

Contents

1	Introduction	1
1.1	Motivation	1
1.2	Research Questions	4
1.3	Structure of this Thesis	6
2	Theoretical Background	9
2.1	Lithium-Ion Batteries	10
2.1.1	Operating Principle and Components of Lithium-Ion Battery Cells	10
2.1.2	Parameters for Characterization and Operation of Batteries	12
2.1.3	State of Health and Remaining Useful Lifetime	15
2.1.4	Fundamentals of Lithium-ion Battery Cell Aging	19
2.1.5	Battery Packs	23
2.1.6	Battery Operation	28
2.2	Supervised Machine Learning for Regression Problems	35
2.2.1	Artificial Neural Networks	35
2.2.2	Feature Scaling	39
2.2.3	Hyperparameter Tuning	40
2.2.4	Metrics for Regression Problems	41
2.2.5	Transfer Learning	42
3	Towards State of Health Forecasting of Lithium-Ion Batteries	45
3.1	State of Health Estimation, Prediction, and Forecasting	45
3.2	State of Health Forecasting vs. Remaining Useful Life Prediction	48
3.3	Scenarios in State of Health Forecasting	50

3.4	Battery Model Transfer	52
3.5	Model Key Criteria	53
4	Related Work	57
4.1	Screening Method	58
4.2	State of Health Forecasting Models	61
4.2.1	Models without Information about Future Load	68
4.2.2	Models with Information about Future Load	69
4.3	Transfer Learning for Battery Models	75
4.4	Gaps of Related Work	76
5	Data	79
5.1	Laboratory Battery Cell Data Sets	80
5.1.1	Stanford Battery Data Sets	80
5.1.2	RWTH Aachen ISEA Cyclic Aging Data Set	84
5.1.3	NASA Randomized Battery Usage Data Set	84
5.1.4	Oxford Degradation Data Set	85
5.2	Real-World Battery Electric Vehicle System Data Set	86
6	Battery Cell State of Health Forecasting	91
6.1	Method	91
6.1.1	Stressor Extraction	92
6.1.2	Decision on Signal Selection	96
6.1.3	Machine Learning Regression Model	97
6.2	Design of Experiments	97
6.3	Results	101
6.4	Summary and Contribution to the Research Questions	106
7	Transfer of Battery Cell State of Health Forecasting	109
7.1	Method	109
7.1.1	How to Transfer: Layerwise Freezing	110
7.1.2	When to Transfer: Data Availability	111
7.1.3	Benchmarks	113
7.1.4	Data	114
7.2	Design of Experiments	114
7.3	Results	117
7.4	Summary and Contribution to the Research Questions	122

8	Battery System State of Health Forecasting	125
8.1	Method	125
8.1.1	State of Health Forecasting	126
8.1.2	Stressor Data	126
8.2	Design of Experiments	129
8.2.1	Histogram-based Features	129
8.2.2	Accessible Features	131
8.2.3	General Settings	131
8.3	Results	134
8.3.1	Histogram-based Features	135
8.3.2	Accessible Features	143
8.4	Use Cases	147
8.5	Summary and Contribution to the Research Questions	150
9	Concept for a Technical Implementation	153
9.1	Battery Electric Vehicle Fleets	154
9.2	Stakeholder Roles of Fleets	154
9.3	State of the Art: Fleet Management	155
9.4	Fleet Management Concept for Manufacturers	156
9.4.1	Machine Layer	158
9.4.2	Fleet Operator Layer	159
9.4.3	Manufacturer Layer	160
9.4.4	Data Storage and Machine Learning Model Training	160
10	Limitations & Outlook	163
10.1	Method	164
10.2	Future Data	166
10.3	Battery Systems	170
10.4	Further Learning Paradigms	171
11	Conclusion	175
	Bibliography	179