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Abstract: This paper aims to analyze the nonlinear dynamic characteristics of hydro-turbine governing system with downstream surge tank and sloping ceiling tailrace tunnel and reveal their combined effect mechanism on stability. First, the nonlinear mathematical model of hydro-turbine governing system is presented. Second, the Hopf bifurcation theory is adopted, and the stability performances of hydro-turbine governing system under different sectional areas of downstream surge tank are analyzed and verified. Finally, the combined effect of downstream surge tank and sloping ceiling tailrace tunnel on stability is investigated and the design methods are proposed. The results indicate that: The dynamic response process of hydro-turbine governing systems and constitute the boundaries of the stable domain. The sloping ceiling tailrace tunnel cannot make an obvious change of the stability performances of the subsystem of penstock - hydro-turbine unit, but it has significant effect on the stability performances of the subsystem of downstream surge tank - sloping ceiling tailrace tunnel. The larger aspect ratio or smaller ceiling slope gradient results in better stability of the subsystem of downstream surge tank - sloping ceiling tailrace tunnel.

Keywords: downstream surge tank; sloping ceiling tailrace tunnel; hydro-turbine governing system; nonlinear dynamics; stability; combined effect.

## 21 **1. Introduction**

22 The combined layout of downstream surge tank and sloping ceiling tailrace tunnel is usually applied to the 23 diversion-type and header-development underground hydropower stations. This type of hydropower station has 24 the following features: (a) long tailrace tunnel, (b) large discharge of hydro-turbine unit, (c) low working head and 25 (d) large amplitude of downstream water level change. Because of the features (a), (b) and (c), the downstream 26 surge tank must be set to satisfy the requirements of the regulation assurance calculations and stable operations of 27 hydropower station [1,2]. Moreover, according to the design specifications of surge tank [3], the sectional area of 28 downstream surge tank of this kind hydropower station is generally extremely large. In the design processes, the 29 downstream surge tank is usually located near the powerhouse in order to reduce the flow inertia between hydro-30 turbine unit and downstream surge tank [4]. The extremely large downstream surge tank, underground 31 powerhouse and main transformer cave are parallel located in a narrow area. Meanwhile, there are some other 32 tunnels in the neighborhood of downstream surge tank. As a result, the surrounding rock stability, hydraulic 33 arrangement and excavation of underground cavern group would exist severe difficulties.

34 In order to overcome the difficulties of the arrangements and constructions of underground cavern group 35 caused by the extremely large downstream surge tank, reducing the sectional area of downstream surge tank by 36 adopting new types of tailrace tunnel is a possible method. Nowadays, the application of sloping ceiling tailrace 37 tunnel into the design of the tailrace tunnel of this kind hydropower station is being explored. The working 38 principle of sloping ceiling tailrace tunnel is as follows [5,6]: the length of the pressurized flow section in tailrace 39 tunnel is shortened through the change of downstream water level. The larger the amplitude of downstream water 40 level change, the more obvious of the favorable effect on shortening the length of the pressurized flow section. 41 However, the combined layout of downstream surge tank and sloping ceiling tailrace tunnel is a completely new 42 layout pattern of pipelines of hydropower station. The knowledge of the working characteristics and design 43 methods of the hydropower station with downstream surge tank and sloping ceiling tailrace tunnel is extremely 44 limited. What are the dynamic characteristics of the hydro-turbine governing system of this kind hydropower 45 station? How do the downstream surge tank and sloping ceiling tailrace tunnel interact with each other? What are 46 the effects of the interaction between downstream surge tank and sloping ceiling tailrace tunnel on the stability of 47 the hydro-turbine governing system? How to design the downstream surge tank and sloping ceiling tailrace tunnel 48 to improve the system stability? All the above questions are the most concerned and urgent issues in the practical 49 applications. Aiming at solving the above questions, this paper attempts to establish the mathematical model of 50 hydro-turbine governing system with downstream surge tank and sloping ceiling tailrace tunnel. Then, the suitable 51 mathematical analysis theory is chosen to investigate the dynamic characteristics during the transient processes. 52 Finally, based on the research results, the theoretical basis and technical guidance on the design and operation of

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