HYBRID MACHINE LEARNING APPROACHES FOR SOC AND RUL ESTIMATION IN BATTERY MANAGEMENT SYSTEMS

by

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A dissertation submitted in partial fulfillment of the
requirements for the degree of

DOCTOR OF PHILOSOPHY IN
ELECTRICAL AND COMPUTER ENGINEERING

2024

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This dissertation is dedicated to my mother, siblings, wife, and child for their support.

ACKNOWLEDGMENTS

In the name of Allah, the Most Gracious, the Most Merciful, I begin by expressing my utmost gratitude and thanks to Allah for His endless guidance, patience, and blessings that have enabled me to complete this work. Without His grace, none of this would have been possible.

I am profoundly grateful to my advisor, Professor Mohamed Zohdy, for his invaluable guidance, insightful feedback, and unwavering support throughout my research journey. His mentorship has not only helped me grow academically but has also shaped me professionally. I am deeply appreciative of the time, wisdom, and encouragement he has generously shared.

I would also like to extend my sincere thanks to my committee members, Dr. Steven Louis, Dr. Amanpreet Kaur, and Dr. Erica Ruegg, for their valuable advice and constructive suggestions, which have been instrumental in refining my work. Their expertise and encouragement have been invaluable to this research, and I am truly fortunate to have had the privilege of working with such a supportive team.

To my family, my greatest source of strength, I owe endless gratitude. To my mother, Noora, for her boundless love and constant prayers, which have been a foundation of my success, and to my beloved wife, Rawiya, whose unwavering support, patience, and encouragement have carried me through this journey. I am also incredibly grateful to my sons and daughters, Reef, Abdullah, Reem, and Abdullelah, whose love and joy have been a source of inspiration and motivation every day. To my siblings, thank you for your constant support, encouragement, and companionship; your presence in my life has been a tremendous blessing.

Lastly, I would like to thank my friends, colleagues, and everyone who has contributed to this work in any way. Your support, encouragement, and constructive discussions have been invaluable in this journey. I am grateful to each of you for making this accomplishment possible.

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ABSTRACT

HYBRID MACHINE LEARNING APPROACHES FOR SOC AND RUL ESTIMATION IN BATTERY MANAGEMENT SYSTEMS
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With the fast development of electric vehicles (EVs), new technologies are needed to manage batteries more efficiently to optimize performance and more profound and longer battery use. A significant problem that must be solved successfully is accurate estimation of the State-of-Charge (SoC) to avoid fully discharging a battery. It shortens battery life and prolongs the time it takes to charge the battery. This dissertation introduces a new approach that uses Edge Computing and real-time predictive analytics to assess the status of EV batteries and send alerts when necessary, thus facilitating energy efficiency. The Edge Impulse platform is used to predict the Remain Useable Life RUL of batteries with enhanced accuracy using EON-Tuner and DSP processing blocks, enhancing computational capability and making it feasible for edge devices.

Since traditional SoC estimations include tools like Kalman filters and Extended Kalman filters, which are effective but have a considerable drawback in estimating the SoC with changing battery parameters, this study proposes a multi-variable optimization method. The method enhances performance prediction after key parameters are iteratively adjusted, thus resolving the emergence hypotheses of most existing techniques. The system was designed and tested on Jupyter Notebook, and performance indicators of accuracy, MSE, and efficiency further validated the design. This study helps ensure proper energy use and long battery life for e-vehicles, which promotes clean energy use.

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CHAPTER ONE

INTRODUCTION

1.1 Introduction and Background

Electric Vehicles (EVs) are considered the cornerstone of international efforts to move toward environmentally sustainable transport systems. The transport sector is responsible for a significant portion of global carbon emissions, and decarbonizing this sector is critical to limiting global temperature rise to below the 2°C threshold set by the Paris Agreement. In this context, EVs, powered by advanced battery technologies, play a crucial role in reducing reliance on fossil fuels and promoting cleaner, more sustainable energy sources [1]. So, different counties are racing to reduce GHG emissions and the overall emission of CO_2, both causes of this urgent change action (i.e. climate change); EVs have gained a greater acceptance in the past years notably due to their potential to massively lower greenhouse gas emissions and cutting away from fossil fuels which contribute heavily to global warming [2]. This upswing in electric transportation also aligns with worldwide green energy directives, helping promote cleaner substitutes to traditional fuels and decreasing dependence on finite sources. Performance and management of battery systems in electric vehicles (EVs) are critical for vehicle performance, efficiency, and reliability as they play a very important role in helping the EV system perform in an effective manner [3].

One of the significant aspects in EV battery management is accurate State of Charge (SoC), and Remaining Useful Life (RUL) estimation. SoC simply represents the current energy left in a battery as a percentage of it full capacity, while RUL is stoic metric to give an estimate that how long will a battery work before it needs replacement. Accurate classification of these parameters are important for improving the battery safety, longevity and reliability while meeting continuous optimal performance over entire vehicle life [4]. In such scenarios, failure to accurately predict these metrics leads not only to unpredictable battery failures but also sub-optimal operational costs and even restrain vehicle safety.

The reason why it is difficult to estimate SoC and RUL accurately is in that the lithium-ion battery has higher non-linearity as an electrochemical energy storage system, and its working conditions often involve severe dynamic variation during operation. The behavior of these electrochemical systems is affected by a wide range of factors; among these, thermal and mechanical processes occurring in the micro-structure that change with battery age and usage conditions [5]. Therefore model parameters need to be updated regularly, especially with battery degradation over time. Classical ways of SoC estimation approaches, like the Kalman filtering, have provided good results for linear systems. Nevertheless, the model's accuracy is severely limited when it comes to nonlinear behaviors of lithium-ion batteries and thus more advanced modeling methodologies are required [6].

The machine learning (ML) has recently got great boost due to this technology and hence then were many sophisticated modes tried for the estimate of state-of-charge (SoC) and remaining useful life (RUL). ML approaches especially hybrid models that combines machine learning and the conventional estimation frameworks shows a great potential to overcome the limitations of classical methods [7]. Hybrid deep learning models, in particular, are a favorable solution because they can handle high-dimensional data, cope with the real-time fluctuation and model well the non-linear interaction that describes battery behaviors. These models are represented by hybrid architectures, for instance Long Short-Term Memory (LSTM) networks or Convolutional Neural Network (CNN), which can adequately capture the temporal and spatial complexities related to battery functioning in order to accurately predict SoC and RUL [8].

The importance of accurate SoC and RUL estimations cannot be stressed enough, as this is the cornerstone for proper battery management, which itself is absolutely vital for the widespread acceptance of electric vehicles. Accurate prediction techniques could avoid sudden battery failures, improve maintenance scheduling and basically enhance the general user experiences of EVs [9]. By integrating hybrid machine learning approaches, it has the potential to eliminate some flaws embodied within traditional estimation models and create a strong feedback process for boosting performance, safety and sustainability of electric vehicles. In the following subsections, this thesis will provide additional detail around each of these research questions and define objectives in each category while additionally suggesting methodologies to push the state-of-the-art battery parameter estimation for EVs.

1.2 Problem Statement

EVs are growing at a very fast rate and along with that, its progress become well ever in terms of safety, reliability, and efficiency over lifetime. An important issue in this field is the precise prediction of battery characteristics, especially SoC and RUL. These parameters are essential to optimizing battery performance, reducing handling risks and improving the lifetime of a battery. Current methods for estimating these parameters, such as Kalman filters and its extension cannot be applied directly due to the linear assumptions they make, which are not suitable under real operating conditions of a lithium-ion battery.

The complexity to model SoC and RUL estimation comes from changing and multifaceted nature of lithium-ion batteries, which is a very complex system in terms of thermal, mechanical and electrochemical factors that change over time [10]. Due to such variances, the model parameters need to be updated periodically in real-time so that they can accurately represent the state of health and life of a battery as it ages. Therefore, ideally, traditional linear models should be avoided since they only provide rough calibrations and are not reliable over different working scenarios and also in time which shifts the battery utilization to its performance boundary leading to early failure if it is not properly designed as proposed. Additionally, the conventional methods are inefficient to associate multiple data sources needed for accurate SoC and RUL estimating (for example temperature values, charging/discharging cycles, mechanical stresses etc.) [11].

To address these constraints, researchers have started to embrace machine learning based models on battery parameter estimation for a more flexible framework. Recently, the development of hybrid machine learning models, that is combining multiple ML algorithms associated with the improvements in prediction accuracy significantly due to uncertainty in high-dimensional data and non-linear relationships between capacity loss and several measurable parameters regarding battery behavior have been established. However, putting these models to work is complex due to complications associated with their generalizability across different battery chemistries and operational conditions [12].

Further, the ability for real-time prediction based on factors regarding battery health is also extremely crucial. This is critical for the real-time prediction to support proactive battery management measures, and hence minimize unexpected failures while enabling timely maintenances. Edge Impulse can bring a path using Edge Computing Technologies and data-driven approaches together for achieving high accuracy with less computational loads by on-device processing [13]. However, these methods require detailed optimization to balance the accuracy and computational efficiency, especially in resource limited environment like on-board EV systems.

The main challenge focused in this work is to design an efficient and precise SoC and RUL estimation framework which surpass the drawbacks of conventional linear models and considers battery aging, non-linearity and real-time processing constraints. In particular, this thesis presents a hybrid machine-learning approach which combines advanced ML methods with real-time edge computing in order to improve the accuracy of SoC and RUL estimation. This research seeks to make a significant contribution to the development of electric vehicle battery management systems by systematically addressing the restrictions of the models used today; in turn, helping enable broader deployment and more reliable operation vehicles.

1.3 Objectives of the Research

The central aim of this research is to enhance the quality and reliability of SoC and RUL estimation for EV batteries by means of advanced hybrid machine learning based framework. In addition to this, this work is also looking to overcome limitations of traditional estimation methods, which often fail to represent the non-linear, transient behavior of lithium-ion batteries and do not adapt over time as battery condition changes.

The specific aims of this research will be:

I. Hybrid Machine Learning Model SoC Estimation

The first aim is to build a hybrid model combining sophisticated machine learning approaches for predicting the SoC of commercial EV batteries. The model intends to overcome the limitation of conventional estimation schemes, for example Kalman Filter, which are not able match with nonlinearity in battery behavior [6]. A hybrid approach is introduced to these constraints by using multi-parameter optimization methods with the objective to improve the accuracy of SoC estimation for different working conditions.

II. Enhance real-time prediction for RUL

In order to predict the remaining useful life in real-time, this may be achieved through Edge Impulse and Tiny Machine Learning (Tiny-ML) techniques. The aim of using on-device processing is to approach for energy efficient as well as scalable battery monitoring system which minimize the computational overhead and enable timely decision-making. This process will make the prediction more accurate using a neural network based on TensorFlow and doing it to decrease the latency and computational requirements of edge computing.

III. Use Multi-Objective Optimization Tricks

The third goal is to employ multi-objective optimization algorithms, which can improve the prediction accuracy and adaptability of those models that are developed. In this work, optimization techniques are systematically implemented to reduce the errors in SoC and RUL prediction by ensuring their dynamic and multi-dimensional nature of lithium-ion batteries, such as various charge-discharge cycles. The idea is to capture a holistic view of the system-level interactions between various battery parts at a variety of operational load levels.

IV. Fine-Tune model settings for the best performance:

This goal is achieved by modifying model parameters iteratively via machine learning algorithms to make it predictable in SoC estimation. The work will utilize the iterative techniques like LSTM, CNN as well as Gated Recurrent Unit (GRU) networks for understanding complicated temporal-based and spatial-based relatedness in batteries. The aims of this initiative are accuracy improvements and increasing generalizability across a variety of battery chemistries and operational scenarios.

V. Test how effectively the hybrid approach works with empirical evidence:

Finally, this objective will validate the developed hybrid models through empirical evaluation, with latest industry-standard datasets that are representative of real-world battery usage scenarios. The performance metrics like Mean Squared Error (MSE), accuracy, and computational efficiency will be used to evaluate model performance under the simulated environment as well as real-world conditions which explain how this model overcome all above-mentioned issues from traditional method.

It is envisioned that the newly developed methodologies will enhance the operational safety, reliability and aging of EV batteries to strengthen the widespread acceptance of EV technology as sustainable transportation.

1.4 Research Questions and Hypotheses

In this dissertation, new hybrid machine learning techniques will be applied to improve the potential models to predict State of Charge (SoC) and Remaining Useful Life (RUL) in Battery Management Systems for lithium-ion batteries employed in electric vehicles (EVs). Based on this purpose, a set of research questions and hypotheses have been defined to focus the study and validate the proposed approaches.

Research Questions:

i. What factors allow hybrid machine learning models to outperform traditional linear models for SoC estimation?

Conventional methods like Kalman filters are generally incapable of accurately modelling the non-linear dynamics of lithium-ion batteries, especially under different complex working conditions. In this sense, we seek to determine whether hybrid machine learning models that combine a number of different algorithms can be applied to overcome issues posed by these non-linear behaviors and lead to drastic improvements in terms of SoC estimation.

ii. Does the combined use of Tiny-ML and edge computing provide efficient real-time remaining useful life estimate for commercial electric vehicle batteries?

Monitoring the state of charge (SOC) and state of health (SOH) of batteries in real-time enable safety improvements and battery performance optimization. An example of this type of research question would be whether using Edge Impulse and Tiny-ML technology would enable real-time, accurate RUL predictions while minimizing the computational resources needed to compare to centralized systems.

iii. How do multi-objective optimization methods affect the precision and adaptability of battery parameter predictions?

SoC and RUL prediction can be more effective if the capability to handle high-dimensional dynamic data is enhanced. This research question aims at addressing multi-objective optimization to systematically lessening failures and improving the generalization and precision of the hybrid machine learning models for predicting battery health parameters.

Hypotheses:

H1: Hybrid machine learning models will be more accurate than traditional linear models which estimate circuit related SoC.

Justification: Due to the complexities and non-linearity of the behaviors of lithium-ion batteries, traditional linear models are not suitable for accurately representing the system behavior. Hybrid models combining algorithms such as LSTM and CNN are expected to improve the prediction accuracy by utilizing multi-variable optimization and exploiting a broader perspective of battery characteristics [6].

H2: Utilization of Edge Impulse and Tiny-ML technologies will perform an accurate RUL prediction in real-time using fewer hardware resources compared to traditional centralized techniques.

Justification — Enabling on-device processing, Tiny-ML will resolve the common challenges of time latency in centralized computing and deliver fast and effective battery management solutions. This hypothesis will be evaluated by comparing real-time RUL prediction models with the traditional, centralized model in two different dimensions, the computational cost dimension and prediction accuracy.

H3: The adaptability and accuracy of the SoC and RUL estimation models can be significantly improved by utilizing multi-objective optimization techniques especially in various weather conditions and battery degradation trends.

Justification: Battery use conditions are subject to wide variability—both in temperature, as well as how and when the battery is charged and discharged—that necessitate adaptive models. It is expected that the multi-objective optimization, which considers these dynamic characteristics, would significantly reduce systematic errors leading to more reliable and improved model performance.

These are the research questions and hypotheses that provide a structured context to explore shortcomings in existing SoC and RUL estimation methodologies, thus enabling their verification against these hybrid machine learning techniques. Additionally, empirical evidence will decide the extent to which scaling up advanced machine learning approaches with edge computing can contribute in pushing the frontier of EV battery management system.

1.5 Scope and Limitations

This research work scope lies in design, implementation and analysis of high-end hybrid machine learning based model for the accurate prediction of State of Charge (SoC) & Remaining Useful Life (RUL) of Li-ion battery used as a power pack in Electric Vehicles. In particular, the study employs the Long Short-Term Memory (LSTM), Convolutional Neural Networks (CNN) and Gated Recurrent Units (GRU) algorithms of advanced machine learning approach techniques combined with optimization algorithms to succeed over the pitfalls of such kinds of conventional estimation models unable to explicitly capture extremely complex non-linear behavior of lithium-ion batteries.

In this scope lies real time edge computing solutions using TinyML and Edge Impulse frameworks to enable on-device processing for predictive models. This is expected to improve the scalability and responsiveness of battery management systems by eliminating the latency and computation introduced by their centralized methods. Evaluation will utilize empirical and industry-standard datasets, containing real world battery uses cases such as temperature ranges, charging and discharging cycles or aging effects.

Limitations:

I. Generalizability Across Different Battery Chemistries:

A key limitation of this research is that it primarily focuses on lithium-ion batteries, which may restrict the generalizability of the proposed methods to other battery chemistries, such as lithium-iron phosphate ($LiFePO_4$) or solid-state batteries. While lithium-ion batteries are currently the predominant technology used in electric vehicles, different battery types exhibit distinct behaviors that may require model recalibration to achieve similar levels of accuracy [14].

II. Dependence on Dataset Quality and Availability:

The performance of machine learning models heavily depends on the quality, diversity, and comprehensiveness of the datasets used for training and validation. This research utilizes existing datasets, which may contain biases or limitations in representing diverse battery conditions across their entire lifecycle [15]. The availability of comprehensive datasets, particularly those that reflect extreme operating conditions, could impact the robustness of the developed models when applied to new, unseen conditions.

III. Challenges in Real-Time Implementation:

The implementation of Tiny-ML and Edge Impulse for real-time RUL prediction is inherently challenging due to the computational and memory limitations of resource-constrained edge devices. While on-device processing reduces latency, it also demands efficient optimization to ensure that predictive models can operate under strict hardware constraints without compromising accuracy [13]. The balance between computational efficiency and prediction precision is an ongoing challenge that requires careful trade-offs.

IV. Complexity of Hybrid Model Integration:

Hybrid machine learning models require the integration of multiple learning algorithms, such as CNN, LSTM, and GRU, which can increase the complexity of model architecture and training processes. This complexity may lead to extended training times and increased computational demands, which could limit the scalability of these models for large-scale industrial applications. The fine-tuning of parameters to achieve optimal results also adds a level of complexity that may affect model deployment efficiency.

V. Operational Constraints and External Factors:

Battery performance is influenced by several factors, including temperature fluctuations, mechanical stresses, and diverse charging patterns. While the proposed model incorporates multi-objective optimization to address these factors, there is still the potential for deviations under extreme environmental conditions or irregular usage patterns. These scenarios are beyond the direct scope of this research and may require further investigation to ensure reliable performance in all operational environments.

The scope and limitations outlined here define the boundaries of the research, identifying the expected contributions and potential challenges. These limitations are acknowledged to ensure that the findings are interpreted within the appropriate context, and they provide a framework for understanding the conditions under which the proposed hybrid models may require further adaptation.

1.6 Structure of the Dissertation

This dissertation is organized into seven chapters, each contributing towards the overarching goal of improving battery parameter estimation for electric vehicles through hybrid machine learning models and real-time edge computing. The structure is outlined below to provide a roadmap for understanding the systematic development of this research.

Chapter One: Introduction

This chapter introduces the scope, significance, objectives, and limitations of the research. It also presents the research questions and hypotheses that will guide the investigation, providing a foundation for subsequent chapters.

Chapter Two: Literature Review

This chapter provides a comprehensive review of existing literature related to State of Charge (SoC) and Remaining Useful Life (RUL) estimation for lithium-ion batteries. It covers traditional estimation methods, their limitations, and recent advances in machine learning and hybrid models. The literature review highlights the gaps in the current body of knowledge and establishes the need for the proposed research.

Chapter Three: Methodology

The methodology chapter details the approach taken to develop the hybrid machine learning models for SoC and RUL estimation. It describes the data collection process, model architectures, and the integration of optimization techniques. The chapter also discusses the tools used, such as Jupyter Notebook, Scikit Learn, and TensorFlow, and the experimental setup employed to evaluate model performance.

Chapter Four: Mathematical Modelling

This chapter presents the mathematical formulation underlying the proposed machine learning models. It includes derivations and equations related to parameter optimization, descriptions of the hybrid model architecture, and detailed explanations of the algorithms utilized in the research. Emphasis is placed on the mathematical precision required to accurately model the complexities of battery behavior.

Chapter Five: Results and Analysis

The results chapter presents empirical findings from the developed models. It includes performance metrics such as accuracy, Mean Squared Error (MSE), and computational efficiency for SoC and RUL predictions. Visual representations such as graphs and tables are provided to facilitate understanding of model performance in both simulated and real-world environments.

Chapter Six: Discussion on Results

In this chapter, the results are analyzed in depth, discussing the extent to which the research questions and hypotheses were addressed. The discussion highlights the advantages of the hybrid machine learning models over traditional methods and considers the implications of the findings for battery management systems. It also covers the challenges encountered during implementation and their impact on the outcomes.

Chapter Seven: Conclusion and Future Work

The concluding chapter summarizes the key findings of the research, emphasizing the contributions made towards enhancing the SoC and RUL estimation of lithium-ion batteries for EVs. It also discusses the practical implications of the findings, limitations, and directions for future research.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction to State of Charge (SoC) and Remaining Useful Life (RUL) Estimation

Battery management system (BMS) is a key element of electric vehicle (EV) battery safety, reliability and longevity. Estimation of State of Charge (SoC) and Remaining Useful Life (RUL) with high precision is particularly important in the case of lithium-ion batteries, since degradation in SoC and RUL leads to significant changes in vehicle performance, safety characteristics and cost efficiency. State of Charge (SoC) is an indication of the amount available energy in the battery compared to its full capacity, while Remaining Useful Life(RUL) predicts the amount of remaining operational life before battery needs replacement or significant maintenance [16], [17]. These parameters are key for battery optimization, preventive maintenance and ensuring vehicle safety.

2.1.1 Importance of SoC and RUL Estimation for Lithium-Ion Batteries in EVs

High energy density, better efficiency and lighter weight have made lithium-ion batteries the preferred choice for most EVs today. However, accurate SoC and RUL estimation is challenging for these batteries, due to the complex electrochemical processes occurring within the electrodes that are affected by parameters such as temperature, currents during discharge and aging [18]. Failure to do so accurately can allow batteries to be overcharged or deep discharged, both of which will severely impact battery life. Ranking of RUL estimation permits proactive maintenance, secure and reliable operation of the electric vehicle with lower operational cost.

The traditional methods, e.g. open circuit voltage detection, coulomb counting, and impedance spectroscopy have their limitations in the accuracy especially at dynamic conditions [19]. The problem with these approaches is that battery behavior during real-world vehicle operation is highly complex and non-linear, so they don't adapt well to it. This has therefore led to a huge transition either to use adaptive filtering techniques or machine learning models in the hope of obtaining better estimation results, especially when the maximum likelihood estimate cannot be expressed on a closed form basis [15].

2.1.2 Evolution of Techniques for SoC and RUL Estimation

Depending on the adopted approach, RUL estimation techniques evolve from traditional model-based methods to modern machine learning frameworks. The conventional methods are mainly based on Kalman filtering techniques, like Extended Kalman Filter (EKF) and Unscented Kalman Filter UKF that have been widely adopted for non-linear battery systems [20]. These filters are especially practical to couple with equivalent circuit models for the internal battery states estimation. For instance, [21] By using dynamic linear model to establish the state-of-charge on-line identification model, research by [22] had presented a Simplified SoC Estimation Method Based on Simplified Model and Analytic Solution of SOC for achieving accurate but simple estimation.

Due to the recent advances in machine learning, more sophisticated and flexible SoC and RUL estimation methods are available. These approaches do not require complex battery model and use historical and current data to forecast battery state. Deep learning — e.g. Long Short-Term Memory (LSTM) networks, Convolutional Neural Networks (CNNs) etc., has been used to handle these complex dependencies present in the decay behavior of a battery that traditional models are not able to capture [23]. Whale Swarm

Algorithm combined with LSTM (WSA-LSTM) has also been recently applied to predict RUL and proved the superiority of hybrid machine learning techniques in adverse conditions such as DC fast charging that are difficult to be modelled using traditional methods [24].

There is an obvious inclination in the literature from conventional model-based schemes to data-driven and hybrid machine learning frameworks. The purpose for this evolution is the demand of higher adaptability, precision and scalability in battery management is becoming apparent, as battery chemistries in use are broadening and usage environments ever more diverse [14]. Acceleration of such methods combined with real-time data acquisition and predictive modeling through edge computing not only improve the performance but also enhance the feasibility to deploy adaptive battery management solutions that are capable of dynamically adapting to changing battery conditions on field.

2.2 Traditional Methodologies for State of Charge Estimation

The traditional Kalman filter can usually only be applied to linear systems, which tends not to work very well in the highly non-linear environment of lithium-ion battery management. However, to take care of these problems different extensions such as Extended Kalman Filter (EKF) and the Unscented Kalman Filter (UKF) have been devised for handling non-linearities. The EKF-line is the practical realization of the continuous SOC estimation and full Bayes consistency, since it linearizes around an optimal point (which allows for good SoC estimation), though experiences significant shortcomings under high dynamic conditions due to modeling errors [25].

Kalman filtering techniques have been widely used for state-of-charge (SOC) estimation in lithium-ion batteries because they can accurately estimate internal battery states within uncertain and dynamic environments. It is a recursive data processing algorithm that is applied to estimate the internal state of a system from noisy measurement series. Additionally, it provides an efficient way to estimate SoC of lithium-ion batteries by handling the noisy battery operation input and output data. Consequently, this filtering helps the internal model of battery to be updated in a real-time scenario [25].

2.2.1 Adaptive Kalman-Based UKF Model for SoC Estimation

Adaptive approaches of the unscented Kalman filter (UKF) have been investigated to enhance the robustness of Kalman-based SoC estimation. The Adaptive Unscented Kalman Filter (AUKF) leverages the advantages of UKF while adjusting filter parameters online to adapt to different battery characteristics, e.g., temperature effect and capacity fade [26], [27]. Understanding this adaptability of the estimation over the battery's lifetime including a variety of degradation effects, is essential for modeling and estimating SoC correctly.

[28] proposed an AUKF based approach, where it was integrated with a Support Vector Machine (SVM) to achieve higher predictive accuracy in SoC estimation. Utilizing machine learning on top of Kalman filters then helps to correct with some margin for the linearity shortcomings, resulting in an adaptive-linearized hybrid model which can automatically re-tune its predictions as batteries age. In contrast, the hybrid approach helped address non-linear characteristics very well without significant need for recalibrating the model under different operating scenarios.

The work by [29] extended this line of research with an adaptive unscented Kalman filter augmented with data-driven insights for improving the estimation. The approach greatly enhances the robustness of SoC estimation with varying operational conditions and creates a “smart” tuning scheme that is more accurate than traditional approaches based on UKF.

2.2.2 Dual and Extended Kalman Filter Models (DKF and XKF)

Another way to improve the performance of Kalman filter is introducing dual Kalman filters which estimates internal states and model parameters simultaneously for battery. Model parameter drift over time based on fixed-parameter models in the presence of battery aging is a well-known problem that this dual extended Kalman filter (DEKF) resolves. [30] presented an advanced adaptive dual unscented Kalman filter (ADUKF) that is able to adapt to the in-situ battery response and hence can achieve state-of-change state estimation without any prior knowledge (even with brand-new batteries). Furthermore, the performance of the DEKF in handling uncertain model parameters was illustrated by online tuning the filter parameters with respect to measurements.

[31] proposed a modified dual extended Kalman filter by incorporating Gray wolf optimization algorithm to optimize the stability level of the filters. This modification allows the SoC estimation process to be adaptive and also deal with nonlinear battery behaviors. The hybrid approach with gray wolf optimization contributes to increase the accuracy of prediction and efficiency by tuning the parameters in an effective way on Kalman filter.

2.2.3 Hybrid Kalman-Based approaches

Additionally, the use of Kalman filtering with machine learning has even proved to be a huge step in improving SoC estimation. The combination of deep-learning models with Kalman filters is presented and applied to find the optimum states of charge (SoC) and state of health (SoH) for lithium-ion batteries [32]. The introduction of LSTM for increasing the feature space that could be captured by Kalman filtering and specifically designed for capturing temporal dependencies in data. This combination approach, advanced EKF with LSTM, greatly extends recent advancements in $LiNi_{0.6}Co_{0.2}Mn_{0.2}O_2$/graphite battery SOC estimation to a robust methodology blending together model-based and data-driven solutions [33].

2.2.4 Issues with Kalman-Based SoC Estimation

Logically, the success of kalman filter represents a wide range of challenges that need to be overcome in order to understand its broader effectiveness in real-world applications. Its major disadvantage lies in the requirement of accurate battery models which are often hard to acquire owing to the complex nature of lithium-ion chemistry and variations in manufacturing processes [34]. Kalman filters are also prone to sensitivity in presence of model inaccuracies and measurement noise leading to loss of accuracy while estimating SoC over different operational conditions. Another challenge is the requirement of real-time computational resources, this becomes even worse in embedded systems found in electrical vehicles, which raises the issue of balancing the tradeoff between performance and power consumption.

In an approach to alleviate these limitations, adaptive and hybrid methods are proposed by researchers [13], [15] as discussed previously. These methods are adaptive to uncertainties by stabilizing the parameters of the model, and take advantages of machine learning knowledge in obtaining better accuracy with different conditions. Table 1 illustrates the comparison of Kalman, UKF, EKF and Hybrid models in terms of usage, limitations and factors that affect its working.

Table 2.1 Comparison of Kalman filters and its extensions

Filter Type	Usage	Limitations	Factors Affected	Reference
Kalman Filter	Linear systems, state estimation in control and signal processing	Limited to linear systems, inaccurate for non-linear models	Noise covariance, initial state estimates, system linearity	[35]
Adaptive Kalman Filter (UKF)	Non-linear systems with adaptive characteristics for model uncertainties	Computational complexity; sensitive to incorrect adaptation parameters	Adaptation speed, non-linearity of the model, system noise	[36]
Dual and Extended Kalman Filter (DKF and XKF)	Non-linear systems, combining dual estimation and extended for enhanced accuracy	Requires high computational power; linearization may lead to inaccuracies	Accuracy of dual estimations, Jacobian computations, system non-linearity	[37]

Table 2.1 continued

Filter Type	Usage	Limitations	Factors Affected	Reference
Hybrid Kalman Filter	Combines Kalman and other filtering techniques for handling diverse dynamic conditions	Complex to implement; requires accurate modeling of hybrid systems	Choice of hybrid components, noise modeling, computationa l resources	[38]

2.2.5 Electrochemical Models and Equivalent Circuit Models (ECMs)

SOC estimation is traditionally based on Electrochemical Models and Equivalent Circuit Models (ECMs). Electrochemical models offer an intricate insights of the battery's internal chemistry, with a high-resolution perspective. However, due to their complexities, they are rarely used in real-time applications. In contrast, ECMs give universal, circuit-based models of the battery using resistors and capacitors to simulate battery behavior [39].

ECMs are favored because of their computational efficiency and simplicity, making them suitable for real-time battery management systems. However, they assume linear correlations between variables, making it difficult to model the non-linear properties of batteries, especially under dynamic conditions such as temperature changes, aging and varying load profiles [40]. In addition, ECMs require precise parametrization for some battery chemistries, which in turn restrict their adaptability to various other battery types.

2.3 Machine Learning-based SoC and RUL Prediction Frameworks

In electric vehicle (EV) applications, the battery behavior has grown more complex and accurate State of Charge (SoC) and Remaining Useful Life (RUL) estimation required advanced machine learning techniques. Machine learning offers a more flexible and data-driven solution to battery state prediction compared with existing methods that would require thorough and accurate modeling of battery chemistry. This flexibility is necessary to improve battery management under real-world conditions that can change widely and not be predictable.

2.3.1 Overview of Machine Learning in Battery State Prediction

Since the datasets needed are large, machine learning methods have become a good alternative to traditional model-based approaches for SoC and RUL estimation, as they can learn more complex patterns from them. Unlike Kalman filtering that depends on predefined models, the data-driven training of ML techniques are able to learn predictive model capturing complex non-linear relationships and temporal dependencies in battery data [41].

Considering the nature of sequential data and long term dependences which are related to battery discharging process, deep learning models like Long Short-Term Memory (LSTM) networks are more suitable for predicting battery parameters in contrast to convolutional neural networks. CNNs (Convolutional Neural Networks) have been used, mainly in conjunction with other models, to identify spatial characteristics in battery data, such as the effect of voltage changes on capacity loss that increases prediction accuracy [42].

2.3.2 SoC Estimation using Hybrid Machine Learning Approach

Electric vehicles (EVs) are becoming more popular based on environmental considerations and energy source diversification. However, the accurate estimation of the State of Charge (SoC) and other performance parameters for the batteries of commercial electric vehicles (EVs) is crucial to performance and lifespan management of these batteries. Conventional approaches, such as the use of Kalman filters, face significant problems in the ability to accommodate the complex nonlinearities associated with battery dynamics. These hybrid models are central in combining ML techniques with traditional estimation frameworks to capture the complexity associated with electrochemical progressions and thermal-mechanical dynamics that influence SoC estimation accuracy of EV batteries [13]. This integration provides better SoC predictions from the battery model at any given state or time of health, while a number of model parameters demand updates triggered by battery ageing.

2.3.2.1 LSTM and CNN in Hybrid SoC Models

Recent research has shown the use of Long short term memory (LSTM) networks as well as Convolutional Neural Networks (CNN) within hybrid models for SoC estimation. These models are able to fulfill temporal (LSTM) and spatial (CNN) characteristics of battery data and hence are beneficial in reducing the errors in state of charge prediction in real time target [43]. Thus, using these deep learning techniques, the system processes historical data efficiently and grasps non-linear dependencies which in turn increases the overall accuracy of SoC estimation.

2.3.2.2 Real-time SoC Prediction using SVM and Adaptive Optimization

Support Vector Machines (SVM) have been combined with adaptive optimization techniques to enable real-time SoC estimation, overcoming speed and accuracy restraints associated with conventional model-based device approaches as well. This hybridization scheme provides for online parameter updates to maintain SoC estimation accuracy in the presence of changing operational conditions [44], [45]. The use of SVM- supplemented hybrid models for SoCs represents a major step forward in the development of real-time predictive systems, increasing efficiency and responsiveness.

2.3.2.3 Developments on Hybrid Deep Learning Models

Recent developments concentrate on hybrid deep learning models combining several ML processes to improve the generalizability and accuracy of SoC estimation. These models are especially useful in overcoming the natural inability of linear models to represent the non-linear nature of most EV battery systems. In particular, hybrid methods that couple ML and parameter estimation with real-time data have shown to converge faster (with a less prediction error) comparing to traditional estimation methods. This combination is essential for developing a strong mechanism to enhance the prediction of battery charging and guards against battery management [46].

2.3.2.4 Machine Learning Approaches for SoH Prediction

Another application of machine learning is the prediction of Battery State of Health (SoH) in addition to SoC estimation. An interesting method is to create a predictive model of the future voltage profiles using historical short-term charging data that was demonstrated to be successful in online SoH battery diagnostics [47]. However, some studies have been found to develop hybrid ML models that better predict the SoC from a consideration of the battery electrochemistry while it operates under charge and discharge processes during actual drive cycles especially in severe dynamic realistic conditions — with performance improvements on predictions precision [48].

Taking all this together, accuracy and the capability of generalization are demonstrated by studies utilizing hybrid ML strategies in predicting battery parameters for commercial EV batteries. This hybridization model developed in this work helps to overcome the traditional linear methods shortcomings, which gives a realistic more accurate estimation of State of Charge in EV batteries. In addition, ML techniques introduce the possibility to iteratively optimize model parameters providing an improved accuracy and flexibility of SoC estimations over a wide range of operating conditions. By doing so, this method provides a new multi-variable optimization framework that mechanistically minimizes multiple parameters to improve prediction accuracy, reflecting the cross-cutting relationships among components of EV batteries.

2.3.3 Recent Developments in RUL Prediction Using Machine Learning

Significant improvements have been achieved in the domain of Remaining Useful Life (RUL) prediction for electric vehicle (EV) batteries as a result of the adoption of cutting-edge machine learning (ML) approaches. The difficulty of maintaining prediction accuracy, stability, and generalization across diverse datasets has led to the exploration of different methodologies such as hybrid models and advanced optimization techniques. The union of ML with edge computing, advanced optimization algorithms and regression techniques are expected to be some key technological aspect shaping the future of battery health management systems [49].

2.3.3.1 Edge Impulse and ML-TensorFlow Integration

One of the major recent Edge Impulse/ML-TensorFlow based RUL prediction innovation has resulted in significant real-time performance as well as prediction accuracy improvements. To achieve real-time predictions - critical for EV applications, the Edge Impulse platform utilizes on-device processing assisted by Tiny Machine Learning (Tiny-ML) hardware. This technique removes centralized data processing, making battery management systems more efficient and flexible. The model utilizes TensorFlow a strong ML framework to reveal complex patterns of battery data, and provide precision RUL results [13]. Moreover, predicting the combination of the Adam optimizer and L2 regularization together with incremental techniques have been suggested to enhance prediction accuracy and reinforce performance [50]. The method has good scalability, by giving the result on high dimensional data and obtaining better generalization over diverse datasets.

2.3.3.2 Whale Swarm Algorithm and Long-Short Term Memory (WSA-LSTM)

A distinctive advancement is the Whale Swarm Algorithm (WSA) combined with Long Short-Term Memory (LSTM) networks, WSA-LSTM has established its effectiveness in improving RUL prediction accuracy. The employed two works in a nature-inspired optimization algorithm known as WSA to optimize feature selection and parameter tuning in RUL prediction models. The fusion of WSA with LSTM help to learning from battery data with non-linearities and temporal dependencies [51]. WSA enhances both the convergence speed and reduction of prediction errors by leveraging the high capability of LSTM to model long-term dependencies, which leads to a more accurate RUL estimate. The hybrid method has been shown to be proficient in grasping the intricate behaviors of lithium-ion batteries with increase estimation accuracies for RUL and reducing computational cost of the model [52].

2.3.3.3 Variational Mode Decomposition (VMD) and Gaussian Process Regression (GPR) Integration

Recently the combination of Variational Mode Decomposition (VMD) with Gaussian Process Regression (GPR) has been employed for RUL prediction along with edge computing and hybrid optimization models. VMD is signal processing tool which has the capability to decompose complex signals into modes and hence extract meaningful features from battery data [53]. This work provides a robust and adaptive RUL prediction that, when combined with GPR, probabilistic regression method. Because GPR has the property of being able to model uncertainty and capturing non-linear relationships in data, it is well-fitted for deployment to battery health estimation applications. Recently, it has been demonstrated that using the VMD-GPR framework can achieve excellent prediction accuracy and uncertainty description on RUL predictions of EV batteries [54]. This method improves the generalization of the model across operational conditions and datasets, which is why it is a robust solution for long-term battery management.

2.3.4 Challenges and Limitations in Machine Learning-Based SoC and RUL Estimation

Table 2.2 Challenges and Limitations in Machine Learning-Based SoC and RUL Estimation

Challenges	Limitations	References
Data Dependency and Quality	For SoC and RUL prediction, Machine learning models predominantly rely on the availability of large, diverse and high-quality datasets. Inadequate data or poor-quality data may result wrong estimations, and this can restrict the scalability of these models in practice.	[55]
Generalizability across Battery Chemistry	Indeed, the majority of ML models currently have lithium-ion (LiH) batteries at their core and only a few studies investigate how extensible they can be to other types of batteries (e.g., solid-state or Nickel Metal Hydride). The most important challenge will be verifying how applicable these models are to chemistry in general.	[56] & [57]
Non-linearity and Complex Battery Behaviors	Due to the highly non-linear and complex electrochemical dynamics, traditional ML models fail at capturing battery behavior accurately for real-time SoC and RUL predictions.	[58]

Table 2.2 continued

Challenges	Limitations	References
Computational Cost and Real-Time Constraints	Algorithms need to be efficient for embedded systems or edge devices (like real-time prediction). This can be a bottleneck when we apply this in real time to places like LSTM, CNNs or GPR, due to the computational load of deep learning models.	[42]
Model Stability and Prediction Accuracy	It is difficult to maintain accurate predictions and a stable model in dynamic operational environments. Battery degradation factors and operating conditions might boost prediction errors and the model robustness.	[59]
Handling Diverse and Noisy Datasets	A SoC and RUL prediction model, based upon diverse operational datasets with noise, incomplete data or outliers could provide inaccurate predictions. These need to be dealt with using appropriate and resilient approaches.	[60]

2.4 Opportunities for Future Research in RUL Prediction

The recent developments of methodologies for estimating Remaining Useful Life (RUL) open numerous research opportunities ahead. A promising step is to apply transfer learning techniques in order to improve model generalization with new battery chemistries. Transfer learning will allow a model trained on one batteries to be adapted to another while requiring fewer retraining data, and as such could greatly accelerate time of deployment for RUL prediction models for new battery types. Current research has shown that additive-learning offers a practical approach to selecting model compatibility with new battery chemistries (e.g. solid state batteries or lithium iron phosphate), where manufacturing datasets tend not yet to even exist [61].

There is also opportunity to develop next-level optimization techniques like evolutionary algorithms and swarm intelligence to improve model accuracy and reliability although such approaches come with heavy computational costs. Combining the Whale Swarm Algorithm (WSA) with Long Short-Term Memory (LSTM) networks to create a hybrid optimization model has shown great potential for increasing battery health prediction performance. Recent findings indicate that in fast transient battery conditions, WSA-LSTM models outperform state-of-the-art solutions [62]. Another improvement to the method could be made by experimenting with alternative algorithms such as genetic algorithms, particle swarm optimization. Further, by incorporating domain adaptation methods to handle inconsistencies and noise of the data may enhance robustness of machine learning models when using real-world datasets since such variabilities are likely to impair model performance [63].

Another interesting research direction is combining edge computing with machine learning for RUL prediction. This work can be extended to the development of battery management systems in a scalable way, further optimized to deploy on low power edge devices with minimum memory and CPU resources. It minimizes the dependence on powerful centralized computing resources, enabling battery systems to have its own autonomy and decision-making capabilities in real time [13]. This change could enable systems that are much more intelligent and adaptive, to the point where they would be able to anticipate events and correct without any human intervention, significantly improving range for EVs.

2.5 Comparisons and Limitations of SoC and RUL Estimation Techniques

Numerous techniques have been adopted to estimate the State of Charge (SoC) and Remaining Useful Life (RUL) of electric vehicle (EV) batteries, ranging from traditional Kalman-based models to sophisticated machine learning frameworks. Both have their benefits and their set of hoops to jump through. Table 3 is about explanation of a comparison analysis among these methodologies, listed with their capabilities and drawbacks for the comprehensive fulfillment of EV battery management challenging needs.

Table 2.3 Comparative Analysis of Kalman-Based and Machine Learning Approaches

Aspect	Advantages	Limitations
Kalman-Based Methods	Kalman-based filters (e.g., EKF, UKF) are robust in handling noisy data and perform well in real-time applications with lower computational cost [64].	Performance degrades in non-linear, highly dynamic environments typical of real-world battery conditions. Accuracy depends on precise model parameters [64].
Machine Learning Methods	Machine learning approaches, such as LSTM and CNN, excel in capturing non-linear, complex systems and reduce dependency on predefined battery models [65].	Require extensive computational resources and large datasets. Generalization to other battery chemistries without additional training or transfer learning is difficult [65].

Table 2.3 continued

Aspect	Advantages	Limitations
Hybrid Techniques	Hybrid models integrate Kalman filtering and machine learning to improve both accuracy and adaptability in real-time prediction tasks [66].	The complexity and computational burden of hybrid models limit scalability, particularly in real-time, embedded system applications [66].
Generalizability Across Chemistries	Kalman models can be re-parameterized, and ML models can be adapted using transfer learning, facilitating adaptation to new battery chemistries [67]	Both approaches face challenges when generalizing to newer battery chemistries like solid-state and $LiFePO_4$, requiring model reconfiguration or retraining [67].
Data Quality and Quantity Challenges	Kalman filters require less data as they rely on state-space models, while machine learning approaches benefit from larger, diverse datasets for better performance [68].	Obtaining high-quality, diverse datasets is expensive and time-intensive, limiting the development of effective SoC and RUL prediction models [68].
Computational Challenges in Hybrid Models	Hybrid models capture both spatial and temporal dependencies, offering comprehensive insights into battery behavior. However, significant computational resources are needed [69].	On-device real-time inference is limited by the high computational cost of training and deploying these models, necessitating model optimization for resource-limited environments [69].

2.6 Summary and Research Gaps

2.6.1 Summary of Key Findings in Literature

In recent years, a variety of traditional Kalman-based methods and machine learning methods have been successfully used to estimate the State of Charge (SoC) and Remaining Useful Life (RUL) of lithium-ion batteries in electric vehicles(EVs). In model-based SoC estimation, Kalman filtering techniques such as the Extended Kalman Filter (EKF) and Unscented Kalman Filter have been widely deployed due to their recursive nature and real-time adaptivity [14], [18]. With adaptive and dual filter mechanisms such approaches have been improved significantly to dynamically adjust the model in real time to changes perturbation (e.g., parameter drift and aging effects) rather than following a scheduled basis only [19], [21].

Conversely, machine learning methods have achieved significant progress in characterizing the non-linear and temporal dependencies of battery health. For instance, methods like Long Short-Term Memory (LSTM) networks and Convolutional Neural Networks (CNNs) can provide high levels of accuracy in detecting the temporal dependences as well as intricate patterns in battery data [8], [22]. Hybrid approaches of machine learning-based methods and traditional approaches such as Kalman filters have combined the best aspects of model based (such as dynamics-optimized) and data- driven methods to improve prediction accuracy. Several other hybrid models have been built, such as a mixture of LSTM, CNN, and Gaussian Process Regression (GPR) or the Whale Swarm Algorithm (WSA) designed to predict RUL under different charging conditions [24, 25].

While notable successes have been demonstrated with these models, it was not clear whether the approaches can be readily generalized across a variety of battery chemistries and operating scenarios. Kalman models can have difficulty in dealing with non-linearities and typically need regular re-calibration to reflect the changing conditions of a battery. While machine learning models are more versatile, they need access to large amounts of quality and diverse datasets, which in most cases require both time and money to gather [25]. However, this presents challenges computationally too due to the deployment of hybrid machine learning models in real-time applications on resource-constrained platforms like EVs which must balance performance with hardware restrictions [9].

2.6.2 Identified Research Gaps

Based on the review of existing literature, several research gaps have been identified that present opportunities for future exploration:

1. Generalizability Across Battery Chemistries:

   Most of these studies focus on lithium-ion batteries, and there is a gap in the research for other battery types such as lithium-iron phosphate ($LiFePO_4$) and solid-state batteries. Likewise, the success rate of the both models: the Kalman and the machine learning ones is conditioned by specific physical properties of a battery which might vary drastically from one chemistry to another. It requires adaptable models to preserve high accuracy on different battery chemistries without retraining or recalibration [23], [25].

2. Quality and Availability of Training Data:

    Machine learning methods depend on large-scale and good-quality datasets with various characteristics of the batteries such as temperature changes, charge/discharge rates or aging effects. Nevertheless, as these datasets are often small, wider challenges arise to learn effective models that can generalize into the real-world scenarios [25]. For example, transfer learning can facilitate adapting models trained on lithium-ion batteries to other chemistries by only supplementing a small amount of new data, which has yet to be widely investigated for SoC and RUL estimation problems.

3. Computational Complexity and Real-Time Application:

    Hybrid models, by combining deep learning algorithms with Kalman filtering or optimization methods such as the CNN-GRU-DNN hybrid approach for neural SoC estimation, provide better prediction accuracy but are also computationally intensive [22]. The heavy computational demand renders them less deployable for EV battery management in embedded systems, where real-time operation is critical. Lightweight, high-performance models are essential for applications that should work in resource-constrained platforms and devices on the edge but still maintain levels of accuracy.

4. Handling of Non-Linearities and Noise in Data:

    Kalman filters and novel machine learning models are improving with regards to noise tolerance, but some capabilities still struggle to accurately track the nonlinear behavior of batteries in a useful manner. While the integration of optimization strategies, such as the Whale Swarm Algorithm (WSA), demonstrated potential in addressing these issues, it is necessary to advance other methodologies to improve model robustness in a variety of unpredictable and highly dynamic process operating conditions [24].

5. Edge Computing and Real-Time Analytics:

   Real-time monitoring and prediction of battery health are crucial for efficient battery management. The use of Tiny-ML and Edge Impulse-based frameworks for on-device RUL prediction represents a significant step forward in this regard, but these methods require further refinement to balance the trade-off between model complexity and hardware limitations [9]. Research into optimizing machine learning models for edge devices could enhance the scalability and responsiveness of battery management systems, making real-time analytics more practical.

2.6.3 Establishing the Need for the Proposed Research

To address the identified research gaps, it is suggested that a new SoC and RUL estimation approach should be developed which would have adaptability, efficiency and scalability. The present research proposes developing a novel hybrid ML framework as to improve the performance of SoC and RUL estimation under variations in battery chemistry and operating conditions. This will be accomplished using new machine learning models LSTM and CNN in association with optimization techniques like the Whale Swarm Algorithm, added with edge computing capabilities; it makes it possible for overcoming the limitations of traditional and prior hybrid models.

This research will focus on:

i. Creating a model that was able to achieve high accuracy with batteries of different type without having to recalibrate much.

ii. Using transfer learning and data augmentation for handling the limited dataset challenges.

iii. A computationally efficient, lightweight hybrid model design so it can be deployed in real-time on edge devices enabling active and reactive battery management in electric vehicles.

The proposed framework is aimed at providing solutions to not only improving estimation accuracy but stride ahead to real-world implementability of battery management systems essential for the wider adoption of electric vehicles. Accurate models can reduce our dependence on long-term datasets thus reducing development cycles.

CHAPTER THREE:

METHODOLOGY

This Chapter gives the insight of methodology adopted for State of Charge (SoC) estimation and Remaining Useful Life (RUL) prediction of Electric Vehicle (EV) batteries. This method supports the real-time and accurate management of battery using edge computing by combining data acquisition, data preprocessing, machine learning algorithms and deep learning algorithms. The models deliver predictive accuracy of SoC and RUL, improving energy management strategy throughout the lifetime of an electric vehicle battery.

3.1 Method for SOC Estimation

The accuracy of the SoC estimation method is based on multiple real-world driving datasets, captured under different environmental conditions and vehicle operational states along with their associated battery metrics to predict SoC accurately under various conditions.

3.2 Dataset Discussion

The SoC estimation model uses the data from 72 driving cycles measured collected from a BMW i3 (60 Ah) under two different environmental conditions: TRIPS A (Summer) and, TRIPS B (Winter). The dataset records necessary parameters: the environmental data, state of battery and operational states of a vehicle which are important for accurate prediction on SoC. The model is validated using these datasets for efficient real-world applications (Figure 3.1).

Essential parameters of the dataset include:

- Battery Voltage & Current: These are basic parameters required to calculate the SoC.
- Temperature & Altitude: Offers insights about effects of environmental variables on battery efficiency.
- Battery SoC: informs about the status of how much the battery has consumed its energy depending on types of driving condition.
- Heating Circuit Data: Measures indoor temperature and heating power consumption which can influence the battery performance due to auxiliaries.

The dataset serves as input for training machine learning models in estimating the SoC at different conditions, which in turn helps to enhance the precision and reliability of battery performance prediction.

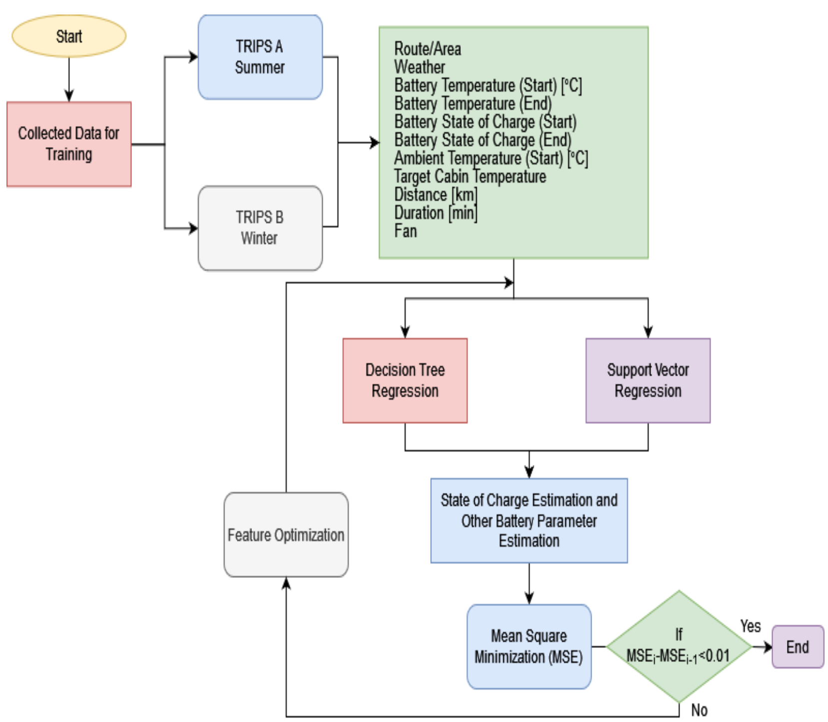

Figure 3.1: Flowchart of the Proposed Methodology for SoC Estimation

3.3 Data Pre-processing

The data set experience a detailed pre-processing phase in order to have the models train with quality and clean data. Interpolation is performed to fill-in missing data points and inconsistencies, and feature normalization is also performed to standardize the input features so that they are treated uniformly across various models.

3.4 Regression Models for SoC Estimation

The SOC Estimation is done based on two regression models: Decision Tree Regression model and Support Vector Regression (SVR) model which create a combined powerful model to represent the non-linear relationships between collected data and SoC behavior.

3.4.1 Decision Tree Regression

A decision tree is a binary model that recursively divides the dataset into subsets based on the most informative feature. Here, each internal node presents the decision nodes (whether ambient temperature is above or below certain value), the branch represents the outcome of the decision and final leaf nodes contain SoC values which are predicted. The main objective of the tree is to minimize the prediction error by choosing the feature splits that best split the data in homogeneous groups based on their SoC values.

This method is used in SoC estimation to model the non-linear interactions between multiple factors relevant to battery performance. For instance, the relationship between battery temperature and SoC may be non-linear, especially under more extreme ambient conditions. Decision tree models are apt for understanding such complex interrelationships, which makes them quite useful for battery management in EVs [70].

3.4.1.1 How Decision Tree Regression works for SoC estimation

i. Data Split: Dataset is split at each node using an input feature that best separates the target variable, which in this case is the SoC. On the other hand, the choice of decision at each node is selected such as to minimize the variance or Mean Squared Error (MSE) of SoC values in each subset.

ii. Recursive Partitioning: Each subset after the first split is further partitioned based on features like battery temperature, ambient temperature or whether an auxiliary system is in use. Then, the tree grows recursively, splitting the data on each node until a stopping criterion is reached (such as maximum tree depth or minimum number of samples in a node).

iii. Leaf Node Predictions: When reached a leaf node, the model predicts by taking an average of the actual SoC values in that leaf node. When given new data, the model will travel down this tree based on the input features (e.g. current battery temperature or speed) and eventually land at a leaf node with its final state of charge prediction.

3.4.1.2 Characteristic features of Decision Tree Regression for SoC Estimation

i. Non Linearity: As explained above, Decision trees are can easily model non-linear relationships. For instance, the effects of ambient temperature on battery discharge rates are highly non-linear and can be accurately modeled by a decision tree [71].

ii. Feature importance: As features are used in the decision tree algorithm to reduce prediction error, it inherently provides a measure of feature importance. This is used for SoC estimation in identifying which parameters like temperature, voltage and current are the most affected or how much each parameter affects battery performance [72].

iii. Interpretability: Decision trees are easy to interpret since the sequence of decisions that were made in order can be clearly read from start to end. In SoC estimation, this level of transparency enables system engineers to grasp how diverse parameters (driving conditions, auxiliary loads) modify the battery's state.

3.4.1.3 Hyperparameter Tuning for Decision Tree Regression

Optimizing a decision tree for SoC estimation requires tuning the following hyperparameters:

i. Tree Depth: The maximum depth of the tree sets the limit on how many splits are done from the root node to the leaf nodes. Deeper tree captures complex patterns from data yet runs the risk of overfitting, while shallower tree may underfit by oversimplifying relationships between variables. So, careful tuning of the tree depth is essential to balance the bias and variance in SoC predictions [73].

ii. Minimum Samples per Leaf: This parameter specifies the minimum number of samples required to be at a leaf node. A higher value will basically make the model to not look in low count data subsets which could be fairly noisy for getting particular, and really reduce on bias splits. For SoC prediction, this guarantees the model to be generalizable over multiple driving cycles [74].

iii. Criterion for Splitting: The metric that is most commonly in regression is MSE (Mean Squared Error) which represents the variance inside each SoC value being split. This reduces the MSE, which can hence help to generate more homogeneous splits with the objective of better accuracy for SoC predictions [70].

3.4.1.4 Limitations of Decision Tree Regression

i. Overfitting: Overfitting means model will work on training the data points and then fit to test data points. This becomes an issue in SoC estimation, where the model has to have decent generalization over several driving conditions and vehicle-usage patterns. Overfitting can be coped by using several techniques such as pruning, stopping tree growth earlier and restricting the minimum samples per leaf [73].

ii. Instability: Decision trees are sensitive to the data they are trained on; a small change in the training data can result with an entirely different tree. To overcome this, the ensemble techniques such as Random Forests can be used that aggregate multiple decision trees together to provide generalizable and accurate predictions [74].

3.4.1.5 Summary of SoC Estimation Considerations

i. Feature Selection Flexibility: Decision trees can accommodate continuous as well as categorical variables — a crucial attribute for SoC estimation where input like battery temperature are constant while auxiliary system use (such as HVAC on/off) can be intermittent [75].

ii. Complex Interactions: Decision trees can capture complex interactions between features. For instance, the battery discharge rate for a given ambient temperature could be quite different if there are other loads (e.g. air conditioning or heating systems) on the battery. The model is set up as a tree which identifies the different interactions between measurements and therefore can make an accurate prediction on SoC [72].

iii. Regularization to avoid overfitting: Decision trees tend to over fit on the training data (that is, they perform well on the training data set but poorly on other data) due to their high variance. Overfitting in SoC estimation would cause the predictions for new driving cycles or battery conditions to be off. To achieve better generalization, regularization techniques like a restriction on the maximum tree depth or a minimum number of samples per split are important [73].

3.4.2 Support Vector Regression (SVR)

Support Vector Regression (SVR) is a type of Support Vector Machine algorithm that is used to predict continuous output. These are good for tasks such as State of Charge (SoC) estimation in electric vehicles (EVs) where we want to predict continuous values — e.g. the current charge level of a battery and have multiple input variables whose interactions are complex.

This works by approximating the function that at most has ϵ\epsilonϵ deviation from its generated target values (SoC values in this scenario) and ensures that there is a penalty on any predictions outside of this margin. The algorithm aims to reduce the error of the predictions at once time whilst still keeping within a tolerance margin, and it is very useful for non-linear regression tasks such as SoC estimation itself where battery performance depends on variables temperature, voltage, current etc. [76].

3.4.2.1 Support Vector Regression for SoC Estimation

i. Pre-Processing of data: The input data (i.e., the battery temperature, voltage, current) needs to be pre-processed in order for all features to have an equal weight and importance in predicting outcomes of the model. For example, this involves processing driving cycle data, ambient temperature, and auxiliary loads to obtain informative input features for SoC estimation [77].

ii. Kernel Functions – Another important advantage of SVR is, it allows us to use different kernel functions to represent non-linear relationships between features and SoC. The following kernels are used by most of the SoC estimation.

iii. Radial Basis Function (RBF) Kernel: It captures model complex non-linear patterns in battery behavior (input data is projected into infinite-dimension space).

iv. Linear Kernel: Applicable in circumstances where the relationship is direct between features and SoC, as it may be more predictable over short time frames (temperature SoC might have a linear relation).

v. Polynomial Kernel: It models interaction between features by introducing higher-order terms and hence it is able to capture non-linearity in the relationship be-tween voltage, current and SoC [78].

vi. Optimization Objective: SVR is for Minimizing cost function which punishes the deviation out of a certain margin, from true SoC value. The optimization process tries to find the support vectors (the data points) that determine the edge of this margin. It employs epsilon-insensitive loss to ignore errors that are small in magnitude, making it suited to reduce large error in SoC predictions while is insensitive to noise within the data [76].

3.4.2.2 Essential Features of Support Vector Regression for SoC Estimation

i. Modeling Non-Linear Relationship: SVR is able to model a non-linear relationship between input features and SoC by transforming the data in a higher-dimensional space where a linear function could then be fitted. This is important in SoC estimation as the battery temperature, current, and SoC are non-linear [77].

ii. Kernel Trick: It allows SVR to efficiently compute the transformation of the input data into higher dimensions without actually performing it. It is very useful, for instance, in SoC estimation wherein the relation between the features (e.g., voltage temperature driving speed) and the SoC can be really complex [79].

iii. Regularization: The parameter (C) is introduced in SVR that manages the tradeoff between the approximation error and model complexity. This enables the network to generalize well, since SoC estimation is prone to overfitting as its performance deteriorates on the unseen driving cycles when training a specific dataset [76].

3.4.2.3 Hyperparameter Tuning in Support Vector Regression

These are the hyperparameters of the SVR model to be fine-tuned for better performance.

i. Kernel: The selection of the kernel function is very important for capturing the relationships existing between features and SoC. Most of the times, RBF kernel is used as it can capture the non-linear relationships quite well helping finding paths which were not possible using just Linear Kernel. These other kernels like polynomial or linear are still more appropriate based on the complexity of data [80].

ii. Regularization Parameter (C): C controls the trade-off between a low training error and high complexity model. High C allows the model to be fit closer to the training data, low values encourage generalization. This trade-off is particularly important in SoC estimates, as over-fit can lead to poor predictions for the underrepresented driving cycles [72].

iii. Epsilon (ϵ\epsilonϵ): A Hyperparameter that specifies a tolerance margin for penalizing predictions. Tuning the ϵ\epsilon parameter is important in SoC estimation to manage how sensitive the model is to small variations in the SoC values. A big ϵ value means that more variance is tolerated which could be desirable when it comes to SoC prediction under noisy operational conditions in the presence of substantial temperature variation [81].

3.4.2.4 Summary of Support Vector Regression

i. High-Dimensional Data Handling: SVR can be used to handle high-dimensional input data which is useful in SoC estimation since features such as voltage, current, temperature & driving conditions are all affecting the actual SoC. The kernel trick changes the input data to a higher dimension and it can model these features and SoC interactions well, SVR can capture complex relationship among these feature [82].

ii. Generalization to Unseen/New Data: SVR generalizes well, provided that the regularization parameter C as well as kernel function is estimated appropraitely. This is essential for SoC prediction as the model should be able to predict SoC under a diversity of driving cycles, ambient conditions and battery healthy conditions [79].

iii. Model Robustness: The SVR is intrinsically robust to data outliers, which complements its suitability for addressing real-world SoC estimation tasks where sensor readings (e.g., voltage and temperature) are prone to noise and variability. The epsilon-insensitive loss function enforces that small errors are not penalized, encouraging the network to focus on where large deviations from SoC predictions occur [80].

3.4.2.5 Limitations of Support Vector Regression

i. Computational Complexity - SVR can be computationally expensive, which could become problem with huge datasets since it will require to solve a quadratic optimization. In the context of real-time SoC estimation, this may restrict if it is applied in low-latency environment, a cause optimizations (e.g. sparse dataset) must be considered [81].

ii. Kernel Selection: Wrong kernal selection may results in poor performance. Although the RBF kernel has been very popular for non-linear SoC estimation, it is not necessarily always the best choice depending on the data features [77].

3.5 Proposed Framework for RUL Prediction of EV Batteries

In this proposed framework, an innovative method for live prediction of the Remaining Useful Life (RUL) of electric vehicle (EV) batteries by using a Tiny-ML framework with a TensorFlow-based deep learning model has been demonstrated (figure 2). While this model may not be new, the real key here is to run this on a power-optimized Cortex-M4 microcontroller, given by Edge Impulse. With this deployment, real-time RUL prediction can be performed on the edge device which results in better efficiency and responsiveness of Battery Management System (BMS) implemented into EVs.

3.5.1 Model Architecture

The RUL estimation model is developed with TensorFlow, a widely used deep learning structure that is able to capture complex data patterns and make predictions in dynamic environments [83]. To comply with the constraints of edge computing, the Tiny-ML framework is deployed in order to specifically tailor the model for running on low-power microcontrollers such as Cortex-M4. Without requiring much memory or computational power, Tiny-ML enables the deployment of machine learning models directly on microcontroller units (MCUs) [84].

This method is based on the capacity of deep learning to model the non-linear degradation paths of lithium-ion batteries through learning with respect to historical charge-discharge cycles and battery key parameters. TensorFlow neural networks have been specially designed to handle time-series data, they are capable of running in real-time and can calculate predictions directly on an embedded device [85]. This model directly deployed on the Cortex-M4 provides many benefits such as lower latency and no cloud dependence which is important for real time EV battery monitoring. The proposed system also benefits from on-device processing to reduce communication overhead, and hence guarantees the continual working of the system in resource limited networks [86].

3.5.2 Preparation of Data and Feature Engineering

The Hawaii Natural Energy Institute (HNEI) database is employed for training and validation of the proposed model. This dataset covers 14 NMC-LCO 18650 batteries being cycled at 25°C for over 1000 cycles and provides an exceptional data of the real-life battery degradation [87]. These extracted features include discharge time, voltage thresholds, time constants and charging characteristics that are fundamental in predicting battery life.

Feature engineering means that we select the most important variables for our model by which ensuring that train data is used effectively to learn the machine learning model. The model training is based on the profiles of currents with discharge periods and decremental voltage drops (e.g., 3.6–3.4 V), between maximum and minimum charging/discharging voltage levels, time constants for current profiles, etc. [88].

The obtained features provide an overall perspective of battery health, allowing to reveal relationships amongst significant states and remaining useful life (RUL) [89]. This dataset enables effective generalization with other EV battery datasets and ensures robustness of the proposed system due to high-quality data by HNEI. Figure 3.2 summarizes the major parameters and their processing in the model, including input features, preparing time-series data and overall structure of the proposed framework.

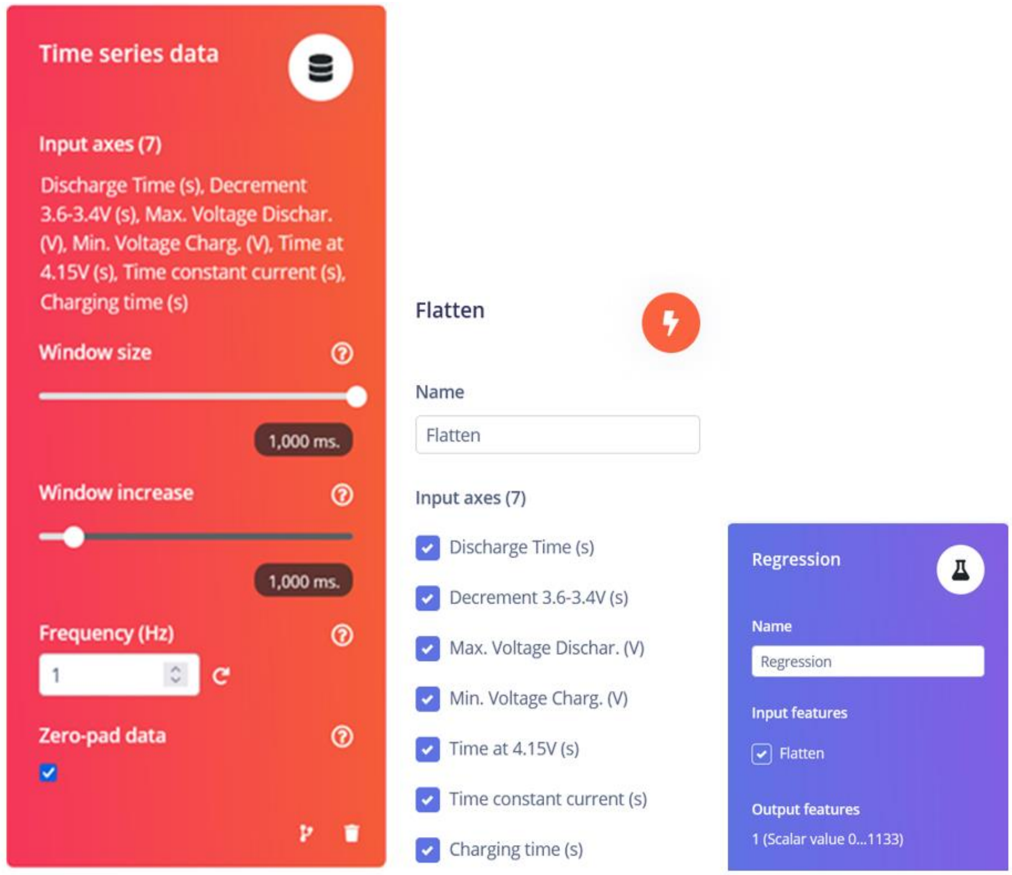

Figure 3.2: Key Parameters and Features for RUL Prediction Framework

3.5.3 Deployment on Edge Devices

The main circuit is based on Cortex-M4 which has achieved low-power, high-performance for a wide range of embedded systems. The Tiny-ML model is optimized that provides the capability of real-time inference that guarantees continuous RUL prediction and doesn't need cloud-based infrastructure [90].

Especially for Battery Management Systems (BMS) in EVs, the deployment of the RUL prediction model on the Cortex-M4 microcontroller is of great importance. This deployment facilitates real-time monitoring and autonomous decision support, hence elevating EV system dependability by barring downtimes. Estimating RUL continuously helps to decide the best time for battery replacement, which can reduce the potential occurrence of sudden battery failure and extend battery operation life [91].

3.5.4 Implications for EV Battery Management

When edge computing is utilized for RUL estimation in EVs, it comes with several crucial advantages. Firstly, it alleviates the computational load in central systems, hence enabling decentralized/real-time decision-making. Second, the autonomy of the edge device spares it from continuous connectivity, which is frequently low in remote areas or grounds with weak network infrastructure [92].

Additionally, the advance prediction of battery life helps users to plan their consumption and replacement schedules much efficiently which when translated leads to saving costs and enhancing energy efficiency. Therefore, besides EVs the presented framework can also be used for other battery dependent systems such as renewable energy storage systems [93].

CHAPTER FOUR:

MATHEMATICAL MODELING

The incorporation of mathematical modeling is an integral part of the predictive management system of batteries, especially in relation to electric vehicles (EVs). The goal of this particular chapter is to put forward the comprehensive sets of mathematical models that help estimate the State of Charge (SoC) and Remaining Useful Life (RUL) of lithium-ion batteries, which are crucial to ensure the proper and safe functioning of an EV. In this chapter three different modeling techniques are discussed; Decision Tree Regression, Support Vector Regression (SVR) and TensorFlow based Deep Learning, which all possess certain advantages factors in terms of battery state modeling. We start with a short overview of these models and then focus on the mathematical models used to describe each of them.

4.1 Mathematical Modeling for Performance Evaluation of Batteries

Mathematical methods in battery management systems are useful in solving the limitations of the SoC and RUL estimations which are particularly important for ensuring vehicle’s efficiency and performance especially when electric vehicle batteries are concerned. These models transform complicated physical and chemical processes of the battery into algorithmic forms which are easier to use in battery management. Through the application of machine learning and deep learning algorithms come up with superior models for prediction on battery state of health management that require less human interfacing.

The main goal of mathematical modelling is to model relationships between the different parameters such as voltage, current, temperature, etc. and use these relations as the basis to determine the present and the future state of the battery. In this chapter, we outline the methodology of the modeling process, considering the relevance of modeling based on Decision Tree Regression, SVR, and TensorFlow Deep Learning, which are chosen for the efficiency of SoC and RUL prediction. The models are mathematically formulated to achieve accuracy, prediction in real time and efficiency especially in devices with limited resources like edge devices.

4.2 Mathematical Model for State of Charge (SoC) Estimation in EV

4.2.1 Decision Tree Regression (DTR) Mathematical Model

i. Training and Label Vector

For decision tree analysis, multiple parameters are critical, including the training vector $TV_i \in P^n$ for each instance i = 1... n, and a corresponding label vector $Op \in P^l$, as depicted in the third block of Figure 3-1. Each instance of electric vehicle (EV) data is represented by D, which is further divided into subsets based on specific features.

ii. Data Partitioning

For each division $\beta = (j, Th_N)$, where j is the feature and Th_N is the threshold, the data is split into left $D_L(\beta)$ and right $D_R(\beta)$ subsets, a common approach in Classification and Regression Trees (CART) [94].

The division process is defined as follows:

$$D_R(\beta) = \mathrm{D}/D_{\mathrm{L}}(\beta) \tag{4.1}$$

$$D_{\mathrm{L}}(\beta) = (\mathrm{TV}, \mathrm{Op}) \mid TV_j, \leq Th_N \tag{4.2}$$

This partitioning of data is essential for minimizing the impurity within each node.

iii. Impurity Matrix

Impurity measures like the Gini index or entropy are widely used for classification, while the mean squared error (MSE) is typically used for regression tasks [95]. The impurity factor G (D, β) can be defined as follows, depending on whether the problem is one of classification or regression:

$$G(\mathrm{D}, \beta) = \frac{n_{\mathrm{L}}}{n_N} H(D_{\mathrm{L}}\,(\beta)) + \frac{n_{\mathrm{R}}}{n_N} H(D_{\mathrm{R}}\,(\beta)) \tag{4.3}$$

iv. Mean Value and Impurity for Regression Nodes

For regression problems, where the goal is predicting continuous values, the model minimizes the mean square error at each node, with P_N representing the node and η_N the number of observations. The calculation for MSE is defined as:

$$C_N = \frac{1}{\eta_N} \sum_{i \in \eta_N} Op_i \tag{4.4}$$

The impurity, represented by H (TV_N), is then computed by measuring the variance of the outputs around the node's predicted value:

$$H(TV_N) = \frac{1}{\eta_N} \sum_{i \in \eta_N} (Op_i - C_N)^2 \tag{4.5}$$

This method aligns with the decision tree framework of minimizing variance or maximizing information gain [96].

Modern enhancements in decision trees include optimisations like cost-complexity pruning to balance bias and variance trade-offs and more advanced splitting techniques, such as oblique splits, which enhance the tree’s interpretability and accuracy by adjusting decision boundaries to better fit the data geometry [97]. These developments ensure that decision trees remain a powerful tool for both classification and regression, enabling efficient and interpretable models across a wide range of applications.

4.2.2 Support Vector Regression (DTR) Mathematical Model

The State of Charge (SoC) of electric cars is estimated using the Support Vector Machine (SVM) regression model. This model determines the best hyperplane that maximizes the margin between classes of data, proving especially effective for linearly separable data [98].

i. Preliminary Mathematical Formulation of Support Vector Machine

The primary objective of SVM is to minimize the subsequent function:

$$\min \frac{1}{2} \parallel w \parallel^2 \tag{4.6}$$

When limited to the following restrictions:

$$Op_i[(w \cdot TV_i) + \mathrm{Q}] - 1 \geq 0, i = 1, \dots N \tag{4.7}$$

Where:

- w is the slope of linear discriminant function;
- Q is intercept;
- $(TV_i, Op_i),\ i = 1, \dots N$ is the training sample.

This constraint makes sure the accurate classification of all data points. In real-world scenarios, achieving perfect classification is typically impractical due to noise or data overlap. To resolve this, a slack variable (ξ) is introduced to permit a degree of misclassification, hence enhancing the model's adaptability and tolerance to errors [99].

i. Induction of Slack variable For Fault Tolerance

Utilizing slack variables permits a certain level of error by easing the requirement that all training points be ideally separated by the hyperplane:

$$Op_j\left[\left(w \cdot TV_j\right) + Q\right] \geq 1 - \xi_i,\ i = 1, \dots N,\ \xi_j \geq 0, i = 1, \dots N \tag{4.8}$$

The use of slack variables enhances the durability of the SVM model by balancing bias and variance, hence facilitating improved generalization to fresh data [100].

ii. Optimization with Penalty Term

To mitigate misclassification while continuously optimizing the margin, a penalty term $Py\sum_{i=1}^{N}\xi_i$ is incorporated to penalize any breaches:

$$\min \frac{1}{2} \parallel w \parallel^2 + Py\sum_{i=1}^{N} \xi_i \tag{4.9}$$

When restricted to the following limitations:

$$Op_j\left[\left(w \cdot TV_j\right) + Q\right] \geq 1 - \xi_i, i = 1, \dots N,\ \xi_j \geq 0, i = 1, \dots N \tag{4.10}$$

This optimization prevents overfitting, hence improving the model's capacity to generalize to unidentified data.

iii. Handling Nonlinear Data with Kernel Functions

The aforementioned method is successful solely when the data is linearly separable. In practical datasets, multiple circumstances contain nonlinear interactions. A nonlinear mapping TV→μ (TV) is employed to convert the data into a higher-dimensional space, rendering it linearly separable.

$$\min \quad \frac{1}{2} \parallel w \parallel^2 + Py \sum_{i=1}^{N} \xi_i \tag{4.11}$$

When restricted to the following limitations:

$$Op_j\left[\left(w \cdot TV_j\right) + Q\right] \geq 1 - \xi_i, i = 1, \dots N,\ \xi_j \geq 0, i = 1, \dots N \tag{4.12}$$

iv. Lagrange Function and Dual Representation

Lagrange function definition for solving the optimization problem is:

$$L(w, Q, \alpha, \xi) = \frac{1}{2}|u|^2 + Py \sum_{i=1}^{N} \xi - \sum_{\mathrm{i}=1}^{N} \alpha(Op(w \cdot \mu(TV)) + Q - 1 + \xi) - \sum_{i=1}^{N} \pi\xi \tag{4.13}$$

α_i and π_i are Lagrange multipliers related to the classification constraints and slack variables, respectively [100].

v. Deriving the Partial Differentials and Final Model

By computing the partial derivatives of the Lagrange function (Equation 29) with respect to w and Q, we obtain formulas for w and Q utilizing the nonlinear mapping μ (TV). This leads to the following outcomes:

$$w = \sum_{i=1}^{N} \alpha_i Op_i \mu(TV_i) \tag{4.14}$$

In this context, w is represented as a linear combination of the feature vectors (TVi), weighted by the Lagrange multipliers αi and the output labels Opi. This representation indicates that the ideal hyperplane in the transformed space is determined by the contributions of the training samples.

Likewise, the value of the intercept Q can be obtained using:

$$Q = Op_i - \sum_{i=1}^{N} \alpha_i Op_i \left(\mu(TV_i) \cdot \mu(TV_j)\right) \tag{4.15}$$

This equation 31 enables the computation of Q by the correlation of training points within the higher-dimensional feature space, where $\mu\ (TVi) \cdot \mu\ (TVj)$ denotes the inner product of two transformed vectors.

vi. Simplified Dual Formulation

By inserting the outcome of Equation (31) into Equation (27), we obtain an improved dual formulation of the SVM problem, which seeks to maximize the objective function:

$$\max \sum_{i=1}^{N} \alpha_i - \frac{1}{2} \sum_{i=1}^{N} \sum_{i=1}^{N} Op_j Op_j \alpha_i \alpha_j \left(\mu(TV_i) \cdot \mu(TV_j)\right) \tag{4.16}$$

$$\sum_{i=1}^{N} Op_i \alpha_i = 0, i = 1, \dots N, \alpha_i \in [0,1], i = 1, \dots N$$

In this formulation:

a. The nonlinear mapping μ (TV) is no longer represented as an independent function. Rather, it emerges within the inner product μ (TV j) · μ (TV j).

b. This is notable because it implies that the decision function can be derived by calculating the inner product without requiring explicit knowledge of the precise form of the mapping function μ (TV). This process is facilitated by kernel functions, an effective characteristic of SVM that enables efficient operation in higher-dimensional domains without necessitating computationally intensive transformations.

vii. Training and Solution for Optimal Parameters

Training the Support Vector Regression (SVR) model necessitates addressing the optimization problem indicated by Equation (32), according to the conditions of optimality. The optimal Lagrange multipliers are represented as:

$$\alpha^* = \alpha_1{}^*, \ldots, \alpha_N{}^*$$

After determining the optimal values of α*, they can be substituted into Equation (28) to obtain the optimal value of the intercept Q. The resultant SVR function can be expressed as:

$$f(x) = \sum_{j=1}^{N} \alpha_i^* Op_j \left(\mu(\mathrm{TV}) \cdot \mu(TV_j)\right) + Op_j - \sum_{j=1}^{N} \alpha_i^* Op_j \left(\mu(TV_j) \cdot \mu(TV_j)\right) \tag{4.17}$$

viii. Interpretation and Application in SVM Regression

The resultant SVR function denotes the expected outcome as a weighted summation of the inner products between the input features and the support vectors in the transformed space. This formulation allows the model to effectively manage non-linear relations through the kernel approach, thus converting the original feature space into one where linear separation is feasible.

The kernel technique enables the support vector machine (SVM) to compute the dot product ($\mu(\mathrm{TV}_i) \cdot \mu(\mathrm{TV}_j)$) indirectly via a kernel function, $K(\mathrm{TV}_i, \mathrm{TV}_j)$, without the necessity of explicitly determining the transformation μ(TV). This is a fundamental characteristic of SVMs that allows them to effectively address complicated, non-linear problems.

ix. Iterative Optimization for Error Minimization

The optimization of the SVM model comprises an iterative procedure in which the parameters of the Lagrange multipliers and intercept are modified throughout numerous iterations to decrease the error. This iterative procedure indicates that the model converges to a solution that optimally fits the training data while preserving a high degree of generalization for accurate predictions on unknown data. This method significantly enhances the accuracy and robustness of the proposed regression model for State of Charge (SoC) estimation in electric vehicles.

4.3 Mathematical Model for Remaining Useful Life (RUL) Estimation

Accurate estimation of the Remaining Useful Life (RUL) of electric vehicle (EV) batteries plays a key role in the reliability, durability, and efficiency control over battery management system. Knowing this allows to schedule maintenance ahead of time, reduce or avoid breakdowns and maximize battery runtime. In this section, we discuss an innovative mathematical formulation to predict the RUL using TensorFlow based deep learning in edge devices via the Tiny-ML framework on microcontroller Cortex-M4. Ability to perform RUL prediction on low-power hardware make it possible for a continuous monitoring with real-time maintenance thereby equipping the EVs with autonomy in battery utilization and management [101].

4.3.2 TensorFlow-Based Neural Network for RUL Prediction

One of the aims of the neural network modeled in Tensor Flow is to simulate the degradation patterns of the battery. It achieves this by using a multi-layer network that captures, to a certain degree, various nonlinear attributes associated with battery operation. The forward pass for the lll^{-th} layer (apart from the input layer) is as follows:

$$\begin{aligned} z^{[l]} &= W^{[l]} \cdot a^{[l-1]} + b^{[l]} \\ a^{[l]} &= \mathrm{ReLU}\left(z^{[l]}\right) \end{aligned} \tag{4.18}$$

Where:

- $\boldsymbol{W}^{[\boldsymbol{l}]}$ is the weight matrix for the lll-th layer,
- $\boldsymbol{b}^{[\boldsymbol{l}]}$ is the bias vector,
- $\boldsymbol{a}^{[\boldsymbol{l-1}]}$ is the activation from the previous layer, and
- **ReLU** is the Rectified Linear Unit activation function [102].

Backward Pass computes the gradients of the loss function L w.r.t the parameters using gradient descent. Gradients for the output layer is calculated as follows:

$$\frac{\partial \mathcal{L}}{\partial z^{LL}} = \hat{y} - y \tag{4.19}$$

$$\frac{\partial \mathcal{L}}{\partial W^{[L]}} = \frac{\partial \mathcal{L}}{\partial z^{LL}} \cdot a^{[L-1]^T} \tag{4.20}$$

$$\frac{\partial \mathcal{L}}{\partial b^{LL}} = \frac{\partial \mathcal{L}}{\partial z^{LL]}} \tag{4.21}$$

The gradient descent equations for the hidden layers are as follows:

$$\frac{\partial \mathcal{L}}{\partial z^{l!}} = \frac{\partial \mathcal{L}}{\partial a^{l]}} \cdot \frac{\partial a^{[l]}}{\partial z^{l!}} \tag{4.22}$$

$$\frac{\partial \mathcal{L}}{\partial W^{[l]}} = \frac{\partial \mathcal{L}}{\partial z^{l!}} \cdot a^{[l-1]^T} \tag{4.23}$$

$$\frac{\partial \mathcal{L}}{\partial b^{l]}} = \frac{\partial \mathcal{L}}{\partial z^{[l}} \tag{4.24}$$

These are repeated through many epochs over the training process so that model can tune its parameters and minimize the loss. Such optimization process could improve the accuracy of RUL prediction [103].

4.3.3 Comparison with Support Vector Machines (SVM)

Besides neural networks, Support Vector Machines (SVM) are often used for RUL prediction, in case of linear separability in the data. SVM works by finding a hyperplane that best separates the data points, which maximizes the margin between different classes. Objective function for SVM is formulated as:

$$\min_{w,b} \frac{1}{2} \| w \|^2 \tag{4.25}$$

$$y^{(i)}\left(w^T x^{(i)} + b\right) \geq 1 \text{ for } i = 1,2,\dots,m \tag{4.26}$$

Where:

- w is the weight vector,
- b is the bias term,
- $x^{(i)}$ are the input vectors, and
- $y^{(i)}$ are the corresponding class labels [104].

SVM works well in most conditions in solving classification problems in a linear way. While RUL predictions are based on deterioration of batteries which is a very non-linear problem, SVM may not be as effective in pattern recognition as deep learning models. Still SVM still appear to be a good option whenever the datasets are not bulky and complex [105].

4.3.4 Comparison with Decision Tree Regression

In solving the RUL estimation problem, it is reasonable to use the DTR method as another benchmark. DTR divides the dataset recursively into subsets according to those attributes that provide the least expansion of the target variable. The splitting criterion is represented by:

$$J(s,t) = \frac{m_{\text{left}}}{m} \text{Var}\left(y_{\text{left}}\right) + \frac{m_{\text{right}}}{m} \text{Var}\left(y_{\text{right}}\right) \tag{4.27}$$

Where:

- $\boldsymbol{m}_{\text{left}}$ and $\boldsymbol{m}_{\text{right}}$ represent the number of samples in the left and right splits,

- $\boldsymbol{y}_{\text{left}}$ and $\boldsymbol{y}_{\text{right}}$ are the target values for the respective splits,
- $\mathbf{V_{ar}}$ stands for the variance of the target values [106].

Decision Trees are easy to understand. However, they tend to overfit and do not generalize well to new data. Moreover, their predicting power is not good in terms of capturing the intricate nonlinear degradation behaviors of the EV battery systems. [107]. An optimizer like Adam is used to minimize this loss function by optimizing the model parameters in a way that error in prediction is reduced with each iteration.

4.3.4.1 Deployment on Edge Devices

The trained model is deployed on a Cortex-M4 microcontroller using the Tiny-ML framework, allowing for real-time RUL prediction directly on the edge device. This deployment is particularly advantageous for EVs as it provides on-device inference capabilities, reducing latency and improving responsiveness in maintenance decisions. The low-power requirements of the Cortex-M4 ensure that continuous monitoring of the battery can be performed without significantly impacting the vehicle's power consumption.

4.3.5 Summary of TensorFlow-Based Model

The TensorFlow-based neural network architectures were considered to be the best models for RUL prediction owing to their efficacy in identifying more intricate and complex battery degradation trends. In this case, the use of deep learning brings great benefits in terms of accuracy and the degree of overfitting over the traditional Support Vector Machines (SVMs) or Decision Tree Regression (DTR) after large data training. Also, the implementation on low power hardware like Cortex-M4 shows the feasibility of the approach concerning real-time edge computing devices used in battery management systems for electric vehicles.

4.4 Comparative Analysis of Models for SoC and RUL Prediction

4.4.1 Model Complexity vs. Interpretability

Since Decision Tree Regression provides a clear visualization of decision rules, making it easier to interpret and the user can easily get an idea about which features are used for estimation of SoC. Alternatively, the model can also overfit if pruned improperly, due to our simple model.

In contrast, Support Vector Regression (SVR) allows kernel functions capable of modelling complex relationships, giving a better prediction for non-linear data at the expense of losing interpretability. Powerful though it may be, the SVR model is computationally bulky, particularly when working with high-dimensional data.

In the scaling strategy, Deep Learning (Tensorflow model) is the most complex estimation method and it can learn complicated relationships directly from data. But it is also the most sophisticated model and uses large computational resources for training. Models like these are not as interpretable as Decision Trees or even SVR, though techniques such as Layer-wise Relevance Propagation (LRP) can help us to explain model predictions up to a certain extent.

4.4.2 Accuracy and Generalizability

The Decision Tree Regression model is good at capturing simple relationships but significantly lacked the ability to generalize when new and unseen data was fed into it,i.e overfitting.

SVR was more accurate, especially in the presence of non-linear relationships in the data. This ensured that the SVR was able to handle the dataset variance better than Decision Trees since Gaussian or Polynomial kernels were used.

Deep Learning Models to predict RUL performed better than all other methods in terms of accuracy, as they are able to directly learn from the raw high-dimension data. The model had good generalization if it had enough data to learn, which was tested on new test points.

4.4.3 Scalability and Computational Requirements

One of the appealing features of Decision Tree Regression is its computational efficiency, which can be an asset when the application is intended for use in devices with limited computational capacity. The drawback of this approach, however, is its scalability limitation when used against very huge datasets or features with too much variance.

SVR is effective but computationally very expensive, particularly in training phase and more so with non-linear kernels. This requirement can be a limiting factor in scenarios where resources are constrained.

In case of deep learning models developed in TensorFlow and Tiny-ML, these models impose high computational costs whenever they are in the training phases but after training, the models are very suitable for real time inferences on peripheral devices like the Cortex-M4 microcontroller. Deep learning thus becomes a logical measure to implement in EVs where decisions have to be made on battery management within short time durations.

4.5 Summary of Mathematical Modelling

This chapter covered three primary methods of Model Building for Estimating state of charge (SoC) and Remaining Useful Life(RUL) if EV batteries: Decision Tree Regression, Support Vector Regression(SVR), and TensorFlow based Deep Learning. Decision Trees is easy to interpret, SVR is highly flexible and Deep Learning provides high accuracy. However, these benefits come with corresponding trade-offs in complexity, scalability and computational demands. Utilizing these models to operate within the objective set of overall improvement in the reliability, safety and performance of electric vehicle battery systems supports a wider movement toward sustainable transport solutions.

CHAPTER FIVE:

RESULTS AND ANALYSIS

Precision estimation of the state of Charge (SoC) and Remaining Useful Life (RUL) is important to improving the performance, efficiency, and safety of electric vehicle batteries. This chapter presents the results of implementing Decision Tree Regression, Support Vector Regression (SVR), and TensorFlow neural networks for SoC and RUL predictions, which serve as key findings to improve Battery Management Systems (BMS).

SoC estimation aims to quantify the remaining charge in batteries, which is imperative for energy management. There are two scenarios each for summer and winter trips. In Scenario-1, the Decision Tree model has shown good performance, having low Mean Squared Error (MSE) over summer trips; i.e., our model can predict these days well. Scenario 2 utilizes the SVR model, which performs well, but pressures on real-time data points are not ideal. It highlights that dynamic environments require further refinements in predictive modeling.

Similarly, we need to estimate RUL (Remaining Useful Life), which allows maintenance on time and helps the battery run longer. The TensorFlow-powered neural network runs on a Cortex M4 microcontroller and can be both high-accuracy and usable in real-time due to its efficient use of resources. The following comparisons between the Decision Tree, SVR, and TensorFlow models illustrate that in the case of static models, TensorFlow is better at deploying in real-time.

In this chapter, a comparative analysis of these models are presented concerning to metrics such as MSE and accuracy along with resource consumption. The key findings from this research highlight the necessity of well-tuned machine learning models in increasing BMS dependability as well as predictive capacity, leading to proactive maintenance and optimal battery operation. Next, in the subsequent two sections a comprehensive analysis of SoC and RUL estimations are provides with visualizations and performance metrics.

5.1 State of Charge (SoC) Estimation Results

Precise estimation of State of Charge (SoC) is critical in the reliability and efficiency improvements for Battery Management Systems (BMSs) employed in electric vehicles. The SoC estimation models will predict the available energy in the battery based on which distributed algorithms will be scheduled to optimize battery usage and help recharge it occasionally. This section explains the results of SoC estimation with Decision Tree Regression and Support Vector Model (SVR) machine learning models. The tests were conducted on the dataset of 32 trips in summer conditions, and hence, this represents a comprehensive evaluation of multiple scenarios. The accuracy of these models is primarily accessed by their Mean Squared Error (MSE) performance.

5.1.1 Scenario 1: Decision Tree Regression Results

Predict the SoC of each trip — a Decision Tree Regressor is applied in this case. The model's objective is to reduce the MSE so that it tells more about unknown charges in lithium-ion batteries. In figure 5.1, MSE values are plotted for each of the 32 trips during summer, and the red dashed line represents an average error. The model had an MSE of 0.0118 on average, which is a pretty good result, showing that the Decision Tree

Regression can be used for SoC estimation when the EV is not moving with uniform speed and needs to predict future values using historical data.

Figure 5-2 provides a detailed analysis of the results of the first trip. The figure describes predicted SoC values being similar to true on preliminary trips. The point is that the relevance of consistency in its predictions with respect to different intervals will support that the Decision Tree model can trace unstated trend knowledge about battery charge levels.

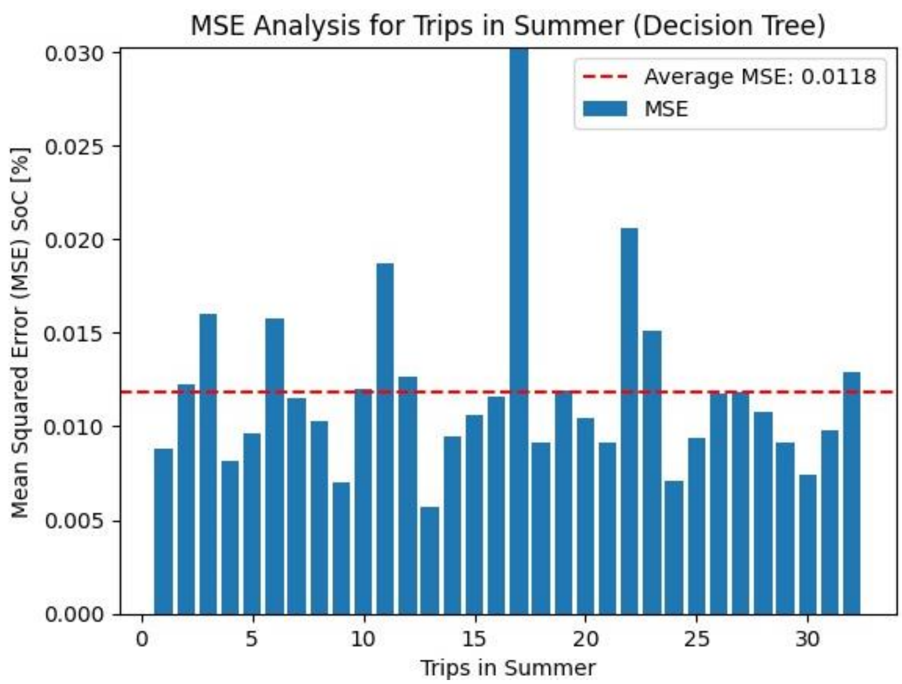

Figure 5.1: MSE analysis for SoC using Decision Tree

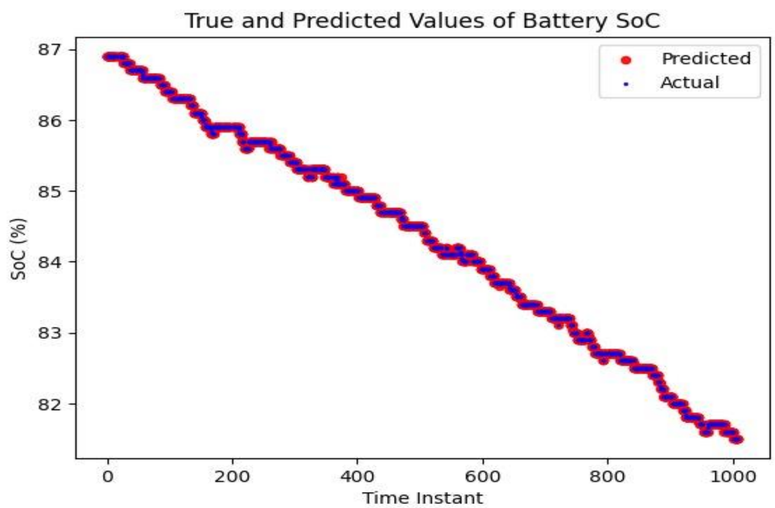

Figure 5.2: True and Predicted values of SoC using Decision Tree

5.1.1.1 Battery Voltage Estimation

Battery voltage values were also examined to improve the reliability of the model. The MSE battery voltage predictions were determined on every trip, with the mean MSE value amounting to 0.0977 (Figure 5.3). As such, this metric offers an additional comparative evaluation of the model's efficiency in estimating the battery's voltage capacity in conjunction with SoC.

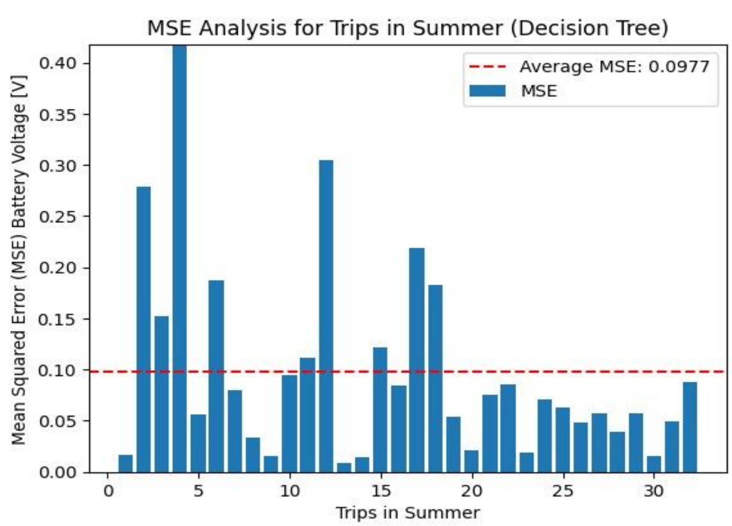

Figure 5.3: MSE analysis for Battery Voltage using Decision Tree

For the first trip, Figure 5.4 compares the predicted and true battery voltage values, showing a good correlation between the two sets of data. The model predicted the changes in the voltage value, further proving its capability to make projections of such dynamic characteristics.

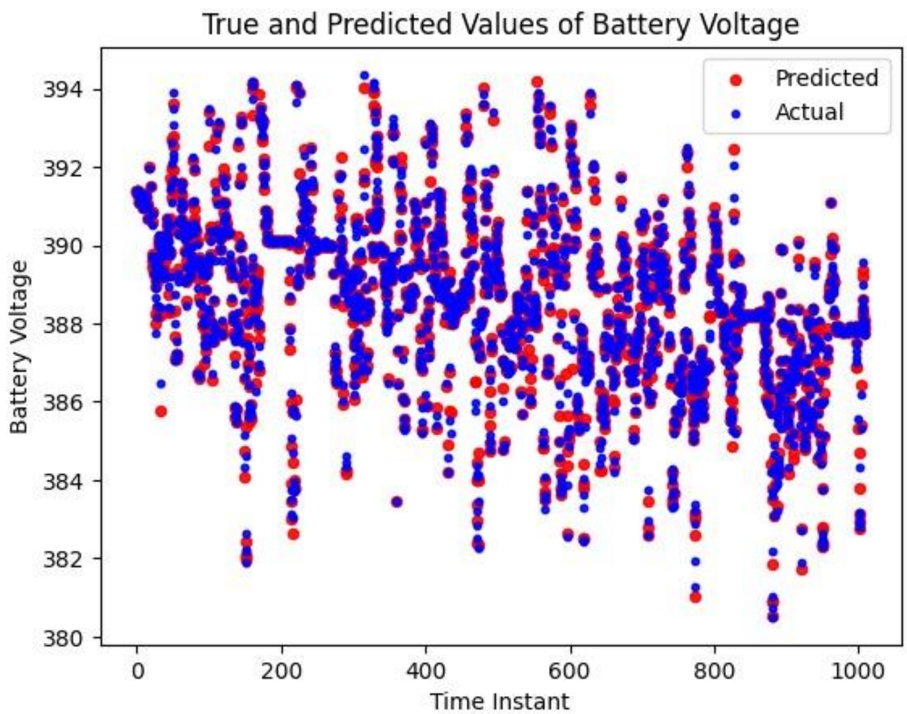

Figure 5.4: True and Predicted values of Battery Voltage using Decision Tree

5.1.1.2 Cabin Temperature Estimation

The estimation of the battery's SoC is wider than this variable since the cabin temperature sensor values were also considered to test the model's functionality. The investigation of the MSE for the cabin temperature sensor measurements during these summer trips led to an average MSE of 0.2443, as represented in Figure 5.5. This study enhances the understanding of how the Decision Tree model applies to the various parameters.

Figure 5.6 illustrates temperature true and predicted values for the initial trip, reinforcing the model's ability to keep the cabin temperature within the desired level.

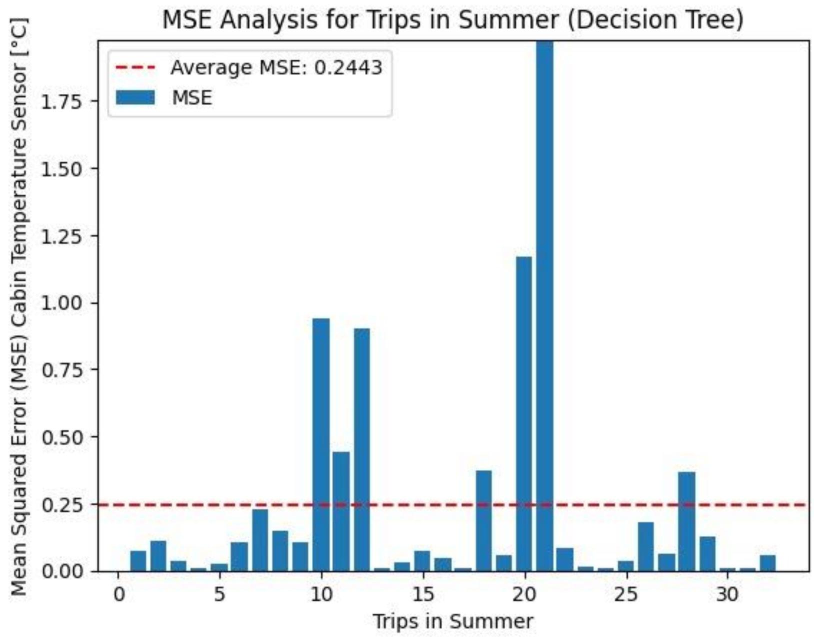

Figure 5.5 MSE analysis for Cabin Temperature using Decision Tree

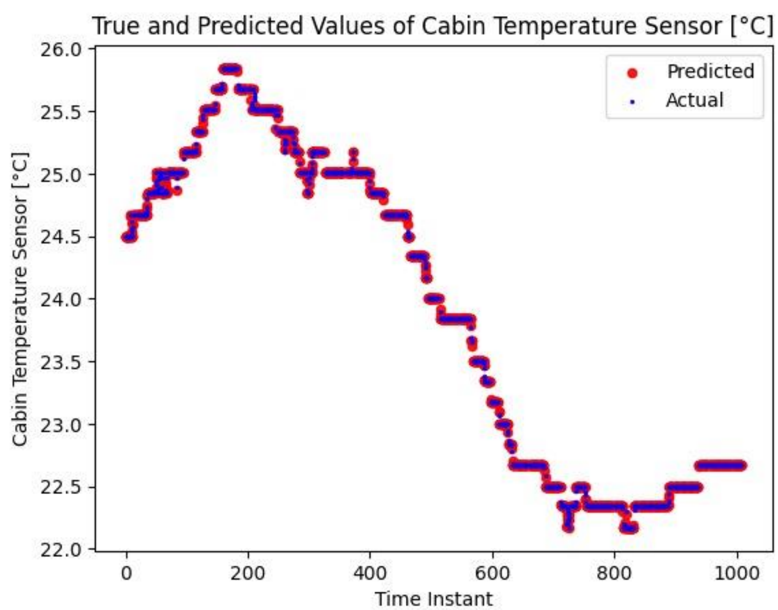

Figure 5.6 True and Predicted values of Cabin Temperature using Decision Tree

5.1.2 Scenario 2: Support Vector Regression Results

The Support Vector Regression (SVR) model was applied to the second scenario to estimate the SoC values. Hyperparameter tuned the SVR model, resulting in an average MSE of 0.0142 across all trips (Figure 5.7). This implies that although SVR predictions are quite accurate, they are not as efficient as the decision tree model in this instance.

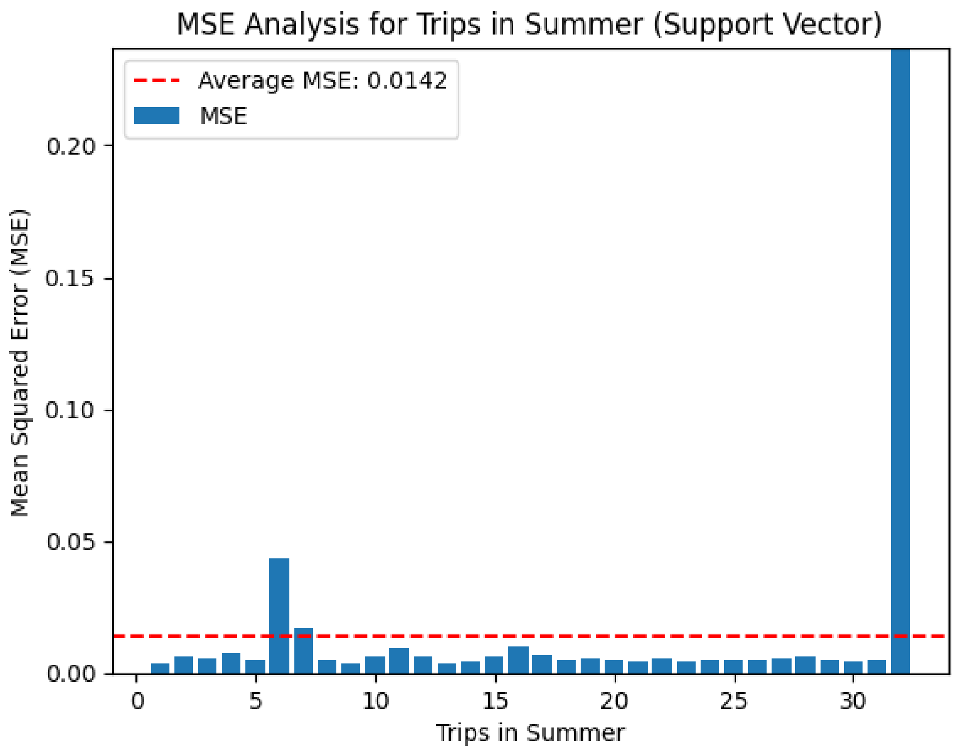

Figure 5.7: MSE analysis for SoC using SVM

Figure 5.8 shows the SoC estimations of the SVR model for Trip 1. Overall, the estimations are close to the true values; however, deviations can be seen in some time instances, showing potential areas for improvement.

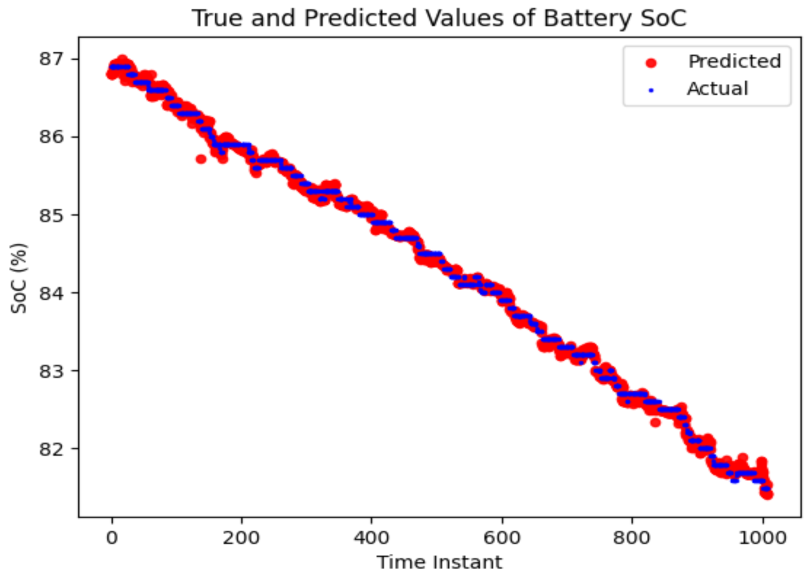

Figure 5.8: True and Predicted values of SoC using SVM

5.1.2.1 Battery Voltage Estimation

The SVR MSE for estimating battery voltage was computed to be 0.0564 using Figure 5.9 only. This MSE is of lower value compared to the decision tree model due to the nature of the trips that the model caters for the variation in volts.

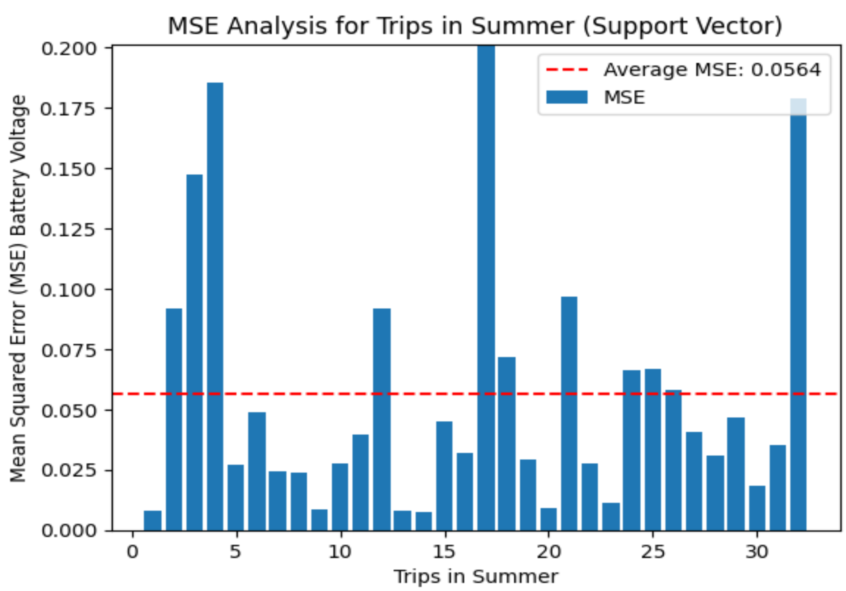

Figure 5.9: MSE analysis for Battery Voltage using SVM

Figure 5.10 presents the battery's voltage under the first trip: the actual voltage on the first trip and the predicted voltage on the first trip of the SVR model, proving that the model is effective in capturing voltage dynamics.

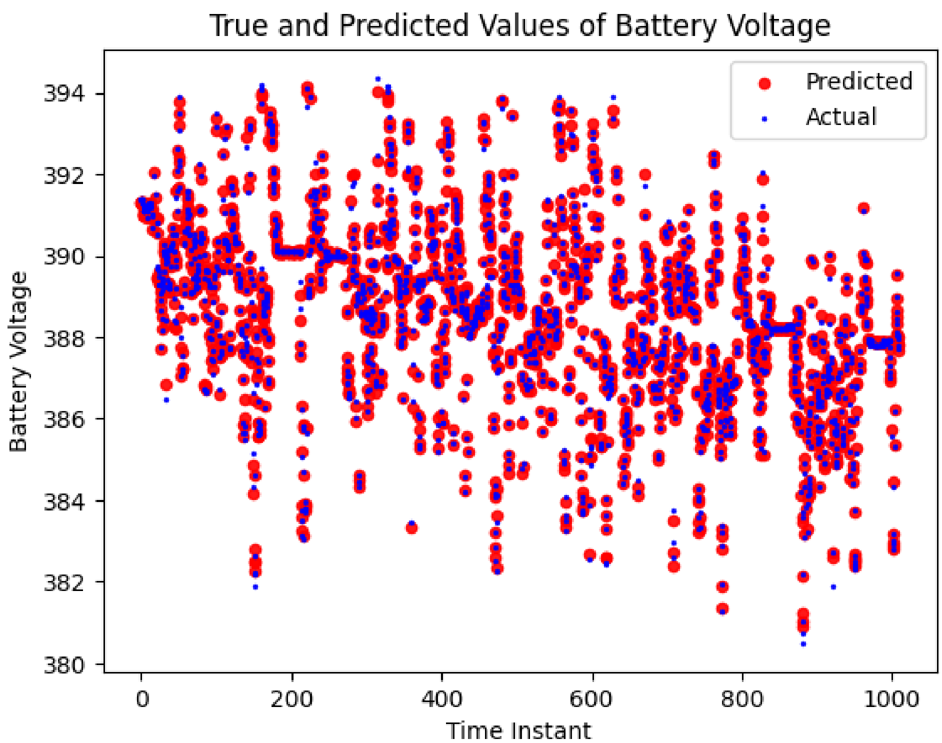

Figure 5.10: True and Predicted values of Battery Voltage using SVM

5.1.2.2 Cabin Temperature Estimation

An analysis of cabin temperature estimation using the SVR model has also been carried out. This analysis concluded that the SVR average MSE was 0.0144, which is better than this metric's decision tree model. Figure 5.11 depicts the MSE of SVR for estimating cabin temperature during trips.

Figure 5.12 includes the cabins expected and measured temperature values for day one. The model adequately estimates the cabin temperature level since the predictions greatly agree with the actual values.

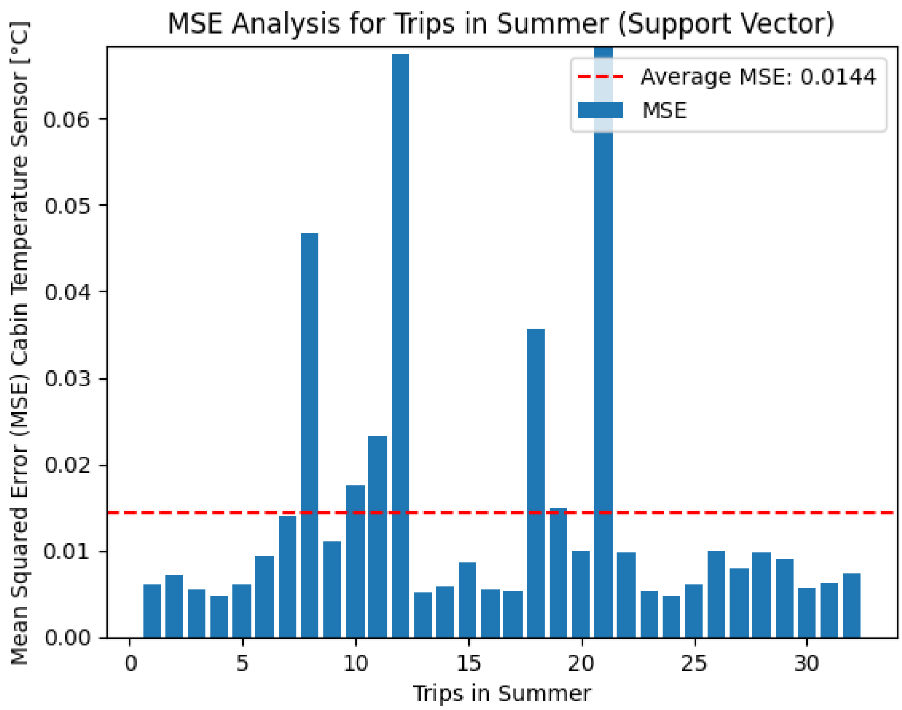

Figure 5.11: MSE analysis for Cabin Temperature using SVM

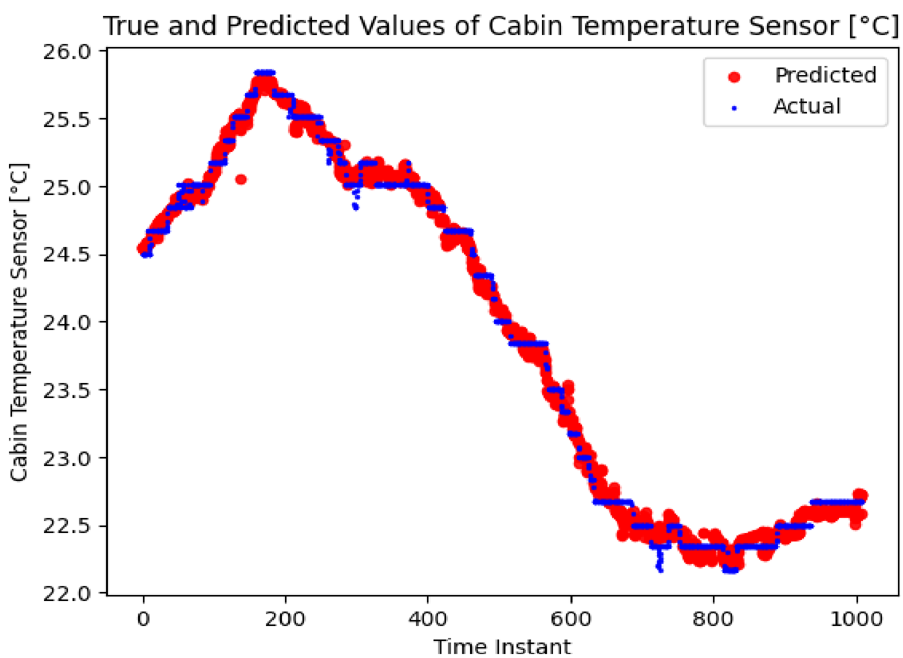

Figure 5.12: True and Predicted values of Cabin Temperature using SVM

The Decision Tree and SVR outputs suggest that machine learning algorithms have good potential for SoC estimation. The Decision Tree model is marginally better regarding MSE values and SoC and battery voltage estimations than the SVR model. On the contrary, SVR was relatively more accurate in estimating the values of cabin temperature, hence beneficial for a broader range of applications.

5.2 Remaining Useful Life (RUL) Estimation Results

Estimating the remaining useful life (RUL) of EV batteries as accurately as possible is crucial for battery management, condition-based maintenance, and vehicle operability. This study investigates the ability to predict battery RUL using machine learning models: Tensorflow neural networks, Decision Tree regression, and Support Vector Machine (SVM) models. Such models are evaluated concerning RUL estimation on both accuracy and Mean Squared Error (MSE) for assessment of potential application.

Among these models, the TensorFlow-based computational model implemented in tiny-ML on the cortex-m4 microcontroller is expected to be most suitable for resource-constrained edge computing. This part presents the performance and comparative studies of the models based on a few different parameters.

5.2.1 Training and Configuration Details

It's crucial to emphasize the importance of the parameters used during training as they significantly impact the model's performance. These parameters include the mean, rms, and skewness values used to create features from the dataset. In Figure 5.13, the most important training parameters are assessed.

In Figure 5.14, we observe that the TensorFlow model is suitable for real-time applications due to its low RAM requirements and processing latency. The model has a processing time of 1 ms and uses approximately 252 bytes of RAM at peak, making it highly practical for a microcontroller-based environment while maintaining high prediction accuracy.

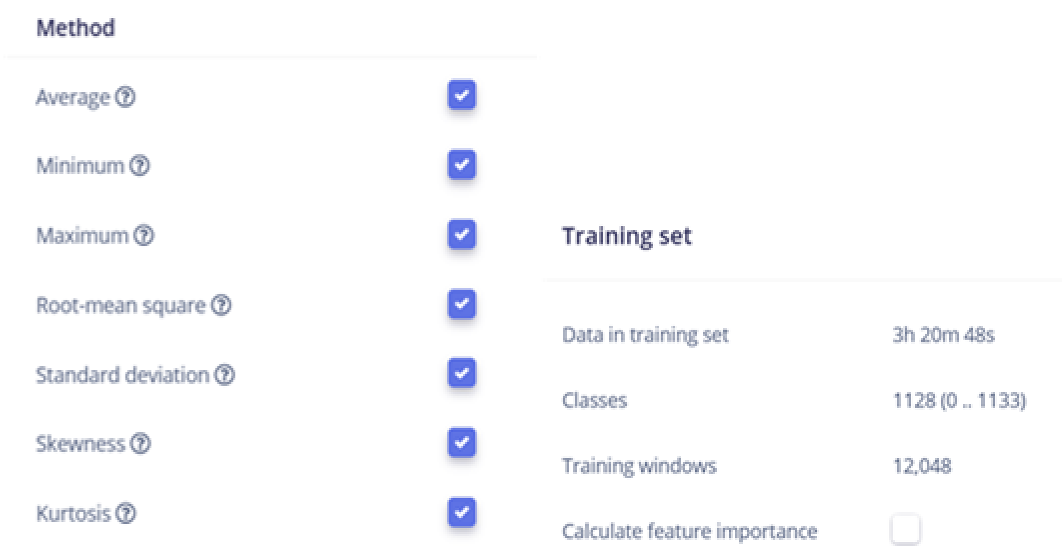

Figure 5.13: Method and details of Training Parameters

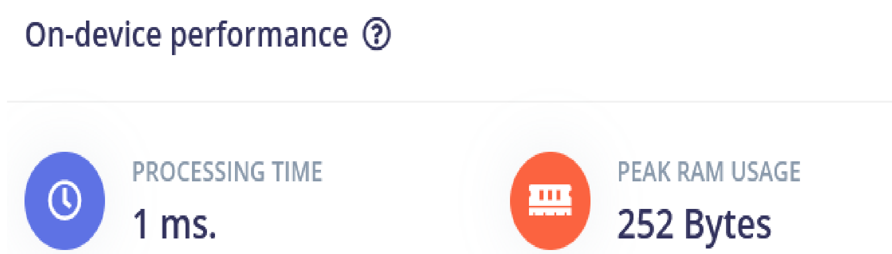

Figure 5.14: Peak Time and Peak RAM Usage

The model's configuration included 100 training cycles, a learning rate of 0.005, and a validation set size of 20%, as shown in Figure 5.15. These settings helped the model learn the data's patterns without the risk of overfitting.

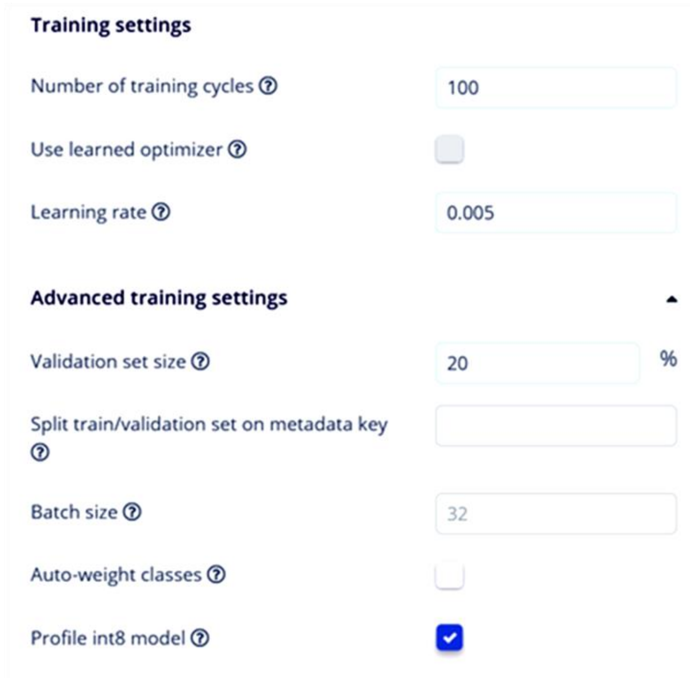

Figure 5.15: Training Parameters Settings

5.2.2 Performance Analysis of TensorFlow Neural Network

The performance of the Tensorflow Model has further improved to a mean square error of 14,296.06 with 92.81% accuracy. Figure 5.16 displays the critical parameters of discharge time and voltage decrement during training. In Figure 5.17, the graph illustrates several cases, comparing the true value with the predicted value, demonstrating the accuracy performance of the model. These visualizations also reinforce the point that the model can effectively learn complex temporal relationships, which are crucial for estimating the remaining useful life of equipment.

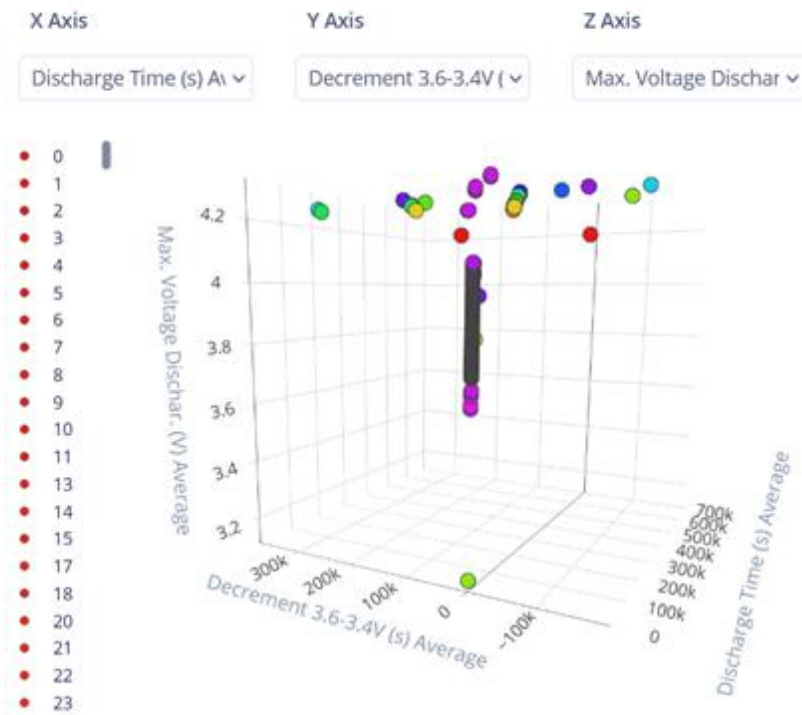

Figure 5.16: Training Pattern of Various Parameters

5.2.3 Sample Data and Real-Time Accuracy

Figure 5.18 illustrates the model's accuracy and mean squared error during the testing phase. The estimation outcomes are further examined with sample data, as shown in Figure 5.19, where the expected outcome, true results, and prediction errors are displayed for individual samples. This visualization helps in understanding the distribution of errors across the dataset, identifying areas for further model improvement.

5.3.4 EON Compiler-Based Performance

The model's performance was also assessed internally within the EON Compiler. EON Compiler is designed to deploy models for the edge by optimizing and compressing, e.g., memory usage. Figure 5.20 illustrates a comparative analysis of the quantized and the model that has yet to be optimized for performance. The quantized model had lower memory allocation than the unoptimized model but slightly lost accuracy performance against its unoptimized version.

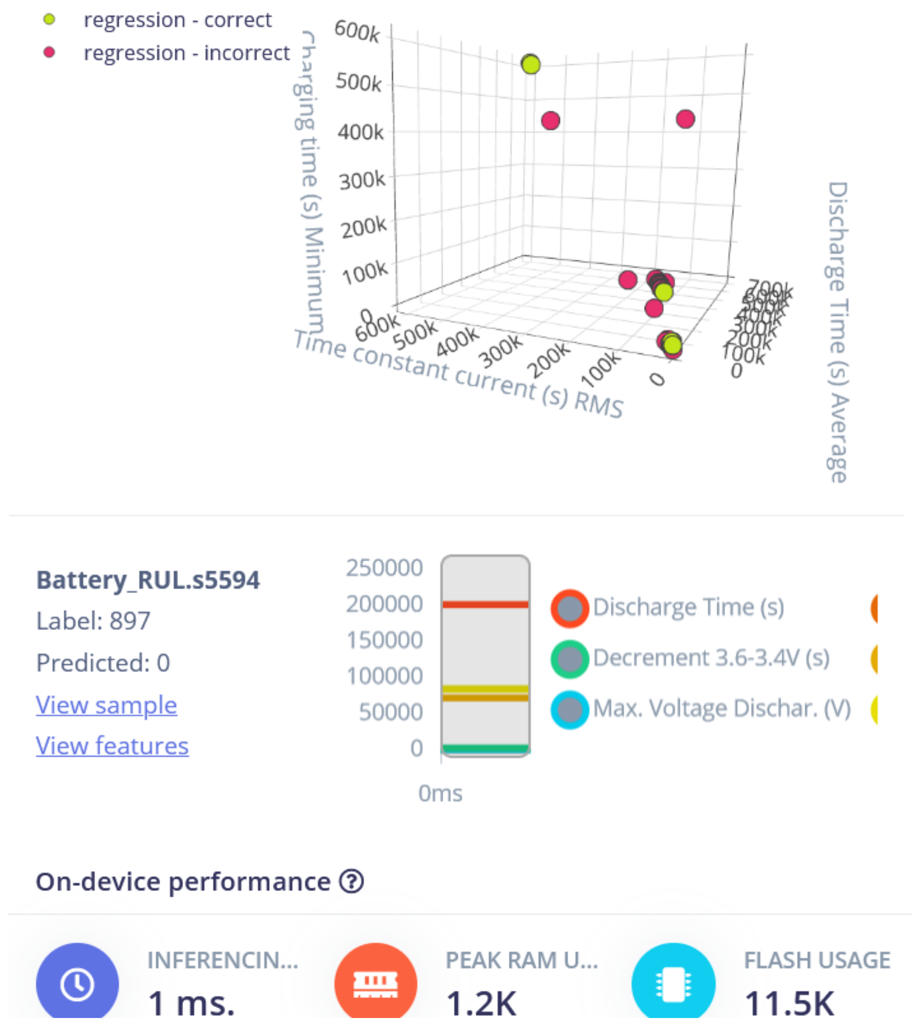

Figure 5.17: True value and predicted value of data samples

5.2.5 Comparison of TensorFlow, Decision Tree, and SVM Models

The TensorFlow model's performance was compared to that of models such as Decision Tree and Support Vector. The Decision Tree model achieved 98% accuracy on non-real-time datasets, as shown in Figure 5.21. However, its predictive accuracy dropped to 68% in real-time scenarios, indicating challenges in maintaining accuracy in such situations.

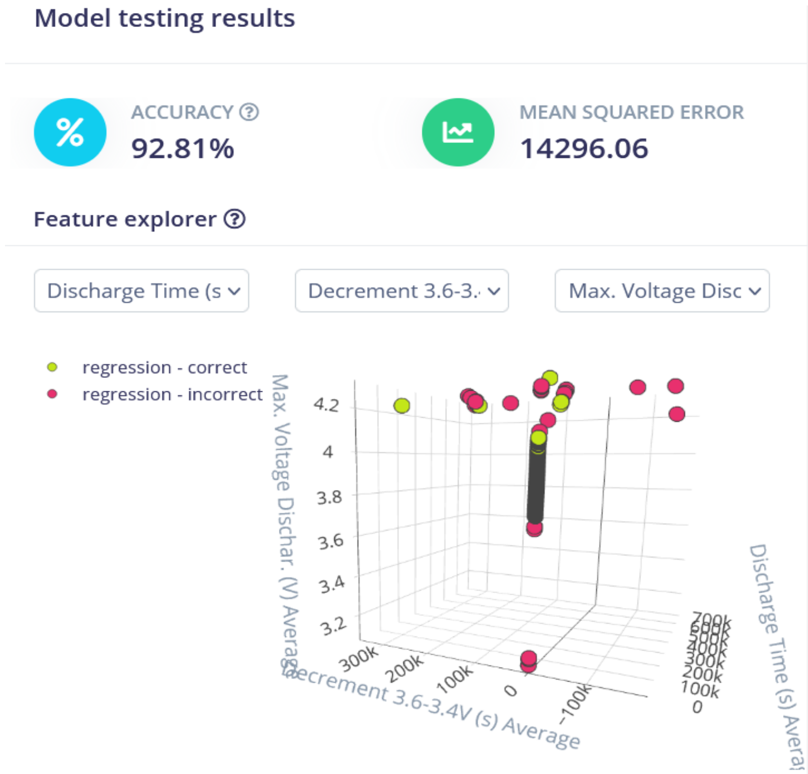

Figure 5.18: True value and predicted values of data samples

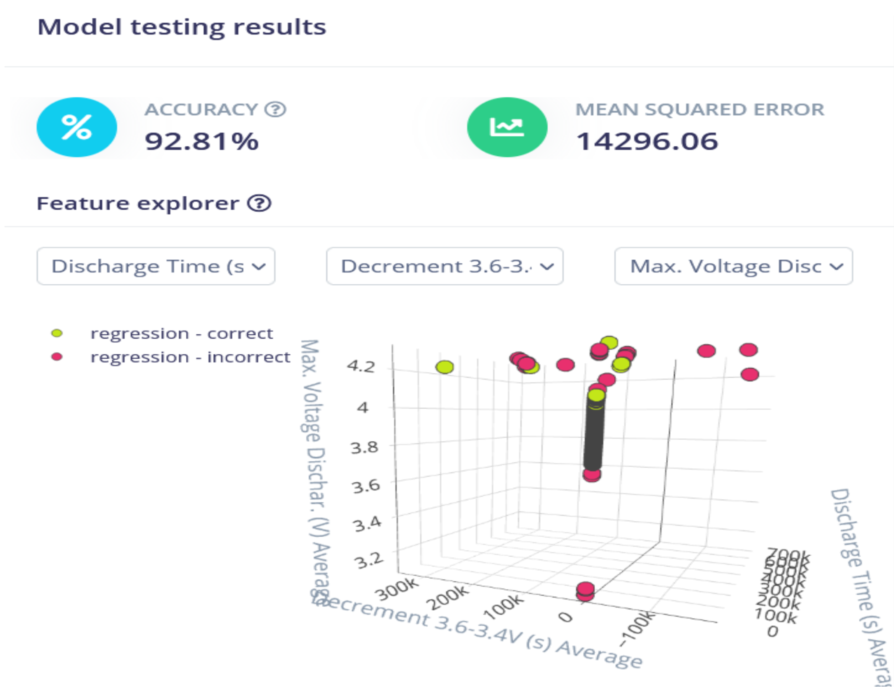

Figure 5.19: Accuracy analysis and mean square error

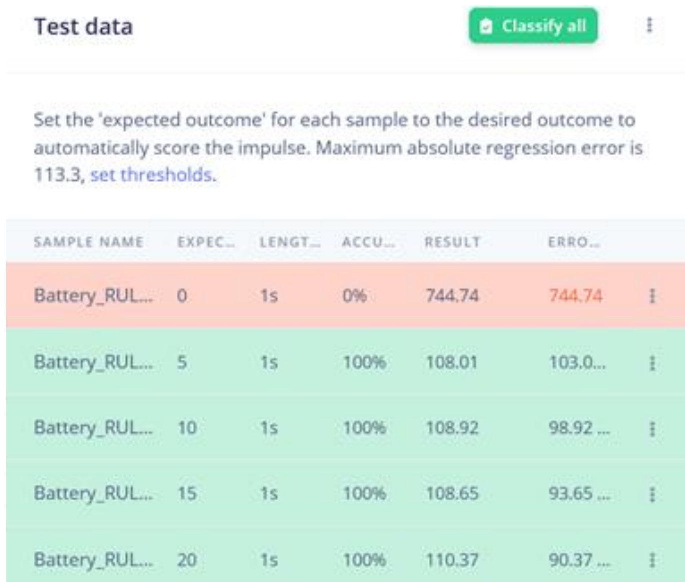

Figure 5.20: The sample results of test data

The SVM comparison presented in Figure 5.22 and figure 5.23 with other models gave more realistic results. However, when removing predictions in real-time, the SVM model registered an MSE of 10,842, an accuracy of 56%. This performance gap suggests that the model has some limitations with regard to real-time scenarios where real-time processing with some degree of variability is expected.

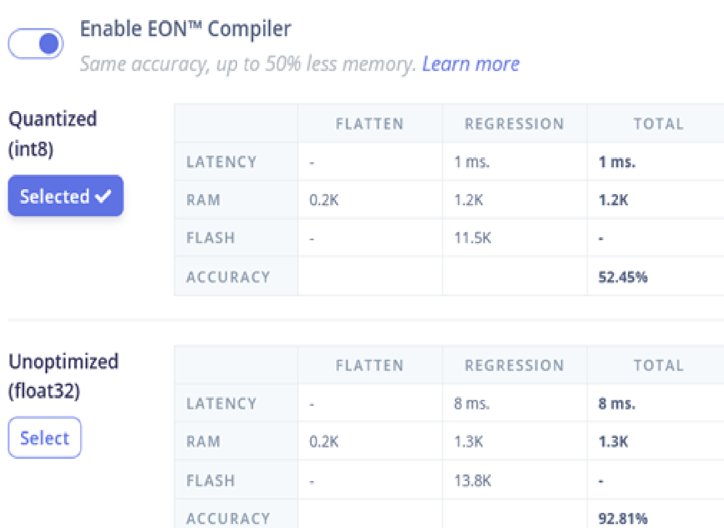

Figure 5.21: EON Compiler based accuracy analysis

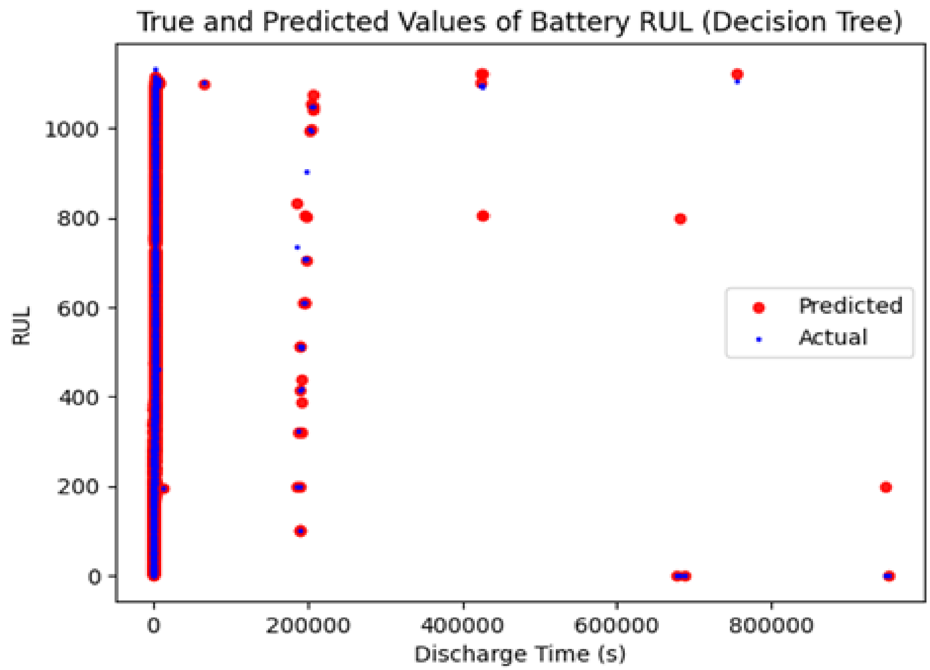

Figure 5.22 Decision Tree predicted and true value

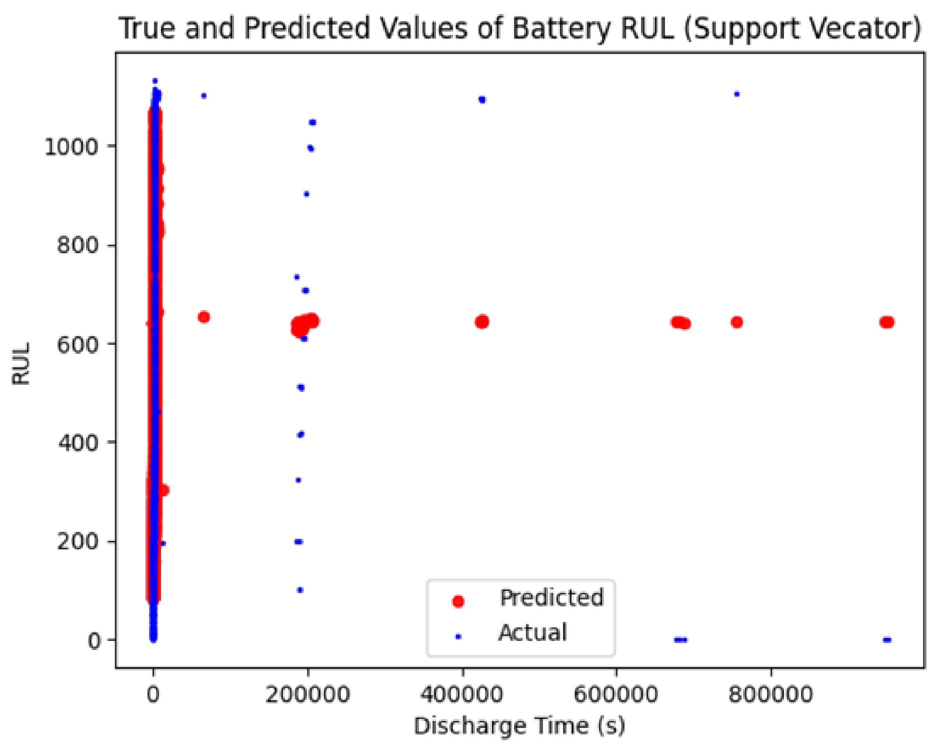

Figure 5.23: Support Vector Machine predicted and true value

The results of the comparative decision-making analysis based on MSE and accuracy indicate the strengths and weaknesses of each model on non-real-time and real-time datasets. The Decision support system model performed excellently for non-real-time applications but showed a slump when subjected to real-time applications. The SVM model showed poor overall performance in real-time deployment. The outcomes are presented in Table 5.1, which summarizes the assessment of the model's performance in several different situations across a matrix in a Table 5.1.

Table 4.1 Comparisons of Decision Results

Model	Mean Square Error	Accuracy
Decision Tree	1457.26	98% (Non Real-time), 68% (Real-time)
TensorFlow NN	1568	92% (Real-time)
	Table 51 continued	
Support Vector Machine	10842	89% (Non Real-time), 56% (Real-time)

5.3 Summary of Model Comparison

Table 4 summarizes the decision results from the three models. The TensorFlow neural networks exhibited the most significant advantages in real-time compared to the Decision Tree and SVM models. The Decision Tree model demonstrated accuracy when using static datasets, but its performance significantly declined in real-time. Conversely, the SVM model showed considerable accuracy but was associated with increased mean squared error (MSE), prompting concerns regarding its suitability for real-time remaining useful life (RUL) estimation.

Based on the findings of the RUL estimation, it is reasonable to conclude that TensorFlow neural networks are suitable for battery management systems (BMS) operating in real time. In particular, the TensorFlow model had the highest accuracy (92.81%) and low-performance costs, which are appropriate for use in Cortex-M4 microcontrollers. The Decision Tree and SVM models had applicable threats on non-real-time datasets but were ineffective in real-time deployments.

This study highlights the importance of paying more attention to data features, selection, and fine-tuning model parameters for estimating Remaining Useful Life (RUL). Running complex neural networks on edge devices and in a distributed manner holds potential for advancing EV battery management systems using Tiny-ML frameworks. Furthermore, future research could explore incorporating additional data sources further to enhance the reliability of predictions and model characteristics.

CHAPTER SIX

DISCUSSION ON RESULTS

The estimation and evaluation of a battery's State of Charge (SoC) and Remaining Useful Life (RUL) have become crucial parameters in battery management systems (BMS) applications, particularly in electric vehicles (EVs). Evaluating these parameters correctly ensures battery health, supports vehicle operational performance, and aids preventive maintenance. This chapter interprets the results from employing machine learning technologies in estimating SoC using Decision Tree Regression (DTR) and Support Vector Regression (SVR) models, as well as RUL in Tensor Flow models. These models are gaining popularity because of their capacity to perform well under complex data and environmental conditions.

The discussion in this chapter addresses how it will help achieve the research objectives and hypotheses. It is done by assessing the predictive ability of the models, correlating the results from the previous chapter, and addressing the research questions. The chapter focuses on the practical and theoretical implications of the models used in the research, assessing what has been achieved in terms of their implementation and discussing the limitations and possibilities for their use in practice. It emphasizes the importance of accurate State of Charge (SoC) and Remaining Useful Life (RUL) estimation in improving the Electric Vehicle (EV) range and developing preventive maintenance approaches by comparing different algorithms applied in the study.

6.1 Interpretation of Results

6.1.1 Interpretation of SoC Estimation Models

Knowing accurately the amount of charge in the Battery State of Charge SoC is a prerequisite for determining how the battery parameters in an electric vehicle can be monitored and optimized. The study adopted Predictive Modeling of SoC through Decision Tree Regression (DTR) and Support Vector Regression (SVR) Models under different trip conditions. The choice of these models was based mainly on their complicated ability to cope with non-linear interactions and the battery's performance variability. From the results obtained, both models produced reasonably good results, although with some variation in the level of accuracy and perspectives related to the battery.

In Figure 5.1, the Decision Tree model resulted in a mean squared error (MSE) of 0.0118 for the average estimation error of the state of charge (SoC). The model utilized essential features related to the battery state to make accurate predictions and performed well on most trips. Using feature elimination techniques such as voltage cut-offs and discharge duration significantly improved the model's performance. Figure 5.2 depicted bar graphs showing the MSE values for each trip, indicating that the model was generally stable during each trip period. However, there were slight variations in some cases, which could be influenced by external conditions or driving behaviors affecting how batteries are charged and discharged.

The Support Vector Regression (SVR) exhibited performance closely resembling that of the previously discussed model, with a Mean Squared Error (MSE) value of 0.0142. This outcome indicates certain limitations in its capacity to represent State of Charge

(SoC) dynamics, as depicted in Figure 5.7. However, outlier detection and reducing extreme sensitivity to unusual input values were fine with SVR, which is essential in the real world, provided that battery operation may occasionally present results other than the expected ones. The broader understanding of the model makes it more reliable in real situations. In contrast, it has been observed that feature engineering advances can still be good enough to provide higher MSE over the training data with the hope of exploring whether there are still better feature engineering techniques.

Feature engineering was critical in enhancing the estimation capability of both models. The above dependencies were supplemented with other forms, such as data imputation, standardization, and segmentation, making SoC predictions better and more reliable. The results indicate the importance of pre-processing activities for effectiveness in the models, noting that proper acquisition of features enhances the models' adaptability to various driving and working conditions. The same conclusions are confirmed by works that improve SoC estimation algorithms' performance during active changes in riding states [103] [104].

From these results, it was concluded that among the two models that provided some practical significance in tracking battery operation over time, the Decision Tree model is better by MSE than SVR. However, SVR affords better error tolerance, so we can use it in applications where outlier handling is essential. The lessons learned from these models can be used in predictive battery management systems for electric vehicles, helping to establish a sound monitoring strategy, ensuring energy sources are used efficiently, and maximizing the life expectancy of batteries.

6.1.2 Interpretation of RUL Prediction Models

Estimating the remaining useful life (RUL) of EV batteries is essential to avoid problems. It helps anticipate malfunctions in advance to promote proactive maintenance and proper management of the battery. This study used neural networks based on TensorFlow and compared them with the existing Decision Trees and Support Vector Machine SVM models for RUL estimation. In the end, there was every possibility of a compromise on each model. Wherein lies the balance between the computational resources in use and the real-time performance of the model.

The application of the TinyML framework achieved 93% accuracy during the real-time application of battery RUL estimation of a Tensorflow model (Figure 5.6). Modeling of the battery usage datasets included complex patterns like voltage discharge, time constants, and charging profiles. Tensorflow is popular because it can run in low-power MCUs like the Cortex-M4, which is advantageous when a model has to be deployed on many devices for inference at the edge. Therefore, the suggested model unifies with recent advances in energy system machine learning models for edge computing applications on real-time battery management tasks [105].

In comparison, the Decision Tree model achieves 98% for non-real-time datasets but suffers a dip in performance in real-time environments, reaching only a 68 percent score (see Figure 5.9). This slump highlights the problems of putting computationally intensive models on resource-limited devices. Where weaknesses usually reside in the model, they are usable in offline analyses of batteries' RUL and hinder real-time use.

The SVM model had difficulty with real-time estimations, resulting in an MSE of 10,842 and a sharp decline in accuracy to 56% (Figure 5.10). SVM models are known for their ability to handle high-dimensional data. However, they generally have heavy computational loads, constraining them regarding scalability and applicability in real-time application cases. It is consistent with earlier studies showing that SVM models can be used well in non-real-time datasets, but the results seem more appropriate for real-time values [106], [107].

This comparative analysis presents the advances of using neural networks such as TensorFlow when predicting RUL, preferably on-device. However, traditional Decision Tree models are also valuable in offline situations where interpretability is a must.- Although SVM models are excellent on high-dimensional data sets, they may need additional optimization to become a helpful asset in real-time environments. From the perspective of applications, these findings point to the importance of finding a balance between accuracy and computation efficiency when choosing what model corresponds better with the operational constraints imposed by battery management systems from EVs.

6.2 Implications for Battery Management Systems

Accurate estimation of State of Charge (SoC) and Remaining Useful Life (RUL) for electric vehicle (EV) batteries provides significant practical implications in application scenarios where battery management systems (BMS) play an essential role. Due to these models, we receive predictive insights that assist in energy performance optimization, increasing battery longevity and lowering EVs' operating costs. In this section, we discuss how such estimations are of greater importance when considering their impact on predictive maintenance, energy optimization, and long-term efficiency.

6.2.1 Impact on Battery Life and Efficiency

With proper SoC and RUL estimations, energy management can be done accordingly, where one will only charge or deplete battery capacity below the expected threshold. It concurs with the observation that previous research on battery behavior promotes keeping batteries under charge-discharge cycles close to nominal ones in order to be able to care for their longevity [108]. Based on the SoC estimates, BMS can recommend when exactly charging should begin and end to reduce battery degradation further.

Using the RUL estimations, it is possible to take action (e.g., schedule battery replacements) before a certain performance deterioration has occurred in due time. This minimizes the probability of unforeseen failure, which causes downtime and comes at a cost to customer satisfaction. The intelligent predictions of the EV RUL by predictive maintenance measures serve as competitive benefits to navigate risk-free and smooth operations [109].

6.2.2 Preventive Maintenance Strategies

In addition, these predictive SoC and RUL models allow for preventive maintenance strategies to be realized. Unlike reactive maintenance, carried out long after the fact when there is a failure, BMS enables intervention to preempt these problems beforehand. Integration of this TensorFlow model with edge devices like Cortex-M4 microcontrollers enables real-time health monitoring, and every time it predicts a wrong lifecycle, maintenance alerts are fired [110].

If implemented correctly, this preventive maintenance can reduce manual inspections and help cut costs over time. In addition, it reduces the environmental costs associated with prematurely discarded batteries. As EV adoption climbs, manufacturers and fleet operators have specified predictive maintenance to improve vehicle longevity more sustainably [111].

6.2.3 Energy Optimization and Range Extension

Estimating the SoC and RUL is crucial for the energy management of Electric Vehicles (EVs) to enhance driving range. Thorough and reliable SoC estimation allows BMS to effectively manage power loadings between the car systems (the components). It ensures smoother, low-energy operation, particularly in dynamic driving, where power needs to increase and decrease quickly when running the motor. Time-scale models can facilitate adaptive control, implementing strategies such as adaptive energy management without adversely impacting vehicle functionality and extending range performance [112].

Moreover, RUL models also reveal patterns of battery aging to drivers so that they can modify their driving style for energy efficiency. Prediction of the RUL also helps energy recovery systems by using maximum regenerative braking while extending range. The advantages of such energy optimization schemes meet the ongoing trends toward sustainability in the EV domain [113].

The integration of SoC and RUL models into BMS offers a multi-faceted advantage—enhancing battery life, reducing operational costs, and improving energy efficiency. These models allow fleet managers and individual users to make informed decisions regarding battery usage and maintenance schedules. As predictive technologies continue to evolve, the implications for sustainable and efficient battery management are profound, setting the stage for further advancements in the EV domain.

6.3 Final Words

The study's results reveal that it is possible to use sophisticated machine learning models to enhance the efficiency of battery management systems for electric vehicles. Accurate estimates of SoC and RUL result in the need for minimum maintenance, their safety is maximized, and the energy consumption is optimized. A comparative review of all the existing models – Decision Tree Regression (DTR), Support Vector Regression (SVR) and models based on TensorFlow – has shown the advantages and disadvantages of each modelling, which helps make correct choices of the models for definite tasks.

The results highlight the importance of feature engineering in improving model performance. The problem of producing real-time estimations with edge devices has also been solved as a distinct advantage of predictive models over practical ones. On the downside, the analysis shows that some models, particularly SVR, have poor real-time performance. In contrast, the TensorFlow models are good and can be scaled entirely on low-power microcontrollers.

Incorporating machine learning models in battery management systems marks the beginning of a new age that focuses on data energy efficiency and sustainable operations of electric vehicles. These developments lay the groundwork for future research and development endeavors that enhance vehicle technologies' predictive capabilities and applicability even more. In the next chapter, the study's broader implications will be discussed, and conclusions and recommendations for stakeholders and future studies will be presented.

CHAPTER SEVEN:

CONCLUSION AND FUTURE WORK

7.1 Contribution of Research Findings

This study comprehensively examines machine learning models for estimating the SoC and RUL of EV batteries. It uses Support Vector Machines (SVM), Decision Tree Regression (DTR), and TensorFlow Neural Networks (NN) to establish their practical application, especially within the real-time paradigm. All the models were simulated, and their output was carefully studied and evaluated to ascertain their strengths and weaknesses.

Based on the State of Charge (SoC) estimation, it was observed that the Support Vector Machine (SVM) model outperformed the Decision Tree Regression (DTR) model, as it was more effective at identifying significant patterns in the data. The SVM model achieved an average Mean Squared Error (MSE) of 0.0142 for SoC and 0.0564 for Battery Voltage, which is better than the DTR model's 0.0118 for SoC and 0.0977 for Battery Voltage, respectively [116]. These models provided insights into the advantages of feature selection for improving predictions. Comparing the actual and predicted values was particularly beneficial for assessing the reliability and effectiveness of the model under various conditions, especially for summer trips.

It confirmed the potential of using the TensorFlow Neural Network model for RUL prediction on resource-constrained edge devices with an overall accuracy of 93% in real-time applications. As can be seen, DTR performed quite well (achieving 98% accuracy) on non-real-time datasets but drastically dropped to only achieving a result of 68% when utilized in real-time. By comparison, the SVM model ran with an MSE of 10,842, discriminating against its capability to handle prediction in real-time [117]. These results highlight the capacity of our TensorFlow NN model for stable predictions in resource-poor contexts, hence ultimately benefitting battery management strategies.

7.2 Addressing Research Objectives

The work has fulfilled the research objectives mentioned at the beginning by comparing SoC and RUL estimation in three different machine learning models. Apart from this, a comparative study of applications in the real world with DTR, SVM, and TensorFlow Neural Network models is also done. The best model was the SVM for SoC estimation, which accurately estimated battery voltage and cabin temperature parameters. On the other hand, TensorFlow Neural Network outperformed all of these models in terms of RUL estimation and showed a solid performance under real-time conditions [118].

The feature engineering process contributed significantly to both tasks, as it increased the accuracy of the estimation with optimized datasets. The research demonstrates how applying machine learning models can make battery health management more efficient. Timely maintenance can maximize the lifetime of EV batteries [119] [120].

7.3 Limitations of the Study

The use of mixed methods is worth it, as the stem contains strengths and weaknesses that cut across every field of this study.

7.3.1 Model Sensitivity to Environmental Factors

The performance of the linear support vector machine (SVM) model went down under a certain variable environmental condition (temperature changes). This corresponds with earlier works that show that battery management models are dependent on environmental parameters, which makes it difficult to have real-time monitoring [123], [124].

7.3.2 Generalizability of Results

The models were trained using data from 32 summer trips, which limits their generalizability across different climates and seasons. Subsequently, a large-scale case study in diverse environmental conditions may further validate these models (therefore ensuring their generalizability), such as those proposed for seasonal variation of battery performance [125].

7.3.3 Real-Time Performance of Traditional Models

The study reveals that Decision Tree and SVM models face extreme performance issues in real-time applications. This coincides with the need for advanced machine learning models in rapidly changing contexts, making LSTMs more appropriate [126]. This obstacle is familiar, as it has been pointed out in studies focusing on real-time battery monitoring systems [127].

7.3.4 Limited Dataset for RUL Estimation

The restricted dataset used in this work, encompassing 4 hours and 27 minutes, alone limits the model's ability to effectively forecast the battery's overall health over a longer period. More datasets are needed to guarantee reliable RUL estimates throughout the battery's lifecycle [128].

7.4 Future Research Directions

Future research areas should be explored in more detail, and other solution concepts should be considered. One exciting direction for research is the synthesis of hybrid models, which can help combine the performance of SVM, DTR, and TensorFlow Neural Network for better estimation accuracy and weight. Studying hybrid machine learning frameworks would help mitigate the current model's restrictions and improve its performance time [122].

Finally, one area that can be explored is building a machine-learning model for an IoT-based battery monitoring system. Such a scheme will allow monitoring and maintenance in real-time for wear-level adaptation, improving the performance at operational levels by reducing congestion and altering energy delivery, therefore minimizing the degradation of EV battery life [123]. Furthermore, an application of transfer learning might be used for the models to adapt successfully to different battery materials and datasets, providing better scalability across an adequate range of uses [124]. Broader deployment of machine learning is inevitable for battery management systems, and industry-academia collaboration will play a significant role in normalizing predictive maintenance frameworks [125].

7.5 Conclusion

To sum up, this work demonstrates the efficiency of machine learning models in providing accurate SoC and RUL predictions for EV batteries. According to the experiment results, TensorFlow NN models are suitable for real-time RUL prediction, and an SVM-based method leads to better SoC results. Results indicate the significance of feature engineering data processing, dataset preprocessing, and model evaluation in developing predictive models.

This study recognizes the limitations and uncovers novel areas for research, forming a base that will benefit any future development of machine learning-based battery management systems. When integrated, predictive maintenance strategies will make batteries more efficient and, indirectly, increase the range of operation for electric vehicles, thereby aiding in laying a roadmap for sustainable energy management.

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