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1	Numerical investigations of the tunnel environment effect on the
2	performance of energy tunnels
3	Chunjing MA ¹ , Alice DI DONNA ¹ , Daniel DIAS ^{1,2,3*} , Jiamin ZHANG ¹
4	¹ Univ. Grenoble Alpes, CNRS, Grenoble INP**, 3SR, F-38000 Grenoble, France
5	² Antea Group, Antony, France
6	³ School of Automotive and Transportation Engineering, Hefei Univ. of Technology, Hefei 230009, China
7	
8	*Corresponding author, E-mail: daniel.dias@anteagroup.com, Address: 2-6 Place du Général de Gaulle,
9 10	92160 Antony, France
10	This it ute of Engineering Univ. Grenoble Alpes
11	Abstract. Energy tunnels having lining equipped with best exchangers as best or sink
12	Abstract: Energy tunnels having mining equipped with heat exchangers as heat of sink
13	resources have gained increasing popularity in recent decades to satisfy the energy demand.
14	This study focuses on numerical simulations based on the continuous operation of thermally
15	activated segmental linings. It aims to analyze the tunnel environment effect on the energy
16	performance of a typical metro tunnel section and estimate the concrete lining role in the heat
17	transfer. Two approaches are expressed to access the system energy efficiency and validated
18	against existing literature data. The numerical results show the influence of the temperature
19	difference between the tunnel air and the circulating fluid and the heat transfer coefficient on
20	the system energy efficiency, which indicates that energy is mainly exchanged with the tunnel
21	environment in winter, but in summer, the surrounding ground plays a major role for the
22	studied case. When evaluating the geothermal potential of an energy tunnel, it is necessary to
23	undertake an initial assessment not only on the ground conditions, but also on the tunnel
24	environment and the concrete lining thermal properties.
25	
26	Keywords: Energy tunnel, heat power, tunnel environment, numerical modelling, concrete
27	lining
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- 30

31	List of syr	nbols
32	A	Central area of a zone, m ²
33	A_l	Tunnel surface area in contact with the ground, m ²
34	$C_{e\!f\!f}$	Effective volumetric specific heat capacity, J/m ³ /K
35	Cf	Specific heat of circulating fluid, J/kg/K
36	c_p	Specific heat capacity at constant pressure, J/kg/K
37	C_{S}	Specific heat of dry solid matrix, J/kg/K
38	C_W	Groundwater specific heat, J/kg/K
39	D_{in}	Inner diameter of the pipe wall, m
40	D_{out}	Outer diameter of the pipe wall, m
41	f_D	Darcy friction factor
42	h_{eq}	Equivalent convective heat transfer coefficient, W/m ^{2/} K
43	h_{f}	Convective heat transfer coefficient of circulating fluid, W/m ^{2/} K
44	h_t	Convective heat transfer coefficient at air-lining interface, W/m ^{2/} K
45	k	Hydraulic conductivity, m/s
46	'n	Mass flow rate, kg/s
47	n	porosity
48	Pr	Prandtl number
49	Ż	Instantaneous heat power, W or J/s
50	$\dot{Q_l}$	Instantaneous heat power per unit tunnel lining area, W/m ²
51	Q_{ave}	The average heat power over an operating period, W/m ²
52	q^{T}	Heat flux, W/m ²
53	$q^{^T}_{\scriptscriptstyle cond}$	Conductive heat flux, W/m ²
54	$q_{\scriptscriptstyle conv}^{\scriptscriptstyle T}$	Convective heat flux, W/m ²
55	$q_{\scriptscriptstyle v}^{\scriptscriptstyle T}$	Volumetric heat source or sink intensity, W/m ³
56	$q_{\scriptscriptstyle W}$	Groundwater flow rate, m/s
57	Re	Reynolds number
58	S	Body surface, m ²
59	S_r	Degree of saturation
60	Т	Temperature, °C
61	T_a	Tunnel air temperature, °C
62	T_{f}	Temperature of the circulating fluid, °C
63	T_{in}	Inlet temperature of absorber pipes, °C
64	T_{ini}	Initial temperature of the domain, °C
65	T_l	Tunnel lining temperature, °C
66	Tout	Outlet temperature of absorber pipes, °C
67	T_{0}	Initial monitored temperature of tunnel air, °C
68	T_{∞}	Temperature of far field, °C
69	t	Time, s
70	to	Operating time, day
71	V	Zone volume, m^3

72		
73	List of gree	k letters
74	λ	Thermal conductivity, W/m/K
75	$\lambda_{e\!f\!f}$	Effective thermal conductivity, W/m/K
76	λ_f	Thermal conductivity of the circulating fluid, W/m/K
77	λ_l	Thermal conductivity of tunnel lining, W/m/K
78	λ_p	Thermal conductivity of the pipe wall, W/m/K
79	λ_s	Solid thermal conductivity, W/m/K
80	λ_w	Groundwater thermal conductivity, W/m/K
81	ρ	Total density, kg/m ³
82	$ ho_d$	Dry density of the soil, kg/m ³
83	$ ho_w$	Groundwater density, kg/m ³
84	Ω	Body volume, m ³
85		
86	List of subs	cripts
87	<i>x</i> , <i>y</i> , <i>z</i>	Cartesian coordinates, m
88	i, j	zone numbers
89		

90 **1. Introduction**

It is estimated that 36% of the total final energy consumption in 2017 was used by built environments which represented 39% of the global energy-related CO₂ emissions in 2017 [1]. The environmental deterioration is related to the growing energy demand that can be satisfied by increasing energy supply, for example by finding new ways to exploit oil and gas reservoirs. However, sustainable solutions rely on both decreasing the consumption of fossil fuel and developing technologies that harvest renewable energy sources [2].

97 In recent decades, the ground-coupled heat pump (GCHP) system offered one of the best 98 ways of providing sustainable renewable energy in an urban environment where the ground 99 immediately below a city can be utilized as a low-grade energy storage reservoir for its high 100 energy efficiency and environmentally friendly mechanism for cooling and heating demand 101 [3]. A modern application of this technology is represented by the so-called energy 102 geostructures [4–6]. They couple the structural role of geotechnical structures to the low 103 enthalpy geothermal principles, by integrating in the concrete elements a circuit of 104 high-density polyethylene plastic pipes for ground heat exchange. These thermally active 105 systems are mainly related to base slabs, piles and, diaphragm walls [7]. During recent years, 106 increasing considerations were paid on how this heat transfer technology could be extended 107 to tunnels as a renewable energy source for energy networks on a city scale [8–10]. The 108 outstanding advantage of energy tunnels is that substantially larger ground volumes and 109 surfaces can be activated for heat exploitation in comparison with other geothermal structures 110 due to their extensive linear characteristics. Urban tunnels are normally built as part of a city 111 and included in the infrastructure planning, which is considered suitable to supply energy to 112 built-up areas [11–13].

An increasing number of tunnels are now being excavated by means of full-face TBMs for reducing the construction risk when excavated in weak strata, especially for water-bearing ones. In these cases, the absorber pipes can be simply tied to the reinforcement cage during the concrete segments prefabrication [12]. An early typical energy segmental lining called 'Energietübbing' was designed by Ed. Züblin AG and Rehau AG & Co [15] with the pipeline running parallel to the tunnel axis, (Fig. 1a). More recently, a novel energy tunnel precast segmental lining containing two pipes layers called 'ENERTUN' characterized by the main direction of absorber pipes perpendicular to the tunnel axis and a double circuit to facilitate the heat exchange with both ground and air was proposed by Barla & Di Donna [16] (Fig. 1b) and patented by the Politecnico di Torino (Italy).

123



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- 125
- 126

Fig. 1. Existing energy segmental linings: (a) 'Energietübbingand' (b) 'ENERTUN'.

127 Having the ground on one side and the air on the other side is a typical condition of 128 tunnels and diaphragm walls, differently from energy piles for instance. Thus the thermal 129 efficiency of an energy tunnel is influenced by both the tunnel air and the surrounding ground 130 conditions [17]. The investigation of the thermal exchange with the tunnel air is essential: the 131 tunnel environment may vary due to inside activities and results in heat exchange alterations between the tunnel air and concrete lining. The concrete lining acts as a heat transfer medium 132 133 that wraps the heat absorber pipes, its role also deserves to be studied. Zhang et al. [18] 134 carried out a laboratory model test to evaluate the coupling effects of the ventilation and 135 groundwater flow on the thermal performance of energy tunnel linings. The results revealed 136 that the tunnel ventilation effectively enhances the heat exchange between the absorber pipes 137 and the surrounding rock.

Some studies investigated the effects of tunnel air on the energy performance throughnumerical modelling [19]. Thermo-hydro numerical analyses conducted by Tinti et al. [20]

140 indicated that the tunnel air and the groundwater flow need to be modelled considering both 141 conduction and convection mechanisms in order to capture its accurate thermal status. 142 Bourne-Webb et al. [21] showed that energy is mainly exchanged with tunnel environment 143 rather than with ground and constant temperature boundary can be non-conservative. 144 Therefore, convective boundary conditions may allow a closer representation of the true state 145 of an energy tunnel, and the convective heat transfer coefficient is a main parameter that 146 relates of the tunnel environment to heat transfer rates. Peltier et al. [22] investigated the 147 relationships between the convective heat transfer coefficient and average airflow velocity for 148 different concrete surface roughnesses, which provides a way to estimate the convective heat 149 transfer coefficient value for a tunnel. To assess the influence of some parameters including 150 the convective heat transfer coefficient on the geothermal potential of energy tunnels, 151 sensitivity analyses were also carried out by Insana et al. [23], and the effect of this 152 coefficient variation on the amount of heat flowing between tunnel environment and the 153 lining was observed.

154 Despite the previous works, not a lot of data relating to the relationship between tunnel 155 environment and heat transfer rate of energy tunnels has been published and no quantitative 156 details between the environmental conditions and the ground conditions are provided, which 157 motivates the present study. The work presented here is based on numerical analyses. and its 158 contributions are mainly the following ones: (i) two numerical approaches for quantifying the 159 thermal efficiency of an energy tunnel are proposed and critically compared as possible 160 methods to study the influence of tunnel environment, (ii) design charts are provided, for both 161 heating and cooling modes, to predict the average thermal efficiency as a function of the 162 tunnel environment conditions, and (iii) the contributions of different components in an 163 energy tunnel system and the thermal property effect of concrete lining are investigated.

164 **2. Numerical modelling**

165 The heat transfer of a ground heat exchanger system (GHEs) is a complicated process 166 owing to the conjugate heat transfer of various mechanisms. Generally, heat transfer in soils is induced by three main mechanisms: conduction, convection, and water phase change, also
known as latent heat of vaporisation. Radiation in soils usually plays a negligible role for heat
transfer and it is excluded from formulations [3,24].

170 Heat transfer by conduction occurs by a collision process between the soil solids 171 molecules, water and pore air. Heat conduction through air is not of great importance but its 172 effect should be included in the soil thermal conductivity calculation [25]. The heat transfer by convection through porous media includes free convection, which accounts for the fluid 173 174 motion caused by the density differences due to the temperature variations, and the forced convection, in which the heat is carried by the fluid motion (underground seepage). Water 175 176 phase changes, including water freezing and ice melting, as well as evaporation which leads 177 to vapor diffusion and subsequent condensation, may also produce latent effects on heat 178 transfer, but such effects are negligible in the applications studied here.

179 In the following work, unless specified otherwise, all model components are assumed to have constant thermal and hydraulic properties. The conductive fluid heat transfer along the 180 181 pipes axis is ignored [26,27], and the thermal contact resistance at the interface between the 182 tunnel lining and the surrounding ground and between the tunnel lining and the absorber pipe 183 is also considered as negligible. In this study, the ground where the excavation takes place, is 184 considered as fully saturated. Thus, the following four mechanisms are involved in the 185 numerical calculations: (1) conductive and convective heat transfer in saturated ground, (2) conductive heat transfer in the segmental lining, (3) convective heat transfer between heat 186 187 fluid and pipes, and (4) convective heat transfer between tunnel air and segmental lining.

188 2.1. Numerical model geometry

The tunnel geometry was taken from [28] for the sake of validation and comparison. In order to reduce the complexity and computational time, a 1m-thick model based on the Turin Metro Line 1 section profile was developed using the finite difference software FLAC3D (Itasca 2016). The geometry of this model is presented in Fig. 2. The model is composed of 31442 nodes and 15246 hexahedral zones. The modelled tunnel has a 30 cm-thick segmental 194 lining with an outer diameter of 6.8m and so that the inner diameter is equal to 6.2m. The 195 tunnel buried depth is between 18.1m and 24.9m. The excavation was conducted below the 196 water table which is at 12m below the ground surface. The whole domain is 80m high, 140m 197 wide and 1m thick. The width is equal to twenty times the outer tunnel diameter, which 198 allows the boundary effects to be ignored.





199

Fig. 2. The geometry and dimension of finite difference model.

The absorber pipes are represented as holes in the model, having a diameter of 25 mm. The external holes boundaries correspond to the pipe-lining interfaces. The center of each pipe is at 20 cm from the air-lining interface, with a spacing of 30 cm. No mesh zones are used for the pipes walls. However, the outside diameter and the pipe walls thickness, which are respectively equal to 25 mm and 2.3 mm, are taken into account in the computation of the convective heat transfer coefficient on the pipe-lining interface, as is detailed in section 2.3.

207 2.2. Mathe \Box atical for \Box ulation

When only the conductive heat transfer mechanism is considered, the temperature and the heat flux components are related through the energy-balance equation and transport laws derived from the heat conduction Fourier's law. The differential equation for an elementary volume in cartesian coordinates is obtained by substituting the Fourier's law into the energy-balance equation:

213
$$\frac{\partial}{\partial x} \left(\lambda \frac{\partial T}{\partial x} \right) + \frac{\partial}{\partial y} \left(\lambda \frac{\partial T}{\partial y} \right) + \frac{\partial}{\partial z} \left(\lambda \frac{\partial T}{\partial z} \right) + q_v^T = \rho c_p \frac{\partial T}{\partial t}$$
(1)

where λ [W/m/K] is the thermal conductivity and q_v^T [W/m³] is the volumetric heat source or sink intensity of the medium, ρ [kg/m³] is the mass density of the considered material, and c_p [J/kg/K] is the specific heat capacity at constant pressure. If the thermal conductivity is constant, Eq. (1) can be simplified and written as:

218
$$\frac{\partial^2 T}{\partial x^2} + \frac{\partial^2 T}{\partial y^2} + \frac{\partial^2 T}{\partial z^2} + \frac{q_v^T}{\lambda} = \frac{1}{\alpha} \frac{\partial T}{\partial t}$$
(2)

219 where $\alpha = \lambda / (\rho c_p)$ is the thermal diffusivity.

220 When also convective-diffusive heat transfer mechanism is considered, the energy 221 balance becomes:

222
$$C_{eff} \frac{\partial T}{\partial t} + \nabla q^{T} + \rho_{w} c_{w} q_{w} \nabla T - q_{v}^{T} = 0$$
(3)

where q^T [W/m²] is the heat flux, q_w [m/s] is the groundwater flow rate, ρ_w [kg/m³] and c_w [J/kg/K] are respectively the fluid reference density and specific heat. Note that C_{eff} is the effective specific heat capacity given by:

226 $C_{eff} = \rho c_p = \rho_d c_s + n S_r \rho_w c_w$ (4)

where ρ_d [kg/m³] and c_s [J/kg/K] are respectively the dry density and specific heat, n is the porosity, and S_r is the degree of saturation.

229 2.3. Thermal and hydraulic initial conditions

The temperature of the whole domain, including the water in the aquifer, is initialised to 14 °C, which is assumed to be the undisturbed ground temperature. The position of the groundwater table is located at a depth of 12.5 m from the surface. The tunnel excavation takes place below the water table in the homogeneous, fully saturated ground. The material properties of the tunnel segmental lining and ground are taken from Barla et al. [28] and listed in Table 1. The same geometry and material properties were also assumed by Ogunleye et al. [26], and their results are also used here for validation.

237 **Table 1**

238 Material parameters.

Parameters	Ground	Concrete lining	Groundwater	Pipe
Thermal conductivity, λ [W/m/K]	2.8	2.3	0.65	0.38
Volumetric heat capacity, ρc_p [MJ/m ³ /K]	2.0	2.19	4.2	-
Initial temperature, T _{ini} [°C]	14	14	14	-
Horizontal hydraulic conductivity, k_x [m/s]	4.15×10 ⁻³	10-16	-	-
Vertical hydraulic conductivity, k _y [m/s]	2.08×10 ⁻⁴	10-16	-	-
Porosity, n [-]	0.25	0.05	-	-

239 2.4. Thermal and hydraulic boundary conditions

Adiabatic boundary conditions are imposed on the vertical surfaces crossing the tunnel axis, meaning that no heat flux occurs across these boundaries. Constant temperature boundary conditions are considered on the far-field boundaries (top and bottom model boundaries as well as on the lateral edges of the model). The temperature is thereby fixed to the initial temperature applied to the whole domain (i.e. $T_{\infty}=T_{ini}=14$ °C).

At the interface between the tunnel air and the concrete lining, the heat transfer is described by a convective boundary condition related to the airflow profile over the concrete surface [3,7,15,20]. The heat flux component, which is normal to the interface between the tunnel air and the lining, is written as:

249

$$q^{T} = h_{t} \left(T_{t} - T_{a} \right) \tag{5}$$

where h_t [W/m^{2/}K] is the convective heat transfer coefficient that is related to the airflow velocity and tunnel lining surface roughness [22], T_t [K] is the tunnel lining temperature near the interface, and T_a is the tunnel air temperature. The tunnel environment is complex and depends on many factors, difficult to be quantified, which includes the trains circulation, ventilation and, external climate conditions. For the sensitivity analysis performed in this study, h_t is considered to vary between 2.5 and 25 W/m²/K [21,29]. The boundaries becomes adiabatic when $h_t = 0$ W/m²/K. 257 According to Eq. (5), the tunnel temperature value T_a also plays a significant role in the 258 heat transfer performance. Fig. 3 shows the polynomial regression of the measured tunnel air 259 temperature recorded in the Turin Metro from June 2010 to May 2011 [26,28]. The 260 measurement data taken from this underground tunnel reveals a seasonal oscillation. In the 261 present study, this curve was subdivided into four phases (Fig. 3). The first 90-days phase 262 (June to August) was selected for the simulations of the heat injection period in summer, while a 90-days period (December to February) over the third phase was used for the 263 264 simulations of the heat extraction period during winter. This phase represents the highest heating demand period. The system is considered to be off in phase 2 (September to 265 266 November) and phase 4 (March to May) in which the consumption of energy is the lowest.



267

Fig. 3. Polynomial regression of the tunnel internal temperature monitored at the metro Torino Metro[28].

In terms of hydraulic boundary conditions, pore pressure was fixed on both sides of the model, according to an hydrostatic distribution. The bottom and vertical surfaces crossing the tunnel axis are considered to be impermeable boundaries. The thermal and hydraulic boundary conditions are summarized in Table 2, together with the thermal load which is imposed in the pipes as a boundary conditions, as detailed in the next section.

275 **Table 2**

276 Boundary conditions.

	Boundary	Туре	Value
	Lateral sides	Temperature fixed	$T_{ini} = 14$ [°C]
	Top and bottom surfaces	Temperature fixed	$T_{ini} = 14$ [°C]
	Vertical surfaces	Adiabatic	-
Thermal	A. B		$h_t = 0 - 25 [W/m^2/K]$
	Air-ining interface	Convective	$T_a = \text{see Fig. 7}$
	Circulating fluid	Convertive	$T_{in} = 4.4$ and 27.4 [°C]
		Convective	$h_{eq} = 139 [W/m^2/K]$
Hudroulia	Lateral sides	Pressure imposed	- [Pa]
Hydraulic	Vertical and bottom surfaces	Impermeable	- [Pa]

277 2.5. Thermal load on the absorber pipes

The thermal load on absorber pipes can be considered as a simplified convective boundary condition that is imposed on the pipe-lining interface.

280 The radial heat flux applied through the boundary domain surrounding the holes in the 281 direction of a unit vector n can be expressed as :

282
$$q^{T} = -\lambda_{l} \frac{\partial T}{\partial n} = \begin{cases} h_{eq} \left(T_{l} - T_{f}\right) & \text{during phase 1 and phase 3} \\ 0 & \text{during phase 2 and phase 4} \end{cases}$$
(6)

where λ_l is the tunnel lining thermal conductivity, T_l is the tunnel lining temperature around the holes, T_f is the temperature of the circulating fluid, and h_{eq} [W/m^{2/}K] is the equivalent convective heat transfer coefficient. For simplicity, the value of h_{eq} can be defined as Eq. (7) by combining the thermal conductivity of the pipe wall λ_p [W/m/K] and the convective heat transfer coefficient of circulating fluid h_f [W/m^{2/}K] [3].

288
$$h_{eq} = \left[\frac{D_{out}}{2\lambda_p} ln\left(\frac{D_{out}}{D_{in}}\right) + \frac{D_{out}}{D_{in}h_f}\right]$$
(7)

where D_{out} [m] is the outer diameter of the pipe wall and D_{in} is the inner one. The value of h_f

290 can be obtained from the Dittus-Boelter equation [30] for a turbulent flow:

291
$$h_f = 0.023 R e^{0.8} P r^n \frac{\lambda_f}{D_{in}}$$
(8)

where *Re* is the Reynolds number, *Pr* is the Prandtl number, λ_f [W/m/k] is the thermal conductivity of the circulating fluid, *n*=0.4 for heating and 0.3 for cooling of the fluid. This equation is valid for $Re \ge 1 \times 10^5$, $0.6 \le Pr \le 160$, $L/D \ge 10$, *L* is the length of the pipe, and *D* is the diameter of the pipe.

For $Re < 1 \times 10^5$, the Dittus-Boelter equation is no longer recommended because the deviations increase significantly [31]. Thus, the calculation of h_f can be derived from the Gnielinski correlation [32] for turbulent flow in smooth tubes as follows:

299
$$h_f = \frac{(f_D/8)(\text{Re}-1000)\text{Pr}}{1+12.7(f_D/8)^{1/2}(\text{Pr}^{2/3}-1)} \cdot \frac{\lambda_f}{D_{in}}$$
(9)

300 where f_D is the Darcy friction factor for smooth tubes that can be obtained from the first 301 Petukhov equation [33]:

302
$$f_D = (0.79 \ln(\text{Re}) - 1.64)^{-2}$$
 (10)

303 The Gnielinski correlation is valid for $3000 \le Re \le 5 \times 10^6$, $0.5 \le Pr \le 2000$, $L/D \ge 10$.

For simplicity, in this study, the circulating fluid temperature T_f is represented by an average temperature along the pipe length at the steady state [34–36]. T_f is considered to be equal to 4.4 °C for the heating mode and 27.5 °C for the cooling mode according to [37] when the groundwater flow rate is equal to 0 m/d.

308 3. Assessment of exchanged heat

309 3.1. Numerical approaches

313

310 Various numerical approaches were used in literature to investigate the thermal 311 efficiency of energy geostructures. When the pipes are directly modelled, the exchanged heat 312 can be computed as [3,23,26,28,37]:

$$\dot{Q} = \dot{m}c_f \left(T_{out} - T_{in}\right) \tag{11}$$

13

where \dot{Q} [W or J/s] is the heat power, \dot{m} [kg/s] and c_f [J/kg/K] are the mass flow rate and the specific heat of circulating fluid, and T_{out} and T_{in} are the outlet and inlet temperatures of the pipes respectively. The instantaneous heat power exchanged by the tunnel lining per unit surface area \dot{Q}_l [W/m²] can be computed as:

$$\dot{Q}_l = \frac{\dot{Q}}{A_l} \tag{12}$$

319 where A_l [m²] is the tunnel surface area in contact with the ground.

320 In other studies, the pipes network are not directly modeled and a thermal loading was applied instead [38,39]. In the present work, this second approach was chosen and 321 322 consequently Eq. (11) is not employed, because this model represents only a section of the 323 energy tunnel. Thus, defining an appropriate method for the calculating heat exchanged for 324 this model is needed. In this study, two approaches were developed for estimating the 325 instantaneous heat exchange of the energy tunnel lining per unit surface area (see approach 1 326 and 2 below). The average heat power over an operating period Q_{ave} [W/m²] can then be 327 calculated by dividing the total energy exchanged by the operating time t_o [day]:

328
$$Q_{\text{ave}} = \int_{0}^{t} \dot{Q}_{l}(t) dt / t_{o} = \int_{0}^{t} \dot{Q}(t) dt / (A_{l} \cdot t_{o})$$
(13)

Taking into account the heat power at the operation beginning where an unsteady state exists will overestimate the average thermal efficiency. On the other hand, considering the steady state value would underestimate it. The heat power for each operation mode was then averaged after a relative steady state which was defined during a period for which the heat power variation is lower than 2%.

Approach 1: In this approach, hollow cylinders wrapping the holes (absorber pipes) are generated with a radial mesh. Thanks to these closed rings, all the heat exchanged with the pipes flows through the zones in the layers close to the hole. The instantaneous total heat power exchanged between the pipes and system can be thereby obtained by summing the energy flow per unit time through each lining zone around the holes. Assuming a total of meligible zones wrapping the holes, the equation can be expressed as follows:

340
$$\dot{Q} = \sum_{i=1}^{m} \dot{Q}_i = \sum_{i=1}^{m} \left| \vec{q}_i^T \right| A_i$$
 (14)

For the *i*th zone, the heat power \dot{Q}_i can be obtained by the product of the heat flux vector module \vec{q}_i^T [W/m²] and the central area A_i [m²] (Fig. 4). The direction of \vec{q}_i^T is normal to the pipe-tunnel lining interface.

This approach requires less data and has a high computational efficiency. However, it imposes to adapt the mesh and cannot reflect properly the heat transfer mechanism variation in each component of the thermally activated system (lining, ground and air-lining interface), nor evaluate the contribution of the conductive and convective heat exchanged under different ground conditions.



349

350

355

Fig. 4. Heat transfer through the zone *i* around a pipe section.

Approach 2: This approach is an extension of the one developed by Rammal and co-workers [38] and Delerablee and co-workers [39] for energy walls. The Gauss's theorem, also called the divergence theorem, allows to link the heat power to its divergence using the following equation:

$$\oint_{\partial\Omega} \vec{q}^T d\vec{S} = \oint_{\Omega} div (\vec{q}^T) d\Omega$$
(15)

356 where Ω is the body volume that is subjected to \bar{q}^T , and *S* is the body surface. The 357 calculation of the divergence allows the inlet and outlet fluxes from a ground volume to be 358 calculated. Thus, for the convective-diffusive heat transfer condition, Eq. (3) in its differential form can be expressed as:

361
$$\rho c_{p} \frac{\partial T}{\partial t} + div \left(\vec{q}_{cond}^{T} \right) + div \left(\vec{q}_{conv}^{T} \right) - q_{v}^{T} = 0$$
(16)

where \vec{q}_{cond}^{T} [W/m²] is the conductive heat flux, while \vec{q}_{conv}^{T} [W/m²] is the convective heat flux vector. The internal volumetric heat intensity $q_{v,j}^{T}$ of a ground zone is equal to zero as there is no heat source in it, but for each zone in contact with the tunnel air, as it acts as a heat resource or a heat sink in this system, its value can be defined as:

$$q_{\nu,j}^{T} = \frac{\left|\vec{q}_{j}^{T}\right|A_{j}}{V_{j}}$$
(17)

367 where V_j [m³] is the volume of the j^{th} zone, and $q_{v,j}^T$ is positive when the heat is transferred 368 from the tunnel environment to the tunnel lining and negative when heat flow is in the 369 opposite direction. The divergence of the convective heat flux can be computed as:

370
$$div\left(\vec{q}_{conv}^{T}\right) = \rho_{w}c_{w}\left(\vec{q}_{w}\cdot\vec{\nabla}T + div(\vec{q}_{w})\cdot T\right)$$
(18)

371 As the water is considered incompressible, the divergence of the Darcy velocity is equal 372 to zero, and then the equation becomes:

- 373 $div(q_{conv}^{T}) = \rho_{w}c_{w}\vec{q}_{w}\cdot\vec{\nabla}T$ (19)
- 374 According to the Fourier's law:

375

 $\vec{q}_{cond}^{T} = -\lambda_{eff} \vec{\nabla} T \tag{20}$

where λ_{eff} [W/m/K] is the effective thermal conductivity, which is isotropic in the convection formulation. λ_{eff} is defined in terms of the solid and fluid thermal conductivities, λ_s [W/m/K] and λ_w [W/m/K], by the equation:

- $\lambda_{eff} = \lambda_s + nS_r \lambda_w \tag{21}$
- 380 Thus, Eq. (19) can be written:

381
$$div(\vec{q}_{conv}^{T}) = -\frac{\rho_{w}c_{w}\vec{q}_{w}\cdot\vec{q}_{cond}^{T}}{\lambda_{eff}}$$
(22)

16

382 Substituting this relation into Eq. (16), it becomes:

$$div\left(\vec{q}_{cond}^{T}\right) = \frac{\rho_{w}c_{w}\vec{q}_{w}\cdot\vec{q}_{cond}^{T}}{\lambda^{T}} - \rho c_{p}\frac{\partial T}{\partial t} + q_{v}^{T}$$
(23)

383

384 The instantaneous heat power exchanged can be calculated by the following equation:

385
$$\dot{Q} = \sum_{\Omega} \left[div(\vec{q}_{cond}^{T}) + div(\vec{q}_{conv}^{T}) \right] d\Omega = \sum_{\Omega} \left(-\rho c_{p} \frac{\partial T}{\partial t} + q_{v}^{T} \right) d\Omega$$
(24)

The procedure of this approach was implemented in FLAC3D by the flow chart presented in Fig. 5.



388 389

Fig. 5. Flow chart showing the program flow of approach 2.

When compared with approach 1, approach 2 has a slower calculation speed because it needs to consider the temperature gradient and thermal properties of each zone in the whole domain. Only the heat exchanged by the zones around the absorber pipes is considered in approach 1. Thus, the two approaches in this study are respectively called 'local' and 'global'. In particular, the 'global' approach offers the possibility to calculate the amount of heat exchanged by each system component and to distinguish separately the heat transfer by conduction and convection.

397 *3.2.* Validation of the numerical model and approaches

398 For the validation of the numerical approaches, the model parameters and geometry are 399 those reported by Barla et al. [28], Ogunleye et al. [26] as well as Di Donna et al. [37]. As 400 they are all considering the same case study, the initial conditions employed in the literature 401 are identical to those detailed in section 2.3. Considering the effect of dynamic train loads at 402 the bottom, only 3/4th of the tunnel lining is considered to be thermally activated for the 403 comparison with [26]. In this case, the average temperature of the circulating fluid is assumed 404 to be 5.8 °C. Phase 3 in Fig. 3 was selected as the tunnel air temperature T_a while the heat transfer coefficient h_t was taken equal to 15 W/m²/K for a 90-day continuous operation for 405 406 heating mode. The soil was considered as fully saturated without groundwater flow rate. The 407 same boundary conditions and properties were adopted for a 30-day cooling operation as in 408 [37]. For the following sections, the positive value represents extracted heat power, and the 409 injected heat power is negative. Thus, the magnitude of heat power depends on the absolute 410 value rather than the sign.



413 Fig. 6. Comparison of heat power per unit of tunnel lining surface: (a) Heating mode, and (b) Cooling
414 mode.

A good agreement can be observed in Fig. 6a against the numerical results presented by
 Ogunleye et al. [26] in which the model was validated by referring to the experimental data 18

417 monitored by Zhang et al. [40]. A higer difference can be observed from 70 to 90 days, and a 418 maximum difference of 5.4% occurs at the operation end. A perfect match between the local 419 and global approaches is shown in Fig. 6a and Fig. 6b (considering a groundwater flow rate 420 of 1.5 m/d). The average heat power obtained from [26] is 31.87 W/m², while the average heat power computed by the local and the global approaches are respectively equal to 32.19 421 W/m^2 and 32.64 W/m^2 , respectively, which means a difference of 1.0% and 2.4% with 422 423 respect to the literature data. For the cooling mode (Fig. 6b), different numerical approaches 424 lead to a difference of 0.2% in average injected heat power over 30 days. As the operating 425 time increases (tending towards stability), the heat power difference after a 30-day operation 426 between the literature data and result computed by the local approach is lower than 2.3 W/m². 427 In order to reduce the computing time while maintaining an acceptable accuracy level, 428 the intensity of the mesh near the concrete lining and holes (Fig. 2) was doubled and 429 quadrupled in order to find the optimum mesh size. The average heat power obtained by the 430 global approach from cases in Fig. 6a and 6b for the initial model are 32.64 W/m² and -28.67 W/m^2 , respectively, while 32.73 W/m^2 and -28.52 W/m^2 were found for the double meshed 431 model and, 32.8 W/m² and -28.43 W/m² for the guadruple meshed model. No significant 432 433 changes are found for the heating mode (maximum error of 0.5%) and cooling mode 434 (maximum error of 0.8%) in the average heat power beyond the initial mesh size. Therefore, 435 the initial mesh size of proposed model was selected for the following simulations to save computational resources and time. It can be deduced that the energy efficiency can be 436 437 appropriately calculated by using the proposed model and the two approaches over a period 438 of continuous heat exchange for the heating and cooling modes.

439

4. Results of numerical analyses on energy performance

440 To investigate the thermo-hydraulic behaviour and the related energy performance of energy segmental linings, it is of interest to assess the effects of other possibly varying 441 conditions on the thermal efficiency. Two aspects are investigated hereafter: (i) the effect, of 442 varying the air temperature T_a and the heat transfer coefficient h_t on the heat exchange with 443

the tunnel environment; (ii) the contribution of each system's component to the exchanged heat power. Particular attention is paid to the role of concrete thermal properties on the contribution of the tunnel lining to the heat exchange. A full ring is thermally activated based on continuous heating and cooling operations over 90 days for the sake of comparison.

448 *4.1. Tunnel environment influence on total heat power*

449 According to Eq.(5), the heat transfer coefficient related to the tunnel airflow velocity 450 and tunnel lining wall roughness, as well as the tunnel air temperature may highly affect the 451 amount of heat flux between the concrete lining and the tunnel environment. To investigate 452 the influence of tunnel environment on thermal efficiency, different heat transfer coefficients 453 and tunnel air temperatures were adopted to characterise various environmental conditions. 454 The parametric study was performed assuming a saturated soil without groundwater flow rate by varying the heat transfer coefficient h_t from 0 W/m²/K to 25 W/m²/K and increasing the 455 456 tunnel air temperature T_a from T_0 -3 °C to T_0 +3 °C by increments of 1 °C, where T_0 is the 457 initial monitored temperature in Fig. 3. The range of T_a during the study period in both modes 458 is shown in Fig. 7. The other parameters are kept constant as discussed in section 2.



459 460

Fig. 7. The tunnel air temperatures imposed on the air-lining interface

461 The variations of the instantaneous heat power computed by the local approach and for 462 two operation modes are plotted for all the considered heat transfer coefficients in Fig. 8, 20

together with the air temperature evolution. It can be seen that the instantaneous heat power 463 464 has the same varying tendency with the increase or decrease of the tunnel air temperature. There is an exception for the cases where $h_t = 0$ W/m²/K. This behaviour shows that the 465 466 tunnel air temperature is a sensitive factor for the instantaneous heat power when convection heat transfer coefficient values vary from 5 to 25W/m²/K. Its sensitivity increases with 467 468 increasing the heat transfer coefficient. This implies that the tunnel air temperature is an important factor to take into account in the design when the heat transfer coefficient is greater 469 470 than 0.



473 **Fig. 8.** Variation of the instantaneous heat power per unit of tunnel lining surface $(T_a=T_0)$ and the 474 tunnel air temperature over 90 days for: (a) heating mode, and (b) cooling mode.

The average heat power increases by increasing the convective heat transfer coefficient h_t for all cases for the heating mode (Fig. 9a). However, its rise rate decreases for a successive increase of the heat transfer coefficient. For example, in the case where $T_a = T_0$ in heating mode, the average heat power increases by 10.6 W/m², over an h_t range from $5W/m^2/K$ and 10 W/m²/K, and only a 2.4 W/m²/K of difference is observed between the average heat power at $h_t = 20$ W/m²/K and 25 W/m²/K.

481 The same trend occurs when assessing the efficiency in the case where T_a is taken lower 482 than T_0 for the cooling mode (Fig. 9b). However, the average injected heat power decreases 483 as the heat transfer coefficient increases where T_a is equal to or greater than T_0 . This is 21 484 because the heat power improvement is also influenced by the temperature difference 485 between the tunnel air and the circulating fluid $(T_a - T_f)$. For the heating mode (winter), since all instantaneous tunnel air temperatures are always greater than the a verage circulating fluid 486 487 temperature (4.4 °C) during operation, the positive temperature difference allows the tunnel 488 environment to inject heat into the energy geostructure as a heat source. A higher heat transfer 489 coefficient then induces higher heat injection efficiency, and consequently, higher heat 490 extraction of circulating fluid can be achieved. For the cooling mode (summer), since the 491 average value of T_0 is closed to the temperature of circulating fluid (27.6 °C), the 492 instantaneous tunnel air temperature is generally lower than the circulating fluid temperature 493 when T_a is lower than T_0 . The negative temperature difference causes the tunnel environment 494 to extract heat from the energy tunnel lining (which is the goal of this fonctionning mode). In 495 such conditions, the injected heat power of the circulating fluid increases with increasing the 496 heat transfer coefficient. For $T_a \ge T_0$, the tunnel environment tends to inject heat to the energy 497 tunnel lining, and therefore the heat injection of the circulating fluid decreases with increasing the heat transfer coefficient. In this sense, the efficiency of the system could be 498 499 compromised. Generally, a larger positive temperature difference for the heating mode or a 500 larger negative temperature difference for the cooling mode leads to a greater rise rate for 501 heat power extraction or injection with increasing the heat transfer coefficient.



504 **Fig. 9.** Heat transfer coefficient effect on the average heat power due to differing tunnel air 505 temperatures in: (a) heating mode, and (b) cooling mode, after 90-day activation.

506 Fig. 10a and Fig. 10b show a linear relationship between the average heat power and T_a . The average heat power during the study period differs for different T_a , but remains constant 507 at 10.22 W/m² for the heating mode and -14.27 W/m² for the cooling mode when $h_t = 0$ 508 509 $W/m^2/K$. In these cases, the ground becomes the only energy resource to exchange heat with 510 the circulating fluid as the air-lining boundary is considered as adiabatic. As a result, the 511 value of average heat power reflects the ground heat exchange capacity. The heating mode 512 results show that the heat exchanged by convection between the tunnel environment and the 513 energy tunnel lining accounts for a large percentage of the total exchangeable heat. It is even 514 greater than the ground extracted heat in all cases for the heating mode. Compared to the thermal insulation condition ($h_t=0$ W/m²/K), the thermal efficiency variation induced by the 515 516 tunnel environment for the considered configurations in winter ranges between 147% to 574% 517 and -112% to 95% in summer.



520 Fig. 10. Tunnel air temperatures effect on the average heat power due to heat transfer coefficients in:521 (a) heating mode, and (b) cooling mode, after 90-day activation.

522 Design charts based on the results discussed above for heating mode (winter) and 523 cooling (summer) were developed and can be seen in Fig. 11a and Fig. 11b respectively. 23 524 When varying the heat transfer coefficients and tunnel air temperatures, the heat exchange efficiency ranges in W/m^2 are indicated with different colours. Independently of the operation 525 mode, the highest heat exchange rate is obtained for the maximum heat transfer coefficient, 526 while the maximum positive temperature difference $(T_a - T_f)$ leads to the maximum heat 527 extraction rate in summer. The maximum positive temperature difference leads to the highest 528 529 heat injection rate. As the heat transfer coefficient decreases, the tunnel air temperature effect becomes lower, since the contour lines slopes increase gradually. The average heat extraction 530 rate involving the tunnel environment effect is usually in the range 10 - 65 W/m², and the heat 531 injection rate varies between 0 and -26W/m². The heating mode chart is in good agreement 532 533 with the recently one proposed by Dornberger et al. [42], but the cooling mode chart shows a 534 different trend. This is due to the positive temperature difference between the tunnel air and 535 the circulating fluid, which is different from literature one.

Based on the assumed conditions and geometry, the charts may provide optimistic results as do not take into account ajacent energy segmental linings. Thus, a more detailed study should be carried out at the design analysis stage. It is clear that these charts are typically applicable for cases with similar temperature difference among tunnel air, circulating fluid and ground. The ground water flow rate is not considered.



543 Fig. 11. Design charts showing the average heat power in W/m² under different tunnel environment

544 conditions and for: (a) heating mode, and (b) cooling mode, after 90-day activation.

545 4.2. Tunnel environment influence on the heat power of system's components

546 The heat exchanged power in each zone can be expressed by its divergence intensity 547 induced by conduction and convection. Generally, the divergence of a zone as a heat source is 548 represented by a positive value, while a negative value for a zone represents a heat sink. In 549 this case, the geothermal system is comprised of three major components: the tunnel 550 environment, concrete lining and surrounding ground. The mechanism of heat exchange and 551 divergence in each zone can be obtained by the global method, which allows the calculation 552 of the instantaneous and average heat power in each component of the geothermal system 553 during the study period. It is important to note that no groundwater flow rate is considered in 554 this case study, therefore, the convective term divergence for the concrete lining and the 555 ground is null.

556 The conductive divergence distribution maps for two operation modes and two values of 557 the convective heat transfer coefficient after 90 days are plotted in Fig. 12 a,b,d and e ($T_a=T_0$). 558 It can be seen that the divergence is symmetrically distributed between the left and the right. 559 There is a slight difference between the top half and the bottom half section, because the 560 presence of water table (at 12m depth) makes the effective heat transfer coefficient and the 561 effective specific heat above the water surface lower than the ones below the water surface. 562 Considering the tunnel environment influence, even though the heat transfer coefficient is small (e.g. $h_t = 5 \text{ W/m^2/K}$), the divergence variations of the lining and ground can be large, 563 564 thereby significantly affecting the heat power for each component. Fig. 12c and Fig. 12f 565 show that the tunnel environment and operating mode play a lower role in the divergence 566 disturbance range. For the heating mode, the conductive divergence in the lining and ground varies between -0.5 W/m³ and 0.65 W/m³ (right vertical axis) with exception of the inner 567 568 tunnel lining wall (left vertical axis). As a heat source, the divergence intensity in the inner 569 lining wall is significantly higher than that in the other lining parts and the surrounding 570 ground. An exception appears when the air-lining boundary is considered as adiabatic (inner

571 lining divergence is equal to zero), and the divergence in the area around the absorber pipes 572 shows negative peak values, as they act as a heat sink. When the circulating fluid is cooled, 573 the opposite trend is expected to occur as shown in Fig. 12f. For both operation modes, the 574 heat transfer coefficient variation results in the divergence change within the lining and 575 ground. The position of the maximum divergence intensity in the ground occurs within 3.5 to 576 4 meters from the air-lining interface, and moves slightly away from the tunnel hole when the 577 heat transfer coefficient increases.



Fig. 12. Conductive divergence variations around the tunnel: (a) heating mode for $h_t = 0$ W/m²/K, (b) heating mode for $h_t = 5$ W/m²/K, (c) variations along horizontal direction for heating mode, (d)

26

584 cooling mode for $h_t = 0$ W/m²/K, (e) cooling mode for $h_t = 5$ W/m²/K, (f) variations along horizontal 585 direction for cooling mode.

586 After obtaining the divergence of each zone, one can thus derive the average heat power 587 per tunnel lining surface unit provided by each system's component (Fig. 13). The term 588 "tunnel environment" refers to the average heat power obtained from the inner tunnel lining 589 wall, while the other lining parts are represented by the term "tunnel lining". The heat 590 exchanged with the tunnel lining is almost negligible compared with the heat transferred by 591 thermal conduction through the other two components. For the heating mode, the nonzero 592 heat transfer coefficient induces that the tunnel lining extract heat from the ambient 593 environment, resulting in its temperature rise and thus the negative average heat 594 power/divergence (Fig. 13a).

595 It can be seen from Fig. 12c and Fig. 13a that although the heat transfer coefficient 596 increase leads to a lower divergence value for the heating mode, which results in a reduction 597 in the instantaneous heat power gained from the ground, greater total heat power can be 598 obtained due to the significant increase in divergence density in the inner lining wall [12]. 599 The tunnel environment is the primary source of heat extraction in winter, whereas the 600 ground constitutes the main part for the heat injection in summer (Fig. 13b). The reason for 601 this phenomenon is attributed to the temperature difference as the key factor discussed 602 previously. Additionally, the positive average temperature difference in cooling mode during 603 the study period does not favor heat injection to the tunnel environment, thus reducing the 604 total system efficiency.





607 Fig. 13. Average heat power in each system's component against the heat transfer coefficient.

608 Since the lining is the medium between the tunnel environment and the absorber pipes, 609 the contribution of the tunnel environm ent is expected to be highly influenced by the 610 concrete lining thermal properties as well. In order to understand the role of tunnel lining thermal properties in the energy performance, the effect of thermal conductivity of the 611 612 reinforced concrete was studied through a parametric analysis, by varying it in a reasonable 613 range according to [43]. Only the different heating mode configurations were investigated 614 because the tunnel environment influence on the heat power variation is more pronounced 615 compared to the cooling mode influence. As shown in Fig. 14, the heat power variation in each component shows the same trend as Fig. 13, i.e. the non-linear increase with the heat 616 617 transfer coefficient and the linear increase with the temperature difference between the tunnel 618 air and the circulating fluid. However, the increase or decrease rate of average heat power in 619 each component is affected by the thermal conductivity variation. Increasing the tunnel lining 620 thermal conductivity can facilitate the tunnel environment effect on the energy performance. 621 Increasing the thermal conductivity for the heating mode can cause an increase of the total 622 average heat power by around 40% and 21% when considering respectively the maximum 623 heat transfer coefficient ($T_a=T_0$) and the maximum tunnel air temperature ($h_t=5$ W/m²/K). 624 These results show that a special attention needs to be given to the tunnel lining thermal 625 properties when assessing the tunnel environment impact.



Fig. 14. Average heat power in each system's component at indicated thermal conductivity of liningagainst: (a) heat transfer coefficient and (b) tunnel air temperature.

630 **5. Conclusion**

626 627

This work presents a numerical analysis of the thermal performance of energy tunnel linings based on the geometry and geological conditions of the Torino Metro Line 1 section. It allows to better understand how the heat transfer behaviour of an energy tunnel is af fected by the tunnel environment. Two numerical approaches were introduced and validated to calculate the heat exchange efficiency of the model. The main conclusions are as follows:

• The tunnel environment has a crucial role in the thermal performance of an energy tunnel. The average heat power variation depends on the temperature difference between the tunnel air and the circulating fluid. The larger the heat transfer coefficient, the greater magnitude of the heat exchange,

• The heat exchange efficiency shows a non-linear relationship with the heat transfer coefficient and a linear relationship with the temperature difference between the tunnel air and the circulating fluid. The presented design charts for different tunnel environments can be used for the first assessment of a site where similar temperature differences and underground conditions can be found,

645

• The change of tunnel environment affects not only the heat exchange between tunnel

air and geothermal system, but also the amount of energy exchanged with the ground,
however, it has little impact on the volume affected by the heat exchange in the ground. The
ground area with the maximum heat exchange rate is usually located between 3.5 to 4 m from
the air-lining boundary after a 90-day operation,

In winter, the heat exchange is primarily done with the tunnel environment. In summer,
most of the heat is injected into the ground,

• For the heating mode, maximum improvement of 40% and 21% can be achieved by varying the thermal conductivity of tunnel lining for various heat transfer coefficients and tunnel air temperatures. Therefore, to guarantee a reasonable estimation of the tunnel environment effect on energy performance, special attention should also be paid to the concrete lining thermal properties.

It is important to note that some results in this study cannot be considered as general to evaluate the energy exploitation potential of an energy tunnel. A more detailed study should be carried out at the design stage, which should include detailed aspects of the specific site installation and working conditions.

661 Data availability statements

662 Some or all data, models, or code that support the findings of this study are available 663 from the corresponding author upon reasonable request.

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