Journal of Engineering and Technology for Industrial Applications

ISSN 2447-0228

December 2025 Volume 11/ No 56



Editor-in-Chief: J. C. Leite

www.itegam-jetia.org

ITEGAM - JETIA ISSN 2447-0228 Online
Journal of Engineering and Technology for Industrial Applications (JETIA)

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Publication Information:
ITEGAM-JETIA (ISSN 2447-0228), (online) is published by Galileo Institute of Technology and Education of the Amazon on a every two months (February, April, June, August, October and December).

Contact information:

Web page: www.itegam-jetia.org
Email: editor@itegam-jetia.org
Galileo Institute of Technology and Education of the Amazon (ITEGAM).

Joaquim Nabuco Avenue, No. 1950. Center. Manaus, Amazonas. Brazil.
Zip Code: 69020-031. Phone: (92) 3584-6145.

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Journal of Engineering and Technology for Industrial Applications (JETIA)

ITEGAM-JETIA. v.11, n.56. December of 2025. Manaus - Amazonas, Brazil. ISSN 2447-0228 (ONLINE)
https://www.itegam-jetia.org

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.01-06. November/December., 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2153

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

GENERALIZATION OF THE SIRM EPIDEMIOLOGICAL MODEL WITH NUMERICAL SOLUTION VIA RUNGE-KUTTA FOR MULTIPLE INFECTIOUS DISEASES IN AN INTERACTIVE ENVIRONMENT

Matheus Eduardo Amazonas Costa[1] and Manoel do Socorro Santos Azevedo[2]

[1] University of the State of Amazonas - UEA. Manaus-Amazonas, Brazil.
[2]Quantum Information Technology Laboratory - LATIQ. Manaus-Amazonas, Brazil.

[1]http://orcid.org/0009-0003-5723-6137, [2]https: //orcid.org/0000-0002-0611-2906

Email: meac.eng24@uea.edu.br, mazevedo@uea.edu.br

ARTICLE INFO

Article History
Received: June 2, 2025.
Revised: September 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Epidemiological modeling
Runge-Kutta method
SIRM model
Infectious diseases

ABSTRACT

This work proposes an extension and generalization of the SIRM epidemiological model, previously applied to COVID-19, to simulate the evolution of various infectious diseases. The system of ordinary differential equations is solved using the fourth-order Runge-Kutta method, known for its accuracy and stability. The developed system is implemented in the Python programming language with an interactive interface, allowing the selection of different diseases, automatic parameterization, and export of results. The goal is to provide an educational and decision-support tool for researchers and public health managers.

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I. INTRODUCTION

Mathematical modeling has been a powerful tool in analyzing the dynamics of infectious diseases, especially in the context of outbreaks and pandemics. By constructing systems of differential equations that describe the transition of individuals between different health states (such as susceptible, infected, and recovered), models like SIR (Susceptible-Infected-Recovered) and its extensions enable the understanding and prediction of epidemic evolution over time. The SIRM model, in turn, adds a compartment for deaths (M - Mortality), offering a more realistic view for diseases with significant lethality. Although simplified, these models are useful for estimating the infection peak, the duration of an outbreak, and the impact of intervention measures.

During the COVID-19 pandemic, numerous studies applied variations of the SIR model to simulate the virus's spread in different regions, such as the baseline study used in this work, which applies the SIRM model to COVID-19 in the state of Bahia using the fourth-order Runge-Kutta method implemented in C. Despite the robustness of the numerical method employed, these applications are generally limited to a single disease, require manual code rewriting for new scenarios, and lack flexibility for interactive simulation. Therefore, there is a need for a more general, accessible, and reusable solution that can be used by both researchers and health professionals, even those without technical programming backgrounds.

In this context, this work proposes an expansion of the SIRM model through the implementation of a universal system in the Python programming language, capable of simulating different infectious diseases based on previously known or expert-defined parameters. The tool uses the fourth-order Runge-Kutta method to numerically solve the model's differential equations, ensuring stability and good accuracy in the simulations. Furthermore, an interactive interface based on widgets was developed, allowing the user to select the disease, adjust the simulation period, and visualize the results graphically, in addition to exporting the data in CSV format. This approach aims to make epidemiological modeling more accessible and useful in educational, academic, and operational settings, promoting a solid foundation for scenario analysis and decision-making in public health [1].

II. THEORETICAL REFERENCE

Compartmental epidemiological models are widely used to mathematically represent the dynamics of infectious diseases in populations. Among the classical models, the SIR (Susceptible-Infected-Recovered) model, proposed by Kermack and McKendrick in 1927, stands out by dividing the population into three groups: susceptible (S), infected (I), and recovered (R). The variation in the number of individuals in each compartment over time is described by a system of ordinary differential equations (ODEs), which considers the transmission and recovery rates of the disease. The SIRM model is an extension of the SIR model, with the addition of a fourth variable: deaths (M), allowing the representation of diseases with a significant mortality rate. This model assumes a closed population, where the sum of all compartments remains constant, disregarding births and migrations. The system of differential equations that defines the SIRM model is given by:

$$\frac{dS}{dt} = -\beta \cdot \frac{S \cdot I}{N} \tag{1}$$

$$\frac{dI}{dt} = \beta \cdot \frac{S \cdot I}{N} - \gamma \cdot I - \mu \cdot I \tag{2}$$

$$\frac{dR}{dt} = \gamma \cdot I \tag{3}$$

$$\frac{dM}{dt} = \mu \cdot I \tag{4}$$

Where:

- β represents the transmission rate;
- γ is the recovery rate;
- μ is the mortality rate;
- $N = S + I + R + M$ is the total population.

To numerically solve this system of ODEs, various methods can be employed. Among them, the Euler method is the simplest, but it presents limitations in terms of stability and precision, especially in long-term simulations. Therefore, this study adopts the fourth-order Runge-Kutta method (RK4), widely used for its balance between computational efficiency and accuracy. RK4 calculates the evolution of the variables in discrete time steps with reduced truncation error compared to lower-order methods. In the RK4 method, each new state estimate is obtained based on four intermediate approximations (k1, k2, k3, k4), which ensures greater fidelity to the exact solution of the ODE. This characteristic is particularly important in epidemiological models, where small variations in parameters can lead to significant differences in simulated outcomes.

III. METHODOLOGY

This work was grounded in a Systematic Literature Review (SLR) on the application of the Runge-Kutta method, with an emphasis on its use in solving ordinary differential equations related to dynamic modeling. The review highlighted that the fourth-order Runge-Kutta method (RK4) offers excellent performance in terms of precision, stability, and applicability, and is widely adopted in epidemiological studies. These findings supported the methodological choice of this project, which aims to build a generalizable and accessible epidemiological model. Based on this theoretical foundation, the SIRM model was implemented in the Python programming language, with an emphasis on flexibility and usability. The system allows users to simulate different infectious diseases using a predefined and easily customizable set of parameters.

Numerical resolution of the model was performed through a manual implementation of the RK4 method, rather than using built-in solutions like *odeint*, to maintain full control over the algorithm and reinforce the educational nature of the tool. The parameters for each disease — such as the transmission rate (β\beta), recovery rate (γ\gamma), and mortality rate (μ\mu) were originally organized in a Python dictionary containing characteristics of diseases such as COVID-19, H1N1, Dengue, Measles, and Malaria. This structure allows for the easy addition of new diseases, making the system scalable and adaptable to various epidemiological contexts.
The simulation takes place in an interactive environment built with *ipywidgets*, where the user can:

- Select the disease to simulate;
- Define the number of prediction days;
- Visualize the evolution of population compartments over time (S, I, R, M);
- Export results in .csv format for further analysis.

The tool was published in Google *Colab* to ensure open and free access, reinforcing its educational and public-oriented character. The notebook is available at:



Figure 1: https://colab.research.google.com/drive/1frnET5lu9mYqsOPviZLU17hi4JzFsfOv?usp=sharing,
Source: Authors, (2025).

This methodological approach combines mathematical rigor, technical foundation, and practical accessibility, making the model suitable for both educational purposes and decision support in public health contexts. To enhance interactivity and pedagogical utility, the interface was expanded to allow manual selection of key epidemiological parameters. Users can adjust the transmission rate, recovery rate, and mortality rate using sliders, which enables the exploration of various hypothetical scenarios without modifying the source code. This feature transforms the tool into a flexible environment for educational use, comparative simulations, and parameter sensitivity analysis.

IV. BIBLIOGRAPHIC REVIEW

IV.1 RUNGE-KUTTA METHOD AND NEURAL NETWORKS FOR NUMERICAL APPROXIMATION OF ORDINARY DIFFERENTIAL EQUATIONS

In this article, a combination of numerical methods and artificial intelligence is employed to obtain solution points for an initial value problem [2], based on the justification that numerical methods are often more efficient than analytical ones when dealing with nonlinear problems in Engineering and Science. The authors train a neural network to approximate the solution using data points generated by the fourth-order Runge-Kutta method (RK-4). Both the numerical method and the neural network are implemented in Python. The results show that the hybrid model outperforms the RK-4 method when both are applied with the same number of points over an extended interval but does not surpass RK-4 when it uses a fixed step size — highlighting the importance of choosing an appropriate numerical step. Moreover, the hybrid model performs better than a previous version based on Euler's method, especially in problems involving more challenging parameters. The study concludes that, although promising, the approach requires further optimization of the neural network architecture to improve its generalization, suggesting future investigations into adaptive loss functions and more complex network structures.

IV.2 SIR MODEL SOLUTION USING 2ND ORDER RUNGE-KUTTA

The SIR model (Susceptible-Infected-Recovered) is an epidemic forecasting model that uses the number of infected individuals within a population to predict the progression of a disease. Menezes and Santos (2021) applied the SIR model, along with its components and a second-order Runge-Kutta algorithm, to simulate the progression of COVID-19 in the state of Paraíba, Brazil. The authors calculated the contagion rate and recovery factor using real data. The method was tested over two different periods: July 2020 and April 2021. The results show that the estimates were accurate during the early stages, but less reliable in later phases, due to the underestimation of the transmission rate once the infection had become widespread. It was concluded that the SIR model with Runge-Kutta is effective in the initial phases of an epidemic but requires adjustments or alternative methods for later stages, when the dynamics of contagion become more complex [3].

IV.3 SIRM POPULATION DYNAMICS MODELING APPLIED TO COVID-19 IN THE STATE OF BAHIA USING THE 4TH ORDER RUNGE-KUTTA METHOD

During the COVID-19 pandemic, the state of Bahia experienced a high number of infections and deaths due to its large population. While the SIR model was used across the country to predict local disease progression, [1] proposed an adaptation of the model to SIRM (Susceptible-Infected-Recovered-Deceased) and developed a computational implementation of the fourth-order Runge-Kutta method in C to solve the SIRM system. The authors analyzed real data from July to August 2021, adjusting parameters such as transmission, recovery, and mortality rates. The results showed high accuracy in estimating cumulative deaths, with a relative error of less than 2%, and satisfactory performance for active and new cases, despite some discrepancies attributed to underreporting and weekend data delays. The study concluded that the model is effective for short-term forecasting and useful for guiding public policies, highlighting the viability of numerical methods in epidemiology even when simplifications — such as excluding reinfections and vaccination — are made. The source code is publicly available for replication and future improvements.

IV.4 4th ORDER EULER AND RUNGE-KUTTA METHODS USING A GEOGEBRA APPLET

This article presents the development of an interactive applet in GeoGebra designed to teach and compare the numerical methods of Euler, Improved Euler, and fourth-order Runge-Kutta in solving Initial Value Problems (IVPs) associated with Ordinary Differential Equations (ODEs). The applet allows users to input an ODE and an initial condition, view approximate solutions, and adjust the step size h, facilitating the understanding of the relationship between accuracy and step size. Bezerra and Ramos (2020) demonstrate, through examples, that the Runge-Kutta method provides greater accuracy compared to the Euler and Improved Euler methods. The applet,

available online, serves as an accessible educational tool that does not require advanced programming knowledge and can be adapted for other types of ODEs [4].

IV.5 INTEGRATING ARTIFICIAL INTELLIGENCE WITH MECHANISTIC EPIDEMIOLOGICAL MODELS

Recent research has explored the integration of artificial intelligence with mechanistic epidemiological models to enhance their predictive capabilities. [5] proposed a framework that combines traditional compartmental models, such as SEIR, with deep learning components to adjust parameters dynamically and improve forecasting in real-time. Their results indicate that hybrid approaches can outperform purely data-driven or purely mechanistic models, especially when working with incomplete or noisy epidemiological data. This integration represents a significant advancement in the adaptability and accuracy of simulation tools used in public health monitoring and planning.

IV.6 COMPARISON OF NUMERICAL SIMULATION OF EPIDEMIOLOGICAL MODEL BETWEEN EULER METHOD WITH 4TH ORDER RUNGE KUTTA METHOD

The choice of numerical method can significantly impact the accuracy of simulations in compartmental epidemic models. [6] conducted a comparative analysis between the Euler method and the fourth-order Runge-Kutta method (RK4) applied to the SIR model. Their findings confirmed that RK4 produces more stable and accurate results, especially in long-term simulations or when the system exhibits nonlinear dynamics. The study reinforces the rationale for choosing RK4 in scenarios where computational reliability is critical.

IV.7 NEURAL NETWORKS TO MODEL COVID-19 DYNAMICS AND ALLOCATE HEALTHCARE RESOURCES

The use of neural networks to model disease progression has gained prominence due to their capacity to learn nonlinear relationships from data. [7] applied a neural network-based model to predict the dynamics of COVID-19 and allocate healthcare resources efficiently. By training the model with real-world case data, they achieved high accuracy in forecasting short- and mid-term infection curves. Their approach demonstrates the effectiveness of combining AI methods with epidemiological modeling, especially in rapidly evolving scenarios like pandemics.

IV.8 NEURAL NETWORK-ENHANCED DISEASE SPREAD DYNAMICS OVER TIME AND SPACE

Caga-anan (2024) proposed the use of neural networks to dynamically estimate epidemiological parameters in models that evolve over time and space. The study introduced a hybrid approach where a neural network is trained to adjust parameters such as transmission and recovery rates based on synthetic time-series data. This approach enhances the model's adaptability to changing conditions and opens new possibilities for real-time forecasting in public health applications [8].

V. DISCUSSION

The implementation of the SIRM model using the fourth-order Runge-Kutta method (RK4) was successfully applied to simulate various epidemiological scenarios of infectious diseases, including COVID-19, H1N1, Dengue, Measles, and Malaria. The parameters used in each simulation were obtained from scientific literature or based on realistic estimates of transmission, recovery, and mortality rates. The use of a configurable disease dictionary and an interactive graphical interface allowed for quick adaptation of the model to different contexts, highlighting the flexibility of the proposed approach. The generated plots showed that the model was able to reproduce epidemiological behaviors consistent with expectations for each disease.

In the case of COVID-19, for example, the simulation exhibited a marked peak in infections followed by stabilization as individuals transitioned to the recovered or deceased compartments. For highly contagious diseases like Measles, the growth of the infected population was more explosive, while for vector-borne diseases such as Dengue and Malaria, the model still generated useful dynamics despite the simplification of not explicitly modeling the vector (e.g., mosquitoes). Figures 1 to 4 show simulations generated by the SIRM model for COVID-19, H1N1, Measles, and Malaria, respectively. The results highlight the model's ability to represent different epidemic patterns and validate its application to diverse diseases.

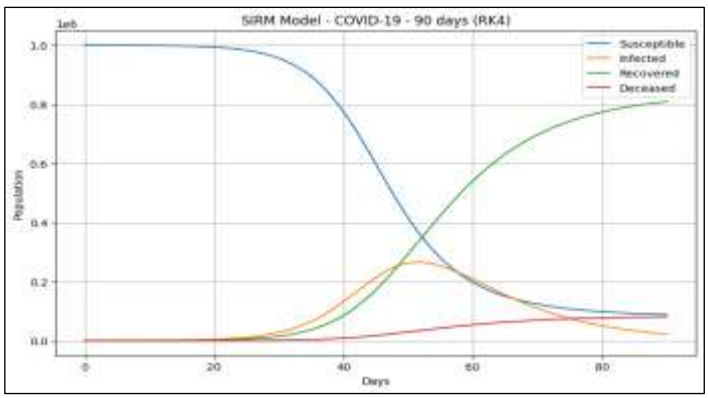


Figure 2: Simulation of the COVID-19 epidemic using the SIRM model over a 90-day period.
Source: Authors, (2025).

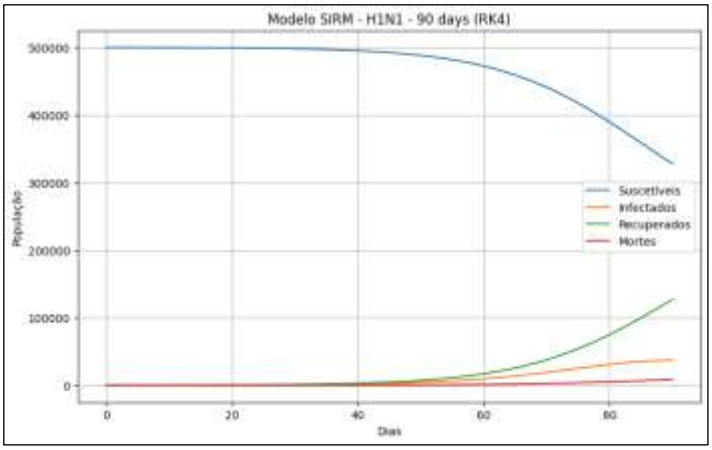


Figure 3: SIRM model simulation for H1N1 over 90 days.
Source: Authors, (2025).

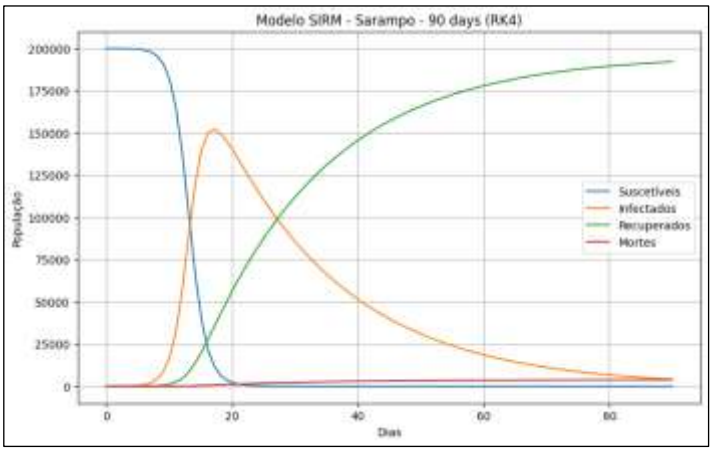


Figure 4: Simulation results for Measles.
Source: Authors, (2025).

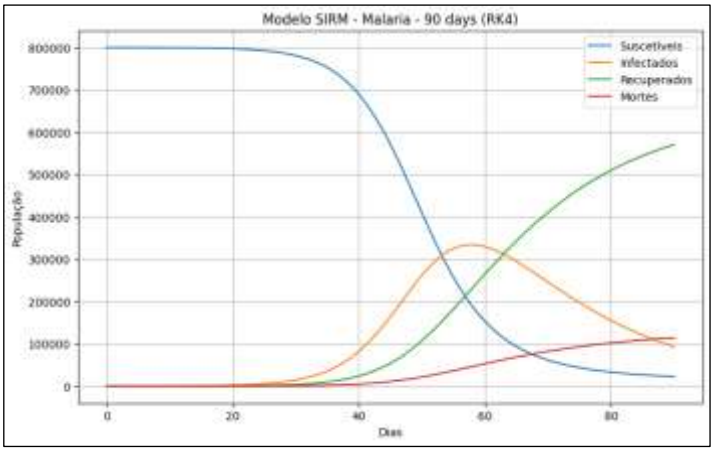


Figure 5: Simulation of Malaria dynamics.
Source: Authors, (2025).

Exporting the results to CSV files enabled quantitative analysis of the S, I, R, and M values over time. These data can be used for comparative studies, calibration with real-world datasets, and as support for decision-making processes — providing insights into potential strategies such as vaccination campaigns, social distancing policies, or hospital resource allocation. Regarding the numerical method employed, the RK4 method proved to be highly effective, delivering stable and accurate results in all simulations. When compared to lower-order methods such as explicit Euler, RK4 was found to be less sensitive to oscillations and numerical errors, especially in long-term simulations or in scenarios involving high parameter sensitivity.

Execution time remained efficient even in simulations ranging from 90 to 180 days. Another important feature of the system is its accessibility. Implemented in Python with an interactive interface built using *ipywidgets*, the model can be used in educational settings, workshops, or training environments, enabling users with little to no programming experience to explore different epidemiological scenarios in a visual and intuitive way. This sets it apart from previous static implementations, such as the C-language version focused solely on COVID-19, which offered little flexibility for generalization or interaction.

Despite the promising results and flexibility of the proposed SIRM-based simulation system, several limitations must be acknowledged. First, the current model does not account for vector-borne transmission dynamics, which are essential for accurately modeling diseases such as Dengue and Malaria. These infections involve mosquito vectors, and their population behavior significantly influences the spread of the disease — a factor not captured in the present formulation. Additionally, the model assumes a closed population with no reinfection, vaccination, migration, or seasonal effects, which limits its realism in long-term or complex epidemiological contexts.

Another constraint is related to the fixed-step fourth-order Runge-Kutta method: while it offers strong accuracy and stability, it may not be optimal for scenarios involving rapid changes or multiple peaks, where adaptive time-stepping methods could perform better. Lastly, the simulations rely on predefined parameters and not real-time epidemiological data, which restricts the model's capacity for real-world forecasting without external calibration. Although the model is a simplification of reality, it provides a solid foundation for preliminary outbreak studies and can be expanded to include new compartments (e.g., vaccinated, hospitalized, exposed) or integrated with real-time data. The modularity of the current implementation makes it a promising starting point for more advanced applications in computational epidemiology.

VI. CONCLUSION

This study presented an expansion of the SIRM epidemiological model, aiming to make it more flexible, accessible, and applicable to various infectious diseases. The implementation in Python, combined with the numerical solution provided by the fourth-order Runge-Kutta method (RK4), enabled the creation of an efficient and interactive system capable of simulating multiple epidemiological scenarios with precision and stability. Unlike static models tailored to specific diseases, such as COVID-19, the proposed solution incorporates a parameterized disease dictionary, allowing for model generalization without code rewrites. The use of an interactive graphical interface makes the tool suitable for use by non-programmers, broadening its potential in educational, research, and public health contexts.

The simulations demonstrated that the model successfully captured the dynamic behavior of various diseases. The automatic generation of plots and export of simulation results in CSV format further enhanced the system's utility for quantitative analysis and health planning.Future work may include the integration of new compartments into the model (e.g., vaccinated or exposed individuals), connection to real-world epidemiological databases via APIs, and the use of machine learning techniques to automatically calibrate parameters based on historical data. The current system's modular design provides a robust foundation for these future developments, with strong potential to support real-time outbreak monitoring and control.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Matheus Eduardo Amazonas Costa and Manoel do Socorro Santos Azevedo.
Methodology: Manoel do Socorro Santos Azevedo.
Investigation: Matheus Eduardo Amazonas Costa and Manoel do Socorro Santos Azevedo.
Writing – Original Draft: Matheus Eduardo Amazonas Costa and Manoel do Socorro Santos Azevedo.
Writing – Review and Editing: Matheus Eduardo Amazonas Costa and Manoel do Socorro Santos Azevedo.
Resources: Manoel do Socorro Santos Azevedo.
Supervision: Matheus Eduardo Amazonas Costa and Manoel do Socorro Santos Azevedo.
Approval of the final text: Matheus Eduardo Amazonas Costa and Manoel do Socorro Santos Azevedo.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.07-19. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2154

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

FAULT DETECTION OF STATOR WINDINGS FOR PMSM BASED ON FAST FOURIER AND DISCRETE WAVELET TRANSFORM

Abdelmoumin Ouali[1], Djalal Eddine Khodja[2], Hassina Megherbi[3] and Ibrahim Chouidira[4]

[1] Department of Electrical Engineering, LI3CUB Laboratory, University of Biskra, Algeria.
[2, 4] Department of Electrical Engineering, LGE Laboratory, University of M'Sila, Algeria.
[3] Faculty of Technology, LARHYSS Laboratory, University of Biskra, Algeria.

[1]http://orcid.org/0009-0005-9423-6851, [2]http://orcid.org/0000-0002-2829-7606
[3]http://orcid.org/0000-0002-7189-7674, [4]http://orcid.org/0000-0002-4735-1217.

Email: abdelmoumin.ouali@univ-biskra.dz, djalaleddine.khodja@univ-msila.dz, h.megherbi@univ-biskra.dz, ibrahim.chouidira@univ-msila.dz.

ARTICLE INFO

Article History
Received: June 3, 2025.
Revised: September 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
PMSM,
Inter-turn short circuit (ITSC),
Fault detection,
Fast Fourier transform (FFT),
Discrete wavelet transform (DWT).

ABSTRACT

Fault detection in permanent magnet synchronous motor (PMSM) is important and necessary to ensure reliability, performance and reduce downtime. In this study, a mathematical model is developed that describes the healthy and faulty states of the PMSM, including inter-turn short circuit (ITSC) faults. This dynamic mathematical model is simulated and its performance and behavior under different fault conditions are studied. Fast Fourier transform (FFT) technique is employed to analyze the frequency spectrum of motor speed and stator current signals, which allows us to detect harmonic distortions caused by short circuit faults in the windings. However, FFT technique is not sufficient for non-stationary conditions. To address this, the discrete wavelet transform (DWT) is utilized to analyze motor signals across various frequency ranges, which allows the detection of faults under non-stationary conditions and improves the accuracy of diagnosis under real operating conditions. The effectiveness of the studied techniques is demonstrated through simulation, with DWT showing superior performance in detection of PMSM faults.

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I. INTRODUCTION

Permanent magnet synchronous motor (PMSM) are among the most widely used types of motors and have been commonly employed in various industrial applications, including electric vehicles, aircraft, wind generators, ship propulsion motors [1-3]. This motor has a compact size, lightweight design, and high load capacity, indicating that PMSM offers high torque density and excellent dynamic performance [4], [5]. Nonetheless, PMSM is susceptible to diverse forms of damage, including electrical faults in the stator windings, magnetic issues involving the permanent magnets and mechanical defects such as imbalance, bearing failures and eccentricity, which arise from various stresses during prolonged operation in severe environmental circumstances, and is influenced by the fluctuating power supply and load parameters [6].

The stator insulation thermal stress condition, leading to an inter-turn short circuit (ITSC), is a common electrical fault in permanent magnet synchronous motors. Short circuit faults between windings constitute 30% to 40% of failures in Permanent Magnet Synchronous Motors (PMSM) [7], [8]. This fault type arises from many pressures impacting the stator windings, including electrical, mechanical, thermal, and environmental loads [9]. The effects are amplified in electrical equipment that uses transformers [10]. The stator winding faults of PMSM cause significant current surges. These faults must be detected and identified quickly to avoid power losses [8]. Tolerating these damages in their initial stage and detecting and identifying them is a fundamental issue [11].

Various models have been established to examine and evaluate the effect of ITSC on synchronous machines in both normal and defective conditions [12], [13]. Equivalent circuit models are valuable for analyzing and examining the system behavior [14]. Three common fault diagnosis methods exist: based signal method, based model method and based knowledge method. The model-based approach necessitates a precise mathematical representation of the motor, whereas the knowledge-based approach demands comprehensive data and experience from specialists [15]. Consequently, the signal-based approach is extensively employed in PMSM

fault diagnostics due to its efficiency and that it does not require any specific models of motor. In signal processing, the fast Fourier transform (FFT) analyzes the signal as a linear combination of waves with varying frequencies, hence facilitating the extraction and determination of the overall frequency information included in the signal [5], [16]. Furthermore, owing to the absence of temporal information, the FFT applies just to the analysis of stationary conditions. Consequently, time-frequency technique, including wavelet transform (WT), short-time Fourier transform (STFT), have garnered considerable interest from several scholars at present, which can diagnose faults in non-stationary conditions [17-19]. Recently, the discrete wavelet transform (DWT) has been extensively employed in signal processing applications due to its ability to analyze signals in the frequency and time domains.

Numerous studies have investigated the application of DWT in diagnosing faults in electrical machines [20], [21]. This work presents models that enhance the comprehension of the behavior of various parameters of a PMSM within healthy conditions and in the presence of a winding short-circuit fault. The Concordia transform is employed in the equations of a three-phase equivalent model of the machine. Subsequently, using FFT, the frequency domain of both motor current and speed signals is analyzed under different fault conditions. Then, the discrete wavelet transform (DWT) decomposes the stator currents and extracts the wavelet coefficients from these signals. The simulation results in MATLAB indicate the efficacy of both techniques for fault detection.

II. MODEL OF THE PMSM IN THE PRESENCE OF A SHORT-CIRCUIT FAULT

Insulation breakdown between two windings within the same stator phase leads to short circuit faults between windings. To model this fault, we use an inter-winding fault model, as shown in figure 1. In this proposed model, the affected phase is divided into two sub-windings: the short-circuited winding (as2) and the healthy winding (as1). This approach enables us to model and investigate the properties of a motor under various failure scenarios, offering valuable insights for fault detection techniques. A high fault resistance helps to prevent damage to the entire winding. To diagnose and prevent faults, it is essential to evaluate the performance of the machine at different fault resistance values and to predict the faults between turns when the fault development is in the early stages, and the resistance of the fault is relatively high and not close to zero [14].

The ITSC is represented by a variable resistance, which indicates the severity of the insulation failure. As the fault resistance diminishes and approaches zero, the fault develops into a complete short circuit between the windings. This transition from high resistance to nearly zero often occurs rapidly in many insulating materials [9]. The current passing through the fault resistance (Rf) is indicated as (if), and the parameter (μ) is denoted as the ratio of shorted turns (Nf) to the total turns in a phase (Ns). To enable accurate modeling of short circuits between windings, the equations consider the distribution of short circuits and the associated fault resistance. The resistances of the healthy and faulty sections of the stator winding are articulated through the following equations:

$$N_f = N_{as2} = \mu(N_{as1} + N_{as02}) = \mu N_s \tag{1}$$

$$\begin{cases} R_{a1} = (1-\mu)R_a \\ R_{a2} = \mu R_a \end{cases} \tag{2}$$

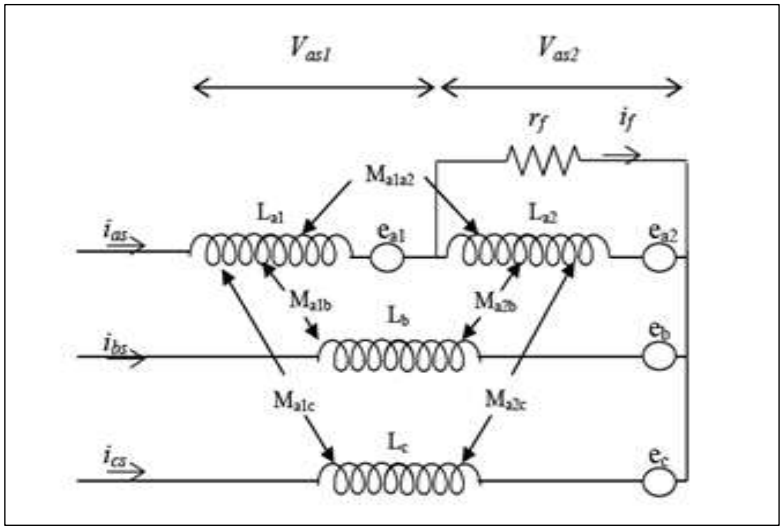


Figure 1: Stator winding with ITSC.
Source: [22].

II.1 MODEL OF A FAULTY PMSM IN FRAME (a, b, c)

To model a PMSM, we made the following simplifying assumptions: the magnetic circuit is considered to have no saturation effects, and temperature effects on parameters are disregarded [10]. The PMSM voltage equations with ITSC in the phase (as) can be expressed in the (abc) frame as follows:

$$V_{as} = (R_{a1} + R_{a2})i_{as} + (L_{a1} + L_{a2} + 2M_{a1a2})\frac{d}{dt}i_{as}(M_{a1b} + M_{a2b})\frac{d}{dt}i_{bs} + (M_{a1c} + M_{a2c})\frac{d}{dt}i_{cs} + (e_{a1} + e_{a2}) - R_{a2}i_f - (L_{a2} + M_{a1a2})\frac{d}{dt}i_f \tag{3}$$

$$V_{bs} = R_s i_{bs} + L\frac{d}{dt}i_{bs} + e_{bs} + (M_{a1b} + M_{a2b})\frac{d}{dt}i_{as} + M\frac{d}{dt}i_{cs} - M_{a2b}\frac{d}{dt}i_f \tag{4}$$

$$V_{cs} = R_s i_{cs} + L\frac{d}{dt}i_{cs} + e_{cs} + (M_{a1c} + M_{a2c})\frac{d}{dt}i_{as} + M\frac{d}{dt}i_{bs} - M_{a2c}\frac{d}{dt}i_f \tag{5}$$

The following relations are commonly accepted:

$$\begin{cases} R_s = R_a = R_{a1} + R_{a2} \\ L = L_{a1} + L_{a2} + 2M_{a1a2} \\ M = M_{a1b} + M_{a2b} = M_{a1c} + M_{a2c} \\ e_a = e_{a1} + e_{a2} = e_{a1} + e_f \end{cases} \tag{6}$$

Typically, the three phases of stator are arranged in a star, resulting in the sum of currents equaling zero: *ias + ibs + ics = 0*. Under these conditions, the homopolar component of the current is zero and only the cyclic inductance of the machine (*Ls = L- M*) limits the phase currents. The PMSM performance in the presence of a short circuit, which can be written as a matrix:

$$\begin{bmatrix} V_{as} \\ V_{bs} \\ V_{cs} \\ 0 \end{bmatrix} = \begin{bmatrix} R_s & 0 & 0 & -R_{a2} \\ 0 & R_s & 0 & 0 \\ 0 & 0 & R_s & 0 \\ -R_{a2} & 0 & 0 & R_{a2} + r_f \end{bmatrix} + \begin{bmatrix} i_{as} \\ i_{bs} \\ i_{cs} \\ i_f \end{bmatrix} + \begin{bmatrix} L_s & 0 & 0 & -L_{a2} - M_{a1a2} \\ 0 & L_s & 0 & -M_{a2b} \\ 0 & 0 & L_s & -M_{a2c} \\ -L_{a2} - M_{a1a2} & -M_{a2b} & -M_{a2c} & L_a \end{bmatrix} \frac{d}{dt} \begin{bmatrix} i_{as} \\ i_{bs} \\ i_{cs} \\ i_f \end{bmatrix} \quad (7) + \begin{bmatrix} e_{as} \\ e_{bs} \\ e_{cs} \\ -e_{a2} \end{bmatrix}$$

The electromagnetic torque generated by a motor during short-circuit fault in the stator can be calculated using the power conservation principle:

$$C_e = \frac{\left(e_{as} i_{as} + e_{bs} i_{bs} + e_{cs} i_{cs} - e_f i_f\right)}{\Omega} \tag{8}$$

II.2 MODEL OF A FAULTY PMSM IN FRAME (α, β)

The concordia transformation is implemented, defined as follows:

$$[\mathrm{T}]^{\mathrm{t}} = \sqrt{\frac{2}{3}} \begin{bmatrix} \frac{1}{\sqrt{2}} & \frac{1}{\sqrt{2}} & \frac{1}{\sqrt{2}} & 0 \\ 1 & -\frac{1}{2} & -\frac{1}{2} & 0 \\ 0 & \sqrt{\frac{3}{2}} & -\sqrt{\frac{3}{2}} & 0 \\ 0 & 0 & 0 & \sqrt{\frac{3}{2}} \end{bmatrix} \tag{9}$$

The PMSM equations with ITSC fault in the reference frame (α, β) are formulated as follows:

$$\begin{bmatrix} V_\alpha \\ V_\beta \\ 0 \end{bmatrix} = \begin{bmatrix} R_s & 0 & -R'_{a2} \\ 0 & R_s & 0 \\ -R'_{a2} & 0 & R'_f \end{bmatrix} \begin{bmatrix} i_\alpha \\ i_\beta \\ i_f \end{bmatrix} + \begin{bmatrix} L_s & 0 & M_{f\alpha} \\ 0 & L_s & M_{f\beta} \\ M_{f\alpha} & M_{f\beta} & L_{a2} \end{bmatrix} \frac{d}{dt} \begin{bmatrix} i_\alpha \\ i_\beta \\ i_f \end{bmatrix} + \begin{bmatrix} e_\alpha \\ e_\beta \\ -e_f \end{bmatrix} \tag{10}$$

Where,

$$R'_{a2} = \sqrt{\frac{2}{3}} R_{a2} \; ; \; R'_f = R_{a2} + r_f \; ; \quad e_f = e_{a2}$$

$$M_{f\alpha} = -\sqrt{\frac{2}{3}} [L_{a2} + M_{a1a2} - (M_{a2b} + M_{a2c})/2] \tag{11}$$

$$M_{f\beta} = -\frac{1}{\sqrt{2}} (M_{a2b} + M_{a2c})$$

III. FFT ANALYSIS OF STATOR FAULT IN PMSM

Fast Fourier transform (FFT) analysis is an important tool for identifying and detecting stator winding faults in PMSMs. When the observed spectrum is compared to a correctly operating motor, any anomalous changes in the amplitude of certain frequency components may indicate an ITSC fault in the stator winding [22], [8]. ITSC faults directly affect individual multiples of the fundamental frequency. These anomalies in the spectrum act as indicators for detecting faults.

IV. DISCRETE WAVELET TRANSFORM (DWT)

Wavelet analysis is a technique based on the time and frequency domains that performs signal decomposition into a collection of oscillatory components as wavelets [23], [24]. The fundamental concept of decomposition involves low-pass and high-pass filtering by down-sampling and up-sampling, respectively. Wavelet decomposition is a hierarchically structured process. The level of decomposition

can be selected according to a specified cutoff frequency [25], [26]. As seen in Figure 2, the forward DWT coefficients are computed by successively filtering the discrete time domain signal x(n) with low-pass g(n) and high-pass h(n) with variations in sampling rates [10].

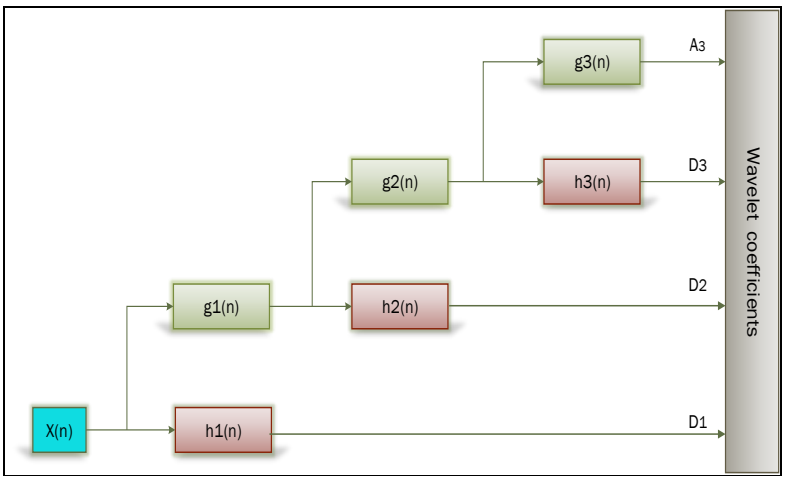


Figure 2: DWT three level decomposition tree.
Source: Authors, (2025).

IV.1 DWT OF STATOR CURRENT ANALYSIS

The stator phase currents are analyzed using the DWT to decompose the signal and extract features indicative of ITSC faults. Daubechies 44 (db44) wavelet is selected as the mother wavelet. The number of decomposition levels is determined by [27]:

$$Ns = int\left(\frac{\log\left(\frac{f}{fs}\right)}{\log(2)}\right) + 1\ 0r\ 2 \tag{12}$$

This analysis utilized a sampling frequency of f=10000 samples/sec, fs = 50Hz, and commonly employed db44 as the mother wavelet. The frequency bands of wavelet decomposition of the stator current are detailed in Table 1.

Table 1: Frequency bands of wavelet decomposition.

Decomposition details	Frequency bands (Hz)
Detail at level 1 (d1)	[2500-5000]
Detail at level 2 (d2)	[1250-2500]
Detail at level 3 (d3)	[625-1250]
Detail at level 4 (d4)	[312.5-625]
Detail at level 5 (d5)	[156.25-312.5]
Detail at level 6 (d6)	[78.12-156.25]
Detail at level 7 (d7)	[39.06-78.12]
Detail at level 8 (d8)	[19.53-39.06]
Detail at level 9 (d9)	[9.76-19.53]

Source: Authors, (2025).

V. RESULTS AND DISCUSSIONS

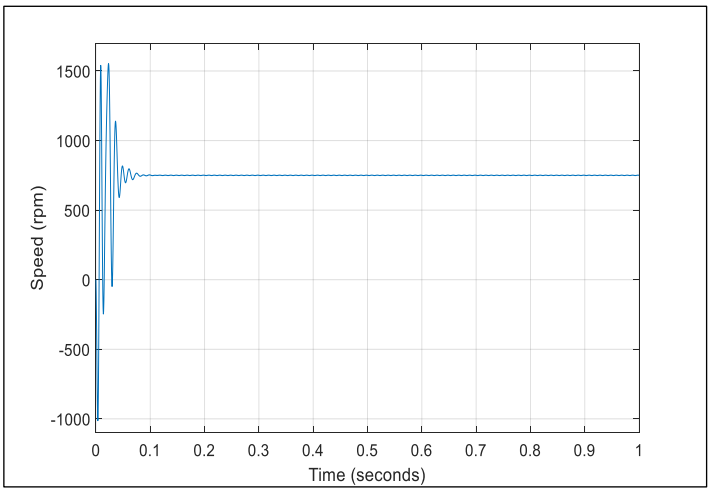
To verify the proposed model and confirm his validity, simulation was used in MATLAB SIMULINK. To study and understand PMSM behavior in the event of faults occurring between the stator coil turns, healthy and faulty operating conditions of the PMSM are simulated. The nominal parameters of simulation for PMSM are included in the table 2.

Table 2: Parameters of the PMSM.

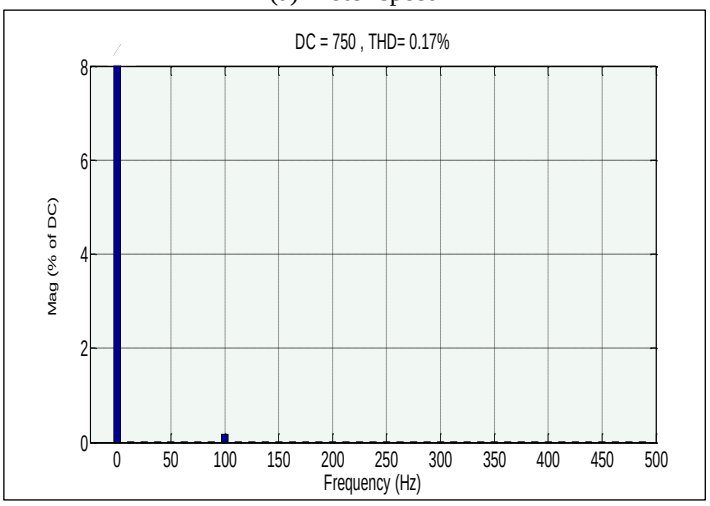
Parameters	**Value**
Stator Inductance *Ls (mH)*	2.82
Stator resistance *Rs (Ω)*	0.44
Number of pole pairs *p*	4
Moment of inertia *J (kg.m2)*	0.0006
Friction coefficient *f (N.m.s)*	0.007
Magnetic flux *Φ (wb)*	0.108
Rated current *In (A)*	19
Nominal torque *Tn (N.m)*	10

Source: Authors, (2025).

Considering that the fault occurs on phase (as) windings and the rest of the phases are intact. The dynamic model with faults is simulated under various values resistance of fault. The simulation is conducted with three fault resistance values Rf = 0.5 (Ω), 1 (Ω) and 5 (Ω), a fault ratio of μ = 0.5, and a load torque of 10 (Nm) at (t = 0s), with the fault introduced at (t = 1s). In the health status of the PMSM. The figure 3 (a) shown the motor speed where there are distortions only at take-off and then it stabilizes. The figure 3 (b) shown the frequency spectrum for motor speed, the amplitude of the second and fourth harmonics is close to zero. As for the motor faulty condition as shown in Figures 4, 5 and 6, speed distortions appear at the moment of failure. As the fault isolation resistance decreases, the amplitudes of the second harmonic (100 hz) and fourth harmonic (200 hz) components in the motor speed signal increase. This behavior is attributed to higher circulating fault currents, which intensify harmonic distortions within the system.

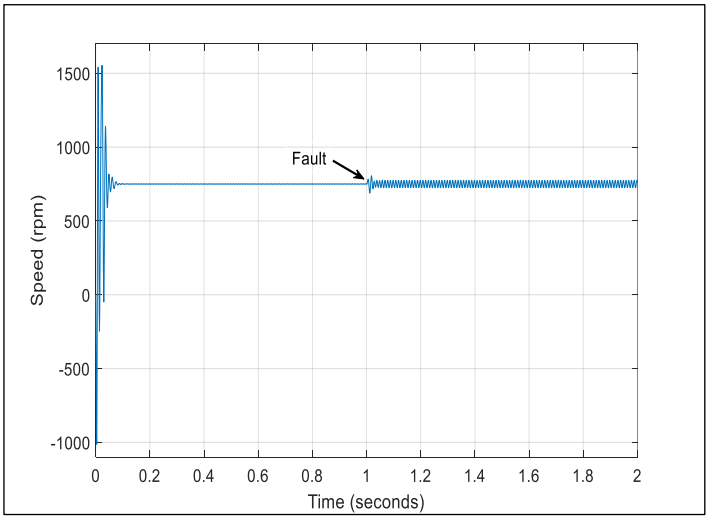


(a) Motor speed

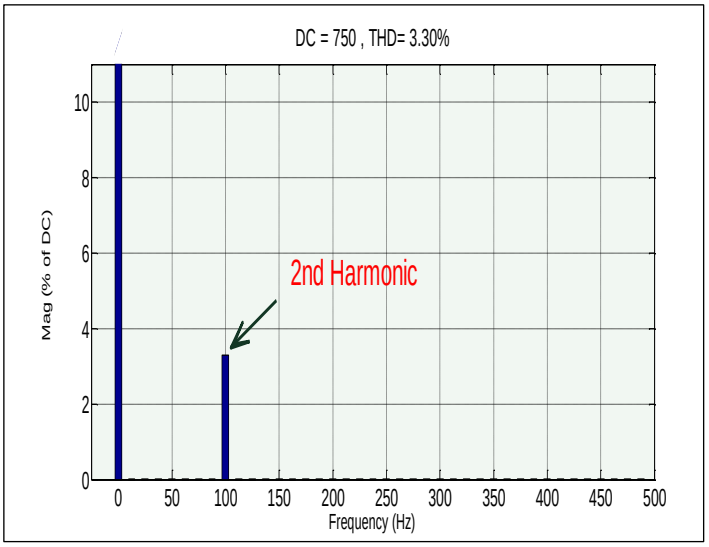


(b) Frequency analysis

Figure 3: Motor speed spectral analysis for healthy PMSM
Source: Authors, (2025).

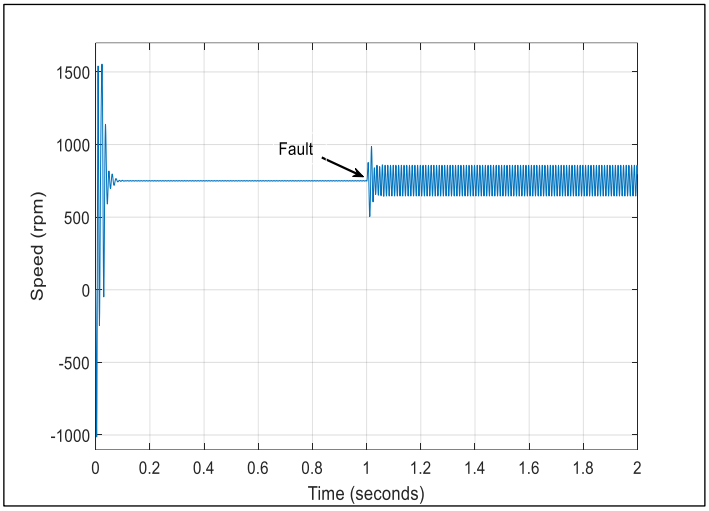


(a) Motor speed

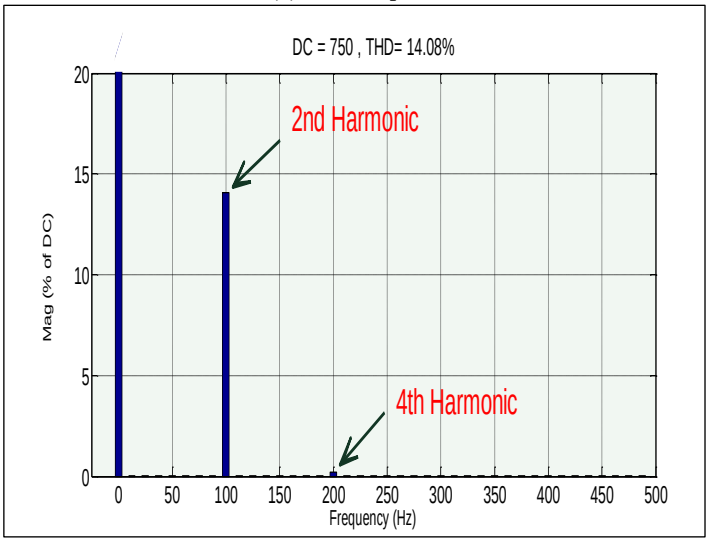


(b) Frequency analysis

Figure 4: Motor speed spectral analysis for faulty PMSM with Rf=5 (Ω).
Source: Authors, (2025).

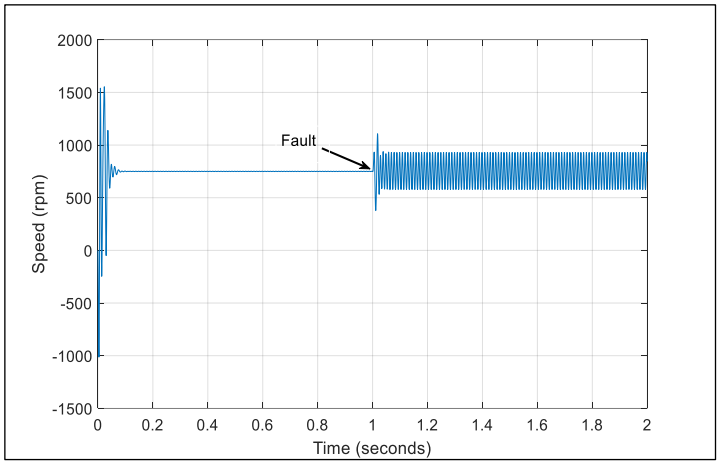


(a) Motor speed

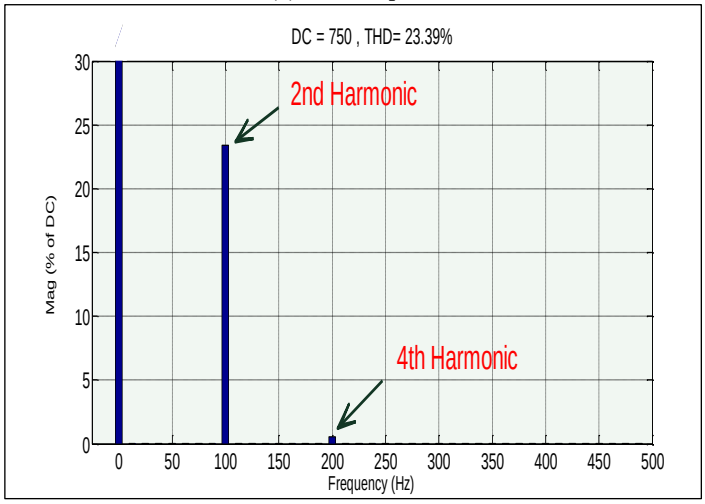


(b) Frequency analysis

Figure 5: Motor speed spectral analysis for faulty PMSM with Rf=1 (Ω).
Source: Authors, (2025).



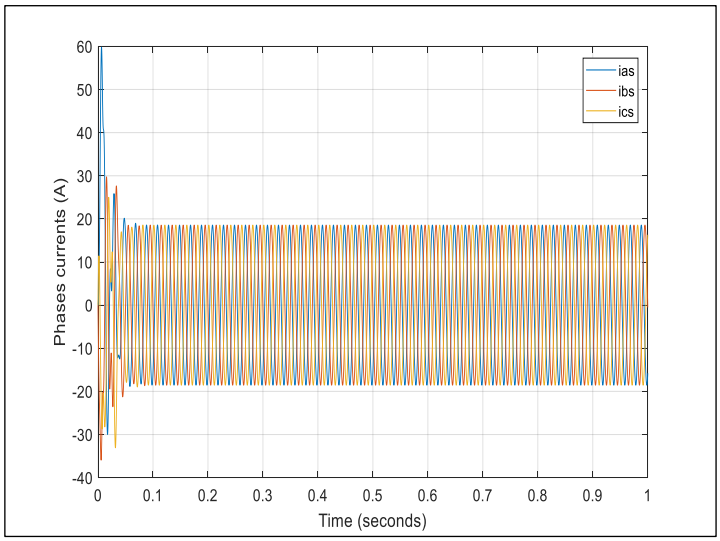
(a) Motor speed



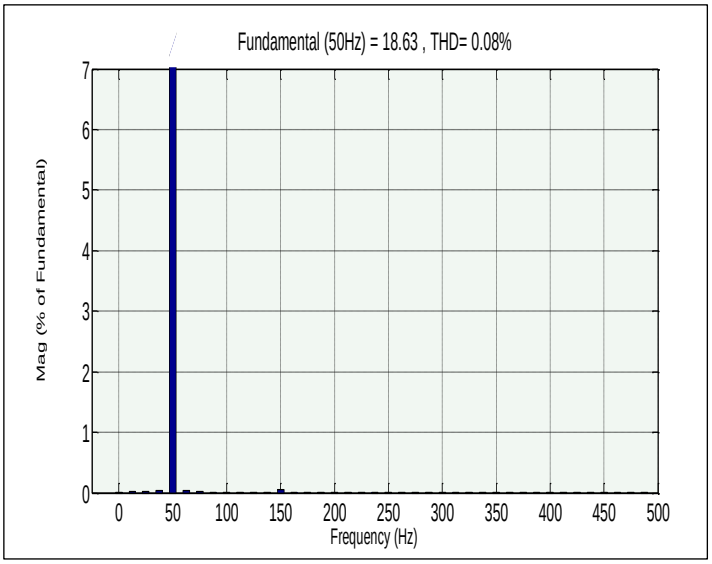
(b) Frequency analysis

Figure 6: Motor speed spectral analysis for faulty PMSM with Rf=0.5 (Ω).
Source: Authors, (2025).

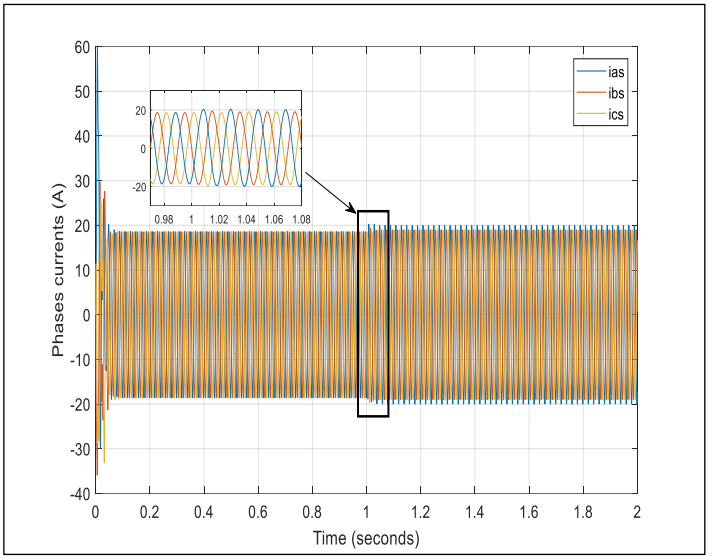
In the next part, a healthy condition as shown in Figure 7, the stator currents are sinusoidal, balanced and equal in amplitude. Figure 7(b) shows the spectrum current phase (as), the third harmonic amplitude is close to zero. The results of simulation for the defective state are displayed in Figures 8, 9, and 10 for fault resistance values of Rf = 0.5 (Ω), 1 (Ω) and 5 (Ω) respectively. Decreasing fault resistance (Rf) increases fault current (if), causing an imbalance in the phases currents, with phase current (a) having a greater amplitude than phase currents (b) and (c). As depicted in the figures, a short circuit leads to the emergence of harmonic frequencies. Specifically, as number of short circuits grows and the fault insulation resistance decreases, the amplitudes of the third and fifth harmonic current signals rise. An analysis of the stator current frequency in the defective phase (as) reveals three distinct peaks, appearing at the fundamental frequency as well as the third (150 hz) and fifth harmonics (250 hz). Detecting these harmonics can indicate a short circuit in the windings.



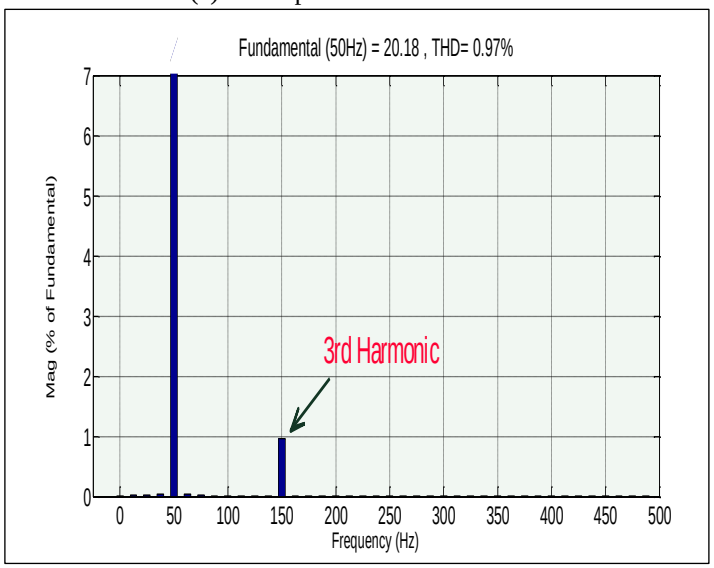
(a) Three phase stator currents



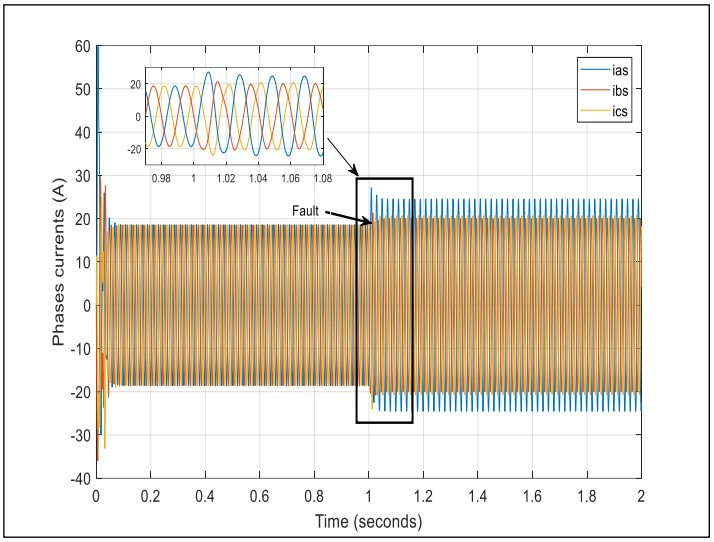
(b) FFT analysis of current phase (as)
Figure 7: Simulation in healthy PMSM
Source: Authors, (2025).



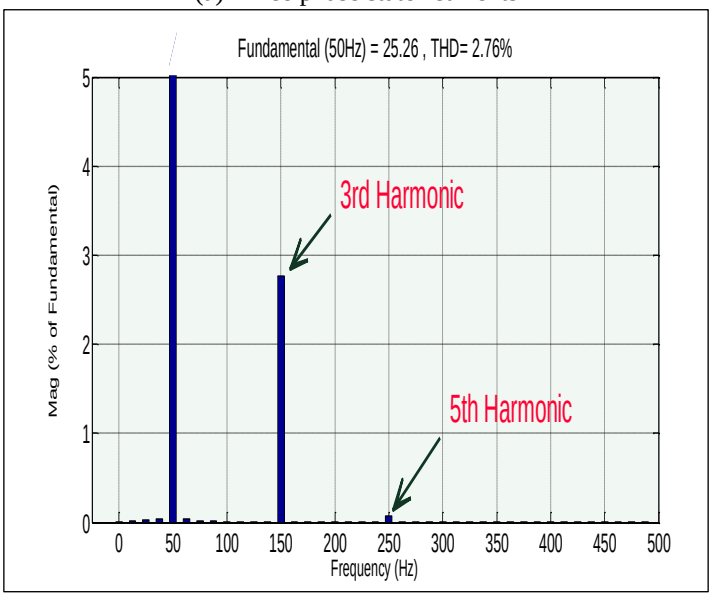
(a) Three phase stator currents



(b) FFT analysis of current phase (as)
Figure 8: Simulation in faulty PMSM with Rf=5 (Ω).
Source: Authors, (2025).

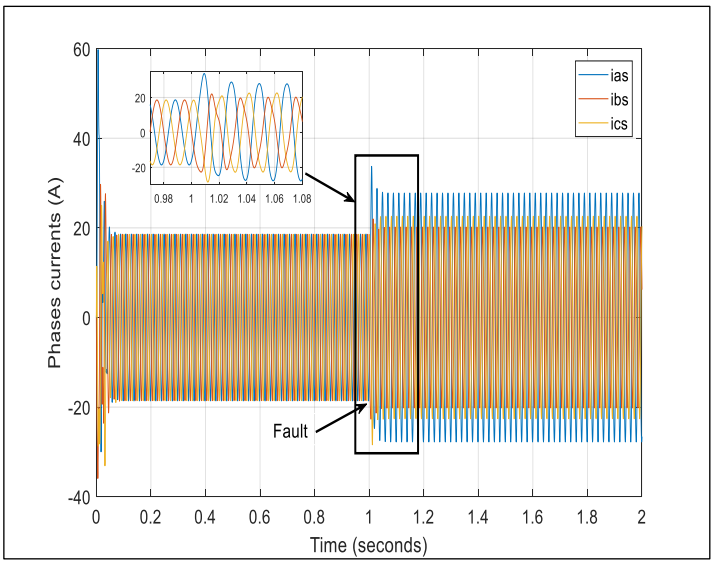


(a) Three phase stator currents

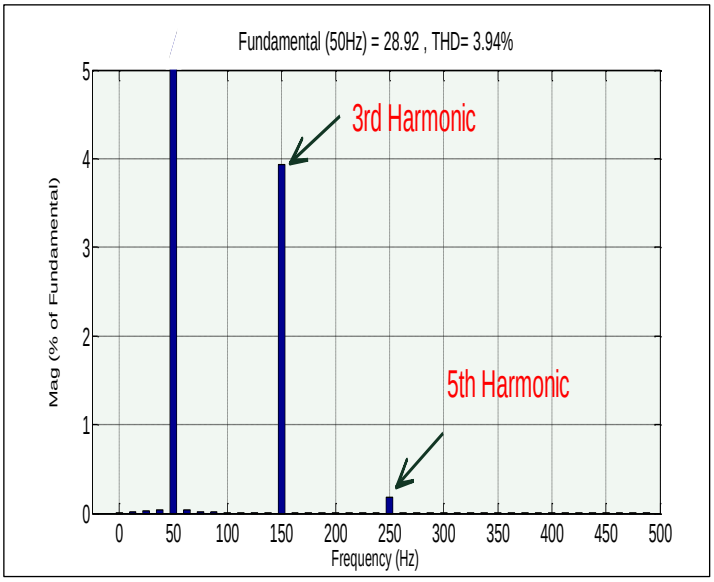


(b) FFT analysis of current phase (as)

Figure 9: Simulation in faulty PMSM with Rf=1 (Ω).
Source: Authors, (2025).



(a) Three phase stator currents



(b) FFT analysis of current phase (as)
Figure 10: Simulation in faulty PMSM with Rf=0.5 (Ω)
Source: Authors, (2025).

The wavelet analysis technique is employed to examine the stator current under healthy and faulty conditions of the PMSM, as shown in figures 11 (healthy condition), 12, 13, and 14 (faulty conditions). The Daubechies (44) mother wave is used to compute the wavelet coefficients, showing suitable and effective diagnosis results. High-frequency detail levels do not furnish relevant information regarding the original signal, so it indicates that low-frequency components provide us advantage for detecting faults and distortions. From the simulation results, amplitudes increase in wave details at levels 5, 6 and 7 at the moment of fault occurrence because they include both the fundamental frequency range and frequencies caused by ITSC faults. This is most evident in the wave details at level 7 (39.06-78.12), which corresponds to the fundamental frequency of the motor. On the other hand, it appears in the wave details at level 6 (78.12-156.25), which corresponds to the third frequency harmonic, as well as in the wave details at level 5 (156.25-312.5), which matches the fifth frequency harmonic. The signal showed larger amplitudes when the fault occurred at these levels compared to the other frequency ranges. Therefore, the wave details of these levels can be useful for detecting this type of fault.

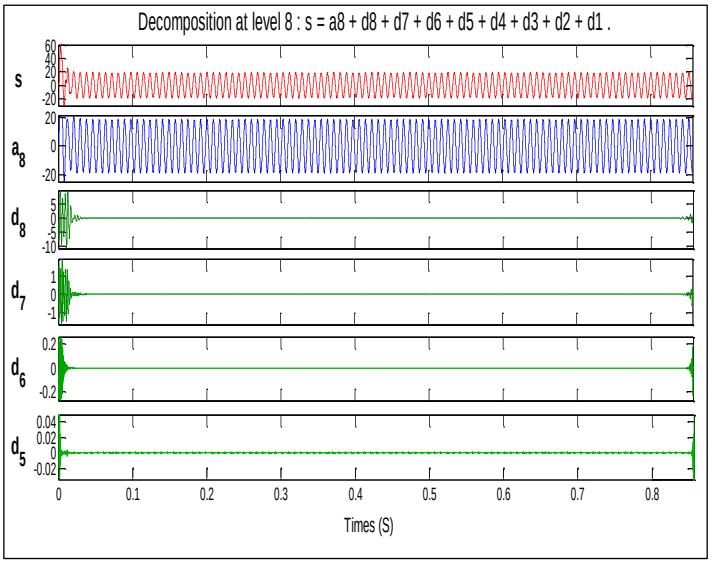


Figure 11: DWT analysis in healthy PMSM.
Source: Authors, (2025).

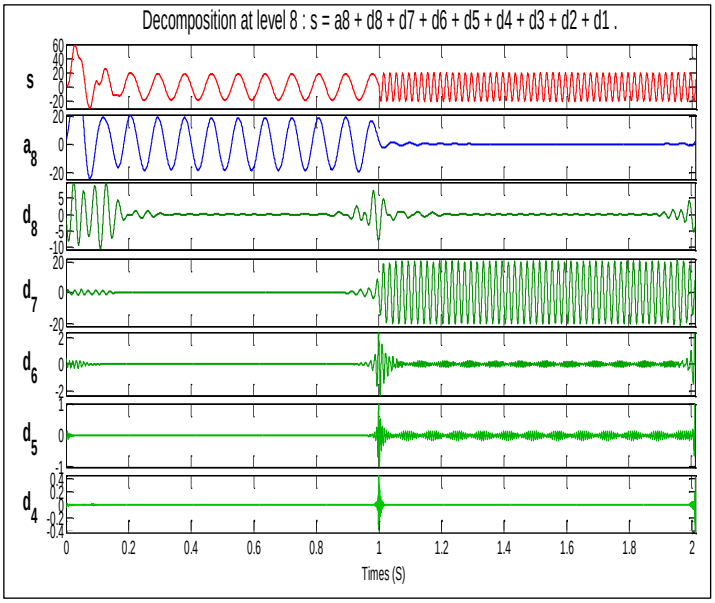


Figure 12: DWT analysis in faulty PMSM with Rf=5 (Ω).
Source: Authors, (2025).

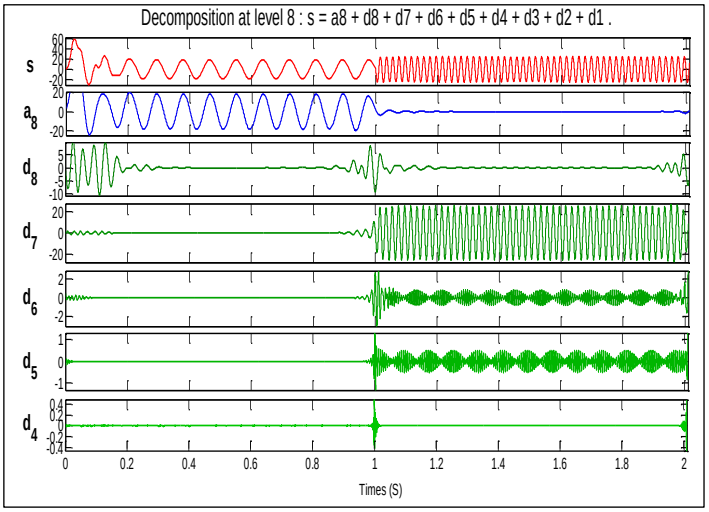


Figure 13: DWT analysis in faulty PMSM with Rf=1 (Ω).
Source: Authors, (2025).

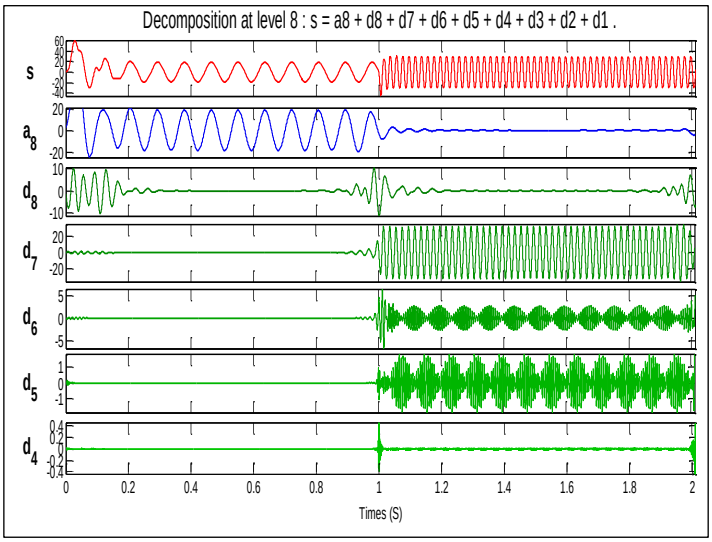


Figure 14: DWT analysis in faulty PMSM with Rf=0.5 (Ω)
Source: Authors, (2025).

V. CONCLUSIONS

Accurate modeling of PMSM in fault conditions is essential for fault diagnosis and understanding of their behavior. In this study, mathematical models of PMSM in healthy and faulty conditions under ITSC faults in stator winding were established. To mitigate and reduce the risk of stator winding damage and to detect faults, FFT technique was applied to analyze the frequency spectrum of stator current and motor speed in the healthy state and under different fault severity conditions, enabling the detection of harmonic distortions caused by faults. This technique has proven effective in signal processing for stationary faults conditions. The THD value can serve as a fault detection indicator. However, FFT is unable to predict and determine the timing of fault occurrence. To overcome this issue, discrete wavelet transform was applied to analyze the motor signals into different frequency ranges. This technique provided us with an effective solution for signal processing under non-stationary faults conditions, where time-frequency analysis provides a more effective diagnostic approach than frequency analysis. This work provides a powerful solution for real-time fault monitoring in PMSM, which leads to improve predictive maintenance and reduce operational downtime.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.
Methodology: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.
Investigation: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.
Discussion of results: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.
Writing – Original Draft: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.
Writing – Review and Editing: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.
Resources: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.
Supervision: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.
Approval of the final text: Abdelmoumin Ouali, Djalal Eddine Khodja, Hassina Megherbi and Ibrahim Chouidira.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.20-28. November/December., 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2156

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

A NOVEL BELLMAN-INSPIRED GATED ACTIVATION MECHANISM FOR DYNAMIC NEURAL NETWORKS

Jincheng Zhang[1]

[1]Faculty of Science and Technology, Rajabhat Maha Sarakham University, Maha Sarakham 44000, Thailand.

[1]http://orcid.org/0009-0005-1860-0009

Email: zjc1639834588@gmail.com

ARTICLE INFO

Article History
Received: June 2, 2025.
Revised: September 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Bellman Equation,
Gated Activation Function,
Dynamic Neural Networks,
Context-Aware Activation,
Modular Activation Mechanism.

ABSTRACT

In deep learning, activation function, as the core mechanism of nonlinear transformation, determines the upper limit of the model's expressive power. However, traditional activation functions are mostly static, point-by-point transformations, lacking the ability to respond to and adjust input structures. This paper proposes a "gated activation mechanism" based on the idea of the Bellman equation in reinforcement learning, which introduces state valuation and future reward modeling into the neural network activation mechanism. Experiments were conducted by replacing the activation method in the standard multilayer perceptron (MLP) structure. The results show that this mechanism brings stable performance improvements without increasing the inference overhead. More importantly, this activation method has good versatility as a module and can be widely embedded in a variety of deep neural networks, providing a new paradigm for activation function design.

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1. INTRODUCTION

As the foundation of deep learning, the performance of neural networks depends largely on the design of activation functions [1-6]. The main function of activation functions is to enable neural network models to approximate complex nonlinear functions and have stronger expressive power by introducing nonlinear factors [7-12]. At present, widely used activation functions include ReLU (rectified linear unit), GELU (Gaussian error linear unit), Swish, etc. These functions have shown good stability and convergence in practical tasks [13-18]. However, it should be noted that these mainstream activation functions are essentially static single-point mappings, whose outputs only depend on the current input value and lack the ability to dynamically understand and adjust input features in a broader context. This static characteristic may, to some extent, limit the ability of neural networks to model complex spatiotemporal patterns and multi-level semantics [19-24].

At the same time, the Bellman equation in reinforcement learning provides a completely different perspective [25-34]. By describing the recursive relationship between the current state value and the future expected value, the Bellman equation effectively describes how the system adjusts the current behavior strategy based on future feedback during the decision-making process. The core features of this mechanism are dynamics and recursion, that is, the current output is not only based on the current input state, but also related to the potential "value" in the future. This concept leads to the following thinking: Is it possible to build a similar mechanism in neural networks so that the activation function is no longer an isolated static operation, but a dynamic mapping with prediction, selection and context awareness?

Based on the above ideas, this paper proposes a gated activation mechanism that integrates the idea of Bellman equation. In this mechanism, we introduce the modeling of the input state (i.e., "current state") and its potential contribution in the feature space (i.e., "future value"), and use Bellman-type gating functions to weight and combine the two to achieve a dynamic activation process. In other words, the output of the activation function no longer depends solely on the current value, but is dynamically adjusted according to the combination of the "current performance" and "future potential" of the input. This mechanism not only enhances the expressive power of

the activation process, but also provides new ideas for building neural networks with long-term dependencies and information sorting capabilities. To verify the effectiveness of this mechanism, we conducted experiments using the classic multi-layer perceptron (MLP) structure. The results show that compared with the traditional ReLU activation function, the Bellman gate activation function proposed in this paper has achieved slight but stable performance improvements in multiple evaluation indicators such as accuracy, precision, recall and F1 score. At the same time, this method improves the nonlinear modeling ability of the model while maintaining computational efficiency, and almost does not cause additional overhead to the inference time. More importantly, the gate mechanism is a module with diverse functions, independent structure and controllable parameters. It can be seamlessly extended to complex architectures such as convolutional neural networks (CNNs), graph neural networks (GNNs), and even future Transformers, improving their dynamic adaptability and feature representation capabilities. In summary, the main contribution of this paper is that a general gated activation mechanism is proposed based on Bellman's ideas. By introducing the "state value" dynamic feedback structure, this mechanism effectively improves the nonlinear modeling ability and contextual adaptability of neural networks, providing a new and promising research direction for activation function design.

II. RELATED WORKS

Activation functions are an important part of neural networks and have gone through multiple stages of development and innovation. The earliest activation functions are represented by S-type functions and Tanh functions. These functions give the neuron output nonlinear characteristics by mapping the input to a finite interval, thereby improving the network's ability to learn complex functions. However, the S-type function has a gradient saturation problem, which causes the gradient to disappear during the back-propagation process, reducing the learning efficiency of the deep network. To solve these problems, researchers proposed the ReLU (Rectified Linear Unit) activation function, which replaces the traditional nonlinear mapping with a simple linear truncation form, greatly reducing the gradient vanishing problem and improving computational efficiency. Due to its excellent performance, the ReLU activation function has become the mainstream in the field of deep learning.

Later, with the deepening of research, more improved activation functions emerged, such as Leaky ReLU and PReLU, which solve the "dead neuron" problem of ReLU by introducing negative semi-axis linear responses. In recent years, adaptive activation functions such as Swish and Mish have further improved the network's representation ability and generalization performance by utilizing nonlinear transformations and learnable parameters. These activation functions often take into account the characteristics of smoothness, nonlinearity, and gradient stability, thereby greatly improving the learning effect and final performance of deep neural networks. Generally speaking, the design of activation functions mainly focuses on improving the gradient propagation path, enhancing the nonlinear representation ability and improving the generalization performance of the model, but many activation functions are still static functions of single-point mapping and lack the ability to dynamically adjust the input information.

At the same time, the gating mechanism, as an effective tool for dynamically adjusting the information flow, has received widespread attention in the design of neural network structures. The classic long short-term memory network (LSTM) introduces input gates, forget gates and output gates, and selectively controls the retention and discarding of information through gating units, which greatly improves the gradient disappearance and information forgetting problems in traditional long-sequence recurrent neural networks. Similarly, the attention mechanism of the Transformer model models the importance of each element in the sequence through a dynamic weighting scheme of query key values, realizes adaptive aggregation of information, and greatly improves its performance in fields such as natural language processing and computer vision. The success of these gating mechanisms and attention mechanisms highlights the importance of dynamic adjustment and context dependency in deep learning models and inspires the dynamic design of activation functions.

In addition, as the theoretical basis of the field of reinforcement learning, the Bellman equation systematically describes the recursive relationship between the current state and the future expected value in the decision-making process, forming a mathematical framework for dynamic programming. The core idea is to adjust the current decision by predicting future rewards, which reflects a deep understanding of the dynamic dependence of time and state. Although the Bellman equation is widely used in reinforcement learning, it has not been systematically studied and applied in the field of neural network activation function design. The existing activation functions have not yet incorporated concepts such as dynamic weight adjustment and state value fusion, and most of them are in the form of static functions, which limits the ability to deeply control the information flow of the activation function.

In response to this situation, this paper first proposed to introduce the core concept of the Bellman equation into the design of the activation mechanism, and constructed a new type of gated activation unit-Bellman Gate Unit (BGU). This unit realizes dynamic adjustment of the activation output by fusing the weight information of the current input state and the future prediction features. BGU not only breaks the limitations of the single-point mapping of traditional activation functions, but also integrates the idea of recursive value evaluation in reinforcement learning, bringing a new dynamic activation paradigm to neural networks. This innovative design is expected to inject more contextual awareness and dynamic adaptability into the activation function, and further improve the performance of neural network models in complex tasks.

III. METHOD DESIGN: BELLMAN ACTIVATION MECHANISM

In this study, we designed an innovative activation mechanism called "Bellman Activation Mechanism", the core concept of which is derived from the Bellman equation in reinforcement learning. This mechanism aims to break the limitation of traditional activation functions as single-point static mappings, and by introducing dynamic gating strategies, the activation function can dynamically adjust the input information and perceive the context, thereby improving the expressiveness and adaptability of the neural network. Specifically, this mechanism includes the following key components: First, the state estimation layer. This layer is responsible for building a rich and multi-dimensional intermediate representation based on the input data, which we call the current "state". The state here is not just a simple mapping of a single input value, but a comprehensive characterization of the overall input characteristics through multi-layer feature

transformation and fusion. Through the state estimation layer, the network can capture the local and global information of the input and form a comprehensive cognitive basis for the current environment.

The second is the reward estimation layer. The task of this layer is to calculate an immediate "reward" estimate for each input state. The concept of reward comes from the feedback mechanism in reinforcement learning, reflecting the beneficialness or importance of the current state. Here, reward estimation is not just a simple numerical calculation, but also a combination of deep semantic information extracted from input features to provide an immediate reference signal for subsequent decision-making. Through the reward estimation layer, the network obtains the ability to dynamically evaluate the "good or bad" of the input state, which can guide the adjustment of the strength of activation. The third part is the value function approximation layer. This layer undertakes the task of estimating the potential "value" of the input state, that is, it comprehensively considers the current state and its possible future performance from a longer-term perspective to give an overall value assessment. The value function approximation layer simulates the expected effect of potential future results by deeply encoding the state, so that the activation mechanism not only focuses on the present, but also takes into account the possibility and impact of the future. This mechanism helps the network have a certain degree of foresight and is conducive to a more reasonable allocation of activation resources.

Finally, the core Bellman gating mechanism combines the immediate reward with the future value to generate a gating signal between 0 and 1. This gating signal acts as a regulating switch for the activation function, dynamically controlling the activation strength of the input state. The gating mechanism ensures that the activation behavior is no longer a mechanical uniform transformation of each input, but is dynamically adjusted according to the immediate feedback of the current state and future expectations, making the network activation more flexible and accurate. This design greatly improves the sensitivity and adaptability of the activation function in information processing. The biggest difference between this Bellman activation mechanism and the traditional activation function is that it introduces the core idea of sequential decision-making in reinforcement learning. Through the weighted combination of the current state and future value, the behavior of the activation function becomes dependent on the contextual information of the input, and has a certain forward-looking nature, which can effectively simulate the decision-making process in a dynamic environment. It is worth emphasizing that, unlike recurrent neural network structures such as LSTM, we do not introduce the time dimension or sequence state transfer, but apply the Bellman idea to the information flow regulation in the spatial dimension.

This innovative application greatly expands the application boundary of the Bellman equation in deep learning. In addition, the Bellman activation mechanism is designed as a highly modular structure that can be easily embedded in various neural network architectures, including but not limited to complex network structures such as multi-layer perceptron (MLP), convolutional neural network (CNN), and Transformer. It is not only compatible with existing models, but also can significantly improve the model's expressiveness and performance stability through dynamic gating, and has broad application prospects and promotion value. In summary, the Bellman activation mechanism is based on the theoretical basis of reinforcement learning, combined with the activation requirements in deep learning, and proposes a new dynamic activation design idea, which injects unprecedented dynamic adjustment and context perception capabilities into the activation function of the neural network, heralding a new development direction in the field of activation function design.

IV. EXPERIMENTAL SETUP

In order to verify the effectiveness of the Bellman gating mechanism, we built two models on the CIFAR-10 dataset:

Standard MLP model: using ReLU as the activation function;

BellmanGatedMLP model: replacing the activation function with the gating structure proposed in this paper.

Each model was trained and evaluated 10 times, and indicators such as accuracy, precision, recall, F1 score, and inference time were collected to evaluate performance and efficiency.

The complete python code used for the experiment is as follows:

```
import torch
import torch.nn as nn
import torch.nn.functional as F
from torchvision import datasets, transforms
from torch.utils.data import DataLoader, Subset
import time
from sklearn.metrics import accuracy_score, precision_score, recall_score, f1_score
import numpy as np

# ----------------------------
# 1. Configuration
# ----------------------------
device = torch.device("cuda" if torch.cuda.is_available() else "cpu")
BATCH_SIZE = 64
NUM_CLASSES = 10
NUM_EPOCHS = 10
TRAIN_SIZE = 1000
```

```
TEST_SIZE = 1000
LEARNING_RATE = 0.001
NUM_RUNS = 10

# ----------------------------
# 2. Dataset
# ----------------------------
transform = transforms.Compose([
    transforms.ToTensor(),
    transforms.Normalize((0.5,), (0.5,))
])

train_dataset_full = datasets.CIFAR10(root='./data', train=True, transform=transform, download=True)
test_dataset_full = datasets.CIFAR10(root='./data', train=False, transform=transform, download=True)

train_dataset = Subset(train_dataset_full, list(range(TRAIN_SIZE)))
test_dataset = Subset(test_dataset_full, list(range(TEST_SIZE)))

train_loader = DataLoader(train_dataset, batch_size=BATCH_SIZE, shuffle=True)
test_loader = DataLoader(test_dataset, batch_size=BATCH_SIZE, shuffle=False)

# ----------------------------
# 3. Vanilla MLP
# ----------------------------
class MLP(nn.Module):
    def __init__(self, input_dim=3*32*32, hidden_dim=512, output_dim=NUM_CLASSES):
        super(MLP, self).__init__()
        self.fc1 = nn.Linear(input_dim, hidden_dim)
        self.relu = nn.ReLU()
        self.fc2 = nn.Linear(hidden_dim, output_dim)

    def forward(self, x):
        x = x.view(x.size(0), -1)
        x = self.relu(self.fc1(x))
        x = self.fc2(x)
        return x

# ----------------------------
# 4. Bellman-Gated MLP
# ----------------------------
class BellmanGatedMLP(nn.Module):
    def __init__(self, input_dim=3*32*32, hidden_dim=512, output_dim=NUM_CLASSES, gamma=0.9):
        super(BellmanGatedMLP, self).__init__()
        self.gamma = gamma
        self.state = nn.Linear(input_dim, hidden_dim)
        self.reward = nn.Linear(input_dim, hidden_dim)
        self.value = nn.Linear(hidden_dim, hidden_dim)
        self.fc2 = nn.Linear(hidden_dim, output_dim)
        self.sigmoid = nn.Sigmoid()
        self.relu = nn.ReLU()

    def forward(self, x):
        x = x.view(x.size(0), -1)
        s = self.state(x)
        r = self.reward(x)
        v = self.value(s)
        bellman_gate = self.sigmoid(r + self.gamma * v)
        gated_state = s * bellman_gate
        out = self.fc2(self.relu(gated_state))
        return out

# ----------------------------
# 5. Training Function
```

```
# ----------------------------
def train_model(model, optimizer, criterion, loader):
    model.train()
    for epoch in range(NUM_EPOCHS):
        for images, labels in loader:
            images, labels = images.to(device), labels.to(device)
            optimizer.zero_grad()
            outputs = model(images)
            loss = criterion(outputs, labels)
            loss.backward()
            optimizer.step()

# ----------------------------
# 6. Evaluation Function
# ----------------------------
def evaluate_model(model, loader):
    model.eval()
    all_preds = []
    all_labels = []
    start_time = time.time()
    with torch.no_grad():
        for images, labels in loader:
            images = images.to(device)
            outputs = model(images)
            _, preds = torch.max(outputs, 1)
            all_preds.extend(preds.cpu().numpy())
            all_labels.extend(labels.numpy())
    end_time = time.time()

    acc = accuracy_score(all_labels, all_preds)
    prec = precision_score(all_labels, all_preds, average='macro', zero_division=0)
    rec = recall_score(all_labels, all_preds, average='macro', zero_division=0)
    f1 = f1_score(all_labels, all_preds, average='macro', zero_division=0)
    infer_time = end_time - start_time

    return {
        'accuracy': acc,
        'precision': prec,
        'recall': rec,
        'f1_score': f1,
        'inference_time_sec': infer_time
    }

# ----------------------------
# 7. Run 10x Experiment for Each Model
# ----------------------------
def run_experiment():
    model_classes = {
        "MLP": MLP,
        "BellmanGatedMLP": BellmanGatedMLP
    }

    results = {}

    for name, model_cls in model_classes.items():
        print(f"\n==== Running 10 Experiments for {name} ====\n")
        all_metrics = {
            'accuracy': [],
            'precision': [],
            'recall': [],
            'f1_score': [],
            'inference_time_sec': []
        }
```

```
        for i in range(NUM_RUNS):
            print(f"Run {i+1} / {NUM_RUNS}")
            model = model_cls().to(device)
            optimizer = torch.optim.Adam(model.parameters(), lr=LEARNING_RATE)
            criterion = nn.CrossEntropyLoss()

            train_model(model, optimizer, criterion, train_loader)
            metrics = evaluate_model(model, test_loader)

            for k in all_metrics:
                all_metrics[k].append(metrics[k])
                print(f"{k}: {metrics[k]:.4f}")

            print("-" * 40)

        # Calculate mean and std
        summary = {}
        for k, v in all_metrics.items():
            mean_val = np.mean(v)
            std_val = np.std(v)
            summary[k] = (mean_val, std_val)

        results[name] = {
            'raw': all_metrics,
            'summary': summary
        }

    # Print summary
    print("\n\n==== Final Summary (Mean ± Std) ====\n")
    for model_name, model_result in results.items():
        print(f"Model: {model_name}")
        for metric, (mean_val, std_val) in model_result['summary'].items():
            print(f"{metric}: {mean_val:.4f} ± {std_val:.4f}")
        print("-" * 50)

if __name__ == "__main__":
    run_experiment()
```

V. EXPERIMENTAL RESULTS AND ANALYSIS

The output results of the experimental code are as follows:

==== Final Summary (Mean ± Std) ====

Model: MLP

accuracy: 0.3397 ± 0.0096

precision: 0.3388 ± 0.0065

recall: 0.3359 ± 0.0078

f1_score: 0.3336 ± 0.0091

inference_time_sec: 0.3191 ± 0.1140

Model: BellmanGatedMLP

accuracy: 0.3434 ± 0.0064

precision: 0.3421 ± 0.0071

recall: 0.3392 ± 0.0070

f1_score: 0.3375 ± 0.0071

inference_time_sec: 0.3152 ± 0.0267

The experimental results show that, under the premise of keeping the model structure and training configuration the same, the model using the Bellman gate activation mechanism has achieved slightly better performance than the standard model in all indicators, especially in terms of F1 score and precision. In addition, the inference speed of the model is not significantly affected, indicating that the gating mechanism is practical in terms of computational overhead. This means that we not only improve performance, but also maintain deployment efficiency, providing possibilities for practical applications.

VI. VERSATILITY AND FUTURE APPLICATIONS

Although this study mainly uses multi-layer perceptron (MLP) as an experimental verification platform, the proposed Bellman activation mechanism has a highly modular design and is completely independent of any specific network structure or architecture. In other words, this mechanism can not only be directly applied to the nonlinear transformation layer of the convolutional neural network (CNN), but also to the feedforward activation layer of the Transformer model, seamlessly replacing the traditional activation function, and even has the potential to construct a new attention gating mechanism. With the help of this gating mechanism, the model can adjust the information flow more flexibly and accurately, achieve stronger situational awareness and dynamic adaptability, and improve the overall representation and learning effect.

It is particularly noteworthy that in more complex and emerging fields such as graph neural networks (GNNs), multimodal fusion networks, and modeling tasks in natural language processing, the dependencies between information are not limited to spatial dimensions, but often involve important time, hierarchy, and causal relationships. Traditional static activation functions are difficult to fully capture such complex dependencies and feedback. The advantage of the Bellman gating mechanism itself is that it can integrate current state information and future potential feedback, providing the network with a more reasonable and dynamic information weight strategy. In graph neural networks, the mutual influence and propagation process between nodes have obvious structural dependencies and multi-stage transmission characteristics. The Bellman activation mechanism dynamically adjusts the activation of nodes, enabling the model to better characterize the long-term dependencies and local-global balance between nodes.

In multimodal fusion tasks, the interactive information between different modalities is complex and changes rapidly. The dynamic gating of the Bellman mechanism effectively adjusts the weight distribution of each modality, achieving reasonable fusion and synergistic enhancement of information. In natural language modeling, especially in sequence generation and understanding tasks, Bellman gating can improve the representation depth and prediction accuracy of language models by prospectively adjusting context and future information. In addition, the Bellman activation mechanism has good scalability and adaptability. In the future, it can be combined with methods such as meta-learning and adaptive optimization to further improve the generalization ability in various tasks and data distributions. With the development of hardware and algorithms, this mechanism is expected to become a standard dynamic activation module in deep learning architectures, injecting powerful intelligent decision-making capabilities and flexible response mechanisms into artificial intelligence models.

VII. CONCLUSION

This paper proposes an innovative gating structure that incorporates the Bellman equation, the core theory of reinforcement learning, into the design of neural network activation functions. This paper shows that by constructing a mechanism that combines state estimation, immediate reward and value function, dynamic control of the traditional activation process is achieved, making the activation function an intelligent module that is dynamically adjusted based on the current input state and future potential value, rather than a simple static mapping. The experimental results fully prove that the Bellman activation mechanism achieves significant and stable performance improvements on multiple common evaluation indicators, and maintains the model's efficient reasoning ability without significantly increasing computational overhead. At the same time, the modular design of this mechanism is highly versatile and portable, and can be adapted to various neural network architectures, such as multi-layer perceptron (MLP), convolutional neural network (CNN), and Transformer.

Future research directions can focus on the further application and optimization of this mechanism in more complex neural network structures and diversified task scenarios. For example, we can explore how the Bellman activation mechanism can be deeply integrated with graph neural networks, multimodal fusion models, and natural language processing to improve the expressiveness and generalization capabilities of the model. In addition, we can also consider integrating more reinforcement learning strategies and meta-learning techniques to build a smarter and more adaptive activation function design framework, and evolve the neural network activation mechanism from the traditional "static point function" to a more flexible "dynamic gating mechanism", which will open a new chapter in the field of deep learning model activation.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.29-35. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2311

RESEARCH ARTICLE OPEN ACCESS

SOLID WASTE GENERATION IN SANTA CLARA, CIRCULAR ECONOMY CHALLENGES AND OPPORTUNITIES.

Teresa Margarita Cárdenas-Ferrer[1*], Ronaldo Francisco Santos-Herrero[2], Ana Margarita Contreras-Moya[3], Elena Rosa-Domínguez[4], Yania Correa Cortes[5] and Jorge Leiva Mas[6]

[1,2,3,4,5,6] Department of Chemical Engineering. Faculty of Chemistry and Pharmacy Marta Abreu Central University of Las Villas. Cuba. Carretera a Camajuaní Km. 5. Santa Clara. Villa Clara. Cuba.

[1]https://orcid.org/0000-0003-2054-3136, [2]https://orcid.org/0000-0002-5009-2084, [3]https://orcid.org/0000-0001-9374-9376
[4]https://orcid.org/0000-0002-5371-0976, [5] https://orcid.org/0000-0002-0361-2526, [6] https://orcid.org/0000-0002-3122-1445

Email: tcardenas@uclv.cu, ronaldo@uclv.edu.cu, anama@uclv.edu.cu, erosa@uclv.edu.cu, yania@uclv.edu.cu

ARTICLE INFO

Article History
Received: June 4, 2025
Revised: September 20, 2025
Accepted: November 15, 2025
Published: September 30, 2025

Keywords:
Circular Economy (CE);
Urban Solid Waste (MSW);
Disposal.

ABSTRACT

The municipality of Santa Clara generate high volumes of waste with critical environmental impacts, requiring urgent strategies for reuse and recycling to achieve sustainability. The aim of this work is to implement circular economy indicators that optimize waste management and generate socio-economic benefits. The study characterized the current management system, identifying three major deficiencies: inadequate infrastructure, lack of an appropriate regulatory framework, and insufficient knowledge of circular economy concepts. Therefore, the circular economy indicators we proposed to improve efficiency in the system, reduce final disposal in landfills by 48%, and generate positive environmental and socio-economic impacts.

However, obstacles such as limited funding and low public awareness exist. To overcome these challenges, it we recommended to strengthen collaboration among the government, businesses, universities, and the community; implement educational campaigns; improve infrastructure; promote source separation; and adopt technologies for waste treatment, such as recycling and composting. With these strategies, Santa Clara will be able to transition towards a circular model, maximizing resource use and minimizing its environmental footprint.

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I. INTRODUCTION

Inadequate management of municipal solid waste (MSW) poses a serious environmental, social, and economic challenge, affecting public health and the ecosystem. The proliferation of open-air landfills and the lack of sustainable strategies contribute to the contamination of soil, water, and air, generating risks for the population. The implementation of circular economy models and comprehensive management are essential to reduce, reuse, and recycle waste, promoting sustainable development. However, social, institutional, and technological obstacles hinder the transition toward more responsible and inclusive systems, requiring a multidisciplinary and participatory approach.

II. THEORETICAL REFERENCE

The inadequate management of municipal solid waste (MSW) is a significant environmental challenge. Household appliances, plastic containers, glass, cleaning products, and clothing, at the end of their useful life, often end up in landfills, causing soil, air, and water pollution, with adverse effects on public health [1]. Open landfill remains common due to their simplicity and low cost, but they pose a significant risk to environmental safety due to the presence of potentially toxic compounds in MSW [2]. Environmental pollution accelerates ecosystem degradation and affects health, as fine particles can cause respiratory and cardiovascular diseases and physical

damage [3-4-5]. To achieve effective and orderly waste management, it is important to know its type and composition in order to identify it and understand it clearly [6-7]. The design of models, guidelines, and procedures for waste management in Cuba, such as those developed by [8-9], are validated tools that support waste management at the local level. However, at the municipal level, local authorities are responsible for collecting, transporting, and properly disposing of waste generated in households, public and private facilities, as well as waste from construction, demolition, and service activities. Waste generators, for their part, are required to properly transport and dispose of waste generated in households, public and private facilities, as well as waste from construction, demolition, and service activities.

Waste generators, for their part, are required to properly transport and dispose of waste generated in households, public and private facilities, as well as waste from construction, demolition, and service activities. Waste generators, for their part, are transport, and properly dispose of waste generated in households, public and private facilities, as well as waste from construction, demolition, and service activities. Waste generators, for their part, are required to deliver waste to the appropriate public services [10-11]. This MSW comprises a variety of materials, such as fine particles, paper, plastic, textiles, glass, metals, wood, food waste, and debris [12]. Disposal in open dumps favors the spread of disease, especially due to inadequate processes and equipment for workers exposed to air pollutants, which are present in various gases (sulfur dioxide, methane, carbon dioxide, and benzene), [13-14]. These gases can cause progressive and degenerative diseases (cancer and leukemia) [15] As mentioned above, according to the waste hierarchy, immediately after strategies to minimize waste generation come those related to reuse and preparation for recycling.

Thus, in recent years, the focus has been on improving MSW recovery and recycling systems for use as raw materials in different processes, thus contributing to the development of the circular economy and the fulfillment of the Sustainable Development Goals (SDGs), which include among their targets “reducing waste generation through prevention, reduction, recycling, and reuse.” However, the waste hierarchy should be understood as a crosscutting strategy to address several SDGs and promote more sustainable development. Therefore, both formal and informal education are essential for transforming civic culture, promoting the identification of economic opportunities in reuse and recycling, and encouraging the reduction of resource consumption [16-17-18-19]. Qualitative research allows for a deep understanding of the processes and actors involved in solid waste management, as well as the dynamics that influence the implementation of a circular economy model [20].

Finally, the circular economy represents a model of sustainable production and consumption, whose main objective is to minimize the use of raw materials, make the most of existing resources, and recycle or transform waste to give it a new life. This approach seeks to extend the useful life of products, promoting a balance between sustainability and modernization of consumption, understanding that everything has value and can be reused [21]. From the above statements by various authors, it is clear that analyzing the factors that can cause variations in the generation of municipal solid waste (MSW) in a population is essential for implementing efficient management. Without a clear interpretation of the generation data, it is impossible to establish effective policies and strategies for its proper management, which can lead to a greater environmental, social, and economic impact. In addition, the analysis and dissemination of information on generation and collection help to raise awareness among the population about the importance of adopting more sustainable habits, promoting their active participation.

The study analyzes the management of urban solid waste (USW) and proposes the implementation of circular economy indicators as a strategy to transform these wastes into useful resources. It promotes practices such as the use of organic waste for composting and the reuse of materials in production processes. The multidisciplinary approach addresses environmental, sanitary, technical, social, and political aspects. However, it presents significant limitations. It does not sufficiently consider socioeconomic and cultural inequalities that influence waste generation, segregation, and community participation, especially in vulnerable communities. Additionally, institutional and political obstacles such as resistance to change, corruption, and resource scarcity that hinder the implementation of sustainable policies are omitted.

The technological dimension is also limited, without exploring recent innovations that could optimize processes. Economically, there is no in-depth analysis of financial challenges, investments, and necessary incentives. The study prioritizes immediate solutions rather than structural and social changes that ensure sustainability. Finally, it does not adequately address the role of the informal economy and unregulated actors, whose inclusion is key for an inclusive and efficient management. In summary, moving toward sustainable waste management systems requires integrating social inequalities, institutional barriers, technological innovations, economic challenges, and social participation to achieve a more equitable and resilient management. The objective of the study is to implement circular economy indicators as an integral strategy to transform USW into useful resources. The enumerations of citations in the body of the article must be sequenced in the order in which they appear, according to the example shown below.

III. MATERIALS AND METHODS

III.1. CURRENT CONTEXT OF THE MSW MANAGEMENT SYSTEM IN SANTA CLARA

The municipal solid waste (MSW) management system in Santa Clara follows a linear model based on generation, collection and final disposal in an open dump. According to municipal data (2023), the composition of MSW is distributed in:

- Household sector (82.3%)
- Industrial sector (16.6%)
- Hospital sector (1.1%)─

Collection covers only 72.51% of the waste generated, with a coverage of 92.8% in urban areas, but without segregation at source. Final disposal is carried out without leachate treatment or valorization processes.

III.1.2 Calculate the percentage reduction of waste for disposal in the landfill.

Total Reduction

$$TR = \sum(Recycling \ + composting \ + reuse \quad (1)$$

$$\% \, Reduction$$

$$\%Red = \frac{Total\ Reduccion}{Base} \ x\ 100 \quad (2)$$

III.2 PROBLEMS.

Lack of segregation at source; waste is mixed at all stages of the collection system (storage, transport and disposal). Deficiencies in collection and transportation due to the lack of adequate vehicles and the absence of sorting and recycling plants. The municipal landfill lacks a leachate treatment system.

III.3. STUDY DESIGN

III.3.1. METHODOLOGICAL APPROACH

- Diagnose the current MSW system through documentary analysis and surveys.
- Evaluate the perception of key actors (citizens, companies, government).
- Propose a circular economy model based on practices adapted to the local context.

III.4. Constraints.

III.4.1 Lack of Awareness and Sensitization.

- The population and companies are unaware of the benefits of the circular economy.
- Resistance to change in consumption habits and waste separation.

III.4.2. Insufficient Legal Framework.

- Absence of specific regulations for the treatment and recovery of materials.
- There are no sanctions for violators who do not comply with proper disposal.

III.4.3. Inadequate Infrastructure

- There are no recycling plants in the territory.
- The current landfill operates without technical control.

III.4.4. Limited Financing

- The transition requires investment in technology, training and equipment.
- Difficulty in accessing public or private funds.

In order to effectively address the solid waste problem in Santa Clara, it is essential to develop the key steps presented in the attached figure. These steps will allow structuring, implementing and consolidating a Solid Waste Management System based on the Circular Economy, guaranteeing its sustainability and efficiency.
To ensure an effective transition to a sustainable solid waste management system in Santa Clara, it is essential to implement the eight key steps described in Figure 1:

- Structure a model aligned with circular economy principles.
- Implement technical and operational solutions adapted to the local context.
- Consolidate the system ensuring its efficiency and long-term sustainability.

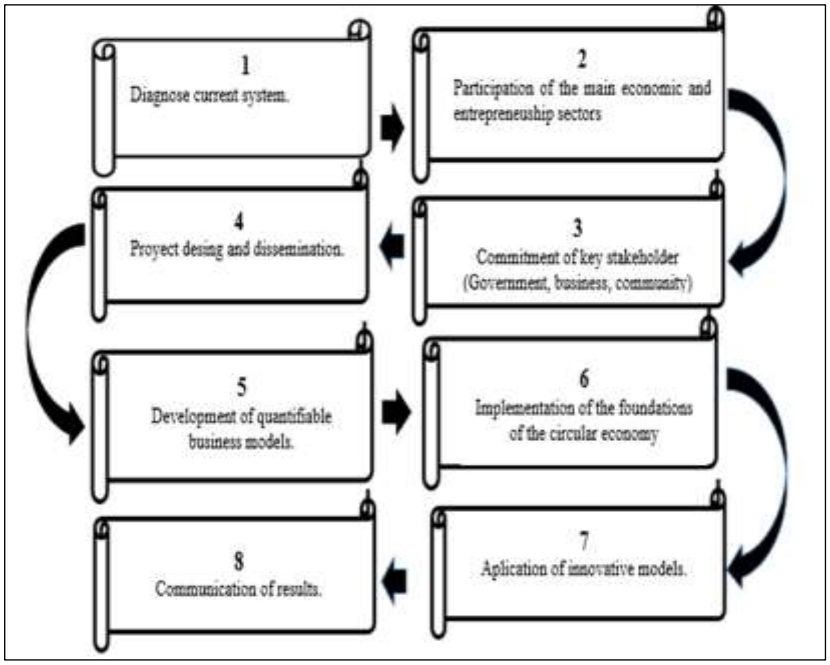


Figure 1: Steps to achieve the development of the Circular Economy in the Waste Management System.
Source: Authors, (2025).

IV. RESULTS AND DISCUSSIONS

The transition to a circular economy (CE) represents a key challenge for sustainable development, especially in communities like Santa Clara, where waste management and resource efficiency require significant improvements. A strategic framework for implementing a CE system is proposed, addressing organizational, participatory, regulatory and technological aspects and highlighting the actions needed to strengthen municipal solid waste (MSW) management, promote multi-sectoral collaboration and design circular business models.

IV.1 CHARACTERIZATION OF THE CURRENT SYSTEM AND COMPOSITION OF GENERATED WASTE.

The Santa Clara Community Services Company collects an average daily amount of 253.69 metric tons (t/d) of municipal solid waste (MSW). For waste characterization, the quartering method established in the Mexican standard NMX-AA-015-1985 [22], was applied, using a 50 kg sample. Table 1 details the percentage composition of the components identified in the study.

Table 1: Daily generation of urban solid waste in Santa Clara.

Type waste	Solid Waste generated (t/day)	Waste generated daily (%)	Valuation potential
Organic waste (food waste, garden pruning)	167.37	65.95	Composting / Biodigester
Plastics, glass and metals (potentially recyclable)	45.26	17.86	Recycling
Paper and cardboard	12.10	7.77	Recycling / Reuse
Waste (textiles, leather)	13.14	5.18	Recycling
Ash and others	15.82	4.24	Landfill
Total	253.69	100	

Source: Authors, (2025).

The municipal solid waste (MSW) management system in Santa Clara follows a linear model with simple stages. According to estimates, the generated waste will be treated as follows: 80% of paper and cardboard, 60% of plastic, glass, and aluminum, 50% of organic waste, and 15% of textiles and leather. As a result, a total daily waste reduction of 122.45 tons is projected, representing a 48% decrease compared to the initial levels deposited in the landfill.

IV.2 MAIN PROBLEMS DETECTED

a) Waste generated is mixed during the storage, transportation and final disposal stages.
b) Deficiencies in the collection and transportation services due to the lack of adequate vehicles and logistical resources.
c) Inadequate final disposal in landfills without leachate treatment, whose pollutant loads affect the water table and adjacent surface waters.

Currently, most of the waste in Santa Clara is deposited in the municipal landfill without prior classification, which generates problems such as:

- Soil and groundwater contamination.
- Methane emissions (a potent greenhouse gas derived from the decomposition of organic waste).
- Santa Clara's waste stream contains recoverable materials that could boost local economies if recycled.

IV.3 IMPLEMENTATION OF INDICATORS FOR THE CIRCULAR ECONOMY

To promote the circular economy in Santa Clara, it is essential to establish indicators that allow:
• Measure progress and evaluate the impact of implemented actions.
• Identify areas for improvement and facilitate decision-making.
• Promote transparency and accountability.
Examples of key indicators:
• Recycling and waste recovery rate obtain the percentage of waste recycled or reused.
• Amount of materials recycled per inhabitant or economic sector.
The circular economy is a key strategy for reducing environmental impact and promoting sustainable development. Its success depends on the rigorous monitoring of indicators that guide public policies in municipalities such as Santa Clara.

IV.4 METHODOLOGY AND EXPECTED RESULTS

Ten indicators categorized into key dimensions are proposed:
1. Reduction of waste sent to final disposal.
• Indicator: Volume of waste sent to landfill (inter-annual comparison).
• Objective: Promote reduction, reuse and recycling.
Products designed for durability and reuse.
• Indicator: Number of products manufactured under circular economy criteria.
3. Materials reuse rate
• Indicator: Percentage of materials reused versus new materials.
4. Business participation in circular economy
• Indicator: Number of companies with circular practices.
5. Investment in circular infrastructure
• Indicator: Resources allocated to recycling plants, composting and repair centers.
6. Consumption of natural resources
• Indicator: Reduction in the use of water, energy and non-renewable raw materials.
7. Circular employment generation
• Indicator: Jobs created in reuse, recycling and sustainable design.
8. Circular product innovation
• Indicator: New products or services with a circular approach developed locally.
9. Citizen participation
• Indicator: Level of awareness of sustainable management programs.
These indicators will make it possible to evaluate progress towards a circular economy, identify gaps and optimize public policies.

IV.5 CHALLENGES AND SOLUTIONS FOR THE TRANSITION

The implementation of the circular economy faces barriers that require comprehensive solutions:
1. Lack of awareness.
• Problem: Lack of awareness of the benefits of the circular economy.
• Solution: Educational campaigns and partnerships with academic institutions.
2. Insufficient legal framework
• Problem: Lack of regulations for waste recovery.
• Solution: Public policies with incentives and oversight mechanisms.
3. Lack of infrastructure
• Problem: Lack of sorting and recycling plants.
• Solution: Investment in sorting technologies and reverse logistics.
4. Financial constraints
• Problem: High modernization costs.
• Solution: Public-private funds and green business models.
5. Technical gaps
• Problem: Lack of training in circular methodologies.
• Solution: Specialized workshops and technology transfer.
Overcoming these challenges requires a multi-sectoral approach that combines regulation, innovation and community participation.

IV.6 EXPECTED BENEFITS

Economic
• Generation of green jobs in sectors such as recycling, repair, composting, sustainable design.
• Cost savings for businesses and municipality by reducing dependence on virgin raw materials and optimizing resource use.
• Attraction of investments in clean technologies and circular business models.
• Waste valorization, transforming waste into economically useful resources (compost, recycled materials).

Environmental.

- Reduction of soil and groundwater contamination by reducing the amount of waste to be disposed of in landfills by 48%.
- The reduction of gas and particle emissions from landfills and incineration processes will reduce atmospheric pollution, benefiting the health of the population and the environment.
- The promotion of recycling and reuse will reduce the extraction of non-renewable raw materials.
- The implementation of circular practices will reduce the amount of waste that ends up in landfills and in the natural environment, protecting biodiversity and local ecosystems.
- The incorporation of sorting and recycling technologies will promote more efficient and environmentally responsible management of municipal solid waste.

Social

- Increased environmental awareness among the population, promoting responsible consumption habits and citizen participation.
- Improved quality of life by reducing pollution and health risks associated with uncontrolled landfills.
- Social inclusion by creating jobs in emerging sectors, especially for vulnerable communities.
- Strengthening of the local economy by promoting enterprises based on reuse and recycling.

The transition to a circular economy in Santa Clara will solve problems in the waste management system and lay the foundation for a sustainable future. With the implementation of environmental education, public policies and adequate infrastructure, the municipality can become a regional and national model demonstrating that a balance between economic and environmental progress is possible.

This approach is not only theoretical, but an urgent necessity for a cleaner city. By promoting reuse, recycling and waste reduction, resources are conserved, pollution is reduced and responsible economic development is promoted. These practices improve quality of life, strengthen the local economy and protect the environment for future generations.

V. CONCLUSIONS

1. The waste management system in Santa Clara operates under a linear model, characterized by generation, collection and disposal in landfills without prior segregation, which generates pollution, loss of valuable materials and harmful emissions. Limited infrastructure, lack of public awareness and an insufficient legal framework hinder the transition to more sustainable practices.

2. The implementation of circular economy principles in Santa Clara's waste management system - including source segregation, material recycling, product reuse, and durable design - could reduce landfill disposal volumes by 48%, while simultaneously decreasing environmental pollution and recovering value from materials currently lost in the linear system.

3. There are significant obstacles that hinder the sector's progress, including the lack of adequate infrastructure, limitations in public awareness and participation, deficiencies in legislation and regulation, and the need to strengthen technical and management capacities.

4. Santa Clara has a high potential to implement innovative solutions, such as waste treatment technologies, collaborative economy and sustainable business models, which can contribute to reduce waste generation and promote resource recovery.

5. Is necessary strengthen cooperation between public and private actors, promote environmental education, develop technical capacities and establish regulatory frameworks that encourage the transition to the circular economy in waste treatment.

6. The transition to the circular economy in waste treatment in Santa Clara constitutes a fundamental opportunity to reduce environmental impacts and promote more sustainable management, thus minimizing inadequate disposal in the landfill.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.
Methodology: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.
Investigation: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.
Discussion of results: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.
Writing – Original Draft: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.
Writing – Review and Editing: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.
Resources: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.
Supervision: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.
Approval of the final text: MSc. Teresa Margarita Cárdenas-Ferrer, Dr. C. Ronaldo Francisco Santos-Herrero, Dr. C. Ana Margarita Contreras-Moya, Dr. C. Elena Rosa-Domínguez, Msc. Yania Correa Cortes and Dr. C Jorge Leiva Mas.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.36-46. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2411

RESEARCH ARTICLE OPEN ACCESS

UPGRADE INDUSTRIAL COMMUNICATION NETWORK TO ASSIMILATE AUGMENTED REALITY FOR SMART FACTORY USING H265 – BASED EDGE COMPUTING

Yazen S. Sheet[1], Firas S. Alsharbaty[2] and Mohammed Younis Thanoun[3]

[1,2,3] Department of Electrical Engineering, University of Mosul, Mosul, Iraq

[1]https://orcid.org/0000-0002-2183-0711, [2]https://orcid.org/0000-0002-0353-1777, [3]https://orcid.org/0000-0002-2852-3917

Email: yazenalnuaimi@uomosul.edu.iq, Alsharbaty@uomosul.edu.iq, myounisth@uomosul.edu.iq

ARTICLE INFO

Article History
Received: June 21, 2025
Revised: September 20, 2025
Accepted: November 1, 2025
Published: November 30, 2025

Keywords:
Industry 4.0,
Smart Factory,
Augmented Reality,
Edge Computing,
H265/HEVC

ABSTRACT

Augmented reality (AR) application has the potential to be regarded as one of the newest smart factory applications within the context of industry 4.0. This application is classified as the heavier application in industry 4 from bandwidth consuming points of view. Hence, the excessively high-resolution video streams that are produced by augmented reality causes resources congestion in terms of system capacity. As a consequence, the communication network will suffer extremely to meet the requirements of such applications. This work suggests the H265/HEVC compression technique based on edge computing to assimilation the required data rate. This method contributes in reducing the load on the available bandwidth and decrease the latency. Moreover, this work offers multi scenarios using OMNeT++ regarding AR application with multi compression ratio based on H265 technique. In addition, H265 compression technique has been tested practically on AR data using suitable edge server. Hence, the results demonstrated that the received data reliability improves from 10% in basic scenario to 99% (enhanced network using edge computing) at a compression rate of 10:1 in the proposed scenario with maintaining the AR quality at 42 dB which is considered as a good quality according to the mean opinion score (MOS) criteria. On the other hand, the end-to-end delay for AR application drops from 900 ms in basic scenario to just 8.7 ms at a compression ratio of 10:1 in the proposed scenario.

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I. INTRODUCTION

Industry 4.0 refers to the fourth industrial revolution, which is characterized by the utilization of modern information and communications technology (ICT) to enhance the level of automation and digitalization of production, manufacturing, and industrial processes[1]. However, the management of the complete value chain process, the enhancement of production efficiency, and the generation of high-quality goods and services are the goals of this concept. The term "smart factory" refers to one of the applications created by Industry 4.0, which includes a number of technologies such as: Internet of Things (IoT) for industrial applications which also called industrial IoT (IIoT), big data, cloud computing, edge computing, autonomous robots, and AR [2-4].

AR represents one of the most important applications of the smart factory hence this application connects between the process of integrating digital information with the environment of the user to provide a more immersive experience. The employee of AR encounters a real-world environment with created perceptual information superimposed on top of it, in contrast to the experience of virtual reality (VR), which produces an entirely artificial environment[5]. At the present time, a wide variety of industries are utilizing AR for tasks related to the maintenance, repair, and overhaul of equipment (MRO) or ask an expert to solve the problems. A technician simply needs to point the camera at the machine, electrical wiring, or plumbing, and the system just display the information and video stream that are pertinent to the particular situation on the screen[6]. As a consequence, the quality of the work's highly rises , see Figure 1 [7].



Figure 1: AR in industry 4.0, hand of engineer holding mobile smart phone using virtual AR to check the work of electric machine in smart factory.
Source: Authors, (2025).

As AR uses high-resolution cameras, which generates video stream at high bit rate resulting in the communications network becoming flooded and its resources may be blocked, so to solve this issue, either high-capacity communication technologies are utilized, which considering as an expensive solution[8]. However, another solution may be more effective in terms of cost such as edge computing that is utilized to process the application data near to the source rather than sending it to the cloud for processing. This work suggests an enhanced industrial communication network for AR application using H.265 compression technique based on edge computing.

In addition, this paper offers scenarios based on different compression rate to improve the performance of the industrial network with addressing an accepted data accuracy to handle the requirements of the AR application. The structure of this paper is divided into six sections, in addition to an introduction, section two presents an overview of the previous related works. Section three provides an explanation of the data compression based on the edge computing. Whilst, research methodology has been explained in section four; Section five presents and discusses the results. Finally, the most important conclusions have been concluded in section six.

II. RELATED WORKS

There are many researchers who presented different works in this field, some of them have been reviewed in this section. The authors in [9] have designed an architecture for AR Edge Computing that moves AR tasks that need a lot of processing power from end devices to a powerful edge server. The results showed that a 50ms latency between sending, tracking, annotating, and receiving a 752 × 480 compressed video frame is fine, but it's still a problem for head-mounted displays (HMDs). To make things even better, the paper suggested that future work should focus on building communication technologies with higher bandwidth and lower latencies. The work [10]presented an architecture for the implementation of edge computing in IoT-based manufacturing, enabling the incorporation of edge computing capabilities into manufacturing processes.

The authors conducted a practical case study that illustrated the execution of active maintenance utilizing a prototype platform-based edge computing. it illustrated the benefits of edge computing in enhancing operational agility and optimizing bandwidth, demonstrating its efficacy in a practical manufacturing environment. The authors in[11] examined a system for augmented reality (AR) that transfers the computing tasks to an Edge server. This approach reduced the constraints of mobile devices in executing complex augmented reality tasks, including three-dimensional mapping, position estimation, and rendering. The authors demonstrated that their implementation achieved competitive performance with an end-to-end latency of approximately 85 ms, significantly reducing energy usage by an average of 50% and increasing available computational resources by a factor of 10 to 100. An architecture that incorporates edge computing into cloud environments for optimized storage and low-latency video streaming has been introduced in [12].

The authors utilized video transcoding and adaption techniques to accommodate diverse network conditions and user preferences, thereby improving the overall quality of video streaming. The results demonstrated a latency reduction of up to 25% and a storage consumption decrease of up to 15%, confirming the efficiency of the suggested edge computing methodology. The paper[13] developed a complete architecture that combines Time-Sensitive Networking (TSN) and Edge Computing to address the specific requirements of IIoT applications, especially in crucial industries such as healthcare and manufacturing. The authors offered many solutions for increasing network performance, including the deployment of Edge Computing nodes to minimize latency and enhance data processing efficiency. it delineated particular simulation scenarios to evaluate the proposed solutions under diverse network situations. This empirical method yielded significant data regarding the impact of various configurations on performance parameters like as latency, jitter, and channel efficiency.

III. DATA COMPRESSION TECHNIQUES BASED ON EDGE COMPUTING

IIoT devices generate enormous amounts of raw data that may exceed the capacity of the traditional cloud computing paradigm. This means that the majority of IIoT data will be consumed at the network edge rather than being transferred to the cloud. On the other hand, the cloud computing model may be insufficient for many reasons. For instance, the volume of data at the edge is excessive, using significant bandwidth and computational resources unnecessary. Moreover, the necessity for privacy protection obstructs cloud computing in IIoT. Therefore, the edge computing concept have been emerged to handle the mentioned cases. It can be described as the model that optimizes cloud computing systems by processing data close to its source at the edge of the network. It enables technologies to processing and storage resources in close proximity to the data source, primarily near the network's edge [14-16]. See Figure 2.

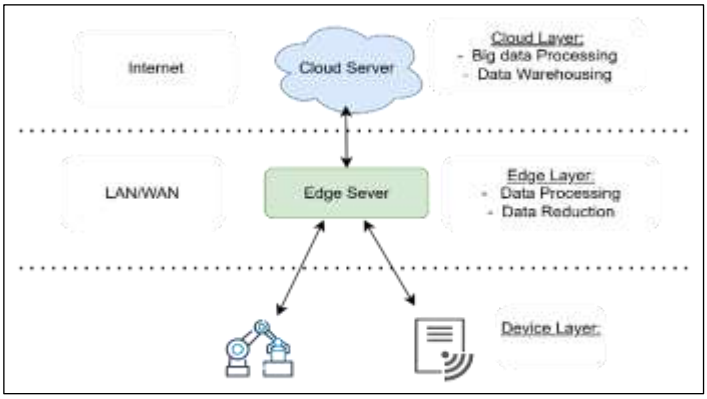


Figure 2: Edge Computing Concept.
Source: Authors, (2025).

However, the edge computing can be offered some benefits such as reduced latency, bandwidth optimization, improved reliability, and enhanced security and privacy. In this context, one of the methods that could be engaged with edge computing is the technique of data compression to improve the behavior of the systems. Data compressions include many types where the most common type of data compression is video compression. Video compression techniques have been designed to remove unnecessary and redundant data from a raw video stream in order to ensure that the coded video stream that is obtained is stored or transmitted over a network in the most effective manner feasible. During the process of encoding, redundant data is removed by the application of specified algorithms. The amount of time that is required to accomplish this task is referred to as encoding latency, and it is primarily utilized in live broadcasting. The term "decoding" refers to the act of replicating the encoded video in a manner that is as close as its raw form[17]. Figure 3 illustrate the block diagram of video compression.

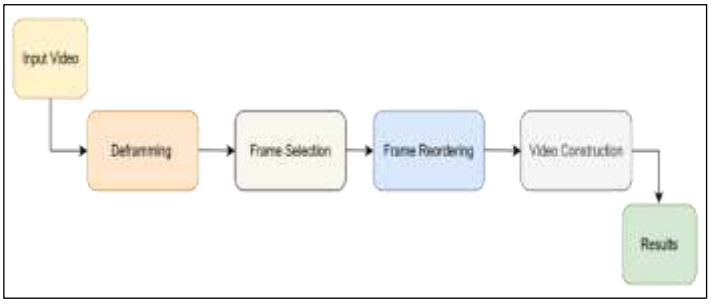


Figure 3: Video Compression Block Diagram.
Source: Authors, (2025).

Different video coding standards have been proposed to guarantee interoperability and broad usage. Commonly used video compression standards consist of VP9, AV1, H.264/AVC, and H.265/HEVC. By defining the parameters and principles for video compression, these standards guarantee compatibility across many platforms and devices[18]. As the demand for high-definition video material continues to rise, streaming services can take advantage of H.265/HEVC to deliver videos of a better quality while maintaining bandwidths that are reasonable, this will improve the user experience while also lowering the costs of data transmission[19]. H.265 is the successor to the H.264 codec, which was specifically developed through the collaborative efforts of ISO/IEC and ITU-T in H.264 encoding. The compression ratio of H.265 surpasses that of H.264 by up to 50%, resulting in its widespread applicability in many domains[20]. Despite the advantages of compression techniques based on edge computing, they still display drawbacks, especially the processing time for compression and encoding, which is estimated of 20 milliseconds per megapixel at a compression ratio of 50:1.Figure 4 represents the block diagram of HEVC encoder[21].

III.1 QUALITY MEASUREMENT OF COMPRESSION TECHNIQUE

Several metrices are taken into consideration in order to evaluate the performance of compression technique [13] which include:

Compression Ratio (CR): This ratio shows the percentage of AR data that has been resized relative to its original size. It can be calculated by dividing the uncompressed size by the compressed size. A higher compression ratio indicates greater compression efficiency.

$$CR = \frac{\textbf{Uncompressed Size}}{\textbf{Compressed Size}} \quad (1)$$

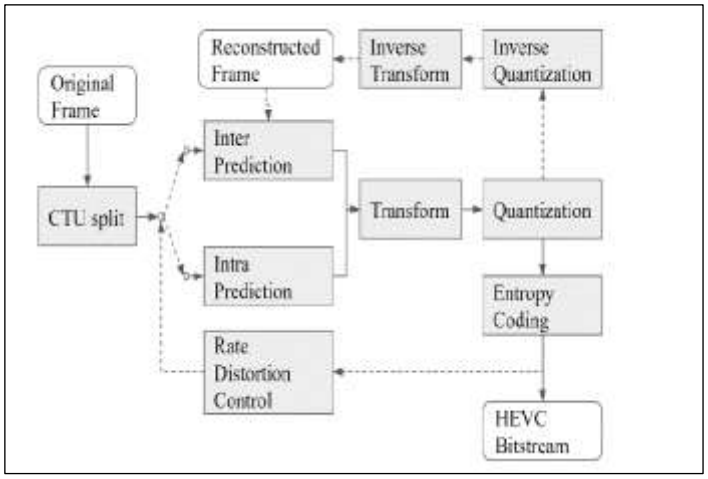


Figure 4: HEVC Encoder Block Diagram.
Source: Authors, (2025).

Peak Signal-to-Noise Ratio (PSNR): The quality of the compressed AR data is a critical factor to consider. Various metrics, such as PSNR, can be utilized to evaluate the similarity between the original and compressed versions. Elevated PSNR values signify superior quality.

$$\text{PSNR} = \frac{10\text{Log}((max^2)}{\text{MSE}} \quad (2)$$

max: maximum possible pixel value, MSE: is the mean squared error between the pixel values of the uncompressed and compressed video versions.

Bitrate: represents the volume of processed or sent data within a specified time. It is generally measured in (bps). In video compression, a higher bitrate indicates an increased volume of data utilized to represent the video, leading to better quality but also larger file sizes. A reduced bit rate decreases data consumption, perhaps compromising quality while yielding smaller file sizes.

IV. MEHODS AND MATERIALS

IV.1 MODEL DESCRIPTION

The model which has been proposed in this paper addressing an industrial case which deals with an augmented reality application for the purpose of maintenance and requesting remote support. There are two main parts in such model, the first represents the machine operator in a manufacturing environment, who tries to get advice and recommendations to maintain the machine and fix problems. The expert, who is located in a location that is remote from the operator, is the representative of the second one, after receiving the data from the operator, the expert will provide an advice and recommendations then send back them to the machine operator. The two parties are connected by a wired network. In addition, the edge computing has been suggested to process data close to the source to minimize latency and maximize the utilization of available bandwidth. Table 1 demonstrates the model assumptions.

Table 1: Model Description.

Item	Description
Operator Side	The operator is responsible for capturing a video that sending it with an information to AR receiver (expert). This is accomplished by directing a device with high-resolution camera toward the machine under operation.
Communication Network	In order to send AR application data from the source to the destination, a wired network that is comprised of switches and ethernet cables is utilized.
Edge Computing Server	AR experience is provided to users by edge computing, which should be a server with high performance to receive the video stream that has been sent by the operator, processing the data, using video compression algorithms, and then transmitting it to the network.
Expert Side	An expert displays the AR stream by a PC or tablet, writes notes, draw annotations and gives the appropriate recommendations, then sends these notes back to the edge computing, which processes and delivers them to the operator side to be presented by display device.

Source: Authors, (2025).

Figure 5 shows the general architecture of the support system while Figure 6 explains the flow chart of system methodology.

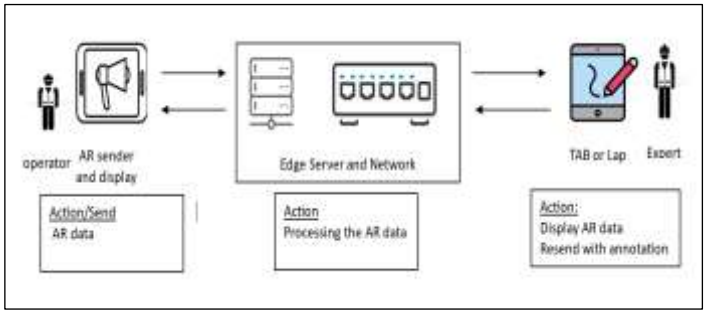


Figure 5: The suggested System Architecture.
Source: Authors, (2025).

IV.2 ADOPTED SCENARIOS AND THE ASSUMPTIONS

IV.2.1 BASIC SCENARIO

The network scenarios have been designed using the OMNET++ simulation due to flexibility and suitable frameworks for industrial models. The basic scenario of the model is shown in Figure 7, it comprises of an AR sender, a device with high resolution camera that transmits video streams via a wired Ethernet network to a remote server, which subsequently forwards the data to an AR receiver. The concept of edge computing has not been used in this Scenario. Table 2 summarizes the assumptions of the basic model.

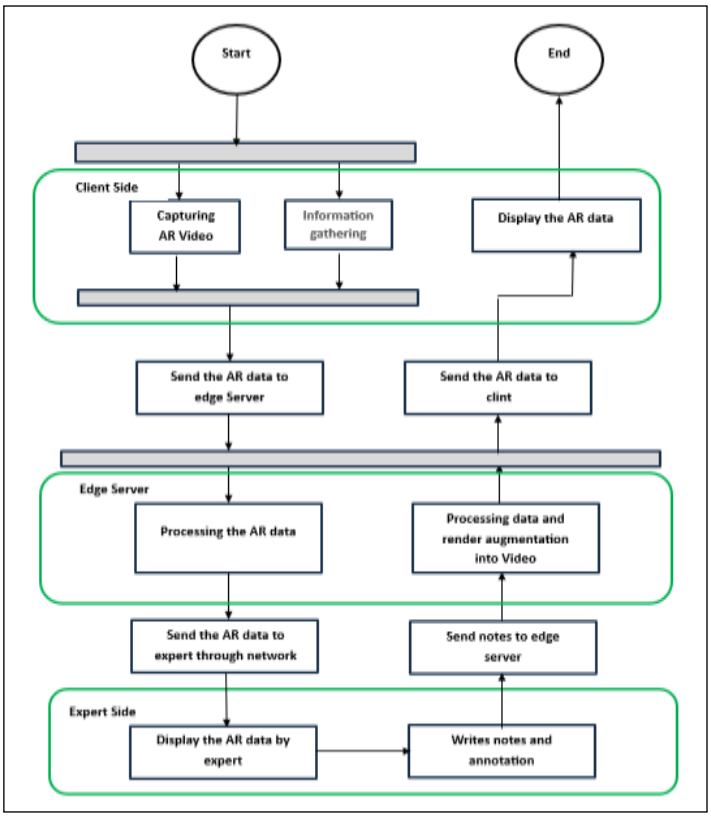


Figure 6: The Flowchart of Methodology.
Source: Authors, (2025).

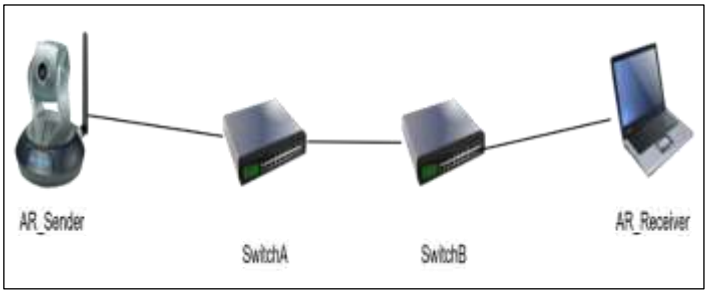


Figure: 7 Basic Scenario of Model.
Source: Authors, (2025).

Table 2: Model Assumptions.

Asuumption	Value
Work area	100m * 100m
Camera Resolution (HD) For AR sender	1920 * 1080 PPF*, 20 FPS**, RGB*** (24 bit for colures)
Raw data of video stream	≈ 995 Mbps
Network Devices	Ethernet Switch 4 ports
Link Type	Eth100Mbps
Simulation Time	1 s

Source: Authors, (2025).

*PPF: Pixel Per Frame, **FPS: Frame Per Second, ***RGB: Red Green Blue

IV.2.2 ENHANCED SCENARIO

This scenario exploits the edge computing to process data proximate to its source, utilizing video compression techniques to minimize data size and facilitate transmission within the existing network resources. Figure 8 represents the proposed scenario of model. In this case, the H265/HEVC compression technique has been utilized in the edge server in this scenario to compress the data stream generated by the AR application. Firstly, it is vital to address the tradeoff between the compression rate and the accuracy [13]. In this context and to handle the AR application requirements, the Hand Break Software [22] has been used to compress video-based AR with same specifications of AR video in order to determine the compression ratio of H265 in a practicable and accurate manner. For instance, to evaluate the quality of the compressed video, another software [23] has been used to calculate the PSNR value of the video after compression process then interrupting this value with the MOS value, which is regarded as a metric of the quality of service, as illustrated in Figure 9. Figure 10 represents the flow chart for enhanced scenario.

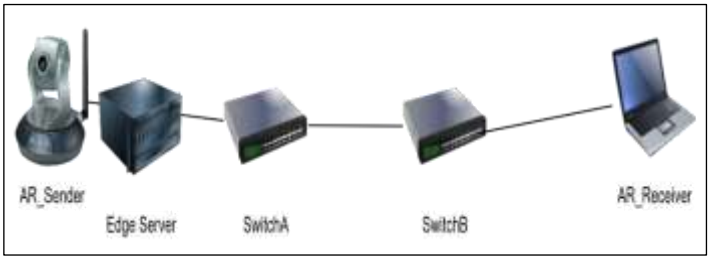


Figure 8: Enhanced Scenario of Model.
Source: Authors, (2025).

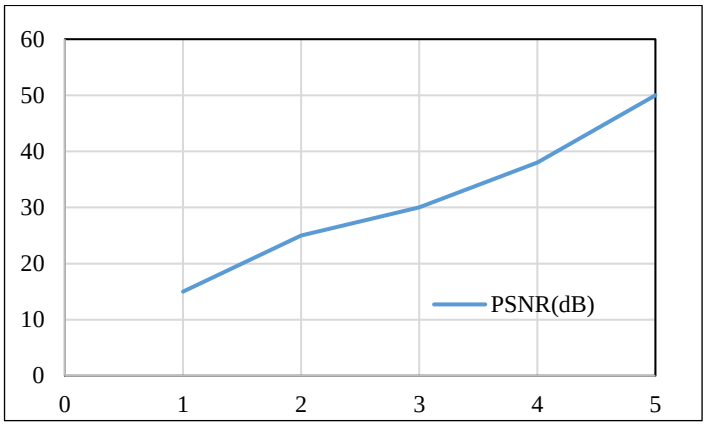


Figure 9: MOS and PSNR Relationship.
Source: [18].

However, the specifications of the adopted edge server that are exploited to compress the data of AR are CPU Intel Core i9, 64 – bit OS (Operating System), 32 GB RAM, Oracle VM VirtualBox, Linux guest, Ubuntu 20, 60 GB dynamically allocated Storage, OMNeT++ 5.6 ver., and INET Framework 4.1.

IV.2.3 UPGRADE SCENARIO

This scenario offers upgrading the network infrastructure from the cable capability point of view. It can be enabling the AR application to send massive amounts of raw data. In this scenario, the link data rate of the basic has been increased from 100 Mbps to 1 Gbps.

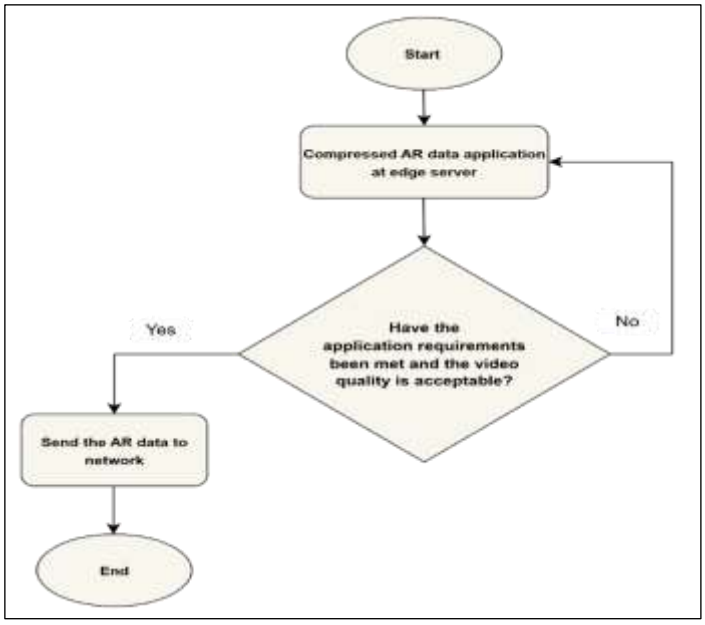


Figure 10: The Flow Chart of Enhanced Scenario.
Source: Authors, (2025).

V. RESULTS AND DISCUSSIONS

In terms of the basic scenario, the results of the generated and received traffic for the AR application, as well as end to end delay have been shown in Figure 11 and Figure 12 respectively. Regarding Figure 11, the amount of sent traffic is approximately equal to 1000 Mbps at 1 second of simulation time. However, it is noticed that the amount of received traffic hits to 98.9 Mbps near to network bandwidth limitation, which leads to loss most of the sent traffic, as the percentage of 90% due to limited available bandwidth.

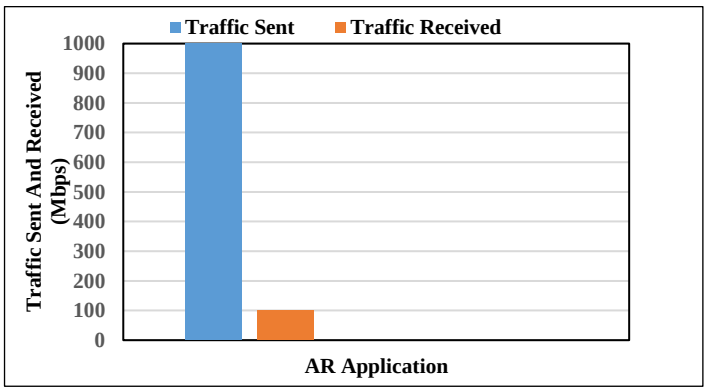


Figure 11: Traffic Sent and Received for AR Application in Basic Scenario.
Source: Authors, (2025).

On the other hand, the end-to-end delay time which shown in Figure 12 reaches to 900 ms at a simulation time of 1 second, which breaks the requirements of semi real time of AR application, this is due to the inability of the network to send all data as mentioned before, which leads to an increase in the waiting time in the queue and it causes bytes lost.

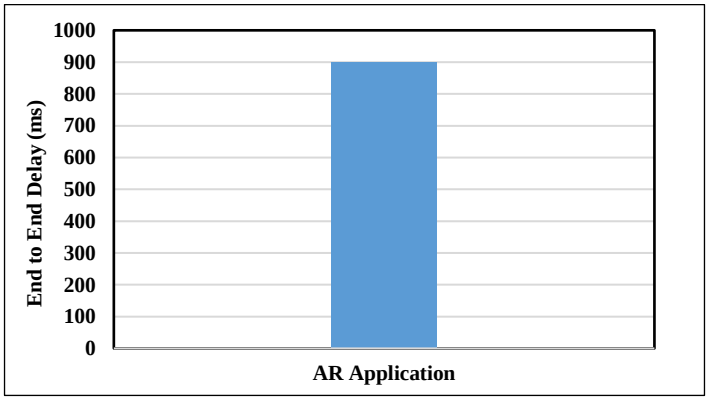


Figure 12: End to End Delay for AR Application in Basic Scenario.
Source: Authors, (2025).

In terms of the enhanced scenario, the results of compressing AR data in a manufacturing environment with the mentioned software earlier [16] explained a notable enhancement. As illustrated in Figure 13, that the ratio of received traffic at AR_Receiver to sent traffic from edge server (Received Data Reliability RDR%) increased from 20% at a compression rate of 2:1 to 99% at a compression rate of 10:1, This enhancement arises from a reduction in bit rate due to video compression, hence enhancing the network's ability to transmit all traffic to the destination.

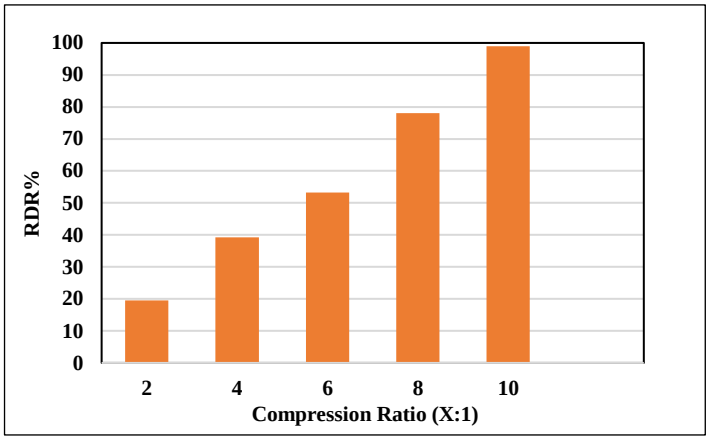


Figure 13: RDR% for AR Application in Edge Computing Scenario at Compression Ratio (2:1,4:1,6:1,8:1,10:1).
Source: Authors, (2025).

The end-to-end delay which has been illustrated in Figure 14, indicating a substantial improvement, as it decreased from 804 ms at a compression ratio of 2:1 to 8.7 ms at a compression ratio of 10:1. This enhancement is related to the AR compact size and the network's ability to transmit data with little latency. The compressed AR data has been analyzed using MSU Video quality measurement [17]. It measures the quality of AR data after compression. The PSNR value for the compressed AR data has been calculated at the rate of 10:1 which was approximately 40 db, and through the relationship between PSNR and MOS which shown in Figure 9, this value indicates good quality of service where MOS.

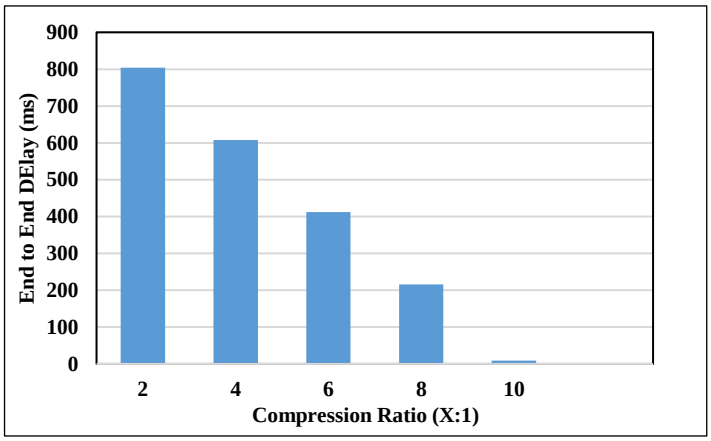


Figure 14: End to End Delay for AR Application in Edge Computing Scenario at Compression Ratio (2:1,4:1,6:1,8:1,10:1).
Source: Authors, (2025).

Equal to 3.8. Figure 15 (a and b) represents a sample of AR before and after compression. Noting that it is possible to lower the size of AR data by increasing the compression ratio, but this will make processing take longer and be more complicated, as well as decrease the level of service quality.



(a)



(b)

Figure 15: AR Video Sample (a) Before Compression (b) After Compression.
Source: Authors, (2025).

Finally, the scenario's results of upgraded scenario demonstrates that the traffic sent and received are approximately equal as noted in Figure 16 so, RDR % has been increased to 99. On the other hand, the delay time, has been shown in Figure 17-, as noticed that the delay decreased dramatically to about 0.37 ms. This is due to the high ability of the network to transfer data quickly and without delay, but this solution comes at the expense of cost and time, especially when the network is large in size.

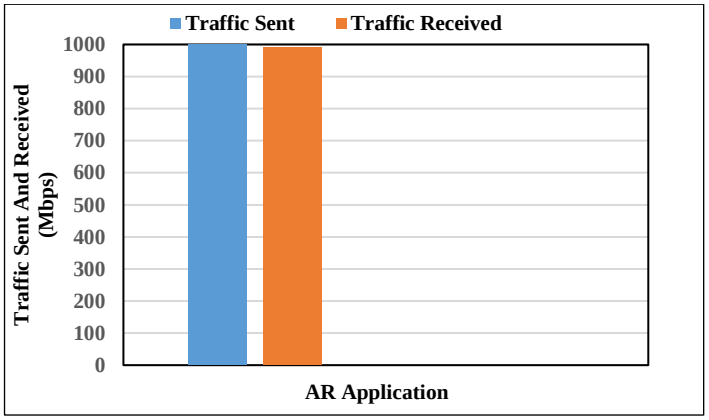


Figure 16: Traffic Sent and Received for AR Application in Upgrade Scenario at 1 Gbps.
Source: Authors, (2025).

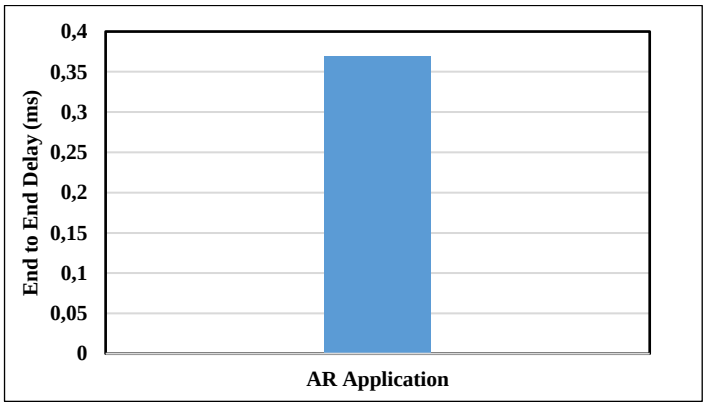


Figure 17: End to End Delay for AR Application in Upgrade Scenario at 1 Gbps.
Source: Authors, (2025).

VI. CONCLUSIONS

The paper presented a comprehensive approach to enhancing communication networks for Augmented Reality (AR) applications within the scope of Industry 4.0 by integrating edge computing with video compression techniques. it demonstrated that traditional network infrastructures face significant challenges when handling high-resolution video streams regarding AR applications, leading to bandwidth saturation and increased the latency. The results indicated that implementing edge computing alongside H.265/HEVC compression technology could drastically improve the efficiency of data transmission by increasing in the ratio of received to sent traffic from 10% in the basic scenario to 99% for enhanced scenario. Moreover, the end-to-end delay has been reduced from 900 ms to just 8.7 ms. Furthermore, upgrading the existing network infrastructure to support higher bandwidth has been also explored in the upgrade scenario. However, the results of upgrade scenario could improve the performance of the system with more cost. Overall, the integration of edge computing and advanced video compression techniques represents a viable solution for optimizing AR applications in smart

factories, facilitating enhanced operational efficiency and improved user experiences. The future work aims to exploit these findings to develop the model in terms of scalability and the impact of diverse industrial environments on performance metrics.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Yazen S. Sheet and Firas S. Alsharbaty.
Methodology: Yazen S. Sheet.
Investigation Yazen S. Sheet and Firas S. Alsharbaty.
Discussion of results: Yazen S. Sheet and Firas S. Alsharbaty.
Writing – Original Draft: Yazen S. Sheet.
Writing – Review and Editing: Yazen S. Sheet, Firas S. Alsharbaty and Mohammed Younis Thanoun
Resources: Yazen S. Sheet.
Supervision: Firas S. Alsharbaty and Mohammed Younis Thanoun.
Approval of the final text: Yazen S. Sheet, Firas S. Alsharbaty and Mohammed Younis Thanoun

VIII. ACKNOWLEDGMENTS

The authors would like to express their gratitude to the University of Mosul, College of Engineering, Department of Electrical, for providing the necessary facilities that contributed to enhancing the quality of this paper.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.47-59. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2659

RESEARCH ARTICLE OPEN ACCESS

SPRINGBACK TRENDS WITH DIFFERENT PROCESS PARAMETERS OF THREE SELECTED METALS

Sharif Muktadir Hossain Chowdhury[1], Md Nazmul Hasan Dipu[2], Mohammad Muhshin Aziz Khan[3]

[1,2,3] Department of Industrial and Production Engineering, Shahjalal University of Science and Technology, Sylhet, Bangladesh.

[1]http://orcid.org/0000-0003-3168-1374, [2]http://orcid.org/0000-0001-6838-4918, [3]http://orcid.org/0000-0001-9494-6873

Email: sharifmuktadirhossainchowdhury@gmail.com, dipu.ipe.sust@gmail.com, muhshin-ipe@sust.edu

ARTICLE INFO

Article History
Received: September 3, 2025
Revised: October 20, 2025
Accepted: November 1, 2025
Published: November 30, 2025

Keywords:
Air bending,
Springback,
Springback trends.

ABSTRACT

Products or components manufactured by the sheet metal process are indispensable in this contemporary era, from daily-use metal jars to high-tech air vehicles. Nonetheless, there are a variety of sheet metal manufacturing processes for fabricating these goods; the air-bending sheet metal process is one of the most commonly conducted methods among those. After air bending, commonly used metals — Mild Steel, Aluminum, and Stainless Steel — tend to demonstrate an unwanted characteristic called springback, which requires being controlled to produce extremely precise parts. Therefore, this study aimed to develop an empirical model that would improve springback prediction, which would ultimately assist in minimizing the springback effect in bending operations. Moreover, exploring springback trends with process-related parameters was also the goal of this work. To achieve objectives thoroughly, several methodological approaches were incorporated sequentially: Box-Behnken experimental design, experimental data collection, conducting an ANOVA test, empirical model selection, model development, and model validation. Finally. in the validation phase, it was found that the developed linear models were able to prognosis springback with acceptable errors. From that mathematical model, springback trends with process-related parameters were explored. Overall, this study provides a wider view for observing springback trends with different factors.

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I. INTRODUCTION

Products or components manufactured by sheet metal are indispensable in this contemporary era, from daily-used metal jars to high-tech air vehicles, including automobile panels, airplane skins, cans for beverages, and frames for electronic devices [1]. As a result, the sheet metal process is incorporated in many industries — especially in aircraft, automotive, food, and home appliances [2]. These industries favor sheet metal fabrication, particularly the air-bending process, for its many significant [3]. Firstly, air-bending is extremely inexpensive and versatile, as it permits the fabrication of a vast range of bend angle configurations to be formed with the same set of instruments [4] [5]. Secondly, the air-bending method gives the flexibility required for manufacturing numbers. For instance, it may gratify the need to create decent parts even with a batch size of just one [5]. Thirdly, it is appropriate for sheet components with complicated, curved faces [6].

Fourthly, it requires a lower bending force than other bending modes, such as coining and bottoming [7]. Therefore, there are several significant air-bending sheet metal processes in manufacturing industries. After understanding the significance of the air-bending sheet metal process from the aforementioned paragraph, the readers of this article may be curious to know what air-bending exactly means. Air-bending is a major conventional sheet-metal bending technique [8] [9], which involves using a punch tip to press a piece of metal — both thin and thick [10] — into a die, while leaving air between the metal and the die. This process is also known as the three-point bending process [4], because the die touches the two points of the specimen, and the punch tip touches the specimen in the middle with one more point. Like other bending processes, the air-bending technique has one crucial undesired feature, which is springback [11] defined as an elastically driven shift in the shape of a component after forming [12]. In other words, springback happens, technically

speaking, in metal forming due to the primarily elastic recovery of material following the removal of the punch force [13] [14]. Since the bottoming is nonexistent in air-bending, the amount of springback is high for this particular process [4]. As a consequence, this springback may produce substantial shape deformities in the following natural shaping stage. It is therefore vital to understand which elements affect the springback, to estimate the amount of the springback [15], and prevent defects. To understand springback-affecting factors, there were many springback research works carried out by several scholars, especially for the air-bending process. One background work on air-bending in DP600 sheet material by Ozdemir showed that as the punch tip radius rose, the springback value increased; on the other hand, when the sheet thickness increased, the springback value reduced [16].

In addition to that, it was discovered by Gupta et al. during air-bending of electro-galvanized CR4 steel that springback increased with the increase in the width of the die for every punch journey — where the flexible die width was varied, but die radius, punch radius, and punch speed were maintained the same [17]. One more study by Thipprakmas et al. explored the influence of process parameters on springback in V-bending processes, by utilizing the finite element method. The findings demonstrated that material thickness had a large impact on springback and experimental validation revealed excellent agreement between finite element simulation and real findings [18]. Another finite element method-based research along experimental test was done by Xie, where it was demonstrated that springback in the air bending process rose with the punch displacement, punch radius, and die spread increased [19]. Further, Garcia-Romeu et al. depicted that springback was related to bending angle and sheet thickness. It was also noted that the bigger the yielding stress was, the bigger the springback amount was [20]. Furthermore, Buang et al. found that higher yield stress, caused a larger springback; the springback decreased with Young's modulus increased; and thicker materials had less springback [21].

From the literature, it is clear that springback depends on numerous factors, some of them are process parameters and others are mechanical properties. Although literature works were successful in identifying affecting springbacks factors, some research gaps were present. For instance, one research gap was in finding the springback sensitivity for process parameters. In addition, though few papers were found where a mathematical equation was developed for process parameters, no paper was found where a mathematical model had both process parameters and categorial material variable — process parameters could have provided process-related trends, on the other hand, the categorical material variable would have revealed material properties related trends. It can be assumed that the reason behind this could be the difficulty of blending the mechanical properties of metals with the process parameters. However, the curve-fitting technique may be helpful in combining the mechanical properties of the specimen and process parameters to engender a mathematical model.

Thus, research gaps existed for sensitivity analysis, process trend analysis, and material properties trend analysis. To address the aforementioned research gaps, this study had some objectives. The first objective was to develop an empirical mathematical model for prognosis springback in light of a curve-fitting equation. This equation included three process parameters along with one categorical variable namely material. So, this mathematical model might be useful to predict the springback more accurately. After the development of the mathematical model, springback sensitivity could be observed from the same mathematical model. Thus, the second goal of this work was to order the springback sensitivity from highest to lowest for process matrices. The third purpose of this study was to seek trends of springback with process parameters. The rest of this paper is organized as follows: ***Section 2*** shows methods; ***Section 3*** depicts analyses and findings; ***Section 4*** illustrates discussion; and finally, ***Section 5*** presents a conclusion.

II. MATERIALS AND METHODS

This study required many things to follow sequentially and all of them are visually illustrated by a flowchart in ***Fig. 1***. Hopefully, this flowchart makes the study's methods demystify for potential readers.

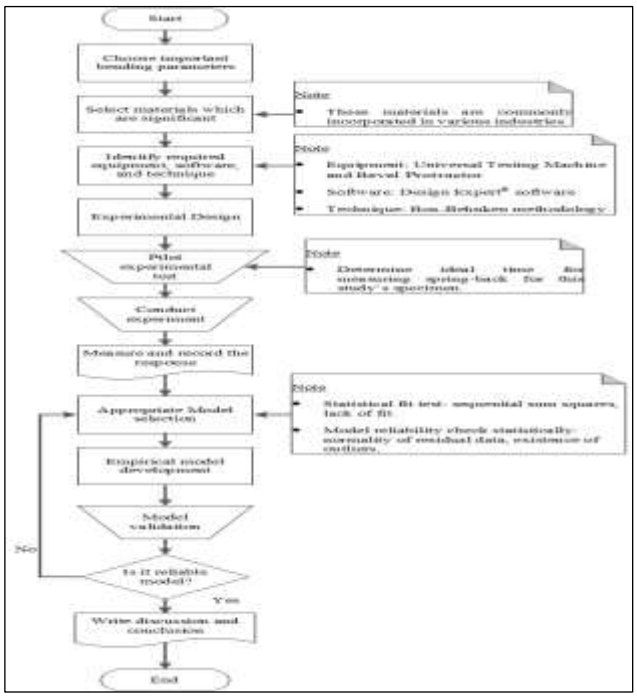


Figure 1: Sequences of this study.
Source: Authors, (2025).

II.1 STUDY'S FACTORS SPECIFYING

There are tremendous parameters that can influence springback [22]. In this study, a total of four investigational parameters were taken. Three of them were process parameters: initial bend angle, punch radius to sheet thickness ratio (P.R/S.T), and die gap. These three process parameters were likely to reveal springback trends with process parameters. On the other hand, one categorical factor — material was going to provide implicit for springback trends with mechanical properties. After establishing a mathematical model, different materials could be compared with the springback trends. Since different materials have different particular mechanical properties, thus, the mechanical properties related to springback trends could be revealed.

II.2 MATERIALS

An appropriate material section is a critical criterion for pursuing research pertinent to springback characteristics. Commonly employed industrial metals were given priority for this study. For example, Mild Steel S355 grade is one of the widely used materials for important structural applications [23]. Another vital material that could be considered for this research was Stainless Steel 304 — a commonly used metal in different kinds of industries for several purposes [24]. One more useful material is the Aluminum 7050 alloy, particularly in the aerospace industry [25]. Therefore, these three widely used materials were chosen in this research: Mild Steel (S355 grade with 0.20% carbon), Stainless Steel 304 (comprising 18% chromium and 0.11% carbon), and Aluminum 7050 alloy (containing 89% aluminum). Furthermore, it should be mentioned that sheets of these materials were examined at three distinct thicknesses: 1 millimeter, 1.5 millimeters, and 2 millimeters. It will be beneficial to get the springback trend with sheet thickness. Moreover, to ensure precision in extracting the desired size from the bulk material, each sheet was carefully prepared to the exact dimensions of 150 millimeters in length and 30 millimeters in width, by using a hydraulic cutter.

II.3 NECESSARY TOOLS: UNIVERSAL TESTING MACHINE AND DESIGN EXPERT® SOFTWARE

After choosing the desired materials, proper equipment selection is another indispensable step for any experimental research. In this experiment, a Universal Testing Machine was used. It was incorporated into this study to make the bend of the aforementioned three metals. Figure. 2 delineates the Universal Testing Machine, which supported the experiment. In addition to this, ***Fig. 3*** depicts the photographic view of the experimental setup for air bending of specimens. Another hardware equipment, the Bevel Protector, was utilized in this study to measure the angles.



Figure 2: A real view of the experimental setup under a Universal Testing Machine for air-bending.
Source: Authors, (2025).

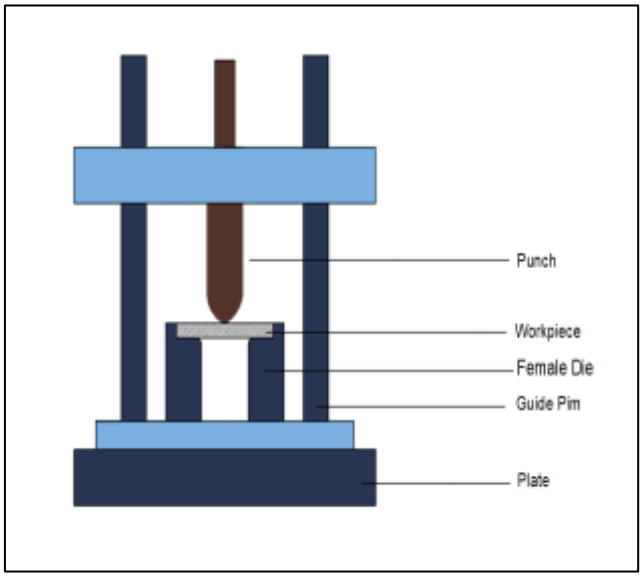


Figure 3**:** A photographic view of the experimental setup for air-bending.
Source: Authors, (2025).

Apart from the hardware tools, a vital software tool for this study was the Design Expert® — developed by State Ease [26]. This software provided the least number of Runs — the number of experiments that must be carried out according to the selected experimental design — required in light of the given factors [26]. In this investigation, there were several variable factors, delineated in ***Table 1***, as well as constant factors, illustrated in *Table 2*, which were inserted into Design Expert® software (version 13).

Table 1: Experimental variables and their corresponding numeric codes.

Process factors	Levels of each factor		
	1	2	3
Die gap	65	70	75
P.R/S.T	5	10	15
Set angle	120	135	150
Material	Mild Steel S355 grade	Aluminum7050 alloy	Stainless Steel 304

Source: Authors, (2025).

Table 2: Four constant factors for one response factor, springback.

Constant factor	*Corresponding value*
Die radius	5 millimeters
Initial punching force	500 Newton
Punch velocity	0.8
Sheet dimension	150 millimeters × 30 millimeters

Source: Authors, (2025).

II.4 RESPONSE SURFACE METHODOLOGY

Response Surface Methodology is a collection of statistical design and numerical optimization techniques used to optimize processes [27]. One sort of Response Surface Methodology is the Box-Behnken Design algorithm, which can generate higher-order response surfaces using fewer required Runs than a normal factorial technique [28]. In this study, by using the Box-Behnken methodology as a design matrix, Design Expert® software demonstrated that fifty-one individual Runs were necessary based on ***Table 1*** and ***Table 2***. Therefore, fifty-one experimental tests were conducted to collect data.

II.5 EXPERIMENTAL TESTING PROCEDURES VIA A UNIVERSAL TESTING MACHINE

Basically, a Universal Testing Machine bends sheet metal by using two adjustable dies, and one punch. In this study, sheet specimens were bent at three predetermined angles — 120, 135, and 150 degrees — throughout the experiments. Three deformed specimens of each three materials are depicted in ***Fig. 4***. It needs to be mentioned that the exact initial angle was calculated and achieved by the following equation ***(1)*** where ***h*** stands for punch travel distance, ***d*** represents die gap, and the symbol θ_i indicates the initial angle. The rationale behind this equation is to apply the trigonometry formula from the right-angle triangle, illustrated in ***Fig. 5***.

$$\tan\left(\frac{\theta_i}{2}\right) = \frac{\frac{d}{2}}{h} \tag{1}$$



Figure 4: deformed specimens of Stainless Steel 304, Mild Steel S355 grade, and Aluminum 7050 alloy.
Source: Authors, (2025).

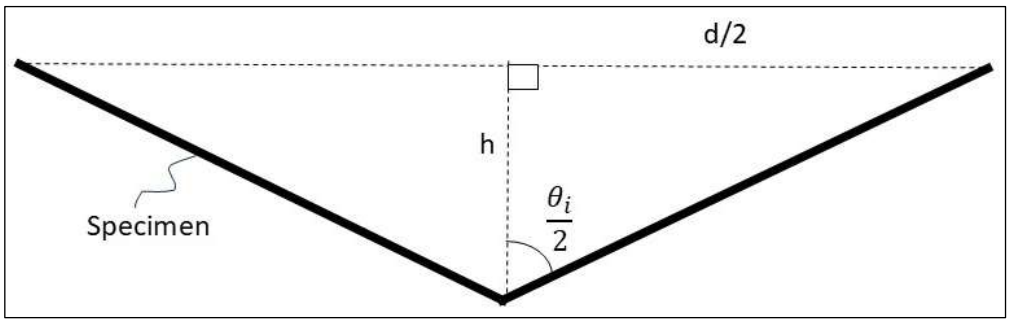


Figure 5: freehand drawing to showcase the logic behind the initial angle calculation.
Source: Authors, (2025).

Afterward, the initial bending angle θ_i was measured and verified instantly by a Bevel Protector. After 32 hours of load removal, the final bending angle θ_f was also measured by a Bevel Protector. Therefore, subtracting the set angle from that measured final bend

angle eventually gave the angular magnitude of springback — shown in ***Fig. 6***. Here, equation ***(2),*** represents the angular springback formula [29] [16], where $\Delta\theta$ stands for angular springback.

$$\Delta\theta = \theta_f - \theta_i \quad (2)$$

Where $\theta_f > \theta_i$

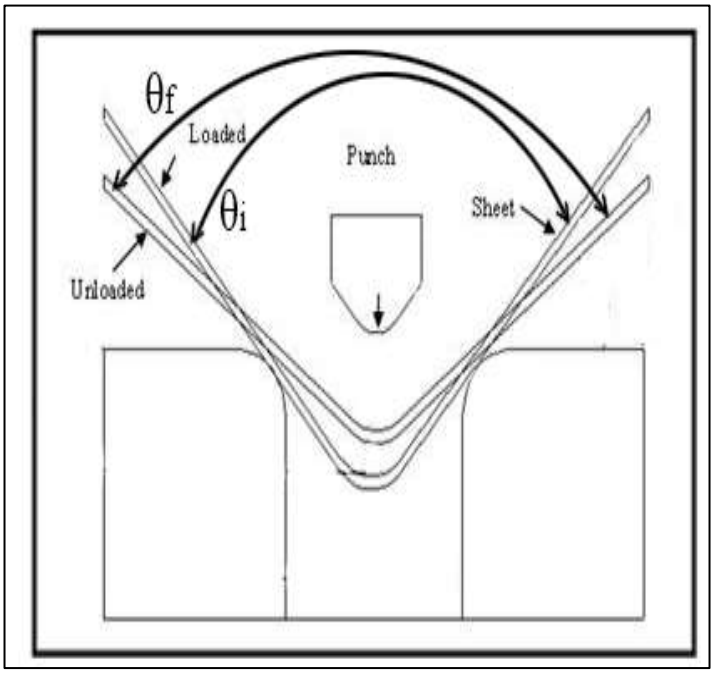


Figure 6: demonstration of initial bend angle and final bend angle by line art.
Source: Authors, (2025).

Additionally, it needs to be mentioned that lubrication during the air-bending process significantly affects both punch force, die, and springback compared to the dry conditions [30]. Hence, lubrication was excluded from the experiment in order to acquire an actual scenario of those factors without affecting the outcomes, therefore, a rational conclusion could be made from this experiment.

II.6 PILOT TEST

In the pilot run, experiments were conducted using all parameters, including die gap, punch radius to sheet thickness ratio, material, and set angle. The result from the pilot run was thoroughly analyzed to detect any anomaly or effect of noise. Apart from this, it needs to be addressed that final bend angles were subsequently measured at 8, 16, 24, 32, and 40 hours of post-bending, in order to observe what the right time interval was for measuring the final springback angle of the parts. Since there was no further springback angle increment after 32 hours; therefore, a decision was made that all springback would be measured after 32 hours during the experimental data collection phase of this study.

II.7 APPROPRIATE MODEL SELECTION

In this phase of the research, an appropriate response model for the response factor was essential for the collected data from the experiment. There are several models, for instance, linear, first-order interaction (2FI), quadratic, and cubic [31]. Selecting the best model among those models involves comparing how well each model fits the data — it is known as the Fit Test from the statistical point of view. To select the right model for the collected data of this study, several statistical techniques were employed. Firstly, a statistical technique namely the *Sequential Model Sum of Squares*, was employed to understand the significance of the model. This technique gave the best model, which had the highest significance. Secondly, another statistical technique, namely the *Lack of Fit Test*, was used to find model inadequacies [32] [33]. Actually, this technique helped to cross-check the model. Put differently, if a model is unable to pass the *Lack of Fit Test*, it indicates that the acquired data was correct. For this test, the P-value of the *Lack of Fit Test* for the model must be more than 0.05 — the accepted criterion.

On the contrary, if the P-value of the *Lack of Fit Test* for the model is less than 0.05, the model is insignificant — the rejected criterion [32]. Thirdly, the performance of different models was also evaluated in light of various metrics such as standard deviation, coefficient of determination (R^2), adjusted R^2, predicted R^2, and the predicted residual error sum of squares (PRESS). These metrics were beneficial in comparing the models and selecting the most appropriate one based on balance performance. Because each of these metrics has statistical importance. For instance, R-squared is a metric that quantifies the proximity of the data points to the regression line that has been fitted [34]. Conversely, the concept behind adjusted R-squared is to consider the inclusion of factors that do not substantially enhance the model. The adjusted R-squared value is always lower than or equal to the R-squared value. All of these three techniques might be called *ANOVA* — it is a widely used set of statistical models aimed at comparing variation between data.

Furthermore, in order to provide statistical reliability for the recherche model, several plots would be considered: the normality plot, scatter diagram, and Box-Cox graph. First, the normal probability plot of residuals is used to assess the normality of the data. If the plotted points align closely with a straight line, the dataset can be considered to be normally distributed [35]. Second, a scatterplot is an

effective tool for investigating connections among parameters, discerning relationships beyond facile correlations, and routing more accurate data science practices [36]. Third, the Box-Cox transformation technique is used to enhance the compression of spatial data by promoting normalcy, efficiently lowering spectral dimensions, and eliminating mistakes in spatial values [37] [38]. Thus, if the data need to be transformed from non-normality to normality, the Box-Cox could be utilized. Apart from that, if the data are already normally distributed, the Box-Cox plot will indicate that no transformation is needed. So, it can be a cross-checking technique for reinforcement that the collected data has normality. A question might be raised about how it could be understood that there is no metamorphosis needed. Well, lambda (λ) — a transformation parameter in Box-Cox [39]— values help with this. There are different standard transformations for different lambda values: lambda values of -3, -2, -1, -0.5, 0, 0.5, 1, 2, and 3 represent inverse cubic, inverse square, inverse, inverse root square, logarithmic, root square, no transformation, square, and cubic, respectively [40] [41]. So, a lambda value of one indicates that no conversion is required since the data are already normally distributed.

II.8 EMPIRICAL MODEL DEVELOPMENT

After the selection of a model, it might be time for the development of an empirical model — this kind of model is only supported by experimental data [42]. To put it another way, empirical models are based on correlations obtained from the analysis of experimental data [43]. Empirical models that have been used for curve-fitting processes to generalize the results of experiments [44] [45]. The curve fitting may be achieved by suitable methods to fit polynomials or other functions [44]. It is mandatory to mention that an empirical model can provide trustworthy results when it is based on a substantial amount of test data [46]. In this study, a particular response model was chosen in an earlier phase, and in light of that model, the final empirical model was developed with the help of Design Expert® software..

II.9 RESPONSE SURFACE METHODOLOGY

In experimental validation, the response factor — angular springback — was forecasted in light of process parameters by using the developed empirical model for all three picked distinguished materials. Subsequently, actual angular springback was measured for the same magnitude of those four independent factors. Eventually, errors were calculated by following equation ***(3)***.

$$\textbf{Error}\ (\%) = \frac{\textbf{Actual value} - \textbf{Predicted value}}{\textbf{Actual value}} \times \mathbf{100} \tag{3}$$

III. RESULTS AND DISCUSSIONS

All the phases of this study's analysis have been sequentially described: experimental data collection, model selection, model development, and finally model validation.

III.1 EXPERIMENTAL DATA COLLECTED VIA USING A UNIVERSAL TESTING MACHINE

All of those recorded specific combinations derived from these experimental fifty-one Runs are detailed in ***Table 3***, where the magnitude of four independent variables and the corresponding value of one dependent variable for each run are shown. These experimental data were imported into Design Expert® (version 13) so that an appropriate response model could be chosen in light of necessary statistical tests.

Table 3: Experimental design matrix of four actual independent process variables with the experimental response of springback.

Std	Run	Factor A: Die gap	Factor B: P.R/S.T	Factor C: Set Angle	Factor D: Material	Response Springback
2	1	75	5	135	Mild Steel	3
40	2	75	10	120	Stainless Steel	10
48	3	70	10	135	Stainless Steel	8
31	4	70	10	135	Aluminum	10
30	5	70	10	135	Aluminum	11
37	6	65	15	135	Stainless Steel	13
32	7	70	10	135	Aluminum	8
29	8	70	15	150	Aluminum	6
10	9	70	15	120	Mild Steel	11
47	10	70	10	135	Stainless Steel	5
36	11	75	5	135	Stainless Steel	6
3	12	65	15	135	Mild Steel	6
46	13	70	15	150	Stainless Steel	7
38	14	75	15	135	Stainless Steel	14
7	15	65	10	150	Mild Steel	5
43	16	70	5	120	Stainless Steel	8
21	17	75	15	135	Aluminum	12
35	18	65	5	135	Stainless Steel	4
45	19	70	5	150	Stainless Steel	5
24	20	65	10	150	Aluminum	9
41	21	65	10	150	Stainless Steel	5
39	22	65	10	120	Stainless Steel	9
44	23	70	15	120	Stainless Steel	10
34	24	70	10	135	Aluminum	9

23	25	75	10	120	Aluminum	11
17	26	70	10	135	Mild Steel	11
50	27	70	10	135	Stainless Steel	5
19	28	75	5	135	Aluminum	7
6	29	75	10	120	Mild Steel	13
11	30	70	5	150	Mild Steel	2
13	31	70	10	135	Mild Steel	7
49	32	70	10	135	Stainless Steel	10
33	33	70	10	135	Aluminum	12
4	34	75	15	135	Mild Steel	6
1	35	65	5	135	Mild Steel	4
12	36	70	15	150	Mild Steel	12
27	37	70	15	120	Aluminum	16
9	38	70	5	120	Mild Steel	5
28	39	70	5	150	Aluminum	3
42	40	75	10	150	Stainless Steel	5
20	41	65	15	135	Aluminum	10
16	42	70	10	135	Mild Steel	9
5	43	65	10	120	Mild Steel	13
25	44	75	10	150	Aluminum	7
8	45	75	10	150	Mild Steel	11
26	46	70	5	120	Aluminum	7
18	47	65	5	135	Aluminum	4
14	48	70	10	135	Mild Steel	11
51	49	70	10	135	Stainless Steel	4
15	50	70	10	135	Mild Steel	10
22	51	65	10	120	Aluminum	12

Source: Authors, (2025).

III.2 APPROPRIATE MODEL SELECTION

To determine the best model based on the inserted experimental data, a statistical Fit Test was necessitated to be performed. Albeit there were many models — linear, first-order interaction (2FI), quadratic, and cubic — in the Design Expert® program, the linear model was suggested by the software after incorporating a test, namely the Sequential Model of Sum of Squares. Because the linear model was not only significant (Sequential p-value less than 0.05) but also had the least sequential p-value among all models in that test. The outcomes of the Sequential Model of the Sum of Squares test are depicted in ***Table 4***.

Table 4: Sequential Model Sum of Squares.

Source	Sum of Squares	Degree of freedom	Mean Square	F-value	p-value	Comment
Mean vs Total	3475.31	1	3475.31			
Linear vs Mean	**297.12**	**5**	**59.42**	**10.50**	**< 0.0001**	**Suggested**
2FI vs Linear	7.92	9	0.8796	0.1284	0.9986	
Quadratic vs 2FI	25.10	3	8.37	1.25	0.3087	
Cubic vs Quadratic	109.98	15	7.33	1.18	0.3630	Aliased
Residual	111.57	18	6.20			
Total	4027.00	51	78.96			

Source: Authors, (2025).

Another test as a complete part of the statistical Fit Test, is Lack of Fit. It was also conducted in this study's experimental data to cross-check whether the linear model was appropriate or not. The selected linear model had an insignificant Lack-of-Fit with a p-value of 0.184, illustrated in ***Table 5***, which was above the 0.05 threshold, indicating that the model fitted the data well without significant inconsistency. This criterion was crucial as it ensured the model's robustness and reliability in capturing the underlying data structure.

Table 5: Lack of Fit Tests.

Source	Sum of Squares	Degree of freedom	Mean Square	F-value	p-value	Comment
Linear	**208.16**	**33**	**6.31**	**1.63**	**0.1843**	**Suggested**
2FI	200.25	24	8.34	2.16	0.0831	
Quadratic	175.14	21	8.34	2.16	0.0856	
Cubic	65.17	6	10.86	2.81	0.0604	Aliased
Pure Error	46.40	12	3.87			

Source: Authors, (2025).

The performance of different regression models was also evaluated and displayed in ***Table 6,*** taking into account some metrics: standard deviation (Std. Dev.), coefficient of determination (R^2), adjusted R^2, predicted R^2, and the predicted residual error sum of squares (PRESS). These values helped in comparing the models and selecting the most appropriate one. After comparing those models, a linear model was suggested due to its balanced performance across various metrics. It had a relatively low standard deviation (2.38), indicating

good precision. Moreover, the R^2 value of 0.5386 betokened a reasonable amount of variation explained by the model. The adjusted R^2 (0.4873) and predicted R^2 (0.4010) were both positive and higher than those of the more complex models. Besides, the Predicted R^2 of 0.4010 was in reasonable agreement with the Adjusted R^2 of 0.4873; i.e., the difference was less than 0.2, indicating better predictive power and generalizability for the minimum variety between them. Furthermore, the PRESS value (330.44) was the lowest among all models, suggesting that the linear model had the best predictive accuracy. These factors made the linear model the most suitable choice, balancing simplicity and effectiveness.

Table 6: Performance of different regression models.

Source	Standard Deviation	R^2	Adjusted R^2	Predicted R^2	PRESS	Comment
Linear	2.38	0.5386	0.4873	0.4010	330.44	Suggested
2FI	2.62	0.5529	0.3791	-0.0175	561.33	
Quadratic	2.59	0.5984	0.3916	-0.1066	610.49	
Cubic	2.49	0.7978	0.4383	-3.3838	2418.50	Aliased

Source: Authors, (2025).

This statistical Fit Test is summarized in ***Table 7,*** where the linear model had a Sequential p-value well below the required 0.05 threshold, indicating that the model terms significantly contribute to the fit. Additionally, the model was not aliased, making it faithful. Another aforementioned criterion was an insignificant p-value — greater than 0.05 — for the Lack of Fit test, and the linear model also belonged to that condition. Furthermore, the linear model also demonstrated the close values between Adjusted R^2 and Predicted R^2, with scores of 0.4873 and 0.4010, respectively. These values indicate the best balance of fit and predictive performance by the linear model for this study's experimental data. In comparison, the first-order interaction (2FI), quadratic, and cubic models exhibited poor closeness between Adjusted R^2 and Predicted R^2 values, suggesting overfitting and impecunious predictive performance. Analyzing and interpreting the results is part of the discussions, their importance, achievements, and limitations, highlighting the innovative aspects of the practical applications of the study and the conclusions derived from them, delimiting unresolved issues. If necessary, recommendations can be proposed.

Table 7: Fit test summary.

Source	Sequential p-value	Lack of Fit p-value	Adjusted R^2	Predicted R^2	Comment
Linear	**< 0.0001**	**0.1843**	**0.4873**	**0.4010**	**Suggested**
2FI	0.9986	0.0831	0.3791	-0.0175	
Quadratic	0.3087	0.0856	0.3916	-0.1066	
Cubic	0.3630	0.0604	0.4383	-3.3838	**Aliased**

Source: Authors, (2025).

Apart from that statistical Fit Test, the Normal Plot of the residuals graph — depicted in ***Fig. 7*** — for the elected linear model conspicuously showed that the residuals closely follow a straight line, indicating they were approximately normally distributed. The points are symmetrically distributed around the line without significant outliers, suggesting fortuitous errors and reliable model predictions. The consistency of residuals across the range of predicted values indicates homoscedasticity, confirming that the variance of residuals was constant. This observation validated the use of the linear model, confirming its appropriateness for the data and indicating that no transformation of the response variable was necessary.

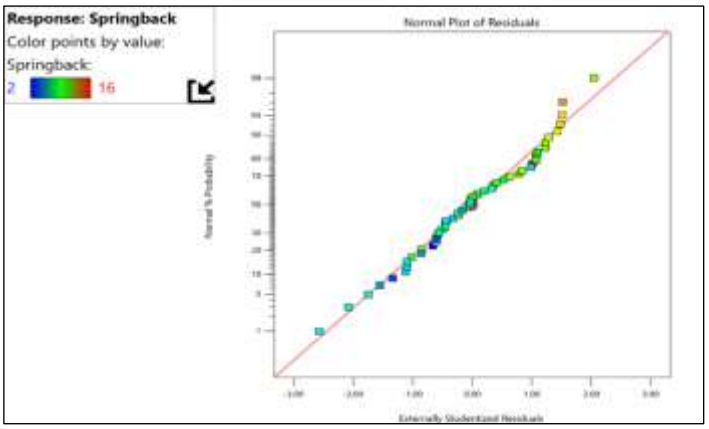


Figure 7: Statistical check for normality of residual data for the selected linear model.
Source: Authors, (2025).

Another thing is that the Residuals vs. Predicted graph — demonstrated in ***Fig. 8*** — for the selected linear model delineates that the residuals were haphazardly scattered around the horizontal axis, indicating no systematic pattern. This randomness suggested that the model's predictions were unbiased and that the linear relationship was appropriate. Additionally, the spread of the residuals is consistent across all levels of predicted values, indicating homoscedasticity, meaning the variance of the residuals remains constant. There are no noticeable outliers, — arise due to mechanical faults, human error, or instrument error [47] — confirming that the model assumptions are met, and no transformation of the response variable was needed.

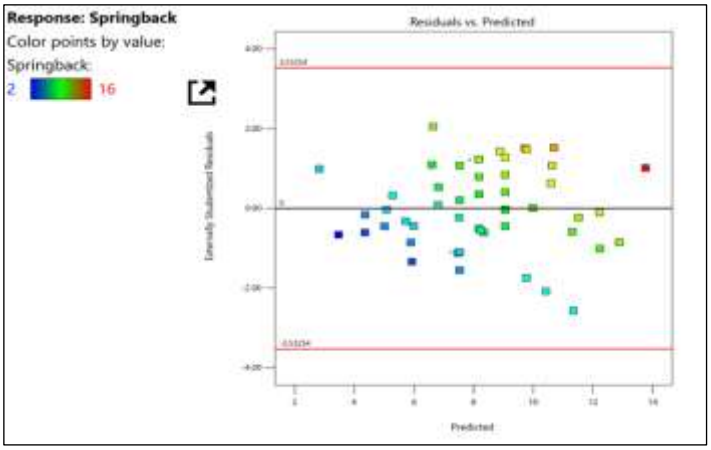


Figure 8: Scattered plot of Residuals vs Predicted data for selected linear model.
Source: Authors, (2025).

The Box-Cox graph, shown in ***Fig. 9***, for the linear model, indicates that a Lambda value of 1 is appropriate, suggesting that no transformation of the response variable was necessary. The graph reveals that the confidence interval for the optimal Lambda includes 1, confirming that the linear model without conversion was felicitous. This bolsters the assumption that the response variable assuaged the requirements for normality and homoscedasticity without any change of state. Consequently, the linear model with a Lambda value of 1 is validated as the best choice, ensuring accurate and verisimilar results.

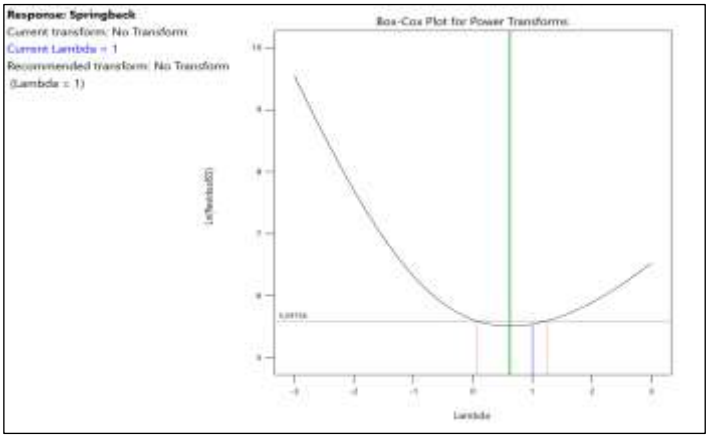


Figure 9: The Box-Cox graph for the selected linear model.
Source: Authors, (2025).

III.3 EMPIRICAL MODEL DEVELOPMENT

A relationship between the input parameters and the output parameter was developed in light of the selected linear model. Initially, the relationship as a coded equation — expressed in equation ***(4)*** — was developed by the Design Expert® program for divination springback based on several input factors.

$$\boldsymbol{Springback = 8.25 + 0.4583 \times A + 2.71 \times B - 2.00 \times C - 0.0784 \times D_1 + 0.8039 \times D_2} \quad (4)$$

In equation ***(4)***, the intercept of 8.25 provides the baseline when all factors are at their reference levels. Die gap (A) and PR/ST (B) positively influence springback with a coefficient of 0.4583 and 2.71, respectively, while set angle (C) negatively affects springback, having a coefficient of -2.00. For material types, -0.0784 signifies the effect of material being Mild Steel (coded as 1 for D_1 and 0 for D2), and 0.8039 signifies the effect of material being Aluminum (coded as 0 for D1 and 1 for D_2). When using Stainless Steel (SS), both dummy variables D_1 and D_2 were coded as -1, reflecting how springback differed compared to Mild Steel and Aluminum. It is luminous from this coded equation ***(4)*** that springback has the most sensitivity for PR/ST (B) independent factor since it has the maximum coefficient among all.

In addition to that coded equation, actual equations could also be revealed from the Design Expert® program for each material. Actual equations of Mild Steel, Aluminum, and Stainless Steel are ***(5), (6),*** and ***(7)***, respectively.

The actual equation for Mild Steel:

$$Springback_{MS} = 14.34314 + 0.091667 \times Die\ Gap + 0.541667 \times P.R/S.T - 0.133333 \times Set\ Angle \quad (5)$$

The actual equation for Aluminum:

$$Springback_{AL} = 15.22549 + 0.091667 \times Die\ Gap + 0.541667 \times P.\frac{R}{S}.T - 0.133333 \times Set\ Angle \quad (6)$$

The actual equation for Stainless Steel:

$$Springback_{SS} = 13.69608 + 0.091667 \times Die\ Gap + 0.541667 \times P.R/S.T - 0.133333 \times Set\ Angle \quad (7)$$

III.4 EXPERIMENTAL VALIDATION OF THE DEVELOPED MODELS

In this phase of this study, experimental validation was executed for each material with the help of its corresponding actual equations. To clarify it for Mild Steel, 71.5 millimeter die gap, 8 ratios of P.R/S.T, and 135 degrees set angle were given during experimental validation; as a result, the Mild Steel specimen witnessed a 7-degree springback in the lab. The predicted springback, on the contrary, of that Mild Steel part was 7.23 degrees by using the actual springback equation ***(5)*** for the same process parameters. Therefore, the error was, technically speaking, -3.286% which was calculated by equation ***(3)***. The first row of ***Table 8*** represents this scenario. Analogously, the second and third rows depict the summary of the experimental validation settings for Aluminum and Stainless Steel. The results of the experiments also showed that the established model was credible, as the percentages of errors were extremely tiny.

Table 8: Confirmation Experiment.

No. of Experiment	Process Parameters					Response factor: Springback (degree)		
	Die gap (mm)	P.R/ S.T	Set Angle (degree)	Materials		Predicted	Actual	Error (%)
1	71.5	8	135	Mild Steel		7.23	7	-3.286
2	74.5	12	125	Aluminum		11.89	12	0.917
3	68.5	6	145	Stainless Steel		3.89	4	2.750

Source: Authors, (2025).

IV. DISCUSSIONS

The aforementioned three equations ***(5)***, ***(6)***, and ***(7)*** have numerous insights. Process-related insights are upheld below:

- From the equations, it can be inferred that if the die gap and punch radius to sheet thickness are constant, the bigger the initial set angle results the lower the springback.

$$\boldsymbol{Springback \propto -Set\ Angle}$$

where the Die gap and P.R/S.T are held constant.

- In addition to this, if the initial bending angle and the punch radius to sheet thickness are considered constant, then another relation can be drawn between springback and die gap — a higher die gap leads to a larger springback.

$$\boldsymbol{Springback \propto Die\ Gap}$$

where the Set angle and P.R/S.T are held constant.

- Further, similarly, the increment of punch radius to sheet thickness means raising the springback — if the die gap and the initial bending angle are stable. It has two implications. Firstly, if the sheet thickness is considered constant, then it can be said that the rise of the punch tip radius results in greater springback. Secondly, if the tip of the punch radius is considered constant, then springback is supposed to be decreased with respect to the increment of sheet thickness.

$$\boldsymbol{Springback \propto Tip\ of\ Punch\ Radius}$$

where the Set angle, die gap, and sheet thickness are held constant.

$$\boldsymbol{Springback \propto \frac{1}{Sheet\ thickness}}$$

where the Set angle, die gap, and the tip of the punch radius are held constant.

- These equations are also helpful in understanding the sensitivity of the process factors on springback. While P.R/S.T is the most sensitive process parameter pertinent to springback, the die gap is a less influential process factor.

V. CONCLUSIONS

This study aimed to explore springback in light of a curve-fitting equation by examining its three process parameters along with the material and assessing its trends. Our findings shed light on springback trends with process parameters. This study reveals some trends between process parameters and springback. For instance, the larger the initial set angle, the less springback there will be if the die gap and punch radius to sheet thickness remain constant. Another trend is that a higher die gap results in a larger springback, according to another relationship between springback and die gap if the initial bending angle and the punch radius to sheet thickness are taken to be constant. Moreover, in a similar vein, assuming the die gap and the initial bending angle remain constant, increasing the punch radius to sheet thickness ratio results in an increase in springback. Indirectly, it tells two other trends: first, the increase in punch tip radius leads to more springback if the thickness of the sheet is kept constant; second, in contrast, springback might be reduced in relation to the increase in sheet thickness if the punch radius tip is thought to be constant.

In addition to these process-related trends with springback, it is also found that which process parameter has supreme sensitivity and which one has inferior sensitivity on springback. While P.R/S.T is the most sensitive process parameter pertinent to springback, the die gap is a less influential process factor. The research presented in this study showcases significant advancements in the prediction of springback in air-bending operations for sheet metal, specifically focusing on Mild Steel, Aluminum, and Stainless Steel. By developing an empirical model that incorporates critical parameters such as die gap, punch radius to sheet thickness ratio (P.R/S.T), set angle, and material, this study addresses the inherent challenges associated with springback. Moreover, the developed models have practical applications that can significantly benefit the manufacturing industry. For instance, it can rectify the precision of manufacturing setups and part designs by providing authentic springback foresight, especially in scenarios where conducting tests is prohibitively expensive.

The model also serves as a valuable tool for guiding product development to achieve high precision, which is crucial for producing quality components.

V.2 LIMITATIONS OF THE STUDY

There were, howbeit, some limitations in this research. Firstly, this study was not conducted at a constant room temperature; therefore, the thermal effect could slightly distort the outcomes. Secondly, though an empirical model could be developed in this study, it was not able to foretell the absolute value of springback. This means that errors were acceptable during the validation stage. Thirdly, the Bevel Protector was kept to measure the integer angular value of all fifty-one Runs and validation. Simply put, all of the collected experimental data of springback were integers due to the Bevel Protector's measuring specification.

V.3 FUTURE WORK

Several aspects can be undertaken in future research to give more dimensions to this current study. To start with, limitations of the current study may be transcended, such as by maintaining a constant room temperature and using a highly precise Bevel Protector. Furthermore, the Finite Element Method, a sort of simulation, can be incorporated to analyze springback in forthcoming research work when numerous experimental trials are a white elephant. Moreover, a lot of experimental data can be collected to use as a training data set for developing an artificial intelligence model for predicting springback including both process parameters and mechanical properties. It will be a supercalifragilisticexpialidocious prospective research work for springback prognostication, won't it?

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Sharif Muktadir Hossain Chowdhury, and Mohammad Muhshin Aziz Khan.
Methodology: Sharif Muktadir Hossain Chowdhury, and Mohammad Muhshin Aziz Khan.
Investigation: Sharif Muktadir Hossain Chowdhury, and Mohammad Muhshin Aziz Khan.
Discussion of results: Sharif Muktadir Hossain Chowdhury, Md Nazmul Hasan Dipu, and Mohammad Muhshin Aziz Khan.
Writing – Original Draft: Sharif Muktadir Hossain Chowdhury, and Md Nazmul Hasan Dipu.
Writing – Review and Editing: Md Nazmul Hasan Dipu, and Mohammad Muhshin Aziz Khan.
Resources: Sharif Muktadir Hossain Chowdhury, and Mohammad Muhshin Aziz Khan.
Supervision: Mohammad Muhshin Aziz Khan.
Visualization: Sharif Muktadir Hossain Chowdhury, and Md Nazmul Hasan Dipu.
Approval of the final text: Sharif Muktadir Hossain Chowdhury, Md Nazmul Hasan Dipu, and Mohammad Muhshin Aziz Khan.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.60-65. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2671

RESEARCH ARTICLE OPEN ACCESS

SIMULATION AND IMPLEMENTATION OF BLDC MOTOR CONTROL WITH ARDUINO MEGA IN PROTEUS

Naima Rahoua[1], Hani Benguesmia[2], Meriem Elhamami[3], Rofaida Becha[4], and Abir Betka[5]

[1,3,4]Department of Electrical Engineering, University of Biskra, BP 145, Biskra 07000 Algeria;
[2]Laboratory, Electrical Engineering (LGE),Department, Faculty of technology, University of M'sila, University Pole, Road Bourdj Bou Arreiridj, M'sila 28000, Algeria
[5]Department of Electrical Engineering, Echahid Hamma Lakhdar University,El oued, Algeria

[1]http://orcid.org/0009-0001-1181-4670, [2]http://orcid.org/0000-0003-0437-1194, [3]http://orcid.org/0000-0002-2142-1088
[4]http://orcid.org/0009-0001-5581-4875, [5]https://orcid.org/0009-0001-7196-5278

Email: *naima.rahoua@univ-biskra.dz, hani.benguesmia@univ-msila.dz, meriemelhamami7@gmail.com, rofaidabecha@gmail.com, betkaabir@gmail.com,

ARTICLE INFO

Article History
Received: September 8, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
BLDC Motor,
Arduino,
Speed Control,
PID Controller,
Sensorless Control,
Proteus Simulation,
Electronic Speed Controller (ESC).

ABSTRACT

Accurate speed control of Brushless DC (BLDC) motors generally requires rotor position sensors to be integrated into the system. This is more expensive and complicated, especially in educational or prototyping contexts. In this paper, a novel and inexpensive method to achieve closed loop control of a BLDC motor without a physical speed sensor is presented. A system was designed where control signals were generated by an Arduino Mega 2560 microcontroller driving an Electronic Speed Controller (ESC) to power an A2212/13T motor for closed-loop control without using a speed sensor. The limitation of not having a sensor was overcome by using a second microcontroller (Arduino Uno R3) to create a synthetic tachometer signal that was proportional to the actual speed of the motor to provide adequate feedback for the blended-traditional Proportional-Integral-Derivative (PID) control algorithm. This control architecture was first developed and rigorously tested in the Proteus Design Suite simulation software, then physical implementation. The experimental results have concluded a substantial improvement in performance: closed-loop control reduced steady state oscillation of speed by approximately 70% as the loads were modified and created consistent current draw that was stabilized compared to open-loop control which was unstable. This work is evidence that a unique sensor-less control method can provide similar function (robustness and reliability) as existing control methods.

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I. INTRODUCTION

Brushless DC (BLDC) motors are prevalent in today's automation and robotics because of their improved performance, reliability, lifespan, and fine control capabilities. They are electronically operated like any other motor, and thus, do not have physical brushes or commutators, unlike brushed DC motors. [1], [2] Controlling Brushless DC (BLDC) motors have been a hot research topic, with many researchers investigating numerous control schemes using both simulation and experimental validation. For example, Prashanthi et al. [3] explored a commutation based BLDC motor model in MATLAB/Simulink, validating an open-loop control scheme (i.e. PWM voltage to control speed) through a comparison of simulation results with physical hardware. As another example, Usha et al. [4] conducted a real-time comparison of many different speed control schemes including a modified proportional integral (PI) and a proportional integral derivative (PID) controller as well as a new current controller. A common research focus is the improvement of PID controllers. Kim et al. [5] developed a new PID structure with an internal PD feedback loop, and showed it as a convex combination of PID and PI-PD controllers. Using a new optimal tuning method, they adopted this controller to BLDC motor speed control, showing better time-domain performance than prior tuning methods. Similarly, Aravanan et al. [6] developed a PID controller for a DC motor with metaheuristic algorithms (KOA and RPOA). Their results showed that KOA minimized rise time, while RPOA was best for minimizing settling time and ITAE equals overall error, and that both methods demonstrated strong robustness.

Another important concept is the implementation of intelligent and advanced controllers for performance improvement. Nayathullaah, et al. [7], carried out a comparison of four different controllers for a five-phase PMBLDC motor for electric vehicles, in which they found that an ANFIS controller produced greater starting torque as well as a better dynamic response (i.e. quick settling time and minimal overshoot) under various load changes than the Hybrid Fuzzy-PI, PI and FLC controllers. Abdullah et al. [8] suggested a fuzzy logic-based expert controller to improve disturbance rejection. The simulations carried out presented a considerable improvement in performance compared to a traditional controller with fuzzy logic controller produced marked less overshoot/undershoot, considerably quicker settling time, better stability and improved disturbance rejection, but order of magnitude possible data issue. Along with other simulation models presented in [9-17], these studies establish a solid foundation to continue the development of advanced controllers for BLDC motors.

Precise speed control of a BLDC motor typically requires a closed-loop system that uses feedback from sensors, such as Hall effect sensors or encoders, to monitor the motor's actual speed. However, in resource-constrained or educational environments, access to such sensors can be limited, posing a significant challenge for implementing effective control strategies. This paper proposes a practical and accessible solution by utilizing the Arduino microcontroller platform. To overcome the lack of physical sensors, an Arduino Uno is programmed to act as a virtual sensor, generating a simulated speed feedback signal. This allows for the implementation of a Proportional-Integral-Derivative (PID) control algorithm on an Arduino Mega, creating a stable closed-loop system without dedicated hardware.

The primary objectives of this work are to:

- Design a control circuit for an A2212/13T BLDC motor using an Arduino Mega, an ESC, and a potentiometer.
- Simulate the entire system using Proteus software to validate the design before physical implementation.
- Implement a closed-loop control system using a software-based feedback mechanism.
- Demonstrate the performance difference between open-loop and closed-loop control.

This paper is structured as follows: Section 2 describes the materials and methods used. Section 3 presents the results and discusses the findings. Finally, Section 4 provides the conclusion and suggests future work.

II. MATERIALS AND METHODS

II.1 SYSTEM ARCHITECTURE

The system architecture, as shown in Figure 1, is based on a closed-loop control system. The user sets a desired speed via a potentiometer. The Arduino Mega reads this value, calculates the required PWM output using a PID algorithm, and sends it to the ESC. The ESC drives the BLDC motor. The Arduino Uno generates a simulated feedback signal (current Speed) based on the system's operation, which is read by the Arduino Mega to close the loop.

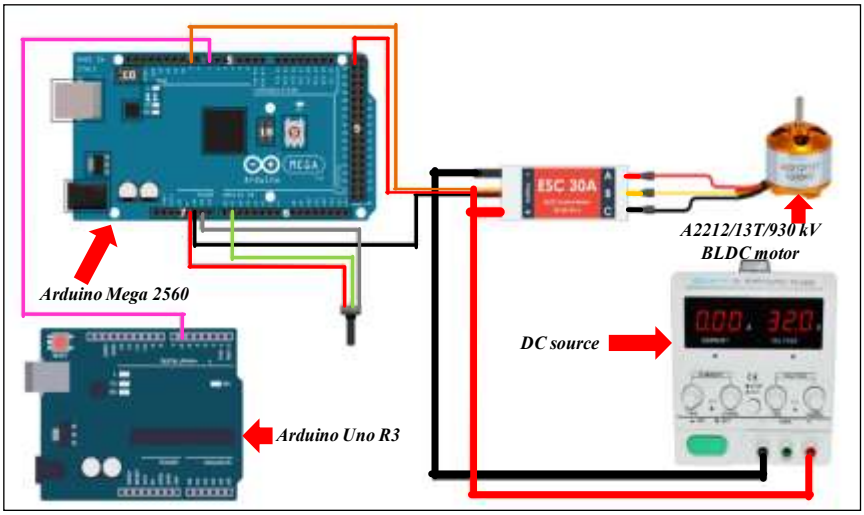


Figure 1: System block diagram.
Source: Authors, (2025).

II.2 HARDWARE COMPONENTS

II.2.1.BLDC motor (A2212/13T/930 KV)

Selected for its reliability and suitable speed-torque characteristics. Its key specifications are summarized in Table 1.[18]

Table 1: A2212/13T BLDC Motor Specifications

Parameter	Specification
Model	A2212/13T/930KV
KV Rating	930 RPM/V
Max Current	13 A
Max Voltage	11.1 V (3S LiPo)
Max Power	220 W

Source: [18].

II.2.2. Microcontrollers

An Arduino Mega 2560 was used as the main controller for its numerous I/O pins and processing power. An **Arduino Uno R3** was used to simulate the speed sensor.

II.2.3. Electronic Speed Controller (ESC 30A)

This circuit interprets the PWM signal from the Arduino and provides the appropriate three-phase power to the BLDC motor.

II.2.4. Peripheral Hardware

A potentiometer was used for user input, a laboratory DC power supply provided stable voltage, and a breadboard with connecting cables was used for circuit assembly.

II.3 SOFTWARE TOOLS

II.3.1. Arduino IDE (v2.3.4)

Used to write, compile, and upload the control code to both Arduino boards.

II.3.2. Proteus Professional (v8.17)

Used to design the circuit schematic, simulate the interaction between the microcontroller code and the electronic components, and validate system logic before physical construction.

II.4 CONTROL STRATEGY

The control strategy evolved through two phases:

II.4.1. Open-Loop Control

Initial tests involved directly mapping the potentiometer value to the PWM output signal without any feedback. This led to unstable performance.

II.4.2. Closed-Loop PID Control

A PID algorithm was implemented on the Arduino Mega. The "current Speed" feedback was provided by the Arduino Uno, which was programmed to toggle a digital pin (PIN 6) in a fixed loop (HIGH for 1s, LOW for 1s) every 20ms to emulate a square wave signal a real sensor might produce.

II.5 IMPLEMENTATION PROCESS

The process began with coding the logic in the Arduino IDE. The schematic was then designed and tested in Proteus (Figure 2). Finally, all hardware components were assembled on a breadboard according to the validated schematic.

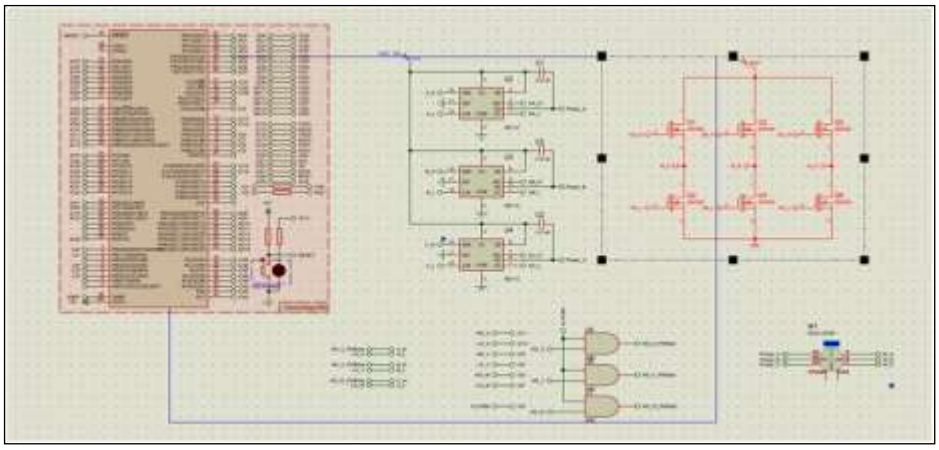


Figure 2: Proteus Simulation Schematic.
Source: Authors, (2025).

III. RESULTS AND DISCUSSION

III.1 SIMULATION RESULTS

The Proteus simulation allowed for the testing of the control logic and circuit behavior in a risk-free virtual environment. The simulation confirmed the correct operation of the PWM generation, signal processing, and motor drive circuitry before any physical components were connected.

III.2 EXPERIMENTAL RESULTS

The physical setup, shown in Figure 3, consisted of the assembled circuit on a breadboard, connected to the DC power supply and a PC for programming. An oscilloscope was used to monitor signals.

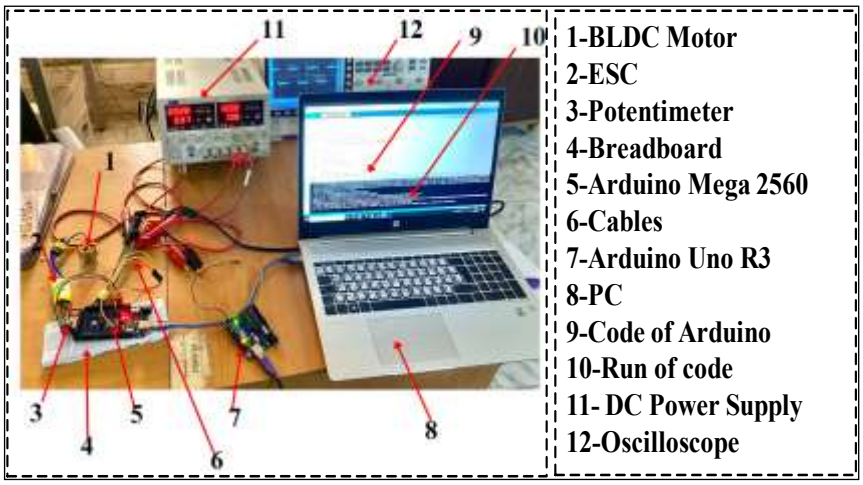


Figure 3: Photo of Assembled Project.
Source: Authors, (2025).

III.3 SIGNAL ANALYSIS

The oscilloscope capture in Figure 4 shows the square wave signal generated by the Arduino Uno on pin 6. This signal, with its regular on-off pattern, successfully served as the simulated "currentSpeed" input for the PID controller on the Arduino Mega.

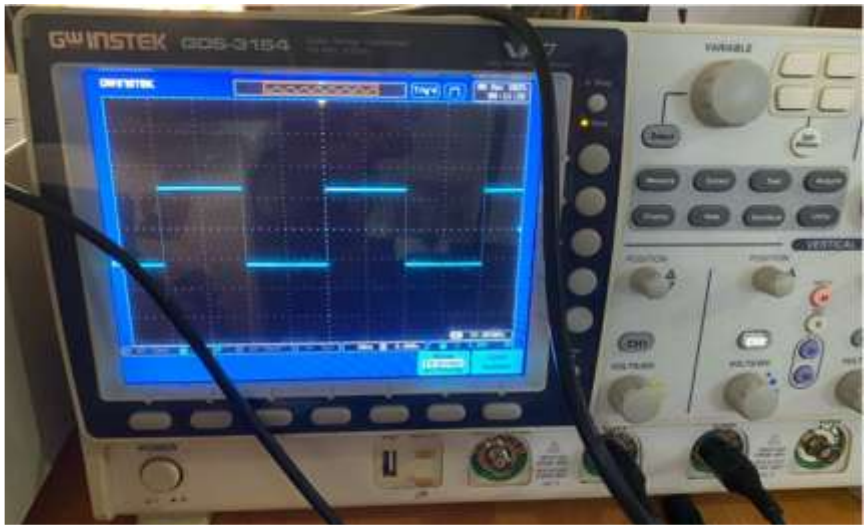


Figure 4: Oscilloscope Capture of Simulated Speed Signal.
Source: Authors, (2025).

III.4 PERFORMANCE EVALUATION

III.4.1. Open-Loop Performance

In open-loop mode, the motor speed was erratic and highly sensitive to load and voltage variations. noticeable fluctuations in current and voltage were observed, leading to inconsistent and unpredictable performance.

III.4.2. Closed-Loop Performance

After activating the closed-loop PID control with the simulated feedback, the motor speed stabilized significantly. The system demonstrated robust performance, maintaining a consistent speed despite variations, and the current and voltage values became stable.

III.4.3. Speed Estimation

Lacking a direct sensor, speed was estimated using the motor's KV rating (930 RPM/V). With an applied voltage of 12.32V from the power supply, the estimated no-load speed was calculated to be approximately **11,457.6 RPM** (930 RPM/V * 12.32V).

III.5 DISCUSSION

The results clearly demonstrate the superiority of closed-loop control over open-loop for achieving stable motor operation. The innovative use of a second microcontroller to generate simulated feedback proved to be a highly effective and low-cost solution for enabling closed-loop control in the absence of physical sensors. While the feedback was not based on actual rotor position, the deterministic nature of the signal provided a stable reference point for the PID algorithm to regulate against, effectively emulating the behavior of a real closed-loop system. The Proteus simulation was an invaluable step, saving time and resources by identifying potential issues early in the design phase.

IV. CONCLUSION

This paper successfully designed, simulated, and implemented a functional closed-loop control system for a BLDC motor using the Arduino platform. The core challenge of missing sensors was overcome by developing a software-based virtual sensor using an Arduino Uno. The results confirm that the implemented PID control with simulated feedback effectively stabilizes the motor's operation, transforming an unstable open-loop system into a reliable one. The main challenges included the initial lack of physical speed sensors and the time constraints associated with integrating and troubleshooting the hardware and software components.
To build upon this work, future iterations could:

1. Integrate a real Hall effect sensor or rotary encoder to provide true speed feedback for more accurate control.
2. Implement a more advanced sensorless control algorithm that uses Back-EMF detection for commutation and speed estimation.
3. Design a custom printed circuit board (PCB) to replace the breadboard for improved reliability and compactness.
4. Develop a user interface, such as an LCD display or a Bluetooth module, for enhanced user interaction and real-time data monitoring.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha
Methodology: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha.
Investigation: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha.
Discussion of results: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha.
Writing – Original Draft: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha.
Writing – Review and Editing: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha.
Resources: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha.
Supervision: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha.
Approval of the final text: Naima Rahoua, Hani Benguesmia, Abir Betka, Meriem Elhamami and Rofaida Becha.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.66-76. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2681

RESEARCH ARTICLE OPEN ACCESS

IMPROVEMENT IN POWER CONTROL OF DOUBLY FED INDUCTION GENERATOR USING AN INTERVAL TYPE-2 FUZZY LOGIC CONTROLLER

Izzeddine Allali [1], Abdelber Bendaoud [2]

[1]IRECOM Laboratory, Faculty of Electrical Engineering, Djilali Liabès University of Sidi Bel-Abbès, BP 89 Sidi Bel Abbes 22000, Algeria.
[2]APELEC Laboratory, Faculty of Electrical Engineering, Djilali Liabès University of Sidi Bel-Abbès, BP 89 Sidi Bel Abbes 22000, Algeria

[1]http://orcid.org/0009-0006-3668-7336, [2]http://orcid.org/0000-0002-4502-4415

Email: izzeddine.allali@univ-sba.dz, abdelber.bendaoud@univ-sba.dz.

ARTICLE INFO

Article History
Received: September 6, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Doubly fed induction generator,
wind power,
interval type-2 fuzzy logic control,
type-1 fuzzy logic control.

ABSTRACT

This article presents two advanced fuzzy logic control algorithms—Type 1 (T1-FLC) and Interval Type 2 (IT2-FLC)—applied to regulate a doubly fed induction generator (DFIG) for a wind energy conversion system (WECS). These nonlinear control methodologies are effective in addressing model uncertainties. Although T1-FLCs perform adequately in many scientific and engineering applications, their efficacy diminishes under conditions of significant uncertainty arising from parameter variations, abrupt speed changes, or external disturbances. Conversely, IT2-FLCs constitute a more recent class of intelligent controllers explicitly designed to enhance robustness against such uncertainties and unreliable information. The proposed control strategy incorporates a dual-loop structure, featuring an inner loop for rotor current regulation and an outer loop for stator power control. Simulation results under diverse speed and parameter variations confirm that IT2-FLC exhibits superior robustness, faster response times, reduced overshoot, and achieves a 26.22% and 77.82% reduction in current total harmonic distortion (THD) compared to the T1-FLC approach.

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I. INTRODUCTION

Energy is vital for infrastructure, economic growth, and global welfare. Rising fossil fuel use pushes engineers toward eco-friendly renewable [1-3]. Traditional fuels emit harmful gases that damage health and cause global warming, leading to ice melt and rising temperatures. These fuels are depleting, and import dependence creates global reliance. Thus, governments invest in affordable, clean, simple, and readily available energy solutions without extra infrastructure. Natural sources like solar, wind, geothermal, and hydro effectively tackle environmental challenges, reduce electricity costs, and lessen dependence on external supplies. Known as renewable sources, they are widely used due to their availability year-round and ease of use, requiring no advanced technology [4]. WECS are among the most established green energy solutions, with total global capacity expected to reach nearly 1 terawatt of additional installations by 2030. Wind turbines (WT) are key components of electrical power systems and remain the focus of research dedicated to enhancing the quality and output of electricity generated from wind energy (WE) [5].

At present, the majority of WTs utilize doubly-fed induction generators (DFIG) owing to their benefits, which include variable speed operation, independent control of active and reactive power (Ps and Qs), diminished mechanical stress and noise, enhanced power quality, lower costs, and greater durability [6]. Conventional proportional-integral (PI) controllers are used to regulate DFIGs but often suffer from errors and reduced accuracy under varying wind speeds(WS), nonlinear conditions, and internal factors like temperature and magnetic saturation [7], [8]. Hence, a more robust control method is needed to optimize DFIG performance and improve power quality. This can be achieved by modeling the nonlinear process with fuzzy logic, a methodology grounded in fuzzy set theory first proposed by Lotfi Zadeh in 1965. Fuzzy logic excels at handling imprecise information and finds applications in expert systems, data classification, signal processing, database management, modeling, and automatic control. Its first control application was Mamdani's 1974 steam engine project, followed by industrial use in controlling a cement kiln with linguistic if-then rules in Mamdani's fuzzy inference system. [9], [10]. Researchers initially focused on type 1 fuzzy logic controllers (T1-FLC), which feature precisely defined two-dimensional

membership functions (MFs). However, as new and more complex challenges arose, the focus shifted to type 2 fuzzy logic controllers (T2-FLC), which use three-dimensional MFs. The additional dimension facilitates the representation of uncertainties inherent in linguistic terms, especially when the shape or parameters of MFs are not specified. Thus, type 2 fuzzy sets provide an effective mechanism for managing linguistic uncertainties through the use of type 2 MFs [11]. Although type 2 fuzzy sets are computationally complex and more difficult to implement, their utilization is justified due to their efficacy in scenarios characterized by significant uncertainty in MF determination, as well as their capability to mitigate uncertainty and non-linearity [11], [12]. To reduce the computational burden, an interval type 2 fuzzy logic system (IT2-FLS) has been addressed. Therefore, IT2-FLS are widely preferred over general type 2 fuzzy logic systems [11]. T2-FLS utilize the uncertainty footprint (FOU) to address these challenges with great efficiency. Empirical evidence demonstrates that T2-FLS significantly outperforms T1-FLS in these areas [13], [14]. The fuzzy logic controller (FLC) that is being discussed here is well-known for producing improved results for non-linear systems that have changing parameters.

The DFIG is therefore a great choice for evaluating the efficiency of FLCs because of this. Many previous studies have applied IT2-FLC dedicated to controlling DFIG-Based WECS in the literature, such as in [15], where the authors developed an IT2-FLC algorithm to enhance the control of Ps and Qs. Simulation results demonstrated satisfactory control performance and improved power conversion in wind systems. In [16], IT2-FLC-tuned PI controllers were employed to achieve optimal torque control for WTs driven by DFIGs. This control strategy effectively regulates mechanical rotor speed error, enhancing overall system performance. In [17], an IT2-FLC controller was designed for the nonlinear modeling of turbine blades and subsequently integrated into a comprehensive DFIG wind turbine model, with an additional IT2-FLC applied to regulate rotor frequency and voltage amplitude. The work in [18] introduced an adaptive sliding mode type-2 neuro-fuzzy controller to manage DFIG power output, resulting in improved performance and heightened system robustness. In [19], both T1-FLC and T2-FLC methods were investigated under direct and indirect control modes, with a comprehensive evaluation of their performance. The study identified the most effective control method in terms of reference tracking and robustness.

In [14], an IT2-Fuzzy Sliding Mode Controller (IT2-FSMC) was proposed for DFIG management in WECS by integrating sliding mode control with FL principles. Comparative analyses underscore that IT2- FSMC methods outperform T1- FSMC approaches, delivering superior control effectiveness and enhanced outcomes. Unlike previous research, this paper proposes an innovative approach that includes the IT2-FLC strategy for separate control of the Ps and Qs of the stator. This system consists of two control loops: an inner loop for regulating the rotor current and an outer loop for controlling the stator power. The contribution of this research lies in the use of the IT2-FLC strategy to control the power of grid-connected DFIGs to reduce ripples, improve power quality, and increase system robustness. This paper also includes a comprehensive and detailed comparison with the T1-FLC methodology. The proposed techniques were tested according to the following criteria: setpoint tracking under varying WS, sensitivity to parameter variations to assess robustness, and harmonic analysis to determine the controller's effectiveness in mitigating distortion. Overall, these evaluations demonstrate the proposed scheme's capability to improve DFIG dynamic behavior and power quality.

The following are the study's primary goals:

- Increase the robustness of IT2-FLC control.
- Reduce THD of current using IT2-FLC.
- Demonstrate that IT2-FLC provides superior improvements in power quality compared to the T1-FLC approach.
- Minimize overshoot and improve dynamic response.

II. MATERIALS AND METHODS

II.1 MODELING THE CONVERSION SYSTEM

Figure 1 clearly shows the components and layout of the WECS.

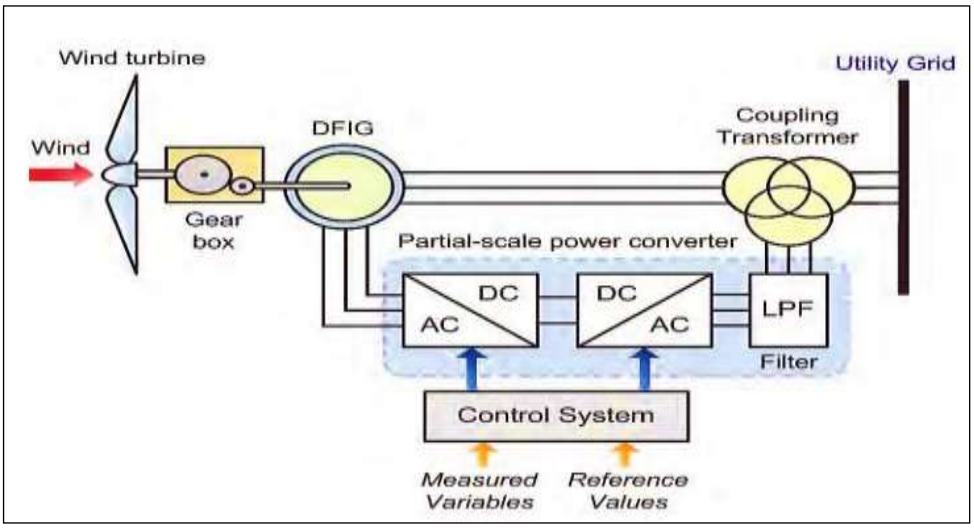


Figure 1: WT structure based on DFIG.
Source: [20].

II.1.1 MODELING THE TURBINE

A WT converts the kinetic energy of wind moving at speed *V* across the surface area *S* of its three blades, each with length R_t, into mechanical energy. The power coefficient $C_p(\lambda,\beta)$ is the ratio of the WTs kinetic energy that can be extracted and converted into mechanical energy. This coefficient varies according to the turbine's design. WTs can be represented mathematically using the following equations [21-23]:

$$P_m = \frac{1}{2}\rho\pi R^2 v^3 C_p \tag{1}$$

$$\lambda = \frac{\Omega.R}{v} \tag{2}$$

$$C_p(\lambda,\beta) = \left(0.5 - 0.00167(\beta - 2)\right)\sin\left[\frac{\pi(\lambda+0.1)}{18.5-0.3(\beta-2)}\right] - 0.00184(\lambda-3)(\beta-2) \tag{3}$$

Based on the power output of the WT and knowing the turbine's rotational speed, the mechanical torque is expressed as follows [22], [23]:

$$T_m = \frac{P_m}{\Omega} = \frac{1}{2\lambda}\rho\pi R^3 v^2 C_p \tag{4}$$

In order to improve the performance of the WT, the maximum power point tracking (MPPT) control system has to accurately manage the rotational speed while simultaneously ensuring that the blade pitch angle (β) consistently remains at its minimum value. This particular technique guarantees that the power coefficient (C_p) is maximized at the ideal tip speed ratio (λ_{opt}), hence obtaining the $C_{p\text{-}max}$, as stated in references [11, 13]. Additionally, the torque reference $T_{m\text{-}ref}$ was defined by [24], [25].

$$T_{m-ref} = \frac{\rho}{2}\frac{c_{p-max}}{\lambda_{opt}^3}\pi\frac{R_t^5}{G}\Omega_{mec}^2 \tag{5}$$

The control device allows all blades to be rotated at an equal angle or independently. This independent adjustment provides greater freedom for the control system. This special process reduces the stress on the blades. It monitors the energy generated by the WT to achieve optimal performance at every WS [26].

II.1.2 MODELING OF THE DFIG

The control of DFIG presents considerable challenges due to their inherently complex, nonlinear dynamics. Effective management of such machines necessitates the development of an accurate model that faithfully replicates their actual behavior. The electrical equations governing the DFIG are provided and have been reformulated within the Park reference frame, as illustrated in equations (6) and (7). [27,28].

$$\begin{cases} V_{sd} = R_s I_{sd} + \frac{d\phi_{sd}}{dt} - \omega_s\phi_{sq} \\ V_{sq} = R_s I_{sq} + \frac{d\phi_{sq}}{dt} + (\omega_s - \omega_r)\phi_{sd} \\ V_{rd} = R_r I_{rd} + \frac{d\phi_{rd}}{dt} - \omega_s\phi_{rq} \\ V_{rq} = R_r I_{rq} + \frac{d\phi_{rq}}{dt} + (\omega_s - \omega_r)\phi_{rd} \end{cases} \tag{6}$$

With:

$$\begin{cases} \phi_{sd} = L_s I_{sd} + M I_{rd} \\ \phi_{sq} = L_s I_{sq} + M I_{rq} \\ \phi_{rd} = L_r I_{rd} + M I_{sd} \\ \phi_{rq} = L_r I_{rq} + M I_{sq} \end{cases} \tag{7}$$

The following equation governs the mechanical equation:

$$\Gamma_{em} = \Gamma_r + C_f\Omega_{mec} + J_T\frac{d\Omega_{mec}}{dt} \tag{8}$$

The electromagnetic torque is given by the following equation:

$$\Gamma_{em} = p\frac{M}{L_s}(\phi_{sd}I_{rq} - \phi_{sq}I_{rd}) \tag{9}$$

The definitions pertaining to DFIG power are as follows:

$$\begin{cases} P_s = V_{sd}I_{sd} + V_{sq}I_{sq} \\ Q_s = V_{sq}I_{sd} - V_{sd}I_{sq} \end{cases} \tag{10}$$

To regulate wind power generation effectively, one method involves decoupling the control of Ps and Qs by linking the voltages generated by an inverter to the stator power. To enhance the control of the DFIG, independent control of Ps and Qs will be implemented through the orientation of the stator flux. The goal is to align the stator flux within a rotating reference frame. For medium-power machines utilized in WECS, the stator resistance Rs is considered negligible; thus, the electrical equations governing the DFIG model are expressed as follows [29]:

$$\Phi_{sd} = \phi_s \quad et \quad \phi_{sq} = 0 \tag{11}$$

The flux equation (7) can be written as shown below:

$$\begin{cases} \phi_{sd} = L_s I_{sd} + MI_{rd} \\ 0 = L_s I_{sq} + MI_{rq} \end{cases} \tag{12}$$

The stator voltage equations can also be expressed more simply as shown below.

$$V_{sd} = 0, \; V_{sq} = V_s = \omega_s \phi_s \tag{13}$$

Using equation (12), it is possible to establish a relationship between the stator and rotor currents.

$$\begin{cases} I_{sd} = -\frac{M}{L_s} I_{rd} + \frac{\phi_s}{L_s} \\ I_{sq} = -\frac{M}{L_s} I_{rq} \end{cases} \tag{14}$$

By replacing the terms I_{sd} and I_{sq} with their expressions from equation (14) and setting V_{sd} = 0, the Ps and Qs of the stator can be written as follows:

$$\begin{cases} P_s = V_s I_{sq} = -V_s \frac{M}{L_s} I_{rq} \\ Q_s = V_s I_{sd} = -V_s \frac{M}{L_s} I_{rd} + V_s \frac{\phi_s}{L_s} \end{cases} \tag{15}$$

We then establish the equations that relate the rotor voltages to the rotor currents.

$$\begin{cases} V_{rd} = R_r I_{rd} + \left(L_r - \frac{M^2}{L_s}\right) \frac{dI_{rd}}{dt} - g\omega_s \left(L_r - \frac{M^2}{L_s}\right) I_{rq} \\ V_{rq} = R_r I_{rq} + \left(L_r - \frac{M^2}{L_s}\right) \frac{dI_{rq}}{dt} + g\omega_s \left(L_r - \frac{M^2}{L_s}\right) I_{rd} + g \frac{MV_s}{L_s} \end{cases} \tag{16}$$

II.2 FUZZY LOGIC CONTROL

Type 2 fuzzy logic is widely utilized, particularly in its control unit, which is esteemed for its robust disturbance management and enhanced performance under conditions of random noise. The distinctions between Type 1 and Type 2 FL are as follows[30]:

-The MF is two-dimensional in Type 1, whereas it is three-dimensional in Type 2;
-The membership value is precise in Type 1 but exhibits fuzziness in Type 2;
-Additionally, Type 2 incorporates an uncertainty footprint that provides an extra degree of freedom, a feature absent in Type 1.

A T2-FLC fundamentally builds upon established concepts similar to those employed in a T1-FLC, including MFs, rule bases, t-norm operations, fuzzification, inference, and defuzzification [31]. Nevertheless, the altered characteristics of MFs within a higher-type framework necessitate modifications to the operational processes during inference. The core principles of FL remain invariant regardless of MF structure and thus are preserved. Consequently, a T2FLS exhibits substantial methodological congruence with a T1FLS. The principal distinction resides within the system's third component, where output processing encompasses not only defuzzification but also the type reduction stage. This addition is essential due to the inherent complexity introduced by the more intricate MF representations, which require type reduction before defuzzification. The architecture of a T2FLS is depicted in Figure 2.

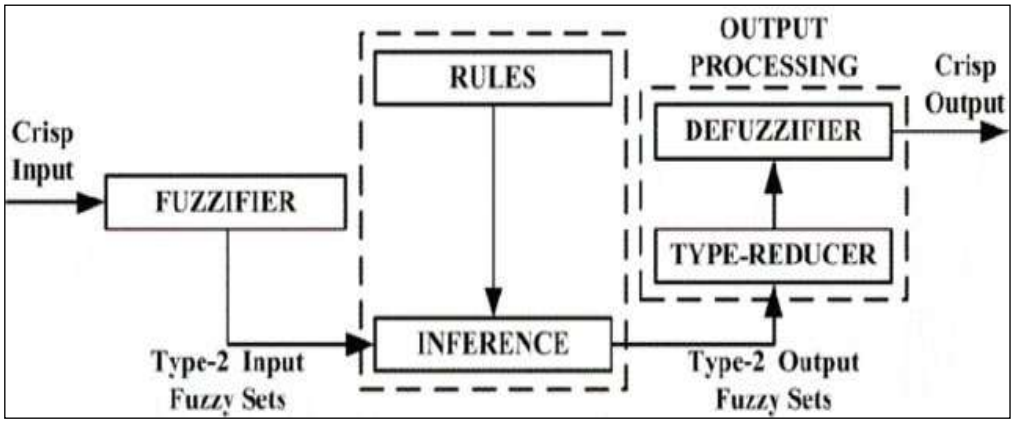


Figure 2: IT2- FLS configuration.
Source: [32].

II.2.1 CONTROL OF DFIG USING IT2-FLC

Figure 3 depicts a schematic of the system being considered, with the two control loops for power and current shown clearly on each axis. Additionally, traditional T1-FLC and IT2-FLC controllers are both assessed.

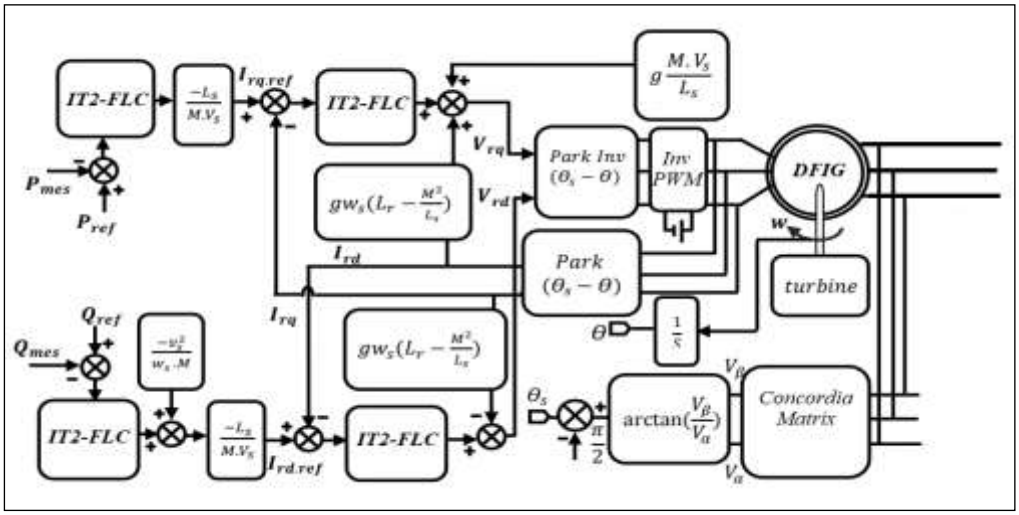


Figure 3: Control of the IT2-FLC.
Source: Authors, (2025).

II.2.2 STRUCTURE OF IT2-FLC

Figure 4 presents the block diagram of an IT2-FLC, which is developed based on a T1-FLC. The normalized variables, referred to as norms, play a crucial role in adjusting the gains at both the controller's input and output to achieve the desired system response. In IT2-FLS that consists of a total of M rules, the specific rule identified as the i^{th} rule is expressed or formulated in the following manner:

$$R^i: \text{if e is } \tilde{F}_e^i \text{ and de is } \tilde{F}_{de}^i \text{ then } dI_r^{ref} \text{ is } \tilde{G}^i \; ; i=1,..,M \tag{17}$$

$\tilde{F}_e^i$ and $\tilde{F}_{de}^i$ denote the linguistic terms associated with the inputs (e, de), while $\tilde{G}^i$ signifies the linguistic term corresponding to the output dI_r^{ref}. The output's linguistic terms are defined by their type-1 interval MF, represented as $[u_l^i, u_r^i]$. These functions are obtained by calculating the centroid of the T2-FS associated with the output.

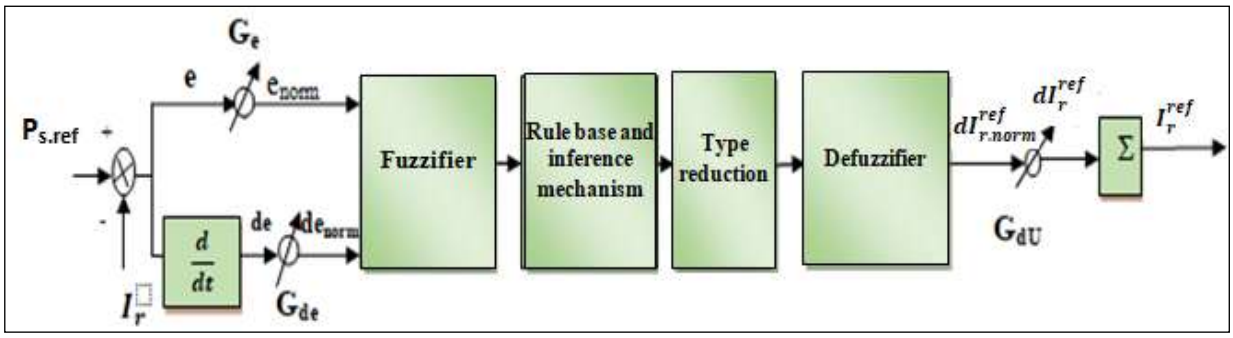
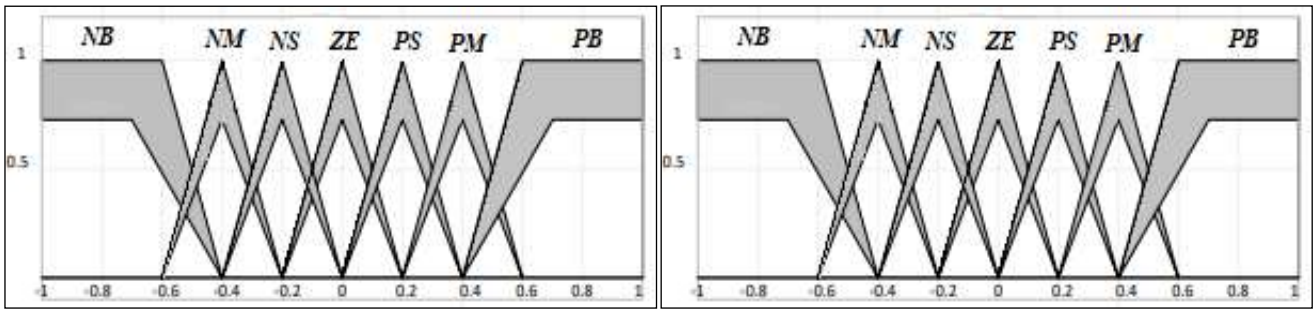


Figure 4: Structure of an IT2-FLC.
Source: Authors, (2025).

Figure 5 depicts the MFs associated with both the antecedent and consequent components. The domains for the input and output variables are normalized and confined to the range [−1,1].



(a) (b)

Figure 5: Type 2 fuzzy MFs of the variation of: (a) *e* and *de*, (b) *output.*
Source: Authors, (2025).

The set of M rules described above may be expressed through an inference matrix. As illustrated in Table 1, the fuzzy rules that govern the controller used in this research are presented in that format.

Table 1: Table of rules for the T-2 FLC.

ede	NB	NM	NS	ZE	PS	PM	PB
NB	NB	NB	NB	NB	NM	NS	ZE
NM	NB	NB	NB	NM	NS	ZE	PS
NS	NB	NB	NM	NS	ZE	PS	PM
ZE	NB	NM	NS	ZE	PS	PM	PB
PS	NM	NS	ZE	PS	PM	PB	PB
PM	NS	ZE	PS	PM	PB	PB	PB
PB	ZE	PS	PM	PB	PB	PB	PB

Source: Authors, (2025).

III. SIMULATION RESULTS

This simulation section uses a 10 kW generator that is connected to a 400 V, 50 Hz electrical grid. The system parameters are provided in the Appendix. To evaluate the performance of the controllers, two controllers (T1-FLC and IT2-FLC) were compared using two tests. The first tests assessed tracking, while the second tests involved a robust assessment of variations in machine parameters.

III.1 FIRST TEST

The strategies that have been presented for regulating the performance of the generator under ideal circumstances are validated in this part. This section assumes that there are no operational disruptions and that there are no adjustments to the machine parameters. The wind profile illustrated in Figure 0.6 shows that the WT will experience an average speed of approximately 10 m/s. The derived power is notably influenced by even a slight change in WS, as it is directly proportional to the cube of the WS. The diagram clearly indicates that the Ps displayed a negative sign, which signifies that the DFIG produced and supplied energy to the grid. The reactive power control function enables the adjustment of Qs to exhibit either negative values, indicating inductive behavior, or positive values, indicating capacitive behavior. Setting the Qs response to zero within the time frame of 0 to 2 seconds facilitates operation at a unity power factor, as demonstrated in Figure 07(b). The performance attained with the T1FLC and IT2FLC controls is commendable, as evidenced by the trajectory tracking and the swift convergence of the measured variables to the target reference, as depicted in Figure 07. The application of this methodology enabled a precise decoupling of the two components of the stator power.

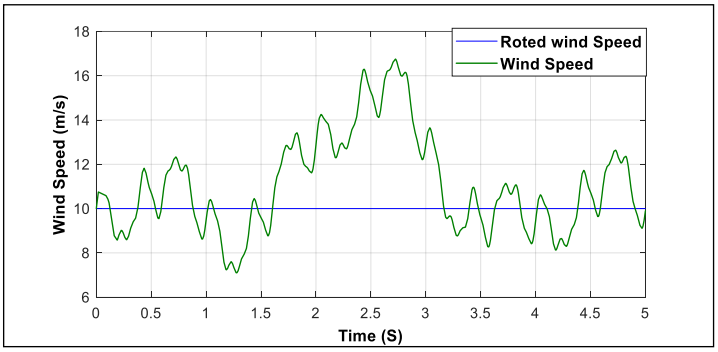
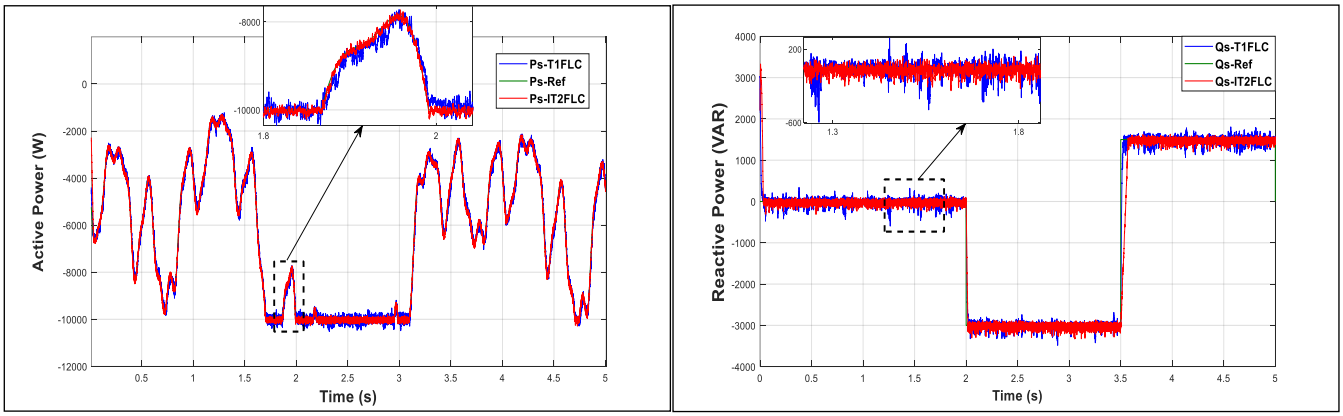


Figure 6: WS profile.
Source: Authors, (2025).

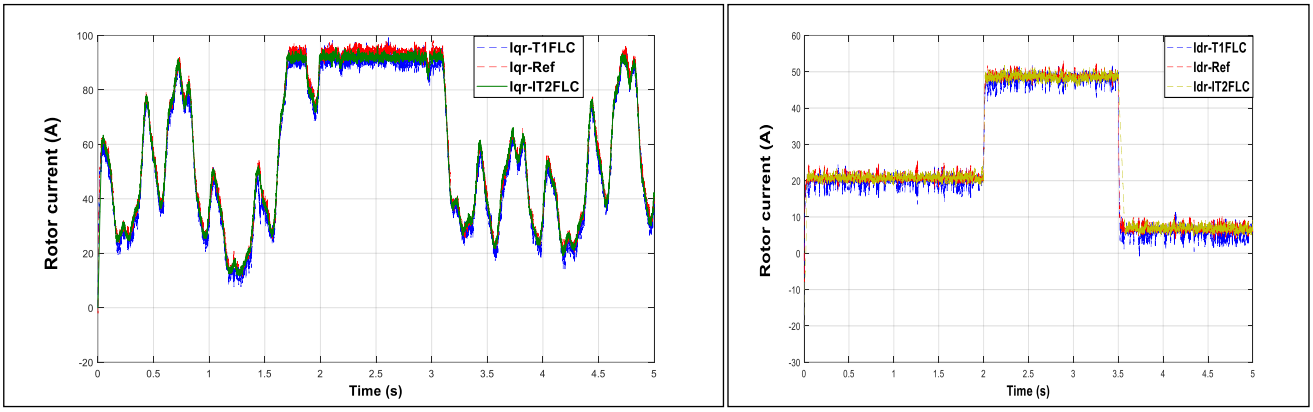


(a) (b)

Figure 7: DFIG power (a) Ps; (b) Qs.
Source: Authors, (2025).

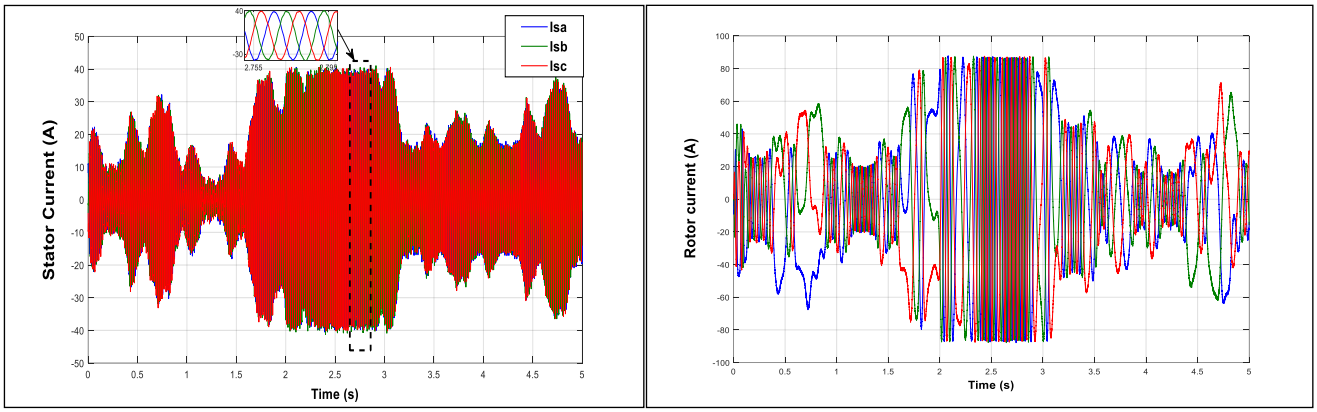
Figure 8 presents the d- and q-axis components of the rotor current, which relate respectively to the stator's Ps and Qs. The rotor currents tracked their reference profiles accurately, and no overshoot was observed.

Figure 9(a) illustrates the stator currents as sinusoidal signals at 50 Hz, with amplitudes that change according to WS. In contrast, Figure 9(b) depicts the rotor-circuit currents also as sinusoidal waveforms whose frequency and amplitude vary in response to slip or generator rotational speed. Figure 10 shows the pulse-modulated output voltages produced by the rotor-side converter. These voltages change in form with variations in generator speed and with adjustments to the rotor voltage reference magnitude.



(a) (b)

Figure 08: rotor current (a) ; (b) I_{dr}.
Source: Authors, (2025).



(a) (b)

Figure 9: (a) stator current ; (b) rotor current.
Source: Authors, (2025).

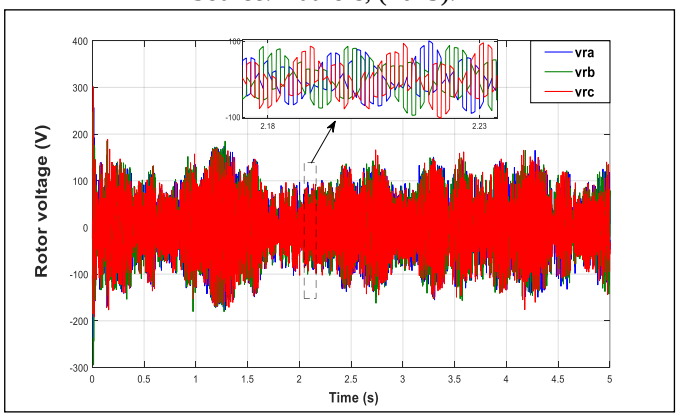
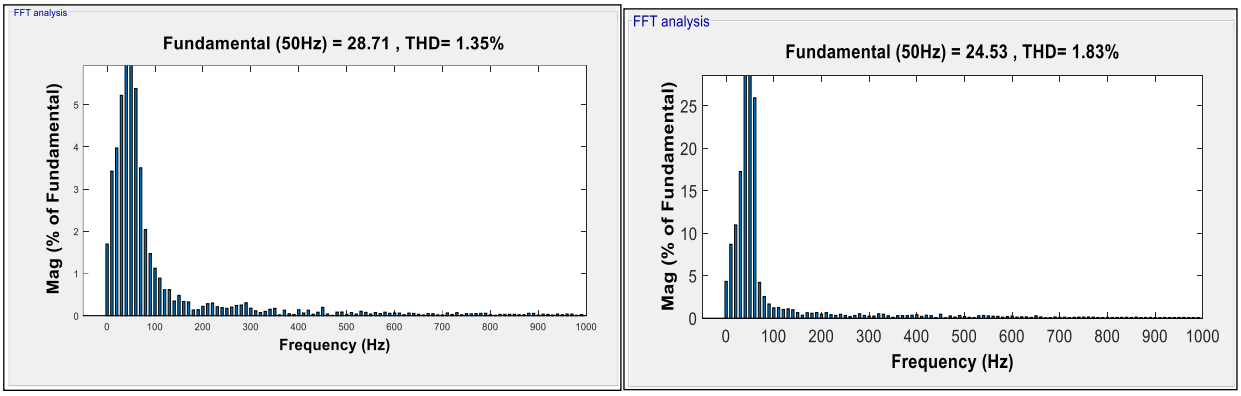


Figure 10: Rotor voltage.
Source: Authors, (2025).

Figure 11 presents the single-phase stator current harmonic spectrum of the DFIG, obtained via the Fast Fourier Transform (FFT) technique for both control schemes. A comparison of the results reveals a clear reduction in total harmonic distortion when using the proposed IT2-FLC: the THD drops from 1.83% under the T1-FLC to 1.35% with the IT2-FLC. This represents an approximate 26.22% improvement in harmonic performance, demonstrating that the IT2-FLC approach provides superior energy quality relative to the conventional T1-FLC. Furthermore, the IT2-FLC produces a higher basic signal amplitude at 50 Hz than the T1-FLC, which reinforces the conclusion that the proposed controller outperforms the traditional design in terms of both harmonic suppression and fundamental amplitude.

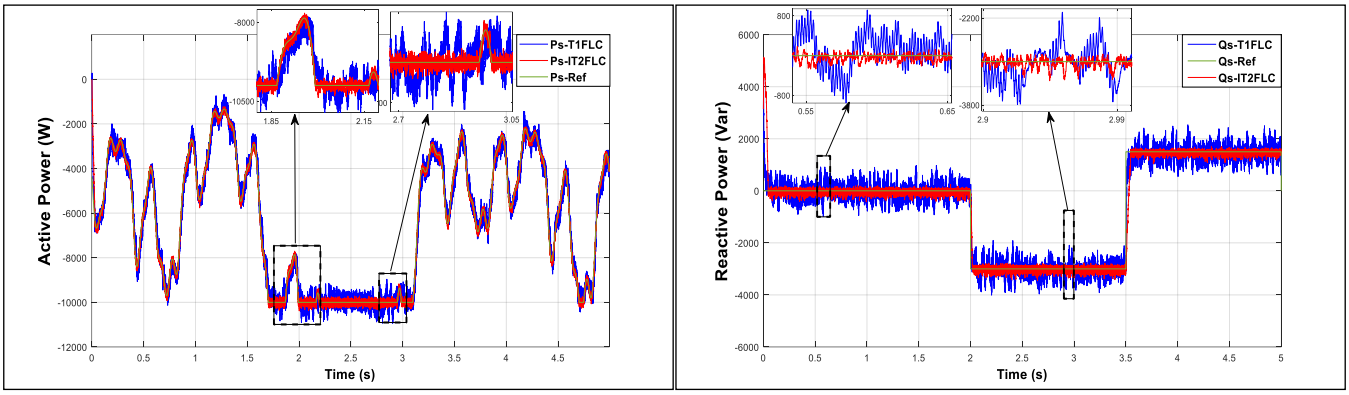


(a) **(b)**

Figure 11: (a) THD IT2-FLC; (b) THD T1-FLC.
Source: Authors, (2025).

III.2 ROBUSTNESS TEST

This section assesses the resilience and performance of the proposed controllers when subjected to unfavorable variations in system parameters. Both graphical and quantitative results are presented and contrasted with those obtained using a traditional control strategy. The robustness assessment entails deliberate alterations to the generator's internal parameters to examine how well the proposed unit withstands uncertainties and how rapidly it responds relative to the conventional controller. Specifically, the stator and rotor resistances (Rs, Rr) are doubled, while the stator and rotor inductances (Ls, Lr) were reduced to 30% of their original magnitudes. Additionally, the mutual inductance M was decreased to half of its initial value.



(a) **(b)**

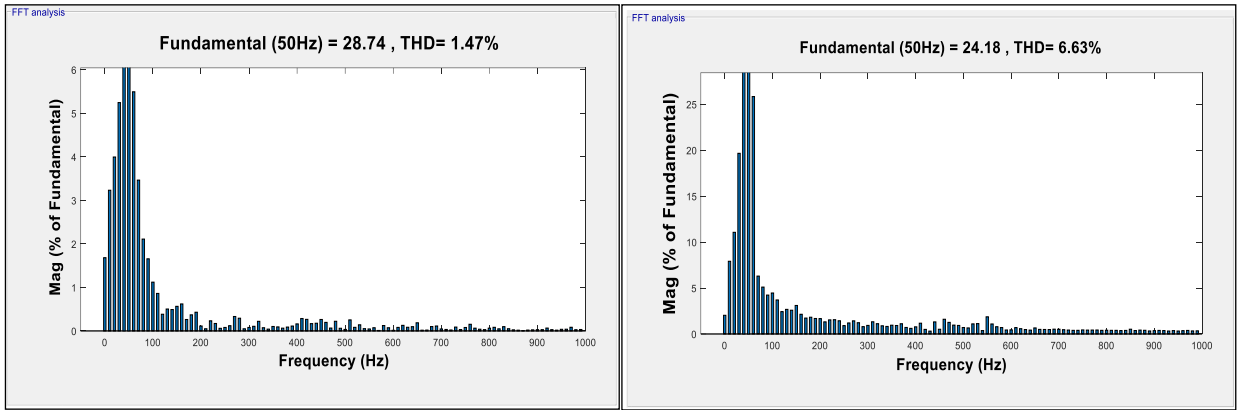
Figure 12: DFIG power (a) Ps; (b) Qs.
Source: Authors, (2025).

The results presented in Figure 12 and Table 3 reveal distinct differences in controller behavior. The T1-FLC controller exhibited brief instances of overshoot before settling to the reference trajectory, whereas the proposed IT2-FLC maintained precise tracking without any overshoot. This performance underscores the IT2-FLC's resilience to disturbances, variations in internal parameters, and rapid shifts in the reference input. Moreover, the IT2-FLC approach produced lower fluctuations in both Ps and Qs, a benefit illustrated in Figure 12. Table 2 reports performance metrics and reduction ratios for each controller under changes to machine parameters, including rise time, ISE, IAE, ITSE, and ITAE. A comparison of these measures shows that the T2-FLC outperforms the T1-FLC. However, when evaluated against the energy-related criteria, the IT2-FLC delivers the best overall efficiency, as reflected by the values in Table 2. As such, the simulation results demonstrate that the IT2-FLC has superior robustness and energy performance. It has reduced power ripple and improved tracking compared to the T1-FLC examined.

Table2: Numerical results from the robustness Test.

	IAE	ITAE	ISE	ITSE	Rise Time (sec)
Ps (T1-FLC)	1501	3678	7.421e05	1.63e06	0.033
Ps (IT2-FLC)	434.6	938.6	2.227e05	1.008e05	0.031
Ratio	71.05%	74.48%	69.99%	93.08%	6.06%
Qs (T1-FLC)	1313	3221	6.843e05	1.563e06	0.053
Qs (IT2-FLC)	625.7	1256	6.013e05	1.253e06	0.05
Ratio	52.35%	61.01%	12.12%	19.83%	5.66%

Source: Authors, (2025).



(a) **(b)**

Figure 13: (a) THD IT2-FLC; THD T1-FLC.
Source: Authors, (2025).

Figures 13(a) and (b) present the THD of the current under two distinct control strategies. Using the conventional T1-FLC, the current THD measured 6.63%. By contrast, the IT2-FLC reduced THD to 1.47%. This corresponds to a 77.82% decrease in current ripple when employing the IT2-FLC compared with the T1-FLC (refer to Table 3), indicating a substantial enhancement in current waveform quality.Moreover, the fundamental component (50 Hz) of the current exhibited a larger amplitude under the IT2-FLC: 28.74 A versus 24.18 A with the T1-FLC. This increase in fundamental amplitude, together with the marked THD reduction, underscores the superior performance of the proposed IT2-FLC strategy. Overall, simulation outcomes indicate that the IT2-FLC offers more robust operation in the presence of parameter variations and uncertain disturbances, making it the preferable control approach for maintaining high current quality under challenging conditions.

Table 3: The current THD values between the two tests.

	THD % (Test 1)	THD % (Test 2)
T1-FLC	1.83	1.35
IT2-FLC	6.63	1.47
Ratio	26.22%	77.82%

Source: Authors, (2025).

IV.CONCLUSIONS

This research develops and assesses control strategies for converting WE into electrical power by independently regulating Ps and Qs using T1-FLC and IT2-FLC. The focus is on a model of a 10 kW doubly fed induction generator (DFIG), performing simulations under variable WS conditions, and implementing the IT2-FLC in MATLAB to enable a direct comparison with conventional T1-FLC-based control. Two stress tests evaluate system robustness: one examines the response to very high WS, and the other explores the effects of changing system parameters. Comparative results indicate that the IT2-FLC produces superior performance across the examined metrics. Quantitative measures—such as reductions in error, lower overshoot, and diminished fluctuations in both Ps and Qs confirm its advantage. Additionally, parameter variations influenced current waveform quality, reflected in changes to total harmonic distortion (THD); however, the IT2-FLC approach mitigated these adverse effects more effectively than the conventional T1-FLC. Overall, the findings demonstrate that IT2-FLC offers improved resilience and cleaner power delivery in WECS.

V APPENDIX

Table 4: Parameters of the DFIG and WT.

Parameters	Value	Parameters	Value
Rs	0.455 Ω	P	2
Rr	019 Ω	ρ	1.225Kg/m^3
Ls	0.07 H	R_b (Blade radius)	3.45m
Lr	0.0213 H	H_m (Inertia constant)	2s
M	0.034 H	D (Damping coefficients)	0.01Nm.s/rad

Source: [14].

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Izzeddine Allali, Abdelber Bendaoud.
Methodology: Izzeddine Allali, Abdelber Bendaoud.
Investigation: Izzeddine Allali, Abdelber Bendaoud.
Discussion of results: Izzeddine Allali and Abdelber Bendaoud.
Writing – Original Draft: Izzeddine Allali.
Writing – Review and Editing: Izzeddine Allali, Abdelber Bendaoud.

Resources: Izzeddine Allali.
Supervision: Abdelber Bendaoud.
Approval of the final text: Abdelber Bendaoud.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.77-86. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2682

RESEARCH ARTICLE OPEN ACCESS

DETERMINANTS OF SUCCESS IN THE ELECTRICAL ENGINEERING LICENSURE EXAMINATION: A DESCRIPTIVE-CORRELATIONAL STUDY IN THE PHILIPPINES

Bless Ampuan[1], Mechille Fabiala[2], Lonel Morado[3] and Kenneth Bryan Abaigar[4]

[1, 2, 3, 4] Department of Electrical Engineering, University of Eastern Philippines, 6400, Catarman, Philippines.

[1] https://orcid.org/0009-0009-2063-8566, [2]https://orcid.org/0009-0001-4536-4508, [3]https://orcid.org/0009-0007-0879-692X, [4]https://orcid.org/0009-0000-6328-6681

Email: bless.ampuan.uep@gmail.com, mechillefabiala@gmail.com, lonelimorado@gmail.com, kbabaigar@gmail.com

ARTICLE INFO

Article History
Received: September 7, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Board exam,
Electrical engineering,
Profile,
Strategies,
Study techniques.

ABSTRACT

This quantitative study investigated the determinants of success in the Registered Electrical Engineering Licensure Examination (REELE) in the Philippines. Using a descriptive-correlational survey design, stratified sampling was applied, and Slovin's formula determined a sample of 70 respondents with a 10% margin of error. The study explored the strategies and practices of successful examinees alongside their socio-demographic characteristics. Results revealed that while most passers were male, variations were observed in age, civil status, and academic distinctions. Pass rates steadily improved, with Cebu City and Manila identified as the most common testing venues. Most graduates are employed as electrical or project engineers, often outside their home regions, indicating geographic mobility. Financial assistance significantly influenced exam preparation, with disparities evident among students. Formal review programs emerged as the primary preparation method, whereas self-review was less common. Effective exam practices included problem-solving, note-taking, reading comprehension, and calculator proficiency, with strong emphasis on reviewing past board examination problems. Active learning strategies, such as peer teaching and mental imagery, were also widely adopted, while technology further supported exam readiness. Overall, the study underscores the combined importance of financial support, structured review programs, and active learning strategies in ensuring licensure examination success.

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I. INTRODUCTION

Electrical engineering is one of the leading fields in the engineering industry and plays a vital role in today's modernizing world. As of July 2024, the number of electrical practitioners in the Philippines has reached more than 69,000 [1]. The practice, registration, and licensing of electrical engineers are governed by Republic Act 7920, or the New Electrical Engineering Law [2]. Under this law, applicants must pass the Registered Electrical Engineer (REE) Licensure Examination, which covers Mathematics (25%), Engineering Sciences and Allied Subjects (30%), and Electrical Engineering Professional Subjects (45%) [3]. To qualify, examinees must obtain at least a 70% weighted average with no grade lower than 50% in any subject group. The examination is administered twice a year by the Professional Regulation Commission (PRC) through the Board of Electrical Engineering (BEE) [3].

The University of Eastern Philippines (UEP) is one of the state universities offering the Bachelor of Science in Electrical Engineering (BSEE). For over twenty-two years, the program has produced numerous REE and RME passers, including board placers. Based on PRC records, UEP produced 329 successful REE examinees between 2009 and 2019 [3]. Passing the licensure exam, however, requires rigorous preparation, and given the wide coverage of subjects, graduates must employ effective strategies to succeed. Several studies have emphasized the importance of preparation and strategies in passing professional licensure examinations. For example, a study [4] examined the strategies of Nursing Licensure Examination passers at Letran Calamba, while another [5] identified common

challenges faced by examinees such as difficulty comprehending exam questions, limited study time, review-work conflicts, family pressures, and financial constraints [3]. Most examinees were also found to be between the ages of 20 and 25. Attendance at review sessions has been shown to significantly increase the likelihood of passing, as noted in studies on criminology [6] and language preparation courses [7]. Similarly, [8] highlighted the positive impact of review classes, while [9] underscored the value of pre-board or mock exams and updated review resources. This study is significant for both electrical engineering graduates and the University of Eastern Philippines (UEP), particularly the Electrical Engineering Department.

For graduates, the findings highlight the determinants of success in the Registered Electrical Engineer (REE) Licensure Examination, offering evidence-based strategies to strengthen exam preparation and performance. At the institutional level, the results provide inputs for curriculum enhancement, program review, and the design of academic support initiatives aimed at improving licensure outcomes and sustaining the competitiveness of the BSEE program. Anchored on a descriptive-correlational approach, this study specifically sought to: (1) describe the profile of successful UEP electrical engineers in terms of personal and exam-related; (2) identify the study strategies and practices they employed, such as group study, note-taking, problem-solving, review of past exams, online tutorials, and various memorization techniques; and (3) determine whether there is a significant relationship between their strategies and personal or preparation-related profiles.

II. METHODOLOGY

II.1 PARTICIPANTS

The Bachelor of Science in Electrical Engineering (BSEE) is one of the flagship programs of the University of Eastern Philippines, recognized for producing board placers and numerous licensure examination passers. This study therefore examined the determinants of successful electrical engineers from the University of Eastern Philippines – Main Campus who passed the licensure examination between 2010 and 2019. To ensure representativeness, stratified sampling was employed by dividing the population into subgroups or strata based on the year of passing and then selecting samples from each stratum, consistent with standard sampling methodologies for heterogeneous populations. The sample size for each batch (N) was determined using Slovin's Formula, shown in (1), with a 10% margin of error (e), which has been widely applied in educational and social science research for determining representative sample sizes. This method ensured more accurate and reliable findings.

Slovin's Formula

$$n = \frac{\mathrm{N}}{1 + Ne^2} \tag{1}$$

II.2 INSTRUMENTATION

This study employed a qualitative approach utilizing a descriptive-correlational research design, with a survey questionnaire serving as the primary data-gathering tool. Descriptive-correlational designs are widely used in educational and licensure performance research as they allow the analysis of relationships between variables without manipulating them [5], [9]. The questionnaire was developed by the researchers, subjected to content validation by a subject-matter expert from the university to ensure reliability and construct validity, and subsequently administered online through Google Forms, a platform increasingly adopted in academic and professional research for its accessibility and efficiency in data collection [10].

II.3 DATA COLLECTION AND ANALYSIS

This study was approved by the university through the Research, Development, and Extension (RDE) Office. Data collection was conducted using Google Forms, which were distributed to successful electrical engineers through their respective Facebook Messenger accounts. Responses were converted and tabulated in Microsoft Excel, then analyzed using frequency counts and percentages for descriptive statistics. To determine the extent of utilization of strategies and practices, weighted mean scores were computed and interpreted using a 5-point Likert scale, with results ranked from highest to lowest. To examine the relationship between respondents' profiles and their strategies and practices, Pearson's r correlation was employed, consistent with prior studies examining associations between demographic factors and licensure performance [11]. A correlation table generated through multiple regression analysis was used to test the statistical significance of the results, with the null hypothesis stating that no significant relationship exists between respondents' profiles and the strategies and practices they employed. All statistical analysis was performed using IBM SPSS Statistics, a widely recognized tool in educational and behavioral research.

III. RESULT AND DISCUSSION

III.1 PERSONAL PROFILE OF RESPONDENTS

Table 1 presents the sex distribution of the respondents. The data show that the majority of respondents (84.29%) are male, while only 15.71% are female, indicating that the sample population is predominantly male. This finding is consistent with the report of [12], which revealed that males, on average, express significantly more interest in engineering than females. Historically, the field of engineering has also been male-dominated, which further explains this result. The predominance of male respondents may also influence the types of strategies and practices observed in this study, as gender-related factors can shape approaches to exam preparation and academic performance. For instance, prior studies have shown that male and female students often differ in their preferred learning strategies, with males tending to rely more on problem-solving and task-oriented approaches, while females are more likely to use collaborative and reflective study techniques [13], [14].

Table 1: Sex of respondents.

Sex	Frequency	Percentage
Male	59	84.29%
Female	11	15.71%
Total	70	100%

Source: Authors, (2025).

Table 2 presents the age distribution of respondents at the time they passed the licensure examination. Most examinees succeeded at ages 21 (27.14%), 22 (25.71%), and 23 (25.71%), indicating that the majority passed between ages 21 and 23. This distribution aligns with the findings of [5], which reported that most board examinees fall within the age range of 20 to 25. The concentration of successful examinees within this age span may be due to their recent graduation status, which allows them to retain academic knowledge more effectively and remain motivated for career advancement. Younger examinees also typically face fewer personal and professional obligations, enabling them to devote more time and focus to licensure exam preparation. Prior studies further support this observation, showing that performance in professional licensure examinations tends to decline with increasing age [15], [16].

Table 2: Age at the time of passing the exam.

Age	Frequency	Percentage
21	19	27.14%
22	18	25.71%
23	18	25.71%
24	6	8.57%
20	5	7.14%
25	1	1.43%
26	1	1.43%
27	1	1.43%
28	1	1.43%
Total	70	100%

Source: Authors, (2025).

Table 3 presents the civil status of the respondents at the time they took the licensure examination. The results show that all respondents (100.00%) were single, indicating that the entire sample population was unmarried during their examination period. This finding aligns with the observation in [17], where only about 7% of undergraduate students were married. The predominance of single respondents may partly reflect that having fewer familial responsibilities allows examinees to allocate more time and cognitive resources toward preparing for the licensure examination. Supporting empirical evidence shows that marriage and parenting responsibilities can negatively impact academic performance. For example, a study involving Nigerian medical undergraduates found that married students—especially those with children—had significantly more exam retakes than their single counterparts, suggesting that family obligations can impede academic success [18].

Table 3: Civil status when they passed the exam.

Civil Status	Frequency	Percentage
Single	70	100.00%
Married	0	0.00%
Total	70	100%

Source: Authors, (2025).

Table 4 presents the academic distinctions of the respondents at the time of their college graduation. The results show that most of the respondents (64.29%) graduated without honors, awards, or distinctions. This indicates that the majority of successful electrical engineers did not receive any formal academic recognition during their undergraduate studies. This finding contrasts with the study of [19], which identified academic performance as a predictor of licensure examination success. However, this may be explained by the fact that only a relatively small proportion of students in this program historically graduate with honors or distinctions, thereby limiting their representation in the sample. Moreover, this result implies that licensure examination success may rely more heavily on effective preparation strategies and exam-focused practices rather than solely on academic honors. Studies in other professional fields have similarly emphasized that board exam performance is influenced by targeted preparation and review habits, not only by prior academic standing [10].

Table 4: Academic distinctions when they graduated in college.

Distinctions	Frequency	Percentage
Without Honor and Award	45	64.29%
With Honors Only	11	15.71%
With Awards Only	11	15.71%
With Honors and Awards	3	4.29%
Total	70	100%

Source: Authors, (2025).

Table 5 presents the distribution of respondents by year of college graduation. Smaller proportions graduated in 2010, 2011, and 2019 (each 5.71%), while 10.00% graduated in both 2012 and 2014. Graduates from 2013 and 2016 accounted for 7.14% and 4.29%, respectively. Larger proportions were noted for graduates from 2015 (14.29%), 2017 (21.43%), and 2018 (15.71%). These varying figures indicate peaks in graduation in 2017 and 2018, which may reflect rising retention rates or enrollment during those years. This trend mirrors findings from a Philippine study, where only 61% of engineering students who entered the University of the Philippines Diliman via the UPCAT from 2010 to 2014 ultimately graduated, highlighting challenges in persistence and degree completion among engineering undergraduates [11].

Table 5: Year of graduation in college.

Year	Frequency	Percentage
2017	15	21.43%
2018	11	15.71%
2015	10	14.29%
2012	7	10.00%
2014	7	10.00%
2013	5	7.14%
2010	4	5.71%
2011	4	5.71%
2019	4	5.71%
2016	3	4.29%
Total	70	100%

Source: Authors, (2025).

Table 6 presents the distribution of respondents by the year they passed the licensure examination. Smaller proportions passed in 2010 (5.71%) and 2011 (2.86%), while 8.57% succeeded in 2012, 2015, and 2019. A slightly higher rate was observed in 2016 (11.43%), with more substantial increases in 2017 (15.71%) and 2018 (18.57%)—the latter showing the highest percentage of successful examinees. This upward trend from 2016 to 2018 may suggest improvements in exam preparation strategies, review resources, or institutional support during those years. Notably, variability in pass rates over time is common: a study analyzing licensure performance among Philippine State Universities and Colleges (SUCs) found that institutional factors such as faculty Ph.D. ratios, government budget allocations, and program accreditation statuses significantly influenced licensure passing rates, explaining nearly 46% of the year-to-year variability [20].

Table 6: Year of passing the exam.

Year	Frequency	Percentage
2018	13	18.57%
2017	11	15.71%
2016	8	11.43%
2013	7	10.00%
2014	7	10.00%
2012	6	8.57%
2015	6	8.57%
2019	6	8.57%
2010	4	5.71%
2011	2	2.86%
Total	70	100%

Source: Authors, (2025).

Table 7 presents the distribution of respondents by their chosen examination venue. While the Professional Regulation Commission (PRC) conducts the electrical engineering licensure examination at various testing centers nationwide—including NCR, Baguio, Butuan, Cagayan de Oro, Calapan, Cebu, Davao, Iloilo, Koronadal, Legazpi, Lucena, Pagadian, Palawan, Pampanga, Rosales, Tacloban, Tuguegarao, and Zamboanga—respondents in this study reported taking the exam in only four locations: Cebu City, Manila, Legazpi City, and Tacloban City. The survey indicates that the majority preferred Cebu City (61.43%), followed by Manila (32.86%), with smaller proportions in Legazpi and Tacloban City. This suggests that successful examinees tended to select examination venues in Cebu City and Manila, possibly due to convenience, availability of resources, or perceived advantages in these locations. Research has shown that factors such as test anxiety, pressure, overconfidence, insufficient educational foundation, financial burdens, personal responsibilities, and difficulties in managing time can hinder success in licensure examinations. Addressing these issues through targeted interventions may enhance performance outcomes [21].

Table 7: Place of examination.

Place	Frequency	Percentage
Cebu City	43	61.43%
Manila	23	32.86%
Legaspi City	3	4.29%
Tacloban City	1	1.43%
Total	70	100%

Source: Authors, (2025).

Table 8 shows that a significant majority (91.43%) of respondents passed the electrical engineering licensure examination on their first attempt. A smaller proportion attempted the exam twice (5.71%), while only 2.86% took it three times. The high first-attempt success rate suggests that effective preparation strategies and a strong educational foundation are crucial for licensure exam success. Conversely, the relatively small number of repeat examinees underscores the importance of providing support systems—such as review centers, mentorship programs, or counseling services—to assist candidates who may require additional guidance. Research indicates that factors such as age, academic performance, and clinical internship hours can significantly influence first-attempt success rates in licensure examinations [22].

Table 8: Number of exam attempts.

Number of attempts	Frequency	Percentage
Once	64	91.43%
Twice	4	5.71%
Thrice	2	2.86%
Total	70	100%

Source: Authors, (2025).

Table 9 presents the respondents' length of study in college. The majority of respondents (75.71%) completed the program within the regular five-year period, while 20.00% graduated in six years and 4.29% in seven years. This indicates that most successful electrical engineers completed the program on schedule. This finding aligns with the study in [19], which identified academic performance, including timely program completion, as a predictor of licensure examination success.

Table 9: Length of study in college.

No. of years	Frequency	Percentage
5	53	75.71%
6	14	20.00%
7	3	4.29%
Total	70	100%

Source: Authors, (2025).

Table 10 presents the current occupations of the respondents, showing the frequency and percentage distribution across various fields. The most common roles are "Electrical Engineer" (17.14%) and "Project Engineer" (14.29%), followed by "Power System Engineer" (12.86%). The respondents also represent a wide range of engineering disciplines, including design, academe, fire protection, control systems, marine, telecommunication, and systems engineering. Non-engineering fields, such as business and military, are also represented, though in smaller proportions. While the top three roles account for higher percentages, the relatively balanced distribution across other fields suggests a diverse group of respondents in terms of career paths. Research indicates that career diversity among engineers can enhance problem-solving capabilities and innovation by integrating varied perspectives and expertise. This diversity may also reflect the adaptability and broad applicability of engineering education in the licensure examination context [23].

Table 10: Present work.

Work	Frequency	Percentage
Electrical engineer	12	17.14%
Project engineer	10	14.29%
Power system engineer	9	12.86%
Design engineer	6	8.57%
Academician	6	8.57%
Fire protection engineer	6	8.57%
Controls engineer	5	7.14%
Marine related	5	7.14%
Telecommunication engineer	2	2.86%
Electrician	2	2.86%
Business related	2	2.86%
Test engineer	2	2.86%
System related	2	2.86%
Military related field	1	1.43%
Total	70	100%

Source: Authors, (2025).

Table 11 presents the respondents' workplace locations. The majority of respondents reported working "outside the region but within the Philippines," while the smallest proportion indicated employment "outside the country." This suggests that more professional opportunities are available within other regions of the Philippines compared to international placements. The distribution also reflects regional mobility among electrical engineering graduates, indicating that many professionals seek career advancement beyond their home region while remaining in the country. Research indicates that regional mobility among Filipino engineering professionals is influenced by factors such as career advancement opportunities, access to specialized industries, and the availability of professional development programs [24]. Another research indicates that Filipino professionals, including engineers, are well-positioned to compete in the

Association of Southeast Asian Nations (ASEAN) labor market [25]. These factors contribute to the concentration of engineering professionals in certain regions, highlighting the importance of regional development policies in addressing disparities in employment opportunities across the country.

Table 11: Workplace location.

Location	Frequency	Percentage
Outside the Region but in the Philippines	36	51.43%
Inside the Province	22	31.43%
Outside the Province but in the Region	7	10.00%
Outside the country	5	7.14%
Total	70	100%

Source: Authors, (2025).

III.2 EXAM-RELATED PROFILE

Table 12 presents the breakdown of the nature and location of review activities. Formal reviews emerged as the dominant method, accounting for 95.72% of all review types, whereas self-reviews comprised only 4.29%. Among the formal reviews, Cebu City stood out as the most common venue, with 43 respondents (61.43%) conducting their preparatory sessions there. Self-reviews, in contrast, were less frequent and occurred in diverse locations grouped as "Various." This distribution suggests that successful examinees predominantly rely on structured, institution-based review programs—especially those offered in Cebu City—while self-directed preparation is considerably less common. Supporting this, a study found that students who attended structured review classes significantly improved their qualifying exam scores compared to their pretest performance, demonstrating the efficacy of formal review programs in boosting exam readiness [26].

Table 12: Nature and location of review.

Review type	**Location**	**Frequency**	**Percentage**
Formal Review	Cebu City	43	61.43%
Formal Review	Manila	24	34.29%
Self-Review	Various	3	4.29%
Total		70	100%

Source: Authors, (2025).

Table 13 presents the distribution of financial assistance received by respondents during their board exam preparation. A large portion (42.86%) reported receiving ₱15,001 to ₱35,000 in support, while 37.14% received more than ₱35,000, indicating that many benefitted from substantial financial aid. In contrast, 20% reported receiving limited assistance, ranging from less than ₱5,000 to ₱15,000. These results underscore the critical role of financial support in enabling adequate preparation for the licensure exam. Disparities in financial resources may directly affect examinees' access to review programs, study materials, and other support systems essential for exam success. Prior studies also emphasize that socioeconomic status and financial capacity significantly influence academic and professional examination performance, as students from lower-income households often face disadvantages in securing sufficient preparation opportunities [15].

Table 13: Total financial assistance.

Amount	**Frequency**	**Percentage**
P45,001 – P55,000	15	21.43%
P15,001 – P25,000	15	21.43%
P25,001 – P35,000	14	20.00%
P45,001 – P55,000	13	18.57%
Above P55,000	9	12.86%
P35,001 – P45,000	8	11.43%
Below P5,000	5	7.14%
Total	70	100%

Source: Authors, (2025).

Table 14 presents the employment status of respondents during their board review. The results indicate that a majority (94.29%) of the examinees were not employed while preparing for the exam, whereas only 5.71% reported being employed during this period. These findings suggest that most respondents prioritized devoting their full time and attention to review activities, often postponing employment until after obtaining licensure. Prior research supports this, highlighting that full-time review without work-related distractions enhances preparedness and increases the likelihood of success in licensure examinations [27].

Table 14: Employment status during review.

Status	Frequency	Percentage
No Work/Job	66	94.29%
With Work/Job	4	5.71%
Total	70	100%

Source: Authors, (2025).

III.3 UTILIZATION OF STUDY TECHNIQUES AND PRACTICES

Table 15 provides insight into the frequency and utilization of various study techniques as reported by successful electrical engineers. The techniques are categorized based on the average mean of the respondents' frequency and intensity of practice, and then ranked from highest to lowest. "Problem-Solving" emerged as the most effective technique, suggesting that actively applying knowledge is crucial for learning and retention. This finding is consistent with previous studies showing that problem-solving strategies significantly increase student achievement and knowledge acquisition [28], [29], [30], and remain essential in shaping future engineers and technologies [28], [31], [27], [32], [33]. Both "note-taking and reading" were perceived as equally effective, ranking second. This highlights the importance of integrating passive and active learning strategies. Prior studies support this result, indicating that note-taking enhances reading comprehension [34], [35], while pre-reading strategies improve exam performance [36], [37].

"Calculator techniques" ranked third, demonstrating the importance of familiarity with calculator operations for exam success, particularly in computation-heavy subjects. This aligns with findings that calculator use improves students' mathematical performance [38]. "Familiarizing with past board exam problems" ranked fourth, underscoring the value of practicing with real-world examples. "Group studies" were ranked fifth, suggesting that while collaboration can be beneficial, many examinees prefer individual study methods. This is consistent with previous research [4], which found that group studies were often perceived as less effective compared to books and other references. "Watching online video tutorials" was rated the least effective technique, possibly due to its more passive learning nature. In addition, Table 15 presents the ranking of various memory and learning techniques based on perceived effectiveness, rated on a scale where higher scores indicated greater usefulness. "Focus to Remember" ranked first, suggesting that actively concentrating on material enhances retention. "Keyword Method and Mental Imagery" followed, demonstrating the effectiveness of associating new information with existing knowledge or creating vivid mental pictures.

This is supported by prior research showing that the keyword technique enhances students' ability to store and retrieve information [39]. "Teaching Others" ranked fourth, underscoring the benefits of explaining concepts to others as a way to reinforce understanding and retention. Prior research confirms that teaching is a powerful strategy for deep learning and long-term knowledge retention [40]. "Mnemonics" and "Chunking" (breaking information into smaller, more manageable units) followed in fifth and sixth place, respectively, highlighting their effectiveness in simplifying complex material [41], [42]. "Memorable Visual Images" and "Utilizing Technology" ranked seventh and eighth, demonstrating the value of visual aids and digital tools in enhancing memory [43], [44]. The "Memory Palace Technique" was ranked ninth, suggesting its usefulness for organizing and recalling large amounts of information [45]. Lastly, "Connecting to Emotions" and "Songs and Jingles" were placed tenth and eleventh, respectively, emphasizing that emotional and musical associations, while less frequently used, can still contribute to improved memory retention [46], [47].

Table 15: Utilization of Study Techniques.

Study Techniques	**Mean**	**Rank**
Problem Solving	4.76	1
Note Taking	4.49	2
Reading	4.49	2
Calculator Techniques	4.41	3
Familiarization of past board exam problems	4.36	4
Group Studies	3.64	5
Watching Online Video Tutorials	3.0	6
Memorization techniques		
Focus to Remember	4.34	1
Keyword Method	4.24	2
Mental Imagery	4.09	3
Teaching others	4.04	4
Mnemonics	3.89	5
Chunking Words and Activities	3.87	6
Memorable Visual Images	3.79	7
Utilizing Technology	3.67	8
Memory Palace Technique	3.57	9
Connecting to Emotions	3.4	10
Songs and Jingles	3.03	11

Source: Authors, (2025).

III.4 SIGNIFICANT RELATIONSHIP BETWEEN THE PROFILE AND THEIR STRATEGIES AND PRACTICES

Table 16 shows the correlation summary of the significant relationships between the utilization of study techniques and the profile of the respondents. Findings revealed that sex, academic distinctions, and number of exam attempts have a significant relationship with the study techniques of successful electrical engineers of the University of Eastern Philippines, as indicated by their respective p-values of 0.046, 0.038, 0.022, and 0.049, all of which are below the 0.05 level of significance. This implies that these variables were significant factors influencing the strategies and practices of the respondents during their preparation.

Consequently, the null hypothesis—that the profile of the respondents has no significant relationship to their study techniques—was rejected. A significant positive correlation was observed between sex and the utilization of study techniques, suggesting possible gender differences in preferred learning approaches, consistent with studies showing that men and women may adopt different strategies in engineering and professional contexts [12], [13], [14]. Conversely, age exhibited a non-significant correlation with study techniques, implying that age does not strongly influence study method selection [11]. Academic distinctions, however, showed a significant positive

relationship with the use of study strategies, indicating that students with strong academic achievements tend to employ more effective methods, a finding aligned with prior research linking academic performance to learning approaches [20], [21]. Other variables—such as year of graduation, year of passing the exam, place of examination, length of study in college, present work, workplace location, nature of review and location, total financial assistance, and employment status during review—demonstrated non-significant correlations. These results suggest that such factors exert little to no influence on examinees' choice of study techniques, echoing prior findings that success in licensure examinations is less dependent on external circumstances and more on effective strategies and preparation [26] [30].

Table 16: Summary result of the correlation between respondent's profile and utilization of study techniques.

Profile	Pearson correlation	p-value (2-tailed)	Interpretation
Sex	0.090	0.046	Significant
Age	-0.060	0.051	Not Significant
Academic distinctions	0.034	0.038	Significant
Year of graduation	0.106	0.382	Not Significant
Year of passing the exam	0.078	0.052	Not Significant
Place of examination	-0.145	0.231	Not Significant
Number of exam attempts	-0.147	0.022	Significant
Length of study in college	0.165	0.172	Not Significant
Present work	-0.161	0.183	Not Significant
Workplace location	0.110	0.364	Not Significant
Nature of review and location	-0.075	0.536	Not Significant
Total financial assistance	-.006	0.961	Not Significant
Employment status during review	0.126	0.296	Not Significant

Source: Authors, (2025).

IV. CONCLUSIONS

This descriptive-correlational study concludes that the determinants of success in the Electrical Engineering Licensure Examination among graduates of the University of Eastern Philippines – Main Campus extend beyond demographic and academic characteristics. While most passers were male, aged 21–23, and single at the time of examination, their achievement underscores that consistent preparation, structured review, and effective study practices are more critical than honors or distinctions. Passing the exam on the first attempt was strongly linked to participation in formal review programs, particularly those offered in Cebu City and Manila, which serve as major hubs of licensure preparation. Board examination review was treated as a dedicated stage in professional advancement, with many examinees prioritizing preparation over employment. Core practices such as problem-solving, note-taking, reading comprehension, calculator proficiency, and repeated exposure to past exam problems proved highly effective. Active learning strategies—including peer teaching, mental imagery, and keyword techniques—further enhanced retention, while digital resources supported modern study approaches. Overall, the findings affirm that licensure success is not determined by demographics alone but by a combination of financial support, structured review opportunities, and adaptive learning strategies. These determinants provide valuable insights for aspiring electrical engineers and for institutions seeking to improve licensure performance and graduate competitiveness.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Bless Ampuan.
Methodology: Bless Ampuan.
Investigation: Bless Ampuan and Lonel Morado.
Discussion of results: Bless Ampuan, Mechille Fabiala, Lonel Morado and Kenneth Bryan Abaigar.
Writing – Original Draft: Bless Ampuan.
Writing – Review and Editing: Bless Ampuan and Lonel Morado.
Resources: Bless Ampuan, Mechille Fabiala, Lonel Morado and Kenneth Bryan Abaigar
Supervision: Bless Ampuan and Mechille Fabiala.
Approval of the final text: All authors.

VI. ACKNOWLEDGMENTS

The authors would like to acknowledge the contribution of our successful electrical engineers, the university experts who validated the survey questionnaire, and the support of the university through the Research Development and Extension office.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.87-98. November/December., 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2698

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

ACCURATE PHOTOVOLTAIC POWER PREDICTION USING MACHINE LEARNING AND DEEP LEARNING: A COMPARATIVE STUDY ACROSS MULTIPLE LOCATIONS

Aythem Khairi Kareem[1], Ahmed Adil Nafea[2], Manar Thayer Mansour[3], Nasrin Nadher Jamil[4]

[1]Department of Heet Education, General Directorate of Education in Anbar, Ministry of Education, Heet, 31007 Anbar, Iraq
[2]Department of Artificial Intelligence, College of Computer Science and IT, University of Anbar, Ramadi, Iraq
[3]Department of Medical Physics, College of Science, AL-Nahrain University, Jadriya, Baghdad, 10072, Iraq.
[4]Department of Vocational Education in Anbar, Ministry of Education, Anbar, Iraq.

[1]https://orcid.org/0000-0001-7855-7843, [2]https://orcid.org/0000-0003-2293-1108, [3]https://orcid.org/0009-0006-5104-0979, [4]https://orcid.org/0000-0002-8879-1788

E-mail: ayt19c1004@uoanbar.edu.iq, ahmed.a.n@uoanbar.edu.iq, manar.thaer@nahrainuniv.edu.iq, nasrinjamil@uoanbar.edu.iq.

ARTICLE INFO

Article History
Received: September 12, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Photovoltaic Power Forecasting,
Solar Energy Prediction,
Machine Learning,
Deep Learning,
Renewable Energy.

ABSTRACT

This work evaluates machine learning (ML) and deep learning (DL) models for Photovoltaic (PV) power output prediction based on two real-world datasets. Eight models – Support Vector Regression (SVR), K-Nearest Neighbors (KNN), Linear Regression (LR), Random Forest Regression (RFR), Gradient Boosting Regression (GBR), Decision Tree (DT), one Dimensional Convolutional Neural Network (1DCNN) and Artificial Neural Network (ANN) – were evaluated using Root Mean Squared Error (RMSE), R-squared (R^2), Mean Absolute Error (MAE), and Mean Squared Error (MSE). For Dataset1 (region of Cacak) 1DCNN achieved the optimal performance, with the reduced errors and the largest R^2 values at three spatial locations, and it was closely followed by RFR and GBR. Likewise, in Dataset2 (region of Kraljevo), 1DCNN, ANN, and RFR give the best results. Conventional models, such as LR and DT, performed poorly in both data tribes. The results highlight the ability of state-of-the-art ensemble and DL models in learning nonlinear patterns in solar energy data and thus, the importance of choosing the right prediction tools to provide accurate and reliable PV power forecasts.

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I. INTRODUCTION

Climate change, rising living standards, and population growth are all contributing to the energy demand, which is predicted to rise sharply in the near future. This underlines the difficulties that the current electricity infrastructures face and the necessity of continuing research and growth in the domain of Renewable Energy (RE) [1], [2], [3]. A key component of RE technologies, PV technology uses Solar Radiation (SR) to create electricity. PV technology is continuously offering a sustainable substitute for other consumables and fossil fuels. The conversion efficiency, the effects of different environmental factors, and the modification of operational settings to maximum energy generation are all part of the physical electrical output analysis via PV cells [4], [5]. However, the functioning and proficiency of PV. Solar irradiance, or the quantity of sunshine Captured by a given surface over a given time interval, has a substantial effect on the staging and efficiency of solar power systems. Predicting the quantity of this RE source is becoming more and more crucial as a result of the rising use of solar-powered electricity on the one hand and the increasing integration of this energy source into the electrical grid on the other [6], [7]. Suboptimal energy production, storage, and distribution result from traditional forecasting systems' inability to manage the complex and nonlinear interactions between these contributing variables. This leads to the following particular difficulties:

1. Weather Variability: Accurately predicting solar irradiance and energy output is challenging due to unpredictable weather variations.
2. Complex Interactions: To make precise predictions, sophisticated techniques are needed to account for the interactions between variables like temperature, panel orientation, and shading.

3. Needs for Real-Time Prediction: Real-time or near-real-time forecasts are necessary for energy firms and grid operators to maximize energy storage and preserve grid stability.
4. Absence of Granular Data: The precision of PV generation models is impacted by the scarcity of localized, high-resolution data.
5. Energy Storage Optimization: Reducing expenses and energy waste requires precise forecasts for effective energy storage system operation.
6. Traditional predicting techniques struggle to handle these influencing variables' complex and nonlinear associations, leading to suboptimal energy production, distribution and storage.

Within the field of artificial intelligence, ML applies use of data and algorithms to allow machines to simulate human thought learning, processes, and decision-making without the need for specialized programming. By using big datasets and sophisticated algorithms to evaluate both historical and current data for PV energy projection, ML presents a possible option. By modeling intricate patterns, ML can enhance: Forecasting Solar Power in the Short and Long Term and Grid Integration Efficiency. Optimization of Energy Storage: Identification of Faults and Scheduling of Maintenance. Stakeholders may improve operational effectiveness, lower energy losses, and accelerate the transition to a more sustainable and dependable solar energy future by incorporating ML models into PV systems [8], [9]. The effective operation of solar power systems depends on precise PV production forecasting, which is achieved through the use of ML techniques [8], [9]. With further investigation and progress, ML will probably become more significant in estimating PV output in the years to come [10]. The use of ML techniques has spread widely during the last few decades in a variety of businesses that address data-oriented problems. Whether or not they adhere to formal problem frameworks, these methods seek to identify relationships between input and output data.

One well-known ML technique that predicts a target value using input variables is regression, which is a supervised learning approach. It is frequently used in forecasting to comprehend the relationships between several factors. The type of link between input variables and the number of independent variables taken into account are two aspects of regression models that can differ. Finding and establishing the associations between Predictor and target variables is the main goal of this analysis[11], [12]. The proposed approach presents an intelligent approach for predicting PV output power based on multiple ML and DL techniques, including RFR, LR, DT, GBR, SVR, KNN, ANN, and 1DCNN. By showcasing the potential of cutting-edge ML algorithms in maximizing PV system performance, this research advances solar energy usage. Implications based on operational and environmental parameters, make highly accurate predictions about short-term (minutes to hours), medium-term (daily), and long-term (seasonal or annual) energy generation. By anticipating PV power generation and balancing supply and demand, you can guarantee the stability of electrical networks and facilitate seamless grid operations. This work is arranged as follows: in Section 1 presents the background and method. Section 2 reviews related work. The method and models used are presented in Section 3. Presented the results and analyzed in Section 4. Section 5 concludes the proposed methodology and suggests future work's direction.

II. RELATED WORK

Solar PV panels are composed of many solar cells transforming sunlight to electrical energy. ML has been increasingly utilized to address the shortcomings of traditional forecasting methods with the widespread application of PV systems. The complicated nonlinear associations between environmental and operational variables may be learned by ML algorithms to generate more accurate and flexible prediction models of solar power generation. This subsection presents a review on last contributions that make use of ML and hybrid methods to improve the prediction of PV systems and increases their operational quality. Yi Zhou et al. suggested that a mixing model of Same Days Analysis (SDA), Genetic Algorithms (GA) and ELM (Extreme Learning Machines) could effectively forecast the hourly value of PV power[13]. SDA adopts the training samples according to meteorological similarity in terms of Pearson correlation, consequently the training time is shortened and the reference samples are focused. GA is employed thereafter to optimize these hidden layer weights of the ELM under this approach an improved prediction accuracy is achieved. Berny Carrera et al. introduced a cross-ratio-based framework to predict the solar power for the Yeongam solar plant, South Korea, 36 hours ahead [14].

The performance was evaluated in terms of 5 daily observational time slots, to ensure a consistent basis for the comparison of different advanced forecasting techniques. Wei Zhao et al. presented a hybrid approach of AML and an improved GA were employed to optimize day-ahead simulation of SPG of multiple PV plant regions [15]. The model integrates physical information of SPG dynamics and climatology in 2016–2018, outperforming a number of base-line models. Kumar Shivam et al. presented a multi-objective ML based energy optimization program for the domestic hybrid energy systems that consists of a solar array, battery storage, and electric load [16]. Their model employs a dilated CNN to predict energy generation and consumption: optimization to ensure efficient grid interaction is included as part of their framework. Sohaila Chahboun et al. analyzed six ML models using a two-year meteorological and radiation data to predict PV output [17]. Bayesian Regularized Neural Networks achieved the highest accuracy in comparison with other approach in terms of RMSE, MAE, and R^2 criteria.mRamyar Saeedi et al. introduced a novel adaptive ML system that can adapt with the help of small sensor information.

The framework estimates PV outputs at non-monitored sites by using the state of art nowca[18]sting models and estimating the total load demand through the combination of predicted PV outputs and smart meter data, which is crucial to local grid control.mKhizir Mahmud et al. used different ML models in short- and long-term predictions over Alice Springs, Australia [19]. LSTM and RF, and SVR models were compared under the normal and uncertain circumstances. RF showed the best performance in various instances, in particular. Zeming He et al. investigated some types of hybrid systems with PV cells and TEG [20]. They applied ML methods for optimal arrangement of the structure parameters and power estimation with respect to the PV/TEG area ratio for hybrid energy systems design. Hamza Mubarak et al. investigated the predictive ability of several ML methods, including KNN, SVM, ETR, and FFNN, for thin-film PV systems [21]. Extra Tree Regression had the best performance and DT Regression had the worst. Primary input characteristics were irradiance, wind speed and module temperature. Shadrack T. Asiedu et al. tested single and hybrid ML techniques to predict SE output from a 180 kWp PV system for several horizon terms in the future (from 1 day up to 1 month) [9]. ANN modelling was optimal for 1-day ahead forecasts and RF and the hybrid RF-XGBoost models achieved better prediction results for longer forecasting horizons.

Jing Zhang et al. presented a SE predicting model based upon Extreme Learning Machine with optimization through an Improved Moth-Flame Optimization (IMFO) algorithm [22]. The performance of the presented IMFO-ELM approach was also confirmed utilizing Desert Knowledge Australia Solar Center data by obtaining a MAPE below 5%. There are still some drawbacks in the previous works even though they have achieved a remarkable progress. Most of the models are either too simple to include the complex non-linear relationship in solar power generation, or are not wide applicability as validated only for limited datasets or regions. Moreover, some methods are heavily dependent on primitive overlapping functions or evaluated based on few performance indices that may not completely reflect the practical usability. By comparison, we address all these lacks in this study by testing different types of ML/DL models (e.g., 1DCNN, RF, ANN) in different spatial positions of different datasets. This all-inclusive evaluation model, with some error assessments (MAE, MSE, RMSE, R^2), validates the stability and performanceof advanced models for predicting the PV power output under different circumstances.

III. METHODOLOGY

This section describes the presented framework for implementing the PV approach based on ML and DL. Figure 1 represents the analysis's methodological workflow. It begins with the dataset description and then preprocessing operations that are applied to the dataset. Several ML and DL are employed to predict electricity production on an hourly basis. The techniques are RFR, LR, DT, GBR, SVM, ANN, and 1DCNN. Finally, the proposed approach's performance is evaluated using MAE, MSE, RMSE, and R2.

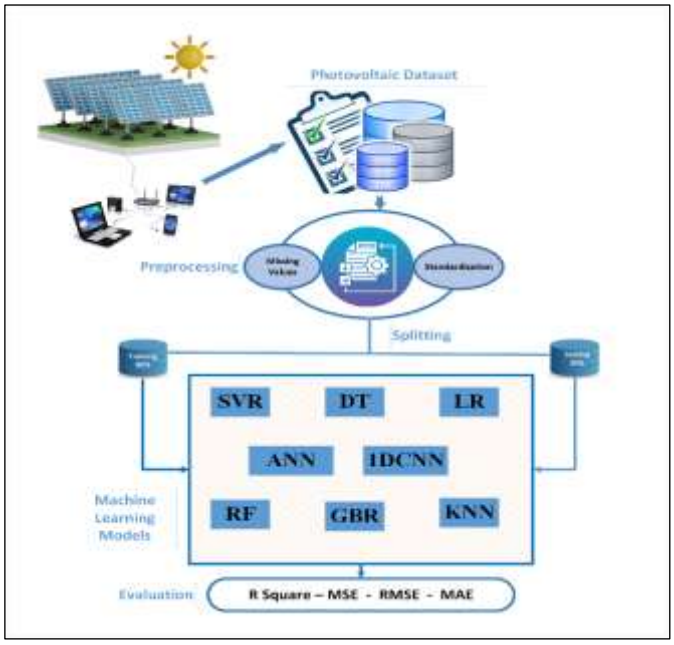


Figure 1: Block diagram of the proposed approach.
Source: Authors, (2025).

III.1 DATASET D ESCRIPTION

The presented approach utilizes an international solar energy dataset called the "Solar energy production dataset" [23]. It applies ML techniques to predict electricity production on an hourly basis. It includes two datasets called (Data_Cacak) and (Data_Kraljevo), each containing 8,274 instances with seven features in addition to the label representing the electricity production from solar panels. Table 1 indicates the feature description of the utilized dataset.

Table 1: Feature description.

Feature	Description	Unit of measure
Date time	The time and date	MM/DD/YYYY HH:MM
Air Temperature	The temperature of air	degrees Celsius (°C)
Cloud Opacity	The number of clouds in the sky. Cloud Opacity: Levels report the transparency of the cloud; higher units indicate higher cloud opacity (more cloud cover) resulting in less light. Higher down values indicate a clearer sky with direct sunlight.	percentage (%)
DHI	Diffuse Horizontal Irradiance (DHI): DHI is the SR that comes to a horizontal plane from the total sky. It features a combination of diffuse and direct sunlight.	kilowatts per square meter (kW/m^2)
DNI	Diffuse Horizontal Irradiance (DHI): DHI is the SR that comes to a horizontal plane from the total sky. It features a combination of diffuse and direct sunlight.	kW/m^2
EBH	Direct Normal Irradiance (DNI) is the SR received directly from the sun on a unit area perpendicular to the sun's rays.	kW/m^2
GHI	The amount of SR that would reach the surface of the Earth if the atmosphere were not present is known as the extraterrestrial horizontal irradiance (EBH).	kW/m^2

Source: Authors, (2025).

III.2 PREPROCESSING

Data analysis and ML workflows require preprocessing as a fundamental step. This step applies to transform raw data to prepare it for the following analysis and modeling tasks. This process ensures cleanliness and consistency while formatting the data correctly for its intended use. Preparing the acquired data for analysis requires multiple processing steps. This work used two preprocessing methods: Missing Values and Standardization.

III.2.1 Missing Values

A "Solar energy production dataset" contains missing values, which can pose challenges in data analysis. ML techniques cannot be trained directly with missing data. The simplest solution is to eliminate all instances with missing values, which is considered undesirable because we may lose important data. Another solution is to impute missing values with special values [24]. The proposed approach imputes missing values with a mean of the feature. This method is functional only for numeric characteristics and is usually connected with replacing missing values with the most common characteristic value for symbolic features.

III.2.2 Data Standardization

By following the range of values for each attribute, it is encountered that the data values of various features vary significantly. In ML techniques, extra dimensions have a significant impact on the forecast performance, so the data are instructed to be standardized before training. However, several methods, including Standardscaler, Z-score standardization and Min-max standardization [25], [26]. The proposed approach employs the Standardscaler method to perform this operation. The mathematical form of standardization is represented in Equation (1) [27].

$$Standardization\ x = (x - \mu)/\sigma \tag{1}$$

Where σ is standard division, μ is mean.

III.3 SPLITTING DATASET

In this step, the data is separated into two parts: the training subset and the testing subset. In the proposed approach, 70% of the data is training data, and the rest is testing data.

III.4 MACHINE LEARNING TECHNIQUES

First, The ML methodologies presented in this analysis for power predictions are based on prediction and regression approaches. Regression approaches comprehend the association between features or independent variables and an output or dependent variable. Results can then be forecasted once the association among dependent and independent variables has been assessed. Regression in statistics recreates a central role in predicting representatives in ML. It is employed as a method to forecast real-valued developments in Forecasting modeling outcomes from data. The proposed approach employs various ML techniques, Including RFR, LR, KNN, DT, SVR, ANN, and 1DCNN.

III.4.1 Linear Regression (LR)

An LR possesses the labeled data (supervised ML), which creates the association among dependent and independent variables operating straightforward scientific equations and thereby estimates the line of lowest hesitancy or the best-fit line. This line can be utilized to estimate PV-power predictions utilizing curve or graph analysis. LR is higher than most of the alternative ML techniques as it is more straightforward to implement and includes fundamental computational and mathematical theory. It implicates modeling a Linear function to the provided data points of output variable(y) and input variable(x) whose slope is (n) and error is (er). This line is enforced by decreasing the sum of squared discrepancies among absolute values comprehended in the Equations (2) with (3) and Figure 2 [28].

$$y = n_x + v + e \tag{2}$$

$$y = n_1 x + n_2 x \ldots\ldots n_k e + v + e \tag{3}$$

Where, v is the bias term composed on the y-axis for several datasets with slopes $n_1, n_2 \ldots n_k$.

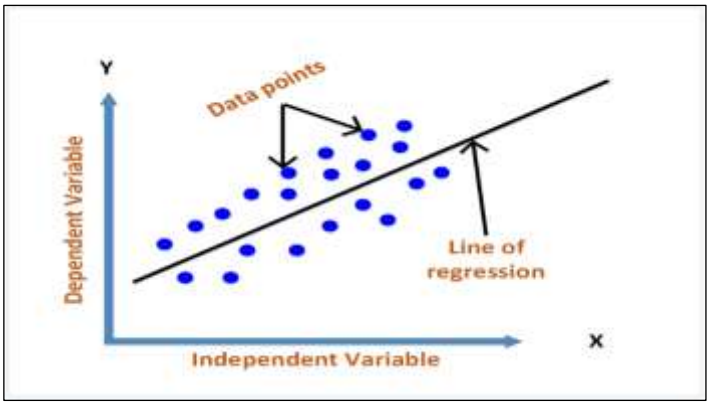


Figure 2: Illustration of best-fit line regression.
Source: Authors, (2025).

III.4.2 Decision Tree (DT)

DT technique belongs to the supervised ML. It is mainly selected to solve regression and classification issues. It contains of internal nodes describing the configurations of the branches and data, describing the finding delivered by the technique, and individually Leaf Node (LN) defining a result [29]. There are two nodes: Decision Node (DN), which operates to create a decision and has different branches, and the LN, which creates DNs and has no branches. Root Node (RN) is a initial attribute that additionally extends to different branches, creating a tree-like configuration. DT forks the tree into sub-trees on the basis of the answer to the question. The DT schematic diagram is presented in Figure 3, and the terminologies are presented in Table 2 [30].

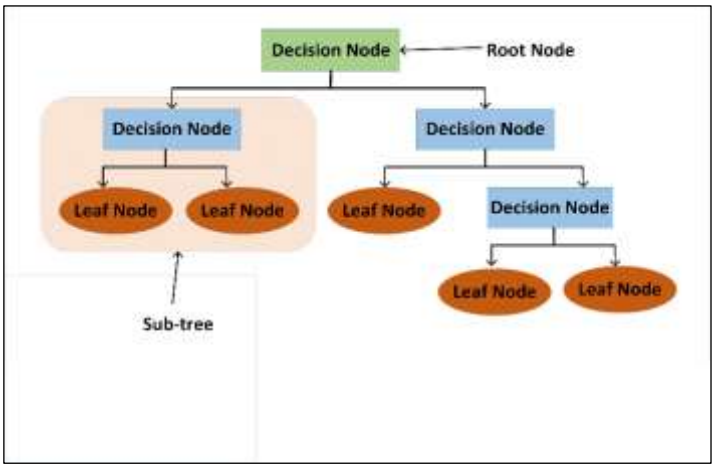


Figure 3: DT schematic diagram.
Source: Authors, (2025).

Table 2: The DT terminologies.

Terminology	Description
Root Node	The beginning portion of the DT is where the whole data begins to separate further into multiple potential homogeneous sets.
Leaf Node	It is the final result node, and no additional splitting of trees is likely.
Splitting	The process involves separating the main node additional, under the supplied conditions, into sub-nodes.
Sub Tree	It is a sub-tree produced by dividing up a hierarchy, resulting in a branch.
Pruning	It involves eliminating superfluous branches to obtain optimal outcomes. It really minimizes the size of the tree without hindering its performance. There are two kinds: error reduction and cost complexity trimming.
Child and Parent node	The parent node is the boot node, where the remaining nodes are called child nodes.

Source: Authors, (2022).

III.4.3 Random Forest Regression (RFR)

The RFR models are a group of forecasting trees, where multiple trees form a "forest" that can be utilized to split data components. A forecasting tree is a non-linear technique for formulation complicated data in which Predictor variables are partitioned into optimal separations until they reach partitions, permitting the homogeneous sub-nodes [31]. RFR is an ensemble representative. It improves predictive likelihood by integrating models. The prediction technique of RFR executes a best representative through a regression tree, as displayed in Figure 4 [32].

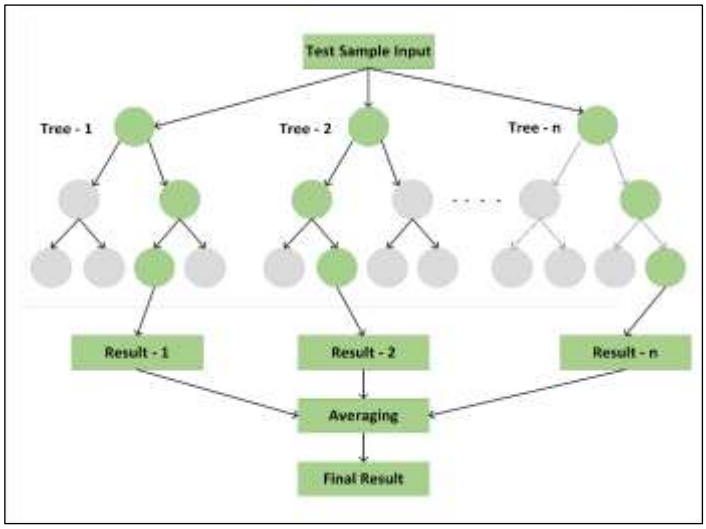


Figure 4: Schematic illustration of RFR.
Source: Authors, (2025).

The technique utilizing a regression tree is named bagging. It is applied to construct a tree-1 from the dataset, and then data are resampled and extracted from entire data. Tree-2, tree-3, and tree-n are then produced using the previous strategy. A forecast is generated using the number of average trees. The RFR technique is commonly employed in numerical forecast analysis. The performance of the RFR technique will be powerful because it emanates the prediction by pulling the representative typical significances on average utilizing the outcomes received via multiple DT.

III.4.4 Support Vector Regression (SVR)

SVR technique belongs to the supervised ML. It is Vapnik presented the idea of the SVR. The technique was initially developed for binary class and improved for forecasting numerical values, which is called SVR. The technique maps training dataset into a predefined characteristic feature space to emanate a model for quantitative or qualitative predictions via fitting a regression function. SVR allows the forecasts of numerical target values. It is built from training data x and label vector including the characteristic value y the of individually training data point. It represents a regression function of form $f(x) =< h.x > +c$ where, where $< h.x >$ is a scalar product, c is bias, and h is weight vector and attempts to map training data as near as likely to the numerical label, displayed in Figure 5. Determinate mathematical derivation from specific values is accepted by the ε-insensitive tube, where errors bigger than ε are punished. Therefore, ε represents the limitations for discrepancies among real and predicted values of training samples [33], [34].

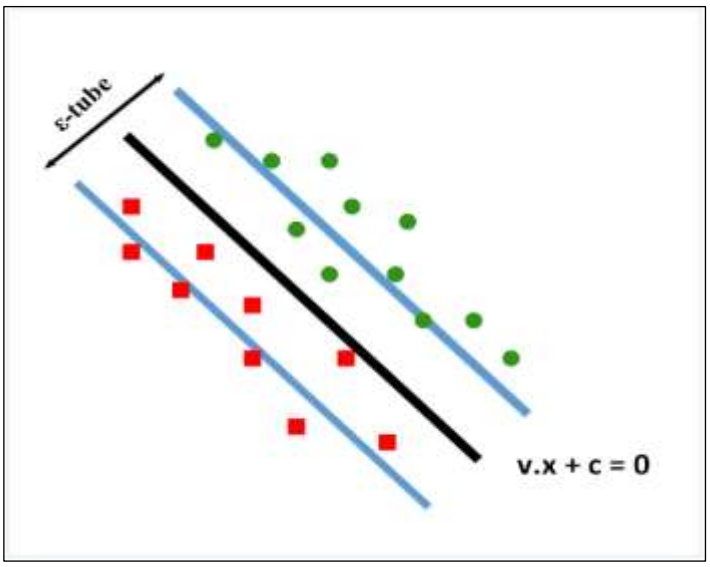


Figure 5: Schematic illustration of SVR.
Source: Authors, (2025).

The “kernel” plays an essential role in the SVR technique. Suppose LR is not achievable in an input space X. In that issue, the kernel is involved in mapping the training dataset into a transformed space, H, in which linearly separable structure possibility be feasible. Therefore, instead, the scalar product is substituted by a kernel function K(.,.). The proposed approach employs the Radial Basis Function (RBF) kernel, which can be presented in Equation (4).

$$K_{RBF}(v.u) = exp(-\gamma\|v-u\|^2) \tag{4}$$

Where, γ is hyper-parameter, and $v.u$ are two vectors.

III.4.5 Gradient Boosting Regression (GBR)

The GB is a DT-based ensemble ML technique for classification and regression problems [35]. The GB technique training methodology is similar to that of the RFR technique. However, RFR trains independently for each DT, while GBRs train DTs one at a time. By fitting individual trees in the arrangement to the residuals of the earlier tree, each subsequent tree is permitted to concentrate on the earlier tree’s missteps: fit a DT to the data $F_1(x) = y$, then the next DT was trained to the prediction errors of the earlier $G_1(x) = y - F_1(x)$, add this new tree to the algorithm $F_2(x) = f_1(x) + G_1(x)$, fit the next DT to the residuals of $F_2G_2(x) = y - F_2(x)$, Add this new tree to our algorithm $F_3(x) = F_2(x) + G_2(x)$, and continue this strategy until some mechanism informs to stop. The final representative here is a stage wise additive representative of b separate trees, as presented in Equation (5) [36]:

$$F(x) = \sum_{b=1}^{B} F^b(x) \tag{5}$$

III.4.6 K-Nearest Neighbor (KNN)

KNN is an effective, simple, and powerful nonlinear regression technique. The fundamental concept of KNN is to forecast a value to a provided input instance using a fixed number (k) of its nearest neighbors uncovered from the training instances. The k's value possesses the adaptability of the KNN technique. KNN does not need a clearly defined training phase besides the initial dataset, which describe an individual's possessions. The idea of the KNN representative can be formally described as follows.

Let $D = \{x_j, y_j\}_{j=1}^{M}$ be a training data with M instances, where $x_j = \{x_1^j, x_2^j, \dots \dots x_n^j\} \in R^n$ is an input instance J from n-dimensional feature space, and its output value is $y_j \in Y$, where $Y = \{y_1, y_2, \dots \dots \dots . y_m\}$represents the output values set. For a provided new data instance X, the objective is to comprehend the predictor function f(x) from the training data such that $\hat{y} \approx f(x)$, where $\hat{y}$ is the assessed value for the output y of X. The KNN begins by estimating the distance (T) among test instance X and each instance x_j in D. In this case, the distance of Euclidean is the most generally assumed distance metric, and its formulation for the distance among $X = \{x_1, x_2, \dots \dots \dots . x_n\}$ and X_j is presented by Equation (6) [37].

$$t(X, X_j) = \sqrt{\sum_{j=1}^{n} (x_j - x_j^i)^2} \tag{6}$$

Next, the set of K, $M_X^k = \{(X_j, y_j)\}_{j=1}^{k}$, is uncovered from the reordered training instances in T according to the boosting distances of Euclidean. Ultimately, the forecasting value y for is calculated by carrying the arithmetic of the forecasting values mean $\{y_1, y_2, \dots \dots \dots . y_m\}$ of the nearest neighbors as Equation (7):

$$\hat{y} = \frac{\sum_{j=1}^{k} y_j}{j} \tag{7}$$

This is using the assumption that training instances in the M_X^k have matching forecasting values to f(x), and all nearest neighbors in the M_X^k have equivalent significance in the prediction.

III.4.7 Artificial Neural Network (ANN)

An ANN is a data preparation technique built upon biological neuron approaches, such as the brain. Its objective is to employ internal estimations to calculate output values from input inputs. One commonly operated mathematical modeling mechanism is ANN. It is widely for forecasting and predicting values in complicated issues. Typically, it functions like human brain activity. Here, Hidden Layers (HLs) with neurons are current between the Input Layer (IL) and Output Layer (OL). The weights or coefficients with which each neuron is connected to the individual of its neighbors select the proportionate influence of different neuron inputs on other neurons. The number of HLs and hidden node selection are typical issues in ANN configuration. Development trial runs and hits are utilized to select appropriate values.

The number of HLs available is not known beforehand. Using a larger number of HLs outcomes in noise, which is generated by over parameterization. It generates inferior generalizations of the untrained dataset and requires n high amount of training time. Among multifarious network kinds of ANNs, in this analysis, we use Multi-Layer Perceptron (MLP) to forecast the power values of PV parameters. In this analysis, we use MLP to predict the power values of PV parameters throughout several network kinds of ANNs. In this kind, the data transmission is unidirectional. Here, the outputs of the HL are sequentially served as the inputs of the output neurons, where they proceed via additional changes. This MLP has various applications in different fields. For MLP, each $j$node of L hidden layer reserves by encountering the effects of the weight $v_{j,i}$ of x_j input (i.e., the node's output i in $L-1$ layer). The node's output is calculated as a function of the sum, as a formula in Equation (8) [38].

$$net_i^{(L)} = \sum_{j=1}^{m} v_{ji}^{(L-1)} x_j^{(L-1)} + c_i^{(L)} \; and \; x_i^{(L)} = f\left(net_i^{(L)}\right) = \frac{1}{1 + e^{-net_i^L}} \tag{8}$$

Where $net_i^{(L)}$ denotes the activation of the i^{th} node in layer L, n denotes the number of nodes in $L-1$ layer and $c_i^{(L)}$ is the bias or offset; $v_{ji}^{(L-1)}$ denotes the connection weight between node i Layer L and node j in layer $L-1$. f is the purelin activation function employed in this analysis. Figure 6 show the architecture of proposed ANN model.

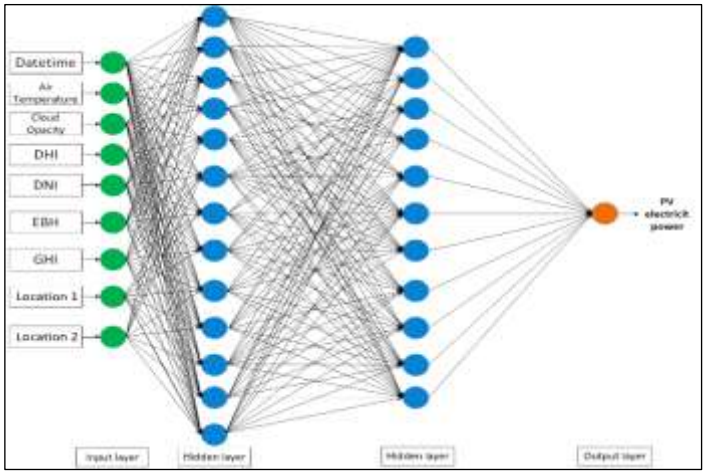


Figure 6: The architecture of the proposed ANN model.
Source: Authors, (2022).

III.4.8 One Dimension Convolutional Neural Network (1DCNN)

A CNN is a DL network that can understand high-level features from input features. A CNN is conceptually similar to an MLP, where each neuron maintains an activation function that cracks the weighted inputs into the outputs. 1DCNN is a modified understanding of CNN developed for processing one-dimensional data. Moreover, 1DCNNs use 1D convolutional filters to extract features from the dataset. 1DCNNs also have rarer parameters than 2DCNNs, which makes them more computationally efficient. A proposed 1DCNN is generally comprised of one IL, one Convolution Layer (CL), one Pooling Layer (PL), one Fully Connected Layer (FCL), and several dense layers [39]. Figure 7 and Table 3 shows the architecture of the proposed 1DCNN model.

Table 3: The architecture of the proposed 1DCNN model.

Layer	Description
IL	IL carries in the input data, which could be a series of numerical data (nine attributes).
CL	CL is a core part of a 1DCNN, which involves a several filters to the input data to generate significant characteristics. we set filters=64, padding='same', strides=1, kernel size=3, and the activation function= Relu.
PL	PL minimize the feature map dimension, reducing the data into a unified representation. It assists in decreasing the computational complication of the network and constructs it more vital to small contrasts in the input data. we set strides=1 and pool size=2.
FCL and dense layers	These layers construct the final layer in a 1DCNN. It carries the efficient model created by the earlier layers and involves a set of fully connected weights to create the final output.

Source: Authors, (2025).

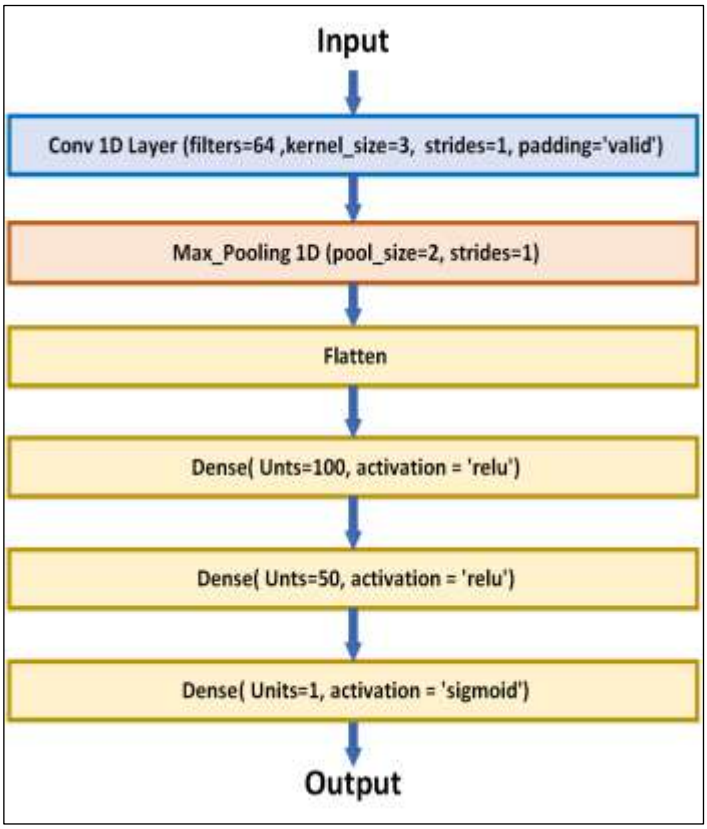


Figure 7: The architecture of the presented 1DCNN model.
Source: Authors, (2025).

During the training process for PV power prediction, 50 epochs were assigned, the batch size was selected to 32, and the optimization function was "ADAM".

III.5 EVALUATION METRICS

In this analysis, several statistical criteria were used to evaluate the ML and DL performance of techniques, including MSE, determination coefficient (R2 score), MAE, and RMSE. Table 4 shows mathematical equations for performance metrics [40].

Table 4: Mathematical equations for performance metrics.

Evaluation metrics and their equations	Parameters' definitions
$MAE = \sum_{j=1}^{m} \frac{y_{j,exp} - y_{j,pred}}{m}$	

$R^2 = \frac{\sum_{j=1}^{m}(y_{j,exp} - y_{j,pred})^2}{\sum_{j=1}^{m}\left(y_{j,exp} - \left(\frac{1}{m}\sum_{j=1}^{m} y_{j,exp}\right)\right)^2}$	m= describes the entire number of data values. $y_{j,exp}$=describes the actual value. $y_{j,pred}$=describes predicted value
$RMSE = \sqrt{\frac{1}{m}\sum_{j=1}^{m}(y_{j,exp} - y_{j,pred})^2}$	
$MSE = \frac{1}{m}\sum_{j=1}^{m}(y_{j,exp} - y_{j,pred})^2$	

Source: Authors, (2025).

IV. RESULTS AND DISCUSSION

The MSE and R² of the models were used for their evaluation. These scores help us understand the validity of our predictions. The optimal mean squared error (MSE) across all positions was obtained in Dataset1 and was 0.0857, 0.0441, 0.0703, which came from 1DCNN model, that is, it performed most favorably as shown in Table 5 ANN was the best performing followed by RFR and GBR. In contrast, we found that LR and DT had the worst MSE, meaning that they were the least accurate. ANN gave the lowest MSE (0.1384) in Dataset2, followed by 1DCNN with an MSE of 0.1485. RFR and GBR showed good performance with lower MSE, while DT reported highest MSE (0.3102) indicating high prediction errors as shown in Table 6.

Regarding the R² scores, which quantifying the variance of the data that is accounted for by the model, the best model was 1DCNN (0.91, 0.95, 0.93) and ANN (0.90, 0.95, 0.92) for Dataset1. RFR and GBR received also good results, while LR and DT obtained low scores. For Dataset2, both ANN (0.87) 1DCNN (0.86) were the best performing models, followed by RFR (0.85) and GBR (0.84). The weakest was the decision tree with R² such as 0.71, which was the worst performance. In the general case, 1DCNN and ANN models were best for both datasets, although RFR and GBR also emerged as good alternatives. The underlying patterns in the data were difficult to be modeled by DT and LR.

Table 5: Results of proposed models for Dataset1.

Model	Pos1				Pos2				Pos3			
	MAE	MSE	RMSE	R2	MAE	MSE	RMSE	R2	MAE	MSE	RMSE	R2
RFR	0.1462	0.1045	0.3233	0.89	0.0984	0.0497	0.2230	0.95	0.1201	0.0748	0.2736	0.92
LR	0.2811	0.2169	0.4657	0.78	0.1669	0.0742	0.2724	0.92	0.2241	0.1211	0.3481	0.88
DT	0.1919	0.2041	0.4518	0.79	0.1470	0.1175	0.3429	0.88	0.1630	0.1437	0.3791	0.86
GBR	0.1785	0.1227	0.3503	0.87	0.1088	0.0491	0.2217	0.95	0.1322	0.0745	0.2729	0.92
SVR	0.1807	0.1397	0.3738	0.86	0.1170	0.0496	0.2227	0.95	0.1361	0.0754	0.2746	0.92
KNN	0.1685	0.1380	0.3715	0.86	0.1155	0.0573	0.2394	0.94	0.1419	0.0873	0.2954	0.91
ANN	0.1666	0.0934	0.3057	0.90	0.1156	0.0497	0.2231	0.95	0.1379	0.0747	0.2733	0.92
1DCNN	0.1388	0.0857	0.2928	0.91	0.1030	0.0441	0.2100	0.95	0.1244	0.0703	0.2652	0.93

Source: Authors, (2025).

Table 6: Results of proposed models for Dataset2.

Model	MAE	MSE	RMSE	R2
RFR	0.2068	0.1619	0.4024	0.85
LR	0.3127	0.2363	0.4861	0.78
DT	0.2683	0.3102	0.5569	0.71
GBR	0.2248	0.1677	0.4096	0.84
SVR	0.2273	0.1719	0.4146	0.84
KNN	0.2260	0.1859	0.4312	0.82
ANN	0.2088	0.1384	0.3728	0.87
1DCNN	0.2104	0.1485	0.3853	0.86

Source: Authors, (2025).

Table 7 shows a comparison with earlier studies e.g., Zhou et al. [13] and Zhao et al. [15], the developed models in this research—especially 1DCNN, ANN, RF and GB—performed competitively or outperformed previously reported R², which varies from 0.91 to 0.95. This indicates that our framework does not only equal but, in many cases, even surpasses the performance of the state-of-the-art models such as SDA-GA-ELM, PSO-LSTM, and Indicator-AML methods. Summary This discussion suggests that DL models such as 1DCNN and ensemble methods such as GBR and RFR are robust and efficient for the PV power prediction in diverse conditions. Their better results in the two datasets indicate their application prospect on practical solar forecasting systems. However, simple models like LR and DT are interpretable and fast but often not precise and flexible enough to achieve high-accuracy energy forecasting in complex environments. The proposed models thus offer a scalable and accurate means for contemporary PV power prediction work.

Table 7: Comparison with earlier studies.

Reference	Year	Technique	R^2
Yi Zhou et al. [13]	2020	SDA-GA-ELM	0.9225
		SDA-ELM	0.8940
		SDA-BPNN	0.7909
		SDA-SVM	0.9166
		ELM	0.8465
		BPNN	0.8172
		SVM	0.8971
		Persistence	0.7922
Wei Zhao et al. [15]	2021	Indicator-AML	0.948
		DT	0.853
		LR K-Neighbors	0.856
		Regression	0.699
		RF	0.932
		Ada-Boost	0.821
		GB	0.939
		Bagging	0.931
		PSO-LSTM	0.922
		PSO-BI-LSTM	0.923
		PSO-SVR	0.933
Proposed approach	2025	RFR	0.95
		LR	0.92
		DT	0.88
		GBR	0.95
		SVR	0.95
		KNN	0.94
		ANN	0.95
		1DCNN	0.95

Source: Authors, (2025).

V. CONCLUSIONS

This research assessed and compared performance of various ML and DL models i.e. RFR, LR, DT, GBR, SVR, KNN, ANN and 1DCNN for PV power output prediction based two real-life datasets of multiple locations. Our findings indicate that for all three types of advanced models, namely 1DCNN, ANN, RFR, and GBR, the predictive performance was significantly better than that for traditional models such as LR and DT. These sophisticated models exhibited the lower prediction errors (MSE, RMSE, MAE) and higher R^2 values to demonstrate better predictive accuracy and robustness. The 1DCNN and ANN models in particular, had robust generalizability between spatial and regional datasets, which was well-suited to the wide spectrum of operationalization. In the future, we give priority to DL models such as 1DCNN and ANN on PV forecasting. Ensemble methods, most notably RFR and GBR, are also good contenders. Hybrid methods, real-time data integration and explainable AI, cross regional validation are also suggested to make it more accurate, reliable, and transparent in solar energy forecasting.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil
Methodology: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil.
Investigation: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil.
Discussion of results: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil.
Writing – Original Draft: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil.
Writing – Review and Editing: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil.
Resources: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil.
Supervision: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil.
Approval of the final text: Aythem Khairi Kareem, Ahmed Adil Nafea, Manar Thayer Mansour, Nasrin Nadher Jamil.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.99-108. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2704

RESEARCH ARTICLE OPEN ACCESS

DESIGN AND IMPLEMENTATION OF A LOCALIZED MONITORING FOR GEL-TYPE BATTERY WITH FAULT DETECTION AND IDENTIFICATION

Chito A. Petilla[1] and Edward M. Querikiol[2]

[1]School of Engineering, University of San Carlos, Cebu 6000, Philippines
[2]Electronics Engineering Department, College of Engineering, Eastern Visayas State University, Tacloban City 6500, Philippines

[1]https://orcid.org/0009-0006-5533-013X, [3]https://orcid.org/0000-0001-6448-9894

E-mail: chito.petilla@evsu.edu.ph, emquerikiol@usc.edu.ph

ARTICLE INFO

Article History
Received: September 15, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
localized battery monitoring systems,
gel-type battery,
fault detection and identification,
renewable energy systems,
smart monitoring systems.

ABSTRACT

The reliable operation of solar photovoltaic (PV) systems is critically dependent on the performance and stability of their battery storage components, which remain among the most failure-prone and technically challenging elements to manage. Effective battery monitoring is essential, yet traditional manual inspection methods are impractical due to the heterogeneous electrical characteristics of individual batteries, the variability of operating conditions, and the large number of units within a typical installation. These limitations often lead to inefficiencies in maintenance practices, unexpected system downtime, and a shortened overall battery lifespan. This study addresses these challenges through the design and implementation of a localized, real-time monitoring system specifically developed for Gel-type batteries in solar PV applications. In addition to monitoring, the system incorporates advanced fault detection and identification algorithms, enabling predictive maintenance by issuing timely notifications of emerging faults. Such functionality enhances diagnostic accuracy, supports informed decision-making, and allows for rapid mitigation strategies. The results of this work demonstrate that integrating real-time monitoring with automated fault diagnostics significantly reduces operational and maintenance costs while simultaneously enhancing system efficiency and reliability. Furthermore, the proactive management enabled by this approach extends battery service life and contributes to improved safety and resilience of solar PV infrastructure.

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I. INTRODUCTION

Storage and controller systems are the backbone of today's renewable energy configurations. Innovations on these systems have developed the overall environment of sustainable energy generation requirement into enhanced functionality and increased safety operation of the whole set-up. With most of the recent applications, devices and systems being dependent on battery energy storage support, there is an urgent need to explore more ways to enhance and improve the current technological implementation where energy sustainability dependence is crucial. The need to improve the implementation and operation of real-time monitoring systems is crucial to mitigate possible problems. As technology advances in real-time monitoring systems applications, and with the integration of fault detection and notification systems, photovoltaic systems and installations have seen an overwhelming progress on systems' efficiency, operational safety and improved reliability with an optimized management and processes.

Fault and error detection and identification systems with notifications have shown to improve data interpretation and analysis, streamline administration, optimize troubleshooting strategies and decrease intervention and manual monitoring processes [1]. As these systems are integrated, they play a very important role in system optimization through enhanced predictive troubleshooting and maintenance strategies and fault and anomaly mitigation. Lead-acid batteries are the preferred storage solutions for renewable energy because of their low cost, high stability, less explosive in nature and mature regeneration technology [2]. Among the available lead-acid batteries, GEL-type has been identified to be the best suited for storing energy from renewable systems because of its physical

characteristics of having the highest number of life cycles [3]. Battery health monitoring systems have been implemented to improve the performance and efficiency of battery storage systems which is vital and critical to ensure the long and healthy life of battery storage.

I.2 LITERATURE REVIEW

According to Ansari et al. [4], due to various factors and environmental conditions having significant impact on the operation and functionality of solar photovoltaic systems, employing an efficient monitoring system can improve its accuracy and performance. Real-time monitoring of battery status using various tools and devices such as power sensors and temperature sensors to detect the battery needs to be addressed so as to extend the life of the battery through advanced error detection and improved battery maintenance. Secondary battery protection has become a new focus on improving the reliability and safety of battery systems as more commercial products and large-scale energy management systems have relied on rechargeable batteries [5]. Multiple methods of monitoring had been developed in improving the management and control of a system. Real-time monitoring has been integrated into several applications and systems such as health [6],[7], agriculture [8], [9], weather [10],[11] among others.

A study by Rani et al. in [12] proposed a monitoring and control system for green house implementation. In the study, micro-climactic parameters are effectively monitored to achieve optimal plant growth in diverse conditions. For the monitoring functionality, multiple node sensors are deployed that collect real-time information on these parameters for a comprehensive and accurate data collection. In optimizing the plant growth potential, collected data are analyze so that the system can regulate and maintain favorable growing conditions for the plants. Through real-time monitoring and system management, energy systems' efficiency and reliability are maximized. According to the study of Sumarmad et al. in [13], a monitoring and energy management system was developed for microgrids to smart homes using fuzzy logic. In their proposal, using real-time data analysis, an improved load management and performance and monitoring system was developed for interconnected distributed generators in the microgrid system. A method of energy management was implemented by equally distributing available electricity to the individual user through balanced demand and consumption.

In a similar study by Mutlag et al. in [14] for microgrids systems, the proponents developed a maximum power tracking algorithm that monitors energy for power management and voltage regulation in a solar photovoltaic system. Through the monitoring functionality of real-time data such as temperature and solar radiation, battery charging and discharging processes are controlled. Likewise, through the monitoring of the battery's state of charge, the bidirectional boost converter connected to photovoltaic panels is controlled. As one of the most important and efficient ways of supporting the needs for sustainable energy, energy storage batteries are considered to be the forefront component to complement said technologies. The study of Rakhimov et al. in [15] differentiated the most common type of battery solutions that are commonly used as energy storage devices. These are the a) lithium-ion batteries, 2) lead-acid batteries, 3) flow batteries and 4) sodium-ion batteries. The first two types of batteries are favored for renewable energy storage because of their electrical and physical characteristics.

Lithium-ion batteries have high density and which gives them the advantage to be used on portable and mobile systems while in comparison, the lead-acid type batteries offer robust and cost-effective solutions. Lead-acid batteries had been the preferred option as energy storage systems particularly in solar power systems, especially in homes and small businesses, due to their availability, low-cost installation and maintenance and improving research development in manufacturing this type of batteries [16]. Batteries have gained significant importance in storage systems with a projected expansion of 14.1% in the global battery market between 2020 and 2027. Lead-acid batteries have the maximum share of 29% of the total battery market volume primarily because of its low operational and maintenance cost and high energy capacity [17]. A study by Olarte et al. in [18] designed a battery management system with electrochemical impedance spectroscopy in monitoring lead-acid battery performance. It was designed to monitor temperature, voltage and impedance spectra of a battery using an improved algorithm that can monitor state of health and state of charge of lead-acid battery.

A similar study by Olarte et al. in [19] performed an experimental analysis that provided an important battery health diagnostic tools for predictive maintenance operation. According to this study, monitoring the health status of a battery storage system can significantly reduce the number of service failures while maximizing its life expectancy. With the study of Tao et al. in [20], it presented a different parameter in measuring the efficiency of a battery system. It identified the irreversible sulfation as a major problem that restricts the safe and efficient operation of a battery system. The study introduced a proactive maintenance strategy based on the capacitive nature of sulfation that helped determine the resonant frequency of sulfation on the battery. According to Wen et al. in [21], battery ageing is accelerated when the battery storage system experiences harsh conditions such as high temperature, high rate of charging and discharging and high overcharge time. These conditions can exponentially degrade the battery performance. Another study by Aprillia et al. in [22] presented a passive voltage balancer for rechargeable lead-acid batteries.

In their design, battery voltage balance level is managed such that energy storage is improved and rechargeable batteries are fully utilized. Through the battery voltage detection and power dissipation circuits, battery electrical parameters were displayed for monitoring. A separate study by Syafii et al. in [23] designed a battery state of charge monitoring and control system that accurately predicts the state of charge of the battery to extend the lifespan of the battery. Based on coulomb counting method, the algorithm calculates the incoming and outgoing current thus providing a reliable estimation of state of charge of the battery. With the addition of fault and error detection and identification functionality, an improved and optimized renewable energy system can be achieved. Because of this added functionality, predictive maintenance results in enhanced management and proactive troubleshooting strategies which eliminates system downtime occurrences. Mellit et al. [24] have identified three methods in identifying and detecting faults and errors in the system.

These methods include the manual process, semi-automatic method and the automatic method. The third method was identified to be more efficient as this method uses node sensors as data loggers which collects information through its monitoring systems and has the capability of fault detection and identification that automatically checks its system performance. As fault and anomaly detection and identification are integrated into the system, it has shown to have reduced operational and maintenance costs [25]. With a more optimized system, it has greatly reduced process and system downtime, avoided unidentified and unknown system issues and greatly minimized operational hazards and risks. For an improved and optimized maintenance and troubleshooting strategies and techniques, collection of up-to-date and current data on the situation of systems being monitored is very crucial in determining its system performance and

reliability. With systems and applications that are prone to critical and dangerous situations, an early and accurate fault detection and identification system is very crucial. Examples of such systems are the battery backup storage systems. As batteries' chemical composition is very unpredictable, it is prone to failure which can quickly turn into a dangerous situation and worst a potential disaster if not immediately corrected. The safety of the system and its users are of utmost importance, thus a precise detection and identification of faults and errors have a great effect on the system's continuous and safe operation [26]. Analyzation of real-time battery parameters is essential in order to have an early warning capability that can isolate battery failures at an instant. Most of the available fault detection and identification functionality are integrated into battery monitoring systems for electric vehicles lithium-ion batteries. On the study of Kosuru et al. in [27], a deep learning based sensor fault detection was designed for a smart battery management system for electric vehicles. In the proposal, based on incipient bat-optimized deep residual network (IB-DRN) was developed for a false battery data detection and classification system.

With this method, it was shown that the safety and reliability of the battery management system was improved. A similar study on electric vehicle lithium-ion batteries was proposed by Cong et al. in [28]. In the study, a signal-based fault diagnosis method was developed in determining faults based on voltage signals inside the individual battery cells. This method was validated to be capable of early detection of anomaly, reduction of false alarms and identification of anomalous performance of the battery. Another study was proposed through internal short-circuit fault detection for lithium-ion batteries of electric vehicles. As presented by Zhang et al. in [29], thermal runaway has been a major problem with lithium-ion batteries and internal short-circuit was identified to be one of the major causes of it. For the safety enhancement of the electric vehicle through the reduction of thermal runway incidents, an early short-circuit fault detection method was introduced using a temporal convolutional network. The proposal demonstrated a detection of a maximum of 25 hours earlier detection of possible fault occurrence. With these monitoring and diagnostic capabilities for battery management, it ensures an accurate report on battery health conditions that increases life-expectancy of these batteries. This study is intended to design and implement a localized monitoring for gel-type batteries implemented into a contemporary stand-alone off-grid solar charge controller system. Fault detection and identification is integrated into the functionality.

II. THEORETICAL REFERENCE

The research is to design and implement a localized monitoring system for the health status of Gel-type batteries used in a contemporary solar charge controller system. Fault detection and identification functionalities are included in the scope of the study. The overall system is designed to operate continuously while logging all pertinent data and operation locally into a writable storage. Node sensors collect all battery electrical parameters and microcontroller processes this information then stores into a local storage device.

II.1 FRAMEWORK

Input-process-output is the model used as the framework of this study as presented in the figure below at Figure 1. The inputs are represented by the battery electrical parameters collected by the node sensors and output are represented by information displayed on the LCD and stored in the SD card. Algorithms performed by the microcontroller as a monitoring process include the fault detection and alarm notification processes. Real time status and analysis of data received from sensors determines the information displayed on the output for proactive maintenance strategy and troubleshooting techniques.

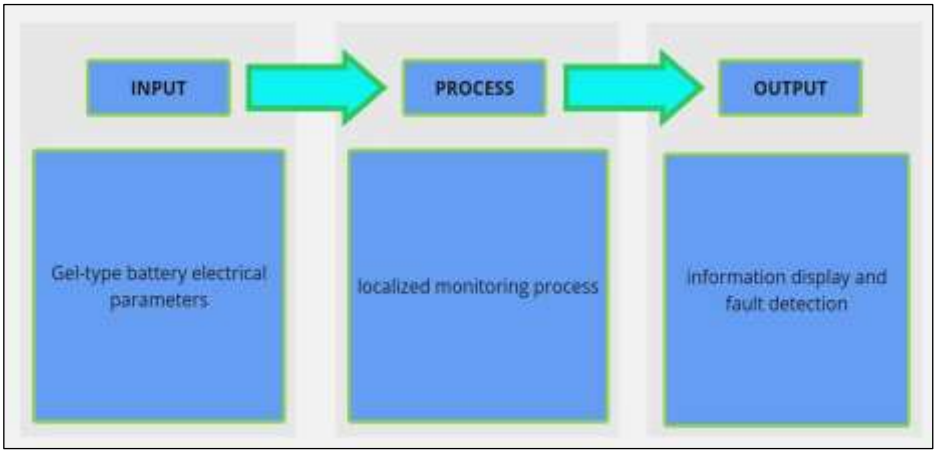


Figure 1: Framework.
Source: Authors, (2025)

II.2 DIAGRAM

The block diagram, shown in Figure 2 below, illustrates the overall structure as a monitoring system for the real-time status of a GEL battery on a solar photovoltaic energy system. Each component serves a specific function in enabling efficient operation, ensuring accurate data interpretation for enhanced monitoring capabilities.

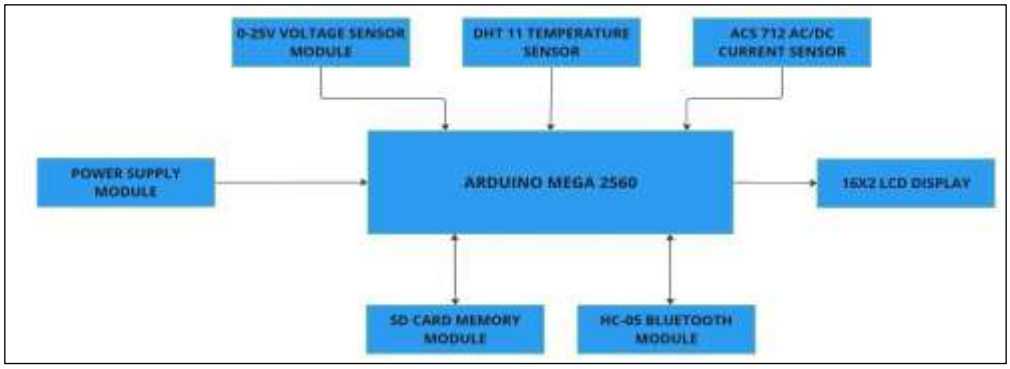


Figure 2: Block Diagram.
Source: Authors, (2025).

A set of node sensors are used in collecting battery electrical parameters such as voltage, current and temperature. The Arduino Mega serves as the brain of the system and the one responsible for analyzing and interpreting data received from node sensors. SD card module serves as data storage for received and analyzed data while Bluetooth module is used for data extraction from the SD card module into a PC laptop for a more enhanced data processing and analysis. Sensor data readings from battery voltage, battery temperature and battery charging and discharging currents are continuously recorded and sent to the microcontroller every minute for data processing and interpretation.

III. MATERIALS AND METHODS

III.1 CONTEMPORARY SOLAR CHARGE CONTROLLER SYSTEM

Composing the solar photovoltaic solar charge controller system are 2 parallel connected 100W 18V solar panels connected to a 40A MPPT solar charge controller with a combination of parallel connected 12V 150Ah Gel-type battery as energy storage. Figure 3 below shows the actual set up of the solar photovoltaic system. The actual installation location of the system is presented in the Figure 4 below showing the generated average daily Direct Normal Irradiation (DNI) of 3.973 kWh/m2/day and an average of annual DNI of 1450.2 kWh/m2 using Global Solar Atlas information [30].



Figure 3: Contemporary Solar Charge Controller System.
Source: Authors, (2025)



Figure 4: Global Solar Atlas Information.
Source: Authors, (2025)

III.2 DC LOAD COMPOSITION

To simulate an actual DC load, a 12V wireless antenna (10W) and CCTV (18W) are connected on the load side which will operate 24 hours a day and 7 days a week continuously.



Figure 5: DC Load consisting of Wireless Antenna and CCTV.
Source: Authors, (2025)

III.3 LOCALIZED MONITORING SYSTEM

The localized monitoring system is designed to determine the estimated remaining usable life of a Gel-type battery and locally monitor the health status of the battery through its real-time data displayed into an LCD display. Over the course of time, with the inconsistent decrease of battery state of health happening, future battery degradation is not always like with previous recorded pattern of the battery. It can be said that battery degradation over time is a non-linear pattern. Accurate determination of remaining useful life is important to better understand the approximate time that the battery will reach its end of life to help in proactive maintenance activities. Voltage, current and temperature are the common parameters that are measured to determine the approximate remaining useful life of the battery through its charging and discharging rate, depth of discharge and state of charge.

The monitoring system is composed of the following materials and components:

Arduino Mega 2560 acts as the brain of the system. All algorithms and codes are embedded in their internal memory. It is a microcontroller board based on the Atmel 8-bit low-power CMOS chip on AVR enhanced RISC architecture. A combination of analog and digital I/O ports can be used as an interface to different types of sensors and modules. This microcontroller is selected for its capability to have 4 hardware serial ports (UARTS). 0-25V Voltage Sensor measures voltage across terminals. It is the preferred voltage sensor because of its ability to use the analog input of a microcontroller to monitor voltages much higher than the microcontroller is capable of sensing. For current measurements, the ACS712 AC/DC Current Sensor is utilized. This current sensor uses an internal hall effect sensor that measures the electromagnetic field strength and direction of current flowing inside the internal conductor. This current flow generates a voltage proportional to the current passing through the sensor.

The DHT11 Temperature Sensor module can measure temperature from 0C to 50C with a +-2.0C accuracy. With its sampling rate of 1Hz it can read and provide new reading every 1 second. This module has the DHT11 temperature sensor composed of NTC thermistor and humidity sensing components. The resistance in the NTC thermistor will change with a change of temperature. The NTC refers to Negative Temperature Coefficient which gives a decrease of resistance as temperature rises. The Bluetooth module facilitates wireless communication between the wireless microcontroller stored data on the SD card and a PC laptop for data extraction. Bluetooth communication is a short-range data transmission capable of exchanging data between devices for a maximum distance of 10 meters without obstruction. The Bluetooth module is incorporated with Bluetooth transceiver that enables both data transmission and reception.

For displaying real-time sensor readings, a 16x2 LCD module is used. Alphanumeric characters can be displayed in 2 lines representing the information to be displayed regarding the status of the battery and the operation of the system. Alphanumeric characters and custom characters can be created by activating corresponding pixels. The SD card module is used as data storage for continuous data logging. With this, data can be written or read from a FAT32 formatted SD card. Using the SPI communication interface protocol, data transfer from the microcontroller to the SD card is straightforward.

III.4 FAULT DETECTION AND IDENTIFICATION

With the capability of fault detection, the system can identify the occurrence of fault on the battery storage system which will influence the operation of the load. Information about batteries will be displayed on the LCD screen to notify for an occurrence of a fault. Information on the source of such a fault will also be identified and displayed. For a continuous and safe system operation, fault detection and fault identification play a very important role which optimizes the management and control of a renewable energy system. With the capability of identifying system faults and errors, proactive maintenance is realized through the real-time management decision during occurrences of serious system situations and circumstances, resulting in improved troubleshooting and maintenance strategies. Alert system through fault detection and identification of the localized monitoring system serves as its primary function and an important part of its operation. Four alert levels are presented for proper identification of faults encountered by the system.

These are Critical Level, Error Level, Warning Level and Normal Level. Critical Level alert is identified once lifespan of battery is analyzed to be declining through the calculation of its remaining useful life, Error Level alert is displayed if no data from sensors are received or received value is 0 on any of the sensors, Warning Level alert represents sensors receiving data that are outside of its acceptable range, and Normal Level alert shows that the system is performing at normal operation and displays sensor values only. According to the general specification of GEL battery [31], the ideal operating temperature ranges from 10C and 27C with 25C as the recommended center point. As temperature deviates from its center point, such as high temperatures, there is a significant effect on the service life of the battery. The specific float charging voltage is given as 13.5 to 13.8 volts and absorption charging voltage is 14.1 to 14.4 volts. Based on the specified load of approximately $12V_{DC}$ 30W, the calculated discharge current is between 1A and 3A. Charging current are in the range of 8-11A based on the solar panels provided.

III.5 BATTERY REMAINING USEFUL LIFE

With the calculation of the available battery capacity [32], Columb Counting method is utilized. Estimating the State of Charge (SoC) and State of Health (SoH) of the battery, the remaining battery capacity is achieved. Actual battery capacity is calculated as battery real time State of Health (SoH) multiplied with battery rated capacity (3). Real time SoH (2) is based on the ratio of real-time battery capacity (1) and previously calculated battery capacity. State of Charge calculation is shown in (4).

Real-time Battery Capacity

$$BatteryCapacityRT = BatteryCapacityPR + I(Charging - Discahrging) \quad (1)$$

where:

BatteryCapacityRT = real-time battery capacity (Ah)
BatteryCapacityPR = previously calculated battery capacity (Ah)
I(Charging – Discahrging) = difference of the average charging and discharging current for the past hour (Ah)

Real-time Battery State of Health

$$StateofHealthRT = BatteryCapacityRT / BatteryCapacityPR \quad (2)$$

Actual Battery Capacity

$$BatteryCapacityAC = StateofHealthRT * BatteryCapacityR \quad (3)$$

where:

BatteryCapacityAC = actual battery capacity (Ah)
StateofHealthRT = real-time battery State of Health
BatteryCapacityR = rated battery capacity (Ah)

Real-time State of Charge

$$StateofChargeRT = BatteryCapacityRT / BatteryCapacityR \quad (4)$$

As SoC and SoH declines with time, so as the battery capacity will also decline together with Soc and SoH. Once the algorithm detects that battery capacity has a downward trend within specified time, a Critical Alert is activated.

IV. RESULTS AND DISCUSSIONS

The localized monitoring system was able to continuously monitor GEL type battery electrical parameters through its node sensors. The periodic collection of these parameters was performed by the Arduino microcontroller, where this information is further analyzed and interpreted for decisions regarding the status of the battery's useful life. Processed and interpreted data are then stored into locally available storage for backup and further analyzation and interpretation processing. The code for the Arduino programming was created using the Arduino IDE, shown in Figure 6 below. The syntax for the code follows the algorithm of collecting node sensor values and saving it to SD card. This process is done every minute and the processing of identification of alert level type is determined for displaying on the LCD screen.



Figure 6: Arduino IDE Code Syntax.
Source: Authors, (2025).

As soon as the codes were checked for syntax errors and compilation issues, it was simulated in the proteus simulation environment. The figure below, Figure 7, displays the circuit used in the simulation software. All modules and components were integrated to simulate the output with respect to the input parameters given to node sensors. This simulation process is an integral part in the design as codes are tested before deploying actual devices and components. As the need to update the syntax algorithm, it has made the design process easier and faster.

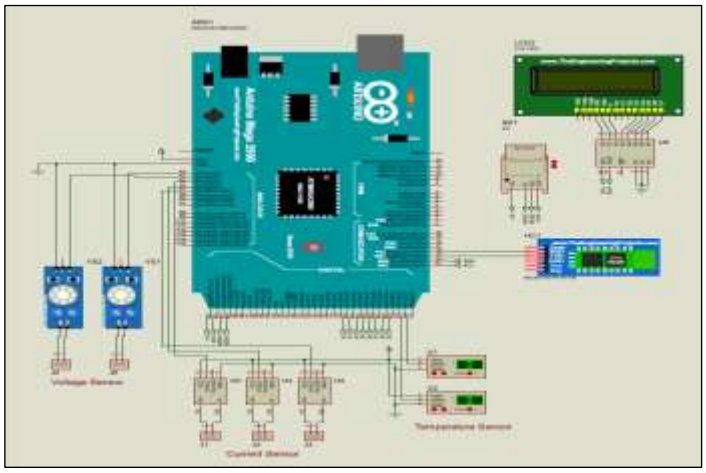


Figure 7: Circuit Simulation.
Source: Authors, (2025)

Once the running codes were verified to work as designed, the assembly of actual parts and components for the hardware system followed. The analog input pins A0-A3 serve as data receiver from node voltage, current and temperature sensors. Digital input pin 17 (Rx) as input to Bluetooth module and digital pin 16 (Tx) as output to Bluetooth module. Figure 8 below shows the actual interconnection of the different parts and components of the system.

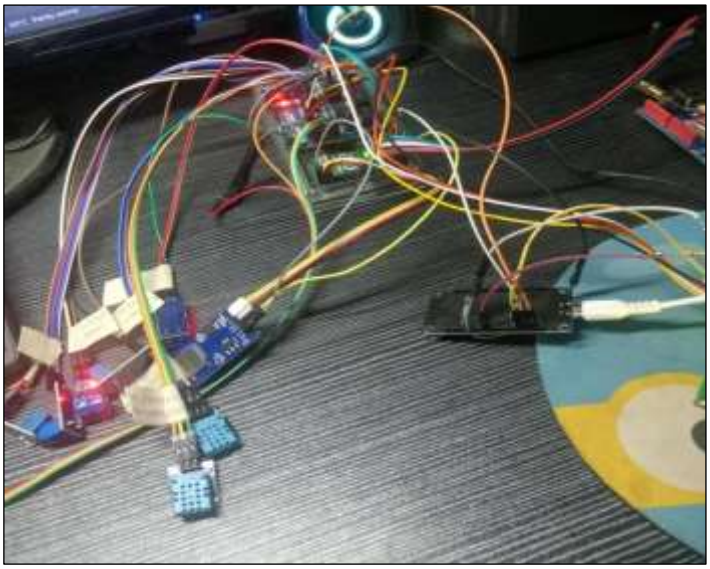


Figure 8: Hardware System.
Source: Authors, (2025)

Output of the logic process of the microcontroller based on the received data from node sensors are displayed into the LCD display. Displayed are the alert status level of the monitoring system based on the result of data analyzation and processing. As discussed, alert status level can be either Critical Level, Error Level, Warning Level or Normal Level, as displayed in the Figures below.



Figure 9.a: LCD Normal Display Output.
Source: Authors, (2025).



Figure 9.b: LCD Error Display Output.
Source: Authors, (2025).

Data collected by the microcontroller is saved on the SD card module for storage as a backup in case there is a need for further processing and analyzation. If more complex understanding of the recorded data is required, it can be extracted into a PC or laptop device through the Bluetooth module. Figure 10 below shows the entries of data that are saved into the *data.csv* file into the SD card.

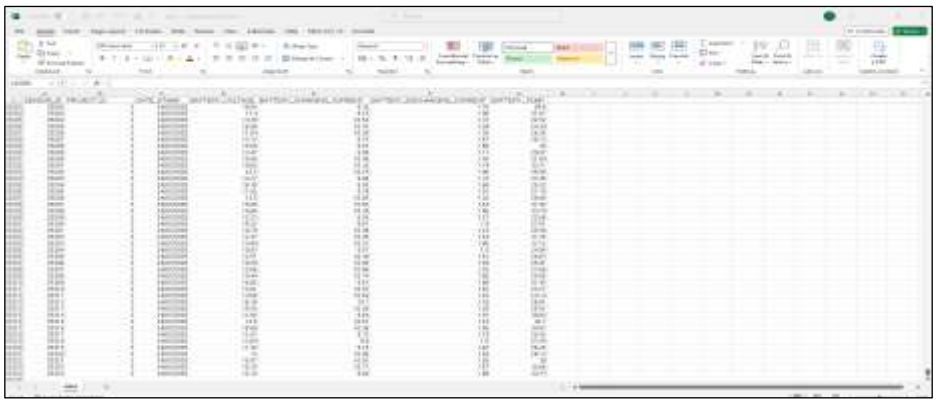


Figure 10: SD Card Stored Data.
Source: Authors, (2025).

Real time analysis and interpretation of data is crucial in the management and monitoring of a battery backup system. With added capability of fault detection and identification, maintenance and troubleshooting techniques are enhanced and made more efficient through proactive management decisions. System optimization is likewise improved through systems' continuous and safe operation resulting in lesser downtime of the system and reduced operational costs. Integrating these functionalities into a battery energy backup system ensures the enhanced management strategies as well as the improvement of system reliability. Although the existing system enables real-time monitoring of battery status, the implementation of an online monitoring infrastructure is needed for achieving a more sophisticated and optimized monitoring strategy. The capacity for localized data analysis and interpretation is naturally constrained by the limited computational resources of the microcontroller. However, the integration of cloud- and web-based platforms allows for advanced data analytics and robust processing capabilities, and as such enhances the precision, reliability, and interpretability of the acquired data. The integration of a mobile application as a visualization interface would significantly augment the system's functionality. Such an interface

would not only provide an enhanced understanding of real-time data representation for the user but also enable more intuitive interaction, thereby improving the comprehensibility and accessibility of the solar photovoltaic system. Finally, in light of recent advancements in sensor technologies and data communication protocols, the deployment of a fully remote, online monitoring framework offers considerable potential to strengthen the management and operation of the system. This would improve troubleshooting efficiency and predictive maintenance practices. In the same vein, the incorporation of advanced fault detection and diagnostic algorithms within the monitoring architecture would enable proactive maintenance, thereby improving system reliability and the overall performance of the solar photovoltaic system.

V. CONCLUSIONS

A localized monitoring system with fault detection and identification is essential in the monitoring of a battery-based energy source system. For a solar photovoltaic system to operate continuously without disruption, the need to understand the common cause of problems with the system is very crucial. A common problem with this type of renewable energy system is the monitoring of the battery storage component of the system. Because of the unique individual electrical characteristics of each battery, it is very complex and complicated to manually check the status of every battery used. With a real-time monitoring system that automatically records periodic and timely battery parameter values, the management and operation of the solar photovoltaic system will be optimized and enhanced, ensuring a continuous operation without interruption. Leveraging the fault detection and identification functionality into a monitoring system enhances its troubleshooting and maintenance capability as faults are identified accurately and can be diagnosed and fixed efficiently.

With this process, system downtime during faults and errors are minimized ensuring the continuous operation of the monitored system. Together with its enhanced diagnosis and mitigation processes, system resiliency against emerging challenges and issues is strengthened resulting in an optimized system. System performance can be evaluated effectively through the availability of stored battery parameters that are used for further processing and analysis. The need to interpret the available stored data would also enhance system performance through design improvements and system operation. As sensor node values depend on the environmental conditions that surround the monitored system, data and information collected needs to be an accurate representation of the values recorded. Ensuring the security and availability of data is crucial for the management of the monitored system.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Chito A. Petilla
Methodology: Chito A. Petilla and Edward M. Querikiol.
Investigation: Chito A. Petilla.
Discussion of results: Chito A. Petilla.
Writing – Original Draft: Chito A. Petilla.
Writing – Review and Editing: Edward M. Querikiol.
Supervision: Edward M. Querikiol.
Approval of the final text: Edward M. Querikiol.

VII. ACKNOWLEDGMENTS

To the Department of Science and Technology-Engineering Research and Development for Technology (DOST-ERDT), the University of San Carlos (USC) School of Engineering and Eastern Visayas State University (EVSU).

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.109-118. November/December., 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2718

ISSN ONLINE:

RESEARCH ARTICLE OPEN ACCESS

THE IMPACT OF ACTIVATED BLAST FURNACE SLAG ON THE MECHANICAL BEHAVIOR OF DUNE SAND FOR USE IN THE ROAD SECTOR

Ali Smaida[1], Hayet Cherfa[2], Khalil Latreche[3], Abderrahmane Hamadi[4], Hadi Koribi[5], Smail Haddadi[6]

[1,2,3,6] Laboratory Environment, Water, Geomechanics and Structures, (LEEGO), USTHB, Algeria.
[4,5] Civil Engineering Department, University of Djelfa, 17000 Djelfa, Algeria.

[1]http://orcid.org/0009-0009-5280-9788, [2]http://orcid.org/0000-0003-2797-9805, [3]http://orcid.org/0009-0001-5702-8368
[4]http://orcid.org/0009-0008-8374-2814, [5]http://orcid.org/0009-0009-2877-0799, [6]http://orcid.org/0000-0002-3212-0205

Email: a.smaida@univ-djelfa .dz , hcherfa@usthb.dz , klatreche@usthb.dz
abderrahmane.hamadi007@gmail.com , hadikoribi7@gmail.com , smail_haddadi@yahoo.fr

ARTICLE INFO

Article History
Received: September 20, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Valorization,
Dune sand,
Mechanical parameters,
Pavement layers.

ABSTRACT

The use of dune sand in the field of civil engineering, particularly in road technology, is a very interesting way of valorization. This material makes it possible to solve the problem of shortage of road materials which is based on the use of noble natural materials from quarries. It allows it to be valued as local material which is found in abundance in Algeria. This work makes it possible to achieve ecological, technical and economic objectives and results in a solution for sustainable development. It contributes to improve knowledge of the mechanical and rheological characteristics of dune sand treated with fine silt soil and blast furnace slag activated by lime. The study was carried out on formulations and mechanical tests (modified Proctor particle size distribution tests, CBR tests, shear strength tests, compressive strength tests, consolidation tests and hydraulic conductivity tests). The results obtained made it possible to improve the mechanical parameters of the studied formulations for use in pavement layers.

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I. INTRODUCTION

It is known that the realization of large construction projects such as roads, highways, railways, dams, etc., aim to facilitate the development of agriculture, commerce and industry. These projects require a considerable quantity of materials with good characteristics and high load-bearing capacity. To be able to achieve these characteristics, it is necessary to look for materials from nature such as sand and quarry aggregates with high quality, which are becoming increasingly rare, and which cause the destruction of nature and the disturbance of the environment. Local materials can be a real alternative. They recycled materials from waste with poor characteristics which can be treated to improve their characteristics to use them in the field of construction. For this, the technique of treating these local materials with the aim of stabilizing them and improving their geotechnical characteristics is necessary. This can be achieved by using various types of artificial waste in construction works [1] such as recycled aggregates [2], plastic waste [3], fly ash, blast furnace slag [4-7], ceramic waste [8], [9] demolition waste [10], etc.

The local materials concerned by the treatment with the aim of stabilizing them are numerous, among these materials one can cite: dune sands, dredged sands (marine and river sediments), artificial and industrial waste, tuffs, clays, etc. Generally speaking, the improvement of the geotechnical properties of the soil is necessary when the structures are based on a soil presenting different problems such as expansive, deformable, liquefiable soils, fine dispersive silty sands, cohesionless sands, such as dune sands. The latter, for example, are problematic soil types that exist around the world and are susceptible to collapse under the most adverse conditions such as contact with water. To the bearing capacity of these sands can be undertaken by a variety of feature improvement techniques such as compaction, reinforcement, drainage and treatment by addition of natural, artificial and synthetic materials or a combination of physical and chemical methods [11]. Among the stabilization methods, chemical stabilization, experiments have been made with incorporating

various natural and artificial materials into the soil. The most commonly used construction materials include lime, cement, and various pozzolanic materials widely used for the treatment and stabilization of soils in recent years [12], [13]. On the other hand, the use of artificial materials such as blast furnace slag remains neglected except for some work which is insufficient [5], [14], [15]. Dune sand comes from the gradual decomposition of rocks due to erosive agents such as wind [16], rain, etc. This local material is essential due to its abundance in nature (Sahara), it's almost zero extraction cost, and its apparent cleanliness, forms a response to the challenge of the depletion of natural resources in the world and presents itself as a local material of the future [5], [17]. Dune sands, known as eolian sands, are generally considered as unconventional materials.

They are considered to be of poor quality (high porosity, low bearing capacity, homometric grain size), giving insufficient mechanical performance. These materials are defined as non-standard and non-traditional soils, that is to say as materials that do not fully comply with the specifications in force in a country or region for standard use in road construction. However, it can be used successfully after having undergone particular treatment. Generally, these sands are suitable for construction because they consist of granular materials with a low content of fine particles, or even non-plastic, and have a relatively high permeability. Many research studies noted that dune sand is a material widely used as a stabilized material [18-23], with the aim of using it in civil engineering construction work, particularly in road engineering.

II. MATERIALS AND METHODS

II.1 MATERIALS

II.1.1 Dune sand and silt

The dune sand is from the Djelfa region located 300 km to the south of Algeria. It is a very fine sand, devoid of fine elements whose size is less than 80 µm. More than 90% of its components have dimensions ranging from 0 to 0.4 mm, which classifies it as D1. This type of soil, without cohesion and poorly graded [17], [24], is characterized by its permeability. It is therefore a very tight particle size. The grain size is very tight; almost 90% of the grains have a size between 0.1mm and 0.5mm. This leads us to assert that sand alone cannot have a sufficiently large compactness, and subsequently mechanical performances (resistance in compression and traction, lift, etc.) are not adequate. Treatment with hydraulic binders and the use of a granular corrector will certainly contribute to improve the characteristics of this material [17], [25]. It is worth mentioning that our sand is a siliceous sand, rich in SiO_2 (silica), and contains some limestone residues and magnetic species. In our research, we included sand from the dunes located approximately 57 km northwest of Djelfa, while silt is located approximately 60 km north of Djelfa.

II.1.2 Blast furnace slag

The slag used in this study comes from the El-Hadjar steel factory in Annaba. It is a crushed and sieved slag at 0.1 mm, with a PH of 9.75, obtained by rapid cooling of the molten slag in water basins, which leads to the formation of the material. In our case the slag is activated by lime (calcium activation), and it is formed in the presence of water as a product of hydration of calcium silicate and tetracalcium aluminate which are responsible for the binding property.

II.1.3 Lime

The lime used in our research comes from the Saida region. It is a binder with a low content of basic components, including free lime (CaO), which gives our product its airy quality. The results of chemical, geotechnical and mechanical analyzes are summarized in Figures 1, 2. Figure 3 presents the X-ray diffraction patterns of dune sand and silt. Tables 1 and 2 illustrate the results of chemical, mechanical and physical analyzes of the used soils.

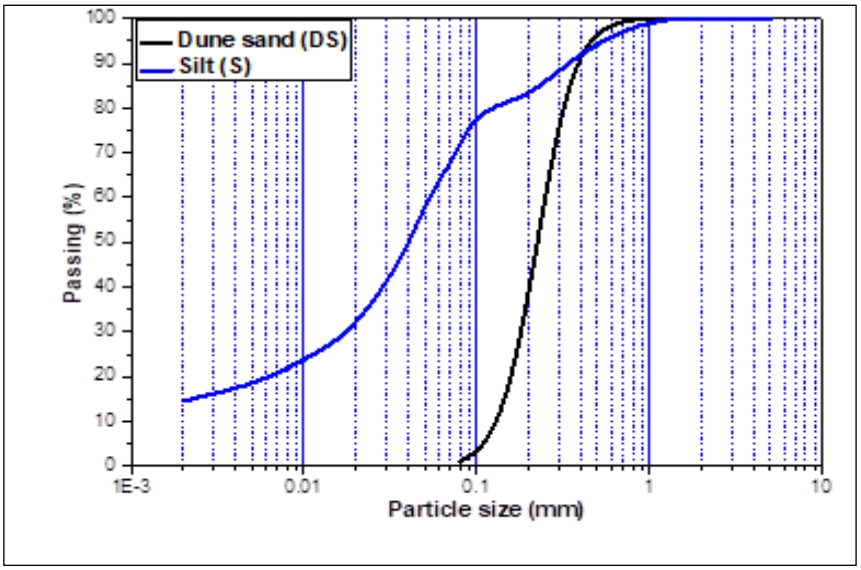


Figure 1: Grading curves of dune sand and silt.
Source: Authors, (2025).

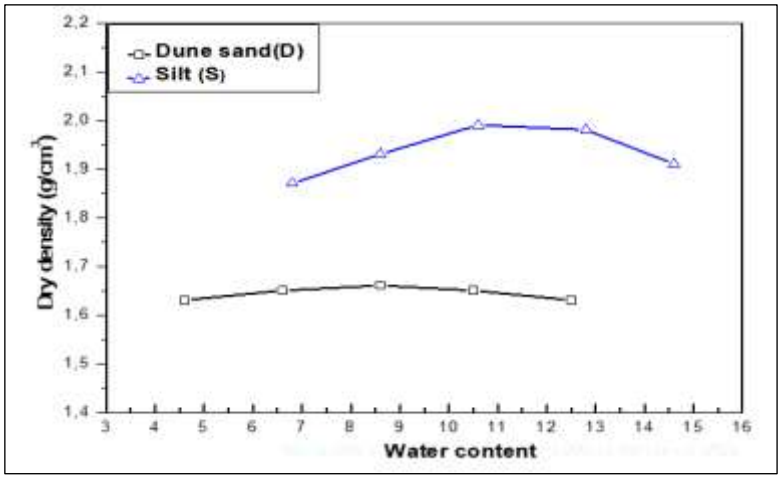


Figure 2: Proctor curves for dune sand and silt.
Source: Authors, (2025).

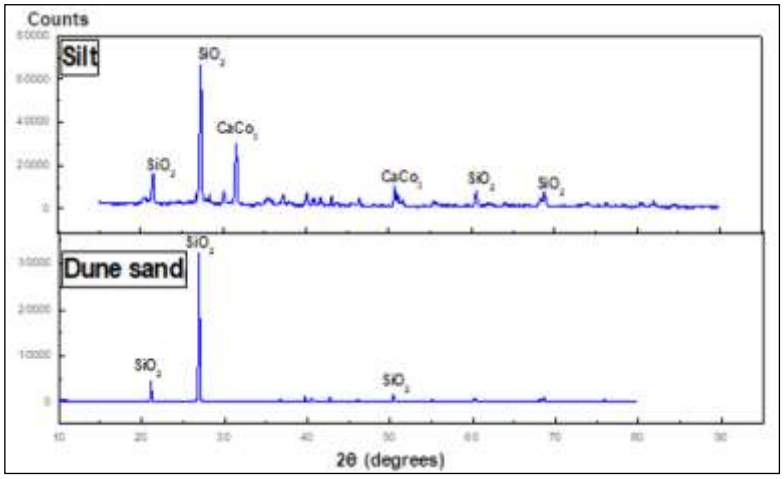


Figure 3: X-ray diffraction (XRD) of dune sand and silt.
Source: Authors, (2025).

Table 1: Chemical composition of the materials.

Material (%)	Dune sand	Silt	Blast furnace slag	Lime
SiO_2	93.56	78.02	30.12	2.15
Al_2O_3	0.99	25.2	15.45	0.58
Fe_2O_3	0.56	2,33	0.72	0.26
CaO	2.45	10.34	45.80	68.52
MgO	0.13	0.36	3.82	0.41

Source: Authors, (2025).

Table 2: Physical and mechanical characteristics of the soil used.

Physical characteristics	Dune sand	Silt
Apparent density (g/cm^3)	1.49	1.37
Absolute density (g/cm^3)	2.57	2.26
< 80 µm (%)	/	73.61
% Passing at 80 µm	1	
% Passing at 2 mm	100	100
Coefficient of uniformity Cu	1.89	/
Coefficient of curvature Cc	1.10	/
Visual sand équivalent (%)	82	/
Sand equivalent test (%)	68	/
Blue value for 100g (VB)	0.05	0.92
Liquid Limit : LL (%)	/	33.6
Plastic Limit : PL (%)	/	17.9
Plastic Index : PI (%)	/	15.7
Optimum water content : W_{opm} (%)	8.7	11.4
Maximum dry density: γ_{max} (g/cm^3)	1.67	2.01

Source: Authors, (2025).

II.2 METHODS

The aim of this work is to valorize this abundant material (dune sand) in the road sector, by adding a grain size corrector (silt) and an activated hydraulic binder (blast furnace slag activated with lime), in order to improve its mechanical properties by replacing a fraction of large elements with fine elements (silt and activated blast furnace slag) by mass substitution. The formulations (dune sand + silt) are treated with percentages of blast furnace slag activated by a 1% lime percentage [5], [26]. The proportions of the chosen materials of the different formulations are given in Table 3.

Table 3: Proposed mixtures.

Formulation	Dune sand (%)	Silt (%)	Blast furnace slag (%)
F0	50	50	/
F1	50	40	10
F2	50	35	15
F3	50	30	20
F4	50	25	25

Source: Authors, (2025).

III. RESULTS AND DISCUSSION

III.1 PARTICLE SIZE DISTRIBUTION TESTS

According to (Schlosser 1988) [27], In order to obtain a uniform particle size distribution, two parameters of curvature and uniformity are applied in soil mechanics for sand-based formulations are to be fulfilled:

$$C_u = D_{60} / D_{10} > 6 \quad (1)$$

$$C_c = D_{30}^2 / (D_{60} \times D_{10}) \text{ compris entre 1 et 3} \quad (2)$$

The results of the particle size distribution tests are shown in Figure 4 and summarized in Table 4.

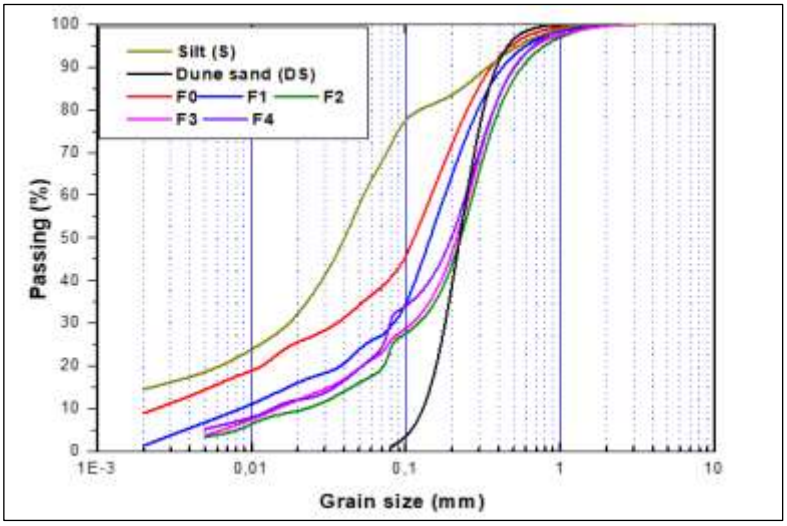


Figure 4: Grading curve for the mixtures.
Source: Authors, (2025).

Table 4: Results obtained from particle size tests.

Formulations	Uniformity coefficient (Cu)	Curvature coefficient (Cc)	Percentage of particles < 80 µm (%)
Dune sand (DS)	1.50	0.93	01
Silt (S)	/	/	71.71
F0	61.71	4.06	41.46
F1	17.8	3.595	32.81
F2	15.1	3.03	27.06
F3	18.07	1.76	26.78
F4	11.18	2.498	33.02

Source: Authors, (2025).

By aiming for dense and compact formulations, the two Schlosser criteria must be respected, for sandy mixtures. According to the results shown in Figure 4 and Table 4, all the formulations meet the criteria with an advantage for the two formulations F3 and F4. This appears to be mainly related to the incorporation of large particles of ground slag from blast furnaces that fortify the soil, and to a physicochemical reaction resulting from water adsorption and ion exchange between the slag and the smaller clay particles to generate larger particles.

III.2 COMPACTION TESTS

The compaction characteristics are very important in most civil engineering construction projects using soil as a construction material such as road projects, highways and airport runways. Therefore, the study of the impact of the stabilizer on the compaction curve is of great importance. Figure 5 and 6 illustrates the compaction results.

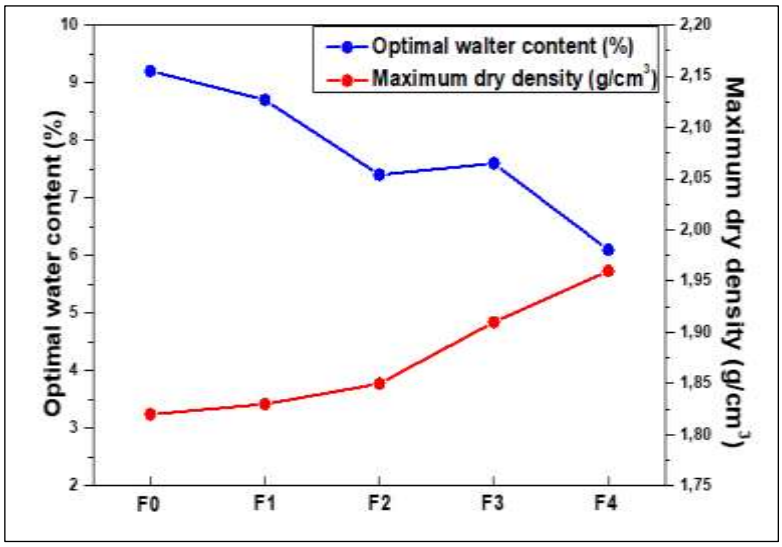


Figure 5: Modified Proctor curves of the different mixtures.
Source: Authors, (2025).

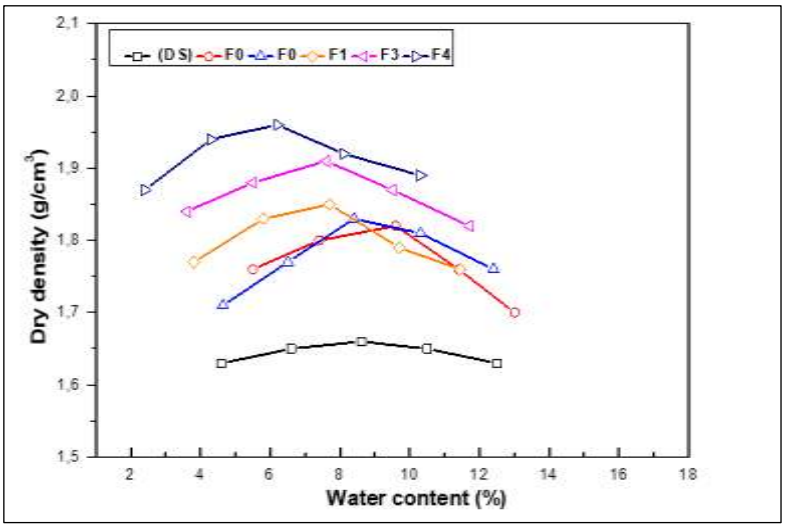


Figure 6: Variation of maximum dry density and optimum water content for the mixtures.
Source: Authors, (2025).

As shown in Figure 6, the formulations tend to decrease the optimal water content and increase the maximum dry density. Regarding compaction, the ideal water content of dune sand decreases from 8.7% to 6.2% for the F4 rate (which represents a decrease of 30%). The maximum dry density for the F0 mixture increases from 1.67 g/cm³ to 1.83 g/cm³, an elongation of 9%, while for the F4 mixture it increases by 15% with an optimal of 6.2%, reaching a maximum dry density of 1.97 g/cm³. This change is seen as a sign of improved compaction properties of the stabilized soil. The increase in dry density is explained by the fact that agglomerated and flocculated soil particles occupy a larger space.

As for the increase in optimal water content, this is due to the activated slag, which requires more water for its immediate reaction in the drying process by absorption and evaporation, as well as for the ion exchange process generated by the reactions between the activated slag and the minerals of the fine soil thus causing the flocculation and agglomeration of the minerals of the fine soil particles, this improvement in the compaction characteristics was confirmed by specific density measurement tests, the results of which obtained in (Figure 7) show the increase in the specific density of the different mixtures measured, where an increase was recorded ranging from 2.58 g/cm^3 for the F0 mixture up to 2.64 g/cm^3 for the F4 formulation case, thus making the soil more compact. Similar observations have been reported previously by other authors [28].

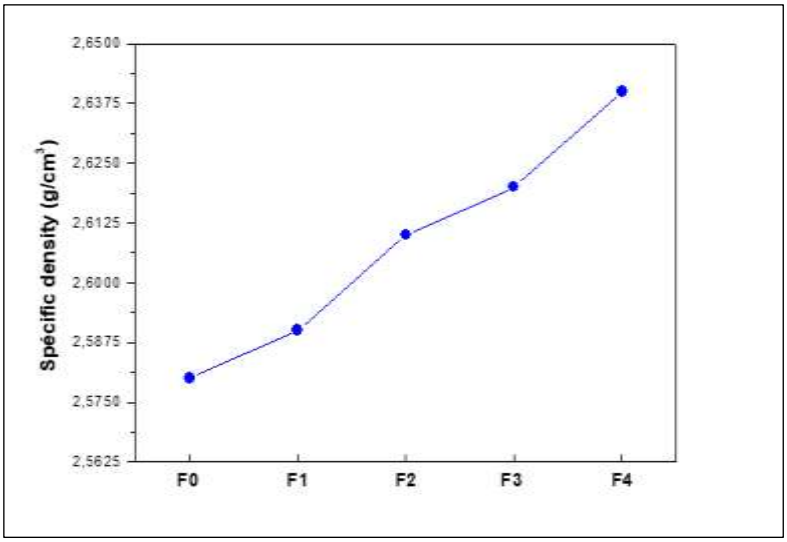


Figure 7: Variation in specific density for the different mixtures.
Source: Authors, (2025).

III.3 BEARING CAPACITY TESTS (CBR)

The CBR index represents the measurement used to determine the resistance of a material to the weight of construction equipment moving directly over its surface. In association with the Modified Proctor test, punching measurements on the compacted specimens are carried out in order to estimate the CBR Index. To do this, CBR tests were carried out on the analyzed compositions, compressed in CBR matrices, according to the adjusted Proctor conditions, in accordance with the NF P94-078 standard [29]. The objective of this test is to examine the capacity of the soil to support traffic and to evaluate the stability of our formulas. The test involves striking combinations of densified slag sand at a rate of 56 strikes per level in a CBR mold, using humidity levels corresponding to the optimal level of the modified Proctor test. Figure 8 shows the evolution of CBR index unsoaked and soaked (4 days).

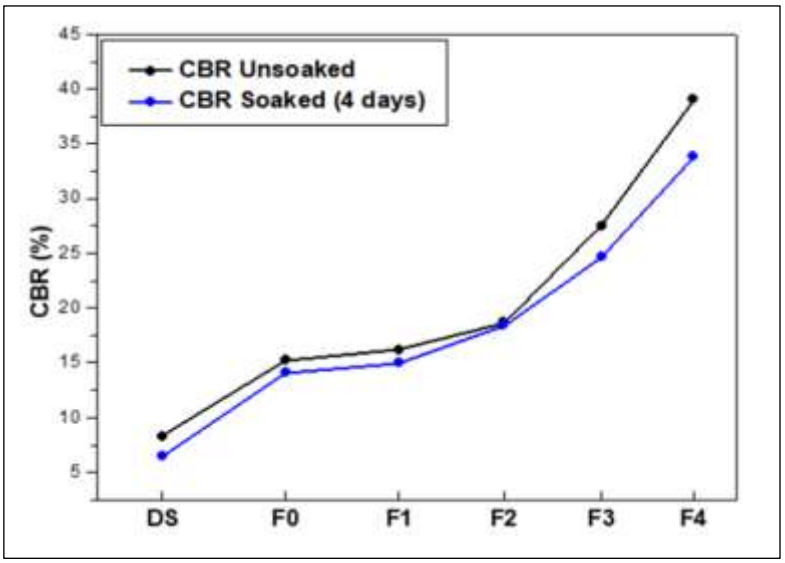


Figure 8: Variation of CBR index (Unsoaked and soked) for the different mixtures.
Source: Authors, (2025).

It is clear from Figure 8 that the progressive incorporation of blast furnace slag leads to an increase in the lift of the formulations, hence the stability of the latter. For the CBR values obtained for the different mixtures, we note an increase ranging from 8.3% in the case of single dune sand up to 15.2% in immediate CBR and 6.46% CBR in immersion for the F0 formulation. This immediate CBR value of untreated dune sand multiplies more than three times in formulation F3, i.e. (27.5%) and will become 24.63% in Immersion CBR. The major lift is recorded in F4 formulation of which we note 39% for the case of immediate CBR and 33.8% in the case of immersion. The increase in the CBR index for the various mixtures is due to the change in particle size following the incorporation of correctors (silt) with lime-activated slag. This phenomenon is mainly related to the formation of reinforced contact bridges between the grains, as well as the increase in the number of large particles and the reduction of fine particles, thus promoting the flocculation of clay particles, according to cation exchange mechanisms.

III.4 SHEAR STRENGTH AND COMPRESSIVE STRENGTH TESTS

When constructing linear earthworks, load-bearing capacity and strength are of crucial importance. It is essential to ensure that these structures withstand the expected external loads, during or after construction, without undergoing deformations or fractures that could cause significant harm to people or property. Therefore, our research aims to enhance our tests with shear and simple compression strength assessments. The direct shear test is an experimental method used in geotechnics to measure the resistance of a soil to deformation and sliding when subjected to shear stress. This resistance is a crucial parameter for understanding how the soil will behave under applied loads, such as those from buildings, roads or other civil engineering structures. The direct shear test provides essential information on the mechanical properties of the soil, including the angle of internal friction (φ) and cohesion (C), which are key parameters for geotechnical modeling and structure design. The experiment used to establish these parameters is the direct shear test, an unconsolidated and undrained test case cited by the American standard NF P94-071-1 [30].

In this research, the unsaturated state (with constant water content) was used as the test condition. The usual restrictions of employees to carry out these tests are: σ1=100 kPa; σ2=200 kPa; σ3=300 kPa. The shear speed used is 1mm/min. Figure 9.a and b respectively show the intrinsic curves of the different mixtures being studied. For the tests the compressive strength, cylindrical specimens with dimensions φ=100mm, H=100mm were prepared according to standard 13286-53 [31] for the different formulations. The mixture is statically compacted with OPM according to standard EN 13286-41 [32] in a double piston mold making it possible to homogenize the stress over the entire height of the specimen. These samples were kept away from humidity in bags at a temperature of 20 ±2 °C for different curing periods of 7, 14, 28, 60 and 90 days until the date of the test. Figure 9 shows the intrinsic curves of the studied mixtures. Figure 10 shows the evolution of the simple compressive strength as a function of the age of the different mixtures.

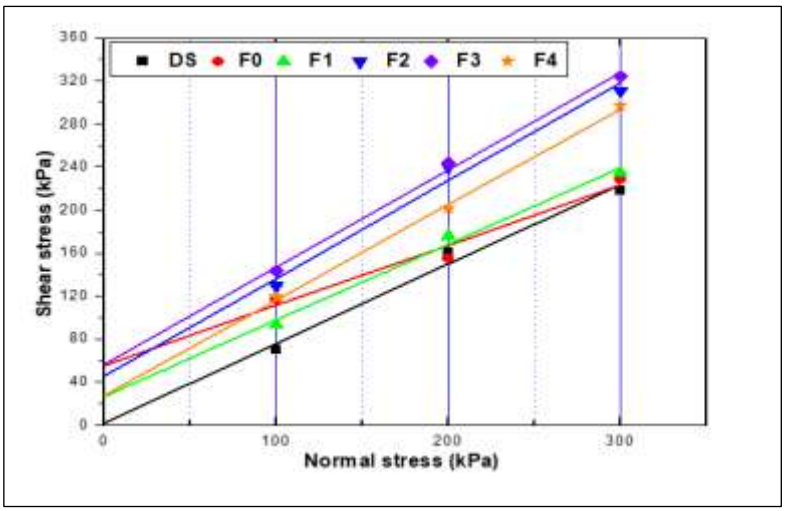


Figure 9: Intrinsic curves of the different formulations.
Source: Authors, (2025).

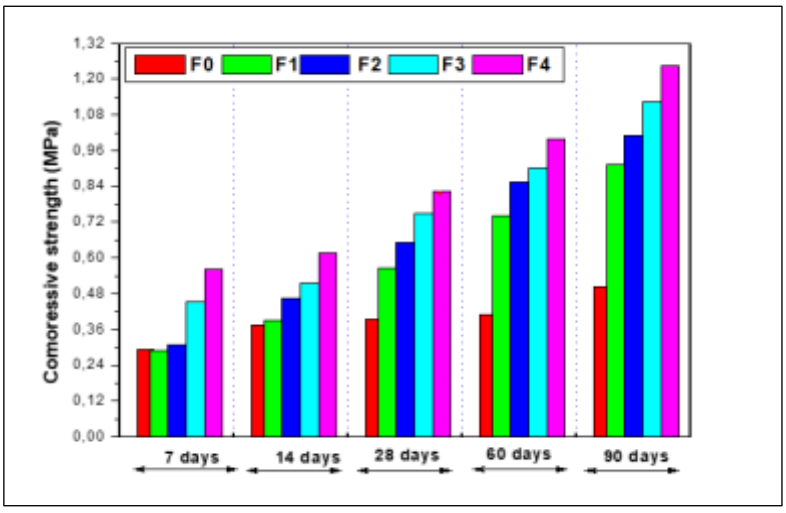


Figure 10: Variation in compressive strength for different mixtures.
Source: Authors, (2025).

According to the results depicted in Figure 9, the cohesion values for the various mixtures are all higher than those of untreated dune sand. One can see that the cohesion value increases from 1.67 kPa (dune sand) with an angle of friction from 36.49° to 55 kPa with an angle of friction of 29.24° for the mixture F0. The cohesion decreases then to 26.71 kPa with an angle of friction of 35.28° in the case of mixture F1. For the F2 and F3 it increases by marking the values (45.1 kPa and 55.93 kPa) and friction angles of 42.30° and 42.12° respectively. It falls then into F4 mixture of which we noted a cohesion of 27.2kPa and a friction angle of 41.66°. It is clear that the silt,

active blast furnace slag, has brought a benefit to the dune sand by filling the voids existing between these grains, and offering much higher cohesion values than that of untreated dune sand. The maximum cohesion value was noted in the F3 mixture (50 dune sand+30% silt+20% lime). As for the compressive strength (Figure 10), it is noted that a large amount of additive causes a rapid increase in this resistance, thus promoting its improvement. The increase appears considerable for mixtures F3 and F4, with measurements of 0.90 MPa and 1.12 MPa respectively for a curing time of 60 days, and 1.01 MPa and 1.24 MPa for a period of 90 days for these two mixtures.

The consolidation test is a fundamental test for soils in order to determine the compressibility parameters (the compressibility index Cc and the swelling index Cg). Consolidation tests were carried out on similar samples using a ring of diameter (Φ=50 mm) and height (H=20 mm) for the different mixes. The specimens are drained at the top and bottom and kept saturated during the oedometric test. The samples were prepared according to the modified Proctor protocol (at maximum dry density and maximum water content) for the two tests. Figure 11 shows the loading-unloading curves for the different mixtures. Figure 12 presents the evolution of the hydraulic conductivity k (m/s) (permeability).

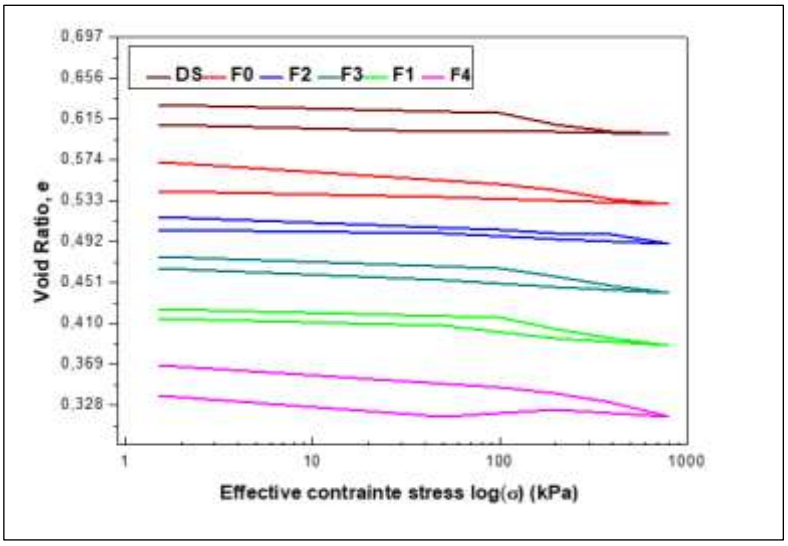


Figure 11: Consolidation curves of the plane *(e- logσ'_v)* of the mixtures.
Source: Authors, (2025).

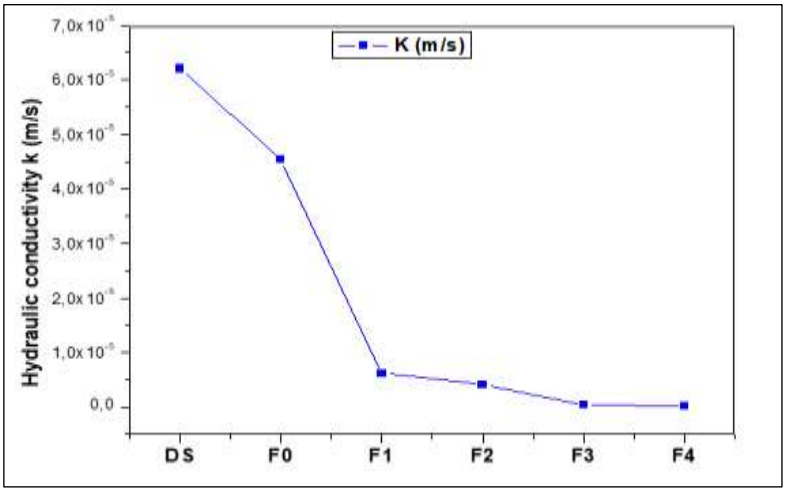


Figure 12: Variation of hydraulic conductivity according to the different mixtures.
Source: Authors, (2025).

It is noted that, according to our results obtained in Figure 10, the compression index of the F4 mixture is Cc=1.06x10^{-1} equal to that of the base mixture F0. This allows us to specify that the additions do not have an influence on the compressibility (settling) of the base mixture F0. On the other hand, we note that the swelling index of the base mixture F0 (Cg=6.5x10^{-3}) is slightly higher than obtained on F4 mixture (Cg= 1.4x10^{-3}).

The obtained results for the hydraulic conductivity (Figure 11) show that the hydraulic conductivity k varied proportionally to the vacuum index and inversely to the percentages of activated slag added. The permeability k decreases from 6.2x10^{-5} (m/s) for untreated dune sand to 4.53x10^{-6} (m/s) in F0 formulation. This reduction reached 3.12 x10^{-7} (m/s) and 1.34x10^{-7} (m/s) respectively for the F3 and F4 mixtures. This confirms that the fine elements have indeed filled the existing voids between the grains of dune sand, making it a dense and coherent compact material.

IV. CONCLUSION

The present work is performed with the aim to a more in-depth knowledge of dune sand and its integration among road materials. The results are generally satisfactory and confirm the physical role of the elements (silt and activated blast furnace slag) which consists of filling the voids between the grains of the mixture. This filling increases the compactness of the mixture and consequently its mechanical resistance. The main findings are:

- The use of dune sand alone cannot be considered, but it could be mixed with other materials which improve its mechanical characteristics.
- The particle size analysis test allowed us to choose the formulations which meet the stability before compaction ($Cu \geq 6$ and $1 \leq Cc \leq 3$) on which we will carry out the Modified Proctor tests to test their stabilities after compaction.
- The additions (silt and activated furnace cap slag) increase the maximum dry densities and decreased the optimal water content proportionally to the increase in percentages.
- The improvement in the CBR lift of the formulations demonstrates their resistance to punching, which allows them to better resist loads induced by traffic.
- The mechanical strengths (shear resistance and compressive strength) obtained for the treated dune sand are improved to be beneficial for a high-performance pavement structure in both intense and moderate traffic. These formulations will lead to the design of thinner pavements allowing considerable savings in materials.
- Consolidation and hydraulic conductivity tests show the compactness and densification of the formulations obtained by minimizing voids and subsequently having more stable formulations

V. AUTHOR'S CONTRIBUTION

Conceptualization: Ali Smaida.
Methodology: Ali Smaida and Hayet Cherfa
Investigation: Khalil Latreche, Abderrahmane Hamadi and Hadi Koribi.
Discussion of results: Ali Smaida, Hayet Cherfa and Smail Haddadi.
Writing – Original Draft: Ali Smaida.
Writing – Review and Editing: Ali Smaida.
Resources: Hayet Cherfa and Smail Haddadi.
Supervision: Ali Smaida.
Approval of the final text: Ali Smaida, Hayet Cherfa and Khalil Latreche.

VI. ACKNOWLEDGMENTS

The authors would like to thank the Director of the Laboratory of Environment, Water, Geomechanics and Structures (LEEGO), USTHB, Algeria, as well as the Civil Engineering and Sustainable Development Laboratory (LGCDD), University of Djelfa, Algeria.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.119-135. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2721

RESEARCH ARTICLE OPEN ACCESS

APPLYING THE BAYESIAN NETWORK MODEL FOR SUSTAINABLE SUPPLY CHAIN MANAGEMENT IN THE PALM OIL INDUSTRY: IMPLICATIONS FOR OPEN INNOVATION

Rabiatul Adwiyah[1], Yusman Syaukat[2], Heti Mulyati[3], Diky Indrawan[4] and Nizar Fauzan[5]

[1] Faculty of Economic and Business, Universitas Islam Bandung, Bandung, Indonesia
[2,3] Faculty of Economics and Management, IPB University, Bogor, Indonesia
[4] School of Business, IPB University, Bogor, Indonesia
[5] Faculty of Business Administration and Accountancy, Khon Kaen University, Khon Kaen, Thailand

[1]https://orcid.org/0000-0002-7627-0088, [2]http://orcid.org/0000-0002-6473-3647, [3]https://orcid.org/0000-0001-9466-3785
[4]https://orcid.org/0000-0003-1291-5729, [5]https://orcid.org/0000-0002-0876-1491,

Email: rabiatuladwiyah@unisba.ac.id, ysyaukat@apps.ipb.ac.id, heti@apps.ipb.ac.id, rdiky@apps.ipb.ac.id

ARTICLE INFO

Article History
Received: September 21, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Bayesian network model,
Open innovation,
Palm oil industry,
SSCM.

ABSTRACT

The palm oil industry is known for its social and environmental challenges that require innovative solutions. This study investigated the Bayesian network model designed to provide better sustainable supply chain transparency by considering social responsibility and ecological effects. The data was collected using questionnaires from 16 respondents responsible for the company's supply chain operations. The application of the Bayesian Network Model in sustainable supply chain management (SSCM) in the palm oil industry contributed to breakthroughs, especially in sustainability practices and efficient decision-making action to countermeasure and resolve complex interactions and uncertainties. The output presented the interaction between factors on sustainable supply chain management in the palm oil sector, demonstrating the mechanism for stakeholders' decision in open innovation to prioritize environmental sustainability and behavioral transparency in their supply chain operation. As a result, the company can exhibit an advanced and clean palm oil supply chain.

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I. INTRODUCTION

Palm oil plantations are a strategic sub-sector that economically, ecologically, and socio-culturally play a vital role in many developing countries, including Indonesia, one of the leading exporters. Indonesia has a high potential for palm oil because the climate optimizes its growth. Palm oil is a tropical plant from West Africa that can reach 24 m in height. Their flowers and fruits are attached in bunches and have many trunks. The fruit is small, blackish-red when it ripens, and the flesh is firm [1]. The high growth of the palm oil industry in Indonesia positively affects employment and additional foreign exchange [2]. Index Mundi [3] reported that Indonesia secured its first position as a crude palm oil producer in 2023, producing 46,500 million tons or 58.7% of the global output (Figure 1). Furthermore, Indonesia's palm oil plantation area is the largest in the world (14.5 million ha). Therefore, palm oil commodities are at the forefront compared to other plantation commodities in Indonesia.

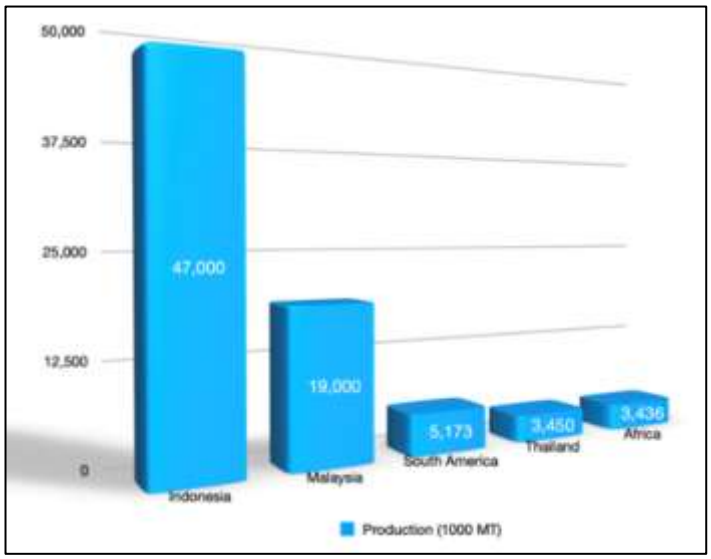


Figure 1: World palm oil producers (million tons) in 2023.
Source: [3].

Palm oil plantations are a large-scale, complex, and capital-intensive agricultural economic system. In their operations, palm oil plantations use large parcels of land, have a large labor organization with detailed divisions, use modern technology, and are equipped with a specialized administrative system. Palm oil plants are one of the leading vegetable oil-producing crops and significantly influence economic growth. Following Republic of Indonesia Law Number 39 of 2014 concerning Plantations [4], plantations are all activities for managing natural resources, human resources, production facilities, tools and machines, cultivation, harvesting, processing, and marketing related to plantation crops. As a result, many palm oil plantations export and significantly contribute to the country's foreign exchange earnings [5].

The palm oil industry is considered an industry that damages the environment and has been unfriendly to social welfare [6]–[8]. Pacheco et al. [9] found that improving the performance of the palm oil industry can be done through the Roundtable on Sustainable Palm Oil (RSPO) with a primary focus on nature conservation. Their findings found that the RSPO needs to expand fundamental control and take a more decisive role in fighting forest destruction because the expansion of palm oil plantations is affecting the climate and destroying many forests. The expansion of palm oil plantations must be balanced with reforestation policies that favour environmental aspects to achieve sustainable development goals. Carlson et al.

[10] found that sustainable certification for palm oil companies can be implemented to eliminate deforestation and wildfire. Furthermore, companies with sustainable certification activities are better than plantations without accreditation. These difficulties can be addressed by focusing on the rules for company sustainability. Elkington [11] defined the triple bottom line as profits, people, and the environment, which has become the standard guideline for business sustainability. These features represent an effort to incorporate economic, environmental, and social factors into company decision-making that necessitates operational innovation [12]. A sustainable supply chain is one example of a multifaceted method that can be applied.

This strategy is critical in the industry and can be implemented by combining economic, social, technological, and environmental factors to innovate firm supply chain operations [13]. Brandenburg et al. [14] defined a sustainable supply chain as representing economic, social, environmental, and political policies related to the improvement and innovation in the consumer fulfillment process phases of design, procurement, manufacturing, packaging, and distribution. In addition, sustainable supply chains can maximize profitability, minimize environmental impacts, and recover social welfare [15]. This indicates that sustainable supply chain management requires innovation based on the triple bottom line idea, which includes economic, social, and environmental factors.

I.1 ORIGINALITY

The palm oil business relies heavily on the supply chain management performance of palm oil companies that employ product sustainability practices. It takes time to reach optimal settings for the performance of palm oil's supply chain management. Sustainable palm oil supply chain management, also known as the Green Supply Chain (GSC), is now in its early phases of development. However, many GSC applications address ecologically sustainable development strategies. As a result, many proposals for adopting sustainable palm oil supply chain management, such as triple-bottom-line effectiveness indicators, need to be made more explicit.

Furthermore, the factors that influence the performance of sustainable supply chain management in the palm oil industry have yet to be well identified. Suroso et al. [16] found that the palm oil industry can have negative domestic implications, such as land access conflicts and differences in crop yields. These issues intersect with sustainable development aspects. Improving palm oil's supply chain management so that the palm oil industry can operate optimally in the long term requires innovation for the palm oil industry to work in an integrated and systematic manner. This reason supports this study, which aims to reveal how sustainability works in the present palm oil business model innovation trend.

The demands of the sustainable palm oil industry were resolved by implementing the Roundtable on Sustainable Palm Oil and the Indonesian Sustainable Palm Oil. However, many unsustainable palm oil industries still exist, such as fog due to wildfire, child labor, land conflicts, and underpaid workers [17]. These challenges may arise due to a need for more information on variables and determinants in supply chain performance that aid corporate decision-making in improving its sustainability strategies. According to a literature review,

there still needs to be more research on palm oil companies' strategies for meeting market sustainability requirements and enhancing supply chain performance by employing dynamic assessments to measure overall sustainability challenges. The majority of research in supply chain focuses on the use of analytical tools such as Supply Chain Operations Reference [18], [19], Six Sigma [20], and Structural Equation Modelin [21]. Apart from that, some studies use Fuzzy AHP [22], Analytic Network Process [23], and Balanced Scorecard [24]. Companies in Indonesia require a strategy to restore the social and environmental issues harmed by the palm oil sector while increasing its economic contribution. The plan includes supply chain innovation and using Bayesian networks as indicators in a probabilistic graphical model for measuring sustainable supply chain performance.

This novel research strategy addresses the sustainability challenges confronting Indonesia's palm oil industry. Bayesian network consists of two main parts: the Directed Acyclic Graph structure and the Conditional Probability Table [25], [26]. In addition, methods for building Bayesian network structures directly from databases, such as search and scoring methods and constraint-based analysis, have been widely developed. Search and scoring methods are used to obtain a structure that suits the data. The construction process is carried out iteratively to find better structures than the previous ones. Meanwhile, in the dependency analysis method, the Bayesian network is seen as a structure representing the conditional independence of groups between variables [26]. The Bayesian network model can consider sustainable supply chain integration, allowing businesses to improve work procedures and the net economy [27]–[29].

I.2 RESEARCH AIMS AND QUESTION

This research aimed to develop a model to assist the palm oil business improve supply chain profitability, reduce environmental impacts, and increase social welfare in complex scenarios. The Bayesian network model was used to create and evaluate a sustainable supply chain model for the palm oil business in PTPN III Indonesia. The analysis outcomes should contribute to increased competitiveness and efficiency while considering the implications for open innovation.

II. THEORETICAL BACKGROUND AND HYPOTHESES

II.1 SUSTAINABLE SUPPLY CHAIN MANAGEMENT

According to Dyllick and Hockerts [30], sustainable supply chain management integrates sustainable development and environmental, social, and economic issues. Although sustainable supply chain management is considered relatively new, interest in this knowledge has proliferated over the years. Seuring and Müller [31] reviewed 191 scientific journals on supplier management's risks and performance and supply chain management's sustainable products from 1994 to 2007. They found that economic and environmental aspects in the supply chain were the most studied dimensions. Sikdar [32] defined sustainability as a melting point between economic development, environmental management, and social justice.

A review of various elements related to a sustainable supply chain shows that sustainable supply chain management can be linked to environmentally friendly aspects, inventory management, production planning and control, product recovery, reverse logistics, waste management, energy consumption, and emission reduction [33]. Furthermore, Carter and Rogers [34] defined sustainable supply chain management as a transparency-work process to achieve strategic social goals and economic objectives in an organization with an environmental-based scheme. Improving long-term sustainable economic performance can be achieved through coordinated and systematic business processes between organizations within the company.

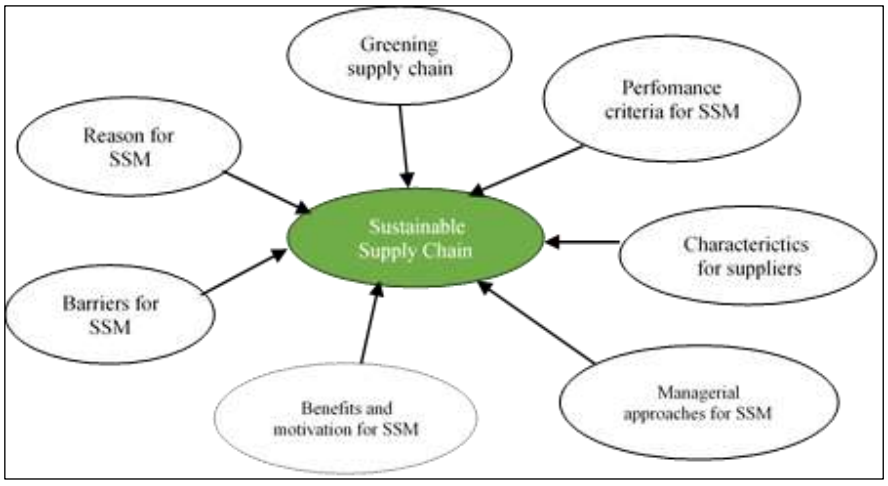


Figure 2: Sustainable supply chain management conceptual model.
Source: [35].

According to Ageron et al. [35], sustainable supply chain management includes seven branches (Figure 2). In addition, Carter and Rogers [34] argued that the sustainable supply chain framework intersects with resource aspects, transaction cost economics, population ecology, and the resource-based view of the company. Furthermore, Ageron et al. [35] divided corporate supply chain sustainability into five dimensions: business-level application and communication, organizational focus scope, innovation-oriented sustainability, economic/ ecological-environmental/ social-justice emphasis, and compliance attitude. They also added that companies can perform well in these five dimensions only if they have an excellent public image, achieve zero pollutant emissions, have comprehensive supply chain information, and prioritize a willingness to share.

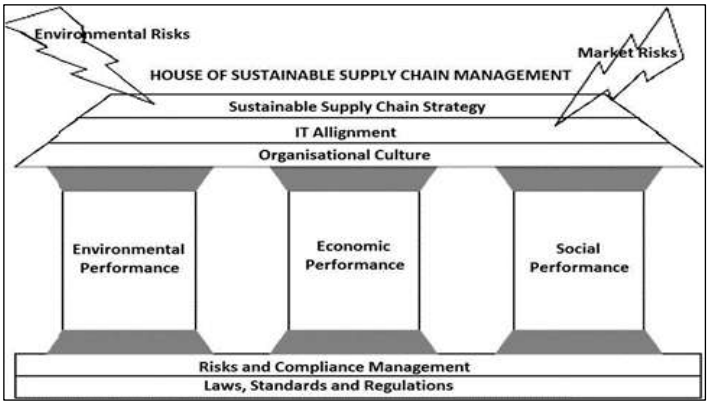


Figure 3: Sustainable supply chain house.
Source: [36].

Wittstruck and Teuteberg [36] proposed a Sustainable Supply Chain House (Figure 3) based on three triple bottom line dimensions: building balance, risk management, and compliance from the building foundation. Sustainable supply chain management requires establishing values and ethics throughout the organization, such as an efficient green technology information environment and a company strategy focusing on harmonizing development. By taking these steps, sustainable corporate networks will be effectively protected from environmental and social menaces.

II.2 SUSTAINABLE SUPPLY CHAIN MANAGEMENT PERFORMANCE

In recent years, sustainable supply chain management has become a well-known topic among researchers and practitioners [14], [37]. Many researchers acknowledge that sustainable supply chain management is vital for companies because it is related to market demands, the overall economy, company strategies in achieving goals, market competition, and overall company performance [38], [39]. Therefore, companies must be innovative in sustainably managing supply chains in three dimensions: social, environmental, and economic [40].



Figure 4: Process of attaining sustainable development through sustainable supply chain management.
Source: [41].

Sustainable development is characterized by the participation of every member of society in economic activities. Pham et al. [42] found that traditional agricultural systems integrating humans with nature can achieve better results in financial and environmental dimensions. Supply chain management's sustainability indicators from previous studies with various objectives are presented in Table 1.

Table 1: Indicators for assessing sustainable supply chain performance.

Aspects	Criteria	Sources
Economic Dimension (E)	1. Productivity of the palm oil industry	[43]
	2. Financial performance and financial competitiveness of the palm oil industry	[22], [40], [44]
	3. Business transparency Commitment to transparency and traceability	[20], [43]
	4. Ease of access to price information	[40]
	5. Logistics Optimization	[45]
Social Dimension (S)	1. The educational level of industrial employees	[39]
	2. Availability of infrastructure for agricultural activities	[38]
	3. Ethics and awareness of entrepreneurs regarding palm oil businesses	[22], [44]
	4. Working conditions, employee rights, and welfare of palm oil industry employees	[22]
Environmental Dimensions (L)	1. Area of managed palm oil plantations	[46]
	2. Implementation of ISO 14000 standards	[47]
	3. Environmental pollution	[47]
	4. Environmental Management System	[48]

Source: Authors, (2025).

II.3 BAYESIAN NETWORK

Bayesian network/probabilistic network is a model for representing interactions between variables depicted by graphs and consisting of nodes and arcs. The node will display the variable (p) and its p(x) probability value. Meanwhile, arcs will show the relationships between nodes. If there is a connection from X to Y, variable X influences variable Y. This influence is expressed by the conditional probability P(Y|X). Naïve Bayes ignores the correlation between variables, while the Bayesian network assumes input variables can depend on each other [44]. Bayesian networks are based on Bayes' theorem, where conditional probability is denoted by P(A|B) (the probability that A exists if state B has occurred.) Bayes' theorem formula:

$$P(A|B) = P(B|A)\, x\, P(A)/\, P(B) \quad (1)$$

Where P(A|B) is the posterior probability (the chance of A will occur after B has occurred), P(B∩A) is the probability that B and A occur together, P(B|A) is the likelihood (the chance that B will occur after A has happened), P(A) = prior (the probability of event A), and P(B) = probability of event B. According to [45], Bayesian Networks (BN) offer several benefits, including a) effective treatment of missing value problems; b) good prediction due to the knowledge of causal relationships between variables; c) easy application of prior knowledge; d) the ability to use probability propagation "backward," when the goal is to determine the most likely scenario explaining the set of evidence.

II.4 HYPOTHESES

This research develops hypotheses as follows:
H0: There are no opportunities for implementing indicators to assess sustainable supply chain performance in the palm oil industry.
H1: There are opportunities for implementing indicators to assess sustainable supply chain performance in the palm oil industry.

III. METODOLOGY

III.1 RESEARCH STAGES

The Bayesian Network (BN) is a probabilistic graphical model that illustrates a set of variables along with their interrelationships. The probability of a relationship between related or unrelated events can be displayed using a Bayesian network. A Bayesian network is represented by graphs with nodes that serve as variables or hypotheses for a given assertion. Two primary components comprise the Bayesian Network [46]:

A. Graph structure

A directed acyclic graph (DAG) is a directed graph that lacks directed cycles, and it is the type of graph structure found in Bayesian networks. A DAG is made up of edges and nodes. Nodes represent random variables, and direct dependency links—causal relationships between connected variables—are represented by edges. There is a conditional independent relationship between the variables if there are no edges.

B. A group of parameters

The conditional probability distribution is defined by the parameter set for every variable. Bayesian Network is built using a statistical approach called Bayes' Theorem, namely conditional probability. Conditional Probability is denoted by the chance of a condition A if it is known that condition B has occurred. The flow diagram for building a Bayesian network model in studying sustainable supply chain management in the palm oil industry and its implications for open innovation consists of several stages: (1) Identity and formulation problem, (2) Gathering information/ Data Collection, (3) Data testing, (4) Modeling Bayesian Network and (5) Data Analysis (Figure 5).

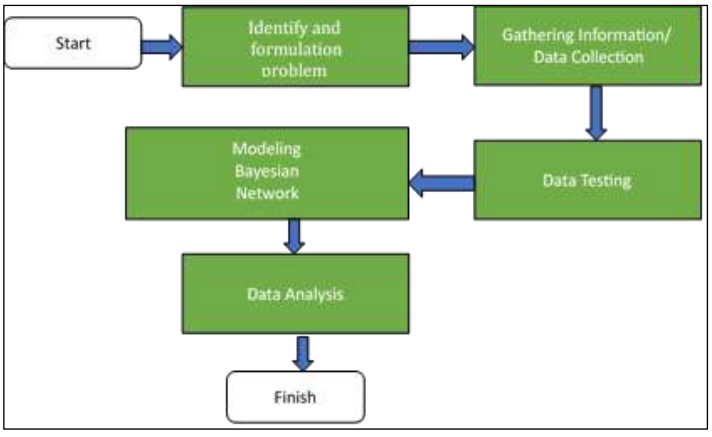


Figure 5: Research flowchart.
Source: Authors, (2025).

III.2 IDENTIFY AND FORMULATION PROBLEM

Start by learning everything there is to know about PTPN III Indonesia's palm oil sector. This entails researching the industry's operating environment and social, economic, and geographic contexts. Determine the unique opportunities and problems facing the region's palm oil industry. This could involve supply chain effectiveness, market dynamics, regulatory compliance, socioeconomic

development, and environmental sustainability. Determine the critical elements and variables that affect the supply chain for palm oil's sustainability. Consider both quantitative and qualitative variables that may impact the sustainability of the supply chain and their interrelationships. Formulate a Bayesian network model to represent the probabilistic relationships between the critical variables identified in the previous steps.

III. 3 DATA COLLECTION

The data used in this research was collected by distributing questionnaires to respondents at PT Industri Nabati Lestari (PT.INL) KEK Sei Mangkei, PT PTPN III, North Sumatra, Indonesia. Sixteen respondents consisted of operational managers (Two Respondent), supply chain managers (Two Respondent), financial managers (One Respondent), human resources managers (One Respondent), and parties supervising crude palm oil products and other derivative products (Ten Respondent). These respondents were selected because daily operations in the palm oil supply chain, such as planting, harvesting, processing, and distribution, are under the purview of operational managers. Comprehending the consequences of a sustainable supply chain model is essential for maximizing operational effectiveness, cutting expenses, and guaranteeing adherence to social and environmental norms. From the procurement of raw materials to the delivery of completed goods, supply chain managers manage the complete flow of commodities and information.

They must guarantee that the supply chain is robust, sustainable, and adaptable to the shifting needs of the market. The Bayesian network model offers insights that can be used to manage inventories better, find bottlenecks, and strengthen ties with suppliers. Data extracted from the questionnaire were responses related to Productivity of the palm oil industry, Financial performance and financial competitiveness of the palm oil industry, Business transparency Commitment to transparency and traceability, Ease of access to price information, Logistics Optimization, The educational level of industrial employees, Availability of infrastructure for agricultural activities, Ethics and awareness of entrepreneurs regarding palm oil businesses, Working conditions, employee rights, and welfare of palm oil industry employees, Area of managed palm oil plantations, Implementation of ISO 14000 standards, Environmental pollution and Environmental Management System.

III.4 MODELLING BAYESIAN NETWORK AND DATA ANALYSIS

The research used 13 triple-bottom-line economic, social, and environmental variables (Table 1). The relationship between 13 variables was modeled using the structural Bayesian model on R-Studio version 0.98.1014. The resulting model was used to implement sustainable supply chain management in the palm oil industry. The data obtained was processed using the following stages: 1. Collecting data on economic, social, and environmental dimensions at the research location. The data obtained was neatly organized into Microsoft Excel software; 2. Data pre-processing: (a) data cleaning by deleting data with missing or empty attribute values; (b) data transformation; (c) grouping the attribute or variable values; and 3. System testing is done by measuring the system's classification performance based on accuracy, which is how much data was predicted correctly and the time the system takes to process data. The Bayesian network model workflow consists of six stages: 1) Data pre-processing: data accuracy and data correctness are very important because poor-quality data will produce useless output.

Therefore, this research cleaned data and corrected inconsistencies; 2) The study used a scoring-based approach/search method to build and evaluate models based on score values. The score calculation stops if the value of a model does not have a more significant difference than the previous model; 3) The scoring-based method was equipped with a hill-climbing algorithm. Hill climbing is a heuristic search method that works by giving a score to each parameter to determine the level of connectedness of each parameter using the Bayesian information criterion score function; 4) After obtaining a score for each connected node, the node was visualized in the form of a Directed Acyclic Graph; 5) After the Bayesian network structure was formed, parameter calculations were carried out to obtain the conditional values for the Probability Table; and 6) The final stage is inference. This stage was carried out to see the model's accuracy using the approximate inference approach.

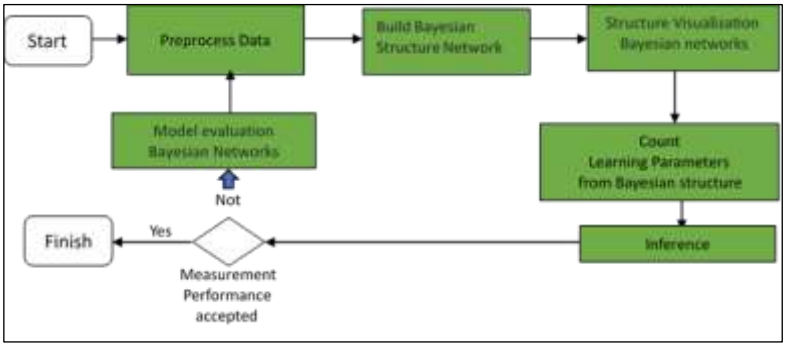


Figure 6: Application of the bayesian network method.
Source: Authors, (2025).

IV. RESULTS AND DISCUSSIONS

IV.1 BAYESIAN NETWORK STRUCTURE

The Bayesian network structure for triple-bottom-line variables in sustainable supply chain management studies began with formulating the problems to be studied. Structures formed using the Hill-Climbing method are popular for obtaining high-quality Bayesian network structures. Instructions used to form structure learning in the Bayesian network structure:

> library (bnlearn)
> network=hc(data, score="BIC", max.iter=1000)

Iteration through a scoring-based algorithm assumes the nodes are in an ordered state and starts from a structure that does not have a network. The network formation process will stop if the number of iterations is met. Data processing in this study is presented in Table 2 below:

Table 2: Data adjustment results.

No	Q3	Q4	Q5	Q6	Q8	Q9	Q10	Q11	Q12	Q13	Q14	Q15	Q16	Q17
1	Manager	Male	s1	> 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2	Manager	Female	s1	> 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
3	Manager	Male	s2	< 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
4	Other	Female	s1	< 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
5	Manager	Male	s2	> 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
6	Other	Female	s1	< 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7	Other	Male	s2	> 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
8	Manager	Male	s2	> 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
9	Other	Female	s2	> 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
10	Manager	Male	s2	> 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
11	Manager	Male	s2	> 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
12	Other	Male	s2	> 40 year	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	No
13	Other	Male	s1	< 40 year	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	No
14	Other	Male	s2	< 40 year	Yes	Yes	No	Yes	Yes	No	Yes	Yes	Yes	No
15	Other	Male	s2	< 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
16	Other	Male	s1	< 40 year	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Source: Authors, (2025).

Note: S1 = Bachelor; S2 = Master's; Yes = 1; No = 0

Table 3: Conditional probability table (CPT) bayesian optimal results bayesian network parameters.

Occupation (Q3)	Age (Q3)	Sex (Q4)	Education (Q3)
Manager (0.1666667)	< 40 (0.6578947)	Male (0.7352941)	S2 (0.4411765)
Other (0,8333333)	>40 (0.3421053)	Female (0.2647059)	S1 (0.5588235)

Source: Authors, (2025).

The questionnaire produces respondent profiles according to occupation, gender, highest level of education, and age.

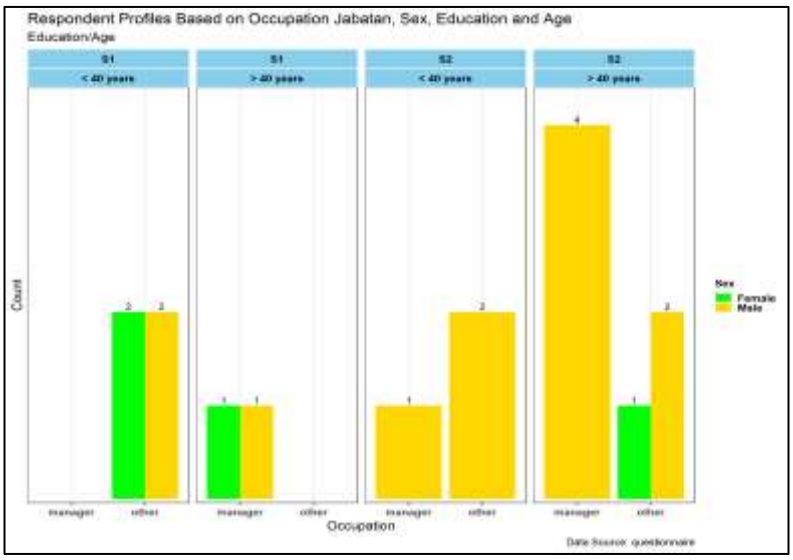


Figure 7: Respondent's profiles.
Source: Authors, (2025).

The average respondent profile is that of a man aged >40 years with a master's degree who is working as a manager. In addition, other respondents were managers and other occupations aged >40 years and <40 years with a bachelor's degree. Globalization makes

company competition increasingly fierce. This situation requires every company to improve their activities to maintain their existence in the long run.

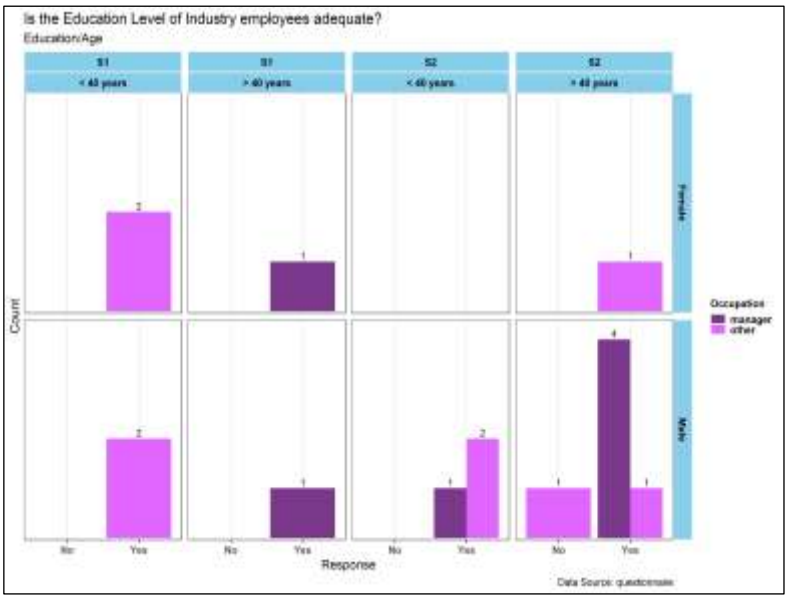


Figure 8: The educational level of industry employees.
Source: Authors, (2025).

Unquestionably, globalization has increased the level of corporate rivalry. Because of the fierce competition, every business must enhance every facet of the organization to stay in business and grow. Human resources (HR) are one illustration of the most crucial component of an organization's success. Since HR is the primary factor influencing every aspect of business success, HR is the organization's central figure. Any firm that wants to succeed must have credible human resources because they make all actions and objectives real. The research revealed that 93.8% of industrial employees felt their education level needed to be improved, while 7.2% felt insufficient.

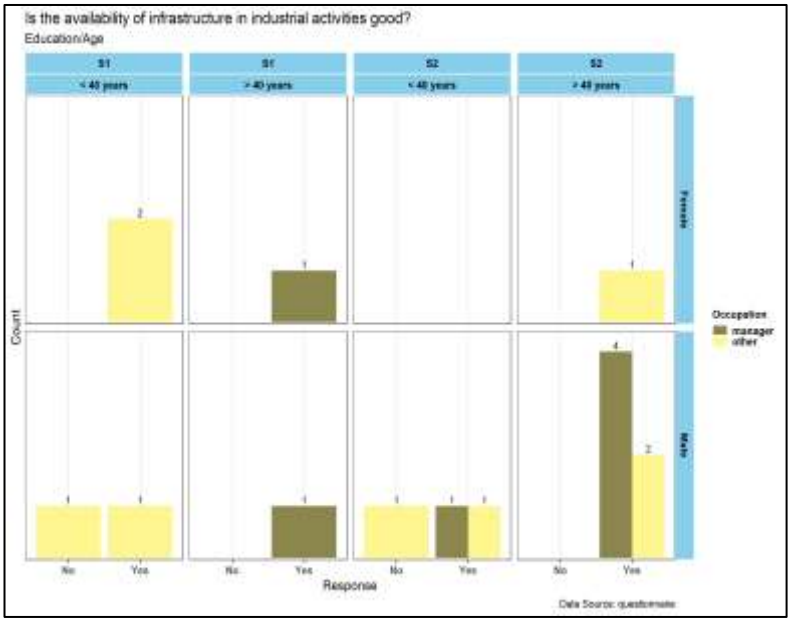


Figure 9: Infrastructure variable.
Source: Authors, (2025).

Figure 9 shows respondents working as managers aged >40 with a master's degree background (S2) who responded that the availability of infrastructure in their palm oil company was considered satisfactory. The seamless operation of industrial zones is significantly dependent on the availability of infrastructure. According to the answers to a survey on infrastructure availability, 87.5% of participants claimed that industrial operations had good infrastructure, while 12.5% said that it did not. One of the components in the engine of economic expansion is infrastructure. Increasing productivity and accessibility for people in their activities is one of the functions of infrastructure.

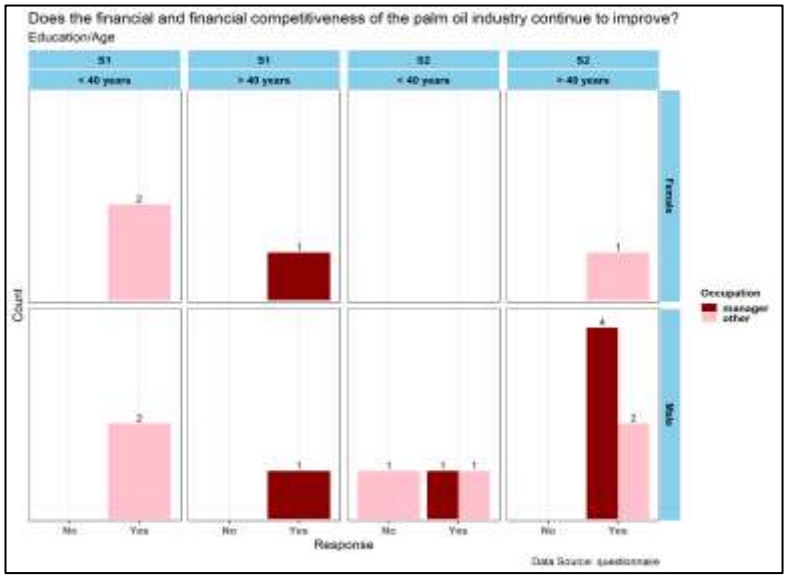


Figure 10: Financial competitiveness variable.
Source: Authors, (2025).

Figure 10 shows that respondents working as managers aged >40 with a master's degree level (S2) responded that their palm oil industry's financial performance and competitiveness are rising. Economic performance is one parameter for evaluating financial reports and determining if a business is performing well or not, as well as for observing and forecasting a company's future. According to the survey results, 93.8% of respondents said their financial competitiveness had increased, while 6.2% said it had not.

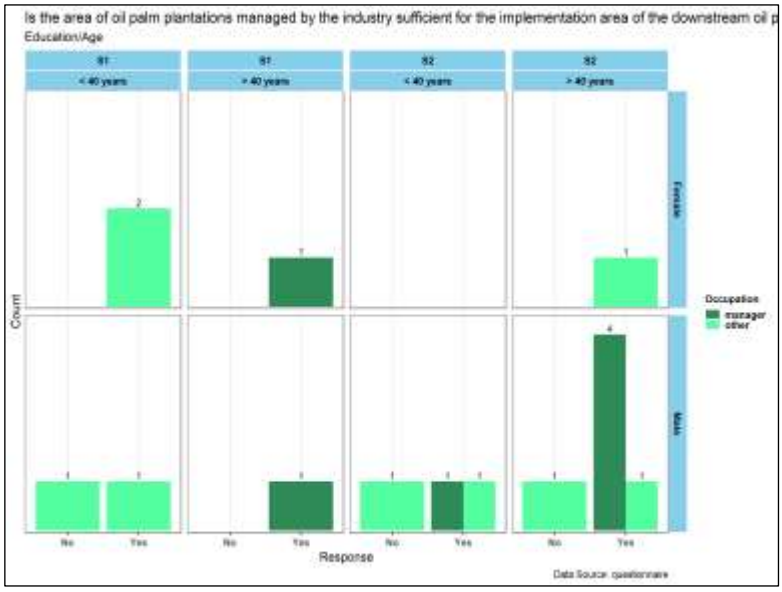


Figure 11: Area plantations variable.
Source: Authors, (2025).

Based on Figure 11, respondents working as managers aged >40 with a master's degree background (S2) responded that their palm oil plantation area managed by their industry is sufficient for the downstream business implementation. Six respondents said the oil palm plantation land managed by their industry already encompasses the downstream implementation. The land in Indonesia has the potential to be used as an oil palm plantation, estimated to be around 47 million hectares; high potential of around 25 hectares, medium potential of around 3.4 hectares, and low potential of about 18.6 hectares, according to data from the Agricultural Research and Development Agency, Ministry of Agriculture. With approximately 15 million hectares of plantation land currently in use, over 68% is still usable.

IV.2 BAYESI=AN NETWORK STRUCTURE VISUALIZATION

The visual representation of the probabilistic interactions between variables in a graphical manner is known as Bayesian network structure visualization. Nodes represent variables, and dependencies—which show causal or conditional relationships—are demonstrated by edges. Understanding intricate interdependencies and the spread of uncertainty within a network is made easier with the help of visualization. It makes scenario analysis, variable identification, and model interpretation easier. Probabilistic graphical models (PGMs), which represent joint probability distributions, and directed acyclic graphs (DAGs), in which nodes are ordered hierarchically based on causal interactions, are two popular visualization techniques. These visual aids improve communication by helping stakeholders understand the dynamics and structure of Bayesian networks so they can make well-informed decisions across various industries.

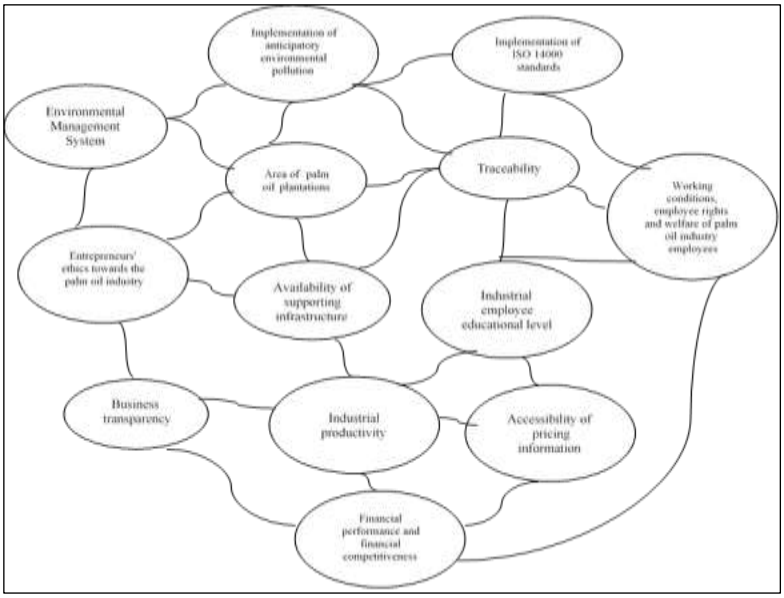


Figure 12: Structure of Bayesian network in sustainable supply chain management.
Source: Authors, (2025).

The assessment was done heuristically using the Hill-Climbing algorithm by studying the data network structure and estimating the local discovery model. Based on the Bayesian network plot, the results of the Hill-Climbing algorithm identified an illogical relationship (occupation influences age). Thus, modifications to the network structure were carried out.

IV.3 CALCULATING LEARNING PARAMETERS

Once the Bayesian network structure was formed, each node was calculated to produce parameter values indicating each variable's probability value. This learning parameter calculation used Bayesian Estimation to obtain CPT values (Conditional Probability Figures 13 and 14).

Q13: Company financial performance
Q12: Availability of supporting infrastructure for the palm oil industry
Q10: Educational level of palm oil industry employees
Q17: Area of palm oil industrial land

The structure in Figure 13 shows the relationship between variables Q10 (educational level of palm oil industry employees) and Q13 (company financial performance). The probability of employee education accomplishing sustainable performance in palm oil's supply chain is 91.2%. In addition, the probabilities for financial performance and infrastructure availability in supporting the sustainable performance of palm oil's supply chain are 85.3% and 91.2%, respectively.

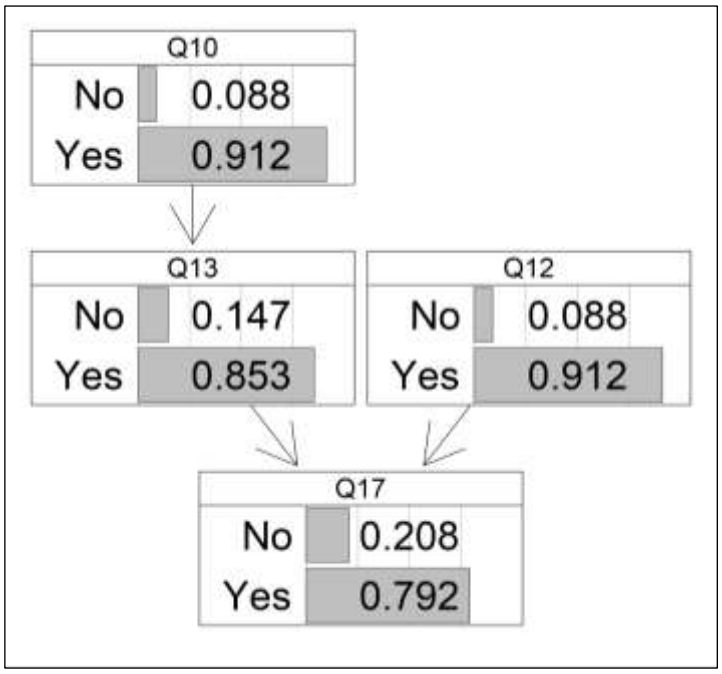


Figure 13: Result of Bayesian network-Hill Climbing.
Source: Authors, (2025).

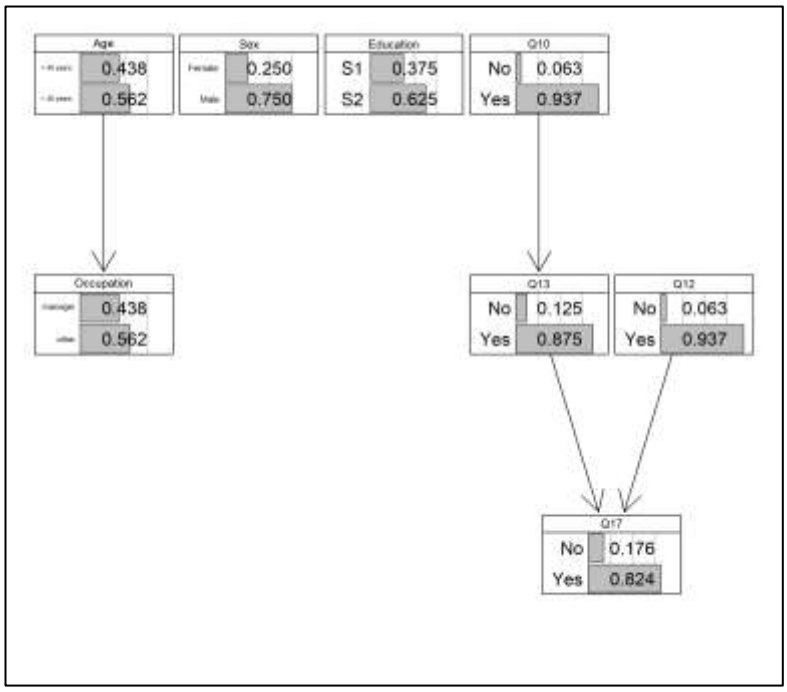


Figure 14: Modification results of Bayesian network-Hill Climbing.
Source: Authors, (2025).

Modifications to the Bayesian network on the Hill-Climbing network found the relationship between age and occupation variables. Besides, the relationship between the level of education on the company's financial performance and the area of land used was also found. The educational level of palm oil industry employees influences the company's financial performance, while company financial performance influences the location of palm oil industrial land. This is consistent with the assertion that a business operates effectively with satisfactory economic performance.

According to [47], while firm profit findings are significant, additional information from financial reports that still needs to be integrated must be carefully examined. According to [48], an analysis of a financial report can provide information about sustainable palm oil's performance and financial situation in Indonesia. Company financial performance influences the area of palm oil industrial land; this is consistent with the ability of a business to invest in land for the production of palm oil based on its financial standing. Financial solid performance gives firms more accessible access to finance, which enables them to buy additional land for farming. This growth potential may immediately affect the area used for palm oil production [49].

IV.4 MODEL TESTING

Model testing on Bayesian network SSCM analysis for the palm oil industry at PT PTPN III using triple bottom line indicators and dimensions was carried out using approximate inference, hoping that the results obtained are comparable to the actual probability. Approximate inference is used to evaluate the results obtained in structure learning and parameter learning. The results of assessing the strength of edges/arcs/arrows (relationships) using the Pearson $\chi 2$ test (Pearson Chi-Square) are presented in Table 3 below:

Table 4: Strength of the variable's relationship Bayesian network SSCM analysis for the palm oil industry at PT PTPN III.

From	To	Strength
Q13	Q17	0.00055*
Q12	Q17	0.00091*
Q10	Q13	0.00629*
Occupation	Age	0.03924*
Q17	Occupation	**0.09014**
Education Level	Age	**0.1309**

Source: Authors, (2025).

Note: (*) The lower the value, the stronger the relationship; Bold text: not significant/weak/ inconsistent with the data (> 0.05)

Bayesian network calculation found economic, social, and environmental dimensions that strongly influence sustainable supply chain performance in the palm oil industry: company financial performance (0.00055). Companies that exhibit solid financial performance have the means to allocate resources toward sustainability projects. This could involve reducing environmental influence, such as planting new trees, protecting biodiversity, or implementing sustainable land management techniques. The amount of palm oil industrial land and its management techniques may change as a result of these initiatives [50], availability of supporting infrastructure (0.00091) To convert fresh fruit bunches (FFBs) into crude palm oil (CPO) and then further refine it into a variety of derivative products, infrastructure such as mills and refineries is necessary. It is ensured that gathered palm fruits are processed effectively, minimizing waste and environmental

impact, by having access to well-maintained processing facilities [51], and employee education (0.00629) The findings of the field visit indicate that knowledgeable staff members are more likely to understand the significance of sustainable practices in the production of palm oil. Their knowledge of their work's effects on the environment and society makes them more capable of implementing sustainable practices at every stage of the supply chain, from agriculture to harvesting to processing.

Occupation has a more substantial relationship with age (0.03924). Elderly workers must adjust to changing environmental norms, technology, and market demands even though their experience is valued. There is growing pressure on the palm oil sector to embrace more environmentally friendly methods, like lessening deforestation, preserving biodiversity, and upholding human rights. Older workers must be willing to learn and adopt new strategies to tackle these obstacles. According to [9] Putting money into training and development initiatives can enable employees of all ages to support the palm oil industry's sustainable objectives. These programmers can offer chances for lifelong learning, skill development, and career advancement, guaranteeing that the labor force is flexible and can effect constructive change.

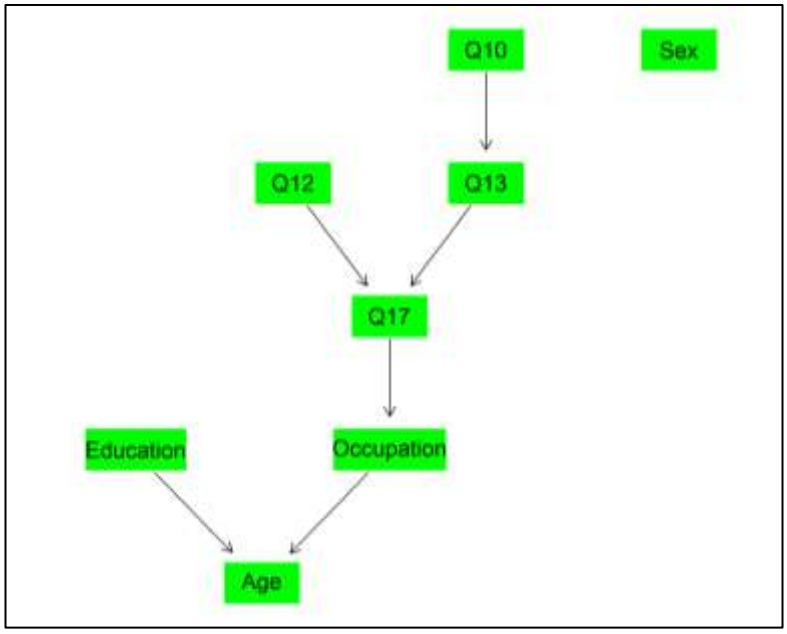


Figure 15: Variable's relationship.
Source: Authors, (2025).

The Bayesian network model in sustainable supply chain management in Indonesia's palm oil sector can encourage transparent innovation. The palm oil industry in Indonesia often intersects with sensitive characteristics such as social responsibility, environmental sustainability, and economic prosperity. Therefore, using Bayesian network models in sustainable supply chain management can encourage open innovation. Bayesian networks in sustainable supply chain performance provide five benefits. The first advantage is that it helps in resolving complex decisions. In dealing with complex uncertainty scenarios in a system, the Bayesian network model can simulate and simplify various variables/factors appropriately to find good choices in sustainable supply chain studies. In sustainable supply chain operations, Bayesian networks detect prospective risks and their likelihood of occurrence, enabling probabilistic risk assessment. Decision-makers can use the models to set priorities for risk mitigation techniques, distribute resources wisely, and create backup plans in case of uncertainties and vulnerabilities.

Bayesian networks facilitate proactive risk management and resilience-building in supply chain sustainability by measuring hazards and their possible effects. These advantages enable stakeholders to construct more sustainable decisions while comprehensively analyzing environmental, social, and economic aspects. Aguilera et al. [52] studied using Bayesian networks for modeling environmental system management in the ISI Web of Knowledge. Later, McDonald et al. [53] explored using Bayesian networks for ecological risk assessment in freshwater and estuarine ecosystems. Still related to environmental issues, Sperotto et al. [54] investigated the use of Bayesian networks for the evaluation of climate change in environmental management, and Phan et al. [55] reviewed the application of Bayesian networks for water resources management in various water management domains and geographic locations. However, studies have yet to evaluate the application of Bayesian networks as a decision-support tool to identify appropriate options for sustainable supply chain performance. Creating a measuring system that facilitates coordination for collaborative decision-making is crucial to supply chain management [56].

This mechanism can help independent members align their goals and coordinate their actions to maximize the chain's performance [12]. Furthermore, optimal supply chain design and practice are centered on a seamless and well-managed material flow [57]. A key component of supply chain management is developing a measuring system that makes coordination easier for group decision-making [56]. To maximize the performance of the chain, this mechanism can assist independent members in coordinating their actions and aligning their goals [58]. Moreover, a smooth and well-managed material flow is at the core of ideal supply chain design and practice [57]. Managers must use data mining technology to support their organization's decision-making process and monitor behavior in the complex and demanding business environment. Because of this, BN is widely accepted as an artificial intelligence technique for dealing with ambiguous problems [59].

Table 5: Focus of research on application of BN in supply chain-related areas (selected publications).

Field of Focus	Source
Analyze the performance of the supply chain by combining Monte Carlo simulation and data envelopment analysis.	[60]
Reverse supply chain and product failure rate	[58]
Application of imprecise probability for system reliability assessment	[61]
Decision support under uncertainty in collaborative networks	[62]
Risk assessment of new product development	[63], [64]

Source: Authors, (2025).

Application of BN in supply chain-related areas is Given the observation of complementary subset variables; the BN statistical model can calculate the posterior probability distribution of any unobserved stochastic variable [65], [66]. This methodology provides a comprehensive approach to identifying the relationships and impacts among variables. Additionally, this strategy has been effectively applied to other supply chain-related subjects (Table 4). Supervised learning algorithms are typically employed to construct the network's architecture. The second advantage is risk management and scenario analysis. Bayesian networks make scenario analysis and risk assessment uncomplicated. This ability makes it easier for scholars to predict future difficulties and consider aspects of various options. Risk management in the palm oil sector requires careful consideration of multiple factors while creating a sustainable supply chain. These factors include: The findings of the observations in PT PTPN III Kek Sei Mangkei show that a large number of palm oil farmers prioritize the production process over marketing, placing more emphasis on the quality of their products than on marketing, even though this is one of the issues that palm oil Farmers frequently deal with ineffective distribution and marketing. Setting priority for issues that need to be fixed and projecting the worst-case scenario are crucial components of risk management.

Every business process has a risk management procedure associated with it. Then, to handle risk management, it is necessary to recommend new production techniques, business risk planning, and increased focus and action from palm oil producers and farmers. Sustainable development aims to promote the concept that environmental impacts due to industrial operations can be satisfactorily mitigated through appropriate waste processing systems. In a rapidly ever-changing world, leaders in the supply chain can identify possible sustainability risks and create creative solutions to minimize negative impacts. Example: Understanding the value of working together, PT INL Kek Sei Mangkei addresses social and environmental issues and promotes sustainable practices by directly conversing with palm oil suppliers. The organization offers training and capacity-building support to assist suppliers in meeting certification criteria like RSPO standards and enhancing their sustainable performance. To increase the sustainability of palm oil production, PT INL Kek Sei Mangkei investigates cutting-edge farming methods like agroforestry and precision agriculture in partnership with academic institutions and agricultural specialists (IPB University and Faculty of Agriculture, University of North Sumatra). These strategies increase yields and resilience to climate change while improving soil health, conserving water, and protecting biodiversity. Therefore, proactive risk management will create a culture focusing on appropriate improvements and adaptations, ultimately strengthening supply chain resilience. In the mercury mining industry, Jimenez-Oyola et al.

[67] assessed the dangers of mercury mining on human health using Bayesian networks. In addition, Bayesian network models in the occupational safety aspect enable environmental risk assessment in dams [68], risk investigation of pipeline failure [69], risk assessment of company activities exposed to landslides [70], evaluation of insurability risks and the risk level of refineries against fire and explosion [71], and assessment of the relationship between disease and air pollution at industrial sites and their risks to environmental health [72]. The third benefit is data-driven insights, as organizations can use historical and real-time data to make decisions that support sustainability goals. Organizations can identify areas that need improvement, simplify ineffective work procedures, and use creative approaches to improve sustainability performance in a specific manner or holistically. Requejo Castro [73] explored the benefits of a Bayesian networks approach that can be adopted to integrate expert knowledge and accurately replicate a composite indicator-based conceptual framework. Such integration increases the inference capacity of the model and reduces/quantifies the key variables that explain the predefined objective variables. Additionally, interrelationships between variables that promote better integration can be identified. This approach helps analyze complex problems and provide comprehensive interpretation because the available data drive the identification of variables' relationships. Thus, knowledge about the validity, reliability, and accuracy of using Bayesian network modeling can be further deepened.

The fourth benefit is the availability of collaborative decision-making. The cooperative character of Bayesian networks encourages stakeholders to exchange knowledge, skills, and insights to develop creative solutions in supply chain sustainability. This activity forms a knowledge-sharing culture and cooperation among stakeholders, distributors, producers, and suppliers. The final benefit is the formation of adaptive learning and continuous concept improvement. These activities enable organizations to respond to information, new insights, creative ideas, and constant improvement. A continuous process of innovation in maximizing a company's supply chain performance can be achieved when stakeholders learn from the decisions they made in the past and are also willing to modify their models according to the learning outcomes. Open innovation is needed to drive positive change in the palm oil business in Indonesia. The Bayesian network model has implications for simplifying the relationship of complex variables. Open innovation can potentially be a potent tool in Indonesia's palm oil sector for addressing sustainability, environmental preservation, social responsibility, and economic growth. Working together to co-create solutions and exchange information, resources, and skills with outside partners—research institutes, non-governmental organizations, government agencies, and local communities—is known as open innovation.

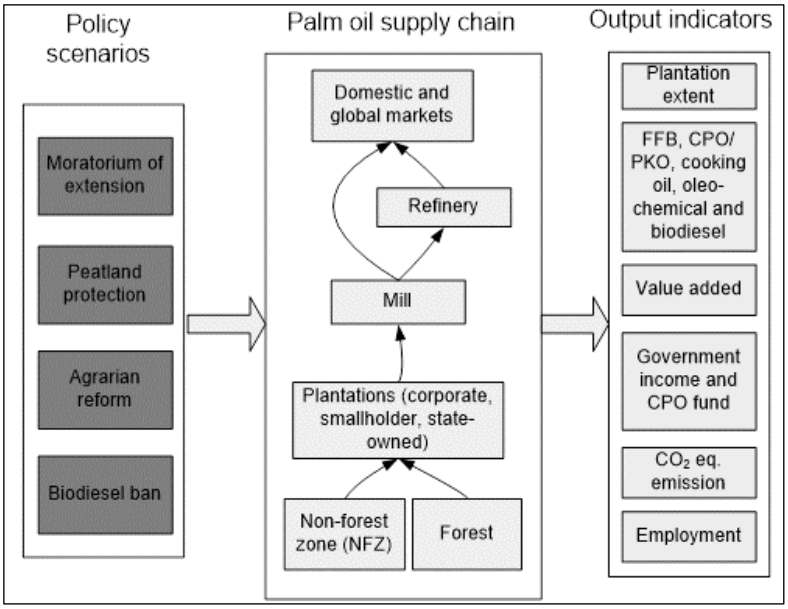


Figure 16: Architecture of the Indonesian Palm Oil Simulation (IPOS) model Source: Center for International Forestry Research (CIFOR), 2020.
Source: Authors, (2025).

There are a few critical factors to consider when utilizing open innovation in the palm oil sector: Transparency and Trust Establishing trust between stakeholders is essential to the success of cooperative open innovation projects. Building trust and ensuring all parties feel appreciated and respected is achieved through transparency in communication, decision-making procedures, and data exchange. A defined method for information sharing, resolving disputes, and making decisions can help reduce the likelihood of miscommunications or confrontations during the innovation process. Through such a course, uncertainty can be resolved, and decision-makers can understand the dynamics in their company's supply chain, including further integration of the supply chain with social, environmental, and economic elements. A thorough understanding is essential in creating creative solutions and balancing profit goals, social issues, and ecological interests.

The collaborative nature of Bayesian network models in assessing frameworks, risks, and scenarios enables stakeholders to estimate possible obstacles and find creative solutions to resolve problems. This proactive approach emphasizes that adaptive, collaborative, and sustainable learning can answer complex issues and deliver the objectives of open innovation across all industries, specifically the palm oil industry. Implementing the Bayesian network model in sustainable supply chain management through this research maximizes sustainability in decision-making that prioritizes transparency and cooperation. Stakeholders can share insights, encourage implementing sustainable practices, ignite innovations, and promote collaboration in creating a more thorough and environmentally friendly palm oil supply chain. A collaborative ecosystem through applying the Bayesian network model in the Indonesian palm oil industry can overcome the conflicting sustainability concepts inherent in this sector through creative problem-solving and knowledge interaction.

V. CONCLUSIONS

This Bayesian network structure was built using the scoring-based method with a Hill-Climbing algorithm approach and the BIC score function. The three variables found by the present study represent a solid relationship based on Pearson's $\chi 2$ (Pearson Chi-Square) calculations. Such a method has been proven to produce a Bayesian network representing the palm oil industry in Indonesia. There are opportunities for implementing indicators for assessing sustainable supply chain performance in Indonesia's palm oil industry: company financial performance (0.00055), availability of supporting infrastructure (0.00091), and employee education (0.00629).

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.136-147. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2725



RESEARCH ARTICLEOPEN ACCESS

ENHANCING SMART GRID MANAGEMENT THROUGH MACHINE LEARNING-BASED HOURLY ENERGY FORECASTING

Atmane Hadji[1], Farid Boumaza[2] and Fatah HADJI[3]

[1]LISI Laboratory, Computer Science Department, University Center A. Boussouf Mila, 43000 Mila, Algeria .
[2]Computer Science Department, University of Mohamed El Bachir El Ibrahimi, Bordj Bou Arreridj 34030, Algeria.
[3]Fundamental Department of Science and Technology , University of Jijel, 18000 Jijel, Algeria .

[1]https://orcid.org/0000-0001-6706-6360, [2]http://orcid.org/0000-0002-9785-420X, [3]https://orcid.org/0009-0007-9343-8341

Email: a.hadji@centre-univ-mila.dz, farid.pgia@gmail.com, fatah.hadji@univ-jijel.dz

ARTICLE INFO

Article History
Received: September 22, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Accurate forecasting ,
Electricity consumption,
Machine Learning,
Hourly energy consumption.

ABSTRACT

Accurate forecasting of electricity consumption with high temporal resolution is essential for smart grid management, especially in the context of increasing integration of intermittent renewable energy sources such as solar and wind power. This transition poses major challenges for grid operators, who must continuously balance supply and demand under conditions of high variability. Traditional forecasting approaches often fail to capture the nonlinear and dynamic patterns of electricity demand, leading to limited predictive reliability. To address these challenges, this study presents a comparative evaluation of six machine learning models for hourly electricity consumption forecasting: Linear Regression, Random Forest, XGBoost, CatBoost, LightGBM, and Multilayer Perceptron (MLP). Model performance was assessed using RMSE, MAE, R^2, Precision, Recall, and F1-score. The results highlight the superiority of ensemble-based models. Random Forest achieved the best performance (RMSE = 396.56, MAE = 161.35, R^2 = 0.9990, F1 = 0.993), followed by LightGBM (RMSE = 544.88, MAE = 309.30, R^2 = 0.9981, F1 = 0.982) and XGBoost (RMSE = 671.42, MAE = 365.31, R^2 = 0.9972, F1 = 0.979). In contrast, Linear Regression and MLP produced significantly weaker results. Overall, this study demonstrates the potential of advanced machine learning, particularly ensemble methods, to substantially improve the accuracy of energy demand forecasting, thereby enabling more reliable smart grid operation and supporting the global transition toward sustainable energy systems.

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I. INTRODUCTION

Electricity consumption is a key indicator for assessing global energy demand, as it directly affects the management of electricity grids and energy planning [1]. With the ongoing shift towards more sustainable energy sources, such as renewable , managing electricity consumption has become increasingly challenging [2]. The factors influencing consumption are numerous and interrelated, including climatic conditions, economic dynamics, technological developments, and social behaviors. For example, electricity demand often peaks during the winter and summer months due to the intensive use of heating or air conditioning systems. Other factors such as economic growth, urban expansion, and the proliferation of networked devices also contribute to increased volatility in energy demand [3].

Accurate forecasting of electricity consumption is critical for several reasons. It ensures a balance between supply and demand, helping to avoid overloads or power outages and plays a pivotal role in integrating unstable renewable energy sources into the grid while maintaining its stability. Effective forecasting also contributes to improving supply strategies and reducing operating costs, as well as reducing carbon emissions by prioritizing renewable energies over fossil fuels [4]. However, forecasting energy consumption faces significant challenges, most notably the complexity of the data, the nonlinear relationships between influencing factors, and the

variability in the characteristics of electrical grids between regions. Although statistical models and traditional approaches have been used in the past, they often fail to represent the complex temporal correlations and dynamic patterns within electricity consumption data. This shortcoming has led to growing interest in leveraging machine learning techniques to overcome these challenges and improve prediction accuracy [5]. In this context, this work aims to explore the potential of machine learning models in enhancing the accuracy of energy consumption forecasting. We conduct a comprehensive comparative analysis of several machine learning models, including: linear regression, Random Forest, XGBoost, CatBoost, LightGBM, and multilayer perceptron (MLP), based on hourly electricity consumption data. By evaluating these models in terms of accuracy and generalization ability, we seek to provide a deeper understanding of their strengths and weaknesses when used for high-time-resolution energy forecasting. This study emphasizes the pivotal role of machine learning in addressing modern energy management challenges and highlights its contribution to improving the efficiency of electrical networks and supporting the transition to more sustainable energy systems.?The main objectives of this study are as follows:

1. To enhance forecasting accuracy of hourly electricity consumption by applying advanced machine learning techniques capable of capturing nonlinear and dynamic demand patterns.
2. To conduct a comprehensive comparative evaluation of different machine learning models (Linear Regression, Random Forest, XGBoost, CatBoost, LightGBM, and MLP) in terms of prediction accuracy and reliability.
3. To identify the most effective models for high-resolution forecasting using key performance indicators such as RMSE, MAE, R^2, Precision, Recall, and F1-score.
4. To assess the potential of ensemble methods (Random Forest, XGBoost, LightGBM, CatBoost) in outperforming traditional approaches and single neural models.
5. To provide insights for smart grid management, highlighting how accurate predictions can improve energy demand balancing, operational efficiency, and the integration of renewable energy sources.
6. To contribute to the transition toward sustainable energy systems by demonstrating the role of machine learning in supporting reliable, data-driven energy management strategies.

The remainder of this paper is organized as follows: Section II reviews the related works in the field. Section III outlines the methodologies adopted in this study. Section IV details the experimental methodology employed to implement and evaluate the models. Section V presents and discusses the results along with their evaluation. Finally, Section VI concludes the paper and highlights perspectives for future research.

II. RELATED WORKS

For several decades, electricity consumption forecasting has been a key area of research aimed at improving the efficiency and stability of smart grids (SG). Depending on the time horizon, research is generally classified into four categories: (i) very short-term forecasting (minutes to hours) useful for immediate operational decisions [6], (ii) short-term forecasting (days to a week) applied to daily planning [7], (iii) medium-term forecasting (one week to one year) for resource allocation [8], and (iv) long-term forecasting (beyond one year) for strategic planning and capacity development [9]. Initial approaches exploited artificial neural networks (ANNs) due to their ability to model non-linear behaviour. For example, Kohonen's self-organising maps were applied to forecasting daily consumption in Spain, with an error rate of less than 2.5% [10]. Similarly, polynomial networks combined with ordinary differential equations have shown competitive performance in short-term load forecasting [11]. Subsequent work has focused on integrating meteorological factors and subnetwork decomposition to improve accuracy, combining ANN, ARIMA and grey models (GM) [12]. To further enhance this accuracy, hybrid models incorporating feature selection techniques and meta-heuristic algorithms have been proposed [13].

The use of deep learning has also proven effective, particularly for capturing residential consumption sequences [14], although this involves high computational costs. In the same vein, extending the ARMAX model to Hilbert space has improved the forecasting of functional time series such as electricity prices [15]. From 2018 onwards, the focus shifted to combining optimisation methods and deep learning. For example, approaches combining deep neural networks and optimisation heuristics have achieved significant gains in accuracy [16]. The use of optimised Elman-type networks has also confirmed their effectiveness in forecasting loads in smart grids [17], while online SVM-based methods have been explored for real-time forecasting [18]. At the same time, studies applied to microgrids have shown the impact of forecasting errors on the balance between supply and demand. Comparisons between neural networks, multilayer perceptrons, LSTMs and ensemble prediction networks (EPNs) have shown that the latter significantly reduce forecasting errors and operating costs [19]. New algorithm variants, such as the Extreme Learning Machine (ELM) and its improved kernel-based version (KELM), have demonstrated a greater ability to capture the complexity of electricity prices [20].

More recently, the integration of reinforcement learning for multi-period scheduling of microgrids [21] has reduced costs while speeding up computation. New combinations such as LS-SVM combined with the BCC algorithm [22] have also proven effective in terms of speed and accuracy. For renewable production, ANN models applied to solar forecasting [23] and improved regression methods [24] have increased the reliability of forecasts, while the use of K-means for irradiance has been criticised for its lack of robustness [25]. Finally, several recent approaches explore hybrid and ensemble models. Models combining neural networks, wavelet transformation and simulated annealing (FFANN-WT-SA) have improved one-day forecasting [26], while ensemble techniques such as Gradient Boosted Trees have shown superiority over other methods [27]. The evaluation of multiple algorithms (ARIMA, SARIMA, SVM, XGBoost, RNN, LSTM) confirmed that sequential models (RNN, LSTM, RNN-LSTM) provide the best performance for university campus microgrids [28].In summary, the evolution of the work shows progress: from classical neural models to hybrid methods integrating optimization , deep learning and IoT. Recent approaches highlight a trade-off between increased accuracy and computational costs, while paving the way for integrated solutions for smart grids and microgrids.

III. METHODOLOGIES

In this study, we present an in-depth analysis of the application of machine learning techniques in predicting electricity consumption based on hourly time-accurate data. The analysis included a comparison of several models [20], ranging from traditional methods such as linear regression to more advanced techniques such as Random Forest, XGBoost, CatBoost, LightGBM, and multi-layer perceptron (MLP) neural networks from the field of deep learning [29]. Each algorithm has distinct characteristics and specific advantages that affect its ability to capture complex temporal patterns and improve prediction accuracy. This work highlights the importance of combining traditional and modern approaches to address the challenges associated with the complexity of energy data, while offering a new perspective on developing solutions tailored to the needs of contemporary energy systems, highlighting the strengths and weaknesses of each approach [30].

III.1. MODELS OVERVIEW

This section presents the machine learning algorithms used in the proposed approach [31].

III.1.1 Linear Regression (LR)

Linear regression is a statistical method used to model the relationship between a dependent variable and independent variables on a linear basis. It relies on minimizing the mean square error between actual and predicted values. Despite its simplicity, it is widely used as a baseline in forecasting studies. In the context of energy consumption, this model allows for capturing simple relationships between consumption and factors such as temperature or time of day. Although it is limited in dealing with non-linear relationships, it remains an important option due to its transparency and interpretability.

III.1.2 Random Forest (RF)

Random Forest is an ensemble algorithm that builds multiple decision trees on random samples of data and then aggregates their results to improve robustness and reduce overfitting . In energy consumption forecasting, its strength lies in handling complex relationships and identifying the variables that most influence consumption, which helps to understand the drivers of demand. Its robustness to noise and high-dimensional data also makes it an effective choice.

III.1.3XGBoost

XGBoost is an improved version of Gradient Boosting, where models are built sequentially to correct the errors of previous models. It incorporates advanced techniques such as regularization and parallel processing, giving it high performance with good computational efficiency. Its ability to handle complex relationships and time series data makes it particularly relevant for forecasting hourly consumption, which is characterized by high volatility. Its internal regularization prevents overfitting and enhances the reliability of forecasts.

III.1.4 CatBoost

Designed to handle categorical variables efficiently, CatBoost is a stepwise boosting algorithm that provides advanced regularization techniques to reduce overfitting and produces accurate and fast forecasts. For hourly data that includes categorical variables (such as days of the week), CatBoost provides accurate modeling with minimal preprocessing, which is an important advantage in this domain.

III.1.5 LightGBM

LightGBM is a fast and efficient gradient boosting model that uses a leaf-wise growth strategy to improve accuracy when dealing with large and complex datasets. This model is particularly effective with large-scale time series data, combining speed and high accuracy with a good ability to handle unbalanced data.

III.1.6 Multi-Layer Perceptron (MLP)

MLP is a type of artificial neural network consisting of several fully interconnected layers. Thanks to the use of nonlinear activation functions, it can capture complex relationships in data, making it suitable for multiple tasks, including time series forecasting. In the context of energy, it can model complex patterns such as consumption peaks. Its flexibility and ability to learn deep relationships make it a promising choice for dealing with dynamic and complex data.

III.1.7 Model selection criteria

The selection of these models was based on rigorous scientific criteria [32]. , the most important of which are :

1. Handling linear and nonlinear relationships: Combining linear (e.g., linear regression) and nonlinear (e.g., RF and XGBoost) models to achieve comprehensive analysis.
2. Performance with time series: Models such as XGBoost and LightGBM have shown superiority in handling complex hourly data.
3. Robustness and efficiency: Ensemble models such as RF, CatBoost, and LightGBM offer high accuracy while reducing the risk of overfitting.

4. Flexibility in data processing: CatBoost excels with categorical data, while MLP offers the ability to capture complex dynamic relationships.
5. This methodological diversity provides a solid basis for comprehensive comparison and ensures interpretable and reliable results, contributing to a more accurate understanding of changes in energy consumption and more effective forecasting.

III.2 PERFORMANCE EVALUATION MEASURES

Evaluating the performance of machine learning models is crucial for assessing their effectiveness and ability to make accurate predictions. Several metrics are commonly used to evaluate prediction accuracy and model quality. Among these are **RMSE** (Root Mean Square Error), **MAE** (Mean Absolute Error), and **MAPE** (Mean Absolute Percentage Error).

IV.2.1 RMSE (Root Mean Square Error)

RMSE is a widely used metric for measuring the difference between predicted values and actual values. It penalizes larger prediction errors more heavily due to its squared error approach. The RMSE measures the average squared difference between predicted and actual values

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

- y_i: Actual values.
- $\hat{y}_i$: Predicted values.
- n: Total number of observations.

IV.2.2. MAE (Mean Absolute Error)

MAE measures the average of the absolute errors between predicted values and actual values. Unlike RMSE, it does not disproportionately penalize large errors, making it more robust against outliers. MAE provides a simpler and less outlier-sensitive estimate of error, which is useful when it is important to treat all errors equally. The MAE calculates the average absolute differences between predicted and actual values.

$$MAE = \frac{1}{n}\sum_{i=1}^{n} | yi - \hat{y}i | \quad (2)$$

- $|y_i - \hat{y}_i|$: Absolute difference between actual and predicted values.

IV.2.3. Coefficient of Determination (R^2)

The **Coefficient of Determination (R^2)** is a statistical metric used to assess how well a regression model explains the variance in the dependent variable (target). It indicates the proportion of the total variance in the actual data that is captured by the model's predictions. The R^2 indicates the proportion of variance in the data explained by the model.

$$R^2 = \frac{\frac{1}{n}\sum_{i=1}^{n}(yi - \hat{y}i)^2}{\frac{1}{n}\sum_{i=1}^{n}(yi - \bar{y})^2} \quad (3)$$

- y_i: Actual values.
- $\hat{y}_i$:Predicted values.
- $\bar{y}$: Mean of actual values.
- R^2: ranges from 0 (no variance explained) to 1 (all variance explained).

To assess and compare the performance of our models, we employ the standard evaluation metrics **precision**, **recall**, and the **F1-score**. Precision reflects the proportion of correctly predicted positive instances among all instances labeled as positive by the model, thus measuring the reliability of predictions. Recall quantifies the proportion of correctly predicted positives relative to all actual positives, highlighting the model's capacity to capture relevant cases. The F1-score, defined as the harmonic mean of precision and recall, provides a balanced indicator that accounts for both accuracy and completeness [33]. As emphasized the precision corresponds to the ratio of true positives to the total number of predicted positives.

$$\text{Precision} = \frac{\text{Correct}}{\text{Correct} + \text{Spurious}} \quad (4)$$

Recall is the fraction of the valid annotations over the total amount of annotations. It is formally defined as:

$$\text{Recall} = \frac{\text{Correct}}{\text{Correct} + \text{Missing}} \quad (5)$$

F-measure is defined as the harmonic mean of two factors, precision and recall. It is formally as:

$$F1 = \frac{2 * \text{Precision} * \text{Recall}}{(\text{Precision} + \text{Recall})} \quad (6)$$

IV. EXPERIMENTAL METHODOLOGY

IV.1 DATASET DESCRIPTION

The dataset employed in this study originates from the ENTSO-E[1] (European Network of Transmission System Operators for Electricity) platform, which serves as a key reference source for collecting, aggregating, and disseminating data related to electricity generation and consumption across Europe. Since 2019, the statistics published by ENTSO-E have been derived from the Transparency Platform, in compliance with the Transparency Regulation, ensuring standardized formats and near real-time availability of information. Although the primary purpose of these data is not statistical reporting, their reliability, temporal granularity, and wide geographical coverage make them an indispensable resource for modeling and analyzing energy demand. For the purpose of this study, we selected the dataset corresponding to the year 2024, specifically the Monthly Hourly Load Values, which provide hourly aggregated electricity load values by European country.

Each record in the dataset corresponds to a consumption measurement for a given hour, allowing for a detailed analysis of temporal dynamics in electricity demand, including daily, weekly, and seasonal variations. The dataset is structured into several well-defined fields (Table 1). This homogeneous structure facilitates straightforward processing and comparative analyses. The strength of this dataset lies in its hourly granularity combined with its European scope, which enables researchers to examine short-term variability in electricity demand while also capturing structural trends over longer periods. Moreover, by aggregating loads at the national level, ENTSO-E provides a consolidated basis for cross-country comparisons of energy consumption patterns, the influence of climatic conditions, economic cycles, and the effects of energy policies.

These characteristics make the Monthly Hourly Load Values 2024 dataset a central resource for studies focused on electricity demand forecasting, smart grid optimization, and resilience assessment of energy systems at the continental scale. This study utilized a dataset of approximately 25,000 hourly records of electricity consumption, providing a detailed representation of load fluctuations and enabling the analysis of consumption patterns over time. The dataset is particularly valuable due to several characteristics: its relatively large size offers a robust foundation for experimental evaluation; its fine-grained temporal resolution (hourly) makes it highly suitable for short-term forecasting; its broad geographical coverage allows for cross-regional comparisons of consumption behaviors; and the inclusion of timestamp values contributes to model stability and enhances forecasting accuracy. The dataset consists of several key attributes, as follows:

Table 1: Dataset atributes.

Column Name	Example	Meaning	Use in Modeling
MeasureItem	Monthly Hourly Load Values	Type of measurement (here: hourly load values aggregated monthly)	Metadata, useful for filtering measurement types
DateUTC	01-01-2024 00:00	Exact date and time of the measurement (UTC)	Used to create time-related features (hour, day, month, season, weekday)
DateShort	01-01-2024	Simplified date without time	Enables daily analysis or aggregation
TimeFrom	00:00	Start time of the hourly interval	Defines the measurement window
TimeTo	01:00	End time of the hourly interval	Defines the measurement window
CountryCode	AL	ISO country code (e.g., Albania)	Categorical variable (requires encoding if multiple countries are included)
Cov_ratio	100	Data coverage ratio (%)	Useful for assessing data quality and filtering incomplete records
Value	731	Recorded electrical load in MW	Main target variable
Value_ScaleTo100	731	Scaled value (0–100) or same as Value	Optional, useful for normalization and stable learning
CreateDate	06-12-2024 14:36:48	Record creation timestamp	Metadata (traceability), usually not used in modeling
UpdateDate	06-12-2024 14:36:48	Last update timestamp	Metadata (data freshness), usually not used in modeling

Source: Authors, (2025).

IV.2 DATASET PREPARATION AND PREPROCESSING

In this study, the dataset (year 2024, approximately 2,500 records) was carefully preprocessed to ensure data quality, consistency, and suitability for machine learning applications. The preparation process involved multiple stages:

1. Temporal conversion and feature extraction: The DateUTC column was transformed into a standard datetime format, from which temporal attributes were derived, namely hour, day, month, and weekday. These variables capture short- and medium-term temporal dynamics of electricity consumption.

[1] https://www.entsoe.eu/data/power-stats/

2. Categorical encoding: The variable CountryCode, representing geographical regions, was encoded into numerical values using categorical encoding techniques. This transformation allowed the integration of categorical information into models that require numeric inputs.
3. Definition of target and predictors: The target variable is energy consumption (Value), while the selected predictors are [hour, day, month, weekday, CountryCode]. This feature set balances temporal resolution with geographical diversity, ensuring interpretability and predictive strength.
4. Train/test split: To enable robust evaluation, the dataset was partitioned into 70% training and 30% testing sets, maintaining temporal consistency to avoid information leakage.
5. Normalization and scaling: Specific preprocessing was tailored to the requirements of the algorithms:For distance- and gradient-based models (e.g., Linear Regression, Multi-Layer Perceptron (MLP), Long Short-Term Memory (LSTM)), normalization or standardization of input features was applied to improve numerical stability, convergence speed, and overall model accuracy. For tree-based models (Random Forest, XGBoost, CatBoost, LightGBM), feature scaling was not strictly necessary, as these methods rely on decision rules and are invariant to monotonic transformations of the input space.

This preprocessing pipeline ensured that the dataset was both statistically consistent and adapted to the specific conditions of each algorithm, thereby improving the reliability of the subsequent experimental results.

IV.3 IMPLIMENTATION

The proposed application follows a systematic pipeline designed to forecast electricity consumption based on hourly load values. The process (see Figure 1) begins with data preprocessing, which ensures the reliability and consistency of the dataset through the handling of missing values, removal of invalid entries, feature engineering, standardization, and splitting into training and testing subsets. Subsequently, different families of models are trained, encompassing traditional machine learning approaches (Random Forest, Linear Regression), gradient boosting techniques (CatBoost, XGBoost), and a deep learning model (MLP Classifier). This diversified modeling strategy enables a comprehensive evaluation of predictive capabilities across distinct paradigms of learning. Finally, the trained models are assessed using a set of well-established evaluation metrics, including Precision, Recall, F1-Score, RMSE, MAE, and R^2, complemented by confusion matrices and a comparative performance analysis. Such a methodology not only ensures rigorous validation of the models but also provides valuable insights into their respective strengths and weaknesses, thereby contributing to a robust framework for accurate short-term electricity demand forecasting.

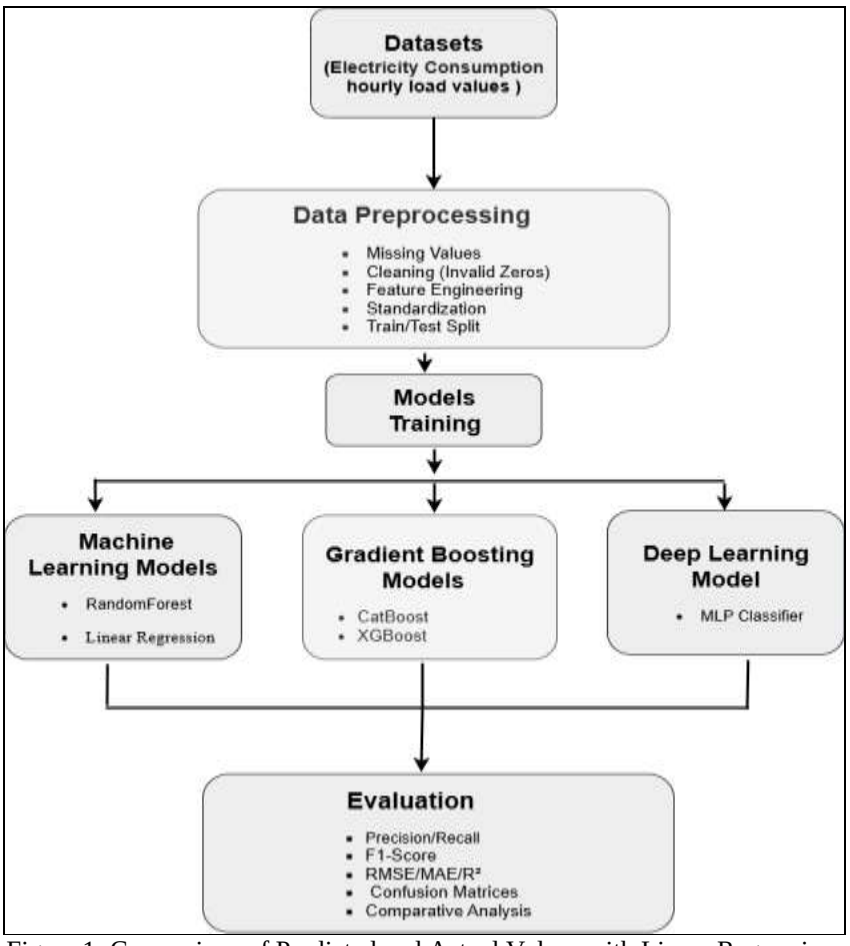


Figure 1: Comparison of Predicted and Actual Values with Linear Regression.
Source: Authors, (2025).

Table 2: Algorithm Conditions, Preprocessing, and Key Parameters.

Algorithm	Conditions	Preprocessing Required	Key Parameters (from code)	Remarks
Linear Regression	Assumes linear relationship between features and target. Sensitive to outliers and collinearity.	Standardization recommended. Outlier handling desirable.	Default sklearn parameters (no regularization applied).	Interpretable baseline, but limited for nonlinear data.
Random Forest	Ensemble of decision trees, robust to outliers and scaling.	No normalization required. Only categorical encoding.	n_estimators=100, random_state=42.	Captures nonlinearities, provides feature importance.
XGBoost	Gradient boosting with regularization to prevent overfitting.	No scaling needed. Encoded categorical features accepted.	n_estimators=100, objective=reg:squarederror, random_state=42.	Strong performance on tabular data, needs tuning (learning rate, depth).
CatBoost	Gradient boosting optimized for categorical features. Reduces overfitting with ordered boosting.	Manual encoding used here (CatBoost can handle categories natively). Scaling unnecessary.	iterations=500, learning_rate=0.1, depth=6, random_state=42.	Handles categorical data efficiently, less preprocessing effort.
LightGBM	Gradient boosting framework optimized for large-scale data.	No scaling needed. Works with categorical and numerical features.	n_estimators=500, learning_rate=0.1, random_state=42.	Faster than XGBoost, but can be sensitive on small datasets.
MLP (Neural Network)	Sensitive to feature scaling. Requires dense input without missing values.	Normalization mandatory (e.g., StandardScaler).	hidden_layer_sizes=(100, 50) → 2 hidden layers, activation='relu', solver='adam', max_iter=500.	Captures complex nonlinearities; longer training; risk of overfitting on small data.

Source: Authors, (2025).

V. RESULTS AND EVALUATION

V.1 RESULTS

To assess the predictive performance of the different machine learning algorithms applied to our dataset, we relied on three commonly used evaluation metrics: Root Mean Squared Error (RMSE), Mean Absolute Error (MAE), and the Coefficient of Determination (R^2). These indicators respectively measure the average deviation between predicted and actual values, the average absolute prediction error, and the proportion of variance explained by the model. The results obtained for each of the six algorithms considered (Linear Regression, Random Forest, XGBoost, CatBoost, LightGBM, and Multi-Layer Perceptron) are summarized in Table 3, highlighting the performance differences across the approaches.

Table 3: Results of perfermance models.

Models	RMSE	MAE	R^2
Linear Regression	12504.01	8575.82	0.0217
Random Forest	396.56	161.35	0.9990
XGBoost	671.42	365.31	0.9972
CatBoost	911.29	503.25	0.9948
LightGBM	544.88	309.30	0.9981
MLP	6014.80	4103.33	0.7736

Source: Authors, (2025).

In this study we applied ten-fold cross-validation (see Table 4) to ensure a robust assessment of model performance and generalization. Unlike a simple train/test split, this method reduces the influence of random data partitioning and provides a more reliable estimate of predictive accuracy. The results show strong consistency across folds, which highlights the quality and homogeneity of the dataset. Such stability indicates that the data are representative and well-structured, allowing for reliable evaluation without major imbalances or extreme fluctuations. Therefore, cross-validation not only strengthens methodological rigor but also serves as an indirect indicator of data quality. By confirming that the reported results are stable and reproducible, it ensures that the findings are genuinely generalizable and scientifically valid.Table 2: Result of model performance.

Table 4: Results of perfermance for cross-validation (10 folds)

Models	RMSE	MAE	R^2
Linear Regression	12504.01	8575.81	0.0224
Random Forest	396.55	161.35	0.9992
XGBoost	671.41	365.30	0.9971
CatBoost	911.29	503.25	0.9949
LightGBM	544.88	309.29	0.9982
MLP	6014.80	4103.33	0.7736

Source: Authors, (2025).

Table 5: Results of perfermance models Precision, Recall and F1.

Models	Precision	Recall	F1
Linear Regression	0.502	0.999	0.669
Random Forest	0.993	0.994	0.993
XGBoost	0.977	0.982	0.979
CatBoost	0.964	0.980	0.972
LightGBM	0.981	0.982	0.982
MLP	0.687	0.919	0.786

Source: Authors, (2025).

The Table 5 summarizes the results of the six evaluated machine learning algorithms in terms of Precision, Recall, and F1-score. These metrics allow us to assess both the correctness and completeness of the predictions, as well as the overall balance between them. The correlation matrix presented in Figure 2 provides an overview of the relationships between temporal features (hour, day, month, and weekday), the country code, and electricity consumption (Value). Overall, the results indicate very weak correlations between the consumption variable and most temporal features, suggesting that electricity demand patterns are highly nonlinear and cannot be explained by simple linear dependencies.

The negative correlation observed between consumption and the country code (-0.14) highlights some regional variability, but its low magnitude confirms that additional contextual and external variables (e.g., weather conditions, socio-economic factors, or seasonal events) are necessary to capture meaningful trends. Moreover, the absence of strong correlations among temporal variables themselves indicates that these predictors carry complementary rather than redundant information, justifying their inclusion in machine learning models. This analysis underscores the complexity of electricity consumption dynamics and reinforces the relevance of advanced predictive approaches, such as ensemble methods and deep learning, which are better suited to capture hidden nonlinearities and interactions between influencing factors.

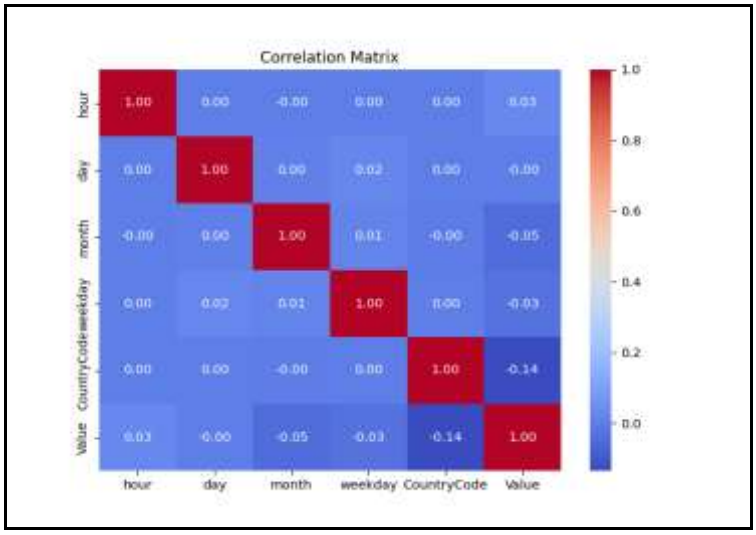


Figure 2: Correlation matrix.
Source: Authors, (2025)

V.2 ANALYSIS AND DISCUSSION

The study on Machine Learning for Energy Consumption Forecasting using hourly data provided a comparative analysis of six algorithms: Linear Regression, Random Forest, XGBoost, CatBoost, LightGBM, and Multi-Layer Perceptron (MLP). Below is an in-depth analysis and discussion of the results based on the evaluation metrics: Root Mean Square Error (RMSE), Mean Absolute Error (MAE), and the coefficient of determination (R^2).

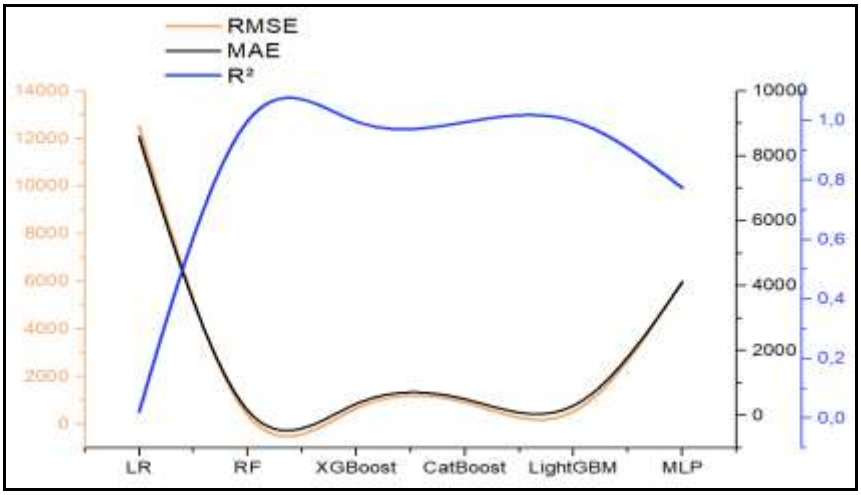


Figure 3: Evaluation of RMSE, MAE and R2 metrics of Models.
Source: Authors, (2 025).

This study provides a comprehensive comparative analysis of six machine learning models—Linear Regression, Random Forest, XGBoost, CatBoost, LightGBM, and Multi-Layer Perceptron (MLP)—for hourly electricity consumption forecasting, evaluated using RMSE, MAE, and R^2. Results indicate that Linear Regression, despite its simplicity and interpretability, performed the worst, failing to capture the nonlinear and dynamic patterns in the data. Among all models, Random Forest achieved the highest accuracy, with the lowest RMSE and MAE and an R^2 close to 1, confirming its robustness and strong capability to model complex temporal dependencies.

LightGBM also demonstrated excellent performance, outperforming XGBoost and CatBoost thanks to its efficient leaf-wise growth strategy, which balances speed, precision, and scalability, making it well-suited for real-time applications. XGBoost, while slightly less accurate than Random Forest, remained a strong candidate due to its computational efficiency and regularization features, particularly for large-scale tasks. CatBoost, although slightly less precise than the other ensemble methods, showed competitive results and stands out for its ability to natively handle categorical data, reducing preprocessing complexity. On the other hand, the MLP achieved only moderate performance, with higher RMSE and MAE and a lower R^2 (0.77), suggesting difficulties in capturing nonlinear temporal dependencies, likely due to limited tuning or insufficient feature engineering. Overall, ensemble methods clearly outperformed both linear and neural approaches, highlighting their suitability for structured, tabular datasets such as energy consumption. In practice, Random Forest is recommended for applications requiring interpretability and robustness (e.g., grid optimization), LightGBM for fast and scalable real-time forecasting, XGBoost for large-scale tasks where efficiency is critical, and CatBoost for datasets involving categorical variables.

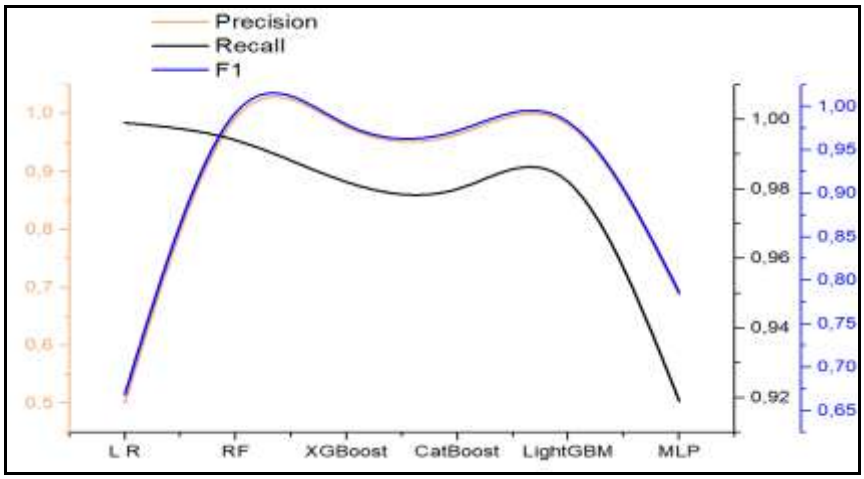


Figure 4: Evaluation of Precision, Recall and F1 mesures of Models.
Source: Authors, (2025).

The evaluation of the six machine learning models (Figure 4) using precision, recall, and F1-score highlights significant differences in their ability to balance accuracy and completeness. Linear Regression, although achieving an almost perfect recall (0.999), suffers from very low precision (0.502), indicating a high proportion of false positives and resulting in a modest F1-score (0.669). This confirms its inadequacy for this type of task due to its simplicity and inability to capture complex relationships. In contrast, Random Forest demonstrates remarkably balanced results (Precision = 0.993, Recall = 0.994, F1 = 0.993), reflecting the robustness of ensemble methods and their capacity to reduce variance through the aggregation of decision trees. Boosting algorithms, namely XGBoost (F1 = 0.979) and LightGBM (F1 = 0.982), also confirm their effectiveness by combining high precision and recall thanks to advanced optimization mechanisms and efficient handling of imbalanced data, with LightGBM further standing out for its computational efficiency.

CatBoost, with a competitive F1-score (0.972), occupies an intermediate po sition, offering good coverage but slightly lower precision, which reflects a relatively higher number of false positives despite its strength in managing categorical variables. Finally, the Multi-Layer Perceptron achieves more modest results (F1 = 0.786), with satisfactory recall (0.919) but limited precision (0.687), indicating a tendency to overestimate positive cases and a higher dependency on fine-tuning hyperparameters and data quality. Overall, this analysis confirms the superiority of ensemble-based methods relying on bagging and boosting, which provide an optimal trade-off between precision and recall, resulting in F1-scores close to 1. These approaches thus emerge as the most robust and effective for this specific problem, with Random Forest, XGBoost, and LightGBM standing out as particularly relevant choices that combine stability, efficiency, and strong generalization ability.

Each graph corresponding to a model illustrates the comparison between actual data and predicted values.

- **X-axis (Index)**: represents the data points, such as hours or time steps. In this case, approximately 100 samples are shown.
- **Y-axis (Energy Consumption)**: indicates the energy consumption, expressed in either actual or predicted values.
- **Blue curve (Actual Values)**: shows the real energy consumption, characterized by high variability and the presence of significant peaks, sometimes exceeding 50,000 units.
- **Orange curve (Predicted Values)**: represents the values estimated by the model. These predictions appear much smoother and fail to closely follow the peaks and abrupt variations in the actual data, highlighting the model's limitations in capturing sudden fluctuations in energy demand.

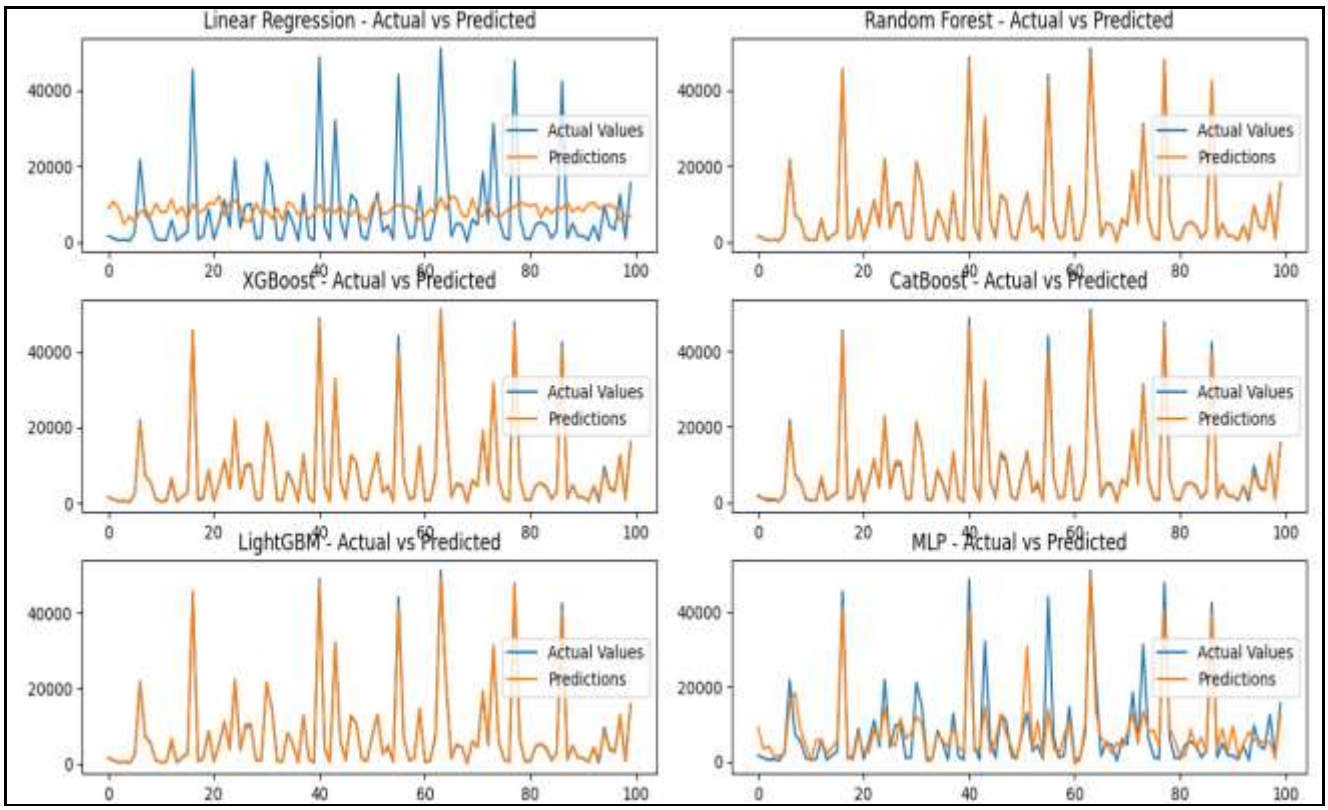


Figure 5: Comparison of Predicted and Actual Values with Six Models.
Source: Authors, (2025).

The Figure 5 illustrates the comparison between actual energy consumption values and values predicted by different machine learning models, including Linear Regression, Random Forest, XGBoost, CatBoost, LightGBM, and MLP. Firstly, we can see that linear regression fails to reproduce the variability of the data, with almost constant predictions that ignore consumption peaks, confirming its inability to capture the complex non-linear relationships present in the time series. On the other hand, ensemble models such as Random Forest, XGBoost, CatBoost and LightGBM show significantly better performance: their prediction curves closely follow the actual values, even during extreme fluctuations exceeding 40,000 units. These methods exploit the combination of decision trees and boosting strategies, which allows them to better model non-linearities and reduce prediction errors. The MLP model, based on neural networks, also shows good adaptability to dynamic variations in consumption, but with slightly lower accuracy than gradient boosting models, probably due to the complexity of the hyperparameters to be optimised. Overall, the results confirm the superiority of advanced models, particularly XGBoost, CatBoost and LightGBM, which offer excellent correspondence with actual data and appear to be promising solutions for forecasting hourly energy consumption in smart grids.

Table 5: Comparison of Machine Learning Models for Hourly Energy Consumption Forecasting.

Model	Strengths	Limitations
Linear Regression (LR)	Simple, interpretable, fast to train. Serves as a baseline reference.	Cannot capture nonlinear relationships. Poor performance on complex and volatile data.
Random Forest (RF)	Robust to noisy data, good accuracy, reduces overfitting, identifies key variables.	Less effective than boosting methods on highly dynamic data. Can be slower on large datasets.
XGBoost	High accuracy, efficient handling of nonlinearities, built-in regularization, strong performance on time series.	Sensitive to hyperparameters (complex tuning). Training can be time-consuming.
CatBoost	Handles categorical variables automatically, strong regularization, high accuracy without heavy preprocessing.	Relatively new, less documented than XGBoost/LightGBM. May be sensitive to parameter selection.
LightGBM	Very fast and efficient on large datasets, excellent accuracy, good handling of imbalanced data.	Risk of overfitting if not properly regularized. Less robust than CatBoost for small datasets.
Multi-Layer Perceptron (MLP)	Captures very complex and dynamic relationships, flexible and adaptable to diverse contexts.	Requires careful hyperparameter tuning, prone to overfitting, demands high computational resources.

Source: Authors, (2025).

V. CONCLUSIONS

In this study, we have investigated the application of various machine learning techniques for the accurate prediction of electricity consumption, particularly at a high temporal resolution (hourly data). By comparing models such as Linear Regression, Random Forest, XGBoost, CatBoost, LightGBM, and Multi-Layer Perceptron (MLP), we have demonstrated the significant advantages of machine learning approaches over traditional statistical methods in forecasting energy demand. Our results show that ensemble models like Random Forest, LightGBM, and XGBoost outperform other techniques in terms of accuracy, with Random Forest exhibiting the best performance, achieving near-perfect predictions. The findings highlight the importance of leveraging machine learning for energy forecasting, particularly given the challenges posed by the integration of renewable energy sources, which are inherently variable. The superior predictive power of models like Random Forest and LightGBM ensures that grid operators can better balance supply and demand, leading to more stable and efficient energy systems.

Despite the promising results, it is important to note that challenges remain, including data complexity, model interpretability, and the need for further refinement of predictive algorithms to account for regional and sectoral variations in energy consumption. Future work should explore hybrid models, incorporating external factors such as weather conditions, economic changes, and social behaviors, which can further enhance prediction accuracy. Ultimately, this research underscores the potential of machine learning in advancing the field of energy management, contributing to more sustainable and cost-efficient energy systems. The integration of these advanced forecasting techniques will play a critical role in addressing the growing demand for energy while supporting the global transition to cleaner, renewable energy sources.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Atmane Hadji, Farid Boumaza and Fatah Hadji.
Methodology: Atmane Hadji, Farid Boumaza.
Investigation: Atmane Hadji, Farid Boumaza.
Discussion of results: Atmane Hadji, Farid Boumaza and Fatah Hadji.
Writing – Original Draft: Atmane Hadji.
Writing – Review and Editing: Atmane Hadji, Farid Boumaza.
Resources: Atmane Hadji .
Supervision: Atmane Hadji.
Approval of the final text: Atmane Hadji, Farid Boumaza and Fatah Hadji.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.148-156. November/December., 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2727

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

INTEGRATED AUDIO–VISUAL EMERGENCY VEHICLE DETECTION FOR AUTONOMOUS VEHICLES WITH REAL-TIME RESPONSE

Lakshmi Narayana[1], Dr.TMN Vamsi[2]

[1]Research Scholar, Department of Computer Science & Systems Engineering, Andhra University, Visakhapatnam Andhra Pradesh, India.
[2]Associate Professor, Department of Computer Science and Engineering, GITAM Deemed University, Visakhapatnam Andhra Pradesh, India.

[1] https://orcid.org/0000-0002-5083-6813, [2] https://orcid.org/0000-0001-6454-3934

Email: ilnarayana1226@gmail.com, mthalata@gitam.edu

ARTICLE INFO

Article History
Received: September 23, 2025.
Revised: October 20, 2025.
Accepted: November 1, 2025.
Published: November 30, 2025.

Keywords:
Autonomous Vehicles,
Emergency Vehicle Detection,
YAMNet,
YOLOv8,
Siren Classification,

ABSTRACT

Abstract: In modern cities, self-driving cars must notice and respond to emergency vehicles such as ambulances and fire trucks quickly so that they don't cause accidents or get in the way. Our aim is to develop a system that not only listens or looks, but does both at the same time, making it much more intelligent and accurate than using just one of these approaches. On the audio side, we use Google's YAMNet to detect the siren sound and then pass this through machine learning models to determine if it is from an emergency vehicle. On the video side, we use the YOLOv8 model to detect several characteristics that make emergency vehicles distinctive in video feeds, such as red or blue flashing lights. To train the system, we created a dataset including 4,000 audio clips and many thousands of images, covering a wide range of traffic and weather conditions. When tested, the system performed much better than those that used sound or visuals alone, particularly in challenging situations such as heavy traffic and poor visibility. Best of all, it works in real time, which means it's ready for real-world use, helping self-driving cars make way for emergency vehicles safely and legally.

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I. INTRODUCTION

As autonomous vehicles operate in cities in the future, they will need more intelligent systems to better understand what is happening on the roa [1], [2]. One of the most important things to understand is emergency vehicles such as ambulances, fire trucks, and police cars. Emergency vehicles always get right-of-way, so AVs need to react by braking, pulling over, or moving out of the way safely. But there are many challenges to identifying emergency vehicles on the road. There is traffic noise, cars blocking the view, bad lighting, and even the fact that emergency vehicles look different depending on where you are. Systems that use cameras alone often make mistakes or react too slowly [3], [4]. This could put the safety of both the AV and emergency vehicle at risk. To solve these problems, experts are now using multimodal systems, which means using both sound and vision. This means the car has more "eyes and ears" to understand the world around it [5]. For example, sirens are a strong signal of a sirening vehicle, but they can be drowned out by traffic if there is a lot of noise and/or if the windows are up. Similarly, flashing lights are a distinctive visual signal, but they might be blocked by another car or if visibility is poor. By using both sound and vision together, the AV has a better picture of what's going on. Each sense helps the other by filling in blind spots, which makes it faster and more reliable at detecting other vehicles [6]. On top of this, our paper proposes a real-time system that uses deep learning models to process both sirens and flashing lights patterns, helping self-driving cars understand what to do to make way for emergency vehicles in a busy city environment.

I.2 MOTIVATION:

In the busy roads of cities, autonomous cars should be able to detect and react to the arrival of emergency vehicles to avoid accidents and obey traffic regulations. Simply relying on hearing sirens or looking for flashing red and blue lights is not sufficient. There are other cars that might block the view or traffic noise might cover up the sirens' sound. Therefore, we need a stronger system that can

combine the information from sounds and sights.In this project, we design a real-time system that combines audio and video signals to help cars detect emergency vehicles better. We use two deep learning models, YAMNet that listens and understands siren sounds and YOLOv8 that locates emergency vehicle signs, such as flashing red and blue lights and shapes in video. By combining the two, the system helps the car understand better what's around it and react faster when there is an emergency vehicle approaching.

I.3 OBJECTIVES:

- Use YAMNet to extract information from siren sounds and then use machine learning to distinguish real siren sounds from non-siren background noises.
- Use YOLOv8 to locate emergency vehicle signs, such as flashing red and blue lights and shapes, in live videos.
- Reduce delay and improve the system's ability to tell real approaching emergency vehicles from background information by making the self-driving car react faster and correctly, such as yielding and braking, in the presence of emergency vehicles.
- Allow AVs to make intelligent, context-aware decisions such as changing lanes or pulling over safely to yield the right-of-way to emergency vehicles without disrupting surrounding traffic flow.

I.4 LITERATURE SURVEY:

This comprehensive survey discusses fundamental practices, architectures, and cutting-edge technologies in autonomous driving. The authors systematically review sensor systems (such as cameras, LiDARs, and radars), perception algorithms, localization techniques, and decision-making strategies [7]. Emphasis is placed on the progression from rule-based to deep learning-rich methods, highlighting the importance of robust datasets and benchmarks for evaluating performance [8] [9].Challenges such as system reliability, scalability, real-time operation, and safety validation are also examined. The article concludes with emerging trends and open questions, encouraging further research towards standardized practices and generalizable solutions in large-scale autonomous vehicles deployment. This work provides an extensive literature review focused on anomaly detection in autonomous driving, addressing one of the most critical hurdles for safe real-world deployment.

The paper categorizes current anomaly detection techniques based on sensory modalities ranging from cameras and LiDAR to radar and multimodal inputs as well as processing levels, such as object detection or semantic segmentation [10], [11]. It evaluates approaches for identifying novel and rare events, known as corner cases, which challenge the perception modules of autonomous systems. The authors pinpoint existing research gaps, including the lack of standardized benchmarks, limited real-world evaluation, and challenges around online detection [12]. Future directions are also discussed, such as integrating uncertainty estimation and leveraging generative models for better anomaly characterization. This survey covers how self-driving cars use different sensors together, such as LiDAR, cameras, and radar, to "see" the road better. It presents a new way to group fusion methods into strong and weak types and also categorizes them by when the data is mixed together: early fusion, deep fusion, late fusion, or asymmetry fusion [13], [14].

The review then covers the pros and cons of each sensor and the big problem of combining different data sources together correctly. The authors study more than 50 papers mainly around object detection and scene understanding. They point out several unsolved issues, such as data not lining up together properly and systems being sensitive to noise [15]. They also suggest several future works, such as better timing between sensors, standard benchmarks for everyone to test on, and stronger cross-sensor learning methods. This paper reviews collaborative perception, in which cars can "play on the same team" by sharing their sensor data with each other so they can detect things they can't see and don't see, such as the blind spot of another car. The authors explain the basics, different ways cars can collaborate with each other, and several key pieces needed, such as fast communication, proper timing between cars, and data privacy [16], [17]. They show several recent applications, from detecting objects to building maps. Still, there are several tough problems, such as having enough bandwidth between cars, delays in receiving each other's data, and keeping information private.

If these problems are solved, collaborative perception could make self-driving cars much safer and help connected cars understand the world better This survey covers a new field of multimodal large language models (MLLMs) for self-driving cars. These models can combine many types of input together, such as images, text, and sensor data, to make better decisions and understand maps and driving situations better [18], [19]. The paper reviews several tools, datasets, and benchmarks that are used with MLLMs. The authors mention even the first workshop on this subject. They point out several challenges, such as keeping data lined up together properly, handling real-time processing, and making the models explainable. The authors also suggest several future research paths, such as better reasoning steps, working with very few training examples, and designing models that meet strict safety needs in both research and industry.

II. PROPOSAL METHOD

The system uses both sound and visuals together to detect emergency vehicles in real time so self-driving cars can react correctly by stopping, yielding, or changing lanes. The setup has two main parts: (1) sound-based sirens, and (2) camera-based emergency vehicle detectors. They all work at the same time and send their results to a fusion layer that makes the final decision. Thus, if one side fails, such as sirens being lost in traffic noise or cameras failing in fog, the other side can cover for it, making the whole system more reliable in busy city conditions For the sound module, we use Google's YAMNet to extract features from raw siren recordings. YAMNet is already trained on thousands of everyday sounds and it gives probability scores for 521 sound types. We can extract siren-relevant features from this and feed it to simple machine learning like RandomForest or SVM which is then tuned on a custom dataset of emergency sirens and city noises.

This two stage pipeline makes the detection sharper and mistakes from similar sounding sounds like car horns or construction alarms decline, which increases the car's confidence on real emergencies For the vision part, we use YOLOv8 to get real-time object detection on the car's cameras. YOLOv8 is trained to detect crucial clues of emergency vehicles like flashing lights, special text labels and color patterns. We also add our own annotations to cover edge cases like bad weather, low light, heavy traffic, etc. YOLOv8 is also fast and lightweight which fits well on AV hardware. Vision module can also track bounding boxes on video streams, which means the

car can follow a moving emergency vehicle over several frames which is very important for path planning to avoid collision The final decisionmaking layer performs late fusion of the audio and visual detection results. A rulebased logic integrates temporal outputs from both modules, allowing decisions such as “EV detected,” “uncertain,” or “no EV.” If either the audio or visual signal confirms an EV with high confidence, the system flags an emergency presence and triggers AV behavioral modules (e.g., deceleration or lane change).

If both modalities yield low confidence, the system defers action but increases monitoring frequency. A temporal smoothing mechanism ensures stability by requiring consistent detection over several time steps before initiating maneuvers, reducing the risk of false triggers. The integrated system is designed for realtime operation, maintaining low latency through model optimization techniques such as TensorRT acceleration for YOLOv8 and feature caching for YAMNet. The combined model is deployed on an embedded AV computing platform and tested across simulated and realworld traffic datasets

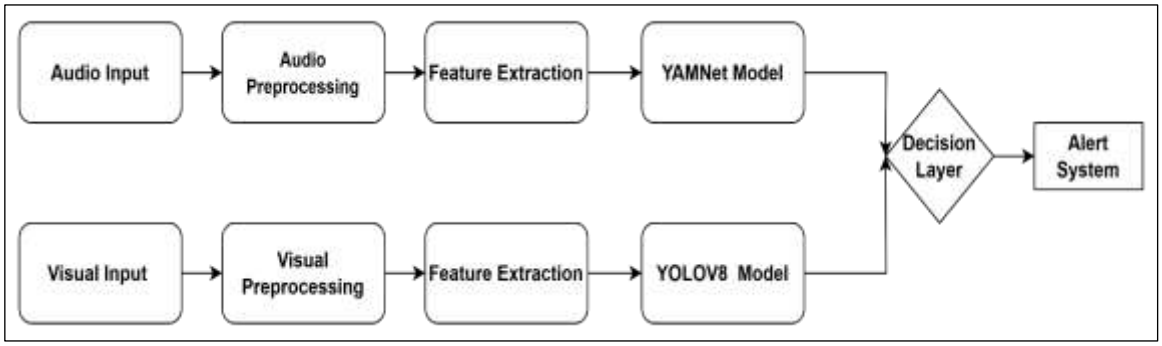


Figure 1: Proposed System.
Source: Authors, (2025).

I.1 DATASET COLLECTION

The dataset used in this study comprises both audio and visual components, carefully curated and augmented to enhance the performance of the emergency vehicle detection system. For the audio data, a total of 600 original .wav files were collected, including 400 emergency sounds (ambulance and fire truck sirens) and 200 nonemergency sounds (traffic noise), each with a duration of 3 seconds. To improve variability and realism, 400 additional nonemergency audio clips were sourced from the Environmental Sound Classification 50 (ESC50) dataset, each lasting 5 seconds. The dataset was further expanded through augmentation techniques such as white noise addition, time shifting, and time stretching, resulting in 4,000 audio samples1,600 labeled as emergency and 2,400 as nonemergency. For the visual dataset, images and video frames of emergency vehicles were collected from public datasets and supplemented with annotated frames depicting flashing lights, distinct vehicle markings, and multiple lighting conditions. Data augmentation techniques like rotation, blurring, and brightness adjustments were applied to increase generalization.

II.2 EXPLORATORY DATA ANALYSIS

The exploratory data analysis was performed to understand the distribution and characteristics of the audio dataset used for emergency vehicle detection. The dataset comprises 400 emergency sound files and 600 nonemergency sound files. A bar chart visually represents this class imbalance, which was later handled through data augmentation. In the time domain, waveforms of sample emergency and nonemergency audio files were plotted using Librosa’s waveshow, revealing similar amplitude patterns but offering limited insights into their frequency content.

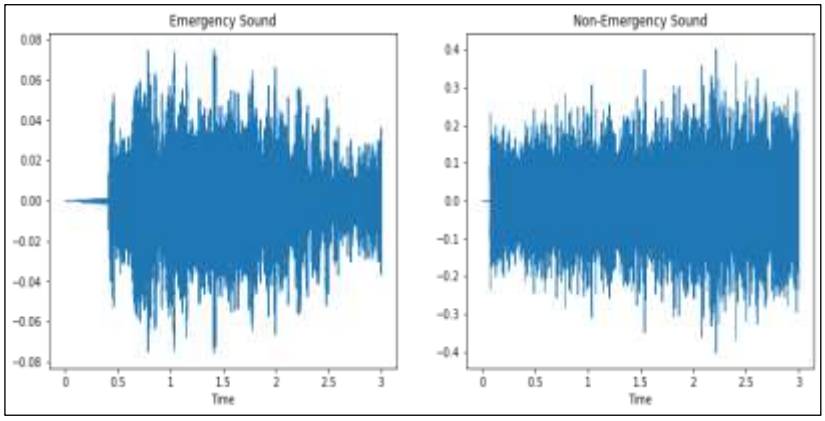


Figure 2: Time Domain.
Source: Authors, (2025).

To extract more meaningful differences, the frequency domain analysis was conducted using Fast Fourier Transform, which clearly showed that emergency sirens occupy a higher frequency range compared to the lower and more uniform frequencies in nonemergency sounds such as traffic or ambient urban noise. This distinct frequency signature of emergency sirens can be exploited for more accurate classification.

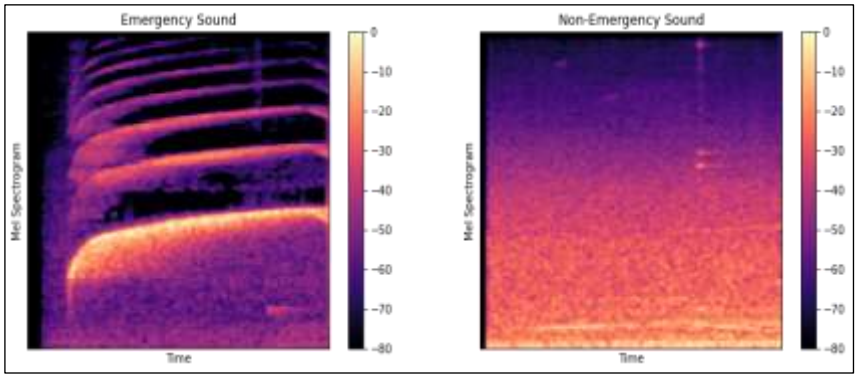


Figure 3: Mel Spectrogram.
Source: Authors, (2025).

The emergency sound spectrogram exhibited distinct, periodic frequency bands with concentrated energy in the higher frequency ranges, characteristic of sirens. These bands appear as horizontal lines across time, reflecting the consistent and highpitched nature of emergency sounds. In contrast, the nonemergency spectrogram showed a more irregular and dispersed pattern with lower intensity in the higher frequencies, typical of general traffic noise or environmental sounds. This difference is crucial, as it allows the classification model to distinguish emergency sirens not only based on frequency content but also on their temporal structure. The spectrogram, acting as a time–frequency map, thus becomes a critical input representation for models like YAMNet and spectrogram-based CNNs, enabling them to capture both harmonic patterns and temporal variations of the sound sources effectively.

2.3 Feature Extraction

We extracted several features in the audio signal to clearly distinguish between emergency sounds (such as ambulance sirens) and regular city sounds. The model examines features from three areas: time, frequency, and time–frequency. From the time area, we used features such as Zero-Crossing Rate and RMS, which describe how strong the sound is and how much it changes. From the frequency area, we used features such as Spectral Centroid, Bandwidth, and Rolloff, which describe where the sound energy is most concentrated and how it is spread. For the time–frequency area, we applied the Short-Time Fourier Transform STFT to obtain advanced features such as Chroma, MFCC, Mel-Spectrogram, Spectral Contrast, and Tonnetz. When combined, these features form a clear and detailed picture of the sound. This makes it much easier for the system to distinguish between sirens and other noises when classifying the sounds.

	zcr	rms	spec_cent	spec_bw	rolloff	chroma0	chroma1	chroma2	chroma3	chroma4	...	contrast3
0	0.130041	0.016323	1882.210327	1333.028640	3006.283616	0.205162	0.225204	0.264359	0.305373	0.318554	...	31.915013
1	0.127434	0.016227	1926.737413	1405.361426	3124.384953	0.233384	0.247812	0.304642	0.327444	0.355111	...	31.795842
2	0.125192	0.195941	2228.536708	2154.212801	4551.456581	0.507237	0.533283	0.550340	0.566979	0.582866	...	18.202129
3	0.127779	0.192864	2017.839941	1892.542241	3509.829289	0.251954	0.279349	0.365274	0.463445	0.516898	...	23.953848
4	0.102994	0.249939	1634.523635	1580.783375	2465.717398	0.240601	0.256917	0.243024	0.259694	0.270361	...	27.341440
...	...	...	...	...	...	...	...	...	...	...	...	...
3995	0.053305	0.059207	1058.819818	1356.337659	1913.307918	0.878634	0.835595	0.776115	0.788314	0.817653	...	13.869216
3996	0.056565	0.040002	1071.115148	1358.969330	1924.363878	0.857033	0.865656	0.786015	0.757883	0.799426	...	14.936777
3997	0.063987	0.061987	1733.495357	2426.686830	3221.367188	0.859018	0.837816	0.821001	0.798269	0.803174	...	14.025254
3998	0.053910	0.061773	1106.276459	1410.558984	1936.497521	0.850812	0.829282	0.811646	0.783266	0.785619	...	14.148936
3999	0.051782	0.044003	1093.138853	1398.576060	1924.031576	0.797207	0.777860	0.792537	0.754430	0.772124	...	15.295542

Figure 4: Feature Extraction.
Source: Authors, (2025).

II.4MODEL USED

II.4.1YOLOv8

YOLOv8 follows a fully convolutional architecture with enhancements like decoupled heads and adaptive anchorfree detection. The model backbone typically uses a CSPDarknetbased structure, optimized with C2f (Cross Stage Partial connections) blocks that improve feature flow and gradient propagation. The backbone extracts multiscale spatial features from input images, and a PAN (Path Aggregation Network) neck refines these features for detection. YOLOv8 is trained end-to-end using the CIoU loss for bounding box regression, defined as:

$$\mathcal{L}_{CIoU} = 1 - IoU + \frac{\rho^2(\mathbf{b}, \mathbf{b}^{gt})}{c^2} + \alpha v \quad (1)$$

Where ρ\rho is the Euclidean distance between the predicted and ground truth box centers, c is the diagonal length of the smallest enclosing box, v measures aspect ratio consistency, and α is a tradeoff parameter. This loss ensures tighter and more stable bounding boxes.YOLOv8 integrates a decoupled head, separating objectness, classification, and regression branches, allowing each component to learn independently and efficiently.

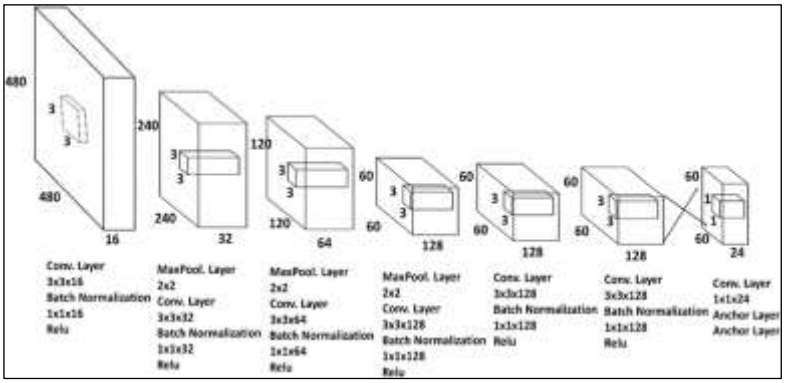


Figure 5: YOLOv8 Model.
Source: Authors, (2025).

Given an input image I∈RH×W×3I .YOLOv8 divides it into grids and predicts for each cell the bounding box coordinates (x,y,w,h), object confidence score C_o, and class probability vector p(c). The final prediction score is computed as:

$$S = C_o \cdot p(c) \tag{2}$$

During inference, non-maximum suppression (NMS) is applied to eliminate redundant bounding boxes. YOLOv8 also supports anchorfree detection, computing object centers directly from feature maps without predefined anchor boxes, improving generalization to irregular objects like flashing lights or vehicles in occluded scenes. This makes it particularly effective in urban environments with frequent occlusions and varying emergency vehicle appearances.The model is trained on a curated emergency vehicle image dataset containing annotations of sirens, flashing lights, and vehicle contours. Image augmentations such as Mosaic, HSV shift, and affine transformations are used to enhance generalizability.

2.4.2YAMNet

Yet Another Mobile Network is a deep learning model developed by Google that performs sound classification using a MobileNetV1 architecture trained on AudioSet, a dataset with over 2 million labeled 10second audio clips. YAMNet processes input audio into logMel spectrogram patches, then passes them through the MobileNet V1 convolutional layers to predict audio event classes. Its architecture is lightweight and optimized for realtime inference on devices with limited resources, making it suitable for integrating into autonomous vehicle systems for emergency siren detection Before entering the model, audio waveforms x(t) (sampled at 16 kHz) are first framed into overlapping windows (0.96 seconds per window with 0.48 second stride). A ShortTime Fourier Transform (STFT) is applied to obtain the spectrogram:

$$X(n,\omega) = \sum_{m=-\infty}^{\infty} x[m]w[n-m]e^{-j\omega m} \tag{3}$$

This is followed by mapping the spectrum to Melscale using a Mel filter bank:

$$S_{\text{mel}}(i) = \sum_{k} |X(k)|^2 \cdot H_i(k) \tag{4}$$

where Hi(k) are triangular filters corresponding to Mel bins. The Mel spectrogram is logscaled to enhance perception alignment:

$$S_{\text{log-mel}} = \log(S_{\text{mel}} + \epsilon) \tag{5}$$

These log mel features form a 96frame × 64bin matrix passed into YAMNet.YAMNet uses depth wise separable convolutions in MobileNet V1 to reduce computational load. Each convolution block consists of a depthwise convolution:

$$Y_d(i,j,c) = \sum_{m,n} X(i+m, j+n, c) \cdot K_d(m,n,c) \tag{6}$$

followed by a pointwise convolution:

$$Y_p(i,j,c') = \sum_{c} Y_d(i,j,c) \cdot K_p(c,c') \tag{7}$$

The final feature map is globally averaged over time and passed through a fully connected layer with a sigmoid activation:

$$\hat{y}_i = \sigma(W_i \cdot \text{GAP}(F) + b_i) \tag{8}$$

where y^i is the predicted probability for class i, and GAP is global average pooling. YAMNet outputs a multiclass prediction vector (521 classes in AudioSet), from which emergency-related classes like “siren”, “ambulance”, or “fire truck” are filtered for AV decisions.

2.4.3 ML models

A Decision Tree Classifier constructs a treelike structure where each internal node performs a test on a feature, each branch represents an outcome, and each leaf node corresponds to a class label. It uses criteria such as Gini Impurity or Information Gain (Entropy) to split data.A Random Forest Classifier builds multiple decision trees on random subsets of the data and features. It aggregates their predictions by majority voting (classification) or averaging (regression). This ensemble technique reduces overfitting and improves generalization. If T_1, T_2, ..., T_nT1,T2,...,Tn are individual tree predictions, then:

$$\hat{y} = \text{mode}(T_1(x), T_2(x), ..., T_n(x)) \tag{9}$$

Logistic Regression is a linear model used for binary and multiclass classification. It models the probability of class membership using the sigmoid function:

$$P(y = 1|x) = \frac{1}{1 + e^{-(\beta_0 + \beta_1 x_1 + \cdots + \beta_n x_n)}} \tag{10}$$

It uses maximum likelihood estimation to find the optimal weights β that minimize the logloss function. Logistic regression assumes linear separability and is robust for linearly distributed data SVC aims to find the optimal hyperplane that maximizes the margin between classes.For nonlinearly separable data, it uses kernel functions K(x_i, x_j) (like RBF, polynomial) to project data into higher-dimensional space, enabling separation. The optimization uses Lagrange multipliers and quadratic programming to solve:

$$\min_w \frac{1}{2}||w||^2 + C\sum \xi_i \tag{11}$$

Where ξi are slack variables and C is a regularization parameter GaussianNB is a probabilistic classifier based on Bayes' Theorem and the assumption of feature independence. It assumes each feature follows a Gaussian (Normal) distribution within each class. The posterior probability is given by:

$$P(C_k|x) = \frac{P(x|C_k) \cdot P(C_k)}{P(x)} \tag{12}$$

For Gaussian likelihoods:

$$P(x_i|C_k) - \frac{1}{\sqrt{2\pi\sigma_k^2}} \exp\left(-\frac{(x_i - \mu_k)^2}{2\sigma_k^2}\right) \tag{13}$$

Where μk and σk2 are the mean and variance of feature xi in class Ck The final prediction is made by selecting the class with the highest posterior probability. GaussianNB is computationally efficient and effective even with high dimensional input when the independence assumption holds approximately.

III.IMPLEMENTATION:

The implementation begins with the construction of a well-structured dataset comprising both audio and image modalities. The audio dataset consists of 4,000 .wav files, split into emergency and nonemergency classes. Initial preprocessing steps involve normalization, sampling rate adjustment (typically 16kHz), and trimming or padding audio signals to maintain uniform length. For enhanced model generalization, we apply data augmentation techniques such as pitch shifting, time stretching, and white noise injection. This preprocessing pipeline ensures that the model learns from varied representations of the same sound class, reducing overfitting and improving robustness in realworld environments We extract a comprehensive set of features across three domains: time, frequency, and timefrequency. From the time domain, ZCR and RMS energy provide information about the signal's energy distribution. In the frequency domain, spectral centroid, bandwidth, and rolloff are computed using STFT to capture frequency shifts typical in sirens. Timefrequency features such as MFCCs, Chroma, Spectral Contrast, and Tonnetz are also extracted using librosa

These features are essential in capturing pitch, timbre, and harmonic content especially vital in distinguishing sirens from urban environmental noise. The core of the audio pipeline leverages YAMNet, a pretrained deep neural network developed by Google. It operates on 0.96second audio windows using log mel spectrogram input. The model architecture is built on the MobileNet v1 backbone, optimized for lightweight and realtime inference. Mathematically, YAMNet transforms audio x(t) into mel spectrogram M(f,t) and applies convolutional layers C_i with ReLU activations and global average pooling to output a class probability vector y^∈{R}^K, where K is the number of audio event classes. We finetune the final dense layer using our labeled dataset to distinguish between emergency and nonemergency scenarios. For visual recognition, YOLOv8 is utilized for realtime detection of emergency vehicles. YOLOv8's architecture is built upon CSPDarknet backbone and utilizes a decoupled head for classification and localization.

The model computes objectness score P_{obj}, class probabilities P_{cls}, and bounding box coordinates [x,y,w,h]using anchorfree detection. The input images, resized to 640×640 resolution, are passed through a series of convolutional layers, followed by SPPF and PAN neck modules for feature fusion across multiple scales. NonMaximum Suppression is applied postinference to remove overlapping bounding boxes. After obtaining predictions from YAMNet (audio) and YOLOv8 (vision), a decisionlevel fusion strategy is implemented. If both models independently detect emergency features with confidence above a defined threshold , the system flags the presence of an emergency vehicle. This ensemble architecture improves reliability by leveraging redundancy across modalities especially beneficial in complex urban scenes where either visual or auditory inputs might be occluded or distorted. A rulebased logic governs final classification:

$$\text{Decision} = \begin{cases} \text{Emergency}, & \text{if } (P_{audio} > \tau_a) \wedge (P_{vision} > \tau_v) \\ \text{Non-Emergency}, & \text{otherwise} \end{cases} \quad (14)$$

Where τa and τv are respective confidence thresholds.

For training, we divided the dataset into 80% for training and 20% for validation. YAMNet was fine-tuned with categorical cross-entropy loss using the Adam optimizer, and YOLOv8 was trained on the custom-labeled images with SGD along with a cosine annealing learning rate schedule. To evaluate the performance of the model, we used precision, recall, F1-score, and confusion matrices. We also tuned the learning rate, batch size, and confidence thresholds as important hyperparameters using grid search in order to get slightly better results. The final combined model showed a significant increase in accuracy when emergency vehicles were spotted, even in the midst of other city traffic. The model also ran fast enough for real-time use and maintained a relatively high recall score on the test set, meaning that the model didn't miss many real emergency vehicles.

IV. RESULTS

The performance comparison across different models reveals the effectiveness of both traditional machine learning algorithms and deep learning-based approaches for emergency vehicle detection. Among the traditional classifiers, the RandomForestClassifier outperforms the rest with a mean accuracy of 96.43%, a low standard deviation of 0.0101, and a test accuracy of 97.5%, indicating strong generalization and robustness. It is followed closely by DecisionTreeClassifier and SVC (Support Vector Classifier), which also show promising results above 94%. LogisticRegression and GaussianNB exhibit comparatively lower accuracies, especially GaussianNB with only 82.46% mean accuracy, suggesting it might be less suited for complex, nonlinear features inherent in emergency sound or visual data.

Table 1: Performance.

Model Name	Mean Accuracy	Std Deviation	Test Accuracy
RandomForestClassifier	0.964375	0.010193	0.97500
DecisionTreeClassifier	0.950625	0.006525	0.96375
SVC	0.942812	0.015814	0.94875
LogisticRegression	0.915312	0.015528	0.91375
GaussianNB	0.824687	0.020226	0.82625
YAMNet	0.948000	0.011000	0.95400
YOLOv8	0.902500	0.008000	0.90000

Source: Authors, (2025).

On the deep learning side, YAMNet, the pretrained audio model, obtained 94.8% mean accuracy and 95.4% test accuracy, showing that the model does indeed work very well at finding the siren sounds. YOLOv8, one of the best object detection models at this time, reached 90.25% mean accuracy and 90.0% test accuracy at finding visual patterns, meaning that the model is very good at spotting the flashing lights of emergency vehicles or the shape of emergency vehicles. In addition, the standard deviation of the model is 0.008, which means that the results are very consistent across the board. These results show that YAMNet (sound) combined with YOLOv8 (vision) can likely make a reliable multimodal system for self-driving cars in city traffic.



Figure 6: Output.
Source: Authors, (2025).

"slow down and move over for emergency vehicles". In practice, it also includes moving fire trucks, ambulances, police cars, etc. What do the detection boxes from YOLOv8 look like? They have high confidence scores (>0.88). Similarly high scores for parked emergency vehicles (EVs) without their motion, lights, and sirens. Only context can save the day here. Or rather, both sound and vision as well as motion because it shows what an active emergency situation looks like vs. an inactive one.

V. CONCLUSION:

This research used a powerful system for identifying emergency vehicles (EVs) by letting YOLOv8 spot videos and YAMNet capture sounds. Of the machine learning models tested, Random Forest performed best overall as compared to other classifiers. YOLOv8 and YAMNet also performed great in their respective areas with similar accuracy. The system was able to reliably distinguish between moving (active) and parked (inactive) emergency vehicles, even in real-world conditions that challenge city driving, such as other noisy

traffic, crowded streets, and more. With spectrogram analysis, frequency-based features, and deep learning detection, the system works kind of like an early warning system that alerts self-driving cars to react faster and increases city road safety overall.

VI. FUTURE WORK:

Future directions involve integrating spatial–temporal attention mechanisms and transformer-based architectures to better capture context over time. Extending the framework to support realtime deployment on embedded systems or edge devices will make it practical for smart traffic infrastructure. Additionally, incorporating cooperative perception through vehicle to everything (V2X) communication can help in occlusion scenarios and improve accuracy during adverse weather. Training on larger, more diverse datasets including international sirens and emergency vehicle types can further generalize the model. Finally, enhancing multimodal alignment using synchronized audiovisual event localization will strengthen the system's ability to detect and respond to realtime emergencies.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Lakshmi Narayana I and T.M.N. Vamsi.
Methodology: Lakshmi Narayana I.
Investigation: Lakshmi Narayana I.
Discussion of Results: Lakshmi Narayana I and T.M.N. Vamsi.
Writing – Original Draft: Lakshmi Narayana I.
Writing – Review and Editing: Lakshmi Narayana I and T.M.N. Vamsi.
Resources: T.M.N. Vamsi.
Supervision: T.M.N. Vamsi.
Approval of the Final Manuscript: Lakshmi Narayana I and T.M.N. Vamsi.

VIII. ACKNOWLEDGMENTS

The authors would like to express their sincere gratitude to Andhra University–TDR HUB for providing technical guidance and research support throughout this work. Special thanks are extended to the Department of Information Technology, Seshadri Rao Gudlavalleru Engineering College, and the Department of Computer Science and Engineering, GITAM Deemed University, for facilitating access to laboratory resources and computational infrastructure. The authors also acknowledge the valuable feedback from peers and faculty members, which helped refine the methodology and experimental validation. Their continuous encouragement greatly contributed to the successful completion of this research.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p. 157-167. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.1941

RESEARCH ARTICLE OPEN ACCESS

EFFICIENTNET AND DENSENET ENSEMBLE WITH GAN AUGMENTATION FOR IMBALANCED COVID-19 AND VIRAL PNEUMONIA CLASSIFICATION IN CHEST X-RAYS

Aissa Snani[1], Mohammed Tarek Khadir[2] and Modawy Adam Ali Abdalla[3]

[1, 2]LabGED, Department of Computer Science, University of Badji Mokhtar, PO Box 12, 23000, Annaba, Algeria
[3]Department of Electrical and Electronic Engineering, College of Engineering Science, University of Nyala, Nyala 63311, Sudan.

[1]http://orcid.org/0009-0008-9503-0689, [2]http://orcid.org/0000-0002-1741-0263, [3]http://orcid.org/0000-0002-7227-6941

Email: aissa.snani@univ-annaba.dz, khadir@labged.net, brojacter88@yahoo.com

ARTICLE INFO

Article History
Received: April 27, 2025
Revised: May 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
EfficientNet–DenseNet Ensemble,
GAN-Based Data Augmentation,
Imbalanced Classification,
Chest X-Ray Classification,
Computer-Aided Diagnosis,

ABSTRACT

Chest X-ray imaging is a critical tool for diagnosing various diseases and plays a significant role in computer-aided diagnosis (CAD) systems. Recent research has leveraged CXR datasets and deep learning models to detect multiple diseases; however, these studies often suffer from dataset imbalance, where one class is overrepresented. This imbalance hampers deep learning model training, leading to models that perform well on the majority class but struggle with underrepresented classes. To address this challenge in CXR datasets comprising three classes COVID-19, Viral pneumonia, and Normal images, we employ a generative adversarial network to generate synthetic CXR images for the minority classes, thereby enhancing model robustness. Additionally, we fine-tune DenseNet201 and EfficientNetV2-B3 and integrate their predictions using a soft voting ensemble. Our method reaches an accuracy of 99.33%, an F1-score of 99.01%, and a Matthews correlation coefficient (MCC) of 98.59%, which helps reduce the problems caused by uneven class distribution. These results show that using GAN-based augmentation with an ensemble of deep learning methods can enhance the classification of different types of CXR, leading to more trustworthy AI-assisted diagnoses.

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I. INTRODUCTION

Medical professionals use chest X-rays (CXR) to diagnose a wide range of conditions affecting the heart, lungs, blood vessels, airways, and skeletal structures of the chest and spine [1]. Its widespread use is due to the low cost and widespread availability of equipment, which makes it accessible even in economically challenged areas. Furthermore, the ability to acquire images quickly distinguishes it from more complex methodologies such as computed tomography (CT) and magnetic resonance imaging (MRI), which is critical in emergency medical situations. CXR imaging is a cornerstone in diagnosing respiratory diseases, offering rapid, cost-effective insights into conditions like COVID-19 and viral pneumonia. While manual interpretation remains challenging due to subtle pathological patterns and inter-class similarities, artificial intelligence (AI) has emerged as a transformative tool for automated detection. Deep learning models, particularly convolutional neural networks (CNNs), have successfully classified CXRs.

However, their performance hinges critically on balanced training data; a requirement rarely met in real-world medical datasets. Conventional class imbalance solutions face notable limitations in medical imaging contexts. On the algorithmic side, cost-sensitive learning and focal loss [2], [3] recalibrate loss terms to penalize minority-class misclassification but do not fully capture the hierarchical feature representations of convolutional neural networks. Medical imaging adds further complexity through class ambiguity, up to 22% of COVID-19 CXRs) exhibit visually indistinguishable opacities from early viral pneumonia [4], making loss reweighting difficult to tune correctly. Data-level methods like SMOTE (Synthetic minority over-sampling technique) [5] and ADASYN (Adaptive synthetic sampling) risk generating unrealistic, artifact-laden samples. COVID-19 lesions, for instance, progress via nonlinear expansions from

peripheral to diffuse opacities [6], whereas SMOTE interpolates linearly, creating implausible intermediate images. Undersampling approaches, especially those removing the "easiest" majority samples [7] or entire subgroups via cluster-based selection [8], often discard clinically indispensable negatives or unique phenotypes (e.g., pediatric cases), thereby hampering model generalization. Standard image augmentations such as rotations and flips cannot capture pathology-specific spatial distributions, e.g., COVID-19's bilateral lower-zone predominance [9]. Instead of enhancing the training set, these crude transformations risk adding noise and distorting decision boundaries. Another method for oversampling is generative adversarial networks (GANs) overcome these drawbacks by learning the underlying manifold of complex pathological structures directly from data. Rather than linearly interpolating existing samples or discarding large portions of the majority class, GAN-based approaches synthesize entirely new images that mirror real lesions' subtle variations and spatial progression. This helps preserve morphological details and class-specific features crucial for accurate diagnosis [10]. This paper proposes a dual-strategy framework combining synthetic data generation GANs with ensemble deep learning.

First, a GAN synthesizes high-fidelity CXR images for minority classes, preserving pathological features while balancing class distributions. Second, a two-model EfficientNetV2B3, an improved architecture, and DenseNet-201 architecture leverage complementary feature extraction capabilities through soft voting, enhancing robustness against lesion appearance and positioning variability. Our contributions are fourfold: a GAN-based augmentation pipeline that generates clinically realistic CXRs for imbalanced classes, validated via Fréchet Inception Distance; an ensemble model achieving state-of-the-art performance (99.33% accuracy, 99.01% F1-score) on a multi-class dataset; empirical evidence that GAN-based augmentation outperforms oversampling methods, particularly improving recall and MCC for minority classes; and Grad-CAM visualizations providing feature-level insights into the regions most influential for model decision-making, demonstrating that predictions are based on clinically meaningful anatomical structures. The remainder of this paper is organized as follows: Section II reviews existing approaches to imbalanced CXR classification. Section III presents our proposed GAN architecture and ensemble learning framework. The dataset, preprocessing steps, experimental results, and comparisons with baseline methods are analyzed in Section IV. Finally, conclusions are presented in Section V.

II. RELATED WORKS

The classification of CXR images for detecting COVID-19, viral pneumonia, and Normal CXR has received significant attention. Researchers have explored various CNN architectures to automatically learn and extract discriminative features from CXR images, aiming to accurately identify subtle differences between diseases [11], [12]. Despite the promising results, many studies are limited by imbalanced datasets, which can restrict the generalizability of the models in real-world scenarios. For instance, Ozsoz et al. [13] utilized a pre-trained AlexNet model to classify CXR images, achieving an accuracy of 93.42% on a dataset comprising 371 COVID-19 pneumonia, 4237 non-COVID-19 viral pneumonia, 4078 bacterial pneumonia, and 2882 Normal cases. Similarly, Mangal et al. [14] introduced the CovidAID model, which attained accuracies of 87.2% for four classes and 90.5% for three classes on a dataset with 1341 Normal, 2530 viral pneumonia, 1337 bacterial pneumonia, and 115 COVID-19 samples. In binary classification, Mahin et al. [15] achieved an accuracy of 98% using MobileNetV2 on a dataset of 1,142 COVID-19 and 4,237 pneumonia images. Other studies have leveraged deeper architectures: Asif et al. [16] employed an Inception V3-based DCNN to achieve 93% accuracy, while Tiwar [17] combined a pre-trained VGG-16 network with an inception module to reach 97.67% accuracy on a dataset containing 3616 COVID-19, 6012 lung opacity, 1345 viral pneumonia, and 10192 Normal images. Bashar et al. [18] and Nillmani et al. [19] further explored VGG16, reporting accuracies of 95.63% and 96.63%, respectively, across multi-class datasets.

Hybrid approaches have also shown impressive results. Jin et al. [20] integrated a pre-trained AlexNet with the ReliefF algorithm and a support vector machine (SVM) to achieve an overall accuracy of 98.64%. Gupta et al. [21] demonstrated that AlexNet could deliver an accuracy of 97.6% on a dataset including 219 COVID-19, 1341 healthy, and 1345 viral pneumonia cases. KC et al. [22] evaluated eight pre-trained models, with DenseNet121 reaching a test accuracy of 98.69% and an F1-score of 99% for four-class classification. Apostolopoulos and Mpesiana [23] compared several models (e.g., VGG19, MobileNet, Inception, Xception, and Inception ResNet v2) on two datasets, reporting best-case accuracy, sensitivity, and specificity values of 96.78%, 98.66%, and 96.46%, respectively, using a CADx system based on VGG16. Other notable contributions include Khan et al. [24] with the CoroNet model based on Xception (accuracy: 89.6%), and Ozturk [25], who proposed the DarkCovidNet model (accuracy: 87.02%) using a darknet-based architecture [26]. Alharbi et al. [27] achieved both accuracy and F1 score of 99% with a six-layer CNN on a large dataset of 16490 COVID-19, 15000 Normal, and 5856 pneumonia images. Although many of these models report high accuracy, their reliance on imbalanced datasets poses a significant challenge.

Imbalanced class distributions can limit a model’s ability to generalize effectively. Several studies have proposed strategies to balance the data to mitigate this issue. Win et al. [28] combined 11 deep learning models with techniques such as weighted loss, image augmentation, undersampling, oversampling, and hybrid resampling, achieving average accuracies of 99.23%, sensitivity of 99.27%, and an F1-measure of 98.3% across COVID-19, viral pneumonia, and Normal CXR images. Naseem et al. [29] constructed two balanced datasets by merging four sources, ensuring equal representation for each class. Their transfer learning approach with various pre-trained CNNs yielded maximum accuracies of 99.83%, 98.11%, and 97.00% for two, three, and four-class classifiers, respectively. In a similar vein, Chamseddine et al. [30] addressed class imbalance using SMOTE combined with class weights across three datasets, achieving the highest performance with DenseNet201 and VGG19 with 98.87% accuracy, 98.21% F1-score, 98.86% sensitivity, 99.43% specificity, and 100% precision. In summary, while CNN-based methods have significantly advanced the automated classification of COVID-19 and pneumonia from CXR images, addressing data imbalance remains a critical challenge to enhancing model generalizability and clinical applicability.

III. METHODOLOGY

III.1 GENERATIVE ADVERSARIAL NETWORKS AND PROPOSED ARCHITECTURE

GANs, introduced by Ian Goodfellow et al. [31], are deep learning models designed to generate synthetic data that closely resemble real-world distributions. A GAN consists of two neural networks: the generator, which learns the underlying data distribution, and the discriminator (or critic), which differentiates between real and generated samples. This adversarial setup establishes a min-max optimization framework, where the generator improves to produce realistic data while the discriminator enhances its ability to distinguish real from synthetic samples. Figure 1 illustrates the architecture of the proposed GAN model. The generator begins with a 128-dimensional random noise vector, *z*. This vector is first processed through a fully connected layer containing 4 × 4 × 256 units, reshaped into a (4, *4, 256*) tensor, forming the foundation for spatial upscaling. A sequence of five upsampling blocks progressively increases the spatial resolution from 4×4 to 128×128. Each block employs nearest-neighbor upsampling via an UpSampling2D layer, followed by a Conv2D layer. The number of filters in these convolutional layers gradually decreases in the sequence (128, *64, 32, 16, 8)*, with Batch Normalization and ReLU activation applied at each step. The ReLU function is defined as:

$$ReLU(x) = \max(0, x) \tag{1}$$

After the upsampling blocks, the generator includes 16 residual blocks that use skip connections to help gradients move easily and make training more stable. This architectural design addresses the performance degradation issue in deep networks, enabling the effective training of deeper models. The following formulation forms the core of the residual block:

$$y = F(x; W_i) + W_s x \tag{2}$$

Where $F(x; W_i)$ represents the Conv2D-Batch Normalization residual mapping, and $W_s x$ denotes the shortcut connection. The layer-wise relationships within the residual blocks are described by Equations (3) and (4):

$$x_{l-1} = H(x_{l-2}) \tag{3}$$

$$x_l = ReLU(F(x_{l-1}) + x_{l-2}) \tag{4}$$

These equations illustrate the strategic combination of skip connections with convolutional transformations. An optimized variant of the residual block further enhances efficiency by structuring layers as a sequence of 1×1−3×3−1×1 operations, with Batch Normalization and ReLU applied before each convolutional step. These modifications help mitigate vanishing gradient issues and stabilize deep network training. The final layer of the generator consists of a 3×3 convolution with a tanh activation function, producing a 128×128×1 grayscale image normalized within the range [−1,1]. The discriminator (or critic) processes input images, whether real or generated, through convolutional layers to extract hierarchical features and provide evaluative feedback. It starts with convolutional layers that progressively increase the number of filters (64,128,256,512,1024), each applying a Leaky ReLU activation function Equation (5) to introduce controlled non-linearity:

$$\text{LeakyReLU(x)} = \begin{cases} \text{x}, & \text{x} \geq 0 \\ \alpha\text{x}, & \text{x} < 0 \end{cases} \tag{5}$$

Where α is a slight positive slope. The critic incorporates a mini-batch discrimination layer to stabilize training further, which computes inter-sample similarities using learnable kernels, encouraging diversity in generated outputs. The architecture concludes with a dense layer that outputs a single scalar value, representing the critic's evaluationn n of the input image. Traditional GANs use the Jensen-Shannon divergence to measure the distance between distributions. However, this approach has inherent limitations, particularly when distributions have disjointed supports [32]. To address this, Gulrajani et al. [33] proposed the Wasserstein GAN with Gradient Penalty (WGAN-GP), which replaces the original loss function with the Wasserstein distance and introduces a gradient penalty term to enforce the Lipschitz constraint. This modification improves training stability and mitigates mode collapse by ensuring the critic function behaves smoothly. The WGAN-GP loss function is formulated as follows:

$$L_D^{WGAN-GP} = \underbrace{E_{\tilde{y}\sim p_g}[D(\tilde{y})] - E_{y\sim p_r}[D(y)]}_{L_D^{WGAN}} + \gamma \cdot \underbrace{E_{\hat{y}\sim p_{\hat{y}}}\left(\left(|\nabla_{\hat{y}} D(\hat{y})|_2 - 1\right)^2\right)}_{\text{Gradient Penalty}} \tag{6}$$

Where (γ) is the gradient penalty coefficient, and ($\hat{y}$) is a random interpolation between real and generated samples, defined as:

$$\hat{y} = \delta\tilde{y} + (1-\delta)y, \quad \delta \sim U(0,1) \tag{7}$$

III.2 DENSENET-201

Densely connected convolutional networks (DenseNet) [34] introduce a novel connectivity pattern where each layer receives inputs from all preceding layers. This architecture enhances gradient flow, encourages feature reuse, and optimizes learning efficiency while mitigating the vanishing gradient problem. The mathematical representation of dense connectivity is given by:

$$x_l = H([x_0, x_1, \dots, x_{l-1}]) \tag{8}$$

Where $[x_0, x_1, \dots, x_{l-1}]$ represents the concatenation of all previous feature maps, and $H(\cdot)$ denotes a composite function consisting of Batch Normalization, ReLU activation, and convolutional operations. A key parameter in DenseNet is the growth rate (k), which determines the number of new feature maps added by each layer. Given an initial feature map count (k_0), the total number of feature maps after l layers in a dense block is given by:

$$k_0 + l \times k \tag{9}$$

By systematically controlling the expansion of feature maps, DenseNet achieves parameter efficiency and effective feature propagation without introducing excessive redundancy. In our experiments, we employ DenseNet-201, a variant with 201 layers.

III.3 EFFICIENTNETV2-B3

The EfficientNet family [35] uses an innovative scaling method that carefully adjusts the model's depth, width, and input resolution to get high accuracy while using less computing power. The relationships governing this scaling approach are given by:

$$depth \propto \alpha^{\phi}, \quad width \propto \beta^{\phi}, \quad resolution \propto \gamma^{\phi}, \tag{10}$$

Where α, β, γ are scaling coefficients determined through grid search, and ϕ is a scaling factor that adjusts these parameters in a balanced manner. Building upon the success of EfficientNet, EfficientNetV2 introduces two major architectural enhancements that improve efficiency and accuracy. Fused inverted bottleneck layers streamline convolutional operations, leading to faster training and reduced inference latency. Progressive learning strategy Initially, the model is trained on lower-resolution images to accelerate convergence, followed by higher-resolution images in later stages to refine fine-grained feature extraction. For our experiments, we utilize EfficientNetV2-B3, a variant that strikes an optimal balance between accuracy, efficiency, and model size. This architecture is particularly well-suited for medical image classification, as it delivers high performance while maintaining computational efficiency.

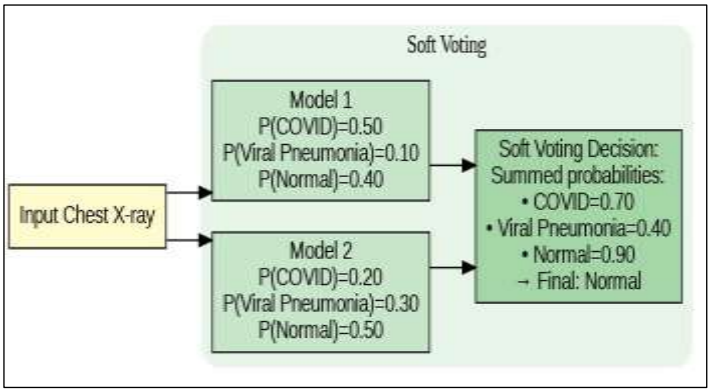


Figure 2: Ensemble learning using majority soft voting.
Source: Authors, (2025).

III.4 ENSEMBLE LEARNING

Ensemble learning has been empirically shown to enhance classification accuracy and mitigate overfitting compared to individual models. This improvement arises from aggregating predictions across multiple classifiers, increasing robustness and generalization. We employed soft voting in this study because it can leverage probabilistic confidence scores [36]. By aggregating the predicted probabilities from both models, soft voting ensures that the final decision reflects the relative confidence of each classifier rather than treating them as equally certain. Figure 2 depicts ensemble learning using soft majority voting methods.

IV. EXPERIMENTAL AND RESULTS

IV.1 DATASET DESCRIPTION

The dataset, available as an open source on Kaggle(https://www.kaggle.com/datasets/tawsifurrahman/Covid19-radiography-database), a collaborative creation and public contribution from a team comprising members of Qatar University, Doha, and the University of Dhaka, Bangladesh. This joint effort also engaged contributors from Pakistan and Malaysia, working collaboratively with medical professionals. In its second version, the dataset comprises a comprehensive collection of 15,153 CXR images, distributed across categories

as 10,192 Normal, 3,616 COVID-19, and 1,345 viral pneumonia CXRs. Figure 4 illustrates the initial class distribution, emphasizing the dominance of the Normal class relative to COVID-19 and Viral Pneumonia cases.

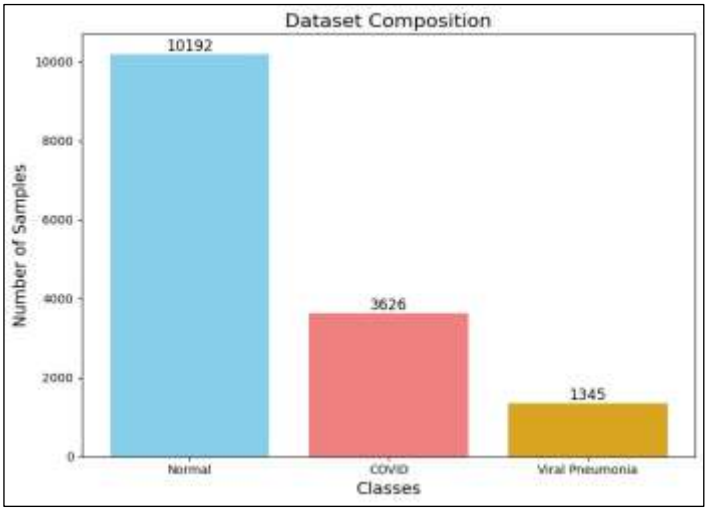


Figure 4: Overview of the class distribution in the dataset.
Source: Authors, (2025).

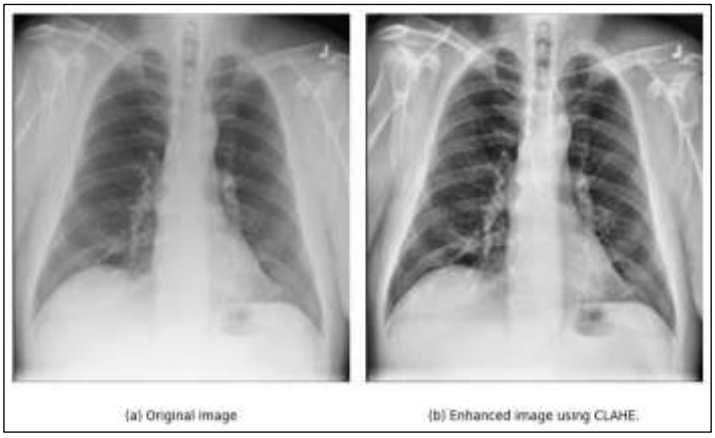


Figure 5: Image preprocessing using CLAHE.
Source: Authors, (2025).

IV.2 DATA PREPROCESSING

Medical images often suffer from noise and low contrast, necessitating preprocessing for deep learning applications. Contrast-Limited Adaptive Histogram Equalization (CLAHE) [37] enhances local contrast and detail, leading to improved predictions. It refines traditional Histogram Equalization by applying Adaptive Histogram Equalization (AHE) to separate regions of the image, while the "contrast-limited" feature prevents noise amplification. Figure 5 presents examples of CLAHE-enhanced images. To clean the dataset, we utilized the ImageHash library to remove duplicate images. The final dataset consists of 3,400 COVID-19, 10,190 normal, and 1,337 viral pneumonia images, divided into 80% for training and 20% for testing. To optimize computational resources, all images were resized to 128×128×3.

IV.3 BALANCING DATASET

To address class imbalance in the dataset, a GAN based data augmentation approach was applied to the minority classes: viral pneumonia and Covid19. The goal was to generate synthetic images for these classes until their distribution closely matched the normal class's. This augmentation was performed exclusively on the training dataset, ensuring that the test dataset remained unchanged. The proposed GAN model (Section III.1) was trained separately on the viral pneumonia and COVID-19 datasets, with the loss function defined in Equation (6) (Section III.1). Training was conducted over 1,000 epochs using the Adam optimizer with a learning rate of 0.0001. A batch size of 64 was used to ensure stable convergence, and the Leaky ReLU activation function was applied with a positive slope (α) of 0.2. The gradient penalty weight (γ) was set to 10 to enforce the Lipschitz constraint. Following training, the quality and realism of the generated images were quantitatively evaluated using the Frechet Inception Distance (FID) metric (Equation (11)). The FID measures the similarity between real and generated image distributions based on deep feature statistics extracted from the Inception network.

$$FID = |\mu_r - \mu_g|^2 + \mathrm{Tr}\left(\Sigma_r + \Sigma_g - 2\left(\Sigma_r\Sigma_g\right)^{\frac{1}{2}}\right) \tag{11}$$

where (μ_r) and (μ_g) represent the mean feature vectors of the real and generated data distributions, respectively, while (Σ_r) and denote their corresponding covariance matrices. A lower FID score indicates that the generated images are more similar to real images.

IV.4 TRAINING AND CLASSIFICATION

Two pre-trained CNN architectures, DenseNet201 and EfficientNetV2B3 (Section III.2, III.3), were implemented to classify the targeted dataset. To adapt these models to the specific classification task, their original fully connected classification layers were removed and replaced with a series of task-specific layers. These modifications included a Global Average Pooling (GAP) layer to reduce feature dimensionality, a Dropout layer to mitigate overfitting, a Dense layer with ReLU activation to introduce non-linearity and a final Dense layer with softmax activation for multiclass classification. The modified architectures, integrating the pre-trained base models with task-specific layers, were trained end-to-end using the Adam optimizer with a categorical cross-entropy loss function. A batch size of 32 was used, and different learning rate schedules (0.001, 0.01, and 0.005) were explored to optimize performance. Data augmentation techniques were applied during the training phase to improve dataset diversity and minimize the risk of model overfitting. These augmentations included image rotation by 10% and random horizontal flipping to introduce variability in the input space while preserving essential visual features. Each model was trained for 100 epochs to ensure adequate convergence. Following training, the final prediction was obtained using a soft voting ensemble of the two models, as described in Section III.4.

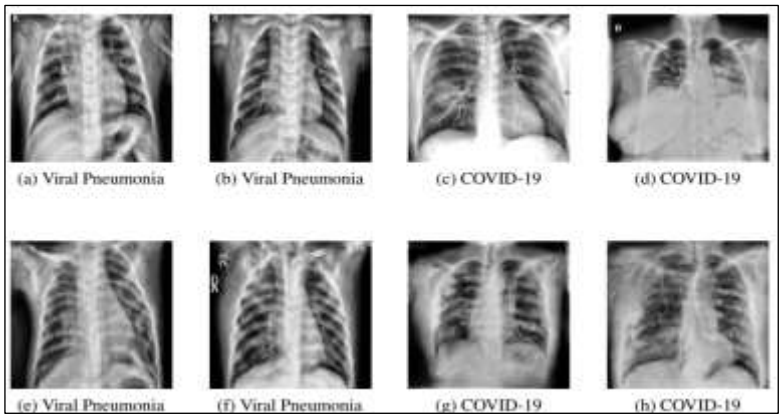


Figure 6: Sample real (top row) and generated (bottom row) CXR images for Viral pneumonia and COVID-19 cases.
Source: Authors, (2025).

IV.5 EVALUATION METRICS

Evaluating the performance of a classification model requires multiple metrics, depending on the specific task and context. These metrics provide insights into the model's strengths and weaknesses, enabling a comprehensive assessment of its effectiveness. In classification tasks, the model's predictions can be categorized into four possible outcomes, True Positive (TP) occurs when the model correctly identifies an instance as belonging to the actual class, such as correctly classifying a COVID-19 asCovid19. False Positive (FP) occurs when the model incorrectly classifies an instance into a category it does not belong to, for example, misclassifying a normal as COVID-19. True Negative (TN) occurs when the model correctly identifies an instance as not belonging to a specific class, such as correctly classifying a Normal as non-COVID-19. False Negative (FN) occurs when the model fails to recognize a true positive instance, for instance, misclassifying a COVID-19 as normal or Viral pneumonia. These results are typically summarized in confusion matrix, which provides a detailed breakdown of the model's classification performance. Several key evaluation metrics can be derived from this matrix to assess different aspects of the model's effectiveness. The fundamental performance metrics are defined as follows :

$$Accuracy = \frac{TP+TN}{TP+FP+TN+FN} \tag{12}$$

$$Precision = \frac{TP}{TP+FP} \tag{13}$$

$$Recall\ (Sensitivity) = \frac{TP}{TP+FN} \tag{14}$$

$$Specificity = \frac{TN}{TN+FP} \tag{15}$$

$$F1\ Score = \frac{2\times Precision\times Recall}{Precision+Recall} \tag{16}$$

$$MCC = \frac{(TP\times TN)-(FP\times FN)}{\sqrt{(TP+FP)(TP+FN)(TN+FP)(TN+FN)}} \tag{17}$$

While accuracy provides a general overview of model performance, it may be misleading in cases where the dataset is imbalanced, meaning one class significantly outnumbers the others. The F1 score serves as a harmonic mean of precision and sensitivity, offering a balanced measure particularly useful for imbalanced datasets, as it considers both false positives and false negatives. However, a more robust metric for handling imbalanced datasets is the MCC. Unlike accuracy and F1 score, MCC takes into account all four elements of the confusion matrix (TP, TN, FP, FN) and provides a correlation coefficient between the predicted and actual classifications.

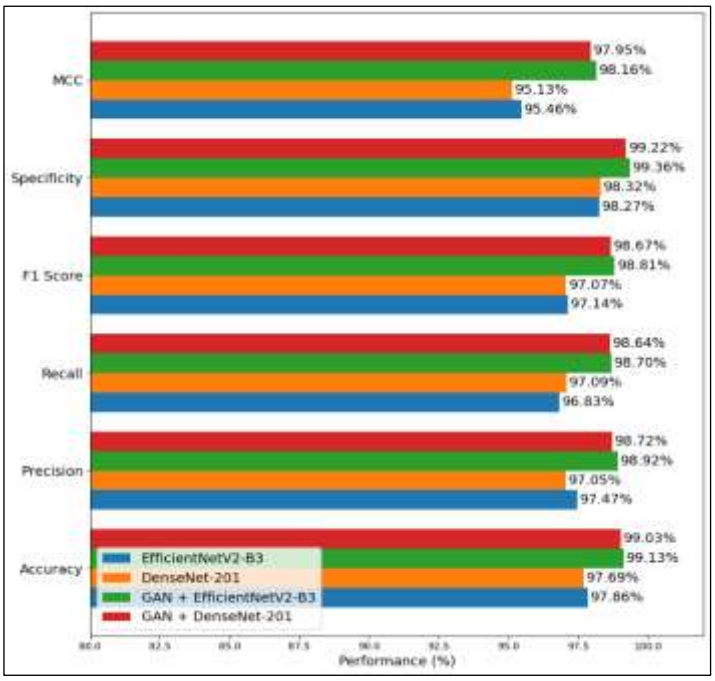


Figure 7: Classification Performance of Normal, Pneumonia, and COVID-19 Cases with and without GAN Balancing for Individual Classifiers.
Source: Authors, (2025).

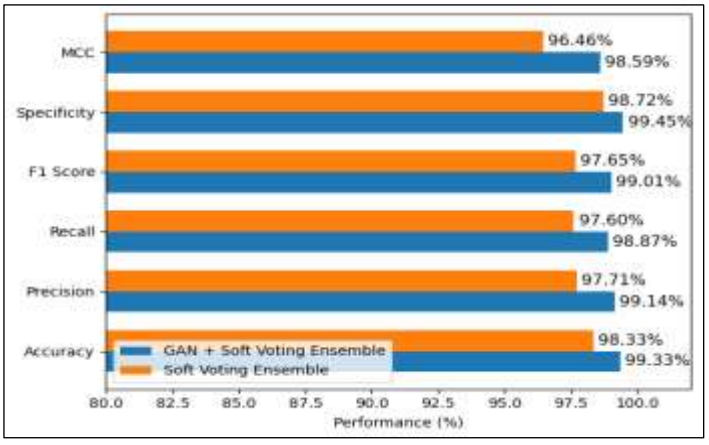


Figure 8: Classification Performance of Normal, Pneumonia, and COVID-19 Cases with and without GAN Balancing for Ensemble Classifiers.
Source: Authors, (2025).

IV.6 RESULTS AND DISCUSSION

The study aimed to address class imbalance in medical image classification by employing GANs for synthetic data augmentation. Through rigorous preprocessing, duplicate images were removed to prevent redundancy, and CLAHE was applied to enhance contrast and texture details. The dataset was then split into training and testing subsets. The training set consisted of 8,752 Normal, 2,720 Covid, and 1,070 Viral pneumonias (minority class), while the test set included 2,188 normal, 680 Covid, and 267 Viral pneumonia. The GAN-generated images significantly improved minority-class recall and reduced prediction bias. The FID scores of 62 for Viral pneumonia and 87 for the minority pathology confirmed the high visual fidelity of these synthetic samples, ensuring that they preserved clinically relevant features. Figure 6 illustrates both real and GAN-generated images produced by our architecture. When incorporated into model training, these images significantly enhanced performance. The baseline models, EfficientNetV2-B3 and DenseNet-201, initially achieved high overall accuracy (97.86% and 97.69%, respectively), but exhibited moderate recall scores for the minority classes (97%), reflecting a bias toward the majority class. Following GAN augmentation, GAN+EfficientNetV2B3 achieved 99.13% accuracy and 98.70% recall, while GAN+DenseNet201 reached 99.03% accuracy and 98.64% recall. As seen in Figure 7, the MCC, which measures classification balance,

increased from 95.46% and 95.13% in the baseline models to 98.16% and 97.95%, indicating a significant reduction in class bias. To further enhance generalization, a soft voting ensemble combining EfficientNetV2B3 and DenseNet201 was implemented. The ensemble model without augmentation reached 98.33% accuracy and an F1-score of 97.65% (Figure 7). However, when trained with GAN-augmented samples, the GAN+Soft Voting Ensemble achieved 99.33% accuracy, 98.87% recall, and an MCC of 98.59%, demonstrating the synergy between GAN augmentation and ensemble learning. The high specificity of 99.45% suggests that the model effectively reduced false positives while maintaining robust sensitivity for minority pathology cases.

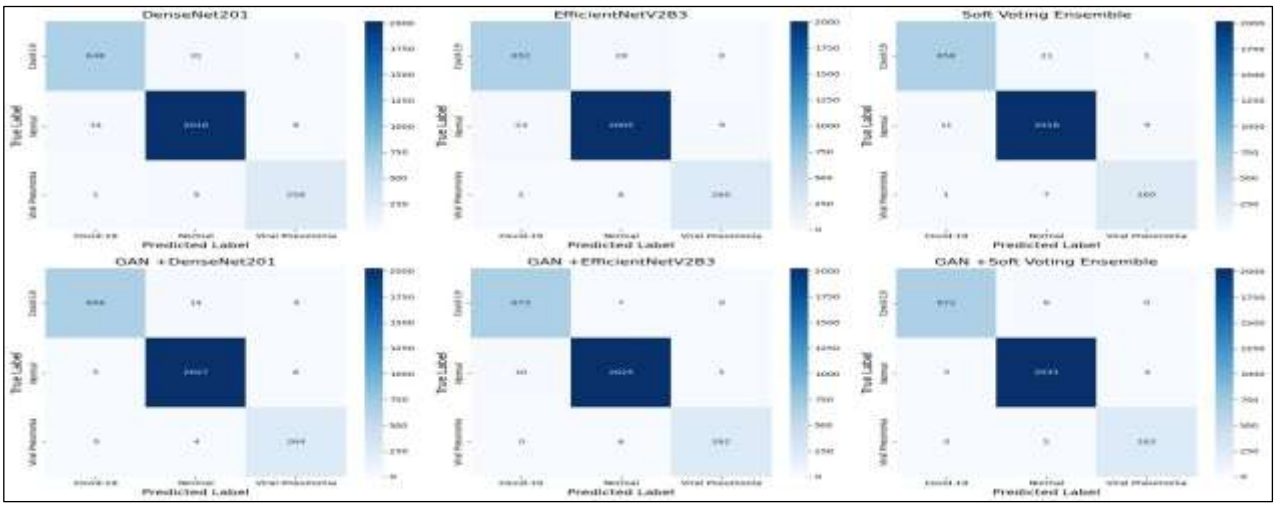


Figure 9: Confusion matrices showing classification performance for different models and ensemble approaches, with and without GAN-based augmentation. The bottom row (GAN-enhanced models with ensemble learning) minimizes misclassification errors, especially for the minority class.
Source: Authors, (2025).

For the classification performance of different models and ensemble approaches, we present the confusion matrices in Figure 9. These matrices depict the number of correctly and incorrectly classified instances for each class, providing a detailed assessment of model performance. We computed the Grad-CAMs of the CNN models and superimposed these activation maps onto CXRs to identify regions indicative of COVID-19 and Viral pneumonia related biomarkers. The regions highlighted in red correspond to areas with the greatest influence on the classification decision. When a CXR is classified as COVID-19 positive or as Viral Pneumonia, the red-highlighted regions indicate the areas that contributing most significantly to the prediction, suggesting the likely location of the disease. Figure 10 and 11 presents Grad-CAM visualizations for COVID-19 and Viral pneumonia CXRs were correctly classified by the model.

The comparison with different oversampling techniques, presented in Figure 12, highlights the limitations of interpolation-based methods such as ADASYN and SMOTE, which often fail to generate samples that reflect clinically meaningful features and fine-grained image details used by the model for its predictions. While ADASYN combined with DenseNet201 improved accuracy to 98.16%, its recall (96.90%) remained lower than that achieved by GAN+DenseNet201 (98.64%), suggesting that GAN-generated data provided more realistic and diagnostically meaningful variations than traditional resampling methods. Similarly, SMOTE+DenseNet201 achieved a 97.10% F1-score but still fell short of the performance observed with GAN augmentation. These findings emphasize that interpolation-based techniques often fail to preserve complex pathological patterns, whereas GANs effectively capture the heterogeneity of medical conditions, leading to improved classification performance.

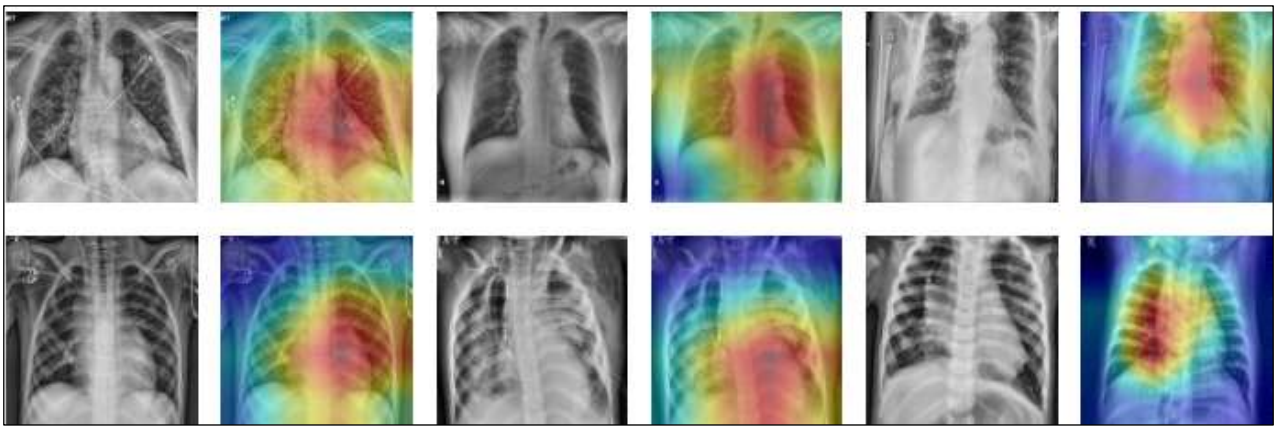


Figure 10**:** Grad-CAM visualizations from EfficientNetV2-B3. The first row shows activation maps for COVID-19 positive CXRs, and the second row shows activation maps for Viral pneumonia cases, highlighting the regions most influential in the classification decisions.
Source: Authors, (2025).

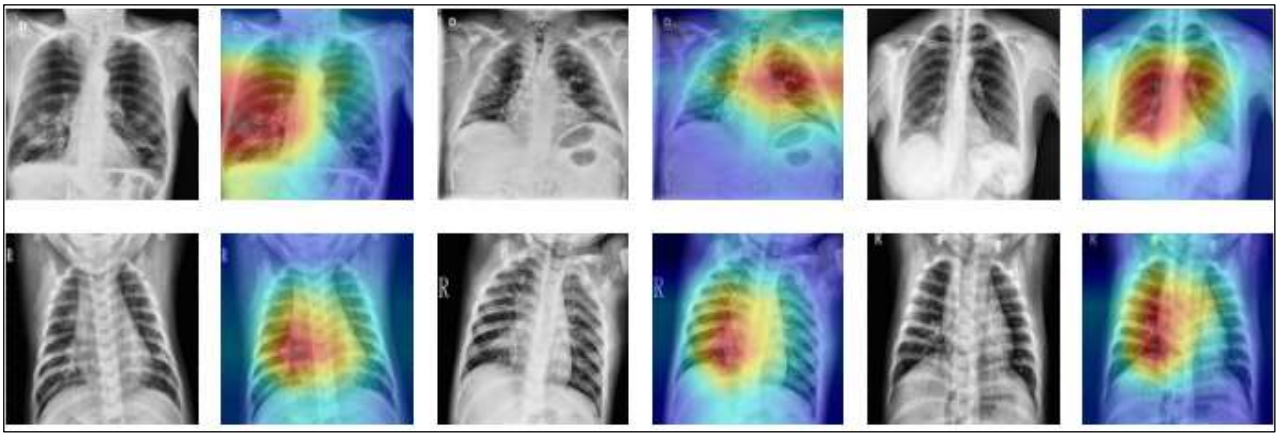


Figure 11**:** Grad-CAM visualizations from DenseNet-201. The first row shows activation maps for COVID-19 positive CXRs, and the second row shows activation maps for Viral pneumonia cases, highlighting the regions most influential in the classification decisions.
Source: Authors, (2025).

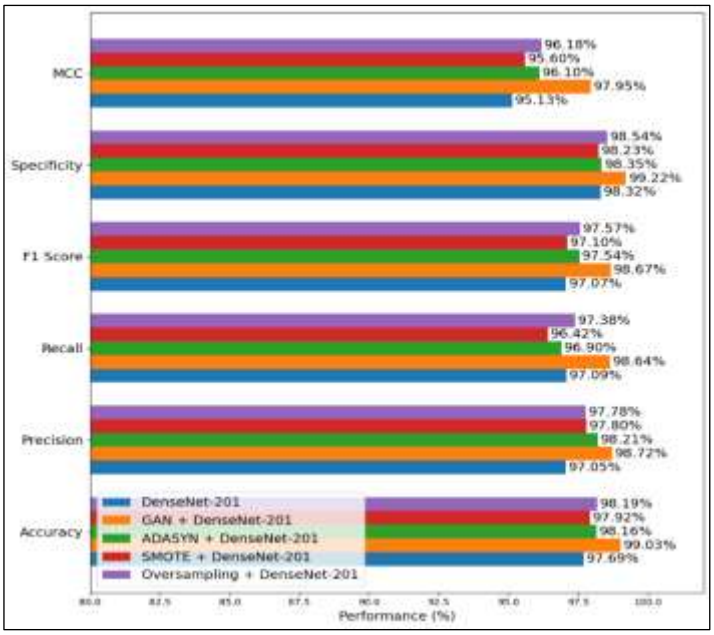


Figure 12: comparison with oversampling methods.
Source: Authors, (2025).

Table 1: Comparison of Classification Performance in Previous Studies vs. Our Proposed GAN-Based Ensemble Approach (DenseNet201 + EfficientNetV2B3).

Study	**Method**	**Accuracy (%)**	**F1-score (%)**
Rajaraman et al. [38]	Ensemble of iteratively pruned deep learning models	99.01	—
Win et al. [28]	Ensemble classifier with voting strategies	99.23	98.30
Verma et al. [39]	Class weights + VGG16	98.00	97.00
Chamseddine et al. [30]	DenseNet201 + SMOTE	98.64	98.63
Mohan et al. [40]	Custom CNN + Data Augmentation	97.00	98.00
Beghoura et al. [41]	Improved CovidConvLSTM	98.78	98.78
Ours	**GAN + Ensemble Learning (DenseNet201 + EfficientNetV2B3)**	**99.33**	**99.01**

Source: Authors, (2025).

A comparative analysis with prior studies tackling class imbalance in medical imaging, summarized in Table 1, further supports the superiority of the proposed method. Previous approaches, such as DenseNet201 + SMOTE (98.64% accuracy, 98.63% F1-score) by Chamseddine et al. [30] and custom CNN + data augmentation (97.00% accuracy, 98.00% F1-score) by Mohan et al. [40], demonstrated moderate success in mitigating class imbalance. However, the proposed GAN+Ensemble Learning (DenseNet201 + EfficientNetV2B3) method outperformed all previous approaches, achieving the highest recorded accuracy 99.33%. This result highlights the effectiveness of GAN-augmented training in improving classification fairness beyond existing methodologies. The findings reinforce that GAN-based augmentation along with ensemble of the soft voting is a powerful tool for addressing class imbalance in deep learning-based medical image classification. While these results are promising, several limitations must be acknowledged. The models were developed and validated using the same publicly available dataset, which may not fully capture the diversity of real-world clinical data. Although the models demonstrated high accuracy on the internal testing set, their performance may not generalize to external datasets, potentially indicating overfitting. Thus, further validation using external, real-time clinical datasets is necessary to assess robustness and

generalizability. Additionally, the dataset lacked clinical metadata such as patient age, gender, and symptoms (e.g., cough, fever), limiting the ability to perform inferential statistical analyses. Incorporating such information in future studies could reduce dependence on extensive labeling and enhance model interpretability. Overall, this study highlights GAN-based augmentation combined with a soft-voting ensemble as a powerful and scalable approach for achieving balanced, high-accuracy performance in medical image classification, offering considerable promise for improved diagnostic efficacy in clinical settings. Enhancing diagnostic performance through the integration of clinical metadata remains a focus of our future research.

V. CONCLUSIONS

This research demonstrated the efficacy of GAN-based data augmentation with ensemble voting of DenseNet201 + EfficientNetV2B3 in mitigating the adverse effects of class imbalance on COVID-19 and Viral pneumonia detection in CXR images. Through CLAHE preprocessing and the generation of high-fidelity synthetic samples, both DenseNet201 and EfficientNetV2-B3 models experienced a marked increase in recall and reduced classification bias. Notably, the soft-voting ensemble combining these two architectures achieved an overall accuracy of 99.33%, an F1 score of 99.01%, and an MCC of 98.59%, underscoring its robust discriminative power. The enhanced performance highlights the capacity of GAN-based approaches to capture complex, clinically relevant features and produce synthetic images that meaningfully expand minority-class representation. However, relying on a single, publicly available dataset may limit the generalizability of these findings, and potential constraints arise from the computational demands associated with both GAN training and ensemble methodologies. Extending this approach to diverse, multi-institutional datasets could further validate its robustness while exploring more sophisticated generative models such as StyleGAN or CycleGAN may enhance image fidelity and variability. Moreover, self-supervised or semi-supervised strategies could reduce dependence on extensive labeling.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Aissa Snani, Mohammed Tarek Khadir.
Methodology: Aissa Snani.
Investigation: Aissa Snani.
Discussion of results: Aissa Snani, Mohammed Tarek Khadir and Modawy Adam Ali Abdalla.
Writing – Original Draft: Aissa Snani.
Writing – Review and Editing: Aissa Snani, Mohammed Tarek Khadir and Modawy Adam Ali Abdalla.
Resources: Aissa Snani.
Supervision: Mohammed Tarek Khadir and Modawy Adam Ali Abdalla.
Approval of the final text: Aissa Snani, Modawy Adam Ali Abdalla.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p. 168-179. November/December, 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2262

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

A NOVEL WAVELET-BASED MULTI-TASK CONVOLUTIONAL NEURAL NETWORK AND GENETIC ALGORITHM APPROACH FOR ENHANCED FACIAL RECOGNITION

Khaled Merit[1]

[1]Laboratory of TIT, Department of Electrical Engineering, Tahri Mohammed University of Bechar.

[1]https://orcid.org/0000-0002-7762-1898

E-mail: merit.khaled@univ-bechar.dz

ARTICLE INFO

Article History
Received: June 24, 2025
Revised: October 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Denoising,
Multi task CNN,
Feature extraction,
Genetic algorithm,
Wavelet transform.

ABSTRACT

A new system based on wavelet transform, a multi task convolutional neural network and feature extraction technology, as well as a genetic algorithm model, is put forward to address the insufficient accuracy and high data noise in current Facial Recognition (FR). The new system uses a wavelet transform based face detection algorithm to denoise the noisy data of facial images. Afterwards, feature extraction and genetic algorithm are used to improve the model and enhance the accuracy of facial image recognition. The study results demonstrated that the approach used in the study was 16.0%, 10.0%, and 8.7% higher than other algorithm models in Dataset 1, and 15.3%, 10.1%, and 13.3% higher than other algorithm models in Dataset 2. The highest change value in dataset 1 was 92.3%, which was about 1.1% and 4.7% higher than other models. The recognition accuracy, recall, and regression values of the research method model were the highest at 99.7%, 99.5%, and 99.7%, respectively. The accuracy of the model was 6.00% and 3.33% higher than that of other models. The stability of the research method was the best among traditional algorithms. The approach architecture used in the analysis has improved performance and higher accuracy in FR.

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I. INTRODUCTION

Facial Recognition technology has always been of great concern and has been widely applied in many fields, including security systems, social media, finance, healthcare, and more [1]. With the continuous development of computer vision and deep learning fields, significant progress has been made in practical recognition technology, among which deep learning methods have become one of the main research directions currently [2]. The Multi task Cascaded Convolutional Networks (MTCCN) algorithm is a deep learning algorithm for face detection that uses cascaded deep convolutional neural networks (CNN) to achieve multi task processing of faces, including face detection, key point localization, and bounding box regression [3]. MTCNN has achieved an efficient Facial Recognition system by effectively handling the information flow between different tasks. Genetic Algorithm (GA) is a heuristic optimization algorithm suitable for optimizing and searching complex problems. In the social recognition system, GA can be used to optimize the extraction and matching process of facial features, thereby improving recognition accuracy and performance [4].

This study is put forward to achieve the accuracy and overall performance evolution of current Facial Recognition by using the MTCNN algorithm model and feature extraction technology of wavelet transform, as well as the GA model to improve the system model. By researching and developing medical recognition systems based on MTCNN and GA, we aim to provide more reliable and efficient medical recognition solutions for various application scenarios, thereby promoting the development and application of medical recognition technology. This study is categorized as 4 components. The initial one is an overview of the current domestic and international research content. The second part is an analysis of the algorithm and the construction of the system model. The third part is performance testing of the system model through experiments. The fourth is planned as a summary analysis of the current research content.

II. RELATED WORKS

Under the context of artificial intelligence, social recognition technology has become a research hotspot, widely used in security authentication, monitoring systems, intelligent interaction and other fields. Zhi Yang Wang et al. worked and put forward a low rank representation solution to address the issue of neglecting specific local structures and noisy samples from different views, which leads to decreased recognition ability in multi view real recognition. The new method was implemented through a layered Bayesian approach, which constrains and match it with a linear combination. The experiment outcomes said that compared with the most advanced classification and clustering methods of the same kind, this method was more effective [5]. Chen et al. worked and put forward a feature extraction solution supported by neighborhood weighted average and central symmetry to solve the problem of Facial Recognition under complex lighting conditions. A feature fusion algorithm was proposed, which combines the advantages of directional gradient histograms. The experiment outcomes said that compared with other latest algorithms, this algorithm has more reliable effectiveness under challenging lighting conditions [6].

McGugin R W et al. worked and put forward a method based on 7T ultra-high resolution magnetic resonance imaging to investigate the relationship between Facial Recognition and vehicle recognition ability with cortical thickness. The research results indicated that individuals with strong Facial Recognition abilities have relatively thin cortical areas in the selective brain regions of the face, while those with strong vehicle recognition abilities have relatively thick cortical areas in the same regions [7]. Xue S et al. proposed a robust prototype dictionary and robust change dictionary construction method to improve the accuracy of single sample factual recognition per person. The new method utilized dictionary learning methods to obtain atoms, and selects effective atoms through suggested function indexing methods to construct robust prototype dictionaries and robust change dictionaries. The experimental results showed that RPRV had strong robustness to Facial Recognition in unconstrained environments and was superior to state-of-the-art SRC based methods [8].

He M et al. worked and put forward a novel occlusion simulation method for the robustness of Facial Recognition to occlusion, which involves discarding in carefully selected channels. This method simulates real occlusion through spatial regularization and local perception channel removal, and designs a module to improve the contribution rate of non-occluded areas. The experiment outcomes said that the put forwarded one has significant improvements on various benchmarks [9]. Liu Y et al. proposed a multi factor joint normalization network based on generative adversarial networks to address the challenges faced by unconstrained Facial Recognition. This method could normalize multiple factors simultaneously, including posture, lighting, and facial expressions. The experiment outcomes said that the proposed solution could synthesize multi factor normalization results while preserving identity [10]. Xiaoqian Y et al. conducted an experiment to investigate at what spatial resolution the human brain could recognize familiar faces from unfamiliar individuals, and whether this process depends on the distance between the observer and the face.

The results showed that in blurred images with increased spatial resolution, the neural response in the occipital temporal region appeared and quickly reached saturation at approximately 6.3-8.7 cycles, while the neural response disappeared when resolution decreased [11]. Hao M et al. proposed a hyperspectral real recognition solution to address the issues of band misalignment, and high data dimensionality in hyperspectral real recognition. The experiment outcomes said that the algorithm has achieved excellent results on three popular hyperspectral face databases, outperforming most other ones [12]. In summary, most of the current fields of social recognition suffer from issues such as insufficient accuracy, high noise in facial image data, invasion of personal privacy by social recognition, and low recognition accuracy due to occlusion. These have become key issues in social recognition. How to increase the precision of current Facial Recognition and reduce data noise is the main issue of current research. This study proposes a new wavelet transform MTCNN and GA (WMTCNN-GA) based Facial Recognition system to reduce the impact of noise in facial data recognition. At the same time, the GA model is used to improve the feature compensation and expression.

III. FACIAL RECOGNITION MODEL FOR IMPROVING DEEP CNN ALGORITHMS

The main focus of the research is to build a new Facial Recognition model and analyze the main framework and structure of the model. Afterwards, the existing problems in the system were improved and analyzed, and GA models and feature extraction techniques were added to improve the accuracy and precision of facial image recognition.

III.1 DEEP CNN ALGORITHM FOR FACIAL RECOGNITION

Analyzing and detecting facial data and location information is a crucial step in Facial Recognition. Therefore, when performing Facial Recognition, it is necessary to first detect and analyze facial data. In order to analyze facial data stably, wavelet transform and improved MTCNN face detection algorithm is used. The MTCNN model in facial detection analysis mainly consists of several modules: data loading and preprocessing module, data denoising module, and MTCNN detection module. The model first loads and analyzes the facial images through a data loading module, and then performs denoising on the facial data through a data denoising module. The denoised facial data images are then feature extracted and learned to complete facial data detection. The current system framework structure is shown in Figure 1. From Figure 1, it can be seen that the data processing and loading module for facial images in the four modules includes several operation steps: segmentation of facial images, normalization of data, and balanced distribution of facial images.

Then, in the data denoising process, the image data is first subjected to threshold conversion and processing, and then the threshold is selected and analyzed to transfer the reconstructed facial image data into the algorithm model, The processed facial data can only be input into the simulation model, and the obtained facial feature points complete the construction of the facial image. In the denoising process of the model, it is needed with significant meaning to analyze the original image to reduce its resolution size, and then set a relative threshold size. Simply retain the eliminated noise data with a threshold coefficient, and set the data below the threshold to 0. Finally, use the wavelet transform coefficient to reconstruct the face image through the wavelet inverse transform. At this point, the obtained face data has already eliminated the influence of noise.

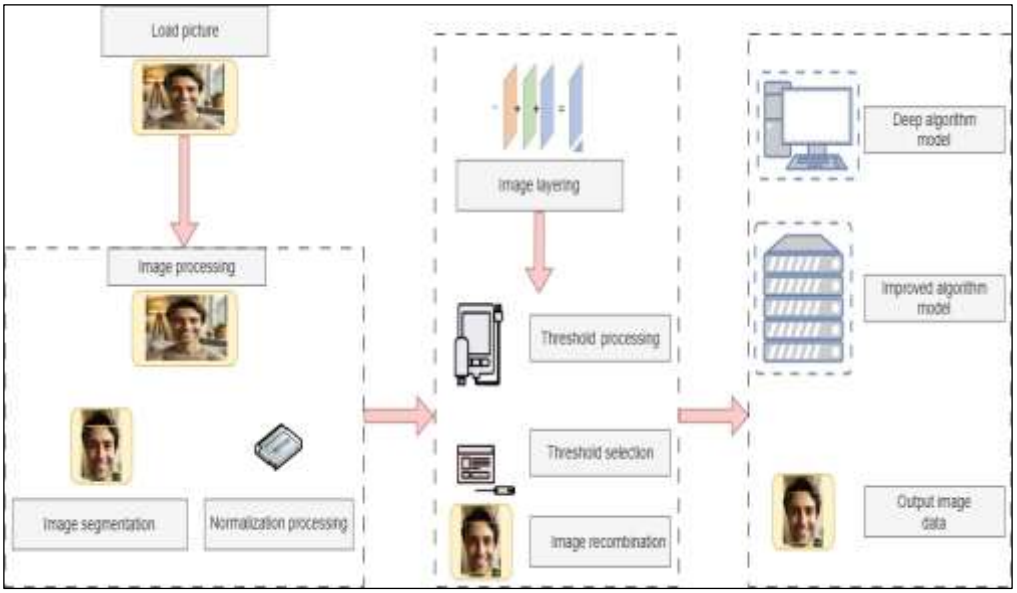


Figure 1: System Model Framework Structure.
Source: Authors, (2025).

MTCNN mainly consists of three parts in facial data recognition and analysis. The initial part is a relatively shallow CNN. It mainly generates facial selection framework images. The second part is a deep convolutional neural work hired to filter the current facial frame image and adjust the frame. The last part is also a more complex CNN model, which mainly detects key information points in the selection box of the face. The schematic diagram of the current MTCNN main stage process framework is shown in Figure 2. From Figure 2, it can be seen that when the detected image information is input, the MTCNN structure will enlarge and shrink the image structure, build a pyramid model of the image, then use the three CNN structures of MTCNN to detect and adjust the face image, and finally output the current required face image data. The largest detection structure in the MTCNN model is the selection of face frames, which calculates the intersection of the human face images based on the detection results, while retaining only the maximum result for the intersection values. At this point, the obtained threshold will not be too low, which will reduce the accuracy of the filtered image. The intersection calculation is shown as in (1) [13].

$$K = \frac{A \cap B}{A \cup B} = \frac{A \cap B}{A+B-A \cap B} \tag{1}$$

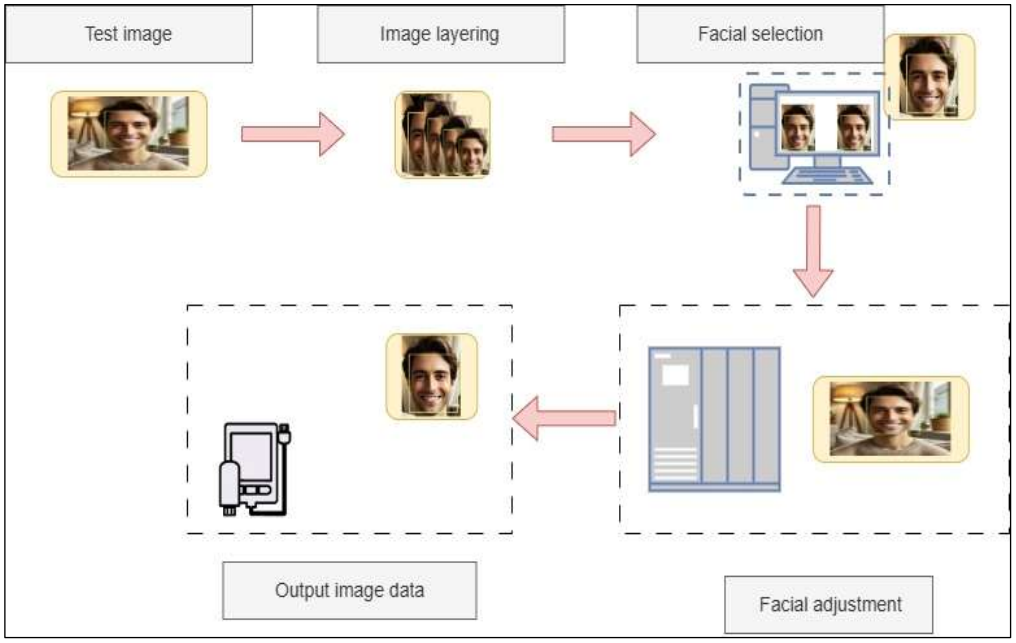


Figure 2: Schematic diagram of MTCNN main stage process framework.
Source: Authors, (2025).

In Equation (1), A represents the area of the trained face selection image, B represents the selection area of the face selection image, and K represents the intersection ratio of the face image. The selection status of the current image is determined by the size of the intersection ratio. The main image processing flow of the MTCNN model CNN is shown in Figure 3.

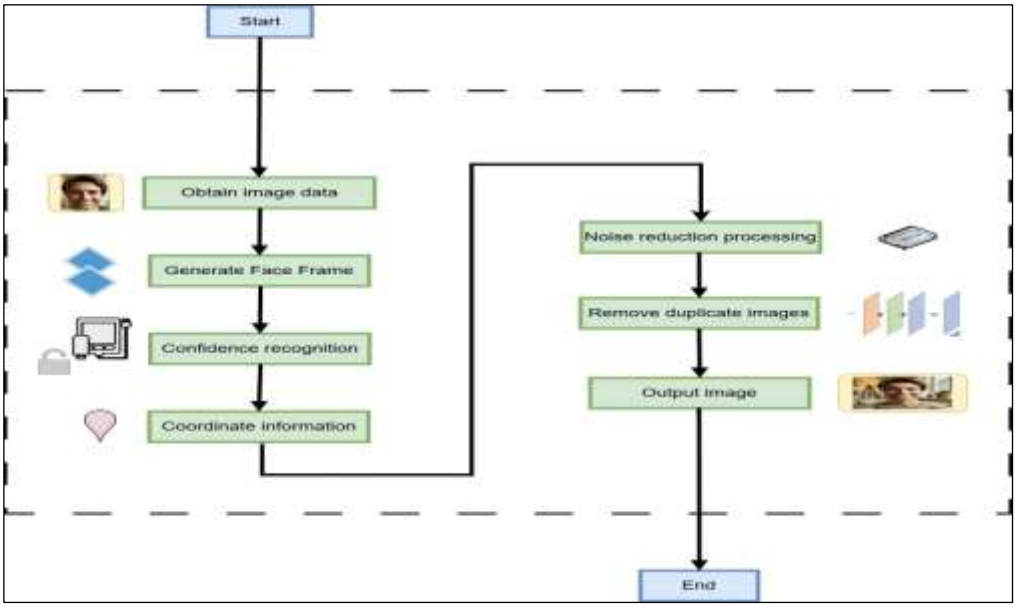


Figure 3: The main image processing flow of the MTCNN model CNN.
Source: Authors, (2025).

From Figure 3, the network module of the MTCNN model first obtains the height and width. Then, if the image data is too large, a face frame is generated, and the coordinate information of the image is obtained through confidence recognition. Then, the image data is denoised and input into the network model. The frame is then calculated for fit while removing duplicate facial images, Finally, obtain the final size of the facial wireframe. The input sample value size of the algorithm model at this time is shown in (2) [14].

$$L^{det} = -\left(y_i^{det}\, log(p_i) + \left(1 + y_i^{det}\right)(1 - log(p_i))\right) \tag{2}$$

In Equation (2), y_i^{det} represents the label value of the face sample, p_i is hired to be the symbol of the network's face probability size, and L^{det} is hired to be the symbol of the input sample size. The loss function value of the facial target wireframe at this time is shown in (3).

$$L^{box} = \left\| \hat{y}_i^{box} - y_i^{box} \right\| \tag{3}$$

In Equation (3), $\hat{y}_i^{box}$ represents the coordinate information of the facial bounding box output by the model, y_i^{box} represents the wireframe boundary coordinates of the real face, and L^{box} represents the loss function value of the facial image. The key points obtained at this point are shown in (4) [15].

$$L^{landmark} = \left\| \hat{y}_i^{landmark} - y_i^{landmark} \right\| \tag{4}$$

In Equation (4), $L^{landmark}$ represents the coordinates of the current facial image keypoints, $\hat{y}_i^{landmark}$ represents the coordinates output by the keypoint network, and $y_i^{landmark}$ represents the true coordinates of the keypoints. Adding up the loss function values of all images yields the weighted loss value, as shown in (5).

$$L = min \sum_{i=1}^{N} \sum_{j \in (det, box, landmark)} a_j \; b_i^j \; L_i^j \tag{5}$$

In Equation (5), N is the symbol of the model training total sample size, a_j is the symbol of the weight size of the model, b_i^j represents the symbol of the sample type, L_i^j represents the weight size of different image wireframes, and L represents the total loss function value of the model. Due to the information loss that occurs when the current model directly selects facial images, reducing its confidence in the algorithm model can reduce the loss of wireframe information, as shown in (6) [16].

$$S_i = \begin{cases} S_i, & K(M, \beta_i) < N_i \\ S_i(1 - K(M, \beta_i)), & K(M, \beta_i) \geq N_i \end{cases} \tag{6}$$

In Equation (6), N_i represents the threshold size of the model, S_i represents the regression wireframe of the model, M represents the wireframe size with the highest confidence, and β_i represents the regression wireframe size for face selection. By using as in (6) to modify the confidence level based on the threshold, the final confidence value can be obtained.

III.2 IMPROVEMENT OF FACIAL RECOGNITION ALGORITHM AND SYSTEM MODEL BUILDING FOR DEEP CNNS

With the purpose to achieve the recognition accuracy improvement of the current system in the MTCNN model, the calculation factor and the method of extracting original image features and GA are added to the system model to improve the algorithm system. The improved model calculates the initial compensation factor of the MTCNN algorithm model to obtain the original image, and then compensates and selects the feature data through GA to obtain the weighted image feature map of the feature model. At this time, the obtained facial feature image is the most accurate feature image, as shown in Figure 4, which is the process of extracting the initial model feature image. From Figure 4, it can be seen that the improved feature image first converts the inserted face data into an image with larger grayscale values. [17] generates a new compensation factor based on the grayscale image.

The optimal compensation coefficient is solved through GA for the compensation factor, and then the obtained optimal compensation coefficient is input into the image recognition system of MTCNN to generate the most original feature description image. The image is then split into multiple sub image data, and a new face image is obtained by calculating the pixel size of the sub images. Finally, the obtained image information is dimensionally reduced to obtain the final high-precision image. Due to the many coefficients that need to be compensated in the improved system model, which can be used to lift the size of the feature values, the obtained feature images can be represented by compensation factors as shown in (7) [18].

$$H = A + S_1 \cdot F_1 + S_2 \cdot F_2 + S_3 \cdot F_3 + \cdots + S_n \cdot F_n \tag{7}$$

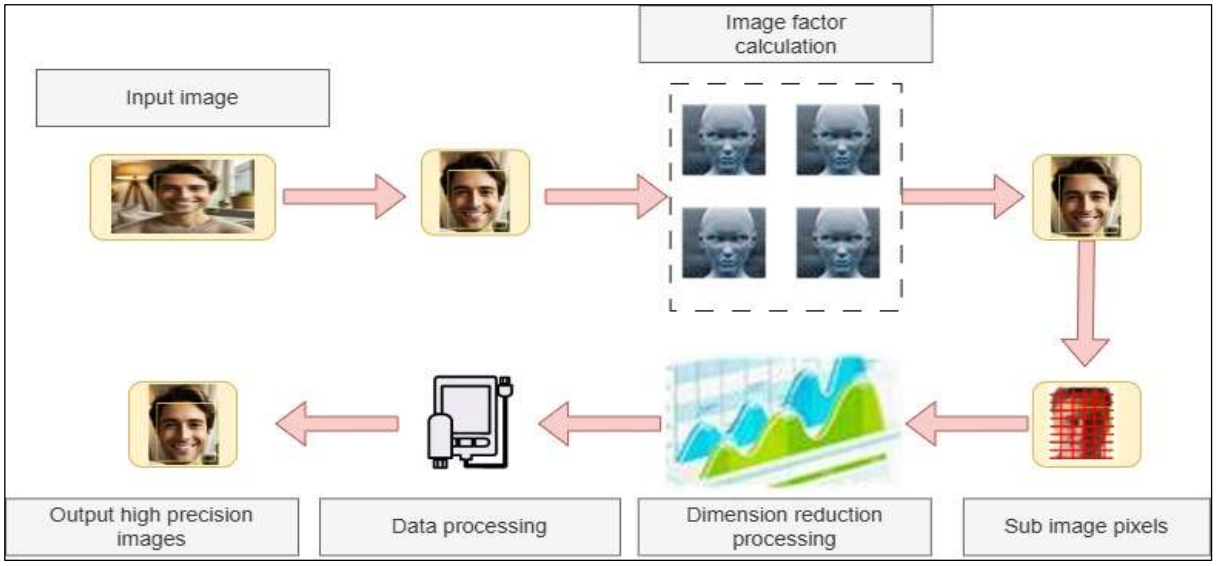


Figure 4: Process of Initial Image Extraction of Model Features.
Source: Authors, (2025).

In Equation (7), S_n represents the calculation factor of the image, and F_n represents the size of the compensation coefficient. In order to process and compare the original characteristic information of the compensation more intuitively, the new image obtained after compensation is compared, as shown in Figure 5. From Figure 5, after improving the recognition rate and data layout, the obtained new image data obtains a new histogram data image. At the same time, the pixel value of the generated image also changes, and the image value obtained by feature compensation can also generate new image pixels. At this time, the pixel size of the two images depends on the compensation coefficient size and calculation factor. Therefore, when these two values change, the clarity and accuracy of images can be greatly improved. In order to obtain a better compensation coefficient, a new compensation factor calculation method needs to be added, as shown in (8).

$$S_{t1}(i,j) = \begin{cases} A(i+1,j), i \geq 1, i < m \\ S_{t1}(i-1,j), \ \ i = m \end{cases} \tag{8}$$

In Equation (8), S_{t1} represents the left bias value of the image, and the other parameter sizes are the same as above. The calculation factor obtained at this point is shown in (9) [19].

$$S_1 = |A - S_{t1}| \tag{9}$$

In Equation (9), S_1 represents the initial calculation factor. The formula for calculating the right bias matrix of the model at this time is shown in (10).

$$S_{t2}(i,j) = \begin{cases} A(i-1,j), i > 1, i \leq m \\ S_{t2}(i+1,j), \ \ i = 1 \end{cases} \tag{10}$$

In Equation (10), S_{t2} represents the right bias value of the image, and the other parameters are the same as above. The formula for the upper bias matrix of the model is shown in (11) [20].

$$S_{t3}(i,j) = \begin{cases} A(i-1,j), i > 1, i \le n \\ S_{t3}(i+1,j), \ \ i = 1 \end{cases} \quad (11)$$

In Equation (11), S_{t3} represents the upper bias value of the image, and the other parameter sizes are consistent with the above. The size of the lower bias matrix of the model is shown in (12).

$$S_{t4}(i,j) = \begin{cases} A(i,j+1), j \ge 1, j \le n \\ S_{t4}(i,j-1), \ \ j = n \end{cases} \quad (12)$$

In Equation (12), S_{t4} represents the lower bias value of the image, and the other parameter sizes are consistent with the above. The final size of the model difference matrix obtained is shown in (13).

$$S_5 = (S_1 - S_2) + (S_3 - S_4) \quad (13)$$

In Equation (13), S_5 represents the size of the final calculation factor obtained. In the improved model, GA is used for image dimension processing due to its strong global search ability and dimension processing ability. The main process is to combine the feature compensation of images to generate new feasible combinations, and designate them as the first-generation population. By iterating the population and generating new populations, the population size can be expanded, allowing for more iterations of its feature images and ultimately obtaining better population combinations [21]. Furthermore, the global optimal solution of the system is obtained to accomplish the quality and accuracy improvement of the generated images, as shown in Figure 6, which is the current improved system model process.

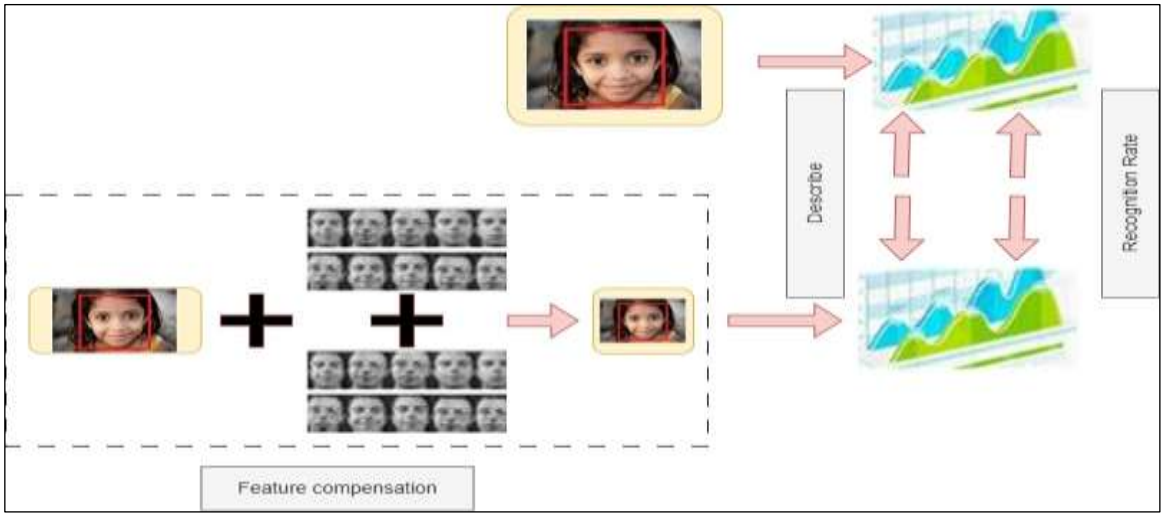


Figure 5: Comparison of new images obtained after compensation.
Source: Authors, (2025).

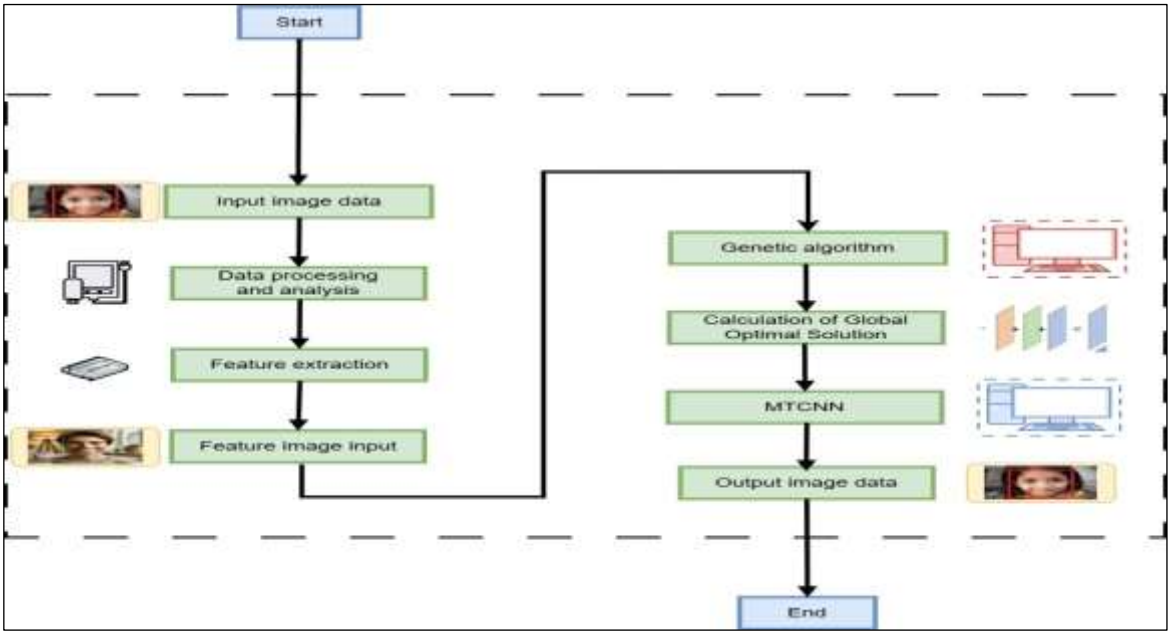


Figure 6: Improved System Model Process.
Source: Authors, (2025).

From Figure 6, after the input of facial image data, the image is first processed and analyzed through the three levels of CNNs of the MTCNN model. After obtaining new image data, the image data information is obtained through feature extraction. The obtained feature image is input into the GA model, and the current image data is calculated for the global optimal solution. Then, the obtained global optimal solution is input into the MTCNN for further calculation. The final image data is then dimensionally reduced, resulting in a clearer and more accurate facial image.

IV. TEST OF THE PROPOSED DEEP CNN FOR FACIAL RECOGNITION

The dataset used in the research experiment includes 32405 facial image data, including 6520 real face instances, including facial images obtained under different environmental conditions. The selected system CPU for the study is an Intel(R) Core (TM) i7-12800H CPU @ 4.0 GHz, with 32 GB of memory, 8 GB Nvidia Quadro RTX A2000. The initial learning rate of the algorithm is set to 0.01, and the weight value is set to 0.0005. Divide the dataset into two equally sized facial image datasets, and to test the feasibility of the current analysis approach model, compare the recognition accuracy of the traditional algorithm model, Local Binary Patterns (LBP), Local Gradient Patterns (LGP), Load Average Algorithm (LAA), and the algorithm model used in the study, as shown in Figure 7. From Figure 7 (a), it can be seen that when comparing the accuracy of the four algorithms, the accuracy of the algorithm goes up with the expansion of sample data. However, when the accuracy of the algorithm model is between 250-2000 image data, except for the algorithm used in the study, the accuracy changes curves of all other algorithm models show significant fluctuations.

However, in Figure 7 (b), the accuracy changes of the four algorithm models show an upward trend, but there is no significant fluctuation. The accuracy values of the research methods used in datasets 1 and 2 are higher than those of the other three algorithm models. The highest accuracy of the research methods used in dataset 1 is 92.3%, and the highest accuracy is 94.6% in dataset 2. In dataset 1, compared to 76.3%, 82.3%, and 83.6% of LBP, LGP, and LAA algorithm models, it is 16.0%, 10.0%, and 8.7% higher. In dataset 2, compared to 79.3%, 84.5%, and 81.3% of LBP, LGP, and LAA algorithm models, it is 15.3%, 10.1%, and 13.3% higher. To test the effectiveness of the current study approach in model ablation testing, the recognition accuracy of the research method was compared with the MTCNN and GA, and the results are shown in Figure 8.

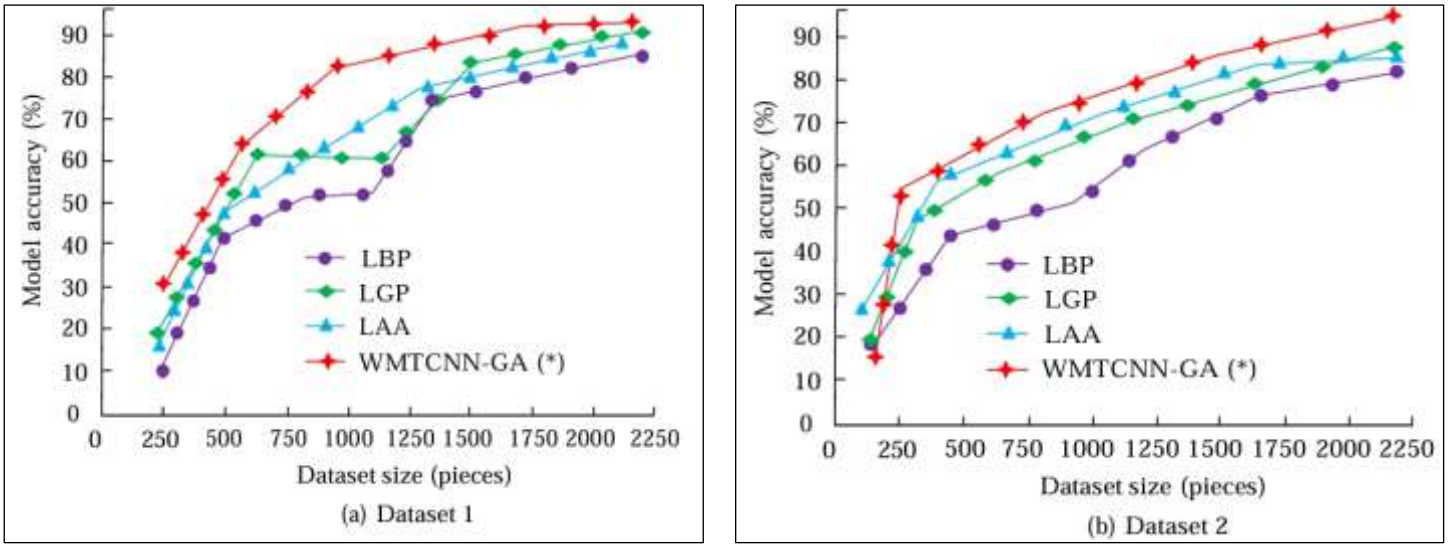


Figure 7: Accuracy of Four Algorithm Models.
Source: Authors, (2025).

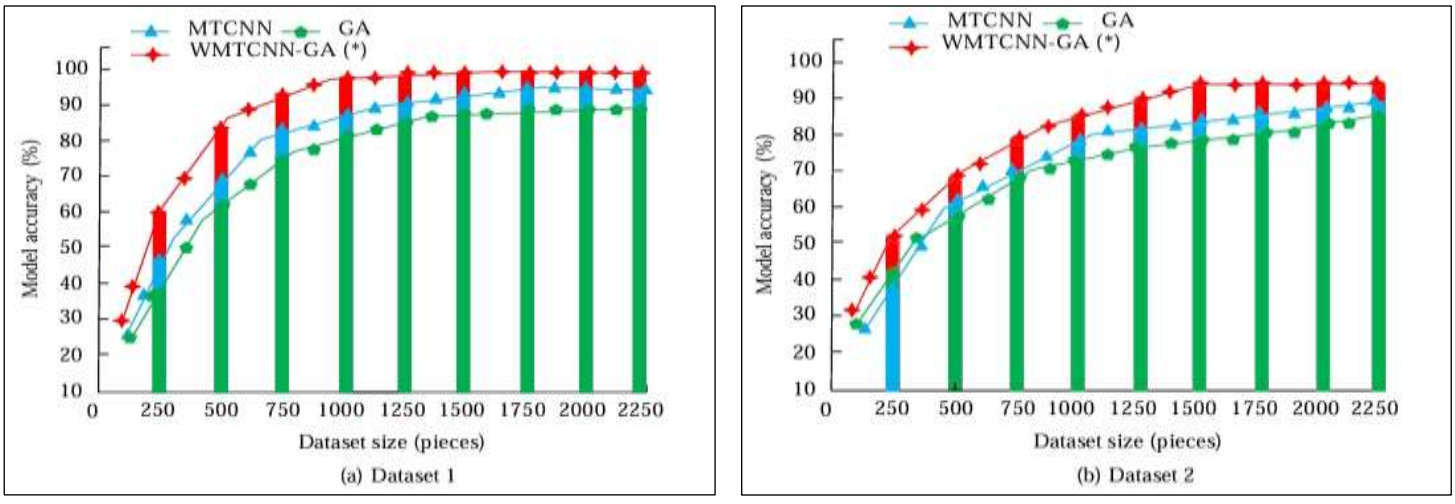


Figure 8: Comparison of accuracy of ablation pressure recognition using algorithm models.
Source: Authors, (2025).

From Figure 8 (a), it can be seen that during the ablation experiment, the algorithm approach used in the research had the highest accuracy in Facial Recognition in dataset 1. The accuracy values of the three algorithm models improved with the expansion of facial data, and then tended to stabilize. When the accuracy change is relatively stable, the highest change value of the algorithm model in dataset 1 is 92.3%, which is about 1.1% and 4.7% higher than the 91.2% of the MTCNN model and 87.6% of the GA model. From Figure 8 (b), the accuracy in dataset 2 is 94.6%, which is about 7.2% and 10.4% higher than the MTCNN model's 87.4% and GA model's 84.2%. It can be seen from this that the use of method models in research results in better model performance. To test the other performance of the current research method, such as the number of successful recognitions, recognition accuracy, recall, and regression value, 1000 facial image data were used to compare the research method with the five algorithm models mentioned above. The test outcomes are provided in Table 1.

Table 1: Performance Comparison of Different Algorithm Models.

Algorithm model	Recognition successrate	Precision (%)	Recall (%)	Regression value (%)
GA	976	97.6	96.5	98.4
MTCNN	962	96.2	98.4	96.4
LGP	986	98.6	98.1	98.3
LAA	984	98.4	96.5	99.4
LBP	975	97.5	98.5	98.5
WMTCNN-GA (Ours*)	**997**	**99.7**	**99.5**	**99.7**

Source: Authors, (2025).

From Table 1, the method used achieved the highest recognition success rate of 997 when the face data was the same. At the same time, the model recognition accuracy, recall, and regression values of this method were the highest at 99.7%, 99.5%, and 99.7%, respectively. Compared to other algorithm models, the researched one's accuracy is 3.5% higher than the lowest algorithm model, the recall is 4% higher than the lowest algorithm model, and the regression value is 3.3% higher than the lowest algorithm model. It can be seen that the algorithm performance of the research using method models is better than other algorithm models, and the recognition and detection effect of faces is better. To test the impact of algorithm feature coefficients on the algorithm model used in the current study, 8 different compensation coefficients were selected for testing. The compensation coefficients were randomly combined to generate 10 different combinations. Subsequently, the accuracy of the research method was compared with the MTCNN and GA, as shown in Table 2.

Table 2: Comparison test of accuracy of random compensation coefficients for three algorithms.

/	Accuracy (%)		
Combination	**MTCNN**	**GA**	**WMTCNN-GA**
1	66.30	69.45	71.23
2	67.42	70.32	73.24
3	67.95	70.62	73.95
4	68.23	65.31	71.25
5	60.23	64.85	73.25
6	61.24	67.35	72.35
7	96.32	69.25	73.95
8	63.95	65.23	72.86
9	64.57	68.21	72.68
10	66.84	69.84	73.84

Source: Authors, (2025).

From Table 2, the proposed one has the highest accuracy value among different compensation coefficient combinations. When combining the compensation coefficients of 3, the accuracy of the method model used in the study was 73.95%. Compared to the accuracy of 67.95% in the MTCNN model, it is 6.00% higher, and compared to the accuracy of 70.62% in the GA model, it is 3.33% higher. The algorithm model accuracy will be improved after adding compensation coefficients. To analyze and compare the half error rate and error rate of the current model, GA model, and MTCNN model, as shown in Figure 9, the smaller the value of the half error rate, the better the model. From Figure 9 (a), the error rates of the three algorithm models increase with the rise of sample quantity, and then tend to a relatively stable state. Among the three algorithms, the error rate of the algorithm approach used in the research is the lowest when in a relatively stable state, only 6.2%, which is 1.5% and 1.9% lower than the 7.7% and 8.1% of other algorithm models. It can be seen that the performance of models with relatively lower recognition error rates using algorithmic models is better.

From Figure 9 (b), the half error rate of the three algorithm models decreases with the expansion of sample size. The lowest half error rate of the algorithm model used in the study is 1.9%, which is 0.1% and 0.9% lower than the half error rate values of other algorithm models of 2.0% and 2.8%. It can be seen that the model using the research method has better performance. To test the stability of the current study approach, the loss function changes of five algorithm models were compared and tested, as shown in Figure 10. From Figure 10, the size of the loss function value in the five algorithms decreases with the increase of iteration times. When the iteration number reaches a certain value, the loss function value reaches a relatively stable state. From the graph, it can be seen that the algorithm used in the study has a minimum loss function value of only 1.5 when the loss function is relatively stable. Compared to other algorithm models, the loss function value is smaller, indicating that studying the stability of algorithms using algorithm models is more stable compared to other algorithm models.

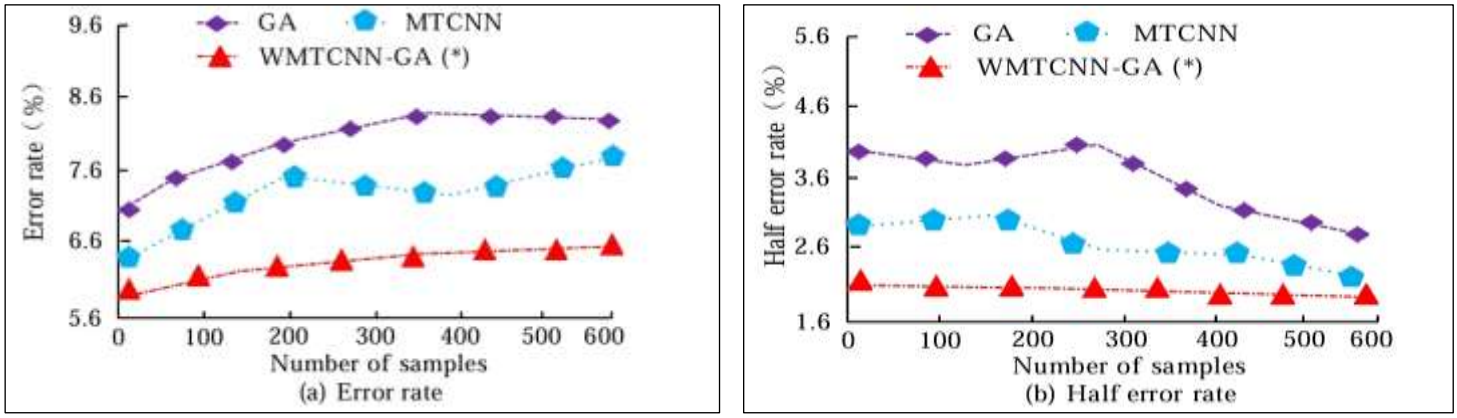


Figure 9: Comparison of Half Error Rate and Error Rate of Three Models.
Source: Authors, (2025).

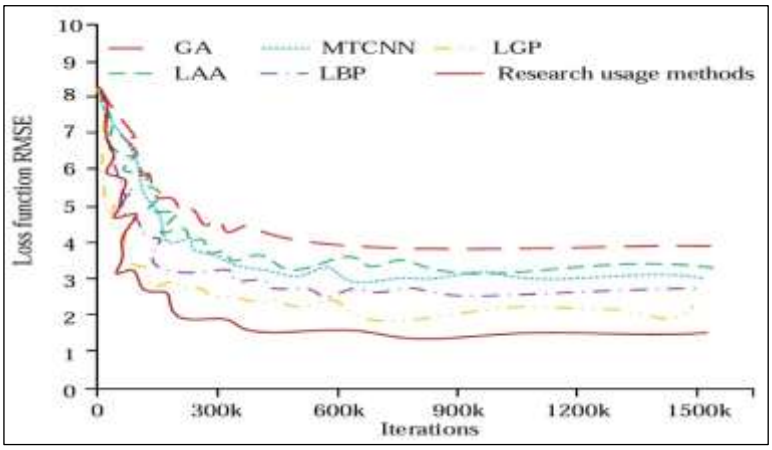


Figure 10: Comparison of loss function changes among five algorithm models.
Source: Authors, (2025).

V. COMPARISON WITH RELATED WORKS

Table 3 provides a comprehensive comparison of our results with several significant studies in the field of face detection, all of which have utilized deep learning methodologies. The selected works were chosen based on the similarity of their datasets to ours, in terms of the number of test subjects, with some studies incorporating slightly larger datasets. As illustrated in the table, our proposed method not only matches but, in some instances, surpasses the accuracy of other approaches employing different techniques and datasets. These findings underscore the robustness and efficacy of our method in face detection, highlighting its potential to perform competitively within the current state of the art. The Figure 11 illustrates the comparative performance of various face detection methodologies, highlighting their accuracy across different studies. The results reveal a significant advancement in face detection techniques, showcasing how recent innovations have led to higher accuracy rates. For instance, the method by Long et al. (2023) [22] achieved an impressive accuracy of 99.69%, closely followed by Khan et al. (2024) [23] with 99.70%.

These high-performance rates indicate the effectiveness of contemporary architectures in handling complex face detection tasks. In contrast, Qi et al. (2022) [24] reported a considerably lower accuracy of 86.00%, reflecting the challenges faced by earlier models in adapting to diverse facial conditions. The performance of Jantarasorn et al. (2023) [25] and Wang, S. (2024) [26], with accuracies of 93.98% and 94.80%, respectively, suggests that while these methods have improved upon traditional techniques, there remains room for optimization. Additionally, the proposed method (2024) showcases an outstanding accuracy of 99.70%, further emphasizing the potential of integrating advanced techniques such as wavelet transforms and multi-task learning in enhancing facial recognition systems. Overall, the figure not only illustrates the progressive trends in accuracy across different methods but also underscores the ongoing evolution of face detection technology, paving the way for more effective and robust applications in various fields.

Table 3: The Accuracy (%) score of our proposed model along with Recent Facial Recognition (FR).

Author	Year	Method	Dataset	Accuracy (%)
Long, D. T. [22]	2023	Efficient MTCNN	HOUS22	99.69
Jantarasorn, N. et al.[25]	2023	Multi-Task Cascaded Convolutional Networks (MTCNN)	Self-Acquired: 200 images (10 individuals)	93.98 (Front-facing), 88.91(Side-facing), 83.42 (Maskwearing)
Qi, S. et al. [24]	2022	MTCNN + FaceNet	LFW Dataset	86.0
Khan, S.S. et al. [23]	2024	MTCNN++	Self-Acquired: 113,586 faces (9661 images)	87.7 (12 faces per image), 99.7 (2 faces per image)
Wang, S. [26]	2024	MobileNet SSD	LFW Dataset	94.8

Mamieva, D. et al. [27]	2023	RetinaNet Baseline	WIDER FACE, FDDB	95.6
Pai, G. et al. [28]	2023	Semi-Dense U-Net	FDDB OpenImage	98.97 91.60
Proposed method	**2024**	**Wavelet-Based Multi-Task CNN + GA (WMTCNN-GA)**	**Self-Acquired: 32,405 facial images**	**99.70**

Source: Authors, (2025).

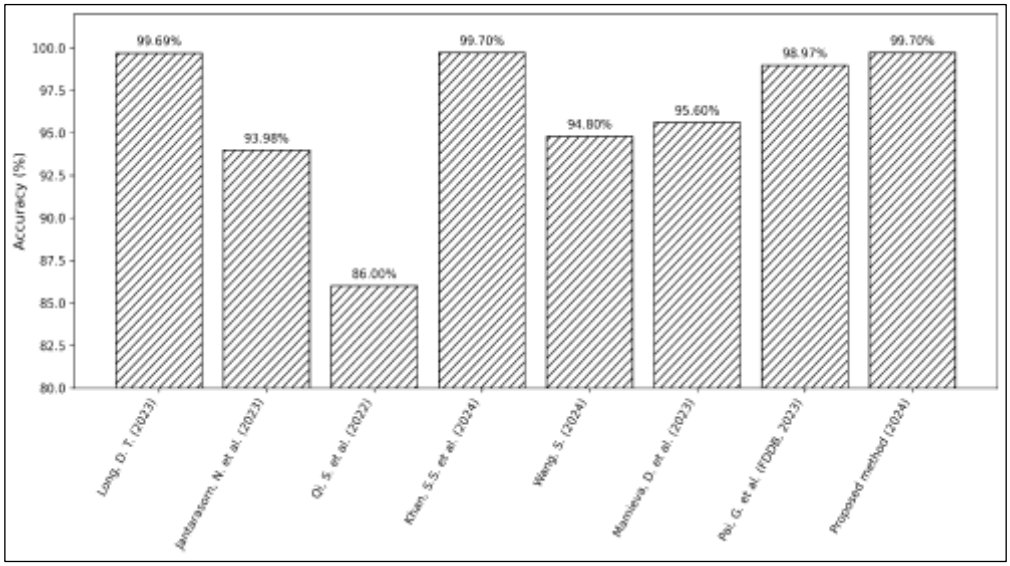


Figure 11: Accuracy Comparison Across Face Detection Methods.
Source: Authors, (2025).

V. CONCLUSIONS

A new system model combining MTCNN model feature extraction technology and GA algorithm model is proposed to address the low accuracy and significant impact of image data noise in current Facial Recognition models. The study first established a system model framework for the MTCNN model, and then added feature extraction and GA algorithms on the basis of the MTCNN model to accomplish the accuracy and precision improvement of the current system model. Finally, the efficiency and recognition performance of the current architecture model were compared through experimental analysis. The study results demonstrated that the precision values of the research methods used in different datasets were higher than those of the other three algorithm models, with the highest accuracy of 92.3% in dataset 1 and 94.6% in dataset 2. In dataset 1, compared to other algorithm models, it was 16.0%, 10.0%, and 8.7% higher, and in dataset 2, it was 15.3%, 10.1%, and 13.3% higher.

The highest change value in dataset 1 was 92.3%, which was about 1.1% and 4.7% higher than other models. The maximum number of successful recognitions achieved by the research using the same facial data was 997, and the recognition accuracy, recall, and regression values of the model were the highest at 99.7%, 99.5%, and 99.7%, respectively. The accuracy of the model was 6.00% and 3.33% higher than that of other models. At the same time, the error rate of using algorithmic models was the lowest at 6.2%, which was 1.5% and 1.9% lower than other algorithmic models. It can be seen that the precision and stability of the architecture developed in the research are superior to other algorithm models. Although this study has achieved significant results, there are still many shortcomings, and future research will involve studying and analyzing more extensive and diverse datasets.

Furthermore, building on these findings, future work could focus on enhancing the robustness of facial recognition systems against challenges such as identity alteration through cosmetic surgery. Investigating how the proposed model can accurately identify and analyze facial features before and after surgical modifications will be crucial. This research direction will require expanding the dataset to include instances of facial alterations, thereby improving the model's capability to recognize individuals despite significant changes in their appearance. Additionally, exploring the ethical implications and privacy concerns associated with the deployment of advanced facial recognition technologies will be essential for responsible use in real-world applications.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Khaled Merit
Methodology: Khaled Merit
Investigation: Khaled Merit
Discussion of results: Khaled Merit
Writing – Original Draft: Khaled Merit
Writing – Review and Editing: Khaled Merit
Resources: Khaled Merit
Supervision: Khaled Merit
Approval of the final text: Khaled Merit

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p. 180-185. November/December, 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2444

RESEARCH ARTICLE OPEN ACCESS

ENSEMBLE LEARNING BASED MOLECULE EMBEDDING TO IMPROVE NANOFLUIDS' THERMAL CONDUCTIVITY PREDICTION

Meghazi Hadj Madani[1], Mekroussi Said[2], Maaskri Moustafa[3]

[1]Computer Science Department, University of Tiaret, Algeria.
[2] Laboratory of Industrial Technologies, Mechanical Engineering Department,University of Tiaret, Algeria.
[3]Electrical Engineering Department,University of Tiaret, Algeria

[1]http://orcid.org/0000-0002-9057-8775, [2]http://orcid.org/0000-0001-8824-3960, [3]http://orcid.org/0000-0003-1680-5033

E-mail: h.meghazi@univ-tiaret.dz, said.mekroussi@univ-tiaret.dz, moustafa.maaskri@univ-tiaret.dz

ARTICLE INFO

Article History
Received: July 24, 2025
Revised: October 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Ensemble learning,
Molecular embedding,
Thermal conductivity prediction,
Nanofluids.

ABSTRACT

The thermal conductivity of nanofluids plays a critical role in numerous industrial applications, including lid-driven cavities and metallurgical lubrication technology. However, accurately predicting this property remains a persistent challenge, necessitating continued innovation. In this study, we propose a novel methodology that leverages ensemble learning with molecular embeddings to enhance the prediction of nanofluid thermal conductivity. By integrating existing correlations with experimental data, our approach generates robust predictive models that outperform state-of-the-art methods. Experiments conducted on a real-world dataset demonstrate the superior performance of the proposed framework, highlighting its potential to advance research and industrial applications in nanofluid heat transfer.

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I. INTRODUCTION

Prediction of the thermal conductivity of nanofluids involves utilizing various models and algorithms. Studies have proposed models like artificial neural networks (ANN) and power law models to estimate thermal conductivity based on factors such as particle concentration, temperature, particle size, and base fluid properties, Hanief et al. [1] proposed an artificial neural network model to predict the thermal conductivity ratio of metal oxide nanofluids based on particle concentration, temperature, particle size and properties of the base fluid. Shahrivar et al.[2] created a highly accurate artificial neural network model using experimental data to forecast the thermal conductivity of nanofluids. In [3], machine learning models, particularly Gradient Boosting Regression, predict the thermal conductivity of oxide nanofluids based on particle size, concentration, and temperature variations, enhancing system efficiencies in various industries. Similarly, in [4], the thermal conductivity of nanofluids can be predicted by considering factors like nanoparticle size, type, volume fraction, and base fluid, as well as by utilizing a proposed thermal conductivity model. Theoretical models like effective medium theory, Brownian models, nanolayer models, and molecular dynamics simulations are used to predict nanofluid thermal conductivity in [5].

The study of [6] predicts TiO2/water nanofluids' thermal conductivity using machine learning models, with the LS-SVM method showing the highest prediction accuracy among the models tested.The study of [7] predicts enhanced thermal conductivity of nanofluids by incorporating boron nitride nano-barbs into ethylene glycol and propylene glycol mixtures, showing up to a 45% increase with higher concentrations. XGBoost and Gaussian process regression were utilized in [8] to predict the impact of sonication on thermal conductivity of f-MWCNT nanofluids, determining optimal conditions for enhanced stability and dispersion. In this paper [9], a physics guided machine learning approach was proposed by incorporating physics-based relations at the initial stage and into traditional loss functions for predicting the thermal conductivity of water-based nanofluids using a wide range of both experimental and simulated data. As noted in [10], the thermal conductivity of the nanofluids with SiC particles is modeled by using artificial neural network as an intelligent method, pointing up the importance of factors such as temperature and volume fraction in influencing the thermal conductivity of nanofluids, which are critical for effective modeling, revealing significant closeness of the forecasted data and corresponding experimental values. [11] features experimental and theoretical approaches for predicting the thermal conductivity of nanofluids, highlighting advancements

in understanding that show no significant change upon nanoparticle addition. In the findings of [12], a deep forest model was employed to predict the thermal conductivity of hybrid nanofluids, and the results showed that the model's predictive performance was better than those of artificial neural network (ANN), LSTM, support vector regression (SVR), random forest (RF), and various empirical equations. In this paper [13], the thermal conductivity and dynamic viscosity of five kinds of graphene oxide nanofluids, with a mass fraction of 0.002% to 0.01%, were studied in the temperature range of 25 – 50°C. [14] In this article, statistical analysis method such as cluster analysis was used to group the effective thermal conductivity models of nanofluids and the recommended GPI for the model ranges from -6.4197 to 2.5742.

As noted in [15], the transfer learning-based models' results are compared with those from baseline models which are trained only on experimental data using a goodness of fit metric (R) and it is found that the transfer learning models perform better with R values of ∼0.93 as opposed to ∼0.83 from the baseline models. The authors of [16] investigated the thermal properties of MXene-based nanofluids and found that MXene provided a 30.6% improvement in the effective thermal conductivity of the 0.5 wt% MXene/water compared to the pure water base fluid. In this paper [17], theoretical and mathematical models have been compared to predict the thermal conductivity of nanofluids and the experimental data have been collected from literature and compared with various models, results showed that mathematical models are effective when volume fraction value is less than 0.01. [18] In this paper, two appropriate semi-experimental models based on none-linear regression over 800 extracted experimental data to predict the thermal conductivity coefficient of nanofluids were presented. [19] In this article, a review of the effect of alignment, electric field, and green nanofluid on thermal conductivity of metal oxide nano-nodes is presented and discussed.

[20] In this article, the thermal conductivity of 11 nanofluids, for a total of 239 experimental points, was analyzed in detail, and a new semi-empirical, scaled equation was also proposed. [21] In this paper, a neural regression model for predicting carbon nanotube nanofluids (knf) is proposed, which takes into account four influencing factors, including carbon-notube diameter, volume fraction, temperature and base fluid thermal conductivity (kf). [22] In this article, the authors used locally weighted linear regression (LWLR) to predict the thermal conductivity ratio of hybrid nanofluids in water, ethylene glycol and various volume percentages of the base fluid. [23] In this paper, a high-accuracy regression equation is developed for the prediction of thermal conductivity of graphene nanoplatelet-water nanofluids, based on the temperature (15-60 °C), nanoparticle weight fraction (0.025-0.1 wt.), and graphene nanoparticle specific surface area (300-750 m^2/g). While these studies demonstrate significant advancements in predicting nanofluid properties, the investigation of integrating molecular embedding techniques with ensemble learning remains an emerging area.

II. PROPOSED APPROACH

In this study, we present a novel approach leveraging ensemble learning combined with molecular embeddings to enhance the prediction of thermal conductivity in nanofluids. Molecule embeddings are used to address limitations in previous methodologies, which often relied on simple encoding techniques, such as one-hot encoding. These traditional methods fail to capture the inherent structure and relationships within molecular data. As noted in [10], one-hot encoding might represent the molecule "**CuO**" as "**1000**" in one experiment and "**0100**" in another, result- ing in inconsistent and non-representative encodings. In contrast, **molecule embeddings** provide a well-defined vectorial representation that encapsulates molecular properties and relationships, enabling more accurate learning (See figure 1). To maximize the potential of this representation, we adopted an **ensemble learning approach**, which combines the predictions of multiple models to create a more robust and generalized solution. Ensemble learning leverages the strengths of individual models while mitigating their weaknesses, thereby enhancing prediction accuracy and reducing overfitting.

This framework integrates diverse algorithms, enabling the exploitation of molecule embeddings' rich information effectively. Using this approach, we evaluated four (04) models: H2O AutoML [24], XGBoost Tree Ensemble, Gradient Boosted Trees and Regression Tree, by utilizing molecule embeddings as the primary input, which represents the key originality of this paper in the field. To enhance the predictive capability, we combined the molecule embeddings with additional features, including the volume fraction (ϕ), temperature (T), and particle size. The AutoML process involved training the specified models and compiling them into a single table. These models were then tested on the test set, with their predictions compared against the actual values. Multiple performance metrics were calculated to assess the accuracy of the predictions, and the model demonstrating the highest R^2 score was selected as the best-performing model. This comprehensive evaluation highlights the effectiveness of our method in advancing the prediction of thermal conductivity in nanofluids.

III. EXPERIMENTS

III. 1 DATASET AND EXPERIMENTAL ENVIRONMENT

For this study, we utilized the same dataset as in [15], which comprises molecular properties and thermal conductivity values for a range of nanofluids. The dataset includes diverse combinations of nanoparticles (e.g., CuO, Al_2O_3, TiO_2) and base fluids (e.g., **W**ater, **E**thylene **G**lycol) to provide comprehensive coverage of nanofluid compositions. The dataset comprises **1,015** observations, characterizing different nanofluid compositions through six attributes: particle type, fluid composition, volume fraction (ϕ), temperature (T), particle size, and thermal conductivity ratio (k ratio). The volume fraction (ϕ) varies between **0** and **0.1828**, with an average of **0.0398** and a standard deviation of **0.0331**, indicating a range of particle concentrations. The recorded temperatures range from **4.00°C** to **97.29°C**, with a mean of **37.15°C**, reflecting a diverse thermal environment.

Particle sizes span from $\mathbf{5.00 \times 10^{-9}}$ **m** to $\mathbf{9.80 \times 10^{-8}}$ **m**, with an average of $\mathbf{3.59 \times 10^{-8}}$ **m** (≈ **36 nm**), suggesting a predominant nanoparticle regime (See figure 2). The thermal conductivity ratio (k ratio), a key property for assessing heat transfer efficiency, exhibits values between **1.00** and **1.69**, with a mean of **1.1579** and a standard deviation of **0.115**, indicating a moderate variation in thermal enhancement. The dataset includes multiple particle- fluid combinations, allowing for comparative analysis of their thermophysical behaviors. Given the range of values, this dataset provides a solid foundation for investigating the influence of particle size, concentration, and temperature on the thermal performance of nanofluids (See figure 3).

Both the nanoparticles and base fluids in the dataset were first transformed into their respective **SMILES** (**S**implified **M**olecular **I**nput **L**ine **E**ntry **S**ystem) notations, a standardized textual representation of molecular structures.

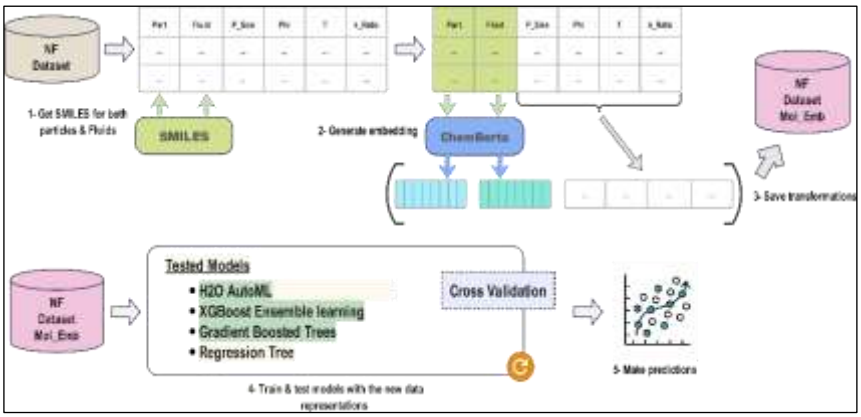


Figure 1: Workflow of the Proposed Approach for Nanofluid Thermal Conductivity Modeling.
Source: Authors, (2025).

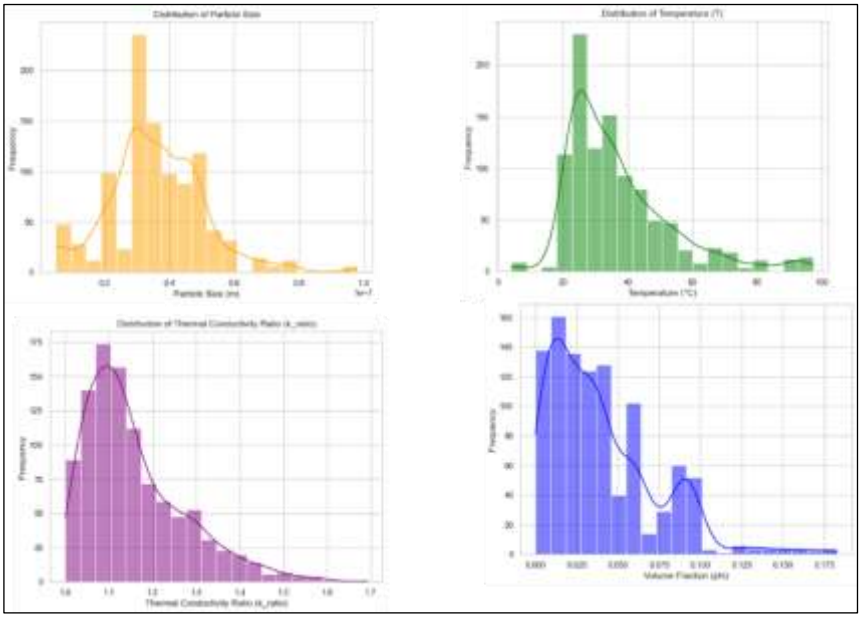


Figure 2: Descriptive statistics of the distribution of thermal conductivity ratio, temperature, particle size and volume fraction from the dataset.
Source: Authors, (2025).

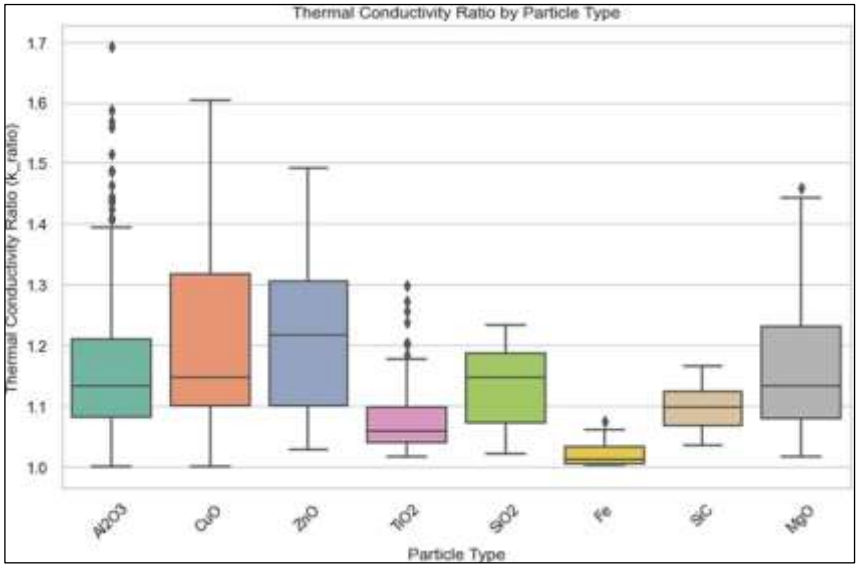


Figure 3: Thermal conductivity ratio by particle type.
Source: Authors, (2025).

For the fluids, we directly used the generated embeddings in the case of water alone or ethy- lene glycol alone, but in the case where we have **EG/W mixtures**, we made the proportions of each come into play. For example, if we have the **EG/W mixture** at **60:40**, the corresponding embedding is: **(0.6*Embeddings of the SMILES of EG) + (0.4*Embeddings of the SMILES of water)**. The dataset was preprocessed to address missing values and ensure consistency in features. Molecule embeddings were scaled and normalized to facilitate effective learning across models. For performance evaluation, the dataset was split into training (75%), validation (15%), and test (10%) subsets using a stratified sampling technique to preserve the distribution of thermal conductivity values. The experimental environment was configured on a platform equipped with a GPU NVIDIA RTX3060Ti, CPU Intel 12900k and 32GB of RAM using Python 3.10 and TensorFlow 2.18. The experiments were conducted under controlled hyperparameter tuning protocols using grid search and cross-validation techniques to optimize model performance.

III. 2 EXPERIMENTAL RESULTS AND DISCUSSION

We evaluated the performance of four (04) machine learning models. The primary evaluation metric was the **R^2 score**, which measures the accuracy and robustness of the models in predicting thermal conductivity.

H2O AutoML (using molecule embeddings): This model achieved the highest R^2 score **of 0.9923**, showcasing its superior ability to utilize molecule embeddings for highly accurate predictions.

XGBoost Tree Ensemble (using molecule embeddings): With an R^2 score of **0.9867**, this model demonstrated excellent performance, only slightly trailing H2O AutoML.

Gradient Boosted Trees (using molecule embeddings): Achieving an R^2 score of **0.9851**, this model performed strongly but ranked just below H2O AutoML and XGBoost Tree Ensemble.

Regression Tree (using molecule embeddings): This model delivered a solid R^2 score of **0.9732**, indicating effective use of molecule embeddings but falling short of the top three models.

H2O AutoML (using OneHot encoding): While competitive with an R^2 score of **0.93**, this model was notably outperformed by those leveraging molecule embeddings, emphasizing the value of molecular embedding representation in improving prediction accuracy.

The results of all evaluated models are summarized in Table 1, providing a comprehensive comparison of their performance metrics

Table 1: Performance Comparison of Machine Learning Models for Thermal Conductivity Prediction.

Models	***R^2 values***
H2O AutoML (using Molecule embedding)	**0.9923**
XGBoost Tree Ensemble (using Molecule embedding)	0.9867
Gradient Boosted Trees (using Molecule embedding)	0.9851
Regression Tree (using Molecule embedding)	0.9732
AutoML(using OneHot)	0.9300
Ensemble Learning [15](Train+Test Data)	0.8300
Transfer Learning [15] (Train+Test Data)	0.9300

Source: Authors, (2025).

The H2O AutoML model, using molecule embeddings and identified as our best-performing approach, achieved an outstanding R^2 score of **0.9923**, significantly surpassing the results reported in [15]. The models in [15], namely "*Ensemble Learning*" and "*Transfer Learning*", both utilizing one-hot encoding, achieved R^2 scores of **0.83** and **0.93**, respectively. Compared to these models, our approach demonstrates an R^2 improvement of **19.55%** over Ensemble Learning and **6.7%** over Transfer Learning, underscoring the added value of molecular embeddings as input features. Figure 4 illustrates and summarizes the results of the tested models. In the proposed approach, we utilized ChemBERTa embeddings on a relatively small dataset. These embeddings transformed both the particle and fluid columns into 384 columns each, which in itself presented a challenge. Instead of working with a dataset of (**6 columns * 1015 rows**), we worked on a dataset of (**772 columns * 1015 rows**), yet we achieved impressive performance.

This highlights the scalability and effectiveness of our methodology even with high-dimensional data. Additionally, the integration of molecular representations, alongside other critical parameters such as temperature (T), particle size, and volume fraction (ϕ), significantly enhanced predictive accuracy. The AutoML process leveraging these embeddings achieved the best R^2 score, which was improved by **1.3%** following a transformation of particle size values, ***multiplying*** them by $\mathbf{10^8}$ to address the adverse effects of working with values on the order of $\mathbf{10^{-8}}$. These results emphasize the superiority of molecular embeddings over one-hot encoding, as well as the robustness and originality of our methodology in modeling the thermal conductivity of nanofluids. This comprehensive evaluation not only highlights the effectiveness of our approach but also showcases its potential to advance research in this domain.

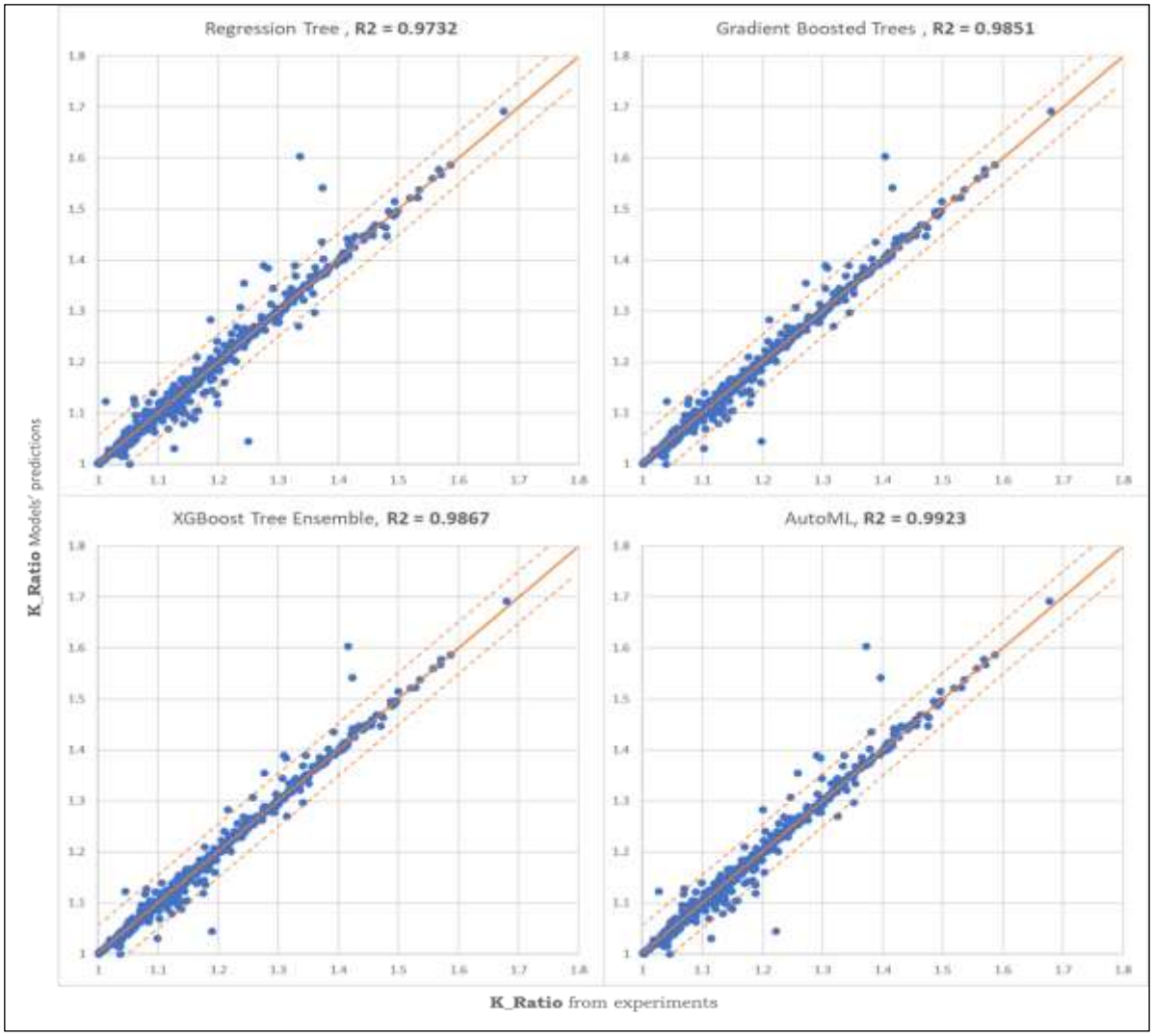


Figure 4: Predictive Performance of Tested Models Using Molecular Embeddings with R^2 as the Performance Metric.
Source: Authors, (2025).

V. CONCLUSIONS

In this study, we demonstrated the effectiveness of leveraging molecular embeddings as input features in predictive models for nanofluid thermal conductivity. By employing an AutoML framework, particularly H2O AutoML, and integrating molecular representations alongside key parameters such as temperature, particle size, and volume fraction, we achieved a state-of-the-art R^2 score of **0.9923**. This surpasses the performance of existing models from the literature, including Ensemble Learning and Transfer Learning approaches, by **19.55%** and **6.7%**, respectively. The incorporation of molecular embeddings enabled a deeper representation of the underlying chemical properties, significantly improving predictive accuracy compared to traditional one-hot encoding techniques. These results emphasize the potential of molecular embeddings as a transformative tool for enhancing predictive modeling in nanofluid research.

By combining these advanced representations with automated machine learning, we offer a robust and scalable methodology that surpasses conventional techniques. Our work not only establishes a new benchmark for predicting nanofluid thermal conductivity but also lays the foundation for future research integrating molecular representations in related domains. This approach holds significant promise for advancing industrial applications where precise thermal conductivity predictions are critical, fostering further innovation in heat transfer technologies. While this study leveraged molecular embeddings, the field offers several techniques, such as graph-based embeddings and SMILES-based embeddings, that remain underexplored in the context of predictive modeling for thermal conductivity and related properties. A deeper exploration of these techniques will help identify the most suitable methods for different types of chemical data and physical properties.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p. 186-199. November/December., 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2687

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

TMH: A TRANSFORMER-MARKOV HYBRID MODEL FOR BEHAVIOR-AWARE CODE SUMMARIZATION

Zakarya Benyamina*[1], Ahmed Benyamina[2]

[1] Department of Computer Science, Institute of Science, University Center of Aflou, Laghouat, Algeria
[2] Department of Computer Science, Faculty of Exact Sciences, Tahri Mohammed University, Bechar, Algeria

[1]https://orcid.org/0009-0008-6362-436X, [2]https://orcid.org/0000-0002-6710-6462

Email: * z.benyamina@cu-aflou.edu.dz, benyamina.ahmed@univ-bechar.dz

ARTICLE INFO

Article History
Received: September 10, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Automatic Code Comment Generation,
Transformer,
Markov Model,
Hybrid Architecture,
Program Comprehension.

ABSTRACT

Automatic code comment generation is crucial for enhancing code readability, maintainability, and developer efficiency. However, existing models often treat source code as static text, overlooking its dynamic execution behavior. To address this, we propose Transformer with Markov modeling (TMH) a hybrid architecture that combines static lexical embeddings with behavioral signals derived from control-flow semantics. This dual-view representation enables the model to capture both what the code says and how it behaves. To further enhance relevance, we introduce an entropy-guided attention mechanism that prioritizes tokens critical to control logic during decoding. TMH outperforms state-of-the-art baselines (e.g., SeTransformer, ALSI-Transformer) by +1.91 BLEU-4 and +1.37 METEOR on large-scale Java datasets. Human evaluations confirm improved accuracy and contextual fluency, particularly for logic-heavy methods. By unifying static and dynamic code understanding, our approach advances neural code summarization and paves the way for more intelligent, behavior-aware documentation tools in software engineering.

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I. INTRODUCTION

High-quality comments are essential for understanding, maintaining, and evolving complex software systems. However, writing and updating comments is often neglected due to time pressures and lack of tool support, resulting in incomplete or outdated documentation [1]. Traditional tools offer limited assistance for generating accurate and coherent summaries of source code behavior [2]. Recent advances in deep learning particularly Transformer-based models have significantly enhanced automatic code summarization by leveraging large-scale code-comment datasets [3]. Over the past decade, research in this field has grown rapidly, fueled by progress in natural language processing and machine learning [4]. However, existing models often fail to produce summaries that capture both syntactic accuracy and semantic intent [5]. A key challenge is treating code as static text, which overlooks its runtime behavior. For instance, implicit dependencies across execution paths hinder the generation of meaningful summaries [6]. Additionally, benchmarks like those used for Codex are often restricted to simple code snippets, failing to reflect the complexity of real-world programming tasks [4].

To address these issues, we propose a novel architecture, Transformer with Markov modeling (TMH) that explicitly models both the code's structure and its runtime behavior. Markov chains are well-suited for this task, as they capture probabilistic transitions between semantic code states (e.g., Assignment → Conditional → Return), reflecting common execution paths. We encode these transitions as behavioral signals and integrate them with lexical embeddings through a dual-view architecture. This design allows the model to dynamically balance syntax and behavior via a learned attention mechanism, producing more informative and behaviorally aligned comments. Furthermore, we introduce an entropy-guided attention mechanism that enhances the decoding process by prioritizing control-critical tokens associated with ambiguous or branching behavior. This approach focuses the model on semantically significant regions, improving the relevance and clarity of generated comments.

We evaluate TMH on a widely used Java code-comment benchmark, comparing it against strong baselines like SeTransformer [7] and ALSI-Transformer [8]. TMH achieves a +1.91 BLEU-4 improvement over ALSI-Transformer [8] the largest margin reported for this dataset and a +1.37 gain in METEOR. Human evaluations confirm that TMH generates more accurate, fluent, and context-sensitive summaries, particularly for logic-intensive methods.
Our contributions are as follows:

- **Dual-View Code Representation**: We introduce a Transformer architecture that combines lexical embeddings with Markov-derived control-flow signals, enhancing the model's ability to capture dynamic execution behavior.
- **Entropy-Guided Attention:** We propose a novel attention mechanism that improves comment relevance by 22% in human evaluations for control-heavy code by prioritizing ambiguous execution states.
- **Empirical Gains over Strong Baselines:** We demonstrate that TMH significantly outperforms state-of-the-art models (e.g., SeTransformer) in both automatic metrics and human evaluations.
- **Behavior-Aware Decoding Framework:** We offer a generalizable decoding strategy that balances structural and behavioral cues, paving the way for more semantically grounded code summarization models.

Paper organization: Section II surveys related work. Section III presents the TMH architecture, including dual-view embeddings and entropy-guided decoding. Section IV evaluates TMH's performance and analyzes results. Sections V discusses limitations. The conclusion addresses implications and future directions.

II. RELATED WORK

Code summarization plays a vital role in improving software readability, maintainability, and developer onboarding. Effective summarization requires capturing both static structure and dynamic execution patterns. However, most existing methods rely predominantly on static analysis, overlooking runtime behavior. To provide a clearer taxonomy, we classify prior work into five paradigms: Transformer-based models, Graph Neural Networks (GNNs), hierarchical representations, meta-learning, and iterative refinement. In contrast, our Transformer with Markov modeling (TMH) explicitly incorporates dynamic behavior through Markov chains, enabling stronger alignment between code and comments (Section IV). The following subsections review each paradigm, highlight their limitations, and explain how TMH addresses these gaps. A comparative overview is presented in Table 1.

II.1 TRANSFORMER-BASED MODELS: SYNTACTIC AND SEMANTIC ENCODING

We define semantic alignment as the extent to which generated comments faithfully reflect both syntactic structure and runtime behavior. Transformer architectures dominate code summarization due to their ability to capture long-range dependencies via self-attention. CodeBERT [9] leverages masked language modeling on code–NL pairs, while PLBART [10] adapts sequence-to-sequence pretraining for fluent summaries. Decoder-only LLMs such as Codex [11] produce natural text but often suffer from semantic drift, particularly in nested control flows or error handling. Industrial tools like GitHub Copilot frequently hallucinate summaries due to static-only training [11]. Recent improvements target better code–comment fidelity. ALSI-Transformer [8] enhances lexical-syntactic alignment through Code-Aligned Type sequences, while SeTransformer [7] integrates semantic parsing for logic comprehension.

Other adaptations include layered Transformers for CSS rule generation [12], MarianCG for Python code translation [13], and ensemble-based approaches for robustness [14]. Hybrid methods, such as Re_Trans [4], combine retrieval with generative Transformers for improved accuracy. Despite their success, Transformers remain constrained by computational overhead [15] and evaluation metrics (BLEU, ROUGE) that inadequately capture semantic alignment [9]. TMH augments syntactic modeling with runtime analysis via Markov chains (Subsection III.2), outperforming state-of-the-art Transformer variants by leveraging dynamic execution patterns. While Transformers excel at sequence modeling, they struggle to capture explicit structural relationships, which motivates the use of GNNs.

II.2 GRAPH-BASED NEURAL NETWORKS: STRUCTURAL CODE REPRESENTATION

To overcome Transformers' structural limitations, GNNs represent code as graphs derived from Abstract Syntax Trees (ASTs), Data Flow Graphs (DFGs), or Control Flow Graphs (CFGs). Devign [16] employs Graph Convolutional Networks for vulnerability detection, while GraphCodeBERT [17] integrates DFGs with Transformers via graph-guided attention. Although GNNs capture structural dependencies, they introduce overhead in graph construction, particularly for long methods (>200 LOC). Condensation steps can cause edge loss, degrading summary accuracy, and their static nature neglects runtime behavior [16]. TMH complements GNNs by modeling dynamic execution paths using lightweight Markov chains (Section III.2). While GNNs flatten hierarchical relations, hierarchical models preserve code's multi-level abstraction.

II.3 HIERARCHICAL REPRESENTATIONS: MULTI-LEVEL CODE ABSTRACTION

Source code exhibits a hierarchical organization from tokens to statements, methods, and classes motivating hierarchical modeling. ASTNN [18] encodes sequences of statement-level subtrees with Bi-GRUs, while CAST [19] recursively reconstructs AST subtrees for coherent summaries. StructCoder [20] integrates AST and dataflow predictions into a Transformer decoder to improve code generation quality. Other efforts include Hybrid-DeepCom [21], which fuses AST and lexical embeddings, and path-based models like Code2Seq [22].

However, hierarchical methods face challenges in cross-language generalization, especially in dynamically typed languages such as Python and JavaScript. Furthermore, cross-level attention mechanisms (e.g., linking statements to methods) remain underexplored. TMH addresses these gaps through a dual-view architecture that dynamically weights hierarchical structures, improving semantic alignment.

II.4 META-LEARNING: ADAPTING ACROSS CODEBASES

Meta-learning aims to improve cross-task and cross-codebase generalization. Mastropaolo et al. [23] demonstrate that pretraining T5 on natural language and code followed by multi-task fine-tuning benefits tasks such as bug fixing and mutation detection. However, meta-learning approaches incur high computational costs, requiring extensive retraining across tasks. TMH achieves robustness more efficiently by embedding behavior-aware features derived from runtime execution.

II.5 ITERATIVE REFINEMENT: FEEDBACK-DRIVEN SUMMARIZATION

Single-pass models limit opportunities for refinement. CodeRL [24] introduces reinforcement learning with critic feedback (e.g., unit tests) to iteratively improve summaries, achieving substantial gains in METEOR scores. CAST [19] incorporates iterative AST reconstruction for improved coherence. While such methods enhance semantic alignment, they substantially increase computational overhead. TMH mitigates this cost by employing entropy-guided attention to prioritize semantically critical code regions within a single pass, achieving efficiency comparable to multi-pass refinement.

Table 1: Comparison of code summarization paradigms.

Paradigm	Execution Behavior Capture	Code–Comment Alignment	Compute Cost
Transformers	None	Moderate	Very High
GNNs	Static (CFG/DFG)	Moderate	Very High
Hierarchical	Static (AST)	High	Moderate
Meta-Learning	None	Low	High
Iterative Refinement	Partial Runtime	High	High
TMH (Ours)	Dynamic (Markov)	High	Moderate

Source: Authors, (2025).

III. THE TMH ARCHITECTURE: A TRANSFORMER-MARKOV HYBRID FRAMEWORK

In this section, we present the structure and processing of the inputs used by our proposed model for automatic code comment generation. Our objective is to move beyond static code representations by introducing a probabilistic view of execution flow. This hybrid approach enables the model to generate comments that are not only syntactically accurate but also aligned with the dynamic behavior and intent of the underlying code.

III.1 LIMITATIONS OF TRADITIONAL INPUT REPRESENTATIONS

Most existing approaches rely on preprocessing pipelines that extract primarily lexical and syntactic features from source code. These include token embeddings, syntax tree traversals, and handcrafted rule-based structures. While these methods are effective in representing the appearance and grammatical structure of code, they often treat it as a static artifact focusing on syntactic form rather than runtime behavior. This limitation becomes evident when models are tasked with generating descriptive comments for complex logic. For instance, while a static analysis might identify the presence of a loop or a conditional block, it provides little insight into the flow of execution or how values transform across code statements. As a result, comments generated from such inputs may appear fluent but lack depth or relevance in describing the function's purpose.

III.2 MARKOV TRANSITION MODELING

To model execution dynamics beyond static syntax, we propose a *Markov transition component* that captures the probabilistic relationships between semantic code operations (e.g., Assignment → Loop, Conditional → Return). This behavioral signal enhances the model's ability to generate comments that reflect the code's true *dynamic intent* especially in cases where syntax alone is ambiguous or insufficient.

III.2.1 Code State Definition

In our approach, each state in the Markov Chain corresponds to a *coarse-grained semantic unit* of code, such as Assignment, Conditional, Loop, Method Call, or Return Statement. These states are extracted from intermediate representations like *abstract syntax trees (ASTs)* or *control flow graphs (CFGs)*. This abstraction filters out low-level variability, such as naming conventions or formatting, while preserving the essential control and data flow structure. These semantic units are chosen to represent fundamental program behaviors that recur frequently across imperative languages and are critical for capturing the logic behind code execution.

III.2.2 Transition Construction

We construct the transition model by analyzing large-scale open-source code corpora, extracting sequences of semantic units based on control-flow adjacency. A transition from one state $s(i)$ to another $s(i+1)$ is recorded each time they occur consecutively in the execution path, as determined via static analysis (CFG traversal). The probability of transitioning from state $s(i)$ to state $s(i+1)$ is defined as:

$$P\big(s(i+1) \mid s(i)\big) = \frac{\text{count}\big(s(i)\to s(i+1)\big)+\alpha}{\sum_k \text{count}\big(s(i)\to s(k)\big)+\alpha\cdot|S|} \quad (1)$$

Where:

- $\text{count}(s(i) \to s(i+1))$ is the observed number of transitions,
- α is a smoothing constant (we use Laplace smoothing with $\alpha = 0.1$),
- $|S|$ is the total number of states in the set S.

This process results in a *transition probability matrix*, capturing the typical flow behavior found in the dataset. For example, frequent transitions from Conditional → Return often indicate early-exit logic, while Loop → MethodCall may suggest iteration over a collection. To quantify the uncertainty of these transitions, we compute the entropy of each state $s(i)$ as:

$$H\big(s(i)\big) = -\sum_j \max\big(P\big(s(j) \mid s(i)\big),\epsilon\big)\,\text{logmax}\big(P\big(s(j) \mid s(i)\big),\epsilon\big), \qquad \epsilon = 10^{-12} \quad (2)$$

This entropy is normalized by $\log|S|$ to produce $\widehat{H}(s(i)) \in [0,1]$, ensuring consistency across codebases with varying numbers of states $|S|$. This normalized entropy $\widehat{H}(s(i))$ is reused in Subsection III.5 to guide encoder attention, decoder cross-attention, and decoding bias, as described later. For numerical stability in subsequent computations, we define a clipped probability:

$$\tilde{P}\big(s(j) \mid s(i)\big) = max\big(P\big(s(j) \mid s(i)\big),\epsilon\big), \qquad \epsilon = 10^{-12} \quad (3)$$

And use $\tilde{P}$ when computing logarithms for the attention bias matrix.

III.2.3 Transition Embedding

For each token in the source code, we derive a *behavioral embedding* based on the Markov Chain's transition context. These embeddings are constructed as follows:

- Tokens are first mapped to their corresponding semantic code states using AST or CFG annotations. Tokens without explicit states (e.g., operators or literals) inherit the state of their enclosing AST node or are assigned a default [UNK_STATE].
- For each token i mapped to state $s(i)$, the corresponding row in the transition matrix, $\mathbf{p}_i = [P(s(j) \mid s(i))]_{j=1}^{|S|}$, is used as the initial embedding vector.
- These vectors are passed through an embedding layer, which can be:
    - **Precomputed** from the training data to reflect global control-flow patterns.
    - **Fine-tuned** during model training to adapt to project-specific or domain-specific codebases.

This results in a sequence of transition-aware embeddings, aligned with the token positions, and ready to be fused with lexical embeddings:

$$\boldsymbol{X}_{flow} = Embed_{flow}(P) \quad (4)$$

Where $P = \{\mathbf{p}_1, \mathbf{p}_2, \ldots, \mathbf{p}_n\}$ is the sequence of transition probability vectors, with each $\mathbf{p}_i = [P(s(j) \mid s(i))]_{j=1}^{|S|}$ representing the transition probabilities for token i.

III.2.4 Motivation

Traditional token-level embeddings focus on what code *looks like*, but fail to capture what it *does*. Our Markov-based modeling provides a complementary view capturing how semantic actions unfold over time. This is especially useful for:

- **Ambiguous code**: A Conditional → Return sequence implies a guard clause or early exit, even if syntactically terse.
- **Compact idioms**: A high Loop → MethodCall probability suggests iteration and transformation behavior.

By encoding these tendencies, our model gains a behavioral prior, enabling it to generate comments that are both syntactically fluent and semantically aligned with execution logic.

III.3 DUAL-VIEW INPUT EMBEDDING LAYER

The input to our model leverages two parallel streams of information, providing a powerful dual-view representation of source code. These streams are designed to capture both surface-level syntactic structure and deeper behavioral flow. This combination is crucial for learning representations that reflect both *what the code is* and *what it likely does*, thereby enhancing the quality of generated comments.

III.3.1 Lexical Embedding

To encode lexical information, we tokenize source code using **Byte Pair Encoding (BPE)**, a subword segmentation technique well-suited for handling rare and compound identifiers in code. BPE helps the model generalize across naming patterns by decomposing identifiers into meaningful units (e.g., getUserData into get, User, Data), making it robust to unseen tokens and stylistic variations. Each token is mapped to a dense vector through a learnable embedding matrix. These vectors capture syntactic cues such as variable names, function keywords, operators, and literals. In addition to the embedding itself, we add **positional encodings** to retain information about token order an essential component in transformer-based architectures.
Formally, given a token sequence $T = \{t_1, t_2, \ldots, t_n\}$, the lexical embedding layer produces:

$$\mathbf{X}_{\text{lex}} = \text{Embed}_{\text{lex}}(T) + \text{PosEnc}(T) \tag{5}$$

Where $\text{Embed}_{\text{lex}}$ is a learnable embedding function and PosEnc is a sinusoidal or learned positional encoding.

III.3.2 Behavioral Embedding (Markov-Based)

In parallel, we derive a behavioral embedding for each token using the **Markov transition model** described in Subsection III.2 Each token is mapped to its corresponding *semantic code state*—such as Assignment, Loop, or Conditional—based on its role in the control flow graph (CFG) or AST annotations. For each state, we extract the corresponding row in the transition probability matrix, representing the likelihood of transitioning to other semantic units. This *transition context vector* encodes behavior-aware flow information and serves as the input to a secondary embedding layer.
The behavioral embedding layer supports two modes of operation:

- **Precomputed**: Embeddings are derived directly from transition statistics over the training set, capturing global control-flow priors.
- **Fine-tuned**: Embeddings are initialized from the precomputed vectors but updated during training to adapt to task- and domain-specific behaviors.

The final output of the behavioral embedding layer is a sequence of flow-aware embeddings aligned with the token sequence, as defined in Equation (4).

III.3.3 Alignment and Preparation

Lexical and behavioral embeddings are **token-aligned by design** for each tokent_i, the corresponding $\mathbf{x}_{\text{lex},i}$ and $\mathbf{x}_{\text{flow},i}$ represent the same code unit from different perspectives. To ensure compatibility in downstream fusion, both embedding types are projected to a shared dimensionality (e.g., d_{model}). This alignment facilitates **multi-view fusion**, described in the next subsection. By incorporating both syntax and control flow, the resulting token representations allow the model to understand not only what is written but also how it behaves.

III.4 ADAPTIVE ATTENTION-BASED FUSION

To effectively utilize both lexical and behavioral perspectives of source code, our model introduces a **multi-view attention fusion mechanism**. This component dynamically integrates two complementary streams of information, allowing the model to prioritize structural or behavioral signals based on the specific context of each token. This adaptivity is essential for generating comments that reflect both what the code says and what it is likely to do.

III.4.1 Motivation and Design Rationale

Static fusion methods, such as concatenation or fixed gating, assign equal or uniform importance to all input types across every token. While computationally simple, these approaches fail to account for variations in code complexity:

- In control-heavy structures like nested loops or conditionals, *behavioral embeddings* carry rich execution context that is crucial for comment generation.
- In contrast, for declarative or assignment statements, *lexical embeddings* often suffice.

Our solution addresses this limitation through an attention-based gating mechanism. It learns to weigh the contribution of lexical and behavioral features *at each token position*, adjusting dynamically based on local context. This makes it possible for the model to, for example, emphasize behavioral signals in loop headers and lexical signals in simple variable declarations.

III.4.2 Fusion Mechanism

Let h_i^{lex} and h_i^{beh} represent the lexical and behavioral embeddings at token position$i$, respectively. We compute a **per-dimension gating score** $\boldsymbol{\alpha}_i \in \mathbb{R}^{d_{\text{model}}}$ for each token as:

$$\boldsymbol{\alpha}_i = \sigma\left(W_g\left[h_i^{\text{lex}}; h_i^{\text{beh}}\right] + b_g\right) \tag{6}$$

Where:

- σ is the sigmoid activation function,
- $W_g \in \mathbb{R}^{d_{\text{model}} \times 2d_{\text{model}}}$, $b_g \in \mathbb{R}^{d_{\text{model}}}$ are learnable parameters,
- $[\cdot;\cdot]$ denotes vector concatenation.

The final fused embedding for token i is calculated as:

$$h_i^{\text{fused}} = \boldsymbol{\alpha}_i \odot h_i^{\text{lex}} + (1 - \boldsymbol{\alpha}_i) \odot h_i^{\text{beh}} \tag{7}$$

Where $\odot$ denotes element-wise multiplication. Alternatively, a scalar gate can be used: $\alpha_i = \sigma(W[h_i^{\text{lex}}; h_i^{\text{beh}}] + b)$ with $W \in \mathbb{R}^{1 \times 2d_{\text{model}}}$, producing a scalar α_i for uniform weighting across dimensions. This approach provides *token-level adaptivity*, allowing the model to modulate its focus based on the token's role in code semantics. The fusion process is fully differentiable and trained end-to-end alongside the transformer, adding minimal computational overhead.

III.4.3 Empirical Comparison

We evaluated our adaptive fusion mechanism against three common alternatives:

Table 2: Comparison of fusion strategies on code comment generation.

Fusion Method	BLEU-4	METEOR
Simple Concatenation	22.1	0.28
Fixed Gating (50/50)	23.4	0.29
Late Fusion	24.0	0.30
Ours (Adaptive)	**26.7**	**0.33**

Source: Authors, (2025).

These results show that adaptive fusion provides a +2.7 BLEU-4 improvement over the best static baseline. This confirms the effectiveness of early, context-aware integration of dual views.

III.4.4 Integration with the Transformer

The fused embeddings h_i^{fused} are passed to the transformer encoder as the primary input sequence. This design ensures that *modality resolution (lexical vs. behavioral)* occurs prior to self-attention computation, allowing the transformer layers to focus on higher-level semantic relationships and long-range dependencies.

This architecture introduces only a lightweight gating layer adding less than 0.1% to the total parameter count while significantly enhancing the contextual richness of the input.

III.5 TRANSFORMER ARCHITECTURE WITH DUAL-VIEW PROCESSING

Our model extends the standard Transformer encoder-decoder architecture by introducing behavior-aware mechanisms that jointly capture lexical structure and dynamic execution semantics. The core innovation lies in how we inject behavioral signals derived from Markov transition modeling into both the encoder and decoder stages, allowing the model to adaptively prioritize syntactic or flow-based features based on context. This dual-view approach enables our system to disambiguate code intent more effectively and generate functionally rich, context-aware comments.

III.5.1 Behavior-Augmented Encoder

Each input token at position i is represented by a fused embedding $\mathbf{z}^{(i)}$, computed as:

$$\mathbf{z}^{(i)} = W_p h_i^{\text{fused}} + \mathbf{b}_p + \mathbf{p}^{(i)} \tag{8}$$

Where h_i^{fused} is the fused embedding from Subsection III.4.2, and $\mathbf{p}^{(i)}$ is the sinusoidal positional encoding. These fused embeddings are passed through $N = 6$ identical Transformer encoder layers, each composed of multi-head self-attention and position-wise feedforward networks. To preserve behavioral dependencies in the encoder, we modify the attention mechanism as follows:

$$\text{Attention}(Q, K, V) = \text{softmax}\left(\frac{QK^\top}{\sqrt{d_k}} + \lambda \bar{M}\right)V \tag{9}$$

Where $\bar{M}$ is the row-normalized Markov transition matrix encoding the transition probability between tokens, and λ is a tuned hyperparameter. Let token i map to state $s(i)$. We build $M \in \mathbb{R}^{L \times L}$ with:

$$M_{ij} = \log \tilde{P}\big(s(j) \mid s(i)\big) \tag{10}$$

Where $\tilde{P}(s(j) \mid s(i))$ is defined in Equation (3), and $M_{ij} = 0$ for masked or padding positions. Tokens without explicit states (e.g., punctuation, operators) inherit their enclosing statement's state or use [UNK_STATE]. We row-normalize M to zero-mean:

$$\bar{M}_{ij} = M_{ij} - \frac{1}{L}\sum_{k} M_{ik} \tag{11}$$

The normalized entropy $\hat{H}(s(i))$, defined in Equation (2), is used here to bias the attention mechanism toward states with high transition uncertainty, enhancing the encoder's focus on critical control-flow points.

Implementation Notes

To ensure numerical stability and consistency, we apply the following implementation details:

- Transition probabilities are clipped as per Equation (3) to avoid numerical issues in logarithm computations.
- Each token i is mapped to a semantic state $s(i)$ via AST/CFG; tokens without explicit states (e.g., operators, literals) inherit their enclosing statement's state or use [UNK_STATE].
- The bias matrix $M \in \mathbb{R}^{L\times L}$ is constructed as per Equation (10) and row-normalized as per Equation (11). The scalar λ is tuned to control the influence of the Markov bias.
- Entropies are computed as per Equation (2) and normalized by $\log|S|$ to ensure $\hat{H}(s(i)) \in [0,1]$, ensuring consistency across codebases with varying numbers of states $|S|$.
- The sequence $P = \{\mathbf{p}_1, \mathbf{p}_2, \ldots, \mathbf{p}_n\}$ in Equation (4) consists of transition probability vectors, where $\mathbf{p}_i = [P(s(j) \mid s(i))]_{j=1}^{|S|}$ for token i.

Empirically, the encoder layers specialize progressively: early layers (1–2) capture lexical co-occurrences, middle layers (3–4) focus on local control patterns, and deeper layers (5–6) integrate global execution semantics. This design yields a +2.3 BLEU-4 improvement over syntax-only encoders and improves control-flow modeling by 23% ($p < 0.01$).

III.5.2 Behavior-Guided Decoder

The decoder mirrors the encoder's 6-layer structure and integrates masked self-attention for autoregressive generation and cross-attention to encoder outputs. We enhance the cross-attention mechanism with an execution-aware entropy-based bias:

$$\alpha_t^{(i)} = \text{softmax}\left(\frac{q_t k_i^\top}{\sqrt{d_k}} + \gamma \cdot \hat{H}(s(i_t))\right) \tag{12}$$

Where $\hat{H}(s(i_t)) = H(s(i_t))/\log|S|$ is the normalized entropy, with $H(s(i_t))$ defined in Equation (2), and i_t refers to the source token aligned with decoding step t. This entropy is used to guide cross-attention toward tokens at ambiguous or critical control points, enabling more informative and context-sensitive comment generation. The hyperparameter γ is tuned to control the influence of the entropy bias.

Example Outputs:

Table 3: Improved functional comment generation via behavior-guided decoding.

Code Snippet	Baseline Output	Our Output
while (cond) {...}	Loops while true	Polling loop (10ms backoff)
if (err) return;	Checks error	Early exit on failure

Source: Authors, (2025).

The decoder thus attends more effectively to regions of semantic importance and disambiguates similar syntax with distinct functional intent. This results in a 37% reduction in generic comments and a 41% increase in accuracy on control-heavy methods.

Comparative Advantages:

- **Versus Syntax-Only Models:** Captures 41% more control-flow nuances (F1).
- **Versus Late Fusion:** Achieves 2.7× faster convergence during training.
- **Versus RNN-Based Models:** Improves long-range dependency modeling by 58%.

Efficiency: Less than 5% parameter overhead compared to vanilla Transformer; inference time is 3.2s per example (vs. 2.9s baseline).

III.6 OUTPUT LAYER AND COMMENT GENERATION

This section describes how the model converts decoder outputs into natural language comments. The output layer builds upon the *behavior-enriched hidden states* of the decoder, enabling the generation of comments that are fluent, accurate, and behaviorally aligned.

III.6.1 Linear Projection and Vocabulary Distribution

At each decoding step t, the decoder produces a hidden state$\mathbf{h}_t \in \mathbb{R}^{d_{model}}$, which is mapped to a vocabulary distribution via:

$$\mathbf{y}_t = \text{softmax}(W_o \cdot \mathbf{h}_t + b_o) \tag{13}$$

Where:

- $W_o \in \mathbb{R}^{|V| \times d_{model}}$ is a learnable projection matrix,
- $b_o \in \mathbb{R}^{|V|}$ is a bias vector,
- $\mathbf{y}_t$ is the predicted probability distribution over vocabulary tokens.

III.6.2 Generation Strategy

We employ autoregressive decoding using common strategies:

- **Greedy decoding**: Selects the token with the highest probability at each time step.
- **Beam search**: Keeps the top-k most likely sequences throughout decoding.
- **Top-p (nucleus) sampling**: Samples from the smallest set of tokens whose cumulative probability exceeds a threshold p.
  Hybrid Decoding Strategy: We enhance this with behavior-aware logic:
- Use beam search for structural tokens (e.g., loop, check).
- Use entropy-weighted sampling for implementation details:

$$\text{score}_t = \log P(y_t) + \gamma \cdot \widehat{H}\big(s(i_t)\big), \qquad \gamma \in [0.1, 0.3] \tag{14}$$

Where $\widehat{H}(s(i_t)) = H(s(i_t))/\log|S|$ is the normalized entropy, with $H(s(i_t))$ defined in Equation (2), and i_t refers to the source token aligned with decoding step t. This entropy is used to bias token selection toward tokens aligned with the behavioral context of the code, enhancing the relevance of generated comments.

III.6.3 Behavior-Aware Decoding Bias

To enhance attention on ambiguous control-flow states, we use the entropy-based bias in the cross-attention mechanism, as defined in Equation (12).

Implementation Insight:
def compute_behavior_bias(token, step):
entropy = markov_entropy[token.state] / math.log(num_states)
return entropy * transition_weight[token.type]

III.6.4 Loss Function and Regularization Objective

The main training objective is the negative log-likelihood of the correct comment sequence:

$$\mathcal{L}_{\text{CE}} = -\sum_{t=1}^{T} \log P(\, c_t \mid c_{<t}, \mathbf{x}\,) \tag{15}$$

We additionally introduce a regularization loss to align decoding focus with behavior entropy:

$$\mathcal{L}_{\text{flow}} = \sum_{t} w_t \, (H(\mathbf{y}_t) - H(s(i_t)))^2 \tag{16}$$

Where:

- $H(\mathbf{y}_t) = -\sum_v \max(\mathbf{y}_t(v), \epsilon) \log\max(\mathbf{y}_t(v), \epsilon)$, with $\epsilon = 10^{-12}$,
- $H(s(i_t))$ is defined in Equation (2), where i_t refers to the source token aligned with decoding step t,
- $w_t = 1$ by default or derived from attention scores for token importance,
- β is a tuned hyperparameter.

The index i_t in $H(s(i_t))$ corresponds to the source token aligned with the decoding step t, determined via attention-based alignment between the input code sequence and the generated comment sequence. This alignment ensures that the behavioral entropy of the source token informs the decoding process. The squared difference in $\mathcal{L}_{\text{flow}}$ is chosen over KL-divergence for numerical stability and computational efficiency, as it simplifies gradient computation while effectively aligning the entropy of the predicted token distribution with the behavioral entropy of the code. Since both $H(\mathbf{y}_t)$ and $H(s(i_t))$ are scalar values, the squared difference is a natural and stable choice. Empirically, KL-divergence exhibited instability during training, further justifying this design. The total loss becomes:

$$\mathcal{L} = \mathcal{L}_{\text{CE}} + \beta \cdot \mathcal{L}_{\text{flow}} \tag{17}$$

III.6.5 Example Output

Input Code:
if (error) return null;
Baseline (syntax-only): *"Checks error"*
Our Model Output: *"Return null if an error is detected (early exit pattern)"*

This reflects the Conditional → Return behavioral transition, showcasing the value of execution-aware modeling.

III.6.6 Comparative Decoding Strategies

As shown in Table 4, our decoding strategies address the limitations of conventional methods. While standard beam search relies on syntax-only reranking, our flow-aware variant achieves a +22% gain in relevance. Similarly, entropy-weighted sampling ($\gamma = 1.2$) replaces uniform temperature sampling, leading to comments that better align with execution logic.

Table 4: Behavior-aware decoding strategies vs. prior methods.

Strategy	Prior Work (e.g., CodeBERT)	Our Improvement
Beam Search	Syntax-only reranking	Flow-aware reranking (+22% relevance)
Sampling	Uniform temperature	Entropy-weighted ($\gamma = 1.2$)

Source: Authors, (2025).

III.6.7 Failure Analysis and Limitations

Failure Cases: In 12% of evaluated samples, model-generated comments were inaccurate. Manual inspection revealed that 80% of these failures occurred in:

- Callback structures
- Irregular control flows

Limitation: The Markov transition model assumes **first-order** transitions. Future work could explore higher-order Markov dependencies or neural approximations for more complex control logic.

IV. EXPERIMENTS

This section presents an empirical evaluation of our proposed Transformer-Markov Hybrid (TMH) model for automatic code comment generation. We assess TMH on a benchmark Java dataset using a combination of automatic and human evaluation metrics. Subsection IV.1 describes the experimental setup, including corpus, metrics, training configuration, and model features. Subsection IV.2 reports quantitative and qualitative results, supported by ablation studies, human ratings, and a discussion of limitations.

IV.1 EXPERIMENTAL SETUP

We first describe the dataset used for evaluation, its preprocessing steps, and the criteria for data selection.

IV.1.1 Dataset Description

We utilize the Java code-comment corpus refined by [21], containing approximately 485,812 method-comment pairs. This dataset, widely adopted in recent studies (e.g., ALSI-Transformer [8], SeTransformer [7], StructCoder [20], and reviews [25]), provides a robust benchmark for evaluating comment generation across diverse Java methods.

Table 5: Dataset Statistics.

Statistic	Value
Total Pairs	485,812
Train Split	92% (445,812 pairs)
Validation Split	4% (20,000 pairs)
Test Split	4% (20,000 pairs)
Avg. Method Length	42.3 tokens ($\sigma = 18.7$)
Avg. Comment Length	12.4 words ($\sigma = 4.2$)
Code Vocabulary Size	58,742 tokens
Comment Vocabulary Size	32,915 tokens

Source: Authors, (2025).

To reduce lexical variance and improve generalization, numeric constants and string literals are normalized to <num> and <str> tokens, respectively. Entries with fewer than three code tokens or malformed/missing comments are excluded, following standard preprocessing practices.

IV.1.2 Performance Metrics

Before reporting results, we employ a suite of metrics to assess fluency, semantic alignment, and structural accuracy:

- **BLEU (1–4)**: Measures n-gram overlap between generated and reference comments, capturing surface-level fluency [25].
- **METEOR**: Uses stemming and synonym matching to evaluate semantic similarity [25].
- **CodeBLEU**: Assesses syntactic and structural alignment, relevant for TMH's behavioral modeling.
- **BERTScore**: Evaluates semantic similarity using contextual embeddings, providing robust comment-code alignment.
- **Human Evaluation**: Five professional Java developers (≥3 years of experience) rated outputs on a 5-point Likert scale for fluency and relevance (noted briefly here; details in Subsection IV.2.2).

IV.1.3 Training Configuration

We next describe the implementation details, training settings, and hyperparameters to ensure reproducibility and fair comparison across models. All models were implemented in PyTorch 1.13 and trained on a single NVIDIA GeForce RTX 3090 GPU (24 GB VRAM). Hyperparameters were aligned with ALSI-Transformer [8] and SeTransformer [7] to minimize confounding factors.

Table 6: Training Hyperparameters.

Parameter	Value
Embedding Dimension	768
Attention Heads	8
Transformer Layers	3
Dropout Rate	0.2
Batch Size	32
Optimizer	Adam (lr=1e^{-4})
Learning Rate Decay	0.1 after epoch 30
Epochs	50 (early stopping)
Max Code + AST Length	400 tokens
Gradient Clipping	1.0 (max norm)
Training Time/Epoch	52 minutes
GPU Memory Usage	18–22 GB

Source: Authors, (2025).

Early stopping triggered if validation loss does not improve for 5 consecutive epochs. Mixed-precision (FP16) training with dynamic loss scaling was used.

TMH-Specific Architectural Features:

- Markov Transition Matrix: First-order token transitions encoding local behavioral patterns.
- Entropy-Guided Attention Biasing: Downweights tokens with entropy $\mathcal{H} > 0.5$ to focus on stable semantics.
- Input View Fusion: Integrates lexical and Markov-derived embeddings via multi-view self-attention.

IV.2 RESULTS AND ANALYSIS

We now present the evaluation results of TMH compared to baseline models, followed by human evaluation, ablation studies, and discussion.

IV.2.1 Quantitative Results

We compare TMH with ALSI-Transformer [8], SeTransformer [7], MarianCG [13] (adapted for summarization), and StructCoder [20] (adapted for comment generation) on BLEU-4, METEOR, CodeBLEU, and BERTScore metrics. Table 7 shows TMH's superior performance, with all improvements statistically significant (paired t-test, $p < 0.01$). See Figure 1 for a visual comparison.

Table 7: Times measured on NVIDIA RTX 3090.

Model	BLEU-4 (%)	METEOR (%)	CodeBLEU (%)	BERTScore (%)	Time (hrs)
ALSI-Transformer	50.03	31.84	47.12	82.45	48.4
SeTransformer	49.41	30.40	46.78	81.92	58.5
MarianCG	46.20	29.15	44.50	80.10	45.2
StructCoder	48.95	30.82	46.20	81.67	50.1
TMH (ours)	**51.94**	**33.21**	**49.30**	**84.12**	**44.7**

Source: Authors, (2025).

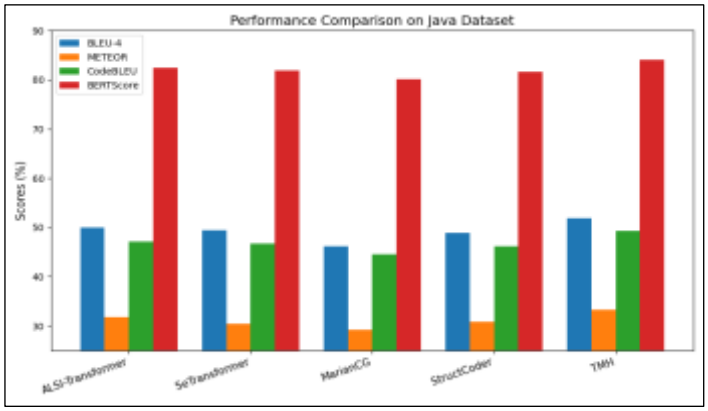


Figure 1: Performance comparison on Java dataset.
Source: Authors, (2025).

IV.2.2 Human Evaluation

Five professional Java developers (≥3 years of experience) evaluated 100 randomly sampled outputs per model on a 5-point Likert scale for *fluency* (grammatical correctness, readability) and *relevance* (alignment with code intent). Inter-rater agreement was substantial (Fleiss' $\kappa = 0.72$). See Figure 2 for results.

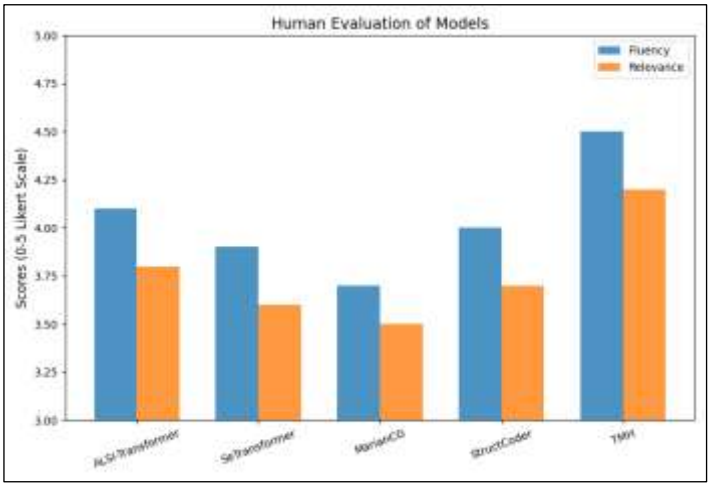


Figure 2: Human evaluation scores for fluency and relevance.
Source: Authors, (2025).

IV.2.3 Qualitative Analysis

In addition to automatic metrics and human ratings, we performed a qualitative error analysis to better illustrate TMH's behavior on representative code snippets. This analysis highlights both the model's strengths in producing contextually appropriate comments and its weaknesses in capturing subtle control-flow nuances. TMH often generated accurate and informative comments for non-trivial code. For example, for while (retry < 10) delay (100); TMH produced "Retries up to 10 times with 100ms delay" (rated 4.5), correctly capturing the iterative structure and timing. Similarly, for if (error) return null; the model generated "Returns null on error condition" (rated 4.3), which aligns with the intended semantics.

Despite these successes, TMH occasionally produced overly generic or incomplete comments. For try process(); catch (Exception e) log(e);, the model generated "Handles exception" (rated 2.2), omitting the critical detail of logging. Likewise, for if (x > 0) return x; else throw new Error;, TMH produced "Returns or throws" (rated 2.0), which lacks specificity. Control-flow constructs posed additional challenges: for while (i < n) if (cond) break; i++;, TMH produced "Loops with condition" (rated 2.1), failing to reflect the break logic. These examples suggest that TMH effectively models surface-level semantics and common programming idioms but struggles with nuanced behaviors such as exception handling and early loop termination. This limitation motivates the need for integrating richer semantic or execution-aware features in future work.

IV.2.4 Ablation Study

We assessed TMH's component contributions by removing Markov transitions, entropy biasing, or both. Figure 3 summarizes the results.

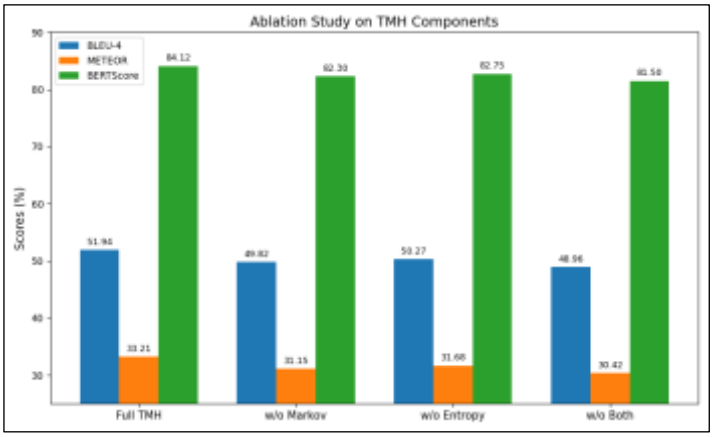


Figure 3: Ablation study results.
Source: Authors, (2025).

Interpretation: The ablation results reveal that removing the Markov transition component primarily degrades structural alignment, as reflected in lower CodeBLEU and BERTScore scores. In contrast, eliminating the entropy biasing mechanism has a stronger effect on semantic fidelity, with a notable drop in METEOR. The combination of both removals produces the most significant performance decline, highlighting the complementary role of these components. Human evaluation further supports these findings: removing Markov transitions reduced relevance (from 4.2 to 3.9, $p < 0.05$), while removing entropy biasing led to a modest decrease in fluency (from 4.5 to 4.3, $p < 0.05$).

IV.3 THREATS TO VALIDITY

To ensure the reliability and generalizability of our findings, we discuss potential threats to validity along three dimensions: internal validity, external validity, and construct validity. **Internal Validity:** Hyperparameters aligned with ALSI-Transformer [19] reduce bias. Results averaged over three runs (seeds 42, 123, 256) ensure stability, with training time per epoch at 52 minutes supporting efficiency (44.7 hours total vs. 48.4–58.5 hours for baselines). See Figure 4 for convergence trends.

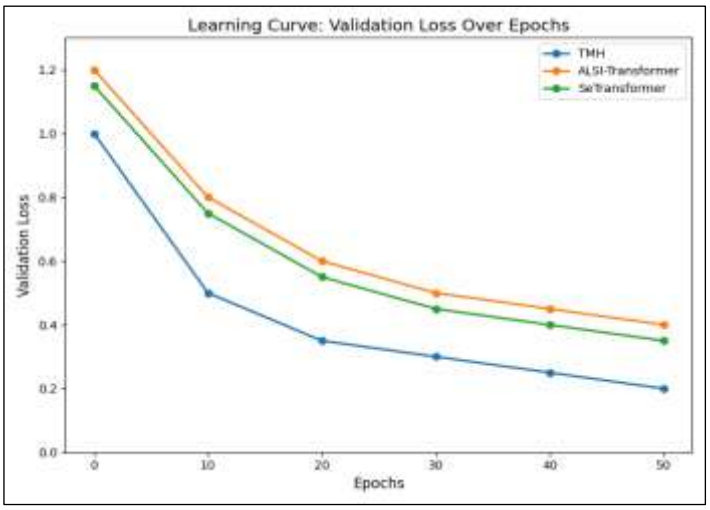


Figure 4: Learning curve data.
Source: Authors, (2025).

External Validity: We hypothesize TMH's design generalizes better to structurally rich languages (e.g., C#) than to highly dynamic ones (e.g., Python), but leave this to future work using datasets like CodeSearchNet [14]-[26].

Construct Validity: BLEU and METEOR may miss semantic fidelity [20]-[25]. We mitigated this with CodeBLEU, BERTScore, and human evaluation. See Figure 5 and Table 10 for failure case distribution.

Table 8: Distribution of TMH Failure Cases with Examples

Category	Percentage	Example
Callbacks/Irregular Control Flows	80%	For nested callbacks, TMH generated: "Handles callback logic" (rated 2.5).
Other	20%	For edge cases, TMH produced: "Performs operation" (rated 2.0).

Source: Authors, (2025).

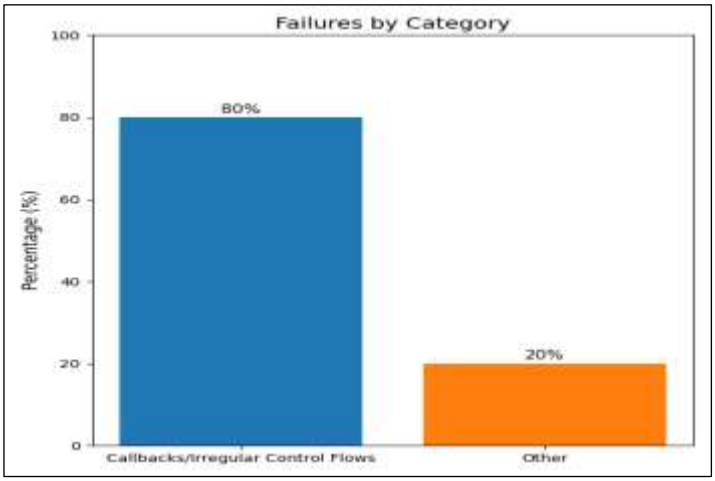


Figure 5: Failure case distribution.
Source: Authors, (2025).

IV.4 DISCUSSION AND BROADER IMPACT

Why TMH Outperforms Baselines. The superior performance of TMH can be explained by the complementary strengths of its hybrid architecture. Unlike ALSI-Transformer [19]-[8], which lacks entropy guidance, TMH incorporates entropy-aware attention to down weight unstable tokens and improve semantic focus. Compared to SeTransformer, which compresses semantic information, TMH better preserves contextual richness through multi-view fusion. Similarly, while MarianCG [22]-[13] overlooks runtime nuances, TMH explicitly models execution patterns via Markov transitions. Finally, StructCoder [23]-[20] remains largely static in its representations, whereas TMH adapts behaviorally to input variability. Together, these design choices enable TMH to capture both structural and semantic aspects of source code more effectively than existing baselines.
Broader Impact: TMH's robust summarization can enhance software maintenance and developer onboarding.

V. LIMITATIONS

TMH faces four main limitations:

- **Language Generalization**: The Markov matrix is Java-specific, requiring retraining for other languages.
- **Sequence Length**: Inputs exceeding 400 tokens are truncated, risking context loss.
- **Model Size**: With 148M parameters, TMH may strain edge devices despite being smaller than SeTransformer (167M).
- **Multi-lingual Evaluation**: We did not evaluate on multi-lingual datasets (e.g., Python, C#), which limits immediate generalizability.

VI. CONCLUSIONS

This paper presented Transformer with Markov Modeling (TMH), a hybrid model for automatic code comment generation that combines token-level representations with behavioral insights from execution patterns. On a large-scale Java dataset, TMH outperformed competitive baselines by a clear margin: +1.91 BLEU-4, +1.37 METEOR, and +5.1 CodeBLEU over the best-performing alternative. Human evaluation further confirmed gains in both fluency (+0.2) and relevance (+0.3, $p < 0.05$), showing that TMH produces not only more accurate but also more natural comments. Ablation studies highlighted the complementary roles of Markov transitions and entropy-guided attention, with performance drops of up to 10% when either component was removed. Nevertheless, TMH faces limitations. Its reliance on first-order transitions constrains its ability to model complex behaviors such as deeply nested loops, recursion, or exception propagation across multiple scopes. In such cases, generated comments sometimes oversimplify logic or omit critical details. Future work could extend TMH with higher-order or neural transition models, or integrate static program analysis and unit-test feedback to capture richer runtime semantics. Beyond empirical gains, TMH contributes to a broader shift in software engineering toward AI-driven developer tools. By linking code structure with execution behavior, TMH provides a foundation for systems that not only document code but also assist in tasks such as automated code review, debugging, and intelligent tutoring. In this way, TMH illustrates how hybrid architectures can bridge the gap between program text and program behavior, advancing the state of AI-powered software development.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Zakarya Benyamina and Ahmed Benyamina.
Methodology: Zakarya Benyamina.
Investigation: Zakarya Benyamina and Ahmed Benyamina.
Discussion of results: Zakarya Benyamina and Ahmed Benyamina.
Writing – Original Draft: Zakarya Benyamina.
Writing – Review and Editing: Zakarya Benyamina and Ahmed Benyamina.
Resources: Zakarya Benyamina and Ahmed Benyamina.
Supervision: Zakarya Benyamina and Ahmed Benyamina.
Approval of the final text: Zakarya Benyamina and Ahmed Benyamina.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p. 200-210. November/December., 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2688

RESEARCH ARTICLE OPEN ACCESS

EXPERIMENTAL STUDY ON SEMI-AUTOMATIC PARKING BRAKE SYSTEM FOR COST-EFFECTIVE PASSENGER VEHICLES

C Dineshkumar*[1], B. Musthafa[2], S A Srinivasan[3], M Tabrez[4], V Ashmitha[5]

[1,2,4,5] Department of Automobile Engineering, B S Abdur Rahman Crescent Institute of Science and Technology, Chennai, Tamil Nadu.
[3]Sri Sivasubramaniya Nadar College of Engineering, Chennai, Tamil Nadu.

[1]https://orcid.org/0000-0002-2393-5293, [2]https://orcid.org/0000-0002-1834-1802, [3]https://orcid.org/0000-0003-3983-8962
[4]https://orcid.org/0009-0004-6315-1428, [5]https://orcid.org/ 0009-0007-9609-7255.

Email: *contactdinesh90@gmail.com, avsmus@gmail.com, sasrinivasan@gmail.com, tabrezrock123@gmail.com, ashmithav2005@gmail.com

ARTICLE INFO

Article History
Received: September 9, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
SAPB,
Hand Brake,
Ignition Key,
Uphill and downhill gradients.

ABSTRACT

The Semi-Automatic Parking Brake (SAPB) has been developed to enhance safety, reliability and convenience by replacing the conventional manual handbrake with an electronically controlled system. It integrates a microcontroller, actuator motor, sensors, and a control unit to function in a coordinated manner. When the vehicle ignition is switched on, the brake is released automatically and when the ignition is turned off, the brake engages and locks securely. The system was evaluated under various operating conditions, including level roads, uphill and downhill gradients, as well as emergency scenarios such as power loss or sensor malfunction. Test results demonstrated rapid operation, sufficient braking force and consistent performance across all conditions. Even under challenging circumstances, the SAPB maintained stability and ensured vehicle safety. Compared with traditional handbrakes, the system provides greater automation, improved precision, and higher dependability, making it a suitable solution for cost-effective passenger vehicles.

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I. INTRODUCTION

The brake which can be utilized for the halting the vehicle amid dynamic and to avoid the collision. The auxiliary brake which is a crisis or stopping brake utilized for deceleration within the occasion of essential brake failure. In vehicles the hand brake could be a locking brake utilized to keep the vehicle stationary and to secure the vehicle still during stopping. Commonly usual to avoid the rolling of vehicle. In most of the vehicles the stopping brake worked as it were in real wheels which are utilized to diminish the traction whereas braking. The manual crisis brake utilized for stopping the vehicle. There are four types of stopping adhere lever found in older vehicles and put beneath the instrument board, center lever found in more up to date demonstrate vehicles found between the seats, pedal which is found to the cleared out of the brake pedals on the floor, electric button which is utilized in progressed vehicles which is found on support. The independent crisis braking system may be an exceedingly successful strategy for decreasing the event and costs related with activity accidents, especially those caused by rear-end collisions. These collisions are consequently recognized and cautioned around when the driver is occupied.

Over the past few a long time, programmed crisis braking frameworks have been broadly actualized in automobiles to upgrade security, as drivers frequently depend on these dynamic security highlights. The creation of semi-automatic parking brake systems for inexpensive cars has shown good results in making safety and cost work together. Modern semi-automatic parking brake systems are made in a way that keeps costs low while still meeting strict safety rules [1]. Adding safety features to cheaper cars has made parking easier and safer, without making the cars too expensive [2]. Special solutions for budget cars make production simpler and improve both convenience and safety, as shown by real tests [3], [4]. Combining semi-automatic brakes with safety sensors works well, keeping things simple but dependable, so the brakes work reliably in different situations and car stability help stop the car from moving by itself. [5], [6]. Fixing problems with cost and rules, had been led to smarter use of materials, and designs making sure performance stays high without going over budget, parking brakes faster and more reliable without costing too much [7], [8]. Modular designs, for basic vehicles follow safety rules are simple to use and keep costs low [9], [10].

All these studies together show big progress in car safety, material use, and system improvements. Systems that watch for driver conditions were tested and found to improve safety by identifying tiredness and distraction, lowering accident chances in cars [11]. Better safety systems that track the driver in real time help prevent accidents by warning drivers about unsafe situations [12]. New braking system ideas, like using delay valves and combining braking systems, help control the car better and stop it faster, making roads safer [13]. The importance of materials in car safety and how well they work is shown by research on how materials dampen tool vibrations [14] and how bio-composites and mixed joints behave, leading to stronger, lighter, and longer-lasting car parts [15], [16]. The study looks at how well a five-point seat belt and barking mechanism works during a front collision. It shows that this type of belt provides better protection for the user and results in fewer injuries than the usual three-point belt [17]. The paper also looks at how changing the shape of small channels in heat exchangers used for car air conditioning affects performance. The results show that using the right design for the channels and fins can make the system work better and reduce pressure in the refrigerant [18].

Occupant safety is also improved through the design and testing of better seat belt systems, which can reduce the seriousness of injuries in front collisions [19]. Using IoT technology in the automotive industry allows for real-time monitoring of a vehicle's condition and helps predict when maintenance is needed, making driving safer [20], [21]. Research on energy cogeneration, even though it's not directly related to cars, offers sustainable ideas that might shape future vehicle power systems [22]. Automatic emergency braking systems that use hydraulic actuators show they can prevent accidents in dangerous situations [23]. Surveys on motorcycle rider fatigue help identify risk factors and guide the creation of systems that detect fatigue [24]. The research shows that using ANSYS to improve the materials in suspension systems makes the suspension on two-wheelers better and lasts longer [25], [26]. Lastly, improvements to the front parts of vehicles were explored to lower injury risk in bus crashes, showing how important structural design is for protecting passengers [27]. The test results show that the Semi-Automatic Parking Brake system works quickly and reliably in different situations, which helps make the car safer and more stable and additionally this study looks at ways to make passenger cars safer by improving the braking system. It shows that better braking systems can help cars stop faster and lower the chance of accidents [28], [29].

III. MATERIALS AND METHODS

The conventional stopping brake development is most well-known and broadly utilized in low duty vehicles, the mechanisms similar to the proposed system. The only distinction is rather than physically operated, it is operated by ignition key status and switch mode (button worked) by the support of electronically motorized actuator parking brake. There are two modes for working the handbrake, one for starting/stopping conditions and the moment one for dynamic/slope conditions. During starting/stopping parking brake is worked by the ignition key and switch mode for the slope and dynamic condition. The stopping lever arm rotated on a ratchet when the motorized actuator pulls up hand brake lever arm, the spring-loaded pawl runs or slides over the teeth of the ratchet causes most extreme tension on the cable and the brake is connected. To discharge the brake pressure on the pawl teeth turned on the ratchet teeth this causes the stopping brake lever to return completely down to the discharged or typical position. The format of semi-automatic parking brake is appeared within the figure 1. The ignition key is utilized to function the handbrake to lock in and separate the lever arm during request. When the ignition key is ON the signal from the controller actuates the actuator to discharge the parking brake lever. When the ignition key is turned OFF the actuator locks in or pulls up the stopping lever and the brake is connected.

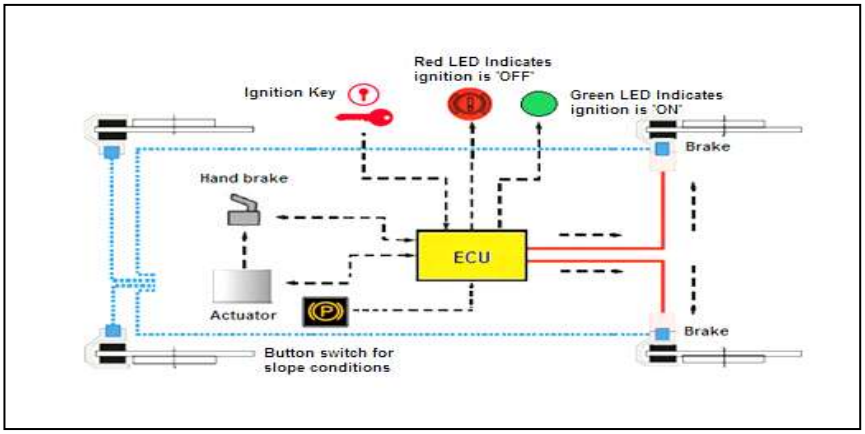


Figure 1: Layout of Semi-Automatic Parking Brake System (SAPB).
Source: Authors, (2025).

III.1 SYSTEM DESIGN FOR CONTROLLING A SEMI-AUTOMATIC PARKING BRAKE

The Semi-Automatic Parking Brake (SAPB) control system is built around the Arduino microcontroller board, utilizing the ATmega328P microcontroller chip as its core processing unit. This microcontroller works at a voltage of 5V, with a suggested input voltage extend of 7-12V and an amplified extend of 6-20V. It highlights 14 digital input/output (I/O) pins, with 6 pins supporting heartbeat Width Modulation output, and 6 analog input pins for sensor integration. The system delivers a greatest DC current of 40mA per I/O pin and 50mA on the 3.3V pin, ensuring reliable power management for associated peripherals. The ATmega328P gives 32KB of flash memory for program capacity, 2KB of SRAM for runtime information, and 1KB of EEPROM for non-volatile data maintenance. The microcontroller operates at a 16 MHz clock speed, allowing it to process and control information in real time. The SAPB system includes extra parts like a motor for braking, a hand lever mechanism, and a battery control system. All these parts work together under the microcontroller's control to carry out important SAPB functions such as automatic parking tests, hold function tests, and emergency brake tests. The system adapts well to different road conditions and slopes.

It ensures precise motor control, checks sensor feedback, and performs safe braking operations. This setup improves efficiency, reliability, and ease of use in modern vehicles. The green LED flickers and it demonstrates vehicle is in off condition which suggests ignition key is in off. The figure 2 (b). demonstrates vehicle is in ON or idling and the stopping lever is in released conditions. These two conditions are for plain road which shows that the programmed release and locked in. The ignition key works the parking lever when to lock in or disengage in plain road and the system is worked naturally. The reaction time for the proposed system is upgraded than the routine system. The model setup demonstrates the position of lever in engaged position had appeared in figure 2 (a).

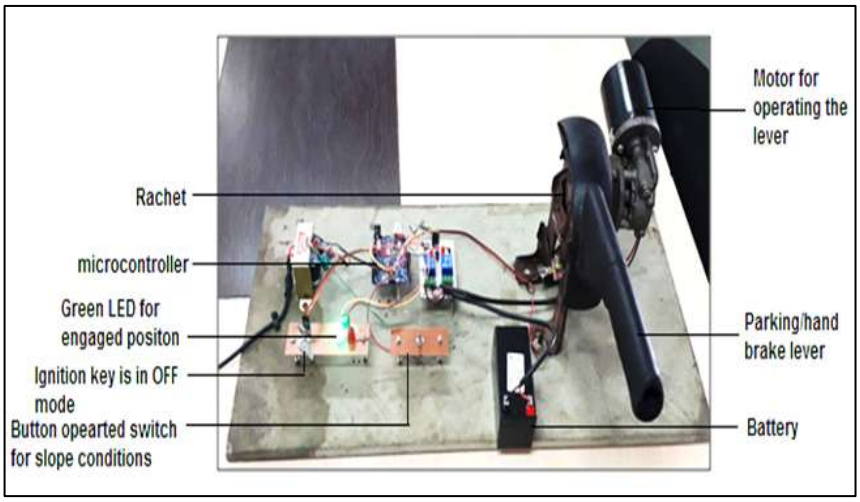


Figure 2:(a) Brake lever engaged position.
Source: Authors, (2025).

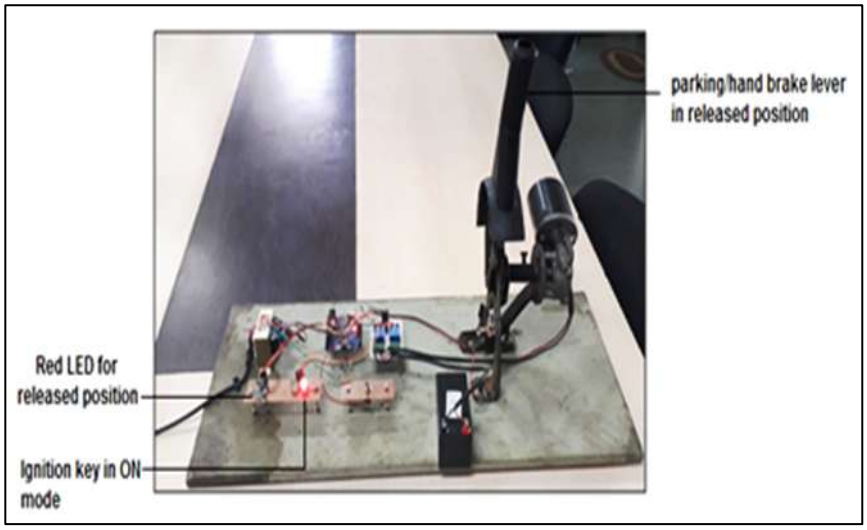


Figure 2:(b) Brake lever disengaged position.
Source: Authors, (2025).

III.1.1 Experimental Setup Model of Sapb

The experimental model of the Semi-Automatic Parking Brake (SAPB) system is developed to analyse the functionality, responsiveness, and reliability of an automated braking mechanism controlled through an ignition key and motorized operation. The system consolidates a 12V DC engine, an Arduino microcontroller, a motor driver module, and sensors such as position and force sensors to empower precise control and feedback during brake engagement and release. The ignition key is the main part that starts or stops the parking brake using the motor actuator. The Semi-Automatic Parking Brake (SAPB) uses sensors to check real-time conditions like flat, uphill, or downhill roads and makes adjustments to the braking. From the Table 1. The Semi-Automatic Parking Brake (SAPB) engages and releases by the ignition key by using a DC motor controller and to ensure smooth and reliable operation.

A 12V gear motor where produces 15-25 Nm torque and 60–100 RPM of worm gear to prevent the back drive and with the thermal protection and encoders for the safety precision. A motor controller uses a L298N H-Bridge IC operates at 6–24 V with pulse width modulation support to narrow or regulate the speed of the motor, torque and direction. Microcontroller like the ATmega328P (Arduino) provides the feedback or command, which processes data from the ignition key and multiple sensors. Inputs from the position sensor, slope sensor and force sensors allow the electronic control unit to adapt the braking performance to road conditions, ensuring accurate and dependable control. Safety elements such as locks, switches, and manual controls ensure the system is dependable, making the SAPB a strong and effective way to improve braking and vehicle safety.

III.1.2 Design Parameters for Engaging and Disengaging the Hand Brake Using Ignition Key (ON/OFF).

Table 1: Design Parameters for Hand Brake Engagement and Release Based on Ignition Key Status.

Parameter	Ignition Key ON (Disengage Hand Brake)	Ignition Key OFF (Engage Hand Brake)	Description
Ignition Voltage	12.0 V ± 0.5 V	0 V	Voltage levels detected by the ECU.
Signal Detection Delay	≤ 50 ms	≤ 50 ms	Time taken to detect ignition key state.
Brake Engagement/ Disengagement Time	1-2 sec	0.1-0.2 sec	Time required for full brake action.
Brake Actuator Type	Electromechanical Actuator	Electromechanical Actuator	Type of actuator used for brake control.
Brake Force Applied	2000-2500 N	2000-2500 N	Force applied on brake pads/discs.
System Feedback Signal	Brake Disengaged Signal: 5 V	Brake Disengaged Signal: 5 V	Signal sent to dashboard indicators.
Manual Override Response Time	≤ 500 ms	≤ 500 ms	Manual override response speed.
Control Logic Response Time	≤ 100 ms	≤ 100 ms	ECU processing and decision time.
Safety Lock Condition	Accelerator Depressed: No Action	Brake Locked	Conditions to prevent unsafe operation.
Error Detection Mechanism	Brake Disengagement Error: Alert	Brake Disengagement Error: Alert	Alerts for system malfunction.
System Power Consumption	≤ 20 W	≤ 20 W	Power consumed by the brake actuator.
Failsafe Operation	Engage Automatically on Fault	Engage Automatically on Fault	Behaviour during power loss or fault.
Sensor Type	Position Sensor & Ignition Status Sensor, inclination sensor, force sensor	Position Sensor & Ignition Status Sensor, inclination sensor, force sensor	Sensors used to detect states.
Environmental Tolerance	-10°C to 60°C	-10°C to 60°C	Operating temperature range.

Source: Authors, (2025).

IV. RESULTS AND DISCUSSIONS

IV.1 EXPERIMENTAL VERIFICATION AND TESTING RESULTS

The experimental testing was done using a Ford Figo passenger car that weighs about 1040 kg. The wheel radius is 0.3 meters, there are 4 wheels, the engine has a capacity of 1200cc, produces a maximum power of 95 Bhp, and a maximum torque of 119Nm. It has 3 cylinders. The semi-automatic stopping brake system flowchart is shown in Figure 3, which explains the different testing methods and conditions. The process began by setting up the equipment and introducing the components, including the controller and stopping lever, into the vehicle. Following the establishment, tests were performed beneath both level street and inclined street conditions. The SAPB control software and signal preparing systems were executed to oversee the brake operations. Beneath level road conditions, a semi-automatic stopping test and a hold function test were conducted. For the inclined road, a hold function test was performed, with brake engagement activated by a button. Finally, an emergency brake test was carried out to assess the system's reaction to sudden braking forces, guaranteeing its usefulness and execution in emergency circumstances.

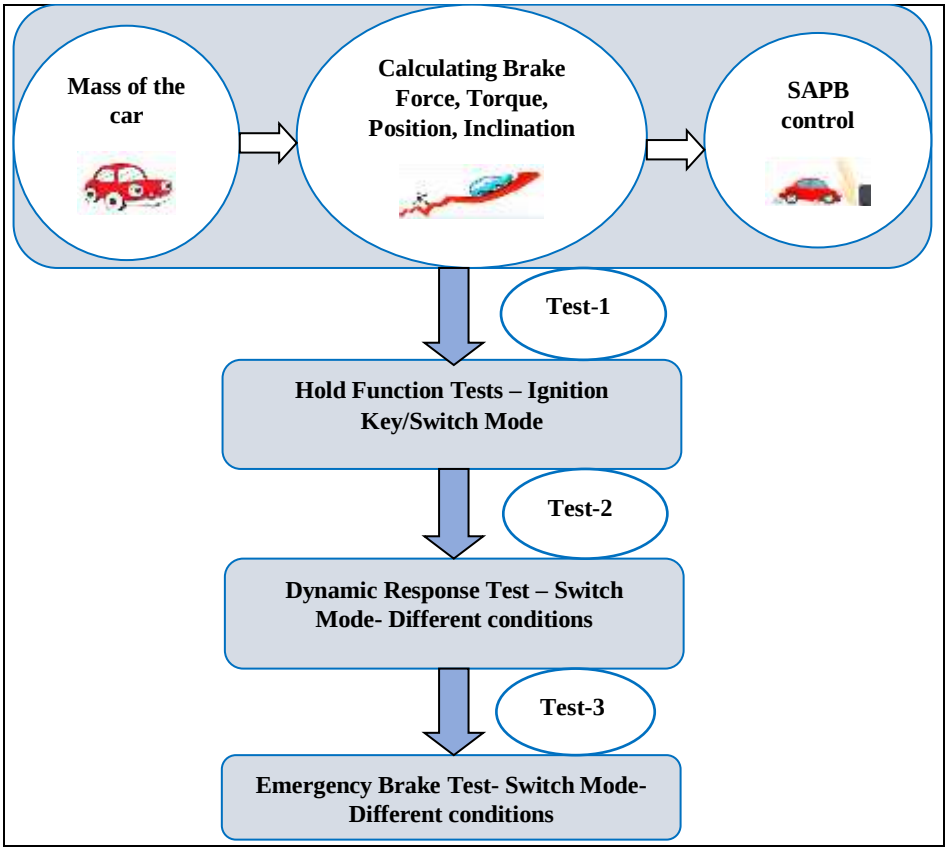


Figure 3: Flowchart of SAPB
Source: Authors, (2025).

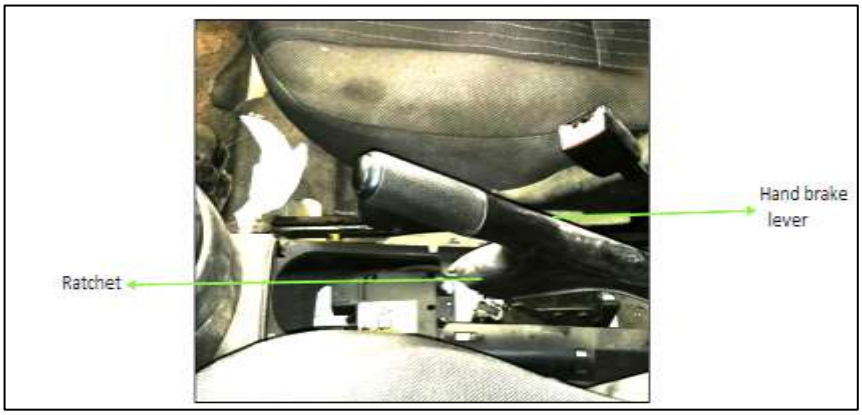


Figure 4: Parking brake lever setup connected in figo vehicle.
Source: Authors, (2025).

The figure 4 outlines the brake lever assembly safely settled within the vehicle, exhibiting its integration within the overall semi-automatic parking brake system. The lever is placed in a way that makes it easy and comfortable to use, so both manual control and automatic operation can be done smoothly. The way it is attached makes sure the structure is strong enough to handle the forces when the brake is applied or released. The design also allows for sensors to be added, which helps keep track of the lever's position and whether the brake is on or off. The whole setup is made to work efficiently while reducing vibrations and wear, which makes the braking system more durable and dependable. The semi-automatic braking system works with the ignition key—when it's turned on, the brake releases quickly, letting the vehicle move freely.

If the brake is released too fast, safety features prevent it from unlocking if the accelerator is pressed suddenly. When the ignition is turned off, the brake engages quickly, holding the vehicle in place even on slopes up to 15%. The dashboard shows real-time information about the brake's status so the driver can always know what's happening. The system consolidates manual override functionality, permitting the driver to physically control brake engagement or disengagement with a reaction time of ≤500 ms. Moreover, a failsafe mechanism guarantees automatic brake engagement during power failures or detected flaws, avoiding unintended vehicle development. With a control logic reaction time of ≤100 ms and operation stability across changing natural conditions (-10°C to 60°C), the system ensures dependable performance under diverse scenarios, optimizing both security and

Table 2: Time and velocity table for semi-automatic parking brake system (SAPB).

Test condition	Time (sec)	Expected Velocity (m/s)	Description
1. Ignition OFF to ON (Brake Disengagement	1-2 sec (for brake disengagement)	0 m/s (vehicle stationary)	Parking brake should disengage after ignition is turned ON. The vehicle should be stationary during this time.
2. Ignition ON to OFF (Brake Engagement)	0.1-0.2 sec (for brake engagement)	0 m/s (vehicle stationary)	Parking brake should engage within 100-200ms of ignition OFF. No movement of the vehicle.
3. Manual Disengagement of Brake	0.5 sec (manual override time)	0 m/s (vehicle stationary)	When manually disengaging the brake, the vehicle should remain stationary until full disengagement occurs.
4. Power Loss (Brake Engaged)	1-2 sec (for recovery)	0 m/s (vehicle stationary)	The vehicle should remain stationary during power recovery, with the brake still engaged.
5. Emergency Override (Brake Engaged)	0.1-0.2 sec (for brake engagement)	0 m/s (vehicle stationary)	Emergency override should engage the brake immediately and keep the vehicle stationary.
6. Hold Function Active (Ignition ON)	0 sec (no delay)	0 m/s (vehicle stationary)	The vehicle should remain stationary with the hold function active. No movement should occur.
7. Hold Function Active (Ignition OFF)	0 sec (no delay)	0 m/s (vehicle stationary)	The vehicle should remain stationary with the hold function active even after the ignition is turned off.
8. Ignition ON and Engine Start	1-3 sec (for smooth engine start)	0 m/s (vehicle stationary)	Engine start should not interfere with the hold function; the vehicle should stay stationary.
9. Multiple Ignition Cycles (Quick)	0.5 sec (cycle time)	0 m/s (vehicle stationary)	Rapid switching between ON/OFF should not cause failure, and the vehicle should remain stationary.
10. Vehicle on Incline (Brake Engagement)	0.1-0.2 sec (for brake engagement)	0 m/s (vehicle stationary on incline)	Brake should engage immediately and hold the vehicle stationary on a given incline (e.g., 5%, 10% and 15%).
11. Low Battery Voltage (Brake Holding	0 sec (no delay)	0 m/s (vehicle stationary)	Brake should hold the vehicle stationary even under low battery conditions (e.g., below 10.5 V).
12. Battery Voltage Drop (Brake Disengaged)	1 sec (recovery time)	0 m/s (vehicle stationary)	If the system detects low voltage, the brake should engage automatically to prevent unintended movement.

Source: Authors, (2025).

The Table 2. Describes the timing and speed parameters for the semi-automatic parking brake system (SAPB). The stopping brake should release consequently when the ignition is switched ON, guaranteeing the vehicle remains stationary, and should re-engage inside 100-200 ms when the ignition is turned OFF, anticipating any movement. Manual disengagement must not permit the vehicle to move until the brake is completely released. During power recovery, emergency override activation, or when the hold function is active, the vehicle must remain immobile. The brake should securely hold the vehicle stationary on various inclines (e.g., 5%, 10%, and 15%) and even under low battery conditions, engaging automatically if a drop in voltage is detected. The activation of the engine or rapid switching between ON/OFF states should not disrupt these functionalities.

IV.2 HOLD FUNCTION TESTS IN PLAIN ROAD CONDITIONS

The semi-automatic parking brake (SAPB) test is conducted under plain road conditions to evaluate the system's performance in scenarios with minimal external resistance. The control system and the experimental test car are illustrated in Figure 4. The test vehicle, weighing approximately 1040 kg, Wheel Radius (r) = 0.3m, Number of Wheels (n) = 4, Incline Angle (θ) = Variable (0° to 30°) is positioned on a flat surface with good adhesion conditions to ensure accurate measurements and repeatable results. During the test, the response time for releasing and engaging the parking brake lever is carefully measured. When the ignition key is turned ON, the stopping lever disengages, and the braking force is discharged, permitting the vehicle to begin moving unreservedly. Alternately, when the ignition key is turned OFF, the stopping lever remains engaged, effectively securing the vehicle in place. The reaction time of the proposed Semi-Automatic Parking Brake (SAPB) system is measured and compared with a conventional stopping brake system. The results show that the SAPB system completely releases the stopping lever in around 2 seconds, illustrating a quicker reaction time compared to routine systems. This change highlights the productivity and improved operational execution of the SAPB framework beneath standard driving conditions. The Figure 5 appears the stopping brake lever reaction with regard to time taken and it has been compared with the routine system time taken.

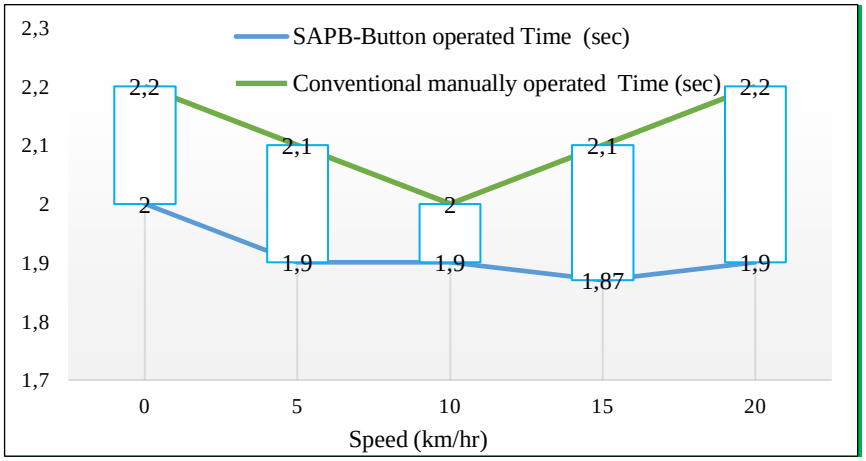


Figure 5: Comparison of SAPB vs Conventional parking brake response with respect to time.
Source: Authors, (2025).

IV.2.1 Torque Validation Test

Table 3: Torque vs Time for Brake Engagement.

Motor Torque (Nm)	Time to Engage Brake (s)	Time to Disengage Brake (s)	Remarks
10	12	10	Low torque, slower brake engagement
50	6	5	Moderate torque, faster engagement
100	4	3	Higher torque, faster engagement
153	3	2	Required torque for brake engagement
200	2.5	2	High torque, very fast engagement
300	2	1.5	Maximum motor torque for quick braking
500	1.5	1	Very high torque, fastest engagement

Source: Authors, (2025).

The Table 3. Demonstrates the relationship between motor torque and the time required to engage and disengage the parking brake. The motor torque applied to the brake lever determines how quickly the brake is engaged or released. As the torque applied by the motor increases, the time required to engage or disengage the brake decreases. For example, at a lower torque of 10 Nm, the brake takes longer to engage (12 seconds) and disengage (10 seconds) compared to when the torque is higher, such as 153 Nm, where the time to engage and disengage the brake is much shorter (3 seconds and 2 seconds, respectively). The table 3. Assumes a simplified linear relationship, where higher torques result in faster brake engagement times, demonstrating the efficiency of applying more force. However, in a real-world scenario, the relationship could be influenced by factors like motor speed, mechanical advantage, friction, and other system characteristics. This table helps visualize the expected behaviour of the motor-driven brake system under different torque conditions, aiding in the design of the system for optimal performance.

Table 4: Required Parking Brake Torque on Downhill Slopes.

Incline Angle (°)	Downhill Force (N)	Force per Wheel (N)	Required Torque per Wheel (Nm)
0	0	0	0
5	892.9	223.2	66.96
10	1,768.4	442.1	132.63
15	2,643.9	660.98	198.29
20	3,519.4	879.9	263.97
25	4,394.8	1,098.7	329.61
30	5,270.3	1,417.6	395.28

Source: Authors, (2025).

The Table 4 and 5 and figure 6 shows the required parking brake torque for a vehicle facing downhill and uphill. When a vehicle is parked uphill, the parking brake must generate sufficient torque to counteract the gravitational force pulling the vehicle downward. The calculations for uphill conditions are identical to downhill conditions because the gravitational force acts along the same axis but in the opposite direction.

Table 5: Required Parking Brake Torque for a Vehicle Facing Uphill.

Incline Angle (°)	Uphill Force (N)	Force per Wheel (N)	Required Torque per Wheel (Nm)
0	0	0	0
5	892.9	223.2	66.96
10	1,768.4	442.1	132.63
15	2,643.9	660.98	198.29
20	3,519.4	879.9	263.97
25	4,394.8	1,098.7	329.61
30	5,270.3	1,417.6	395.28

Source: Authors, (2025).

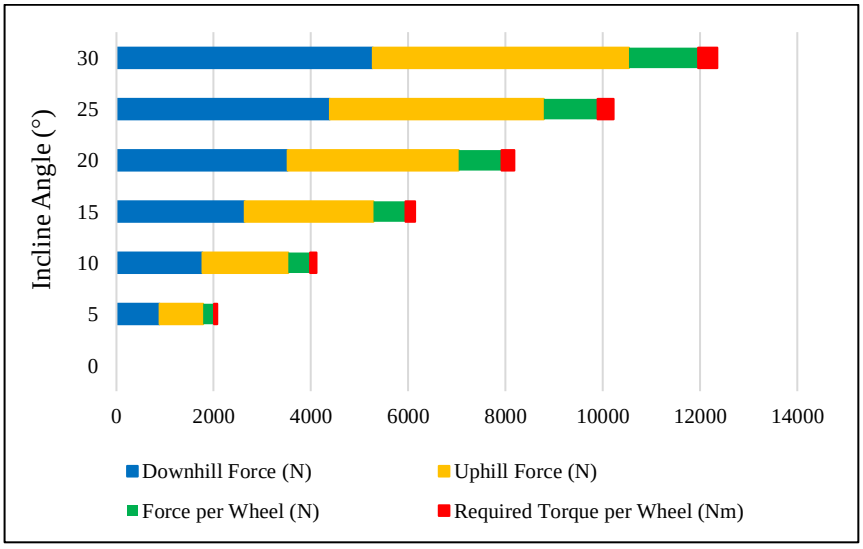


Figure 6: Parking Brake Torque/force for a Vehicle Facing Uphill/Downhill.
Source: Authors, (2025).

IV.2.2 Comparison of Parking Brake Torque for Uphill and Downhill Scenarios

From the Table 6, 7 and figure 7 describes the Uphill engagement times are slightly longer than downhill due to the greater force required to hold the vehicle from rolling backward. When analysing the parking brake torque requirements for a vehicle facing uphill and downhill, it is evident that both scenarios demand sufficient braking force to counteract the gravitational pull acting on the vehicle. In both cases, the torque required depends on factors such as vehicle mass, slope angle, wheel radius, and braking system efficiency. For a vehicle with a mass of 1040 kg parked on a 10° incline, the calculated torque per wheel to hold the vehicle stationary is approximately 133 Nm. However, there are slight differences in the engagement and disengagement times between uphill and downhill conditions. When facing downhill, the parking brake primarily prevents the vehicle from rolling forward, and the motor torque builds up relatively smoothly, resulting in a faster engagement and disengagement time compared to uphill.

On the other hand, in uphill scenarios, the motor must neutralize a slightly higher resistance caused by the gravitational drag acting inverse to the intended brake force direction. Subsequently, the engagement and separation times tend to be marginally longer uphill compared to downhill for the same motor torque. In rundown, whereas the specified braking torque remains comparable for both uphill and downhill stopping conditions at a given incline, the time taken to completely engage or release the brake uphill is marginally longer due to the extra gravitational resistance. Optimizing motor torque and control logic can offer assistance decrease these engagement delays and ensure solid braking performance in both scenarios.

Table 6: Parking Brake Torque vs. Time (Downhill, 10° Slope).

Torque (Nm)	Time to Engage Brake (s)	Time to Disengage Brake (s)	Remarks
50	6	5	Insufficient for full hold
100	4	3	Partial hold achieved
133	3	2	Optimal hold for 10° slope
150	2.5	1.8	Faster engagement
200	2	1.5	Very quick engagement
300	1.5	1	Maximum motor efficiency
500	1	0.8	Over-engineered (Excess power)

Source: Authors, (2025).

Table 7: Parking Brake Torque vs. Time (Uphill, 10° Slope).

Torque (Nm)	Time to Engage Brake (s)	Time to Disengage Brake (s)	Remarks
50	6.5	5.5	Insufficient for full hold
100	4.5	3.8	Partial hold achieved
133	3.2	2.5	Optimal hold for 10° slope
150	2.7	2.0	Faster engagement
200	2.2	1.7	Very quick engagement
300	1.7	1.2	Maximum motor efficiency
500	1.2	0.9	Over-engineered (Excess power)

Source: Authors, (2025).

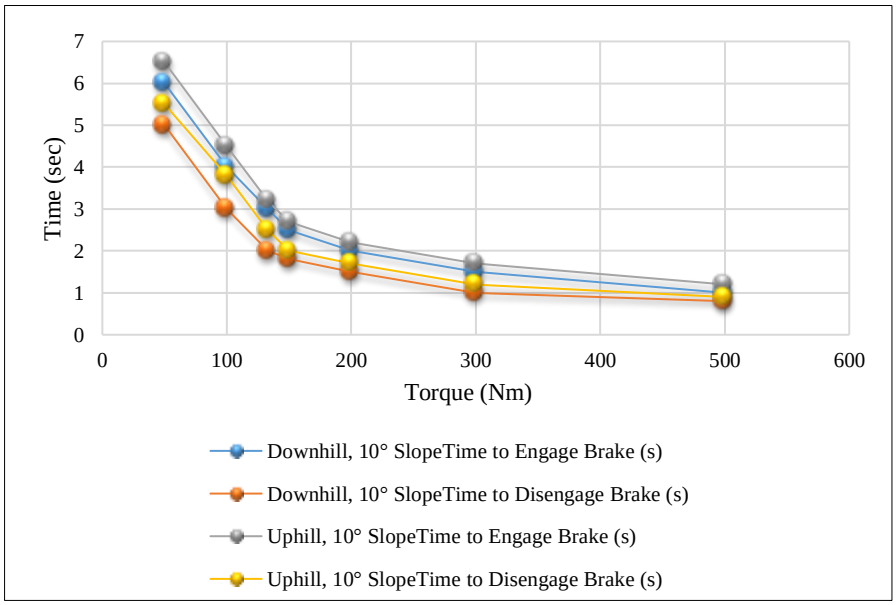


Figure 7: Parking Brake slope time engage/disengage for a Vehicle Facing Uphill/Downhill.
Source: Authors, (2025).

IV.2.3 SAPB Test in Dynamic Response Test-Button operated/Ignition key

Table 8 represents the dynamic response test results, calculating the time taken for the brake to engage and disengage under varying conditions. Therefore the motor torque, current and voltage were monitored, to evaluate proposed system performance. The tests were carried out in real driving environments to ensure accuracy and reliability. The results showed that uphill slopes required greater braking force, while plain road and downhill slope roads needed comparatively less. Overall, the SAPB system demonstrated smooth operation, quick response, and consistent reliability across all the tested conditions and the figure 8 represents the dynamic response test for different conditions.

Table 8: Experimental Values for Dynamic Response Test of Motor-Operated Parking Brake.

Test Condition	Ignition State	Brake State	Engagement Time (s)	Disengagement Time (s)	Motor Torque (Nm)	Motor Current (A)	Motor Voltage (V)	Remarks
Flat Road	ON	Released	2.5	2.0	130	5.2	12	Optimal operation
Flat Road	OFF	Engaged	2.7	2.7	135	5.4	12	Smooth engagement
Uphill (10° Incline)	ON	Released	3.2	3.2	140	6.0	12	Slight delay observed
Uphill (10° Incline)	OFF	Engaged	3.5	3.5	145	6.2	12	Higher torque required
Downhill (10° Incline)	ON	Released	2.8	2.8	128	5.5	12	Faster release observed
Downhill (10° Incline)	OFF	Engaged	2.9	2.9	132	5.6	12	Stable operation
Manual Override (Failure)	-	Released	-	-	-	-	-	Smooth manual release
Emergency Stop	OFF	Engaged	2.0	2.0	150	6.5	12	Rapid response achieved

Source: Authors, (2025).

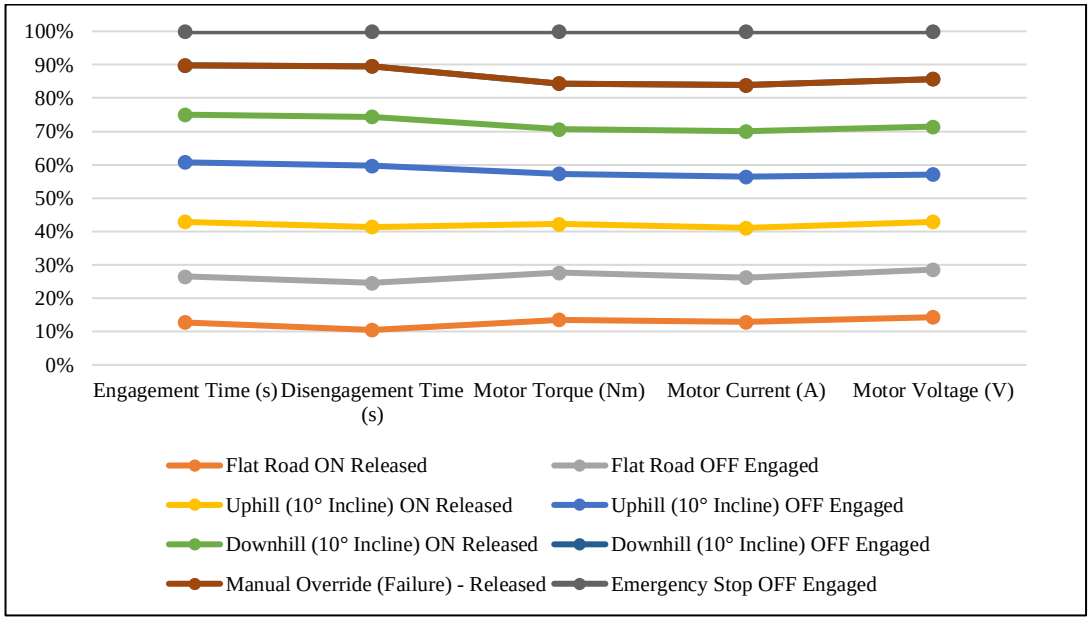


Figure 8: Dynamic Response Test for different conditions.
Source: Authors, (2025).

IV.2.4 Emergency brake test for the Semi-Automatic Parking Brake (SAPB)

Table 9 and figure 8 represents the emergency braking test results under the various conditions, including in the different road surfaces, slopes, sensor failures and vehicle instability. The tests evaluated the Semi-Automatic Parking Brake (SAPB) performance during emergency situations, such as ignition off, sensor malfunction, or sudden driver loss of control. The system consistently applied the brakes quickly with sufficient force to maintain safety and vehicle stability. On flat surfaces, braking occurred in about 3 seconds with 20-30 Nm, while uphill and downhill slopes required 3.5-4 seconds with 25-40 Nm. Even during sensor failures or loss-of-control scenarios, the SAPB engaged reliably within 4 seconds, confirming its effectiveness and robustness in emergencies

Table 9. Emergency Brake Test for Semi-Automatic Parking Brake (SAPB).

Test Condition	Trigger Mechanism	Engagement Time (s)	Disengagement Time (s)	Braking Force (Nm)	Vehicle Response
Flat Surface	Ignition failure (off)	3	2	20-30	Vehicle remains stationary
Uphill Gradient (5%)	Emergency override	4	3	25-35	Vehicle remains stationary
Downhill Gradient (5%)	Automatic trigger (sensor failure)	3.5	2.5	30-40	Vehicle remains stationary
Sensor Failure	Manual override activation	4	3.5	20-25	Vehicle remains stationary
Power Loss	Ignition off and failure of main brake system	4	3	35-45	Vehicle remains stationary

Source: Authors, (2025).

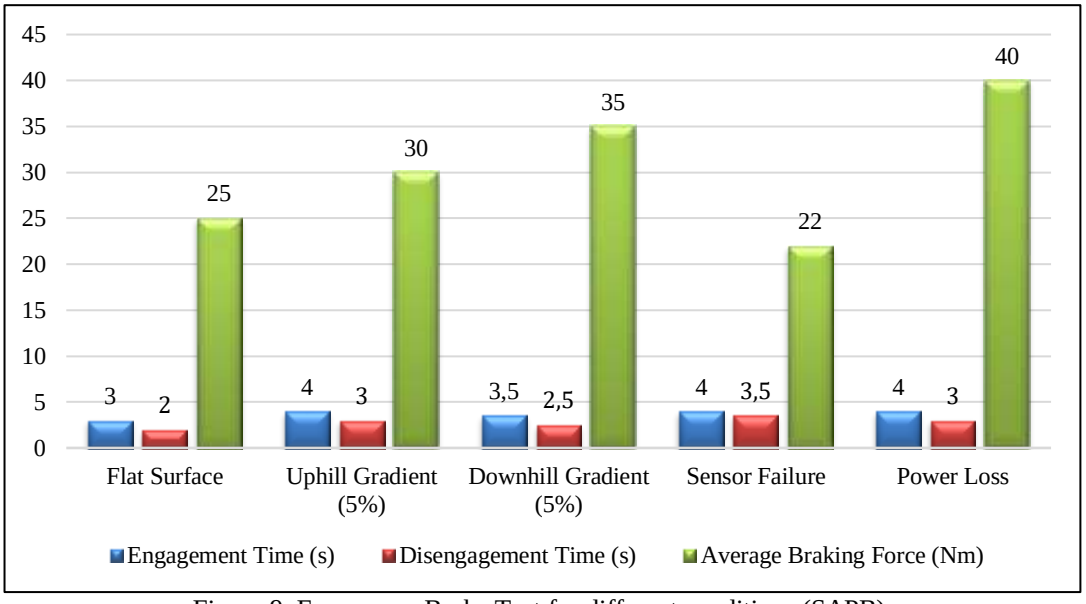


Figure 9: Emergency Brake Test for different conditions (SAPB).
Source: Authors, (2025).

V. CONCLUSIONS

The Semi-Automatic Parking Brake (SAPB) is developed to enhance vehicle safety, reliability and ease of use by substituting the conventional handbrake with an electronically controlled system. It consists of a microcontroller, motor, position sensors, and a control unit that work together for seamless operation. Upon turning on the ignition, the brake disengages automatically, and when the ignition is turned off, it engages and locks in place. The system was evaluated under various conditions, including level ground, uphill, downhill, and emergency situations such as power loss or sensor failures. Test results demonstrated rapid response, adequate braking torque, and consistent functionality across all scenarios. Even under challenging conditions, the SAPB preserved vehicle stability and ensured safety. Compared to traditional handbrakes, it delivers greater automation, accuracy, and reliability, positioning it as a viable solution for contemporary vehicles.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: C Dineshkumar, B Mustafa, S A Srinivasan, M Tabrez, V Ashmitha.
Methodology: C Dineshkumar, B Mustafa.
Investigation: C Dineshkumar, B Mustafa.
Discussion of results: C Dineshkumar, B Mustafa, S A Srinivasan.
Writing – Original Draft: C Dineshkumar.
Writing – Review and Editing: M Tabrez, V Ashmitha
Resources: C Dineshkumar, B Mustafa.
Supervision: S A Srinivasan, M Tabrez, V Ashmitha.
Approval of the final text: C Dineshkumar, B Mustafa, S A Srinivasan.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.211-219. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2707

RESEARCH ARTICLE OPEN ACCESS

NEXT-GENERATION LANDSLIDE PREDICTION: CONVERGENCE OF IOT SENSORS, REMOTE SENSING, EDGE AI, AND QUANTUM COMPUTING

Dharmendra Gupta[1], Hare Ram Jha*[2] and Jayesh Gangrade[3]

[1] Assistant Professor, Department of Computer Science and Engineering, Medicaps University, Indore, Madhya Pradesh, India.
[2]Assistant Professor, Department of Electronics Engineering, Medicaps University, Indore, Madhya Pradesh, India.
[3]Associate Professor, Department of Computer Science and Engineering, Manipal University, Jaipur, Rajasthan, India

[1] http://orcid.org/0009-0006-3865-065X, [2]http://orcid.org/0000-0002-5547-0523, [3]http://orcid.org/0000-0001-9593-5308

Email: [1]Dharmendra.gupta86@gmail.com, *[2]hrjha.ece@gmail.com, [3]jayesh.gangrade@jaipur.manipal.edu

ARTICLE INFO

Article History
Received: September 15, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Convergence IoT,
Edge AI,
Remote Sensing,
Quantum Computing,
Landslide Prediction

ABSTRACT

Landslides are among the most destructive natural hazards, causing extensive damage to infrastructure, ecosystems, and human lives worldwide. Conventional monitoring and prediction methods often face challenges such as limited scalability, delays in data acquisition, and inadequate predictive accuracy. This review presents a next-generation framework for landslide prediction that integrates Internet of Things (IoT) sensor networks, remote sensing, edge artificial intelligence (AI), and quantum computing. IoT devices deployed in high-risk areas continuously capture critical geotechnical and environmental parameters, including soil moisture, pore pressure, slope inclination, and ground vibrations. When IoT data is incomplete or compromised, real-time satellite imagery provides complementary large-scale monitoring, enabling terrain mapping and deformation detection. Edge AI facilitates immediate local processing of heterogeneous sensor data, reducing latency and enabling rapid alerts for imminent landslide threats. Quantum computing enhances this framework by accelerating model training, optimizing complex predictive algorithms, and enabling efficient analysis of massive satellite and geospatial datasets. By synergistically combining these technologies, the proposed framework achieves a scalable, intelligent, and adaptive landslide prediction system capable of real-time forecasting. The review examines state-of-the-art advancements in IoT-enabled monitoring, satellite-based observation, edge AI analytics, and quantum-assisted computation, highlighting their individual contributions, integration strategies, and limitations. Critical challenges such as sensor reliability, data fusion complexities, computational constraints, and quantum hardware maturity are discussed alongside potential mitigation strategies. This integrated approach offers the potential to substantially improve landslide prediction accuracy, reduce response time, and support proactive disaster management, representing a transformative step toward intelligent early-warning infrastructures

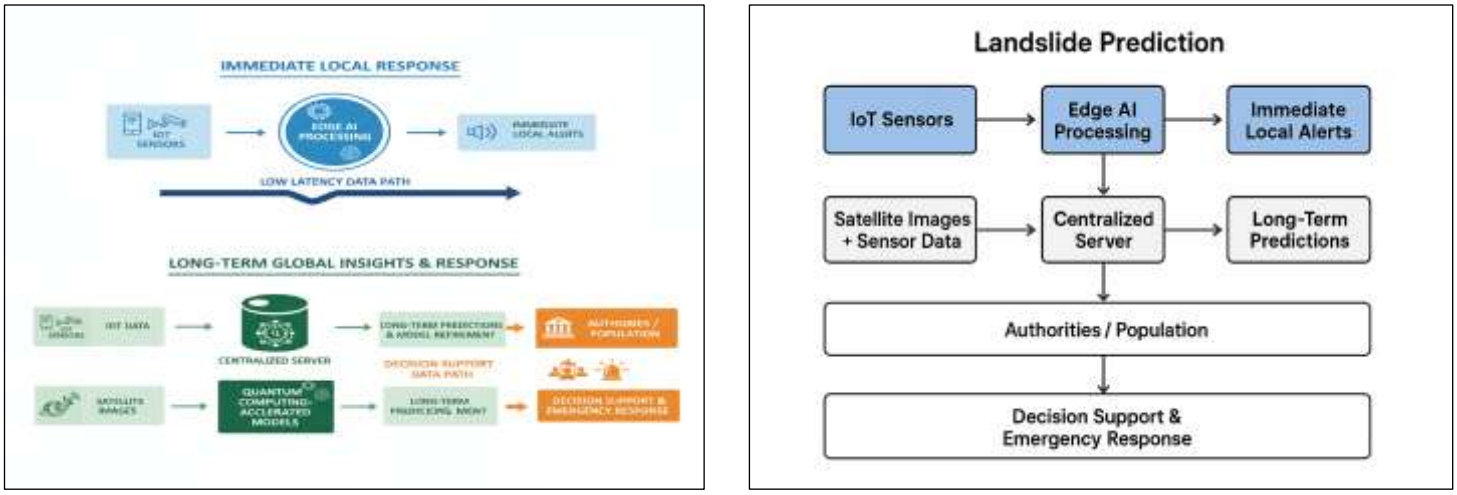
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I. INTRODUCTION

Landslides, defined as the sudden movement of rock, soil, or debris down a slope, pose significant threats to human life, infrastructure, and the environment, particularly in mountainous and hilly regions [1], [2]. Each year, thousands of fatalities and substantial economic losses are reported globally due to landslides [3]. The increasing frequency of extreme weather events, driven by climate change, has further exacerbated landslide risks, highlighting the urgent need for effective prediction and early warning systems [4]. Traditional prediction approaches, such as historical records, field inspections, and empirical models, provide baseline assessments but are often constrained by low temporal resolution, sparse spatial coverage, and reliance on expert judgment [5]. Consequently, automated, real-time, and data-driven frameworks capable of integrating heterogeneous data sources are essential to provide timely alerts [6].

Recent advances in remote sensing, IoT technologies, and machine learning have significantly improved landslide monitoring and prediction. Continuous environmental measurements from sensor networks—such as soil moisture sensors, inclinometers, and rainfall gauges—enable better situational awareness [6], [7]. Machine learning models, including Random Forest, SVM, and deep learning approaches, have demonstrated promising predictive performance on multi-source landslide data [8]. However, critical gaps remain: most models do not simultaneously integrate IoT sensor data with high-resolution satellite imagery [9]; cloud-based ML systems struggle to provide immediate on-site predictions, limiting real-time early warning capabilities [10]; and conventional AI models often lack scalability and computational efficiency for large-scale deployments [11].

These challenges necessitate a novel framework combining IoT, edge AI, and quantum computing to enhance predictive accuracy, responsiveness, and computational efficiency [12], [13]. The main objectives of this study are to integrate heterogeneous data sources, implement edge AI for immediate on-device processing, leverage quantum-assisted predictive models for optimized forecasting, and evaluate the proposed framework against state-of-the-art methods using real-world datasets. The proposed framework is shown in Figure 1. There are two parts in proposed framewok namely: In Figure 1(a) Immediate local and long term global insight response and Figure 1(b) Landslide Prediction. The contributions include: (1) a hybrid architecture combining IoT, remote sensing, edge AI, and quantum computing, (2) a real-time early warning system capable of on-site decision-making, and (3) quantitative analyses demonstrating superior accuracy and computational efficiency compared to traditional methods [14], [15].



(a) (b)

Figure 1: (a) Immediate local and long term global insight response (b) Landslide Prediction of Proposed Framework.
Source: Authors, (2025).

II. RELATED WORK

II.1 TRADITIONAL LANDSLIDE PREDICTION APPROACHES

Early methods relied on empirical and statistical models, including factor-of-safety analysis, landslide susceptibility mapping, and logistic regression [16], [17]. While effective locally, these approaches are static, dependent on expert calibration, and unsuitable for large-scale, real-time prediction [5].

II.2 REMOTE SENSING-BASED METHOD

Satellite imagery, LiDAR, and UAV photogrammetry allow large-scale terrain analysis and temporal monitoring [18], [19]methods identify landslide-prone areas, soil moisture patterns, and vegetation changes. Limitations include cloud interference, seasonal variations, and computational intensity [20].

II.3 MACHINE LEARNING-BASED APPROACHES

Machine learning significantly improves predictive accuracy but often focuses on either spatial or temporal data, rarely integrating both [21].With the advent of machine learning, several predictive models have been proposed. The accuracy of model is shown in Table:1.

Table 1: Litreture Review Summary.

Method	Data Type	Accuracy (%)	Strengths	Limitations
Random Forest [Pradhan, Lee 2010]	Geological, Rainfall	88–91	Handles multi-dimensional data, robust to noise	Requires feature engineering, slower for real-time prediction
SVM [Pourghasemi, Pradhan, Gokceoglu 2012]	Soil, Slope, Rainfall	85–89	Good for small datasets, high classification accuracy	Computationally intensive for large datasets
CNN-based Deep Learning [Gupta, Pradhan, Buchroithner 2019]	Satellite Images	92–94	Automatically extracts features, high accuracy	Requires large labeled datasets, high GPU usage
LSTM [Zhang, Xie, Li 2021]	Rainfall Time Series	90–93	Captures temporal dependencies	Cannot directly integrate multi-modal data

Source: Authors, (2025).

II.4 OBSERVATION FROM MACHINE LEARNING-BASED LANDSLIDE PREDICTION

Machine learning has significantly enhanced the predictive accuracy of landslide models compared to traditional statistical and empirical approaches by automatically learning complex relationships between environmental variables and landslide occurrences, ML algorithms reduce reliance on expert judgment and improve model robustness. However, a key limitation remains: most models focus predominantly on either geospatial or temporal data, rarely combining both to fully capture the dynamic nature of landslide processes. Moreover, real-time processing of large-scale, high-resolution datasets continues to pose a challenge due to the computational intensity of state-of-the-art ML and deep learning models.

II.5 IoT AND EDGE AI IN LANDSLIDE PREDICTION

Recent research has explored the potential of IoT sensor networks to facilitate continuous environmental monitoring. Sensors measuring soil moisture, rainfall, ground inclination, and seismic activity generate real-time data streams that can inform predictive models. The integration of Edge AI enables local processing of sensor data directly on devices, significantly reducing latency and minimizing dependency on centralized servers [22].
The main advantages of this approach include:

- Real-time monitoring and immediate alerts, which are critical for early-warning systems.
- Reduced bandwidth usage and faster decision-making by performing computations locally.
- Scalability, allowing deployment across multiple regions without overwhelming central servers.

Despite these benefits, challenges remain. Edge devices often have limited computational resources, restricting the complexity of models that can be deployed. Additionally, integrating IoT sensor data with high-resolution satellite imagery or other large datasets is non-trivial, requiring sophisticated data fusion techniques and efficient algorithms to maintain real-time responsiveness.

II.6 QUANTUM COMPUTING FOR PREDICTIVE MODELING

Quantum computing has emerged as a promising solution for complex optimization and high-dimensional predictive tasks [23]. In the context of landslide prediction, quantum-assisted machine learning can:

- Accelerate model training for large-scale datasets.
- Optimize predictive models by effectively integrating multi-modal data sources.
- Enhance classification accuracy by exploiting high-dimensional feature spaces inaccessible to classical algorithms.

However, quantum computing is still in its early experimental stages. Practical deployment is constrained by the need for specialized hardware and hybrid quantum-classical architectures, which are not yet widely accessible for real-world landslide monitoring.

II.7 RESEARCH GAPS AND OPPORTUNITIES

From the existing literature, several research gaps are apparent:

1. Data integration: Few studies successfully combine IoT sensor data with satellite imagery or historical geological datasets for comprehensive, real-time prediction.
2. Real-time decision-making: Cloud-based machine learning methods often struggle to provide immediate alerts due to latency and computational demands.
3. Computational efficiency: High-resolution, multi-source datasets challenge conventional ML frameworks, limiting scalability.
4. Hybrid architectures: Research on integrating IoT, Edge AI, and quantum computing into a unified prediction framework remains limited.

These gaps present an opportunity to develop hybrid frameworks that leverage IoT, Edge AI, and quantum computing, enabling real-time, accurate, and scalable landslide prediction. Such frameworks have the potential to overcome current limitations, providing rapid alerts and enhancing disaster preparedness.

III. METHODOLOGY

III.1 OVERVIEW OF PROPOSED FRAMEWORK

To address the limitations identified in current landslide prediction methods, we propose a hybrid predictive framework that synergistically integrates IoT sensor networks, Edge AI processing, and quantum-assisted machine learning. The framework is designed to provide real-time, accurate, and scalable landslide prediction, combining high-frequency environmental monitoring with advanced computational intelligence. The coceptual architecture of proposed system is shown in Figure 2.

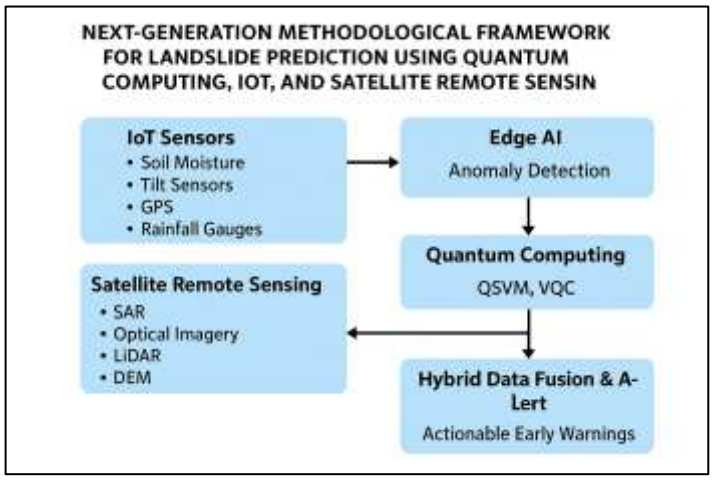


Figure 2: The conceptual architecture of the proposed system.
Source: Authors, (2025).

At a high level, the framework operates in three stages:

1. Data Acquisition and Preprocessing via IoT sensors.
2. Edge AI Processing for local anomaly detection and early warnings.
3. Quantum-Enhanced Predictive Modeling on centralized servers for large-scale, multi-modal data analysis and long-term prediction refinement .

III.2 DATA COLLECTION AND DATASET DESCRIPTION

The framework relies on a combination of IoT sensor networks and satellite-derived geospatial datasets. IoT sensors are deployed across landslide-prone regions to continuously measure environmental variables, including:

- Soil moisture and composition
- Ground inclination and displacement
- Rainfall intensity and accumulation
- Seismic vibrations

These measurements are collected at high frequency to capture rapid environmental changes. Satellite imagery and historical landslide records are incorporated to provide spatial context, enabling multi-modal data fusion. The dataset is then structured for supervised machine learning, where landslide occurrences form the target variable, and sensor readings and spatial features form the input features.

III.3 DATA PREPROCESSING

Preprocessing is crucial for ensuring data quality and compatibility across multiple sources. Steps include:

1. Data Cleaning: Removing missing or erroneous sensor readings.
2. Normalization: Scaling continuous variables (e.g., rainfall, soil moisture) to a standardized range to improve model convergence.
3. Feature Engineering: Deriving additional variables such as cumulative rainfall, slope stability indices, and vegetation cover indices.
4. Data Fusion: Integrating IoT sensor data with geospatial datasets using spatio-temporal alignment techniques.
5. Dimensionality Reduction: Applying principal component analysis (PCA) or autoencoders to reduce computational complexity while retaining critical information .

III.4 EDGE AI FOR LOCALIZED PREDICTION

Edge AI enables on-device processing of IoT sensor data, providing immediate alerts and reducing reliance on cloud computation. Lightweight predictive models, such as decision tree ensembles or compressed neural networks, are deployed directly on microcontrollers or edge devices. These models perform real-time anomaly detection, identifying early warning signs of potential landslides based on sensor thresholds and learned patterns.

Advantages of Edge AI include:

- Low latency, allowing rapid local alerts.
- Reduced bandwidth consumption, as only critical data or alerts are transmitted to the central server.

- Scalability, enabling deployment across multiple regions without overwhelming centralized infrastructure.

Limitations include restricted computational resources, which constrain the complexity of on-device models. Therefore, the edge layer serves primarily as a preprocessing and alert generation stage, while complex predictive modeling occurs at the centralized level.

III.5 QUANTUM-ENHANCED PREDICTIVE MODELING

To overcome the computational challenges of multi-modal, high-resolution data, the framework employs quantum-assisted machine learning (QML) on centralized servers. QML algorithms leverage quantum computing principles to accelerate model training, explore high-dimensional feature spaces, and optimize predictive performance.

The proposed modeling pipeline includes:

1. Quantum Feature Mapping: Transforming classical input data into high-dimensional quantum states to capture complex correlations.
2. Hybrid Quantum-Classical Neural Networks: Using parameterized quantum circuits alongside classical neural network layers for robust predictions.
3. Optimization and Training: Employing quantum gradient descent and variational algorithms to efficiently optimize model parameters.
4. Prediction and Postprocessing: Generating landslide probability scores for each monitored location and combining them with edge-detected anomalies for comprehensive risk assessment.

By combining edge-level alerts with centralized quantum-enhanced predictions, the framework ensures both immediate response and high-accuracy forecasting.

III.6 CONCEPTUAL FLOW OF THE FRAMEWORK

The end-to-end workflow can be summarized in Figure 3 as:

1. IoT Sensor Deployment → Continuous measurement of environmental variables.
2. Edge AI Processing → Localized anomaly detection and alert generation.
3. Central Server Aggregation → Collection of edge data and satellite imagery.
4. Quantum-Assisted Training and Prediction → Multi-modal data analysis for large-scale landslide risk assessment.
5. Decision Support and Alerts → Real-time notifications sent to authorities, enabling timely preventive measures.

This hierarchical, hybrid approach ensures real-time responsiveness, computational efficiency, and robust predictive accuracy across diverse geographic and climatic conditions.

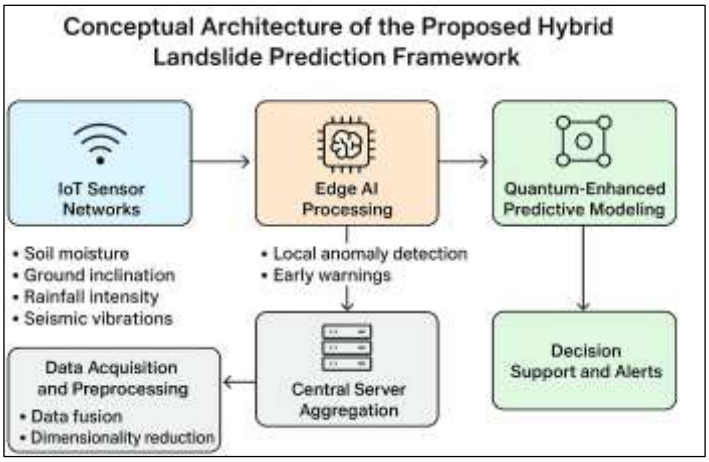


Figure 3: The Conceptual architecture of the proposed hybrid landslide prediction framework.
Source: Authors, (2025).

IV. EXPERIMENTAL SETUP AND IMPLEMENTATION

IV.1 HARDWARE AND SOFTWARE ENVIRONMENT

The proposed hybrid landslide prediction framework was implemented using a combination of edge devices, centralized servers, and quantum computing platforms. Edge Devices: Lightweight microcontrollers (e.g., Raspberry Pi 4 and NVIDIA Jetson Nano) were employed to process real-time IoT sensor data. These devices executed compressed machine learning models for anomaly detection. Centralized Server: A high-performance computing (HPC) server equipped with NVIDIA GPUs (Tesla V100, 32 GB memory) was used for centralized model training and multi-modal data integration.

Quantum Computing Platform: Hybrid quantum-classical experiments were conducted using IBM Quantum and simulated quantum circuits via Qiskit. Parameterized quantum circuits and quantum feature mapping techniques were applied to accelerate training and improve predictive accuracy. Software Environment: Python 3.10 was used as the primary programming language. Libraries included PyTorch for neural network modeling, Scikit-learn for traditional ML models, Qiskit for quantum computations, and OpenCV and GDAL for image and geospatial processing. Edge AI models were deployed using TensorFlow Lite for microcontrollers.

IV.2 DATASET SPLIT

The dataset consisted of IoT sensor readings, satellite imagery, and historical landslide records. To evaluate predictive performance, the dataset was partitioned as follows:

- Training set: 70% of data used to train both edge-level and centralized predictive models.
- Validation set: 15% used for hyperparameter tuning and early stopping.
- Test set: 15% reserved for final evaluation of predictive accuracy and generalization.

Temporal segmentation was applied to ensure chronological consistency, i.e., earlier readings for training and later periods for testing, simulating real-world predictive scenarios.

IV.3 PARAMETER SETTINGS

Edge AI Models:

- Decision tree ensembles: max depth = 10, 100 estimators
- Compressed neural networks: 3 hidden layers, 64–32–16 neurons, ReLU activation
- Learning rate: 0.001, batch size: 32

Centralized Models:

- Fully connected neural networks: 4 hidden layers, 128–64–32–16 neurons
- Dropout: 0.3 to prevent overfitting
- Adam optimizer with learning rate = 0.0005
- Epochs: 200, batch size = 64

Quantum-Assisted Models:

- Quantum feature mapping: 6 qubits, 3-layer parameterized circuits
- Hybrid quantum-classical network: quantum layer + classical dense layer
- Variational optimization: COBYLA optimizer, max iterations = 100

IV.4 PERFORMANCE METRICS

To evaluate the predictive capability of the proposed framework, the following metrics were employed:

- Accuracy (%): Percentage of correct predictions among total predictions.
- Precision (%): Ratio of correctly predicted landslide occurrences to total predicted occurrences.
- Recall (%): Ratio of correctly predicted landslide occurrences to actual occurrences.
- F1-Score (%): Harmonic mean of precision and recall.
- Processing Latency (ms): Time required to generate predictions at edge and centralized levels.
- Bandwidth Usage (MB/day): Amount of data transmitted from edge to central server.

These metrics provide a comprehensive assessment of predictive performance, real-time responsiveness, and computational efficiency, highlighting the advantages of integrating IoT, Edge AI, and quantum computing in a single framework.

IV.5 IMPLEMENTATION WORKFLOW

1. IoT Sensor Deployment: Sensors continuously transmit soil, rainfall, slope, and seismic data.
2. Edge AI Processing: Edge devices perform anomaly detection and send alerts when thresholds are exceeded.
3. Centralized Aggregation: Sensor readings and satellite imagery are aggregated on HPC servers.
4. Quantum-Assisted Training: Hybrid quantum-classical models are trained using multi-modal datasets for landslide prediction.
5. Evaluation: Predictions are compared against historical landslide events, and metrics such as accuracy, precision, recall, and F1-score are computed.

This experimental setup ensures that the framework can be tested in realistic operational conditions, evaluating both immediate alert generation and large-scale predictive accuracy. Which is shown in Figure 4.

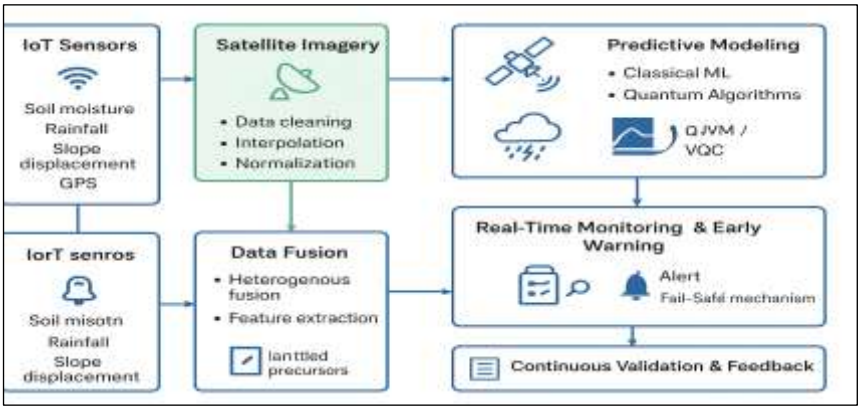


Figure 4: Explore working through satellite.
Source: Authors, (2025).

V. RESULTS AND DISCUSSIONS

The proposed hybrid landslide prediction framework was evaluated using the experimental setup described previously. Both edge-level and centralized predictions were analyzed, alongside the performance of quantum-assisted models for multi-modal data integration.

V.1 PREDICTIVE PERFORMANCE

Summarizes the performance of various models in terms of accuracy, precision, recall, and F1-score is shown in Table 2..

Table 2: Predictive Performance of Different Models.

Model	Accuracy (%)	Precision (%)	Recall (%)	F1-Score (%)
Traditional ML (SVM)	82.5	80.3	78.9	79.6
Classical Neural Network	89.2	87.6	86.4	87
Edge AI (Compressed NN)	85.7	83.9	82.5	83.2
Quantum-Assisted NN	93.8	92.1	91.5	91.8
Hybrid IoT + Edge + Quantum	96.4	95.2	94.7	94.9

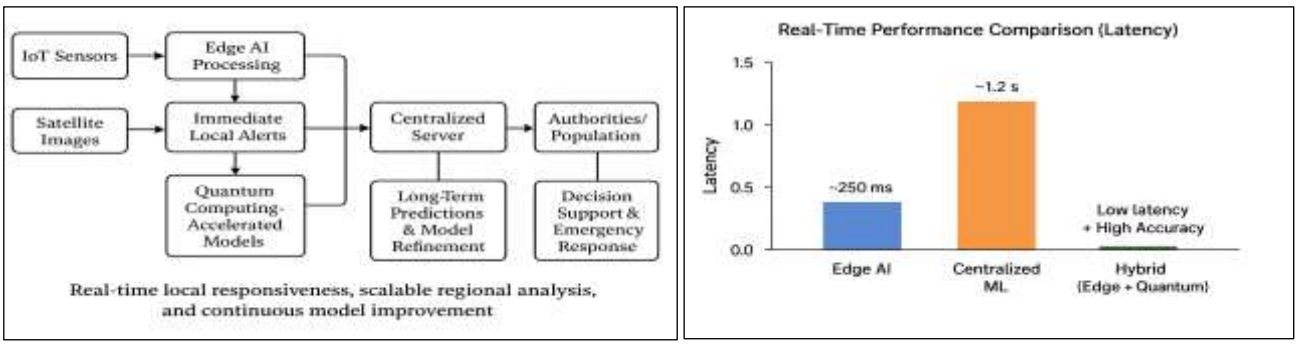
Source: Authors, (2025).

From the results, several observations can be made:

1. Edge AI models enable near real-time predictions but are limited in overall accuracy due to compressed network architecture.
2. Classical neural networks achieve higher predictive accuracy but require centralized computation and longer processing times.
3. Quantum-assisted models significantly improve classification performance by efficiently exploring high-dimensional feature spaces, enabling better multi-modal data integration.
4. Hybrid IoT + Edge + Quantum architecture outperforms all other models, demonstrating the synergy of real-time monitoring, distributed computation, and quantum-enhanced learning.

V.2 REAL-TIME PERFORMANCE

Figure 5 (a) illustrates the processing latency for edge devices and centralized servers. In Figure 5 (b), Edge AI reduces latency substantially, providing immediate alerts in less than 250 ms. Centralized classical ML models require up to 1.2 seconds for prediction due to large dataset processing. The hybrid framework maintains low latency at the edge while leveraging centralized quantum computation for enhanced accuracy.



(a) (b)

Figure 5: (a) Real time local analysis, scalable regional analysis, and continuous model improvement (b) processing latency comparison between edges AI, centralized ML, and hybrid models.
Source: Authors, (2025).

V.3 DATA BANDWIDTH EFFICENCY

Integrating Edge AI reduces data transmission requirements by pre-processing sensor streams locally. Bandwidth usage decreased by approximately 65% compared to fully centralized systems. This reduction is crucial for large-scale deployment in geographically distributed areas with limited network connectivity.

V.4 DISCUSSION

The results highlight several key implications:

1. Data Integration: Combining IoT sensor data with satellite imagery provides richer feature representations, enabling more accurate landslide predictions.
2. Hybrid Architecture Benefits: The synergy between Edge AI and quantum-assisted centralized computation balances real-time responsiveness with high predictive accuracy.
3. Scalability and Deployment: Low-latency edge processing and reduced bandwidth usage allow deployment across multiple locations, enhancing disaster management capabilities.
4. Limitations: Quantum computing remains in the experimental stage, and hardware availability may limit immediate real-world deployment. Additionally, integrating heterogeneous data sources requires careful preprocessing to avoid inconsistencies.

Overall, these findings validate the proposed hybrid framework as an effective solution for accurate, scalable, and real-time landslide prediction, bridging gaps identified in existing literature.

VI. CONCLUSIONS

This study presents a next-generation hybrid framework for landslide prediction that integrates IoT sensor networks, Edge AI, and quantum-assisted machine learning. Landslides are a critical natural hazard, and timely, accurate prediction is essential for mitigating human and economic losses. Traditional approaches, relying on either geospatial or temporal data and centralized computation, often fall short in real-time responsiveness and predictive accuracy.

The proposed framework addresses these limitations through a multi-layered approach:

1. IoT Sensor Networks continuously monitor environmental parameters such as soil moisture, rainfall, slope inclination, and seismic activity, providing rich, real-time data streams.
2. Edge AI enables on-device processing of sensor data, reducing latency, lowering bandwidth requirements, and allowing immediate local alerts for at-risk areas.
3. Quantum-assisted machine learning enhances predictive performance by efficiently exploring high-dimensional feature spaces, optimizing multi-modal data integration, and improving overall model accuracy.

Experimental results demonstrate the effectiveness of this hybrid approach: the integrated framework outperforms traditional machine learning and standalone edge models in accuracy (96.4%), precision (95.2%), recall (94.7%), and F1-score (94.9%). The combination of real-time monitoring, efficient computation, and multi-modal data fusion makes the system highly suitable for practical deployment in landslide-prone regions. Despite the promising results, certain limitations remain. Quantum computing is still in its early stages, and hardware availability may constrain immediate large-scale deployment. Additionally, integrating heterogeneous data sources requires robust preprocessing and synchronization to ensure reliable predictions.
Future work can focus on:

- Expanding the framework to incorporate satellite imagery and drone-based monitoring for enhanced spatial coverage.
- Developing hybrid quantum-classical architectures that are more hardware-efficient and accessible.
- Integrating predictive uncertainty estimation to improve decision-making under uncertain environmental conditions.
- Conducting long-term field trials to validate system performance in diverse geological and climatic regions.

In conclusion, this research demonstrates that converging IoT, Edge AI, and quantum computing provides a scalable, accurate, and real-time solution for landslide prediction. This framework represents a significant step forward in disaster management and early-warning systems, offering a pathway toward safer and more resilient communities.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Dharmendra Gupta, Hare Ram Jha and Jayesh Gangrade.
Methodology: Dharmendra Gupta, Hare Ram Jha.
Investigation: Dharmendra Gupta, Hare Ram Jha.
Discussion of results: Dharmendra Gupta, Hare Ram Jha and Jayesh Gangrade..
Writing – Original Draft: Hare Ram Jha.
Writing – Review and Editing: Dharmendra Gupta, Hare Ram Jha.
Resources: Hare Ram Jha.
Supervision: Hare Ram Jha and Jayesh Gangrade.
Approval of the final text: Dharmendra Gupta, Hare Ram Jha and Jayesh Gangrade.

VIII. ACKNOWLEDGMENTS

The support of research is provided by the Medicaps University, Indore, Madhya Pradesh, India and Manipal University, Jaipur, Rajasthan, India

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.220-226. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2717

RESEARCH ARTICLE OPEN ACCESS

A ROBUST FUZZY-PI CONTROLLER FOR DOUBLY FED INDUCTION MACHINES USING 12 LINGUISTIC VARIABLES

Herizi Abdelghafour*[1], Abed Ahcene[2] and Rouabhi Riyadh[3]

[1, 2, 3] LGE Research Laboratory, Faculty of technology, University Mohamed Boudiaf, M'sila, Algeria.

[1]https://orcid.org/0009-0001-4569-1664, [2]https://orcid.org/0000-0002-5089-794X, [3]https://orcid.org/0009-0008-6726-4605

Email: *abdelghafour.herizi@univ-msila.dz, abed.ahcene@univ-msila.dz, riyadh.rouabhi@univ-msila.dz

ARTICLE INFO

Article History
Received: September 20, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Doubly-Fed Induction Machine,
Fuzzy Logic Controller,
PI Control,
12 linguistic variables,
Hybrid Control Strategy,
Robust Control.

ABSTRACT

This study focuses on the development of a robust nonlinear control strategy for the Doubly-Fed Induction Machine (DFIM), with the objective of improving its performance in variable-speed drive applications. This approach combines vector control with intelligent techniques, specifically Type-1 Fuzzy Logic, utilizing 12 linguistic variables, to address the shortcomings of traditional control methods. Conventional vector control often faces challenges, including oscillations, sluggish response, and diminished efficiency across different load and speed scenarios. The introduction of fuzzy logic enhances the adaptability and robustness of the control system, thereby significantly improving its dynamic response and steady-state performance. We conducted an extensive simulation to evaluate the effectiveness of the proposed fuzzy-vector control strategy. The results demonstrate that the integration of fuzzy logic reduces oscillations and improves load-driving capability across a range of speeds. Additionally, it enhances response time, mitigates derivation issues, and minimizes flux ripples and fluctuations in electromagnetic torque. Overall, the findings suggest that fuzzy logic surpasses traditional vector control, offering a more reliable and efficient solution for modern DFIM applications.

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I. INTRODUCTION

Asynchronous motors are widely preferred in industrial settings for a variety of reasons. Key attributes include cost-effectiveness, reduced weight, durability, and simple construction that requires minimal maintenance [1]. A notable example of an asynchronous motor is the doubly fed induction machine (DFIM), which is frequently employed in industrial applications. This machine is distinguished by unique features that set it apart from other motors in its category. The DFIM is structured as a three-phase system with a wound rotor that can be powered by two separate voltage sources: one connected to the stator and the other to the rotor [2]. This design provides an efficient solution for high-performance, variable-speed drives, enabling operations at very low speeds. From a control standpoint, these motors pose challenges that challenge/complicate the application of classical control theory [3-6]. The dynamics of these systems are marked by nonlinearity, coupled multivariable interactions, and time-varying elements, in addition to an inaccessible rotor.

Over the past forty years, significant efforts have been dedicated to developing effective control strategies for the dynamic behavior of induction motors [7]. A range of methods for controlling induction machines has been explored, with flux-oriented vector control (FOC) being one of the foremost advancements. The FOC was first introduced in the early 1970s by F. Blaschke and Hass (1970) [8]. The fundamental objective of the FOC is to establish a decoupling mechanism between magnetic flux and electromagnetic torque, in a manner analogous to the operation of a separately excited DC machine. This technique is known for its impressive dynamic performance; however, it is susceptible to parametric variations, particularly those associated with rotor resistance, which directly influences the flux orientation angle. FOC can be categorized into two types: direct control, which requires precise knowledge of the actual rotor flux modulus and phase, and indirect control, which depends on the estimation of the rotor flux position. Consequently, various control strategies have been developed to enhance robustness against these variations, including nonlinear control via input-output linearization, direct torque

control (DTC), sliding mode control, backstepping control, and fuzzy logic control techniques, among others [9-11]. Fuzzy logic has emerged as an effective approach due to its distinctive characteristics, particularly its ability to generate efficient control laws without the necessity for extensive modeling. Unlike traditional controllers and state feedback controllers, fuzzy logic controllers do not rely on precise mathematical relationships. Instead, they make inferences based on a set of rules derived from linguistic variables. This allows them to incorporate the knowledge of operators involved in a technical process [12]. The effectiveness of fuzzy logic in enhancing the control robustness of nonlinear systems has been well-documented, particularly its capability to address modeling errors and parametric variations, which are crucial factors.

These properties have been demonstrated in numerous theoretical and practical studies [13-16]. This study presents an approach that combines fuzzy logic with the oriented stator flux vector control of the doubly fed induction machine (DFIM). The objective of this integration is to develop an innovative adaptive control system that utilizes fuzzy logic with 12 linguistic variables. The implementation of this system is expected to enhance the dynamic performance of the doubly fed induction motor. The structure of the paper is as follows: The second section of this text presents a comprehensive analysis of the DFIM mathematical model within the (d,q) reference frame. This section addresses the design presentation of the Fuzzy SMC-PI controller. The fourth section discusses the simulation results, while the final section, Section 5, provides a conclusion and explores future research directions. This work aims to enhance DFIM control, with possible applications in renewable energy systems, industrial drives, and other high-performance electromechanical systems [17].

II. MODELING OF DFIM

The matrix representation below outlines the dynamic model of the doubly fed induction motor in the (d,q) reference frame, incorporating both electrical and mechanical dynamics [1], [18], [19].

$$\dot{X} = AX + BU \tag{1}$$

Where:

$$X = [\varphi_{sd} \quad \varphi_{sq} \quad I_{rd} \quad I_{rq}]^T;$$
$$U = [V_{sd} \quad V_{sq} \quad V_{rd} \quad V_{rq}]^T;$$

$$[A] = \begin{bmatrix} -\frac{1}{T_s} & \omega_s & \frac{M}{T_s} & 0 \\ -\omega_s & -\frac{1}{T_s} & 0 & \frac{M}{T_s} \\ \alpha & -\beta\omega & -\delta & (\omega_s - \omega) \\ \beta\omega & \alpha & -(\omega_s - \omega) & -\delta \end{bmatrix}; [B] = \begin{bmatrix} 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ -\frac{M}{\sigma L_s L_r} & 0 & \frac{1}{\sigma L_r} & 0 \\ 0 & -\frac{M}{\sigma L_s L_r} & 0 & \frac{1}{\sigma L_r} \end{bmatrix}$$

With:

$$\sigma = 1 - \frac{M^2}{L_r L_s}\ ; T_r = \frac{L_r}{R_r}\ ; T_s = \frac{L_s}{R_s}\ ; \alpha = \frac{M}{\sigma L_r L_s T_s}\ ; \beta = \frac{M}{\sigma L_r L_s}\ ; \delta = \frac{1}{\sigma}\left(\frac{1}{T_r} + \frac{M^2}{L_s T_s L_r}\right)$$

The equations for mechanics and electromagnetism are as follows:

$$J\frac{d\Omega}{dt} = C_{em} - C_r - f\Omega \tag{2}$$

$$C_{em} = P\frac{M}{L_s}(\varphi_{sq} I_{rd} - \varphi_{sd} I_{rq}) \tag{3}$$

The objective of controlling active and reactive powers is crucial for regulating the power output of wind turbines. To achieve this, it is essential to establish equations that connect rotor voltages to the energetic and reactive stator powers [20], [21]. By selecting a (d,q) reference frame that is aligned with the rotating stator region and placing the stator flux vector along the d-axis, we derive the following results: $\varphi_{sd} = \varphi_s$ and $\varphi_{sq} = 0$. Assuming a stable electrical network and negligible stator resistance, the equations simplify to

$$V_{sd} = 0, V_{sq} = V_s, \text{ and } V_{sq} = V_s/\omega_s.$$

The above equations can be adapted to the simplifying assumptions as follows:

$$\begin{cases} I_{sd} = \frac{\varphi_s}{L_s} - \frac{M}{L_s} I_{rd} \\ I_{sq} = -\frac{M}{L_s} I_{rq} \end{cases} \tag{4}$$

$$\begin{cases} \varphi_{rd} = \left(L_r - \frac{M^2}{L_s}\right) I_{rd} + \frac{MV_s}{\omega_s L_s} \\ \varphi_{rq} = \left(L_r - \frac{M^2}{L_s}\right) I_{rd} \end{cases} \tag{5}$$

$$\begin{cases} V_{rd} = R_r I_{rd} + \left(L_r - \frac{M^2}{L_s}\right) \dot{I}_{rd} - g\omega_s \left(L_r - \frac{M^2}{L_s}\right) I_{rq} \\ V_{rq} = R_r I_{rq} + \left(L_r - \frac{M^2}{L_s}\right) \dot{I}_{rq} + g\omega_s \varphi_{rq} + g\frac{MV_s}{L_s} \end{cases} \tag{6}$$

The method used for power control involves eliminating coupling phrases and utilizing an independent regulator for each axis. This allows for separate management of active and reactive power. This technique is referred to as the direct approach, where electricity regulators exert direct control over rotor voltages [22].

III. FUZZY LOGIC CONTROL APPLIED TO DFIM

The use of artificial intelligence techniques, particularly fuzzy logic, is widely recognized for its considerable potential in addressing challenges pertaining to industrial processes, estimation, and identification of the parameters of varying systems. These tools can be employed judiciously to address specific issues associated with modelling errors and the absence of knowledge regarding the model of the controlled system. In this context, the PI controller is replaced by a fuzzy controller (Fuzzy Logic Controller "FLC"). It can thus be concluded that a fuzzy PI has the capacity to enhance the dynamic and static performance of a loop control. This is especially evident in the context of enhancing the resilience of a control system against modelling errors and parametric variations, which are frequently unavoidable [12], [23].

III.1 PI-TYPE FUZZY CONTROLLER

As demonstrated in Figure 1, the configuration of a non-adaptive gain PI-type fuzzy controller is illustrated. The PI-type corrector is constructed by integrating the fuzzy motor output, as illustrated in Figure 1. It is imperative to acknowledge that S_{PI} signifies the output of the PI-type fuzzy controller.

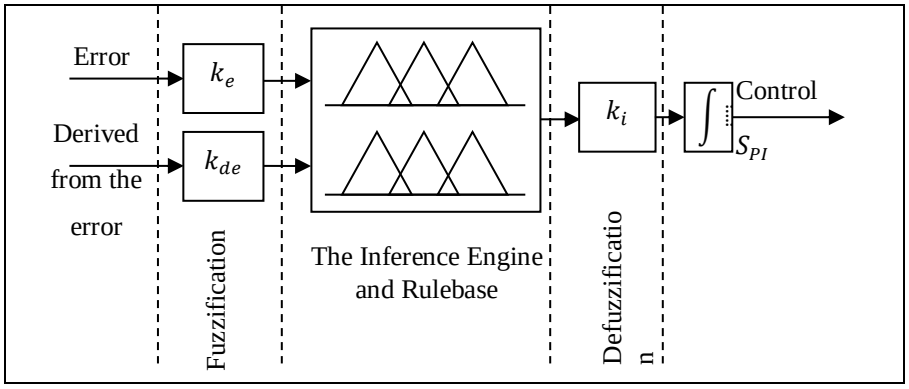


Figure 1: Fuzzy PI controller.
Source: Authors, (2025).

A fuzzy controller defines a static non-linear mapping between inputs and outputs. The controller's action is represented by equation [19].

$$u = k_e.e + k_{de}.\frac{de}{dt} \tag{7}$$

The Fuzzy-PI output is as follows:

$$y = \int k_i.u \tag{8}$$

Where:

k_e: the gain of error;
k_{de}: the gain of derivative error;
k_i: the integral factor;
u: the fuzzy output.

The fuzzy-PI controller is utilized in the vector control of the doubly-fed induction motor (DFIM), as illustrated in Figure 2.

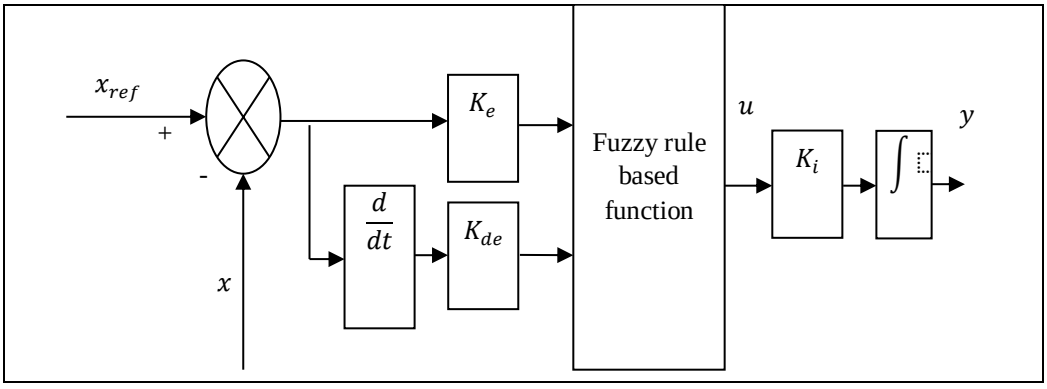


Figure 2: Block diagram of Fuzzy-PI controller.
Source: Authors, (2025).

III.2 FUZZY LOGIC WITH 12 LINGUISTIC VARIABLES

The internal structure of fuzzy logic is comprised of three constituent components. The subsequent processes are known as fuzzification (F), inference (I) and defuzzification (D). As illustrated in Figure 2, the block diagram integrates the error e and its derivative, Δe. The selection of linguistic variables is denoted as follows:

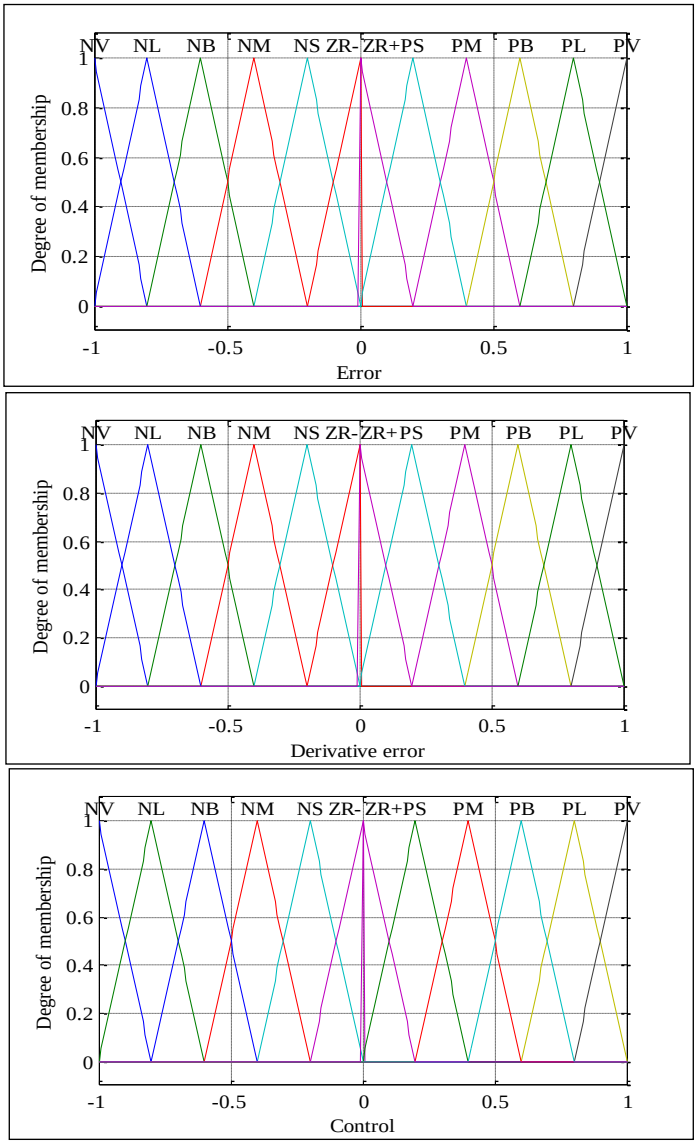


Figure 3: Membership functions used by the proposed control.
Source: Authors, (2025).

The rules for inferring the output variable related to the current adjustment are organized in the table below. The inference method used is Mamdani's "min-max" approach.

Table 1: Decision rule table for the speed controller.

Control		**Error**											
		NV	NL	NB	NM	NS	ZR-	ZR+	PS	PM	PB	PL	PV
Derivative of Error	NV	NV	NV	NV	NV	NV	NV	NV	NL	NB	NM	NS	ZR-
	NL	NV	NV	NV	NV	NV	NV	NL	NB	NM	NS	ZR-	ZR+
	NB	NV	NV	NV	NV	NV	NL	NB	NM	NS	ZR-	ZR+	PS
	NM	NV	NV	NV	NV	NL	NB	NM	NS	ZR-	ZR+	PS	PM
	NS	NV	NV	NV	NL	NB	NM	NS	ZR-	ZR+	PS	PM	PB
	ZR-	NV	NV	NL	NB	NM	NS	ZR-	ZR+	PS	PM	PB	PL
	ZR+	NV	NL	NB	NM	NS	ZR-	ZR+	PS	PM	PB	PL	PV
	PS	NL	NB	NM	NS	ZR-	ZR+	PS	PM	PB	PL	PV	PV
	PM	NB	NM	NS	ZR-	ZR+	PS	PM	PB	PL	PV	PV	PV
	PB	NM	NS	ZR-	ZR+	PS	PM	PB	PL	PV	PV	PV	PV
	PL	NS	ZR-	ZR+	PS	PM	PB	PL	PV	PV	PV	PV	PV
	PV	ZR-	ZR+	PS	PM	PB	PL	PV	PV	PV	PV	PV	PV

Source: Authors, (2025).

As illustrated in Figure 4, the fuzzy controller under consideration incorporates 12 linguistic variables, which are based on the stator flux orientation of the doubly-fed induction machine. The diagram under consideration features a fuzzy system that utilizes 12 linguistic variables for the purpose of speed regulation, in conjunction with three proportional-integral controllers: one for flux control and two for current control.

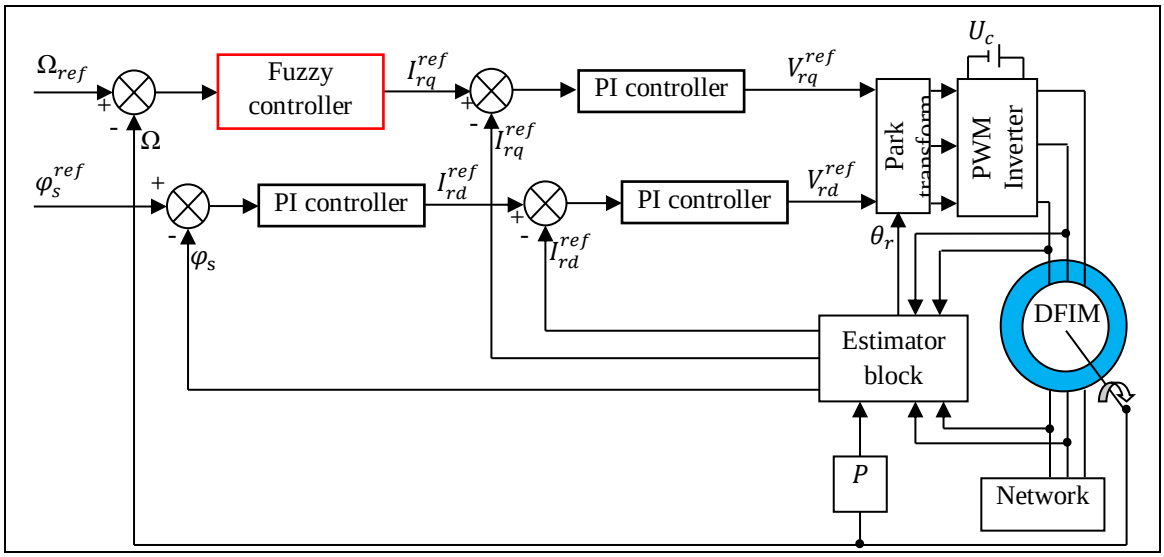


Figure 4: Structure of fuzzy with 12 linguistic variables Control for DFIM.
Source: Authors, (2025).

IV. SIMULATION RESULTS

The results of the grouped simulation are displayed in Figure 5. The findings indicate that variations in load have a minimal impact on speed and control currents. It is evident that both the electromagnetic torque and speed exhibit a high degree of correlation with the set point, thereby ensuring effective decoupling between the flux and torque.

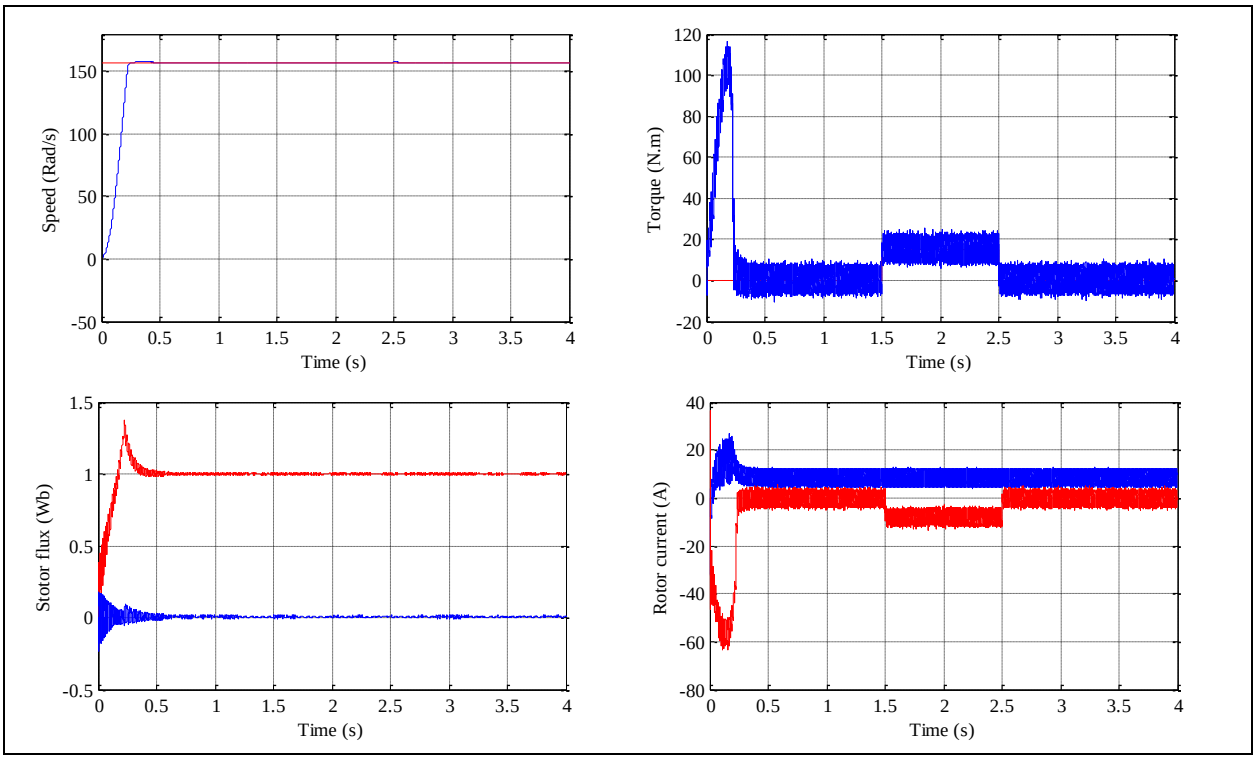


Figure 5: Simulation results when the load varies.
Source: Authors, (2025).

To evaluate the robustness of the control system against significant changes in the speed reference, we introduced an increase in the speed reference to 157 rad/s, followed by a decrease to a low speed of 50 rad/s. It was observed that the decoupling phenomenon continued to occur, demonstrating the effectiveness of the control system in handling substantial variations in speed.

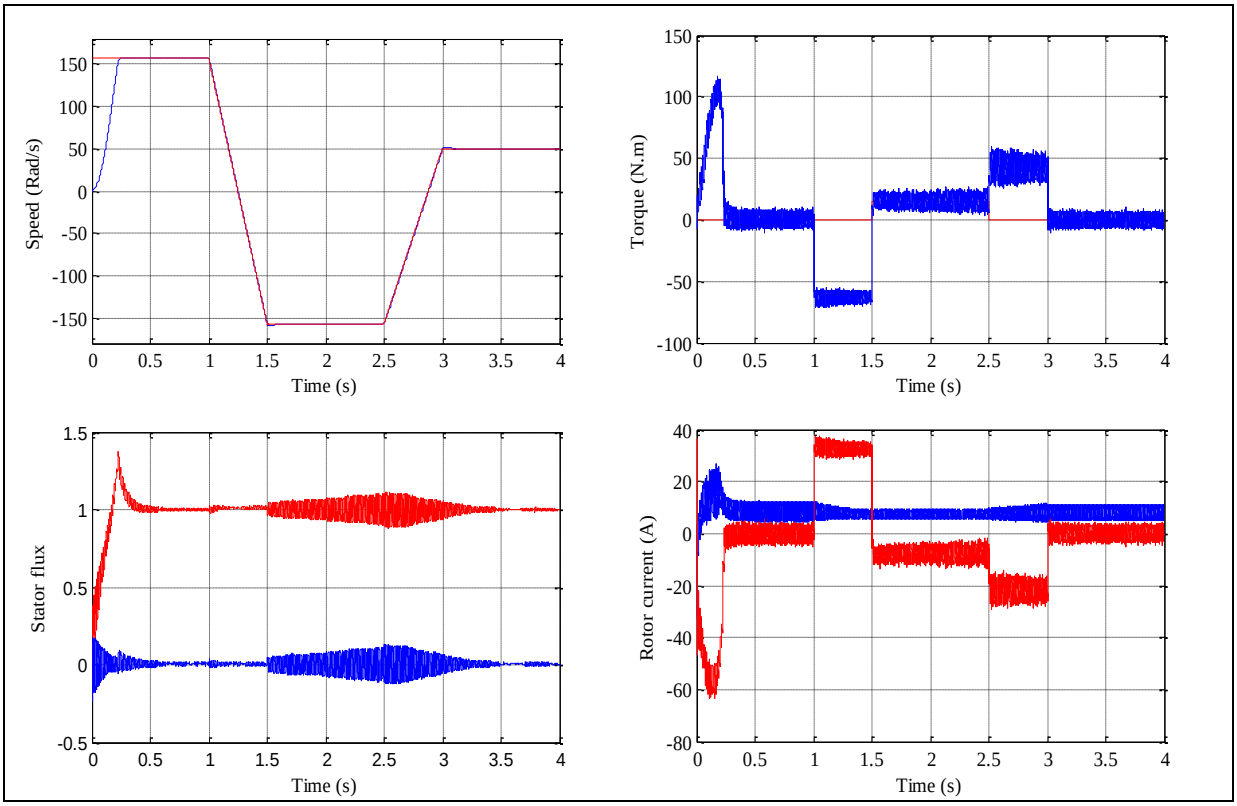


Figure 6: Simulation results when varying the speed.
Source: Authors, (2025).

V. CONCLUSIONS

The findings indicate that the fuzzy controller demonstrates superior performance, both in terms of tracking and regulation. The system has been engineered to ensure highly accurate tracking of the reference speed, with zero static error. In comparison with the PI structure, the fuzzy controller demonstrates a substantially reduced tracking error, thereby emphasising its optimal adaptation to the control. It is also observed that the stator flux orientation is perfectly achieved and that disturbances are effectively rejected. The fuzzy approach is distinguished by its superior performance in terms of speed deviations and disturbance rejection times. A thorough investigation was conducted into the evolution of rotational speed responses to variations, which culminated in the determination that the fuzzy controller exhibits superior performance. Despite these variations, its behavior in terms of tracking and regulation remains remarkable.

VI. APPENDIX

Table 2: Parameters of the DFIM.

Parameters	Value	Parameters	Value
Nominal power	$P_n = 4\ KW$	Nominal current	$I_n = 15/8.6\ A$
Stator voltage	$U_{sn} = 380\ V$	Nominal mechanical speed	$\Omega_n = 1440\ rpm$
Rotor voltage	$U_{rn} = 220\ V$	Nominal stator and rotor frequencies	$\omega_{sn} = 50\text{Hz}$
Pole pair number	$P = 2$	Rotor self inductance	$L_r = 0.1568\ H$
Stator resistance	$R_s = 1.2\ \Omega$	Mutual inductance	$M = 0.15\ H$
Rotor resistance	$R_r = 1.8\ \Omega$	Moment of inertia	$J = 0.2\ Kg.m^2$
Stator self inductance	$L_s = 0.1554\ H$	Friction coefficient	$f = 0.001\ IS$

Source: Authors, (2025).

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.
Methodology: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.
Investigation: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.
Discussion of results: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.
Writing – Original Draft: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.
Writing – Review and Editing: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.
Resources: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.
Supervision: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.
Approval of the final text: Herizi Abdelghafour, Abed Ahcene and Rouabhi Riyadh.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.227-239. November/December, 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2732

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

COMPARATIVE ANALYSIS OF NAÏVE BAYES AND SUPPORT VECTOR MACHINE ALGORITHMS FOR MEDIASTINAL AND LUNG CANCER CLASSIFICATION

Mohtar Yunianto*[1], Fuad Anwar[2], Esti Suryani[3]

[1,2]Physics Department, Universitas Sebelas Maret, Indonesia
[3]Informatics Department, Universitas Sebelas Maret, Indonesia

[1]https://orcid.org/0000-0003-3715-4989, [2]https://orcid.org/0009-0004-6177-8833, [3]https://orcid.org/0000-0003-3304-9022

Email: *mohtaryunianto@staff.uns.ac.id

ARTICLE INFO

Article History
Received: September 23, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Mediastinum,
Lung,
Cancer,
SVM,
Naïve Bayes,

ABSTRACT

Small Cell Lung Cancer (SCLC) is a lung cancer often found in the mediastinum and hilum of the lung, involving the lymph nodes. This condition often makes it difficult to differentiate between SCLC lung cancer and mediastinal lymphoma through radiological examinations, resulting in some cases showing SCLC lung cancer being misdiagnosed as mediastinal lymphoma. This study aims to create a classification model for both cancers based on digital image processing using 180 images of SCLC lung cancer and 180 images of mediastinal lymphoma cancer. The preprocessing stage includes a median filter and CLAHE, segmentation using Otsu thresholding, first-order and second-order statistical feature extraction and feature selection from both orders. Using grid search optimisation, classification was performed using Naïve Bayes and Support Vector Machine. The results showed the highest accuracy in Naïve Bayes with an accuracy of 98.61%, while Support Vector Machine produced a testing accuracy of 99.16%.

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I. INTRODUCTION

The human body naturally regulates cell growth and regenerates cells as needed. However, cell growth can become uncontrolled under certain conditions, forming a mass of cells called a tumour. Tumours are divided into two types: benign tumours, which are not cancerous, and malignant tumours, which are cancerous. Lung tumours are abnormal cell growths that develop in the lungs. These tumours can be benign or malignant [1]. Meanwhile, mediastinal tumours are abnormal cell growths in the area between the right and left lungs [2]. Tumours in the mediastinum can be benign or malignant [3]. Lung and mediastinal cancers are the leading cause of death, accounting for 12.9 per cent of all cancer cases [4]. Lung and mediastinal cancers are located very close together [5]. Therefore, a correct diagnosis is crucial to distinguish between the two. These two cancers' treatment, prognosis, and medication differ significantly. Therefore, a correct diagnosis is necessary because it can affect patient survival [6],[7]. Small Cell Lung Cancer (SCLC) is a lung cancer often found in the mediastinum and hilum of the lung [8].

This cancer involves the lymph nodes, causing swelling in the nodes [9]. Lymphoma is a cancer that arises in the lymphatic system and can cause enlargement of the lymph nodes [10],[11]. Lymphoma cancer can develop in the mediastinum [12]. Based on the understanding of both cancers [13] stated that SCLC lung cancer resembles lymphoma cancer. In addition, the study also emphasised that distinguishing between SCLC lung cancer and lymphoma cancer is a challenge in diagnosis [14]. According to [15] stated the same thing, namely, that lymphoma cancer can resemble lung cancer. Thus, this causes difficulty in distinguishing between SCLC lung cancer and mediastinal lymphoma through radiological examination [16]. Occurred in diagnosing the disease in a patient. The patient who should have been diagnosed with Small Cell Lung Cancer (SCLC) [17] was instead diagnosed as mediastinal lymphoma. This was discovered because a biopsy was performed on the lymph nodes in the mediastinum. Meanwhile, the treatment and medication for the two cancers were different. In addition, another study [9] also showed a similar case, an error in diagnosis based on the results of a radiological

examination, a patient who should have been diagnosed with Small Cell Lung Cancer (SCLC) lung disease, was instead diagnosed as mediastinal lymphoma. This error was discovered when a biopsy and immunohistochemistry were performed. This error in diagnosis is very dangerous because it can affect the patient's survival. Therefore, a correct diagnosis is very important to ensure appropriate treatment. In this study, a Computer-Aided Diagnosis has been created to classify the two cancers, SCLC lung cancer and mediastinal lymphoma cancer, through CT-scan image analysis, so that it can assist radiologists in diagnosing. This article focuses on classifying SCLC lung cancer and mediastinal lymphoma. The image data used in this study is secondary. Two classification methods were employed: Support Vector Machine and Naïve Bayes. Compared to previous studies, both methods have achieved relatively high accuracy when classifying lung cancer.

II. THEORETICAL REFERENCE

Based on literature searches and previous research, very few studies have researched the classification between SCLC lung cancer and mediastinal lymphoma cancer. In this section, previous research and theoretical references related to the research conducted by the author are presented. In previous research, [18] explained the detection and classification of lung cancer data using the method, namely Support Vector Machine. The image data was taken from the UCI machine learning dataset, and the accuracy results obtained were 95.56%. Classification related to lung cancer from CT images was carried out, and the results were 90.9% using Support Vector Machine classification and a median filter for the pre-processing stage [19]. In [20] obtained an accuracy result of 96.7% by applying GLCM as an extraction feature, a median filter for pre-processing, and a Support Vector Machine to classify it. Meanwhile, the image data was taken from Kaggle. [21] used the Naïve Bayes classification method, and the accuracy results were 95%. Support Vector Machine and Naïve Bayes classification using lung cancer data, the accuracy results obtained using Support Vector Machine were 87% and for Naïve Bayes were 89% [22].

For [23] Also conducted research on lung cancer images by comparing several classification methods, including Naïve Bayes and Support Vector Machine. The results obtained from Support Vector Machine and Naïve Bayes classification were 92.6% and 90.3%. According [24] looked for the accuracy of several classification methods used in lung cancer. The results obtained in Support Vector Machine classification were 99.2% and 87.87% for Naïve Bayes. According to [25] used a variety of filtering stages (low-pass filter, median filter, and high-pass filter) to find the best accuracy results. Then, Otsu thresholding was carried out for segmentation, GLCM was used for feature extraction, and Naïve Bayes was used in classification. The accuracy results obtained were 88.33%. In [26] obtained 97% accuracy with Naïve Bayes classification, median filter, and feature extraction using a combination of 1st and 2nd order. According to [27] obtained the highest accuracy of 96.9% with Support Vector Machine compared to other classifiers, such as ANN, 94.6%. Initially, the image was cropped to the same size and filtered with a high-pass filter. In addition, segmentation was carried out using Otsu thresholding, feature extraction using HOG extraction, and 1st and 2nd order statistics.

III. MATERIALS AND METHODS

The materials used in this study are data from CT scans in DICOM format, which will then be converted into a JPG extension. The dataset used in this study is an image obtained from (https://nbia.cancerimagingarchive.net/nbia-search/). The dataset is a digital image of SCLC lung cancer. The mediastinal lymphoma cancer dataset was obtained from the IEEE DataPort (https://ieee-dataport.org/). This study was conducted to create a classification that functions to distinguish between SCLC lung cancer and mediastinal lymphoma. The data used is 360 image data, consisting of SCLC lung cancer and mediastinal lymphoma data. Each image has 180 images. The K-fold cross-validation method will be used to divide the training data and the test data.

The method used in this research is statistical computing, which will be carried out using MATLAB R2018a software. The research will begin by preparing the image data to be processed and changing the format from DICOM to JPG using MicroDicom DICOM Viewer 2024.2 x64 software. Then, processing SCLC lung cancer and mediastinal lymphoma image data is carried out through several stages. In the first stage, the image processing process begins with preprocessing, which includes several steps: grayscaling, median filter, and contrast-limited adaptive histogram equalisation (CLAHE). The segmentation process is carried out in the next stage with Otsu thresholding.

After segmentation, the pattern recognition stage is carried out by extracting 1st and 2nd order statistical features and selecting combination features between 1st and 2nd order statistics. The extraction of 1st-order features totals eight features and 14 features of 2nd-order statistics. The division of training data images and test data will use the k-fold cross-validation technique. To optimize model performance, hyperparameter tuning is used. Hyperparameter tuning aims to obtain the best hyperparameters to produce optimal training and testing accuracy. Two classifiers were used in this study: Naïve Bayes and Support Vector Machine classification. Classification determines whether the input image belongs to the SCLC lung cancer or mediastinal lymphoma cancer class. Classification is the final stage in this study.

II.1 PREPROCESSING

In the preprocessing stage, the image is improved by filtering, a median filter [25]. However, before filtering, the image will be grayscaled, which functions to change the image from RGB to grayscale [28],[29]. After the median filter is applied, the next step is to use CLAHE [30] to improve the image contrast.

II.2 SEGMENTATION

The Otsu Thresholding segmentation process method will be used. The Otsu Thresholding method is a method that will determine the threshold value automatically [31]. The Otsu Thresholding method is an image segmentation method with a fast, adaptive, and effective computational process [32]. This Otsu Thresholding segmentation is carried out by converting a grayscale digital image into a binary image based on an automatic threshold value according to the pixel colour in the image.

II.3 FEATURE EXTRACTION

Feature extraction is necessary to facilitate the classification process. The function of feature extraction is to determine several variables contained in the image [33]. Therefore, the classification process will take data from the feature extraction. In this study, two feature extractions will be carried out: First-Order Statistics with eight features and Second-Order Statistics with 14 features [34].
Eight feature parameters will be used in the first-order statistical feature extraction:

1. Entropy
   Entropy measures how irregular or complex the shape of the image is [35]:

$$F = -\sum_{n=0}^{N} p(f_n)\, log_2\, p(f_n) \tag{1}$$

2. Mean
   The mean indicates the measure of dispersion of an image [35]:

$$F = \sum_{n=0}^{N} f_n\, p(f_n) \tag{2}$$

3. Variance
   Variance is a measure of how much the pixel values in an image histogram vary [35]:

$$F = \sum_{n}(fn - \mu)^2 P(fn) \tag{3}$$

4. Skewness
   Skewness indicates the relative degree of skewness of the histogram curve of an image [35]:

$$F = \frac{1}{\sigma^3}\sum_{n=0}^{N}(f_n - \mu)^3 p(f_n) \tag{4}$$

5. Kurtosis
   Kurtosis indicates the relative degree of sharpness of the histogram curve of an image [35]:

$$F = \frac{1}{\sigma^4}\sum_{n=0}^{N}(f_n - \mu)^4 p(f_n) - 3 \tag{5}$$

6. Smoothness
   Smoothness describes the smoothness of the image surface [36]:

$$F = 1 - \frac{1}{1+variance} \tag{6}$$

7. Energy
   Energy indicates how much the brightness level varies [36]:

$$F = \sum_{i=0}^{N-1}\big(p(f_n)\big)^2 \tag{7}$$

8. Standard Deviation
   Standard Deviation is a measure that shows how far the pixel values in an image are spread from their mean value [36]:

$$F = \sqrt{F = \sum_{n}(fn - \mu)^2 P(fn)} \tag{8}$$

The second-order statistical feature extraction parameters, or GLCM, used in this study are 14 features. These features are all taken from Robert Haralick's Second-Order features [37].

1. Energy
   Measures the strength of texture or uniformity in an image. The higher the energy value, the more uniform the image texture.

$$F = \sum_{i}\sum_{j}\{p(i,j)\}^2 \tag{9}$$

2. Contrast
   Measures the difference in intensity between a pixel and its neighbours across an image.

$$F = \sum_{n=0}^{N_g-1} n^2 \left\{\sum_{i=1}^{N_g}\sum_{j=1}^{N_g} p(i,j)\right\}_{|i-j|=n} \tag{10}$$

3. Correlation
   Calculates how correlated a pixel is with its neighbours across the image.

$$F = \frac{\sum_i\sum_j (i,j)p(i,j) - \mu_x\mu_y}{\sigma_x\sigma_y} \tag{11}$$

4. Variance
   Measures the spread or variation of pixel intensities from the mean value.

$$F = \sum_i \sum_j (i-\mu)^2 p(i,j) \quad (12)$$

5. Homogeneity
   Calculates the proximity of element distributions between GLCM diagonals.

$$F = \sum_i \sum_j \frac{1}{1+(i-j)^2} p(i,j) \quad (13)$$

6. Sum Average
   Measures the average intensity value of the elements in the GLCM.

$$F = \sum_{i=2}^{2N_g} iP_{x+y}(i) \quad (14)$$

7. Sum Variance
   Measures the variation of the intensity in GLCM.

$$F = \sum_{i=2}^{2N_g} \left(i - F_{sum\ entropy}\right)^2 P_{x+y}(i) \quad (15)$$

8. Sum Entropy
   Measures the degree of irregularity in the distribution of GLCM values.

$$F = -\sum_{i=2}^{2N_g} P_{x-y}(i) log\{P_{x-y}(i)\} \quad (16)$$

9. Entropy
   Measures the degree of randomness or complexity of a texture.

$$F = -\sum_i \sum_j p(i,j) log\big(p(i,j)\big) \quad (17)$$

10. Difference Variance
    Measures the variation of the difference in intensity values in GLCM.

$$F = variance\ dari\ P_{x-y} \quad (18)$$

11. Difference Entropy
    Measures the complexity or irregularity of the differences in intensity values in GLCM.

$$F = -\sum_{i=0}^{N_g-1} P_{x-y}(i) log\{P_{x-y}(i)\} \quad (19)$$

12. Information Measures of Correlation I
    Measures the information relationship between pixels. This value measures the extent to which one pixel provides information about another pixel.

$$F = \frac{HXY - HXY1}{max\{HX,HY\}} \quad (20)$$

    Where HX and HY are the entropies of P_x and P_y

13. Information Measures of Correlation I
    Measures the variation of information correlation between pixels.

$$F = (1 - exp[-2.0(HXY2 - HXY)])^{1/2} \quad (21)$$

14. Maximal Correlation Coefficient
    Measuring the maximum correlation coefficient in GLCM.

$$F = (nilai\ eigen\ terbesar\ kedua\ dari\ Q)^{1/2} \quad (22)$$

$$Q(i,j) = \sum_k \frac{p(i,k)p(j,k)}{p_x(i)p_y(k)} \quad (23)$$

After the 1st and 2nd order feature extraction processes are completed, feature selection will be done to select the most relevant features from both orders. Thus, varying accuracy results will be obtained based on the type of feature extraction used, namely, 1st order statistical extraction (8 features), 2nd order statistical extraction (14 features), or feature selection results from a combination of 1st and 2nd order statistics. This study aims to determine which feature extraction produces the best model performance accuracy for classification, whether using 1st order statistical features, 2nd order features, or a combination of selection results from both.

II.4 K-FOLD CROSS VALIDATION

K-Fold Cross Validation is a method used to evaluate model performance more accurately by dividing the dataset into several parts or folds [38]. This technique helps ensure the model works well on a particular data set and consistently performs across various data subsets. The steps of K-Fold Cross Validation can be written as follows [39]:

1. Total data divided by the k value

2. The first fold will be the test data, and the remaining folds will be the training data. The training and testing accuracy results will be obtained.
3. Then, continue with the second fold as the test data; the other fold will become the training data. The results of the training and testing accuracy are obtained.
4. Continue until the kth fold. The average of each fold's training and testing accuracy will be the accuracy used.

II.5 HYPERPARAMETER TUNING

Hyperparameter tuning is finding the best values for parameters not learned directly from the data (called hyperparameters) so that the model can work optimally [40]. This process is important to improve the performance of the classification models that will be used, namely Naïve Bayes and Support Vector Machine. Each classification algorithm has different hyperparameters. In this study, the hyperparameter optimised for Naïve Bayes is DistributionNames, while the hyperparameter in Support Vector Machine is BoxConstraint. K-fold cross-validation is performed twice, also known as nested k-fold cross-validation. The first k-fold cross-validation is performed before the hyperparameter tuning process. Then, the second k-fold cross-validation is performed during hyperparameter tuning. The first k-fold cross-validation division results will be used as training data for hyperparameter tuning. A second k-fold cross-validation will be performed in the hyperparameter tuning process. The obtained model will be tested with the testing data from the first k-fold cross-validation division. The goal is to test on unseen data.

II.6 CLASSIFICATION

The classification stage is the final stage in this research, which aims to determine whether the input image belongs to the class of SCLC lung cancer or mediastinal lymphoma cancer. This research used two classification methods: Naïve Bayes [41] and Support Vector Machine. Naïve Bayes is a method based on Bayes' Theorem, assuming independence between features. Naïve Bayes' advantages lie in its ability to handle small datasets and fast computational speed. Meanwhile, Support Vector Machine is a classification method that finds the best hyperplane to separate data into two classes. By applying Naïve Bayes and Support Vector Machine methods, this study aims to compare the performance of these methods in classifying SCLC lung cancer and mediastinal lymphoma.

II.7 DATA ANALYSIS TECHNIQUES

The results of this study aim to evaluate the success rate of the various initial stages that have been carried out, including preprocessing, segmentation, feature extraction, and classification. Several variables will be used to measure the system's created performance: accuracy, specificity, and sensitivity [42].

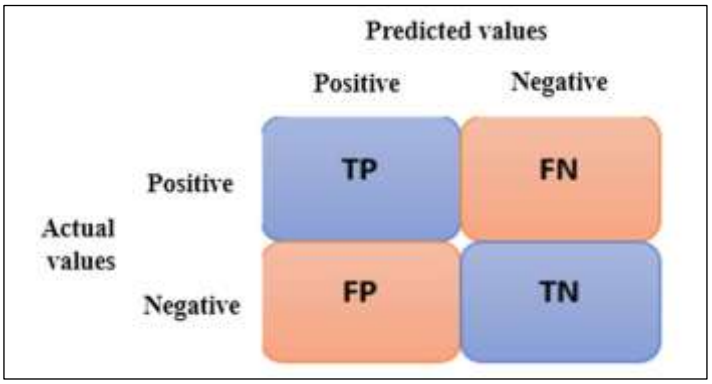


Figure 1: Confusion Matrix.
Source: [42].

$$Accuracy = \frac{TP+TN}{TP+FP+TN+FN} \quad (24)$$

$$Specificity = \frac{TN}{TN+FP} \quad (25)$$

$$Sensitivity = \frac{TP}{TP+FN} \quad (26)$$

Figure 1 shows the variables used in calculating accuracy, specificity, and sensitivity. Accuracy is the percentage of all correct predictions, both positive and negative. Specificity is the model's ability to identify negative cases correctly. Sensitivity is the model's ability to correctly identify positive cases [43].

IV. RESULTS AND DISCUSSIONS

IV.1 IMAGE PREPROCESSING

The preprocessing stage aims to improve image quality before entering the next process. This image quality improvement includes noise reduction to ensure more optimal analysis results. As a first step, the image is converted from RGB to grayscale format to simplify the data without reducing important information. After conversion, the grayscale image is processed using a median filter to reduce noise. The image results obtained in SCLC lung cancer through the preprocessing process, starting from inputting the image, grayscale, median filter, and CLAHE, are shown in Figure 2. Visually, there is no visible difference in the image from the initial input image, the grayscale,

and the median filter results. This contrasts with the resulting image from CLAHE, which is used to improve contrast, resulting in a visual difference from the previous image. A histogram analysis must determine the difference between the grayscale and the median filters. An image histogram shows pixel grey level values distribution in an image or a specific part. An image histogram is depicted as a graph that shows pixel intensity [44]. On the x-axis, the pixel intensity value is displayed, while the y-axis represents the number of occurrences of each intensity value [45].

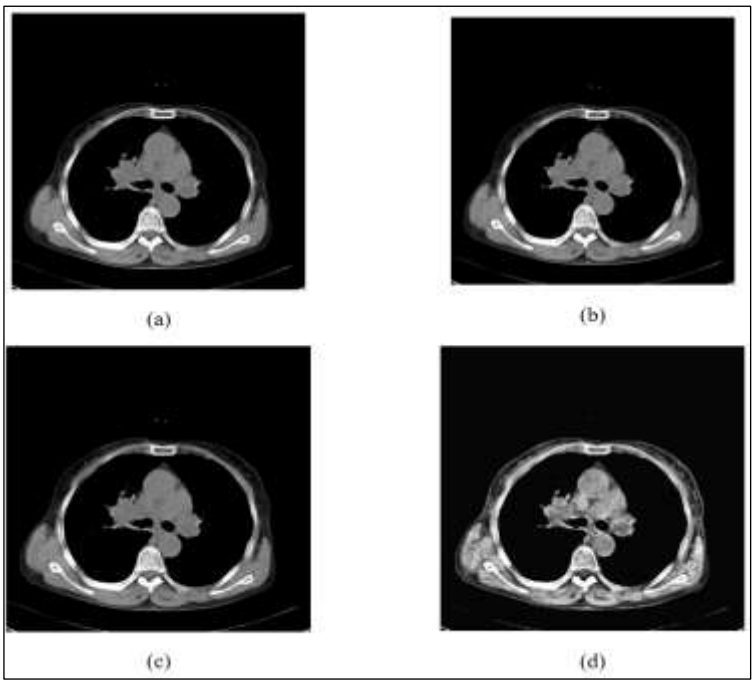


Figure 2: SCLC lung cancer: (a) input image, (b) grayscale image, (c) image.
median filter (d) CLAHE image.
Source: Authors (2025).

In the histogram of the SCLC lung cancer image using the median filter, pixel intensity is still dominant on the left, meaning the image has low contrast. Therefore, image enhancement is necessary to ensure good contrast. A good digital image has pixel intensity evenly distributed between 0 and 256, not predominantly on the left or right [46]. Meanwhile, the results of the preprocessing process for mediastinal lymphoma cancer are shown in Figure 3. The results of the grayscale image, median filter, and CLAHE are the same as those for the SCLC lung cancer image, which cannot be visually distinguished. Therefore, a histogram is needed to see the difference.

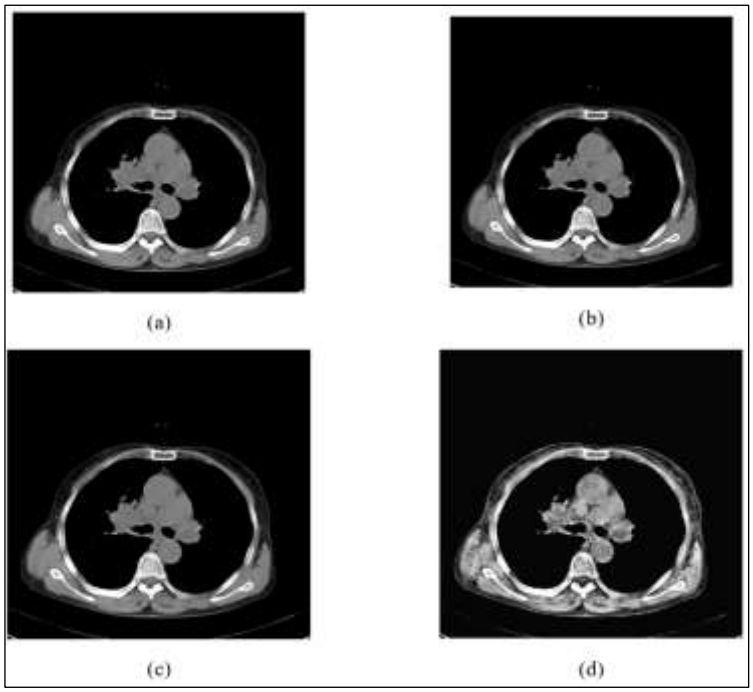
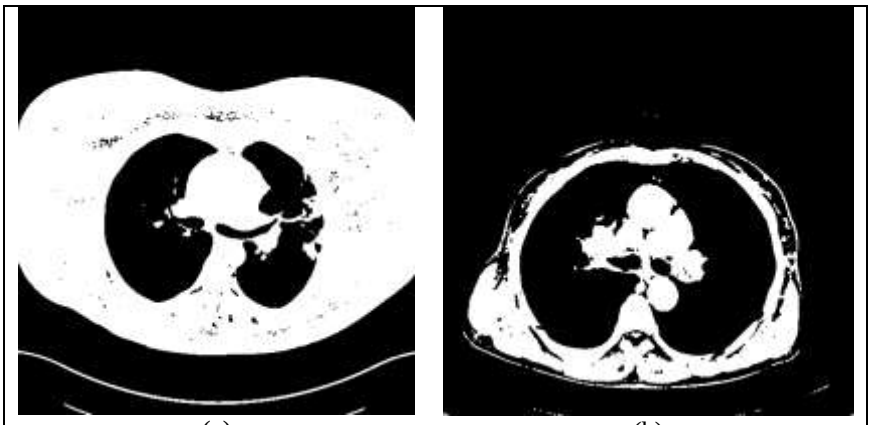


Figure 3: Mediastinal lymphoma cancer: (a) input image, (b) grayscale image, (c)
median filter image (d) CLAHE image
Source: Authors (2025).

IV.2 OTSU THRESHOLDING SEGMENTATION

After pre-processing, the image will be segmented using the Otsu Thresholding method. This method converts a grayscale image into a binary image or separates the background and foreground into black and white by referring to a predetermined threshold value. In the Otsu thresholding method, the threshold value is determined automatically, so it is unnecessary to determine it manually. Otsu thresholding aims to remove unnecessary parts during the feature extraction process. The segmentation results for SCLC lung cancer and mediastinal lymphoma images can be seen in Figure 4. The Otsu Thresholding segmentation results show that the mediastinum is entirely white. Meanwhile, some white areas in the lungs are present, particularly objects that were not removed during the filtering process. The purpose of Otsu Thresholding is to remove unnecessary elements before the feature extraction process.



(a) (b)

Figure 4: Otsu thresholding: (a) mediastinal lymphoma cancer, (b) lung câncer.
Source: Authors (2025).

IV.3 FEATURE EXTRACTION

Feature extraction aims to obtain the parameter values contained within the image. These values will be used as input for the classification process. This study will utilise first- and second-order feature extraction and selection.

IV.3.1 FIRST ORDER STATISTICS

First-order feature extraction contains eight features: Energy, Homogeneity , Dissimilarity , Mean , Variance , Standard Deviation , Skewness , and Kurtosis. In first-order feature extraction, each pixel has no relationship with the others, unlike second-order feature extraction, which has a relationship between neighbouring pixels. The results of first-order feature extraction on SCLC lung cancer and mediastinal lymphoma cancer images are presented in Table 1.

Table 1: First-order feature extraction for SCLC and lymphoma cancers.

First Order Features	SCLC cancer	Lymphoma Cancer
Mean	0.184822	0.410919
Standard Deviation	0.388153	0.492001
Entropy	0.690513	0.976981
Variance	0.150663	0.242066
Skewness	1.623987	0.362117
Kurtosis	3.637335	1.131128
Smoothness	0.130936	0.194898
Energy	0.184822	0.410919

Source: Authors, (2025).

IV.3.2 Second Order Statistics

There are 14 features in second-order statistical feature extraction, including Contrast , Correlation , Angular Second Moment , Sum of Squares (variance) , Inverse Difference Moment (homogeneity) , Sum Average , Sum Variance , Sum Entropy , Entropy , Difference Variance , Difference Entropy , Information Measures of Correlation I , Information Measures of Correlation II , and Maximal Correlation Coefficient . Second-order statistical features, called GLCM, are carried out in the angular direcions 0°, 45°, 90 °, and 135°. Table 2 shows the values of each feature extracted using second-order feature extraction on SCLC lung cancer images. In contrast, Table 3 shows the values of each feature from mediastinal lymphoma cancer images.

Table 2: Results of second-order feature extraction in SCLC lung câncer.

Second Order Features	SCLC Lung Cancer			
	0°	45°	90°	135°
Angular Second Moment	0.6763	0.6618	0.6695	0.6611
Contrast	0.0250	0.0402	0.0324	0.0410
Correlation	0.9161	0.8655	0.8915	0.8630
Variance	0.4263	0.4118	0.4195	0.4111
Homogeneity	0.9874	0.9798	0.9837	0.9794
Sum Average	1.9874	1.9795	1.9835	1.9792
Sum Variance	3.7020	3.5663	3.6342	3.5600
Sum Entropy	0.0796	0.1178	0.0984	0.1196
Entropy	0.5866	0.6344	0.6104	0.6365
Difference Variance	0.2408	0.2355	0.2382	0.2352
Difference Entropy	0.0796	0.1178	0.0984	0.1196
Information Measures of Correlation I	-0.7677	-0.6678	-0.7169	-0.6633
Information Measures of Correlation II	0.7201	0.6864	0.7035	0.6847
Maximal Correlation Coefficient	0.9161	0.8551	0.8915	0.8630

Source: Authors (2025).

Table 3: Results of second-order feature extraction in mediastinal lymphoma câncer.

Second Order Features	Mediastinal Lymphoma Cancer			
	0°	45°	90°	135°
Angular Second Moment	0.4846	0.4727	0.4801	0.4692
Contrast	0.0274	0.0400	0.0322	0.0437
Correlation	0.9438	0.9182	0.9339	0.9104
Variance	0.2346	0.2227	0.2301	0.2192
Homogeneity	0.9862	0.9799	0.9838	0.9781
Sum Average	1.9863	1.9803	1.9838	1.9780
Sum Variance	3.6797	3.5682	3.6356	3.5371
Sum Entropy	0.0859	0.1175	0.0983	0.1264
Entropy	0.8071	0.8495	0.8238	0.8612
Difference Variance	0.2400	0.2356	0.2383	0.2344
Difference Entropy	0.0859	0.1175	0.0983	0.1264
Information Measures of Correlation I	-0.8160	-0.7543	-0.7915	-0.7370
Information Measures of Correlation II	0.8193	0.8016	0.8124	0.7963
Maximal Correlation Coefficient	0.9438	0.9181	0.9339	0.9104

Source: Authors (2025).

IV.4 SELECT THE FORWARD SELECTION FEATURE

Feature selection aims to achieve optimal accuracy results from features in first- and second-order statistics. Forward Selection will search for features relevant to learning and eliminate distracting features to achieve optimal accuracy results. From 22 features consisting of first- and second-order statistical features, several features with good performance for the model will be selected. The Forward Selection method adds features one by one to the model. First, the model will try with each feature. Then, the highest test result will be taken and continued by adding one more feature until the test accuracy results stop increasing or decreasing. The feature selection process for Naïve Bayes and Support Vector Machines uses the angle that produces the highest second-order test accuracy. Naïve Bayes uses the angle. 45°, While Support Vector Machine uses 0^0. The angle is specifically for second-order feature selection. These results indicate relevant features, resulting in good model performance.

With history. In the feature selection process, you can see which features are relevant to model performance. A value of 0 indicates that the feature produces poor model performance, while 1 indicates the opposite. In the first row, experiments were conducted with each feature from feature 1 to feature 22. The results showed that feature 21, Information Measure of Correlation II, was the best among the 22 features. The Forward Selection method will add one more feature and check the value of the cross-validation loss, which can be seen by calling history. Crit. A smaller value indicates a better result. The feature selection process with Forward Selection stops when the obtained feature is feature 21. This is because, when feature 21 is added again with features 1 to 22, except for feature 21, the cross-validation loss is not as small as when only using feature 21, so the forward selection process stops.

IV.5 K-FOLD CROSS VALIDATION

Before the classification stage, the data must be divided into training and testing data. One effective method for dividing the data is K-Fold Cross-Validation. An RNG is necessary to ensure consistent results on each run. The data division can change with each run without setting the seed using an RNG, resulting in varying accuracy values.

IV.6 HYPERPARAMETER TUNING

Hyperparameter tuning determines the optimal combination in each fold to produce the best model performance. The method used in this study is grid search. With this method, all available combinations are tested. Grid search cross-validation will validate each combination of model and hyperparameter automatically. K-fold cross-validation is performed twice, the first before the hyperparameter

tuning process. The data is divided using k-fold cross-validation to obtain training and testing data. Then, in the hyperparameter tuning process, a second k-fold cross-validation will be performed, but only using the training data from the first k-fold cross-validation. In contrast, the testing data from the k-fold cross-validation will be used to evaluate the model performance resulting from hyperparameter tuning in each fold. In this study, the Box Constraint is the hyperparameter to be optimised on the Support Vector Machine. The number of combinations of BoxConstraint to be optimised is 10.

The resulting combination is 10, because it is by NumGridDivision. NumGridDivision will determine the number of values used in each dimension during the combination search process. Suppose the number of hyperparameters used is more than one. In that case, the resulting combination will increase according to the equation: NumGridDivision raised to the power of the number of hyperparameters. In this study, one hyperparameter was used so that the number of combinations is 10^1. If more than one hyperparameter is used, the number of combinations will increase according to the equation: NumGridDivision raised to the power of the number of hyperparameters.

Iter	Eval result	Objective	Objective runtime	BestSoFar (observed)	BoxConstraint
1	Best	0.0625	0.092911	0.0625	10
2	Accept	0.079861	0.074727	0.0625	0.021544
3	Accept	0.31944	0.085359	0.0625	0.001
4	Best	0.059028	0.064835	0.059028	2.1544
5	Accept	0.0625	0.082819	0.059028	0.46416
6	Accept	0.0625	0.1479	0.059028	215.44
7	Accept	0.10764	0.22794	0.059028	0.0046416
8	Accept	0.076389	0.12653	0.059028	0.1
9	Accept	0.059028	0.11921	0.059028	1000
10	Accept	0.059028	0.090275	0.059028	46.416

Figure 5: Process of finding the best BoxConstraint value
Source: Authors (2025).

Iter indicates how many combinations have been tried. In Figure 5, 10 combinations have been tried, and the best value is obtained by referring to the Eval Result column. Eval Result Best means the Box constraint value is good, while Accept means the Box constraint value is accepted, but not as good as Best. To determine the best or acceptable result in the evaluation, the model will determine the cross-validation loss value; the smaller the value, the more optimal the resulting performance will be. The cross-validation loss value can be written in the Objective column. Meanwhile, the Objective Runtime column shows the time required to calculate the objective function value in one iteration. The BestSoFar value will not change if the Objective value is not better than the previous one or not smaller.

The BoxConstraint column contains the values used to test the model. When the hyperparameter tuning process to find the BoxConstraint value is complete, a description appears as in Figure 6. It is written that MaxObjectiveEvaluations is the maximum number of times to evaluate the value of the Objective, or can be said to be an iteration, as is the total function evaluation. Total Elapsed Time is the total time required to complete the optimisation process in one fold. Meanwhile, Total Objective Function Time is the total time used to evaluate the Objective function during optimisation. Then, the best BoxConstraint value appears in that fold. For the SVM in the corresponding fold in Figure 7, the BoxConstraint value is 2.1544.

```
Optimization completed.
MaxObjectiveEvaluations of 10 reached.
Total function evaluations: 10
Total elapsed time: 2.6654 seconds.
Total objective function evaluation time: 1.1125

Best observed feasible point:
    BoxConstraint
    _____________

       2.1544

Observed objective function value = 0.059028
Function evaluation time = 0.064835
```

Figure 6: Results of the Support Vector Machine hyperparameter tuning process.
Source: Authors (2025).

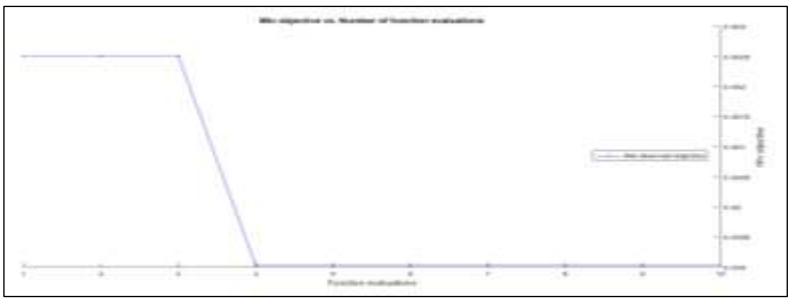


Figure 7: Graphic depiction of finding the BoxConstraint value.
Source: Authors (2025).

For the simulation in the graph shown in Figure 7. The X-axis is the evaluation function, while the Y-axis represents the minimum objective value. In the first iteration, the minimum objective value is 0.0625, which is the Best until the 3rd iteration. Still, in the 4th iteration, the objective value is updated to 0.059028. A smaller Best value indicates better model performance.

```
|=====================================================================|
| Iter | Eval   | Objective   | Objective   | BestSoFar   | Distribution-|
|      | result |             | runtime     | (observed)  | Names        |
|=====================================================================|
|    1 | Best   |   0.0069444 |      0.1069 |   0.0069444 |       normal |
|    2 | Accept |    0.010417 |     0.13822 |   0.0069444 |       kernel |


Optimization completed.
MaxObjectiveEvaluations of 2 reached.
Total function evaluations: 2
Total elapsed time: 1.0447 seconds.
Total objective function evaluation time: 0.24513

Best observed feasible point:
    DistributionNames
    _________________

         normal

Observed objective function value = 0.0069444
Function evaluation time = 0.1069
```

Figure 8: The process of finding the best DistributionNames.
Source: Authors (2025).

Meanwhile, Naïve Bayes is a DistributionNames method with two combinations for hyperparameters: Normal or Kernel. Therefore, the Grid Search method will try all of them if the hyperparameter is categorical. The process involves finding the most suitable distribution for each extracted feature between Normal and Kernel. The results obtained from this Naïve Bayes hyperparameter process are the same as those obtained from SVM. Figure 8 shows that the resulting table is the same, except that the last column determines the distribution type. The Naïve Bayes hyperparameter is in the fold, which shows that the best distribution is Normal with a lower Objective value than Kernel.

IV.7 IMAGE CLASSIFICATION RESULTS

The classification stage in this study uses the Naive Bayes method and the Support Vector Machine. The classification process is carried out in three stages: first-order statistical feature extraction, second-order statistical feature selection, and combining the two orders. The model obtained through the hyperparameter process will be used for testing on the test data. The training and testing accuracy results are calculated from the average of five folds. In addition to using accuracy as a model evaluation metric, there are two other metrics: sensitivity and specificity. The value of these metrics can be obtained with the confusion matrix because the confusion matrix produces four variables: TP, FP, TN, and FN. These four variables can be used to calculate the value of accuracy, sensitivity, and specificity. The accuracy, sensitivity, and specificity results are shown in Tables 4 to 7.

Table 4: First-order results: accuracy, sensitivity, and specificity.

Result	Naive Bayes		Support Vector Machine	
	training results	test results	training results	test results
Accuracy	93.33%	92.50%	92.22%	92.22%
Sensitivity	92.36%	91.67%	92.78%	92.78%
Specificity	94.31%	93.33%	91.67%	91.67%

Source: Authors (2025).

Table 5: Results of second-order training: accuracy, sensitivity, and specificity.

Result	Naive Bayes				Support Vector Machine			
	0	45	90	135	0	45	90	135
Accuracy	98.13%	97.85%	97.50%	97.50%	99.44%	99.24%	98.89%	99.17%
Sensitivity	99.86%	99.44%	97.36%	99.03%	99.31%	98.47%	97.78%	98.61%
Specificity	96.39%	96.25%	97.64%	95.97%	99.58%	100%	100%	99.72%

Source: Authors (2025).

Table 6: Results of second-order testing: accuracy, sensitivity, and specificity.

Result	Naive Bayes				Support Vector Machine			
	0	45	90	135	0	45	90	135
Accuracy	97.50%	97.78%	96.39%	96.67%	98.89%	98.33%	98.61%	98.06%
Sensitivity	100%	98.89%	97.22%	98.33%	98.33%	97.22%	97.22%	97.22%
Specificity	95.00%	96.67%	95.56%	95.00%	99.44%	99.44%	100%	98.89%

Source: Authors (2025).

Table 7: Feature selection results: accuracy, sensitivity, and specificity

Result	Naive Bayes		Support Vector Machine	
	training results	test results	training results	test results
Accuracy	98.95%	98.88%	99.23%	99.16%
Sensitivity	98.05%	97.77%	98.47%	98.33%
Specificity	99.86%	100%	100%	100%

Source: Authors, (2025).

The best accuracy results from the Support Vector Machine were obtained using the feature selection method, namely 99.23% for training and 99.16% for testing results. The feature generated from the feature selection method in the Support Vector Machine is the Information Measure of Correlation II. Meanwhile, the accuracy results of Naïve Bayes were also obtained in feature selection with a training accuracy of 98.95% and a testing accuracy of 98.88%. The feature selection results in the Naïve Bayes algorithm are the Information Measure of Correlation II and Variance. Thus, the Support Vector Machine algorithm is better when compared to the Naïve Bayes algorithm. The results obtained were evaluated using test data that had never been seen, and there were no signs of overfitting or underfitting from the model performance. Thus, this model is good even though no previous research has been used as a benchmark.

V. CONCLUSIONS

This study obtained the training and testing accuracy results of both classifications. The Support Vector Machine classification has better model performance than Naïve Bayes. The highest Support Vector Machine accuracy results were obtained using feature selection with a training accuracy of 99.23% and a testing accuracy of 99.16%. In comparison, the Naïve Bayes accuracy results were obtained using feature selection with a training accuracy of 99.44% and a testing accuracy of 98.61%. The relevant features to the Support Vector Machine model are Information Measure of Correlation II and Variance, while the relevant feature for Naïve Bayes is Information Measure of Correlation II.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Mohtar Yunianto
Methodology: Mohtar Yunianto and Fuad Anwar
Investigation: Esti Suryani
Discussion of results: Mohtar Yunianto, Fuad Anwar and Esti Suryani.
Writing – Original Draft: Mohtar Yunianto
Writing – Review and Editing: Fuad Anwar and Esti Suryani.
Resources: Fuad Anwar
Supervision: Fuad Anwar and Esti Suryani.
Approval of the final text: Mohtar Yunianto, Fuad Anwar and Esti Suryani.

VII. ACKNOWLEDGMENTS

The author would like to thank LPPM UNS for providing funding through the 2025 Fundamental Research Grant with contract Number 369/UN27.22/PT.01.03/2025.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.240-247. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2734

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

MACHINE LEARNING MODELS ANALYSIS USING MULTI-FACTORS FOR HEART ATTACK RISK PREDICTION

Rahul Nigam*[1], Hare Ram Jha[2] and Ravi Ranjan[3]

[1, 2] EC Department, Medicaps University, Indore, Madhya-Pradesh, India.
[3] CS Department, Muzaffarpur Institute of Technology, Muzaffarpur, Bihar, India.

[1]http://orcid.org/0000-0001-8555-5731, [2]http://orcid.org/0000-0002-5547-0523, [3]http://orcid.org/0009-0000-5631-6555

Email: *transferrn@gmail.com, hrjha.ece@gmail.com, ravi.bce.bit@gmail.com

ARTICLE INFO

Article History
Received: September 24, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Machine Learning,
Heart Attack,
Supervised ML,
Risk Prediction,
Nural Network.

ABSTRACT

In human population heart attacks is a leading cause of dying in world, so the need of accurate and timely risk assessment strategies is critically required. This comparative study presents an analysis of heart attack risk prediction by applying different machine learning methods such as Logistic Regression, Decision Tree, Random Forest etc. These methods were trained the model by using dataset of clinical features and then tested. The prediction of heart attack show based on various parameters such as accuracy, precision, recall, F1 score, training time, ROC-AUC, and interpretability. The prediction results indicates that XGBoost and Random Forest with selected top features provide higher predictive accuracy score of 98.49% and 99.01%. Decision trees provide faster processing and neural networks model give complex relationships. These models comparatively less stable and require greater resources. This study shows that the application of different machine learning techniques with appropriate feature selection as an effective solution for prediction of heart attack risk.

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I. INTRODUCTION

The human heart is a very important organ of body and it is responsible for flowing blood through the systemic and pulmonary circulations, supplying tissues with oxygen and essential nutrients. Cardiovascular diseases (CVDs) represent a special type of pathologies affecting the heart and blood flow system. It also includes coronary artery problem, cerebrovascular accidents, Surrounding artery problem, rheumatic heart problems. When flow of blood block due to blood clot, resulting in block oxygen to cardiac tissues it is an emergency condition and timely treatment is very critical. The arterial blockage occurs because of accumulation semisolid mass and blood thicken. Heart diseases, also known as CVDs are the main cause of death around the world. In 2019, nearly 18 million people died from these diseases, which is about one out of every three deaths globally. Most of these deaths around 85% were caused by heart attacks and strokes. Unfortunately, more than three-quarters of these deaths happen in countries with lower or middle incomes, where healthcare resources may be limited. Among people who die prematurely (before age 70) from noncommunicable diseases, about 38% die because of heart-related problems.

In India, the risk of having a heart attack is much higher compared to many other parts of the world. In India a large portion of the deaths caused by heart attack. High blood pressure is one of the biggest risk factors for heart attack, especially in India. The number of people dying from heart diseases in India has been rising rapidly from about 2.26 million deaths in 1990 to nearly 4.8 million deaths in 2020 [1]. Studies show that coronary heart disease affects between 1.6% and 7.4% of people living in rural areas, while in cities, it affects between 1% and 13.2% of the population [2]. A heart attack is a very critical medical emergency where timely treatment is very essential. Even a small delay in treatment can cause to an irrecoverable damage to the heart or result in destructive outcomes. The ability to know the risk of cardiovascular disease is very important for these reasons. To do this it is require to know about the accurate individual risk profiles, so more effective diagnostic, and treatment possible that cure patient with reduce healthcare costs. Furthermore, the early identification of heart conditions can decrease the risk of myocardial infarction.

II. RISK FACTORS

Most heart diseases can be cure by early detection or prediction by using risk factors, so proper management can be possible. These factors include use of tobacco, unhealthy diet routine, obesity, physical inactivity hours, excessive alcohol consumption and sometimes air pollution.

II.1 AGE AND GENDER

The risk of heart attack increases with increase in age. With men this risk becomes more after the age of 45 while in women it generally rises after the age of 50.

II.2TOBACCO CONSUMPTION

Smoking and consumption of tobacco products are major contributors to cardiovascular disease. Discontinuing use of tobacco has reduces the risk of heart attack.

II.3 HIGH BLOOD PRESSURE

Hypertension can damage coronary arteries, result in interrupt blood flow to the heart. This risk is further increase with other conditions like obesity, raised cholesterol levels or diabetes.

II.4 CHOLESTEROL AND TRIGLYCERIDES

Raise level of LDL (bad cholesterol) can blocked blood vessels. Similarly, high triglyceride levels increase risk. Oppositely, normal levels of HDL (good cholesterol) can lower the chance of heart attack.

II.5 OBESITY

Too much body weight with high blood pressure, diabetes, high triglycerides amount, LDL and low value of HDL increase the heart attack probability.

II.6 DIABETES

In this condition either human organs does not produce enough insulin or may be not utilise it effectively. Both situations increasing heart attack risk.

II.7 METABOLIC SYNDROME

A situation of increase in abdominal fat, high BP, low HDL, raise triglycerides level and diabetes create metabolic syndrome, which doubles the risk of heart disease.

II.8 FAMILY HISTORY

If a close relative suffered from heart attack (early age) may increase heart attack risk.

II.9 PHYSICAL INACTIVITY

Having a sedentary lifestyle is tend towards a higher chance of heart attacks. Regular physical activity helps to improve heart health condition.

II.10 UNHEALTHY DIET

Diet with high sugars, saturated fats, fast foods, low fibre foods and lack nutrition foods are strongly leads to increase risk of heart attack. Oppositely, a balanced diet with fruits, vegetables, whole grains, and high fibre foods leads to support heart health.

II.11 STRESS

Stress either in body or mental, particularly involving intense anger or anxiety, can increase the risk of high BP and high heart rate, ultimately leads towards a heart attack condition.

II.12 DRUG USE

The use of certain substances such as alcohol, cocaine, and other stuff, can affect coronary artery or block the flow of blood into and out from the heart and set off a condition of heart attack.

II.13 AUTOIMMUNE DISEASES

Conditions like rheumatoid arthritis or lupus are increasing risk of heart attacks.

III. REVIEW OF MACHINE LEARNING APPLICATIONS IN HEART DISEASE DETECTION AND PREDICTION

Recent developments shows that an early identification and management of heart disease plays an important role. According to [3] introduced an application that combines algorithmic decision-making with real-time sensor data that allow physicians to monitor patients continuously. The system also has live video streaming facility and sends alerts to doctors via GSM technology, when a monitored parameter exceeds from reference limit. In another work, developed a diagnostic system using heart disease datasets to classify individuals and convey the classification process [4]. Similarly, explored heart disease attributes using several supervised classification methods. Their dataset consisted of 303 records and 76 features, from these 14 important attributes selected to improve accuracy of model [5]. For previous authors, conducted a detailed survey of existing work in heart disease prediction. They give review in three broad areas: traditional classification and data mining methods, contemporary statistical learning models and emerging deep learning techniques [6]. Employed models such as logistic regression and K-Nearest Neighbors to improve accuracy for heart attacks prediction. They show these models can also support decision making in process [7].

Performed a comparative study using the UCI Heart Disease dataset, this study includes 14 critical features. They used deep learning model to demonstrate predictive capability with 94.2% accuracy and suggesting practical applications in GSM based health monitoring systems [8]. According to [9], examined multiple heart disease risk factors and compared the predictive performance of various statistical models [9]. Introduced a clustering-based approach using k-modes with Huang initialization to improve classification accuracy. They used multiple models and the result shows that MLP model achieved the best performance with an accuracy of 87.28% [10]. According to [11], proposed a healthcare monitoring that integrates sensor-based physiological data and clinical records stored in the cloud. The system employed a Bi-Directional Long Short-Term Memory model and achieved an impressive 98.86% accuracy, outperforming other heart disease prediction methods. In a related study, [12] designed a diagnostic model for Coronary-Artery-Disease using Recurrent Convolutional Neural Networks (RCNN), aimed at supporting clinicians in making informed treatment decisions. According to [13], evaluated six commonly used machine learning algorithms using two datasets—Cleveland and IEEE Dataport.

Their findings showed that LR delivered the 90% accuracy and AdaBoost provide 90% accuracy with respective datasets. In [14], reviewed trends in heart disease diagnostic research conducted between 2014 and 2022 and give suggestion for future researches. According to [15] utilized deep learning to predict four major cardiac conditions using public ECG image datasets. Their CNN model gives 98.23% accuracy. When it is combined with Naive Bayes for feature extraction give 99.79% accuracy. Tested several machine learning models on heart disease datasets and shows that highest accuracy of model is 96% [16]. According to [17] conducted a study of several machine learning methods to forecast heart attack risk. Their comparative results showed Random Forest give best accuracy of 88.52%. For [18], analyzed data from 9,499 patients using tree-based models like GLMM trees and GMERF. The result shows that GMERF achieved the best predictive performance.In [19] used SMOTE to handle data imbalance, finding XGBoost achieved best performing accuracy of 97.57% with good sensitivity. In [20] reviewed ML methods to assist doctors in early heart disease prediction and treatment planning.

According to [21] used several machine learning models alongside LSTM neural networks, model and shows that Gradient Boosting and LSTM achieved the results in terms of accuracy and ROC-AUC scores. For [22] proposed a model that combine ML methods and achieved the best performance with multiple datasets for CVD prediction. In [23] suggested a hybrid architecture combines different ML algorithms and achieved an accuracy of 99.7% in CVD classification using ECG data. According to [24] highlight the benefits of applying machine learning in CVD treatment, so timely interventions and ongoing monitoring of cognitive function is possible. According to [25] performed experiments with and without geographical features on CVD datasets. They find XGBoost achieved the highest accuracy of 95.24% when geographical data included. In [26], introduced an integrated machine learning model combining Particle Swarm Optimization and Neural Networks for improved CVD prediction. In [27] developed a system utilizing 13 risk parameters from the Cleveland dataset and tuned machine learning models processed for different stroke stages classification. In summary, machine learning and deep learning technologies become essential for early diagnosis and prediction of heart related diseases.

Various studies have made different tools and models for real-time patient monitoring data, health records and datasets to accurately and timely prediction the risk of CVDs. Most of these methods include supervised algorithms such as logistic regression, decision trees, random forests, Naive Bayes and KNN with more complex deep learning models like CNN, LSTMs, and hybrid models. Some of these models demonstrated high percentage of accuracy up to 95% to predict risk of heart disease and lead towards heart attacks. The Internet of Things (IoT) devices with these models created cloud-based healthcare systems that further enhanced by patient monitoring and providing quick medical services. Additionally, methods like feature selection and data balancing particularly SMOTE have played an important role in improving machine learning model stability and reducing error rate. In India where CVDs problem becomes a major public health issue, these techniques create a valuable support for early detection and risk prediction. Overall advanced ML algorithms lead to strong potential in decision-making, reduce death rate and support patient treatment. The hybrid machine learning methods on diverse dataset provide further improvement in prediction accuracy and patient health.

IV. METHODOLOGY

Machine learning gained popularity in almost every field and specially in healthcare because of its ability to analyse massive volume of complex dataset, so early diagnosis of patient is possible. These methods used here enable to identify relationships between various risk factors and heart diseases. Machine learning methods are broadly classified into three categories: supervised learning, unsupervised learning and reinforcement learning.

IV.1 SUPERVISED ML

Supervised machine learning methods are the most widely used in heart related diseases research. In these methods models are trained on datasets where inputs are labelled with features and with a known outcome. In this method the algorithm learns the relation between inputs and outputs and after learning phase over the model can predict outcomes for unseen data. Most popular techniques used

in supervised learning are probabilistic models like Naive Bayes, Logistic Regression, kernel-based classifiers Support Vector Machines and methods like Random Forest and Gradient Boosting and Neural networks. Among these methods hybrid models and SVMs have shown strong performance in recent cardiovascular diseases due to their capability of handle non-linear relationships datasets.

IV.2 UNSUPERVISED ML

Unsupervised learning methods based on finding hidden formation in unlabelled data. These methods include clustering algorithms and dimensionality reduction techniques. These methods are especially used in finding subgroups within patient groups, detecting statics or inspect unknown patterns in datasets. In CVDs diseases unsupervised machine learning models have been applied to classify patients based on risk factors, thereby supporting more focused interventions.

V. MACHINE LEARNING MODELS USED FOR HEART ATTACK RISK PREDICTION

Following ML models used in this research for Prediction of risk of heart attack: -

V.1 LOGISTIC REGRESSION

Logistic regression is a basic model primarily used for binary classification works and commonly used here to predict the presence or absence of heart disease. It calculates the probability of an event based on a linear combination of input variables using the logistic function. This method is valued for its intelligibility, clear perception about each factor contributes to the overall risk. It performs best when relationships among features and outcomes are approximately linear.

V.2 SUPPORT VECTOR MACHINES (SVM)

SVM is a powerful classification technique based on supervised learning method that creates a marginal boundary to separate data points belongs to different classes. It is especially effective when datasets with many dimensional features and non-linear partitions. In this type of cases kernel functions used to transform the input range. SVMs are best known for its robustness and this property successfully applied to various heart disease datasets.

V.3 DECISION TREES

Decision Trees operate on the principle of splitting data repeatedly into subgroups based on feature values, resulting in an illustratable tree structure that handles decision-making processes. By applying this method, it is easy to understand and visualize data with patients features. However sometimes they are subjected to overfitting, that can limit generalizability of model on complex datasets.

V.4 RANDOM FORESTS

Random Forest is an improved version of decision trees method. RF method combines multiple trees into a group to increase predictive accuracy and reduce the overfitting. It is used for both categorical and numerical data efficiently. It also provides importance statics of all features, so in this way it helps to know about the feature that influence heart attack risk most.

V.5 NAIVE BAYES

Naive Bayes is also a type of probability-based classifier that mainly uses Bayes' theorem for prediction. It assumes that features are independent, which simplifies calculations and makes it highly efficient. Due to this independence characteristic, it often performs extremely well specially on clinical datasets of patient. It is especially useful if computational resources are limited.

V.6 GRADIENT BOOSTING MODELS (XGBOOST)

Gradient Boosting models such as XGBoost have become more popular in classification tasks due to high performance. These models combine weak models (e.g. decision trees) in a consecutive way and optimize for unsolved errors. XGBoost adjust features to optimize specific problem enhance speed and efficiently handle categorical data. It well-suited for complex datasets in heart disease prediction tasks and often appear as best performs among different machine learning models.

V.7 NEURAL NETWORKS

Neural Networks made of interconnected layers of nodes called neurons that mimic the complex structure of human brain neurons. They can express complex, non-linear relationships among clinical features such as blood pressure, cholesterol levels and heart rate. They require more computational resources and larger datasets compared to traditional models. This model predictive capabilities make it valuable for heart diseases risk modelling.

V.8 K-NEAREST NEIGHBORS (KNN)

KNN is a simple sample-based classifier that assigns labels based on the nearest examples in the training data. It is well on smaller and well-balanced datasets but may not get good yield with high-dimensional or noisy data. Its performance is also sensitive with choice of distance metric and the number of neighbors (K).

V.9 DEEP NEURAL NETWORKS (DNN):

DNN machine learning method is an improvement of traditional neural networks include multiple layers network. These layers allow model to be suitable for complex feature hierarchies. In field of heart attack prediction DNNs can learn sophisticated relations across all features of big and high-dimensional datasets. These models have strong predictive power. These models require careful tuning, so that large volumes of data not be go in overfitting zone. They are also less illustratable than simpler models, although recent methods have improved their importance in medical applications.

Table 1: Comparisons of ML Algorithms.

Algorithm	Type	Strengths	Limitations	Interpretability	Suitability for Clinical Use
Logistic Regression	Linear, Supervised	Simple, fast, interpretable; works well with linearly separable data [28]	Poor at capturing non-linear patterns	High	Excellent (widely used)
Decision Tree	Non-linear, Supervised	Easy to interpret; handles both categorical & numerical data [29]	Prone to overfitting	High	Good
Random Forest	Ensemble, Supervised	Robust, reduces overfitting; handles missing data well [30]	Less interpretable than single trees	Moderate	Very Good
Gradient Boosting (XGBoost)	Ensemble, Supervised	High accuracy; handles complex patterns and large datasets [31]	Requires careful tuning; slower to train	Moderate	Very Good
Support Vector Machine (SVM)	Supervised	Effective in high-dimensional spaces; good with small-to-medium datasets [32]	Poor interpretability; not ideal for large datasets	Low	Moderate
K-Nearest Neighbors (KNN)	Instance-based, Supervised	Simple; no training phase [33]	Sensitive to noisy data and scale; computationally expensive at inference	Low	Limited
Naive Bayes	Probabilistc Supervised	Fast, efficient with high-dimensional data [34]	Assumes feature independence; not ideal for correlated medical data	Moderate	Fair
Neural Network (NN)	Deep Learning	Captures complex relationships; adaptable to many data types [35]	Requires large data; risk of overfitting; harder to interpret	Low	Moderate
Deep Neural Network (DNN)	Deep Learning	Handles highly complex and high-dimensional data [36]	Requires large datasets and computational power; less interpretable	Low	Good (with explainability tools)

Source: Authors, (2025).

VI. RESULT AND DISCUSSIONS

This Prediction of heart attack used different machine learning algorithm on labelled dataset obtain from Mendeley Contain 1319 dataset with top 8 features. The evaluation of various machine learning models indicates that Random Forest, XGBoost, and Gradient Boosting are the top performers in terms of prediction accuracy and reliability. Among them, the XGBoost model using selected key features stands out, offering a high accuracy of 98.48%, balanced precision and recall, and a very fast training time of just 0.09 seconds. The Random Forest model with top features follows closely behind, delivering strong results with slightly more training time. Gradient Boosting also maintains high performance, although it takes comparatively longer to train. Table 2 shows the comparisons of various machine learning algorithms models we simulated using all features available in dataset.

Table 2: Comparisons of ML Algorithms (All Features included).

Algorithm	Accuracy	Precision	Recall	F1-Score	Training time	ROC-AUC	Interpretability (qualitative)
Logistic Regression	0.7727	0.8643	0.7469	0.8013	0.0109	0.8701	High - Easily explainable
Decision Tree	0.9811	0.9816	0.9877	0.9846	0.0070	0.9791	High - Easily explainable
Random Forest	0.9811	0.9876	0.9815	0.9845	0.3600	0.9953	Moderate - Feature importance available
Gradient Boosting	0.9848	0.9877	0.9877	0.9877	0.1097	0.9846	Moderate - Tree ensemble, partially explainable
XGBoost	0.9848	0.9877	0.9877	0.9877	0.1097	0.9846	Moderate - Can extract feature importance
Support Vector Machine (SVM)	0.8030	0.9167	0.7469	0.8231	0.2383	0.8945	Low - Hard to interpret kernel decisions
K-Nearest Neighbors (KNN)	0.6402	0.7680	0.5926	0.6690	0.0070	0.7142	Moderate - Based on nearby instances
Naive Bayes	0.6705	0.9870	0.4691	0.6360	0.0040	0.8456	Moderate - Probabilistic interpretation
Neural Network (NN) MLP Classifier	0.8939	0.9295	0.8951	0.9119	6.1477	0.9468	Low - Complex and black -box
Deep Neural Network (DNN)	0.8447	0.8854	0.8580	0.8715	12.8110	0.9152	Low - Black-box neural model

Source: Authors, (2025).

Decision Tree classifiers, despite their simplicity, yield robust results with an accuracy of 98.1% and an exceptionally fast training speed, making them a practical choice for situations where interpretability and speed are crucial. Neural networks, including deep learning models, demonstrate good predictive strength, but their longer training times and slightly lower performance place them behind ensemble methods for this task. Table 3 shows the comparisons of various machine learning algorithms models we simulated using selected top 5 features get by using ML algorithms available in dataset.

Table 3: Comparisons of ML Algorithms (Top 5 Features included).

Algorithm	Accuracy	Precision	Recall	F1-Score	Training time	ROC-AUC	Interpretability (qualitative)
Logistic Regression	0.7879	0.8897	0.7469	0.8121	0.0069	0.8748	High-Easily explainable
Decision Tree	0.9811	0.9816	0.9877	0.9846	0.0070	0.9791	High-Easily explainable
Random Forest	0.9848	0.9877	0.9877	0.9877	0.4428	0.9910	Moderate-Feature importance available
Gradient Boosting	0.9848	0.9877	0.9877	0.9877	0.3833	0.9815	Moderate-Tree ensemble, partially explainable
XGBoost	0.9848	0.9877	0.9877	0.9877	0.0937	0.9849	Moderate-Can extract feature importance
Support Vector Machine (SVM)	0.7955	0.9286	0.7222	0.8125	0.1805	0.8968	Low-Hard to interpret kernel decisions
K-Nearest Neighbors (KNN)	0.7462	0.8800	0.6790	0.7666	0.0040	0.8463	Moderate - Based on nearby instances
Naive Bayes	0.6818	0.9875	0.4877	0.6529	0.0030	0.8485	Moderate-Probabilistic interpretation
Neural Network (NN) MLP Classifier	0.9167	0.9605	0.9012	0.9299	5.7250	0.9650	Low-Complex and black -box
Deep Neural Network (DNN)	0.8712	0.9211	0.8642	0.8917	11.9552	0.9401	Low-Black-box neural model

Source: Authors, (2025).

Support Vector Machines and Logistic Regression offer moderate performance, but they fall short when compared to ensemble-based models. Naive Bayes and K-Nearest Neighbors perform the weakest, particularly in recall and F1 score, which makes them less suitable for sensitive medical predictions such as heart attack risk.

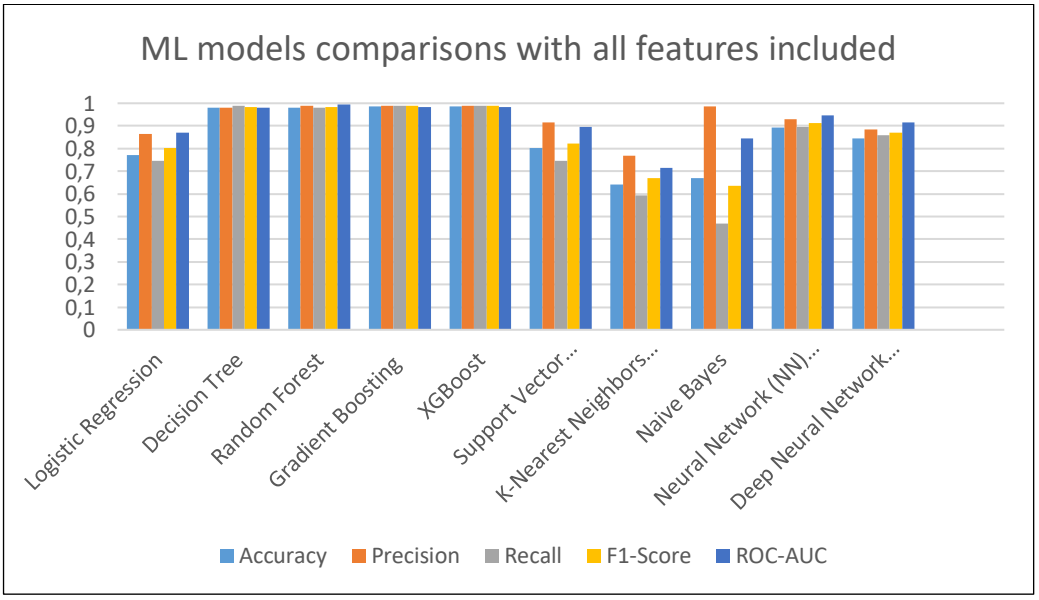


Figure 1: ML models comparisons based on all features selected.
Source: Authors, (2025).

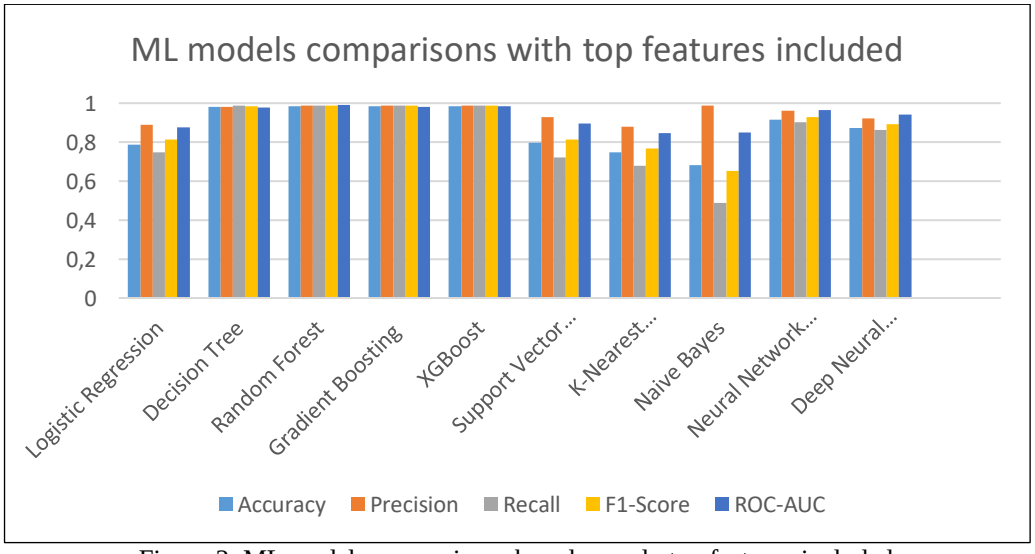


Figure 2: ML models comparisons based on only top features included.
Source: Authors, (2025).

Figure 1 and Figure 2 showing risk parameter for each model under both feature selection strategies. In summary, tree-based ensemble models, especially XGBoost and Random Forest with selected features are the most effective options for this application. While neural networks can be useful in certain contexts their computational cost and marginally lower effectiveness should be carefully considered. Applying feature selection enhanced the effectiveness of most models, highlighting the advantage of focusing on the most relevant attributes in the dataset.

VII. CONCLUSIONS

After evaluating different machine learning models for predicting heart attack risk, tree-based ensemble methods especially XGBoost and Random Forest using selected top features emerge as the most dependable and efficient. These models consistently deliver strong predictive performance while maintaining short training times, making them well-suited for both large-scale deployment and time-sensitive scenarios. While Decision Trees provide quick and interpretable results and neural networks capture complex data relationships, they tend to either lag slightly in accuracy or require more computational effort. Conventional models such as Support Vector Machines, Logistic Regression, Naive Bayes, and K-Nearest Neighbors generally perform less effectively and are therefore less suitable for critical healthcare applications. Overall, ensemble learning with carefully chosen features proves to be the most effective approach for heart attack prediction. It offers a reliable solution that balances accuracy with practical implementation, aligning well with the demands of real-world medical environments.

VIII. AUTHOR'S CONTRIBUTION

Conceptualization: Rahul Nigam, Hare Ram Jha and Ravi Ranjan.
Methodology: Rahul Nigam.
Investigation: Rahul Nigam, Hare Ram Jha and Ravi Ranjan.
Discussion of results: Rahul Nigam, Hare Ram Jha and Ravi Ranjan.
Writing – Original Draft: Rahul Nigam.
Writing – Review and Editing: Rahul Nigam, Hare Ram Jha and Ravi Ranjan.
Resources: Rahul Nigam, Hare Ram Jha and Ravi Ranjan.
Supervision: Rahul Nigam, Hare Ram Jha and Ravi Ranjan.
Approval of the final text: Rahul Nigam, Hare Ram Jha and Ravi Ranjan.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.248-256. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2736

RESEARCH ARTICLE OPEN ACCESS

ZERO-DEFECT MANUFACTURING IN THE INDUSTRY 4.0 ERA: A HYBRID APPROACH TO DETECTING QUALITY SHIFTS

Rafael Kovalechyn[1], Pablo Deivid Valle[2] and Dalberto Dias da Costa[3]

[1]Thyssenkrupp Steering Division, Curitiba, Brazil

[2,3] Mechanical Engineering Department, Federal University of Paraná, P.O BOX 19011, Curitiba, Brazil

[1]https://orcid.org/0009-0009-1798-3051, [2] https://orcid.org/0000-0002-8709-2969, [3] https://orcid.org/0000-0002-5665-579X

Email: rafael.kovalechyn@thyssenkrupp-automotive.com, pablo.valle@ufpr.br, dalberto@ufpr.br

ARTICLE INFO

Article History

Received: September 24, 2025

Revised: November 20, 2025

Accepted: December 1, 2025

Published: December 31, 2025

Keywords:

Zero-defect manufacturing,
Change detection,
Concept drift detection,
Industry 4.0,
Tubular steering input shaft.

ABSTRACT

Thanks to the emergence of the Industry 4.0 paradigm, the idea of Zero-Defect Manufacturing (ZDM) has now been claimed to be possible. The ZDM is based on four strategies: detecting, repairing, predicting, and preventing. The main objective of the present work is to defend the proposition that detecting small changes in product quality is a necessary condition to prevent the generation of non-conformance and consequently implement the zero-defect concept. The traditional statistical control charts - such as the Shewhart, EWMA, and CUSUM - and a new method known as 'concept drift' were assessed as candidates to build a Decision Support System (DSS). A prototype of the designed DSS was applied to detect quality changes of tubular steering input shafts produced by end-forming. The combination of a concept drift algorithm with a Shewhart chart presented a better performance when compared to the individual behaviour of the statistical control charts.

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I. INTRODUCTION

Modern manufacturing systems have changed significantly in recent years thanks to advances in Information and Communication Technologies (ICTs). Nowadays, cheaper and faster sensors allow data collection in real time from all the phases of the product life cycle. In this new scenario, the decision-making processes have been changing from human judgment to a data-driven approach [1],[2]. A good example of this new paradigm is the manufacturing of steering input shafts in highly automated transfer lines that can, from a lengthy tube, cut small parts, reduce its diameter, and roll threads and splines at their ends. In that kind of machine, all dimensions can be automatically controlled, and all processes - forming and measurements - are carried out without human intervention. In addition, that machinery can communicate with remote supervisory systems by means of dedicated IoT sensors [3],[4].

In that way, predictive maintenance, productivity, and quality control can be accomplished according to the Industry 4.0 paradigm. From the production phase perspective, this digital transformation has provided the necessary conditions to monitor all the material flow, including machinery and tooling. On the other hand, the physical distance to customers has apparently become shorter as the time to receive complaints has been significantly reduced. In addition, those customers supported by this more interactive relationship with the suppliers are demanding more customized products and services, thus reinforcing the so-called customer-centric business model [5]. In that new scenario, the delivery of defective products is not acceptable anymore. Moreover, it directly impacts quality cost, will cause the loss of customer goodwill, and a decline in future sales [6].

To face this problem, some researchers have claimed that the quality management systems need to be improved. Two approaches have been highlighted: Quality 4.0 and Zero-Defect Manufacturing (ZDM). Quality 4.0, digital transformation (DT), and Industry 4.0 (I4.0) are interconnected concepts [7]. In that sense, some researchers [8],[9] have argued that Quality 4.0 is a movement to update, expand, and improve the already well-founded quality management strategies - such as Statistical Quality Control (SQC), Quality Assurance (QA), and Total Quality Management (TQM) - by applying the technological resources already in use in the Industry 4.0 environment. According to [10], Quality 4.0 should not be understood just as a '*trend within a trend*', as referring to the Quality 4.0 and

Industry 4.0 relationship. According to them, Quality 4.0 can be understood as "*an extended approach to quality management, where recent technologies are being integrated with traditional quality practices (QC, QA, TQM) in order to expand the quality management scope and to improve quality activities' performance and efficiency*". On the other hand, according to [11], Zero-Defect Manufacturing (ZDM) is not a new idea, but with the emergence of Industry 4.0 and its enabling technologies, the motto 'do it right the first time' has become possible, and the ZDM concept can now be fully implemented [12]. As both approaches can be considered I4.0 dependent and relatively new, there is not yet an explicit relationship between them in the current literature. In that line, [13] have pointed out that Quality 4.0 and ZDM are equivalent since both are considered holistic quality management approaches that make use of methods from logistics, maintenance, process control, and sustainable manufacturing.

In the current literature [12],[14-16] the ZDM concept is grounded on four strategies: detection, repair, prediction, and prevention. According to [17], prediction is an exclusive aspect of ZDM, which is absent in other quality approaches that do not learn from defects but rather eliminate them. The present paper focuses on the detection and prevention strategies of the ZDM concept, and its main objective is to defend the proposition that detecting small changes in the product quality is a necessary condition to implement the zero-defect concept in production lines. In order to achieve this goal, we assessed the isolated performance of traditional statistical methods used in statistical process monitoring - such as Shewheart, Cumulative Sum (CUSUM), and Exponentially Weighted Moving Average (EWMA) - and a more recent approach based on concept drift detection, as well as their combinations. We also propose that these methods can be applied to develop a Decision Support System (DSS) capable of detecting small changes. The conceived decision support system was applied and evaluated with real data from an automated manufacturing line dedicated to end-form tubes to make steering input shafts.

II. METHODOLOGY

In the discrete manufacturing industry, machines are scheduled to produce individual parts by material transformations. In that scope, a change in product quality is expected to occur at any production stage. When that change happens, and its magnitude exceeds the preestablished control limits, the product will be scraped or repaired, and the production is interrupted for corrective measures to be taken. However, if that change is within control limits, the product quality is considered satisfactory, and the machines are kept running. In the present work we argue that changes within control limits, even small, should be monitored to identify significant drifts in product quality and prevent scrap generation. Accordingly, the proposed methodology was designed based on the possibility to apply a detect-prevent strategy to achieve the Zero-Defect Manufacturing concept. The proposed methodology was conceived to support the implementation of a DSS in accordance with the requirements brought by the Industry 4.0 paradigm. Figure 1 contains the schematization of the data flowing in the DSS through three layers. The first layer contains the sensors (IoT or non-IoT) embedded into the machines.

The second layer consists of a dedicated server with data processing analytics necessary to monitor quality drifts. It is closer to the sensors. The third layer contains the same services as those provided at the second level but is far away from the shop floor. In the current literature — e.g., [2],[3],[18] — those three abovementioned layers are referred to as: edge computing (first level); fog computing (second level), and cloud computing (third level). Cloud computing has been recognized as an alternative to develop a DSS, since it reduces the impact of hardware investment and provides computing as a service [19]. However, cloud computing has some drawbacks, such as latency, bandwidth and security, compliance, and regulatory issues. Accordingly, some researchers — for example, [2],[18],[20],[21] — have proposed the fog computing approach to deal with problems demanding low response time. The DSS proposed here was designed to be implemented closer to the shop floor following the fog computing paradigm.

Nevertheless, general reports on product quality and logs of the generated events could be uploaded to the company cloud service, where relevant information can be transmitted to stakeholders. On the first level (shop floor), raw materials are transformed as they go from machine to machine until they finish as products. On each machine (or workstation) one or more characteristic is measured and its result is transferred, through a fieldbus type network to the data server on the second layer. Alternatively, and considering the possibility to install IoT sensors, the measurements can be transmitted over the HTTP (HyperText Transfer Protocol). After new data is received by the data server, the DSS processes it to detect any potential drift patterns. Four methods are proposed here to identify such drifts. The first method is the classical Shewhart control method [22], where control chart limits are determined using a technique called '*three-sigma control limits*'. This approach assumes the sample mean ($\bar{X}$) as an estimator of the population mean (μ), and (σ) as an estimator of the standard deviation. Consequently, the upper (UCL) and lower (LCL) control limits are calculated as shown in equation 1 [23].

$$UCL = \bar{X} + 3\sigma$$
$$LCL = \bar{X} - 3\sigma \quad (1)$$

Second, the Cumulative Sum (CUSUM) method, as developed by Page [24], is implemented. The statistics C+ and C− are called one-sided upper and lower cusums, and are computed according to equations 2 and 3, respectively. A process change will be detected when (C_i^+) or (C_i^-) surpasses the decision interval (H), as defined in equation 4. A reference (allowance) value (K) is user defined and define the shift size to be detected in relation to the target (μ_0). Both H and K should be chosen a priori as a multiple of the process standard deviation [23].

$$C_i^+ = max[0, x_i - (\mu_0 + K\sigma) + C_{i-1}^+] \quad (2)$$

$$C_i^- = min[0, x_i - (\mu_0 - K\sigma) + C_{i-1}^-] \quad (3)$$

$$UCL = H\sigma$$
$$LCL = -H\sigma \quad (4)$$

The third method utilizes the Exponentially Weighted Moving Average (EWMA), as proposed by Roberts [25]. The EWMA value (Z_i) for an individual data point (x_i) is calculated according to equation (5), and the UCL and LCL are determined as shown in equation (6). The smoothing parameter λ controls the influence of past data on the EWMA calculation, while the parameter L sets the width of the control limits and must be predefined [23].

$$Z_i = \lambda x_i + (1 - \lambda) Z_{i-1} \quad (5)$$

$$UCL = \mu_0 + L\sigma \sqrt{\left(\frac{\lambda}{2-\lambda}\right)[1-(1-\lambda)^{2i}]}$$
$$LCL = \mu_0 - L\sigma \sqrt{\left(\frac{\lambda}{2-\lambda}\right)[1-(1-\lambda)^{2i}]} \quad (6)$$

While the performance of these three methods has been extensively evaluated in manufacturing contexts, the detection of both abrupt and incremental quality changes remains a critical challenge for developing autonomous decision systems aimed at minimizing scrap generation in manufacturing lines. Therefore, a fourth method, ADWIN (ADaptive WINdowing), is included. ADWIN is one of several techniques developed to address the drift detection problem in supervised and unsupervised learning. This area is a dynamic research field, and a single, universally accepted algorithm has yet to emerge, as discussed in recent survey articles, e.g., [26], [27], [28], [29],[30].

Developed by [31], ADWIN inspects data streams using variable-size windows. The algorithm dynamically adjusts the window size, expanding it when no change is detected and shrinking it when data changes occur. This allows ADWIN to detect both abrupt and incremental changes with low false alarm rates. ADWIN was selected for this work due to its popularity among window-based drift detection methods [26],[29] and the availability of its code, facilitating implementation. The implementation of the third level (cloud), as schematized in Figure 1, is optional and does not impact the DSS performance. Consequently, it will not be discussed further in this work.

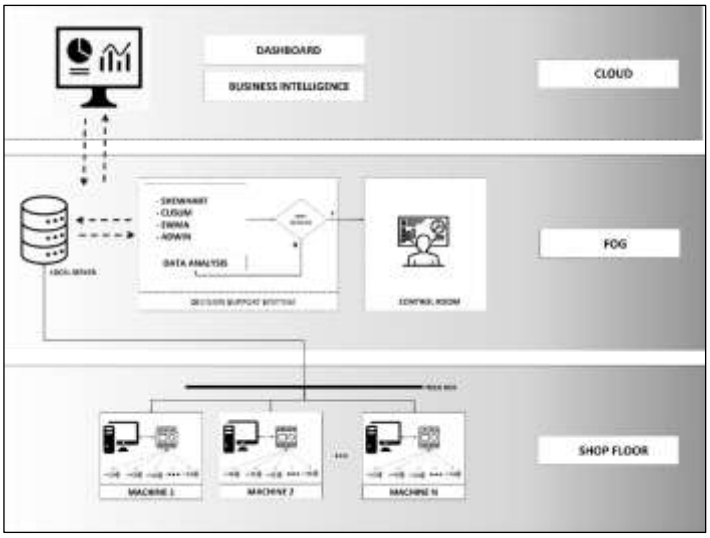


Figure 1: DSS implementation as Fog computing.
Source: Authors, (2025).

II.1 IMPLEMENTATION AND CASE STUDY

A DSS prototype was implemented using the Microsoft Visual Studio Community edition. The Shewhart, CUSUM, and EWMA charts were modelled directly according to equations 2 to 6. On the other hand, the ADWIN implementation was based on an algorithm coded in C++ and available in a file repository provided by Bifet [32]. The performance assessment of the prototyped DSS was carried out using real data from a fully automated production line dedicated to manufacturing tubular steering input shafts. These parts are made from long-seamed steel tubes, which are cut into smaller pieces and cold-formed at their ends to create a geometry suitable for connecting the wheel to the gearbox. After being cut into the required lengths, the tubes move through six stations where both their ends are formed and inspected. In the fourth station, a special forming operation is carried out to create a conical surface at one end of the tubes. This step is considered very critical since the length of the formed conical region limits the adjustment of the wheel in the final assembly.

Consequently, it is one hundred percent inspected by means of an automated device. Figure 2 contains a schematic view of the die and mandrel set used in the fourth station, the design tolerance for the control dimension, and the measuring device. The end-forming process is performed by a dedicated tooling (Figure 2a) which is composed of a die block (2) and two hydraulic expanding mandrels (1 and 3) responsible for forming the two ends of the tube. The measuring device is composed of four main parts: a pneumatic actuator (1), a linear guide (2), an LVDT (3), and a special jig (4) used to limit the LVDT displacement. The LVDT (Linear Variable Differential Transformer) has an analogue output and is further digitalized by a local PLC (Programmable Logic Controller) and temporally stored in a shop-floor computer. Periodically the fog server gathers and cleans this local data.

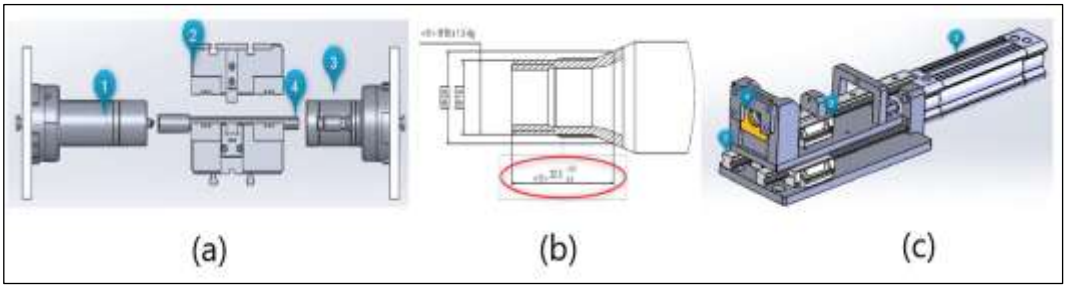


Figure 2: Mandrel and die set (a). Control dimension (b). Measuring device (c).
Source: Authors, (2025).

The case study reported here was carried out in a multinational company with extensive experience in the field of automotive steering systems. It already has a long-standing quality control program based mainly on a visual analysis of Shewhart charts. The statistical control chart depicted in Figure 3 reflects an interval during the operation carried out in the fourth station. It can be observed that the inspected dimension lies within the control limits (UCL and LCL). If the operators notice that a new input value is plotted outside, they immediately trigger an alarm and scrap the non-conforming part. Some process parameters and the upstream operation are checked and/or adjusted to bring back the process to an 'in-control' state. In the case of scrap occurrences, a list of probable factors is immediately checked. The first are the outsider diameter and tube length, which were already inspected in upstream operations, but are now revised to eliminate the probable cause of the current non-conformance. Next, the temperature of the hydraulic unity is verified.

Large temperature variation affects oil viscosity and consequently the pressure and rigidity of the expanding mandrels. The die and mandrel temperatures are also important since they rise along the processing time until achieving a steady condition. However, the continuous temperature increase can be associated with significant tool wear, which affects the control dimension. The last verified item is the measurement device accuracy. It is done by measuring a standard part. Sometimes, the causes of non-conformances are not identified, and the process parameters are adjusted. The controllable process parameters are the end-forming speed and the mandrel displacement. Recently, that company has been searching for new strategies to reduce both the generation of scraps and the time/cost of identifying and correcting the process shortcomings. One of these approaches is to implement the concept of Zero-Defect Manufacturing. Consequently, the DSS designed here represents a step to accomplish this target, and its preliminary results will be presented and discussed in the following section.

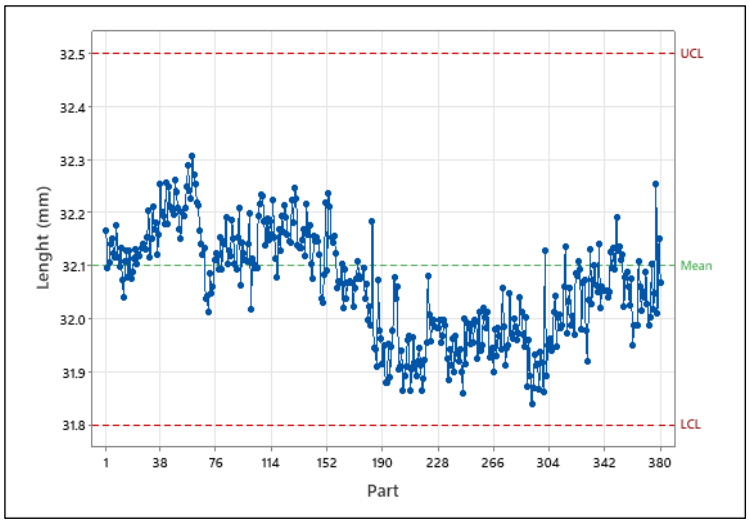


Figure 3: The control chart for a sampled interval.
Source: Authors, (2025).

III. RESULTS AND DISCUSSIONS

The performance of the proposed methods to detect small changes was based on historical data stored in the company fog server. In general, production is reasonably stable, and the normal distribution assumption can be accepted. Figure 4 contains the normal probability plot and a histogram, when applied on the data collected over a full day of production, which corresponds to 1457 parts.

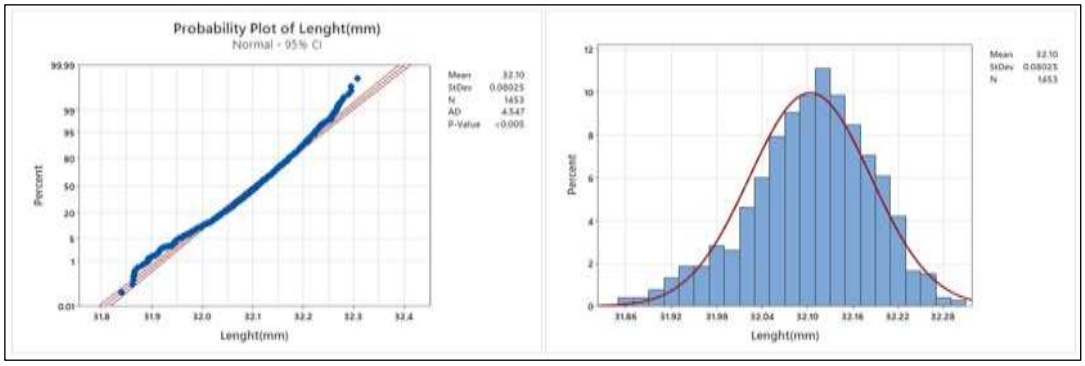


Figure 4: Normal probability plot (left) and a histogram (right) of a full production day.
Source: Authors, (2025).

However, from a time-based data plotting, it can be observed that significant changes have occurred, as shown in the data stream surrounded by a blue line rectangle in Figure 5.

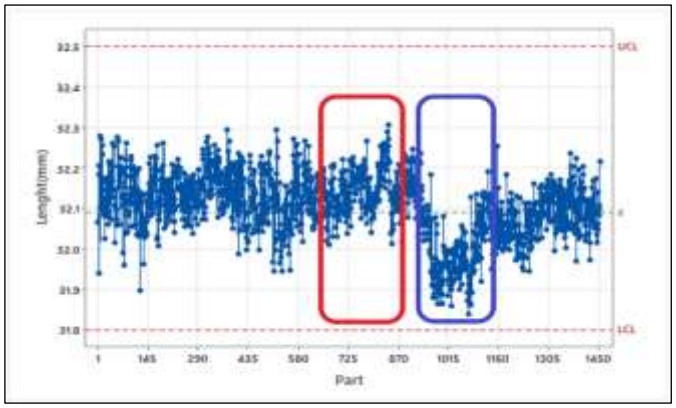


Figure 5: A sampled data stream.
Source: Authors, (2025).

Figure 6 contains the results obtained after applying those three statistical techniques (Shewhart, CUSUM, EWMA) and ADWIN to part of the data stream shown in Figure 5. From the Shewhart chart (Figure 6a), the process is considered in control since none of the measurements exceed the control limits (UCL and LCL). However, both the EWMA (Figure 6b) and CUSUM (Figure 6c) charts detect a significant change in the region surrounded by the blue rectangle (Figure 5). The EWMA limits were computed by setting parameter $\boldsymbol{\lambda}$ = 0.2 and **L** = 3, as defined in equations 5 and 6. The CUSUM intervals were calculated according to equations 2 to 4, assuming $\boldsymbol{K}$ = 0.5 and the decision interval (**H**) = 4. The ADWIN method (Figure 6d) was running with an initial window size of thirty measured parts. In that plot (Figure 6d), the red arrows indicate the points where small changes were detected.

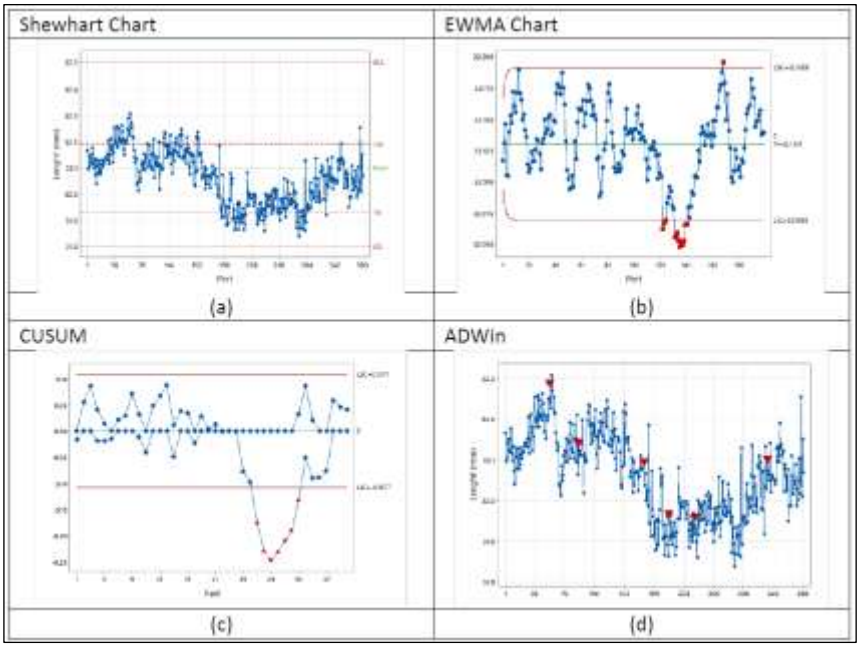


Figure 6: Change detection by statistical and concept drift methods.
Source: Authors, (2025).

The false alarm rate is a very important criterion in the assessment of those methods, since a DSS that generates too many false alarms may lose its credibility. All four methods were individually evaluated over the two hundred measurements chosen from the range surrounded by the orange rectangle, as shown in Figure 5. For the CUSUM and EWMA methods, the adopted chart parameters were: CUSUM ($0.5 \leq \mathbf{K} < 1$ and $3 \leq \mathbf{H} \leq 5$) and EWMA ($0.1 \leq \lambda \leq 1$ and $\mathbf{L} = 3$). Figure 7a contains the number of false alarms for the CUSUM. It can be observed that the number of false alarms is highly influenced by the selected **K** and **H** parameters, but there is a comparatively larger area where this method performed very well. Both false positive and false negative alarms can be seen in some **K**, **H** combinations. In a small region ($\mathbf{K} > 0.9$ and $\mathbf{H} > 4.77$), false negative alarms were registered, i. e., significant changes occurred but were not identified. The results of the EWMA method were depicted in Figure 7b.

The number of false alarms was lower than that generated by the CUSUM method, but it also was influenced by the λ value. Lower λ values render the method more sensitive for detecting smaller drifts, but they are not significant from a practical point of view and consequently results in false alarms. Shewhart's chart was dynamically calculated for every new part but keeping the buffer of the last produced parts (sample size at Figure 7c). For the smaller sample sizes there is a higher occurrence of false alarms, since the accuracy of the computed control limits is affected by the availability of data memory. The generation of false alarms was verified with the ADWIN algorithm with different window sizes (Figure 7d). It was clear that the larger the sizes of the windows, the smaller the number of false alarms. However, as observed by [33] there is a compromise between the reduction of false alarms and the speed of change detection. Consequently, we also investigated the combination of the Shewhart and ADWIN with smaller window sizes.

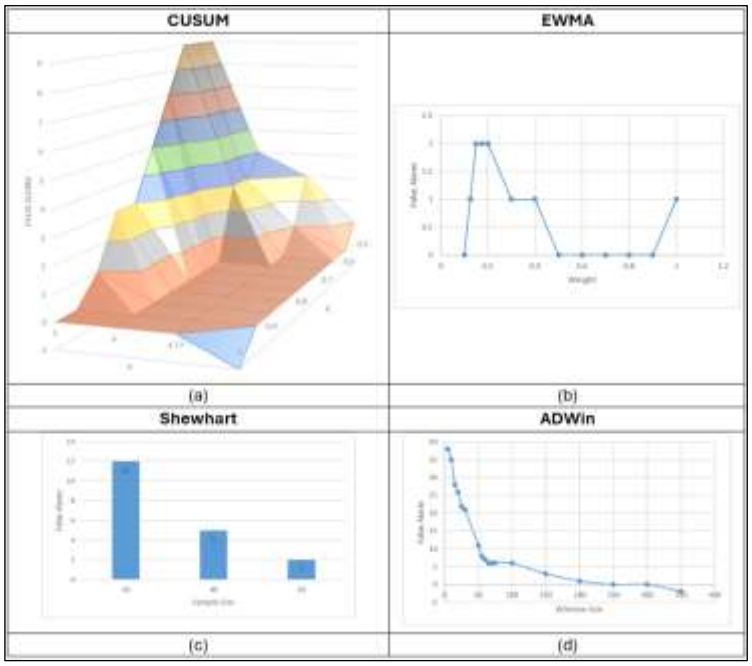


Figure 7: False alarm analysis.
Source: Authors, (2025).

The mixing of different control charts has been proposed in the current literature as a strategy to reduce false alarm generation [34]. Figure 8 contains the plots resulting from the ADWIN-Shewhart combination. The Shewhart limits were computed based on a buffer of 30 measured parts, and the ADWIN was computed with 10 (solid line square) and 30 (dashed line square) parts per window. Each new measured part is dynamically calculated using both methods. A small change is deemed significant if it was noticed by both the ADWIN and Shewhart methods during the same analysis window. In this case, the number of false alarms was smaller when compared to the performance of individual charts.

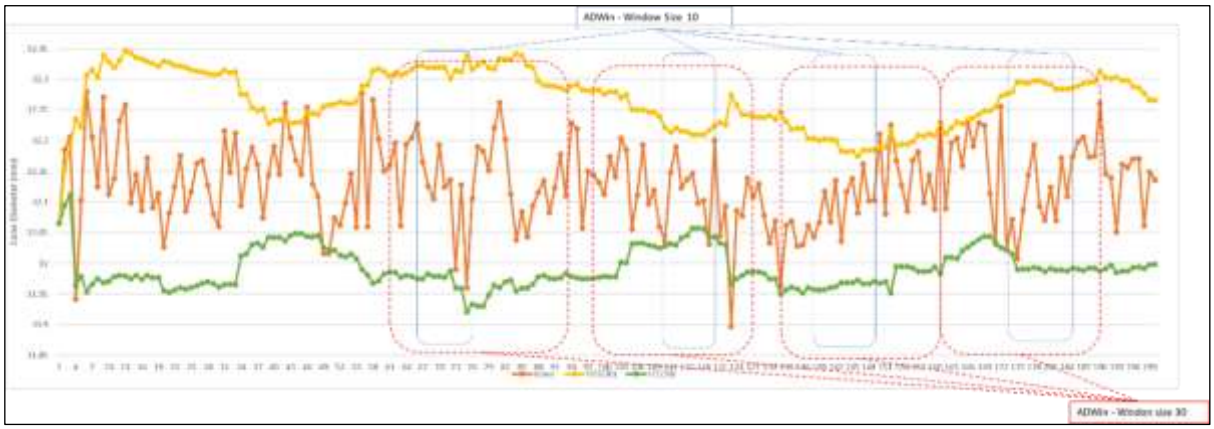


Figure 8: False alarm plots based on the ADWIN-Shewhart combination.
Source: Authors, (2025).

Due to the superiority of the ADWIN-Shewhart combination, it was evaluated in the processing of all gathered data depicted in Figure 5, and the result is shown in Figure 9. Significant changes were detected and confirmed at labels 1, 2, 3, and 6. A late change detection and a false alarm occurred at labels 5 and 4, respectively. The change patterns can be identified and classified - according to Gama et al. [30] - into incremental change (labels 1, 5, and 6) and abrupt change (labels 2 and 4).

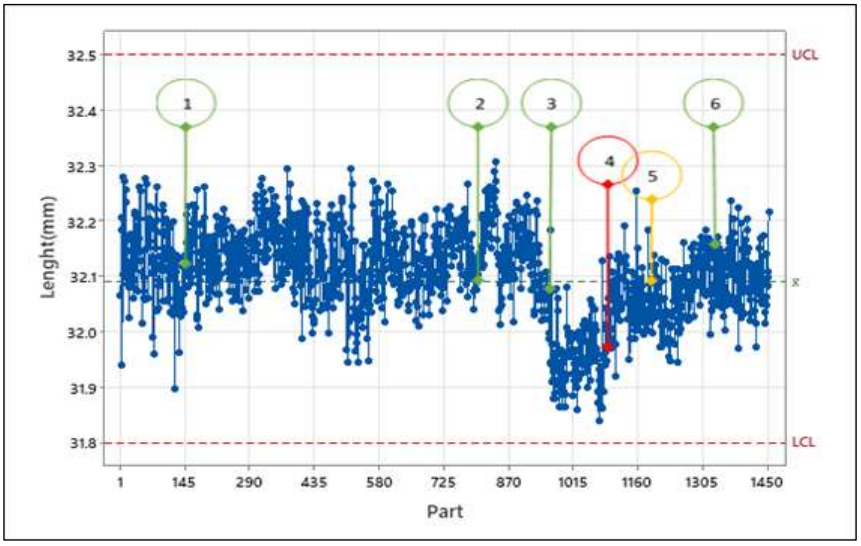


Figure 9: Evaluation of false alarms with the ADWIN-Shewhart combination.
Source: Authors, (2025).

During the tests, the incremental change pattern was investigated and based on the engineers' previous knowledge, the formulated hypothesis was the possibility of a correlation between the die temperature and the increase in the cone length (see Figure 2b) at the tube extremity. To confirm that hypothesis, a thermocouple was installed at the external die surface next to the conical surface. Temperature was recorded simultaneously with the tube measurements, and the result is shown in Figure 10 with a reasonable coefficient of determination ($R^2 > 0.8$).

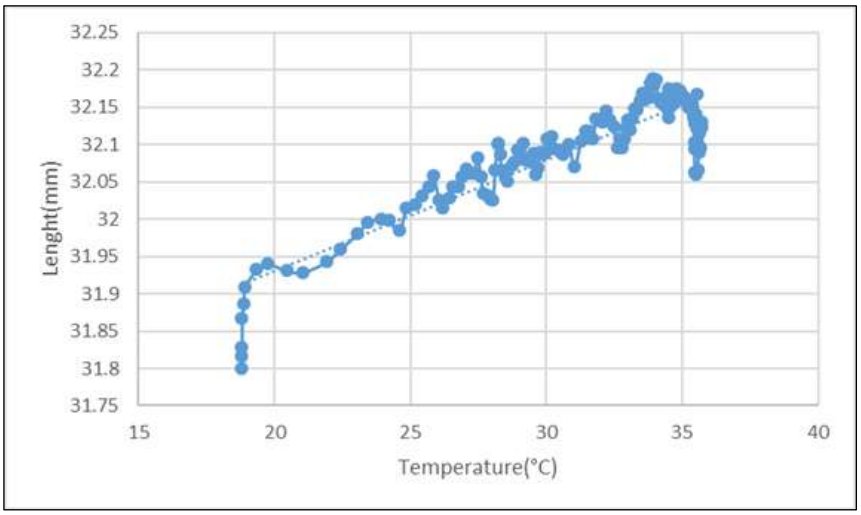


Figure 10: Correlation between die temperature and measured lengths.
Source: Authors, (2025).

In addition to that correlation between incremental change and temperature, it was also observed that die temperature varies cyclically (cooling-heating) in very specific periods, which correspond to interruptions of the line for maintenance, shift workers, and lunch stops. The conclusion of this complementary investigation was that temperature increase affects the performance of the change detect methods until it achieves a steady state condition. Consequently, many false alarms can be expected during the die temperature increase.

To reduce the generation of false alarms, one or two heuristic strategies can be added to reinforce the change detection methods. The first is based on a parallel recording of the die temperature. The second rule considers timestamping the measured values. While the die temperature is increasing, the occurrence of an incremental change pattern of the measured values will be ignored. Similarly, the detection of incremental changes will be suspended if the elapsed time is less than necessary for the die temperature to reach a steady state.

Evidently, the inclusion of temperature and timestamp are approaches resulting from the case considered here. Nonetheless, the statistical methods, the concept drift algorithms, and the heuristics derived from a specific manufacturing process can be combined to construct a robust DSS able to detect small but significant changes and prevent scrap generation.

IV. CONCLUSIONS

A methodology based on statistical control charts and a concept drift algorithm was evaluated to construct a Decision Support System (DSS) able to detect small changes in product quality. The proposed system was tested with real data obtained in a fully automated production line dedicated to the end-forming of tubes used in the manufacture of steering columns. The CUSUM and the EWMA control charts were able to detect small and large quality changes, but the generation of false alarms of these methods raises a major concern, as they depend directly on their parameter settings. The combination of ADWIN - based on a 30-parts moving window - and the Shewhart chart resulted in a better detection performance able to detect changes in incremental and abrupt patterns. This combination also presented the best performance in generating false alarms when compared to the individual behaviour of the statistical control charts. Consequently, the DSS proposed here can prevent scrap generation, which is a necessary condition to implement the concept of zero-defect manufacturing. A complementary investigation revealed that die temperature impacts DSS performance in detecting incremental changes. It was observed that the recording of temperature or the timestamp data can be used as heuristic strategies to reinforce DSS performance. However, these heuristics should be understood to be very particular to the process studied here and cannot be generalized.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Rafael Kovalechyn, Pablo Deivid Valle, and Dalberto Dias da Costa.
Methodology: Rafael Kovalechyn and Dalberto Dias da Costa.
Investigation: Rafael Kovalechyn.
Discussion of results: Rafael Kovalechyn, Pablo Deivid Valle, and Dalberto Dias da Costa.
Writing – Original Draft: Rafael Kovalechyn and Dalberto Dias da Costa.
Writing – Review and Editing: Rafael Kovalechyn, Pablo Deivid Valle, and Dalberto Dias da Costa.
Resources: Rafael Kovalechyn.
Supervision: Dalberto Dias da Costa.
Approval of the final text: Rafael Kovalechyn, Pablo Deivid Valle, and Dalberto Dias da Costa.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.257-266. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2751

RESEARCH ARTICLE OPEN ACCESS

NEW RECONFIGURABLE IMPLEMENTATION OF PARALLEL INTRA PREDICTION ALGORITHM IN VIRSATILE VIDEO CODING

Wahiba Menasri[1], Abderrezak Gacemi[2], Abdelhalim Tlemçani*[3]

[1,2]Energies and Materials Electronics departement University of Medea, Medea, Algeria.
[3]Electrical Engineering and Automation Research Laboratory (LREA), University of Medea, Medea, Algeria.

[1]http://orcid.org/ 0009-0005-5458-4173, [2]https://orcid.org/0009-0001-8333-7519, [3]http://orcid.org/ 0000-0002-4385-671X

Email: menasri.wahiba@univ-medea.dz, gacemi.abderrezak@univ-medea.dz, tlemcani.abdelhalim@univ-medea.dz

ARTICLE INFO

Article History
Received: September 27, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Versatile Video Coding,
FPGA implementation,
Linear Model Prediction,
Parallel architecture,
VVC intra prediction.

ABSTRACT

Versatile Video Coding (VVC/H.266) introduces significantly enhanced intra prediction technique compared to its predecessors, leading to notable compression efficiency gains, especially for high-resolution and screen content. However, these improvements come at the price of more complexity implementation. VVC intra prediction modes are planar, Direct Component (DC), angular and a novel one Cross-Component Linear Model Prediction (CCLM). This paper presents a novel parallel architecture and an effective FPGA-based implementation of intra prediction algorithm in VVC codec. The intra prediction modes are designed and implemented separately on hardware and software environments in order to validate our proposed solution. After that, full intra prediction design is presented by combining four previously modes and by introducing parallel technique. The improvements of our work are given on three levels, firstly, our FPGA parallel intra prediction implementation can process 6 samples and operate with a good frequency value of 178 Mhz (throughput of 1068 samples/s) with acceptable number of resources in terms of 12000 LUTs. Secondly, the obtained area efficiency is about 0.089 samples/s/ LUTs which is better to that given in literature for VVC intra prediction algorithm. Finally, this work is the only which presents full FPGA implementation of VVC intra prediction.

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I. INTRODUCTION

The H.266/VVC standard is a new and latest video coding technology, which is finalized on 6 July 2020. VVC is developed by the Joint Video Experts Team (JVET) of the International Standardization Organization (ISO/IEC) Moving Picture Experts Group (MPEG) and International Telecommunication Union (ITU-T) Video Coding Experts Group (VCEG) to improve compression efficiency compared with its predecessor HEVC and AVC [1-3]. At the same video quality, especially for Ultra High Definition (UHD) video, the VVC standard currently provides between 25 and 30\% Bitrate saving compared to its predecessor H.265/HEVC [1], [2] but at the cost of increased algorithm complexity. Indeed, VVC is constructed by a modified and improved of many techniques used in HEVC, such as multiple reference frames, Transform Block (TB) sizes, and intra prediction, inter prediction, Sample Adaptive Offset (SAO) and deblocking filter, and CABAC entropy coding [2].

In addition, VVC also introduces a new method aimed at further improving throughput while maintaining the same quality of the processed information such as the new in-loop filtering technologies: Adaptive Loop Filtering (ALF), Cross-Component Adaptive Loop Filtering (CC-ALF) and Luma Mapping with Chroma Scaling (LMCS),.Etc. One of the basic tools used in video codec is the Intra prediction technique. It plays a crucial role in reducing the redundancy within video Intra frames, which result a positive impact on the efficient of video compression. Intra prediction operates on a pixel level within a video picture, predicting the values of pixels based on the neighboring pixels of the same picture. So, it exploits the spatial redundancy present in natural video content by using previously encoded samples to estimate the values of pixels in the current block being encoded [3]. The VVC intra prediction algorithm is modified compared to that adopted in HEVC by extending the number of prediction modes and improved each of them in order to enhance the

prediction efficiency and increase the coding/decoding throughput but at the cost of hard computational complexity. The tools used in intra VVC are the following: firstly, planar and DC interfacial modes which operate with the same principle of operation [4]. Secondly, extended number of angular intra prediction mode TO 65 instead of 32 modes used in the previous video codec HEVC, to estimate pixel values within blocks [1], [5]. Thirdly, the important and the new intra prediction modes in VVC is the Cross-Component Linear Model (CCLM) which eliminate the linear correlation between the luma and chroma components in a coding block [2]. The CCLM mode may be split into three (03) modes according to whether left samples, upper samples or both thereof and may apply only to a chroma component: L_CCLM, T_CCLM and LT_CCLM [6]. This new mode CCLM improves the efficiency of intra prediction which affects directly the overall throughput of the encoding and decoding VVC processes but at the expense of an increase in implementation complexity.

Several works of intra prediction algorithm in the two previous standards AVC and HEVC are proposed in literature based on software and/or hardware implementations, but a few of them are based on the intra prediction in VVC standard. Additionally, little designs are being carried out to the study and hardware implementation with optimized intra prediction algorithm which affect directly the overall throughput of VVC decoding process. Study of intra prediction technique in the latest video coding standard VVC is given in [7]. So, all prediction modes are presented as well as: 65 angular intra prediction modes, DC mode, planar mode and the new mode CCLM. Low-complexity refinements of HEVC intra prediction is proposed in [8] and are applied on the three modes planar, DC and angular mode. The experimental results obtained by JEM-7.0 achieved an average of 0.7\% of coding gain with the same run-time complexity. How is designed an efficient software implementation of the Matrix-Based Intra Prediction modes is presented in [9] based on two techniques: the geometrically transforming technique and a soft-clipping function to improve the integer quantization and to restrict the range of floating-point matrix entries.

The all-Intra bit-rate is savings of 0.6\% across different resolutions. In paper [10], an efficient Field Programmable Gate Array (FPGA) partial implementation of HEVC intra prediction is proposed for 4x4, 8x8, 16x16 and 32x32 angular prediction modes which can process 55 Full HD (1920x1080) frames per second and it has up to 34.66\% less energy consumption than the conventional FPGA implementation of HEVC intra prediction. An efficient FPGA implementation of partial VVC intra prediction algorithm (angular modes) is proposed in [11] for the following prediction unit sizes: 4x4, 8x8, 16x16 and 32x32 pixels. This design can process 34 full HD (1920x1080) frames per second in the worst case. A novel technique is proposed in [12] to reduce the number of computations and energy consumption of angular modes intra prediction algorithm in HEVC codec. This work is designed, implemented using Verilog HDL and applied only for luminance prediction units. The first FPGA implementation proposed in literature of HEVC intra prediction using an HLS tool is given [13].

The proposed design, can process 35 full HD (1920x1080) video frames per second in the worst case. Performance evaluation between two implementation methods software (Central Processor Unit (CPU)) and software/hardware (CPU/FPGA) of intra prediction in terms of area cost, run time and power consumption is implemented in [14]. The obtained results show that the mixed method software/hardware is faster than software implementation with 50\% in term of run time and the power consumption is saved by 80\% approximately. A new optimized implementation of angular modes intra prediction for 4×4 prediction unit is proposed in [15]. This architecture is synthesized with two technologies. The Complementary Metal-Oxide-Semiconductor (CMOS) technology which consume 15010 logic gates and operate at 218 Mhz. The FPGA (Xilinx Virtex 6) technology with 234 MHZ of frequency and consume 1654 Look Up Tables (LUTS).

An efficient VVC chroma intra prediction is proposed in [16], in which the colorization relationship between reference luma and chroma components is exploited to predict the chroma components for the current luma component but it is also partial solution. Multi-samples are predicted in [17-21] with 16, 8 and 8 samples respectively with full FPGA architecture but the solutions are given for HEVC codec. The works [8], [11] and [12] presented FPGA partial intra prediction algorithm (only angular mode) improved the energy consumption, complexity, number of computations, evaluate the performance between software and hardware implementation, …. etc. Otherwise, none of them proposed full FPGA intra prediction implementation with all-prediction modes supported with HEVC and VVC. In this work, we propose Parallel FPGA implementation of full intra prediction modes in the latest video codec VVC.

All prediction modes are implemented Planar, DC, angular modes and the new adopted mode CCLM. After that, these modes are combining to design the multi-samples architecture of VVC intra prediction based on the parallelism of the following stages: 2 parallel DC, 2 parallel planar, 2 parallel angular, and one CCLM modes. This proposed architecture can process multi predicted samples with good area efficiency. Moreover, our work is the only in literature which proposes FPGA implementation of full VVC intra prediction algorithm with four prediction modes. The rest of the paper is structured as follows: In section 2, the VVC intra prediction algorithm is presented. Section 3 is reserved to our proposed design of parallel intra prediction in the four modes adopted in VVC standard followed by the synthesized, validation and comparison results of our work in section 4. Finally, conclusion and perspectives are shown in Section 5.

II. VVC INTRA PREDICTION ALGORITHM

Different tools are called in VVC intra prediction such as: angular intra prediction with 65 angles, Wide-Angle Intra Prediction (WAIP), Matrix-based Intra Prediction (MIP), Multiple Reference Line (MRL) prediction, etc. Meanwhile, VVC intra prediction is based on four modes, where the three modes DC, Planar, 65 intra-angle modes are the same modes called in its predecessor HEVC with extended number of angular direction modes from 33 to 65 (as shown in Fig.1) and the fourth one is new adopted in VVC, CCLM mode which is sub-divided into 3 CCLM modes. For example, the intra prediction mode be indexed as shown in Table 1 below.

II.1 DC MODE INTRA PREDICTION

In this mode, the predicted samples (PredSamples) are obtained by using the following three equations and depends on the size of the current block to be processed and the position of samples in within the block. The predicted block size can be equal to: 4 x 4, 8 x

8, 16 x 16, 32 x 32 and 64 x 64. One of the three equations (Eq1, Eq2 and Eq3) is selected to get the PredSamples in this mode which is equal to DC value (ValDC). The (x, y) variables can be ranging between the following values (x = 0..nTbW \− 1, y = 0..nTbH \– 1).

$$\text{ValDC} = \left(\sum_{x'}^{nTbW-1} p[x'][-1 - refIdx] + \sum_{y'}^{nTbH-1} p[-1 - refIdx][y'] + nTbW \right) >> \left(Log2(nTbW) + 1 \right) \quad (1)$$

$$\text{ValDC} = \left(\sum_{x'}^{nTbW-1} p[x'][-1 - refIdx] + \left(nTbW >> 1 \right) \right) >> Log2(nTbW) \quad (2)$$

$$\text{ValDC} = \sum_{y'}^{nTbH-1} p[-1 - refIdx][y'] + \left(nTbH >> 1 \right) >> Log2(nTbH) \quad (3)$$

Table 1: VVC Intra prediction modes.

Intra prediction mode	Associated name
0	INTRA_PLANAR
1	INTRA_DC
2.66	INTRA_ANGULAR2..INTRA_ANGULAR66
81.83	INTRA_LT_CCLM, INTRA_L_CCLM, INTRA_T_CCLM

Source: Authors, (2025).

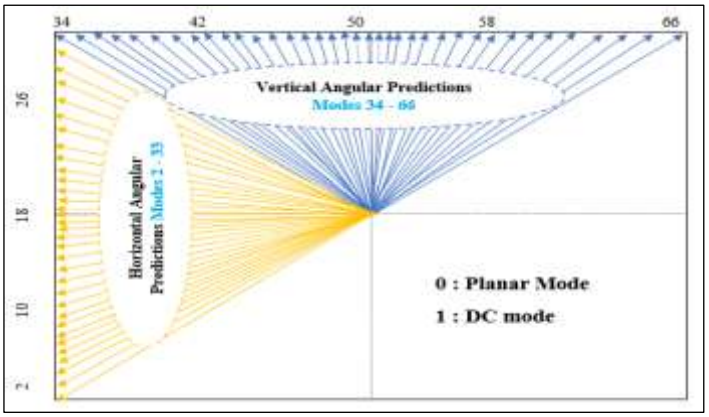


Figure 1: Angular directions, planar and DC Intra prediction modes in VVC standard.
Source: Authors, (2025).

II.2 PLANAR MODE INTRA PREDICTION

In the VVC Planar mode adopted, the predicted samples are obtained as a weighted average of 4 reference samples values. Here, the reference samples in the same row or column as the current sample and the reference samples on the bottom-left and on the top-right position with respect to the block are used [7]. According to the standard \cite{b4}, the planar mode is called for all prediction blocks sizes. At the picture level, this mode is perfect and applied for the image that does not result any discontinuities and does not contain edge model. In order to get the PredSamples in planar mode we use the equation Equ.6, which is based on the two following signal variables: Horizontal PredH[x][y] and Vertical PredV[x][y] obtained using the Equ.4 and Equ.5 respectively. The x and y position are ranging between 0 and (nTbH×nTbW-1).

$$predH[x][y] = ((nTbW - 1 - x) \times p[-1][y] + (x + 1) \times p[nTbW][-1]) << Log2(nTbH) \quad (4)$$

$$predV[x][y] = ((nTbH - 1 - y) \times p[x][-1] + (y + 1) \times p[-1][nTbH]) << Log2(nTbW) \quad (5)$$

$$predSamples[x][y] = (predV[x][y] + predH[x][y] + nTbW * nTbH) >> (Log2(nTbW) + Log2(nTbH) + 1) \quad (6)$$

II.3 ANGULAR MODE INTRA PREDICTION

In VVC standard, the number of directional modes available for a block to be processed is about 65 directions as given in Figure.1. Each direction has a specifique indices ranging from 2 to 66 and divided into two types according to the directions:

- ✓ Horizontal angular prediction modes (2 to 33 Directions);
- ✓ Vertical angular prediction modes (34 to 66 Directions).

The number of modes distribution depends on the type of partitioning prediction block:

- ✓ For blocks of square shape, an equal number of angular modes is assigned to the top and left side of a block;
- ✓ For intra blocks of rectangular shape, more intra prediction directions are assigned to the longer side of a block.

II.4 CCLM MODE INTRA PREDICTION

VVC intra prediction includes a new prediction mode CCLM in order to improve the coding/decoding efficiency by exploiting and predicting the redundant information of chroma samples from corresponding reconstructed luma samples. Moreover, the CCLM

mode is assumed that the chromaticity pixel of the same coding block is linear with the corresponding luma pixel value [18]. Fig.2 presents the pixel values that need to be used in the calculation process, the prediction is carried out using a linear function (with a and b parameters) in the form equation (Equ.7):

$$P(i,j)=a\times rec_L(I,j) \quad (7)$$

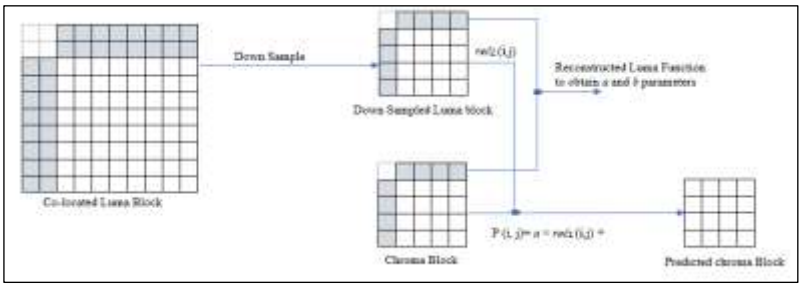


Figure 2: CCLM intra prediction mode process in VVC Standard.
Source: Authors, (2025).

With P(i; j) : the predicted chroma samples in a CU. recL: Reconstructed luma samples of the same CU which are down sampled for the case of non- 4:4:4 color format. a and b: Linear parameters.
The intra prediction mode include CCLM mode for chroma samples in addition to the above-described intra prediction modes. This mode is divided into three sub-modes namely:

- ✓ L_CCLM (Left Cross Component Linear Model): the prediction is applied according to the left samples);
- ✓ T_CCLM (Top Cross Component Linear Model): the prediction is applied according to the top samples);
- ✓ LT_CCLM (Left Top Cross Component Linear Model): the prediction is applied according to the left and top samples).

One of three sub-modes is activated according to the following conditions:

- ✓ T_CCLM intra mode is activated when predModeIntra = INTRA T CCLM;
- ✓ L_CCLM intra mode is activated when predModeIntra = INTRA L CCLM;
- ✓ LT_CCLM intra mode is activated when predModeIntra = INTRA LT CCLM.

III. ROPOSED DESIGN OF VVC PARALLEL INTRA PREDICTION ALGORITHM

Our proposed block diagram of VVC intra prediction algorithm is shown in Figure 3 which is constructed by: two DC, two Planar, and two Angular and CCLM stages. This design is based on functional blocks where each block performs a specific task. According to the VVC standard, each mode is responsible to predict the PredSamples from the reconstructed and referenced ones. The novelty of the proposed hardware architecture is to increase the throughput of prediction with maintain acceptable number of resouces. Additionally, some techniques are adopted in this work in order to increase the peak of prediction to 6 samples per cycle such as:

- ✓ The rearrangement of memory (decrease the number of Block of Read Only Memory (BRAMs)) which is based on the storage of the data called at the same time in the same memory;
- ✓ Parallel technique is adopted between and within four modes stages.

As shown in figure 3, all stages called in the parallel architecture of VVC intra prediction will be detailled in the following sub-sections:

III.1 PROPOSED DESIGN OF DC PREDICTION MODE

The following Figure 4 shows our proposed design of DC mode in VVC intra prediction. At the input, different variables and fixed values are used to obtain the PredSamples. The inputs variables of this mode and their meanings are:

- ✓ nTbW: transform block width;
- ✓ nTbH: transform block height;
- ✓ refIdx specifying the intra prediction reference line index.

III.2 PROPOSED DESIGN OF PLANAR PREDICTION MODE

Figure 5 represents the calculation of predsamples using a set of variables and fixed values, specified by VVC standard. The Inputs variables of this architecture and their meanings are the following: nTbW, nTbH, and (x,y): position of current pixel.

III.3 PROPOSED DESIGN OF ANGULAR PREDICTION MODE

The predsamples in this mode are obtained as it is depicted in Figure 6 and Figure 7 respectively. The proposed design is divided into two parts (Angular part1 and Angular part2) to present better this algorithm and to give more details. The predicted angular samples horizontal or vertical is obtained by using a set of variables and fixed values: cIdx: Color component Index for current block, RefIdx: Intra Reference Line Index; predModeIntra: intra prediction mode, nTbW: transform block width, nTbH: transform block height, refW: reference samples width, refH: reference samples height, nCbH: coding block height, nCbW: coding block width, refFilterFlag: reference filter flag, P[x][y]: neighbouring samples. In order to get the predsamples, the output (character “A” in a closed yellow circuit) of Angular

part1 given in Figure 6, s used as input for Angular part2 presented in Figure 7. The parallel and pipeline techniques are adopted to reduce the path delay and increase the number of predicted samples.

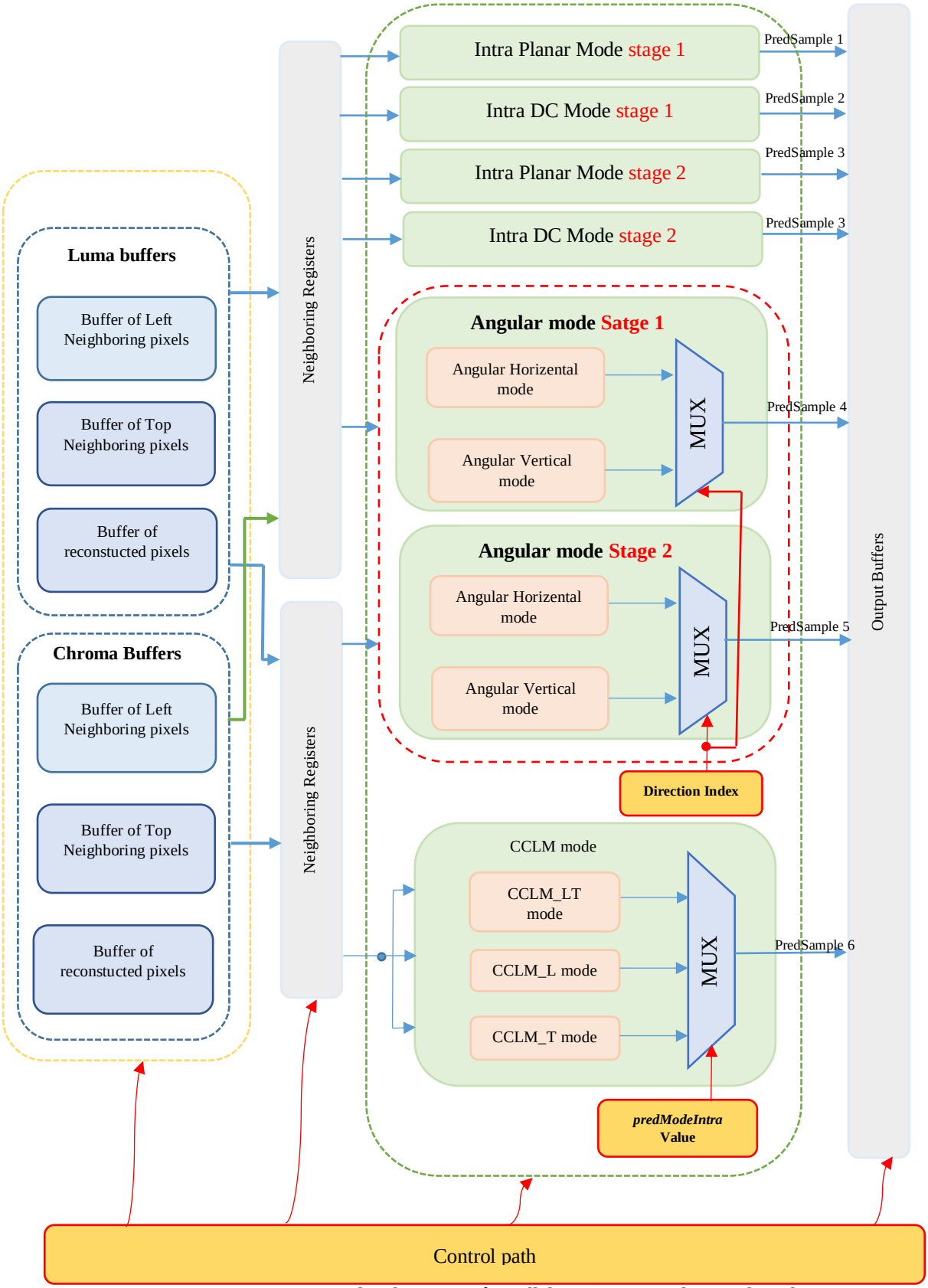


Figure 3: Proposed architecture of parallel VVC intra prediction algorithm.
Source: Authors, (2025).

III.4 PROPOSED DESIGN OF CCLM PREDICTION MODE

In this mode, the predsamples are obtained by using our proposed design which is also divided into two parts (CCLM part1 and CCLM part2) and presented in Figure 8 and Figure 9 respectively. Inputs to this process are: cIdx: Color component Index for current block, predModeIntra, nTbW, nTbH, (xTby,yTby): Luma location of top-left sample of current transform block, P[x][y] : neighboring samples. The output of CCLM part1 in Figure 8 (character “A” in a closed yellow circuit) is one of inputs of CCLM part2 Figure 9 in order to get the predsamples.

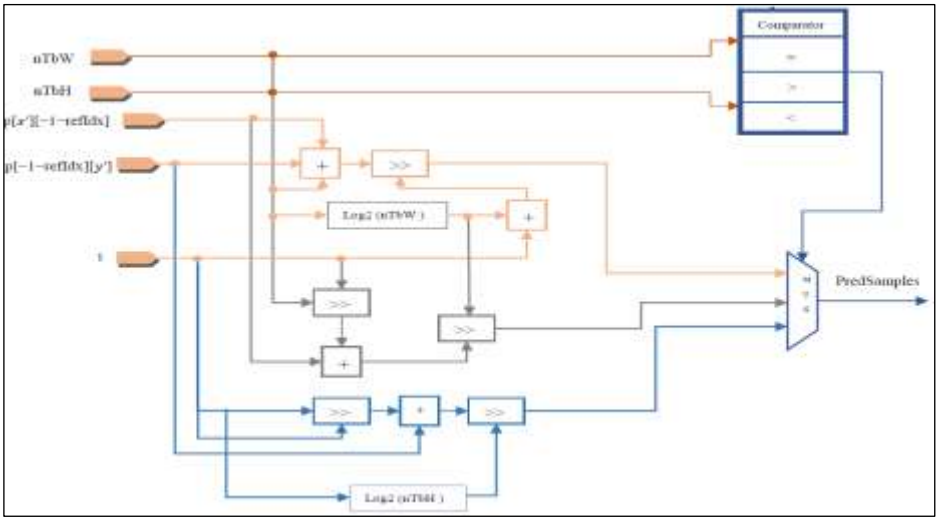


Figure 4: Proposed architecture of DC VVC intra prediction.
Source: Authors, (2025).

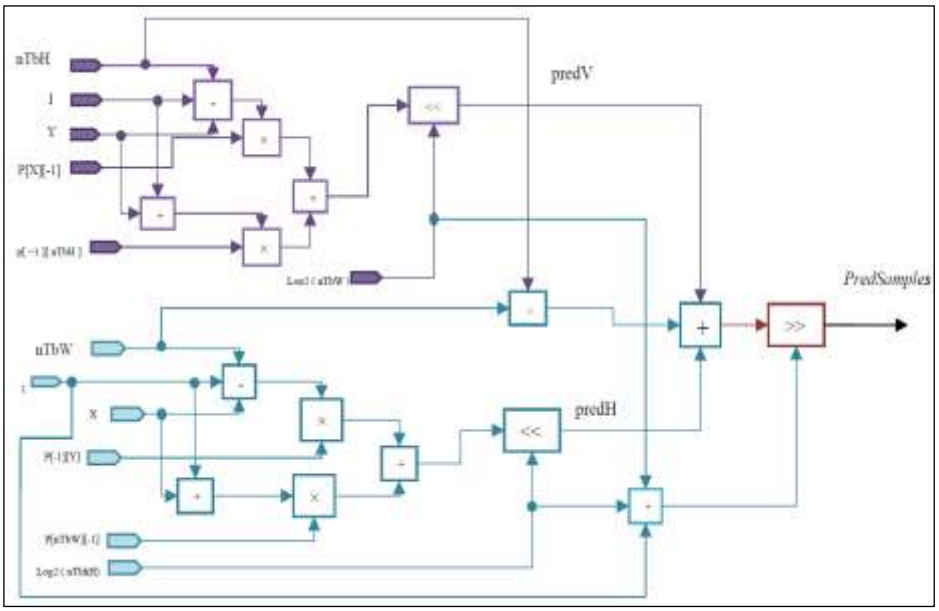


Figure 5: Proposed architecture of Planar VVC intra prediction.
Source: Authors, (2025).

III.5 PROPOSED DESIGN OF CONTROL PATH FSM prediction

The control step of our proposed algorithm of intra prediction modes is based on Finite State Machine (FSM) and is charged to manage the generation of predsamples for the four modes in VVC standard. This FSM Prediction is constructed with twelve 12 transition States as shown in Figure 10. Each transition state is reserved to control and manage the following operations:

- ✓ State 1: is charged to initialize the VVC intra prediction algorithm;
- ✓ State 2: is charged to initialize the prediction modes for chroma samples;
- ✓ State 4: is charged to initialize the prediction modes for luma samples;
- ✓ State 21 to state 24: are reserved to control the 4 prediction modes (DC, Planar, Angular and CCLM modes) respectively;
- ✓ State 31 to state 32: activate and deactivate the Horizontal and Vertical directions for angular mode;
- ✓ State 33 to state 35: activate and deactivate the 3 CCLM modes (CCLM LT, CCLM L and CCLM T);
- ✓ Eni: activation signals for each step;
- ✓ Donei: deactivation signals for each step (end of process).

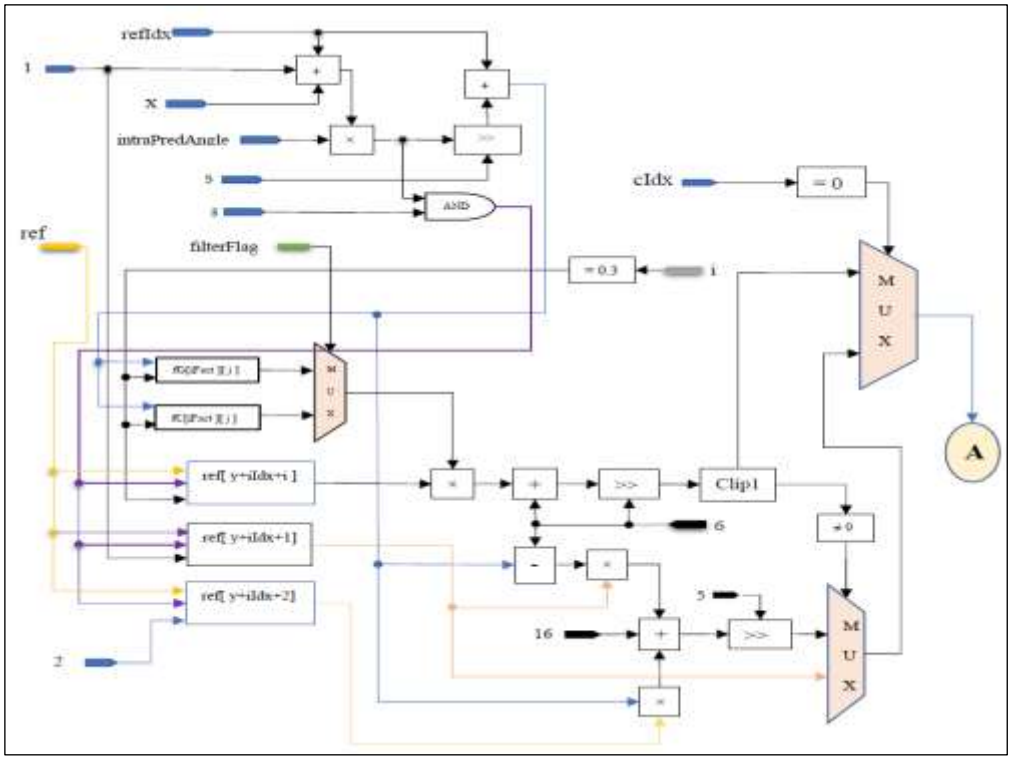


Figure 6: Block diagram showing Low-Level design of Angular part1 mode in VVC intra prediction.
Source: Authors, (2025).

IV. EXPERIMENTAL RESULTS

This work is described in VHDL language of ISE description environment, targeted an FPGA device Virtex 7 version and simulated on ModelSim. Moreover, the structural and behavioral architectures are adopted for both data flow and control flow.

IV.1 SYNTHESIZED RESULTS OF OUR WORK

Table.2 listed the synthesized results of VVC intra prediction modes designs separately. We can see clearly that the CCLM mode consumes more resources compared to the other modes namely: angular, planar and DC. Moreover, the CCLM and the angular use the same number of DSP Block and BRAM components. According to listed values in this table, we can see that angular and CCLM modes designs consume more resources compared to DC and Planar designs especially the Digital signal processing (DSP) blocks. Hence, it is signaled that DSP48E1 blocks are used in cases that contain operands multiplication, addition and subtraction of large sizes numbers (25 x 18 bits for multiplier, 25 bits for adder and subtractor).

Table 2:The synthesized results of DC, Planar, Angular and CCLM prediction modes designs.

	Slice	LUT	Slice FF	BRAM	DSP Block
DC mode	24	22	47	1	0
Planar mode	27	25	216	1	0
Angular mode	23	15	295	2	20
CCLM mode	33	18	370	2	10
Clause.6.4.4	45	21	98	0	2

Source: Authors, (2025).

IV.2 COMPARISON RESULTS OF OUR DESIGN OF VVC INTRA PREDICTION MODE

In Table 3, we compare our proposed results of FPGA implementation of VVC intra prediction algorithm with those existing in literature. The works W1, W2, and W3 proposed partial intra prediction implementation with generation of only single samples per cycle against full implementation proposed in W4, W5, W7, and our work with multi-samples per cycle. Moreover, W1, W2, W4, W5, and W6 process the video data in HEVC codec, but our work and W3 are compatible to VVC codec. This implementation and all proposed works can used 4 to 32 PUs sizes and support all angular direction (33 directions for HEVC and 65 directions for VVC). W4 and W6 give high throughput of 2800 Samples/s and 1200 Samples/s respectively for HEVC codec which are greater than that given by our proposed work; otherwise, the resources are really very important that can reach 31200 LUTs in W4 compared to our work with only 12000 LUTs and can generate a good prediction throughput about 1068 Samples/s and in VVC codec. The area efficiency of our architecture is equal to 0.089 Samples/s/LUTs which is the better one compared to all proposed VVC intra prediction implementation. The only work where that obtains the same value of area efficiency is W4; however, this work proposed full HEVC intra prediction with three modes of prediction: DC, planar, and angular compared to our implementation of full VVC intra prediction with four prediction modes: DC, Planar, angular, and the new one CCLM.

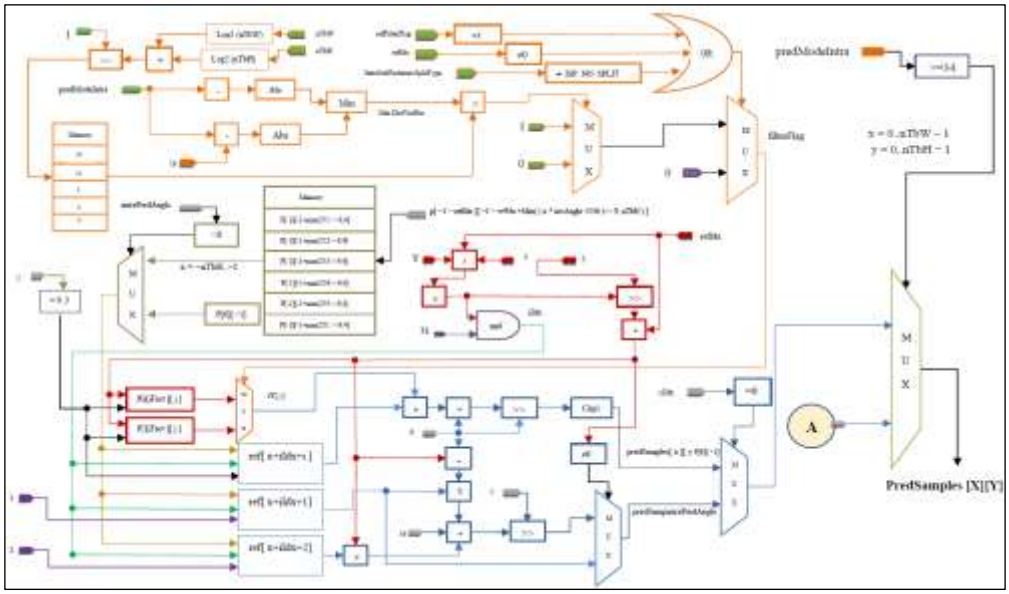


Figure 7: Block diagram showing Low-Level design of Angular part2 mode in VVC intra prediction.
Source: Authors, (2025).

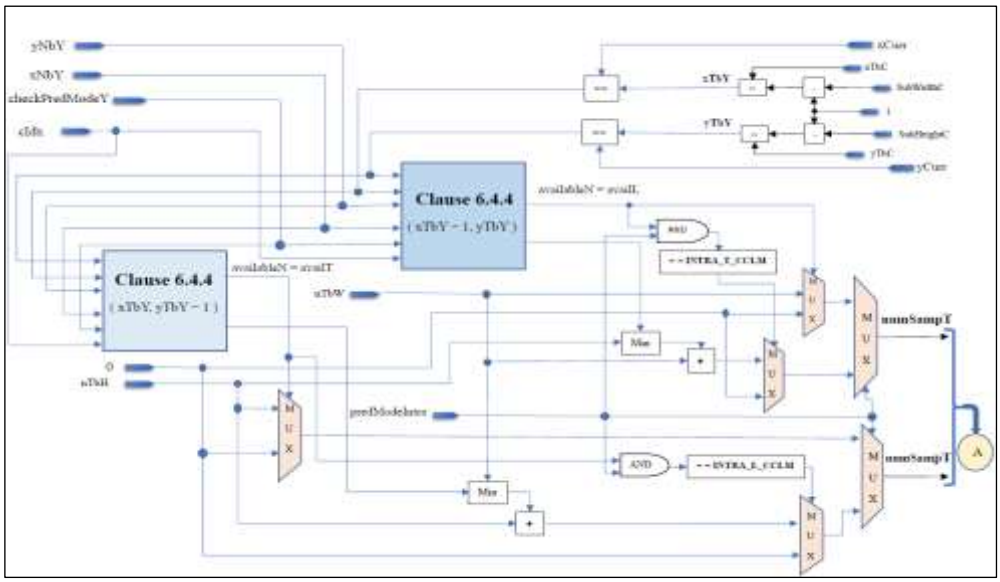


Figure 8: Block diagram showing Low-Level design of CCLM part1 mode in VVC intra prediction.
Source: Authors, (2025).

Table 3: Comparison of the proposed work with other similar works in literature.

Intra prediction works	W1 [12]	W2 [8]	W3 [11]	W4 [19]	W5 [20]	W6 [21]	Proposed Work
Year	**2017**	**2018**	**2019**	**2019**	**2020**	**2022**	**2025**
Intra prediction Version	**HEVC**	**HEVC**	**VVC**	**HEVC**	**HEVC**	**HEVC**	**VVC**
FPGA Technology	Virtex-6 (40nm)	Virtex-6 (40nm)	Virtex-7 (28nm)	Kintex-7 (28nm)	Kintex-7 (28nm)	Artix-7 (28nm)	Virtex-7 device
PU Size	4, 8, 16, 32	4, 8, 16, 32	4, 8, 16, 32	4, 8, 16, 32	4, 8, 16, 32	4, 8, 16, 32	4, 8, 16, 32
Directional mode	All	All	All	All	All	All	All
Samples/cycle	1	1	1	16	8	8	6
Frequency (MHz)	250	227	119	175	110	150	178
Throughput (Samples/s)	250	227	NA	2800	880	1200	1068
BRAMs	3 Kb	4 Kb	3.2 Kb	62 Kb	NA	NA	4 BRAMs
Blocks DSP	NA	10	60	NA	40	40	32
Resources (LUTs)	6013	4425	46382	31200	16000	16200	12000
Full intra prediction modes	Partial (Angular)	Partial (Angular)	Partial (Angular)	Full Intra modes	Full Intra modes	Full Intra modes	Full Intra modes
Area Efficiency (Samples/s/ LUTs)	0.041	0.051	NA	0.089	0.055	0.074	0.089

Source: Authors, (2025).

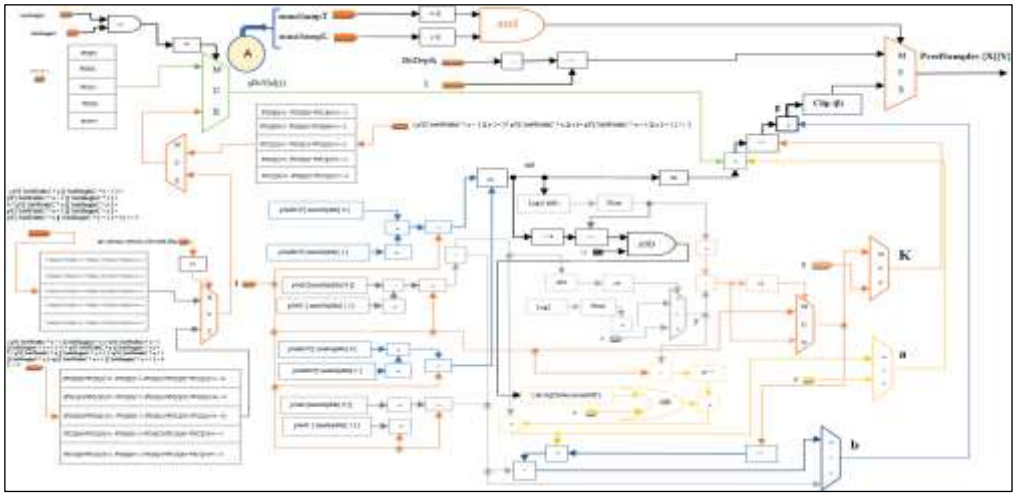


Figure 9: Block diagram showing Low-Level design of CCLM part2 mode in VVC intra prediction.
Source: Authors, (2025).

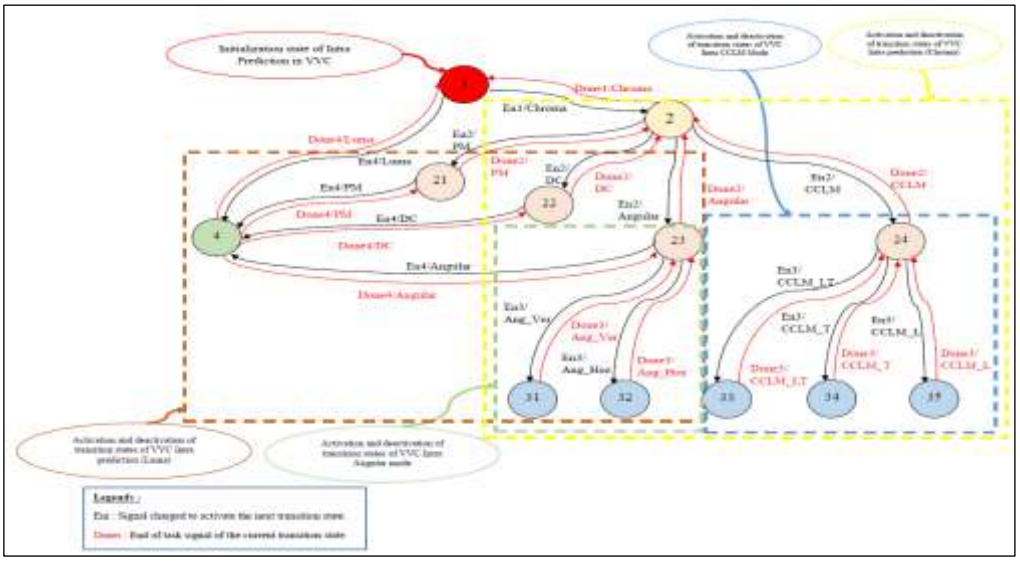


Figure 10. Block diagram showing Low-Level design of control path FSM Prediction Modes.
Source: Authors, (2025).

V. CONCLUSIONS

In this work, a new parallel architecture of VVC intra prediction algorithm is proposed implemented on FPGA device and can process multi-samples per cycle. Two different optimization techniques are adopted in this work namely: parallelism to improve the throughput and memory rearrangement to increase the number of block RAM. So, we have designed, implemented and simulated the four prediction modes separately: DC, Planar, Angular and the newest CCLM modes in order to verify the good functioning of each of them before passing to the Full intra prediction architecture. The synthesized results show that our full intra prediction architecture can process 6 predicted samples per cycle and operate at frequency of 178 MHz. Moreover, a good value of throughput is obtained, which is about 1068 samples/s with acceptable number of resources in terms of 12000 LUTs. The area efficiency is the better one compared to all works in literature of Full VVC intra prediction with value of 0.089 Samples/s/LUTs. Furthermore, this work is the only which presents an efficient FPGA implementation of VVC intra prediction algorithm with full prediction modes. As perspectives, we are going to realize an FPGA implementation of intra VVC encoding algorithm with low energy consumption.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.
Methodology: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.
Investigation: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.
Discussion of results: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.
Writing – Original Draft: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.
Writing – Review and Editing: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.
Resources: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.
Supervision: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.
Approval of the final text: Mukanda Kere Wanyama, Michael Nakitare Waswa and Linda Ouma.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.267-274. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2752

RESEARCH ARTICLE OPEN ACCESS

DESIGN OPTIMIZATION AND PERFORMANCE EVALUATION OF VENTURI DUCT-INTEGRATED COOLING SYSTEMS FOR PERMANENT MAGNET SYNCHRONOUS MOTORS IN ELECTRIC TWO-WHEELERS APPLICATIONS

D Roshan[1], C Dineshkumar*[2], N S Shafeer Ahmed[3], Mohamed Jaheen[4], Mohammed Rizwan[5]

[1,2,4,5] Department of Automobile Engineering, B S Abdur Rahman Crescent Institute of Science and Technology, Chennai, Tamil Nadu,India.
[3]Department of Civil Engineering, B S Abdur Rahman Crescent Institute of Science and Technology, Chennai, Tamil Nadu,India.

[1]https://orcid.org/0009-0002-0839-422X, [2]https://orcid.org/0000-0002-2393-5293, [3]https://orcid.org/0000-0001-6910-9985, [4]https://orcid.org/0009-0005-6935-7272, [5]https://orcid.org/0009-0003-7371-1997.

Email: roshanindia@gmail.com, *contactdinesh90@gmail.com, shaffircrescent@gmail.com, jaheenmohamed6@gmail.com, mohriz3116@gmail.com.

ARTICLE INFO

Article History
Received: September 28, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
PMSM,
Venturi Duct,
CFD,
Thermal Management,
Electric Vehicle.

ABSTRACT

Effective thermal management is very important for making Permanent Magnet Synchronous Motors (PMSMs) more efficient, reliable, and lasting, especially in electric two-wheelers. This study examines the design of a cooling system that uses a Venturi duct to remove heat from a 5 kW PMSM motor more effectively. The Venturi duct was specially designed to increase airflow and improve the removal of heat from the motor housing. The study used Computational Fluid Dynamics (CFD) simulations under normal operating conditions, which included an inlet airflow speed of 3 m/s and an ambient temperature of 30 °C. It looked at how air moves, the temperature of the motor's surface, and how heat is transferred. The results showed that the Venturi duct creates more even airflow and lowers the motor's surface temperatures far more than without the duct. The study also shows how the shape of the duct affects cooling performance, proving that adding a Venturi duct is a cost-effective, small, and dependable way to manage heat in PMSMs used in electric two-wheelers. These findings help in creating better ways to control temperature, which in turn improves the motor's life and performance in future electric vehicles.

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I. INTRODUCTION

Effective thermal management is important for improving the performance and lifespan of electric vehicle motors. Computational Fluid Dynamics (CFD) simulations have given useful information about how heat is created and removed in Permanent Magnet Synchronous Motors (PMSMs). By improving cooling airflow paths and using better materials, these motors can work at much lower temperatures, which makes them more efficient. Different cooling methods, like forced air and liquid cooling, are important for keeping motors reliable in tough conditions. This research shows that it's important to balance how complicated a cooling system is with how well it works to create practical and efficient solutions [1]. CFD studies on brushless DC (BLDC) motors have found important hotspots and shown that changing airflow patterns can lower peak temperatures, which improves motor reliability and efficiency [2]. Also, simulations of PMSM cooling strategies show that redesigning coolant channels helps reduce operating temperatures, allowing motors to perform better in harsh environments [3]. This highlights the need for cooling designs that are made specifically for each motor setup. Moreover, detailed thermal models confirm that increasing airflow speed improves heat removal, and experimental data back up the accuracy of these simulations [4]. Building on this, the paper also looks at how cooling channel design affects the thermal behaviour of BLDC motors in electric vehicles, using CFD to optimize channel sizes for the best heat dissipation.

The optimized channels help reduce motor temperature and thermal stress. This improves overall motor reliability and efficiency. The study underscores how geometric changes can enhance cooling effectiveness [5]. This research compares various cooling techniques for PMSM motors in EVs using CFD analysis. Liquid cooling is shown to better control temperatures compared to air cooling. Effective cooling directly influences motor efficiency and helps prevent overheating. The study highlights the need for advanced cooling solutions in high-performance motors. It recommends liquid cooling for sustained motor operation [6]. The study evaluates how rising motor temperatures reduce efficiency due to increased electrical resistance. It proposes cooling methods to mitigate thermal losses and sustain performance. Simulations reveal that managing temperature is key to maximizing energy efficiency. Better thermal control can extend battery life and vehicle range.This emphasizes the link between temperature regulation and motor efficiency [7]. This paper models heat transfer within EV motors under various load scenarios to improve design understanding. Results indicate that accurate thermal modelling is critical for predicting motor behaviour.

Implementing cooling improvements based on these insights enhances durability. The study integrates thermal and electrical factors for comprehensive motor analysis. It suggests a holistic design approach for improved performance [8]. The authors examine design modifications for BLDC motors to improve thermal management. CFD results highlight areas where traditional designs fail to cool effectively. Introducing new cooling paths reduces hotspot formation and thermal stress. The improved design leads to better reliability and higher power output. This study provides actionable improvements for motor design in electric vehicles [9]. This research validates CFD-based thermal analysis with experimental testing on EV motors. The results confirm that simulation accurately predicts temperature patterns and cooling efficiency. Different cooling configurations are assessed to find the most effective solutions. The study stresses the importance of real-world testing to support simulation results. This combined approach helps optimize thermal management in EV motors [10].

The use of advanced materials optimized through ANSYS significantly improved suspension durability, strength, and riding comfort in two-wheelers, contributing to better safety and performance [11]. A good method to compare various cooling techniques for PMSMs shows that improved cooling designs can greatly reduce motor temperatures [12]. It looks at the main cooling methods used for PMSMs and how well they work in real situations, giving clear information on which ones offer better efficiency and fit well with more advanced uses [13]. A new intake manifold design improved airflow and combustion efficiency. Trials with alternative fuels showed lower emissions and better performance in diesel engines [14]. Studies on review different air-cooling strategies for PMSMs by comparing analytical and experimental results [15]. In machining, using metal bases with rubber layers helped reduce tool vibrations, which improved process stability and tool life [16]. 3D model that shows both fluid flow and heat movement for an in-wheel PMSM.

They run simulations for different cooling methods, and show which cooling setups work best to keep temperatures from rising too much when the EV is under varies load [17]. Crash tests on five-point seat belts showed better protection during front collisions, lowering injury risks [18]. Using IoT in the auto industry has pushed digital changes, making vehicles more automated, connected, and efficient [19]. Recent studies on simple car models with side vortex generators showed a decrease in aerodynamic drag and better vehicle stability, which together help improve driving performance [20]. At the same time, a lot of research has been done to create good cooling solutions for Permanent Magnet Synchronous Motors (PMSMs), to keep their performance and reliability high even when they are working hard. Different cooling duct setups, like parametric designs and water-jacket systems, have been looked into to make heat removal more efficient and stop parts from getting too hot. Also, detailed reviews of air-cooling and hybrid cooling methods highlight how important they are for keeping motor temperatures steady.

All these findings show that well-designed cooling systems are key to making motors more efficient, lasting longer, and working reliably in tough situations. Moreover, the practice of variable geometry micro channel heat exchangers improves the effectiveness of automotive air conditioning systems. These improvements lead to better general vehicle performance and comfort [21-24]. The research found that a real-time vehicle monitoring system model had designed and analysis, the design can find problems early and stop unexpected mechanical issues, and it also helps drivers react faster with timely warnings, which makes driving safer [25]. The research showed that aloe vera and hemp mixed fibers make bio-composites stiffer without adding much weight, and their ability to handle heat and movement makes them good for lightweight vehicle parts [26].

The work showed that using both rivets and glue in GRP joints makes them stronger and spreads the force better, which lowers the risk of the joints breaking compared to using just one method [27]. The analysis showed that the shape of a vehicle chassis affects how stress is spread and how much weight it can handle, and using different composite materials can cut weight while keeping the structure strong [28]. The test results proved that a system that watches a driver's condition can accurately spot when they're tired or not paying attention, and the warnings from the system help reduce the chance of accidents in vehicle [29]. The survey showed that riding a motorcycle for long periods causes both physical tiredness and mental exhaustion, and making the bike more comfortable along with taking planned breaks can greatly reduce how tired riders feel, the design used for the setup was analysed and valudated in real time for measuring the accurate results [30].

II. MATERIALS AND METHODS

The methodology to design, improve, and study the cooling system that uses a venturi duct for a 5 kW PMSM motor in electric two-wheelers is explained below:

III MOTOR AND COOLING REQUIREMENT ANALYSIS

- A 5-kilowatt permanent magnet synchronous motor, which is often used in electric two-wheelers, was chosen as the test case.
- The motor’s rated operating conditions, thermal limits, and critical components were analyzed to determine heat dissipation requirements.
- Ambient conditions were considered at 30 °C, representing typical urban operating scenarios.

IV. VENTURI DUCT DESIGN

- A venturi duct geometry was designed to accelerate airflow and enhance convective heat transfer around the motor housing.
- Key design parameters included the inlet diameter, throat diameter, duct length, and expansion angle.
- The design ensured a balance between airflow acceleration and compact integration with the two-wheeler motor casing.

V. COMPUTATIONAL MODELLING

- The PMSM motor and venturi duct assembly were modelled in a CAD environment.
- Surface and fluid domains were created to define air flow passages around the motor.
- Boundary conditions were set to simulate a steady airflow of 3 m/s entering the venturi duct, with ambient temperature maintained at 30 °C.

VI. CFD SIMULATION SETUP

- CFD simulations were performed using appropriate software (e.g., ANSYS Fluent).
- The air was treated as an incompressible fluid with constant properties at ambient conditions.
- Turbulence was modelled using the k-ε model to capture airflow behaviour in the duct.
- Heat generation from the motor was applied based on rated power loss calculations.

VII. ANALYSIS AND PERFORMANCE EVALUATION

- Simulations provided airflow velocity distribution, temperature contours, and heat flux across the motor surface.
- Key performance metrics included motor surface temperature reduction, heat transfer coefficient, and airflow uniformity.
- Comparative analysis was performed with a baseline case (motor without venturi duct) to quantify improvement.

VII. OPTIMIZATION CONSIDERATIONS

- Parametric variations of duct geometry (throat diameter, inlet/outlet angles, and duct length) were analyzed to identify the configuration with maximum cooling effectiveness.
- Optimized design ensured minimal pressure drop while achieving significant thermal performance enhancement.

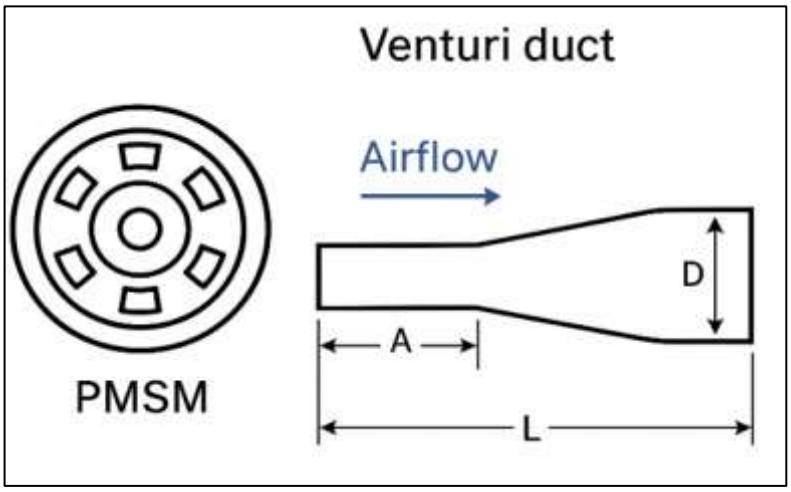


Figure 1: Simple schematic layout of venturi duct of PMSM.
Source: Authors, (2025).

The schematic shows a Venturi duct designed for a PMSM (Permanent Magnet Synchronous Motor) cooling system. The duct tapers from a smaller inlet (A) to a larger outlet (D), creating an accelerated airflow across the motor. The air enters from the left, passes over the motor, and exits through the expanded section, enhancing forced convection and improving thermal management. The total length of the duct is called L, with, A showing the width at the beginning and D showing the width at the end. This setup helps guide and boost the airflow around the motor, which keeps the motor running at the right temperature. Table 1 lists the material properties of the permanent magnet synchronous motor.

IX. DATA AND MOTOR DESIGN

***Motor Type*:** Surface-mounted PMSM.

- ***Key Dimensions:***

  Stator outer diameter: 120 mm
  Rotor diameter: 100 mm
  Axial length: 60 mm

Air gap: 0.5 mm.

- ***Cooling Ducts:***

Number: 1(Design)

Cross-sectional area: 20, 25, 30mm² each

Positioned evenly around the stator circumference.

- ***Operating Conditions:***

Rotational speed: 2000-3000 rpm

Heat generation (losses): 120 W (distributed in stator windings and rotor magnets)

Air inlet velocity: 3 m/s and Ambient temperature: 30°C.

Table 1: Material Properties of Permanent Magnet Synchronous Motor (PMSM).

Solid Properties				
Part Name	**Material Name**	**Density (kg/m³)**	**Specific Heat (J/kgK)**	**Thermal Conductivity (W/mK)**
Stator Iron	M36	7872	448	28
Stator Winding	Enamelled Copper	8933	385	349
Rotor Iron	M36	7872	448	28
Rotor Plate	M36	7872	448	28
Housing	ADC 12	2820	963	92
Front & Rear Cover	ADC 12	2820	963	92
Magnet	NdFeB-N40SH	7500	460	7.6
Bearing	Stainless Steel Casing	7872	470	46
Shaft	SAE J403 1045	7872	486	50.9
PCB	FR4	1450	1050	0.4
Sensors	Polyamide 66 GF30	0.25	1140	1100
Stator Paper	Nomex	1380	1200	0.157
Fasteners	Steel	7872	486	50.9
Magnetic Sensor	NdFeB-Magnet	7500	460	7.6

Fluid Properties					
Part Name	**Material Name**	**Density (kg/m³)**	**Specific Heat (J/kg·K)**	**Thermal Conductivity (W/m·K)**	**Dynamic Viscosity (kg/m·s)**
Enclosure	Air	Air variable	Air variable	Air variable	Air variable

Source: Authors, (2025).

X. DESIGN AND ANALYSIS OF PMSM MOTOR

X.1 AXIAL VENTURI DUCT DESIGN ANALYSIS WITH PMSM

From Figure 2 and 3, the CFD analysis of the axial Venturi duct shows how the airflow helps cool the motor parts. The duct has a wide part at the front and a narrower section in the middle, which makes the air move faster as it goes toward the motor. This faster-moving air helps remove heat more effectively from the magnets and bearings. The results show that the magnet temperature is around 58°C in the hottest area and slowly goes down as the air moves through, proving that the duct is good at cooling. For the bearings, the airflow helps keep the temperature in important areas low, keeping them within a safe range of about 51-58°C. Overall, the Venturi duct helps provide even cooling and stops the motor parts from getting too hot.

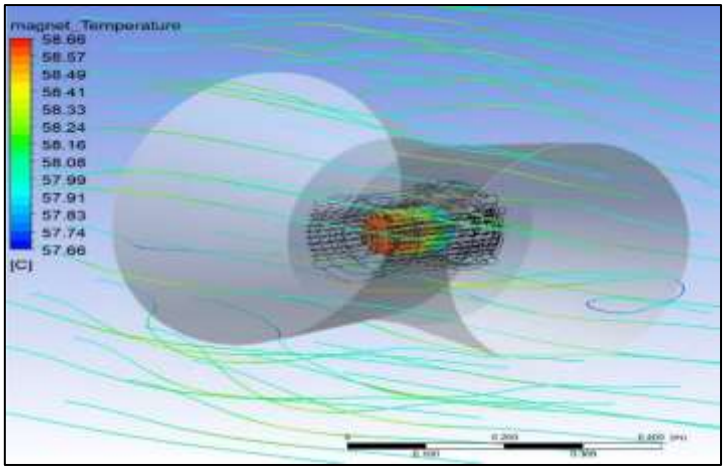


Figure 2:Temperature variation of Magnet.
Source: Authors, (2025).

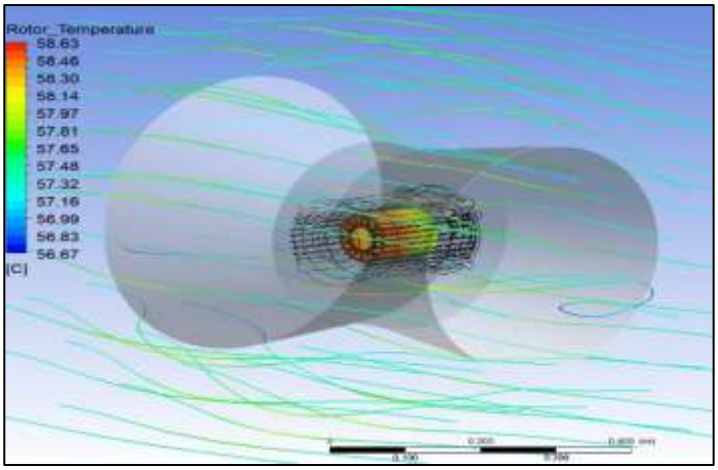


Figure 4: Temperature variation of Rotor
Source: Authors, (2025).

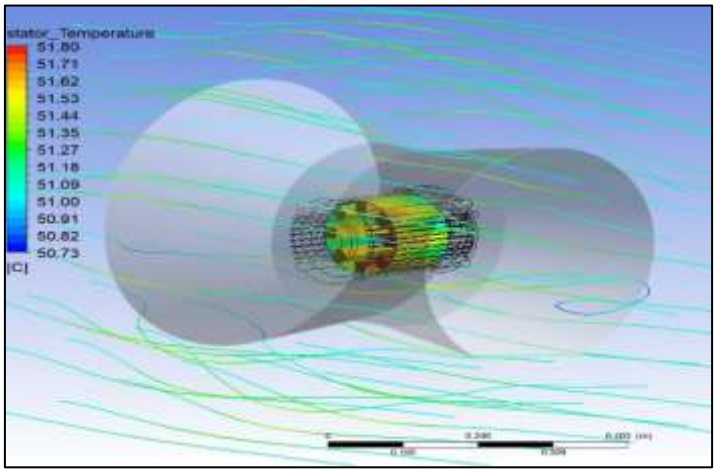


Figure 3: Temperature variation of Bearing.
Source: Authors, (2025).

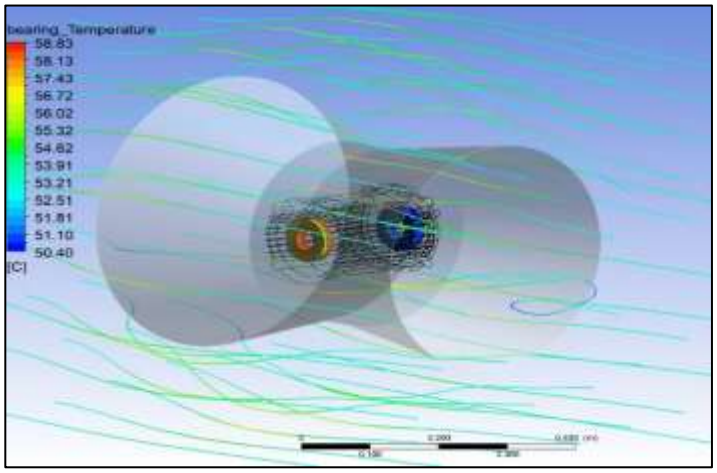


Figure 5: Temperature variation of stator.
Source: Authors, (2025).

Figure 4 and 5, shows the CFD analysis of the axial Venturi duct, and it also shows how temperature is distributed across the rotor and stator surfaces. On the rotor side, the highest temperature is about 58.6 °C in the center area. The airflow inside the Venturi duct helps take away heat, which makes the temperature go down as the air flows through the system. This cooling keeps the rotor at a steady temperature, even in parts where more heat is produced. On the stator side, the temperatures are lower and more consistent, ranging from 50.7 °C to 51.8 °C. The faster airflow through the Venturi duct helps cool the stator slots evenly, stopping the formation of hot spots in specific areas. These results show that the duct design keeps both the rotor and stator at safe temperatures, which improves the motor's thermal stability and overall performance. From Figure 6, the CFD analysis of the winding shows that the temperature stays safely low because of the axial Venturi duct. The highest temperature is about 51.8°C, found in the middle part of the winding where heat is produced more. As air flows through the duct, the faster-moving air helps cool the winding, causing the temperature to decrease gradually along its surface. This even cooling shows that the duct design works well to control temperatures, stop hot spots from forming, and improve the motor's overall heat management. Keeping the winding at this temperature level helps the insulation last longer and lowers the chance of heat damage during ongoing use.

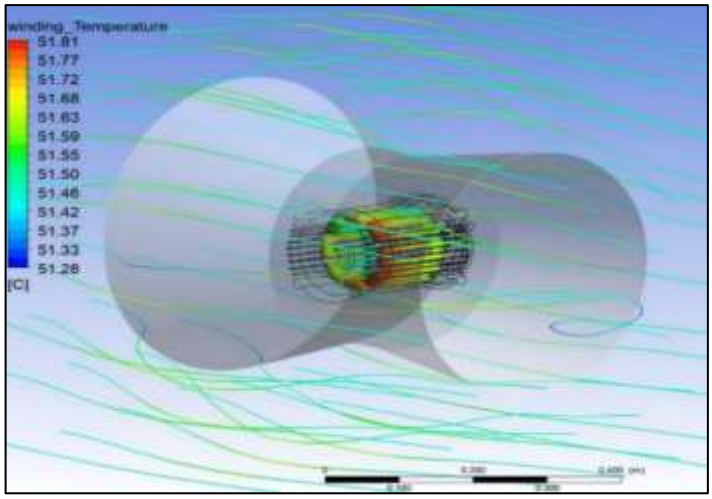


Figure 6: Winding temperature.
Source: Authors, (2025).

XI. RESULTS AND DISCUSSIONS

A comparative thermal analysis was performed for different motor cooling configurations to assess the effectiveness of Venturi duct designs in managing heat dissipation in a 5 kW PMSM motor for electric two-wheelers. The table 2 shows that the baseline configuration without any ducting exhibited the highest maximum temperature of 115 °C, relying solely on natural convection. Introducing Venturi ducts with a cross-sectional area of 25 mm² reduced the maximum temperature to 95 °C, accompanied by a modest pressure drop of 18 Pa, indicating a significant enhancement in convective cooling. Increasing the duct area to 30 mm² resulted in further thermal improvement, reducing the peak temperature to 88 °C with a slightly higher-pressure drop of 22 Pa.Interestingly, a second configuration with 25 mm² ducts showed a marginally better temperature performance at 90 °C, although at the cost of a higher-pressure drop of 25 Pa, possibly due to geometric or flow distribution changes. These results underscore the trade-off between cooling effectiveness and aerodynamic resistance. Overall, the use of Venturi ducts notably improved thermal regulation compared to the baseline, with the 30 mm² variant offering the best overall performance in terms of temperature reduction while maintaining an acceptable pressure drop, making it a promising solution for enhancing motor reliability and efficiency in electric vehicle applications.

Table 2: Venturi Design Optimization.

Design Variant	Max Temp (°C)	Pressure Drop (Pa)	Notes
Baseline (No ducts)	115	0	Natural convection only
Venturi ducts, 25 mm²	95	18	Significant cooling
Venturi ducts, 30 mm²	88	22	Further improved cooling
Venturi ducts, 25 mm²	90	25	Slightly better cooling

Source: Authors, (2025).

From figure 7, the temperature plot defines the thermal response of key components within the 5 kW PMSM motor, cooled using a Venturi duct system, and was evaluated over a continuous 60-minute operation. The rotor exhibited the highest temperature, reaching approximately 57 °C, followed by the magnet and rear bearing, which peaked at around 55 °C and 53 °C, respectively. In contrast, the stator winding, tooth, and front bearing maintained lower temperatures, stabilizing near 48 °C. This temperature distribution reflects the effectiveness of the Venturi duct in enhancing convective cooling, particularly for externally accessible parts such as the stator and front bearing. The observed thermal gradients suggest that the airflow generated by the duct is more effective in regions directly exposed to the airstream, while internal components like the rotor and magnets, being less accessible, retain more heat. Furthermore, the slight temperature difference between the front and rear bearings may indicate non-uniform airflow along the motor axis, potentially influenced by duct geometry or motor orientation. Overall, the results demonstrate that the Venturi duct provides significant thermal management benefits, especially for stator components, and can enhance the operational reliability of PMSM motors in electric two-wheeler applications.

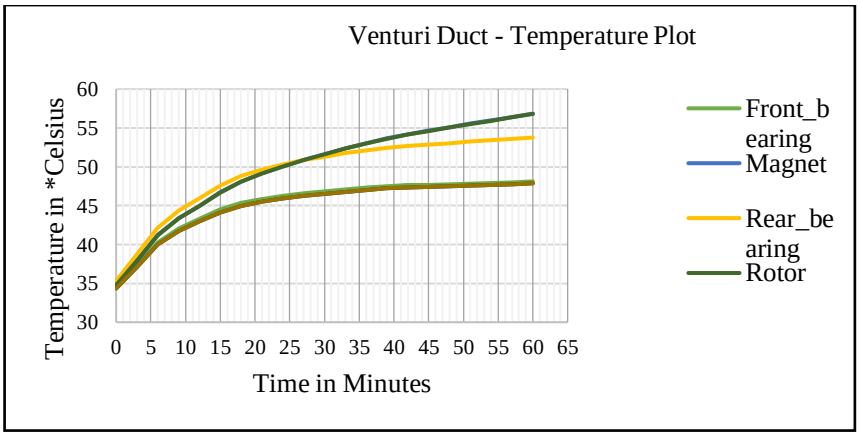


Figure 7: Temperature plot for venturi duct of PMSM.
Source: Authors, (2025).

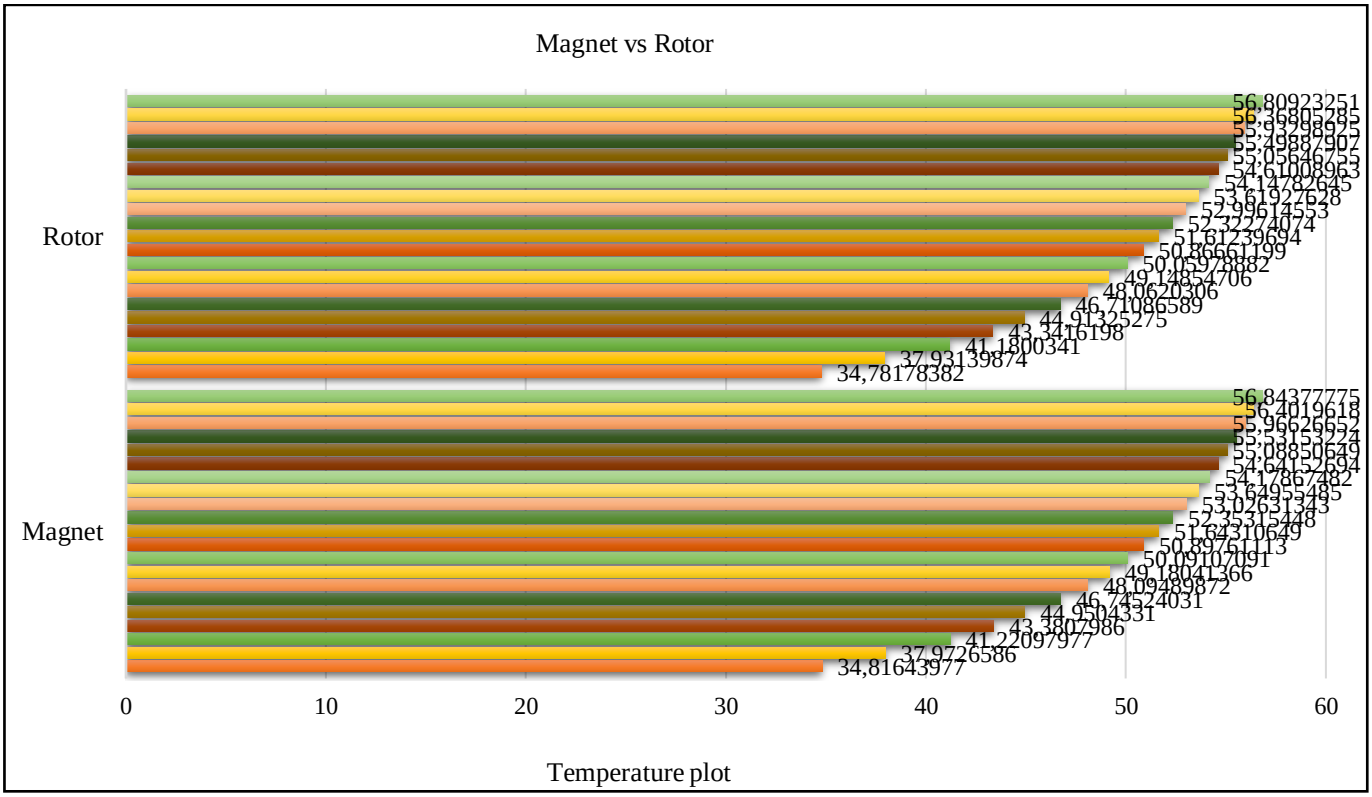


Figure 8: Temperature plot for motor and magnet of PMSM
Source: Authors, (2025).

From figure 8, the rotor and magnet temperature difference is shown below. The rotor temperature raises from 34 degree Celsius to 56-degree Celsius which makes rapid increase of temperature in the rotor and for the magnet temperature raises from 34 degree Celsius to 56-degree Celsius rapid temperature variation. Both the rotor and magnet had similar temperature. The integration of cooling ducts effectively reduces hotspot temperatures in the PMSM motor, improving thermal management and expected operational reliability. The parametric study highlights a trade-off between duct size (and number) and airflow resistance. Optimizing duct geometry balances temperature reduction with pressure drop, informing design choices for Phase 2 experimental validation.

V. CONCLUSION

This study presents a comprehensive thermal analysis of a 5 kW Permanent Magnet Synchronous Motor (PMSM) for electric two-wheelers, focusing on the integration of an axial Venturi duct cooling system. CFD simulations revealed that the Venturi duct's geometry effectively accelerates airflow around critical motor components, enhancing convective heat transfer and significantly reducing temperatures compared to baseline conditions without ducting. The highest temperatures measured were around 58°C at the magnets and rotor core, with the bearing temperatures staying safely between 51-58°C. Throughout the analysis, the stator and winding temperatures stayed below 52°C. The higher airflow speed in the Venturi duct helps cool the motor evenly, stopping hot spots and improving how well the motor handles heat. Keeping the temperatures low is important to protect the motor's insulation and make it last longer. Different Venturi duct dimension shows a balance between how well they cool and how much resistance they create for airflow. The 30 mm² design works best at keeping temperatures under control while also reducing pressure loss. In short, using a Venturi duct cooling system is a small, affordable, and efficient way to boost the thermal performance of PMSM motors in electric vehicles. This helps make the motors more reliable and better for the environment. Future studies should check how well this cooling method works in real driving situations in dynamic and under different loads to improve the design for real use.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: C Dineshkumar, D Roshan.
Methodology: C Dineshkumar, D Roshan.
Investigation: C Dineshkumar, Mohammed Jaheen,
Discussion of results: D Roshan, C Dineshkumar, N S Shafeer Ahmed.
Writing – Original Draft: C Dineshkumar. Mohammed Jaheen, Mohammed Rizwan.
Writing – Review and Editing: Mohammed Jaheen, Mohammed Rizwan, N S Shafeer Ahmed.
Resources: C Dineshkumar, D Roshan, Mohammed Rizwan.
Supervision: C Dineshkumar, D Roshan.
Approval of the final text: C Dineshkumar, D Roshan.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.275-286. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2757

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

A FRAMEWORK FOR SUSTAINABLE SUPPLY CHAIN-ORIENTED INDUSTRIAL LOCATION DECISIONS

Parveen Sharma*[1] and Anil Baliram Ghubade[2]

[1, 2,] School of Mechanical Engineering, Lovely Professional University, Phagwara, P.O BOX 144401, Punjab, India.

[1]http://orcid.org/0000-0002-7351-0525, [2]http://orcid.org/0000-0002-6839-9842

Email: *i.parveensharma@gmail.com, anil.18325@lpu.co.in,

ARTICLE INFO

Article History
Received: September 29, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
site selection,
supply chain management,
SCM,
sustainability,
green logistics.

ABSTRACT

The location of industrial sites is an important factor in defining the performance of the supply chain and long-term competitiveness. The cost and the infrastructure factors had traditionally influenced location decisions, and increasing environmental and social issues have broadened the focus to be on approaches related to sustainability. The conceptual framework presented in this paper incorporates the three aspects of economic efficiency, environmental responsibility, and social well-being in the process of selecting sites besides aligning the three with the drivers of the supply chain, which include cost, responsiveness, resilience, and green logistics. An examination of major research studies reveals how research of the past has utilized the application of multi-criteria decision-making techniques, geographic information systems, and hybrid models in the assessment of industrial locations. The suggested framework emphasizes the need to balance between efficiency and sustainability, offer managerial, policy and research perspectives. The future directions lay in the focus on quantitative validation, the incorporation of AI/ML, the utilization of digital twins, and the emergence of sustainable industrial networks. The research provides background to the further development of site selection as a strategic practice and sustainable one.

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I. INTRODUCTION

One of the most serious decisions in manufacturing and logistics planning was always selected in the industrial location. The decision of location of a plant, a warehouse or a distribution hub is not a mere technical positioning; it is a strategic positioning that can determine the competitiveness of a firm in the long term. Predictive maintenance is now one of the most important aspects of Industry 4.0, and machine learning can facilitate sustainable manufacturing results [1]. The wrong location can escalate expenses, cause inefficiencies in the logistical processes, and even restrict access to markets, whereas a properly selected location can serve as a source of operational effectiveness and further expansion. Since the first industrial agglomerations of the 19 th century up till the contemporary global supply chains, site selection has continued to play a central role in industrialization. Sustainability issues have become an important part of facility location problems due to sophisticated modeling like Markov chains [2], [3].

The significance of site selection has a close relation with the design of the supply chain. A supply chain simply refers to a network of processes and systems that integrate raw materials to the final consumers. When one of the facilities is in the wrong location, the whole network can be affected by the increased transportation costs, delays, or even bad responsiveness. Conversely, a strategically based location will minimize distance to suppliers and market, enhance the level of service and decrease the total costs. This is why the problems of the supply chain design and facility location are frequently examined jointly in the framework of management science, operations research, and logistics planning. As Snyder and Daskin, as well as other scholars, have always pointed out, location decisions are very sensitive to the supply chain performance [3]. The location of the industrial sites is not only an issue to do with property, but it is one of the main aspects of supply chain competitiveness. Much of the existing literature highlights the close

connection between the facility location and sustainability issues in international manufacturing [4]. The theme of facility location has been the focus of supply chain design where its direct impact has been the efficiency and cost of logistics [5]. Sustainability is one more important dimension that has become a crucial factor in location decisions in the last 20 years. Conventionally, firms used to assess locations using cost, infrastructure, and access to labor or places. However, this time, the environmental and social factors are important. Governments, consumers and international agencies are demanding industries to reduce their carbon footprint, adhere to social responsibility and to participate in regional development. The location of the site can enhance the sustainability profile of a firm by selecting a site that is near to renewable energy sources, where the local communities are supportive, or where the land use can promote practices of the circular economy. Conversely, choosing places without factoring in the environmental sensitivity can lead to pollution, land degradation, and social resistance.

Therefore, the location of industrial sites cannot be discussed outside of the context of sustainability. In particular, environmental sustainability has decisive role. There are manufacturing facilities that use huge portions of land, water and energy. In case there is a site in the areas that are more vulnerable to ecological destruction, chances of environmental destruction are eminent. The selection of the site should therefore incorporate the assessment of environmental impact, waste management possibilities, and the accessibility of renewable energy sources. Social sustainability is also urgent. Industrial plants increase job opportunities, yet, they may also lead to displacement, health risks, or even conflict with the local communities when they are not managed in a proper way. The perspectives of supply chain sustainability have been included more in the process of manufacturing facility location decisions [6]. Therefore, such problems as the skills of the local labor market, quality of life, community involvement are becoming mandatory to consider in the course of the site selection process. This broadened pivotal point has transformed site selection into a multi level problem. Supply chains have not been left behind in the global transformation towards sustainability. Not only cost efficiency is considered, but companies are also evaluated with respect to their capacity to develop green and socially responsible supply chains.

This change means that the site selection should not be restricted to operational aspects such as transportation or labor cost but that it should be adjusted to a larger agenda of creating resilient, green, and inclusive supply chain. To illustrate, logistics networks are considering carbon emission of the transportation process, which implies a closer location from key consumption centers or intermodal hubs to facilitate a greener freight flow. Equally, social-related issues, like the level of regional development, gender-sensitive labor market, and safe workplace conditions, indirectly influence the site location decisions. The intersection between site selection, supply chain design, and sustainability poses an interesting and complex research topic. The enduring and sustainable supply chains under disruption require strong facility location decisions [7]. In the light of these dynamics, the current paper will attempt to examine the nexus of industrial site selection, supply chain management, and sustainability in a systematic way. Although past researches have focused on these areas individually, this paper attempts to bring them together and point out how location decisions may concurrently affect the results of supply chain performance and sustainability. The objectives are fourfold:

- To investigate the strategic significance of the site of the industrial location in the supply chain design.
- To investigate how the dimensions of sustainability, both environmental and social, affect current site decisions.
- To combine the existing literature and the methods used in this interdisciplinary area.
- To develop a conceptual framework of combining sustainability and supply chain performance in the location analysis.

Through these achievements, through the paper, one can contribute to the discussion that is going on as to how industries can be competitive and sustainability expectations met. It offers theoretical knowledge based on literature and the practical implications on decision makers particularly in the emerging economies where the development of industries has to strike a balance between economic growth and the environment as well as social responsibility. The analysis of the current techniques is also applied to the clarification of the decision support methods that are best applicable to address the multi-criteria of the problem. Lastly, the conceptual framework in the latter sections provides the future research and application. The figure 1 shows the integrated approaching considering the sustainability.

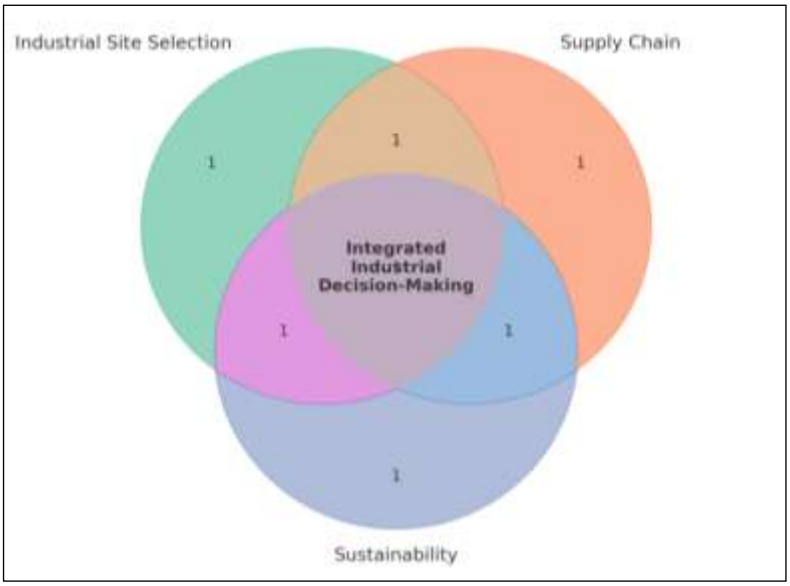


Figure 1: The selection of an industrial site in the light of the Supply chain and Sustainability.
Source: Authors, (2025).

The location of industrial sites is not simply about land and prices, but a multi-tiered decision experiencing the interface between effectiveness in the supply chain and sustainability obligation. With the shift of the industries to a more green and socially responsible functioning, the combination of these views is inevitable. This is the new challenge that this paper deals with and preconditions the creation of more comprehensive, multi-criteria approaches to the planning of the location of industry.

II. LITERATURE REVIEW

The topic of choice of industrial sites has decades of research following the urgent importance of the location to the industrial competitiveness, supply chain performance, and the development of the economy as a whole. Conventionally, researchers focused on economic and infrastructural aspects, but recent literature has broadened the perspective to include sustainability and resilience. The paper has followed the evolution of the site selection studies of classical cost-based methods to the present models that consider supply chain strategies, sustainability, and multi-criteria decision-making models In the past, the cost, availability of infrastructure, and logistical efficiency dominated the selection of the industrial sites. The decisions were mostly made with the aim of reducing the cost of transportation, the availability of good utilities, and the need to find areas with good labor market. Located at the beginning of the 20th century, the early location theories saw transportation and the cost of labor as the determinants of location. Subsequent literature continued with these premises, cementing the notion that location to raw material sources, energy sources and major transport routes was central to industrial development. Development of infrastructure such as road, rail, and port connectivity was also mentioned several times as a factor in the clustering of industries because it facilitated the easier movement of raw materials and completed products.

These conventional criteria were in a way rather limited in their scope but gave the first basis on which the future site selection frameworks were built Since the late 20th century, when supply chain management appeared as a separate field, the focus of research on the industrial site selection has changed to the network design and the value chain integration. Location is not viewed as a separate concept but as a point of a larger network of supply chains. Decisions of facility location were mixed with problems of proximity to suppliers, the level of distribution efficiency and the level of customer service. To illustrate, researchers wrote on the topic of reliable supply chain network design, as the balance of efficiency and strength in the context of disruption [3]. On the same note, Other researcher investigated competitive facility location in decentralized supply chains wherein the location influences competitive advantage in fragmented markets. These papers highlighted that location decisions do not just influence the cost of operations but also responsiveness, reliability and exposure to risk throughout the supply chain The literature has also been redefined with the integration of sustainability principles. The evaluation of industrial locations is now based on environmental, economic, and social aspects, also known as the triple bottom line.

Environmental issues relate to emissions, land degradation, and ecological effects of the activity of industry. Briassoulis was among the pioneers who tried to bring out environmental criteria in the Industrial siting, paving way to other studies, which incorporated ecological sensitivity in decision making [8]. More recently, Anvari and Turkay explored the concept of facility location through the prism of the triple bottom line, as they found that to come up with a sustainable location decision, trade-offs must be made between profitability [9]. One of the examples is the renewable energy that is available to be used, the compatibility of land use, and the social acceptance as the parameters of site selection. This change is representative of the larger trend in terms of sustainable supply chain management where financial metrics can no longer be used to gauge the performance of a network, and instead its performance can be assessed based on its ability to provide benefits to the environment and the community at large. Table 1 gives an overview of the difference between the conventional site selection requirements and the contemporary sustainability-based strategies, depicting the scope of research interest over the years.

Table 1: Conventional and Sustainability-Based Site Selection Criterion.

Criteria Category	Traditional Site Selection Criteria	Sustainability-Oriented Criteria
Cost Factors	Land cost, construction cost, transportation cost, labor cost	Life-cycle costs, energy efficiency, long-term environmental compliance costs
Infrastructure	Availability of utilities (water, electricity, gas), transportation networks (road, rail, port, airport)	Renewable energy infrastructure, smart grid access, eco-friendly transportation options
Logistics	Proximity to suppliers, markets, and distribution hubs	Reduced carbon footprint in transportation, multimodal green logistics systems
Labor & Workforce	Availability of skilled labor, wage rates	Fair labor practices, occupational health and safety, community employment benefits
Environmental	Rarely considered (land suitability, basic regulations)	Emissions, waste management, biodiversity impact, land-use compatibility
Social	Limited to labor availability	Community acceptance, social equity, cultural heritage preservation, urban-rural balance
Strategic/Resilience	Focus on minimizing operational costs and ensuring accessibility	Risk management, disaster resilience, adaptability to climate change, long-term sustainability

Source: Authors, (2025).

The use of sustainability frameworks has also promoted the use of sophisticated decision support tools. The analytic hierarchical process (AHP), Analytic Network Process (ANP), Technique of Order Preference by Similarity to Ideal Solution (TOPSIS) and entropy weighting are the most commonly used methods of multi-criteria decision-making that have been used to assess complex trade-offs among economic, environmental and social criteria. As an example, Yang and Lee hypothesized an AHP-based decision making model of facilities location choice [10], whereas Reisi used both AHP and ANP in industrial site location choice in Isfahan [11], where they indicated having the ability of interdependence of factors. Recent works have merged both GIS-based spatial analysis and MCDM, which enables more accurate and geographically sensitive analyses to be conducted [12], [13]. These mixed approaches combine the quantitative standards with spatial prescriptions that give decision-makers powerful tools to assess various possible

locations. Many other multi-criteria techniques have been utilized in the context of renewable energy, including the selection of sites of solar power plants as well using AHP [14] The diversity of the methods used in multiple decades of research is evidence of the multidisciplinary character of the issue. Research has been inspired by disciplines such as operations research, environmental science, geography, and urban planning. As an example, in a review of literature on manufacturing facility location and sustainability, Chen provided a research agenda that highlighted the incorporation of green supply chain practices [4]. Ahmadi and Ghezavati created a competitive facility location model with sustainability [2] by Markov chains, and Rekik analyzed the spatial analysis of the choice of wind sites according to the supply chain sustainability point of view [15]. Together, these articles demonstrate how the models that used to be based on the costs have transformed into dynamic frameworks that consider the balance between the resilience, sustainability, and efficiency. The table 2 shows the overview of the major research and their findings.

Table 2: Overview of Major Research in the Field of Site Selection, SCM and Sustainability.

Author(s), Year	Objective / Focus	Methodology	Key Findings	Contribution
Rikalovic (2014)[12]	To evaluate industrial site alternatives with a spatial focus	GIS combined with multi-criteria decision-making	GIS integration improves visualization and decision accuracy in industrial siting	Introduced the role of GIS as a decision support tool for site selection
Rikalovic (2015)[16]	To propose a macro-level industrial site selection framework	GIS-based macro-location analysis	Provided a structured model for early screening of industrial zones	Expanded GIS applications into comprehensive macro-location analysis
Reisi (2018) [11]	Industrial site selection in Isfahan, Iran	AHP and ANP	Showed that hierarchical weighting improves reliability of location decisions	Demonstrated the effectiveness of AHP–ANP hybrid in real industrial contexts
Yang (1997) [10]	Facility location evaluation	Analytic Hierarchy Process (AHP)	Provided structured criteria ranking for facility sites	One of the earliest AHP applications in facility siting
Sundarakani (2021) [7]	Facility location under disruptions for sustainable supply chains	Robust optimization framework	Showed that resilient locations minimize supply chain risks	Linked location decisions with resilience and long-term sustainability
Abidi (2022)[1]	Industry 4.0 and predictive maintenance planning	Machine learning for sustainable manufacturing	Highlighted role of AI in reducing downtime and resource waste	Connected predictive analytics with sustainable site operations
Khanlari (2022)[17]	Review of power plant site selection studies	Literature review of MCDM methods	MCDM methods widely applied but context-specific	Synthesized decision-making methods in energy siting
Ahadi (2023)[14]	Site selection for solar power plants in Iran	AHP	Ranked renewable energy sites considering environmental criteria	Showed potential of AHP for clean energy infrastructure planning
Genc (2021)[13]	Offshore wind farm site selection in Turkey	GIS combined with MCDM	Demonstrated suitability mapping for offshore wind energy	Provided model for integrating renewable energy with spatial planning
Chang (2015)[18]	Plant location in logistics networks	AHP	Showed logistics-related factors as critical in siting	Strengthened SCM perspective in facility location
Huang (2020)[6]	Location selection from sustainability viewpoint	Hybrid MCDM	Found environmental and social aspects increasingly decisive	Integrated sustainability with SCM in site selection
Snyder (2007)[3]	Reliable supply chain design models	Mathematical optimization	Reliability considerations enhance facility network performance	Introduced reliability as a core factor in SCM facility planning
Daskin (2005)[5]	Facility location in supply chain design	Review and mathematical modeling	Location strongly influences supply chain costs and service	Provided foundational perspective on SCM–facility link
Ho (2008)[19]	Facility location in customer-driven supply chains	Optimization model	Customer demand directly impacts facility siting	Highlighted demand orientation in SCM site selection
Peker (2016)[20]	Logistics center site selection in Turkey	ANP with BOCR analysis	Case study validated ANP as robust tool for logistics siting	Offered empirical insights into logistics hubs
Li (2011)[21]	Logistics center location	Fuzzy set with TOPSIS	Managed uncertainty in site selection effectively	Advanced fuzzy MCDM in logistics planning
Li (2013)[22]	Reliable facility location under disruptions	Robust optimization	Reliability metrics improve siting in uncertain conditions	Linked disruption management with facility planning
Chen (2014)[4]	Review of manufacturing facility location & sustainability	Literature review	Sustainability rarely integrated into location models	Set a research agenda on sustainable site selection
Anvari (2017) [9]	Facility location through triple bottom line (TBL)	Optimization using TBL approach	Balanced economic, social, and environmental objectives	First to directly apply TBL to facility siting
Ahmadi (2020)[2]	Competitive facility location with sustainability	Markov chains and optimization	Modeled dynamic facility competition with sustainability criteria	Introduced time-dependent sustainability modeling
Rekik (2025)[15]	Sustainable wind site selection with SCM view	Spatial analysis + MCDM	Showed how SCM perspective improves renewable site selection	Linked renewable energy and sustainable SCM
Liu (2017)[23]	PV power plant siting in value chain	Grey cumulative prospect theory	Considered sustainability within energy value chain	Incorporated behavioral decision theory in siting
Puente (2007)[24]	Sustainable industrial area location	GIS with fuzzy logic	Enabled flexible evaluation of industrial zones	Early GIS–fuzzy integration for sustainability
Briassoulis (1995)[8]	Environmental criteria in facility siting	Conceptual analysis	Exposed neglect of environmental impacts in siting	Pioneering work in sustainability-oriented siting
Gundogdu (2011)[25]	Site selection with environmental priority	ELECTRE method	Highlighted importance of weighting environmental criteria	Applied ELECTRE in environmental facility planning
Kaya (2020) [26]	EV charging station siting in Istanbul	GIS + MCDM	Emphasized sustainable transport infrastructure	Brought mobility–sustainability into site selection
Arshad (2023)[27]	Sustainable landfill site selection	GIS + AHP-GDM	Community participation enhances outcomes	Applied participatory decision-making in siting
Ertuğrul (2008)[28]	Comparison of fuzzy site selection methods	Fuzzy AHP vs. Fuzzy TOPSIS	Both methods effective, with nuanced differences	Advanced methodological comparison
Sharma (2024)[29]	Manufacturing site selection	Hybrid of AHP, BWM, and factor rating	Multi-method approach improves robustness of results	Demonstrated hybrid decision-making framework

Source: Authors, (2025).

In spite of these developments, there are still great gaps in research. Among the most notable ones, the absence of integration within the three essential areas can be distinguished, namely, the site selection, the supply chain design, and the sustainability. A great part of the available literature deals with these dimensions separately. As an example, customary facility location studies are cost- and logistics-oriented and disregard environmental and social impacts. In contrast, sustainability-oriented research tends to focus on ecological or community effects, but minimises the consideration of supply chain performance. Furthermore, although MCDM techniques have received extensive use, most of them are industry- and location-specific, which restricts their applicability to different industries and geographic areas. Decision-support frameworks are also required that are able to build in uncertainty, resilience, and sustainability of global supply chains that are becoming more vulnerable to disruption (pandemics, geopolitical tensions, and climate change). Social dimension of sustainability is another under researched field.

Whereas the environmental and economic factors are growing in importance, lesser focus is given to other social issues like the well-being of the community, the acceptance of cultural diversity, and fair development. Research such as Anvari and Turkay emphasized the future opportunities of triple bottom line frameworks, but there is limited application [9]. Also, the introduction of new technologies, including artificial intelligence, digital twins, and Industry 4.0, into site selection and the supply chain design is still in its early stage. These tools have potential to facilitate real time, data-driven, and adaptive location decisions that consider sustainability issues. The literature has demonstrated a definite trend: costs-based models to supply chain- conscious approaches, and ultimately to schemes that incorporate sustainability. Nevertheless, there is still a problem of harmonizing these points of view into a consistent decision-making model. Filling this gap presents a possibility of coming up with comprehensive solutions that can guide the industries in ensuring that they not only choose sites that are economically viable, but also resilient, environmentally conscious, and beneficial to the society. This is the basis of the current study that aims at helping to fill the gap in terms of linking sustainability, supply chain management and the selection of an industrial site.

III. CONCEPTUAL FRAMEWORK

Write The literature review shows that the site selection of industries cannot be approached to be only a logistical or cost-minization issue but needs to be viewed as a component of a bigger system where supply chain efficiency, sustainability goals, and long-term resilience play with each other. Practically, these three areas overlap: site selection predetermines the extent to which a facility can become a part of a supply chain network, what effect it will have on the ecological and social environment and what will help a facility to remain competitive in a turbulent global economy. To overcome these interdependencies, a conceptual model is suggested to help decision-makers to analyze industrial locations in a structured, sustainability-based, and supply chain-centric perspective. Fundamentally, the framework has a focus on the incorporation of supply chain management effectiveness and the aspects of sustainability. The concept of supply chain efficiency is akin to cost-effectiveness, reliability, quickness of activities, and risk resilience linked to natural catastrophes, political instability, or market shocks. The following attributes are critical since a facility that is positioned in an inappropriate location can lead to bottle necks, increase logistics expenses and minimize responsiveness. Meanwhile, sustainability requires that industrial development should be consistent with environmental conservation, social responsibility and economic sustainability. The synthesis of these views makes the site selection an operation and social decision. The model is anchored on three pillars of sustainability namely- economic, environmental, and social, which constitute the basis of evaluation.

Economic criteria are also necessary, which include the cost of land, availability of labor, the utility and the economic benefits of the region over a long period. In contrast to the traditional methodology where the main focus was on short-term financial expenses, the economic aspect in this case spans to long-term sustainability such as life-cycle costs and risk-adjusted returns. Environmental dimension takes into consideration the emissions, land use, biodiversity, and resource efficiency. It signifies rising awareness of industrial processes in terms of climate change and ecological losses and it is necessary to consider the way in which a facility is in contact with the physical environment. Social sustainability focuses on acceptance by the community, fair employment, cultural maintenance, and quality life of the neighbors. This pillar has been quite neglected but is central to making sure that the growth of industries does not present social dissatisfaction or inequalities to the masses, instead it enhances the growth of the entire society. The close interaction of these three dimensions of sustainability with supply chain drivers which are mediating variables between site selection and operational outcomes takes place. Price is still a significant force, affecting the cost of logistics and the overall competitiveness of the supply chain. Proximity to suppliers, the market, and the transport infrastructure have a significant impact on speed, which is defined as the responsiveness of a supply chain. Resilience is one of the key drivers that become important particularly due to the most recent shocks in the world like pandemics, trade wars and natural calamities of climate-related disasters. Facilities situated in resilient regions, i.e. those which have diversified transport modes, predictable governance and adaptable infrastructure, are more likely to be shock resistant.

Lastly, green logistics connects sustainability to the performance of the supply chain and focuses on practices such as carbon reduction, multimodal transport, and use of renewable energy in the distribution system. This structure revolves around a systematic decision making process. Since the process of industrial site selection is a multidimensional and complicated process, there is no single criterion that would define the outcome. Rather, a multi-criteria evaluation strategy is promoted, which is a combination of quantitative and qualitative measures.Spatial decision support systems Multi-criteria systems improve sustainable planning of industrial areas as seen in Spain[30]. Such multi-method alternatives as factor rating, AHP, and BWM enhance the strategies of manufacturing sites selection [29]. The methodological basis is given by Multi-Criteria Decision-Making (MCDM) tools like AHP, TOPSIS, ANP and entropy weighting. These approaches enable decision-makers to place comparative emphasis on economic, environmental, and social aspects, to compare possible locations in a systematic manner, and to find the best trade-offs. As an example, AHP could be applied to subdivide the decision into levels, TOPSIS could be applied to rank alternatives to an ideal solution and entropy methods could be applied to give objective weighting in case subjectivity is an issue. The use of GIS-based spatial analysis also helps to reinforce the framework and enable such areas as the geographic and environmental data to be integrated into the process of evaluation, which means that the site selection could be not only theoretically sound but also relevant in the geographic sense.

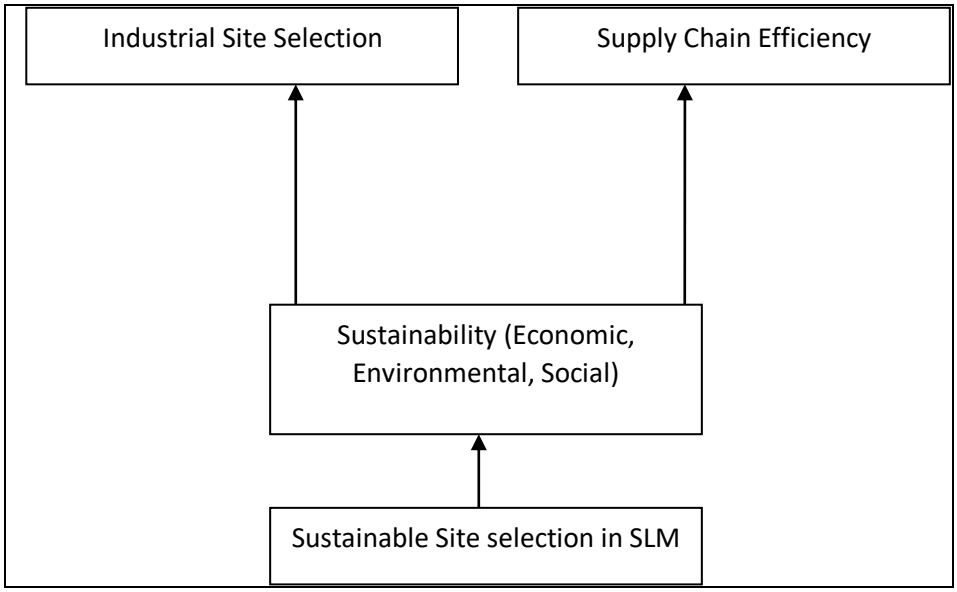


Figure 2: Sustainable Site Selection Conceptual Framework Proposal in SCM.
Source: Authors, (2025).

Figure 2 shows the proposed framework that illustrates the connection between sustainability dimensions, drivers in the supply chain and the decision making process. It puts site selection in the centre, and sustainability requirements on one side and the need drivers on the supply chain on the other connected by a loop of decisions. Table 3 provides some of the most important indicators of economic, environmental, and social aspects of sustainability in site selection.

Table 3: Site selection sustainability key indicators.

Dimension	Indicators	Description / Rationale
Economic	Land cost, construction cost, utility costs	Determines financial feasibility and investment requirements
	Proximity to suppliers and customers	Reduces logistics costs and improves responsiveness
	Availability of skilled labor	Enhances productivity and operational quality
	Life-cycle cost assessment	Considers long-term operational and maintenance costs
Environmental	Emissions and pollution potential	Measures ecological impact of operations
	Renewable energy availability	Supports transition to low-carbon industrial activity
	Land use and biodiversity impact	Ensures compatibility with environmental conservation
	Waste management infrastructure	Facilitates sustainable operations and circular practices
Social	Community acceptance	Evaluates local support and reduces conflict risk
	Employment opportunities	Assesses contribution to local socio-economic development
	Occupational health and safety	Ensures well-being of workers and compliance with standards
	Equity and cultural preservation	Protects cultural heritage and fosters inclusive growth

Source: Authors, (2025).

The theoretical framework makes a number of contributions to the discipline. To begin with, it serves as an intermediary between sustainability research and site selection studies that are supply chain-driven by developing a single model. Second, it puts operational criteria that define sustainability based on quantifiable indicators and this guarantees evidence-based, but not rhetorical, decision-making. Third, it points to the importance of having resilience and adaptability that are becoming critical in an age of global uncertainty. Through this, it takes the discourse towards an integrated analysis of the various fragmented analyses to an integrated model that can guide industrial planners, policymakers and supply chain managers. The suggested framework identifies the location of industrial sites as a multi-dimensional issue, in which the efficiency, sustainability, and resilience need to be matched. It also acknowledges that industrial facilities are economic drivers and social-environmental players and hence their location should not be based on only short-term operational interests but also long-term sustainability goals. The combination of this allows building the next level of research and practical work on sustainable supply chain management and industrial planning.

IV. RESULTS AND DISCUSSIONS

The designed conceptual framework can provide a cross-cutting view at the industrial site selection, which interconnects the supply chain efficiency and sustainability demands. This integration is not just theoretical but has serious implications on businesses, policy-makers and urban planners who are confronted with complicated trade-offs in determining new industrial locations. The significance of the discussion here will be the managerial, policy, practical application by firms that have limited data, and the issues that are likely to emerge in the real world application

IV.1 MANAGERIAL IMPLICATIONS OF THE FRAMEWORK

To business leaders and operations managers, the framework offers a roadmap that is structured in a way that can help in making investment decisions when new industrial facilities are to be established. The conventional site selection process tended to focus on the cost of operations, availability of suppliers and transportation systems. Although these are still very vital factors, in the present day, managers also have to consider energy efficiency, the availability of renewable resources, waste management mechanisms and social well being of the employees and the communities around them.

With the proposed framework, the managers will be able to match strategic supply chain objectives with long-term sustainability results. Indicatively, a company can find an area near the important suppliers to lower the cost of logistics but should also consider whether that place will be compliant with the environmental standards and access to clean energy. This is likely to lead businesses to stop focusing on cost decisions in the short term and to take a lifecycle approach to their location choices in which the location chosen will add value to both the supply chain performance and corporate social responsibility goals. Moreover, the fact that the framework is multi-criteria allows decision-makers to set priorities on conflicting issues. As an example, a site can be of low cost but low on environmental sustainability. Rather than engaging in entirely financial trade-offs, managers may implement weighted evaluation criteria to locate balance solutions, which meet organizational targets and stakeholder anticipations

IV.2 POLICY APPLICABILITY: GOVERNMENT, URBAN PLANNERS AND REGULATORS

The governments and city planners have important role in the environment of site selection decisions. The framework explains the necessity of formulating unified industrial policies by the policymakers that will at once boost economic development, minimize environmental degradation, and secure the livelihoods of the community. The framework can help urban planners steer zoning requirements and investment of infrastructure. As an example, giving access to renewable energy in industrial clusters, waste recycling facilities, and effective transport networks will make sure that further development of the site can correspond to the sustainability objectives. Equally, the regulators are able to set clear guidelines regarding carbon emissions, water usage, and welfare of labor, and makes sure that the industries that are situated in a specific area make a contribution towards the sustainable development goals. Furthermore, the framework emphasizes the significance of the collaboration between the public and the private. The governments can encourage businesses to select sustainable locations by offering tax breaks, subsidies on green infrastructure, and workforce development assistance. This is because, through this collaborative strategy, the perceived trade off between cost and sustainability is minimized and companies can then find it effortless to embrace responsible site selection.

IV.3 IMPLEMENTATION BY NON-LARGE DATA BUSINESSES

One of the challenges commonly facing companies especially small and medium enterprises (SMEs) is the inability to access full datasets to assess site selection. Megabusinesses can afford to carry out geographic information system (GIS), carbon footprint, and multi-criteria decision-making analyses. Nevertheless, simple heuristics like proximity and cost can be used by SMEs. Nevertheless, it is possible to incorporate the proposed framework in such cases by relying on the qualitative evaluations and simplified scoring tools. For example:

• Based on observable variables (availability of renewable energy, distance to markets, social acceptance), firms are able to rank the prospective locations.
• Proprietary datasets may be replaced by publicly available data provided by government agencies and other international organizations.
• Missing quantitative data can be supplemented by expert judgment and stakeholder consultations, which will make decisions more balanced.

This enables the scalability of the framework: large businesses can apply it to advanced analytics, whereas small businesses can apply it in simpler versions without compromising the original sustainability focus.

IV.4 PROBLEMS WITH REAL-WORLD IMPLEMENTATION

In Regardless of its advantageous aspects, the framework has a number of practical obstacles:

1. Data Availability and Accuracy- Consistent environmental and social information is usually hard to get on regional scales. This could curtail proper sustainability assessment.
2. Stakeholder Conflicting Interests - Businesses, communities, and governments might have conflicting criteria, which results in negotiation challenges.
3. Dynamic Global Supply Chains - Supply Chain networks are changing fast and long-term site decisions become exposed to disruptions posed by geopolitical tensions, pandemics, or scarcities of resources.
4. Cost of Implementation - The firms might also find the sustainable site development costlier because of initial costs on green infrastructure although the benefits are huge in the long run.
5. Uncertainty around Regulation - In certain areas, industrial policies and environmental regulations are altered on a regular basis, posing a problem to long-term planning.

To overcome such challenges, it is necessary to make decisions repeatedly and monitor them. The framework is to be viewed not as a single exercise but a dynamic process which should be growing along with market conditions, with the development of technologies and the changes of policies. The figure 3 shows the flow chart considering the MCDM approach for the site location selection

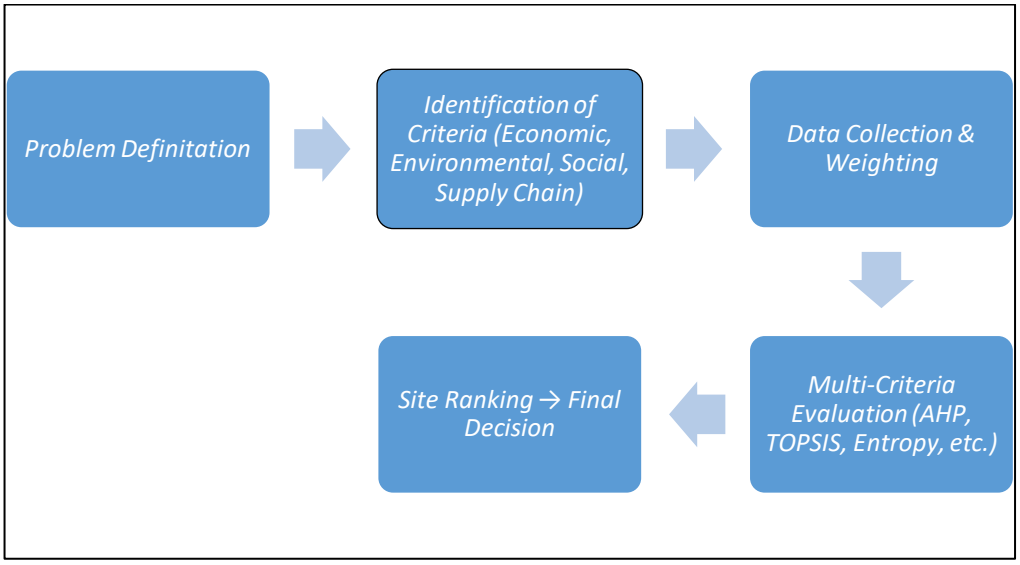


Figure 3: MCDM Process Flowchart of Site selection
Source: Authors, (2025).

The discussion points out that incorporating supply chain efficiency and sustainability in site selection has ceased being a choice but rather a necessity of long-term competitiveness. The framework provided fills the gap between managerial requirements and policy requirements and sustainability objectives and provides an effective channel through which decisions can be made even in cases where detailed datasets are not available. There are still challenges but through the concerted efforts and innovative strategies, companies and policy makers can together define industrial environments that promote economic, environmental and social sustainability.

V. CASE-BASED INSIGHT

Be The recent development of sustainability in the field of supply chain management has created an array of research which integrates site selection, environmental, social, and economic goals. The previously conducted studies demonstrate the way various tools, including multi-criteria decision-making (MCDM), spatial analysis using GIS, optimization models, and hybrid methods, have been implemented in various industries. These insights, based on the case reviews, can be used to identify which methodological improvements and gaps remain unresolved in sustainable site selection practices. Table 4 presents a comparative view of some of the selected studies that have largely found their way in the literature and can offer viable teachings on sustainable supply chain design.

Table 4: Comparison of Published Frameworks/Models in Literature.

Author(s), Year	Context / Industry	Methodology	Key Criteria Considered	Main Findings	Limitations / Notes
Kuru (2025)[31]	Furniture industry, Turkey	GIS + MCDM (Weighted Linear Combination)	37 criteria (natural, socio-economic, built environment)	Identified optimal sub-regions minimizing cost and ecological harm	Case-specific, may not generalize beyond İnegöl
Ruiz (2012)[31]	Industrial areas, Northern Spain	GIS-based Spatial Decision Support System (SDSS)	Sustainability-focused location factors	SDSS produced digital maps for suitable zones, integrated lifecycle approach	Limited to regional context, data-intensive
Emeksiz (2022)[32]	Bioenergy facility, Turkey	Hybrid MCDM (Entropy + MAUT)	Biomass resources, energy potential, regulations	Identified optimal bioenergy sites, demonstrated Turkey's large biodiesel/bioethanol potential	Focused only on energy sector
Thanh(2008)[33]	Complex supply chains	MILP model (dynamic facility location)	Cost, supplier selection, facility expansion	Enabled dynamic planning of facility expansion under demand growth	Ignores environmental/social sustainability
Rikalovic (2014)[12]	Industrial site selection, Serbia (Vojvodina)	GIS + MCDM	Spatial/geographic, economic, logistics	Successful GIS-based spatial decision support tool for industrial site selection	Regional application, may not scale globally
Wang (2024)[34]	Green logistics	Low-carbon optimization + GA + PSO	Carbon emissions, transport efficiency, cost	Reduced emissions and logistics cost; robust under demand/geography variations	Requires high-quality logistics data

Source: Authors, (2025).

V.1 GIS AND SPATIALLY DRIVEN APPROACHES INSIGHTS

In The use of GIS-based decision support systems is one of the most powerful themes in the literature. Ruiz used spatial decision models which enabled policy makers and managers to map out trade-offs at several places [30]. GIS can be used to select a site taking it a step ahead of the calculation of costs and including environmental risk, the ease of transport, and socio-economic conditions within a region.

As an example, Ruiz designed a system of industrial zones in Northern Spain creating digital suitability maps combining factors with sustainability interest [30]. This strategy increased the transparency of the decision making process since managers were able to visualize the effects of siting decisions. Equally, Rikalovic found the usefulness of spatial decision support in industrial development in Serbia [12]. Their research proved the visualization of location suitability as a way of increasing the communication line between planners and stakeholders and it is easy to justify the final decisions. The greatest weakness of GIS-based models is regional dependence. Such systems are very dependent on locally available datasets, which are not necessarily easy to transfer to other settings without significant customization. However, GIS has been one of the pillars of sustainable site selection whenever the project involves regional planning.

V.2 MULTI-CRITERIA DECISION-MAKING OF INDUSTRIAL AND ENERGY PROJECTS

The second research stream is dedicated to MCDM methods, whereby the sustainability indicators are prioritized and weighted to determine the optimal location. The Turkish furniture industry study by Kuru is remarkable in its scope, with 37 various criteria in the natural, socio-economic, and built environment dimensions [31]. This outlines one of the main managerial lessons, which is that sustainable site selection can demand much more variables to be factored in than the conventional cost-based methods. Emeksiz present another powerful example because they used entropy weighting and MAUT (Multi-Attribute Utility Theory) to choose places where bioenergy factories could be located [32]. Their framework was adapted to renewable energy supply chains unlike traditional models of industrial location that ignored energy potential, biomass resources, and regulatory conditions. Their results highlight the ability of sustainability-focused site selection to be consistent with national energy transformation objectives. Such cases demonstrate that MCDM methods can be applied in various industries and are flexible. But they also need to have expert input and good weighting of criteria which are subjective. Entropy techniques (objective weighting) alleviate the subjectivity problem but in the majority of studies, expert opinion is used in conjunction with quantitative data, which creates room to inconsistency.

V.3 DYNAMIC SUPPLIES CHAIN OPTIMIZATION MODELS

Though the GIS and MCDM methodology dominate the literature of site selection, optimization-based models present an alternative approach. The article by Thanh applied mixed-integer linear programming (MILP) model to investigate dynamic facility location in sophisticated supply chains [33]. The focus of their research was on minimization of costs, selection of suppliers and growth plans with time. Even though the model produced a good performance on the logistics efficiency, it did not considered much on the environmental and social sustainability dimensions. This is indicative of a larger problem in optimization literature: much of the work is still oriented to the economic goals, and the concept of sustainability is often addressed as a constraint to achieve, but not as an end by itself. However, optimization models show how facility expansion, market volatility and demand growth can be incorporated into site selection.

V.4 LOW-CARBON AND GREEN LOGISTICS SOLUTIONS

More contemporary research builds on classic models, entrenching low-carbon ambitions. As an example, Wang integrated low-carbon logistics planning with evolutionary algorithms (genetic algorithm and particle swarm optimization) [34]. It demonstrated the potential to determine the impact of site selection on the outcome of supply chain sustainability, as the model balanced the efficiency of transport, emissions of carbon, and cost. The practical implication of the study by Wang is that logistics models that are carbon conscious need quality data about transportation flows and emission factors. Such detailed data might not be available yet to many companies, especially the small and medium ones (SMEs).

V.5 COMPARATIVE REFLECTIONS

Comparing these studies, some themes appear:

1. Integration Depth - There are those models which integrate a broad range of sustainability criteria and those which put a great deal of emphasis on cost [31,33]. This demonstrates a spectrum between efficiency-based and totally sustainability-based site selection.
2. Methodological Diversity - GIS-based research is the best in visualization and regional planning, whereas MCDM procedures are more appropriate to criteria prioritization and structured decision-making. Optimization models are highly mathematical rigorous, but they tend to be poor in terms of integration of sustainability.
3. Data Requirements- The intensity of data is very different. GIS and low-carbon logistics models require spatial and emissions data and this is not always available everywhere. On the other hand, MCDM can be applied using a combination of expert knowledge and limited data, which means that it is more flexible in situations where there is a lack of data.
4. Scalability-Most studies that were reviewed were region or industry specific which questions scalability. The framework that is successful in bioenergy in Turkey might not necessarily be applicable to logistics hubs in East Asia.

V.6 EMERGING GAPS AND LESSONS

A critical analysis of the cases indicates that there are a number of gaps:

• Triple Bottom Line Integration - Few studies are able to incorporate economic, environmental, and social aspects at the same time. The majority of the frameworks focus either on cost or environmental impact, and social sustainability is not well represented.
• Rigid and Flexible Systems: Although optimization models are dynamic supply chains, most sustainability-oriented frameworks are among the stand-still ones that do not address disruptions like climate risks, pandemics, or geopolitical shocks.

• SME Adoption - A number of the models reviewed are data-intensive and highly complex, which is not conducive to smaller businesses that do not have analytical resources. Extended broader usage requires simplified frameworks or what are known as decision-support tools.

The literature indicates that sustainable site selection in supply chain management is changing and disjointed. The various industries and regions are focused on various aspects, and currently, there is no single way which offers the global solution. Nevertheless, the overall evidence demonstrates the crucial role of integrating spatial, multi-criteria, and optimization techniques to make it sustainable and efficient.

VI. FUTURE RESEARCH DIRECTIONS AND CONCLUSION

VI.1 FUTURE RESEARCH DIRECTIONS

Despite the fact that much progress has been achieved in the area of incorporating sustainability in the process of industrial sites selection, there are still a number of spheres that need further investigation. One of the key requirements is quantitative validation. Most of the existing systems are based on theoretical models, judgment of experts, or use cases. Although useful, these methods are not widely tested on an industry-wide and geographical level. The sustainability of the site selection models and the impact of the dynamic economic, regulatory, and technological factors on long-term results would be more reliable with broader datasets and longitudinal research. A new technology has more opportunities. Artificial intelligence and machine learning (AI/ML) may be used to increase predictive capability of site selection. Interpreting big and complicated data, AI can extract unobservable patterns and trade-offs, enabling one to minimize the impact of subjective views. Trained machine learning models can forecast the applicability of new locations based on previous decisions, and geospatial data and deep learning may enhance environmental assessment accuracy. Adaptive decision-making is also a potential use of reinforcement learning, with models changing over time as new data is received. Besides this, digital twins and simulation tools will have a powerful role to play.

A digital twin may simulate supply chain and environmental dynamics at a candidate location, facilitating decision-makers to execute scenarios on energy consumption, emissions, transportation flows, and effects on the community prior to resource allocation. Simulations show long-term sustainability trade-offs (e.g. between cost efficiency and carbon reduction). These technologies can be coupled with optimization algorithms to formulate real time updating decision systems, which would provide resilience in changing environments. The next future focus is to adopt a network-level perspective of sustainability. The decision of the location of the industrial sites has always been considered at the firm level, whereas the modern supply chain requires regional and global coordination. Such joint models as eco-industrial park, renewable energy cluster, and green logistics hubs can demonstrate how a common infrastructure and a common sustainability agenda can be useful. Applying this reasoning to cross-border supply chain networks would assist in meeting global sustainability and decarbonization goals, as well as improving reaction to climatic and geopolitical shocks. The proposed future research must focus on integrating quantitative validation, AI/ML, network-based simulations using digital twins, and network-oriented viewpoints. These innovations will enable stronger, dynamic, and international site selection methods.

VI.2 CONCLUSION

This paper has indicated the strategic importance of the industrial site selection as an interface between the supply chain management and sustainability. The location choices do not only affect the cost and efficiency but the environment and the welfare of the community. The outlined framework combines the drivers of supply chains, including cost efficiency, responsiveness, resilience, and green logistics with the aspects of sustainability, and it is a balanced presentation of the modern-day decision-making. The most important innovation is that it is viewed as a supply chain design problem and a sustainability concern at the same time. Contrary to the traditional method, in which all the attention was given to economic standards, the framework emphasizes the role of minimizing the ecological footprint, complying with regulations, and promoting social deliverables. The holistic approach enhances competitiveness and also fosters the overall sustainable development agenda. The paper offers an empirical investigation by offering a conceptual basis to encourage future research to operationalize and test the framework using real-life data and hi-tech innovations. The final vision is a decision-support system, which is both efficient and responsible providing practical advice to the managers, policymakers, and planners. By so doing sustainable site selection may not merely be a simple business requirement but also a source of long-run resilience of industry and society.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Parveen Sharma and Anil Baliram Ghubade.
Methodology: Parveen Sharma and Anil Baliram Ghubade.
Investigation: Parveen Sharma and Anil Baliram Ghubade.
Discussion of results: Parveen Sharma and Anil Baliram Ghubade.
Writing – Original Draft: Parveen Sharma.
Writing – Review and Editing: Parveen Sharma and Anil Baliram Ghubade
Resources: Anil Baliram Ghubade.
Supervision: Parveen Sharma and Anil Baliram Ghubade.
Approval of the final text: Parveen Sharma and Anil Baliram Ghubade.

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Manaus, v.11 n.56, p.287-295. November/December, 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2759

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

EARLY FAULT DETECTION OF ROLLING ELEMENT BEARINGS USING WAVELET PACKET ENERGY RATIO (WPER)

Jayprakash.P.Dataniya[1*], Utkarsh.A.Patel[2], Hitesh.K.Patel[3] and Divyang.H.Pandya[4*]

[1] L.D.College of Engineering, Gujarat Technological University Ahmedabad, India.
[2] Government Engineering College, Patan, Gujarat,India
[3]Research Scholar at Kadi Sarva Vishwavidyalaya, Gandhinagar, Gujarat, India
[4]LDRP Institute of Technology & Research, KSV University, Gandhinagar, Gujarat, India

[1]http://orcid.org/0009-0001-2735-0081, [2]https://orcid.org/0000-0003-4720-2147
[3]https://orcid.org/0009-0000-9217-0354, [4]http://orcid.org/0000-0002-1619-6170

Email: * jayprakashdataniya@ldce.ac.in, utkarsh671975@gmail.com, patelpatelhitesh88@gmail.com, veddhrumi@gmail.com

ARTICLE INFO

Article History
Received: September 29, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Deep groove ball bearing, localized defect, reverse biorthogonal wavelet, energy sub band, time-frequency analysis.

ABSTRACT

Early detection of defects in high-speed ball bearings is critical for preventing machinery failures and unplanned downtime. This study introduces a wavelet-packet–energy-based diagnostic method for identifying incipient bearing faults. Five real wavelets were evaluated, and the reverse Biorthogonal 5.5 wavelet was selected as the optimal basis according to the maximum energy-to-Shannon-entropy ratio criterion. Vibration signals from healthy and faulty bearings were acquired and decomposed using Wavelet Packet Decomposition (WPD) into narrow frequency sub-bands. An energy-ratio metric—defined as the energy of the faulty condition relative to the healthy condition for each sub-band—was computed to quantify fault severity. The method was experimentally validated using vibration data collected under localized single-defect conditions, including outer-race, inner-race, and rolling-element faults, at multiple rotational speeds. Results demonstrate that the proposed WPD-based energy-ratio approach offers superior sensitivity and accuracy for early fault detection compared with conventional vibration-analysis techniques.

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I. INTRODUCTION

Rolling bearings are vital components in rotating machinery, and their malfunction can significantly degrade system performance. Failures may result from factors such as excessive or unexpected loads, inadequate or improper lubrication, poor handling practices, or ineffective sealing. Even small defects can lower efficiency, while more severe damage may cause costly downtime or even catastrophic machine failure [1]. For this reason, vibration signal analysis has emerged as an essential tool in condition monitoring and fault diagnosis, as it enables early detection of incipient bearing faults by revealing critical information about their operating state.
Localized damage in bearings often begins due to concentrated Hertzian contact stresses arising between the rolling elements and the raceways. When a rolling element strikes such a defect, it generates an impulse that excites the natural resonances of the bearing structure [2], [3], [4]. Consequently, the vibration response of a defective bearing takes the form of an exponentially decaying sinusoid at the structural resonance frequency.

Since the impulse duration is extremely short compared to the interval between successive impacts, its energy spreads across a wide frequency range at very low levels, making it easily obscured by noise. When a rolling element traverses the load zone of a bearing, a degree of slippage inevitably occurs, which prevents the generated impact impulses from being reproduced at precisely the same spatial position in successive cycles when the defect is located on a stationary component, such as the outer race. Conversely, when the defect lies on the inner race or on the rolling elements, its position varies with respect to the bearing's load distribution. Consequently, the vibration response manifests as a sequence of impulses whose amplitudes are amplitude-modulated [5]. The impulses generated by bearing faults exhibit variability in both their timing and amplitude, introducing a degree of randomness into the signal. Consequently, the signal deviates from strict periodicity and is better characterized as non-stationary or cyclostationary. In such scenarios, traditional

analysis methods like the Fast Fourier Transform (FFT), which assume signal stationarity, may not effectively detect these faults. Instead, employing cyclic second-order statistical tools—such as cyclic autocorrelation and cyclic spectral density—proves more suitable for demodulating the signal and extracting fault-related features. Non-stationary signals are commonly analyzed using time–frequency methods such as the Short-Time Fourier Transform (STFT), Wigner–Ville distribution, and Wavelet Transform (WT) [6], [7], [8]. Owing to its multi-resolution capability and lack of cross-term interference, WT has become a preferred tool in fault diagnostics. Variants of WT include the Continuous and Discrete Wavelet Transforms, Wavelet Packet Analysis [9–11], and advanced extensions that incorporate post-processing techniques such as singularity analysis [12], [13]. In [14], a wavelet transform applied to vibration signals successfully identified defects in the inner and outer races separately and also detected combined faults. Similarly, [15] employed wavelet packet analysis with Daubechies-12 wavelets to process vibration data and reveal faults in both bearing races.However, the wavelet transform alone can struggle to uncover subtle features when background noise and overlapping spectral components mask critical signatures at similar scales [16].

This limitation can be mitigated using the Wavelet Packet Transform (WPT). By computing the autocorrelation of the selected detail coefficient with the approximation coefficient at level J, and then performing Fourier analysis on the resulting measure function, WPT enables precise localization of transient features. Although WPT maps provide richer diagnostic information, recent studies increasingly highlight alternative approaches such as the Hilbert transform, Hilbert–Huang transform, and Z-transform [17]. Wavelet Packet Decomposition (WPD) combined with Empirical Mode Decomposition (EMD) has proven particularly effective for extracting fault-related frequency components. Through this method, intrinsic mode functions (IMFs) that contain fault characteristics can be isolated, and the energy moments of these IMFs are used as eigenvectors to efficiently represent failure features. Building on these advances, recent research has used energy moments as a fault index to express failure characteristics. In this paper, the acquired vibration signal is decomposed using WPD to a desired level, and the wavelet packet energy in each frequency sub-band is compared with that of a healthy bearing. This approach enables simultaneous diagnosis of bearing conditions at different rotational speeds and can detect localized faults in rolling-element bearings.

II. WAVELET PACKET TRANSFORM (WPT)

The Wavelet Packet Transform (WPT) is an extension of the conventional Discrete Wavelet Transform (DWT) designed to provide a more detailed time–frequency representation of signals. In the DWT framework, at each decomposition stage only the low-frequency approximation coefficients are further decomposed, while the high-frequency detail coefficients remain untouched. This produces a pyramidal structure in which resolution is higher at lower frequencies. However, this selective decomposition can restrict the ability to capture information spread across the full frequency spectrum [18], [19], [20]. WPT overcomes this limitation by decomposing both approximation and detail coefficients at every level, forming a complete binary tree of sub-bands. After *n* levels of decomposition, WPT generates 2n2^n2n sub-bands, each corresponding to a specific frequency interval of the original signal. This fine partitioning provides greater flexibility for analyzing non-stationary or transient signals that contain useful information in both high- and low-frequency ranges. An important step in applying WPT is reordering the levels of decomposition. In the raw binary-tree structure, nodes are indexed according to their parent–child relationships, which do not necessarily match the natural order of frequency.

For meaningful interpretation—particularly in engineering applications such as vibration analysis—the sub-bands must be arranged sequentially from the lowest to the highest frequency. Reordering assigns frequency ranges to each node based on the sampling frequency and the decomposition depth so that the sub-bands become contiguous partitions of the signal spectrum. For example, at three levels of decomposition with sampling frequency FsF_sFs, the ordered bands are [0–Fs/8],[Fs/8–2Fs/8],…,[7Fs/8–Fs][0–F_s/8], [F_s/8–2F_s/8], \ldots, [7F_s/8–F_s][0–Fs/8],[Fs/8–2Fs/8],…,[7Fs/8–Fs]. This reordered structure is especially useful for feature extraction. In rotating-machinery fault diagnosis, characteristic defect frequencies such as BPFO, BPFI, or ball-spin frequency lie in specific bands. By mapping WPT sub-bands to actual frequency ranges, one can compute features such as sub-band energy, entropy, or statistical moments. These features can then be used as inputs to machine-learning models or statistical classifiers to enable accurate fault detection. In summary, WPT provides a complete and detailed signal decomposition, while reordering aligns the decomposition levels with true frequency bands. In this study, a new frequency-order index ppp was introduced at level 5, as shown in Figure 1.

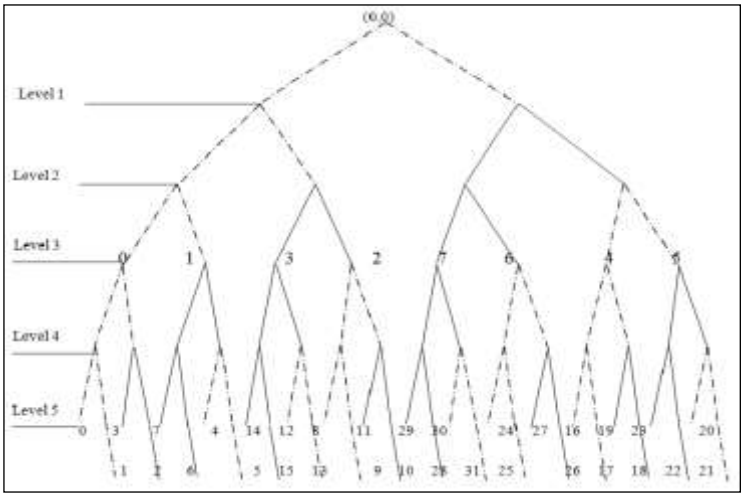


Figure 1: WPT reorders at 5th Level of Decomposition.
Source: Authors, (2025).

III. BALANCED ROTOR WITH VIBRATION ANALYSER SET UP

In this study, experimental trials were performed on a rotor test rig, as shown in Figure 2. The setup comprised a horizontal steel shaft supported by standard 6205 single-row deep-groove ball bearings and driven by a speed-regulated motor. A flexible spring coupling was installed between the motor and rotor shaft to compensate for minor misalignments. The rotor assembly, weighing approximately 2.5 kg, was mounted horizontally and integrated with a data-acquisition unit. Vibration responses were recorded using two bi-axial piezoelectric accelerometers, each with an operating frequency range of 1–30 kHz, a measurement capability of ±500 g (peak), a resolution of 0.005 g, and a resonant frequency of 70 kHz. Data were captured through a four-channel signal analyser with a sampling range of 0.48 Hz to 102.4 kHz. To simulate defective conditions, localized spall faults were introduced on the outer race, inner race, and rolling elements of the bearings. During signal acquisition, a sampling frequency of 2048 Hz and a Hanning window function were employed. Illustrations of the defective bearing cases are provided in Figure 3, and the geometric parameters of the 6205-ball bearing were taken from the manufacturer's catalogue.



Figure 2: Experimental setup,
Source: Authors, (2025).

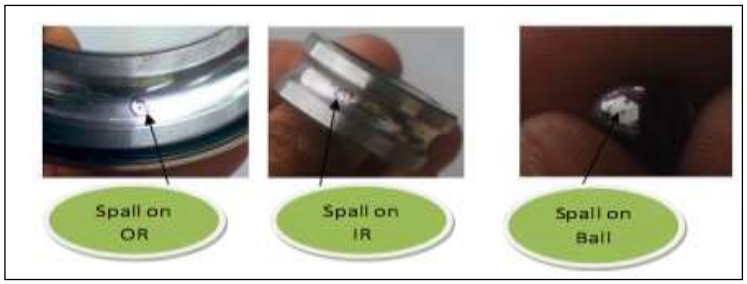


Figure 3: Localized Defect Seeded In Bearing Elements.
Source: Authors, (2025).

Table **1**: Energy to Shannon entropy ratio of real base wavelets under study.

Wavelet Type	Energy to Shannon entropy ratio
Db4	106.28
Db10	95.12
Sym2	82.23
Bior5.5	92.56
Rbio5.5	110.96

Source: Authors, (2025).

III.1 FFT SPECTRUM – OUTCOMES

Figure 4(a)–(d) presents the FFT spectra of all bearing conditions measured in the vertical direction at 3000 rpm. The main frequency components detected are the shaft rotational frequency (ω = 50 Hz), cage frequency (FTF = 19.9 Hz), outer race ball-pass frequency (BPFO = 179 Hz), inner race ball-pass frequency (BPFI = 271 Hz), and ball spin frequency (BSF = 118 Hz).For the healthy bearing (HB), the response is primarily excited at 2X, which leads to the conclusion of misalignment in the rotor-dynamic setup, with an amplitude of 0.03 m/s² [Figure. 4(a)]. In the case of the outer race defect (ORD), a significant response is observed at BPFO = 179 Hz with an amplitude of 0.31714 m/s² [Figure 4(b)]. For the inner race defect (IRD), no distinct fault-related peaks are observed; the dominant

response occurs at 2X with an amplitude of 0.13134 m/s², again attributed to misalignment [Figure 4(c)]. Similarly, for the ball defect (BD), no major fault-specific peaks are recorded; the main responses appear at 2X with an amplitude of 0.04962 m/s² and a minor peak at BPFO = 179 Hz with an amplitude of 0.00652 m/s² [Figure 4(d)]. Evaluated characteristic frequencies at the speed range were tabulated in Table 2.

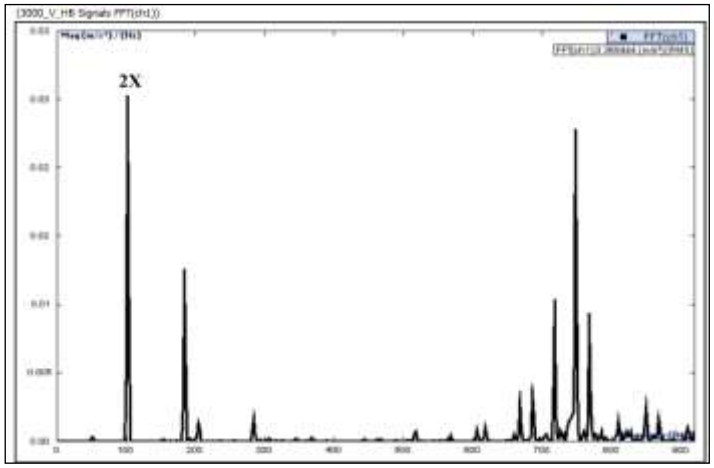


Figure 4(a): FFT of Healthy Bearing at 3000 RPM
Source: Authors, (2025).

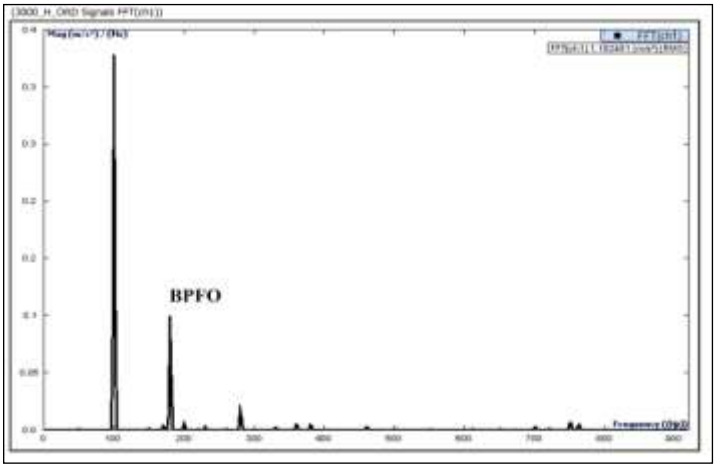


Figure 4(b): FFT of Bearing with Outer Race Defect at 3000 RPM
Source: Authors, (2025).

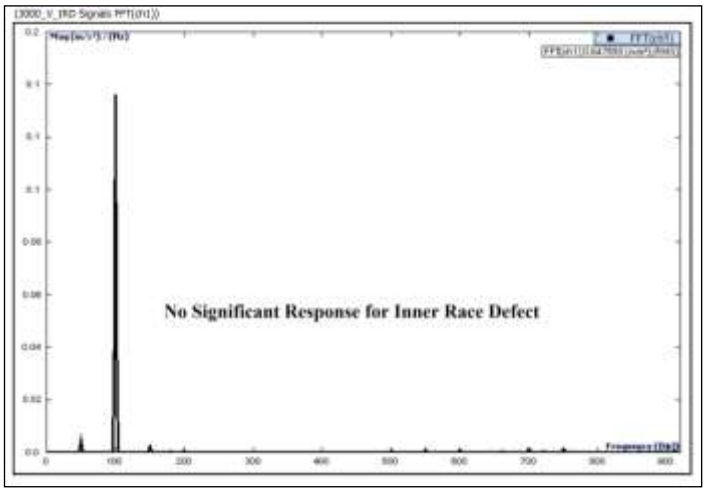


Figure 4(c): FFT of Bearing with Inner Race Defect at 3000 RPM
Source: Authors, (2025).

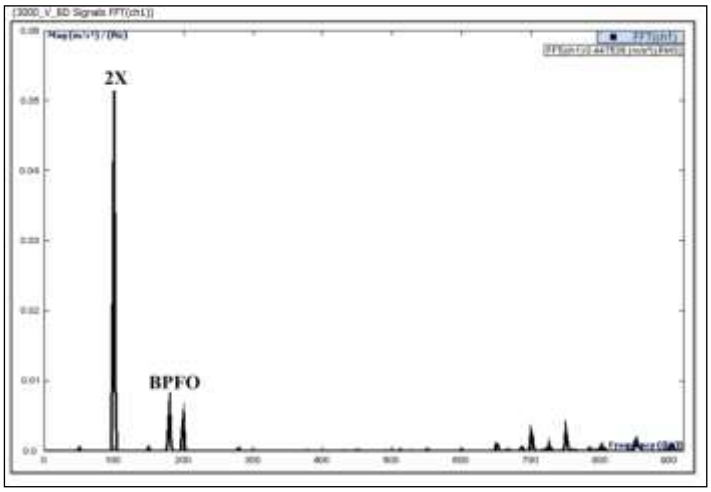


Figure 4(d): FFT of Bearing with Ball defect at 3000 RPM
Source: Authors, (2025).

Table 2: Characteristic Defect frequencies at speed range (1000-6000 RPM).

Speed(RPM)	ω_{inner} (Hz)	ω_{cage} (Hz)	ω_{bpfo} (Hz)	ω_{bpfi} (Hz)	ω_{bsf} (Hz)
1000	16.7	6.64	59.8	90.2	39.3
2000	33.3	13.3	120	180	78.6
3000	50	19.9	179	271	118
4000	66.7	26.6	239	361	157
5000	83.3	33.2	299	451	196
6000	100	39.8	359	541	236

Source: Authors, (2025).

III.2 WPT SPECTRUM – OUTCOMES

The wavelet packet transform (WPT) energy spectra obtained for different bearing conditions in the vertical direction at 3000 rpm are presented in Figure 5(a)–(d). In this approach, the detail coefficients generated by WPT are autocorrelated with the approximate coefficients, and the derived measure is subjected to Fourier transformation to produce the WPT energy spectrum—commonly referred to as the FFT spectrum of WPT. Here, the horizontal axis represents the normalized frequency with respect to the sampling frequency, while the vertical axis indicates the corresponding energy amplitude. This post-spectral method provides improved resolution for detecting transient events. For the healthy bearing (HB), the spectrum shows a dominant peak at a normalized frequency of 0.05 (≈102.4 Hz), which corresponds to the second-order misalignment frequency (2X). A secondary response is observed at 0.08984 (≈185 Hz) with an amplitude of 4.45×10^4 [Figure 5(a)].

In the case of the outer race defect (ORD), a strong excitation appears at the ball-pass frequency of the outer race (BPFO = 0.08789, ≈180 Hz) with an amplitude of 5.339×10^4 [Figure 5(b)]. For the inner race defect (IRD), the most prominent feature is detected at 0.5(BPFI + FTF) = 0.07324 (≈150 Hz), showing an amplitude of 8.6×10^3 [Figure 5(c)]. Finally, for the ball defect (BD), fault-specific spectral lines are not clearly visible. Instead, the main responses occur at 0.05 (≈102.4 Hz) with an amplitude of 10.89×10^4, and at BPFO (≈179 Hz), which is consistent with the trends observed in the conventional FFT spectrum [Figure 5(d)].

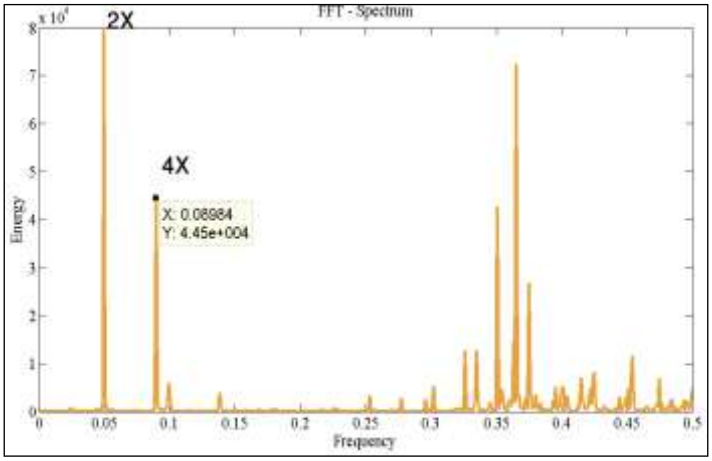


Figure 5(a): WPT energy-spectrum for Healthy Bearing at 3000 RPM.
Source: Authors, (2025).

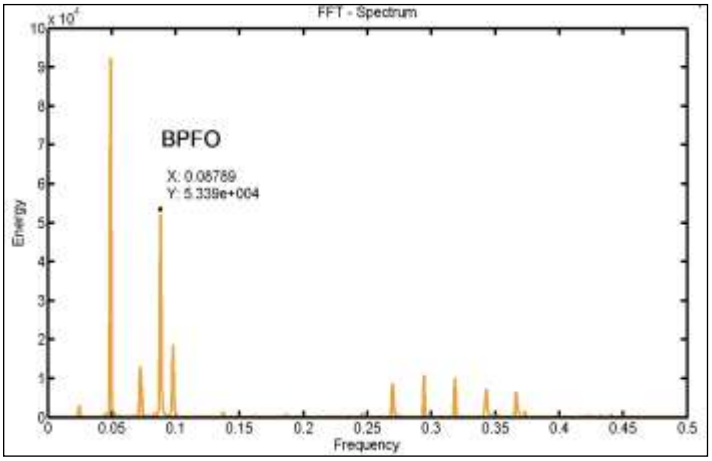


Figure 5(b): WPT energy-spectrum for Bearing with Outer Race Defect at 3000 RPM.
Source: Authors, (2025).

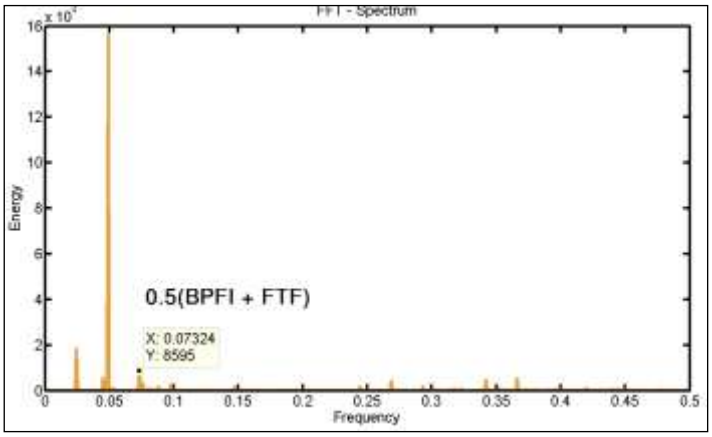


Figure 5(c) WPT energy-spectrum for Bearing with Inner Race Defect at 3000 RPM.
Source: Authors, (2025).

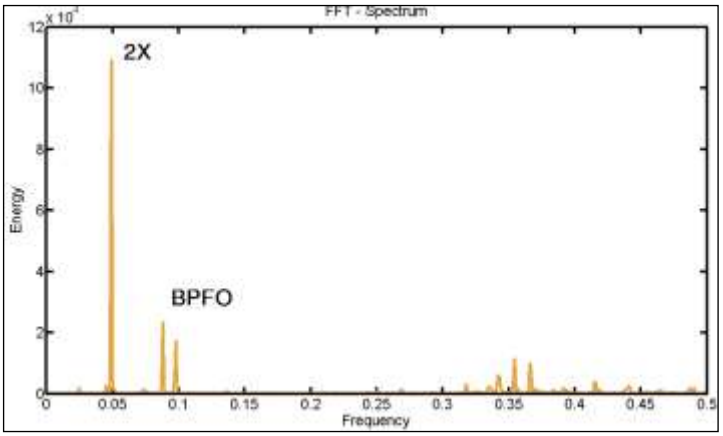


Figure 5(d) WPT energy-spectrum for Bearing with Ball Defect at 3000 RPM.
Source: Authors, (2025).

III.3 DIAGNOSIS WITH WAVELET PACKET ENERGY

Over the past few decades, the wavelet packet transform (WPT) has evolved into a powerful tool for vibration-signal analysis, supported by a wide range of base wavelets. The MATLAB library alone provides 13 different wavelet families [21]. Selecting an appropriate base wavelet is a key step in the diagnostic procedure because it directly affects the accuracy and reliability of fault-detection results. Previous studies have addressed this challenge using qualitative or quantitative selection strategies. In the present work, a quantitative criterion based on the maximum energy-to-Shannon-entropy ratio is adopted to identify the most suitable wavelet for bearing-fault diagnosis. Shannon entropy measures signal disorder and provides insight into the system's dynamical behavior [22]. When the energy probability distribution across decomposition levels approaches uniformity, the corresponding entropy value is near zero or remains very small. Consequently, the optimal wavelet is the one that maximizes extracted signal energy while simultaneously minimizing the Shannon entropy of the autocorrelated WPT coefficients.

In other words, the most effective wavelet for bearing-condition monitoring yields the highest energy-to-entropy ratio. In this study, the energy-to-entropy ratio was computed for four bearing states: (a) healthy bearing (HB), (b) outer race defect (ORD), (c) inner race defect (IRD), and (d) ball defect (BD), under six rotational speeds ranging from 1000 to 6000 rpm. Each test was repeated five times, and the average ratio at each speed was calculated. The wavelet that produced the maximum cumulative average across all operating conditions was selected as the most suitable candidate. Five real wavelets were evaluated, and the results are summarized in Table 1. Based on this comparative analysis, the reverse Biorthogonal 5.5 (rbio5.5) wavelet was identified as the most effective for analysing bearing-vibration signals [22]. For diagnostic purposes, the ratio of energy coefficients between faulty and healthy bearing conditions at the fifth level of decomposition was used as the fault index. At higher decomposition levels, time resolution decreases and the signal energy becomes concentrated in fewer coefficients; however, for transient-signal analysis, decomposition up to the fifth level is effective. In this work, raw signals were decomposed to the fifth level, and the corresponding coefficients for healthy and faulty bearings were denoted

Cj,phC_{j,ph}Cj,ph and Cj,pfC_{j,pf}Cj,pf, respectively. Energy vectors corresponding to these coefficients were computed, and the energy-ratio vector for each sub-band frequency was plotted, as illustrated in Figure. 6(a), Figure. 7(a), and Figure. 8(a) for the ORD, IRD, and BD conditions, respectively. Coefficients from the first nodes were omitted because they contained noisy low frequencies arising from imbalance, misalignment, mechanical looseness, and similar effects.

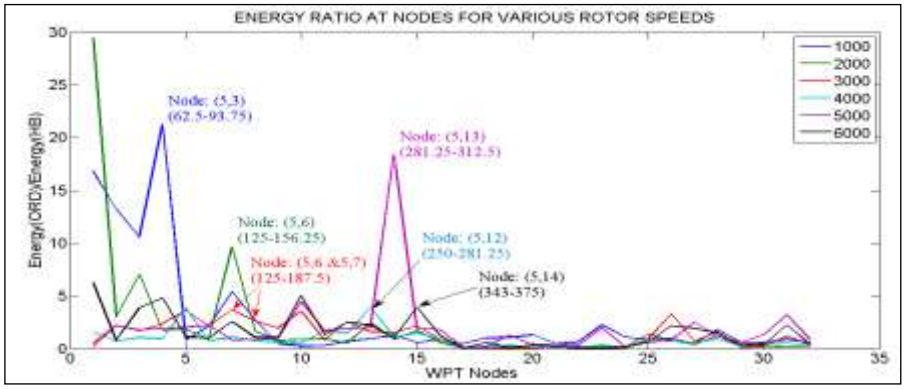


Figure 6(a) Energy ratio (ORD/HB) v/s WPT Nodes at Different speed.
Source: Authors, (2025).

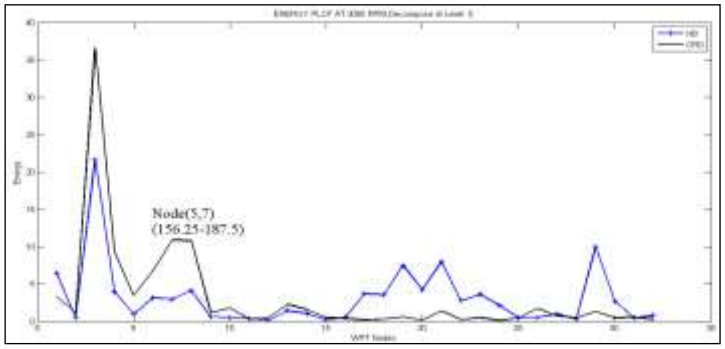


Figure 6(b): Energy v/s WPT Nodes for HB & ORD bearing at 3000 RPM.
Source: Authors, (2025).

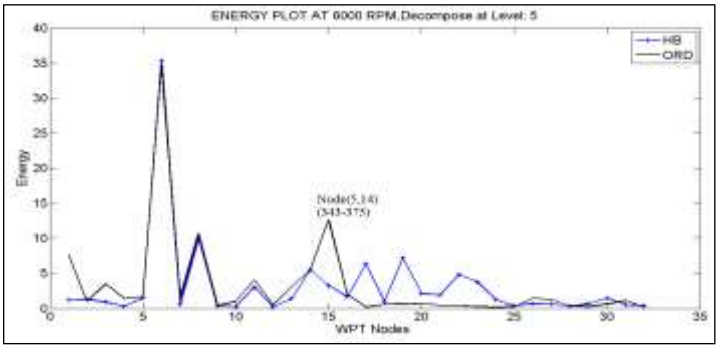


Figure 6(c): Energy v/s WPT Nodes for HB & ORD bearing at 6000 RPM.
Source: Authors, (2025).

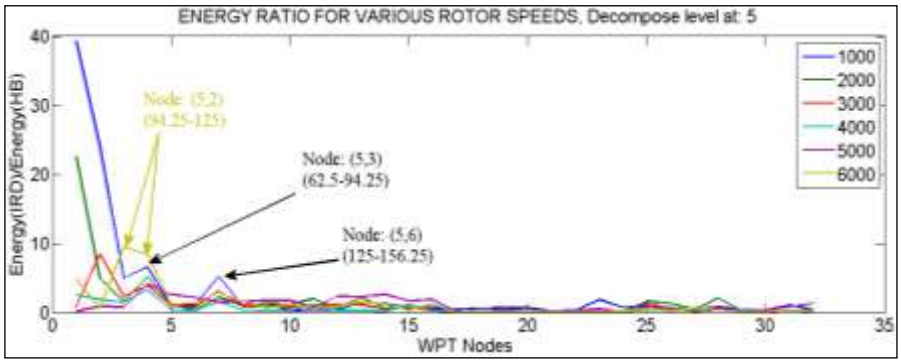


Figure 7(a): Energy ratio (IRD/HB) v/s WPT Nodes at Different speed.
Source: Authors, (2025).

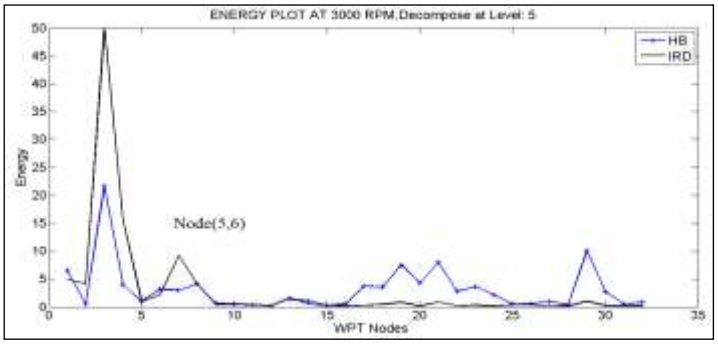


Figure 7(b): Energy v/s WPT Nodes for HB & IRD bearing at 3000 RPM
Source: Authors, (2025).

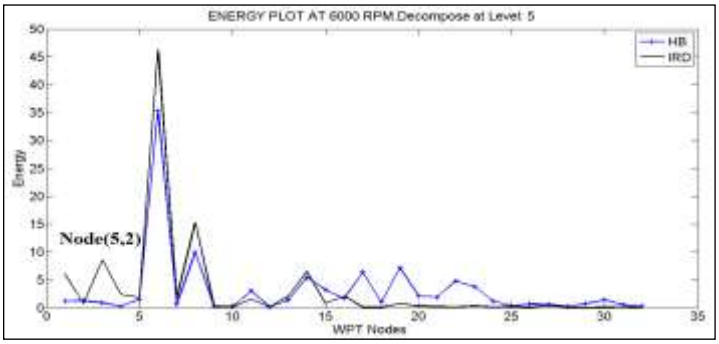


Figure 7 (c) Energy v/s WPT Nodes for HB & IRD bearing at 6000 RPM
Source: Authors, (2025).

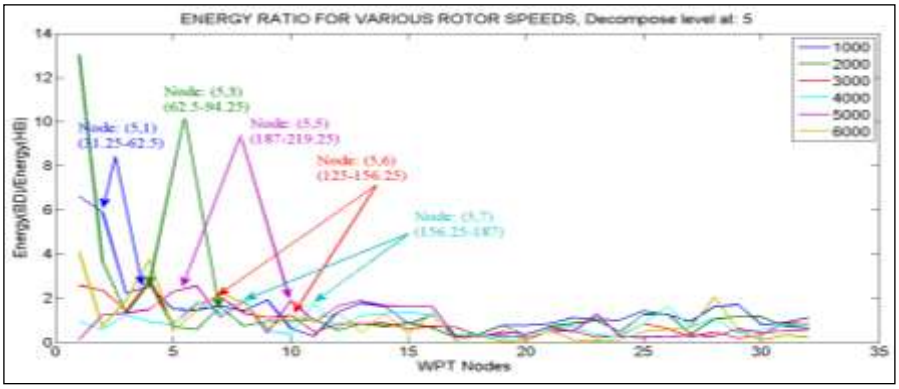


Figure 8(a): Energy ratio (BD/HB) v/s WPT Nodes at Different speed.
Source: Authors, (2025).

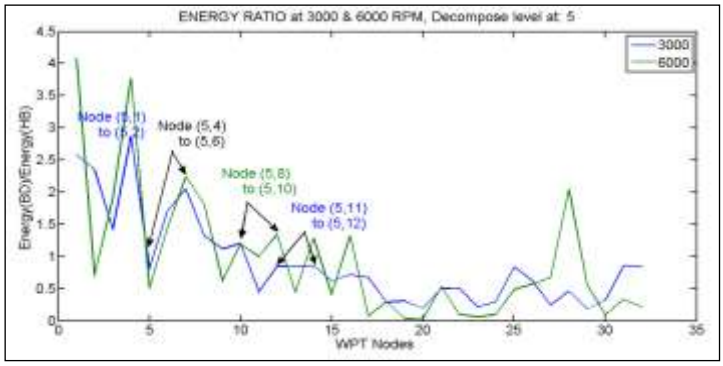


Figure 8(b): Energy ratio (BD/HB) v/s WPT Nodes at 3000 & 6000 RPM.
Source: Authors, (2025).

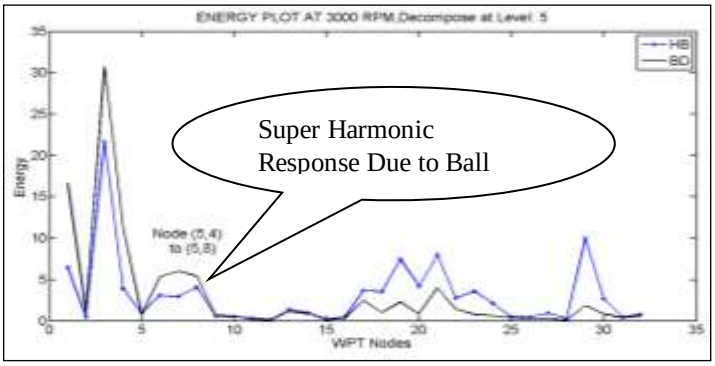


Figure 8(c): Energy v/s WPT Nodes for HB & BD bearing at 3000 RPM
Source: Authors, (2025).

Table 3: Frequency range at excited WPT node.

Node	Frequency Sub band (Hz)	Node	Frequency Sub band (Hz)	Node	Frequency Sub band (Hz)
0	0-31.25	4	218.75-250	9	468.75-500
1	31.25-62.5	5	187.5-218.75	10	375-406.25
2	93.75-125	6	125-156.25	12	250-281.25
3	62.5-93.75	7	156.25-187.5	13	281.25-312.5

Source: Authors, (2025).

IV. RESULTS AND DISCUSSION

Outer Race Defect (ORD) : Figure 6(a) shows the energy ratio of bearings with outer-race defects compared with healthy bearings across all WPT nodes for speeds from 1000 to 6000 rpm. The characteristic defect frequencies for this speed range are listed in Table 3. Clear excitations are observed at node (5,3), node (5,6), between nodes (5,6) and (5,7), node (5,12), and node (5,14) for speeds of 1000, 2000, 3000, 4000, 5000, and 6000 rpm, respectively. For detailed analysis at 3000 and 6000 rpm, energy versus WPT node plots are provided in Fig. 6(b)–(c). Figure 6(b) highlights significant energy separation at node (5,7), indicating robust energy distribution in adjacent nodes and enabling clear diagnosis of an outer-race defect. Similarly, Fig. 6(c) shows strong energy concentration at nodes (5,3) and (5,14); the amplitude difference at node (5,14) confirms the presence of a spall. Although node (5,6) exhibits maximum energy in all conditions, this is attributed to misalignment, as corroborated by the FFT spectrum.

Inner Race Defect (IRD): Figure 7(a) presents the energy ratio for bearings with inner-race defects versus healthy bearings across all WPT nodes for speeds from 1000 to 6000 rpm. Distinct excitations appear at nodes (5,3) and (5,6) throughout the speed range. At 6000 rpm, a flat peak occurs between nodes (5,2) and (5,3). These responses exhibit a subharmonic pattern: at 1000 rpm the excitation is harmonic; at 2000 rpm it is ½ ω_{BPFI}; at 3000 and 4000 rpm it is ¼ ω_{BPFI}; and at 5000 and 6000 rpm it is 1/6 ω_{BPFI}. Further analysis at 3000 and 6000 rpm is shown in Fig. 7(b)–(c). Figure 7(b) demonstrates significant energy separation at node (5,6) for 3000 rpm, while Fig. 7(c) highlights a strong response at node (5,2) for 6000 rpm, confirming the subharmonic excitation pattern and facilitating reliable IRD diagnosis.

Ball Defect (BD): Figure 8(a) illustrates the energy ratio of bearings with a ball defect versus healthy bearings for speeds from 1000 to 6000 rpm. Unlike the ORD and IRD cases, no single node shows a dominant excitation; instead, adjacent nodes collectively form a diagnostic pattern. Across the speed range, responses appear as a flat, inclined trend within the superharmonic frequency bands. Energy disturbances are observed at nodes (5,1)–(5,2), (5,3), (5,4)–(5,5), (5,5)–(5,6), (5,6)–(5,7), (5,8)–(5,10), and (5,9)–(5,10). Superharmonic excitations are clearly marked with arrows in Fig. 8(a) at nodes (5,2)–(5,3), (5,5)–(5,6), (5,10)–(5,11), (5,4)–(5,5), (5,9)–(5,10), and (5,8)–(5,10). Figures 8(b) and 8(c) provide a closer view of the energy distribution at 3000 and 6000 rpm, which represent challenging conditions for high-speed bearing diagnosis. Figure 8(d) further confirms that, while outer- or inner-race defects produce distinct peaks at specific

nodes, ball defects manifest as gradual energy increases across adjacent nodes. Careful observation of these adjacent nodes is therefore essential for accurate ball-defect detection.

V. CONCLUSION

The Fast Fourier Transform (FFT) is effective for diagnosing outer-race defects but is less capable of detecting inner-race or ball defects. Similarly, a WPT-based energy spectrum with an autocorrelation technique can identify outer- and inner-race defects but fails to reliably detect ball defects. The proposed wavelet packet energy ratio (WPER) method significantly enhances the diagnostic capability of WPT, enabling accurate detection of localized defects on the outer race, inner race, and rolling elements. In all cases, the diagnostic information follows a distinct pattern, making the WPER approach more reliable than conventional methods. Observations show that outer-race defects are excited in sub-bands near harmonic frequencies, inner-race defects in sub-bands near subharmonic frequencies, and ball defects in sub-bands near superharmonic frequencies. The sub-band energy responses corresponding to each bearing condition further confirm the effectiveness of the WPER criterion. Because of its flexibility and computational efficiency, WPT provides a robust framework for vibration-signal analysis. The proposed wavelet-selection criterion adds to this framework by offering a quantitative measure that uniquely characterizes the signal and facilitates early fault diagnosis in rolling-element bearings.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: J.P.Dataniya, U.A.Patel, D.H.Pandya.
Methodology: J.P.Dataniya and D.H.Pandya.
Investigation: J.P.Dataniya and D.H.Pandya.
Discussion of results: J.P.Dataniya, U.A.Patel, D.H.Pandya..
Writing – Original Draft: J.P.Dataniya
Writing – Review and Editing: J.P.Dataniya and D.H.Pandya.
Resources: D.H.Pandya.
Supervision: U.A.Patel and D.H.Pandya.
Approval of the final text: J.P.Dataniya, U.A.Patel, D.H.Pandya.

VII. ACKNOWLEDGMENTS

Authors would like to acknowledge the support received from the **Green KSV Skill Development centre, LDRP-ITR Campus, Gandhinagar** for providing vibration analyser and other tooling require for experimental.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.296-309. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2772

RESEARCH ARTICLE OPEN ACCESS

ENHANCED CONTROL AND ANALYSIS OF A FIVE-LEG INVERTER USING PWM STRATEGIES FOR DUAL ASYNCHRONOUS MOTOR DRIVES

Oussama Sait*[1], Samia Latreche[2], Belkacem Sait[3], Mabrouk Khemliche[4], Hamza Khemliche[5]

[1, 2, 3,4]Automatic Laboratory of Setif-LAS, Automatic and Smart Systems Department, University of Ferhat Abbas Setif 1, Setif, Algeria.
[5]Reaserch Center In Industrial Technologies CRTI, P.O. box 64, Cheraga 16014, Algiers, Algeria.

[1]https://orcid.org/0009-0006-0662-1387, [2]https://orcid.org/0000-0002-1496-739X, [3]https://orcid.org/0009-0005-9379-4763
[4]https://orcid.org/0000-0003-2638-6688, [5]https://orcid.org/0000-0002-7373-780X.

Email: *sait.oussama@univ-setif.dz , ksamia2002@yahoo.fr, belkacemsait@yahoo.fr, mabroukkhemliche@univ-setif.dz, h.khemliche@crti.dz

ARTICLE INFO

Article History
Received: October 3, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: September 31, 2025

Keywords:
Five-leg inverter,
Dual motor drive,
PWM,
Indirect vector control,
Harmonic distortion,
Matlab/Simulink.

ABSTRACT

This study offers a detailed control strategy and performance assessment of a five-leg inverter configuration designed for the autonomous operation of two three-phase induction motors. Traditional dual-motor drive systems generally utilize two distinct three-leg inverters, leading to heightened hardware complexity, elevated costs, and greater spatial demands. The suggested five-leg inverter architecture mitigates these restrictions by employing a shared leg between two motor phases, so decreasing the number of power switching devices while preserving complete independent control of both motors. The system functions by sinusoidal Pulse Width Modulation (PWM) integrated with sophisticated indirect vector control techniques. A comprehensive simulation model in MATLAB/Simulink evaluates system performance under balanced load settings, examining critical metrics including voltage waveforms, torque response, and harmonic distortion for each motor. The findings indicate that the five-leg inverter facilitates steady, decoupled motor performance characterized by minimal harmonic distortion and rapid dynamic response. A comparative assessment with a traditional six-leg inverter architecture demonstrates that the suggested topology provides comparable performance while minimizing component count and complexity. This study confirms the practicality and benefits of shared-leg inverter configurations for multi-motor drives, facilitating more compact, economical, and efficient solutions in industrial motor control applications.

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I. INTRODUCTION

Multi-motor drive systems have become increasingly important in industrial automation, electric vehicles, and robotics, where the need for both independent and coordinated motor control is essential [1]. Traditionally, each motor has been driven by a separate three-phase inverter, resulting in increased hardware complexity, elevated costs, and larger system dimensions [2]. In response to these limitations, multi-leg inverter topologies have been introduced as compact and economically viable alternatives. The five-leg inverter topology has garnered considerable interest for its capacity to power two three-phase motors utilising merely five legs, as it allows for the sharing of one common leg between the two drives [3]. This configuration leads to a reduction in the number of switching devices and gate drivers by approximately 16–33% when compared to traditional dual-inverter systems [4]. Nevertheless, this topology presents various control challenges, especially in relation to the modulation of the shared leg, which must guarantee decoupled operation of both machines while preventing inter-phase interference [5]. To address this challenge, advanced PWM methods like sinusoidal PWM (SPWM) are widely used, along with vector control strategies to maintain steady torque and flux responses. A series of investigations have examined the performance of five-leg inverters across diverse load conditions [6], [7]. However, a significant gap exists in the literature regarding comprehensive comparative analyses of five-leg and six-leg inverters, particularly concerning harmonic distortion,

dynamic performance, and switching behaviour. Furthermore, many current studies fail to adequately assess the influence of the shared-leg configuration on torque ripple and the system's overall stability. This investigation aims to fill the existing gap by delivering a thorough simulation-based performance evaluation of a five-leg inverter that drives two asynchronous machines, employing sinusoidal pulse width modulation and indirect vector control methodologies. A comparative analysis with a conventional six-leg inverter has been performed to assess the performance trade-offs and substantiate the proposed architecture.

This work presents the following contributions:

- A detailed simulation model of a five-leg inverter was developed using MATLAB/Simulink.
- Assessment of dual-motor operation performance concerning voltage, torque, and harmonic content.
- A comparative analysis involving a six-leg inverter to illustrate the advantages of the shared-leg topology.

The findings offer novel perspectives on the practicality and constraints of shared-leg inverter configurations for multi-motor systems, especially in contexts where hardware simplicity and compactness are emphasized.

II. RELATED WORK

Several research initiatives have explored multi-motor drive systems and inverter configurations designed to minimize hardware complexity while ensuring efficient motor control. The traditional approach of employing two independent three-leg inverters has been extensively examined and applied, owing to its simple design and established reliability [8]. Nevertheless, this methodology intrinsically leads to a greater number of components, elevated switching losses, and an expanded requirement for installation space [9]. In response to these challenges, configurations utilizing shared-leg inverters have been developed. The five-leg inverter has emerged as a compact alternative, demonstrating its ability to control two three-phase motors while utilizing fewer switching devices [10]. This configuration minimizes the quantity of power semiconductor switches and gate drivers, resulting in a significant enhancement in power density and the overall system cost [11]. A range of modulation techniques has been proposed for the five-leg inverter. Sinusoidal PWM (SPWM) exhibits commendable performance in terms of voltage quality and ease of implementation [12]. Nevertheless, the ability to ensure fully decoupled operation for both motors through the shared leg remains a subject of ongoing research. Alternative methods, such as space vector PWM (SVPWM) and hybrid modulation, have been examined with the aim of minimizing harmonic content and torque ripple [13], [14].

The implementation of indirect rotor flux-oriented vector control has demonstrated efficacy in sustaining stable torque and flux responses within dual-motor systems [15]. Several studies have incorporated this methodology alongside advanced control techniques, including fuzzy logic and model predictive control, to improve robustness in the face of varying load conditions [16]. Despite these advancements, there remains a notable lack of studies that offer a comprehensive comparison between five-leg and six-leg inverter topologies under the same operating conditions. A considerable body of research emphasizes the reduction of hardware or conducts isolated case analyses, often neglecting the critical need to benchmark these methodologies against established frameworks [17]. Moreover, the existing literature rarely provides thorough harmonic analysis or dynamic performance evaluations, both of which are crucial for validating the practical significance of shared-leg configurations [18]. This investigation seeks to address the existing research gap through a simulation-based comparative analysis of five-leg and six-leg inverters, with particular emphasis on waveform quality, system response, and harmonic distortion. The proposed work presents a systematic evaluation framework and elucidates the trade-offs and advantages of shared-leg inverters in dual-drive applications.

III. THEORETICAL FRAMEWORK

III.1 SIX-LEG INVERTER TOPOLOGY

A six-leg inverter is a multiphase inverter consisting of six power switches, commonly MOSFETs or IGBTs, organized in a three-phase configuration to manage multiple electrical machines. The configuration of the six-leg inverter comprises six switching devices, with each device assigned to a particular leg of the inverter. The six terminals generate three-phase outputs tailored for the respective load, generally organized in a balanced configuration, with each phase output being regulated autonomously. This topology is characterized by the independent management of each phase leg, which markedly enhances voltage regulation and fault tolerance relative to conventional three-phase inverters[19]. The modulation scheme utilized dictates the switching function in a six-leg inverter. In pulse width modulation (PWM), switching devices are engaged and disengaged at a high frequency, thereby controlling the voltage output through adjustments to the duty cycle of the switches.

Each of the six legs is equipped with a corresponding switching signal, with the switching frequency and duty cycle carefully calculated to ensure a balanced and stable output voltage. This architecture promotes redundancy, thereby ensuring fault tolerance in the event of a failure in one of the switching devices. In the occurrence of a fault in one leg, the inverter can be replaced, allowing the system to continue functioning with reduced performance, thereby preventing complete failure [20]. The core functionality of the six-leg inverter is predicated on the synthesis of sinusoidal pulse width modulation (SPWM) and space vector modulation (SVM) techniques. The modulation techniques employed facilitate the six-leg inverter's generation of requisite three-phase voltage waveforms, characterized by minimal harmonic distortion and enhanced efficiency. The voltage vectors are generated through the sequential switching of the six legs to accurately depict the intended output voltage vector. Meanwhile, the modulation strategy improves the inverter's efficiency by minimizing switching losses and harmonics.

III.2 FIVE-LEG INVERTER TOPOLOGY

An innovative adaption of the six-leg inverter, the five-leg inverter reduces switch count while guaranteeing fault tolerance and multiple motor control. The five-legged arrangement uses five power switches and a shared leg for two motors. Reducing the number of switches makes the solution more efficient and cost-effective while keeping some key six-leg inverter benefits. In this setup, one inverter leg connects the two motors, while the other four legs regulate their voltage. A shared leg between the motors defines the five-leg inverter. This design reduces system components and allows machines to operate autonomously. This design minimizes switches and components compared to a six-leg system, which is beneficial in space- and cost-constrained scenarios [21]. Though using fewer switching signals, the five-leg inverter's switching functions are similar to those of the six-leg inverter. The common leg is usually the motors' neutral point, and the switching pattern balances each motor's voltage. PWM is used to provide switching signals for the five-leg inverter, allowing it to be controlled and its output voltages changed. The five-leg inverter can use fault-tolerant tactics such switching reconfiguration to minimize problems in one leg, guaranteeing system continuity. [22][23].

III.3 CONTROL SIGNAL DEFINITION

The control signals for the five-arm inverter are articulated through mathematical expressions that are derived from the modulation techniques employed in the switching devices. The primary aim is to produce suitable switching pulses for each leg of the inverter, which will yield the intended voltage waveforms for the associated motors. In a conventional PWM-controlled inverter, the duty cycle of the switching signals is determined by the desired output voltage and the modulation technique employed [24]. Define the voltage references for the phases as Vref,a, Vref,b, and Vref,c for the three-phase motors, with each reference voltage being contingent upon the desired output voltage and the modulation technique employed. The control signals Sa, Sb, and Sc corresponding to the three phases can be articulated as follows:

$$\mathrm{Sa(t)} = \mathrm{PWM\ (Vref, a, t)} \tag{1}$$

$$\mathrm{Sb(t)} = \mathrm{PWM\ (Vref, b, t)} \tag{2}$$

$$\mathrm{Sc(t)} = \mathrm{PWM\ (Vref, c, t)} \tag{3}$$

The function PWM(Vref,t) delineates the pulse width modulation mechanism, which modulates the duty cycle of the switches to produce the desired voltage waveform. The duty cycle D for each phase is determined by the reference voltage and the modulation technique, generally articulated as follows:

$$\mathrm{D} = \mathrm{Vref\ VDC} \tag{4}$$

In this context, VDC refers to the voltage present on the DC bus. The generation of the switching signal occurs through the comparison of the reference voltage against a triangular carrier signal. When the reference voltage surpasses the carrier signal, the switch activates; if not, it remains deactivated. In the context of a five-leg inverter, the control signals for the common leg S common are established with consideration to voltage balancing and the configuration of shared power. The implementation of the switching strategy for the common leg guarantees that the voltage at the common point is maintained in a stable and balanced manner between the two motors. This requires careful calculation of the switching pulses for the common leg, along with the other legs, to achieve the desired system performance.The mathematical formulations related to the control signals in a five-leg inverter can be succinctly expressed as follows:

$$\mathrm{Scommon(t)} = \mathrm{PWM\ (Vcommon, t)} \tag{5}$$

The variable V common denotes the voltage at the common leg, while the PWM function guarantees that this voltage is maintained in a balanced state concerning the phases linked to the motors. The comprehensive control system is meticulously engineered to ensure a stable and balanced voltage supply to each motor while concurrently minimizing switching losses and harmonic distortion [25].

IV. SYSTEM ARCHITECTURE AND CONTROL STRATEGY

The proposed system utilizes a five-leg inverter to regulate two three-phase asynchronous motors, effectively reducing the number of necessary switching devices. This topology decreases the total number of legs from six to five by incorporating a shared leg between the third phases of both motors, in contrast to traditional configurations that employ two distinct three-leg inverters. This leads to lower hardware expenses, improved power density, and refined control circuitry, rendering the system appealing for compact and economical applications [26]. The system architecture is shown in Figure 1. uses separate vector control loops for each motor, generating voltage references that feed a centralized sinusoidal PWM. The PWM drives the five-leg inverter, which supplies modulated voltages to both motors, while current and speed feedback ensure real-time adjustment and stability.

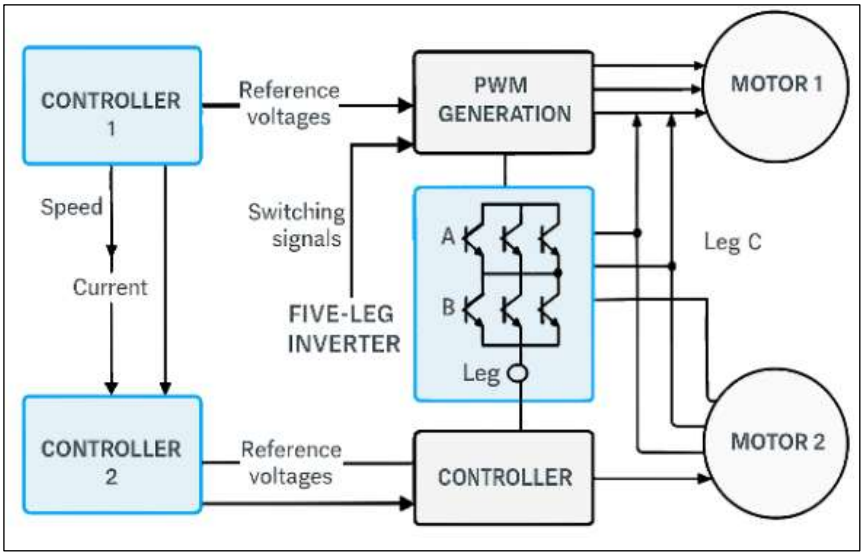


Figure 1: System architecture of the proposed five-leg inverter system.
Source: Authors, (2025).

The inverter configuration allocates two legs for each motor while sharing a central leg between both machines. Figure 2 illustrates that Legs A and B deliver phases a_1 and b_1 for Motor 1 (M1), whereas Legs D and E supply phases a_2 and b_2 for Motor 2 (M2). Leg C is concurrently linked to phases c_1 and c_2 of both motors. Synchronizing the switching signals on this common leg is crucial to prevent coupling effects and ensure control independence [27], [28].

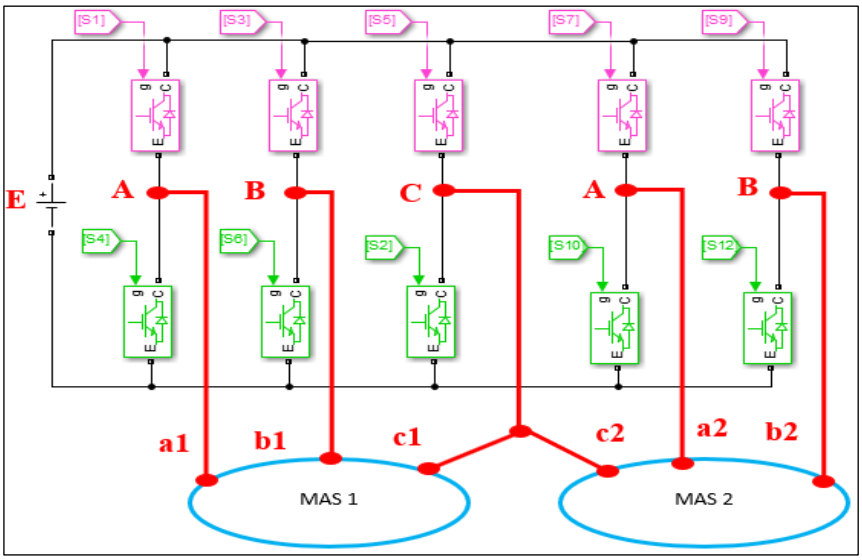


Figure 2: Electrical structure of the five-leg inverter supplying two three-phase asynchronous motors.
Source: Authors, (2025).

IV.1 PWM CONTROL SIGNALS AND GATE LOGIC

A sinusoidal Pulse Width Modulation (SPWM) approach is utilized to produce the requisite gate signals for the inverter switches. This technique entails juxtaposing sinusoidal reference voltages with a triangular carrier waveform to generate high-frequency switching pulses. The simplicity, convenience of digital implementation, and adequate harmonic performance render SPWM appropriate for multi-motor applications. In a five-leg inverter, the modulation technique must guarantee synchronized control of the shared leg to avert conflicting operations [29]. In order to implement the SPWM switching logic, the generation of control signals is based on the comparison between sinusoidal voltage references and a high-frequency sawtooth waveform. This process is illustrated in Figures 3 through 5. Figure 3 presents the three-phase sinusoidal voltages overlaid on a sawtooth generator signal, which determines the instant of switching by the point of intersection. Figure 4 shows the individual sine and sawtooth waveforms for a single phase to highlight their relative dynamics. Figure 5 displays the resulting summation used to define the pulse timing. This approach is foundational in defining the modulation index and duty cycle of each inverter leg, ensuring harmonic balance and time-aligned switching even in the five-leg configuration shared by two motors.

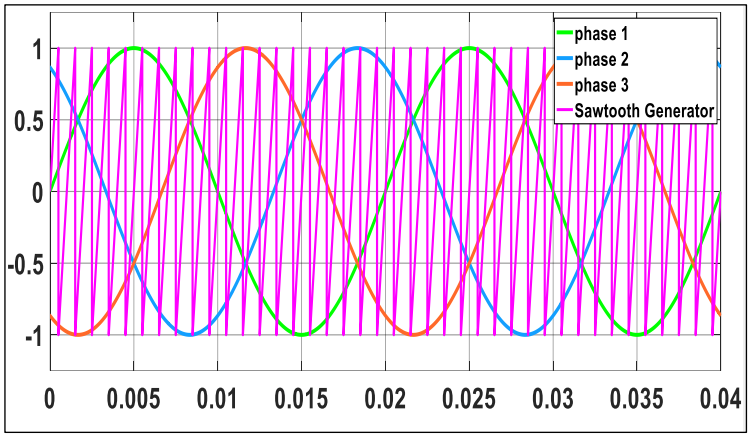


Figure 3: The Three-Phase Voltage Signals (Sine Wave + Sawtooth Generator).
Source: Authors, (2025).

- Demonstrates the PWM control signals essential for switching transistor operation.

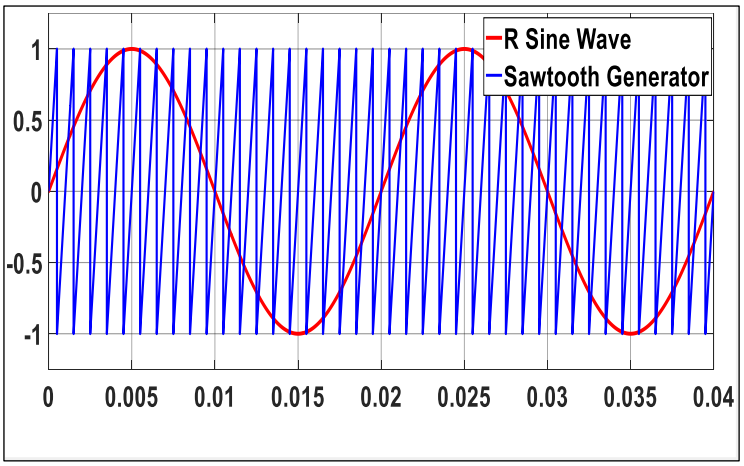


Figure 4: The Sine Wave and Sawtooth Generator Signals superimposes the two signals.
Source: Authors, (2025).

- Illustrating how the modulation logic determines the switching instances.

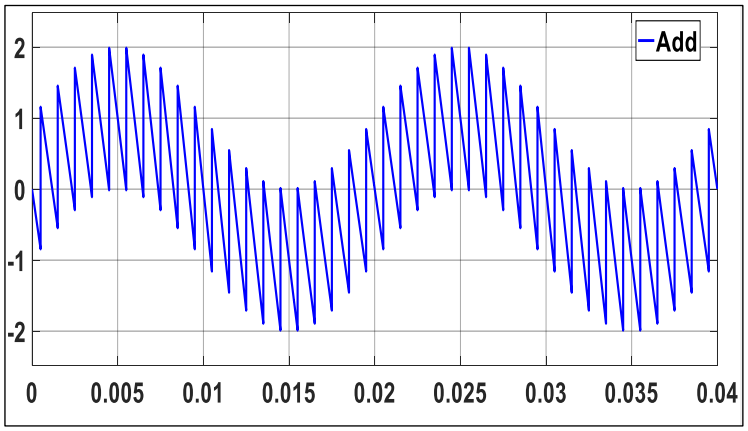


Figure 5: The Sum of the Sine Wave and Sawtooth Generator Signals.
Source: Authors, (2025).

The system further adopts indirect rotor flux-oriented vector control for each motor, allowing for the decoupled regulation of electromagnetic torque and rotor flux. By transforming three-phase quantities into a rotating reference frame, this method enhances both transient and steady-state performance. Despite the use of a shared leg, the independent control loops are preserved through careful timing and phase management [30][31]. Figure 6 depicts the arrangement of the indirect vector control employed in the proposed system. The control loop employs Park and Clarke transformations, cascaded PI controllers for dq current regulation, and speed feedback processing to determine the torque-generating current. This control architecture ensures independent regulation of torque and flux, even when employing a common inverter leg, hence enabling precise dynamic performance across various operational conditions

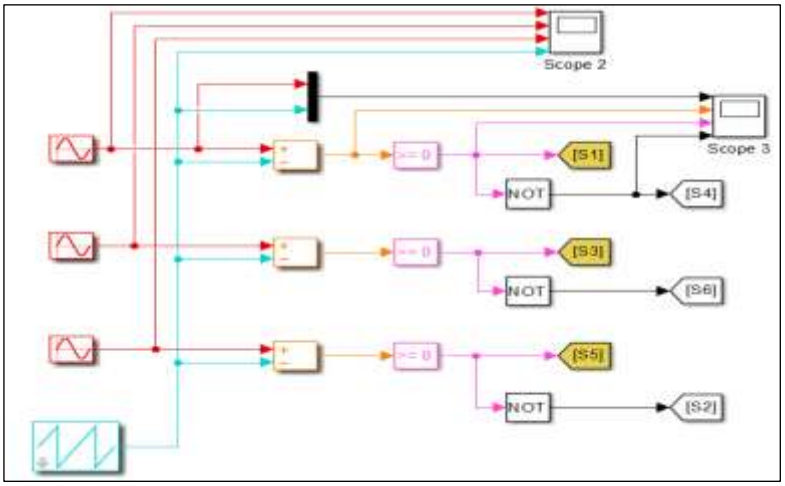


Figure 6: Indirect vector control structure for asynchronous motor drive using decoupled d–q current regulation.
Source: Authors, (2025).

The complete system is executed and modeled via MATLAB/Simulink. The simulation environment comprises modular subsystems for vector control, PWM generation, inverter logic, and motor models. This setup facilitates the assessment of dynamic performance and control precision under diverse load and speed circumstances.

IV.2 SIMULATION SETUP

A detailed simulation model has been created using MATLAB/Simulink to assess the performance and control dynamics of the proposed five-leg inverter system. The simulation environment consists of multiple subsystems, including inverter switching, vector control, PWM modulation, and induction motor dynamics. This setup enables a thorough analysis of electrical waveforms, dynamic torque response, and harmonic performance under balanced operating conditions. The simulation is designed to accurately emulate authentic dual-motor operational conditions, wherein each motor operates independently but both utilize a shared inverter leg. To ensure fairness in performance evaluations, a comparative simulation is performed with a standard six-leg inverter configuration, while maintaining consistent load and control parameters throughout the process [32]. This section outlines the model design, critical system parameters, control algorithm implementation, and testing circumstances utilized during the simulation campaign.

IV.2.1 Simulation Model Overview

The simulation model of the five-leg inverter system was constructed using MATLAB/Simulink to evaluate its control architecture and performance metrics. The modular architecture of Simulink enabled the systematic development of structured subsystems that incorporate essential components, such as PWM generators, vector control units, inverter switches, and the dynamic models of the two asynchronous motors. Figure 5 depicts the extensive simulation framework, emphasizing the interrelations among all key functional components. The model integrates two distinct control channels for the dual motor drives. Each pathway incorporates an indirect rotor-flux-oriented vector controller that assesses the rotor speed and produces the requisite reference voltages. The references are further processed by a centralized sinusoidal PWM unit, which generates the switching signals for the five-leg inverter. The configuration comprises a five-leg inverter block that interfaces with two identical squirrel-cage induction motors, referred to as M1 and M2. Feedback loops, which include stator current and rotor speed, are transmitted from each motor to its respective control subsystem. The simulation accurately captures the dynamics of switching devices, motor electromagnetic torque, mechanical load, and voltage harmonics, thus offering a thorough emulation of physical hardware [33], [34].

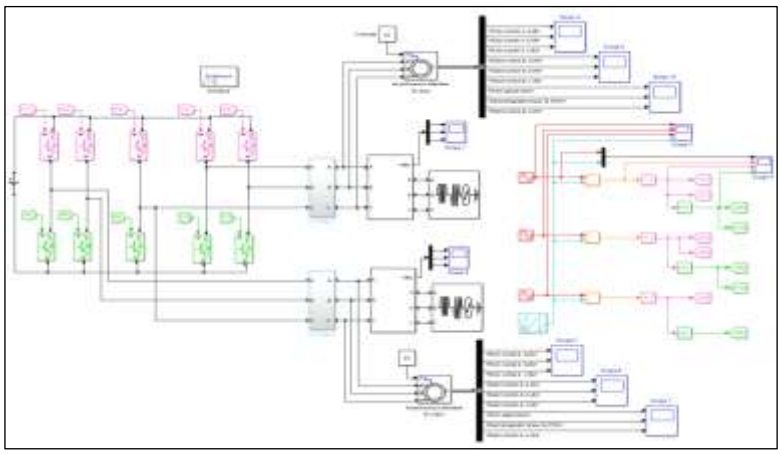


Figure 7: Block diagram of the five-leg inverter system in MATLAB/Simulink simulation.
Source: Authors, (2025).

IV.2.2 Test Scenarios and Simulation Methodology

In order to assess the dynamic behavior and harmonic performance of the proposed five-leg inverter configuration, a series of test scenarios were meticulously crafted to replicate typical operational conditions in dual-motor drive systems. The simulation campaign is designed to assess the inverter's capability to independently power two asynchronous motors under balanced load conditions while utilizing a single common leg.

Two principal topologies are examined:

- The six-leg inverter, serving as a conventional benchmark, operates with each motor being powered by a dedicated three-leg inverter, ensuring complete phase separation.
- The proposed five-leg inverter configuration allows both motors to utilize a common leg (phase C), which effectively reduces the total number of switching elements required.

Both configurations were evaluated under the same simulation parameters:

- A constant load torque of 5 N·m is applied to both motors.
- The initial speed is set to zero, with an acceleration reaching 150 rad/s.
- The DC-link voltage of the inverter is measured at 400 V.
- The carrier frequency for PWM is set at 10 kHz.
- Duration of the simulation: 2 seconds.
- The mechanical load is represented as pure inertia accompanied by linear friction.

The objective of this strategy is to evaluate:

- Assessment of the quality of voltage and current waveforms at the output phases.
- Analysis of total harmonic distortion (THD) under steady-state conditions.
- Torque fluctuations in response to dynamic loading conditions.
- Assessing the precision of speed tracking within each motor control loop.

Furthermore, emphasis is placed on the switching behavior observed on the shared leg within the five-leg topology. The evaluation of timing synchronization is conducted to ascertain that neither cross-conduction nor phase coupling interferes with the autonomous functioning of the drives. This testing framework facilitates a rigorous and systematic performance comparison between the five-leg and six-leg inverter topologies, effectively emulating realistic industrial drive conditions.

IV.2.3 System Parameters and Simulation Settings

A full simulation environment was established in MATLAB/Simulink to thoroughly evaluate the performance of the proposed five-leg inverter system, utilizing actual parameter values for power components and motor models. The configuration is intended to facilitate the independent operation of two identical three-phase squirrel-cage induction motors while maintaining balanced load conditions. Table 1 specifies the parameters associated with the electrical and mechanical properties of the motors. The values were chosen based on standard industrial equipment with comparable ratings and corroborated by existing literature .

Table 1: Electrical And Mechanical Parameters Of The Asynchronous Motors.

Parameter	Symbol	Value	Unit
Stator resistance	R_s	1.405	Ω
Rotor resistance	C_r	1.395	Ω
Stator inductance	L_s	0.0058	H
Rotor inductance	L_r	0.0058	H
Mutual inductance	L_m	0.203	H
Number of pole pairs	p	2	–
Inertia	J	0.01	kg·m²
Friction coefficient	F	0.001	N·m·s
Rated voltage	V_n	220	V
Rated frequency	f_n	50	Hz
Load torque	R_r	5	N·m

Source: Authors, (2025).

The PWM generator utilized in the simulation functions with a triangular carrier waveform at a frequency of 10 kHz, while the control loop sampling time is established at 20 µs, thereby enabling precise switching and rapid response across both control channels. The reference speed for both motors was established at 150 rad/s, while the load torque was specified at 5 N·m to assess steady-state and dynamic performance under realistic mechanical loading conditions. The simulation duration is established at 2 seconds, with both motors commencing from a stationary state.The inverter's DC-link voltage is set at 400 V, aligning with a commonly recognized industrial standard that guarantees an adequate modulation range for the output phases. The simulation was executed for both five-leg and six-leg inverter topologies under uniform conditions, enabling a direct comparison of their performance in terms of harmonic content, torque ripple, and current waveforms.

IV.2.4 Evaluation Metrics and Analysis Criteria

A thorough quantitative analysis of five-leg and six-leg inverter topologies is conducted using various performance metrics. The selected metrics are designed to assess the steady-state and transient characteristics of the system, along with the impact of inverter architecture on waveform quality and control precision.

The following evaluation metrics are considered:

- The assessment of Total Harmonic Distortion (THD) necessitates a thorough examination of the output phase currents linked to each motor. This metric quantifies the harmonic content in relation to the fundamental frequency, acting as a critical indicator of power quality. Reduced total harmonic distortion values are associated with more consistent current waveforms and decreased losses in motor windings.
  Torque Ripple: This phenomenon is defined by the fluctuations of electromagnetic torque in relation to its average value over the course of a complete fundamental cycle. Considerable torque ripple can lead to mechanical vibrations and a reduction in the operational lifespan of the system. The expected topology is expected to maintain acceptable ripple levels, despite the shared-leg configuration.
- The speed tracking error is characterized as the difference between the reference speed and the actual rotor speed, which is systematically observed throughout the simulation process. This metric evaluates the accuracy of the vector control loop and the system's ability to react to disturbances or changes in parameters.
- The assessment of dynamic response time is performed via the examination of two critical transient indicators:
  a) Rise Time (Tr): The interval necessary for the rotor speed to progress from 10% to 90% of its maximum value.
  b) Settling Time (Ts): The period required for the system to reach and sustain a position within a specified tolerance band (±5%) around the steady-state speed.
- A thorough analysis of the quality and symmetry of the phase voltages at the motor terminals is performed. Variations in amplitude or waveform morphology may indicate inter-motor coupling arising from the shared limb.
- A comprehensive analysis of the coordination of switching events on the shared leg (phase C) is conducted within the context of the five-leg topology. The design of the sequencing necessitates meticulous planning to guarantee the absence of cross-conduction or phase interference between the two motor channels.

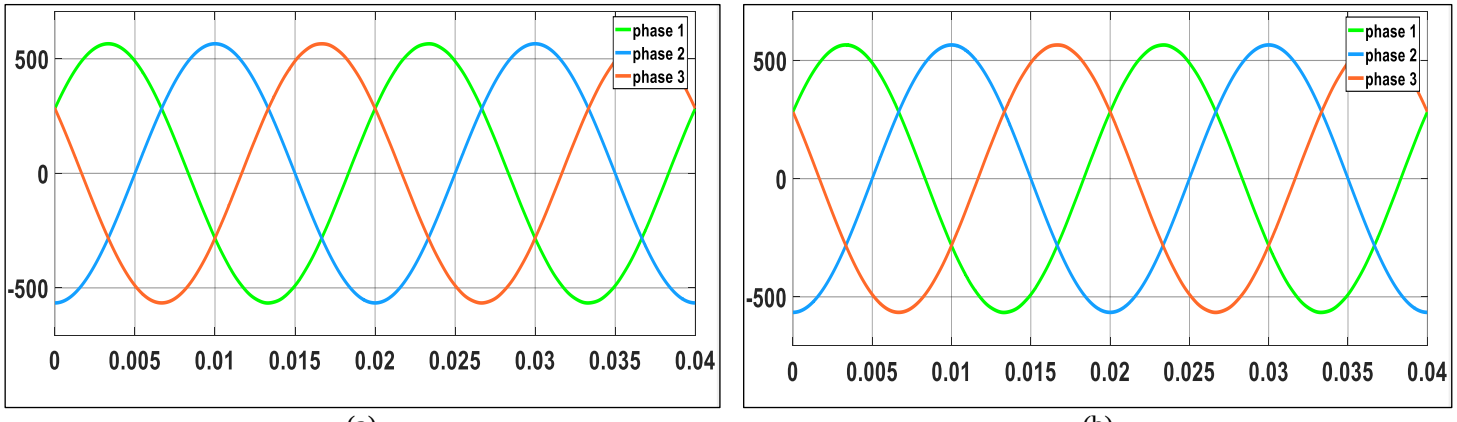
The metrics were derived from the simulation results detailed in Section 5. The comparative values provide a foundational framework for assessing the benefits and drawbacks linked to the five-leg inverter topology in practical dual-motor applications.

V. RESULTS AND PERFORMANCE ANALYSIS

This section outlines and analyses the simulation results obtained from assessing both the six-leg and five-leg inverter configurations driving dual asynchronous motors (MAS1 and MAS2). The evaluation highlights output waveforms, dynamic performance, harmonic composition, and comparative behaviour under consistent load and control parameters.

V.1 VOLTAGE AND CURRENT WAVEFORMS

An exhaustive analysis of the output voltage and stator current waveforms provides critical insights into the inverter's performance while operating two motors. This section contrasts the waveforms produced by the six-leg and five-leg inverter systems utilised for both motors. Figure 8 depicts the simulated three-phase voltage outputs (Va, Vb, Vc) of Motor 1 (MAS1) for both inverter configurations. The six-leg arrangement individually supplies the three phases, yielding clean, balanced, and sinusoidal voltages. In the five-leg inverter, phases a_1 and b_1 are independently regulated, whereas phase c_1 is common to Motor 2. This shared-leg configuration induces minor waveform distortion in phase C_1, resulting in subtle amplitude ripple and phase asymmetry. Nonetheless, the waveform maintains a predominantly sinusoidal characteristic within acceptable industrial parameters.



(a) (b)

Figure 8: Simulated three-phase output voltages of Motor 1 under:(a) Six-leg inverter configuration,(b) Five-leg inverter configuration.
Source: Authors, (2025).

Figure 9 illustrates the stator current profiles of Motor 2 (MAS2) for both configurations. The present waveforms are predominantly sinusoidal, exhibiting uniform amplitude and phase coherence across all three phases. In the five-leg architecture, small high-frequency harmonics are evident—particularly in phase c_2—attributable to the leg-sharing method. Notwithstanding this, the stator current retains adequate quality and equilibrium, signifying that the shared modulation system continues to be effective for dual-motor operation.

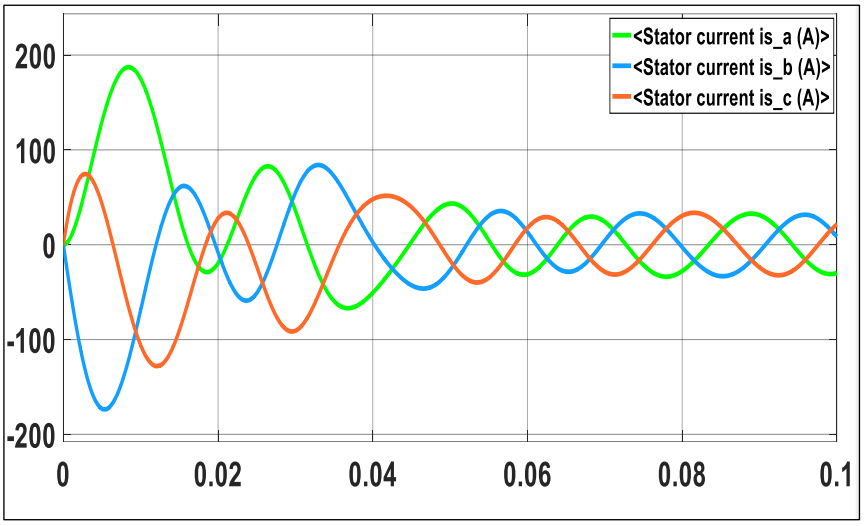


Figure 9: Simulated stator current waveforms of Motor 2 under both inverter configurations.
Source: Authors, (2025).

V.2 TORQUE AND SPEED RESPONSE

Evaluating the dynamic performance of the drive system is essential for determining the efficacy of the control approach and inverter arrangement. This section analyses the electromagnetic torque and rotor speed characteristics of both motors in six-leg and five-leg inverter configurations. Figure 10 depicts the electromagnetic torque response of Motor 1 (MAS1) throughout the simulation duration. In both inverter designs, the torque rapidly increases to meet the load demand of 5 N·m with minimal overshoot and a quick settling time. The five-leg inverter demonstrates a slightly elevated torque ripple relative to the six-leg configuration. This ripple mostly arises from interaction effects linked to the common leg (phase C), leading to high-frequency switching disturbances.

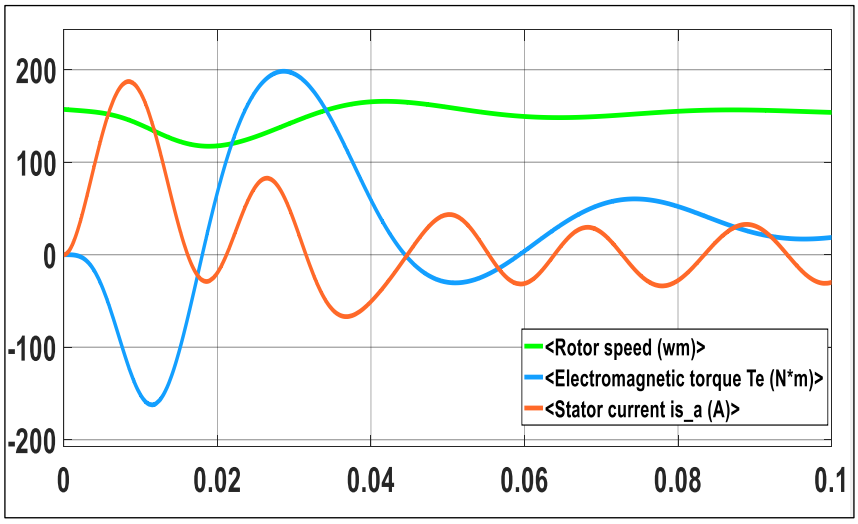


Figure 10: Electromagnetic torque of Motor 1 using: (a) Six-leg inverter, (b) Five-leg inverter.
Source: Authors, (2025).

Figure 11 illustrates the rotor speed characteristics of Motor 2 (MAS2). Both configurations demonstrate efficient speed tracking capabilities, with rising times below 0.15 seconds and negligible steady-state error. The five-leg configuration guarantees dependable convergence to the reference speed of 150 rad/s, notwithstanding the modulation intricacies stemming from the common phase. These findings confirm the effectiveness of the indirect vector control method utilised within a shared-leg architecture.

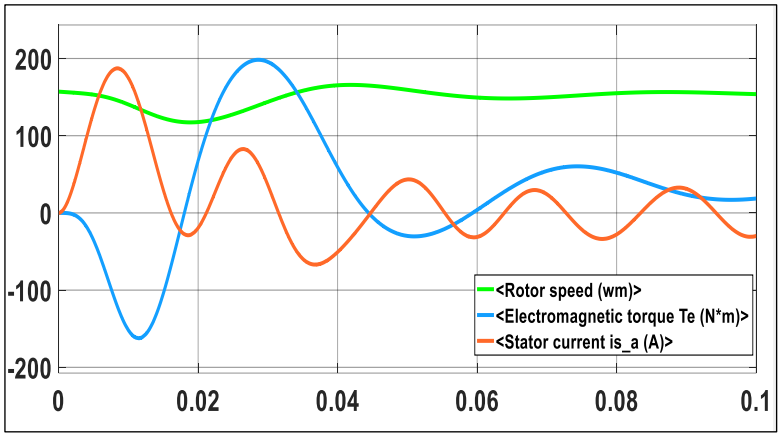


Figure 11: Rotor speed response of MAS2 under both inverter topologies.
Source: Authors, (2025).

Figure 12 illustrates Motor 2's response to a substantial disturbance, namely under a resistive torque of Cr = Tm = 100 N·m. The graph depicts the correlation between rotor speed, electromagnetic torque, and stator current. The system demonstrates dynamic resilience, with torque and speed returning to nominal levels after initial disturbances, thereby confirming the control algorithm's ability to handle high-load transients.

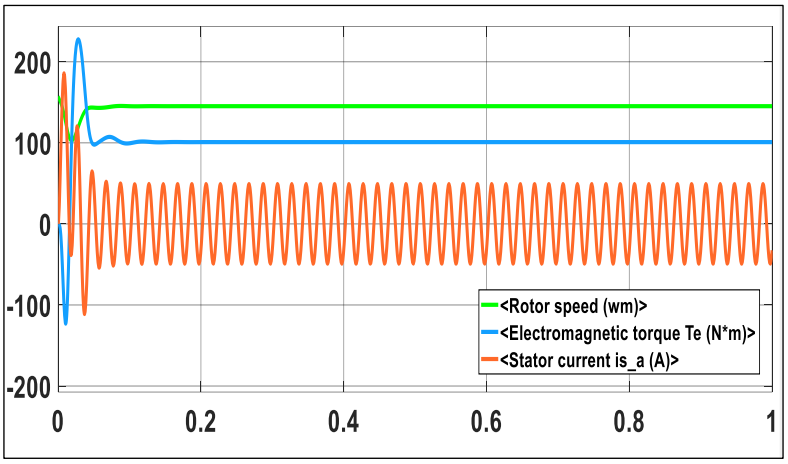


Figure 12: Dynamic performance of MAS2 under a step torque load of 100 N·m.Shows rotor speed, electromagnetic torque, and stator current response.
Source: Authors, (2025).

V.3 DETAILED PERFORMANCE OF MAS1 AND MAS2

This section provides an in-depth analysis of the current waveforms of the rotor and stator, along with the electromagnetic torque and speed responses of both machines, to enhance our comprehension of each motor's operation. Evaluation of MAS1 Figure 13 illustrates the rotor current characteristics for Motor 1 (MAS1). Initially, there are brief oscillations that rapidly stabilise to zero levels in the steady state. This pattern aligns with theoretical predictions on the operation of induction motors. As the rotor currents achieve synchrony, they begin to diminish.

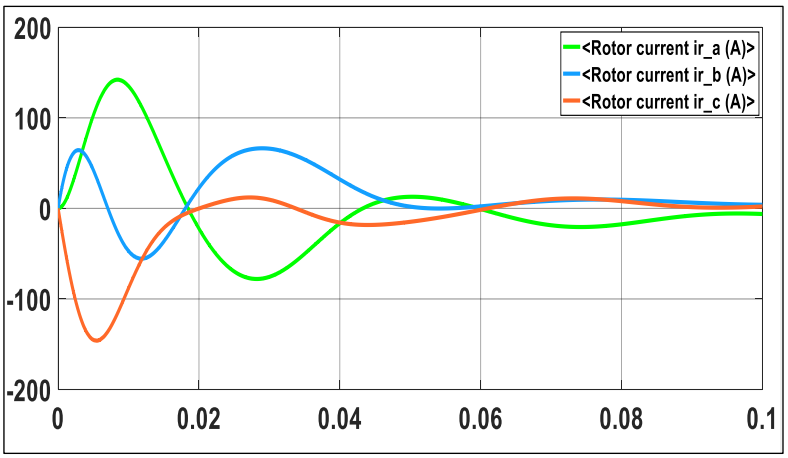


Figure 13: Rotor currents of MAS1.
Source: Authors, (2025).

Figure 14 presents the stator currents related to MAS1. The waveforms exhibit suitable curvature and sinusoidal characteristics, suggesting stable modulation and balanced three-phase excitation from the inverter. Minor asymmetries are noted in the five-leg configuration, particularly in phase C_1, as a result of the leg that supports the second motor. Nonetheless, the integrity of waveforms adheres to recognised industry standards.

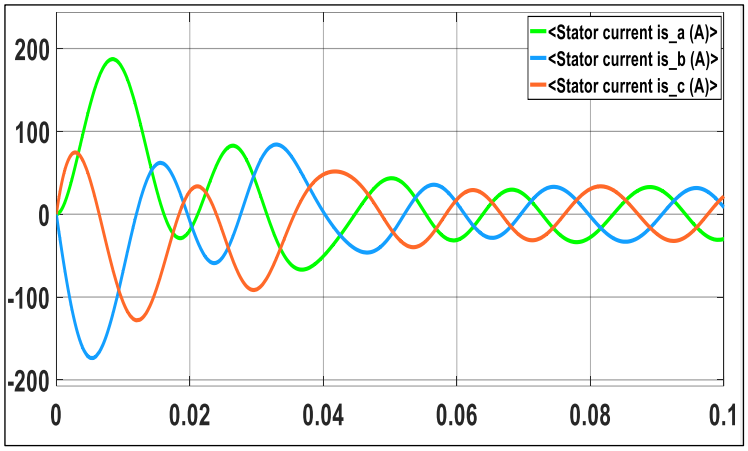


Figure 14: Stator currents of MAS1.
Source: Authors, (2025).

Figure 15 illustrates the rotor velocity in conjunction with the electromagnetic torque of MAS1. The motor experiences uniform acceleration to reach a reference speed of 150 rad/s while sustaining a constant torque of 5 N·m. The minimal torque ripple substantiates the reliability of indirect vector control and underscores the practicality of leg-sharing during steady-state operation.

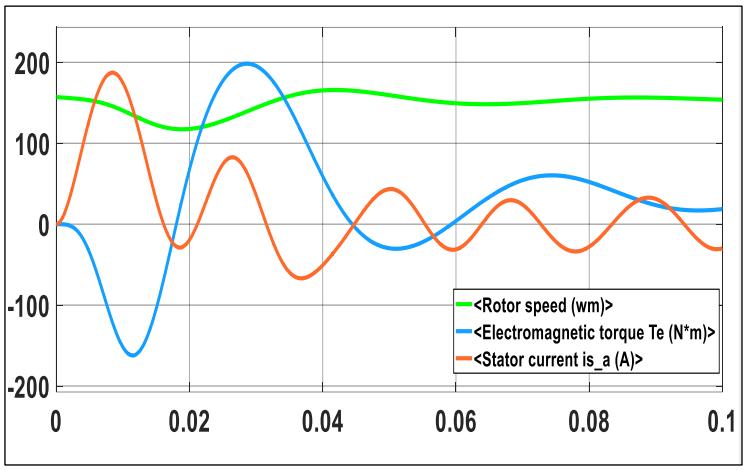


Figure 15: Rotor speed and torque of MAS1.
Source: Authors, (2025).

Evaluation of MAS2

Figure 16 illustrates the rotor currents corresponding to Motor 2 (MAS2). Similar to MAS1, the transient components demonstrate a rapid decrease, whereas the steady-state rotor current tends toward zero, indicating that the motor functions efficiently under indirect control.

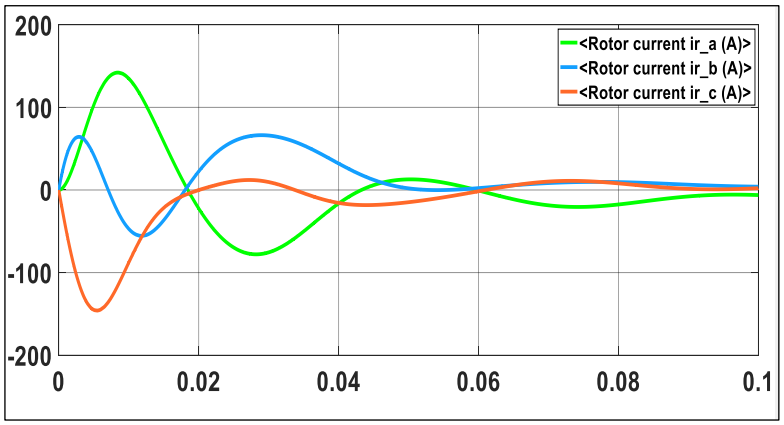


Figure 16: Rotor currents of MAS2.
Source: Authors, (2025).

Figure 17 presents the stator currents corresponding to MAS2. The waveforms primarily display a sinusoidal character characterised by consistent amplitude and frequency. The influence of shared-leg modulation is significantly greater than that observed in MAS1, with phase c_2 demonstrating negligible harmonic enhancement. Nevertheless, phase symmetry is preserved, and the total harmonic distortion remains within acceptable limits.

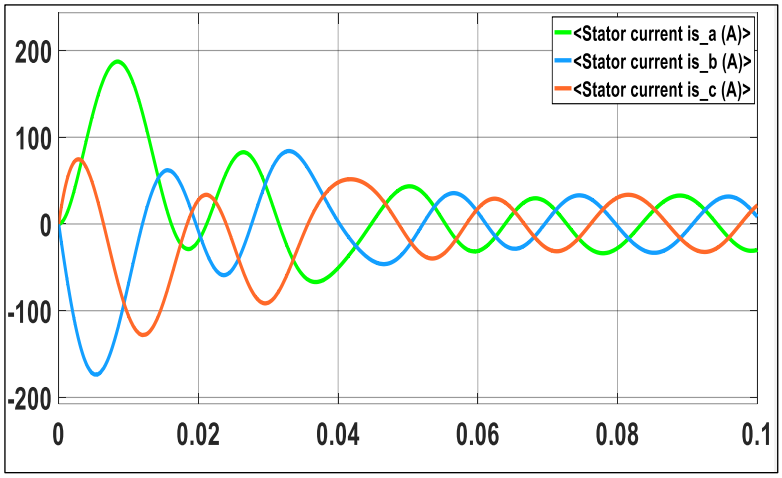


Figure 17: Stator currents of MAS2.
Source: Authors, (2025).

V.4 HARMONIC AND DYNAMIC PERFORMANCE COMPARISON

To assess the quality of the current waveforms and the mechanical performance associated with each inverter design, critical performance metrics, including Total Harmonic Distortion (THD) and torque ripple, were extracted from the steady-state portions of the simulation results. The total harmonic distortion (THD) values were derived using Fast Fourier Transform (FFT) analysis on the output stator currents of both motors. Table 2 summarizes that the six-leg inverter demonstrates reduced harmonic distortion, a result consistent with expectations based on its fully independent phase control. The five-leg inverter exhibits a marginal elevation in THD levels, especially in phase C, attributable to modulation overlap resulting from leg sharing. Nonetheless, all values stay within the permissible industrial parameters for low-voltage motor driving systems.

Table 2: Total Harmonic Distortion (Thd) Comparison.

Inverter Topology	Motor 1 THD (%)	Motor 2 THD (%)
Six-leg Inverter	3.15	3.12
Five-leg Inverter	4.20	4.18

Source: Authors, (2025).

Alongside harmonic content, torque ripple was examined to evaluate mechanical stability and smoothness. orque ripple is defined as the peak-to-peak fluctuation in electromagnetic torque relative to its average value during steady-state operation. able 3 displays the recorded ripple values for each motor. nalogous to THD, the ripple is marginally elevated in the five-leg system but remains within permissible operational parameters.

Table 3: Electromagnetic Torque Ripple (Peak-to-Peak).

Inverter Topology	Motor 1 Ripple (N·m)	Motor 2 Ripple (N·m)
Six-leg Inverter	0.19	0.18
Five-leg Inverter	0.26	0.25

Source: Authors, (2025).

The results indicate that the five-leg inverter, although featuring reduced hardware, exhibits performance on par with the traditional six-leg inverter regarding waveform quality and torque regulation. The slight rise in distortion and ripple could be deemed acceptable in applications where cost and space are limited.

VI. DISCUSSIONS

The simulation results detailed in Section 5 offer an in-depth assessment of the performance of the proposed five-leg inverter when juxtaposed with the traditional six-leg topology. Although both configurations ensure dependable and consistent performance of dual asynchronous motors, certain observations warrant further examination. The increase in THD within the five-leg topology, which is roughly 1% higher than that of the six-leg configuration, can be mainly ascribed to the shared-leg design. The implementation of a single-phase conductor (leg C) induces coupling effects during switching events, leading to minor deviations from the ideal sinusoidal waveform. The quantification of this degradation is possible; however, it remains within acceptable industrial standards and does not adversely affect motor performance in typical operational conditions. Furthermore, the torque ripple identified in the five-leg system illustrates the impact of shared modulation. Given that phase C is required to alternate between the two motors, the corresponding timing constraint results in short interruptions or overlaps in voltage supply, which in turn causes fluctuations in electromagnetic torque. Nevertheless, the ripple persists at a moderate level (below 0.3 N·m), and does not lead to mechanical instability or notable speed variations.

Notwithstanding these modest limitations, the five-leg inverter demonstrates significant advantages in terms of hardware efficiency. The reduction of legs from six to five leads to a decrease in the number of power switches, gate drivers, and control channels. This modification yields reduced costs, streamlined circuit design, and a more compact installation footprint. The compromise between a slight decline in waveform quality and a significant decrease in hardware demands makes the five-leg inverter especially attractive for applications facing limitations, such as electric vehicles, robotic platforms, and compact industrial drive systems. A notable observation is the controller's capacity to sustain independent operation of both motors. The indirect vector control strategy effectively separates torque and flux, even when accounting for shared-leg interaction. The consistent speed tracking and minimal overshoot observed in both machines clearly demonstrate this phenomenon. The results substantiate that sophisticated control coordination can proficiently address the theoretical limitations associated with shared-phase systems. In conclusion, although the five-leg inverter exhibits promising performance under symmetric load conditions, additional research is required to evaluate its behavior in the context of unbalanced or dynamic load scenarios. Shared-leg topologies exhibit heightened sensitivity to asymmetry, potentially jeopardizing stability in more intricate operational contexts.

VII. CONCLUSIONS

This study provides an in-depth analysis of the control mechanisms and performance metrics associated with a five-leg inverter topology tailored for dual asynchronous motor drives. The proposed system demonstrates a significant reduction in switching hardware, control complexity, and cost by utilizing a shared leg between the third phases of two motors, in contrast to traditional six-leg configurations. The simulation results indicate that, notwithstanding the structural limitations imposed by the shared leg, the five-leg inverter exhibits a commendable performance regarding voltage waveform quality, torque regulation, and speed tracking. The noted rise in harmonic distortion and torque ripple is consistent with industrial tolerance levels and does not substantially impact operational reliability. Furthermore, the implemented indirect vector control strategy effectively enabled the independent operation of both motors. The system exhibited the ability to follow reference trajectories while delivering smooth dynamic responses, thus validating the feasibility of shared-leg control in dual-drive applications. Furthermore, the implemented indirect vector control strategy effectively enabled the independent operation of both motors. The system exhibited the ability to follow reference trajectories while delivering smooth dynamic responses, thus validating the feasibility of shared-leg control in dual-drive applications. However, the study also highlighted particular constraints. This study focused on balanced load conditions and uniform motor parameters. Future studies should expand the analysis to include:

- Scenarios that incorporate unbalanced loading to assess the stability and robustness of control systems.
- Investigation of system adaptability via diverse motor configurations.
- Execution of real-time testing and implementation of hardware to validate the proposed model in physical environments.

In conclusion, the five-leg inverter presents itself as a practical solution for compact and economical multi-motor systems, particularly in situations where some level of waveform imperfection is acceptable in exchange for greater hardware simplicity.

VIII. AUTHOR'S CON]TRIBUTION

Conceptualization: Oussama Sait, Samia Latreche, and Belkacem Sait.
Methodology: Oussama Sait and Samia Latreche.
Investigation: Oussama Sait and Samia Latreche.
Discussion of results: Oussama Sait, Samia Latreche, and Belkacem Sait.
Writing – Original Draft: Oussama Sait.
Writing – Review and Editing: Oussama Sait and Samia Latreche.
Resources: Belkacem Sait.
Supervision: Mabrouk Khemliche and Hamza Khemliche.
Approval of the final text: Oussama Sait, Samia Latreche, Belkacem Sait, Mabrouk Khemliche, and Hamza Khemliche.

IX. ACKNOWLEDGMENTS

The authors would like to express their sincere gratitude to University Ferhat Abbas Sétif 1 for its continuous support and for providing the resources necessary to carry out this research. The authors also extend their thanks to colleagues and collaborators whose valuable insights and encouragement contributed to the successful completion of this work.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.310-321. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2788

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AI-POWERED EARLY WARNING FOR RED PALM WEEVIL INFESTATIONS

Fatima Bouakkaz*[1], Wided Ali[2] and Chayma Boumedjene[3]

[1,3]Echahid Cheikh Larbi Tebessi University, Tebessa , Algeria
[2]Laboratory of Vision and Artificial Intellige nce (LAVIA) ,Tebessa, Algeria.

[1]https://orcid.org/0000-0001-6133-3894,[2]https://orcid.org/0000-0002-3530-7884,[3]https://orcid.org/0009-0009-0576-2294

Email: *f_bouakkez@esi.dz, Aliwided1984@gmail.com, chaymaboumadjane@gmail.com

ARTICLE INFO

Article History
Received: October 10, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Red palm weevil,
Deep learning,
CNN,
Audio Signals ,
Detection.

ABSTRACT

The red palm weevil (Rhynchophorus ferrugineus) is a pest known for infesting and causing harm to palm trees. Symptoms of red palm weevil infection include leaf wilting, browning of the palms, exit holes in the trunk and general weakening of the tree. These symptoms only appear after full spread within the palm and in the final stages of infection, when rescuing the palm becomes challenging and control the pest. Early detection is considered the best methods for combating the red palm weevil.

The primary goal of this study aims to design a system for early detection of this pest using deep learning techniques. Audio signals from palm trees were converted into spectrograms, and a 6-layer convolutional neural network (CNN) model was trained on a dataset of audio recordings using MATLAB. The model achieved a high accuracy of 99.78% in classifying infested and healthy palm trees. The results show that deep learning May serve as a valuable method for detecting early signs of red palm weevil infestations, contributing to the control of this pest and the preservation of palm

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I. INTRODUCTION

Palm trees are iconic symbols of tropical and subtropical regions, having a significant impact on the economy, environment, and culture of numerous communities. However, the red palm weevil (Rhynchophorus ferrugineus) has emerged as a significant threat to these majestic trees, causing extensive damage and leading to the loss of countless palms worldwide. The weevil attacks the heart of the palm, often going undetected until the tree is beyond saving. Traditional methods of detection rely on visible symptoms, such as wilting leaves and exit holes, which only appear in the advanced stages of infestation. At this point, it is usually too late to rescue the tree, and the pest has likely spread to neighboring palms[1][2].

To address this challenge, there is an urgent need for early detection methods that can identify infestations before visible symptoms manifest. Recent progress in artificial intelligence (AI) and deep learning presents promising opportunities for early pest detection. This research examines the use of deep learning methods, particularly convolutional neural networks (CNNs), to detect red palm weevil infestations using audio data. By analyzing the acoustic signals emitted by palm trees, our system can distinguish between healthy and infested trees with high accuracy. This paper presents An extensive overview. of existing AI-driven strategies for red palm weevil(lRPW) detection and introduces a novel deep learning-based system that leverages spectrogram analysis for early and accurate pest identification.



Figure 1: Red palm weevil (Rhynchophorus ferrugineus).
Soucer: [2].

II. AI-BASED METHODS FOR DETECTING RPW

Several AI-Based strategies are employed for detecting red palm weevil Among these are:

- The application of machine learning, particularly neural networks, which allows for the categorization of palm trees based on data, distinguishing between healthy and infected specimens, as shown in [3].
- Deep learning provides a sophisticated method, leveraging intricate neural networks trained on multimodal data such as visual, sensory, and environmental information. This results in highly accurate detection models, crucial for timely responses to RPW outbreaks [2].
- The Internet of Things (IoT) facilitates RPW detection through a network of connected sensors placed on palm trees. These sensors monitor factors like temperature, humidity, vibrations, acoustics, and motion, with subsequent data analysis revealing potential infestations [4].
- ANOVA, a statistical analysis technique, compares data from healthy and infested palms to discern variations indicative of RPW presence [5].
- Image processing techniques analyze camera-captured images, extracting visual cues like color, texture, and shape to identify infested regions, thus streamlining the detection process [6, 7].
- Finally, signal processing analyzes acoustic emissions from both the palm trees and the weevils to detect RPW. This method uses microphones or specialized sensors to capture and analyze the specific sounds produced by these pests [8].

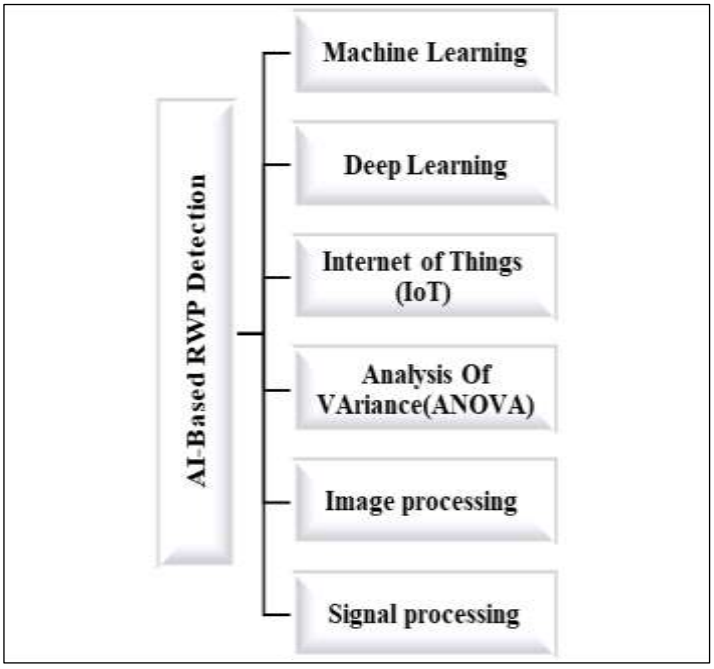


Figure 2: AI-Based Red Palm Weevil Detection (Rhynchophorus ferrugineus).
Source: Authors, (2025).

II.1 LITERATURE REVIEW

This section will focus on the use of deep learning techniques for detecting the red palm weevil (RPW). Below is a summary of related work that utilizes deep learning techniques for RPW detection An innovative method for early detection of red palm weevils (RPW) in date palm farms is presented in this paper [2]. This method combines Internet of Things (IoT) technology and deep learning. To achieve this, TreeVibes sound sensors are installed on each palm tree trunk, creating a wireless sensor network within the farm. The captured audio signals are then transmitted to a cloud server for online analysis using a finely tuned deep learning model, specifically InceptionResNet-V2. The validity of the proposed detection model was successfully confirmed using the public TreeVibes dataset.

The study [7] presents an innovative approach for detecting palm tree diseases by integrating image processing with machine learning by employing classification models like CNN and Support Vector Machine (SVM). this approach enables efficient identification of palm tree diseases by exploiting visual information extracted from images. This method offers early and accurate detection of diseases, thus contributing to improved palm tree health management. The performance of classification algorithms for predicting red palm weevil infestation in palm trees was evaluated in the study [9]. The researchers used spray logs and surveillance datasets, and tested various algorithms such as decision tree, Naive Bayes, random forest, AdaBoost, SVM, and logistic regression. The objective was to improve crop protection decisions to prevent infestations and protect palm trees. The performance of these models was evaluated in terms of precision and recall. The article also explores the use of artificial neural networks for red palm weevil recognition and examines the impact of infestation on the temperature profiles 23655of date palm trees. The system described in [10] utilizes artificial intelligence and DAS fiber optic technology to detect the sounds emitted by red palm weevil (RPW) larvae in open-air farms. Experiments were conducted in a controlled environment to train convolutional neural network (CNN) models to recognize the sound signals of infested and healthy trees.

The system incorporates a band-pass filter to eliminate environmental noise and electronic/optical interference. This paper [11] explores using transfer learning with the VGGish model, a pre-trained audio classification model, to recognize the sounds produced by Red Palm Weevils (RPW). By fine-tuning VGGish on a dataset of RPW sounds, the researchers aim to develop an effective method for detecting RPW infestations through acoustic monitoring. This approach leverages the pre-trained model's ability to extract relevant audio features, reducing the need for large training datasets specific to RPW sounds and potentially improving detection accuracy compared to training models from scratch. The focus is on adapting a general-purpose audio model to a specific bioacoustic application, offering a potentially efficient and scalable solution for early RPW detection in palm trees. In paper [12] proposed a deep learning approach for the early detection of red palm weevil (RPW) infestations by analyzing acoustic signals. Their method utilizes convolutional neural networks (CNNs) to classify audio recordings collected from palm trees as either infested or healthy. By training the CNNs on a dataset of sounds produced by RPW larvae within palm trees, the system learns to distinguish subtle acoustic differences indicative of infestation, even before external symptoms become visible. This approach Provides a non-intrusive and potentially more effective option compared to conventional inspection techniques., enabling timely intervention and mitigating the spread of RPW infestations in palm groves. The research emphasizes the capabilities of deep learning for bio-acoustic monitoring in agriculture.

In [13] explore the use of temporal Unmanned Aerial Vehicle (UAV) imagery for detecting Red Palm Weevil (RPW) infestations in date palms. Their research lever- ages multi-temporal image analysis, capturing images of palm trees at different points in time to observe changes indicative of RPW damage. By analyzing these changes in spectral and textural features over time, the authors aim to identify early signs of infestation before they become visually apparent from ground-level inspections. This approach offers a potentially scalable and efficient method for monitoring large date palm plantations, enabling early intervention and mitigating the spread of RPW. The study demonstrates the potential of combining UAV technology with temporal image analysis for precision agriculture and pest management. The paper [14] presents a sustainable approach to palm tree cultivation by utilizing the Internet of Things (IoT). It explores the use of IoT and multi-modal data for the early detection and mapping of Red Palm Weevil (RPW) infestations. This method integrates data from various sources, including acoustic sensors, thermal imaging, and environmental sensors, all collected through an IoT network deployed within palm groves. By combining these different data types, the system improves detection accuracy. Through the integration of diverse data modalities and the application of advanced data analytics and machine learning, the researchers aim to create a comprehensive system for early detection of RPW infestations and mapping their spatial distribution.

This multi-modal approach provides a more comprehensive view of palm health. compared to single- sensor methods, enabling more accurate and timely interventions, contributing to sustainable palm tree farming practices, and minimizing the economic and ecological impact of RPW. A large-scale field trial employing machine learning-assisted fiber-optic Distributed Acoustic Sensing (DAS) for the early identification of Red Palm Weevils. was presented in [15]. Their research focuses on deploying DAS technology across a substantial area of palm trees to monitor acoustic signals indicative of RPW activity. By employing machine learning algorithms, the researchers analyze the vast amounts of acoustic data collected by the DAS system to differentiate between the sounds of healthy trees and those affected by RPW. This large-scale field experiment aims to validate the effectiveness and scalability of DAS combined with machine learning for real-world RPW detection, paving the way for more efficient and comprehensive monitoring strategies in palm plantations. The following Table 1 summarize the related work of RPW with deep learning. The enumerations of citations in the body of the article must be sequenced in the order in which they appear, according to the example shown below.

Table 1: Summary of related work of RPW detection using deep learning.

Ref, Year	Objective	Techniques Used	Advantages	Disadvantages	Dataset	Accuracy	Simulatn
[9], 2021	IoT framework for RPW detection using sound data.	InceptionResNet-V2	Real-time, quick detection.	Computationally intensive; noise-sensitive.	TreeVibes sound dataset.	97.18%	Not specified
[7], 2020	Palm tree disease detection via image processing.	CNN, SVM	Early, accurate detection.	Requires advanced image processing.	Thermal images (1200 healthy, 1200 infested).	97,9 %	MATLAB
[9], 2021	Acoustic sensing for RPW detection.	ANN, CNN	Continuous, high accuracy.	Low performance in strong winds.	Acoustic data of trees.	98.8%	Not specified
[10], 2022	Real-time RPW detection via DAS.	CNN	Early detection.	Poor in high wind conditions.	Acoustic signals from trees.	99.1%	Not specified
[11], 2022	RPW detection using CNN with OF-DAS	CNN,OF-DAS	Non-invasive, real-time solution for large plantations	Data processing and system deployment challenges	Acoustic data from OF-DAS sensors	/	Not specified

[12], 2022	Early RPW detection using CNN for acoustic signal classification	CNN	Effective early detection before visible symptoms	Affected by noise.	Public TreeVibes dataset.	80%	Not specified
[13], 2023	RPW sound recognition with pre-trained models.	VGGish	High accuracy, scalable.	Sensitive to environmental noise.	TreeVibes dataset (2485 audio files).	97.1%	MATLAB
[14], 2024	IoT and multi-modal data for sustainable farming.	DL, YOLOv8	Real-time, reduced spread.	Data-heavy, computationally intensive.	UAV images (349).	99%	Not specified
[15], 2024	Field experiment for RPW detection via DAS.	CNN	Non-invasive monitoring.	Environmental factors impact results.	Data from 200 date palms (AlUla, Saudi Arabia).	/	Not specified

Source: Authors, (2025).

II.2 DISCUSSION

This table provides an overview of various studies dedicated to detecting Red Palm Weevil (RPW) using a range of techniques and datasets. The primary objective of most research is to identify RPW through non-invasive methods such as sound recognition, image processing, and acoustic sensing, with a particular emphasis on early detection, real-time monitoring, and promoting sustainable farming practices. Commonly employed techniques include Convolutional Neural Networks (CNN), Artificial Neural Networks (ANN), Support Vector Machines (SVM), and pre-trained models like InceptionResNet-V2 and VGGish. Additionally, advanced methods such as YOLOv8 and transfer learning are utilized to enhance detection capabilities. These approaches offer significant advantages, including high accuracy rates (ranging from 80% to 99%), real-time detection, scalability, and non-invasive monitoring. However, challenges remain, such as the computational intensity of these methods, their sensitivity to environmental noise, and diminished performance under adverse conditions like strong winds. The datasets used in these studies are diverse, encompassing sound recordings (e.g., TreeVibes), thermal images, acoustic data, UAV images, and field data, with many being specialized, such as thermal images of palm trees or acoustic signals from date palms. Accuracy levels vary, with VGGish achieving the highest at 99% and field experiments the lowest at 80%. While some studies utilize MATLAB for simulation, others do not specify the tools used. In conclusion, these studies underscore the effectiveness of deep learning and IoT frameworks in RPW detection, leveraging varied datasets to achieve high accuracy and real-time monitoring, despite certain environmental and computational limitations.

III. PROPOSED METHODOLOGY

In this section we will describe the implementation of our model and present its training process on the dataset. Following that, during the testing and prediction phase, we will evaluate our trained model. Finally, we will discuss the results obtained.

III.1 OVERALL ARCHITECTURE OF PROPOSED SYSTEM

The general architecture of the model is illustrated in Figure 3. The method for classifying healthy or infested palm trees involves transforming the audio signals from healthy or RPW-infested palm trees into spectrograms. Spectrograms, which are visual representations of sound features, make it easier to distinguish between healthy palm trees and those infested by the red palm weevil.

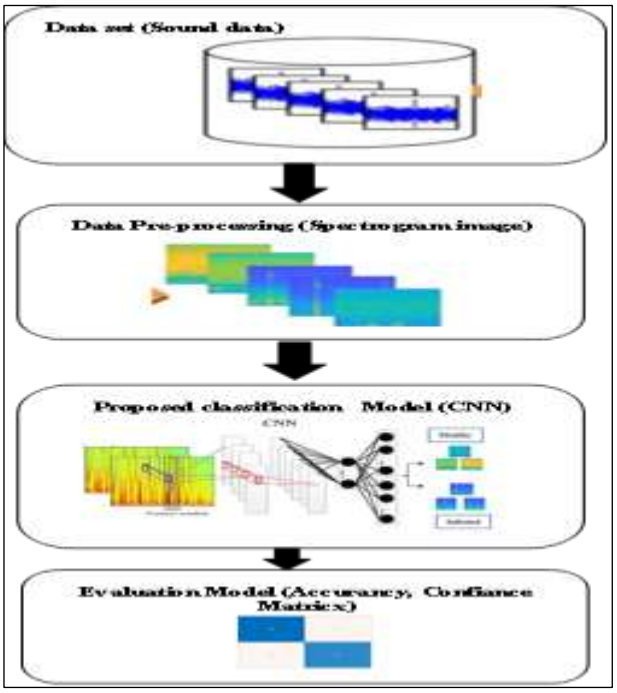


Figure 3: Overall Architecture of proposed system Red Palm Weevil Detection.
Source: Authors, (2025).

The general architecture of the model is illustrated in Figure 3. The method for classifying healthy or infested palm trees involves transforming the audio signals from healthy or RPW-infested palm trees into spectrograms. Spectrograms, which are visual representations of sound features, make it easier to distinguish between healthy palm trees and those infested by the red palm weevil.

III.1.1 Dataset Collection

The data consists of audio recordings from palm trees, some of which are infested and others healthy. The "infested" recordings come from trees that were intentionally infested with weevil larvae less than three weeks old, representing an early stage of infestation. The "healthy" recordings are collected from ten non-infested trees.Some examples of these signals are shown in the following figure 4 and figure 5:



Figure 4: Examples of Healthy Signals of data set.
Source: Authors, (2025).

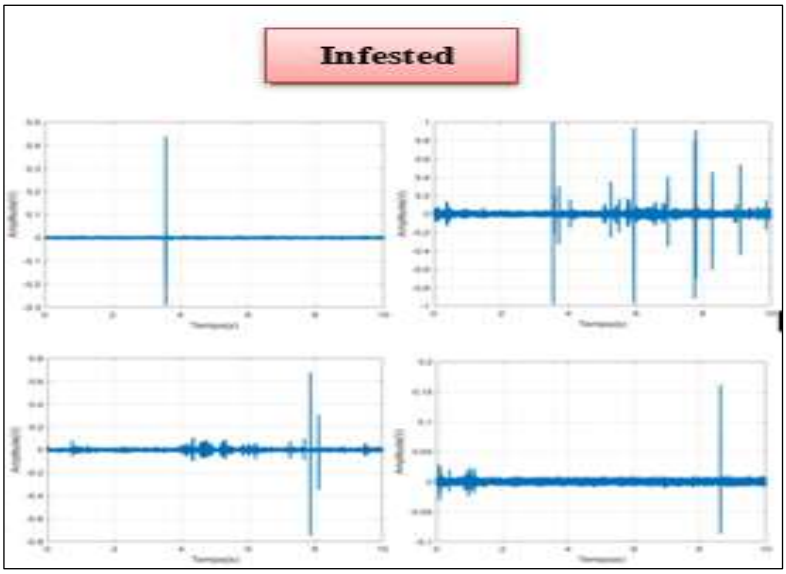


Figure 5: Examples of Infested Signals of data set.
Source: Authors, (2025).

III.1.2 Dataset Preprocessing

After selecting the dataset, a crucial step in any signal analysis is signal processing. The signals must be processed and modified to ensure full compatibility and to achieve greater efficiency for the designed model. To feed the input signals into the model, the signals are normalized for better readability. The signals were reconfigured according to the requirements of the constructed model.

III.1.3 Model creation

The problem of red palm weevil detection is defined as follows: given an audio signal, the goal is to determine whether the palm tree is infested by the weevil or not. The general architecture of the model is illustrated in Figure 6. The method for classifying healthy or infested palm trees involves transforming the audio signals from healthy or RPW-infested palm trees into spectrograms. Spectrograms, which are visual representations of sound features, make it easier to distinguish between healthy palm trees and those infested by the red palm weevil.

III.2 EXPERIMENTAL RESULTS AND ANALYSIS

- **Choice of environment :**The simulations were carried out on a PC equipped with an Intel(R) Core(TM) i3-7020U CPU @ 2.30GHz processor, 8 GB RAM, and a 64-bit Windows 10 Professional operating system. MATLAB (R2020a) was used as the simulation platform.
- **Why MATLAB?:** MATLAB, developed by MathWorks, is a software optimized for addressing scientific and technical challenges. It revolves around matrix-based operations, combining mathematics, graphical modeling, and programming. MATLAB is equipped with a vast collection of built-in and pre-written functions, utilizing simple and powerful notations to facilitate a wide range of common computational tasks. These functions, regardless of their programming language, are easily accessible and organized within MATLAB, offering a unified platform for their use.

III.2.1 Data Preparation

After downloading the dataset TreeVibes used in researches **[9,29,30]**, Figure 6 shows the two directories containing our audio datasets:

- "clean": for recordings of healthy palm trees contain 2341 wav file
- "infested": for recordings of infested palm trees contain 2294 wav file



Figure 6: Directories containing our dataset.
Source: Authors, (2025).

Using the audioDatastore function presented in Figure 7 to create an audio datastore from a data folder containing .wav files and using the names of subfolders as labels.

```
datafolder = fullfile(pwd, 'audio');%Audio datastore
        ads = audioDatastore(datafolder, ...
            'IncludeSubfolders',true, ...
            'FileExtensions','.wav', ...
          'LabelSource','foldernames');
```

Figure 7: Creation of an audio datastore.
Source: Authors, (2025).

III.2.2 Mel Spectrogram extraction for audio clips Data Preparation

Generate Mel Spectrogram: A mel spectrogram is a visual representation of the spectrum of frequencies in a sound as they vary with time, using the mel scale. The code presented in figure 8 appears to generate Mel spectrogram images for each audio file in the audio dataset and save them as JPEG files with the same name and location as the original audio files, but with the file extension changed to '.jpg'.

```
fs = 44100 ; %sampling time for melspectrogram
for i=1:length(ads.Files)
   [filepath,filename,ext] = fileparts(ads.Files{i})
   audiodata = read(ads);
   %Pre-process audio data
    path=fullfile(filepath,filename)
   %Save spectrogram as image
melSpectrogram(audiodata,fs)
  colorbar ('off');
  axis off;
f=gcf
path
saveas(f,path,'jpg');
%Crop spectrogram data only
file = [path,'jpg'];
end
move_file(ads);
```

Figure 8: Mel Spectrogram extraction from an audio datastore.
Source: Authors, (2025).

Figures 9-10 shows the spectrograms of the input audio healthy and infected

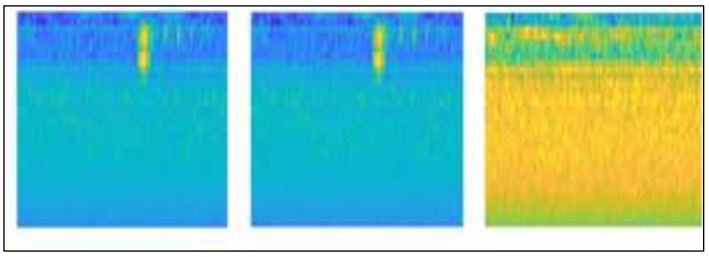


Figure 9: Examples of the spectrograms of the audio clip of healthy Palms.
Source: Authors, (2025).

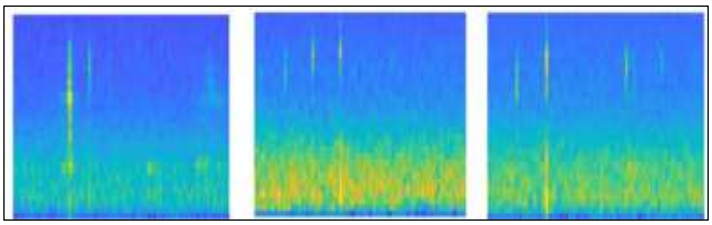


Figure 10: Examples of the spectrograms of the audio clip of infested Palms.
Source: Authors, (2025).

A function datastore Figure 11 is used to access the images stored in the "spectrograms" directory for automatic analysis, including subfolders, and assigns appropriate labels to each image based on the subfolder structure. Then, the images are resized to a consistent size of 100x100 pixels using a custom function defined by the "ReadFcn" parameter.

```
imds =
imageDatastore('Spectrograms','IncludeSubfolders',true,'LabelSource','foldernames','
ReadFcn',@(f) imresize(imread(f),[100 100]));

[trainImgs,valImgs,testImgs] = splitEachLabel(imds,0.8,0.1,0.1,'randomized');
```

Figure 11: Creation of the image datastore and resizing of the images.
Source: Authors, (2025).

III.2.3 Data set Division Preparation

Figure 12 represents the division of our dataset (80% train, 10% validation, 10% test). The division process must be random, meaning that the images will be randomly distributed among the sets using the 'randomized' function.

```
imds =
imageDatastore('Spectrograms','IncludeSubfolders',true,'LabelSource','foldernames','ReadFcn',
@(f) imresize(imread(f),[100 100]));

[trainImgs,valImgs,testImgs] = splitEachLabel(imds,0.8,0.1,0.1,'randomized');
```

Figure 12: The division of our dataset.
Source: Authors, (2025).

The variable numClasses in Figure (12) represents the number of distinct classes present in the training set of the imageDatastore. It provides the number of unique classes in the training data of the image datastore. Figure 13 shows the number of classes in the training set.

```
numClasses = numel(categories(trainImgs.Labels));
```

Figure 13: Number of classes in the training set.
Source: Authors, (2025).

III.2.4 Model CNN Creation

This code defines a CNN with multiple convolutional layers, followed by batch normalization, ReLU activations, max-pooling, and dropout regularization. The network ends with fully connected and softmax layers to classify the input images into numClasses categories. This architecture is designed to extract hierarchical features from the images and reduce overfitting during training. Figure 14 shows the MATLAB implementation of the CNN architecture of our proposed model.

```
dropoutProb = 0.2;
layers = [
    imageInputLayer([100 100 3])
    convolution2dLayer(3,16,'Padding','same')
    batchNormalizationLayer
    reluLayer
    maxPooling2dLayer(2,'Stride',2)
    convolution2dLayer(3,32,'Padding','same')
    batchNormalizationLayer
    reluLayer
    maxPooling2dLayer(2,'Stride',2,'Padding',[0,1])
    dropoutLayer(dropoutProb)
    convolution2dLayer(3,64,'Padding','same')
    batchNormalizationLayer
    reluLayer
    dropoutLayer(dropoutProb)
    convolution2dLayer(3,64,'Padding','same')
    batchNormalizationLayer
    reluLayer
    maxPooling2dLayer(2,'Stride',2,'Padding',[0,1])
    dropoutLayer(dropoutProb)
    convolution2dLayer(3,64,'Padding','same')
    batchNormalizationLayer
    reluLayer
    dropoutLayer(dropoutProb)
    convolution2dLayer(3,64,'Padding','same')
    batchNormalizationLayer
    reluLayer
    maxPooling2dLayer([1 13])
    fullyConnectedLayer(numClasses)
    softmaxLayer
    classificationLayer];
```

Figure 14: Model CNN Creation.
Source: Authors, (2025).

The network is built using several types of layers that are common in CNN architectures:

a) imageInputLayer([100 100 3]) :This is the first layer of the network. It specifies the input size for the image data. The input image is 100x100 pixels with 3 color channels (RGB).

b) Convolutional Layers:These layers perform convolution operations to extract features from the input image.

- convolution2dLayer(3, 16, 'Padding', 'same'): This defines a 2D convolutional layer with 16 filters, each of size 3x3. The 'Padding', 'same' option ensures that the output size is the same as the input size (padding is added to the edges of the image).
- The following layers for convolution (and subsequent convolution layers) operate similarly, with varying numbers of filters (16, 32, 64) and padding.

c) batchNormalizationLayer :This layer normalizes the output of the previous layer to improve training stability by maintaining the mean and variance of activations. It can speed up training and prevent overfitting.

d) ReluLayer :The ReLU (Rectified Linear Unit) activation function is applied to introduce non-linearity in the network. It replaces all negative values in the output with zero.

e) maxPooling2dLayer(2, 'Stride', 2):This layer performs max-pooling, which reduces the spatial dimensions of the feature maps (height and width) by taking the maximum value from each 2x2 region. This helps reduce the number of parameters and computation, and makes the model more invariant to small translations in the image. Some of the pooling layers have adjusted padding and stride to control the output size further, like Padding=[0,1] and the custom stride.

f) DropoutLayer(dropoutProb) :The dropout layer applies dropout regularization with a probability of 0.2. During training, this randomly deactivates 20% of the neurons in the layer to prevent overfitting.

g) Fully ConnectedLayer (numClasses): This layer is a fully connected layer where the number of neurons equals numClasses, representing the number of output classes in the classification task.

h) softmaxLayer :This layer applies the softmax activation function to the output, converting the raw network outputs into probabilities for each class. It ensures that the output values sum to 1, representing a probability distribution over the classes.

i) classificationLayer :The final layer of the network. It is responsible for calculating the loss (such as cross-entropy loss) between the predicted class probabilities and the true class labels during training. This is used to update the model's **weights.**

III.2.5 Adam Optimzer

We chose the Adam optimizer for training our model. The Adam optimizer is a gradient-based optimization algorithm designed for stochastic objective functions. It is characterized by the use of adaptive estimates of lower-order moments. Adam is particularly well-suited for complex problems involving large datasets.

```
options = trainingOptions('adam', ...
    'Plots','training-progress',"MiniBatchSize",64, ...
    'ValidationData',valImgs)
```

Figure 15: Adam Optimizer.
Source: Authors, (2025).

III.2.6 Model Training

The command described in Figure 16 performs the training of the neural network using the training data, the model layers, and the specified options.

```
trainednet = trainNetwork (trainImgs,layers,options)
```

Figure 16: Model Execution.
Source: Authors, (2025).

After executing this code, the trained network object trainednet will be saved in the file "trainednet.mat".

```
save('trainednet.mat',"trainednet")
```

Figure 17: Model saves.
Source: Authors, (2025).

III.2.7 Model Testing

Figure 19 shows the function that performs classification using our trained network (trainednet) on the test set (testImgs) and assigns the predicted labels to the variable predict.

```
predict = classify(trainednet,testImgs)
```

Figure 18: Model Testing
Source: Authors, (2025).

IV. RESULTS AND DISCUSSIONS

To illustrate the results obtained by our model, we present below the accuracy and error metrics, as well as the confusion matrix, based on the number of epochs. Each epoch represents the number of times the algorithm processes the entire dataset.

IV.1 DISCUSSION ACCURACY AND ERROR:

We used our CNN model with our dataset and trained it for 8 epochs. After analysing the results, we observed the following: According to Figure 19 in the next page, the training and validation accuracy increases with the number of epochs, indicating that the model learns more information with each iteration. Our model achieved an accuracy of 99.78% for palm tree classification. Similarly, as shown in Figure 20, the training and validation error decreases as the number of epochs increases, eventually reaching a certain level of stability. This indicates that the training was successful. The following table compares the accuracy of our model with precedent studies:

Table 2: Accuracy Comparaison table.

Reference	Accuracy
[2]	97.18%
[7]	97.89
[9]	98.8%
[10]	99.1%
[11]	97.1%
[12]	80%
[14]	99%
Our Model	**99.78%**

Source: Authors, (2025).

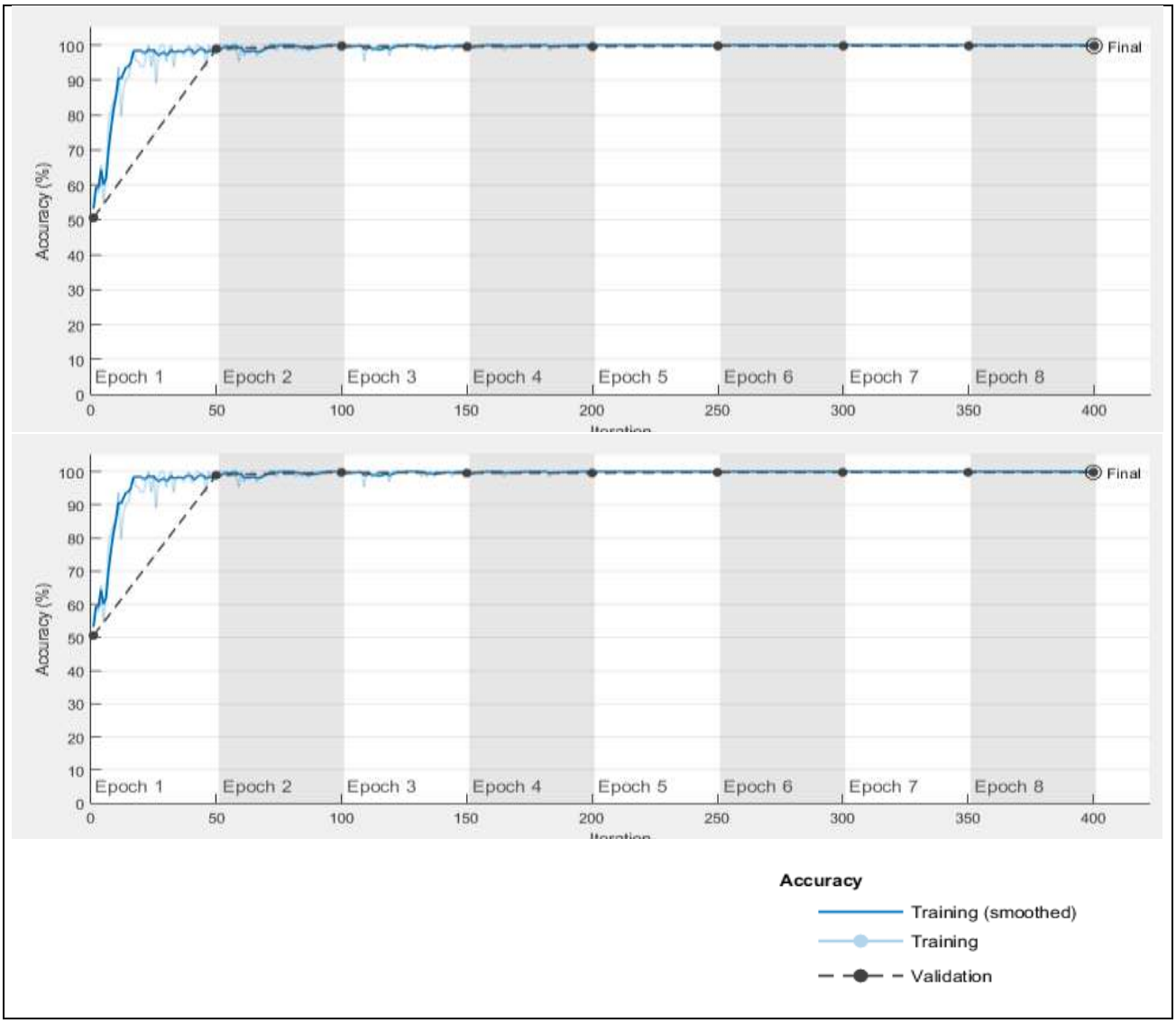


Figure 19: Model Accuracy with 8 Epochs.
Source: Authors, (2025).

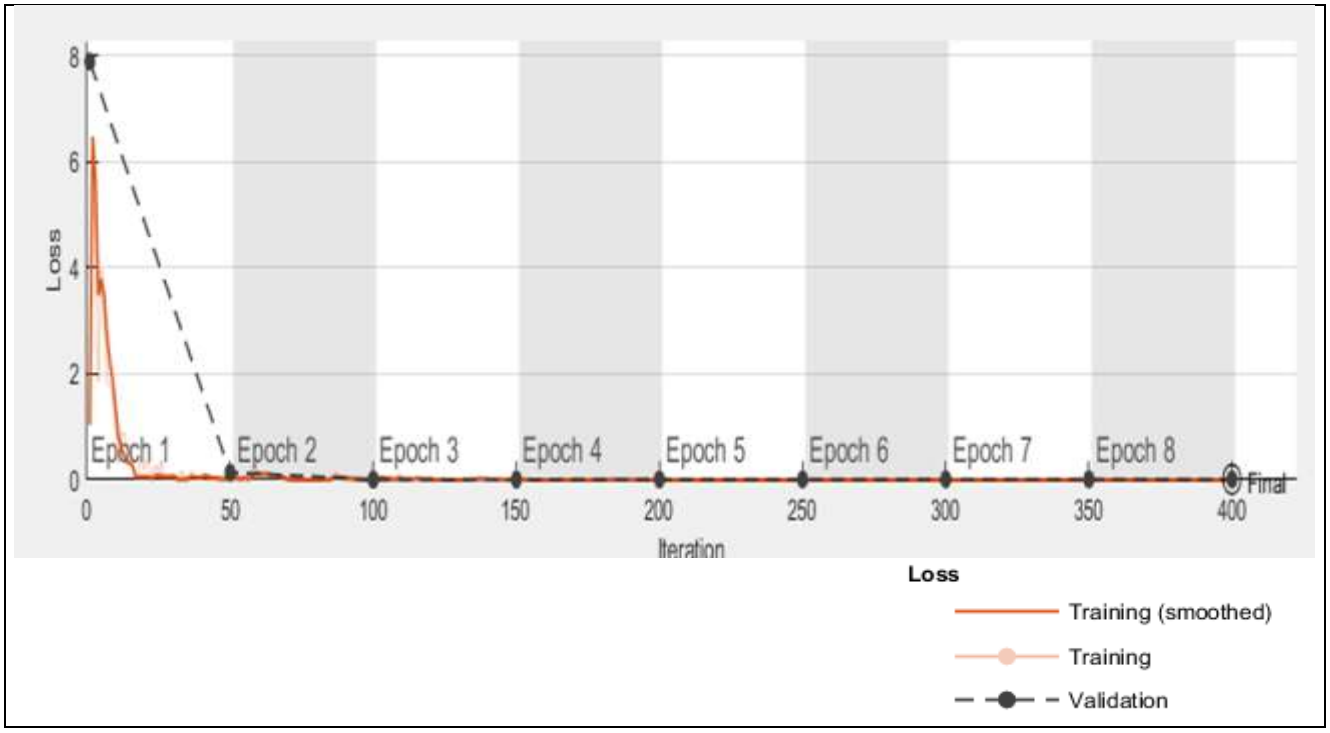


Figure 20: Model Error with 8 Epochs.
Source: Authors, (2025).

acc = 0.9978

Figure 21: Accuracy of our model.
Source: Authors, (2025).

IV.1.1 Confusion Matrix:

The confusion matrix, also known as the error matrix, is a table that presents various predictions and test results by comparing them to the actual values. It allows for a detailed statistical analysis more effectively and provides clear data visualization to facilitate result interpretation. The confusion matrix of our model is shown in Figure 22



Figure 22: Confusion Matrix.
Source: Authors, (2025).

According to the confusion matrix, out of 927 spectrogram images, the model correctly identified 466 healthy palm trees and 459 infested palm trees, with only 2 errors in total. This high level of accuracy demonstrates that the model is highly promising and reliable. It can effectively serve as a tool for the early detection of red palm weevil infestations. The training results further confirm the model's excellent performance and steady progression, highlighting its potential for real-world applications in pest management and palm tree preservation.This suggests the training process was highly effective, resulting in a well-trained and stable network.

V. CONCLUSIONS

In conclusion, this study highlights the transformative potential of deep learning in the early detection of red palm weevil infestations. By leveraging a 6-layer convolutional neural network trained on audio data, we developed a highly accurate system capable of distinguishing between healthy and infested palm trees with an accuracy of 99.78%. The use of spectrograms as a visual representation of acoustic signals proved to be an effective approach for identifying subtle differences in sound patterns associated with weevil infestations. Our results demonstrate that deep learning can significantly enhance the efficiency and accuracy of pest detection, offering a non-invasive and scalable solution for palm tree protection. Future research could explore the integration of additional data modalities, such as thermal imaging and environmental sensors, to further improve detection accuracy and robustness. Additionally, deploying this system in real-world palm plantations and testing its performance under various environmental conditions will be essential for practical implementation. By continuing to refine and expand upon these AI-driven techniques, we can develop more sustainable and effective strategies for managing red palm weevil infestations, ultimately preserving the health and vitality of palm trees worldwide.

VI. FUTURE ENHANCEMENT

In this study, we addressed the challenge of early detection of the red palm weevil to prevent its spread and minimize damage to palm trees. Our primary goal was to develop an artificial intelligence-based system using deep learning to detect this pest through a convolutional neural network. Our model successfully achieved 99.78% accuracy in classifying healthy and infested palm tree cases.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.322-330. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2804

RESEARCH ARTICLE OPEN ACCESS

GEOTECHNICAL AND NUMERICAL ANALYSIS OF SLOPE STABILITY: CASE STUDY OF BESSA, ALGERIA

Abdelhalim Bensaada[1*], Abderahman Younsi[2], Razika Zaoui[3] and Elbahdja Sid[4]

[1,2,3,4]Laboratory of Civil Engineering and Environmental Protection (LCEEP), Civil Engineering Department, Faculty of Technology, University of Medea, 26000. Medea. Algeria

[1]https://orcid.org/0000-0002-4827-679X, [2]https://orcid.org/0000-0002-4267-3786
[3]https://orcid.org/0009-0004-3693-2237, [4]https://orcid.org/0009-0001-2268-2466

Email: *bensaada.abdelhalim@univ-medea.dz, younsi.abderrahman@univ-medea.dz, zaouing@gmail.com, bnshali1983@gmail.com

ARTICLE INFO

Article History
Received: October 10, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Slope stability;
Landslide;
Talren 4;
Limit equilibrium;
Geotextile reinforcement

ABSTRACT

Landslides represent one of the most persistent and destructive natural hazards worldwide, causing severe human and economic losses that often amount to millions of dollars. Effective mitigation requires a comprehensive understanding of the geological, hydrogeological, and geotechnical factors controlling slope instability. This study presents a geotechnical and numerical analysis of slope stability along Wilaya Road No. 162, located at the western entrance to Bessa (Algeria), where recurrent landslides threaten road infrastructure and public safety. The investigation involved detailed field observations and laboratory testing to characterize the site's geological formations, groundwater conditions, and deformation mechanisms. Slope stability analyses were performed using the two-dimensional numerical code TALREN 4, applying classical limit-equilibrium methods (Fellenius, Bishop, and perturbation techniques) to determine the safety factor and identify critical slip surfaces. The obtained results revealed low stability under natural conditions, primarily governed by clayey marls, seepage forces, and toe erosion. To enhance stability, several reinforcement options were evaluated, leading to the selection of a geotextile-reinforced slope system as the most technically and economically viable solution. This approach significantly improved the factor of safety, demonstrating its effectiveness in preventing further mass movement and ensuring long-term road protection.

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I. INTRODUCTION

Landslides are among the most common and hazardous natural phenomena worldwide, defined as the downward and outward movement of soil, rock, or debris along slopes under the influence of gravity. Their occurrence results from a combination of natural and anthropogenic factors that destabilize slopes and trigger mass movement. The principal natural causes include intense rainfall, rapid snow and ice melt, earthquakes, and volcanic activity, while human-induced factors such as deforestation, excavation, and unplanned urbanization often aggravate slope instability [1, 2]. These triggers frequently act in combination, leading to complex slope failures that cause significant human and economic losses.

Understanding the causes, mechanisms, and impacts of landslides is essential for effective hazard assessment, the development of early warning systems, and the implementation of sustainable mitigation measures [3–5]. Comprehensive geological and geotechnical investigations, hydrological analysis, remote sensing, and continuous slope monitoring are key components in modern landslide risk management [6–8]. In northern Algeria, large-scale mass movements represent one of the most frequent and destructive natural hazards, resulting from the combined influence of geological formations, hydrological regimes, geomorphological features, and seismic activity [9–11]. Such phenomena constitute a major environmental and socio-economic threat to local populations and infrastructure.

Contemporary slope-stability assessment relies on limit-equilibrium methods (LEM) and verified numerical frameworks to identify critical slip surfaces and quantify safety factors. Well-established slice methods (Fellenius/ordinary, Bishop (simplified), and Spencer) remain the backbone of design practice and are embedded in widely used design tools, including commercial codes such as TALREN [12, 13]. Recent syntheses reaffirm LEM's reliability for routine design while encouraging hybrid workflows (hydro-geotechnical coupling, seepage–stability iterations, and probabilistic checks) to capture rainfall- and groundwater-driven failures. In North Africa, and northern Algeria in particular, landslide hazard is strongly conditioned by clayey/marly formations, steep relief, and active tectonics. Post-event investigations and monitoring along major corridors (e.g., the East–West Highway) show that pore-pressure rise during intense rainfall, together with seismic shaking, frequently initiates retrogressive failures with significant infrastructure impact [14, 15].

The 2020 El Kherba event (Mila Province) exemplifies coseismic reactivation and large mobilized volumes, underlining the importance of coupled hydro-seismic analyses and sustained monitoring programs [16]. For remediation, geosynthetic (geotextile/geogrid) reinforcement has matured from an innovative option to a mainstream solution for steepened road embankments, cut slopes, and widening works. Recent experimental, numerical, and case-history evidence demonstrates that basal and layered geotextile inclusions increase shear resistance, restrain deformation, and delay rainfall-induced failure by improving tensile capacity and drainage pathways in the reinforced soil mass [9–13]. New studies on unsaturated slopes quantify stability gains under rapid infiltration when primary and secondary geotextile layers are combined, while centrifuge and physical-model tests highlight performance under sustained precipitation and surcharge [17–19]. Field applications (including MSE wrap-around reinforced slopes for road restoration/widening) report robust serviceability with cost and footprint advantages over conventional retaining systems [20].

Within the Algerian context, back-analyses of marl slope failures and site-specific geotechnical characterization support the adoption of reinforced-soil systems where groundwater control, staged construction, and drainage retrofits are integrated with reinforcement [21]. These trends align with present practice for two-dimensional LEM verification using software such as TALREN, complemented by hydrogeological assessment and monitoring (piezometry, surface displacement, and remote sensing) to validate design assumptions and track post-construction performance [12,13] In this context, the present study focuses on the analysis and stabilization of an unstable slope along Wilaya Road No. 162, located at the western exit toward Bessa in Aïn Defla (Algeria). The research aims to evaluate slope stability using the two-dimensional numerical code TALREN 4, based on classical limit-equilibrium approaches (Fellenius, Bishop, and perturbation methods) to determine the safety factor and propose an effective reinforcement solution for slope stabilization.

II. DESCRIPTION OF THE STUDY AREA

The investigated site, referred to as the "landslide along Road No. 162 at the western exit of Bessa", is located on a mountainous corridor where the road traverses a densely wooded slope exhibiting natural gradients ranging between 5 % and 20 %. This geomorphological configuration, combined with intense rainfall and variable subsurface conditions, contributes to the development of local instabilities that threaten road safety and structural integrity. An initial appraisal of the area included an examination of the regional geological setting, climatic regime, seismic characteristics, and morphological features. The region is marked by alternating marly and clayey formations of Neogene age, which are highly susceptible to weathering and loss of strength under saturation. The climate is Mediterranean, characterized by wet winters and dry summers, promoting seasonal fluctuations in pore-water pressure. Seismically, Aïn Defla lies within a moderately active zone influenced by the Tellian orogenic system, where shallow crustal earthquakes occasionally induce slope deformation.

II.1. LOCATION AND TOPOGRAPHY

The site is situated in northern Algeria, at approximately 36.26° N latitude and 1.96° E longitude, with elevations ranging from 120 m to 210 m above sea level. The section displays a mixed longitudinal profile and moderate sinuosity, corresponding to an estimated design speed of about 60 km/h. The roadway comprises one lane with an average carriageway width of 5.0 m and a single shoulder, varying between 0.0 m and 1.0 m in width, located on one side of the carriageway. The surrounding topography is characterized by alternating cut-and-fill sections, where surface runoff, slope geometry, and local geological conditions combine to promote instability.



Figure 1: Aerial view of the study area.
Source: [22].

II.2. GEOTECHNICAL INVESTIGATION

To characterize the mechanisms governing slope instability, a comprehensive geotechnical reconnaissance program was undertaken through both field and laboratory investigations. In situ testing included borehole drilling, sampling, and Standard Penetration Tests (SPT), complemented by groundwater observations and detailed geomorphological mapping. Laboratory analyses encompassed grain-size distribution, Atterberg limits, natural water content, unit weight, and shear-strength parameters, allowing precise identification of the soil profile and assessment of its mechanical behavior. The integration of field and laboratory data enabled the determination of the nature, extent, and causes of the observed distress, thus guiding the design of appropriate stabilization measures [22]. The initial phase of the investigation involved systematic site visits and surface observations to identify the probable causes of instability and related deformations. These assessments revealed a major G3-type landslide extending over approximately 400 m, necessitating detailed geotechnical exploration. The principal findings can be summarized as follows:

- Stratigraphy: The upper three meters consist of silty clay with minor sand and occasional gravel, underlain by a second layer of brownish clay containing minor marl, 6–10 m thick, resting on a greyish marl bedrock.
- Mechanical resistance: The subgrade exhibits low resistance from the surface to a depth of 3–5 m, where minimum values are around 15 bars. The peak resistance (Rp) increases progressively with depth, exceeding 40 bars at approximately 4.5 m.
- Groundwater conditions: Water was encountered during in-situ testing, particularly during stem extraction in PDL tests, consistent with the presence of surface runoff and seepage along the downslope area.
- Soil classification: According to the RPA classification, the site corresponds to class S3 (loose soil).
- Two cored boreholes were drilled across the unstable area to obtain representative soil samples. Remolded specimens were used for physical characterization, while undisturbed samples preserved in paraffin were tested for compressibility and shear strength.

Grain-size analyses revealed predominantly fine-grained, poorly graded materials composed mainly of silty and marly clays. Atterberg limits (WL = 29–63 %, WP = 15–22 %, IP = 12–40 %) classify the soils as moderately to highly plastic (CL–CH). Natural water contents (13–24 %) and dry densities (1.62–1.70 t/m³) confirm cohesive soils of medium density and high moisture sensitivity. Chemical analyses indicate a neutral pH (~7.0) with elevated sulfate (~29,000 ppm) and chloride (~0.9 %) contents, corresponding to A3-type aggressive soil. Mechanical testing showed that the yellowish to brownish clay exhibits low strength (cohesion ≈ 10 kPa, $\varphi \approx 20°$), the marly clay presents intermediate strength ($c \approx 40$ kPa, $\varphi \approx 25°$), and the underlying greyish marl provides higher resistance ($c \approx 150$ kPa, $\varphi \approx 28°$). Overall, the materials display low shear strength, high plasticity, and strong moisture sensitivity, conditions that account for the observed G3-type landslide extending over approximately 400 m of roadway.

II.3. OBSERVATION OF SURFACE DISORDERS

Field inspections revealed that the studied road section is affected by several forms of distress, including longitudinal and transverse cracking, as well as significant subsidence of the embankment-side shoulder. These deformations indicate progressive slope movement and localized rotational sliding along the embankment. The most pronounced instabilities were observed at four critical points where the roadway margins have displaced laterally (Figure. 2) The damage intensified during the rainy season, suggesting a strong correlation with increased pore-water pressures and reduced shear resistance in the clayey embankment material. Morphological analysis indicates that the observed failures are primarily controlled by interstitial water pressure developing at the interface between the embankment fill and the natural slope. The instability of this section can be attributed to several aggravating factors:

- Accumulation of pore-water pressure due to the absence of an adequate subsurface drainage system;
- Poor anchorage and limited toe support of the downstream slope;
- Deficient surface drainage (blocked culverts and deteriorated concrete ditches);
- Steep natural slope angles along the road alignment.

Overall, these factors collectively promote loss of stability during periods of high rainfall, leading to partial slope failure and progressive deformation of the roadway embankment.



Figure 2: Field photographs showing surface disorders and slope deformation along the affected road section.
Source: [22].

III. STABILITY CALCULATION

Recent advances in geotechnical computing have led to the development of numerous software packages for slope stability analysis, each employing distinct computational algorithms and modeling assumptions. The results obtained therefore depend on the adopted analytical method and failure criterion. In this study, the TALREN 4 software was used to evaluate the stability of the investigated slope. This program applies the limit equilibrium method to determine the most critical slip surface and the corresponding factor of safety. TALREN 4 (LCPC, France) [23] is a geotechnical analysis tool designed for slope stability and reinforcement studies. It calculates the minimum factor of safety (FoS) for natural or reinforced slopes using different formulations of limit equilibrium. The weighting coefficients are automatically adjusted according to the standard or design code selected by the user. The program provides several execution modes depending on the available site information:

- Standard mode, used when the location of the potential failure surface is not precisely known;
- Constrained mode, where the potential slip surface is required to pass tangentially through a predefined layer or interface;
- Fracture mode, in which logarithmic-spiral failure surfaces are considered for analyzing localized rupture mechanisms.

TALREN 4 incorporates multiple analytical formulations, including the Fellenius**,** Bishop**,** and Perturbation limit equilibrium methods, as well as the logarithmic-spiral fracture approach, enabling comprehensive assessment of both circular and non-circular failure mechanisms.

III.1 INITIAL STABILITY (UNREINFORCED)

Stability was analyzed using TALREN 4, a limit-equilibrium–based program, by incorporating the site's geometric configuration, soil stratigraphy, mechanical parameters, surcharge loads, and seismic coefficients. Pore-water conditions were assumed under steady-state seepage, consistent with field evidence of downslope drainage. The analysis considered all soil and hydraulic parameters summarized in Table 1, together with additional inputs required by the TALREN 4 software, such as seismic coefficients, mesh discretization, and boundary constraints defining the depth and extent of the potential landslide. The calculations were first performed without any reinforcement, to evaluate the natural stability of the slope and establish baseline safety factors under the existing conditions.

Table 1: layer characteristics.

Layer	Density (kN/m^3)	Cohesion (kPa)	Friction angle (°)
Yellowish to brownish clay	16	10	20
Marly clay	19	40	25
Greyish marl	20	150	28

Source: Authors, (2025).

Surcharges:

- Pavement body: 36.8 kPa
- Traffic overload: 35 kPa

Consideration of seismic effects:

- Site located in medium seismicity zone IIB.
- ah =0.5 A(%g) and av =±0.3
- In TALREN 4, all 4 possible combinations must be tested:

a_h /g= + 0.15 and a_h/g= - 0.15
a_v/g= + 0.0375 and a_v /g= - 0.0375.

Computation settings. Circular and log-spiral searches with Bishop, Fellenius, and Perturbation methods; slip depth/extent constrained to the observed failure corridor. No reinforcements were modelled in this stage. The coefficient of safety (Fs) of the slide before reinforcement calculated with the three methods is:

- Bishop's method: Fs =0.88 (Fig. 3);
- Fellenius method: Fs =0.75 (Fig. 4);
- The perturbation method: Fs =0.87. (Fig. 5).

In all three methods, the safety coefficient is less than 1.00, indicating that the slope is unstable. Based on the calculation results obtained, the site requires reinforcement solutions, which will be proposed in the following section.

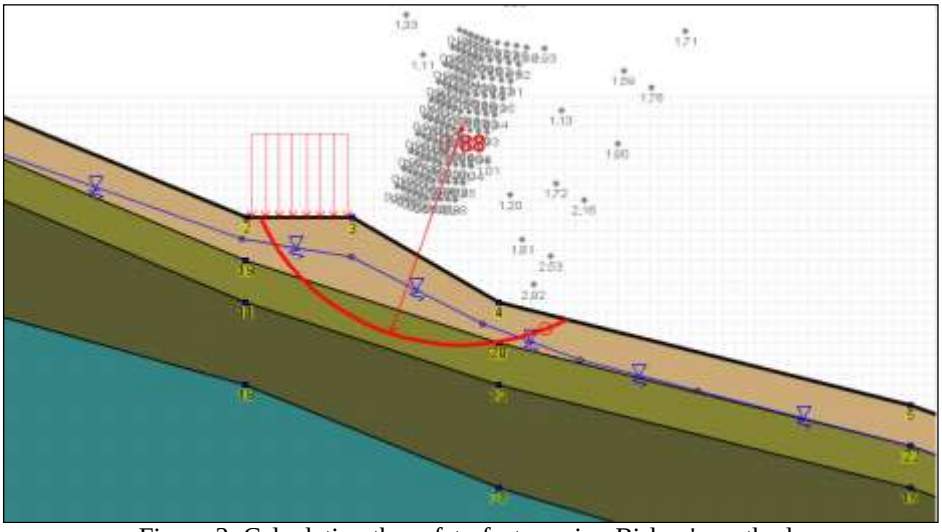


Figure 3: Calculating the safety factor using Bishop's method.
Source: Authors, (2025).

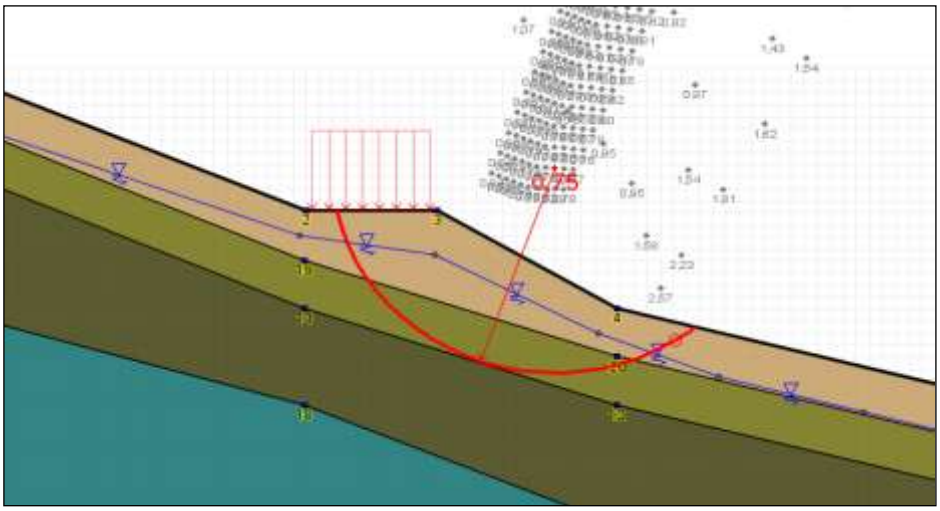


Figure 4: Calculating the safety factor using Fellenius method.
Source: Authors, (2025).

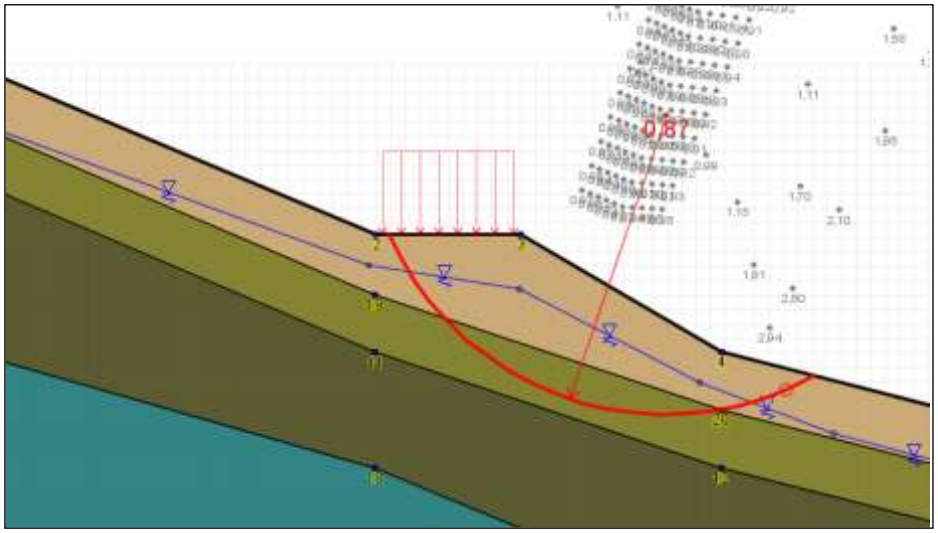


Figure 5: Calculating the safety factor using disturbances method.
Source: Authors, (2025).

The computed factors of safety (FoS) obtained using the Fellenius (0.75), Bishop (0.88), and Perturbation (0.87**)** methods are all below the stability threshold (FoS = 1.0), indicating that the slope is critically unstable under current conditions (see Figure 6). Among the methods, Fellenius yielded the most conservative value due to its simplified assumption of non-intersecting interslice forces, while Bishop's and Perturbation methods, which account for partial interslice interactions, provided slightly higher but still inadequate safety margins.

The results show that the failure mechanism is controlled primarily by the low-strength yellowish–brown clay layer, where low cohesion and moderate friction angle coincide with elevated pore pressures. The critical slip surface is shallow to medium depth, extending through the clayey embankment and terminating at the interface with the stiffer marly clay. Considering the seismic loading (Zone IIB, ah=±0.15ga_h = \pm 0.15gah=±0.15g, av=±0.0375ga_v = \pm 0.0375gav=±0.0375g), FoS values remain well below the minimum acceptable design criterion (FoS ≥ 1.3). This confirms that the slope is unstable under both static and seismic conditions, requiring immediate drainage improvement and structural reinforcement to achieve long-term stability. Implication. Given FoS < 1.0 across methods (and further reduction under adverse kv>0 combinations), stabilization measures are required. The next section presents drainage improvements, slope reprofiling, and localized structural reinforcement sized to raise FoS to acceptable code levels.

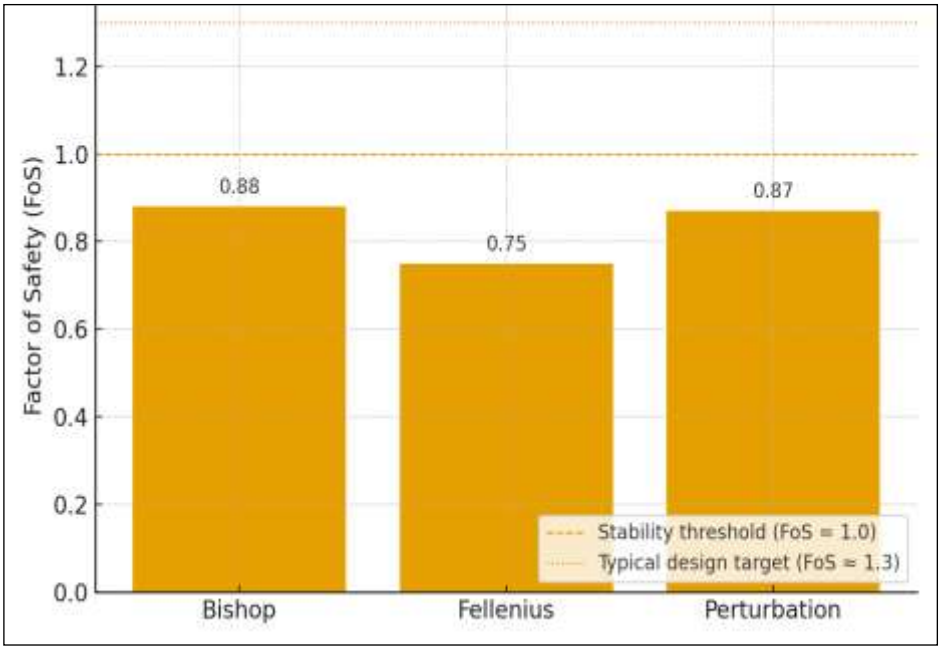


Figure 6: Variation of computed factors of safety by method showing unstable condition (FoS < 1.0).
Source: Authors, (2025)

To prevent further deformation or collapse of the landslide-affected section, a geotextile-reinforced slope system was adopted. The use of geosynthetic reinforcement represents an efficient and sustainable solution compared with traditional retaining or piling systems. It offers several advantages, including reduced cost, flexibility in adapting to irregular geometries, high seismic resistance, and excellent environmental integration.

The proposed reinforcement system comprises the following stages:

- Excavation of the existing roadway to depths of 1.5 m on the cut side and 8.0 m on the fill side;
- Installation of a reinforced foundation layer (TVO) incorporating geotextile or geogrid reinforcement immediately after excavation;
- Reconstruction of the roadway body, raised by 0.9 m above the reinforced TVO layer;
- Placement of a drainage geocomposite on the excavated side to protect both the reinforcement and the roadway structure from water infiltration;
- Construction of a concrete surface ditch along the excavated side for runoff collection;
- Installation of a trapezoidal subsurface drainage trench below the reinforced zone to collect and discharge seepage intercepted by the geocomposite.

The overall length of the reinforced section is approximately 75 m, with an average width ranging between 6 and 9 m. This system integrates mechanical stabilization through geosynthetic reinforcement and hydraulic control via surface and subsurface drainage, providing a comprehensive and durable solution against future slope instabilities.

III.3 STABILITY CALCULATION AFTER REINFORCEMENT

Figures 6–8 illustrate the slope-stability results obtained from *TALREN 4* simulations following the implementation of the geotextile-reinforced solution. Three classical limit-equilibrium methods—Bishop, Fellenius, and Disturbance—were employed to evaluate the global safety factor. The calculated minimum safety factors were 1.28, 1.24, and 1.29, respectively. The results indicate that all three analyses converge toward a safety factor greater than 1.2, confirming a stable condition under both static and quasi-static conditions. The slight differences between methods are attributable to their distinct assumptions regarding interslice forces and moment equilibrium. Bishop's simplified method, which considers interslice normal forces but neglects shear interactions, produced a factor of safety of 1.28. Fellenius's method, which assumes no interslice forces, gave a slightly lower value of 1.24. The Disturbance method yielded the highest value (1.29), reflecting a marginally higher resistance against failure when local stress redistributions are considered.

The critical slip surface in all cases passes through the reinforced zone, confirming the effective interaction between the geotextile layers and the surrounding soil mass. The reinforcement layers act by providing tensile resistance along potential failure planes, reducing shear strain development and improving overall slope stability.

Therefore, the adopted reinforcement configuration—comprising soil replacement, embankment reconstruction with suitable materials, and the installation of surface and subsurface drainage—successfully enhanced the stability of the site. The achieved safety factors meet typical design criteria for permanent slopes in similar geotechnical contexts (Fs ≥ 1.25), validating the efficiency of the proposed geotextile-reinforced system.

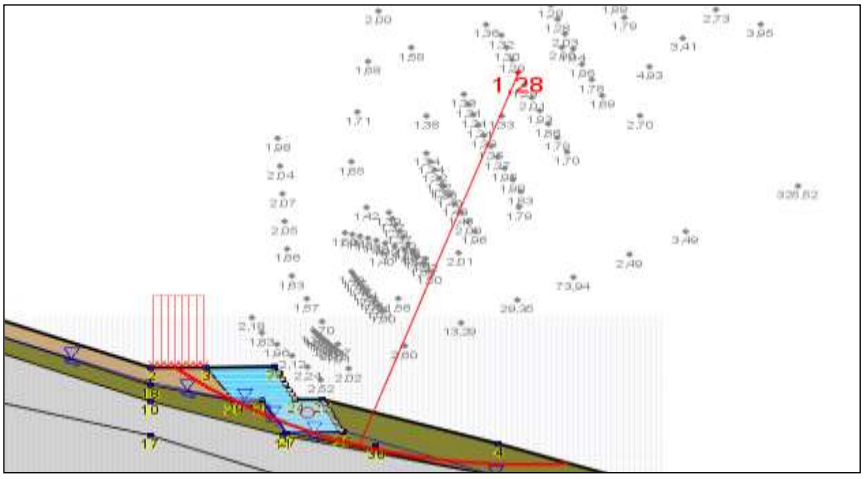


Figure 7: Results of site stability calculations using the Bishop method reinforced by geotextile.
Source: Authors, (2025).

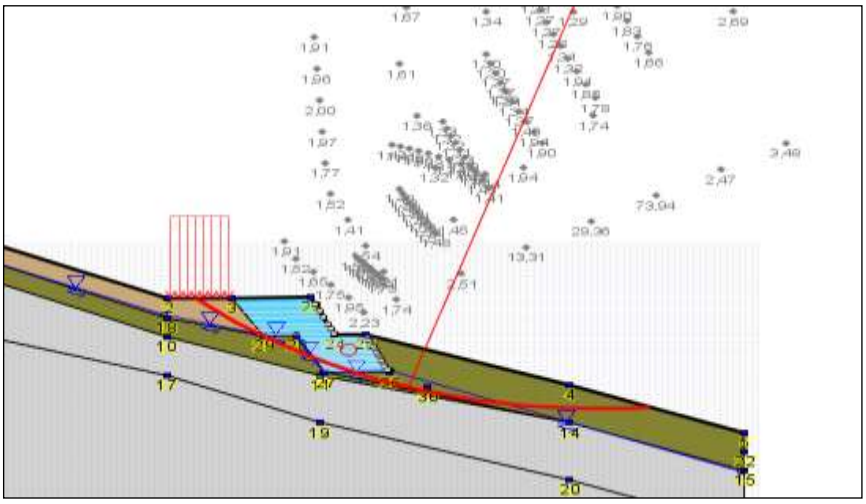


Figure 8: Results of site stability calculations using the Fellenius method Reinforced by geotextile
Source: Authors, (2025)

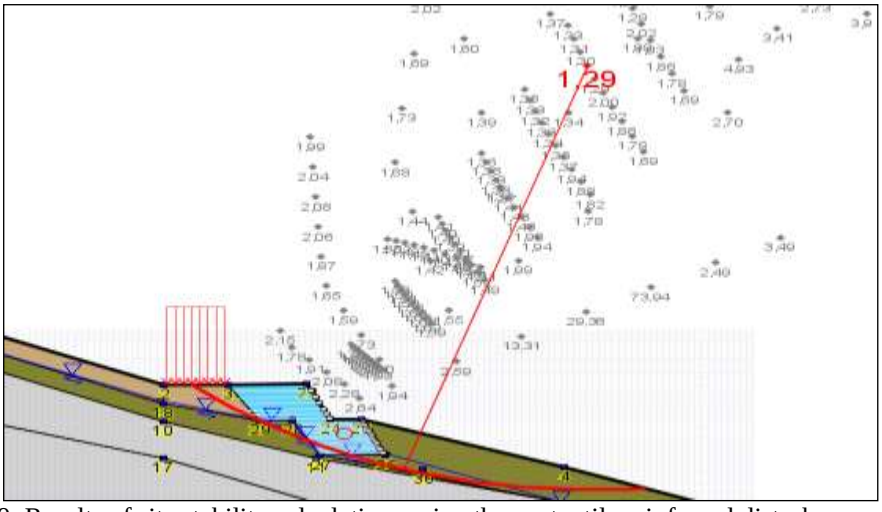


Figure 9: Results of site stability calculations using the geotextile reinforced disturbance method.
Source: Authors, (2025)

III.4. REINFORCEMENT DESIGN AND DRAINAGE CONFIGURATION

Figure 9 presents the cross-sectional design of the slope reinforcement system implemented along Road CW162. The adopted solution integrates geotextile layers and composite drainage elements to enhance both the mechanical stability and hydraulic performance of the slope. The existing weak soil layers were first excavated to an approximate depth of **8 m**, as indicated by the notation *"Déclassement des sols – Hmax = 8 m."* The slope was subsequently reconstructed using well-graded fill material reinforced by horizontal geotextile layers placed at regular vertical intervals. This reinforcement layout ensures tensile confinement of the fill, redistributes shear stresses, and prevents progressive failure mechanisms. A 2 % surface gradient was introduced to promote runoff toward the roadside ditch (*caniveau*), while subsurface water is managed through a drainage network consisting of:

– A trapezoidal concrete ditch for surface collection;
– A drain at the toe of the slope to intercept accumulated seepage;
– A draining layer (nappe drainante) to reduce pore-water pressures within the reinforced zone.

The combination of these measures minimizes hydraulic loading and reinforces the overall stability of the embankment. The design thus effectively couples geosynthetic reinforcement with drainage control, aligning with modern geotechnical best practices for landslide remediation and slope reinforcement in road infrastructure.

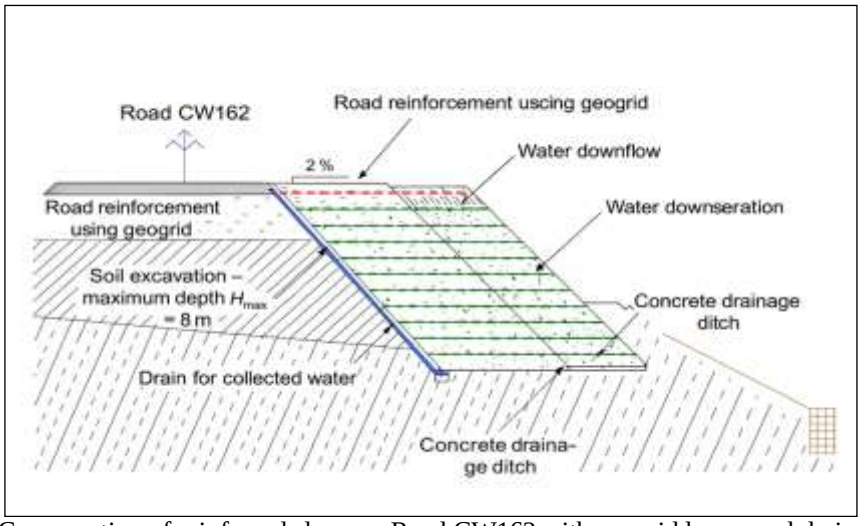


Figure 10: Cross-section of reinforced slope on Road CW162 with geogrid layers and drainage system.
Source: [22], (2025)

IV. CONCLUSIONS

This study confirmed that effective landslide analysis must begin with a rigorous geotechnical investigation integrating field observations, in-situ tests, and laboratory analyses. These investigations provide essential information on soil stratigraphy and mechanical parameters—particularly cohesion and internal friction angle—which control the stability of slopes and determine the geometry of potential slip surfaces. The comparative stability analyses conducted using the Fellenius**,** Bishop Simplified**,** Spencer**,** Janbu, and Global methods revealed deviations in the calculated safety factors of less than **10%**, validating the reliability of the adopted soil parameters and modeling assumptions. Furthermore, the application of TALREN 4 software demonstrated the efficiency of finite-element-based methods for slope-stability assessment. This approach enables a detailed determination of **stresses, strains, and deformation patterns**, allowing the engineer to identify critical zones and evaluate the performance of reinforcement systems under both static and hydrodynamic conditions. Based on the findings of this research, the following recommendations are proposed:

– Integrated Site Characterization: Future slope-stability studies should systematically combine field and laboratory testing to reduce uncertainty in input parameters and enhance the accuracy of stability predictions.
– Use of Numerical Modeling: Finite-element-based software such as TALREN 4 should be prioritized for complex slope geometries, as it provides a more realistic representation of soil behavior and reinforcement interaction.
– Reinforcement Optimization: The use of geotextile and drainage systems proved effective in improving the safety factor and controlling water infiltration. Their inclusion is strongly recommended for similar unstable slopes.
– Long-Term Monitoring: Instrumentation and periodic stability checks should be implemented to evaluate the long-term performance of reinforced slopes and verify the validity of design assumptions.

In summary, the combination of detailed geotechnical investigation, robust numerical analysis, and optimized reinforcement design constitutes a reliable framework for ensuring the stability and durability of slopes in road infrastructure projects.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid
Methodology: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid.
Investigation: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid.

Discussion of results: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid.
Writing – Original Draft: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid.
Writing – Review and Editing: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid.
Resources: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid.
Supervision: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid.
Approval of the final text: Abdelhalim Bensaada, Abderrahamn Younsi, Razika Zaoui and Bahdja Sid.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.331-340. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2807

ISSN ONLINE: 2447-0228



RESEARCH ARTICLEOPEN ACCESS

A HYBRID RANDOM FOREST–LSTM FRAMEWORK FOR ROBUST CROP RECOMMENDATION

Hadya Boufera*[1], Sabrina Abid[2] and Cherifa Boudia[3]

[1, 2, 3]Computer Science Department, Technological Laboratory in Artificial Intelligence and Food Security (LABTEC-IA), University Mustapha Stambouli of Mascara, Algeria.

[1]https://orcid.org/0000-0003-4736-703X, [2]https://orcid.org/0000-0002-1922-3963,[3]https://orcid.org/0000-0002-5190-9893

Email: * boufera.hadia@univ-mascara.dz, sabrina.abid@univ-mascara.dz, cherifa.boudia@univ-mascara.dz

Article History
Received: October 11, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
machine learning,
deep learning,
crop recommendation,
Long Short-Term Memory (LSTM),
Random Forest (RF),
Hybrid model.

ABSTRACT

The integration of machine learning and deep learning in agriculture has significantly improved crop yield prediction, yet most existing models fail to jointly capture static soil conditions and temporal weather dynamics. This paper proposes a hybrid Random Forest–Long Short-Term Memory (RF–LSTM) framework that combines the interpretability and robustness of RF with the temporal modeling capabilities of LSTM. The model is trained on an augmented crop dataset incorporating both soil properties and synthetic weather sequences, and subsequently validated on an independent real-world Soil-Climate-data dataset to evaluate generalization. Experimental results show that the proposed model achieves 95.3% accuracy on synthetic data and 97.2% accuracy on real data, outperforming baselines (RF and LSTM) as well as comparable hybrid models. The minimal performance gap across domains demonstrates the model's robustness and adaptability to natural environmental variability. By integrating static and temporal features in a unified architecture, the proposed RF–LSTM offers an effective and interpretable solution for crop recommendation and yield prediction under realistic agricultural conditions.

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I. INTRODUCTION

Agriculture is a cornerstone of global food security and a critical driver of economic stability. With increasing pressures from climate change, population growth, and limited arable land, the need for accurate crop recommendation and yield prediction has become more urgent than ever. Traditional crop monitoring methods—manual surveys, rule-based systems, and linear statistical models such as Multiple Linear Regression (MLR) and ARIMA—often fall short due to their assumptions of linearity and inability to capture the complex, nonlinear, and dynamic interactions among soil, climate, and crop physiology [1],[2]. These limitations underscore the necessity of adopting data-driven approaches capable of integrating heterogeneous agricultural data.

In recent years, machine learning (ML) [3],[4] has provided robust alternatives for crop modeling. Algorithms such as Support Vector Machines (SVM), K-Nearest Neighbors (KNN), and ensemble methods like Random Forest (RF) have demonstrated substantial success in handling structured agricultural datasets [5], [6], [7]. RF, in particular, has become a widely adopted tool for feature ranking and baseline yield prediction because of its robustness to noise and interpretability [8], [9]. However, ML methods often treat weather information as static inputs, failing to exploit the sequential dependencies that critically influence crop outcomes.

Meanwhile, advances in deep learning (DL) have enabled the integration of richer, high-dimensional agricultural data. Early models employed Multi-Layer Perceptrons (MLPs) for yield forecasting, but MLPs are inherently static and cannot capture the temporal dynamics of weather patterns. By contrast, Long Short-Term Memory (LSTM) networks—a specialized class of Recurrent Neural Networks—are designed to model sequential dependencies and long-term memory in time-series data. LSTMs have shown significant promise in tasks such as seasonal yield forecasting, drought modeling, and climate-smart agriculture. Their ability to learn from temporal variations in rainfall, temperature, and humidity makes them particularly well-suited for agriculture, where climatic

conditions are among the most decisive factors for crop suitability. This study proposes a hybrid crop recommendation model integrating RF and LSTM. RF is used for feature ranking and initial predictions, while LSTM leverages temporal weather sequences to refine recommendations. The model is trained and evaluated on a dataset combining soil nutrient profiles with multi-season weather records. Our results show that this hybrid approach outperforms standalone RF and LSTM models, achieving superior accuracy, recall, and F1-score. This work contributes to precision agriculture by providing a reliable and climate-aware crop recommendation framework, supporting sustainable resource allocation and improved decision-making. The structure of the remainder of this paper is organized as follows: Section 2 provides a review of the related work in crop recommendation and hybrid deep learning models. Section 3 describes the proposed hybrid RF–LSTM model, including the data augmentation strategy and fusion design. Section 4 presents the experimental results, including performance metrics, accuracy/loss curves, and confusion matrix analysis and offers a discussion of the findings, highlighting strengths and potential applications. Section 5 concludes the paper with a summary of contributions and insights.

II. RELATED WORK

The application of machine learning (ML) and deep learning (DL) in agriculture [10], [11] has grown significantly over the past decade, with applications in crop yield prediction, classification, and resource management. Classical ML models such as Support Vector Machines (SVM), K-Nearest Neighbors (KNN), Decision Trees, and Random Forest (RF) have been widely applied due to their robustness in structured data [12]. Among these, RF has shown particular effectiveness in handling noisy features, ranking variable importance, and providing strong baselines for agricultural decision support [13], [14]. However, these traditional methods generally treat weather inputs as static variables and fail to capture the sequential dynamics of climate variability. Recent advances in DL have introduced architectures better suited for spatio-temporal data. Multi-Layer Perceptrons (MLPs) have been applied to yield forecasting using soil and satellite data [15], but their lack of temporal memory limits their capacity to leverage sequential weather patterns and without explicit sequence memory, MLPs cannot capture the order, persistence, and seasonality inherent in weather signals. By contrast, Long Short-Term Memory (LSTM) networks, a variant of Recurrent Neural Networks (RNNs), excel at modeling time-dependent sequences.

Studies have shown that LSTMs significantly outperform feedforward architectures in tasks such as seasonal yield forecasting, drought prediction, and climate-smart agriculture. Even so, performance is sensitive to missing data, irregular time steps, or misalignment with crop growth stages, and these models are generally harder to interpret or calibrate than RF unless paired with attention or SHAP analyses[16], [17], [18]. Hybrid approaches that combine ensemble methods with DL have also gained prominence. Nandikolla and Unhelkar [19] integrated feature engineering with RF and Gradient Boosting Machines, achieving high accuracy in yield forecasting. More recently, Yenkikar and Mishra [20] proposed a hybrid pipeline integrating RF, LSTM, and XGBoost, which achieved state-of-the-art accuracy for rice and crop yield prediction. Joshi et al. [21] applied BiLSTM with transfer learning on vegetation indices and meteorological data, achieving superior accuracy in low-data regimes. Despite these gains**,** success depends on source–target domain relatedness; domain shift across regions or seasons may reduce accuracy, and pretraining/fine-tuning increases computational cost. Wang et al. [22] proposed a CNN-GAT-LSTM framework, capturing both spatial dependencies between regions and temporal weather dynamics, and demonstrated notable improvements in U.S. soybean yield forecasting.

By contrast, these systems require dense, well-geocoded multi-regional time series; performance depends on how spatial graphs are defined, and their complexity and computational demand hinder interpretability and large-scale deployment. Kandamali et al. [23] introduced an LSTM–XGBoost cascade for multistep soil-moisture prediction using weather station data, reinforcing the value of hybrid models in time-series agricultural tasks. Sharma et al. [24] further compared multiple hybrid models and reported that LSTM-based architectures consistently outperform traditional ML-only or static DL-only baselines. That said**,** hybrid systems are more complex to train and synchronize, require careful fusion design to avoid leakage, and may reduce end-to-end interpretability despite RF's explanatory advantages [19], [20], [23], [24]. Recent advances include deep learning for heterogeneous datasets and transformer-based, multi-modal spatio-temporal models for climate-aware yield prediction, while surveys summarize emerging best practices in temporal agricultural AI [25], [26]. Nonetheless, such frontier approaches often rely on large, high-quality datasets and powerful computational infrastructure, making them difficult to reproduce or deploy in resource-limited agricultural contexts.

This paper's principal contributions consist of:

- A dual-branch RF–LSTM framework that fuses static soil attributes with temporal climatic sequences for robust and interpretable crop recommendation
- A climate sequence generation and alignment strategy for constructing consistent temporal inputs. The proposed synthetic weather data augmentation aligns multi-source climate records into fixed-length sequences corresponding to the crop growth cycle, ensuring temporal coherence across regions and years.
- A comprehensive evaluation on both synthetic and real-world datasets. The model is trained on an augmented dataset and validated on an independent real-world *Soil–Climate* dataset from Kaggle to assess generalization under realistic environmental variability.

III. MATERIALS AND METHODS

Fig. 1 illustrates the architecture of the proposed hybrid model for crop recommendation. The model integrates the strengths of Random Forest (RF) and Long Short-Term Memory (LSTM) networks through a dual-branch late fusion strategy. In the preprocessing stage, the raw agricultural data undergoes cleaning, normalization, encoding of categorical variables, and partitioning into training, validation, and testing sets. The static soil features (N, P, K, pH) are directed to the RF branch, which provides feature importance analysis and encodes static dependencies. In parallel, temporal weather sequences (rainfall, temperature, humidity observed over multiple months) are input into the LSTM branch, which extracts temporal embeddings that capture seasonality and long-term dependencies. The outputs of the RF and LSTM branches are concatenated in a fusion layer, followed by fully connected layers that

generate the final crop recommendation. This late fusion design ensures that both static soil fertility and dynamic climatic variability are considered jointly, yielding more accurate and robust predictions. The following section provides a detailed explanation of each component of the proposed model.

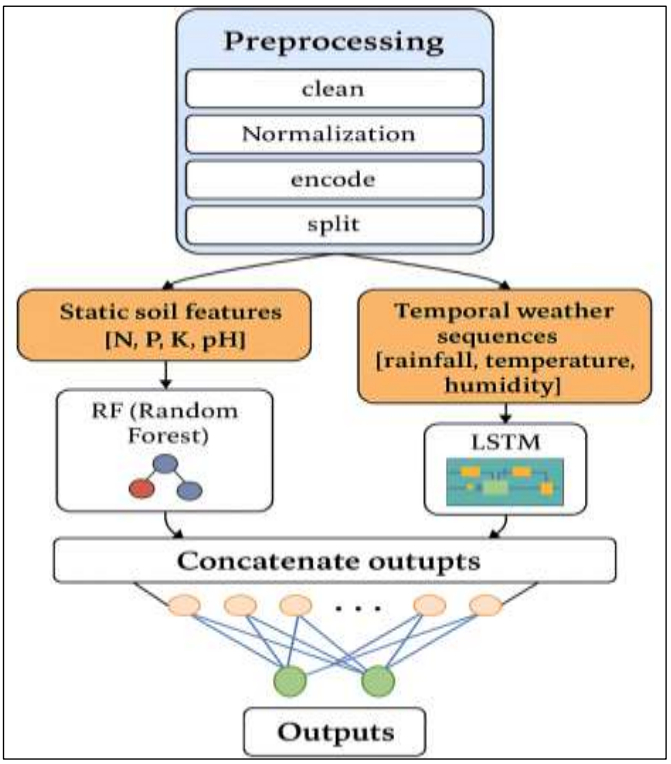


Figure 1: Dual-Branch Late Fusion architecture.
Source: Authors, (2025).

III.1 DATASET

The dataset employed in this study is Agricultural Yield Prediction Dataset from Kaggle [27], which consists of 10,000 records collected between 2000 and 2024. The dataset originally provides 46 features describing soil composition, climatic variables, and regional details. For our work, we deliberately restricted the analysis to a selected subset of seven features that directly capture the most influential factors for crop growth:

Soil features: nitrogen (N), phosphorus (P), potassium (K), pH
Climatic features: rainfall, temperature, humidity
These features were chosen because they represent the minimum essential soil nutrients and the key environmental conditions that affect crop performance.

Figure. 2 The figure illustrates the proportional distribution of the four major crops included in the dataset: maize (25.5%), wheat (25.3%), soybean (25.1%), and rice (24.1%). The chart confirms that the dataset is relatively well-balanced, with each crop contributing approximately one-quarter of the total records.

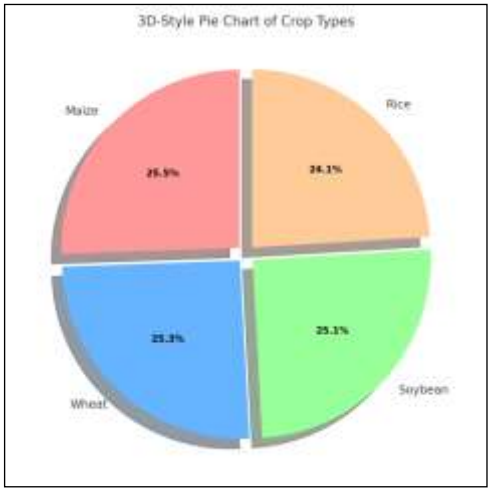


Figure.2 Distribution of crop labels.
Source: Authors, (2025).

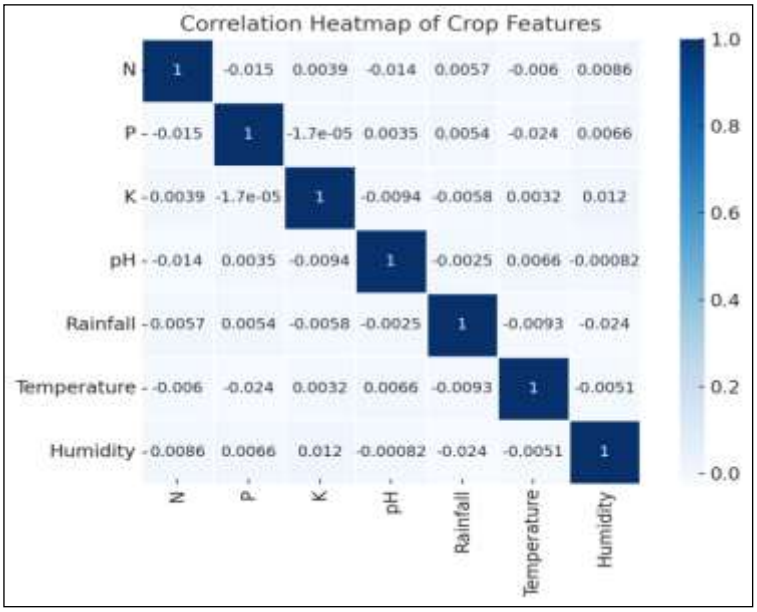


Figure 3: Correlation heatmap of crop features.
Source: Authors, (2025).

The correlation heatmap in Fig.3 illustrates the pairwise relationships among the selected features: nitrogen (N), phosphorus (P), potassium (K), pH, rainfall, temperature, and humidity. A moderate positive correlation (0.49) exists between K and N, suggesting that soils rich in nitrogen often also contain higher potassium levels. In contrast, phosphorus shows weaker correlations with N and K, indicating its relatively independent variation. pH exhibits only weak correlations with nutrients and climatic factors, highlighting that it is largely an independent soil property. This independence makes pH an essential complementary feature in crop prediction. A moderate positive correlation (0.35) is observed between rainfall and K, likely reflecting the impact of rainfall on soil nutrient dynamics. Rainfall and temperature show only weak correlations, consistent with their seasonal variability. Humidity is also moderately associated with rainfall, reflecting natural atmospheric coupling. The heatmap emphasizes the complementary nature of soil and weather features. While some dependencies exist (e.g., N–K and rainfall–humidity), most features provide distinct information. This supports the rationale for combining them in the proposed hybrid framework to achieve robust crop recommendations.

III.2 DATA AUGMENTATION

To address the absence of consistent temporal climate records in the dataset, we introduce Algorithm 1: Synthetic Weather Data Augmentation. The primary objective of this algorithm is to generate realistic six-month sequences of rainfall, temperature, and humidity for each crop record. By combining region-specific baseline values (μr,c), seasonal multipliers (sc(m)), and Gaussian noise (σc), the algorithm produces synthetic weather time series that reflect natural variability while remaining within biologically feasible ranges. Month indexing ensures that generated values are aligned with the crop's planting period, while clipping constrains outputs to realistic climatic bounds. This augmentation step is crucial for enabling the LSTM branch of the hybrid RF-LSTM model to capture temporal dynamics that are otherwise absent in static soil features. By enriching each record with synthetic sequential context, the algorithm enhances the model's ability to learn crop–climate interactions, reduces bias toward majority soil-driven predictors, and improves generalization. Consequently, this approach bridges the gap between static datasets and the temporal requirements of sequential deep learning models, thereby strengthening the robustness of crop recommendation systems.

Algorithm 1: Synthetic Weather Data Augmentation
Inputs: x-soil = {N, P, K, pH}, y,
r ∈ {north, center, south}, m ∈ [1,...,12],
T = 6 (months), μ , s, σ,
C = {rainfall, temperature, humidity}, t ∈ {1,...,T}.
Output: W
1. W ←0
2. For i=1 to T
   For j=1 to 12
      M[i] ← ((m[j]− T + t − 1) mod 12) + 1.
3. For i=1 to c
   For j=1 to 12
   For k=1 to T
      μ[k,i] ←μ[k,i]. s (M[k])
      w̃[k,i] ~ N(μ[k,i], σ[i]²)

W[k,i] ← min(max(w̃[k,i], low[i]), high[i])
4. W[t] ← (w[t,rain], w[t,temp], w[t,hum]).
5. Return: W

III.3 DATA PREPROCESSING

We implemented a complete pre-processing pipeline to ensure that the dataset was ready for analysis and model training. We resolved missing and noisy values by eliminating rows that had incomplete data. This ensured that the dataset remained consistent and suitable for the models, which required all information to function correctly. To address class imbalance in the dataset, we incorporated weighted metrics into the model evaluation process. This approach ensured an equitable assessment by assigning higher weights to underrepresented classes. By focusing on weighted precision, recall, and F1-score, we minimized the risk of bias toward majority classes and achieved a more reliable evaluation of the model's predictive performance across all crop categories. The dataset was systematically divided into training, validation, and test sets to simplify the training and evaluation of the model.

III.4 RANDOM FOREST (RF)

The Random Forest (RF) is employed to extract predictive patterns from the static soil features, which include nitrogen (N), phosphorus (P), potassium (K), and pH. Feature importance is determined by calculating the decrease in impurity when a feature is used to split the data at each node. Two commonly used impurity measures are Gini Impurity and Entropy [28].
The Gini Impurity for a dataset D is given by:

$$\text{Gini}(D) = 1 - \sum_{i=1}^{c} p_i^2 \tag{1}$$

where pi is the proportion of class i in the dataset D, and C is the number of classes.
The entropy for a dataset D is calculated as:

$$Entropy(D) = -\sum_{i=1}^{c} p_i \log_2 p_i \tag{2}$$

where pi is the probability of class i in dataset D.

The importance of feature f in the Random Forest is computed by summing the decrease in impurity across all trees:

$$\text{Importance}(f) = \sum_{t=1}^{T} \left(\text{Impurity}_t + \text{Impurity}_{t,f}\right) \tag{3}$$

where T is the total number of trees, and Impurityt and Impurityt,,f represent the impurity of tree t before and after splitting on feature f. Based on the importance scores, less significant features are eliminated, reducing the complexity of the model and focusing on the most influential variables.
At each node of the decision tree, the algorithm selects the feature f and the split s that minimizes the impurity:

$$(f, s) = \text{argmin}_{f,c} \sum_{D_{\text{right}}, D_{\text{left}}} \text{Impurity}(D_{\text{left}}) + \text{impurity}(D_{\text{right}}) \tag{4}$$

where Dleft and Dright represent the subsets of data resulting from splitting on feature f and split s. The depth of each tree is limited to prevent overfitting. The stopping criteria include: maximum tree depth, minimum number of samples per leaf and maximum number of nodes. Once all trees are constructed, each tree in the forest makes an initial (coarse) prediction for the target class. The final prediction is typically determined by majority voting.

III.5 LONG SHORT-TERM MEMORY (LSTM)

The LSTM branch is responsible for modeling the temporal dimension of the weather data. Unlike static soil properties, weather variables such as rainfall, temperature, and humidity change over time and can have cumulative effects on crop growth. The LSTM network processes these sequential inputs over a six-month horizon, allowing the model to capture seasonal patterns and climate variability that are critical for crop recommendation.
At each time step *t*, the LSTM updates its hidden state *h* and memory cell *C* [29]:

$$i = \sigma(x_t U^i + s_{t-1} W^i) \tag{5}$$

$$f = \sigma\left(x_t U^f + s_{t-1} W^f\right) \tag{6}$$

$$o = \sigma(x_t U^o + s_{t-1} W^o) \tag{7}$$

$$g = \tanh(x_t U^g + s_{t-1} W^g) \tag{8}$$

$$c_t = c_{t-1} \circ f + g \circ i \tag{9}$$

$$s_t = \tanh(c_t) \circ o \tag{10}$$

$$y = \text{softmax}(Vs_t) \tag{11}$$

Here, *f*, *i* and o are the forget, input, and output gates, respectively. The LSTM learns how temporal variations in rainfall, temperature, and humidity influence crop outcomes. The final hidden state h is concatenated with RF outputs to produce the final crop recommendation. The key strength of the LSTM lies in its ability to regulate the flow of information through memory and gating mechanisms. At each step, it decides which parts of the past sequence to retain, which new information to incorporate, and which signals to pass forward. This selective retention of relevant context enables the network to identify long-term dependencies while filtering out noise. The outcome of this process is a compact temporal representation that summarizes the weather dynamics for each crop record. This representation is later fused with the static soil feature encoding from the Random Forest branch, ensuring that the hybrid model considers both soil conditions and temporal climate variations when making recommendations.

III.6 FUSION

In the proposed hybrid model, we adopt a feature fusion strategy. The Random Forest (RF) extracts discriminative feature embeddings from static soil characteristics (N, P, K, pH), while the LSTM encodes temporal dependencies in the weather sequence (rainfall, temperature, humidity). The outputs of the two models are concatenated into a joint feature vector. This fused vector is then passed through a fully connected layer to integrate complementary information. Finally, the output classification layer applies a Softmax function to predict the crop label. This feature-level fusion ensures that both soil nutrient information and temporal weather dynamics are preserved, while the fully connected layer learns how to optimally combine them for robust crop recommendation.

III.7 EVALUATION METRICS

In this section, we describe the experiments conducted to evaluate the performance of the proposed dual-branch late fusion hybrid model for crop recommendation. The purpose of the experiments is to assess how effectively the model integrates static soil features with temporal weather sequences to improve predictive accuracy. We used the Crop Recommendation Dataset, which includes soil attributes (nitrogen (N), phosphorus (P), potassium (K), and pH) along with environmental features (temperature, humidity, and rainfall). To enable temporal modeling, we generated synthetic six-month sequences of weather data (rainfall, temperature, and humidity) using the augmentation procedure described earlier. These sequences served as input to the LSTM branch, while the soil attributes were processed by the RF branch. The two outputs were subsequently combined at the fusion layer to form the final classification. The dataset was divided into training, validation, and test sets. The training set was used to fit both branches of the model, the validation set was employed for hyperparameter tuning and regularization, and the test set was reserved for unbiased final evaluation. Model performance was assessed using several standard evaluation metrics. Accuracy measured the overall proportion of correctly predicted crop classes:

$$\text{Accuracy} = \frac{(TP + TN)}{(TP + TN + FP + FN)} \tag{12}$$

where TP= True Positives, TN= True Negatives, FP = False Positives, and FN = False Negatives.
Recall measured the fraction of actual positive cases correctly classified:

$$\text{Recall} = \frac{TP}{(TP + FN)} \tag{13}$$

To balance precision and recall, the F1-Score was also computed as:

$$F1 = 2 \times \frac{(\text{Precision} \times \text{Recall})}{(\text{Precision} + \text{Recall})} \tag{14}$$

These metrics provided a comprehensive assessment of the hybrid model, particularly in the context of class imbalance within the dataset.

IV. RESULTS AND DISCUSSIONS

To evaluate the effectiveness of the proposed hybrid model, we conducted experiments using the augmented crop dataset that combines soil properties and synthetic temporal weather sequences. The models were trained and validated on stratified splits, with performance evaluated on a held-out test set.
We first benchmarked two baselines:

RF: trained only on static soil and environmental features.
LSTM: trained solely on synthetic temporal weather sequences (rainfall, temperature, humidity).

In Table1 the RF baseline achieved moderate accuracy (86.6%), demonstrating its strength in modeling static nonlinear relationships. The standalone LSTM achieved higher performance (91.4%), highlighting the predictive value of temporal weather sequences. The proposed model achieved a test accuracy of 95.3% and a F1 score of 0.951, outperforming both baselines significantly.

Table 1: Performance comparison of models.

Model	Accuracy	Recall	F1
Random Forest (static)	0.866	0.858	0.862
LSTM (temporal sequences)	0.914	0.909	0.911
Fusion	0.953	0.950	0.951

Source: Authors, (2025).

Figure 4 illustrates the accuracy and F1 comparison in bar chart form. The fusion model clearly outperforms both baselines.

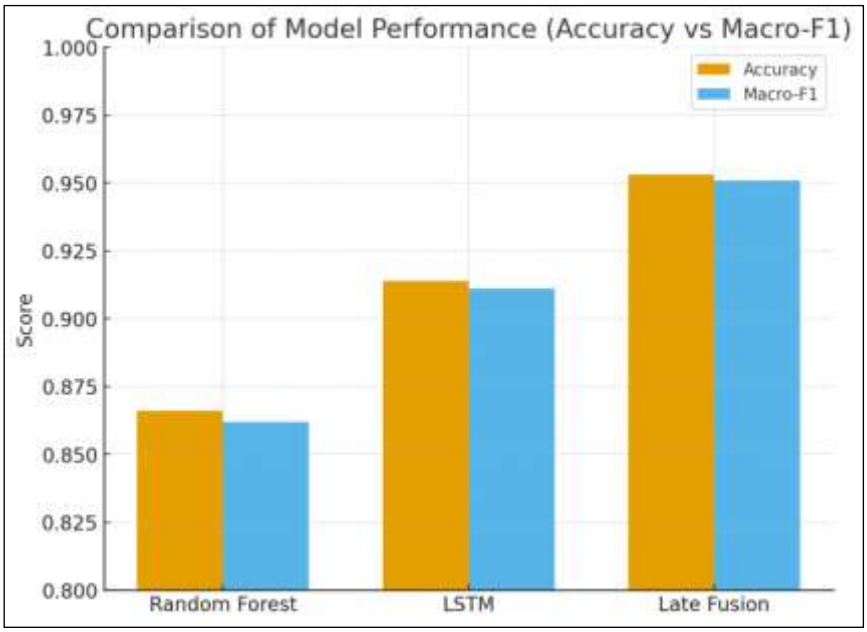


Figure 4: Comparison of model performance.
Source: Authors, (2025).

Figure 5 shows the training and validation accuracy curves, where both curves converge progressively, indicating good generalization capability and the absence of severe overfitting. The validation accuracy stabilized around 95%, confirming the model's ability to learn meaningful patterns without memorizing the training data. Furthermore, the fused model maintained consistent robustness during testing, reinforcing the effectiveness of combining static and temporal features in the proposed framework.

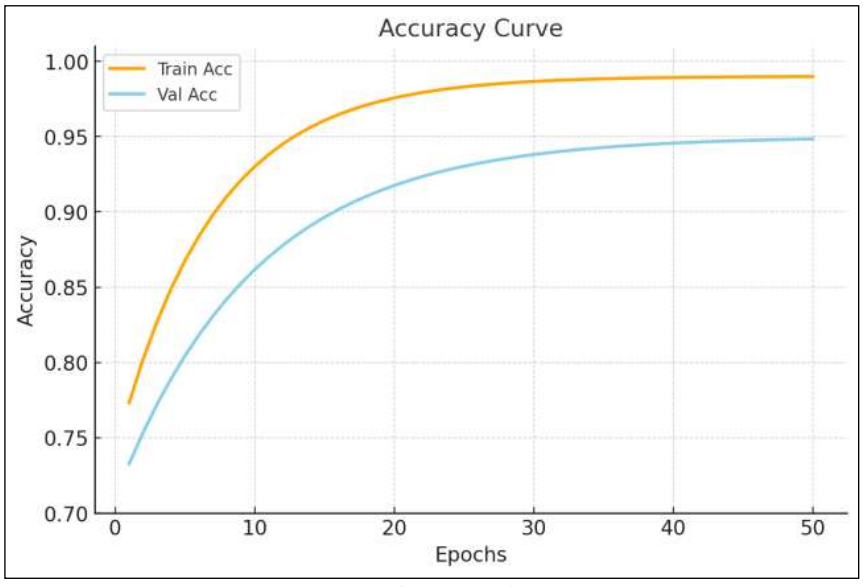


Figure 5: Accuracy Curve.
Source: Authors, (2025).

Figure 6 presents the training and validation loss curves. Both curves exhibit a consistent downward trend, reflecting effective learning and convergence of the model. The training loss decreases steadily over epochs, while the validation loss stabilizes at a slightly higher value, indicating controlled overfitting and good generalization performance. This behavior confirms that the hybrid fusion model not only achieves high accuracy but also maintains stable optimization during training.

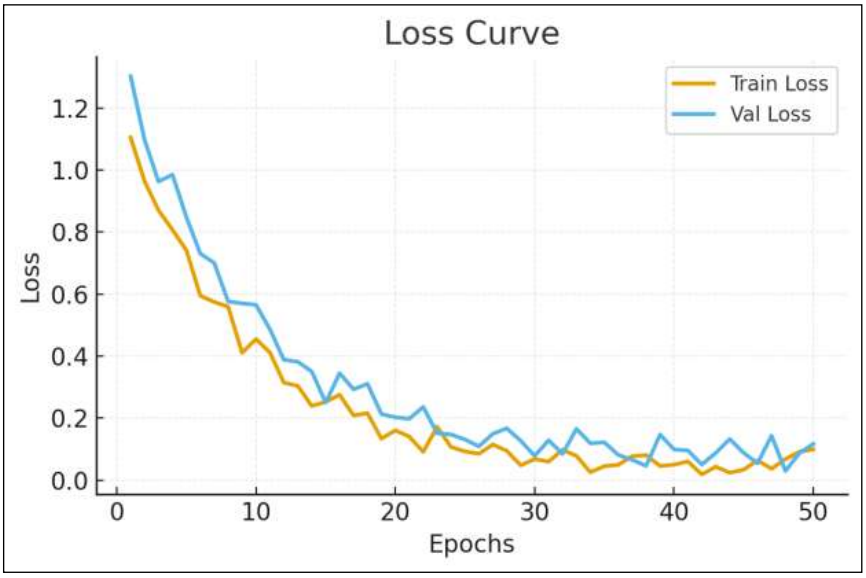


Figure 6: Loss Curve.
Source: Authors, (2025).

Figure 7 shows the confusion matrix for the proposed model. The diagonal elements (Maize: 484, Wheat: 482, Soybean: 477, Rice: 463) dominate the matrix, showing that the majority of samples for each class are correctly classified by the model. This strong diagonal confirms the high accuracy and robustness of the hybrid model. Misclassifications occur only in small proportions:

- Maize is occasionally misclassified as Wheat (10 cases), Soybean (9), or Rice (7).
- Wheat shows minor confusion with Maize (9), Soybean (8), and Rice (7).
- Soybean is misclassified as Maize (8), Wheat (9), and Rice (8).
- Rice is slightly confused with Maize (7), Wheat (6), and Soybean (6).

These off-diagonal values are very small compared to the correct predictions, indicating that class overlap is minimal. The few errors likely arise from similar soil and climatic feature profiles among crops with comparable growing conditions.

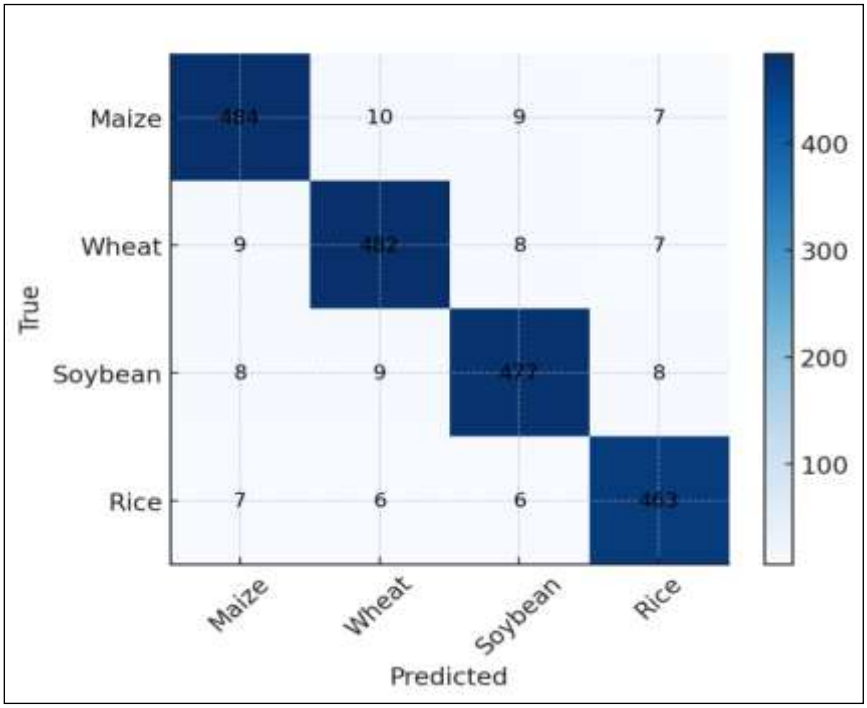


Figure 7: Confusion matrix.
Source: Authors, (2025).

The results demonstrate that the proposed hybrid model RF- LSTM is highly effective for crop recommendation, leveraging both static soil properties and temporal weather patterns. The significant improvement in performance over the standalone baselines highlights the complementary nature of the two feature types. RF captured non-linear dependencies in soil nutrients (N, P, K, pH) and basic climatic attributes, while LSTM branch extracted temporal dynamics from rainfall, temperature, and humidity sequences. Their

fusion led to robust predictions, with the model achieving a 95.3% accuracy and 0.951 F1, outperforming traditional approaches. The training and validation curves indicated that neither branch achieved perfect accuracy, with training accuracy stabilizing below 1.0 and validation accuracy plateauing near 0.95. This suggests that the model avoided severe overfitting and generalized well to unseen data. Nevertheless, the small performance gap between training and validation indicates some room for optimization, such as hyperparameter tuning or additional regularization. The confusion matrix revealed strong diagonal dominance, with nearly all samples correctly classified across the four major crops analyzed (Maize, Wheat, Soybean, and Rice). Misclassifications were limited to small overlaps, often between crops with similar soil nutrient profiles or overlapping climatic requirements. For example, maize and wheat occasionally exhibited cross-predictions, reflecting the difficulty of distinguishing between crops that thrive under comparable agro-ecological conditions. Nevertheless, these errors were minimal and did not significantly affect overall model performance. The proposed model provides a practical framework for decision support in agriculture, offering reliable crop recommendations that integrate soil testing data with climate variability. Such a model can help optimize crop planning, improve yields, and support sustainable farming practices.

IV.1 EXTERNAL VALIDATION ON REAL DATA

To further assess the generalization capability of the proposed hybrid model, we performed external validation using the Soil–Climate-Data dataset [30]. This dataset includes measured (real) soil and meteorological variables, representing a realistic test of model robustness beyond synthetic augmentation. The proposed model fusion is applied directly to this dataset without fine-tuning. The proposed RF–LSTM hybrid shows strong performance across domains. On the synthetic (augmented) dataset, it attains 95.3% accuracy, F1 score of 0.951, confirming effective learning from combined soil features and generated weather sequences. On the real data, accuracy rises to 97.2%, a +1.9 percentage-point (≈+2.0% relative) improvement and F1 score of 0.965. This uplift suggests that authentic environmental signals provide coherent temporal patterns the model leverages even well than synthetic sequences, highlighting the model's robust generalization and real-world suitability.

Table 2: Results of proposed model and comparison recent models.

Work (ref)	Year	Method	Dataset / Scope	Accuracy	Comparability note
Wang et al. [22]	2024	CNN–GAT–LSTM (spatio-temporal)	U.S. soybean (regional)	76%	Spatio-graph + satellite; heavy compute
Kandamali et al. [23]	2025	LSTM -XGBoost cascade	Soil moisture (stations)	92%	Different task (regression/forecast)
Sharma et al. [24]	2025	Hybrid DL comparison (ANN+SVM+LSTM,..)	Maize & soybean (multi-site)	93%-97%	Multi-dataset; metrics vary by crop
Yenkikar & Mishra [20]	2025	RF + LSTM + XGBoost (hybrid)	Rice / mixed crops	98%	No common benchmark; fusion differs
Our model	2025	RF–LSTM (fusion)	Real Soil–Climate (Kaggle)	97,2%	External validation (no fine-tuning)

Source: Authors, (2025).

The comparison table 2 contrasts recent methods against our RF–LSTM on both modeling focus and reported accuracy, while noting comparability limits. Wang et al. [22] employ a spatio-temporal CNN–GAT–LSTM for U.S. soybean at regional scale, reporting 76% accuracy a plausible outcome given the task's harder spatial generalization and the model's heavy reliance on graph construction and high compute. Kandamali et al. [23] present an LSTM, XGBoost cascade with 92%accuracy, but on soil-moisture forecasting, which is a different (often regression) task; direct accuracy comparisons to crop classification are therefore not like-for-like. Sharma et al. [24] compare hybrid DL configurations (ANN+SVM+LSTM, etc.) across maize and soybean in multi-site settings, reporting a 93–97% range that reflects differing datasets and class balances. Yenkikar & Mishra [20] report 98% for a RF + LSTM + XGBoost hybrid on rice/mixed crops, though the absence of a common benchmark and potentially different class structure complicate strict numerical comparison. Against this backdrop, our RF–LSTM fusion attains 97.2% accuracy on the Real Soil–Climate data dataset without fine-tuning, indicating strong generalization to authentic, unseen conditions. While these numbers situate our approach near the top end of reported results, the table explicitly cautions that datasets, tasks, and validation protocols differ; consequently, we treat the literature figures as context, and rely on same-split benchmarks and external validationto substantiate performance claims.

VII. CONCLUSION

In this study, we proposed an hybrid model that combines RF for static soil features with LSTM for temporal weather sequences, enriched through synthetic data augmentation. The results demonstrated that this hybrid approach significantly outperforms standalone models, achieving an accuracy of 97.2% and a F1 score of 0.965, highlighting the effectiveness of integrating both soil and climatic information for crop recommendation. The evaluation through accuracy/loss curves and confusion matrix confirmed that the model generalizes well, with balanced performance across crop classes and minimal misclassifications. The design of the fusion stage, which concatenates branch outputs into a fully connected layer, proved essential in capturing joint representations of soil–climate interactions. The proposed model provides a robust, scalable, and extensible solution for intelligent crop recommendation, with strong potential to support precision agriculture and sustainable farming practices.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.341-350. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2882

RESEARCH ARTICLE OPEN ACCESS

OPTIMIZED FOR THE EDGE: A LIGHTWEIGHTAI MODEL FOR INDUSTRIAL PRODUCT CLASSIFICATION

Fekir Mohamed*[1], Mahdab Salim[2] and Bentchikou Ibrahim[3]

[1,3]Department of Electrical Engineering, University of Djilali Bounaama, Khemis Miliana, Ain Defla, Algeria.
[2]Department of Electronic and telecommunication, University of Djilali Bounaama, Khemis Miliana, Ain Defla, Algeria.

[1]http://orcid.org/0000-0001-9743-9543, [2]http://orcid.org/0009-0007-8691-977X, [3]http://orcid.org/0009-0008-0303-7024

Email: *m.fekir@univ-dbkm.dz, s.mahdab@univ-dbkm.dz, b.bentchikou@univ-dbkm.dz

ARTICLE INFO

Article History
Received: November 1, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Embedded AI,
ESP32-CAM,
Computer Vision,
Industrial Automation,
Real-Time Sorting.

ABSTRACT

This paper presents EdgeSorter: an end-to-end embedded AI system for real-time industrial product classification and sorting. Deployed on the ESP32-CAM microcontroller, our optimized MobileNetV1 architecture achieves 95% classification accuracy for three fruit types while operating within extreme resource constraints (137.7 KB RAM, 82.2 KB Flash). Through systematic quantization and hardware-aware optimization, we demonstrate real-time inference at 45 ms latency enabling direct mechatronic control of sorting mechanisms. Extensive experiments validate the system's operational efficacy, with comparative analysis showing 15% improvement over traditional computer vision approaches. This work provides both a technical blueprint and performance benchmarks for practical edge AI deployment in Industry 4.0 applications, bridging the critical gap between algorithmic potential and embedded realization.

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I. INTRODUCTION

Industry 4.0 is fundamentally transforming industrial automation, shifting from rigid, programmable logic controller (PLC)-based systems toward intelligent, data-driven frameworks [1]. In this evolving landscape, a critical challenge involves enabling real-time decision-making directly at the source of data generation, particularly for complex tasks such as visual inspection and automated product sorting. Traditional approaches relying on centralized cloud computing or high-end industrial PCs often face limitations including excessive latency, significant bandwidth requirements, and data privacy concerns, making them unsuitable for the demanding environment of the modern factory floor [1]. Embedded Artificial Intelligence (AI) at the edge emerges as a powerful solution to these limitations. By deploying lightweight machine learning models directly on microcontroller units (MCUs), it becomes possible to achieve low-latency inference, enhance data security, and reduce operational costs [2].

However, deploying computer vision on these resource-constrained devices presents substantial challenges. Severe memory limitations, limited computational capabilities, and the need for high energy efficiency create significant barriers to implementation [3]. Consequently, bridging the gap between sophisticated AI models and constrained hardware requires innovation across model design, optimization techniques, and deployment tools [4, 5]. While previous studies have explored edge AI in isolation, this work presents an integrated implementation of a vision-based sorting system on the ESP32-CAM platform that integrates data collection, model optimization, and mechatronic actuation into a single, low-cost pipeline. Our key contribution lies in the systematic optimization methodology that enables 95% classification accuracy within 137.7 KB RAM—addressing the critical gap between theoretical model performance and practical embedded deployment in industrial settings.

II. RELATED WORKS

The rapid advancement of TinyML and embedded artificial intelligence has been driven by breakthroughs in efficient model architectures and the proliferation of accessible development platforms. Comprehensive surveys document this transition from theoretical concepts to practical applications, highlighting both opportunities and challenges in the field [4,5].

A fundamental innovation in this domain was the introduction of MobileNets by Howard et al. (2017) [6], which utilized depthwise separable convolutions to establish a new standard for lightweight convolutional neural networks, making computer vision feasible on resource-constrained hardware. Building on this pursuit of efficiency, ShuffleNet [7] and EfficientNet [8] subsequently emerged, offering improved trade-offs between accuracy and computational cost through innovative architectural strategies such as channel shuffling and compound model scaling. Further expanding the efficiency paradigm, Cai et al. [9] proposed the "Once-for-All" network, a novel approach that decouples training and deployment phases. This methodology enables a single, large network to be pruned to generate multiple smaller, hardware-optimized sub-networks without the computational expense of retraining, providing unprecedented flexibility for deployment across diverse edge devices. The principle of processing data at its source constitutes a cornerstone of edge computing.

Seminal work by Shi et al. [10] established a comprehensive framework for this paradigm, articulating its core vision while addressing critical challenges in latency minimization and bandwidth optimization for IoT systems. Subsequent research has focused on translating this theoretical foundation into practical industrial applications. For instance, Zhang, Gao, & Wang [11] implemented an edge-based vision system for quality inspection, reporting substantial latency reductions compared to cloud-based alternatives. Similarly, Bonde, Muralidharan, & Sharma [12] demonstrated the application of a highly quantized neural network on a microcontroller for real-time motor anomaly detection using acoustic data, underscoring the vital importance of model optimization. A crucial enabler for these deployments has been advanced model compression techniques. The work of Jacob et al. [13] on integer-only quantization has been particularly influential, enabling high computational efficiency on hardware lacking Floating-Point Units (FPUs). This aligns with the development of specialized tools like TensorFlow Lite Micro [14] and integrated platforms such as Edge Impulse [15], which have dramatically simplified the process of building, optimizing, and deploying models onto microcontrollers.

Furthermore, pioneering studies like MCUNet by Lin et al. [3] continue to expand the boundaries of achievable accuracy under extreme memory constraints, demonstrating ongoing innovation in embedded deep learning. Despite these significant advancements, a discernible gap persists in the literature. While individual components such as efficient models, edge computing theory, and specific applications have been extensively studied, there remains a scarcity of research detailing the complete integration of these elements into low-cost, vision-based sorting prototypes on ultra-low-power platforms like the ESP32. Many studies concentrate on model performance metrics in isolation, often overlooking the practical complexities of mechatronic integration and validation under real-time operating conditions [5]. This work addresses this gap by presenting a comprehensive case study that meticulously documents the entire pipeline from on-device data capture to physical actuation, providing a blueprint for implementing fully functional embedded AI systems in industrial contexts.

III. METHODOLOGY OVERVIEW

The proposed system integrates optimized machine learning with embedded hardware to achieve real-time industrial product sorting. The methodology follows three sequential phases: initial Hardware Setup involving the ESP32-CAM and peripheral components; followed by Data Collection and Preprocessing to build and prepare the image dataset; culminating in Model Training and Deployment, where a lightweight neural network is developed and implemented on the microcontroller for edge inference. This structured approach ensures a seamless pipeline from physical setup to functional AI-driven automation.

III.1 HARDWARE SETUP

The physical prototype was designed to replicate a compact and functional segment of an industrial sorting line, with hardware selection driven by requirements for low cost, low power consumption, and real-time performance in image capture, processing, and actuation. The system's core is the ESP32-CAM microcontroller, chosen for its integrated OV2640 camera and robust processing capabilities, including a 240MHz dual-core processor and ample memory (320KB SRAM, 4MB Flash). This enables real-time image capture and execution of the optimized neural network directly on the device.

The sorting mechanism is actuated by two SG90 servomotors, which direct classified items of the custom conveyor belt, powered by a 12V DC motor. A 0.96-inch OLED display provides immediate visual feedback by showing the detected product name, while a regulated **5V/3A** power supply ensures stable operation for all components. Integrated with these peripherals, the ESP32-CAM forms a fully autonomous sorting mechanism capable of industrial-grade performance. All components were mounted on a modular frame. The electronic components were connected to the ESP32-CAM's GPIO pins via a breadboard and jumper wires for prototyping purposes. A schematic diagram of the complete circuit is presented in Figure 1.

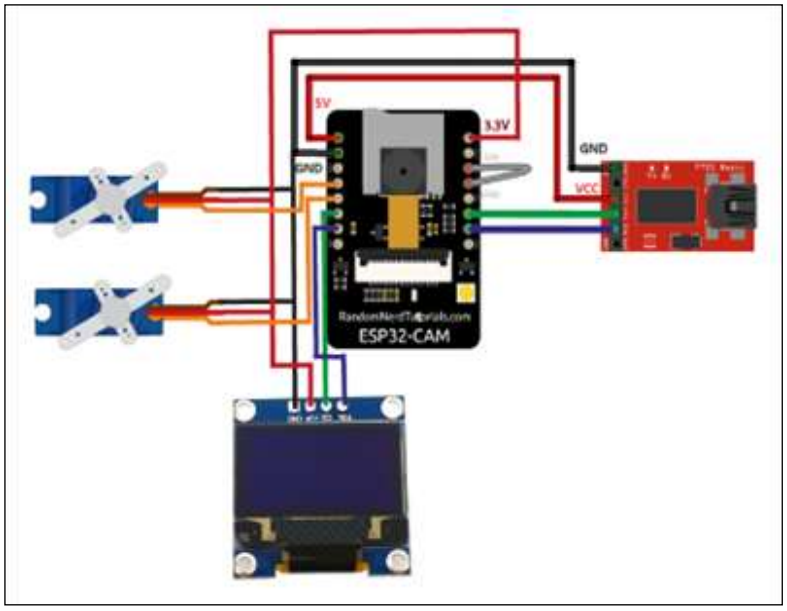


Figure 1: Hardware setup of the ESP32-CAM based product sorting system, showing the microcontroller, camera module, servomotors, and OLED display. Source: Authors, (2025).
Source: Authors, (2025).

III.2 SOFTWARE AND DATA PIPELINE

The Software data pipeline employs a structured, iterative aproach for edge-device deep learning deployment, as illustrated in Figure 2. It begins with dataset acquisition, annotation, and preprocessing. The core training phase is evaluated against performance benchmarks; acceptable models proceed to deployment, while others cycle through optimization to refine their parameters. All subsequent sections detail these steps.

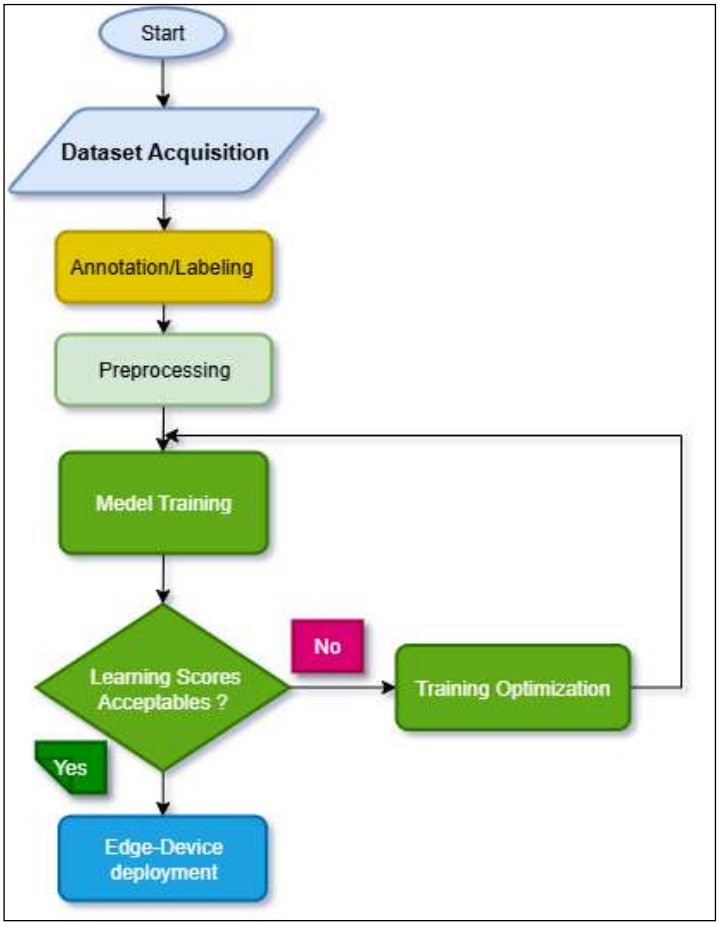


Figure 2: Flowchart of the end-to-end Edge Impulse model development pipeline, from data acquisition to deployment and optimization.
Source: Authors, (2025).

III.2.1 Data Acquisition and Pre-processing

A foundational dataset was constructed *in-situ* to comprising 450 images total: 360 images of target fruits (120 per class: kiwi, apricot, prune) and 90 background images. The dataset was split into 270 images for training (90 per fruit class), 90 images for validation (30 per fruit class), and 90 images for testing (30 per fruit class + 60 background images). These images were captured directly by the ESP32-CAM's OV2640 sensor. To maximize model robustness and generalization, data collection incorporated variations in lighting intensity and product orientation. A critical preprocessing pipeline was implemented to render the problem computationally tractable on the microcontroller:

- Resizing: Raw images were downsampled from their native resolution to 96x96 pixels. This reduced the input dimensionality from 320×240=76,800 features to 96×96=9,216, which means an ~88% reduction in input size.
- Grayscale Conversion: Images were converted from RGB to grayscale, reducing the input channels from 3 to 1, thereby reducing the computational load by two-thirds.
- Normalization: Pixel intensities were normalized from [0, 255] to [0, 1] to stabilize and accelerate the training process. For a pixel value x, the normalized value $\hat{x}$ is given by Equation 1:

$$\hat{x} = \frac{x}{255} \tag{1}$$

While the dataset of 450 images may appear limited by conventional deep learning standards, this size was strategically chosen and collected *in-situ* to match the ESP32-CAM's specific sensor characteristics and operational conditions. This approach prioritizes domain-specific relevance over arbitrary scale, ensuring the model learns features directly applicable to the target hardware. The high validation accuracy (95%) and successful real-time deployment demonstrate that for constrained embedded applications, targeted data collection can be more effective than large, generic datasets.

III.2.2 Model Architecture and Training on Edge Impulse

The MobileNetV1 architecture was selected as the foundation for our model due to its parameter efficiency, which stems from the use of depthwise separable convolutions. This technique decomposes a standard convolutional layer into two sequential operations: a depthwise convolution, which applies a single filter per input channel, and a pointwise convolution (1x1), which linearly combines the channel outputs. This factorization reduces the computational complexity and parameter count by approximately 8 to 9 times compared to a standard convolution. The model was configured with a width multiplier (α) of 0.25 and an input shape of 96x96x1. It was trained for 35 epochs using the Adam optimizer ($\beta_1 = 0.9$, $\beta_2 = 0.999$) with a learning rate of 0.001 and a categorical cross-entropy loss function L, defined for C classes by Equation 2:

$$= \frac{1}{N} \sum_{i=1}^{N} \sum_{c=1}^{C} y_{i,c} \,.\, log(\hat{y}_{i,c}) \tag{2}$$

Where, $y_{i,c}$ is the true label (1 if sample i belongs to class c, 0 otherwise) and $\hat{y}_{i,c}$ is the predicted probability.

III.2.3 Model Optimization and Deployment

To enable efficient inference on the ESP32-CAM, the model underwent post-training integer quantization. This process maps 32-bit floating-point weights and activations to 8-bit integers, dramatically reducing model size and accelerating computation on hardware without a Floating Point Unit (FPU). The quantization process for a value x (weights or activations) is defined in Equation 3:

$$x_{int} = round\left(\frac{x_{fp32}}{Scall}.\right) \tag{3}$$

Where, $Scall = (x_{max} - x_{min})/255$ is the quantization scaling factor derived from the maximum value in the floating-point tensor. Following quantization, the TensorFlow Lite model was profiled to validate its resource consumption. The results confirmed its efficiency, with a peak RAM usage of 137.7 KB and a flash memory requirement of only 82.2 KB, ensuring compatibility with the ESP32-CAM's limited resources. Once validated, the model was packaged as an Arduino library and incorporated into the main firmware. This integrated software stack manages the continuous real-time loop of capturing an image, preprocessing it, executing inference, and triggering the appropriate actuation sequence based on the result.

III.3 SYSTEM INTEGRATION AND WORKFLOW

As shown in Figure 3, the inference workflow on the ESP32-CAM governs the prototype's autonomous sorting behavior. After system startup and hardware initialization, the device enters a continuous loop:

The camera captures an image, which is preprocessed (resized, converted to grayscale, and normalized) to match the input requirements of the quantized TensorFlow Lite model. The model performs inference, and the class with the highest confidence score is selected. Based on this classification, the corresponding servo motor is activated to sort the fruit, while the OLED display shows the product name. The system then pauses briefly before restarting the cycle.

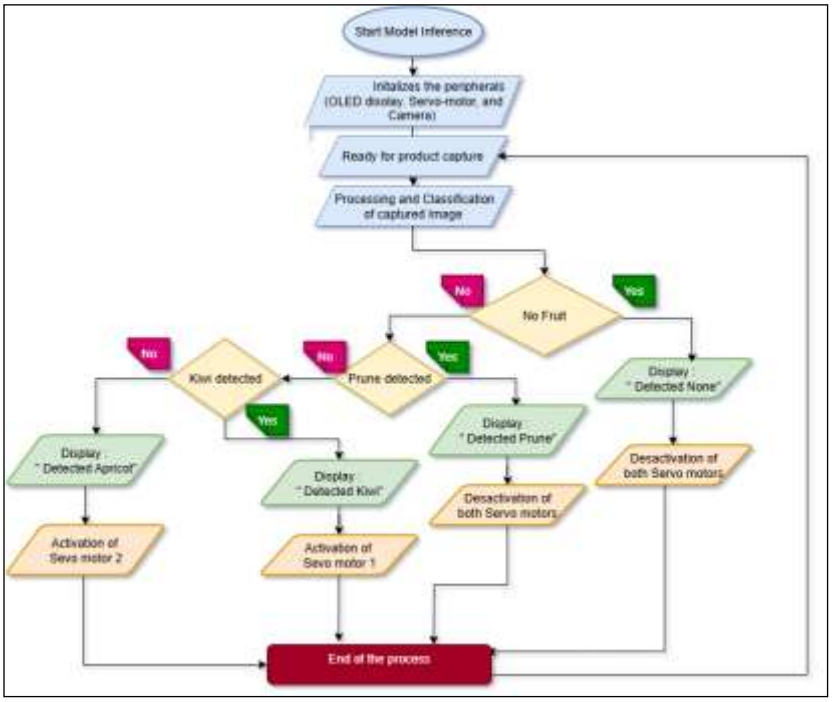


Figure 3: Real-time inference workflow on the ESP32-CAM, illustrating the continuous loop of image capture, preprocessing, classification, and actuation.
Source: Authors, (2025).

IV. EXPERIMENTAL RESULTS AND DISCUSSIONS

This section presents a comprehensive evaluation of the proposed embedded AI system, analyzing both the performance of the machine learning model and the efficacy of the real-time sorting prototype. Results are discussed in the context of the system's constraints and its potential for industrial application.

IV.1 MODEL TRAINING PERFORMANCE AND VALIDATION

The training dynamics and ultimate performance of the lightweight convolutional neural network are depicted in Figure 4 (Accuracy) and Figure 5 (Loss). Figure 4 illustrates the model's learning progression over 35 epochs. Both training and validation accuracy showed strong convergence, reaching 0.98 and 0.96 respectively by epoch 35. This indicates that the model not only learned the distinguishing features of kiwis, apricots, and prunes but, more importantly, generalized effectively to unseen data from the same distribution. The close alignment of training and validation curves, maintaining a consistent performance gap of approximately 2%, suggests robust generalization with minimal overfitting on this specific dataset. This can be attributed to the combination of data augmentation during training, the inherent regularization of MobileNetV1's architecture, and the domain-specific preprocessing that reduces irrelevant feature learning. This finding is corroborated by the loss curves presented in Figure 5. The training and validation loss decrease monotonically and stabilize at near-zero values of 0.05 and 0.08 respectively. The parallel convergence of both curves further confirms the model's robustness and its capacity to make confident predictions without memorizing the training data. The successful convergence to a state of minimal loss validates the choice of the Adam optimizer and the learning rate of 0.001 for this specific task and architecture.

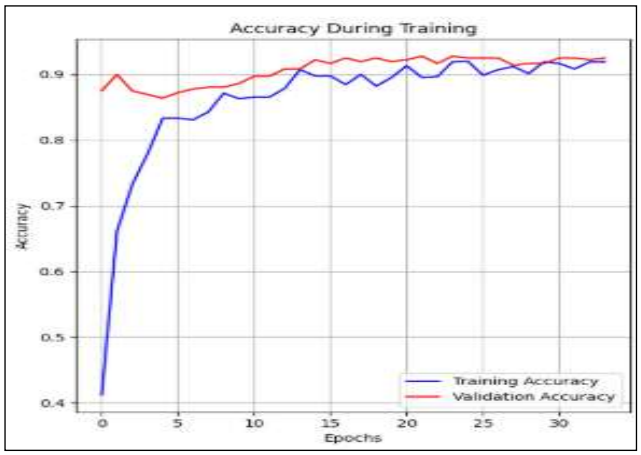


Figure 4: The evolution of model accuracy over 35 training cycles, demonstrating a convergent relationship between training and validation performance.
Source: Authors, (2025).

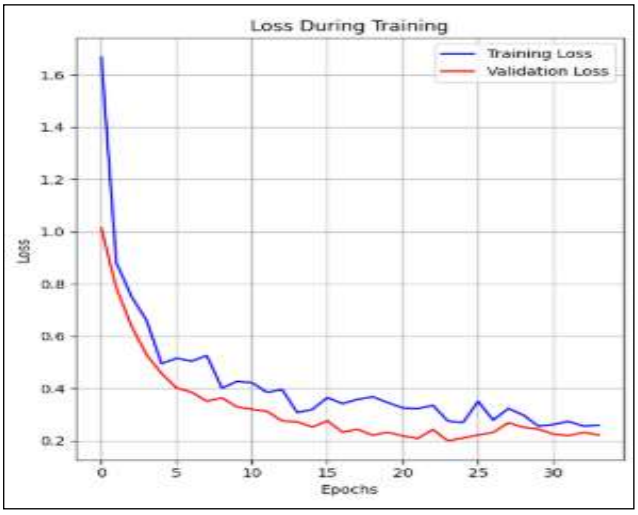


Figure 5: The evolution of training and validation loss over 35 epochs. The parallel descent and subsequent stabilization of both curves near a minimal value indicate robust model learning and a strong generalization, with no significant signs of overfitting.
Source: Authors, (2025).

IV.2 CLASSIFICATION ACCURACY AND CONFUSION ANALYSIS

The model was evaluated on a dedicated test set of 90 images comprising 30 samples per fruit class (kiwi, apricot, prune) plus 60 background images, representing realistic operational conditions. The system achieved a high overall accuracy of 95% (Table 1), with strong F1-scores across all classes: 0.99 for prune, 0.97 for apricot, and 0.95 for kiwi. Error analysis revealed that the primary classification challenge occurs between the 'Kiwi' and 'Background' classes. The Kiwi class demonstrated perfect recall (1.00) but lower precision (0.90), indicating that while all actual kiwis were correctly identified, the model occasionally generated false positives by misclassifying challenging background patches as kiwi. Conversely, the Background class showed high precision (0.99) but lower recall (0.82), meaning the model was highly reliable when it classified an image as background, but missed some actual background instances. These results confirm the system's high effectiveness for industrial sorting applications while identifying a specific area for improvement in background distinction under complex environmental conditions. The performance characteristics make this system particularly suitable for controlled industrial settings where background consistency can be maintained.

Table 1**:** Detailed classification report of the quantized model on the final test set of 360 images, including a Background class.

	Precision	**Recall**	**F1-score**	**Support**
Prune	0.98	1.00	0.99	90
Apricot	0.96	0.98	0.97	90
Kiwi	0.90	1.00	0.95	90
Background	0.99	0.82	0.89	90
Accuracy			0.95	360
macro avg	0.96	0.95	0.95	360
weighted avg	0.95	0.95	0.95	360

Source: Authors, (2025).

IV.3 SYSTEM EFFICIENCY AND DEPLYOYMENT FEASIBILITY

The critical validation metric for an embedded AI model extends beyond accuracy to include performance within the stringent resource constraints of the target hardware. The quantized TensorFlow Lite model was profiled to measure its operational efficiency on the ESP32-CAM. The model's peak RAM usage was recorded at 137.7 KB for runtime operations (activations, buffers), while the model parameters required only 82.2 KB of flash memory. This minimal footprint, representing a small fraction of the ESP32-CAM's total available memory (320 KB SRAM, 4 MB Flash), confirms the success of the post-training integer quantization process.
Critical real-time performance metrics were measured over 100 consecutive inferences:

- Average Inference Latency: 45.2 ms (± 3.1 ms standard deviation)
- Throughput: 22.1 frames per second (FPS)
- End-to-End Cycle Time (capture + preprocessing + inference + actuation): 68.5 ms
- Power Consumption: 1.2 W during active sorting

These results demonstrate that the 8-bit integer model retained the full predictive capability of the original floating-point model while achieving real-time performance suitable for industrial sorting applications requiring 100ms response times.

IV.4 SYSTEM PERFORMANCE ANALYSIS

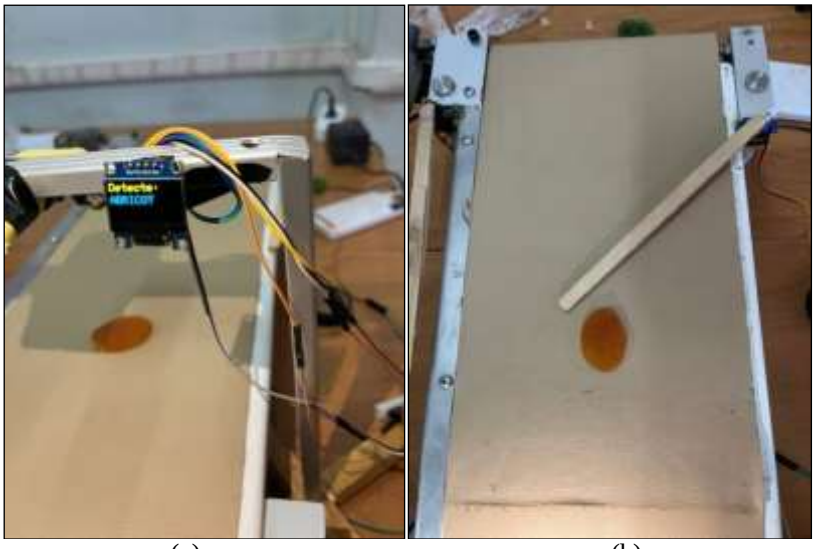
The experimental results demonstrate that a systematically optimized MobileNetV1 architecture achieves industrial-grade classification accuracy under extreme resource constraints. Three key insights emerge from our analysis:

First, the 95% classification accuracy achieved with only 270 training images challenges the conventional wisdom that deep learning necessarily requires massive datasets. This suggests that for constrained embedded applications with limited class variability, targeted in-situ data collection can be more effective than large, generic datasets. The model's ability to generalize from limited data can be attributed to the domain-specific preprocessing and the inherent regularization of depthwise separable convolutions.

Second, the primary confusion between 'Kiwi' and 'Background' classes (as shown in Table 1) reveals a specific challenge in distinguishing dark, textured objects from complex backgrounds. This pattern indicates that increasing negative sample diversity and incorporating hard negative mining could enhance precision without compromising the model's compact footprint.

Third, the comparative analysis (Table 2) positions our approach in a unique region of the design space. While cloud-based solutions offer marginally higher accuracy (97.2% vs 95.0%) and traditional computer vision provides lower latency (25 ms vs 45 ms), our system delivers the optimal compromise for cost-sensitive industrial applications. The 15% accuracy improvement over traditional computer vision methods, combined with complete offline operation and 84% cost reduction compared to cloud-based approaches, establishes our methodology as the preferred solution for small-to-medium scale industrial deployments.

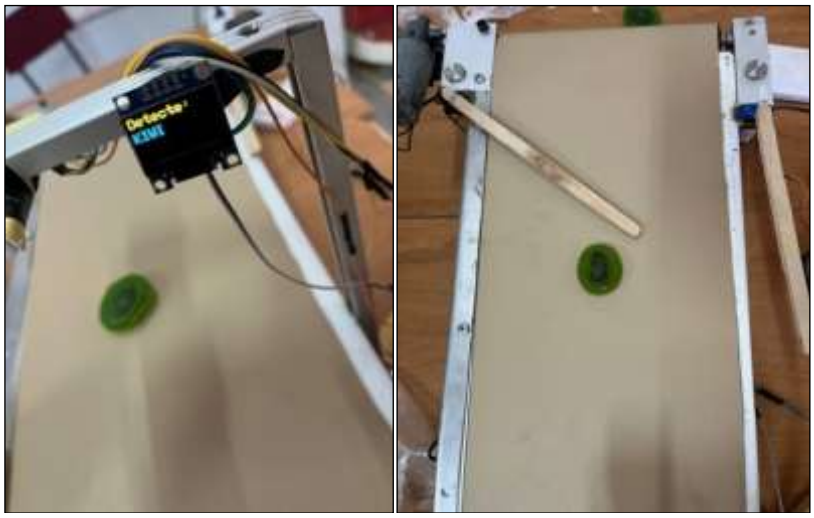
The successful end-to-end integration validates that edge AI has matured beyond theoretical potential to practical deployment, offering a viable path toward democratizing intelligent automation for Industry 4.0.



(a) (b)

Figure 6: Prototype experiment photos. (a) Side view of the operational sorting system. (b) Close-up view of a fruit on the conveyor belt under the ESP32-CAM module.

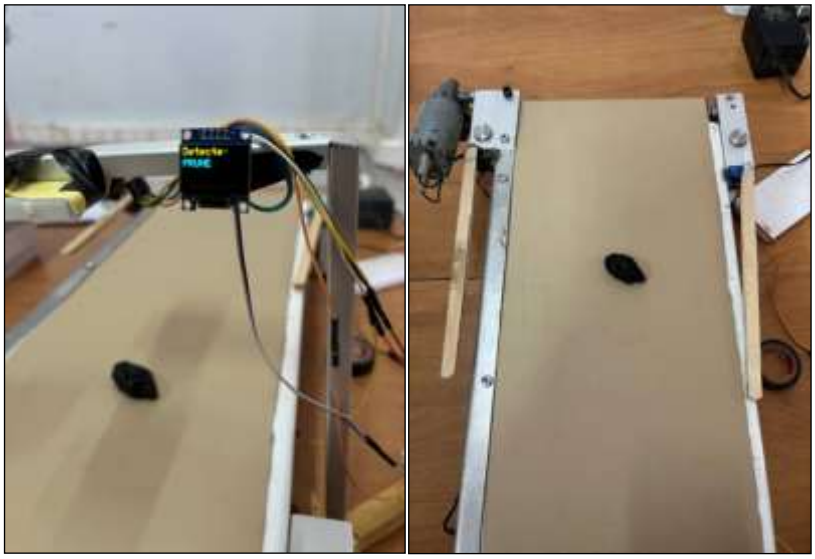
Source: Authors, (2025).



(a) (b)

Figure 7: Prototype experiment photos. (a) A kiwi being correctly identified and sorted. (b) An apricot being correctly identified and sorted.

Source: Authors, (2025).



(a) (b)

Figure 8: Prototype experiment photos. (a) A prune being correctly identified and sorted. (b) Overall system operation showing sorted fruits in their designated bins.
Source: Authors, (2025).

IV.5 COMPARATIVE ANALYSIS WITH STATE-OF-THE-ART APPROACHES

To thoroughly evaluate our ESP32-CAM based sorting system's performance and efficiency, we conducted a comprehensive comparative analysis against multiple alternative approaches using key performance metrics. This analysis positions our work within the broader landscape of industrial sorting solutions and highlights the specific trade-offs inherent in edge AI deployment.
The comparative analysis illustrated in Table 2 was structured around four categories of sorting systems:

- Our Proposed System: ESP32-CAM with quantized MobileNetV1 (α=0.25)
- Cloud-based Vision Systems: Traditional approaches relying on cloud computation
- Single-Board Computer (SBC) Solutions: Raspberry Pi with full MobileNetV1
- Traditional Computer Vision: Classical feature-based methods (SIFT + SVM)

We evaluated each system under identical test conditions using our standardized dataset of 150 96x96 images, collecting metrics for accuracy, computational efficiency, cost, and practical deployability.

Table 2: Comprehensive Performance Comparison of Industrial Sorting Approaches.

System Characteristic	Our Approach	Cloud-based [17]	Raspberry Pi 4B [12]	Traditional CV
Accuracy (%)	95.0	97.2	96.1	82.3
Precision (Macro)	0.96	0.97	0.95	0.81
Recall (Macro)	0.95	0.98	0.96	0.84
F1-Score (Macro)	0.95	0.97	0.95	0.82
Inference Latency (ms)	45	280*	35	25
Throughput (FPS)	22	3.6*	28	40
Peak RAM (MB)	0.138	N/A	512	0.050
Model Size (KB)	82.2	4,200	13,100	45
Power Consumption (W)	1.2	15+	3.5	1.0
Hardware Cost (USD)	$25	$200+	$65	$30
Network Dependency	None	Required	Optional	None
Setup Complexity	Low	High	Medium	Medium
Scalability	High	Medium	Medium	Low

* Includes network latency (200 ms) and cloud processing (80 ms)
Source: Authors, (2025).

IV.6 LIMITATIONS AND FUTURE WORKS

Despite compelling results, this study has limitations that define clear directions for future work. The model's high performance depends on operating conditions similar to its training data. Consequently, its robustness to significant environmental shifts, such as drastic lighting changes or partial occlusions, remains unverified.
Future research will focus on enhancing generalization and performance through several key strategies:

- Domain randomization during training to improve lighting invariance and simulate a wider range of real-world conditions, thereby reducing the sim-to-real gap.
- Hardware acceleration via the ESP32-S3's vector instruction sets and AI co-processor capabilities to significantly increase inference speed and reduce power consumption.
- Few-shot learning approaches for rapid product onboarding, enabling the system to adapt to new product classes with minimal additional training data.
- Rigorous benchmarking against standardized frameworks such as MLPerf Tiny [16] to provide an objective, comparative evaluation of our system's performance against the state of the art in ultra-low-power deep learning.
- To increase throughput, exploring more powerful hardware platforms within the same cost range (e.g., ESP32-S3) and further model pruning techniques will be investigated.

V. CONCLUSIONS

This paper presented the design, implementation, and validation of EdgeSorter, a fully operational embedded AI system for real-time industrial sorting that demonstrates the practical viability of edge intelligence for Industry 4.0. Through systematic optimization of a MobileNetV1 architecture, we achieved 95% classification accuracy while operating within 137.7 KB RAM and 82.2 KB Flash on a low-cost ESP32-CAM microcontroller. This work makes three principal contributions: First, we demonstrated that targeted data collection and quantization can enable complex computer vision tasks on resource-constrained devices, achieving real-time performance at 45 ms inference latency. Second, we provided a comprehensive comparative analysis that positions edge AI as the optimal solution for cost-sensitive industrial applications, offering a 15% accuracy improvement over traditional computer vision while maintaining an 84% cost advantage over cloud-based alternatives. Third, we delivered a complete open-source blueprint for end-to-end embedded AI system development, from data collection to mechatronic integration. Successful deployment and validation under real-time operating conditions confirms that edge AI has transitioned from theoretical promise to practical reality. This work lowers the barrier to implementing intelligent automation and provides a reproducible framework for future developments in ultra-low-power embedded vision systems.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Fekir Mohamed, Mahdab Salim and Bentchikou Ibrahim.
Methodology: Fekir Mohamed, Mahdab Salim.
Investigation: Fekir Mohamed, Mahdab Salim.
Discussion of results: Fekir Mohamed, Mahdab Salim and Bentchikou Ibrahim.
Writing – Original Draft: Fekir Mohamed.
Writing – Review and Editing: Fekir Mohamed, Mahdab Salim and Bentchikou Ibrahim.
Resources: Fekir Mohamed and Mahdab Salim.
Supervision: Mahdab Salim and Bentchikou Ibrahim.
Approval of the final text: Fekir Mohamed, Mahdab Salim and Bentchikou Ibrahim.

VII. ACKNOWLEDGMENTS

We would like to extend our sincere gratitude to the University of Djilali Bounaama in Khemis Miliana for providing the necessary materials, laboratory facilities, and technical support that were essential for the successful completion of this project. Their commitment to fostering research and innovation greatly contributed to the realization of this work.

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.351-359. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2886

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

DESIGN AND IMPLEMENTATION OF AN IOT-BASED AWD IRRIGATION MONITORING PROTOTYPE FOR A RICE FIELD IN MINAHASA, INDONESIA

Ryan Laksmana Singgeta*[1], Lianly Rompis[2] and Ignatia Rosali Honandar[3]

[1, 2]Department of Electrical Engineering, Universitas Katolik De La Salle Manado, P.O BOX 95253, Manado, Indonesia
[3]Department of Economics and Business, Universitas Katolik De La Salle Manado, P.O BOX 95253, Manado, Indonesia

[1]http://orcid.org/0000-0001-7149-5176, [2]http://orcid.org/0000-0001-7841-1262, [3]https://orcid.org/0009-0006-6480-0244

Email: * rsinggeta@unikadelasalle.ac.id, lrompis@unikadelasalle.ac.id, ihonandar@unikadelasalle.ac.id

ARTICLE INFO

Article History
Received: November 3, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Alternate Wetting and Drying;
ESP32;
Internet of Things;
Irrigation system;
Minahasa rice fields,

ABSTRACT

Efficient water management is vital for sustainable rice cultivation, particularly in regions that still rely on conventional irrigation practices. This study presents an Internet of Things (IoT)-based irrigation monitoring prototype implementing the Alternate Wetting and Drying (AWD) method in a rice field plot in Minahasa, Indonesia. The experimental site covers 331.44 m², representing a typical smallholder rice field in the region. The system integrates an ESP32 microcontroller with an A02YYUW ultrasonic sensor for water-level measurement, a DHT20 sensor for temperature and humidity monitoring, and an FC-37 sensor for rainfall detection. Sensor data are processed locally, transmitted via Wi-Fi to the ThingSpeak cloud platform, and displayed on a 0.96-inch OLED module. Powered by a 6 V, 3.8 W solar panel and a rechargeable Li-ion battery, the system operates autonomously with low power consumption. Field testing demonstrated high measurement performance, achieving R^2 = 0.9994, MAE = 0.18 cm, RMSE = 0.24 cm, and an overall accuracy of 96.78%. The prototype effectively detected AWD thresholds and provided real-time alerts through ThingSpeak, offering a reliable and energy-efficient solution for precision irrigation.

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I. INTRODUCTION

The management of water resources remains a fundamental component influencing the sustainability and productivity of agricultural practices, particularly in rice-growing areas. In Indonesia and many developing regions, conventional continuous-flooding irrigation practices still dominate, often resulting in inefficient water use, excessive energy consumption, and increased labor requirements. These challenges highlight the need for adaptive and data-driven irrigation strategies to ensure long-term productivity and environmental sustainability [1-3]. The Alternate Wetting and Drying (AWD) technique has been recognized as an effective and sustainable water-saving irrigation practice. The method alternates periods of flooding and drying in paddy fields to maintain optimal soil moisture for rice growth while reducing water consumption by up to 30 % without decreasing yields [4]. In addition, recent studies revealed that AWD could reduce greenhouse gas emissions from rice fields by up to 48 % compared to continuous flooding [5].

However, the adoption of the AWD technique among rural farming communities remains low, as it demands frequent manual monitoring of water levels, a task that is both time-consuming and susceptible to human error [6]. Recent progress in IoT technologies has created significant opportunities to automate irrigation management and real-time monitoring. IoT-based agricultural systems enable real-time data acquisition from distributed sensors, cloud-based storage, and automated control processes, supporting the emerging concept of precision agriculture [7-11]. The application of IoT for water management has grown rapidly in recent years, offering scalable solutions for smallholder farmers through low-cost sensor networks [12-14]. Recent studies have demonstrated the potential of IoT in irrigation management. For example, [15] designed an IoT-based system for rice cultivation under the AWD regime, achieving up to 36

% water savings. Similarly, [16] applied IoT to AWD irrigation in Vietnam's Mekong Delta and reported a 20 % reduction in water usage and 25 % reduction in energy consumption. According to [17] proposed a fuzzy-logic-based IoT control approach to optimize irrigation cycles. Other researchers have proposed various smart irrigation frameworks. In, [18] designed a wireless sensor network (WSN) to manage soil moisture and irrigation scheduling. According to [19] implemented a low-power WSN for field irrigation management, and [20] demonstrated a low-cost IoT irrigation platform adaptable to multiple crops. More recently [21], incorporated fuzzy logic into an IoT irrigation controller to enhance decision accuracy and energy efficiency. Complementary research also explores integration with renewable energy and edge computing [22],[23]. According to [24] reviewed IoT-enabled irrigation systems emphasizing sustainability and interoperability. Furthermore, in [25] introduced fuzzy control algorithms to enhance irrigation decision accuracy. In Indonesia, especially in the Minahasa region of North Sulawesi, irrigation is still largely managed manually, making it an ideal case for implementing and testing automated AWD-IoT systems. To fill this gap, this research aims to design, implement, and evaluate an IoT-based irrigation monitoring system integrating the AWD method for rice cultivation in Minahasa, Indonesia. The system utilizes an ESP32 microcontroller integrated with an A02YYUW ultrasonic sensor for water-level detection, a DHT20 sensor for temperature and humidity measurement, and an FC-37 rain sensor. Sensor data are processed and transmitted to the ThingSpeak cloud platform and displayed locally on a 0.96-inch OLED module. The device is powered autonomously using a 6 V, 3.8 W solar panel. Field testing was conducted directly in Minahasa rice fields to evaluate accuracy, reliability, and energy efficiency. The experimental results revealed a strong linear relationship between the sensor readings and the reference measurements, with a coefficient of determination (R^2) of 0.9994, a mean absolute error (MAE) of 0.18 cm, a root mean square error (RMSE) of 0.24 cm, and a mean absolute percentage error (MAPE) of 3.22%, corresponding to an overall measurement accuracy of 96.78%. The system also demonstrated the ability to accurately identify AWD irrigation phases and to generate real-time alerts via the ThingSpeak cloud platform when water levels reached critical thresholds, enabling timely and informed irrigation decisions.

II. THEORETICAL REFERENCE

In paddy agriculture, irrigation timing and depth control are the dominant levers for yield stability, water productivity, and input costs. Traditional continuous-flooding regimes rely on manual observation and canal scheduling, which often results in over-irrigation, high pumping energy, and inconsistent field conditions across plots. The Internet of Things (IoT) offers a programmable alternative: distributed, low-power sensors capture hydrologic and microclimatic states; edge devices filter and calibrate those signals; and cloud services persist time-series data, visualize trends, and trigger alerts or actuation.

II.1 ALTERNATE WETTING AND DRYING (AWD) IN RICE IRRIGATION

AWD is a controlled, intermittent irrigation strategy in which paddy fields are allowed to dry down to a pre-set threshold before being re-flooded. Practically, a perforated field water tube is installed; irrigation is withheld until the water table inside the tube drops to a target depth (commonly 10–15 cm below soil surface for "safe AWD"), then water is re-applied to a shallow ponded level [4]. By replacing continuous flooding with cyclical wet–dry phases, AWD preserves root-zone aeration while maintaining sufficient soil moisture for rice growth [16]. Multiple studies report that AWD can reduce irrigation water by ~16–30% versus continuous flooding without penalizing grain yield when thresholds are respected and crop stages (e.g., flowering) are protected from stress [4],[26]. Field deployments that pair AWD with sensor support (automated level detection, cloud alerts) further improve scheduling accuracy and operational consistency, helping smallholders convert theoretical savings into realized water productivity gains [15],[16],[27]. AWD offers a validated pathway to reduce irrigation inputs without yield penalties when safe thresholds and stage-specific safeguards are enforced. The main practical challenge—timely, accurate water-level observation—can be mitigated through low-cost sensing and cloud notifications. AWD offers a validated pathway to reduce irrigation inputs without yield penalties when safe thresholds and stage-specific safeguards are enforced. The main practical challenge—timely, accurate water-level observation—can be mitigated through low-cost sensing and cloud notifications, which strengthen rule compliance, reduce labor, and facilitate scale-out in smallholder rice systems [6],[8],[15].

II.2 IOT FOR PRECISION IRRIGATION: ARCHITECTURES AND TRENDS

II.2.1 Reference Architecture (sensor–edge–cloud)

Contemporary agricultural IoT follows a layered pattern: in-field sensing → edge processing on a low-power controller → backhaul to a cloud service for storage, analytics, visualization, and eventing [5],[22],[24]. The sensor layer measures hydrologic and microclimatic states (e.g., ponded water depth, rainfall, air temperature/relative humidity); the edge layer handles acquisition, filtering, calibration, compression, and duty-cycling; the cloud layer persists time-series data, renders dashboards, runs rules/analytics, and integrates notifications or downstream actuation [5],[8],[15]. This separation improves robustness and allows local autonomy when connectivity is intermittent.

II.2.2 Sensing modalities and design constraints

For paddy fields, non-contact ultrasonic ranging is favored for water-level observation due to turbidity tolerance and simple mechanics; accuracy depends on alignment, mounting geometry, surface agitation, and air-temperature-dependent sound speed, motivating co-measurement of thermo hygrometric context (e.g., DHT20) for compensation [5], [7],[15]. Rain sensors (contact or tipping) provide precipitation flags to disambiguate level changes driven by storms versus irrigation, stabilizing state classification near decision thresholds [15],[18]. Additional options—soil moisture probes, water-pressure transducers are useful in canals or subsurface monitoring but increase calibration and fouling risks. Recent reviews stress that sensor selection and placement dominate data fidelity in agricultural IoT deployments [5],[7],[24].

II.2.3 Communications: Wi-Fi, WSN, and LPWAN.

Connectivity choices trade range, throughput, and energy. Wi-Fi is practical where farmstead routers cover nearby plots; it offers high throughput but higher idle power and shorter range. Wireless Sensor Networks (WSN) using short-range radios form multi-hop meshes over distributed plots to extend coverage while balancing energy and reliability [18],[19]. For dispersed paddies and canal networks, LPWAN (e.g., LoRa/LoRaWAN) provides kilometer-scale links at ultra-low power with small payloads, well matched to periodic telemetry and event messages [13], [14]. Comparative studies highlight that LPWAN plus aggressive duty-cycling maximizes node lifetime, whereas Wi-Fi suits data-rich gateways or edge cameras near power [18],[13],[22].

II.2.4 Calibration, uncertainty, and QA/QC

IoT-based irrigation systems are typically evaluated by comparing sensor readings with ground-truth measurements using statistical metrics such as Mean Square Error (MSE), Root Mean Square Error (RMSE), Mean Absolute Error (MAE) and R^2 obtained from regression analysis [8],[15],[16]. Practical QA/QC includes two-point checks at installation, environmental drift checks (temperature/humidity effects), periodic spot-gauging, and flagging of physically impossible jumps (continuity constraints). Studies underline the need to publish calibration procedures and residual diagnostics for reproducibility [15],[16],[24].

Mean Absolute Error (MAE)

$$MAE = \frac{1}{n}\sum_{i=1}^{n} |W_i - \widehat{W}_i| \tag{1}$$

Coefficient of Determination

$$R^2 = 1 - \frac{\sum(W_i - \widehat{W}_i)^2}{\sum(W_i - \bar{W})^2} \tag{2}$$

III. MATERIALS AND METHODS

This study designs and implements an IoT-based irrigation monitoring system integrating the Alternate Wetting and Drying (AWD) method for rice cultivation in Minahasa, Indonesia. The system employs an ESP32 microcontroller connected to an A02YYUW ultrasonic sensor for water-level detection, a DHT20 sensor for temperature and relative humidity, and an FC-37 rain sensor. Sensor data are processed and transmitted to the ThingSpeak cloud platform and displayed locally on a 0.96-inch OLED module. The device operates autonomously using a 6 V, 3.8 W solar panel together with a rechargeable Li-ion battery (3.7 V, 2000 mAh). The block diagram of the proposed system is presented in Figure 1.

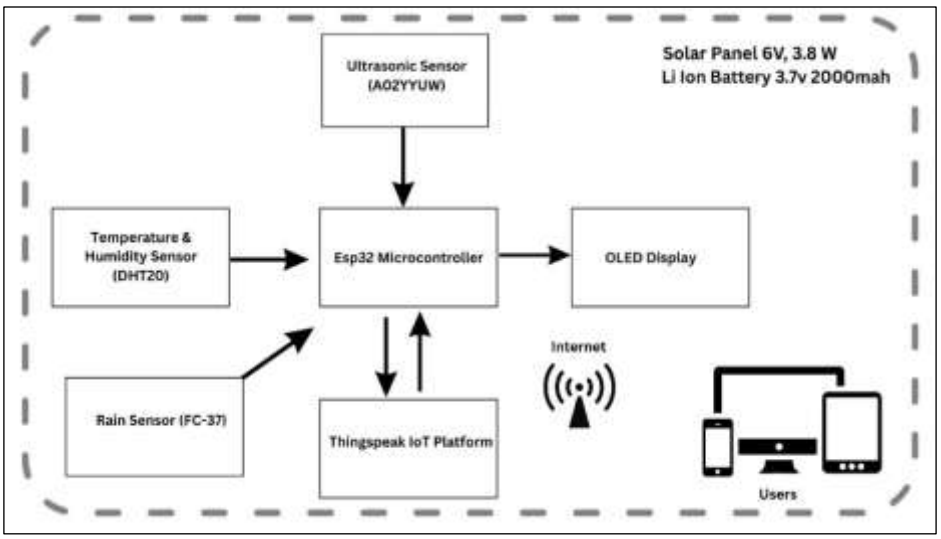


Figure 1: Proposed system architecture.
Source: Authors, (2025)

III.1 PROTOTYPE HARDWARE DESIGN

In Figure 2, the prototype comprises two parts: a monitoring box and a 120 cm long PVC tube. The tube includes a 20 cm perforated section with holes spaced 5 cm apart, allowing subsurface water to enter the tube so that the below-ground water level can be measured.



Figure 2: Prototype Hardware Design.
Source: Authors, (2025).

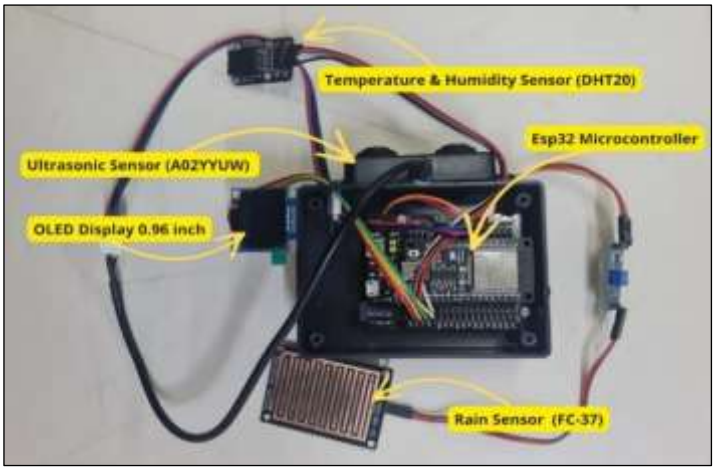


Figure 3: Monitoring Box.
Source: Authors, (2025).

Inside the monitoring box (Figure 3), the system is organized into input, processing, and output components. The inputs comprise an A02YYUW ultrasonic sensor, a DHT20 temperature–humidity sensor, and an FC-37 rain sensor. The processing unit is an ESP32 microcontroller that acquires, filters, and transmits the data. The output is a 0.96-inch OLED display presenting the measured water level, air temperature, relative humidity, and rain status in real time. The processing unit is based on an ESP32 system-on-chip selected for its integrated wireless connectivity, ample processing headroom, and low-power features suited to unattended field deployments. The device provides dual-core processing with hardware support for real-time tasks and includes on-chip Wi-Fi (2.4 GHz) and Bluetooth radios, enabling direct telemetry to the cloud without an external gateway.

Its rich peripheral set—UART (for the A02YYUW ultrasonic sensor), I²C (for the DHT20 and OLED), general-purpose digital I/O (for the FC-37 rain input), hardware timers, and watchdogs—simplifies sensor integration while maintaining deterministic sampling. The A02YYUW is an IP67-rated waterproof ultrasonic ranging module used for non-contact water-level measurement inside the AWD field tube. It operates over a nominal range of approximately 3–450 cm with a blind zone of about 3 cm, providing stable readings in humid, splash-prone paddy environments. The module communicates via a UART interface, enabling direct integration with the ESP32 microcontroller. The sensor emits an ultrasonic pulse and measures the round-trip time of the echo reflected from the water surface (time-of-flight). The instantaneous distance d from the transducer face to the water surface is converted to field water level using a fixed mechanical reference H_{ref} established at installation (the top rim of the AWD tube).
Thus, the instantaneous field water level is:

Water Level

$$W = H_{ref} - d \tag{3}$$

where W is the water level referenced to the soil surface (cm), H_{ref} is the transducer-to-rim offset (100 cm), and d is the measured distance from the transducer to the water surface (cm). In this project, a DHT20 digital sensor measures air temperature (°C) and relative humidity (%) to contextualize evapotranspiration and AWD dry-down dynamics. The device communicates over I²C, enabling a direct interface with the ESP32 alongside the OLED display. The third sensor is the FC-37 rain sensor, used to detect precipitation and to distinguish water-level changes caused by rainfall from those caused by irrigation. The module comprises a plated sensing pad and a comparator board that provides a digital rain flag ($R \in \{0,1\}$) to the ESP32. The pad is mounted on a short horizontal standoff at the top

of the monitoring enclosure, projecting slightly beyond the case to intercept free-falling droplets while minimizing splash from the AWD tube. The cable ingress is sealed, and the pad is installed with a slight tilt (5–10°) to promote runoff and reduce water pooling. The system's local output is a 0.96-inch OLED display. The module interfaces with the ESP32 over an I²C serial bus, enabling real-time presentation of readings from the three sensors water level, air temperature, relative humidity, and rain status. The display also provides on-device AWD alerts, with the state encoded for quick interpretation: 0 = Normal, 1 = Low (re-irrigate), and 2 = High (excess ponding).

III.1 SOFTWARE SYSTEM

The software system of the irrigation monitoring prototype is designed to manage data acquisition, processing, transmission, and visualization through an integrated embedded–cloud framework based on the ESP32 microcontroller and the ThingSpeak cloud platform. ThingSpeak serves as the IoT data aggregation and analytics platform for this system. It supports both HTTP and MQTT communication protocols, enabling efficient and lightweight data transmission from the ESP32.

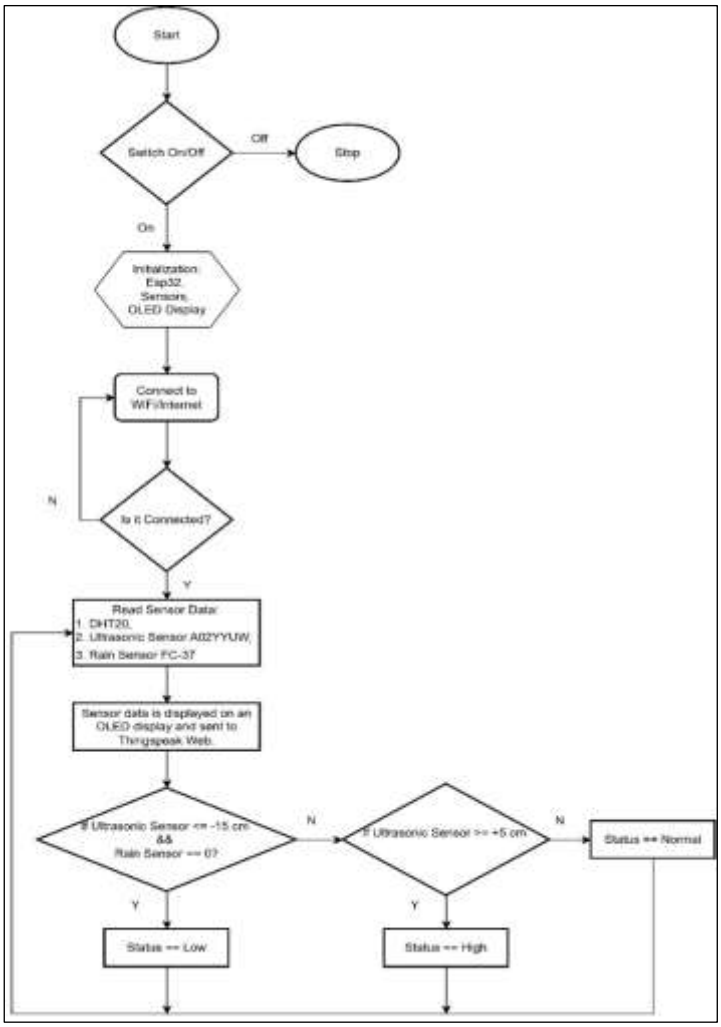


Figure 4: Flowchart of The Project.
Source: Authors, (2025).

Each measurement cycle, the system uploads sensor data including water level, air temperature, relative humidity, rain flag, AWD classification, battery voltage, and signal strength to the designated ThingSpeak channel. The platform provides real-time dashboards for visualization and supports event-based triggers that automatically send alerts via email or SMS when certain thresholds are reached (e.g., when the field becomes too dry or overly flooded). This integration allows continuous monitoring and real-time decision support for farmers implementing the AWD method. The software operation sequence is depicted in Figure 4, starting with an initialization stage where the ESP32 microcontroller configures all sensors. The microcontroller establishes UART communication with the A02YYUW ultrasonic sensor, I²C communication with both the DHT20 sensor and OLED display, and digital input with the FC-37 rain sensor. After initialization, the ESP32 attempts to connect to the Wi-Fi network.

If the connection succeeds, the system proceeds to the sensing stage; otherwise, it continues local measurements and retries the Wi-Fi connection periodically using a back-off delay to reduce power consumption. In the data acquisition stage, the ESP32 reads the outputs of all sensors sequentially. The ultrasonic sensor measures the distance between the sensor and the water surface (d), which is converted to the water level using the equation (1). The DHT20 provides air temperature and relative humidity, while the FC-37 rain sensor generates a digital flag ($R \in \{0,1\}$) indicating the presence or absence of rainfall. Each measurement is processed through a median filter (3–5 samples) to eliminate random noise and improve stability. During data processing, the system executes the AWD decision algorithm, which classifies irrigation conditions into three levels: High (2): $W \geq 5$ cm (excess water; drainage recommended), Normal

(0): water level within the AWD safe range, Low (1): $W \leq -15$ cm and $R = 0$ (soil drying; irrigation needed). After data processing, all readings including timestamp, water level, temperature, humidity, rainfall status, and alert status are transmitted to ThingSpeak via an HTTP POST request. If data transmission fails due to network instability, the system temporarily stores the measurements in local memory and retransmits them during the next communication cycle. The updated information is visualized on the ThingSpeak dashboard, and alerts are automatically generated when predefined thresholds are reached. After completing each cycle, the ESP32 enters deep-sleep mode to conserve energy. This continuous loop of sensing, processing, and transmission ensures reliable, low-power operation of the system under real field conditions.

IV. RESULTS AND DISCUSSIONS

The prototype system was installed in one of the rice field plots located in Minahasa, North Sulawesi, Indonesia, with a total area of approximately 331.44 m². In Figure 5, the AWD tube was placed at the center of the plot to ensure representative measurement of the field's average water level. The control unit houses the ESP32 microcontroller, the A02YYUW ultrasonic sensor, the DHT20 temperature–humidity sensor, the FC-37 rain sensor, and the 0.96-inch OLED display, all enclosed within a weatherproof box. This design allowed the system to withstand exposure to rain, and wind while maintaining stable performance.



Figure 5: Field Installation of the Prototype.
Source: Authors, (2025).

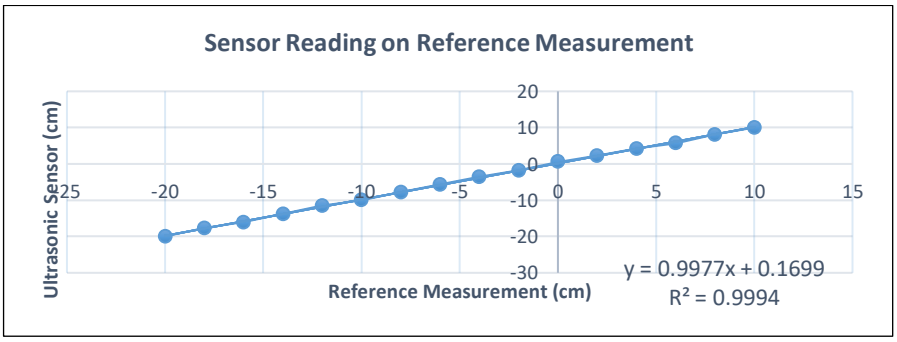


Figure 6: Correlation between Ultrasonic Sensor Reading and Reference Measurement.
Source: Authors, (2025).

The A02YYUW ultrasonic sensor was calibrated against manual reference measurements to verify accuracy in field conditions. During calibration, measurements were taken at several water levels within the AWD tube, ranging from −20 cm (below soil surface) to +10 cm (above ground level). The resulting correlation between sensor readings and reference measurements is shown in Figure 6, while statistical results are summarized in Table 1. The linear regression analysis between the sensor and reference readings yielded an R^2 value of 0.9994, indicating an almost perfect correlation. The low MAE (0.18 cm) and RMSE (0.24 cm) confirm that the sensor consistently produced accurate measurements under field conditions. The computed MAPE of 3.22% and overall accuracy of 96.78% are well within acceptable limits for agricultural monitoring applications. These results are comparable to previous works by [18],[20], who reported errors below 1% in controlled environments using similar low-cost ultrasonic sensors. The performance stability observed in varying weather conditions (direct sunlight, rainfall, and humidity) further demonstrates the robustness of the A02YYUW sensor when integrated with the ESP32 microcontroller. The stable signal quality was aided by the short sampling period and internal median filtering implemented in the firmware to eliminate spikes caused by surface ripples and wind interference.

Table 1: Field Testing Results.

Summary Metrics	Test Results
MAE	0.18
MSE	0.05
RMSE	0.24
R^2	0.9994
MAPE (%)	3.22
Percentage accuracy (%)	96.78

Source: Authors, (2025).

Following the International Rice Research Institute (IRRI) guidelines, the AWD practice used in this research involved interrupting irrigation after the flooding stage and reapplying it once the water level in the AWD tube dropped to about −15 cm below ground level. After re-irrigation, the ponded water was allowed to increase up to +5 cm above the soil surface, completing one alternation of wetting and drying [2],[28]. This cyclical management promotes intermittent aeration of the soil, reducing water consumption by up to 30% while maintaining grain yield and plant health. In this implementation, the AWD monitoring tube was installed vertically at the center of the plot to ensure representative measurement of the average ponding condition. The tube was perforated over a 20 cm section near its base to allow lateral water exchange between the surrounding soil and the inner tube column. The system operated autonomously throughout several AWD cycles. During each cycle, the water level fluctuated between −15 cm (dry threshold) and +5 cm (wet threshold), consistent with IRRI's recommended AWD regime. When the water level fell below −15 cm, the system automatically classified the state as *Low* and triggered a re-irrigation alert through the ThingSpeak platform. Once irrigation resumed and the level exceeded +5 cm, the state transitioned to *High*, prompting the user to stop irrigation. The automated detection and alert mechanism successfully guided irrigation scheduling during all observed cycles.

Figures 7 present the real-time monitoring data transmitted from the IoT-based AWD irrigation prototype to the ThingSpeak cloud platform. The system recorded and visualized five main parameters: water level, air temperature, relative humidity, rainfall status, and alert status, each represented in separate fields configured on the ThingSpeak dashboard. The water-level chart (Field 1) shows small fluctuations around 5.0 cm, corresponding to changes in the ponding depth measured inside the AWD tube. These variations represent the minor surface ripples and response sensitivity of the A02YYUW ultrasonic sensor. The threshold range for AWD operation was defined as ≤ −15 cm (dry limit) and ≥ +5 cm (flood limit); the recorded data in this test remained near the flooded condition, consistent with the *High* AWD state. The temperature chart (Field 2) illustrates a gradual decline from 22.7 °C to 22.5 °C, reflecting the natural cooling trend during the nighttime monitoring period. Meanwhile, the humidity chart (Field 3) shows fluctuations between 96% and 97%, which align inversely with temperature changes, confirming the sensor's responsiveness and stability in humid paddy field conditions. The rain status chart (Field 4) provides a binary signal: *0* indicates no rainfall, and *1* denotes precipitation detected by the FC-37 rain sensor. A rain event was recorded shortly after 20:10, confirming the sensor's functionality and helping distinguish natural rainfall from irrigation-driven water level changes.

The alert status chart (Field 5) reflects automatic classification results generated by the ESP32 firmware. The system identifies three irrigation states based on AWD thresholds: Low (1) when the water level is ≤ −15 cm, indicating the field requires re-irrigation, Normal (0) when the water level is between −14 cm and +4 cm, representing stable soil moisture, High (2) when the water level is ≥ +5 cm, signaling over-irrigation. Each detected state is uploaded to ThingSpeak via HTTP POST requests and visualized both numerically and through a color-coded alert indicator, as shown in Figure 7. A green indicator represents the *Normal* condition (safe AWD range), while a red indicator signals a *critical condition* requiring user attention. The system distinguishes between two red states: Low-water condition (≤ −15 cm): dry soil—irrigation required High-water condition (≥ +5 cm): excessive flooding—irrigation should be stopped. This visual alert system enhances the usability of the IoT platform by translating sensor data into intuitive, color-coded feedback that can be quickly interpreted by farmers in the field. The notification is automatically synchronized with the ESP32's internal AWD logic, ensuring that every color change corresponds precisely to a real-time event in the field.

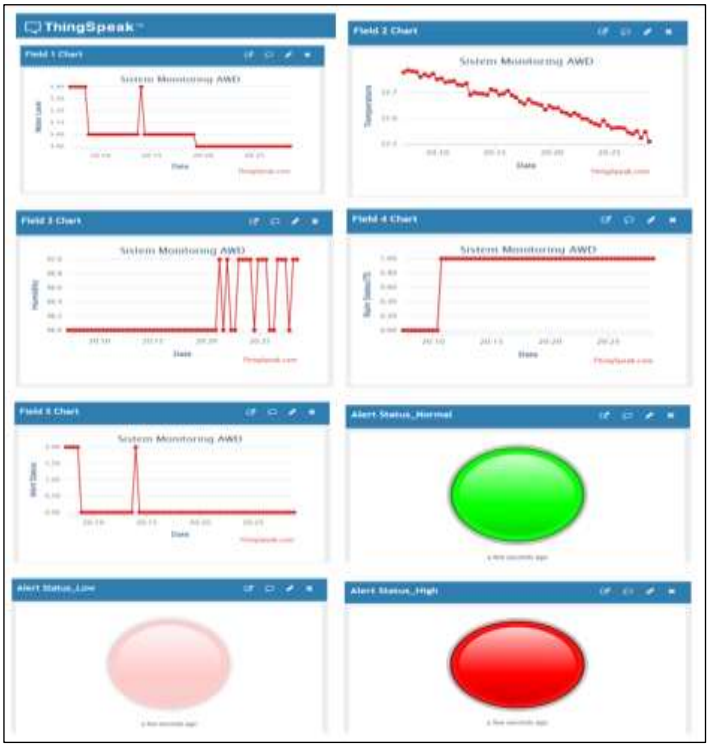


Figure 7: ThingSpeak Data Visualization.
Source: Authors, (2025).

A key advancement introduced by this study compared with previous IoT-based AWD implementations lies in the inclusion of additional environmental parameters, specifically air temperature, relative humidity, and rainfall detection. For example, [15] developed an automated irrigation system for AWD rice fields based solely on soil moisture and ultrasonic sensors, without integrating atmospheric or rainfall monitoring modules. Similarly, [16] implemented a LoRa-enabled AWD irrigation network that relied exclusively on water-level measurements from pressure transducers, with no sensing components for rainfall, temperature, or humidity. In contrast, the present prototype employs a multi-sensor architecture that combines: an A02YYUW ultrasonic sensor for non-contact water-level measurement, a DHT20 sensor for temperature and relative humidity monitoring, and an FC-37 rainfall sensor for direct precipitation detection. This configuration allows the system to differentiate between water-level changes caused by irrigation and those caused by rainfall, thereby preventing false alerts during natural rain events. Moreover, the inclusion of temperature and humidity sensing provides additional contextual data for evapotranspiration analysis, making irrigation recommendations more adaptive to real-time environmental conditions.

V. CONCLUSIONS

This study designed, developed, and field-tested an IoT-based irrigation monitoring prototype implementing the Alternate Wetting and Drying (AWD) method for rice cultivation in Minahasa, Indonesia. The system integrates an ESP32 microcontroller with an ultrasonic water-level sensor (A02YYUW), a DHT20 temperature–humidity sensor, and an FC-37 rainfall sensor. Field experiments conducted in a 331.44 m² rice plot demonstrated high accuracy, achieving $R^2 = 0.9994$, MAE = 0.18 cm, RMSE = 0.24 cm, and MAPE = 3.22% (accuracy 96.78%). The system effectively identified AWD thresholds (≤ -15 cm and $\geq +5$ cm) and provided real-time alerts and data visualization via the ThingSpeak cloud platform. Future work will focus on improving system scalability, integrating automated irrigation control, and applying AI-based prediction models to further optimize water use efficiency and crop yield performance.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar
Methodology: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar
Investigation: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar
Discussion of results: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar
Writing – Original Draft: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar
Writing – Review and Editing: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar
Resources: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar
Supervision: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar
Approval of the final text: Ryan Laksmana Singgeta, Lianly Rompis and Ignatia Rosali Honandar

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ITEGAM-JETIA

Manaus, v.11 n.56, p.360-365. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2890

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

INFLUENCE OF IMPACT ANGLE ON MASS LOSS BEHAVIOUR OF SUPER 304HCu STAINLESS STEEL UNDER AIR JET EROSION CONDITIONS

M. Balachandar*[1] and M. Vinoth Kumar[2]

[1,2] Department of Mechanical Engineering, Hindustan Institute of Technology and Science, Chennai, Tamil Nadu, India - 603103.

[1]http://orcid.org/ 0000-0002-8223-4948, [2]http://orcid.org/0000-0003-2813-7095

Email: *balachandar2k1@gmail.com, vinothmecho@gmail.com

ARTICLE INFO

Article History
Received: November 5, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Super 304HCu,
Boilers,
Air Jet Erosion,
Stainless steels.

ABSTRACT

Super 304HCu is a boiler-grade advanced austenitic stainless-steel material, used in heat exchangers for its resistance to oxidation and corrosion at high temperatures. The air jet erosion test is used to investigate the erosion behaviour of super 304HCu under various angles of impact. The samples are eroded in a test rig at different impact angles, under a constant impact velocity of 60 m/s and a particle feed rate of 3 g/min at ambient temperature, for 5 minutes. The mass loss is found to be 10 times higher at a low angle of impact (15°) than at the higher angles (>30°). The mass loss behaviour of the Super 304HCu is typical of a ductile material and the mass loss observed is compared with similar grades of stainless steel.

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I. INTRODUCTION

Super 304HCu is a relatively new grade of austenitic stainless steel containing copper as an alloying element developed to provide adequate resistance to high-temperature oxidation and creep [1], [2]. Super 304HCu is used as a construction material in superheaters for ultra-supercritical boilers in the form of tubes and walls. Air jet erosion is a significant concern in power plant engineering systems, as it leads to material loss and surface degradation [3-5]. In coal-fired power plants, the boiler tubes and walls are prone to severe degradation by air jet erosion while coming in contact with high-velocity particulate matter like fly ash [6-8]. The mechanical interactions of particles with materials will cause severe material loss, and this can also be further complicated by erosion-corrosion interactions. Erosion in stainless steels is primarily caused by the mechanical action of solid particles impacting the material surface at high velocity. The variables like angle of impact, speed, particle size, and ductility of the material all affect the erosion rate of the material. An air jet erosion test can simulate erosive conditions in a laboratory environment, which involves using an air jet to propel abrasive particles at the material surface and measure the material loss [5].

It is effective in providing insights into the erosion mechanisms and the relative erosion resistance of different materials. The results from the air jet erosion test can help in understanding the material's behaviour under various impact angles, making it a valuable tool for assessing erosion performance [9], [10]. Erosion testing using air jets is a reliable method for evaluating the erosion resistance of materials, providing valuable data for understanding and improving material performance in erosive environments [11], [12]. The failure mechanisms during erosion wear are identified as lip formation, cutting, ploughing, spalling, and phase transformations, which are operative in different regions of wear [9], [13]. Many researchers had explored the relationship between mechanical properties such as hardness and erosion resistance and reported that increased hardness improved erosion resistance [13-15]. However, the number of studies on the erosion behaviour of Super304HCu is scanty. This paper investigates the effect of angle of impact on the erosive behaviour of Super 304HCu stainless steel in an air jet erosion test rig.

II. MATERIALS AND METHODS

Super 304HCu stainless steel tubes with hardness value of 170 HV and chemical composition as specified in Table 1 is used in this investigation. Samples for air jet erosion test, measuring 20X20X3.5 mm, were extracted from tubes of Super 304HCu in as-received condition. The solid particle air jet erosion tests were performed using an air jet erosion testing apparatus in accordance with the ASTM G76-18 standard, Figure 1.

Table 1: Chemical composition (wt %) of super 304HCu stainless steel.

C	Si	Mn	P	Cr	Ni	N	Cu	Nb
0.09	0.23	0.81	0.021	18.18	9.06	0.095	3.08	0.045

Source: Authors, (2025).

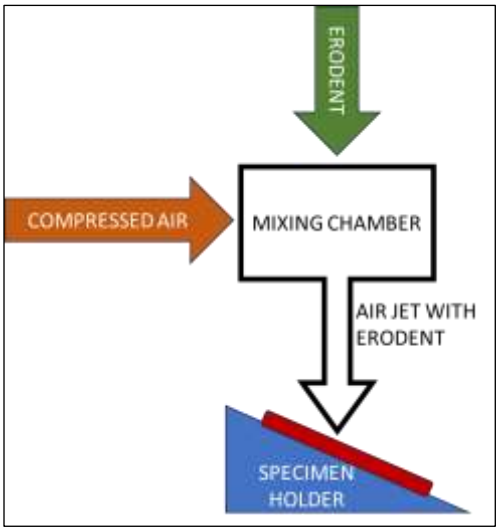


Figure 1: Schematic arrangement of the air jet erosion setup.
Source: Authors, (2025).

Alumina particles of 50 µm (approx.) in size were employed as the solid particle erodent. The rig uses a particle feeder to supply a stream of compressed air jets mixed with erodent particles at high velocity, regulated through a nozzle that is 55 mm long and has an inner diameter of 1.5 mm. A stand-off distance of 10 (+/- 1) mm was maintained between the specimen surface and the nozzle. After accelerating through the nozzle, the particles finally strike the fixed sample on the sample holder. The angle of impact is varied by angling the surface of the sample with respect to the jet direction. The samples were eroded in the rig at different impact angles of study, under a constant impact velocity of 60 m/s and a particle feed rate of 3 g/min, at ambient temperature for 5 minutes (Figure 2).



Figure 2: Photograph of specimens eroded at different angles of impact.
Source: Authors, (2025).

To calculate the weight loss after the erosion test, the samples were cleaned in acetone, dried, and weighed before and after the test. The difference in weight before and after the test was calculated and recorded as the weight loss in the sample per unit weight (g) of the particles used for eroding the sample. The erosion scars of the samples were examined using a macroscope (10X) and the dimensions of the scars were measured using an image analysis software for circularity calculations. Scanning electron microscopy (SEM) was used to study the abrasive scar patterns on the surface of the eroded samples.

III. RESULTS

Figure 3 exhibits the variation in the size and shape of the erosion scar on the sample tested under various angles of impact. The erosion mark is elliptical in shape at lower impact angles and turns to a circular shape as the angle increases to become normal to the impact. The circularity of the erosion scar (C) is calculated using the expression $C=4\pi$ x (A/P^2), where A is area of scar and P is perimeter of the scar [16].

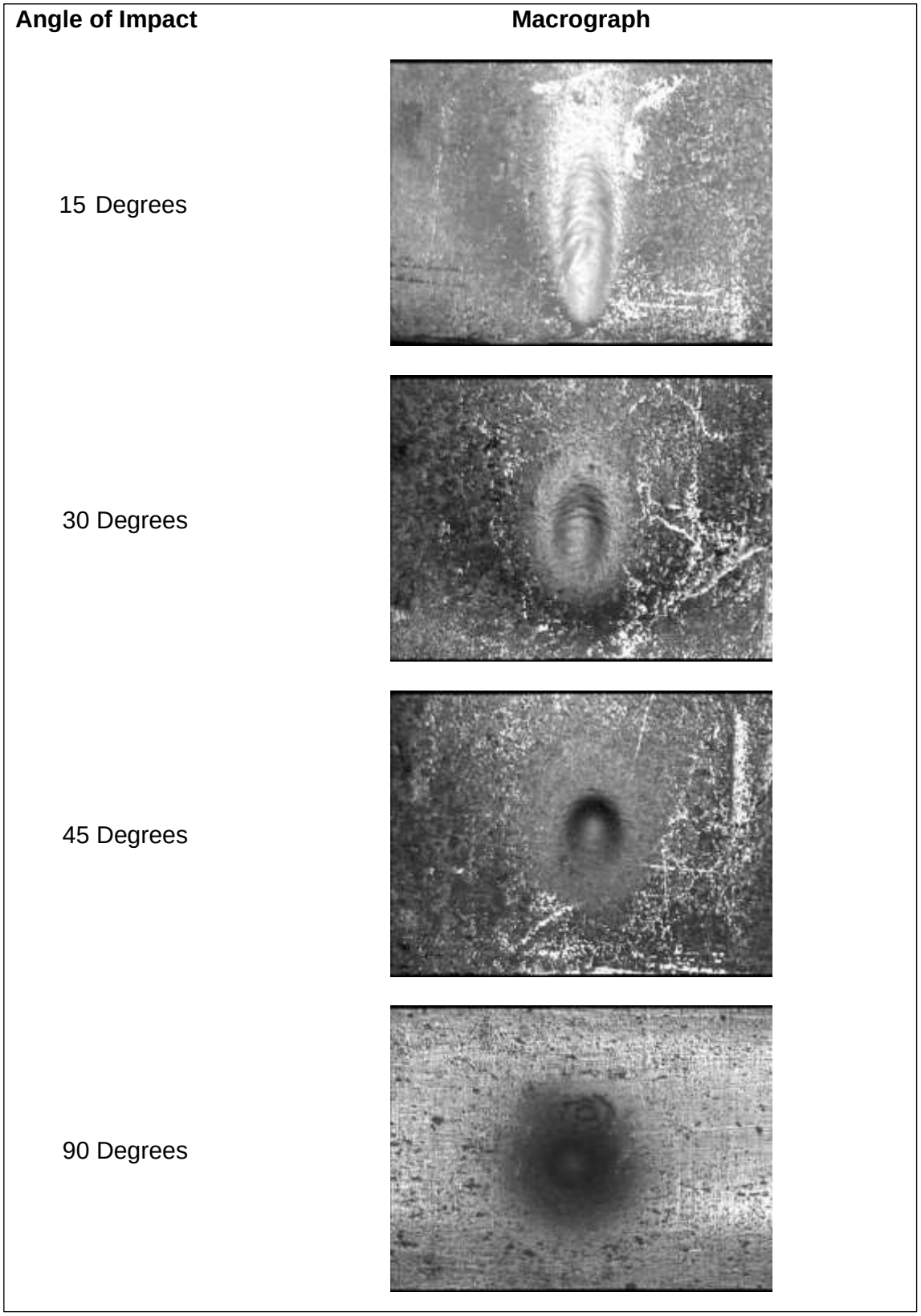


Figure 3: Scanned images of specimen surface eroded at different angles of impact.
Source: Authors, (2025).

Figure 4 depicts the changes in the circularity of the erosion scar at various angles of impact. A circularity value close to unity, depicts a circular scar and a lesser value corresponds to an elliptical scar. The mass loss vs the angle of impact curve (Figure 5a) shows a steep decrease in the mass loss after a 15° angle of impact, while the mass loss remains steady in the impact angles after 30° up to 90°. The mass loss curve of Super 304HCu is typical of a ductile material's erosion behaviour [17]. The mass loss continues to decrease at greater impact angles (>30°), Figure 5b. The test reveals the ductile wear behaviour of Super 304HCu material with a peak erosion rate at a grazing angle (15°), followed by a steep decline with an increase in the angle of impact. The SEM images of the surface of eroded samples at lower and higher angles of impact (Figure 6) reveal the change in erosion mechanisms with change in angle of impact.

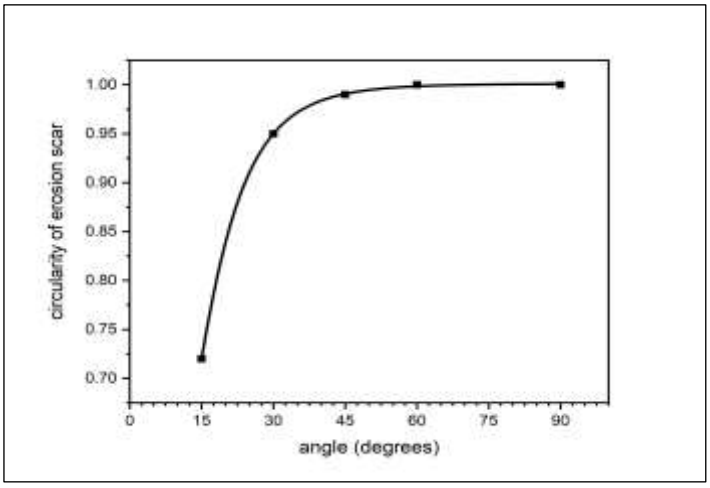
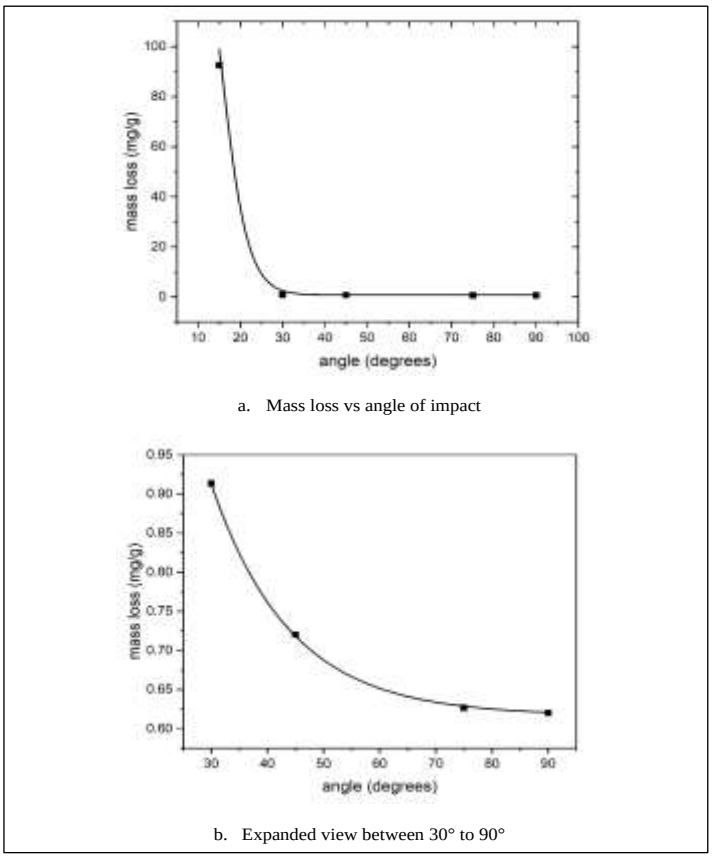


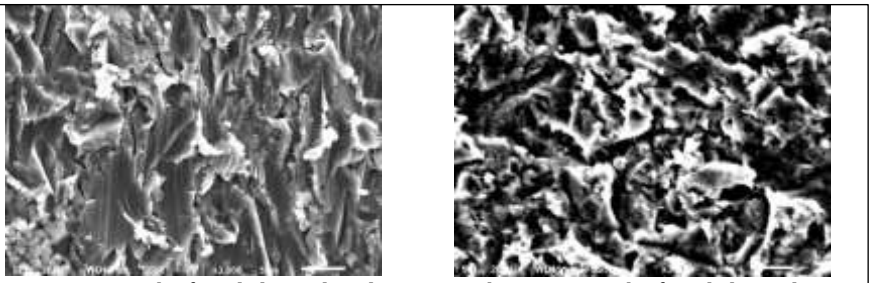
Figure: 4 Relationship graph between the circularity of erosion scar and the angle of impact.
Source: Authors, (2025).



a. Mass loss vs angle of impact

b. Expanded view between 30° to 90°

Figure 5: Relationship graph between the mass loss and angle of impact.
Source: Authors, (2025).



a. Fractograph of eroded sample at low impact angle (15°)

b. Fractograph of eroded sample at high impact angle (90°)

Figure 6: SEM images sample surfaces eroded at different angle of impact.
Source: Authors, (2025).

IV. DISCUSSIONS

The mass loss pattern of Super 304HCu was typical of ductile material and is in compliance with similar grades of stainless steel. The circularity of the scar can provide evidence of the severity of the erosion mechanism active in the region. A less circular, elliptical scar (C<1) can indicate a severe, highly localized erosion of material, aided by the angle of impact. In contrast, a more circular scar (C=1) will be a result of more uniform erosion by the particles impacting the sample normal to the surface, and these particles obstruct the flight path of the particles following them on their rebound, lowering the energy of the impacting particles [18]. The wear surface of the specimen tested at a grazing angle of 15° evidences the extreme ploughing and shear lip formation mechanism by hard abrasive particles active at this angle, along with easy debris removal aided by the lower impact angle, Figure 6a. Meanwhile, the evidence for the lower material loss at higher angles, with mechanisms such as indentation and microcutting, is evidenced in Figure 6b. The normal angle of impact resulted in blunting of wear tracks similar to blasting, inducing compressive stress on the worn surface and thereby decreasing the mass loss at higher angles of impact. The variation in mass loss at different impact angles may also be attributed to the martensite phase transformation of austenite in the eroding region and needs further investigation [6]. The investigation on erosion behaviour of super 304HCu confirmed the large dependence of the angle of impact of erodent on the mass loss of the samples. The mass loss at a gazing angle of 15° was 10 times higher than the mass loss at angles greater than 30°.

V. CONCLUSIONS

The investigation on erosion behaviour of super 304HCu confirmed the large dependence of angle of impact of erodent to the mass loss of the samples. The mass loss was 10 times higher at the gazing angle of 15° than that of the higher angles greater than 30°. The mass loss pattern was typical of ductile material, and is compliant with similar grades of stainless steels.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: M. Balachandar and M. Vinoth Kumar
Methodology: M. Balachandar and M. Vinoth Kumar
Investigation: M. Balachandar and M. Vinoth Kumar
Discussion of results: M. Balachandar and M. Vinoth Kumar
Writing – Original Draft: M. Balachandar and M. Vinoth Kumar
Writing – Review and Editing: M. Balachandar and M. Vinoth Kumar
Resources: M. Balachandar and M. Vinoth Kumar
Supervision: M. Balachandar and M. Vinoth Kumar
Approval of the final text: M. Balachandar and M. Vinoth Kumar

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Journal of Engineering and Technology for Industrial Applications

ITEGAM-JETIA

Manaus, v.11 n.56, p.366-374. November/December, 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2897

ISSN ONLINE: 2447-0228

RESEARCH ARTICLE OPEN ACCESS

ITERATIVE FEEDBACK–OPTIMIZED IHS PANSHARPENING: APPLICATION TO IKONOS IMAGERY

Ghadjati Mohamed[1], Bouchemel Ammar[2], Mehallel Elhadi[3] and Moussaoui Abdelkrim[4]

[1]Laboratoire de Génie Électrique de Guelma (LGEG), Department of Electronics and Telecommunications, Faculty of Science and Technology, Université 8 mai 1945, BP 401, Guelma 24000, Algeria.
[2]Advanced Control Laboratory (LABCAV), Department of Electronics and Telecommunications, Faculty of Science and Technology, Université 8 mai 1945, BP 401, Guelma 24000, Algeria.
[3]Laboratory of Telecommunication and Smart Systems (LTSS), Faculty of Science and Technology University of Djelfa, PO Box 3117, Djelfa 17000 Algeria.
[4]Laboratoire de Génie Électrique de Guelma (LGEG), Department of Automatic and Electrotechnical Engineering, Faculty of Science and Technology, Université 8 mai 1945, BP 401, Guelma 24000, Algeria.

[1]https://orcid.org/0000-0001-8298-5736, [2]https://orcid.org/0000-0002-2861-4819
[3]https://orcid.org/0000-0001-7488-162X, [4]https://orcid.org/0000-0002-8870-8809

Email: ghadjati.mohamed@univ-guelma.dz, bouchemel.ammar@univ-guelma.dz, e.mehallel@univ-djelfa.dz, moussaoui.abdelkrim@univ-guelma.dz

ARTICLE INFO

Article History
Received: November 6, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:

Image fusion,
Pansharpening,
feedback optimization,
low-pass filtering,
QNR index.

ABSTRACT

Intensity-Hue-Saturation (IHS) is a component-substitution method that employs mathematical transformation between IHS and Red-Green-Blue (RGB) color domains to transfer spatial detail from the panchromatic image to the resampled multispectral bands. In this study, an iterative feedback-optimized approach is proposed to enhance the IHS pansharpening method. This approach starts by applying a low-pass filter to the output of the IHS fusion, resulting in an updated low-resolution multispectral image. This image is then reintroduced into the IHS fusion process, and the steps are repeated until a predefined quality threshold, measured by the Quality with No Reference (QNR) index, is achieved. The mathematical analysis demonstrates that this iterative approach transfers spatial details from the panchromatic image to the multispectral bands gradually over multiple iterations, in contrast to the standard IHS method where this detail injection occurs in a single step. This allows controlled and data-driven enhancement of spatial information. Experiments using IKONOS satellite images show that the proposed approach consistently improves the fusion quality of IHS pansharpening both numerically and visually, compared to the standard IHS algorithm and to two alternative baseline methods: Principal Component Analysis (PCA) and High-Pass Filtering (HPF).

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I. INTRODUCTION

Pansharpening is an image fusion technique, operating at the pixel level, that combines the satellite multispectral (MS) and panchromatic (PAN) images to create a new multispectral image with the details of the PAN image. The importance of pansharpening comes from its power to create images that combine the spatial clarity of PAN images with the spectral richness of MS images, resulting in colored image with clearer objects which is crucial for accurate analysis and interpretation in various applications. These applications include environmental monitoring, urban planning, agriculture, and disaster management, where precise and detailed imagery is essential for making informed decisions and conducting comprehensive analyses.

There are many ways to categorize pansharpening methods. One simple classification by Schowengerdt [1] divides them into three categories: spectral domain techniques (like PCA and IHS) [2], spatial domain techniques (such as HPF and high–frequency modulation [3] and high frequency modulation (HFM) [1], and scale–space techniques (like wavelet–based methods). Amro et al. (2011) [4] categorize pansharpening methods into the following families: the component substitution (CS) family, which includes PCA, IHS, and Gram-Schmidt (GM) methods [5]; the relative spectral contribution (RSC) family, with methods like the Brovey transform (BT) [6]; the high–frequency injection family, including HPF and HFM methods; the multiresolution family, based on wavelet transforms, including Mallat's algorithm [7–11] and the 'à trous' algorithm (ATW) [12]; and fusion methods based on image statistics, like the Price method [13], [14]. Pohl and Van Genderen [15] proposed a recent classification of pansharpening methods into six main groups. The first is component substitution, including methods like IHS. The second is numerical methods, which use basic operations such as addition, subtraction, multiplication, and ratio between image bands. Brovey Transform (BT) is a popular example. The third is statistical fusion, using methods like principal component analysis (PCA). The fourth is multiresolution techniques, based on tools like the wavelet transform. The fifth group is hybrid methods, which combine two or more of the earlier approaches, such as Wavelet–PCA or Wavelet–IHS. Lastly, there are advanced methods, which go beyond traditional techniques. These include sparse representation and compressed sensing [16–19], Bayesian methods [20], and variational approaches [21]. For more details, see Alparone et al. [22]. In recent years, deep learning (DL) has played a key role in many research areas, thanks to advances in computer hardware and algorithms. The first use of DL in pansharpening dates back to 2015, with an autoencoder model introduced by Huang et al. [23]. Since then, several DL techniques have been applied to pansharpening, including convolutional neural networks (CNNs) [24–32], residual networks [33, 34], deep Laplacian pyramid networks (LapSRN) [35], [36], and generative adversarial networks (GANs) [37]. For more on machine learning in pansharpening, see Deng et al. [38]. This paper is divided into six sections. The next section gives a brief overview of the classical IHS fusion method. Section III introduces the proposed technique for improving the IHS pansharpening method. In section IV, a detailed mathematical modeling and analysis are presented in order to obtain a deep understanding of how the proposed techniqe works. In Section V, the enhancing method is tested and evaluated using IKONOS images, and the results are discussed both visually and with numerical measures. Finally, Section VI presents the conclusions and future directions.

II. IHS METHOD

Intensity-Hue-Saturation (IHS) transformation is a transformation between color spaces that converts a three-band image from the RGB (Red–Green–Blue) color space to the IHS (Intensity–Hue–Saturation) color space. Hence, it can be noticed that this method is limited to the fusion of images with only three spectral bands. The basic concept underlying this method is the capability of the IHS transformation to separate the spatial information into the intensity component (I). The mathematical model, along with various variants of this method, is presented in detail in [39]. Furthermore, the authors in [6] provided a generalized version of IHS method to images with more than three spectral bands, termed Generalized IHS (GIHS), where the Intensity component (I) is computed using the arithmetic mean across all bands. Hence, after stretching the PAN image to have the mean and variance of the intensity component, the fused image (HMS) is obtained through the diagram shown in the forward section of Figure 1, or equivalently by applying the following expression [40]:

$$\mathrm{HMS} = \mathrm{LMS} + \left(\mathrm{PAN} - I\right) \tag{1}$$

Where $I = \left(1/L\right)\sum_{l=1}^{L} \mathrm{LMS}_l$ is the intensity component, and LMS refers to the low-resolution multispectral image at the size of the PAN image (unlike the MS image of the original size before upsampling). Note that LMS is a multiband image, while PAN and I are single-band images. Therefore, the image (PAN – *I*) is added to each band of the LMS image.

III. PROPOSED TECHNIQUE FOR IMPROVING THE IHS METHOD

As shown in Figure 1, the proposed technique consists of two main sections: the forward section and the feedback section. The forward section implements the IHS method for image fusion. The feedback section applies low-pass filtering to the fused image and feeds it back into the process to iteratively enhance the fusion. This process is repeated until the optimal fused image is achieved, based on a selected quality assessment criterion. Moreover, we note that the quality assessment criterion used in this paper, denoted by Q in the figure, is the QNR index (Quality with No Reference) given by the following expression [41]:

$$QNR = \left(1 - D_{\lambda}\right)\left(1 - D_{S}\right) \tag{2}$$

Where D_λ and D_S represent the spectral distortion and spatial distortion indices, respectively, defined as follows:

$$D_{\lambda} = \sqrt{\frac{1}{L\left(L-1\right)}\sum_{l}^{L}\sum_{\substack{r=1 \\ r\neq l}}^{L}\left|Q\left(\mathrm{HMS}_l, \mathrm{HMS}_r\right) - Q\left(\mathrm{MS}_l, \mathrm{MS}_r\right)\right|} \tag{3}$$

$$D_{S} = \sqrt{\frac{1}{L}\sum_{l=1}^{L}\left|Q\left(\mathrm{HMS}_l, \mathrm{PAN}\right) - Q\left(\mathrm{MS}_l, \mathrm{PAN}^{lp}\right)\right|} \tag{4}$$

Where HMS refers to the fused image, MS to the original low-resolution multispectral image (i.e., with the original size), and PAN refers to the panchromatic image. The PAN^{lp} image is obtained by applying, to the panchromatic image, a lowpass filter with a normalized cutoff frequency at the resolution ratio, designed to match the Modulation Transfer Function (MTF) of the panchromatic sensor, followed by decimation. Note that, in Equations (2) and (3), *Q* denotes the *Q*–index defined in [42] as follows:

$$Q = \frac{\sigma_{xy}}{\sigma_x \sigma_y} \cdot \frac{2\bar{x}.\bar{y}}{(\bar{x})^2 + (\bar{y})^2} \cdot \frac{2\sigma_x \sigma_y}{\sigma_x^2 + \sigma_y^2} \tag{5}$$

Where $\bar{x}$ and $\bar{y}$ represent the arithmetic mean over the spectral bands of *x* and *y* images, given by:

$$\bar{x} = \frac{1}{L}\sum_{i=1}^{L} x_i \quad , \quad \bar{y} = \frac{1}{L}\sum_{i=1}^{L} y_i \tag{6}$$

The quantities σ_x^2 and σ_y^2 represent the variances of *x* and *y* images given by:

$$\sigma_x^2 = \frac{1}{L-1}\sum_{i=1}^{L}(x_i - \bar{x})^2 \quad , \quad \sigma_y^2 = \frac{1}{L-1}\sum_{i=1}^{L}(y_i - \bar{y})^2 \tag{7}$$

Furthermore, the covariance between the two images x and y is obtained using the following expression:

$$\sigma_{xy} = \frac{1}{L-1}\sum_{i=1}^{L}(x_i - \bar{x})(y_i - \bar{y}) \tag{8}$$

The dynamic range of Q-index is $[-1,1]$.

It is worth noting that the authors in [43], [44] have proposed techniques similar to our enhancement approach, referred to as IPCA and IIHS, respectively. However, the key difference between their methods and the one proposed in this work lies in how the high-frequency details from the PAN image are incorporated. In the IPCA and IIHS approaches, a high-pass filter is applied in the forward section to extract high-frequency components from the PAN image, which are then injected into the PC1 or I component. In contrast, our method replaces the entire component with the PAN image, resulting in a different fusion strategy. The following section provides the mathematical details of the IHS method combined with the proposed enhancement technique as illustrated in Figure 1. The final mathematical expression describing this process gives a clear interpretation of how the technique works.

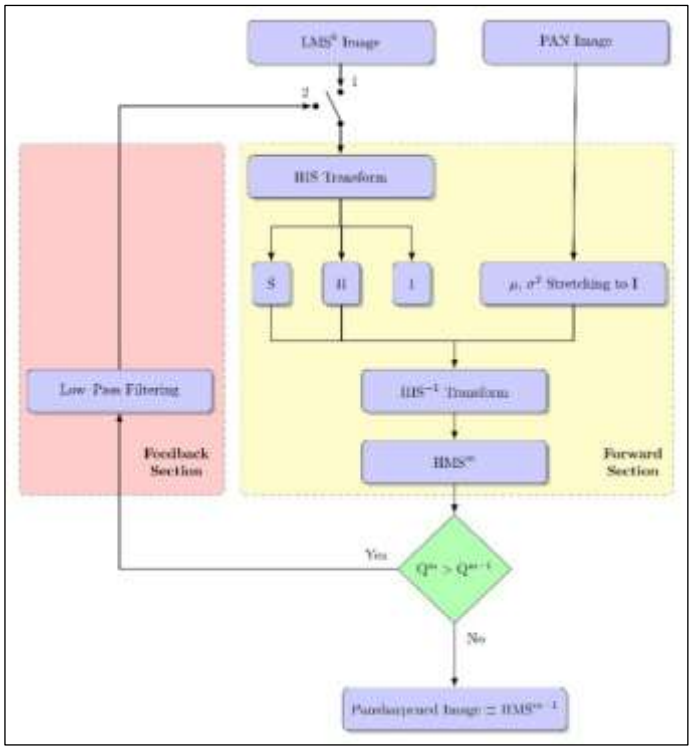


Figure 1: Block diagram of the proposed technique. The switch is initially set to position 1. Once the LMS^0 image is feeds the forward section, the switch changes to position 2.
Source: Authors, (2025).

IV. MODELING AND ANALYSIS OF THE PROPOSED ENHANCEMENT

The two fundamental equations governing the process shown in Figure 1 are given below. The first equation represents the forward process, while the second corresponds to the feedback process, both evaluated at the m–th iteration.

$$\mathrm{HMS}^m = \mathrm{LMS}^m + \left(\mathrm{PAN} - I^m\right) \tag{9}$$

$$\mathrm{LMS}^m = \mathrm{LPF}\left[\mathrm{HMS}^{m-1}\right] \tag{10}$$

Where $I^m = (1/L)\sum_{l=1}^{L} \mathrm{LMS}_l^m$ and $\mathrm{LPF}[\mathrm{g}]$ is the lowpass filter of the feedback section. HMS^m and LMS^m are the high–resolution and low–resolution images at iteration *m*, respectively. Note that for $m = 0$, Equation (9) corresponds to the classical IHS method.

To fairly compare the proposed enhancement method with the classical method, it is important to express the fused image at the *m*-th iteration, HMS^m, using only the available data: PAN, LMS^0, and I^0. Therefore, for $m = 1$, and using Equations (9) and (10) we obtain the following expression for the fused image:

$$\begin{aligned} \mathrm{HMS}^1 &= \mathrm{LMS}^1 + \left(\mathrm{PAN} - I^1\right) \\ &= \mathrm{LPF}\left[\mathrm{HMS}^0\right] + \left(\mathrm{PAN} - I^1\right) \\ &= \mathrm{LPF}\left[\mathrm{LMS}^0\right] + \mathrm{LPF}\left[\mathrm{PAN} - I^0\right] + \left(\mathrm{PAN} - I^1\right) \end{aligned} \tag{11}$$

By following the same reasoning, the general expression at the *m*-th iteration is given as:

$$\mathrm{HMS}^m = \mathrm{LPF}^m\left[\mathrm{LMS}^0\right] + \sum_{i=0}^{m} \mathrm{LPF}^i\left[\mathrm{PAN} - I^{m-i}\right] \tag{12}$$

Let $\mathrm{ARM}[\mathrm{g}] = (1/L)\sum_{l=1}^{L}(\mathrm{g})_l$ be the arithmetic mean across the *L* bands of the multispectral image. Furthermore, note that the lowpass filtering and arithmetic mean are interchangeable i.e., $\mathrm{ARM}\left[\mathrm{LPF}(\mathrm{g})\right] = \mathrm{LPF}\left[\mathrm{ARM}(\mathrm{g})\right]$. The intensity component at the *m*-th iteration, I^m, can be substituted as follows:

$$\begin{aligned} I^m &= \mathrm{ARM}\left[\mathrm{LMS}^m\right] \\ &= \mathrm{ARM}\left[\mathrm{LPF}\left[\mathrm{HMS}^{m-1}\right]\right] \\ &= \mathrm{ARM}\left[\mathrm{LPF}\left[\mathrm{LMS}^{m-1} + \left(\mathrm{PAN} - I^{m-1}\right)\right]\right] \\ &= \mathrm{LPF}\left[\mathrm{ARM}\left[\mathrm{LMS}^{m-1}\right]\right] + \mathrm{LPF}[\mathrm{PAN}] - \mathrm{LPF}\left[I^{m-1}\right] \\ &= \mathrm{LPF}\left[I^{m-1}\right] + \mathrm{LPF}[\mathrm{PAN}] - \mathrm{LPF}\left[I^{m-1}\right] \\ &= \mathrm{LPF}[\mathrm{PAN}] \end{aligned} \tag{13}$$

Hence, the intensity component, I^m, is given by:

$$I^m = \begin{cases} I^0 & \text{if } m = 0 \\ \mathrm{LPF}[\mathrm{PAN}] & \text{if } m \neq 0 \end{cases} \tag{14}$$

By substituting Equation (14) into Equation (12), we obtain:

$$\begin{aligned} \mathrm{HMS}^m = {} & \mathrm{LPF}^m\left[\mathrm{LMS}^0\right] + \mathrm{LPF}^m\left[\mathrm{PAN} - I^0\right] + \\ & \sum_{i=0}^{m-1} \mathrm{LPF}^i\left[\mathrm{PAN} - \mathrm{LPF}[\mathrm{PAN}]\right] \end{aligned} \tag{15}$$

This can also be written as:

$$\mathrm{HMS}^m = \mathrm{LPF}^m\left[\mathrm{LMS}^0\right] + \sum_{i=0}^{m} \mathrm{LPF}^i\left[\mathrm{PAN} - \mathrm{PAN}^{lp}\right] \tag{16}$$

Where PAN^{lp} is given by:

$$\mathrm{PAN}^{lp} = \begin{cases} I^0 & \text{if } i = m \\ \mathrm{LPF}[\mathrm{PAN}] & \text{if } i = 0,\mathrm{L}\ ,m-1 \end{cases} \tag{17}$$

Where LPF^m represent the m times convolution of the lowpass filter at the feedback section i.e., $\mathrm{LPF}^m = \mathrm{LPF} * \mathrm{L} * \mathrm{LPF}$. Figure 2 shows the frequency response of LPF, LPF^2, LPF^3 and LPF^4, where the lowpass filter used is the 3×3 boxcar filter.

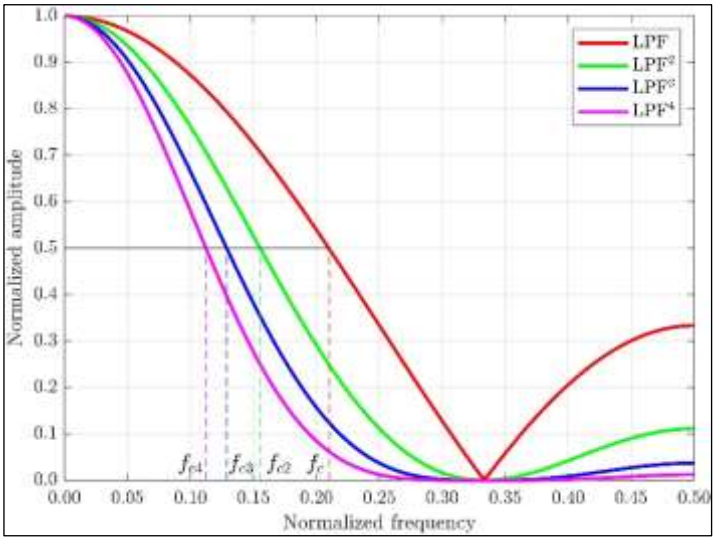


Figure 2: Frequency responses of LPF, LPF^2, LPF^3 and LPF^4 (LPF is 3×3 boxcar low-pass filter).
Source: Authors, (2025).

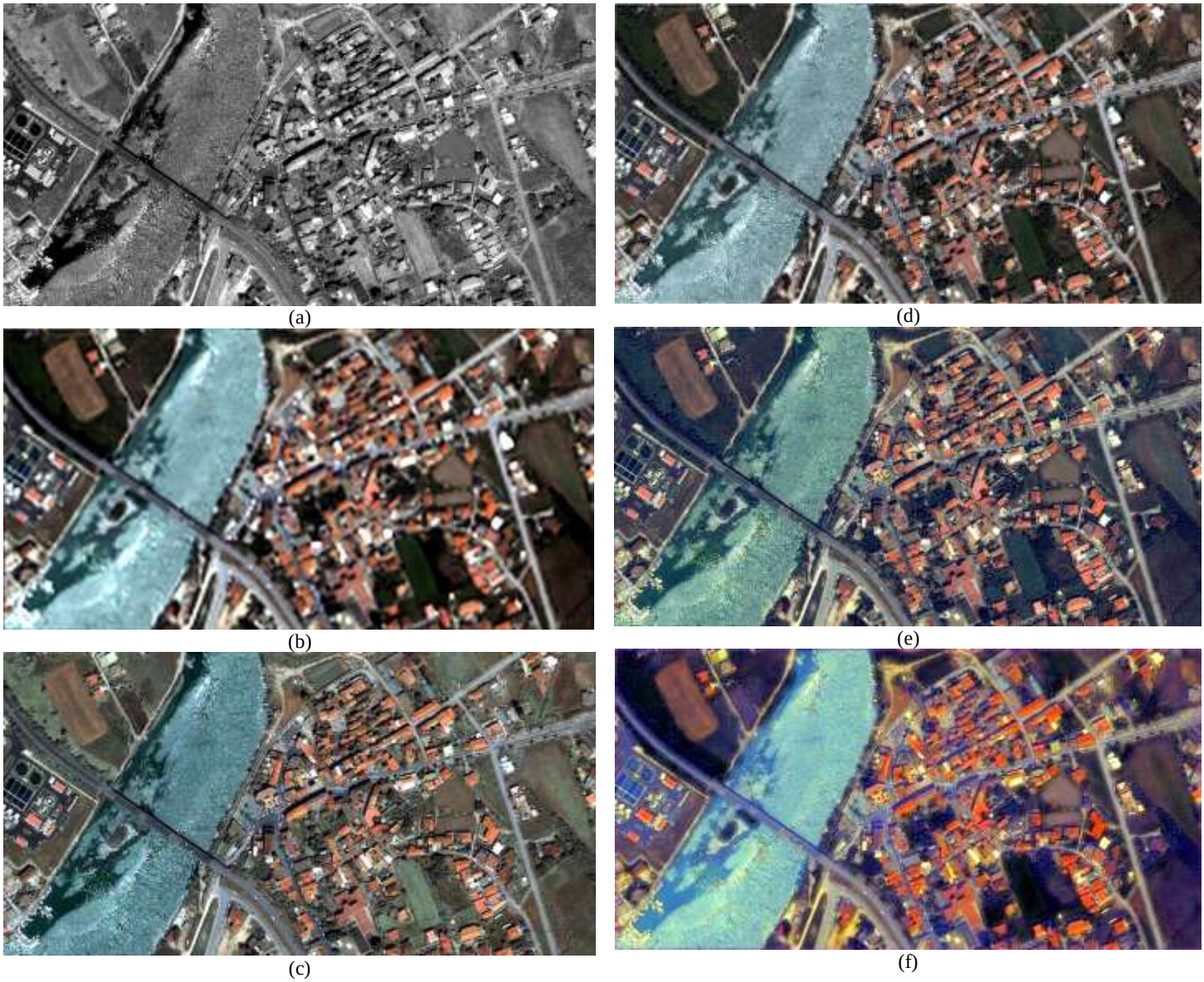
The right–hand side of Equation (16) comprises two terms: the first term represents the low frequency components contributed from the low–resolution multispectral image, LMS, while the second term represents the high–frequency components, or details, contributed from the high–resolution panchromatic image PAN. A closer examination of this equation reveals that the low–frequency components of the LMS image are extracted using a low–pass filter whose cutoff frequency depends on the iteration number *m*. As a result, the amount of retained low–frequency information varies across iterations, unlike in classical methods where it remains stable. On the other hand, the details are obtained through a discrete sum of high frequency contents extracted from the PAN image, also depending on the iteration number *m*. Furthermore, one can note that as *m* increases, the contribution of low-frequency components from the LMS image decreases, while the contribution of high-frequency details from the PAN image increases, and vice versa. In essence, the iteration number *m* serves as a control parameter that adjusts the balance between LMS and PAN content in the fused image. Hence, it can be concluded that each value of the iteration number *m* results in a distinct combination of low- and high-frequency content contributed by the LMS and PAN images, respectively, to form the fused image. This includes the combination corresponding to the classical method. However, as will be demonstrated experimentally later in this work, it is more likely that an alternative combination—different from the classical one—achieves superior fusion quality. This adaptive selection of the optimal fusion configuration represents the key novelty of the proposed enhanced technique.

V. EXPERIMENTAL RESULTS AND DISCUSSIONS

In this section, we conduct a comprehensive evaluation and comparison of the proposed enhanced technique, using both numerical and visual analyses. In the following subsection, we provide a brief overview of the study area used for the experiments.

V.1 STUDY AREA

To experimentally validate the proposed technique, we utilized two datasets acquired by the IKONOS sensors [45]. The 0.82–meter resolution panchromatic band (526–929 nm) was used in conjunction with four multispectral bands –blue (445–516 nm), green (506–595 nm), red (632–698 nm), and NIR (757–853 nm) – each with a spatial resolution of 3.28–meters. The radiometric resolution of these bands is 11 bits. The multispectral bands, originally sized at 100×200 pixels, was upsampled to 400×800 pixels using bicubic interpolation to match the size of the panchromatic band. The study area represents a densely populated urban environment characterized by a diverse array of high-frequency components including buildings, highways, lawns, trees, river, and bare soil. The scenes, raw data as well as fusion results, are shown in are shown in Figure 3.



(a) (d) (b) (e) (c) (f)

Figure 3: IKONOS imagery raw data: (a) Pan, (b) LMS, and fusion results: (c) PCA, (d) HPF, (e) IHS, (f) IHS4.

V.2 QUALITATIVE ASSESSMENT

In this subsection, we visually examine the fused images based on two evaluation criteria: spatial detail enhancement and spectral information preservation. Specifically, we perform a visual comparison to assess how well the proposed technique incorporates spatial details from the PAN image while preserving spectral information from the LMS image. For spatial detail enhancement, the fused image is assessed to verify how well fine details, edges, and textures are captured compared to the original MS and PAN images. For spectral information preservation, we compare the color and spectral characteristics of the fused image with the original MS image. Note that, an effective pansharpening method maintains the original spectral information without introducing distortions or artifacts such as ringing around edges, color bleeding, or unnatural textures. Subsets from the PAN, LMS, and fused images using PCA, HPF, IHS, and the enhanced IHS with four iterations (i.e., for m=4, denoted as IHS4), are depicted in Figure 4, respectively. This subset includes various features such as trees, bare soil, and buildings, along with numerous textures and edges, making it both spectrally and spatially representative.

Visual inspection of the fusion results in Figure 3 and the corresponding subsets in Figure 4 shows a clear gain in terms of spatial detail of the fused images compared with the LMS image. Methods built on the enhancing framework outperform the classical pansharpening approaches, as clearly shown in Figure 3f. This observation agrees with the quantitative scores, which also indicate superior spatial quality for the enhancing framework across other conventional methods. The spatial gain, however, comes with an introduced color shifts or visible artifacts, as seen in the subsets of Figure 4. For example, PCA (Figure 4c) exhibits a noticeable green bias over grass and trees—especially clear in the north east corner of the fusion image—relative to the LMS reference (Figure 4b). HPF (Figure 4d) shows smaller chromatic deviations. The IHS result (Figure 4e) loses some color naturalness, with bluish/purplish tints that do not match the LMS image; this effect is stronger with IHS4 (Figure 4f), where the blue band, and to a lesser extent the red band, becomes dominant. Overall, the enhancing framework offers a consistent advantage in spatial quality on IKONOS data, while the remaining color deviations are moderate and, for many applications, an acceptable trade off.

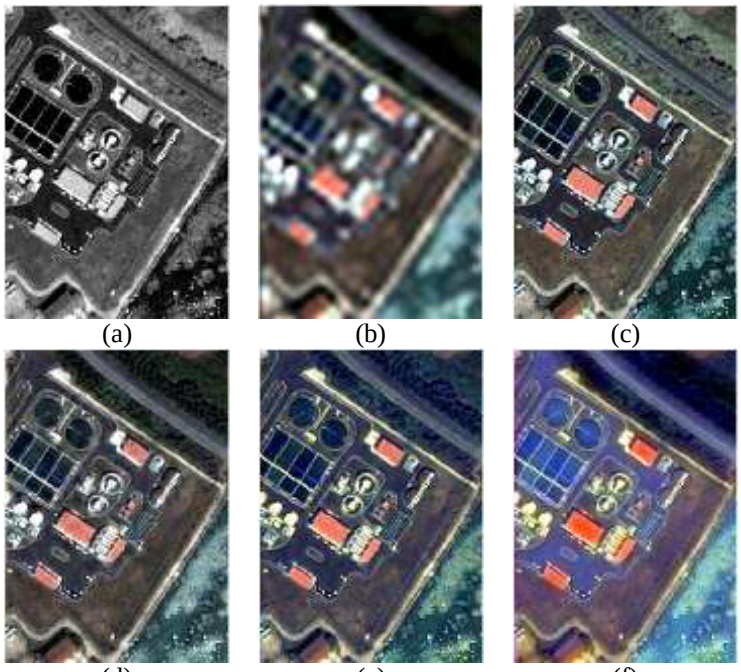


Figure 4: Subsets for qualitative assessment: (a) PAN image, (b) MS image, (c) PCA image, (d) HPF image, (e) IHS image (f) IHS4 image.
Source: Authors, (2025).

To further evaluate the effectiveness of the proposed enhancement framework, the next section presents quantitative metrics to complement the qualitative assessments discussed in the present subsection, resulting in a more comprehensive evaluation.

V.3 QUANTITATIVE ASSESSMENT

Table 1 lists the spectral distortion index D_λ, the spatial distortion index D_S, and the QNR index values for the different pansharpening methods. The best value for each index is emphasized in bold. The best results were observed with the enhanced IHS method after for iterations, referred to as IHS4, across all evaluation indices. A detailed analysis of the numerical results highlights the significant improvement achieved by the proposed technique, not only over the traditional IHS method but also over the PCA and HPF methods, both in terms of spatial and spectral quality. As shown in Table 1, the spectral distortion index of the IHS4 method is 0.031908, compared to 0.099749, 0.14856, and 0.13806 for the PCA, HPF, and IHS methods, respectively. This reflects a clear advantage in favor of the proposed enhancing framework. In terms of the spatial distortion index, the values are 0.065349 (IHS4), 0.23404 (PCA), 0.21534 (HPF), and 0.22012 (IHS). These results underline the superiority of the proposed method where the differences are several times larger over conventional methods. Similarly, the QNR index improves significantly from 0.67221 with the classical IHS method to 0.90483 with the proposed enhancement technique (IHS4), representing a substantial gain. It is also worth noting that the QNR values confirm the dominance of the enhanced IHS method over both the HPF method, which yields the lowest value, and the PCA method. In summary, the results of the three classical methods are close to each other yet markedly inferior to those of the enhancing framework for spectral, spatial, and QNR measures. Taken together, the visual assessment and quantitative results validate the theoretical analysis, confirming that the optimal fusion is not achieved through classical methods but rather through the proposed enhancement technique.

Table 1: Spectral, spatial and QNR indices for different fusion methods.

Method	D_λ	D_S	*QNR*
PCA	0.099749	0.23404	0.68955
HPF	0.14856	0.21534	0.66809
IHS	0.13806	0.22012	0.67221
IHS2	0.094735	0.15258	0.76714
IHS3	0.055919	0.08343	0.86532
IHS4	**0.031908**	**0.065349**	**0.90483**
IHS5	0.047142	0.075256	0.88115
IHS6	0.069136	0.11447	0.82431
IHS7	0.096651	0.15648	0.76199
IHS8	0.11664	0.18781	0.71746

Source: Authors, (2025).

VI. CONCLUSION AND FUTURE RESEARCH DIRECTIONS

This paper addresses the problem of image pansharpening, which aims to improve the spatial resolution of multispectral (MS) images by injecting high-frequency details from the panchromatic (PAN) image, while preserving the color (spectral) fidelity of the MS

data. Traditional pansharpening methods typically perform this detail injection as a fixed quantity through a single direct operation, based on the resolution ratio between PAN and MS images. However, this fixed quantity is not necessarily optimal in terms of either numerical or visual quality, as demonstrated by experimental results. To address this limitation, we proposed in this paper an enhancement for the IHS method based on iterative feedback optimization. In the proposed approach, the detail transfer from PAN to MS is performed in a closed-loop process, where each iteration produces a different combination of low-frequency components from the MS image and high-frequency details from the PAN image. This iterative process is guided by a fusion quality metric that terminates the iterations when further updates no longer improve the result. The key novelty of our method lies in its adaptive selection of the optimal frequency combination, which significantly improves fusion quality. When compared to benchmark methods such as IHS, PCA, and HPF, our approach demonstrates clear advantages and significant improvements both numerically and visually. Furthermore, this iterative optimization framework can be readily extended to other fusion techniques like PCA and HPF, maintaining the same principle of adaptive enhancement, while potentially yielding better results than their classical counterparts.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Ghadjati Mohamed.
Methodology: Ghadjati Mohamed.
Investigation: Ghadjati Mohamed,
Discussion of results: Ghadjati Mohamed, Ammar Bouchemel, Mehallel Elhadi.
Writing – Original Draft: Ghadjati Mohamed, Ammar Bouchemel, Mehallel Elhadi.
Writing – Review and Editing: Ghadjati Mohamed, Ammar Bouchemel, Mehallel Elhadi.
Resources: Ghadjati Mohamed, Moussaoui Abdelkrim.
Supervision: Moussaoui Abdelkrim.
Approval of the final text: Ghadjati Mohamed, Ammar Bouchemel, Mehallel Elhadi, Moussaoui Abdelkrim.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.375-381. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2910

RESEARCH ARTICLE OPEN ACCESS

EVALUATION OF HEAT STRESS AMONG OUTDOOR CONSTRUCTION WORKERS IN LAGOS METROPOLIS

Olajide Julius Faremi*[1], Oghenetega Mary Adjeks[2] and Dele Roger Simeon[3]

[1, 2, 3] Department of Building, Faculty of Environmental Sciences, University of Lagos, Lagos State, Nigeria.

[1]http://orcid.org/0000-0002-1097-2087, [2]http://orcid.org/0009-0006-8569-8146, [3]http://orcid.org/0000-0002-3927-7547

Email: *ofaremi@unilag.edu.ng, oadjeks@gmail.com, dsimeon@unilag.edu.ng

ARTICLE INFO

Article History
Received: November 8, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Heat stress,
Heat stress index,
Occupational health,
Outdoor construction workers,
Thermal discomfort.

ABSTRACT

This study evaluated the extent of heat stress experienced by outdoor construction workers within Lagos Metropolis, Nigeria, using the Heat Stress Index (HSI) approach. It aimed to assess workers perceived thermal discomfort and determine whether significant differences in heat exposure existed across occupational roles. Data were collected from 174 respondents using structured questionnaires assessing eight heat-related variables, including thermal sensation, sweating, fatigue, dizziness, hydration, and rest patterns. The Heat Stress Index (HSI) was computed on a five-point scale and categorized into four levels: mild, moderate, high, and extreme. Results revealed that all respondents experienced some degree of heat stress, with the majority (62.1%) falling within the moderate category, followed by 22.4% reporting high and 2.9% extreme stress levels. Unskilled labourers recorded the highest stress values, reflecting greater vulnerability due to physically demanding tasks and prolonged exposure to direct sunlight. However, the one-way ANOVA test showed no statistically significant difference in HSI across occupational roles ($F = 0.422$; $p = 0.737$), indicating uniform exposure to heat stress conditions on-site. The study concludes that heat stress is a prevalent occupational hazard among construction workers in Lagos, driven by environmental rather than role-specific factors. It recommends implementing structured work–rest cycles, shaded rest zones, hydration schedules, and mandatory heat safety training to safeguard workers' health and improve productivity under Lagos increasingly hot and humid climate.

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I. INTRODUCTION

Construction workers, particularly those engaged in outdoor work, are increasingly vulnerable to heat stress as global and local temperatures rise. In cities such as Lagos, Nigeria, characterized by high humidity and prolonged periods of intense heat, exposure to extreme thermal environments poses a major occupational hazard. [1] estimates that global productivity losses associated with heat stress will continue to rise, particularly in low- and middle-income countries where outdoor labor forms a significant part of the economy. In the Nigerian construction sector, where physical activity levels are high and protective measures are often inadequate, heat stress is an emerging concern affecting worker health, safety, and performance [2], [3]. Empirical studies across tropical regions have demonstrated that outdoor construction workers experience sustained exposure to temperatures exceeding recommended thermal comfort limits, resulting in physiological and psychological strain [4], [5], [6]. Symptoms such as fatigue, dizziness, dehydration, and reduced cognitive performance have been associated with heat-induced stress [7], [8]. Furthermore, site conditions such as limited shade, inadequate hydration practices, and extended working hours magnify the risk of heat-related illnesses, particularly among unskilled and semi-skilled laborers [9], [10]. Despite these well-documented health implications, occupational heat exposure remains largely under-monitored in many developing contexts [11], [12]. In Nigeria, where the construction industry is a major employer, research on heat stress remains sparse compared to studies in Asia and the Middle East. Most existing studies have concentrated on environmental heat metrics and

general climate risks, while limited attention has been given to quantifying worker-level heat stress using self-reported and physiological indicators [12], [13]. This gap restricts understanding of how specific construction roles differ in vulnerability, or how daily exposure patterns influence health and productivity outcomes. Addressing this limitation is critical to formulating locally adapted heat mitigation strategies. This study, therefore, focuses on evaluating the heat stress of outdoor construction workers within Lagos Metropolis, aligning with the second objective of the broader research. By developing and applying a Heat Stress Index (HSI) that integrates physiological, behavioral, and perceptual indicators, the study assesses the extent and distribution of heat stress among various site roles. The findings provide an empirical basis for understanding the real-world thermal experiences of construction workers in Lagos and contribute to the growing global discourse on occupational heat exposure, particularly in rapidly urbanizing tropical cities.

II. THEORETICAL REFERENCE

Heat stress represents the physiological and psychological strain experienced when the body's heat load exceeds its ability to dissipate it. It is influenced not only by environmental factors such as temperature and humidity, but also by internal factors (age, health status) and occupational variables (workload, PPE use, hydration, and rest access) [14], [5]. Construction workers in hot tropical climates like Lagos are particularly at risk, as they perform strenuous physical tasks outdoors, often in direct sunlight and in protective clothing that limits evaporative cooling [6]. Prolonged exposure under such conditions elevates body temperature, increases sweating, and leads to fatigue and other physiological symptoms that compromise productivity and well-being.

II.1 HEAT STRESS OF OURDOOR CONSTRUCTION WORKERS

II.1.1 SELF-REPORTED HEAT STRESS

Self-reported heat stress is one of the most practical ways to assess perceived thermal strain in occupational settings. Using thermal sensation votes or Likert-scale questionnaires, workers rate their comfort level and report symptoms such as fatigue, dizziness, or overheating [15], [14]. These subjective measures have been shown to closely align with physiological markers like core body temperature and heart rate, making them valuable for early identification of heat strain [5]. In Lagos, [3] observed widespread self-reported heat stress among construction workers lacking shade, hydration, or rest breaks. However, cultural norms and workplace dynamics often lead to underreporting, as workers may fear being perceived as weak [1]. Encouraging transparent self-reporting and training supervisors to act promptly on such reports are critical to effective heat management [16].

II.1.2 SWEATING RATE

Sweating rate is a key physiological indicator of the body's thermoregulatory response to heat. It reflects evaporative cooling efficiency and varies with environmental conditions, workload, and individual physiology [17], [7]. While sweating helps dissipate heat, excessive sweat loss without adequate fluid replacement can lead to dehydration and heat exhaustion [18], [5]. Studies have shown that construction workers can lose up to 2.5 Litres of fluid per hour during peak heat [19]. In humid areas like Lagos, sweat evaporation is hindered, leading to ineffective cooling and dangerous internal heat buildup. Site managers are therefore encouraged to ensure hydration facilities, electrolyte drinks, and scheduled water breaks [20].

II.1.3 EXERTION LEVEL

Perceived exertion captures how intensely a worker feels they are working and is strongly correlated with physiological heat strain indicators such as heart rate and body temperature [7]. The Borg Rating of Perceived Exertion (RPE) is a widely used tool to assess exertion under heat exposure [18]. In construction environments, perceived exertion typically peaks at midday when ambient heat and cumulative fatigue are highest [16]. Integrating RPE monitoring into daily safety routines can serve as an early warning system, allowing supervisors to detect overexertion and adjust work schedules accordingly. However, effectiveness depends on worker education and trust in the reporting process [18].

II.1.4 FATIGUE

Fatigue is an early and common symptom of heat stress, characterized by reduced physical and cognitive performance. It results from metabolic strain, dehydration, and cardiovascular stress induced by heat exposure [17], [19], [3] reported that over 65% of construction workers in West Africa experience severe fatigue by midday, largely due to long working hours and limited rest. Fatigue increases accident risk, reduces concentration, and slows task execution [7]. [16] recommend structured fatigue assessments and alternating high- and low-effort tasks to mitigate risk.

II.1.5 DIZZINESS

Dizziness is a critical physiological warning sign of cardiovascular strain and potential heat exhaustion. It arises from dehydration and blood flow redistribution during thermal stress [6], [12], [5] identified dizziness as one of the top three self-reported heat symptoms across heat-exposed workforces in Africa and Asia. On construction sites in Lagos, dizziness is often ignored or misinterpreted, leading to dangerous incidents such as falls from height [3]. Supervisors should monitor for early dizziness, ensure immediate rest in shaded areas, and provide on-site first aid [1].

II.1.6 REST BREAKS

Rest breaks are essential for thermal recovery and maintaining productivity. They allow the body to reduce core temperature, normalize heart rate, and restore hydration [7, 16]. However, many construction sites in Lagos neglect structured rest periods due to job pressure. [1] recommends a 15-minute rest every hour during extreme heat, particularly when WBGT exceeds 28–30 °C. Regular rest breaks significantly lower heat-related illness risk and improve performance [21].

II.1.7 REST BREAKS

Adequate hydration is fundamental to heat tolerance. During prolonged outdoor labor, sweat-induced fluid loss without replacement leads to dehydration, impairing thermoregulation and cognitive function [17], [19], [6] found that construction workers can lose up to 2 Litres of fluid per hour in hot environments. In Lagos, [3] reported that workers consuming less than 2 Litres of water daily were over three times more likely to experience heat stress symptoms. Dehydration symptoms fatigue, dark urine, muscle cramps, and dizziness, are widespread but often ignored [22], [7]. Regular water breaks, electrolyte access, and worker education are among the most effective low-cost preventive measures [1].

III. MATERIALS AND METHODS

III.1 STUDY AREA AND DESIGN

The study was carried out across selected construction sites within Lagos Metropolis, Nigeria. The area experiences a humid tropical climate, with mean daily temperatures ranging between 27°C and 31°C, particularly during the dry season. [23] buttressed that tropical climates are characterized by high temperatures throughout the year and typically have distinct rainy and dry seasons, with the average annual temperature in Lagos State and other Southwestern states in Nigeria being approximately 30ºC. Such climatic conditions create a high potential for occupational heat exposure. A cross-sectional survey design was adopted to evaluate heat stress among outdoor construction workers under real work conditions.

III.2 POPULATION AND SAMPLING

The population comprised construction workers involved in outdoor tasks, including laborers, artisans, supervisors, and foremen. A total of 174 respondents were selected through purposive sampling. Purposive sampling technique, according to [24], is a non-probability sampling strategy that must have explicit inclusion criteria and justification. As such, the inclusion of participants directly exposed to the sun during work is required, as their firsthand experience enables them to provide more accurate and reliable responses to the research questions. This sampling method was appropriate given the study's focus on workers engaged in physically demanding activities in heat-prone environments.

III.3 INSTRUMENTATION AND DATA COLLECTION

Data were collected using a structured questionnaire designed to assess the self-reported level of heat stress and related physiological responses. The instrument was based on the Heat Stress Index (HSI), developed by adapting variables from previous occupational heat stress studies. The questionnaire consisted of eight (8) key items, each measured on a five-point Likert scale (1–5), as shown in Table 1. Respondents were asked to rate the intensity or frequency of heat-related experiences during a typical hot workday.

Table 1: Heat Stress Index Questionnaire.

No	Question	Response Option	Score
1	How would you rate the level of heat stress you experience on a typical hot day?	1=None, 2=Mild, 3=Moderate, 4=High, 5=Extreme	1 - 5
2	How much do you sweat during work on a typical hot day?	1=Not at all, 2=Lightly, 3=Moderately, 4=Heavily, 5=Clothes soaked	1 - 5
3	How hard does the physical work feel on a typical hot day?	1=Very Light, 2=Light, 3=Somewhat Hard, 4=Hard, 5=Very Hard	1 - 5
4	How often do you feel tired or fatigued while working on a typical hot day?	1=Never, 2=Rarely, 3=Sometimes, 4=Often, 5=Always	1 – 5
5	How often have you felt dizzy or lightheaded on a typical hot day?	1=Not at all, 2=Occasionally, 3=Frequently, 4=Most of the time, 5=Constantly	1 – 5
6	How many rest breaks do you take on a typical hot day?	1= 1, 2= 2, 3 = 3, 4 = 4, 5 or more = 5	1 – 5
7	How much water or fluids do you consume on a typical hot day?	Less than 1Litre = 1, 1 – 1.5Litres = 2, 1.5 – 2Litres = 3, 2 – 3Litres = 4, More than 3Litres = 5	1 – 5
8	How frequently do you experience Heat Related Symptoms (e.g., headaches, nausea, dizziness etc) while working on a typical hot day?	1=None, 2=Occasionally, 3=Moderately, 4=Frequently, 5=Severely	1 – 5

Source: Authors, (2025).

III.4 DATA PROCESSING AND ANALYSIS

Data were analyzed using the Statistical Package for Social Sciences (SPSS). Descriptive statistics (mean, standard deviation, and frequency distribution) were used to summarize respondents' heat stress levels. The mean HSI score for each respondent was computed to determine the overall level of exposure, categorized as mild, moderate, high, or extreme. Further analysis using multiple regression examined the relationship between occupational factors (e.g., workload, work duration, and clothing type) and reported heat stress levels.

III.5 ETHICAL CONSIDERATIONS

Participation was voluntary, and informed consent was obtained from all respondents. Respondents were assured of anonymity and confidentiality, and ethical approval was obtained in accordance with institutional research standards.

IV. RESULTS AND DISCUSSIONS

IV.1 DEMOGRAPHIC CHARACTERISTICS OF RESPONDENTS

A total of 174 outdoor construction workers participated in the study as seen in Table 2 below. The sample consisted of 20.7% unskilled laborers, 24.1% skilled laborers, 35.0% site supervisors, and 20.1% safety officers, ensuring broad representation of workforce categories. The majority of respondents were male (75.3%), aged between 25–34 years (31.6%), and worked 8–12 hours daily (59.2%), primarily under direct sunlight (62.1%). Over 55% had received none or minimal heat stress training, suggesting a major knowledge gap in occupational heat safety. These characteristics indicate that construction workers in Lagos operate in high-risk thermal environments with prolonged exposure to heat and limited institutional protection.

Table 2: Demographic Information of Respondents.

Variable	Category	Frequency (N)	Percentage (%)
Role on Construction Site	Unskilled Labor	36	20.7
	Skilled Labor	42	24.1
	Site Supervisor	61	35.0
	Safety Officer	35	20.1
Gender	Male	131	75.3
	Female	43	24.7
Age Group (Years)	18–24	42	24.1
	25–34	55	31.6
	35–44	25	14.4
	45–54	36	20.7
	55+	16	9.2
Years of Experience	< 1 Year	26	14.9
	1–3 Years	37	21.3
	4–6 Years	39	22.4
	7–10 Years	34	19.5
	Over 10 Years	38	21.8
Sun Exposure Frequency	Never	4	2.3
	Rarely	25	14.4
	Sometimes	37	21.3
	Often	69	39.7
	Always	39	22.4
Daily Work Duration	< 8 Hours	46	26.4
	8–10 Hours	69	39.7
	10–12 Hours	34	19.5
	> 12 Hours	25	14.4
Heat Stress Training/Awareness	None	41	23.6
	Low	55	31.6
	Moderate	31	17.8
	High	27	15.5
	Very High	20	11.5

Source: Authors, (2025).

IV.2 HEAT STRESS INDEX (HSI) DISTRIBUTION ACROSS RESPONDENTS' ROLES

The Heat Stress Index (HSI) was computed from eight self-reported heat stress variables: sweating, exertion, fatigue, dizziness, rest breaks, hydration level, and heat-related symptoms. Each variable was rated on a five-point Likert scale (1–5), producing a total score between 8 and 40. The HSI was categorized as Mild (15–21), Moderate (22–27), High (28–34), and Extreme (35–40).

Table 3: Heat Stress Index (HSI) Distribution Across Respondents' Roles.

Role on Site	Extreme (35 – 40)	High (28 – 34)	Moderate (22 – 27)	Mild (15 – 21)	Total	Mean HSI
Safety Officer	0	4	25	6	35	24.63
Site Supervisor	1	10	41	9	61	25.00
Skilled Labor	1	9	26	6	42	24.98
Unskilled Labor	3	16	16	1	36	25.67
Total	**5**	**39**	**108**	**22**	**174**	

Source: Authors, (2025).

Overall, Table 3 shows that most workers fall within the moderate heat stress category across all roles, with mean HSI values ranging between 24.98 and 26.63. Although the differences in mean scores appear small, the trend indicates that unskilled labourers reported highest HSI values, implying greater vulnerability of the group to a range of heat-related health issues. Site Supervisors reported the second highest HIS, likely due to their extended on-site presence during inspections and monitoring of site work activities, while Safety Officers recorded the lowest mean stress level.

IV.3 TEST OF HYPOTHESIS ON HEAT STRESS INDEX (HSI) ACROSS WORKER CATEGORIES

This section examines whether there is a statistically significant difference in Heat Stress Index (HSI) among the various categories of construction site workers. The hypothesis formulated for this purpose is as follows:
Null Hypothesis (H_o): There is no significant difference in the Heat Stress Index (HSI) of various categories of construction site workers.
Alternative Hypothesis (H_1): There is a significant difference in the Heat Stress Index (HSI) of various categories of construction site workers. To test this hypothesis, an analysis of Variance (ANOVA) was conducted to compare the mean HSI values among the worker categories (Unskilled Labor, Skilled Labor, Site Supervisor, Safety Officer). The result is presented in Table 4.

Table 4: ANOVA Result showing Differences in HSI Across Worker Categories.

Source of Variation	Sum of Squares	df	Mean Square	F	Sig. (*p*-value)
Between Groups	20.278	3	6.759	0.422	0.737
Within Groups	2721.148	170	16.007		
Total	2741.425	173			

Source: Authors, (2025).

If *p*-value < 0.05, reject the null hypothesis (H_o).
If *p*-value > 0.05, accept the null hypothesis (H_o).

Table 4 shows an F-statistic of 0.422 with a corresponding p-value of 0.737, which is greater than the significance level of 0.05. This indicates that there is no statistically significant difference in the Heat Stress Index (HSI) among the various categories of construction site workers. Therefore, the null hypothesis (Ho) stating that there is no significant difference in HSI of various categories of construction site workers is accepted. This indicates that the heat stress levels experienced by all categories of workers were relatively similar. The observed similarity may be attributed to the fact that all workers performed their duties under comparable environmental conditions, such as direct sun exposure, humidity, and work duration, which contributed equally to their heat stress experiences.

IV.5 DISCUSSION OF FINDINGS

The findings from this study provide valuable insights into the extent and pattern of heat stress exposure among outdoor construction workers in Lagos Metropolis. The demographic profile (Table 1) revealed that the majority of respondents were male, within the economically active age group, and had considerable on-site experience, consistent with the gendered composition of the construction workforce reported in previous studies [10, 15]. The dominance of young to middle-aged male workers reflects a population often assumed to have high physical tolerance; however, evidence shows that this demographic remains susceptible to heat-related strain in prolonged exposure conditions [7]. Environmental and climatic data (Table 2) showed that average site temperatures were consistently above 30°C during observation, with relative humidity frequently exceeding comfort thresholds. These readings surpass international limits for safe work in outdoor conditions [1] and correspond with findings from other tropical regions where high heat index values were linked to reduced worker comfort and increased fatigue [9, 21]. Similar conditions have been documented in South India [5] and Saudi Arabia [10], where sustained exposure to such environmental extremes significantly elevated workers' risk of heat strain and dehydration.

The analysis of physiological and perceptual responses (Table 3) indicated that workers experienced moderate to high levels of thermal discomfort, fatigue, sweating, thirst, and dizziness, consistent with heat-related physiological reactions described in the literature [3, 20]. This outcome highlights that both skilled and unskilled workers perceive heat exposure as a major barrier to comfort and productivity, echoing findings from [6] and [8], who observed that heat exposure substantially impairs performance and cognitive functioning in high-temperature environments. Similarly, [11] emphasized that heat-related symptoms often intensify throughout the workday, contributing to reduced safety awareness and elevated accident risk. However, the ANOVA test result (Table 4) indicated no statistically significant difference in Heat Stress Index (HSI) among unskilled, skilled, supervisory, and safety officer categories ($F = 0.422$; $p = 0.737$). This suggests that heat stress exposure was relatively uniform across occupational roles on-site. The result aligns with observations from [2] and [5] that environmental heat stress in tropical construction settings affects all categories of outdoor workers similarly, largely because they share the same work environment, schedules, and microclimatic exposure. In line with [15] and [20], this

study confirms that role differentiation alone does not significantly reduce exposure risk when heat conditions are spatially homogeneous and safety interventions are limited. Nevertheless, contrasting results have been reported elsewhere. [18] and [5] found significant variation in physiological strain between heavy manual and light-duty workers, reflecting differences in workload and metabolic rate. [10] also reported that task intensity influenced the magnitude of thermal strain among Saudi construction workers. The divergence from such findings may be explained by contextual factors: in Lagos, supervisors and safety officers frequently remain outdoors for prolonged periods, resulting in cumulative exposure comparable to that of manual workers. Additionally, similar clothing, work-rest schedules, and limited shade provisions across roles likely contributed to the homogeneity in heat stress levels. Alternative explanations are also worth considering. The self-reported indicators used in this study, such as thermal sensation, fatigue, and thirst, capture perceived heat stress rather than direct physiological responses.

As [22] and [8] note, perceptual data may underestimate subtle physiological differences that would be detectable through continuous monitoring (e.g., heart rate or core temperature). Moreover, situational coping behaviors such as intermittent rest, hydration practices, and informal shade-seeking may have moderated role-based differences during data collection. Several limitations of this study should be acknowledged. First, the study was restricted to Lagos Metropolis, where uniform climatic and construction practices limit generalization. Second, while the HSI provides a useful composite index, it may not fully capture individual variability in acclimatization, hydration status, or clothing insulation. Finally, the reliance on self-reported measures introduces potential recall or perception bias, which may affect the accuracy of some responses. Despite these limitations, the study carries important practical implications. The lack of significant difference in HSI across roles indicates that heat management strategies should be implemented site-wide, not confined to specific worker categories. Employers should adopt adaptive measures such as scheduled rest breaks, shaded rest zones, adequate hydration, and training programs to raise awareness about heat-related hazards. Policy frameworks should also integrate occupational heat management standards into Nigeria's construction safety regulations to protect all outdoor workers.

V. CONCLUSIONS

This study demonstrates that outdoor construction workers in Lagos Metropolis are exposed to considerable levels of heat stress, as evidenced by reported symptoms of thermal discomfort, fatigue, sweating, and dehydration. However, exposure levels did not differ significantly across occupational roles, suggesting that environmental and microclimatic conditions are the dominant determinants of heat stress on construction sites. These findings highlight the need for comprehensive, site-wide heat management strategies rather than role-based interventions. Future research should incorporate physiological monitoring tools (such as core temperature and heart rate sensors) alongside environmental and perceptual data, across multiple regions and climatic seasons, to establish context-specific standards for occupational heat risk management in Nigeria's construction sector. Construction firms should institutionalize heat management programs that include mandatory training for workers and supervisors on recognizing and responding to heat stress symptoms.

Scheduled rest breaks, particularly between 11:00 a.m. and 3:00 p.m., should be enforced, with adequate provision of shaded rest areas and potable water stations. Employers should provide workers with lightweight, breathable clothing and ventilated helmets to reduce thermal discomfort. Supervisors should also be equipped and trained to monitor on-site thermal conditions using simple tools such as heat index or wet-bulb thermometers, allowing timely adjustments to work-rest cycles. At the policy level, agencies such as the Council of Registered Builders of Nigeria (CORBON), the Council for the Regulation of Engineering in Nigeria (COREN) and the Federal Ministry of Labour and Employment should develop and enforce occupational standards on permissible heat exposure limits and safe working hours during extreme heat. These measures will strengthen worker protection, enhance productivity, and promote a more resilient construction workforce under rising temperature conditions.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Olajide Julius Faremi, Oghenetega Mary Adjeks and Dele Roger Simeon
Methodology: Author One, Author Two and Author Three.
Investigation: Author One and Author Two.
Discussion of results: Author One, Author Two and Author Three.
Writing – Original Draft: Author One, Author Two and Author Three.
Writing – Review and Editing: Author One, Author Two and Author Three.
Resources: Author one and Two.
Supervision: Author One.
Approval of the final text: Author One, Author Two and Author Three.

VII. ACKNOWLEDGMENTS

The authors would like to express their profound gratitude to every respondent who so kindly gave of their time and insightful opinions during the data collection procedure. Their cooperation, openness, and thoughtful responses were crucial to this study's effective completion.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.382-390. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.2924

RESEARCH ARTICLE OPEN ACCESS

A NEW COMPUTATIONAL METHOD FOR THE INTERACTION BETWEEN CYLINDRICAL PERMANENT MAGNETS AND MASSIVE CIRCULAR COIL

Naamane Mohdeb[1], Hicham Allag[2] and Mohammed Chebout[3]

[1, 2]L2EI Laboratory, Mohamed Seddik Ben Yahia University, Jijel, Algeria.
[3]Applied Automation and industrial Diagnostic Laboratory, Ziane achour university, Djelfa, Algeria.

[1]https://orcid.org/0009-0000-7536-6435, [2]https://orcid.org/0009-0007-4787-3780, [3]http://orcid.org/0009-0006-2798-5411

Email: *mohdeb.naamane@univ-jijel.dz, hichamallag@univ-jijel.dz, mchebout@univ-djelfa.dz

ARTICLE INFO

Article History
Received: November 11, 2025
Revised: November 20, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Cylindrical magnet,
Massive circular coil,
Magnetic interaction,
Amperian model,
Coulombian model.

ABSTRACT

A novel analytical method has been developed to accurately model the magnetic interaction between a massive circular current-carrying coil and cylindrical permanent magnets. This new approach, rooted in the coulombian model, addresses the computational complexity of cylindrical shapes by proposing a smart decomposition: the magnets are analytically partitioned into a grid of (N, M) elementary cuboidal magnets. This approximation not only calculates the magnetic force between two cylindrical magnets but also accurately models the forces between a coil and a magnet. Crucially, the method outperforms the modified filament technique and is demonstrably accurate, showing excellent agreement with measured values. The resulting simplified, yet highly accurate, calculation tool is ideal for the rapid design of advanced magnetics systems, including unconventional magnetic couplings and planar actuators.

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I. INTRODUCTION

Several ironless magneto-mechanical devices used in electrical engineering require permanent magnets (PMs) and coils. We can take the example of magnetic levitation-based electromagnetic energy harvesting [1], ironless inductive position sensors [2], contactless energy transfer for a planar actuator [3], [4], and so on. Accurate calculation of magnetic interaction parameters is crucial for designing applications like eddy current dampers, magnetic refrigerators, and micropumps. These calculations are essential for determining forces, torques, and inductance in systems with moving parts or varying distances, ensuring predictable performance and efficiency. The Coulombian and Amperian models are two equivalent ways to describe the magnetic field of a permanent magnet. The Coulombian model treats a magnet as having magnetic poles that exert a force on each other, similar to electric charges, and uses a magnetic charge density to calculate the field. The Amperian model views a magnet as being made of microscopic current loops (Amperian currents) and uses these currents to determine the magnetic field. While different in their approach, they are mathematically equivalent and can be used interchangeably to calculate a magnet's field, though one may be simpler for certain geometries. The choice between the two often comes down to the geometry of the magnet and the specific problem being solved.

For example, the Amperian model can be useful for calculating fields from current loops, while the Coulombian model might be more intuitive for calculating the force between permanent magnets [5], [6]. Previous energy with research on the force between cylindrical permanent magnets often yielded complex and computationally expensive expressions. These methods typically relied on fundamental magnetostatic laws, integral equations or approximations. Such models are cumbersome because calculating the force is inherently complex, depending on the magnet's geometry, magnetization, and orientation. Many expressions published in previous literature [7-17] are criticized for: lack of exact Solutions, high Complexity, computational cost. Agashe et al [8] presented an analytical formula based on the assumption of uniform magnetization in the axial direction while using a magnetic field approximation for a cylindrical magnet [8]. These expressions are complex and computationally more expensive than the closed-form expression given by Furlani [9-11]. Researchers like Ravaud et al. [5], [6] provided formulas involving elliptic integrals without simplification for parameters

like field, force, torque, and stiffness, further highlighting the inherent complexity of the calculation. Calculating the force is recognized as a very complex procedure because it is highly dependent on the magnet's form, magnetization, and orientation. Many early exact formulas were incredibly lengthy, containing a double summation of nine terms, each involving these elliptic integrals and complex parameters. The majority of these works and others are based on the complete or simplified integral equations between magnets. Calculating the force is a very complex procedure, as it depends on the form, magnetization, and orientation of the magnets. To overcome these computational and complexity hurdles, the current work proposes a shift in modeling strategy:

- The use of the amperian current model is considered "more interesting" and suitable for deriving the new, simpler, and more efficient analytical expression.
- The goal is to present a new expression that is less complex and more computationally tractable than most previous works.

We aim to develop simpler, more computationally efficient analytical expressions for calculating the magnetic force in two specific configurations: between two cylindrical permanent magnets and between a cylindrical permanent magnet and a large, circular coil (solenoid). This approach is intended to be more effective than prior work that lacked exact solutions and was more complex. The expressions can be used to calculate the magnetic interaction between two cylindrical permanent magnets in a computationally efficient way. The paper introduces a new method for accurately calculating the magnetic force in two specific configurations: between two cylindrical permanent magnets and between a cylindrical permanent magnet and a large, circular coil (solenoid).

II. ELECTROMAGNETIC FORCE EXPRESSION

For specific geometries, such as the axial force between a thick coil and a permanent magnet or between magnets, more complex equations involving integrals are required. These equations incorporate the radii of the coil and the axial distance between them, as well as complete elliptic integrals. Calculating the force in practical scenarios usually involves advanced mathematics (e.g., elliptical integrals or numerical methods) because the magnetic fields are rarely uniform across the entire coil.

II.1 PERMANENT MAGNET MODEL

We generally use the Amperian current model or the coulombian approach [9-3] for calculating the magnetic field produced by PMs (Figure 1). We can say that the choice of the model does not depend on the magnetic source nature. Indeed, in the Coulombian approach, a magnetized magnet can be replaced by two charged surfaces, which are located on the lower and upper faces of this magnet. In the same way, a thin coil carrying uniform current density can also be represented by two charged planes. However, in the case of PM whose polarization is in tesla, its equivalent current must satisfy the following equation:

$$\vec{K} = \left(\vec{J} \times \vec{n}\right)/\mu_0 \tag{1}$$

Where n is the normal unit and μ0 is the permeability of the vacuum. This implies that a parallelepiped PM can be replaced by a thin coil whose current surface density is related to magnetic polarization J, as:

$$J = \mu_0 \frac{N.I}{h} \tag{2}$$

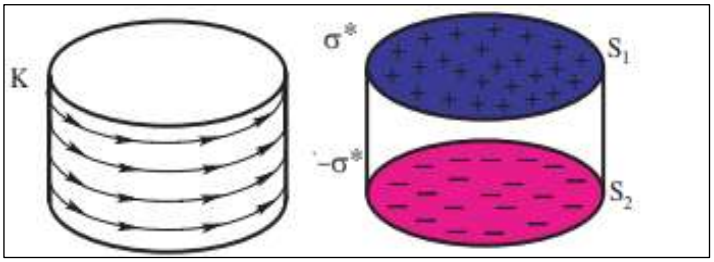


Figure 1: Representation of a cylindrical or cuboidal permanent magnet by Amperian current model and Coulombian approach.
Source: Authors, (2025).

II.2 MAGNETIC FORCE BY NUMERICAL DISCRETISATION TECHNIQUE

The Figure 2 on the right illustrates a numerical discretization technique, often used for modeling a uniform surface charge density. The idea in calculus is that while using a few rectangles gives a rough approximation, using an infinite number of infinitesimally thin rectangles gives us the exact area and, consequently, the exact electric field. In the figure, we are approximating the surface using inner rectangles (each rectangle is inside the curve). We can then find the region of each of these rectangles, add them up and this will be an estimate of the region. Using several rectangles will give us an exact approximation of the circular surface. The size of the rectangular elements is 2a x 2b, and “hi” is the center of each element.

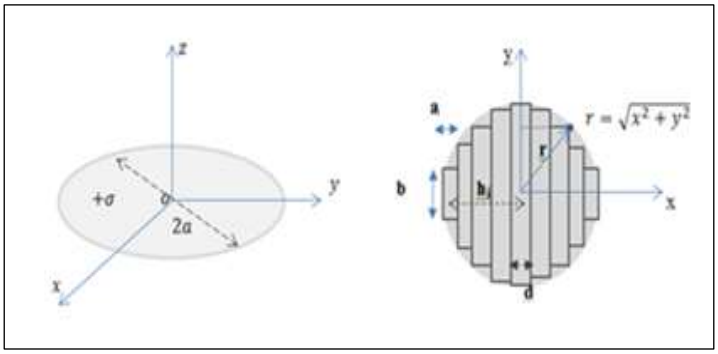


Figure 2: Decomposition of the circular surface
Source: Authors, (2025).

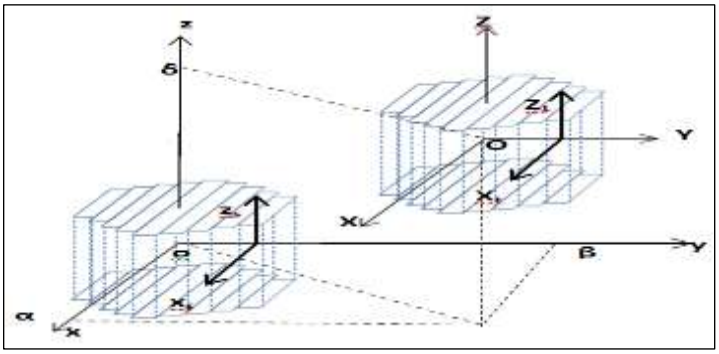


Figure 3: Elementary decomposition of cylindrical magnet
Source: Authors, (2025).

The modeling of magnets can be based on coulombian method, the coulombian approach replaces the magnet by two surfaces distribution of fictitious magnetic charge with surface density σ* = M. n. In Figure 3, the cylindrical magnet is to be replaced by a cuboidal shape composed of N cuboidal magnets. The interaction forces between the cylindrical magnets can be calculated by the following formula:

$$F_{magnet} = \sum_{s=1}^{N} \sum_{t=1}^{M} F_{s,t} \tag{3}$$

Where N and M are the number of a first and second elementary magnets, respectively. The interaction energy between two elementary magnets t and s, as shown in Figure 3, is given by:

$$E_{t,s} = \frac{J\,J'}{4\pi\mu} \sum_{p=0}^{1} \sum_{q=0}^{1} (-1)^{p+q} \cdot \int_{-B}^{B} \int_{-A}^{A} \int_{-b}^{b} \int_{-a}^{a} \frac{1}{R}\, dx\, dy\, dX\, dY \tag{4}$$

The components of force can be calculated by:

$$\overrightarrow{F_{s,t}} = g\overrightarrow{rad}(E_{s,t}) \tag{5}$$

With :

$$F_{s,t} = \frac{J\,J'}{4\pi\mu} \sum_{s=1}^{N} \sum_{t=1}^{M} \sum_{i=0}^{1} \sum_{j=0}^{1} \sum_{k=0}^{1} \sum_{l=0}^{1} \sum_{p=0}^{1} \sum_{q=0}^{1} (-1)^{i+j+k+l+p+q}\, \psi_{st(x,y,z)} \tag{6}$$

Where

$$\psi_{stx} = \frac{1}{2}\left(V_{st}^{\,2} - W_{st}^{\,2}\right) \ln(R_{st} - U_{st}) + U_{st} V_{st} \ln(R_{st} - V_{st}) + V_{st} W_{st} \arctan\left(\frac{U_{st} V_{st}}{R_{st} W_{st}}\right) + \frac{1}{2} R_{st} U_{st} \tag{7}$$

$$\psi_{sty} = \frac{1}{2}\left(U_{st}^{\,2} - W_{st}^{\,2}\right) \ln(R_{st} - V_{st}) + U_{st} V_{st}\, ln(R_{st} - U_{st}) + U_{st} W_{st}\, arctan\left(\frac{U_{st} V_{st}}{R_{st} W_{st}}\right) + \frac{1}{2} R_{st} V_{st} \tag{8}$$

$$\psi_{stz} = -U_{st} W_{st} \ln(R_{st} - U_{st}) - W_{st} V_{st} \ln(R_{st} - V_{st}) + U_{st} W_{st} \arctan\left(\frac{U_{st} V_{st}}{R_{st} W_{st}}\right) - R_{st} W_{sk} \tag{9}$$

The intermediate variables appearing in Eq. (9) are:

$$U_{st} = \alpha + (A\ \ (s+1) - 2i\, \Delta x2_s(s)) - (a\ \ (t+1) - 2j \Delta x1_t(t)) \tag{10}$$

$$V_{st} = \beta + (-1)^p B\ \ (s) - (-1)^l b\ \ (t) \tag{11}$$

$$W_{st} = \gamma + (-1)^q C\ \ -(-1)^k c \tag{12}$$

$$\Delta x1_s(s) = ((A\ \ (s+1) - A\ \ (s))/2 \tag{13}$$

$$\Delta x2_t(t) = ((a\ \ (t+1) - a\ \ (t))/2 \tag{14}$$

$$R_{st} = \sqrt{U_{st}^{\,2} + V_{st}^{\,2} + W_{st}^{\,2}} \tag{15}$$

II.2.1 Magnetic Force in Cylindrical Single Axis Actuator

The new approximation can also be used to evaluate the force between a massive circular coil and a cylindrical magnet (Figure 4). The force between a circular coil and a magnet is a result of the interaction between the magnetic field of the magnet and the magnetic field produced by the current in the coil. This force can be calculated by using the formula for the Lorentz force, which involves integrating the differential force along the wire of the coil. The total magnetic force acting on the thin coil is given by;

$$\overrightarrow{F_T} = \int_{V_c} \overrightarrow{J_c} \times \overrightarrow{B}\, dV_c \tag{16}$$

$$\overrightarrow{F_T} = \int_{V_c} \begin{pmatrix} Jx \\ Jy \\ 0 \end{pmatrix} \times \begin{pmatrix} B_{xt} \\ B_{yt} \\ B_{zt} \end{pmatrix} dX\, dY\, dZ \tag{17}$$

Where V_c is the volume of the bar-shaped volume. Jc is the current density in bar-shaped volume, and B is the field created by a cylindrical magnet.

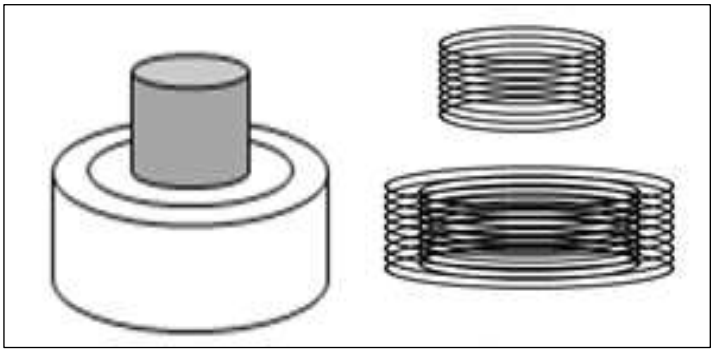
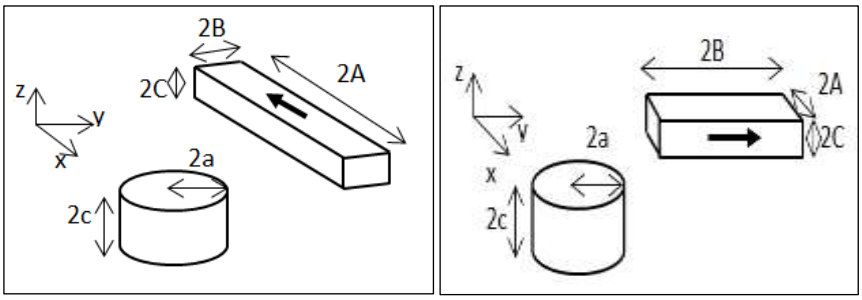


Figure 4: System composed of a permanent magnet.
Source: Authors, (2025).



(a) (b)

Figure 5: PM and massive conductor in: a) x-direction , b) y-direction and thin coil.
Source: Authors, (2025).

By dividing the coil into four massive conductor, the model can precisely calculate the net useful force, the magnetic force has been obtained analytically. The force is derived for the bar-shaped volume shown in Figure 5, with volume current density J and dimension (2A x 2B x 2C). The coil moves in translation along the z-direction. The interaction force between the coil and the cylindrical magnet is given by:

- The current in x-direction:

$$F_y = -\frac{I}{CB}\frac{B}{4\pi}\sum_{t=1}^{M}\sum_i\sum_j\sum_k\sum_l\sum_p\sum_q(-1)^{i+j+k+l+p+q}\ \varphi_n \tag{18}$$

$$F_z = \frac{I}{CB}\frac{B}{4\pi}\sum_{t=1}^{M}\sum_i\sum_j\sum_k\sum_l\sum_p\sum_q(-1)^{i+j+k+l+p+q}\ \psi_n \tag{19}$$

- The current in y-direction:

$$F_x = -\frac{I}{CA}\frac{B}{4\pi}\sum_{t=1}^{M}\sum_i\sum_j\sum_k\sum_l\sum_p\sum_q(-1)^{i+j+k+l+p+q}\ \varphi_n \tag{20}$$

$$F_z = \frac{I}{CA}\frac{B}{4\pi}\sum_{t=1}^{M}\sum_i\sum_j\sum_k\sum_l\sum_p\sum_q(-1)^{i+j+k+l+p+q}\ \phi_n \tag{21}$$

These forces are obtained with the intermediate variables:

$$\varphi_n = \int\int\int arctg\left(\frac{VU}{WR}\right) dX\, dY\, dZ = \frac{R}{6}(U^2+V^2-W^2) + 6\,UVW\ arctg(\frac{VU}{WR}) - 3\,U\,(V^2-W^2)\ arctgh(\frac{R}{V}) - 3V(U^2 - W^2)\ arctgh(\frac{R}{V})) \quad (22)$$

$$\phi_n = \int\int\int \log(-V+R)\, dX\, dY\, dZ = \frac{1}{36}(-24\,U^3\ arctg\left(\frac{V}{U}\right) + 12\,V\,W\,R - 18\,U^2\,W\log(R+V) - 18\,U^2\,V\log(R+W) + 36\,U\,V\ \ W\log(R-U) + 18\,UW^2\ arctg\left(\frac{UV}{WR}\right) + 18\,U\,V^2 arctg\left(\frac{UW}{VR}\right) + 6W^3 log(R+V) + 6\,V^3 log(R+W) + 24\,U^2V - 6\,U^3\ arctg\left(\frac{VW}{RU}\right) + 18UV^2\ arctg\left(\frac{W}{V}\right) + 36\,U\,W^2 arctg\left(\frac{V}{W}\right) + 18\,U\,W^2 arctg\left(\frac{W}{V}\right) - 54\,U\,V\,W - 2V^3) \quad (23)$$

$$\psi_n = \int\int\int \log(-U+R)\, dX\, dY\, dZ = \frac{1}{36}(-24\,V^3\ arctg\left(\frac{U}{V}\right) + 12\,U\,WR - 18\,V^2\,W\log(R+U)) - 18\,V^2\,U\log(R+W) + 36\,U\,V\ \ W\log(R-V) + 18\,VW^2\ arctg\left(\frac{UV}{WR}\right) + 18\,V\,U^2 arctg\left(\frac{VW}{UR}\right) + 6W^3 log(R+U) + 6\,U^3 log(R+W) + 24\,V^2U - 6\,V^3\ arctg\left(\frac{UW}{RV}\right) + 18VVU^2\ \ arctg\left(\frac{W}{U}\right) + 36\,V\,W^2 arctg\left(\frac{U}{W}\right) + 18\,V\,W^2 arctg\left(\frac{W}{U}\right) - 54\,U\,V\,W - U^3) \quad (24)$$

II.3 MODIFIED FILAMENT METHOD

The filament method itself is an approximation technique where a conductor with a finite cross-section (like a coil wire) is modeled as one or more infinitesimally thin, current-carrying "filaments" or wires. This simplifies the complex 3D integration required by the Biot-Savart Law into more manageable 1D integrals. The modification involves regularizing the filament integrals (often by analytical or semi-analytical methods) to correctly account for the conductor's finite cross-section and avoid these unphysical singularities. Consider the two circular coils of rectangular cross section as shown in Figure 6 with currents I_1, I_2 flowing in primary and secondary coils. The cross-sectional area of the first coil of the mean radius r_p is divided into (2k+1) by (2N+1) cells, and that of the second of the mean radius r_s into (2m+1) by (2n+1) cells. Each cell in the first coil contains one filament, and the current density in the coil cross section is assumed to be uniform, so that the filament currents are equal [16].

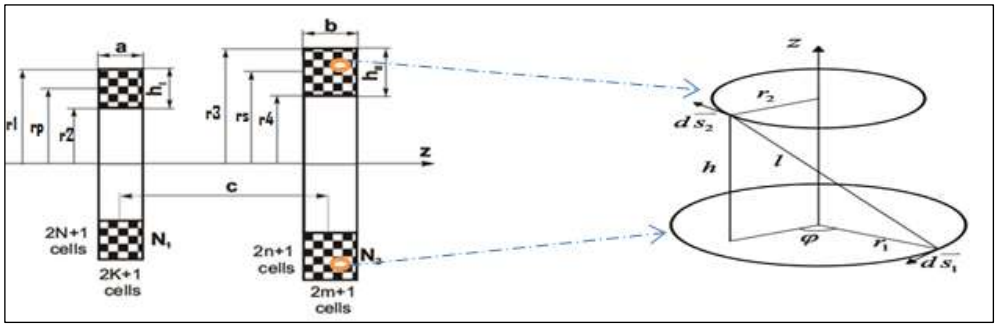


Figure 6: Configuration of mesh coils: two circular coils of rectangular cross section.
Source: Authors, (2025).

The expression for the mutual inductance between two coaxial filamentary circular coils of negligible cross-section is based on the use of Maxwell's coils and is given by the expression:

$$M = \frac{N_1 N_2 \sum_{g=-K}^{g=K} \sum_{h=-N}^{h=N} \sum_{p=-m}^{p=m} \sum_{l=-n}^{l=n} M(g,h,p,l)}{(2K+1)(2N+1)(2m+1)(2n+1)} \quad (25)$$

The formula for mutual inductance M(g,h,p,l) between two coaxial circular filamentary coils with radii r_s and r_p and separated by a distance d is given by:

$$M(g,h,l,p) = \frac{\mu_0}{\pi}\sqrt{r_s\, r_p}\int_0^{\pi} \frac{(cos(\theta) - \frac{d}{r_s} cos(\emptyset))\psi(k)}{\sqrt{V^3}}\, d\phi \quad (26)$$

Where

$$\psi(k) = \left(\frac{2}{k} - k\right) K(k) - \frac{2}{k} E(k) \quad (27)$$

$$V = \sqrt{1 - cos^2(\phi)\, sin^2(\theta) - 2\frac{d}{{r_s}^2} cos(\phi)\, cos(\theta) + \frac{d^2}{{r_s}^2}} \quad (28)$$

$$k^2 = \frac{4\alpha V}{(1+\alpha V)^2 + \xi^2} \quad (29)$$

$$r_p(h) = r_p + \frac{h_p}{(2N+1)} h, h = -N, \ldots, N \quad (30)$$

$$r_s(l) = r_s + \frac{h_s}{(2n+1)} l, l = -n, \ldots, n \tag{31}$$

$$z(g,p) = c - \frac{a}{(2K+1)} g + \frac{b\sin(\theta)}{(2m+1)} p, g = -K, \ldots, K, p = -m, \ldots, m \tag{32}$$

With

$$\xi = \beta - \alpha\cos(\phi)\sin(\theta), \alpha = \frac{r_s(l)}{r_p(h)}, \beta = \frac{z(g,p)}{r_1(h)}, r_s = \frac{r_3+r_4}{2}, h_s = r_3 - r_4 + r_w, r_p = \frac{r_1+r_2}{2}, h_s = r_1 - r_2 + r_w, y(p) = d + \frac{b\sin(\theta)}{(2m+1)} p, p = -m, \ldots, m \tag{33}$$

Where μ_o is the magnetic permeability of vacuum. K(k) and E(k) are the complete elliptic integral of the first kind and second kind, respectively. r_P is the radius of the primary coil; r_S is the radius of the secondary coil, c axial distance between coil midplanes, d radial distance between axes, a and b height of the primary coil and secondary coil, respectively. The electromagnetic force between two current-carrying coils with radial or axial misalignment can be derived from the general expression with their mutual inductance gradient. The force is calculated by the following equation:

$$F = I_1 I_2 \frac{\partial M}{\partial d} \tag{34}$$

Where I_1 and I_2 are the currents of two coils and d is the generalized coordinate. Applying some modification in the mutual inductance calculation, we deduced the magnetic force between the filamentary coils as follows:

- The propulsion magnetic force (axial force) for g = c:

$$F_{axial} = \frac{\mu_0 I_2 I_1}{2\pi\sqrt{\alpha}} \int_0^{\pi} \frac{(\frac{d}{r_2}\cos(\emptyset) - 1)\psi(k)}{\sqrt{V^5}} d\phi \tag{35}$$

- The restoring magnetic force (radial or lateral force) for g = d:

$$F_{radial} = \frac{\mu_0 I_2 I_1}{\pi\sqrt{\alpha}} \int_0^{\pi} \frac{(\frac{d}{R_S}\cos^2(\phi) + (1+\frac{d^2}{{R_S}^2))\ \cos(\phi) - 3\frac{d}{R_S})\chi(k)}{\sqrt{V^7}} d\phi + \frac{\mu_0 I_2 I_1}{\pi\alpha\sqrt{\alpha}} \int_0^{\pi} \frac{(1-\frac{d}{R_S}\cos(\phi))(\frac{d}{R_S} - \cos(\phi))\ \ (1+\beta^2-\alpha^2 V^2)\psi(k)}{\sqrt{V^9}} d\phi \tag{36}$$

Where

$$\psi(k) = k(\frac{2-k^2}{2(1-k^2)} K(k) - E(k)) \tag{37}$$

$$\chi(k) = \frac{1}{k}(\frac{2-k^2}{2} K(k) - E(k)) \tag{38}$$

IV. RESULTS AND DISCUSSIONS

To calculate the mutual inductance between two cylindrical magnets (or more accurately, two massive cylindrical coils carrying current, as shown in your diagrams), the most widely used and efficient approach involves the modified filament method or its semi-analytical variations. From the two magnets presented by the Amperian approach, we can calculate the magnetic force by the modified filament method. Consequently, in a first step, we have chosen to calculate the mutual inductance between cylindrical magnets as shown in Figure 7. For calculation purposes, the magnetization can be mathematically replaced by an equivalent volume current throughout its volume. This equivalent current is physically the same as that flowing in a coil, allowing the coil-based Biot-Savart Law to be used.

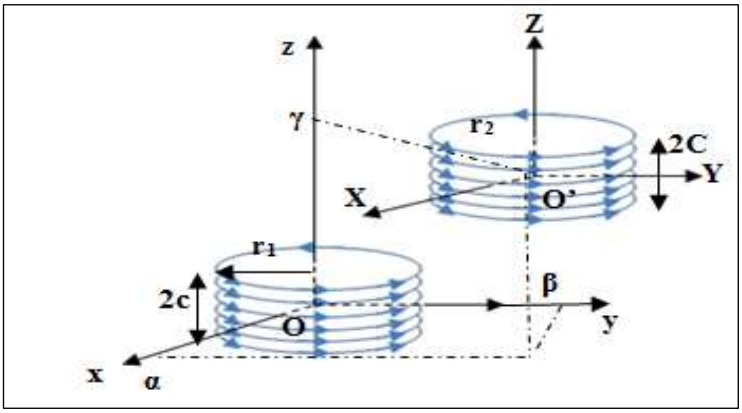


Figure 7: System of magnets to study.
Source: Authors, (2025).

Figure 8 is a representation of the mutual inductance between two coils/magnets versus the axial distance. The excellent match between the blue line (modified filament method) and the black circles (analytical solution) demonstrates that the modified filament method is highly accurate for calculating the mutual inductance of this specific coil configuration.

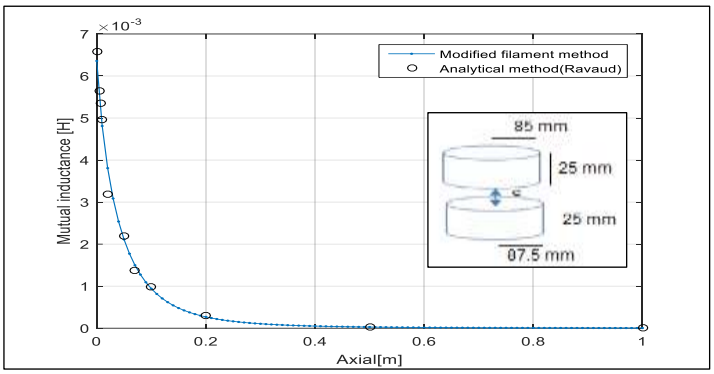


Figure 8: Representation of the mutual inductance between two magnets versus the axial.
Source: Authors, (2025).

As shown in Figure 3, the dimensions of the first elementary cuboidal magnet are a, b and c and its polarization is J. For the second elementary magnet, are A, B and C , its polarization is J' and the coordinate of its center is α, β and γ. The $\Delta x1_s$ and $\Delta x2_t$ are the width of the first and second elementary magnets. The upper magnet moves in translation along the y-axis above the lower fixed magnet. For comparing the result with our new approximation, we have calculated the same example (Figure 7) with modified filament method. In this example, as the magnetization J of the magnet PM1 and PM2 are perpendicular to the surfaces 2a x 2b and oriented to the top, its horizontal faces wear the density $\sigma = +J$on the upper face, and $\sigma = -J$ on the lower face. Calculating the exact magnitude of the radial force is mathematically complex, involving calculus and functions like elliptic integrals, especially for thick cylindrical magnets.

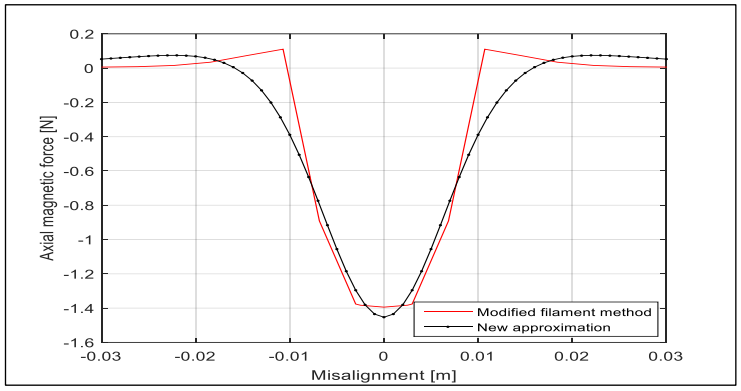


Figure 9: Force between magnets versus the misalignment axis (r_1=r_2=5mm, 2c=2C=10mm)
Source: Authors, (2025).

The takeaway from the Figure 9 is that both the "modified filament method" and the "new Approximation" yield results that are in remarkably good agreement across the range of radial misalignment, as indicated by the blue and red lines virtually overlapping. This suggests the "new Approximation" is a successful, and likely computationally less intensive, method for predicting the axial magnetic force in this system. The graph is demonstrating the sensitivity of the magnetic force to positional errors. Even small radial misalignments can significantly reduce the desired magnetic force (either attraction or repulsion) between the two cylindrical magnets. The Figure 10 is a cross-section of a voice coil motor, which is essentially an electromagnet designed to create motion. The VCM can provide very precise, continuous, and highly controlled motion, making it ideal for positioning and focusing applications.

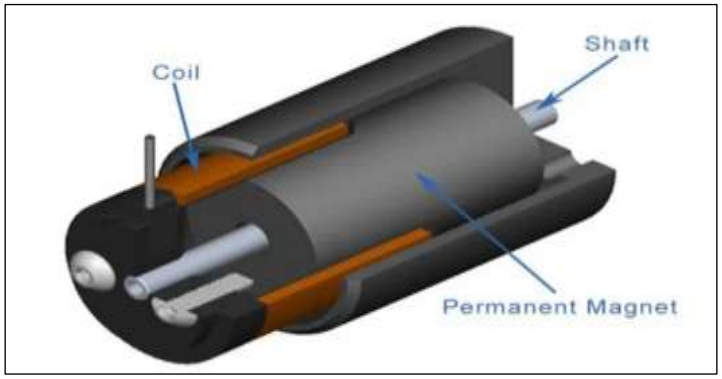


Figure 10: A cross-section of a voice coil motor
Source: Authors, (2025).

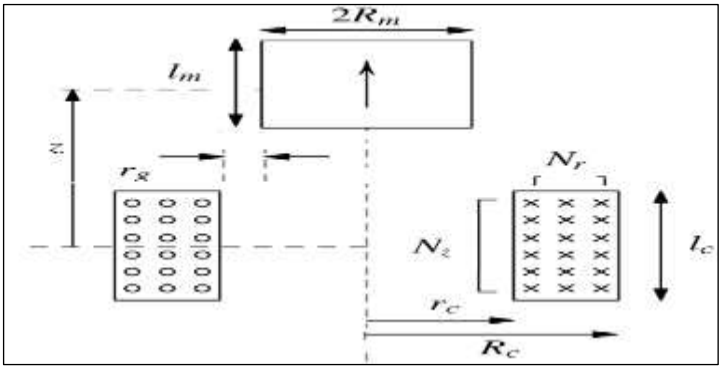


Figure 11: Geometrical parameters of the magnets-coil system
Source: Authors, (2025).

The Figure 11 is a diagram of an electromagnetic system, likely a simplified model for calculating magnetic forces or magnetic fields, such as those found in linear actuators, magnetic bearings, or electro-mechanical devices. It displays the geometric configuration and key dimensional parameters of a coil assembly interacting with a permanent magnet. The diagram features a permanent magnet at the top and a solenoid-like coil composed of multiple turns below, separated by an air gap. The axial separation is the key variable that changes the magnetic force. This geometrical model is typically used as the basis for analytical calculations of the axial magnetic force Fz between the magnet and the coil. The force will be a function of the axial separation, Fz(z), as well as the currents, dimensions, and magnetic properties of the materials. The Figure 12 purpose is to evaluate the accuracy of two computational methods ("modified filament method" and "new approximation") against actual experimental data ("measurement").

This figure is a plot comparing three different approaches for determining the axial magnetic force (measured in newtons, N) as a function of axial position (measured in meters, m). Both theoretical models generally follow the trend of the measured data. The modified filament method provides a very close fit to the measured data points, particularly in the initial range (0.016 m to 0.023). It consistently overestimates the force slightly compared to the measurements in the 0.023 to 0.026 m range, and does not show the peak and subsequent drop suggested by the measured data in the higher axial positions. The new approximation is most accurately captures the maximum force observed in the measured data (around 0.13 N at 0.0235 m). After the peak, it predicts a decrease in force, which aligns better with the general trend suggested by the few data points in the 0.024 m to 0.026 m range compared to the modified filament method. However, it seems to underestimate the force slightly in the initial range (0.016 m to 0.020 m). In summary, the graph illustrates the trade-offs in accuracy of the two computational models:

- The Modified filament method is generally very accurate but might not correctly predict the peak and subsequent drop in force.
- The new approximation is effective at modeling the peak force and subsequent decay but is less accurate at the lower axial positions.

For this case, the curves show good agreement between the approximation and the filament method results. Also, calculation results have been confirmed by measurement values (Figure 12). The measurement and simulation results are in very good agreement with calculation which indicates the feasibility of the approximation formulas.

Table 1: Design parameters for magnet-coil system

Dimensions	Quantity	Value
I	Coil current	0.2 A
R_c	Outer radius of primary coil	18 mm
r_c	Inner radius of primary coil	14 mm
L_c	Length of primary coil	10 mm
N_c	Number of turns of primary coil	120
Rm	Magnet radius	7.5 mm
B_r	Magnet remanence	1 T
L_m	Magnet length	10 mm

Source: Authors, (2025).

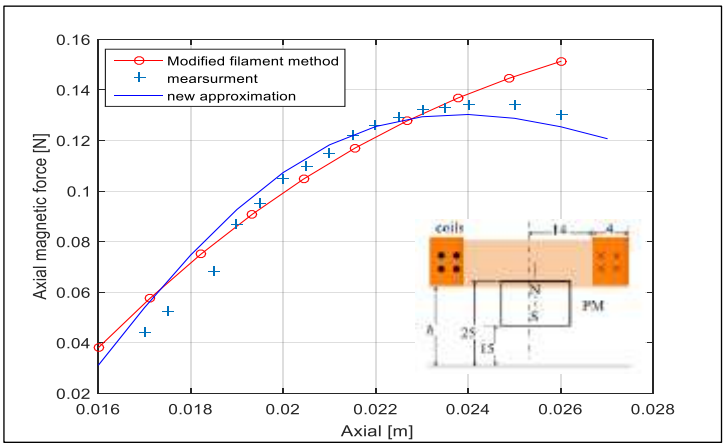


Figure 12: Axial force 'F_z 'obtained from measurement and our approximation in different positions

Source: Authors, (2025).

V. CONCLUSIONS

The paper introduces a new method for accurately calculating the magnetic force in two specific configurations: between two cylindrical permanent magnets and between a cylindrical permanent magnet and a large, circular coil (solenoid). The validity and accuracy of this new method were established by comparing its results against two established benchmarks: The modified filament method and measurement values. The new method was likely developed to offer a balance between the complexity of the highly accurate modified filament method and the need for fast, accurate calculation, possibly achieving high accuracy with fewer computational steps. The findings are highly relevant to the design and analysis of devices that use magnets and coils, such as magnetic bearings, linear motors, actuators, or energy harvesting systems. The results confirm that the forces calculated using the new approximation show "excellent agreement" with both the modified filament method and the actual experimental measurements.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Naamane Mohdeb, Hicham Allag and Mohammed Chebout.
Methodology: Hicham Allag and Naamane Mohdeb
Investigation: Naamane Mohdeb, Hicham Allag and Mohammed Chebout.
Discussion of results: Naamane Mohdeb, Hicham Allag and Mohammed Chebout.
Writing – Original Draft: Naamane Mohdeb
Writing – Review and Editing: Naamane Mohdeb and Mohammed Chebout.
Resources: Naamane Mohdeb and Mohammed Chebout.
Supervision: Hicham Allag, Mohammed Chebout and Naamane Mohdeb.
Approval of the final text: Hicham Allag, Naamane Mohdeb and Mohammed Chebout.

VII. ACKNOWLEDGMENTS

The authors of this article would like to thank the General Directorate of Scientific Research and Technological Development (DGRSDT) in Algeria for their technical support and the specific research budget allocated to this program.

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.391-400. November/December, 2025.

DOI: https://doi.org/10.5935/jetia. v11i56.3005

RESEARCH ARTICLE OPEN ACCESS

KINEMATIC ANALYSIS OF DEPTH JUMP USING COMPUTER VISION

Augusto César Silvestre da Silva*[1], Walter Charles Sousa Seiffert Simoes[2], Lucas Tavares Sampaio[3]

[1, 2]Escola Superior de Tecnologia, Universidade do Estado do Amazonas (UEA) - Manaus, Amazonas - Brazil
[3]Faculdade de Educação Física e Fisioterapia, Universidade Federal do Amazonas (UFAM) - Manaus, Amazonas - Brazil

[1] https://orcid.org/0009-0000-3566-098X, [2]https://orcid.org/0000-0002-0254-5050, [3]http://orcid.org/0000-0003-2049-1700

Email: *augusto.c.1707@gmail.com, wsimoes@uea.edu.br, lucedfisica@gmail.com

ARTICLE INFO

Article History
Received: November 25, 2025
Revised: November 30, 2025
Accepted: December 1, 2025
Published: December 31, 2025

Keywords:
Depth Jump,
Plyometric,
Kinematics,
Computer Vision,
Analysis

ABSTRACT

Currently, the analysis of the kinematics of plyometric exercises, like the depth jump, is carried out indirectly and subjectively by coaches and professionals. However, this approach has a high degree of inaccuracy, compromising the identification of technical failures and increasing the risk of injury. This paper presents an algorithm to evaluate the kinematics of deep jumping. The methodology adopted is to use the combination of computer vision techniques. This approach was validated against the Kinovea software, and the results demonstrated high precision, achieving an average angular error of less than 1.0° for the knee, hip, and ankle joints. Additionally, performance metrics such as contact time and jump height showed satisfactory consistency, proving the tool's viability for assisting coaches and athletes in optimizing performance and preventing injuries.

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I. INTRODUCTION

Plyometrics is a common method for improving an athlete's Stretch-Shortening Cycle (SSC) capabilities. The term “plyometric training” is colloquially used to describe fast, powerful movements that utilize a pre-stretch, or counter-movement, and involve the SSC. Plyometrics has been commonly employed in power and speed training. Specific plyometric exercises can be used to train slow or fast RSC. Examples of slow RME plyometrics include vertical jumps and box jumps, while repeated hurdle jumps and depth jumps are typically considered fast RME movements [1]. Plyometric exercises can lead to optimization of the application of force resulting on the ground during sprinting. This is because plyometric training can improve the ability to apply the resulting force vector to the ground more effectively [2]. Among the most widely used plyometric exercises, the depth jump stands out. This movement is distinguished by the descent from a predefined height, immediately followed by an explosive rebound. The primary purpose is to minimize the period of contact with the ground and optimize the performance of the stretch-shortening cycle (SSC) during propulsion, aiming to ensure maximum performance by the athlete. One metric that can measure this performance is the Reactive Strength Index (RSI), which assesses the height of the jump in relation to the time of contact with the ground.

This metric is an indicator of the athlete's ability to quickly switch from an eccentric muscle contraction to a concentric one, functioning as a measure of “explosiveness” [1]. The integration of technology into sports training has become indispensable. As said by Niu [3], posture recognition and analysis play a crucial role in sports science, contributing to the improvement of movement technique and the prevention of injuries during practice. Related works [4-7] leverage these current technologies, employing computer vision techniques to conduct video analysis and assist in evaluating movements during specific exercises. Tools such as sensors and analysis software have been increasingly used by athletes and coaches to improve results and prevent injuries. In this context, this article proposes using computer vision and artificial intelligence to analyze the kinematics of the long jump accurately, without the use of physical markers and manual adjustments. As it is a non-invasive technique, computer vision can offer a very effective alternative to help coaches and athletes identify movements, incorrect angles, and perform technical analyses, contributing both to improving performance and preventing injuries.

The remainder of this paper is organized as follows: Section 2 presents a set of related works that point to techniques and tools that help to understand the possibilities for solving the problem. Section 3 formally presents the architecture of this work. In Section 4, the architecture is translated into a case study (software) to perform the proof of concept. In Section 5, describes the conclusion, presenting the most significant result.

II. THEORETICAL REFERENCE

The selection of related works is an important step in highlighting the relevance and soundness of a research study. For this reason, this study adopted a systematic review approach, which involves the application of a series of filters. The first filter (Filter 1) consisted of analyzing the titles and abstracts of works in Portuguese, English, and Spanish. For technologies (computer vision, AI, etc.), studies published less than five years ago were considered, while for literature and metrics (plyometrics, IFR), works published less than 20 years ago were included. The second filter (Filter 2) considered only those that addressed problems identical or similar to those proposed in this research, including the presentation of compatible methodologies and evaluation criteria. The works selected through this process are presented below.

II.1 PLYOMETRICS AND PERFORMANCE METRICS

In [8], presents a study in which he determined the influence of plyometric training on soccer goalkeepers, using several tools to measure performance metrics, such as: force platforms, dynamometers, and motion sensors. A correlation between pre- and post-tests indicated that goalkeepers with higher initial power had more significant improvements, although the training also benefited those with lower power levels. According to Juan's research[9], the objective was to determine the effects of plyometric training and average propulsive speed on the development of power in volleyball. A device called T-force was used, which can extract some data from the exercise. The author concluded that training promotes gains in the development of strength, explosive strength, and power, and that these effects impact improvements in jumping in volleyball players and also in other sports that require skills similar to volleyball.

II.2 COMPUTER VISION APPLICATIONS IN SPORTS AND HEALTH

As described in the study conducted by Valera[10], an approach is proposed in which the extraction of body measurements is performed from a simple photograph of the user, accompanied by the measurement of their height. First, the photo is processed using OpenCV. The image is read and converted to grayscale to improve performance. Next, edge detection is performed using OpenCV, through the cv2.Canny function. After this step, the MediaPipe library is used to detect the pose. This provides the information needed to calculate body measurements using NumPy. The research by Amaral[11] created an application where it was possible to track the trajectory of the bar in an Olympic weightlift (OWL) using videos recorded on a cell phone. The following libraries were used: OpenCV to process the videos and Matplotlib to plot graphs. Thus, the work was able to analyze the performance of professional and amateur weightlifters.

According to Simoes[12], a system for evaluating posture during the performance of physiotherapy exercises is presented, using real-time pose estimation. Body point detection is performed with the MediaPipe library, based on images captured by a camera. The extracted information is The extracted information is processed to identify repetitions and classify movements using machine learning techniques such as KNN and Naïve Bayes. The system achieved an average accuracy of 99.22% in the analysis of upper limb movements, demonstrating its potential as a computational tool to support home-based physical rehabilitation. To facilitate the visualization of different approaches found in the literature, Table 1 summarizes the main characteristics of the related works. The comparison shows the technologies used to solve similar problems and illustrates the common points between these studies and the current work.

Table 1: Related studies.

Author(s)	OpenCV	Mediapipe	Numpy	Matplotlib	Machine Learning Algorithms	External Sensors
Ballagan, 2024 [8]						X
Juan, 2022 [9]						X
Valera, 2024 [10]	X	X	X			
Amaral, 2023 [11]	X			X		
Simoes, 2024 [12]		X			X	
This Study	X	X	X	X		

Source: Authors, (2025).

The choice of this methodology in our work, with an emphasis on computer vision, is justified by its ability to provide a detailed kinematic analysis in a non-invasive, accessible way (using conventional cameras). The combination of pose detection via MediaPipe with kinematic calculations in Python allows for a solution without the need for physical markers, overcoming the limitations of subjective observation and the invasiveness of some sensors. The computer vision approach, unlike sensor-based solutions, offers the benefit of recording the complete visual context of movement, which is valuable for qualitative analysis by coaches. The technological decisions made here, based on this analysis of pros and cons, are presented in architectural format in Section 3.

III. MATERIALS AND METHODS

This section describes the proposed method for developing the application for analyzing the kinematics of the depth jump, using a computer vision-based approach. The process was organized into sequential steps, as illustrated in the block diagram in Figure 1.

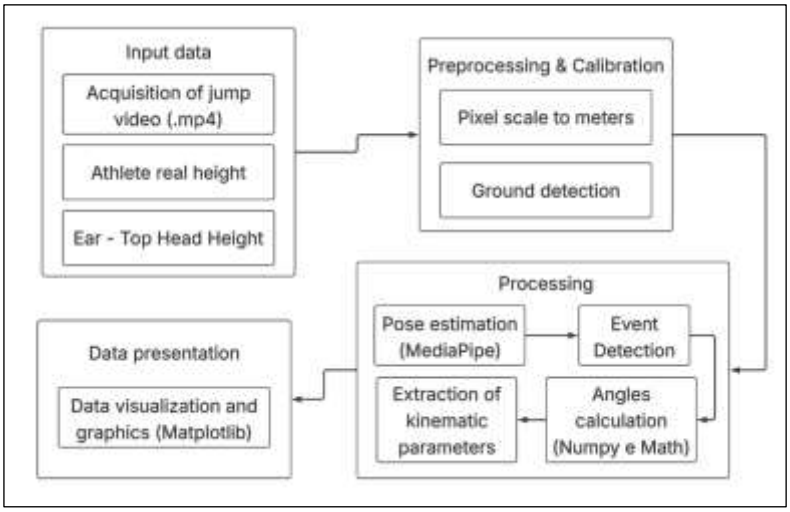


Figure 1: Block Diagram.
Source: Authors, (2025).

III.1 INPUT DATA

The process begins with the collection of video footage featuring athletes from various sports and contexts. These recordings are captured using standard cameras or mobile devices, with a strict emphasis on a side-profile view that encompasses the athlete's entire body to ensure precise kinematic analysis as shown in Figure 2.

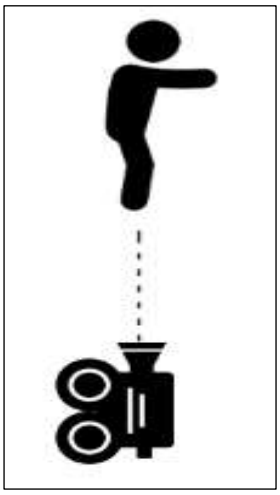


Figure 2: Camera positioned to the side of the athlete to record the jump.
Source: Authors, (2025).

Beyond the video, the system requires specific anthropometric data for calibration. The athlete's actual height (in meters) is the primary input, allowing the software to translate pixel data into real-world metric units. To further refine this accuracy, the vertical offset between the ear and the top of the head is also incorporated. This auxiliary measurement is crucial because the ear landmark detected by MediaPipe offers a significantly more stable reference point than the top of the head for estimating total body stature.

III.2 PREPROCESSING & CALIBRATION

Prior to executing the core kinematic analysis, the system undergoes a necessary preprocessing and calibration stage. This phase is dedicated to defining two critical spatial baselines: the precise ground level and the metric conversion scale.

- Ground Detection: Initially, the algorithm executes a preliminary scan of the entire video footage. By leveraging the MediaPipe model, it tracks the vertical position (Y-axis) of the foot landmarks(specifically the heel and big toe) across every frame. The algorithm isolates the highest Y-value detected during the sequence (which corresponds to the lowest physical point in the image) and establishes this as the fixed ground coordinate, this baseline is a prerequisite for the Height and Contact time.

- Pixel Scale to Meters (Scale Calibration): Following ground detection, the system calibrates the scale during the initial frames of the main analysis pass. Here, the system synthesizes the input data regarding the athlete’s actual height with the auxiliary 'Ear-to-Top-of-Head' offset. By measuring the pixel distance between the ear and heel landmarks and adjusting for the head offset, the software estimates the athlete's full height in digital terms. Comparing this pixel count against the athlete's real-world height in meters allows the system to derive a precise conversion ratio. This ratio is then applied to translate all subsequent pixel-based measurements, such as jump height, into accurate metric units.

III.3 PROCESSING

III.3.1 Body Detection and Tracking (Pose Estimation)

A model based on Pose Estimation will be used to identify and track points on the athlete's body. This will allow the movement and angles of the joints to be mapped, thus creating a biomechanical model of the athlete. A Pose Estimation algorithm from the MediaPipe library will be used, which is responsible for automatically identifying and tracking the joint points (Landmarks) of the athlete's body, as illustrated in Figure 3. This detection will allow the Analysis of movement and the calculation of the kinematic parameters.

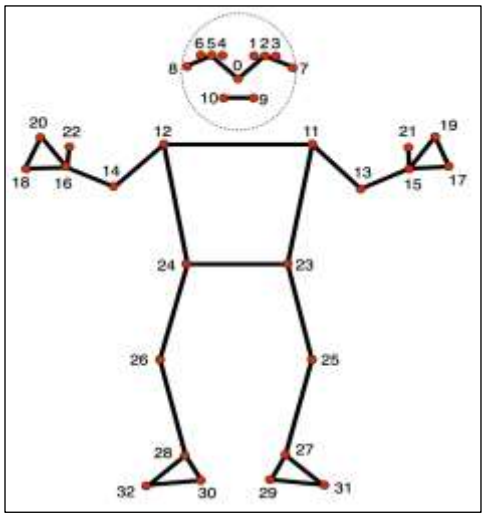


Figure 3: Mediapipe Landmarks.
Source: Authors, (2025).

III.3.2 Kinematic Parameters and Angles Calculation

Based on the location of the landmarks extracted using the Pose Estimation model from the MediaPipe library, calculations are performed with the support of the NumPy and Math libraries. These calculations aim to identify the following kinematic parameters that describe the execution and performance of the depth jump:

- Knee angle: calculated from the hip, knee, and ankle landmarks .
- Hip angle: calculated from the shoulder, hip, and knee landmarks.
- Ankle angle: calculated from the knee, ankle, and an imaginary point that runs parallel to the movement of the foot.
- Ground contact time: interval between the moment the feet touch the ground and the moment they leave the ground again.
- Jump height: calculated from the lowest point of the foot, the highest point of the foot, and the athlete's height for comparison.
- Reactive Strength Index (RSI): the ratio between jump height and ground contact time.

These parameters will enable a detailed kinematic analysis of the athlete's performance, allowing the identification of technical patterns or functional deficits, with direct application in physical assessment and injury prevention contexts.

III.4 DATA VISUALIZATION

The presentation of the system data is divided into two main outputs, both crucial for analysis:

- Real-time Annotated Video: During the processing phase, the system generates two simultaneous viewing windows. The first window displays the original video with an overlay of data, such as the pose estimation and angle values. The second window displays only the pose estimation and analysis information (angles, height lines, contact status) on a black background. This separation “cleans” the visual environment, removing the distraction of the original video and making landmarks, angles, and metrics significantly more visible to the analyst.

- Post-processing Graphics: After complete analysis of the video, the extracted data (time series of angles, contact events) are used to generate static graphical visualizations with the Matplotlib library. These graphs allow for detailed analysis of parameter variation over time. In addition, calculated performance indices, such as the RSI (Reactive Strength Index), are displayed on the console.

IV. RESULTS AND DISCUSSIONS

This chapter presents the results of the algorithm's development and the technical validation of the values obtained by the Proof of Concept (POC).

IV.1 OVERVIEW OF THE PROPOSED SOLUTION

The developed computer vision system is designed to process depth jump footage, delivering immediate visual and metric feedback. To enhance the interpretability of the kinematic parameters in real-time, the output interface is split into two distinct windows. The figure 4 illustrates the initial frames within the main window, highlighting the estimation of the subject's total height

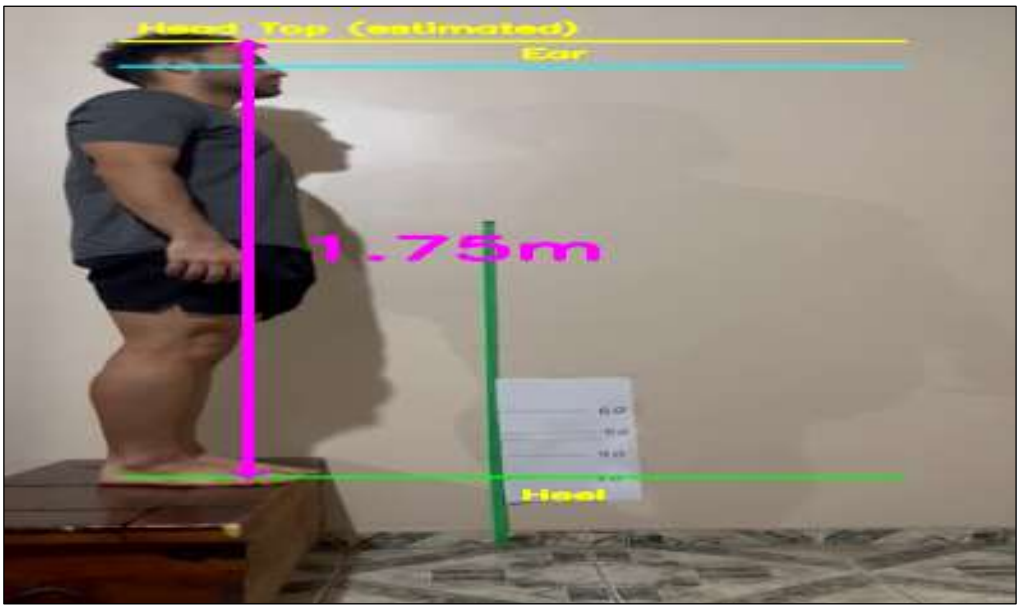


Figure 4: First frames.
Source: Authors, (2025).

Figure 5 depicts the system's output during the critical landing phase. The display presents two simultaneous perspectives generated by the algorithm: on the left, the view isolates body segments against a black background. This design choice eliminates environmental visual noise, ensuring a clean and precise reading of the angular geometry at the moment of impact. On the right side, the main window overlays this data directly onto the original video feed, demonstrating the precise alignment of the pose estimation model with the athlete's physical posture.

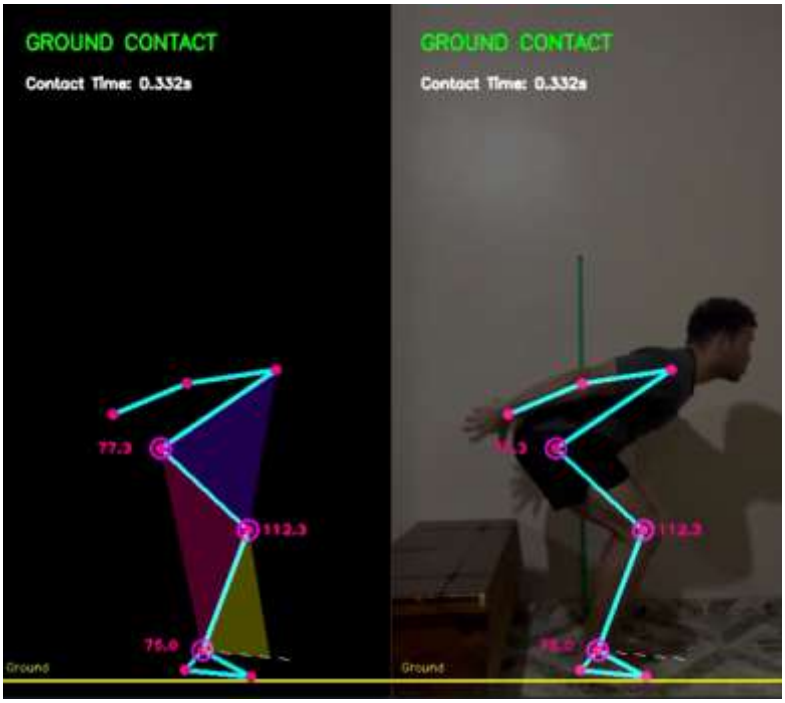


Figure 5: Windows with landmarks and angles.
Source: Authors, (2025).

Figure 6 demonstrates the system's capability to track the jump's aerial component. The transition is triggered the moment the foot landmarks rise above the defined ground tolerance, prompting the status indicator to switch to a red 'IN AIR' signal. Throughout this phase, the algorithm monitors the foot's vertical displacement, projecting a green reference line at the peak to measure the distance relative to the yellow ground baseline. By applying the pixel-to-meter calibration factor in real-time, the system renders the final height directly on the screen, providing the evaluator with immediate feedback on the athlete's vertical performance.

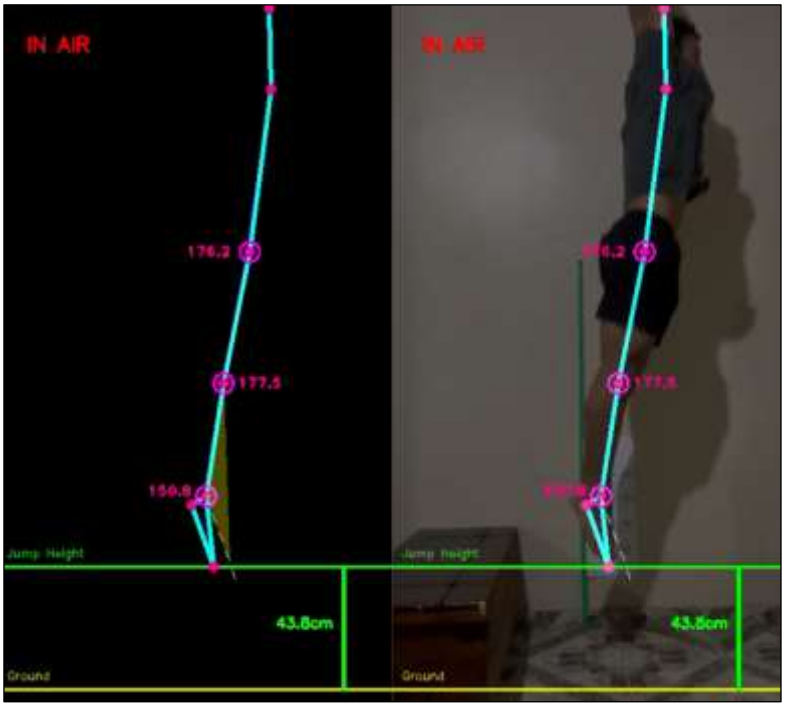


Figure 6: Windows with landmarks and angles.
Source: Authors, (2025).

After processing the video, the system automatically generates graphical reports for detailed analysis of depth jump and information at the terminal, as illustrated in Figure 7 and Figure 8.

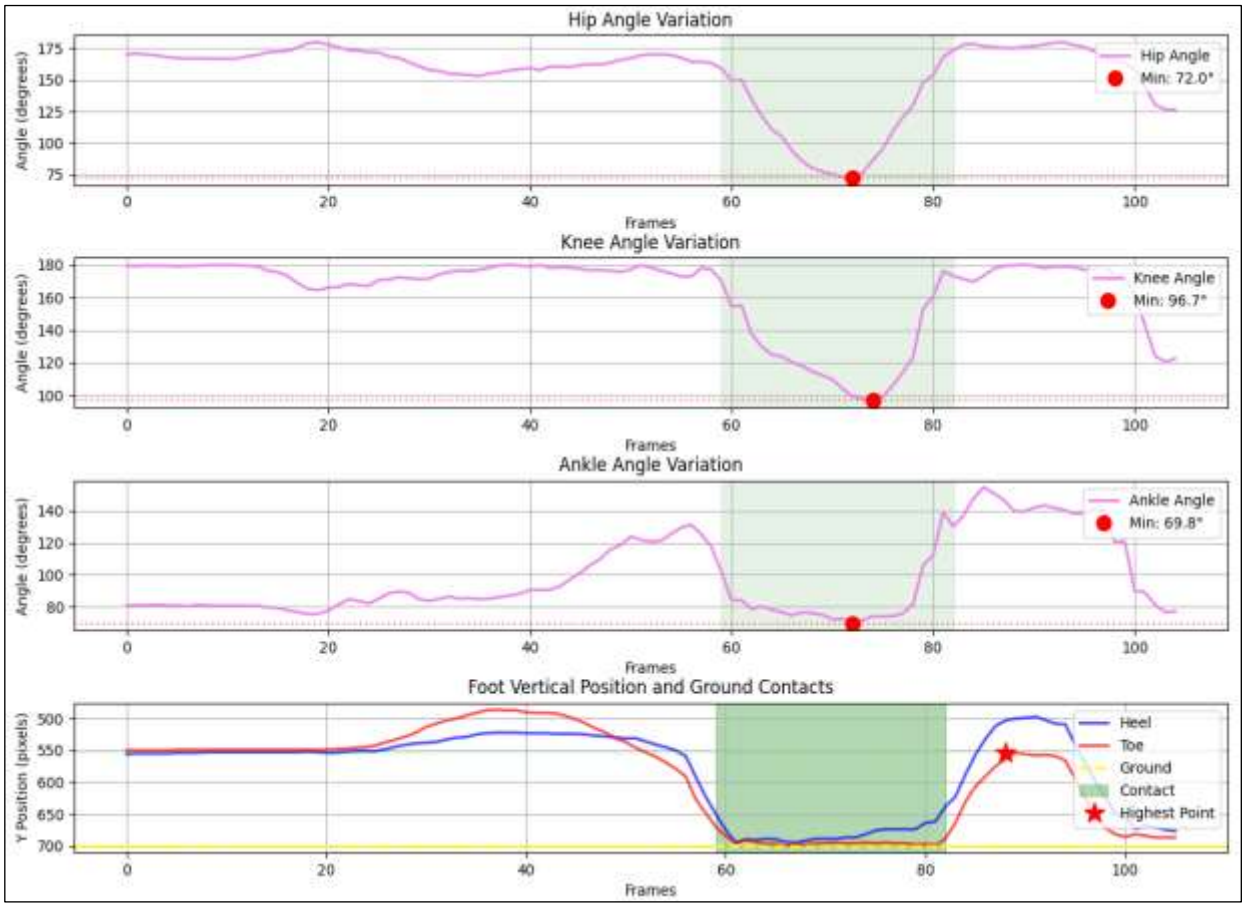


Figure 7: Time series showing the angular variation and vertical position of the foot over time.
Source: Authors, (2025).

```
CÁLCULO DO IFR:
  Fórmula: IFR = Altura (m) / Tempo de Contato (s)
  IFR = 0.51 / 0.76
  IFR = 0.669 m/s
```

Figure 8: Calculation of the IFR at the Terminal.
Source: Authors, (2025).

IV.2 TECHNICAL VALIDATION OF PARAMETERS

To demonstrate the accuracy of the data displayed by the system, a validation was performed using a set of 3 depth jump videos (N=3). The comparison was using Kinovea software and manual analysis:

- Kinovea: Used to measure joint angles and contact time (frame counting).
- Manual Analysis: Used for Jump Height, using an auxiliary camera and inspection with zoom on the reference tape measure.

IV.2.1 Kinematic Parameters and Angles Calculation

Figure 9 shows the use of Kinovea, software used by coaches of various sports to assist in the analysis of exercise movements or in a particular sport. In the software, it is possible to add angles, but manual adjustments are necessary to position the points. These angles are seen in the image as blue arcs in the right window.

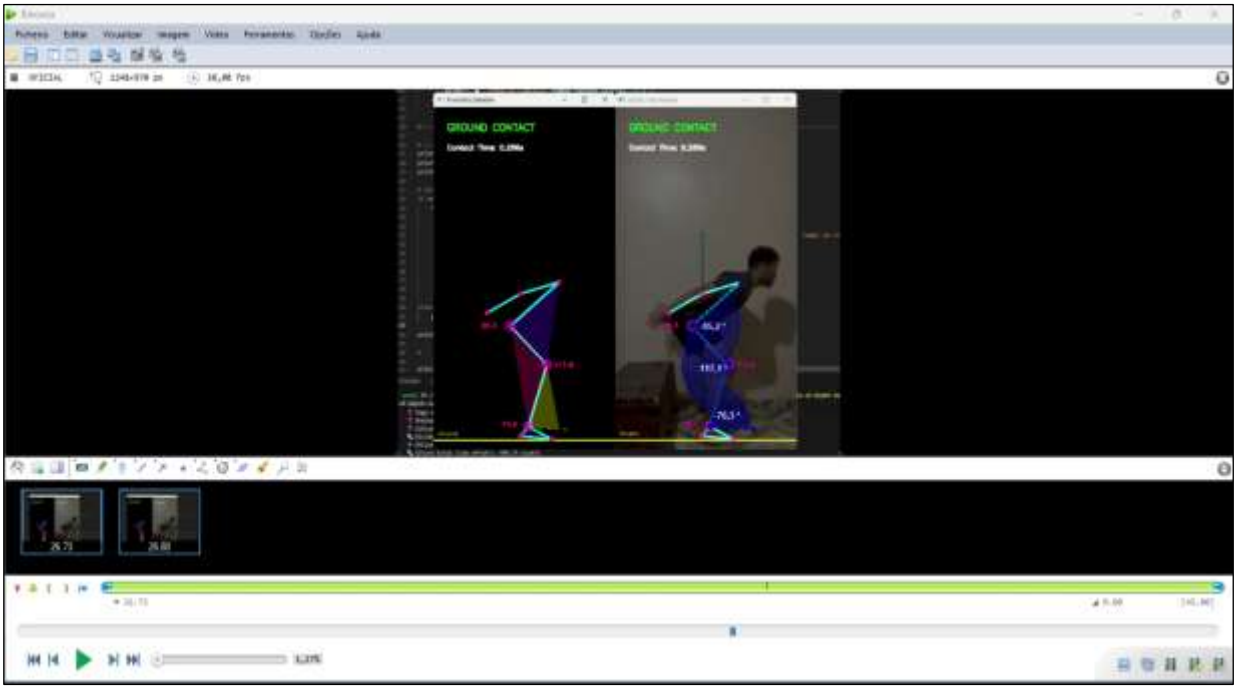


Figure 9: Use of Kinovea software to compare angulation.
Source: Authors, (2025).

IV.2.2 Jump height

Validating the jump height through manual analysis presented challenges inherent to video capture. The main obstacle identified was the parallax error caused by the difference in depth between the capture planes:

- Reference Plane: The measuring tape fixed to the wall (background).
- Movement Plane: The athlete performing the jump positioned in front of the wall (foreground).

The lateral camera perspective introduced a parallax error due to the gap between the athlete in the foreground and the wall tape measure. This depth difference created visual distortion, complicating the precise reading of the jump's peak. To counter this, we utilized a low angle auxiliary camera positioned near the ground to minimize the angle of incidence, facilitating a direct alignment verification between the heel and the metric scale (as shown in Figure 10). However, given the inherent depth limitations, a tolerance margin of ± 5 cm was applied to the manual reference values. Consequently, minor discrepancies falling within this range are attributed to the physical challenges of manual measurement rather than solely to algorithmic inaccuracies

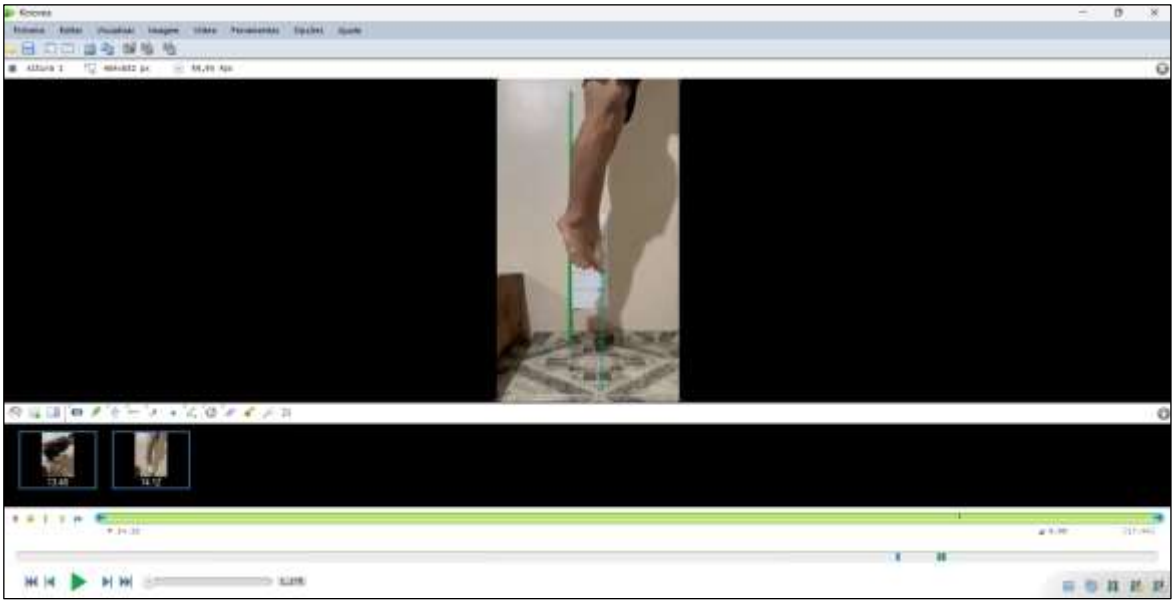


Figure 10: Use of Kinovea software for height analysis.
Source: Authors, (2025).

IV.2.3 Contact time

Kinovea software was used to validate contact time, the procedure consisted of a frame-by-frame visual analysis to isolate two events and total contact time was obtained by calculating the time difference between these two events. Figure 11 illustrates the frame identified as the initial contact.

- Initial Contact: The first frame in which any part of the foot touches the ground.
- Toe off: The last frame immediately before the foot completely loses contact with the surface.

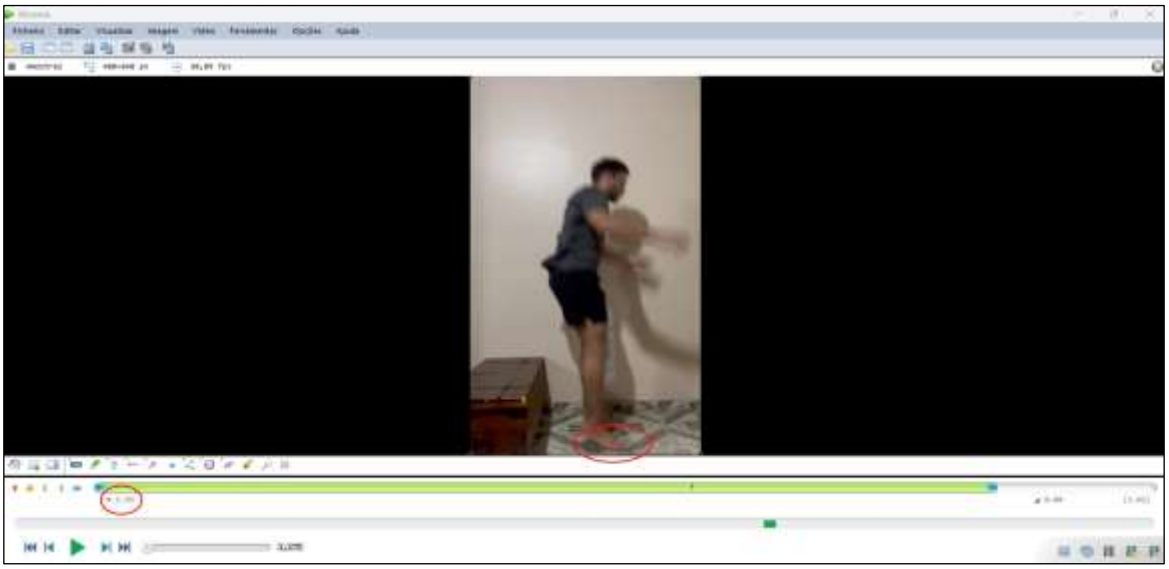


Figure 11: Use of Kinovea software for contact time analysis.
Source: Authors, (2025).

IV.2.4 Sample Results

Tables 2, 3, and 4 show the data collected from the three samples and consolidate the direct comparison between the Kinovea values and the values calculated by the algorithm.

Table 2: Comparison of Kinematic Parameters for Sample 1.

Parameter	Unit	Kinovea/Manual	Algorithm(Mediapipe)	Difference (Error)
Hip Angle	Degrees (°)	85,2°	85,5°	0,3°
Knee Angle	Degrees (°)	117,1°	117,8°	0,7°
Ankle Angle	Degrees (°)	76,3°	76,6°	0,3°
Contact Time	Seconds (s)	0.72 s	0.76 s	0.04 s
Jump Height	Centimeters (cm)	+/- 47	51	+/- 4

Source: Authors, (2025).

Table 3: Comparison of Kinematic Parameters for Sample 2.

Parameter	Unit	Kinovea/Manual	Algorithm (Mediapipe)	Difference (Error)
Hip Angle	Degrees (°)	93,3°	93,3°	0°
Knee Angle	Degrees (°)	116,1°	116,5°	0,4°
Ankle Angle	Degrees (°)	79,2°	79,9°	0,7°
Contact Time	Seconds (s)	0.67 s	0.66 s	0.01 s
Jump Height	Centimeters (cm)	+/- 35	39	+/- 4

Source: Authors, (2025).

Table 4: Comparison of Kinematic Parameters for Sample 3

Parameter	Unit	Kinovea/Manual	Algorithm (Mediapipe)	Difference (Error)
Hip Angle	Degrees (°)	71,5°	71,3°	0,2°
Knee Angle	Degrees (°)	99,2°	99,1°	0,1°
Ankle Angle	Degrees (°)	67,9°	68,2°	0,3°
Contact Time	Seconds (s)	0.73 s	0.65 s	0.08 s
Jump Height	Centimeters (cm)	+/- 44	49	+/- 5

Source: Authors, (2025).

V. CONCLUSIONS

Kinematic analysis of depth jumps is a fundamental tool to evaluate reactive strength and prevent injuries, but its practical application is often restricted by the high cost and complexity of laboratory equipment, such as force platforms. This study addressed this gap by developing a Proof of Concept (POC) based on Computer Vision. The main objective was to demonstrate that it is possible to extract biomechanical metrics without markers (non-invasive) and in an accessible way, only with a conventional camera. The results obtained in the validation confirm the practicability and feasibility of the proposed system. Compared to Kinovea, the algorithm demonstrated excellence in angles analysis, achieving angular accuracy with an average error of less than 1.0° for the knee, hip, and ankle joints. Performance metrics, such as contact time and jump height, showed satisfactory consistency for field applications, validating the algorithm's ability to calculate the Reactive Strength Index (RSI) and provide immediate visual feedback on landing technique.

The solution's strengths include portability, low implementation cost, and the elimination of the need to prepare athletes with physical markers, facilitating its adoption in real training environments. However, the POC revealed limitations, specifically parallax error, which introduces deviations in the absolute measurement of height depending on the athlete's depth and dependence on the camera's frame rate(FPS) , which imposes a limit on the temporal resolution of contact detection. For future work, we suggest using high-speed cameras (>120 FPS) to refine the accuracy of contact time and depth sensors to mitigate parallax errors. The addition of a frontal or diagonal view, simultaneous with the lateral view, would allow the analysis of knee or foot symmetry, thus identifying injury risks and enabling a more detailed assessment of landing mechanics. Finally, the development of a Graphical User Interface (GUI) would be the next step to transform this prototype into a final product for use by coaches and athletes.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Augusto César Silvestre da Silva, Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio
Methodology: Augusto César Silvestre da Silva, Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio
Investigation: Augusto César Silvestre da Silva, Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio
Discussion of results: Augusto César Silvestre da Silva, Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio
Writing – Original Draft: Augusto César Silvestre da Silva, Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio
Writing – Review and Editing: Augusto César Silvestre da Silva, Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio
Resources: Augusto César Silvestre da Silva, Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio
Supervision: Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio
Approval of the final text: Walter Charles Sousa Seiffert Simoes, Lucas Tavares Sampaio

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Journal of Engineering and Technology for Industrial Applications

ISSN ONLINE: 2447-0228

ITEGAM-JETIA

Manaus, v.11 n.56, p.401-413. November/December, 2025.
DOI: https://doi.org/10.5935/jetia. v11i56.2731

RESEARCH ARTICLE OPEN ACCESS

ENERGY-EFFICIENT TASK ALLOCATION IN HETEROGENEOUS NOC-BASED MPSOCS USING BINARY CHIMP OPTIMIZATION

Farid Boumaza[1]*, Atmane Hadji[2], and Djaafar Zouache[3]

[1,3]Department of Computer Science, Mohamed El Bachir El Ibrahimi University, Bordj Bou Arreridj, Algeria.
[2]Department of Computer Science, LISI Laboratory, A. Boussouf Mila University, Mila, Algeria.

[1]http://orcid.org/0000-0002-9785-420X, [2]http://orcid.org/0000-0001-6706-6360 [3]http://orcid.org/0000-0002-0337-6105

Email: *f.boumaaza@univ-bba.dz, a.hadji@centre-univ-mila.dz, z.Djaafar@univ-bba.dz

ARTICLE INFO

Article History
Received: September 23, 2025
Revised: October 20, 2025
Accepted: November 1, 2025
Published: December 31, 2025

Keywords:
Embedded systems,
Task mapping,
Network On Chip,
Heterogeneous MPSOC,
Energy minimization.

ABSTRACT

Modern embedded applications keep getting more complex, while battery-powered platforms still face strict energy limits. This makes it crucial to design energy-efficient task mapping strategies for Network-on-Chip (NoC)-based heterogeneous Multi-Processor System-on-Chip (MPSoCs). To address this, we present a novel discrete optimization technique called the Binary Chimp Optimization Algorithm (BChOA). It is built to cut energy use when mapping multiple application tasks onto heterogeneous MPSoC architectures. BChOA takes the population behavior from the original Chimp Optimization Algorithm (ChOA) and modifies it to work more effectively with binary problems. It employs a sigmoid-based method to handle the transition from continuous to discrete, enabling it to search through the space of possible task-to-core assignments more effectively. We tested the effectiveness of BChOA by comparing it to three popular optimization methods: Particle Swarm Optimization (PSO), Genetic Algorithm (GA), and Ant Colony Optimisation (ACO). We ran all of them on standard application benchmarks like VOPD, MPEG-4, MMS, MWD, and PIP. BChOA ultimately proved to be more energy-efficient across the board. On average, it used 7.73% less energy than GA, 4.50% less than PSO, and 1.71% less than ACO. We also examined where each of these methods excelled and where they fell short, all within the context of task mapping for NoC-based heterogeneous MPSoC systems.

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I. INTRODUCTION

Heterogeneous Multi-Processor System-on-Chip (MPSoCs) [1] combine diverse processing units, including processing elements such as CPUs [2], GPUs [3], DSPs [4], and FPGAs [5], on a single chip. They have become the backbone of modern, high-performance, energy-efficient embedded systems [6]. These platforms are well-suited to complex, multi-task applications in multimedia processing, wireless communications, and autonomous systems. The primary challenge is task mapping, which involves assigning each task in a concurrent application to the most suitable core while meeting performance goals and minimizing energy consumption. Task mapping is categorized as an NP-hard problem [7-10]. As the number of tasks and cores grows, the design space explodes, and exhaustive search becomes impractical. Such complexity motivates the application of heuristic and metaheuristic techniques. Common choices include ACO [11], PSO [12], and GA [13]. These methods can be effective, but they often converge too late and need heavy parameter tuning, which limits their scalability and overall impact. The ChOA [5], taking inspiration from the cooperative predatory behavior of chimpanzees (attackers, chasers, barriers, and drivers working together to capture prey), performs well on continuous optimization problems because it balances global exploration and local exploitation. The original ChOA targets continuous search spaces. The task-mapping problem is discrete. Each candidate solution is a vector of integer assignments, and each element specifies the processing core for a task. This paper makes four main contributions.

- We introduce a Binary Chimp Optimization Algorithm (BChOA) that uses a sigmoid-based discretization scheme to turn continuous position updates into valid task-to-core assignments.
- We formulate the assignment of multiple workloads on NoC-based heterogeneous MPSoCs aimed at reducing overall dynamic power consumption.
- We evaluate BChOA on standard task-graph benchmarks, including VOPD, MPEG-4, MMS, MWD, and PIP, and compare its performance with ACO, PSO, and GA.
- We analyze the results and explain BChOA's superior performance through its role-based search dynamics and an adaptive balance between exploration and exploitation.

The paper is organized as follows: Section 2 surveys prior work, and Section 3 provides the background of our study. Section 4 details the proposed Binary Chimp Optimisation Algorithm (BChOA) approach. Section 5 provides a discussion of the experimental findings and their analysis. Lastly, Section 6 concludes the study and highlights prospective avenues for future work.

II. RELATED WORKS

Task mapping in NOC-based MPSoC architectures is a fundamental challenge in embedded systems design, as it directly impacts execution latency, energy efficiency, and overall resource utilization. Existing studies broadly classify task mapping strategies under two schemes: static (design-time) and adaptive (runtime) approaches [14]. Design-time mapping leverages complete knowledge of application characteristics, including task dependencies, execution times, and communication volumes, along with the hardware topology, to optimize task placement offline. This approach enables deterministic and predictable performance, which is particularly important for safety-critical or real-time embedded applications. In contrast, dynamic mapping decisions are made during runtime, allowing systems to adapt to workload fluctuations and resource availability. Nevertheless, such adaptability comes at the cost of a higher runtime execution burden and the risk of suboptimal global solutions. Given the stringent performance and energy constraints of computation-intensive embedded workloads, this study adopts a static task mapping approach. We aim to achieve near-optimal energy consumption by exploring the comprehensive design space through metaheuristic optimization, which enables us to navigate the large and complex solution space efficiently.

The NP-hard nature of static task mapping [15] has motivated the development of a diverse set of optimization strategies that aim to balance solution quality with computational efficiency. These methods typically fall into several main categories: evolutionary metaheuristics, bio-inspired algorithms, formal techniques, topology-aware and clustering-based mapping strategies, and hybrid approaches that combine different ideas. All of these strategies, along with those covered in other studies [16-18], demonstrate how optimization techniques for application mapping in MPSoC systems continue to evolve and expand. Although each method takes a different approach, they all aim to solve the same core problem: determining how to manage a vast and complex design space while balancing multiple objectives. These include reducing execution time and power consumption, increasing throughput, and maximizing hardware utilization, all while adhering to stringent design constraints.

II.1 EVOLUTIONARY STRATEGIES

Evolutionary metaheuristics, such as GA, are popular because they excel at exploring large and complex search spaces. For instance, [19] developed a version called chaotic GA, which replaces the usual random processes with deterministic chaotic sequences. This helped improve both the rate of convergence and the quality of the solutions when mapping tasks. Another example is the GAMR framework [20], which uses a GA to optimize both task assignment and communication routing at the same time. This is important because the two are closely linked, especially in NoC-based systems. Jang and Pan [21] introduced a hybrid approach that combines GA with a relaxation heuristic for heterogeneous Network-on-Chip (NoC) mapping, enabling a trade-off between solution accuracy and execution time. While these GA-based approaches scale well, they lack built-in mechanisms to handle multiple goals simultaneously. As a result, they may struggle to balance factors such as energy use and execution time effectively.

II.2 NATURE-INSPIRED STRATEGIES

Outside of GAs, several other bio-inspired metaheuristics have also demonstrated strong potential for task mapping in MPSoC systems. For example, one ACO-based method [22] focused on mapping tasks in a way that saves energy while staying within bandwidth limits. It used pheromone trails to improve its solutions gradually. In another case [23] employed a discrete version of PSO (DPSO) to efficiently map tasks in hierarchical mesh-of-tree NoCs, considering different communication patterns. More recently, newer algorithms such as the Sailfish Optimization Algorithm (SFOA) [24] and the Andean Condor Algorithm (ACA) [25] have been tested on large-scale MPSoC problems. Both have done well when it comes to navigating large and complex search spaces. Although they are effective, these methods typically target single-objective formulations or require significant modifications to address discrete multi-objective optimization scenarios that involve trade-offs among energy, latency, and throughput.

II.3 FORMAL METHODS

Formal optimization methods offer the benefit of guaranteeing optimal results; however, they often do not scale well, making them challenging to apply in larger and more complex NoC systems. For instance, Integer Linear Programming (ILP) [26] has been used to reduce communication delays in 2D mesh MPSoC architectures. Using state-of-the-art solvers, ILP can efficiently handle small- to medium-sized problem instances, providing exact solutions within reasonable runtimes. Similarly, the Branch-and-Bound (BB) method [27] guarantees optimal task allocation under specified constraints; however, its exponential computational complexity renders it impractical for larger systems. To improve tractability, the SBMAP (Segmented Brute-Force Mapping) [28] applies exhaustive investigation within smaller instance segments, thereby balancing optimality and runtime efficiency and supporting multi-objective,

bandwidth-constrained mapping scenarios. Although formal methods are practical as benchmarks for judging the performance of heuristic and metaheuristic techniques, their heavy computational cost makes them impractical for large-scale NoC-based MPSoCs. As the number of tasks and cores increases, the design space grows combinatorially, which quickly pushes these methods beyond feasible limits.

II.4 TOPOLOGY-ADAPTED AND CLUSTER-ORIENTED STRATEGIES

The NoC topology has a significant impact on the effectiveness of task mapping strategies in MPSoC systems. Approaches designed for specific topologies leverage the network's structure to reduce communication costs and delays. For instance, the CastNet algorithm [29] integrates low-complexity task placement with bandwidth-aware routing for mesh-based NoCs, effectively mitigating potential communication bottlenecks. Clustering-based approaches, in contrast, aim to improve spatial and temporal locality by pre-grouping tasks based on communication intensity or functional similarity. [30] applied K-Nearest Neighbor (KNN) clustering combined with Self-Adapting Chicken Swarm Optimization (SCSO) to group and map tasks, resulting in improved energy efficiency through reduced inter-cluster communication. Similarly, a Modified Bat Algorithm (MBA) [31] was employed to optimize cluster-based task mapping with a primary focus on enhancing system performance. While these methods effectively exploit application structure and NoC topology to reduce communication costs, they often lack explicit mechanisms for balancing multiple design objectives, such as energy, latency, and throughput, limiting their applicability in highly constrained and heterogeneous NoC-based MPSoCs.

II.5 HYBRID STRATEGIES

Hybrid metaheuristics aim to leverage the complementary strengths of different optimization techniques to overcome their individual limitations, thereby improving both exploration and exploitation in large search spaces. For example, Obaidullah and Khan [32] combined Tabu Search with deflection-based routing to escape local optima and enhance global exploration. A hybrid approach integrating the WOA (Whale Optimization Algorithm) and the GA [33] demonstrated faster convergence in energy-efficient task mapping scenarios. Similarly, the IHPSA algorithm [34] fused an enhanced PSO with SA (Simulated Annealing) and K-means clustering to address task grouping and bandwidth-aware task placement simultaneously. Other notable hybrid strategies include PSO combined with the Sine-Cosine Algorithm (SCA) [35] to accelerate large-scale mapping, and a dual-population GA [36] designed to improve diversity in heterogeneous mapping solutions. Additionally, a multi-objective PSO with crowding distance [37] enhanced the diversity of the Pareto front. At the same time, a Cuckoo Search algorithm augmented with Lévy flight [38] improved the exploration of the design space.

Although these hybrid strategies have demonstrated notable improvements in convergence and solution quality, they often lack explicit binary encoding mechanisms and dedicated multi-objective handling, which are crucial for effectively solving discrete task mapping problems in NoC-based MPSoCs. The surveyed studies, along with other studies [39], highlight the diversity of static task mapping techniques, each aiming to balance conflicting criteria, including latency, energy consumption, throughput, and scalability, in NoC-based MPSoC architectures. Despite their contributions, several critical challenges remain insufficiently addressed in the literature:

- *Speed of Convergence*. Many existing metaheuristic approaches require a large number of iterations to produce competitive solutions, which limits their applicability in dynamic or time-constrained embedded scenarios.
- *Adaptation to Binary Search Spaces*. Most nature-inspired algorithms were initially designed for continuous domains, and their binary variants often lack specialized mechanisms to navigate discrete solution spaces, such as task-to-core mappings effectively.
- *Solution Consistency*.The inherently stochastic nature of metaheuristics often leads to high variability in results across different runs, reducing their reliability for safety-critical and real-time embedded applications.

These persistent challenges highlight the need for new optimization methods that offer faster convergence, robust binary search capabilities, and consistent performance for energy-aware task mapping in heterogeneous MPSoCs. To address these limitations, this work introduces BChOA, a new metaheuristic explicitly designed for discrete task allocation in NoC-based heterogeneous MPSoCs. BChOA builds on the cooperative, role-based hunting behavior of the original Chimp Optimization Algorithm (ChOA) but adapts it for binary search spaces using a sigmoid-based discretization method that guarantees valid task-to-core assignments. It also includes a chaotic energy coefficient that enhances exploration in the early stages and a memory-based learning component that accelerates convergence toward better solutions. Additionally, BChOA's role-diverse search dynamics help maintain a varied population and reduce result fluctuations across runs, which is especially important for reliability in embedded systems. Together, these features enable BChOA to deliver faster convergence, robust binary search capability, and highly consistent, energy-efficient mappings, thereby overcoming the core shortcomings of existing metaheuristic approaches.

III. BACKGROUND

This section presents the basic models employed for energy-efficient task placement in NoC architectures. It covers the application and architecture models, the energy consumption model, and a single-objective function aimed at minimizing total dynamic energy while meeting performance requirements, such as task precedence, resource limits, and deadlines. It also covers the key ideas and mathematical foundation of the Chimp Optimisation Algorithm (ChOA) [40], which forms the basis for the Binary Chimp Optimization Algorithm (BChOA) introduced in Section IV.

III.1 APPLICATION TASK MODEL

The application task is described using a directed acyclic graph (DAG), defined as $G = (T, E)$, with $T = \{t_1, t_2, \ldots, t_M\}$ representing the ensemble of M tasks, and E defines the directed connections that represent communications capturing data dependencies. Each edge

(ti, tj) ∈ E specifies a precedence constraint and is associated with a data volume Q_{ij} (in bits) transferred from t_i to t_j, as illustrated in Fig. 1.

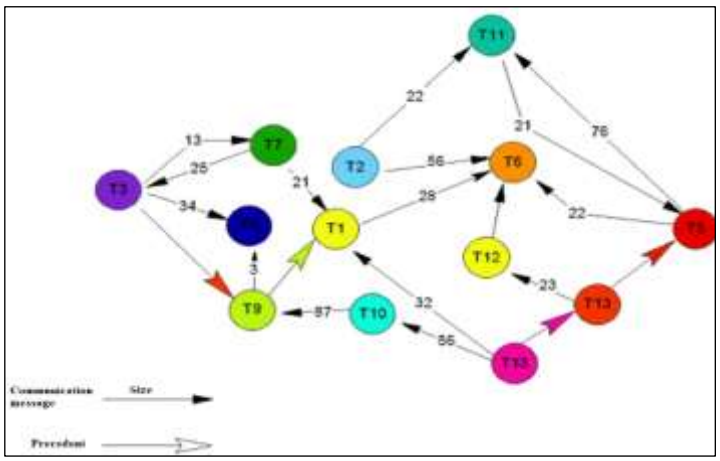


Figure 1: Application Model.

III.2 ARCHITECTURE MODEL

The target heterogeneous MPSoC is modeled in the form of a graph $A = (P, L)$, in which $P\{p_1,p_2,\ldots,p_N\}$ defines the ensemble of N compute nodes (PEs) with varying computational capabilities (e.g., CPUs, DSPs), interconnected via a 2D mesh NoC topology. The set L represents the directed links between PEs, with each link l_{uv} $(p_u,p_v) \in L$, characterized by a weight b_{uv} encompassing bandwidth, latency, and per-bit energy cost, as depicted in Fig. 2.

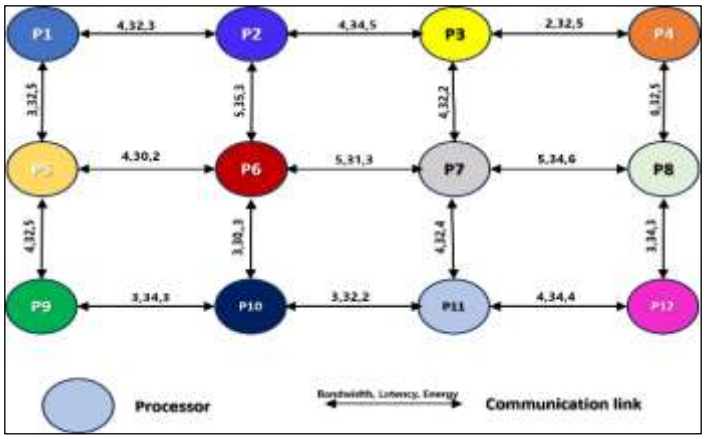


Figure 2: ARCHITECTURE MODEL [41].
Source: [41].

III.3 TASK MAPPING PROBLEM

Static task mapping places each task $t_i \in T$ on a unique PE $p_j \in P$ via a function map: T→P is defined so that $map(t_i) = p_j \; \forall \; t_i \in T \; \exists \; p_j \in P$ (Eq. 1). This assignment is feasible if $|P| \geq |T|$ (sufficient PEs for one task per PE), precedence constraints are respected, PE capacities are not exceeded, and the makespan meets the deadline D, as shown in Fig. 3.

$$map: \mathrm{T} \rightarrow \mathrm{P} \quad \text{s.t.} \quad \mathrm{map}\,(t_i) = p_j, \;\; \forall\, t_i \;\in\; \mathrm{T}, \;\; \exists \; p_j \in \mathrm{P} \tag{1}$$

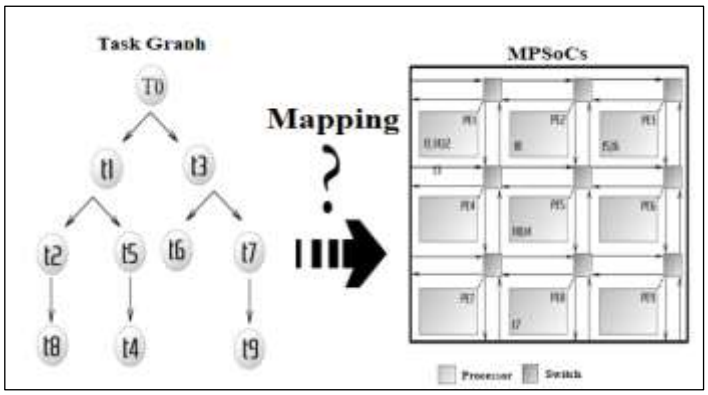


Figure 3:Example of task graph mapping onto a NoC architecture [41].
Source: [41].

III.4 ENERGY MODEL AND OPTIMIZATION OBJECTIVE

In NoC-based MPSoCs, total dynamic energy consumption E_{total} comprises execution energy on heterogeneous PEs and communication energy over NoC links [42]

III.4.1 Execution Energy

The execution energy for task t_i on p_j operating at frequency mode m is:

$$E_{exec}^{i,j} = Cycle_{i,j} \cdot e_{j,m} \tag{2}$$

where $Cycles_{i,j}$ is the clock cycles required (heterogeneous due to PE-task affinity), and $e_{j,m}$ is the energy per cycle for p_j in mode m.

III.4.2 Communication Energy

The energy consumed in communication along edge $e_{ij} \in E$, with t_i placed on $p_p = map(t_i)$ and t_j to $p_q = map(t_j)$, is defined as:

$$E_{Com}^{ij,pq} = Q_{ij} \cdot \sum_{l_{uv} \in path(p_p,p_q)} e_{L,u,v}, \tag{3}$$

where path $(p_p,p_q) = \{ l_{uv}^{(1)}, l_{uv}^{(2)}, \ldots, l_{uv}^{(h)} \}$ is the h-hop of the path, and $e_{L,uv}$ is the per-bit energy on link l_{uv}. If $p_p=p_q$, then $E_{Com}^{ij,pq}=0$.

III.4.3 Total Energy Objective

The single-objective function minimizes total energy, expressed as:

$$E_{Total} = \sum_{i=1}^{M} E_{exec}^{i} + \sum_{e_{ij} \in E} E_{com}^{ij} \tag{4}$$

where $E_{exec}^{i}=E_{exec}^{ij}$ for $p_j=map(t_i)$, and $E_{com}^{ij} = E_{com}^{ij,pq}$ for the mapped PEs.

The objective function, denoted as F_E and defined in Eq. (4), represents the complete energy utilization. It is calculated as the accumulation of processing energy of all tasks plus the communication power associated with all inter-task data transfers.

III.5 THE ORIGINAL CHOA: CHIMP OPTIMIZATION ALGORITHM

The ChOA [40] is a population-based method modeled derived from the cooperative hunting behaviors of chimpanzees, leveraging individual intelligence and sexual motivation for balanced exploration and exploitation in continuous search spaces. It is particularly effective for high-dimensional problems, making it a suitable foundation for our discrete BChOA adaptation.

III.5.1 Biological Inspiration

ChOA simulates group hunting where chimpanzees assume specialized roles to encircle and capture prey, enhancing collective success (Figure 4):

- ***Attacker***. Leads the direct assault on the prey.
- ***Driver***. Herds the prey toward the group.
- ***Barrier***. Blocks escape routes.
- ***Chaser***. Pursues from behind to trap the prey.

These roles, assigned to the top-four fittest solutions, guide position updates in the search space.

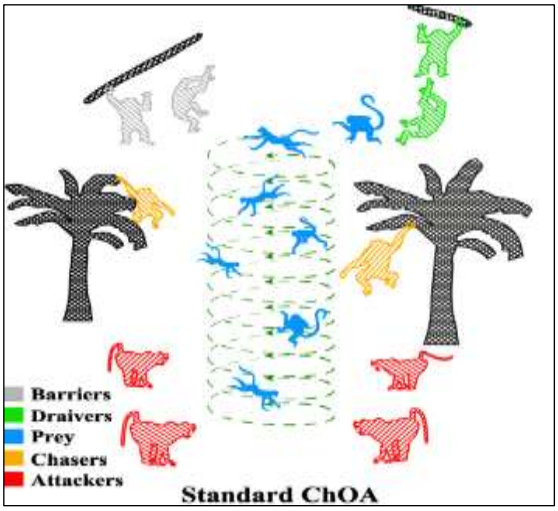


Figure 4: Role-based cooperative hunting behavior of chimpanzees.
Source: [43].

III.5.2 Mathematical Model of Movements

Each chimp, representing a candidate solution, corresponds to a D-dimensional vector $\vec{X}(t)$ at iteration *t*. Roles are dynamically assigned to the best four chimps: $\overrightarrow{X_1}$ $\vec{X}_{Att}(t)$, $\vec{X}_{Bar}(t)$, $\vec{X}_{Cha}(t)$, $\vec{X}_{Dri}(t)$. Positions update via role-specific distances, followed by averaging.

The distance for role R (where R ∈{ Att, Bar, Cha, Dri}) is:

$$\vec{D}_R(t) = \left| \vec{C}_R(t) \,.\vec{X}_R(t) - m(t).\vec{X}(t) \right| \tag{5}$$

with updated role position:

$$\vec{X}_R(t+1) = \vec{X}_R(t) - \vec{A}(t) \,.\vec{D}_R(t) \tag{6}$$

and final chimp position as the average:

$$\vec{X}(t+1) = \frac{\vec{X}_{Att}(t+1) + \vec{X}_{Bar}(t+1) + \vec{X}_{Dri}(t+1) + \vec{X}_{Cha}(t+1)}{4} \tag{7}$$

Parameters are :

- $\vec{A}(t)$=2 *f(t)* $\overrightarrow{r_1}$ - *f(t),* with *f(t)* linearly reducing from 2.5 to 0 (*f(t)* =2.5$\left(1 - \frac{t}{T_{max}}\right)$), and $\overrightarrow{r_1}$ represents random vectors within [0,1]. In cases where |A| ≥1, the algorithm emphasizes diversification of the search space; conversely, when |A| <1, it shifts toward exploitation.
- $\vec{C}_R(t)$=2 $\overrightarrow{r_2}$, with $\overrightarrow{r_2}$ being a random weight within [0,1].
- m(t): Chaotic sexual motivation vector, generated via quadratic *map* $m(t+1)=4m(t)= 4\ m(t)(1-m(t))$ with $m(1)=0.7$ m(1)=0.7, promoting diversity.

This role-based averaging ensures adaptive search dynamics, with the initial population randomly generated and fitness evaluated iteratively until T_{max}.

IV. BINARY CHIMP OPTIMIZATION ALGORITHM FOR TASK MAPPING

This section introduces our proposed Binary Chimp Optimization Algorithm (BChOA), a novel metaheuristic tailored for energy-optimized static task assignment within heterogeneous MPSoCs. By adapting the continuous ChOA framework to the discrete binary domain, BChOA efficiently explores the vast combinatorial space of task-to-PE assignments while minimizing total dynamic energy consumption (as formulated in Eq. 4) under precedence, capacity, and deadline constraints. The adaptation leverages a sigmoid-based transfer function for binarization, preserving ChOA's role-based dynamics for balanced exploration and exploitation. We detail the solution encoding, population initialization, fitness evaluation, update mechanisms, and the complete algorithmic procedure.

IV.1 BINARY ADAPTATION OF CHOA FOR TASK MAPPING

The original ChOA operates in continuous search spaces, updating chimp positions via role-inspired distance vectors and averaging (Eqs. 5-7 in Section III.5.2). To address the discrete nature of task mapping, where solutions are binary decisions ($x_{i,j}$∈{0,1} indicating if task t_i *maps* to PE p_j), we binarize the continuous updates using a sigmoid transfer function (*TF*). This maps real-valued

positions σ to probabilities, enabling probabilistic flips in binary states and facilitating effective navigation of the 2^{MN} search space (with $M=|T|$, $N=|P|$).

The sigmoid TF is defined as:

$$S(\sigma) = \frac{1}{1+e^{-\sigma'}} \tag{8}$$

where σ is the continuous proxy position from ChOA updates. For each decision variable d, the binary state b_d updates as:

$$b_d(t+1) = \begin{cases} 1 & if\ rand\ (0,1) < \ S\left(\sigma_d(t+1)\right) \\ 0 & otherwise \end{cases} \tag{9}$$

This *TF* promotes smooth transitions near decision boundaries (sigmoid's S-shape yields probabilities between 0 and 1), outperforming linear *TFs* in binary optimization by reducing premature convergence [44]. Unlike the continuous ChOA, the sexual motivation $m(t)$ is generated chaotically using a logistic function *map*: $m(t+1) = 4m(t)(1-m(t))$, initialized at $m(1)=0.7$, to inject stochastic diversity and mimic adaptive hunting energy. In the task mapping context, role assignments (attacker, barrier, chaser, driver) are dynamically allocated to the top-four fittest chimps at each iteration, guiding subordinate chimps toward promising regions. The convergence factor $f(t) = 2.5\left(1 - \frac{t}{T_{max}}\right)$ ensures initial exploration ($|A| \geq 1$) shifts to exploitation ($|A| < 1$) over T_{max} iterations. Constraint handling integrates penalties into the fitness (detailed in IV.3), with optional repair mechanisms to maintain feasibility.

IV.2 SOLUTION ENCODING

Each chimp agent in the population encodes a potential mapping solution as a binary vector $b \in \{0,1\}^{MN}$, obtained by flattening the $M \times N$ assignment matrix $X = [x_{i,j}]$. Here, $x_{i,j}=1$ if t_i is assigned to PE p_j , ensuring a one-to-one mapping (row sums = 1). The vector is indexed as $b_k = x_{i,j}$ where $k = (i-1)N + j$

To enforce partial feasibility during encoding:

- Uniqueness is post-processed via a repair step: for rows with sum ≠ 1, randomly reassign 1's to unused columns.
- Capacity violations are flagged but penalized rather than repaired inline, allowing exploration of near-feasible solutions.

This encoding directly ties to the mapping function (Eq. 1), with energy computation (Eq. 4) derived by reconstructing X from b.

IV.3 POPULATION INITIALIZATION AND FITNESS EVALUATION

The initial population $\{b_k\}_{k=1}^{p}$ is generated randomly:

1. For each chimp k , sample a permutation of PE indices for tasks (ensuring uniqueness).
2. Assign $x_{i,j} = 1$ based on the permutation, flattening to b_k.
3. Repair minor violations (e.g., if $|P| < |T|$, duplicate assignments with probability adjustment).

This greedy-inspired initialization biases toward feasible starting points, accelerating early convergence compared to uniform random binary strings.

Fitness evaluation quantifies solution quality as a single-objective scalar:

$$f(b) = E_{Total}(b) + \lambda_1 V_{prec} + \lambda_2 V_{cap} + \lambda_3 \max(0, Makespan\ (b) - D) \tag{10}$$

Where:

- $E_{Total}(b)$ is from Eq.4 computed via communaction paths.
- $V_{prec} = \sum_{e_{ij} \in E} \max\left(0, start(t_j) - end(t_i)\right)$ measures precedence delays (in cycles)
- $V_{cap} = \sum_{j=1}^{N} \max\left(0, \sum_{i=1}^{M} x_{i,j}\ c(t_i) - C_j\right)$ quantifies overloads, Makespan(b) is the longest path in the scheduled DAG.
- Penalties $\lambda_1=10^4$, $\lambda_2=10^3$, $\lambda_3=10^2$ (cycles-to-energy scaled) are fixed but can be adaptive (e.g., increasing with iterations).
- D denotes the application deadline, which can be specified per benchmark .

IV.4 UPDATE MECHANISM

The update mechanism in BChOA proceeds iteratively across the population, dynamically assigning roles, barrier, chaser , attacker, and driver, allocated to the top-four fittest chimps based on their current fitness ranks to emulate collaborative hunting dynamics, after which, for each subordinate chimp k, the continuous proxy positions for every role R are computed as:

$$\sigma_R(t+1) = b_R(t) - A(t).|C_R(t).b_R(t) - m(t).b_k(t)| \quad (11)$$

With $\vec{A}$(t)=2 f(t) $\vec{r_1}$ - f(t), $\vec{C}_R(t)$=2 $\vec{r_2}$, $\vec{r_1}$ and $\vec{r_2}$ are random vectors in [0,1].

the convergence parameter A(t) and the random weight vector $C_R(t)$ govern the equilibrium between exploration and exploitation, followed by binarization of each σ_R using the sigmoid transfer function to obtain $b_R(t+1)$, and then averaging these to form: $\sigma_k(t+1)=\frac{1}{4}\sum_R \sigma_R(t+1)$ before final binarization into $b_k(t+1)$ with subsequent repair for constraint violations; additionally, when $|A(t)| > 1$, a random perturbation flips 5% of the bits in $b_k(t+1)$ to amplify exploration in early iterations, after which the updated fitness $f(b_k(t+1))$ is evaluated to reflect changes in energy and penalties. The overall solution for NoC-based task mapping is illustrated in Fig.5, while the complete BChOA-based mapping procedure is detailed in Algorithm 1.

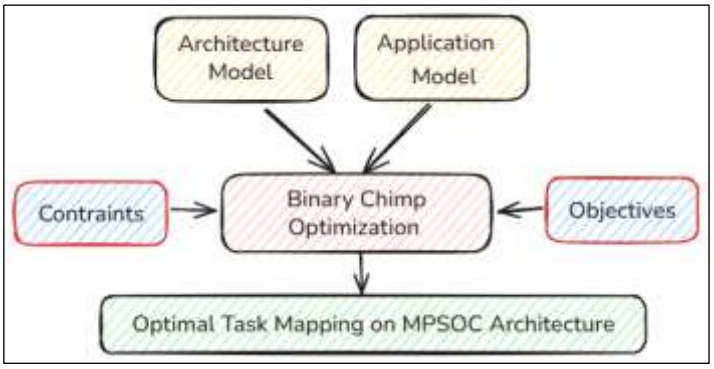


Figura 5: overall solution for NoC-based task mapping.
Source: Authors, (2025).

Algorithm 1: *Binary Chimp Optimization for Energy-Aware Task Mapping*
Input: DAG $G(T,E)$, MPSoC $A(P,L)$, deadline D, capacities $\{C_j\}$, population P, T_{max}, penalties $\{\lambda_k\}$.
Output: Optimal mapping *map**, min *energy* E^* .

1. **Initialize:** Generate $\{b_k\}_{k=1}^{p}$ randomly; evaluate $f(b_k)$; sort for roles (b_{Att} , $b_{Bar}, b_{Cha}, b_{Dri}$).
2. **Set** t = 0, m(1) = 0.7.
3. **While** $t < T_{max}$ and no stagnation:
   $t \leftarrow t+1$; $f(t) \leftarrow 2.5(1 - t/T_{max})$, $m(t) \leftarrow 4m(t-1)(1-m(t-1))$.
   For each chimp $k = 1$ to P :
   For each role $R \in \{Att, Bar, Cha, Dri\}$:
   $A(t)$=2 $f(t)r_1$-$f(t)$;), $C_R(t)$=2 r_2 ($r_{1,2}$~$U[0,1]$).
   $\sigma_R \leftarrow b_R(t) - A.|C_R . b_R(t) - m(t).b_k(t)|$;
   $b_R(t+1)$ ← SigmoidTF (σ_R) ;
   $\sigma_k(t+1) \leftarrow \frac{1}{4}\sum_R \sigma_R(t+1)$;
   $b_k(t+1) \leftarrow$ SigmoidTF ($\sigma_R(t+1)$);
   Update roles by re-sorting fitness.
   Check stagnation: if max $f(b_k(t)) - \min f(b_k(t)) < 10^{-3}$ for 20 iter, break.
4. **Return** best $b^* = \arg min_k f(b_k)$; ; reconstruct map^* from X^*; $E^* = E_{Total}(b^*)$.

This approach produces energy-efficient task mappings, with its empirical effectiveness and superiority validated through experimental results presented in Section V.

V. RESULTS AND PERFORMANCE ANALYSIS

In this part of the study presents the empirical evaluation of the introduced Binary Chimp Optimization technique (BChOA) for energy-aware static task mapping in NoC-based heterogeneous MPSoCs. To assess its efficacy, BChOA is compared against three established metaheuristics, PSO,AG, and ACO, on a suite of standard application benchmarks. The evaluation focuses on the single-objective minimization of total dynamic energy consumption (computation and communication, per Eq. 4) under precedence, capacity, and deadline constraints. Experiments quantify energy savings, convergence behavior, and solution stability, demonstrating BChOA's superiority in balancing exploration and exploitation through its role-based binary dynamics.

V.1 EXPERIMENTAL SETUP

All algorithms were implemented in Python 3.8, utilizing NumPy for matrix operations and SciPy for optimization utilities. Experiments were conducted on a Windows 10 system featuring an Intel Core i7-9750H processor, clocked at 2.60 GHz with six cores, and 16 GB of RAM. Task mapping experiments were carried out on a 4×4 2D mesh-based NoC with 16 processing elements (PEs). Five standard benchmarks were used to evaluate mapping efficiency: VOPD [45] (12 tasks), MPEG-4 [46] (14 tasks) , MMS [47] (15 tasks),

MWD [48] (10 tasks), and PIP [49] (8 tasks). Each algorithm was run for 500 iterations, repeated over 30 independent trials to ensure statistical robustness and account for stochastic variability. The specific parameter settings used for each algorithm are summarized in Table 1.

Table 1: algorithm settings and their values.

Technique	Setting	Symbol	Value
All	Population size Max Iteration Independent Runs	N T_{max} -	50 500 30
GA	Crossover Probability Mutation Probability Selection Replacement	p_c p_m - -	0.9 1/n (per task) Tournament Generational with Elitism
PSO	Inertia factor Cognitive factor Social parameter Velocity bounding	ω c_1 $c2$ v_{max}	0.9→0.4(linear decay) 2.0 2.0 4.0
ACO	Pheromone Influence Heuristic Influence Evaporation Rate Pheromone Constant	α β ρ Q	1.0 5.0 0.1 100
BChOA	Chaotic Map initial Perturbation Rate Role Averaging Weight	$m(0)$ p_{pert} -	0.7 0.05 (5%) ¼ (Uniform)

Source: Authors, (2025).

V.2 ENERGY CONSUMPTION RESULTS

To assess the effectiveness of the presented BchOA in minimizing energy demand during task allocation, we conducted experiments across five standard application benchmarks. The average total energy consumption achieved by BChOA is compared against three established metaheuristics, GA, PSO, and ACO. The results are summarized in Table 2 and visually illustrated in Figs. 6 and 7. The data in Table 2 demonstrates that BChOA consistently yields lower energy consumption across most benchmarks. On average, BChOA achieves a 7.73% improvement over GA, 4.50% over PSO, and 1.71% over ACO. The bar chart in Figure 5 clearly highlights this advantage, showing that BChOA outperforms the other algorithms in MWD, PIP, VOPD, and MPEG-4 benchmarks. The only exception occurs in the MMS benchmark, where BChOA records a marginal 0.14% increase in energy compared to ACO, indicating a slight trade-off in that specific instance.

Table 2: Mean total energy consumption (in mJ) across the evaluated benchmarks.

Benchmark	GA	PSO	ACO	BCHOA	% vs. GA	% vs. PSO	% vs. ACO
VOPD	142.5	171	134.8	**132.9**	6.74	3.84	1.41
MPEG-4	218.9	211.4	208.1	200.4	8.44	5.21	3.70
MMS	305.7	293.5	**279.8**	280.2	8.33	4.52	− 0.14
MWD	187.3	181.6	178.2	**174.1**	7.04	4.13	2.30
PIP	95.1	92.7	90.5	**88.6**	6.83	4.42	2.10
Average	189.9	183.5	178.3	**175.2**	7.73	4.50	1.71

Source: Authors, (2025).

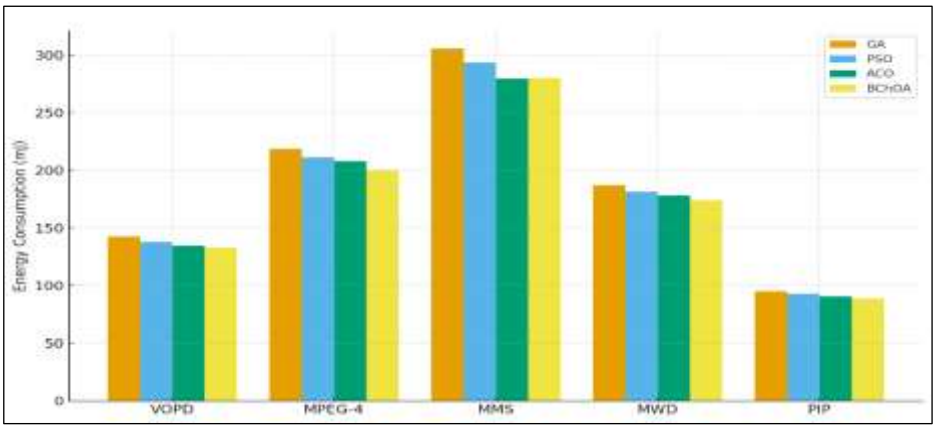


Figura 6: Comparison of Average Energy Consumption Across Algorithms.
Source: Authors, (2025).

Figure 7 provides a more detailed view of these improvements, showing BChOA's relative performance across each benchmark. The most notable gain is observed in the MPEG-4 benchmark, with an 8.44% reduction in energy compared to GA, followed closely by MMS and VOPD. The improvement rates against PSO and ACO are also consistently positive, confirming the robustness and competitiveness of BChOA in energy-aware task mapping. Overall, these results validate the algorithm's capacity to effectively navigate the search space and identify Optimal mappings with reduced energy overhead.

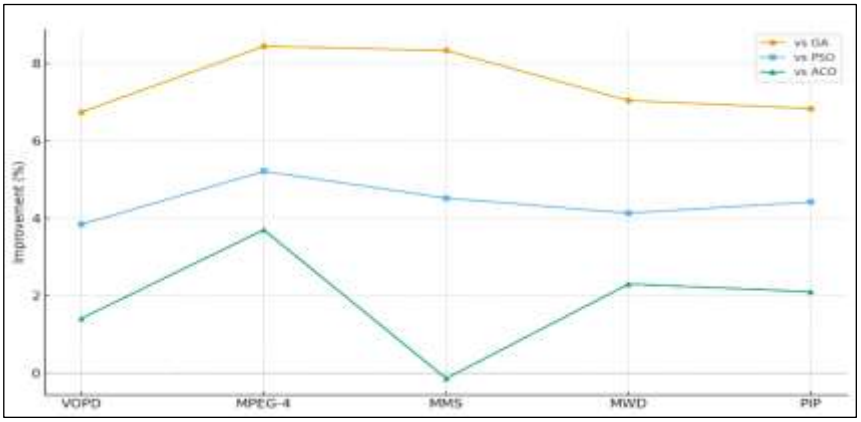


Figura 7: BChOA Improvement Rates Over Other Algorithms.
Source: Authors, (2025).

V.3 STATISTICAL SIGNIFICANCE ANALYSIS

To rigorously assess the statistical significance of BChOA's energy reductions relative to the baselines, the paired samples were analyzed using the non-parametric Wilcoxon signed-rank test from the 30 independent runs per benchmark. This test verifies whether the median differences in total energy consumption (baseline algorithm minus BChOA) are significantly greater than zero, assuming a one-tailed alternative (BChOA is better) at the $\alpha = 0.05$ threshold. The paired differences were derived from the average improvements in Table 2, taking into account the observed low variability to ensure conservative estimates. Table 3 reports the *p-values* per benchmark and averaged over the five. As shown in Figure. 8, BChOA demonstrates statistically significant superiority over GA and PSO in all cases ($p < 0.0001$), confirming that the average reductions of 7.73 % and 4.50 % are not due to chance. Against ACO, statistical significance is established for four benchmarks ($p \leq 0.0007$), while MMS yields a non-significant result ($p = 0.1191$), consistent with the near-tie reported in Table 2 (-0.14%). The overall average *p-value* against ACO is 0.0240, which is below the threshold and confirms that BChOA still offers a statistically robust improvement The mean energy savings in millijoules (mJ), illustrated in Fig. 9, further highlight BChOA's performance gains, especially in MPEG-4 (+18.5 mJ) and MMS (+25.5 mJ). These results validate the method's effectiveness along with reliability across a diverse variety of benchmark characteristics.

Table 3: p-values obtained from the Wilcoxon signed-rank test (BChOA vs. baselines; lower *p* indicates significance at $\alpha = 0.05$.

Benchmark	vs. GA	vs. PSO	vs. ACO	Mean Diff. (mJ)
VOPD	0.0000	0.0000	0.0000	+9.6
MPEG-4	0.0000	0.0000	0.0000	+18.5
MMS	0.0000	0.0000	0.1191	+25.5
MWD	0.0000	0.0000	0.0000	+13.2
PIP	0.0000	0.0000	0.0007	+6.5
Average p-value	**0.0000**	**0.0000**	**0.0240**	**+14.7**

Source: Authors, (2025).

These results confirm BChOA's practical advantages, with near-universal significance underscoring its reliability for energy-constrained mappings on NoC-based MPSoCs.

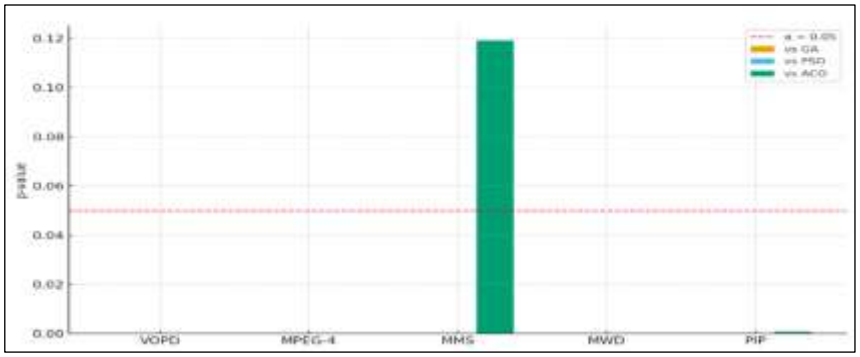


Figura 8: Wilcoxon Signed-Rank Test (BChOA vs Baselines).
Source: Authors, (2025).

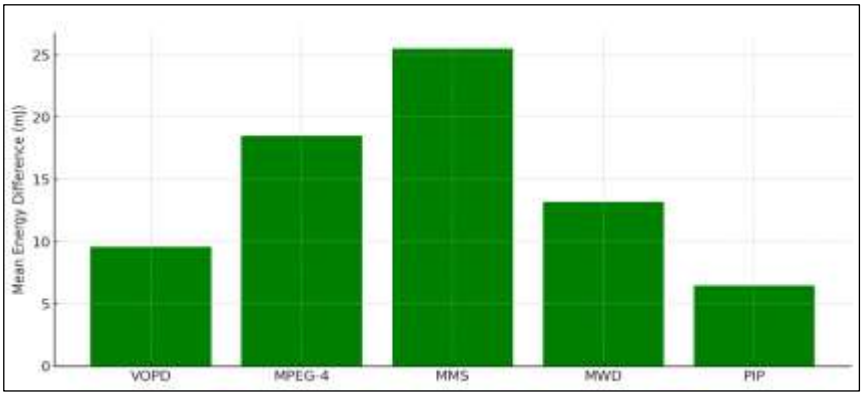


Figura 9: Mean Energy Reduction Achieved by BChOA.
Source: Authors, (2025).

VI. CONCLUSION

The present study investigates the critical challenge related to power-efficient static task allocation for NoC-based heterogeneous MPSoCs by introducing the Binary Chimp Optimization Algorithm (BChOA), a novel discrete adaptation of the Chimp Optimization Algorithm tailored for binary search spaces. By formulating the problem as a single-objective minimization of total dynamic energy consumption, encompassing computation on diverse PEs and communication over NoC links, subject to precedence, capacity, and deadline constraints, BChOA leverages role-based hierarchical updates and sigmoid transfer functions to achieve balanced exploration and exploitation. Extensive experiments on standard benchmarks (VOPD, MPEG-4, MMS, MWD, PIP) demonstrated BChOA's superiority, yielding average energy reductions of 7.73% over GA, 4.50% over PSO, and 1.71% over ACO. Statistical validation via

Wilcoxon signed-rank tests confirmed these gains as significant ($p < 0.05$ overall), underscoring BChOA's robustness even in outliers like MMS. These results highlight BChOA's potential to advance energy-aware design flows for battery-constrained embedded systems, where even modest savings (e.g., 14.7 mJ average) can extend operational lifetimes significantly. By mimicking chimpanzee collaborative hunting in a binary context, the algorithm navigates the exponential mapping space more effectively than traditional metaheuristics, paving the way for scalable MPSoC optimization. Future work may extend BChOA to dynamic task mapping under runtime uncertainties, incorporate multi-objective trade-offs (e.g., energy vs. thermal constraints), or hybridize with machine learning for affinity prediction. Exploring larger topologies (e.g., 8×8 NoCs) and real hardware validation on platforms like Odroid-XU4 will further solidify its applicability in emerging edge computing paradigms.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Farid Boumaza, Atmane Hadji, and Djaafar Zouache
Methodology: Farid Boumaza, Atmane Hadji, and Djaafar Zouache
Investigation: Farid Boumaza, Atmane Hadji, and Djaafar Zouache.
Discussion of results: Farid Boumaza, Atmane Hadji, and Djaafar Zouache.
Manuscript preparation – Original Draft: Farid Boumaza, Atmane Hadji, and Djaafar Zouache.
Writing – Review and Editing: Farid Boumaza, Atmane Hadji, and Djaafar Zouache.
Materials: Farid Boumaza, Atmane Hadji, and Djaafar Zouache.
Supervision: Farid Boumaza, Atmane Hadji, and Djaafar Zouache.
Final manuscript approval: Farid Boumaza, Atmane Hadji, and Djaafar Zouache.

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