

# Machine Learning Methods for Early Prediction of End-of-Life for Lithium-ion Batteries

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## I. INTRODUCTION

The global market for lithium-ion batteries is expected to increase by a factor of 5 to 10 in the next decade [1]. The demand is driven by a combination of environmental concerns and technological advances that make lithium-ion batteries the most reliable source of electrical power for many applications around the world including consumer electronics, electric vehicles (EVs), and renewable energy storage. Lithium-ion batteries have high power and high energy density while providing great reusability and recyclability. It is crucial that we continually refine battery technology in ways such as reducing costs, enhancing efficiency and safety, and improving reliability. Better battery systems have far-reaching benefits that affect many people by providing affordable and abundant energy.

End-of-life is defined as the point when a battery can only retain 80% of its initial capacity [2]. Lithium-ion batteries have high variability of end-of-life “Fig. 1.”, and accurate end-of-life prediction is essential for the reliable operation of lithium-ion batteries [3]. Battery failure can have devastating consequences when used in important operations such as grid-scale support and large industrial systems. Batteries that are close to end-of-life are more likely to approach thermal runaway [4]. Malfunctions can be avoided by identifying premature failures and scheduling battery management and replacement. End-of-life is influenced by a number of factors related to the design and manufacturing process.

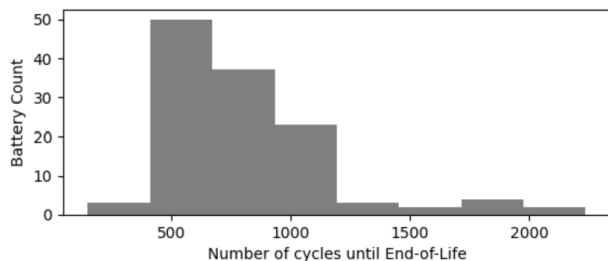


Fig. 1. High Variability in Battery Life,  
Severson et al. Data Set - End-of-life

Battery degradation is a complex electrochemical process that reduces the charge capacity via multiple concurrent mechanisms and highly irregular behavior. The principal mechanisms of degradation include lithium plating, solid-electrolyte interface growth, particle fragmentation, and positive electrode structure changes and decomposition [5]. Modeling and simulation of the physical decay of batteries requires a deep understanding of electrochemistry and material science, including the characteristics of the individual batteries.

Data-driven modeling is an alternative to modeling the physical decay of battery degradation [6]. The use of artificial intelligence and machine learning methods can be applied without the need for a deep understanding of each battery. Data-driven modeling is mechanism-agnostic, and the complicated electrochemical behaviors and conditions are captured in experimental data [2]. Machine learning can detect even delicate fluctuations in data and recognize patterns that affect the end-of-life of each battery. These nonlinear dynamics are normally very difficult to express mathematically.

Machine learning is increasingly being used in the fields of chemistry, engineering, and material science [7], yet data-driven modeling comes with its challenges. Lithium-ion battery life data is expensive because they have relatively long lives, making experiments last several months. Because of this, there is a sparsity of data, and machine learning often requires a large amount of data for models to accurately learn.

## II. BATTERY DATA SET

In 2019, Severson et al. [2] at MIT, published the largest open-source database of lithium-ion battery lifecycle data. The project was a combined effort of Stanford University, Toyota Research Institution, and Berkeley Livermore National Lab. The data set consists of 124 LFP-graphite cells that were charged and discharged until they reached end-of-life (80% of their initial capacities). The cells were tested under a variety of conditions, and 72 different charging protocols were used. The cells were tested in an environmental chamber so that the relative temperature changes could be observed. Current (A), temperature (T), voltage (V), and capacity (Ah) were recorded

throughout the life of the batteries “Fig. 2.” Summary data and pre-calculated features were included in the raw data. Severson et al. provided additional pre-processing calculation and code including training/test split for reproducibility (see Data & Code section).

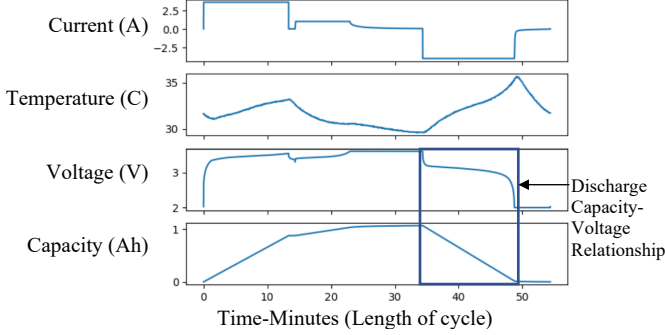


Fig. 2. Timeseries Data ,  
Sample - cycle 1 of battery ‘b1c0’

Attia et al. [8] produced a follow-up paper that acted as a more comprehensive benchmark for the data set. They focused strictly on the discharge capacity-voltage relationship and improved the interpretability of the machine learning models.

This work uses 2 types of data from the data set. “Tabular Summary Data” is the same data used in the original paper [2]. “Discharge Capacity-Voltage Data” is the same data used in the follow-up paper [8].

#### Tabular Summary Data

Severson et al. originally considered 20 features from the data and 3 models were presented to predict the end-of-life based on data from the first 100 cycles. The “Variance Model ” [2] used only one feature: the logarithm of the variance of the difference between the 100<sup>th</sup> & 10<sup>th</sup> cycle discharge voltage curves. The “Discharge Model” [2] used data from only the discharge capacity values, interpolated at evenly spaced voltages (Table I). The “Full Model ” [2] incorporated other data such as temperature and internal resistance.

TABLE I  
SUMMARY FEATURES FROM DISCHARGE VOLTAGE CURVES  
USING THE 10TH AND 100TH CYCLES ( $\Delta Q_{100-10}(V)$ )

- Minimum ( $\Delta Q_{100-10}(V)$ )
- Variance ( $\Delta Q_{100-10}(V)$ )
- Skewness ( $\Delta Q_{100-10}(V)$ )
- Kurtosis ( $\Delta Q_{100-10}(V)$ )
- Discharge capacity of cycle 2
- Max discharge capacity - Discharge capacity of cycle 2

#### Discharge Capacity - Voltage Relationship Data

The discharge capacity-voltage relationship can be represented as time series data [9]. Each cycle of the battery can represent a time step. Each voltage along the discharge curve represents the features of the learning model. Figure 3 demonstrates the decaying capacity as the battery ages (increased cycle count).

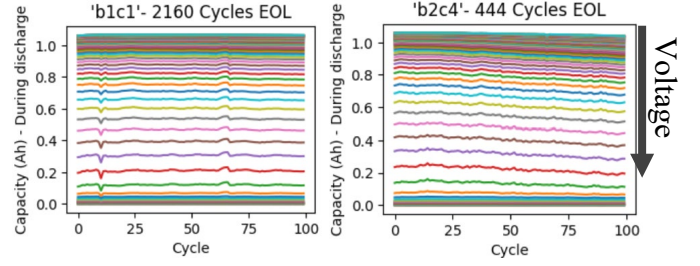


Fig. 3. Discharge Capacity-Voltage Curves  
Comparison of batteries with high and low end-of-life

### III. MACHINE LEARNING MODELS

#### A. Elastic Net Regression

Ordinary linear regression approximates the relationship between a target variable (i.e., number of cycles until end-of-life) and a set of explanatory variables. Coefficients of the linear equation are updated by minimizing a cost function (commonly Least-Mean-Squares). Regularization is applied to the cost function, allowing better generalization of the regression model. Elastic net regularization is a combination of 2 widely used methods: Lasso regularization (using the L1 norm), and Ridge regularization (using the L2 norm). By including both the L2 and L1 norm, shown in equation 1, the cost function penalizes the coefficients more and discourages learning an overfitted model.

$$\mathcal{L}(\omega, \alpha, \lambda) = \|Y - X\omega\|^2 + \alpha(\lambda\|\omega\|_1 + (1 - \lambda)\|\omega\|_2^2) \quad (1)$$

The parameters  $\alpha$  and  $\lambda$  are chosen by cross-validation and control the trade-off between fitting the training data well and generalizing to new, unseen data. Severson et al. used elastic net regression on the 3 proposed models and is the first benchmark of the data set.

#### B. Support Vector Regression

Linear regression and elastic net regularization are restricted to linear representation of data. However, nonlinear curve fitting can be computationally expensive and prohibitive. To overcome this, support vector machines (SVMs) implement feature mapping where the features are transformed to a higher dimensional feature space. The trick to overcoming the expensive computation is the use of kernel functions in feature mapping which avoid explicit inner product calculations. Two common kernel functions are the sigmoid (eq. 2) and radial basis function (eq. 3).

$$\text{RBF Kernel: } K(x, y) = e^{-\gamma\|x - y\|^2} \quad (2)$$

$$\text{Sigmoid Kernel: } K(x, y) = \tanh(\gamma x^T y + r) \quad (3)$$

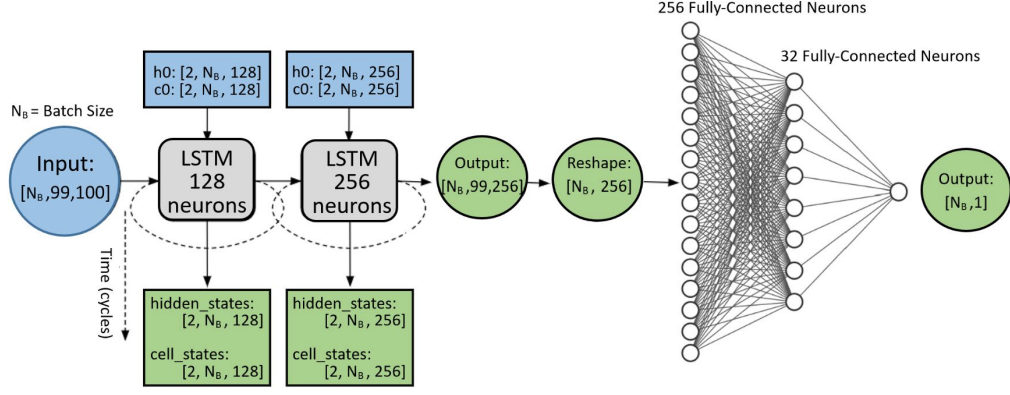


Fig. 5. Architecture of Long-Short-Term-Memory Recurrent Neural network

Support vector regression is a version of SVMs that predicts a real value (i.e., the end-of-life). In this work, 2 additional hyperparameters are chosen by cross-validation: epsilon ( $\epsilon$ ) and gamma ( $\gamma$ ). Epsilon defines a distance in which there is no penalty in the cost function, where low values make the model more robust to outliers. Gamma is the coefficient of the RBF and sigmoid kernels (eq. 2, eq. 3).

### C. Multilayer Perceptron

Multilayer perceptrons capture complex behavior with fully connected layers of artificial neurons (Fig. 4). Each neuron learns nonlinear behavior through the mechanism of activation functions (i.e., rectified linear unit). Learning is achieved by updating the weights and biases of each neuron, iteratively, with the backpropagation algorithm. The updates are governed by an optimization algorithm, commonly Stochastic-Gradient-Descent or Adaptive-Momentum-Estimation (Adam). Multilayer perceptron architecture has an interesting influence on the ability to learn. Regularization is implemented in the multilayer perceptron model by optimizing a coefficient (alpha) that determines the relative strength of the L2 norm term.

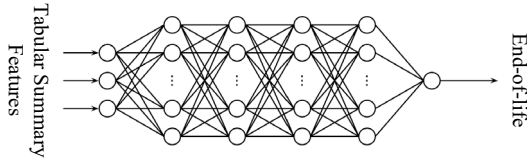


Fig. 4. Multilayer perceptrons are fully connected artificial neural networks

### D. Long-Short-Term-Memory Recurrent Neural Network

Recurrent neural networks are designed to process time series data and capture trends in training data. Long-Short-Term-Memory Recurrent Neural Networks (LSTMs) have weights and biases, like other neural networks, but also have hidden and

cell states (Fig. 5) which help capture long-term dependencies (including the ability to process variable length sequences). These additional memory units are updated with a series of calculations in each elementary unit of LSTMs (called a cell). Below are the calculations that determine each cell state ( $c_t$ ) and hidden state ( $h_t$ ). LSTMs also update with backpropagation and optimization algorithm (Adam). Weight decay is a hyperparameter that controls the strength of L2 regularization.

Xu et al. [9] demonstrated that LSTMs are capable of learning with less data (using data from only the first 60 cycles) when trained on the discharge capacity-voltage data.

$$\begin{aligned} i_t &= \sigma(W_{ii}x_t + b_{ii} + W_{hi}h_{t-1} + b_{hi}) \\ f_t &= \sigma(W_{if}x_t + b_{if} + W_{hf}h_{t-1} + b_{hf}) \\ g_t &= \tanh(W_{ig}x_t + b_{ig} + W_{hg}h_{t-1} + b_{hg}) \\ o_t &= \sigma(W_{io}x_t + b_{io} + W_{ho}h_{t-1} + b_{ho}) \\ c_t &= f_t \odot c_{t-1} + i_t \odot g_t \\ h_t &= o_t \odot \tanh(c_t) \end{aligned}$$

Fig. 6. The sequence of calculations at each cell in LSTM [10] (input gate, forget gate, cell gate, & output gate)

### E. Convolutional Neural Network

The discharge capacity-voltage data does not have variable length sequences. Each sequence of discharge capacities is the length of the cycles used in prediction. A 2D representation of the discharge capacity-voltage data can be used to train a convolutional neural network (Fig. 7). Convolutional layers apply filters to the 2D data that help extract complicated patterns, and max-pooling layers reduce the dimensionality.

The “discharge” model in Severson et al. used features that come strictly from the discharge capacity-voltage relationship (see Table I). Since these features can be derived directly from the same 2D data, this proposes a variation in the architecture whereas the tabular summary features are concatenated with the flattened features of the CNN (see Fig. 7).

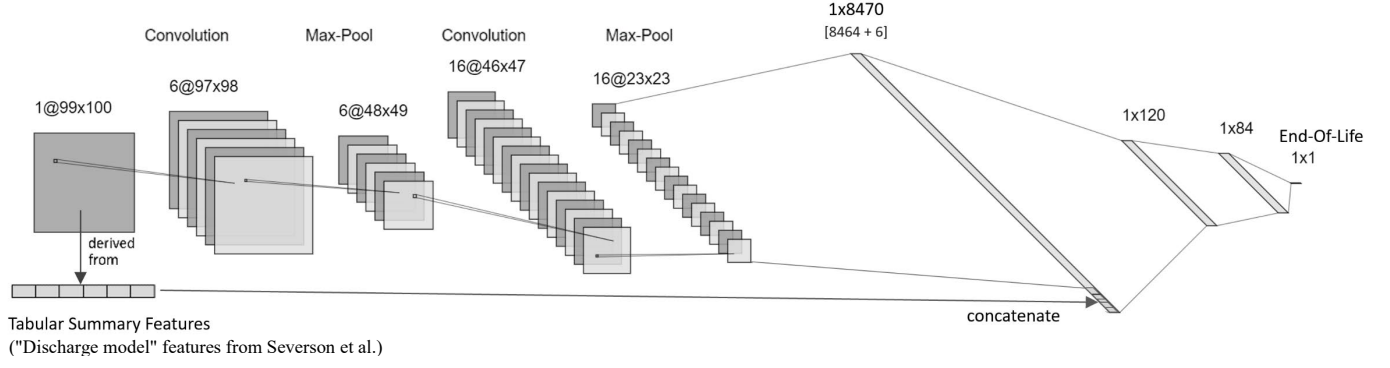


Fig. 7. Architecture of Convolutional Neural network

#### IV. RESULTS & DISCUSSION

The calculated end-of-life of lithium-ion batteries is evaluated by two metrics, the same as the benchmark studies [2,8]. The root-mean-square-error (RMSE) and the mean percent error (MPE) compare each prediction to the observed value and are commonly used in statistics.

$$RMSE = \sqrt{\frac{1}{n} \sum_{i=1}^n (\hat{y}_i - y_i)^2} \quad (4)$$

$$MPE = \frac{100\%}{n} \sum_{i=1}^n \left( \frac{\hat{y}_i - y_i}{y_i} \right) \quad (5)$$

Table II lists the results of the original paper [2] and compares the support vector regression and multilayer perceptron models, which are trained on the same tabular summary data. These models achieved similar predictive power.

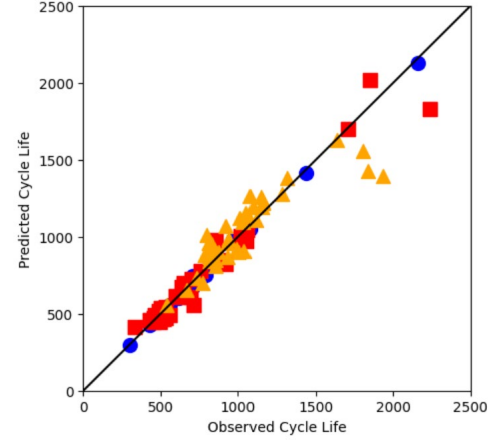


Fig. 8. Predicted vs Observed End-Of-Life  
CNN - first 100 cycles

TABLE II  
RESULTS FROM TABULAR SUMMARY DATA

MODEL	RMSE TRAIN	RMSE TEST	RMSE TEST #2	MPE TRAIN	MPE TEST	MPE TEST #2
Severson et al. Elastic Net “Variance” model	(103)	(138)	(196)	(14)	(13)	(11)
“Discharge” model	(76)	(86)	(173)	(10)	(10)	(9)
“Full” model	(51)	(100)	(214)	(6)	(8)	(11)
<b>Support Vector Regression - “Discharge” features</b>	79	79	172	10	10	9
<b>Support Vector Regression - “Full” features</b>	54	115	200	7	9	11
<b>Multilayer Perceptron - “Discharge” features</b>	<b>67</b>	<b>105</b>	<b>159</b>	<b>8</b>	<b>8</b>	<b>8</b>
<b>Multilayer Perceptron - “Full” features</b>	39	138	176	4	8	10

TABLE III  
RESULTS FROM DISCHARGE CAPACITY-VOLTAGE DATA

MODEL	RMSE TRAIN	RMSE TEST	RMSE TEST #2	MPE TRAIN	MPE TEST	MPE TEST #2
Xu et al. [9] LSTM 100 cycles	(42)	(91)	(215)			
60 cycles	(48)	(88)	(212)			
40 cycles	(51)	(127)	(224)			
<b>LSTM 100 cycles</b>	35	101	193	1	11	14
<b>60 cycles</b>	38	316	220	2	18	17
<b>40 cycles</b>	49	127	218	3	12	17
Attia et al. [8] Convolutional Neural Network	(17)	(72)	(204)			
<b>Convolutional neural network 100 cycles</b>	<b>16</b>	<b>83</b>	<b>141</b>	<b>1</b>	<b>6</b>	<b>8</b>
<b>60 cycles</b>	14	184	203	1	8	12
<b>40 cycles</b>	11	80	206	1	6	11

#### DATA & CODE

##### DATA AVAILABILITY

[data.matr.io/1/projects/5c48dd2bc625d700019f3204](https://data.matr.io/1/projects/5c48dd2bc625d700019f3204)

##### DATA PRE-PROCESSING CODE

(<https://www.nature.com/articles/s41560-019-0356-8#code-availability>)  
[github.com/rdbraatz/data-driven-prediction-of-battery-cycle-life-before-capacity-degradation](https://github.com/rdbraatz/data-driven-prediction-of-battery-cycle-life-before-capacity-degradation)

##### CODE

[https://github.com/JamesChapmanNV/MachineLearning\\_Lithium-IonBattery\\_End-Of-Life](https://github.com/JamesChapmanNV/MachineLearning_Lithium-IonBattery_End-Of-Life)

The LSTM models also achieved results similar to the previous literature, without improvement. Table III presents the results from the discharge capacity-voltage data. The convolutional neural network (with the tabular data concatenation) proved to have better learning capabilities from the same data. Figure 8 demonstrates the end-of-life predictions, with most of the error in high-lifecycle batteries.

#### CONCLUSION & FUTURE WORK

Lithium-ion battery R&D is rapidly growing and machine learning will certainly be a valuable tool in the future. End-of-life prediction has proven to be a challenging task in battery R&D. Dozens of papers have been published, attempting to create machine learning models from the Severson et al. data set [11–15].

While this work focuses on the discharge capacity-voltage relationship, the Severson et al. data set includes voltage, temperature, and current data (Fig 2). Two notable publications have used this additional information to predict end-of-life with only one cycle of data [16,17]. Each of these publications use convolutional neural networks with advanced and optimized architecture. One trade-off with using additional data is that capacity data “comes for free” [8], and is easier to obtain, whereas data from temperature requires additional equipment and may be prohibitive in future studies.

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