

# Chapter 1

## Healthy-Faulty Signal Classification

In the second part of this thesis, we will apply the complex-valued deep learning framework, developed in part 1, to a real world problem of condition monitoring in industrial applications.

Condition Monitoring is defined as *the process of monitoring a parameter of condition in machinery (vibration, temperature, etc.), in order to identify a significant change which is indicative of a developing fault.*

In our technological and industrial society, the use and mastery of condition monitoring turned out to be of extreme importance, since it allows to be schedule maintenance, or other actions to be taken in order to prevent consequential damage and avoid its, often expensive, consequences. Furthermore, it can help in increasing the lifespan of many engines, preventing faults that could develop in major failures.

Condition Monitoring techniques are normally used on rotating equipment, auxiliary systems and other dynamic machinery (compressors, pumps, electric motors, etc.) while for static devices, usually, periodic inspections are sufficient.

In our analysis, we will propose a modification (or, better, an extension) to the existing approach to the strategy that is usually followed for rotating machines, i.e. **vibration analysis**.

What engineers do, is usually taking measurements on machine bearing casings with *accelerometers* to measure the casing vibrations, sometimes provided also of electric transducers able to directly observe the rotating shafts and detect their radial (and axial) displacements. Data collected are then set of vibrational signals that can be analyzed and studied to detect clues of something bad that is happening. Vibration levels can then be compared with some historical baseline values (a "ground truth") derived after long periods of experiments, and in some cases compared with established standards such as load changes, to keep high the attention. Vibration limits can also be defined based on the machine design or components, knowing their fault frequencies of bearings.

Interpreting the vibration signal obtained is an elaborate procedure that requires specialized training and experience. With the technology progresses and increasingly complicated machines, simple comparisons and vibration limits are not anymore sufficient to guarantee the performances and accuracies needed by the companies. Luckily, also the techniques available have widely improved: thanks especially to the recent advances of machine and deep learning, signal analysis and classification is strongly simplified. Several state-of-the-art approaches have been developed, able to provide the vast majority of data analysis automatically, retrieving information instead of raw data.

In general one commonly employed technique is to examine the individual frequencies present in the signal. These frequencies, in fact, can correspond to certain mechanical components or specific malfunctions (e.g. unbalance or misalignment). So, by analyzing these frequencies and their harmonics, a specialist can in principle be able to identify the location or the type of a problem, sometimes even the cause. And this is possible weeks, even months, before the effective failure or damage of the apparatus, giving ample time to the technicians for replacing or repairing the machine.

But the interesting part in this approach is that we have a mathematical instrument that allow us

to move from the time to the frequency domain, with all the consequent advantages: the **Fourier Transform**. We will see, in the next section, that this operator not only permits the analysis of the frequency spectrum of the signal, but also represents the connection among the real-valued measurements of physical quantities and the complex-valued domain in which we can effectively put to test the framework we have developed.

It is however better to specify that frequency analysis tends to be most useful on machines that employ rolling element bearings and whose main failure modes tend to be the degradation of those bearings, which typically exhibit an increase in characteristic frequencies associated with its geometries and constructions.

Tons of different "manual" analysis are possible for those kind of signals in the frequency domain, a study of its phase spectrum for example, but in this thesis we are not really interested in them since we will rely on modern deep learning approaches, providing also efficient alternatives to the actual state-of-the-art techniques.

## 1.1 State-of-the-Art

In chapter ??, we were complaining about the fact that literature does not provide almost any kind of complex-valued dataset to effectively test the models we have developed. There, we were forced to "manually construct" our data, with simple distributions of points satisfying certain properties ??, or clever modifications of existing real collections ???. Relying on them could have been fine for that preliminary analysis, mainly focused on the convergence and the stability of the training process, rather than on the final performances. However, we believe that, in order to prove the efficacy of our method, we should stress our complex-valued architectures on more concrete and reliable datasets.

But, is there the possibility of measuring in some way physical quantities that are inherently complex-valued? From this point of view, the answer is yes, and we just need to think about magnetic momenta. The PHD thesis we have based our work on ??, is constructed exactly on these kind of data: Magnetic Resonance Images contains, in fact, much information in their phase, that, with a complex neural network the author managed to outperform many existing approaches that used to discard such information.

But we should not limit our horizons when we have a powerful instrument like the Fourier transform  $\mathcal{F}$ , that allow us to associate a complex-valued frequency domain representation to a function of time. In this new representation, the magnitude represents the amount of a certain frequency present in the original signal, while the argument is its phase offset with respect to the basic sinusoid. All of this means that, given any dataset composed of waves in the time domain, the same can be studied in the frequency domain exploiting the new power of complex-valued models, keeping all the physical information without need of expedients like before. Several papers have been published, suggesting complex-valued models to study electric, seismic ?? and vibrational signals in the complex domain. So, in principle, for any signal registered in the time domain, we can recover, and maybe exploit, the phase information thanks exactly to the Fourier transform.

Studying the problem in the frequency domain is a quite common approach to signal processing, since many operations in the time domain have a complex counterpart that sometimes turns out to be easier to perform (eg. differentiation and convolution). Furthermore, also from a purely theoretical point of view, several concepts are easier to derive and understand with complex notations.

### 1.1.1 Baseline Machine Learning

But how can we effectively distinguish among vibration signals? According to the traditional machine learning approach we should rely on some hand-crafted features extractable from the wave in the time domain; those features can then face a dimensionality reduction step (PCA, t-SNE, etc.) and then sent through baseline classifiers like Support Vector Machines or Multi-Layer Perceptrons. This was the fundamental strategy for years: in term of memory and time complexity it is very efficient, because each sample is reduced to a handful of meaningful values, but, in general, it lacks of generalization capabilities, since the high-level features to be used are chosen every time by an expert, depending

on the situation, and also from the point of view of the accuracy reached, more modern technologies employing deep learning are already able to outperform it.

### 1.1.2 Study in the frequency domain

However, even if condition monitoring is not one of the main tasks over which machine learning researchers focused mostly in the last years, several techniques and improvements could be recovered and re-adapted from the popular area of audio applications. In the end, in fact, sounds are vibrations of the air, and so their analysis can present interesting similarities with our problem.

It is exactly from the widely developed theory of deep learning applied to audio processing, that we inherit techniques suitable to study a wave signal in the frequency domain. The computational instrument that allow us to do so is the **Short-Time Fourier Transform (STFT)**. Discrete STFT is a method of partitioning continuous signals (in the time-dependent representation) over a long period into shorter segments (usually overlapped) at short time intervals, and applying a Fourier transform to each of those segments. An additional step can be taken, at this point, deriving the power spectrum of the signal: taking the square modulus of the STFT we can construct a 2D sample, i.e. an image, representing the amplitude of the signal for a particular frequency at a particular time.

In figure 1.1 we took a random signal from the dataset we are going to study, and we applied the STFT: the leftmost picture represents the original wave, the central one is the result after the application of the transform (so the signal in the frequency domain), while the rightmost is its power spectrum. After the computation of the power spectrum for each vibration signal at this point, there are two

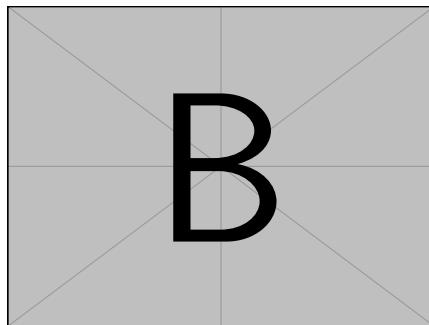


Figure 1.1: Example signal

directions that the researcher can decide to follow:

- keeping the two-dimensional input and building a machine learning classifier able to work directly with the spectrograms (usually a Convolutional Neural Network);
- taking a further step and extracting from the spectrogram the so called *Mel Frequency Cepstral Coefficients* (MFCC): these coefficients, widely used in speech recognition tasks, permit an efficient compression of the "important information" carried by the signal, and can be simply given in input to an ordinary classifier.

Even if they were not properly designed for vibration analysis applied to condition monitoring, the usage of MFCCs can bring very good results together with an high efficiency in term of space and time complexity, because of the information compressed.

In figure 1.2 are represented schematically the two main state-of-the-art approaches (high-level features extraction vs power spectrograms) for healthy-faulty vibration signal classification, that we just described.

In the successive analysis, we will propose an alternative to the approaches listed above, that is more suitable to complex-valued deep learning: the coefficients of a Fourier transform are, in fact, inherently complex, and so, instead of losing all the phase information taking the power spectrum (that is constituted only by their amplitudes), we stop one step before keeping the original complex-valued variables. In the end, deriving the complex spectrum is equivalent to computing a discrete Fourier transform over short overlapping windows of the signal.

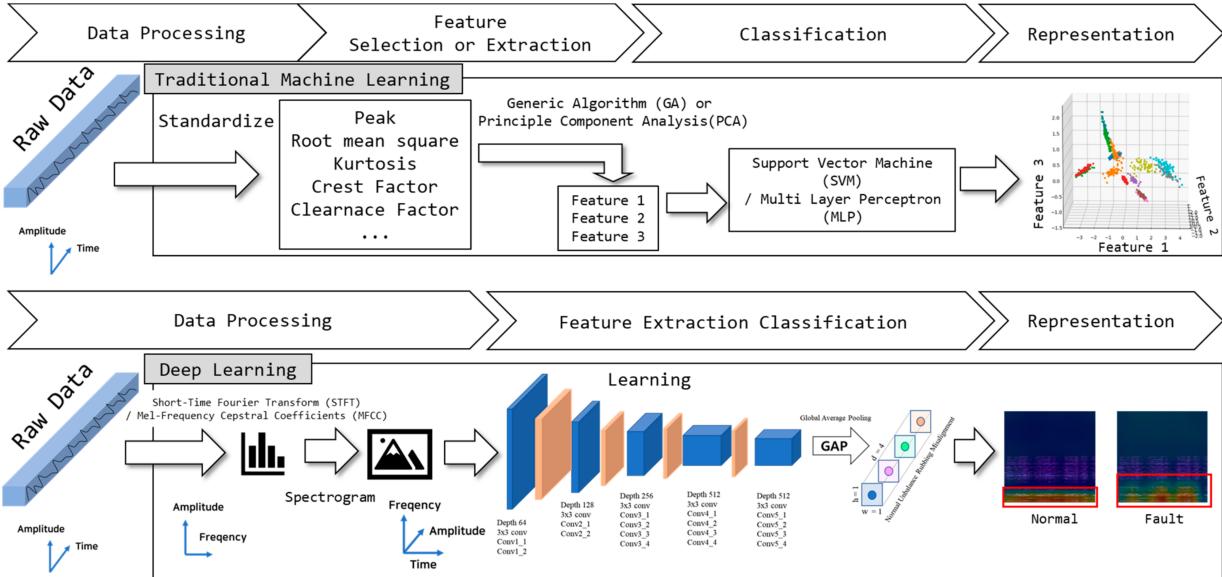


Figure 1.2: State-of-the-art approaches for vibration data classification applied to predictive maintenance (source: [?]).

## 1.2 Bonfiglioli

The main motivation of this thesis work was the development and testing of an unconventional deep learning approach, based on complex-valued neural networks, on a series of datasets provided to FBK by Bonfiglioli 1.3, a worldwide designer, manufacturer and distributor of a complete range of gearmotors, drive systems, planetary gearboxes and inverters.

The company provided a large number of datasets collected from as many experiments, with the purpose of simulating artificially the most frequent faults, that usually occur over the bearings of different kind of engines.

### 1.2.1 Simulation Environment

Data have been collected at the Bonfiglioli headquarters of Rovereto (TN), with the experimental setup schematized in figure 1.4. The laboratory is constituted of four different workbenches in which different experiments can be conducted. In each workbench, a lab-scale rotating simulation equipment is installed, constituted

In the experiments, faults were artificially simulated using mechanical tricks (e.g. unbalance is simulated attaching a small object to the shaft)

data were collected through an accelerometer fixed over the bearing + other measurements

### 1.2.2 Datasets

In these last months, the Bonfiglioli laboratory have setup different experiments, in order to provide data relative to different kind of engines and for different types of simulated faults. For each of those runs, containing 120 hours of measurements, a dataset in .h5 format has been provided, with the values registered during a working cycle. Those datasets had an internal structure quite mazy, and so we had to rely on a custom library, provided by FBK researchers, to load and process the data. Each sample contains several entries, related to the different variables measured during the process:



Figure 1.3: Bonfiglioli logo.

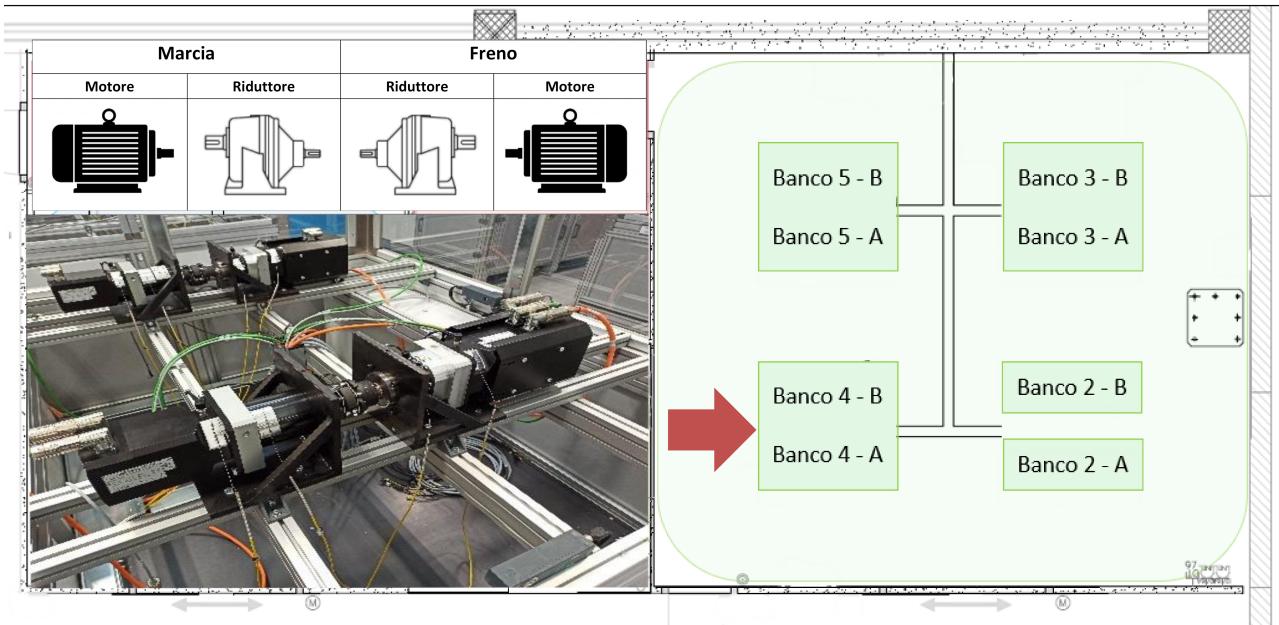


Figure 1.4: Schematic representation of the experimental workbench used by Bonfiglioli.

beyond vibration signals collected through the accelerometers, Bonfiglioli decided to monitor also the temperature of some components, voltage and current flowing through them, together with the phase information of the inverter. Additionally, for the experiments realized more recently, they used an additional component in their setup, a *multiplier*, providing a second vibration signal.

However, for what concern our work, we are interested only in vibration signals.

In table 1.1 we leave a small summary containing the main technical details relative to each trial that we decided to use in our analysis.

Another interesting fact to specify is that

Sampling was performed because a vibration is a periodic signal in the time domain [43], and most fault signals have periodicity. Therefore, sampling is used to examine the consistency and continuity of each condition using the features calculated from the signals

The signal segmentation for sampling was based on the rotational frequency of the rotor. Generally, in rotating equipment, the rotational frequency is the most dominant component, and the majority of fault components appear in the harmonic form of the rotational frequency.

Then describe train-test split and number of signals of each type

### 1.2.3 Baseline Classification Approach

## 1.3 Mendelay Data

The last dataset we are going to analyze for this chapter is the Mendeley Dataset [?]: a collection of vibration signals collected from bearings with different health conditions and under different time-varying speed conditions. The problem is again an healthy-faulty classification task with two different "bad" classes: faulty with an inner race defect and faulty with an outer race defect.

The experiments have been realized over a machinery fault simulator with the setup shown in 1.5. The shafts is driven by a motor which rotational speed is controlled by an AC Drive. Two ball bearings are installed to support the shaft: the left one is healthy, while the one on the right is the experimental bearing, replaced during each experiment with a component of a different health condition. Again, vibration data are collected thanks to an accelerometer fixed on the housing of the experimental bearings, while an incremental encoder is used to collect the rotational speed values.

N	Name	Subname	Engine A	Duration	Fault
4	Prova 4 - BN90 - HF Sbilanciato	4_1	BN90	24	Unbalance
4	Prova 4 - BN90 - HF Sbilanciato	4_2	BN90	120	Unbalance
5	Prova 5 - MP105 - HF Cuscinetto	5_1	BMD118	24	Bearing
5	Prova 5 - MP105 - HF Cuscinetto	5_2	BMD118	?	Bearing
5	Prova 5 - MP105 - HF Cuscinetto	5_3	BMD118	120	Bearing
5	Prova 5 - MP105 - HF Cuscinetto	5_4	BMD118	100	Bearing
6	Prova 6 - BN90 - HF Cuscinetto	6_3	BN90	100	Bearing
6	Prova 6 - BN90 - HF Cuscinetto	6_4	BN90	100	Bearing
10	Prova 10 - MP105 - HF Solare	10_1	BMD118	120	Solar
10	Prova 10 - MP105 - HF Solare	10_2	BMD118	24	Solar
10	Prova 10 - MP105 - HF Solare	10_3	BMD118	24	Solar
10	Prova 10 - MP105 - HF Solare	10_4	BMD118	120	Solar
11	Prova 11- S30 - HF Cuscinetto	11_1	BN112	120	Bearing
13	Prova 13 - S30 - HF Pignone	13_1	BN112	120	Pinion
15	Prova 15 - S30 - HF Corona	15_1	BN112	78	Crown
15	Prova 15 - S30 - HF Corona	15_2	BN112	48	Crown

Table 1.1: Summary of the main technical features of the datasets provided by Bonfiglioli and used in our analysis.

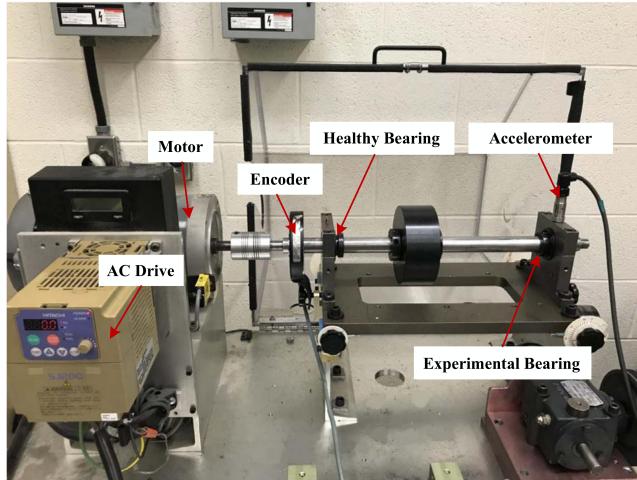


Figure 1.5: Experimental setup for Mendeley data.

These datasets were collected and reorganized with the purpose of evaluating the effectiveness of methods developed for bearing fault diagnosis under time varying speed conditions. This last point is the main difference with most of vibration datasets available from actual literature, that have been collected under constant speed condition (as Bonfiglioli's). The complex-valued models we have developed so far, however, were not properly designed to work on such dynamic signals, but this still represents an opportunity to stress and push to the limit the approach we have designed.

### 1.3.1 Dataset Structure

Given the various general purposes for which this dataset was designed (i.e. condition monitoring and analysis of bearings' frequency characteristics under time-varying rotational speed conditions), its internal structure is slightly intricate. First of all, each sample has two channels, one for vibration data and the other for rotational speed data. Each signal is sampled at 200000 Hz and the sampling duration is 10 s. The whole collection of signals is divided into 36 different datasets, depending on two experimental settings:

- *health condition* (healthy, faulty with inner race defect, faulty with outer race defect);

- *speed varying condition* (increasing speed, decreasing speed, increasing then decreasing speed and decreasing then increasing speed).

Therefore, there are 12 different cases for configuration, each of them constituted of 3 trials, to ensure the authenticity of the data, that explain the 36 subsets. Raw signals and corresponding spectrograms are, in the end, visually similar to the ones of Bonfiglioli ???. Data in the second channel, containing speed information, can be properly visualized via their spectrograms, looking at the frequency changes in the signal through the time (figure 1.6). For the data generation part, two parameters still needs

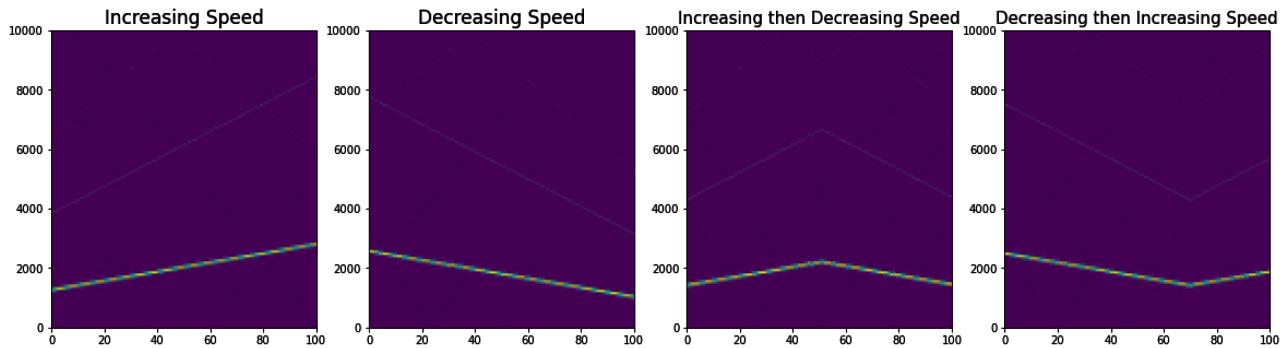


Figure 1.6: Spectrograms of the four varying-speed conditions of Mendelay data.

to be fixed:

- the `n_fft` of `torchaudio.transform.Spectrogram`, representing the resolution of the spectrogram;
- the "split rate" parameter, determining the number of subsegments in which each signal from the dataset has to be split.

The latter turns out to be quite important in this problem: recall, in fact, that each vibration registered in the dataset is 10 seconds long, with a sample rate of 200000 Hz, and so it is constituted by a total of  $2 \cdot 10^6$  points, and so is quite long. Furthermore, the dataset itself is quite small: only  $36 \cdot 3 = 108$  signals, number that could be increased just splitting them.

### 1.3.2 Mendeley Classification

We start by fixing the length of the subsignals equal to the sample rate (200000 points): as discussed in ??, it is quite common that fault signals have periodicity, and we believe that the sampling rate provided has been chosen to properly detect this feature. Now, we have a dataset of 360, one second long, vibrations. Train-test splitting is again 75% – 25%.

Even if they were not designed to deal with vibration signals registered in non-stationary conditions (with varying speed), we decided to rely on the same architecture built for Bonfiglioli analysis ??.

We trained both models on the Mendelay dataset with all the setup described above, and the results are briefly summarized in picture 1.7. Those are very bad results: the training errors and accuracy,

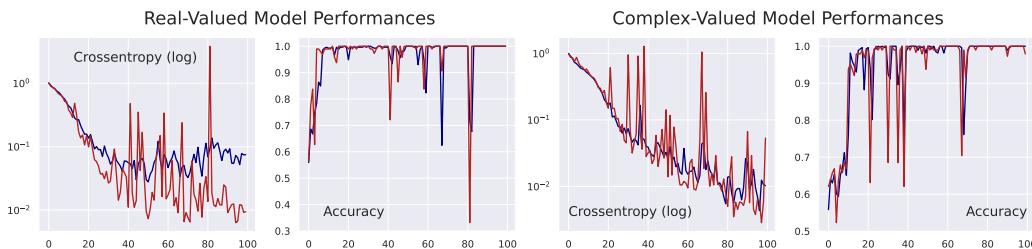


Figure 1.7: Performances achieved over the Mendelay dataset constructing one-second long sub-signals.

especially in the real-valued case, behaves nicely, but the models look like having bad generalization performances, given the high instability that we can notice on the validation lines. Now, since the architecture is already quite small, and we have already exploited the canonical techniques to prevent

overfitting (normalization, dropout) what we can do is acting directly on the dataset.

Other tests realized have proved that using only the files that belong to the same speed class (increasing, decreasing, increasing then decreasing or decreasing then increasing), so keeping only monotonic or non-monotonic speed samples together, we noticed that the overfit and the instability were more limited.

Under this perspective, we believe that further reducing the length of input signals, even before constructing the spectrograms, we can manage to reduce also the effects due to high variations in rotational speed. To prove it, we repeated the train considering samples 0.25 seconds long. In this way we have much more samples (3600) in the dataset. For completeness, it is better to specify that

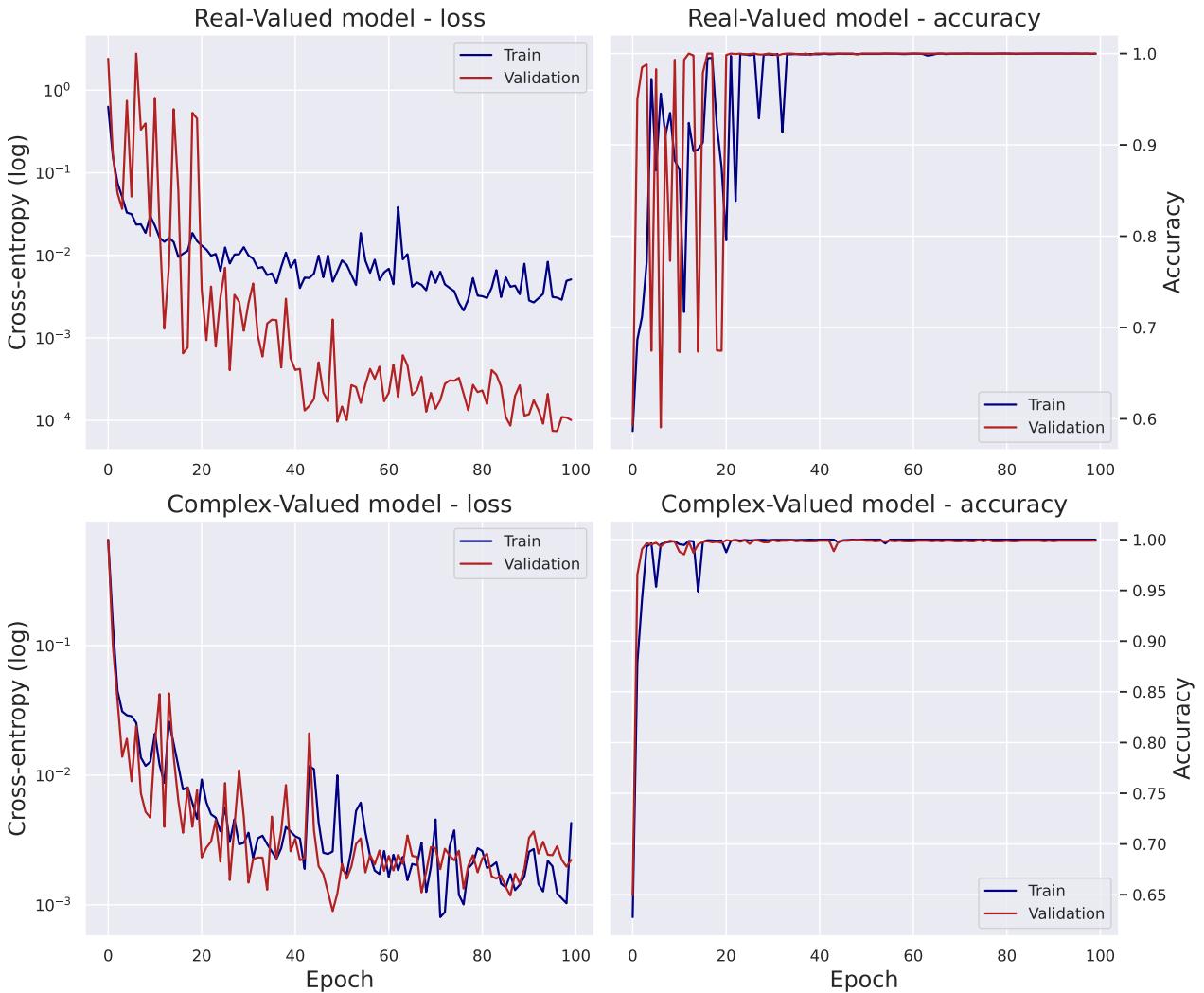


Figure 1.8: Performances achieved over the Mendelay dataset constructing 0.25 seconds long sub-signals.

to obtain the results shown in figure 1.8 we established a decay schedule for learning rate, in the hope of a faster, but more accurate, convergence.

Finally, this is a really nice behavior, with both models reaching the convergence and the perfect classification (100%) accuracy. This means that our supposition was probably right, and a suitable approach to signal classification in case of time-varying speed conditions, is to fragment the original wave into smaller samples to reduced the effects of this non-stationarity. Of course, we believe that a necessary hypotheses for this to happen is some kind of monotony in the rotational speed variation: also in the third and fourth cases 1.6, we could clearly distinguish two regions in which the velocity behavior was monotonic and amenable to the first two. Probably, an higher irregularity in the rotational speed would have made also the classification more unstable and challenging, but we would need further more datasets to verify it.