



# A multi-hazard approach to assess severe weather-induced major power outage risks in the U.S.

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## ABSTRACT

Severe weather-induced power outages affect millions of people and cost billions of dollars of economic losses each year. The National Association of Regulatory Utility Commissioners have recently highlighted the importance of building electricity sector's resilience, and thereby enhancing service-security and long-term economic benefits. In this paper, we propose a multi-hazard approach to characterize the key predictors of severe weather-induced sustained power outages. We developed a *two-stage hybrid risk estimation model*, leveraging algorithmic data-mining techniques. We trained our risk models using publicly available information on historical major power outages, socio-economic data, state-level climatological observations, electricity consumption patterns and land-use data. Our results suggest that power outage risk is a function of various factors such as the type of natural hazard, expanse of overhead T&D systems, the extent of state-level rural versus urban areas, and potentially the levels of investments in operations/maintenance activities (e.g., tree-trimming, replacing old equipment, etc.). The proposed framework can help state regulatory commissions make risk-informed resilience investment decisions.

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## 1. Introduction and background

The U.S. electric power infrastructure is a highly complex and geographically extended socio-technical system, with varying degrees of connectivity and redundancy. The reliability and resilience of the electric power infrastructure system is a major concern worldwide, since our modern society is strongly dependent on adequate supply and delivery of electricity for its proper functioning. Due to the large-scale interdependencies between the electric sector and all other critical infrastructure systems in the U.S., disruption in this sector can adversely affect our national security, socio-economic conditions, public health, and the environment. The current U.S. electric power infrastructure is aging, and suffering from chronic under-investments. The existing capacity expansion plans in the electricity sector are not keeping pace with the society's rising demand [1]. On the other hand, under climate change, the frequency and/or intensity of extreme weather and climate events are increasing in many regions of the world [2–12]. Extreme weather and climate events are among the primary causes of infrastructure damage causing large-scale cascading power outages, or shifts in the end-use electricity demands leading to supply inadequacy risks in the United

States [12–19]. In fact, the weather and climate related outages have substantially increased over the past two decades [20]. Extreme hydro-climatological hazards such as storms, floods, wildfires, droughts, and heatwaves are imminent risks that can result in cascading outages, either due to physical damage or deviated electricity demand [19,17,21,22]. The extreme-weather induced impacts on the electric power infrastructure can be so severe that service restoration to ex-ante disaster condition might take weeks, months or sometimes even years [23,24]. A recent report by Climate Central (2014) indicated that higher frequency and intensity of severe weather and climate events under climate change will likely increase large-scale power outage risks in the U.S., that can affect millions of people, and cost the economy billions of dollars each year [20].

The large-scale blackouts, such as, (i) the Southwest Blackout in 2011 that left 2.7 million people without power for around 12 h; (ii) the Derecho in 2012 that impacted 4.2 million people across 11 states, and (iii) Super storm Sandy in 2012 that impacted more than 8.5 million people across several northeastern states (e.g., MD, DE, NJ, NY, CT, MA, RI), particularly highlight the extent to which the urban communities are vulnerable to electric power service interruptions [25,26]. Over the

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## Nomenclature

### Abbreviations

BART	Bayesian Additive Regression Trees
CPI	Consumer Price Index
FERC	Federal Energy Regulatory Commission
FRCC	Florida Reliability Coordinating Council
GWhr	Gigawatt-hour
NERC	North American Electric Reliability Corporation
NOAA	National Oceanic and Atmospheric Administration
NPCC	Northeast Power Coordinating Council
PDP	Partial Dependence Plot
RF	Random Forest
SPP	Southwest Power Pool, Inc.
SVM	Support Vector Machines
TRE	Texas Reliability Entity
U.S.	United States
USD	United States Dollar (\$)
WECC	Western Electricity Coordinating Council

period of 2003–2012, weather-related outages have cost the U.S. economy an inflation-adjusted annual average of \$20 billion to \$55 billion [27]. The U.S. has experienced 219 billion-dollar severe weather and climate disasters since 1980, total cost of which exceeded \$1.5 trillion (as of 2017) [25]. The year 2017 ranked first in terms of witnessing sixteen number of billion-dollar disasters in the U.S. (Fig. 1) [25].

Given the vulnerability of the grid, analyzing and minimizing the severe weather-induced power outage risks and thereby enhancing the resilience of the electric power sector is of utmost importance [28]. However, the federal and state-level risk and reliability metrics/standards for both electricity transmission and distribution (T&D) systems do not internalize the impacts of extreme events on electric power service and have no effective mechanisms for assessing/regulating the levels of preparedness and response during such events [29]. Moreover, while sig-

nificant research progress has been made in the areas of infrastructure risk and resilience impacted by natural hazards—leveraging different approaches such as simulation, optimization, network theory or empirical analysis—several gaps exist in the body of knowledge and the state-of-the-art practice. Most of the previous research studies have focused on analyzing the impact of a specific type of extreme event on the power infrastructure systems. For example, the performance of electric power systems during and after the impacts of various specific types of storms and hurricanes, and restoration planning in post disaster scenarios have been extensively studied [13,14,30–46]. Researchers have also assessed the impacts of earthquakes on the electric power system in various previous studies [37,47–62]. The impacts of other specific types of severe-weather events such as, thunderstorms, heavy wind and rain storms on the electricity distribution systems have also been assessed [27,63–66]. However, ‘threat-specific’ risk modeling, which is prevalent in today’s society, often overlooks the broader perspectives of multi-hazard risk assessments and can lead to silo’ed solutions, duplicated efforts and at times, shortsighted mitigation strategies that may render the system more fragile to a wider suite of hazards [67,68]. In most cases, policy review and impact assessments are conducted after a major blackout event. But, monolithic approaches leveraged to study infrastructure risk to a specific type of natural hazard can obscure analysis of longer time-trends and state-level vulnerability patterns; and can lead to myopic policy incentives and suboptimal investment decisions [68].

To address these shortcomings associated with ‘hazard-specific’ risk analysis, we leveraged a data-driven, multi-hazard approach to assess major outage risks in the continental U.S. Using a data-driven hybrid risk modeling approach, we assessed the historical trends and identified the key predictors of the major power outages. Based on the exploratory analysis of nationwide power outage data (explained in Section 2.2), we were motivated to identify the key predictors of single-state, severe-weather triggered major power outages. To that end, we leveraged a two-stage hybrid risk estimation model to: a) predict the intensity of power outages and, b) characterize the underlying risk factors associated with the electricity supply disruptions from the end-user perspective. Although our approach is generalizable to all types of outages of

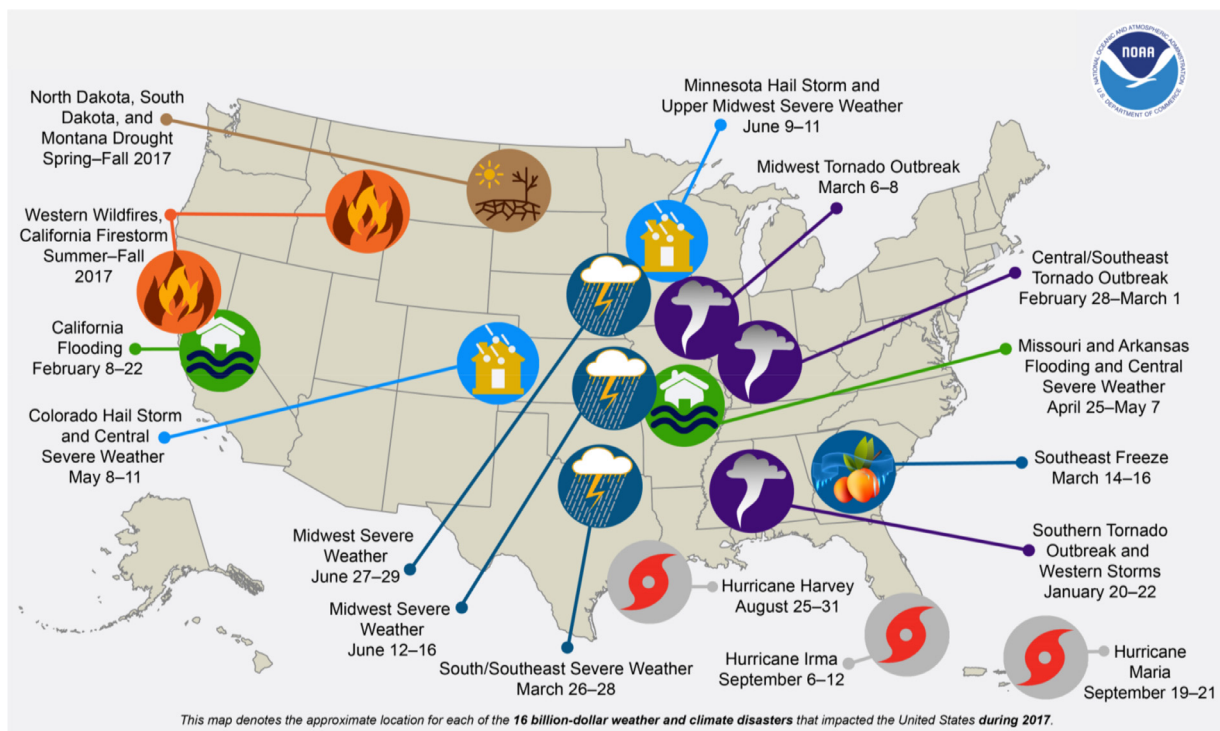


Fig. 1. U.S. 2017 billion-dollar weather and climate disasters [25].

**Table 1**

Variable types and sources for power outage risk analysis over the years of 2000–2016.

#	Data types	Data source
1	State-level population (yearly)	U.S. Census Bureau
2	Climate regions (by state)	National Oceanic and Administrative Administration (NOAA)
3	Type of the year (El Niño/La Niña)	National Oceanic and Administrative Administration (NOAA)
4	Electricity consumption patterns	U.S. Energy Information Administration (EIA 826)
5	Percentage customers served (yearly)	U.S. Energy Information Administration (EIA 861)
6	Economic characteristics (yearly)	Bureau of Economic Analysis (BEA)
7	Percentage of urban & rural areas (as of 2010)	U.S. Census Bureau
8	Percentage of land & water mass (as of 2010)	U.S. Census Bureau
9	State-level climate and weather data	NOAA's National Climatic Data Center (NCDC)

varying severity levels, we restricted our scope to analyzing the extreme-level outages for brevity of this paper. Our analysis is based on historical power outage events during 2000–2015 that affected customers within a single U.S. state. Our proposed data-driven, hybrid risk estimation models were trained using the publicly available electric power outage data sets available at the DOE [69].

The structure of this article is as follows: Section 1 presents a brief introduction and overview of the existing literature, highlighting the current state-of-art knowledge and research gaps. It is followed by a description of the data sources, data filtering and preparation processes in Section 2. Sections 3 and 4 describe our methodologies and results. The article is concluded in Section 5 by summarizing the key findings and delineating future research directions.

## 2. Data description

In this section, the data used to develop the proposed multi-hazard, state-level, hybrid, power outage risk assessment model is described. Data sources are discussed in Section 2.1. Data processing and response variable normalization are summarized in Section 2.2, and the final fully integrated data set used for our analysis is presented in Section 2.3.

### 2.1. Data sources and filtering

The national repository of outage data from the Department of Energy (DOE) serves as a valuable—and yet under-explored—resource for assessing power outage risks in the United States. The data is obtained from the OE 417 form-Schedule 1, “Electric emergency incidents and disturbances”, published by the DOE’s Office of Electricity Delivery and Energy Reliability [69]. The data ranges from January 2000 to July 2016 and the total number of observations recorded is 1860. The entities who are required to file this report after any electricity disturbance incident include electric utilities, balancing authorities, reliability coordinators, generating utilities, local utilities as well as computer, telecommunication and physical security offices. An initial report should be filed within 1 to 6 h of the incident (dependent on the event type) and the final report should be submitted within 72 h of the incident [70]. The different types of information based on the reporting criteria as obtained from the database are summarized as follows [70]: (i) alert status; (ii) cause of the outage, i.e., the event type; (iii) date and time when the incident / disruption begins; (iv) date and time of restoration end (incident end); (v) estimated amount of demand involved (peak demand); and (iv) estimated amount of the total number of customers affected during the entire event (this might be higher than the peak number of customers affected in case of the rolling blackouts).

The quality and completeness of the data is checked, validated and approved by the Office of Electricity Delivery and Energy Reliability. However, due to inadequate reporting enforcements, many incidents are underreported [71]. Due to changes in regulatory requirements over time, the number of recorded incidents might underestimate the actual number of incidents that happened during the period. For example, since the North American Electric Reliability Corporation (NERC) instituted

mandatory reliability reporting to the DOE in 2007, the number of reported disturbance events witnessed a jump from 2007 [71]. Despite all the shortcomings, the data obtained from the OE 417—Schedule 1 form serves as a valuable resource for understanding the electricity outage patterns and the associated risks to the electricity sector in the United States. To further enhance data quality prior to the statistical analysis, several data-preprocessing, filtering and normalization processes were conducted as discussed below.

Out of 1860 recorded disruptions in the dataset, 10 observations had wrong inputs of date or time (or both) for either or both of the “Event start time” and/or “Restoration end time”. Such observations were detected as their outage duration were negative which was deemed infeasible. Thus, those observations were removed from the dataset. The cause of the 14th of August 2003 Northeast blackout was reported as “not applicable” by the respondent in the OE 417 form [70]. Later investigations of the blackout (analysis conducted after 72 h of the incident happening, not fulfilling the criteria as mentioned in the OE 417 form [70]), identified various factors such as inadequate system understanding, inadequate situational awareness, inadequate tree-trimming, inadequate reliability coordinator (RC) diagnostic support, and most importantly, non-malicious software program failure that led to rolling outages that cascaded through the highly interconnected power grid system, causing a historic blackout [72]. Since the major cause was related to system operation, we categorized this event as *system operability disruption*.

Besides power outage information, data was also collected on the climate region of the locations where the event took place, state’s topography and electricity consumption patterns from various publicly available sources. The data sources (summarized in Table 1) include information on: (i) state-level population, (ii) climate regions of the states, (iii) multi-year climatic oscillation indices (such as El Niño or La Niña), (iv) electricity consumption patterns in the state, (v) percentages of customers served by the utilities in the state, (vi) economic characteristics of the state, (vii) state utility sector’s contribution to the state’s economic activity (measured by gross state product), (viii) percentages of urban and rural areas, (ix) percentages of land and water mass, and (x) climate and weather data [73].

### 2.2. Data visualization

We conducted an exploratory analysis of the electric power outage data—reported to the Department of Energy (DOE) as “electric emergency incidents and disturbances”—during the period of 2000–2016.<sup>1</sup> Fig. 2 summarizes the various categories of DOE-recorded outage events, namely, (i) severe weather (includes both extreme tropical weather and climatic shocks); (ii) intentional attacks on the system; (iii) system operability disruption; (iv) system islanding; (v) public appeal; (vi) equipment failure; (vii) fuel supply emergency. It can be observed that 52.9% of the major power outages during 2000–2016 were caused by severe

<sup>1</sup> The data is published by the DOE’s Office of Electricity Delivery and Energy Reliability [69]

Distribution of different types of events

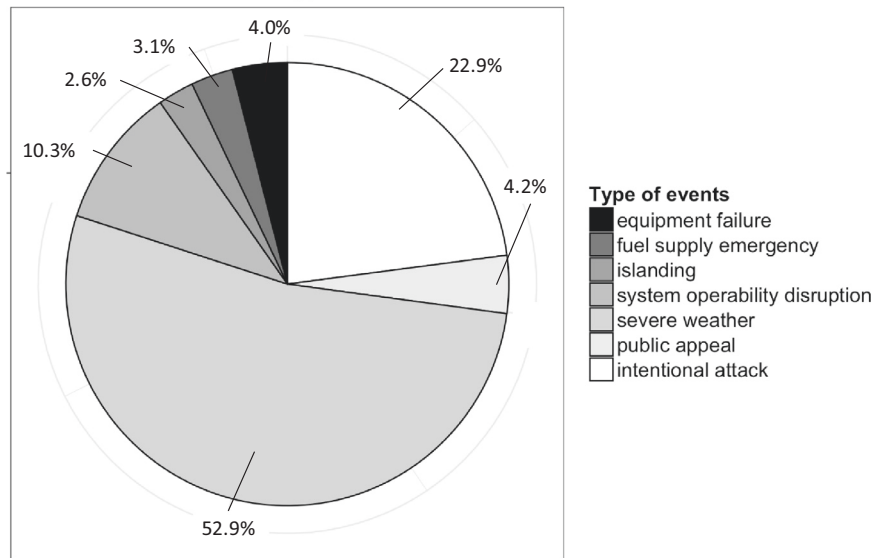


Fig. 2. Distribution of major power outages in the U.S. reported during 2000–2015.

Frequency of major outages caused by various events

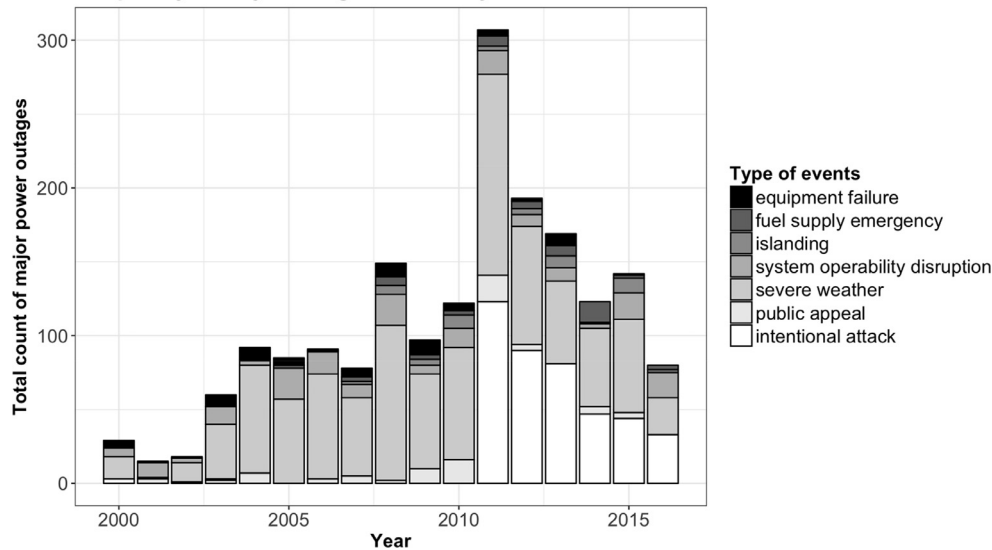


Fig. 3. Frequency of major power outages in the U.S. reported during 2000–2015.

weather and climate events; followed by intentional attacks (22.9%), system operability disruption (10.3%), outages due to public appeal (4.2%), equipment failure (4.0%), fuel supply emergency (3.1%) and system islanding (2.6%).

The historical trends of frequency and intensity of major power outages show interesting patterns, as illustrated in Figs. 3–5. The ‘consequence’ or impact of various types of shocks to the electric power infrastructure can be quantified using various measures of service discontinuity from the end-users’ perspective. The metrics used in this research are *outage duration*, and *number of customers affected* by electric power disruptions. We found that during 2000–2010, severe weather events was the most frequent type of shock (Fig. 3). Moreover, the frequency of intentional attacks increased significantly since 2010, in addition to the severe weather and climate impacts. Although the exact reason for the increased frequency of the intentional attack since 2011 is unknown, it is apparent that the power grid is becoming more vulnerable to cyber and physical attacks [74].

Figs. 4 and 5 depict the impacts of various shocks to the U.S. electric system. While severe weather-induced outages, and disruptions caused by intentional attacks are the most frequent outage cause-codes, the intensities of severe-weather induced outages are much higher than any other types of disruptions. From the historical trends in the last 16 years, it is also observed that the years of 2008 and 2011 ranked highest in terms of severe-weather impacts; with cumulative outage durations of about 8500 h, and over 23 million customers affected.

Fig. 6 shows the frequency of the outage events affecting a single state (“single-state outages”) or multiple states (“multi-state outages”) in the continental U.S. during the event, and these outages are categorized based on the different cause-codes discussed above. It is observed that single state outages are much more prevalent than the multi-state outages. More specifically, our analysis indicated that 87.5% of the total outage events affected a single state in the continental U.S., whereas only 12.5% outage events affected more than one state.

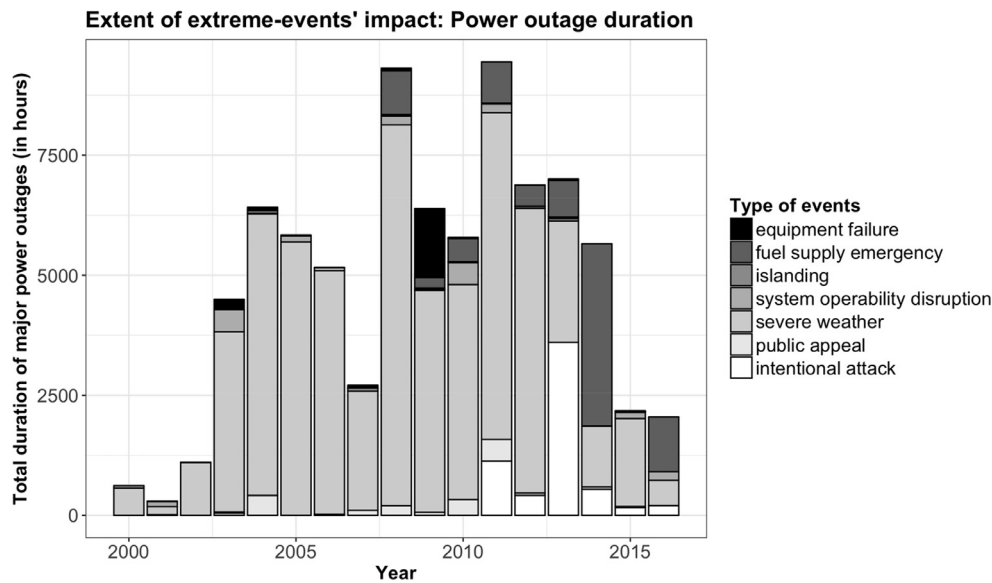


Fig. 4. Impact of major power outages in terms of prolonged outage durations.

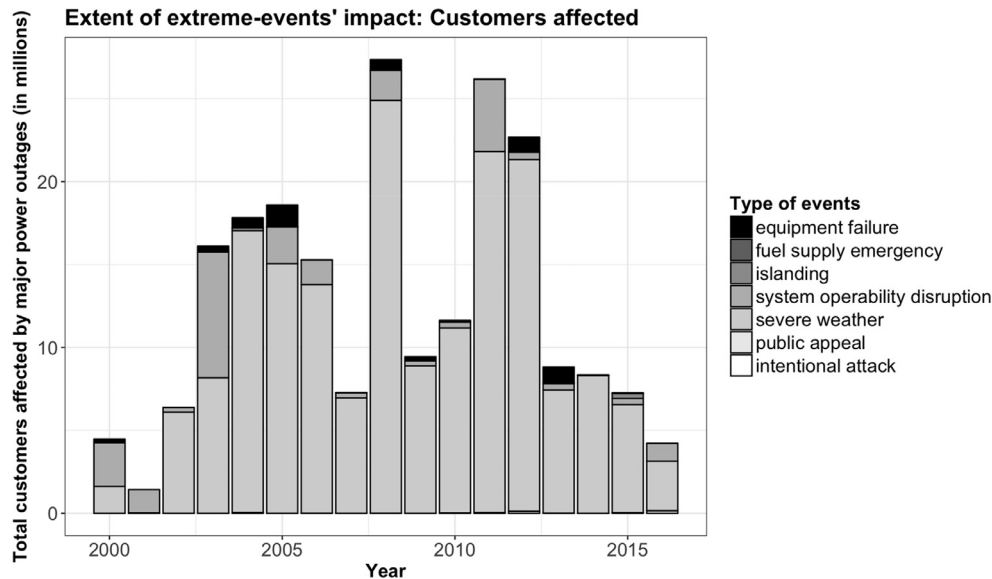


Fig. 5. Impact of major power outages in terms of customer affected.

The different types of severe weather and climate events, as categorized in this research, include: (i) Heatwaves and wildfires; (ii) hurricanes (including tropical storms) and tornadoes; (iii) snow, ice and winter storms; (iv) thunderstorms; and, (v) wind, rain and storms. While tornadoes and hurricanes are meteorologically different phenomena, we have grouped them together because they both have extreme winds that render civil infrastructure vulnerable. While the lifecycle of tornadoes is generally shorter than that of hurricanes, their strong winds could outblow hurricane winds and both events could be equally destructive to the electric power infrastructure systems. The “others” category includes other extreme events such as earthquake, flooding, fog, and uncontrolled loss and public appeal to reduce the load in a severe weather situation. The frequency and intensity—in terms of outage duration and number of customers affected—in the face of various climatic shocks in a single state during 2000–2016 are depicted in Figs. 7–9, respectively. It can be observed from the distributions of the various severe weather and climate events that hurricanes / tornadoes, winter storms, wind /

rain storms and thunderstorms are the most frequently occurring events, and their impacts vary across the years.

### 2.3. Response variable normalization

Outage duration and the number of customers affected—identified as “measures of outage intensity”—are the response variables for our proposed risk assessment. The total number of customers affected during a disturbance was normalized using the state population as “customers affected per 100,000 population of the state”. This normalization procedure removed the size effect of the states. Separate models were developed for the above-mentioned outage metrics, using the same set of predictor variables in both the cases. The distributions of the observed values of outage duration and the number of customers affected show that the variables are heavy-tailed and right skewed (Figs. 10(a) and 11(a), respectively). The observations in the extreme tails represent high-impact, low-probability events that severely impacted the electric

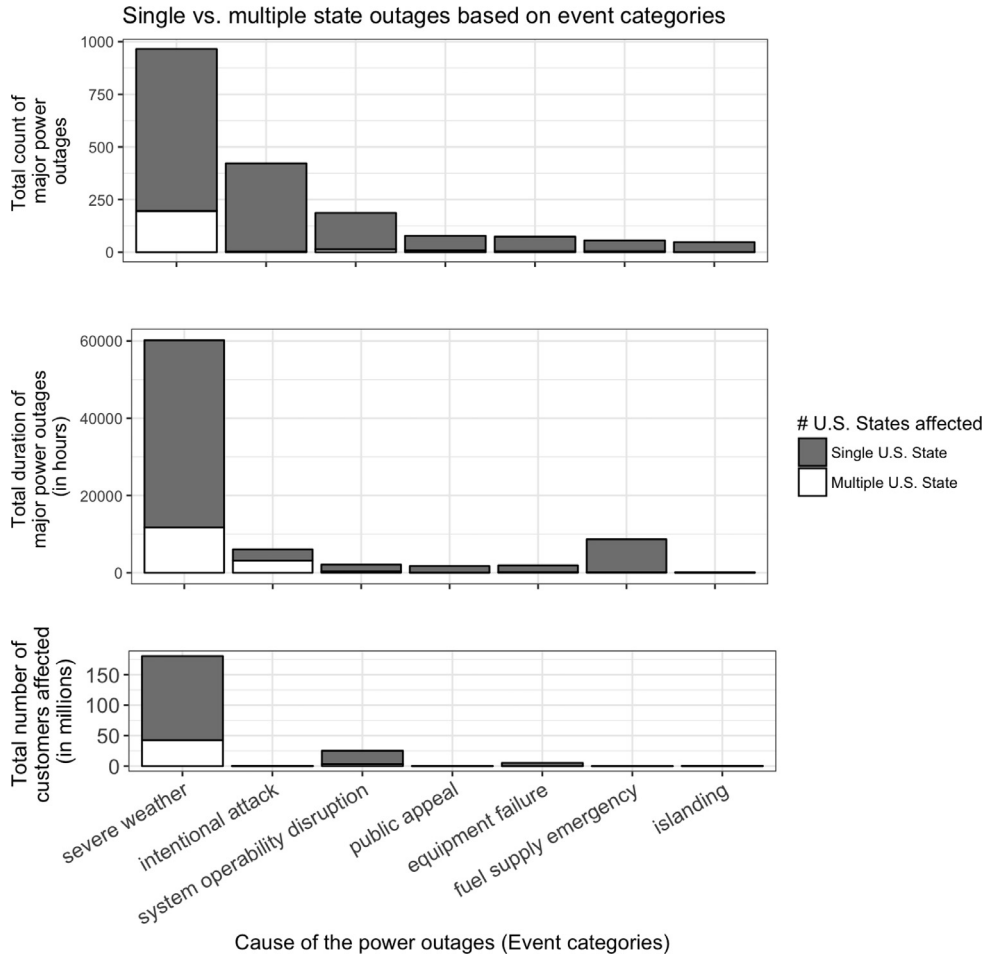


Fig. 6. Single-state / Multi-state outage distributions per event categories.

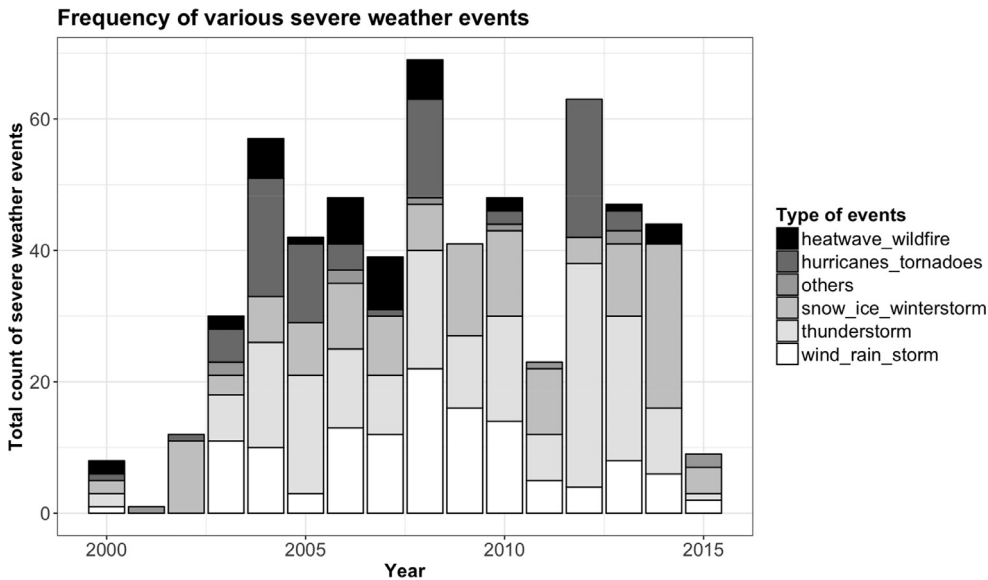


Fig. 7. Frequency of different types of severe weather events in a state of the continental U.S.

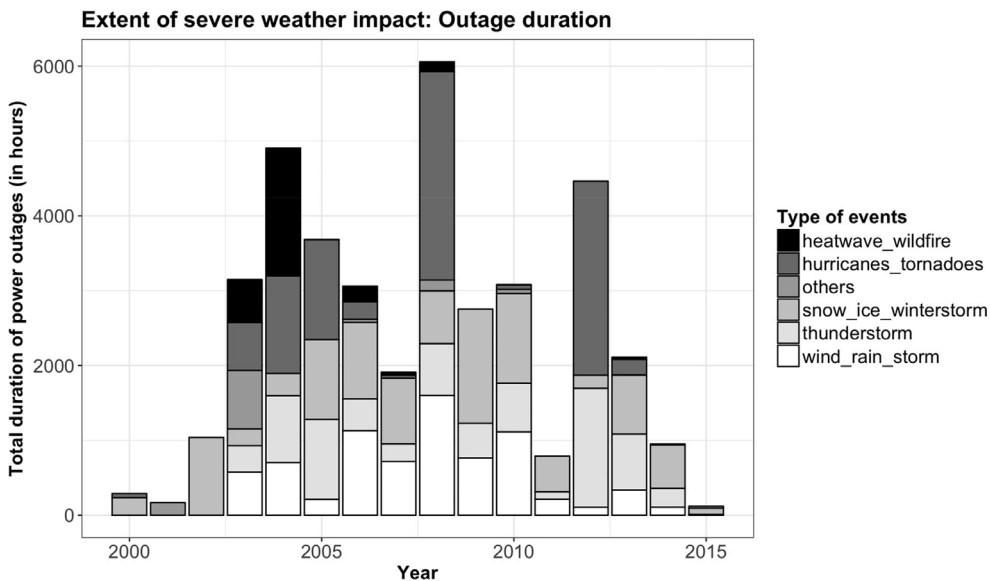


Fig. 8. Various severe weather events' impact on outage duration in a state of the continental U.S.

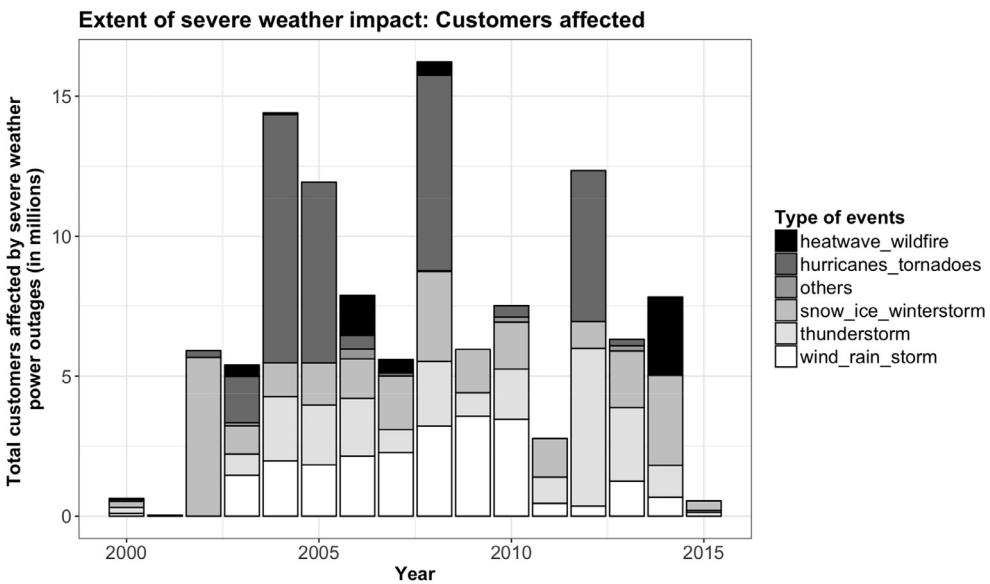


Fig. 9. Various severe weather events' impact on the number of customers affected in a state of the continental U.S.

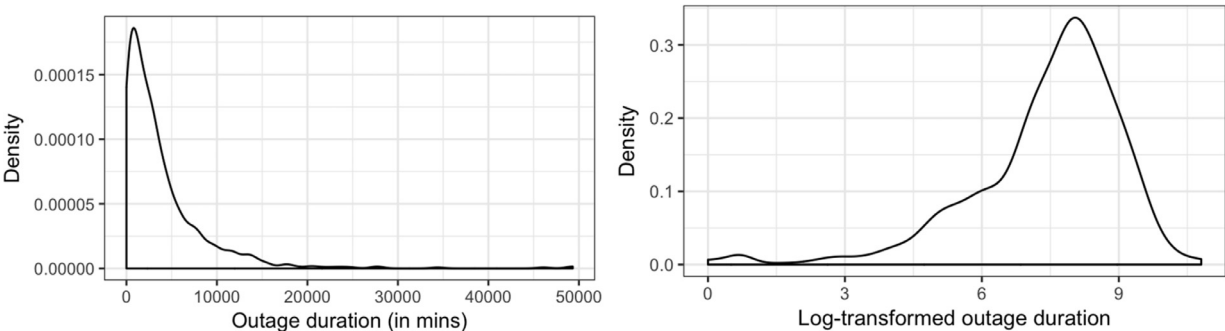


Fig. 10. Kernel distribution of (a) observed outage durations (in minutes) and (b) log-transformed outage duration.

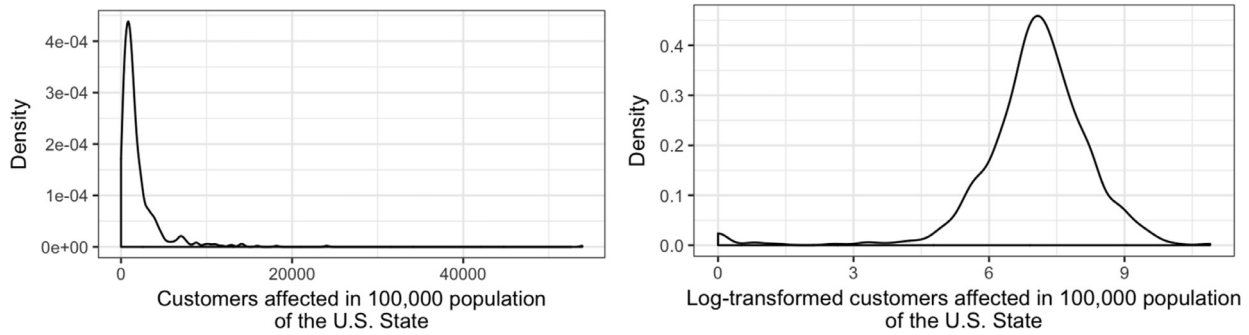


Fig. 11. Kernel distribution of (a) observed customers affected (per 100,000 population) and (b) log-transformed customers affected (per 100,000 population).

Table 2

Descriptive statistics (i.e., Mean, Median, Minimum (Min), Maximum (Max), Interquartile Range (IQR) and Standard Deviation (Std.Dev)) of outage duration and customers affected in the historical power outage events occurred during 2000–2015.

Metrics to measure extent of power outages	Extent of duration and customers affected from power outage events occurred during 2000–2015					
	Mean	Median	Min	Max	IQR	Std. dev
Outage duration per event (minutes)	4042.0	2332.0	0	49,320.0	4440	5553.0
Log-transformed outage duration per event	7.4	7.8	0	10.8	2.0	1.7
Customers affected per 100,000 population	2750.0	1316.0	0	93,230.0	1764.8	6386.6
Log-transformed customers affected per 100,000 population	7.1	7.2	0	11.4	1.2	1.3

power infrastructure. To reduce the skewness of the response variables, we performed a log-transformation using the following equation:

$$\text{Log transformed response} = \log(\text{response} + 1)$$

Figs. 10(b) and 11(b) show the normalized log-transformed response variables. Table 2 provides the descriptive statistics of the observed and log-transformed power outage durations and number of customers affected. The Pearson correlation coefficient between the normalized log-transformed response variables—outage duration and customers affected per 100,000 population in a state—is 0.2.

#### 2.4. Predictor variable selection and final dataset for analysis

The variables obtained from various publicly available data sources (as described in Table 1) were aggregated using year, month and the U.S. states as the nexus. Multicollinearity assessment was implemented prior to model development. We selected one variable from each pair of highly correlated variables (Pearson correlation coefficient > 0.9). This is because the presence of multicollinearity can mask the effect of the predictor variables on the response, and may bias the inference [16]. The list of final predictor variables is given in Table 3. The description of all the variables is provided in the Nomenclature section.

### 3. Methodology

In this section, we delineate (i) the proposed approach to develop our state-level, multi-hazard, two-stage, hybrid, power outage risk estimation models, and (ii) the theoretical underpinning of the methods used to develop our models. Our rationale for proposing a hybrid support vector machine–random forest (SVM–RF) predictive framework was based on the hypothesis that the predictors of extreme outages (i.e., observations lying at the long tail of the outage distribution) would be different from the predictors of the shorter, but more frequent outages (e.g., the 1st quantile of the outage distribution). Given our overarching objective of identifying the predictors of extreme outages, we implemented a classification scheme to identify the points in the long tail of the outage distribution before conducting the RF-based prediction framework. However, given the noisy nature of the data, training the

RF prediction model to the entire data points in the third quantile of the outage distribution may risk the generalization performance of the model and may lead to biased statistical inferences. Similar hybrid classification–regression frameworks have been leveraged before to model climate-induced power outages in the U.S. [75].

#### 3.1. Steps to develop the model

As mentioned earlier in the paper, the historical power outage data was collected, and merged with state-level climatic characteristics, socio-economic information, electricity consumption patterns, and land-use data. The collected data was then pre-processed (cleaned and filtered) prior to the statistical analyses. Exploratory analysis of historical outage trends (Fig. 6), led to confining the scope of our analysis of the outage events that affected only a single state in the continental U.S., since out of all the severe-weather induced outage events, only 12.5% of the events were found to involve more than one state. Based on this scope, the collected data was used to develop data-driven, hybrid risk models to estimate the *intensity of power outages* and to identify the major risk factors. The *intensity of power outage* is defined as the duration of power outage and / or number of customers affected (which were used as response variables in our analysis). These response variables were normalized using the technique discussed in Section 2.3.

The outage data was classified into three intervals: (a) Level I: normal level or minor outages (all observations less than the 1st quartile); (b) Level II: moderate level (all observations in the interquartile range, i.e., between the 1st and 3rd quartiles); and, (c) Level III: extreme level (all observations above the 3rd quartile). The rationale for categorizing outage intensity was primarily due to the heavy-tail distribution of the data. The outage intensities are power-law distributed, meaning that minor outages are most frequent; and high impact disturbances (i.e., the extreme tail of outage data) are rarer [68]. The risk factors, and underlying failure mechanisms associated with each of the quartiles of outage intensities could be substantially different. We, therefore, developed separate risk models for each of the outage levels. However, since the high impact low probability (HILP) outages are most devastating (in terms of societal losses), in this paper, we focused primarily on assessing the risks associated with extreme outages (i.e. Level III outages).

**Table 3**  
Final set of predictor variables used to develop the models.

#	Information type	Predictor variables
1	Climate and severe weather information	(1) Climate_region (CR) (2) Climate_category (3) Severe_weather_category
2	Electricity consumption information	(1) Total_electricity_consumption (2) Electricity_price (3) PCT_Residential_consumption (4) PCT_Commercial_consumption (5) PCT_Industrial_consumption
3	Customers served (yearly)	(1) Total_customers (2) PCT_Residential_customers (3) PCT_Commercial_customers (4) PCT_Industrial_customers
4	Economic characteristics (yearly)	(1) PC_real_GDP_US (2) PC_real_GSP_rel (3) PC_real_GSPchange (4) Utility_contribution_to_GSP
5	Population and areas in urban and rural regions, as of 2010	(1) PCT_Population_Urban (2) PCT_Population_Urban_cluster (3) Population_density_Urban (4) Population_density_Urban_cluster (5) Population_density_Rural
6	Land and water mass information, as of 2010	(1) PCT_Land_area_Urban (2) PCT_Land_area_Urban_cluster (3) PCT_Land_area_state.level (4) PCT_Inland_water_area_state.level

The flowchart in Fig. 12 summarizes our proposed approach for developing multi-hazard, outage risk models. We propose a two-stage, hybrid methodology to estimate outage risks as follows: (i) Develop a classification model—using support vector machines (SVM)—to predict outage levels, and (ii) develop separate predictive risk models—using the random forest (RF) algorithm—for each class, in order to assess the influence of the key risk factors on outage intensities. The proposed two-stage predictive algorithm is a robust classification-regression framework that allows for assessing outage intensity risks due to various hazards in a non-deterministic, and generalized fashion.

### 3.2. Statistical learning techniques

Supervised learning technique, in essence, is a multivariate function approximation [76–78]. More specifically, the main objective of supervised learning is to estimate an unknown function  $f$  that best predicts the variable of interest  $Y$  (e.g., outage intensity), using a  $p$ -dimensional vector of relevant inputs  $X$  (e.g., economic, climatic and geographic characteristics) such that:  $Y = f(x) + e$  where  $e$  is irreducible error. The algorithm that can best approximate the unknown function is selected based on minimizing a loss function  $L$  that measures the deviation of observed from the predicted values of  $Y$ . In this section, we provide a brief overview of the supervised learning techniques that were used in this research, namely, support vector machines (SVM), and random forest (RF).

#### 3.2.1. Support vector machines (SVM)

SVM is a sophisticated machine learning algorithm that is very popular in pattern recognition [77,79]. SVMs are remarkably robust in the cases of sparse and noisy data with many outliers; and can be trained with both simple and highly complex labeled data [79,80]. In a  $p$ -dimensional space, SVM uses an affine subspace of  $p - 1$  dimension—termed as hyper-plane—to classify the feature space by maximizing the distance between the nearest training data of any class to the hyper-plane (boundary); the larger the margin, the lower the general-

ization error. This methodology can accommodate both linear and non-linear boundaries between the classes. In case of non-linear data boundary, they algorithm leverages a kernel approach to extend the non-linear feature space to higher dimensions using specific kernel functions [76].

The generalization performance of the SVM algorithm hinges on selecting the optimal tuning parameters such as complexity cost (to avoid overfitting), and the type of kernel function (e.g., polynomial, Gaussian, radial, and exponential basis functions) to construct appropriate non-linear boundaries between different class labels [81]. We selected the optimal tuning parameters and the type of kernel function for the final SVM model using a bootstrapping method with resampling. Each of the three separate SVM models developed using the kernel functions—linear, polynomial and radial basis functions—was trained with various combinations of cost complexity parameters. For each of these types of SVM models, we selected the cost complexity parameters. We chose the final model with the least misclassification error. SVM is a powerful classification technique and has been used in different fields such as text classification, gene selection for cancer classification, etc. [82–84]. To assess model performance, we used a confusion matrix to measure how well the SVM classification models predict different outage intensity levels.

#### 3.2.2. Random forest

RF is a non-parametric, tree-based, ensemble data mining algorithm [85]. Unlike the single regression trees that are low-bias high-variance techniques,<sup>2</sup> RF overcomes the issue of high variance by leveraging model averaging as a variance reduction technique. The final estimate of a Random Forest method is the average of predictions across all trees:

$$\hat{f}_{rf}^B(x) = \frac{1}{B} \sum_{b=1}^B T_b(x)$$

<sup>2</sup> Low-bias high variance techniques refer to those that can capture the structure of the data really well (low bias), but are highly sensitive to outliers (high variance) [93]

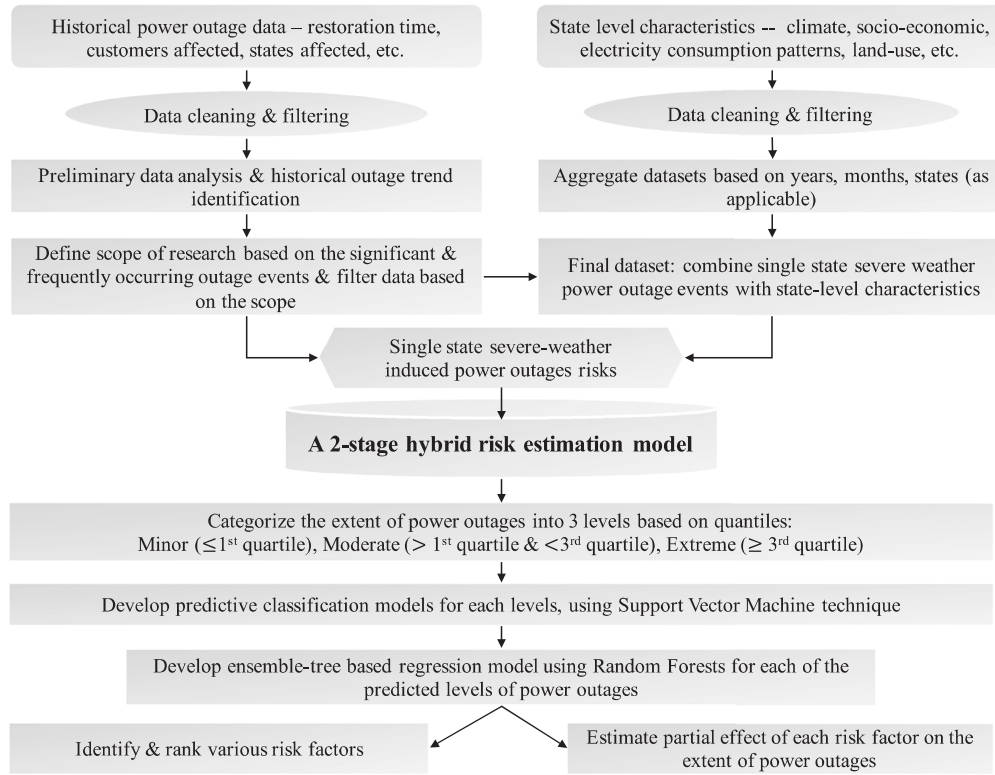


Fig. 12. Flow chart of proposed approach for developing multi-hazard, outage risk models.

In the above equation,  $T_b$  indicates the  $B$  bootstrapped regression trees that are used for developing the RF model. The advantage of this method is that it can capture the nonlinear structure of data very well and is robust to outliers and noise, and it also generally offers a strong predictive accuracy [76]. The method is also simple to implement and does not require arduous fine-tuning of parameters. Variable importance is calculated by ranking input covariates in terms of their contribution to out-of-sample predictive accuracy of the trained model [76]. Since RF is a non-parametric technique, variable inferences will be based on calculating partial dependencies. Partial dependencies can be plotted to depict the relationship between the response and the predictor variable of interest  $x_j$  in a ceteris paribus condition (i.e., controlling for all the other predictors). Mathematically, partial dependence plot (PDP) for the variable of interest  $x_j$  can be calculated as shown below [86]:

$$\hat{f}_j(x_j) = 1/n \sum_{i=1}^n \hat{f}_j(x_j, x_{-j,i})$$

Here,  $\hat{f}$  denotes the estimated response surface;  $n$  denotes the number of observations in the training dataset;  $x_{-j}$  denotes all the variables except  $x_j$ . The estimated PDP of the predictor  $x_j$  provides the average value of the function  $\hat{f}$  when  $x_j$  is fixed and  $x_{-j}$  varies over its marginal distribution.

To estimate the fit of the RF models, we measured the three metrics: (a) MSE (Mean Square Error), (b) MAE (Mean Absolute Error) and (c)  $R^2$ , i.e., the variance explained by the model. These metrics were calculated for the RF models as well as the ‘intercept-only model’ (where the response mean is used instead of a statistical model) to benchmark the performance of the RF-model over to the mean-only model.

$$MSE_{in-sample} = \frac{1}{n} \left( \sum_{i=1}^n (y_i - \hat{y}_i)^2 \right)$$

$$MAE_{in-sample} = \frac{1}{n} \left| \sum_{i=1}^n (y_i - \hat{y}_i) \right|$$

Here,  $n$  denotes number of observations,  $y_i$  denotes the  $i^{th}$  observation in the original dataset, and  $\hat{y}_i$  stands for the  $i^{th}$  estimated value using the statistical model.

#### 4. Results

This section provides a summary of the results associated with the following:

- (i) outage intensity classification models; i.e., the SVM-based classification models, developed to predict outage intensity levels;
- (ii) outage intensity risk models; i.e., the RF-based regression models, developed to identify the key risk factors in each outage intensity category; and,
- (iii) risk model inferences, i.e., identifying and ranking the key predictors and plotting partial dependencies to assess the relationship between the identified risk factors and extreme power outages (both in terms of prolonged outage durations, and number of customers affected).

While we developed the hybrid, outage risk models for each of the three levels of the power outage intensities, for the sake of brevity, we will only discuss the results associated with the level III models (i.e., the most extreme power outages).

##### 4.1. Outage intensity classification models

The SVM-based classification models were developed for each of the three categories—i.e., minor (I), moderate (II) and extreme (III)—for both the outage durations and number of customers affected. We tested three different kernel functions (i.e., linear, polynomial and radial-basis) and optimized the model’s tuning parameters (e.g., cost and epsilon parameters) that yielded the least model errors. Model selection was based on minimized misclassification errors.

Tables 4 and 5 show the different parameters for the SVM classification models for outage duration and customers affected respectively.

**Table 4**  
Selection of SVM-Classification model for predicting defined levels of outage duration.

Type of kernels	Cost complexity parameters	Confusion matrix
Linear	Cost = 5	truth
		predict    1    2    3
		1    52   23    7
		2    85   213   79
Polynomial	Cost = 5, degree = 2	truth
		predict    1    2    3
		1    52   23    7
		2    85   213   79
Radial	Cost = 1, gamma = 6	truth
		predict    1    2    3
		1   117    3    4
		2    30   254   26
		3    2    5   116

**Table 5**  
Selection of SVM-Classification model for predicting defined levels of customers affected.

Type of Kernels	Cost Complexity parameters	Confusion matrix
Linear	Cost = 0.01	truth
		predict    1    2    3
		1    56   19   17
		2    63   224   88
Polynomial	Cost = 0.01, degree = 2	truth
		predict    1    2    3
		1    56   19   17
		2    63   224   88
Radial	Cost = 1, gamma = 0.1	truth
		predict    1    2    3
		1    65   14   12
		2    44   232   65
		3    11   10   67

The ‘cost complexity parameters’ refer to the optimum tuning parameters, which render the lowest misclassification error. The confusion matrices summarize fit of the models. The columns in each confusion matrix represent the actual number of observations in each category (i.e., Levels I, II or III), while the rows represent the predicted levels. Evidently, the model with the highest number of observations in the diagonal of the confusion matrix is the most accurate classification model. Based on the results summarized in [Tables 4](#) and [5](#) below, we selected the SVM-classification models with radial kernel function since they outperformed all others in classifying the intensity of power outages.

#### 4.2. Outage-intensity risk models

We developed the two-stage, risk models by first training the RF-models with predicted outage levels, and then retraining the models after removing the extreme outliers from the dataset. It was observed that in all the instances the outliers were either misclassified cases or extreme

observations. The outlier removal stage is primarily due to the noisy nature of the data; and will likely be a redundant step if higher quality data from outage management systems (OMS) of utility companies are available. [Tables 6](#) and [7](#) show the performance of the RF-based risk estimation models, in terms of: (i) Percentage variance explained by the model ( $R^2$ ), (ii) root mean square error (RMSE), and (iii) mean absolute error (MAE). As expected, removing the outliers improved the model performance. Moreover, it can be observed that the RF-based models significantly outperform the mean-only (aka ‘null’<sup>3</sup>) models both before and after outlier removal.

The final RF-risk estimation model for the outage duration ([Table 6](#), Model 2) captures 77.5% of the variance in the data, and offers an im-

<sup>3</sup> The ‘Null’ model uses the mean of the response variable instead of a statistical model and is a common benchmark used in statistics to identify the power of the statistical model in explaining the variance of the response.

**Table 6**

Extreme-level outage duration (OD) model: comparison of RF-Regression model vs. mean-only model.

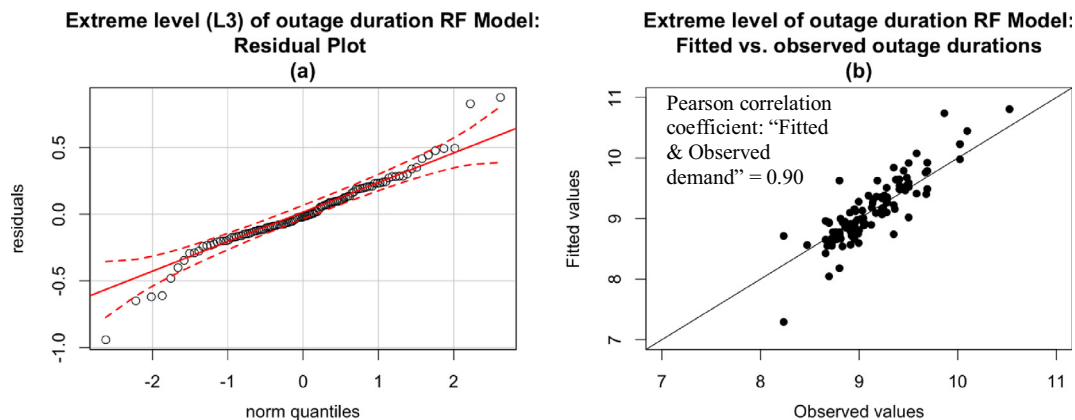
Model	RF-models for OD	Parameters	R <sup>2</sup>	RMSE	MAE
1	RF	ntrees <sup>a</sup> = 75	0.58	0.44	0.26
	Null	NA	NA	0.67	0.46
	% RF performance improvement over the Null model			35.3%	43.8%
2	RF (removing outliers)	ntrees = 75	0.77	0.26	0.10
	Null	NA	NA	0.55	0.42
	% RF performance improvement over the Null model			52.5%	54.4%

<sup>a</sup> This parameter refers to the number of trees to grow. This should not be set to too small a number, to ensure that every input row gets predicted at least a few times. In our research, we selected the value of the *ntree* that yielded the least out-of-sample mean square error (*mse*) while growing the trees [16].

**Table 7**

Extreme level customers affected model: Comparison of RF-Regression model vs. mean-only model.

Model	RF-models for CA	Parameters	R <sup>2</sup>	RMSE	MAE
1	RF	ntrees = 81	0.63	0.66	0.42
	Null	NA	NA	1.09	0.70
	% RF performance improvement over the Null model			39.5%	39.9%
2	RF (removing outliers)	ntrees = 81	0.71	0.33	0.25
	Null	NA	NA	0.62	0.55
	% RF performance improvement over the Null model			46.4%	53.8%



**Fig. 13.** Extreme level of outage duration RF Model: (a) QQ-plot (the red dashed lines in the QQ-plot represent 95% confidence intervals) and (b) Fitted values vs. observed values. (For interpretation of the color code in this figure legend, the reader is referred to the web version of this article.)

proved performance of 52.5% (in terms of RMSE) and 54.4% (in terms of MAE) as compared to the 'Null' model.

Similarly, for the customers affected model, the final RF-based regression model captures 71.3% of the variance and reduces model error by 46.4% (in terms of RMSE) and 53.8% (in terms of MAE), as compared to the corresponding Null model.

Figs. 13 and 14 show diagnostics for the final outage risk estimation models (for both outage duration, and the number of customers affected). Normal quantiles or QQ plot (Fig. 13(a)) for the outage duration risk model show that the residuals fall along the 45-degree line of the normal quantile plot and the data lies well within the 95% confidence intervals (shown by the red dotted lines). This indicates that the RF model captures the variability in the data well. Moreover, the high value of Pearson correlation coefficient between the fitted and the observed values ( $\rho = 0.90$ ) indicate that the outage duration risk model fits the data well (Fig. 13(b)).

Similarly, the corresponding QQ-plot (Fig. 14(a)) of the customers affected RF model also show that the residuals fall along the 45-degree

line of the normal quantile plot, indicating that the RF model in captures the variability in the data well. The higher Pearson correlation coefficient between the fitted and the observed values ( $\rho = 0.86$ ) indicate that the selected RF model fits the data reasonably well (Fig. 14(b)).

#### 4.3. Identification and ranking of the risk factors associated with extreme power outages

The top five predictors for each of the three levels of outage durations and customers affected risk models are summarized in Tables 8 and 9, respectively. For the sake of brevity as well as since extreme outages are of more significance in terms of resilience enhancement, we will focus our discussion on the extreme outage level risks (Level-III).

In this section, we will discuss the ranking of various risk factors, and the partial dependencies between the key risk factors and most extreme power outages. The ranking of the key predictors is primarily based on the degree of the contribution of each of the covariates to the out-of-sample performance of the risk models. It can be seen from Tables 8 and

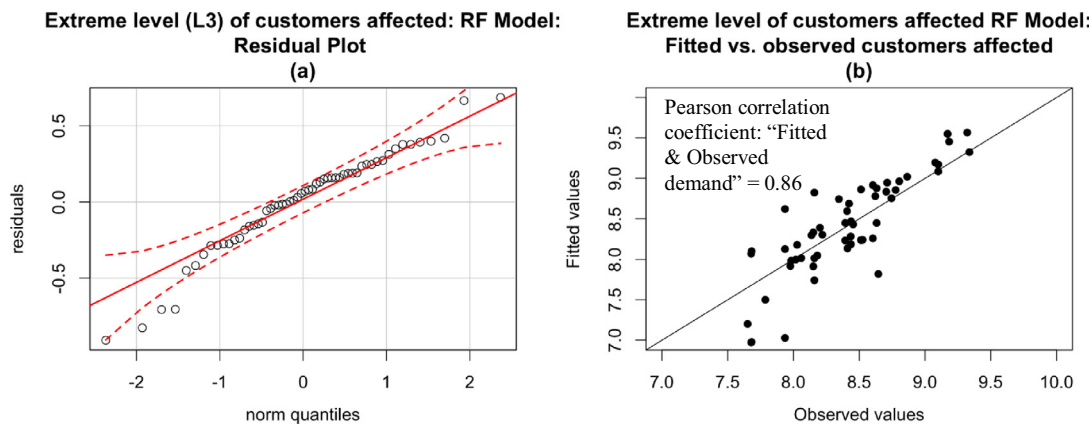


Fig. 14. Extreme level of customers affected RF Model: (a) QQ-plot (the red dashed lines in the QQ-plot represent 95% confidence intervals) and (b) Fitted values vs. observed values. (For interpretation of the color code in this figure legend, the reader is referred to the web version of this article.)

Table 8

Top five risk factors identified in each of the three levels of outage duration for outage duration (OD).

#	Normal OD (Level I)	Moderate OD (Level II)	Extreme OD (Level III)
1	PCT_Commercial_consumption	Climate_region (CR)	Severe_weather_category
2	Electricity_price	Total_electricity_consumption	PCT_Land_area_state.level
3	PC_real_GSP_rel	Total_customers	Utility_contribution_to_GSP
4	PCT_Land_area_Urban	Electricity_price	Population_density_Rural
5	PCT_Industrial_customers	PC_real_GSP_rel	PCT_Commercial_consumption

Table 9

Top five risk factors identified in each of the three levels of customers affected for customers affected (CA).

#	Normal CA (Level I)	Moderate CA (Level II)	Extreme CA (Level III)
1	Total_customers	Total_electricity_consumption	Total_customers
2	Electricity_price	Utility_contribution_to_GSP	Electricity_price
3	PCT_Residential_consumption	Total_customers	Total_electricity_consumption
4	PCT_Commercial_consumption	PCT_Commercial_customers	PC_real_GSP_rel
5	PCT_Residential_customers	PCT_Industrial_consumption	PCT_Land_area_state.level

9 that there is very little overlap between the key risk factors in each outage intensity category, supporting our rationale for sub-categorizing outage durations and number of customers affected into different levels.

The ranking of the important risk factors influencing prolonged outages or significant number of customers affected as results of the extreme power outages are given in Figs. 15 and 16, respectively. As mentioned earlier, the variable ranking is based on the mean decrease in out-of-sample prediction accuracy [77].

It can be seen from Figs. 15 and 16 that the top five risk factors for prolonged outages are considerably different from that of the significant number of customers affected. We found that prolonged outages are predominantly influenced by the types of severe weather events, while the density of customers (including residential, commercial and industrial) served by the utilities is a key predictor of the significant numbers of customers affected.

The partial dependencies between the key risk factors and the duration of prolonged outages and the number of customers affected are explained in the following Sections 4.4 and 4.5, respectively. In the partial dependence plots (PDPs) as described before, the black curve represents the average marginal effect of the predictor variable of interest on the response; and the red curves represent the 95% credible intervals. It must be noted that in these plots, the y-axes do not represent the actual range of response variables. Instead, they represent the average change in the value of the response variable as the predictor variable of interest is perturbed (while all the other inputs are accounted for). The PDPs also indicate the climate regions (CR),

the North American Electric Reliability Corporations (NERC) and the U.S. states that show distinct and similar patterns in the outage trends.

#### 4.4. Risk factors contributing to higher probability of prolonged duration of extreme outages

The partial dependencies of the top five predictors associated with the prolonged outage durations as experienced by the states of the U.S. in the face of severe weather events, are described in this section. The response variable here is the log-transformed value of the prolonged outage duration as experienced by the U.S. states during of the severe weather induced power outages.

##### 4.4.1. Types of severe-weather events

The types of severe-weather events have significant implication for the level of impacts on the electric power grid. The U.S. electric power infrastructure systems are robust to varying degrees in the face of different types of hazard (primarily due to the specific design parameters of the transmission and distribution infrastructure). Moreover, utilities have varying protocols for preparedness and response, depending on the type of the hazard and the geographic location of the infrastructure. Higher frequency of prolonged outages under a particular type of hazard event indicates grid vulnerability to that specific type of event. Fig. 17 shows that hurricanes/tornadoes, snow/ice/winter storms and wind/rain storms are the most frequently occurring disasters that have caused sustained outages, indicating grid's vulnerability to failure in

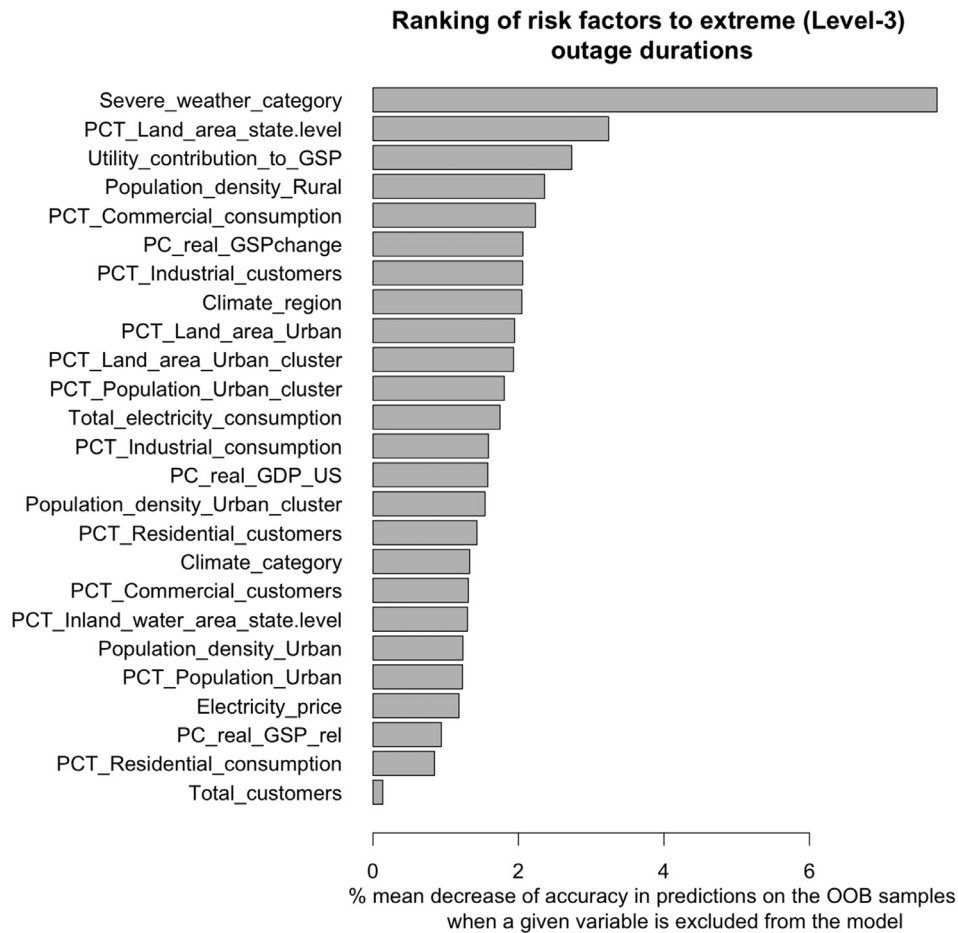


Fig. 15. Ranking of the risk factors contributing to prolonged outage duration.

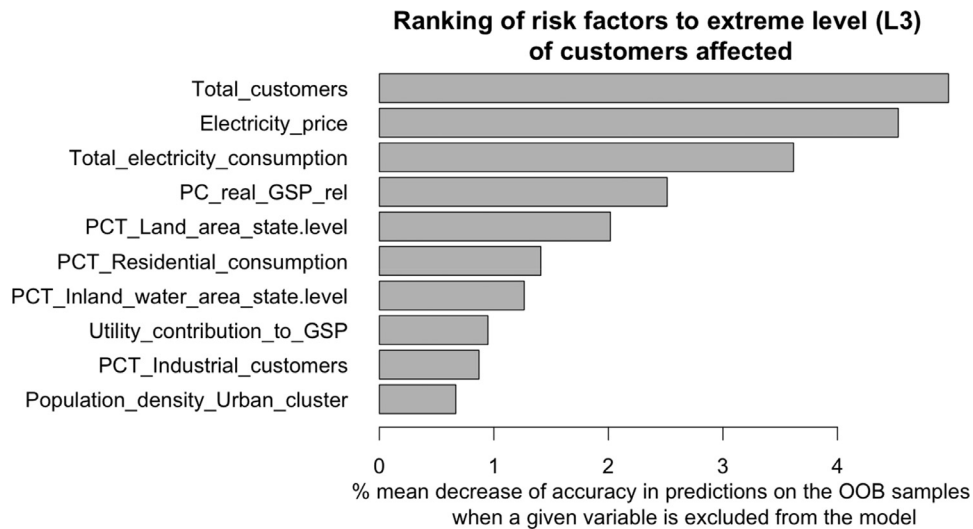


Fig. 16. Ranking of the risk factors contributing to higher number of customers affected.

face of such events. The results are expected, since much of the eastern and southern coastal regions of the U.S. are exposed to hurricane impacts, and the critical infrastructure in the mid-western tornado belt have sustained continuous impacts over time. Moreover, Upper Midwest, Northeast and some parts of the Ohio valley, are highly exposed to severe cold weather events marked by frequent snow/ice/winter storms. In fact, the state of Michigan (MI) tops the list in experiencing winter-

weather related severe outages. On the other hand, heatwaves/wildfires are much localized affecting mostly California (CA), Arizona (AZ) and New York (NY) during the summer season.

Thus, in summary, we conclude that

- (a) the U.S. electricity sector has been more vulnerable to failure in face of events such as, hurricanes/tornadoes, snow/ice/winter

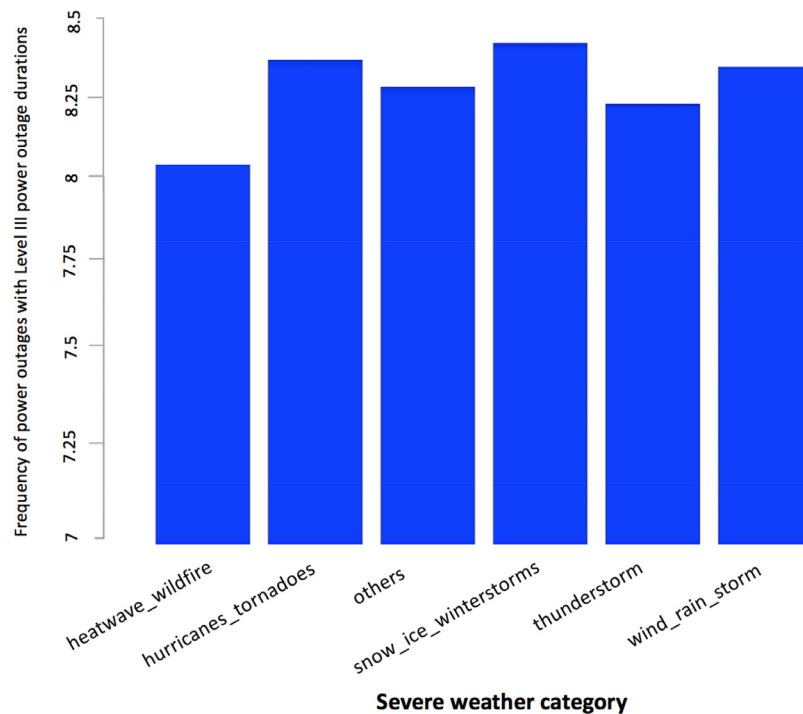
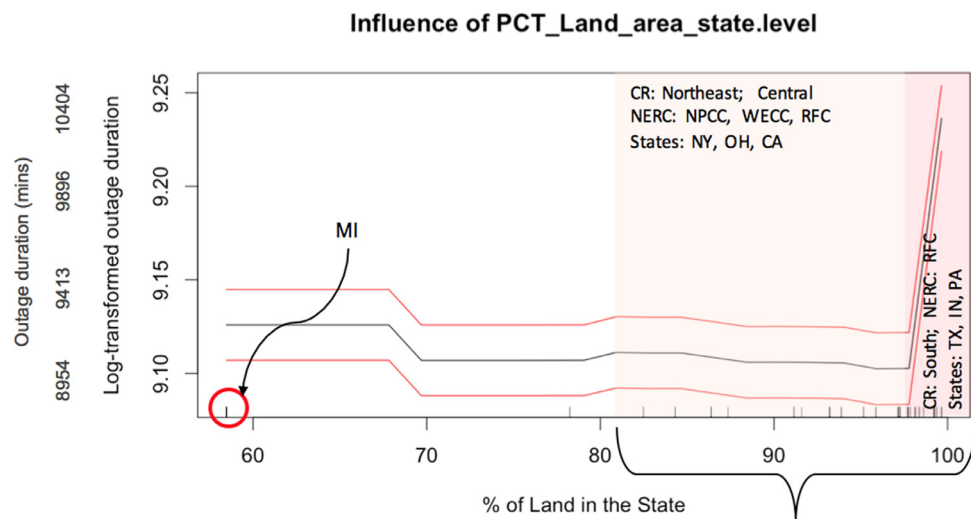


Fig. 17. Types of disasters causing Level-3 outages.



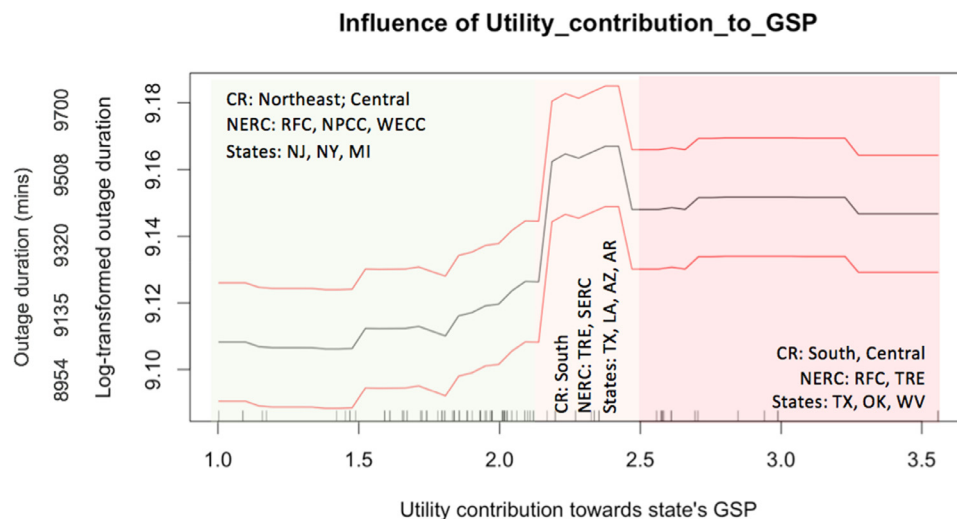
**Fig. 18.** Influence of percentage of land in the state, excluding water bodies on the Level-3 outages ('rug' lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)

- storms, and wind/rain storms, with their impacts having wide regional spread;
- (b) utility preparedness and response strategies to such repeated hazards may be inadequate often leading to prolonged outages;
  - (c) the results vary significantly across regions; we therefore, recommend leveraging our proposed approach at a regional level and disseminating the results to the relevant stakeholders to facilitate identification of optimal prioritization strategies and help enhance the resilience of the grid.

#### 4.4.2. State-level land percentages

Fig. 18 depicts the marginal dependency between state's land area and prolonged outages. Here, percentage land is a proxy for the area

with overhead transmission and distribution (T&D) infrastructure that are exposed and therefore susceptible to high wind events. The percentage land area of a state is measured as the difference of the total state area and the areas constituting water mass. Higher land percentages are generally observed in the states such as Texas (TX), Wyoming (WY), Idaho (ID), Pennsylvania (PA), and Indiana (IN), that tend to have extensive rural populations, and less densely packed population areas (such as urban areas which often have underground electric infrastructure). As an example, in Indiana (IN), except for the cities such as Indianapolis, Fort Wayne, South Bend, and Evansville, which have underground power lines in the downtown areas, the rest of the T&D systems consist of exposed overhead lines and towers that are highly susceptible to snow storms and high wind events.



**Fig. 19.** Influence of % total state GSP as contributed by the utility sector on the Level-3 outages (rug lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)

Analyzing the data-rich region of Fig. 18 (as indicated by the presence of denser data lines on the x-axis), we found that larger states with land percentages between 84.3%–97.2% (i.e., % of land  $\geq$  1st quartile & % of land  $\leq$  3rd quartile), show negligible variation in marginal effect. This indicates that states falling within this range observe similar levels of prolonged outage durations. States such as New York (NY), Ohio (OH), and California (CA)—that fall in this category—frequently experience prolonged outages, primarily due to wind/rain storms followed by snow/ice/winter-storms. Interestingly, the rug-line in Fig. 18 which depicts the state with % of land  $<$  60%, represents the state of Michigan (MI) that has experienced—on average—longer sustained outages compared to all other states with percentage land area below the 3rd quantile, with thunderstorm and winter storms being the most frequently occurring disasters. This result is in line with the recently published report by Climate Central which also concluded that Michigan (MI) ranked top of all the states in the U.S. with 71 major weather-related power outages during the period of 2003 and 2012, affecting at least 800,000 customers each year during that period [20].

The states with % of land  $>$  3rd quartile exhibit a steep increasing slope in the marginal effect of land percentage on prolonged outage duration. In other words, more exposed overhead lines indicate higher grid's vulnerability to failures. We found that Texas (TX), Pennsylvania (PA) and Indiana (IN) experienced such prolonged outage durations more frequently compared to the other states; and, that snow/ice/winter-storms followed by hurricanes/tornadoes were the most frequent events causing these extreme outages.

Thus, by the construct of our proxy predictor and its effect on the prolonged outages, we summarize our findings as follows:

- Higher extents of overhead T&D systems are associated with prolonged outages as they are more exposed to high-wind and heavy-precipitation events such as hurricanes/tornadoes, snow/ice/winter-storms or wind/rainstorms;
- Cascading outages are more prevalent in states with lower urban population and higher expanse of sparsely populated (rural) areas.

#### 4.4.3. Utility sector's contribution towards the state GSP

The utility sector's contribution towards gross state product (GSP), measured in terms of percentage of gross economic output of the state, indicates how economically active the state's utility sector is compared

to the other economic sectors. The utility sectors' economic activity is reported to the Bureau of Economic Analysis (BEA) when (a) they produce more amounts of end products that is used for economic activities (e.g., generate more electricity) or (b) they invest more in capital expenditures such as building new infrastructure, expanding generation and distribution capacities, etc. Higher percentages of utility sector's economic contribution, therefore, helps identify states with (i) higher electricity generation—perhaps to serve their electricity-intensive industrial customer base—and/or (ii) higher expenditure on capital investment projects in the electricity sector.

The marginal relationship between utility sector's contribution to the state's gross economic output and prolonged outages (Fig. 19) shows a distinct step-function change across three regions. However, on average, we observe an increasing trend in the prolonged outage duration with increased of economic activity in the utility sector. We observe that when the utility sectors' contribution towards the GSP is less than 2.1% of the total state GSP<sup>4</sup>, the marginal effect of the prolonged outage duration shows a gradual increasing trend. New Jersey (NJ), New York (NY) and Michigan (MI) lying in this region get most frequently affected by snow/ice/winter-storms followed by hurricanes/tornadoes and have experienced sustained outage duration. The middle zone<sup>5</sup> shows a sharp peak followed by a small dip in the outage duration after which, the marginal effect of the predictor variable is almost constant in the third zone<sup>6</sup>. The sharp peak in the moderate economically active zone mostly refers to the extreme outages caused by hurricanes/tornadoes affecting the states, such as Texas (TX), Louisiana (LA), Arizona (AZ) and Arkansas (AR). It is to be noted that Texas (TX) appears in both the regions of the “moderate economically active zone” and the “high economically active zone” because its utility sector's contribution has changed over the period of the analysis.

Based on our conversations with a few energy professionals at public utility commissions, we have several hypotheses for the positive as-

<sup>4</sup> Low economically active zone: The states belonging to this zone have the utility sectors contributing less than 2.1% of the total state GSP that indicates all the values below the 3<sup>rd</sup> quartile of the utility sector's contribution

<sup>5</sup> Moderate economically active zone: The states with utility sectors' contribution varying between 2.1% to 2.5% of the total state GSP

<sup>6</sup> High economically active zone: The states with utility sectors' contribution above 2.5% of the total state GSP

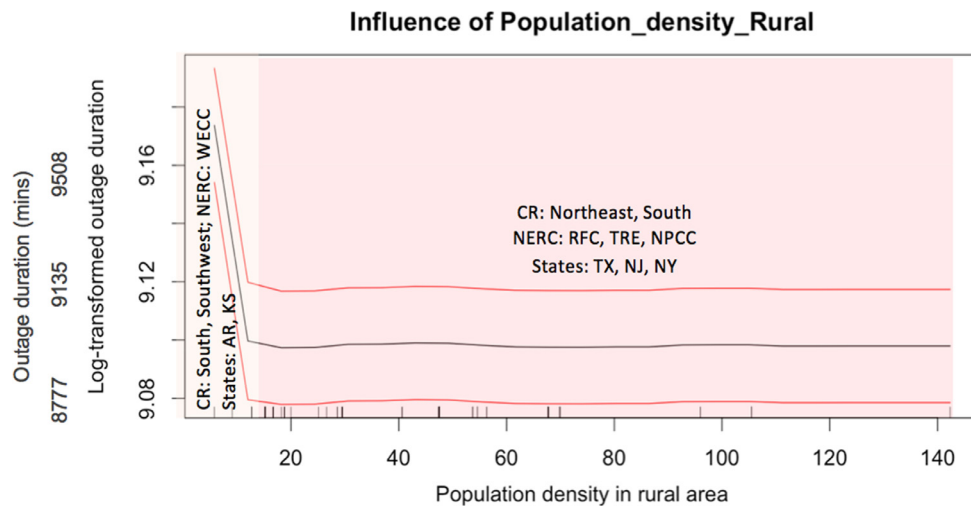


Fig. 20. Influence of population density in the rural areas on the Level-3 outages (rug lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)

sociation between outage durations and percent increase in economic contribution, as summarized below:

- The ‘economically active’ utilities invest more on capital-intensive projects such as building new infrastructure, and may cut investments for regular maintenance and operational activities such as tree-trimming or maintenance of the existing transformer and other critical equipment. Such investment decisions could render the infrastructure vulnerable in the face of severe weather events.
- The positive association could also be attributed to the fact that despite the costs of infrastructure damage during severe-weather impacts, the post-disaster reconstruction generally leads to a temporary economic boom (for instance due to hiring labor for reconstruction, building new infrastructure, replacing the old infrastructure, etc.) [87,88].

#### 4.4.4. Population density of the rural areas (persons per square mile)

The *rural area* refers to the census regions that encompass all population, housing, and territory not included within an *urban area*, as defined by the U.S. Census Bureau [75]. The *urban area* on the other hand is defined by the U.S. Census Bureau as “densely settled core of census tracts and/or census blocks that meet minimum population density requirements, along with adjacent territory containing non-residential urban land uses as well as territory with low population density included to link outlying densely settled territory with the densely settled core” [75]. As of 2010, for a census area to be designated as urban area or urban cluster, the following criteria has to be met: (a) Urbanized Areas (UAs) are designated as regions with 50,000 or more people; and (b) Urban Clusters (UCs) are designated as regions with at least 2500 and less than 50,000 people [75].

Rural population density was found to be a more important predictor than urban population density (refer to the Variable Importance Plot in Fig. 15). This variable serves as a proxy for the topology of power distribution infrastructure in rural regions. Urban areas’ electricity distribution system design is mostly characterized by networked or meshed systems, while rural areas tend to be mostly based on radial distribution systems that tend to be more prone to failure during any disaster impact [89]. The partial dependence plot of the rural population density clearly shows a step function, as observed from Fig. 20.

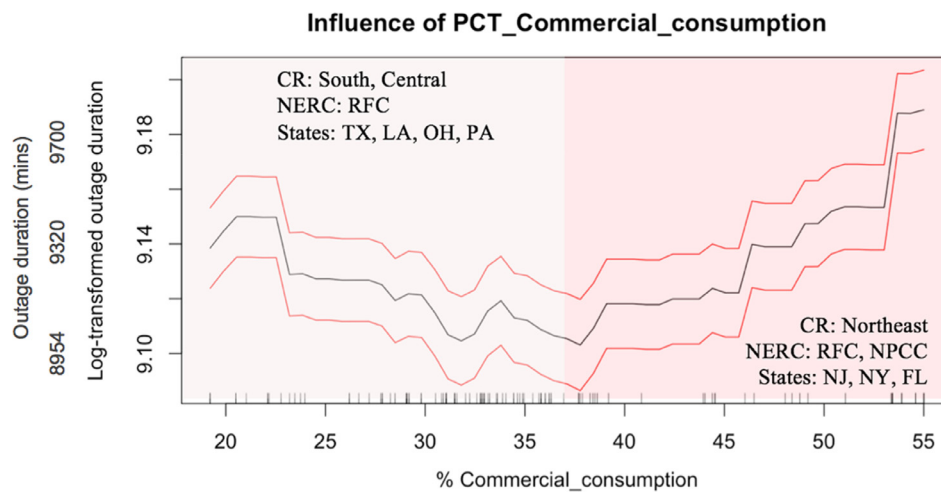
The regions with population density of lower than the threshold of 10 persons per square mile where among the most heavily impacted, experiencing prolonged outage durations. A detailed analysis of these

observations revealed that these observations included the severe winter storms in 2005 and 2007 in Kansas (KS), and the massive wildfire in July 2004 in Arkansas (AR). In fact, the 2007 winter storm, mostly in the form of freezing rains, caused phenomenal damage to the electrical infrastructure that was estimated at \$136.2 million, rendering this the costliest ice storm in Kansas history. It damaged around 2000 power poles, 7900 spans of conductor and required re-fusing of 5,400 lines and transformers [90]. The 2005 power outage was also attributed to freezing rain and deposition of slits of ice on the power lines. In this event, many towns experienced widespread and prolonged multiple outages some of which even lasted for  $1\frac{1}{2}$  to 2 weeks [90].

However, in the region with rural population density above the threshold of 10 persons per square mile, the marginal effect implies that, *on average*, the sustained outage durations are similar across states. While, the average sustained outage duration is similar across all states, more densely populated rural areas experience longer outage duration (close to the top red line in Fig. 20). Texas (TX), New Jersey (NJ), New York (NY) are the top three states which frequently experienced such prolonged outage durations, mostly in face of the severe weather events such as hurricanes/tornadoes followed by snow/ice/winter-storms. Residential customers mostly dominate population density in the rural areas and thus one of the major reasons for these higher outages might be inadequate tree trimming in these regions. Tree trimming is costly, and its frequent implementation in sparsely populated rural areas is not economically justifiable.

In summary, we conclude from Fig. 20 that

- In general, rural areas tend to receive less attention from the utility companies in terms of hardening the electric infrastructure or investing in operation and maintenance (O&M) such as tree trimming, rendering the electric infrastructure in those regions more vulnerable to severe-weather impacts.
- Prolonged outage durations in these regions also suggest that utilities do not often prioritize those regions in the restoration efforts.
- Moreover, in a post disaster situation, accessibility of the restoration crews to the affected electric infrastructure facilities is also an issue. In most of the instances, it has been observed that rural regions receive less priority in terms of disaster recovery efforts compared to the urban areas; these areas often experience sustained periods of road blockage and poor road conditions that hinders the timely access of restoration crews to the affected facilities. This might also lead to longer recovery periods and prolonged outage durations in the rural areas.



**Fig. 21.** Influence of % commercial electricity consumption on the Level-3 outages (rug lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)

#### 4.4.5. Percentage of commercial electricity consumption in the state

Percentage commercial electricity consumption refers to the proportion of total electricity consumption that is demanded by the commercial sectors in the state for their continuous operation. The percent commercial consumption can serve as a proxy for the extent of metropolitan areas in the state. The rationale here is that higher commercial load indicates higher number of commercial activities in the state, which in turn is correlated with higher proportions of metropolitan areas as compared to the rural areas.

The marginal association between commercial electricity consumption and prolonged outage duration shows two distinct patterns (Fig. 21): (i) A decreasing trend for states with commercial consumption less than the national average (36%); and, (ii) an increasing trend for states with commercial consumptions higher than the national average. We hypothesize that in the states with higher proportions of metropolitan regions, the probability of severe-weather induced failures cascading through the network maybe greater, due to higher load on the system. Another reason for such prolonged outage durations might be due to restricted tree trimming activities. Although, investing in tree trimming activities in these areas may not be an issue, getting permission from the local people could sometimes hinder the operation. This is because in metropolitan areas, the communities are generally more concerned about aesthetics of the surrounding landscapes [91]. For instance, states like New York (NY), New Jersey (NJ) and Florida (FL) are characterized by multiple important metropolitan areas with higher population densities are vulnerable to such prolonged outage durations. On the other hand, states with less pockets of metropolitan areas, such as Texas (TX), Louisiana (LA), Ohio (OH), Pennsylvania (PA) have also witnessed such prolonged power outages, but the extent of power outages experienced is comparatively lower than the other states mentioned. In both the cases, hurricanes/tornadoes and snow/ice/winter-storms are the most frequently occurring natural disasters that have affected most of these states.

#### 4.5. Risk factors associated with higher number of customers affected during extreme event impacts

The partial dependencies between the top five predictors and the number of customers affected per 100,000 population in the states of the U.S., during severe weather induced power outages, are described in this section. The response variable here is the log-transformed value of the number of customers affected per 100,000 population.

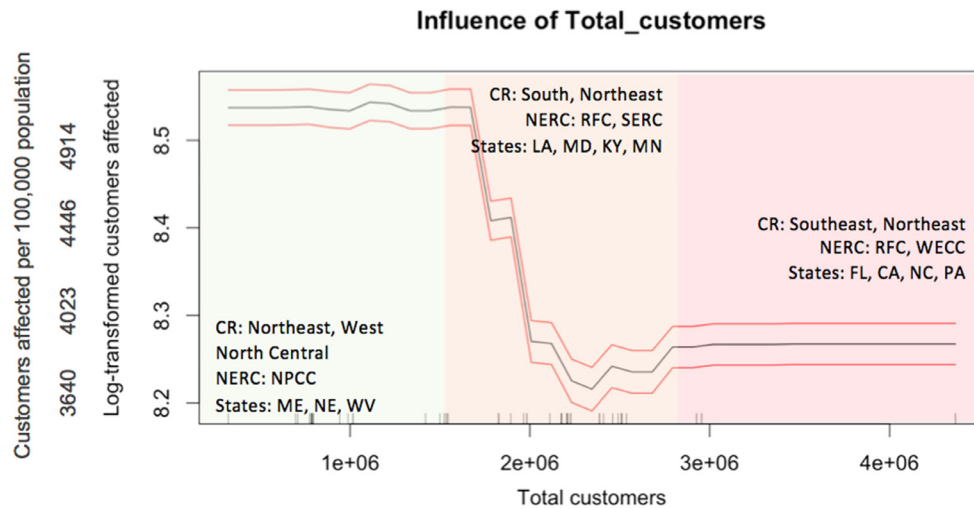
#### 4.5.1. Total customers served in the state

The vulnerability of a states—in terms of higher number of customers affected during disasters—is related to the total number of customers served in the state. This risk predictor in the model refers to the total number of customers that are served by the utility companies in the state, and not the total population of the state. This result is consistent with previous studies on the subject that identified the fraction of customers served by the utility as a key predictor of natural hazard-induced outages [13,44,92]. The partial dependency between the total number of customers served in the state and the number of customers affected shows a distinct step-function (Fig. 22). Interestingly, from an overall perspective, the relationship shows a decreasing trend, i.e., we observe that less populated states appear to be most vulnerable in terms of losing electricity services. Less populated states tend to have lower number of cities and metropolitan areas, higher proportion of residential customers (relative to the commercial and industrial customers), lower economic activities (in terms of industrial and commercial production), and expansive rural areas. As discussed before, these regions tend to receive less priority from the utilities in terms of capital investments in expansion and hardening or in expenditure for operations and maintenance (O&M) such as tree trimming.

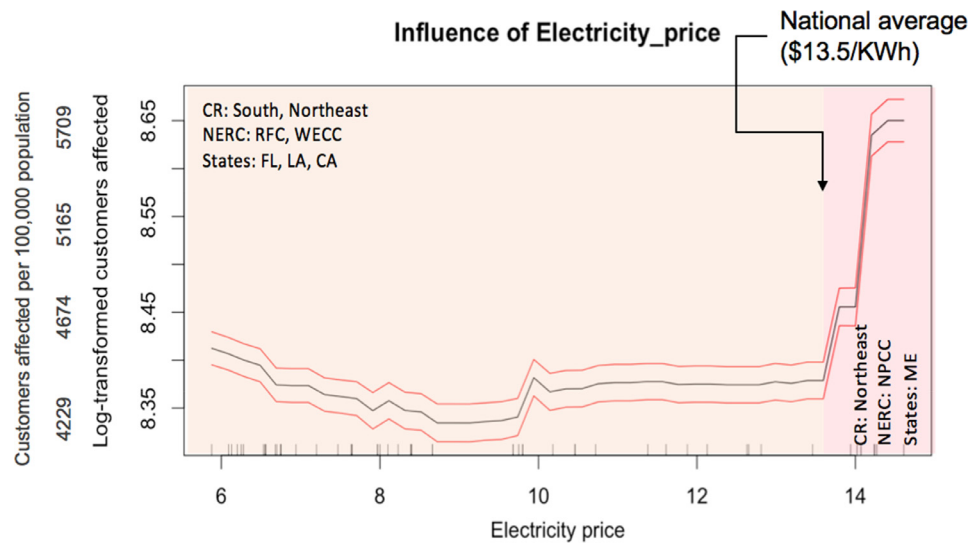
As observed from Fig. 22, Maine (ME), Nebraska (NE) and West Virginia (WV) are among the most vulnerable states that experienced highest proportion of customers affected mostly impacted by snow/ice/winter-storms and hurricanes/tornadoes. However, the states in the middle zone or the extreme zone are not necessarily resilient during hazards, since they still have experienced sustained outages in the past. This relationship only shows a pattern in the marginal effect, which indicates that less populated states are more vulnerable to electricity service failure than the moderately populated of highly, populated states (Fig. 22).

#### 4.5.2. Electricity price

Electricity price is typically set to reflect the cost of electricity production and delivery. While electric utilities have financial liability to provide reliable services and implement timely restorations after a disaster event, most of the cost usually must be recovered back from the consumers. The partial dependency between electricity price and customers affected shows a distinct step function (refer to Fig. 23): (a) the region below the threshold value of 13.5 cents/KWh (national average in electricity price), where little variation is observed on the density of customers affected for the range of electricity price values; and, (b) the



**Fig. 22.** Influence of total customers served in the states on the Level-3 customers affected (rug lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)



**Fig. 23.** Influence of electricity price on the Level-3 customers affected (rug lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)

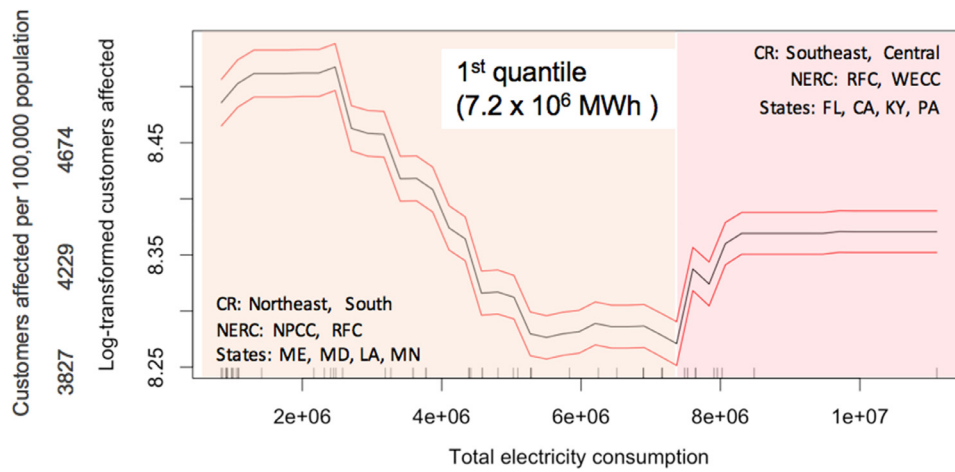
region above the threshold value which shows a steep slope in the density of customers affected. This relationship can be related to states' population density. Florida (FL), Louisiana (LA), and California (CA) are more densely populated than Maine (ME), which helps utilities maintain a lower average electricity price even after major capital expenditure, and operation and maintenance (O&M) activities. However, customers in ME—a state with lower population and a significant proportion of rural areas, pay an electricity price higher than the national average, but perhaps for a less resilient electric grid.

#### 4.5.3. Total end-use electricity consumption in all the sectors of the state

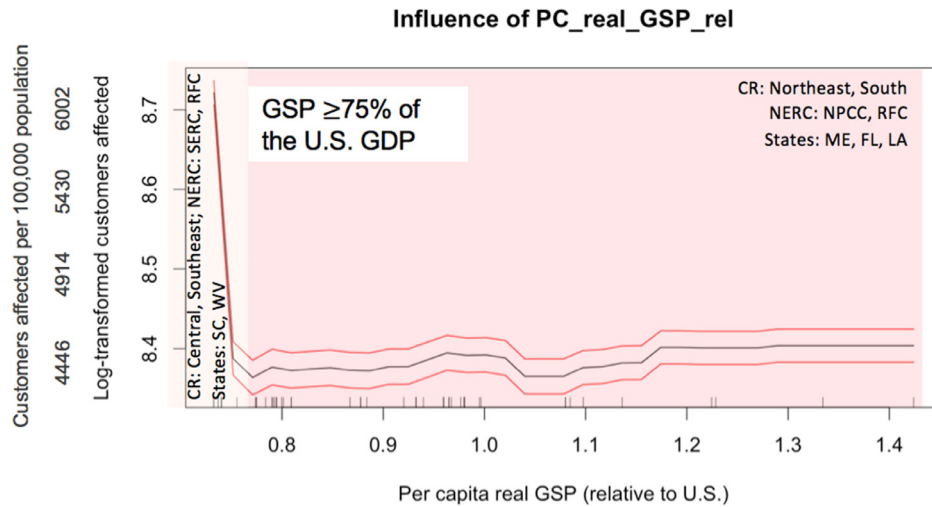
This variable refers to the aggregated demand of electricity in the state. It depends on various factors such as state population, type of customers served, geographical location, extent of densely packed urban areas and metropolitan areas in the state. For instance, higher aggregated electricity demand in the state indicates that the state holds densely populated areas (metropolitan regions/cities), and larger share of commercial and industrial customers.

Analyzing the data-rich region in the marginal effect plot in Fig. 24 ( $7.2 \times 10^6$  MWh, i.e., 1st quantile of total electricity consumption), we observe a decreasing trend in the number of customers affected with increasing electricity demand. This relationship is in line with the marginal relationship between the total customers with the density of the customers affected. However, total electricity demand also accounts for the type of consumer (unlike the total customer predictor). As discussed earlier, we hypothesize that lower electricity demand is an indicator for states with extensive rural areas, higher ratio of residential customers relative to commercial and industrial customers, and lower pockets of metropolitan areas. Such areas in the states receive less investment in terms of hardening and expansion of the electric infrastructure and are generally lower in priority during post-disaster restoration efforts.

From Fig. 24, we observe that Maine (ME), Maryland (MD), Louisiana (LA) and Minnesota (MN) with electricity demand less than the national average are more vulnerable in terms of higher proportion of customers affected in face of severe weather events. States such



**Fig. 24.** Influence of total electricity consumption on the Level-3 customers affected (rug lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)



**Fig. 25.** Influence of per capita real GDP (relative to the U.S.) on the Level-3 customers affected (rug lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)

as Florida (FL), California (CA), Kentucky (KY) and Pennsylvania (PA) with higher levels of electricity demand are also vulnerable to power service disruptions, but are relatively less vulnerable in comparison to Maine (ME), Maryland (MD), Louisiana (LA) and Minnesota (MN). Snow/ice/winter-storms and hurricanes/tornadoes were found to be the most frequently occurring severe-weather events causing extensive power outages in these regions.

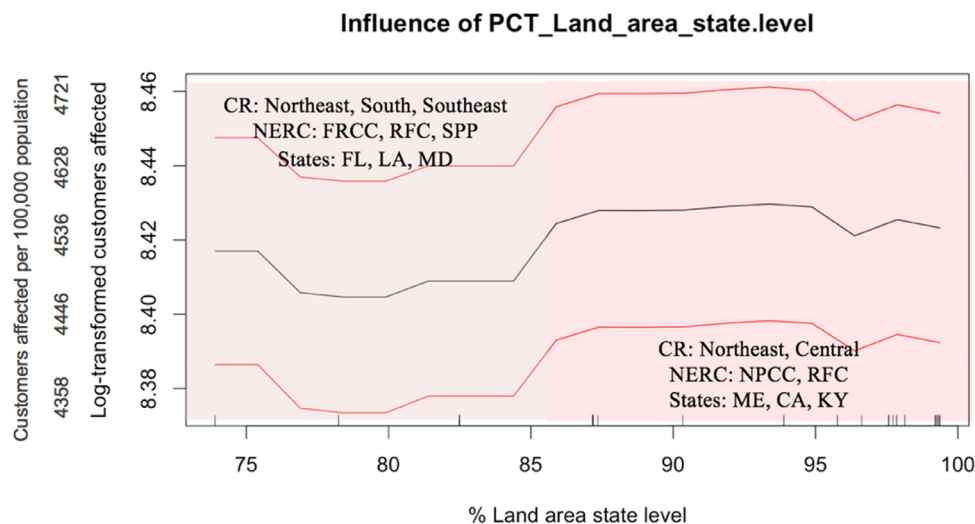
#### 4.5.4. Relative per capita real GDP of the state as compared to the total per capita real GDP of the U.S

This predictor is a proxy for the economic health of the state from the perspective of total economic output production. It is measured as a fraction of the per capita gross domestic product of the state (GSP) measured in 2009 real dollars to that of the entire U.S. (GDP). The marginal relationship between this predictor and the density of customers affected shows a step function. The relationship indicates that the customers in economically ‘poor’ states (with their GSP less than 75% of the U.S. GDP) such as South Carolina (SC) and West Virginia (WV) have experienced a prolonged power outages in the face of severe-weather power outage events (Fig. 25). On the other hand, the customers in states with

better economic health, such as Maine (ME), Florida (FL) and Louisiana (LA), show similar patterns—in terms of the fraction of customers affected—and have experienced less impact in comparison. However, it is noteworthy that these states are still vulnerable to such outages. Hurricanes/tornadoes and snow/ice/ winter storms are found to be the most frequently occurring disaster events causing such outages.

#### 4.5.5. State-level land percentages

State-level land percentage was found to be the second key predictor of prolonged outage duration and the fifth most important predictor of the density of customers affected. As discussed earlier, this predictor serves as a proxy for the extent of overhead electric infrastructure systems. Fig. 26 shows the marginal relationship between percentage of land area in each state and the density of customers affected. The graph indicates that there is not a significant variation in the density of customers affected with increased land percentage. However, we observe that states with lower land percentage (less than 84.3%, i.e. below the 1st quartile of the land percent values) are relatively less vulnerable than states with higher land percentage. Lower land percentage could indicate higher proportion of densely packed urban areas that tend to



**Fig. 26.** Influence of % land area in the states on the Level-3 customers affected (rug lines on the x-axis indicate prevalence of data points; black curve is the average marginal effect of the predictor variable; red lines indicate the 95% confidence intervals). (For interpretation of the color codes in this figure legend, the reader is referred to the web version of the article.)

have underground electric systems, rendering them less exposed to the high-wind, and heavy precipitation events.

## 5. Conclusion

In this research article, we investigated the severe-weather induced power outage risks in the U.S. at the state-level, using a multi-hazard approach. We used publicly available information on historical major power outage records, socio-economic data, state-level climatological observations, electricity consumption patterns and land-use data to develop data-driven risk models for the most intense power outages in the U.S. Our extensive efforts in data preprocessing and filtering of the rich repository of outage data available at the U.S. Department of Energy, and leveraging proxy variables (using publicly available information only), and sophisticated algorithmic methodologies offered a promising approach in overcoming data proprietary issues associated with the electric utilities in the U.S. We leveraged a data-driven, multi-hazard risk estimation method to characterize the complex relationships between the input variables (e.g., characteristics of the State experiencing outages in terms of land-use information, electricity consumption patterns, climate variations, etc.) and outage intensities. The framework is flexible and can include information on other types of variables in future, as they become available.

However, there are some limitations associated with this research study. The limitations are mostly related to the restricted availability of the power grid infrastructure data and the issues associated with the quality of outage data. First, the lack of access to grid infrastructure data, which motivated us to use different proxy variables, could induce bias in the analysis results. In some instances, use of real infrastructure data could provide more accurate information compared to the proxy variables and it would also lead to easier interpretation of the risk factors to the stakeholders. Second, we conducted a nation-level risk analysis to analyze the important predictors that would lead to extreme outages that would help the federal regulatory commissions, such as the Federal Energy Regulatory Commission (FERC), to make informed investment and policy decision making. However, our proposed framework can be extended at a regional level to help the state utility commissioners in informed policy and strategy analysis.

The specific results obtained from the risk models show that the extent of prolonged outages is predominantly dependent on the types of severe weather events. We found that, in the U.S., the electricity sector has historically been most vulnerable to failure in the face of high

wind events, such as hurricanes/tornadoes, snow/ice/winter storms, and wind/rain storms, with their impacts having wide regional spread. Our results helped infer that higher extents of overhead transmission and distribution (T&D) systems are associated with prolonged outages, affecting large number of customers as they are more exposed to high-wind and heavy-precipitation events. Moreover, we found that cascading outages are more prevalent in the states with lower urban population and higher expanse of sparsely populated (rural) areas. This can be attributed to the fact that rural areas tend to receive lower prioritization in utility companies' decisions in terms of hardening the electric infrastructure or investing in operation and maintenance (O&M) such as tree trimming. In a post disaster situation, such prolonged outages could also be due to restricted accessibility of the restoration crews to the affected electric infrastructure facilities in the rural. We also observed a similar trend in the extent of customers being affected by severe weather induced major outages. In our analyses, higher electricity demands and higher number of customers served in the state served as a proxy for larger proportions of metropolitan areas; and we found that lower number of customers were affected in urban areas compared to the rural areas. We also observed that investing in operations and management (O&M) activities is critical in reducing the risks of prolonged outages. Finally, we found that in some instances (e.g., the state of Maine) the customers are paying a higher electricity price, perhaps for a less resilient electricity grid.

Our proposed two-stage hybrid risk estimation model outlined in this research article is a generalizable methodology, and can be re-trained for a specific state—using either proprietary data or publicly available information—to identify the top risk factors specific to that U.S. state. The proposed approach can be leveraged to assess state-level, severe-weather and climate-induced outage risks. State and federal regulators can use our proposed framework as a decision-support tool to incentivize utilities to invest in enhancing the resilience of their systems.

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