

Dynamic Life Cycle Economic and Environmental Assessment of Residential Solar Photovoltaic Systems

1. Introduction

Over the last decade, solar PV energy generation in the US has increased substantially, primarily driven by cost reduction (Verlinden et al., 2013) as well as concerns related to greenhouse gas and air pollutant emissions (Azzopardi and Mutale, 2010). Around 92.6 TWh of solar PV energy was generated across the US in 2018, representing 2.2% of the nation's total electricity generation and 12.5% of the total renewable energy generation (EIA, 2019a, 2019b). Specifically, around 32% of this energy was generated by small-scale distributed solar PV systems that are commonly found on residential and commercial rooftops (EIA, 2019b), while the remaining was generated at utility scale facilities. Cost reduction has been one of the major drivers for the increased adoption of distributed solar PV systems. It has been estimated that a 63% drop in the residential PV manufacturing and installation cost has taken place since 2010, with an average cost of \$2.70 per Watt DC in 2018 (Fu et al., 2018). The cost of solar PV systems is often positively related to the system capacity or size (Fu et al., 2018). Larger systems are likely to have higher upfront costs, and hence impose a greater financial burden on individual households (Nelson et al., 2006). Yet such systems may create a higher environmental benefit when the generated solar energy can be fully utilized by the household or sold to the grid (Kaundinya et al., 2009). Therefore, it is imperative to understand the economic and environmental tradeoffs of the distributed solar PV systems to inform their co-optimization.

The economic performance of solar PV systems is often assessed through life cycle cost assessment (LCCA), which accounts for all costs and savings that incur during the life span of the PV systems (Rebitzer et al., 2004), utilizing indicators such as levelized cost of electricity (LCOE) (e.g., Allouhi et al., 2019, 2016; Burns and Kang, 2012; Jones et al., 2018; Kazem et al., 2017; Lai and McCulloch, 2017; Zhang et al., 2016), investment payback time (IPBT) (e.g., Berwal et al., 2017; Chandel et al., 2014; Lee et al., 2018;

26 Poullikkas, 2013), and life cycle cost (e.g., Adriana et al., 2012; Akinyele and Rayudu, 2016a, 2016b;
27 Bortolini et al., 2014; De Souza et al., 2017; Gürtürk, 2019; Uddin et al., 2017). Meanwhile, their
28 environmental performances are often examined through life cycle assessment (LCA), which is a
29 methodological framework that assesses environmental impacts attributable to the entire life cycle of a
30 product (Rebitzer et al., 2004). The common types of environmental impacts that have been studied via
31 previous solar PV LCAs include carbon footprint (e.g., Akinyele et al., 2017; Akinyele and Rayudu, 2016a,
32 2016b, Allouhi et al., 2019, 2016; Jones et al., 2018; Rawat et al., 2018; Xu et al., 2018) and cumulative
33 energy demand (CED) (e.g., Gerbinet et al., 2014; M. Raugei, 2015; Peng et al., 2013; Rawat et al., 2018;
34 Tsang et al., 2016; Wu et al., 2017). Not many studies have evaluated solar PV systems from both economic
35 and environmental perspectives to allow understandings of their tradeoffs. Indeed, tradeoffs in solar PV
36 systems' economic and environmental performances exist when comparing different types of PV system
37 designs for a particular application (Allouhi et al., 2019, 2016; Jones et al., 2018) and integrating solar PVs
38 into grids with different energy mixes (Bernal-Agustín and Dufo-López, 2006). However, such tradeoffs
39 have not been fully investigated for different solar PV and battery sizing scenarios under both the grid-
40 connected (GC) and standalone (SA) contexts.

41
42 Furthermore, many of the previous solar PV LCCAs and LCAs have limited consideration of the dynamic
43 diurnal or seasonal patterns of solar power generation and demand (Adriana et al., 2012; Chandel et al.,
44 2014; De Souza et al., 2017; Rawat et al., 2018). Such dynamic patterns, however, are important in
45 informing management actions as well as regulatory incentives, including battery dispatch strategies, time-
46 of-use rates, net metering, and energy and water conservation practices. Studies utilizing static or averaged
47 solar energy generation or demand data were limited in their transferability to different spatial and temporal
48 conditions. Of the studies that did include dynamic solar power generation and/or demand patterns, Kazem
49 et al. (2017) estimated the generation potential of a grid-connected 1-MW power plant in Adam, Oman in
50 offsetting peak load using local hourly solar radiation, humidity, temperature, and wind speed data (Kazem
51 et al., 2017). Lee et al. (2018) used hourly solar radiation and building energy consumption data to estimate

52 the economic potential of grid-connected rooftop PV systems for each building in Seoul, South Korea (Lee
53 et al., 2018). Uddin et al. (2017) examined the influence of battery degradation on the technical and
54 economic performances of solar PV systems, using a residential mid-sized family house in the UK as a case
55 study. While these studies provided important insights into the influence of dynamic solar generation and
56 demand patterns on the PV systems' economic performances, the environmental performances of solar PV
57 systems were excluded. Very few studies have included the dynamic solar energy generation and
58 consumption patterns in assessing the life cycle environmental outcomes of the solar PVs. Akinyele et al.
59 (2016a, 2016b) combined a process-based load demand model with LCCA and LCA to evaluate the
60 technical, economic, and environmental (i.e., carbon emissions) performances of SA PV systems in off-
61 grid communities in Nigeria. They found the proposed PV systems could meet as much as 99.56% of the
62 demand, while performing better both economically and environmentally than conventional diesel power
63 plants. Jones et al. (2018) developed a spreadsheet model to simulate hourly electricity flows into and from
64 a non-domestic building in UK under three system configurations: no solar PV installed, solar PV alone,
65 and solar PV combined with battery storage. The model was then combined with LCA and discounted cash-
66 flow analysis to assess the carbon emissions and the net present values associated the three system
67 configurations. Neither of these studies, however, investigated the influence of panel and battery sizing on
68 PV systems' performances. Additionally, HOMER (Hybrid Optimization of Multiple Energy Resources) is
69 a popular tool that can be used to assess both the technical-economic and environmental performances of
70 solar PV systems. However, the environmental impacts assessed through HOMER are limited to the use
71 phase of the solar PV systems.

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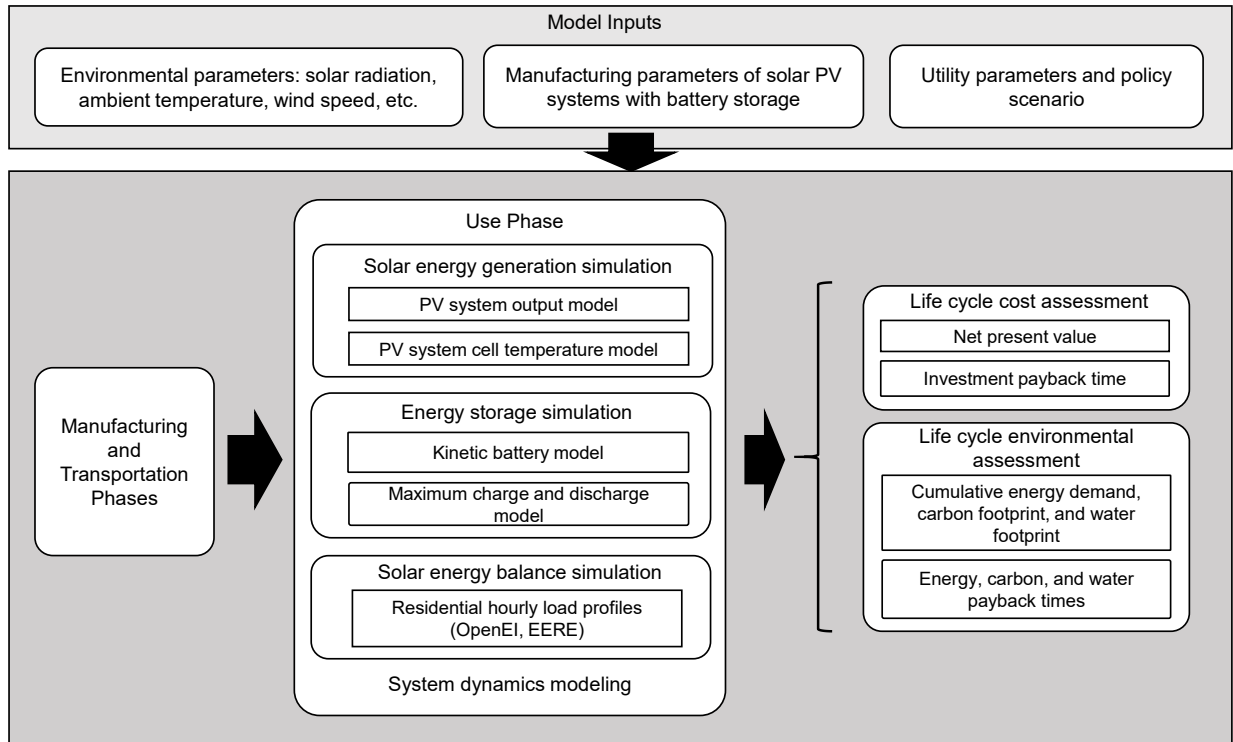
73 Building upon these previous modeling efforts, this study seeks to develop a comprehensive and
74 generalizable modeling framework to capture the dynamic life cycle economic and environmental
75 performances of solar PV systems. A system dynamics model (SDM) of distributed residential solar PV
76 systems was developed and combined with LCA and LCCA to evaluate the environmental and economic
77 tradeoffs of GC and SA solar PV systems under different panel and battery sizing scenarios. The SDM

78 framework was selected based upon its capability to be adapted to various spatial and temporal conditions
79 as well as to visualize the detailed system processes. The modeling framework was demonstrated using a
80 prototype house in Boston, MA of the United States. This study aims to test the following two hypotheses:
81 1) environmental and economic tradeoffs exist when optimizing the panel and battery sizes for the SA solar
82 PV system, but not for the GC system; and 2) there are optimal panel and battery sizes that can
83 simultaneously optimize the percent demand met and the life cycle cost of the SA solar PV systems.

84

85 **2. Methodology**

86 The modeling framework developed in this study combines LCA and LCCA with SDM. SDM is a
87 computational approach applying linked differential equations to simulate the behavior of complex systems
88 over a certain time period. It has been recognized as a cogent tool to study interactions among system
89 components by capturing system feedback loops and delays (Forrester, 1997; Sterman, 2000). Life cycle
90 phases considered in this study include manufacturing, transportation, and use phases. The end-of-life phase
91 was neglected because of the low total amount, concentration and value of reclaimable material in collecting
92 and recycling solar cells (Spanos et al., 2015). The manufacturing and transportation phases of the solar PV
93 systems were assessed based upon unit costs and emission rates associated with individual solar PV
94 components through conventional LCCA and LCA. The use phase was modelled through SDM. Particularly,
95 SDM was used to dynamically simulate the solar energy generation, demand, and storage processes during
96 the use phase of solar PV systems. The modeling framework enables assessment of the net present value
97 (NPV), CED, carbon footprint, and water footprint of solar PV systems over their life span. Figure 1
98 illustrates the modeling framework developed in this study.



99

100 Figure 1. Modeling framework for the dynamic life cycle assessment of solar PV systems

101

102 2.1 System description

103 This study focuses on polycrystalline silicon (poly-Si) solar PV systems based upon their popularity and
 104 economic competitiveness (Fthenakis and Kim, 2011; Sharma et al., 2015). The system investigated in this
 105 study consists of solar panels (composing PV array) (poly-Si), balance of system (BOS), and energy storage
 106 (if any) (Parida et al., 2011). BOS includes inverters, electrical wiring, mountings, and meters. We assumed
 107 that the size of the solar panels was not constrained by the roof size. Two system settings were examined:
 108 GC and SA systems (Figure 2). GC system uses the grid as a supplement to the solar energy generated
 109 onsite and allows users to sell surplus solar energy to the grid (Elhodeiby et al., 2011). SA system refers to
 110 an off-grid solar PV system that does not allow selling of surplus energy (Abu-jasser, 2010).

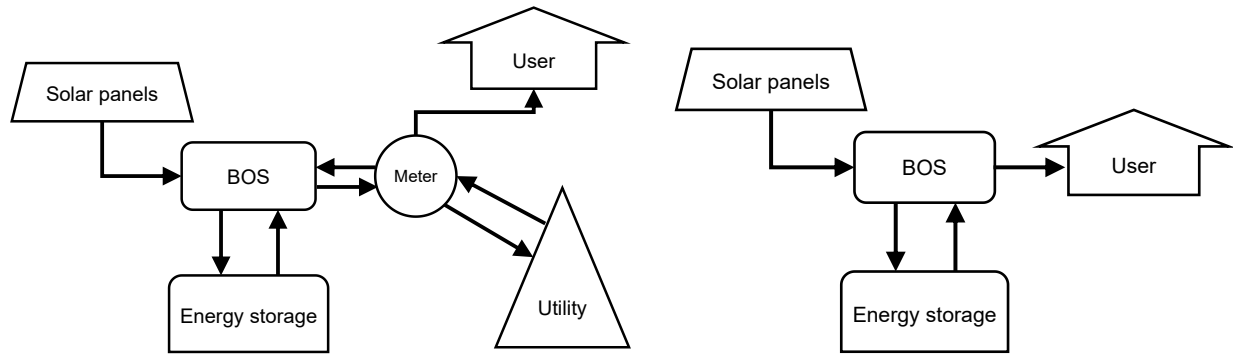


Figure 2. Sketch of the designs of the grid-connected (GC; left) and standalone (SA; right) solar PV systems that were investigated in this study

Boston, MA was selected as a testbed in our study because of its high electricity price (EIA, 2017), strong in-place solar incentive programs (Eid et al., 2014; Heeter et al., 2014), and its active pursue of renewable energy (Burns and Kang, 2012). Currently, around 10.7% of the state’s electricity comes from solar energy (EIA, 2019c). The solar energy capacity for power generation is projected to grow to 1,603 MW over the next 5 years (SEIA, 2019). Boston has an average solar energy potential of around 4.48 kWh/m²/day (DOE, n.d.), with July being the highest (5.86 kWh/m²/day) and December being the lowest (1.60 kWh/m²/day) (NREL, 2015). Boston has a continental climate with warm summers and cold and snowy winters (Kottek et al., 2006). The annual average ambient temperature of Boston is around 10.5 °C, with the lowest temperature of -21.14 °C in January and the highest of 36.02 °C in July (NREL, 2015). The annual average wind speed in Boston is around 0.89 m/s, with the lowest wind speed of 0.01 m/s in July and the highest of 2.45 m/s in February (NREL, 2015).

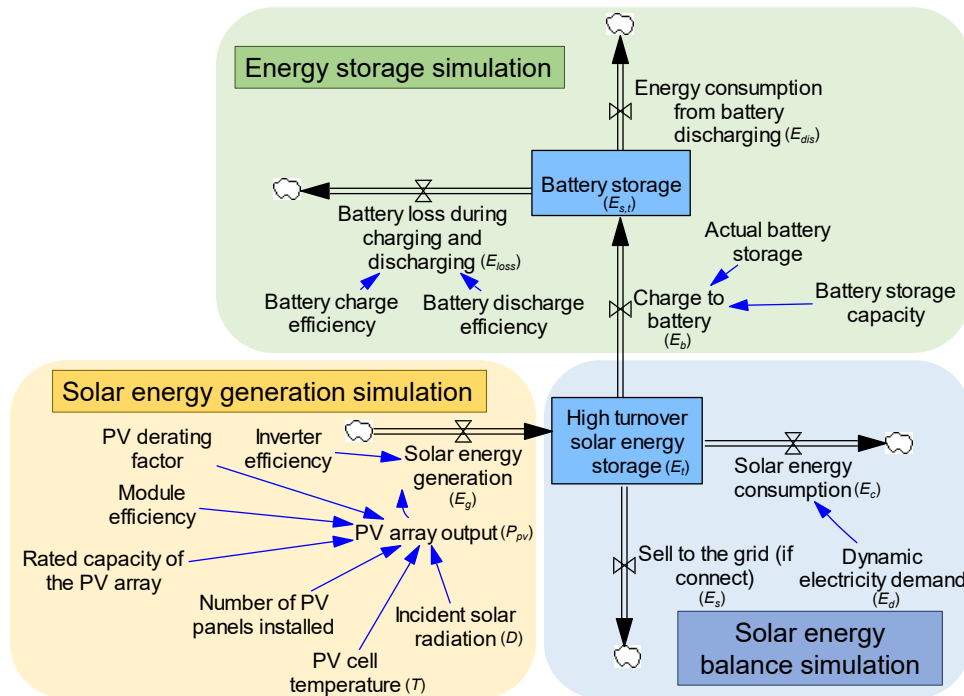
A prototype low-rise multifamily house with five housing units based upon the US Department of Energy’s House Simulation Protocol was used for model application (Wilson et al., 2014). An hourly energy demand profile specific to the multifamily house in Boston, MA was obtained from the Open Energy Information database (NREL, 2014) and each data point was then divided into equal halves to achieve 30-minute simulation. Typical baseline SA and GC PV systems with 40 panels (1.63 m²/panel) and 40 batteries (1.02

132 kWh_c/battery) in each system was simulated on a 65 m² rooftop in the model. The 40-panel PV system's
 133 capacity was assumed to be sufficient enough to cover the peak load of demand in the selected house with
 134 the consideration of future electrification applications like electric vehicles. The 40-battery storage was
 135 calculated to cover the average daily demand of the house based on the energy demand profile.

136

137 2.2 System dynamics modeling of the solar PV system

138 The system dynamics model was developed using the Vensim DSS[®] software. Vensim DSS[®] is a powerful
 139 simulation tool for developing, analyzing, and visualizing dynamic feedback models (Ventana Systems,
 140 2015). It has wide applications in management (Sterman, 2000) and environmental studies (Ford and Ford,
 141 1999) to support decision-making. This model includes three main components: solar energy generation,
 142 storage, and balance simulations (Figure 3). Details of each component are provided in the following sub-
 143 sections. The simulation ran over one year with a thirty-minute time step, which is typical among previous
 144 renewable energy system simulation efforts (Connolly et al., 2010).



145

146 Figure 3. A simplified structure of the system dynamics model of the solar PV systems

147

148 2.2.1 Solar energy generation simulation

149 The output of PV array (P_{pv} , kW) was simulated based upon Equation 1. Specifically, the 30-minute solar
150 radiation profile for the City of Boston was obtained from the National Solar Radiation Database (NREL,
151 2015) and used to calculate the incident solar radiation (D , kW/m²) at each time step. The average residential
152 panel size (S) and the PV module efficiency (β) indicate the rated capacity of a PV panel, which were
153 assumed to be 1.63 m² and 15% (NREL, 2017). The number of PV panels installed (n) was simulated. A
154 PV derating factor (f_{pv}) of 95% was used (HOMER, 2017). An hourly degradation rate (f_d) of the PV
155 system was calculated based upon the annual degradation rate of 0.5% obtained from Köntges et al. (2016).
156 The temperature coefficient of power (α) indicates the influence of the PV cell temperature on the system
157 efficiency, which was assumed to be -0.48 %/°C (HOMER, 2018). The incident radiation at standard test
158 conditions (D_{STC}) and the PV cell temperature under standard test conditions (T_{STC}) were assumed to be 1
159 kW/m² and 25 °C respectively (HOMER, 2017).

160

161
$$P_{pv,t} = S\beta n f_{pv} \left(\frac{D_t}{D_{STC}} \right) [1 + \alpha(T_t - T_{STC})] (1 - f_d)^t \dots \dots \text{Equation 1}$$

162

163 Where,

164 $P_{pv,t}$ represents the actual output of the PV array in the current time step, kW;

165 t is a time step index, which goes from 0, 0.5, up to 8759.5;

166 S is the average residential panel size, 1.63 m² (length: 65 inches, width: 39 inches);

167 β is the PV module efficiency, 15%;

168 n is the number of PV panels installed;

169 f_{pv} is the PV derating factor, 95%;

170 D_t is the incident solar radiation on the PV array in the current time step, kW/m² (NREL, 2015);

171 D_{STC} is the incident radiation at standard test conditions, 1 kW/m²;

172 α is the temperature coefficient of power, -0.48 %/°C;

173 T_t stands for the PV cell temperature in the current time step, °C;
 174 T_{STC} is the PV cell temperature under standard test conditions, 25 °C;
 175 f_d is the hourly degradation rate of the PV system, 0.000057%.

176
 177 The PV cell temperature (T , °C) was further calculated using Equation 2 (Duffie and Beckman, 1991;
 178 HOMER, 2018). Ambient temperatures in Boston at 30-min intervals (T_a , °C) were obtained from the
 179 National Solar Radiation Database (NREL, 2015). In addition, the Sandia Module Temperature Model
 180 (SNL, 2018) (Section 2 of the SI) and Faiman Module Temperature Model (Faiman, 2008) (Section 2 of
 181 the SI) were used to validate results obtained from Equation 2.

182

$$183 \quad T = \begin{cases} \frac{T_a + (T_{pv,NOCT} - T_{a,NOCT}) \left(\frac{D}{G_{T,NOCT}} \right) \left[1 - \frac{\eta_{mp,STC}(1 - \alpha T_{STC})}{\tau \alpha_b} \right]}{1 + (T_{pv,NOCT} - T_{a,NOCT}) \left(\frac{D}{G_{T,NOCT}} \right) \left(\frac{\alpha \eta_{mp,STC}}{\tau \alpha_b} \right)}, & D > 0 \\ T_a, & D = 0 \end{cases}$$

184 Equation 2

185
 186 Where,
 187 T represents the PV cell temperature in the current time step, °C;
 188 T_a is the ambient temperature in the current time step, °C;
 189 $T_{pv,NOCT}$ is the nominal operating cell temperature, 46.5 °C (HOMER, 2017);
 190 $T_{a,NOCT}$ is the ambient temperature at which the NOCT is defined, 20 °C (García and Balenzategui, 2004;
 191 Koehl et al., 2011);
 192 D is the solar radiation striking the PV array in the current time step, kW/m² (NREL, 2015);
 193 $G_{T,NOCT}$ is the solar radiation at which the NOCT is defined, 0.8 kW/m² (García and Balenzategui, 2004;
 194 Koehl et al., 2011);
 195 $\eta_{mp,STC}$ is the maximum power point efficiency under standard test conditions, 13% (HOMER, 2017);

196 α is the temperature coefficient of power, $-0.48 \text{ \%}/^\circ\text{C}$ (NREL, 2017);
 197 T_{STC} is the cell temperature under standard test conditions, $25 \text{ }^\circ\text{C}$ (Devices—Part, 1AD; Muñoz-García et
 198 al., 2012);
 199 τ is the solar transmittance of any cover over the PV array, 90% (Duffie and Beckman, 1991);
 200 α_b is the solar absorptance of the PV array, 90% (Duffie and Beckman, 1991).

201

202 2.2.2 Energy storage simulation

203 Battery energy storage system was simulated based upon Equation 3. Generic Li-Ion battery was modelled
 204 with information obtained from (HOMER, 2017). The amount of energy available in the battery system
 205 ($E_{s,t}$, kWh) was modeled as a stock, which is a time integral of differences between the rate of solar power
 206 charged to the battery (E_b , kW), the rate of battery discharges for end uses (E_{dis} , kW), and the rate of
 207 battery loss during charging and discharging (E_{loss} , kW). The initial battery storage (E_{s,t_0}) was assumed
 208 to be zero. The rate of charging (E_b) is determined by the PV array output (P_{pv}), the user's energy demand,
 209 as well as the vacant capacity of the battery system at a given time step. The rate of discharging (E_{dis}) is
 210 determined by the battery storage and the user demand. The rate of battery loss (E_{loss}) is determined by the
 211 battery charge and discharge efficiency. Furthermore, both E_b and E_{dis} are constrained by the maximum
 212 rates which were calculated using the Kinetic Battery Model (HOMER, 2017; Manwell and McGowan,
 213 1993) with consideration of the battery storage and charge current limitations. Details about the calculation
 214 of the maximum charging and discharging rates are provided in the Section 2 of the SI.

215

$$216 \quad E_{s,t} = \int_{t_0}^t (E_b - E_{dis} - E_{loss}) dt + E_{s,t_0} \dots \dots \text{Equation 3}$$

217

218 Where,

219 E_b is the charge to the battery, kW;

220 E_{dis} is the discharge of electricity energy from the battery, kW;

221 E_{loss} is the battery loss during charging and discharging, kW;
 222 $E_{s,t}$ and E_{s,t_0} are the energy storage in battery at time t and t_0 , kWh.

223

224 The useful battery lifespan (T_b , year) was calculated based on the total lifetime throughput of the battery
 225 system and the annual actual charge-discharge throughput (Equation 4). The lifetime throughput of one
 226 battery was assumed to be 2,430 kWh (HOMER, 2018), and total throughput was assumed to be linearly
 227 related to the number of batteries in the system. The actual annual charge-discharge throughput of the
 228 battery storage (C_a) was calculated as a time integral of the charging rate (Spanos et al., 2015).

229

230
$$T_b = \frac{C_l m}{C_a} \quad \dots \dots \text{Equation 4}$$

231

232 Where,

233 T_b represents the actual useful lifespan of the battery storage, year;

234 C_l is the lifetime throughput of one battery, 2,430 kWh;

235 m is the number of batteries installed in the battery system;

236 C_a is the actual annual charge-discharge throughput of the battery storage, kWh/year.

237

238 2.2.3 Solar energy balance simulation

239 The dynamic energy balance between solar energy generation, battery storage, consumption, and selling to
 240 the grid was simulated based upon Equation 5. A fictitious high turnover stock was simulated to allocate
 241 the generated solar energy (E_g) to the three outflows, E_c , E_b , and E_s (Equation 6).

242

243
$$E_t = \int_{t_0}^t (E_g - E_c - E_b - E_s) dt + E_{t_0} \quad \dots \dots \text{Equation 5}$$

244

245
$$E_g \text{ (inflow)} = E_c + E_b + E_s \text{ (outflow)} \quad \dots \dots \text{Equation 6}$$

246

247 Where,

248 E_t and E_{t_0} are the solar energy storage at time t and t_0 , kWh;

249 E_g is the solar energy generation by the PV system, kW;

250 E_c is the solar energy consumption to meet the demand, kW;

251 E_b is the solar energy for charging the battery storage, kW;

252 E_s is the solar energy that feeds into the grid, kW.

253

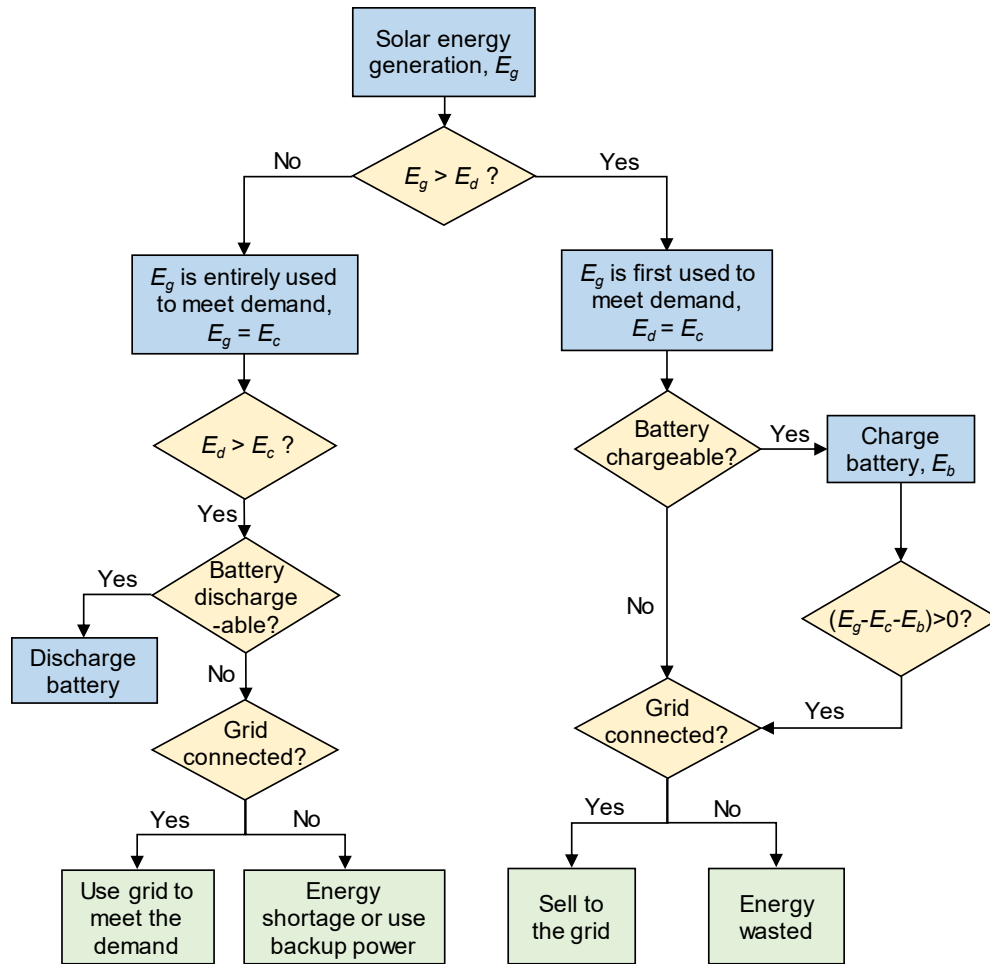
254 The decision-making process for the solar energy generated to be allocated to the three outflows is

255 illustrated in Figure 4. Whenever solar energy is available, it is first used to meet the household energy

256 demand. The surplus solar energy is used to charge the battery if it is present and has not reached the

257 maximum capacity. After the battery is fully charged, the excess solar energy is sold to the grid through net

258 metering.



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264 2.3 Life cycle cost assessment

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Figure 4. Solar energy balance simulation decision flow (E_g is the solar energy generation by the PV system, kW; E_c is the solar energy consumption to meet the demand, kW; E_b is the solar energy for charging the battery storage, kW; and, E_d is the electricity demand in current time step, kW.)

271 system includes costs related to battery, panels and racking, inverters, permission, and installation. The cost
 272 of battery storage was assumed to be \$209 per kWh of storage capacity (kWh_c) (Curry, 2017). Panels and
 273 racking were assumed to cost \$1 per Watt of generation capacity (McFarland, 2014; Reichelstein and
 274 Yorston, 2013). Inverters were assumed to be \$300 per piece (HOMER, 2018). Permission and installation
 275 cost including meters were assumed to be \$450 (NREL, 2017). Savings from solar energy generation were
 276 calculated as a product of the cumulative amount of solar energy that is consumed and/or sold to the grid
 277 and the electricity retail price. The electricity rate was assumed to be \$0.16/kWh, which is the average flat
 278 rate in New England area from 2016 to 2017 (NREL, 2017). A tax credit of 30% (Burns and Kang, 2012;
 279 Service, 2019) of the capital cost was applied. In addition, a rebate of \$0.25 per Watt of installed capacity
 280 was applied to all solar systems (Association, 2015). The cost of labor is a tiered function of the system
 281 capacity, which was obtained from (HomeAdvisor, 2019) (Figure S1 in the Section 2 of SI). The cost of
 282 O&M includes the annual replacement cost of battery storage during the system life cycle. The
 283 interconnection costs (e.g. application fees) of GC system were neglected (Eversource, 2018). Investment
 284 Payback Time (IPBT) of the PV systems was calculated using a cash flow method using Equation 8.

285

286
$$Life\ cycle\ cost = C_c - R + \sum_{n=1}^N \frac{C_{o,n}}{(1+i)^n} - \sum_{n=1}^N \frac{S_n}{(1+i)^n} \dots \dots Equation\ 7$$

287

288
$$IPBT = T_y + \frac{-v}{p} \dots \dots Equation\ 8$$

289

290 Where,

291 C_c is the capital cost of the PV systems, \$;

292 R is the tax credit and rebate, \$;

293 N is the life span of the solar PV systems, 20 years;

294 $C_{o,n}$ is the O&M cost in the year n , \$;

295 i is the discount rate, 5%;

296 S_n is the saving from solar energy generation in the year n , \$;
 297 T_y is the number of years after the initial investment at which the last negative value of cumulative cash
 298 flow occurs, year;
 299 p is the net cash flow within the year when the first positive value of cumulative cash flow occurs, \$/year;
 300 v is the cumulative cash flow up to the year at which the last negative value of cumulative cash flow
 301 occurs, \$.

302

303 2.4 Life cycle environmental assessment

304 Three types of environmental impacts were simulated: CED, carbon footprint, and water footprint. The
 305 system boundary includes manufacturing, transportation, installation, and use phases. The environmental
 306 costs related to labor and administration during the use phase were neglected. However, the replacement of
 307 batteries was included. Due to various disposal behavior of the PV users as well as no regulation on the
 308 residential level for separating batteries from PV systems and disposing the systems, the battery disposal is
 309 not included (Grinenko, 2018). SimaPro 8.3 was used for characterization of the environmental impacts.
 310 Particularly, the cumulative energy demand V1.09 method was used for estimating CED. The IPCC 2013
 311 GWP 20a was used for estimating carbon footprint. No significant difference was found in model output
 312 applying the IPCC 2013 GWP 20a or 100a. The Berger et al 2014 (Water Scarcity) method was used for
 313 estimating water footprint (Boulay et al., 2018). Environmental savings from solar energy generation during
 314 the use phase were calculated as a product of the cumulative amount of solar energy that is consumed and/or
 315 sold to the grid and the environmental impacts units. Equation 9 is the governing equation of the solar PV
 316 systems' life cycle environmental performance. Energy, carbon, and water payback time were calculated
 317 using Equation 10. Table 1 presents the unit costs and environmental impacts obtained from SimaPro 8.3.

318

319
$$I = I_{t_0} + I_s - \int_{t_0}^t (P_{pv} f_{unit}) dt \quad \dots \dots \text{Equation 9}$$

320

321 Where,
 322 I and I_{t_0} are the cumulative environmental costs at time t and t_0 ;
 323 I_s is the environmental costs of the PV system (from cradle to gate without the solar generation savings);
 324 P_{pv} is the actual output of the PV array in the current time step, kW;
 325 f_{unit} is the environmental impacts unit, environmental impacts/kWh, Table 1.

326

327
$$PBT = \frac{E_p + E_t}{E_g - E_m} \dots \dots \text{Equation 10}$$

328

329 Where,
 330 PBT represents the environmental payback time, which can be either energy, carbon, or water payback time,
 331 year;
 332 E_p is the environmental cost to produce and manufacture the solar PV system;
 333 E_t is the environmental cost to transport materials used during the life cycle;
 334 E_g is the average annual environmental savings from electricity generation by the installed solar PV system;
 335 E_m is the average annual environmental cost of O&M including the battery replacement.

336

337 Table 1. CED, carbon footprint, water footprint and cost unit of solar PV systems

Solar PV systems	SimaPro entry	CED unit	Carbon footprint unit	Water footprint unit	Cost unit
PV panel	Photovoltaic panel, multi-Si wafer {GLO} market for Alloc Def, S	3480 MJ/m ²	202 kg CO ₂ eq/m ²	4360 L/m ²	\$1/W
Battery	Battery, Li-ion, rechargeable, prismatic {GLO} market for Alloc Def, S	96.5 MJ/kg	7.52 kg CO ₂ eq/kg	101 L/kg	\$209/ kWh _c
Inverter	Inverter, 2.5kW {GLO} market for Alloc Def, S	2400 MJ/piece	243 kg CO ₂ eq/ piece	1910 L/piece	\$300/ piece

Meter and wiring		Not considered			\$450
Replaced grid electricity	Electricity, at grid, US/US, kWh	10.9 MJ/kWh	0.878 kg CO ₂ eq/kWh	44.1 L/kWh	\$0.16/kWh

338

339 2.5 Sensitivity analysis

340 A sensitivity analysis was conducted to analyze the influence of discount rate and the local electricity grid
 341 mix on the environmental and economic outcomes of the typical GC and SA PV systems with 40 panels
 342 and 40-batteries. Each of these factors were varied by ± 10, 30, 50, 70, 90, and 100% to assess its influence
 343 on the NPV, CED, carbon footprint, and water footprint. A sensitivity index (*S*) was calculated for each
 344 input change using Equation 11 (Song et al., 2019).

345
$$S = \frac{\frac{O_i - O_b}{O_b}}{\frac{I_i - I_b}{I_b}} \dots \dots \text{Equation 11}$$

346 Where O_i is the output value after the input was changed; O_b is the base output value; I_i is the altered input
 347 value; and I_b is the original input value. Inputs were considered “highly sensitive” if $|S| > 1.00$.

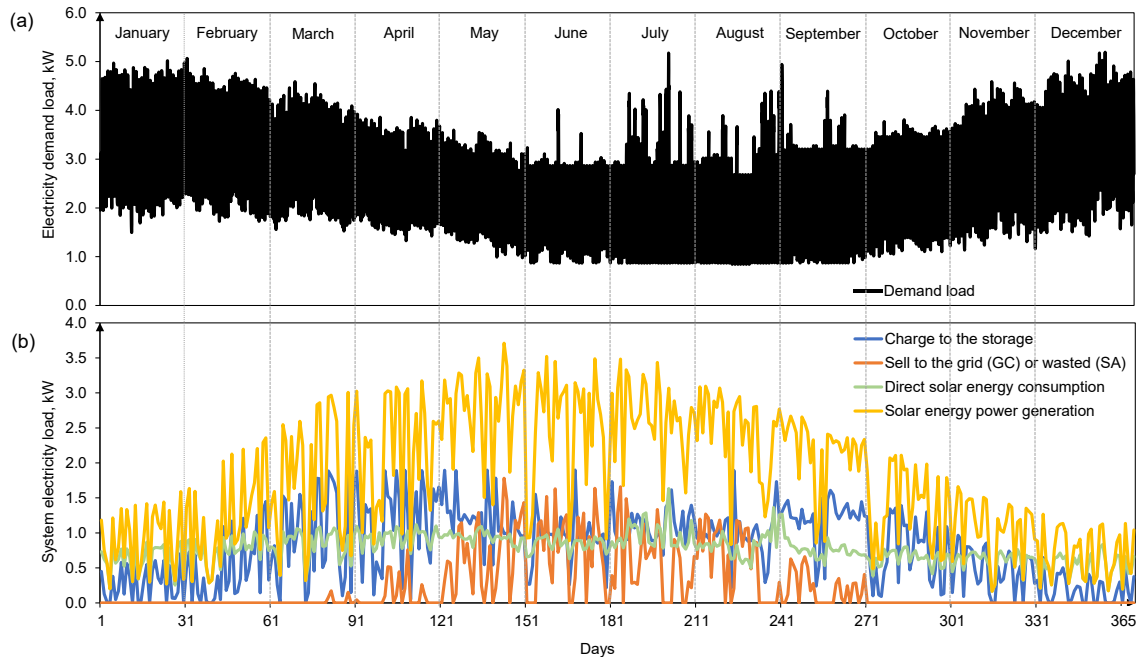
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349 **3. Results and Discussion**

350 3.1 Solar energy utilization and demand met by SA and GC PV systems

351 For the prototype house with 40 PV panels and 40 batteries, 42.6% of the solar energy generation is directly
 352 consumed and 44.4% is stored for later consumption. Around 13.0% of the solar energy will either be
 353 wasted in a SA system or sold to the grid in a GC system. Solar energy generated, stored, and sold/wasted
 354 all present strong seasonal trends (Figure 5). Solar energy generation peaks between May and July, when
 355 the monthly average energy demand of the prototype house is the lowest. Hence, a larger amount of solar
 356 energy can be sold or stored during these months. Furthermore, grid demand is the highest during summer
 357 months nationally (EIA, 2011). Utilities often use natural gas (71.5% in the New England region), hydro
 358 and nuclear generation to meet the additional demand (ISO-NE, 2018). Installation of a GC PV system can

359 hence alleviate local energy stress and replace fuels that have higher carbon emission factors. Nevertheless,
 360 the opposite seasonal patterns of solar energy demand and generation will not be ideal for households
 361 looking to install SA PV systems. More solar energy is likely to be wasted and a larger battery capacity
 362 might be required to reduce waste. However, this will come with a higher initial investment and replacement
 363 cost.



364
 365 Figure 5. (a) Annual electricity demand load profile of the selected house; (b) Dynamic generated solar
 366 energy allocation of typical PV system from the model simulation

367
 368 Figure 6 presents the percent demand met through solar energy for the prototype house when the panel and
 369 battery numbers changed. Either the number of panels or the number of batteries could be a limiting factor
 370 for further increase in percent demand met. The shaded numbers present where the PV array size serves as
 371 a primary limiting factor, while the rest presents where the battery size serves as a primary limiting factor.
 372 The borderline between the two sections represents the approximate optimized battery size to achieve the
 373 highest possible percentage of demand met with a given array size. Achieving 100% demand met requires
 374 large numbers of both panels (>200 units) and batteries (>160 units), which often accompanies a high cost.

375 However, the size of 40 panels (1.63 m²/panel, 65.2 m² in total) already occupies the entire available roof
 376 size of the prototype house (65 m²). Urban PV hosts are likely be more restricted by the land or space
 377 available for further increasing demand met compared to rural or suburban PV hosts. An integration of
 378 multiple decentralized energy supplies, such as PV and diesel generator, or PV and geothermal energy
 379 might be desirable to improve demand met.

		Number of Batteries									
		0	1	5	10	15	20	40	80	160	320
Number of Panels	1	1.6%	1.6%	1.6%	1.6%	1.6%	1.6%	1.6%	1.6%	1.6%	1.6%
	5	8.1%	8.1%	8.1%	8.1%	8.1%	8.1%	8.1%	8.1%	8.1%	8.1%
	10	15.8%	16.1%	16.1%	16.1%	16.1%	16.1%	16.1%	16.1%	16.1%	16.1%
	15	21.2%	22.0%	23.5%	23.7%	23.7%	23.7%	23.7%	23.7%	23.7%	23.7%
	20	24.9%	26.0%	29.0%	30.8%	31.0%	31.0%	30.9%	30.9%	30.9%	30.9%
	25	27.6%	28.9%	32.7%	36.1%	37.7%	38.0%	38.0%	38.0%	38.0%	38.0%
	30	29.7%	31.1%	35.4%	39.7%	42.8%	44.4%	44.9%	44.9%	44.9%	44.9%
	35	31.2%	32.8%	37.7%	42.4%	46.4%	49.3%	51.4%	51.7%	51.7%	51.7%
	40	32.5%	34.1%	39.4%	44.7%	49.1%	52.9%	56.2%	57.1%	57.6%	58.3%
	60	35.8%	37.5%	43.6%	50.5%	56.6%	61.6%	68.4%	69.8%	70.2%	70.9%
	80	37.8%	39.5%	45.9%	53.4%	60.4%	66.6%	75.4%	77.8%	78.8%	79.5%
	100	39.1%	40.9%	47.4%	55.2%	62.7%	69.3%	80.7%	83.6%	84.4%	85.2%
	150	41.0%	42.8%	49.6%	57.7%	65.7%	72.9%	87.2%	92.2%	93.3%	94.1%
	200	42.0%	43.8%	50.7%	59.2%	67.3%	74.5%	89.9%	96.2%	98.4%	99.2%
	300	43.2%	45.1%	52.0%	60.5%	69.1%	76.5%	92.5%	98.7%	99.9%	99.9%

380

381

Figure 6. Percentage of demand met via solar PV systems

382

383 3.2 Life cycle cost assessment

384

385

386

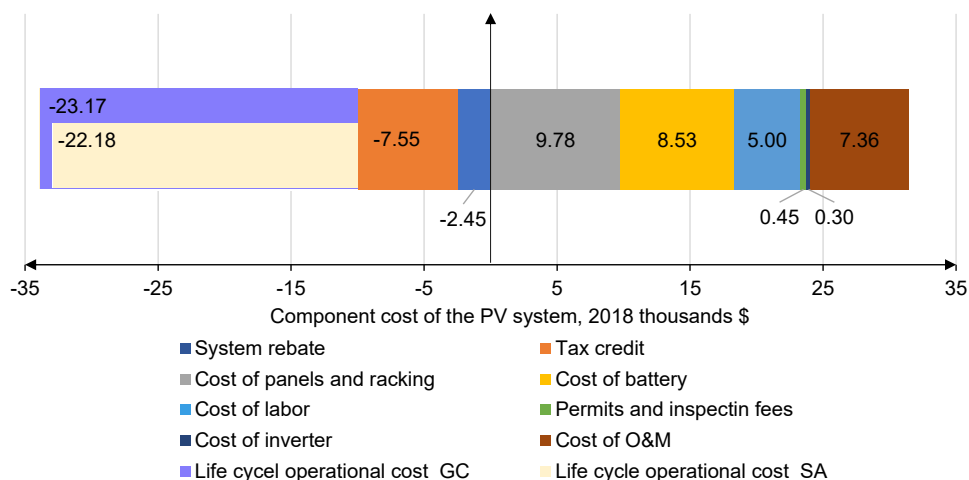
387

388

The life cycle cost of the baseline SA system is -\$754.9 in 2018 value with 18.5 years of IPBT, while the baseline GC system presents a lower life cycle cost of -\$1,739.4 with 16.8 years of IPBT. Our IPBTs found in this study are within the IPBT range of 2.8-40.8 years reported by previous residential solar PV studies (Muhammad-Sukki et al., 2014; Yang et al., 2015). Allowing selling of the surplus energy created about \$984.5 of additional savings over 20 years of life span. In our simulation, to further increase 1% of the

389 percent demand met from baseline system would result in an additional \$409.0 through the increase of array
 390 size or \$626.5 through the increase of battery size. Both are higher than the amount of economic savings
 391 that can be achieved through the 1% demand met increase (\$31.3).

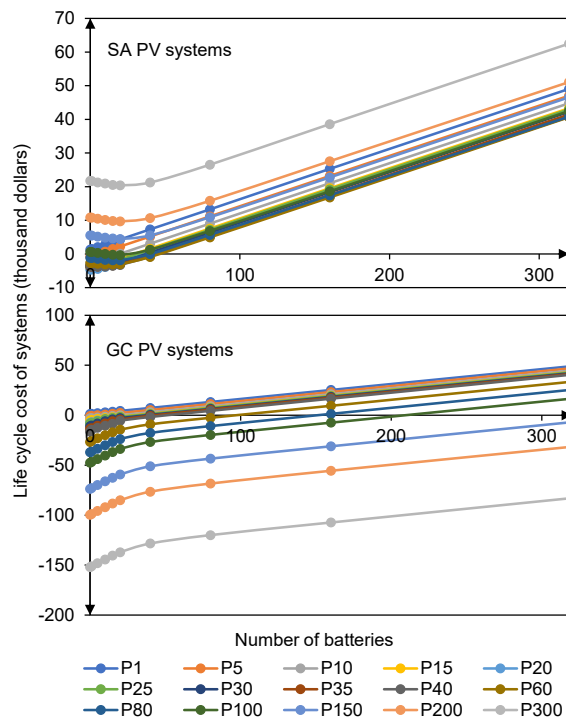
392
 393 Figure 7 presents the cost breakdowns of the baseline SA and GC PV systems. Primary costs for solar PV
 394 systems come from panels and racking (31% of total cost), battery storage (27% of total cost), replacement
 395 of battery (23% of total cost), and labor for installation (16% of total cost). Without system rebate and tax
 396 credit, both systems are not able to be paid back within its life time.



397
 398 Figure 7. Cost breakdown of baseline 40-panel 40-battery SA and GC PV systems

399
 400 Figure 8 presents the life cycle cost under different array sizes for the prototype house. Results show that
 401 when demand met is not a concern, life cycle economic savings are achievable under a range of panel and
 402 battery sizes for both GC and SA systems. No battery installation is preferred for SA systems with relatively
 403 small panel sizes (<25 panels). This indicates the saving from power generation cannot offset the battery
 404 cost within this range of panel sizes. With further increase in array size, the optimum battery size increases.
 405 Overall, the maximum life cycle economic saving can be achieved with 20 panels with no battery in this
 406 prototype house. This optimum configuration could meet ~25% of total demand with NPV of -\$4,616.7.
 407 Compared with the baseline SA system, this optimized SA system increases the life cycle economic savings

408 by 511.6%, yet decreases the demand met by 55.7%. Additional analyses were conducted to investigate the
 409 tradeoffs between percent demand met and life cycle cost. The Pareto-optimal frontier between percent
 410 demand met and life cycle cost was provided in Figure 9 (further analyses related to the tradeoffs between
 411 the life cycle cost and demand met were provided in Figure S4 of the supporting information). We found
 412 the optimal panel size ranges from 60-80 with 20-40 batteries, which can meet 66.6-68.4% of the demand
 413 with a life cycle cost between -\$3011.7 and -\$887.5.

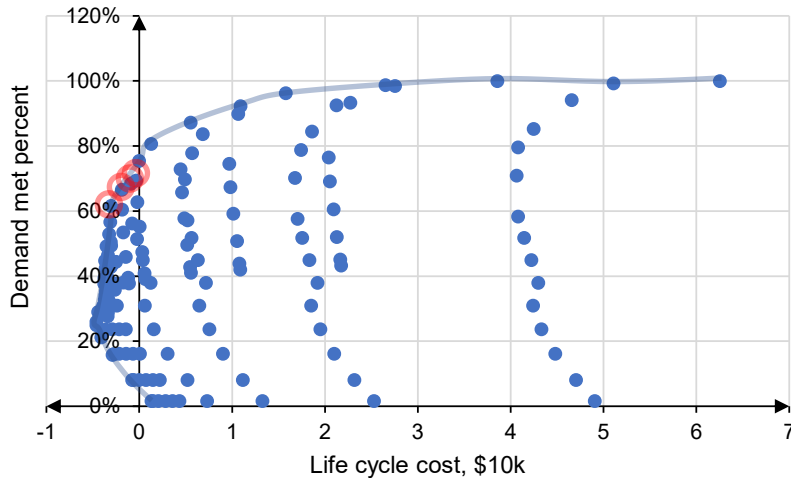


414

415

Figure 8. Life cycle cost (2018\$) of SA and GC PV systems under different array sizes

416



417
 418 Figure 9. The Pareto-optimal front of demand met percent and life cycle cost of SA PV systems. Dots
 419 with red circles represent the preferred solutions for both objectives.

420
 421 For GC systems, with a given array size, the life cycle cost increases with the increase of battery size. When
 422 there is no limit on when and how much excess solar energy can be sold to the grid, batteries do not provide
 423 extra benefit to the GC system owners. However, when policy constraints such as limitations/caps of grid
 424 sell are in place, tradeoffs would present as whether or not to install batteries for excess energy storage. For
 425 example, Pennsylvania Public Utility Commission attempted to cap the amount of surplus grid sell from
 426 PV systems to no more than 200% of residential customers' annual consumption over the 60 months before
 427 they installed PV systems (Legere, 2016; Parrish, 2016). Under such a policy, the prototype house with the
 428 baseline system would have a maximum grid sell of 39,080 kWh annually. With the decrease of the selling
 429 cap, this could result in a larger optimal battery storage capacity. Potential future charges on distribution
 430 and transmission services, overage tariffs, and a lower retail rate of solar energy can also influence the
 431 optimal sizing of the panels and batteries of the GC PV systems. In these conditions, storing the surplus
 432 solar energy for later household uses will result in a higher economic benefit than selling it directly back to
 433 the grid. Hence, having certain battery storage capacities might become appealing even for GC PV system
 434 owners. Different policies could alter the economic cost and benefit of GC systems through the change of

435 economic gain from selling to the grid variously. Therefore, the optimal array size for maximum economic
436 saving is determined by specific policy. For example, the cap of grid sell restricts the optimum array size.

437

438 3.3 Life cycle environmental assessment

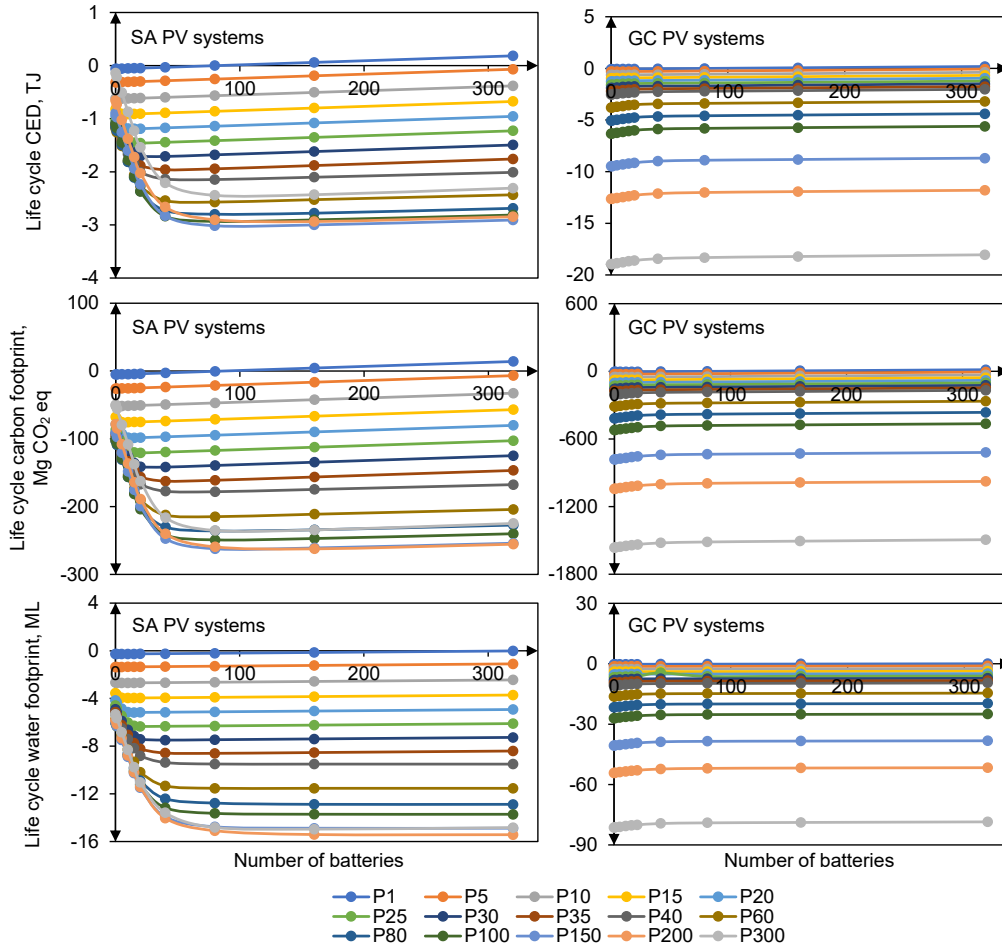
439 Both baseline GC and SA PV systems can result in reduced CED, carbon footprint, and water footprint
440 compared to the grid when installed in the prototype house. The GC system has higher life cycle
441 environmental benefits in terms of all three measures than the SA system (-2.1 TJ, -177.0 Mg CO₂ eq, and
442 -9.4 ML of water for the SA system and -2.3 TJ, -187.0 Mg CO₂ eq, and -9.9 ML of water for the GC
443 system). This shows that allowing selling of the excess energy rather than wasting it can slightly increase
444 the environmental benefits by 5.3~9.5% over 20 years of life span. The energy, carbon, and water payback
445 times are 2.15, 1.62, and 0.65 years for the baseline SA system, respectively; and 2.05, 1.54, and 0.62 years
446 for the baseline GC system, respectively. Previously reported energy, carbon, and water payback times are
447 0.8-4.7 years (Gerbinet et al., 2014; Grant and Hicks, 2020; Perez et al., 2012), 0.4-7.8 years (Grant and
448 Hicks, 2020), and 0.06-1.08 years (Fthenakis and Kim, 2010; Meldrum et al., 2013) respectively for the
449 solar PV systems. Our results are within the ranges of these previously reported environmental payback
450 times. Figure 10 presents the life cycle environmental performances of SA and GC systems under different
451 array sizes. Compared with life cycle economic savings, life cycle environmental savings are achievable
452 under a wider range of panel and battery sizes for both types of systems.

453

454 For SA systems, the optimized CED and carbon footprint outcomes were achieved when the panel size was
455 in the range of 150-200 units and the battery size was in the range of 80-320 units, while the optimized
456 water footprint outcome was achieved when the panel size was in the range of 150-300 units and the battery
457 size was in the range of 80-320 units when installed in the prototype house. The optimized CED, carbon
458 footprint, and water footprint are in the ranges of -3.02 and -2.85 TJ, -262.2 and -254.0 Mg CO₂ eq, and -
459 15.4 and -14.7 ML of water, respectively. These optimized configurations increase the life cycle
460 environmental savings of the baseline SA system by up to 64.6%, but decrease the life cycle economic

461 saving largely by up to 6,868.4%. The environmentally optimal SA system array and battery sizes are
462 significantly larger than the economically optimal array and battery sizes. This large preferred size is
463 potentially a result of the relatively low environmental emissions/impacts during the panel and battery
464 manufacturing phase compared with the potential environmental benefits resulted from preventing the use
465 of the grid during the use phase, although a large amount of solar energy will be wasted under the optimized
466 size (up to 69.3% of total solar energy generation wasted). This shows that an environmental and economic
467 tradeoff exists for the SA systems. However, with further reductions in the capital costs of the PV and
468 battery systems, such tradeoffs may be minimized, especially for regions with relatively high retail
469 electricity price. Potential future policies such as carbon pricing (Tierney, 2019) and increased water pricing
470 of the thermal power supply (EPA, 2019; USC, 1986) may also help promoting adoption of larger sized
471 solar PV and battery systems as well as minimizing the environmental and economic tradeoffs.

472
473 For GC systems, environmental benefits are the highest when no battery is installed, and the benefits
474 increase with the increase of panel size. However, the increase of array size is restricted by the amount of
475 rooftop area or land availability. When the panel size is restricted to the rooftop area, the lowest life cycle
476 environmental costs in CED, carbon footprint, and water footprint are -2.5 TJ, -209.2 Mg CO₂ eq, and -
477 10.9 ML respectively. This optimized configuration increases the environmental and economic savings by
478 8.7~11.9% and 843.7% respectively compared with the baseline GC system over 20 years. No outstanding
479 economic and environmental tradeoffs were found for the GC system under the modelled conditions.



480

481 Figure 10. Life cycle environmental costs of SA and GC PV systems under different array sizes

482

483 3.4 Sensitivity analysis

484 Figure 11 shows the changes of the life cycle cost in response to decreases or increases of the discount rate

485 as well as the changes of the life cycle environmental outcomes in response to the changes in the grid energy,

486 carbon, and water intensities. Life cycle cost of the baseline PV system is highly sensitive to the changes

487 of the discount rate under the investigated range. Increasing discount rate is associated with lower life cycle

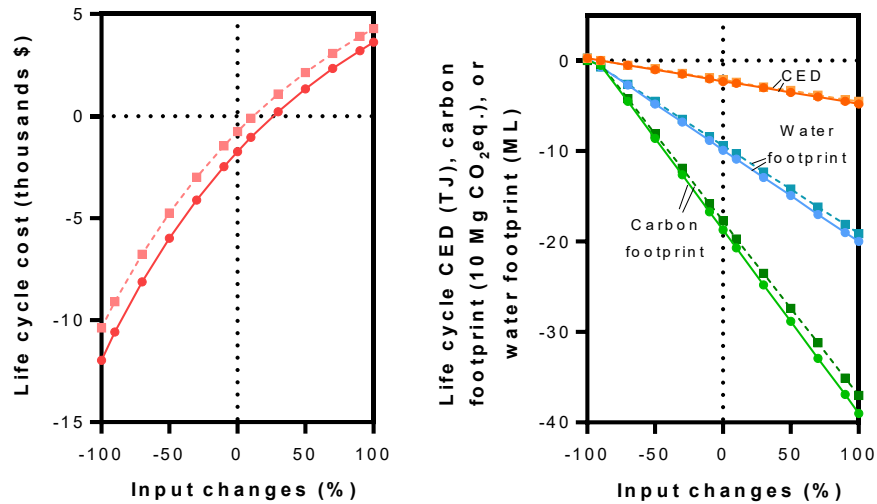
488 economic savings from installing solar panels. The discount rate of 5.6% (12% increase from the default

489 value) and 6.3% (26% increase from the default value) are the tipping points where a SA and GC baseline

490 system starts to lose money, respectively. Life cycle environmental outcomes of the solar PV system change

491 linearly with the change of the grid energy, carbon, and water intensities. Carbon footprint has the highest

492 sensitivity to the changes in the grid, followed by water footprint, and the CED is the least sensitive to the
 493 grid changes. Additionally, the GC system is slightly more sensitive to changes in the grid than the SA
 494 system from an environmental perspective.



495
 496 Figure 11. Life cycle costs and environmental impacts of the baseline SA (dashed lines) and GC (solid
 497 lines) PV system under changes in discount rate (left figure) and the unit environmental impact of the grid
 498 (right figure).
 499

500 4. Conclusion

501 A dynamic life cycle economic and environmental assessment that combines system dynamics modeling
 502 with the conventional LCA and LCCA was conducted for residential solar PV systems. Two PV system
 503 designs were investigated: the GC and the SA systems. A prototype house located in Boston, MA was used
 504 as a testbed for the modeling framework developed in this study. When installed with 40 PV panels (roughly
 505 the size of the entire roof) and 40 batteries, the prototype house will directly use 42.6% of the solar energy
 506 generated, store 44.4% of the energy for later consumption, and sell or waste round 13.0% of the solar
 507 energy depending on whether it is a GC or a SA system. Solar energy generated, stored, and sold/wasted
 508 all present strong seasonal trends. The prototype house has the lowest monthly demand during summer,
 509 while the solar energy generation is the highest during the period. Hence, a larger amount of solar energy

510 can be sold or stored during these months. Achieving 100% demand met requires large numbers of both
511 panels (>200 units) and batteries (>160 units) for the prototype house, which can be unrealistic for
512 households with land or roof area availabilities. The 40-panel 40-battery SA system has a life cycle cost
513 saving of \$754.9 in 2018 value with 18.5 years of IPBT and a life cycle reduction of 2.1 TJ of CED, 177.0
514 Mg CO₂ eq, and 9.4 ML of water. The corresponding GC system presents a slightly higher life cycle cost
515 saving of \$1,739.4 with 16.8 years of IPBT and a slightly higher life cycle environmental benefit (reduction
516 of 2.3 TJ CED, 187.0 Mg CO₂ eq, and 9.9 ML of water). This study also found the tradeoffs between
517 demand met and life cycle cost in the SA systems can be best balanced when the panel size is between 60-
518 80 units and the battery size is between 20-40 units, which can meet 66.6-68.4% of the demand with a life
519 cycle cost between -\$3011.7 and -\$887.5.

520

521 When examining the influence of panel and battery sizes on the outcome, we found life cycle economic
522 savings are achievable under a range of panel and battery sizes for both GC and SA systems when demand
523 met is not a concern. For the SA systems, the maximum life cycle economic saving can be achieved with
524 20 panels with no battery in the prototype house, which increases the life cycle economic savings of the
525 baseline system by 511.6%, yet decreases the demand met by 55.7%. However, the optimized
526 environmental performance is achieved with significantly larger panel (up to 300 units) and battery (up to
527 320 units) sizes. These optimized configurations increase the life cycle environmental savings of the
528 baseline SA system by up to 64.6%, but decrease the life cycle economic saving largely by up to 6,868.4%.

529 There is a clear environmental and economic tradeoff when selecting the size of the SA systems. For GC
530 systems, when there is no limit on when and how much excess solar energy can be sold to the grid, batteries
531 do not provide extra benefit to the GC system owners. Hence, both the economic and environmental benefits
532 are the highest when no battery is installed, and the benefits increase with the increase of panel size.
533 However, when policy constraints such as limitations/caps of grid sell are in place, tradeoffs would present
534 as whether or not to install batteries for excess energy storage. The modeling framework that is developed

535 in this study can be further generalized for future investigations in varied PV system designs under different
536 policy scenarios in different spatial and temporal contexts.

537

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