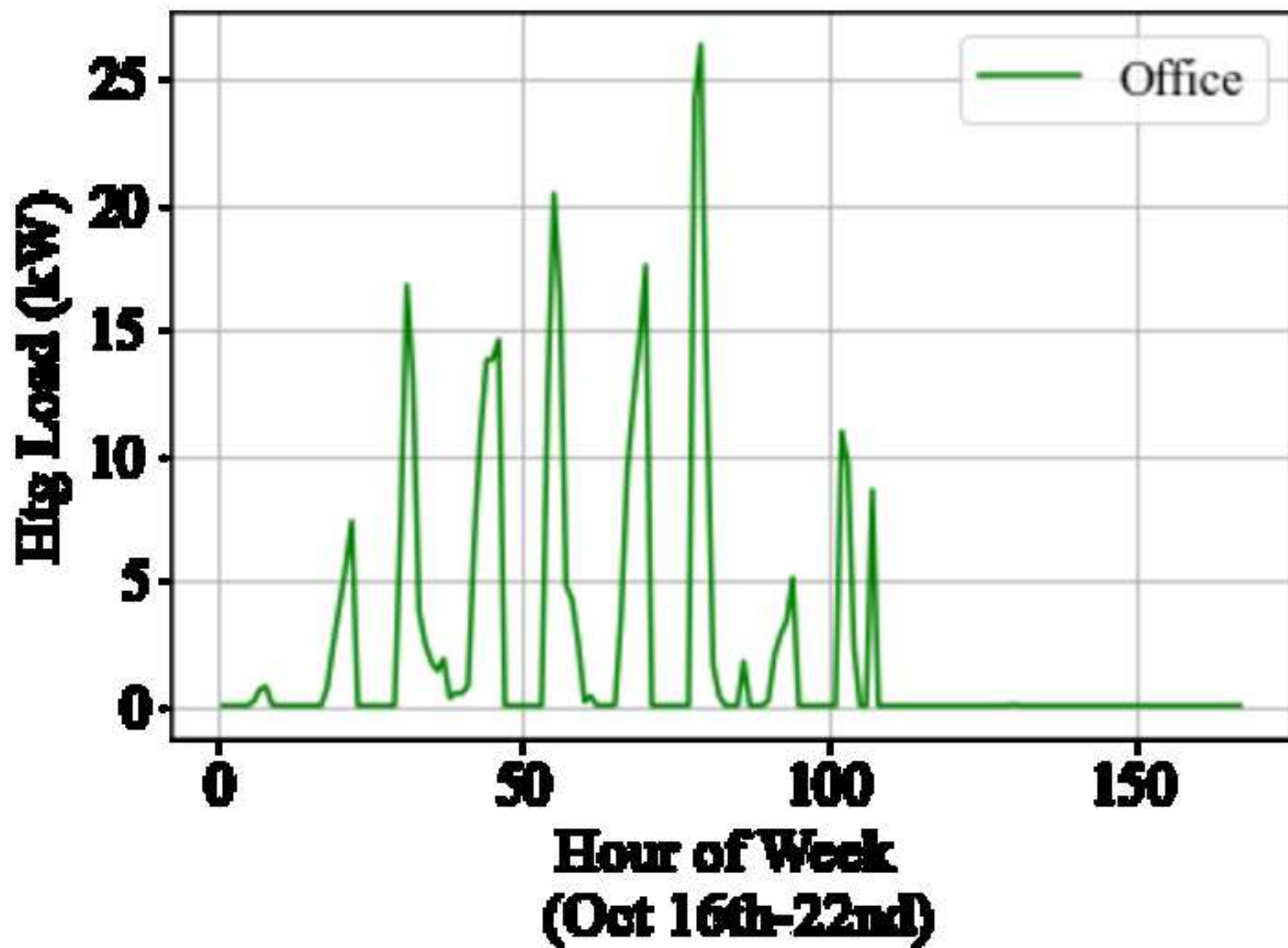


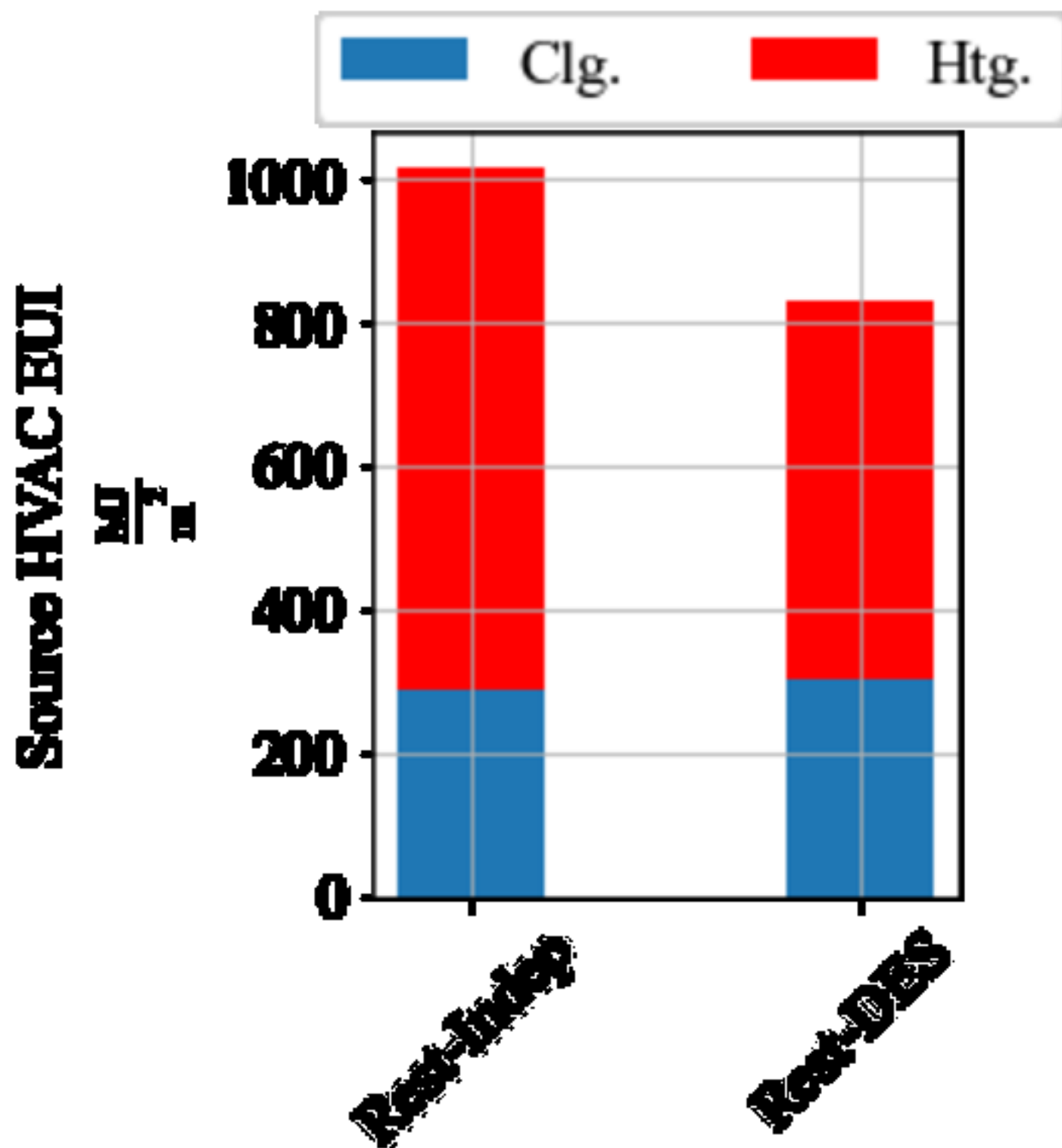












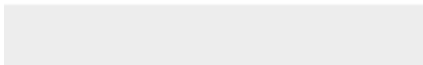
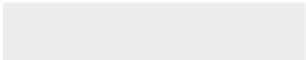


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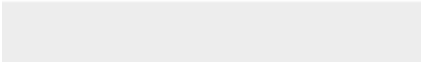
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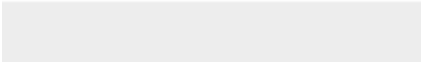
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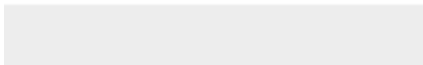
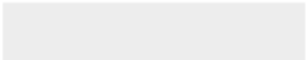
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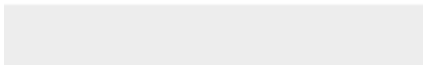
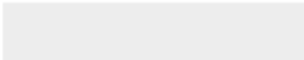
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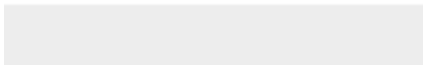
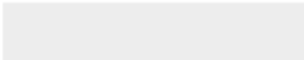


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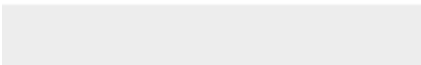


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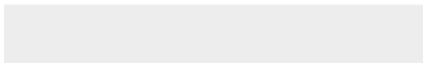
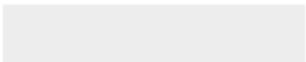


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Amy Allen: Writing- Original draft preparation, conceptualization, formal analysis. Gregor Henze: Conceptualization, writing - review & editing. Kyri Baker: Conceptualization, writing - review & editing. Gregory Pavlak: Conceptualization, writing - review & editing. Michael Murphy: Conceptualization, writing - review & editing, formal analysis.

Declaration of interests

☒ The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

☐ The authors declare the following financial interests/personal relationships which may be considered as potential competing interests:

A rectangular box containing a handwritten signature in black ink. The signature appears to be 'Amy Allen' written in a cursive, flowing style.

(I have signed on behalf of all authors—Amy Allen.)