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2 **A novel multi-objective decision support method for ship energy systems synthesis to enhance**  
3 **sustainability**

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## 10 **Abstract**

11 The shipping industry has been facing great pressure to become more sustainable, emanating from the  
12 increasingly stringent environmental regulations, fuel prices volatility and societal needs. As a result, a variety  
13 of established technologies have been developed aiming to improve the environmental and economic  
14 performance of the modern ship energy systems, however leading to additional challenges for the technology  
15 selection during the design process. This study introduces an innovative method that integrates the economic  
16 and environmental aspects of sustainability to support decisions on the synthesis of the modern ship energy  
17 systems. The method includes a simulation model for predicting the energy systems performance during the ship  
18 lifetime. A genetic algorithm, NSGA-II, is employed to solve the multi-objective combinatorial optimisation  
19 problem of selecting the integrated ship energy systems configuration. The derived results are visualised to  
20 reveal the Pareto front and the trade-offs among the objectives. The method is novel in supporting the synthesis  
21 of the integrated ship energy systems, as it includes both environmental and economic objectives, as well as  
22 evaluates the performance of the systems over an expected operational profile. The developed method is  
23 implemented for the case study of an Aframax oil tanker and the derived results analysis indicates that the ship  
24 energy systems sustainability can be improved by adopting LNG fuel and dual fuel engines technology, as well  
25 as by introducing other emerging technologies like fuel cells and carbon capture, although the latter are  
26 associated with a high cost. It is concluded that the inclusion of both environmental and economic objectives  
27 highlights the trade-offs between more environmentally friendly or cost efficient configurations, thus supporting  
28 the multi-objective decision-making process.

29 **Keywords:** ship energy systems synthesis, multi-objective optimisation, operational profile, Pareto front,  
30 decision support, environmental and economic sustainability

## 31 **1. Introduction**

32 In the past few years, there has been a growing interest to enhance the sustainability of shipping operations.  
33 Shipping has a very important role in the global economy, with 90% of the global trade being transported by  
34 ships [1]. Although ship transportation is considered one of the most environmentally friendly modes of  
35 transport [2], great attention has been placed on improving the environmental sustainability due to the  
36 magnitude of the shipping operations [3,4]. Global shipping accounts for approximately 3% of global CO<sub>2</sub>  
37 emissions [5] and in the case where international shipping was a country it would be ranked the sixth carbon  
38 emissions producer [6]. With regard to other anthropogenic emissions, 4-9% of global SO<sub>x</sub> and 15% of NO<sub>x</sub>  
39 emissions are attributed to shipping operations [7] and their further increase of around 40-50% is anticipated  
40 from 2000 to 2020 [8]. Finally, shipping operations have a major impact on the fossil fuel depletion as more  
41 than 350 million tonnes of fossil fuels per year are consumed [9], corresponding to 5% of the total transportation  
42 sector energy consumption [10].

43 Due to the significant environmental impact of the shipping operations, the environmental regulations  
44 imposed in the shipping industry by the International Maritime Organisation (IMO) as well as national  
45 authorities have become more stringent. Regulations have been implemented to set limits on the emissions of  
46 NO<sub>x</sub> and SO<sub>x</sub> from ship engines and the intention is to become even stricter in the future [11]. IMO introduced  
47 the first maritime energy efficiency regulation in 2011 [11], which is highly related to the reduction of the CO<sub>2</sub>  
48 gas emissions. According to this regulation, all new vessels have to comply with the Energy Efficiency Design  
49 Index (EEDI) [12] and all new and existing ships need to have a specific Ship Energy Efficiency Management  
50 Plan (SEEMP) [13]. However, these measures could not manage to reach the global targets set for CO<sub>2</sub>  
51 emissions [14]. In consequence, a Monitoring, Reporting and Verification (MRV) system for carbon dioxide  
52 emissions was introduced by the EU [15]. Furthermore, it is discussed to introduce shipping operations into the  
53 European Emission Trading Market Scheme (EU ETS) for CO<sub>2</sub> emissions as well as to tax the carbon emissions  
54 [16], in a manner similar to land-based power plants. As a result of this changing regulatory landscape, in order  
55 to achieve compliance with the existing and future regulations, ship-owners will be necessitated to retrofit their  
56 ship energy systems with emission reduction technologies, to use more expensive low-sulphur fuel, or to  
57 employ waste heat recovery technologies, thus increasing the shipping expenses.

58 Therefore, the shipping industry is required to pursue more sustainable operations, due to the environmental  
59 regulatory pressure, as well as the fuel prices volatility and the pressure from society. To satisfy the regulatory  
60 requirements and fulfil the goals for sustainability, a shift to new more environmentally efficient technologies  
61 and greener fuels is required [17]. A variety of existing and emerging technologies can be used to that purpose,  
62 which can though increase the complexity of the modern ship energy systems due to the large number of  
63 potential combinations and alternative technologies and as a result, render the energy systems selection process  
64 even more challenging. Thus, this work proposes a method to support decisions for the selection of ship energy  
65 systems, which aims to improve the environmental and economic sustainability, addresses the multi-component  
66 integrated ship energy systems selection challenge and takes into consideration the operational and regulatory  
67 requirements.

## 68 **1.1 Background**

69 Ship energy systems are employed for covering the ship requirements for energy of various forms. The  
70 major ship energy producers include the propulsion system and the electric and thermal auxiliary machinery that  
71 are responsible for completing the ship mission [18]. The selection of the energy systems components is defined  
72 as the synthesis process. More specifically, the generation of a number of possible alternative systems and the  
73 selection among them according to their performance analysis is part of the synthesis process [19]. Several  
74 studies were published to support decisions on the selection of specific ship technologies, as discussed in the  
75 following paragraphs.

76 An extended number of studies focused on alternative emission reduction solutions to reduce anthropogenic  
77 emissions from ships. In [20] and [21] the authors explored the economic impact and possibilities of SO<sub>x</sub>  
78 emission reduction technologies. The selection of black carbon reduction technologies was addressed in [22].  
79 Other researchers investigated the combination of NO<sub>x</sub> and SO<sub>x</sub> emission abatement technologies, regarding  
80 their economic impact [23–25], whereas the simultaneous usage of NO<sub>x</sub>, SO<sub>x</sub> and CO<sub>2</sub> abatement technologies  
81 were investigated in [26]. Classification societies have compared and discussed the performance of different  
82 alternatives in order to comply with the air pollution regulations for NO<sub>x</sub> and SO<sub>x</sub> emissions [27] or to reduce  
83 the carbon footprint [28]. It is evident that there is a large number of emission reduction alternatives and several  
84 studies focused on assessing the performance of these alternatives regarding their economic impact.

85 The waste heat recovery (WHR) system was also investigated as an alternative to reduce emissions and  
86 improve ship power plant energy efficiency. In a variety of studies, the performance of WHR systems regarding  
87 economic and efficiency criteria was evaluated. Different WHR systems and their potential were reviewed in  
88 [29]. Several authors focused on the evaluation of WHR systems applied to specific ship types; a techno-  
89 economic evaluation of WHR system was performed in [30,31], whereas the energy and exergy efficiency of a  
90 WHR was evaluated in [32]. The techno-economic performance of an Organic Rankine Cycle system (ORC)  
91 was investigated in [33–35]. Simulating the ORC performance in order to optimise the energy efficiency was  
92 reported in [36]. Studies on the optimisation of an ORC in order to improve the system efficiency were reported  
93 in [37–39].

94 The evaluation of alternative propulsion systems and their integration with emission reduction or WHR  
95 technologies, in order to reduce the environmental and economic impact of ships, have been extensively  
96 discussed. The introduction of the LNG fuel for propulsion, in order to reduce CO<sub>2</sub> emissions and operational  
97 costs, has been addressed in [40]. The performance of a two-stroke dual fuel engine with respect of the NO<sub>x</sub> and  
98 CO<sub>2</sub> emissions reduction was investigated in [41]. The energy and exergy analysis of a turbo-generator and  
99 steam turbine of an LNG carrier in order to improve the systems energy efficiency was discussed in [42]. The  
100 technical and economic optimisation of the integrated power plant configuration of an LNG carrier that includes  
101 a WHR, taking into account the weather conditions throughout the ship voyage was presented in [43]. The  
102 techno-economic performance of alternative propulsion systems for Ferries and RoRo ships including dual fuel  
103 engines and Selective Catalytic Reduction (SCR) was investigated in [44]. Regarding the carbon footprint  
104 reduction, alternative propulsion systems for a tanker, including dual fuel engines and a WHR system were  
105 examined in [45]. In [46], the optimisation of a cruise ship propulsion system with a gas turbine and heat  
106 recovery for steam and electric production was addressed. The economic optimisation of emission control  
107 technologies simultaneously with the selection of the main engine was also analysed in [47]. Proposing more  
108 innovative propulsion systems, an optimisation of the fuel consumption and the installation weight of a hybrid  
109 propulsion system was performed in [48], the load allocation of a hybrid propulsion system on a cruise ship was  
110 optimised in [49], whereas the economic optimisation of an electric propulsion system was addressed in [50].

111 Finally, innovative technologies that provide electric and thermal auxiliary power leading to an improved  
112 environmental impact have been investigated. The possibility of employing fuel cell systems as an auxiliary  
113 electric power in order to reduce the ship emissions was investigated by [51–53]. In addition, the option of

114 thermal storage on board ships was discussed in [54], whereas the optimal photovoltaic system and the analysis  
115 of solar energy on board ships were addressed in [55] and [56], respectively.

116 Several studies aimed at improving the environmental impact of the ship energy systems by introducing  
117 emission reduction technologies, energy efficient technologies, alternative fuels and emerging auxiliary  
118 technologies. However, there is a lack in a systematic way of including the environmental objectives in the  
119 optimisation process along with the economic objectives. Improving the sustainable performance of energy  
120 systems requires adopting an approach that integrates the techno-economic and environmental assessment  
121 [57,58]. Thus, the existing studies on ship energy systems synthesis lack in methods that integrate both aspects  
122 of sustainability and therefore, ultimately fail to improve simultaneously both the environmental and economic  
123 sustainability performance of ship energy systems.

124 The ship energy systems include a large number of components, which increase their complexity. In the  
125 existing literature, studies have focused on the assessment of one or two specific components, a specific  
126 predefined propulsion system or in other cases performed a comparative assessment of a limited number of  
127 potential alternatives. However, an approach that addresses the integrated ship energy systems is required due to  
128 the importance of the interconnections among the various sub-systems, the considerable number of components  
129 and their non-linear interrelations [59]. Thus, a shift from component level to a more integrated approach has to  
130 be adopted in order to address the system complexity, which is also recognised as a necessary step for  
131 sustainable design [60]. In addition, since the systems are highly interactive, improving the performance of one  
132 subsystem may lead to deteriorating another subsystem performance. It can therefore be inferred that an  
133 integrated approach is required for the optimal synthesis and design of the ship energy systems.

134 According to the traditional ship energy systems synthesis techniques, the machinery is selected according  
135 to previous experience or empirical criteria [46] aiming to address only one design point based on the nominal  
136 power; thus, disregarding the variable operational profile and the off-design conditions that characterise the real-  
137 life operation of ships. However, the ship during her lifetime follows a varying operational profile [61], usually  
138 far away from the design point. In a specific case examined in the literature, even though the design speed of the  
139 vessel was 21 knots, the ship-board measurements showed that the ship did not even reach 16 knots during her  
140 operation [34]. In general, the ship operational profile differs significantly from the design points [62]. This  
141 leads to underuse of the systems and as a consequence, to higher costs, potential reliability and safety issues  
142 [63], as well as less efficient operation. It is proposed that in order to accurately assess the performance of a

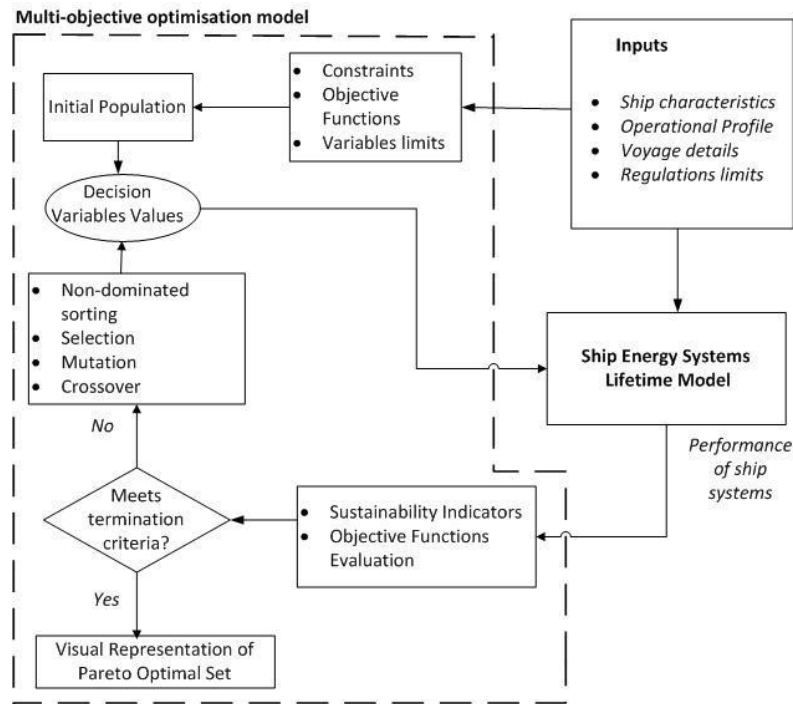
143 system in the design phase, the expected operational profile of the ship has to be employed [64]. Therefore, it is  
144 significant to incorporate the expected operational profile in the synthesis process of the ship energy systems, in  
145 order to accurately assess the actual performance of the systems.

146 Based on the preceding discussion, two main gaps were identified in the literature. Firstly optimising the  
147 ship energy systems synthesis considering the environmental and economic aspects of sustainability  
148 simultaneously with the lifetime varying operational profile of ship systems and secondly, the lack of a method  
149 capable of handling the generic energy ship systems synthesis problem challenges due to the variety of available  
150 technologies and their interconnections. This work aims at addressing these gaps by proposing a novel method  
151 to support decisions for the ship energy systems synthesis. To this purpose, a multi-objective method is  
152 proposed that simultaneously considers and optimises environmental and economic objectives. In addition, a  
153 simulation model of the integrated ship energy systems performance including all major systems is developed  
154 and the evaluation of the ship energy systems is performed based on an expected operational profile.

155 The rest of the paper is organised as follows. The method developed in this work to support decisions for  
156 ship energy systems synthesis is introduced in Section 2, which is subsequently applied to a case study, in order  
157 to demonstrate its applicability in Section 3. The investigated case study results from the application are  
158 discussed in Section 4 and the concluding remarks are presented in Section 5.

## 159 **2. Method for supporting decisions on ship energy systems synthesis**

160 A method is developed that supports the decision maker to make an informed decision regarding the  
161 integrated ship energy systems synthesis. The proposed method includes a simulation tool and a multi-objective  
162 optimisation algorithm and is illustrated in the flowchart shown in Figure 1. The ship energy systems  
163 performance is estimated through mathematical modelling and is subsequently employed to obtain the specific  
164 parameters required for the calculation of the environmental and economic indicators, leading to the  
165 sustainability assessment of the investigated ship energy systems. A multi-objective optimisation algorithm is  
166 finally used to simultaneously address the environmental and economic objectives providing a Pareto front of  
167 optimum solutions that allows understanding the trade-offs between the objectives.



168

169 **Figure 1 Flowchart of the developed method for optimal ship energy systems synthesis**

170 Based on the input and the variables ranges, the initial population is generated by the optimisation  
 171 algorithm. Subsequently, according to the decision variable values and the provided input parameters the  
 172 simulation model estimates the ship energy systems lifetime performance and uses it to calculate the indicators  
 173 for the assessment of the ship energy systems environmental and economic sustainability. These indicators form  
 174 the objective functions that are then evaluated. Following the evaluation of the objective functions, the  
 175 individual solutions are ranked and the selection, crossover and mutation operators are applied. The process is  
 176 repeated until the termination criteria are met and the Pareto front is visualised.

177 The optimisation requires a number of input parameters, regarding the ship characteristics (ship type and  
 178 deadweight), as well as the voyage details including the period of time the vessel sails in Emission Control  
 179 Areas (ECA) and the expected operating profile. The limits of the regulated emissions [65,66] and the minimum  
 180 propulsion power requirement [67] are calculated according to IMO regulations.

181 The inclusion of the operational profile is necessary in order to simulate the lifetime performance of the  
 182 ship energy systems. The operational profile represents the ship mechanical, thermal, and electric power  
 183 demands throughout the vessel lifetime. It is described through distinct operational phases, as have been  
 184 captured from data observed on board. These operational phases are expressed through the power needed and



185 their duration, also defined as the frequency of occurrence. The developed method was implemented into a  
186 computational model in Matlab.

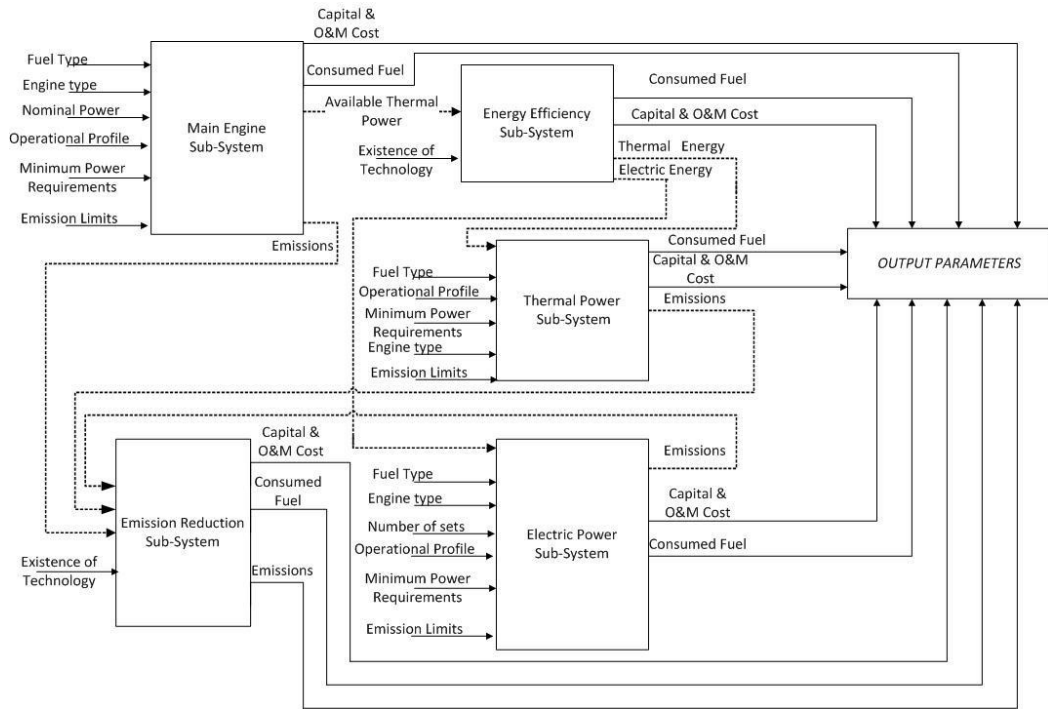
## 187 **2.1 Mathematical modelling and simulation of ship energy systems**

188 Appropriate models were developed to simulate the performance and the behaviour of the investigated  
189 system. Empirical models, also called black box, are often used since they do not require knowledge of the  
190 system physical laws and can predict the output using a limited number of input parameters [59]. The empirical  
191 models approach is selected as the most appropriate in this study due to the following reasons:

- 192 • Only high-level details are needed, because a large number of technologies is modelled, including novel  
193 technologies that are not yet established and their exact performance is not known.
- 194 • There is interest only on the gaseous emissions and the cost of the systems.
- 195 • An exact representation of reality is not needed for the assessment of energy systems at the design stage.
- 196 • Only steady-state conditions are studied.

197 A ship is considered a complex system consisting of several subsystems that serve a function. Each  
198 subsystem consists of components that have a different performance and are highly interconnected [59].  
199 Applying a systems engineering approach to model the complex ship energy systems allows to tackle the  
200 complexity and address the integrated system including the involved interactions [68]. Systems engineering  
201 encompasses a hierarchical approach to deal with complexity, by decomposing the whole system into  
202 subsystems [69].

203 The systems engineering approach is adopted in this work in order to develop the simulation model and it is  
204 presented in Figure 2. The ship energy systems are decomposed into five sub-systems, which include the three  
205 main energy sub-systems (main engine sub-system, electric and thermal auxiliary sub-systems), the emission  
206 reduction technologies and the energy efficiency technologies sub-systems. Each sub-system performance is  
207 modelled separately while considering the sub-systems interactions. The interactions between the sub-systems  
208 are displayed through the dashed lines in Figure 2, where the input and output parameters for the sub-systems  
209 are depicted through arrows.



210

211 **Figure 2 Ship energy sub-systems and interactions**

212 The specific parameters of the sub-systems performance that have an impact on the calculation of the  
 213 indicators are modelled in this work. For the propulsion subsystem, the engines performance equations are based  
 214 on multiple regression performed on data identified in the Project Guides of two-stroke engines manufacturers  
 215 [70] and are displayed in Tables 1 and 2.

216 **Table 1: Diesel engine performance**

Performance	Equation
Specific Fuel consumption (g/kWh)	$sfc = (a_1 + a_2 P_n) L + a_3 + a_4 P_n$
Nominal speed at MCR (r/min)	$rpm = a_5 + a_6 P_n$
Exhaust gas mass flow rate (kg/s)	$ega = (a_7 + a_8 P_n) L + (a_9 P_n + a_{10})$
Exhaust gas temperature (°C)	$egt = (a_{11} + a_{12} P_n) L^3 + (a_{13} + a_{14} P_n) L^2 + (a_{15} + a_{16} P_n) L + a_{17} + a_{18} P_n$

217

218 The engine performance parameters (sfc, ega, egt, rpm) were modelled as functions of the nominal power  $P_n$   
 219 (kW) at Maximum Continuous Rating (MCR) and the load L which is derived from the operational profile for  
 220 the propulsion power demand. The analysis was conducted by employing polynomial regression, using the least  
 221 square fitting method. The R-squared values for all the performed regressions were estimated to be above 80%,  
 222 thus indicating sufficient regression accuracy.

223

224 **Table 2: Dual fuel Gas Injected (GI) (in gas mode) engine performance**

Performance	Equation
Specific Pilot fuel consumption (g/kWh)	$spoc = (b_1 P_n^2 + b_2 P_n + b_3) L^{(b_4 P_n^2 + b_5 P_n^{b_6})}$
Specific Gas consumption (g/kWh)	$sgc = (b_7 + b_8 P_n) L^2 - (b_9 + b_{10} P_n) L + b_{11} + b_{12} P_n$
Nominal speed at MCR (r/min)	$rpm = b_{13} + b_{14} P_n$
Exhaust gas mass flow rate (kg/s)	$ega = (b_{15} + b_{16} P_n) L + (b_{17} P_n + b_{18})$
Exhaust gas temperature (°C)	$egt = (b_{19} + b_{20} P_n) L^2 + (b_{21} P_n + b_{22}) L + b_{23} + b_{24} P_n$

225 The calculations for superheated and saturated steam produced from the waste heat recovered from the  
 226 main engine and the total electric energy produced from the generator, are modelled for a single pressure boiler  
 227 and a turbo-generator [71]. The equations for the efficiency of the generators and the load correction factors are  
 228 estimated according to data reported in [71]. The urea consumption of the Selective Catalytic Reactor (SCR) is  
 229 modelled as a function of the engine power and the amount of NOx emissions reduction according to [72]. The  
 230 carbon capture system CO<sub>2</sub> reduction capability and the required caustic soda consumption are modelled  
 231 according to [73].

232 The modelling of the performance of diesel generators is conducted by using data from the engine  
 233 manufacturers project guides; in specific, data for four-stroke diesel engines with Tier II compliance were  
 234 derived from MAN Diesel & Turbo Project Guides [74], whereas data for dual fuel generator sets with Tier III  
 235 compliance were taken from Wärtsilä Project Guides [75]. The modelling of the fuel consumption of fuel cells  
 236 was conducted according to [52], whereas the fuel consumption of the thermal boiler is estimated by using the  
 237 Equation (1), based on the produced saturated steam thermal power.

$$\dot{m}_{f,th} = \frac{\dot{m}_s \Delta h}{\eta_{th} LHV} \quad (1)$$

## 238 **2.2 Sustainability assessment indicators**

239 The environmental and economic sustainability of the ship energy systems are both addressed in this work;  
 240 however, the social dimension of sustainability is not included herein due to the limitations of existing social  
 241 assessment methods for marine technologies and the subjectivity introduced from the quantification of the social  
 242 impact [76]. In addition, lack of knowledge on developing relationships between the social criteria and the  
 243 economic and environmental ones exists [77], which may lead to inconsistent results. Indicators that represent  
 244 the major categories of the shipping operations impact have been used in order to compare the alternative  
 245 systems in terms of the environmental and economic sustainability assessment.

246 **2.2.1 Environmental assessment indicators**

247 The indicators selected to represent the environmental impact of the ship energy systems are expressed in  
 248 terms of gaseous emissions during the ship lifetime. The chosen approach has been widely used in the literature  
 249 in order to express the environmental impact of a vessel power plant [78,79] since gaseous emissions indicators  
 250 representatively reflect the environmental impact of the ship energy systems [80] and a variety of methods is  
 251 available to estimate them [81]. It should be noted that only the gaseous emissions due to the vessel operational  
 252 phase are addressed in this work. The operational phase is by far the most impactful for the whole ship life cycle  
 253 in respect to energy consumption [82] and to gaseous emissions, as more than 95% of the life cycle SO<sub>x</sub>, NO<sub>x</sub>  
 254 and CO<sub>2</sub> emissions [83] are related to the ship operational phase. A full life cycle environmental assessment  
 255 analysis is beyond the scope of this work; therefore, the building and decommissioning phases are not  
 256 considered herein from an environmental impact perspective.

257 In this study, the approach employed to quantify the emissions from the ship energy systems is through the  
 258 use of Emissions Factors (EF), that have been successfully employed in [81,84–86] in order to estimate the  
 259 emissions. Emission factors depend on the pollutant, the engine type, the fuel and the engine operational  
 260 activity. Emission factors are developed from machinery tests or combustion calculations and are either energy  
 261 based (EF<sub>eb</sub>) (measured in g/kWh) or fuel consumption based (EF<sub>fb</sub>) (measured in g pollutant/g fuel) [87].  
 262 Employing EF for the emissions calculation is an approach that emphasises on the differences among the  
 263 various engine types and fuels, thus EF are convenient for the comparison of the ship machinery environmental  
 264 impact. For energy-based pollutants, like NO<sub>x</sub> emissions, the annual emissions emitted per sub-system are  
 265 calculated according to Equation (2), whilst for the fuel consumption based pollutants, like SO<sub>x</sub> and CO<sub>2</sub>, the  
 266 emissions are calculated according to Equation (3).

$$E_{ss,p} = \sum_{i=1}^I P_i h_i EF_{eb(p,ss)} \quad (2)$$

$$E_{ss,p} = \sum_{i=1}^I sf c_i P_i h_i EF_{fb(p,f)} \quad (3)$$

### 267        **2.2.2 Economic assessment indicators**

268        For the representation of the economic aspect of sustainability, the Life Cycle Cost (LCC) indicator is  
269 employed. According to [77], the life cycle costs should be considered when making a financial decision, since  
270 apart from the capital cost, operational cost is a considerable cost element. Particularly for the shipping  
271 operations, techno-economic studies on the annualised machinery cost of various power plant alternatives  
272 demonstrated that the operational costs are more than three times higher than the capital costs [44]. In addition,  
273 similar conclusions were derived in [50], where it is stated that the fuel cost for a 20 years investment period, is  
274 responsible for 91% of the total lifetime expenditure. Thus, the Life Cycle Cost is a useful tool to assess the  
275 economic impact of the ship energy systems, as it is suitable for detailed financial analysis [3] and it is helpful  
276 when making sustainable investment decisions [77].

277        LCC includes the capital and the operational cost (consisting of maintenance, fuel, spare parts cost and  
278 consumables for the various subsystems and technologies) over the ship economic life. The yearly operational  
279 costs are calculated, then brought to present value with an appropriate discounting function and added to the  
280 capital cost in order to calculate the life cycle cost indicator according to Equation (4).

$$LCC = CAPEX + \sum_{k=1}^Y \frac{OPEX_k}{(1 + ir)^k} \quad (4)$$

281

282        It is evident from Equations (2)-(4) that specific parameters of the performance of the systems are necessary  
283 for the indicators calculation.

### 284        **2.3 Multi-objective optimisation of ship energy systems synthesis**

285        The optimisation of the ship energy systems is described in this section; the optimisation uses the simulation  
286 model of the systems (Section 2.1) to estimate the environmental and economic sustainability indicator values  
287 presented in Section 2.2. These indicators form the objective functions presented herein.

288        The objectives of this multi-objective optimisation problem, as derived from the aim of this study, are to  
289 minimise simultaneously the life cycle cost of the ship energy systems represented by Equation (5) and the  
290 various gaseous emissions represented by Equation (6) throughout the vessel lifetime for an expected  
291 operational profile and considering constraints set by the regulatory requirements.

$$\min F1_{(ps,es,ts,ee,er)} = CAPEX + \sum_{k=1}^Y \frac{OPEX_k}{(1+ir)^k} \quad (5)$$

$$\min F2p_{(ps,es,ts,ee,er)} = \sum_{k=1}^Y (E_{me,p} + E_{ae,p} + E_{th,p} - \sum_{y=1}^{O_{er,p}} (b_{p,y} E_{p,y})) \quad (6)$$

292 Where p expresses the various pollutants,  $p = \{CO_2, NO_x, SO_x\}$ , thus having in total four separate objective  
 293 functions. Other pollutants that affect the environmental footprint of the ship energy systems can be included in  
 294 the objective function, such as Particulate Matter, methane or Volatile Organic Compounds, by introducing  
 295 additional indicators.

296 The optimisation decision variables are as follows:

- 297 • The main engine type ( $t_{me}$ ), the nominal power ( $P_{n,me}$ ) and the fuel type ( $f_{me}$ ) for the propulsion subsystem  
 298 (ps). The nominal power is considered an integer variable for the purposes of this work and the values of  
 299 the decision variable increase with a 200 kW step.
- 300 • The auxiliary engine type ( $t_{ae}$ ), the number of auxiliary sets ( $N_{ae}$ ) and the fuel type ( $f_{ae}$ ) for the auxiliary  
 301 electric subsystem (es).
- 302 • The boiler type ( $t_{th}$ ), the number of the boilers ( $N_{th}$ ) and the fuel type ( $f_{th}$ ) for the thermal subsystem (ts).
- 303 • The existence ( $b_z$ ) of a particular energy efficiency technology for the energy efficiency technologies  
 304 subsystem (ee), where  $b_z = \{1 \text{ if the technology } t_z \text{ is selected or } 0 \text{ if it is not}\}$ .  $z=1 \dots O_{ee}$  is a set of alternative  
 305 technologies for energy efficiency.
- 306 • The existence ( $b_{p,y}$ ) of a particular emission reduction technology, for the energy reduction technologies  
 307 subsystem (er) for each pollutant p, where  $b_{p,y} = \{1 \text{ if the technology } t_y \text{ is selected or } 0 \text{ if it is not}\}$  and  
 308  $y=1 \dots O_{er,p}$  is a set of alternative technologies for emission reduction for each pollutant p.

309 In the environmental objectives of the optimisation problem represented by Equation (6), the first three  
 310 right-hand side terms are calculated according to Equations (2) and (3) depending on the pollutant, whereas the  
 311 last term represents the reduction of the emissions due to the emission reduction technologies.

312 The capital expenditure of the energy systems in Equation (5) is calculated according to Equation (7).

$$\begin{aligned}
CAPEX = & C_{c(t_{me})} P_{n,me} + C_{c(t_{ae})} N_{ae} P_{n,ae} + C_{c(t_{th})} N_{th} P_{n,th} + \sum_{p=1}^{NP} \sum_{y=1}^{O_{er,p}} (b_{y,p} C_{c(t_y)} P_{n,me}) \\
& + \sum_{z=1}^{O_{ee}} (b_z C_{c(t_z)} P_{n,me})
\end{aligned} \tag{7}$$

313 Where  $C_c$  (€/kW) is the cost factor for the capital cost calculation that depends on the type of technology  
314 and is derived from literature and manufacturer data.

315 In Equation (5), OPEX denotes the operational expenditure of the energy systems that consist of the fuel  
316 costs (OPEX1) which are calculated according to Equation (8).

$$\begin{aligned}
OPEX1 = & \frac{C_f(f_{me})}{10^6} \sum_{i=1}^I (c_{f(f_{me})} s_{f_{i,me}} P_{i,me} h_i d_{f,i,me}) \\
& + \frac{C_f(f_{ae})}{10^6} N_{ae} \sum_{i=1}^I (c_{f(f_{ae})} s_{f_{i,ae}} P_{i,ae} h_i d_{f,i,ae}) \\
& + \frac{C_f(f_{th})}{10^6} N_{th} \sum_{i=1}^I (c_{f(f_{th})} s_{f_{i,th}} P_{i,th} h_i)
\end{aligned} \tag{8}$$

317  $C_f$  (€/t) is the fuel cost factor that depends on the fuel type and is derived from online bunker prices data;  $c_f$   
318 is the correction factor of the fuel from ISO to actual conditions;  $d_f$  is the deterioration factor of the engine  
319 performance due to the fouling and wearing of its components, causing an increase of the fuel consumption, and  
320 it is modelled according to [88] as a varying parameter throughout the engine lifetime.

321 The maintenance costs and consumables from emission reduction technologies like urea for SCR are  
322 calculated according to Equation (9).

$$\begin{aligned}
OPEX2 = & C_{m(t_{me})} \sum_{i=1}^I (P_{i,me} h_i) + C_{m(t_{ae})} N_{ae} \sum_{i=1}^I (P_{i,ae} h_i) + C_{m(t_{th})} N_{th} \sum_{i=1}^I (P_{i,th} h_i) \\
& + \sum_{p=1}^{NP} \left( \sum_{y=1}^{O_{er,p}} (b_{y,p} C_{m(t_y)} \sum_{i=1}^I (P_{i,y} h_i)) + \sum_{y=1}^{O_{er,p}} (b_{y,p} C_{con(t_y)}) \right) \\
& + \sum_{z=1}^{O_{ee}} [b_z C_{m(t_z)} \sum_{i=1}^I (P_{i,z} h_i)]
\end{aligned} \tag{9}$$

323  $C_m$  (€/kWh) is the maintenance cost factor that depends on the technology type and is derived from  
324 literature and manufacturer data, whereas  $C_{con}$  (€) is the cost of consumable chemicals required for the operation  
325 of the emission reduction technologies.

326 The multi-objective optimisation is subject to the following regulatory, power demand related, technical  
327 and design constraints.

328 The considered regulatory constraints are as follows.

- 329 •  $P_{n,me} \geq P_{mpr}$ , the nominal power of the main engine has to fulfil the minimum power requirements according  
330 to the regulations [67].
- 331 • The fuel sulphur content has to comply with the existing limitations;  $S\% \leq 3.5\%$  for outside ECA waters  
332 and  $\leq 0.5\%$  inside ECA waters [65] or otherwise a scrubber has to be employed.
- 333 • The NO<sub>x</sub> Emission Factors for main and auxiliary engines have to comply with the existing limitations;  
334  $EF_{NOx}$  to fulfil Tier II limits outside ECA waters and Tier III inside ECA waters [66].
- 335 • The nominal power of the thermal and electric auxiliaries selected has to satisfy the maximum power  
336 demand.

337 The considered demand-related constraints are as follows.

- 338 • The operational profile is divided in I operational phases and the power demand for each operational phase i  
339 has to be satisfied for each type of energy vector.

$$340 \quad P_{pp_i} - P_{pd_i} = 0 \quad (10)$$

$$341 \quad P_{ep_i} - P_{ed_i} = 0 \quad (11)$$

$$342 \quad P_{tp_i} - P_{td_i} = 0, \text{ where } i=1 \dots I \text{ denoting the operational phases.} \quad (12)$$

343 The considered technical constraints are as follows.

- 344 • The incompatibility of technologies is considered and modelled through constraints so that non-compatible  
345 technologies are not selected within a single system configuration.

346 The considered design constraints are as follows.

- 347 • The selection of the main engine, and multiple auxiliary and thermal boilers, in order to cover the adequate  
348 capacity of ship operation and comply with the redundancy requirements.



349 
$$N_{me} \geq 1, N_{ae} \geq 2, N_{th} \geq 2 \tag{13}$$

350 The problem presented is a Multi-Objective Combinatorial Optimisation (MOCO) problem since the  
351 decision variables are discrete and the objective functions, as well as the constraints, can take any form [89]. A  
352 MOCO problem can be transformed into a single-objective by using a scalar function by employing the  
353 weighted sum method to aggregate the objectives into a single objective, which is one of the most commonly  
354 used methods in supporting decisions for enhancing sustainability [90]. However, it requires ‘a priori  
355 knowledge’ of the decision makers preferences [89] and using weights leads into leaving regions of solutions  
356 unmapped [91]. On the other hand, using separate objectives allows the trade-offs among the objectives to be  
357 demonstrated, and subsequently, it is possible for the user to make more informed decisions [92]. Thus, the  
358 latter approach is adopted in this work. Evolutionary algorithms are the state-of-the-art techniques in solving  
359 multi-objective optimisation problems [93] and are commonly used to solve MOCO problems. One of the most  
360 frequently used methods is the Non-dominated Sorting Genetic Algorithm II (NSGA-II) [89] that was developed  
361 by Deb et al. [94]. In this work, the NSGA-II optimisation method was employed in order to determine the  
362 Pareto front of the investigated problem. The NSGA-II is suitable for MOCO problems and it works efficiently  
363 on problems such as the one described herein, where the objective function and constraints are derived from a  
364 black box simulation. It offers a uniform distribution of the solutions on the Pareto front due to the crowding  
365 distance metric and favours solutions that are quite diverse, due to the elitist mechanism it employs. It is a  
366 method widely used for energy systems design [95–98], ship energy systems design [48,55,99–101] as well as  
367 optimisation of energy systems with sustainability considerations [102,103].

368 The genetic algorithm parameters were calibrated after experimentation and repeated runs. The mutation  
369 operator follows a Gaussian distribution, the crossover is set as arithmetic, the population selection is set as  
370 tournament, whereas the population size was set to 500 to offer a rich set of solutions that approximate the  
371 Pareto front.

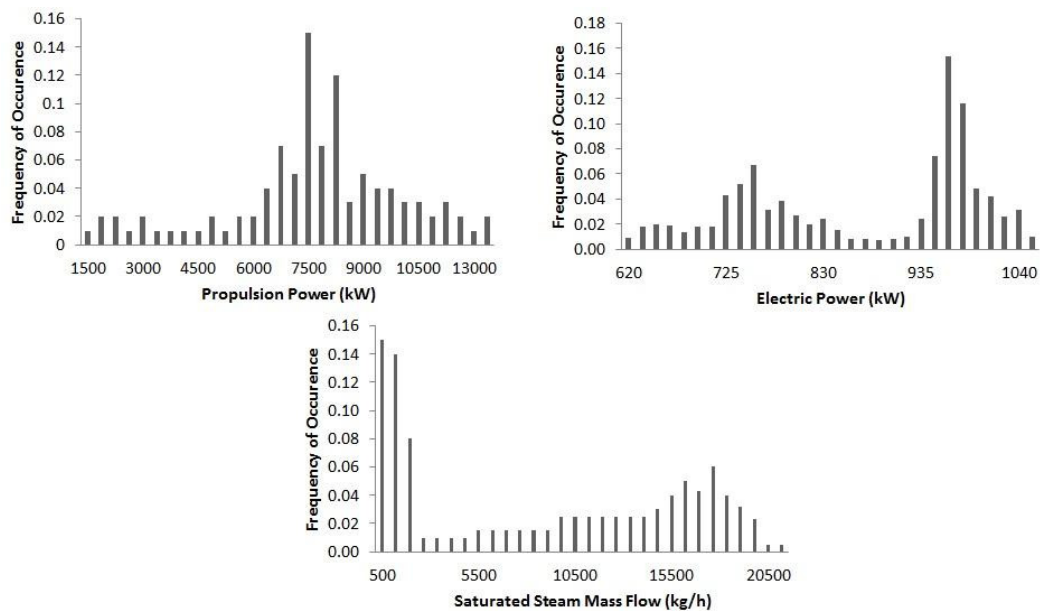
372 Since the multi-objective optimisation offers a spectrum of optimum solutions in comparison with the  
373 single objective optimisation, it makes it challenging to identify an optimum solution and therefore, the Pareto  
374 optimal front is introduced. A solution from a multi-objective optimisation belongs to the Pareto front and is  
375 considered Pareto-optimal and non-dominated when there is no other solution in the solution space that  
376 performs equal in all objectives and better in at least one of them. The Pareto-optimal solutions cannot be  
377 improved in one objective without deteriorating at least in one other objective. The Pareto front offers a visual

378 representation of the set of non-dominated optimal solutions, thus allowing the decision maker to explore the  
379 optimum alternatives and the trade-offs among them. In this work, the results from the multi-objective  
380 optimisation are visualised through a Pareto front.

### 381 3. Case Study

382 A case study was performed in order to exemplify the method presented in this work. The environmental  
383 and economic performance of alternative energy system configurations of an Aframax crude oil tanker having a  
384 deadweight of 115000 tons was investigated. It was assumed that the ship sails 10% of the time at ECA waters.  
385 The lifetime of the vessel was assumed to be 25 years, whereas the ship does not operate due to maintenance for  
386 7% of her lifetime.

387 The data for the operational profile (speed distribution, frequency of occurrence) in ballast and laden  
388 conditions for an Aframax tanker were taken from [61]. By using the speed distribution and the ship  
389 characteristics the propulsion power was calculated according to empirical formulas provided in [104], whilst  
390 the electric power and thermal operational profile figures were estimated according to operational measured  
391 data. The considered operating profiles are shown in Fig. 3.



392

393 **Figure 3 Typical Operational Profiles for Aframax tankers**

394

395

396 **Table 3: List of alternative energy system components for the case study**

Main Engine	two-stroke diesel engine (D) two-stroke gas injection dual fuel engine (DF)
Main Engine Fuel Type	HFO LSHFO MDO MGO NG <sup>1</sup>
Auxiliary Engine	diesel generator set & SCR (DG) molten carbon fuel cell with NG reformer (FC) pre-mixed dual fuel generator set (DFG)
Auxiliary Engine Fuel Type	LSHFO MDO MGO NG <sup>1</sup>
Thermal Boiler	gas fired boiler oil fired boiler & SCR
Thermal Boiler Fuel Type	HFO LSHFO MDO MGO NG <sup>1</sup>
Energy Efficiency Technologies	Waste Heat Recovery with Turbo generator (WHR) Shaft Generator
NOx emission reduction technologies	Exhaust Gas Recirculation (EGR) Selective Catalytic Reactor (SCR)
SOx emission reduction technologies	fuel switch (MGO, MDO, LSHFO) Scrubber
CO <sub>2</sub> emission reduction technologies	Carbon Capture system (CC)

397 <sup>1</sup> Stored as LNG

398 For the investigated vessel, the subsystem options presented in Table 3 were considered as alternatives for  
 399 the configurations considered in the proposed method application. Not all the potential combinations among the  
 400 subsystems in Table 3 are possible; the compatibility of the various subsystems combinations is ensured through  
 401 the technical constraints.

402 The following assumptions were employed for the presented case study. For the efficiency of the fuel cells,  
 403 the reformer, DC-AC inverter and frequency converter efficiencies were considered, leading to a 42%  
 404 alternating current electric efficiency, which is assumed to be constant with the load. The weight and volume of  
 405 the technologies were not included in the scope of this work, and no economic profit was assumed from  
 406 potential selling of the by-products of the carbon capture. The effectiveness of the NOx emission reduction

407 technologies was modelled according to [105], whereas it was assumed that the scrubber reduces the sulphur  
 408 content so that the ship complies with the ECA and global water regulations for SO<sub>x</sub> emissions. The Carbon  
 409 Capture system is assumed to capture 10% of the CO<sub>2</sub> emissions from the main engine.

410 The average values from online bunker prices for the first six months of the year 2017 were considered as  
 411 provided in Table 4. The urea price is assumed 350 €/t and caustic soda price is 300 €/t according to current  
 412 market prices.

413 **Table 4: Fuel Cost Factors ( $C_f$ )**

	Price (€/t)
HFO (IFO 380)	260
LSHFO (LS380)	300
MDO	430
MGO	500
NG	235

414 The equipment capital cost and maintenance cost were adapted from the literature or technical reports and  
 415 are displayed in Table 5. The prices were converted to 2017 values using the Producer Prices Index in the  
 416 industry (total EU-28) according to [106].

417 **Table 5: Economic Input (components capital  $C_c$  and maintenance cost  $C_m$  factors)**

	Capital Cost (€/kW)	Adapted from	Maintenance Cost	Adapted from
Carbon Capture system <sup>2,5</sup>	2600	[107]	3% of capex (€)	[107]
Diesel Engine <sup>3</sup> (2-stroke)	462	[30]	0.002 (€/kWh)	[108]
Diesel Generator Set	493	[44]	0.012 (€/kWh)	[92]
Dual Fuel Engine <sup>3</sup> (2-stroke)	700	[109]	0.003(€/kWh)	[108]
Dual Fuel Generator Set	740	[109]	0.012 (€/kWh)	[92]
EGR <sup>5</sup>	80	[110]	0.001 (€/kWh)	[110]
Fuel Cells <sup>4</sup>	5198	[51]	0.035 (€/kWh) stack replacement 240 (€/kW) every 5 years	[111] [51]
Thermal Boiler	22	[112]	1% of capex (€)	[112]
Scrubber <sup>5</sup>	135	[113]	0.395 (€/kg SO <sub>2</sub> removed)	[113]
SCR <sup>5</sup>	39	[44]	0.006 (€/kWh)	[114]
Shaft Generator <sup>5</sup>	147	[115]	0.001 (€/kWh)	[116]
Waste Heat Recovery System <sup>5</sup>	100	[44]	0.004 (€/kWh)	[117]

418 <sup>2</sup> Tank storage of carbon included.

419 <sup>3</sup> The storage and treatment of the fuel are considered.

420 <sup>4</sup> Technology with an internal reformer.

421 <sup>5</sup> Cost per kW of the main engine.

422 The data used for the calculation of the environmental indicators are presented in Tables 6 and 7 and have  
 423 been adapted from [84,85,87].

424 **Table 6: Environmental Input**

	CO <sub>2</sub> (g/g of fuel)	Sulphur content (%)	Lower Heating Value (kJ/kg)
HFO	3.021	2.7	39000
LSHFO	3.075	0.1	42500
MDO	3.082	0.1	42700
MGO	3.082	0.1	42800
NG	2.75	0	48600
NG & MDO pilot fuel <sup>6</sup>	2.77	0.1	48600

425 <sup>6</sup>  $EF_{CO_2} = 0.94EF_{CO_2, NG} + 0.06EF_{CO_2, MDO}$ .

426 **Table 7: Environmental Input (NOx EF)**

	NOx Emission Factor	Adapted from
Diesel Engine	According to Tier II & Tier III regulations	[66]
Dual Fuel Engine (in gas mode)	8.7 (g/kWh)	[118]
Molten Carbon Fuel Cell	0.08 (g/kg fuel)	[52]
Oil Fired Boiler	5.6 (g/L fuel)	[119]

427 The parameters for the specific case study for the performance of the two-stroke diesel and dual fuel  
 428 engines with nominal power varying between 5500-42390 kW are given in Tables 8 and 9, respectively.  
 429 Representative figures with the raw data points used for the regression are presented in Appendix A for one  
 430 nominal power<sup>7</sup>. The power range considered for the auxiliary generator sets is 500-1470kW.

431 **Table 8: Diesel engines performance: MCR power in the range 5500 (kW) to 42390 (kW)**

Specific Fuel consumption (g/kWh)				
a <sub>1</sub>	a <sub>2</sub>	a <sub>3</sub>	a <sub>4</sub>	L=P/P <sub>n</sub> (-)
140	0	206.88	-196.2 10 <sup>-6</sup>	< 0.2
-25.042	18 10 <sup>-7</sup>	183.996	-196.7 10 <sup>-6</sup>	0.2 ≤ L < 0.6
-8.179	-3.61 10 <sup>-6</sup>	174.797	-193.3 10 <sup>-6</sup>	0.6 ≤ L < 0.7
4.862	-2.781 10 <sup>-6</sup>	165.364	-193.710 <sup>-6</sup>	0.7 ≤ L < 0.8
17.623	4.56 10 <sup>-7</sup>	154.974	-190.8 10 <sup>-6</sup>	0.8 ≤ L ≤ 1
Nominal speed at MCR (r/min)				
a <sub>5</sub>	a <sub>6</sub>			
126	-136.5 10 <sup>-5</sup>			
Exhaust gas mass flow rate (kg/s)				
a <sub>7</sub>	a <sub>8</sub>	a <sub>9</sub>	a <sub>10</sub>	
-0.342	0.193 10 <sup>-2</sup>	0.031 10 <sup>-2</sup>	-0.052	

<sup>7</sup> The regression data were derived from the Project Guide of manufacturers and are available from the corresponding author upon request.

Exhaust gas temperature (°C)							
a <sub>11</sub>	a <sub>12</sub>	a <sub>13</sub>	a <sub>14</sub>	a <sub>15</sub>	a <sub>16</sub>	a <sub>17</sub>	a <sub>18</sub>
862.217	-7.4 10 <sup>-5</sup>	-1547.82	-107 10 <sup>-6</sup>	825.163	-0.097 1	116.844	-0.036 10 <sup>-2</sup>

432

433 **Table 9: Dual fuel GI engines performance: MCR power in the range 5500 (kW) to 42390 (kW)**

Specific Pilot fuel consumption (g/kWh)						
b <sub>1</sub>	b <sub>2</sub>	b <sub>3</sub>	b <sub>4</sub>	b <sub>5</sub>	b <sub>6</sub>	
4.702 10 <sup>-10</sup>	-2.818 10 <sup>-5</sup>	5.333	5.23 10 <sup>-13</sup>	-3.132 10 <sup>-8</sup>	-0.666	
Specific Gas consumption (g/kWh)						
b <sub>7</sub>	b <sub>8</sub>	b <sub>9</sub>	b <sub>10</sub>	b <sub>11</sub>	b <sub>12</sub>	
30	4.8 10 <sup>-5</sup>	31.564	5.42 10 <sup>-5</sup>	143.78	-1.5 10 <sup>-4</sup>	
Nominal speed at MCR (r/min)						
b <sub>13</sub>	b <sub>14</sub>					
126	-136.5 10 <sup>-5</sup>					
Exhaust gas mass flow rate (kg/s)						
b <sub>15</sub>	b <sub>16</sub>	b <sub>17</sub>	b <sub>18</sub>			
-0.342	0.193 10 <sup>-2</sup>	0.031 10 <sup>-2</sup>	-0.052			
Exhaust gas temperature (°C)						L=P/P <sub>n</sub> (-)
b <sub>19</sub>	b <sub>20</sub>	b <sub>21</sub>	b <sub>22</sub>	b <sub>23</sub>	b <sub>24</sub>	
-2857	0	0	1390.9	62.108	-0.034 10 <sup>-2</sup>	< 0.3
0	0	0	840	-28.642	-0.044 10 <sup>-2</sup>	0.3 ≤ L ≤ 0.35
287	-0.67 10 <sup>-4</sup>	9.03 10 <sup>-5</sup>	-421.24	380.652	-0.037 10 <sup>-2</sup>	> 0.35

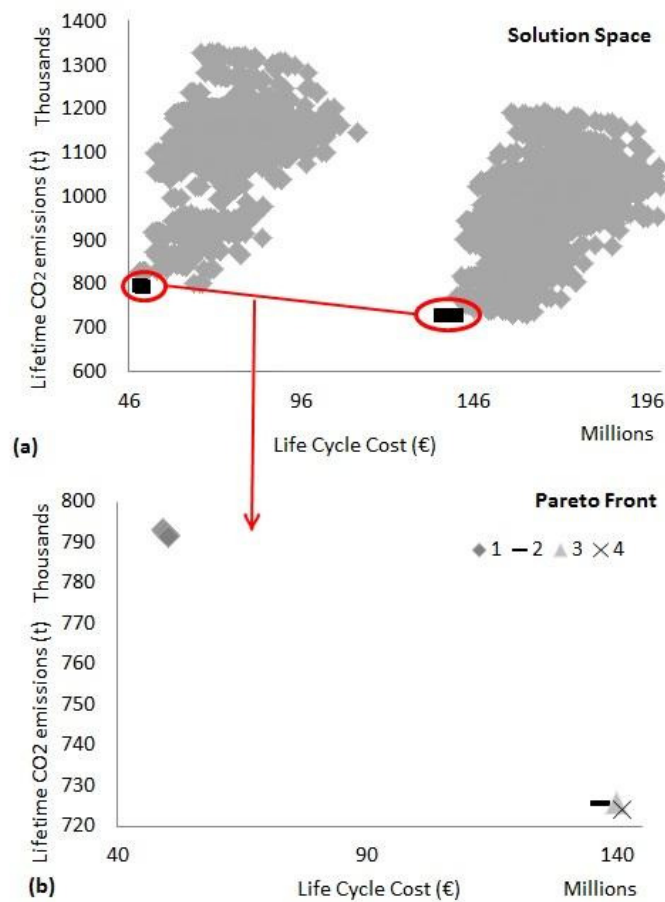
434 The data presented in this section are used as input parameters for the application of the proposed method.

#### 435 4. Results and Discussion

436 Representative results from the optimisation process for the investigated Aframax tanker are presented in  
437 this section to demonstrate the application of the method. The Pareto front curves are displayed both for a bi-  
438 objective optimisation scenario, where only two objectives were considered in the optimisation and a multi-  
439 objective optimisation scenario, where all four objectives were included in the optimisation process. Each point  
440 of the curve represents an optimum ship energy system configuration according to the considered objectives. All  
441 the presented solutions comply with the IMO Annex VI regulations for NOx and SOx emissions [65,66], as well  
442 as the EEDI regulations for energy efficiency. Finally, a preliminary sensitivity analysis was performed in order  
443 to investigate the influence of the input parameter values on the derived optimal solutions.

#### 444 4.1 Bi-objective optimisation results

445 The results from the bi-objective optimisation on the lifetime CO<sub>2</sub> emissions and the Life Cycle Costs are  
 446 presented in Figure 4. Figure 4a shows the complete solution space with light grey colour, whereas the Pareto  
 447 front that includes the optimum non-dominated solutions is presented with black colour. In Figure 4b, only the  
 448 Pareto front results are displayed with more detail. From Figure 4a, it is evident that a variety of solutions exist  
 449 in the solution space and the optimisation method was able to identify the optimum solutions in the Pareto front  
 450 (black marks). It is inferred that among the solutions on the solutions space there are many alternatives that are  
 451 not efficient in terms of environmental and economic objectives.



452

453 **Figure 4 CO<sub>2</sub>-LCC bi-objective optimisation: a) Solution Space b) Pareto Front**

454 The Pareto Front shown in Figure 4b displays a variety of solutions for the investigated ship energy systems  
 455 configurations. The set of optimal solutions is presented in Table 10. It is evident from the results of the bi-  
 456 objective optimisation that the dual fuel engine running with natural gas and a range of nominal power varying  
 457 between 17300 and 18800 kW, as well as the gas fired boiler, are dominant components. Solutions for the  
 458 auxiliary electric sub-system include either diesel generators running with LSHFO (solutions 1, 2 and 3), which  
 459 has a low capital cost but emits more CO<sub>2</sub> emissions, or a dual fuel generator running with natural gas (solution

460 4), with a higher capital cost and reduced carbon footprint. It is observed that in solutions 2 and 3, three  
461 generators are selected; two with the maximum nominal power that is required by the regulations and one with a  
462 smaller nominal power to operate more efficiently at the lower loads range. In addition, in some cases the  
463 Carbon Capture technology is selected (2, 3 and 4), thus reducing the CO<sub>2</sub> emissions drastically, however  
464 significantly increasing the LCC due to the high capital, as well as the operational cost of this technology. By  
465 installing a Carbon Capture system there is a cost increase of 1.29 € per kg of CO<sub>2</sub> emissions saved. The carbon  
466 emissions reduction in solution 2 is 10% lower in comparison with the ones of solution 1 over the ship lifetime;  
467 however, the life cycle cost is almost tripled due to the emissions reduction technology. The installation of the  
468 Carbon Capture system has an additional economic drawback, which is the occupation of approximately 0.15%  
469 of the payload of the vessel per day of sailing, resulting in lower revenues from operations. This additional  
470 economic impact has not been accounted in this research. Ultimately, comparing the last six months average  
471 price of 5.93 € per ton of CO<sub>2</sub> of the EU ETS with the cost of 1290 € per ton of CO<sub>2</sub> that is offered with the  
472 Carbon Capture renders the technology prohibitive in the real-life context for the particular application, despite  
473 the significant carbon emissions reduction.

474 **Table 10: Configurations of Figure 4**

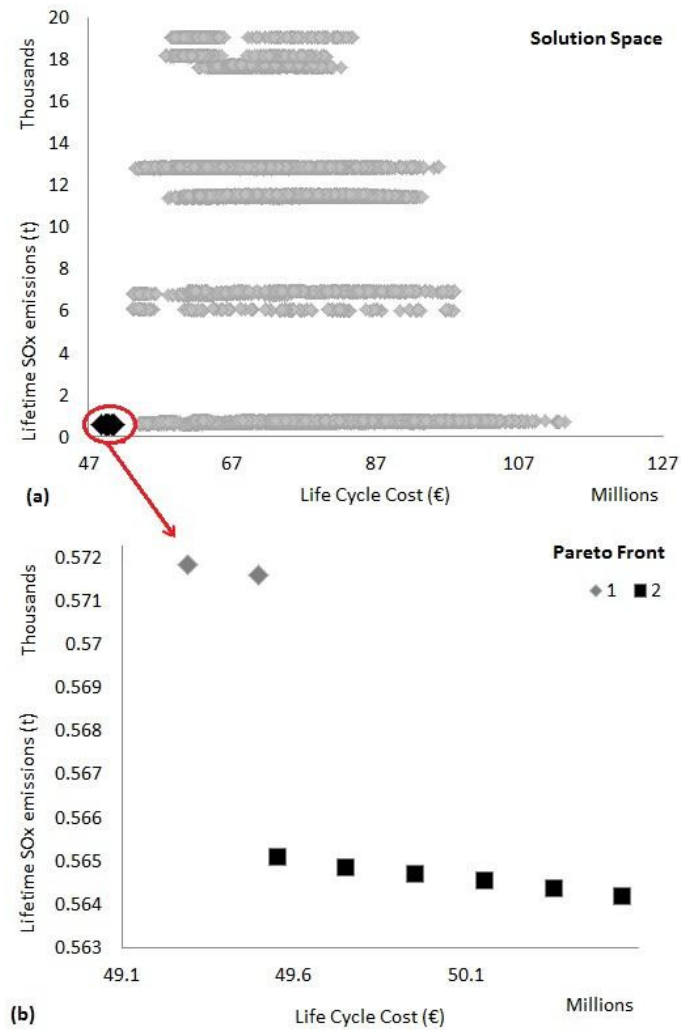
Main Engine		Emission reduction technology	Energy Efficiency technology	Auxiliary engine			Boiler		
Type	Fuel			Type	Fuel	Sets/ Nominal power	Type	Fuel	
1	DF	NG	SCR	WHR&SG	DG	LSHFO	2/1136 kW	gas fired	NG
2	DF	NG	SCR&CC	SG	DG	LSHFO	2/1136 kW & 1/500 kW	gas fired	NG
3	DF	NG	EGR&CC	SG	DG	LSHFO	2/1136 kW & 1/500 kW	gas fired	NG
4	DF	NG	EGR&CC	SG	DFG	NG	2/1110 kW	gas fired	NG

475 In Figure 5, the results from the bi-objective optimisation of the investigated ship energy systems with  
476 objectives the lifetime SO<sub>x</sub> emissions and the Life cycle cost are displayed. In Figure 5a, the variety of solutions  
477 of the complete solution space is presented with a wide range of the values of the objectives. The solutions on  
478 the complete solutions space include also non-efficient technologies. Due to the wide scaling of this plot vertical  
479 axis it appears that there is a variety of solutions with similar SO<sub>x</sub> lifetime emissions to the Pareto optimal  
480 solutions at the bottom of the vertical axis; however, a closer look at these solutions reveals that the SO<sub>x</sub>  
481 emissions actually vary considerably between the optimal solutions identified (highlighted in black) and the



482 non-optimal solutions (in grey). The non-dominated solutions of the Pareto front that perform better in both  
483 objectives are highlighted and displayed in Figure 5b.

484 In Figure 5b, two sets of alternative ship energy system configurations for the investigated Aframax are  
485 identified in the Pareto front. The configurations of Figure 5b are detailed in Table 11. In both solutions, the  
486 dual fuel engine is preferred as the main engine as well as the gas fired boiler as the system thermal energy  
487 producer. The nominal power of the main engine is in the range of 17300-18800 kW. The main difference  
488 between the two solutions lies in the auxiliary electric engine; in solution 1, two diesel generator sets running  
489 with LSHFO are selected, whereas in solution 2 dual fuel generator sets were selected. It is evident from the  
490 performance of the solutions that the natural gas on the generators offers a reduction in the SO<sub>x</sub> emissions,  
491 however at the same time due to the higher cost of the dual fuel generator sets, an increase in the Life Cycle  
492 Cost is observed. From the installation of the dual fuel generator sets (solution 2) instead of the typical diesel  
493 generator sets (solution 1), a cost increase of around 37 € per kg of SO<sub>x</sub> emissions saved is identified. It is  
494 inferred from these results that a configuration with all the main energy systems running with natural gas, offers  
495 the minimum SO<sub>x</sub> emissions and therefore, it is recognised as a possible configuration to comply with the future  
496 stricter regulations imposed by IMO.



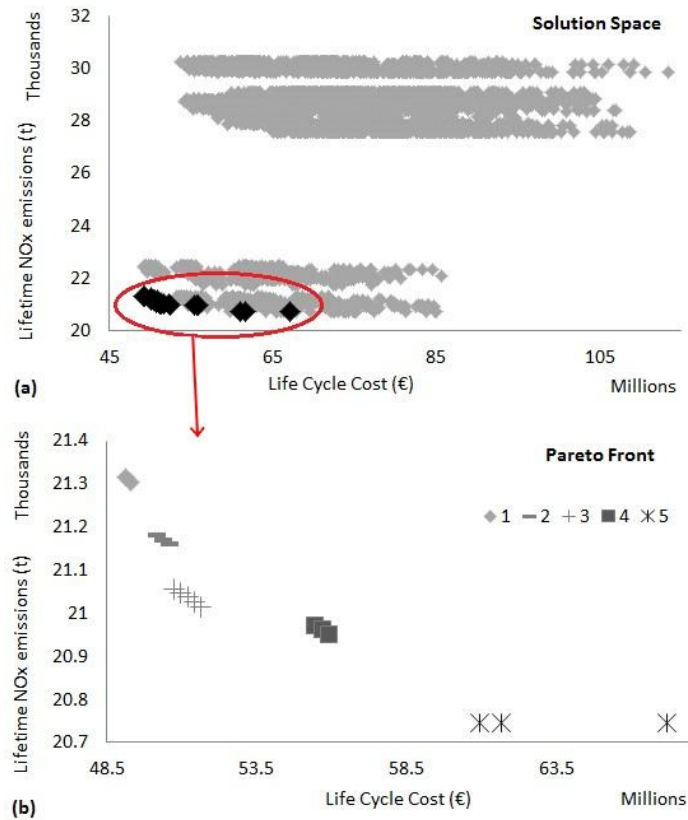
497

498 **Figure 5 SOx-LCC bi-objective optimisation: a) Solution Space b) Pareto Front**

499 **Table 11: Configurations of Figure 5**

Main Engine		Emission reduction technology	Energy Efficiency technology	Auxiliary engine			Boiler		
Type	Fuel			Type	Fuel	Sets/ Nominal power	Type	Fuel	
1	DF	NG	EGR	WHR&SG	DG	LSHFO	2/1136 kW	gas fired	NG
2	DF	NG	SCR	WHR&SG	DFG	NG	2/1110 kW	gas fired	NG

500 In Figure 6, the optimisation of the investigated ship energy systems with respect to the lifetime NOx and  
 501 LCC objectives is presented. The solution space of the bi-objective optimisation is displayed in Figure 6a where  
 502 the non-dominated solutions are presented in black.



503

504 **Figure 6 NOx-LCC bi-objective optimisation: a) Solution Space b) Pareto Front**

505 **Table 12: Configurations of Figure 6**

Main Engine			Emission reduction technology	Energy Efficiency technology	Auxiliary engine			Boiler	
Type	Fuel				Type	Fuel	Sets/ Nominal Power	Type	Fuel
1	DF	NG	SCR	WHR&SG	DG	LSHFO	2/1136 kW	gas fired	NG
2	DF	NG	EGR	WHR&SG	DFG	NG	2/1110 kW	gas fired	NG
3	DF	NG	EGR&SCR	WHR&SG	DG	LSHFO	2/1136 kW	gas fired	NG
4	DF	NG	EGR&SCR	WHR&SG	DFG	NG	2/1110 kW	gas fired	NG
5	DF	NG	EGR&SCR	WHR&SG	FC	NG	2/1110 kW	gas fired	NG

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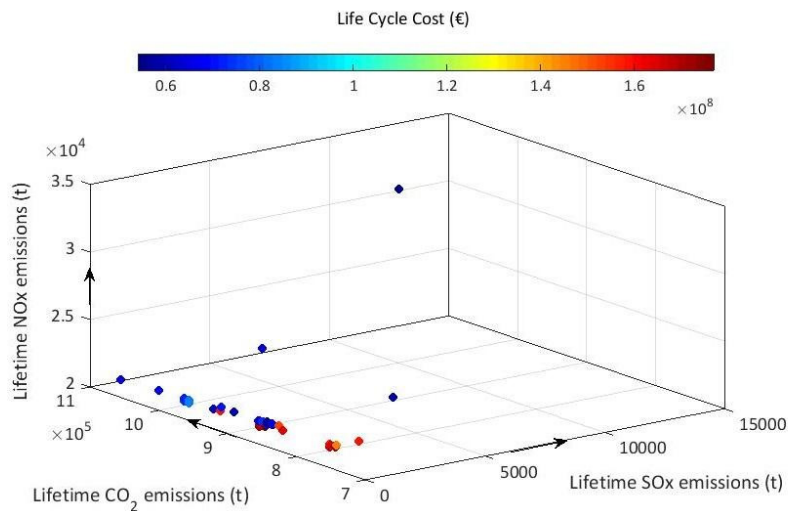
510

In Figure 6b, the Pareto front is presented with more detail from which five different sets of solutions are identified and displayed in Table 12. Similarly to the two previous cases, the dual fuel engine (with its nominal power varying from 17050 to 18800 kW) and the gas fired boiler are preferred; furthermore, the WHR as well as the shaft generator, are selected for improving the plant energy efficiency. There are variations of the solutions on the emission reduction technology so that the ship complies with the NOx regulations inside ECA

511 waters. When both SCR and EGR technologies are selected (Solutions 3, 4 and 5), there is a 600 tonnes  
 512 decrease in the lifetime NOx emissions, however, followed with an 18 M€ increase in the life cycle cost, due to  
 513 the operational and capital cost of the technologies. In addition, the solution with the lower lifetime NOx  
 514 emissions appears when the fuel cell technology (Solution 5) is selected for covering the ship electric power  
 515 demand; on the other hand, the economic objective is increased due to the high investment cost of the fuel cells  
 516 technology. Comparing the two extreme solutions 1 and 5, a cost increase of 22 € per kg of NOx emissions  
 517 saved is observed, by installing both emission reduction technologies as well as the fuel cells instead of the  
 518 traditional diesel generators. Installing both emission reduction technologies is not a current practice; however,  
 519 from the results, it is inferred that it is a possible alternative that could be employed in the future when the  
 520 regulations for NOx emissions are going to be more stringent.

## 521 4.2 Multi-objective optimisation results

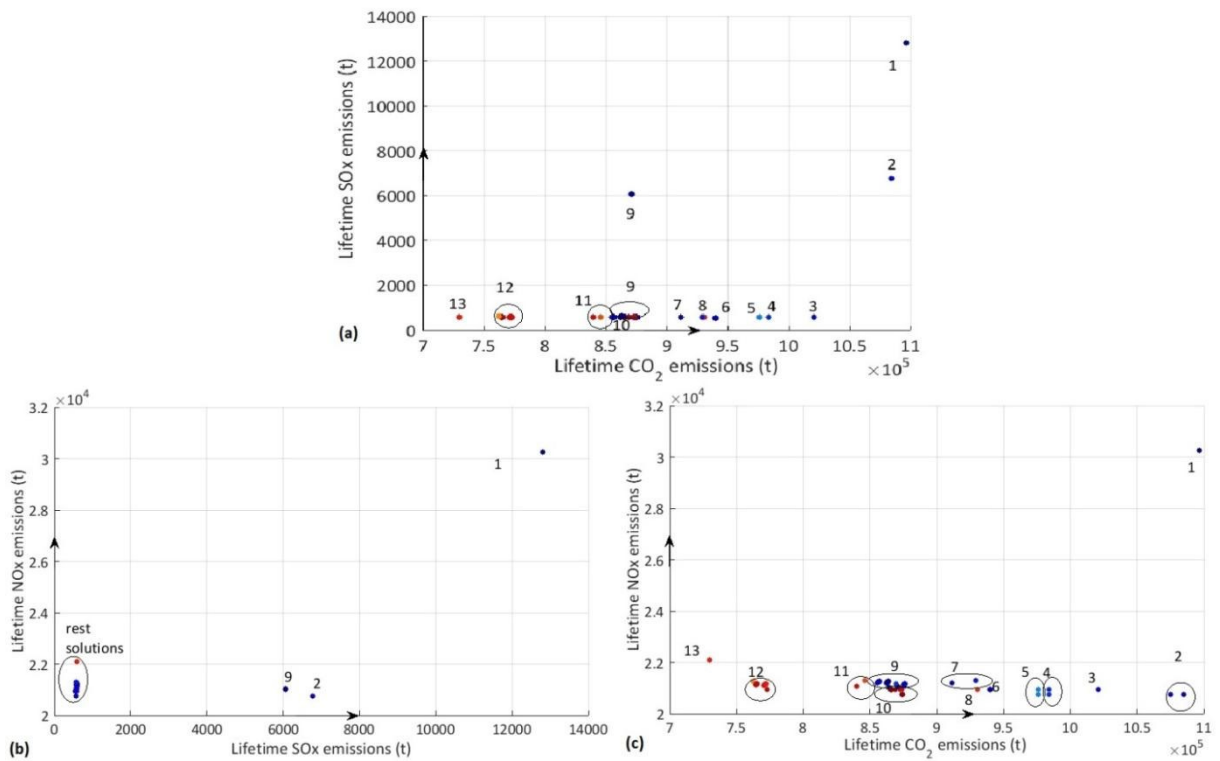
522 The derived results from the multi-objective optimisation, with the four objective functions of the lifetime  
 523 SOx, NOx, CO<sub>2</sub> emissions and the Life Cycle Cost are presented in Figure 7.



524  
 525 **Figure 7 Multi-Objective Optimisation (SOx, NOx, CO<sub>2</sub>, LCC)**

526 The results are displayed in four different views, in order to obtain a better understanding. Figure 7 provides  
 527 the complete view of the four-dimensional space including all dimensions of the analysis, whereas Figure 8 (a, b  
 528 and c) are extracted from Figure 7 and provide a three-dimensional view of the original figure. The solutions are  
 529 clustered into 13 categories; each one includes solutions having a similar configuration. The details for the  
 530 solutions of Figures 7 and 8 are displayed in Table 13, where the configurations of the solutions from the multi-

531 objective optimisation are displayed in detail along with the values of the objective functions, expressed as the  
 532 difference from the best case. It is evident from Figures 7, that there is a variety of alternative configurations and  
 533 it is not possible to identify a single optimum solution. However, a variety of environmental and cost-efficient  
 534 solutions are generated supporting the decision process and giving the opportunity to the decision maker to  
 535 understand the trade-offs among the objectives.



536

537 **Figure 8 Multi-objective optimisation: a) SOx-CO<sub>2</sub>-LCC view, b)NOx-SOx-LCC view, c)NOx-CO<sub>2</sub>-LCC**  
 538 **view**

539 It is evident from the results of Figure 7 and 8 that there are trade-offs observed, similarly to the majority of  
 540 real-life problems. The solutions 1-7 and 9 appear to have LCC below 84 M€ with the solution 1 having the  
 541 lowest LCC, whereas the LCC of the alternatives 8 and 10-13 is estimated to be in the region 144-180 M€. For  
 542 the lifetime SOx emissions objective all the solutions, except for the solutions 1, 2 and 9 are expected to emit  
 543 SOx emissions below 2 thousand tonnes throughout the ship lifetime. Regarding the lifetime CO<sub>2</sub> emissions, the  
 544 solutions 12 and 13 exhibit the lowest carbon footprint with the estimated CO<sub>2</sub> emissions being in the region of  
 545 700-800 thousand tonnes. Finally, all the solutions except for the solution 1 are estimated to have lifetime NOx  
 546 emissions below 22 thousand tonnes.

547 **Table 13: Configurations of Figure 8**

	Main Engine		Emission reduction technology	Energy Efficiency technology	Auxiliary engines			Thermal Boiler		Percentage Difference from the best solution			
	Type	Fuel			Type	Fuel	Type	Fuel	LCC	CO <sub>2</sub> emissions	SO <sub>x</sub> emissions	NO <sub>x</sub> emissions	
<b>1</b>	D	HFO	LSHFO switch &SCR	SG	DG	LSHFO	gas fired	NG	0	+50%	+22%	+46%	
<b>2</b>	DF	NG	EGR&SCR	none	FC	NG	oil fired	HFO & Fuel switch	+20%	+47%	+11%	+0.01%	
<b>3</b>	DF	NG	EGR	WHR	FC	NG	oil fired	HFO & Fuel Switch	+21%	+40%	+6%	+0.9%	
<b>4</b>	DF	NG	EGR	none	FC	NG	oil fired	LSHFO	+39%	+34%	+5%	+0.9%	
<b>5</b>	DF	NG	EGR&SCR	none	FC	NG	oil fired	LSHFO	+42%	+34%	+5%	+0.002%	
<b>6</b>	DF	NG	EGR	WHR	DFG	NG	oil fired	LSHFO	+20%	+25%	+5%	+2.5%	
<b>7</b>	DF	NG	SCR	WHR	FC	NG	gas fired	NG	+12%	+29%	0	+1%	
<b>8</b>	DF	NG	EGR&CC	WHR	FC	NG	oil fired	LSHFO	+192%	+27%	+5%	+0.9%	
<b>9</b>	DF	NG	EGR or SCR or both	SG&WHR	DG	LSHFO	oil fired	LSHFO	+15-30%	+20%	+7-10%	+1.5-2.5%	
<b>10</b>	DF	NG	CC& EGR or SCR or both	WHR	FC	NG	oil fired	LSHFO	+205-225%	+19%	+4.5%	+0-1%	
<b>11</b>	DF	NG	CC& EGR& SCR	none	DFG	NG	oil fired	LSHFO	+190%	+15%	+5%	+2%	
<b>12</b>	DF	NG	EGR	SG&WHR	FC	NG	oil fired	LSHFO	+190-210%	+5%	+6%	+1.7-2.5%	
<b>13</b>	DF	NG	CC& EGR& SCR	SG	FC	NG	gas fired	NG	+193%	0	+6%	+ 6.5%	

548

549

550

551 It is observed from the results presented in Figures 7 and 8 as well as Table 13 that the dual fuel engine as  
552 the ship main engine offers a great advantage with respect to most of the objectives comparing to the diesel  
553 engines that is the current practice. Even though the capital cost of the dual fuel engine is higher, due to the  
554 required feeding and storage systems, the technology is preferred by the optimiser due to its lower fuel  
555 consumption and environmental impact; these results also confirm the findings reported in [44,45]. In addition,  
556 even when the diesel engine is selected (Solution 1) it is preferable to operate with HFO and switch to low  
557 sulphur fuel in order to comply with the SO<sub>x</sub> regulations, rather than employing a scrubber, which is the  
558 traditional emission reduction technology. Literature results support these findings for the case of the  
559 deterministic optimisation for selecting emission reduction alternatives; however, when the stochasticity of the  
560 input parameters is included the presented results in the literature vary [26].

561 Regarding the thermal boiler, it is inferred that an oil fired boiler running with LSHFO or in few cases a gas  
562 fired boiler are the preferred solutions in order to improve the environmental and economic impact of ship  
563 energy systems. In only two cases, an oil fired boiler running with HFO and fuel switch is selected. In the  
564 existing literature, no evidence was identified to investigate the thermal boiler subsystem alternatives.

565 For the electric auxiliary subsystem, the most promising technologies among the investigated ones are the  
566 fuel cells, the LSHFO diesel generator sets or the dual fuel generator sets. The fuel cells have attracted great  
567 attention from the literature as despite their high economic impact they have great potential in improving the  
568 environmental impact. The results are confirmed by previous studies, where comparing to current technologies,  
569 fuel cells showed improved energy efficiency and considerable reduction environmental footprint [120].

570 The energy-efficient technologies of the shaft generator and WHR are selected in the majority of the  
571 solutions from the multi-objective optimisation; the inclusion of these technologies offers a cost-effective and  
572 more environmentally friendly performance for the investigated system, accordingly with the relevant literature  
573 [32]. The more efficient main engine drives the shaft generator that produces the required electric power,  
574 whereas the exhaust gas is employed from the waste heat recovery to produce steam required to cover the  
575 thermal power demand of the ship as well as to produce electric energy through the turbo-generator. Thus,  
576 whilst the capital cost increases from the installation of these technologies, the environmental and operational  
577 economic impact of the ship auxiliary electric and thermal machinery are less.

578 Furthermore, the solutions that introduce a more environmentally efficient technology such as Carbon  
579 Capture systems have a potential to improve the environmental performance of the investigated system but are

580 currently associated with a substantial increase in the LCC. In addition, even though the Carbon Capture  
581 technology was successfully implemented for onshore applications, there are various challenges regarding the  
582 storage of CO<sub>2</sub>, particularly for ship applications. However, there is still a great interest in the application of  
583 Carbon Capture on ships [73,121].

### 584 **4.3 Sensitivity analysis**

585 As the performance of the ship energy systems is influenced by a number of parameters that are  
586 characterised by uncertainty in real life, including the operating and economic parameters, it is important to  
587 understand the effect of these parameters variation on the optimisation results. A common method to investigate  
588 the uncertainty on deterministic decision support models and thus, explore how the changes on the input  
589 parameters affect the results, is by performing a sensitivity analysis [122,123], which entails altering the input  
590 parameter values to investigate the variation of the output. Herein a preliminary sensitivity analysis was  
591 performed focusing on the uncertain variables that were considered more influential for the results.

592 In this analysis, the considered economic parameters include capital cost factors of the investigated  
593 technologies and the fuel prices, which are identified as the most crucial parameters for ship energy systems  
594 design and synthesis as also indicated in [43]. Different cost factors ranges are investigated for the emerging  
595 technologies (in comparison to the ones of the established technologies), due to the expected higher uncertainty  
596 resulting from the lower technology maturity level and the limited market data availability. The fuel prices  
597 values are considered to be highly correlated, in line with the historical market evidence, and are therefore  
598 expressed as a function of the HFO prices. The fuel price ranges considered for this sensitivity analysis are  
599 derived from analysing the historical prices for the HFO over the years 2007-2017. Based on further analysis of  
600 the historical prices of all fuel types, it was assumed that the price of NG, MGO, LSHFO and MDO is 0.85,  
601 1.95, 1.2 and 1.7 times the HFO price, respectively.

602 The investigated operating parameters, which are considered the most critical for the systems performance,  
603 include the brake specific fuel consumption as well as the exhaust gas temperature and mass flow rate.  
604 Reasonable ranges were estimated for the above operating parameters by using the manufacturers data [70].

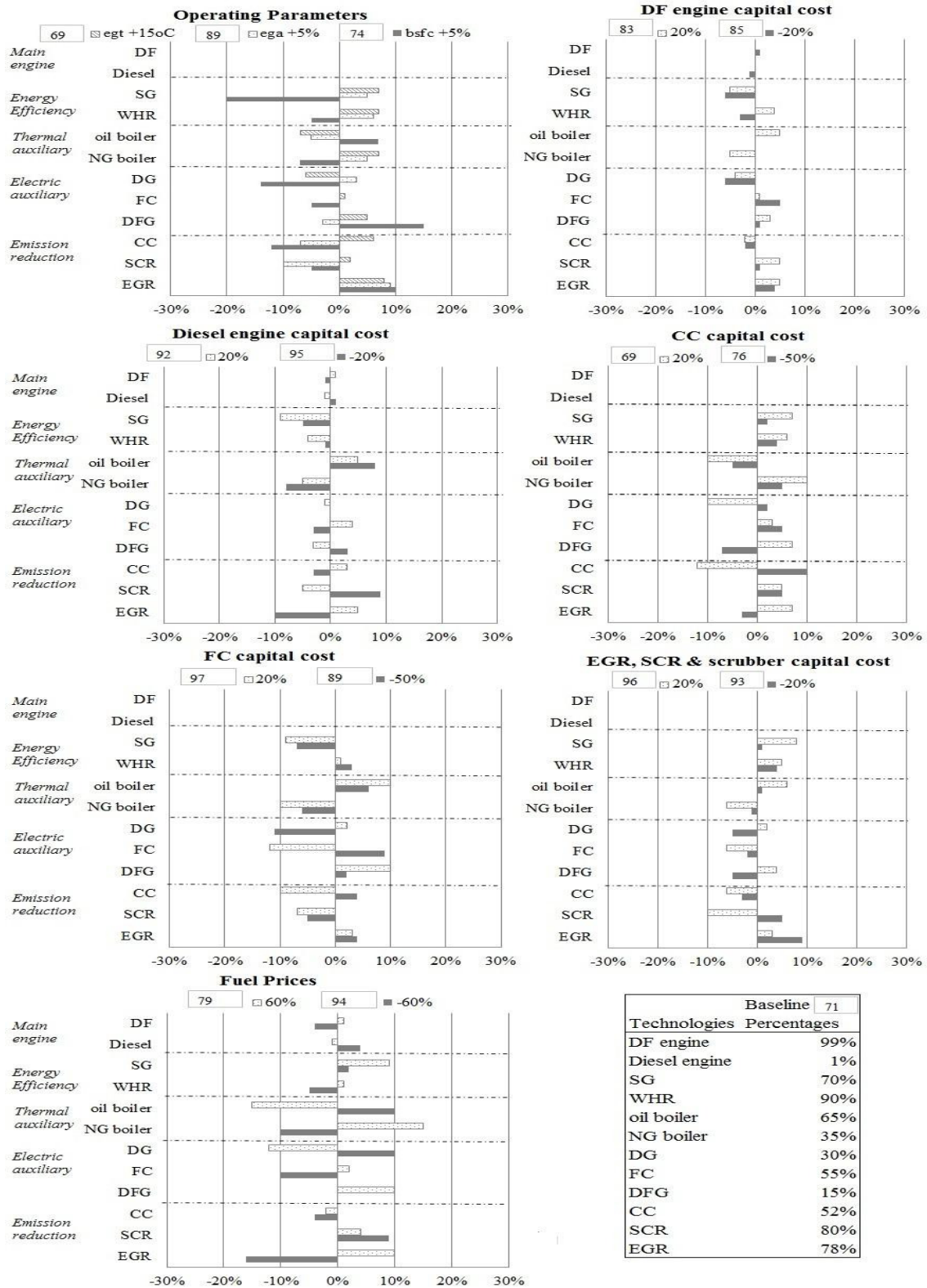
605 The investigated parameters ranges are presented in Table 14, whereas the results from the original case  
606 study presented in Figure 7 are considered as the baseline scenario for comparison purposes. All parameters  
607 were independently assessed except the fuel prices that are considered strongly correlated.



608 **Table 14: Sensitivity analysis scenarios**

Uncertain parameters	Extreme parameter value difference from the baseline provided in Tables 8 and 9	
<b>Operating parameters</b>	low	high
main engine brake specific fuel consumption	-	+5%
main engine exhaust gas mass flow rate	-	+5%
main engine exhaust gas temperature	-	+15°C
<b>Economic parameters</b>	Extreme parameter value difference from the baseline provided in Tables 4 and 5	
Technologies Cost factors		
dual fuel main engines	-20%	+20%
diesel main engines	-20%	+20%
Carbon capture system	-50%	+20%
Fuel Cells	-50%	+20%
SCR, EGR, scrubber	-20%	+20%
Fuel prices	-60%	+60%

609 The results of the sensitivity analysis for each investigated scenario are presented in Figure 9. As the model  
610 output consists of a four-dimensional Pareto-front of optimum solutions, there is no straightforward way to  
611 consider the output as a single value for comparing it with the baseline scenario. Since the ultimate objective of  
612 this optimisation model is the identification of the set of optimal system configurations, the performance  
613 criterion adopted as an output of the sensitivity analysis was how different the system configurations in the  
614 Pareto front become as the uncertain parameters vary. Therefore in Figure 9, the vertical axes include the  
615 investigated technologies in the configurations and the horizontal axes values represent the percentage  
616 difference from the baseline scenario of the number the specific technology appears in the Pareto front to the  
617 number of all the solutions in the Pareto front. For comparison purposes, Figure 9 also informs on the frequency  
618 of appearance of each technology on the Pareto front of the baseline case, which is displayed in the bottom right  
619 corner of the figure. It should be noted that the sensitivity analysis results are also affected by the number of the  
620 optimum solutions identified in the Pareto front, which vary between different applications of the model, due to  
621 the nature of the optimisation method. Therefore, the number of optimum solutions identified in the Pareto front  
622 for each sensitivity analysis scenario is displayed in the grey boxes at the top of each graph in Figure 9. Small  
623 variations of the results can be attributed to the different number of optimum solutions; for this reason minor  
624 changes are considered insignificant and are not discussed.



625

626

627

Figure 9 Sensitivity analysis results (horizontal axes represent the percentage difference from the baseline scenario of the number the specific technology to total solutions number in the Pareto front)

628 The increase of the brake specific fuel consumption does not favour solutions with SG driven from the main  
629 engine for the electric power production. Therefore, a significant reduction on the level of adoption of SG is  
630 observed and the ship electric power demand is covered by adopting dual fuel generators. The percentage of CC  
631 technology on the optimum solutions decreases due to the high energy penalty and as a consequence the further  
632 increase on the fuel consumed. The dual fuel engine preference as the main engine choice does not change, as it  
633 is already preferred in the vast majority of the solutions even in the baseline scenario.

634 The increase in the exhaust gas mass flow rate favours the selection of the WHR technology, since the  
635 wasted energy of the exhaust gas of the main engine increases. Thus, the efficiency of the power plant improves,  
636 which resulted in lowering the percentage of the CC technology in the optimal solutions. Similarly, the increase  
637 of the exhaust gas temperature leads to a higher percentage of WHR technology in the optimum solutions.

638 Low sensitivity is observed in the cases when the capital cost of the dual fuel main engine is altered. The  
639 decrease of the capital cost of the dual fuel engines leads to a minor increase of the percentage of optimum  
640 solutions with dual fuel engines. Considering that dual fuel engines were already selected in 99% of the  
641 solutions in the baseline scenario, this actually means that when the related capital cost is reduced, all solutions  
642 include a dual fuel main engine. On the other hand, decreasing the diesel main engines capital cost resulted in a  
643 slightly decreased percentage of optimum solutions with dual fuel engines; the opposite happens when the diesel  
644 main engine capital cost increases. By and large, the dual fuel engines appear to be the preferred main engine  
645 choice in most optimum solutions even if the capital cost difference between them and the diesel engines  
646 increases. In addition, a similar trend is observed with the NO<sub>x</sub> reduction technology selection that is affected  
647 by the main engine type selection, since the SCR is required by the diesel engine to operate with the stringent  
648 NO<sub>x</sub> limits.

649 Reducing the CC capital cost leads to a significantly higher adoption of the technology. The opposite occurs  
650 when the capital cost of the technology increases. Lower adoption of CC on the optimum solutions appears to  
651 have an impact on the thermal and electric auxiliary subsystems, the gas fired boiler as well as the fuel cells and  
652 dual fuel generators are favoured, respectively. These technologies are adopted instead of the oil fired boiler and  
653 diesel generators, as means of compensating for the reduction of the CC adoption in the optimum solutions to  
654 achieve reduction of the lifetime CO<sub>2</sub> emissions. The variation of the fuel cells capital cost affects the  
655 technology selected to cover the electric demand; the decrease of the FC cost increases the percentage of fuel  
656 cells and at the same time decreases the percentage of diesel generators on the optimum solutions. On the other

657 hand, the increase of the FC capital cost decreases the percentage of fuel cells on the solutions and favours the  
658 adoption of the dual fuel generators that exhibit lower capital cost than the fuel cells but have a lower  
659 environmental footprint comparing with the diesel generators.

660 The variation of the emission reduction technologies cost has an impact mostly on their adoption, with  
661 limited impact on most of the rest parameters of the investigated system configurations; it is observed that a  
662 decrease of their capital cost leads to an increase of the percentage of EGR and SCR technologies in the  
663 optimum solutions. However, the increase in the capital cost affects negatively only the SCR that has overall a  
664 higher LCC due to its high operational cost that includes both the urea consumption and the penalty on the  
665 engine efficiency. An increase is observed to the adoption of EGR in order to compensate for the reduction of  
666 SCR.

667 Finally, the fuel price changes have the greatest impact on the results, as it was anticipated. The decrease of  
668 the fuel prices has a negative impact on the level of adoption of the natural gas operating technologies as the  
669 HFO price becomes very competitive. More specifically, the adoption of the dual fuel engines, the fuel cells and  
670 the natural gas boiler on the optimum solutions decreases. On the other hand, in the case of the fuel price  
671 increase, the dual fuel engines, the dual fuel generators, fuel cells as well as the natural gas boiler are favoured.  
672 Changes are observed also on the emission reduction technologies selection that are related to the changes of the  
673 main engine in the optimum configurations, since the SCR is mandatory for the operation of the diesel engines,  
674 whereas the dual fuel engines can comply with the NOx emissions regulations without SCR usage.

675 As an additional consideration to the sensitivity analysis against the full set of Pareto-optimal solutions, the  
676 best performing solution for each objective for all the sensitivity analysis scenarios along with the differences of  
677 the optimum configuration from the baseline scenario solutions shown in Table 13 are presented in Table 15.  
678 The rationale was to identify how different the system configurations become when the input parameters  
679 change, specifically for the optimum solution identified for each objective. In the majority of the scenarios, the  
680 best solution for each objective has the same configuration with the baseline scenario solution with the  
681 exception of the scenarios in which either the dual fuel engines capital cost decreases or the diesel engines  
682 capital cost increases. In these cases, the best solutions include one dual fuel main engine and provide the best  
683 performance for both the economic and environmental objectives. For best performing at the CO<sub>2</sub> and SOx  
684 emissions objectives, the investigated scenarios with the fuel cell capital cost increase and the fuel prices  
685 increase provided solutions with dual fuel generator sets. In the case when the brake specific fuel consumption

686 is increased, the best performing solution for SOx does not include a WHR technology. There appears to be no  
 687 change of the best performing solution against the NOx objective for any of the sensitivity analysis scenarios.

688 **Table 15: Best performing configuration for each objective for the sensitivity scenarios**

Differences on the optimum configuration from base case (Table 13)				
Sensitivity analysis scenario	LCC	CO <sub>2</sub> emissions	NOx emissions	SOx emissions
bsfc +5%	same	same	same	no WHR
ega +5%	same	same	same	same
egt +15°C	same	same	same	same
DF capital cost -20%	DF & EGR instead of Diesel &SCR	same	same	same
DF capital cost +20%	same	same	same	same
Diesel engine capital cost -20%	same	same	same	same
Diesel engine capital cost +20%	DF & EGR instead of Diesel &SCR	same	same	same
CC capital cost -50%	same	same	same	same
CC capital cost +20%	same	same	same	same
FC capital cost -50%	same	same	same	same
FC capital cost +20%	same	DF Gen-set instead of FC	same	Diesel Gen-set (LSHFO) instead of FC
SCR, EGR, scrubber -20%	same	same	same	same
SCR, EGR, scrubber +50%	same	same	same	same
Fuel prices -60%	same	same	same	same
Fuel prices +60%	same	DF Gen-set instead of FC	same	DF Gen-set instead of FC

689 From the results discussion, it is evident that the output values do not exhibit extreme variation within the  
 690 tested ranges of the input parameters, especially for the best performing solutions for each objective. However,  
 691 some variations are observed since the results are quite dependent on the input parameters. This denotes that the  
 692 model is adequately ‘sensitive’ and therefore can capture the input parameters changes, which is desirable.  
 693 Through the preceding analysis, it can be inferred that the uncertain parameters that may have the greatest  
 694 impact on the optimal system configurations are the capital cost of the emerging technologies like the fuel cells  
 695 and the carbon capture, the fuel prices and the variation of the main engine brake specific fuel consumption.

696 **4.4 Study limitations and final remarks**

697 A number of limitations for the application of the method exist. The modelling of the systems is performed at  
 698 a high level, without considering the in-depth detail of the performance of the sub-systems; nonetheless, this  
 699 choice accurately serves the ship energy system optimisation, since it is not a method to represent reality in all

700 aspects. The systems simulation and evaluation is performed on steady-state conditions and the transient  
701 operating periods are disregarded, which is a common practice when the dynamic behaviour of the system is not  
702 important for the optimisation.

703 Although the multi-objective optimisation incorporates elitism, which prevents from losing good solutions  
704 once they are found, it is not always possible to provide the whole Pareto front since the algorithm stops when  
705 termination criteria are met and not necessarily when all the optimum solutions are obtained. However, it can be  
706 assumed that an accurate representation of the front is achieved as evidenced by comparing the case study  
707 application results with insights from the literature. Finally, the optimisation results depend on the input  
708 parameter values, which are considered deterministic and their stochasticity is not included in this study. A  
709 preliminary investigation of the input parameters variation impact on the optimisation results was performed.  
710 However, a detailed uncertainty analysis of the model is sought as a future work.

711 Only the main energy systems and technologies affecting those systems are considered in this method. In  
712 reality, additional energy systems components need to be selected, like ventilation and steering systems, that,  
713 however, do not have a great impact on the energy consumption of a tanker ship [18].

714 The economic investigation of the ship energy systems focuses on the life cycle cost, whereas the profitability  
715 of the technologies is not evaluated, as would be the case in real market conditions. This is because the method  
716 presented aims at identifying all the potential optimum configurations that can improve the performance of ship  
717 energy systems from a multi-objective perspective (environmental and economic objectives) and not just the  
718 profitable ones.

## 719 **5. Conclusions**

720 In this study, a method to optimise the ship energy systems synthesis with respect to environmental and  
721 economic objectives and with considerations of operational and regulatory requirements during the ship  
722 operational lifetime was presented. The method is innovative in addressing the integrated ship energy systems,  
723 managing the interactions among the subsystems by employing a systems engineering approach, thus avoiding  
724 sub-optimal solutions. An additional novelty is that environmental and economic objectives are integrally  
725 addressed in the optimisation, thus allowing the improvement of the environmental and economic sustainability  
726 of the ship systems. Lastly, the inclusion of the operational profiles and the degradation factors in the synthesis  
727 process leads in selecting the energy systems with consideration of performance based on the operational

728 lifetime, which is a more realistic approach compared to the current established approach of using a design  
729 point.

730 The inclusion of the lifetime emissions on the optimisation process and not only focusing on cost offers a  
731 variety of alternative solutions. The visualisation of those alternatives with a Pareto front of dominant solutions  
732 allows the understanding of the trade-offs among the conflicting objectives. Furthermore, it offers the chance to  
733 the decision maker to be aware of all the potential optimum solutions and their trade-offs, beyond just being  
734 presented with one single solution, especially when making decisions that have an impact for 25 years.  
735 Understanding the ‘range’ of optimum solutions available can be useful, since a lot of uncertainty exists in the  
736 parameters, and the future environment is fluid, in terms of regulatory requirements.

737 The main findings of this work are summarised as follows:

- 738 • The traditional propulsion system with a diesel engine running with HFO and a scrubber and SCR in order  
739 to comply with the environmental regulations does not appear as one of the most sustainable solutions.
- 740 • The dual fuel engine technology that runs with natural gas has great advantages in reducing the emissions  
741 during the ship lifetime. Even though the additional costs for storage and feeding systems for natural gas  
742 have as a result the increase in the capital cost, it is still a solution that overall improves the sustainability of  
743 ship energy systems.
- 744 • Emerging technologies like fuel cells and carbon capture improve further the environmental impact of ship  
745 energy systems but this comes at a high cost in terms of the LCC of the ship systems. The results show that  
746 carbon capture is a prohibitive solution in real life context; however, the fuel cells can improve the energy  
747 systems sustainability.
- 748 • The inclusion of a shaft generator or a waste heat recovery technology has, as a result, an increase in the  
749 fuel consumption of the main engine but at the same time, a more efficient performance of the thermal  
750 boiler and auxiliary electric engine; therefore, they have a significant role to play in the improvement of the  
751 environmental and economic performance of ship energy systems.
- 752 • The combination of the SCR and EGR emission reduction technologies reduces drastically the NOx  
753 emissions, without deteriorating significantly the LCC, thus rendering this configuration a possible  
754 alternative, in order to overcome the future stringent NOx regulations.

755 • The brake specific fuel consumption of the main engine, the fuel prices as well as the carbon capture system  
756 and fuel cells capital cost are identified as the most influential parameters on the selection of the optimum  
757 configurations.

758 In terms of academic contribution, it is the first study that introduces the environmental objective while  
759 performing multi-objective optimisation for the ship energy systems synthesis. The systems synthesis is based  
760 on an expected operational profile and not a specific design point as the traditional practice, thus extending the  
761 focus to the operational phase that has the greatest environmental and economic impact. Another contribution is  
762 that this is the first attempt to model the ship energy system synthesis problem as a multi-objective  
763 combinatorial optimisation problem. Moreover, in the multi-objective optimisation, multiple pollutants were  
764 considered, offering new insights of the trade-offs of energy systems selection. This approach can also be  
765 applied to other energy systems beyond ships, thus offering opportunities for academics to adapt this approach  
766 for applications in other sectors.

767 The developed method offers an extensive set of applications for the shipping industry, for ship-owners,  
768 designers as well as policy-makers. The method can assist practitioners in making more sustainable decisions  
769 that will allow mitigating the environmental impact whilst reducing the ship life cycle cost. It is a generic  
770 method and, when provided with accurate input data, can be applied to any merchant ship type. In addition, due  
771 to the modular nature of the model, it is possible to add more technologies and fuel choices by providing data  
772 for their performance. As a result, by including in the optimisation process current, emerging and future  
773 technologies, it is possible to obtain a better understanding of the future energy ship systems synthesis.  
774 However, the improvement in environmental performance cannot come cost-free and a win-win situation is  
775 elusive, thus, quantification of the cost needed for achieving a lower environmental impact is required. In other  
776 terms, determining the trade-offs between the environmental and economic aspects of ship systems  
777 sustainability is important, as managing of these trade-offs will lead to the most sustainable solution. The  
778 proposed method could be beneficial for ship-owners, as well as policy-makers, since it allows for obtaining a  
779 better understanding on the ability of existing ship energy systems to meet potential future stricter  
780 environmental regulations, as well as on the technologies needed to meet them, therefore providing guidance on  
781 the technology selection process.

782

783



## Nomenclature

### Abbreviations

CAPEX	<i>Capital expenditures (€)</i>
CC	Carbon Capture system
CO <sub>2</sub>	Carbon dioxide
D	Diesel engine
DF	Dual Fuel engine
DFG	Dual Fuel Generator
DG	Diesel Generator
ECA	Emission Control Area
EGR	Exhaust Gas Recirculation
EU ETS	European Emissions Trading Scheme
FC	Fuel Cells
HFO	Heavy Fuel Oil
IMO	International Maritime Organisation
LCC	<i>Life Cycle Cost (€)</i>
LHV	Lower Heating Value of fuel (kJ/kg)
LNG	Liquefied Natural Gas
LSHFO	Low Sulphur heavy fuel oil
MCR	Maximum Continuous Rating
MDO	Marine Diesel Oil
MGO	Marine Gas Oil
NG	Natural Gas
NO <sub>x</sub>	Nitrogen oxides
O&M	Operational and Maintenance
OPEX	<i>Operational expenditures (€)</i>
SCR	Selective Catalytic Reactor
SG	Shaft generator
SO <sub>x</sub>	Sulphur oxides
WHR	Waste Heat Recovery

### Parameters

df	deterioration factor of the engine (%)
C <sub>c</sub>	<i>capital cost factor (€/kW)</i>
C <sub>con</sub>	<i>consumables cost factor (€)</i>
cf	correction factor from ISO conditions
C <sub>f</sub>	<i>fuel cost factor (€/ton)</i>
C <sub>m</sub>	<i>maintenance cost factor (€/kWh)</i>
Δh	specific enthalpy difference from feedwater to saturated steam (kJ/kg)
E	annual emissions (g)
EF <sub>eb</sub>	emission factor energy based (g/kWh)
EF <sub>fb</sub>	emission factor fuel consumption based (g/g of fuel)
ega	exhaust gas amount (kg/s)
egt	exhaust gas temperature (°C)
h	time per operational phase (hours/year)
i	operational phases i=1..I
ir	interest rate (%)
L	load (-)
$\dot{m}_s$	saturated steam mass flow (kg/h)

$\dot{m}_f$	fuel amount mass flow (kg/h)
NP	number of pollutants
O	alternative technological solutions
p	pollutant
P	power (kW)
P <sub>n</sub>	nominal power (kW)
rpm	revolutions per minute (r/min)
sfc	specific fuel consumption (g/kWh)
sgc	specific gas consumption (g/kWh)
spoc	specific pilot oil consumption (g/kWh)
t <sub>y</sub>	set of emission reduction technologies, y=1..O <sub>er</sub>
t <sub>z</sub>	set of energy efficiency technologies, z=1..O <sub>ec</sub>
Y	lifetime operation (years)

### Greek symbol

$\eta_{th}$	thermal boiler efficiency
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### Subscripts

ae	auxiliary engine
ed	electric demand
ep	electric power
me	main engine
mpr	minimum power requirements
p	pollutant
pd	propulsion power demand
pp	propulsion power
ss	sub-system
td	thermal demand
th	thermal boiler
tp	thermal power

### Independent decision variables

b <sub>p,y</sub>	the binary variable that equals 1 if the emission reduction technology is selected and 0 if it is not
b <sub>z</sub>	the binary variable that equals 1 if the energy efficiency technology is selected and 0 if it is not
ee	the vector that includes decision variables for the energy efficiency sub-system
er	the vector that includes decision variables for the emission reduction sub-system
es	the vector that includes decision variables for the electric sub-system
N	the discrete variable for the number of sets
P <sub>n,me</sub>	the discrete variable for the nominal power of the main engine
ps	the vector that includes decision variables for the propulsion sub-system
ts	the vector that includes decision variables for the thermal sub-system

### Decision Variables Sets

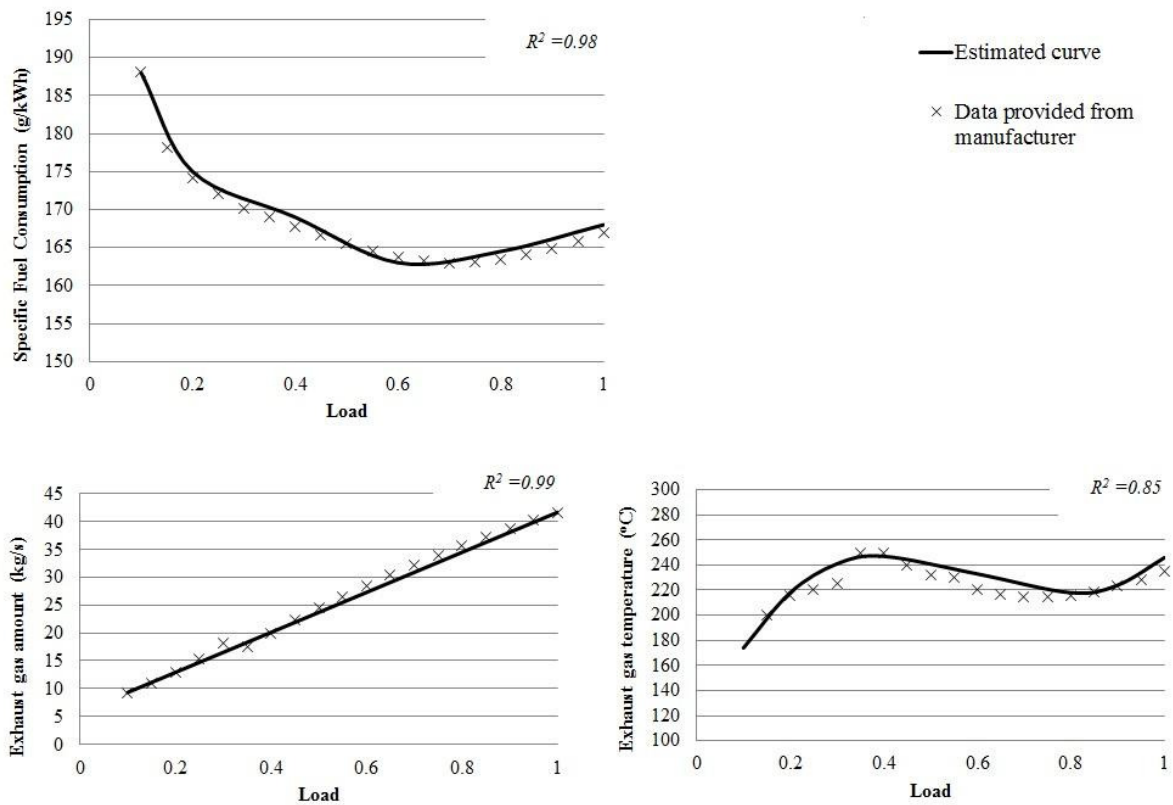
f <sub>ae</sub>	the set of fuel type alternatives for auxiliary engine {1..O <sub>fme</sub> }
f <sub>me</sub>	the set of fuel type alternatives for main engine {1..O <sub>fme</sub> }
f <sub>th</sub>	the set of fuel type alternatives for thermal boiler {1..O <sub>fth</sub> }
t <sub>ae</sub>	<i>the set of auxiliary electric alternative types {1...O<sub>ae</sub>}</i>
t <sub>me</sub>	<i>the set of main engine alternative types {1...O<sub>me</sub>}</i>
t <sub>th</sub>	<i>the set of thermal boiler alternative types {1...O<sub>th</sub>}</i>

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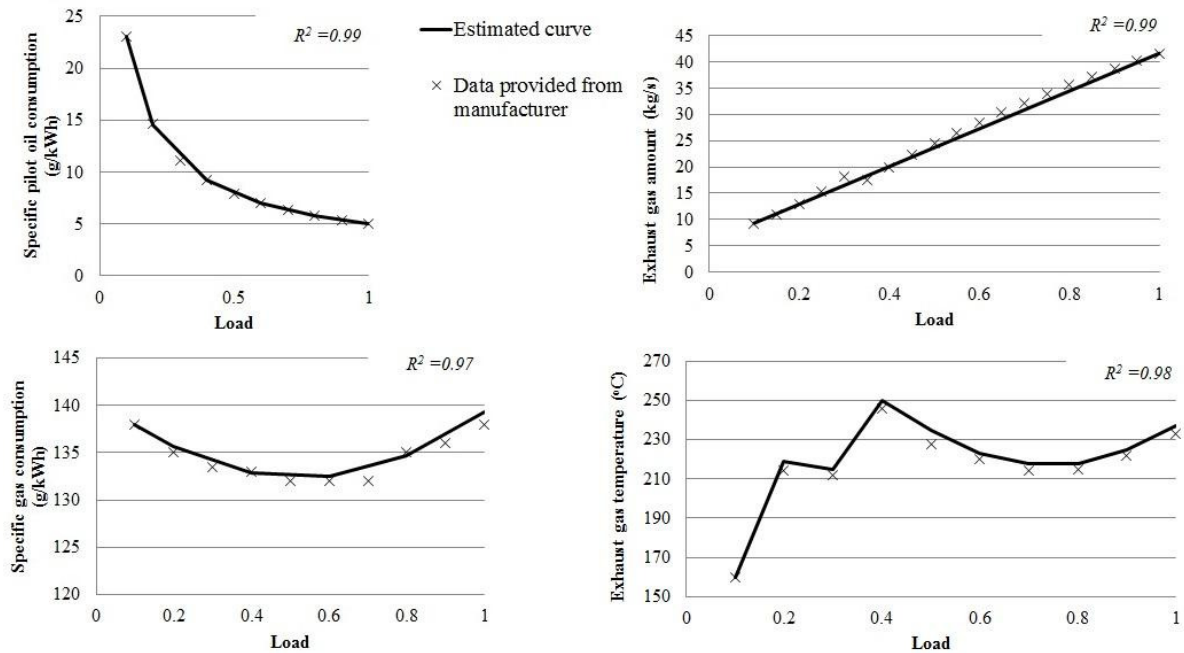
786 **Appendix A**

787 In this Appendix, the data points used for the regression as well as the curves derived by using the equations  
 788 provided in Tables 1 and 2 along with the constants provided in Tables 8 and 9 are presented. The performance  
 789 curves for a diesel engine are shown in Figure A.1, whereas the dual fuel engine performance curves in gas  
 790 mode are illustrated in Figure A.2. Both engines have a nominal power 18760 kW, which is close to the  
 791 required power of the investigated ship main engine. The calculated R-squared values are also displayed in these  
 792 figures, characterising the accuracy of the regression.



793

794 **Figure A.1 Performance curves for diesel engines (Nominal power 18760 kW)**



795

796 **Figure A.2 Performance curves for dual fuel engines in gas mode (Nominal power 18760 kW)**

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