

Improved Immune Algorithm for Power Economic Dispatch Considering Units with Prohibited Operating Zones and Spinning Reserve

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Abstract—This study proposes an improved immune algorithm (IIA) with multiplier updating (MU) for power economic dispatch (PED) considering units with both of prohibited operating zones (POZ) and spinning reserve. The IIA equipped with an accelerated operation and a migration operation can efficiently search and actively explore solutions. The MU is introduced to handle the equality and inequality constraints of the power system. To show the advantages of the proposed algorithm, three realistic examples are investigated, and computational results of the proposed method are compared with that of previous methods. The proposed approach (IIA-MU) integrates the IIA and the MU, revealing that the proposed approach has the following merits - ease of implementation; applicability to non-convex fuel cost functions; better effectiveness than previous methods; better efficiency than immune algorithm with the MU (IA-MU), and the requirement for only a small population in applying the optimal PED problem of generators with POZ and spinning reserve.

Index Terms—Immune algorithm, Power economic dispatch, Prohibited operating zones, Spinning reserve.

I. INTRODUCTION

The PED problem is one of the most important optimization systems in a power system for allocating generation among the committed units to satisfy the system constraints imposed and minimize the energy requirements [1]. Power generators may possess some POZ between their minimum and maximum generation limits, because of the practical limitations of power plant elements. Operating in those zones may cause amplification of vibrations in a shaft bearing, which must be avoided in practice. The PED problem becomes a non-convex optimization problem because the prohibited regions separate the decision space into disjoint subsets constituting a non-convex solution space [2].

Some approaches have been adopted to resolve such PED problems with POZ. Lee *et al.* [2] decomposed the non-convex decision space into a small number of subsets such that each of the associated dispatch problems, if feasible, was solved via the conventional Lagrangian relaxation approach. Fan *et al.* [3] defined a small and advantageous set of decision space with respect to the system demand, used an algorithm to determine the most advantageous space, and then utilized the λ - δ iterative method to find the feasible optimal

dispatch solution. For infeasible solutions, they re-dispatch the units using some heuristic rules to probe the neighborhood for feasibility. Su *et al.*, [4] employed a linear input-output model for neurons, enabling the development of an operational model for rapidly resolving the PED problems. Yalcinoz *et al.* [5] proposed an improved Hopfield neural network that used a slack variable technique to handle inequality constraints by mapping process for obtaining the weights and biases. Chiou [6] used a hybrid differential evolution (HDE) with variable scaling (VS-HDE) for the PED problem with the POZ.

IIA [7] is inspired by immunology, immune function and principles observed in nature. IIA is a very intricate biological system which accounts for resistance of a living body against harmful foreign entities. It is now interest of many researchers and has been successfully used in various areas of research [8], [9].

II. SYSTEM FORMULATION

Generally, the PED problem with some units possessing POZ can be mathematically stated as follows [10]:

$$\text{Minimize} \quad \sum_{i=1, i \in \Omega}^{N_p} F_i(P_i) \quad (1)$$

where $F_i(P_i)$ is the fuel cost function of the unit i , P_i is the power generated by unit i , N_p is the number of on-line units, and Ω is the set of all on-line units. The PED problem subject to the following constraints:

A. Power Balance Constraint

The equality constraint of the power balance is given by:

$$\sum_{i=1}^{N_p} P_i = P_d + P_L \quad (2)$$

where P_d is the system load demand, and P_L is the transmission loss.

B. System Limits

The generating capacity constraints are written as:

$$P_i^{\min} \leq P_i \leq P_i^{\max}, \quad i=1, \dots, n_p \quad (3)$$

where P_i^{\min} and P_i^{\max} are the minimum and maximum power outputs of unit i .

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C. System Spinning Reserve Constraints

Units with spinning reserve can be are given as:

$$\sum_i S_i \geq S_R \quad (4)$$

$$S_i = \min \{ (P_i^{\max} - P_i), \quad S_i^{\max} \} \quad \forall i \in (\Omega - \omega) \quad (5)$$

$$S_i = 0 \quad \forall i \in \omega \quad (6)$$

where S_i is spinning reserve contribution of unit i in MW, S_R stands system spinning reserve requirement in MW, P_i^{\max} is maximum generation limit of unit i , S_i^{\max} denotes maximum spinning reserve contribution of unit i , and Ω is set of all on-line units with prohibited zones. Due to a unit with prohibited zones may operate into one of its zones while system load is regulating, it is shown in (6) that this kind of units should not contribute any regulating reserve to the system. In other words, system spinning reserve requirement must be satisfied by way of regulating the units without prohibited zones.

D. Units with POZ

The unit operating range denotes the effects of a generator with POZ [2]:

$$\begin{aligned} P_i^{\min} \leq P_i \leq P_{i,1}^l \quad or \\ P_{i,j-1}^u \leq P_i \leq P_{i,j}^l, \quad j = 2, \dots, n_i \quad or \\ P_{i,n_i}^u \leq P_i \leq P_i^{\max}, \quad \forall i \in \omega \end{aligned} \quad (7)$$

where P_i^{\max} is maximum generation limit of unit i , $P_{i,j}^l$ and $P_{i,j}^u$ respectively are the lower and upper bounds of prohibited zone j of unit i , n_i is the number of prohibited zones in unit i , and Ω is set of all on-line units with prohibited zones. Clearly, the entire operating region of a dispatching unit with n_i prohibited zones is divided into (n_i+1) disjoint operating sub-regions. The total number of decision sub-spaces caused by that division may be counted as follows:

$$N = \prod_{i \in \omega} (n_i + 1) \quad (8)$$

Equation (5) shows that the total number of decision sub-spaces rises extremely quickly as the number of units with prohibited zones rises.

III. THE PROPOSED IIA-MU

A. The IIA

In IA [9], mimics these biological principles of clone generation, proliferation and maturation. The main steps of IA based on clonal selection principle are activation of antibodies, proliferation and differentiation on the encounter of cells with antigens, maturation by carrying out affinity maturation process, eliminating old antibodies to maintain the diversity of antibodies and to avoid premature convergence, selection of those antibodies whose affinities with the antigen are greater. In order to emulate IA in optimization, the

antibodies and affinity are taken as the feasible solutions and the objective function respectively.

Generally, the IA involves two critical issues (evolutionary direction and population diversity). As the evolutionary direction is effective in searching, the strong evolutionary direction can reduce the computational burden and increase the probability of rapidly finding an (possibly local) optimum. As population diversity is increased, the genotype of the offspring differs more from the parent. Accordingly, a highly diverse population can increase the probability of exploring the global optimum and prevent a premature convergence to a local optimum. These two important factors are here balanced by both employing the accelerated operation and migration [11] in the proposed IIA that can determine an efficacious direction in which to search for a solution and simultaneously maintain an appropriate diversity for a small population.

B. The MU

Michalewicz *et al.*, [12] surveyed and compared several constraint-handling techniques used in evolutionary algorithms. Among these techniques, the penalty function method is one of the most popularly used to handle constraints. In this method, the objective function includes a penalty function that is composed of the squared or absolute constraint violation terms. Powell [13] noted that classical optimization methods include a penalty function have certain weaknesses that become most serious when penalty parameters are large. More importantly, large penalty parameters ill condition the penalty function so that obtaining a good solution is difficult. However, if the penalty parameters are too small, the constraint violation does not contribute a high cost to the penalty function. Accordingly, choosing appropriate penalty parameters is not trivial. Herein, the MU [14] is introduced to handle this constrained optimization problem. Such a technique can overcome the ill conditioned property of the objective function.

Considering the nonlinear problem with general constraints as follows:

$$\begin{aligned} \min F(x) \\ \text{subject to } h_k(x) = 0, \quad k = 1, \dots, m_e \\ g_k(x) \leq 0, \quad k = 1, \dots, m_i \end{aligned} \quad (9)$$

where $h_k(x)$ and $g_k(x)$ stand for equality and inequality constraints, respectively.

The augmented Lagrange function (ALF) [13] for constrained optimization problems is defined as:

$$\begin{aligned} L_a(x, v, \nu) = f(x) + \\ \sum_{k=1}^{m_e} \alpha_k \{ [h_k(x) + \nu_k]^2 - \nu_k^2 \} + \sum_{k=1}^{m_i} \beta_k \{ \langle g_k(x) + \nu_k \rangle_+^2 - \nu_k^2 \} \end{aligned} \quad (10)$$

where α_k and β_k are the positive penalty parameters, and the corresponding Lagrange multipliers $\mathbf{v} = (\nu_1, \dots, \nu_{m_e})$ and $\mathbf{v} = (\nu_1, \dots, \nu_{m_i}) \geq 0$ are associated with equality and inequality constraints, respectively.

The contour of the ALF does not change shape between generations while constraints are linear. Therefore, the contour of the ALF is simply shifted or biased in relation to the original objective function, $f(x)$. Consequently, small

penalty parameters can be used in the MU. However, the shape of contour of L_a is changed by penalty parameters while the constraints are nonlinear, demonstrating that large penalty parameters still create computational difficulties. Adaptive penalty parameters of the MU are employed to alleviate the above difficulties, and Table I presents computational procedures of the MU. More details of the MU have shown in [15].

Fig. 1 displays the flow chart of the proposed algorithm, which has two iterative loops. The ALF is used to obtain a minimum value in the inner loop with the given penalty parameters and multipliers, which are then updated in the outer loop toward producing an upper limit of L_a . When both inner and outer iterations become sufficiently large, the ALF converges to a saddle-point of the dual problem [15]. Advantages of the proposed IIA-MU are that the IIA efficiently searches the optimal solution in the economic dispatch process and the MU effectively tackles system constraints.

TABLE I: COMPUTATIONAL PROCEDURES OF THE MU

Step 1.	Set the initial iteration $l=0$. Set initial multiplier, $v_k^l = v_k^0 = 0, k=1, \dots, m_e$, $v_k^l = v_k^0 = 0, k=1, \dots, m_i$, and the initial penalty parameters, $\alpha_k > 0, k=1, \dots, m_e$ and $\beta_k > 0, k=1, \dots, m_i$. Set tolerance of the maximum constraint violation, ε_k (e.g. $\varepsilon_k = 10^{-32}$), and the scalar factors, $\omega_1 > 1$ and $\omega_2 > 1$.
Step 2.	Use a minimization solver, e.g. IIA, to solve $L_a(x, v^l, v^l)$. Let x_b^l be a minimum solution to the problem $L_a(x, v^l, v^l)$.
Step 3.	Evaluate the maximum constraint violation as $\hat{\varepsilon}_k = \max\{ \max_k h_k , \max_k g_k, -v_k \}$, and establish the following sets of equality and inequality constraints whose violations have not been improved by the factor ω_1 : $I_E = \{ k : h_k > \frac{\varepsilon_k}{\omega_1}, k=1, \dots, m_e \}$ $I_I = \{ k : \max(g_k, -v_k) > \frac{\varepsilon_k}{\omega_1}, k=1, \dots, m_i \}$
Step 4.	If $\hat{\varepsilon}_k \geq \varepsilon_k$, let $\alpha_k = \omega_2 \alpha_k$ and $v_k^{l+1} = v_k^l / \omega_2$ for all $k \in I_E$, let $\beta_k = \omega_2 \beta_k$ and $v_k^{l+1} = v_k^l / \omega_2$ for all $k \in I_I$, and go to step 7. Otherwise, go to step 5.
Step 5.	Update the multipliers as follows: $v_k^{l+1} = h_k(x_b^l) + v_k^l$ $v_k^{l+1} = \langle g_k(x_b^l) + v_k^l \rangle_+ = v_k^l + \max\{g_k(x_b^l) - v_k^l, 0\}$
Step 6.	If $\hat{\varepsilon}_k \leq \varepsilon_k / \omega_1$, let $\varepsilon_k = \hat{\varepsilon}_k$ and go to step 7. Otherwise, let $\alpha_k = \omega_2 \alpha_k$ and $v_k^{l+1} = v_k^l / \omega_2$ for all $k \in I_E$, and let $\beta_k = \omega_2 \beta_k$ and $v_k^{l+1} = v_k^l / \omega_2$ for all $k \in I_I$. Let $\varepsilon_k = \hat{\varepsilon}_k$ and go to step 7.
Step 7.	If the maximum iteration reaches, stop. Otherwise, repeat steps 2 to 6.

IV. SYSTEM SIMULATIONS

This section investigates three examples to illustrate the effectiveness of the proposed algorithm with respect to the quality of the solution obtained. The first example compares the proposed IIA-MU with the previous methods and immune algorithm with the MU (IA-MU) in terms of production cost for a 5-unit system. The second and third examples compare the IIA-MU with the previous methods and IA-MU in terms of production cost for a 15-unit system, without and with

transmission loss, in which four units (Units 2, 5, 6 and 12) have POZ and spinning Reserve.

The proposed IIA-MU was directly coded using real values, and the computation was implemented on a personal computer (P5-3.0 GHz) in FORTRAN-90. Setting factors utilized in these examples were as follows: the population size N_p was set to 5 and 10 for the proposed IIA-MU and IA-MU, respectively. Iteration numbers of the outer loop and inner loop were set to (outer, inner) as (50, 5000) for the proposed IIA-MU in all examples. For most setting of the parameters, the proposed method is able to converge satisfactorily.

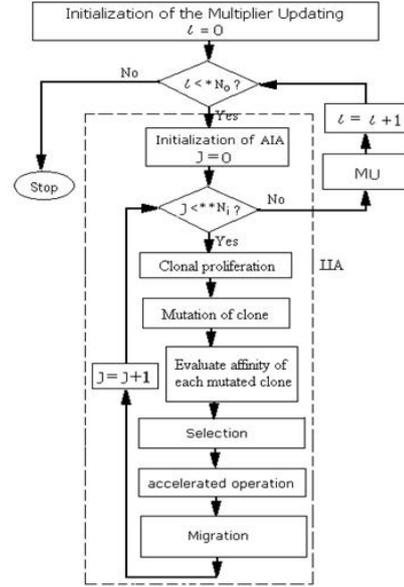


Fig. 1. The flow chart of the IIA-MU.

*No: maximum number of iterations of outer loop
 **Ni: maximum number of iterations of inner loop

TABLE II: COMPUTATIONAL RESULTS OF THE PREVIOUS METHODS AND THE PROPOSED IGAMUM FOR EXAMPLE 1

Items	λ - δ Method [3]	EP Method [16]	IIA-MU
P ₁ (MW)	238.33	240.00	238.13
P ₂ (MW)	210.00	210.00	210.00
P ₃ (MW)	250.00	250.00	250.00
P ₄ (MW)	238.33	223.07	238.46
P ₅ (MW)	238.33	251.93	238.41
Total power (MW)	1,174.99	1,175.00	1,175.00
Total cost (\$/h)	11,492.51	11,493.23	11,492.50

A. 5-Unit Test System

This example system has five on-line units with the following input-output cost functions:

$$F_i(P_i) = 350 + 8P_i + 0.01P_i^2 + 1 \cdot 10^{-6} P_i^3 \$/h \quad (11)$$

where $i = 1, \dots, 5$. The operating limits are $120 \text{ MW} < P_i < 450 \text{ MW}$ for $i = 1, 2, \dots, 5$. Units 1, 2 and 3 have POZ as defined in [3], these zones result in a non-convex decision space composed of 27 convex sub-spaces. The system load demand P_D and spinning reserve S_R are 1175 MW and 100 MW, respectively.

For comparison, Table II lists the computational results of the proposed IIA-MU, the λ - δ Method [3], and the EP Method [16]. The total cost obtained by the IIA-MU is satisfactory compared with that obtained by the λ - δ method [3] and the EP method [16].

Fan *et al.*, [3] defined a small and advantageous set of decision space with respect to the system demand, used an algorithm to determine the most advantageous space, and then utilized the $\lambda - \delta$ iterative method to find the feasible optimal dispatch solution. For infeasible solutions, they re-dispatch the units using some heuristic rules to probe the neighborhood for feasibility. The IIA-MU combines the IIA and the MU. The IIA can efficiently search and actively explore solutions, the MU avoids deforming the augmented Lagrange function and resulting in difficulty of solution searching. Unlike the method [3], it requires neither the decomposition of the non-convex decision space nor the determination of the advantageous set of decision space before solving via this conventional approach.

B. 15-Unit Test System without Transmission Loss

To further demonstrate the effectiveness of the proposed method, a larger practical system of units with POZ having non-convex cost functions and spinning reserve was addressed in this example, which is identical to that used by Lee *et al.* [2]. The remaining units will contribute with regulating reserves [17]. This system supplies a 2650MW load demand with 200MW as spinning reserve. This system has 15 on-line units supplying a system demand of 2650MW. Among these dispatching generators, units 2, 5 and 6 have three POZ, and unit 12 has two POZ, forming 192 decision sub-spaces for this realistic system. The implementation of this example can be represented as follows:

$$\begin{aligned}
 g_1 : & P_2^{150} \leq P_2 \leq P_{2,1}^{185}, \text{ or } P_{2,1}^{225} \leq P_2 \leq P_{2,2}^{305}, \text{ or } P_{2,2}^{335} \leq P_2 \leq P_{2,3}^{420}, \text{ or } P_{2,3}^{450} \leq P_2 \leq P_2^{455} \\
 g_2 : & P_5^{105} \leq P_5 \leq P_{5,1}^{180}, \text{ or } P_{5,1}^{200} \leq P_5 \leq P_{5,2}^{260}, \text{ or } P_{5,2}^{335} \leq P_5 \leq P_{5,3}^{390}, \text{ or } P_{5,3}^{420} \leq P_5 \leq P_5^{470} \\
 g_3 : & P_6^{135} \leq P_6 \leq P_{6,1}^{230}, \text{ or } P_{6,1}^{255} \leq P_6 \leq P_{6,2}^{365}, \text{ or } P_{6,2}^{395} \leq P_6 \leq P_{6,3}^{430}, \text{ or } P_{6,3}^{455} \leq P_6 \leq P_6^{460} \\
 g_4 : & P_{12}^{20} \leq P_{12} \leq P_{12,1}^{30}, \text{ or } P_{12,1}^{55} \leq P_{12} \leq P_{12,2}^{65}, \text{ or } P_{12,2}^{75} \leq P_{12} \leq P_{12}^{80} \\
 g_5 : & S_R - \sum_{i=1}^{15} S_i \leq 0
 \end{aligned} \tag{15}$$

TABLE III: COMPARED RESULTS WITHOUT LOSS OF THE PREVIOUS METHODS, IIA-MU AND THE IIA-MU

Items	λ - δ [2]	λ - δ [3]	Hopfield[4]	Hopfield [5]	IA-MU	IIA-MU
P_1 (MW)	450	450.0	449.4	454.6976	449.5282	449.7871
P_2 (MW)	450	450.0	450	454.6976	450.3446	450.1138
P_3 (MW)	130	130.0	130	129.3512	130.0000	130.0000
P_4 (MW)	130	130.0	130	129.3512	130.0000	130.0000
P_5 (MW)	335	335.0	335	244.9966	335.0000	335.0002
P_6 (MW)	455	455.0	455	459.6919	455.1289	455.0763
P_7 (MW)	465	465.0	464.9	464.6916	464.9983	465.0000
P_8 (MW)	60	60.0	60	60.0938	60.0000	60.0000
P_9 (MW)	25	25.0	25	25.0496	25.0000	25.0000
P_{10} (MW)	20	20.0	20	89.1023	20.0000	20.0000
P_{11} (MW)	20	20.0	20	20.0338	20.0000	20.0000
P_{12} (MW)	55	55.0	55	63.1815	55.0000	55.0226
P_{13} (MW)	25	25.0	25	25.0527	25.0000	25.0000
P_{14} (MW)	15	15.0	15	15.0044	15.0000	15.0000
P_{15} (MW)	15	15.0	15	15.0044	15.0000	15.0000
TP (MW)	2650	2650	2649.3	2650.0002	2650.0000	2650.0000
sum_{Si} (MW)	235	235.0	235.7	231.8996	235.4735	235.2129
TC (\$/h)	32,549.8	32,544.99	32,538.4	32,568	32,544.991	32,544.9820
$CPU_time(s)$	-	-	-	-	9.17	5.24

$$L_a(x, v, \nu) = f(x) + \alpha_1 \{ [h_1(x) + \nu_1]^2 - \nu_1^2 \} + \sum_{k=1}^5 \beta_k \{ \langle g_k(x) + \nu_k \rangle_+^2 - \nu_k^2 \} \tag{12}$$

$$\text{objective: } \min_{x=(P_1, P_2, \dots, P_{15})} f(x) = \sum_{i=1}^{15} F_i(P_i) \tag{13}$$

$$\text{subject to } h_i : \sum_{i=1}^{15} P_i - P_d - P_L = 0 \tag{14}$$

This complex optimization problem contains one objective function with fifteen variable parameters, $(P_1, P_2, \dots, P_{15})$, one equality constraint, (h_1) and five inequality constraints, since four units have the POZ, $(g_1$ to $g_4)$, and the spinning reserve constraint (g_5) .

Table III lists five algorithms of this problem with POZ and spinning reserve constraints obtained by two λ - δ methods, two Hopfield methods and the proposed IIAE-MU. Computational results demonstrate that the proposed method is a little better than the two λ - δ methods and the Hopfield method. Even though the Hopfield method has a little less total cost than the proposed method, but its total generated power is 2649.3 MW, which is 0.7 MW less than the system load demand. In Table III, the sum_{Si} and CPU_time stand the sum of spinning reserve and simulation time obtained from the method, respectively.

Table III reveals that the proposed IIA-MU not only has the lowest total cost (TC) of all methods tested, but also generates the exact total power (TP) for the system constraints of (14) and (15), showing that the proposed algorithm is more effective than other methods for the practical PED problem with POZ.

C. 15-Unit Test System with Transmission Loss

Moreover, Table IV shows compared results obtained with the previous variable scaling HDE (VSHDE) [6], the GA [6],

simulated annealing (SA) [6] and the propose IIA-MU for the system with the transmission loss. The result obtained by the VSHDE method is an infeasible solution, because generations of Unit 2 and Unit 5, (P_2 and P_5), are located in POZ, respectively. The proposed algorithm also yields better solution quality than other methods in the PED problem considering both of POZ and spinning reserve.

TABLE IV: COMPARED RESULTS CONSIDERING LOSS OF THE PREVIOUS METHODS, IA-MU AND THE IIA-MU

Items	GA[6]	SA[6]	HDE[6]	VSHDE[6]	IA-MU	IIA-MU
P_1 (MW)	415.85	413.22	455.00	454.74	454.6601	455.0000
P_2 (MW)	450.00	167.67	336.16	424.96*	454.7876	374.9743
P_3 (MW)	111.87	99.91	128.39	129.87	129.8046	130.0000
P_4 (MW)	121.46	21.36	129.92	129.99	129.8046	130.0000
P_5 (MW)	340.84	449.20	420.00	397.36*	150.0000	461.3456
P_6 (MW)	455.00	296.28	418.73	500.00	459.7877	460.0000
P_7 (MW)	333.78	360.15	443.03	464.75	378.1636	348.9075
P_8 (MW)	81.84	287.99	60.00	60.00	60.0000	60.0000
P_9 (MW)	115.48	155.27	41.42	25.89	58.0321	25.0000
P_{10} (MW)	60.59	138.81	107.17	20.75	159.3928	97.0588
P_{11} (MW)	31.78	47.85	20.00	20.00	70.3950	20.0000
P_{12} (MW)	55.00	76.97	79.59	75.86	79.7293	80.0000
P_{13} (MW)	70.39	81.91	36.98	25.06	51.1945	25.0000
P_{14} (MW)	26.22	52.94	22.02	15.13	15.0489	17.4837
P_{15} (MW)	36.34	52.95	15.00	15.00	54.7096	28.6025
TP (MW)	2,704.46	2,702.49	2,713.40	2,719.35	2,705.5102	2,713.3724
P_L (MW)	56.45	52.49	63.41	69.35	55.5102	63.3724
sum_Si (MW)	307.86	218.90	246.65	230.53	201.1845	263.9138
TC (\$/h)	33,538.27	34,174.45	33,343.37	33,282.17#	33,454.3210	33,329.5860
CPU_time (s)	-	-	-	-	9.48	5.63

* An unit loading in a prohibited zone
An infeasible result

V. CONCLUSION

An efficient method for solving the optimal PED problem considering both of POZ and spinning reserve has been proposed, herein. The proposed approach integrates the IIA and the MU, showing that the proposed algorithm has the following merits - 1) ease of implementation; 2) applicability to non-convex fuel cost functions of the POZ and spinning reserve; 3) better effectiveness than the previous method; 4) better efficiency than IA-MU, and 5) the need for only a small population. System simulations have shown that the proposed approach has the advantages mentioned above for solving optimal PED problems of the system with POZ and spinning reserve.

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