



TABLE OF CONTENT

| | |
|---|-----------|
| APPROVAL PAGE..... | 1 |
| STATEMENT OF ANTI PLAGIARISM..... | 2 |
| PREFACE..... | 3 |
| TABLE OF CONTENT..... | 5 |
| LIST OF FIGURES..... | 10 |
| LIST OF TABLES..... | 11 |
| LIST OF EQUATION..... | 13 |
| ABSTRACT..... | 14 |
| INTISARI..... | 15 |
| CHAPTER 1..... | 1 |
| I.1 Background..... | 1 |
| I.2 Research Problem..... | 3 |
| I.3 Research Objectives..... | 3 |
| I.4 Problem Limitation..... | 3 |
| I.5 Benefits of the study..... | 4 |
| I.6 Methodology for the study..... | 4 |
| I.7 Thesis Structure..... | 5 |
| CHAPTER 2..... | 7 |
| CHAPTER 3..... | 18 |
| 3.1 Battery Management System..... | 18 |
| 3.2 Anomalies in Battery Management System..... | 20 |
| 3.3 Coulomb Counting..... | 21 |
| 3.4 Open Circuit Voltage (OCV) Curve..... | 21 |
| 3.5 Machine learning..... | 22 |
| 3.6 Data Clustering Using Unsupervised Learning Approaches..... | 24 |
| 3.7 DBSCAN Clustering..... | 25 |
| 3.8 Evaluation Metrics..... | 27 |
| CHAPTER 4..... | 29 |
| 4.1 System Analysis..... | 29 |
| 4.2 System Design..... | 30 |
| 4.3 Data Collection..... | 31 |
| 4.4 Data Preprocessing..... | 34 |
| 4.5 Anomaly Detection in Battery..... | 35 |
| 4.6 DBSCAN Clustering for Battery Anomaly Detection..... | 35 |
| 4.7 DBSCAN Parameter Optimization..... | 38 |
| 4.8 Battery State of Health Prediction using DBSCAN..... | 40 |
| 4.9 Model Evaluation..... | 41 |
| CHAPTER 5..... | 43 |



| | |
|--|-----------|
| 5.1 Tools and Materials..... | 43 |
| 5.2 Data Preparation..... | 43 |
| 5.3 SOC Acquisition Using Coulomb Counting..... | 44 |
| 5.4 Voltage-Based SOC Prediction..... | 45 |
| 5.5 Error Evaluation..... | 45 |
| 5.6 Cycle Classification..... | 46 |
| 5.7 Data Preprocessing..... | 47 |
| 5.8 Anomaly Detection using DBSCAN..... | 49 |
| 5.9 Battery Anomaly Diagnosis..... | 52 |
| 5.10 Battery State of Health (SOH) Estimation..... | 53 |
| 5.11 Model Evaluation..... | 55 |
| CHAPTER 6..... | 57 |
| 6.1 Data Preparation..... | 57 |
| 6.1.1 Capacity Calculation and Time Conversion..... | 57 |
| 6.2 State of Charge (SOC) Calculation..... | 58 |
| 6.2.1 State of Charge (SOC) Acquisition Calculation using Coulomb Counting..... | 58 |
| 6.2.2 State of Charge (SOC) Prediction Interpolation based on Open Circuit Voltage (OCV) vs SOC Curve Data..... | 59 |
| 6.2.3 State of Charge (SOC) Acquisition and Prediction Comparison and Error Calculation..... | 60 |
| 6.3 Dataset Separation based on Cycle..... | 61 |
| 6.3.1 Full Cycling Dataset..... | 62 |
| 6.3.2 Charging vs Discharging Dataset Separation..... | 64 |
| 6.4 Data Transformation and Normalization..... | 66 |
| 6.5 Anomaly Detection using DBSCAN Clustering..... | 67 |
| 6.5.1 Charging subset..... | 67 |
| 6.5.2 Discharging subset..... | 70 |
| 6.5.3 Overall Discussion..... | 74 |
| 6.6 Battery Anomaly Detection..... | 75 |
| 6.7 Battery State of Health (SOH) Estimation..... | 76 |
| 6.8 Model Evaluation..... | 77 |
| CHAPTER 7..... | 79 |
| 7.1 Conclusion..... | 79 |
| 7.2 Recommendation..... | 80 |
| REFERENCES..... | 81 |



LIST OF FIGURES

| | |
|---|----|
| Figure 1.1 Research Flow Diagram..... | 5 |
| Figure 2.1 Battery SOH estimation of the fresh and aged battery (Braun, 2022).. | 14 |
| Figure 2.2 SOC analysis of a fresh li-ion cell (Braun, 2022)..... | 14 |
| Figure 2.3 SOC analysis of a fresh li-ion cell (Braun, 2022)..... | 15 |
| Figure 2.4 SOC analysis of an aged li-ion cell (Braun, 2022)..... | 15 |
| Figure 3.1 Battery Management System Components and Functionality (Gabbar, 2021)..... | 20 |
| Figure 3.2 Machine learning techniques (Mahesh, 2018)..... | 23 |
| Figure 3.3 DBSCAN Clustering Visualization..... | 26 |
| Figure 3.4 DBSCAN Clustering Algorithm Flowchart..... | 26 |
| Figure 4.1 DBSCAN Pseudocode..... | 36 |
| Figure 4.2 DBSCAN Pseudocode..... | 37 |
| Figure 4.3 DBSCAN Clustering for Anomaly Detection and Diagnosis Flowchart. | 38 |
| Figure 4.4 K-NN Pseudocode..... | 39 |
| Figure 4.5 Battery State of Health (SOH) Estimation using DBSCAN..... | 41 |
| Figure 4.6 IsolationForest for Model Evaluation Flowchart..... | 42 |
| Figure 5.1 Data Preprocessing..... | 44 |
| Figure 5.2 SOC Acquisition using Coulomb Counting..... | 44 |
| Figure 5.3 SOC Acquisition using Coulomb Counting..... | 45 |
| Figure 5.4 SOC Prediction using OCV and SOC Curve..... | 45 |
| Figure 5.5 Error Evaluation..... | 46 |
| Figure 5.6 Cycle Classification..... | 46 |
| Figure 5.7 Charging and Discharging Separation..... | 47 |
| Figure 5.8 Data Validation..... | 48 |
| Figure 5.9 Determining the eps value for DBSCAN using K-NN..... | 49 |
| Figure 5.10 DBSCAN Application..... | 50 |
| Figure 5.11 Data Labelling Based on Its Cluster..... | 50 |
| Figure 5.12 Data Labelling Based on Its Cluster..... | 51 |
| Figure 5.13 DBSCAN Cluster Plot..... | 51 |
| Figure 5.14 DBSCAN Cluster Plot..... | 52 |
| Figure 5.15 Anomaly Diagnosis..... | 52 |
| Figure 5.16 Battery SOH Estimation using DBSCAN..... | 54 |
| Figure 5.17 Anomaly Detection Evaluation..... | 55 |
| Figure 5.18 Isolation Forest for SOH Estimation Evaluation Metrics..... | 56 |
| Figure 6.1 Data Preprocessing Details..... | 57 |



| | |
|--|----|
| Figure 6.2 Full Dataset Histogram..... | 62 |
| Figure 6.3 Full Cycling Dataset Histogram..... | 63 |
| Figure 6.4 Full Cycling Dataset Actual and Predicted SOH Comparison..... | 63 |
| Figure 6.5 Charging Dataset Histogram..... | 64 |
| Figure 6.6 Charging Dataset Actual and Prediction SOC Comparison..... | 64 |
| Figure 6.7 Discharging Dataset Histogram..... | 65 |
| Figure 6.8 Discharging Dataset Actual and Prediction SOC Comparison..... | 65 |
| Figure 6.9 Charging Subset K-NN Distance Plot for DBSCAN eps Determination. 67 | |
| Figure 6.10 Charging Subset DBSCAN..... | 68 |
| Figure 6.11 Charging Subset Clusters..... | 68 |
| Figure 6.12 Charging Subset Anomalous Data..... | 68 |
| Figure 6.13 Charging Subset Estimated Clusters and Anomalies..... | 68 |
| Figure 6.14 Charging Subset Normal and Anomalous Data Counterplot..... | 69 |
| Figure 6.15 Charging Subset DBSCAN Cluster..... | 70 |
| Figure 6.16 Discharging Subset K-NN Distance Plot for DBSCAN eps Determination..... | 71 |
| Figure 6.17 Discharging Subset DBSCAN..... | 71 |
| Figure 6.18 Discharging Subset Clusters..... | 71 |
| Figure 6.19 Discharging Subset Anomalous Data..... | 71 |
| Figure 6.20 Discharging Subset Anomalous Data..... | 72 |
| Figure 6.21 Discharging Subset Estimated Clusters and Anomalies..... | 72 |
| Figure 6.22 Discharging Subset Normal and Anomalous Counterplot..... | 73 |
| Figure 6.23 Discharging Subset DBSCAN Cluster..... | 73 |
| Figure 6.24 Battery SOH Estimation using DBSCAN..... | 76 |
| Figure 6.25 Anomaly Detection Accuracy Result using IsolationForest..... | 77 |
| Figure 6.26 IsolationForest Result for SOH Estimation..... | 77 |



LIST OF TABLES

| | |
|--|----|
| Table 2.1 Preliminary Literature Review Conclusion..... | 16 |
| Table 2.1 (cont.)..... | 17 |
| Table 4.1 Aged battery cell experimental data (Braun, 2022)..... | 31 |
| Table 4.1 (cont.)..... | 32 |
| Table 4.2 OCV vs SOC Curve Dataset (Braun, 2022)..... | 33 |
| Table 5.1 Research Equipment..... | 43 |
| Table 6.1 Capacity Calculation and Time Conversion..... | 58 |
| Table 6.2 SOC Acquisition using Coulomb Counting..... | 58 |
| Table 6.2 (cont.)..... | 59 |
| Table 6.3 SOC Prediction using OCV Curve Interpolation..... | 59 |
| Table 6.3 (cont.)..... | 60 |
| Table 6.4 SOC Error Calculation..... | 60 |
| Table 6.4 (cont.)..... | 61 |
| Table 6.5 Types of Anomaly Found..... | 75 |



LIST OF EQUATION

$$\text{SOC}(t) = \text{SOC}(t_0) + \frac{1}{C} \int_{t_0}^t I(t) dt \quad (1) \dots\dots\dots 21$$