

# Optimization of the Operation and Maintenance of Renewable Energy Systems by Deep Reinforcement Learning

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## 1 *Abstract*

2 Equipment of renewable energy systems are being supported by Prognostics & Health Management (PHM)  
3 capabilities to estimate their current health state and predict their Remaining Useful Life (RUL). The PHM health  
4 state estimates and RUL predictions can be used for the optimization of the systems Operation and Maintenance  
5 (O&M). This is an ambitious and challenging task, which requires to consider many factors, including the  
6 availability of maintenance crews, the variability of energy demand and production, the influence of the operating  
7 conditions on equipment performance and degradation and the long time horizons of renewable energy systems  
8 usage. In this work, we develop a novel formulation of the O&M optimization of renewable energy systems  
9 equipped with PHM capabilities as a sequential decision problem and we resort to Deep Reinforcement Learning  
10 (DRL) to solve it. The proposed solution approach combines Proximal Policy Optimization (PPO), as DRL  
11 algorithm, Imitation Learning (IL), for pre-training the learning agent, and a model of the environment which  
12 describes the renewable energy system behavior. The solution approach is tested by its application to a wind farm  
13 O&M problem. The optimal solution found is shown to outperform those provided by other DRL algorithms. Also,  
14 the approach does not require to select a-priori a maintenance strategy, such as corrective, scheduled, condition-  
15 based or predictive but, rather, it discovers the best performing policy by itself.

16  
17 *Keywords:* Renewable Energy Systems, Wind farm, Operation and Maintenance, Prognostics and Health  
18 Management, Optimization, Deep Reinforcement Learning.

## 19 *Acronyms and symbols*

20	ACER	Actor-Critic with Experience Replay	34	LCC	Life Cycle Cost
21	AHP	Analytic Hierarchy Process	35	MCDM	Multiple Criteria Decision Making
22	AI	Artificial Intelligence	36	O&M	Operation & Maintenance
23	CM	Corrective Maintenance	37	PdM	Predictive Maintenance
24	CPS	Cyber-Physical System	38	PHM	Prognostics and Health Management
25	DNN	Deep Neural Network	39	PM	Preventive Maintenance
26	DQN	Deep Q-Network	40	PPO	Proximal Policy Optimization
27	DRL	Deep Reinforcement Learning	41	RUL	Remaining Useful Life
28	ELECTRE	Elimination Et Choice Translating	42	RL	Reinforcement Learning
29		Reality	43	SDP	Sequential Decision Process
30	GA	Genetic Algorithm	44	TOPSIS	Technique for Order Preference by
31	IL	Imitation Learning	45		Similarity to Ideal Solution
32	IoT	Internet of Things	46	TPE	Tree-structured Parzen Estimator
33	IT	Information Technology	47	TRPO	Trust Region Policy Optimization

48	WT	Wind Turbine	88	$\Pi_{PM}$	Preventive maintenance downtime
49			89	$\mu_{CM}$	Corrective maintenance repair rate
50	$T_M$	Time horizon	90	$\mu_{PM}$	Preventive maintenance repair rate
51	$t$	Generic decision time	91	$U_{CM}$	Corrective maintenance cost
52	$N_{T_M}$	Number of times a decision is taken	92	$U_{PM}$	Preventive maintenance cost
53	$L$	Number of units	93	$MT_l$	Time needed to complete the
54	$l$	Generic unit	94		maintenance intervention of unit $l$
55	$\Lambda$	Set of units	95	$MT_t$	Vector containing the times to
56	$T_l$	Ground-truth failure time of unit $l$	96		complete the maintenance interventions
57	$T_l^*$	Failure time of unit $l$ in nominal	97		of the $L$ units at time $t$
58		conditions	98	$X_t$	Costs at time $t$
59	$f_{T_l^*}$	Probability density function of $T_l^*$	99	$\mathcal{S}$	State space
60	$\lambda_f$	Unit failure rate	100	$s$	Generic state
61	$\nu_\tau$	Degradation factor in non-nominal	101	$\mathbf{s}_t$	State vector at time $t$
62		conditions	102	$\mathcal{A}$	Action Space
63	$R_l^*$	RUL of unit $l$ in nominal conditions	103	$\mathbf{A}$	Vector of possible actions
64	$\hat{R}_l^*$	Estimate of the RUL of unit $l$ in	104	$a$	Generic action
65		nominal conditions	105	$a_t$	Scalar representing the action of the
66	$\hat{\mathbf{R}}_t^*$	Vector containing the RUL estimates	106		maintenance crew at time $t$
67		of the $L$ units at time $t$	107	$\mathcal{P}$	Transition probability
68	$\epsilon_R$	Error of the RUL estimate	108	$\mathcal{R}$	Reward function
69	$\sigma_R$	Standard deviation of $\epsilon_R$	109	$r_t$	Reward at time $t$
70	$Ag_l$	Age of unit $l$	110	$\gamma$	Discount factor
71	$\mathbf{A}g_t$	Vector containing the ages of the $L$	111	$\pi$	Generic policy
72		units at time $t$	112	$\pi^*$	Optimal policy
73	$P_l$	Ground-truth power production of unit	113	$V^\pi(s)$	Value function
74		$l$	114	$Q^\pi(s, a)$	Action-value function
75	$\hat{P}_l$	Estimate of the power production	115	$\hat{A}^\pi(s, a)$	Advantage function estimate
76	$\hat{\mathbf{P}}_t$	Vector containing the power	116	$F$	Objective function
77		production estimates of the $L$ units at	117	$\epsilon$	PPO clipping hyperparameter
78		time $t$	118	$v_{cut-in}$	Cut-in wind speed
79	$\epsilon_P$	Error of the power production estimate	119	$v_{rated}$	Rated wind speed
80	$\sigma_P$	Standard deviation of $\epsilon_P$	120	$v_{cut-out}$	Cut-out wind speed
81	$J$	Number of days for which the	121	$L'$	Number of units with inaccurate RUL
82		prediction of $P$ is available	122		predictions
83	$j$	Generic prediction day	123	$l'$	Generic unit with inaccurate RUL
84	$G_t$	Revenues at time $t$	124		predictions
85	$K$	Maximum revenue per unit	125	$\Lambda'$	Set of units with inaccurate RUL
86	$H$	Maintenance crew depot	126		predictions
87	$\Pi_{CM}$	Corrective maintenance downtime	127	$q_{PM}$	Restoration factor

## 128 **1. Introduction**

129 In the last years, the interest of the energy industry on renewable sources of energy has grown significantly due to  
130 social, economic and environmental perspectives (Sanz-Bobi, 2014). A renewable energy plant requires, like any  
131 other energy production plant, an Operation and Maintenance (O&M) strategy, for ensuring the proper functioning  
132 of the plant's components, reducing the risk of failure, and increasing the production availability of the overall  
133 system.

134 The recent developments of Information Technology (IT) have enabled the possibility of equipment monitoring  
135 and direct communications between machines within a Cyber-Physical System (CPS) (Ustundag and Cevikkan,  
136 2018). The implementation of this paradigm in the production and operation environments is often termed as  
137 Industry 4.0 (Tjahjono *et al.*, 2017), and exploits the combination of big data, Internet of Things (IoT), Cyber-  
138 Physical Systems and Artificial Intelligence (AI) to obtain environments where smart machines communicate with  
139 one another to enable the automation of production lines and the, monitoring, detection, elaboration of data and  
140 information for preventing equipment failures (Barreto, Amaral and Pereira, 2017). The final goal is not just to  
141 improve production management but also to effectively manage equipment and reduce downtime (Terrissa *et al.*,  
142 2016).

143 In this context, Prognostics and Health Management (PHM) plays a leading role, using condition monitoring data  
144 for estimating the equipment health state and predicting its Remaining Useful Life (RUL), i.e., the remaining  
145 amount of time that a component can be operated before it loses its functional capabilities (Okoh *et al.*, 2014).  
146 Several algorithms for RUL prediction have been developed (Simões, Gomes and Yasin, 2011) and several  
147 successful applications to industrial components have been reported in literature (Kwon *et al.*, 2016; Al-Dulaimi  
148 *et al.*, 2019; Cai *et al.*, 2020). In particular, Predictive Maintenance (PdM) exploits PHM outcomes to set efficient,  
149 maintenance interventions, which aim at providing the right part to the right place at the right time, giving,  
150 therefore, the opportunity of maximizing system availability and minimizing the Life Cycle Cost (LCC) of the  
151 system and the losses (Compare, Baraldi and Zio, 2020).

152 Although the advantages of PdM are intuitive, the application of PdM to renewable energy systems should consider  
153 the fact that the prediction of the RUL of an equipment must consider its future dynamic usage and management,  
154 and the effects on its degradation. For example, the RUL of the gearbox of a wind turbine is influenced by the  
155 future loading conditions, which, in turn, depend on the wind conditions and on the O&M decisions that are taken  
156 for optimal equipment usage and for responding to power demand. In many prognostic systems, future conditions  
157 of equipment usage are generally assumed constant or behaving according to some known stochastic process, i.e.,  
158 without considering the intertwined relation of RUL with O&M decisions (Ding *et al.*, 2018). Since this does not  
159 reflect reality, the RUL predictions that guide the O&M decisions are deemed to be incorrect and can lead to sub-  
160 optimal decisions (Bellani *et al.*, 2019). Also, O&M optimization of renewable energy systems should consider  
161 the availability of maintenance teams, the variability of demand and production, the long time horizons that  
162 characterize renewable energy usage and the uncertainty related to all the pieces of information.

163 In this context, the objective of the present work is to optimize O&M of renewable energy systems equipped with  
164 PHM capabilities. In order to deal with the issues presented above, the O&M management problem is formalized  
165 as a Sequential Decision Problem (SDP) over a long-time horizon. A SDP is characterized by the fact that the  
166 goodness of the selected action does not depend exclusively on the single decision, i.e. the goodness of the state  
167 entered as consequence of the selected action, but rather on the whole sequence of future decisions.

168 To solve the SDP, we adopt Deep Reinforcement Learning (DRL) (Sutton and Barto, 2018). Reinforcement  
169 Learning (RL) is a machine learning framework in which a learning agent optimizes its behavior by means of  
170 consecutive trial and error interactions with a white-box model of the system, i.e., a transparent and easily  
171 interpretable environment for the simulation of the system evolution, to find the optimal policy (Grondman *et al.*,  
172 2012), i.e. the function linking each system state to the action that maximizes a reward. RL has been shown able  
173 to solve complex decision-making problems in many fields (Li, 2017), including energy-related ones (Rocchetta  
174 *et al.*, 2019).

175 Although, in principle, tabular RL algorithms allow finding the exact solution of SDPs, in most practical cases  
176 their computational cost is not compatible with applications to complex systems (Sutton and Barto, 2018; Tavares  
177 and Chaimowicz, 2018). For this reason, we resort to DRL, which uses Deep Neural Networks (DNNs) to find an

178 approximate solution of the optimization problem. In particular, we adopt the Proximal Policy Optimization (PPO)  
179 algorithm (Schulman *et al.*, 2017), which is one of the state-of-the-art approaches for DRL implementation.  
180 The proposed framework is applied to a case study concerning the optimization of the O&M strategy of a wind  
181 farm. The application is meaningful since wind energy has become one of the most important alternatives for  
182 electricity production, with a growth rate larger than 10% in the last years according to the World Wind Energy  
183 Association (World Wind Energy Association, 2017). Furthermore, wind farms are characterized by O&M costs  
184 that can represent up to 20-25% of the entire life-cycle cost (Leite, Araújo and Rosas, 2018). For this reason, it is  
185 of utmost importance to develop methodologies to optimize O&M, to avoid unexpected outages due to failures  
186 and unnecessary maintenance interventions. The problem of maintenance optimization in wind farms has been  
187 reviewed in (Barberá *et al.*, 2013; Ding, Tian and Jin, 2013; Shafiee and Sørensen, 2019).  
188 The main novelties of the proposed approach with respect to those already developed for O&M in wind farms are:

- 189 • the use of RUL predictions for O&M optimization;
- 190 • the fact of establishing the maintenance policy without any a-priori assumption on the type of maintenance  
191 strategy, e.g., corrective, scheduled, condition-based, predictive. This allows defining a completely  
192 assumptions-free approach for O&M optimization. Notice the improvement with respect to state-of-the-art  
193 works, which are limited to optimizing the parameters, e.g., maintenance period or degradation threshold, of  
194 an a-priori established maintenance strategy;
- 195 • the possibility of accounting for the influence of the dynamic environment and the effects of the O&M actions  
196 performed, on the future evolution of the system.

197 The effectiveness of the proposed approach is shown by means of a comparison with other state-of-the-art and  
198 user-defined O&M strategies, on a case study which considers a wind farm composed of 30 Wind Turbines (WTs).  
199 The structure of the paper is as follows. In Section 2, we give an overview on state-of-the-art maintenance  
200 optimization methodologies. In Section 3, we introduce the problem statement and in Section 4 we discuss its  
201 formulation as a SDP. In Section 5, details about the RL algorithm adopted in this work are provided. In Section  
202 6, the case study concerning the wind farm is presented. Results are discussed in Section 7. In Section 8, further  
203 experiments are proposed and analyzed, and conclusions are drawn in Section 9.

## 204 **2. Maintenance in industrial systems**

205 Many studies have shown the possibility of increasing production availability of industrial systems by improving  
206 the effectiveness of maintenance (Coit and Zio, 2019; de Jonge and Scarf, 2020), whose activities amount to one  
207 of the largest costs.

208 Maintenance optimization approaches have, thus, been developed. They can be classified according to different  
209 taxonomies: *i)* optimization algorithms, *ii)* optimization criteria, *iii)* outcomes of the optimization *iv)*  
210 characteristics of the system.

211 With respect to the type of optimization algorithm (taxonomy *i)*, graphical methods (Labib and Yuniarto, 2009),  
212 Multiple Criteria Decision Making (MCDM) approaches based on Analytic Hierarchy Process (AHP) (Bevilacqua  
213 and Braglia, 2000), Technique for Order Preference by Similarity to Ideal Solution (TOPSIS) (Ding and  
214 Kamaruddin, 2012), and Elimination Et Choice Translating Reality (ELECTRE) (Trojan and Morais, 2012),  
215 combination of grid search algorithms and simulation methods based on Monte Carlo simulation (Fedele and Zio,  
216 2015; de Angelis, Patelli and Beer, 2017), Markov processes (Welte, Vatn and Heggset, 2006) and Petri nets  
217 (Santos, Teixeira and Soares, 2019), mixed integer programming (Nápoles-Rivera *et al.*, 2013), evolutionary  
218 algorithms (Haladuick and Dann, 2018; Mellal and Zio, 2019) and RL approaches (Kuhnle, Jakubik and Lanza,  
219 2019; Rocchetta *et al.*, 2019) have been developed.

220 With respect to the optimization criteria (taxonomy *ii*), the most commonly used criteria are of economic and  
221 safety nature, such as maintenance cost (Lin, Li and Zio, 2018; Wang, Zhu and Yuan, 2018), life-cycle cost  
222 (Morcoux and Lounis, 2005; Mellal, Zio and Williams, 2020), plant profit (Borgonovo, Marseguerra and Zio,  
223 2000; Oke, 2005), availability (Lagoune, Ait Mokhtae and Kheloufi, 2011; Mellal and Zio, 2019), reliability  
224 (Marseguerra, Zio and Podofillini, 2004; Li, Guo and Zhou, 2016), resilience (Dehghani, Mohammadi Darestani  
225 and Shafieezadeh, 2020; Fang *et al.*, 2021). Both single objective and multi-objective approaches have been  
226 proposed. To address issues related to specific applications, other optimization criteria such as personnel  
227 management (Ni and Jin, 2012), spare parts inventory (Marseguerra, Zio and Podofillini, 2005; Ilgin and Tunali,  
228 2007), environmental impact (García-Segura *et al.*, 2017) and production quality (Wang, Chu and Wu, 2007) have  
229 been considered.

230 With respect to the outcomes of the maintenance optimization (taxonomy *iii*), the methods can provide: *a*)  
231 indications to the technicians to assist in their maintenance decisions making and planning (Ben Said *et al.*, 2013),  
232 *b*) the best maintenance strategy among some a-priori defined alternatives (Haladuick and Dann, 2018), *c*) the  
233 optimal setting of the maintenance strategy, e.g., the optimal time interval between scheduled maintenance  
234 interventions (Compare, Martini and Zio, 2015; Javanmard and Koraeizadeh, 2016) or optimal degradation  
235 threshold in condition-based strategy (Marseguerra, Zio and Podofillini, 2002).

236 With respect to the characteristics of the considered systems (taxonomy *iv*), the methods can be distinguished  
237 between those addressing single-unit (Cha, Finkelstein and Levitin, 2017) and multi-unit systems (Vu *et al.*, 2014).  
238 Also systems characterized by different types of dependence among components have been considered:  
239 independent units (Bajestani and Banjevic, 2016), economic dependence, stochastic dependence, structural  
240 dependence and logistical dependence (Vu, Do and Barros, 2016; Farsi and Zio, 2020).

## 241 **2.1. Maintenance in the wind power industry**

242 For what concerns the optimization of maintenance in the wind power industry, various approaches have been  
243 proposed. In (Nielsen and Sørensen, 2011), a framework based on Bayesian updating is developed to optimize  
244 condition-based maintenance in offshore wind farms. In (Ding and Tian, 2011), an opportunistic maintenance plan  
245 has been optimized by simulating the effect of different parameters sets and considering the impact of imperfect  
246 maintenance. In (Tian *et al.*, 2011), a procedure to optimize failure probability thresholds assuming a condition-  
247 based maintenance strategy for WTs has been proposed. In (Carlos *et al.*, 2013), Genetic Algorithms (GAs)  
248 are used to optimize the scheduled maintenance strategy of a wind farm taking into account the stochasticity of  
249 wind power production. In (Nielsen and Sørensen, 2014), several methods for maintenance optimization of WTs,  
250 such as graphical, Bayesian and simulation-based approaches have been investigated. The authors have shown that  
251 the methods which make use of more sources of information and are able to provide time-variant policies are those  
252 which provide more satisfactory performance. In (Atashgar and Abdollahzadeh, 2016), an opportunistic  
253 maintenance strategy for a wind farm is optimized using particle swarm algorithm. In (Zhang *et al.*, 2017), the  
254 fruit fly optimization algorithm has been used to determine the optimal opportunistic maintenance threshold. In  
255 (Izquierdo *et al.*, 2019), GAs are used to optimize an opportunistic maintenance strategy considering the  
256 dependencies among several components. In (Santos, Teixeira and Soares, 2019), a Petri net-based simulation  
257 approach is used to compare the performance of several maintenance strategies with respect to the minimization  
258 of the maintenance cost of a wind farm. The work has shown that opportunistic corrective maintenance allows  
259 obtaining the best performance in the considered case study. In (Zhou *et al.*, 2020), mixed integer linear  
260 programming has been used to discover cost-effective joint preventive maintenance plans for three wind farms. to  
261 In (Yang *et al.*, 2020), an opportunistic maintenance strategy for a wind farm is developed using an artificial bee  
262 colony algorithm, which considers information about wind and aging. In (Zhang and Yang, 2021), GAs are used  
263 to optimize the maintenance schedules of adjacent wind farms taking into account resource allocation.

264 All these literature works address the maintenance optimization problem by selecting state-of-the-art maintenance  
265 approaches and choosing the best performing one or by tuning the parameters of an a-priori selected maintenance  
266 approach, e.g., planned periodic or condition-based, to obtain the best possible result with respect to the selected  
267 optimization criteria. This implies that the search space is restricted to a limited number of state-of-the-art or user-  
268 defined maintenance strategies. Also, although many works have discussed the possibility of estimating the RUL  
269 of WTs (Ziegler *et al.*, 2018; Njiri *et al.*, 2019), according to the authors' best knowledge, no work has exploited  
270 this information in a maintenance optimization approach applied to wind farms. Finally, even if RL has been  
271 already applied to several maintenance optimization problems, its capability in dealing with maintenance  
272 optimization of renewable energy systems and, in particular, of wind farms, has not been discussed, yet.

### 273 **3. Problem Statement**

274 We consider a renewable energy system composed of  $L$  independently degrading units. The time horizon,  $T_M$ , is  
275 discretized into  $N_{T_M}$  decision times and we indicate the generic decision time as  $t$ . Maintenance is performed by  
276 a maintenance crew. At each decision time, the possible destinations of the maintenance crew are the  $L$  units or  
277 the depot,  $H$ . Once the maintenance crew reaches the generic  $l - th$  unit, it performs: *i*) Preventive Maintenance  
278 (PM) if the unit is not failed, or *ii*) Corrective Maintenance (CM) if the unit is failed. Once the maintenance crew  
279 reaches the depot,  $H$ , it waits up to the next decision time,  $t + 1$ . The downtimes of the units caused by PM and  
280 CM actions,  $\Pi_{PM}$  and  $\Pi_{CM}$ , are uncertain quantities, with the downtime of PM interventions expected to be smaller  
281 than that of CM interventions, as logistic support issues have already been addressed (Compare *et al.*, 2018).

282 The costs of preventive and corrective maintenance actions are  $U_{PM}$  and  $U_{CM}$ , respectively, and take into account  
283 the maintenance equipment costs and the maintenance crew costs.

284 The  $l - th$  unit,  $l \in \Lambda = \{1, \dots, L\}$ , is equipped with a PHM system for the prediction of its RUL. A PHM system  
285 is typically composed of a monitoring system for the measurement, transmission and storing of the relevant  
286 physical quantities and algorithms for the evaluation of the system health state and prediction of the RUL  
287 (Aivaliotis, Georgoulas and Chryssolouris, 2018).

288 The production level  $P_l(t)$  of the  $l - th$  unit at time  $t$  represents the fraction of power produced at time  $t$  with  
289 respect to the absolute maximum power that can be produced by that unit.  $P_l(t)$  depends on the environmental  
290 conditions, which are typically estimated in advance using data-driven approaches (Haddad *et al.*, 2019; Nazir *et*  
291 *al.*, 2020), and the component degradation state, which is related to the component age,  $Ag_l$ . We assume to have  
292 available a model predicting at any time  $t$  the present production level,  $\hat{P}_l(t)$ , and the future ones,  $\hat{P}_l(t + j)$ , for  
293 the following  $J$  days.

294 At any time  $t$ , the revenue generated from the total system production,  $\sum_{l=1}^L P_l(t)$ , is indicated as  $G_t$ .

295 The objective of the work is to define the optimal O&M policy,  $\pi^*$ , i.e., the optimal sequence of actions to be  
296 taken at every decision instant  $t$  in order to maximize the system profit, i.e., the difference between revenues and  
297 costs, over the time horizon  $T_M$ .

### 298 **4. Problem Formulation**

299 We formulate the problem as a SDP defined by the set  $\langle \mathcal{S}, \mathcal{A}, \mathcal{P}, \mathcal{R}, \gamma \rangle$ , where:

- 300 •  $\mathcal{S}$  is the state-space, i.e., the set of variables describing the state of the system;
- 301 •  $\mathcal{A}$  is the action-space, i.e., the set of possible actions;
- 302 •  $\mathcal{P}$  represents the transition probability, i.e.,  $\mathcal{P}(s' | s, a)$  is the probability of making a transition from state  
303  $s$  to state  $s'$  by performing action  $a$ ;

- $\mathcal{R}$  is the reward function, i.e.,  $\mathcal{R}(s'|s, a)$  is the reward which is received as results of reaching state  $s'$  after performing action  $a$  in state  $s$ , and it is used to update the policy;
- $\gamma \in [0,1]$  is the discount factor, i.e., the factor used to evaluate the present value of future rewards.

In Subsections 4.1, 4.2 and 4.3, the state-space,  $\mathcal{S}$ , the action-state,  $\mathcal{A}$ , and the reward function,  $\mathcal{R}$ , are defined, respectively. In Subsection 4.4, the developed model of the environment is described. Notice that, since in RL the learning agent directly interacts with the model of the environment, the explicit definition of the transition function  $\mathcal{P}$  is not required.

#### 4.1. State-space

The state at time  $t$  contains all the information retrievable from the energy renewable system and its environment. It is defined by the vector  $\mathbf{s}_t = [\hat{\mathbf{R}}_t^*, \hat{\mathbf{P}}_t, \mathbf{MT}_t, \mathbf{Ag}_t, t]$ , obtained appending the vectors of the units RULs predicted at time  $t$  by the PHM system,  $\hat{\mathbf{R}}_t^* = [\hat{R}_1^*(t), \dots, \hat{R}_L^*(t)]$ , the predictions of the production of the units at time  $t, t+1, \dots, t+J$ ,  $\hat{\mathbf{P}}_t = [\hat{P}_1(t), \dots, \hat{P}_L(t), \hat{P}_1(t+1), \dots, \hat{P}_L(t+1), \dots, \hat{P}_1(t+J), \dots, \hat{P}_L(t+J)]$ , the times needed to complete the ongoing maintenance actions,  $\mathbf{MT}_t = [MT_1, \dots, MT_L]$ , which are set to 0 if the units are not under maintenance at time  $t$ , the current ages of the units  $\mathbf{Ag}_t = [Ag_1, \dots, Ag_L]$  and the current time  $t$ . The total dimensionality of the state-space is  $(4+J) \cdot L + 1$ .

#### 4.2. Action-space

The possible destinations, i.e., the  $L$  units and the depot, are organized in the vector  $\mathbf{A} = [a_1, \dots, a_{L+1}]$ , where  $a_l, l = 1, \dots, L$ , refers to the  $l$ -th unit and  $L+1$  to the depot. At any time  $t$ , a decision is taken about the next destination of the maintenance crew. Namely, the learning agent returns as output a scalar  $a_t \in \mathbf{A}$ , that represents the destination of the crew. If one of the  $L$  units is selected as destination, the maintenance intervention, which can be preventive, if the unit is not failed, or corrective, if it is failed, starts as soon as the crew reaches the unit, whereas if the depot is selected as destination, the crew will start waiting for a new assignment as soon as it arrives at destination. When a maintenance operation starts, the corresponding unit is stopped and its production level becomes 0.

#### 4.3. Reward function

At every decision instant  $t$ , the learning agent receives a reward  $r_t$ :

$$r_t = G_t - X_t \quad (2)$$

where the revenue  $G_t$  at time  $t$  is directly proportional to the total system production:

$$G_t = \sum_{l=1}^L K \cdot P_l(t) \quad (3)$$

being  $K$  the maximum revenue per unit, i.e., the revenue obtained when  $P_l(t) = 1$ . The maintenance cost  $X_t$  at time  $t$  is:

$$X_t = \sum_{l=1}^L U_{PM} \cdot I_{t < T_l}(t) \cdot I_{a_t = a_l}(t) + U_{CM} \cdot I_{t \geq T_l}(t) \cdot I_{a_t = a_l}(t) \quad (4)$$

where  $I_{t < T_l}$ ,  $I_{t \geq T_l}$  and  $I_{a_t = a_l}$  are Boolean variables equal to 1 only when the condition at the subscript is satisfied. In practice,  $I_{t \geq T_l}$  ( $I_{t < T_l}$ ) indicates whether the component has (not) already failed at time  $t$  and therefore should



340 undertake corrective (preventive) maintenance.  $I_{a_t=a_l}$  indicates whether the  $l$ -th unit has been selected as  
341 destination for the maintenance crew at time  $t$ .

342

#### 343 **4.4. Model of the environment**

344 Despite that the learning agent can discover the optimal O&M policy by means of direct interactions with the real-  
345 world system, this turns out to be unfeasible in the case of renewable energy systems for economic, safety and  
346 time issues (Sutton and Barto, 2018). Due to the trial-and-error nature of the learning process, the agent would  
347 need to perform several times actions suggested by the algorithm to explore their outcomes, leading to  
348 economically inconvenient and unsafe system management in the early stages of the learning process, when they  
349 are not yet optimal. Thus, the learning agent is trained using a white-box model of the system of interest.

350 The model of the environment developed in this work includes a stochastic model of the unit failure time, which  
351 is based on: *i*) a probability density function,  $f_{T_l^*}(t)$ , describing the failure time of the  $l$ -th unit,  $T_l^*$ , assuming  
352 that it works until failure in nominal operating conditions *ii*) a law which allows computing the unit ground-truth  
353 failure time,  $T_l$ , considering  $T_l^*$  and the operating conditions actually experienced by the unit during its entire life.  
354 The white-box model of the system uses the two components in *i*) and *ii*) to represent the operating conditions'  
355 influence on the degradation process and consequent failure time.

356 At any decision time,  $t \in \{1, \dots, T_M\}$ , the PHM system predicts the  $l$ -th unit RUL,  $\hat{R}_l^*(t)$ ,  $l = 1, \dots, L$ , assuming  
357 that it works in nominal operating conditions for the rest of its useful life. The prediction is affected by an error  
358  $\epsilon_R \sim N(0, \sigma_R)$ , which describes the uncertainty due to the aleatory nature of the degradation process, the  
359 measurement error and the epistemic uncertainty of the prediction model (Baraldi, Mangili and Zio, 2013; Deng,  
360 Santos and Curran, 2020).

361 We assume to have available a model predicting at any time  $t$  the present production level,  $\hat{P}_l(t)$ , and the future  
362 ones,  $\hat{P}_l(t + j)$ ,  $j = 1, \dots, J$ , for the following  $J$  days,

$$363 \quad \hat{P}_l(t + j) = P_l(t + j) + \epsilon_P \quad j = 0, \dots, J \quad (1)$$

364 where  $P_l(t + j)$  is the ground-truth production level and  $\epsilon_P \sim N(0, \sigma_P)$  is the model prediction error.

365 The training of the learning agent is performed using the white-box model of the environment, whereas the actual  
366 data collected from the real-world renewable energy system can be fed to the RL algorithm, which provides as  
367 output the O&M actions to be performed.

368

### 369 **5. Reinforcement Learning Algorithms**

370 A schematic view of the general RL procedure is shown in Figure 1. At each decision time, the learning agent  
371 observes the state of the environment and selects the action to be performed. This action leads to a change of the  
372 environment state and to a reward that is given as feedback to the agent for learning. By repeating this procedure  
373 several times, the learning agent discovers the optimal policy,  $\pi^*$ , which maps the possible environment states into  
374 the most suitable actions.

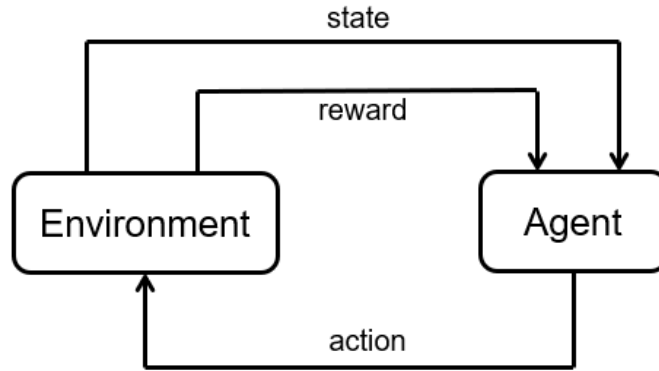


Figure 1. Schematic representation of RL.

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377 RL algorithms can be classified into three groups: *policy search*, *value function* and *actor-critic* methods (Konda  
378 and Tsitsiklis, 2000). Policy search methods directly look for the optimal policy by learning a parameterized policy  
379 through which optimal actions are selected. The update of the policy parameters can be performed by means of  
380 gradient-free methods, e.g., evolutionary algorithms, or gradient-based methods, e.g. REINFORCE algorithms  
381 (Williams, 1992). Even if these methods have been shown to be effective in high dimensional or continuous actions  
382 spaces, they typically suffer from high variance in the estimates of the gradient and tend to converge to local  
383 optima rather than to the global optimum (Grondman *et al.*, 2012).

384 Differently, value function methods learn the value of being in a particular state and, then, select the optimal action  
385 according to the estimated state values. A well-known example of value function method is Deep Q-Networks  
386 (DQN) (Mnih *et al.*, 2015), in which a DNN is used to approximate the action-value function,  $Q^\pi(s, a)$ , for each  
387 possible state-action pair. Then, the optimal policy  $\pi^*$  is the one that maximizes the action-value function  
388  $Q^{\pi^*}(s, a)$ :

389

$$\pi^* = \operatorname{argmax}_a Q^\pi(s, a) \quad (5)$$

390 On one hand, the non-linear function approximation of the action-value function provided by the DNN allows  
391 dealing with complex systems for which an analytical treatment is unfeasible, but, on the other hand, it can  
392 introduce instability and divergence in the learning process, mainly because of two sources of correlations: among  
393 consecutive observations, and among the action-values and the target values of the learning process. Several  
394 improvements have been proposed to deal with this issue, such as experience replay and target networks (Mnih *et al.*,  
395 2015). Experience replay stores transitions in a cyclic buffer from which training batches are randomly sampled  
396 in order to remove the correlations in the sequence of observations and to increase the method sample efficiency,  
397 whereas target networks rely on a second DNN, with a different set of weights from those used to select the most  
398 suitable action, to provide the target of the learning process. These weights are only periodically updated to remove  
399 the correlations between the action-value function  $Q$  and the target values. Value function methods usually show  
400 slow convergence rate and have been shown to fail on many simple problems (Schulman *et al.*, 2017).

401 Actor-Critic methods learn both the value function and the policy in an attempt to combine the strong points of  
402 value function and policy search methods (Konda and Tsitsiklis, 2000). Actor-Critic methods consist of two  
403 models: the critic, which learns the value function and the actor, which learns the policy by updating the parameters  
404 in the direction suggested by the critic.

405 In this work, the RL algorithm adopted to optimize O&M in a renewable energy system is PPO (Schulman *et al.*,  
406 2017). PPO is an actor-critic algorithm, which aims at monotonically improving the policy during the learning  
407 process. PPO can be considered an enhancement of Trust Region Policy Optimization (TRPO) (Schulman *et al.*,

408 2015), in which the monotonicity of the improvement is guaranteed by means of a constraint that can be managed  
 409 by means of second order approximations. The main idea is to avoid too large policy updates, which can increase  
 410 the probability of accidental performance collapses. In PPO, the complexity of the second order approximations  
 411 used in TRPO is overcome by clipping the objective function, which is defined as:

$$412 \quad F = \mathbb{E}_t \left[ \min \left( \frac{\pi(a|s)}{\pi_{old}(a|s)} \hat{A}^\pi(s, a), \text{clip} \left( \frac{\pi(a|s)}{\pi_{old}(a|s)}, 1 - \epsilon, 1 + \epsilon \right) \hat{A}^\pi(s, a) \right) \right] \quad (6)$$

413 where  $\epsilon$  is an hyperparameter used to perform the clipping operation and  $\hat{A}^\pi(s, a)$  is an estimator of the advantage  
 414 function, defined as the difference between the action-value function,  $Q^\pi(s, a)$ , and the value function,  $V^\pi(s)$ , for  
 415 a given state  $s$ :

$$416 \quad A^\pi(s, a) = Q^\pi(s, a) - V^\pi(s) \quad (7)$$

417 The advantage function informs about the gain on the reward that can be obtained by performing a particular action  
 418  $a$  in state  $s$ , with respect to the reward obtained on average from that state. Its use allows reducing the variability  
 419 of the objective function that would be obtained directly using the action-value function,  $Q^\pi(s, a)$  (Baird III, 1993).  
 420 According to Eq.(6), the objective function is defined as the minimum between an unclipped and a clipped version  
 421 of the objective function used in TRPO (Schulman *et al.*, 2017). The minimum is used to define a lower, i.e.,  
 422 pessimistic, bound on the unclipped objective and the clipping operation is used as a regularizer that discourages  
 423 to dramatically change the updated policy from the old one. PPO is considered relatively easy to implement and  
 424 tune, and despite its simplicity, it has been shown able to outperform many state-of-the-art approaches on several  
 425 benchmarks (Schulman *et al.*, 2017).

426 Finally, since the state space is very large, it can be hard for the agent to find the optimal action to be performed  
 427 in every state in an efficient way starting from a random initialization of the neural network. This problem has  
 428 been tackled by including domain knowledge in the learning process using methods such as reward shaping  
 429 (Mataric, 1994) and state-action similarity solutions (Rosenfeld, Taylor and Kraus, 2017). In this work, we resort  
 430 to Imitation Learning (IL) (Hester *et al.*, 2017), which consists in pre-training the agent to reproduce a heuristic  
 431 policy by means of supervised learning and, then, fine-tuning the agent using RL. Notice that imitation learning  
 432 allows exploiting the experts' knowledge about existing maintenance practices.

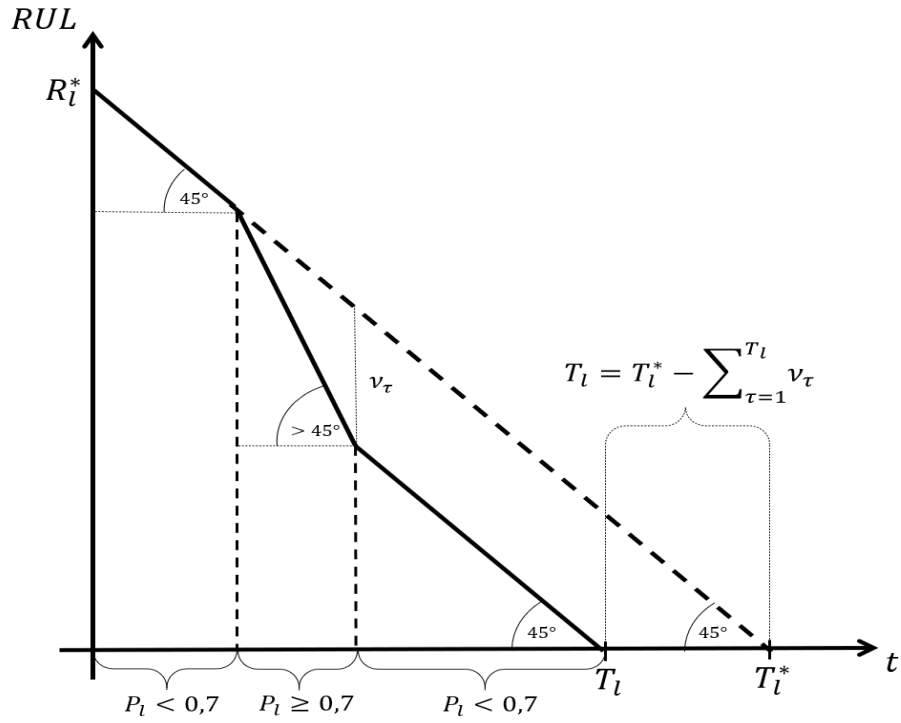
## 433 **6. Case Study**

434 We consider a wind farm composed of  $L = 30$  identical 1.3MW WTs, each one equipped with a dedicated PHM  
 435 system over a time horizon of  $T_M = 5000$  days. We assume that a WT works in nominal conditions when its  
 436 production level  $P_l(t)$  is lower than 0.7. The failure time,  $T_l^*$ , of a WT operating in nominal conditions is  
 437 distributed as an exponential distribution with failure rate  $\lambda_f = 6.58 \cdot 10^{-3}$  days<sup>-1</sup>, obtained by modeling the WT  
 438 as a series equivalent of sub-systems, whose failure rates are set equal to the values reported in (Ozturk, Fthenakis  
 439 and Faulstich, 2018). Sampled failure times lower than 75 days are not considered to assure an acceptable value  
 440 of useful life after each maintenance intervention and to avoid the rise of behaviors associable to maintenance-  
 441 induced failures, for which RUL after maintenance is lower than RUL before maintenance (Jackson and Mailler,  
 442 2013).

443 The effect of operation in non-nominal conditions characterized by  $P_l(t) \geq 0.7$  is to increase the degradation  
 444 speed and, therefore, to reduce the useful life of the WT (Figure 2). This is modeled by assuming that for each  
 445 time step in which the WT operates at  $P_l(t) \geq 0.7$ , the useful life of the WT decreases of a random quantity  $v \sim$   
 446  $U(1,5)$  days. In practice, the ground-truth failure time,  $T_l$ , of the  $l - th$  WT is given by:

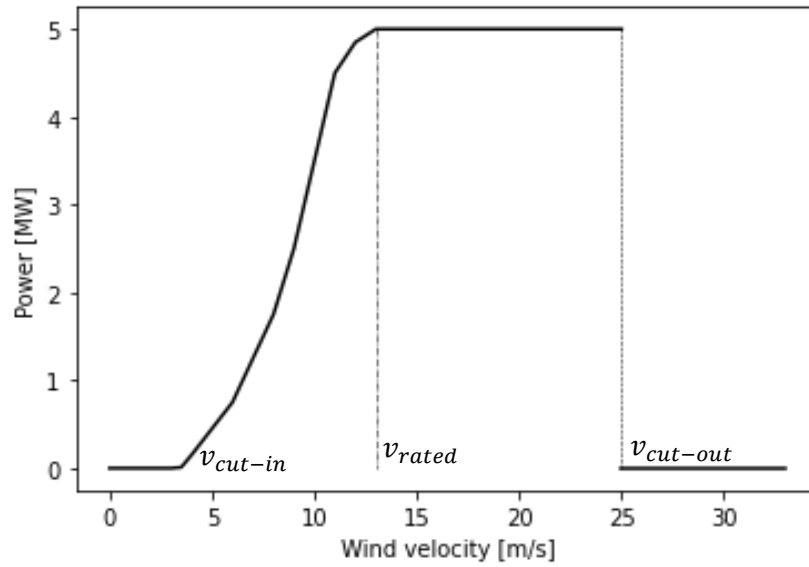
$$T_l = T_l^* - \sum_{\tau=1}^{T_l} v_{\tau} \quad (8)$$

448 The PHM system of the  $l - th$  WT provides at each time  $t$  a prediction  $\hat{R}_l^*(t)$  of the WT RUL in nominal condition,  
 449  $R_l^*(t)$ . The RUL prediction is affected by a Gaussian error with mean equal to 0 and standard deviation  $\sigma_R = 0.1 \cdot$   
 450  $R_l^*(t)$ . The variance of the error is decreasing as time passes in consideration of the fact that RUL predictions  
 451 become more accurate as the WT approaches the failure time (Liu, Zio and Hu, 2018). The wind speed is simulated  
 452 using the Markov model developed in (Shamshad et al., 2005). In particular, historical data are used to compute  
 453 the transition probabilities of a Markov chain whose states represent different wind speed ranges. The Markov  
 454 model is, then, used to generate wind speed trajectories of the desired length. In this work, we consider 33 wind  
 455 velocity ranges of  $1 \frac{m}{s}$ . Starting from the wind velocity trajectories, the power production is, then, estimated by  
 456 means of the power curve shown in Figure 3, where  $v_{cut-in} = 3.5 \frac{m}{s}$ ,  $v_{rated} = 13 \frac{m}{s}$  and  $v_{cut-out} = 25 \frac{m}{s}$ ,  
 457 according to the data available for 1.3MW WTs (Bauer and Matysik, 2011). Notice that the WT produces power  
 458 only when the wind speed is in the range  $[v_{cut-in}, v_{cut-out}]$ , since for values lower than  $v_{cut-in}$  the wind speed  
 459 is too low for the turbine blades to start rotating and for values larger than  $v_{cut-out}$  the WT is disconnected to  
 460 avoid catastrophic failures. The nominal power value is reached for wind speed larger than or equal to  $v_{rated}$ .  
 461 The influence of the WT degradation on the power production is modeled assuming that the WT performance  
 462 declines by 1.6% per year according to (Staffell and Green, 2014). This is implemented by accordingly reducing  
 463 the maximum achievable power production at each time step. We consider both PM and CM to be perfect, i.e., the  
 464 maximum achievable power production is restored to its original value after each maintenance intervention.  
 465 Figure 4 shows a simulated trajectory of the power produced by a WT.  
 466 We assume that there is a prediction algorithm that allows estimating the future power production for the following  
 467  $J = 2$  days. Then, at every decision time  $t$ , the value of the predicted production,  $\hat{P}_l$ , for the present and following  
 468  $J$  days, is set according to Eq.(3) with  $\sigma_P = 0.05$ . The maintenance times are sampled from exponential  
 469 distributions with repair rate  $\mu_{PM} = 2.94 \text{ days}^{-1}$  and  $\mu_{CM} = 1.83 \text{ days}^{-1}$ , for preventive and corrective  
 470 maintenance, respectively, setting  $\mu_{PM}$  and  $\mu_{CM}$  equal to the inverse of the mean values of the PM and CM repair  
 471 times of different WT sub-systems (Carroll, McDonald and McMillan, 2016). The maximum daily revenue per  
 472 unit is set equal to  $K = 96$ , whereas the cost of PM and CM actions are  $U_{PM} = 180$  and  $U_{CM} = 2247$  (Carroll,  
 473 McDonald and McMillan, 2016), all in arbitrary units.  
 474 Finally, the discount factor,  $\gamma$ , as been set equal to 0.99.



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Figure 2. Dependence of the ground-truth failure time,  $T_l$ , on the operating conditions.



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Figure 3. Wind turbine power curve.

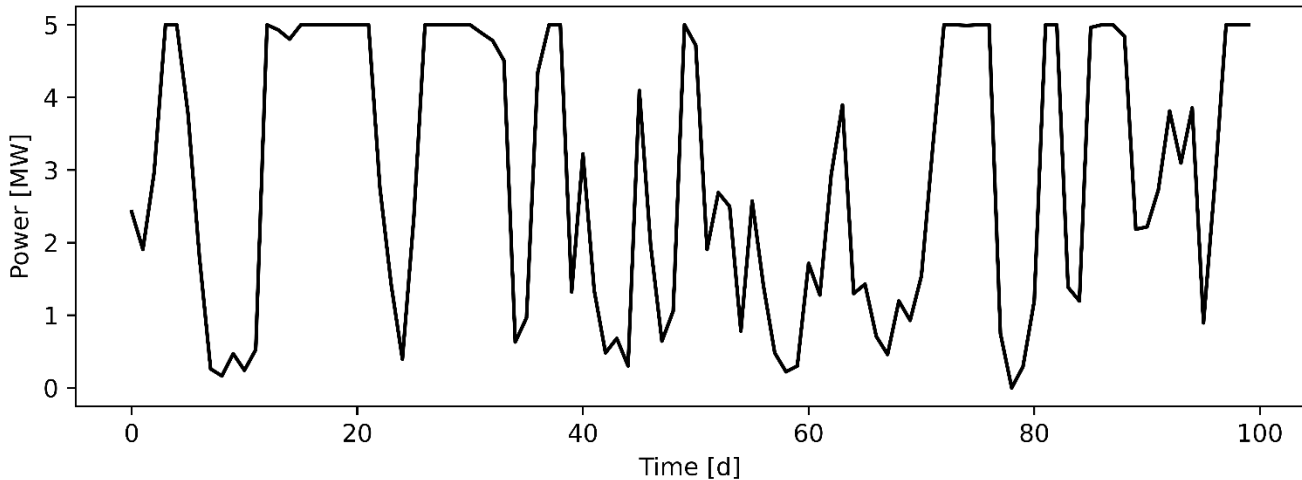


Figure 4. Example of simulated power production trajectory.

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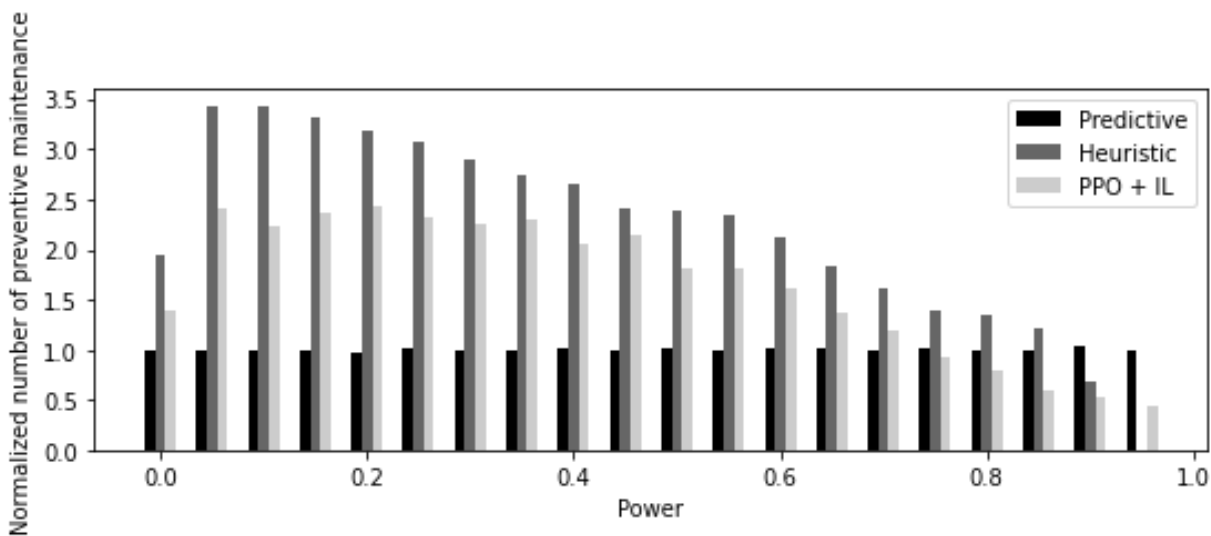
## 481 7. Results

482 We resort to a feedforward neural network characterized by 2 hidden layers of 64 neurons each, as learning agent.  
483 The IL step is performed by simulating 500 predictive maintenance trajectories and training the learning agent for  
484 40 epochs. The PPO clipping hyperparameters  $\epsilon$  is set equal to 0.2 and training lasts for a total of  $10^6$  time steps  
485 using 8 actors in parallel. The computations have been performed on two Intel® Xeon® CPUs at 2.30 GHz with  
486 13 GB of RAM using Python.

487 The PPO-based RL optimized policy has been compared with the following user-defined strategies over 100 test  
488 episodes: *i*) a corrective maintenance strategy, *ii*) a scheduled maintenance strategy in which the maintenance  
489 interventions are scheduled at regular intervals, *iii*) a predictive maintenance strategy in which the maintenance  
490 interventions are performed only when the turbine RUL estimation is smaller than a user-defined threshold and *iv*)  
491 a predictive-heuristic maintenance strategy in which the maintenance intervention is planned when both the turbine  
492 RUL and future power production are below user-defined thresholds. The latter strategy has been introduced to  
493 consider the possibility of manually modifying the predictive maintenance strategy to take into account the  
494 information on the production level. The hyperparameters of all these maintenance strategies, i.e., time interval  
495 between two consecutive maintenance interventions for scheduled maintenance, degradation threshold for  
496 predictive maintenance, degradation and power thresholds for predictive-heuristic maintenance, have been set by  
497 optimizing the profit over 250 episodes using the Tree-structured Parzen Estimator (TPE) algorithm (Bergstra et  
498 al., 2011). The performance of the proposed PPO-based RL approach has been compared also to two other state-  
499 of-the-art RL algorithms: *v*) a value function method, i.e., DQN with experience replay and target network and *vi*)  
500 an actor-critic method, i.e., sample-efficient Actor-Critic with Experience Replay (ACER) (Wang *et al.*, 2017),  
501 which improves sample efficiency by introducing experience replay for actor-critic algorithms. The experience  
502 replay buffer size has been set equal to 50000 and to 5000 for DQN and ACER, respectively, and the training lasts  
503  $2 \cdot 10^6$  and  $10^6$  time steps, respectively, since DQN generally requires longer training times to converge.

504 The obtained performance over 100 test episodes are reported in Table 1. All the RL policies provide better  
505 performance than the corrective and scheduled maintenance strategies, which are the maintenance strategies most  
506 commonly applied to WTs (Pattison *et al.*, 2016). The DQN-based and the PPO-based policies are characterized  
507 by performances comparable to the predictive and predictive-heuristic strategies, which exploit the information  
508 about the equipment health state. The PPO-based policy is able to increase the profit of 1% with respect to the  
509 predictive strategy, despite that it does not reduce the number of preventive maintenance interventions and the  
510 number of failures. This is because the learning agent prefers to perform a larger number of maintenance

511 interventions to keep the WT in low degradation states characterized by larger production levels and, on the other  
 512 side, accepts the risk of failure when the predicted power production is large. Figure 5 shows the number of PM  
 513 interventions performed by the predictive, predictive-heuristic and PPO-based policies, normalized by the number  
 514 of time steps in which the unit production is at a given power level. The predictive strategy performs the same  
 515 number of maintenance actions at every power level, the predictive-heuristic strategy performs many interventions  
 516 at low power levels and few interventions at large power levels, with no interventions at power levels larger than  
 517 0.95, whereas the RL agent prefers to perform maintenance at low power levels but, differently from the predictive-  
 518 heuristic strategy, it sometimes performs maintenance when the power is equal to one, in order to avoid failures.  
 519 It is interesting to observe that, even if IL has been used to pre-train the RL agent to approximate the optimal  
 520 predictive strategy, PPO is able to identify a different and better performing strategy.  
 521 Finally, considering the last column of Table 1, it can be noticed that the DRL-based approaches require larger  
 522 computational times to identify the optimal policy than that required for the optimization of the maintenance  
 523 interval (scheduled maintenance), RUL thresholds (predictive maintenance), RUL and power thresholds  
 524 (predictive-heuristic) by the TPE algorithm. This is due to the fact that the investigated RL approaches are  
 525 composed of two stages (IL and RL) both requiring the training of a DNN, which is usually characterized by long  
 526 computational time. Nevertheless, the computational times are still acceptable since they are limited to a few hours.  
 527 Also, once the optimal policy has been found, it can be applied in almost real time to obtain the action to be  
 528 performed given the environment data.



529  
 530 *Figure 5. Normalized number of preventive maintenance interventions as a function of the power level.*  
 531

Table 1. Performance of the tested strategies in terms of average profit over 100 test episodes.

Maintenance strategy	Average profit (Ranking)	Number of corrective maintenance interventions (Ranking)	Number of preventive maintenance interventions (Ranking)	Computational time [s] (Ranking)
Corrective	$(2.84 \pm 0.13) \cdot 10^6$ (7)	$1550.91 \pm 37.12$ (7)	$0.00 \pm 0.00$ (1)	0.00 (1)
Scheduled	$(4.10 \pm 0.08) \cdot 10^6$ (6)	$1009.97 \pm 25.54$ (6)	$2066.07 \pm 25.82$ (5)	2075.44 (4)
Predictive	$(7.27 \pm 0.01) \cdot 10^6$ (2)	$0.51 \pm 1.24$ (1)	$1685.15 \pm 39.84$ (3)	2031.95 (2)
Predictive-heuristic	$(7.25 \pm 0.02) \cdot 10^6$ (3)	$1.55 \pm 3.03$ (2)	$2070.44 \pm 52.61$ (6)	2070.35 (3)
PPO + IL	$(7.34 \pm 0.01) \cdot 10^6$ (1)	$1.69 \pm 1.46$ (3)	$1819.65 \pm 45.42$ (4)	11479.97 (5)
DQN + IL	$(6.69 \pm 0.11) \cdot 10^6$ (4)	$43.53 \pm 15.13$ (4)	$3139.84 \pm 95.21$ (7)	32148.44 (7)
ACER + IL	$(4.45 \pm 0.02) \cdot 10^6$ (5)	$47.04 \pm 4.67$ (5)	$1533.44 \pm 49.17$ (2)	16330.63 (6)

533

## 8. Further experiments

534

The robustness of the proposed method in discovering the optimal policy,  $\pi^*$ , is verified further by performing experiments which consider renewable energy systems with different characteristics and subject to unexpected issues.

535

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### 8.1. Experiment 1

539

The objective of this experiment is to investigate the robustness of the proposed method with respect to possible underperformance of the PHM system, which can have several causes, such as sensor failures or the onset of degradation mechanisms not considered by the prognostic model. To this aim, we modify the case study presented in Section 6 by assuming that a subset of  $L' = 5$  WTs,  $\Lambda' = \{1, \dots, L'\} \subset \Lambda$ , is equipped with PHM systems providing less accurate RUL predictions, specifically characterized by an error with a standard deviation  $\sigma_R^{l'}$  equal to  $0.99 \cdot R_l^*$ . Figure 6-a shows the accurate RUL predictions obtained for the generic  $l - th$  WT, with  $l \notin \Lambda'$ , and

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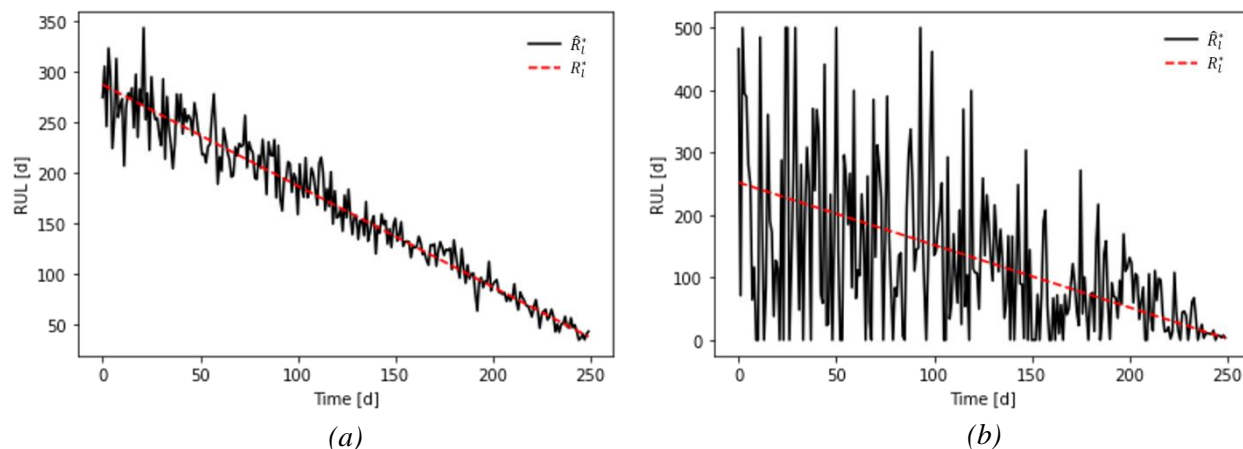
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545 Figure 6-b shows the inaccurate RUL predictions of the  $l' - th$  WT, with  $l' \in \Lambda'$ . The performance of the tested  
546 strategies over 100 test episodes are reported in Table 2.



547  
548

Figure 6. Comparison between the RUL prediction in case of small prediction error (a) and large prediction error (b).

549 The PPO-based RL policy is able to outperform the scheduled one, which is the best performing strategy among  
550 the state-of-the-art strategies and of the other RL approaches, providing an increment of 2.5% in terms of average  
551 profit with respect to the scheduled maintenance strategy.

552 Predictive and predictive-heuristic maintenance strategies perform a too large number of preventive maintenance  
553 interventions on the WTs equipped with underperforming PHM systems. PPO-based RL policy adopts a policy  
554 similar to a scheduled maintenance strategy for the five WTs of the set  $\Lambda'$ , which allow reducing the number of  
555 unnecessary maintenance interventions without significantly increasing the number of corrective interventions.  
556 Finally, despite a suboptimal policy has been used in the IL step, i.e., the predictive maintenance strategy, the  
557 learning agent is able to find the best performing policy. This allows us to conclude that IL does not force the  
558 learning agent to converge to an a-priori selected maintenance policy and does not require the a-priori knowledge  
559 of the best performing maintenance policy.

560

561

Table 2. Comparison of the performance of the tested strategies in terms of average profit over 100 test episodes.

Maintenance strategy	Average profit (Ranking)	Number of corrective maintenance interventions (Ranking)	Number of preventive maintenance interventions (Ranking)	Number of corrective maintenance interventions on units $l' \in \Lambda'$ (Ranking)	Number of preventive maintenance interventions on unit $l' \in \Lambda'$ (Ranking)
Corrective	$(4.45 \pm 0.09) \cdot 10^6$ (6)	$1385.86 \pm 37.76$ (7)	$0.00 \pm 0.00$ (1)	$233.43 \pm 14.56$ (7)	$0.00 \pm 0.00$ (1)
Scheduled	$(6.81 \pm 0.02) \cdot 10^6$ (2)	$40.84 \pm 8.80$ (2)	$3606.06 \pm 14.18$ (4)	$7.45 \pm 3.52$ (3)	$599.71 \pm 6.38$ (2)
Predictive	$(6.67 \pm 0.02) \cdot 10^6$ (4)	$14.93 \pm 8.80$ (1)	$4422.08 \pm 28.45$ (7)	$0.01 \pm 0.10$ (1)	$3394.41 \pm 27.26$ (7)
Predictive-heuristic	$(6.70 \pm 0.04) \cdot 10^6$ (3)	$52.37 \pm 19.97$ (4)	$4032.24 \pm 41.02$ (5)	$0.12 \pm 0.40$ (2)	$2965.32 \pm 39.83$ (5)
PPO + IL	$(6.99 \pm 0.04) \cdot 10^6$ (1)	$46.31 \pm 10.27$ (3)	$2434.98 \pm 40.64$ (3)	$14.45 \pm 5.02$ (5)	$753.09 \pm 23.30$ (3)
DQN + IL	$(5.85 \pm 0.14) \cdot 10^6$ (5)	$143.97 \pm 19.81$ (6)	$4417.65 \pm 51.11$ (6)	$19.47 \pm 4.19$ (6)	$3347.79 \pm 47.49$ (6)
ACER + IL	$(4.25 \pm 0.08) \cdot 10^6$ (7)	$61.66 \pm 15.43$ (5)	$2073.90 \pm 39.27$ (2)	$8.09 \pm 5.66$ (4)	$1262.94 \pm 29.24$ (4)

563

564

## 8.2. Experiment 2

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In this experiment, investigate whether the proposed approach is able to discover an optimal policy even in situations in which there is not a clear advantage in performing PM with respect to CM, and for which state-of-the-art and user-defined strategies are characterized by similar performance in terms of profit.

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To this aim, the cost of PM has been increased to  $U_{PM} = 1000$  arbitrary units, which is more than five times the cost considered in the case study of Section 6, the WT failure rate has been decreased to  $\lambda_f = 1.81 \cdot 10^{-3}$  days<sup>-1</sup>,

569

570

571

which is less than one third of the failure rate considered in the case study of Section 6 and the WTs degrade their performance with a large degradation rate equal to 16% per year, which is ten times the degradation rate

572

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considered in the case study of Section 6. Also, the PM interventions are assumed to be imperfect, i.e., each PM intervention is characterized by a restoration factor  $q_{PM}$  sampled from a uniform distribution  $U(0.35, 0.75)$ . In

574

practice, after each PM intervention, the age  $Ag_l(t)$  of the  $l$ -th unit is:

575

$$Ag_l(t) = Ag_l(t - 1) - q_{PM} \cdot Ag_l(t - 1) \quad (9)$$

576 In this experiment, CM is expected to perform better than PM in some circumstances, e.g., when a unit is very  
 577 degraded (large age). Also, the impact of the age on the wind farm power production is amplified.  
 578 The performance of the tested strategies over 100 test episodes are reported in Table 3.

579

*Table 3. Comparison of the performance of the tested strategies in terms of average profit over 100 test episodes.*

<b>Maintenance strategy</b>	<b>Average profit (Ranking)</b>	<b>Number of corrective maintenance interventions (Ranking)</b>	<b>Number of preventive maintenance interventions (Ranking)</b>
Corrective	$(5.63 \pm 0.08) \cdot 10^6$ (6)	$405.12 \pm 23.03$ (6)	$0.00 \pm 0.00$ (1)
Scheduled	$(5.70 \pm 0.06) \cdot 10^6$ (5)	$32.07 \pm 20.63$ (7)	$396.16 \pm 17.86$ (3)
Predictive	$(5.72 \pm 0.12) \cdot 10^6$ (2)	$0.00 \pm 0.00$ (1)	$402.42 \pm 25.35$ (4)
Predictive-heuristic	$(5.71 \pm 0.11) \cdot 10^6$ (4)	$0.61 \pm 1.02$ (2)	$409.55 \pm 29.45$ (5)
PPO + IL	$(5.76 \pm 0.10) \cdot 10^6$ (1)	$6.07 \pm 2.85$ (4)	$426.38 \pm 24.94$ (6)
DQN + IL	$(5.71 \pm 0.12) \cdot 10^6$ (3)	$3.53 \pm 2.34$ (3)	$544.78 \pm 37.54$ (7)
ACER + IL	$(3.82 \pm 0.11) \cdot 10^6$ (7)	$21.95 \pm 3.93$ (5)	$272.8 \pm 23.73$ (2)

580 It can be noticed that all strategies are characterized by similar performances, except for the policy found by the  
 581 ACER-based RL, that is not able to properly deal with the environment of this case study. In particular, the  
 582 corrective and the scheduled maintenance strategies are now characterized by good performance since the CM are  
 583 no more strongly penalized. The PPO-based RL policy is again the best performing policy with an increment of  
 584 0.7% in terms of average profit with respect to the predictive maintenance strategy. The PPO-based RL policy,  
 585 differently from the predictive and the predictive-heuristic strategies and from the case study in Section 6, performs  
 586 a larger number of CM interventions, which, however, allow increasing the profit since they improve the WT's  
 587 health state more than the PM interventions.

## 9. Conclusions

589 A DRL-based approach for O&M optimization of renewable energy systems has been developed. It combines  
 590 PPO, IL and a stochastic model of the environment which enables simulating the behavior of the renewable energy  
 591 system. Its application to a wind farm of 30 WTs has shown that the proposed policy outperforms traditional  
 592 maintenance strategies and other policies found by state-of-the-art DRL-based approaches, such as DQN and  
 593 ACER, allowing increasing the average profit by 1% with respect to a predictive maintenance approach and by  
 594 10% with respect to DQN. Also, differently from the other approaches for maintenance optimization, which require  
 595 to select a maintenance strategy and, then, optimize its parameters, the proposed approach does not require to  
 596 select a-priori a maintenance strategy: it is able to automatically identify maintenance policies based on corrective  
 597 or on preventive maintenance interventions, depending on the characteristics of the system, such as maintenance  
 598 costs and accuracy of PHM algorithm predictions, and on the available sources of information and their  
 599 uncertainties.

600 Future work will consider: *i*) the development of more advanced models of the environment which represent each  
 601 unit as an engineering system formed by several interacting components, each one characterized by different  
 602 degradation behavior, failure severity and impact on the power production, *ii*) the extension to the case in which  
 603 more than one case maintenance crews are available and *iii*) the application of the O&M policy obtained using the  
 604 model of the environment to data collected from a real-world renewable energy system.

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