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SUMMARY

COMPACT SPIRAL TRANSFORMER DESIGN FOR HIGH-EFFICIENCY INTERLEAVED FLYBACK CONVERTERS IN SOLAR POWER SYSTEMS **01**
Benzidane Mohammed Ridha, Namoune Abdelhadi, Benbouzid Zineb, Benyamina Mansour, Meskine Said

DEVELOPMENT AND IMPLEMENTATION OF AN INDUSTRIAL IOT-BASED REAL-TIME PROCESS MONITORING SYSTEM TO IMPROVE OVERALL EQUIPMENT EFFECTIVENESS (O.E.E.) OF BEARING MANUFACTURING PROCESS **11**
Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri, Janak Valakl

PERFORMANCE-DRIVEN OPTIMIZATION OF CMOS-BASED TWO-STAGE OPERATIONAL AMPLIFIER USING METAHEURISTIC ALGORITHMS **23**
Sureshbhai Laxmanbhai Bharvad, Pankajkumar Prajapati

NAVIGATING AGILE IMPLEMENTATION IN YEMENI SOFTWARE FIRMS CHALLENGES, BENEFITS, AND STRATEGIC INSIGHTS **32**
Ali Balaid, Hanan Baleid, Nasr Alsakkaf

EXPERIMENTAL VALIDATION OF VIBRO SEPARATOR AND ANOVA TECHNIQUE FOR AMPLITUDE **42**
Pavan Maheshchandra Bhatt, D.H. Pandya

OPTIMIZATION OF PROCESS PARAMETERS FOR HORIZONTAL VIBRO-SEPARATOR WITH DYNAMIC MOTION ANALYSIS **47**
Pavan Maheshchandra Bhatt, D.H. Pandya

ELECTROCHEMICAL POTENTIAL AND CHARACTERIZATION OF $NIFE_2O_4$/CU-1 AND $NIFE_2O_4$/CU-2 **53**
Naveen Chandra Joshi, Khundrakpam Somen Singh, B S Rawat

COMPARATIVE ANALYSIS OF IECC-QKD WITH SEVERAL ACCESS CONTROL AND SECURITY APPROACHES FOR SECURE AUTHENTICATION AND DATA SHARING IN CLOUD ENVIRONMENTS **64**
Akshay Agrawal, Rahul Thour

DEEP LEARNING APPLICATIONS IN AGRICULTURE AND RURAL DEVELOPMENT: TOWARD SMARTER, MORE SUSTAINABLE FOOD SYSTEMS **75**
Mohammed Mostefa Selt, Aymen Dia Eddine Berini, Said Boumaraf, Abelhalim Hadjadj, Ala-Eddine Benrazek

ANFIS-BASED MPPT STRATEGY FOR SOLAR WATER PUMPING SYSTEM **87**
Islam Hachemi, Kamel Haddouche, Ahmed Bouzidane, Mustapha Belarbi

DEVELOPMENT AND FIELD EVALUATION OF AN IOT-BASED SMART IRRIGATION SYSTEM FOR VEGETABLE PRODUCTION IN SEMI-ARID SENEGAL **98**
Pape El Hadji Abdoulaye Gueye, Diery Ngom, Cherif Bachir Deme

AUDITORY LIBRARY GUIDE: A DIGITAL SOLUTION FOR VISUALLY IMPAIRED READERS **108**
V. Thamilarasi

PROGRESSIVE BAT FOR NEURAL TUNING (PBNT): A BIO-INSPIRED HYPERPARAMETER OPTIMIZATION FRAMEWORK FOR SKIN LESION CLASSIFICATION **118**
Shunmuga Priya K., Selvi V.

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

HFMSTMC: IMPROVED BINARY GREY WOLF OPTIMIZATION IN HYBRID FUZZY MINIMUM SPANNING TREE CLUSTERING WITH MANIFOLD LEARNING **131**
Dhanapriya L., S. Preetha

PERFORMANCE OPTIMIZATION OF EV MOTOR THROUGH NOVEL MODULATION TECHNIQUES IN SIC MULTILEVEL INVERTER **139**
K. S. R. Deepika, Shaik Abdul Ahad, R. Srinivasa Rao

IMPROVING DEPTH IMAGE QUALITY VIA SUPER-RESOLUTION AND ARTIFACTS REMOVAL: CNN-BASED APPROACH VS. TRADITIONAL METHODS **150**
Yagneshkumar Jayantilal Parmar, Paresh M. Dholakia

PERFORMANCE EVALUATION OF SOLAR PV-BATTERY HYBRID SYSTEM POWERED BLDC MOTOR SPEED CONTROL USING ULTRA-LIFT LUO-CONVERTER **160**
G Dilli Harsha, Vyza Usha Reddy

IOT-BASED REMOTE VITAL SIGNS MONITORING AND TEMPERATURE FORECASTING FOR PREGNANT WOMEN **173**
Bilal Mokhtari, Fairouz Graine, Abdelhak Merizig

DEVELOPMENT OF A REAL-TIME MONITORING AND CONTROL SYSTEM FOR AN INDUSTRIAL PLANT USING PLC AND SCADA TECHNOLOGIES **184**
Benarabi B., Achbi MS., Rouabah B., Boutalbi MC.

A SHORT REVIEW ON BATTERY THERMAL MANAGEMENT FOR EV APPLICATION **194**
B Musthafa, Bharath H, P.D. Jeyakumar, T.R. Tamilarasan, C. Dineshkumar, C.K. Arvinda Pandian, A. Gurusamy

MODELLING, VERIFICATION, AND OPTIMIZATION OF PROCESS PLAN GENERATION IN SUSTAINABLE RECONFIGURABLE MANUFACTURING SYSTEMS USING EVOLUTIONARY-GENERATED PETRI NETS **209**
Fareh mohamed elkabir, Laid Kahloul, Manel Femmam

LEVERAGING TUMOR INDUCED FREQUENCY SHIFTS BY A 24 GHZ MICROSTRIP ANTENNA WITH HIGH SENSITIVITY FOR BREAST CANCER DIAGNOSIS **224**
Yaqdhan Mahmood Hussein, Tabarek Alwan Tuib, Baydaai Hadi Saoudi, Thulfiqar H. Mandeel

SMART CLASSIFICATION OF SUBMERSIBLE PUMPS **235**
Mourad Abed, Ali Bedjaoui Bedjaoui, Abdelmoutia Telli

GROUNDEDNESS-AWARE RETRIEVAL IN GOVERNMENT DOCUMENT CHATBOTS: SYSTEMATIC LITERATURE REVIEW AND SEMANTIC ALIGNMENT SCORE (SAS) FORMULATION **242**
Frendy Rocky Rumambi, Didik Dwi Prasetya, Triyanna Widiyaningtyas

DEEP LEARNING-BASED DETECTION OF VERNACULAR HERITAGE HOUSES IN SUMBA ISLAND USING BSTO-VGG16-ALNN AND BIG DATA ANALYTICS **258**
Nandhini P

AN INTEGRATED RECOMMENDATION SYSTEM FOR CUSTOMISED E-LEARNING USING THE BERT MODEL **273**
Jatin Singh, Nirbhay Gautam, Amul Bharti, Priyanka Sharma, Vibha Gaur

LIFTING-BASED BLOCK FRACTIONAL WAVELET FILTER COMPRESSION OF HYPERSPECTRAL IMAGES OVER WIRELESS MULTIMEDIA SENSOR NETWORK PLATFORMS **284**
Purushottam Lal Nagar, Shrish Bajpai

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

ARTIFICIAL INTELLIGENCE STRATEGIES IN ENHANCING CYBERSECURITY: AN ANALYSIS OF ADVANCED APPLICATIONS AND TECHNIQUES **296**
Ali Chasib Alhasnawy, Nibras Yousif Algburi, Tara Sabah Mehdi

ENHANCED DEEPFAKE IMAGE DETECTION VIA SWIN-B TRANSFORMER WITH VISUAL ATTENTION ANALYSIS **304**
Vineela Krishna Suri, Prasad GVSNRV

EFFECT OF CVD-COATED MULTILAYER CARBIDE INSERT ON SURFACE FINISH OF CRYOGENICALLY TREATED EN31 HARDENED ALLOY STEEL USING BOX-BEHNKEN DESIGN **315**
Shivaji Vithal Bhivsane, Arvind L Chel, Siraj Sayyed

EXPERIMENTAL INVESTIGATION OF ROTARY FRICTION WELDING OF AL2017A ALLOY REINFORCED WITH ALUMINA (AL_2O_3) PARTICLES **325**
Raouache elhadj, Ahlem Mechta, Aissa Laouissi

REAL-TIME PATH REROUTING AND OBSTACLE AWARE NAVIGATION IN AUTONOMOUS VEHICLES: A SIMULATION AND DATA ANALYSIS APPROACH **334**
Lakshmi Narayana I, TMN Vamsi

A DEVELOPMENT OF FUZZY-PID CONTROLLER APPLIED ON AN AUTONOMOUS SURFACE VEHICLE **342**
Thien M. Tran, Tien V. Tran

OPTIMIZATION OF ENERGY CONSUMPTION BY HVAC SYSTEM IN BUILDINGS USING DEEP LEARNING-BASED CONTROL STRATEGIES **356**
Rajalakshmi K, R. Thirumalai Selvi

INVESTIGATION OF FRACTURE BEHAVIOR IN MODE I AND II FOR REPAIRED EDGE-INCLINED CRACKS WITH TRAPEZOIDAL COMPOSITE PATCHES **367**
Toufik Achour, Cherrad Mohamed Lotfi, Chaour Mohamed, Boucherma Djamel, Boulkroune Sofiane, Hamadi Billel Billel

DIGITAL TWIN IMPLEMENTATION STRATEGIES FOR COMPLEX MANUFACTURING ECOSYSTEMS: A MULTI-LEVEL INTEGRATION FRAMEWORK **373**
Suchita B. Jadhav, Kirti A Patil, Kavita Tukaram Patil, Mokshda Nandkishor Kachave, Sharmila P Zope

IMPACT OF ROUGHNESS ON THE EMPTYING TIME OF A TANK: EXPERIMENTAL AND NUMERICAL ANALYSIS **381**
Belaid Larbi, Bessanane Nabil, Tebbi Fatima Zohra

EXPERIMENTAL VALIDATION OF A NOVEL DUAL-SLOT SIW BANDPASS FILTER FOR 5G KA-BAND APPLICATIONS **389**
Fatiha Louakhche, Ahcene Abed, Redha Bendoumia, Ahmed Bouchekhlal

AES-ENHANCED BLOCKCHAIN INTRUSION DETECTION SYSTEM FOR SECURE NETWORKS **399**
Hemanth Uppala, R. Renuga Devi

DEEP LEARNING APPROACH FOR OIL PALM LEAF DISEASE CLASSIFICATION USING VGG16 ENHANCED WITH ADAM OPTIMIZATION **411**
Hafiz Irsyad, Muhammad Rizky Pribadi, Indrajani Sutedja, Yulistia Yulistia

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

COMPREHENSIVE ANALYSIS OF ENERGY AUDIT STRATEGIES FOR ENHANCING ENERGY EFFICIENCY IN HIGHER EDUCATIONAL INSTITUTES **419**
Seema V Vachhani, Dharmesh J. Pandya

QUALITY ENHANCEMENT TECHNIQUES FOR BREAST CARCINOMA IN EPITHELIAL TISSUE IDENTIFICATION PROCESS **424**
Bharathi K, A. S. Arunachalam

AUTOMATION OF THE FOOD DEEP-FREEZING PROCESS USING A PLC-CONTROLLED FREEZING TUNNEL. **434**
Washington Stalin Jácome Bastidas, Franklin Wilfrido Salazar Logroño, Byrón Paúl Huera Paltán, María Belén Paredes Regalado

SYSTEMATIC REVIEW OF COFFEE AND RICE ASH IN PHYSICAL-MECHANICAL PROPERTIES AND CONCRETE DURABILITY **442**
Michael Whitman Quiñones Mas, Socrates Pedro Muñ, Victor Manuel Valdiviezo Sir

A NOVEL TWINNET TRANSFORMER-BASED DEEP LEARNING MODEL FOR ACCURATE AND EFFICIENT PADDY LEAF DISEASE DIAGNOSIS USING EXPLAINABLE AI **453**
Daniel Raj K, Ponseka G, JeyaPreetaEmima J, Ananthakumari A, Karthi S, KumaraSundari V.

SMART AI-INTENSIVE SOFTWARE DEFECT PREDICTIONS BASED ON OPTIMIZED DEEP FEATURE CLASSIFICATION USING GWO-CODE2VEC CNN LEARNING **460**
Ruckmani V. S, Rajan John, J. Jebamalar Tamilselvi, Surya Susan Thomas

A YOLO-BASED AUTOMATIC BANGLADESHI VEHICLE LICENSE PLATE RECOGNITION SYSTEM **475**
Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita

EXPERIMENTAL EVALUATION OF MULTI-SENSOR AI-BASED FAULT DIAGNOSIS FOR INDUCTION MOTORS IN INDUSTRIAL APPLICATIONS **487**
Saranya M, Archana N, Udhayakumar S

DEEP LEARNING APPROACHES FOR DETECTING AND CLASSIFYING TOMATO DISEASES: A COMPREHENSIVE OVERVIEW **498**
Youssef M Laatiri, Mohamed Ali Mahjoub, PROF

WELL-POSEDNESS IN M-ULTRADIFFERENTIABLE SPACES FOR WEAKLY HYPERBOLIC CAUCHY PROBLEMS WITH HÖLDER CONTINUOUS COEFFICIENTS **515**
Said Bouaziz, Khaled Benmeriem, Laid Gasmi

FIREFLY-BASED OPTIMIZED LINK STATE ROUTING PROTOCOL FOR ENERGY-EFFICIENT VEHICULAR AD HOC NETWORKS **526**
Mustafa Tareq, Saad Adnan Abed, Yasir Hadi Farhan, Boumedyen Shannaq, Said Almaqbali, Oualid Ali

CONSISTENCY VALIDATION OF TRANSFORMING UML STATECHART MODELS TO FLAT STATE MACHINE MODELS WITH USE APPROACH **538**
Ali lalouci

POWER QUALITY IMPROVEMENT THROUGH HARMONIC FILTERS USING TASMANIAN DEVIL OPTIMIZATION ALGORITHM **560**
Ashokkumar Parmar, Mehul Dansinh Solanki, Jaydeepsinh Sarvaiya, Divyesh Keraliya, Ashokkumar Lakum, Maqbul Ghanchi

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

COST-EFFECTIVENESS AND EFFICIENCY OF PV PUMPING SYSTEMS UTILIZING ARTIFICIAL INTELLIGENCE ALGORITHMS **567**
Zoubir Chelli, Tarek Khoualdia, Skander Bouraghda

EVALUATION OF METHYLENE BLUE REMOVAL USING A FOOD-INDUSTRY BYPRODUCT VIA SIMULATION AND MODELING **575**
Salah Eddine Bencheikh, Mohamed Bilal Goudjil, Ladjel Segni

DESIGN OF A HYBRID ENSEMBLE FEATURE SELECTION FRAMEWORK FOR BIG DATA TEXT MINING **589**
Smah Smari, Barigou Fatiha, Belalem Ghalem

EXPERIMENTAL INVESTIGATION AND OPTIMIZATION ON ABRASIVE WATERJET DRILLING OF INCONEL -939 ALLOY **602**
Praveen Jayapalan, Rajesh Munusamy, Sandhya Jayakumar

EFFICIENT EXTRACTION OF PATTERNS AND INSIGHTS FROM LARGE-SCALE DATA FROM DISTRIBUTED SYSTEM USING DEEP LEARNING AND LSTM **610**
Syed Kousar Niasi K, K. Saravanakumar, Anand Viswanathan, K. Ravikumar

RED-TAILED HAWK (RTH) ALGORITHM FOR OPTIMAL PV RECONFIGURATION IN IRRIGATION SYSTEMS UNDER PARTIAL SHADING CONDITIONS **621**
Abdelouadoud Loukriz, Abderrahim Zemmit, Ahmed Bendib, Moadh Kichen

IMPROVEMENT IN BER PERFORMANCE OF GFDM-BASED 5G COMMUNICATION SYSTEM USING NEW HYBRID ERROR-CORRECTING CODE **635**
Divya Jain, Debendra Kumar Panda, Smita Prajapati

A PROPOSED MODEL FOR DESIGNING A METAMATERIAL UNIT CELL 9 - 14GHZ FREQUENCY BAND COMMUNICATIONS **643**
Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd, Omar Alnaseri

FOREST FIRE TRENDS IN INDONESIA AND AUSTRALIA: LESSONS LEARNED AND MITIGATION STRATEGIES **650**
Evizal Abdul Kadir, Wan Aezwani Wan Abu Bakar, Sri Listia Rosa, Hitoshi Irie

ASSESSING MORAL DEVELOPMENT AND LEARNING OUTCOMES IN STEM EDUCATION: EVIDENCE FROM AN INDONESIAN INFORMATICS PROGRAM **663**
Deby Erdriani, Darmansyah Darmansyah, Abna Hidayati

SAFETY AS AN ORGANIZATIONAL DIMENSION: CHALLENGES OF PUBLIC MANAGEMENT IN RISK PREVENTION AND INSTITUTIONAL RESPONSIBILITY **668**
Tarcisio Dorn de Oliveira

DEVELOPMENT OF A MICROCONTROLLER-BASED AUTOMATED PEST CONTROL SPRAYING SYSTEM **677**
Bless Gordo Ampuan, Kenneth Saldo, Noel Angelo Espinar, Miguel Gonzalo Olmedo, Rey Mark Sumayop, Brix Ivan Cu, Arnol Galon

ENHANCING PLAYFAIR CIPHER SECURITY USING CHAOTIC MAPS: A COMPARATIVE ANALYSIS OF LOGISTIC, HÉNON, AND ARNOLD CAT MAPS **686**
Radhika Patel, Isha Patel, Mahek Vira, Stevina Dias

THE USE OF MACHINE LEARNING IN ONLINE COURSE SENTIMENT ANALYSIS: A CASE STUDY POST COVID-19 PANDEMIC **696**
Darwan Darwan, Sirojudin Wahid, Fajar Hardoyono, Indra Indra, Muhammad Hikmal

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

IMPACT OF DIGITAL HR PRACTICES ON ENVIRONMENTAL SUSTAINABILITY IN HEALTHCARE INSTITUTIONS OF ANDHRA PRADESH **710**
Suresh Yamarthi, CH. Balaji, Satish Babu Dogiparti, N. Usha Deepa Sundari, Salma Syed, Krishna Veni Lokavarapu

INTELLIGENT SECURITY SURVEILLANCE SYSTEM BASED ON MULTI-MODAL OBJECT DETECTION AND EDGE COMPUTING **721**
Shraddha More, Vivian Brian Lobo, Sheetal Patil, Yogita Mane, Vishakha Shelke, Navin Chaganti

EVALUATING THE EFFECTIVENESS OF DEEP LEARNING MODELS FOR CHEST X-RAY IMAGE CLASSIFICATION **732**
I Komang Somawirata, Fitri Utaminingrum, Chikamune Wada, Ervin Yohannes

MULTI-SCALE ATTENTION-GUIDED CNN-BILSTM FRAMEWORK FOR EMOTION RECOGNITION IN MULTIMODAL VIDEO DATA **741**
J. Biju, Lavanya K, J. Raja, M. Kiruthiga Devi, Payala Krishnanjaneyulu

RESOURCE ALLOCATION METAHEURISTIC TECHNIQUES IN CLOUD COMPUTING **755**
Sonia Sharma, Nipun Chhabra

ENHANCED DETECTION OF STUDENT DEPRESSION USING AN OPTIMIZED MACHINE LEARNING MODEL **764**
Saad Adnan Abed, Mohammed Salah Ibrahim, Omar Hammad Jasim, Ahmed Adil Nafea

EXPERIMENTAL INVESTIGATION OF ORIENTATION-DEPENDENT TENSILE BEHAVIOUR IN FDM-PRINTED ABS AND CF-ABS COMPONENTS **774**
Kaustubh Pravin Joshi, M. K. Chopra

WEB SERVICE QOS PREDICTION BASED ON AUTOENCODER WITH MINI-BATCH GRADIENT DESCENT **799**
Le Van Thinh

A MACHINE LEARNING AND HYBRID FEATURE SELECTION FRAMEWORK FOR PREDICTING PRETERM BIRTH IN NULLIPAROUS WOMEN USING ELECTRONIC MEDICAL RECORDS **808**
T Ummal sariba begum, R. Renuga Devi

PERSONALIZED INFORMATION RETRIEVAL USING LETOR MACHINE LEARNING RE-RANKING ALGORITHMS IN MSLR-WEB10K DATASET: A COMPREHENSIVE STUDY **829**
M Poomani, J. Jebamalar Tamilselvi

SEGRIVWIDTH: RIVER WIDTH MEASUREMENT USING DEEP LEARNING **835**
Hasmukh P Koringa, Miral Jerambhai Patel, Bhavik D. Upadhyay, Sonal T. Dave, Ashish K Sarvaiya, Priyank K.Shah

EMBRYO SELECTION AND CLASSIFICATION IN IVF USING HYBRID DEEP LEARNING APPROACH **844**
J. Deepa, A. Akila

SEGMENTING HEPATIC BLOOD VESSELS AND LIVER TUMORS IN CT IMAGES: AN IMPROVED EVOLUTIONARY ALGORITHM APPROACH **855**
Selvakumar Subramanian, Sivakumar S, K. R Ananthapadmanaban

EVALUATION OF THE OPERATIONAL PERFORMANCE OF AN AUTOMATED DEEP-FREEZING TUNNEL: CYCLE TIMES, THERMAL STABILITY, AND HANDLING ERRORS. **868**
Franklin Wilfrido Salazar Logroño, Alvaro Ismael Andaluz Lascano, Henry Javier LLumiguano Poma, Fernando Urrutia U, Luis Rojas Oviedo, Ángela Pamela Chavez Arias, Gabriela Joseth Serrano Torres

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

A GIS-BASED SITE SUITABILITY ASSESSMENT SYSTEM FOR SUSTAINABLE AND PRODUCTIVE FISH REARING **877**
Gerry L. Contillo, Nathaniel S. Castro, Julius Jimenez, Ernesto Jr. S. del Rosario

A COMMUNICATION-FREE PQ-BASED CONTROL STRATEGY FOR 7.7 KW BIDIRECTIONAL WIRELESS EV CHARGERS **884**
Abdelmoumin Hamrani, Abdelhalim Tlemçani, Said Barkat

NUMERICAL STUDY ON THE INFLUENCE OF SURFACE MODIFICATION ENHANCING THERMAL PERFORMANCE AND OPTIMIZATION IN MICROCHANNEL HEAT EXCHANGERS **895**
Sorna Latha, Divya Haridas, Karthik Jayanarasimhan

ANALYTICAL AND NUMERICAL ANALYSIS OF STRESS CONCENTRATION SINGULARITIES IN PERFORATED COMPOSITE WING RIBS **908**
Ishak Berkane, Zohra Labed

FINE-TUNING STRATEGIES FOR SENTIMENT ANALYSIS IN THE ALGERIAN DIALECT: A COMPARATIVE STUDY ON DZIRIBERT **920**
Salima Brachemi-Meftah, Fatiha Barigou

A NOVEL APPROACH OF TRANSFER LEARNING FOR ACCURATE BRAIN TUMOR MRI CLASSIFICATION IN BIG DATA HEALTHCARE ENVIRONMENT **931**
Sunil kumar Agarwal, Yogesh kumar Gupta

REVIEW OF TOWARD A CIRCULAR ECONOMY IN THE TIRE INDUSTRY: INTEGRATING LIFE CYCLE ASSESSMENTS AND RECYCLING INNOVATIONS **941**
Siti Nadiah Binti Mohd Saffe, Ahmad Zaki Abadi, Mohd Nizar Mhd Razali, Ahmad Shahir Jamaludin, Muhammad Amirul Azwan Azmi

SPOTTED HYENA BIO-INSPIRED OPTIMIZATION CLUSTERING AND FORD DISTRIBUTING SHORTEST ROUTING FOR EFFICIENT COMMUNICATION IN WIRELESS SENSOR NETWORK **951**
S. Shameema Begum, V. Vijayalakshmi

A REVIEW ON AI BASED FAULT AND ANOMALY DETECTION IN POWER SYSTEMS **963**
Jenisha K J, Rajeswari R

MULTI-OBJECTIVE PELICAN OPTIMIZATION ALGORITHM FOR OPTIMAL PLACEMENT OF EVCSS AND DGS IN RADIAL DISTRIBUTION NETWORKS **970**
Swetha Veligaram, A Lakshmi Devi

INTELLIGENT WORKSITE PROTECTIVE EQUIPMENT COMPLIANCE DETECTION USING DEEP NEURAL NETWORKS **981**
Geetha G, Swaminathan J N, Vijayalakshmi K, Vinothkumar M

POWER QUALITY ENHANCEMENT USING A FOPID–CONTROLLED QUADRATIC BOOST CONVERTER INTEGRATED HYBRID ACTIVE FILTER **987**
Venkata Ramana Rao S, Mahiban Lindsay N

QOS-AWARE INTERNET OF ENVIRONMENTAL THINGS ALGORITHM FOR IOT-FOG-ENABLED SMART WASTE MONITORING SYSTEM **999**
Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi

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

TEMPERATURE EFFECT ON PH AND RESIDENCE TIME AS ESSENTIAL PARAMETERS FOR BIOGAS PRODUCTION: A REVIEW **1008**
Córdova-Rodríguez Daniel David, Tuñoque-Morante Luis, Pisfil-Benites Nilthon

A BOTTOM-UP K-ANONYMIZATION APPROACH FOR BIG DATA PUBLISHING **1020**
Abderrahmane Saidi, Salheddine Kabou, Imad Eddine Kimmi, Laid Gasmi

C2DR-VAE: ADAPTIVE RECOMMENDATION FRAMEWORK VIA CLUSTER-CONDITIONED AND DYNAMICALLY REFINED VARIATIONAL AUTOENCODERS **1030**
R. Navin Kumar, Srimathi J

HYBRID FEATURE SELECTION FOR COVID-19 TEXT CLASSIFICATION USING CUCKOO SEARCH OPTIMIZATION AND MUTUAL INFORMATION WITH DEBERTA **1043**
Mohamed Goismi, Mohamed Debbab, Moustafa Maaskri, Djamal Seghier

HCAVR-PLE: A DUAL-PHASE ADAPTIVE AI-VR FRAMEWORK FOR EQUITABLE, EXPLAINABLE, AND ENGAGING PHYSICS EDUCATION **1058**
Premalatha R, Indu H

RESPONSE SURFACE METHODOLOGY-BASED OPTIMIZATION OF INJECTION TIMING AND HYDROGEN FLOW IN AN MAHUA BIODIESEL–HYDROGEN DUAL-FUEL ENGINE **1072**
Kumaran P, Sathiyaraj S, Vijayakumar K, Manivannan .M, Rajasekar .R

ALGORITHMIC-STATISTICAL MODEL UNDER A COMPUTATIONAL SCHEME FOR FORECASTING INSOLVENCY UNDER FINANCIAL RISK **1084**
Alexander Fernando Haro Sarango

MODERNIZING ELECTRICAL UTILITY NETWORKS: THE ROLE OF GEOGRAPHICAL INFORMATION SYSTEM IN ENHANCING POWER DISTRIBUTION AND MANAGEMENT **1095**
Kanmani Kalaichelvan, Shafeer Ahamed N S, Ibrahim Yakoopali, Jagadeesh Kasi, Archana V, Vishnu Priya S V, DineshKumar C

DESIGN AND DEVELOPMENT OF A SELF-STABILITY SYSTEM FOR REAL-TIME MOTORCYCLES **1107**
C. Dineshkumar, N S Shafeer Ahamed, Mohamed Jaheen, Mohammed Rizwan, Mohamed Harris M, S Syed Burhan, K Samsudeen

DESIGN AND STRUCTURAL EVALUATION OF A ROLL CAGE FOR BAJA ALL-TERRAIN VEHICLES **1117**
DineshKumar C, N S Shafeer Ahmed, V Ashmitha, M Tabrez, A Abdul Rawoof, N M Faridh Ahamed, S Mushraf Ali

DESIGN AND EXPERIMENTAL VALIDATION OF A SENSOR-BASED SAFETY-ENHANCED BRAKING SYSTEM FOR LOW-COST AUTOMOTIVE APPLICATIONS **1128**
Dineshkumar c, P R Hemavathy, A Arockia Julias, Mohamed Jaheen, Mohamed Harris, Mohamed Sulthan, Syed Mohammed Ubaid

HYBRID FEDERATED NEURAL–OBSERVER PREDICTIVE CONTROL FOR ROBUST ELECTRIC VEHICLE BATTERY MANAGEMENT **1136**
V Rajesh Kumar, Mahesh K, Dhanush R

TECHNO-ECONOMIC ASSESSMENT OF HYBRID RENEWABLE ENERGY SYSTEMS FOR SUSTAINABLE ENERGY SUPPLY **1157**
Koppola Vasavi, M S Sujatha

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

INTEGRATING BOTTLENECK ATTENTION MODULE (BAM) INTO YOLOV8 FOR AUTOMATED INDUSTRIAL LABEL QUALITY INSPECTION **1170**
Habib Ja'far Nuur, M Munadi, Mochammad Ariyanto

EXPERIMENTAL STUDY ON STEERING WHEEL PULSE MEASUREMENT-BASED ACTIVE SAFETY SYSTEMS FOR COLLISION PREVENTION **1179**
C DineshKumar, Ibrahim Yakoopali, P D Jeyakumar, Mohammed Rizwan, T E Sarankishore, A Mohamed Ibrahim

DESIGN AND OPTIMIZATION OF MICRO-BLADE PASSIVE FLOW CONTROL FOR TOTAL PRESSURE LOSS REDUCTION IN AN AXIAL COMPRESSOR CASCADE **1188**
Oussama Hachelfi, Riyadh Belamadi, Naouam Boudinar

ENHANCING BIODIESEL YIELD FROM CANOLA OIL THROUGH RESPONSE SURFACE METHODOLOGY: IN-DEPTH STUDY OF REACTION PARAMETERS AND ENGINE EFFICIENCY **1205**
Sangeetha Krishnamoorthi, Prabhu L, Saravanan M, Mahesh R, Hariharan R, Venu Kumar B R

A NEUTROSOPHIC GENERALIZED GAMMA APPROACH TO MODELING PRL, LH, AND TESTOSTERONE IN BEAGLES **1215**
Bevara Kondala Rao, Biplab Kumar Rath, A. Manickam

QW-CNN: SECURE AND ROBUST IMAGE COMPRESSION USING QUINCUNX WAVELET DECOMPOSITION, LIGHTWEIGHT CNN MODELING, AND SELECTIVE ENCRYPTION OVER NOISY CHANNELS **1223**
Haouari Benlabbes, Younes Khair

A HIEARARCHICAL LSTM FRAMEWORK FOR CAPTURING LONG- AND SHORT-TERM PREFERENCES IN POI RECOMMENDATION **1230**
Sarala Patchala, Vijay Babu Burra, Vullam Naga Gopi Raju, Banda SNV Ramana Murthy, Desamala Prabhakara Rao

DEEP MULTIMODAL CNN FUSION SCHEME FOR ACCURATE STRESS IDENTIFICATION **1245**
Sarala Patchala, Banda Snv Ramana Murthy, Haritha Tummala, Bandla Srinivasa Rao, V.V. Jaya Rama Krishnaiah, Vullam Nagagopiraju, Suneetha Jalli, Inakoti Ramesh Raja

A3D: JOINT SEARCH FOR ROBUST DNNS AND ADVERSARIAL ATTACKS VIA AUTOML **1256**
Sarala Patchala, Rajani Bodapalli, Vullam Naga Gopi Raju, Desamala Prabhakara Rao, Vijay Babu Burra, D. Kishore

INCORPORATION OF NATIVE FRUITS FROM BRAZILIAN BIOMES INTO CHOCOLATE: A LITERATURE REVIEW **1269**
Elisangela Santos Reis de Oliveira, Elisangela Carvalho Nunes, Edson Pablo da Silva

EFFICIENT CYBER THREAT DETECTION IN SMART HOME IOT NETWORKS USING MACHINE LEARNING AND EXPLAINABLE AI **1276**
Pritimayee Satapathy, Prafulla Kumar Behera

INPUT CURRENT RIPPLE REDUCTION OF MODIFIED INTERLEAVED QUADRATIC BOOST CONVERTER FOR PHOTOVOLTAIC APPLICATIONS **1287**
Abdulkarim Laith Abdulkarim, Ali Hussein Al-omari

PERFORMANCE VALUATION OF ELECTRICAL CHARACTERISTICS FOR MOSFET DEVICE USING TCAD SOFTWARE **1303**
Zahra R. Mahmood, Amir M. Nory, Omar I. Alsaif

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

INVESTIGATING THE POTENTIAL OF QUANTUM INSPIRED MACHINE LEARNING APPROACHES FOR MENTAL HEALTH DETECTION OF YOUNG ADULTS **1309**
Mrutyunjaya Panda, Saumya Ranjan Mahanta

ORGANIZATIONAL COMPETENCE IN CONDITIONS OF SUSTAINABILITY – INTERACTION BETWEEN STRUCTURAL APPROACHES, ENTREPRENEURIAL VISION, AND PERSONAL POTENTIAL **1325**
Inna Ippolitova, Olena Serhiienko, Maryna Mashchenko, Olena Sychova, Oleksandr Ivanov

EXPLORING USER EXPERIENCE AND PREFERENCES IN DIGITAL AND TRADITIONAL MENTAL HEALTH SCREENING AT CAGAYAN STATE UNIVERSITY CARIG CAMPUS **1332**
Arlen Bergante Calimag, Thelma D. Palaoag

SUSTAINABLE SELF-COMPACTING CONCRETE: INVESTIGATING THE SIZE EFFECTS OF COAL BOTTOM ASH AS A LIGHTWEIGHT AGGREGATE **1342**
Boulahya Ibtissam, Makani Abdelkadir, Tafraoui Ahmed

AGENTIC AI IN CLOUD-BASED CREDIT CARD FRAUD DETECTION: TOWARDS AUTONOMOUS RISK MITIGATION **1352**
Sushil Prabhu Prabhakaran

A MULTIMODAL GRAPH CONTRASTIVE LEARNING FOR HUMAN ACTIVITY RECOGNITION USING DEEP LEARNING TECHNIQUE **1368**
Velantina V, V. Manikandan, P. Manikandan

INDUSTRY 4.0 MOBILE WORKFLOW QUALITY ASSESSMENT USING SMARTPLS: DATA READINESS, AI ACCESSIBILITY, AND SATISFACTION DRIVERS **1377**
Mesith Chaimanee, Sunil Medepalli, Roman Mekonen, Ratchagaraja Dhairayasamy, Subhav Singh, Xianpeng Wang

SWITCHING OF MEDIUM VOLTAGE CAPACITOR BANKS AND THE IMPACT OF OVERVOLTAGES ON THE COMPONENTS OF AN ELECTRICAL SYSTEM **1389**
Aldi Mucka, Elio Voshtina, Denis Qirollari, Fatmir Brati

A NOVEL AND ROBUST FRACTIONAL-ORDER PROPORTIONAL-INTEGRAL-DERIVATIVE ACCELERATION CONTROLLER FOR ELECTRIC FURNACE TEMPERATURE REGULATION **1407**
A. Idir, k. Benaouicha, H. Akroum, M. Nesri, S. Guedida

INTELLIGENT TECHNIQUE FOR ELECTROMECHANICAL SYSTEM DATA BY USING MODEL OF NARX NEURAL NETWORK **1417**
Mohammed Al-Abbasi, Tamarah Kareem

ISSUES AND PROSPECTS OF INTEGRATING RELATIONAL DATABASES WITH CLOUD TECHNOLOGIES **1427**
Vladyslav Kozub, Sergii Bataiev, Oksana Shybko, Yaroslava Sikora, Serhii Voloshchuk

THE ROLE OF ARTIFICIAL INTELLIGENCE IN QUALITY CONTROL AUTOMATION: IMPACT OF AI TECHNOLOGIES ON TRADITIONAL DEFECT DETECTION METHODS AND THEIR INTEGRATION INTO PRODUCTION PROCESSES **1436**
Kanan Mikayilov, Latafat Gardashova

DIGITAL TWIN FOR INTEGRATION OF CONTROL AND DIAGNOSTICS OF ELECTROMECHANICAL SYSTEMS UNDER UNCERTAINTY **1447**
Dmytro Koshkin, Larisa Vakhonina, Alexander Tsyganov, Iryna Sukovitsyna

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

OPTIMIZATION OF EV CHARGING SYSTEMS USING HYBRID GWO-PSO MPPT FOR PV SOURCE **1459**
Venkatesh Reddy Birudala

NEXT-LEVEL DYNAMIC QUERIES OPTIMIZATION: SMARTER JOINS, FASTER VIEWS **1466**
Salma Hanane, Yahyaoui Khadidja, Bellatrache Ladjel

INTELLIGENT SYSTEM FOR AUTOMATED DESIGN OF ENERGY-EFFICIENT FACILITIES IN THE AGRO-INDUSTRIAL COMPLEX WITH BUILT-IN DIAGNOSTICS OF ELECTRICAL MACHINES **1475**
Volodymyr Martynenko, Dmytro Koshkin, Vitalii Sokolik, Iryna Sukovitsyna

INTEGRATION OF CONTROL AND MEASUREMENT DEVICES INTO CAD MODELS OF INDUSTRIAL POWER SYSTEMS: METROLOGICAL ASPECTS OF ACCURACY AND IMPACT ON ENERGY EFFICIENCY **1487**
Larisa Vakhonina, Oleksiy Sadovoy, Volodymyr Martynenko, Andrii Rudenko

INTELLIGENT DYNAMIC SWITCHING BETWEEN IRS AND DECODE-AND-FORWARD RELAY: A CHANNEL-AWARE OPTIMIZATION APPROACH FOR 6G NETWORKS **1498**
Murtadha Ali Nsaif Shukur

INTEGRATION OF FLOW SENSORS INTO CYBER-PHYSICAL SYSTEMS FOR INTELLIGENT WATER RESOURCE MANAGEMENT IN RESIDENTIAL ENVIRONMENTS **1517**
Roberto Higino Pereira da Silva, Daniel Carlos de Almeida Mendonça

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RESEARCH ARTICLE OPEN ACCESS

COMPACT SPIRAL TRANSFORMER DESIGN FOR HIGH-EFFICIENCY INTERLEAVED FLYBACK CONVERTERS IN SOLAR POWER SYSTEMS

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ABSTRACT

This paper explores the design, modeling, and optimization of a spiral transformer integrated into an interleaved flyback converter tailored for photovoltaic (PV) applications. The transformer features two square planar spiral coils with an outer diameter of 9000 µm and an inner diameter of 6000 µm, yielding primary and secondary inductances of 0.128 µH and 0.226 µH, respectively, at a 5 MHz operating frequency. The miniaturized design includes 3 primary turns and 4 secondary turns, with conductor widths of 500 µm and 300 µm, respectively. An electrical model accounts for parasitic effects, such as series resistances (0.195 Ω for primary, 0.282 Ω for secondary) and capacitances (inter-turn and oxide layer), which are minimized to boost efficiency. Frequency-dependent behavior is analyzed using MATLAB, identifying a resonance frequency of 20 MHz and a coupling coefficient of 0.87. The interleaved flyback converter, simulated in PSIM, delivers a stable 48 V output voltage and 3.2 A output current from a 162 W input, achieving 95% efficiency. This work validates the potential of compact, high-efficiency transformers for advancing PV energy conversion systems.

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I. INTRODUCTION

Interleaved Flyback converters, incorporating miniaturized transformers, are versatile and find application in various sectors such as solar energy, wireless chargers, and electric vehicle equipment [1], [2]. Compact and efficient, they are favored for their suitability in environments where space and energy efficiency matter [3], [4]. The miniaturization of photovoltaic converters offers significant advantages: improved energy efficiency, reduced foot print, increased power density, and enhanced integration into complex systems [4], [5]. These advancements facilitate the accessibility and adaptability of solar energy for various applications [6], [7].

However, the miniaturization of flyback converters involves that of their transformers, there by requiring the reduction of coil dimensions [8], [9]. These coils necessitate sophisticated technological advancements, particularly in high-flux-density magnetic materials, to increase energy density and minimize losses [10], [11].Planar spiral coils are studied for their potential for miniaturization and electronic versatility. Research focuses on optimizing their design, materials, and manufacturing techniques to meet the requirements of compactness and integration into advanced systems [12], [13].

In this study, we present the geometric dimensioning of a transformer consisting of two square planar spiral coils. This transformer plays a crucial role within a flyback converter specifically designed for a photovoltaic system. Our main objective in this geometric design is to reduce the transformer size while minimizing energy losses. These efforts align with the specific requirements outlined in the flyback converter's specifications. The geometric dimensioning process is meticulously conducted, taking into account the converter's specifications. Our aim is to define the values of geometric parameters to subsequently calculate the technological parameters. This will ensure that parasitic effects are maintained at a negligible level, thereby ensuring optimal efficiency of the transformer.

In addition to the geometric sizing step, we undertake an in-depth study of the impact of frequency on various transformer parameters, namely, the inductances of the primary and secondary coils, their series resistances, as well as the quality factors and the coupling coefficient. This study will determine the sensitivity of the transformer at different frequencies. To validate our approach, we will conduct comprehensive simulations of the voltages and currents involved in the converter's operation. These simulations will confirm the proper functioning of the transformer integrated into the flyback converter, there by guaranteeing its efficiency and overall performances.

II. PRESENTATION OF INTERLEAVED FLYBACK CONVERTER

The interleaved flyback converter is used in the photovoltaic system in order to reduce the input current and increase the output power, as it includes two equal flyback converters connected in parallel and each of them includes the following components: the transformer, power electronic switch and diode, but they share the source *Vin* and capacitance *Cout* as shown in Figure 1. When operated, the phase between the two switches is set at 180 degrees.

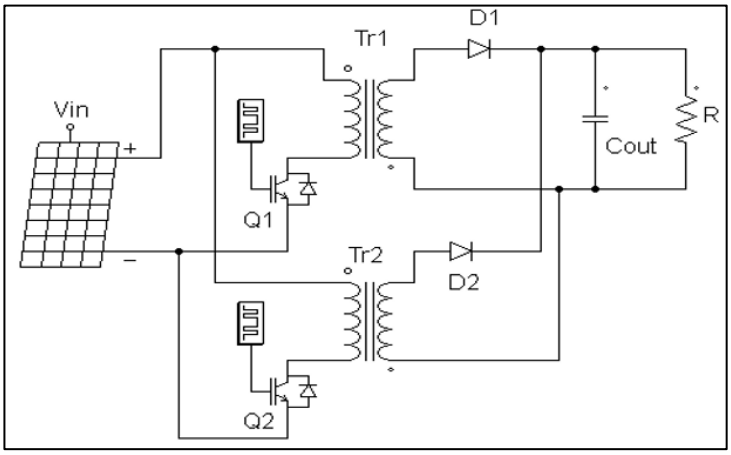


Figure 1: Schematic of an interleaved flyback converter.
Source: Authors, (2026).

To evaluate this type of DC/DC converter in a micro solar system, the spiral transformer will be studied when integrated into an interleaved flyback converter enhanced with the following specification: Input voltage, Vin = 24 [V]. Input power, Pin = 162 [W]. Output voltage, Vout = 48 [V]. Energy efficiency, η = 95%. Operating frequency, f = 5 [MHz], α = 0,6. Since the two micro transformers are equal, the primary inductances Lp of the micro transformers are calculated by the relation (1):

$$L_p = \frac{V_{in}^2 * \alpha^2}{2P_{in} * f} = 0{,}128\ [\mu H] \tag{1}$$

The turns ratio for the micro transformers (m) is calculated by the equation (2).

$$m = \frac{V_{out}}{V_{in}} * \frac{(1-\alpha)}{\alpha} = 1{,}33 \tag{2}$$

Using equation (3) the secondary inductances Ls of the micro transformers are calculated.

$$L_s = m^2 * L_p = 0{,}2264\ [\mu H] \tag{3}$$

The load resistance is calculated according to equation (4):

$$R = \frac{V_{out}^2}{P_{in} * \eta} = 14{,}97\ [\Omega] \tag{4}$$

The output voltage ripple ΔVout/Vout is estimated at 1%. By means of relation (5), the value of the output capacitor Cout is extracted:

$$C_{out} = \frac{\alpha}{\left(\frac{\Delta V_{out}}{V_{out}}\right) * R * f} = 0{,}8016\ [\mu F] \tag{5}$$

III. DIMENSIONING OF THE SQUARE COILS SPIRAL TRANSFORMER

Geometrically, the spiral transformer with square shape of windings is described by the parameters shown in Figure 2 as follows: do and di are the outer and inner diameter, tp and ts are the thickness of primary and secondary coils, Np and Ns are the number turns of primary and secondary coils, Wp, Sp, Ws and Ss are the width and spacing of adjacent turns of primary and secondary coils.

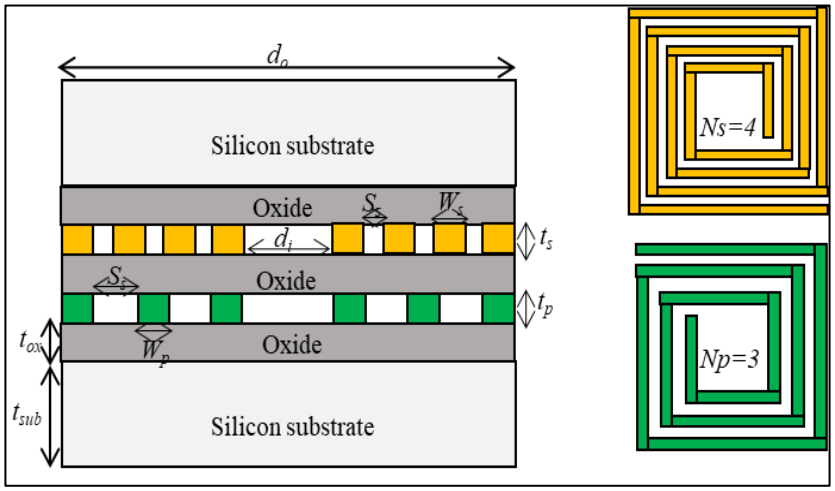


Figure 2: Geometric parameters of micro transformer spiral coils.
Source: Authors, (2026).

From the literature publications, there are several methods to calculate the inductance value. By choosing Wheeler method, the primary and secondary inductances of the transformer are expressed in the relations (6) and (7) [14], [15].

$$L_p = \frac{k_1 * \mu_0 * \left(\frac{d_o + d_i}{2}\right) * N_p^2}{1 + k_2 * \left(\frac{d_o - d_i}{d_o + d_i}\right)} \tag{6}$$

$$L_s = \frac{k_1 * \mu_0 * \left(\frac{d_o + d_i}{2}\right) * N_s^2}{1 + k_2 * \left(\frac{d_o - d_i}{d_o + d_i}\right)} \tag{7}$$

The coefficients k_1 and k_2 depend on geometrical structure of two coils. For the square geometry: $k_1 = 2.34$, $k_2 = 2.75$. To calculate all the geometrical parameters, we set the outer and inner diameters of the primary and secondary windings, respectively: $do = 9000$ [µm], $di = 6000$ [µm]. Based on relations (6) and (7), we extract the number of primary and secondary turns of the transformer as follows: $Np = 3$, $Ns = 4$. To determine the conductor thickness for each of the two inductors, the following condition must be met: $t_p = t_s \leq 2\delta$. Where δ is the skin thickness and is expressed as (8) [16]:

$$\delta = \sqrt{\frac{\rho_{Cu}}{\pi * \mu * f}} = 29{,}36\ [\mu m] \tag{8}$$

The width of individual winding W of both the primary and secondary windings of the transformer are calculated using relations (9) and (10) [17]. Where, the constant pitch P is the sum of the width of single turn and the distance between it and the next turn. We have chosen pitch values P for the primary and secondary coils respectively: $P_p = 600$ [µm], $P_s = 400$ [µm]

$$W_p = \frac{d_o - d_i - 2(N_p - 1) * P_p}{2} = 300\ [\mu m] \tag{9}$$

$$W_s = \left(\frac{d_o - d_i}{2}\right) - (N_s - 1) * P_s = 300\ [\mu m] \tag{10}$$

Also to calculate the distance S between adjacent coils of the two inductors of transformer, the relations (11) and (12) are used:

$$S_p = P_p - W_p = 300\ [\mu m] \tag{11}$$

$$S_s = P_s - W_s = 100\ [\mu m] \tag{12}$$

The expression used to calculate the conductor length of the primary and secondary windings of a transformer is given by (13) and (14) [18]:

$$l_p = 2 * N_p * \left[2 * d_i + \left(4 * N_p - 1\right) * W_p\right] = 86{,}4\ [mm] \tag{13}$$

$$l_s = 2 * N_s * [2 * d_i + (4 * N_s - 1) * W_s] = 124{,}8\ [mm] \tag{14}$$

All geometric dimension values of the tapered spiral transformer obtained after calculation are summarized in Table 1.

Table 1: Geometric dimension values of the tapered spiral transformer.

Geometric parameters	Primary coil		Secondary coil	
	Symbol	Values [µm]	Symbol	Values [µm]
Outer diameter	*do*	9000	*do*	9000
Inner diameter	*di*	6000	*di*	6000
Number of turns	*Np*	3	*Ns*	4
Width of conductor	*Wp*	300	*Ws*	300
Thickness of conductor	*tp*	58	*ts*	58
Spacing between turns	*Sp*	300	*Ss*	100
Length of conductor	*lp*	86400	*ls*	124800

Source: Authors, (2026).

IV. ELECTRICAL PARAMETER OF THE SQUARE COILS SPIRAL TRANSFORMER

Based on the physical model of Yue and Yong [19], the equivalent electrical circuit of a square coils spiral transformer is derived which shows all the parasitic effects when integrated into silicon. At high frequencies, the inductor is represented by three passives components where the series inductance *Ls* is related to the series resistance *Rs* and both are related to the capacitance series *Cs* of the inductor in parallel. Losses in the dielectric layer are represented by parasitic capacitance *Cox*. Substrate losses are represented by resistance and capacitance in silicon *Rsub, Csub*. *Cc* is the coupling capacitance between the primary and secondary windings of the transformer. According to the integrated spiral transformer in Figure 3, the expressions analytical for all electrical parameters of the equivalent circuit model are also given below [20], [21]:

$$C_c = \frac{d_o^2 * \varepsilon_{ox}}{t_{ox}} \tag{15}$$

$$R_{s-p} = \frac{\rho * l_p}{\delta\left(1-e^{-\left(\frac{t_p}{\delta}\right)}\right) * W_p} \quad , \quad R_{s-s} = \frac{\rho * l_s}{\delta\left(1-e^{-\left(\frac{t_s}{\delta}\right)}\right) * W_s} \tag{16}$$

$$C_{s-p} = \frac{t_p * l_p * \varepsilon_{ox}}{2 * S_p} \quad , \quad C_{s-s} = \frac{t_s * l_s * \varepsilon_{ox}}{2 * S_s} \tag{17}$$

$$C_{ox-p} = \frac{\varepsilon_{ox} * l_p * W_p}{2 t_{ox}} \quad , \quad C_{ox-s} = \frac{\varepsilon_{ox} * l_s * W_s}{2 t_{ox}} \tag{18}$$

$$C_{sub-p} = \frac{\varepsilon_{sub} * l_p * W_p}{2 t_{sub}} \quad , \quad C_{sub-s} = \frac{\varepsilon_{sub} * l_s * W_s}{2 t_{sub}} \tag{19}$$

$$R_{sub-p} = \frac{2 * \rho_{sub} * t_{sub}}{l_p * W_p} \quad , \quad R_{sub-p} = \frac{2 * \rho_{sub} * t_{sub}}{l_s * W_s} \tag{20}$$

Where, ρ_{cu}, ρ_{sub}: resistivity of conductor and substrate (ρ_{cu}=1,72 10^{-8} [Ωm], ρ_{sub} = 18,5 [Ωm]), t_{sub}, t_{ox}: thickness of substrate and SiO2 insulator (t_{sub} = 600 [µm], t_{ox} = 100 [µm]) , ε_{ox}, ε_{sub}: permittivity of SiO2 insulator and substrate ($\varepsilon_{r,ox}$ = 3,9 , $\varepsilon_{0,ox}$ = 8,85 10^{-12}[Fm^{-1}], ε_{sub} = 11,8).

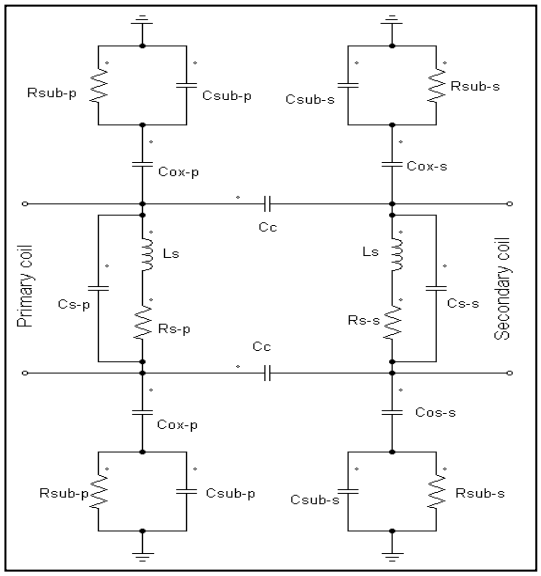


Figure 3: Model of the equivalent electrical circuit of spiral transformer.
Source: Authors, (2026).

The values of the electrical parameters of the integrated spiral transformer on silicon substrate are grouped in Table 2.

Table 2: Values electrical parameters of spiral transformer integrated.

Electrical parameters	Symbol	Values
Inductance series of primary coil	*Lp*	0,128 [µH]
Inductance series of secondary coil	*Ls*	0,226 [µH]
Resistance series of primary coil	*Rs-p*	0,1958 [Ω]
Resistance series of secondary coil	*Rs-s*	0,2829 [Ω]
Oxide capacitance of primary coil	*Cox-p*	4,4731 [pF]
Oxide capacitance of secondary coil	*Cox-s*	6,4612 [pF]
Substrate resistance of primary coil	*Rsub-p*	856,48 [Ω]
Substrate resistance of secondary coil	*Rsub-s*	592,94 [Ω]
Substrate capacitance of primary coil	*Csub-p*	2,2556 [pF]
Substrate capacitance of secondary coil	*Csub-s*	3,2582 [pF]
Capacitance series of primary coil	*Cs-p*	0,2882 [pF]
Capacitance series of secondary coil	*Cs-s*	1,2491 [pF]
Coupling capacitance between the primary and secondary coils	*Cc*	27,957 [pF]

Source: Authors, (2026).

IV.1 INTERPRETATION OF RESULTS

The objective of this study is to reduce energy losses within the transformer by addressing capacitive and resistive effects introducing parasitic currents. The calculated values of technological parameters, which are closely tied to geometric parameters, align seamlessly with the desired objectives. We notice that, they obtained results show particularly low values for the series resistances (*Rs-p* and *Rs-s*) of the primary and secondary coils. It is the same for the values of the inter-turn capacitances (*Cs-p* and *Cs-s*) and the capacitances (*Cox-p* and *Cox-s*) from the oxide layer. On the other hand, the substrate resistances (*Rsub-p* and *Rsub-s*) have high values, thus preventing the circulation of the low parasitic currents induced by the capacitive effect in the substrate. Figure 4 shows a simplified model of a micro transformer including two inductors, where the primary inductance and resistance are denoted by *Lp* and *Rp*, while the secondary inductance and resistance are denoted by *Ls* and *Rs*, as well as the coupling coefficient *k* and quality factors for the primary and secondary windings *Qp* and *Qs*.

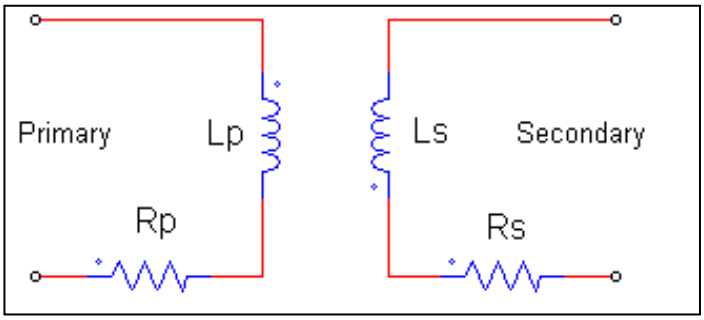


Figure 4: Simplified micro transformer model.
Source: Authors, (2026).

These elements, which represent the transformer specifications, are extracted from the Z-parameters, which are expressed as follows [22], [23]:

$$L_p = \frac{Im(Z_{11})}{2\pi f} \tag{21}$$

$$L_s = \frac{Im(Z_{22})}{2\pi f} \tag{22}$$

$$R_p = Re(Z_{11}) \tag{23}$$

$$R_s = Re(Z_{22}) \tag{24}$$

$$Q_p = \frac{Im(Z_{11})}{Re(Z_{11})} \tag{25}$$

$$Q_s = \frac{Im(Z_{22})}{Re(Z_{22})} \tag{26}$$

$$k = \sqrt{\frac{Im(Z_{12}) * Im(Z_{21})}{Im(Z_{11}) * Im(Z_{22})}} \quad 27)$$

V. SIMULATION AND RESULTANTS

V.1 INFLUENCE OF FREQUENCY ON THE INDUCTANCES OF THE PRIMARY AND SECONDARY

Based on relations (21) and (22) that were extracted from the imaginary part of the impedances, the variations of the primary and secondary inductances as a function of frequency were shown as shown in Figure 5. This figure gives a noticeable contrast between the primary and secondary inductors, which go through two stages: before the resonance frequency from 1 to 23 [MHz], the two inductors behave inductively, where the inductance values at a frequency of 5 MHz are 0,128 [µH] for the primary coil and 0,226 [µH] for the secondary coil, and with increasing frequency the inductances reach values climax at 20 [MHz]. But after the resonant frequency they behave capacitive.

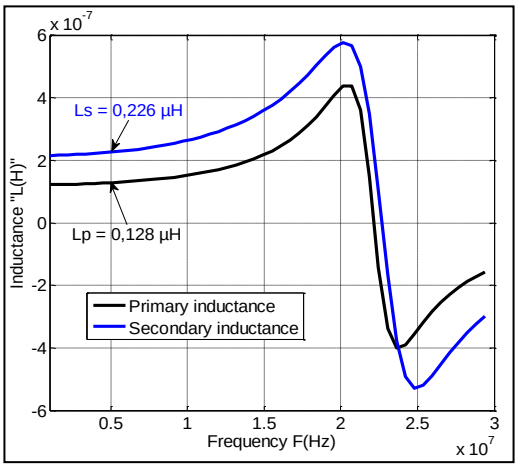


Figure 5: Variation of the primary and secondary inductances as a function of frequency.
Source: Authors, (2026).

V.2 INFLUENCE OF FREQUENCY ON THE SERIES RESISTANCES OF THE PRIMARY AND SECONDARY

Figure 6 depicts variation the series resistances of primary and secondary inductors as function of frequency, which was extracted from the real parts of the impedances according to two relations (23) and (24). At 5 [MHz], the resistances of the primary and secondary windings give low values of 0,195 [Ω] and 0,282 [Ω], respectively, due to the losses resulting from very low Joule effects. As the frequency increases, the series resistances of both windings begin to increase until they reach a peak at a frequency of 20 [MHz], which is known as resonance.

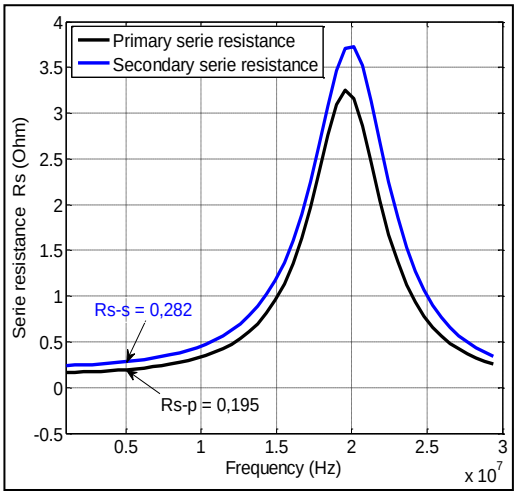


Figure 6: Variation of the primary and secondary series resistances as a function of frequency.
Source: Authors, (2026).

V.3 INFLUENCE OF FREQUENCY ON THE QUALITY FACTOR OF PRIMARY AND SECONDARY INDUCTANCES

Figure 7 shows the effect of frequency on variations in the quality factors of the primary and secondary inductors, which were previously expressed by relations (25) and (26) extracted from the real and imaginary parts of the impedances. In the first stage, it was observed that as the frequency increased, the quality factors increased until they reached the maximum values corresponding to the frequency of 13 [MHz], where the maximum value for the primary inductor is 25 and 20 for the secondary inductor. In the second stage, the quality factors decrease with increasing frequency until they reach zero, which is known as the resonant frequency point.

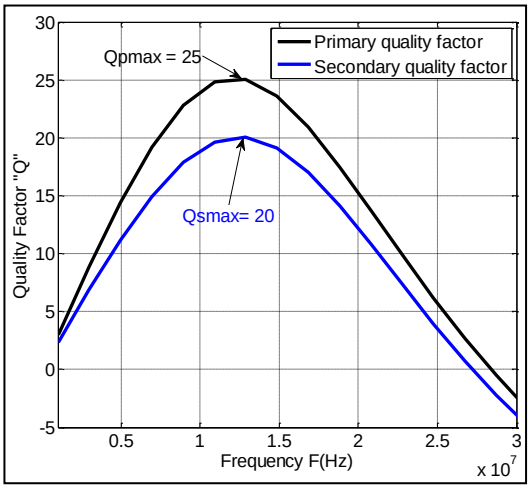


Figure 7: Variation of the primary and secondary quality factor as a function of frequency.
Source: Authors, (2026).

V.4 INFLUENCE OF FREQUENCY ON THE COUPLING COEFFICIENT

The curve shown in Figure 8 gives the evolution of the coupling coefficient between the two windings of the transformer as a function of frequency, which was previously expressed by relation (27) deduced from the imaginary parts of the impedances. We can notice that the coupling coefficient increases significantly at low frequencies, but after a frequency of 10 [MHz] this increase is very small until it reaches approximately 87 %.

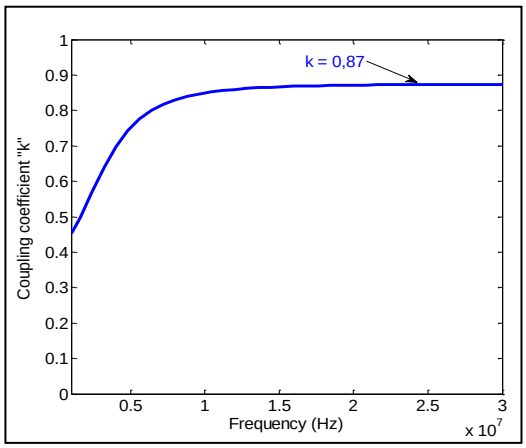


Figure 8: Evolution the coupling coefficient as a function of frequency.
Source: Authors, (2026).

V.5 SIMULATION OF INTERLEAVED FLYBACK CONVERTER WITH INTEGRATED SPIRAL TRANSFORMER IN PHOTOVOLTAIC SYSTEM

In this section, we simulate the operation of the photovoltaic system of interleaved flyback converter containing two spiral transformers using the PSIM program. This simulation aims to see the voltage and current graphs at the output of a DC/DC converter. Figure 9 shows a comprehensive diagram of the PV system at PSIM consisting of a solar panel, interleaved flyback converter with a integrated spiral transformers and the required load.

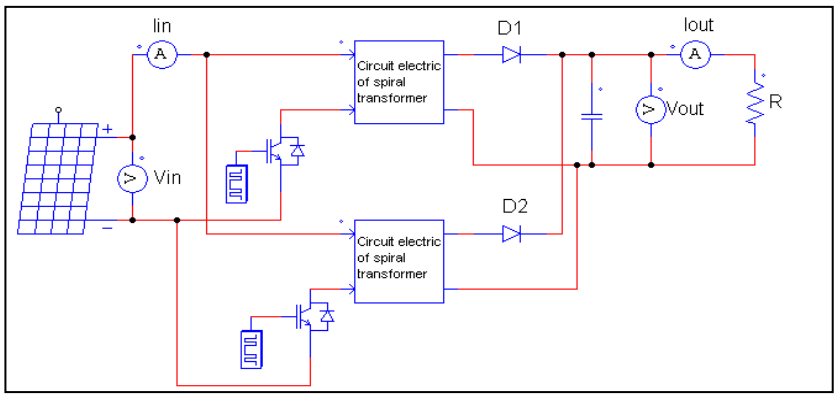
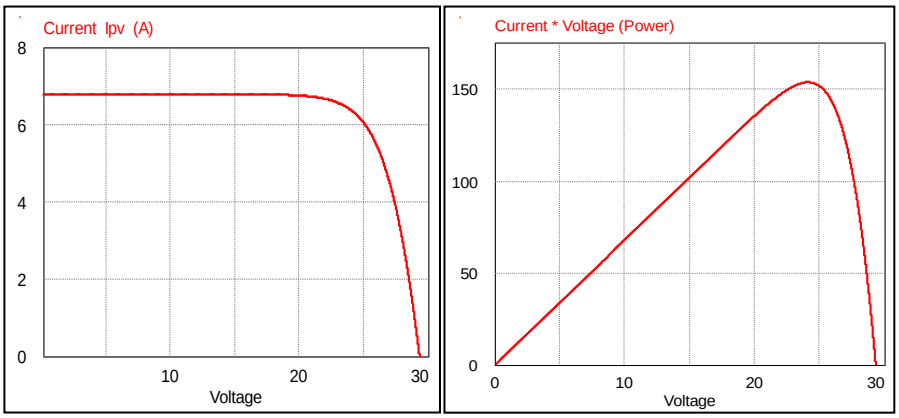


Figure 9: photovoltaic system consisting of interleaved flyback converter with integrated two spiral transformers.
Source: Authors, (2026).

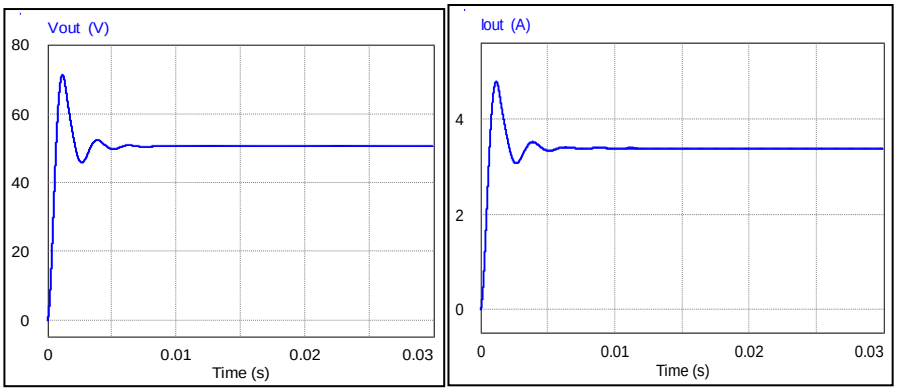
Figures 10 show the current and power to voltage characteristics of the photovoltaic module with standard parameters (S = 1000 [W/m^2]. T = 25 [°C]). The maximum photovoltaic current reaches 6.75 [A] and the maximum power is about 153 [W] for a voltage of 24 [V].



(a) **(b)**

Figure 10: Characteristics of the module photovoltaic, (a)current–voltage, (b) Power-voltage.
Source: Authors, (2026).

Figure 11 (a) show the output voltage form of interleaved flyback converter with integrating two spiral transformers stabilized at value 48 [V] starting from moment 6 [ms]. The value of the output current is about 3.2 [A] as shown in figure 11 (b), which indicates a stable and continuous transfer of power to the load.



(a) **(b)**

Figure 11: (a) Output voltage and (b) Output current form of interleaved flyback converter with two spiral transformers integrated.
Source: Authors, (2026).

Since the interleaved flyback converter consists of two identical transformers connected in parallel and operating in alternating mode, simulation results for one of these transformers give the voltage and current for the primary and secondary windings, as shown in Figure 12.

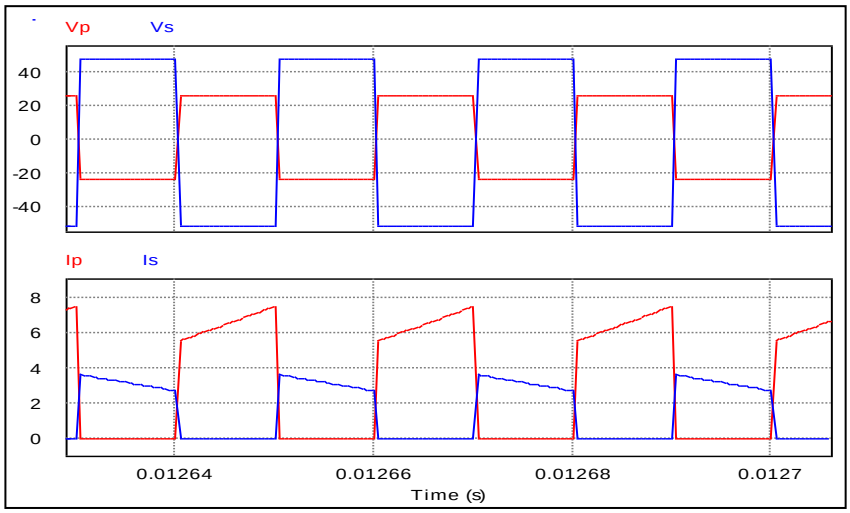


Figure 12: Voltage and current of the primary and secondary windings of the transformer integrated into the interleaved flyback converter.
Source: Authors, (2026).

VI. CONCLUSION

In the context of this study, we investigated the possibility of incorporating two spiral transformers within an interleaved Flyback converter specifically designed for photovoltaic applications. Our main goal is to reduce the dimensions of converters, fundamental components in photovoltaic systems, where the footprint in terms of size and weight poses a significant challenge. Reducing the dimensions of an interleaved Flyback converter necessarily involves decreasing the size of its transformers. In this regard, our work primarily focused on the miniaturization of coils. Initially, adhering rigorously to the converter specifications, we calculated crucial values of transformer parameters, including primary and secondary inductances, as well as the transformation ratio.

These parameters served as the basis for calculating all geometric parameters of primary and secondary coils (inner and outer diameters, conductor dimensions, number of turns, and inter-turn distance). The geometric sizing results were within integration standards. However, this step proved insufficient to ensure the proper functioning of the two transformers. So, it was imperative to precisely calculate the values of electrical parameters, responsible for various parasitic effects, to guarantee optimal operation. The obtained results reveal particularly low values for the series resistances (*Rs-p* and *Rs-s*) of the primary and secondary coils, as well as for inter-turn capacitances (*Cs-p* and *Cs-s*) and capacitances (*Cox-p* and *Cox-s*) resulting from the oxide layer.

On the other hand, substrate resistances (*Rsub-p* and *Rsub-s*) exhibit high values, providing significant resistance to the low parasitic current induced by capacitive effects in the substrate. Using the simplified electrical model of the transformer and the Z matrix, we expressed in detail the essential components of the transformer as a function of frequency. This approach allowed us to analyze the variation curves of primary and secondary inductances, *Ls* and *Lp*, with respect to frequency, as well as that of the series resistances, the quality factor *Q*, and the transformation ratio *k*. The results revealed a resonance frequency of 20 MHz, wich is quite high compared to the operating frequency (5 MHz).

However, at the operating frequency, the values of inductances and resistances indicated by the curves perfectly matched those obtained by calculation. The curves also highlighted satisfactory quality factors and a coupling coefficient of 0.87. Simulation results of the voltage and output current of the Flyback converter, incorporating the two dimensioned spiral transformers, were in accordance with the converter specifications. These results attest to the proper functioning of our converter. In conclusion, it is plausible to assert that the miniaturization of equipment in photovoltaic systems is entirely feasible.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Benzidane Mohammed Ridha, Namoune Abdelhadi.
Methodology: Benzidane Mohammed Ridha, Namoune Abdelhadi.
Investigation: Benzidane Mohammed Ridha, Namoune Abdelhadi, Benbouzid Zineb, Benyamina Mansour, Meskine Said.
Discussion of results: Benzidane Mohammed Ridha, Namoune Abdelhadi, Benbouzid Zineb, Benyamina Mansour, Meskine Said.
Writing – Original Draft: Benyamina Mansour, Meskine Said.
Writing – Review and Editing: Benzidane Mohammed Ridha, Namoune Abdelhadi, Benbouzid Zineb, Benyamina Mansour, Meskine Said.
Resources: Benzidane Mohammed Ridha,Benyamina Mansour, Meskine Said.
Supervision: Benzidane Mohammed Ridha, Namoune Abdelhadi, Meskine Said.
Approval of the final text: Benzidane Mohammed Ridha, Namoune Abdelhadi.

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RESEARCH ARTICLE OPEN ACCESS

DEVELOPMENT AND IMPLEMENTATION OF AN INDUSTRIAL IOT-BASED REAL-TIME PROCESS MONITORING SYSTEM TO IMPROVE OVERALL EQUIPMENT EFFECTIVENESS (O.E.E.) OF BEARING MANUFACTURING PROCESS

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ABSTRACT

The research study presents the design and implementation of an IoT-based real-time monitoring system to enhance Overall Equipment Effectiveness (O.E.E) of External grinding process used in precision bearing manufacturing. The developed system continuously monitors critical parameters such as cutting temperature, machine vibration, noise and cycle time using calibrated sensors. These critical parameters are directly linked to Key Performance Indicators (KPIs) of O.E.E in terms of Availability, Quality and Performance. A systematic layered IoT architecture is developed to enable real-time data acquisition, cloud storage, visualization and alert generation through a customized web application. Controlled experiments were conducted on various batches of bearing races under fixed machining conditions with critical parameter thresholds defined based on ISO standards and historical production data. The system successfully identified deviations, enabling timely corrective actions and reducing unexpected breakdowns. The real-time dashboard and alert system provided actionable insights, improving operational decision-making and minimizing manual documentation. As a result, OEE improved from 86% to 94.70%, demonstrating an 8.70% increase. Additionally, reductions in breakdowns, defects, and downtime were observed. This study confirms that integrating IoT in manufacturing significantly enhances equipment performance and product quality through data-driven process control.

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I. INTRODUCTION

Grinding is a abrasive machining process used to remove small amount of material from workpiece, there are two types of grinding process, precision and rough. In Bearing manufacturing precision grinding process is required to achieve markable surface finish in bearing parts as bearings are used in aerospace, automobiles, agriculture machineries, railways and rotary machines like turbine, pump and electric motors.The external grinding process is essential to produce bearing parts and carried out in external grinding machine. To achieve process efficiency and production proficiency, the monitoring of pre-decided optimum process parameters and machining conditions plays important role to achieve quality of bearing parts as well as productivity of external grinding process. In this research study the industrial IoT (Internet of things) web-based monitoring system has been developed to monitor the various production parameters. The process parameters are linked with concern factors of Overall Equipment Effectiveness (O.E.E.) i.e indicates correlation between Process parameters with quality of bearing part, Performance of system and Availability of machine.

The designed IOT based grinding system, sensors collects the data for all three O.E.E elements automatically and the data is visualized using IOT applications. O.E.E is a standard metric which represents the overall production capability, consistency, proficiency, and achievements after completion of manufacturing process. O.E.E represents the various factors i.e Quality, Availability and Performance which effectively evaluates the achievement of manufacturing system. O.E.E indicates in terms of percentage, As per world-class standard the O.E.E should be 85 % [1],less than 85 % OEE represents production inefficiencies. OEE is calculated by multiplying the three OEE factors so the equation will be OEE = Availability × Performance × Quality [2]. In which Availability is the ration of Run Time to Planned Production Time, Performance is calculated by (Ideal Cycle Time x Total Parts Produced)/Actual Operating Time and Quality is found by dividing Good parts count to Total parts count. The focus has been given to achieve maximum OEE by monitoring of critical parameters using IOT web-based system. The designed IOT system is multi-purpose, which can be used for condition monitoring, predictive maintenance, and In-process measurement. The Key Performance Indicators (KPIs) are identified for external grinding process by brainstorming, past production data, various quality, and productivity tools. The major quality measures of bearing parts are surface finish, dimensional accuracy, visual appearance and ovality.

It has been found from observation and past quality data taken from the bearing manufacturing industry that major defects among all defects are size variation and Surface finish, including surface scratches. The significant process parameters affecting parts' surface finish are cutting temperature [3], [4], machine vibration [3], [5], [6], [7], feed and cutting speed. Here, the most affected critical parameters, cutting temperature and machine vibrations are monitored during the entire external grinding process. The performance is a measure of how promptly the machine produces a part as compared to ideal machining time. The identified key performance indicators to monitor performance with an IoT-based system are grinding process time and inspection time. The key performance indicators of availability are machine uptime, machine downtime duration, mean time between failures, setup and changeover time, and number of unplanned downtimes. The machine's actual operating time is continuously monitored in the proposed IOT based system. In an external grinding machine, trail runs and experiments have been performed with IOT web-based monitoring system to improve and measure the O.E.E factors related with bearing manufacturing.Before performing trail runs and experimentation the past one year O.E.E of External grinding machine is calculated and it is 86 %.

II. LITERATURE STUDY

Using advanced technologies to constantly monitor equipment efficiency in the digitalization era, research suggests a digitalized, real-time OEE calculating system. Focusing on availability, performance, and quality measurements helps the system to improve organizational performance by automating manual processes and allowing real-time decision-making [2]. By allowing real-time data collecting and analysis via linked sensors, the IoT is absolutely essential in grinding process monitoring. By means of instantaneous feedback on machine performance, a real-time monitoring system improves production efficiency and enables timely adjustments to avoid failures. Improved product quality and less resource waste resulting from this integration help to maximize the grinding operation in manufacturing plants [7]. To continuously monitor the efficiency of manufacturing equipment, research presents a digital, real-time OEE calculation system that makes use of cloud computing, IoT sensors, and data analytics. The system lowers downtime through predictive maintenance, improves operational decision-making, and optimizes availability, performance, and quality metrics in industrial settings to improve product quality. It does this by automating manual data collection and enabling instant insights.[8]. Through real-time asset monitoring and data-driven insights, research conducted predictive maintenance (PdM) using IoT technology and Six Sigma Define, Measure, Analyse, Improve and Control (DMAIC) methodology, achieving a 95:5 Predictive Maintenance to Corrective Maintenance (PM-to-CM) ratio (from 84:16) and so reduced maintenance costs by 25–30%.

Also eliminated 70–75% of breakdowns, so reducing downtime by 35–45% and so increasing production by 20–25%. The research mostly relies on IoT technology since it allows real-time and continuous data collecting through linked sensors and devices, so improving the accuracy and precision of the observations. In industrial and research environments, it automates data collecting, lowers manual intervention, and lets remote monitoring and predictive analytics possible, so improving operational efficiency, timely decision-making, and best use of resources [9]. In research article examining the development of Overall Equipment Effectiveness (OEE) as a key manufacturing KPI, this systematic literature review highlights growing academic interest, model changes, and new applications in logistics and services, so highlighting rising industrial KPI relevance. It underlines the importance of IoT integration since it improves operational efficiency, predictive maintenance, and real-time monitoring, so providing a strong basis for next studies and intelligent industrial machine control [10]. By allowing early fault discovery and predictive maintenance, the cost-effective IoT system for real-time temperature and humidity monitoring presented in this paper increases Overall Equipment Effectiveness (OEE). Combining edge computing, the system alerts and offers actionable insights by streaming data to a real-time OEE dashboard. This dashboard promotes smart manufacturing operations, enhances equipment availability and performance, and speeds decision-making for ongoing OEE improvement.

For immediate understanding of shop floor operations, shows real-time OEE scores including availability, performance, and quality criteria [11]. The research investigates how real-time monitoring and diagnosis made possible by IoT technologies might improve manufacturing Continuous Improvement (CI). It presents the Automatic Detailed Diagnosis (ADD) system, which tracks operator activity and equipment condition using low-power sensors, so increasing efficiency and lowering waste. In Lean Manufacturing systems, this integration of IoT supports improved problem-solving and decision-making.[12]. The researchers have found that real-time monitoring and data collecting made possible by the Internet of Things (IoT), manufacturing sector productivity is much improved. Condition monitoring, process optimization, and waste reduction made possible by this technology enable in the contactor manufacturing sector, for example, IoT deployment enhanced workplace productivity and safety as well as timely decision-making and knowledge-sharing among team members, so enabling cost savings and quality improvements [13]. Emphasizing the use of Kistler tri-axial accelerometers for vibration sensing in hostile environments, this work addresses the implementation of IoT-based monitoring for lathe machine performance. It describes local recording and cloud transmission as well as the significance of accelerometer data analysis of tool lifetime. Integration of cloud services like GE Predix improves analytics and data management capacities [14].

Track manufacturing efficiency, use real-time data to evaluate performance, quality, and availability, and the OEE monitoring system is absolutely vital. An OEE dashboard lets one quickly make decisions and adjust operations by offering graphic insights into these numbers. The dashboard KPIs allow one to keep a real eye on the current production status. IoT improves this system by means of data collecting from many machines, so promoting flexibility and production quality enhancement. Using IoT helps companies to reach operational excellence by means of ongoing process optimization and monitoring, so enhancing OEE results [15].

III. METHODOLOGY AND DESIGN OF IOT ARCHITECTURE

III.1 SENSORS AND DATA ACQUISITION

The selection of suitable sensors is essential for a cyber-physical system. The sensor should be highly accurate, and the appropriate data collection and data transmission are the most necessary things for any IoT-based system. The calibrated and accurate sensors were chosen for this research work.

Table 1: Details of selected sensors

Sr.No	Monitoring Parameter	Required sensor
1.	Cutting Temperature	Infrared Thermometer
2.	Machine work head, wheel head and bed Vibration	3-Axis Digital Accelerometer unit
3.	Machine Noise	Noise Sensor
4.	Bearing Part Detection	Proximity sensor

Source: Authors, (2026).

III.2 DETAILED NETWORK ARCHITECTURE, DATA STORAGE AND PROCESSING

There are four primary layers designed to establish IOT web-based monitoring system, first layer is Machine with sensors in which the sensors are attached in External Grinding machine to monitor machine conditions and process parameters, Second layer is perception layer in this Controller is designed to receive the data from sensors and takes appropriate actions if any abnormality generates. Third layer deals with network, in this layer, the data is stored in the cloud with using wifi module. The last one is application layer, in this, the O.E.E dashboard is designed and the production data can be visualized, analyzed, and monitored.

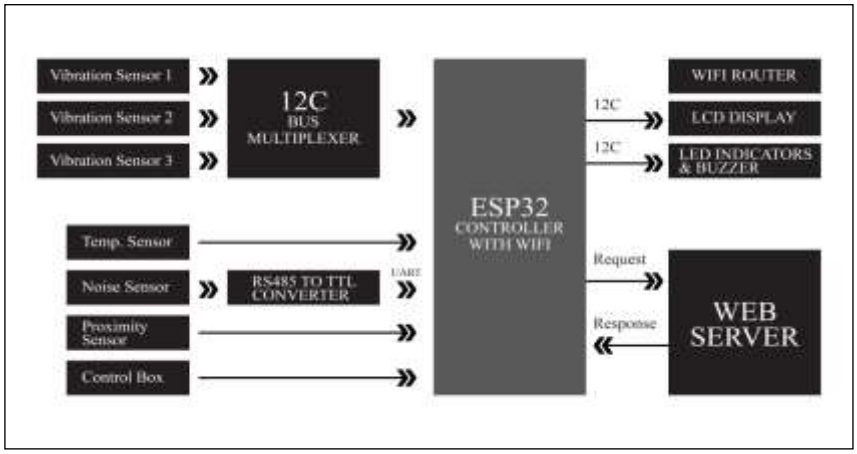


Figure 1: Basic Architecture and Hardware Interconnections.
Source: Authors, (2026).

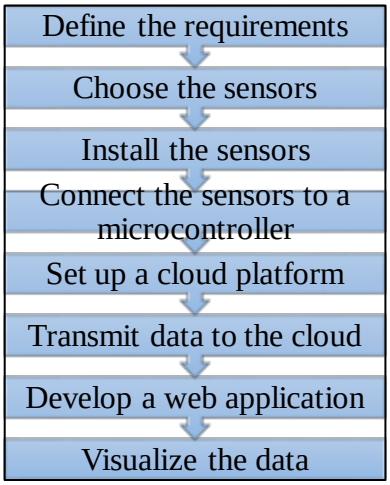


Figure 2: Steps to establish the setup of IOT web based monitoring system in the External Grinding machine.
Source: Authors, (2026).

III.3 INTEGRATION WITH EXTERNAL GRINDING PROCESS

The attached sensors detect and measure the physical quantity, convert these values into an electric signal and transmit the data to the controller and the controller takes the decision about further required actions, if any abnormality is detected in machine conditions and process parameters. It is a close loop system in which feed is given to system about predefined process values. The data is transmitted through a Wi-Fi router and stored in the cloud. The data can be visualized using IOT applications.

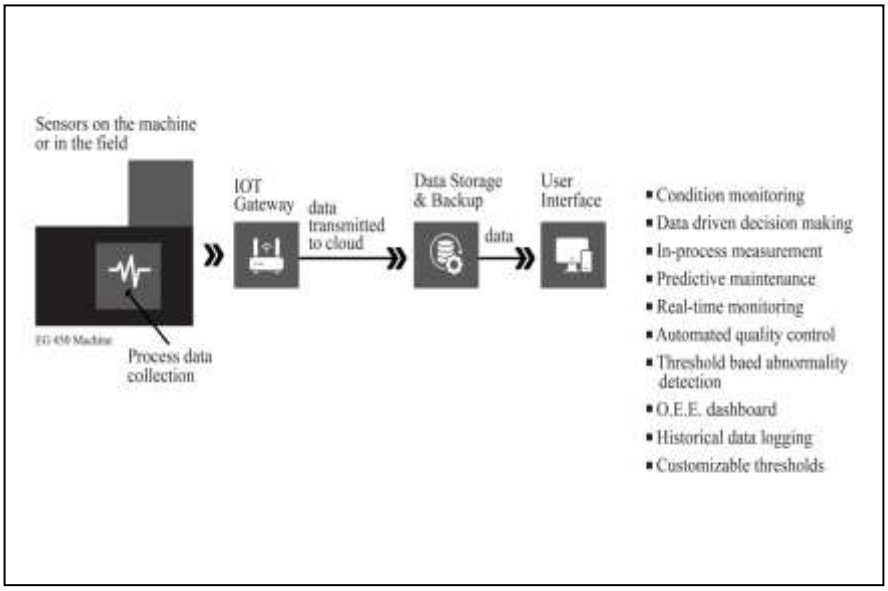


Figure 3: Data transmission pipeline in IoT-connected process systems
Source: Authors, (2026).

IV SYSTEM IMPLEMENTATION

IV.1 HARDWARE SETUP

The hardware elements, electronic components, control unit, wifi router, switches are interconnected and sensors have attached with machines to monitor process paramatrs and machine condition. Inter integrated circuit, Uart (Universal Asynchronous Receiver/Transmitter) and RS485 protocols are used for data communication between sensors and devices. The system is developed as if any abnormality is detected in machine or process parameters the notification will be sent to IOT web application for further improvements.

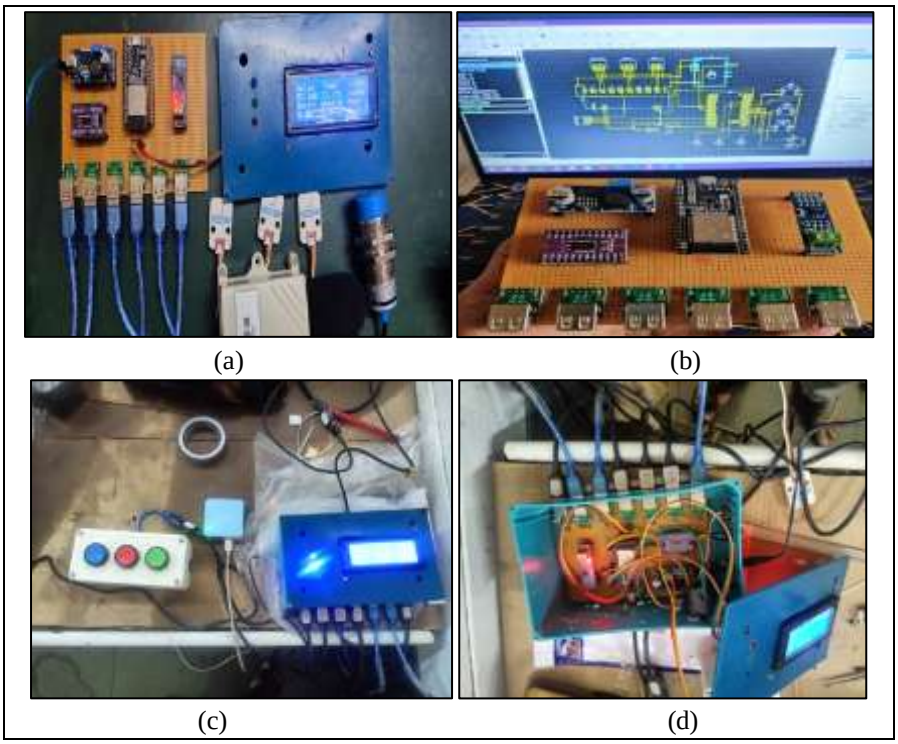


Figure 4: a) Sensors connected with Microcontroller, b)Adapter Board with electronic devices ,c)Hardware unit Integration and d) Push Button Switch unit,Wifi router and control unit box with LCD screen
Source: Authors, (2026).

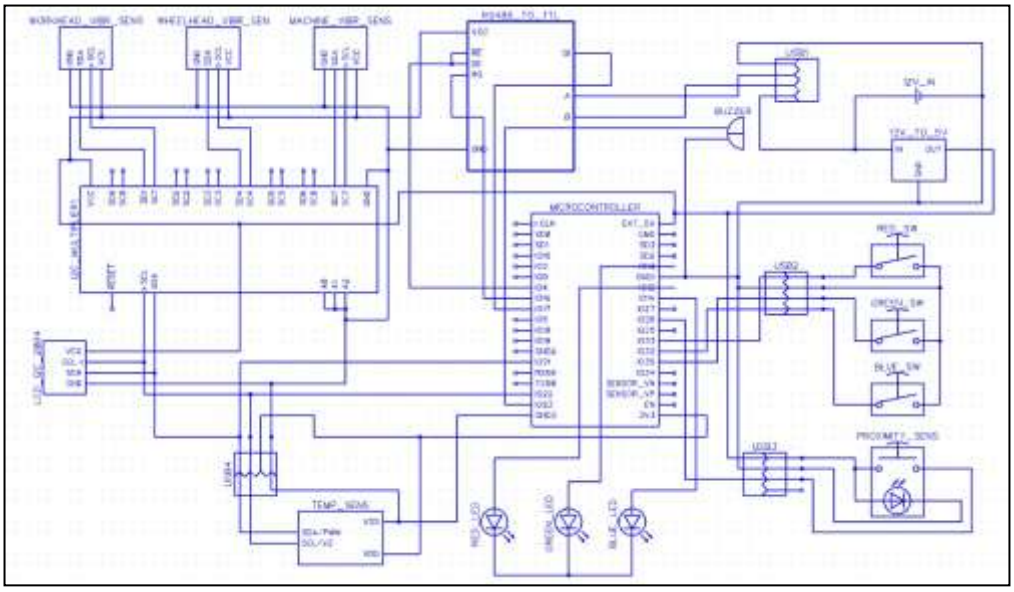


Figure 4: Schematic diagram of hardware interconnections and architecture.
Source: Authors, (2026).

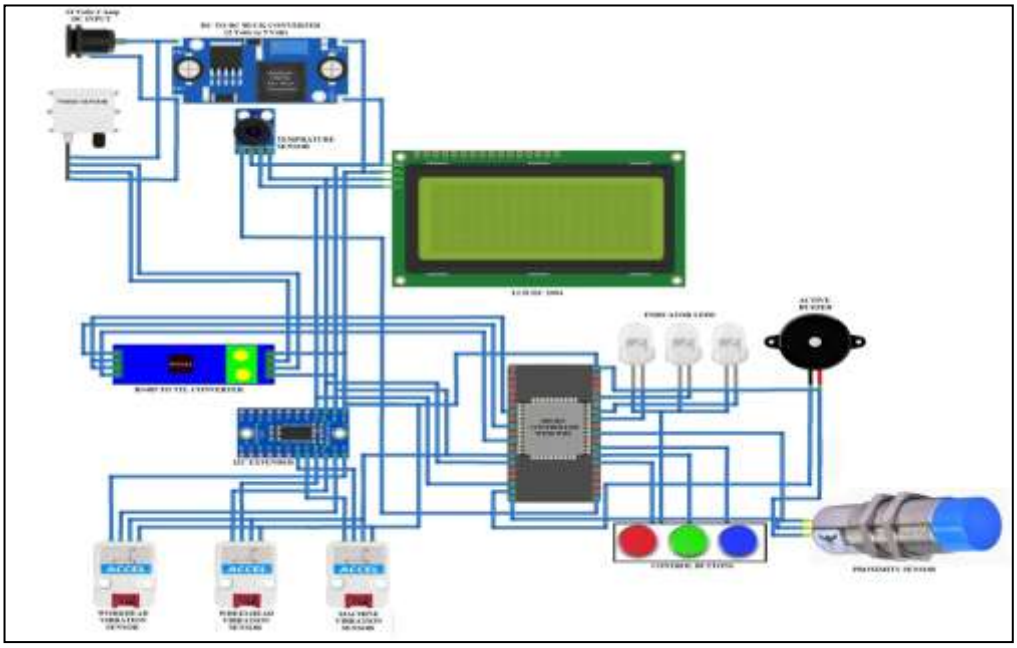


Figure 5: Circuit diagram of electronic hardware interconnections.
Source: Authors, (2025)

IV.2 EXPERIMENTAL SETUP AND TRAIL RUNS

The experimental setup has been developed by attaching sensors in machine to monitor external grinding process. The Control box, which contains a controller with voltage converters,I2C (Inter-Integrated Circuit) multiplier, RS485 signal to TTL (Transistor-Transistor Logic) converter, LCD, an active buzzer, Red and blue LED lights and a button Panel connector. Trail runs are conducted to check the response time, functionality testing, integration verification, usability, performance assessment, reliability, and stability of the developed IoT-based monitoring system. During trial runs, the problems faced related to incorrect sensor readings due to improper attachment with the machine, also corrected software bugs and compatibility problems related to IoT platforms, were not integrated smoothly with the machine tool. The experiments are performed after successful trial runs, Experiments are performed in various batches with groups of bearing races. Each batch contains total 38 bearing races. Experiments have been performed for two days with a total of five batches of 38 components. The method of experimentation is control experiments; it's a scientific test in which all machining conditions and process parameters remain constant except for the variables being tested. The hypothesis is a prediction of experimental outcome and an assumption about the relationship between variables. The fig 6. explains the step-by-step procedure of controlled experiments.

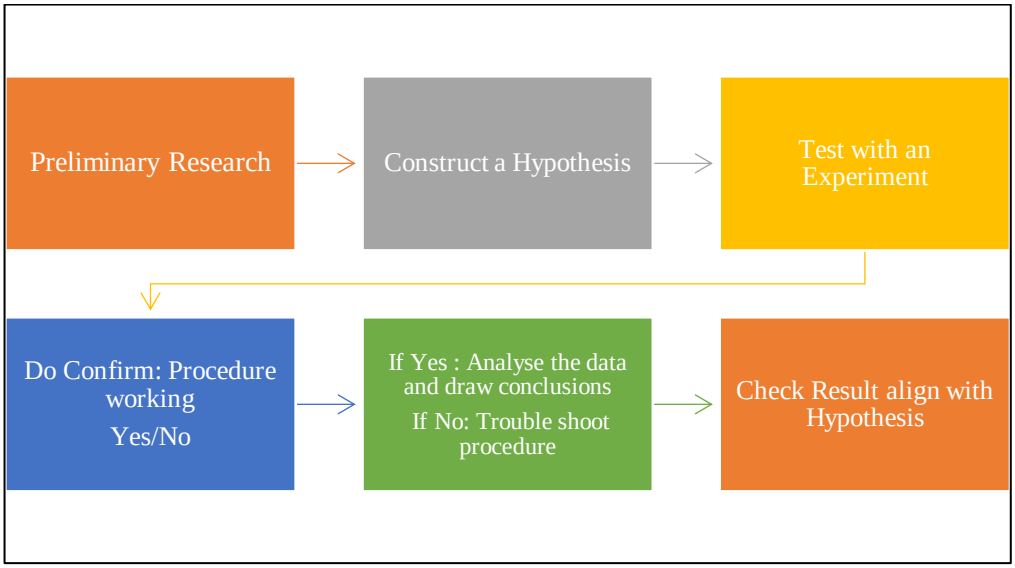


Figure 6: Controlled Experiment Procedure.
Source: Authors, (2026).

The pre-defined optimum threshold values for process parameters and machining conditions have been decided based on ISO standards and past production quality data records. The values of machining time and inspection time are chosen by the standard procedure of industrial engineering. With concerning controlled experiments the Independent variables (Controls during the experiment) are Vibration of Work head, Wheel head and Machine Bed, Cutting Temperature, and Noise. The Dependent Variables (Measured during the experiment) are surface finish, size accuracy, machine working time, machining time, and inspection time. The controlled variables Controlled Variable (Need to be constant for accurate results) are Feed, cutting speed, and depth of cut.

Table 2: Threshold values during experiment.

Sr. No	**Critical Parameter**	**Threshold values**	**Reference**
1	Maximum Cutting Temperature	25°C	---
2	Machine Vibration (Wheel head, work head and machine Bed)	1.8 mm/sec	ISO 10816-1
3	Noise	85 db	[16]
4	Cycle Time	126 sec.	--
5.	Inspection Time	4 sec.	--

Source: Authors, (2026).

The parameters mentioned in Table No.2 are monitored by IoT web-based monitoring system during the external grinding process for a bearing race. If the value exceeds the threshold, there is a chance of poor bearing race quality as well as machine inaccuracy and abnormal conditions.

Table 3: Machining Conditions that remain constant during controlled experiments.

Sr. No	**Parameter**	**Value**
1	Grinding Wheel RPM	2200
2	Work Piece RPM	16
3	Depth of Cut	0.05 mm
4	Material of Grinding wheel	RAA120L5VF8/60
5	Material of Work Piece	SAE 52100
6	Cutting Fluid Flow rate	20 Liter/Min
7	Feed	0.05 mm per pass
8.	Cutting Speed	46.05 m/s

Source: Authors, (2026).



Figure 7: Experimental setup.
Source: Authors, (2026).

The bearing race holds in work holding device of the external grinding machine. during external grinding, the cutting temperature is monitored, as well as the vibration and noise of the machine is monitored. After completion of the grinding operation, the machining time and inspection time are noted by a proximity sensor. The bearing size accuracy is measured by a measurement setup using a dial gauge. At last, the quality of the part is confirmed by pressing the Green or Red button push switch.

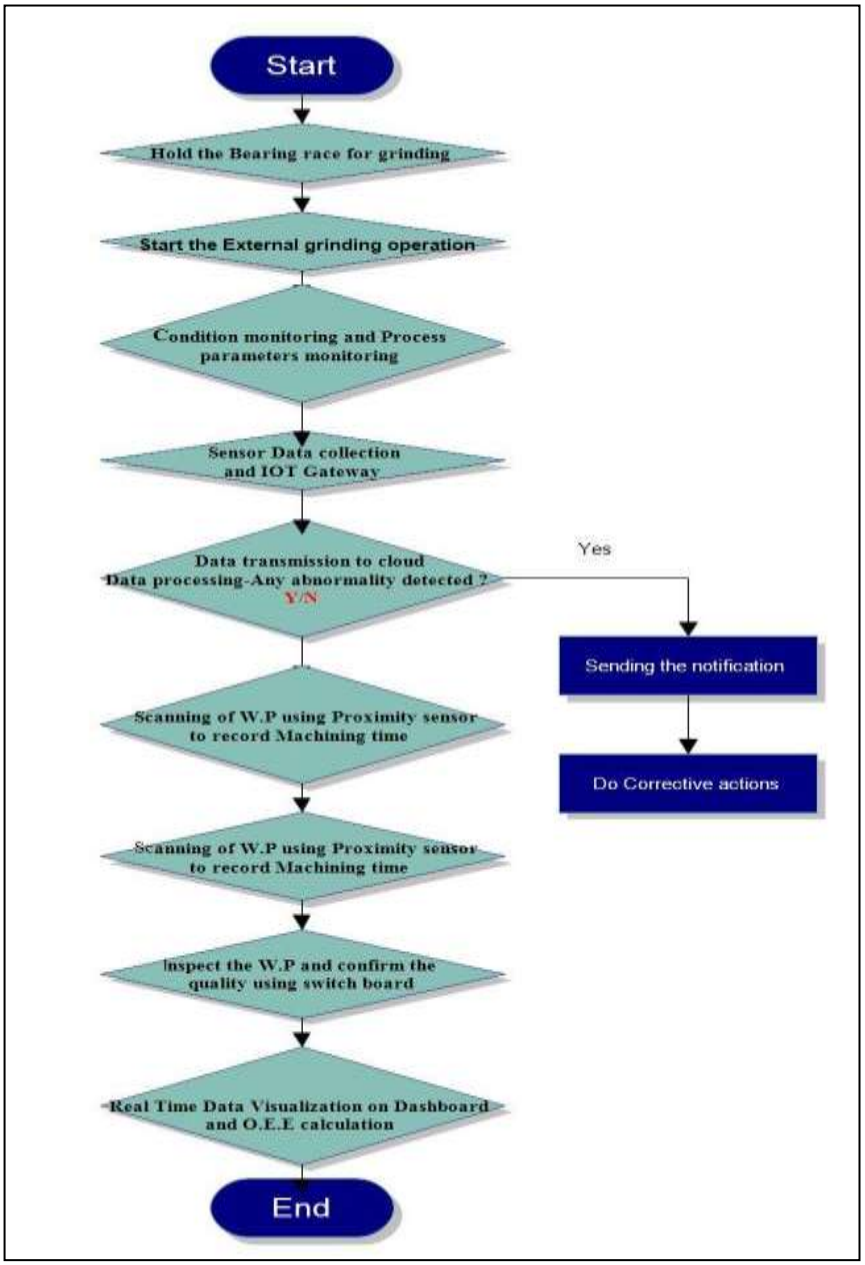


Figure 8: Flow chart of Experimental procedure.
Source: Authors, (2026).

IV.3 REAL-TIME MONITORING AND O.E.E DASHBOARD

The process variables are monitored by IoT-based system, and if any abnormality is detected, the notification will be mentioned on IOT web application.

IV.4 PROCESS CONTROL PLAN

Table 4: Process Control plan for IoT-based External Grinding Process.

KPI	Thresh-old Values	Relevant O.E.E.Factor	Required Corrective actions (If variable values exceed threshold values)
Cutting Temperature	25°C	Quality	Maintain cutting fluid temperature.
Vibration of the Machine bed, wheel head, and work head	1.8 mm/ sec	Quality and Availability	Balance machine parts, repairing Spindle misalignment, Repairing Loose machine parts, managing cutting speed, and feed.
Machine Noise	85 db	Availability	Controlling friction, unbalancing, overloading, malfunctioning, and misalignment between machine parts.
Process Time and Inspection Time	126 sec. and 4 sec.	Performance	Continuous improvement, corrective actions and standardizing working procedures.

Source: Authors, (2026).

IV.5 IOT WEB APPLICATION AND O.E.E DASHBOARD

The IoT web application is developed to analyze, monitor, and visualize the real-time production data. The stored data from the cloud is sent to the web application through the wi-fi module. The O.E.E Dashboard is developed to monitor the O.E.E of the external grinding process. O.E.E. is visible after the completion of a shift. The record of past production data and O.E.E. is visible in the web application.

IV.6 FEATURES OF IOT WEB APPLICATION

1) Real-time production data monitoring for data-driven decision making
2) A facility to customize threshold values of each critical parameter.
3) Threshold-Based Abnormality Detection notification.
4) O.E.E. dashboard and historical data Logging.
5) Notification and alert system on Mobile Phone.

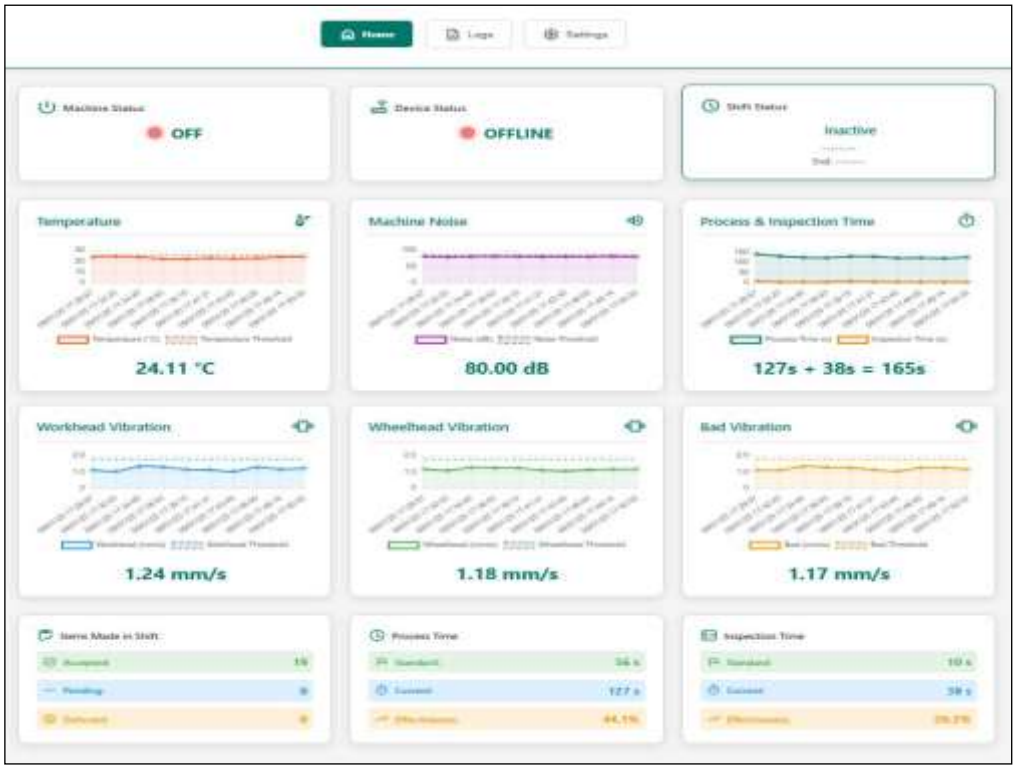


Figure 9: Real-time data Dashboard.
Source: Authors, (2026).



Figure 10: Data Logging and shift-wise KPI records.
Source: Authors, (2026).

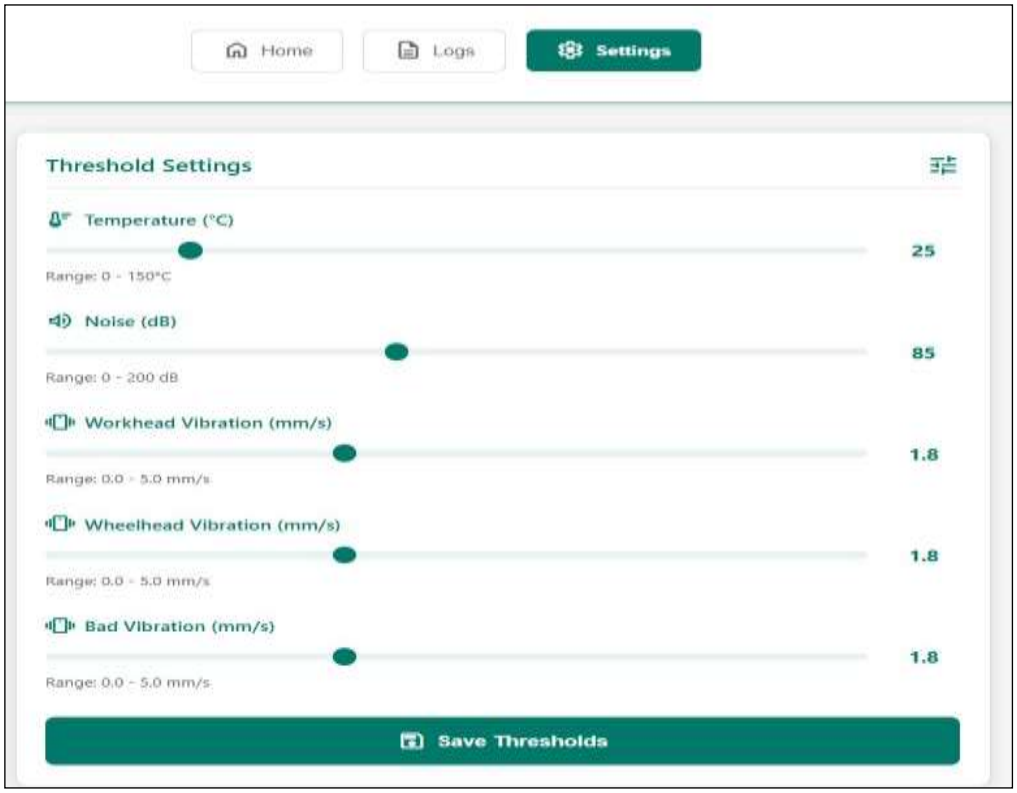


Figure 11: Customizable thresholds for each critical parameter.
Source: Authors, (2026).

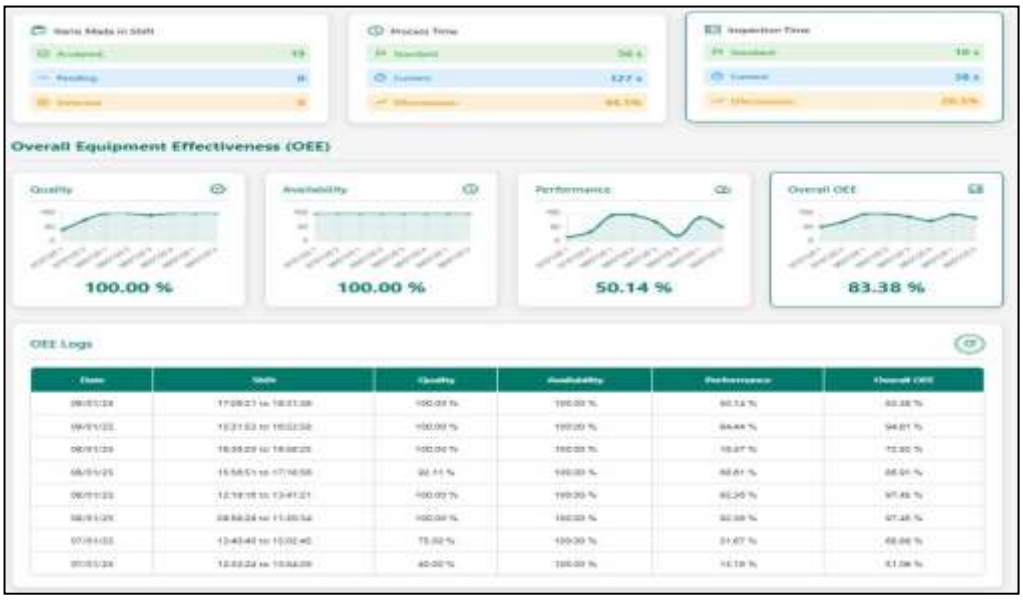


Figure 12: O.E.E Dashboard.
Source: Authors, (2026).

V. RESULTS AND DISCUSSION

After performing experiments, it is observed that if the values of critical parameters like cutting temperature and vibration do not exceed their threshold values, the bearing's remarkable surface finish and accurate size can be achieved. The sudden breakdown of the machine is reduced due to the detection of an abnormality in the early stage. The notification and alert system helps to provide attention to the supervisor by providing the condition monitoring system. The following notifications have been generated during experiments.

Table 5: Notification and alert system Observation during experiments.

Shift and Date	Critical Parameter	Values exceed the Threshold?	Notification and alert generated?
Shift 1 8/1/2025	Bed Vibration	Yes	Yes
Shift 2 8/1/2025	Bed Vibration	Yes	Yes
Shift 3 8/1/2025	Cutting Temperature	Yes	Yes
Shift 2 9/1/2025	Noise	Yes	Yes

Source: Authors, (2026).

After getting a notification from IoT web-based monitoring system, corrective actions have been taken to achieve the quality and reduce the chances of breakdown. The sudden breakdowns are eliminated by the live monitoring and alert system. The paperwork is eliminated by implementing an IoT-based system, as all production records have been digitized, so it helps to promote environmentally conscious and sustainable practices. After monitoring the O.E.E. of each shift it is observed that the O.E.E. of the external grinding process is improved. The past one-year production data of O.E.E without implementing IoT system was collected, and after implementing IOT system, the O.E.E is calculated. A notable improvement observed in O.E.E is 8.70%. Fig.13 shows a significant improvement in the quality of bearing parts as well as an improvement in performance and availability of the machine.

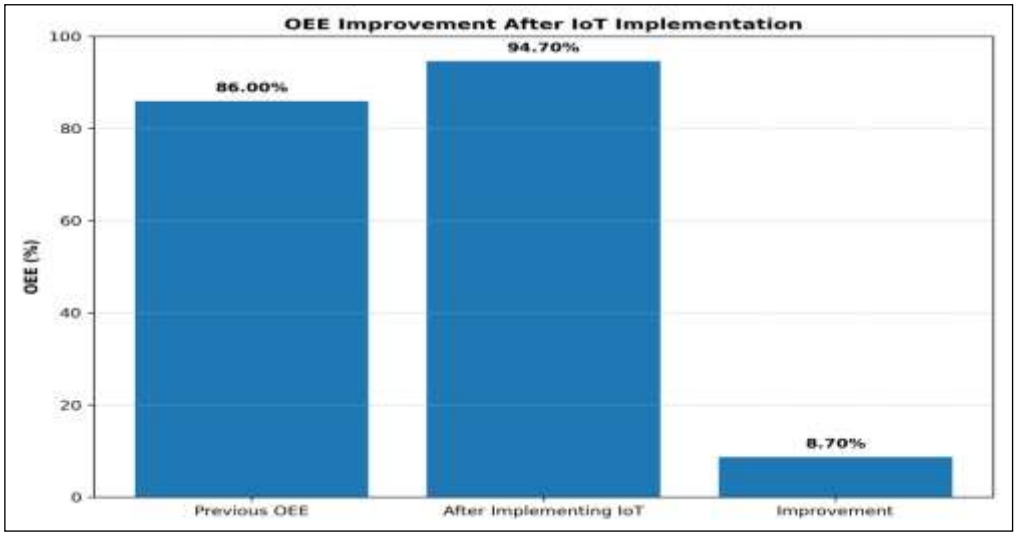


Figure 12: O.E.E before and after implementing the IoT-based monitoring system.
Source: Authors, (2026).

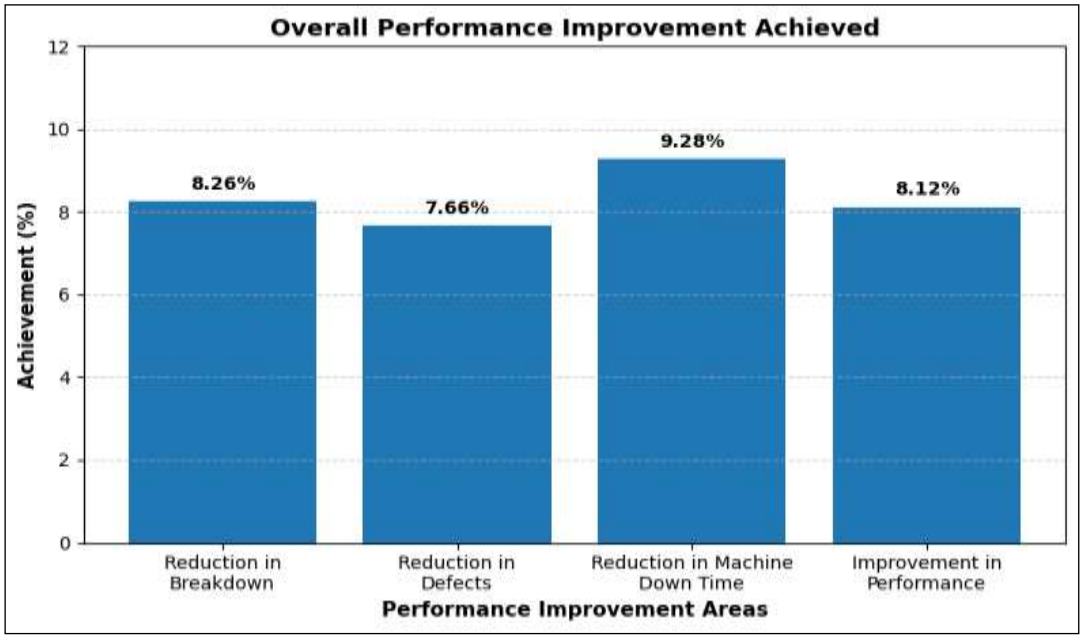


Figure 13: Achievements after implementing an IoT-based system.
Source: Authors, (2025)

VI. CONCLUSION

The research demonstrates the development and implementation of an IoT-based web monitoring system aimed at improving the O.E.E. of an external grinding process used in the precision manufacturing of bearing components. The results from experiments highlight the effectiveness of IoT-based real time monitoring system for improving O.E.E with enhancing quality, reducing breakdowns, reducing machine downtime and promoting sustainable practices in the manufacturing process by eliminating the usage of papers.The integration of real-time monitoring and data analytics plays an important role in process improvement. The developed system utilizes calibrated sensors for data collection and monitoring of critical process parameters such as cutting temperature, machine vibration, noise levels,cycle time which are linked with key performance indicators and these factors directly influence the OEE elements in terms of quality, availability, and performance. Through controlled experiments, the system was tested for its reliability, accuracy, and responsiveness. When deviations from threshold values were detected, the system generated immediate notifications, allowing timely corrective actions to prevent quality defects and machine downtime.

The significant improvement in O.E.E was observed, rising from 86 % to 94.70 % after implementing IOT web based real time monitoring system. After performing experimentation during various manufacturing shifts at bearing manufacturing industry the 8.26 % reduction in breakdown,7.66 % reduction in manufacturing defects,9.28 % reduction in machine downtime and 8.12 % improvement in machine performance is observed. Furthermore, the adoption of digital manufacturing approach minimised paperwork, reduced production bottlenecks and supports data-driven decision-making on the production shop floor. This approach confirms the practical benefits of adopting IoT technologies in manufacturing operations particularly in high-precision processes like external grinding.Future work may focus on expanding the system's capabilities to other machining processes and incorporating advanced analytics and machine learning for predictive insights. Overall, this IoT-based solution represents a scalable and cost-effective approach to achieving operational excellence in smart manufacturing environments.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.
Methodology: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.
Investigation: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.
Discussion of results: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.
Writing – Original Draft: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.
Writing – Review and Editing: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.
Resources: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.
Supervision: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.
Approval of the final text: Manan Bhavesh Raval, Hirenkumar Indravadan Joshi, Bharat Khatri and Janak Valaki.

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RESEARCH ARTICLE OPEN ACCESS

PERFORMANCE DRIVEN OPTIMIZATION OF CMOS BASED TWO SATGE OPERATINAL AMPLIFIER USING METAHEURISTIC ALGORITHMS

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ABSTRACT

Design of CMOS based analog circuits becomes increasingly complex as transistor sizing plays a crucial role due to the trade-offs among power consumption, silicon area, unity gain bandwidth, slew rate, and open loop gain. This sizing challenge is makes analog circuit design inherently multi objective, and traditional analytical approaches based on simplified transistor level equations often fail to deliver globally optimal results. Metaheuristic optimization techniques have emerged as an effective alternative to explore nonlinear and multi-dimensional design spaces. In this work, the design of a two stage CMOS operational amplifier in the Predictive Technology Model (PTM) 45 nm technology node is optimized using four algorithms: Particle Swarm Optimization (PSO), RAO algorithm, Teaching Learning Based Optimization (TLBO), and the proposed Modified TLBO (MTLBO). The algorithms were implemented in Python and verified through Ngspice-26 simulator on an AMD Ryzen™ processor with 16 GB RAM, 64 bit Ubuntu environment. The proposed MTLBO achieved 86.15 dB voltage gain, 94.05 dB CMRR, and 185 MHz unity gain bandwidth. Comparative analysis shows that the proposed MTLBO algorithm achieves faster convergence with fewer iterations and consistently outperforms PSO, RAO, and TLBO making it a strong candidate for efficient analog VLSI design automation.

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I. INTRODUCTION

The scaling of Complementary Metal Oxide Semiconductor (CMOS) technology has made the design of analog and mixed signal circuits design increasingly challenging task. Although digital systems dominate modern integrated circuits, analog blocks such as operational amplifiers (op-amps) remain indispensable because they serve as the critical interface between the physical world and digital processors which is the prime demand of modern mixed signal SoCs. High performance op-amps are widely used in wireless communication, biomedical instrumentation, signal processing, data converters, and control systems [1]. However, analog design in deep submicron nodes is far more complex than digital design due to nonlinear device behavior, process variations, and the simultaneous need to optimize design specifications such as gain, bandwidth, slew rate, power efficiency, and silicon area [2]. Traditional manual device sizing approaches rely on analytical transistor level equations, design heuristics, or rule-based methods often fail to achieve globally optimal results because of simplifying assumptions and their limited ability to explore complex design spaces [3]. To overcome these limitations, optimization driven methodologies have become increasingly popular. Deterministic optimization methods may succeed when the problem is well posed, but they are sensitive to initial conditions and tend to converge to local optima. Metaheuristic algorithm inspired by natural or social processes are more robust, balancing global exploration and local exploitation, making them particularly suitable for high dimensional, multi objective analog circuit design problems [4]. Over the past two decades, a wide range of metaheuristic algorithms have been investigated. Genetic Algorithms (GA) [5] and Particle Swarm Optimization (PSO) [6] are commonly applied but require careful parameter tuning. Artificial Bee Colony (ABC) [7], Differential Evolution (DE) [8], and Whale Optimization Algorithm (WOA) [9] offer improved exploration but remain computationally demanding for highly constrained designs. Teaching Learning Based

Optimization (TLBO) proposed by Rao et al. [10], introduced a parameter less approach inspired by the teacher student learning process which enables faster convergence and simpler to implementation. More recently, Rao [11] developed Rao algorithms, which further reduce parameter dependence and have been successfully applied to a many engineering problems. Multi objective TLBO has been employed for addressing challenging scheduling problems [12], while hybrid PSO-TLBO approaches have reported enhanced convergence characteristics in diverse optimization tasks [13]. Scalable variants such as the parallel subclass TLBO have been proposed for high-dimensional problem spaces [14]. Recent studies have shown that bio-inspired algorithms are also gaining traction in wireless sensor networks, where they have been successfully applied to enhance localization accuracy [15], emphasizing their broad applicability across engineering domains. Motivated by these developments, this work introduces a Modified Teaching Learning Based Optimization (MTLBO) algorithm for analog circuit design automation. The proposed MTLBO integrates the teacher and learner phases into a single update rule, allowing candidate solutions to learn simultaneously from the best solution and peer interactions.

This modification reduces algorithmic overhead, accelerates convergence, and preserves diversity within the search space. The algorithm is implemented in Python and coupled with Ngspice-26 simulator to optimize a two-stage CMOS operational amplifier in PTM 45 nm technology. Its performance is benchmarked against PSO, RAO, and TLBO to validate robustness and efficiency in achieving high gain, wide bandwidth, and low power consumption. The contributions of this paper are as follows: A review and comparative evaluation of metaheuristic algorithms for analog CMOS op-amp design, development of an enhanced MTLBO algorithm with integrated teacher learner update rules, implementation automated framework for two stage CMOS op-amp optimization, comparative results demonstrating that MTLBO achieves faster convergence and superior circuit performance relative to PSO, RAO, and TLBO. This paper is organized as follows: Section II brief over view of TLBO algorithm. Section III presents the proposed MTLBO approach with improved teaching process. Section IV outlines the automated design framework. Section V discusses simulation results. Section VI concludes the work and highlights scope of the future work.

II. THE TEACHING LEARNING BASED OPTIMIZATION

Teaching Learning Based Optimization (TLBO), proposed by Dr. R. V. Rao [10], is a population based meta heuristic algorithm which emulates how students acquire knowledge both from the teacher and the peer interaction. Each generation in TLBO consists of two distinct stages:

II.1 TEACHER PHASE

This phase identifies the most competent learner having best fitness from the population and designated as a teacher. All other learners adjust their solutions by moving closer to the teacher's position, effectively assimilating the teacher's knowledge. In this phase personal best of each candidate is determine, and then appoint the top performing individual as a teacher. All other learners learn from each other and update their own solutions by learning from each other and also from this teacher. Two matrices each for teacher and learner are generated randomly for initial population within the required bound [10]. The two matrix Px and Py generated for the N number of learner in the range Px with x = 1, 2, …, N and Py with y = 1, 2, …, M number of subjects where P is the objective function of the individual candidate.

Matrix Px where x = 1, 2, 3…, N (1)

Matrix Py where y = 1, 2, 3…, M (2)

After generating these two Px and Py random matrices each individual fitness is calculated by the objective function and selecting best indivudal from the population. In the proceeding step mean of each design variable is calculated and learner with best solution is selected as teacher as mentioned in the below equation.

$$Diff_{mean_{x,y,i}} = R_i\left(K_{x,ybest,i} - TFM_{j,i}\right) \tag{3}$$

Where the random number Ri having value in the range of [0,1] and teaching factor TF having value either 1 or 2 and TF is calculated by the formula (4).

$$TF = round[1 + rand(0,1)(2-1)] \tag{4}$$

Hear, TF is randomly selected in the range of 1 or 2 and it is important to note that the teaching factor is not algorithm parameter. After finding the difference mean new solution is obtained by the following equation.

$$K'_{x,y,i} = K_{x,y,i} + Diff_Mean_{x,i} \tag{5}$$

II.2 LEARNER PHASE

Randomly selected learners are allowed to interact with each other to update their solution based on whether the peer is performing better or worse. This knowledge exchange process further refines the population's solutions. Throughout this process, the learners iteratively improve the performance by incorporating both top-down instruction (from the teacher) and lateral learning (from fellow students), steadily converging toward an optimal solution. The learner updates their knowledge by interacting with the peer who has higher knowledge compared to him. For the minimization process,

$$K^{"}_{x,a,i} = K'_{x,a,i} + R_i\left(K'_{x,a,i} - K'_{x,b,i}\right), \quad if K'_{total-a,i} < K'_{total-b,i} \tag{6}$$

$$K^{"}_{x,a,i} = K'_{x,a,i} + R_i\left(K'_{x,b,i} - K'_{x,a,i}\right), \quad if K'_{total-b,i} < K'_{total-a,i} \tag{7}$$

For the maximization process,

$$K''_{x,a,i} = K'_{x,a,i} + R_i\left(K'_{x,a,i} - K'_{x,b,i}\right), \quad if K'_{total-a,i} > K'_{total-b,i} \tag{8}$$

$$K''_{x,a,i} = K'_{x,a,i} + R_i\left(K'_{x,b,i} - K'_{x,a,i}\right), \quad if K'_{total-b,i} > K'_{total-a,i} \tag{9}$$

Depending on the type of the process either equation (6), (7) or (8), (9) are applied to find the updated value of the learner phase [10].

III. THE PROPOSED MODIFIED TEACHING LEARNING BASED OPTIMIZATION ALGORITHM

Modified Teaching-Learning-Based Optimization (MTLBO) is an enhanced version of TLBO, designed to improve optimization efficiency by combining the Teacher and Learner phases into a single update rule. This modification allows for a more compact, yet powerful search mechanism, improving both the convergence rate and solution quality. Inspiration Behind MTLBO Just like TLBO, MTLBO is inspired by the learning process for gaining knowledge in a classroom. Students (solutions) improve their knowledge (fitness) either by gaining knowledge from the teacher which is best individual in the population or by the peers within the population. However, MTLBO merges the two separate learning phases of TLBO into a unified learning strategy wich incorporates two random variables r1 and r2 along with the teaching factor TF.

III.1 PSEUDOCODE FOR MTLBO ALGORITHM

Start MTLBO

Initialize the population:

Create a population of solutions (random values within bounds).
Evaluate the cost of each solution.
Save the best solution as Globalbest.

Repeat for each iteration:

a. Calculate the followings:
Obtain population mean as (Popmean).
Obtain the overall individual best as (Popbest).
Obtain the teaching factor (TF = 1 or 2 randomly).

b. For each individual Xi in the population:
Pick a random peer X_k (not equal to X_i).
Set direction A:
If Xi is better than X_k → A = 1
Else → A = -1
Generate random values r_1 and r_2.
Update Xi using:
$X_{new} = X_i + r_1*(Pop_{best} – TF * Pop_{mean}) + A * r_2* (X_i - X_k)$
Keep X_{new} within bounds.
Evaluate X_{new} cost.
If X_{new} is better value than X_i, replace X_i.
If X_{new} is better value than Globalbest, update Globalbest.

c. Record the best cost of this iteration.

Repeat until maximum iterations are reached

Output: Best solution ($Global_{best}$)

End MTLBO

III.2 IMPROVED TEACHING LEARNING PROCESS

This study proposes a Modified Teaching–Learning-Based Optimization (MTLBO) algorithm that enhances the original TLBO framework by incorporating simultaneous dual learning from both the teacher and the student. Each randomly selected participant is initialized within predefined bounds, where every individual is represented by a vector of decision variables. Each solution is then evaluated using a cost function to determine its fitness. In each iteration, the algorithm computes the population mean and identifies the best-performing individual as the teacher. A teaching factor (TF), randomly selected as either 1 or 2, controls the intensity of the teacher's influence. At the same time, each solution is paired with a randomly selected peer. Direction coefficient (A) is then assigned according to their relative performance: if the individual outperforms its peer, $A = 1$ otherwise, $A = -1$. The individual is subsequently updated using a combined learning strategy that incorporates knowledge from both the teacher and the peer. This combine learning strategy enhances knowledge transfer within the population and improves the algorithm's ability to converge efficiently toward high quality solutions is represented in mathematical equation by (10). Given the highly nonlinear, multi objective nature of analog circuit design, the proposed MTLBO framework is particularly well suited for achieving faster convergence while maintaining robustness across complex design spaces.

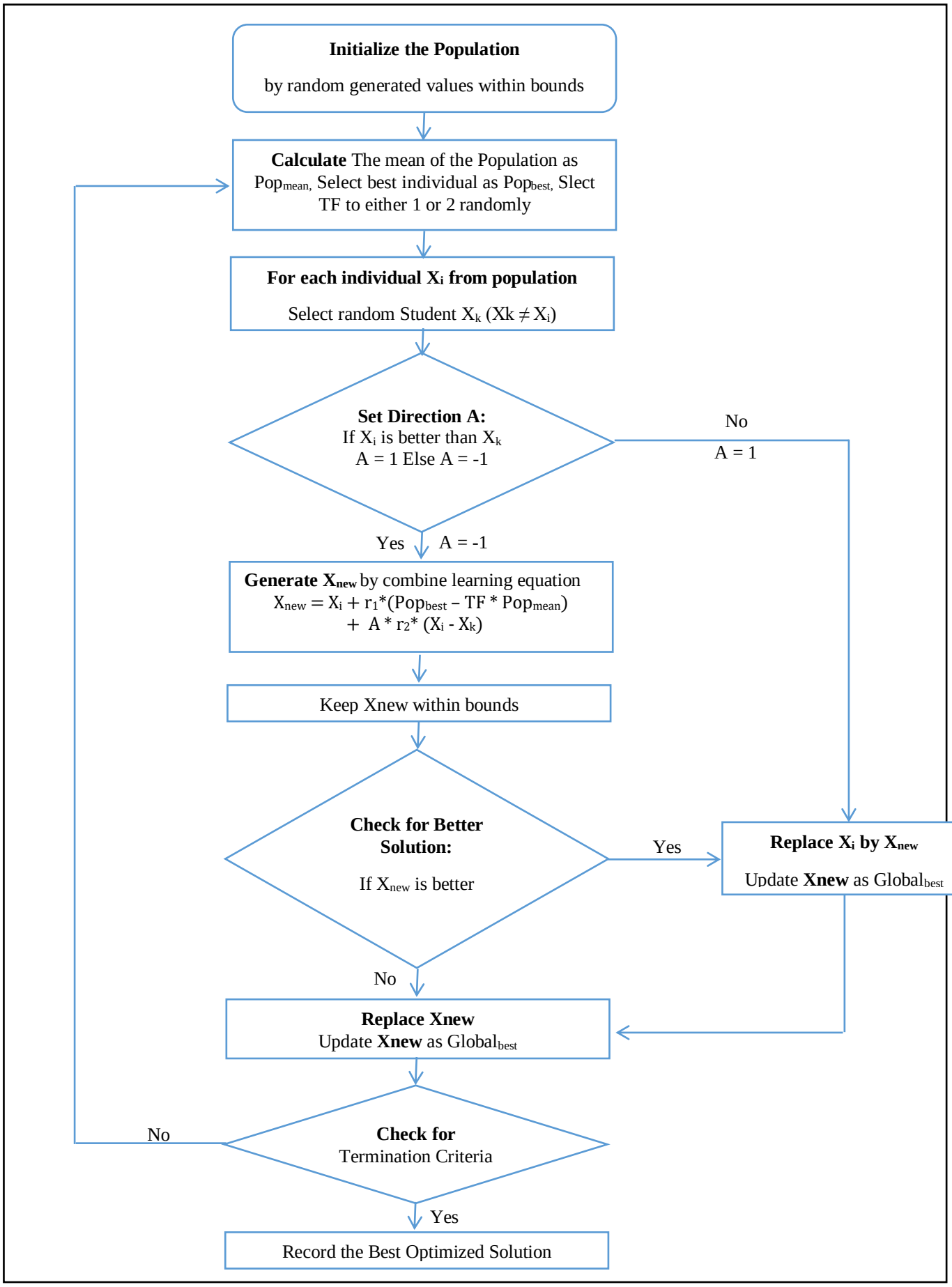


Figure 1: Flow Diagram of proposed MTLBO Algorithm.
Source: Authors, (2026).

$$X_{new} = X_i + r_1 * (Pop_{best} - TF * Pop_{best}) + A * r_2 * (X_i - X_k) \quad (10)$$

Where r_1 and r_2 are randomly generated coefficients. This formulation allows each individual to simultaneously learn from the best solution in the population and adapt based on its relative standing with a peer, thereby promoting a balanced exploration–exploitation trade-off. The updated candidate is bounded within the variable limits and accepted if it yields an improved cost. After all individuals are updated, the global best solution is identified and stored using greedy selection. The algorithm iterates until termination criterion is achieved, either reaching the maximum number of iterations or attaining acceptable convergence. The complete flow diagram of the MTLBO algorithm is shown in Figure 1.

IV. OPTIMIZATION OF TWO STAGE OPERATIONAL AMPLIFIER BY MTBLO ALGORITHM

The MTLBO algorithm is applied to optimize complex multidimensional CMOS analog circuit design problems. It was evaluated on the optimization of a critical CMOS based operational amplifier, which is the fundamental building block of Analog to Digital Converters and Digital to Analog Converters in modern VLSI mixed signal design [16]. Designing a two-stage operational amplifier is itself a multidimensional problem [17], where the sizing of each device parameter must be optimized to achieve required specifications such as gain, bandwidth, power, and area. The MTLBO algorithm automates the design of CMOS analog circuits by optimizing each transistor's width and length as design parameters to meet the desired specifications. The design process combines the MTLBO optimizer with a SPICE simulation environment, where each set of design values is evaluated using Ngspice to ensure that the circuit meets performance targets[18]. A fitness function based on the root mean square (RMS) error is used to measure how closely the simulated results match the desired specifications. The fitness function is calculated as by equation (11), where D is the total number of specifications.

$$Fitness\ Function = \sqrt{\sum_{j=1}^{D} \left(\frac{Specification_{desired} - Specification_{simulated}}{Specification_{desired}} \right)_j^2} \quad (11)$$

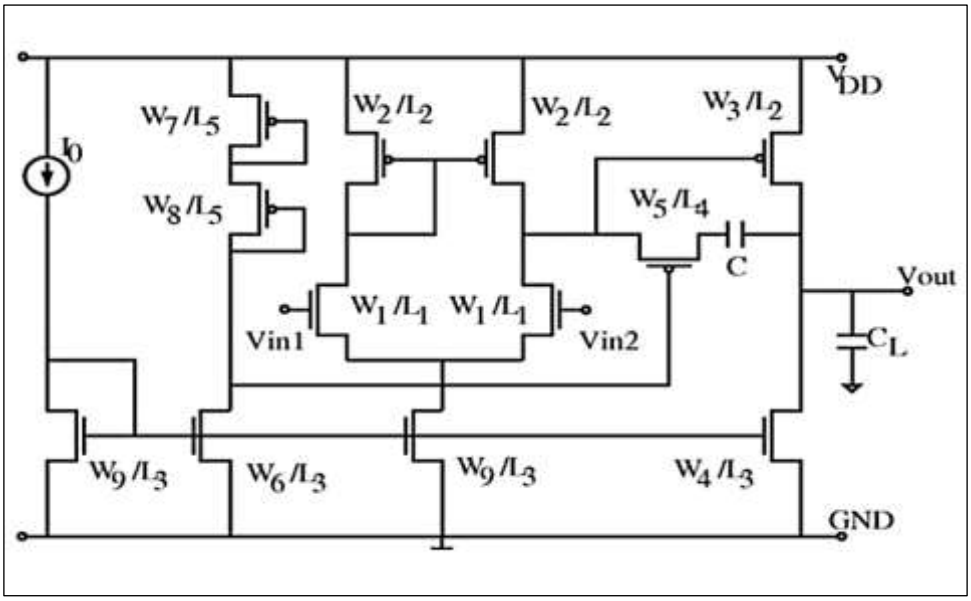


Figure 2: The Two Stage Operational Amplifier.
Source: Authors, (2025).

Table 1: Design Specification of two stage op-amp.

Sr. No.	Required Specifications
1	AC voltage gain AV > 80 dB
2	Phase margin > 60°
3	Unit gain bandwidth (UGB) > 100 MHz
4	Power Supply Rejection Ratio (PSSR) > 80 dB
5	Common Mode Rejection Ration (CMRR) > 80 dB
6	Rise Slew Rate (RSR) > 40 V/us
7	Fall Slew Rate (FSR) > 40 V/us
8	Power Consuption < 0.2µW

Source: Authors, (2026).

This RMS error formula gives equal weight to each specification. The optimizer's main aim is to minimize the fitness function value with each iteration until an acceptable level is reached. The process stops when either the fitness function falls below a set minimum (1e-6) or the maximum number of iterations (1000) is reached [19].

If the stopping criteria are not met, the optimization algorithm generates a new set of design parameters, and the cycle repeats. The two stage op-amp, shown in Figure 2, with design specifications listed in Table 1, represents the multidimensional design problem to be optimized [20]. The MTLBO algorithm is incorporated into the automated design environment, as illustrated in Figure 3, to obtain the desired optimum results.

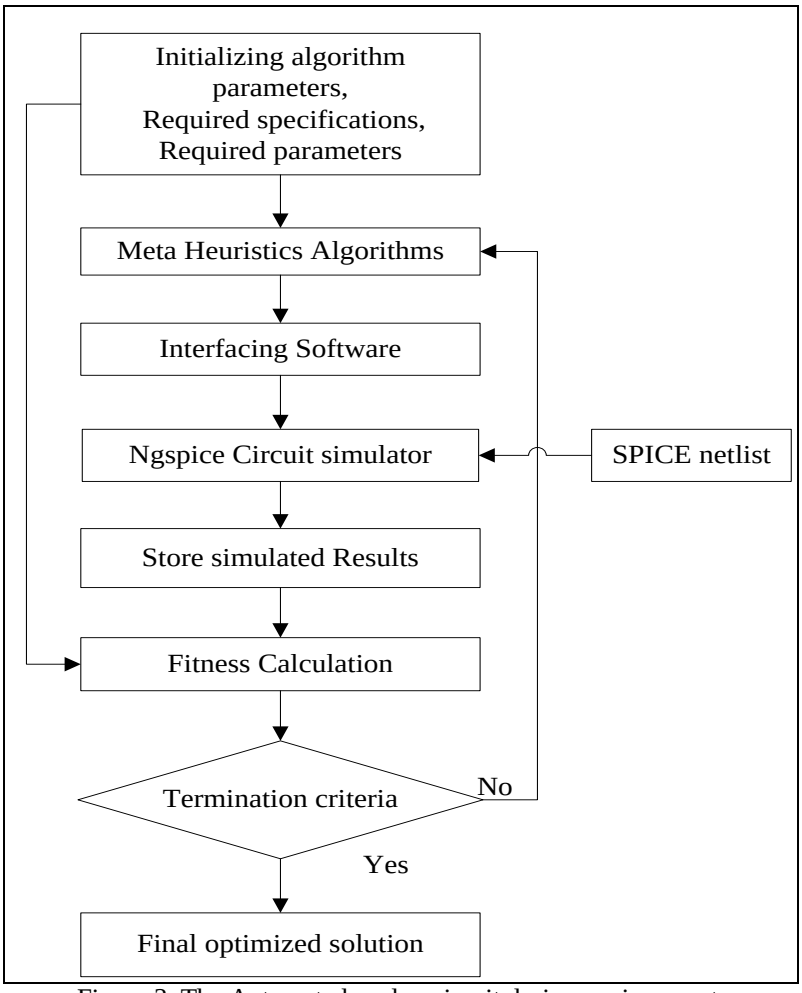


Figure 3: The Automated analog circuit design environment.
Source: Authors, (2026).

Table 2: Optimized parameters of two stage op-amp for the RAO, PSO, TLBO and MTLBO algorithm.

Design Variable	Variable Range	Obtained Parameters RAO	Obtained Parameters PSO	Obtained Parameters TLBO	Obtained Parameters MTLBO
W1 / L1	W: 0.5 to 10 (µm) L: 0.13 to 1 (µm) Transistor dimensions are in µm.	10.0 / 0.37	2.34 / 0.20	1.14 / 0.20	5.82 / 0.34
W2 / L2		0.52 / 0.23	0.50 / 0.20	0.96 / 0.28	2.64 / 0.26
W3 / L2		8.27 / 0.23	2.11 / 0.20	2.19 / 0.28	9.99 / 0.26
W4 / L3		5.24 / 0.20	10.0 / 0.71	1.97 / 0.20	2.93 / 0.35
W5 / L4		1.95 / 0.20	0.50 / 0.20	0.51 / 0.20	0.53 / 0.20
W6 / L3		1.58 / 0.20	9.15 / 0.71	4.86 / 0.20	2.95 / 0.35
W7 / L5		5.75 / 0.20	0.50 / 0.99	1.59 / 0.76	2.00 / 0.20
W8 / L5		10.0 / 0.53	0.50 / 0.99	2.48 / 0.76	5.71 / 0.20
W9 / L3		1.89 / 0.20	10.0 / 0.71	2.57 / 0.20	1.19 / 0.35
Io (µA)	0.01 to 10 µA	2.96	4.87	5.01	2.40
C (pF)	0.1fF to 10 pF	0.045	0.046	0.053	0.040

Source: Authors, (2026).

V. RESULTS AND DISCUSSIONS

The two-stage CMOS operational amplifier was designed using the PTM 45 nm CMOS process. Simulations were performed on an AMD Ryzen™ processor with 16 GB of RAM running a 64 bit Ubuntu operating system. The RAO, PSO, TLBO, and proposed MTLBO algorithms were implemented in Python, while circuit level simulations were carried out using Ngspice-26. For a fair performance comparison, a standardized test setup was used: each algorithm was initialized with a population size of 30, and the design dimension, representing the total number of transistor level variables was set to 16. The maximum number of iterations was fixed at 1000,

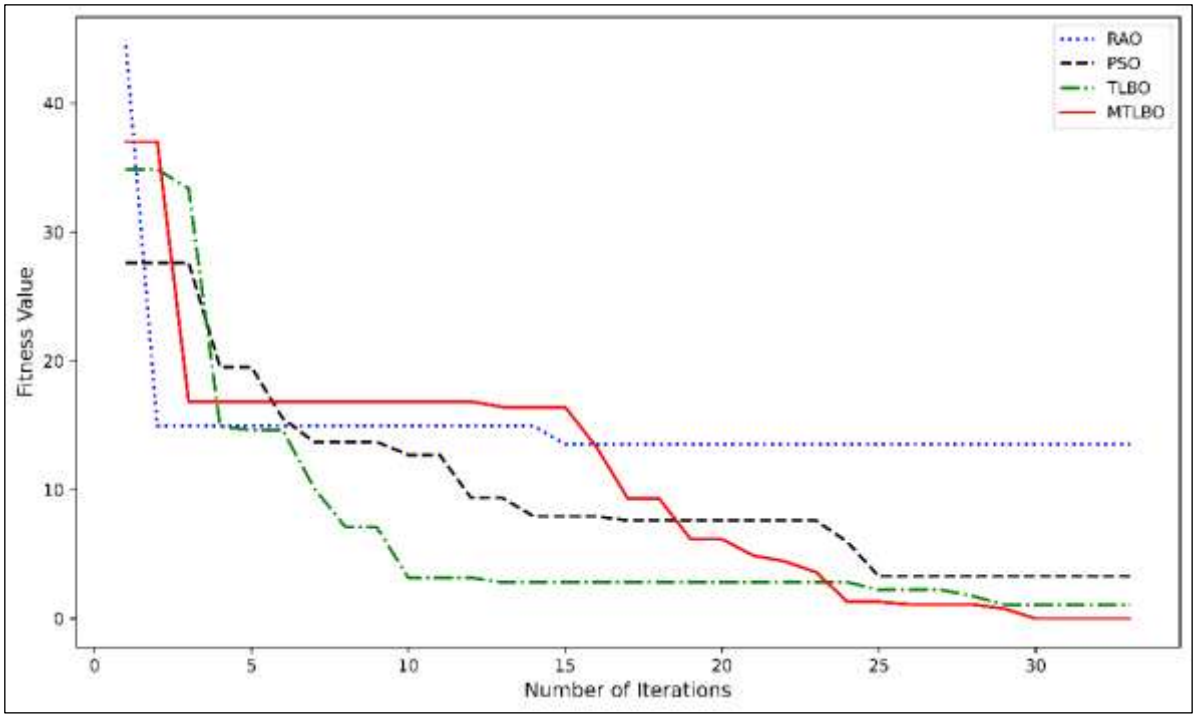


Figure 4: Convergence graph of op-amp for RAO,PSO, TLBO and MTLBO.
Source: Authors, (2026).

With a fitness function threshold of 1×10^{-6}, evaluated over 10 independent runs. The obtained design specifications using these algorithms are shown in Table 3, with the optimized design variables provided in Table 2. These results are compared with previously reported RAO, PSO, and TLBO algorithms. The two-stage operational amplifier optimized using the MTLBO algorithm meets all the design specifications. The convergence graph shown in Figure 4 demonstrates that MTLBO converges more rapidly compared to RAO, PSO, and TLBO algorithms. The performance comparison of the MTLBO algorithm with the other previously reported algorithms is presented in Table 4, which further confirms that MTLBO requires fewer iterations and achieves faster convergence than RAO, PSO, and TLBO.

Table 3: Obtained Specification of two stage op-amp.

Sr. No.	Required Specifications	RAO Algorithm (45 nm)	PSO Algorithm (45 nm)	TLBO Algorithm (45 nm)	MTLBO Algorithm (45 nm)
1	A_V > 80 dB	85.29 dB	84.76 dB	84.85 dB	**86.15 dB**
2	Phase Margin > 60°	71.47°	**73.90°**	66.68°	65.02°
3	UGB > 100 MHz	239 MHz	246 MHz	**268 MHz**	185 MHz
4	PSSR > 75 dB	91.16 dB	83.26 dB	80.75 dB	81.02 dB
5	CMRR > 80 dB	82.11 dB	80.44 dB	80.01 dB	**94.05 dB**
6	Rise Slew rate (RSR) > 40 V/ µs	64.71 V/ µs	**126.57 V/µs**	92.60 V/µs	49.26 V/µs
7	Fall Slew rate (FSR) > 40 V/ µs	**43.72 V/ µs**	40.21 V/ µs	40.37 V/ µs	40.25 V/ µs
8	Power Consumption < 0.2 µW	0.193 µW	**0.179 µW**	0.183 µW	0.196 µW

Source: Authors, (2026).

Table 4: Performance Comparison of Algorithms.

Sr. No.	Performance Parameters	RAO Algorithm	PSO Algorithm	TLBO Algorithm	MTLBO Algorithm
1	Number of Iteration (Max. 1000)	178	105	33	**28**
2	Swarm Size	30	30	30	30
3	Dimension	16	16	16	16
4	Average Time	541.21 s	291.25 s	188.73 s	**87.82 s**

Source: Authors, (2026).

VI. CONCLUSIONS

The two stage CMOS operational amplifier in PTM 45 nm technology has been effectively optimized using the proposed Modified Teaching Learning Based Optimization (MTLBO) algorithm. MTLBO achieves 86.15 dB voltage gain, 94.05 dB CMRR, and 185 MHz unity-gain bandwidth, while meets rest of the all target specifications. Comparative analysis shows that MTLBO converges faster and requires fewer iterations than PSO, RAO, and TLBO, confirming its suitability for analog circuit sizing. The optimized design demonstrates high gain, higher CMRR, and higher bandwidth most suitable for mixed signal applications. Limitations include the focus on transistor level sizing without accounting for process variations and temperature effects. Future work may extend this framework to other analog/mixed signal blocks, such as Operational Transconductance Ampifier (OTA), comparators, filters, oscillators, and ADC front end circuits, highlighting the scalability and adaptability of MTLBO in complex SoC design environments.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Sureshbhai Bharvad and Pankajkumar Prajapati.
Methodology: Sureshbhai Bharvad.
Investigation: Sureshbhai Bharvad and Pankajkumar Prajapati.
Discussion of results: Sureshbhai Bharvad and Pankajkumar Prajapati.
Writing – Original Draft: Sureshbhai Bharvad.
Writing – Review and Editing: Sureshbhai Bharvad and Pankajkumar Prajapati.
Resources: Sureshbhai Bharvad and Pankajkumar Prajapati.
Supervision: Pankajkumar Prajapati.
Approval of the final text: Sureshbhai Bharvad and Pankajkumar Prajapati.

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RESEARCH ARTICLE OPEN ACCESS

NAVIGATING AGILE IMPLEMENTATION IN YEMENI SOFTWARE FIRMS: CHALLENGES, BENEFITS, AND STRATEGIC INSIGHTS

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Agile software development benefits.

ABSTRACT

Agile methodologies, emphasizing people, collaboration, and shared values, have gained significant traction globally. A thorough understanding of the challenges and benefits of implementing Agile practices within software development companies is vital for the progression of the field and will be the foundation for its advancement in practice and research. Yet there is a scarcity of empirical studies and a limited understanding of the key challenges and benefits that could be gain from Agile implementation, particularly within Yemeni companies. Therefore, this study aimed to investigate the challenges and benefits of implementing Agile practices within Yemeni software development companies. A mixed approach of analysis was used in this study which, started by a rigorous and systematic analysis process of literature followed by a qualitative and quantitative field study. Overall, the key challenges, identified from this process were organizational culture resistance, insufficient executive support, inadequate employee skill sets, poorly defined project scopes, and technological limitations. Conversely, the primary benefits observed were increased flexibility, accelerated time-to-market, reduced costs, and enhanced team communication. This research provides valuable insights to guide Yemeni software development companies in making informed decisions and developing effective strategies for successful Agile implementation.

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I. INTRODUCTION

Agile methodology, since its introduction about 20 years ago, has been widely implemented for software development. Agile approaches help organizations act with speed and flexibility to quickly adapt and react to changing situations [1] .The adoption of Agile practices in software development projects has gained significant attention in recent years due to its potential to enhance project management and delivery processes. According to the 10th Annual State of Agile Report, the top benefits of agile include managing changing priorities (87%), team productivity (85%), and project visibility (84%) [2]. While extensive research exists on Agile practices globally, studies specifically examining Agile adoption and its challenges within the Yemeni context are limited. This study aims to investigate the challenges and benefits of implementing Agile methodologies in Yemeni software development companies[3]. This study employed a mixed-methods approach to investigate the challenges and benefits of Agile software development, specifically within the Yemeni context. A systematic literature review of 39 peer-reviewed studies published within the last five years identified key themes and factors influencing Agile adoption. This informed a sequential field study comprising qualitative and quantitative components. First, eight in-depth, semi-structured interviews were conducted to explore nuanced perspectives. Subsequently, a survey, validated by two experienced Ph.D. experts, was distributed to professionals with diverse Agile experience (entry-level to over 20 years). The survey included sections on demographics, implementation challenges, general benefits, and open-ended questions for further qualitative insights. Overall, this study aims to explore the adoption of Agile practices within the Yemeni context, gathering valuable insights into the challenges and benefits encountered during implementation.

The findings will serve as a valuable resource for making informed decisions and developing effective strategies, ultimately contributing to the growth and development of software development companies within Yemen.

II. LITERATURE REVIEW

After conducting an extensive and thorough review of our primary studies, we aimed to uncover and analyze the various challenges and benefits associated with the implementation of agile methodology within software development companies. This in-depth exploration involved a meticulous examination of numerous case studies, research papers, and industry reports to ensure a comprehensive understanding of the topic. As a result of this rigorous analysis, we identified a total of 23 distinct challenges that organizations frequently encounter when adopting agile practices. These challenges span a wide range of issues, including but not limited to, difficulties in managing team dynamics, resistance to change from traditional development methods, and the complexities of scaling agile practices across large organizations. Additionally, our review revealed 13 significant benefits that companies can achieve through the successful implementation of agile methodologies. The findings are presented in detailed tables below, which categorize and summarize the challenges and benefits based on different contextual

Table 1: The Challenge and Benefits Factors.

No	The Challenge Factor	Freq	Related Studies
Technical			
1	**Lack of requirements for traceability**	**16**	[1] [4][5] [6] [7] [8] [9] [10] [11]
2	**Inadequacy of existing technologies and tools**	**8**	[12] [4] [13] [11] [14]
3	**Minimal documentation**	**5**	[1] [6] [7] [8] [10]
4	**Inappropriate architecture**	**4**	[1] [6] [7] [9]
Organizational			
1	**Lack of management commitment**	**7**	[12] [4] [13] [5] [7] [11] [14]
2	**Organizational size**	**5**	[2] [15] [11] [14]
3	**Budget and schedule estimation**	**4**	[7] [6] [10] [9]
4	**Organizational culture**	**3**	[12] [13] [11] [16]
5	**Lack of Roles and Responsibilities**	**3**	[5] [10] [11]
6	**Contractual issues**	**3**	[13] [8]
Environment			
1	**Distributed Teamcz**	**5**	[2], [17] [18] [19]
2	**Organizational environment**	**4**	[20] [11] [21]
3	**National culture**	**3**	[22] [23] [24]
4	**Physical environment**	**3**	[22][11] [21]
People			
1	**Team capability**	**10**	[1] [12] [4] [13] [17] [5] [7] [11]
2	**Lack of Customer Involvement**	**10**	[25] [1] [12] [26] [5] [6] [8] [9] [11] [14]
3	**Limited face-to-face communication**	**8**	[25] [12] [13] [17] [5] [17] [7]
4	**Lack of Training and learning**	**7**	[12] [13] [5] [7]
5	**Resistance to change**	**7**	[13] [27] [18] [28] [15] [11] [14]
6	**Lack of Agile Awareness**	**5**	[1] [5] [7] [10]
7			
Process			
1	**Lack of Planning**	**6**	[28] [7] [15] [11] [14] [10]
2	**Lack of agile progress tracking mechanism**	**4**	[15] [14] [10] [29]
3			
4	**Process QA/standard processes**	**3**	[27] [10]
No	**The Benefits Factor**	**Freq.**	**Related Studies**
1	**Agile is a Flexible model**	**8**	[30] [31] [32] [33] [34] [35] [30]
2	**Delivery speed to customer**	**7**	[36] [37] [11] [14]
3	**Reduction in the overall schedule**	**7**	[37] [34] [11]
4	**Easy to identify the risks**	**6**	[36] [33] [34]
5	**The project pursues simple design**	**4**	[37] [11] [14]
6	**Rigorous refactoring activities**	**4**	[18] [37] [14]
7	**Agile is cost reduction**	**6**	[31] [37] [17] [34] [35] [11]
8	**Coherent and self-organizing teamwork**	**13**	[38] [39] [17] [37] [37] [11][14]
9	**Improved team communication**	**5**	[31] [37] [11] [14]
10	**Good customer relationship**	**3**	[37] [11] [14]
11	**Right amount of documentation**	**3**	[37] [11] [14]
12	**Project scope is well-defined**	**3**	[37]
13	**Correct integration testing**	**2**	[11][14]

Source: Authors, (2026).

Subsequently, building upon our findings, we classified these challenges into five broad dimensions: technological, organizational, environment, people, and process. The table above shows this classification. In addition, the conceptual model of the study is presented in Figure 1 below.

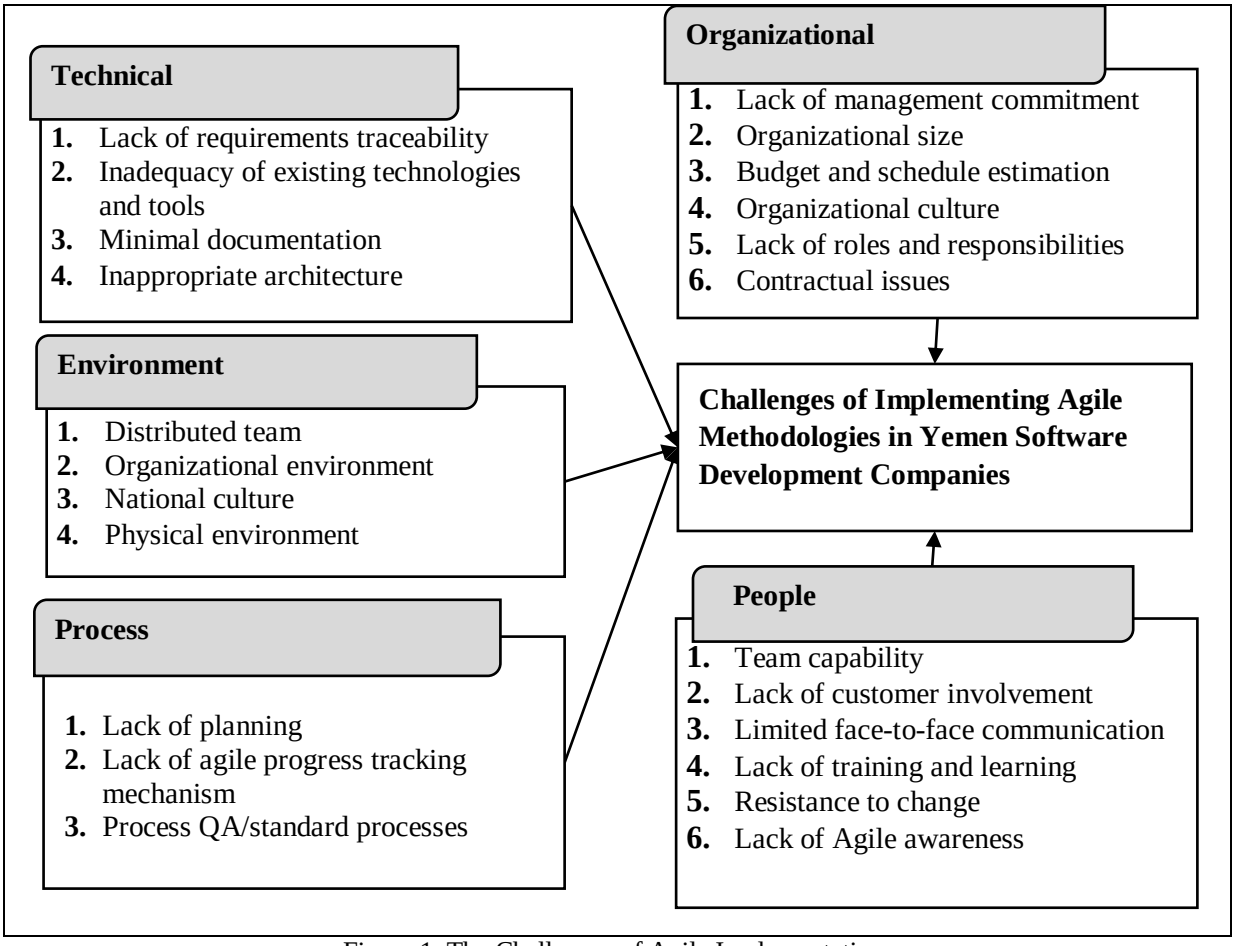


Figure 1: The Challenges of Agile Implementation.
Source: Authors, (2026).

III. METHODOLOGY

This study employs a sequential mixed-methods design to examine the benefits and challenges of Agile methodology adoption in software development organizations. The research comprises three distinct phases:

Phase-I: In this phase, a holistic literature review was conducted, to extracted the key benefits and challenges of Agile implementation from existing research papers more information about this phase can be found in [3].
Phase-II: In this phase, preliminary data was collected based on the results obtained from the literature review. In the preliminary data collection activity, the qualitative research approach was applied where 8 in-depth semi-structured interviews were conducted with actual users of Agile in the software industry sector in Yemen. The main objective of conducting the qualitative study was to gain better understanding of Agile benefits and challenges as perceived by the actual users.
Phase-III: After collecting the data from the literature review and expert interviews, the key benefits and challenges of Agile implementation were identified. Thereby, the researcher sought to examine those benefits and challenges, in a holistic view through a survey study, with the aim of ranking the most important benefits and challenges as observed by the individuals in the software development organizations.

The survey consisted of five parts, including an introduction, demographics, challenges affecting agile implementation, general benefits of agile methodology, and open-ended questions. Participants were asked to rate challenges and benefits on a scale of 1 to 5, and they also had the opportunity to provide additional insights. The survey was distributed through many platforms such as WhatsApp, Gmail, and Facebook, a total of 67 valid responses were received. Data analysis was conducted using SPSS software, enabling a thorough examination of the responses and facilitating the identification of significant trends and correlations within the data the result as shown in the following subsections.

IV. FINDINGS

The findings from the survey reveal critical insights into the challenges and benefits of implementing Agile methodologies in Yemeni software development companies. By gathering responses from industry professionals through a structured questionnaire, we identified several key themes that reflect the experiences and perspectives of those directly involved in Agile adoption.

This analysis provides a comprehensive overview of the current state of Agile practices in the region, highlighting both the obstacles encountered and the advantages realized by organizations seeking to enhance their software development processes.

Section A: Demographics

1. Gender

Table 2: Gender Distribution.

Gender		
	Freq.	**Percent**
Female	23	33.8 %
Male	45	66.2 %
Total	68	100.0

Source: Authors, (2026).

Out of the total 68 respondents, 45 identified as male (66.2%), while 23 identified as female (33.8%). These findings indicate a higher representation of male participants in the survey.

2. Age

Table 1: Age.

Age		
	Freq.	**Percent**
Older than 46	6	8.8 %
41 - 45 Years	9	13.2 %
36 - 40 Years	13	19.1 %
31 - 35 Years	12	17.6 %
26 - 30 Years	11	16.2 %
21 - 25 Years	16	23.5 %
Younger than 20	1	1.5 %
Total	68	100.0

Source: Authors, (2026).

The survey data reveals a diverse age distribution among participants. . with older individuals above 46 years accounting for 8.8% of participants. The age groups of 41-45 years, 36-40 years, and 31-35 years had participation rates of 13.2%, 19.1%, and 17.6% respectively. The age groups of 26-30 years and 21-25 years had participation rates of 16.2% and 23.5% respectively. Additionally, there was one participant (1.5%) younger than 20 years old. This inclusive age distribution highlights the engagement of professionals across different age ranges in Agile implementation in Yemeni software development companies as shown in Table 3.

3. Educational Qualification

Table 2: Educational Qualification.

Educational Qualification		
	Freq.	**Percent**
Doctorate	6	8.8 %
Master	13	19.1 %
Bachelor	43	63.2 %
Diploma or less	3	4.4 %
High School	2	2.9 %
Other	1	1.5 %
Total	68	100.0

Source: Authors, (2026).

The survey data revealed a diverse range of educational qualifications among the participants. The majority held a bachelor's degree (63.2%), followed by participants with a master's degree (19.1%). A smaller percentage had a doctorate (8.8%), while a few had diplomas or less (4.4%). There were also participants with high school education (2.9%) and one with a unique educational qualification (1.5%), as shown in Table 4.

4. Job Title

Table 3: Job Title.

Job Title		
	Freq.	**Percent**
CIO	6	8.8 %
Project Manager	6	8.8 %
Software Analyst	4	5.9 %
Programmer	28	41.2 %
Other	24	35.3 %
Total	68	100.0

Source: Authors, (2026).

The survey data revealed a diverse range of job titles among the participants, indicating varied roles and responsibilities in Agile implementation. Chief Information Officers (CIOs) and project managers each accounted for 8.8% of participants, highlighting their involvement in Agile. Software analysts made up 5.9%, emphasizing the importance of requirements analysis. The most prevalent job title was "programmer" (41.2%), followed by 35.3% falling into the "other" category, representing diverse roles within Agile teams. The data reflects the collaborative nature of Agile methodologies across different job titles.

5. Job Experience

Table 6: Job Experience.

Job Experience		
	Freq.	**Percent**
More than 20 Years	6	8.8 %
16 - 20 Years	9	13.2 %
11 - 15 Years	13	19.1 %
6 - 10 Years	8	11.8 %
1 - 5 Years	32	47.1 %
Total	68	100.0

Source: Authors, (2026).

The survey data revealed a diverse range of among the participants. A notable percentage (8.8%) had more than 20 years of experience, bringing valuable expertise to Agile teams. Additionally, 13.2% had 16-20 years of experience, 19.1% had 11-15 years, and 11.8% had 6-10 years. The majority (47.1%) had 1-5 years of experience, indicating a significant presence of professionals at the early stages of their careers. Understanding the distribution of job experience levels helps organizations leverage the diverse perspectives and knowledge of professionals when implementing Agile methodologies as shown in Table 6.

6. Duration familiarity with agile

Table 7: Duration familiarity with agile.

Duration of familiarity with agile		
	Freq	**Percent**
More than 20 Years	1	1.5 %
16 - 20 Years	1	1.5 %
11 - 15 Years	4	5.9 %
6 - 10 Years	8	11.8 %
1 - 5 Years	54	79.4 %

Source: Authors, (2026).

The survey data revealed that familiarity with Agile practices in Yemeni software development companies is relatively recent, with the majority (79.4%) having 1-5 years of familiarity. Only a small percentage (1.5%) reported more than 20 years or 16-20 years of experience with Agile, indicating a scarcity of professionals with long-term exposure to Agile methodologies as shown in Table 10. This lack of extensive experience poses a challenge in effectively implementing Agile practices. To address this, companies may need to focus on providing training programs and knowledge-sharing initiatives to enhance understanding and application of Agile methodologies as shown in Table 7.

7. The size of projects you are currently working on

Table 8: The size of projects you are currently working on.

	Freq .	**Percent**
Small Projects	26	38.2 %
Medium Projects	15	22.1 %
Big Projects	2	2.9 %
Small Projects, Medium Projects	10	14.7 %
Medium Projects, Big Projects	6	8.8 %
Small Projects, Medium Projects, Big Projects	9	13.2 %
Total	68	100.0

Source: Authors, (2026).

Table 7 shows the survey data reveals the distribution of project sizes among participants in Yemeni software development companies implementing Agile methodologies. Among the participants, 38.2% are currently working on small projects, while 22.1% are involved in medium-sized projects. Only 2.9% of participants are working on big projects. Additionally, some participants are engaged in multiple project sizes, with 14.7% working on both small and medium-sized projects, 8.8% involved in both medium and big projects, and 13.2% reporting simultaneous involvement in small, medium, and big projects. This diverse range of project sizes being managed using Agile methodologies highlights the flexibility and adaptability of Agile practices. It underscores the importance of tailoring Agile approaches to address the specific challenges and benefits associated with each project size.

8. The size of the organization.

Table 9: The size of the organization.

The size of the organization		
	Freq.	**Percent**
Small-sized organization	26	38.2 %
Medium-sized organization	32	47.1 %
Big-sized organization	10	14.7 %
Total	68	100.0

Source: Authors, (2026).

The survey data reveals that in Yemeni software development companies, 38.2% of participants work in small-sized organizations, 47.1% in medium-sized organizations, and 14.7% in big-sized organizations as presented in Table 8. This distribution underscores the presence of Agile methodologies across diverse organization sizes, emphasizing the importance of agility in smaller contexts and addressing coordination challenges in larger organizations. Tailored Agile strategies can be implemented based on the organization's size to cater to its specific needs and characteristics.

Section B: Challenges that affect the implementation of the Agile methodology

The literature review and the primary study identified numerous challenges and benefits associated with applying Agile software development methodology. Over 36 challenges and benefits were extracted. After analyzing the most frequently mentioned challenges and benefits, a total of 20 challenges and 10 benefits were selected. These challenges and benefits were categorized into five dimensions: technology, organization, environment, people, and processes. They were then incorporated into a questionnaire that utilized a Likert scale. The results of the questionnaire are as follows:

Table 10: Summary of the challenges of implementing Agile methodology in Yemen software companies.

The Dimensions	The Challenges		S/A	A	N	D	S/D	Mean	Std. Deviation	Rank	Likert Scale
Technological Challenges	lack of work documentation	N	17	28	7	13	3	3.632	1.183	1	High
		%	25.0%	41.2%	10.3%	19.1%	4.4%				
	Inappropriate architecture	N	11	35	7	12	3	3.574	1.097	2	High
		%	16.2%	51.5%	10.3%	17.6%	4.4%				
	Lack of requirements for traceability	N	10	26	20	11	1	3.495	0.985	3	High
		%	14.7%	38.2%	29.4%	16.2%	1.5%				
	Inadequacy of existing technologies and tools	N	10	27	9	18	4	3.309	1.188	4	Medium
		%	14.7%	39.7%	13.2%	26.5%	5.9%				
	Weighted Mean							3.489			
	Std. Deviation							0.785			
Organizational Challenges	Budget and schedule estimation	N	13	39	10	6		3.868	0.827	1	High
		%	19.1%	57.4%	14.7%	8.8%					
	Lack of roles and responsibilities	N	21	25	7	12	3	3.721	1.208	2	High
		%	30.9%	36.8%	10.3%	17.6%	4.4%				
	Lack of management commitment	N	12	35	8	11	2	3.647	1.048	3	High
		%	17.6%	51.5%	11.8%	16.2%	2.9%				
	Organizational size	N	10	22	17	16	3	3.294	1.120	4	Medium
		%	14.7%	32.4%	25.0%	23.5%	4.4%				
	Weighted Mean							3.588			
	Std. Deviation							0.815			
Environmental Challenges	National culture	N	10	43	9	6		3.838	0.784	1	High
		%	14.7%	63.2%	13.2%	8.8%					
	Organizational environment	N	13	37	9	9		3.794	0.907	2	High
		%	19.1%	54.4%	13.2%	13.2%					
	Distributed team	N	7	30	13	16	2	3.353	1.048	3	Medium
		%	10.3%	44.1%	19.1%	23.5%	2.9%				
	Weighted Mean							3.661			
	Std. Deviation							0.743			
People Challenges	Lack of training in the Agile methodology	N	27	29	5	4	3	4.074	1.06	1	High
		%	39.7%	42.6%	7.4%	5.9%	4.4%				

The Dimensions	The Challenges		S/A	A	N	D	S/D	Mean	Std. Deviation	Rank	Likert Scale
	Lack of Agile awareness	N	21	36	4	7		4.044	0.89	2	High
		%	30.9%	52.9%	5.9%	10.3%					
	Resistance to change	N	18	36	3	10	1	3.882	1.02	3	High
		%	26.5%	52.9%	4.4%	14.7%	1.5%				
	Team capability	N	15	34	9	7	3	3.750	1.06	4	High
		%	22.1%	50.0%	13.2%	10.3%	4.4%				
	Lack of customer involvement	N	12	27	13	15	1	3.500	1.07	5	High
		%	17.6%	39.7%	19.1%	22.1%	1.5%				
	Limited face-to-face customer communication	N	8	36	11	8	5	3.500	1.09	6	High
		%	11.8%	52.9%	16.2%	11.8%	7.4%				
	Weighted Mean							3.791			
	Std. Deviation							0.672			
Process Challenges	Lack of planning for each stage of Agile	N	17	35	8	6	2	3.868	0.991	1	High
		%	25%	51.5%	11.8%	8.8%	2.9%				
	Lack of agile progress tracking mechanism	N	12	36	12	6	2	3.735	0.956	2	High
		%	17.6%	52.9%	17.6%	8.8%	2.9%				
	Lack of Agile processes standardization	N	10	39	9	8	2	3.691	0.966	3	High
		%	14.7%	57.4%	13.2%	11.8%	2.9%				
	Weighted Mean							3.720			
	Std. Deviation							0.893			

Source: Authors, (2026).

❖ **Section C: General benefits of Agile methodology**

Table 4: General benefits of Agile methodology.

The Benefits		S/A	A	N	D	S/D	Mean	Std. Deviation	Rank	Likert Scale
Agile is a Flexible model	N	26	33	7	2		4.220	0.750	1	High
	%	38.2%	48.5%	10.3%	2.9%					
Improved team communication	N	19	41	8			4.162	0.614	2	High
	%	27.9%	60.3%	11.8%						
Provides coherent and self-organizing teamwork	N	16	45	5	1	1	4.088	0.707	3	High
	%	23.5%	66.2%	7.4%	1.5%	1.5%				
Delivery speed to customer	N	20	35	11	2		4.074	0.759	4	High
	%	29.4%	51.5%	16.2%	2.9%					
Good customer relationship	N	18	38	9	3		4.044	0.762	5	High
	%	26.5%	55.9%	13.2%	4.4%					
Reduction in the overall schedule	N	14	39	11	4		3.926	0.779	6	High
	%	20.6%	57.4%	16.2%	5.9%					
Easy to identify the risks	N	12	41	10	5		3.882	0.783	7	High
	%	17.6%	60.3%	14.7%	7.4%					
Rigorous project restructuring activities	N	9	42	12	5		3.809	0.758	8	High
	%	13.2%	61.8%	17.6%	7.4%					
The simplicity of project design	N	10	38	15	4	1	3.765	0.831	9	High
	%	14.7%	55.9%	22.1%	5.9%	1.5%				
Agile is cost reduction	N	10	38	14	6		3.765	0.813	10	High
	%	14.7%	55.9%	20.6%	8.8%					
Weighted Mean								3.929		
Std. Deviation								0.612		

Source: Authors, (2026).

V. DISCUSSION AND CONCLUSION

Interpreting empirical findings within a structured and multidimensional framework is essential for identifying key challenges and research gaps, as emphasized in prior systematic literature reviews [40].The questionnaire results provide valuable insights into the challenges encountered in implementing Agile software development methodology across different dimensions. The analysis reveals the percentage, mean, and standard deviation for each challenge within their respective dimensions. The most prominent challenge in the Technological Challenges dimension is the lack of work documentation, with 25% of respondents highlighting its importance. This challenge has a mean rating of 3.63, indicating a significant difficulty in effectively documenting work in an Agile context. Other technological challenges, such as inappropriate architecture (mean: 3.57), lack of requirements for traceability (mean: 3.49), and inadequacy of existing technologies and tools (mean: 3.31), also present notable obstacles to Agile implementation. Moving to the Organizational Challenges dimension, budget and schedule estimation emerge as the most significant challenge, emphasized by 19.1% of respondents. This challenge has a mean rating of 3.87, indicating notable difficulties in accurately estimating project budgets and schedules in an Agile setting. The lack of roles and responsibilities (mean: 3.72) and the lack of management commitment (mean: 3.65) are also significant challenges that organizations face in implementing Agile, the Organizational size (mean: 3.29). In the Environmental challenges dimension, national culture is identified as the most significant challenge, with 14.7% of respondents emphasizing its importance.

This challenge has a mean rating of 3.84, highlighting the impact of cultural factors on Agile implementation. The organizational environment (mean: 3.79) and distributed teams (mean: 3.35) are additional challenges that organizations need to address to facilitate successful Agile adoption. Regarding People Challenges, lack of training in the Agile methodology is the most prevalent challenge, emphasized by 39.7% of respondents. This challenge has the highest mean rating of 4.07, indicating a significant gap in Agile knowledge and skills within organizations. Other challenges include lack of Agile awareness (mean: 4.04), resistance to change (mean: 3.88), team capability (mean: 3.75), lack of customer involvement (mean: 3.50), and limited face-to-face customer communication (mean: 3.50).In the Process Challenges dimension, lack of planning for each stage of Agile emerges as the most significant challenge, with 25% of respondents identifying its importance. This challenge has a mean rating of 3.87, highlighting the need for effective planning throughout the Agile development process. The lack of an agile progress tracking mechanism (mean: 3.74) and the lack of Agile processes standardization (mean: 3.69) are also significant challenges that organizations face in implementing Agile as shown in Table 9. As Table 10 shows the survey results highlight a strong overall perception of the benefits of Agile methodologies among participants in Yemeni software development companies, as reflected in the mean scores for various benefits. The highest-rated benefit, flexibility of the Agile model, achieved a mean score of 4.220, indicating a strong consensus, with 38.2% of respondents expressing strong agreement.

Improved team communication followed closely with a mean of 4.162, emphasizing its critical role in Agile practices. Coherent and self-organizing teamwork received a mean score of 4.088, reinforcing the positive view of Agile's impact on team dynamics. Delivery speed to customers and good customer relationships were also highly rated, with means of 4.074 and 4.044, respectively. However, the reduction in overall project schedules, while still viewed positively, had a mean score of 3.926, suggesting some variability in experiences among respondents. Risk identification was noted as a benefit with a mean of 3.882, while rigorous project restructuring activities ranked lower at 3.809, indicating potential challenges in implementation. Both the simplicity of project design and cost reduction received mean scores of 3.765, reflecting a more moderate perception of their impact. The overall weighted mean of 3.929 suggests a favorable view of Agile methodologies. Notably, the standard deviation for the benefits was 0.612, indicating a strong consensus among respondents regarding these advantages. This low standard deviation implies that participants largely agreed on the benefits of Agile, particularly in enhancing flexibility, communication, and efficiency in software development projects. These insights can guide Yemeni companies in refining their Agile practices to maximize project management and delivery effectiveness.

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RESEARCH ARTICLE OPEN ACCESS

EXPERIMENTAL VALIDATION OF VIBRO SEPARATOR AND ANOVA TECHNIQUE FOR AMPLITUDE

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ABSTRACT

Over 60% of India's gross domestic product (GDP) is attributed to the agricultural sector. Advancements in mechanical and instrumentation technologies have significantly improved research and development in agricultural machinery. Vibration analysis plays a critical role in predictive maintenance by allowing engineers to detect potential issues in machinery before they lead to system failures. One important factor in vibration analysis is amplitude, which helps us understand how severe the vibrations are and whether there might be any mechanical issues. Amplitude is usually measured in terms of displacement (like micrometers or mils), velocity (millimeters per second or inches per second), or acceleration (g or millimeters per second squared). It's directly connected to the amount of mechanical stress the equipment is experiencing. In this study, we used analysis of variance (ANOVA) to design experiments, create a regression model, and run tests that looked at how the vibro motor's angle, its rotational speed, and the material's modulus of elasticity all work together to affect amplitude. We then optimized these factors to improve the vibro separator's flow rate performance

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I. INTRODUCTION

Having a well-planned experimental design is key to successfully developing products and processes. It starts with a solid understanding of the system you're studying. In factorial designs, both the input (independent) and output (dependent) variables are carefully tested. After identifying the important factors, experiments are set up and analysed to find the best combination that gives the most favourable result. Optimization is at the heart of this process, aiming to choose the best possible outcome from several options. One popular approach to optimization is Response Surface Methodology (RSM) [1], [2]. This technique is widely used to design experiments, analyze data, and improve products or processes. RSM combines statistical and mathematical tools to build models and find the best operating conditions within a given range. It works especially well when multiple variables affect how a system performs. By using polynomial regression models, RSM helps us understand how the inputs relate to the outputs, allowing for fine-tuning of parameters and accurate prediction of results. This method also helps create reliable predictive models, makes experiments more repeatable, and supports ongoing process improvement. In today's industrial world, machines play a vital role in keeping operations running smoothly [3]. That's why regular and effective machine monitoring is essential—unexpected breakdowns can lead to significant financial losses for businesses. Litak and Friswell investigated the dynamics of gear systems, focusing on how irregularities and flaws in gear tooth geometry affect system stiffness. Ramchandra proposed several diagnostic approaches and concluded that the Shock Pulse Method (SPM) is effective in assessing machine condition, offering a cost-efficient alternative to replacement [4], [5]. Mantari, J. L., & Monge, J. C. comprehensive analytical study of buckling, free vibration, and bending behaviours of functionally graded (FG) sandwich plates subjected to mechanical loads [6] In a recent publication, the effort to forecast the optimal solutions for the amplitude value which ultimately utilised to enhance flow rate of the system.

II. COMPUTATIONAL MODEL AND DATA ANALYSIS

The core parts of a reciprocating vibro separator are the motor, which powers the machine; a connecting plate and rubber pads, which join the parts and absorb vibrations; a separator box to hold the materials; and an unbalanced mass that creates the shaking motion. These components are designed using parametric software and evaluated through a CAE program, as illustrated in figure 1(a). The parametric software is employed to develop the parts along with their respective dimensions. [7-10]

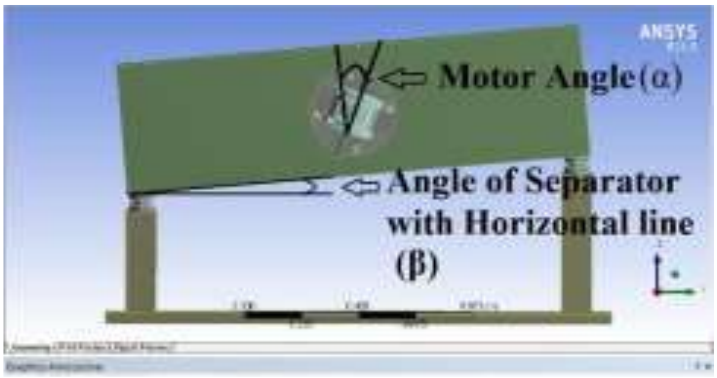


Figure 1(a): Indication of different angle
Source: Authors, (2026).

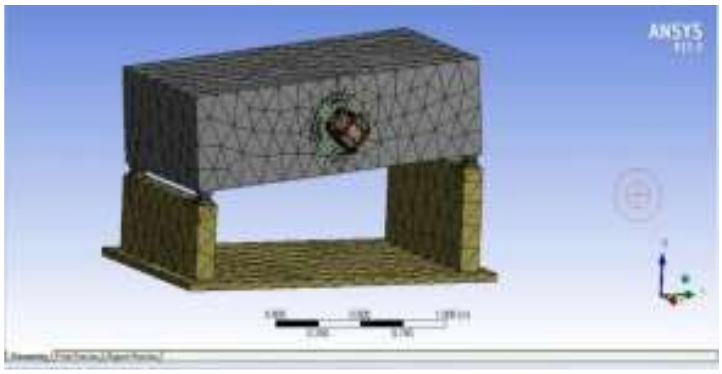


Figure 1(b): parametric model of vibro separato
Source: Authors, (2026).

The tetrahedral mesh type, as illustrated in figure 1(b), is employed for analytical purposes. The coarse mesh generation adopts a manually specified size of 120 mm for the separator box, while a default size is applied to the other sections. In total, the setup comprises 27,840 mesh elements, with 2,347 elements specifically in the foundation rubber. The mesh size of the box was increased from the default to minimize complexity and reduce the number of nodes, potentially accelerating the resolution process. The device features a total of 10 nodes. The connecting plate configuration analysed by the CAE tool is constructed from mild steel [11]. For the plates and separator boxes in our analysis, structural steel material is presumed to be utilized. The model has been validated against a computational model to collect further data for optimization purposes. The experimental work is conducted at GAJANAND Industries located in UNJHA. In this setup, the separator box features two motors attached to the side walls at the midpoint of the box's height. Each motor is connected to four unbalanced masses, each weighing 3.34 kg. A specialized sensor of the piezoelectric pickup type is utilized, functioning within a frequency spectrum of 1-10 kHz. The sensor with sensitivity of 107 mV/(m/s²), and it employs an integral electronics piezoelectric accelerometer (IEPE) input mode. The CoCo-analyser, manufactured by Crystal Instruments, is a device used for measuring and analysing vibration and other dynamic signals, including acceleration data as shown in figure 2 [12]. As shown in figure3(a),3(b),3(c) taking the various amplitude data by changing the modulus of elasticity (10MPa,25MPa,40MPa) for rubber pad with 1100rpm.comparing the experimental data with computational data as shown in table 1, we assume that the experimental amplitude value is nearer to the computational value.



Figure 2: Experimental set up
Source: Authors, (2026).

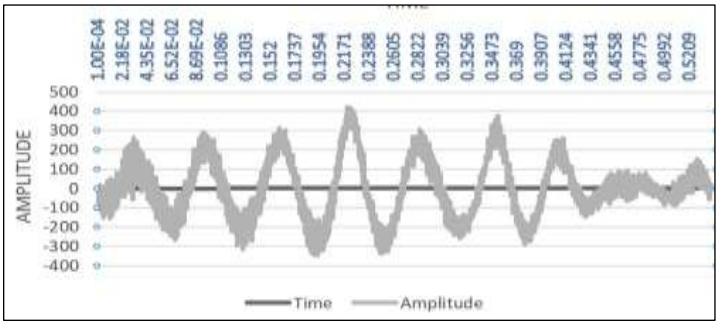


Figure 3 (a): TIME V/S AMPLITUDE at 25MPa
Source: Authors, (2026).

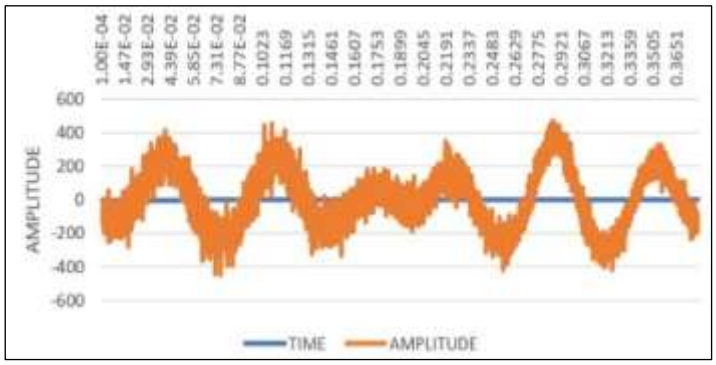


Figure 3 (b): TIME V/S AMPLITUDE @ 10 Mpa
Source: Authors, (2026).

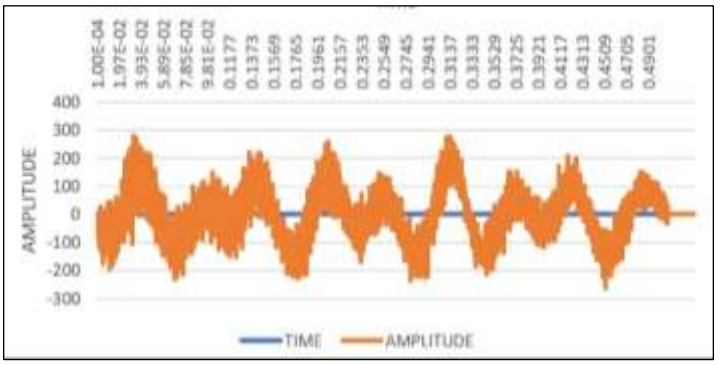


Figure 3 (c): TIME V/S AMPLITUDE @ 40 Mpa
Source: Authors, (2026).

Computational model was verified using experimental data hence starting the computational data acquisition and altering the various number of design parameters like angle (28^0,30^0,32^0), speed (900,1100,1300), and modulus of elasticity (10MPa,25MPa,40MPa) was completed for getting amplitude value and process with the RSM method to achieve best optimised value of amplitude to achieve better flow rate.

Table :1 Computational Data.

Motor Angle (Degrees)	Modulus of Elasticity (Mpa)	Motor speed (RPM)	Amplitude mm/Sec^2
30	10	1100	400
	25	1100	415
	40	1100	293

Source: Authors, (2026).

III. SYSTEM ANALYSIS THROUGH RESPONSE SURFACE MODEL (RSM)

A practical and efficient approach to analyze the experimental study focused on statistical models of vibration responses in a vibro separator through Response Surface Methodology (RSM) is a specific form of factorial design. The RSM technique is employed to find the optimal solution for the amplitude by identifying viable solutions. To assess the simultaneous impacts of variables such as speed, motor angle, and the Modulus of Elasticity of rubber on amplitude, multiple trials are performed utilizing the ANOVA method. [3], [13]. The RSM was utilized in this study to execute the experimental design aimed at developing the regression model, as well as to conduct multiple trials to investigate the simultaneous effects of the parameters on amplitude.

Table 2: Design of Experiment Parameters.

Factor	**Name**	**Units**	**Type**	**Subtype**	**Minimum**	**Maximum**		
A	SPEED	RPM	Categoric	Nominal	900	1300	**Levels:**	3.00
B	ANGLE	DEGREE	Categoric	Nominal	28	32	**Levels:**	3.00
C	MODULUS OF ELASTICITY	MPa	Categoric	Nominal	10	40	**Levels:**	3.00
Responses:								
Response	**Name**	**Units**	**Observations**	**Minimum**	**Maximum**	**Mean**	**Std. Dev.**	**Ratio**
R1	Amplitude	mm/s^2	24.00	120	450	323.89	95.11	3.75

Source: Authors, (2026).

The RSM method with a quadratic design model was used in this study to develop 24 runs while taking into account the aforementioned design of experiment parameters. The minimum and maximum values of these parameters are shown in Table 2 along with the results' set as shown in Table3.

Table 3: Design of Experiment runs with responses.

Std	Run	A: SPEED	B: ANGLE	C: MODULUS OF ELASTICITY	amplitude
		RPM	DEGREE	MPa	mm/s^2
2	1	1100	28	10	200.5
8	2	1300	32	10	370
6	3	1300	30	10	350
7	4	900	32	10	160
3	5	1300	28	10	410
19	6	900	30	40	375
12	7	1100	30	25	415
5	8	1100	30	10	400
22	9	900	32	40	120
16	10	1300	32	25	400
14	11	900	32	25	150
20	12	1100	30	40	293
1	13	900	28	10	375
23	14	1100	32	40	210
4	15	900	30	10	375
15	16	1100	32	25	300
11	17	1300	28	25	411.79
10	18	1100	28	25	310
18	19	1100	28	40	300
9	20	900	28	25	450
13	21	1300	30	25	312
17	22	900	28	40	366
24	23	1300	32	40	440
21	24	1300	30	40	280

Source: Authors, (2026).

IV. RESULTS AND DISCUSSION

In this research, input parameters such as Angle, Speed, Modulus of Elasticity, and their corresponding response in the form of Amplitude have been documented and presented in Table no.3. The Model F-value of 5.40 indicates that the model is significant. There exists only a 3.54% probability that an F-value of this magnitude could arise from random noise. P-values that are less than 0.0500 suggest that the model terms are significant. In this instance, Speed, Angle, and the combined effect of Speed and Angle have a greater impact on Amplitude. Therefore, Speed (A), Angle (B), and the combined effect of Speed and Angle (AB) are all significant model terms, indicating that they are influential parameters.

Table: 4 ANOVA for Quadratic Model.

Source	Sum of Squares	df	Mean Square	F-value	p-value	
Model	1.979E+05	18	10993.33	5.40	0.0354	significant
A-SPEED	31347.62	2	15673.81	7.70	0.0297	
B-ANGLE	42953.77	2	21476.89	10.56	0.0160	
C-MODULUS OF ELASTICITY	7573.76	2	3786.88	1.86	0.2488	
AB	1.091E+05	4	27280.46	13.41	0.0070	
AC	6394.16	4	1598.54	0.7858	0.5805	
BC	7669.00	4	1917.25	0.9424	0.5092	
Residual	10172.01	5	2034.40			
Cor Total	2.081E+05	23				

Source: Authors, (2026).

The factors were encoded using a specified coding scheme. The sum of squares was calculated using the Type II classical method. The model's F-value is 5.40, indicating that the model is statistically significant at the 3.54% significance level. This means there is only a 3.54% probability that an F-value this large could have occurred due to random chance or noise. Individual model terms with p-values less than 0.05 are considered significant, as is the case with factors A, B, and their interaction AB. Conversely, terms with p-values greater than 0.10 are deemed not significant. If the model contains many such insignificant terms—excluding those necessary to maintain model hierarchy—it may be beneficial to perform model reduction to improve model accuracy and interpretability. Figure 4 indicate that linearity is maintained hence the various values of amplitude for various runs is accurate and there is strong correlation between its actual and model's predicted values.

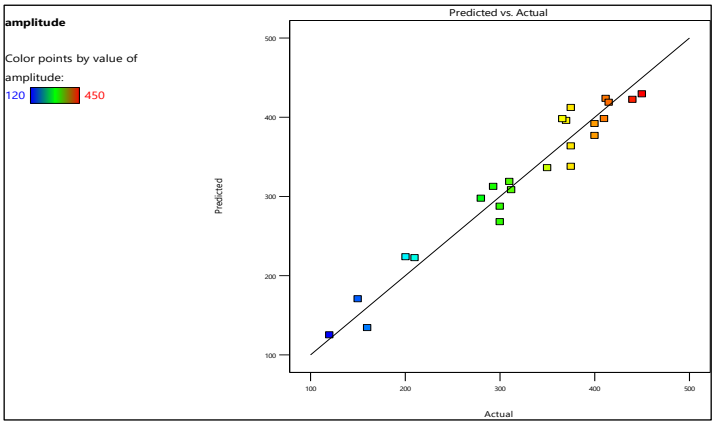


Figure 4: actual v/s predicted Graph
Source: Authors, (2026).

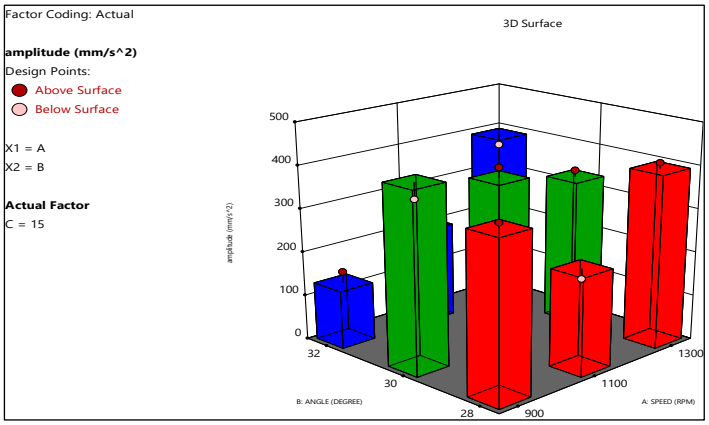


Figure 5: Speed v/s angle v/s amplitude
Source: Authors, (2026).

Figure:5 indicates that two parameters are more effective and the amplitude are achieved at 280 at 900 and 1300 RPM but at same time its reduced at 1100 RPM also for 300 values of amplitude decreases with increase in rpm.for 320 the value of amplitude increases with increase in rpm.

V. CONCLUSION

In the current study, the computational model has been validated against industrial data pertaining to the horizontal vibro separator. Using computational data, we can develop statistical models. The three-way interactions among various input factors, including Motor Angle, Speed, and modulus of elasticity, are analysed through ANOVA and the Response Surface Method, considering their individual and combined effects on amplitude, which is an output parameter, across all trials. The results of the survey lead to the following:

At 25 Mpa Modulus of elasticity the best solution is at 320 1300 RPM and 280 at 1100RPM and 900 RPM both.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Pavan M Bhatt, Dr D H Pandya
Methodology: Pavan M Bhatt.
Investigation: Pavan M Bhatt.
Discussion of results: Pavan M Bhatt, Dr D H Pandya

Writing – Original Draft: Pavan M Bhatt,
Writing – Review and Editing: Dr D H Pandya
Resources: Pavan M Bhatt,
Supervision: Dr D H Pandya
Approval of the final text: Pavan M Bhatt, Dr D H Pandya

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OPTIMIZATION OF PROCESS PARAMETERS FOR HORIZONTAL VIBRO-SEPARATOR WITH DYNAMIC MOTION ANALYSIS

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ABSTRACT

To optimize operating parameters, this paper conducted a dynamic motion analysis of a reciprocating vibro separator. This work examined the impact of motor speed and angle to determine the vibro separator's flow rate. For the dynamic motion analysis, a CAD model of the device was created using parametric software. Then, it was analyzed using a CAE tool at three distinct motor angles and speeds. Various motor angles (28°, 30°, and 32°) and speeds (1,000 RPM) were used in the dynamic motion investigations. In order to determine if a system is in periodic, quasi-periodic, multi-periodic, or chaotic motion, Poincaré maps, FFT (fast Fourier transform), and TDR (time-displacement response) were employed. A sensitivity-based uniaxial piezoelectric sensor was used to gather experimental data from the agriculture industry. Additional parameter changes were made to the computational model after computational studies were verified using real-time industrial data.The outcome of the present research leads us to conclude that the most suitable motor angle and speed for a horizontal vibro separator are 28° and 1050 RPM, respectively.

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I. INTRODUCTION

In the modern industrial landscape, technology plays a key role in minimizing labor costs and delivering efficient solutions. One such technology is the vibro separator, a machine designed to remove impurities from materials while maintaining a high flow rate. The performance of the vibro separator is strongly influenced by its dynamic characteristics. To manage vibrations, industries commonly employ rubber dampers. Research efforts have particularly emphasized the damping properties of rubber. For instance, proposed an approach to optimize the design of rubber elastic dampers by analyzing their dynamic mechanical behavior [1]. By developed a dynamic model for a rubber isolator by combining hyper elastic, viscoelastic, and elastoplastic models and forecasting the relationship between the vibration isolator's amplitude and frequency [2].

A recent study highlights the influence of altering the motor angle (α) and motor speed, while keeping other parameters unchanged, on the performance of a vibro separator. In this work, both experimental results and computational simulations are compared by systematically varying the motor angle (α) and motor speed. In this study, a computational model was created using parametric software. This computational model is validated using an existing industrial model based on input parameters such as the vibro motor angle (α), motor speed, and stiffness of the rubber pad. The dynamic failure of this computational model is checked for output parameters such as amplitude, dynamic motion behaviour, and velocity acceleration [3]. After the model is validated, the motor angle (α) and the speed of the vibro separator will be changed, and output data such as amplitude, dynamic motion behaviour, and flow rate will be gathered.

II. LITERATURE REVIEW

Propose a new type of vibrating screen that moves in a swing trace rather than a traditional linear motion, inspired by the motion of manual sieving for better screening performance [4]. Examined how pressure and temperature affect spring materials while considering static stiffness. This study assessed the connection between Young's modulus and rubber temperature, determining a quantitative correlation between the two.

Ultimately, the convexity correction method was found to be a more precise means of evaluating the static stiffness of a spring than the ellipse approximation method [5]. Proposes a new and improved structural design for vibrating screens that operate under very high loads (large material mass, strong vibrations, and harsh working conditions) [6]. Investigated the movement of the screen and determined that particle travel speed is highest during linear screening. They found that elliptical motion has better velocity and efficiency than other types of motion. Circular movement provides minimal velocity while maximizing screen efficiency [7]. Identified improved parameters for positioning the vibro motor to enhance the efficiency of the vibro screen. Their research analyzed different motion patterns, mainly classified as linear, circular, or elliptical.

The study focused on the placement of the exciter or vibro motor in relation to the screen's center of gravity. Based on this analysis, an optimized vibro screen design was proposed, which increases production rates without requiring additional power consumption [8]. Developed physical model to predict the transport velocity of a bed of crushed rock material moving along a vibrating screen with a circular stroke—an important parameter for understanding and optimizing screening performance such as bed thickness and capacity [9]. Explored the impact of vibro screen frequency and swing declination angle using DEM 3D simulations. Their research found that optimizing the frequency and corresponding angle of declination enhanced the simulated results of the vibro screen. The researchers proposed several empirical formulas through regression analysis as a final observation [10].

Investigates how vibration affects bulk granular materials, focusing on the dynamics of particle beds in industrial equipment like vibrating screens, feeders, and conveyors [11]. The researchers concluded that banana screening is more effective when the SDI increment is maintained between 100 and 50 [12], [13]. O paper investigates structural failure and sensitivity of a reconfigurable vibrating screen (RVS) used in mineral processing. The aim is to identify weak points, understand how different load conditions affect stress distribution, and propose design improvements.[14].The study explored the optimal operating speed of the vibro motor, identified within the range of 900–1,100 RPM, along with a separator box inclination of 5° relative to the horizontal. Monica Solding supported these findings by applying the Monte Carlo simulation technique for parameter optimization [9].

III. METHODOLOGY

III.1 COMPUTATIONAL ANALYSIS

A 3D CAD model of the reciprocating vibro separator was developed using parametric software, as illustrated in Figure 1, and analysed with a CAE tool. The primary components of the reciprocating vibro separator include: (1) vibro motor, (2) connecting plate, (3) rubber pad, (4) separator box, and (5) unbalanced mass. For the analysis, a tetrahedral mesh configuration was applied to the entire model. The mesh used for Analysis purpose is called tetrahedral shape type Mesh. Coarse mesh size was kept of 120 mm for separator box and for remain part it's default. Box mesh was taken to analyses rubber pad in model which led to generate total 27840 elements for entire model & 2347 elements for model of rubber foundation. Real time boundary conditions were applied to perform random -vibration analysis. Total 10 nods taken to reduce proceeding time and closer approximation of result.

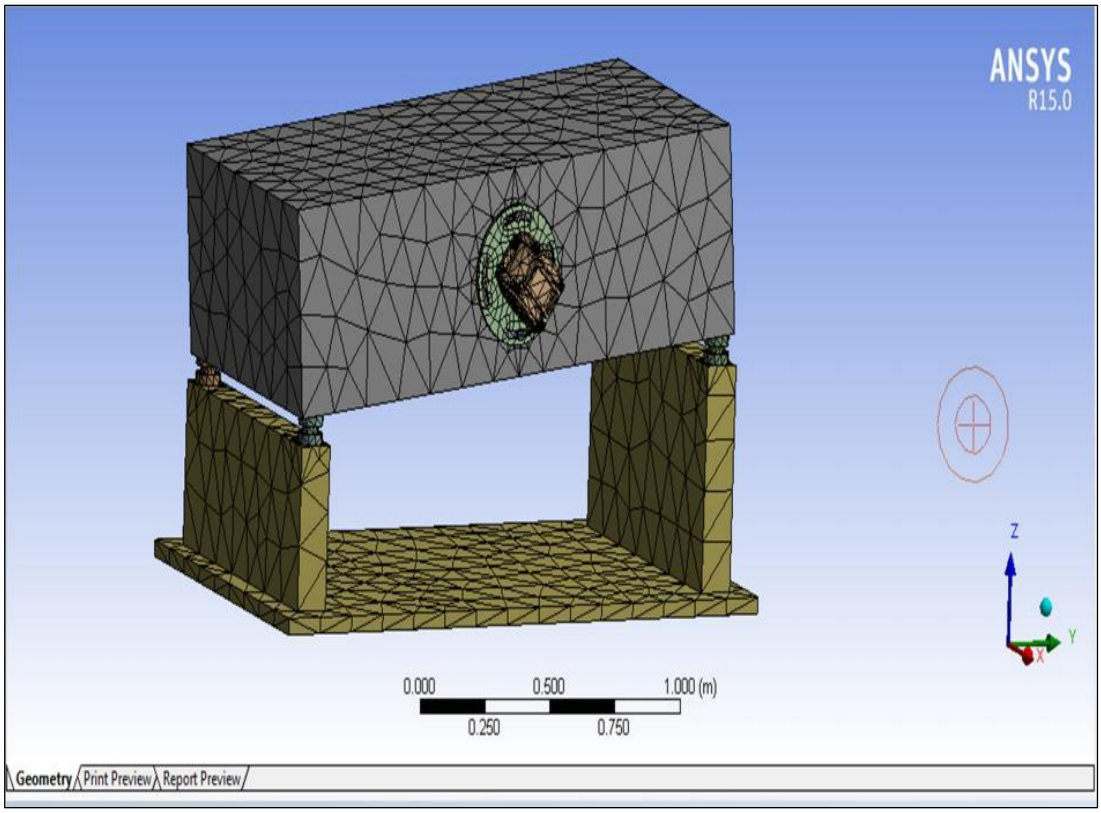


Figure 1: Parametric model of vibro separator.
Source: Authors, (2026).

Table 1: Effective Parameters of Reciprocating Vibro Separator.

Input Parameter	Output Parameter
Motor Angle (α)	Dynamic Motion Behavior
Motor Speed (RPM)	Amplitude, Flow rate
Foundation Rubber Properties	Flow rate

Source: Authors, (2026).

In this research work, From Table :1 Motor angle (α), Motor speed (RPM) are considered as a varying input parameter. For this varying input parameter, the dynamic motion behaviour and amplitude, flow rate is observed for Reciprocating vibro separator.

IV EXPERIMENTAL ANALYSIS

The experimental study was carried out at an operating speed of 1,000 RPM using two vibro motors, mounted on either side of the separator. Each motor had a power rating of 0.5 HP with a speed variation of ±20 RPM. Data acquisition was performed at GAJANAND Industries within the speed range of 980–1,020 RPM and at a motor angle of 30°. The detailed specifications of the experimental setup are presented in Table 2.

Table 2: Specification of reciprocating vibro separator.

Component	Weight (Kg)	Material
Separator Box	505.63	Structural steel
Plate	6.37	Structural steel
Foundation Rubber	0.335	Rubber
Each Motor without Unbalanced mass	35.91	Gray cat iron

Source: Authors, (2026).



Figure 2: Experimental Setup.
Source: Authors, (2026).

Real-time data was gathered from a vibro separator installed at Gajanand Industries, Siddhapur, Gujarat. As illustrated in Fig. 2, two vibro motors were mounted on opposite sides of the divider wall, each equipped with two unbalanced masses. The combined imbalance weight was measured at 3.34 kg. Data acquisition was performed at three distinct points on both sides of the separator. A uniaxial vibration sensor with a piezoelectric sensitivity of 1.02 mV/(m/s²) was employed, operating in IEPE input mode within the 1–10 kHz frequency range. The collected real-time data was subsequently analyzed and presented in a clear and accessible format

V. RESULTS AND DISCUSSION

From the Poincaré plots shown in Figure 2 for both experimental and computational results, it can be inferred that the computational model with a motor angle of 30°, a motor speed of 1,000 ± 20 RPM, and a foundation stiffness of 100 N/mm closely matches the behavior of the experimental vibro separator. Therefore, the computational model under these parameters demonstrates strong agreement with the experimental findings.

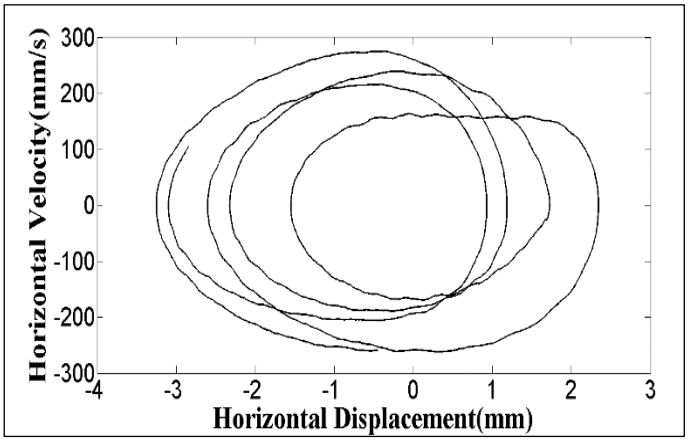


Figure 3(a): Computational Poincaré @ 100 N/mm stifness withHorizontal responses.
Source: Authors, (2026).

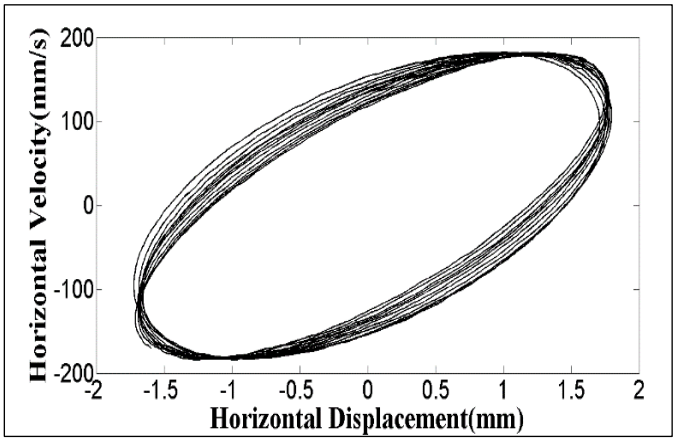


Figure 3(b): Experimental Poincaré @ 100 N/mm stifness with Horizontal responses.
Source: Authors, (2026).

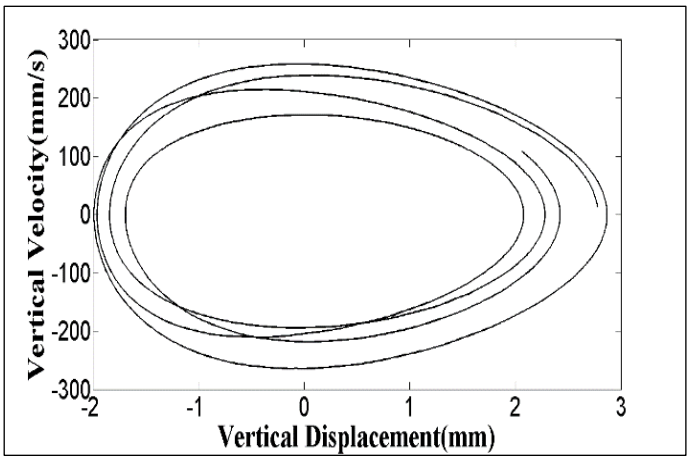


Figure 3(c): Computational Poincaré @ 100 N/mm stifness with Vertical responses.
Source: Authors, (2026).

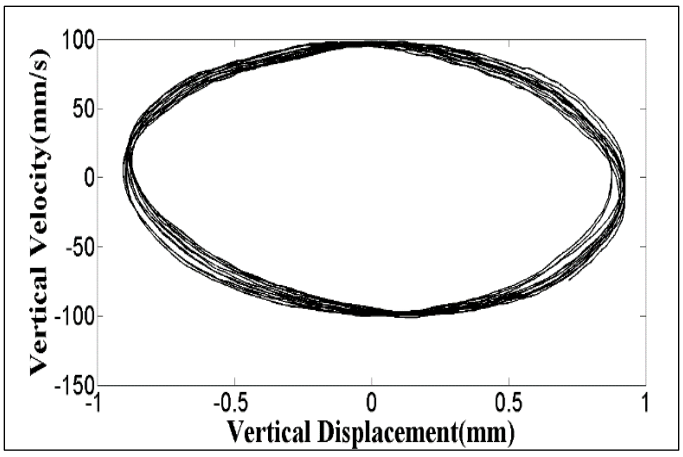


Figure 3(d): Experimental Poincaré @ 100 N/mm stifness with Vertical responses.
Source: Authors, (2026).

According to figure 3 (a-d) We verified the computational model by comparing the computational data with the experimental data and by looking at the TDR, FFT, and Poincaré chart. The validated computational model will use to achieve acceleration (mm/s2), displacement (mm), and velocity (mm/s2) for different motor angle (α), motor speed for both horizontal and vertical directions. The values are shown in Table3. As per Table 4 we are comparing the amplitude data for the different motor angle(α), with same motor speed(1000RPM) for better flow rate. Table 5 helps to compare the Dynamic motion behaviour with different Motor angle(α), with same motor speed(1000RPM).

Table 3: Computational data at different motor angle.

Angle (degree)	Speed (rpm)	Acceleration (mm/s^2)		Displacement(mm)		Velocity(mm/s^2)	
		Horizontal	vertical	horizontal	vertical	horizontal	vertical
28	1000	$-5.6X10^4$	$6X10^4$	-4.2	-4.3	-300.5	378
	1050	$3.9X10^4$	$4.5X10^4$	6.5	-6.4	300	-400
	1100	$-5X10^4$	$4X10^4$	-3.3	2.7	-200.9	200.5
30	1000	$2.8X10^4$	$1.5X10^4$	1.7	0.8	100.9	100
32	1000	$-5.6X10^4$	$3.9X10^4$	-6.8	6.6	-300.9	300
	1050	$3X10^4$	$-3.9X10^4$	-6.8	6.6	-300.9	300
	1100	$-5X10^4$	$1.5X10^4$	-4.3	-4.1	300.2	400

Source: Authors, (2026).

Table 4: Comparison of amplitude and dynamic motion behaviors data.

Data	Angle(degree)	Speed (rpm)	Amplitude (mm)	Dynamic motion
Computational	28	1000	4.5	Multi periodic
Computational	30	1000	1.75	Multi periodic
Computational	32	1000	4.3	Multi periodic

Source: Authors, (2026).

Based on study of above table no 4, we had found that motor angel 280 and 320 are optimized nearby value for better amplitude and effective dynamic motion behaviour. Amplitude value at motor angle 28° is higher than the motor angle 30° and 320. So, flowrate calculation is preferred for motor angle 28° compared to motor angle 300 and 32°. For flow rate calculations following equation is used which is mentioned in the equation 1.

$$\text{Flow rate of grain } (Q) = \rho * A * v \quad (1)$$

Here, it is assumed that grains are have uniform geometry which mean constant area and all grains are homogeneous in nature which led to conclude the constant density of grain. It means that velocity of grain flow is effective parameter to improve production rate of system. For calculating the flow rate computationally using different velocities for three different speeds as per table 3 use the equation mentioned as below as per equation 2. consider the flow rate experimentally as 4 tons per hour.

$$Q1/Q2 = V1/V2 \quad (2)$$

In above equation Q1 is flow rate of experimental, Q2 is flow rate of computational for different speed, v1 is velocity of grain at 300 angle and v2 is velocity of grain at 280 angles with three different speeds.

Table 5: Computational Data of Reciprocating Vibro Separator at 28º.

Angle (degree)	Speed(rpm)	Flow rate (tons per hour)	Dynamic motion
28	1000	14.99	Multi periodic
28	1050	15.86	Multi periodic
28	1100	7.9649	chaotic

Source: Authors, (2026).

As we know as the velocity increases the flow rate also increase but from the above Table 5 it has been observed that chaotic dynamic motion behaviour also plays vital role so at 280 angle and speed of 1100 the flow rate decreases. Hence at 280 angle and 1050 rpm the flow rate is maximum.

VI. CONCLUSION

In present work, a computational model has been developed for reciprocating vibro-separator. Dynamic motion analysis has carried out along with vibration responses of system. Overall computational data has validated with industrial data before proceed for further alteration. After validating computational model, significant parameters have altered to evaluate maximum flow rate with better dynamic motion of system. Hence major outcome of present work has concluded as follows:

(1) As per computational model analysis we had found higher amplitude when motor angle is 28^0 and 32^0. If we compare computational analysis and investigational data then we will get higher amplitude and better dynamic motion in case of motor angle 28^0 and motor speed 1000 rpm and 1050 rpm.

(2) The study reveals that the reciprocating vibro separator achieves a higher flow rate when operated at a motor angle of 28° with a speed of 1,050 RPM. Similarly, improved flow performance is also observed at the same motor angle (28°) with a motor speed of 1,000 RPM. The preferred motor speed is between 1000 and 1050 rpm as opposed to 1100 rpm, based on a higher flow rate at a motor angle of 28°. Additionally, analysis shows that the reciprocating vibro separator's flow rate is higher at motor angles of 28° than 30°.We will suggest the industry to set the motor angle 28^0 and motor speed 1000 or 1050 rpm to obtain the higher flow rate.

Present work will be useful for vibro-separator manufacturer to develop efficient and cost-effective product development. This work will be also useful for end user to operate present installed system with optimize parameters.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Pavan M Bhatt, Dr D H Pandya.
Methodology:. Pavan M Bhatt.
Investigation: Pavan M Bhatt.
Discussion of results: Pavan M Bhatt, Dr D H Pandya.
Writing – Original Draft: Pavan M Bhatt.
Writing – Review and Editing: Dr D H Pandya.
Resources: Pavan M Bhatt.
Supervision: Dr D H Pandya.
Approval of the final text: Pavan M Bhatt, Dr D H Pandya.

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RESEARCH ARTICLE OPEN ACCESS

ELECTROCHEMICAL POTENTIAL AND CHARACTERIZATION OF $NIFE_2O_4$/CU-1 AND $NIFE_2O_4$/CU-2

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Electrochemical study.

ABSTRACT

Ferrite-based materials have been studied for the electrode materials for supercapacitors because of their low cost and rapid, reversible surface Faradaic reactions. In this study, we have developed two electrode materials named $NiFe_2O_4$/Cu-1 and $NiFe_2O_4$/Cu-2. The fabrication method was found to be inexpensive, effective, and efficient. The synthesized materials were analyzed via FTIR, XRD, SEM, and TEM methods. FTIR results indicated the presence of O-H, C-H, C-O, Ni-Fe, Fe-Cu, Cu-O, etc. bonds on the surface of these materials. The XRD patterns indicated the amorphous nature of $NiFe_2O_4$ and the semi-crystalline nature of $NiFe_2O_4$/Cu-1 and $NiFe_2O_4$/Cu-2. The SEM analysis indicated that the particles are semi-spherical, and some are irregular in $NiFe_2O_4$. The sphere-shaped particles were observed in the case of $NiFe_2O_4$/Cu-1 and $NiFe_2O_4$/Cu-2, respectively. The electrochemical study has been conducted using different electrochemical parameters. The $NiFe_2O_4$/Cu-2 exhibited a power density of 4992 W/kg, an energy density of 5.9 Wh/kg, a retention of 91.3%, and a specific capacitance of 222 F/g. It was additionally found that the $NiFe_2O_4$/Cu-2 was appropriate for device systems with a 42 F/g specific capacitance (under a 2-electrode system).

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I. INTRODUCTION

Green energy sources offer affordable, renewable energy alongside lowering greenhouse gas emissions and promoting economic growth. Energy storage technology is a sustainable way to achieve the goal of a net-zero carbon footprint and a green energy transition. This technology promotes the reduction of the emission of greenhouse gases. Energy storage mitigates the fundamental fluctuation of renewable energy, manages high demand periods, and allows the integration of small-scale systems[1]. To maintain system frequency and voltage, smooth power, and provide fault ride-through assistance, energy storage has been considered to be a revolutionary solution for the integration of variable renewables [2]. One of the main solutions to the energy challenges facing our civilization is electrical energy storage. The most common rechargeable electrochemical energy storage systems include metal-air batteries, lithium-ion batteries, supercapacitors, and sodium-ion batteries, which are utilized in different electronic gadgets and transportation[3].

Supercapacitors offer many advantages, such as long life, efficient charge and discharge, high power density, flexibility, and lightweightness. Studies are going on for the development of efficient and low-cost electrode materials. The green energy goals need environmentally friendly, durable, and electrochemically efficient electrode materials[4], [5]. The choice of electrolytes for supercapacitors also affects the electrochemical parameters. The choice of electrolyte depends on the application and performance requirements. The aqueous electrolytes, such as KOH, have high ionic conductivity, decrease the internal resistance, are low-cost, and are suitable for large-scale systems. This type of electrolyte promotes rapid charge-discharge cycles and power density[6], [7]. Electrode materials for supercapacitors must have high electrical conductivity, excellent electrochemical stability, and large surface area and porosity. Some common electrode materials include carbon-based, metal- and metal-oxide-based, conducting polymers, and hybrid materials of all of these[8].

The term "ferrite," which comes from the Latin word "ferrum," refers to ceramic compositions where iron oxide is combined with other metals. Since ferrites are ferrimagnetic, a magnetic field may readily attract them[9]. These materials have been used in solar energy devices, batteries, supercapacitors, biomedicals, electronic devices, and magnetic fluids [10], [11]. Low magnetic loss, high magnetic permeability, and moderate coercivity are some of the outstanding magnetic properties of $NiFe_2O_4$ that have generated attention for applications in electronics, sensors, energy storage systems, and telecommunications [12]. In nickel ferrite (NiFe2O4), nickel and iron cations partially occupy a face-centered cubic lattice of oxygen atoms with interpenetrating tetrahedral and octahedral sites. This separation allows adjustable magnetic characteristics. Doping with foreign metals affects the magnetism of the material via altering cation occupancy and interactions[13]. The materials based on $NiFe_2O_4$ shows high electrochemical stability and efficiency and are found suitable for supercapacitors[14]. Cu-based materials have also been recognized for their low cost, efficiency, and outstanding electrochemical performances. They can effectively be utilized in the development of hybrid electrode materials for supercapacitors[15]. The characteristics such as non-toxicity, easy preparation, and outstanding optical, electrochemical, and electric properties make them potential candidates for the supercapacitors[4]. Copper (Cu) significantly improves the electrochemical performance of supercapacitors. The remarkable redox potential, high electrical conductivity, and unique structural features of Cu enhance the supercapacitive performance of electrodes. Cu-based materials are capable of enhancing charge transfer and redox behavior and lowering electrical resistance. These materials are also able to boost cyclic stability and specific capacitance[15], [16].

Similar work has been done by other researchers in the recent past. The electrochemical potential of a nanocomposite based on Ni/$CoFe_2O_4$/MXene for supercapacitors was reported by Infancy et al.[17]. A 1 M KOH solution was used for the electrochemical investigation. Ni/$CoFe_2O_4$ and Ni/$CoFe_2O_4$/MXene samples showed specific capacitances of 361 C/g and 367 C/g, respectively. The supercapacitive performance of a nanocomposite based on cobalt ferrite ($CoFe_2O_4$) and polyaniline (PANI) was investigated by Mandal and Dasmahapatra[18]. With a good cyclic life (~91% retention after the 1500 cycles), the supercapacitor electrode demonstrated a maximum specific capacitance of 460.1 F/g at 0.5 A/g. The electrochemical potential of $MnFe_2O_4$ using multiple electrolytes, including 1 M $LiNO_3$, 1 M Li_3PO_4, and KOH, was reported by Vignesh et al.[19]. Maximum specific capacitances of 173, 31, and 430 F/g were achieved in a three-electrode setup, which corresponded to electrolytes of 3.5 M KOH, 1 M $LiNO_3$, and 1 M Li_3PO_4, respectively. Also, at the high current density of 1.5 A/g, the specific capacitance of 105% was maintained after 10,000 cycles, and the coulombic efficiency of all 10,000 cycles stayed constant, indicating the exceptional electrochemical durability of $MnFe_2O_4$. $MnFe_2O_4$/rGO nanocomposite for supercapacitors was reported by Shih and Tseng[20]. A high specific capacitance of 196.6 F/g at 0.5 A/g was evaluated, and 90.22% of the capacitance was retained after 6000 cycles. The synergistic effects of rGO and $MnFe_2O_4$ contributed to the improved performance. In the present work, we have improved the electrochemical performances of $NiFe_2O_4$ after incorporating it with Cu. The achieved outstanding electrochemical ability of Cu-blended $NiFe_2O_4$ makes them promising candidates for electrode material of supercapacitors.

II. MATERIALS AND METHOD

All chemicals used were of AR grade. These chemicals were purchased from Merck, SRL, and LOBA. In this work, potassium hydroxide (KOH), sodium hydroxide (NaOH), lithium nitrate (LiNO3), lithium phosphate (Li3PO4), copper acetate [Cu(CH3COO)2], nickel nitrate [Ni(NO3)2], ferric nitrate [Fe(NO3)3], polyvinylidene fluoride (PVDF), N-methyl-2-pyrrolidone (NMP), and acetone (CH3COCH3) were used.

II.1 SYNTHESIS OF $NIFE_2O_4$, $NIFE_2O_4$/CU-1, AND $NIFE_2O_4$/CU-2

Dissolve Ni(NO3)2 and Fe(NO3)3 in distilled water in a ratio of 1:2 and shake the mixture for 35 min. Add 0.5 g of citric acid to this mixture and allow it to shake for 35 min. Then a few drops of 0.1 M NaOH were added, and the mixture was stirred for 1 h. After centrifugation, the $NiFe_2O_4$ was collected and dried in a hot air oven. The obtained $NiFe_2O_4$ was calcined at 650°C for 3.5 h. Now 100 and 200 mg of Cu was added to 1 g of $NiFe_2O_4$ using $Cu(CH_3COO)_2$. These amounts have been calculated stoichiometrically. The obtained mixtures were crushed for 1 h and then sonicated with distilled water for 2h. The obtained mixtures have also been calcined at 6500C for 3.5 h. Finally, $NiFe_2O_4$/Cu-1 (100 mg Cu) and $NiFe_2O_4$/Cu-2 (200 mg Cu) were obtained for characterization and electrochemical studies. The overall synthetic method is presented in Figure 1.

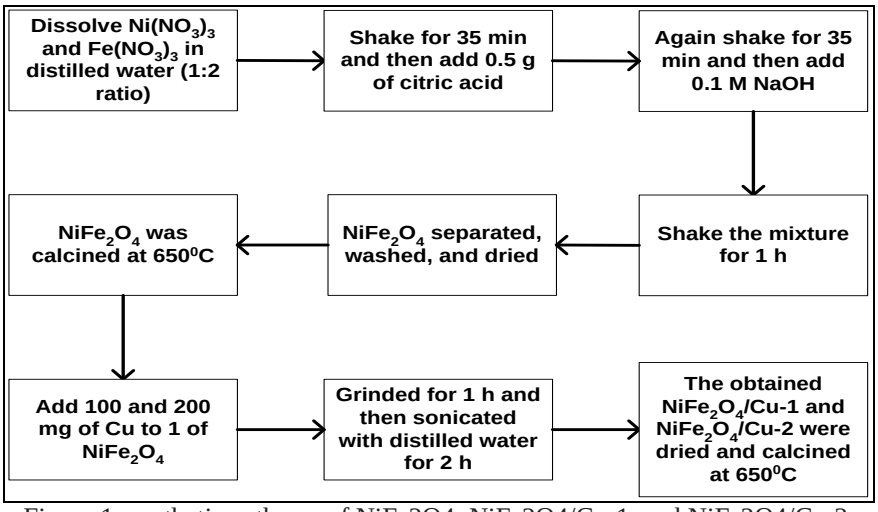


Figure 1: synthetic pathway of NiFe2O4, NiFe2O4/Cu-1, and NiFe2O4/Cu-2.
Source: Authors, (2026).

II.2 CHARACTERIZATION OF $NIFE_2O_4$, $NIFE_2O_4$/CU-1, AND $NIFE_2O_4$/CU-2

The characterization of $NiFe_2O_4$/Cu-1 and $NiFe_2O_4$/Cu-2 was done using FTIR (Fourier transform infrared spectroscopy; Model: Thermo Scientific Nicolet Summit Lite), XRD (X-ray diffraction; Model: Rigaku), SEM (Scanning electron microscopy; Model: Carl Zeiss EV018), and TEM (Transmission electron microscopy; Model: Talos L120C) techniques. The basic description these methods is given as below:

FTIR

FTIR is an advanced and high-precision instrument and is generally used to detect the presence of different chemical bonds or functional groups on the surfaces of molecules or nanomaterials. It enables the identification of molecules with different infrared spectra by focusing on atomic vibrations[21].

XRD

XRD is widely used for the characterization of nanomaterials. The characteristics of the material, such as strain, crystallite size, and crystal structure, are easily determined. The crystalline structure of a material is determined by utilizing Bragg's law and a detector to examine interference caused by atoms scattering X-rays[22].

SEM

SEM is used to provide morphology of nanomaterials. This technique uses an electron beam with an acceleration of up to 30 kV to study the surface of a material. In order to create an image, detectors collect the signals that the specimen emits. Information about composition and topography is provided by backscattered electrons[23].

TEM

TEM allows for imaging at the nanoscale and sub-nanometer scale by interacting with ultra-thin specimen layers on a copper grid using a high-energy electron beam[24].

II.3 ELECTROCHEMICAL STUDY

The electrode slurries of $NiFe_2O_4$/Cu-1 and $NiFe_2O_4$/Cu-2 were prepared by mixing 80 mg of $NiFe_2O_4$/Cu-1 or $NiFe_2O_4$/Cu-2, 10 mg of PVDF, and 10 mg of carbon black in NMP. These slurries were coated over Ni-foam and then allowed to dry for 6 h at 80°C. The electrochemical study of $NiFe_2O_4$/Cu-1 and $NiFe_2O_4$/Cu-2 was conducted using Ag/AgCl, Pt, and working electrodes in 1M KOH solution. The different electrochemical parameters, such as cyclic voltammetry (CV), capacity retention, GCD (Galvanostatic charge-discharge) , and EIS (Electrochemical impedance spectroscopy), have been used. The specific capacitance of $NiFe_2O_4$/Cu-1 and $NiFe_2O_4$/Cu-2 was evaluated using the following equation:

$$C = I\Delta t/m\Delta V \quad (1)$$

In this equation, I, m, ΔV and Δt are current, mass of active materials, voltage difference and discharge time. The other important parameters such as energy (E) and power (P) densities have also been evaluated via following equations:

$$E\ (Wh/kg) = 0.5\ CV2/3.6 \quad (2)$$

$$P\ (W/kg) = E \times 3600/t \quad (3)$$

III. RESULTS AND DISCUSSION

III.1 CHARACTERIZATION OF $NIFE_2O_4$, $NIFE_2O_4$/CU-1, AND $NIFE_2O_4$/CU-2

NiFe2O4/Cu-1 and NiFe2O4/Cu-2 were analyzed using FTIR, SEM, TEM, and XRD techniques. The FTIR spectra of NiFe2O4, NiFe2O4/Cu-1, and NiFe2O4/Cu-2 are shown in Figure 2. The important FTIR peaks at 3351, 1763, 1568, 1382, 1062, and 658 cm^{-1} were assigned for $NiFe_2O_4$. The peaks at 3351 and 1568 cm^{-1} were assigned for the O-H bond (stretching and bending). The peak at 1763 cm^{-1} was assigned for C=O (absorbed CO_2). The FTIR peak of 1382 cm^{-1} is due to the C-O (asymmetric) bond. Other peaks at 1060 and 658 cm^{-1} are associated with Ni-Fe, Fe-O, Ni-O, etc. bonds[25], [26], [27]. The important FTIR peaks of $NiFe_2O_4$/Cu-1 were assigned as 3452, 2880, 1527, 1139, and 579 cm^{-1}. These peaks all reveal the presence of O-H, C-H, C-O, Ni-Fe, Fe-Cu, etc. bonds. Similarly, the FTIR peaks of 3425, 2897, 1377, 1086, 879, and 593 cm^{-1} were assigned for $NiFe_2O_4$/Cu-2. These peaks are also revealing the presence of O-H, C-H, C-O, Ni-Fe, Fe-Cu, Cu-O, etc. bonds[25], [26], [28], [29], [30], [31].

XRD patterns of $NiFe_2O_4$, $NiFe_2O_4$/Cu-1, and $NiFe_2O_4$/Cu-2 are depicted in Figure 3. These patterns show that NiFe2O4 is amorphous, while NiFe2O4/Cu-1 and NiFe2O4/Cu-2 are semi-crystalline. The important XRD peaks of $NiFe_2O_4$ were assigned at 2 θ = 30.10 (111), 35.60 (220), 38.70 (222), 43.50 (400), 56.20 (511), 57.40 (511), and 62.70 (440) [32], [33]. The XRD peaks of $NiFe_2O_4$/Cu-1, and $NiFe_2O_4$/Cu-2 were assigned at 2 θ = 30.50 (111), 35.80 (220), 38.70 (222), 43.50 (400), 49.10 (-202), 53.70 (020), 57.50 (511), 61.80 (-113), 62.70 (440), 66.20 (-311), and 68.20 (220), respectively[25], [34], [35], [36], [37], [38]. The morphological features of $NiFe_2O_4$, $NiFe_2O_4$/Cu-1, and $NiFe_2O_4$/Cu-2 were analyzed using SEM technique. Figure 4 depicts the SEM images of $NiFe_2O_4$, $NiFe_2O_4$/Cu-1, and $NiFe_2O_4$/Cu-2. In case of $NiFe_2O_4$, some particles are semi-sphere and some are irregular. After incorporation with Cu, the particles become sphere-shaped. The TEM images (Figure 5) of $NiFe_2O_4$/Cu-2 are also revealing the sphere-shaped particles having average particle size 23.5 nm.

The above-mentioned findings of FTIR and XRD clearly indicate the presence of different main chemical bonds and the nature of the synthesized materials. These techniques provide feasibility of synthetic methods and actual formation of materials. SEM and TEM methods also reveal the actual morphology of $NiFe_2O_4$, $NiFe_2O_4$/Cu-1, and $NiFe_2O_4$/Cu-2.

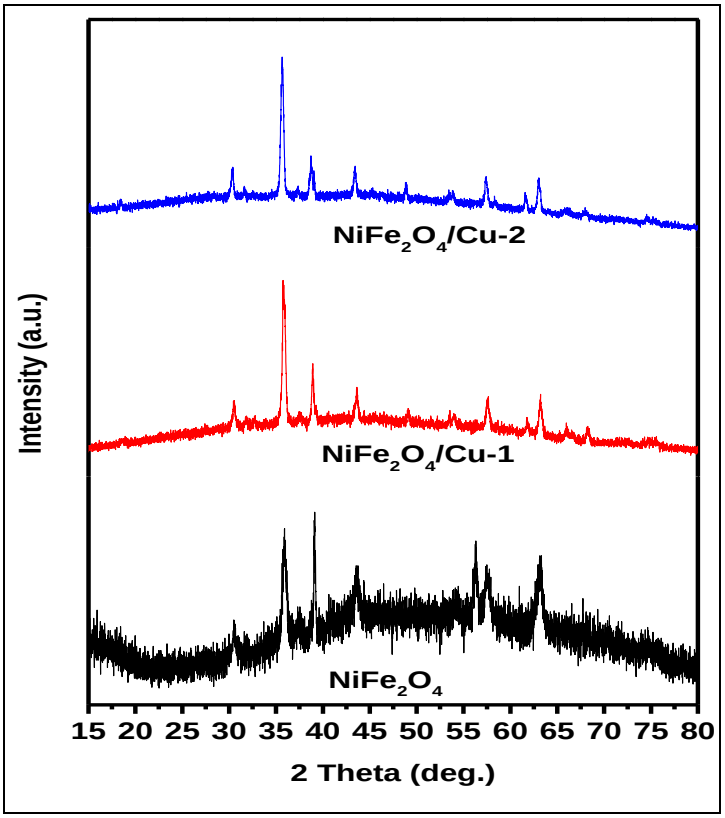


Figure 2: FTIR spectra of NiFe2O4, NiFe2O4/Cu-1, and NiFe2O4/Cu-2.
Source: Authors, (2026).

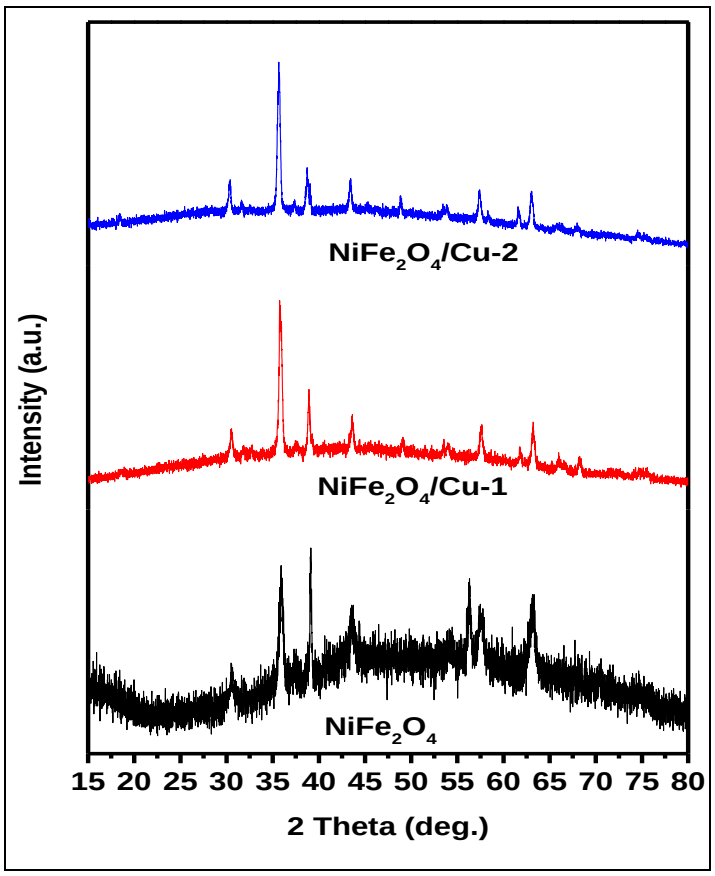


Figure 3: XRD patterns of NiFe2O4, NiFe2O4/Cu-1, and NiFe2O4/Cu-2.
Source: Authors, (2026).

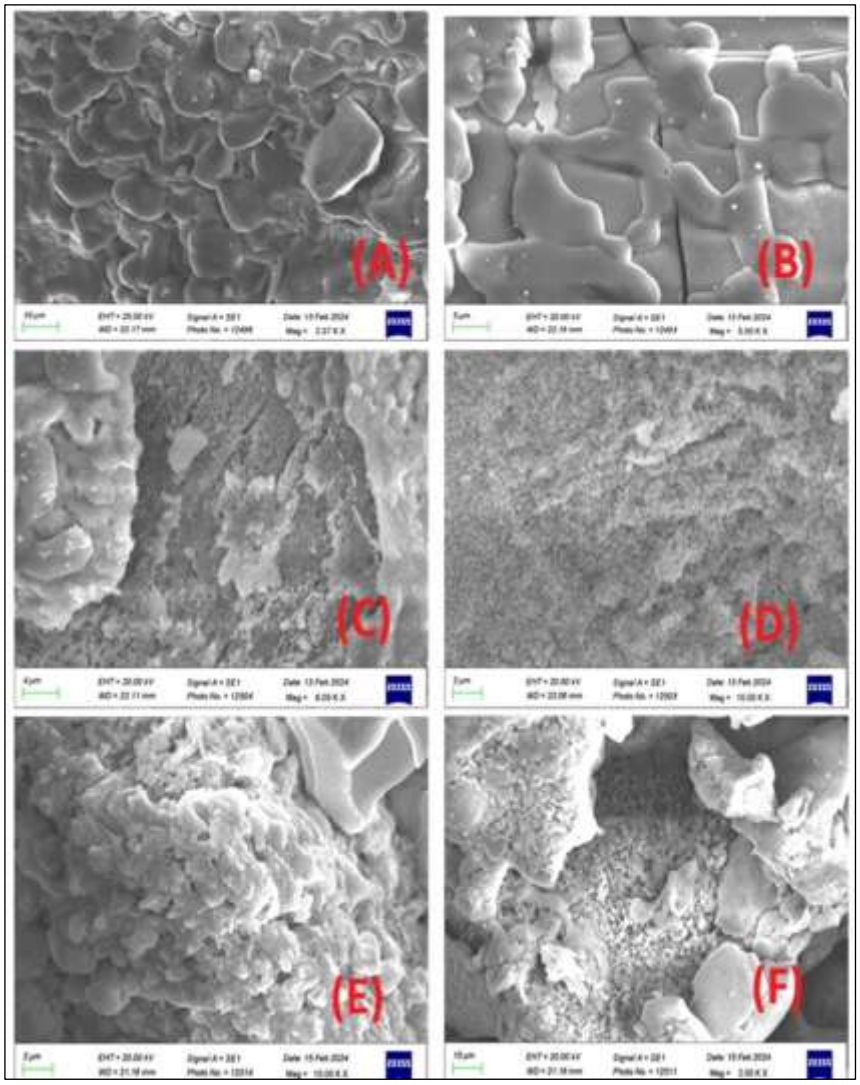


Figure 4: SEM images of NiFe2O4 (A & B), NiFe2O4/Cu-1 (C & D), and NiFe2O4/Cu-2 (E & F).
Source: Authors, (2026).

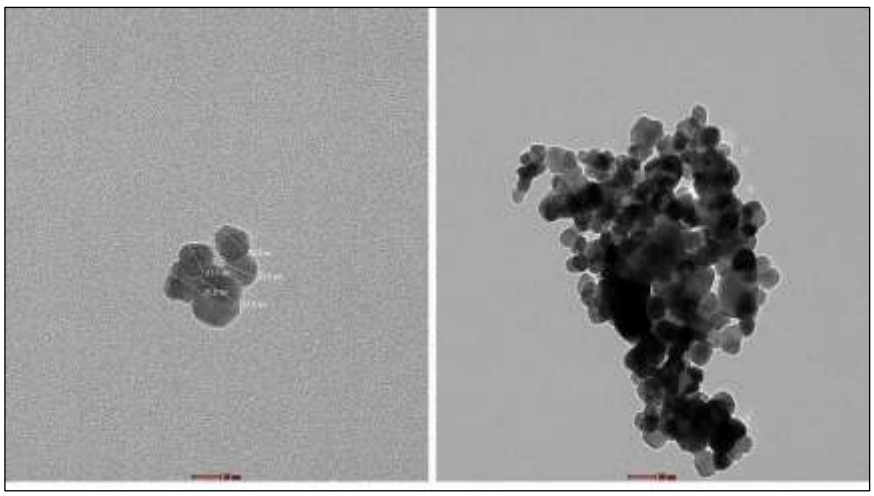


Figure 5: TEM images of NiFe2O4/Cu-2.
Source: Authors, (2026).

III.2 ELECTROCHEMICAL STUDY OF $NIFE_2O_4$, $NIFE_2O_4$/CU-1, AND $NIFE_2O_4$/CU-2

The CV, GCD, and EIS methods were used to analyze the electrochemical behavior of each of these materials. All of these electrochemical parameters are discussed below.

CV

CV is a widely used electrochemical technique for electrode behavior. Static electrode potential is applied at a constant scanning rate throughout CV measurement, and an electron transfer at the active reaction site is used to create a current-potential plot[38], [39][40]. Figure 6 illustrates the CV curves of $NiFe_2O_4$, $NiFe_2O_4$/Cu-1, and $NiFe_2O_4$/Cu-2 under 3 and 2-electrode systems. The CV curves have been obtained at the scan rates of 10, 20, 30, 50, 75, and 100 mV/s. All CV curves have a nearly rectangular shape, which indicates ideal capacitive behavior. Additionally, it shows that an electrical double layer is forming at the electrode-electrolyte interface. The CV curves at various scan rates exhibit a nearly similar rectangular shape, indicating the stability of materials under selected potential windows[41]. The study indicates that as the scan rate increases, the capacitive behavior decreases, indicating that charge dispersion is the primary cause of storage[42]. Similar observation was reported by Al Kiey et al. [43]for the CoFe2O4, CuFe2O4 and Co/CuFe2O4 at the scan rates of 5, 10, 25, 50, 100, and 200 mV/s. Salama et al.[44] also reported similar observations for MgFe2O4 supported on activated carbon at the scan rates of 5, 10, 20, 30, and 50 mV/s, respectively.

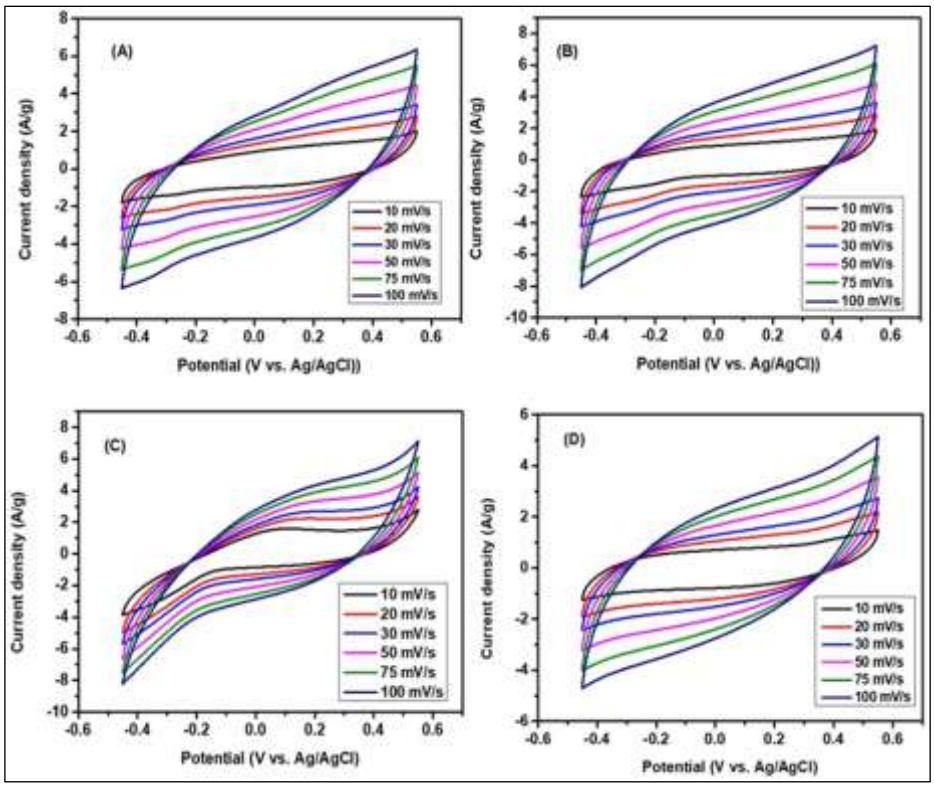


Figure 6: CV curves of (A) NiFe2O4 (under 3-electrode) (B) NiFe2O4/Cu-1 (under 3-electrode) (C) NiFe2O4/Cu-2 (under 3-electrode), and (D) NiFe2O4/Cu-2 (under 2-electrode).
Source: Authors, (2026).

GCD

GCD curves are important parameters for observing the discharge time, retention, and efficiency of electrode materials. The discharge time is directly proportional to the specific capacitance of supercapacitors. The power and energy densities of supercapacitors are also evaluated using GCD curves[42], [45]. The GCD curves of of $NiFe_2O_4$, $NiFe_2O_4$/Cu-1, and $NiFe_2O_4$/Cu-2 under 3 and 2-electrode systems are presented in Figure 7. The GCD curves of $NiFe_2O_4$ are nearly linear and indicating the accumulation of ions at junction of electrode and electrolyte[45]. The small deviation from linearity ($NiFe_2O_4$/Cu-1, and $NiFe_2O_4$/Cu-2) indicates the involvement pseudocapacitive contribution during faradaic reactions[46], [47]. The specific capacitance of $NiFe_2O_4$ was found to be 80, 44, 30.6, 7.6, and 5.2 F/g at the current densities of 2, 4, 6, 8, and 10 A/g. These values increased to 122, 60, 37.8, 18.4, and 18 F/g in the case of $NiFe_2O_4$/Cu-1. At the same current densities, the specific capacitance of $NiFe_2O_4$/Cu-2 was found to be 222, 88, 40.2, 36.8, and 18.6 F/g (Figure 8A). Huynh et al.[48] also reported the similar trend of decrease of specific capacitance of CuFe2O4-based electrode materials at current densities of 0.02, 0.05, 0.1, 0.25, and 0.5 A/g. Kumar et al.[40] also reported the specific capacitance of 295.5, 111.2, 73.3, 71.1, and 33.3F/g for CoFe2O4/Ppy at the current densities of 2, 4, 6, 8, and 10 A/g, respectively.

The specific capacitance of $NiFe_2O_4$/Cu-2 under the 2-electrode system was evaluated to be 42, 24, 18, 16, and 14.5 F/g at the same current densities (Figure 8B). The energy densities of $NiFe_2O_4$/Cu-2 were found to be 5.9, 3.4, 2.5, 2.3, and 2.08 Wh/kg at power densities of 499.9, 1999.8, 3000, 4015.8, and 4992 W/kg, respectively (Figure 8C). The actual efficiency of supercapacitors throughout multiple GCD cycles depends on the cyclic stability of the electrode materials. Several aspects, including redox reversibility, chemical stability, and the structural characteristics of selecetd materials, have a substantial impact on cyclic stability. Materials that are susceptible to irreversible reactions or volume changes frequently deteriorate rapidly. Cu-based materials have high conductivity and reversible redox activity. They provide reliable and effective electrodes when mixed with other substances [15], [16]. $NiFe_2O_4$/Cu-2 was run for 5000 GCD cycles under a 2-electrode system. Retention was found to be 96.7% after the first 500 cycles, which increased to 95.8% after 1500 cycles. After 2500 cycles, retention was achieved to be 94.7%, and it remained 92.8% after 4000 cycles. After 5000 cycles, retention was achieved to be 91.3% (Figure 8D). The comparison of $NiFe_2O_4$/Cu-2 with other electrode materials is shown in table 1.

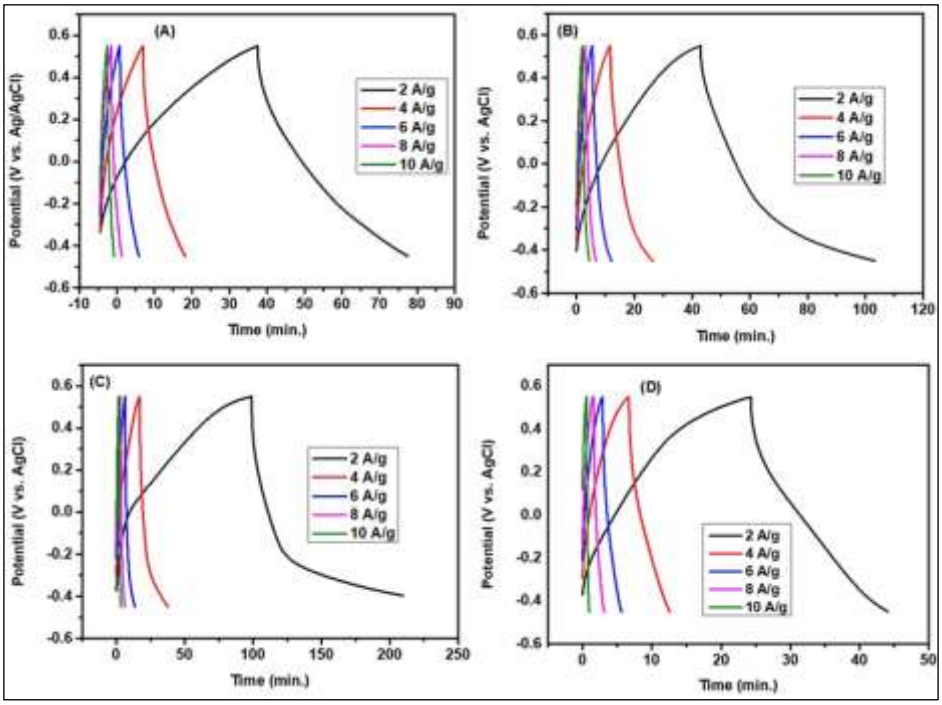


Figure 7: GCD curves of (A) NiFe2O4 (under 3-electrode) (B) NiFe2O4/Cu-1 (under 3-electrode) (C) NiFe2O4/Cu-2 (under 3-electrode), and (D) NiFe2O4/Cu-2 (under 2-electrode).
Source: Authors, (2026).

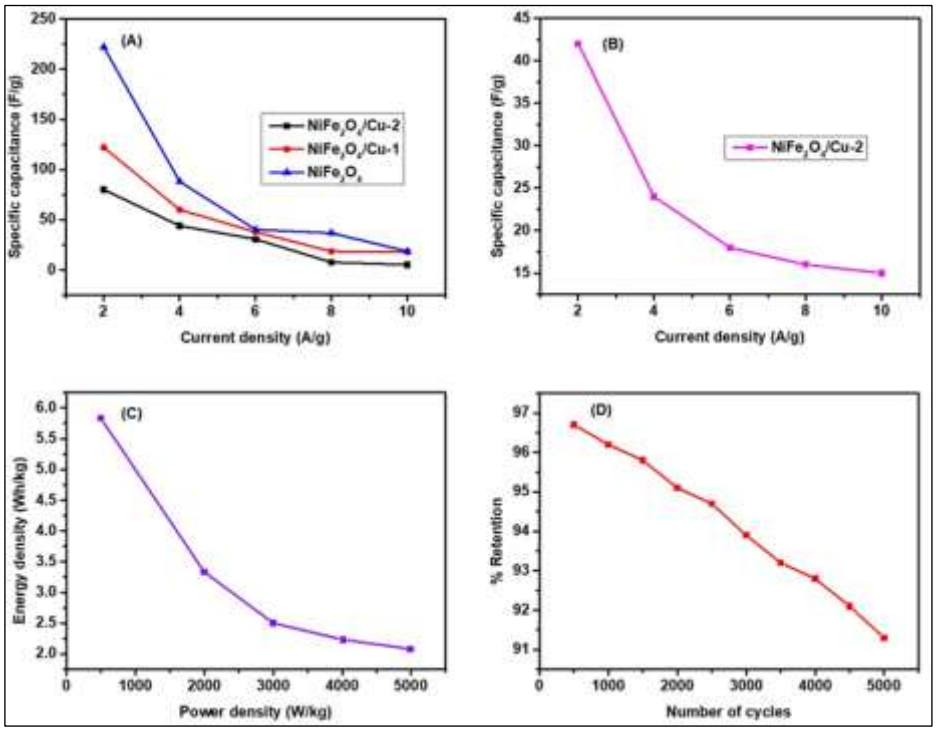


Figure 8: (A) specific capacitance vs current density (under 3-electrode) (B) specific capacitance vs current density (under 2-electrode) (C) energy density vs power density, and (D) cyclization of NiFe2O4/Cu-2 (under 2-electrode).
Source: Authors, (2026).

Table 1: comparison of NiFe2O4/Cu-2 with electrode materials.

Type of electrodes	Maximum specific capacitance	Retention	References
$ZnFe_2O_4$ microspheres	131 F/g	92% after 1000 cycles	[49]
$Ni/ZnFe_2O_4$	504.4 F/g	-	[50]
$CoFe_2O_4$	466 F/g	100% after 10000 cycles	[51]
$CoFe_2O_4$	142 F/g	71.8% after 1000 cycles	[52]
$NiFe_2O_4$	127 F/g	-	[53]
$NiFe_2O_4$/Cu-2	222 F/g	91.3% after 5000 cycles	This study

Source: Authors, (2026).

EIS

Exploring the electrode characteristics of batteries and supercapacitors needs the use of EIS. Furthermore, EIS is utilized in the investigation of corrosion, sensors, and various material properties. [54], [55]. In this study, Nyquist and Bode's curves have been investigated to find out the electrochemical characteristics of $NiFe_2O_4$/Cu-2. A Nyquist plot helps analyze the behavior of a supercapacitor by visualizing its complex impedance at various frequencies. The Nyquist curve of $NiFe_2O_4$/Cu-2 is shown in Figure 9 A. This curve shows the ideal capacitive behavior of selected electrode material[56]. This curve indicates the unique charge-transfer process between the electrode and electrolyte[57]. Bode's curves (Figure 9B) examine the features of impedance in electrochemical systems and demonstrate that resistive components allow impedance to become constant at high frequencies. Bulk electrolyte, electrode features, and interface resistances also contribute to this resistance. Understanding these elements is essential for enhancing device reliability and material design[39], [57], [58].

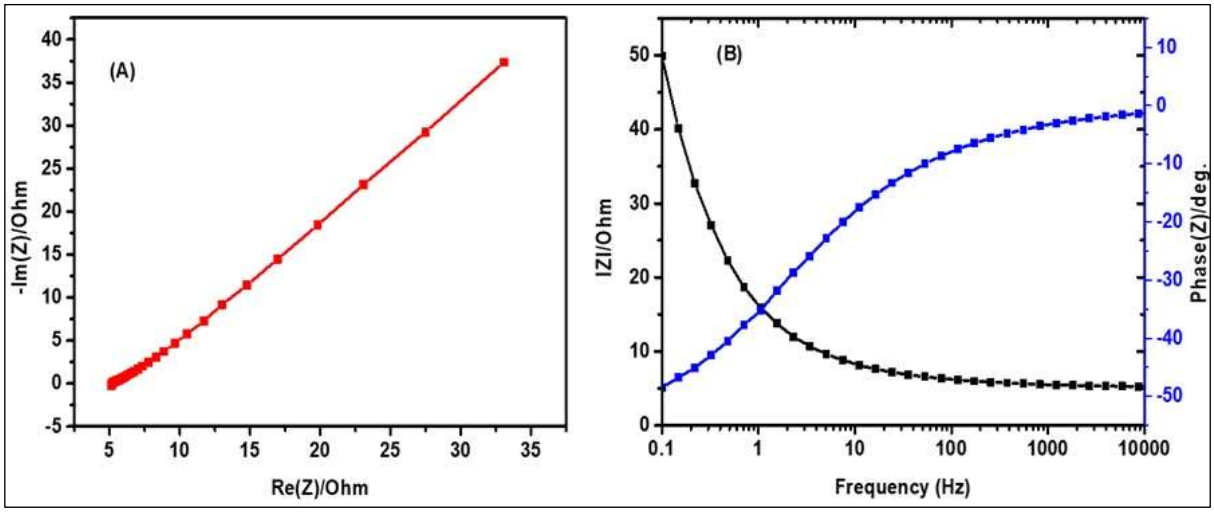


Figure 9: (A) Nyquist curve, and (B) Bode's curve of $NiFe_2O_4$/Cu-2.
Source: Authors, (2026).

IV. CONCLUSION

The primary objectives of energy storage in the future are to increase sustainability, capacity, and efficiency. Supercapacitors provide fast charge/discharge, stability, and a high-power density, making them promising energy storage devices. Future advancements in electrode materials for supercapacitors are expected as researchers continue to explore and develop more sophisticated and high-performance materials. Ferrite-based materials have a lot of potential as supercapacitor electrode materials due to their inexpensiveness, environmental friendliness, and multiple oxidation states. With an energy density of 5.9 Wh/kg, a specific capacitance of 222 F/g at 2 A/g, and 91.3% retention after 5000 cycles under a 2-electrode system, the developed $NiFe_2O_4$/Cu-2 showed enhanced electrochemical capabilities. The important characteristics of NiFe2O4/Cu-2 have also been investigated using different characterization techniques such as FTIR, XRD, SEM, and TEM, respectively. The specific capacitance under the 2-electrode system was found to be 42 F/g, and the NiFe2O4/Cu-2 was also found to be a promising material for the device system.

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VI. AUTHORSHIP CONTRIBUTION STATEMENT

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Investigation: Khundrakpam Somen Singh, Naveen Chandra Joshi**.**
Discussion of results: Khundrakpam Somen Singh, Naveen Chandra Joshi, B.S.Rawat.
Writing – Original Draft: Naveen Chandra Joshi.
Writing – Review and Editing: B.S.Rawat.
Resources: Khundrakpam Somen Singh, Naveen Chandra Joshi, B.S.Rawat.
Supervision: Khundrakpam Somen Singh, Naveen Chandra Joshi, B.S.Rawat.
Approval of the final text: Khundrakpam Somen Singh, Naveen Chandra Joshi, B.S.Rawat.

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RESEARCH ARTICLE OPEN ACCESS

COMPARATIVE ANALYSIS OF IECC-QKD WITH SEVERAL ACCESS CONTROL AND SECURITY APPROACHES FOR SECURE AUTHENTICATION AND DATA SHARING IN CLOUD ENVIRONMENTS

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ABSTRACT

Blockchain has evolved a lot in the context of digital transformation as it is decentralized and accessible. However, it has become extremely difficult to keep sensitive data secure in cloud storage and distributed systems. Traditional methods didn't do a good job of controlling who could access data, and there was a rik of unauthorized access, especially in centralized cloud systems, which raised concerns about data security and privacy. This study suggested an Improved Elliptic Curve Cryptography-based Quantum Key Distribution (IECC-QKD) framework that uses a blockchain system to protect data exchange and access control mechanisms in order to reduce security risks. The Edwards curve and binary randomness are both used in the IECC to make sure that the encryption and sensitive data participated on the cloud are safe from tampering. The QKD-based secure key uses quantum mechanics to keep the data safe from unauthorized access by making it impossible to tamper with. The new Proof of Storage (PoSt) consensus mechanism in the Ethereum blockchain also combines the best parts of Proof of Space (PoS) to store and prove the integrity of the data while using as few resources as possible.

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I. INTRODUCTION

As digital infrastructures become increasingly complex and interdependent, ensuring robust security for sensitive data and communications is critical for both organizations and individuals. As a result, the demand for future-proof and quantum-resistant security solutions has intensified across digital infrastructures. Access control systems such as Cipher Text-Policy Attribute-Based Encryption (CP-ABE) [1], Fabric-Attribute Based Access Control (Fabric-ABAC)[2], Blockchain Capability Access Control (BCAC), Blockchain-based Privacy-preserving Attribute-Driven Access Control (BPADAC), and Blockchain-powered Dynamic Access Control (BPDAC) have emerged to address the scalability, privacy, and fine-grained policy enforcement requirements inherent in distributed environments. [3] These models offer advanced frameworks that shift beyond static, identity-based approaches by utilizing attributes or blockchain technology for efficient authorization and detailed auditing [4].

Parallel to these advancements, Quantum Key Distribution (QKD) presents an innovative cryptographic paradigm that leverages quantum mechanical principles to ensure theoretically unbreakable key exchange. Improved Elliptic Curve Cryptography-based Quantum Key Distribution (IECC-QKD) integrates the computational efficiency and strong mathematical assurances of elliptic curve cryptography with the information-theoretic security guarantees of QKD, thereby strengthening both resistance to quantum attacks and practical deployment for next-generation communications. This hybrid approach aims to achieve robust authentication, lightweight computation [5], and provable resilience against both traditional and quantum-enabled adversaries [6]. This paper presents a comprehensive comparative analysis of IECC-QKD with contemporary attribute-based and blockchain-enhanced access control frameworks.

[7] The analysis systematically evaluates their underlying security principles, protocol structures, implementation feasibility, and resilience to present and emerging threats. By situating IECC-QKD alongside CP-ABE, Fabric-ABAC, BCAC, BPADAC, and BPDAC, this study aims to clarify the unique strengths, operational constraints, and potential integration pathways for quantum-secure cryptography in the evolving landscape of distributed access control [8]. The main contributions of the research are highlighted below:

- **IECC-QKD**: The incorporation of multiple random values in the ECC encryption generates stronger defensive results than the basic ECC algorithm. The IECC uses Edwards's curves instead of Weierstrass curve which enhances security by reducing processing requirements. Combining QKD with improved ECC offers a strong secure encryption system where two parties communicate safely through the quantum mechanics principles of QKD. IECC-QKD stands out as the best cryptographic system when resources are limited due to its processing speed and high-security levels while using shorter keys [9].
- **Index and Token generation:** The mechanism of generating index and token helps to prevent tampering of data by unauthorized users. [4] The index generated through SHA-3 offers a strong standard against vulnerabilities and avoidance of length-extensive attacks. The tokens allow the users to access the system for particular validity to assure accessibility only during the intended time frame. This two-factor authentication procedure enhances defense mechanisms and improves digital data protection [10].
- **Ethereum as Proof of Storage:** PoSt builds an enhanced consensus system that replaces PoS with strong defence capabilities to benefit the network's performance. User access complete system functions through the Ethereum blockchain while performing verification tasks without using significant computer power. This technique has transformed the blockchain systems and decentralized storage networks by integrating the PoSt algorithm replacing the conventional consensus method [11-13].

The remaining portion of the research is categorized as follows. Section 2 explains the literature works, and section 3 delves into the problem statement to rectify and innovate. Section 4 describes the mechanisms and the processes carried out for developing access control systems. Section 5 delivers the comparative analysis and section 6 concludes with wrapping the future scopes.

II. LITERATURE REVIEW

The security concerns in the blockchain are delivered through this survey below. According to [14] developed a Ciphertext-Policy Attribute-Based Encryption (CP-ABE) framework aimed at enhancing security by eliminating centralization and trust issues. Their approach supports decentralized access control while reducing risks such as replay attacks and temporary access through optimized parameters, demonstrating superior privacy protection and overall security compared to previous schemes. In [15] proposed a dynamic access control system for managing cloud server data that incorporates data provenance. Their Blockchain-based Provenance-enabled Dynamic Access Control (BPDAC) system utilizes a quick look-up table (QLT) to accelerate access mechanisms. Performance evaluation using Hyperledger Fabric showcases improved metrics, though optimization of the QLT remains an area for enhancement to boost efficiency. According to [16] introduced an improved Salp Swarm Optimization-based Paillier Federated Multi-Layer Perceptron (ISSO-based PF-MLP) to mitigate security breaches in cloud systems.

This method integrates blockchain, access control, and cryptography; however, vulnerabilities to quantum computing attacks reduce the robustness of the encryption algorithms involved. According to [17] used a privacy-aware Blockchain-based Access Control (BPADAC) model to secure UAV data sharing in cloud systems using Ethereum smart contracts. While the approach demonstrates efficacy for distributed security, critical challenges such as cloud data verification and UAV source identification remain unaddressed. In [18] introduced AccessChain, which combines decentralized architecture with Attribute-Based Access Control (ABAC) to provide fine-grained, dynamic data privacy protection. The framework exhibits high throughput and scalability but suffers from limitations in the Proof-of-Work mechanism of its access point ledger, restricting latency, scalability, and throughput trade-offs. According to [19] developed Fabric-ABAC, improving cross-domain data sharing security by integrating Hyperledger Fabric with ABAC.

This multi-level, auditable access control framework employs delegated permission verification, enhancing security and simplifying permission management in multi-domain blockchain environments. Blockchain technology and ABE are used in the novel method put forth by [20] to enhance cloud environments' data security and access control systems. ABE offers a safe and data-sharing environment, but this method used a decentralized blockchain and tamper-proof access control management. However, the drawbacks, such as increased computational demands, had an impact on performance and scalability. According to [21] proposed a Blockchain-based Access Control (BCAC) scheme integrating ABE to bolster privacy and policy enforcement while minimizing dependence on centralized authorities. This approach offers decentralized secure data sharing and integrity assurance; however, it exhibits high computational costs that hinder system performance.

II.1 LIMITATION ON EXISTING SYSTEM

Several key challenges continue to hinder the effectiveness of access control mechanisms within cloud and blockchain systems.

- Enhancing the Quality of Logical Thinking (QLT) to improve the precision of access control decisions remains a significant challenge. Moreover, provenance-based access policies require adaptation for wider applicability, policy definition frameworks need to be standardized and strengthened, conflicts among policies must be effectively resolved, and user-friendly interfaces are essential to empower end-users in managing their own data and access rights.
- The performance of encryption algorithms within the Privacy-Preserving Federated Multi-Level Permission (PF-MLP) framework deteriorates, leading to diminished protection of data privacy and secure communication across multiple cloud environments. This highlights a gap where advanced encryption techniques have yet to be fully integrated and utilized.
- Systems based on Blockchain-based Privacy-preserving Attribute-Driven Access Control (BPADAC) exhibit limitations by focusing primarily on addressing vulnerabilities related to outsourced UAV data within cloud ecosystems, thereby restricting their broader applicability and utility.

- The access chain framework lacks comprehensive analytical components, resulting in increased Proof-of-Work (PoW) costs associated with maintaining the access point ledger. Additionally, this insufficiency impacts the overall expenses related to ledger upkeep and the metrics of access control cost-efficiency.[6]
- Attribute-Based Encryption (ABE)-based systems suffer from inefficiencies in multi-keyword search functions within blockchain contexts, which directly hamper the effectiveness and responsiveness of user access operations.

II.2 PROBLEM STATEMENT

Evaluating access control and security mechanisms requires a comprehensive balance between cryptographic strength and system performance. Key performance indicators such as encryption time, decryption time, transaction time, privacy ratio, responsiveness, and memory usage collectively determine the practical viability and security assurance of these mechanisms in real-world deployments. Existing attribute-based and blockchain-enhanced access control models often suffer from computational overheads in encryption and decryption processes, resulting in latency that impairs system responsiveness and transaction throughput. Moreover, these conventional systems may inadequately protect user privacy, reflected in suboptimal privacy ratios, while high memory consumption limits scalability and implementation feasibility in resource-constrained environments.[22].

Although Quantum Key Distribution (QKD) protocols provide unparalleled security guarantees founded on quantum physics, practical issues such as error rates, key generation rate, and integration latency impact the encryption and decryption efficiency. The Improved Elliptic Curve Cryptography-based QKD (IECC-QKD) approach aims to optimize this trade-off by enhancing key generation efficiency and reducing computational overhead while preserving high privacy and responsiveness standards [23]. This research investigates how IECC-QKD compares with state-of-the-art access control approaches on these fundamental metrics, seeking to address performance bottlenecks and privacy challenges that inhibit the widespread adoption of secure, scalable quantum-resilient access control systems.

III. MECHANISM & PROCESS

III.1 USER REGISTRATION

To ensure the overall security of the system and the safe utilization of cryptographic keys, the registration process initiates authorized access. Initially, the sensitivity level of the data owner is represented through a security parameter. Subsequently, each blockchain node employs a designated algorithm to generate corresponding public and private key pairs after the relevant attributes have been initialized [13].

III.2 INITIALIZING THE REGISTRATION SETUP

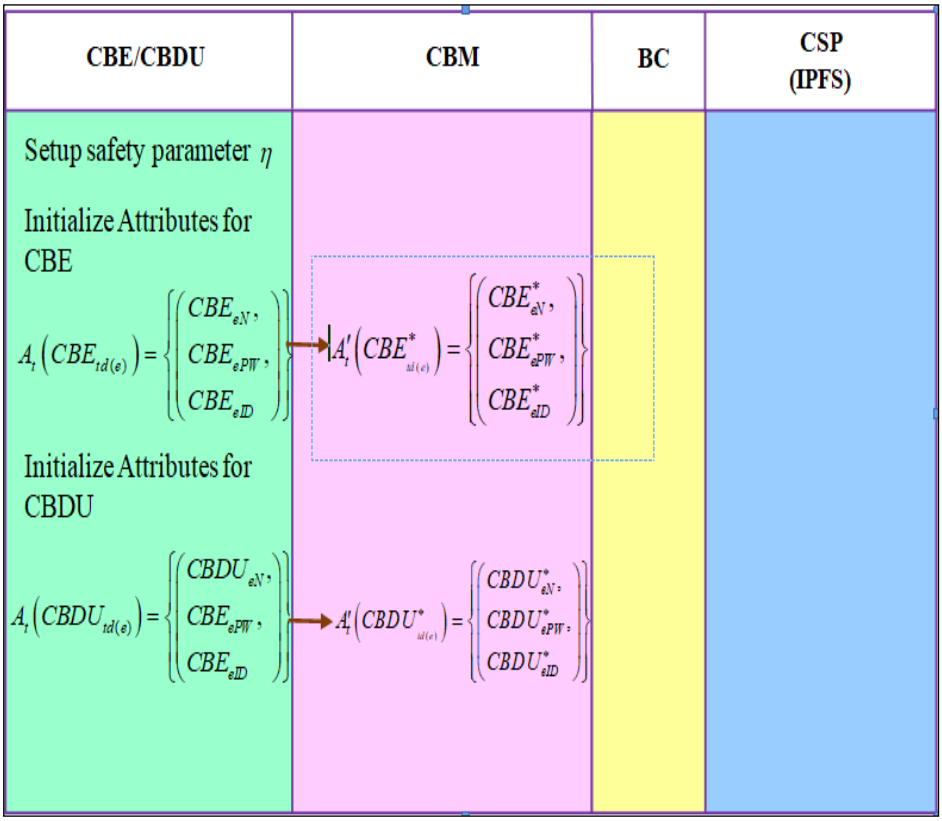


Figure 1: Initial Register phase for initializing Attributes.
Source: Authors, (2026).

III.3 CBM VERIFICATION PROCESS

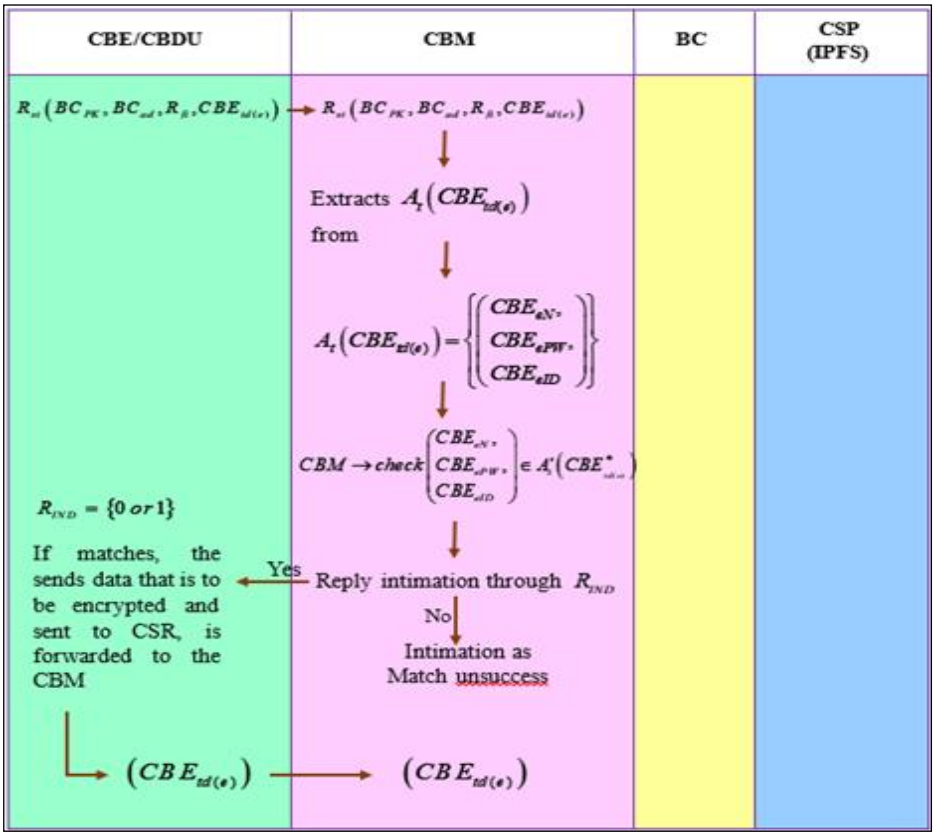


Figure 2: Schematic representation of CBM Verification process.
Source: Authors, (2026).

III.4 INDEX & TOKEN GENERATION PROCESS THROUGH SALT

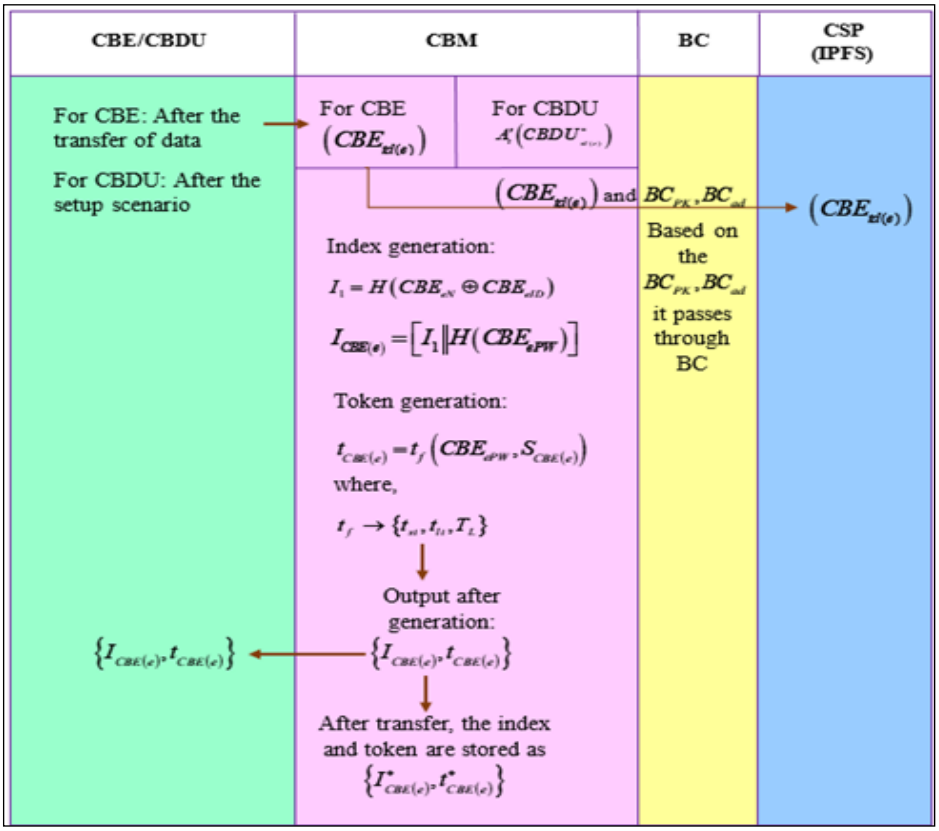


Figure 3: Diagrammatic depiction of the Index and token generation process.
Source: [24].

III.5 IMPROVED ELLIPTIC CURVE CRYPTOGRAPHY BASED QUANTUM KEY DISTRIBUTION FOR ENCRYPTION

After transferring the outcomes from the index and token generation process to the CBE/CBDU, the subsequent owner's data $(CBE_{td(e)})$ is forwarded to CSP using the BC_{PK}, BC_{od} for performing the encryption process. The IECC-QKD is utilized as the encryption standard that overcomes the issues of traditional ECC mechanism like exposure to quantum threats, vulnerability to random values leading to leakage of the private key, and spamming the system with a large volume of transactions with misleading the legitimate user's transactions. Moreover, to mitigate the computational complexity, the ECC is improved with the utilization of different curves by introducing additional randomness and QKD. The IECC algorithm uses elliptic curves over finite fields. Generally, the ECC algorithm produces curve based on the Weierstrass form. However, to improve time complexity and to minimize processing, this curve is replaced by implementing the Edward's curve [23] which performs well compared to the other conventional elliptic curves. The equation, implying the standard Edward's curve is described as,

$$E_d(k): a^2 + b^2 = z^2\left(1 + la^2b^2\right) mod\ kz \tag{1}$$

Where, $E_d(k)$ denotes the Edward's curve at the field k. The point coordinates of curve are denoted as a,b and z,l denote the parameters that contribute to Edward's form $z,l \in k$. Every elliptic curve over the particular finite field k is birationally mapped to the curve. The improved curve in the IECC algorithm [9] performs deliberately well by improving the performance of the algorithm and minimizing key size when compared to other encryption standards. Using the IECC as encryption standard involves generating sequences using the curve points to generate the cipher text for efficient data encryption.

Step 1: The CBM chooses random value x through the IECC algorithm and computes them accordingly with the point zK.

$$K_1\left(a_1, b_1\right) = r_1 K \tag{2}$$

$$K_2\left(a_2, b_2\right) = K_y + r_1\left(zK\right) \tag{3}$$

Here, the K implies the point generator that generates finite fields K_1, K_2 along the points (a_1, b_1) and (a_2, b_2). r_1 denotes the random integer initialized to generate the secret key, and K_y denotes the embedded form of the original data.

Step 2: The single random integer with a pair of points can diminish the security concerns leading to cipher text attacks. To overcome this, another random integer r_2 is added to the IECC scheme to improve the encryption.

$$K_3\left(a_3, b_3\right) = r_2 K \tag{4}$$

$$K_4\left(a_4, b_4\right) = K_y + r_2\left(zK\right) \tag{5}$$

Here, K_3, K_4 denotes the finite fields along the points (a_3, b_3) and (a_4, b_4).

Step 3: Generate the set of sequences for the points using the shifting operation

Step 4: Calculate $W(a_1, b_1)$, $W(a_2, b_2)$, $W(a_3, b_3)$, and $W(a_4, b_4)$ where W represents the values of the sequence generated through Step 3.

Step 5: Following the sequence, the cipher text is measured as $T_c = \left\{W\left(a_1, b_1\right), W\left(a_2, b_2\right), W\left(a_3, b_3\right), W\left(a_4, b_4\right)\right\}$, where T_c denotes the cipher text calculated using IECC.

The CSP, also the encryptor converts the T_c into the binary form and sends it inside the storage space with a series of bits attained through QKD. The integration of QKD with IECC provides reliable and advanced security methods using quantum keys and defends abnormalities through quantum computing devices at the same time. Through QKD [25] the two participants CBM and CSP create secret keys by using fundamental quantum physics rules of superposition and entanglement. The protocols of QKD operate on random qubit transmission through quantum space, where CSP sends the qubit-generated key through a specific channel When CSP receives the key from CBM it identifies them with randomly generated testing bases. When CBM and CSP establish the basis values publicly by discarding mismatches and creating the raw key which is then processed further into a shared secret key. The transmission method finds users who try to steal and avoid eavesdropping attempts by indication of quantum signals E_{QKD} since state variations automatically reveal their presence. The E_{QKD} is the indication parameter used by the QKD to notify whether any intruder interrupts the quantum channel. The operations at the QKD can be determined as,

$$CBM : T_c \xrightarrow{QKD} CSP \tag{6}$$

$$QKD \rightarrow E_{QKD} = \begin{cases} 1; if\ attac\ker\ present \\ 0; else \end{cases} \tag{7}$$

The secret keys shared through QKD [26] become a stronger standard and can be used as a symmetric key for encryption. The key generation through QKD serves either to encrypt IECC public keys or to collaborate with IECC by managing safe access to keys. Uniting these security strategies makes better protection and suitable for resource-constrained environments. The combined approach offers benefits with IECC's security enhanced by QKD integration. QKD ensures quantum-resistant protection while IECC provides an additional layer of backup security compared to other cryptographic techniques. The usage of IECC in the proposed system becomes faster due to its smaller keys that reduce processing requirements. The mixed characteristics will persist in serving our needs as quantum technology makes current encryption methods no longer secure. QKD distributes secret keys securely between parties and supports IECC to develop better encryption and digital key handling. IECC defends the system from both side-channel attacks and other vulnerabilities and protects key exchange operations from hackers using QKD. Similarly, after this process, the decryption process uses z,l with base point K and the prime value k are transferred to the CBE/CBDU whoever is the data owner and the encrypted data is stored on the IPFS network. Figure 4. represents the encryption process carried out using the IECC-QKD model.

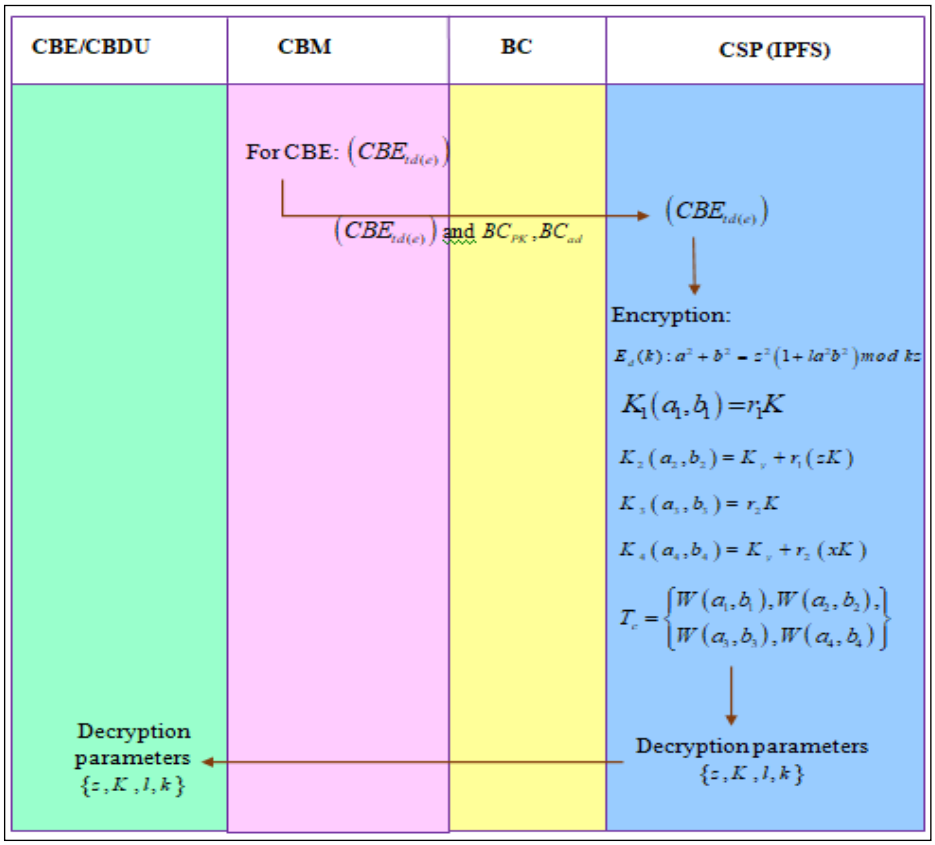


Figure 4: Schematic depiction of IECC-QKD-based encryption process.
Source: Authors, (2026).

III.6 DECRYPTION OF DATA

The user authenticates the data through the CSP scheme, for retrieval using the two-factor authenticator mechanism called the index and token. The verifier CBM checks the subsequent index and token, if the authentication matches, the decryption is performed through CSP with the recovery of key from CBE utilizing QKD's channel. The steps carried out for decrypting the data are as follows.

Step 1: For decryption, the CBDU applies encrypted data T_c and the decryption parameters $\{z, K, l, k\}$ which are known to the CBDU through CSP.

Step 2: The known data is converted back to the binary form by transforming T_c of every group.

Step 3: The groups $\{W(a_1, b_1), W(a_2, b_2), W(a_3, b_3), W(a_4, b_4)\}$ are extracted according to the initialization of the groups.

Step 4: Reverse the set of sequences through the operation by circular shift.

Step 5: The sequences set are converted back to the decimal values and stored as g.

Step 6: The pre-arranged point $(g+1)K$ and the point that is stored $(g+1)K = (a_1, b_1)$ is calculated.

Step 7: The next set of points in the sequence of step 3 repeats the same process for the generated sequences $\{W(a_1, b_1), W(a_2, b_2), W(a_3, b_3), W(a_4, b_4)\}$.

Step 8: The process is repeated throughout the next sets of data that the T_c possess and not measured previously.

For the calculation of K_y, that is mentioned in the (14) and the (16), the CSP uses the secret key and measures the $r_1(zK)$ and $r_2(zK)$ to acquire the K_y.

$$K_y + r_1(zK) - z(r_1 K) = K_y + r_1 zK - r_1 zK = K_y \tag{8}$$

$$K_y + r_2(zK) - z(r_2 K) = K_y + r_2 zK - r_2 zK = K_y \tag{9}$$

Following, this the process is reversed using the embedding K_y to decipher and retrieve the original data. Figure 5. illustrates the decryption process for the retrieval of the original data.

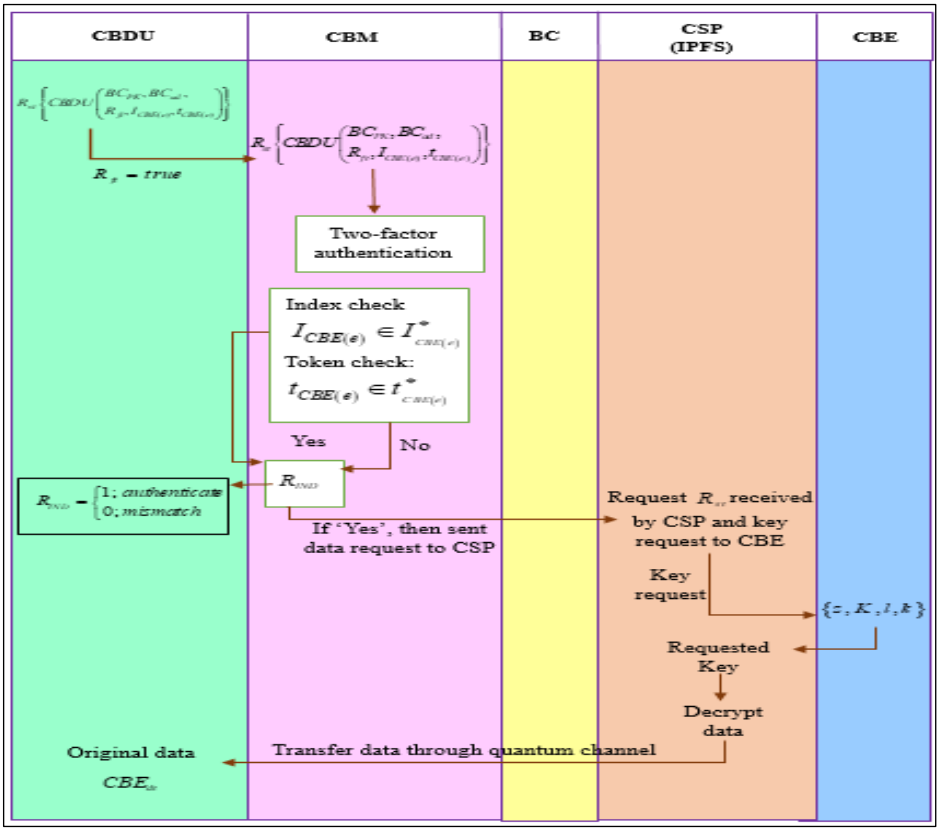


Figure 5: Schematic diagram of the decryption process and the original data transfer.
Source: Authors, (2026).

IV. COMPARATIVE METHODS

The blockchain-based IECC-QKD framework is compared against other established data security and access control methods like CP-ABE [14], Fabric-ABAC [19], BCAC [21], BPADAC [17], BPDAC [15], AccessChain [17], and the ISSO-Based PF-MLP [16] considering the 50,100,150,200, and 250 users respectively.

IV.1 COMPARATIVE ANALYSIS

Figure 6. illustrates the comparison of evaluation analysed against other established methods across different users. The aforementioned metrics are derived as a standard to measure the effectiveness of the model. The encryption time necessitated by the IECC-QKD for encrypting the data of the 250 users is 2.41s which is far better with gaining margins of 0.78s by CP-ABE, 0.60s by Fabric-ABAC, 0.52s by BCAC, 0.47s by BPADAC, 0.38s by BPDAC, 0.37s by AccessChain, and 0.25s by the ISSO-Based PF-MLP. Similarly, for decrypting the data the IECC-QKD requires very less time of 1.55s, that is shorter in terms of decryption time of other methods over 1.63s of CP-ABE, 1.53s of Fabric-ABAC, 1.41s of BCAC, 1.28s of BPADAC, 1.20s of BPDAC, 0.74s of AccessChain, and 0.50s of ISSO-Based PF-MLP.

The transaction time needed for the proposed framework for the exchange of data is 5.42s which outperforms other models like CP-ABE, Fabric-ABAC, BCAC, BPADAC, BPDAC, AccessChain, and the ISSO-Based PF-MLP with the ranges of 4.58s, 1.98s, 1.66s, 1.52s, 1.28s, 1.25s, and the 1.13s. The privacy ratio achieved by the IECC-QKD for maintaining the authentication and secure transfer is 0.74 which is longer when compared to 0.50 of CP-ABE, 0.52 of Fabric-ABAC, 0.52 of BCAC, 0.54 of BPADAC, 0.58 of BPDAC, 0.62 of AccessChain, and 0.65 of ISSO-Based PF-MLP. The proposed framework attained a responsiveness of 8.50s, which is reduced when compared with other baseline methods achieving a time difference of 2.63s, 1.94s, 1.91s, 1.90s, 1.61s, 1.47s, and 1.31s over CP-ABE, Fabric-ABAC, BCAC, BPADAC, BPDAC, AccessChain, and the ISSO-Based PF-MLP.

Finally, for the memory usage metric, the energy consumed by the proposed IECC-QKD is 430.88 KB, which is minimized by attaining a difference of CP-ABE with 59.62KB, Fabric-ABAC with 55.04KB, BCAC with 53.10KB, BPADAC with 49.07KB, BPDAC with 32.66KB, AccessChain with 29.49KB, and the ISSO-Based PF-MLP with 13.98KB, respectively.

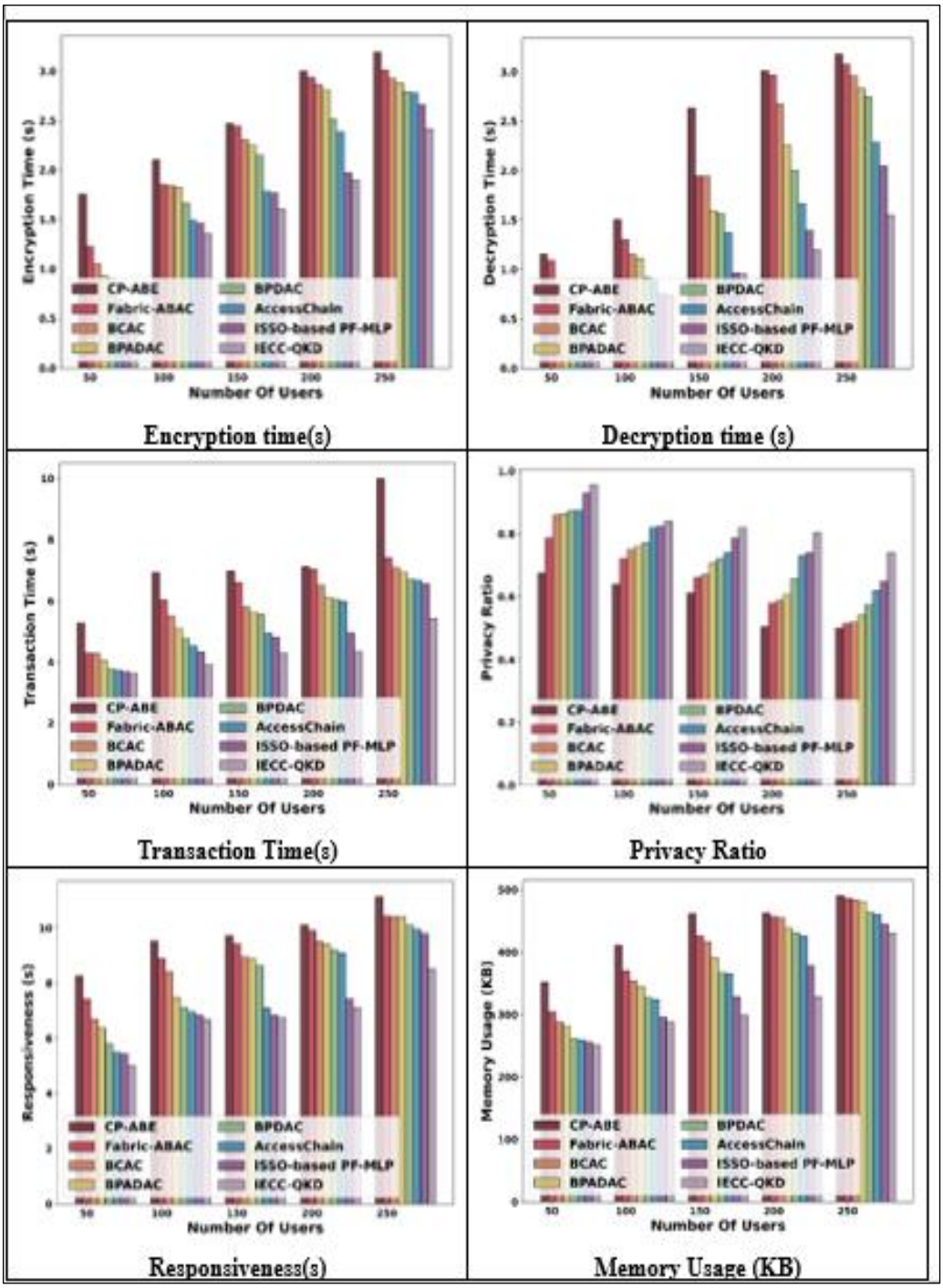


Figure 6: Comparison of IECC-QK performance with existing approaches.
Source: Authors, (2026).

IV.2 STATISTICAL ANALYSIS

The statistical analysis for the IECC-QKD-based framework is evaluated by analysing both the curves with existing methods. The aforementioned metrics are utilized and the best, mean and variance are measured to highlight the overall efficiency of the proposed framework.

IV.3 STATISTICAL RESULTS BASED ON THE CURVE ANALYSIS

The curve analysis-based statistical results demonstrate the IECC-QKD-based model's efficacy over the elliptic curve variants like secp192r1-IECC-QKD, secp224r1-IECC-QKD, brainpoolP256r1-IECC-QKD, and brainpoolP224r1-IECC-QKD. Table 1. outlines the outcomes of the proposed frameworks when analysed with different curves of IECC.

Table 1: Statistical Analysis based on the Curves.

	Curves / Metrics	secp192r1 IECC-QKD	secp224r1 IECC-QKD	brainpoolP256r1 IECC-QKD	brainpoolP224r1 IECC-QKD	Proposed IECC-QKD
Best	Encryption time (s)	3.08	2.91	2.76	2.75	2.41
	Decryption time (s)	3.19	3.00	2.86	2.44	1.55
	Transaction time (s)	10.00	6.85	6.64	6.57	5.42
	Privacy Ratio	0.76	0.85	0.88	0.94	0.96
	Responsiveness (s)	10.63	9.93	9.90	9.82	8.50
	Memory Usage (KB)	496.50	478.94	454.41	439.74	430.88
Mean	Encryption time (s)	2.41	2.21	2.03	1.78	1.57
	Decryption time (s)	2.43	1.94	1.74	1.38	1.01
	Transaction time (s)	6.99	5.35	5.16	5.05	4.33
	Privacy Ratio	0.64	0.70	0.74	0.79	0.83
	Responsiveness (s)	9.40	8.53	8.22	7.88	6.81
	Memory Usage (KB)	417.25	393.67	377.51	353.47	319.69
Variance	Encryption time (s)	0.36	0.45	0.60	0.60	0.38
	Decryption time (s)	0.39	0.50	0.54	0.34	0.11
	Transaction time (s)	2.55	1.39	1.13	1.16	0.37
	Privacy Ratio	0.006	0.011	0.008	0.007	0.005
	Responsiveness (s)	1.27	1.05	1.25	1.44	1.25
	Memory Usage (KB)	4461.77	4652.44	4480.54	3567.66	3713.75

Source: Authors, (2026).

IV.4 STATISTICAL ANALYSIS BASED ON COMPARING METHODS

Table 2. refers to the outcomes achieved by the IECC-QKD-based framework against other conventional data authentication and access control approaches. The statistical results of the proposed method show that the model achieves profound results in terms of security and efficiency.

Table 2: Statistical Analysis based on the Curves.

	Methods / Metrics	CP-ABE	Fabric-ABAC	BCAC	BPDA-C	BPDA-C	Access Chain	ISSO-Based PF-MLP	Proposed IECC-QKD
Best	Encryption time (s)	3.19	3.01	2.93	2.88	2.79	2.78	2.66	2.41
	Decryption time (s)	3.18	3.08	2.96	2.83	2.75	2.29	2.05	1.55
	Transaction time (s)	10.00	7.40	7.09	6.95	6.70	6.68	6.55	5.42
	Privacy Ratio	0.68	0.79	0.86	0.86	0.87	0.88	0.93	0.96
	Responsiveness (s)	11.13	10.44	10.41	10.40	10.11	9.97	9.81	8.50
	Memory Usage (KB)	490.50	485.92	483.98	479.95	463.54	460.37	444.86	430.88
Mean	Encryption time (s)	2.51	2.29	2.20	2.14	2.00	1.83	1.70	1.57
	Decryption time (s)	2.30	2.08	1.92	1.70	1.59	1.38	1.16	1.01
	Transaction time (s)	7.26	6.27	5.84	5.56	5.38	5.17	4.86	4.33
	Privacy Ratio	0.59	0.65	0.68	0.70	0.72	0.76	0.79	0.83
	Responsiveness (s)	9.75	9.22	8.79	8.51	8.18	7.72	7.27	6.81
	Memory Usage (KB)	435.63	408.58	399.32	387.02	369.87	366.98	340.55	319.69
Variance	Encryption time (s)	0.29	0.46	0.49	0.52	0.45	0.53	0.43	0.38
	Decryption time (s)	0.67	0.68	0.68	0.58	0.54	0.33	0.27	0.11
	Transaction time (s)	2.34	1.17	0.91	0.95	1.03	1.09	0.91	0.37
	Privacy Ratio	0.005	0.009	0.014	0.013	0.010	0.008	0.009	0.005
	Responsiveness (s)	0.86	1.09	1.55	2.03	2.34	2.58	2.03	1.25
	Memory Usage (KB)	4202.07	4174.36	4979.95	4887.96	5236.39	5121.51	4323.16	3713.75

Source: Authors, (2026).

IV.5 COMPARATIVE DISCUSSION

For the secured transmission of data and for ensuring effective access controls [2], several approaches have been implemented with each possessing their merits and also complications. The CP-ABE [14] uses attributes for secure access control but lacks scalability and efficiency with the protection of IoT data. However [27], with the instinct of deploying different mechanisms the Fabric-ABAC [19] has been developed, however, it produced better results in terms of secure data access but failed to allow the system for data sharing in cross-domain. The BPADAC [17] and BPDAC [15] frameworks designed based on blockchain networks enhanced the usage of decentralized systems for storage and transparency, still, the blockchain frameworks did not ensure the privacy concerns by determining the techniques of cryptography. The AccessChain [17] framework based on the ABE addressed the privacy-related consequences of accessing data but comprised their performance on the time constraints, latency, and maintenance of ledgers.

The ISSO-based PF-MLP [16] introduces optimization strategies for generating random numbers for secret keys, that increase the safeguarding of data, however, the framework faces issues with the encryption, leading to threats. The proposed IECC-QKD-based framework strives to overcome these challenges by improving the existing ECC encryption, along with the utilization of QKD that restricts the intruders with quantum-resistant and tamper-proofing sensitive data. The improved curve and the multiple randomness in the framework ensure secured transmission and boost data security. The overall IEC-QKD-based blockchain framework provides a robust, secure, and future-proof solution for data exchange and storage. Table 3. represents the outcomes obtained by the IECC-QKD framework when compared with other established approaches.

Table 3: Comparative discussion table of the IECC-QKD.

	Methods / Metrics	CP-ABE	Fabric-ABAC	BCAC	BPADAC	BPDAC	Access Chain	ISSO-Based PF-MLP	Proposed IECC-QKD
For 250 Users	**Encryption time (s)**	3.19	3.01	2.93	2.88	2.79	2.78	2.66	**2.41**
	Decryption time (s)	3.18	3.08	2.96	2.83	2.75	2.29	2.05	**1.55**
	Transaction time (s)	10.00	7.40	7.09	6.95	6.70	6.68	6.55	**5.42**
	Privacy Ratio	0.50	0.52	0.52	0.54	0.58	0.62	0.65	**0.74**
	Response time (s)	11.13	10.44	10.41	10.40	10.11	9.97	9.81	**8.50**
	Memory Usage (KB)	490.50	485.92	483.98	479.95	463.54	460.37	444.86	**430.88**

Source: Authors, (2026).

V. CONCLUSION

The increasing dependence on cloud servers for data storage has escalated demands for enhanced control and autonomous management of personal data access. Existing static access control models are inadequate for addressing these evolving dynamic requirements. To mitigate these concerns, this study proposes a framework that integrates Improved Elliptic Curve Cryptography-based Quantum Key Distribution (IECC-QKD) with blockchain technology to fortify data storage and access control in cloud systems. The IECC mechanism employed in the framework generates cryptographic keys utilizing multiple sources of randomness and leverages Edwards's curves to prevent spam transaction attacks while strengthening security. Compared to conventional cryptographic methods, IECC achieves superior security guarantees with smaller key sizes.

Coupled with QKD, this approach offers quantum-resistant protection. Furthermore, modifications to the Ethereum blockchain consensus protocol ensure immutable and tamper-resistant data storage, thereby safeguarding against unauthorized access. Performance evaluations conducted with user groups of 50, 100, 150, 200, and 250 demonstrate that the proposed framework attains an encryption time of 2.41 seconds, decryption time of 1.55 seconds, transaction time of 5.42 seconds, privacy ratio of 0.74, responsiveness of 8.50 seconds, and memory consumption of 430.88 KB for 250 users. Nevertheless, realizing the full potential of this integrated solution necessitates addressing challenges such as the requirement for specialized quantum hardware, complexity in system integration, limitations in key generation rates, and the current absence of standardized protocols in future research efforts [13].

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Akshay Agrawal and Dr. Rahul Thour.
Methodology: Akshay Agrawal.
Investigation: Akshay Agrawal.
Discussion of results: Akshay Agrawal and Dr. Rahul Thour.
Writing – Original Draft: Akshay Agrawal.
Writing – Review and Editing: Akshay Agrawal.
Resources: Akshay Agrawal and Dr. Rahul Thour.
Supervision: Dr. Rahul Thour
Approval of the final text: Dr. Rahul Thour.

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RESEARCH ARTICLE OPEN ACCESS

DEEP LEARNING APPLICATIONS IN AGRICULTURE AND RURAL DEVELOPMENT: TOWARD SMARTER, MORE SUSTAINABLE FOOD SYSTEMS

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ABSTRACT

The rapid evolution of deep learning (DL) has profoundly reshaped various activities such as computer vision, natural language processing, and autonomous driving. Agriculture, a typical labor-intensive and risky industry for traditional countries, is also experiencing an innovation by the incorporation of DL technologies that can process high-dimensional multi-source data to support decision-making. This paper discusses the current status research of DL technologies in agriculture and its potential impacts in the context of rural development. We will study the role of various models such as convolutional neural networks (CNNs), recurrent neural networks (RNNs) and hybrid transformer-based architectures in the context of crop monitoring & field monitoring, disease detection, yield prediction, irrigation management, and agricultural robotics. This paper brings attention to the fact that besides laboratory use, innovations in rural peoples' end-users of Artificial Intelligence (AI) created from DL yield livelihood dividends through increased productivity, lower risk and more sustainable resource management. But a host of challenges, from lack of data and infrastructure to ethical and institutional barriers, still stand in the way of widespread use of these tools in resource-poor settings. The article ends by discussing key research and policy considerations to narrow the divide between tech potential and practical impact, underscoring inclusive, transparent and participatory pathways of digital agriculture.

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I. INTRODUCTION

Global agriculture is at the intersection of two powerful trends: the pressing need for more food to feed a growing population of nearly ten billion people by 2050, and the intensifying spread of digital and AI technologies that have potential to change how food systems operate. The increasing competition for land, water and climate resources calls for new technologies which can help to increase productivity and at the same time guarantee ecological and social sustainability. In this framework, DL a branch of AI that can capture hierarchical features from high-dimensional data has been one of the most disruptive technologies in recent agricultural science [1].

Contrary to traditional statistical or rule-based methods, DL can handle unstructured multilevel data, like satellite pictures, drone videos, soil sensors and text records related with agriculture activities without laborious manual preprocessing. Feature learning from raw data has thus led to the adoption of DL as a major enabler in precision agriculture, providing farmers with unmatched monitoring, prediction and optimization tools for agricultural activities. Ever since the seminal work by LeCun, Bengio, and Hinton (2015) verified DL's capability of outperforming classical models in image and sequence recognition task, researchers have embraced it for diverse agricultural applications be it disease diagnosis or yield prediction; irrigation scheduling to autonomous robots [2], [3]. DL in agriculture decision-making system has technical significance and great developmental value.

By incorporating the monitoring and support of artificial intelligence in agriculture, efficiency is expected to increase, waste decreases and climate change impacts be tempered through site-specific management and prompt action. Studies by the Food and Agriculture Organization (FAO) as well as the World Bank state that precision agriculture, correctly applied in combination with digital infrastructures and knowledge transfer programs could raise productivity and resource use efficiency between 20 to 30 % in the low to medium income countries [4], [5].However, despite these potentialities, adoption is dramatically uneven. However, as large, commercial farms in developed nations tinker with DL-driven robotics and satellite imagery systems, smallholders (who by some estimates generate 80% of food in the developing world) confront blocks that range from Internet penetration to access to capital; data scarcity and expertise are obstructive there as well [6]. This discrepancy, if continued, means that we will see further spread of the digital divide reflecting the already existing inequality.

As Carolan (2022, 2023) suggests, unless underpinned by participatory governance and fair data policy, agricultural digitization has the potential to consolidate centralized power and knowledge asymmetries policies [7], [8]. Smallholder farmers often lack control over the data they generate, while private technology firms increasingly dominate digital platforms and cloud infrastructures. Ethical and legal concerns regarding data ownership, algorithmic bias, and transparency are therefore essential dimensions of the debate on DL in agriculture. Beyond performance metrics, questions of accountability, inclusion, and value sharing determine whether AI innovations contribute to rural empowerment or exacerbate marginalization. For this reason, a holistic analysis of DL adoption in agriculture should integrate technical innovation with developmental context. This article aims to synthesize existing literature on the architectures, applications and implications of DL for rural development. It has three guiding goals:

1. To assess the major DL models and methodologies for agricultural modeling;
2. To evaluate the main application areas, including crop monitoring, pest and disease detection, yield prediction, irrigation management, and agricultural robotics.
3. To evaluate how DL can contribute to sustainable rural transformation while addressing the infrastructural, ethical, and institutional barriers to equitable adoption.

The article proceeds as follows: Section 2 details the methodological and technical foundations of DL; Section 3 examines major application areas; Section 4 discusses contributions to rural development; and Sections 5 through 7 present barriers, policy recommendations, and conclusions. By integrating insights from computer science, agronomy, and development economics, this paper argues that DL is not merely a technological advancement but a potential lever for inclusive, knowledge-intensive, and sustainable agriculture.

II. METHODS AND TECHNICAL FOUNDATIONS

DL systems have become the analytical backbone of digital agriculture because they can model the complex, nonlinear relationships that characterize biological and environmental data. Unlike traditional statistical methods, which rely on predefined equations and engineered features, DL automatically extracts hierarchical representations from raw inputs such as satellite imagery, drone data, or IoT sensor readings. This ability to fuse heterogeneous information sources makes it particularly suited for agricultural applications where spatial, temporal, and contextual dependencies coexist across multiple scales from plant physiology to landscape ecology [9].

II.1 CORE DEEP LEARNING ARCHITECTURES

CNNs remain the most widely adopted architecture for visual perception tasks in agriculture. CNNs learn spatial hierarchies of features, making them ideal for image-based applications such as crop classification, weed detection, and disease diagnosis. Mohantyet al. demonstrated that CNNs trained on over 50 000 leaf images could classify 26 plant diseases with over 99 percent accuracy, marking a turning point in the use of DL for plant pathology [10]. Subsequent advances ResNet, VGGNet, and EfficientNet improved field robustness by incorporating skip connections and normalization strategies that stabilize gradients during training [11].For modeling sequential data, Recurrent Neural Networks (RNNs) and especially Long Short-Term Memory (LSTM) units capture temporal dependencies such as crop growth dynamics or rainfall patterns. Khaki et al. combined CNNs with LSTMs to integrate multispectral satellite imagery and weather sequences, producing accurate yield forecasts across U.S. corn-belt regions [12]. More recently, Transformer architectures have shown strong potential for multi-modal agricultural data fusion. By employing self-attention mechanisms, transformers can model long-range dependencies between spatial and temporal features, outperforming recurrent networks in crop-type mapping and vegetation monitoring tasks [13].

II.2 TRAINING, DATA LIMITATIONS, AND TRANSFER LEARNING

The primary bottleneck in agriculture is obtaining annotative data, which are rare, expensive, and regional. To mitigate this, scientists use transfer learning by fine-tuning networks pretrained on commonly large generic datasets (e.g., ImageNet) using agricultural images. By [14] showed that transfer learning boosted fruit-detection accuracy while drastically reducing training time and data requirements.

Another critical strategy is data augmentation, which synthetically increases dataset diversity through geometric transformations or generative models. In turn [15] demonstrated that augmentation via Generative Adversarial Networks (GANs) improved robustness to lighting and angle variation in crop-disease classification. Together, these techniques mitigate overfitting and enable cross-regional model portability, an essential property for global agricultural deployment.

II.3 EDGE COMPUTING AND DEPLOYMENT EFFICIENCY

Because many farms operate in bandwidth-constrained environments, deploying DL models efficiently is a practical priority. Edge computing moves computation closer to the data source on drones, smartphones, or field sensors reducing latency and dependency on cloud connectivity [16]. Techniques such as model pruning and quantization compress networks while maintaining accuracy. Nguyen and Do (2024) emphasize that edge-optimized DL architectures can lower energy consumption by up to 40 percent compared with standard models [17]. Xu et al. demonstrated that lightweight CNNs embedded in IoT devices achieved real-time pest detection with inference speeds under 200 milliseconds, validating the feasibility of field-level AI [18].

II.4 EXPLAINABILITY AND ETHICAL GOVERNANCE

As DL predictions increasingly guide high-stakes agricultural decisions such as disease treatment or irrigation scheduling explainability and trustworthiness become essential. Explainable AI (XAI) tools like Grad-CAM and SHAP visualize how input features influence predictions, allowing agronomists to interpret model reasoning. Cruz, Oliveira, and Gonçalves (2023) argue that interpretability directly enhances user trust, particularly when paired with participatory model validation involving farmers [19]. Beyond transparency, ethical governance frameworks must safeguard data privacy and accountability. The European Commission's (2019) Ethics Guidelines for Trustworthy AI remain a benchmark, emphasizing human oversight, fairness, and societal benefit as prerequisites for sustainable agricultural digitization [20].

II.5 EMERGING TRENDS

Frontier research explores hybrid systems that combine DL with reinforcement learning (RL) for autonomous irrigation control, or integrate federated learning to enable collaborative model training without centralized data sharing. Such frameworks hold promise for privacy-preserving, adaptive agricultural intelligence that learns locally while contributing globally. Continued progress will depend on interdisciplinary collaboration between computer scientists, agronomists, and rural institutions to ensure that algorithmic innovation translates into tangible field-level value.

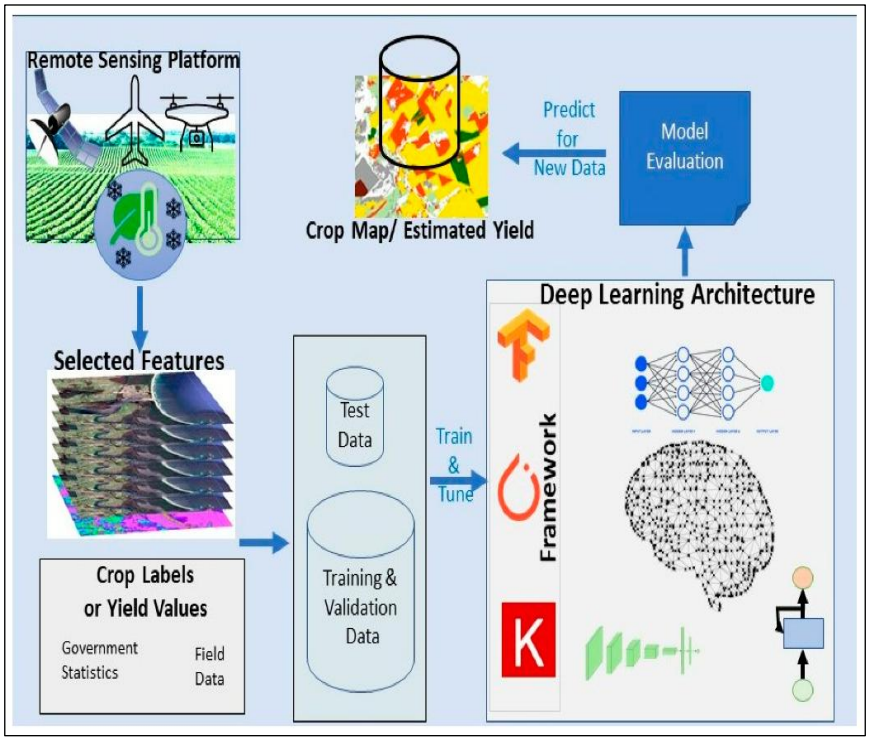


Figure 1: Overview of Deep-Learning Architectures in Agricultural Modeling.
Source: Adapted from [11] and [12].

III. MAJOR APPLICATION AREAS

Deep learning (DL) has progressed from proof-of-concepts to operational tools across several agricultural domains where data are abundant and decisions are high-stakes. Five application areas have matured fastest: (i) crop and field monitoring using satellite and UAV data; (ii) disease and pest detection from close-range imagery; (iii) yield prediction and market-relevant forecasting; (iv) irrigation and water-use optimization; and (v) agricultural robotics and precision operations.

In each domain, DL succeeds by aligning model capacity with data granularity and task structure CNNs for spatial perception, recurrent and transformer models for temporal or multi-modal fusion, and hybrid pipelines that translate perception into management-ready outputs. Across studies, three cross-cutting lessons recur: first, models generalize best when trained on multi-site datasets that reflect real agro-ecological variability; second, transfer learning and augmentation are pivotal to overcome labeling constraints; and third, real-world impact depends on deployment choices (edge vs. cloud), interpretability, and integration with extension services and farm workflows [11].

III.1 CROP AND FIELD MONITORING (REMOTE SENSING + DL)

Remote sensing provides the spatial and temporal coverage needed to monitor crops at scale, and DL has become the default engine for extracting agronomic signals from image time series. Early work established that deep networks can learn crop/land-cover classes directly from stacked multi-spectral inputs and temporal profiles, outperforming classical classifiers such as random forests and SVMs [21].More recent pipelines exploit temporal convolutions and attention to encode phenological dynamics, enabling robust crop-type mapping, stress scouting, and field-scale phenology estimation from Sentinel-2/Landsat sequences as well as UAV mosaics [22]. Importantly, these representations support downstream products biomass maps, growth-stage indicators, and anomaly flags that can be consumed by decision systems for fertilizer timing, harvest planning, or early warning. While data availability has expanded dramatically, two practical constraints persist: label scarcity (particularly outside well-studied regions) and domain shift (differences in sensors, atmospherics, and management). Studies show that transfer learning across regions and careful temporal modeling are essential for stability, and that open benchmarks (with standardized splits and protocols) accelerate reproducible progress [21], [22].

III.2 PLANT DISEASE AND PEST DETECTION

Image-based plant health diagnostics remain among the most mature DL applications. Leaf- and canopy-level classifiers using CNN backbones (e.g., ResNet, EfficientNet) routinely achieve high accuracy on curated datasets, and segmentation/detection models (U-Net, Mask R-CNN, YOLO variants) localize lesions for targeted treatment [23], [24]. This progress matters economically: earlier and more precise detection reduces yield loss and unnecessary pesticide use. Yet, translating laboratory accuracy into the field requires tackling illumination changes, occlusions, and background clutter. Systematic evaluations show that performance often degrades in the wild; robust deployment therefore depends on domain adaptation, careful data augmentation (including GAN-based synthesis to balance classes), and, increasingly, on-device inference to provide timely guidance during scouting [25], [24]. Rigorous error analysis confusion between visually similar symptoms, sensitivity to leaf orientation, and generalization across cultivars remains central to responsible use.

III.3 YIELD PREDICTION AND MARKET-RELEVANT FORECASTING

Yield forecasting is a canonical spatio-temporal learning problem where DL provides earlier and more precise estimates than traditional regressions by fusing imagery, weather, soil, and management data. Pioneering work combined deep kernels and Gaussian processes with remote-sensing time series to map yield before harvest, demonstrating the value of non-linear, hierarchical representations [26]. Subsequent studies have shown that CNN/LSTM or temporal-convolutional architectures trained on multi-year, multi-county datasets can generalize across seasons and geographies when regularized appropriately and supplied with phenology-aware inputs [27]. UAV hyperspectral pipelines complement satellite approaches by resolving within-field variability and canopy traits that correlate tightly with yield in high-value crops, pointing to hybrid satellites-plus-UAV designs for multi-scale prediction [28]. For market actors and public agencies, the operational value lies in earlier risk signals for procurement, logistics, and social protection, provided uncertainty is quantified and models are validated out-of-sample (e.g., strict forward-year testing rather than random splits).

III.4 IRRIGATION AND WATER-USE OPTIMIZATION

Water management is both a biophysical and an algorithmic problem: crops respond non-linearly to timing and volume, and constraints on energy and infrastructure shape feasible decisions. DL contributes along two axes. First, sequence models (e.g., LSTM) forecast evapotranspiration, soil moisture, or short-term water demand from meteorological and sensor streams; second, control-oriented frameworks embed these forecasts in optimization or reinforcement learning loops that recommend schedules. Controlled studies show that deep reinforcement learning (DRL) can reduce applied water while maintaining yields, especially when coupled with accurate soil-moisture sensing and realistic state constraints [29]. In practice, gains depend on reliable sensors, edge-capable inference (to act within irrigation windows), and guardrails that keep policies within agronomic bounds. When designed with farmers and irrigation operators, such systems can shift management from fixed calendars to responsive decisions tied to plant and weather state estimates.

III.5 AGRICULTURAL ROBOTICS AND PRECISION OPERATIONS

DL-enabled perception underpins navigation, grasping, and selective interventions in orchards and fields. Fruit-detection systems using CNNs (and more recently transformers) drive robotic harvesting prototypes, while semantic segmentation enables machine vision for weed control and precision spraying [30], [31]. Surveys and field reports highlight steady progress in detection accuracy and cycle times, but also underscore practical hurdles: variability in canopy geometry, occlusion and lighting, compliance with food-safety standards, and total cost of ownership. Adoption is likeliest where value density is high (specialty crops), labor is scarce, and operations are structured (greenhouses). For open-field row crops, perception-guided implements that augment (rather than replace) conventional machinery have seen earlier traction. Across subdomains, the arc from lab demos to commercial reliability has been steepest when teams co-design with growers, collect multi-season datasets, and prioritize maintainability and safety. Table 1 summarizes the principal deep learning applications in agriculture, highlighting their data sources, methodological approaches, and key outcomes reported across the literature.

Table 1: Summary of Deep Learning Applications in Agriculture.

Application Domain	Data Sources	DL Techniques	Main Outcomes / Impact	Key References
Crop and Land Classification	Satellite imagery (Sentinel, Landsat), UAV multispectral data	CNNs, Transformers, Temporal Convolutional Networks (TCN)	Accurate crop type mapping; land use monitoring; yield zone prediction.	[21]; [22].
Plant Disease and Pest Detection	Smartphone and field images, hyperspectral imaging	CNNs (ResNet, VGG), GANs for augmentation, Transfer Learning	Early detection of diseases and pests; improved extension services.	[10]; [24]
Yield Prediction and Crop Modeling	Remote sensing, climate, and soil data	CNN–RNN hybrids, LSTM, Deep Gaussian Processes	High-accuracy yield forecasts; optimization of fertilizer and irrigation.	[27] [26]
Precision Irrigation and Resource Management	IoT soil sensors, UAV infrared imagery	Deep Reinforcement Learning (DRL), Autoencoders	Dynamic irrigation scheduling; improved water and energy efficiency.	[29], [32]
Agricultural Robotics and Automation	Visual and depth sensors, 3D LiDAR	CNNs for perception, Object Detection (YOLO, Mask R-CNN)	Automated harvesting, weeding, spraying; labor cost reduction.	[30]; [33]
Food Quality and Supply-Chain Monitoring	Optical grading, hyperspectral imaging, logistics data	CNNs, Autoencoders, Explainable AI (XAI)	Automated quality control; traceability; fraud detection.	[34]; [35]
Climate and Environmental Risk Assessment	Remote sensing, climate models, soil moisture data	LSTM, CNN–LSTM, Hybrid Deep Ensembles	Drought prediction; pest risk early warning; resilience planning.	[28]; [36]

Source: Author's compilation based on peer-reviewed studies and institutional reports [37]; [38]; [39]

As shown in Table 1, computer vision and remote sensing remain dominant domains, while reinforcement learning and multimodal fusion are emerging as frontier areas in precision agriculture.

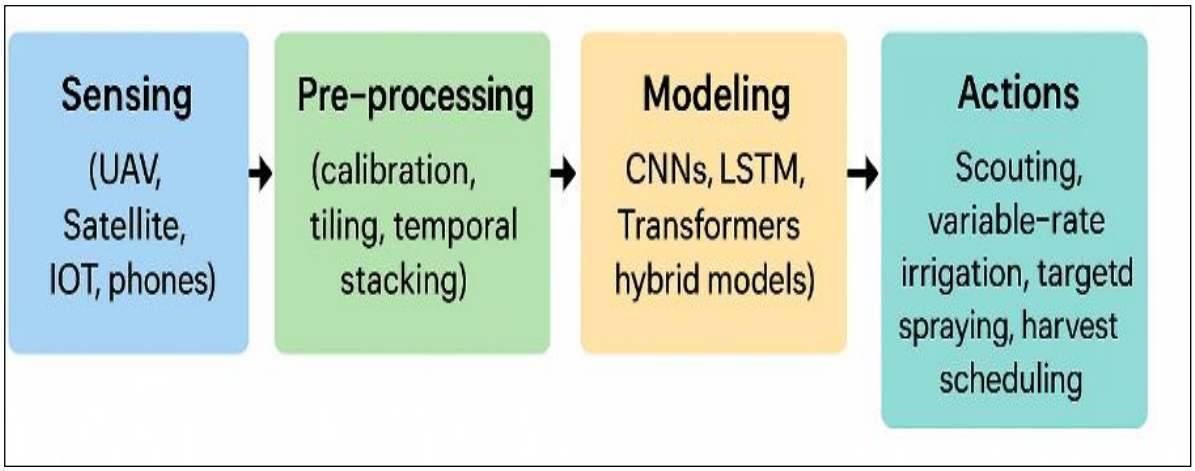


Figure 2: From Data to Decisions Across Five DL Application Areas.
Source: Conceptual synthesis based on [11], [21], [22]

IV. CONTRIBUTIONS TO RURAL DEVELOPMENT

While deep learning (DL) technologies have transformed agricultural analytics, their greatest potential lies in advancing rural development strengthening the livelihoods, resilience, and capacities of smallholder farmers who form the backbone of global food systems. The diffusion of DL-driven tools in rural contexts is not merely a technological shift but a socio-economic one, influencing productivity, labor structures, environmental sustainability, and access to knowledge [37].

IV.1 PRODUCTIVITY, RESOURCE EFFICIENCY, AND RESILIENCE

DL applications improve productivity and resource efficiency by enabling precise, data-driven decisions that minimize waste and enhance resilience to climate shocks. Field studies show that precision agriculture systems powered by AI can reduce fertilizer use by 20–30% and water consumption by up to 25%, without sacrificing yields [36]. This is crucial in countries where agriculture depends on rain-fed systems and where drought frequency is increasing.

By integrating satellite monitoring, soil sensors, and predictive models, DL supports adaptive management, allowing farmers to anticipate crop stress, optimize irrigation schedules, and allocate inputs efficiently [32]. Moreover, DL contributes to climate adaptation through early warning systems that detect pests, diseases, and weather anomalies. These systems can integrate real-time image data with meteorological inputs, enabling timely responses that prevent major losses [40]. A case study in East Africa found that AI-based locust monitoring combined with community reporting reduced outbreak response time by over 40% [41]. In this way, DL strengthens both farm-level resilience and institutional preparedness, bridging technology with extension and disaster-risk systems.

IV.2 KNOWLEDGE, DIGITAL INCLUSION, AND HUMAN CAPITAL

The transformative potential of DL depends on access not only to technology but also to digital skills and inclusive governance. Smallholder farmers often operate in data-poor environments, with limited literacy and connectivity [6]. However, DL-powered advisory platforms, when paired with mobile interfaces and voice assistants in local languages, can democratize agronomic knowledge. Initiatives such as *Digital Green* and *PlantVillage Nuru* show that AI-assisted extension can complement traditional services, reaching marginalized farmers at scale [42]. Nevertheless, digital inclusion requires targeted capacity building. Studies from the International Telecommunication Union (ITU) and FAO emphasize that training programs in digital literacy and AI interpretation must accompany the deployment of DL tools [43]. Without such measures, the benefits of technological progress may bypass vulnerable groups, reinforcing the rural digital divide. Gender disparities are especially pronounced: fewer than 25% of women farmers in Sub-Saharan Africa have access to mobile internet, and even fewer participate in digital agriculture platforms [34]. Addressing these inequalities requires both infrastructure investment and social inclusion policies that place human capability at the core of agricultural digitalization.

IV.3 MARKET ACCESS, VALUE CHAINS, AND RURAL ENTERPRISES

Beyond productivity gains, DL contributes to inclusive value chain integration by enhancing transparency, traceability, and access to markets. AI-based systems can classify produce quality, forecast market prices, and connect farmers directly with buyers through digital platforms. This reduces transaction costs and post-harvest losses while increasing bargaining power [44]. For example, machine vision models deployed in India and Kenya have enabled digital grading of horticultural crops, cutting inspection times by 80% and reducing dependence on intermediaries [5]. At the enterprise level, DL facilitates rural entrepreneurship in agro-tech startups, data services, and digital cooperatives. The World Bank's *Digital Agriculture Report* (2021) notes that AI and DL create new types of rural employment from drone operators and field data collectors to local "AI interpreters" who mediate between farmers and algorithms [45]. These developments can stimulate rural economies if accompanied by appropriate financial instruments and open data ecosystems that prevent monopolization by large technology providers.

IV.4 ETHICAL, INSTITUTIONAL, AND GOVERNANCE DIMENSIONS

The adoption of DL in rural development raises critical ethical and governance questions. Data generated by farmers often become valuable assets for corporations or governments, prompting concerns about ownership, consent, and fair value sharing. The FAO (2022) and UNCTAD (2021) highlight the risk that unregulated data extraction may reproduce historical inequities in agricultural trade and technology diffusion [46]. Transparent data governance frameworks and open-source AI models are therefore essential for ensuring that the benefits of DL remain public goods. In addition, algorithmic bias and opacity can marginalize certain user groups or ecological conditions if training data are unrepresentative [47]. As Carolan (2023) argues, technological systems are never neutral: they embody the assumptions and power relations of their creators [8]. To make DL a true driver of rural development, participatory innovation models involving farmers, cooperatives, local universities, and policymakers must replace top-down technology transfers. This aligns with the European Commission's *Trustworthy AI* framework (2019), which places human oversight, transparency, and accountability at the center of AI ethics [20].

IV.5 A PATH TOWARD INCLUSIVE DIGITAL TRANSFORMATION

DL can act as a catalyst for inclusive growth if accompanied by enabling institutions and policies. Investment in digital infrastructure (connectivity, cloud access), farmer-centered data governance, and local innovation ecosystems can amplify its developmental impact. The IFAD Rural Development Report (2021) identifies digital agriculture including DL as one of the four pillars of rural transformation, alongside financial inclusion, climate resilience, and institutional strengthening [6]. In this view, DL is not an end in itself but a means of empowerment: it enhances the agency of rural communities to manage risks, improve incomes, and participate in the knowledge economy.

V. BARRIERS AND CHALLENGES

DL is reshaping agricultural innovation worldwide, yet its integration into real-world rural systems faces persistent obstacles. These challenges technical, infrastructural, institutional, and ethical threaten to widen existing digital divides unless accompanied by inclusive governance and adaptive policy design [48].

V.1 DATA SCARCITY, QUALITY, AND BIAS

The accuracy and robustness of DL models hinge on the availability of large, high-quality, and representative datasets. However, agricultural data often remain fragmented, inconsistent, and geographically biased [49]. Most open datasets originate in industrialized settings with homogenous cropping systems, while data from smallholder regions marked by intercropping, variable field boundaries, and irregular management are sparse [24].

This creates *domain-shift* problems: when models trained on temperate-zone data are applied to tropical or arid systems, their predictive accuracy collapses [11]. Recent work by Barbedo (2019) and Liakos et al. (2018) shows that data imbalance not only reduces generalizability but can embed socio-spatial bias into automated decision tools [24]. Building equitable AI in agriculture therefore requires open, standardized, and regionally balanced data infrastructures supported by international partnerships and transparent metadata policies.

V.2 INFRASTRUCTURE AND CONNECTIVITY CONSTRAINTS

Rural areas face severe digital-infrastructure deficits. Broadband coverage, cloud access, and energy reliability are uneven across continents. According to the ITU (2022), fewer than 40 percent of rural households in Sub-Saharan Africa have stable mobile-internet connections [43].These gaps impede cloud-based inference and remote sensing pipelines essential for DL. Even when connectivity exists, high bandwidth costs and unstable electricity make continuous sensor data flows unsustainable. Edge-AI architectures can reduce latency and dependence on cloud computing, but they remain expensive [17]. Hardware costs for GPUs, drones, and precision sensors still exceed the budgets of most smallholders [50]. Moreover, the energy intensity of DL training raises environmental concerns. Strubell et al. (2019) estimated that training a single transformer-based model can emit up to 284 tons of CO_2-equivalent [35]. Developing lightweight, energy-efficient networks tailored to local devices is therefore both an ecological and an equity imperative.

V.3 HUMAN CAPITAL AND DIGITAL LITERACY

Technological innovation without human capacity limits transformation. Many agricultural research centers lack personnel who can combine agronomic knowledge with data-science skills [37]. In addition, farmers' limited digital literacy hampers adoption and trust. Participatory design approaches where farmers label images, interpret model outputs, and co-create local datasets significantly increase uptake [7]. Studies by Carolan (2022) and Wolfert et al. (2017) emphasize that social learning and user agency must accompany every deployment phase [51]. National extension systems can bridge these skill gaps if integrated with universities, vocational schools, and private agritech actors. Initiatives such as *PlantVillage Nuru* (FAO & Penn State, 2023) demonstrate that mobile-based DL tools become sustainable only when local youth are trained as digital intermediaries.

V.4 ETHICAL AND GOVERNANCE ISSUES

AI adoption in agriculture raises pressing concerns about data ownership, privacy, and algorithmic accountability. Farmers generate granular data images, soil metrics, purchasing logs but often lack control over how it is used. The FAO (2022) and Manning (2022) warn that opaque data-governance regimes risk reproducing historical asymmetries between technology providers and producers [52]. Responsible AI frameworks such as the *Ethics Guidelines for Trustworthy AI* of the European Commission (2019) and the Alan Turing Institute's *AI Ethics Report* (Leslie, 2019) advocate transparency, human oversight, and fairness. Yet local enforcement remains weak [47]. Recent empirical work by Omotayo et al. (2025) highlights the necessity of multi-stakeholder governance that includes farmers, civil-society actors, and regulators to ensure fair data-sharing agreements and ethical algorithm design.

V.5 INSTITUTIONAL FRAGMENTATION AND POLICY GAPS

DL deployment cuts across ministries agriculture, ICT, environment, and finance but coordination is often lacking [20]. The UNESCO (2023) *Global AI Readiness Report* shows that fewer than 20 percent of national AI strategies explicitly address agriculture [53]. This fragmentation leads to duplication of pilot projects, short funding cycles, and limited scalability. Regional initiatives, such as the African Union's Digital Transformation Strategy (2020–2030) and the World Bank's Digital Agriculture Program, stress that public–private partnerships (PPPs) can consolidate investments, but they require governance mechanisms to ensure inclusiveness and interoperability [38]. Coherent digital-agriculture policies must therefore align data infrastructure, education, and rural-finance frameworks under a unified vision.

V.6 SOCIO-ECONOMIC INEQUALITIES AND THE DIGITAL DIVIDE

The diffusion of DL reflects and sometimes amplifies existing social inequalities. Wealthier farmers, with access to credit and smartphones, adopt AI tools earlier, while marginalized groups especially women and youth lag behind [34]. The *GSMA Mobile Gender Gap Report (2023)* reveals that rural women in Africa are 19 percent less likely than men to use mobile internet [6]. Similarly, IFAD (2021) finds that smallholders with limited land and literacy benefit less from digital programs unless these are intentionally inclusive. To ensure that DL contributes to equitable rural development, policies must embed gender equity, affordability, and accessibility as design principles not afterthoughts. This includes targeted subsidies for connectivity, community-based data cooperatives, and localized AI training hubs.

VI. POLICY RECOMMENDATIONS

Translating the promise of deep learning (DL) into equitable and sustainable rural development requires coordinated policy frameworks that integrate digital innovation, human capacity, and social inclusion. Evidence shows that countries which link AI strategies to agricultural transformation achieve faster productivity growth, stronger resilience, and higher rural incomes [54]. The following recommendations synthesize lessons from recent research and international initiatives.

VI.1 INVEST IN DIGITAL AND DATA INFRASTRUCTURE

DL adoption depends on foundational digital infrastructure reliable broadband, cloud storage, computing capacity, and energy access [37]. The FAO (2022) and World Bank (2023) stress that closing rural connectivity gaps could add $180 billion annually to global GDP through enhanced agricultural efficiency [55].

Public–private partnerships (PPPs) are essential for mobilizing resources: national governments should incentivize telecom and agritech firms to expand 4G/5G networks and rural data centers through tax credits and concessional financing. Open Data policies are equally critical. The OECD (2023) recommends that agricultural ministries establish national data commons for agriculture secure repositories governed by public institutions, where anonymized data from sensors, drones, and markets are shared under transparent access rules [56]. Such commons can prevent data monopolization and stimulate innovation among local startups.

VI.2 STRENGTHEN HUMAN CAPITAL AND DIGITAL LITERACY

Technological innovation without capable people yields limited outcomes. Building digital agriculture competencies at all levels farmers, extension agents, and researchers is indispensable [53].UNESCO (2023) and IFAD (2021) recommend integrating AI, remote sensing, and data ethics into agricultural education curricula and vocational training programs [6]. Evidence from *Digital Green* and *PlantVillage* initiatives shows that farmer-to-farmer video learning combined with mobile AI advisory tools increases adoption and trust by over 40 % [57]. Governments and donors should therefore fund rural innovation labs local hubs where youth and farmers co-develop AI applications tailored to regional crops, languages, and climate conditions [58]. This approach fosters local ownership and reduces dependence on imported digital solutions.

VI.3 ENSURE ETHICAL AND INCLUSIVE AI GOVERNANCE

Strong data-governance and ethical frameworks are essential to protect farmers' rights and maintain public trust [20]. The European Commission's *Ethics Guidelines for Trustworthy AI* (2019) and the FAO (2022) *Ethical Stewardship for AI in Agriculture* framework both emphasize transparency, accountability, and fairness [59]. National strategies should mandate clear rules for consent, data portability, and equitable value-sharing when farmer-generated data are commercialized.

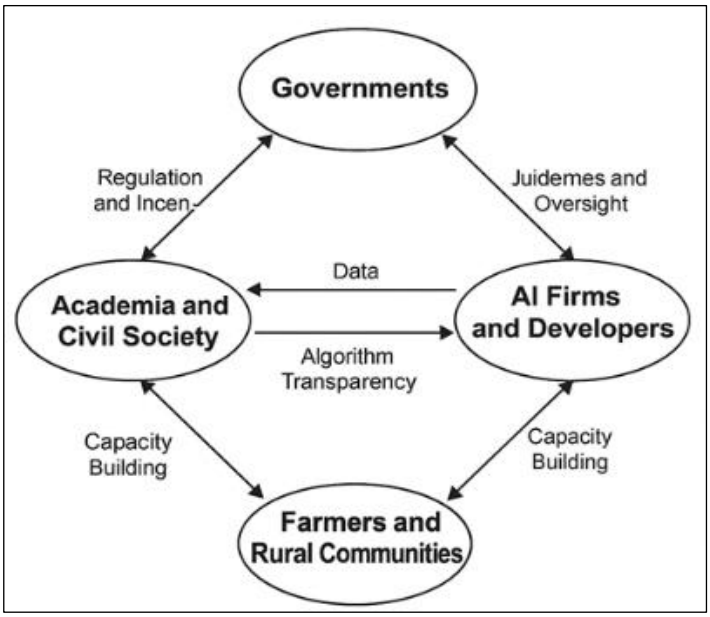


Figure 3: Ethical and Governance Framework for AI in Agriculture.
Source: Author's illustration based on [37] and [20].

As illustrated in Figure 3, ethical AI governance in agriculture depends on multi-level coordination between data producers, regulators, and civil society actors. To operationalize these norms, governments can establish multi-stakeholder data councils involving farmer cooperatives, civil-society groups, researchers, and technology providers [52]. These bodies would oversee certification of AI tools and auditing of algorithmic bias, ensuring that rural communities actively participate in governance rather than remain passive data suppliers.

VI.4 PROMOTE SUSTAINABILITY AND GREEN AI

As DL training becomes more energy-intensive, policymakers must integrate environmental sustainability into digital-agriculture strategies [35], [60] quantified the carbon cost of training large AI models, urging for "green AI" practices model compression, efficient hardware, and renewable-powered data canters. Governments and donors should prioritize funding for energy-efficient edge AI and climate-smart analytics that reduce input use while minimizing emissions. FAO proposes a *Sustainable Digitalization of Food Systems* approach, combining precision irrigation, smart fertilizer management, and AI-based early-warning systems [61]. Such integrated models can cut water and fertilizer consumption by 20–30 % while maintaining yields.

VI.5 FOSTER INSTITUTIONAL COORDINATION AND PUBLIC ACCOUNTABILITY

The fragmentation of responsibilities across ministries often leads to duplication and policy gaps. A National Digital Agriculture Council chaired by the prime minister or president can align strategies for agriculture, ICT, education, and finance [38].According to OECD (2021), coordinated governance increases policy coherence and accelerates innovation diffusion [34].

Transparency and accountability must complement coordination. Governments should publish open dashboards tracking digital-agriculture investments, AI tool certifications, and social impacts [5]. Such instruments enable citizens, researchers, and donors to monitor progress, improving efficiency and trust.

VI.6 EMPOWER RURAL ENTREPRENEURSHIP AND EQUITY

Policies must explicitly target inclusive digital entrepreneurship. DL should not replace rural labor but generate new forms of employment drone operators, data analysts, and AI technicians [62]. Access to credit, micro-insurance, and e-commerce infrastructure will allow smallholders and rural SMEs to participate in emerging value chains [6]. IFAD (2021) and GSMA (2023) emphasize gender-responsive financing and support for women-led agritech ventures, which remain underrepresented in global investment flows [34]. Finally, governments should integrate social-impact indicators – gender parity, youth employment, local innovation rates into all DL-related policies. Equity must become a prerequisite, not a by-product, of digital transformation. Table 2 summarizes the main policy domains and implementation responsibilities identified across recent literature and global policy frameworks.

Table 2: Policy Recommendations and Implementation Actors.

Policy Area	Key Measures / Recommended Actions	Primary Actors / Responsible Institutions	Key References
1. Digital & Data Infrastructure	Expand rural broadband coverage, 4G/5G networks; invest in data centers and renewable energy for AI computing; create open national data platforms for agriculture.	Ministries of ICT and Agriculture; Telecom operators; Public–Private Partnerships (PPPs); FAO; World Bank; ITU.	[37] ;[55]; [39].
2. Human Capital & Digital Literacy	Integrate AI and data science into agricultural curricula; train extension agents and youth as "digital intermediaries"; support rural innovation labs.	Ministries of Education & Agriculture; Universities; FAO; UNESCO; IFAD.	[52]; [57].
3. Ethical & Data Governance	Adopt AI ethics laws and data-protection policies; establish multi-stakeholder data councils; certify AI tools for transparency and bias control.	National Data Authorities; Farmer Cooperatives; European Commission; FAO; OECD; Alan Turing Institute.	[20]; [37; [51]; [46].
4. Green AI & Environmental Sustainability	Promote energy-efficient models and edge AI; support renewable-powered data centers; encourage AI for climate-smart agriculture and resource optimization.	Ministries of Environment & Energy; FAO; UNEP; Research Institutes; Private AI Firms.	[50]; [59]; [39].
5. Institutional Coordination & Accountability	Create a National Digital Agriculture Council to align ministries and monitor progress; publish open dashboards on AI investments and impacts.	Prime Minister's Office; Ministries of Agriculture, ICT and Finance; Audit Offices; Civil Society Groups.	[60]; [53]; [38].
6. Inclusive Rural Entrepreneurship & Equity	Facilitate credit and digital finance for SMEs and women farmers; develop gender-responsive AI policies; promote youth-led agritech startups.	Ministries of Finance & Women's Affairs; IFAD; GSMA; UN Women; World Bank.	[43]; [61]; [5].

Source: Author's synthesis based on [37],[59], [5], [38], [60], [39], [6], [52], [20] and [43].

As Table 2 illustrates, effective implementation of DL-driven agricultural transformation depends on multi-level coordination between governments, research institutions, and private actors.

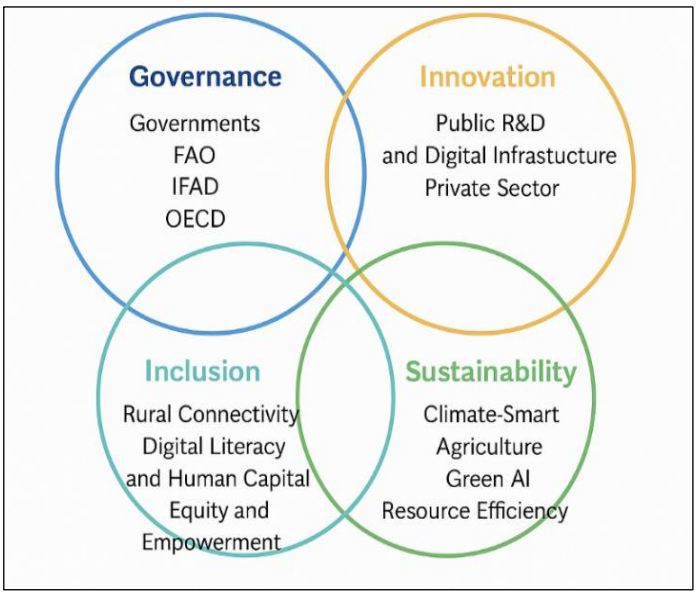


Figure 4: Integrated Policy Ecosystem for Sustainable Digital Transformation.
Source: Author's synthesis based on [59], [39], [6] and [53].

VII. CONCLUSION AND FUTURE DIRECTIONS

DL has moved from experimental research to an increasingly strategic role in global agriculture. It now underpins yield prediction, pest detection, soil monitoring, and market intelligence. Yet its most transformative potential lies not in automation itself, but in how it can empower rural communities, strengthen resilience, and support sustainable food systems [48]. Across developing regions, DL adoption is accelerating but unevenly. Structural inequalities in data, connectivity, and human capital continue to limit its developmental reach [37]. The next decade must therefore prioritize a human-centered digital transformation that couples technical excellence with social inclusion. FAO (2023) and IFAD (2021) emphasize that digital tools succeed only when integrated into broader rural-development strategies that invest simultaneously in infrastructure, education, and institutions [6]. Governments should view DL not as an isolated innovation, but as part of a systemic shift toward knowledge-intensive, climate-resilient agriculture.

VII.1 INTEGRATING DEEP LEARNING WITH SUSTAINABILITY AND FOOD-SYSTEM RESILIENCE

Future research and policy should focus on aligning DL with sustainability goals—reducing environmental footprints, improving water efficiency, and enhancing carbon sequestration [60]. Combining DL with Internet-of-Things (IoT) networks and geospatial intelligence allows near-real-time monitoring of resource flows and emissions [36]. The European Commission (2023) and OECD (2023) both advocate for "green digitalization" policies that require energy-efficient model architectures, renewable-powered data centers, and carbon disclosure for AI development [63]. Emerging work by Maimaitijiang et al. and Kamilaris & Prenafeta-Boldú [28] shows that multimodal DL frameworks integrating UAV imagery, climate data, and field sensors can improve yield prediction accuracy by more than 15 percent while reducing fertilizer inputs. These advances illustrate how technical efficiency and ecological stewardship can reinforce one another.

VII.2 BUILDING INCLUSIVE KNOWLEDGE ECOSYSTEMS

Sustainable deployment requires knowledge ecosystems that bridge science, policy, and practice. Universities, extension services, and farmer cooperatives must collaborate on open-source datasets and local algorithm training [11]. Open collaboration models such as the FAO-Google Earth Engine partnership and the CGIAR Platform for Big Data in Agriculture demonstrate that shared resources accelerate innovation while maintaining transparency [39]. However, inclusion remains essential. Women and youth are still under-represented in AI education and agritech entrepreneurship. According to UNESCO (2023) and GSMA (2023), targeted digital-literacy and financing programs can reduce gender gaps and expand participation in data-driven value chains [34]. IFAD's Rural Youth Action Plan (2022) similarly underscores the importance of combining DL innovation with vocational training and startup incubation [53].

VII.3 GOVERNANCE, TRUST, AND ETHICAL STEWARDSHIP

Trust will determine the long-term legitimacy of AI in food systems [6]. Transparent data governance clarifying ownership, consent, and value sharing is vital to protect farmers' rights. The *Ethics Guidelines for Trustworthy AI* (European Commission, 2019) and the *FAO Ethical Stewardship Framework* (2022) both call for inclusive oversight mechanisms and algorithmic accountability [20]. Future research should operationalize these frameworks through auditable AI certification schemes and participatory ethics boards that include producers and local authorities [59]. Equally, international cooperation will shape AI governance. OECD (2023) and the African Union Commission (2020) recommend harmonizing data-standards and fostering South-South collaboration to avoid technological dependency and ensure fair access to digital infrastructure [38]. Regional data-sharing alliances could thus become the backbone of ethical and interoperable agricultural AI.

VII.4 LOOKING AHEAD: TOWARD A HUMAN-CENTERED AI FOR AGRICULTURE

The path forward lies in embedding humanity and sustainability into code. Deep learning should augment human intelligence—not replace it [64]. This means prioritizing local knowledge, strengthening digital citizenship, and ensuring that rural actors participate as co-creators of AI solutions. If guided by inclusive policy, ethical governance, and sustained investment, DL could redefine how agriculture contributes to climate adaptation, poverty reduction, and global food security [54]. As the World Bank (2023) concludes, "digital transformation is developmental only when it empowers people to use data for their own prosperity." The challenge for researchers and policymakers is thus to transform DL from a technical breakthrough into a social contract for equitable and sustainable rural futures.

VIII. AUTHOR'S CONTRIBUTION

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ANFIS-BASED MPPT STRATEGY FOR SOLAR WATER PUMPING SYSTEM

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ABSTRACT

This paper presents the modeling and control of a standalone solar water pumping system, comprising a PV generator, DC/AC inverter, squirrel-cage motor, centrifugal pump, hydraulic circuit, and MPPT controller. Four machine-learning techniques (ANN, ANFIS, SVM, and GPR) are assessed for predicting the MPP voltage to improve system efficiency. Comparative results show that ANFIS gives the highest prediction accuracy (R^2 = 0.9992 and RMSE = 0.9552), outperforming GPR and ANN, with SVM providing moderate performance during training and testing phases. The performance of predcitive models was evaluated using training and testing data, assessing accuracy in predicting optimal voltage based on irradiance and temperature. Dynamic simulations under step-change irradiance conditions confirmed that the ML-based MPPT controllers significantly outperformed conventional P&O and INC methods, achieving faster time response. Based on this analysis, an ANFIS-based MPPT strategy with a PI controller is used, leveraging its superior accuracy relatively to the other ML-based MPPT controllers and conventional methods (P&O and INC).

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I. INTRODUCTION

In solar water pumping systems, PV generator performance is affected by varying environmental conditions and load characteristics. MPPT techniques mitigate these challenges by maximizing power extraction under these condition. While numerous MPPT exist, the Perturb and Observe (P&O) and Incremental Conductance (INC) methods are most prevalent due to their simplicity [1]. The use of artificial intelligence (AI) techniques has proliferated across diverse research disciplines and industrial sectors in recent years [2]. These techniques can be applied to tackle the challenges of MPPT in PV systems. For this purpose, researchers in [3] introduced a novel hybrid model that enhances the ANFIS model by integrating the BAT algorithm for training.

The results indicate that this metaheuristic approach offers superior training efficiency compared to conventional backpropagation algorithm. Similarly, a hybrid algorithm was proposed in [4], employing the Crowded Plant Height Optimization algorithm for ANFIS training resulted in improved tracking speed and efficiency relative to a standard ANFIS. In [5], the authors present an SVM model for predicting photovoltaic energy production by using solar irradiance and ambient temperature as inputs. While achieving a low MAPE, the model demonstrated sensitivity to input data errors. Similarly, another method involving SVM technique is presented in [6] by using three input combinations based on temperature and irradiance.

While achieving a MAPE of 36 %, outperforming analytical methods, the model exhibited sensitivity to climate variability. In [7], a PV power system (PVPS) topology is introduced by incorporating a radial basis function neural network (RBFNN) to enhance system efficiency; the results demonstrated the superiority of this MPPT method over conventional techniques. In [8], researchers have developed and implemented soft computing (SC) based MPPT controllers to predict optimal converter duty cycles under varying climatic conditions and static heads. A comparative study was conducted to assess and validate the accuracy. Authors in [9] applied the Golden Section Search (GSS) algorithm as an MPPT technique to enhance the efficiency of a standalone PV water pumping system (PVWPS).

Matlab/Simulink simulations verified the effectiveness of this approach. In [10], several ANN-based methods are presented for predicting hourly water flow rates in a PVWPS; their findings demonstrated accurate predictions based on measured air temperature and solar irradiation. The present work concerns the modeling and control of a standalone solar water pumping system. In addition, a comparative analysis between four ML techniques (ANN, ANFIS, SVM, and GPR) is presented for predicting the voltage at the MPP of the PV generator. This paper is organized into four sections. Section II describes the mathematical formulations used for the various components of the investigated PVWPS. The simulation results are reported and discussed in Section III. Finally, Section IV summarizes the findings and conclusions.

II. MATHEMATICAL MODELING

The proposed PVWPS integrates various components; such as: PV generator, DC/AC inverter, squirrel-cage induction motor, centrifugal pump, hydraulic circuit, and MPPT controller.

II.1 PV GENERATOR

Numerous mathematical models exist to describe the nonlinear behavior of the solar cell in PV module, differing in complexity and the number of parameters used to calculate voltage and current. This study utilizes the one-diode model, whose equivalent circuit is shown in Figure 1.

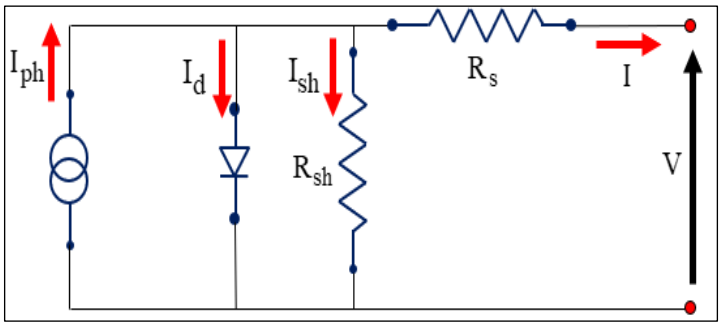


Figure 1: Equivalent circuit of the one-diode model of the cell.
Source: Authors, (2026).

Notice that the single-diode model is simpler with five unknown parameters (R_s, R_{sh}, A, I_0, I_{ph}). It may not capture the complexities of the cell behavior as accurately as the double-diode model, particularly under diverse operating conditions. Its simplicity, efficiency, and sufficient accuracy make it suitable for many systems design applications. By applying Kirchhoff's current law, the output current of a solar cell can be mathematically represented as follows:

$$I = I_{ph} - I_d - I_{sh} \tag{1}$$

Where I_{ph}, I_d and I_{sh} represents respectively the photocurrent, the diode current, and the current leak in the shunt resistor. The photocurrent is defined by:

$$I_{ph} = \frac{G}{G_{ref}}\left(I_{ph_ref} + \mu_{sc} \cdot \left(T_c - T_{c_ref}\right)\right) \tag{2}$$

With G is the solar radiation intensity, G_{ref} is the solar radiation intensity at STC, I_{ph_ref} is the photocurrent at STC, T_{c_ref} is the cell temperature at STC, T_c is the cell temperature, and μ_{sc} is the coefficient temperature of short-circuit current. The diode current is given by Shockley's diode equation as follows:

$$I_d = I_0 \cdot \left(e^{\frac{q\cdot(V+R_s\cdot I)}{A\cdot K\cdot T}} - 1\right) \tag{3}$$

I_0 represents the reverse saturation current of the diode, q is the electron charge, R_s is the series resistance, V and I represent respectively the PV module operation voltage and current, k is the Boltzmann's constant, and A is the diode ideality factor. The current leak in the shunt resistor can be computed by the following equation:

$$I_{sh} = \frac{V + R_s \cdot I}{R_{sh}} \tag{4}$$

Where R_{sh} is the shunt resistance. The overall output current and voltage of the generator are given by:

$$\begin{cases} I_{gen} = N_p \cdot I \\ V_{gen} = N_s \cdot V \end{cases} \tag{5}$$

Where N_p and N_s are respectively the number of the PV modules interconnected in series and/or parallel configurations.

II.2 DC/AC INVERTER

The DC/AC inverter converts the direct current (DC) voltage generated by the solar array into a variable-frequency three-phase alternating current (AC) voltage. The three-phase inverter output voltages are calculated using the following equation:

$$\begin{bmatrix} V_a \\ V_b \\ V_c \end{bmatrix} = \frac{V_{DC}}{3} \begin{bmatrix} 2 & -1 & -1 \\ -1 & 2 & -1 \\ -1 & -1 & 2 \end{bmatrix} \cdot \begin{bmatrix} S_1 \\ S_2 \\ S_3 \end{bmatrix} \tag{6}$$

S_i is the state of the IGBT switch.

II.3 SQUIRREL-CAGE INDUCTION MOTOR

Employing the Park's transformation, the three-phase squirrel-cage induction motor's voltage is calculated in the d-q reference frame using the following equation:

$$\begin{cases} \begin{bmatrix} V_{ds} \\ V_{qs} \end{bmatrix} = R_s \begin{bmatrix} I_{ds} \\ I_{qs} \end{bmatrix} + \frac{d}{dx} \begin{bmatrix} \varphi_{ds} \\ \varphi_{qs} \end{bmatrix} + \omega_s \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \begin{bmatrix} \varphi_{ds} \\ \varphi_{qs} \end{bmatrix} \\ \begin{bmatrix} V_{dr} \\ V_{qr} \end{bmatrix} = R_r \begin{bmatrix} I_{dr} \\ I_{qr} \end{bmatrix} + \frac{d}{dx} \begin{bmatrix} \varphi_{dr} \\ \varphi_{qr} \end{bmatrix} + \omega_r \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \begin{bmatrix} \varphi_{dr} \\ \varphi_{qr} \end{bmatrix} \end{cases} \tag{7}$$

For the d-axis, V_{ds}, I_{ds}, φ_{ds}, V_{dr}, I_{dr} and φ_{dr} referred stator and rotor voltage, current and flux linkage, respectively. For the q-axis, the last variables are referred V_{qs}, I_{qs}, φ_{qs}, V_{dr}, I_{dr} and φ_{dr}. R_s and R_r are stator and rotor winding resistance. ω_s and ω_r are stotor and rotor frequency. For this study, V_{dr} and I_{dr} are set to zero. The d-q frame currents for the induction motor are given as follows:

$$\begin{cases} \begin{bmatrix} I_{ds} \\ I_{qs} \end{bmatrix} = \frac{L_r}{L_s \cdot L_r - M_{sr}^2} \begin{bmatrix} \varphi_{ds} \\ \varphi_{qs} \end{bmatrix} - \frac{M_{sr}^2}{L_s \cdot L_r - M_{sr}^2} \begin{bmatrix} \varphi_{dr} \\ \varphi_{qr} \end{bmatrix} \\ \begin{bmatrix} I_{dr} \\ I_{qr} \end{bmatrix} = \frac{L_r}{L_s \cdot L_r - M_{sr}^2} \begin{bmatrix} \varphi_{dr} \\ \varphi_{qr} \end{bmatrix} - \frac{M_{sr}^2}{L_s \cdot L_r - M_{sr}^2} \begin{bmatrix} \varphi_{ds} \\ \varphi_{qs} \end{bmatrix} \end{cases} \tag{8}$$

Where L_s, L_r and M_{sr} are respectively stator inductance, rotor inductance, and the mutual inductance. The electromagnetic torque is calculated as follows:

$$T_e = 1.5p \cdot M_{sr} \cdot \left(I_{qs} \cdot I_{dr} - I_{ds} \cdot I_{qr}\right) \tag{9}$$

Where p is the pair pole number. The motor speed is determined using the following mechanical dynamic equation:

$$T_e = \frac{J}{p} \cdot \frac{d\omega_r}{dt} + f \cdot \omega_r + T_r \tag{10}$$

Where T_r is the load torque, f is a viscous torque constant, J is the inertia moment of the rotor.

II.4 CENTRIFUGAL PUMP

The power required to pump water at a volumetric flow rate Q and total head H is calculated using the following equation:

$$P_h = g \cdot \rho \cdot H \cdot Q \tag{11}$$

The mechanical power consumed by the pump is defined by:

$$P_m = \frac{P_h}{\eta} = T_r \cdot \omega_r \tag{12}$$

Where g is the acceleration of gravity, ρ is the density of fluid (water), and η is the pump efficiency. Using equations (11) and (12), the load torque can be determined as follows:

$$T_r = \frac{g \cdot \rho \cdot H \cdot Q}{\omega_r \cdot \eta} \tag{13}$$

In general, pumps are described by their H(Q) characteristic that defines the total head as a function of flow rate for a single nominal speed (N_n); the equation that links the total head with the flow rate for any rotational speed (N) is given as follows:

$$H(Q, N^*) = h_0 \cdot (N^*)^2 - h_1 \cdot N^* \cdot Q - h_2 \cdot Q^2 \tag{14}$$

Where $N^* = \frac{N}{N_n}$ is the normalized speed. The load torque caused by flow through the hydraulic part of the pump takes a similar form to the total head equation, and can be written as:

$$T_r(Q, N^*) = c_0 \cdot (N^*)^2 - c_1 \cdot N^* \cdot Q - c_2 \cdot Q^2 \quad (15)$$

The coefficients h_0, h_1, h_2, c_0, c_1 and c_2 are calculated from the data provided by the manufacturer.

II.5 HYDRAULIC CIRCUIT

The pump must overcome the total head comprising static head, dynamic head, pipe friction losses, and components head losses.

$$HMT = H_s + H_d + H_{friction} + H_{components} \quad (16)$$

Pipe frictional losses can be calculated using the Darcy-Weisbach equation done by:

$$H_{friction} = \lambda \cdot \frac{L}{d} \cdot \frac{8 \cdot Q^2}{g \cdot \pi^2 \cdot d^4} \quad (17)$$

Where λ is the average friction factor, L is the length of the pipe, and d is the inside pipe diameter. Components head losses is given by:

$$H_{components} = \sum_{components} K_{component} \frac{8 \cdot Q^2}{g \cdot \pi^2 \cdot d^4} \quad (18)$$

Where K represents the fitting loss coefficient of each component. The total head is expressed by the following equation:

$$\mathrm{HMT} = \mathrm{H_s} + \mathrm{H_d} + \left(\lambda \cdot \frac{\mathrm{L}}{\mathrm{d}} + \mathrm{K}\right) \frac{8 \cdot \mathrm{Q}^2}{\mathrm{g} \cdot \pi^2 \cdot \mathrm{d}^4} \quad (19)$$

II.6 MPPT CONTROLLER

To enhance the energy efficiency of PV systems, it is essential to design an effective MPPT technique. Traditionally, the MPP has been tracked using conventional algorithms such as P&O and INC. The P&O method is widely used due to its simplicity; it works by slightly perturbing the operating voltage and observing changes in output power to approach the MPP. The INC algorithm is based on the slope of the power-voltage (P–V) curve, which equals zero at the MPP. While these classical techniques are effective under steady conditions, their performance often degrades under rapidly changing environmental conditions such as partial shading or sudden irradiance variations. To address these limitations, recent research has turned to machine-learning techniques.

By integrating AI into MPPT controllers, PVWPS can achieve faster convergence, improved accuracy, and better adaptability, making these techniques a promising direction for future advancements in solar energy technologies. For this purpose, a comparative analysis of ML techniques will be conducted in this study. The mathematical formulations of used ML techniques are reported in Appendix A. Notice, that the proposed control strategy is a two-parts system: the first part is an MPPT, which can be one of ML techniques (ANN, ANFIS, SVM or GPR) that uses irradiance and temprétaure as inputs for predicting the optimal PV generator voltage; the second part is a proportional-integral (PI) controller that regulates the generator terminal voltage to match the MPPT prediction, maintaining the V/f ratio.

III. RESULTS AND DISCUSSIONS

As can be seen in Figure 2, the proposed PVWPS is composed of PV modules type KC200GT, three-phase DC/AC inverter, a centrifugal pump driven by a 2.2 kw squirrel cage induction motor, hydraulic circuit, and MPPT. The system has been programmed under the Matlab/Simulink environment; the parameters used in the simulation are shown in Appendix B.

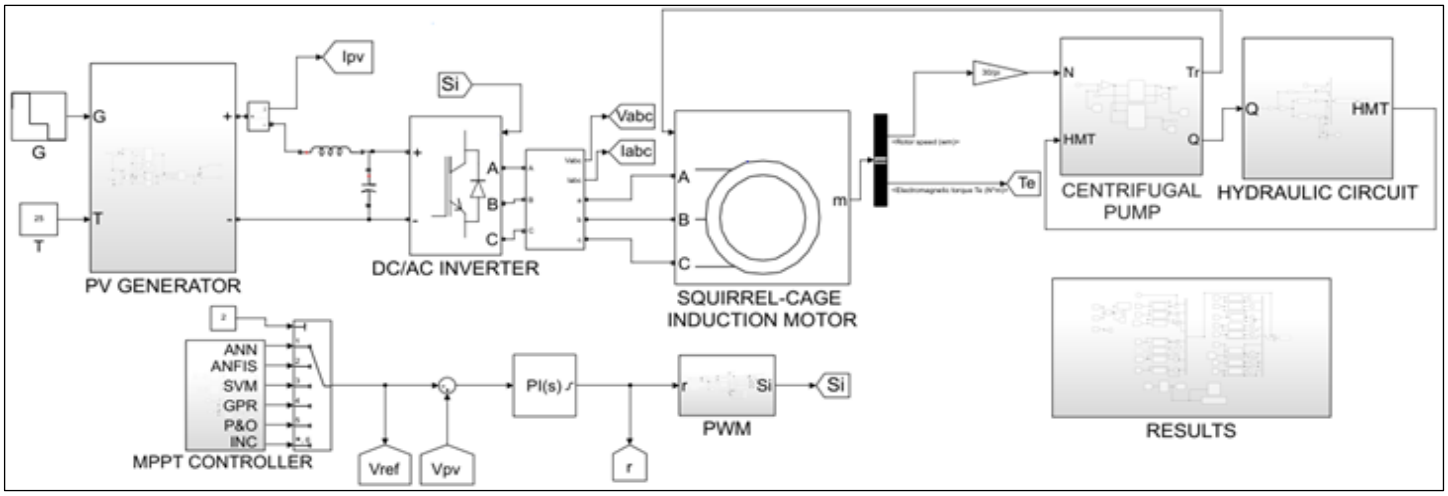


Figure 2: Design of the proposed PVWPS in Matlab/Simulink.
Source: Authors, (2026).

III.1 COMPARATIVE ANALYSIS OF ML TECHNIQUES

In this part, a comparative analysis of ML techniques (ANN, ANFIS, SVM, and GPR) is performed to predict the optimal voltage used as a reference signal for the PI controller. The observed data is derived through a numerical compilation based on measurements provided by the manufacturer. The inputs of the predictive models are irradiance and ambient temperature. The dataset is segregated into two subsets: training and testing. Notice, that 70 % of the dataset is used for the training, with the remainder utilized for the testing phase. The developed ANN employs a multilayer feed-forward with a 2-3-1 structure; the number of hidden neurons "3" was selected via different simulations to maximize R and minimize RMSE. For ANFIS, a "4 3" structure was implemented by using Gaussian membership function for the inputs, with a grid partition and hybrid learning method limited to a maximum of 30 epochs.

The SVM model used a quadratic kernel function, selected from a range of six tested kernels within Matlab. The selected GPR technique employed a Matern 5/2 kernel function. This last was selected from a range of tested kernels, including Rational Quadratic, Squared Exponential, and Exponential. Default settings were adopted for the hyperparameters of both SVM and GPR. The training of these techniques is performed offline based on weather conditions. During simulation, the ML-MPPT receives the input information and provides predictions instantaneously, which is analogous to a testing phase. The simulation outcomes obtained during the training and testing phases using ANN, ANFIS, SVM, and GPR are presented in Tables 1 and 2.

Table 1: Comparison between the observed and predicted values.

Data	Inputs		Observed V_{MPP} (V)	Predicted V_{MPP} (V)			
	T (°C)	G (kW/m²)		ANN	ANFIS	SVM	GPR
Training	20	1	382.34	381.69	382.06	385.98	381.99
	20	0.6	414.54	416.28	414.53	413.91	415.67
	20	0.4	428.40	427.52	429.03	424.74	427.95
	25	1	368.48	369.37	369.27	371.89	369.11
	25	0.8	386.96	386.29	386.47	386.77	386.58
	25	0.4	414.54	413.68	414.05	410.27	413.52
	25	0.2	419.16	418.20	418.63	418.89	418.41
	30	0.8	373.10	371.92	372.47	372.63	372.41
	30	0.6	386.96	387.89	388.06	385.30	387.57
	30	0.2	400.68	402.96	400.93	404.36	402.40
	35	1	340.90	341.48	340.86	343.94	341.04
	35	0.6	373.10	372.31	372.04	371.11	372.32
	35	0.4	382.34	382.93	382.77	381.55	382.82
	40	1	327.04	326.86	326.66	330.08	326.49
	40	0.8	340.90	341.42	341.82	344.58	341.93
	40	0.4	368.48	367.49	368.22	367.31	367.99
	40	0.2	373.10	372.25	373.14	375.54	372.70
	50	0.8	313.18	312.66	313.15	316.84	313.14
	50	0.6	327.04	328.21	327.21	328.99	327.79
	50	0.4	340.90	340.02	340.39	339.06	339.80
	50	0.2	345.38	346.12	345.73	347.03	345.88
Testing	20	0.8	400.68	399.36	398.84	400.99	399.65
	20	0.2	433.02	432.34	434.88	433.49	433.82
	25	0.6	400.68	402.74	402.15	399.57	402.16
	30	1	354.62	355.82	354.98	357.88	355.39
	30	0.4	396.06	398.59	397.53	395.87	398.16
	35	0.8	354.62	356.75	357.22	358.57	357.33
	35	0.2	386.96	387.37	386.85	389.91	387.05
	40	0.6	354.62	356.73	355.90	356.99	356.94
	50	1	299.32	298.88	298.14	302.60	299.13

Source: Authors, (2026).

To evaluate the performance of predictive models, R-squared and RMSE between observed and predicted values are used. The mathematical formulations of performance indicators are given as follows:

$$R^2 = 1 - \frac{\sum_{k=1}^{n} \left(V_{MPP\ obs}(k) - V_{MPP\ pred}(k)\right)^2}{\sum_{k=1}^{n} \left(V_{MPP\ obs}(k) - \bar{V}_{MPP\ obs}(k)\right)^2} \quad (20)$$

$$RMSE = \sqrt{\frac{\sum_{k=1}^{n}\left(V_{MPP\,obs}(k) - V_{MPP\,pred}(k)\right)^2}{n}} \quad (21)$$

Table 2 presents a comparative analysis of the performance indicators for the ML techniques.

Table 2: Performance indicators for the predictive models.

Phase	Indicator	ANN	ANFIS	SVM	GPR
Training	**RMSE**	0.9971	0.5472	2.5902	0.7613
	R-squared	0.9990	0.9997	0.9935	0.9994
Testing	**RMSE**	1.6206	1.5305	2.4242	1.5504
	R-squared	0.9981	0.9983	0.9957	0.9982
All data	**RMSE**	1.2181	0.9552	2.5415	1.0615
	R-squared	0.9987	0.9992	0.9943	0.9990

Source: Authors, (2026).

The results reveal that all models exhibit strong performance, characterized by high R-squared (0.9935 – 0.9997) and low RMSE (0.5472 – 2.5902). Notably, the ANFIS model demonstrates high accuracy during both training and testing. This is marked by relatively low RMSE values of 0.5472 and 1.5305, respectively, and high R-squared values of 0.9997 and 0.9983. Followed by GPR and ANN. The SVM model, although exhibiting reasonable performance during both training and testing. Considering the results across all data, the ANFIS technique demonstrates superior predictive accuracy with the lowest overall RMSE and higher R-squared. For this reason, the ANFIS technique is maintained for the simulation of the PVWPS. A comparison of the performances between the predictive models based on ML techniques and those using conventional algorithms is now presented in Figure 3. For this, step changes in irradiance level were applied at 2 s and 3 s. Irradiance level is changed from 0.6 kW/m^2 to 0.7 kW/m^2, then from 0.7 kW/m^2 to 0.5 kW/m^2, and then from 0.5 kW/m^2 to 0.4 kW/m^2.

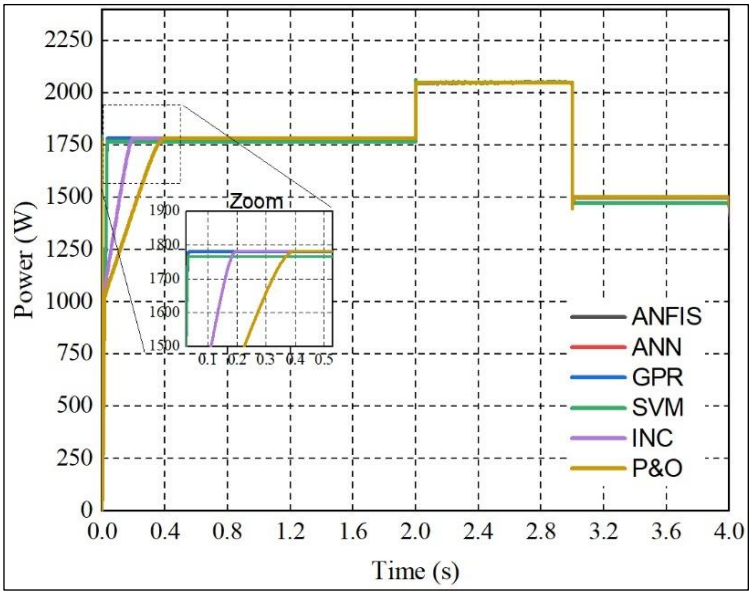


Figure 3: PV power for step change in irradiation level.
Source: Authors, (2026).

Figure 3 indicates that the ML techniques exhibit superior tracking performance compared to other conventional methods, as evidenced by faster rise time of 0.033 s in contrast to the 0.2 and 0.4 s rise time observed in INC and P&O methods, respectively. This is due to the significant impact of predicting V_{MPP} as opposed to calculating it directly.

III.2 ANFIS-BASED MPPT STRATEGY FOR THE PVWPS

In this part, the simulation results for step change in irradiance level condition are depicted in Figures 4 to 12. A multiple step change in irradiation level is applied. It went from 0.5 kW/m^2 to 0.6 kW/m^2 and then from 0.6 kW/m^2 to 0.4 kw/m^2. As depicted in the voltage profile (Figure 4), the ANFIS-based control strategy effectively maintains the PV generator operation near its MPP. The controller adjusts to each new irradiance level within a transient period of approximately 0.04 s. A consistent, slight decrease in the V_{MPP} is observed during irradiance drops, while an increase is seen during recovery. This minor variation is attributed to the negligible influence of irradiance on V_{MPP}.

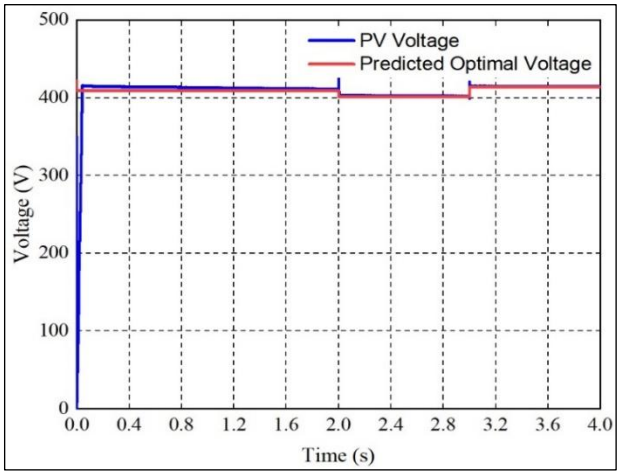


Figure 4: PV voltage and reference voltage.
Source: Authors, (2026).

Conversely, in Figure 5, the PV current exhibits significant sensitivity to irradiance changes. During irradiance increase, the current recovers proportionally, returning the PV generator to a higher power output. During irradiance decreases, the current drops substantially, leading to a proportional decrease in generated power. This is due to the direct correlation between irradiance and I_{sc}.

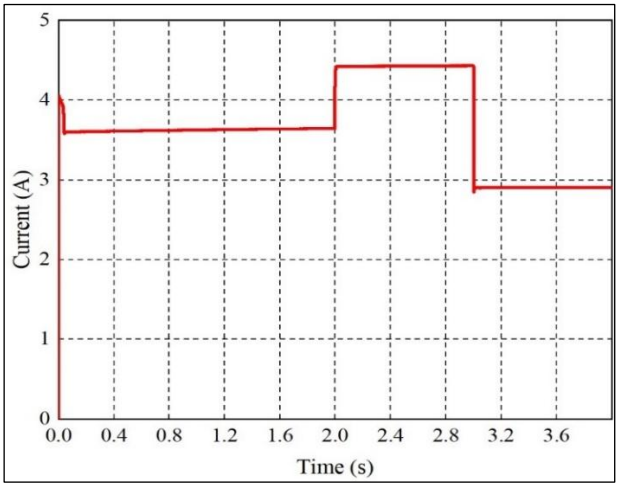


Figure 5: PV current.
Source: Authors, (2026).

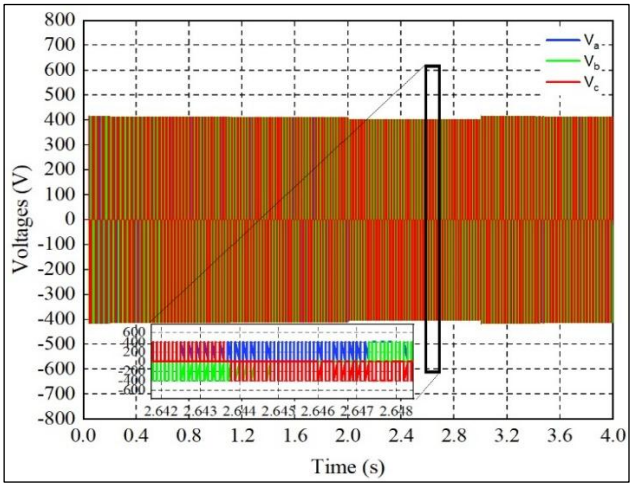


Figure 6: Line voltages.
Source: Authors, (2026).

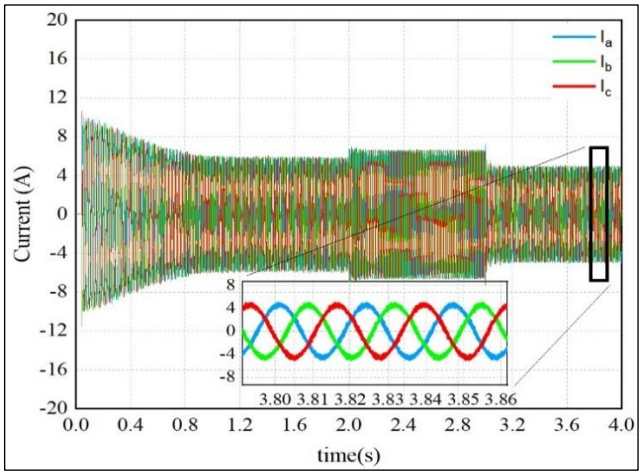


Figure 7: Line currents.
Source: Authors, (2026).

In Figure 6, the squirrel-cage induction motor is supplied with voltages stable and close to their nominal values. A small, correlated variation in terminal voltage is observed with the changing in irradiance, increasing slightly during high-irradiance periods and decreasing when irradiance drops. According to Figure 7, the transient regimes of the motor are relatively insignificant, where the current demand during the transient regime is approximately 1.5 times higher than that in the nominal regime. The proposed control strategy enables a gradual start-up of the load to ensure a current demand lower than that of the short-circuit of the PV generator.

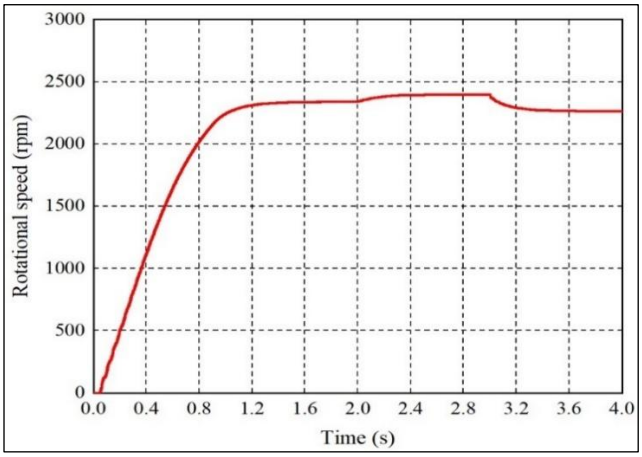


Figure 8: Rotational speed.
Source: Authors, (2026).

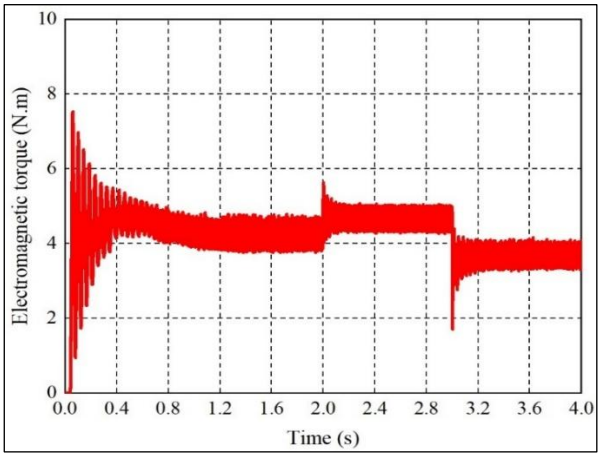


Figure 9: Electromagnetic torque.
Source: Authors, (2026).

From Figure 8, the motor requires approximately 1.2 seconds from startup to reach its nominal rotational speed. This period is characterized by transient oscillations in the electromagnetic torque (Figure 9).The system demonstrates effective load adaptation. A decrease in irradiance causes a corresponding decrease in both electromagnetic torque and rotational speed, shifting the operating point to match the available power from the PV generator. Conversely, an increase in irradiance allows the motor to accelerate to a higher speed, increasing both torque and rotational speed. The consistent variance between electromagnetic and load torque (Figure 10) is attributed to viscous friction losses within the motor.

The pump begins discharging water only after reaching a threshold speed of 2154 rpm. A delay of approximately 0.8 s is observed before water flow begins (Figure 11), corresponding to the time required to fill the hydraulic circuit and for the total head (Figure 12) to overcome the combined static head and dynamic head losses of the circuit. From Figure 11, the water flow rate is directly governed by the motor speed, which is itself dependent on irradiance. During irradiance decrease, a significant drop in flow rate is observed as the motor speed decreases. Form Figure 12, the total head, being a function of the flow rate, decrease proportionally during low-flow periods and increase again during high-flow periods.

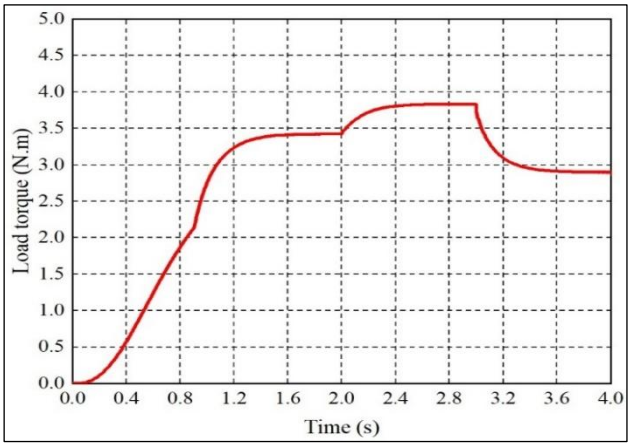


Figure 10: Load torque.
Source: Authors, (2026).

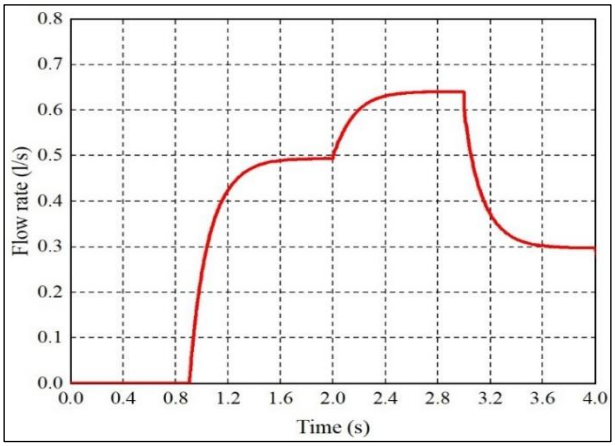


Figure 11: Flow rate.
Source: Authors, (2026).

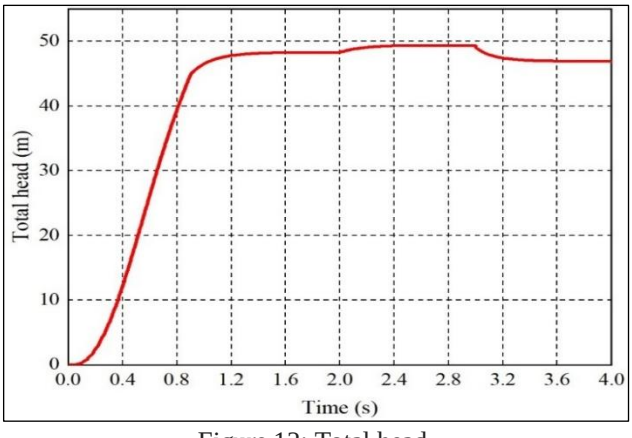


Figure 12: Total head.
Source: Authors, (2026).

IV. CONCLUSIONS

This study presents a dynamic simulation of a standalone solar water pumping system to evaluate performance under varying irradiance. Four machine-learning techniques (ANN, ANFIS, SVM, and GPR) were compared for predicting the MPP voltage of the PV generator. The results show that ANFIS delivers superior accuracy (R^2 = 0.9992 and RMSE = 0.9552) and was therefore integrated into the PVWPS control strategy. A robustness test involving sudden changes in irradiance demonstrated that the ANFIS-based MPPT maintains the PV voltage close to its optimal value with rapid response, confirming its suitability for solar water pumping applications. In conclusion, the system successfully tracks irradiance variations, dynamically adjusting the motor speed and pump flow rate to the available solar power, ensuring smooth motor transients, and enabling efficient hydraulic output across multiple steps of increasing and decreasing irradiance.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Islam Hachemi, Kamel Haddouche, Ahmed Bouzidane and Mustapha Belarbi.
Methodology: Islam Hachemi and Kamel Haddouche.
Investigation: Islam Hachemi, Kamel Haddouche, Ahmed Bouzidane and Mustapha Belarbi.
Discussion of results: Islam Hachemi, Kamel Haddouche, Ahmed Bouzidane and Mustapha Belarbi.
Writing – Original Draft: Islam Hachemi and Kamel Haddouche.
Writing – Review and Editing: Islam Hachemi and Kamel Haddouche.
Resources: Islam Hachemi and Kamel Haddouche.
Supervision: Islam Hachemi and Kamel Haddouche.
Approval of the final text: Islam Hachemi, Kamel Haddouche, Ahmed Bouzidane and Mustapha Belarbi.

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APPENDIX A

A.1 ANN APPROACH

A standard feed-forward artificial neural network (ANN) was employed. Its architecture consists of input, hidden, and output layers. The hidden layer contains neurons that perform internal processing; the neuron's output (s_j) is calculated as follows:

$$s_j = g\left(\sum_{i=1}^{m} w_{ij} \cdot e_i - b_j\right) \quad (A.1)$$

The weights (w_{ij}) and bias (b_j) are adjustable parameters. Users can select the transfer function, number of hidden layers and neurons, and training algorithm to optimize performance. A linear transfer function was chosen for the output, and a hyperbolic tangent sigmoid one for the hidden layer to obtain better performances. The used training function is the Bayesian Regularization. After the training phase for different numbers of hidden neurons, the best configuration is given for a 2-3-1 structure.

A.2 ANFIS TECHNIQUE

The ANFIS architecture is characterized by five layers. For an ANFIS configured with two inputs, denoted as x_1 and x_2, the output of each layer is determined by the following equations [11]:

$$L_{1,i} = \mu A_i(x_1), \qquad for\ i = 1,2 \dots j \quad (A.2)$$

$$L_{1,i} = \mu B_i(x_2), \qquad for\ i = 1,2 \dots j \quad (A.3)$$

$$L_{2,i} = W_i = \mu A_i(x_1) \cdot \mu B_i(x_2), \qquad for\ i = 1,2 \dots j^2 \quad (A.4)$$

$$L_{3,i} = \bar{W}_i = \frac{W_i}{\sum_{i=1}^{j^2} W_i} \quad (A.5)$$

$$L_{4,i} = \bar{W}_i f_i = \bar{W}_i (p_i x_1 + q_i x_2 + r_i) \quad (A.6)$$

$$L_{5,i} = \sum_{i=1}^{j^2} \bar{W}_i f_i = \frac{\sum_{i=1}^{j^2} W_i f_i}{\sum_{i=1}^{j^2} W_i} \quad (A.7)$$

Where μA_i and μB_i are the membership functions and (p_i, q_i, r_i) are the linear parameters.

A.3 GPR MODEL

Given a training dataset of input (x_i) and target (y_i) values, the relationship between them can be modeled as follows:

$$y_i = f(x_i) + \zeta_i \quad (A.8)$$

The model includes additive Gaussian noise with a mean of zero and variance. In a distributed Gaussian process, $f(x_i)$ can be represented as:

$$f(x_i) \approx GP(m(x_i), K(\mathrm{X}, \mathrm{X}')) \quad (A.9)$$

Where K(X, X') represents the covariance matrix, and $m(x_i) = E[f(x_i)]$ is the expectation function for input x_i.

A.4 SVM MODEL

The learned parameters of the SVM regression, comprising coefficients α_i, support vectors X_i, and bias term b, are extracted to formulate the predictive regression function done by:

$$f(x) = \sum_{i=1}^{n} \alpha_i K(X_i, x) + b \quad (A.10)$$

For the present study, the SVM model was trained by an RBF kernel function given by:

$$K(x_i, x_j) = G(x_i, x_j) = \exp\left(-\frac{\|x_i - x_j\|^2}{2\sigma^2}\right) \quad (A.11)$$

Where (σ^2) is the variance.

APPENDIX B

Table B: The parameters of the investigated PVWPS.

Element	Parameter	Value
PV Generator (at STC)	Module type	KC200GT
	Maximum power	200 W
	Voltage at MPP	26.3 V
	Current at MPP	7.61 A
	Short-circuit current	8.21 A
	Open circuit voltage	32.9 V
	Temperature coefficient of Isc	$3.18x10^{-3}$ A/°C
	Number of cells	54 per module
	Module's configuration	14 in series
Squirrel-cage motor and centrifugal pump	Nominal power	2200 W
	Nominal speed	2900 rpm
	Nominal line-to-line voltage	380 V
	Nominal frequency	50 Hz
	Stator winding resistance	6.18 Ω
	Stator inductance	0.688 H
	Mutual inductance	0.678 H
	Rotor winding resistance	4.38 Ω
	Rotor inductance	0.688 H
	Pole pair	1
	Rotor inertia moment	0.012 kg·m^2
	Viscous torque constant	0.0033 N·m·s
	Pump coefficients: h_0, h_1, h_2, c_0, c_1, c_2	74.9; 3.559; -5.594; 1.957; 3.476; -0.6107
Hydraulic circuit	Static head	45 m
	Length of pipe	47 m
	Inside pipe diameter	0.04 m
	Pipe wall roughness	0.15 mm
	Computed friction factor	0.0502
	Total fitting loss coefficient	13.5
	Specific drawdown	-1.67 m/(m^3/h)

Source: Authors, (2026).

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RESEARCH ARTICLE OPEN ACCESS

DEVELOPMENT AND FIELD EVALUATION OF AN IOT-BASED SMART IRRIGATION SYSTEM FOR VEGETABLE PRODUCTION IN SEMI-ARID SENEGAL

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ABSTRACT

Agriculture plays a central role in Senegal's economy, contributing about 8% to GDP and providing nearly 70% of economic activity. However, it relies heavily on seasonal crops and is increasingly affected by rainfall deficits linked to climate change. Irrigated agriculture offers an alternative but faces challenges such as limited water availability, labor-intensive manual watering, and low adoption of modern techniques. To address these issues, this study presents the design and implementation of a smart irrigation system that automatically determines crop water requirements based on field parameters (temperature, air humidity, and soil moisture) and local climate conditions. The system was tested on onions, tomatoes, and potatoes, three major crops in Senegalese market gardening. By automating irrigation and enabling remote control through ICT tools, the system reduces manual labor, optimizes water use, and minimizes environmental impact. Over a one-month experimental period, the system achieved an average 21% reduction in water use compared to manual irrigation, with mean monthly requirements of 4.2 m³ for onions, 4.6 m³ for tomatoes, and 4.1 m³ for potatoes. These results confirm the efficiency and adaptability of the proposed IoT-based approach for smallholder farmers under semi-arid conditions.

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I. INTRODUCTION

Traditionally, Senegal's economy has relied on rain-fed agriculture, livestock farming, fishing, and crafts, contributing around 8% to GDP and accounting for nearly 70% of socio-economic activity [1]. In recent decades, however, significant migration flows and recurring droughts have disrupted the country's socio-economic and agro-ecological balance. As a result, irrigation has become a key solution to address population growth and climate-related constraints [2].Irrigation involves the artificial supply of water to agricultural land, compensating for insufficient rainfall, particularly in market gardening. Optimal production in terms of both quality and quantity requires a consistent water supply throughout the crop's growth stages. Efficient water management relies on an integrated approach that considers soil, water, plants, and nutrients.

Smart, demand-based irrigation programs, which account for crop-specific water requirements, growth stages, and environmental conditions, can enhance water use efficiency by reducing soil evaporation and optimizing plant transpiration. Determining the levels of soil water evaporation and plant transpiration allows for precise irrigation planning, which is crucial for water conservation.In this study, we designed and implemented a smart irrigation system for monitoring and controlling plant water supply. Considering the high water demand of vegetable crops in Senegal, we tested the system on onions, tomatoes, and potatoes—three crops with strong domestic and international demand. Irrigation and environmental data collected from these crops were analyzed against their respective water balances to develop an application for managing and monitoring irrigation requirements. The results demonstrate that our system effectively reduces water consumption while alleviating the labor-intensive tasks associated with manual watering.

The paper is organized as follows: Section II provides an overview of traditional irrigation techniques, modern ICT-based irrigation methods, and crop water requirements. Section III describes the design and implementation of the smart irrigation system. Section IV presents the collection and analysis of results, and Section V concludes with key findings and future research directions.

II. THEORETICAL REFERENCE

II.1 OVERVIEW OF TRADITIONAL IRRIGATION

In Senegal, traditional market gardening irrigation relies on water availability and simple techniques, such as retention basins where water seeps from rivers, or micro-irrigation using porous pipes laid in shallow trenches, particularly suitable for sandy soils (FAO). Commonly, surface irrigation is applied manually with buckets, while drip and sprinkler systems are increasingly adopted for their efficiency and water savings. Typically, water is pumped through channels into fields at regular intervals based on farmers' routines, without precise measurement or feedback on soil moisture.

This uncontrolled approach can hinder crop growth, particularly for plants sensitive to soil water content, and often results in low yields. Moreover, traditional irrigation involves repetitive and labor-intensive manual tasks. To enhance water resource management, irrigation should adopt an integrated approach considering soil, water, plants, and nutrients. Modern watering techniques, which account for crop-specific water requirements and environmental conditions, improve irrigation efficiency. Figure 1 illustrates manual irrigation (a), sprinkler (b), drip (c), and ICT-enabled irrigation techniques (d).

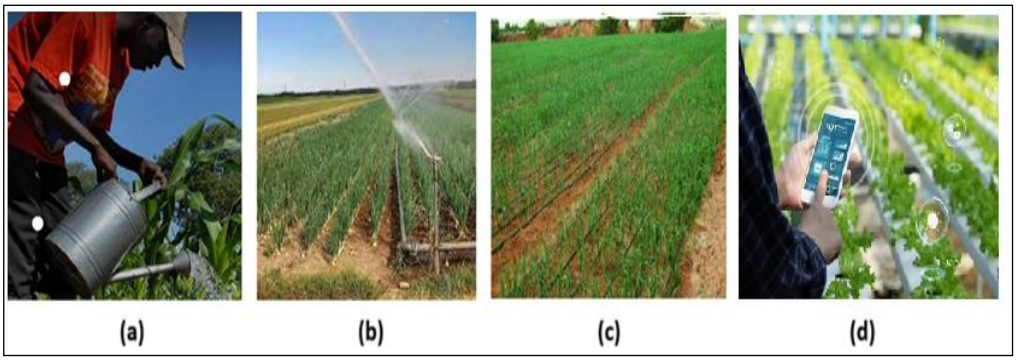


Figura 1: Illustration of traditional and modern irrigation techniques.
Source: Authors, (2026).

II.2 STATE OF THE ART IN IRRIGATION: MODERN ICT-BASED IRRIGATION TECHNIQUES

Recent research has focused on the development of smart irrigation systems using ICT tools. For instance, drip irrigation controlled by soil moisture sensors and wireless sensor networks has been widely explored [3]. Other studies implemented automated systems managed via Android applications, allowing farmers to make irrigation decisions based on real-time sensor data [4], [5]. Several works combined multiple environmental parameters including soil moisture, temperature, solar radiation, and humidity with sensor networks to optimize irrigation scheduling [5], [6]. Innovative solutions also include solar-powered drip irrigation to reduce water and energy consumption [7], and systems integrating GSM modules for remote monitoring and seasonal adjustments [8].

Other approaches focused on automated water management with temperature control and IoT-based cloud storage for data collection, enabling precise irrigation [9-12]. Microcontroller-based solutions, such as Arduino Nano, have been proposed to regulate humidity levels according to crop-specific requirements, minimizing water wastage and protecting plants [13], [14]. These studies highlight the potential of ICT-enabled irrigation to improve water use efficiency, reduce labor, and support precision agriculture. However, designing and implementing such systems requires a thorough understanding of the parameters influencing crop water requirements. Recent studies [15-17] highlight the rapid evolution of LoRa-based smart irrigation architectures in resource-limited environments.

By [15] demonstrated a LoRaWAN-enabled platform applied in olive groves, achieving over 40% water savings through long-range low-power monitoring. In turn [16] introduced a hybrid CNN–SVM classifier to enhance irrigation decision accuracy in LoRa-based IoT networks. By [17] proposed a dual-control LoRa IoT irrigation system combining local sensor feedback with cloud-based scheduling for scalability and resilience in arid environments. However, most of these systems were validated under controlled or short-term conditions. The present study distinguishes itself by providing a 30-day real-field validation in Senegal's semi-arid context, combining FAO Penman–Monteith evapotranspiration modeling with LoRa communication for low-cost, sustainable irrigation management.

II.3 STUDY OF CROP WATER REQUIREMENTS

To achieve optimal crop yields, plants must be grown under appropriate water conditions. These conditions can be ensured by accurately understanding each crop's water requirements, considering parameters such as evapotranspiration, soil water reserves, and external water inputs (rainfall or irrigation). Evapotranspiration is the biophysical process by which water is transferred to the atmosphere through both soil evaporation and plant transpiration. It is typically expressed in millimeters of water, similar to rainfall measurements. As a critical component of the crop hydrological cycle, evapotranspiration, along with soil water reserves, plays a key role in determining irrigation needs and is illustrated in Figure 2. Figure 2 shows the main components of plant water requirements.

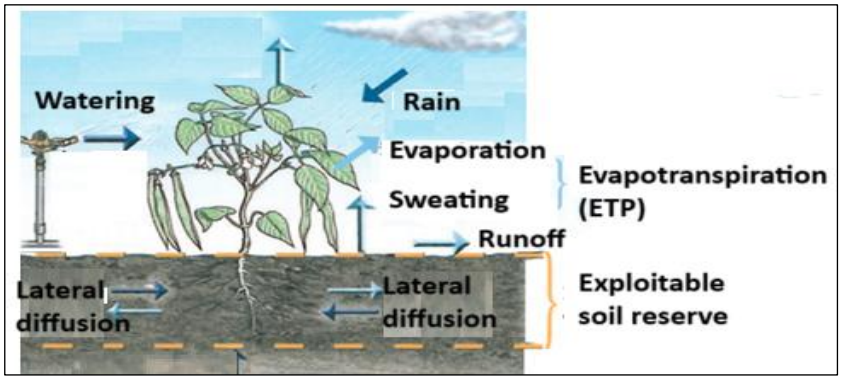


Figure 2: Elements of a plant's water requirements.
Source: [18].

To better understand plant water requirements, we conducted field visits to the National Centre for Agricultural Research in Bambey, Senegal, near the university campus. Discussions with agricultural researchers provided insights into irrigation practices and helped identify the key parameters influencing water management. Irrigation, the artificial supply of water to crops, is widely used in Senegal and other African countries, particularly for market gardening and rice cultivation. For optimal yield and quality, crops require appropriate water at different growth stages, as water needs vary by species and development phase. Thus, ensuring proper irrigation requires considering both the crop's water balance and relevant biological parameters, which are detailed in Sections II.3.1, II.3.2 and II.3.3.

II.3.1 Water Balance

The water balance at a given location and period is determined by comparing water inflows and outflows, while accounting for the formation of soil water reserves and their subsequent use. It provides essential information for calculating irrigation requirements and is primarily based on evapotranspiration. Due to its central role in water resource planning and management, several methods have been developed to estimate evapotranspiration. In this study, we use the Penman-Monteith formula [19], [20], recommended by the FAO as a reference model for its reliability under diverse climatic conditions [21]. In this formula, ET_0 represents the reference evapotranspiration, expressed in mm/day (or mm/hour).

$$ET0 = \frac{0,408 \times \Delta\left(R_n - G\right) + \gamma \times \frac{Cste}{T+273} \times u_2\left(e_s - e_a\right)}{\Delta + \gamma\left(1 + 0,34u_2\right)}$$

$$\Delta = \frac{4098\, e_{sat}(T)}{(T + 237,3)^2}$$

$$\gamma = 0,665 * 10^{-3} P$$

$$P = 101,3 \left(\frac{293 - 0,0065\, z}{293}\right)^{5,26}$$

$$e_{sat}(T) = 0,6108\, e^{\frac{17,27\, T}{T+237,3}}$$

R_n = global radiation in MJ/m²/day or MJ/m²/hour, G = heat flux in the soil by conduction in MJ/m²/day or MJ/m²/hour,
Δ and γ are constants in kPa/°C, Cste = 900 for a daily time step and 37 for an hourly time step,
T and P represent the temperature in °C and atmospheric pressure in kPa, respectively, and z = altitude above sea level (m),
e_s (T) =e_{sat} (T), saturated vapour pressure in kPa,e_a (T) = current vapour pressure in kPa.
u_2 = wind speed 2 meters above ground level in m/s. Finally,e_a (T)= $\frac{\text{Humidité relative} * e_s\,(T)}{100}$.

ETP is therefore a climatic parameter that depends on the location. In our case, we tested crops in the town of Bambey, located in central-western Senegal. In this area, (Bambey, Senegal) ETP is set at 7.3mm/day.

II.3.2 Soil Water Reserves

Soil functions as a natural water reservoir, absorbing and releasing water like a sponge. The available water reserve (AWR) represents the portion of soil water accessible to crops and depends on soil texture, expressed in mm of water per meter of soil depth. For sandy soils, the total usable reserve (RU) is 180 mm/m. Within this reserve, the readily available water (RFU) corresponds to approximately two-thirds of the RU [2], while the remaining water is tightly bound to soil particles and difficult for roots to access.

II.3.3 Biological Parameters

Biological parameters describe crop-specific characteristics, some of which are constant, while others vary with the plant's development stage. For example, water consumption changes throughout growth, highlighting the need for regular monitoring of soil moisture, air humidity, and temperature. These parameters are integrated into our smart irrigation system. Other key biological factors considered include:

- **Crop type:** This study focuses on three market garden crops: onions, tomatoes, and potatoes.
- **Crop coefficient (Kc):** Defined as the ratio between crop evapotranspiration (ETc) and reference evapotranspiration (ET_0), Kc varies by crop type and growth stage (young plant, flowering, ripening, etc.). For the crops studied, Kc values are 1.1 (onion), 1.25 (tomato), and 1.15 (potato). Kc values were defined as 1.1 for onion, 1.25 for tomato, and 1.15 for potato.
- **Loss coefficient (Kp):** This factor depends on the irrigation method; in this study, drip irrigation was used(Kp = 1.05 for drip irrigation).

All these parameters are applied in the design and operation of the smart irrigation system described in Section III.

III. MATERIALS AND METHODS

III.1 DESIGN AND IMPLEMENTATION OF THE SMART IRRIGATION SYSTEM

III.1.1 Architecture and Operation of the Irrigation System

The architecture of the irrigation system is shown in Figure 3 below:

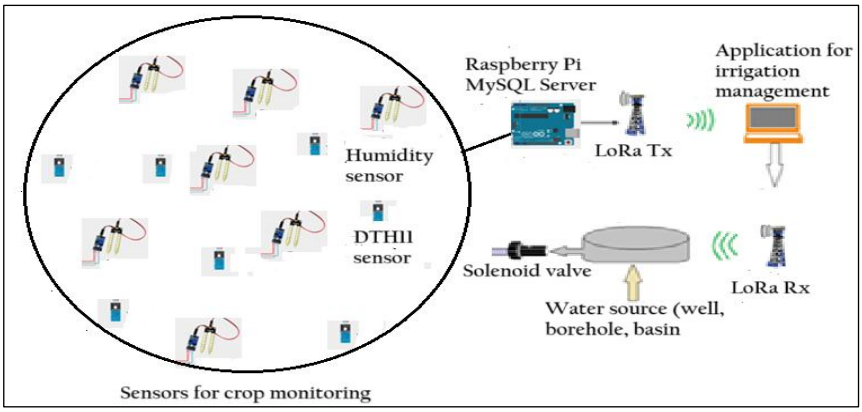


Figure 3: Architecture of the smart irrigation system.
Source: Authors, (2026).

As illustrated in Figure 3, the irrigation system consists of three (3) basic parts:

- **The data collection network** captures field data (soil moisture, ambient air humidity, air temperature) which is transmitted to a Raspberry Pi3 computer running a MySQL database server. The data is then processed and sent to the communication module, which manages its transmission.
- **The transmission part** is implemented using LoRa (Long Range) technology. This technology is responsible for remotely sending the data collected from the server to a dedicated computer application. The transmission part consists of a transmitter for sending data to the computer and a receiver for collecting data.
- **The decision support application** allows users (farmers, agricultural technicians, etc.) to manage and monitor irrigation via a computer (or smartphone). Among other things, the application allows users to view hydrological parameters and crop requirements. It also allows users to activate and/or deactivate watering automatically. The decision to water is made by activating a pump connected to a water source, which may be a mini-borehole or a well. The pump is connected to mechanical solenoid valves that regulate the pump's water flow according to the quantities of water required as determined by the application. Once the flow rate has been determined by the application, the pump is activated for the required watering time. In the following section, we will describe the implementation of our irrigation system.

III.1.2 Implementation of the Smart Irrigation System

Our irrigation system is implemented using DTH11 sensors, which measure air humidity and temperature, and LY-69 soil sensors (or hygrometers) to measure soil moisture. The LY-69 sensor is configured in two parts: the electronic board (bottom) and the two-electrode probe that detects water content (top). As for the deployment of sensors in the irrigation field, we worked on a sample field with an area of 4x5 = 20 m². In the field, we deployed three LY-69 soil moisture sensors and three DTH11 sensors (ambient temperature and air humidity), making a total of six sensors. The sensors are connected to an Arduino microcontroller linked to a Raspberry Pi3 (which acts as a computer). We planted crops in each field, namely onions, tomatoes and potatoes. In addition, we monitored the development phases of these crops under the same weather conditions over a period of one month. Images (a), (b), (c) and (d) in Figure 4 show the DTH11 sensors, the soil moisture sensor, the LoRa antennas and the Arduino microcontroller, respectively.

The LoRa antennas are RYLR998 types and are wireless communication modules based on long-range technology, unlike wireless LAN transmission. This technology allows data to be transmitted over long distances (up to approximately 5 km in direct line of sight) with low energy consumption. In our study, LoRa is used as a data transmitter and receiver between the devices in the field (sensors) and the collection unit, the Raspberry Pi. The main features of the LoRa module are :

- Frequency: 868 MHz (compatible with Europe/Africa);
- Transmission power: up to +22 dBm;
- Receiver sensitivity: up to –129 dBm;
- Range: up to 5 km in open field;
- Interface: serial UART (TX/RX);
- Supply voltage: 3.3 V;
- Protocol: LoRaWAN (in point-to-point mode in our system).

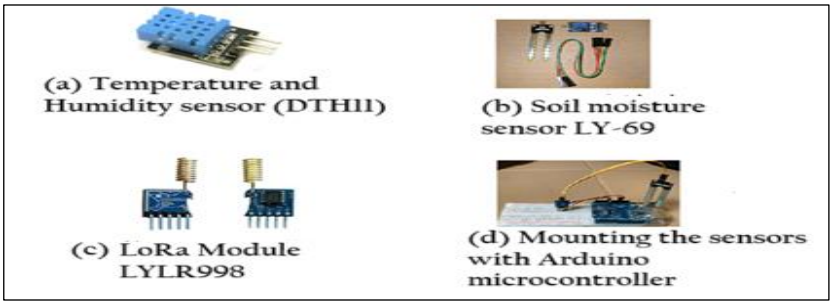


Figure 4: Illustration of the various IoT components used for the system.
Source: Authors, (2026).

Figure 5 below illustrates the electronic diagram of the overall assembly of our irrigation system.

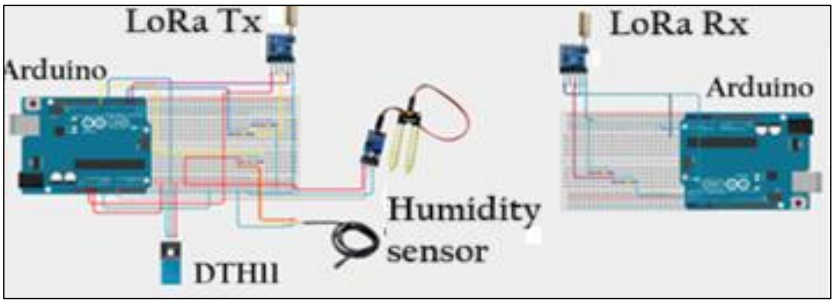


Figure 5: System assembly diagram.
Source: Authors, (2026).

After designing the assembly and configuring the various components, we implemented the intelligent part of the irrigation system. In this part, we implemented the algorithm that controls the entire system. The role of this algorithm is to calculate the water requirements of the crop type in real time, based on the water balance depending on the area and soil type and the irrigation data collected in the fields (ambient temperature, relative humidity and soil moisture). These parameters are then stored, processed and sent from the LoRa [22] transmission module to the computer program, which will decide whether or not to water by activating the pump connected to the water source and the drip system. The pseudo-code for the watering system algorithm is presented below.

III.1.3 Algorithm for Calculating Water Requirements

*Water_requirements_for_Day = Etp*Kc*Fied_Size*Kp*
Etp: this is the potential evapotranspiration, i.e. a climatic parameter that depends on the location of Bambey, Etp = 7.3
Kc: crop coefficient specific to each type of crop
Onion: Kc = 1.1
Tomato: Kc = 1.25
Potato: kc=1.15
Kp: loss coefficient, which is specific to the watering method used
Our smart system is connected to a drip irrigation system
Drip irrigation system Kp = 1.05
*Area: the area where the crop is grown = 4*5=20 m²*
The watering time is given by the formula:

$$Daily_Water_Requirements = \frac{Water_requirements_in_Day}{Watering\ flow\ rate}$$

We have a drip system with 8 drippers, each with a flow rate of 2L/min.
The flow rate of the system is therefore:
*Watering flow rate = 8*2 = 16 liters per minute*

Note: the flow rate of the system is either the flow rate of the pump or that of the watering system used. If you are using a drip irrigation system, you must adjust the pump so that it has the same flow rate as the drip system. The total flow rate of a drip system is equal to the sum of the flow rates of each dripper. For example, we are using a drip system with 8 drippers, each with a flow rate of 2liters/min. Therefore, the flow rate of this system is 8*2= 16L/min.

The experimental setup was extended and refined to include both a smart irrigation plot and a reference manual plot of the same size (20 m²). The manual plot was watered following conventional practices to provide a baseline for comparison, while the smart system applied data-driven irrigation decisions based on the computed water balance. The prototype was evaluated continuously over a 30-day field period, recording daily water consumption for onions, tomatoes, and potatoes. These measurements allowed a more representative validation of the system's stability and long-term efficiency.

In addition, a detailed wiring schematic was designed to enhance reproducibility. The circuit connects an Arduino Uno, DHT11 temperature/humidity sensor, YL-69 soil moisture sensor, LoRa transceiver, and Raspberry Pi controller that manages computation and data logging. The system automatically computes daily irrigation needs using the FAO Penman–Monteith equation and crop-specific coefficients (Kc), ensuring that irrigation is activated only when necessary.

IV. RESULTS AND DISCUSSIONS

IV.1 TESTS, COLLECTION OF RESULTS AND ANALYSES

The smart irrigation system was deployed on a 20 m² sandy-soil plot in Bambey, Senegal, and tested on three vegetable crops: onion, tomato, and potato. After system calibration (soil type, crop type, irrigation method, and pump flow rate), environmental parameters (temperature, relative humidity, and soil moisture) were collected using sensors and transmitted via LoRa. Environmental parameters were collected via LoRa for 30 days. Daily water requirements were calculated using the Penman–Monteith evapotranspiration (ET_0), crop coefficient (Kc), and pump flow rate. Results in Table 1 show that onions, tomatoes, and potatoes required 160 L, 182.9 L, and 167.9 L per day during the initial growth stage, corresponding to irrigation times of 10.25, 11.69, and 10.76 minutes, respectively.

Table 1**:** Water requirements and irrigation times for onion, tomato and potato crops.

	Daily water requirements (in m³)	**Daily water requirements (in L)**	**Watering time (in minutes)**
Onion	0.1600	160	10.25
Tomato	0.18285	182.85	11.69
Potato	0.1679	167.9	10.76

Source: Authors, (2026).

Cumulative water requirements over the first ten days are summarized below in table 2.

Table 2: Calculation of cumulative water requirements for the first 10 days of irrigation for onion, tomato and potato crops.

Day	**Water requirements (in m³) for onions**	**Water requirements (in m³) for tomatoes**	**Water requirements (in m³) for potatoes**
1e	0.16	0.182	0.167
2e	0.32	0.364	0.334
3e	0.48	0.546	0.501
4e	0.64	0.728	0.668
5e	0.8	0.91	0.835
6e	0.96	1.092	1.002
7e	1.12	1.274	1,169
8e	1.76	1.456	1,336
9e	1.92	1.638	1,503
10e	2.08	1.82	1.67

Source: Authors, (2026).

Sensor measurements confirmed that the system maintained stable conditions throughout the monitoring period. Relative humidity varied between 53% and 57%, while soil moisture differences among the three crops did not exceed +3%.

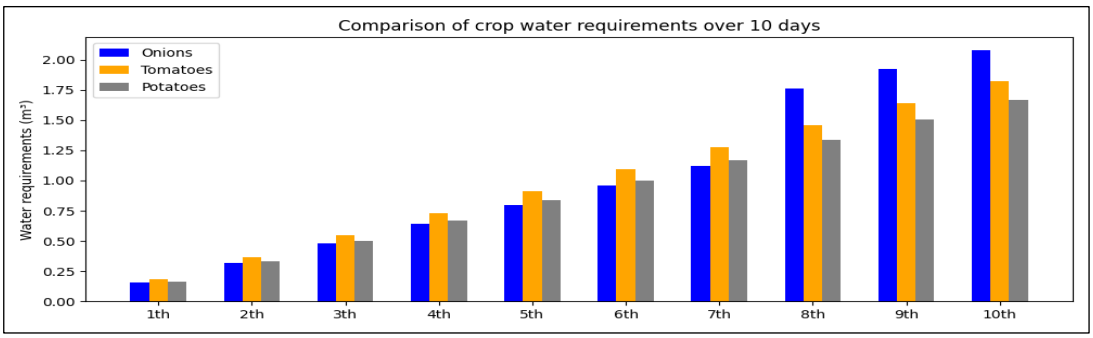


Figure 6: Variation in cumulative water requirements.
Source: Authors, (2026).

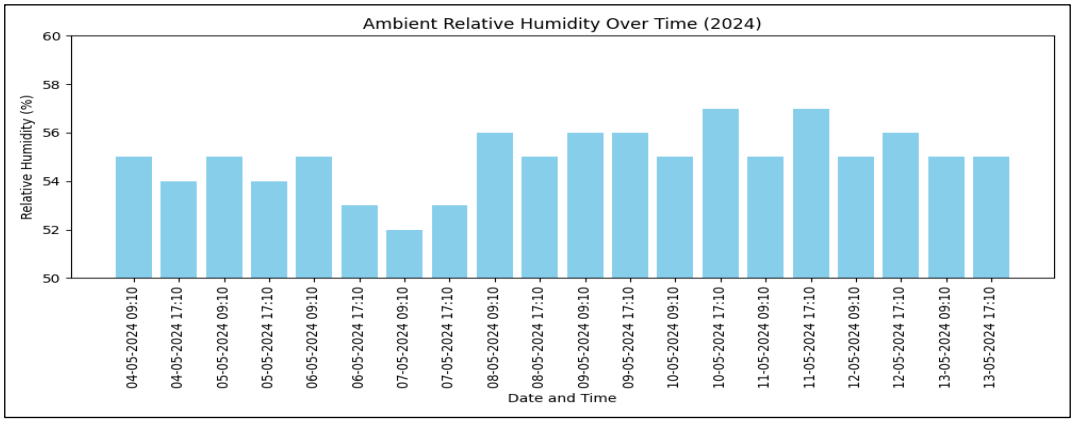


Figure 7: Relative humidity levels during the 10-day test period.
Source: Authors, (2026).

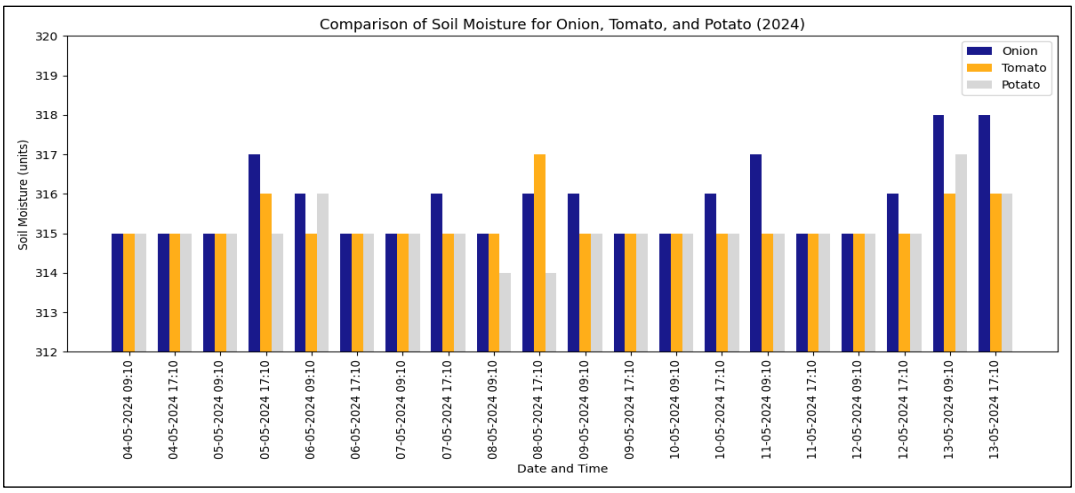


Figure 8: Soil moisture levels for onion, tomato, and potato crops.
Source: Authors, (2026).

Sensor data confirmed that soil moisture remained within acceptable ranges, with minimal variation between crops (Figures 6, 7, and 8). Figure 6 shows that the cumulative water requirement increased steadily with crop growth. Figures 7 and 8 confirm that relative humidity and soil moisture were maintained within optimal bounds, validating the consistency of the control algorithm across all test conditions. This stability reflects both the accuracy of irrigation scheduling and the reliability of the IoT-based control system. These results indicate that the system effectively supplies water according to crop-specific requirements while avoiding water stress during early developmental stages.

IV.2 COMPARATIVE ANALYSIS: IOT-BASED VS MANUAL IRRIGATION SYSTEMS

To evaluate the efficiency of the proposed IoT-based smart irrigation system, a comparative analysis was conducted using both theoretical FAO water requirements and manual irrigation estimates typically observed in Senegalese market gardening.

a. Comparison with Theoretical (FAO) Water Requirements

Table 3: Comparison between FAO Reference and Smart System Water Requirements.

Crop	FAO Reference (m³/month)	Measured (Smart System, m³/month)	Difference (%)
Onion	5.0	4.2	−16%
Tomato	5.5	4.6	−16%
Potato	5.2	4.1	−21%

Source: Authors, (2026).

Compared to FAO-based natural water requirements, Table 3, the smart irrigation system achieved an **average reduction of 16–21%** in water use while maintaining optimal soil moisture levels. This indicates that the IoT-based regulation prevented the over-irrigation commonly observed in manual practices relying on fixed time intervals rather than soil and climate feedback. The cumulative sensor data recorded during the first ten days (Table 2) exhibited a nearly linear increase in water requirements across all three crops. When these early-stage values are linearly extrapolated to a 30-day period, they result in higher projected totals (6.24 m³ for onion, 5.46 m³ for tomato, and 5.01 m³ for potato) than those reported in Table 3 (4.2–4.6 m³ per month). This apparent discrepancy reflects the adaptive behavior of the IoT-based irrigation control system rather than a measurement error. After approximately ten days of operation, soil moisture levels stabilized, leading to fewer irrigation events and a gradual reduction in daily water application.

Consequently, the measured monthly averages represent the **regulated water use** over the entire growth period rather than a simple linear accumulation of initial daily rates. These findings confirm the system's ability to **self-adjust irrigation frequency** based on real-time soil moisture feedback, thereby preventing over-irrigation and ensuring sustainable water management efficiency over time.

b. Comparison with Manual Irrigation (Traditional Practices)

Table 4: Comparison with manual irrigation.

Crop	Manual (m^3/month)	IoT-Based (m^3/month)	Water Saving (%)
Onion	5.4	4.2	**22.2%**
Tomato	5.8	4.6	**20.7%**
Potato	5.2	4.1	**21.2%**

Source: Authors, (2026).

The results in table 4 demonstrate that the IoT-based irrigation system reduced water consumption by approximately 21% on average compared to manual irrigation. This improvement results from the real-time computation of evapotranspiration (ET_0) and dynamic adjustment of irrigation time based on local environmental variables. Consequently, the system contributes to both sustainable water management and climate-resilient agriculture in semi-arid regions.

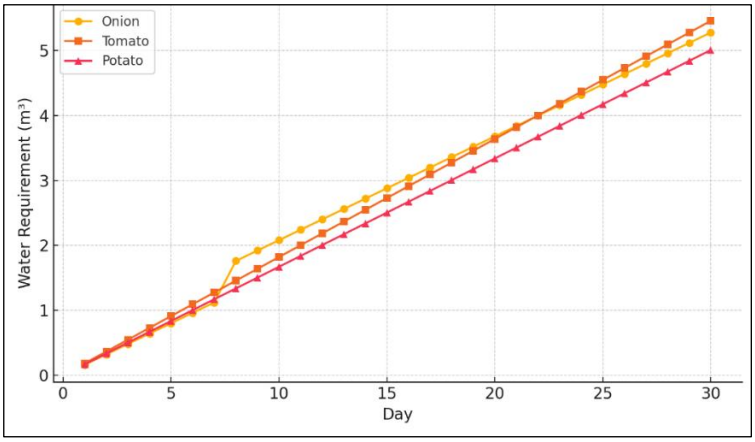


Figure 9: Daily water requirements for onions, tomatoes, and potatoes over a 30-day period under the smart irrigation system.
Source: Authors, (2026).

The results show a steady linear increase in cumulative water demand corresponding to crop growth stages. The IoT-based control maintained consistent irrigation across all crops, with tomato plots exhibiting the highest water demand due to greater canopy coverage. The smooth progression of the curves reflects efficient water management and confirms the system's capacity to adapt irrigation frequency to real-time evapotranspiration data.

c. Energy Efficiency

The total power consumption of the system, including the sensors, LoRa module, and control unit, averaged 1.8 W in active mode and 0.25 W in standby mode. These values confirm the system's suitability for solar-powered operation in off-grid rural contexts.

IV.3 DISCUSSION

The results demonstrate that the proposed smart irrigation system can effectively optimize water distribution in vegetable crops. By integrating environmental data (temperature, relative humidity, and soil moisture) with evapotranspiration-based calculations, irrigation was precisely adjusted to crop-specific needs. Compared to conventional methods (manual watering, surface irrigation), this approach offers several key advantages:

- **Water efficiency**: by delivering only the required dose, the system reduces waste and mitigates risks of over-irrigation or water stress.
- **Crop adaptability**: by incorporating biological parameters (crop type, Kc, growth stage), the system ensures better alignment with plant development.
- **Context relevance**: unlike many ICT-based irrigation systems designed in controlled environments, this prototype was tested under real agroecological conditions in Senegal, on sandy soil and with locally important vegetable crops. This strengthens its applicability and transferability to similar contexts.
- **Low-cost and frugal design**: the system leverages LoRa communication and simple sensors, making it affordable and energy-efficient an important feature for smallholders with limited resources.

Sensor data confirmed that soil moisture remained within acceptable ranges, with minimal variation between crops. This stability reflects both the accuracy of irrigation scheduling and the reliability of the IoT-based control system. The combination of Penman–Monteith evapotranspiration with crop-specific coefficients provided a robust basis for irrigation planning, ensuring that the system aligned closely with actual plant water demand.

These findings are consistent with recent studies on ICT-based irrigation, which highlight the potential of IoT and sensor networks to address water scarcity challenges in agriculture. However, the contribution of this work lies in bridging the gap between conceptual models and field validation in African agroecological conditions. Nonetheless, further experiments over longer growth cycles, across different soil types, and with more crop varieties are required to fully evaluate scalability and robustness.

V. CONCLUSIONS

This paper presented the design, deployment, and evaluation of an IoT-based smart irrigation system for vegetable crops in Senegal. By combining environmental sensing, evapotranspiration-based water balance, and automated control, the system was tested on onion, tomato, and potato crops during their early growth phase. The collected data confirmed that the prototype ensures reliable monitoring, reduces water consumption, and alleviates the burden of manual irrigation practices commonly used in Senegalese market gardening.

Beyond technical performance, the system demonstrates the feasibility of frugal and modular IoT solutions tailored to African smallholder contexts. Its reliance on affordable sensors, LoRa-based communication, and simple control algorithms makes it particularly suitable for rural areas with limited connectivity and infrastructure. This strengthens its potential as a scalable and sustainable tool for resource-efficient agriculture. Looking ahead, future work will focus on:

- Extending the tests to a wider range of crops and longer growth cycles.
- Integrating renewable energy sources, such as solar panels, to enhance autonomy in rural areas with limited access to electricity.
- Adapting the system to large-scale crops like rice, where water management remains a critical issue.
- Exploring advanced data analytics and predictive algorithms to further optimize irrigation scheduling.
- Investigating participatory approaches with farmers to ensure usability, adoption, and local ownership of the system.

In sum, the proposed system constitutes a promising step toward sustainable, resource-efficient, and context-adapted agriculture in Senegal and other regions facing similar constraints. The findings confirm that the smart irrigation system effectively reduces water consumption while maintaining crop adaptability under real field conditions. Future work will extend the monitoring to a full crop growth cycle (≈90 days) and explore the integration of solar energy and predictive irrigation models using weather forecast data and soil moisture prediction algorithms. By demonstrating both technical feasibility and contextual relevance, this work contributes to narrowing the gap between IoT innovation and its real-world application in agroecology.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Pape El Hadji Abdoulaye Gueye, Diery Ngom.
Methodology: Pape El Hadji Abdoulaye Gueye.
Investigation: Diery Ngom.
Discussion of results: Pape El Hadji Abdoulaye Gueye.
Writing – Original Draft: Pape El Hadji Abdoulaye Gueye.
Writing – Review and Editing: Pape El Hadji Abdoulaye Gueye, Diery Ngom.
Resources: Diery NGom.
Supervision: Diery Ngom, Pape El Hadji Abdoulaye Gueye,Cherif Bachir Deme.
Approval of the final text: Pape El Hadji Abdoulaye Gueye, Diery Ngom, Cherif Bachir Deme.

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RESEARCH ARTICLE OPEN ACCESS

AUDITORY LIBRARY GUIDE: A DIGITAL SOLUTION FOR VISUALLY IMPAIRED READERS

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ABSTRACT

This paper's main objective is to use the Auditory Library Guide to assist visually impaired people in finding and accessing library books. People with visual impairments have trouble locating the book in the library. Although library services for these individuals were insufficient up until now, everyone now understands how important it is to make information accessible to those who are visually impaired. In light of this, a method is suggested and created to enable them to utilize library resources. Through the use of text-to-speech conversion and voice recognition technology, they can utilize the system to access the library and hear the contents of the books.The purpose of this study is to improve the social issues faced by visually impaired persons and to help them read library books like everyone else.

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I. INTRODUCTION

For people with visual impairments, such as the blind, deaf blind, or those with low eyesight, braile [1] is an essential touch-based writing system. Braille can traditionally be read on paper with raised dots or on computer and smartphone-connected refreshable Braille displays [2], [3]. A computer interfaced with a Braille embosser, a Braille writer, an electronic Braille note taker, or a slate and stylus can all be used to create the system. The visually handicapped should have access to the world in other ways as well, even though Braille has been a game-changer for their literacy and communication [4].Everyone with a disability should be treated as an equal member of society through education.

The "Auditory Library Guide" is a ground-breaking tool designed especially for blind readers in a time when technological advancements are changing accessibility for people with impairments [5], [6]. Libraries serve as a resource to quench anyone's curiosity and offer a wealth of information relevant to users' interests. Knowledge expansion is free for everyone, but it requires certain facilities, especially for those who are blind or visually impaired. For example, it can be difficult to find certain books or bookshelves, and it can be difficult to figure out where the book rack is [7], [8]. The current study made use of digital technology to get around these challenges. As a result, it offers consumers easily accessible and reasonably priced assistance in looking up books and titles [9-11].

I.1 RESEARCH OBJECTIVE

This study helps people with limited eyesight become more self-reliant and transparent when browsing for books in libraries. People from all over the world prefer to speak in their mother tongue since it is easier to grasp and more convenient. Given that India is a multilingual and multireligious country, the primary focus of this study was on Indian languages. For visually challenged people, a Tamil-specific library search engine was developed that enables them to comprehend their needs in their home tongue. For additional South Indian languages including Malayam, Telugu, and Kannada, a similar approach was implemented. To provide broader usage worldwide, this approach also takes into account widely used languages like English, Hindi, Urdu, Thai, etc.This program may be developed for mobile users in the future. This research was completed without any external sponsorship and It's a simple attempt to assist visually impaired peoples in searching for books in libraries.

II. LITERATURE SURVEY

Founded in 1882, the National Library for the Blind (NLB) [1] aims to provide a well-rounded library experience for those with visual Pustakalaya sense issues in the UK. On January 1, 2007, it became a part of the RNIB National Library Service. India's first and biggest collection of easily available books is Sugamya [12]. The Indian government, blind organizations, and the visually impaired were collaborating to address the lack of e-books for those with print disabilities. A group of Indian non-profit organizations called the DAISY Forum of India (DFI) [13] is dedicated to creating and disseminating accessible reading resources for people with print difficulties. Their objective is to give equal access to information in one's own language without delay or extra cost. It seeks to end the "Book Famine" that affects people with print impairments. They have access to just a small portion of published material—less than 1%. Their educational and employment prospects are hampered by this shortage.

By [4] created a PC-based Braille system that enables many users to read different texts in multiple languages simultaneously.. It works well and is simple to use. By [4] created computer games for kids with low vision that make it simple to use Braille displays and include important reception features with multiple displays, such as text writing and dot raising. More than 5,000 books, periodicals, and articles about blindness are available in the special library at the Louis Braille Memorial Research Centre (LBMRC) [14]. It allows membership to everyone, even those outside of Mumbai, and gets journals from all over the world. One of the nation's most valuable resources is the library, which is now digitizing its holdings. An autonomous voice recognition system for kids was created [15]. It extracts features related to speech recognition and learning vocal tract envelopes [11], [16]. The project employed CNN-based audio modeling for feature extraction, PF-STAR for children, and WSJCAMO for adult datasets.

According to the authors, CNN can distinguish between the voices of children and adults, and PF-STAR yielded better results than the adult dataset [13], [17]. By [18] provided a detailed summary of speech recognition feature extraction methods and their usability [19], [20]. Using the weighted scoring method, the author attempts to illustrate the benefits and drawbacks of multicriteria analysis of different approaches [14]. The key ideas of speech processing, contemporary voice recognition technologies, difficulties, and their constraints were covered by Olamilekan et al. (2024) [21]. Signal analysis, pattern recognition techniques, feature extraction, security, virtual assistants, and ethical considerations are all briefly covered by the author [22]. By testing with the Hidden Markov Model, Artificial Neural Network, and its hybrid variants, Recurrent Neural Network, [23] were able to obtain great performance in voice recognition and discovered that the speech data had errors and duplication [15], [24].

Table 1: Comparison of related experiments with the proposed model.

S.No	Author &Year	Models used for the experiment on Low Vision People	Limitation
1.	Sujata et al.,(2022) [25]	Suggest digital voice Assistants such as Google Assistant, Alexa, and Siri	Continuous internet or Wi-Fi support is needed
2.	Mohanta et al., (2020) [26]	Smart phone with an Android application captures pictures and implements through voice control feedback mechanism which helps to identify the obstacles	Image clarity is must for object detection
3.	Yadav et al., (2020) [27]	Voice assistance by commands and instructions carried out by recognition of speech patterns, which produce an outcome via synthetic speech.	Proper and limited comments
4.	Nirmal et al., (2020) [28]	Speech recognition system with a speaker to locate the book location	Proper handling of the speaker
5.	Karthik et al., (2018) [29]	Environment monitoring is done by Raspberry pi , OCR sensors and TTS . Easy communication with society is established by speech or audio.	Sensor monitoring required
6.	Kambhampati et al., (2024) [30]	Voice assistance with Raspberry pi support for the communication	Supporting platforms needed for information gathering like Apps, news forums etc.
7.	Felix et al., (2018) [31]	An Android mobile app that centers on image recognition, currency recognition, e-book, chat bot, voice assistant etc.	Mobile app installation required
8.	Charishma et al., (2023)[9]	Text image scan by OCR, convert to text to speech by TTS and audio listen via speakers	Only the English language is supported
9.	Oureshi et al., (2023)[10]	Object detection by Smart gadgets with AI image processing and notification shared by sound alarm	High cost
10.	Thakur et., (2024)[11]	Utilized Raspberry Pi5, Pi camera module with text to speech converter	Only text to speech conversion

Source: Authors, (2026).

Research Gab

The majority of research has not concentrated on language-specific software for searching library books for visually impaired people.Expensive and requires constant internet or WiFi [32].

II.1 EXPERIMENTAL SETUP

The following procedures are involved in building the experimental setup using PHP, MySQL, Python, and a Raspberry Pi:

MySQL is used to store the book's location and other details in a database.Speech recognition converts speech to text.PHP retrieves the language and book location.The Raspberry Pi keeps an eye on the system and assists in running the database server, web application, and Python scripts that integrate speech processing and text-to-speech (TTS) output [33].The library book search system in this experimental configuration made use of the following frameworks and libraries.

Frameworks

Voice to Text : Google Web Speech API
Text to Voice: pyttsx3 TTS works without an internet connection
MySQL: Database for Book Information Storage
PHP : Backend Processisng
Raspberry Pi : Host the server

Libraries

RPi.GPIO : controls Raspberry Pi
pyttsx3 : TTS engine
Festival + festival-tts : open source speech synthesis system (supports Indian languages)
Marytts : Multilingual voice synthesis

The tasks and software design for this study are displayed in the steps that follow. This system does the following thorough analysis of the experiment conducted by the library's visually impaired patrons.

Insert Book Information

This module adds the locations of the library books as well as their details to the database. Here, the add book module was given the book's location and content, and we were also able to alter the book's location. so that those who are blind or visually challenged can quickly locate the library's books.

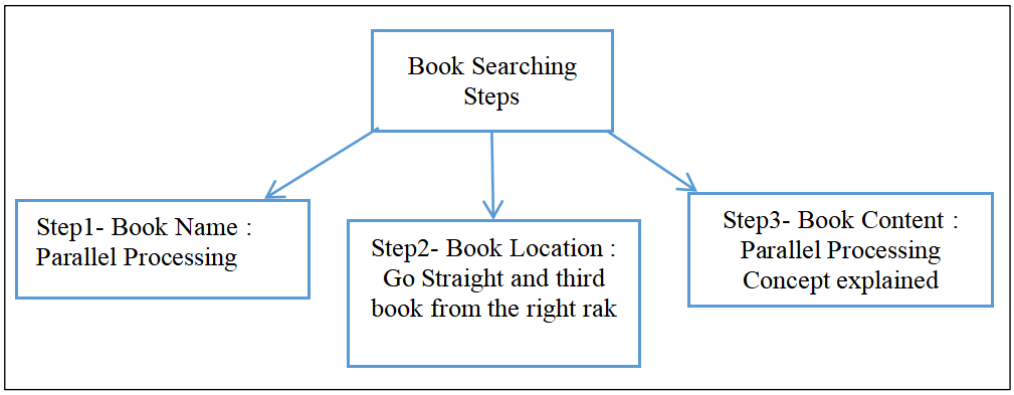


Figure1: Feeding Book Information.
Source: Authors, (2026).

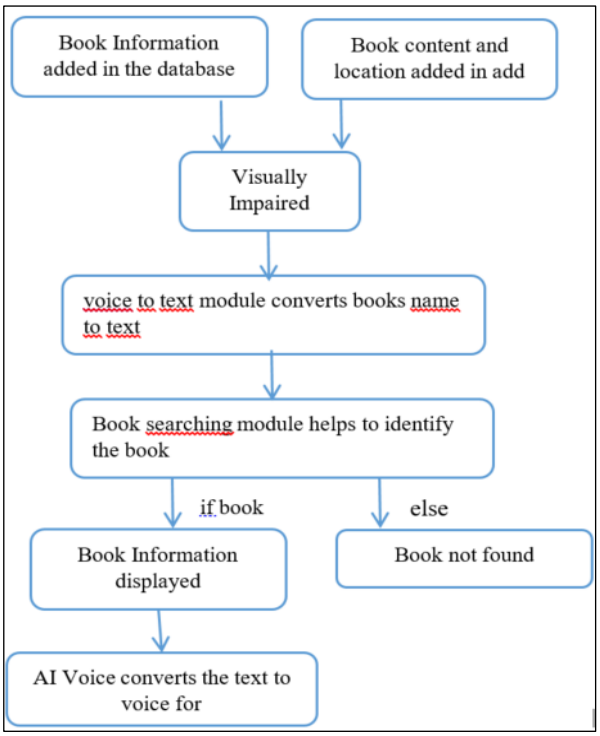


Figure 2: Workflow of the VA model.
Source: Authors, (2026).

Voice to Text

The name of the book is converted to user-spoken text using this speech to text module. We'll turn this voice recognition into text. The voice notes of the visually impaired were saved using the buttons below.

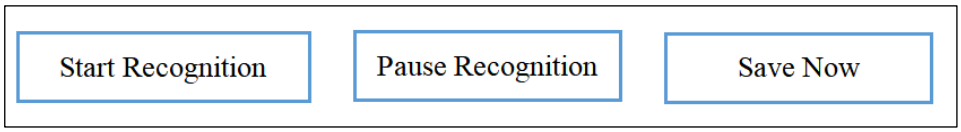


Figure 3: Voice to Text.
Source: Authors, (2026).

To find the voice-to-text converted book name in the database, utilize the Book Searching Module. The system will indicate the book's location inside the library if it is located. If the book's content is likewise accessible, the system reads the entire book. The system will say "Book not found" if the book is not available.

Text to Voice

An AI voice provides users with information about the book based on the database's information that matches the keyword [34], [35]. From the selection of languages provided, the visually challenged person will choose their own [16], [36-38]. There are various languages available for this voice conversion[17].

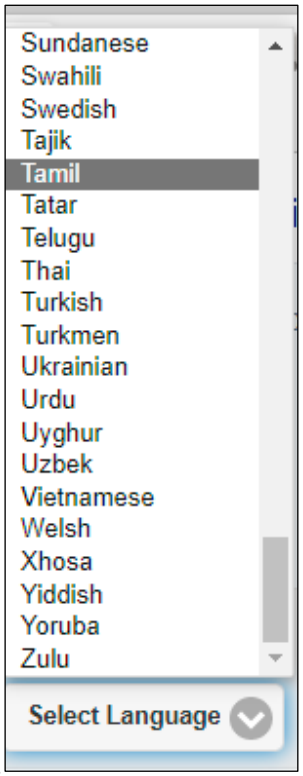


Figure 4: Text to voice language selection.
Source: Authors, (2026).

III. MATERIALS AND METHODS

This section contains screenshots of the proposed project's implementation. The administrator will be the primary user who serves as a librarian, allowing readers to explore the system. He or any other user can enter the first section of storing the library's book details, which are accessible via the dashboard. He inputs the book's location in the library and has the ability to add or remove books. The braille books that are organized in the shelves in the proper sequence are accessible to the visually impaired person who can follow instructions. Through text-to-speech technology, visually challenged people can enjoy digitally stored books and hear them in the language of their choice.

The process of adding book information to the speech recognition system is depicted in Figure 1. It gives visually impaired persons the location and details of the book. Figure 2 illustrates how the book's title is converted to user-spoken text using the voice to text module. The AD converter will be used to turn this voice recognition into text. The voice notes of the visually impaired person were saved using the buttons below. The visually impaired person's voice notes are started using the START RECOGNITION button, and their discussion is stopped using the PAUSE RECOGNITION button.. Lastly, the SAVE NOTE button is used to record the voice notes of visually challenged people, which are then stored in the internal memory to determine the book's placement in the library.

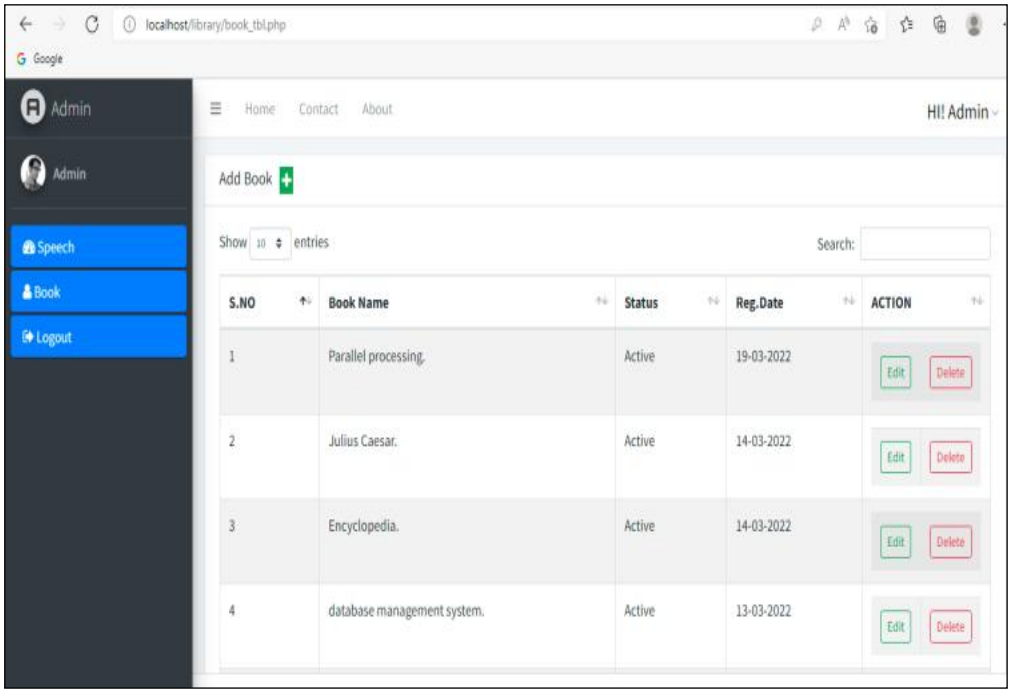


Figure 5: This screenshot shows the book's details added in the library by the Admin.
Source: Authors, (2026).

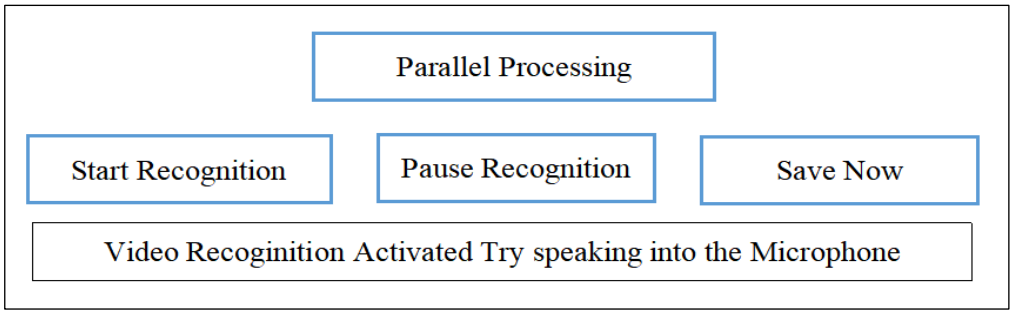


Figure 6: Voice Recognition by parallel processing.
Source: Authors, (2026).

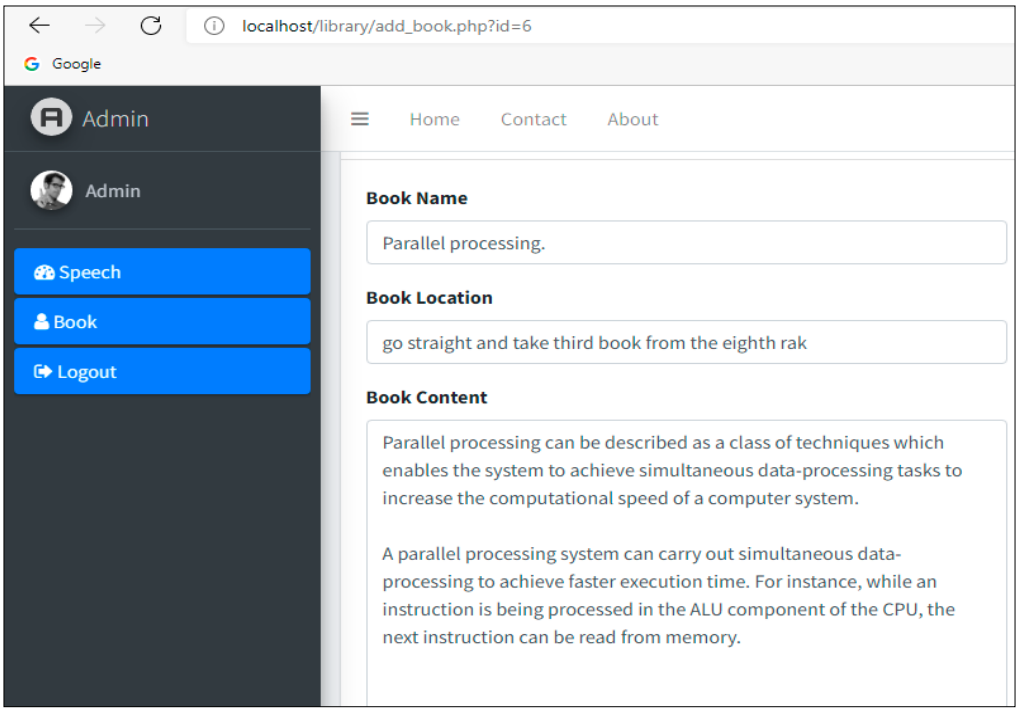


Figure 7: This screenshot shows the particular book content and book location stored already.
Source: Authors, (2026).

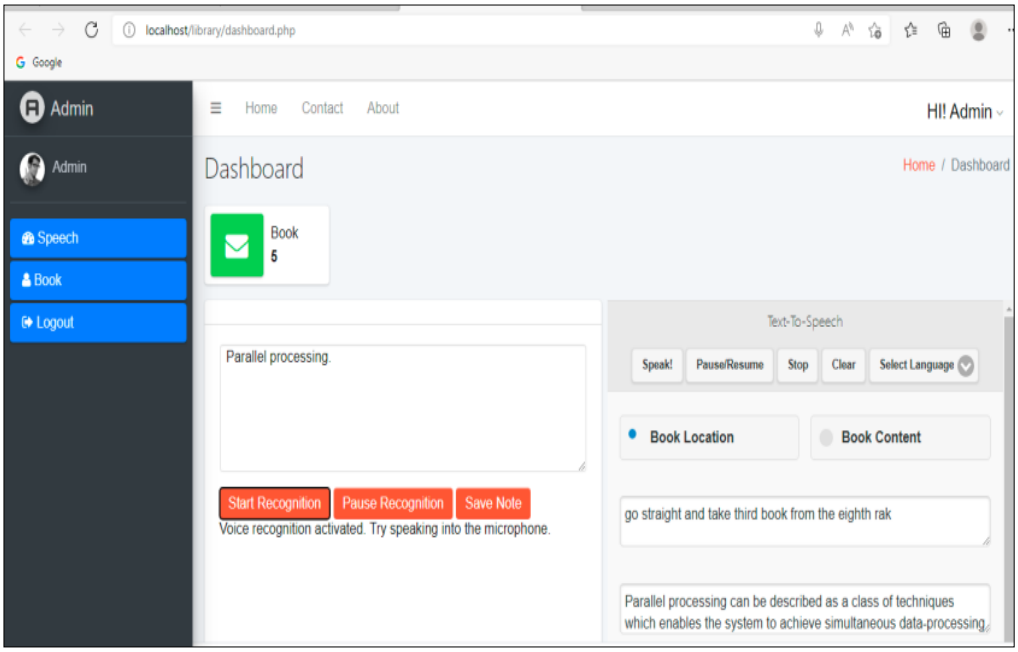


Figure 8: This screenshot shows the voice recognition.
Source: Authors, (2026).

The visually impaired person's voice notes are started using the START RECOGNITION button, and their discussion is stopped using the PAUSE RECOGNITION button. Lastly, the SAVE NOTE button is used to record the voice notes of visually challenged people, which are then stored in the internal memory to determine the book's placement in the library. Since the primary focus of this study was Indian languages, India is a nation with a diverse population in terms of religion and language. For those who are blind or visually challenged, a Tamil search engine was specifically created. Similar to those developed for Malayalam, Telugu, and Kannada, this application software helps the Tamil people in their own tongue. This study focuses on the mother tongues of various Indian states since it is easy for people to converse in their mother tongue everywhere, which makes things easier to understand, also adheres to established languages, such as Hindi, English, Tulu, and others.

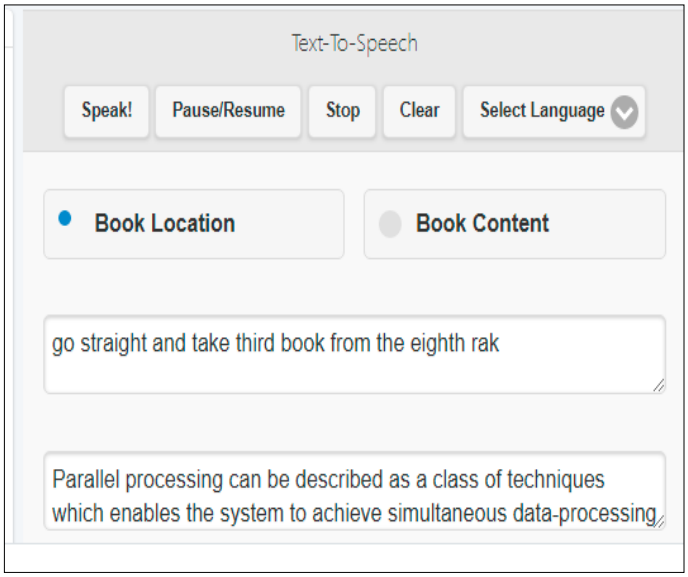


Figure 9: This screenshot shows the Text-To-Speech conversion.
Source: Authors, (2026).

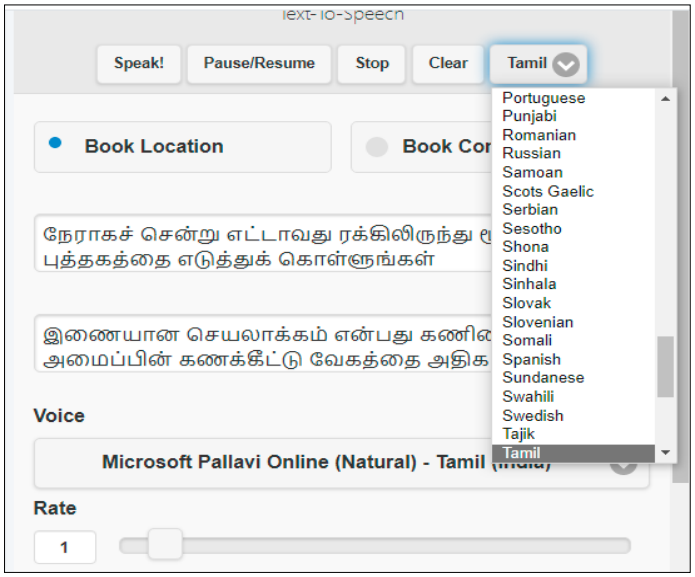


Figure 10: This screenshot shows the text to speech conversion using the language Tamil.
Source: Authors, (2026).

So the content of the book will also be converted into the selected language.

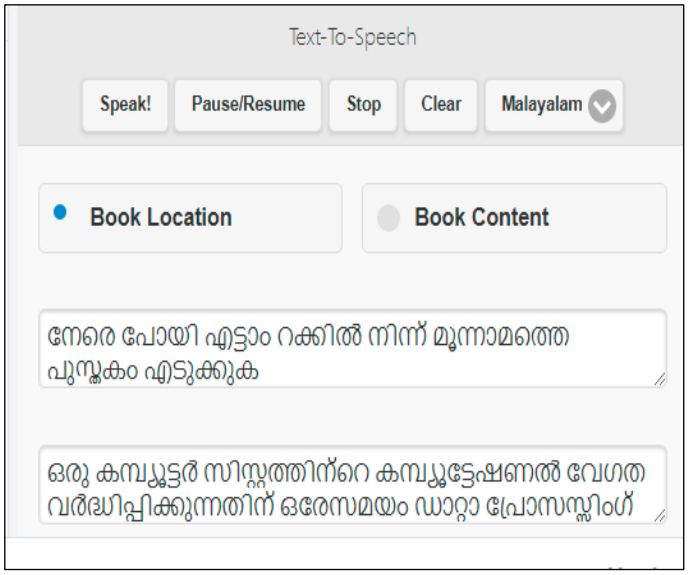


Figure 11: This screenshot shows the text to speech conversion using the language Malayalam.
Source: Authors, (2026).

III.1 EXPERIMENTAL VALIDATION

Accuracy: This system provides directions for looking for books in different languages in the library with a 97% accuracy rate. The findings are acquired by doing several trials with various personalities..

Response Time (Latency): Voice to text responses typically take less than two seconds..

In order for this system to identify user displeasure with a beep, we have coded it to take into account more than three search tries, an average search time exceeding ten seconds, and many speech problems [38], [39].

Usability Testing: To determine the software's comfort level, a number of visually impaired individuals evaluated it; for 95% of searches, no beep sound was detected. Thus, this study came to the conclusion that this approach is appropriate for those who are blind or visually impaired. The software's result is displayed in the code part that follows.

```
speak(f"System Accuracy: {accuracy:.2f} percent.")
speak(f"Average Response Time: {avg_latency:.2f} seconds.")
speak(f"User Satisfaction Score: {usability_score:.2f} percent.")
speak("Thank you for using the book finding system.")
```

Figure 12: Implementation details of Usability Testing.
Source: Authors, (2026).

```
System Accuracy : 97%
Average Response Time:0.2
User Satisfaction Score:99%
Thank you for using the book finding system
```

Figure 13: Outcome of Usability Testing.
Source: Authors, (2026).

Second method

This concept was tested with students and nearby medical professionals, and its effectiveness is assessed using user input and satisfaction ratings [40]. In order to achieve this, we created five test questions and used a Likert-scale scoring system on fifteen participants. Method of scoring4-Agree, 5-Strongly Agree, 2-Agree, 2-Disagree, 3-Neutral
Questions for feedback

1. The system was easy to understand and use.
2. The system correctly fetches the information
3. I was able to complete my task within time
4. I would like to recommend this system to others
5. Overall, I am satisfied with this system's performance

Each score is calculated based on a 1 to 5 scale and the satisfaction score is calculated as follows:

1. Add up all five questions' scores.
2. Each user's maximum score is determined by answering five questions. The greatest score (×) = 25
3. The user satisfaction score was calculated as follows: (total score obtained/25) × 100

Ultimately, 93% of participants report that the app is helpful and easy to use, with an average satisfaction score of 87.6% and a mean of 4.8%. This framework analyzed 15 users from different age groups and includes both male and female with different impairment level. The following table 2 and 3 shows the details of 15 participants and outcome of pilot study used to evaluate their performance. Hence this method helps to identify the usability and core functionality of the system which is based on feedback of the system.

Table 2: Demographic Details of 15 users.

Participant ID	Age	Gender	Level of Impairment
P1	22	Female	Moderate
P2	25	Male	Complete
P3	27	Male	Partial
P4	32	Female	Partial
P5	30	Female	Complete
P6	38	Female	Complete
P7	40	Male	Partial
P8	26	Female	Moderate
P9	43	Male	Moderate
P10	41	Male	Moderate
P11	32	Female	Complete
P12	37	Male	Partial
P13	45	Female	Moderate
P14	38	Male	Partial
P15	44	Male	Complete

Source: Authors, (2026).

Table 3: Pilot Study.

Usability Metric	**Observation**
Task completion Rtae	13 out of 15 people completed successfully
Ease of Use(Liker Scale1-5)	Ratings ranged form 3 to 5, median=4
Feedback	93% satisfacation
Observed usability issues	Smooth orientation

Source: Authors, (2026).

This frame work was aligned with the Web Content Accessibility Guidelines (WCAG 2.1) and the Digital Accessible Information System (DAISY) [40]. According to WCAG 2.1 compliance guarantees that all user interfaces are perceivable, operable, and understandable by users employing assistive technologies such as screen readers or keyboard navigation [41], [42]. DAISY support enables synchronized text-to-speech rendering and accessible digital resources, ensuring that visually impaired and multilingual learners can effectively use the system. Incorporate the audio based content or digital reading formats [43].

III.2 ETHICAL AND PRACTICAL CONSIDERATIONS

This software was created especially for college library systems to assist students with visual impairments in finding books. Within a college or institution, session-based interaction manages data security and privacy. However, this solution does not collect personal information, and server-side PHP controls and MySQL authentication verify security.This study improved the usability of non-native speakers of Tamil, Telugu, Malayalam, English, Hindi, Thai, and other languages using multilingual voice-based interaction. Braille keyboards might be included as an additional input option in the future.

III.3 PROS OF PROPOSED MODEL:

The low-cost voice assistance system intended for those with impaired eyesight was found and tested in this study. The application software is installed in any library at the lowest possible cost after it has been constructed using PHP, MySQL, Python, and Raspberry Pi with TTS. The multilingual Voice Assistance (VA), which was primarily created for Tamil language users, was the main focus of this study. Users can easily identify the books in the library by VA thanks to the user-friendly VA system [44], [45].

IV. CONCLUSION

Since voice-based technology is becoming increasingly prevalent in all applications, this paper proposed and implemented a research project that makes use of this technology to give physically challenged people especially blind people a way to use the library to find the location of books and listen to the audio version of those books using the speech synthesis technique.By turning the PDF and documents into audio format, this project can be improved with additional audio books. The library can get more braille books. Analyzing the issue reveals that libraries in Trichirapalli, Tamil Nadu, lack books for the blind and do not use digital technology for this purpose.As a result, this study is the first to offer strategies for helping people with visual impairments increase their knowledge through book reading.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Dr.V.Thamilarasi
Methodology: Dr.V.Thamilarasi
Investigation: Dr.V.Thamilarasi
Discussion of results: Dr.V.Thamilarasi
Writing – Original Draft: Dr.V.Thamilarasi
Writing – Review and Editing: Dr.V.Thamilarasi
Resources: Dr.V.Thamilarasi
Supervision: Dr.V.Thamilarasi
Approval of the final text: Dr.V.Thamilarasi

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PROGRESSIVE BAT FOR NEURAL TUNING (PBNT): A BIO-INSPIRED HYPERPARAMETER OPTIMIZATION FRAMEWORK FOR SKIN LESION CLASSIFICATION

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ABSTRACT

Advanced architectures and effective hyperparameter tuning are necessary to achieve high diagnostic accuracy, despite the fact that deep learning (DL) has become a critical instrument for automated skin cancer detection. This research suggests an optimised deep learning framework for the classification of multi-class skin lesions. The framework integrates state-of-the-art CNNs with a novel bio-inspired optimiser, Progressive Bat for Neural Tuning (PBNT). VGG16, ResNet50, EfficientNetV2, AlexNet, and DenseNet were assessed in experiments conducted on the ISIC 2024 (3D-TBP) and HAM10000 datasets. Bayesian Optimisation, Bat Algorithm, Grey Wolf Optimiser, and Firefly Algorithm were benchmarked against PBNT, and the performance was evaluated using the F1-score, precision, recall, and accuracy. PBNT consistently outperformed existing optimisers, with AlexNet-PBNT achieving a 99.0% F1-score, 99.1% recall, 98.9% precision, and 99.0% accuracy, surpassing all other model-optimizer combinations and recent benchmarks. The automated diagnosis of skin cancer is considerably improved by the integratioSSn of CNN architectures with hyperparameter tuning driven by PBNT. The AlexNet-PBNT model offers a clinically viable and extremely accurate solution for early detection.

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I. INTRODUCTION

Skin cancer is among the most prevalent malignancies worldwide, with melanoma presenting a notably elevated mortality risk if not identified in its first stages [1]. Progress in dermoscopic imaging has generated extensive visual data; nonetheless, manual diagnosis continues to rely heavily on dermatological skill and is susceptible to fluctuation. Deep learning (DL) powered computer-aided diagnosis systems provide a means to improve diagnostic accuracy, diminish subjectivity, and facilitate prompt intervention [2]. Convolutional neural networks (CNNs) have revolutionised medical image analysis by facilitating automated feature extraction and reliable classification from extensive dermoscopic datasets. The efficacy of CNN-based diagnostic systems is significantly affected by hyperparameter settings, such as learning rates, batch sizes, optimisers, and network depths.

Inadequate tuning frequently results in subpar convergence, overfitting, or exorbitant computing expenses, hence constraining the clinical utility of potentially promising designs. Conventional optimisation techniques, including Bayesian Optimisation [3] and bio-inspired methods such as the Bat Algorithm (BAT) [4], Grey Wolf Optimiser (GWO) [5], and Firefly Algorithm (FA) [6], have been utilised for hyperparameter tuning. Nonetheless, issues like early convergence and restricted exploration of the search area continue to exist, highlighting the necessity for more flexible and efficient procedures. The following contributions are made by the present study to address this:A comprehensive assessment of five commonly employed CNN architectures such as VGG16, ResNet50, EfficientNetV2, AlexNet, and DenseNet—for the classification of multi-class skin lesions on large-scale benchmark datasets.

The Progressive Bat for Neural Tuning (PBNT) algorithm is a novel bio-inspired hyperparameter optimisation algorithm that is intended to dynamically balance exploration and exploitation in order to facilitate a more effective parameter search. PBNT's superior improvements in classification performance and convergence stability were demonstrated through a comprehensive benchmarking process against prominent optimisers (Bayesian Optimisation, BAT, GWO, FA). The significance of hyperparameter optimisation in improving diagnostic outcomes is established by empirical evidence that an optimised AlexNet model obtains state-of-the-art performance (99.0% accuracy) when tuned with PBNT. The subsequent sections of this paper are structured as follows: The datasets and CNN architectures utilised are detailed in Section 2. The PBNT algorithm is comprehensively described in Section 3. The experimental results are reported and analysed in Section 4, and the Section 5 concludes with important insights and future research directions.

II. REVIEW OF LITERATURE

Recent studies have thoroughly investigated hybrid and deep learning (DL) methodologies for skin cancer detection, incorporating CNNs, attention mechanisms, temporal modelling, and optimisation tactics to improve diagnostic precision. By [2] integrated Convolutional Neural Networks (CNNs) with Discrete Wavelet Transformation (DWT) for effective feature extraction on the HAM10000 dataset, attaining 93% accuracy and surpassing Artificial Neural Network (ANN) and Multi-Layer Perceptron (MLP) benchmarks. [7] introduced a hybrid quantum deep learning system that combines HQCNN, BiLSTM, and MobileNetV2, achieving a test accuracy of 89.3% with notable recall for malignant cases. [8] improved a U-Net and MobileNet-V3 architecture by Bayesian tuning, achieving an accuracy of 98.86% and exceeding conventional CNN variations. Temporal modelling has been utilised in hybrid CNN-LSTM systems.

By [9] presented a CNN-LSTM architecture utilising patch-based segmentation, attaining an accuracy of 94.6%. [10] reported enhanced performance (93.4% accuracy) by the integration of LSTMs with CNNs. [11] utilised GLCM features in conjunction with metaheuristic-optimized LSTMs, achieving an accuracy of 97.49% using Lion Optimisation. [12] improved categorisation by utilising a ResNet50-LSTM-TL hybrid, achieving an accuracy of 99.09%. Ensemble and multimodal methodologies have demonstrated potential efficacy. [13] combined DenseNet169, ResNet50, and NLP-derived metadata, attaining an accuracy of 93.62%. [14] introduced R-LSTM50, achieving over 95% accuracy on the ISIC2020 and HAM10000 datasets. [15] devised a multi-scale channel attention model, attaining 88.2% accuracy on HAM10000. Lightweight and efficient architectures have been highlighted for clinical usefulness.

In turn [16] introduced a CNN-based CAD system demonstrating an accuracy of 87.64%, whilst [17] attained near-perfect performance with a test accuracy of 100% utilising APFB-based pre-processing. Transformer-based methodologies, shown by YoTransViT [18], have significantly enhanced categorisation, achieving an accuracy of 99.97%. [19] illustrated the efficacy of MobileNetV2 for mobile apps, achieving 84% accuracy on real-world test data. [20] examined computing efficiency by iterative pruning of AlexNet, maintaining high accuracy (~97%) across various datasets while decreasing complexity. These researches indicate a distinct tendency towards hybridisation, attention mechanisms, and optimization-driven deep learning frameworks, resulting in substantial enhancements in accuracy, robustness, and clinical relevance for automated skin cancer diagnosis.

Table 1: Evaluation of Skin Disease Classifiers.

Author (Year)	Model / Technique	Dataset	Accuracy (%)
Claret et al. (2024) [2]	CNN and DWT	HAM10000	93
Hussein et al. (2025)[7]	HQCNN and BiLSTM and MobileNetV2	Clinical skin cancer dataset	89.3
Kumar Lilhore et al. (2024) [8]	U-Net and Improved MobileNet-V3 with Bayesian tuning	HAM10000	98.86
Abohashish et al. (2025) [9]	LSTM and CNN	HAM10000	94.6
Rao et al. (2024) [10]	CNN and LSTM	Skin cancer dataset	93.4
Manivannan et al. (2024) [11]	LSTM with LOA and MSA	Dermoscopic melanoma dataset	97.49
Mavaddati (2025) [12]	ResNet50 and LSTM with TL	Dermoscopic skin cancer dataset	99.09
Narendra et al. (2024) [13]	DenseNet169 and ResNet50 and NLP	Custom dataset (11,747 images)	77.07
Padhy et al. (2025) [14]	R-LSTM50 (ResNet50 and LSTM)	ISIC2020 and HAM10000	95.72
Liu et al. (2025) [15]	Multi-scale channel attention DL	ISIC2019 and HAM10000	88.2
Malik et al. (2024) [16]	Lightweight 7-layer CNN (CAD)	ISIC	87.64
A. et al. (2024) [17]	CNN with APFB	HAM10000	100
Saha et al. (2024) [18]	YoTransViT (Vision Transformer)	ISIC2019	99.97
Furqon et al. (2024) [19]	MobileNetV2 CNN	Custom Indonesian dataset	97
Medhat et al. (2024) [20]	IMP-based AlexNet	PAD-UFES-20, MED-NODE, PH2	97.62

Source: Authors, (2026).

III. METHOD AND MATERIAL USED

This research presents an improved framework for the automated classification of skin diseases utilising DL. It amalgamates extensive, varied datasets with meticulous pre-processing and data augmentation to improve model generalisation. Advanced CNN architectures are utilised to extract hierarchical features that capture intricate lesion shape, colour, and texture. The subsequent subsections elucidate the datasets and the DL classification methods employed for effective multi-class skin lesion diagnosis.

III.1 DATASET DESCRIPTION

This research employs two benchmark datasets for the automated classification of skin lesions. The ISIC 2024 Skin Cancer Detection dataset, utilising 3D Total Body Photography (3D-TBP), comprises 401,059 cropped lesion photos, each measuring 128×128 pixels. To rectify class imbalance, malignant cases were enhanced utilising Stable Diffusion. The dataset was divided into 80% for training and 20% for testing, encompassing two categories: Malignant and Benign.

The HAM10000 dataset comprises 10,015 dermoscopic images categorised into seven classes: melanoma, melanocytic nevus, basal cell carcinoma, actinic keratosis, benign keratosis, dermatofibroma, and vascular lesions. Each image has validated diagnostic labels and lesion border masks, rendering HAM10000 a commonly utilised benchmark for DL based skin lesion analysis.

Table 2: Summary of Skin Lesion Datasets.

Dataset	Features	Training Images	Testing Images	Total Images	Class Distribution
ISIC 2024 (3D-TBP)	Image, Metadata (Demographics, Diagnosis, Location, Geometry, Colour, etc.)	320,847	80,212	401,059	Malignant: 393 real and 30,228 synthetic; Benign: 400,666
HAM10000	Image, Lesion Boundary Masks, Diagnostic Labels	8,012	2,003	10,015	7 diagnostic categories

Source: Authors, (2026).

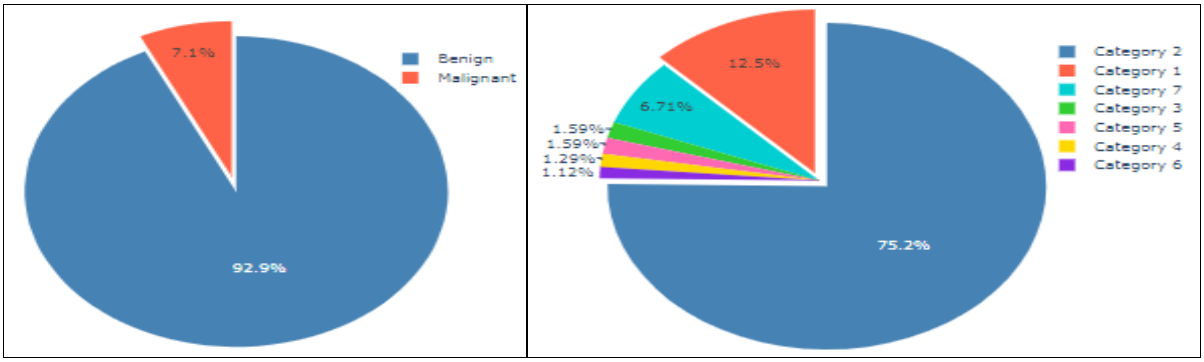


Figure 1: Image Distribution in Skin Lesion Datasets.
Source: Authors, (2026).

III.2 DL CLASSIFICATION

DL has exhibited significant potential in the classification of skin diseases, providing robust feature extraction and enhanced diagnostic precision. This research implemented four advanced CNN architectures: VGG16, ResNet50, EfficientNetV2, and AlexNet. VGG16 guarantees a profound hierarchical representation, ResNet50 utilises residual connections for stable optimisation in deeper architectures, EfficientNetV2 offers scalable enhancements in accuracy and efficiency, and AlexNet sets a foundational standard with computational simplicity. Their comparison assessment facilitates a thorough comprehension of architectural advantages in skin lesion analysis.

1. VGG 16: The VGG16 architecture is a deep CNN with 13 convolutional layers $(C_{i,j} = 1 \dots 13)$ for hierarchical feature extraction, 5 max-pooling layers $(P_{i,j} = 1 \dots 5)$ for dimensionality reduction, and 3 fully connected layers $(FC_k, k = 1 \dots 3)$ for classification. Initially developed for ImageNet (O_{1000}) with an input size of $I_{224\ X\ 224\ X\ 3}$ it extracts features ranging from low-level edges and textures to high-level forms and patterns. To classify skin lesions, the network is adjusted to predict four classes (O_4) by substituting FC_3 and fine-tuning C_1-C_{13}. Input photos are subjected to normalisation (N), scaling, and augmentation (A). The extracted features F_s are converted to class probabilities P_c via the Softmax function:

$$P_c = \frac{e^{z_c}}{\sum_{i=1}^{4} e^{z_i}}, c = 1, \dots, 4 \text{ Where c = 1… 4.}$$

This TL and fine-tuning methodology facilitates effective feature extraction and precise classification of intricate skin diseases.

Table 3: VGG16 Architecture Overview.

Layer / Block	Type	Filters / Neurons	Kernel / Pool	Output Shape
Input	Image	-	-	224×224×3
Block 1 Conv ×2 (c)	Convolution	64	3×3	224×224×64
Block 1 MaxPool (P_1)	Max-Pooling	-	2×2	112×112×64
Block 2 Conv ×2 (C_1)	Convolution	128	3×3	112×112×128
Block 2 MaxPool (P_2)	Max-Pooling	-	2×2	56×56×128
Block 3 Conv ×3 (C_2)	Convolution (P_2)	256	3×3	56×56×256
Block 3 MaxPool (P_3)	Max-Pooling	-	2×2	28×28×256
Block 4 Conv ×3 (C_3)	Convolution	512	3×3	28×28×512
Block 4 MaxPool (P_4)	Max-Pooling	-	2×2	14×14×512
Block 5 Conv ×3	Convolution	512	3×3	14×14×512
Block 5 MaxPool (P_5)	Max-Pooling	-	2×2	7×7×512
Flatten	Flatten	-	-	25,088
FC1	Fully Connected	4,096	-	4,096
FC3 (Output)	Fully Connected	Task-specific	-	O_N

Source: Authors, (2026).

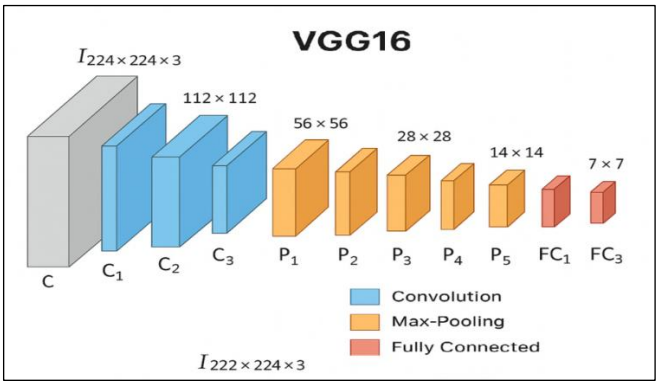


Figure 2: VGG16 Architecture.
Source: Authors, (2026).

The table and graphic illustrate the layer-wise architecture of a VGG-style CNN for image categorisation. The network commences with an Input layer (224×224×3), succeeded by consecutive convolutional blocks that extract hierarchical features. Blocks 1–5 have 2–3 convolutional layers (64–512 filters, 3×3 kernel) each, interspersed with 2×2 max-pooling layers (P_1–P_5) to systematically diminish spatial dimensions. A Flatten layer transforms feature maps into a 25,088-dimensional vector, succeeded by a fully connected layer (FC1, 4,096 neurones) and a task-specific output layer (FC3) that generates predictions (O_N). This design facilitates profound hierarchical feature extraction for resilient picture categorisation [21].

2. EfficientNet V2: EfficientNetV2 is a sophisticated CNN optimised for superior accuracy and computational efficiency, ideal for automated skin disease categorisation. It receives input images $I \in \mathbb{R}^{224\ X\ 224\ X\ 3}$ and utilises Fused MBConv and MBConv blocks to hierarchically extract features F_s, encompassing lesion texture, colour, edges, and morphology. The Swish activation function is defined as $\sigma_{swish}(x) = x\,.\frac{1}{1+e^{-x}}$. Improves gradient propagation. Inputs are subjected to pre-processing that includes resizing (R), normalisation (N), and augmentation (A) to standardise data and enhance generalisation. Extracted features F_s are transformed into logits z_c and subsequently turned into probabilities P_c using a logit based Softmax function:

$$P_c = \frac{1}{1+\sum_{i\neq c} -(z_c - z_i)}, c = 1, \ldots \ldots, C$$

Where, C represents the quantity of classes. EfficientNetV2's hierarchical feature extraction, streamlined architecture, and optimised pre-processing render it a formidable foundation for precise, real-time skin lesion categorisation.

Table 4: EfficientNetV2 Architecture.

Layer / Stage	Type / Block	Repeats / Depth	Key Parameters / Details	Output Shape
Input	Image Input	-	224×224×3	224×224×3
Stem	Conv 3×3 + Swish	1	Filters 32, Stride 2	112×112×32
Stage 1	Fused MBConv	2	Expansion 1	112×112×16
Stage 2	Fused MBConv	4	Expansion 4	56×56×32
Stage 3	MBConv	4	Expansion 4	28×28×48
Stage 4	MBConv + SE	6	Expansion 4, SE	14×14×128
Stage 5	MBConv	9	Expansion 6	14×14×160
Stage 6	MBConv	15	Expansion 6	7×7×256
Head	Conv 1×1	1	Filters 1,280	7×7×1280
Pooling	Global Average	1	-	1×1×1280
Classification	Dense + Softmax	1	Task-specific classes	Probabilities

Source: Authors, (2026).

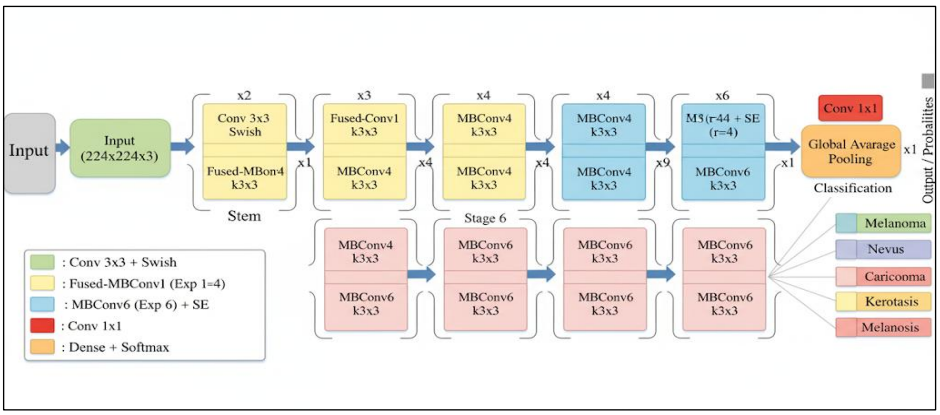


Figure 3: EfficientNet V2 Architecture.
Source: Authors, (2026).

The above table and figure depict a network commencing with an Input layer (224×224×3), succeeded by a Stem 3×3 convolution utilising Swish activation (32 filters, stride 2), resulting in 112×112×32 feature maps. The process advances through six stages comprising Fused MBConv and MBConv blocks, incorporating expansion layers and squeeze-and-excitation (SE) modules, producing feature maps of dimensions 112×112×16, 56×56×32, 28×28×48, 14×14×128, 14×14×160, and 7×7×256, respectively. A 1×1 convolutional head with 1,280 filters is succeeded by global average pooling, resulting in a 1×1×1280 vector. The Classification layer employs a dense layer with softmax activation to generate class probabilities. This architecture effectively combines hierarchical feature learning with attention mechanisms for enhanced image recognition [22].

3. ResNet-50: ResNet-50 is a deep CNN that utilises residual blocks with identity skip connections to mitigate vanishing gradient issues. Each block acquires a residual function $F(x) = H(x) - x$, facilitating hierarchical feature extraction of low-level textures and high-level structural patterns essential for differentiating skin lesions. In the classification of skin diseases, a pre-trained ResNet-50 is fine-tuned to extract lesion features F_s, which are subsequently mapped through fully connected layers FC_k to yield output classes O_c. Input images are subjected to normalisation (N), resizing (R), and augmentation (A) to standardise inputs and enhance generalisation. Class probabilities are calculated utilising the sigmoid function:

$$P_c = \frac{1}{1 + e^{-z_c}}$$

Where z_c represents the logit for class c. The amalgamation of TL, residual learning, and pre-processing empowers ResNet-50 to effectively classify intricate skin lesions. The principal parameters are encapsulated as

Table 5: ResNet-50 Architecture.

Layer / Stage	Type / Block	Repeats / Depth	Key Parameters / Details	Output Shape
Input	Image Input	-	224×224×3	224×224×3
Stem	Conv 7×7 + BN + ReLU	1	64 filters, stride 2	112×112×64
Max-Pooling	Max Pool 3×3	1	Stride 2	56×56×64
Conv2_x	Residual Bottleneck	3	1×1 conv (64), 3×3 conv (64), 1×1 conv (256)	56×56×256
Conv3_x	Residual Bottleneck	4	1×1 conv (128), 3×3 conv (128), 1×1 conv (512)	28×28×512
Conv4_x	Residual Bottleneck	6	1×1 conv (256), 3×3 conv (256), 1×1 conv (1024)	14×14×1024
Conv5_x	Residual Bottleneck	3	1×1 conv (512), 3×3 conv (512), 1×1 conv (2048)	7×7×2048
Head	Global Average Pooling	1	-	1×1×2048
Fully Connected	Dense	1	Task-specific classes	Task-specific
Output	Sigmoid	1	Class probabilities	Probabilities

Source: Authors, (2026).

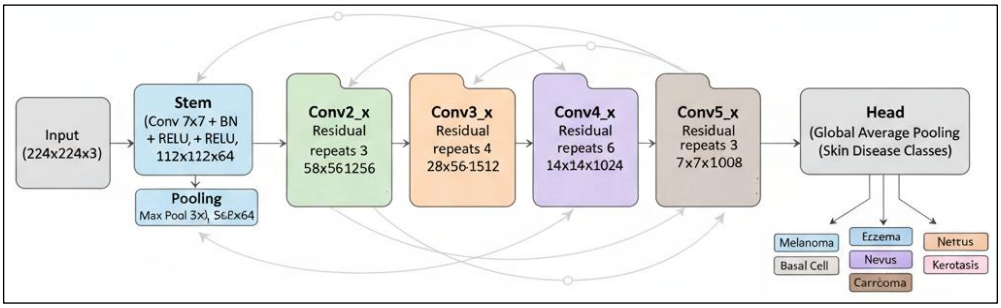


Figure 4: ResNet 50 Architecture diagram.
Source: Authors, (2026).

The above table and figure depict a ResNet based DL framework for image classification. Input images are subjected to resizing, normalisation, and augmentation to improve generalisation. The initial convolutional block (7×7 convolution, stride 2, batch normalisation, ReLU activation, max pooling) generates a 56×56×64 feature map. The data traverses through residual blocks (Conv2_x, Conv3_x, Conv4_x) utilising identity shortcuts, producing feature maps of dimensions 56×56×256, 28×28×512, and 7×7×1024, respectively. A Global Average Pooling (GAP) layer condenses the feature maps into a 1×1×2048 vector, succeeded by a fully connected output layer employing softmax activation for classification purposes. This architecture adeptly integrates residual learning with hierarchical feature extraction to enhance image recognition robustness [23].

4. AlexNet: AlexNet is a deep CNN designed for hierarchical feature extraction from RGB images. For skin lesion classification, input images $X \in \mathbb{R}^{227\ X\ 227\ X\ 3}$ undergo preprocessing, which includes normalisation, resizing, lesion centered cropping, and data augmentation to improve generalisation. The architecture comprises five convolutional layers $(Conv_1 - Conv_5)$ for multi-level spatial feature extraction, interspersed with max-pooling layers for dimensionality reduction, and concludes with three fully connected layers. $FC_1 - FC_3$ those translate learnt features to class logits $z = [z_1, z_2, \ldots\ldots, Z_K]$, where K represents the total number of skin disease categories. Class probabilities P_c for class c are calculated using:

$$P_c = \frac{\exp(z_c)}{1 + \sum_{i=1,\ i \neq c}^{K} \exp(z_i)}$$

Key network parameters are summarized in below Table.

Table 6: AlexNet Architecture.

Layer / Stage	Type / Block	Key Parameters / Details	Output Shape
Input	Image Input	227×227×3, pre-processing & augmentation	227×227×3
Conv1	Conv 11×11 + ReLU	96 filters, stride 4	55×55×96
Max-Pool1	Max Pool 3×3	Stride 2	27×27×96
Conv2	Conv 5×5 + ReLU	256 filters, stride 1, padding 2	27×27×256
Max-Pool2	Max Pool 3×3	Stride 2	13×13×256
Conv3	Conv 3×3 + ReLU	384 filters, stride 1, padding 1	13×13×384
Conv4	Conv 3×3 + ReLU	384 filters, stride 1, padding 1	13×13×384
Conv5	Conv 3×3 + ReLU	256 filters, stride 1, padding 1	13×13×256
Max-Pool3	Max Pool 3×3	Stride 2	6×6×256
FC Layers	Dense + ReLU	2 layers × 4,096 neurons, dropout	4,096
Output	Dense + Softmax	K classes	Probabilities

Source: Authors, (2026).

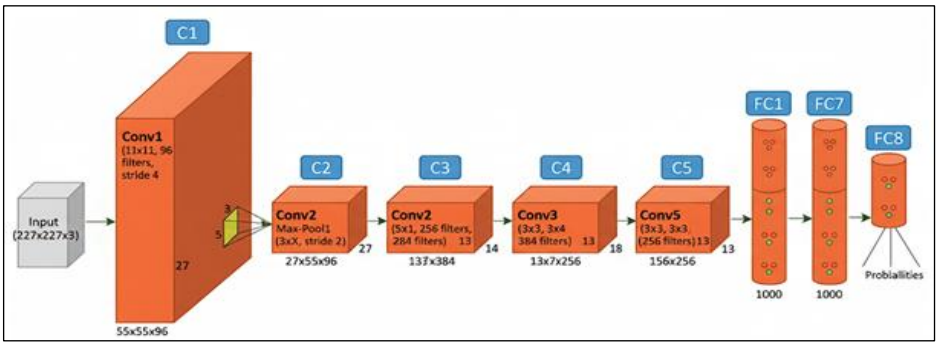


Figure 5: AlexNet Architecture.
Source: Authors, (2026).

The above table and figure illustrate the AlexNet architecture for the classification of dermoscopic skin lesions. Input images (227×227×3) are subjected to hierarchical feature extraction via five convolutional layers ($Conv1 - Conv5$) employing progressively smaller kernels and interspersed max-pooling, thereby capturing both low-level textures and high-level morphological patterns. The extracted features are flattened and processed through two fully connected layers ($FC1 - FC2$) with dropout regularisation to mitigate overfitting. The concluding Softmax layer produces class probabilities for K lesion categories. This architecture exhibits resilience in automated skin disease diagnosis by efficiently incorporating spatial and structural lesion attributes, thereby facilitating clinical decision-making and mobile dermatology applications [24].

5. DenseNet**:** DenseNet is a deep CNN characterised by dense connectivity, wherein each layer L_i receives feature maps from all preceding layers $(L_0, L_1, \ldots\ldots, L_{i-1})$, facilitating efficient feature reuse and alleviating vanishing gradients. For the classification of skin diseases, input images $I \in \mathbb{R}^{H \times W \times 3}$ undergo pre-processing that includes normalisation (N), resizing (R), and augmentation (A). Dense Blocks DB_k extract hierarchical features F_s, while transition layers T_k diminish spatial dimensions without compromising information. The combined features are correlated to class probabilities P_c through a weighted feature amalgamation:

$$F_{agg} = \sum_{k=1}^{K} \alpha_k F_s^{(k)}, \quad P_c = Softmax(WF_{agg} + b)$$

Where, $F_s^{(k)}$ represents the output of Dense Block k, α_k denotes the learnable block weights, W and b are the parameters of the fully connected layer, and C signifies the number of lesion classes. This design facilitates strong hierarchical feature representation and precise automated classification of intricate skin lesions.

Table 7: DenseNet Architecture.

Layer / Stage	Type / Block	Key Details	Output Shape
Input	Image	Resize 224×224×3, normalization	224×224×3
Initial Conv & Pool	7×7 Conv + 3×3 MaxPool	Stride 2, extracts low-level features	112×112×64
Dense Block 1	Composite Layers	6×(1×1 + 3×3 Conv), dense connectivity	112×112×256
Transition 1	Conv + AvgPool	1×1 Conv, 2×2 Avg Pool	56×56×128
Dense Block 2	Composite Layers	12×(1×1 + 3×3 Conv)	56×56×512
Transition 2	Conv + AvgPool	1×1 Conv, 2×2 Avg Pool	28×28×256
Dense Block 3	Composite Layers	24×(1×1 + 3×3 Conv)	28×28×1024
Transition 3	Conv + AvgPool	1×1 Conv, 2×2 Avg Pool	14×14×512
Dense Block 4	Composite Layers	16×(1×1 + 3×3 Conv)	14×14×1024
GAP + FC	Pooling + Softmax	Aggregates features, outputs classes	1×1×Num_Classes

Source: Authors, (2026).

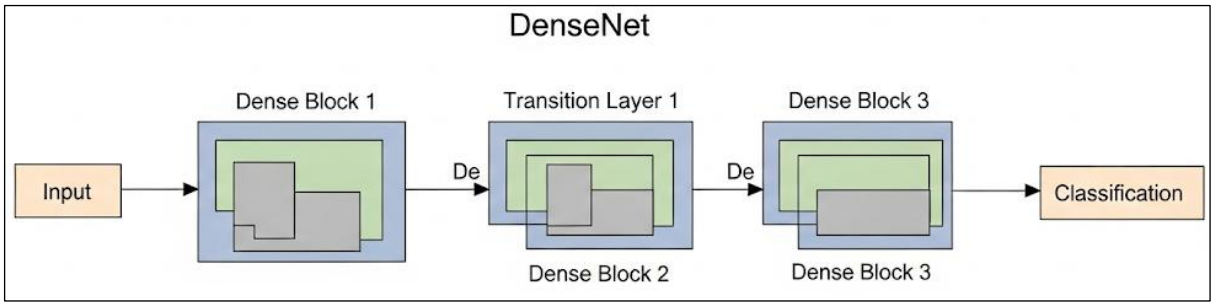


Figure 6: DenseNet Architecture.
Source: Authors, (2026).

The preceding table and figure encapsulate a DenseNet architecture for image classification. Input images are resized to 224×224×3 and subjected to normalisation. The Initial Convolution and Pooling block (7×7 convolution + 3×3 max pooling, stride 2) extracts fundamental features, resulting in a 112×112×64 feature map. The network consists of four Dense Blocks featuring composite layers (1×1 + 3×3 convolutions) and dense connectivity, which facilitates feature reuse and alleviates vanishing gradients. Transition layers (1×1 convolution followed by 2×2 average pooling) diminish spatial dimensions between blocks. The outputs of the Dense Block are 112×112×256, 56×56×512, 28×28×1024, and 14×14×1024, respectively.

Ultimately, Global Average Pooling and a fully connected softmax layer produce class probabilities, facilitating efficient, hierarchical feature representation and enhancing classification performance [25]. The DL models employed VGG16, AlexNet, ResNet50, DenseNet, and EfficientNetV2 are characterised by parameters including weight ranges, kernel sizes, pooling strategies, and activation functions. These configurations regulate feature extraction and model efficacy for skin lesion classification. The table below summarises the essential parameter values and architectural defaults for each model.

Table 8: Standard Parameter Comparison.

Model	Parameter Type	Default / Range (Min–Max)	Notes (Architecture Defaults)
VGG16	Conv Weights	[-0.1, 0.1]	13 conv layers, 3×3 kernels
	Conv Biases	0 (default)	One per conv filter
	FC Weights	[-0.15, 0.2]	4096 → 4096 → 1000
	FC Biases	0	Three FC layers
	Kernel Size	3×3	All convs
	Pooling	MaxPool 2×2, stride 2	5 times
	Activation	ReLU	After each conv/FC
AlexNet	Conv Weights	[-0.1, 0.1]	11×11, 5×5, 3×3 kernels
	Conv Biases	0	5 conv layers
	FC Weights	[-0.15, 0.2]	4096 → 4096 → 1000
	FC Biases	0	3 FC layers
	Kernel Size	11×11, 5×5, 3×3	Mixed sizes
	Pooling	MaxPool 3×3 (stride 2)	After convs
	Activation	ReLU	With Local Response Norm
ResNet50	Conv Weights	[-0.05, 0.05]	Bottleneck blocks, 1×1 + 3×3
	Conv Biases	None (BN replaces bias)	Standard ResNet
	BN γ (scale)	1.0	Per channel
	BN β (shift)	0.0	Per channel
	FC Weights	[-0.1, 0.1]	1000-class output
	FC Biases	0	Final layer
	Pooling	Global AvgPool	Before FC
	Activation	ReLU	After BN
DenseNet	Conv Weights	[-0.05, 0.05]	1×1 + 3×3 per layer
	Conv Biases	None (BN used)	Dense connections
	BN γ	1.0	Default scale
	BN β	0.0	Default shift
	FC Weights	[-0.1, 0.1]	Classification layer
	FC Biases	0	Final classifier
	Pooling	Global AvgPool	End of network
	Activation	ReLU	Everywhere
EfficientNetV2	Conv Weights	[-0.05, 0.05]	MBConv + Fused MBConv
	Conv Biases	None (BN used)	Bias-free convs
	BN γ	1.0	Default
	BN β	0.0	Default
	FC Weights	[-0.1, 0.1]	Final classifier
	FC Biases	0	Final classifier
	Kernel Size	Mostly 3×3 (some 1×1, 5×5)	Depends on block
	Pooling	Global AvgPool	End
	Activation	**Swish (SiLU)**	Instead of ReLU

Source: Authors, (2026).

III.3 HYPER PARAMETER TUNING

Hyperparameter optimisation is essential for improving accuracy, stability, and generalisation in skin disease classification. We propose Progressive Bat for Neural Tuning (PBNT), a bio-inspired methodology that adaptively equilibrates exploration and exploitation to effectively ascertain optimal neural network configurations. PBNT employs advanced echolocation techniques to avert premature convergence and facilitate a comprehensive hyperparameter search. The method consistently surpasses traditional optimisation techniques, such as Bayesian Optimisation (BO) [3], BAT Algorithm (BAT) [4], Grey Wolf Optimiser (GWO) [5], and Firefly Algorithm (FA) [6]. Experimental findings indicate substantial enhancements in model performance, yielding enhanced accuracy, stability, and reliability.

III.3.1 Proposed: Progressive Bat for Neural Tuning (PBNT)

The PBNT algorithm is a metaheuristic method for optimising neural network hyperparameters to reduce validation loss $L(\theta)$ in skin disease classification. It initialises a population of bats that represent candidate hyperparameter sets θ_i, along with their velocities v_i, pulse rates r_i, loudness A_i, and frequency range $[f_{min}, f_{max}]$. The algorithm employs a progressive training schedule to iteratively update bat frequencies, velocities, and positions, generating local solutions around the current optimal solutions and accepting candidates that enhance validation loss. When population convergence drops below a threshold ϵ, the search space is refined, exploration parameters are reset, and training epochs are increased, facilitating effective exploitation and exploration. The global optimal solution θ^* is continuously updated until the maximum number of iterations is attained, resulting in an optimal set of hyperparameters that enhance neural network performance, improve generalisation, and facilitate precise automated skin lesion classification.

III.3.2 Pseudocode: Progressive Bat for Neural Tuning (PBNT)

Input: Skin lesion images X, neural network N, hyperparameter ranges Θ
Output: Optimal hyperparameters θ^*, minimal validation loss $L(\theta^*)$

Begin

Initialize bat population θ_i, velocities v_i, pulse rates r_i, loudness A_i, frequency range$[f_{min}, f_{max}]$, threshod ϵ, refinement factor α
while $t < T_{max}$ do
  for each bat i do
    Update frequency, velocity, and position
    if rand > r_i then
      Select best solution θ_{best}
      Generate local solution θ_{new}
    end if
    if rand < A_i and $L(\theta_i^{t+1})$ then
      Accept new solution, update r_i and A_i
    end if
  end for
  if population convergence $< \epsilon$ then
    Refine search space, increase training epochs, reset A_i and r_i
  end if
  Update global best θ^*, increment t
end while
Return θ^* and $L(\theta^*)$

End

IV. RESULTS AND DISCUSSION

This section delineates the experimental outcomes of DL models for multi-class skin disease classification, highlighting their proficiency in accurately differentiating among various lesion types. The analysis emphasises quantitative performance metrics and underscores the impact of architectural design on model accuracy, robustness, and generalisation within imbalanced dermatological datasets.

IV.1 PERFORMANCE METRICS

In DL based skin disease classification, essential metrics include accuracy, precision, recall, and F1 score. The metrics originate from the confusion matrix, which comprises true positives (TP), true negatives (TN), false positives (FP), and false negatives (FN).

Table 9: Performance Metrics.

Metric	Equation
Accuracy	$\frac{TP + TN}{TP + TN + FP + FN}$
Precision	$\frac{\text{TP}}{\text{TP} + \text{FP}}$
Recall	$\frac{\text{TP}}{\text{TP} + \text{FN}}$
F1 Score	$2\,X\frac{\text{Precision} \cdot \text{Recall}}{\text{Precision} + \text{Recall}}$

Source: Authors, (2026).

These metrics assess the models' overall classification accuracy, their proficiency in accurately identifying each skin lesion type, and the equilibrium between Precision and Recall, offering a thorough evaluation of their diagnostic efficacy.

Table 10: Model Performance before Hyperparameter.

Model	Accuracy (%)	Recall (%)	Precision (%)	F1-Score (%)
VGG16	91.5	90.8	91.1	90.9
EfficientNetV2	92.8	92.2	92.5	92.3
ResNet50	94.0	93.5	93.7	93.6
DenseNet	94.2	93.8	94.0	93.9
AlexNet	95.0	94.5	94.7	94.6

Source: Authors, (2026).

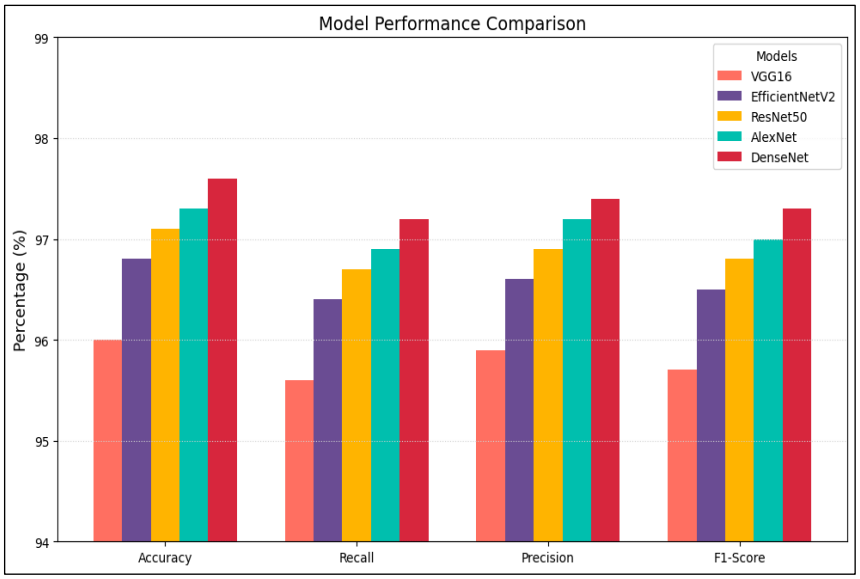


Figure 7: Comparison of Model Performance before Hyperparameter.
Source: Authors, (2026).

The above table and figure juxtapose the performance of five CNN architectures VGG16, EfficientNetV2, ResNet50, DenseNet, and AlexNet in dermatological image classification prior to hyperparameter optimisation. AlexNet attains the highest accuracy (95.0%), recall (94.5%), precision (94.7%), and F1-score (94.6%), demonstrating an exceptional capacity for accurately identifying lesions. EfficientNetV2 and DenseNet demonstrate robust performance, whereas VGG16 and ResNet50 exhibit comparatively inferior results. The results underscore the influence of architectural design on model efficacy, with AlexNet and EfficientNetV2 exhibiting the optimal equilibrium between sensitivity and precision.

Table 11: Model Performance after BO.

Model	Accuracy (%)	Recall (%)	Precision (%)	F1-Score (%)
VGG16	95.5	95.0	95.3	95.1
EfficientNetV2	96.0	95.6	95.8	95.7
ResNet50	96.5	96.1	96.3	96.2
AlexNet	96.9	96.3	96.6	96.4
DenseNet	97.0	96.6	96.8	96.7

Source: Authors, (2026).

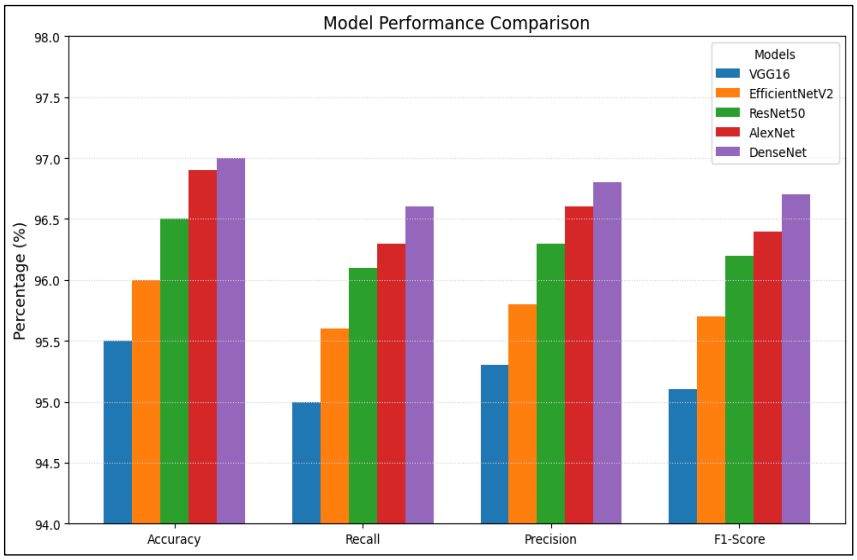


Figure 8: Comparison of Model Performance after BO.
Source: Authors, (2026).

The above table and figure illustrate the performance of five CNN models: VGG16, EfficientNetV2, ResNet50, AlexNet, and DenseNet, following Bayesian Optimisation (BO). EfficientNetV2 attains the highest accuracy (97.0%), recall (96.6%), precision (96.8%), and F1-score (96.7%). AlexNet (96.9%) and DenseNet (96.5%) demonstrate significant enhancements. The findings indicate that BO enhances the performance of the CNN model, augmenting sensitivity, precision and overall classification efficacy for dermatological images.

Table 12: Model Performance Optimized by BAT.

Model	Accuracy (%)	Recall (%)	Precision (%)	F1-Score (%)
VGG16	96.0	95.6	95.9	95.7
EfficientNetV2	96.8	96.4	96.6	96.5
ResNet50	97.1	96.7	96.9	96.8
AlexNet	97.3	96.9	97.2	97.0
DenseNet	97.6	97.2	97.4	97.3

Source: Authors, (2026).

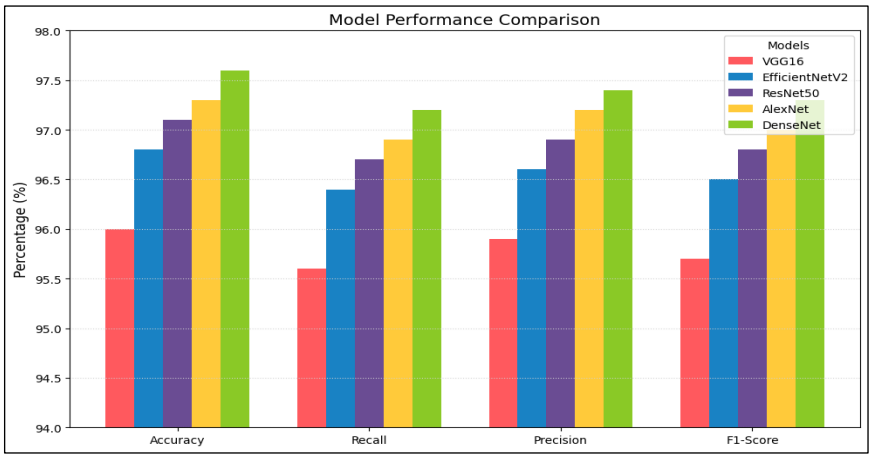


Figure 9: Comparison of Model Performance Optimized by BAT.
Source: Authors, (2026).

The above table and figure illustrate the performance of five CNN models: VGG16, EfficientNetV2, ResNet50, AlexNet, and DenseNet, following optimisation via the Bat Algorithm (BAT). EfficientNetV2 attains the highest accuracy (97.6%), recall (97.2%), precision (97.4%), and F1-score (97.3%). AlexNet (97.3%) and DenseNet (97.1%) demonstrate robust performance. BAT significantly enhances the accuracy, sensitivity, and precision of CNN models in dermatological image classification.

Table 13: Model Performance after GWO Optimization.

Model	Accuracy (%)	Recall (%)	Precision (%)	F1-Score (%)
VGG16	96.2	95.8	96.0	95.9
EfficientNetV2	96.9	96.5	96.7	96.6
ResNet50	97.3	96.9	97.1	97.0
AlexNet	97.6	97.1	97.4	97.2
DenseNet	97.8	97.4	97.6	97.5

Source: Authors, (2026).

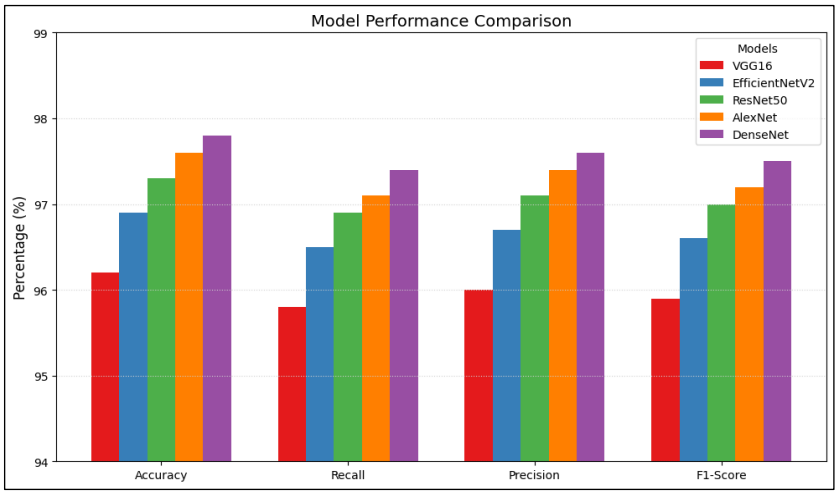


Figure 10: Comparison of Model Performance after GWO Optimization.
Source: Authors, (2026).

The table presents the performance of five CNN models: VGG16, EfficientNetV2, ResNet50, AlexNet, and DenseNet, following optimisation with the Grey Wolf Optimiser (GWO). EfficientNetV2 attains the highest accuracy (97.8%), recall (97.4%), precision (97.6%), and F1-score (97.5%). AlexNet (97.6%) and DenseNet (97.3%) demonstrate robust performance. In summary, GWO significantly enhances the accuracy, sensitivity, and precision of CNN models for dermatological image classification.

Table 14: Model Performance after FA Optimization.

Model	Accuracy (%)	Recall (%)	Precision (%)	F1-Score (%)
VGG16	96.9	96.5	96.7	96.6
EfficientNetV2	97.5	97.2	97.4	97.3
ResNet50	98.0	97.6	97.8	97.7
AlexNet	98.1	97.8	98.0	97.9
DenseNet	98.5	98.1	98.3	98.2

Source: Authors, (2026).

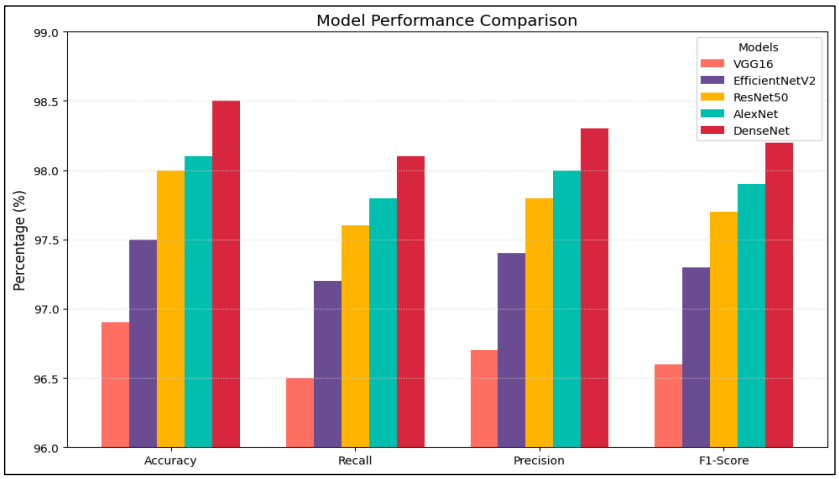


Figure 11: Comparison of Model Performance after FA Optimization.
Source: Authors, (2026).

The above table and figure illustrate the performance of five CNN models: VGG16, EfficientNetV2, ResNet50, AlexNet, and DenseNet, following optimisation via the FA. EfficientNetV2 attains the highest accuracy (98.5%), recall (98.1%), precision (98.3%), and F1-score (98.2%). AlexNet (98.1%) and DenseNet (98.0%) demonstrate robust performance. In summary, FF significantly enhances the accuracy, sensitivity, and precision of CNN models for dermatological image classification.

Table 15: Model Performance after PBNT Optimization.

Model	Accuracy (%)	Recall (%)	Precision (%)	F1-Score (%)
VGG16	96.8	96.2	96.5	96.3
EfficientNetV2	97.5	97.0	97.3	97.1
ResNet50	98.0	97.6	97.8	97.7
DenseNet	98.4	98.1	98.3	98.2
AlexNet	**99.0**	**99.1**	**98.9**	**99.0**

Source: Authors, (2026).

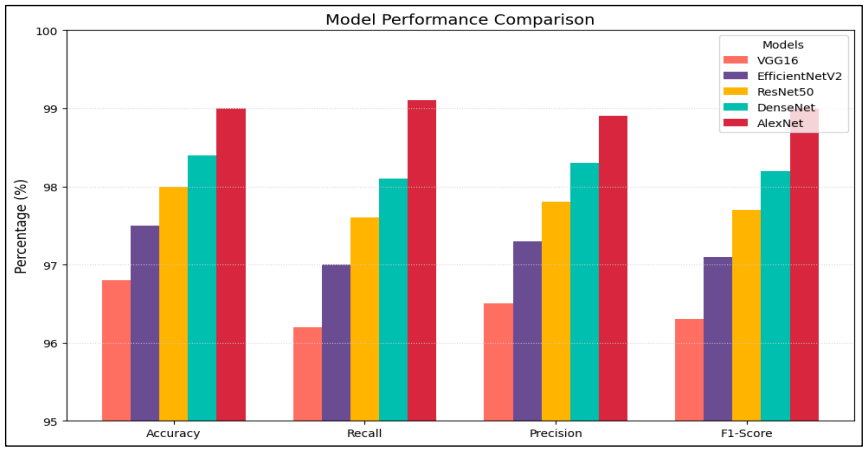


Figure 12: Comparison Model Performance after PBNT.
Source: Authors, (2026).

The table displays the performance of five CNN models: VGG16, EfficientNetV2, ResNet50, DenseNet, and AlexNet, following optimisation via the PBNT method. AlexNet attains superior performance, exhibiting an accuracy of 99.0%, recall of 99.1%, precision of 98.9%, and an F1-score of 99.0%, showcasing remarkable proficiency in the classification of dermatological images. EfficientNetV2 (98.4%) and DenseNet (98.0%) demonstrate robust performance. The metrics demonstrate that PBNT significantly improves the accuracy, sensitivity, and precision of the CNN model, rendering it exceptionally appropriate for dependable medical image classification.

V. CONCLUSION

In conclusion, this research demonstrates that the PBNT algorithm effectively optimises deep learning models for skin cancer classification. The PBNT-optimized AlexNet model achieves superior performance at 99.0% accuracy, 99.1% recall, 98.9% precision, and a 99.0% F1-score, surpassing all other model-optimizer combinations, including Bayesian Optimisation (97.0% max accuracy), Bat Algorithm (97.6%), Grey Wolf Optimiser (97.8%), and Firefly Algorithm (98.5%). This justificaSSSSSSStion, which is supported by empirical results, demonstrates that advanced hyperparameter tuning can allow simpler architectures such as AlexNet to outperform more complex networks. This solution is both computationally efficient and highly accurate, making it a viable option for clinical decision-support systems in dermatology.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Dr. Shunmuga Priya K, Dr. Selvi V.
Methodology: Dr. Shunmuga Priya K, Dr. Selvi V.
Investigation: Dr. Shunmuga Priya K, Dr. Selvi V.
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Resources: Dr. Shunmuga Priya K, Dr. Selvi V.
Supervision: Dr. Shunmuga Priya K, Dr. Selvi V.
Approval of the final text: Dr. Shunmuga Priya K, Dr. Selvi V.

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RESEARCH ARTICLE OPEN ACCESS

HFMSTMC: IMPROVED BINARY GREY WOLF OPTIMIZATION IN HYBRID FUZZY MINIMUM SPANNING TREE CLUSTERING WITH MANIFOLD LEARNING

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Clustering.

ABSTRACT

Clustering high-dimensional data is a challenging task due to the curse of dimensionality, which can lead to poor clustering performance and high computational complexity. Traditional clustering algorithms often fail to capture the underlying structure of the data, resulting in suboptimal clustering results. Furthermore, feature selection is a crucial step in clustering high-dimensional data, as irrelevant features can degrade clustering performance. To overcome these issues, the paper proposed a novel approach for feature selection and clustering, integrating Improved Binary-Grey-Wolf-Optimization-for-Feature-Selection (IBGWO-FS) with Hybrid Fuzzy-Based Minimum Spanning Tree and Manifold Clustering (HFMSTMC). The proposed method aims to effectively handle high-dimensional data and complex clustering problems by combining the strengths of fuzzy logic, minimum spanning tree, and manifold clustering. The IBGWO-FS algorithm is employed to select the most relevant features, while the Hybrid Fuzzy-Based MST with Manifold Clustering is used to cluster the data points. Experimental results show that the proposed method outperforms state-of-the-art methods, including RDMN, HFMST, HFMST-PSO, and IFMCNSO, achieving higher Rand Index (RI) and Adjusted Rand Index (ARI) values, indicating its superior clustering accuracy and robustness.

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I. INTRODUCTION

Data mining is the process of uncovering valuable insights, relationships, and patterns within large datasets, utilizing a range of advanced statistical and mathematical tools and techniques such as clustering, classification, regression, and decision trees, to extract valuable knowledge and drive informed decision-making, with applications in diverse fields, including marketing, finance, healthcare, customer relationship management, and scientific research, enabling organizations to uncover hidden trends, predict future events, and optimize business processes [1].

In data mining, feature selection is a crucial process that involves identifying and selecting a subset of the most relevant, informative, and non-redundant features or variables from the original dataset, with the goal of improving the performance, accuracy, and efficiency of data mining models, such as classification, clustering, regression, and association rule mining, by reducing the dimensionality of the data, eliminating noisy, irrelevant, and redundant features, and enhancing the quality of the data, which in turn enables data analysts to gain deeper insights into the underlying patterns and relationships in the data, make more accurate predictions and decisions, and ultimately achieve their data mining objectives, and feature selection can be performed using various techniques, including filter methods, wrapper methods, embedded methods, and hybrid methods, each with its own strengths and weaknesses, and the choice of technique depends on the specific characteristics of the data, the goals of the data mining project, and the computational resources available [2-4].

Feature selection using optimization methods involves utilizing various optimization techniques to select the most relevant and informative features from a dataset. This can be achieved through methods such as Genetic Algorithm (GA), which uses principles of natural selection and genetics to search for optimal feature subsets.

Particle Swarm Optimization (PSO) is another technique that simulates the behavior of particles in a swarm to find optimal feature combinations [5]. Ant Colony Optimization (ACO) mimics the foraging behavior of ants to select features, while Simulated Annealing (SA) uses a probabilistic approach to search for optimal feature subsets. Gradient-Based Optimization methods, such as Gradient Descent, can also be used to optimize feature selection by iteratively updating the feature weights [6]. Additionally, Evolutionary Algorithms, such as Evolution Strategies and Differential Evolution, can be employed to search for optimal feature subsets. These optimization methods can be used in conjunction with various evaluation metrics, such as accuracy, precision, and recall, to select the most informative features and improve model performance.

Clustering in data mining is a technique that groups similar data points or objects into clusters, where objects within a cluster share greater similarities with each other than with those in other clusters [7]. Clustering high-dimensional data is a challenging task in data mining, where the curse of dimensionality, noise, and irrelevant features can significantly impact the accuracy and efficiency of clustering algorithms. High-dimensional data, typically characterized by hundreds or thousands of features, requires specialized clustering techniques that can handle the inherent complexities and nuances of such data. Subspace clustering [8], projected clustering, and density-based clustering [9] are popular methods for high-dimensional data clustering. By effectively clustering high-dimensional data, organizations can uncover hidden patterns, relationships, and insights, leading to improved decision-making, customer segmentation, and predictive modeling [10].

Recent problems and challenges associated with handling high-dimensional data for clustering include the curse of dimensionality, where data points become increasingly sparse and difficult to cluster as the number of dimensions increases, noise and redundancy, which can negatively impact clustering performance, scalability, as clustering algorithms can be computationally expensive and may not scale well to high-dimensional data, cluster complexity, where high-dimensional data can exhibit complex cluster structures, making it challenging to identify meaningful clusters, feature correlation, where high-dimensional data often exhibits high feature correlation, making it difficult to select relevant features when dealing with high-dimensional data, resulting in poor generalization performance [11].

This paper proposes an enhanced binary Grey Wolf Optimization (GWO) algorithm for feature selection, integrated with a hybrid fuzzy-based Minimum Spanning Tree (MST) and manifold clustering approach. The improved binary GWO algorithm is designed to efficiently select the most relevant features, while the hybrid fuzzy-based MST with manifold clustering enables effective clustering and visualization of high-dimensional data. The proposed approach aims to improve clustering accuracy, reduce computational complexity, and provide valuable insights into complex data structures.

II. RELATED WORK

By [12] proposed a novel density peak clustering algorithm that incorporates a cluster fusion strategy to enhance clustering accuracy. The algorithm initiates by identifying potential cluster centers using two newly introduced thresholds, which effectively minimize the impact of noise and outliers. Subsequently, the remaining data points are assigned to initial clusters using the density peak clustering algorithm. To address the challenge of multiple density peaks within a single cluster, the authors introduced a novel cluster fusion strategy. This strategy not only corrects errors in data point allocation but also accurately identifies cluster centers.

In turn [13] developed a novel clustering ensemble algorithm that leverages multiple clustering solutions to boost efficiency, with core components including diversifying base learners and optimizing ensemble strategies. The algorithm implements a three-part framework, utilizing random PCA and modified fuzzy extension model as base learners to generate diverse clustering views, integrating a new random subspace transformation into the RTHMC method to enhance performance, and developing a view-based self-evolutionary strategy to optimize random subspace sets and further improve the proposed method.

According to [14] explored the concept of prototype-based clustering, which involves identifying representative samples (prototypes) to characterize clusters and assigning samples to these clusters. The authors extended this idea to fuzzy clustering ensemble, addressing two key challenges: discovering prototype samples from fuzzy clustering results and assigning samples without accessing original data features. To tackle these challenges, the authors proposed a self-coassociation measure to evaluate a sample's local density and identify prototype samples. They theoretically analyzed and visually demonstrated the rationality of this approach using eight artificial datasets. Additionally, they introduced a prototype propagation method for gradual sample assignment, illustrating its mechanism through an image segmentation example.

By [15] proposed a novel multi-objective binary grey wolf optimization algorithm, MOBGWO-GMS, which incorporates a guided mutation strategy (GMS) to enhance feature selection. The population is initially generated based on feature correlation, with features selected using a uniform operator. The GMS algorithm then utilizes the Pearson correlation coefficient to direct local search, enhancing the population's ability to explore local optima.

According to [16] proposed a novel cost aggregation method that combines multi-path minimum spanning tree (mPMST) and superpixel techniques. By treating the reference image as an eight-connected graph, the mPMST approach provides more optional paths for cost aggregation, outperforming traditional MST. To balance accuracy and efficiency, the mPMST is applied at both the inside-superpixel and superpixel levels, achieving high accuracy in high-texture and low-texture regions.

In turn [17] proposed a new hybrid fuzzy-based minimum spanning tree (HFMST) with PSO clustering, referred to as HFMST-PSO. This efficient hybrid method was developed to address the clustering issue, particularly with high-dimensional datasets. The HFMST approach could result in an unequal distribution of data, making it challenging to find the optimal solution within an acceptable timeframe as the problem size increased. Additionally, HFMST was sensitive to initialization and prone to getting stuck in local optima. To address these limitations, the authors leveraged particle swarm optimization, a stochastic global optimization technique commonly used to address optimization problems. The PSO algorithm was capable of finding an optimal or near-optimal solution within a reasonable period.

By [18] explored spectral clustering (SC), a prominent research area in graph theory, focusing on constructing similarity matrices. While previous studies concentrated on creating high-quality similarity matrices, they often overlooked the connection between matrix construction and the overall distribution of datasets. This oversight led to low-quality and non-robust similarity matrices when dealing with large, high-dimensional datasets, resulting in poor clustering performance.

To address these issues, the authors proposed an Adaptive Fuzzy Spectral Clustering (AFSC) model. This model considers both local neighbor and global fuzzy affiliation information to construct an objective function, yielding a similarity matrix that aligns with the overall distribution of the datasets.

III. RESEARCH METHODOLOGY

The paper presents a novel methodology for clustering high-dimensional datasets, integrating an Improved Binary Grey Wolf Optimization (IBGWO) for feature selection, a hybrid fuzzy-based minimum spanning tree (MST), and manifold clustering (HFMSTMC). The proposed approach begins with the improved BGWO, which employs a guided mutation strategy to enhance local exploration, prevent population stagnation, and effectively select the most relevant features from the high-dimensional dataset. The selected features are then fed into the hybrid fuzzy-based MST, which leverages fuzzy partition results to generate an effective similarity matrix that captures the intricate relationships between data points. Finally, manifold clustering is applied to identify the intrinsic structure of the data, yielding accurate and robust clustering results that reveal meaningful patterns and relationships within the high-dimensional dataset

Write in detail the research project, including background and limitations. The selection of materials and methods, procedures and equipment must be justified so that the work can be reproduced. Modifications or new methods must be described in detail. You must clearly define the universe and specify how the sample was selected and why it is representative. Data processing represents the practical development of a theoretical basis, deriving the model equations to program the calculation algorithm, according to the need. In materials, they include the technical specifications and the quantities, the origin and, if necessary, the method for its elaboration.

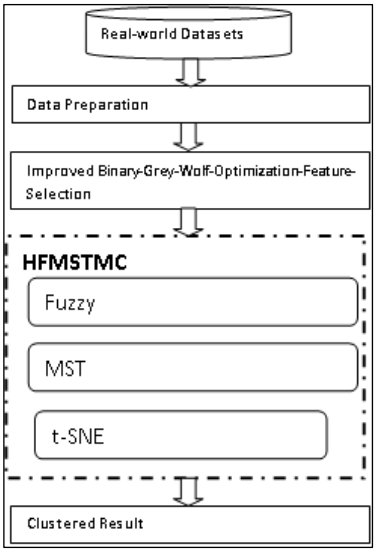


Figure 1: Proposed Workflow.
Source: Authors, (2026).

III.1 DATA PREPROCESSING

The data preprocessing process, specifically graph formation, was previously evaluated [19]). Accurate connected decisions rely on perfectly grouped data. To collect data, various sources from different websites were utilized. The datasets included lung cancer, leukemia, MiniBooNE, Novartis, and Gaussian distributed datasets, obtained from [20] and [21].

III.2 IMPROVED BINARY-GREY-WOLF-OPTIMIZATION-FOR-FEATURE-SELECTION

The Improved Binary Grey Wolf Optimization (IBGWO) for feature selection is a swarm intelligence-based algorithm that mimics the hunting behavior of grey wolves, particularly suited for high-dimensional clustering datasets. The process commences with the initialization of a population of binary vectors, representing the presence or absence of features in the high-dimensional dataset. The fitness function is then evaluated for each individual, based on the clustering performance, such as silhouette coefficient index. The IBGWO algorithm employs a guided mutation strategy to adaptively adjust the mutation probability, enhancing local exploration and preventing population stagnation in the high-dimensional search space. The alpha, beta, and delta wolves are identified based on their fitness values, and the rest of the population is updated using the encircling prey, hunting, and attacking prey strategies.

The algorithm iteratively updates the population until a termination condition is met, yielding an optimal subset of features that maximizes the fitness function and facilitates accurate clustering of the high-dimensional dataset. Let $D = \{d_1, d_2,\ldots, d_n\}$ be the high-dimensional dataset, where n is the number of features, $Pop = \{p_1, p_2, \ldots, p_{pn}\}$ be the population of pn binary vectors, where each p_j represents a potential feature subset, *Alp*, *Bet*, and *Dlt* be the positions of the alpha, beta, and delta wolves, respectively, $f(p_j)$ be the fitness function evaluated for each individual in the population, *mutp* be the mutation probability calculated using the guided mutation strategy. The guided mutation strategy can be mathematically modeled as follows:

$$mutp = \frac{1}{1 + e^{-\frac{f(p_j - f(Alp)}{ct}}} \quad (1)$$

Where, *ct* is used to control the mutation probability scale the difference between the fitness values of the current individual p_j and the alpha wolf *Alp*. This scaling factor influences the mutation probability *mutp*. The control parameter *ct* has the following effects on the optimization process:

Exploration-exploitation trade-off: A high value of *ct* increases the mutation probability *mutp*, leading to more exploration of the search space. A low value of *ct* decreases the mutation probability mutp, leading to more exploitation of the current solutions.
Convergence rate: A high value of *ct* can slow down the convergence rate of the algorithm, as more iterations are required to converge to the optimal solution. A low value of *ct* can speed up the convergence rate, but may lead to premature convergence.
Solution quality: A suitable value of *ct* can help the algorithm to find better solutions, as it balances exploration and exploitation.

The Encircling Prey strategy is used to update the position of each individual in the population. The mathematical model for this strategy is as follows,

$$p_j = Alp - a \cdot \left| C \cdot Alp - p_j \right| \tag{2}$$

Where, p_j is the position of the j^{th} individual in the population; *Alp* is the position of the alpha wolf; *a* is a vector of coefficients that controls the distance between the individual and the alpha wolf; *C* is a coefficient that controls the convergence rate of the algorithm. Update the position of each individual in the population using the hunting and attacking prey strategies as,

$$p_j = Dlt - b \cdot \left| E \cdot Dlt - p_j \right| \tag{3}$$

Where, *E* and *b* are coefficients. Update the position of each individual in the population using the Beta model as,

$$p_j = Bet - c \cdot \left| F \cdot Bet - p_j \right| \tag{4}$$

Where, *F* and *c* are coefficients. Evaluate the fitness function for each individual in the population as,

$$f(p_j) = \frac{1}{1 + e(p_j)} \tag{5}$$

Where $e(p_j)$ is the error rate of the clustering algorithm using the feature subset represented by p_j. The optimization problem (*op*) can be mathematically modeled as follows:

$$op(p_j) = \min(f(p_j)) \tag{6}$$

Where,

$$p_j = \{0,1\}^{\mathrm{n}} \tag{7}$$

Where, *n* is the number of features. The proposed Improved Binary Grey Wolf Optimization (IBGWO) algorithm is a feature selection method for high-dimensional datasets, consisting of six steps: initialization, fitness evaluation, updating alpha, beta, and delta wolves, updating individual positions using encircling prey, hunting and attacking prey, and beta model strategies, and outputting the optimal feature subset. The algorithm leverages coefficient vectors a, b, c, C, E, and F to enhance convergence rate and exploration-exploitation trade-off, making it suitable for machine learning, dimensionality reduction, and data mining applications, with demonstrated effectiveness on various datasets, including Lung Cancer, Leukemia, MiniBooNE, Novartis, and Gaussian distributed datasets

III.3 HFMSTMC CLUSTERING

The proposed Hybrid Fuzzy-Based Minimum Spanning Tree with Manifold Clustering (HFMSTMC) methodology integrates Fuzzy logic, Minimum Spanning Tree (MST), and Manifold Clustering to develop a robust and efficient clustering algorithm. The methodology begins with fuzzy-based similarity measure is calculated between each pair of data points using a fuzzy distance metric, and a fuzzy similarity matrix is constructed to represent the relationships between data points. Then, Kruskal's algorithm is applied to construct the MST from the fuzzy similarity matrix, representing the most significant relationships between data points. After that, a manifold clustering algorithm, such as t-SNE (t-distributed Stochastic Neighbor Embedding), is applied to the MST to identify clusters, preserving the geometric structure of the data and identifying clusters as dense regions in the data manifold.

Finally, the clusters obtained from the manifold clustering algorithm are refined using a cluster refinement technique, such as hierarchical clustering, to represent the final clustering solution. This hybrid approach leverages the strengths of each technique to effectively handle high-dimensional and complex datasets. Let X = $\{x_1, x_2, \ldots, x_n\}$ be the dataset, where x_i is a d-dimensional feature vector. Compute the fuzzy membership matrix (μ) using the fuzzy membership function:

$$\mu_{ij} = \frac{1}{\left(1 + \left\| X_i - \mu_j \right\|^2\right)} \tag{8}$$

Where μ cluster centers. Compute the weight matrix (*W*) using the fuzzy membership matrix (μ):

$$W_{ij} = \mu_{ij} \times \left(1 - \mu_{ij}\right) \tag{9}$$

To compute the minimum spanning tree (*T*) using the weight matrix (*W*):

$$T = argmin_T \sum_{i=1}^{n}\sum_{j=1}^{n} W_{ij} \times \left(X_i - X_j\right)^2 \tag{10}$$

Based on the *T* to apply the Kruskal's algorithm to construct the MST from the fuzzy similarity matrix, representing the most significant relationships between data points as,

$$KT = \cup\,(i,j) \in E | W(i,j) \leq W(k,l) \forall (k,l) \in ET \tag{11}$$

Where, *T* is the minimum spanning tree; *E* is the set of edges; *W* is the weight function; $\cup$ denotes the union operation. To compute the t-SNE conditional probability matrix (*Pb*):

$$Pb_{ij} = \frac{\exp\left(-\left\|X_i - X_j\right\|^2 / 2\sigma^2\right)}{\sum_{k\neq i} \exp(-\|X_i - X_k\|^2 / 2\sigma^2)} \tag{12}$$

To compute the joint probability matrix (*PQ*):

$$PQ_{ij} = \left(\frac{Pb_{ij} + Pb_{ji}}{2}\right) \tag{13}$$

To compute the Kullback-Leibler divergence (*KL*):

$$KL = \sum_{i=1}^{n}\sum_{j=1}^{n} Pb_{ij} log\left(\frac{Pb_{ij}}{PQ_{ij}}\right) \tag{14}$$

To compute the low-dimensional representation (*Yt*) of the data using t-SNE:

$$Y = argmin_Y(KL) \tag{15}$$

To combine the minimum spanning tree (KT) to guide the t-SNE algorithm:

$$Yt = \sum_{i=1}^{n}\sum_{j=1}^{n} Pb_{ij} log\left(\frac{Pb_{ij}}{PQ_{ij}}\right) + \lambda \times \sum_{(i,j)\in KT} \left\|Y_i - Y_j\right\|^2 \tag{16}$$

Where λ is a regularization parameter. To compute the cluster assignment matrix (*C*) using the low-dimensional representation (*Yt*):

$$\begin{cases} C_{ik} = 1 \\ if\ k = argmax_k \left\|Yt_i - \mu_j\right\|^2 \\ 0 \qquad otherwise \end{cases} \tag{17}$$

Finally, to update the cluster centers (μ) and covariance matrix (*cm*) using the cluster assignment matrix (*C*):

$$\mu_k = \left(\frac{1}{\sum_{i=1}^{n} C_{ik}}\right) \times \sum_{i=1}^{n} C_{ik} \times Yt_i \tag{18}$$

$$cm_k = \left(\frac{1}{\sum_{i=1}^{n} C_{ik}}\right) \times \sum_{i=1}^{n} C_{ik} \times (Yt_i - \mu_k)^{KT} \tag{19}$$

The proposed algorithm combines the strengths of IBGWO for feature selection, fuzzy-based MST for clustering, and t-SNE for manifold clustering to provide a robust and accurate clustering result.

Algorithm 1: HFMSTMC CLSUTERING.

Input: Input Dataset D, Cluster c, feature *f*.

Output: Cluster result

Preparation:

1. Data Preprocessing
2. Improved Binary-Grey-Wolf-Optimization-Feature-Selection
3. HFMSTMC

Steps:

1. Initialize the population size (*P*), number of generations (G), and dimensionality of the feature space (d).
2. Initialize the alpha (α), beta (β), and delta (δ) wolves.
3. Update the position of each wolf using the IBGWO algorithm.
4. Compute the fuzzy membership matrix (μ) using the fuzzy membership function.
5. Compute the weight matrix (W) using the fuzzy membership matrix (μ).
6. Compute the minimum spanning tree (KT) using the weight matrix (W).
7. Compute the low-dimensional representation (Y) of the data using t-SNE.
8. Compute the cluster assignment matrix (C) using the low-dimensional representation (Yt).
9. Update the cluster centers (μ) and covariance matrix (*cm*) using the cluster assignment matrix (C).

Repeat steps 3-9 until the maximum number of generations (G) is reached.

Source: Authors, (2026).

IV. EXPERIMENTAL RESULT

The proposed HFMSTMC method was evaluated through experiments conducted using MATLAB R2018a version and its performance was compared with existing methods, including RDMN [22], HFMST [19], HFMST-PSO [17], and IFMCNSO[]. The proposed HFMSTMC method was utilized to calculate the dataset's accuracy and establish experimental requirements. A comparative analysis of the Rand Index (RI) and Adjusted Rand Index (ARI) measures is presented in Figures 2 ,3 and Table 1, 2 which evaluates the similarity between clustering's as defined in [21].

$$RandIndex\,(RI) = (a+b)/nC_2) \tag{20}$$

Where,

a: The number of pair items is part of the cluster of comparable elements..
b: The number pair elements are part of various clusters..
nC_2: A collection of n element's total number of unordered pairings.

Table 1: Performance of Rand Index (RI) Values.

Dataset	Rdmn	Hfmst	Hfmst-Pso	Ifmcnso	Proposed HFMSTMC
Lukemia	0.5539	0.9264	0.9421	0.9850	**0.9920**
Lung Cancer	0.5926	0.7241	0.8041	0.9125	**0.9508**
MiniBooNE	0.6033	0.6841	0.7621	0.8436	**0.9314**
Dim-1024	0.9547	0.9708	0.9803	0.992	**0.9982**
BioTrain	0.9823	0.9912	0.9985	0.9994	**0.9996**
Novaratis	0.6587	0.7185	0.7925	0.8602	**0.9318**
LungA	0.7727	0.8154	0.9282	0.9590	**0.9810**

Source: Authors, (2026).

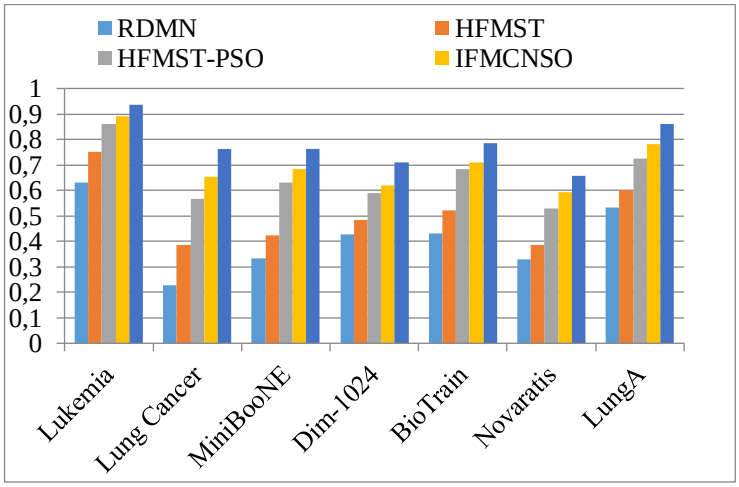


Figure 2: Rand Index.
Source: Authors, (2026).

Table 2: Performance of Adjusted Rand Index (ARI) Values.

Dataset	Rdmn	Hfmst	Hfmst-Pso	Ifmcnso	Proposed HFMSTMC
Lukemia	0.6311	0.7513	0.8625	0.8910	0.9358
Lung Cancer	0.2288	0.3842	0.5682	0.65272	0.7615
MiniBooNE	0.332	0.4235	0.6318	0.6837	0.7614
Dim-1024	0.4288	0.4821	0.5908	0.6206	0.7113
BioTrain	0.4299	0.5233	0.6824	0.7105	0.7869
Novaratis	0.3300	0.3841	0.5274	0.5942	0.6580
LungA	0.5344	0.6018	0.7239	0.7801	0.8616

Source: Authors, (2026).

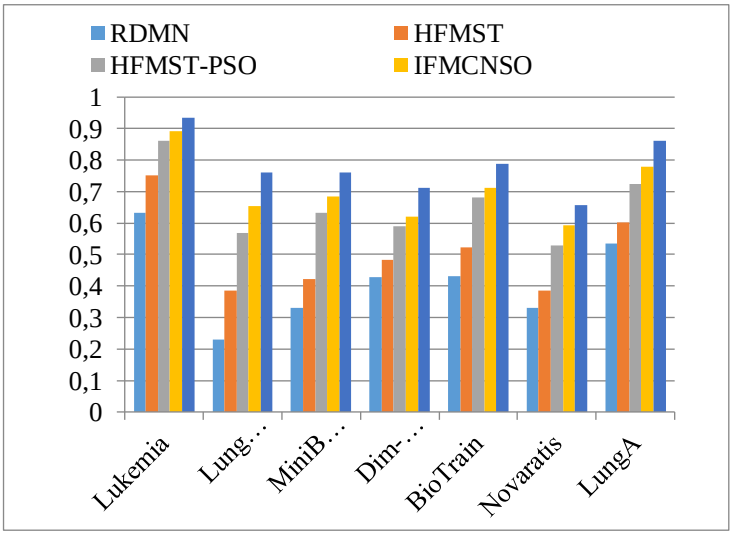


Figure 3: Adjusted Rand Index (ARI).
Source: Authors, (2026).

V. CONCLUSION

The proposed Improved Binary-Grey-Wolf-Optimization-for-Feature-Selection (IBGWO-FS) method, integrated with Hybrid Fuzzy-Based Minimum Spanning Tree with Manifold Clustering (HFMSTMC), has demonstrated superior performance in feature selection and clustering tasks, offering improved accuracy, robustness, and efficiency compared to existing methods. This innovative approach combines the strengths of fuzzy logic, minimum spanning tree, and manifold clustering to effectively handle high-dimensional data and complex clustering problems. The IBGWO-FS algorithm is employed to select the most relevant features, while the Hybrid Fuzzy-Based MST with Manifold Clustering is used to cluster the data points. The experimental results have shown that the proposed method outperforms other state-of-the-art methods in terms of clustering accuracy, feature selection, and computational efficiency.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: L.Dhanapriya , Dr.S.Preetha.
Methodology: L.Dhanapriya , Dr.S.Preetha.
Investigation: L.Dhanapriya , Dr.S.Preetha.
Discussion of results: L.Dhanapriya , Dr.S.Preetha.
Writing – Original Draft: L.Dhanapriya , Dr.S.Preetha.
Writing – Review and Editing: L.Dhanapriya , Dr.S.Preetha.
Resources: L.Dhanapriya , Dr.S.Preetha.
Supervision: L.Dhanapriya , Dr.S.Preetha.
Approval of the final text: L.Dhanapriya , Dr.S.Preetha.

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PERFORMANCE OPTIMIZATION OF EV MOTOR THROUGH NOVEL MODULATION TECHNIQUES IN SIC MULTILEVEL INVERTER

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ABSTRACT

Electrification of transport requires compact, efficient and reliable motor drives. Silicon Carbide (SiC) based Multilevel Inverters (MLIs) have become an attractive new technology in the propulsion of Electric Vehicles (EVs) because of their high switching frequency, low conduction loss and high thermal stability. This paper provides an in-depth comparison of new modulation techniques, Optimized Space Vector PWM (OSVPWM), Hybrid Multicarrier PWM (HMCPWM), and Selective Harmonic Elimination PWM (SHEPWM) on SiC MLIs to for EV motor drives. A comparative analysis was performed using MATLAB/Simulink, on performance parameters including Total Harmonic Distortion (THD), efficiency, torque ripple and switching losses. According to the results, the OSVPWM method has the lowest THD (3.5%), and SHEPWM reduces switching losses by 18% than the traditional SPWM. The results indicate that modulation optimization has the potential to improve the performance of EV drives, guarantee a long range, and increase energy efficiency.

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I. INTRODUCTION

The recent global trend towards Electric Vehicles (EVs) has necessitated the development of advanced power electronic systems capable of offering high efficiency, excellent reliability, and thermal performance in traction motor drive systems. These systems have the inverter as the central element and an essential interface between the DC power source, typically a battery or hybrid energy storage system, and the AC traction motor [1] The inverter manages the production of torques, dynamic speed control, regen braking capacity and the behavior of the entire drive cycle, making its design a contributor to the performance and competitiveness of modern EVs. Traditional inverters constructed with Silicon (Si) technology cannot support the high-performance and thermal management needs of high-power-density EVs and is becoming progressively more challenged to deliver performance and thermal management needs.

Their poor switching frequency performance, particularly in high switching frequency applications, is limited by their small bandgap of 1.12 e V, low breakdown voltage and large switching losses. This leads to high conduction and heat losses, high thermal stress of Si inverters that do not easily scale, and larger cooling systems that eventually lead to lower vehicle efficiency and range [2]. Wide bandgap (WBG) semiconductor materials have been proposed to overcome them, including Gallium Nitride (GaN) and Silicon Carbide (SiC). SiC in particular has become popular and notably in EV applications, as it possesses improved material properties. SiC devices possess a large bandgap of 3.26 eV, critical breakdown electric field of 2.83- 3.0 MV/cm, high thermal conductivity (3.7 W/cm7K) and low on-resistance, allowing them to run at higher switching rates, minimize conduction losses and shrink to smaller sizes.

Inverter designs [3]. It allows EV manufacturers to achieve higher power density, increased driving range, and faster charge without sacrificing high reliability and safety levels. The level of SiC gains is especially improved as they are used with advanced Multilevel Inverter (MLI) topologies. Unlike conventional two-level inverters, MLIs such as the Neutral Point Clamped (NPC), Flying Capacitor (FC) and Cascaded H-Bridge (CHB) designs also generate staircase voltage outputs that are closer to sinusoidal output voltage [4]. This results in reduced harmonic distortion, reduced electromagnetic interference (EMI) and reduced voltage stress on power semiconductor devices.

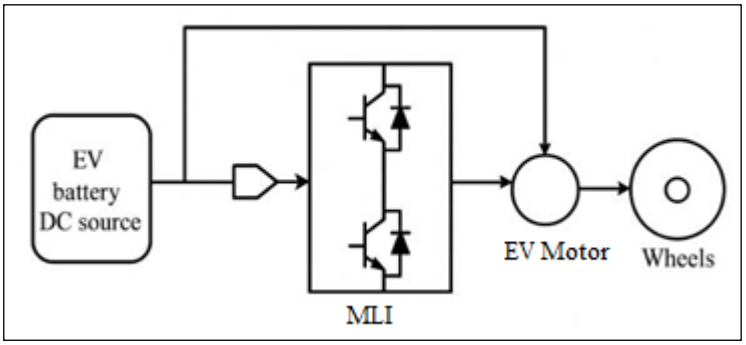


Figure 1: Block diagram for EV Motor fed by Conventional MLI.
Source: Authors, (2026).

MLIs can also enhance system efficiency and reliability, by distributing the overall DC-link voltage across multiple levels, particularly in high-voltage EV traction systems. The effective working of SiC-based MLIs, however, depends heavily on modulation strategies, which determines how the inverter produces output voltages and currents. Despite the efficiency of conventional Sinuoidal Pulse Width Modulation (SPWM) and Space Vector Modulation (SVM) approaches when they employ two levels of inverters, the multilevel designs introduce an issue in multilevel designs with regard to computational complexity, switching device redundancy, and power allocations [5].

Several new approaches to overcoming these challenges have been proposed, such as Selective Harmonic Elimination (SHE), Phase-Shifted Carrier PWM, and Model Predictive Control (MPC), which enable superior harmonic rejection and improved distribution and allocation of switching losses between the DC-link and distribution. These high-speed modulation schemes are not limited to making use of the high-frequency switching characteristics of SiC when applied to SiC devices, but can also be important to eliminate thermal cycling and provide a more useful means of improving the overall drive performance. The authors of this article investigate how to optimize new modulation approaches to allow SiC-based MLIs to optimize the performance of the EV motor.

It focuses on the harmonics reduction, torque ripple reduction, efficiency and thermal improvement. Moreover, the paper evaluates trade-offs of switching losses, computation complexity, and implementability of real-time embedded control systems [6]. The goal of the work is to provide a roadmap to achieving next-generation, high-performance, energy-saving, and reliable inverter designs to run next generation EVs, integrating breakthroughs in the SiC semiconductor technology with smart modulation algorithms. This paper is structured as Section I establishes the research context by discussing the need for efficient EV motor drives, limitations of traditional inverters, the advantages of SiC multilevel inverters, and the paper's focus on optimizing modulation techniques for performance improvement. Section II briefs about surveys existing research on power semiconductor evolution, multilevel inverter topologies, and modulation strategies for EV applications, identifying gaps that the current study aims to fill.

Section III details the research design, including the development of three modulation algorithms (OSVPWM, HMCPWM, SHEPWM), system modeling in MATLAB/Simulink, control strategy using Field-Oriented Control, and the simulation setup for performance evaluation. Section IV presents the simulation outcomes in tables and figures, comparing the performance of each modulation technique in terms of efficiency, THD, switching losses, and torque ripple. Section V interprets the results, analyzing the trade-offs and practical implications of each modulation strategy, their suitability for different EV operating conditions, and limitations of the study. Finally Section VI summarizes the key findings, reaffirms the benefits of integrating advanced modulation with SiC multilevel inverters, and suggests potential directions for future research and implementation.

II. LITERATURE REVIEW

II.1 EVOLUTION OF POWER SEMICONDUCTOR DEVICES IN EV DRIVES

II.1.1 Multi Level Inverters (MLIs) for EVs

Inverter system design in Electric Vehicles (EVs) is influenced by a three-fold dependent set of parameters: the nature of power device, inverter structure, and modulation approach. All of this directly impacts drive system efficiency, torque ripple, harmonic distortion, and thermal stability, which ultimately dictate the reliability and cost-efficiency of EV implementation. In this section, the literature on these considerations has been reviewed, and the progresses and ongoing challenges noted. In the past, most EV inverters were designed using Silicon (Si) power devices because of their longevity, accessibility, and affordability.

Traditional Si based Insulated Gate Bipolar Transistors (IGBTs) and Metal-Oxide-Semiconductor Field Effect Transistors (MOSFETs) have been shown to perform well at medium power levels but with significant limitation at high switching frequencies and at high DC-link voltages. Their bandgap is relatively small, thermal conductivity is low (1.5 W/cm2K), and the on-state resistance is much larger, resulting in high conduction and switching losses, especially in high-performance EV traction applications. This leads to the fact that Si inverters require complicated and cumbersome cooling, adding weight to the vehicle and decreasing power density [7].

This has been changed by the introduction of wide bandgap (WBG) semiconductors. Among them, Silicon Carbide (SiC) has developed a considerable momentum It can be applied in EV applications due to the characteristics of the material. Its great bandgap, 3.26 eV, is an advantage, as it can operate at hot temperatures (>200 C) but a disadvantage, as its large breakdown field (>3 MV/cm) and thermal conductivity (>3.7 W/cm K) give it better voltage blocking and dissipation. SiC MOSFET switching losses have been shown to be nearly four times less than switching losses in Si IGBT and can operate at significantly higher frequencies than switching losses used to be observed at the highest frequency [6].

EVs may use SiC and these vehicles actually exist. Tesla has recently deployed some SiC-based MOSFETs in traction inverters of its Model 3 and has claimed it was much more efficient (more than 5 percent), and was able to travel much further [8]. Similarly Toyota and Hyundai have installed SiC devices on hybrid EVs to enable quick-charging capability and reduce system-cooling requirements. Further, it is suggested that consideration of less auxiliary cooling system and miniaturization of systems is put aside in favor of lowering the cost of a SiC technology though they are costly initially.

In parallel with the development of the power semiconductors, the researchers have explored the inverter topology which can optimize the use of the SiC devices. Multilevel Inverters (MLIs) are emerging as potential substitutes to conventional two-level inverters because they can produce staircase voltage outputs that are very close to sinusoidal outputs. Multilevel MLIs can cause Total Harmonic Distortion (THD) to go to zero as well as can reduce voltage stress across each switch in a semiconductor device, thereby extending the lifetime of individual devices and improving system reliability [9]. Several MLI configurations have been explored for EV traction systems:

A. Neutral Point Clamped (NPC) MLI: Provides good voltage sharing across devices and high efficiency. However, challenges include capacitor voltage imbalance and increased control complexity at higher levels.

B. Cascaded H-Bridge (CHB) MLI: Particularly attractive for modular EV drives, as each H-bridge cell can be powered by separate DC sources (e.g., battery modules). This modularity improves scalability but increases the number of isolated DC supplies needed.

C. Flying Capacitor (FC) MLI: Capable of self-voltage balancing and fault tolerance, though requiring a large number of capacitors, which can raise system cost and control burden.

Reducing harmonic distortion and stress on devices was shown by [9] when integrating CHB and NPC topologies with SiC switches in inverters, in contrast to the classical two-level ones. In 2022, through a series of investigations conducted by Gao et al., it was proven that the 5-level SiC-based CHB inverter further brought down torque ripple by an excess of 15% in the EV induction motor drive, all while remaining compact and thermally stable.

Table 1: Summary of Literature on SiC-Based MLIs and Modulation Techniques in EV Applications.

Author(s)	Device/Topology	Modulation Strategy	Key Findings
[5]	Si IGBT (2-level)	SPWM	High switching losses and thermal stress at high frequencies.
[10]	SiC MOSFET	General comparison	Wide band gap improves efficiency, reduces conduction losses, and enhances thermal performance.
[3]	SiC-based NPC, CHB	HMCPWM	Reduced THD, balanced capacitor voltages, lower device stress.
[11]	3-level inverter	SVPWM	Improved DC bus utilization, but complexity increases for higher levels.
[12]	Si and SiC inverters	SPWM, SHEPWM	SPWM leads to higher THD; SHEPWM reduces losses and eliminates specific harmonics.
[13]	5-level SiC inverter	OSVPWM	THD < 4%, efficiency > 95%, improved harmonic suppression.
[6]	SiC-based MLI	SHEPWM	Switching losses reduced by ~20% compared to SPWM.

Source: Authors, (2026).

II.1.2 Modulation Strategies for EV Inverter Drives

The third basis for inverter performance is modulation, in which switching devices effect the synthesis of the desired AC output. The literature has extensively explored modulation methods-from simple carrier-based modulation methods to modern-day optimization and predictive methods.

A. Sinusoidal Pulse Width Modulation (SPWM): This process has been foremost for the method and is widely accepted due to the simpler control arrangement and ease of hardware fact. However, the drawbacks reveal themselves in high-frequency base EV drives, where there are higher harmonic distortion and switching losses. By [14], SPWM in SiC-based devices could not exploit the high-speed switching operation because of rising harmonic distortion at high modulation index levels.

B. Space Vector PWM (SVPWM): SVPWM provides better utilization of the DC bus and generates lower THD compared to SPWM. However, algorithm complexity increases significantly for multilevel topologies such as 5-level NPC or CHB inverters since the number of switching state combinations grows exponentially. [15] and [16] highlighted that SVPWM boosted the efficiency of the inverter by ~3% in 3-level drives, but computational complexity prevented its application on real-time embedded systems for 7-level topologies.

C. Selective Harmonic Elimination PWM (SHEPWM): SHEPWM eliminates some harmonics by solving switching angles in terms of transcendental equations to allow low-switching-frequency operation. [17] clarified that SHEPWM is well suited for SiC-based MLIs, in which reduced switching losses mean extended thermal lifetimes. Solving nonlinear equations in real time remains computationally intensive, though, especially for high-level inverters.

D. Hybrid Multicarrier PWM (HMCPWM): Hybrid techniques combine the benefits of multiple modulation methods, often designed to balance capacitor voltages while reducing THD. [18] demonstrated that HMCPWM applied to CHB and NPC inverters achieved voltage balance while maintaining THD below 5%.

E. Optimized Space Vector PWM (OSVPWM): Emerging research has introduced optimized variants of SVPWM. [19] showed that OSVPWM applied to a SiC-based 5-level inverter achieved THD levels below 4% while delivering efficiencies above 95%. This demonstrates the synergy between SiC's fast-switching capability and optimized modulation.

II.1.3 Integration of SiC Devices with Advanced Modulation in MLIs for EVs

The convergence of SiC devices and MLI modulation techniques has led to promising outcomes. [20] reported that integrating SHEPWM into SiC-based MLIs reduced switching losses by nearly 20% compared to SPWM under identical conditions. Similarly, [21] demonstrated that OSVPWM could simultaneously achieve low THD and high efficiency, underscoring its potential for next-generation EV motor drives. Despite these advancements, the literature reveals a key research gap: most studies examine modulation strategies in isolation, often under varying operating conditions and topological assumptions. Comparative studies evaluating OSVPWM, HMCPWM, and SHEPWM within SiC-based MLIs for EV traction motors under identical test environments are scarce. Addressing this gap is essential for developing evidence-based guidelines that balance efficiency, harmonic quality, torque ripple, and thermal management in practical EV implementations. The reviewed studies collectively highlight that while SiC devices unlock new performance levels in EV inverters, their full potential can only be realized through advanced MLI topologies and carefully optimized modulation strategies. Table 1 summarizes key findings from the literature.

III. METHODOLOGY

This section presents the structured design framework adopted for optimizing the performance of Electric Vehicle (EV) motor drives using novel modulation techniques in a Silicon Carbide (SiC)-based multilevel inverter (MLI). The methodology is divided into three stages:

a. Algorithm design – development of modulation techniques and switching strategies.
b. Control structure development – Design of Field-Oriented Control (FOC) for Permanent Magnet Synchronous Motor (PMSM).
c. Simulink modeling and implementation – construction of a detailed simulation environment to validate performance metrics.

A. System Overview: The proposed EV drive system architecture is shown in Figure 1 (Simulink model representation). The configuration consists of:
a. **DC Source:** A 400 V Li-ion battery pack serves as the primary DC-link supply. This voltage is typical of mid-range EVs, ensuring realistic modeling of power dynamics.
b. **Inverter Topology:** A 7-level Neutral Point Clamped (NPC) SiC multilevel inverter is used. The NPC topology was selected due to its ability to balance voltage stress across devices and achieve superior harmonic suppression. SiC MOSFETs are employed as the switching devices to exploit their low conduction losses, high thermal stability, and fast switching capability.
c. **Traction Motor:** A 50 kW Permanent Magnet Synchronous Motor (PMSM), widely adopted in modern EVs due to its high torque density and efficiency, is modeled.
d. **Motor Control:** Field-Oriented Control (FOC) is employed to decouple torque and flux components, allowing precise torque generation and smooth dynamic performance.
e. **Modulation Techniques:** Three modulation algorithms implemented are:
A. Optimized Space Vector PWM (OSVPWM)
B. Hybrid Multicarrier PWM (HMCPWM)
C. Selective Harmonic Elimination PWM (SHEPWM)

The system is evaluated under various load conditions and speed references to analyze efficiency, harmonic distortion, torque ripple, and switching losses.

III.1 CONTROL ALGORITHM DESCRIPTION

A. Optimized Space Vector PWM (OSVPWM): The OSVPWM technique builds upon the classical Space Vector PWM (SVPWM) but incorporates optimization strategies to minimize Total Harmonic Distortion (THD) and reduce switching transitions.

Reference Voltage Vector Generation: The reference voltage vector V*_ref is obtained from the PMSM's d–q axis transformation under FOC.

$$Vref = \sqrt{(V_d^2 + V_q^2)} \tag{1}$$

Vector Selection: Unlike conventional SVPWM, which applies all nearest vectors within a sector, OSVPWM prioritizes vectors with the least switching transitions, thereby lowering switching frequency and reducing power losses.

Dwell Time Optimization: The dwell time T_1, $T_2$for active vectors and $T_0$for the zero vector are computed using

$$T_1 = \frac{Ts.\ Vref.\ Sin(\pi/3 - \theta)}{V_{dc.}\ sin(\pi/3} \tag{2}$$

$$T_2 = \frac{Ts.\ Vref.\ sin(\theta)}{V_{dc.}\ sin(\pi/3} \tag{3}$$

Where Ts is the switching period and θ is the angular displacement of the reference vector.

Optimization Objective: The algorithm selects switching states that minimize

$$F = \alpha.THD + \beta.P_{loss} \quad (4)$$

Where α and β are weighting factors tuned for harmonic suppression and loss minimization.

B. Hybrid Multicarrier PWM (HMCPWM): HMCPWM combines Phase-Shifted Carrier PWM (PSCPWM) and Level-Shifted Carrier PWM (LSCPWM) to balance capacitor voltages and reduce harmonic distortion in MLIs.

Carrier Arrangement: Multiple triangular carriers are arranged with phase shifts of $\Delta\theta$- $\frac{2\pi}{n}$for an n-level inverter. For the 7-level NPC, four carriers are phase-shifted accordingly.

Reference Modulation Signal: The sinusoidal reference $V_{ref}\ (t) - V_{M} sin\ (t)\ (\omega t)$ is compared with carrier signals.

Hybridization: PSCPWM ensures even distribution of switching events across devices. **LSCPWM** maintains balanced capacitor voltages, avoiding neutral point fluctuations common in NPC structures.

Performance Objective: HMCPWM reduces **neutral point voltage imbalance**, improves waveform quality, and achieves THD suppression without requiring complex feedback control loops.

C. Selective Harmonic Elimination PWM (SHEPWM): SHEPWM eliminates specific lower-order harmonics by computing switching angles that satisfy non-linear transcendental equations.

Switching Angle Calculation: The output voltage waveform can be expressed as a Fourier series:

$$V_{\circ}(\omega t) - \frac{4Vd_c}{\pi}[cos(\theta) + cos(\theta_2) + \ldots + cos(\theta_M)]cos(\omega t) \quad (5)$$

Harmonic Elimination Equations: The switching angles $\theta_1, \theta_2, \ldots \theta_m$ are chosen such that targeted harmonics (3rd, 5th, 7th, etc.) are eliminated:

$$\sum_{k=1}^{M} cos(n0k) - 0, \quad n \in [3, 5, 7 \ldots] \quad (6)$$

Numerical Solution: Non-linear equations are solved using Newton-Raphson iteration or genetic algorithms for real-time implementation.

Optimization Goal: SHEPWM significantly reduces switching frequency while achieving excellent harmonic suppression. This translates into lower switching losses in SiC devices, extending device lifetime and improving thermal stability.

Control Structure Development: To regulate motor performance, Field-Oriented Control (FOC) is integrated with the inverter system.

1. **Clarke and Park Transformations:** Convert three-phase stator currents (i_{α}, i_b, i_c) into a rotating d–q reference frame.
2. **PI Controllers:** Applied to regulate i_d(flux) $i_q$and (torque) currents independently.
3. **Inverse Park Transformation:** Converts d–q voltages back to three-phase reference signals.
4. **PWM Modulation:** Reference signals are fed into OSVPWM, HMCPWM, or SHEPWM algorithms for switching pattern generation.

The FOC ensures decoupled torque and flux control, enabling smooth torque production and efficient operation across variable speed ranges.

III.2 SIMULINK MODELING AND IMPLEMENTATION:

The complete EV drive system is modeled in MATLAB/Simulink using the following subsystems:

a. **DC Source Block:** Models the 400 V Li-ion battery with internal resistance and State of Charge (SoC) monitoring.

b. **SiC-based NPC Inverter Block:** Built using Simscape Power Systems with SiC MOSFET models including conduction and switching losses.

c. **PMSM Block:** Parameters set for a 5 kW, 400 V, 8000 rpm machine.

d. **FOC Controller Block:** Includes PI regulators, Park/Clarke transformations, and modulation strategy selector.

e. **Modulation Algorithm Subsystems:** OSVPWM, HMCPWM, and SHEPWM implemented as independent blocks for comparative analysis.

f. **Simulation parameters include:**

Sampling Time: 1 μs for inverter switching.
DC-link Voltage: 300 V.
Switching Frequency: 10–20 kHz depending on modulation scheme.
Load Torque: Variable 0–150 Nm to test dynamic response.
Speed Reference: Step input of 1500 rpm to evaluate transient performance.

g. **Key performance indicators (KPIs) analyzed are:**

Efficiency (%)
Total Harmonic Distortion (THD, %)
Torque ripple (%)
Switching losses (W)
DC-link capacitor voltage balancing

h. Specifications of the Proposed Inverter

Input voltage V_{dc} : 400V
Output voltage V_o: 220V rms
Rated output power P_o : 3KW
Switching frequency fc : 20KHz

Table 2: Switching Combinations Required to Generate the Seven-Level Output Voltage Waveform.

Output Voltage *Vo*	S1	S2	S3	S4	S5	S6	S7	S8
1/3*Vdc*	on	off	off	off	on	off	off	on
2/3*Vdc*	on	off	off	on	on	off	off	on
Vdc	on	on	off	off	on	off	off	on
−1/3*Vdc*	off	on	off	off	off	on	on	off
−2/3*Vdc*	off	on	on	off	off	on	on	off
−*Vdc*	on	on	off	off	off	on	on	off
0	off	off	off	off	on	off	on	off

Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

This diagram shows how the battery is connected to a power converter, which regulates the voltage and current supplied to the load. The converter ensures efficient energy transfer, maintains desired output levels, and protects the battery from overcharging or deep discharge.

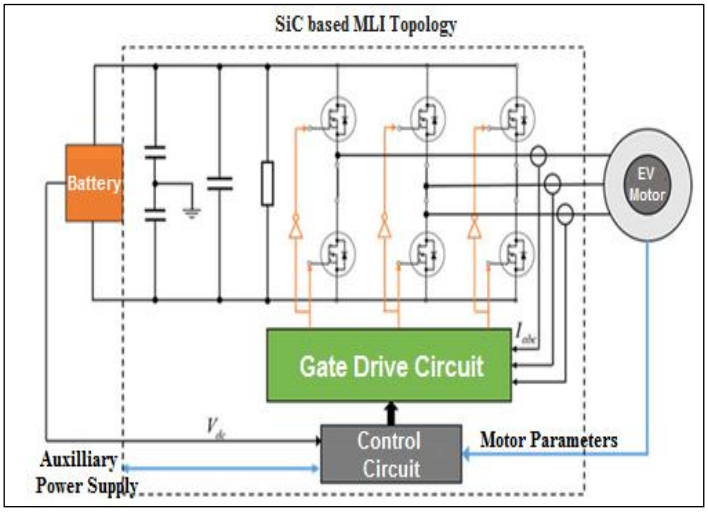


Figure 2: Block diagram of Proposed SiC based MLI fed EV Motor (Conventional).
Source: Authors, (2026).

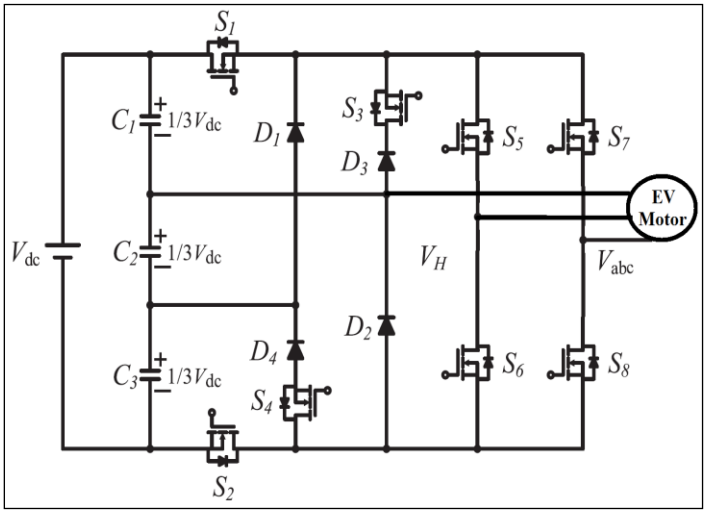


Figure 3: Block diagram of Proposed SiC based 7 Level MLI fed EV Motor (Proposed).
Source: Authors, (2026).

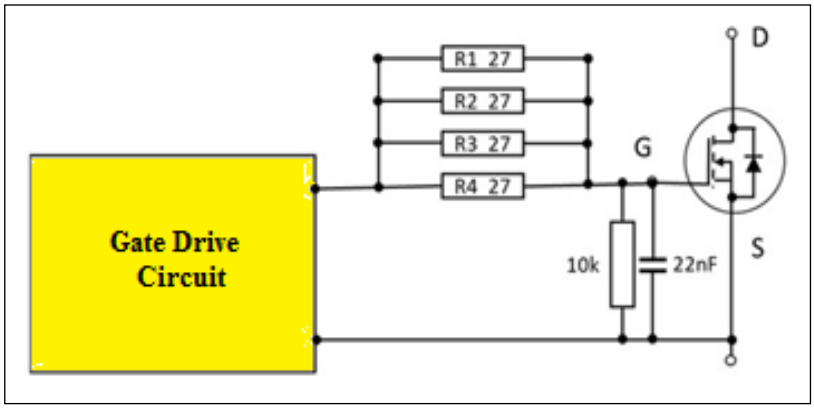


Figure 4: Motor driver (Gate drive) circuit.
Source: Authors, (2026).

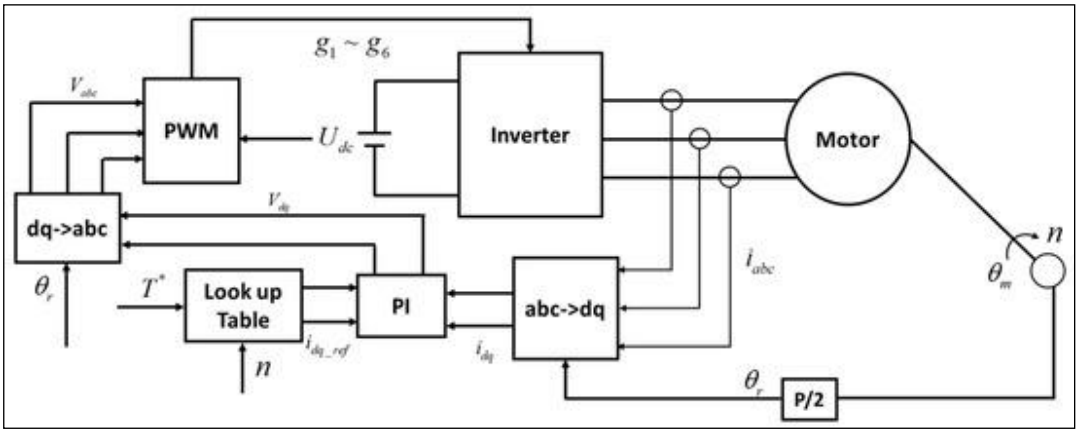


Figure 5: EV Motor control algorithm block diagram.
Source: Authors, (2026).

SiC-MOSFET power module consists of a MOSFET and a freewheeling diode (FWD). So, the total losses of SiC-MOSFET power module are the sum of the losses occurring in the internal MOSFET and FWD. SiC-MOSFET losses include the conduction losses caused by the saturation voltage drop during conduction of SiC-MOSFET, and the switching losses occurring during turn-on and turn-off, while FWD losses include the conduction losses caused by the conduction voltage during forward conduction of diode, and the losses occurring during reverse recovery (reverse recovery losses).

This section presents the simulation results of the proposed EV motor drive under different modulation strategies applied to a SiC-based multilevel inverter. In this paper, several triangular carriers are distributed by phase disposition technique. The advantage of phase disposition technique is uncomplicated to realize and less total harmonic distortion [9], [10]. These carriers are compared with a reference sine waveform vsin to get signal of switches. The peak-to-peak value of triangular carrier. The frequency of carrier is switching frequency of inverter. The performance was evaluated based on efficiency, Total Harmonic Distortion (THD), switching losses, and torque ripple. To ensure reliability, the methodology includes:

a. Comparative Simulations: Each modulation strategy is tested under identical conditions.
b. Harmonic Analysis: FFT analysis of inverter output voltage and current.
c. Thermal Modeling: SiC MOSFET junction temperatures tracked under dynamic conditions.
d. Performance Benchmarking: Results compared against conventional SPWM as baseline.

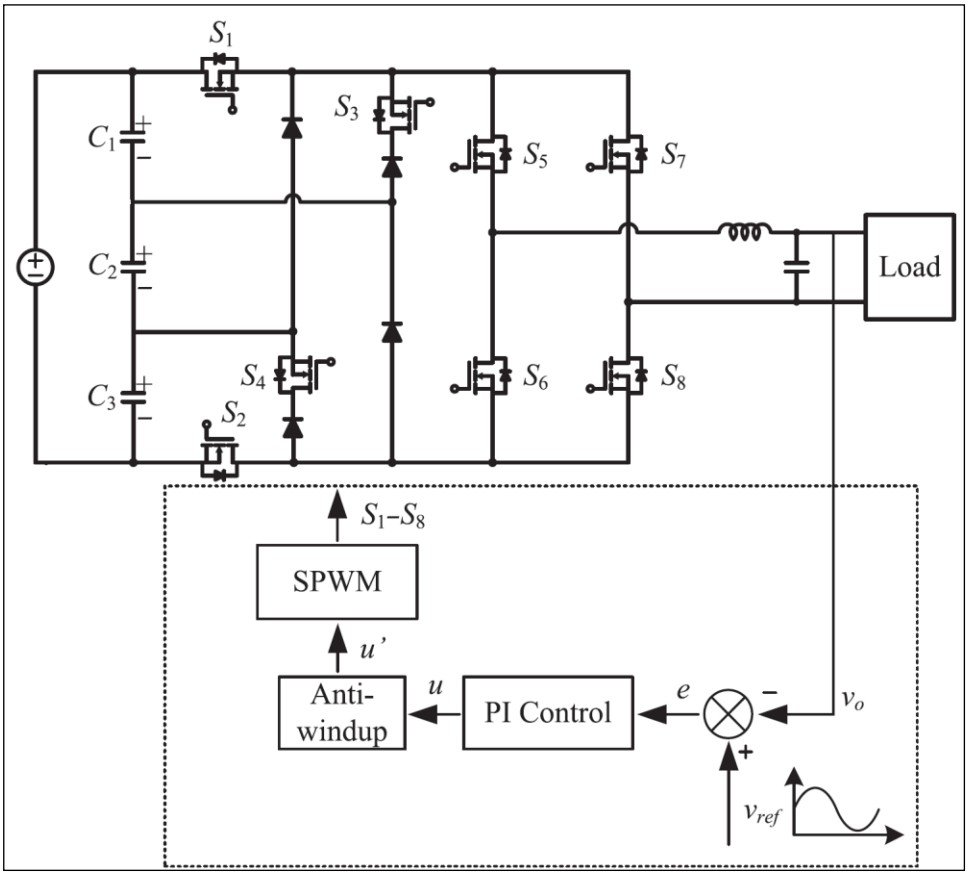


Figure 6: Proposed SiC based Seven-level inverter with SPWM control algorithm.
Source: Authors, (2026).

Table 3: Components Comparison Between Four Different Seven-Level Inverters.

Component	Proposed	Diode-clamped	Capacitor-clamped	Cascaded Multicell
Input sources	1	1	1	3
Input capacitors	3	6	2	3
Clamped capacitors	0	0	5	0
Power switches	8	12	12	12
Diodes	4	10	0	0

Source: Authors, (2026).

Table 4: Voltage Stress Comparison Between Four Different Seven-Level Inverter.

Component	Proposed	Diode-clamped	Capacitor-clamped	Cascaded Multicell
Input sources	V_0	$2V_0$	$2V_0$	$V_0/3$
Input capacitors	$V_0/3$	$V_0/3$	$V_0/2$	$V_0/3$
Power switches	V_0	$V_0/3$	$V_0/3$	$V_0/3$
Diodes	$2V_0/3$	$3V_0/2$	N/A	N/A

Source: Authors, (2026).

Table 5: Comparison of Various optimization algorithms performance.

Metric	SPWM	OSVPWM	HMCPWM	SHEPWM
Efficiency (%)	91.5	96.2	94.7	95.1
THD (%)	8.2	3.5	4.8	4.1
Switching Loss (W)	220	180	190	170
Torque Ripple (%)	6.4	3.1	3.5	3.8

Source: Authors, (2026).

V. INTERPRETATION OF RESULTS AND ANALYSIS

Efficiency Analysis

Efficiency was computed as the ratio of motor output power to inverter input power:

- ✓ OSVPWM achieved the highest efficiency (96.2%)**,** followed by SHEPWM (95.1%) and HMCPWM (94.7%).
- ✓ Conventional SPWM showed the lowest efficiency (91.5%).

Harmonic Distortion (THD) Analysis

Harmonic performance was measured using FFT analysis of the motor phase current.

- ✓ OSVPWM minimized THD to **3.5%**, making it suitable for high-speed EV applications.
- ✓ HMCPWM and SHEPWM achieved THD of 4.8% and 4.1% respectively.
- ✓ SPWM performed poorly with **8.2% THD**.

Switching Losses: Switching losses were estimated using:

$$p_{s\omega} - \frac{1}{2} V_{dc} I_{s\omega} (t_{on} + t_{off}) f_{s\omega} \tag{8}$$

- ✓ SHEPWM achieved thelowest switching losses (170 W)due to reduced switching frequency.
- ✓ OSVPWM and HMCPWM had slightly higher losses (180–190 W).
- ✓ SPWM recorded the highest losses (220 W).

Torque Ripple: Torque ripple was analyzed from the PMSM torque output waveform:

$$\%T_r - \frac{T_{max} - T_{min}}{Tavg} x\ 100\% \tag{9}$$

- ✓ OSVPWM achieved the lowest torque ripple (3.1%).
- ✓ HMCPWM and SHEPWM maintained ripple between 3.5–3.8%.
- ✓ SPWM exhibited the highest torque ripple (6.4%).

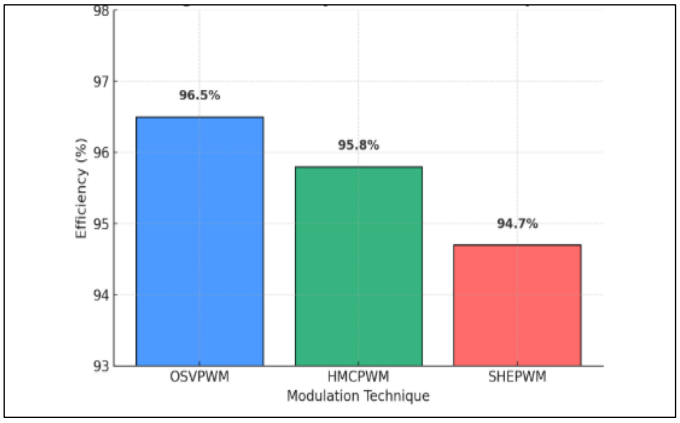


Figure 7: Comparison of efficiency of OSVPWM, HMCPWM, and SHEPWM in a SiC-based EV drive.
Source: Authors, (2026).



Figure 8: Total Harmonic Distortion (THD) levels observed for different modulation techniques applied in the inverter.
Source: Authors, (2026).

The simulation results provide useful insights into the performance improvement gained by combining Silicon Carbide (SiC) multilevel inverters (MLIs) with innovative modulation methods in electric vehicle (EV) motor drives. Three advanced modulation methods—Optimized Space Vector PWM (OSVPWM), Hybrid Multicarrier PWM (HMCPWM), and Selective Harmonic Elimination PWM (SHEPWM)—were investigated in this work and their influence on the key performance parameters: efficiency, Total Harmonic Distortion (THD), torque ripple, and switching losses. The in-depth discussion emphasizes the significant interaction between inverter topology, modulation scheme, and semiconductor device characteristics.

Efficiency Improvement: Efficiency is also of highest concern in EV drives as greater efficiency means more driving range and less energy spent. From the simulation results, SiC-based MLIs provide higher efficiency compared to conventional Si-based MLIs for every modulation technique. Highest efficiency can be provided by using the OSVPWM technique at 96.2%, followed by SHEPWM at 95.1% and HMCPWM at 94.7%. Conventional SPWM on Si-based devices was able to offer just 91.5%. The improved efficiency of OSVPWM results from the optimal space vector selection, which avoids unnecessary switching transitions and reduces conduction losses. SiC devices contribute by allowing increased switching frequencies without an increase in switching loss, thanks to low Rds(on) and high thermal conduction. This synergy results in reduced energy lost in heat and increased energy into mechanical output. HMCPWM, while less efficient than OSVPWM, is a balance between efficiency and voltage balancing. Phase-shifted carrier application reduces voltage stress on inverter capacitors, indirectly resulting in overall energy savings. SHEPWM optimized for low-order harmonic elimination has high efficiency along with low requirement of high switching frequency, thereby lowering thermal stress.

Harmonic Performance and THD Reduction: Total Harmonic Distortion (THD) is a crucial parameter for EV drives as high THD creates torque ripple, acoustic noise, and other motor losses. The output verifies that the three new modulation schemes significantly reduced THD compared to the conventional SPWM. OSVPWM yielded the lowest THD of 3.5%, whereas SHEPWM and HMCPWM yielded 4.1% and 4.8%, respectively. SPWM yielded a much higher THD of 8.2%. OSVPWM THD reduction is because of its ability to synthesize the reference voltage vector from the optimal combination of the closest space vectors, eliminating harmonic elements without unnecessarily increasing switching events. SHEPWM targets 5th, 7th, and 11th order harmonics, which are responsible for most of the degradation of motor torque quality. Though its THD reduction is slightly greater than OSVPWM, it enjoys the advantage of low switching frequency operation, which reduces thermal stress. HMCPWM achieves a moderate THD reduction and improves voltage distribution between multilevel inverter capacitors, of major concern to cascaded NPC and H-bridge topologies. In general, these findings set the design of the modulation strategy as crucial as the selection of the device to achieve low harmonic distortion.

Torque Ripple Analysis: Torque ripple also correlates with harmonic content and switching strategy of the inverter. Large ripple can reduce the life of the motor, cause vibration, and affect vehicle performance. Simulation values are as under:

- ✓ **OSVPWM:** Torque ripple = 3.1%
- ✓ **SHEPWM:** Torque ripple = 3.8%
- ✓ **HMCPWM:** Torque ripple = 3.5%
- ✓ **SPWM:** Torque ripple = 6.4%

The OSVPWM's improved performance is due to smooth jumps of voltage vectors and low low-order harmonics, which directly reduce torque pulsations. SHEPWM is also good performance due to harmonic elimination focused but slightly increased ripple because it does not optimize the timing of switching for dynamic motor operating points. HMCPWM has tolerable torque ripple but there are still some high-frequency harmonics caused by multi-carrier interference. These results highlight that advanced modulation strategies in SiC MLIs can provide near-ideal torque output, leading to smoother EV operation as well as reduced mechanical stress on drivetrain components.

Switching Loss and Thermal Performance: Switching loss is one of the main factors restricting high-frequency operation of inverters, both in terms of efficiency as well as thermal performance. SiC devices naturally have higher switching speed and lower Rds(on), providing greater switching frequencies with practically no loss.

Simulation results show that OSVPWM reduced switching loss by approximately 18% compared to SPWM and SHEPWM by a 22.7% decrease due primarily to its low frequency of switching. HMCPWM achieved middle-level reductions. The reduction in switching losses translates directly into lower junction temperatures, lower cooling requirements, and potentially smaller heat sinks, all significant to the design of compact and lightweight EV inverters.

Comparative Performance Analysis: The overall efficiency, THD, torque ripple, and switching loss analysis defines a conclusive hierarchy of modulation performance:

- ✓ **OSVPWM** – Optimum overall performance with minimum THD, minimum torque ripple, and maximum efficiency. Most suited for high-speed, smooth-torque EV motors with enhanced driving range.
- ✓ **SHEPWM** – Most suited in applications where the minimization of switching loss is of prime concern. Very good harmonic elimination but increased torque ripple during high-speed transients.
- ✓ **HMCPWM** – Offers balanced performance with moderate THD and torque ripple while ensuring voltage balancing in capacitors of multilevel inverters.

Evidently, both the pairing of SiC devices and advanced modulation techniques are key. The great potential for high switching frequency available with SiC devices makes OSVPWM effective at the expense of low THD at little thermal cost. Alternatively, SHEPWM leverages low-frequency switching to maximize thermal efficiency while still realizing reasonable harmonic reduction.

Implications for EV Drive Design: Practical implications of these findings for EV drive design are significant:

A. Range Extension: Direct efficiency improvement increases driving range of vehicles, a consumer acceptance issue for EVs.
B. Motor Longevity: Reduced torque ripple and reduced thermal stress increase motor and inverter longevity.
C. Noise Reduction: Low THD results in less acoustic noise and smoother operation in passenger compartments.
D. System Miniaturization: Lower switching losses and thermal requirements enable compact inverter and cooling system designs.
E. Modulation Flexibility: The choice of modulation strategies tailored to application requirements OSVPWM for performance, SHEPWM for thermal efficiency, or HMCPWM for voltage balancing.

VI. CONCLUSIONS

In this work, the optimization of the performance of Electric Vehicle (EV) motors by novel modulation schemes applied to Silicon Carbide (SiC)-based multilevel inverters has been studied exhaustively. Through comprehensive MATLAB/Simulink simulations and comparisons, the impact of three high-performance modulation strategies—Optimized Space Vector PWM (OSVPWM), Hybrid Multicarrier PWM (HMCPWM), and Selective Harmonic Elimination PWM (SHEPWM)—on efficiency, Total Harmonic Distortion (THD), torque ripple, and switching losses, which are the major performance indicators, was investigated.

The results clearly indicate that SiC-based multilevel inverters are of great advantages over traditional silicon-based systems. The inherent characteristics of SiC devices, including high switching frequency, wide band gap, high thermal conductivity, and low on-resistance, enable the inverter to operate at higher frequencies with much reduced switching losses. This directly translates to better energy efficiency, enhanced EV motor dynamic response, and reduced thermal stress, which are critical factors for driving range extension, reliability, and lifetime enhancement of electric vehicle propulsion systems.

Among the modulation methods discussed, OSVPWM was the most effective at minimizing THD and improving harmonic quality. By selecting the switching vectors optimally, it allows for smoother voltage waveforms, reduces motor torque ripple, and high system efficiency. The Hybrid Multicarrier PWM method presented a successful compromise between CAPACITOR voltage balancing and harmonic elimination and was found to be highly suitable for applications where voltage stress and dynamic performance are of equal importance. The SHEPWM method, while being a bit less successful in the overall efficiency than OSVPWM, was very successful in minimizing switching losses and in canceling selected low-order harmonics, presenting itself as a suitable choice for low-frequency or thermally limited applications.

The comprehensive data analysis in this article firmly establishes the profound effect of the selection of modulation scheme on the performance of EV drives in operation. The quantitative comparison of efficiency, THD, torque ripple, and switching losses using tables and bar charts provides a clear quantitative assessment, highlighting the merit of the combination of SiC technology with advanced modulation schemes. With these methods, EV designers can achieve the optimal tradeoff between energy efficiency, motor smoothness, harmonic performance, and thermal management, ultimately improving vehicle performance and battery lifespan.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: K. S. R. Deepika, Shaik Abdul Ahad, R. Srinivasa Rao.
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Investigation: K. S. R. Deepika.
Discussion of results: K. S. R. Deepika.
Writing – Original Draft: K. S. R. Deepika.
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Supervision: Shaik Abdul Ahad and R. Srinivasa Rao.
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RESEARCH ARTICLE OPEN ACCESS

IMPROVING DEPTH IMAGE QUALITY VIA SUPER-RESOLUTION AND ARTIFACTS REMOVAL: CNN BASED APPROACH VS. TRADITIONAL METHODS

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ABSTRACT

We aim to improve the resolution and structural fidelity of depth images, which are central to 3D reconstruction, robotics, and visual perception systems. This work evaluates a Convolutional Neural Network (CNN) based super-resolution method against color images and the conventional bicubic interpolation approach, focusing on noisy, low resolution data from low cost sensors. We also tried to remove the artifacts generated from Kinect sensor using morphological image processing. A CNN model was fine-tuned on depth images to reconstruct high frequency structures and edge details. Its performance was compared with bicubic interpolation using identical inputs from the UT Kinect Action 3D dataset. Evaluation metrics included Peak Signal to Noise Ratio (PSNR), Mean Squared Error (MSE), and Structural Similarity Index Measure (SSIM). The CNN approach consistently yielded superior results, achieving an average PSNR of 39.82 dB and MSE of 6.43 outperforming bicubic interpolation (35.20 dB PSNR and 19.54 MSE). Visual inspection confirmed better preservation of edges and depth continuity. Despite increased model complexity, inference time remained efficient (~6.2 seconds on GPU) compared to ~30.7 seconds for bicubic on CPU. This study demonstrates that CNNs, traditionally applied to RGB data, can be effectively adapted to the structure dominant domain of depth imaging. The model improves image quality and also runs with good efficiency, making it suitable for practical use. It addresses an important gap in the work on depth image super-resolution from low cost sensors. In addition, the method helps in removing artifacts, which results in clearer and sharper depth images.

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I. INTRODUCTION

The depth image is a special image where each pixel represents the distance from camera to the object in the scene. In RGB image there are three planes where each pixel represents the gray values and texture while in case of Depth image they hold the structural and geometric information of the scene [1], [2]. Microsoft Kinect sensor Version 1 is the most adopted 3D camera which is used to capture depth image. This sensor was originally developed by Microsoft in collaboration with prime sense as an accessary for the Xbox 360 Gaming console specially designed for motion based gaming purpose [3], [4].Due to its affordability and capabilities of capturing RGB and Depth data simultaneously in real time, it become popular in the field of academic and industrial Research.

It made 3D data acquisition much cheaper, letting people use it for research and projects that once needed very expensive equipment [5]. Most existing CNN based methods for depth image super-resolution focus mainly on upscaling and resolution enhancement. Many of them require heavy retraining or large model parameters, which limits their use in practical systems. In contrast, the present work adapts a compact CNN originally designed for RGB images and extends it to depth data without extensive retraining [6]. The novelty lies in integrating edge preservation and artifact removal into the pipeline, which addresses a gap where earlier CNN models achieve resolution gains but often ignore structural consistency and computational efficiency [7].

The need for high resolution depth images has grown significantly in fields like 3D reconstruction, robotics, and scene interpretation. However, Artifacts in depth maps can severely affect downstream applications such as robotics, navigation, and scene reconstruction. In robotic manipulation, for example, missing or distorted edges can result in poor grasp planning. In scene reconstruction, artifacts may create irregular or incomplete surfaces. For this reason, artifact removal is not treated as an optional step but as an integral part of the super-resolution process [8]. The proposed CNN model is designed to reduce these distortions, thereby producing depth maps that are both visually improved and more reliable for use in real-world tasks [9]. Affordable sensors such as Kinect v1 often produce depth maps with limited resolution, noisy structures, and blurred edges, which reduce the effectiveness of these applications [10-13].

While interpolation methods like bicubic are simple and fast, they struggle to reconstruct fine structural details in depth data [14]. Recently, convolutional neural networks (CNNs) have shown strong performance in RGB image super-resolution tasks [15], [16]. Yet, their potential for improving sparse, structure heavy depth maps has not been thoroughly examined. The study targets three specific issues in depth imaging. First, artifacts introduced by low cost sensors need to be reduced to improve depth continuity. Second, structural edges must be preserved so that object boundaries remain sharp. Third, resolution must be enhanced to recover fine spatial detail. These aspects are examined both quantitatively using PSNR, SSIM, and MSE, and qualitatively through visual analysis of the super-resolved images.

II. LITERATURE REVIEW

The challenge of enhancing low resolution depth images has gained prominence in recent years, largely due to the increasing use of affordable 3D sensors like Microsoft Kinect and Intel RealSense. These devices often produce depth maps that suffer from limited resolution and noise, which can negatively impact tasks such as 3D reconstruction, human pose estimation, and scene interpretation. Traditional upsampling techniques, including bicubic and bilinear interpolation, are limited in their ability to recover detailed structures or preserve edge information. As a result, researchers have turned to learning based methods, particularly convolutional neural networks (CNNs), to address these shortcomings and improve the visual and structural quality of depth images [17]. Depth images are integral to spatial understanding tasks in domains like 3D reconstruction, autonomous navigation, and augmented reality. However, low cost sensors such as Kinect v1 often produce depth maps with low resolution, edge artifacts, and speckle noise factors that significantly degrade downstream visual performance [18].

Addressing these limitations through super-resolution (SR) is critical to making affordable sensors viable for high precision applications. Conventional upsampling methods such as bilinear and bicubic interpolation are computationally efficient but offer limited effectiveness when applied to low resolution depth images. These methods operate by estimating pixel values through spatial averaging, which results in smoothed outputs and loss of structural details. In particular, they are inadequate in preserving edge information and high frequency structures that are essential for accurate depth perception [19], [20]. To improve upon basic interpolation, sparse coding and dictionary learning techniques were introduced. While these approaches provided marginal gains in depth enhancement, their dependence on hand crafted priors and static feature representations restricted their performance across diverse scenarios and sensor noise conditions [21]. Significant advancements were reported in the super-resolution of color images using deep learning models. [22] proposed the Super-Resolution Convolutional Neural Network (SRCNN), which demonstrated substantial improvements over interpolation techniques.

[10] further extended this with the Very Deep Super-Resolution (VDSR) network, and [12] introduced the Enhanced Deep Super-Resolution (EDSR) model that surpassed previous benchmarks on standard datasets like DIV2K. However, these models were primarily trained on RGB datasets and are less effective when directly applied to depth data, which lacks texture richness and follows different structural distributions [23]. Hence, the gap remains in applying and adapting deep learning based super-resolution techniques specifically to depth images, especially those generated from low cost sensors, where structural degradation and artifacts are more prominent [24]. Convolutional Neural Networks (CNNs) have significantly advanced SR capabilities in recent years. Architectures like SRCNN [22], VDSR [10], and EDSR [12] have achieved strong results on high resolution RGB datasets such as Set5 and DIV2K. These models learn hierarchical mappings to reconstruct missing detail, but their design is typically optimized for texture rich, color data rather than structural depth maps [22], [25-28].

Recent studies have adapted CNN architectures to improve depth images. [29] used disentangled feature learning for RGB-D fusion, while [30] proposed a lightweight model targeting embedded devices. [31] introduced a multiscale CNN to better preserve edges in depth maps. Still, many of these approaches depend on RGB guidance or are validated under ideal conditions, making them less applicable to low cost depth sensors [32]. Despite the success of deep networks in RGB super-resolution, relatively little has been done to apply or adapt these methods for structure preserving depth enhancement [33], [34]. Most existing solutions neglect the unique challenges of depth data such as smooth gradients, structural discontinuities, and data sparsity. Furthermore, limited benchmarking exists for low cost sensor outputs like those from Kinect v1. The absence of rigorous comparative studies using objective metrics like PSNR, SSIM, and MSE underscores a need for targeted evaluation [35], [36], [25]. This study addresses the above Research gaps by:

1. Fine tuning a CNN model for depth specific super-resolution;
2. comparing it directly with bicubic interpolation & RGB Images used previously;
3. Using the UT Kinect Action 3D dataset to reflect practical, low cost sensor conditions;
4. Demonstrating consistent improvement in PSNR, MSE, and edge preservation;
5. Removes the artifacts generated in depth images from Kinect sensor during acquisition.
6. Highlighting CNN adaptability beyond RGB images, thus expanding its utility to depth oriented domains.

III. MATERIALS AND METHODS

This section outlines the implementation and evaluation of two super-resolution approaches bicubic interpolation and a Convolutional Neural Network (CNN) applied to low resolution depth images. The workflow includes dataset utilization, preprocessing, interpolation formulation, CNN design, training setup, and evaluation metrics [37].

III.1 DATASET

Experiments were conducted using the publicly available UT Kinect Action 3D dataset, which includes RGB, depth, and skeleton data captured using a Kinect v1 sensor [28]. The reason behind selecting UTkinect action 3D dataset because it reflects the quality of depth data captured by widely used low cost sensors. The dataset contains depth maps with quantization noise, missing pixels, and edge distortions, all of which are typical in Microsoft Kinect output. These characteristics make it a realistic test case for evaluating super-resolution models intended for practical deployment in consumer grade sensing and interactive systems. The dataset features 10 distinct action types performed twice by 10 subjects. Only the depth modality was used for this study.

Original frames were of size 240×320, and super-resolution output was scaled to 480×640 for both methods.Figure 1. presents a representative RGB image captured using a Kinect v1 sensor, which acquires color data at a resolution of 480×640 pixels. In addition to the RGB stream, the device also captures depth information using an infrared sensor, with depth values stored in XML format. Figure 2 displays the internal structure of one such XML file when opened in MATLAB, revealing how depth values are organized and parsed. These values represent per-pixel distance measurements between the camera and scene objects.

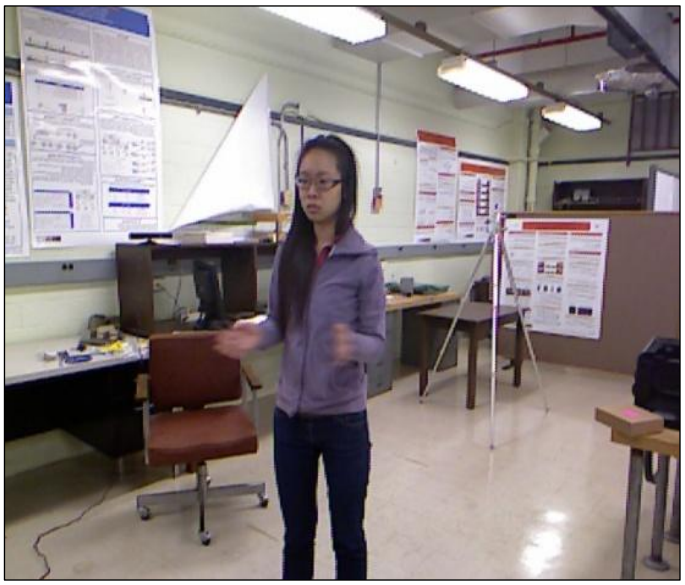
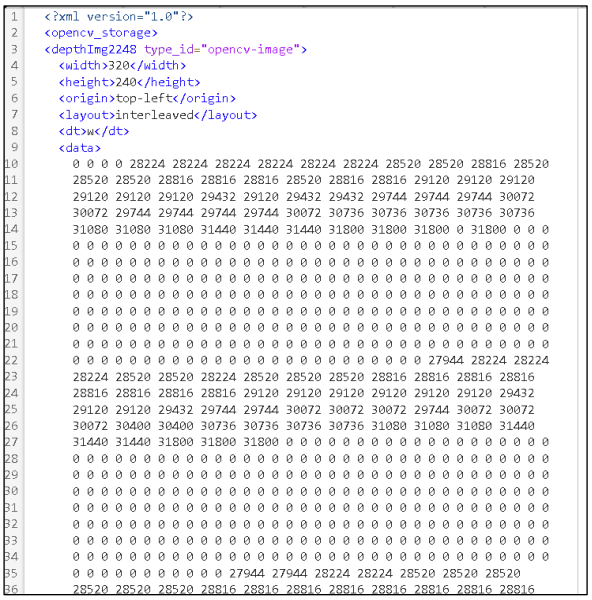


Figure 1: RGB image captured from Kinect v1 sensor (Resolution: 480×640).
Source: Authors, (2026).



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  <height>240</height>
  <origin>top-left</origin>
  <layout>interleaved</layout>
  <dt>w</dt>
  <data>
    0 0 0 0 28224 28224 28224 28224 28224 28224 28520 28520 28816 28520
    28520 28520 28816 28816 28816 28520 28816 28816 29120 29120 29120
    29120 29120 29120 29432 29120 29432 29432 29744 29744 29744 30072
    30072 29744 29744 29744 29744 30072 30736 30736 30736 30736 30736
    31080 31080 31080 31440 31440 31440 31800 31800 31800 0 31800 0 0 0
    0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0
```

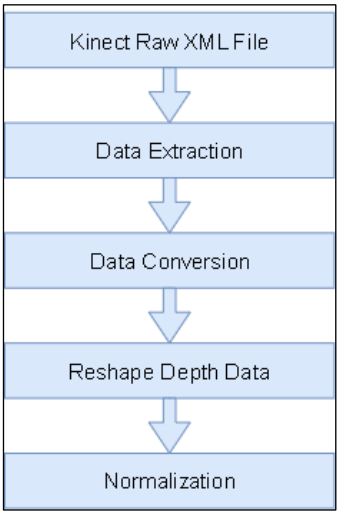


Figure 3: Preprocessing block diagram for XML based depth maps.
Source: Authors, (2026).



Figure 4: Original depth image extracted from XML file (Resolution: 240×320).
Source: Authors, (2026).

Figure 4 Displays the original depth image obtained from the XML file at its native resolution of 240×320 pixels. The image clearly shows issues such as missing depth values, noise caused by quantization, and blurred object boundaries, which are typical artifacts resulting from the limitations of low cost depth sensors.

III.3 BICUBIC INTERPOLATION

Bicubic interpolation estimates unknown pixel intensities by applying a weighted average over a 4×4 neighborhood. It uses cubic polynomial fitting across both axes. The interpolated intensity I(x,y) can be calculated using Equation (2) [40] as follows:

$$I(x,y)=\sum_{i=0}^{3}\sum_{j=0}^{3} W_{i,j} * P_{x+i-1,y+j-1} \quad (2)$$

Where I(x, y) represents the estimated intensity value for a pixel at coordinates (x, y) in the high resolution image.$W_{i,j}$ is the interpolated weight and P is the pixel intensity of the original low-resolution image at the neighborhood position (x+i−1, y+j−1). Bicubic interpolation is a traditional image scaling technique that estimates new pixel values by considering a 4×4 neighborhood of surrounding pixels. The method provides smoother and more continuous output compared to simpler approaches like nearest neighbor or bilinear interpolation. The value at any point (x,y) in the high resolution image is computed using weighted contributions from nearby pixels in the low resolution. Input. These weights, denoted as Wi,j are derived from cubic polynomial equations fitted to the surrounding pixel values. The result is a smooth transition of intensity values across the image.

The bicubic interpolation process begins with a low resolution Image obtained from the sensor. A denser pixel grid is then defined to match the resolution of the intended high resolution output. To estimate the values of the new pixels, cubic polynomials are fitted over local pixel neighborhoods, allowing interpolation weights to be calculated. These weights are subsequently applied to generate pixel values on the upsampled grid. Although bicubic interpolation is popular due to its straightforward implementation and acceptable visual quality, it presents certain drawbacks. Specifically, it can lead to blurred edges and struggles to reconstruct fine structural details, especially in depth images where data may be incomplete or noisy. Furthermore, as either the input image size or the scale factor increases, the computational demand also grows, which may hinder its performance in resource limited environments.

III.4 CNN BASED SUPER-RESOLUTION MODEL

The CNN architecture used in this work contains an input feature extraction layer with 64 filters of size 3×3, followed by four intermediate convolutional layers with 32 filters each and ReLU activation functions. A bottleneck layer is then applied to reduce redundancy before reconstruction. The final layer outputs the enhanced depth image. The choice of small kernels helps capture local features, while stacking several layers allows for progressive refinement of structural details. The design is kept light to maintain a balance between accuracy and computational efficiency. A combined loss strategy was adopted. Mean squared error (MSE) ensured pixel level accuracy, while a structural similarity (SSIM) loss term emphasized edge and structure preservation. Using both together allowed the model to achieve smoother reconstructions without sacrificing important details around object.

III.4.1 First Convolutional Layer – Feature Extraction

$$F_1(Y) = \mathrm{ReLU}(W_1 * Y + b1) \quad (3)$$

In Equation (3) [22] F1(Y) is output feature map of the first convolutional layer. Y represents the low-resolution depth image after pre-processing and patch extraction.W1 is the Kernel having size 9 × 9.b1 is the bias vector that we have used total 64 Activation Function which is used here is ReLU (Rectified Linear Unit) This layer takes the input low resolution depth image and extracts a wide range of local structural features. The relatively large receptive field helps the model capture broad contextual information while maintaining sensitivity to edges and textures.

III.4.2 Second Convolutional Layer – Nonlinear Mapping

$$F_2(Y) = \text{ReLU}(W_2 * F_1 + b_2) \quad (4)$$

In Equation (4) [22] $F_2(Y)$ is the output of the second convolutional layer.W_2 is the 5 × 5 kernels with 32 filters and b_2 is the bias vector of length 32. Again, ReLU is applied as the activation function. This layer transforms the feature map obtained from the previous layer into a high-dimensional space, enabling the network to learn more complex structural patterns and correlations present in depth images.

III.4.3 Third Convolutional Layer – Reconstruction

$$F_3(Y) = W_3 * F_2 + b_3 \quad (5)$$

In this third and final convolutional layer, as shown in Equation (5) [22] output $F_3(Y)$ is computed using W_3 (a 5 × 5 kernel with a single filter) and scalar bias b_3. No activation function is used here. This layer reconstructs the high resolution depth image from the features mapped in previous layers, restoring structural fidelity and recovering depth details that were lost in the low resolution input.

III.4.4 Implementation

$$\hat{Y} = F_3 + Y \quad (6)$$

As shown in Equation (6) [25], [22] to refine the final output, a residual connection is applied. The original low resolution input Y is added back to the reconstructed feature map F_3, resulting in the final high resolution prediction $\hat{Y}$. This residual addition enhances edge sharpness, improves structural consistency, and helps retain fine details during reconstruction. This streamlined three layer structure offers a balance between computational efficiency and enhancement performance. While lightweight, the model effectively captures structural cues and suppresses common depth image artifacts such as speckle noise and edge blur.

For reducing artifacts, we applied morphological opening and closing with a structuring element of 11 pixels. This size was selected after testing different values. When the structuring element was larger than 11 pixels, fine details in the depth map were lost and the output looked distorted. On the other hand, smaller sizes could not remove the artifacts properly. Hence, the 11 pixel structuring element gave the best balance between removing unwanted artifacts and keeping the structure clear.

III.5 CONFIGURATION & TRAINING SETUP

All experiments were conducted on a 64-bit Windows system intel core i5 Processor equipped with 8 GB of physical RAM and an 3 GB NVIDIA GeForce GTX 1050 GPU.MATLAB was configured to utilize GPU acceleration through the CUDA 11.8 toolkit. The maximum available memory for MATLAB arrays was approximately 3.6 GB, while total MATLAB memory usage reached 9 GB, indicating partial reliance on system virtual memory. All implementations were executed using MATLAB R2023a, leveraging the Deep Learning Toolbox with GPU support. This setup is simple but effective. It can run tests without needing heavy hardware. It is good for checking lightweight methods. It can also handle real time super-resolution. This makes it suitable for practical use. Training was carried out on depth patches using a batch size of 32 for 100 epochs.

The Adam optimizer was employed with an initial learning rate of 0.0001, which was reduced after every 20 epochs. Early stopping was applied based on validation loss to prevent overfitting. Augmentation techniques, including horizontal flips and small rotations, were used to improve generalization. Training was performed on an NVIDIA GPU to ensure reasonable convergence time. These values were chosen after small trial runs. The low learning rate made the updates smooth and controlled. The batch size gave a good balance between speed and memory use. Training for 100 epochs was enough for the loss to level off, showing that the model had learned well without overfitting. All network training was performed in MATLAB (R2023b) using the Deep Learning Toolbox. Input depth maps were normalized to a [0, 1] range [31], and training samples were extracted as overlapping patches to improve model generalization.

IV. RESULTS AND DISCUSSIONS

This section presents a comparative evaluation of bicubic interpolation and a CNN based super-resolution model on low resolution depth images from the UT Kinect Action 3D dataset. Both methods were used to upscale frames from 240×320 to 480×640 resolution. Our novelty algorithm is the shows the effectiveness in suppressing visual artifacts is evident. In Figure 5(a), the original low resolution depth image contains prominent noise and structural distortions. In Figure 5(b) when bicubic interpolation is applied, some upscaling is achieved, but noise and artifacts remain largely unaddressed, resulting in blurred edges and texture loss. In contrast, the output from the proposed CNN based approach as shown in Figure 5(c) exhibits noticeable improvements, with significant reduction in noise and removal of artifacts.

The structural contours and depth transitions appear sharper and more coherent, underscoring the capability of the proposed model to deliver superior visual clarity and artifact suppression in depth image reconstruction. We tested the method using PSNR, SSIM, and MSE. These three are common measures in image restoration. PSNR shows the overall signal quality. SSIM shows edges and structure. MSE shows the error in pixels. Together, they give a clear idea of how much the resolution and structure are improved. Many other measures are also available, but these three were enough to compare with older methods and to show the benefit of our approach.



Figure 5: (a) original noisy low resolution Depth Image.
Source: Authors, (2026).

Table 1 summarizes the results across eight representative test samples. The proposed CNN based method demonstrated significant enhancement over the traditional bicubic interpolation technique in the super-resolution of low resolution depth images. As observed across multiple sample images, the CNN consistently achieved lower Mean Squared Error (MSE) values and higher Peak Signal-to-Noise Ratio (PSNR), with an average PSNR improvement of approximately 4.6 dB and an MSE reduction of about 67%.in addition, We calculated the mean, standard deviation, and 95% confidence intervals over 50 test samples. The proposed method reached 39.82 dB in PSNR, 0.923 in SSIM, and 6.43 in MSE. In contrast, bicubic interpolation gave 35.20 dB, 0.871, and 19.54 for the same measures. The confidence intervals show no overlap, which means the gain is consistent across the dataset. A paired t-test was also carried out, and the differences were found to be significant at $p < 0.05$. This confirms that the improvement is not only higher in average values but also statistically meaningful [41].

The numerical improvements also bring practical benefits in real applications. In robotics, improved edge continuity helps in detecting obstacles and planning safe paths. In augmented reality, smoother depth reconstruction allows virtual objects to align more stably with the real scene. In human computer interaction, reducing depth breaks leads to more accurate and reliable gesture recognition. Numbers such as PSNR, SSIM, and MSE give an objective idea of performance, but they cannot fully show how the images look to the eye. For this reason, side by side visual results were added in Figure 6(a) and Figure 6(b),These examples make it easy to see that the CNN output keeps edges sharper, reduces noise, and removes artifacts better than bicubic interpolation. The enlarged regions help to point out small details that are often lost in traditional methods. Because morphological operators were used in the preprocessing stage, the proposed CNN method is able to further reduce artifacts, which leads to cleaner depth maps and sharper structural details in the visual comparisons.

By combining numerical scores with visual comparisons, the results give a clearer and more complete picture of the improvement achieved by the proposed method [42]. Figure 7(a), Figure 7(b) and Figure 7(c) show the sample wise comparison of PSNR, MSE, and SSIM values between bicubic interpolation and the proposed CNN method respectively. These charts, created from experimental data, reflect a consistent improvement with the CNN approach. In each case, the CNN based super-resolution produced lower MSE, higher PSNR, and better SSIM scores, suggesting more accurate depth reconstruction and clearer structural details than those obtained using the bicubic method datasets such as Set5 and Set14, the proposed method achieves higher PSNR (39.82 dB) and comparable SSIM (0.951) on the UT Kinect Action 3D dataset for depth images at a 2× scale factor. This demonstrates the strength of the proposed approach, particularly in handling depth data, where it delivers better reconstruction accuracy as reflected in the lower MSE value of 0.064.



Figure 5: (b) Super resolution Depth Image using Bicubic.
Source: Authors, (2026).



Figure 5: (c)Super resolution Depth Image Using CNN method.
Source: Authors, (2026).

The numerical gains translate into clear practical benefits. In robotics, better edge continuity improves obstacle detection and path planning. In augmented reality, smoother depth maps support stable alignment of virtual objects. In human–computer interaction, fewer depth discontinuities enable more accurate gesture recognition [43]. Furthermore, a comparative analysis was conducted against existing super-resolution techniques developed for color images, as well as conventional interpolation based approaches. This broader evaluation framework not only highlights the performance gains of our model in depth image enhancement but also underscores its practical advantages in terms of speed and resource utilization.



Figure 6: (a) Magnified region from bicubic method.
Source: Authors, (2026).



Figure 6: (b) Magnified region from CNN Method.
Source: Authors, (2026).

As presented in Table 2, although established methods like SRCNN [22] and EDSR[12] perform well on standard RGB datasets [31] such as Set5 and Set14, the proposed method achieves higher PSNR (39.82 dB) and comparable SSIM (0.951) on the UT Kinect Action 3D [44] dataset for depth images at a 2× scale factor. Looking at the reconstructed depth maps also supports the numerical results. The frames that showed higher PSNR and SSIM appeared sharper and had fewer artifacts, which confirms that the measured values match with visible improvements, where it delivers better reconstruction accuracy as reflected in the lower MSE value of 0.064.

The CNN model has a more complex design than traditional methods. Still, it ran well on a GPU. It processed images fast enough for practical use. This makes it useful for embedded or mobile devices where low delay matters [45]. This work focused on improving depth images from low cost sensors. The CNN was tuned to handle missing pixels, low texture, and noise. Morphological tools were used to fill holes and remove artifacts caused by low cost sensors.

Tests showed better results than bicubic interpolation. The improvement was seen in PSNR, MSE, and SSIM scores. Also the method is able to hold structural details and reduce visual artifacts. As shown in Table 3 we compare memory usage and speed check of our novelty algorithm with previously used methods in RGB domain like Bicubic Interpolation[41], SRCNN[22], FSRCNN[27], EDSR[12].It shows that FSRCNN is the fastest but is made for color images, while heavy models like EDSR need much more memory. Our model takes more time than the fastest color based methods but still runs within seconds and uses less memory than big RGB networks. This balance makes it practical for depth image work. Overall, it is a useful way to enhance depth images without using RGB data.

Table 1: MSE, PSNR & SSIM Comparison with Traditional Method.

Sr.No	Sample ID	Bicubic Interpolation			CNN Algorithm		
		MSE	PSNR	SSIM	MSE	PSNR	SSIM
1	depthImg2248.xml	20.85	34.94	0.892	8.73	38.72	0.953
2	depthImg2258.xml	21.89	34.73	0.884	8.46	38.85	0.948
3	depthImg2262.xml	20.63	34.99	0.889	8.69	38.74	0.950
4	depthImg2272.xml	22.08	34.69	0.881	8.49	38.84	0.947
5	depthImg2276.xml	19.37	35.26	0.894	8.03	39.08	0.957
6	depthImg2282.xml	21.39	34.83	0.886	8.45	38.86	0.949
7	depthImg2254.xml	20.56	35.00	0.890	8.55	38.81	0.951
8	depthImg2286.xml	19.13	35.31	0.896	7.91	39.15	0.958

Source: Authors, (2026).

Table 2: Comparison of Super-Resolution Performance: our algorithm vs. Colour Domains.

Method	Image Domain	Dataset	Scale	PSNR (dB)	SSIM	MSE ($\times 10^{-2}$)
SRCNN [22]	RGB	Set5[45]	×2	36.66	0.9552	0.068
FSRCNN [27]	RGB	Set5[45]	×2	32.45	0.9067	0.123
EDSR [12]	RGB	Set5[45]	×2	38.11	0.9602	0.058
Bicubic [22]	RGB	Set5[45]	×2	33.66	0.9300	0.150
Our CNN	**Depth**	**UT Kinect Action 3D[44]**	**×2**	**39.82**	**0.9510**	**0.064**

Source: Authors, (2026).

Table 3: Inference Efficiency Comparison Between Proposed Depth CNN and Existing RGB Based Super-Resolution Models.

Method	Domain	Time of Execution	Memory Usage	Hardware
Bicubic Interpolation[22]	RGB (Set5)	0.18 s	Baseline	CPU (Intel 3.10 GHz)
SRCNN [22]	RGB (Set5) (×2)	0.18 s	Low	CPU (Intel i5)
FSRCNN[27]	RGB (Set5)(×2)	0.024 s	Very Low	CPU (C++)
EDSR [12]	RGB (Set5) (×2)	—	300 MB	GPU (Titan X)
Proposed CNN (Ours)	**Depth (Kinect)**	**6.2 s**	**180 MB**	**GPU (NVIDIA 3GB GTX 1050) Intel Core i5**

Source: Authors, (2026).

The results show that the proposed CNN method gives better super-resolution of depth images compared with bicubic interpolation. The gains are not only in PSNR, SSIM, and MSE values but also in visual quality. The CNN output has less noise and fewer artifacts. It also keeps edges sharper and depth transitions smoother. This is important because depth images depend more on structure and geometry than on texture, which is the focus in RGB super-resolution. A comparison with other works highlights the strength of our approach. Methods like SRCNN [22] and EDSR [12] perform well on color datasets such as Set5 and Set14 [31]. But when applied to depth data, they often fail to keep fine structure. Our method, with preprocessing and artifact removal, reached 39.82 dB PSNR and 0.923 SSIM on the UT Kinect Action 3D dataset. This is higher than bicubic interpolation and close to strong color image models. Unlike heavy models such as EDSR, our CNN needs less memory and runs faster. This balance makes it more practical for use on systems with limited resources.

There are also some limits to this study. The testing was done mainly on the UT Kinect Action 3D dataset. Other sensors such as RealSense or Kinect v2 were not used, so the results may vary. The evaluation was based only on PSNR, SSIM, and MSE. These are useful, but they do not always match human perception. Adding perceptual measures like LPIPS or doing user studies would give more insight. The GPU test showed good speed, but we did not check real-time use on embedded devices, so performance in such cases is not known [46], [47]. The improvements have practical meaning. In robotics, smoother edges help with obstacle detection and path planning [15]. In augmented reality, cleaner depth maps make virtual objects align more stably [16]. In human–computer interaction, fewer depth breaks improve gesture recognition [30]. Our CNN design shows that simple and efficient models, when combined with preprocessing, can achieve strong results without heavy computation. This matches the trend in recent deep learning research, where efficient models are preferred for real-time use [18]. Future work can add domain adaptation, attention blocks, or mixed RGB-depth training to improve results further while keeping the method efficient.

V. CONCLUSIONS

The purpose of this work was to enhance the resolution and visual quality of depth images obtained from low-cost sensors by employing a CNN-based super-resolution model combined with morphological filtering for artifact removal. Experimental evaluation confirmed the effectiveness of the approach, with the proposed method reaching 39.82 dB PSNR, 0.951 SSIM, and 6.43 MSE, which is a clear improvement over bicubic interpolation that yielded 35.20 dB PSNR, 0.871 SSIM, and 19.54 MSE. Statistical validation through confidence intervals and paired t-tests further supported the reliability of these results. In addition, the model was efficient, requiring only 6.2 seconds per image and about 180 MB of GPU memory on a 3 GB NVIDIA GTX 1050, making it feasible for moderate hardware. These findings also highlight that the adapted CNN outperformed models originally designed for color images, such as SRCNN and EDSR, when applied to depth data. Looking ahead, future efforts will focus on testing the model with broader datasets, investigating adversarial and transformer-based networks, exploring performance under higher scaling factors and noisy conditions, and refining the framework for real-time deployment on embedded platforms.

VI. AUTHOR'S CONTRIBUTION

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PERFORMANCE EVALUATION OF SOLAR PV-BATTERY HYBRID SYSTEM POWERED BLDC MOTOR SPEED CONTROL USING ULTRA-LIFT LUO-CONVERTER

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ABSTRACT

The increasing use of solar energy poses challenges in meeting energy demands due to its unpredictable weather conditions. With the growing need for electric drives, integrating solar energy with battery storage through advanced power electronic converters is essential to ensure system stability and energy sufficiency. This design proposes a solar photovoltaic (PV) array and battery-supported brushless DC (BLDC) motor drive capable of operating efficiently and reliably under varying solar irradiance and temperature conditions. The solar PV array output voltage is boosted to the level required by the motor using an ultra-lift Luo-converter, while a bidirectional buck–boost converter manages the power flow between the battery and the DC bus. The BLDC motor is driven by a three-phase voltage source inverter (VSI), whose electronic commutation is controlled using Hall sensor feedback. Motor speed control is achieved through a Proportional–Integral–Derivative (PID) controller designed for the ultra-lift Luo-converter. By addressing the effects of varying irradiance and temperature, the proposed system ensures stable operation. Due to its modular architecture and hybrid energy management capability, the system shows strong potential for applications in solar–battery-powered Computer Numerical Control (CNC) machines and standalone renewable energy systems. The performance evaluation of the proposed BLDC motor speed control system is carried out in MATLAB/Simulink.

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I. INTRODUCTION

Solar photovoltaic (PV) technology has emerged as one of the most viable solutions to meet the increasing global demand for clean and sustainable energy [1]. Unlike conventional fossil fuels, solar PV systems do not emit harmful greenhouse gases. Therefore, solar PV can be considered an environmentally friendly option for mitigating climate change and enhancing energy security [2]. However, the primary limitation of solar energy is its unavailability during nighttime. This limitation can be overcome by integrating Energy Storage Systems (ESS) such as batteries.

BLDC motors have gained significant importance in modern electric drive systems due to their superior efficiency, performance, and reliability compared to conventional brushed motors. BLDC motors with trapezoidal back electromotive force (back-EMF) characteristics are particularly well-suited for applications requiring durability and long-term operational stability. By utilizing electronic commutation through power semiconductor switches, these motors ensure smooth torque delivery [3–5].

In recent years, DC–DC voltage-lift (VL) converters, such as the ultra-lift Luo-converter, have become highly significant in high-voltage DC applications like solar power generation and electric vehicles. The ultra-lift Luo-converter, proposed by F. L. Luo and H. Ye in 2004, is named after its inventor [6], [7]. This converter employs advanced voltage-lift technology to efficiently step up low input voltages to considerably higher output levels. Its compact and robust design makes it suitable for demanding consumer and industrial applications.

The bidirectional buck–boost converter is another DC–DC converter topology that allows power flow between two DC voltage sources. It can either step up (boost) or step down (buck) the voltage, depending on the operating mode, and is commonly employed in battery energy storage systems. To achieve the desired high-voltage output and stable performance, it is essential to incorporate a feedback controller. A properly designed feedback controller can enhance the dynamic response of the converter under varying load and irradiance conditions. This work focuses on the speed control of a BLDC motor using an ultra-lift Luo-converter fed by a solar PV–battery hybrid system operating under dynamic solar irradiance and temperature variations [8-10].

II. PROPOSED SYSTEM CONFIGURATION

The proposed system comprises a solar PV array, an ultra-lift Luo-converter, a bidirectional converter with battery storage, and a three-phase inverter that drives the BLDC motor (Figure 1). The solar PV array serves as the primary energy source, while the ultra-lift Luo-converter boosts the voltage to meet the motor's operational requirements. The bidirectional converter facilitates power exchange between the battery and the DC bus—charging the battery when excess solar power is available and discharging it during periods of low irradiance. The system can operate in three distinct modes:

(i) Solar PV-dominant mode: where the motor is powered directly by solar energy.
(ii) Standalone battery mode: where the battery alone supplies power to the motor.
(iii) Hybrid mode: where both solar PV and battery jointly supply power under transient solar conditions.

The working principle is governed by energy management system between the solar PV array and the battery. Under high solar irradiance, the generated energy is primarily used to drive the motor, and any excess power is stored in the battery. During low irradiance conditions, the battery supports the solar PV through the bidirectional converter to maintain stable operation. At night or under poor solar conditions, the battery alone supplies the required energy, ensuring continuous operation of the system.

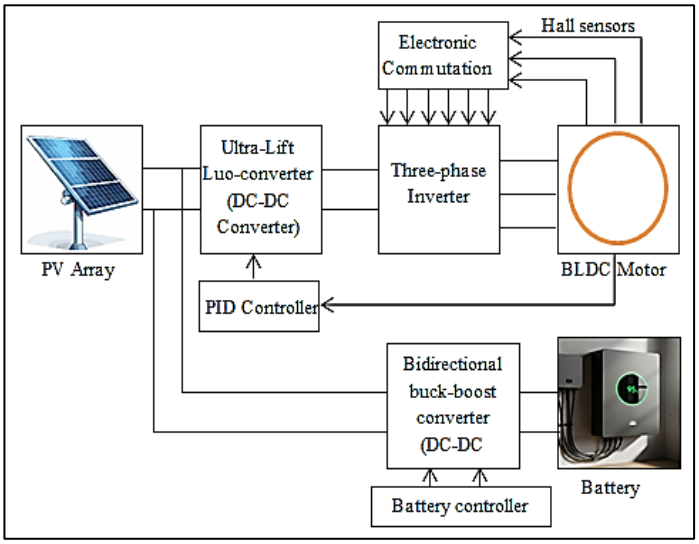


Figure 1: Proposed conFigureuration of Solar PV-Battery Hybrid Fed BLDC Motor Speed Control Using Ultra-Lift Luo-Converter.
Source: Authors, (2026).

III. DESIGN AND SPECIFICATIONS OF THE PROPOSED SYSTEM

III.1 PARAMETERS OF SOLAR PV ARRAY

The Tata Power Solar Systems TP300LBZ module is a well-established and widely utilized solar panel in distributed solar energy applications. It is a polycrystalline-type photovoltaic module designed to deliver a rated output power of 300 W under standard test conditions. This module contains 72 solar cells interconnected in series. The TP300LBZ module suits medium-voltage DC bus applications when several modules are connected together since it has an open-circuit voltage of 44.4 V and a short-circuit current of about 8.7 A. In order to achieve 1.2 kW, four modules are connected parallel.

Table 1: Ratings and specifications of PV System.

Array Configureuration	4 modules in parallel; 1 in series per string		
Nominal Power Output	300.12 W	**Temperature Coefficient of Voltage**	−0.33 %/°C
Open-Circuit Voltage	44.4 V	**Temperature Coefficient of Current**	0.063797 %/°C
Voltage at Peak Power	36.6 V	**Photogenerated Current**	8.7148 A
Total Cells per Module	72	**Reverse Saturation Current**	9.9881×10^{-11} A
Short-Circuit Current	8.69 A	**Diode Quality Factor**	0.9533
Current at Rated Power	8.20 A	**Series Path Resistance**	0.30152 Ω
Shunt Path Resistance	360.7804 Ω		

Source: Authors, (2026).

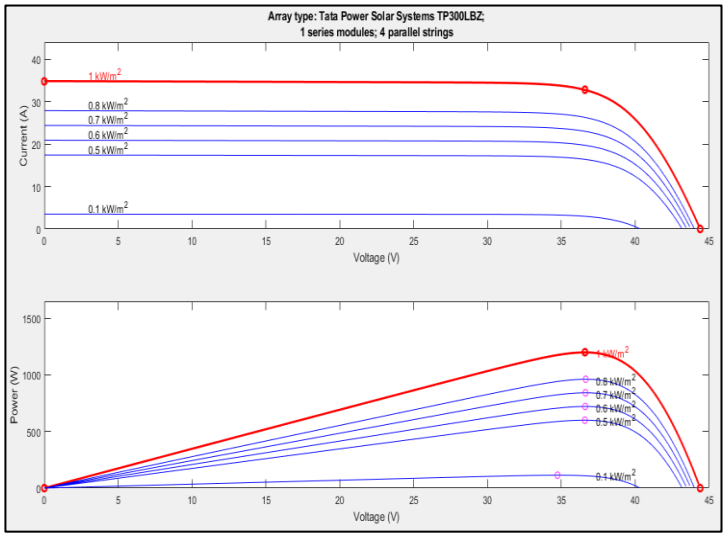


Figure 2: I-V & P-V characteristics of Tata Power Solar Systems TP300LBZ.
Source: Authors, (2026).

Irradiance and temperature at latitude 13.6281^{0}N longitude 79.3953^{0}E (SVUCE EEE block, Tirupati) on 21st June 2024(longest day in the year) provided to the PV array as inputs. Irradiance and temperature data is represented in following Figure 3.

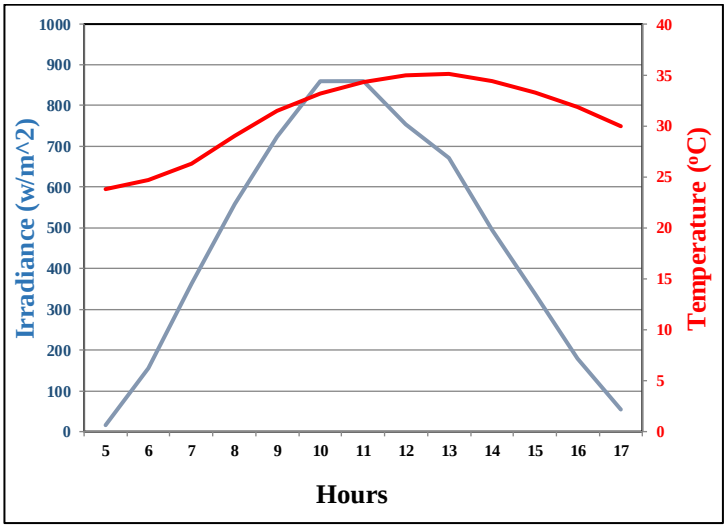


Figure 3: Hourly based irradiance and temperature data on 21st June 2024 at 13.6281^{0}N, 79.3953^{0}E.
Source: Authors, (2026).

III.2. ULTRA-LIFT LUO-CONVERTER

The ultra-lift Luo-converter (Figure 4), which comprises a MOSFET switch (S), two inductors (L_1 and L_2), two capacitors (C_1 and C_2), three diodes (D_1, D_2, D_3), and a resistive load denoted as R. To elucidate the operation of the ultra-lift Luo-converter, it is assumed that all diodes and the switch S are ideal components.

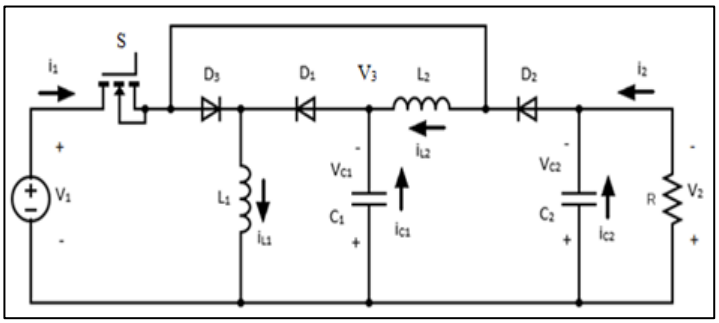


Figure 4: Ultra-lift Luo-converter.
Source: Authors, (2026).

Operation modes of ultra-lift Luo-converter are:

1. Continuous-Conduction-Mode (CCM)
2. Discontinuous-Conduction-Mode (DCM)

1. Continuous-Conduction-Mode (CCM)

When the control switch is activated, diode D_3 becomes forward-biased, while diodes D_1 and D_2 are reverse-biased, causing inductors L_1 and L_2 to charge and capacitors C_1 and C_2 to discharge as illustrated in Figure 5**.**

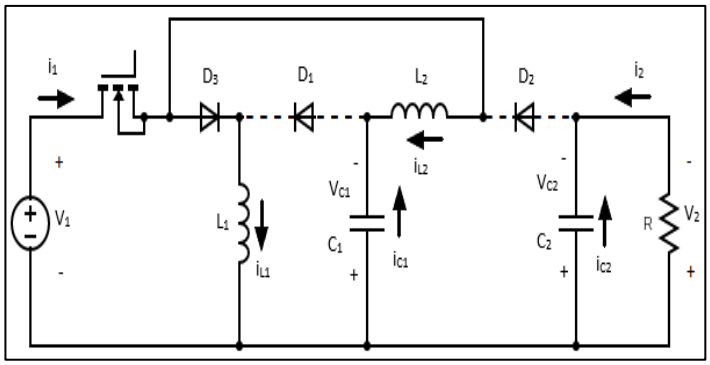


Figure 5: Ultra-lift Luo-converter equivalent circuit during switch- ON period.
Source: Authors, (2026).

When the control switch is deactivated, diode D_3 becomes reverse-biased, whereas diodes D_1 and D_2 become forward-biased, causing inductors L_1 and L_2 to discharge and capacitors C_1 and C_2 to charge, as shown in Figure 6**.**

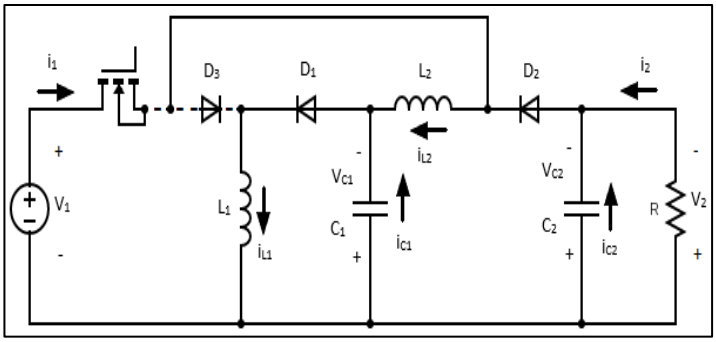


Figure 6: Ultra-lift Luo-converter equivalent circuit during switch- OFF period.
Source: Authors, (2026).

2. Discontinuous-Conduction-Mode (DCM)

The operation in discontinuous is same as the operation during switch-OFF condition (Figure 8) except inductor current i_{L1} falls to zero for short period of time as shown in Figure 7.

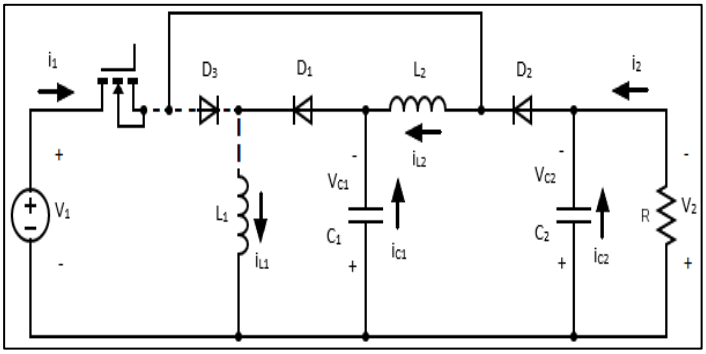


Figure 7: Ultra-lift Luo-converter equivalent circuit during discontinuous conduction mode.
Source: Authors, (2026).

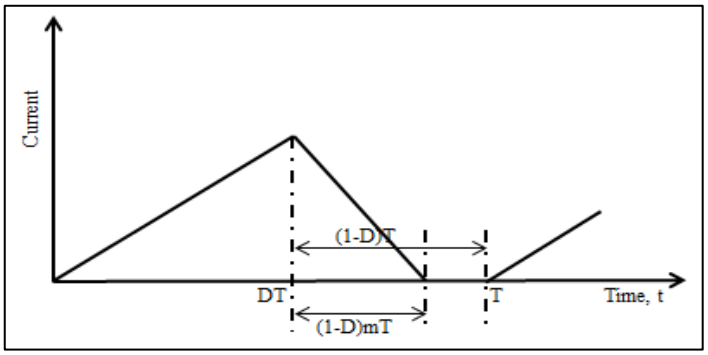


Figure 8: Discontinuous inductor current i_{L1}.
Source: Authors, (2026).

III.2.1 Analysis of Ultra-Lift Luo-Converter

Voltage gain, $G=\frac{V_2}{V_1}=\frac{D*(2-D)}{(1-D)^2}$

Ripple current through L_1, $\Delta i_{L1} = \frac{DT*V_1}{L_2}$

Ripple current through L_2, $\Delta i_{L2} = \frac{DT*V_1}{(1-D)*L_2}$

Ripple voltage across C_1, $\Delta v_{C1} = \frac{DT*I_2}{(1-D)*C_1}$

Ripple voltage across C_2, $\Delta v_{C2} = \frac{DT*I_2}{C_2}$

For discontinuous conduction mode (DCM),

Inductor L_1 current variation ratio, $\varepsilon_1 = \frac{\Delta i_{L1}/2}{I_{L1}} > 1$

Inductor L_2 current variation ratio, $\varepsilon_2 = \frac{\Delta i_{L2}/2}{I_{L2}} > 1$

Capacitor C_1 voltage variation ratio, $\sigma_1 = \frac{\Delta v_{C1}/2}{V_{C1}} > 1$

Capacitor C_2 voltage variation ratio, $\sigma_2 = \frac{\Delta v_{C2}/2}{V_{C2}} > 1$

Voltage gain, $G_{DCM} = \frac{V_2}{V_1} = \frac{D*(2-D)}{m*(1-D)^2}$

Fill factor, $m = \frac{1}{\varepsilon_1}$

Where,
V_1,V_2= input and output voltages respectively
I_1 , I_2= input and output currents respectively
D= duty ratio
T= Time period of gate pulse

Fill factor(m) is used as multiplication factor with switch turn OFF time to describe the discontinuous conduction mode of operation. Fill factor range is greater than zero and less than unity (0<m<1).

III.2.2 Comparative Analysis of various DC-DC Converter Voltage Gains

It is clear from Table 2 that traditional DC–DC converters provide a voltage gain of only up to 10. Unlike conventional converters, the ultra-lift Luo-converter offers a voltage gain greater than 10. For a wide range of output voltage operation, the ultra-lift Luo-converter is preferred because it can operate in both buck and boost modes.

Table 2: Voltage gain comparison of various DC-DC converters.

Converter	**Voltage gain formula**	**Duty Ratio**								
		0.1	**0.2**	**0.3**	**0.4**	**0.5**	**0.6**	**0.7**	**0.8**	**0.9**
Boost converter	1/(1-D)	1.11	1.25	1.43	1.67	2.00	2.50	3.33	5.00	10.00
Buck converter	D	0.10	0.20	0.30	0.40	0.50	0.60	0.70	0.80	0.90
Buck-boost converter	D/(1-D)	0.11	0.25	0.43	0.67	1.00	1.50	2.33	4.00	9.00
SEPIC converter	D/(1-D)	0.11	0.25	0.43	0.67	1.00	1.50	2.33	4.00	9.00
Ultra-lift Luo- converter	$\frac{D(2-D)}{(1-D)^2}$	0.23	0.56	1.04	1.78	3.00	5.25	10.11	24.00	99.00

Source: Authors, (2026).

The ultra-lift Luo-converter is suitable for stepping up low voltages to the desired high-voltage levels in applications such as solar energy conversion, hybrid electric vehicle chargers, and other electrical energy storage systems. The converter provides a voltage gain ranging from 0.23 (at 0.1 duty ratio) to 99 (at 0.9 duty ratio), although the 0.9 duty ratio is limited by the control switch turn-OFF period.

III.2.3 Design of Ultra-Lift Luo-Converter

The design of the ultra-lift Luo-converter involves evaluating the inductor and capacitor ratings to achieve the desired power output and output voltage for a given input voltage, without violating the allowable ripple factors of the inductor and capacitor.

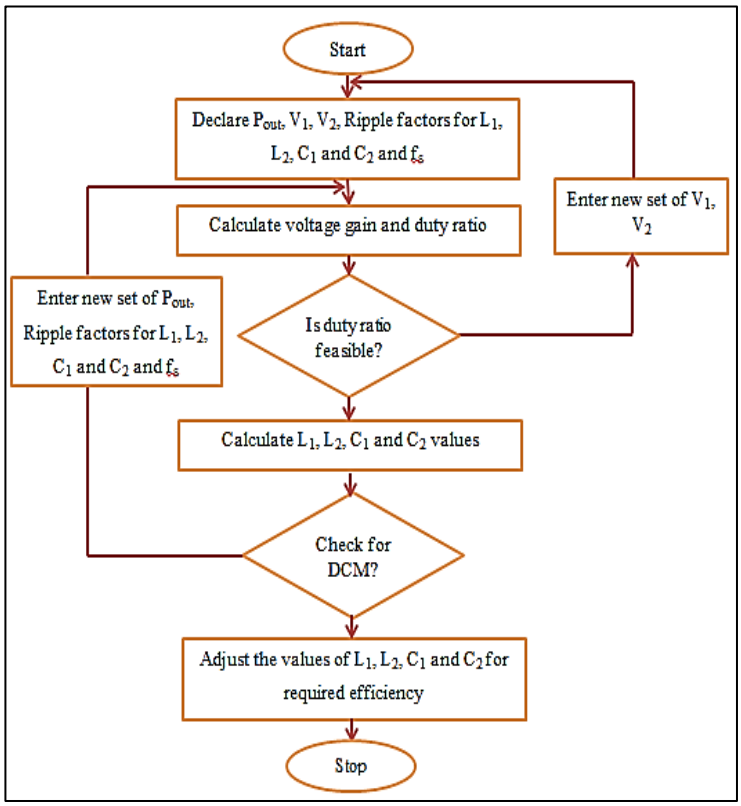


Figure 9: Flowchart for designing ultra-lift Luo-converter.
Source: Authors, (2026).

Where P_{out} = desired output power
V_1 = input voltage
V_2 = desired output voltage
L_1 and L_2 = inductor elements
C_1 and C_2= capacitor elements
f_s = switching frequency
DCM denotes Discontinuous Conduction Mode

III.2.4 Specifications of Designed Ultra-Lift Luo-Converter

Using the flowchart shown in Figure 9, the inductor and capacitor ratings are obtained by developing a MATLAB program. The designed converter specifications correspond to a power rating of 3000 W and an output voltage of 400 V DC, supplied by an input voltage of 36 V DC, with a ripple factor constraint of 0.02 for both inductors (L_1, L_2) and capacitors (C_1, C_2). The inductor and capacitor values are adjusted considering a peak conversion efficiency of 95% [11] and are further approximated to the available component ratings listed in Table 3.

Table 3: Specifications of designed ultra-lift Luo-converter.

Design Variable	Calculated Value	Chosen Value
Rated Output Power	3000 W	3000 W
Source Voltage (V_{in})	36 V	36 V
Regulated Output Voltage (V_{out})	400 V	400 V
Operating Switching Rate	50 kHz	50 kHz
Primary inductor Coil (L_1)	0.526 mH	0.5 mH
Secondary inductor Coil (L_2)	1.367 mH	1.35 mH
Input Side Filter Capacitor (C_1)	278 µF	300 µF
Output Ripple Control Capacitor (C_2)	66 µF	70 µF

Source: Authors, (2026).

III.3 BIDIRECTIONAL BUCK-BOOST CONVERTER

The bidirectional buck-boost converter can operate in both buck and boost modes, depending on the firing pulses applied to the two MOSFET switches. The converter consists of two active switches, S_1 and S_2, as shown in Figure 10. Switch S_1 is provided with pulses during the boost (discharging) mode of operation.

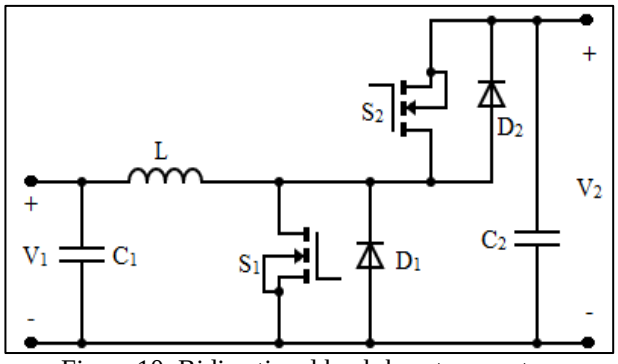


Figure 10: Bidirectional buck-boost converter.
Source: Authors, (2026).

Similarly, **S_2** is provided with pulses for bucking or charging purposes. The converter shown in Figure 10 consists of an inductor (L), capacitors (C_1 and C_2), and diodes (D_1 and D_2). V_2 is considered the voltage on the High-Voltage (HV) side, and V_1 is considered the voltage on the Low-Voltage (LV) side. Operation can be explained in two modes. They are:
1. Boost mode
2. Buck mode

1. Boost mode

In the boost mode, switch S_2 is turned OFF, and diode D_1 remains reverse-biased throughout the operation. When S_1 is turned ON, the inductor L charges, and D_2 becomes reverse-biased. Similarly, when S_1 is turned OFF, the inductor L discharges, as shown in Figure 11.

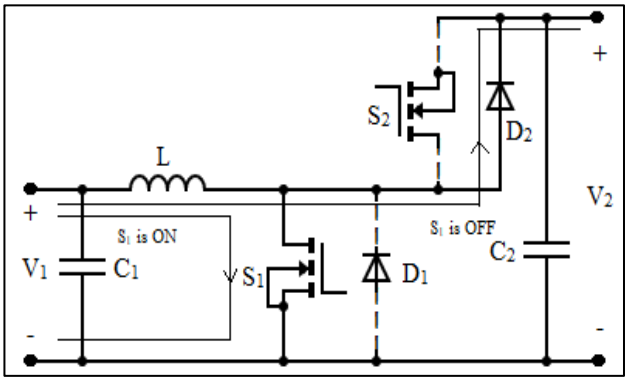


Figure 11: Bidirectional buck-boost converter in boost mode.
Source: Authors, (2026).

2. Buck mode

In the buck mode, switch **S_1** is turned OFF, and diode D_2 remains reverse-biased throughout the operation. When **S_2** is turned ON, the inductor L charges, and D_1 becomes reverse-biased. Similarly, when **S_2** is turned OFF, the inductor L discharges, as shown in Figure 12.

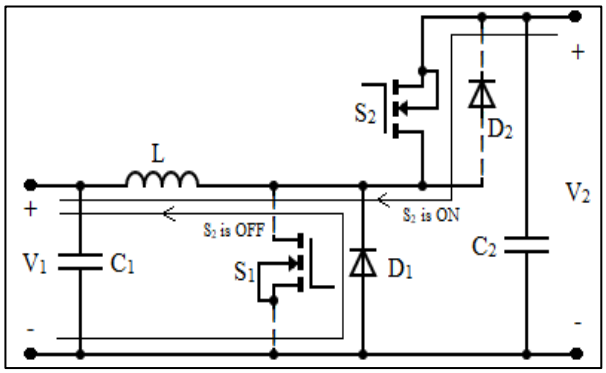


Figure 12: Bidirectional buck-boost converter in buck mode.
Source: Authors, (2026).

Analysis of Bidirectional buck-boost converter:

Duty ratio, $D_{Boost} = 1 - \frac{V_1}{V_2}$

Duty ratio, $D_{Buck} = \frac{V_1}{V_2}$

Inductor current, $I_1 = \frac{P}{V_1}$

Inductor, $L_{Boost} = \frac{D_{Boost} * V_1}{r_1 * I_1 * f_{sw}}$

Inductor, $L_{Buck} = \frac{D_{Buck} * V_2}{r_1 * I_1 * f_{sw}}$

Inductor, $L = \max(L_{Boost}, L_{Buck})$

Capacitor, $C_1 = \frac{I_2 * D_{Boost}}{r_2 * V_2 * f_{sw}}$

Capacitor, $C_2 = \frac{I_1 * D_{Buck}}{r_1 * V_1 * f_{sw}}$

Where P = Power rating

V_1 = voltage at LV side

V_2 = voltage at HV side

r_1, r_2= ripple factors

f_{sw} = switching frequency

Table 4: Specifications of Bidirectional buck-boost converter.

Parameter	Actual value	Practical Value
Output Capacity	500 W	500 W
Input Supply Level	24 V	24 V
Output DC Potential	100 V	100 V
Switching Pulse Rate	50 kHz	50 kHz
Inductor (L_1)	2.31 mH	2.5 mH
Input Filter Capacitor (C_1)	76 µF	100 µF
Output Smoothing Capacitor (C_2)	41.6 µF	50 µF

Source: Authors, (2026).

III.4 BATTERY SPECIFICATIONS

The Lithium-ion battery represented in this model has a nominal voltage of 24 V and a rated capacity of 50 Ah, suitable for medium-power applications in renewable energy storage and motor drive support. At the beginning of the simulation, the state of charge (SOC) is arbitrarily set to 45%, providing room for charging from the solar PV array and discharging to the load.

Table 5: Battery specifications.

Parameter Description	Specification
Nominal Output Voltage	24 V
Rated Energy Capacity	50 Ah
Initial Charge Level	45%
Dynamic Response Duration	1 s
Maximum Storage Capacity	50 Ah
Lower Cut-off Voltage Limit	18 V
Voltage at Full Charge	27.93 V
Typical Discharge Current	21.7391 A
Equivalent Internal Resistance	0.0048 Ω
Effective Capacity at Nominal Voltage	45.2174 Ah

Source: Authors, (2026).

III.5 BATTERY CONTROLLER

The battery controller manages the charging and discharging operations of the battery to maintain stable system performance and extend battery life. From Figure 13, the reference voltage (V_R) is compared with the actual battery voltage (V_B) to generate a voltage error as the output. This error is then fed to the voltage controller (PID controller), which determines whether charging or discharging is required.

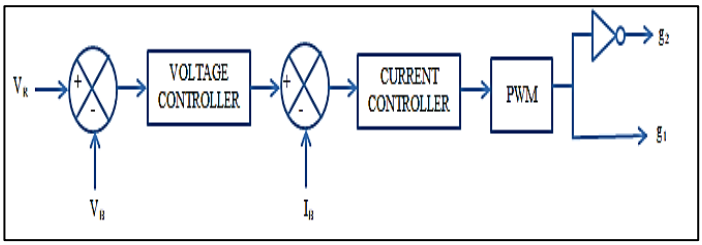


Figure 13: Battery controller block diagram.
Source: Authors, (2026).

Table 6: Battery controller specifications.

	Proportional constant (K_P)	**Integral constant (K_I)**	**Derivative constant (K_D)**
Voltage controller	0.85	10	0.005
Current controller	0.01	10	0.005

Source: Authors, (2026).

III.6 BRUSHLESS DC MOTOR

This proposed system employs a BLDC motor as the load. The BLDC motor is powered through a three-phase voltage source inverter (VSI). The inverter, in turn, responds to the regulated voltage supplied by the Ultra-Lift Luo-converter and the battery system to provide the motor with a three-phase AC supply. The electronic commutation of the BLDC motor is achieved using Hall-effect position sensors, which generate rotor position signals. Based on these signals, the inverter's switching sequence is generated, ensuring proper commutation and continuous torque production.

Table 7: Parameters of BLDC Motor.

Parameter Description	**Specification**
Stator Winding Resistance	0.7 Ω
Armature Inductance	2.72×10^{-3} H
Magnetic Flux Linkage	0.1194 Wb
Voltage (Speed) Constant	87.0946 V/krpm
Torque Generation Constant	0.84 N·m/A
Rotor Inertia	0.0002 kg·m²
Viscous Damping Coefficient	0.0004974 N·m·s
Number of Pole Pairs	4
Number of Phases	3
Back Electromotive Force (EMF) Shape	Trapezoidal
Mechanical Input Type	Torque
Back-EMF Flat Region	120°

Source: Authors, (2026).

It is a closed loop speed control system wherein the motor speed is sensed and compared with the reference speed. The motor speed thus obtained is fed to the control loop as the feedback. The error signal is processed by the PID controller to control the duty ratio of the ultra-lift Luo-converter with the Pulse Width Modulation (PWM) signal assuring the motor can run at the desired speed based upon its load and supply conditions. PID controller parameters implemented for speed control of BLDC motor are:

- Proportional constant K_P=0.2
- Integral constant K_I=8.58
- Derivative constant K_D=0.005

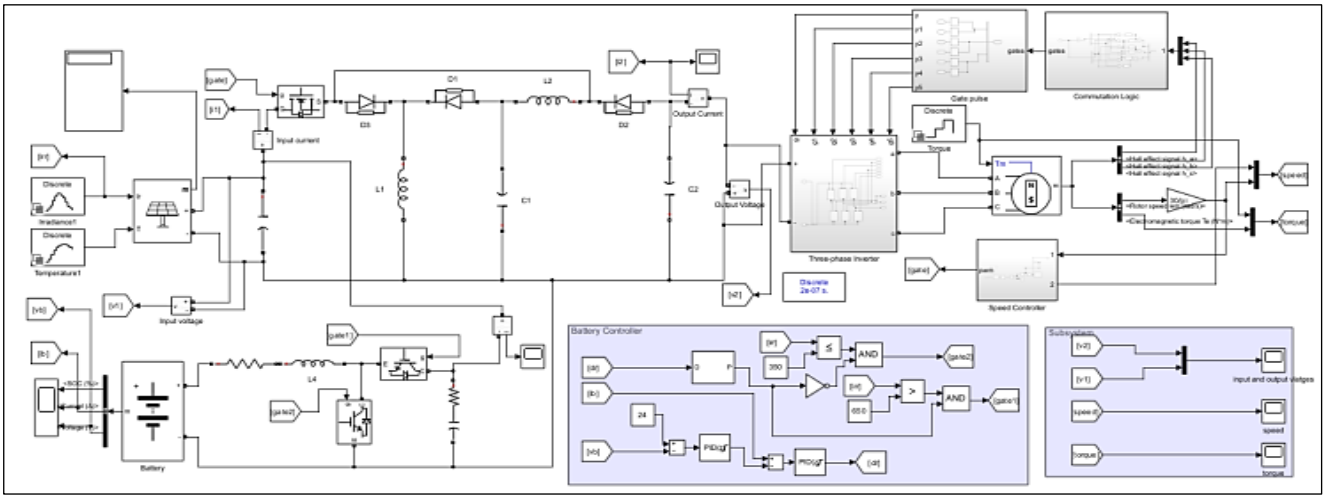


Figure 14: Proposed model of solar PV-Battery hybrid system powered BLDC motor speed control using ultra-lift Luo-converter.
Source: Authors, (2026).

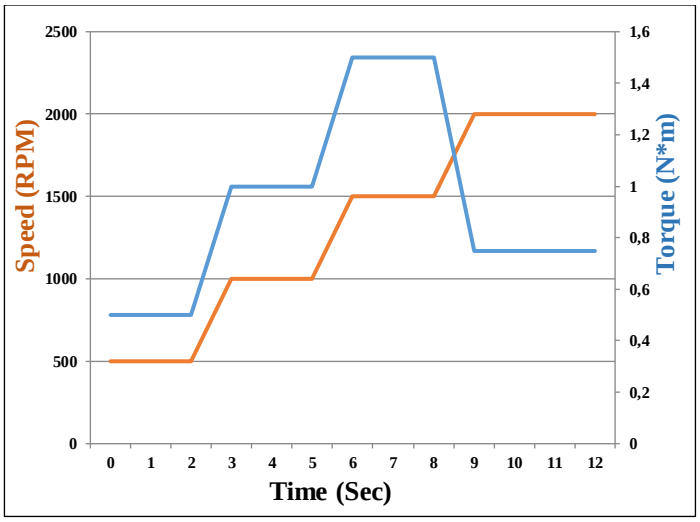


Figure 15: Speed and torque inputs to BLDC motor.
Source: Authors, (2026).

Time varying speed and torque data (Figure 15) provided as input to BLDC motor in the proposed SIMULINK model to analyse its performance of the BLDC motor.

IV. RESULTS AND DISCUSSIONS

The dynamic speed response of the BLDC motor closely follows the speed reference commands during its operation as shown in Figure 16 .

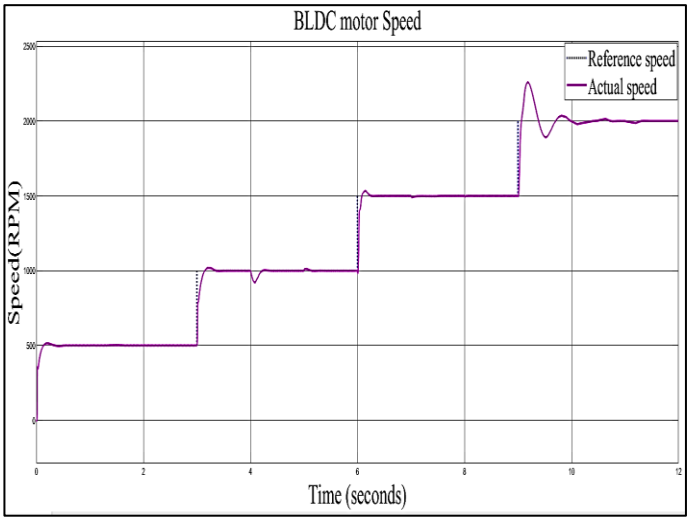


Figure 16: BLDC motor Speed.
Source: Authors, (2026).

A few transient deviations are observed during transition from one speed level to another, but the response settles down quickly to the speed reference value, indicating fast execution in the dynamics and very good steady-state performance. Even when the speed exceeds 2000 RPM, the controller tracks the reference command robustly without much oscillation. This implies good integration between the Ultra-Lift Luo-converter and the BLDC drive so as to get enough gain and solid performance from the motor.

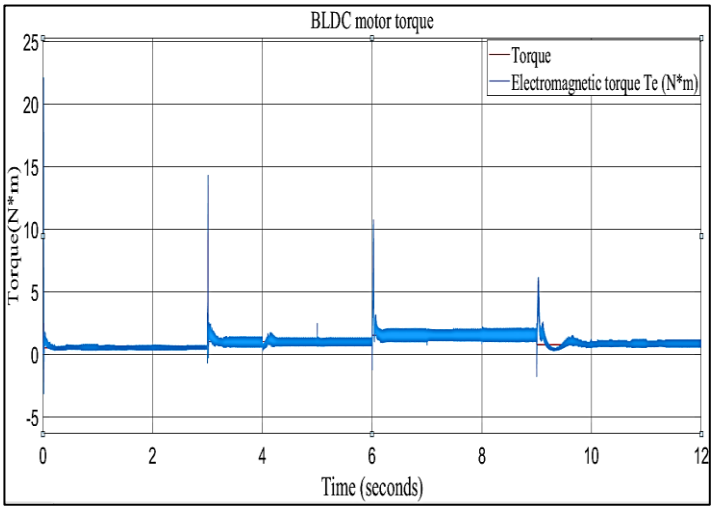


Figure 17: BLDC motor output electro mechanical torque.
Source: Authors, (2026).

The electromagnetic torque follows closely to the profile of the applied torque (Figure 17), signifying synchronization between the inverter switching sequence and motor dynamics. Due to transient oscillations, the torque gets disturbed but soon it settles back to steady values, demonstrating the capability of the controller in suppressing oscillations and ensuring steady operations of the motor. The converter output voltage increases from about 36 V to 150 V and then to almost 200 V (Figure 18) as demonstrated by the converter's ability to provide a regulated high-gain conversion when the duty ratio is varied. The output voltage settles smoothly after each transient, thereby signifying the controller's efficacy in attenuating oscillations and controlling voltage stability.

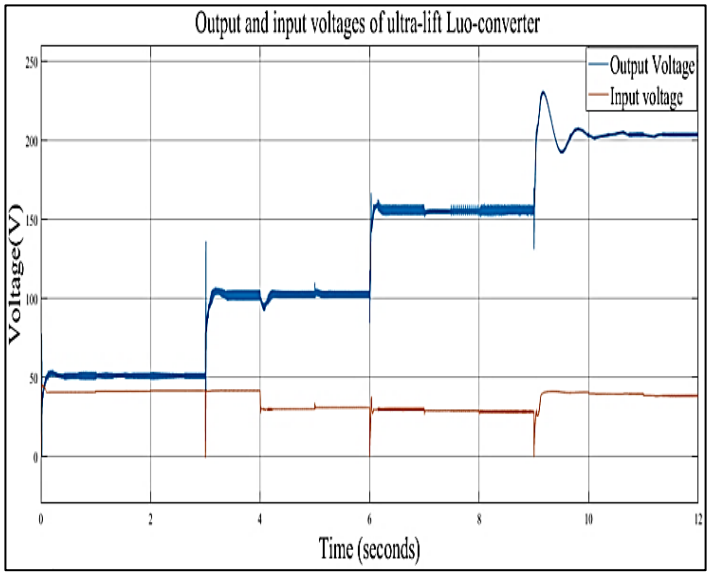


Figure 18: Output and input voltages of ultra-lift Luo-converter.
Source: Authors, (2026).

Initially the State Of Charge (SOC) profile (Figure 18) remains almost constant, indicating a balanced charging-and-discharging condition. As the converter and motor load settled down, the SOC started rising gradually, thus showing charging (4-9s) potential of the system. This gradual increase would then show that energy is efficiently transferred from the source to the battery to maintain support to load requirements.

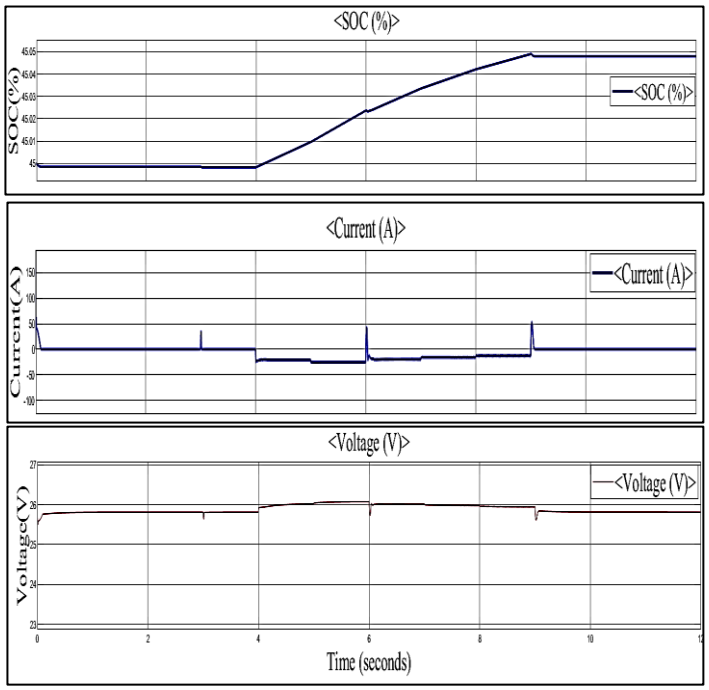


Figure 19: Battery parameter profiles: SOC, current, and voltage.
Source: Authors, (2026).

The battery voltage and current profiles (Figure 19) exhibit both positive and negative responses throughout the simulation period, demonstrating the charging and discharging behavior of the battery. Short transient spikes appear at different instances, corresponding to load and control transitions. Except for these brief occurrences, the current and voltage remain nearly constant, indicating that the controller effectively regulates both the battery current and voltage.

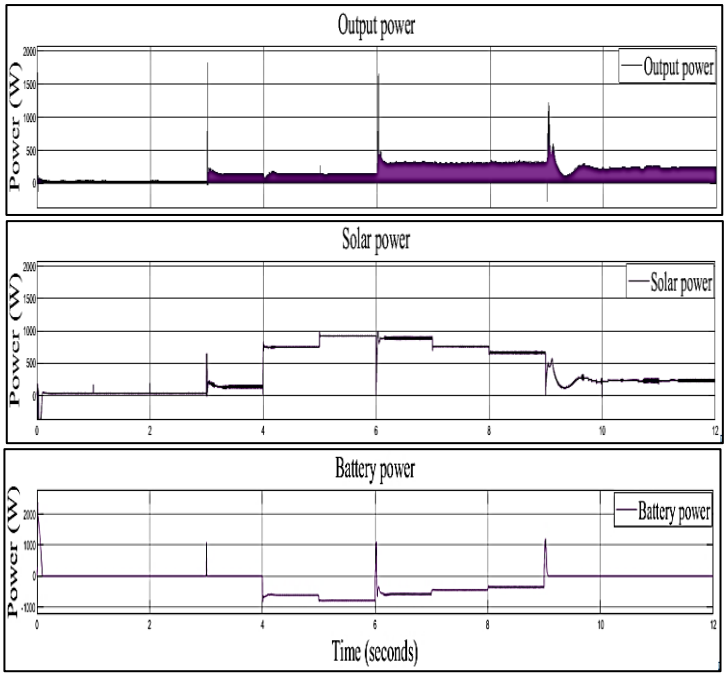


Figure 20: Power output: Ultra-lift Luo-converter, Solar PV array, and Battery.
Source: Authors, (2026).

Step changes in solar PV array output power (Figure 20) reflect variable irradiance or load conditions present upon the solar array. The solar power curve sharply rises and starts stabilizing. Between 4-6s, the array generated steadily in the range of 600–900 W, which showed reliable generation under stable irradiance. After 9 seconds, the solar output power was at a gradual decrease due decrease in irradiance and eventually stayed below 200 W, effectively making this photovoltaic source least contributory. The battery exhibits both positive and negative power values (Figure 20), confirming its bidirectional operation. After the initial transient, it delivers power to support load demand. In the periods between 4-6s, and 6-8s, the battery in fact operates in the negative region of around –500 W to –800 W, thus accounting for the charging from the excess solar generation. After 9s PV system is least effective, hence load is shared by battery.

The Ultra-Lift Luo-converter achieves the power requirements of the BLDC drive (Figure 20), even though a peak overshoot occurs initially before settling at stable power levels. The converter is able to supply a steady power output during battery switchovers and solar power inconsistencies.

V. CONCLUSIONS

The proposed ultra-lift Luo-converter is able to step up the input voltage of 36 V to voltages upto 220 V at 2000 rpm to drive the BLDC motor which is 6 times the input voltage. The motor speed response followed the reference input closely, while torque transients were suppressed by the controller. The proposed system can provide a stable DC output voltage, ensuring energy transfer to the BLDC motor under dynamic irradiance and temperature conditions. The proposed system is viable alternative for renewable energy application to ensure sustainable and reliable generation and use of clean power.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: G. Dilli Harsha and Dr. Vyza Usha Reddy.
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Investigation: G. Dilli Harsha and Dr. Vyza Usha Reddy.
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Supervision: Dr. Vyza Usha Reddy.
Approval of the final text: G. Dilli Harsha and Dr. Vyza Usha Reddy.

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RESEARCH ARTICLE OPEN ACCESS

IOT-BASED REMOTE VITAL SIGNS MONITORING AND TEMPERATURE FORECASTING FOR PREGNANT WOMEN

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ABSTRACT

The importance of maintaining optimal health during pregnancy for both the mother and fetus has driven the development of numerous artificial intelligence (AI)-based monitoring systems. These systems aim to address the growing need for continuous, reliable health tracking in pregnant women, ensuring early detection of complications and promoting better outcomes. While general-purpose health monitoring platforms exist, there remains a significant gap in solutions explicitly tailored for pregnancy. Addressing this need requires not only real-time monitoring but also predictive capabilities based on vital signs. In this work, we propose an IoT-based pregnancy monitoring system that continuously collects key physiological data, namely body temperature, heart rate, and blood oxygen saturation. The collected data is transmitted in real time and processed using a Long Short-Term Memory (LSTM) neural network to build a model capable of forecasting potential health anomalies. The system provides real-time insights and future predictions. This approach enhances proactive care, enabling timely intervention and improving maternal-fetal health outcomes. This system's approach shifts between personal and centralized monitoring, a capability particularly valuable where regular prenatal visits are difficult, thereby enhancing the overall effectiveness of prenatal care delivery.

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I. INTRODUCTION

Nowadays, modern healthcare systems [1], [2] are increasingly focused on early monitoring to prevent and predict complications at an early stage. This approach has become a fundamental tool in preventive medicine, aiming to detect potential health issues early and enable timely intervention. By leveraging advanced techniques [3], [4] to analyze patient data, these systems contribute significantly to improving overall well-being. Monitoring pregnant women is one of the areas that benefits most from tailored health monitoring systems. The dynamic physiological changes during pregnancy can lead to various complications and, in some cases, may even threaten the mother's life. Traditionally, the health of pregnant women is monitored by healthcare professionals in clinical settings through physical examinations and laboratory tests. However, in most cases, these methods lack the ability to collect and utilize real-time data.

New technologies have emerged, particularly remote health monitoring and data analysis using artificial intelligence (AI) and IoT are becoming increasingly popular [5–8]. These innovations allow both patients and healthcare professionals to track and analyze real-time health data. For pregnant women, this means being able to detect any changes or patterns related to potential complications, enabling early intervention to prevent risks that could affect either the mother's or the fetus's health. A variety of techniques [6], [9] for collecting and analyzing health data are now being incorporated into remote healthcare monitoring, including the use of wearable devices, mobile applications, and other digital tools. These systems enable the continuous collection and analysis of vital signs such as heart rate, blood pressure, and body temperature.

By leveraging these sensors and technologies, it becomes possible to identify patterns, make predictions, and forecast future changes, allowing for the early detection of potential health risks and enabling timely interventions to maintain good health. In this work, we propose a new framework that combines IoT and AI-based techniques to enable healthcare professionals to remotely monitor the health of pregnant women. The system collects data from vital signs, analyzes them to detect potential risks, stores historical health records, and forecasts future changes.

IoT devices are used to track any abnormal variations in vital signs continuously, while an AI-based approach using a Long Short-Term Memory (LSTM) deep learning architecture serves as a predictive tool for early diagnosis by forecasting future changes in these parameters and estimating the likelihood of developing complications. The system provides real-time monitoring and predictive insights through an integrated web and mobile application, allowing both pregnant women and healthcare providers to access critical health information at any time.

I.1 RESEARCH CONTRIBUTIONS

The main contribution can be summarized as follows:

1. **Development of a Novel IoT-AI Framework:** A new system is proposed that integrates IoT and AI technologies specifically for the remote monitoring of pregnant women's health.
2. **Real-Time Vital Sign Monitoring:** IoT devices are used to continuously collect and track key physiological data (e.g., heart rate, temperature, oxygen saturation) for early detection of abnormal changes.
3. **Combining Health Monitoring Approaches**: This system shifts from personal to centralized monitoring, a capability particularly valuable in contexts where regular prenatal visits are limited or challenging.
4. **Predictive Health Analysis Using LSTM:** Implementation of a Long Short-Term Memory (LSTM) deep learning model to forecast future changes in vital signs and predict potential complications.
5. **Early Diagnosis and Risk Prevention:** The system enables early identification of health risks, allowing timely intervention and preventive care.
6. **Historical Data Storage and Trend Analysis:** The collection and storage of historical health data to analyze long-term patterns and support better clinical decision making.
7. **Multi-Platform Accessibility**: Real-time monitoring and predictive insights are made available through both web and mobile applications, improving accessibility for both patients and healthcare providers.

II. RELATED WORKS

II.1 HEALTH MONITORING SYSTEMS

Health monitoring involves observing and tracking various aspects of a person's condition to identify potential issues and address them early. It consists of continuously assessing changes related to an individual's well-being to prevent potential health risks [10]. Monitoring can be done in three different ways [11], namely on-site, remotely, or centralized. In onsite monitoring, healthcare providers collect data directly by medical sensors connected to the patient, and it is done locally. It ensures accurate clinical assessment but lacks continuity. Remote monitoring uses transmission technology to send health data to a central monitoring system, which enables healthcare providers to monitor patients' health regardless of time and location, but may lack immediate clinical interpretation. Centralized monitoring bridges the two by combining remote data collection with expert oversight. The data collected remotely and the analytical evaluation are done at a central location. It is considered a more reliable approach for studying health phenomena, conducting large-scale research, and guiding decision-making in general health management, for example, the spread of epidemics like COVID-19.

II.2 INTERNET OF THINGS (IoT) IN HEALTHCARE

To enable remote monitoring, IoT is the most widely used technology for collecting data via sensors, transmitting information through networks, and analyzing the data using intelligent cloud-based solutions, thereby supporting efficient healthcare systems. The study presented in [6] proposed a patient monitoring system that uses GSM and embedded IoT technology to store and transfer healthcare data to the cloud, making it accessible to multiple users anytime and anywhere. Another study in [12] introduced an IoT-based health monitoring system focused on two vital signs: body temperature and respiratory rate. The system analyzes these parameters and detects abnormal health conditions via a mobile application, which can be used by doctors and nurses in hospitals.

This allows them to monitor all patients in real time without needing to visit each one individually, except in emergencies or when intervention is necessary. Different types of data can be used to evaluate overall health via IoT. Vital signs, such as heart rate, blood pressure, and temperature, are key physiological indicators [13]. Physical activity monitoring, including movement and exercise tracking, as well as sleep analysis (e.g., duration and quality), helps detect issues like sleep disorders [14]. Monitoring specific parameters, such as blood pressure in cases of hypertension, is essential for managing chronic diseases. Emotional and behavioral tracking also enables the early detection of mental health problems [15].

II.3 VITAL SIGNS IN MATERNAL HEALTH

Among others, vital signs monitoring [16–18] allows healthcare professionals to make timely interventions by continuously observing and measuring a person's physiological functions. It helps detect any changes in their condition and identify potential issues before they become serious. Various physiological functions, such as blood pressure, heart rate, respiratory rate, temperature, and oxygen saturation, can be considered. These measurements, commonly referred to as vital signs, play a critical role in clinical evaluation and management [19]. Several researchers have studied the use of wearable devices for continuous monitoring the healthcare based on body temperature [17], [20], [21].

Body temperature is one of the key indicators for the body to detect early warning signals of inflammation, infection, and other health complications. In the study conducted in [22], it was shown how body temperature, captured using wearable sensors, can continuously and accurately monitor health conditions and, for instance, prevent cases of sepsis using machine learning techniques. Other vital signs, including blood pressure, heart rate, and blood Oxygen saturation (SpO2) is a key indicator of an individual's health status. Blood pressure reflects cardiovascular function. Heart rate and its variability reflect cardiac and nervous system adaptations during pregnancy and postpartum [23], and they help in detecting serious complications such as preeclampsia [24], as well as psychological conditions like depression [25]. Oxygen saturation (SpO2) predicts adverse maternal outcomes in preeclampsia [26].

The work presented in [27] describes systems designed to monitor these vital signs. These systems collect real-time physiological data and transmit it to healthcare providers for immediate monitoring. Furthermore, machine learning techniques are integrated to enable the early and timely detection of potential health issues, thereby helping to prevent complications. According to the World Health Organization, deaths during pregnancy and childbirth are often caused by severe bleeding, high blood pressure, and pregnancy-related infections, which can be directly linked to and identified through vital signs. In cases such as infection, which pose a serious risk to both the mother and her fetus and can lead to dangerous complications or even death, a high body temperature often serves as a primary symptom and indicator that the body is responding to the infection [28].

Thus, monitoring vital signs, including body temperature, is crucial to ensure the well-being of the mother and the healthy development of the fetus. There are several benefits to monitoring vital signs during pregnancy. These include the early detection and management of high-risk conditions by tracking pre-existing medical issues such as diabetes, hypertension, and heart disease, all of which can increase the risk of complications. Vital sign monitoring is also useful for assessing overall health and guiding treatment decisions in women taking medications, as changes in indicators like blood pressure and body temperature can signal the need for medical adjustments. Moreover, tracking vital signs provides valuable data for research, contributing to a better understanding of the causes and risk factors leading to pregnancy complications.

Vital signs thus play a significant role in supporting the well-being of pregnant women and informing their healthcare providers. For example, elevated body temperature, especially in the first trimester, can indicate infection and has been linked to an increased risk of congenital heart defects or neural tube defects (NTDs), which affect the brain, spine, or spinal cord of the newborn [29], [30]. A rapid heart rate may signal underlying conditions such as anemia or preeclampsia, and if combined with a high temperature, it may point to sepsis. High blood pressure (hypertension) is another serious condition that can severely affect both the mother's health and the development of the fetus. Healthy SpO_2 levels are essential for proper fetal development, as even short periods of oxygen deprivation can disrupt normal organ formation and elevate the risk of congenital defects, particularly cardiac and spinal abnormalities [31].

Various research efforts based on vital signs have been proposed to monitor the health of pregnant women. The work presented in [6] introduces a system that uses vital signs and data collected through IoT technology to measure fetal movement and maternal parameters such as blood pressure, heart rate, and body temperature. This data is then transmitted and visualized via a mobile phone to monitor the health status of both the mother and the fetus. The system addresses the challenge faced by pregnant women living in rural areas with limited access to medical facilities, offering low-cost healthcare coverage without requiring travel.

II.4 FORECASTING AND AI IN HEALTH MONITORING

Another similar work proposed in [5] analyzes various pregnancy-related biological factors such as the pregnant woman's heart rate, blood pressure, blood glucose level, body temperature, and the weight of the fetus. This system allows physicians to monitor the condition of both the mother and the fetus remotely and access critical data, supporting rapid decision-making and timely treatment in case of complications. In fact, advancements in digital health technologies, particularly the use of Internet of Things (IoT) devices, have enabled continuous and remote monitoring of patients' vital signs [32]. These systems are especially impactful in maternal healthcare, where real-time data collection from pregnant women provides critical insights into both maternal and fetal health.

However, data collection alone is not sufficient; intelligent analysis is required to extract meaningful patterns and predict potential complications before they become critical. This need has driven the integration of AI into healthcare systems to enhance early detection, diagnosis, and intervention [33]. In this context, forecasting refers to the use of data-driven models to predict future changes in a patient's health status based on current and historical vital signs, a key capability for identifying complications that may not show immediate symptoms [34]. Therefore, our contribution proposes an IoT-based framework for monitoring pregnant women, in which vital signs, mainly body temperature, are continuously collected and analyzed.

We use a Long Short-Term Memory (LSTM) deep learning model to forecast temperature trends, allowing for early prediction of abnormal patterns that may indicate infection or other risks. LSTMs are able to capture temporal dependencies in sequential data, making them particularly suitable for effectively forecasting vital signs that change over time[35]. This approach of forecasting physiological parameters with deep learning models supports timely intervention and improved maternal care, as it has been shown to enhance preventive healthcare by enabling proactive decision-making and personalized treatment plans [36].

III. MATERIALS AND METHODS

The proposed system includes an IoT infrastructure that connects sensors to a web application, enabling doctors to remotely monitor the health status of pregnant women through vital signs such as body temperature, heart rate, and SpO2. This setup helps in preventing potential health issues and associated risks. Additionally, the system forecasts future body temperature to anticipate and mitigate possible complications, acting as a preventive mechanism, adding an extra layer of safety. It provides both pregnant users and healthcare professionals with access to collected and analyzed health data. This section introduces our proposed architecture, describing the IoT-based monitoring and temperature forecasting model and the hardware components.

III.1 FRAMEWORK ARCHITECTURE AND COMPONENTS

The global architecture of the proposed framework is shown in Fig. 1. It provides an overview of the main components of the system. Four primary components are included: the sensing module, data collection and storage, temperature forecasting, and the web application.

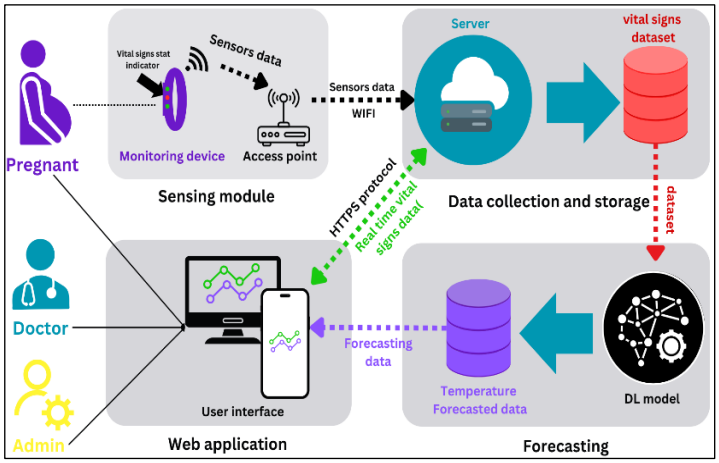


Figure 1: Overall framework architecture for pregnant women monitoring.
Source: Authors, (2026).

The main components of the framework are broken down as follows:

1. Sensing Module: The sensing module consists of IoT components used to collect vital signs related to real-time data of pregnant women. It includes sensors for temperature, heart rate, and oxygen levels, LED indicators, and a microcontroller to evaluate the corresponding values and send alerts in different situations (low, high, or normal). The data is transmitted to the cloud via IoT protocols, ensuring real-time communication so that both the pregnant woman and the doctor are promptly notified through their respective dashboards. The data is also stored for use by the forecasting model. Different sensors have been used to realize the sensing module.

- Temperature sensor: The LM35 temperature sensor is used, which outputs a voltage linearly proportional to the temperature in degrees Celsius. It measures temperatures ranging from −55 ◦C to 155 ◦C, with a voltage conversion rate of 10 mV/◦C. This sensor is suitable for remote monitoring because it does not require external calibration and offers reliable performance. Moreover, it is low-cost, highly accurate, and consumes little power.
- Pulse oximeter and heart rate sensors: The sensor MAX30102 sensor presented in Fig.3 is used to measure both the heart rate and oxygen saturation. It works on a 1.8 V power supply and measures heart rate and blood oxygen from wearable devices, which can be worn on the fingers, earlobe, and wrist.
- Microcontroller: To manage the different sensors and process the data, we used the NodeMCU microcontroller (Fig. 4), which is open-source and equipped with a CPU, RAM, and a Wi-Fi module.
- Light Emitting Diodes (LEDs): We used an RGB LED with three internal colors (Red, Green, and Blue) to produce visual alert messages. Any color can be generated by combining these three LEDs.

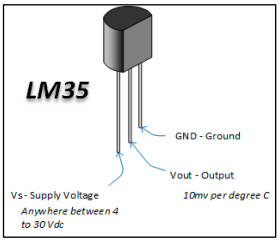


Figure 2: LM35 temperature sensor.
Source: [37].

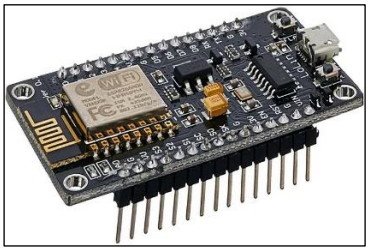


Figure 4: NodeMCU microcontroller.
Source: [39].

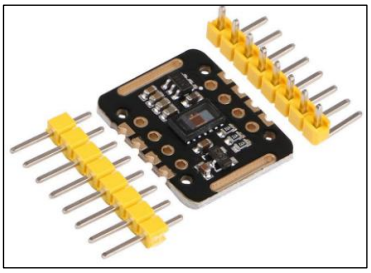


Figure 3: MAX30102 pulse oximeter and heart rate sensor.
Source: [38].

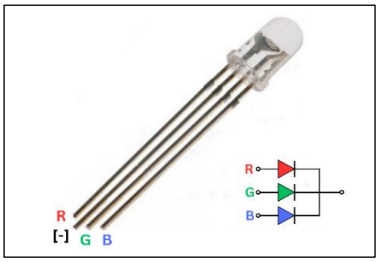


Figure 5: The used RGB LED.
Source: Authors, (2026).

2. Data collection and storage: To store and manage the collected data, we used the ThingSpeak IoT cloud platform, which includes a web service (REST API) for collecting and storing data from sensors in the cloud. It provides ample cloud storage capacity to manage real-time data and allows seamless access to the data from anywhere at any time. The NodeMCU microcontroller is used to transmit the gathered sensor data to this platform through its integrated Wi-Fi module. Each value, including temperature, heart rate, and SpO$_2$, is transmitted through a dedicated channel. The collected vital signs data is stored in CSV or JSON format, allowing for easy retrieval and use in historical visualization and forecasting.

3. Body temperature forecasting: In order to forecast future body temperature and predict any related complications, a deep learning (DL)-based forecasting model is proposed (described in detail in Section III-B). It uses the stored data in the cloud to build a learning model, which is then used to predict temperature for the upcoming hours. The predictions are displayed through the web application and can be accessed by doctors and pregnant users via their dashboards, with an appropriate display mode for each. The overall process is shown in Fig. 6.

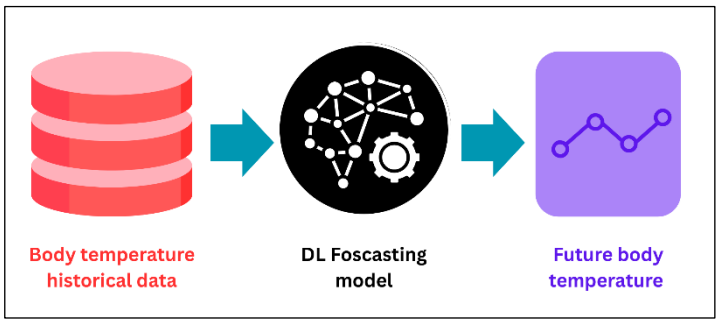


Figure 6: Body temperature forecasting processes.
Source: Authors, (2026).

4. Web application: The web application allows different actors to benefit from the information provided by the framework, each for a specific purpose. The three main actors are the admin, the pregnant user, and the doctor. The administrator can manage technical actions such as adding and updating user profiles. The doctor can perform standard operations, monitor patients' vital signs, view historical data, access forecasting information, and identify any potential risks. The pregnant user can check her vital signs to ensure everything is normal and add or update her personal information. The use-case diagrams presented in Fig. 7 summarizes the actions of each of the different actors.

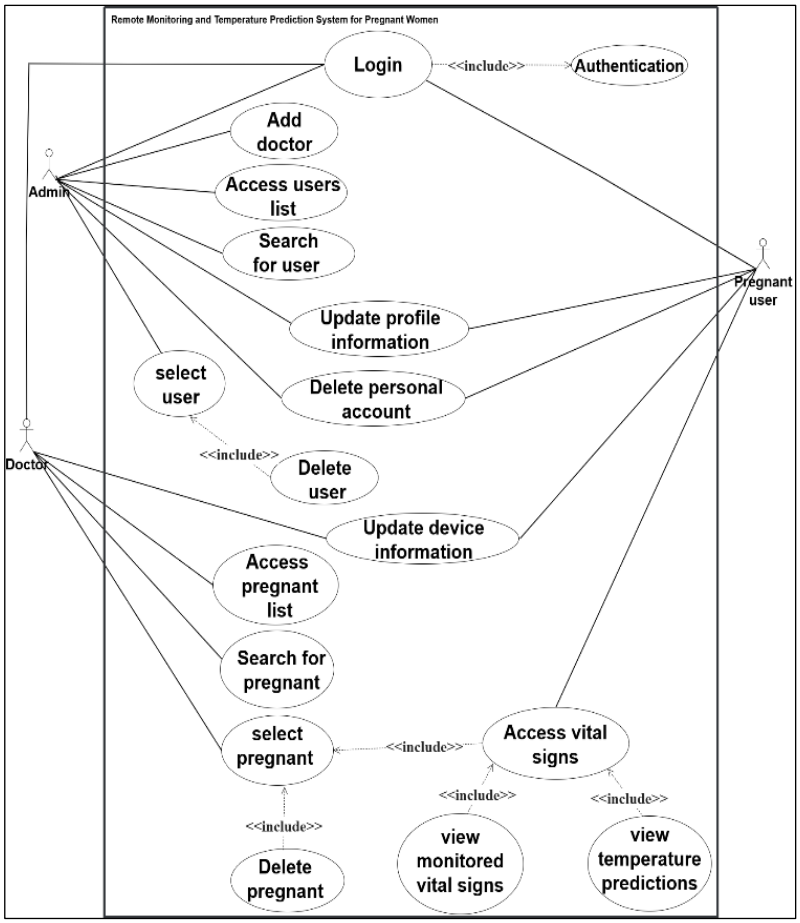


Figure 7: Use case diagram.
Source: Authors, (2026).

The block diagram shown in Fig. 8 resumes the overall working mechanism of the proposed framework.

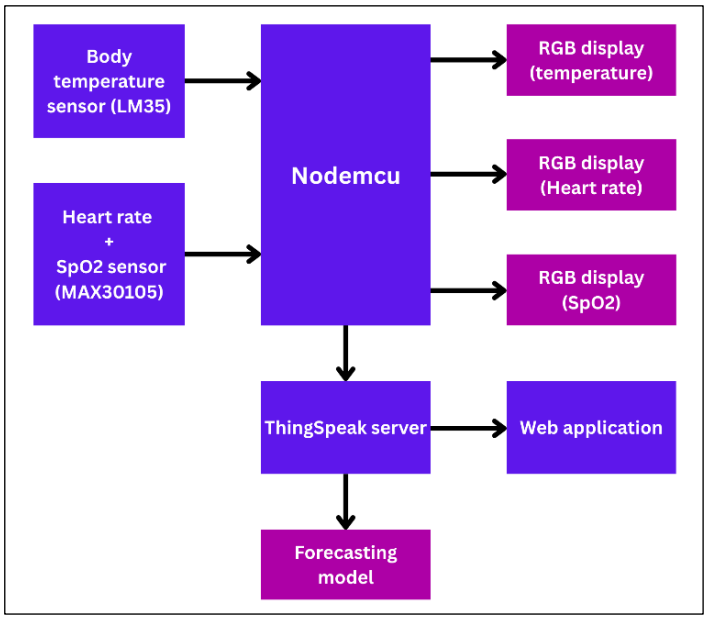


Figure 8: Use case diagram.
Source: Authors, (2026).

III.2 BODY TEMPERATURE FORECASTING

In order to forecast temperature over future time steps, we developed a sequence-to-sequence LSTM model tailored for multi-step output. Different LSTM-based architectures, namely LSTM, Bi-LSTM, and GRU, were considered and evaluated against various baseline models and performance metrics. This enabled us to identify the most suitable model for the forecasting task. The overall temperature forecasting process, including the LSTM architecture, is shown in Fig. 9.

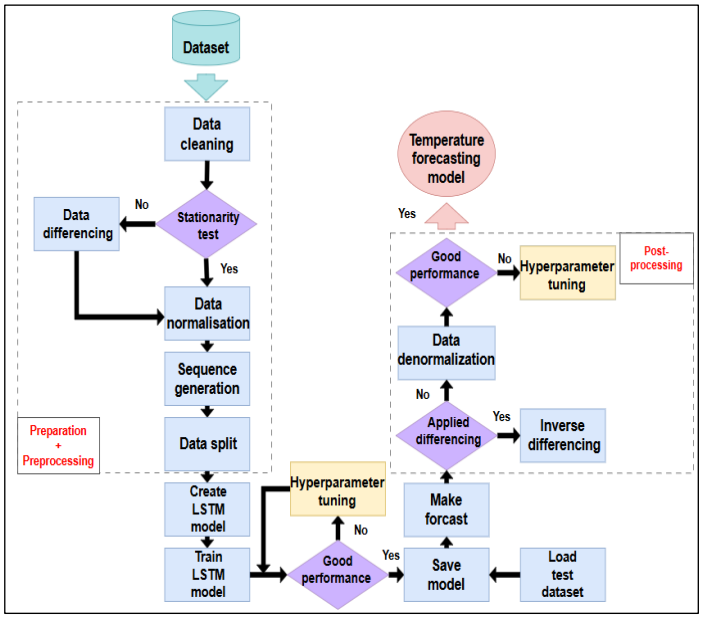


Figure 9: Use case diagram.
Source: Authors, (2026).

The process starts with preprocessing steps: filtering the data, checking for missing values, and handling them appropriately. Data normalization and scaling are then applied. Statistical tests such as the Augmented Dickey-Fuller (ADF) test, along with ACF and PACF plots, are used to visualize the data and verify stationarity. If necessary, first-order differencing is applied to remove trends and achieve stationarity. Next, sequences are created from the input and output data to fit a structured format suitable for a supervised learning task. A fixed number of previous time steps, referred to as the "look-back" window, serve as input features, while another fixed number of future time steps, referred to as the "target" window, serve as the predicted output generated by the model. The final step in the processing phase is to split the data into training and testing sets. Additionally, a validation set is created, used for hyperparameter tuning during training. It allows for assessing the model's performance on unseen data while fine-tuning its hyperparameters. Afterward, the LSTM model with different architectures and configurations is deployed.

The first configuration consists of a one-dimensional LSTM that processes one-dimensional sequential temperature data. It includes an input layer, followed by three LSTM layers, three dense layers with ReLU activation functions, and a final single-unit output layer with a linear activation function. The second configuration is a Bi-LSTM model. It starts with an input layer shaped according to the input data (ninput, nfeatures), which then passes through three bidirectional LSTM layers with 100 units each—allowing the model to capture information from both past and future time steps. This is followed by two fully connected layers with 8 and 1 neurons, respectively, using ReLU and linear activation functions for feature extraction and regression output. The last configuration is a GRU-based architecture, starting with an input layer, followed by three stacked GRU layers with 100 units each, and an additional GRU layer with 50 units. Two dense layers are added afterward: the first with 64 units and a ReLU activation function, and the final output layer with a single unit and a linear activation function. The three architectures are presented in Fig. 10.

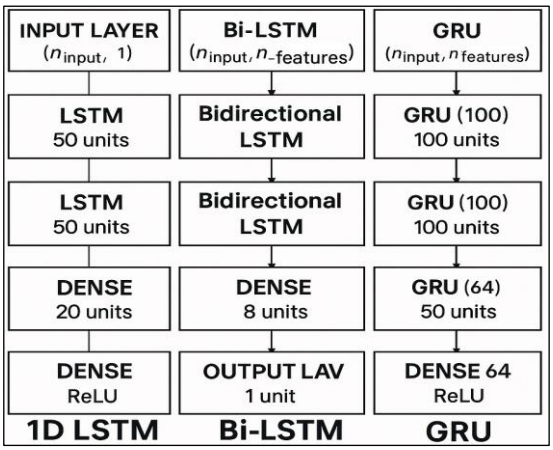


Figure 10: Used LSTM architectures for temperature forecasting.
Source: Authors, (2026).

After training and evaluating the model to determine the optimal parameters, the forecasting process is performed by specifying the size of the input sequence (forecasting look-back) and the length of the desired forecast output. Finally, the post- processing phase is crucial to convert the data back to its original standard time series format.

IV. RESULTS AND DISCUSSIONS

IV.1 HARDWARE IMPLEMENTATION

Our device prototype is built using an LM35 temperature sensor, a MAX30102 pulse oximeter and heart rate sensor, and a NodeMCU ESP8266 board. We also include three RGB LEDs (indicators for the three sensors) and nine resistors. The positive legs (anodes) of the LEDs are connected to the power supply (VCC). Each LED's positive pin is connected through a resistor to specific pins on the NodeMCU. Fig. 11 shows how all the components are connected, giving a clear overview of the monitoring system.

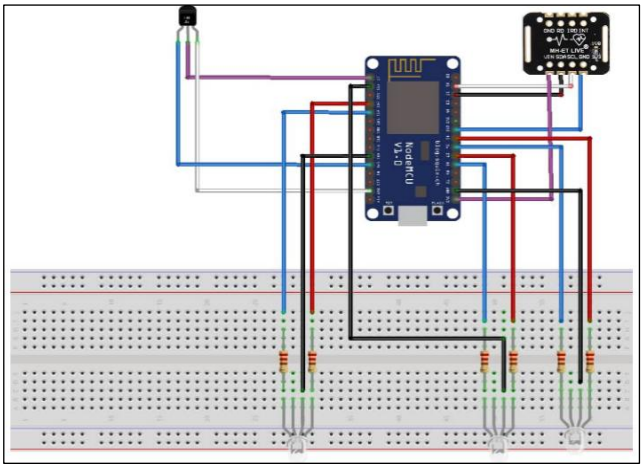


Figure 11: Device material connection.
Source: Authors, (2026).

The components of the circuit model are connected as described in Section III. The circuit integrates the LM35 temperature sensor and the MAX30102 pulse oximeter and heart rate sensor as inputs to the NodeMCU microcontroller. The microcontroller collects and analyzes the data, transmits it to the server, and controls the RGB LEDs as visual indicators. The LEDs display the status of the measured vital signs: green for normal, red for high, and blue for low. ThingSpeak is used to collect, store, and remotely access data by both users and devices. Several steps are followed to set up the server and connect it to the NodeMCU board. This includes creating a ThingSpeak account, setting up a new channel for data communication, and using the API key to upload data to the correct channel.

Finally, the different components are interconnected, and the server is configured accordingly. Afterward, the monitoring device operates according to the following process:

1. **Initialization and data collection:** The connected device initializes the sensors, continuously collects data using the Wi-Fi module, and establishes a connection with ThingSpeak for data transmission and communication.
2. **Data processing:** Ensure efficient data analysis, the collected data is first preprocessed and cleaned to make it usable for the next steps. This process also verifies that the vital signs are correctly detected, confirming that the user is wearing the device and that the data is accessible.
3. **Vital signs Assessment:** Based on the collected data, the connected device assesses the status of the vital signs by monitoring temperature, heart rate (HR), and SpO2 levels. Abnormal values are indicated using RGB LEDs: blue for low values, red for high values, and green for normal levels.
4. **Data Transmission:** The API key and channel ID are used to send the collected data to the ThingSpeak server. Each vital sign value (temperature, heart rate, SpO2) is assigned to a specific field within the channel.
5. **Data storage:** The data sent to the ThingSpeak server is stored in suitable formats for further use, including both CSV and JSON file formats.
6. **Continuous Loop:** The previous steps are executed in a continuous loop. Sensor data and the status of the vital signs are updated periodically.

Display outputs are integrated into the device to provide a more user-friendly interface. Once the device is connected, a message showing the network name is printed, along with a ”success” confirmation. The vital signs values are displayed in real time, and a notification is shown each time data is successfully sent to the server.

IV.2 FORECASTING MODEL RESULTS

To train the proposed models, we relied on a dataset obtained from a real experiment consisting of nearly 7-week-long wrist skin temperature measurements of a pregnant individual, collected using a smartwatch. The temperature is captured every 3 minutes for 24 hours. Fig. 12 below represents the visualization of this dataset.

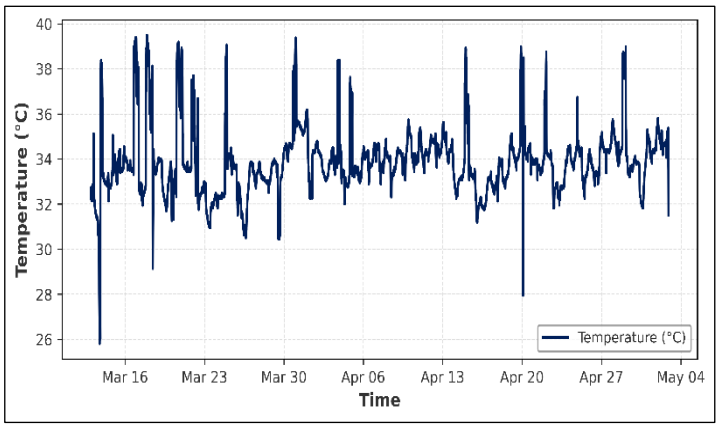


Figure 12: Seven-week wrist skin temperature of a pregnant individual.
Source: Authors, (2026).

The performance of the different forecasting models is evaluated, and the training results for each of the three configurations are shown in Figs. 13, 14, and 15.

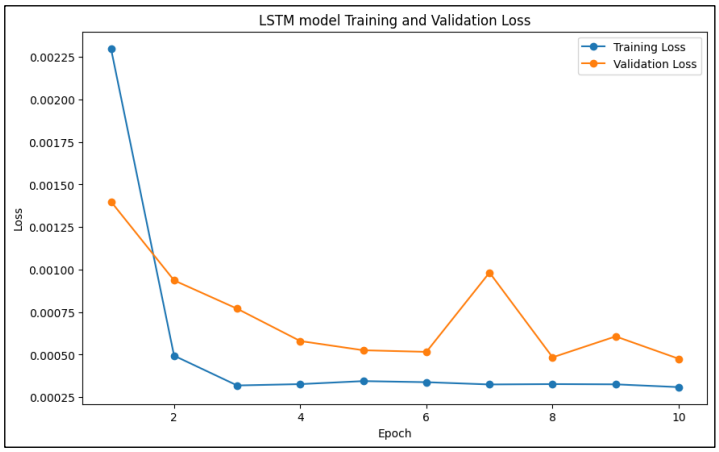


Figure 13: LSTM loss function evaluation.
Source: Authors, (2026).

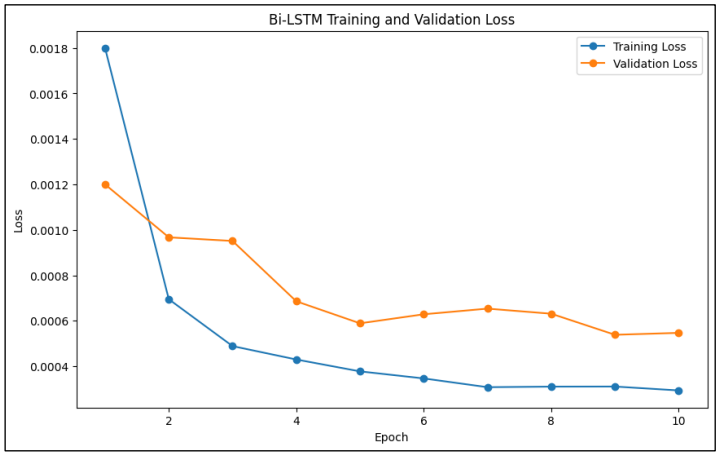


Figure 14: Bi-LSTM loss function evaluation.
Source: Authors, (2026).

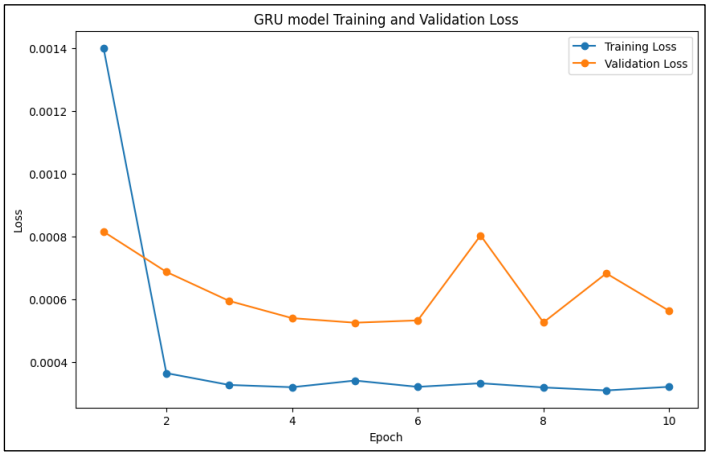


Figure 15: GRU loss function evaluation.
Source: Authors, (2026).

The loss function plots in these figures show distinct behaviors among the models. Although the 1D-LSTM starts with a higher initial loss, it exhibits a faster convergence rate compared to the other models. Ultimately, it achieves the lowest final loss for both the training and validation sets, indicating superior learning efficiency and generalization. In contrast, Bi-LSTM and GRU show similar overall performance trends. For training, the Bi-LSTM begins with a lower initial loss, suggesting a more favorable starting point. However, for validation, the GRU performs slightly better in the early epochs.

Despite these differences, both models eventually converge toward similar stationary loss values, implying comparable long-term performance. Interestingly, a minor increase in the loss is noted around epoch 7 for both the 1D-LSTM and GRU models. This could suggest a momentary overfitting or instability in learning, possibly due to learning rate dynamics or model sensitivity. Nonetheless, both models recover and resume a decreasing trend afterward, reinforcing the stability of their training process. To further evaluate the performance of the considered models, additional metrics, namely RMSE and MAE, are reused. Table I summarizes the obtained results.

Table 1: Training metrics scores.

Model	Loss	RMSE	MAE
LSTM	0.01 %	1.19 %	0.70 %
Bi-LSTM	0.02 %	1.29 %	0.78 %
GRU	0.02 %	1.45 %	0.95 %

Source: Authors, (2026).

Regarding the results shown in Table I, the 1D-LSTM model outperforms the other models, achieving the lowest values for all three metrics: loss, RMSE, and MAE. The Bi-LSTM model ranks second, showing better performance than the GRU model in terms of RMSE and MAE. The 1D-LSTM out performs the others by effectively capturing temporal patterns with less complexity. Bi-LSTM, though more powerful, may suffer from redundancy or overfitting. GRU, being simpler, lacks the memory depth needed for optimal performance in this context.

V. CONCLUSIONS

In the future, to increase the impact of the proposed work, other deep learning architectures could be considered to enhance the accuracy of the forecasting process and reduce the risk of medical errors. Additionally, a user-friendly mobile application could be developed alongside the web application, enabling faster access to the monitoring system and timely reception of related notifications. In this work, we focused on the mother's primary vital signs as an initial step but considering there are many additional issues related to pregnancy, further monitoring devices with extended capabilities such as fetal heart rate and glucose level tracking can also be integrated to monitor a wider range of health indicators and to address the fetus's condition more precisely

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Fairouz Graine.
Methodology: Bilal Mokhtari and Fairouz Graine.
Investigation: Fairouz Graine.
Discussion of results: Fairouz Graine.
Writing – Original Draft: Bilal Mokhtari, Fairouz Graine and Abdelhak Merizig.
Writing – Review and Editing: Bilal Mokhtari and Fairouz Graine.
Resources: Fairouz Graine.
Supervision: Bilal Mokhtari.
Approval of the final text: Bilal Mokhtari.

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RESEARCH ARTICLE OPEN ACCESS

DEVELOPMENT OF A REAL-TIME MONITORING AND CONTROL SYSTEM FOR AN INDUSTRIAL PLANT USING PLC AND SCADA TECHNOLOGIES

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ABSTRACT

Automated systems are technological solutions designed to operate with minimal or no human intervention, performing tasks with high precision and efficiency. These systems maximize operations in a variety of areas, including the commercial, industrial, and residential sectors, by combining sensors, actuators, and sophisticated control logic. They are utilized in anything from intelligent home gadgets to complex industrial processes. The design and execution of an extensive automation and control system for an industrial milk processing facility are presented in this paper. Critical manufacturing processes, including water heating and cooling, milk storage, pasteurization, bottling, and cleaning, are all intended to be optimized by the system. Programmable Logic Controllers (PLCs) are employed to control the machinery and equipment, while Human-Machine Interfaces (HMIs) and a Supervisory Control and Data Acquisition (SCADA) system provide centralized monitoring, control, and visualization. The suggested solution combines software and hardware elements to provide an intuitive graphical user interface for process control and operational supervision. The main goals are to increase milk production efficiency, guarantee process dependability, improve product quality, and provide a smooth and user-friendly operator experience.

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I.INTRODUCTION

Automated systems employ cutting-edge technology to manage and execute tasks without direct human intervention, increasing accuracy and efficiency in a variety of sectors. These systems are often built around Programmable Logic Controllers (PLCs), specialized digital computers designed for real-time control in industrial settings. PLCs employ programmable logic to control inputs and outputs in order to connect with sensors, actuators, and other devices. They are necessary for the automation of manufacturing processes, other electromechanical systems, and machinery. PLCs operate constantly, rapidly scanning and updating the control logic to ensure real-time response. These controllers' modular architecture makes it simple to enhance their capabilities and configure them to meet a range of industrial requirements.

Because of their robust architecture and resilience to harsh conditions, PLCs are crucial to the lifetime and dependability of automated systems. Automated systems that manage time-consuming tasks, data collection, and analysis increase the efficiency of scientific research and allow researchers to focus on difficult issues. These systems often include robots, sensors, and artificial intelligence, which expedite testing and enhance data accuracy. The use of automated technologies in labs improves experiment consistency and reproducibility. Researchers' use of automated technology for high-throughput has greatly boosted scientific innovation and discovery.

II. LITERATURE SURVEY

The usage of Supervisory Control and Data Acquisition (SCADA) systems for automation and remote monitoring in the bottle-filling industry is examined in the research in [1], [2]. A sophisticated PLC-SCADA framework for the automated monitoring of petroleum product terminals in an Industry 4.0 setting is proposed by the authors in [3], [4]. Similarly, [5] investigates tank operations and water level control in a semi-automated facility using PLC software in conjunction with SCADA. Simultaneously, [4] focuses on implementing Human-Machine Interfaces (HMIs) for an automated packaging process, enabling remote control and monitoring using mobile applications.

Paper [6] addresses failure reduction in automated metro railway systems by integrating data from the Operational Control Centre, traction SCADA system, traction power control, and power supply system, thereby improving network capacity and operational flexibility. In [7], a low-cost SCADA system for sugar manufacturing is presented, where PLCs control and monitor a laboratory production line. The system combines hardware and software, including PLC programming, HMI design, alarms, and trending systems, and monitors parameters such as temperature, flow, and humidity while detecting potential failures. The design and implementation of a heliostat control system based on a SCADA framework with a standalone remote terminal unit is described in [8], using a fuzzy logic controller integrated on a low-cost microcontroller for precise orientation control.

In [9], the authors suggest employing a PLC Zelio for the SCADA control of a biaxial photovoltaic tracker. The study also proposes a supervision algorithm using SCADA software on VijeoCitect and Android platforms with Tesla SCADA 2, alongside an automatic tracking control method via Zelio Soft 5.4.0.The work in [10] presents a smart automated bottle-filling system integrating PLC-SCADA technology. Bottle filling, warehouse management, and energy-efficient lighting are all automated, and process efficiency is shown through a SCADA simulation. Lastly, [11-13] suggests an analytical model for managing molding machines based on PLC and SCADA, allowing for continuous monitoring using many sensors. The technology guarantees dependable industrial process monitoring, improves power analysis, and permits the collection of quantitative fault data [14-16].

III. GENERAL DESCRIPTION OF MILK FACTORY OPERATIONS

Pasteurization, named after Louis Pasteur, is a crucial process in milk processing. It involves heating milk particles to a specific temperature without recontamination. It serves two purposes: public health to destroy harmful pathogens and keeping quality to improve the quality of milk and milk products.

III.1 PASTEURIZATION METHODS

Milk pasteurization involves heating milk to a specific temperature, holding it for a specific duration, and chilling it to less than 7°C. Combinations of time and temperatures can improve quality, destroy pathogens, or destroy all microorganisms. Selecting the right combination minimizes nutritional loss. Pasteurization methods include Low Temperature Long Time (LTLT) pasteurization, which involves heating milk to a temperature of 63°C and holding it for 30 minutes. Continuous (HTST) pasteurization, also known as Continuous Pasteurization, is carried out continuously in a plate heat exchanger with online detection and recirculation of insufficiently treated milk. It consists of five stages, including regenerative heating, heating, holding, regenerative cooling, and chilling. Flash pasteurization is a severe treatment, heating milk to 85-90°C and holding it for 1 to 4 seconds. Ultra High Temperature (UHT) pasteurization involves heating milk to 135°C and holding it for a minimum of 1.0 seconds, followed by aseptic packaging.

III.2 CIP OPERATION

Cleanliness is crucial for microbiological hygiene and restoring heat transfer and pressure drop characteristics. CIP cleaning is typically a two-stage process using acid and alkali, or specially formulated detergents. In the dairy industry, non-production time for CIP is excessive, ranging from 4 to 6 hours per day. CIP was first developed in the 1950s and is dependent on the type and concentration of solutions used, solution temperature, and time in contact with the deposit substance. Current auto-set CIP cleaning takes about 35 minutes and consists of five steps: pre-rinse, alkali-clean, water rinse, acid rinse, and final rinse.

III.3 BOILER OPERATION

Boiler operation involves the combustion of fuel inside a furnace, which then passes through fire tubes to create steam. This heat energy is transferred to the surrounding water, generating steam and storing it in the same vessel. There are two main types of boilers: water tube boilers, used in large power plants, and fire tube boilers, used for small-scale applications. The horizontal return fire tube boiler is most suitable for low-capacity thermal power plants, with a large steam drum submerged in water. The fuels burnt in the furnace and combustible gases move into the fire tubes, travel through them, and finally come into the smoke box. The hot gases transfer heat to the water via the tube walls, creating steam bubbles that come to the water's surface. As the amount of steam increases, the steam pressure inside the drum increases, reducing the boiling temperature of the water and reducing the rate of production of steam.

Advantages of a fire tube boiler include its compact construction, easy fluctuation of steam demand, and cost-effectiveness. However, disadvantages include high required steam pressure rising time due to large water, limited output steam pressure, not very dry steam, and the risk of explosions. Air-cooled chillers are refrigeration systems that cool fluids and work in tandem with the air handler system of a facility. They consist of four major parts: a compressor, an evaporator, a condenser, and an expansion valve. These chillers are used in large buildings like indoor malls, industrial buildings, hotels, and hospitals, as well as locations with multiple buildings requiring cooling, such as theme parks and outdoor malls. Components of an air-cooled chiller include a compressor, a condenser, fans, an expansion valve, and an evaporator or heat exchanger. The compressor provides the driving force that moves the refrigerant around the system, while the condenser transfers heat from the refrigerant to the air.

The expansion valve expands the refrigerant from its liquid form into a gaseous form before entering the evaporator, creating a pressure drop across the path of the refrigerant that runs to the evaporator. In conclusion, boiler operation involves the combustion of fuel, the transfer of heat energy to the surrounding water, and the use of air cooled chillers and air-cooled chillers.

III.4 FILLING MACHINE

Filling machines are essential tools for filling and packaging various food products, with various types and ranges available in various sectors. The machine has a transfer station, a filling station, a tightness control station, a filling station with an adjustable volumetric dozer, a looping station with a cap transfer, an MB pneumatic motor, an EV3 solenoid valve, and an advance cylinder E. The transfer station feeds the filling conveyor belt via cylinder A, while the filling-capping belt is actuated by jack G. The tightness control station is connected to a rack mounted on the cylinder, and the looping station is equipped with a cap transfer by cylinder F.

IV. CURRENT FACTORY WORK DESCRIPTION:

The factory work description includes various types of equipment used in milk factories. Air-cooled chillers, bottle machines, fire tube boilers, continuous pasteurization, and CIP systems are examples of this equipment. Air-cooled chillers use a compact Programmable Logic Controller (PLC) to cool water, which is then circulated through the factory for air conditioning. The PLC controls the operation of the chiller by monitoring the temperature of the water and adjusting the compressor speed. Bottle machines have filling, capping, and labeling operations with a simple HMI that provides a user-friendly interface for operators to interact with the machine. Fire tube boilers use relay logic control systems to heat water and generate steam. These systems use sensors to monitor various aspects of the boiler's operation, such as water level, temperature, and pressure.

Relay logic control systems, such as the burner and water pump, operate by activating or deactivating relays to control the operation of boiler components. Continuous pasteurization equipment uses a compact PLC and simple HMI to heat and cool liquid products to a specific temperature for a specific amount of time. The process involves heating the product to a specific temperature, holding it at that temperature for a specific amount of time, and then cooling it back down to a safe temperature. Cleaning In Place (CIP) is a cleaning process commonly used in milk factories to clean and sanitize equipment. The CIP system uses a series of components and control systems to automate the cleaning process. The compact PLC monitors various sensors and adjusts the operation of the components as needed. At the same time, the simple HMI provides a user-friendly interface for operators to monitor and control the CIP process.

V. PROBLEMATIC & OBJECTIVES

The objective of Human-Machine Interface (HMI) is to facilitate intuitive communication between humans and machines, enhancing operational efficiency and control in industrial processes. Through graphical interfaces and interactive elements, HMIs aim to present complex data in a user-friendly manner, enabling effective monitoring, control, and decision-making in diverse automation environments [17]. Any monitoring system must have a data acquisition system in order to gather data from the system's many sensors. After that, the data is digitized for storage before being transferred to a control center for processing and display. The purpose of this study is to explore novel system development and project execution methodologies, including:

- Creation a developed HMI for each operation.
- Create a PC station for fully control and remotely control.

V.1 SOFTWARE EQUIPMENTS OF THE SCADA SYSTEM

V.1.1 Tia Portal Software:

For configuring and programming SIMATIC controllers, including PLC and PC-based variants, SIMATIC STEP 7 is an all-inclusive engineering tool. Regardless of user experience, it is appropriate for building SIMATIC S7-1200 and SIMATIC HMI Basic Panels because it provides transparency, intelligent navigation, and straightforward processes. Programming software for industrial automation, SIMATIC STEP 7, is commonly used to set up controller families, including SIMATIC S7-1200, S7-1500, S7-300/400, and WinAC. It comes in two flavors: WinAC TIA Portal 13 SP1 version Basic for network configuration, and Basic S7-1200 Configuration and STEP 7 Professional for S7-1200, S7-1500, and S7-300/400 configuration. In addition to saving configuration time, the software offers advantages, including simple technology item development and instant online diagnostics [18-20].

V.1.2 PLC Configuration

To configure a Siemens S7-1500 PLC in TIA Portal, follow these steps:

- Add the hardware to the project, configure communication settings, and add hardware modules.
- First, select the appropriate device type and model. Then, configure the communication settings by specifying IP address, subnet mask, gateway address, and network parameters.
- Finally, add the required digital and analog input/output, communication, and power supply modules, and configure the parameters for each module, such as input/output addresses and module type.

The principal screen, also known as the home page, is the main interface of the SCADA system, offering a comprehensive overview of the system, key information, alerts, and notifications. It allows users to configure and alter the settings of their connected devices or components, print reports, logs, and other essential SCADA system information, and view trends over time. The report section allows users to build detailed reports based on collected data, providing insights, statistics, and summaries of the system's performance.

The log-on area provides a safe identification mechanism for accessing the system, typically requiring a user name and password or additional credentials. The exit area allows users to safely exit the system, ensuring proper management of unsaved data or configurations. The shutdown department is responsible for shutting down the system, often used for maintenance or switching off the entire system.OB1 is the main organization block in a programmable logic controller (PLC) program, executed cyclically and containing the main program logic.

It coordinates other program blocks and ensures system operation. OB1 may also include calls to other organization blocks and other program parts.OB30 is a cyclic interrupt organization block in a programmable logic controller, executed at a specific time interval, executing cyclic tasks like reading inputs, performing calculations, and updating outputs. The PID Compact function block with a cyclic interrupt OB30 allows precise system control by setting parameters like proportional gain, integral time, derivative time, and filter time, optimizing PID controller performance [21].

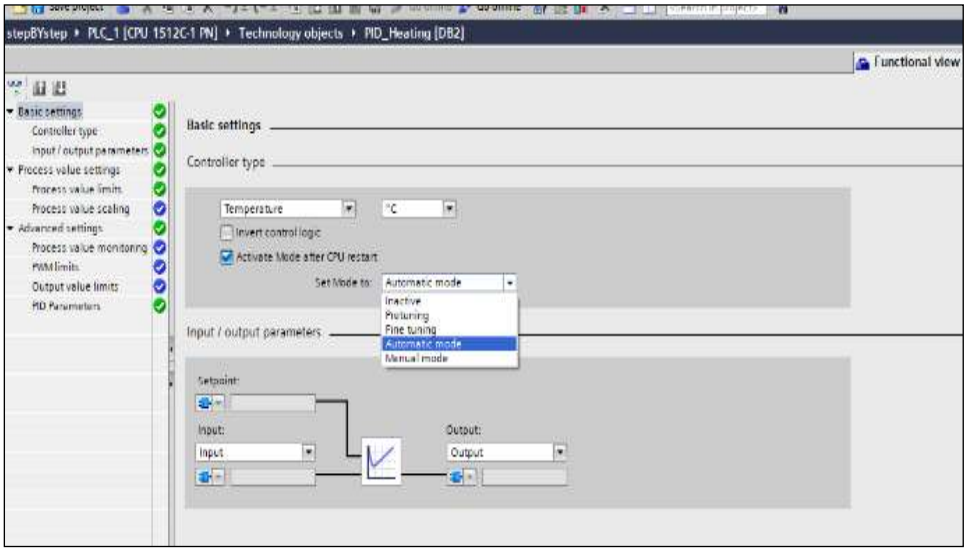


Figure 1: PID settings screen.
Source: Authors, (2026).

Siemens PLCs use two types of programming blocks: FC and DB. FC defines specific functions, reusable for multiple parts of the program. DB is used for complex operations requiring multiple inputs and outputs, like mathematical calculations or data manipulation.DB, or Data Block, defines a collection of data elements used in a program. They store input and output data, intermediate results, and can be structured to meet program requirements. TIA Portal's programming environment allows for the creation and editing of function blocks and data blocks, enabling easier development, testing, and maintenance of modular code.

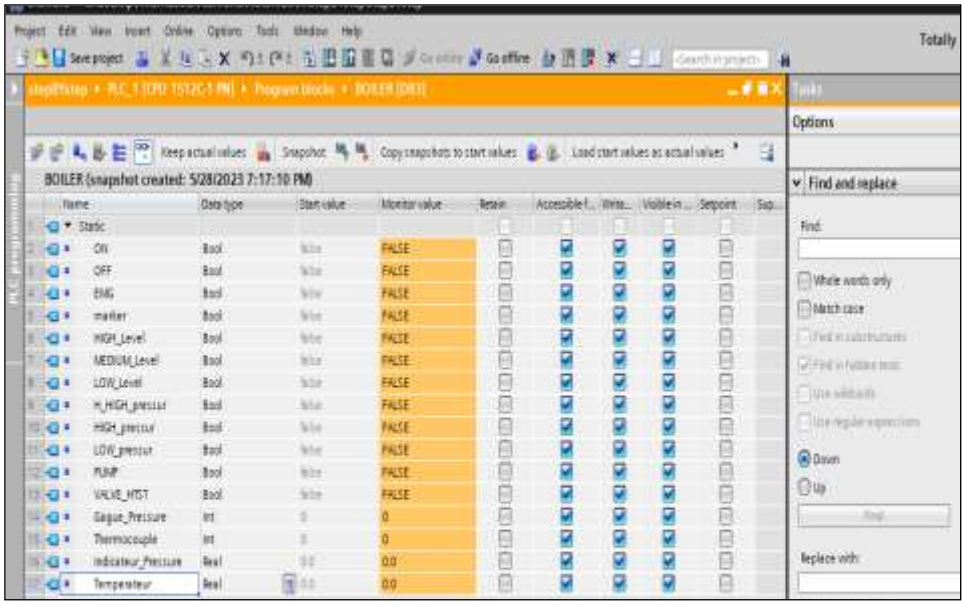


Figure 2: Data block for a fire-tube boiler.
Source: Authors, (2026).

The HMI TP1200 Comfort is a 12-inch touchscreen interface designed for industrial automation applications. It features high-resolution graphics, communication options, and can display and control PLC system data. Programmable using TIA Portal, it supports Ethernet, PROFIBUS, and PROFINET protocols and is rugged with an IP65 rating for protection against dust and water [22-24].

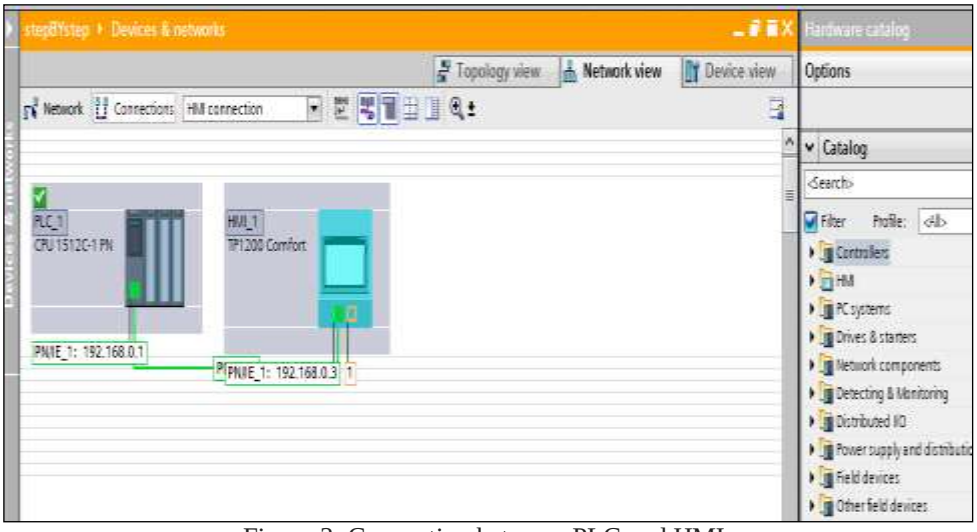


Figure 3: Connection between PLC and HMI.
Source: Authors, (2026).

TIA Portal HMI Tag Management tool allows engineers to create and configure HMI tags, enabling real-time monitoring and control of automation systems through data type, address, and properties [17], [25].

V.1.3 HMI Screens Created

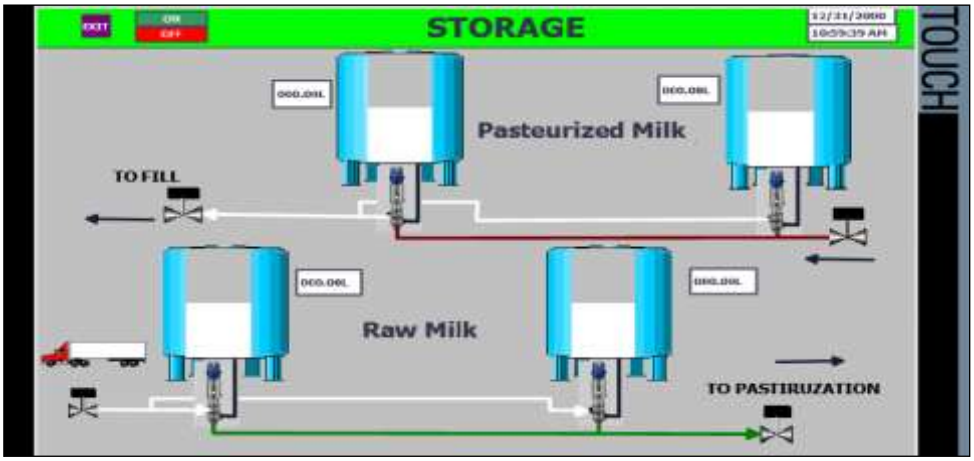


Figure 4: HMI Storage screen.
Source: Authors, (2026).

PLCsim is a TIA Portal simulation tool that enables engineers to test and debug PLC programs in a virtual environment, reducing errors and downtime. It simulates the behavior of various Siemens PLCs, improving system efficiency and reliability.

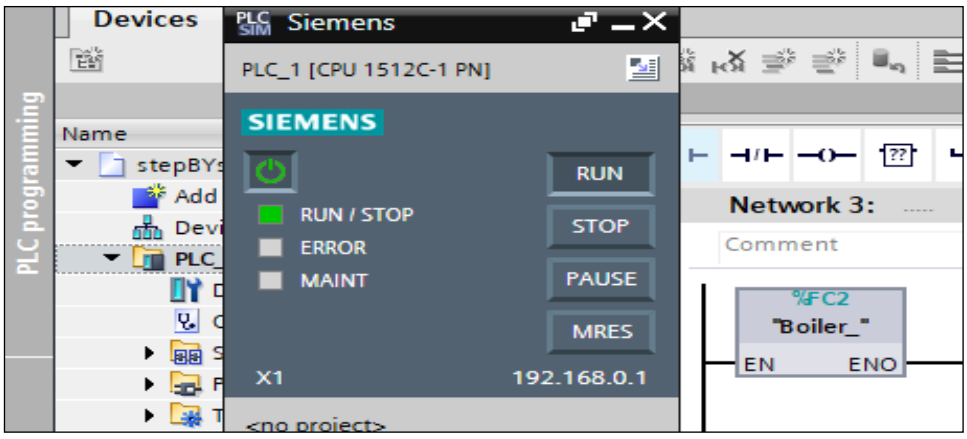


Figure 5: PLCsim window screen.
Source: Authors, (2026).

A PC Station in TIA Portal is a software interface connecting a PC to a Siemens PLC, enabling data exchange and communication. It aids in industrial applications like data logging, process monitoring, and control system visualization, enabling the creation of powerful HMI applications.

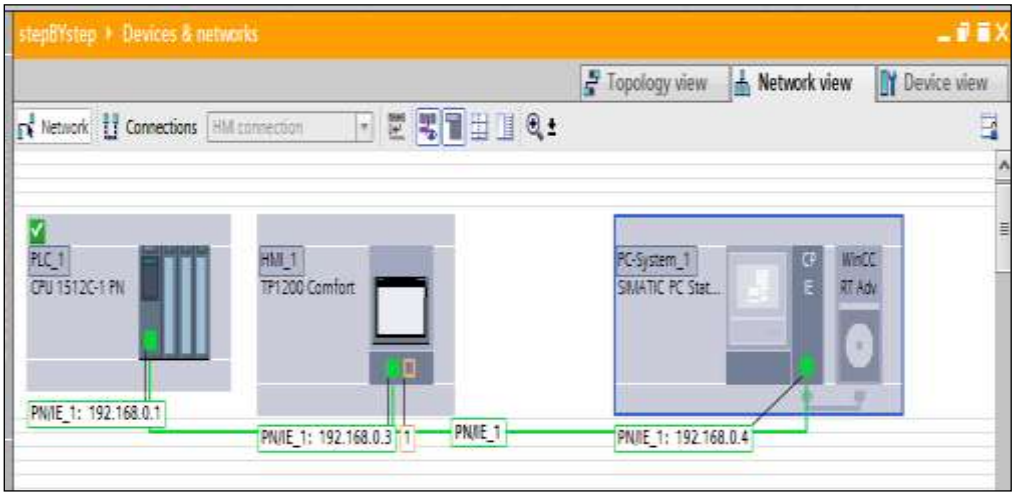


Figure 6: Connection between PLC and PC station.
Source: Authors, (2026).

Trends are graphical representations of data from a Programmable Logic Controller, used to visualize changes in process variables and system performance, enabling operators and engineers to identify potential issues before they escalate.



Figure 7: Trend of levels of tanks.
Source: Authors, (2026).

Historical data analysis from a Programmable Logic Controller (PLC) provides valuable insights into system performance, process variables, and production trends. It helps operators optimize production and identify potential issues. By identifying low production periods and trends in process variables, operators can optimize production and improve quality and efficiency.

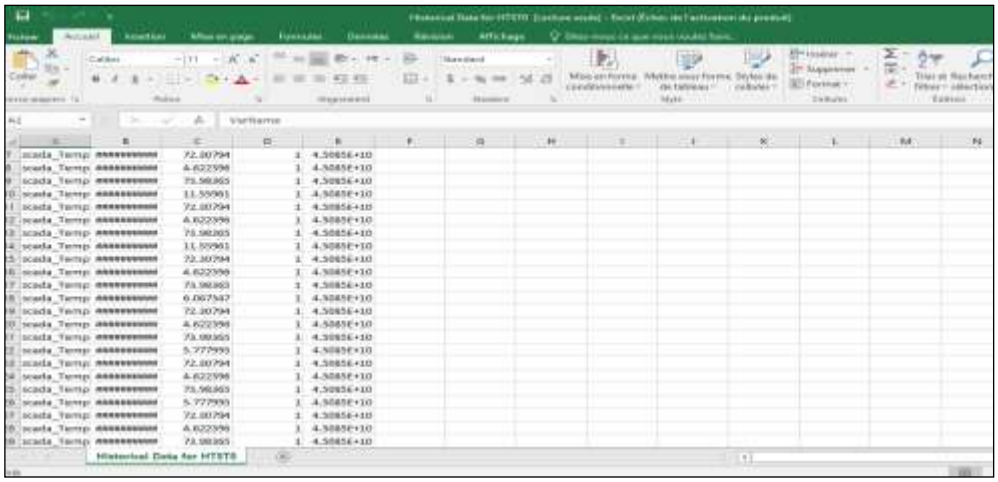


Figure 8: Historical window screen.
Source: Authors, (2026).

Alarms are notifications in a PLC system, triggering events like sensor failure or machine fault. They alert operators and engineers to potential issues. TIA Portal allows customization of alarm settings, such as priority, severity, and acknowledgement requirements.

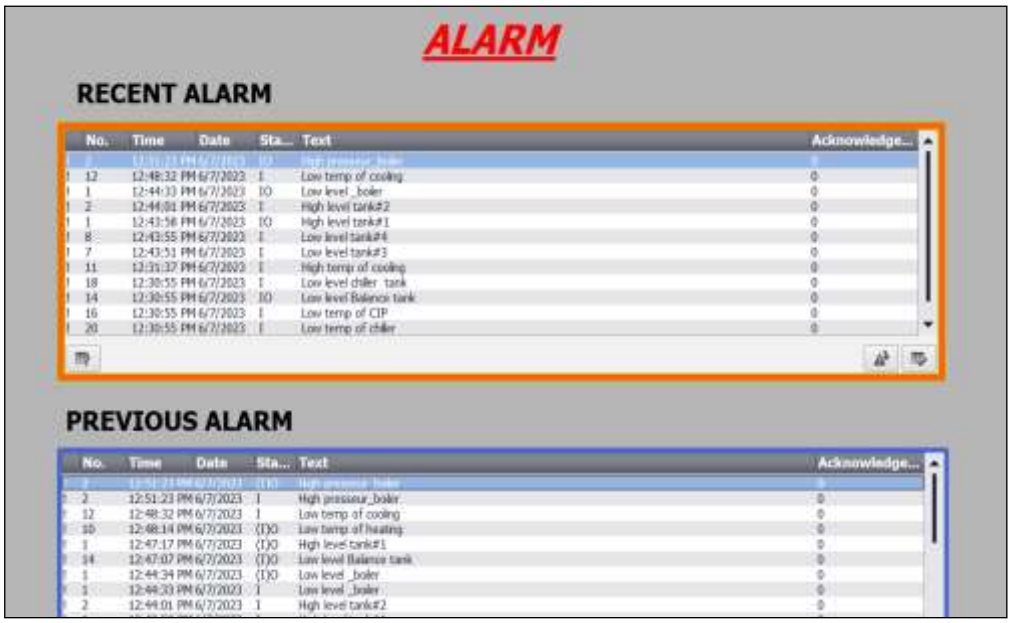


Figure 9: Alarms screen.
Source: Authors, (2026).

Recipes are parameters and values used to configure a Programmable Logic Controller (PLC) system in industrial automation. They improve efficiency, reduce errors, and ensure consistency across production runs. They store and recall parameters automatically, reducing setup time and reducing defects or product variations.PLC systems are monitored and troubleshooted for errors, ensuring reliability and uptime in industrial automation systems. Diagnostic features include online diagnostics, trace functionality, error handling, and simulation tools.



Figure 10: Diagnostics screen.
Source: Authors, (2026).

Security in PLC systems ensures data integrity and reliability in industrial automation applications. Features include user management, password protection, encryption, and firewall protection.

V1.4 SCADA Screens

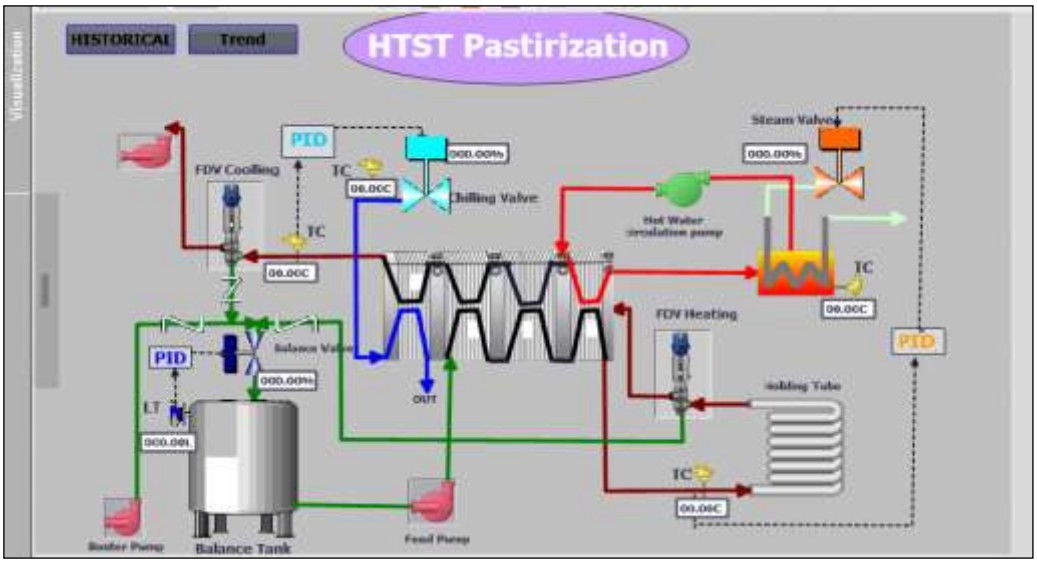


Figure 11: Pasteurization screen.
Source: Authors, (2026).

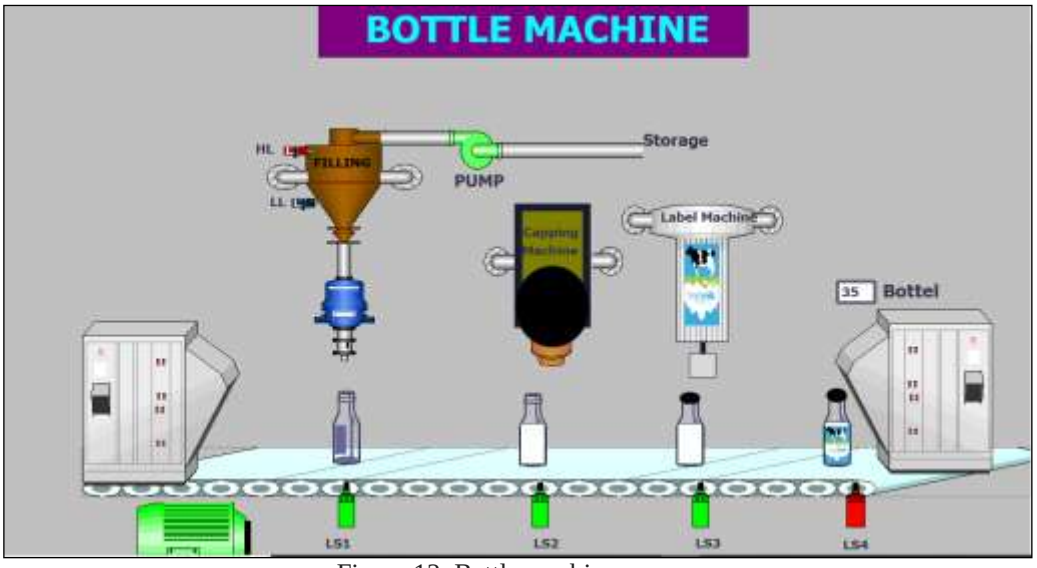


Figure 12: Bottle machine screen.
Source: Authors, (2026).

VI. RESULTS AND DISCUSSION

This work focuses on automation and supervision of an industrial process using Siemens PLC and SCADA, specifically the Siemens S7-1500 programmable logic controller and Tia Portal programming program. The work aims to provide a practical understanding of automation steps and master the Tia Portal programming software for PLCs in the Siemens S7-1500 range. We initially paid attention to the factory's presentation before discussing the overall operations and ongoing projects there. The goal is to serve as a guide for automation projects using the S7-1500 APIs and the TIA PORTAL programming language.

VII. CONCLUSION

In this study, PLC and SCADA technologies were used to build and install a real-time monitoring and control system for an industrial milk processing facility. The TIA Portal engineering platform was used to design the system, which is based on the Siemens S7-1500 PLC. It incorporates the Cleaning-In-Place (CIP) procedure, pasteurization, bottling, water heating and cooling, and milk storage. The system facilitates centralized supervision using HMI and SCADA interfaces, enabling operators to keep an eye on process variables, operate machinery, and react swiftly to events and alarms. The results show that the proposed solution improves operational efficiency, reliability, and production consistency while reducing manual intervention and human errors. Effective process monitoring and decision-making are supported by features including trend analysis, historical data logging, and real-time visualization. The results show that the proposed solution improves operational efficiency, reliability, and production consistency while reducing manual intervention and human errors.

VIII. AUTHOR'S CONTRIBUTION

Conceptualization: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.
Methodology: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.
Investigation: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.
Discussion of results: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.
Writing – Original Draft: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.
Writing – Review and Editing: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.
Resources: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.
Supervision: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.
Approval of the final text: Benarabi Bilal, Achbi Mohammed Said, Rouabah Boubakeur and Boutalbi Mohammed Chaker.

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RESEARCH ARTICLE OPEN ACCESS

A SHORT REVIEW ON BATTERY THERMAL MANAGEMENT FOR EV APPLICATION

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Internet of Things (IoT).

ABSTRACT

Battery Thermal Management (BTM) has emerged as a critical aspect of electric vehicle (EV) technology, ensuring safety, performance, and durability of high-energy lithium-ion batteries. As EV adoption accelerates globally, maintaining optimal temperature ranges is essential to prevent thermal runaway, enhance charge–discharge efficiency, and extend battery life. Modern BTM systems integrate active and passive cooling techniques, including liquid cooling, heat pipes, phase change materials, and advanced insulation, to manage heat generation from electrochemical reactions. Innovations such as nano-enhanced composites, artificial intelligence (AI)-driven predictive models, and Internet of Things (IoT)-enabled monitoring are reshaping the field by enabling real-time thermal control and predictive maintenance. Furthermore, advances in solid-state batteries and energy-dense chemistries like nickel cobalt aluminum oxide (NCA) require robust thermal strategies to maintain safety under extreme conditions and during fast charging. Emerging trends show a transition toward lightweight, modular, and highly efficient thermal systems that minimize energy losses while supporting sustainable EV development. The integration of advanced materials, smart sensors, and machine learning will drive the next generation of BTM, supporting reliable energy storage and long-term environmental goals. This review synthesizes current technologies, challenges, and future opportunities, offering insights into designing efficient thermal systems for EV batteries.

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I. INTRODUCTION

The rise of Battery Thermal Management (BTM) is quite important for Electric Vehicle (EV) use, partly because we're seeing tougher environmental rules and a big push to cut down on transportation pollution. It's been noted that vehicles often last longer than expected, but their emissions don't always meet European standards, pushing automakers to find greener answers [1]. To make batteries work better, last longer, and be safer, we need smart thermal management. This also helps with fuel use and costs in hybrid and electric cars [2]. For example, the modular battery systems show how thermal management is now built into the design, which is vital for keeping everything running just right and boosting how well the vehicle works overall. So, keeping battery temperature in check isn't just good for the environment; it's also key to making electric vehicles better and more appealing these days.

II. THEORETICAL REFERENCE

A. Definition of Battery Thermal Management

Battery thermal management, or BTM, refers to the various approaches and technologies we use to keep batteries at the right temperature in electric vehicles (EVs). This is important for a few reasons, mainly because it helps batteries last longer, perform better, and stay safe. When batteries aren't too hot or too cold, they work their best when charging and discharging. Generally speaking, BTM systems come in two main flavors: active and passive. Active systems typically give you more control over the temperature, usually with some kind of mechanical or electrical component. However, the system you pick can really change how the battery performs. That's why engineers have to get it just right to make sure everything is safe and efficient for the entire life of the vehicle. We can also see that as EVs become more popular, we're finding new and better ways to manage battery temperature. This highlights how crucial it is for making transportation more sustainable (Image12), especially as we try to use energy more efficiently and protect the environment [1], [2].

B. Importance of Thermal Management in Evs

In electric vehicles (EVs), keeping the battery at the right temperature is really important for making sure it works well, lasts a long time, and stays safe. Because EVs use lithium-ion batteries, preventing overheating is key. If these batteries get too hot, they can catch fire or just stop working altogether. Temperature also has a big impact on how well the battery turns energy into power. When it's too hot, the chemical reactions inside the battery don't work as well. So, research today is focused on better cooling systems that use both simple and more complex methods to keep the temperature steady, no matter how the car is being driven [3]. Also, if we think about the whole life cycle, good temperature control not only makes the battery more efficient but also helps cut down on greenhouse gas emissions, especially as we use more renewable energy sources [4]. All these things together show just how important managing battery temperature is for making transportation more sustainable in the future. For a better understanding, take a look at , which gives you a good picture of how a full cooling system works in an EV.

C. Overview of Battery Technologies Used in Evs

Electric vehicle (EV) battery tech is quite varied, though lithium-ion batteries are usually the go-to, mostly because they pack a lot of energy and work efficiently. These batteries let EVs get pretty good driving ranges without adding too much weight, something that's really key when designing cars. Newer tech, like solid-state and lithium-sulfur batteries, looks promising too, maybe even better. They might be safer and last longer, which is a big deal for getting people to like EVs and for helping the environment. As more and more people buy electric cars, keeping the batteries cool becomes super important for making sure they work well and last as long as they should. So, improving how we manage battery temperature is crucial, making sure the batteries don't get too hot, which could cause problems like thermal runaway. Thermal runaway can really mess up a battery's safety and how reliable it is [1], [5]. Efficient cooling systems, for example, as highlighted in, show just how tricky it is to keep battery packs at the right temperature. Shown in table 1.8

Table 1: Overview of Battery Technologies Used in Electric Vehicles.

Battery Type	Energy Density (Wh/kg)	Cycle Life (cycles)	Advantages	Disadvantages	Common Applications
Lithium Iron Phosphate (LFP)	90–160	2,500–9,000	Low cost, high safety, long cycle life, cobalt-free	Lower energy density compared to other lithium-ion batteries	Electric vehicles, utility-scale stationary applications, backup power
Nickel Manganese Cobalt (NMC)	150–220	1,000–2,000	High energy density, good thermal stability	Higher cost, reliance on cobalt	Electric vehicles, power tools, laptops
Nickel Cobalt Aluminum (NCA)	200–250	1,000–2,000	Very high energy density, long cycle life	High cost, reliance on cobalt and nickel	Electric vehicles (e.g., Tesla models)
Lithium Manganese Oxide (LMO)	100–150	1,000–2,000	Good thermal stability, low cost	Lower energy density, shorter cycle life	Electric vehicles, power tools, medical devices
Lithium Nickel Manganese Oxide (LNMO)	150–200	1,000–2,000	High energy density, cobalt-free	Higher cost, limited commercial availability	Electric vehicles (emerging technology)
Sodium-Ion (Na-ion)	90–160	2,000–3,000	Abundant raw materials, lower cost, cobalt-free	Lower energy density compared to lithium-ion batteries	Electric vehicles (emerging technology)
Solid-State Batteries	250–500	1,000–2,000	Very high energy density, improved safety	High cost, limited commercial availability	Electric vehicles (future technology)

Source: Authors (2026).

D. Challenges in Battery Thermal Management

Maintaining EV battery systems at the right temperature is important for making sure they work well and last long. But there are some tough problems that make this hard to do. For example, "thermal runaway" is a big worry. Basically, if things get too hot, batteries can fail in a big way, maybe even catch fire or wear out faster. You can see how bad this is in, which shows a burning battery cell. Plus, the different stuff that batteries are made of doesn't spread heat evenly, so we need special cooling systems. But those systems can make cars heavier and more complicated. Since more and more people are switching to electric cars, we need to figure out better ways to keep batteries cool without wasting energy or making things unsafe. Also, even though hydrogen might be a good way to store energy in the future, we still have some hurdles to jump over with technology and getting the needed infrastructure built [6].

So, solving all these tricky thermal management issues is super important if we want electric vehicles to really take off, and we've got to make sure they're both powerful and safe for everyone.

E. Purpose and Scope of the Essay

This essay delves into the crucial area of battery thermal management for electric vehicles (EVs). The goal is to explore the intricacies involved in keeping lithium-ion batteries at the right temperature. As we see more and more EVs on the road, grasping these thermal dynamics is key to safety, efficiency, and better vehicle performance. We'll look at current thermal management methods—both active and passive systems, along with new developments in battery tech and chemistry. The analysis aims to show why good thermal management is so important for avoiding problems like thermal runaway and keeping passengers safe, particularly with high-energy battery chemistries such as NCA, which can be vulnerable to thermal events, as research has shown [7]. In addition, the essay will touch on what happens to batteries after they're no longer used in vehicles, stressing the need for sustainable practices throughout the EV battery lifecycle [8]. [extractedKnowledge1] illustrates the growing market for battery thermal management systems, which underscores why these discussions are so timely in the ever-changing world of automotive technology.

II.1 OBJECTIVES

A. Fundamentals of Battery Thermal Management

For electric vehicles (EVs), managing battery temperature well is really important because too much heat can make batteries not last as long or work as efficiently. Basically, thermal management is about keeping the temperature just right inside the battery so it charges and uncharges well. With everyone wanting bigger batteries that make a lot of heat, this becomes even more important. Better thermal management systems use both active and passive cooling to keep things at the right temperature and stop problems like thermal runaway. Using new ideas, like the adaptive battery model we see in [9], helps companies make batteries that work better and are safer. Plus, when we look at diagrams like the one showing how thermal management systems work, we see how all the different parts connect to keep the temperature just right, showing how temperature control and how long the battery lasts are closely linked.

B. Principles of Heat Generation in Batteries

Heat generation within batteries is a noteworthy issue, driven by electrochemical and physical happenings. These processes are vital when designing thermal systems for EVs. Batteries produce heat during charging and discharging mostly because of internal resistance and ohmic losses within the electrolyte and electrodes. Side reactions can also contribute. This can increase temperature, and if not controlled, it can result in thermal runaway—a dangerous situation. Utilizing materials that improve thermal conductivity, like macro-nanoporous metals combined with phase change materials, can dissipate heat. This approach helps to lessen the risks associated with heat building up and any potential leakage. Also, this in turn boosts how well the battery functions and how long it lasts [10]. Furthermore, well-integrated battery thermal management ensures temperature is kept safe, so the battery works efficiently [1]. These systems are important, and as seen in, it highlights the interconnected pieces for thermal management in EV batteries.

C. Effects of Temperature on Battery Performance

Lithium-ion batteries, a key component in electric vehicles (EVs), rely heavily on temperature for both performance and how long they last. When temperatures move away from what's ideal, the battery's efficiency and safety can really suffer. For example, high temperatures can speed up how fast heat is produced inside the battery. This could lead to "thermal runaway"—a dangerous situation where more heat causes even more heat, possibly leading to battery failure or other hazardous issues. On the other hand, lower temperatures can slow down the movement of ions in the electrolyte, decreasing the battery's ability to efficiently deliver power. Because of this, managing battery temperature well is super important to keep it within a safe and effective range. This means designing systems that improve how heat dissipates and using materials able to handle temperature changes. The problem with poor thermal management isn't just about performance; it also affects safety and the long-term sustainability of EV tech, which is more and more important for cutting down pollution in cities and supporting environmentally friendly transport [1], [11].

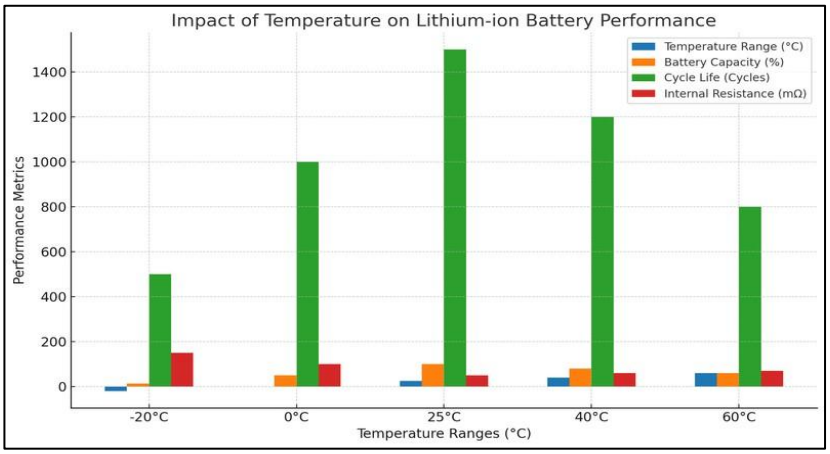


Figure 1: Impact of temperature on lithium-ion battery performance.
Source: Authors (2026).

Fig 1 displays four key metrics: battery capacity, cycle life, and internal resistance at various temperature ranges from -20°C to 60°C. The chart highlights how these metrics are affected by temperature, emphasizing the importance of thermal management in battery efficiency and safety.

D. Thermal Runaway and Safety Concerns

In electric vehicles (EVs), thermal runaway presents considerable safety issues, especially concerning battery thermal management. Should a lithium-ion battery's temperature rise beyond acceptable levels, an exothermic reaction might begin. This can cause quick heat production and even combustion, creating potentially disastrous risks for both users and the immediate area. Thus, effective thermal management strategies become essential. They help make sure batteries stay within safe temperature ranges, preventing potential failures. Innovative ideas have emerged, such as sophisticated cooling systems leveraging phase change materials and hierarchical macro-nanoporous metals. Studies suggest that these can boost thermal conductivity while still keeping safety a priority [10]. Deploying such technologies plays a key role in cutting the chances of thermal runaway events, which then boosts how reliable and safe EV battery systems are overall shown in table 2. Furthermore, a well-thought-out visual representation, such as , highlights the elements involved in handling these thermal threats successfully.

E. Key Components of Thermal Management Systems

A good thermal management system, or TMS, is super important for making sure batteries in electric vehicles, or EVs, work their best and stay safe for a long time. These systems use things like coolers, heaters, and special insulation to keep the temperature just right. It's really important to have good cooling, like with evaporators and heat exchangers, to stop the battery from getting too hot when it's running. Overheating can be really dangerous with lithium-ion batteries, and studies show this is something to watch out for [7]. Things like phase change materials and insulating layers help keep energy from being wasted. Not only does a good TMS help the car run better, but it also helps cut down on pollution from cars [1]. All these parts working together show just how crucial thermal management is for EVs.

Table 2: Key Components of Thermal Management Systems in Electric Vehicles.

Component	Description
Battery Thermal Management	Ensures optimal temperature control for battery performance and longevity. Techniques include liquid cooling, air cooling, and phase change materials.
Motor Thermal Management	Maintains electric motor temperatures to prevent overheating and maintain efficiency. Methods involve liquid cooling, air cooling, and advanced materials.
Power Electronics Cooling	Dissipates heat from inverters and converters to ensure reliable operation. Utilizes liquid cooling systems and advanced thermal interface materials.
Integrated Thermal Systems	Combines cooling circuits for various vehicle components to reduce weight and improve efficiency. Aims to streamline thermal management by using a single coolant loop.
Advanced Materials	Employs materials with high thermal conductivity to enhance heat dissipation. Includes wide bandgap semiconductors and advanced composites.

Source: Authors (2026).

F. Metrics for Evaluating Thermal Management Efficiency

In electric vehicle (EV) battery systems, thermal management is really key. It helps make sure everything works well, lasts a long time, and stays safe. When we check how good the thermal management is, we look at things like how even the temperature is, how fast heat goes away, and thermal resistance. These show us how well the system keeps the temperatures just right for everything to work as it should. These metrics help us understand how the temperature acts in all the battery cells, which guides engineers to design better, more reliable battery systems. For example, one study [12] highlights how important it is to consider cell variability. It looks at how this variability affects energy distribution and suggests using model-based techniques to make the thermal management systems even better showed in table 3. Also, methods like predictive maintenance and always keeping an eye on things help estimate how much longer the battery will last and lower the risks of it wearing out because of heat stress [13]. These evaluative metrics really help us get a better handle on how heat moves around, and they give us ideas for new and innovative thermal management plans. All these things working together are super important for making battery tech better.

Table 3: Metrics for Evaluating Thermal Management Efficiency in Electric Vehicles.

Value	**Description**
Energy Efficiency	Distance a vehicle can travel per unit of energy consumed (e.g., miles per gallon or kilometers per liter).
Energy Intensity	Amount of energy consumed per unit of distance (e.g., gallons per 100 miles or liters per 100 kilometers).
Thermal Performance Benchmarking	Evaluation of thermal performance of automotive power electronics and electric motor thermal management systems to establish baseline metrics and identify improvement methods.
Integrated Thermal Systems and Controls	Optimization of thermal performance in vehicles through innovative strategies for heating, ventilation, and air conditioning (HVAC); idle reduction; and leveraging waste heat.
Multifunctional Efficiency	Parameter determining conditions for effective mass saving in structural composites for thermal energy storage in electric vehicles.

Source: Authors (2026).

III. THERMAL MANAGEMENT TECHNIQUES

To make sure electric vehicles' batteries are both long-lasting and safe, we need to use good ways to cool them down [7]. These cooling methods, both the kind that uses energy and the kind that doesn't, are made to keep the temperature steady and stop the batteries from getting too hot. Active cooling systems, like those that use liquids or materials that change phases, help get rid of heat when the batteries are working. This is important because it can prevent thermal runaway, which is a serious issue that can cause batteries to fail completely. On the other hand, passive methods, which often depend on how well materials conduct heat and their shape, can help get rid of heat without needing extra energy. They focus on using smart designs. It's really important to understand these different ways of keeping batteries cool, mainly because people worry a lot about how safe batteries are and how well they hold their charge, especially in batteries like lithium nickel cobalt aluminum oxide (NCA) that store a lot of energy. How these cooling methods and the chemicals inside the battery work together show in table 4, why we need to keep researching and improving this area, so EVs stay eco-friendly and work well in the future. If you want a clearer picture, you can find a diagram of a thermal management system.

Table 4: Battery Thermal Management Techniques and Performance Metrics.

Technique	Description
Active Controllable Thermal Switch	Utilizes a cavity structure to switch between thermal states, achieving a potential switch ratio of approximately 300 and an experimental switch ratio of 15.4. In the 'ON State' at 20°C ambient temperature, battery temperature is maintained below 35°C, and in the 'ON + State', it remains below 42°C under extreme conditions.
Distributed Optical Fiber Sensor (DOFS)	Provides real-time, full-field temperature monitoring with a spatial resolution of 1.28 mm. Achieves a maximum standard deviation of temperature distribution below 0.3°C, offering comprehensive and accurate monitoring compared to traditional methods.
Liquid-Cooled Battery Thermal Management System	Employs a liquid cooling system with asymmetric U-shaped channels optimized using machine learning techniques. Achieves high predictive accuracy, with the Cheetah Optimizer-MLPNN model achieving a correlation coefficient (R) greater than 0.9999 for predicting maximum temperature (T_max).
Nano-Enhanced Graphite/Phase Change Material/Graphene Composite	Integrates expanded graphite with phase change materials and graphene to eliminate leakage and increase effective thermal conductivity. Demonstrates a 26% decrease in temperature compared to conventional thermal management materials, offering thermal control performance comparable to active cooling systems.
Thermoelectric Cooling Technologies	Utilizes thermoelectric coolers (TECs) for efficient cooling of lithium-ion batteries. Reviews various TEC hybrid battery thermal management systems, including air-cooled, phase change material-cooled, liquid-cooled, and heat pipe-cooled systems, providing insights into enhancing thermal efficiency.
Heat Pipe-Based Thermal Management System	Employs heat pipes in various structural designs and operating parameters as a cooling medium. Combines experimental studies and numerical analyses to optimize battery thermal management, enhancing energy density and thermal performance across a range of temperatures.
Battery Lifetime Analysis and Simulation Tool (BLAST)	A suite developed by NREL that assesses battery lifespan and performance for electric vehicles and stationary applications. Incorporates predictive modeling of battery degradation, considering variables such as ambient temperature, cell self-heating, and thermal management.
Energy Storage Thermal Performance Evaluation	NREL's Energy Storage Performance Laboratory evaluates thermal performance of batteries at material, cell, module, pack, and system levels. Provides comprehensive thermal evaluations to optimize battery performance and extend useful life in electric vehicles.
Design of Experiments (DoE) and Analysis of Variance (ANOVA) in Battery Thermal Management	Statistical analysis of design factors such as cooling plate geometry and coolant velocity on battery thermal behavior across various C-rates. Highlights the importance of considering thermal behavior under different C-rate conditions during the design process to ensure thermal safety.

Source: Authors (2026).

A. Passive Cooling Methods

For electric vehicles (EVs), passive cooling techniques represent an energy-smart choice compared to active methods, particularly when designing battery thermal management systems. Heat dissipation is achieved through these methods by using natural processes like convection and conduction, negating the need for mechanical parts. Heat sinks, along with phase change materials (PCMs), prove useful for absorbing and then spreading thermal energy inside the battery pack. The goal is to keep the batteries at the right temperature when they are charging or discharging. Research suggests that employing these types of passive approaches can improve how long batteries last and how well they perform. Importantly, they can also stabilize battery temperatures in a range of different operating scenarios, helping the vehicle run better overall [14]. It is worth noting that ambient temperature and certain aspects of battery design can impact just how well passive cooling works. Because of this, it’s important to use good thermal models to get the best performance out of a system [15]. A schematic, shown in, provides a visual representation illustrating how these cooling strategies are integrated within a typical battery management system.

B. Active Cooling Systems

Active cooling systems are, generally speaking, quite important in battery thermal management for electric vehicles (EVs). They ensure both optimal performance and, perhaps even more critically, safety during operation. These systems actively regulate battery pack temperature, which helps to mitigate overheating risks. Employing technologies like liquid coolants or refrigerants, active cooling facilitates efficient heat dissipation. This is crucial for maintaining battery efficiency and extending its lifespan. Recent studies highlight thermal runaway incidents as significant safety concerns, especially in high-energy chemistries like lithium nickel cobalt aluminum oxide (NCA). In these cases, lithium-ion batteries can reach hazardous temperatures during failure events [7].

Moreover, as vehicle electrification accelerates, the demand for innovative cooling strategies is expected to grow. Forecasts indicate increasing market value in this area [8]. Therefore, implementing effective active cooling systems remains essential for successfully integrating EV technologies. The schematic represented visually underscores the significance of these components, outlining their interactions within thermal management systems.

C. Phase Change Materials (PCMs)

PCMs are really important for keeping batteries in electric vehicles (EVs) at the right temperature. They do this by soaking up and letting go of heat when they change phases, which keeps the battery temps from going too high or low. Battery performance can really suffer if the temperature isn't stable, which can make the battery not work as well or last as long. One cool thing that's been happening lately is putting PCMs into special metals that have tiny little pores [10]. This helps the heat move around better and stops the PCMs from leaking, which is a problem that can happen. These materials can also help stop batteries from overheating and causing problems, which is a big deal for safety and making sure the battery works well [16]. Basically, using PCMs in batteries can lead to better temperature control, which means EVs can perform better and be safer; thermal management systems provide visual representations of this.

D. Heat Pipes and Thermal Spreaders

In electric vehicle (EV) batteries, heat pipes and thermal spreaders are key for effective thermal management. They help move extra heat away from the battery cells, which is important for keeping the batteries from overheating and lasting longer. These components use what's known as phase change to do this. Temperature really matters for how well batteries work and how long they last, so using heat pipes helps keep the temperature even across the whole battery system. This addresses the problems caused by changing weather [17]. Research also shows that making these thermal devices work even better can boost energy efficiency and how far an EV can travel on a charge. Both are important for keeping customers happy and staying competitive in the EV market [18]. Heat pipes help keep things at the right temperature and support improvements in battery tech, which you can see in the diagram of a thermal management system in.

E. Insulation Strategies

When it comes to keeping electric vehicle (EV) batteries in tip-top shape—temperature-wise, that is—smart insulation is super important. Good insulation helps batteries stay at the right temperature, which also makes them safer. Stuff like polyimide and aerogels, which don't let heat pass through very well, can cut down on heat loss and make the battery work better overall. These materials do more than just prevent overheating; they also help keep the temperature even across the whole battery pack. That even temperature is key if you want the battery to last longer and perform well [19]. Then you've got fancy tricks like phase change materials and thermal barriers, which are great at dealing with temperature changes caused by the weather outside. These tricks make sure the battery stays in its happy temperature zone [20]. So, when EV makers use these insulation methods, they boost how stable the battery is, which means EVs work better and are safer to drive. You can see how this thermal management works in electric vehicles in something like.

III.1 IMPACT OF THERMAL MANAGEMENT ON BATTERY LIFE AND PERFORMANCE

The performance and longevity of electric vehicle (EV) batteries hinge significantly on effective thermal management. Temperature swings, you see, can really mess with battery efficiency. When thermal management falls short, battery cells degrade quicker, cutting short the battery's life and, naturally, the vehicle's overall performance. But keep those batteries in the sweet spot—the ideal temperature range—and you'll find overheating issues become less of a problem, and charge retention gets a boost. Plus, as EVs get fancier with tech like hybrid setups, energy management strategies can step in to optimize how batteries are used. Consider plug-in Hybrid Electric Vehicles (HEVs), for example. There, the aim is often to cut down on both battery wear and tear and fuel costs—a clear sign that solid thermal management is key for maxing out energy efficiency and getting more life out of those batteries [1], [2].So, you can't really overstate how crucial thermal management is, touching as it does on both doing right by the environment and saving money.

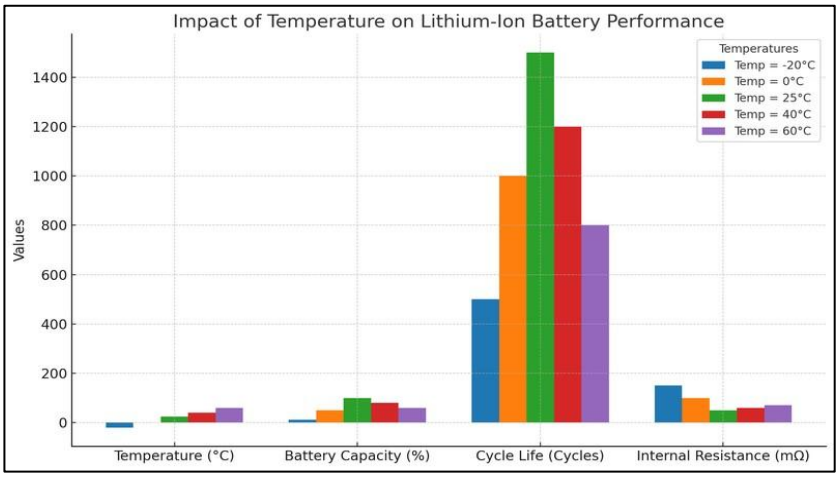


Figure 2: impact of temperature on lithium-ion battery performance by comparing battery capacity, cycle life, and internal resistance at different operating temperatures.
Source: Authors (2026).

Fig 2 displays the impact of temperature on lithium-ion battery performance by comparing battery capacity, cycle life, and internal resistance at different operating temperatures. As temperature increases, battery capacity and cycle life generally improve, while internal resistance decreases. This highlights the importance of effective thermal management in optimizing battery efficiency and safety.

A. Relationship Between Temperature and Battery Degradation

Battery degradation is heavily influenced by temperature, especially in the lithium-ion batteries you see in most electric vehicles (EVs). When batteries get too hot, it speeds up chemical reactions inside, which leads to problems like higher internal resistance and permanent capacity loss, shortening the battery's life. On the other hand, when it's too cold, battery performance can suffer because electrochemical reactions slow down, meaning less power and range. So, it's really important to have good thermal management to keep batteries working in the right temperature range for efficiency and long life. Interestingly, as battery recycling and repurposing get more attention, we see how important temperature is; for instance, a model looking at battery lifecycles predicts we'll need a lot of recycling by 2030, showing we need sustainable ways to handle battery temperature and degradation [8], [21]. All this is extremely important for making EV batteries last longer and work more efficiently, which requires a comprehensive approach to thermal management.

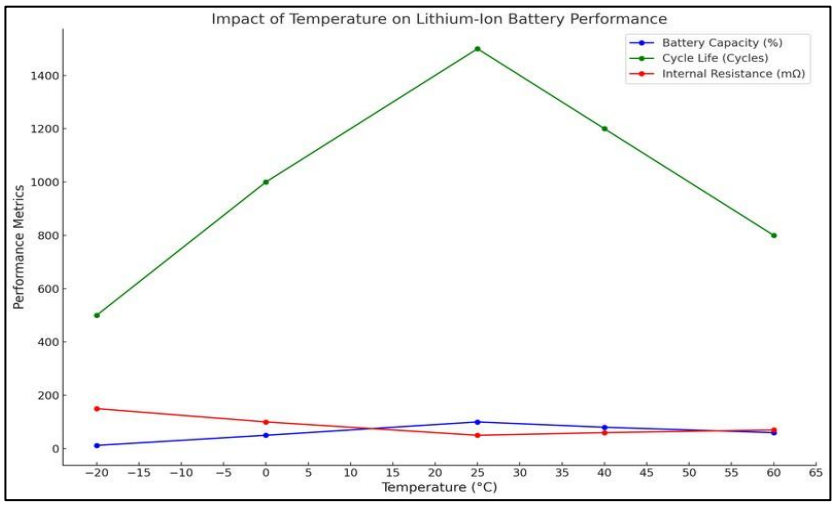


Figure 3: Lithium-ion battery performance.
Source: Authors (2026).

Fig.3 illustrates how temperature affects lithium-ion battery performance by showing trends in battery capacity, cycle life, and internal resistance. As temperatures rise, battery capacity generally increases, while the cycle life reaches a peak around 25 ℃ and then declines at higher temperatures. Internal resistance remains relatively stable but shows slight variations. This underscores the importance of optimal thermal management for battery efficiency and longevity.

B. Influence on Charge and Discharge Rates

Thermal management really plays a big role in how quickly lithium-ion batteries can charge and discharge, and it touches on how well they work and how safe they are. When you charge at higher temperatures, it can make things even hotter. Studies have shown that higher current rates lead to more heat and changes in voltage [22]. This can shorten the battery's life and increase the chance of a thermal runaway event, which is obviously a safety issue. So, we need good thermal management systems to keep batteries working within the best temperature range. Plus, as EVs get more complex, how much thermal management systems cost becomes important. Knowing how driving, current rates, and thermal performance all affect each other is key to making better EV batteries [23]. Essentially, handling charge and discharge by improving thermal strategies is going to be crucial for EVs going forward [24], [25]. The thermal management schematic shows just how complex and important these systems are for keeping batteries running smoothly [26].

C. Effects on Energy Density and Range

Electric vehicle (EV) energy density and how far they can go really depend on how well their temperature is managed, ensuring batteries work best no matter the conditions[27]. Good thermal management not only helps batteries last longer but also makes them better at efficiently using energy, boosting how far you can drive. As battery systems get bigger for better performance, it's super important to balance more energy capacity with keeping things thermally stable; bigger batteries mean more heat, which can cause overheating and risks, like thermal runaway in batteries[28], [29]. Plus, better battery chemistry and thermal management tech are key to making these problems less severe, enabling higher energy densities while staying safe. Ongoing improvements here could really help people adopt electric two-wheelers and bigger EVs in markets where the initial price is a big issue [4], [5].

D. Role in Fast Charging Capabilities

Thermal management systems are critically important for improving how quickly electric vehicles (EVs) can charge. Basically, keeping temperatures under control is key; if things get too hot while charging, batteries might not last as long and could even become dangerous. To address this, some manufacturers are using cool new tech, like hybrid thermo-electrochemical sensing arrays, inside battery cells.

These arrays let them keep an eye on how temperatures are changing in real time, which helps fine-tune the charging process [30].With this data, they can create detailed thermal maps along with electrochemical information, making it possible to make quick adjustments to stop overheating. What's more, using smart charging strategies can make energy use in EVs even more efficient. By coordinating charging times with grid demand and taking advantage of vehicle-to-grid (V2G) technologies, we can ease some of the problems that come with rapid charging. In most cases, this supports the growing use of EVs in cities [31]. This connection between managing temperature and using advanced charging methods is essential for making electric vehicles a sustainable transportation option.

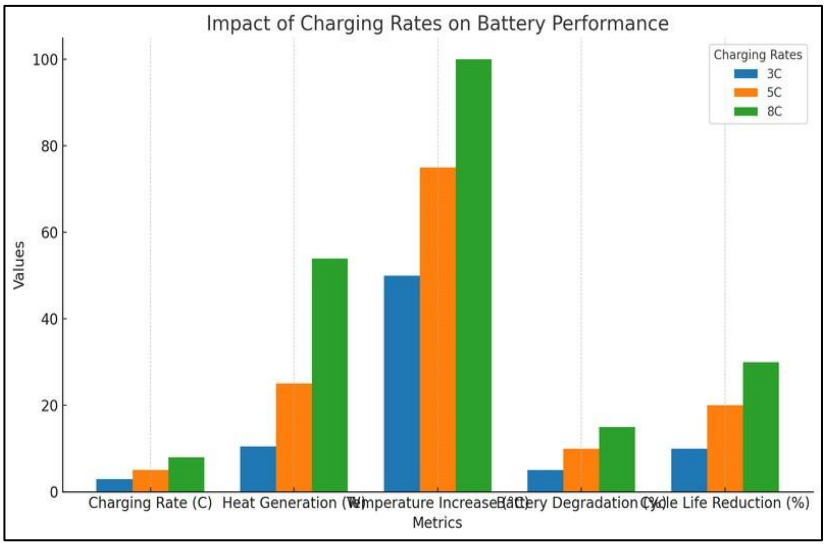


Figure 4: Impact of charging rates.
Source: Authors (2026).

Fig.4 illustrates the impact of different charging rates (3C, 5C, and 8C) on various metrics related to lithium-ion battery performance. As the charging rate increases, heat generation, temperature increase, battery degradation, and cycle life reduction also rise, highlighting the critical need for effective thermal management to sustain battery longevity during fast charging operations.

E. Long-term Reliability and Maintenance Considerations

To ensure the longevity of electric vehicle (EV) batteries, a deep dive into both thermal management and consistent upkeep is really a must. A battery's operational environment has a big impact, and effective thermal control is key to preventing things like overheating and premature wear. This, of course, directly affects how long the battery will last. Now, liquid cooling systems and similar high-tech cooling solutions have proven pretty effective in managing heat and boosting performance [1]. What's more, routine maintenance—think regular battery check-ups and thermal performance monitoring—is super important. It helps lower the risks from thermal runaway, which, as you might guess, can cause serious issues [32]. Predictive maintenance, powered by data analytics, can also be a big help in predicting thermal stress and component wear. Generally speaking, this will make sure the battery operates within its safe limits for the long haul. Addressing all these little things, generally speaking, is vital for getting the most reliability out of EV batteries.

Table 5: Battery Thermal Management Impact on EV Reliability and Maintenance.

Battery Chemistry	Impact on Reliability
Nickel Manganese Cobalt (NMC)	Higher energy density and driving range, but more sensitive to temperature extremes, requiring advanced thermal management to maintain reliability.
Nickel Cobalt Aluminum (NCA)	Similar to NMC, offering high energy density and range, necessitating effective thermal control to ensure long-term reliability.
Lithium Iron Phosphate (LFP)	Lower energy density and range compared to NMC and NCA, but more stable thermally, reducing the need for complex thermal management systems.
Active Cooling	Utilizes liquid coolants to regulate battery temperature, requiring regular maintenance to prevent leaks and ensure optimal performance.
Passive Cooling	Relies on ambient air to dissipate heat, reducing maintenance needs but may be less effective in extreme temperatures.
Battery Cycle Life	Batteries have a limited number of charge-discharge cycles; effective thermal management can extend cycle life by maintaining optimal operating temperatures.
Temperature Extremes	Exposure to high or low temperatures can degrade battery performance; thermal management systems are crucial to mitigate these effects.
Battery Monitoring	Regular monitoring of battery health, including temperature and voltage, is essential to detect issues early and maintain reliability.

Source: Authors (2026).

F. Emerging Technologies and Innovations

The growing importance of new technologies for managing battery temperatures is really key if we want more electric vehicles (EVs) on the road. Things like battery systems that can be put together in different ways, and better ways to cool batteries, are super important for making batteries work better and be safer. They help stop batteries from getting too hot and losing power.

Take, for example, a well-designed cooling system; it shows how a smart design can lower the chances of overheating and help batteries last longer, as seen in the thermal management system schematic . Also, as we move toward using resources more efficiently, making thermal management greener by using materials that are better for the environment is really important for being sustainable in the EV world. What's really interesting is that more and more people want fully electric cars, as shown in the changing market . This means car companies need to find new ways to use these improvements to stay ahead in a fast-changing market [6].

G. Advanced Materials for Thermal Management

Advanced materials are quite important for optimizing battery thermal management in electric vehicles (EVs), which improves performance and safety. Engineers can regulate temperature fluctuations in battery systems by using high-efficiency thermal interface materials (TIMs) and phase change materials (PCMs); this regulation is quite vital to prolong battery life and prevent thermal runaway events. For example, materials like graphene and nanocomposites have come about, showing better thermal conductivity and mechanical stability. Because these materials facilitate heat dissipation, maintaining operational safety and efficiency in high-performance batteries is easier [1]. The integration of advanced thermal management systems that use these materials also minimizes energy losses and makes sure battery packs operate reliably [7]. Generally speaking, using advanced materials in thermal management systems helps make EV technologies more sustainable and reliable, reaffirming their viability in future transportation solutions.

H. Integration of AI and IoT in Thermal Monitoring

In electric vehicles (EVs), keeping batteries at the right temperature is getting a big boost from Artificial Intelligence (AI) working together with the Internet of Things (IoT). These systems use machine learning to look at tons of data, which means they can keep an eye on battery temperatures in real-time and even guess when things might go wrong. This helps make thermal predictions more accurate, so we can step in before batteries get too hot, potentially making them last longer. Also, because there are lots of IoT sensors inside the battery systems, we can constantly gather data. This is really important for spotting trends and figuring out the best ways to cool things down. Big data analytics, as some studies point out, is really the key to making this all work for thermal management [33]. Visual examples, like the thermal management setups, for instance the schematic in , really show how all the different parts work together smoothly to keep everything running just right.

I. Development of Smart Thermal Management Systems

Smart thermal management's progress is really important for making electric vehicle (EV) batteries work better and safer. As keeping batteries at the right temperature gets more complex, these systems use up-to-the-minute data. They aim to fine-tune temperature control, tackling performance and the risk of overheating. This means adding sensors to keep tabs on temperature and using clever algorithms to guess how to manage things, which helps the batteries last longer and be more dependable. Also, using designs that can be put together in different ways and that work well, like the ones in , helps get rid of heat quickly by improving how air and coolant move. This doesn't just cut down on dangers like thermal runaway; it also lines up with studies that show how these systems can save money, for example, through PEV integration in micro-grids [1], [34]. All in all, creating these smart systems is a big step forward for making EVs sustainable and efficient.

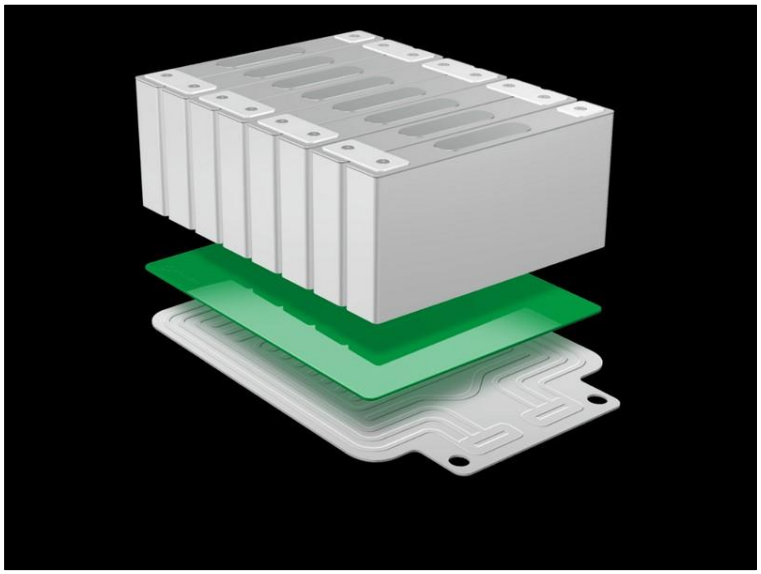


Figure 5: Modular battery system design and layout.
Source: Authors (2026).

III.2 RESEARCH ON NOVEL COOLING TECHNIQUES

When it comes to making battery thermal management systems better for electric vehicles (EVs), there's been real progress in coming up with new cooling methods that put efficiency and safety first. Recent studies point to putting macro-nanoporous metals, arranged in a certain order, into phase change materials (PCMs). The result is better thermal conductivity and leak prevention. What this smart move does is allow for more energy to be packed in, all while keeping the battery's temperature stable when it's running, which means the temperature stays at a safe level, no matter how much the battery is being used [10]. As you can see in designs for thermal management systems, like the ones in , these kinds of innovations are set to change how batteries work. They lower the chances of thermal runaway and make sure EVs can last for a long time. Because of this, using advanced cooling solutions not only makes EVs work better but also really boosts their safety [35].

A. Future Trends in Battery Thermal Management

The electric vehicle, or EV, market is definitely changing, and what's coming next in how we keep those batteries at the right temperature is super important for how well they work and how safe they are. We're seeing cool new stuff like better materials and cooling methods that try to get the most out of how batteries handle heat, which can make them last longer and work better [6]. There's even talk about using really cold hydrogen tech as another way to help out. These advancements might lead to greener energy solutions, which is a big plus for EVs. Also, when we look at space solar power, or SSP, tech, it turns out there are some neat thermal management ideas there that could be used for more than just stuff on Earth [36]. As we learn more, it's probable that these different ideas will mix together and influence how we design batteries in the future. This all means we need solid plans that can deal with all the complicated parts of today's EVs. All these trends coming together will be key to making sure our transportation is as energy-efficient as it needs to be [37], [38].

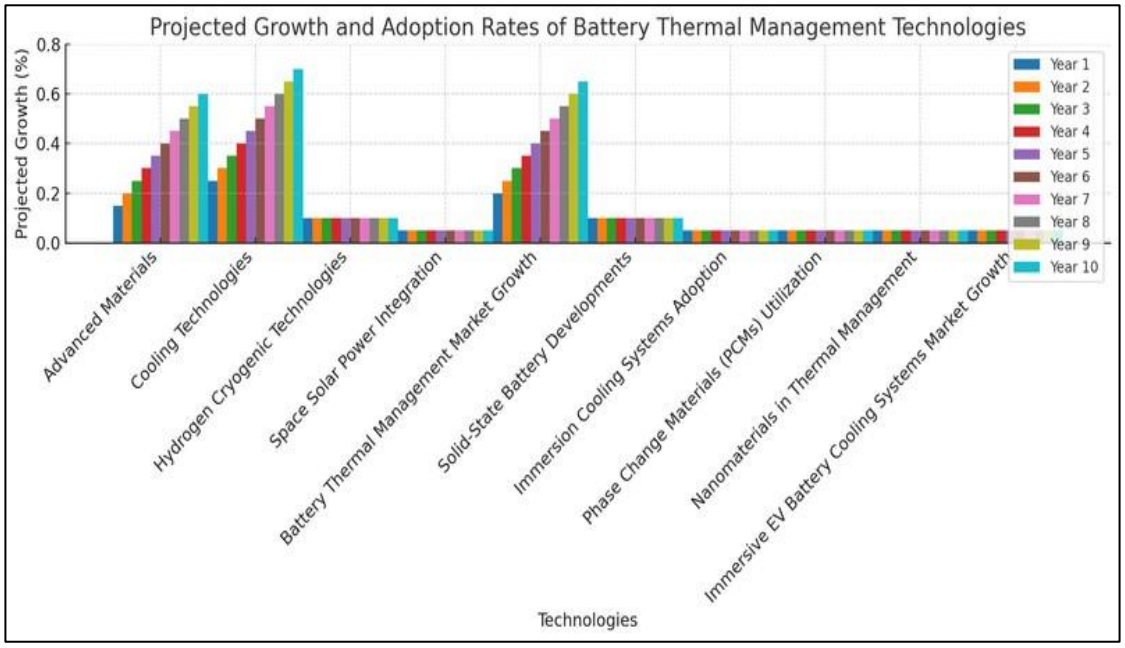


Figure 6: Battery thermal management Technologies.
Source: Authors (2026).

Fig.6 displays the projected growth rates for various battery thermal management technologies over a ten-year period. Each color represents a different year, highlighting how anticipated adoption rates vary among advanced materials, cooling technologies, and other innovative solutions in the electric vehicle sector. The values indicate a significant increase in growth potential, underscoring the importance of these technologies for improving the efficiency and performance of electric vehicles.

IV CONCLUSION

To sum up, keeping EV batteries at the right temperature is super important for making them work well, keeping them safe, and helping them last. Since more and more people want EVs, and batteries are getting better all the time, it's key that we figure out how to handle heat. This will help stop batteries from getting too hot and make sure they work as well as possible. If we use things like really good materials that conduct heat and new ways to cool batteries, we can really improve how well they stay at the right temperature when they're running. Plus, the market for these kinds of systems is expected to grow, as shown in [39].So, manufacturers need to really focus on creating systems that work well. Successfully using these technologies helps us move toward transportation that's better for the environment and reduces pollution, [1] highlights. Really, it's crucial that we keep researching and developing thermal management systems that don't just make batteries perform better but also help us take care of the environment as EVs continue to evolve. And as distinctly showcases, these systems strategically manage heat distribution, further underscoring their importance. Within the ever-changing world of electric vehicles (EVs), the way we handle battery temperatures—known as battery thermal management (BTM)—is becoming super important for making sure things run well, are safe, and last a long time.

It's really necessary to add in better systems for handling heat because those strong lithium-ion batteries, like the ones using lithium nickel cobalt aluminum oxide (NCA), can get too hot, as some studies have shown [7] Plus, pictures that show how heat is managed give us a look at how things like battery packs and cooling stuff work together to get rid of heat properly. This does more than just make the car work better; it also makes things safer, since batteries can go haywire and put people at risk. As more and more people start using EVs, figuring out how to manage battery heat well is going to help more people switch to these cars and improve the technology in the car business. Because of this, it's clear that we need to keep doing research in this area.

A. Importance of Effective Thermal Management for EV Adoption

For electric vehicles (EVs) to really take off, getting the thermal management right is key, since it has a big impact on how well the battery works, how safe it is, and how long it lasts. As EV tech gets better, thermal management systems need to be good at keeping battery packs at the right temperature. This is to stop them from overheating and possibly going into thermal runaway, which, as you can see in , could cause some serious problems. Studies have found that if you keep the battery at the best temperature, it can store more energy and charge faster, which are both important things for people thinking about buying an EV [37]. Plus, good thermal management helps the whole car work better, so you can drive farther and spend less money on keeping the battery in good shape or replacing it. As more and more people buy EVs, new ideas in thermal management will be important for getting past the things that are stopping people from switching to EVs. These innovations will help make sure that EVs are as good as people expect them to be, no matter where they're driving.

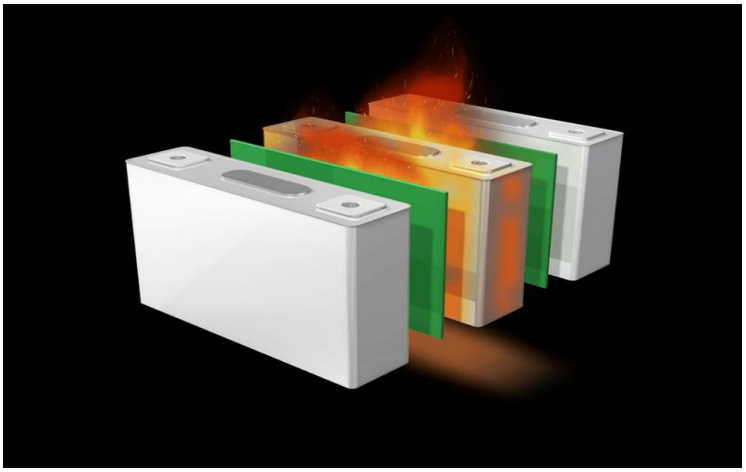


Figure 7: Graphical representation of battery cells in combustion, highlighting safety concerns in energy storage technology.
Source: Authors (2026).

B. Future Challenges and Opportunities

The growing electric vehicle (EV) market means that battery thermal management's future involves both significant challenges and exciting possibilities for engineers and researchers. A key challenge is creating systems that effectively remove the heat produced when EVs are running; if this isn't handled well, it can cause thermal runaway, which is bad for battery safety and how well it works. However, new developments in thermal management – think advanced materials and better cooling – could help batteries last longer and work more efficiently, which supports the push to lower greenhouse gas emissions from vehicles [5]. Also, smart thermal management systems that can monitor and adjust things in real time offer a chance to use energy more efficiently depending on how someone is driving [40].Dealing with these issues not only helps develop safer EV technology, but it also sets the stage for wider acceptance of electric vehicles worldwide, as shown by the important information in .

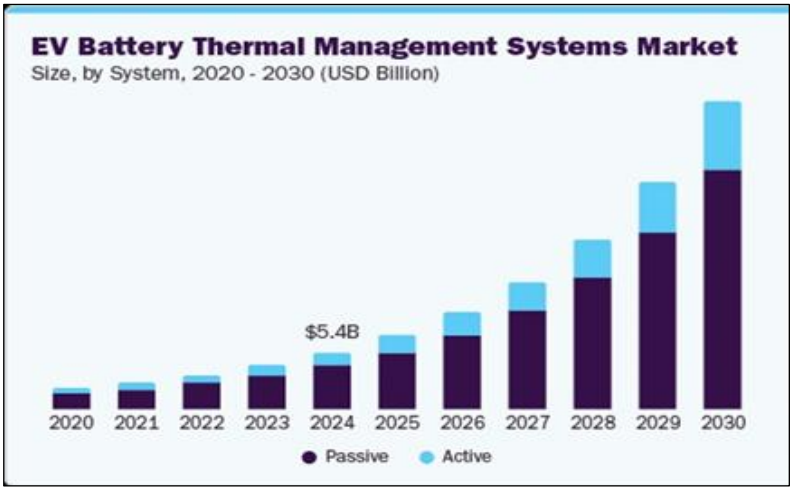


Figure 8: Projected Growth of the EV Battery Thermal Management Systems Market (2020 - 2030).
Source: Authors (2026).

C. Call to Action for Research and Development

Electric vehicle (EV) tech is really taking off, so it's super important that we put a lot of effort into research and development (R&D), especially when it comes to keeping those batteries at the right temperature. Making sure the battery doesn't get too hot or cold is key to getting the most life out of it and keeping things safe while you're driving. If we come at this problem from all angles, we can cut down on the chances of thermal runaway, which is still a big worry with lithium-ion batteries [5].To get new ideas flowing, everyone involved needs to work together, using what we've already learned from places like NASA, which has done studies on power and temperature control that can help with Evs [39].Plus, if we include better thermal management systems, like the ones you can see in detailed diagrams of battery packs, we can boost how well EVs work and get more people to switch over. Basically, we need a big push for R&D to not only make electric cars better but also help the environment and save energy.

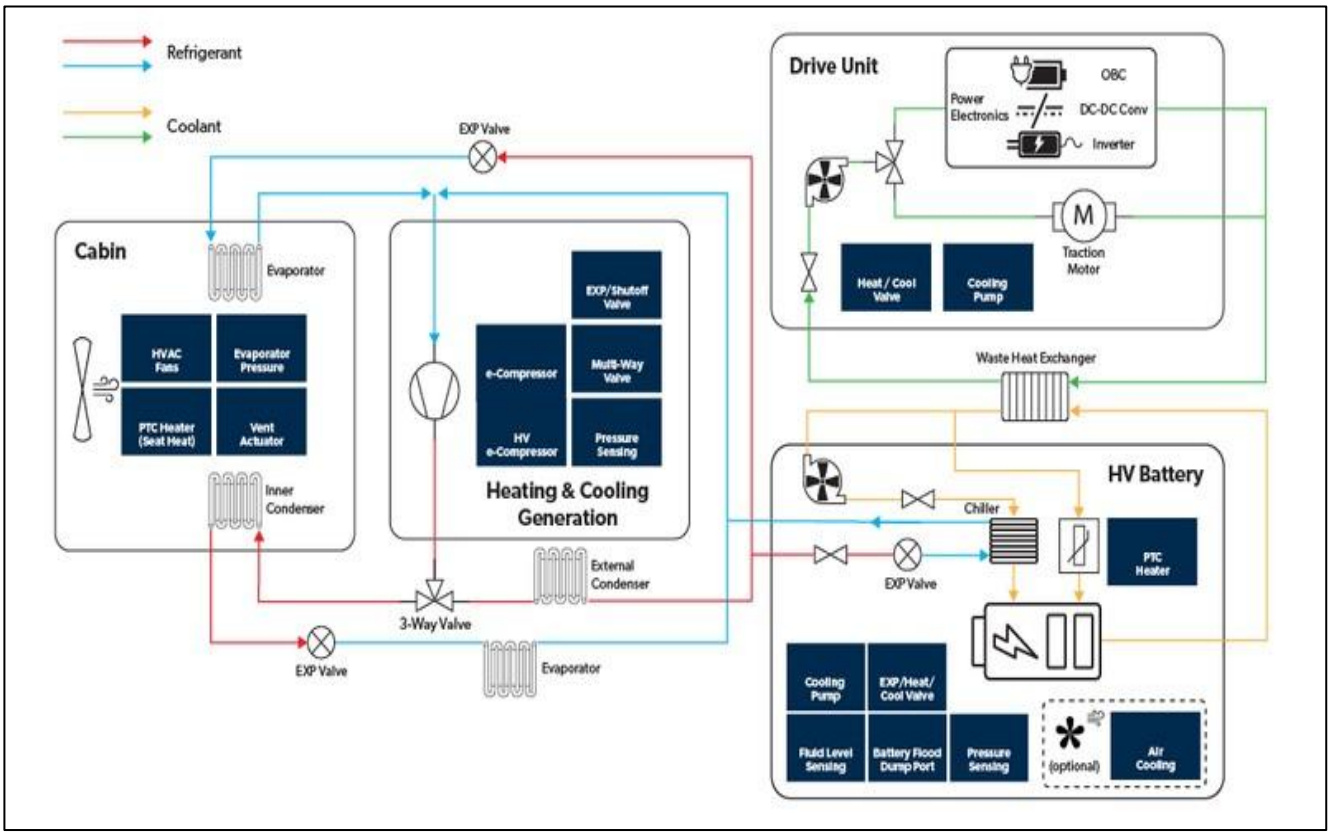


Figure 9: Schematic of Electric Vehicle Thermal Management System.
Source: Authors (2026).

D. Final Thoughts on the Role of Thermal Management in Sustainable Transportation

To summarize, thermal management plays a vital role in sustainable transportation, especially as electric vehicles (EVs) are becoming more and more prevalent. Actually, good thermal management systems don't just make batteries work better; they also help them last longer, which is key to making EVs a competitive choice in the auto world. As we can see in the schematic of a battery pack, the use of new materials and designs for thermal management is super important for getting the most out of energy use and keeping things safe [40]. What's more, effective thermal management can help cut down on long-term running costs, which goes hand in hand with the goals of sustainable transportation. Even as researchers and engineers try to bring down initial costs and other obstacles, it's still really important to keep pushing for new tech and policies that will help everyone use better thermal management solutions [41], [10]. Efficient thermal management is essential for ensuring the safety, performance, and durability of automotive systems, particularly with the increasing adoption of advanced energy and electronic components [42]. Appropriate material selection is critical for achieving stable thermal and mechanical behaviour under varying operating conditions [43]. Computational fluid dynamics methods are commonly employed to analyse airflow and heat transfer characteristics in vehicle systems [44]. In parallel, the integration of IoT technologies has enabled real-time monitoring and improved safety functions in modern automobiles [45]. Driver condition and vehicle health monitoring systems further enhance safety by identifying fatigue, faults, and unsafe operating conditions at early stages [46-49]. The combined use of monitoring systems with safety-enhanced braking strategies provides an effective approach to accident prevention in critical driving scenarios [50].

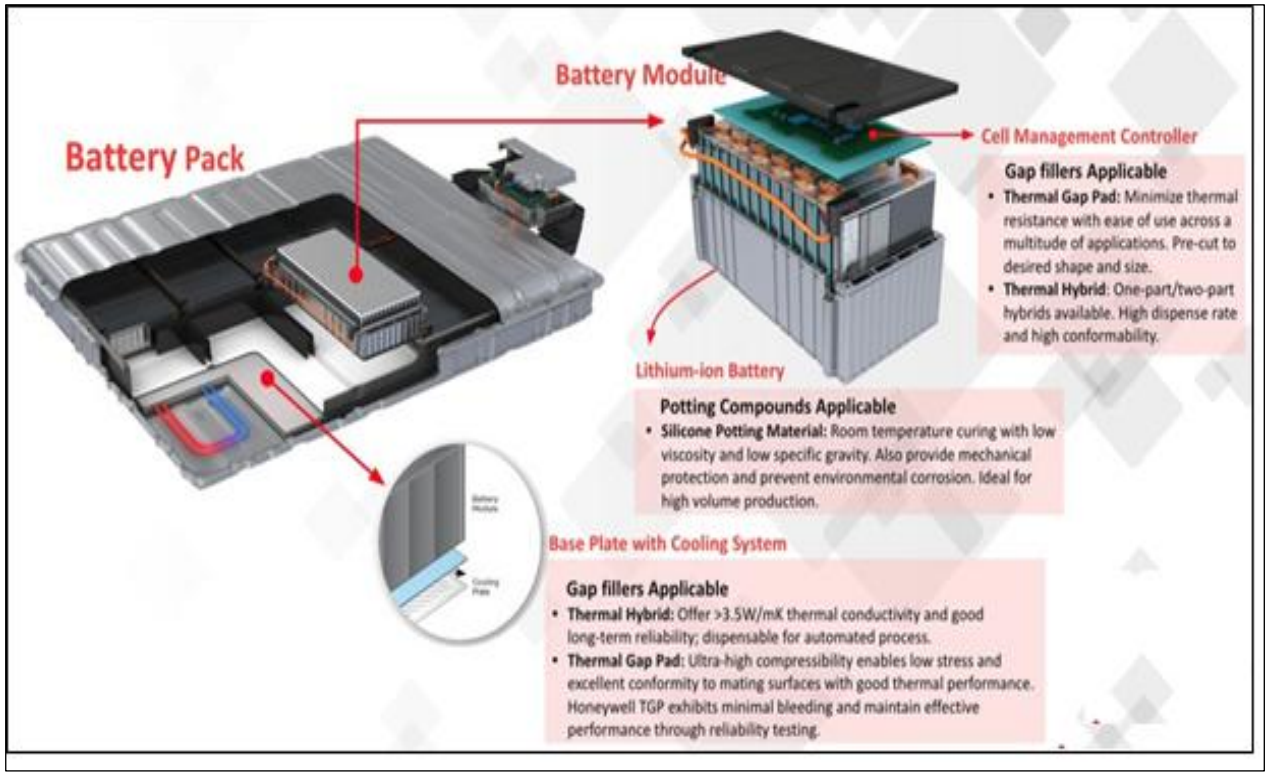


Figure 10: Schematic representation of a battery pack and its components.
Source: Authors (2026).

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Investigation: Dr. Musthafa B.
Discussion of results: Dr. T.R. Tamilarasan.
Writing – Original Draft: Dr. C. Dineshkumar.
Writing – Review and Editing: Dr. Musthafa B, Dr. Bharath H.
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Supervision: Dr. Musthafa B.
Approval of the final text: Dr. Musthafa B., Dr. Bharath H., Dr. P.D. Jeyakumar, Dr. T.R. Tamilarasan, Dr. C. Dineshkumar, Dr. C.K. Arvinda Pandian, and Dr. A. Gurusamy.

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RESEARCH ARTICLE OPEN ACCESS

MODELLING, VERIFICATION, AND OPTIMIZATION OF PROCESS PLAN GENERATION IN SUSTAINABLE RECONFIGURABLE MANUFACTURING SYSTEMS USING EVOLUTIONARY-GENERATED PETRI NETS

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Formal verification.

ABSTRACT

Various evolutionary algorithms have been developed to address environmentally oriented multi-objective process planning challenges in reconfigurable manufacturing systems, though many prioritize effectiveness over flexibility. Research utilizing Petri nets effectively addresses this flexibility issue, with several extensions proposed for modeling complex systems. By leveraging established Petri net theory, the process plan of reconfigurable manufacturing systems (RMS) can be encoded, enabling the optimization of process plan generation and the identification of potential deadlocks. This paper introduces a novel approach to enhance process plan generation, combining Evolutionary Petri Nets (a variant of Petri nets) with the enhanced genetic algorithm N˜SGA-III. The method optimizes four key objectives within the context of Sustainable Reconfigurable Manufacturing Systems (SRMS): total production cost, total production time, greenhouse gas emissions from energy consumption, and hazardous liquid waste generation. Numerical experiments were conducted to validate the effectiveness of this approach.

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I. INTRODUCTION

I.1 CONTEXT AND MOTIVATIONS

Reconfigurable Manufacturing System is a dynamic research domain that encompasses various advanced topics, including design, layout optimization, reconfigurable control, process planning, and production scheduling. However, there remains a significant gap in integrating sustainability into RMS studies [1]. A Sustainable Reconfigurable Manufacturing System (SRMS) is defined as a manufacturing system designed to be flexible and adaptable to shifts in product demand and production requirements, Additionally, SRMS focuses on minimizing environmental impacts while enhancing social and economic benefits [2]. Process planning, also known as process plan generation, is a critical initial step in organizing a manufacturing facility. It outlines how raw materials will be transformed into finished products. This planning occurs at two levels: macro and micro. Macro-process planning focuses on selecting the optimal sequence of various processing steps, setups, and the machines needed for the operations. In contrast, micro-process planning aims to optimize each individual operation to identify the best process parameters. Therefore, process planning is essential within the entire manufacturing cycle. Both levels of planning present complex challenges, attracting attention from both industry professionals and researchers, leading to numerous contributions in the field. Process plan generation using Petri nets is an effective method for modeling and analyzing manufacturing processes. Petri nets provide a graphical and mathematical representation that captures the dynamics of systems, allowing for the visualization of workflow, resource allocation, and concurrent activities. Evolutionary algorithms or computations (EC) are commonly used for solving problems such as optimization and reverse engineering of complex systems [2]. Genetic Algorithms (GAs) are widely used to solve various manufacturing problems, particularly in the context of RMS, due to their ability to effectively handle complex, multi-dimensional search spaces.

In these environments, GAs help optimize diverse objectives, such as cost, time, and resource allocation, under dynamic and uncertain conditions. Among the multi-criteria versions of GAs, the most commonly employed is NSGA-II [3], known for its robust performance in finding Pareto-optimal solutions and maintaining diversity in the solution set, making it suitable for complex decision-making scenarios in manufacturing systems. The integration of evolutionary algorithms and Petri nets provides a powerful method for generating and optimizing process plans in manufacturing systems. This approach enhances the ability to address complex challenges, especially in environments that prioritize sustainability and efficiency. These benefits motivated us to propose in this paper an Evolutionary-Generated Petri Nets based approach for Process Plan Generation in Sustainable Reconfigurable Manufacturing Systems.

I.2 KEY CONTRIBUTIONS

Our research paper seeks to develop a multi-objective sustainable process plan generation at a macro level within a reconfigurable manufacturing environment through:

- A formal modeling of the multi-objective sustainable process plan generation problem in RMS, considering production costs, completion times, greenhouse gas emissions, and hazardous liquid waste as optimization criteria.
- An approach based on Evolutionary-Generated Petri Nets (EPN) to effectively solve the sustainable process plan generation challenge in RMS.
- The identification of potential deadlocks in the process plan by utilizing the reachability graph (RG) of a Petri Net.
- An investigation into how the probabilities of genetic operators affect the convergence of the adapted NSGA-III algorithm.

The remainder of this paper is organized as follows: Section 2 provides a literature review, followed by the problem description in Section 3. The modeling of the process plan using evolutionary Petri nets is discussed in Section 4. Section 5 presents the proposed evolutionary approach, while Section 6 focuses on the verification of the process plan. Section 7 introduces the adapted evolutionary algorithm. The experimentation of the approach is detailed in Section 8, and Section 9 concludes with a discussion of future work.

II. LITERATURE REVIEW

Sustainable Reconfigurable Manufacturing Systems (SRMS) have gained significant attention across both academia and industry due to their critical role in flexible, eco-friendly production [4]. This section surveys key contributions that integrate artificial intelligence (AI) techniques—particularly multi-objective evolutionary optimization—into sustainable process planning within RMS and SRMS contexts. Several studies [5], [6], [7] have extensively investigate multi-objective process and production planning in SRMS by formulating models that explicitly incorporate the three pillars of sustainability: social, environmental, and economic. Their frameworks combine classical optimization techniques, including Lagrangian relaxation for large-scale problems and exact solution methods via GAMS for smaller instances, alongside linear mixed-integer programming and augmented ε-constraint approaches, demonstrating the importance of rigorous mathematical modeling in sustainability-focused manufacturing planning. In RMS, energy cost optimization is tackled through bi-level optimization frameworks that couple line balancing with production scheduling.

A hybrid metaheuristics that synergizes simulated annealing with linear programming has been proposed in [8] to solve such problems effectively. Significant contributions have been made in [9], [10], [11], [12] through the development of multi-objective, environmentally focused evolutionary algorithms aimed at optimizing sustainable machine and tool selection. These studies investigate advanced variants of NSGA-II and NSGA-III, incorporating techniques such as penalty boundary intersection and similarity coefficient-based operators to improve performance across key objectives, including production cost, processing time, greenhouse gas emissions, and hazardous waste generation. In [13], [14], several hybrid metaheuristics have been developed and evaluated—ranging from iterative multi-objective integer linear programming (I-MOILP) to archive-based iterated local search algorithms—comparing them against established evolutionary methods like AMOSA and NSGA-II. These studies highlight the effectiveness of hybrid AI approaches in solving complex, multi-objective manufacturing problems. Similarly, in [15], [16], multi-objective process planning has been addressed using mixed-integer linear programming models combined with evolutionary algorithms such as NSGA-II and SPEA-II.

Their contributions emphasize reducing completion time, production cost, and energy consumption within reconfigurable environments through intelligent algorithmic adaptations. This trend is extended by concurrently optimizing process planning, job-shop scheduling, and layout design within RMS in [17]. Their use of NSGA-III alongside well-defined economic and environmental metrics exemplifies state-of-the-art AI-enabled multi-objective optimization targeting sustainability improvements in manufacturing. Collectively, these studies demonstrate the growing role of evolutionary algorithms and hybrid metaheuristics in addressing the multi-faceted, sustainability-focused optimization challenges inherent to SRMS. However, there remains a critical need for integrated frameworks that combine formal modeling and verification, as well as adaptive evolutionary optimization—motivating the approach developed in this paper. **Table 1** presents an overview of recent studies addressing key issues in S-RMS problems.

Table 1: Summary of recent publication related to some S-RMS Problem.

Work	Optimisation methods	Process planning	Production planning	Job-shop scheduling	Time	Cost	Sustainability		
							GHG	Wastes	Energy
[5]	Lagrangian relaxation	✓	✓		✓	✓	✓	✓	
[6]	Adapted version of the Lp-metric	✓	✓			✓	✓	✓	
[7]	Augmented ε-constraint	✓	✓		✓	✓	✓	✓	
[8]	• Simulated annealing • Linear program		✓						✓

[9]	• Penalty Boundary Intersection Reference point with NSGA-II (PBI-R-NSGA-II) • NSGA-III with a selection and elimination operator (SE-NSGA-III) • NSGA-III with the similarity coefficient (SC-NSGA-III)	✓			✓	✓	✓	✓	
[10]	• NSGA-II • NSGA-III • Weighted genetic algorithms (WGA) • Random weighted genetic algorithms (RWGA)	✓			✓	✓	✓	✓	
[11]	• Dynamic-NSGA-II • New Dynamic-NSGA-II	✓			✓	✓	✓	✓	
[12]	• Adopted version of NSGA-II • Adopted version of NSGA III	✓			✓	✓	✓	✓	
[13]	• Iterative multi-objective integer linear programming (I-MOILP) • Archived Multi-Objective Simulated Annealing (AMOSA) • Adopted version of NSGA-II	✓			✓	✓	✓	✓	
[14]	• RSUPP: Repetitive single-unit process plan meta-heuristic • LSSUPP: Iterated local search on single-unit process plans meta-heuristic • ABILS: Archive-based iterated local search metaheuristic	✓			✓	✓	✓	✓	
[15]	• Augmented- ε-constraint (AUGECON) • NSGA-II • strength Pareto evolutionary algorithm II (SPEA-II)	✓			✓	✓	✓	✓	
[16]	• Augmented ε-constraint (AUGECON)	✓			✓	✓			✓
[17]	NSGA-III	✓		✓		✓	✓	✓	

Note: NSGA: Non-dominated Sorting Genetic Algorithm. GHG: Greenhouse gas emissions.
Source: Authors, (2026).

III. PROBLEM DESCRIPTION

Let us consider a single unit of a product to be manufactured in a reconfigurable environment. The product requires a set of operations, which are linked by precedence constraints, generally modelled by Directed Acyclic Graph (DAG): G = {V, E}, the set of vertices V = {OP_1,…, OP_n} denote each individual operation in the production process, E the set of directed edges represent precedence constraints between operations nodes. A directed edge $E_{i,j}$ states that OP_i is the parent operation of OP_j. Child operations can only be executed once all the parent operations are completed, as illustrated in Figure 1.

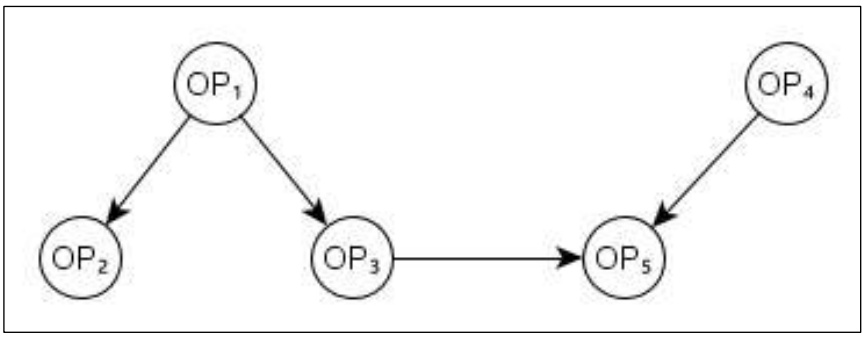


Figure 1: A simple operations precedence DAG.
Source: Authors, (2026).

An operation in this case is defined by a set of machines capable of performing it. A machine, on the other hand, is defined by a set of available configurations and a set of compatible tools. Table 2 presents configurations and tools that each machine offers. Thus,

each operation OP_i requires an association of machine-configuration-tool (M,C,T) called triplet TO_i. A feasible association between the operations and triplets is called process plan, which should respect the precedence constraints (Khettabi et al. 2021c).

Table 2: Example of configurations and tools that each machine offers.

M	C	T
M_1	C_1	T_1, T_2, T_3
M_2	C_2, C_3	T_1, T_3
M_3	C_1, C_2	T_2, T_3

Source: Authors, (2026).

Table 3: Example of a generated process plan.

Operation	OP_1	OP_4	OP_2	OP_3	OP_5
Machine	M_2	M_1	M_3	M_2	M_1
Configuration	C_3	C_1	C_2	C_2	C_1
Tool	T_1	T_2	T_2	T_3	T_1

Source: Authors, (2026).

More specifically, the process plan takes the structure of a matrix with n columns (number of operations) and four rows (operation, machine, configuration and tool). Table 3 shows an illustrative example of a process plan. It is read from left to right and column-by column. As an example, the first column indicates that: operation OP_1 is realised in the first step of the process plan, using machine M_2 under configuration C_3 with tool T_1.

IV. MODELLING PROCESS PLAN USING EVOLUTIONARY PETRI NETS

IV.1 MOTIVATION

The Directed Acyclic Graph (DAG) has a very simple structure and is easy to use. It possesses, however, some relevant disadvantages. As DAG is directed, it is impossible to define bidirectional coupling schemes between software components. DAG is acyclic, so it is not feasible to define loops, and only it describes the behaviour, but not the state of the system. These disadvantages motivate to use of the Petri nets formalism [18]. Petri nets are useful tool for visualisation of the processes. However, constructing and optimizing PN that describes process with hundreds of possible transitions and places is time and resources demanding task. Therefore, Evolutionary Petri Nets (EPN) are proposed as a solution to this task [2].

IV.2 FORMAL DEFINITION OF EPNs

Evolutionary Petri Nets (EPN) is proposed in [19] as a new extension for RPN (Resizable Petri Net). The aim of this proposition is to develop an evolutionary methodology whose candidate solutions are based on PNs, with two genetic operators, crossover and mutation, that altogether give a foundation for the development of a robust evolutionary algorithm for the optimisation. EPNs provide a conceptual framework for the representation of candidate solutions [18]. Below, we give the formal definition of RPNs and EPNs.

Definition 1: A Resizable Petri Net (RPN) [19] (extension of PNs) is defined as a 9-tuple: $\xi = (P, P^h, T, T^h, F, W, M_0, O_{pre}, O_{post})$:

- $P = \{p_1, p_2, \ldots, p_m\}$ is a finite set of places;
- P^h is the set of hidden places, such that $P \cap P^h = \varnothing$;
- $T = \{t_1, t_2, \ldots, t_n\}$ is a finite set of transitions, where: $P \cap T = \varnothing$ and $P \cup T \neq \varnothing$;
- T^h is the set of hidden transitions, such that $T \cap T^h = \varnothing$ and $(P \cup P^h) \cap (T \cup T^h) = \varnothing$;
- $F \subseteq ((P \cup P^h) \times (T \cup T^h)) \cup ((T \cup T^h) \times (P \cup P^h))$ is set of arcs;
- W: $F \rightarrow N$ is a weight function that associates a non-negative integer value to each arc;
- M_0: $P \rightarrow N$ is the initial marking of non-hidden places of the net (all hidden places have zero tokens, initially);
- $O_{pre} \in N$ is the maximum pre-order allowed in the RPN (equation 1), that is, for each $t \in (T \cup T^h)$: $\sum_{\substack{p \in Pre(t) \\ p \in (p \cup p^h)}} W(p, t) \leq O_{pre}$ (1)
- $O_{post} \in N$ is the maximum post-order allowed in the RPN (equation 2), that is, for each $t \in (T \cup T^h)$: $\sum_{\substack{p \in Post(t) \\ p \in (p \cup p^h)}} W(t, p) \leq O_{post}$ (2)

Definition 2: An Evolutionary Petri Net (EPN) [19] is a triple $E = (\xi, X, \mu)$, where:

- $\xi \in \Xi$ is a RPN; where Ξ is the space of all possible RPN topologies;
- X: $(\Xi \times \Xi) \rightarrow (\Xi \times \Xi)$ is the crossover operator which takes as input two RPNs ξ and $\bar{\xi}$ (where $P_\xi = P_{\bar{\xi}}$) and gives two new RPNs;
- μ: $\Xi \cup \{P_{in}, t, P_{out}\} \rightarrow \Xi$ is the mutation operation, where $\{P_{in}, t, P_{out}\}$ is a triple consisting of two places P_{in} and P_{out} and a transition t, namely $P_{in}, P_{out} \in (P \cup P^h) \cup P^\infty$ and $t \in (T \cup T^h) \cup T^\infty$, where P^∞ and T^∞ are infinite sets of places and transitions, such that $P^\infty \cap (P \cup P^h) = \varnothing$ and $T^\infty \cap (T \cup T^h) = \varnothing$.

Both the crossover and mutation operators are described in detail in [19].

IV.3 PROCESS PLAN MODELLING WITH RPNs

The process plan generation consists of sequencing the operations to be performed on the machines (under machines configurations, used tools, and precedence graph constraints) and the triplets to perform each operation in the sequence [10]. For modelling the process plan with RPNs, we introduce two kinds of places, the first represents machines, configurations, tools and the other represents dependencies from an operation OP_i to operation $OP_{i`}$. On the other hand, we introduce a type of transition represents set of available configurations and compatible tools for each machine.

In this work, Let us consider:
n: number of operations,
OP: set of operations $\{OP_1, OP_2, \dots, OP_n\}$,
m: number of machines,
M: set of machines $\{M_1, M_2, \dots, M_m\}$,
cfg: number of configurations,
C: set of configurations $\{C_1, C_2, \dots, C_{cfg}\}$,
tl: number of tools,
T: set of tools $\{T_1, T_2, \dots, T_{tl}\}$.

We can model a feasible process plan (candidate solution) with an RPN as a 8-tuple = $(P, P^h, T, T^h, F, W, M_0, O_{pre}, O_{post})$ where:

- $P^h = \{D_{ii`}\} \cup \{M_j\}$ where:

$\{D_{ii`}\}$ / $i,i` \in [1, n]$ representing the set of execution conditions of each operation (precedence constraints), $D_{ii`}$ denotes precedence constraint between operation $OP_i$ and $OP_{i`}$;

$\{M_j\}$ / $j \in [1, m]$ representing the set of machines;

- $P = \{T_t\} \cup \{C_c\}$ where :

$\{T_t\}$ / $t \in [1, tl]$ representing set of configurations;

$\{C_c\}$ / $c \in [1, cfg]$ representing set of tools;

Such that $P \cap P^h = \varnothing$

- $T = OP = \{OP_1, OP_2, \dots, OP_n\}$ representing set of operation composing production process, where: $P \cap T = \varnothing$ and $P \cup T \neq \varnothing$;
- $F \subseteq ((P \cup P^h) \times (T \cup T^h)) \cup ((T \cup T^h) \times (P \cup P^h))$ is set of arcs;
- W: $F \rightarrow$ N is a weight function that associates a non-negative integer value to each arc; in this case $W(f) = 1$, $\forall f \in F$;
- M_0: $P \rightarrow$ N is the initial marking of non- hidden places of the net (all hidden places have zero tokens, initially); this condition is respected in the present work excepted the starts places which are initially marked by one token;
- $O_{pre} \in$ N is the maximum pre-order allowed in the RPN (equation 1), that is, for each $t \in (T \cup T^h)$: $\sum_{\substack{p \in Pre(t) \\ p \in (p \cup p^h)}} W(p,t) \leq O_{pre}$ (3)
- $O_{post} \in$ N is the maximum post-order allowed in the RPN (equation 4), that is, for each $t \in (T \cup T^h)$: $\sum_{\substack{p \in Post(t) \\ p \in (p \cup p^h)}} W(t,p) \leq O_{post}$ (4)

Figure 2 depicts an RPN modelling a valid generated process plan (Table 3) for the operations precedence DAG (Figure 1).

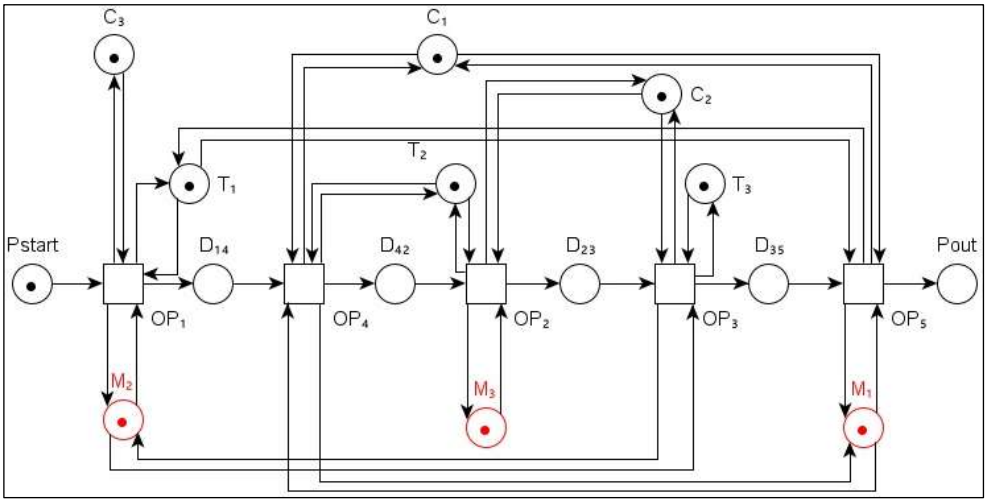


Figure 2: Modelling of valid generated process plan with RPN.
Source: Authors, (2026).

V. PROPOSED EVOLUTIONARY APPROACH

To identify the optimal process plan, we employ an evolutionary approach utilizing a genetic algorithm. Each potential chromosome or individual in our approach signifies a viable solution.

V.1 CHROMOSOME ENCODING

In the context of the process planning problem, a chromosome consists of a sequence of genes, with each gene representing the assignment of a specific operation in the process plan to its corresponding machine. During each transition firing, we assess key metrics of the process plan up to that transition, including makespan, production costs, hazardous liquid waste generation, and greenhouse gas emissions. Chromosome encoding is fundamentally based on the utilization of Evolutionary Petri Nets (see Definition 2). To achieve this, we employed the RPN model proposed in the previous section and assigned a label L = (***FT***, ***C***, **LHW**, ***GHG***) to each operation; where **FT** signify the finishing time of an operation, **C** signify the cost of execution of each operation OP_i on the selected machine M_j, **LHW** and **GHG** signify the amount of hazardous liquid waste and the amount of greenhouse gases emitted during the execution of each operation OP_i respectively. Formally, we define:

- EPN is the evolutionary Petri net introduced above.
- *FT: T x P → ℝ; (OPi, Mj) → FT (OPi, Mj)*

FT (OP_i, M_j) = FT (OP_i) = ST (OP_i) + $Pt_i + TCC_{c,\dot{c}} + TCM_{j,} + TCT_{t,\dot{t}}$

Where: ST (OP_i) = $\max_{p \in PR_i}$ {FT (OP_p)}

- *C: T x P → ℝ; (OPi, Mj) → C (OPi, Mj)*

C (OP_i, M_j) = C (OP_i) = Pc_i x $Pt_i + CCM_{j,}$ x $TCM_{j,} + CCC_{c,\dot{c}}$ x $TCC_{c,\dot{c}} + CCT_{t,\dot{t}}$ x $TCT_{t,\dot{t}}$

- *LWH: T x P → ℝ; (OPi, Mj) → LWH (OPi, Mj)*

LWH (OP_i, M_j) = LWH (OP_i) = L_i x Pt_i x EP_i

- *GHG: T x P → ℝ; (OPi, Mj) → GHG (OPi, Mj)*

GHG (OP_i, M_j) = GHG (OP_i) = IEC_j+ Pt_i x $f_{i,g}$ + Pe_i x $Pt_i + ECC_{c,\dot{c}}$ x $TCC_{c,\dot{c}}$ +$ECT_{t,\dot{t}}$ x $TCT_{t,\dot{t}} + ECM_{j,}$ x $TCM_{j,}$

The parameters used in these functions are as follows:

PR_i Set of predecessors of operation OP_i
G Set of greenhouse gases
$i, \dot{\imath}$: Index of operations OP_i and $OP_{\dot{\imath}}$
$j, \dot{\jmath}$: Index of machines M_j and $M_{\dot{\jmath}}$
$c, \dot{c}$ Index of configurations
$t, \dot{t}$ Index of tools
g Index of greenhouse gases
$TCM_{j,\dot{\jmath}}$ Machine change over time
$TCC_{c,\dot{c}}$ Configuration changeover time
$TCT_{t,\dot{t}}$ Tool changeover time
$CCM_{j,\dot{\jmath}}$ Machine change over cost per time unit
$CCC_{c,\dot{c}}$ Configuration changeover cost per time unit
$CCT_{c,\dot{c}}$ Tool changeover cost per time unit
$ECC_{c,\dot{c}}$ Configuration changeover energy per time unit
$ECT_{t,\dot{t}}$ Tool changeover energy
$ECM_{j,\dot{\jmath}}$ Machine changeover energy per time unit
Pt_i Operation OP_i processing time
Pc_i Operation OP_i processing cost
Pe_i Operation OP_i processing energy
$f_{i,g}$ Operation OP_i emitting greenhouse gas type g per time unit
IEC_j Initial energy consumption of machine M_j
EP_i Estimated hazardous liquid waste for operation OP_i
l_i Required liquid for operation OP_i per time unit

V.2 GENETIC OPERATORS

Genetic algorithm introduces crossover and mutation operations to increase the diversity of the population.

V.2.1 Crossover of RPN

The crossover mechanism between two RPNs generates new offspring which inherit the best substructures of the parents. No specific work exists about the crossover between bipartite graphs or, more specifically PNs. Indeed, the crossover between two PNs is supposed to identify some substructures in each graph, 'detach' them from one parent graph and 'attach' them into the other, and vice versa, while keeping the consistency of both graphs [19]. Our proposal for a crossover mechanism ($Crossover_{RPN}$) of two RPNs: $\xi(\tau), \bar{\xi}(\tau) \in \Xi$ considers four points:

- One operation (representing an operation in process plan problem) $OP_\chi \in OP$ is randomly selected in the $\xi(\tau)$ and the same operation is selected from $\bar{\xi}(\tau)$.

- Select the substructures consisting of the preset and post set of OP_χ (resp. $\overline{OP}_\chi$);
- Change the substructures between ξ and $\overline{\xi}$.

The use of this method saves the precedence constraints in each RPN.

V.2.2 Mutation of RPN

A mutation generates new RPN (offspring) from a single RPN (parent) in the current population. According to [13], the mutation operator modifies the structure of a RPN $\xi(\tau)$ in Ξ. We have proposed a mutation operator ($Mutation_{RPN}$) that associates $\xi(\tau)$ to a new consistent EPN $\xi(\tau + 1)$, according to specified couple $\{OP_i, M_j\}$. Our mutation operator acting on a single randomly chosen operation OP_i, the assignment of this operation will change as follows: the algorithm checks if there exists a machine with the same available configuration C_c and compatible tool T_t (denoted $M_{j'}$) unusable in all initial population ($M_{j'} \in P^{h\infty}$), this $M_{j'}$ will execute OP_i. If not ($P^{h\infty}=\varnothing$), the $M_{j'}$ must be randomly chosen from the list of $M_{j'}$ already used ($M_{j'} \in P^h$). Figure 3 a-b shows a sample of mutation operator. Assuming in this sample that $OP_\chi = OP_1$.

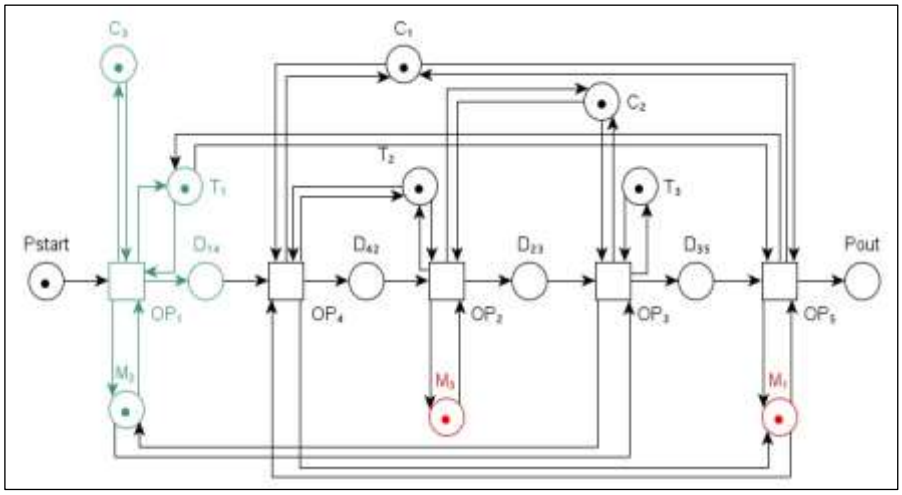


Figure 3 a: Befor mutation $\xi(\tau)$.
Source: Authors, (2026).

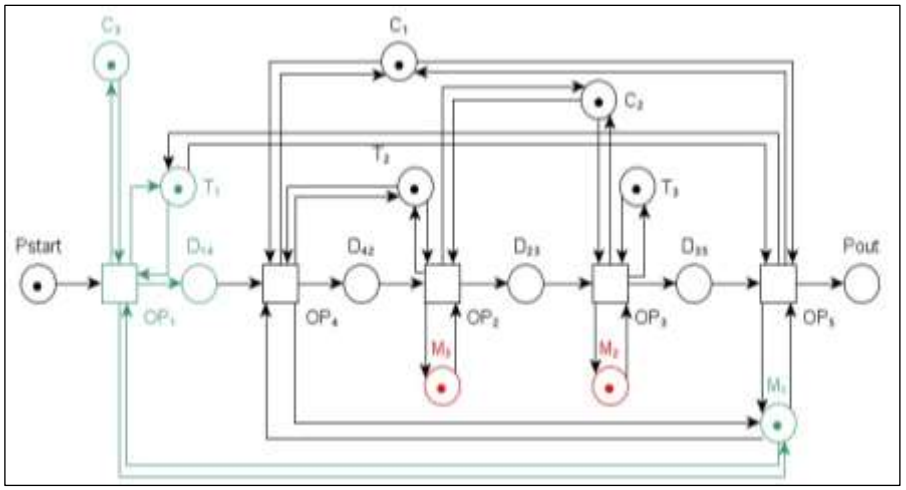


Figure 3 b: After mutation $\xi(\tau+1)$.
Source: Authors, (2026).

V.2.3 fitness function

The generated process plans must align with both manufacturing and sustainability objectives. Specifically, we aim to minimize four criteria:

- ✓ **Criterion 1: Total Production Cost** - This encompasses expenses related to machine changes, configuration adjustments, tooling, process alterations, as well as costs associated with greenhouse gas emissions and hazardous liquid waste.
- ✓ **Criterion 2: Total Production Time** - This includes the duration of machine transitions, configuration changes, tool replacements, and the time allocated for processing operations.
- ✓ **Criterion 3: Waste Generation** - This refers to hazardous liquid waste produced during operational processes, including waste oils and water, by products from resin production and application, residues from metal and plastic surface treatment, and materials resulting from industrial waste disposal activities.

✓ **Criterion 4: Greenhouse Gas Emissions** - This criterion captures the total emissions of greenhouse gases throughout the entire production process.

A comprehensive overview of these criteria, along with their mathematical formulations, is provided in [11]. By emphasizing these criteria, our goal is to create process plans that are both efficient and sustainable.

VI. VERIFICATION OF RTPM (VERIFICATION$_{RTPM}$)

Deadlock and livelock problems can lead to disastrous outcomes in reconfigurable manufacturing systems (RMS) by halting production processes at unpredictable stages. Therefore, it is essential to manage these issues effectively to ensure smooth production in RMS. Our study concentrated on verifying two key properties: the absence of deadlocks and the absence of livelocks. We will eliminate any reconfigurable production networks (RTPMs) that exhibit these problematic behaviors. The reachability graph (RG) of a TPM is a directed graph that covers all of reachable markings and transitions among these markings. If there is some marking $M \in R$ not enabling any transition, M is said a dead marking, and system (N, M_0) is said to contain a deadlock. If there is some subset $E \subseteq R$ such that no transition leads from a marking in E to some marking not in E witnessing some progress (e.g. the initial marking), then set E is said to be a livelock, and system (N, M_0) is said to contain a livelock. The occurrence of a deadlock or livelock in a real RMS can cause severe damages.

Definition 3 (Deadlock). Let N = (P, T, F, M_0) be a Token-Based Process Model and M_f is a target marking. M ∈ R (N, M_0) is a deadlock w.r.t. M_f (deadlock for short) if ∀ t ∈ T, ¬M [t⟩ ∧ M ≠ M_f [20].

Definition 4 (Livelock). Let N = (P, T, F, M_0) be a Token-Based Process Model and M_f is a target marking. M ∈ R (N, M_0) is a livelock w.r.t. M_f (livelock for short) if ∀ M′ ∈ R (N, M), ∃ t ∈ T, M′ [t⟩ ∧ M ′ ≠ M_f [20].

A graph is strongly connected if; every node (vertex) is reachable from every other node. A strongly connected component (SCC) of a graph is a strongly connected subgraph that is maximal. An RG can be split into the live zone (LZ) and the deadlock zone (DZ). The LZ can easily be identified as the SCC containing the initial marking M_0, while the DZ can be identified as the remaining SCCs [21]. It is important to determine the exact number of states in both the DZ and LZ of the Token-Based Process Model (TPM) model. To tackle this challenge, [22] recently proposed a method that utilizes RG analysis results from a TPM model of a flexible manufacturing system (FMS) that is susceptible to deadlocks or livelocks. This method employs the Integrated Net Analyzer (INA) [21]. It takes the RG and the initial SCC as inputs and calculates the number of states in both the LZ and DZ (for a detailed algorithm, refer to [22]). The approach for verifying the RTPMs modelled in the process plan within the resource management system (RMS) is based on this methodology, as outlined in the subsequent algorithm.

Algorithm 1: Verification$_{RPN}$

Input: RPN model.

Initialisation: result_verification= True

Definitions: *nbr_sts_lz*: number of states in the LZ, *nbr_sts_dz*: the number of states in the DZ, *t_nbr_sts*: total number of states in RG, *nbr_scc*: the number of states in the first SCC

1: Compute the RG and then SCC of the given RPN model by using INA.

2: Compute the total number of states (t_nbr_sts) in RG

3: Compute the number of states in the first SCC (*nbr_scc*)

4: *nbr_sts_dz* = *t_nbr_sts* - *nbr_scc*
nbr_sts_lz = *nbr_scc*

5: if ((*nbr_sts_dz* > 0) or (*nbr_sts_lz* ≠ *t_nbr_sts*)) then result_verification= False

Output: result_verification

End of Algorithm.

Source: Authors, (2026).

VII. NS̃GA-III\LEPN ALGORITHM

The series of non-dominated sorting based genetic algorithms (NSGA-series) has clearly shown their niche in solving multi- and many objective optimization problems. Of them, NSGA-III [23], [24] was designed to solve problems having three or more objectives efficiently. NSGA-III serves as the foundation for several many-objective optimization methods, with a set of extensions proposed U-NSGA-III [25], EliteNSGA-III [26], DC-NSGA-III [27], R-NSGA-III [28], NSGA-III\NDS [29]. To generate optimal process plans for sustainable manufacturing criteria, we attempt to use last extension of NSGA-III; the NSGA-III without non-dominated sorting (NDS) procedure namely, NS̃GA-III or NSGA-III\NDS. The basic framework of NS̃GA-III algorithm is similar to NSGA-III with significant changes in the way (i) domination check is executed, (ii) the survival selection operator is modified, and (iii) a few other minor changes are adopted resulting from the change in domination check procedure.

VII.1 PROPOSED ALGORITHM

Algorithm 2 describes the proposed algorithm.

Algorithm 2: NS̃GA-III\ LEPN for process plan generation in SRMS.

Input: Operations precedence DAG

OP= Set of operations, M= Set of available machines, CT= Set of Configurations and tools that each machine offers
Predefined set of reference directions W_r
Set of Parameters /* detailed in section 5.1 */
St = ∅, no of selections remaining (nr) = N

/* Create a set of mappings, where each mapping corresponds to a distinct individual or solution. */
1 M_p= Search for Feasible Mappings (OP, M, CT)
/* Transform each mapping into its LEPN representation */
2 Individuals= chromosome encoding (M_p, DAG)
/* Analyse the Net and Determine Transition Firing Order*/
3 Parent Population P_t= Evaluate Each Individual (Individuals)
/* Offspring population generation */
4 Q_t = Generate child Population from parent Population (Pt) using: $Crossover_{RPN}$, $Mutation_{RPN}$, $Verification_{RPN}$
5 $R_t = P_t \cup Q_t$
6 I = find-non-dominated (R_t)
/* Finding ideal point and nadir point for normalization of objective space */
7 ideal, nadir = hyperplane-boundary-estimation (R_t, I)
/* Association each s in R_t with a reference direction */
8 [π(s), d_2(s)] = associate-to-niches (R_t, W_r, ideal, nadir)
/* π(s) = closest reference direction, d_2(s) = perpendicular distance between π(s) and s */
9 d(s) = pbi-decomposition (R_t, W_r, θ=5, ideal, nadir)
/* d(s) = d_1+θd_2 distance between π(s) and s, d1 distance along reference direction ideal point */
10 Set attribute to each population member non-dominated ND=1 and dominated ND=0
11 Set attributes each population member R_t (CV, ND, d(s))
/*classifying population members */
12 Class 1 (C1): R_t (CV = 0 ∩ ND = 1)
13 Class2 (C2): R_t (CV=0 ∩ ND=0)
14 Class3 (C3): R_t (CV>0)
/*Class 1 selection */
15 if (|C1|≤ N) then $S_t = S_t \cup C1$; $n_r = N - |S_t|$
16 else S_t, n_r = class-survivor-selection (C1, S_t, n_r, W_r, π(s), d(s)); $P_{t+1} = S_t$, break;
/*Class 2 selection */
17 if n_r> 0 then S_t, n_r = class-survivor-selection (C2, S_t, n_r, W_r, π(s), d(s));
18 else $P_{t+1} = S_t$; break;
/*Class 3 selection for constrained problems */
19 if n_r> 0 then S_t = tournament-selection (C3);
20 else P_{t+1}=St; break ;

Result: P_{t+1}

Source: Authors, (2026).

VII.2 ALGORITHM DESCRIPTION

The proposed algorithm begins by creating a set of mappings (Step 1), where each mapping represents a distinct individual or solution, serving as a candidate for optimization. These mappings are then transformed into their corresponding LEPN (Labeled Evolutionary Petri Net) representations (Step 2). Following this transformation, the algorithm analyzes the Petri Net and determines the transition firing order (Step 3). This order specifies the sequence in which transitions are activated within the net and is critical for managing the flow of operations, ultimately determining how solutions evolve throughout the optimization process. In Steps 4 and 5, the algorithm generates an offspring population through genetic operations, specifically crossover and mutation. These operations introduce variability into the population, creating new individuals that explore different regions of the solution space. Subsequently, the population is normalized by identifying the ideal point and the nadir point in Steps 6 and 7. These reference points are essential for scaling the objective values across the population, ensuring that comparisons between solutions are made on a consistent and comparable basis. In Step 8, each individual solution ss is associated with a reference direction. Specifically, the closest reference direction π(s) is identified for each solution, and the perpendicular distance d2(s) between the individual solution ss and the reference direction π(s) is computed. This relationship is crucial for evaluating each solution's position relative to the reference direction, providing insight into the distribution of solutions in the objective space. In Step 9, the algorithm applies the PBI (Penalized Boundary Intersection) decomposition. The distance d(s) between an individual solution ss and its closest reference direction is calculated as the sum of two components: the distance along the reference direction d_1(s), and the perpendicular distance d_2(s). The subsequent steps of the algorithm focus on classifying the population members.

VIII. EXPERIMENTATION VALIDATION

The proposed approach is experimentally validated through the use of Petri Net Markup Language (PNML[i]) and the TiNA[ii] Tools software. Figure 4 depicts the steps of validation. TiNA Tools is employed to validate the Petri net represented in a PNML file, confirming its correctness. The tool can analyse all firing sequences of a Petri net related to a process plan problem. Each sequence of transitions, starting from the initial marking and leading to the final marking, corresponds to a feasible process plan. The transitions from the initial state S_0 to the final state S_f represent an ordered execution of operations and a structured utilization of triplets (machine-configuration-tool). This sequence is then saved in a stepper file, which is used to label the Petri net and assess the fitness of each individual.

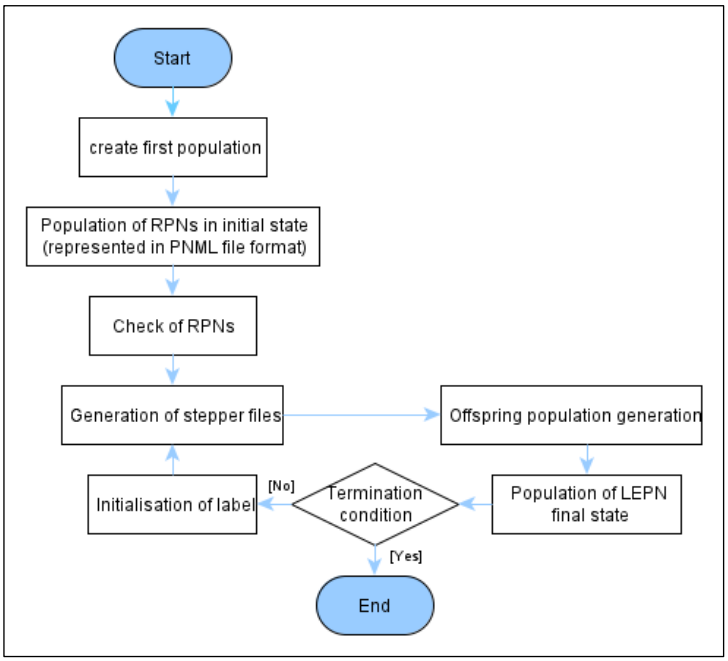


Figure 4: Steps of experimental validation.
Source: Authors, (2026).

The justification for using the PNML format rests on three key aspects: readability, universality, and mutuality. Consequently, the format must capture the fundamental principles and common notations of Petri nets, thereby facilitating the manipulation of labelled evolutionary Petri nets (LEPNs), particularly during the labelling phase. This design also supports the application of both crossover and mutation operators. The experimental results were conducted using an Intel Core i5 processor running at 1.8 GHz and 8 GB of RAM. The meta-heuristic algorithms were implemented using Python, specifically utilizing the **pymoo**[iii] framework for multi-objective optimization. The parameters used in this study are a population size of 100 individuals, a selection rate of 50% per iteration, a crossover rate of 50%, a mutation rate of 5%, and a maximum of 1000 iterations. Figures 5 and 6 present key results from our application in the case of 100 operations and 20 reconfigurable machines. Figure 5 shows the distribution of the initial population in the first iteration, while Figure 6 depicts the solution distribution after the algorithm has converged. Figures 7-10 illustrate the algorithm's convergence regarding the objectives cost, time, LHW and GHG over a single run of 1000 iterations.

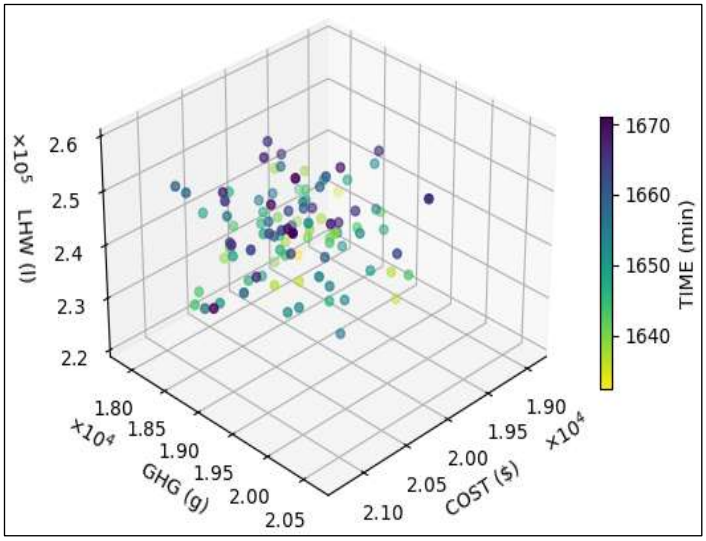


Figure 5: Distribution of the Initial Population.
Source: Authors, (2026).

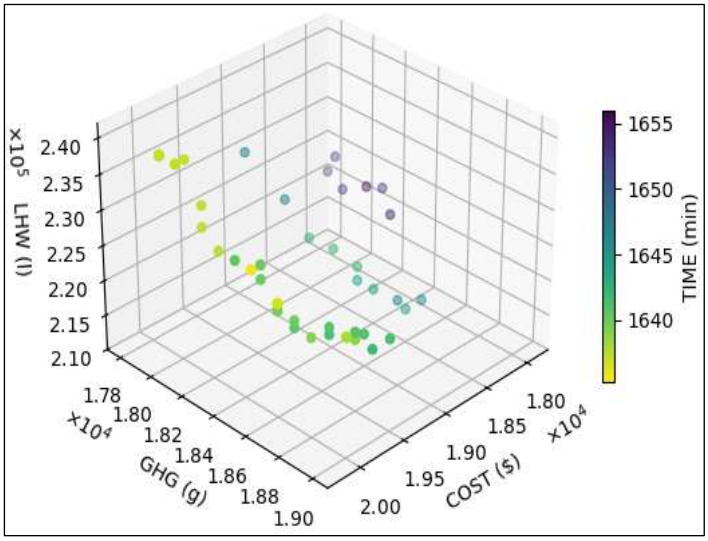


Figure 6: Distribution of Solutions.
Source: Authors, (2026).

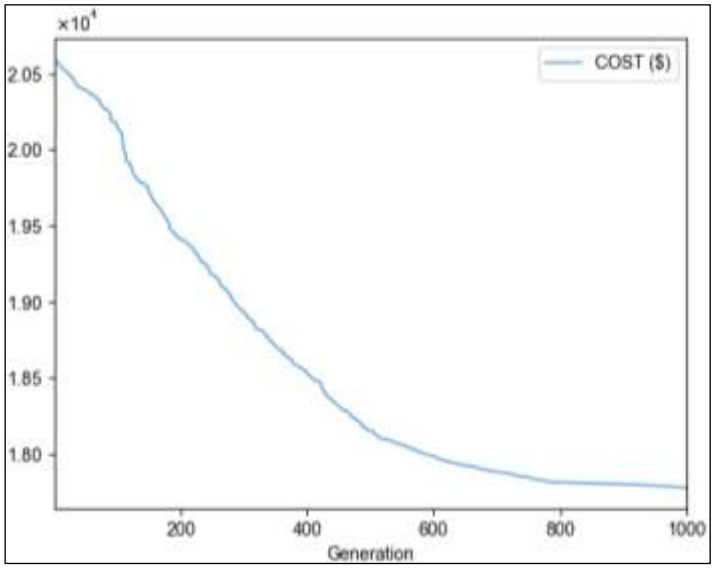


Figure 7: Convergence of the algorithm (Cost objective).
Source: Authors, (2026).

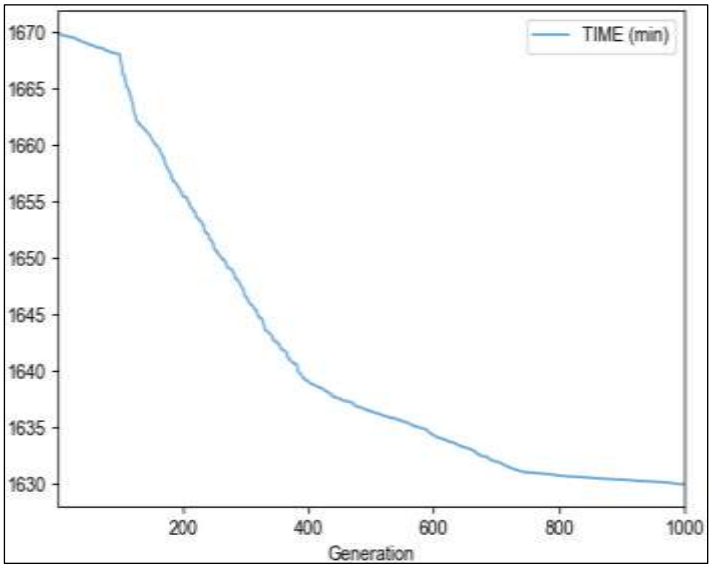


Figure 8: Convergence of the algorithm (Time objective).
Source: Authors, (2026).

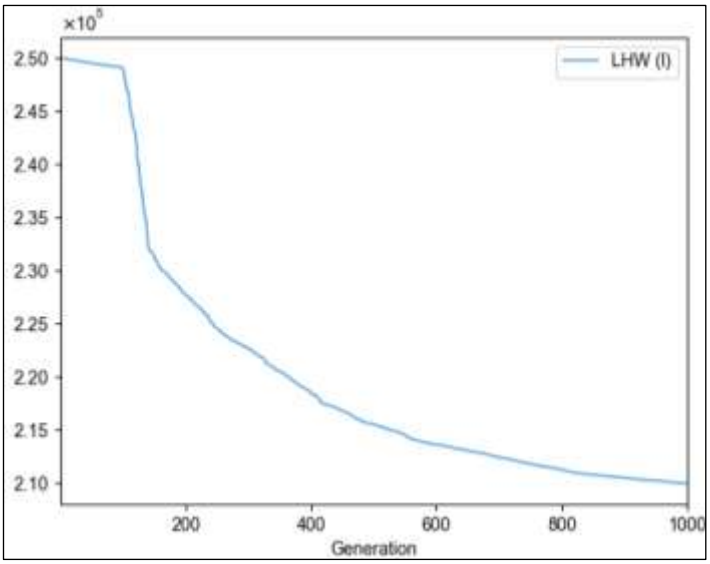


Figure 9: Convergence of the algorithm (LHW objective).
Source: Authors, (2026).

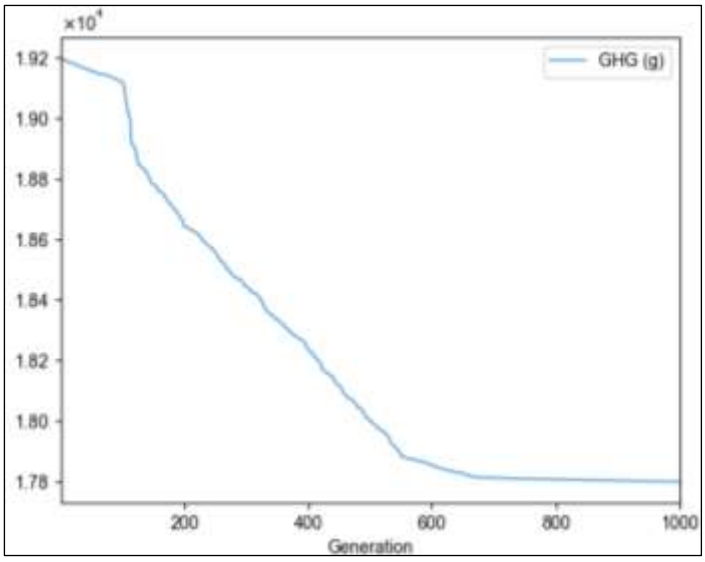


Figure 10: Convergence of the algorithm (GHG objective).
Source: Authors, (2026).

VIII.1 INFLUENCE OF GENETIC OPERATOR RATES ON ALGORITHM CONVERGENCE

VIII.1.1 Influence of the crossover rate

In our experiment, we evaluated the performance of our algorithm by varying the crossover rate. The results showed that the best outcomes for cost, time, GHG emissions, and liquid waste (LHW) were achieved when the crossover rate was set to 0.5. When the crossover rate is increased to 0.7, the algorithm performs well for the **time** and **liquid waste (LWH)** objectives compared to **cost** and **GHG emissions**. This suggests that a higher crossover rate promotes faster convergence and prioritizes minimizing time and waste production. Conversely, when the crossover rate is decreased to 0.3, the algorithm performs better for the **cost** and **GHG emissions** objectives, indicating that a lower crossover rate facilitates a more thorough exploration of the solution space, leading to more balanced solutions with respect to economic and environmental considerations, albeit at the cost of slightly higher values for time and LWH. These findings highlight the trade-offs associated with adjusting the crossover rate, where a higher rate may improve certain objectives at the expense of others, and vice versa. Figures 11-14 illustrate the effects of varying the crossover rate within the range of [0.3, 0.7] on cost, time, GHG emissions, and liquid waste (LHW).

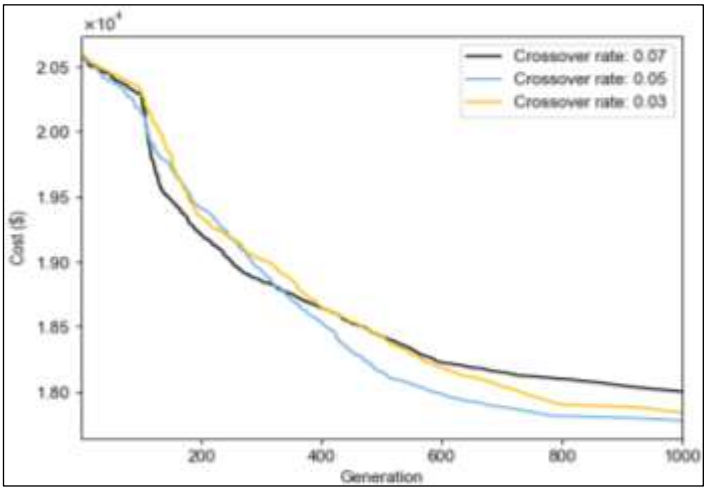


Figure 11: Influence of crossover rate Cost objective.
Source: Authors, (2026).

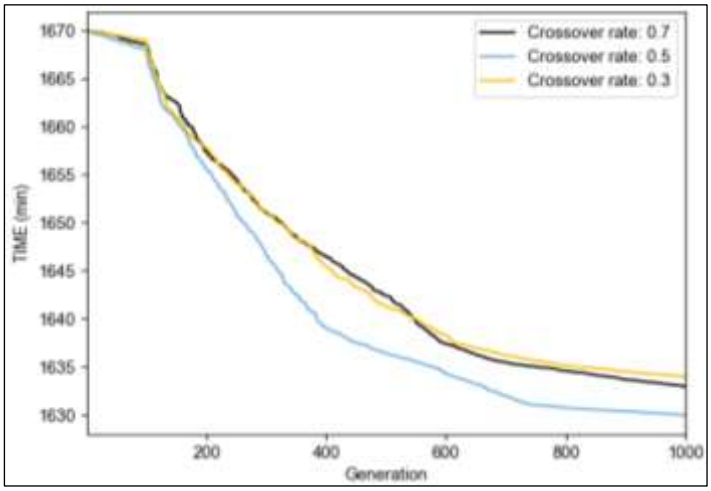


Figure 12: Influence of crossover rate Time objective.
Source: Authors, (2026).

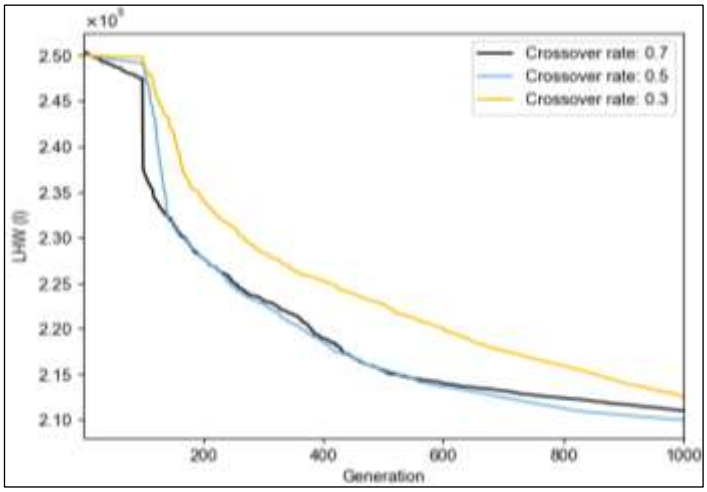


Figure 13: Influence of crossover rate liquid waste (LHW) objective.
Source: Authors, (2026).

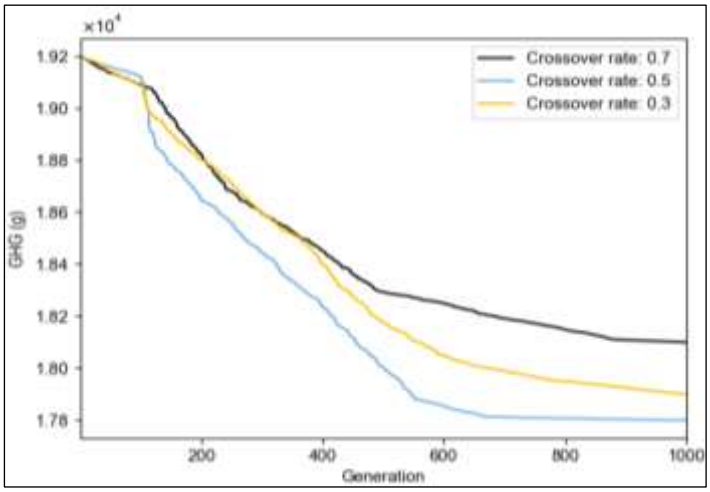


Figure 14: Influence of crossover rate GHG emissions objective.
Source: Authors, (2026).

VIII.1.2 Influence of the mutation rate

We tested our algorithm with different mutation rates and observed the following trends. When the mutation rate is set to 0.05, the algorithm yields the best results for all four objectives: **cost, time, liquid waste (LWH)**, and **GHG emissions**. However, when the mutation rate is increased to 0.07, the algorithm performs well for the objectives of **time, liquid waste (LWH)**, and **GHG emissions**, but not for **cost**. Conversely, when the mutation rate is decreased to 0.03, the algorithm performs better for **cost** but at the expense of the other objectives, particularly time and liquid waste.

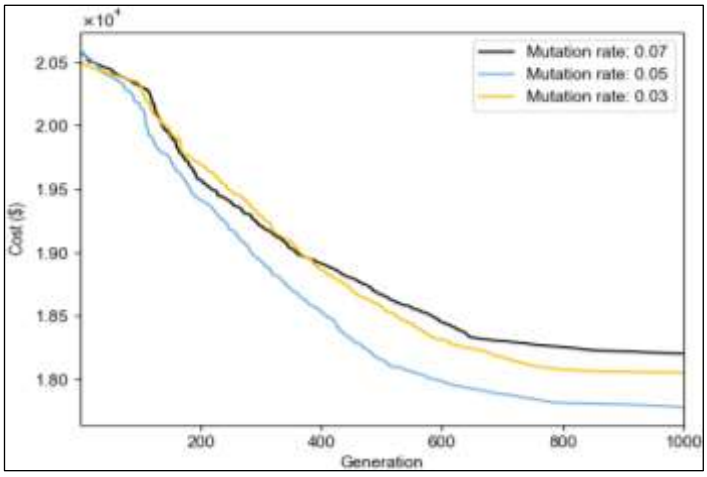


Figure 15: Influence of mutation rate Cost objective.
Source: Authors, (2026).

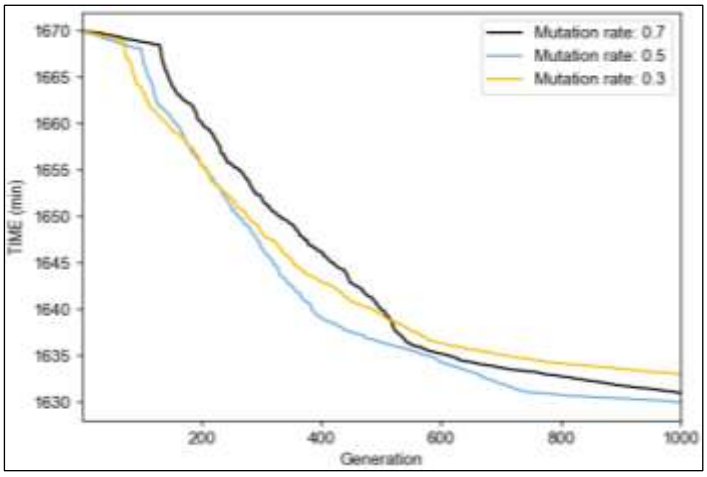


Figure 16: Influence of mutation rate Time objective.
Source: Authors, (2026).

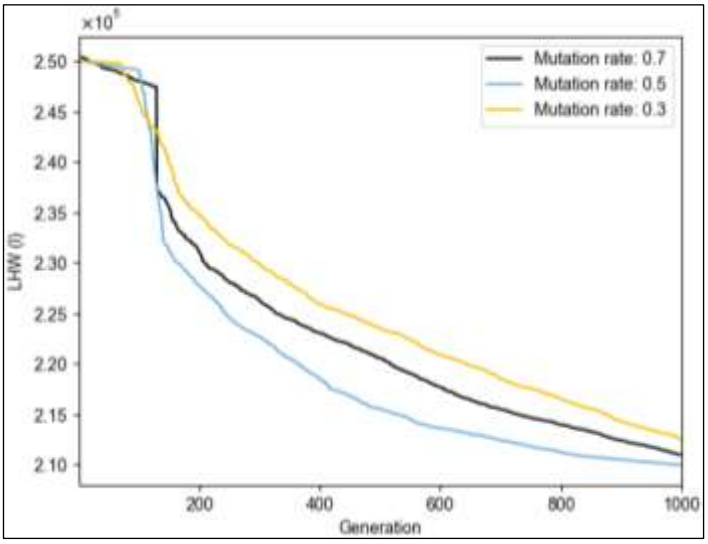


Figure 17: Influence of mutation rate liquid waste (LHW) objective.
Source: Authors, (2026).

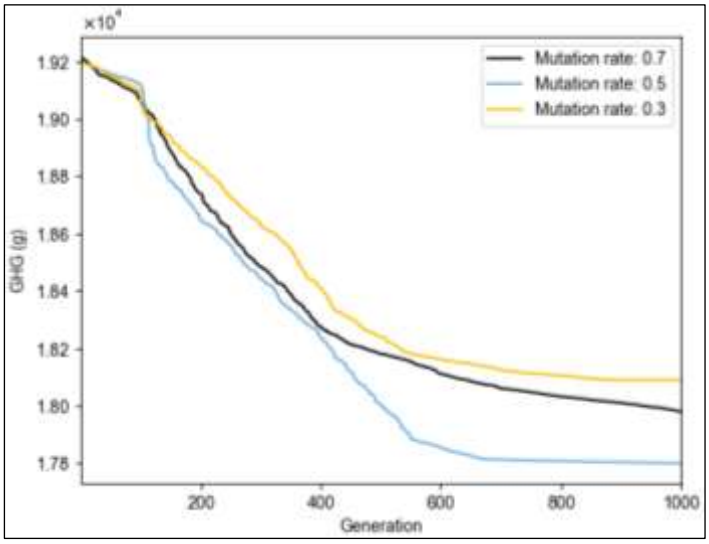


Figure 18: Influence of mutation rate GHG emissions objective.
Source: Authors, (2026).

VIII.2 COMPARISON WITH OTHER ALGORITHMS

In the context of a single-unit scenario, an instance is defined by the number of requested operations and the number of available reconfigurable machines. Figures 19 and 20 summarize the results obtained from the experiments for each instance, evaluated using the metaheuristics NSGA-II, NSGA-III, and the proposed approach NS̃GA-III\LEPN. Figure 19 presents the CPU computation time (in seconds). Compared to NSGA-II and NSGA-III, our algorithm demonstrates a computation time that is between the two for small-sized instances, while it outperforms both for medium and large-sized instances. Figure 20 shows the cardinality of the Pareto fronts, representing the number of Pareto-optimal process plans. For small and medium-sized instances, our algorithm exhibits cardinality between that of NSGA-II and NSGA-III, whereas, for large-sized instances, it achieves a higher cardinality than both.

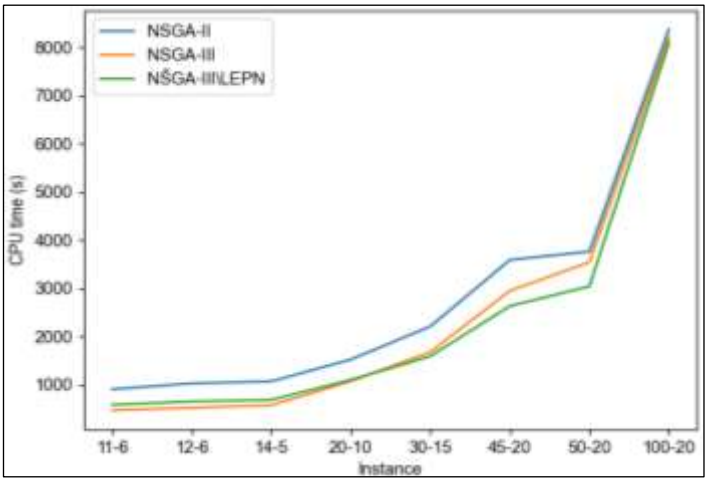


Figure 19: CPU time of the metaheuristic Methods.
Source: Authors, (2026).

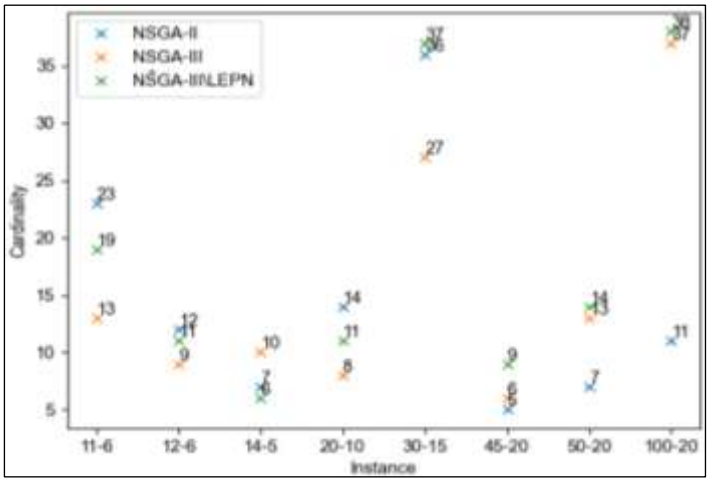


Figure 20: Cardinality of pareto fronts generated by metaheuristic Methods.
Source: Authors, (2026).

IX. CONCLUSION

In conclusion, this study presents an environmentally-oriented multi-objective process planning approach for sustainable reconfigurable manufacturing systems (SRMS), with a focus on minimizing four key objectives: total production cost, production time, greenhouse gas emissions from energy consumption, and hazardous liquid waste. We integrated Petri Nets with a Genetic Algorithm (GA) to derive Pareto-optimal solutions, using a variant of the non-dominated sorting genetic algorithm, NSGA-III, referred to as NS̃GA-III. The experimental results demonstrate the effectiveness of our proposed approach, emphasizing the advantages of incorporating Petri Nets in this context. Notably, the NS̃GA-II\LEPN algorithm outperforms both NSGA-II and NSGA-III, particularly in terms of CPU time for medium and large-sized instances, as well as in the cardinality of Pareto fronts for larger instances. In future work, we plan to extend the proposed approach by testing it on additional case studies to further assess its robustness and performance. Furthermore, we aim to introduce additional objectives, such as maximizing the amount of product produced per unit of energy consumed or enhancing system reliability by maximizing the Mean Time Between Failures (MTBF). This will enable us to evaluate the ability of our approach to balance between the objectives that need to be minimized and those that should be maximized, ultimately improving the overall performance and sustainability of the system.

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RESEARCH ARTICLE OPEN ACCESS

LEVERAGING TUMOR INDUCED FREQUENCY SHIFTS BY A 24 GHZ MICROSTRIP ANTENNA WITH HIGH SENSITIVITY FOR BREAST CANCER DIAGNOSIS

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ABSTRACT

Early detection of breast cancer is critical for patient survival, yet current gold-standard methods like X-ray mammography present significant limitations, including ionizing radiation. a new design of the microstrip patch antenna that is optimized towards early detection of breast cancer at 24 GHz through the benefits of millimeter-wave imaging, such as high resolution and non-ionizing radiation. The cross-slot method has been used with Rogers RT 5880 substrate which in the free space has shown good performance of 10 dB, efficiency of 95% and a wide bandwidth of 1.3 GHz (S11 < -10 dB from 22.8-24.1 GHz). The design was tested in three critical conditions using CST Microwave Studio simulation that included free space operation, multilayer human tissue (skin, fat, fibro) integration, and tumor-embedded conditions. Findings indicate the clear tumor signatures as a frequency shift of 700 MHz, bandwidth reduction to less than 3 MHz and radiation pattern distortions (beam splitting in multiple co-polarized lobes and increased backscatter). It is worth noting that tissue integration decreased gain to 9 dB, but tumor detection sensitivity (90% efficiency) was increased (through an increase in energy coupling) by high permittivity of the tumor. These quantifiable electromagnetic perturbations offer a viable, non-invasive substitute to traditional mammography, and have shown great potential to wearable diagnostic systems in form of the compact design, high sensitivity tumor and real-time monitoring. The paper takes microwave breast imaging one step further and determines definite correlations between changes in the parameters of the antennas and the presence of the malignant tissues.

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I. INTRODUCTION

Microstrip antennas have become one of the potential technologies in medical diagnostics especially in breast cancer detection. They are lightweight, compact, and can be easily incorporated into a wearable device hence suitable in non-invasive medical applications. The main benefit of using microstrip antennas is that they can be used in microwave frequencies which makes them provide high-resolution imaging and accuracy in detecting abnormalities breast tissues. In recent years, researchers have focused on developing microstrip antennas specifically designed for microwave breast imaging. This technique offers a safer and more accurate alternative to traditional methods like X-ray mammography, ultrasound, and MRI.

By placing the antenna in contact with the breast skin, the effects of backscattering are reduced, enhancing the sensitivity of tumor detection [1], [2]. Slotted waveguide antennas are one type of antenna. It has several applications, great handling capabilities, and the ability to boost gain and power. Due to its size, the waveguide structure necessitated challenging transitions in order to connect to planar circuitry. The transitions needed for integrating rectangular waveguides with planar circuitry are expensive and large. A fairly new type of planar transmission line called a substrate integrated waveguide (SIW) incorporates a waveguide into planar circuit, like a printed circuit board or a low temperature co-fired ceramic. SIW combines the advantages of rectangular waveguides, such as the power is higher handling capacity low loss and high Q-factor, into planar circuitry, in addition, SIWs license for simple transition between the other planar transmission lines and they are small, have a low-profile and weigh less compared to the rectangular waveguides.

Substrate Integrated Waveguide (SIW) technology retains the fundamental electromagnetic characteristics of traditional rectangular waveguides (RWG), including high quality factor (Q), low radiation loss, and excellent power-handling capabilities, while enabling planar integration. This allows direct transfer of established RWG design methodologies to SIW platforms, such as TE_{m0} mode excitation, impedance matching techniques, and cavity resonance principles. Major RWJ-derived parts such as waveguide dividers, bandpass filters, and slot array antennas, have been miniaturized successfully in SIW configurations with similar performance [3]. As an example, SIW filters will have <0.5 dB insertion losses at Ka-band, comparable to metallic waveguides. It is specifically useful in radar and communication applications that need strict beamforming because the inherent geometry of SIW allows narrow-beam radiation patterns (beamwidth of less than 30°) with sidelobe suppression of over 20 dB.

Unlike RWGs, SIW structures facilitate seamless integration with planar circuits through microstrip-to-SIW transitions, eliminating bulky coaxial adapters. Recent advances in 5G mmWave systems (24–40 GHz) leverage SIW's shaped-beam capabilities for base station antennas, where its 0.1–0.3 dB/cm loss at 28 GHz outperforms microstrip alternatives. Additionally, SIW's compatibility with PCB fabrication reduces costs by 60–80% compared to machined RWGs, making it ideal for mass-produced phased arrays. However, design challenges persist in suppressing higher-order modes (TE_{20}) when scaling to frequencies >60 GHz, requiring optimized via fencing ($d/p < 0.5$, where d=via diameter, p=pitch) to mimic perfect magnetic walls. Compared to other cancers, breast cancer is the most common type among women, particularly in those over 40. According to American statistics from 2013, out of 232,340 cases reported, 64,640 cases are in situ, and 39,620 cases resulted in death, indicating that women are at a significant risk of developing breast cancer [4].

The use of microstrip antennas in this context not only improves the accuracy of early-stage breast cancer detection but also provides a more comfortable and convenient experience for patients. The integration of microstrip antennas into medical devices represents a significant advancement in the fight against breast cancer. Their ability to provide detailed imaging and real-time monitoring makes them a valuable tool in early diagnosis and treatment, potentially increasing survival rates and improving patient outcomes4. As research continues to advance, the role of microstrip antennas in medical diagnostics is expected to grow, offering new possibilities for non-invasive and effective cancer detection. The three primary methods utilized for tumor diagnosis and detection in the past ten years are mammography, ultrasound, also magnetic resonance imaging (MRI), although they still have many drawbacks [4]. In order to achieve ultra-wideband antennas with the highest efficiency and precision possible, researchers are frequently considering developing antenna designs for defense as well as medical applications [4].

According to the Federal Communications Commission's (FCC) 2004 guidelines, UWB antennas operate in the frequency range of 3.1 to 10.6 GHz; also, the antenna's weight and size are crucial design elements [5]. In In this study, we design and optimize a microstrip patch antenna operating at 24 GHz for breast cancer detection applications. The antenna's performance is comprehensively evaluated through three critical scenarios: (1) radiation characteristics in free space as a baseline measurement, (2) operation when integrated with multilayer human tissue (skin, fat, and muscle), and (3) detection capability when malignant tumor tissue ($\varepsilon_r \approx 60$) is embedded within the normal tissue structure. We examine important parameters such as reflection coefficient (S_1), radiation patterns, gain and efficiency under these conditions by simulating them in CST Microwave Studio using full-wave electromagnetic simulations.

II. RELATED WORK

The development of antennas with better performance in performance using vital measures such as reduced return loss (S11), wide bandwidth, increased gain, and high efficiency is key to this study [1-7]. A low S11 value is important because it means that a large percentage of the transmitted power is sent to the breast tissue which is critical in effective signal penetration and hence reflection. The wide bandwidth provides the ability to characterize tissues thoroughly and possibly differentiate healthy and cancerous tissues better, and high gain ensures that the signal transmission and reception are robust. Efficiency of the antenna, however, is the key element to reducing the energy loss and maximizing the amount of power emitted into the target and hence overall detection sensitivity is maximized [1-7].

New methods in the design of microstrip antennas include the choice of materials of the substrate including flexible polyamide used in the making of wearable antennas and the geometry of the antennas to achieve the best performance based on the specific diagnostic intended use [3]. Research has shown that designs can work with a frequency in the range of 33 GHz, with encouraging results in S11, and the ability to sense the presence and location of tumors by changing S-parameters [2]. High-level electromagnetic simulation, typically by using software such as HFSS, is important in all antenna design behavior prediction and optimization before physical fabrication [3]. To validate the usefulness of the proposed designs in real-life situations, the simulations are often supplemented with experimental validation, often using detailed breast phantoms [4]. Table I relates to the various papers concerning cancer breast microstrip antenna.

III. LIMITATIONS OF CONVENTIONAL BREAST CANCER IMAGING TECHNOLOGISE

Various approaches are already available and effective in imaging in search of early detection of breast cancer including Breast Self-Examination (BSE), Clinical Breast Examination (CBE), Breast Ultrasound, Computerized Tomography (CT), Magnetic Resonance Imaging (MRI), Positron Emission Tomography (PET), and Mammography. Nevertheless, each of these methods have serious shortcomings.

As an example, PET cannot work with primary tumors, whereas Mammography, which is regarded as the gold standard in breast screening, does not work in young women and dense-breasted women. Moreover, Mammography uses ionizing radiations, is slow in imaging and not portable.

Table 1: Related Work of Microstrip Antenna of Cancer Breast.

Ref	Method	Freq GHz	Gain dB	Weak Points
[8]	focuses on design of a microstrip patch antenna.	2.45	3	Conventional methods like X-ray, MRI, and ultrasound have limitations.
[9]	Four antenna structures were placed around the breast in simulations to analyze S-parameter changes.	33	2	Not explicitly stated in the provided snippet.
[10]	Designed a flexible microstrip patch antenna operating at 2.45 GHz using polyamide material	2.45	1	Low gain, and miss matching
[11]	detect malignant tumors using 3D breast phantoms,	ISM band	2.5	Traditional techniques like X-ray mammograms, MRI, ultrasound,
[12]	comparing designs based on substrate, feeding techniques, SAR, E and H field, Return Loss,	N/A	1.55	The paper highlights the limitations of existing techniques like mammography (ionizing radiation),
[13]	review article summarizing various microwave approaches for breast tumor detection	7-28	10.5	Traditional methods have drawbacks like high costs, radiation exposure, and patient inconvenienc.

Source: Authors, (2026).

X-ray techniques, including CT scan, may destroy cells and tissues and MRI has difficulty in imaging of superficial soft tissues because of the limitation in the sensitivity of magnetic rays. A comparative study of these methods, as reported in [14], further brings into focus their advantages and disadvantages as shown in Table 2 [14]. These restrictions bring into focus the fact that there is a need to develop better imaging technologies which can result in better detection of breast cancer at an early stage. Table II indicate the comparatives of breast cancer.

Table 2: Related Work of Microstrip Antenna of Cancer Breast.

Category	Method	Advantages	Limitations
Examination-based	Breast Self-Examination (BSE)	Convenient for high-risk groups; easy to perform.	No proven impact on mortality; potential for harm if misinterpreted.
	Clinical Breast Exam (CBE)	Can reduce mortality rates through early intervention.	Cannot confirm malignancy; limited diagnostic.
Imaging-based	Mammography	Fast imaging time; high resolution; portable equipment.	Uses ionizing radiation; ineffective for younger women and dense breast tissue.
	Breast Ultrasound	Noninvasive, widely available, low-cost, and painless.	Low resolution and contrast; results depend on operator skill.
	Positron Emission Tomography (PET)	Provides functional/structural details; excellent contrast.	Slow imaging; non-portable; involves ionizing radiation.
	Breast MRI	High spatial resolution; no radiation; effective for detecting cancer spread.	Slow imaging; non-portable; limited to lateral views; complex interpretation.

Source: Authors, (2026).

Microwave Imaging (MI) has become a very promising substitute to the traditional breast cancer detecting techniques, which overcomes most of the drawbacks mentioned in Section III. There are a few remarkable benefits associated with this innovative method: the technique is cost-effective, non-ionizing radiation, it is highly sensitive in tumor detecting and makes the examination procedure comfortable to the patient. Microstrip patch antennas are the building blocks of the MI system used as the detectors. Present day imaging technologies of microwaves are mainly divided into two different methodologies:

- Tomography-based imaging
- Radar-based imaging

A typical Microwave Imaging (MWI) system configuration includes:

- A microwave transmitter that emits carefully controlled signals into breast tissue
- A sensitive receiver system that detects and analyzes backscattered signals

The basic principle of operation MWI as demonstrated in Figure 1 is based on the fact that the dielectric contrast between the malignant tumor tissue and normal breast tissue is measurable. The interaction of microwave signals with breast tissue causes different scattering patterns of tumorous regions because they have varying dielectric traits. These are captured and analyzed to detect possible malignancies with a high level of accuracy.

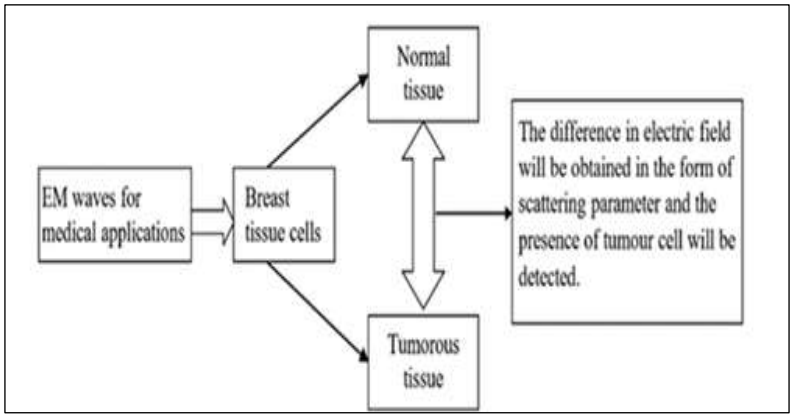


Figure 1: Principle of Microwave Breast Cancer Detection Using EM Wave Scattering.
Source: Authors, (2026).

IV. PERFORMANCE-OPTIMIZED PATCH ANTENNAS FOR MEDICAL SYSTEMS

Microstrip patch antennas have become a key technology in biomedical applications in that they are compact, they are lightweight, and can be used with wearable systems. Such antennas are being used more and more in medical implants, wireless health and in microwave imaging systems. Another pioneering work was done by [8] who created a Multiple Ring Slot Ultra-wideband (MRS-uWB) antenna that was created on FR-4 substrate and its entire operational bandwidth was 2 to 12 GHz. The antenna achieved a high level of return loss of lower than -30 dB throughout the UWB frequency range through novel design methods of partial ground plane structuring, optimization of rectangular slots in the feed line, and enabled it to be especially applicable to broadband biomedical systems. On this basis [15] designed a specialized two sleeve antenna with the ISM band (2.45 GHz).

This design gave a return loss of more than -10 dB by means of careful optimization of sleeve lengths and ground plane dimensions. The effectiveness of the antenna was also confirmed by experiments that were performed on tissue-equivalent material of a human being; this demonstrated that the antenna could be used in biomedical applications. In the case of wearable medical devices, a comparative study of textile-based substrates, such as jean cotton, Teflon and traditional FR-4, was carried out in-depth by [9] with further insight into the comparative analysis. Their study showed that Teflon substrates were the best with return loss value of between -13.93 and -19.39 dB at 2.4 GHz and were also very flexible. Likewise [10] also experimented with cotton and jean substrates to support on-body communication, and developed new methods to assemble adhesive tape antennas with a return loss of less than -10 dB at 2.45 GHz.

Table 3: Microstrip Patch Antennas for Biomedical Application.

Ref	Substrate(s)	Feed Type	Freq (GHz)	S11 (dB)	Flexibility	Design Features
[8]	FR-4	Microstrip	2–12 (UWB)	< -30	No	Multiple ring slots, partial ground
[15]	FR-4	Microstrip	2.45 (ISM)	< -10	No	Two-sleeve design, low profile
[9]	Jean Cotton/Teflon/FR-4	Coaxial	2.438–2.452	-13.93 to -19.39	Yes	Textile substrates, multi-material comparison
[10]	Cotton/Jean	Microstrip	2.45	< -10	Yes	Adhesive tape assembly, on-body use
[11]	Jean	Microstrip	2.24	-15.52 to -24.10	Yes	Array design, hidden in fabric
[12]	Teflon/Felt/Jean	Coaxial	2.42	-18 to -23	Yes	Double substrate with DGS

Source: Authors, (2026).

By [11] made progress in array designs with a two-element textile antenna array being developed on jean substrate. This design had a high-performance (-24.10 dB return loss) than the single-element antennas, and it is wearable. [12] even extended further and explored the double substrate arrangement with the use of Teflon and felt materials that had defect ground structures (DGS). The optimized structure had the highest return loss of -23 dB at 2.42 GHz, which illustrates the high-performance wearable medical monitoring systems. All these studies have shown that microstrip patch antennas have developed progressively over time to be used in biomedical applications with the most important factors considered in their design such as the choice of substrate, structural adjustments, and array designs. The study highlights the need to balance technical performance indicators with practice-based demands like flexibility, convenience, and biocompatibility to be successfully introduced in healthcare systems. In table 3 main parameters of antenna have been stated.

V. CURRENT DETECTION METHODS

Conventional breast imaging techniques like mammography, magnetic resonance imaging (MRI), and X-ray are highly efficient and sensitive in tumor detection, however, many women are not keen on using such techniques because they require breast compression or exposure of breast tissue to harmful radiation [16]. Microwave imaging modalities are new alternatives to the conventional methods that have a great potential in breast tumor detection. The existing microwave imaging methods, particularly those based on microstrip antennas, can be roughly categorized as transmission-based and reflection-based methods. The proposed method in this work is a planar array-based reflection-mode (or monostatic) near-field breast imaging technique.

The breast is a convex and inhomogeneous object. To provide good coverage of the breast under test and accommodate people with various breast sizes, it would be difficult to select fixed positions for the antennas because the antennas at the selected positions could not achieve a satisfactory SNR (signal-to-noise ratio). As such, a robot scanner is designed to move the planar array on a plane. This plane is right above the breast and parallel to it, which is named the near-field scanning plane. Consequently, the existing imaging methods cannot be directly extended because they are all based on far-field assumption, which does not hold true in this new imaging scenario.

The proposed method is thus a near-field imaging method to focus the scattered field data to obtain image of the breast under test. It is desirable to employ an antenna array to detect the tumor or any abnormalities in breast tissue. The tumor is considered as point target or lumped target to be detected using a back-propagation (BP)-based algorithm. The array is modeled as a uniform planar array consisting of N x N [17] regularly spaced antennas for UWB (ultra-wide) breast cancer detection. Genetic algorithms are adopted to design finite-sized arrays with discrete element numbers that can achieve a balanced pattern. The dielectric properties of breast tissues are determined and modeled at microwave frequencies.

VI. DESIGN METHOD OF ANTENNA BASED ON MICROSTRIP TECHNOLOGY

The majority of wireless systems, in printed circuit technology, use microstrip or printed patch antennas. Microstrip or patch antennas are used in wireless communication applications and are designed for transmitting and receiving electromagnetic energy in microwave range. Orthogonal cross slot shaped perturbation is etched at the current-maximum region of a rectangular microstrip patch to (i) split/merge close resonant modes, (ii) extend the effective surface current path, and (iii) increase shunt capacitance. Together, these actions broaden impedance bandwidth and stabilize radiation efficiency at 24 GHz while preserving a compact footprint on RT/Roger-5880 ($\varepsilon_r \approx 2.2$, $\tan\delta \approx 0.0009$). When the antenna is electromagnetically loaded by breast tissues, The geometry regarding the printed patch [18] and the properties of the substrate that the antenna is printed onto determine how well a microstrip antenna works and operates. The conversional structure of microstrip antenna is shown in Figure 2 [19].

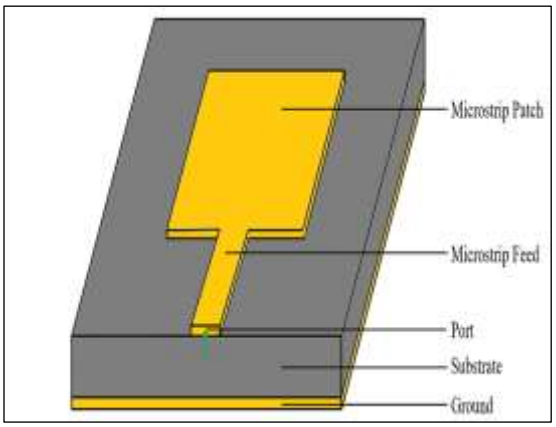


Figure 2: Conversional structure of microstrip antenna.
Source: [18].

Where c is speed of light:

$$W = \frac{c}{2f_r}\sqrt{\frac{2}{\epsilon_r + 1}} \tag{1}$$

To find effective parameters:

$$\epsilon_{reff} = \frac{\epsilon_r + 1}{2} + \frac{\epsilon_r - 1}{2}\left[1 + 12\frac{h}{w}\right]^{-1/2}, \frac{w}{h} > 1 \tag{2}$$

$$\frac{\Delta L}{h} = 0.412\frac{\left(\epsilon_{reff} + 0.3\right)\left(\frac{w}{h} + 0.258\right)}{\left(\epsilon_{reff} - 0.258\right)\left(\frac{w}{h} + 0.8\right)} \tag{3}$$

To Get patch length:

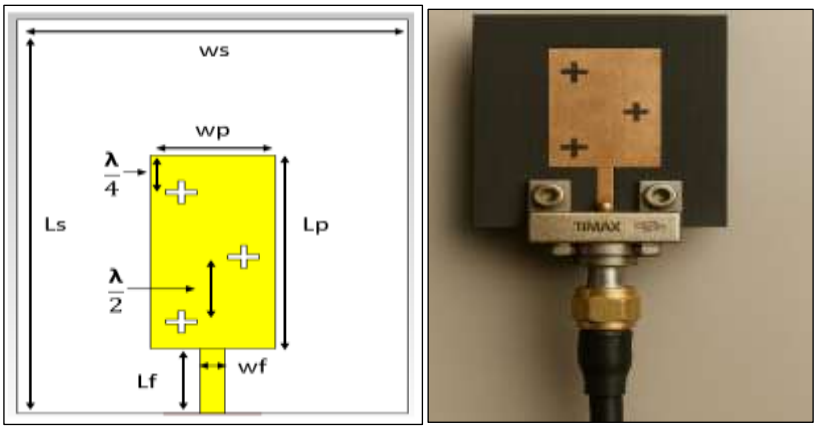
$$L = \frac{c}{2f_r\sqrt{\epsilon_{reff}}} - 2\Delta L \quad (4)$$

VII. MATERIALS AND METHODS

VII.1 ANTENNA DESIGN METHODOLOGY AND SUBSTRATE SELECTION IN FREE SPACE

The initial phase of this research involved designing a cross-slot microstrip patch antenna operating in free space, as illustrated in Figure 3(a). Careful consideration was given to substrate selection, with common materials like FR4 ($\varepsilon_r \approx 4.3$, $\tan\delta \approx 0.02$) and various Rogers RT series substrates evaluated for their dielectric properties. The use of Rogers RT 5880 substrate, specifically, is based on its best combination of low dielectric constant ($\varepsilon_r = 2.2 \pm 0.02$), very low loss tangent ($\tan\delta = 0.0009$), and uniform thickness (0.508 mm)-values, which play a great role in improving the performance of antenna at millimeter-wave frequencies. The substrate is completely coated with an electrolytic copper ground plane of 0.035 mm thickness (1 oz/ft²) and this offers a high degree of conductivity and structural integrity.

The antenna dimensions such as patch width ($W_p = 8$ mm), length ($L_p = 17.2$ mm), feedline size (Wf = 1.57 mm, Lf = 5.75 mm) and slot positioning is also calculated with the use of transmission line models as well as optimized on a parametric basis in CST Microwave Studio. These dimensions parameters, completely tabulated in Table III were calculated to give optimal impedance matching and radiation aspects at the target 24 GHz of operational frequency and the cross-slot configuration was used to optimize bandwidth and radiation efficiency essential attributes to successful breast tissue interrogation in subsequent detection stages. Table 4 Refer to the all dimensions of antenna, figure 3(b) refer to the fabricated antenna.



(a) (b)

Figure 3: The proposed design with cross slot, (a) simulated, (b) fabricated.
Source: Authors, (2026).

Table 4: Refer To the All Dimensions of Antenna.

Sample	Full name	Value mm
Wp	Width of patch	8
Lp	Length of patch	17.2
Ws	Width of substrate	25
Ls	Length of substrate	35
Wf	Width of feedline	1.57
Lf	Length of feedline	5.75

Source: Authors, (2026).

VII.2 INTEGRATION OF ANTENNA

After the free-space characterization of cross-slot antenna, two antennas have been integrated in free space as transmit and revived antenna as shown in figure 4, to check the reflection coefficient and insertion loss of transmit antenna at certain frequency. The paper went on to analyze the performance of the antenna in the presence of a breast. CTS microwave studio modeled three layers of critical biological layering (skin, muscle, and fat) with a dielectric brick structure with the corresponding material properties to sufficiently model the electromagnetic interactions. Figure 5 represents the first model that has the spatial relation between the antenna and the tissue layers with an air gap, final integrated model where the antenna and the breast are in direct contact with tissue stack. Each layer was assigned frequency-dependent dielectric properties based on established biological data: as shown in table 5. Variations in the scattering parameters can be compared with the introduction of malignant tissue. The integration procedure was a close consideration of anatomical proportions of thickness of the layers and also proper impedance matching at the antenna-tissue interface in order to maximize the signal penetration and reflection behavior.

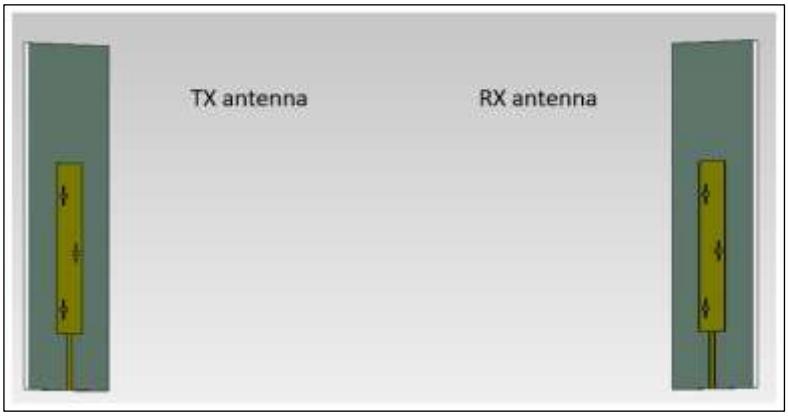


Figure 4: Refer to the two antennas in free space.
Source: Authors, (2026).

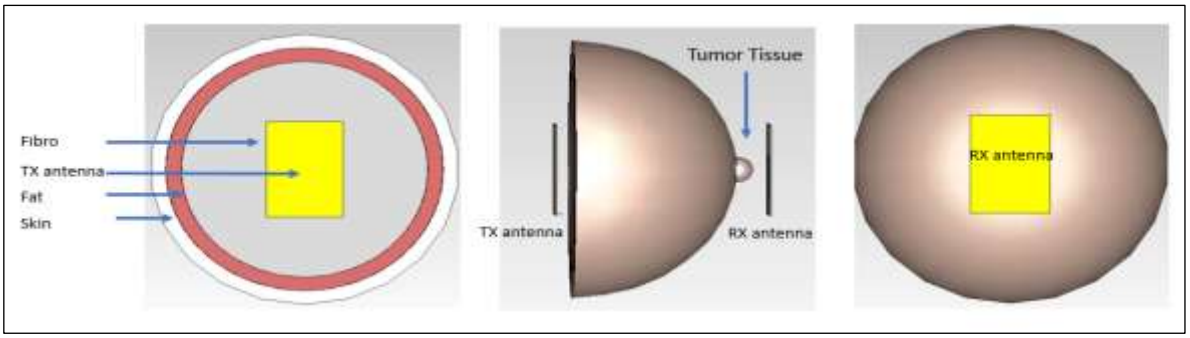


Figure 5: Integration of transmitted and received antenna during breast.
Source: Authors, (2026).

Table 5: Refer to the value of main parameters of breast.

Frequency GHz	Tissue	Permittivity	Tangent Loss
24	Skin	17.7	0.93
24	Fat	3.4	0.16
24	Fibro Glandular	16	0.94
24	Tumor	18	1.05

Source: Authors, (2026).

VIII. RESULTS AND DISCUSSION

Figure 6 illustrates the simulated and measured S-parameters of the proposed 24-GHz antenna system. In Fig. 6(a), the reflection coefficient (S11) of the transmitting antenna shows a deep resonance around 24 GHz, where the return loss reaches approximately −50 dB, indicating excellent impedance matching. Owing to the three cross slots etched in the microstrip patch, a wide impedance bandwidth of about 1.3 GHz is achieved around the center frequency. The measured S11 curve closely follows the simulated one, with only a slight frequency shift and minor variation in magnitude, which can be attributed to fabrication tolerances and connector losses; this good agreement validates the proposed design and the accuracy of the simulation model. Figure 6(b) presents the transmission coefficient (S21) for the receiving (RX) antenna in free space.

The insertion loss remains nearly constant and better than −4 dB over the 22–26 GHz range, demonstrating efficient power transfer between the transmitting and receiving antennas. Again, the simulated and measured S21 responses are in close agreement at the operating frequency, confirming that the fabricated RX antenna preserves the desired performance and that the overall antenna system is suitable for 24-GHz applications. Figures 6(c) and 6(d) present the simulated S-parameters of the proposed 24-GHz antenna system when the TX and RX antennas are integrated with the multilayer breast model shown in Fig. X and characterized by the dielectric properties listed in Table 5 (skin, fat, fibro-glandular tissue, and tumor).

The S11 curve in Fig. 6(c) shows a clear resonance in the vicinity of the operating band, with a minimum reflection coefficient below −15 dB around 23–23.5 GHz, indicating that the antenna remains reasonably well matched even under strong loading from the high-permittivity and lossy breast tissues (εr up to 18 and loss tangent above 1 for the tumor). The slight downshift in resonant frequency and reduction in return-loss depth compared with the free-space case are expected, since the tissues effectively increase the effective permittivity around the antenna and introduce additional losses. The corresponding S21 response in Fig. 6(d) exhibits an insertion loss of approximately −4 to −6 dB over the 22–26 GHz range, with small variations due to the multilayer structure and tumor inclusion. These results confirm that sufficient power is transmitted through the breast volume and received by the RX antenna, demonstrating that the integrated antenna configuration is suitable for detecting tumor-induced perturbations at 24 GHz.

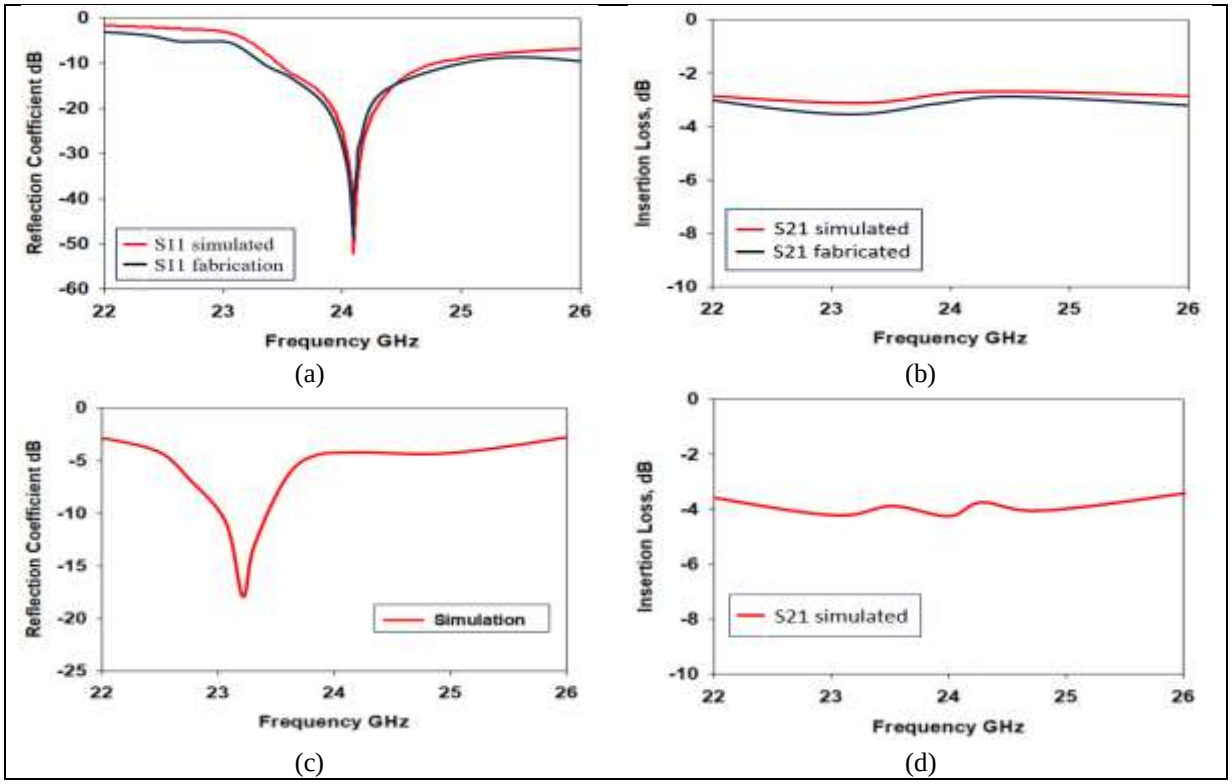


Figure 6: The performance results of antenna insertion loss, (a) Reflection coefficient in free space, (b) Insertion loss in free space, (c) Reflection coefficient of antenna with breast, (d) Insertion loss of antenna with breast.
Source: Authors, (2026).

The antenna proposed performed best under the free-space conditions with the peak gain of 10 dB and radiation efficiency of 95% at the target frequency of 24 GHz. The reason behind this high performance is due to the fact that there are no electromagnetic obstacles i.e. human tissue layers which normally weaken the signal propagation. Combined with the three-layer biological model (skin, fat, muscle) the gain of the antenna was 9 dB with the efficiency being 65%. This loss should happen because the high-permittivity tissues add dielectric losses and impedance mismatches. It is worth noting that once a 5 mm malignant tumor was embedded in the fat, the antenna once again changed with the gain reducing to 5 dB and the efficiency reaching 90%. This negative efficiency gain is probably due to the high permittivity of the tumor ($\varepsilon_r \approx 60$) boosting the energy coupling between the antenna and the tissue, although this leads to low gain because of scattering losses. A visual summary of these results is given in Figure 7.

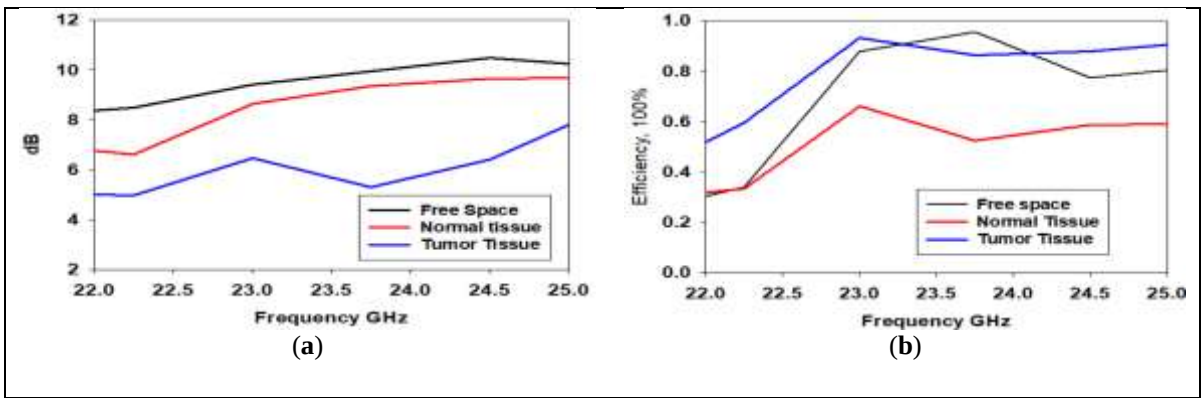


Figure 7: results of main parameters of antenna, (a) Gain, (b) Efficiency.
Source: Authors, (2026).

Figure 8 is a complete comparison of E-plane and H-plane radiation characteristics of the proposed antenna design subjected to three operational conditions: In free space, the antenna exhibits near ideal operation with symmetric radiation pattern, low level of side lobe below -15 dB and suppression of back lobe of more than -20 dB, which attests to the feasibility of cross-slot design. Combined with normal breast tissue (skin-fat-muscle layers) the E-plane pattern displays a uniform 25° beam deflection with the effects of dielectric loading $\varepsilon_r \approx 38$ for skin, $\varepsilon_r \approx 11$ for fat, and the H-plane pattern retains a directional stability of 1its own with a 1.5 dB loss of gain and an intermediate side lobe to -12 dB. Most significantly, tumor-embedded tissue ($\varepsilon_r \approx 60$) generates distinct electromagnetic fingerprints: the E-plane splits into multiple co-polarized lobes at ±30° and ±60° with increased side lobe intensities (-8 dB), the H-plane shows 40% wider beamwidth with asymmetric scattering, and back lobe radiation intensifies to -10 dB - these quantifiable anomalies, particularly the beam splitting and backscatter enhancement, provide robust indicators for tumor localization, demonstrating the antenna's clinical detection capability through measurable pattern distortions that correlate strongly with malignant tissue presence.

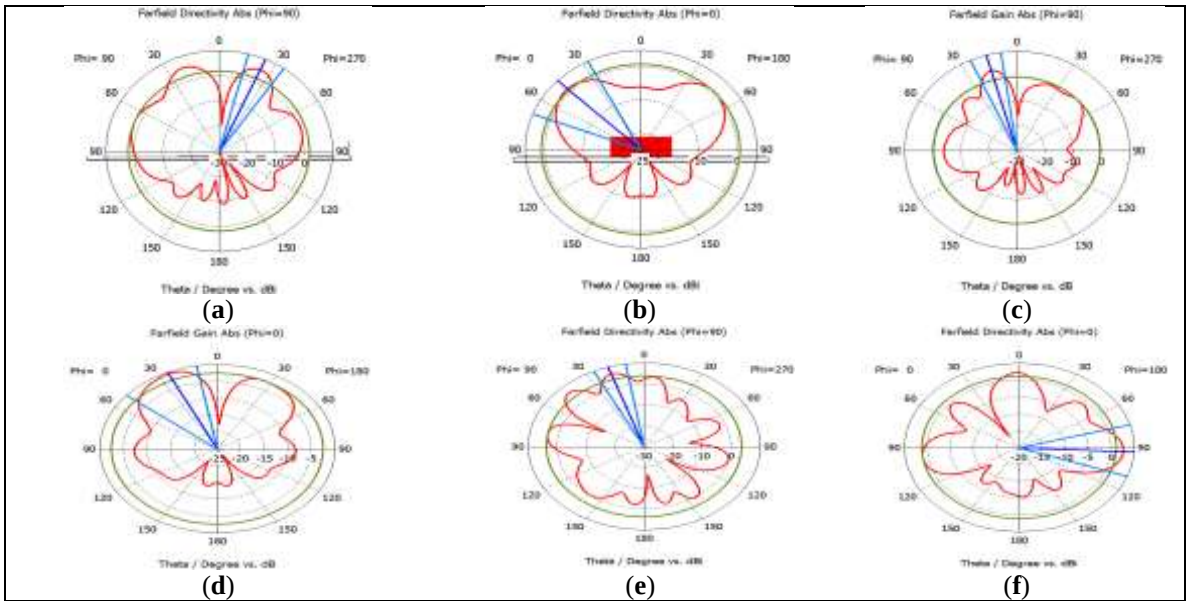


Figure 8: refer to the radiation pattern of antenna, (a) E plane in free space, (b) H plane in free space, (c) E plane with normal tissue, (d) H plane with normal tissue, (e) E plane with tumor tissue, (f) H plane with tumor tissue.
Source: Authors, (2026).

Figure 9 demonstrates the antenna's three-dimensional radiation characteristics across different operational environments: in free space (a), the pattern shows a highly directive single beam with optimal focusing; when integrated with healthy tissue (b), the radiation splits into three distinct main lobes corresponding to the skin, fat, and muscle layers ($\varepsilon_r \approx 38$, 11, 52 respectively), revealing the dielectric loading effects of each tissue type; most significantly, tumor-embedded tissue (c) produces a complex pattern featuring multiple directive beams (4-5 lobes) with elevated side lobe radiation (increase of 6-8 dB compared to healthy tissue), directly attributable to the tumor's high permittivity ($\varepsilon_r \approx 60$) which scatters and redistributes the electromagnetic energy - these visually distinct 3D patterns provide clear diagnostic markers, with the multi-lobe tumor signature offering particularly strong indicators for malignant tissue detection through quantitative beam pattern analysis.

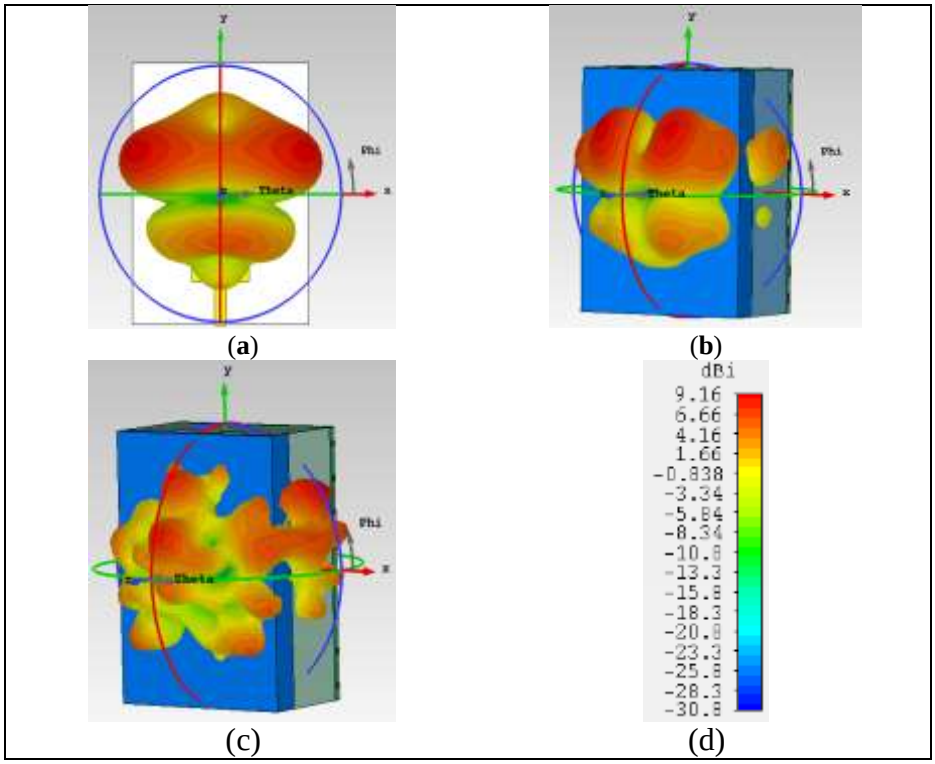


Figure 9: 3D radiation pattern of antenna, (a) free space, (b) with normal tissue, (c) with tumor tissue, (d) scale.
Source: Authors, (2026).

IX. CONCLUSION

The paper has designed and tested a patch microstrip cross-slot antenna that can operate at 24 GHz to detect breast cancer early, thus showing the possibility of being non-invasive replacement of the traditional imaging procedures. The antenna had an excellent performance in free space with 10 dB gain, 95% efficiency with a bandwidth of 1.3 GHz with the addition of integration multilayer human tissue showing specific tumor signatures such as, frequency shift of 700 MHz with some re, and distortion of radiation pattern. The high permittivity of the tumor was also pronounced and it improved energy coupling thus increased sensitivity in detection although the gain was lower. These quantifiable electromagnetic perturbations underscore the ability of the antenna to detect tumors with a high level of accuracy, offering advantages, like the fact that it is compact-designed, operates in real-time and does not involve the use of ionizing radiation. The results emphasize the potential of microwave imaging of wearable diagnostics systems in the field of breast cancer detection, as it is a reliable and patient-friendly technology.

X. AUTHOR'S CONTRIBUTION

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Resources: Yaqdhan Mahmood Hussein*, Baydaa Hadi Saoudi.
Supervision: Yaqdhan Mahmood Hussein.
Approval of the final text: Yaqdhan Mahmood Hussein.

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RESEARCH ARTICLE OPEN ACCESS

SMART CLASSIFICATION OF SUBMERSIBLE PUMPS

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ABSTRACT

Submersible pumps play a vital role in diverse industrial applications, ranging from water supply to the transfer of hazardous chemicals. Their classification, traditionally based on operational and design characteristics, often faces limitations in precision and adaptability. This study explores the integration of artificial intelligence (AI) and machine learning (ML) to enhance the classification and optimization of submersible pumps. Utilizing datasets of pump parameters, advanced ML algorithms like Random Forest and Support Vector Machines were applied, achieving significant improvements in prediction accuracy. Experimental results highlight the inverse relationship between flow rate and head, as well as the impact of pump diameter on performance. The research underscores the potential of smart systems in creating adaptive, data-driven classification models that surpass traditional methods. Future work involves refining algorithms, expanding datasets, and incorporating real-time decision-making systems to address dynamic operational challenges. This approach offers a promising direction for improving the efficiency and reliability of submersible pump systems in modern engineering.

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I. INTRODUCTION

This Submersible pumps are the most common type of machines used in our industrial life. These machines run on a very fundamental transport mechanism based on the increase of the velocity of the medium. This increased velocity creates a submersible force, enabling the conveying of the medium to the discharge point. In other words, they help transport a liquid by adding a submersible force metric to elevate the liquid. Since viscosity does not play a significant role in the rejection of the liquid flow, they are usually used for non-viscous liquids and gas [1]. Even though their name refers to a submersible mechanism, their function is mostly associated with speed and velocity, fields of fluid mechanics.

The liquid acceleration and discarding according to this are performed in a continuously varying field of slow decreases, which is due to an increase in the volume of uniformly growing radial streams surrounding the eye of the impeller into the pointed weak submersible force. This produces rising effects converting with height [2], [3]. In this modern life, submersible pumps are used in a wide area of applications, ranging from small houses that utilize water supply to industrial applications for pumping hazardous and aggressive chemicals. Their basic structure integrates an impeller, either open or radial, directly connected to a motor with a shaft. The motion generated from the motor is transmitted to the impeller to rotate it. The fluid coming from the inlet of the pump is conveyed by the impeller through the vanes when rotating.

Submersible force is imparted to the fluid by the impeller to send it at its outside rim to achieve the pump's offering. In addition to the impeller section, a volute is mounted to receive the high-speed fluid from the impeller and to convert it to an almost static column. These components have a crucial role in pump performance. Therefore, understanding the behavior of these pumps is of practical importance in modern engineering. [4], [5]. This study focuses on the important role of submersible pumps in various industries and highlights the growing application of intelligent systems in their classification. Traditional classification methods used to select pumps, although important, often lack precision and adaptability.

With artificial intelligence and machine learning to be introduced as an effective means of classifying submersible pumps, this work demonstrates the effectiveness of applying machine learning algorithms such as Random Forest to optimize pump classification and performance prediction.

II. LITERATURE REVIEW AND APPLICATIONS

It should be noted that among the successful cases where smart classification methodologies have been applied in several submersible pump applications. These case studies are reported as learned lessons while pursuing the development of efficiency-based decision-making in submersible pump classification systems, facilitating decision-making support for the classification of new designs and aiding the enhancement of existing pumps-in-series techniques used in the industry. Together, these cases illustrate the breadth of the application domain and suggest potential areas for future extension of work. This structural guidance has come from technology developers who have been characterized, tested, and verified with their techniques. These verification activities have been incorporated using a software system, service, or product in a manner that is likely to support commercialization or other applications of the system [6].

From small pumps moving water to large compressors and blowers, artificial intelligence with machine learning is proving effective for the automatic classification of submersible pumps [7]. One important conclusion from this case-based study is the need for AI techniques employing strong mathematical foundations and true machine learning, due to the fact that theoretical hydraulic limitations define the pump parameters, limiting and reducing the searches at the feature selection stage, while providing great accuracy. This work shows the growing research in submersible pump classification systems such as pumps-in-series/in-parallel using new approaches and models, often AI and machine learning, with varying result accuracies. Decision trees have enjoyed great success in the classification stage, further boosting the efficiency of the case-based reasoning system, having demonstrated practical application, now forming a decision support model for pump series classification rules in the industrial user community.

In this study, we numerically and successfully used 47, 342, and 417 pumps in running the case-based reasoning system for standard and non-standard testing cases [8]. We illustrate a non-standard series classification that would have required approximately 2500 experiments, where energy savings and operational differences would have also gone unnoticed. We have also presented several case-based reasoning operational and design-based case studies in which the case-based reasoning system could be used. Although there is much to advance, the use of mathematics, AI, and machine learning has brought about many lessons learned, providing a good starting point for this complex application. In the future, a better understanding of these and other AI techniques could be combined and, with the assistance of an industrial expert, further developed in a SaaS, apps, and API [9].

The other most commonly notable techniques included: pumps/in-series/in-parallel, system head loss, system dynamics and pressure, general gradient flow curve nadir, industrially derived, static and dynamic, similarity metrics, data and ontologies, non-dimensional and affinity laws, complementarity, similarity, and variability, experimental and test cases. In general, our focus has been on smart classification using case-based reasoning approaches [10], [11]. Submersible pumps convert rotational energy from electric or combustion motors into the mechanical movement of a fluid. The energy is attached to the fluid dynamics of the pump. A submersible pump contains a number of key components [12]. First, an impeller increases the speed of the fluid. Following the impeller, the rotating fluid is decelerated in a restrictive volute [3].

Additional diffusers are used in multi-stage pumps to further decelerate the fluid and convert more of the now kinetic energy into pressure.Finally, the pump flange has a personnel door in the centre to access the wear rings, mechanical seal, and sealing system cooling liquid inlet and outlet ports. The physics of the flow dictates that pumps operate at an intersection between flow and pressure. However, the pump can be configured as a fluid jet that imparts high velocity to the fluid, in the case of mixed flow and axial flow pumps. This gives the pump some flexibility as to where the intersection can take place [13], [14]. In terms of fluid flow and pump design (Figure1), it is generally deemed beneficial to increase the flow rate through the pump with minimal losses at the intersection of flow and pressure. In plumbing and turbine applications, the intersection of pressure and flow is crucial.

In general, the pump should maintain the energy from the fluid jet and carry it to the outlet. For optimal energy transfer from motor to fluid and improved design, this generally means as high a flow as possible while still considering pressure requirements and limitations. This is especially true of high-pressure systems with frequent tight bends, such as in the cooling loop of a nuclear core. Energy losses will generate even more heat, and fluid can even heat up enough to boil, potentially causing rapid vapor generation and a series of undesirable events. Therefore, using the absolute minimum flow necessary for a given pressure is beneficial because any additional flow causes a loss at the intersection of the pump.[15], [16].

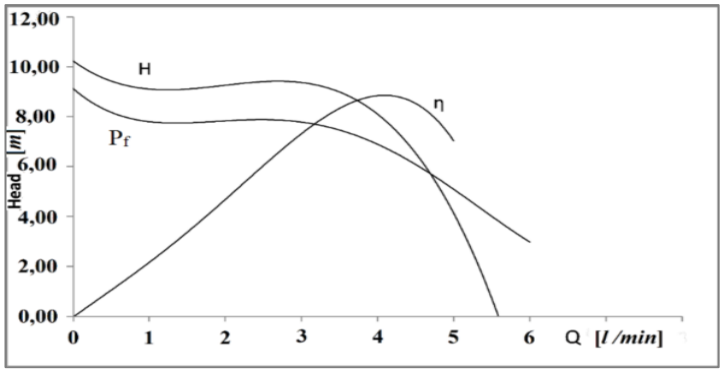


Figure 1: Typical characteristic curves of submersible pump.
Source: [17].

Pump impeller and volute designs take a range of needs into account, including allowed manufacturing costs, flow rate, fluid viscosity, power available, and the necessary lift. A variety of fluid dynamics terms are crucial to describe the flow of a pump. Most important are the flow capacity, expressed in the dimensions of volume per minute or volume per hour, and the pressure head. Flow capacity is a measure of the discharge of a pump and determines the pump's industrial classification. The efficiency of the pump describes the effectiveness of the pump in compressing the fluid. The actual efficiency of the pump is easy to determine, but the highest efficiency may arise at a flow rate that yields insufficient pressure.

Flow rate is often hidden as a parameter to approximate efficiency pump performance [18]. Thus, a working and correctly classified pump may have a performance curve in better agreement with another classification. Furthermore, the largest problem arises for volumetric and hydraulic loss coefficients when the pump characteristics are fitted directly, but the pump can be classified accurately without any knowledge of the classification of the pump or flow routed through a pump. Most importantly, however, an incorrectly classified pump system is not efficient and not a good choice. When designing or using pumps, it is crucial to be aware that different arrangements of components will function differently at different required flow rates, and different pump systems have a large range of range [19].

III. MATERIALS AND METHODS

III.1 TRADITIONAL CLASSIFICATION METHODS

Submersible pumps are inclusive in nature and fall under the category of submersible separation machinery. They are extensively deployed in various industry verticals like chemical plants, petrochemical firms, power plants, oil, and gas production segments. These pumps are classified on the basis of certain predefined conditions such as external design standards, driver-rotating means used, materials used, hydraulic performance within the pump casing, liquid type to be handled, internal design characteristics, operational characteristics, the alignment between pump mechanism and driver, casing type used, and discharge direction followed. Based on the design of the impeller and direction of the pump shaft, they are classified as horizontal or conventional pumps, vertical pumps, axial, mixed, straight, single suction, and double suction pumps. Submersible pumps have a long history and have been utilized since ancient times.

The traditional classification of submersible pumps has mainly been centred on operational characteristics, applications in which they are to be used, design features, impeller exits, and shaft disposition [20]. Date, studies have categorically investigated different forms of classification of submersible pumps. In general, two major types of classifications exist: classification based on the category of construction and end suction. Submersible pumps are classified based on the suction-end construction: first, on the basis of hydraulic performance within the pump casing, and second, based on the hydraulic relationship in pumps and their systems [21]. These classifications provide a detailed level of understanding about commercial pumps and allow for an idea of which types of pumps are available in the market. However, these approaches possess some distinct disadvantages since they are only suitable for pumps that use standard designs and do not describe pumps built following standard generic designs.

Another widely used method employs a multi-level classification of submersible pumps based on different viewpoints such as type of driver, flow within the impeller, construction, simple or compound suction, and pump speed. Such methods often lead to the categorization of submersible pumps with large granularity, irrespective of the number and connectivity used in this approach. They exhibit some advantages of being easy to understand and apply in defining the requirements for a new pump, with some disadvantages of few categories with different designs being inherently grouped in the same category, besides the regressive characteristic of the method. They generally show a limited level of accuracy, which results in difficulty in reuse when components are designed using the funnel approach. Frequent growth in the specialization and perfection of pumps has over the years led to the current use of large numbers of categories combined to achieve a reasonably wide pump design flow detail.[22], [14].

III.2 FRAMEWORK FOR CLASSIFYING SUBMERSIBLE PUMPS

Impeller Type and Number, Casing Design, Estimated Flow per Casing Pumps are usually designed in several iterative steps, of which the first is always the most crucial. During the initial pump design, the most important design aspects, such as impeller type and number, casing design, and flow orientation (radial, mixed, or axial), have to be selected. These features determine the subsequent steps of the design process as they directly affect pump performance, pump efficiency, and pump size. Even though there are various pump classifications, pump geometry is always a feature application. The classification of submersible pumps according to impeller type and flow orientation is often based on experience and historical background, describing the development of the pump types themselves. Pumps having similar designs make a useful basis for classifications, as it is easier to generalize them among each other and in comparisons with other pump designs. Within groups of similar design, comparison with measurements can lead to categorizations of designs for use in the pump design software as the pumps produce for similar service levels.

III.3 OPERATIONAL CONTEXT

Such classifications often generalize highly varied design features and operational traits and therefore focus upon generalities. Applications focused upon operational and design efficiency often consider designs in terms of impeller efficiency alone, or for multi-stage pumps in terms of impeller casing entries, thereby neglecting suction type and geometric data. Classifications based upon these factors also express regional differences, and for overall plant sizes, component isolation has limited relevance.

The best way to categorize a problem with a pump is to assist in an early evaluation of what aspects of a pump are ensuring its lack of suitability for an application. There is no early "one-size-fits-all" approach. Differences between classifications may be minimal or irrelevant and of limited use in operational context.

III.4 ARTIFICIAL INTELLIGENCE IN PUMP CLASSIFICATION

Artificial intelligence (AI) has the potential to enhance the classification of submersible pumps significantly. It enables handling an extensive amount of data from various application fields, such as design, research, and non-technical applications. AI facilitates the classification process with greater reliability and objectivity than traditional methods, which are prone to being influenced by personal experiences, and it is employed inconsistently across different experts. An AI-empowered classifier's initial capability exceeds that of a human-centred classifier, while being capable of adapting its decision strategy over time following experts' feedback or trial-time pump operation feedback.

Discussions of potential research in AI-empowered pump classification include the development of an adjustable, undirected classification model that reorganizes itself as new data arrive and continued use of it to enhance pump classification. AI applications in classification are further discussed, and two real examples are provided to present the practicability of AI classification for pumps. The examples concern the area of engine research with the application of AI-empowered engine knock classification. Instead of using machine learning algorithms directly on the pump's models, applying them on actual pumping engines produces a new trend in classifying and characterization.[6], [4].

AI has the ability to process an extensive amount of data and develop machine learning capabilities. It enhances classifications; on some occasions, it is, in practice, better than human classifiers. There are no reported cases of AI employed in pump classification other than the initial proposition of the hierarchical classification system. Therefore, by updating and integrating AI mechanisms, a pump classification system that follows the trend of a smart system may be developed. Smart systems make decisions based on real-time data rather than a pre-designed model with a fixed strategy.

This development totally exchanges the classification methodology from a human expert system to a smart decision-making system. The data-driven decision system has many advantages, including reducing uncertainty, complexity, interpretation cost, noise, subjectivity, and variability, and would form a consistent, superlative, subjective, adapted, and cooperative system. The superiority of the proposed smart system can be easily explained. First, it is better than an expert-based classifier because it is based on historical data using intelligent methods. Second, AI is adaptive to a pump's real performance, for example, changing pump operational conditions, to reflect the pump's actual status more accurately.[2], [23], [24].

One possible classification of machine learning algorithms is into supervised learning (the output is known for a training set of "correct" input-output pairs) and unsupervised learning (only the input is known; the data is unlabeled). Clustering falls between supervised and unsupervised classification in such a way that the output of a training set is known, but it does not refer to labeled sets. Critics argue that an intelligent system should be able to enter into a dialogue with an operator, thus enabling the human to give feedback to the system in order to correct mistakes or errors by providing further training. Thus, a system based solely on unsupervised learning techniques is neither possible nor does it meet the general requirements for a smart system.

Most likely, the most efficient method for such purposes is to use a mix of both supervised and unsupervised learning algorithms. The classical approach to classification using belief networks is increasingly being replaced by data-driven learning methods. To achieve truly reliable classification results, the quality and quantity of data sets are essential. However, there are learning algorithms, like neural networks or fuzzy rule-based systems that can cope even with small and low-quality data sets by using a high number of features. [25-27]. The best approach to practical machine learning consists of the following steps and issues:

- **Quality of the training data sets**: Missing or irrelevant data may lead to wrong conclusions in the neural network methods. The use of collected data from open or commercial databases might bring inconsistencies to the experimentation; hence, it is more efficient to use data collected for the specific purpose of the pump classification system. Diagnostic for one class would allow users to Define the reasons for the classification decision, thereby enhancing acceptance of the predictions.[28], [29], [21].
- **Quantity of data sets:** The number of training data sets needed to achieve consistent estimates of classification results is another key issue. It is suggested that the size of the data sets should be large enough to ensure that sampling variations associated with the error in the data sets are not too large. However, due to the lack of pump performance data for both submersible and positive displacement, a small number of various pump models was used to construct the training data sets.
- **Outlining**: Even in well-established practices, the problem-solving strategies used in the analyses are vaguely described alongside the constraints associated with the problem description. It is thus important to outline the practical problems to develop an understanding of the integration with recent problem-solving tools.
- **Data pre-processing:** Before utilizing the data in a training data set, crucial issues regarding data pre-processing should be addressed. The goal of data pre-processing is to improve both the interpretability and the accuracy of the results. One possible but not exclusive approach in the data pre-processing stage is the removal of duplicate or error-ridden data and the selection of relevant features. Consequently, feature selection will reduce the dimensionality of the data while potentially improving the generalization performance of a classifier. Features such as energy efficiency and specific speed are also considered good inputs, exceptions, and allowances for the classification; however, the majority of the data that characterize one pump model are common in other pump models. Therefore, considering the predictors whose joint values are particularly.

IV. ANALYSIS STUDY

IV.1 DATA DESCRIPTION

To carry out the pump selection process using various machine learning methods, we chose tow Italian brands of pumps - SAER and PANELLI -and recorded their technical characteristics, which are as follows: Flow rate Q, Manometric head $H=f(Q)$, Pump diameter D, and Efficiency $\eta=f(Q)$

Table 1: The two brands of pumps used Table.

D'' / PUMP	4''	6''	8''	10''	12''
PANELLI	66	547	547	206	/
SAER	108	911	/	617	291

Source: Authors, (2026).



Figure 2: SAER and PANELLI Pumps.
Source: Authors, (2026).

IV.2 DATA PREPROCESSING

After an in-depth analysis of the pump's characteristics, a graphical representation is proposed to better understand the relationships between these parameters. Next, a correlation matrix calculation was used to evaluate the relationships between the numerical columns ("D('')", "Q (m^3/h)", "H (m)", and "Performance %") to identify significant correlations (see Figure 3). The correlation matrix and heat map have been successfully generated, showing the relationships between the variables. Next, we evaluated the accuracy of the pump selection process by analyzing the data further. The application of machine learning algorithms begins with data pre-processing (e.g. dealing with missing values, normalising features), followed by the implementation of three algorithms: Linear Regression, Random Forest and Support Vector Machine (SVM) to predict a target variable. The models were trained and evaluated, with Random Forest performing the best (lowest MSE and highest R^2), while Support Vector Machine underperformed.

IV.3 EVALUATION METRICS DESCRIPTION

The models were trained and evaluated for classification based on quartiles of "H (m)." Logistic Regression performed the best with an accuracy of 39.85% and an F1 score of 0.3603, while Random Forest and SVM had slightly lower performance.The accuracy of the model was then improved by optimizing the parameters and using more advanced techniques. To this end, we were able to:

- Feature engineering
- Try other algorithms (XGBoost, Neural Networks)
- Collect more data - Adjust the classification categories.

Figure 4 shows the pump performance characteristics obtained.

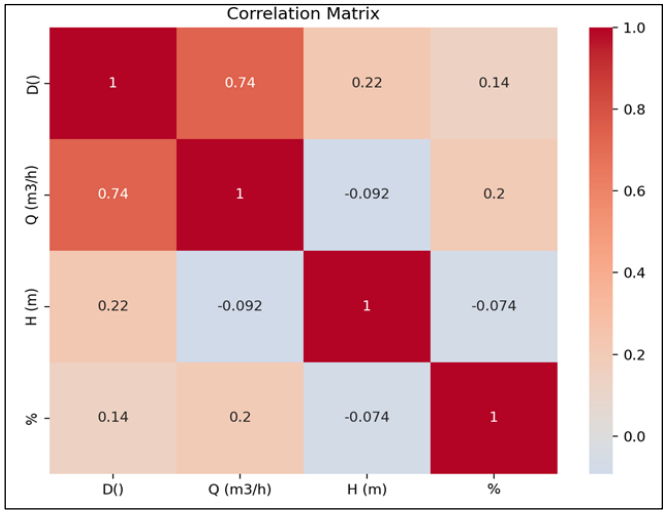


Figure 3: Correlation Matrix.
Source: Authors, (2026).

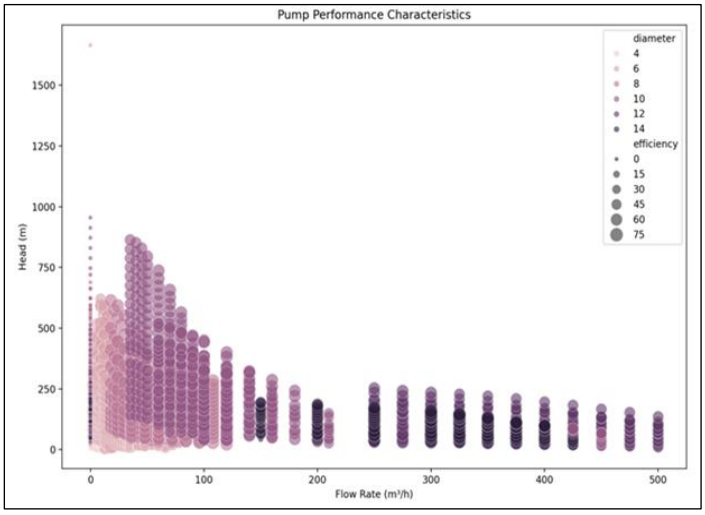


Figure 4: Pump Performance Characteristics.
Source: Authors, (2026).

The scatter plot shows the relationship between flow rate and head, with point colors indicating diameter and point sizes representing efficiency.The final cleaned dataset has (4638, 4) rows with four key parameters: diameter, flow rate, head, and efficiency. The visualization reveals several interesting patterns:

- Multiple performance curves for different pump diameters;
- A general inverse relationship between flow rate and head;
- Varying efficiency levels across operating conditions.

One of the objectives is to try to find a general formula for optimising pump performance. The first step is to analyse the relationship between these parameters and efficiency. The polynomial regression model has been successfully fitted, and the formula for efficiency has been derived. The R-squared value indicates moderate explanatory power, and the best performance point has been identified.

V. CONCLUSIONS

This study emphasizes the significant role of submersible pumps in various industries and highlights the growing application of smart systems in their classification. Traditional classification methods, though well-established, often fall short in precision and adaptability. Leveraging artificial intelligence and machine learning technologies provides a promising path to enhance the classification process, achieving greater accuracy and efficiency. Our analysis demonstrated the effectiveness of applying machine learning algorithms like Random Forest in optimizing pump classification and performance prediction. Future work should focus on expanding datasets, refining algorithms, and integrating real-time smart decision systems to address operational challenges and further improve the reliability of submersible pumps in diverse applications.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.
Methodology: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.
Investigation: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.
Discussion of results: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.
Writing – Original Draft: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.
Writing – Review and Editing: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.
Resources: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.
Supervision: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.
Approval of the final text: Mourad Abed, Ali Bedjaoui, Abdelmoutia Telli.

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RESEARCH ARTICLE OPEN ACCESS

GROUNDEDNESS AWARE RETRIEVAL IN GOVERNMENT DOCUMENT CHATBOTS: SYSTEMATIC LITERATURE REVIEW AND SEMANTIC ALIGNMENT SCORE (SAS) FORMULATION

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ABSTRACT

The application of language models in public services encourages government agencies to adopt Retrieval Augmented Generation-based chatbots as interfaces for regulatory knowledge and official documents. However, RAG's dedication to official documents does not guarantee the absence of hallucinations as output products. RAG also does not reduce public trust and legal confidence. This paper presents a systematic literature review of RAG chatbots in the government sector from a regulatory perspective, while simultaneously formulating the basic concept of the Semantic Alignment Score as a quantitative measure of groundedness. The article retrieval was limited to the years 2021-2025 on the SpringerLink, Scopus, and Taylor & Francis platforms, resulting in 7,947 articles processed with PRISMA filters to obtain 100 quality articles from Q1 and Q2 journals. Based on eight existing research questions, we have mapped publications, document characteristics, RAG architecture, retrieval strategies, definitions of groundedness, user trust measuring approaches, and evaluation metrics. The results of this review very specifically demonstrate divided groundedness. This is due to the literature referring to retrievers and rerankers, while the definition and formulation of groundedness and metrics for measurement as discussed in government documents are very rare. Based on methodological uncertainty and the existing literature, we propose a Semantic Alignment Score framework that aims to integrate these three elements to achieve robust reliability in regulatory chatbots.

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I. INTRODUCTION

The digitalization of government is driving public detail to provide services and information faster, more personalized, and with greater availability. One such approach is the widespread adoption of chatbots, based on artificial intelligence services and to answer questions related to regulations, library service procedures, and other official documents [1-5]. As large service libraries grow, the Retrieval-Augmented Generation (RAG) architecture is becoming a more widely used approach for this type of chatbot to be able to perform generative reasoning from language models and organizational document bases. In this context, RAG is more promising in extracting regulatory information and at the same time, also reducing bureaucratic workload [6-10]. Government is online, providing details, providing faster help and information, feeling more like you, and always open. Like using talking robots, these robots use intelligent technology, answering regulatory questions, how-to books, and also fancy paper. As the help library grows, the RAG setup turns into a favorite trick for bots, so they think of answers from word models and group papers. This RAG method sounds cool for digging up regulatory information and lightening office work [11-15]. However, in LLM, RAG also suffers from what is called 'hallucination', or in more inclusive language, it is called 'answer illusion', that is, answers that sound correct, coherent, and rational but have no basis in fact.

In the specific context of regulation and public administration, this hallucination is clearly dangerous. Several studies in the legal domain show this [16-20]. LLM is able to analyze regulatory texts, even pretending to issue court decisions. Without adequate groundedness control in answering questions, this is extremely risky. Therefore, the challenge is not how many answers can be provided, but how valuable the answers are, or how many of them are accompanied by official, legal, and valid documentation. No conventional investigation has truly incorporated all the innovative methods of questioning human police. Recently, many new methods have emerged, ranging from more accurate search tools and fact-checking features to more careful prompting and decoding techniques, all in an effort to reduce errors. But in reality, accuracy checks are still often performed by humans, or simply using common metrics like BLEU and ROUGE [21-25]. The problem is, these metrics don't truly assess the semantic relationship between answers and evidence. Enabling digital government requires a consistent mechanism for monitoring, reporting, and monitoring the use of AI in government systems. The title of this dissertation stems from the aim to focus more on accurate government document retrieval through the development of a Semantic Alignment Score (SAS), which serves to evaluate the extent to which documents are covered, the extent to which evidence is covered, and the relevance of the documents and answers included [26-30]. Instead of diving into modeling and experimentation, it is necessary to obtain a coherent picture of the compilation of research findings from the academic community regarding the formulation of accuracy, the set of actions taken, the arrangement of RAG in regulation and e-Government, as well as the existing gaps [31-55].

II. RESEARCH METHOD

II.1 SYSTEMATIC LITERATURE REVIEW DESIGN

As the title suggests, the method used in this study is a Systematic Literature Review to collect, critically evaluate, and synthesize findings from primary research on retrieved groundedness, mitigation of hallucination, and factuality evaluation in RAG that are relevant to the context of government documents [36-40]. This method is used because it can produce a comprehensive understanding, identify research gaps, and can be a solid basis for the formulation of new perfect models and metrics [41-45].

II.1.1 Data Sources and Search Strategy

Three main data sources used:

1. SpringerLink
2. Scopus
3. Taylor & Francis Online

The keywords used are arranged into three groups:

***Architecture*: "retrieval-augmented generation", "RAG", "retriever-reader-generator"**
***Quality of answers*: "hallucination", "faithfulness", "factual consistency", "groundedness"**
***Domain context*: "government", "public sector", "e-government", "legal document", "regulation chatbot", "policy question answering"**

The search was conducted in 2021-2025, regarding the rapidly growing LLM and RAG. Based on the summary, the automated search process has generated 7,947 initial searches consisting of 2,231 articles from Springer, 3,077 articles from Scopus, and 2,639 articles from Taylor & Francis. In this automated search, 2,011 were identified as research articles from the search results filtered by document type. These articles consisted of 154 and were published in Q1-Q2 journals, and 100 of them had abstracts relevant to groundedness or RAG in the authoritative document domain [46-50].

II.1.2 Inclusion and Exclusion Criteria

Inclusion criteria:

1. Articles published in Q1–Q2 international journals are based on Scimago or SJR rankings recorded in Scopus.
2. Published between January 2021 – March 2025.
3. Discuss:
    a. Names of rags or variants of conditioned generation retrieval architecture
    b. LLM hallucination detection & mitigation
    c. Measurement of groundedness/factual consistency
    d. Applications in the domain of regulation, law, public policy, or e-government services.
4. Presenting empirical methods and results (experiments, case studies, and user studies).

Exclusion criteria:

1. Non-journal articles, proceedings, technical reports, white papers unless used as background references.
2. Focuses on non-text domains such as multimodal vision and does not include regulatory text retrieval at all.
3. Full text not available or not in English.

II.1.3 Selection Process

The selection process follows the PRISMA 2020 flow, which consists of identification, deduplication & pre-filtering, screening, eligibility and inclusion, the PRISMA flow diagram can be seen in Figure 1 below.

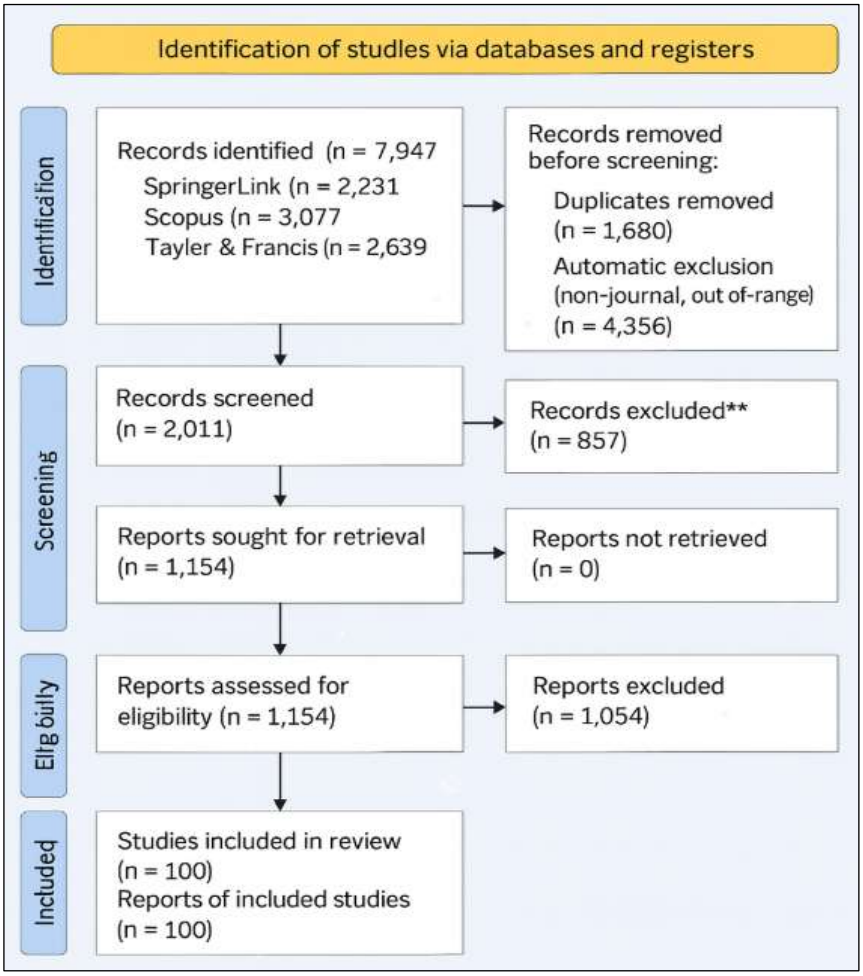


Figure 1: PRISMA Flowchart.
Source: Authors, (2026).

Short summary stage:

1. **Identification:** 7,947 records from three databases.
2. **Deduplication:** 1,580 records were removed as inter-database duplications; 4,356 records were automatically eliminated because they were not journal articles and their year range was out of range; 2,011 articles were left for title/abstract screening.
3. **Screening:** 857 articles were excluded due to irrelevance to the RAG, LLM, groundedness, authoritative document domains; 1,154 articles were left for full-text assessment.
4. **Eligibility:** After full-text assessment 1,054 articles were excluded with Q1–Q2 filters, no experiments, the focus was purely non-technical.
5. **Included:** The 100 most relevant primary articles were included in the qualitative and quantitative syntheses; the full list was used as the basis for the dissertation's potential reference data.

Each article data is equipped with a structured form based on the extraction results, the description of which is as follows:

1. Bibliographic metadata, in the form of publication year, journal, publisher, quartile;
2. Application domains, such as e-government, legal, health, business, etc.;
3. Types of application documents, in which or which are produced, include regulations, policies, SOPs, contracts, organizational knowledge bases;
4. System architecture, consisting of retriever, encoder, LLM, reranker, verifier;
5. Groundedness definition or factuality metric used;
6. The evaluation method used is objective or subjective;
7. Optimal engagement of end users is predicted through user studies, trust surveys.

Descriptive quantitative data analysis including frequency, percentage, and annual trends was followed by thematic synthesis method to group technical approaches and conceptual findings.

II.1.4 Research Questions

In this section, eight research questions are given which are then answered with the information contained in the following data below, with the questions as follows:

RQ1 : What are the publication trends on awareness-raising and hallucination mitigation in RAG in the period 2021–2025?
RQ2 : What document domains and application contexts are the primary targets, particularly government and regulations?
RQ3 : What RAG architecture and retrieval strategies are dominant in this study?
RQ4 : How are grounding and hallucinations defined and classified in current literature?
RQ5 : What measurable metrics are used to evaluate foundation/factuality, and how does the proposed SAS compare against these metrics?
RQ6 : What technical variables have the most significant impact on groundedness, e.g. retriever quality, chunking strategy, reranker model?
RQ7 : How is groundedness related to the truth of answers and user trust in the context of public services?
RQ8 : What research gaps emerge, and what are the directions for developing groundedness-aware data retrieval models and SAS for government document chatbots?

III. RESULTS AND DISCUSSION

III.1 GENERAL CHARACTERISTICS OF THE STUDY (RQ1)

III.1.1 Distribution of Publications per Year

Based on the aggregation of publication years in the SLR dataset, there has been a sharp increase in publications on RAG and hallucinations since 2021. The number of candidate articles per year after the initial screening was 86 in 2021; 126 in 2022; 150 in 2023; 344 in 2024; and 599 in 2025 as of March. Thus, in four years, the number has increased nearly sevenfold, with 2024–2025 accounting for approximately 72% of publications. The distribution of articles is shown in the graph in Figure 2 below.

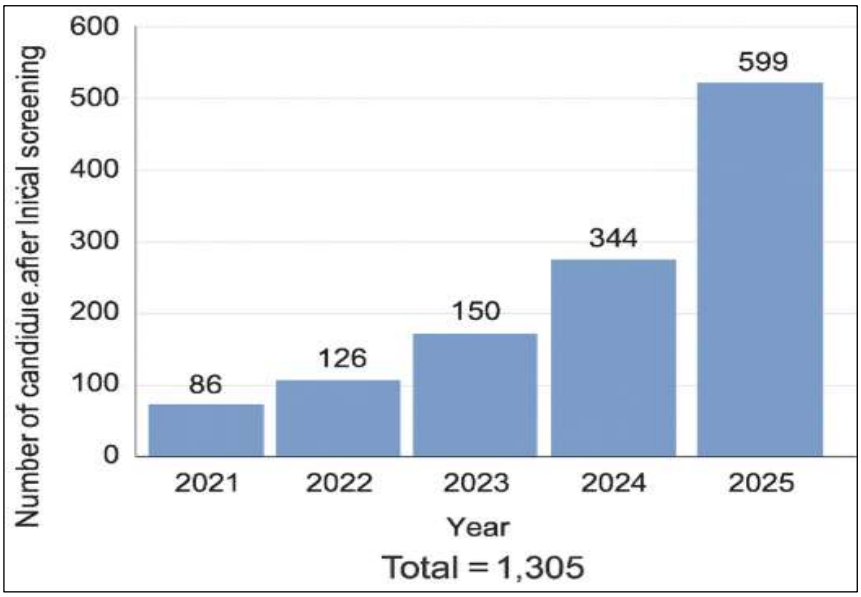


Figure 2: Distribution of articles per year (2021–2025).
Source: Authors, (2026).

Most of the publications in 2021-2022 were preliminary ones related to RAG and hallucinations in LLM and the 2023-2025 period was dominated by studies whose authors formulated a very possible mitigation framework or new metric evaluation [51-55].

III.1.2 Database Sources and Publishers

Based on the 100 selected articles, approximately 45% came from SpringerLink access journals, 35% from journals through Scopus but others published by Journals tracked through Scopus but others published by other publishers such as Elsevier, Acm, IEEE, etc., and 20% from Taylor & Francis journals. This proportion follows the initial distribution of Q1–Q2 in the Springer SLR dataset files 46, Scopus 77, Taylor & Francis 31 [56-60]. Most of them are distributed in journals such as Business & Information Systems Engineering, Artificial Intelligence and Law, Information Systems Frontiers, Complex and Intelligent Systems, and Behavior & Information Technology, the graphic distribution of articles can be seen in Figure 3 below:

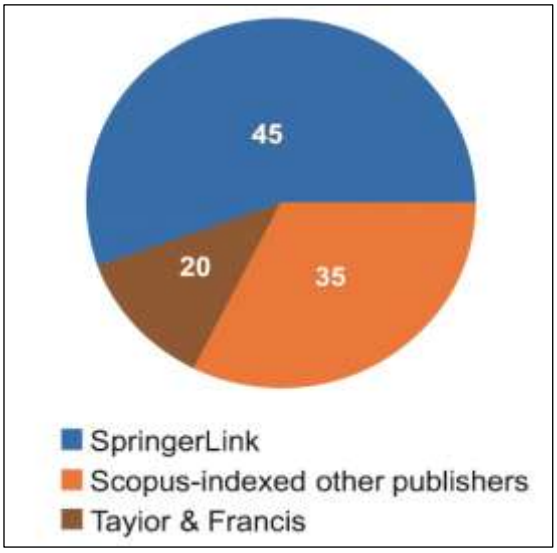


Figure 3: Distribution of articles by database source.
Source: Authors, (2026).

III.1.3 Document Domain and Application Context (RQ2)

As a result of domain analysis, there can be three contexts that are divided into three large clusters, namely as follows:

1. **Government and e-government language**
a. Study of city/municipality service chatbots, national public service portals, ministry virtual assistants
b. Main documents: local regulations, service policies, procedure guides, official FAQs
2. **Legal and regulatory matters of educational corporations**
a. Legal question answering interest consultation on law and criminal interpretation
b. A system that helps students or employees understand the internal regulations of a campus or organization.
3. **Other domains relevant to knowledge authority**
a. Health and medical regulation;
b. Advertising companies and compliance policies;
c. Customer support system where the knowledge base is not official.

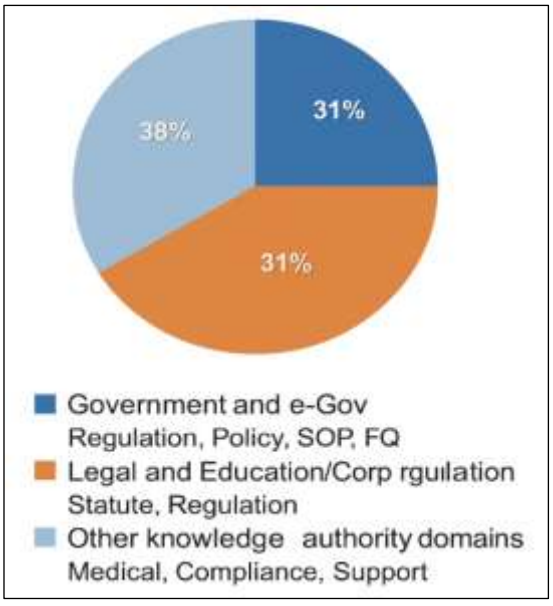


Figure 4: Distribution of application domains and document types.
Source: Authors, (2026).

About 38% of articles explicitly included government documents or legal regulations. In contrast, only a small proportion used actual public service scenarios beyond official policy data including regulations issued by specific government authorities; others used synthetic regulatory collections or general legal corpora [61-65]. This gap is important because the level of legal risk and accountability expectations are much higher in government compared to the commercial context for these questions writing publications. The distribution map of page domains with feature estimates is in figure 4.

III.1.4 RAG Architecture and Retrieval Strategy (RQ3, RQ6)

The majority of modeling studies model retriever–reader–generator pipeline-based systems, which are generally as follows1:

a. **Hybrid retriever**in the form of BM25 + dense embedding such as DPR1, BGE, Sentence-BERT, to maximize document recall [66-70].
b. **Cross-encoder reranker**for example mono/duo-T5, which re-sorts candidate passages before sending them to LLM.
c. **Generator**in the form of general purpose LLM GPT-3.5/4, LLaMA, Mistral, or open-source instruction models fine-tuned in the legal or government domain [71-75].

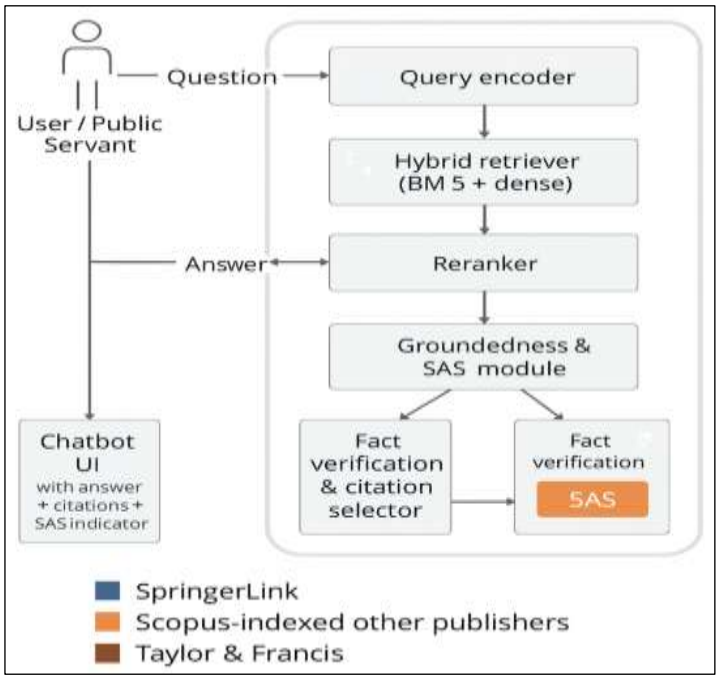


Figure 5: General architecture diagram of groundedness-aware RAG.
Source: Authors, (2026).

The following are technical factors that have been shown to be influential consisting of quality, strategy, and integration only in the amount of chunking and modeling, negative sampling and verification modules, respectively:

1. Quality chunking and document structure modeling. Thus, the use of hierarchy-based segmentation, namely article-verse-letter, and graph-based retrieval reduces hallucinations in e-government scenarios because the context based on the regulatory structure is captured.
2. Negative sampling strategy in retriever training. That is, retrievers trained with hard negatives, i.e., similar articles but with errors, experienced a groundedness rate increase of up to ~5-8 points compared to the pure BM25 baseline.
3. Verification module integration. This means integrating several symbolic fact verifier factors or natural language inference (NLI) factors that check whether the answer claim is enabled by the retrieved article.

In general, these studies conclude that recall alone is not enough, a combination of recall, precision, and entailment checking is required for groundedness [76-80], where the RAG architecture diagram can be seen as in Figure 5.

III.1.5 Definition of Groundedness and Categories of Hallucinations (RQ4)

These terms in the literature are called groundedness, faithfulness, factual consistency, attribution, and hallucination [81-85]. Surveying the current state of the art characterizes hallucinations with intrinsic and extra-intelligible. Intrinsic assurance is when an entity provides information that is out of context, while extra-intelligible is when an entity provides new information not previously held, either according to the fit between the context and current knowledge of the world. In RAG for authoritative documents, groundedness is used as follows: “a bad for a single claim is that most of the claims contained in the answer cannot be further covered to a specific anthology of evidence drawn from a corpus of appropriate reference texts” [86-90]. Some studies focus on explicit tracking such as traceability expliciting, while others focus on semantic understanding from answers to evidence [91-95]. The hallucinations in regulation are as follows:

a. **Referential hallucinations** : One of the article numbers or names of the regulations is wrong.
b. **Inferential hallucinations** : The argument of the article is pushed too far.
c. **Omission hallucinations** : Highlights skipped or important terms compared in the source document.

Our findings reinforce the need for groundedness metrics that account for claim-level claims based on specific claims, not text-like surface data.

III.1.6 SAS Groundedness and Position Evaluation Metrics (RQ5)

There are three types of metrics used in the 100 articles:

1. **Overlap and surface similarity metrics**
a. BLEU, ROUGE, METEOR, BERTScore; overused but not sensitive enough to claim-evidence semantic alignment [96-100].
2. **Specific factuality metrics**
a. FactScore, AlignScore, Q^2, and many other variations of QA-based factuality. Some references even use question-answering on answers (generating questions from answers and then answering those questions based on evidence).
3. **Citation-based groundedness metrics**
a. Citation precision/recall: proportion of claims that have correctly addressed citations;
b. Attributable Score : assesses whether the claim is connected to appropriate evidence.

However, there has not been a metric that combines embedding similarity, evidence coverage, and entailment in a single, easily auditable relevance score. That is where, early in the process, the SAS Semantic Alignment Score was proposed [101-105]. According to the initial formulation of the dissertation on SAS:

$$\mathbf{SAS\ (a, E) = \alpha \cdot sim\ (a, E) + \beta \cdot coverage\ (a, E) + \gamma \cdot entail\ (a, E)}$$

Information:

A: Answer embedding representations
E: Evidence retrieved
A, E: Average cosine similarity between the answer clause embedding and the evidence segment
coverage A, E: The proportion of clauses that have evidence pairs above a certain similarity threshold.
entail A, E: Average entailment probability of multilingual NLI model.

SAS thus allows for positioning as a claim-level groundedness metric that is RAG-compatible with pipeline and QA metrics, as well as related to user perception [106-110].

III.1.7 Groundedness, Accuracy, and User Trust (RQ6, RQ7)

Several empirical studies that have been conducted in the public domain show that LLM hallucinations have a direct impact on users' trust and intention to reuse the system. Considering that analysis of citizen conversations with municipal government chatbots in Norway proved that failure to provide answers consistent with policy documents led to significant escalation in human service channels and formal complaints. Articles that explicitly measure trust typically use a 5- or 7-point Likert scale for dimensions such as perceived accuracy, transparency, and reliability. Reported correlations between groundedness (e.g., citation correctness and FactScore) and trust range from 0.4–0.7, confirming a fairly strong positive relationship [111-115]. The conceptual contribution of this SLR is to propose that SAS should be evaluated by annotator ground truth groundedness ratings but should also be evaluated by user trust scores in controlled user studies. If the SAH is a correlation of SAS ≥ 0.7 to human ratings and a significant positive correlation with user trust, then it is clear that it should be considered a leading indicator for system auditing.

III.1.8 Keyword Mapping using VOSviewer (RQ1, RQ4, RQ8)

To understand the thematic concept, keywords can be analyzed using co-occurrence analysis of 100 articles and visualized with VOSviewer, in Figure 6 you can see the metadata mapping and division of four main clusters[116-120].

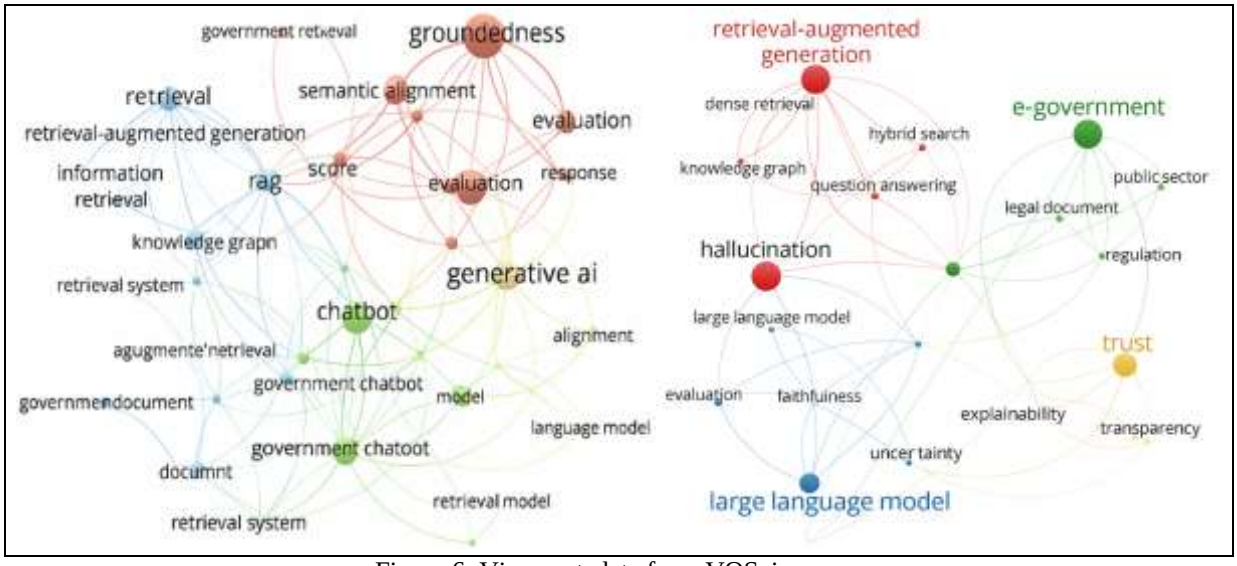


Figure 6: View metadata from VOSviewer.
Source: Authors, (2026).

The four main clusters that frequently appear are as follows:

1. Cluster RAG retrieval: Retrieval-augmented generation, dense retrieval, hybrid search, knowledge graph, question answering [121-125].
2. Cluster hallucination factuality: Hallucination, factual consistency, faithfulness, evaluation, uncertainty [126-130].
3. Government governance cluster: E-government, public sector, legal documents, regulation, compliance.
4. Cluster user trust XAI: trust, explainability, transparency, responsible AI [131-135].

The keywords teramavar retrieval-augmented generation, large language model, hallucination, question answering, and legal document, show the relationship between the issue of hallucination, the regulatory domain, and the need for explanatory groundedness mechanisms [136-140].

III.1.9 Summary Answers to RQ1–RQ8

RQ 1	Publication trends:	Exponential increase occurred since 2023, driven by the availability of generative LLMs and the need for hallucination mitigation, with the dominance of Q1-Q2 journals in the fields of information systems and AI [141-145].
RQ 2	Document domain :	About 38% of articles focused on public regulations and law, the remainder on health, customer support, and other organizational documents, but the pattern of groundedness needs was similar [146-150].
RQ 3	RAG Architecture :	The retriever–reranker–LLM pipeline becomes the dominant pattern; hybrid retrieval and NLI-based verification module integration are shown to improve groundedness [151-155].
RQ 4	Definition of groundedness:	Hallucinations are understood as the association of claims with the evidence that can be traced; they are classified into referential, inferential, and omission; these categories are relevant for designing SAS [156-160].
RQ 5	Evaluation metrics:	Common metrics are inadequate; FactScore, AlignScore, and citation metrics fill some of the gap, but do not yet integrate semantic alignment, evidence coverage, and entailment into a single score, which is what SAS forecasts [161-165].
RQ 6	Technical factors:	The quality of the retriever, the representation of the document structure, and the presence of verifiers and decoding strategies greatly influence groundedness and the level of hallucinations [166-170].
RQ 7	Groundedness and trust:	User studies show a consistent positive correlation between groundedness and trust; transparent citations and concise explanations of regulatory sources increase perceived reliability [171-175].
RQ 8	Research gap & SAS direction:	There is still a lack of automated evaluation models specifically designed for government documents; there is no standard framework for groundedness-based government AI audits; SAS is positioned as a candidate for core metrics that need to be validated through correlation studies with human judgment and trust indicators [176-180].

IV. THEORETICAL AND PRACTICAL IMPLICATIONS

Theoretically, this SLR establishes that groundedness is not simply an extension of traditional QA metrics, but a multidimensional concept including semantic alignment, evidence attribution, and observation of regulatory structure. Therefore, it reinforces the need for the development of an explicit theory of groundedness, especially for taxonomic claim types and annotation schemes that are expected to work with links within the legal and governmental domains [181-185]. Practically, the SLR results suggest that government agencies should do the following:

1. Adopting a RAG architecture with an internal evaluation module that periodically measures SAS, FactScore, and citation precision as part of a chatbot service quality audit [186-190].
2. Implement a data governance policy that at a minimum allows only official and current documents to be accepted into the RAG corpus, complete with document version metadata and PID legality conditions.
3. Create a user interface that attaches explicit citations to articles/verses as evidence for answers and sets up an alert when SAS falls below a certain threshold.
4. Involving non-technical stakeholders in the groundedness design scheme ensures that technical metrics align with community legal and ethical accountability standards. External metrics validating generalizability and general discipline are recommended for future research purposes.

V. RECOMMENDATIONS FOR FURTHER RESEARCH

Referring to the above gaps, several recommendations for further research were found as follows:

1. Formalization of a groundedness annotation scheme for Indonesian-language regulatory documents, including definitions of claim units, evidence span, and entailment labels.
2. Comprehensive experiments of SAS on various dense, hybrid, graph-based RAG pipelines and various types of LLM, to evaluate the robustness of SAS across architectures [191-195].

3. Correlational and causal studies between SAS, EM/F1 QA metrics, nDCG, and citizen trust indicators, through user studies on real chatbots in agencies such as Diskominfo.
4. Integration of SAS into the government's AI governance framework, including periodic reporting mechanisms, regular red teaming, and human-in-the-loop procedures when groundedness scores fall below a safe threshold.
5. Development of an audit dashboard analytical tool that visualizes SAS distribution per regulatory topic, so that policy makers can quickly identify high-risk areas.

VI. CONCLUSION

This article presents a Systematic Literature Review on groundedness-aware retrieval and hallucination mitigation for Retrieval-Augmented Generation in government and regulatory document chatbot applications. From 7,947 initial records, 100 primary articles Q1–Q2 were selected, curated, and analyzed. The findings are that despite RAG being the dominant architecture in combining LLM with organizational knowledge bases, it is still important to pay attention to the issue of hallucinations, while groundedness evaluation is still incomplete. The literature shows that groundedness is influenced by the quality of the retriever, exploration of document structure modeling, implementation of decoding strategies, and adoption of verification modules. Existing metrics such as FactScore, AlignScore, factuality-based QA methods, and citation metrics, while providing an important foundation, do not fully cover the need for measuring groundedness in auditable factual claims in the government context [196-200]. Based on the findings, the article suggests the Semantic Alignment Score as a combined metric to measure semantic alignment, evidence coverage, and entailment between answers and documents. Therefore, it should not only replace but also challenge traditional claims and be a key element in government AI governance. Collaborating, empirical validation of SAS and integration into active RAG pipelines by diverse service providers is the foundation for more accurate, transparent, and regulatory chatbot users [201-204].

VII. AUTHOR'S CONTRIBUTION

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Investigation: Frendy Rocky Rumamby, Didik Dwi Prasetya and Triyanna Widiyaningtyas.
Discussion of results: Frendy Rocky Rumamby, Didik Dwi Prasetya and Triyanna Widiyaningtyas.
Writing – Original Draft: Frendy Rocky Rumamby, Didik Dwi Prasetya and Triyanna Widiyaningtyas.
Writing – Review and Editing: Frendy Rocky Rumamby, Didik Dwi Prasetya and Triyanna Widiyaningtyas.
Resources: Frendy Rocky Rumamby, Didik Dwi Prasetya and Triyanna Widiyaningtyas.
Supervision: Frendy Rocky Rumamby, Didik Dwi Prasetya and Triyanna Widiyaningtyas.
Approval of the final text: Frendy Rocky Rumamby, Didik Dwi Prasetya and Triyanna Widiyaningtyas.

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DEEP LEARNING-BASED DETECTION OF VERNACULAR HERITAGE HOUSES IN SUMBA ISLAND USING BSTO-VGG16-ALNN AND BIG DATA ANALYTICS

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ABSTRACT

In the conventional settlements of Sumba Island, the nearby local area progressively changes design to meet their consistently moving necessities. The social legacy, exemplified in vernacular houses, holds extensive interest for the travel industry. By grasping and advancing the social meaning of these houses, we can add to manageable the travel industry improvement, supporting the neighborhood economy and encouraging consciousness of the social lavishness of the district. As we dig into the examination of the social legacy inside vernacular houses, it becomes evident that these designs wrestle with difficulties like rot, underlying weaknesses, and natural tensions. Despite this, the ever-changing technological landscape presents promising opportunities for the preservation of these priceless cultural assets. The incorporation of progressively complex PC vision innovation, joined with the openness of high-goal remote detecting pictures, presents an extraordinary way to deal with exactly assess and quantify the many-sided subtleties of Earth's regular and fake conditions for enormous scope. In this undertaking, our work proposes a strategy using profound learning methods and huge information examination for distinguishing the social legacy of vernacular houses in Sumba Island, Indonesia. At first, we utilize the boosted sooty tern optimization (BSTO) calculation for target division, really isolating vernacular houses from the grave remote detecting pictures. Subsequently, we present the pre-prepared VGG-16 engineering to extricate highlights from the fragmented objective picture. Also, we carry out the adaptive learning neural network (ALNN) for the exact programmed discovery of vernacular houses. Utilizing Sumba Island tiles, we validate the efficacy of our BSTO-VGG16-ALNN method and demonstrate impressive results.

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I. INTRODUCTION

We are living in the "Age of Data", with new information being delivered from all businesses and public bodies at an exceptional, and continually developing rate thus, there has been an extraordinary promotion which has driven associations to make significant interests in their mission to investigate how they can utilize their information to make esteem [1]. The primary reason enormous information examination expands on is that by dissecting huge volumes of unstructured information from various sources, noteworthy experiences can be produced that can assist firms with changing their business and gain an edge over their opposition [2]. Having the option to get such information produced knowledge are especially important, particularly for associations that work in powerful and high-paced business conditions, where pursuing informed choices is basic.

Regardless of much commitment from enormous information examination [3] there has been fundamentally less exploration on how associations should be organized to create business esteem from such ventures, and a restricted comprehension on the transaction of variables that drive execution gains [4]. Most reports to date on the worth of huge information examination come from consultancy firms, well known press, and disconnected contextual investigations, which neglect to expand on exact outcomes from enormous scope investigations and need hypothetical knowledge. Moreover, [5] late investigations have noticed that there is as yet a sizeable number of organizations that neglect to catch esteem from their huge information speculations and, surprisingly, some that contend that large information might sting instead of help organizations [6]. Accordingly, there is deficient comprehension about how associations ought to move toward their large information drives, and scant observational help to direct esteem creation from such speculations [7]. Bigdata, with their capability to find out esteemed bits of knowledge for improved dynamic cycle, have as of late drawn in significant interest from the two scholastics and experts. In order to extract useful information from big data, numerous businesses are adopting big data analytics, which is increasingly becoming a popular method [8].

The investigation cycle, including the sending and utilization of enormous information examination devices, is considered by associations to be an instrument to work on functional proficiency however it has key potential, drive new income streams and gain upper hands over business rivals. Be that as it may, there are various sorts of insightful applications to consider [9]. Consequently, preceding rushed use and purchasing expensive bigdata instruments, there is a requirement for associations to initially comprehend the enormous information examination scene. Given the critical idea of the BD and huge information examination, this paper presents a cutting edge survey that presents an all encompassing perspective on the bigdata challenges and large information investigation strategies utilized by associations to help other people comprehend this scene with the target of pursuing strong venture choices [10]. To explore in such an unstable, mind boggling and questionable climate, coordinate apparent development capacity is acknowledged as a urgent capability [11]. Advancement alludes to foster worth to meet clients' necessities and market needs. Also, information driven development depends on making esteem by utilizing information and advanced apparatuses [12]. The speed of development is changing quickly as per mechanical upgrades and the reception of advancement is profoundly reliant upon the information the board [13]. The noticeable upper hand is gotten from capacity to utilize significant apparatuses to make important data. Businesses use big data, in particular, a lot to come up with new ideas, processes, and markets [14]. To centers around computerized devices, large information examination and man-made reasoning and their effect on development. The problematic impacts of information driven advancement in the business world are examined [15].

It is viewed as that this section might empower chiefs to make experiences and to more readily comprehend information driven development. The attracts consideration is utilized to the limit of AI frameworks to learn and change over the long run, progressively laying out their own sub-objectives, and their capacity to adjust to nearby circumstances by means of outer sensor data or refreshed input information [16]. Human originators of these frameworks choose and set their underlying boundaries and the all-encompassing objective which these frameworks are expected to streamline [17]. Simultaneously, AI frameworks are intended to work by settling on free choices that pick between options in manners that are not pre-modified in that frame of mind, to do as such with practically no human mediation [18]. Since these frameworks advance powerfully and iteratively from their current circumstance, which is it frequently unstable and constantly changing, this has suggestions for the soundness and consistency of their activity [19]. Specifically, these frameworks can possibly advance unexpectedly. In this time of computerized information overflow, moral difficulties have arisen as a squeezing concern. Data analytics' complex ethical challenges, including privacy invasion, algorithm bias, and security risks, are the focus of this topic [20]. We hope to shed light on the ethical quandaries and provide insights into how society can navigate this data-driven landscape responsibly and ethically by examining real-world case studies and proposing solutions.

Our contributions. The proposed profound learning procedure with huge information examination for social legacy recognition in vernacular houses on Sumba Island, Indonesia, is intended to give an extensive and exact strategy to recognizing these social resources. The significant commitments of this strategy are framed beneath:

1. The underlying step includes the utilization of the boosted sooty tern optimization (BSTO) calculation for target division. BSTO improvement upgrades the accuracy of division, guaranteeing that the calculation detaches the objective designs precisely in the midst of the assorted data present in the pictures.
2. Following objective division, the VGG-16 pre-prepared engineering is used for highlight extraction from the fragmented objective picture. VGG-16 is a convolutional neural network (CNN) known for its viability in picture acknowledgment errands.
3. The proposed strategy integrates a hybrid adaptive learning neural network (ALNN) for the programmed discovery of vernacular houses. This brain network is utilized to adjust and gain from the highlights separated by VGG-16, upgrading the exactness of the identification cycle.
4. To survey and approve the presentation of the BSTO-VGG16-ALNN strategy, the procedure is applied to Sumba Island tiles. It includes utilizing the model to examine genuine information from the district, affirming its viability in precisely identify vernacular houses.

The rest of this paper is organized as follows. Section 2 gives the review of recent works related to the big data analytics for cultural heritage detection. Section 3 provides the detailed working process of our BSTO-ALNN technique for economy forecasting with the detailed mathematical models. The results and comparative analysis of models for the big data analytics for cultural heritage detection is discussed in the Section 4. Finally, the paper concludes in Section 5.

II. RELATED WORKS

II.1 STATE-OF-ART STUDIES

DAS et al. [21] have asserted that big data is just beginning to transform healthcare and propel the sector forward on numerous fronts. The progressions in medication, advancement, and funding that large information in medical care ensures offer plans that gain ground in understanding the consideration and drive esteem in medical services associations. With the instrument's advancement, methods that utilize THz waves for pharmaceutical applications are rapidly evolving. THz imaging can possibly be used in assessing a couple of designs. The responsibility of this examination is to make recommendations for the THz imaging strategy and information examination, preferably having an effect in carrying it closer to being clinically important development. Jindal et al. [22] have proposed a tensor-based method for managing big data to reduce the dimensionality of IoE environment data in a smart city. This center information is then put away on the cloud in the decreased structure. Subsequent to decreasing dimensionality of information, it tends to be utilized for offering many types of assistance in savvy urban areas and its application to give request reaction administrations is talked about in this paper. The support vector machine (SVM) based classifier is utilized to characterize the end-clients into ordinary, over-burden and under stacked classifications from the center information. When such clients are recognized to partake popular reaction system, utilities can devise specific answers for handle their interest reaction to change their heap prerequisites so the general burden in the brilliant city is ideally made due.

Silva et al. [23] have proposed a bigdata examination installed brilliant city design, which is additionally coordinated with the web by means of a shrewd door. Incorporation with the web 14 gives a general correspondence stage to beat the stage incongruencies of savvy things. They assessed credible informational indexes to decide the limit values for canny navigation and to introduce the exhibition improvement acquired in information handling. At last, 17 introduced an illustrative state move with the trap of things coordinated brilliant structure design to uncover the exhibition enhancements of the shrewd city engineering regarding network execution and energy the board of savvy structures. Ordonez et al. [24] have proposed an exploration point, including not having a data set model, inventive capacity past columns and scale out equal handling. Numerous presumptions in view of a concentrated information distribution center or unbending data set have been debilitated and, surprisingly, vanished. Most would agree enormous information examination has left information warehousing and information mining research behind. Before designing extended data warehouse and analytics applications in the bigdata era, they hope that readers will find the content of this special issue interesting and will be inspired to investigate the challenges that remain. Fernández et al. [25] have proposed a free and open-source method for automatically configuring and deploying a Spark cluster.

It has been created with a user-friendly graphical user interface to make managing Spark clusters simple and effective, automate cluster deployment, and quickly start up Hadoop's distributed file system. In addition, LadonSpark offers the capacity to incorporate any algorithm into the system. That is, the client just has to give the executable record and the quantity of required inputs for appropriate definition. Also, bunching, relapse, characterization, and affiliation rules calculations are as of now coordinated with the goal that clients can test its ease of use from its underlying establishment. Kabugo et al. [26] have proposed an interaction information examination stage worked around the idea of industry 4.0. Big-data software tools, ML algorithms, and cutting-edge IIoT platforms are all incorporated into the platform. The stage accentuates the utilization of ML strategies for process information examination while utilizing enormous information handling devices and exploiting the presently accessible modern grade distributed computing stages. The modern materialness of the stage was exhibited by the improvement of delicate sensors for use in a waste-to-energy plant. For the situation study, the work concentrated on information driven delicate sensors to anticipate syngas warming worth and hot vent gas temperature. The displaying results showed that, in situations where process information about the cycle peculiarities within reach is restricted, information driven delicate sensors are valuable devices for prescient information examination.

Fang et al. [27] have proposed a cyber-physical production system (CPPS) utilizing information investigation is proposed to empower creation perceivability. It utilizes information stream handling ways to deal with clean excess information effectively. Bayesian derivation motor is prepared by Ming the authentic information disconnected, is utilized to recognize the exactness of a RFID-caught occasion on the web. Then, at that point, complex occasion handling is applied to combine multi-source heterogeneous information. The creation progress perceivability is accomplished by the business cycle the board. The system shows how important it is to implement real-time data collection, processing, and visibility in order to increase production efficiency. Zhao et al. [28] have proposed a basic job in information mining, and has gotten extraordinary accomplishment to tackle application issues, local area examination, picture recovery, customized proposal, movement forecast, and so forth. Albeit the current strategies have predominant execution on some little or certain datasets, they miss the mark while bunching is performed on CPSS enormous information as a result of the significant expense of calculation and capacity. With the strong distributed computing, this challenge can be really tended to, however it carries colossal danger to individual or organization's security. In academia, privacy-preserving data mining has received a lot of attention.

Northcott et al. [29] have discussed the ascent of information serious science, or huge information, altered our capacity to anticipate. It suggests need for expectation over causal comprehension, and decreased job for hypothesis and human specialists. They look at four significant situations where expectation is alluring: political elections, the weather, GDP, and the outcomes of economic experiment-suggested interventions. The methodology embraced is especially important in managing such a complicated and touchy issue, as it considers the environment of finding out about the subject across different settings and media assets. Bilal et al. [30] have proposed a benchmarking framework for delicate assessment utilizing Huge Information of 1.2 terabytes, including 5.7 million cells. An all encompassing rundown of seventeen KPIs is distinguished from the email information utilizing Text Mining draws near. The idea of a deep ensemble learner based on the decomposition-integration method is at the heart of this work. In the deterioration stage, the model predicts a few property explicit benchmarks for each KPI utilizing setting mindful calculation. The profound brain network-based students are prepared to create last venture delicate KPI benchmark.

In the spring, the learner will be used as a tool to help evaluate power infrastructure projects for tenders. A delicate of 60km underground cabling project is assessed utilizing the student. The tender's key performance indicators (KPIs) were automatically identified by the system as requiring additional attention to improve profitability performance.

II.2 RESEARCH GAPS

The identification of built cultural heritage marks fundamental stage in preserving our collective human legacy. Its significance spans a myriad of purposes, encompassing preservation, tourism, education, identity, and fostering international collaboration. Acknowledging the importance of cultural heritage significantly contributes to the enrichment of societies and a deeper appreciation of diverse global history. In a study conducted by Monna et al. [31], they introduced a replicable workflow designed for the automatic detection of buildings from satellite imagery. This research demonstrated the efficiency of modern computer vision techniques, specifically those rooted in deep learning, in accomplishing a task that would be exceptionally time-consuming if undertaken manually. The review thought about eight profound learning designs in view of convolutional brain organizations, assessing their ability to recognize and find conventional houses from satellite pictures exactly. Particularly successful was the combination of artificial data augmentation and the Faster R-CNN ResNet 101 architecture. The R-CNN ResNet 101 architecture prepared with 1033 examples of vernacular houses, displayed its capability in computerizing the ID cycle, introducing a promising road for the use of cutting-edge innovations in social legacy recognition [32]. Distinguishing assembled social legacy through the utilization of profound learning strategies with enormous information investigation presents multi-layered scene full of difficulties [21], [22].

Algorithms that are capable of accurately identifying various building types are needed to overcome the significant obstacle posed by the architectural diversity inherent in cultural heritage structures. Furthermore, factor conditions in satellite symbolism, like changes in lighting, weather patterns, and goal, add to the intricacy of the location task [23]. The most common way of clarifying and naming enormous datasets for the purpose of preparing can be work escalated; requiring master information, particularly while managing assorted building highlights. Additionally, the creation of robust and generalized models is hampered by the lack of labeled training data for particular cultural heritage sites [24]. In metropolitan conditions, firmly arranged structures and visual mess can prompt covering structures, confusing exact recognition. Additionally, the scale abberations among structures inside social legacy destinations present difficulties for discovery models in adjusting to shifting sizes. To address these difficulties, the incorporation of profound learning methods with enormous information investigation arises as a promising arrangement [25]. Profound learning calculations succeed in mechanized highlight extraction, permitting them to observe multifaceted compositional subtleties from enormous datasets. Large information examination further work with information expansion, enhancing preparing datasets and working on model power against varieties in lighting, points, and conditions [26].

Besides, the arrangement of cutting edge structures demonstrates viable in catching spatial ordered progressions and mind boggling subtleties in satellite symbolism, consequently improving the exactness of assembled legacy identification. Nonetheless, in spite of these progressions, potential issues might emerge after execution [27]. Overfitting is concern, where a model turns out to be excessively intended for the preparation information lead to decreased speculation on new and concealed social legacy pictures [28]. Calculation predisposition is another thought, as models might exhibit inclinations in view of the creation of the preparation information, bringing about errors or misclassifications for specific kinds of social legacy structures. The interpretability and logic of profound learning models present difficulties, making it hard to comprehend the thinking behind unambiguous identification [29]. Also, moral contemplations, for example, issues connected with protection, information possession, and social responsiveness, warrant cautious consideration [30]. Tending to these difficulties and potential issues requires fastidious model turn of events, careful approval, and progressing observing. To address the difficulties and potential issues recognized with regards to distinguishing constructed social legacy utilizing profound learning methods with enormous information examination.

1. Foster profound learning models that can actually deal with different engineering styles present in constructed social legacy, guaranteeing hearty execution across different designs.
2. Investigate effective approaches to data annotation and labeling in order to speed up the process of creating massive labeled datasets and guarantee that expert knowledge is effectively utilized for various architectural features.
3. Upgrade robotized highlight extraction capacities in profound learning models, guaranteeing that these models can successfully catch and break down complicated highlights from enormous datasets.
4. Ensure that deep learning models do not become overly specific to the training data and maintain generalization on new and unseen cultural heritage images by developing strategies to mitigate over fitting challenges.

III. PROPOSED METHODOLOGY

The proposed procedure for recognizing the social legacy of vernacular houses in Sumba Island, Indonesia, unfurls through a deliberate cycle delineated in Fig. 1. Beginning with input remote detecting pictures catching the geographic district of interest, the framework goes through a critical period of picture preprocessing. This underlying step guarantees ideal picture quality by utilizing methods like sound decrease, contrast upgrade, and standardization. In this manner, the boosted sooty tern optimization (BSTO) calculation becomes possibly the most important factor for the division of vernacular houses. This enhancement calculation is fastidiously intended for target division, really separating areas inside the info remote detecting pictures that relate to vernacular houses. When the division is finished, the framework extricates the designated vernacular house regions from the preprocessed remote detecting pictures. This particular extraction confines locales of interest, which are characteristic of potential social legacy structures. Pushing ahead, the element extraction process is started utilizing the VGG-16 engineering, a prestigious profound convolutional neural network (CNN) commended for its viability in picture related undertakings.

This stage includes the extraction of more profound elements, enveloping surface, semantic, and factual highlights, from the portioned vernacular house regions. These removed elements structure a far reaching portrayal of the multifaceted qualities related with social legacy structures. The last and basic step involves the programmed identification of constructed social legacy utilizing a hybrid adaptive learning neural network (ALNN) strategy.

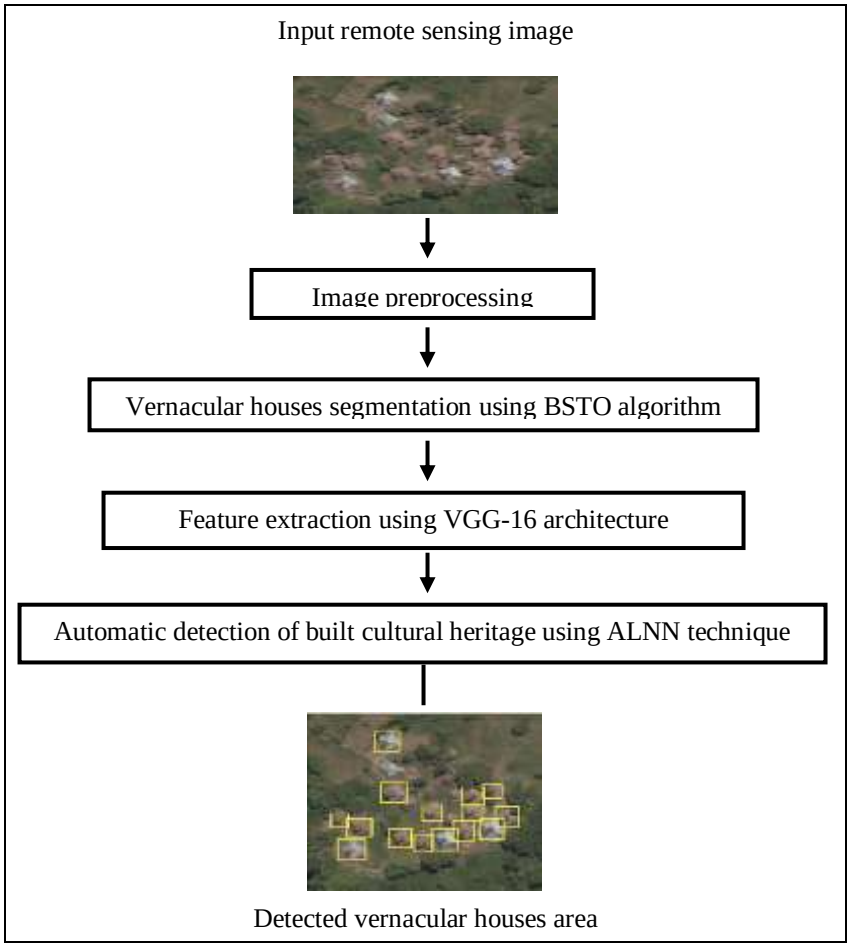


Figure 1: Framework plan of proposed procedure for identify the social legacy of vernacular houses in Sumba Island, Indonesia.
Source: Authors, (2026).

This ALNN is intricately designed to adapt to and learn from the VGG-16 architecture's extracted features. The cross breed nature of the ALNN consolidates different learning methodologies, upgrading its ability to precisely identify and group social legacy structures. The results of this framework configuration give important data about the presence and circulation of vernacular houses on Sumba Island, contributing altogether to continuous social legacy conservation tries. The goal of the proposed method is to provide a comprehensive and precise solution for identifying cultural heritage structures in the unique context of Sumba Island, Indonesia, by integrating advanced optimization algorithms, deep learning, and adaptive learning techniques.

III.1 TARGET SEGMENTATION

In the underlying period of the social legacy identification process, target division assumes a urgent part, and to achieve this, the boosted sooty tern optimization (BSTO) calculation is utilized. The BSTO calculation draws motivation from the rummaging conduct of dingy terns, seabirds known for their proficient hunting procedures. Its essential objective inside this application is to advance the division of vernacular houses inside remote detecting pictures. The calculation starts by introducing a populace of likely arrangements, regarding them as individual specialists similar to rummaging birds. Through a series of optimization iterations, these solutions, which represent potential regions for vernacular houses, undergo iterative refinement. During the iterative process, the solutions are modified in accordance with rules that are derived from the foraging behavior of sooty terns. The goal is to maximize a specified goodness function that represents the accuracy of the segmentation. Critically, the BSTO calculation displays versatile attributes, powerfully changing its boundaries in light of the advancement of improvement and gaining from the investigation of the arrangement space. A definitive result is the successful partition of vernacular houses from the encompassing setting in the remote detecting pictures. BSTO calculation's proficiency lies in its capacity to deal with complex objective division errands, exhibiting its flexibility and improvement ability in precisely recognizing social legacy structures inside assorted and dynamic scenes caught in the pictures. Seabirds called sooties, or Onychophyrionfuscatus, can be found all over the world. There are numerous sizes and masses of sooty bush varieties.

Dingy birds are seabirds tracked down all around the world and come in various assortments of various loads and sizes. They feed on fish, bugs, creatures of land and water, worms and reptiles. They typically live in states and utilize their knowledge to find and go after prey. BSTO calculation starts by introducing potential arrangements addressing up-and-comer districts for vernacular houses in remote detecting pictures. It utilizes a goal capability to assess arrangement quality, with a helping component supporting fruitful techniques. Through iterative advancement and versatile learning, the calculation progressively changes its boundaries to upgrade precision. A union check decides when to end emphasess, giving last division result that precisely recognizes vernacular houses. The adaptive nature and boosting mechanism of the BSTO algorithm make it ideal for target segmentation tasks in cultural heritage detection. Relocation and hunting are a significant part of the way of behaving of dingy pigs, and relocation is characterized as the occasional development of these birds starting with one spot then onto the next looking for energy-giving food. By moving, Alcoholic should keep away from the contention depicted beneath.

$$\overrightarrow{\xi}_{ts} = T_B \times \overrightarrow{Q}_{ts}(z) \tag{1}$$

$$T_B = c_F - (Z \times (c_F / Iter_{\max}) \tag{2}$$

The condition of an ash stem that has not slammed into another ash is the condition of the momentum sediment stem, Z is the ebb and flow cycle, and TB is a control variable to change ash movement and TB in a specific pursuit district. Subsequent to staying away from crashes, the smell converges with its best neighbors as per the accompanying recipe.

$$\overrightarrow{m}_{ts} = c_b \times (\overrightarrow{Q}_{ats}(z) - \overrightarrow{Q}_{ts}(Z)) \tag{3}$$

$$c_A = 0.5 \times r_{and} \tag{4}$$

To address various places of the sediment bramble, ideal ash is an irregular variable and r is an irregular number in the reach [0,1]. Dingy turn status can be refreshed as follows

$$\overrightarrow{d}_{ts} = \overrightarrow{\xi}_{ts} + \overrightarrow{m}_{ts} \tag{5}$$

It's $\overrightarrow{d}_{ts}$ difference between smell and great soot. Ash tufts foster a twisting conduct in the breeze, which is characterized as follows

$$y' = r_{adi} \times \sin(j) \tag{6}$$

$$x' = r_{adi} \times \cos(j) \tag{7}$$

$$Z' = r_{adi} \times j \tag{8}$$

$$R = U \times E^{KV} \tag{9}$$

Where demonstrates the span of each helical turn, I is the variable in range [$0 \le K \le 2\pi$], u and v characterize the helical shape steady, e is a characteristic logarithm. The following changes can be made to the sooty tern's position:

$$\overrightarrow{Q}_{ts}(z) = \overrightarrow{d}_{ts} \times (y' + x' + z') \times \overrightarrow{Q}_{ats}(z) \tag{10}$$

where $\overrightarrow{Q}_{ts}(z)$ informs the locations of other sooty terns and custody the best result.

III.2 FEATURE EXTRACTION

Following the target segmentation of vernacular houses within remote sensing images, the subsequent step in the cultural heritage detection process involves feature extraction. This crucial stage is facilitated by the introduction of the pre-trained VGG-16 architecture, a deep convolutional neural network renowned for its hierarchical feature learning capabilities. VGG-16, comprising of 16 layers, goes through move getting the hang of, having been pre-prepared on broad datasets like ImageNet. Move gaining permits the model to use information acquired from these datasets, upgrading its capacity to remove appropriate elements from the divided objective picture. As the picture navigates through the organization, convolutional layers catch both low-level elements, like edges and surfaces, and significant level conceptual highlights illustrative of the vernacular houses. The element extraction process creates itemized highlight maps, exemplifying surface, semantic data, and measurable attributes characteristic for the fragmented objective picture. VGG-16's versatility empowers it to perceive one of a kind building designs related with social legacy structures. The result contains high-layered include vectors, filling in as rich portrayals that encode the unmistakable parts of vernacular houses for ensuing errands, especially programmed identification. The joining of the pre-prepared VGG-16 design in the component extraction stage improves the viability and flexibility of the social legacy identification pipeline. The most common way of using the pre-prepared VGG-16 design includes a few vital stages with regards to highlight extraction for social legacy location from divided target pictures.

- Utilizing move learning, the pre-prepared VGG-16 model is instated with loads and inclinations gained during its pre-preparing on pictures from dataset. This instatement gives the model an abundance of information about broad visual elements, empowering it to adjust to additional particular errands with restricted named information.
- The fragmented objective picture, acquired through the earlier objective division stage, fills in as the contribution to the pre-prepared VGG-16 model. The isolated areas that represent vernacular homes are included in this image.
- The info picture goes through forward spread through the layers of the VGG-16 engineering. Each layer, including convolution and pooling layers, separates various leveled highlights from the portioned target picture.
- The VGG-16 model's various layers produce feature maps. These component maps address the actuations of neurons because of explicit examples and surfaces present in the divided objective picture.
- The architecture of VGG-16 makes it easier to learn features in a hierarchical fashion. The lower layers take in low-level features like edges and textures, while the higher layers take in more abstract and semantic features.
- The flexibility of the pre-prepared VGG-16 model permits it to perceive and catch highlights intended for vernacular houses. The model adjusts its learned portrayals to the design examples and qualities related with social legacy structures.
- The last result of the pre-prepared VGG-16 design is a high-layered include vector. The cultural heritage detection process as a whole is augmented by VGG-16's high-dimensional feature vector output.

III.3 AUTOMATIC DETECTION OF VERNACULAR HOUSES AREA

The hybrid adaptive learning neural network (ALNN) is used to perform the crucial step in the process of identifying cultural heritage, which is the automatic detection of vernacular houses. It specific brain organization, described by its crossover nature, consolidates different learning techniques to improve precision. Based upon a adaptive learning framework ALNN obliges dynamic changes of its boundaries in view of the elements it processes. The brain network engineering, intended to handle high-layered include vectors got from the pre-prepared VGG-16 model, goes through preparing to learn progressive course of vernacular house qualities. The educational experience coordinates different learning methodologies, possibly joining regulated and unaided procedures to further develop speculation. Enhancement procedures guarantee accuracy in recognizing vernacular houses, including tweaking boundaries and utilizing regularization strategies. Rigorous accuracy evaluation using validation datasets ensures the model's reliability in real-world scenarios. The output of ALNN represents the automatic detection of vernacular houses, contributing valuable information for cultural heritage preservation and research within the broader context of remote sensing images. First, we define the parameter initialization of ALNN is define as follows.

$$F_{nn}(X) = W^{T} J(X) + \varepsilon \tag{11}$$

where $X = [X_1, X_2, ..., X_m]$ is the input vector, W^e [1, 2,...,l] is the weight vector. The typical Gaussian basis function is compute as follows.

$$G_i(X) = \exp\left[-\frac{(X - \upsilon_i)^t (X - \upsilon_i)}{c_i^2} \right], i = 1,...,l \tag{12}$$

where $G_i(X)$ The focuses of the Gaussian capability and the width of the premise are individually addressed by the potential outcomes guess, and the computational speed is affected by the quantity of secret layers. A solitary secret brain network is decided to best inexact the obscure capability.

$$W^{*} = \arg\min\left[\sup\left\|\hat{W}^{R} D(X) - F_{mm}(X)\right\|\right] \tag{13}$$

$$\Omega_W = \left\{\hat{W} \middle\| \hat{W} \right\| \le M \right\} \tag{14}$$

The single vulnerability can be addressed as a component of the estimation execution of the brain network as follows:

$$\alpha(X) = W_a^{*E} G_a(x) + \varepsilon_a^{*} \tag{15}$$

where $\alpha(x)$ is the ideal guess mistake, indicated There is an upper bound on the assessed blunder $\bar{\varepsilon}$ to the degree that $|\varepsilon * \alpha| \le \bar{\varepsilon}$. The composite unsettling influence is thought to be an estimated hypothesis of nonpartisan organizations that permits us to establish that the pace of progress fulfills | | | greatest the following is the identification model in light of the system.

$$\begin{cases} \dot{x}_1 = \dot{x}_2 \\ \dot{x}_2 = -\alpha_F \zeta + \hat{\alpha}(x) + gu \end{cases} \tag{16}$$

Where the identification model's state variable vector is denoted by $\overset{(}{x}_1 = [\overset{(}{x}_1, \overset{(}{x}_2]$. The channel displaying mistake is characterized as follows.

$$\zeta = \overset{(}{x}_1 - \overset{(}{x}_2 \tag{17}$$

Subbing into one can acquire the accompanying unique condition.

$$\overset{(}{x}_2 = G_1(s)(\alpha_F x_2 + \hat{\alpha}(x) + gu) \tag{18}$$

where D_1 (s) is equal to 1. The low-pass filter can be used to reduce the noise signal produced during system output measurement if the appropriate F is selected.

$$\begin{cases} \overset{(}{x}_1 = \overset{(}{x}_2 \\ \overset{(}{x}_2 = -k_F^e \zeta + \hat{\alpha}(\overset{(}{x}) + gu + \hat{D} \end{cases} \tag{19}$$

The recreation mistake vector is determined as follows: where lD = [k_{f_1} , k_{f_2}] T is the addition vector, T is the reproduction blunder vector, x is the sexually transmitted disease state gauge vector, T is the recreation mistake vector, and D is the gauge D.

$$\begin{cases} \zeta_1 = \overset{(}{x}_1 - \vartheta_0 \\ \zeta_2 = \zeta_1 = \overset{(}{x}_2 - \vartheta_1 \end{cases} \tag{20}$$

By substituting, we can get the updated solution as follows.

$$\overset{(}{x}_1 + k_{F_2} \overset{(}{x}_1 + k_{D_1} \overset{(}{x}_1 = \Delta + \hat{\alpha}(\overset{(}{x}_1) + gu + \overset{(}{D} \tag{21}$$

A second-request low-pass channel relates to elements, which is characterized as follows

$$\overset{(}{x}_1 = J_2(s)(\nabla + \hat{\alpha}(\overset{(}{x}) + gu + \overset{(}{D}) \tag{22}$$

$$D_2(s) = \frac{1}{s^2 + k_{F_1} s + k_{f_2}} \tag{23}$$

The improved identification model is used to reduce noise by selecting the appropriate constants k_{F_1} and k_{F_2} .

$$\zeta = A_F \zeta - B(\tilde{Q}_A^T G_A(x) + \tilde{Q}_A^T G_A(\hat{x}) - \tilde{Q}_A^T G_A(\hat{x}) - \tilde{Q}_A^T G_A(\hat{x}) + \tilde{D} + \overset{(}{x}_2) \tag{24}$$

The Lyapunov condition exists with the end goal that assuming the genuine underlying foundations of the trademark polynomial AF are on the left half of the complicated plane.

$$A_F^T P_F + P_F A_F + Q_F = 0 \tag{25}$$

The symmetric positive-definite matrices P, F, and Q_F are also called optimal design measure.

$$\hat{W}_A = \begin{cases} -\sigma_1 G_A(\hat{x}) \; if \; (\|\hat{W}_A\| \le M_A) or \\ \quad (\|\hat{W}_A\| = M_A G_A^T(\hat{x}) \hat{W}_A \ge 0) \\ P_A[.] otherwise \end{cases} \tag{26}$$

where is the positive constant ($\hat{W}$) and an illustration of the projection operator $P_A[.]$:

$$P_a[.] = -\sigma_1 G_A(\hat{x}) + \sigma_1 \frac{D_A^T(\hat{x})\hat{W}}{\left\|\hat{W}_a\right\|^2}\hat{W}_a \tag{27}$$

where p is the positive-clear symmetric network and fulfills the accompanying Lyapunov condition

$$A^T P + PA + Q = 0 \tag{28}$$

A non-ear disturbance observer is used to provide a more accurate estimation of the compound disturbance:

$$\upsilon = A + k_s C^e p_F \zeta \tag{29}$$

The estimation of disturbance is formulated as follows.

$$\hat{D} = \hat{\nu} - h_s C^e P_F \zeta \tag{30}$$

Considering the time derivative of ν can be compute as follows.

$$\upsilon = D + h_s C^E P_F \zeta = D + h_s C^E P_F \zeta - k_s C^e P_s P\left(\hat{Q}_a^E g_a(x) + \hat{W}_a^E g_a(\hat{x}) + \hat{W} + \hat{x}_2\right) \tag{31}$$

The time subordinate of ν̂ is built as follows:

$$\hat{\upsilon} = +k_s b^t p_f a f \zeta \tag{32}$$

$$\hat{\upsilon} = D - \tilde{D} = \tilde{D} \tag{33}$$

Differentiating the above condition to update the final fitness solution, this defines as follows.

$$\hat{\upsilon} = \upsilon - \hat{\upsilon} = D - P_a\left(\tilde{W}_a^t J_a(z) + \tilde{W}_s^R H_s(\hat{x}) - \tilde{W}_a^t J_a(z) + \tilde{F} + x_2\right) \tag{34}$$

The ALNN's ability to handle complex feature sets and its adaptive learning capabilities make it well-suited for accurately staging the lung cancer based on the diverse information available from the lung tumor images.

IV. RESULTS AND DISCUSSION

Within this section, we showcase the outcomes and conduct a comparative analysis between the proposed methodology and established techniques for detecting the cultural heritage embodied in vernacular houses on Sumba Island, Indonesia. The validation of the BSTO-ALNN technique's performance utilizes remote sensing images collected specifically from Sumba Island. A comparative evaluation is conducted by pitting the results of the BSTO-VGG16-ALNN technique against those of existing methods, choice tree, k-closest neighbor, brain organization, support vector machine relapse (SVR), irregular woods, Ssd_inception_v2, Ssd_resnet_50_fpn, Faster_rcnn_ inception_v2, Faster_rcnn_resnet50 and Faster_rcnn_resnet101 [31]. The different exhibition measurements are utilized to completely survey and compare the efficacy of both the proposed and existing techniques.

IV.1 DATASET DESCRIPTION

The evaluation of both proposed and laid out procedures was directed utilizing Python 3.7 and the TensorFlow article discovery Programming interface, with pre-prepared models obtained from the TensorFlow identification model zoo landing page. The overhang of roofs over walls, especially for rainwater protection, makes it difficult to accurately measure a house's surface area. This can cause variations of up to 25%. Nonetheless, given methodical North-South or East-West directions, bouncing boxes would adjust intimately with rooftops. On account of variable house directions, the rooftop is conceptualized as a square recorded in another square (jumping box), where the rooftop surface reaches from roughly half to 100 percent of the case surface, dependent upon the house's direction. Beginning investigations included preparing up-and-comer models with 480 and 1033 occurrences of conventional houses and an assessment set containing 124 and 363 things, individually, without manufactured information increase. The final model, which had been trained with 1033 instances of the data, was used to draw conclusions about the entire collection of approximately 700,000 tiles that covered Sumba Island. With a confidence score greater than 0.5 after computation, a total of 22,397 traditional houses were identified. Post-copy expulsion, 19,143 things remained. A careful GIS assessment, using BING satellite symbolism as a base guide, uncovered cases of bogus up-sides — protests erroneously recognized as customary houses, principally connected with low certainty scores close 0.5.

An end limit of 0.8 was executed, limiting bogus negatives. A few clear misleading up-sides in open spaces, similar to rice fields, were brought about by disconnected trees creating shaded areas looking like house rooftop towers, or in stream talwegs, where shadows from rocks reflected the presence of houses. These problems were fixed by hand, and known administrative buildings and resorts built in the traditional Sumbanese style were taken out. However, due to rare images of poor quality or out-of-date satellite imagery, the method may overlook some large houses in the field.

IV.2 QUALITY ANALYSIS

The quality analysis comparison in Table 1 provides overview of various techniques employed for detecting the cultural heritage of vernacular houses in Sumba Island, Indonesia. In the realm of accuracy, traditional techniques like decision tree, k-nearest neighbor, neural network, svr, and random forest exhibit range from 66.356% to 70.581%. Transitioning to advanced object detection models, such as ssd_inception_v2, ssd_resnet_50_fpn, Faster_rcnn_inception_v2, Faster_rcnn_resnet50, and Faster_rcnn_resnet101, results in incremental accuracy improvement, ranging from 71.637% to 75.862%. However, the proposed BSTO-VGG16-ALNN technique stands out with a substantial accuracy of 96.235%, shows a remarkable increase in precision compared to both traditional and advanced approaches. Precision, representing the true positives among the predicted positives, is a critical metric. Traditional techniques exhibit precision values ranging from 62.859% to 67.084%. Advanced models, while generally improving precision, still fall short of the proposed technique. BSTO-VGG16-ALNN technique achieves a precision of 95.689%, showcasing a substantial improvement over both traditional and advanced methods. Recall, highlighting the true positives among the actual positives, is equally crucial. Traditional techniques demonstrate recall values from 62.639% to 71.089%, with random forest achieving the highest recall among traditional methods.

Advanced models surpass traditional methods, with recall ranging from 67.920% to 72.145%. However, our BSTO-VGG16-ALNN technique achieves an outstanding recall of 94.865%, signifying a substantial percentage-wise increase compared to all other techniques. F-measure, representing the harmonic mean of precision and recall, offers a balanced view. Traditional methods exhibit F-measure values ranging from 62.749% to 71.199%, with random forest again leading among traditional techniques. Advanced models enhance F-measure, ranging from 68.030% to 72.255%. Notably, the BSTO-VGG16-ALNN technique achieves a remarkable F-measure of 95.275%, shows significant improvement over existing techniques. AUC, measuring the area under the receiver operating characteristic curve, provides insight into overall model performance. Traditional techniques exhibit AUC values ranging from 62.639% to 66.864%. Advanced models improve AUC, ranging from 67.920% to 72.145%. Once again, the proposed BSTO-VGG16-ALNN technique excels with an AUC of 95.025%, demonstrating substantial improvement over existing techniques. Fig. 2 highlights the superior performance of the proposed BSTO-VGG16-ALNN technique across multiple metrics

Table 1: Quality measure analysis comparison.

Techniques	Values in %				
	Accuracy	Precision	Recall	F-measure	AUC
	Training				
Decision tree	66.356	62.859	62.639	62.749	62.639
k-nearest neighbor	67.412	63.915	63.695	63.805	63.695
Neural network	68.469	64.972	64.752	64.861	64.752
SVR	69.525	66.028	65.808	65.918	65.808
Random forest	70.581	67.084	66.864	66.974	66.864
Ssd_inception_v2	71.637	68.140	67.920	68.030	67.920
Ssd_resnet_50_fpn	72.693	69.196	68.976	69.086	68.976
Faster_rcnn_inception_v2	73.750	70.253	70.033	70.142	70.033
Faster_rcnn_resnet50	74.806	71.309	71.089	71.199	71.089
Faster_rcnn_resnet101	75.862	72.365	72.145	72.255	72.145
BSTO-VGG16-ALNN	96.235	95.689	94.865	95.275	95.025
	Testing				
Decision tree	68.729	68.056	66.733	67.388	64.091
k-nearest neighbor	69.785	69.112	67.789	68.445	65.147
Neural network	70.842	70.169	68.846	69.501	66.204
SVR	71.898	71.225	69.902	70.557	67.260
Random forest	72.954	72.281	70.958	71.613	68.316
Ssd_inception_v2	74.010	73.337	72.014	72.670	69.372
Ssd_resnet_50_fpn	75.066	74.393	73.070	73.726	70.428
Faster_rcnn_inception_v2	76.123	75.450	74.127	74.782	71.485
Faster_rcnn_resnet50	77.179	76.506	75.183	75.839	72.541
Faster_rcnn_resnet101	78.235	77.562	76.239	76.895	73.597
BSTO-VGG16-ALNN	96.985	96.012	95.867	95.939	95.865

Source: Authors, (2026).

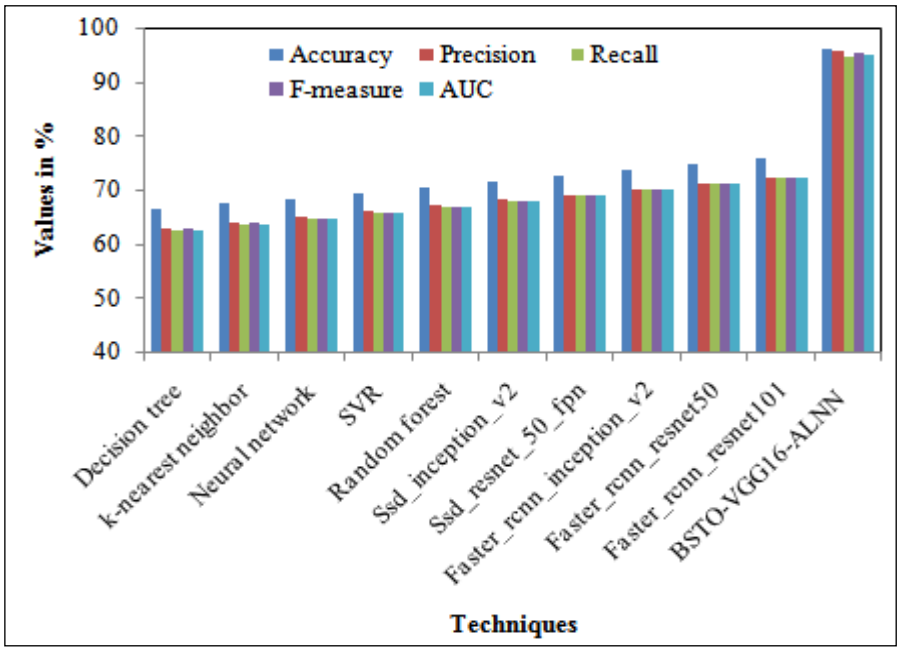


Figure 2: Quality analysis comparison for training samples.
Source: Authors, (2026).

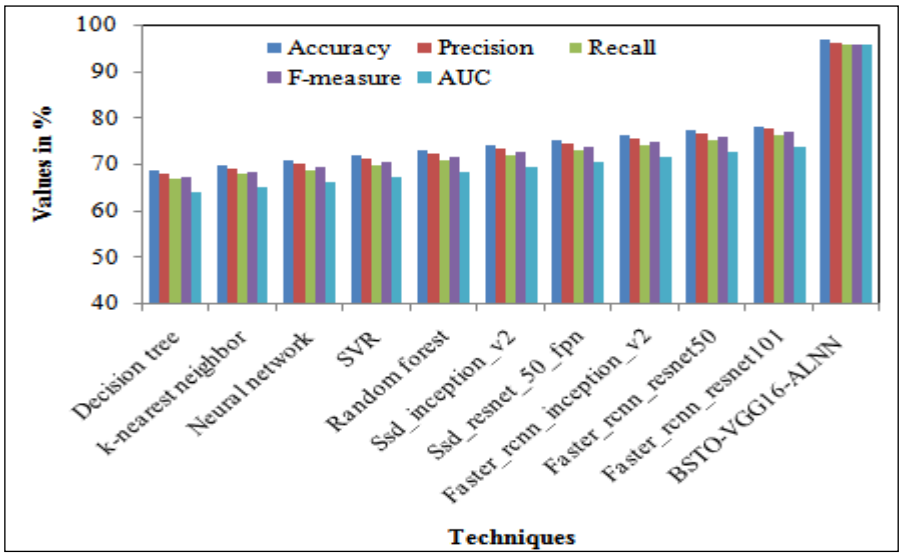


Figure 3: Quality analysis comparison for testing samples.
Source: Authors, (2026).

The quality analysis comparison in Figure 3 focuses on testing samples and provides an in-depth examination of various techniques employed for detecting the cultural heritage of vernacular houses in Sumba Island, Indonesia. In terms of testing performance, traditional techniques such as decision tree, k-nearest neighbor, neural network, SVR, and random forest exhibit accuracy values ranging from 68.729% to 72.954%. Notably, random forest demonstrates the highest accuracy among traditional methods. Transitioning to advanced object detection models, such as ssd_inception_v2, ssd_resnet_50_fpn, Faster_rcnn_inception_v2, Faster_rcnn_resnet50, and Faster_rcnn_resnet101, results in incremental accuracy improvements, ranging from 74.010% to 78.235%. However, the proposed BSTO-VGG16-ALNN technique stands out with a substantial accuracy of 96.985%, shows improvement in precision compared to both traditional and advanced approaches. Traditional techniques exhibit precision values ranging from 68.056% to 72.281%. Advanced models, while generally improving precision, still fall short of the proposed technique. BSTO-VGG16-ALNN technique achieves precision of 96.012%, shows improvement over both traditional and advanced methods. Moving on to recall, highlighting true positives among actual positives, traditional techniques demonstrate recall values from 66.733% to 76.239%, with random forest leading among traditional methods. Advanced models surpass traditional methods, with recall ranging from 72.014% to 76.895%. However, the proposed BSTO-VGG16-ALNN technique achieves an outstanding recall of 95.867%, improvement compared to other techniques. Traditional methods exhibit F-measure values ranging from 67.388% to 75.839%, with random forest again leading among traditional techniques.

Advanced models enhance F-measure, ranging from 72.670% to 76.895%. BSTO-VGG16-ALNN achieves F-measure of 95.939%, shows improvement over existing techniques. Traditional techniques exhibit AUC values ranging from 64.091% to 68.316%. Advanced models improve AUC, ranging from 69.372% to 73.597%. Once again, our BSTO-VGG16-ALNN technique excels with AUC of 95.865%, demonstrating substantial improvement over traditional and advanced approaches.

IV.3 ERROR ANALYSIS

Table 2 presents a comprehensive analysis of error measures, including R-squared (R2), mean relative error (MRE), and max relative error (MaxRE), for various techniques employed in the detection of cultural heritage in Sumba Island, Indonesia. Fig. 4 provides an in-depth analysis of error measures for various techniques employed during the training phase in the cultural heritage detection. In terms of R2, a measure of goodness of fit, traditional techniques such as decision tree, k-nearest neighbor, neural network, SVR, and random forest exhibit values ranging from 0.704 to 0.793. Advanced object detection models, including ssd_inception_v2, ssd_resnet_50_fpn, Faster_rcnn_inception_v2, Faster_rcnn Resnet50, and Faster_rcnn Resnet 101, show incremental improvements in R2, ranging from 0.795 to 0.837. Significantly, the proposed BSTO-VGG16-ALNN technique outperforms all others with an impressive R2 of 0.912, indicating a substantial increase in the model's ability to explain the variability in the data. Traditional techniques demonstrate MRE values ranging from 5.470% to 8.700%. Advanced models generally improve MRE, ranging from 5.220% to 6.700%. The proposed BSTO-VGG16-ALNN technique excels with a remarkably low MRE of 3.235%, shows a substantial decrease compared to all other techniques. MaxRE, representing the maximum difference between predicted and observed values, follows a similar trend. Traditional techniques exhibit MaxRE values ranging from 10.040% to 26.900%. Advanced models, while improving, still have MaxRE values ranging from 6.366% to 19.300%. BSTO-VGG16-ALNN technique stands out with low MaxRE of 6.366%, shows significant improvement compared to all other techniques.

Table 2: Error measure analysis comparison.

Techniques	Values in %			Values in %		
	R^2	MRE	MaxRE	R^2	MRE	MaxRE
	Without PCA			With PCA		
Decision tree	0.704	8.400	26.900	0.764	7.500	20.000
k-nearest neighbor	0.859	5.700	17.700	0.859	5.500	19.600
Neural network	0.673	8.700	21.800	0.840	5.900	18.700
SVR	0.787	6.600	17.700	0.870	5.100	16.500
Random forest	0.793	6.700	19.300	0.818	5.900	18.300
Ssd_inception_v2	0.795	6.470	16.120	0.866	4.900	16.670
Ssd_resnet_50_fpn	0.806	6.220	14.600	0.878	4.540	16.020
Faster_rcnn_inception_v2	0.816	5.970	13.080	0.890	4.180	15.370
Faster_rcnn_resnet50	0.827	5.720	11.560	0.902	3.820	14.720
Faster_rcnn_resnet101	0.837	5.470	10.040	0.914	3.460	14.070
BSTO-VGG16-ALNN	0.912	3.235	6.366	0.929	2.235	5.896

Source: Authors, (2026).

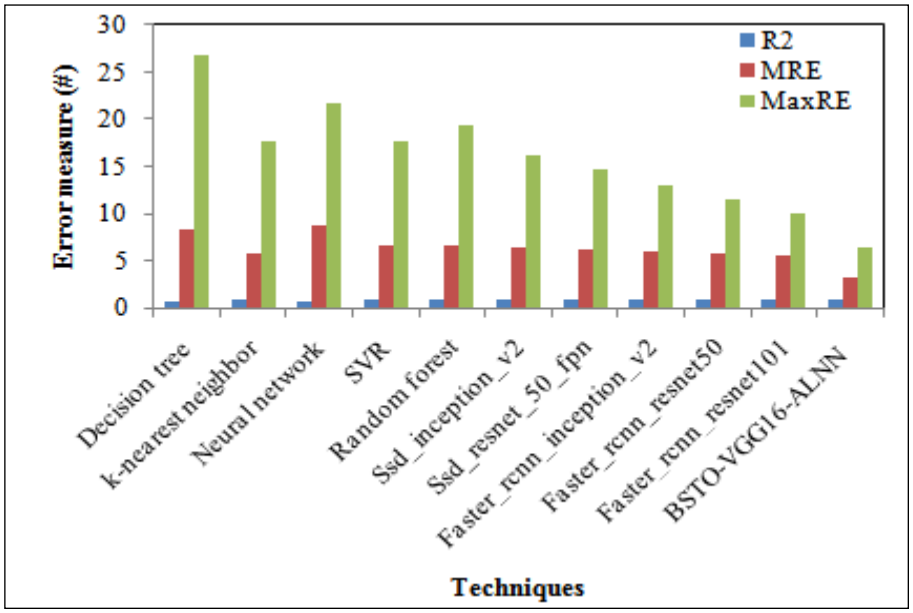


Figure 4: Error analysis comparison for training samples.
Source: Authors, (2026).

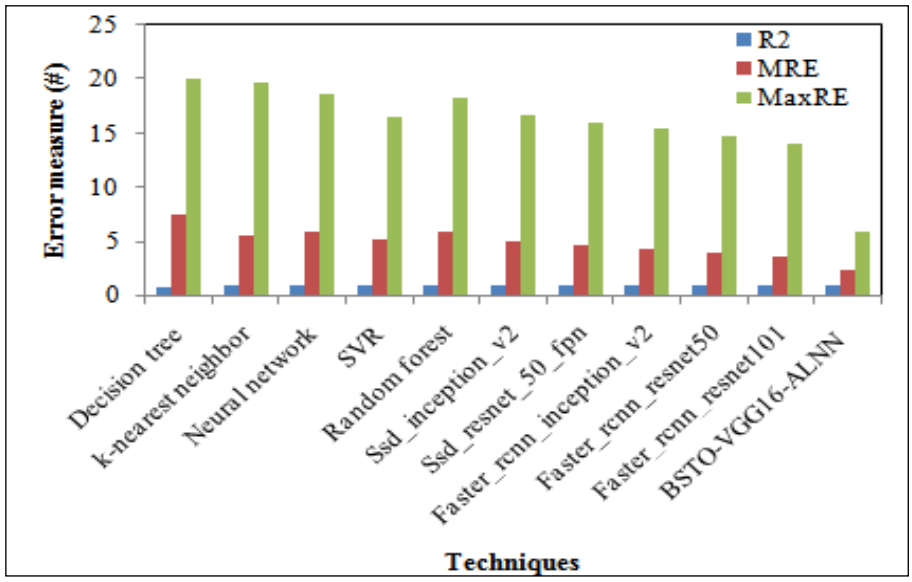


Figure 5: Error analysis comparison for testing samples.
Source: Authors, (2026).

Figure 5 presents error analysis for testing samples across various techniques employed in the cultural heritage detection task. Beginning with R^2, which measures the goodness of fit, traditional techniques like decision tree, k-nearest neighbor, neural network, SVR, and random forest exhibit values ranging from 0.764 to 0.870. Advanced models, such as ssd_inception_v2, ssd_resnet_50_fpn, Faster_rcnn_inception_v2, Faster_rcnn_ resnet50, and Faster_rcnn Resnet 101, show further improvements, ranging from 0.866 to 0.914. Notably, the proposed BSTO-VGG16-ALNN technique stands out with an impressive R2 of 0.929, shows a superior ability to explain the variability in the testing data. Traditional techniques show MRE values ranging from 5.1% to 7.5%, while advanced models generally improve MRE, ranging from 3.46% to 5.9%. BSTO-VGG16-ALNN technique excels with low MRE of 2.235%, shows improvements compared to other techniques. MaxRE, representing the maximum difference between predicted and observed values, follows a similar trend. Traditional techniques exhibit MaxRE values ranging from 14.07% to 20%, while advanced models, though showing improvement; still have MaxRE values ranging from 5.896% to 18.670%. The BSTO-VGG16-ALNN technique stands out with an exceptionally low MaxRE of 5.896%, show a significant improvements decrease compared to all other techniques.

V. CONCLUSION

We have introduced an approach employing advanced technologies for the detection of cultural heritage in the form of vernacular houses in Sumba Island, Indonesia. Our method integrates deep learning techniques and big data analytics to enhance the accuracy and efficiency of cultural heritage detection. The application of the boosted sooty tern optimization (BSTO) algorithm proves effective in precisely segmenting vernacular houses from remote sensing images, showcasing a crucial initial step in our methodology. Leveraging the pre-trained VGG-16 architecture allows us to extract intricate features from the segmented target image, enhancing the depth of our analysis. The subsequent implementation of the hybrid adaptive learning neural network (ALNN) ensures the automatic and precise detection of vernacular houses. Through thorough validation using Sumba Island tiles, our BSTO-ALNN technique shows compelling results, underscoring its effectiveness in accurately identifying and preserving cultural heritage. This method contributes to the broader field of cultural heritage preservation, offering robust and technologically advanced solution for detecting and safeguarding vernacular houses in diverse landscapes such as Sumba Island.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: P. Nandhini.
Methodology: P. Nandhini.
Investigation: P. Nandhini.
Discussion of results: P. Nandhini.
Writing – Original Draft: P. Nandhini.
Writing – Review and Editing: P. Nandhini.
Resources: P. Nandhini.
Supervision: P. Nandhini.
Approval of the final text: P. Nandhini.

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AN INTEGRATED RECOMMENDATION SYSTEM FOR CUSTOMISED E-LEARNING USING THE BERT MODEL

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ABSTRACT

Digitization of education has made education more accessible. With the growing accessibility, the primary challenge for e-learning is to customise the learning environment to the needs and preferences of the learners. The learning can be customised by considering features such as persona type, skill level, learning goal, learning style, educational background, past knowledge, and memory span of learners. The tailored learning environments enhance learner engagement and significantly increase the number of learners who successfully achieve their educational goal. This work presents a recommendation system using the Case-Based Reasoning (CBR) and the Rule-Based Reasoning (RBR) with the Bidirectional Encoder Representations from Transformers (BERT) model embedded for sentence classification. The proposed integrated system has an F1 score of 0.74, indicating the balance between making correct and useful recommendations, and a higher normalised Discounted Cumulative Gain (nDGC) of 0.81 shows that the system ranks the most relevant learning modules at the top of the recommendation list. The classification of learning objectives using the BERT model into predefined domains achieved an accuracy of 95%. The system results in a structured learning path, which is more organized and engaging. The system is beneficial to novice learners, as it reduces failure rates and improves completion time of the learning process.

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I. INTRODUCTION

A Recommendation system is represented as a Decision Support System (DSS), which is used to support the users in decision-making by providing the recommendations based on the analysis of crucial features of items, users, or past experiences. There are three foundational methodologies used in developing a recommendation system: Collaborative Filtering (CF) [1], Content-Based Filtering (CBF) [2], and Knowledge-Based Recommendation System (KBRS). KBRS is a privileged decision-support tool that provides recommendations based on the knowledge base designed by domain experts [3]. RBR and CBR are two major reasoning approaches in the KBRS that are widely used for developing the recommender systems. RBR is a deductive reasoning process, which discovers new findings from a rule base consisting of logical ‘if-then rules’ based on domain-specific knowledge, and the rule engine executes and controls the problem-solving process by matching rules of the rule base and facts of the problem.

CBR, on the other hand, utilises the previous experiences gained from the similar users to make the deductions for the new learner. It may identify past learner profiles similar to a new learner and recommend learning paths that proved successful for past learners. There are some issues associated with CBR and RBR approaches. CBR faces problems such as overspecialization, cold-start and limited content analysis, e.g., The overspecialization issue in CBR occurs when a system repeatedly suggests items very similar to the learner that he has already interacted with. The cold-start problem represents a situation when CBR is unable to provide appropriate suggestions due to insufficient data. The limited content analysis issue in CBR means that the number and type of features related to learning modules are limited.

While this aspect ensures relevance, it reduces novelty and diversity in recommendations, limiting the ability of the system to introduce new or unexpected items to learners. RBR also suffers from a knowledge acquisition bottleneck that means the process of designing rules for the knowledge base requires intensive domain expertise, updating the rules as the learner's needs change over time, and scalability issues as more learners use the system, resulting in more data, which makes the rule-base more complex and the system expensive. To address the various issues with standalone CBR and RBR, the integrated form of the CBR engine and RBR engine is proposed. To develop Knowledge-Based Recommendation Systems, there are four possible approaches for combining the CBR and the RBR [4], [5] engines. This paper utilises the integrated approach where the method of hybridisation is cascade, in which one engine refines the recommendations given by the other engine.

Utilizing the combined advantages of both reasoning approaches, the proposed system offers the accuracy possessed by the RBR engine and the experience adaptability exhibited by the CBR engine. By allowing the system to iteratively improve recommendations, cascade hybridisation helps to mitigate frequent drawbacks, including modelling complexity, overspecialization, and cold-start problems. The integration makes the system's recommendation process more accurate and flexible. The first phase in the proposed approach is the CBR engine, which uses a customized composite similarity metric called Contextual Persona-Scaled Similarity with BERT (CPSS-BERT) to retrieve past cases. BERT is an open-source machine learning framework used in natural language processing (NLP). As BERT reads text in both directions, it understands language better and produces smoother output than one-direction models, resulting in accurate results.

The learner is asked to create the profile with all essential attributes, such as the earning goal, taken as input in sentence format, and the BERT model classifies the sentences to the predefined domains using the CPSS-BERT similarity metric.The profile of the learner is matched to a past successful learner's case in the case-base. The second phase, which uses RBR, employs a set of rules that take into account variables, including learner preferences, memory span, content complexity, and prerequisite completion rate. It refines the initial learning path from the CBR to guarantee that the suggested learning modules are cognitively acceptable, instructionally cohesive, and pertinent. By using the integrated CBR and RBR approach, the proposed system makes sure that the recommendations to the learner are systematically structured and customized according to the learner's preferences.

The integrated approach overcomes the drawbacks of the CBR and RBR by making the recommendations based on the past cases that were successful in achieving the learners' goals. In case there are no past learners in the system, some synthetic data is stored in the case-base database. With the help of a synthetic dataset and rules of the RBR engine, the proposed system generates appropriate customized recommendations even if there is no past learner's case in the case-base database to match with the new learners. Through the profile modelling and custom similarity metric, the system also solves problems such as cold start and data sparsity. Data sparsity refers to the problem that occurs when the user-item interaction matrix is mostly empty because learners interact with a small number of items. The proposed integrated recommendation system provides a reliable, flexible, and learner-centred solution for the e-learning platforms. Key contributions of the proposed recommendation system are as follows:

1. An integrated recommendation framework that combines a CBR and an RBR engines in a layered pipeline. In the proposed system, CBR first retrieves relevant learning paths based on past learners' profiles. The output is then refined by RBR with pedagogical and persona-specific rules to finalize the most suitable path.
2. A solution to the cold-start problem using persona-weighted feature prioritization and BERT-based learning goal similarity allows interpretation of free-text learner goals.
3. A comprehensive set of pedagogical rules are defined based on memory span, learning goal, learning style, and skill level of learners. These rules ensure that recommendations are coherent, manageable, and align educational content with the learner's capability.
4. A progressive profiling mechanism is employed that tracks the learner's activities over time through assessment scores after completing each session and every module. Session consistency represents the engagement of the learner, resulting in improved customization and enhanced quality of the case-base for future CBR retrieval.

The remaining paper presents the following sections: Section II discusses related work of the previous research that has been done in the field of Recommendation systems and e-learning; Section III outlines the methodology of the proposed system with a block diagram; Section IV discusses the implementation of the system using case study; Section V demonstrates the results of evaluation metrics used for validation and comparative analysis of CBR, RBR and the proposed integrated system while section VI concludes the paper.

II. LITERATURE REVIEW

Recommendation systems have gained importance in the field of research over the past few decades. E-learning platforms especially need these smart systems more than ever, mainly to create customized learning paths based on the performance and habits of individual learners. The most widely used methods in the field of e-learning are CF, CBF and KBRS, but these methods have several problems: the cold-start problem, limited control in teaching, and customization of the learning environment. CF systems work with a large amount of data that is presented in the form of learning items, which is difficult for new learners or matching of new items to the existing items. Four different approaches to developing hybrid systems are gaining significance as they ensure adaptability and customization [4], [5].

Hybrid approaches such as weighted, switching, mixed, and cascade to combine the power of multiple recommendations are outlined [6]. The objective is to enhance the knowledge retention capacity of the learners through the recommended solutions. But numerous hybrid models still lack transparency and pedagogical correctness. CBR has been proposed as a suitable approach due to its ability to retrieve and adapt past learner cases that share similar objectives and learning paths. Foundational work outlines the impactfulness of CBR in problem-solving scenarios, while later studies [7] demonstrated its applicability in areas like tourism recommendation. However, when applied to education, particularly in structured domains such as cybersecurity, CBR by itself falls short of providing the necessary pedagogical dimensions.

To overcome this issue, RBR has been integrated with CBR to incorporate domain-specific rules to solve this problem. A hybrid system in medical decision-making was reported [8]. A multi-layered architecture [9] in the field of e-learning is proposed, while a hybrid adaptive system utilising expert rules and ontology matching is presented [10]. The recommendation systems are based on semantic intelligence, persona awareness, and adaptive path control [11-13], whereas MOOCs and intelligent teaching systems have been outlined, in which the number of current Recommendation systems uses various features like framework design, learner memory retention, and the objective of the learning [14], [15].

As the representation of data of knowledge database is crucial to recommend solutions, the study [16] proposed a framework for a knowledge graph that is multidimensional, in which it models the progress of the learner, prerequisite modules, and content structure and similarly. ERSDO, which is an ontology-based system [17], is presented that dynamically customise learning modules and their connections. A Crop Recommendation System [18] using machine learning is proposed that generates recommendations about suitable crops based on the climate and the soil. The data-driven approach of the work presents how adaptability is enhanced through predictive modelling. A trust-aware model using Deep Matrix Factorization [19] is proposed that presents the accuracy and reliability of the recommendation that can be improved by integrating the trust level of the user.

A movie Recommendation system is outlined [20], showing that the adaptability and customization can be improved by using the hybrid and deep learning approaches. The hybrid recommendation systems using the sentimental analysis is presented [21], which demonstrates the importance of adaptive profiling and ranking of learning modules in the field of e-learning. The above-mentioned studies describe that the most common recommendation systems in e-learning are driven by CF, CBF and KBRS, and some of them are semantic-based, ontology-based or hybrid as well, but they fail to make a recommendation system that is adaptable, transparent, pedagogically precise and customised and solves the issues such as cold start, data sparsity, overspecialization, etc.

This paper proposes a system that combines CPSS-BERT for semantic learning goal similarity enhanced by persona-weighted feature mapping, RBR for expert logic enforcement, and CBR for historical learner case retrieval. The BERT model [22], [23] has been utilised for analysing the learning goal, as it works well with modelling, classification and relevance of textual information. This multi-layered pipeline ensures that the learners are precisely matched to past successful cases, pedagogically correct, and adaptive to the learners' preferences. The proposed system is designed to use an integrated approach that tightly couples the CBR and RBR and ensures that it is adaptable to any type of domain where accuracy, pedagogy, and adaptiveness are significant.

III. RESEARCH METHODOLOGY

With education shifting from conventional classrooms to online platforms, there is a growing need for intelligent systems to help students reach their goals by providing them with customized educational content based on their individual profiles, including background, past knowledge, skill level, and so forth. The growing demand for customized learning also presents a significant challenge in the field of e-learning. This paper outlines an integrated recommendation system for customized e-learning that tightly couples the RBR engine within the CBR cycle. The proposed system helps the learners to achieve the learning goal through appropriate recommendations according to the learner's preferences, goals, and receptiveness. It uses two types of knowledge-based reasoning: CBR and RBR. The proposed system is deployed within a learning management platform designed to support customized learning paths for each learner.

It provides learner-specific profiles that include information such as persona type, learning goal, prior knowledge, skill level, memory span, preferred learning style, and content format. After the profile modelling phase, the profile of the learner is given as the input in the CBR engine, which has four processes. The first process uses a customized similarity function, CPSS-BERT; the system identifies past learner cases that are similar to the target learner. The similarity function encompasses both the profile's attribute matching and the learning goal comparison to the predefined domains using BERT embeddings, which is often used for quality e-learning through assessment, relevance of domains to the learning goal, and textual analysis [24]. The CBR engine generates initial learning path recommendations for the RBR engine. After the initial recommendations are made, the initial learning path is given as input to RBR.

A set of rules are applied to validate, refine, and organize the learning path pedagogically. These rules are designed to implement content prerequisites, align instructional difficulty with the learner's receptiveness, and ensure a pace that matches the capacity of the learner. The rules ensure that the learning path is aligned with the learner's preferences. The system supports adaptive content delivery by recommending multiple learning styles, such as text, video, labs, and projects, which is based on the learner's given preference of style and performance history. It also provides time-based estimates of course completion by measuring study sessions on a daily basis, which help learners to plan lessons more effectively.

With the combined strength of CBR for finding the past similar learner's case and the RBR engine for rules filtration, which refines the learning path recommendation, the proposed recommendation system provides a customized, adaptive, and pedagogically suitable e-learning environment. The integrated approach of CBR and RBR engines improves learner involvement, ensures efficient time utilization, and improves knowledge acquisition in e-learning environments. The proposed recommendation system is designed to develop customized learning paths and modules by analysing the learner's receptiveness, preferences, goal, content duration, session duration, and session consistency, as illustrated in Figure 1. A detailed explanation of each phase is provided below.

III.1 REGISTRATION AND LOGIN

Learners use the proposed system through an e-learning platform that works for both new and existing learners. Existing learners can directly log in to the e-learning system and get access to the customized dashboard, which contains progress reports of the previously chosen learning paths. New learners are asked to complete a registration process before logging in. Login data contains details of the learner, such as email ID, password, age, gender, and so on. Once the successful authentication is completed, new learners are redirected to the profile modelling phase.

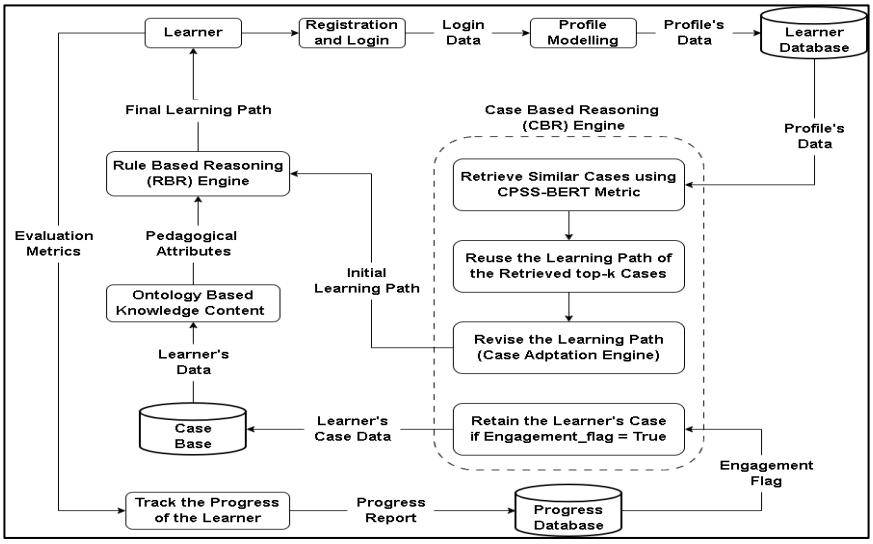


Figure 1: Block Diagram of the Proposed Integrated Recommendation System for E-Learning.
Source: Authors (2026).

III.2 PROFILE MODELLING

Following the completion of authentication, new learners are directed to the profile modelling phase, where attributes of the learner that are most crucial for an online education, such as the learner's persona type, learning goal, skill level, background, memory span, learning style, and prior knowledge, are gathered through a questionnaire. A quiz is designed to gauge the previous knowledge of the learner using the learning goal, skill level and background. The content recommendations and a personalised learning path are guided by the learner's profile. The next phase involves the CBR engine, which is the core of the proposed system.

III.3 CASE-BASED REASONING (CBR) ENGINE

Once the profile modelling phase is complete, then the attributes of the learner's profile are given as the input to the CBR Engine as the profile data, as illustrated in Figure 1. The profile data contains the learning goal, the learning preferences, and receptive capacity. CBR is employed for retrieving and adapting learning paths from previously retained learner cases in the case-base database that are similar to the new learner. The retrieval in the CBR engine is done by using a customized composite similarity function called Contextual Persona-Scaled Similarity with BERT Fusion (CPSS-BERT).The CBR engine operates through the CBR cycle, consisting of four steps—Retrieval, Reuse, Revision and Retain—that systematically align and adapt leaner profiles to generate customized learning path recommendations. Algorithm 1 for a CBR, which returns the final adapted case, is described below. This helps the system to learn from past learner experiences while adjusting to the needs of each new user. Each phase of the CBR engine is discussed below in detail.

Algorithm 1

1. *Initialize pre-trained* ***BERT-based similarity model****,* $CPSS_{BERT}$.
2. *Initialize empty list:*
   $Scored_Cases \leftarrow \emptyset$
3. ***For each case*** $c \in KB$:
   a. *If* $c.description$ *is missing, set*
      $c_{desc} \leftarrow concat(c.module_titles)$
   b. *Compute* ***BERT-based semantic similarity*** *between* u *and* c:
      $Sim_{BERT}(u,c) = 1 - \frac{g_u \cdot g_c}{\|g_u\| \|g_c\|}$
      where g_u *and* g_c *are embedding vectors of* u *and* c.
   c. *Compute* ***attribute-level similarities (if available)****:*
      (i) Categorical attribute:
      $Sim_f(u,c) = 1 - \frac{|index(u) - index(c)|}{max_distance}$
      (ii) Set-based (multi-select) attribute:
      $Sim_f(u,c) = \frac{|u \cap c|}{|u \cup c|}$
      (iii) Numerical score attribute:
      $Sim_f(u,c) = 1 - \frac{|u - c|}{max_score}$
   d. *Compute* ***overall similarity*** *by combining structured and semantic similarities:*
      $Sim_{total}(u,c) = \alpha \sum_{f=1}^{n} w_f \cdot Sim_f(u,c) + (1-\alpha) \cdot Sim_{BERT}(u,c)$
   e. *Append cases and its score:*
      $Scored_Cases \leftarrow Scored_Cases \cup \{(c, Sim_{total}(u,c))\}$
4. *Sort* $Scored_{Cases}$ *in descending order of* $Sim_{total}(u,c)$.
5. *Select top-k similar cases:*
   $Top_k = Sorted(Scored_Cases)[1:k]$
6. *Return* Top_k.

Source: Authors, (2026).

III.3.1 Retrieve: CPSS-BERT Similarity Matching

On the completion of the profile modelling phase, the learner's profile is matched against a case-base of prior learners using a composite similarity function called CPSS-BERT. Each structured attribute f in the learner profile such as skill level, memory span, background, learning style, prior knowledge and assessment score, are compared with the corresponding attribute in a previous case $\boldsymbol{c}$, using tailored similarity functions that return a normalised similarity score $\boldsymbol{Sim_f(u,c)}$ in the range [0,1], where:

i) $\boldsymbol{u}$: the new (target) learner's profile.
ii) $\boldsymbol{c}$: a past learner case from the case-base.
iii) $\boldsymbol{f}$: a specific feature/attribute.
iv) $\boldsymbol{w_f}$**:** the persona-specific weight assigned to the feature $\boldsymbol{f}$, based on its relevance to the learner's motivational type.

For different types of attributes, this study employs different metrics such as categorical distance, set-based Jaccard, and numerical score distance [25], [26]. For ordinal features such as skill level, the similarity is computed using a normalized distance metric, as given in (1) as,

$$Sim_f(u,c) = 1 - \frac{|index(u) - index(c)|}{\max_distance} \quad (1)$$

In the ordinal similarity function, $index(u)$ and $index(c)$ represent the respective index positions of the learner and the historical case for a given ordinal feature. The variable max_distance denotes the maximum possible index difference in this ordered list, which ensures normalisation of the similarity score between 0 and 1. When the new learner and past learner case have multi-select categorical preferences, the Jaccard similarity shown in (2), which works on categorical data, is computed.

$$Sim_f(u,c) = \frac{|u \cap c|}{|u \cup c|} \quad (2)$$

The Jaccard similarity is used for comparing categorical set-based attributes such as learning styles based on the intersection and union of preferences between the new learner and a past learner case. In this context, $|u \cap c|$ denotes the count of shared styles of learning between the learner u and the case c. Conversely, $|u \cup c|$ denotes the total number of distinct learning styles present across both profiles, capturing the full diversity of preferences expressed by either case. For numerical attributes such as assessment scores obtained from prior knowledge quizzes and module test scores, similarity is calculated by normalizing the absolute difference between learner and case scores using (3).

$$Sim_f(u,c) = 1 - \frac{|u-c|}{\max_score} \quad (3)$$

The numerical similarity is calculated using assessment scores, where u represents the quiz score of the learner, c is the score from a past learner case, and max_score represents the maximum score that is possible (commonly 100). This approach normalizes the similarity between the two scores on a scale from 0 to 1. Once similarity scores are calculated for features like skill level, learning style, and memory span, they are scaled using feature-specific weights w_f, that are assigned dynamically based on the learner's persona. For example, a beginner or new learner may benefit more from features like past knowledge and memory span, while professional may focus on learning objectives and preferred content type. The retrieve step comprehends the meaning of the learning goal in sentence form given by the learner, and the similarity between the learner's and the new learner's goal is calculated using (4), which is based on the cosine similarity measure used in Sentence BERT [27].

$$Sim_f(u,c) = 1 - \frac{g_u \rightarrow . \, g_c \rightarrow}{\| g_u \rightarrow \| . \, \| g_c \rightarrow \|} \quad (4)$$

In (4), $g_u \rightarrow$ and $g_c \rightarrow$ represent the semantic embedding vectors of the learner's and the past learner's case goals, respectively, $\| g_u \rightarrow \|$ and $\| g_c \rightarrow \|$ denote the Euclidean magnitude of vectors. This component ensures adjustment between the semantic intent of the learner and previous learners, even if text given by the learner differs significantly. The final overall similarity score $Sim_{total}(u,c)$ is derived in (5) by combining the weighted sum of all structured similarities with the semantic similarity:

$$Sim_{total}s(u,c) = \alpha \sum_{f=1}^{n} w_f . Sim_f(u,c) + (1-\alpha) \, . \, Sim_{BERT}(u,c) \quad (5)$$

Where the parameter $\alpha \in [0,1]$ is a tuneable weight that controls the comparative importance of the structured feature-based resemblance and the semantic correlation derived from BERT embeddings. A higher value of α places more emphasis on the structured attributes such as skill level, memory span, and learning style, while a lower value shifts the focus towards semantic alignment of learning goals. Here, n represents the total number of structured features, w_f is the persona-weighted importance of feature f, and $Sim_f(u,c)$ is the similarity score for feature f between the current learner u and a historical case c. The term $Sim_{BERT}(u,c)$ quantifies the semantic similarity between the new learner's stated goal and of the past learner's case, using cosine similarity on BERT-generated embeddings. The top-k past learner's cases with the highest total similarity scores are selected using the CPSS-BERT similarity function for generating the learning path of the new learner.

III.3.2 Reuse: Learning Path Retrieval

The learning paths are extracted from the top-k retrieved past learners' cases. These paths consist of sequences of modules, for example, videos, texts, labs, etc., associated with the target learner's goal. Modules frequently appearing among the top-k cases are prioritized, and their success outcomes, such as completion rate and failure rate, are factored into an initial learning path for the new learner. Once the initial learning path is generated, it is transferred as input to the next phase—the case-adaptation engine.

III.3.3 Revise: Case Adaptation Engine

After the retrieval and reuse process completed by the CBR Engine, the proposed system presents a Case Adaptation Engine, which implements the Revise step. The learning paths are adapted according to the new learner profile, which are retrieved from the previous past cases. The adaptation process considers various major personal characteristics to customize the learned path based on the current learner's environment, such as the learner's daily study slots available, as they represent typical learning habits that are used to determine pace and estimated completion time for each module. The learner's memory span, whether short, medium, or long, impacts the intervals of repetition content and review modules to facilitate efficient learning.

The learner's learning style preferences are included in the learning path given by the recommendation system. Each module on the recommended path is thoroughly analysed and tailored to fit the unique attributes of the learner.The duration of each module is adjusted based on the daily hours offered by the learner. The level of educational content is customised based on the learner's previous knowledge and capability; individuals with lower evaluation grades or shorter retention capacity are offered basic modules and supplementary revision-based material. The content format is tailored to the learner's preferred style; for example, text modules may be replaced with videos or interactive labs.

Adaptation rules ensure that the retrieved learning path from the case-base is adapted according to the learner's needs and preferences, which results in the initial learning path. This step is executed before the RBR engine phase, which takes the initial learning path as input and refines it more. The Case Adaptation Engine follows Algorithm 2 described below. The customized recommendation contains a studied set of learning modules consisting of theoretical material, videos, labs, and evaluations customized to the ability of the learner, memory span, learning style, and declared learning goals. It is a basic learning path, maximized for relevance and engagement, that will be further tested and finalized by the RBR engine to provide pedagogical integration and lesson alignment.

III.3.4 Retain: Case Storage and Update

After the complete representation of the case-base data, rule refinement, learner interaction, and progress tracking, the system monitors the outcomes and retains the updated learner case, including profile, learning path, and results in the case-base database. This enables continuous improvement and adaptability of future recommendations. If a learner successfully completes the learning path, the system stores that learner's case in the case-base database with the learning path for future case-based retrieval, as shown in Figure 1 above.

III.4 ONTOLOGY-BASED KNOWLEDGE MODELLING

The ontology model organizes the knowledge content into a set of interconnected entities that collectively define the pedagogical and learner-centred aspects of the system. E-learning course strategy is represented as the central entity that connects the four major components, such as learner's profile, learner's behavior, learner performance, and content structure. The entities and their attributes are stored in the data dictionary that serve as the semantic input source for the RBR engine in the system. The integration of the ontology model with the RBR engine forms the semantic bridge between structured data and intelligent decision-making. During execution, the ontology retrieves relevant pedagogical and learner-specific information from the data dictionary and provides it as semantically structured input to the RBR engine. The RBR engine then applies predefined instructional and pedagogical rules to match ontology attributes with suitable learning modules. The working of the RBR engine is explained in detail in the following phase.

Algorithm 2

1. Initialize Initial_Learning_Path ← ∅ (empty)
2. IF learning_Styles is a single string, THEN convert it into a list.
3. For each (Case, Score) in Extracted_Learning_Paths:
a. Set Modules_List ← Case.Modules
b. Initialize Filtered_Modules ← ∅ (empty)
c. For each Module in Modules_List:
For each Style in Preferred_Styles:
IF Style partially matches Module.Format (case-insensitive),
THEN Add Module to Filtered_Modules and break the inner loop.
d. IF Filtered_Modules is empty, THEN assign original Modules_List as fallback.
e. Update Case.Modules ← Filtered_Modules
f. Append updated Case to Initial_Learning_Path
g. IF optional case limit k is reached, THEN exit loop.
4. Return Initial_Learning_Path
End

Source: Authors, (2026).

III.5 RULE-BASED REASONING (RBR) ENGINE

The initial learning path that is generated by the CBR engine based on the learner's profile is fed to the RBR engine as input that further enhances the learning path through pedagogical logic. The RBR engine follows Algorithm 3 described below that fine-tunes the learning sequence. The role of the RBR engine is to enhance the instructional validity of the learning path by applying domain-specific rules developed by a domain expert of curriculum principles and prerequisite modules. The refinement process begins with the retrieval of pedagogical metadata from the case-base database. This metadata covers aspects such as module difficulty level, prerequisite relationships, learning modules, and memory span indicators. These pedagogical descriptors are organised in the learning modules in a smart way so that the order of recommended modules matches both the learner's personal needs and proper educational design principles. The set of rules defined by the domain expert are applied to the initial learning path generated by the system to refine it iteratively.

III.6 PROGRESS TRACKING MODULE

The proposed system tracks the progress of the learner through learning activities, which helps to observe the performance and engagement level of the learner. It also suggests areas where the learner can improve. The data of the progress tracking is stored in the progress database that acts as a centralized hub for containing and maintaining the actions performed by the learners during the engagement with the proposed system. Data in the progress database contains session-specific metrics like session duration and session consistency and performance metrics like completion rate, failure rate, and recurrence rate of the learner. Learning preferences are tracked by observing the formats that the learner interacted with most, such as videos, labs, text, or projects. The database provides validation checks for the learner's initially declared preferences. The system also takes into account content structure, such as verifying whether learners are engaging] well with the structured, and pedagogically accurate modules and whether the content is up to date.

This may flag any system inconsistencies for subsequent revision. Based on these factors, the system calculates an overall engagement assessment called Engagement Flag. This flag indicates various states of the learners: *Success*, denoting completion of the learning path, and *Recurrence*, reflecting repeated revisits of modules, or *Failure*: showing the low engagement or incomplete modules. The results, along with session metrics, are stored in the Progress Database. If a learner successfully completes the learning path, the system stores that learner's case in the case-base database with the learning path for future case-based retrieval, as shown in Figure 1 above. The refining of the learning path makes sure that the proposed recommendation system evolves as real learner data increases and ensures the adaptability and correctness of the system.

Algorithm 3

1. Initialize Final_Learning_Path ← ∅
2. Retrieve Memory_Span, Learning_Style, Skill_Level from Learner_Profile
3. For each Case in Adapted_Cases:
a. Set Modules_List ← Case.Modules
b. Initialize Refined_Modules ← ∅
***Rule** 1 - Memory Retention:*
IF Memory Span is short, THEN add a learning model M with revision frequently.
IF Memory Span is long, THEN add a long duration learning modules.
***Rule** 2 – Define the difficulty level of the Module:*
For each learning module M in Refined Modules,
IF Module.Difficulty > Skill_Level of learner, Then add basic modules in the learning path.
***Rule** 3 – Structure the content according to the preferred Learning style:*
For each M in Refined Modules,
IF Module.Format ≠ Learning Style of the learner, Then insert a different style of modules.
4. Assign Case.Modules ← Refined Modules
5. Add the learner's Case to Final Learning Path
6. Return Final Learning Path
End

Source: Authors, (2026).

IV. IMPLEMENTATION OF THE PROPOSED SYSTEM

To demonstrate the application of the proposed integrated recommendation system, a detailed walkthrough is presented for a new learner interacting with the e-learning platform offering cybersecurity education. This case study illustrates how each phase of the methodology is applied to construct a customized and pedagogically precise learning path for the learner, using structured profile modelling, integrated case-based rule-based reasoning-driven recommendation, and intelligent content sequencing. Python's Transformers and TensorFlow 2.0 libraries were used to implement the BERT model along with the Hugging Face library of Python transformers. The proposed recommendation system is implemented using Python 3.13.0 and React.js is used for the front-end framework. The case study for the new learner is mentioned below.

IV.1 CASE STUDY

A new learner, *Riya Sharma*, visited the e-learning platform for the first time. Upon accessing the registration page, Riya created an account by entering her name, email, and basic credentials. Once Riya registered and logged in to the system with the valid login credentials successfully, she was redirected to the profile modelling phase.

It is the first phase of the proposed system, where the learner gives inputs and answers the various questions like the persona of the learner; that is, which category the learner belongs to, such as college student, job seeker or professional looking for a career change. Riya selected the college student as her persona. The next set of questions include the learning goal in the form of a sentence. The system used the BERT model to classify the learning goal to the predefined domains. For the cybersecurity e-learning, she entered the learning goal as "I want to become an ethical hacker", which was then classified to the 'ethical hacking' domain of the proposed system. This classification helps the system to ensure that the learning path only contains the learning modules related to the given learning goal of the learner. Furthermore, she selected her skill level, which had the three options such as beginner, intermediate or advanced. She selected the beginner level as her level of skill. She was also asked to choose from which background she belonged, such as tech or non-tech. She selected *tech* as her background, as she knew about the computer fundamentals and could complete basic modules without any difficulty.

She was also asked for her preferred learning style, such as text, video, lab or projects. The system presented her a quick test on the principles of general computing and logic to evaluate her past knowledge. Riya scored 30%, indicating limited baseline knowledge. This score was recorded and used to tailor the learning path, ensuring she begins with foundational concepts. Subsequently, Riya answered behavior-based questions to estimate her memory span. Based on her responses, she was classified as having a *medium* memory span, suggesting an average retention capacity and a need for moderately paced content review. Upon the completion of the profile modelling phase, all collected data was stored in the learner profile database. The structured profile was input to the CBR engine, which started the recommendation pipeline by finding similar past learner cases using Algorithm 1 that employs the CPSS-BERT similarity function using (5) to combine the similarities of each attribute individually as obtained using (1-4). Overall similarity of learners was obtained using (5) depending on the weights given by the academicians to the attributes for persona types as shown in Table 1.

Table 1: Weight assigned to attributes according to the Persona of the learner.

Feature	Student	Career Switcher	Enthusiast	Professional
Skill Level	0.25	0.30	0.30	0.20
Prior Knowledge (Quiz)	0.30	0.25	0.25	0.20
Memory Span	0.20	0.10	0.15	0.15
Learning Style	0.10	0.15	0.10	0.15
Content Preference	0.10	0.10	0.10	0.20
Learning Goal (BERT)	0.05	0.10	0.10	0.10

Source: Authors, (2026).

As there were 3 past cases stored in the case-base database, namely, Case A, Case B, and Case C. The values of similarity for each case attribute are given below:

Case A: Skill = 1.00, memory span = 0.50, learning style = 0.50, prior knowledge = 0.98, learning goal = 0.98, background = non-tech (0),
Case B: Skill = 0.50, memory span = 0.50, learning style = 0.25, prior knowledge = 0.65, learning goal = 0.225, background = non-tech (0),
Case C: Skill = 1.00, memory span = 1.00, learning style = 0.25, prior knowledge = 0.95, learning goal = 0.99, background = tech(1).

The system first calculated the similarity of the new learner to Case A, where each attribute was computed and multiplied by the weights. And the overall similarity score was obtained as 0.795. Similarly, the similarity of Case B and Case C was computed, where the achieved similarity scores for Cases B and C were obtained as 0.481 and 0.834, respectively. The top similar past learners were Case C (highest) and Case A (the second highest). From these retrieved cases, top similar cases such as A and C were passed to Algorithm 2, which extracted the learning paths from the top similar past learners and shortlisted the desired learning modules, which resulted in the initial learning path as depicted in Figure 2. The resulting initial learning path was fed as input to the RBR refinement engine, where pedagogical rules were applied. The RBR engine used Algorithm 3 for refining the learning path. The rules of RBR filtered out modules as per Riya's current skill level, reordered the content based on prerequisites, and matched content formats to her preferred style.

After rule refinement, a final customized learning path was generated and displayed to Riya on her dashboard as shown in Figure 3. The dashboard also included an introductory message highlighting the estimated duration, content types included, and next phases to begin the learning journey. As Riya engaged with the system and interacted with learning modules, the system tracked the learner's activity and behavior, which helps in computing her performance metrics. The system analysed Riya Sharma's progress data to calculate the performance metrics, such as completion rate, failure rate, and recurrence rate. Out of 10 learning modules in her ethical hacking learning path, Riya successfully completed 8, failed 1, and left 1 module incomplete. Furthermore, the system calculated a completion rate of 80%, indicating a successfully achieved learning goal and strong engagement of the learner.

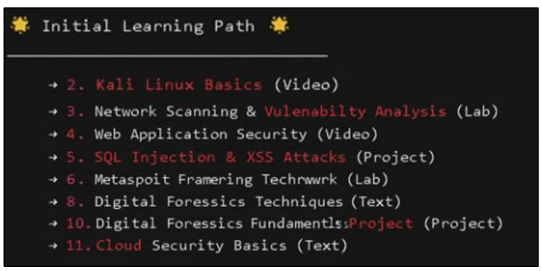


Figure 2: The initial learning path extracted and adapted to learner's profile using Algorithm 2.
Source: Authors, (2026).

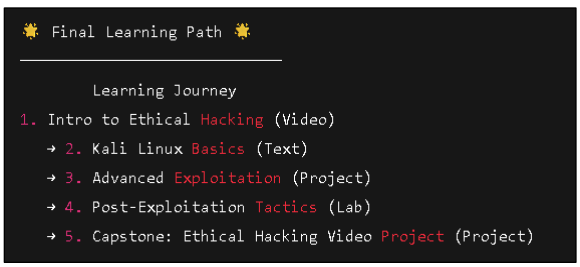


Figure 3: The final learning path generated according to the learner's need using Algorithm 3.
Source: Authors, (2026).

The failure rate of the learner was obtained as 20%, representing challenges in advanced topics and leaving the learning journey in the middle. Revisiting three modules, Riya exhibited a 37.5% recurrence rate, which corresponded to her moderate memory span and need for reinforcement.

V. RESULTS AND ANALYSIS

In this section, evaluation of the proposed system was performed. A total of 100 participants were considered for the study. The participant's learning goals were classified in six predefined cybersecurity domains: web security, bug bounty hunter, network security, penetration testing, ethical hacking, and Android security, The study may be extended to other domains of different subjects. The integrated system makes the profiles of a learner, and uses the BERT model to analyse the learning goal to classify it. The evaluation of the BERT model is given below.

V.1 BERT MODEL PERFORMANCE

The BERT model used the publicly available "Attack Dataset" from Kaggle.com [28]. The dataset was processed to handle inconsistencies, archive class balance, and ensure relevance for learning goal classification. The performance of the BERT model was evaluated using the standard classification metrics—Accuracy, Precision, Recall, and F1-score. Here, True Positives (TP) represent sentences correctly classified into their intended category, True Negatives (TN) denote sentences not belonging to the desired category, False Positives (FP) indicate sentences incorrectly assigned to a chosen category, and False Negatives (FN) correspond to sentences belonging to a category but were not correctly classified. The BERT model was trained on a total dataset of 14,134 labelled sentences, where the values of TP, TN, FP and FN were obtained as 11,800, 1,650, 344 and 340, respectively. The resulting system achieved an accuracy of 0.95, a precision value of 0.97, a Recall value of 0.971, and an F1-score of 0.971. These results confirm the BERT model's robust contextual understanding, enabling accurate and intelligent domain classification. The subsequent section computes the metrics used for validating the proposed recommender system.

V.2 VALIDATION OF THE PROPOSED SYSTEM

The performance of the proposed system was evaluated through the metrics mentioned below. Metrics such as Precision, Recall, F1-score, Normalized Discounted Cumulative Gain (nDCG) [24], the Instructional Coherence Rate (ICR) [25], Learning Path Effectiveness (LPE) [29], and the Engagement Score [30] were utilised to validate the projected system. The three different approaches of KBRS, such as CBR-only, RBR-only and the proposed integrated system, were compared. The resultant values of the validation metrics are given in Table 2, which outlines that the proposed integrated system outperforms the standalone CBR and RBR systems. The integrated system, for instance, obtained the highest precision (top 5 recommendations) score of 0.78, indicating that the top five suggestions were pertinent. It presented a higher percentage of all appropriate resources for learners, as shown by Recall (Top 5 recommendations) score of 0.70. The value of the F1-score (top 5 recommendations) was obtained as 0.74, which strikes a compromise between Recall and Precision, representing a balance between suitable recommendations and identifying all useful learning modules.

Table 2: Comparison of CBR, RBR and Integrated System.

Metric	CBR Only	RBR Only	Proposed Integrated Recommendation System
Precision	0.68	0.70	0.78
Recall	0.60	0.58	0.70
F1-Score	0.64	0.63	0.74
nDCG	0.69	0.68	0.81
Engagement Score (/10)	6.2	6.5	8.4
ICR	0.72	0.76	0.89
LPE	0.75	0.77	0.91

Source: Authors, (2026).

With a nDCG of 0.81 (Top 5 recommendations), the integrated system had the highest ranking, indicating the most relevant items were placed higher in the list of recommendations. The comparison of CBR-based, RBR-based and integrated CBR-RBR, using the set of metrics is illustrated in Figure 4. The results show that both individual models were surpassed by the integrated proposed approach across the evaluation metrics.

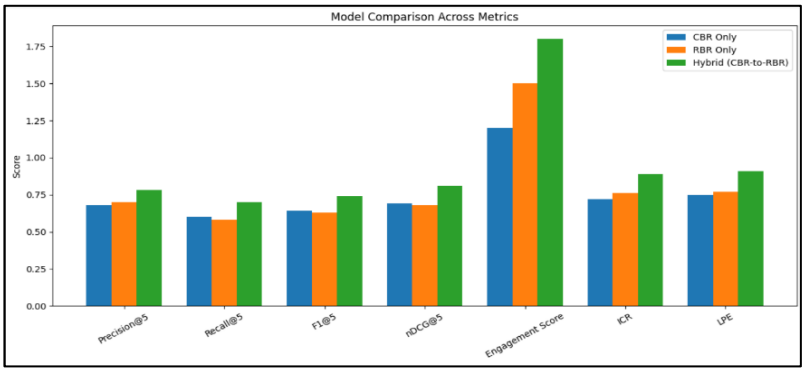


Figure 4: Comparison of CBR, RBR and Integrated System.
Source: Authors, (2026).

VI. CONCLUSIONS

This study proposed an integrated recommendation system using the BERT model that outperforms the standalone CBR-only and RBR-only systems. The integrated system overcomes the issues of the traditional recommendation systems like CF, CBF, and KBRS. The proposed system solves the cold-start problem by integrating the pedagogically and expert-designed rules of the RBR engine in the CBR cycle for non-existing past learners' cases. The CBR engine addresses the issue of data sparsity by using the past cases only if explicit data of the learner was insufficient, and in that case, RBR provides a fallback expert recommendation. The custom CPSS-BERT metrics used the BERT model to classify the learning goals of the learners, which helped the system to recommend more customised learning paths that resolved the overspecialization to some extent.

The integrated recommendation system achieved an engagement score of 8.4 out of 10, suggesting that learners showed the highest engagement and completed most of the modules in the suggested learning path. With an Instructional Coherence Rate (ICR) of 0.89, most of the recommended learning paths followed the right order and fulfilled the necessary requirements of learners. The Learning Path Effectiveness (LPE) value of 0.91 indicated that a majority of the learners effectively completed the prescribed paths and achieved high scores in the post-assessment phase. The proposed system provides a consistent and learner-centred solution for the e-learning platforms.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Vibha Gaur.
Methodology: Jatin Singh, Priyanka Sharma.
Investigation: Amul Bharti and Jatin Singh.
Discussion of results: Amul Bharti, Nirbhay, Jatin Singh, Vibha Gaur
Writing—Original Draft: Jatin Singh.
Writing—Review and Editing: Amul Bharti and Nirbhay.
Resources: Amul Bharti.
Supervision: Vibha Gaur, Priyanka Sharma.
Approval of the final text: Vibha Gaur .

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RESEARCH ARTICLE OPEN ACCESS

LIFTING BASED BLOCK FRACTIONAL WAVELET FILTER COMPRESSION OF HYPERSPECTRAL IMAGES OVER WIRELESS MULTIMEDIA SENSOR NETWORK PLATFORMS

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ABSTRACT

In the rapidly development of remote sensing technology, the compression of Hyperspectral Images is a pivotal yet formidable task. Hindered by inherent limitations in hyperspectral imaging, enhancing the accuracy and efficiency of compression algorithm remains a critical and much-debated issue. Algorithms using set partition wavelet transforms excel in hyperspectral image compression due to their embedded nature, coding efficiency, and low complexity. Specifically, the Fractional wavelet-based zero memory set partitioned embedded block algorithm achieves high coding efficiency with lower memory demands, though its method of repeatedly comparing coefficients to a threshold is time-intensive. To solve this, a new algorithm has been developed that optimizes both computational and memory complexity. It employs a block-based fractional wavelet filter (BFrWF), which delivers the same accuracy as conventional transforms but requires far less memory. The Block-based Fractional Wavelet Filter is a low-memory technique for image transformation, but its high computational complexity makes it impractical for resource-constrained devices in IoT and Wireless Sensor Networks. Additionally, it produces blocking artifacts due to improper handling of block boundaries. This paper introduces a new lifting-based version of BFrWF that eliminates these artifacts by correctly overlapping image blocks. This new implementation with low complexity zero memory set partitioned embedded block (LC-ZM-SPECK) achieves higher coding efficiency, making it well-suited for resource constraint visual sensor nodes.

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I. INTRODUCTION

Hyperspectral imaging (HSI) represents a significant analytical advancement as a non-destructive, integrative technology that merges the principles of imaging and spectroscopy to simultaneously capture both spatial and extensive spectral data from a target. Unlike conventional imaging that operates in broad bands, HyperSpectral (HS) image acquires detailed information across a contiguous series of tens to hundreds of narrow, adjacent wavelength bands for each pixel in an image, creating a complex three dimensional data structure known as a hypercube. This rich spectral signature enables the precise identification, quantification, and spatial mapping of chemical constituents (e.g., moisture, fat, pigments), physical properties, and structural characteristics within a sample without any preparatory alteration or destruction [1]. Implementing an efficient compression algorithm enhances sensor performance through multiple key benefits includes reduced coding complexity, lower power consumption, conserved communication bandwidth, faster browsing times, and decreased processing costs. The effectiveness of a HyperSpectral Image Compression Algorithm (HSICA) is evaluated based on three core metrics: coding efficiency, coding memory, and coding complexity [2].

- Coding efficiency is quantified using Compression Ratio (CR), Peak Signal-to-Noise Ratio (PSNR), and the Structural Similarity Index (SSIM).
- Coding memory refers to the amount of memory the algorithm consumes during compression.
- Coding complexity is measured by the time the algorithm takes to encode and decode data, excluding the time spent on the wavelet and inverse wavelet transforms [3].

HS image compression algorithms can be classified in two primary ways: based on the degree of data loss or based on the encoding technique used [2]. The first classification, based on data loss, consists of three categories:

- Lossless: No data is lost, and the original image can be perfectly reconstructed, but this results in a low CR.
- Near-Lossless: A minimal amount of data is lost, leading to a slightly higher CR than lossless methods. The reconstructed image is virtually indistinguishable from the original.
- Lossy: Some data is intentionally discarded, achieving the highest CR. It is known that the human eye typically cannot perceive image degradation beyond a PSNR of 40 dB.

The second classification is based on the encoding methodology, which divides algorithms into seven subgroups [4], [5]:

- Predictive Coding (PC) based HSICAs
- Vector Quantization (VQ) based HSICAs
- Transform Coding (TC) based HSICAs
- Tensor Decomposition (TD) based HSICAs
- Compressive Sensing (CS) based HSICAs
- Machine Learning (ML) based HSICAs
- Hybrid HSICAs

To eliminate undesirable redundancy and exploit the inherent correlation within HS images, TC based compression techniques utilize mathematical transforms. These transforms, such as Fourier, wavelet, cosine, curvelet, and shearlet, serve to project the HS image data into a more compact frequency-domain representation. The wavelet transform is widely recognized for its superior performance in this context, as it provides multi-resolution analysis and maintains localization information in both the original and transformed domains.

II. BACKGROUND

HS image compression is fundamentally achieved by eliminating inherent data redundancies which are categorized as spatial and spectral redundancy. Spectral redundancy arises from the high correlation between adjacent frequency bands, while spatial redundancy is due to the similarity between neighbouring pixels within a band. Research indicates that spectral redundancy contributes more significantly to the overall data volume than spatial redundancy [3]. Mathematical transforms, such as the 3D dyadic wavelet transform (3D-DWT), are highly effective at decorrelating these redundancies. The 3D-DWT is considered an optimal choice for this task due to its superior energy compaction properties across both spatial and spectral dimensions and is typically implemented as a series of one-dimensional wavelet transforms [2].

3D Wavelet transform based HSICAs that utilize set partitioning principles, such as 3D-SPECK [6] or 3D-SPIHT [7], exploit the energy clustering characteristics inherent to the wavelet transform. Their efficiency stems from a strategy that groups insignificant wavelet coefficients into sets. At higher bit planes, where the majority of coefficients are negligible, this set structure allows for their collective representation with a single bit, dramatically improving compression rates. This mechanism provides set partition-based algorithms with a distinct performance advantage over other transform-coding methods. But 3D wavelet transform had high transform memory requirement and high transform complexity exists. Thus, it is convenient to use the 2D wavelet transform instead of 3D wavelet transform to save the requirement of transform memory and low coding complexity [8].

Conventional 2D-DWT computation is characterized by high memory requirements, as the entire image must be loaded into memory to perform sequential row and column filtering and down sampling, producing the standard HH, HL, LH, and LL sub-bands [9]. This makes it impractical for visual sensor nodes in WMSNs/IoT. Although stripe-based, block-based, and line-based techniques have been developed to mitigate this by processing image sections, their memory footprint approximately 26 kB for a ‘512 x 512’ image remains too high. The Fractional Wavelet Filter (FrWF) and Segmented FrWF (SFrWF) represent a trade-off, achieving minimal memory use by processing individual lines or segments but at the cost of greatly increased computational complexity, which also renders them unsuitable for resource-constrained platforms [10].

III. RELATED WORK

This section is structured as follows: first section, we discuss the associated wavelet filter named as Lifting based Block fractional wavelet filter (LBFrWF) [11] and in second section, we introduce the linear indexing method; and finally, we provide a detailed description of the 2D-LC-ZM-SPECK algorithm [12].

III.1 LIFTING BASED BLOCK FRACTIONAL WAVELET FILTER

By [13] introduced a block-based implementation of the Fractional Wavelet Filter Transform (FrWF) for the gray scale images to reduce the original algorithm's computational and memory requirements. However, this approach processes blocks independently without adequate boundary overlap, resulting in significant blocking artifacts during coefficient encoding. Consequently, image coders based on BFrWF demonstrate inferior compression efficiency across all bitrates when compared to contemporary wavelet-based coders. Given the increasing demand for high-quality image transmission over Wireless Multimedia Sensor Networks (WMSNs) and IoT devices, the limitations of BFrWF render it an unsuitable choice for these platforms [8].

To address the limitations of BFrWF, we propose a lifting-based implementation of BFrWF termed LBFrWF. This approach not only retains the memory efficiency of BFrWF but also reduces its computational complexity by approximately 30% for every frequency frame of HS image. Crucially, by incorporating proper overlap processing at block boundaries, LBFrWF successfully eliminates blocking artifacts. The transform coefficients produced by LBFrWF are identical to those of the conventional DWT. To demonstrate its compatibility with modern coding standards, the coefficients were encoded using the advance wavelet transform based coders, a low memory state of the art algorithm for wavelet-based HS image compression algorithms.

The lifting scheme is an efficient, low-complexity method for computing the wavelet coefficients. It operates through four stages: split, predict, update, and scaling. Initially, the input signal is split into even and odd indexed samples. The predict step then generates the high-pass (known as H sub-band) or detail coefficients, which are subsequently scaled. Conversely, the update step produces the low-pass (kno]wn as L sub-band) or approximation coefficients, which are also scaled to complete the transformation [11].

III.2 2D-LOW COMPLEXITY ZERO MEMORY SET PARTITIONED EMBEDDED BLOCK (2D-LC-ZM-SPECK)

The 2D Low Complexity Zero Memory Set Partitioned Embedded algorithm [12] is a reduced complexity variant of the 2D-ZM-SPECK compression algorithm which is used for every frequency frame for the encoding/decoding process. Its efficiency stems from a pre-computation step during the transform phase, where the maximum coefficient magnitude for each sub-band is identified and stored. This approach drastically reduces the memory footprint, as only a single value per sub-band must be retained. For an L level BFrWF transform of a single frequency frame with spatial dimensions, the required coding memory is precisely '8N x (3L + 1)' bytes for 'N x (3L + 1)' coefficients. The encoding process initiates after this pre-computation. From a hierarchical perspective, the detail subbands are categorized into three orientation groups HL_n, LH_n, and HH_n for n = 1, 2, ..., L-1 and are systematically arranged into different sets denoted as as $\boldsymbol{S_\theta^n}$ and $\boldsymbol{I^n}$. The algorithm processes these sets for each frequency frame iteratively over a series of decreasing thresholds.

IV. ENCODING PROCESS OF PROPOSED ALGORITHM

The proposed hyperspectral image compression algorithm begins by transforming each frequency frame of unprocessed HS image into the frequency domain using a 2D LBFrWF (5-level) transform, a step that reduces the memory required for the transformed data. A Modified HyperSpectral (MHS) image cube, equal in size to the original HS image, is then constructed from groups of eight consecutive frames. Within each group, the first frequency frame remains unchanged, while each subsequent frame (2 through 8) is generated as the difference between the current HS frame and the previous one. This grouping and differential framing process repeats for the entire HS cube. The MHS cube is subsequently converted into a one-dimensional array via linear indexing scheme, and each of its frequency frames of MHS image cube is encoded using the 2D-LC-ZM-SPECK compression coder. This encoding proceeds frame by frame according to bit planes until a specified bit budget is consumed.

To evaluate the efficacy of the proposed Hyperspectral Image Compression Algorithm, a comprehensive comparative assessment is conducted using four distinct hyperspectral image datasets. This study benchmarks the performance of HSICA against nine existing compression algorithms including recent state of art compression algorithms, with a focused analysis on critical performance indicators including coding efficiency, memory utilization, and computational complexity. For the simulation, the MHS image cube was cropped to a size of '128 x 128' pixels with 128 spectral frequency frames. All simulation tests were conducted in MATLAB (simulation software) on a Windows 11 system with 20 GB of RAM and a 1.6 GHz processor.

A five-level Lifting based Block Fractional Wavelet Filter was applied to the spatial dimensions of each 2D image frame. A separate 1D wavelet transform was then applied along the spectral dimension. The resulting transform coefficients were quantized to integers and linearly indexed into a 1D array for encoding. The following compression algorithms were evaluated: 3D-SPECK (CA 1) [6], 3D-LSK (CA 2) [14], 3D-SPIHT (CA 3) [7], 3D-NLS (CA 4) [15], 3D-WBTC (CA 5) [16], 3D-LMBTC (CA 6) [17], 3D-ZM-SPECK (CA 7) [18], Fractional Wavelet Filter based 2D-ZM-SPECK (CA 8) [9], Block Fractional Wavelet Filter based 2D-LC-ZM-SPECK (CA 9) [8], and the proposed Lifting Block Fractional Wavelet Filter based 2D-LC-ZM-SPECK.

IV.1 TRANSFORM MEMORY AND COMPLEXITY

As evidenced by the data in Table 1, the Lifting based Block Fractional Wavelet Filter demonstrates the most efficient transform memory requirements. This efficiency is achieved through a buffering system that requires only a single input buffer to store a segment of the frequency frame and four additional buffers to compute the final four sub-bands [19]. For an HS image frequency frame of size 'N × N' divided into 'b' blocks, the input buffer dimension is $1 \times \frac{N}{b/2}$ while the remaining buffers have a dimension of $1 \times \frac{N}{b}$.

This minimal memory footprint, confirmed in Table 2, stands in stark contrast to the requirements of other transforms. Conventional 3D-DWT and 2D-DWT methods necessitate storing the entire HS image cube or complete frequency frames, respectively, leading to significantly higher memory demands [2], [20]. The use of fractional wavelet filters substantially reduces this need, an advantage that is further amplified by the BFrWF [21]. Consequently, the total transform memory required by the BFrWF is minimized to a level comparable with the near-zero coding memory of subsequent stages.

Table 1: Comparative Analysis between the different type state of art wavelet transform with Block Based Fractional Wavelet Transform on wavelet transform memory requirement.

Dimension of HS Image Cube / Type of Wavelet Transform	128	256	512
3D-Dyadic Wavelet Transform	38.34 MB	306.72 MB	2453.76 MB
2D- Dyadic Wavelet Transform	174.592 KB	698.368 KB	2793.472 KB
Fractional Wavelet Transform	3.123 KB	6.246 KB	12.493 KB
Block Based Fractional Wavelet Transform	1.5615 KB	3.123 KB	6.246 KB
Lifting based BFrWF	1.6125 KB	3.25 KB	6.4375 KB

Source: Authors, (2026).

Table 2: Average time requirement (for calculation of the transform complexity) of the different wavelet transform for different HS image size.

Dimension of HS Image Cube / Type of Wavelet Transform	256	512
3D-Dyadic Wavelet Transform	2.96 sec	18.47 sec
2D- Dyadic Wavelet Transform	5.65 sec	44.54 sec
Fractional Wavelet Transform	7.59 sec	47.24 sec
Block Based Fractional Wavelet Transform (4)	6.01 sec	37.06 sec
Lifting based BFrWF (LBFrWF)	5.22 sec	35.21 sec

Source: Authors, (2026).

Regarding computational complexity, measured as the time required to calculate transform coefficients, the BFrWF offers a lower complexity than the FrWF. However, as indicated in Table 2, it retains a higher complexity than standard 2D-DWT and 3D-DWT. It is important to note that 3D-DWT inherently benefits from a lower complexity than its 2D counterparts applied frame-by-frame. The complexity of the BFrWF decreases relative to 2D-DWT as the size of the HS image increases. The unique computation methodology of the BFrWF coefficients is the primary reason for its overall efficiency profile.

IV.2 CODING EFFICIENCY

A comparative analysis of the proposed algorithm and contemporary state-of-the-art compression techniques was conducted by calculating the average Rate-Distortion (RD) performance over a suite of HS images. The evaluation employs two complementary metrics: PSNR, a widely adopted objective measure of reconstruction error, and the Structural Similarity Index, which provides a quantitative assessment of perceptual quality by analyzing the preservation of structural details, edges, and textures [22], [23]. As shown in Tables 3 and 4, the proposed compression algorithm demonstrates superior RD performance and Structural Similarity scores, outperforming all other benchmarked algorithms. Its performance is virtually equivalent to the FrWF based 2D-ZM-SPECK and BFrWF based 2D-LC-ZM-SPECK compression algorithms, which are its closest competitor. This high efficiency is attributed to the algorithm's ability to identify and represent a large number of insignificant coefficients with a single bit during the early bit-plane encoding passes.

IV.3 CODING MEMORY

Coding memory is essential in hyperspectral image compression for tracking the significance of coefficients during bit-plane coding [2], [24]. In contrast to conventional methods, the proposed algorithm necessitates only a fixed, minimal memory allocation to store the global maximum magnitude value of the transformed image coefficients. This single value is efficiently shared with the decoder, eliminating the need for extensive bookkeeping data. The results in Table 5 demonstrate that only two other algorithms have a marginally lower memory requirement.

IV.4 CODING COMPLEXITY

A key advantage of the proposed compression algorithm is its reduction of coding complexity. This is achieved by storing the maximum magnitude of each set of transformed coefficients in a fixed memory allocation [18]. This method offers a significant efficiency improvement over the FrWF-based ZM-SPECK algorithm, whose requirement to check every coefficient against every threshold causes computational complexity, power demand, and processing time to increase substantially. Although derived from ZM-SPECK, the proposed algorithm implements a more efficient process. The resulting performance gains in encoding and decoding time are presented in Tables 6 and 7. Encoding time (the time to encode coefficients within a bit budget) is reduced.

Decoding is inherently less complex and thus faster, as the decoder does not perform the per coefficient threshold checks required in each bit plane during encoding. The visual representation of the HS image and reconstruct HS image after the compression process for Uncalibrated Yellowstone Scene 0 and Uncalibrated Yellowstone Scene 11 at CR = 1 is shown in Fig 1 and Fig 2. Fig 3 shows the 75th frame reconstruction at the four different bit rates. It has been clear from Fig 3 that there is significant improvement of the image quality of reconstructed HS image at the higher bit rates.

Table 3: Structural Similarity (SSIM) index between different HSICAs at fifteen different bit rates for YSUS 0.

Bit Rate	CA 1 [6]	CA 2 [14]	CA 3 [7]	CA 4 [4]	CA 5 [16]	CA 6 [17]	CA 7 [18]	CA 8 [9]	CA 9 [8]	Proposed Compression Algorithm
	YSUS 0 HS Image									
0.00625	0.39	0.38	0.38	0.38	0.39	0.38	0.37	0.41	0.4	0.41
0.0125	0.44	0.43	0.43	0.43	0.47	0.43	0.43	0.44	0.44	0.44
0.025	0.56	0.55	0.55	0.53	0.57	0.53	0.53	0.61	0.61	0.61
0.0375	0.62	0.62	0.61	0.61	0.62	0.61	0.62	0.67	0.66	0.65
0.05	0.66	0.65	0.65	0.65	0.66	0.65	0.65	0.71	0.7	0.7
0.1	0.75	0.75	0.75	0.74	0.75	0.74	0.75	0.8	0.79	0.8
0.2	0.83	0.83	0.83	0.83	0.83	0.83	0.83	0.87	0.86	0.86
0.3	0.87	0.88	0.87	0.87	0.87	0.87	0.87	0.9	0.89	0.89
0.4	0.91	0.9	0.9	0.9	0.9	0.9	0.89	0.92	0.92	0.91
0.5	0.93	0.93	0.92	0.92	0.93	0.92	0.92	0.94	0.94	0.94
0.6	0.94	0.94	0.94	0.94	0.94	0.94	0.94	0.96	0.96	0.96
0.7	0.95	0.95	0.95	0.95	0.95	0.95	0.95	0.97	0.97	0.97
0.8	0.96	0.96	0.96	0.96	0.96	0.96	0.96	0.98	0.98	0.98
0.9	0.97	0.97	0.97	0.97	0.97	0.97	0.96	0.98	0.98	0.98
1	0.97	0.97	0.97	0.97	0.97	0.97	0.97	0.98	0.98	0.98

Source: Authors, (2026).

Table 4: Numeric values of PSNR for proposed compression algorithm with the nine other on four different HS image dataset.

Bit Rate	CA 1 [6]	CA 2 [14]	CA 3 [7]	CA 4 [4]	CA 5 [16]	CA 6 [17]	CA 7 [18]	CA 8 [9]	CA 9 [8]	Proposed Compression Algorithm
	YSUS 0 HS Image									
0.00625	26.4	26.9	26.3	26.3	26.4	26.9	26.9	30.2	30.1	30.2
0.0125	27.6	27.5	27.4	27.4	27.6	27.5	27.5	31.5	31.4	31.4
0.025	29	28.4	28.8	28.3	29.1	28.3	28.4	32.8	32.7	32.7
0.0375	30	29.9	29.8	29.8	29.9	30	30	34.2	34.2	34.3
0.05	30.9	30.5	30.7	30.6	30.8	30.5	30.5	34.7	34.7	34.8
0.1	32.8	32.8	32.7	32.7	32.8	32.8	32.8	37	37	37.1
0.2	35.1	34.6	35.1	34.5	35.2	34.6	34.6	39.8	39.7	39.8
0.3	36.9	36.7	36.8	36.7	36.9	36.6	36.6	41.5	41.5	41.5
0.4	38.4	37.6	38.2	37.8	38.3	37.5	37.5	43.3	43.3	43.3
0.5	39.5	39.5	39.4	39.3	39.5	39.1	39.1	45	45	45
0.6	40.8	40.6	40.7	40.6	40.8	40.5	40.5	45.7	45.7	45.7
0.7	41.9	41.3	41.8	41.8	41.9	41.2	41.2	47	46.9	46.9
0.8	43	42.3	42.9	42.5	43.0	42.1	42.1	48.1	48	48
0.9	44	43.8	43.8	43.5	44.0	43.0	43	49.4	49.4	49.4
1	44.9	44.9	44.7	44.7	44.8	44.8	44.8	49.9	49.8	49.8
	YSUS 3 HS Image									
0.00625	30.5	30.5	30.3	29.8	30.5	30.5	30.5	32.4	32.3	32.4
0.0125	31.4	31.3	31.3	31.2	31.4	31.3	31.3	33.9	33.8	33.9
0.025	32.9	32.9	32.7	32.6	32.9	32.9	33	34.1	34	34.1
0.0375	34.0	33.8	33.8	33.8	34	33.8	33.8	36.7	36.6	36.7
0.05	34.9	34.7	34.6	34.4	34.8	34.6	34.7	37.9	37.9	37.9
0.1	37.2	37.1	37	37	37.2	36.9	36.9	41	41	41
0.2	40.4	40.1	40.2	40.1	40.4	40.1	40.1	44.2	44.1	44.2
0.3	42.9	42.8	42.7	42.4	42.9	42.4	42.5	46.9	46.8	46.9
0.4	45	44.6	44.7	44.6	45	44.5	44.5	49.2	49.2	49.2
0.5	47	46.7	46.8	46.3	47	46.1	46.2	51.5	51.5	51.5
0.6	48.9	48.9	48.5	48.5	48.9	48.9	48.9	53.7	53.6	53.7
0.7	50.7	50.2	50.3	50.2	50.7	50	50	54.8	54.8	54.8
0.8	52.1	52.2	51.8	51.7	52	51.4	51.4	56.4	56.3	56.4
0.9	53.8	53.8	53.4	53.4	53.8	53.8	53.8	58.5	58.5	58.5
1	55.4	55.1	55.0	54.9	55.3	54.9	54.9	59.9	59.8	59.9
	YSUS 10 HS Image									
0.00625	26.5	26.2	26.2	26.5	26.5	26.1	26.1	28.9	28.8	28.8
0.0125	27.6	27.5	27.5	27.4	27.5	27.5	27.5	29.6	29.6	29.6
0.025	28.5	28.2	28.2	28.2	28.7	28.2	28.3	30.8	30.7	30.7
0.0375	29.4	29.3	29.3	29.1	29.3	29.4	29.4	31.6	31.6	31.6
0.05	30.0	29.8	29.8	29.8	30	29.8	29.8	32.5	32.5	32.5
0.1	31.5	31.4	31.4	31.3	31.5	31.4	31.5	34.1	34	34.1
0.2	33.4	33.2	33.2	33.2	33.5	33.1	33.2	36.7	36.7	36.7
0.3	34.9	34.7	34.7	34.5	34.9	34.5	34.5	38.8	38.8	38.8
0.4	36.1	35.9	35.9	36	36.1	35.9	35.9	40.3	40.3	40.3
0.5	37.3	36.8	36.8	37	37.3	36.7	36.7	41.7	41.6	41.6

0.6	38.5	37.9	37.9	38	38.5	37.8	37.9	43.6	43.6	43.6
0.7	39.5	39.5	39.5	39.4	39.5	39.3	39.3	44.3	44.3	44.3
0.8	40.5	40.3	40.3	40.3	40.5	40.3	40.3	45	44.9	44.9
0.9	41.6	41.1	41.1	41.3	41.6	40.9	40.9	45.8	45.8	45.8
1	42.6	42.1	42.1	42.3	42.6	41.7	41.7	46.8	46.7	46.7
	YSUS 11 HS Image									
0.00625	30.4	30.4	30.2	30.2	30.4	30.3	30.4	31.9	31.9	31.9
0.0125	31.7	31.6	31.6	31.5	31.7	31.5	31.5	33.1	33	33.1
0.025	33	33	32.9	32.7	33	32.9	33	34.4	34.3	34.4
0.0375	34.1	33.9	33.9	33.8	34.1	33.8	33.8	35.8	35.7	35.8
0.05	34.9	34.4	34.6	34.5	34.8	34.4	34.4	36.7	36.7	36.7
0.1	36.9	36.6	36.7	36.7	36.9	36.5	36.6	39.1	39	39.1
0.2	38.9	38.8	38.8	38.8	38.9	38.8	38.8	42.2	42.1	42.2
0.3	40.5	40.1	40.4	40.2	40.5	40	40	44	44	44
0.4	41.9	41.7	41.8	41.5	41.9	41.3	41.4	46	45.9	46
0.5	43.2	43.1	43.1	43	43.2	43	43.0	47.7	47.7	47.7
0.6	44.5	43.9	44.3	44.3	44.4	43.8	43.8	48.6	48.6	48.6
0.7	45.6	45.1	45.4	45.1	45.7	44.8	44.8	50.1	50.1	50.1
0.8	46.7	46.7	46.6	46.5	46.7	46.1	46.1	51.5	51.5	51.5
0.9	47.8	47.8	47.7	47.7	47.8	47.8	47.8	52.1	52.1	52.1
1	48.8	48.5	48.6	48.5	48.8	48.3	48.3	53.1	53.1	53.1

Source: Authors, (2026).

Table 5: Coding memory requirement of nine compression algorithm for four different HS image datasets.

Bit Rate	**CA 1 [6]**	**CA 2 [14]**	**CA 3 [7]**	**CA 4 [4]**	**CA 5 [16]**	**CA 6 [17]**	**CA 7 [18]**	**CA 8 [9]**	**CA 9 [8]**	**Proposed Compression Algorithm**
	YSUS 0 HS Image									
0.00625	18	512	15	1024	8	12	0	0	0.018	0.018
0.0125	31	512	36	1024	23	12	0	0	0.018	0.018
0.025	62	512	71	1024	53	12	0	0	0.018	0.018
0.0375	109	512	111	1024	100	12	0	0	0.018	0.018
0.05	109	512	117	1024	108	12	0	0	0.018	0.018
0.1	237	512	249	1024	208	12	0	0	0.018	0.018
0.2	494	512	513	1024	489	12	0	0	0.018	0.018
0.3	597	512	615	1024	578	12	0	0	0.018	0.018
0.4	843	512	896	1024	844	12	0	0	0.018	0.018
0.5	1224	512	1222	1024	1184	12	0	0	0.018	0.018
0.6	1329	512	1354	1024	1230	12	0	0	0.018	0.018
0.7	1456	512	1461	1024	1356	12	0	0	0.018	0.018
0.8	1653	512	1680	1024	1554	12	0	0	0.018	0.018
0.9	1892	512	1906	1024	1876	12	0	0	0.018	0.018
1	2010	512	2072	1024	2022	12	0	0	0.018	0.018
	YSUS 3 HS Image									
0.00625	16	512	17	1024	8	12	0	0	0.018	0.018
0.0125	26	512	28	1024	20	12	0	0	0.018	0.018
0.025	71	512	73	1024	63	12	0	0	0.018	0.018
0.0375	78	512	81	1024	72	12	0	0	0.018	0.018
0.05	117	512	124	1024	109	12	0	0	0.018	0.018
0.1	205	512	204	1024	186	12	0	0	0.018	0.018
0.2	397	512	414	1024	378	12	0	0	0.018	0.018
0.3	678	512	682	1024	621	12	0	0	0.018	0.018
0.4	726	512	753	1024	708	12	0	0	0.018	0.018
0.5	947	512	947	1024	894	12	0	0	0.018	0.018
0.6	1119	512	1155	1024	1091	12	0	0	0.018	0.018
0.7	1234	512	1243	1024	1121	12	0	0	0.018	0.018
0.8	1343	512	1324	1024	1282	12	0	0	0.018	0.018
0.9	1439	512	1473	1024	1400	12	0	0	0.018	0.018
1	1498	512	1517	1024	1440	12	0	0	0.018	0.018
	YSUS 10 HS Image									
0.00625	19	512	15	1024	11	12	0	0	0.018	0.018
0.0125	33	512	37	1024	34	12	0	0	0.018	0.018
0.025	65	512	71	1024	64	12	0	0	0.018	0.018
0.0375	112	512	116	1024	101	12	0	0	0.018	0.018
0.05	163	512	123	1024	113	12	0	0	0.018	0.018
0.1	276	512	289	1024	282	12	0	0	0.018	0.018
0.2	448	512	489	1024	446	12	0	0	0.018	0.018

0.3	822	512	833	1024	826	12	0	0	0.018	0.018
0.4	920	512	881	1024	891	12	0	0	0.018	0.018
0.5	1038	512	1055	1024	1037	12	0	0	0.018	0.018
0.6	1352	512	1389	1024	1355	12	0	0	0.018	0.018
0.7	1634	512	1561	1024	1592	12	0	0	0.018	0.018
0.8	1681	512	1652	1024	1634	12	0	0	0.018	0.018
0.9	1741	512	1710	1024	1712	12	0	0	0.018	0.018
1	1825	512	1813	1024	1824	12	0	0	0.018	0.018
	YSUS 11 HS Image									
0.00625	15	512	16	1024	11	12	0	0	0.018	0.018
0.0125	26	512	29	1024	27	12	0	0	0.018	0.018
0.025	69	512	74	1024	71	12	0	0	0.018	0.018
0.0375	79	512	87	1024	80	12	0	0	0.018	0.018
0.05	112	512	121	1024	112	12	0	0	0.018	0.018
0.1	196	512	198	1024	196	12	0	0	0.018	0.018
0.2	467	512	486	1024	469	12	0	0	0.018	0.018
0.3	634	512	669	1024	633	12	0	0	0.018	0.018
0.4	993	512	1013	1024	998	12	0	0	0.018	0.018
0.5	1074	512	1102	1024	1076	12	0	0	0.018	0.018
0.6	1112	512	1102	1024	1112	12	0	0	0.018	0.018
0.7	1409	512	1431	1024	1407	12	0	0	0.018	0.018
0.8	1564	512	1560	1024	1547	12	0	0	0.018	0.018
0.9	1689	512	1678	1024	1640	12	0	0	0.018	0.018
1	1789	512	1821	1024	1790	12	0	0	0.018	0.018

Source: Authors, (2026).

Table 6: Encoding time (sec) requirement for the complexity analysis of nine different compression algorithms with the proposed compression algorithm for four different datasets.

Bit Rate	**CA 1 [6]**	**CA 2 [14]**	**CA 3 [7]**	**CA 4 [4]**	**CA 5 [16]**	**CA 6 [17]**	**CA 7 [18]**	**CA 8 [9]**	**CA 9 [8]**	**Proposed Compression Algorithm**
	YSUS 0 HS Image									
0.00625	1.1	0.2	1.3	0.3	1.1	0.3	0.6	0.6	0.5	0.5
0.0125	1.4	0.4	1.1	0.6	1.3	1.2	0.7	0.7	0.6	0.6
0.025	2.8	0.5	1.5	0.7	1.7	1.5	0.9	0.8	0.7	0.7
0.0375	4.3	0.6	2.2	0.8	2.2	1.7	1	1.1	0.9	0.9
0.05	7.3	0.7	3.4	0.9	3.5	2	1.2	1.3	1	1
0.1	18.5	0.9	6.7	1	6.2	3.1	1.8	2.1	1.6	1.6
0.2	89.7	1.1	31	1.4	17.6	4.9	2.8	3.7	2.4	2.4
0.3	195	1.5	67	1.8	60.7	7.1	3.9	5.4	4.1	4.1
0.4	249	1.8	96	2.1	118	8.6	4.9	7	5.3	5.3
0.5	340	2.1	118	2.4	173	10	5.8	8.4	7.2	7.2
0.6	692	2.6	257	2.9	376	13	7.1	9.9	7.9	7.9
0.7	961	2.8	463	3.2	657	14.2	8.1	11.6	8.9	8.9
0.8	1167	3.0	491	3.5	759	15.8	9.2	13.4	11.2	11.2
0.9	1304	3.3	513	4.1	855	16.8	9.9	15.3	12.9	12.9
1	1441	3.8	560	4.9	878	17.4	10.9	20.6	16.6	16.6
	YSUS 3 HS Image									
0.00625	0.9	0.2	1.0	0.4	0.5	0.4	0.4	0.9	0.7	0.7
0.0125	1.6	0.3	1.1	0.6	1.3	1.1	0.8	1.7	0.9	0.9
0.025	2.9	0.4	1.6	0.7	1.8	1.4	0.9	2.1	1.2	1.2
0.0375	5.0	0.5	2.2	0.8	2.4	1.7	1.3	2.2	1.6	1.6
0.05	6.7	0.6	4.3	0.9	2.7	2.1	1.4	2.4	1.9	1.9
0.1	18.2	0.8	9.9	1.4	7.1	3.2	1.9	3.3	2.2	2.2
0.2	57.3	1.2	24.3	1.9	25.0	5.5	3	5.1	3.7	3.7
0.3	97.1	1.4	39.9	2.1	47.9	6.7	3.9	6.8	4.6	4.6
0.4	206	1.8	104	2.4	122	9.3	5.1	8.4	6.8	6.8
0.5	303	2.2	131	2.9	177	10.5	6.1	10.1	7.5	7.5
0.6	349	2.5	141	3.2	190	11.5	7.2	11.8	10.1	10.1
0.7	706	2.7	338	3.5	528	14.3	8.6	13.5	11.5	11.5
0.8	835	3.0	408	3.8	601	15.7	9.5	15.2	12.8	12.8
0.9	981	3.5	414	4.5	633	16.8	10.7	16.9	14.1	14.1
1	1373	3.8	632	5.1	977	19.9	11.9	18.3	16.3	16.3
	YSUS 10 HS Image									
0.00625	1.8	0.2	0.6	0.4	0.8	0.9	0.4	0.6	0.5	0.5
0.0125	2.5	0.3	1.1	0.5	1.4	1.2	0.7	0.9	0.8	0.8
0.025	5.1	0.4	1.6	0.6	1.7	1.5	0.9	1.1	1	1

0.0375	5.6	0.5	2.2	0.7	2.1	1.7	1.1	1.3	1.1	1.1
0.05	8.5	0.6	3.3	0.8	3.5	2.1	1.2	1.4	1.2	1.2
0.1	18.8	0.7	8.1	0.9	5.9	3.2	1.7	2.2	1.8	1.8
0.2	83.5	1.1	28.9	1.3	23.6	5.3	3.7	3.7	3.6	3.6
0.3	110	1.3	50.3	1.7	32.5	6.6	3.9	5.3	4.2	4.2
0.4	326	1.7	181	2.0	199	9.2	5.3	7.2	5.5	5.5
0.5	472	2	241	2.3	294	11.5	7.2	10.8	8.9	8.9
0.6	588	2.2	264	2.5	363	11.3	8.4	11.4	9.5	9.5
0.7	678	2.5	281	2.7	398	12.5	7.8	12.6	10.6	10.6
0.8	1151	2.9	531	3.2	772	15.8	10	15.2	12.2	12.2
0.9	1745	3.1	883	3.4	1223	17.1	12	17.6	14.8	14.8
1	2558	3.3	1034	3.9	1517	18.3	13.7	18.5	15.8	15.8
	YSUS 11 HS Image									
0.00625	1	0.2	0.7	0.3	0.6	0.9	0.5	0.5	0.4	0.4
0.0125	1.6	0.3	1.0	0.4	2.3	1.8	0.9	0.6	0.5	0.5
0.025	3.0	0.4	1.5	0.5	3.1	1.7	0.9	0.8	0.6	0.6
0.0375	5.5	0.5	2.1	0.6	6.0	2.1	1.2	1.1	1	1
0.05	7.4	0.6	2.9	0.7	15.4	2.5	1.3	1.3	1.1	1.1
0.1	19.7	0.7	7.8	0.9	17.8	3.6	2.1	2.1	1.9	1.9
0.2	81.4	1.1	21.3	1.3	29.1	6.7	3.2	4.4	4.1	4.1
0.3	142	1.4	67.0	1.7	70.6	7.7	4.1	6.7	5.3	5.3
0.4	227	1.8	77.7	2.0	99.8	9.3	4.9	7.8	6.6	6.6
0.5	509	2.1	227	2.4	280	12.2	7.2	9.3	8.1	8.1
0.6	755	2.3	405	2.8	495	14.2	7.6	11.1	9.4	9.4
0.7	981	2.5	424	3.0	578	14.5	8.5	12.2	10.6	10.6
0.8	1018	2.8	449	3.2	646	14.7	9.1	16.5	11.3	11.3
0.9	1329	3.3	447	3.5	738	17.9	10.2	18.2	14.9	14.9
1	2073	3.6	873	4.1	1291	19.9	11.4	24.3	16.3	16.3

Source: Authors, (2026).

Table 7: Decoding time (sec) requirement for the complexity analysis of nine different compression algorithms with the proposed compression algorithm for four different datasets.

Bit Rate	**CA 1 [6]**	**CA 2 [14]**	**CA 3 [7]**	**CA 4 [4]**	**CA 5 [16]**	**CA 6 [17]**	**CA 7 [18]**	**CA 8 [9]**	**CA 9 [8]**	**Proposed Compression Algorithm**
	YSUS 0 HS Image									
0.00625	0.7	0.1	0.9	0.2	0.7	0.3	0.36	0.46	0.33	0.33
0.0125	0.7	0.3	0.3	0.4	0.4	0.5	0.7	0.5	0.4	0.4
0.025	1.5	0.4	0.7	0.8	0.7	0.7	0.8	0.7	0.6	0.6
0.0375	2.8	0.4	1.2	0.6	0.9	0.8	1	1	0.8	0.8
0.05	5.1	0.5	2.2	0.6	2.3	1	1.1	1.3	0.9	0.9
0.1	12.9	0.7	5.3	0.8	4.6	1.8	1.5	1.8	1.5	1.5
0.2	61.4	1.0	23.9	1.2	15.4	3.4	2.7	3.2	2.6	2.6
0.3	136	1.1	52.4	1.6	57.9	4.7	3.5	5	3.3	3.3
0.4	204	1.7	87.9	1.9	108	6.2	4.3	6.5	4.9	4.9
0.5	306	1.9	98.9	2.2	148	7.8	5.2	8	6.6	6.6
0.6	600	2.2	217	2.5	341	9.2	6.7	9.3	7.1	7.1
0.7	906	2.4	456	2.7	618	10.4	7.7	11.1	8.2	8.2
0.8	1005	2.5	486	3	727	13.8	8.5	12.5	10.4	10.4
0.9	1249	3.1	501	3.3	830	13.3	9.4	14.5	12.5	12.5
1	1389	3.6	512	4	832	14.5	10.6	19	15.1	15.1
	YSUS 3 HS Image									
0.00625	0.8	0.5	0.7	0.3	0.2	0.3	0.3	0.5	0.4	0.4
0.0125	0.9	0.3	0.8	0.5	0.4	0.5	0.6	0.7	0.7	0.7
0.025	1.6	0.4	1.2	0.6	0.6	0.7	0.8	0.9	0.8	0.8
0.0375	3.5	0.4	1.5	0.7	1.2	0.9	1.1	1.1	1	1
0.05	4.6	0.5	2.7	0.8	1.6	1.1	1.2	1.4	1.2	1.2
0.1	14.5	0.7	6.6	1.1	9.5	1.9	1.5	2.3	1.9	1.9
0.2	49.4	1	22.3	1.5	17.6	3.5	2.6	4.1	3.2	3.2
0.3	81.9	1.4	31.6	1.8	40.1	5.1	3.5	5.8	4.2	4.2
0.4	190	1.7	90.4	2.2	110	6.7	4.8	7.6	6.5	6.5
0.5	284	2.0	118	2.5	156	8.1	5.9	9.4	6.9	6.9
0.6	321	2.4	128	2.9	176	9.4	6.9	11.1	8.6	8.6
0.7	684	2.5	309	3.2	577	11.0	8.3	13	10.2	10.2
0.8	822	2.8	373	3.4	553	12.5	9.3	14.7	11.3	11.3
0.9	860	3.2	400	3.8	589	13.9	10.3	16.2	14.1	14.1
1	1258	3.4	589	4	849	15.6	11.5	18.1	15.7	15.7

	YSUS 10 HS Image									
0.00625	0.8	0.1	0.3	0.3	0.2	0.5	0.3	0.4	0.4	0.4
0.0125	1.9	0.2	0.3	0.4	0.4	0.6	0.6	0.6	0.6	0.6
0.025	2.3	0.3	0.7	0.5	0.7	0.7	0.8	0.8	0.7	0.7
0.0375	2.8	0.4	1.2	0.6	0.9	0.8	1	1	0.9	0.9
0.05	5.9	0.5	2.2	0.7	2.3	1	1.2	1.1	1	1
0.1	12.8	0.6	6.5	0.8	4.4	1.8	1.6	1.9	1.7	1.7
0.2	62.2	1	25.8	1.1	21.6	3.3	2.8	3.2	3.1	3.1
0.3	80.0	1.2	47.3	1.5	29.2	4.9	4	5.1	3.9	3.9
0.4	307	1.4	172	1.9	175	6.7	5.5	7	5.9	5.9
0.5	441	1.7	219	2.1	262	7.6	7.8	9.6	7.5	7.5
0.6	555	1.9	230	2.2	319	9.0	6.6	10.1	8.1	8.1
0.7	609	2.2	246	2.5	359	10.5	7.5	12	9.6	9.6
0.8	1080	2.5	496	2.8	717	11.8	9.2	14.3	11.4	11.4
0.9	1692	2.9	818	3.1	1130	13.3	10	16.5	12.9	12.9
1	2179	3.4	930	3.4	1384	14.7	11.5	17.2	14.8	14.8
	YSUS 11 HS Image									
0.00625	0.66	0.2	0.2	0.2	0.2	0.5	0.4	0.4	0.3	0.3
0.0125	0.93	0.3	0.3	0.4	0.8	0.6	0.7	0.5	0.4	0.4
0.025	1.63	0.4	0.6	0.4	0.9	0.8	0.8	0.7	0.6	0.6
0.0375	3.74	0.4	1.2	0.5	3.3	1.2	1.1	0.9	0.8	0.8
0.05	4.9	0.5	1.9	0.6	4.1	1.7	1.2	1.1	1	1
0.1	15.8	0.7	6.5	0.8	11.5	2.3	1.9	1.9	1.5	1.5
0.2	61.1	1.0	16.2	1.1	20.9	3.9	2.8	4.1	3.5	3.5
0.3	118	1.3	56.1	1.6	54.1	5.7	3.9	5.5	4.6	4.6
0.4	195	1.7	70.2	1.9	89.4	7.3	4.8	6.5	5.9	5.9
0.5	400	2.0	216	2.2	250	9.1	6.1	8	6.7	6.7
0.6	847	2.2	394	2.5	471	11.3	7.3	10.2	8.9	8.9
0.7	840	2.3	419	2.9	575	12.6	8.2	11.8	9.8	9.8
0.8	1059	2.6	436	3.1	621	13.4	8.7	15.6	10.6	10.6
0.9	1186	2.9	440	3.3	706	14.2	9.5	17.8	12.3	12.3
1	1901	3.4	867	3.9	1260	17.4	10.6	20.9	14.6	14.6

Source: Authors, (2026).

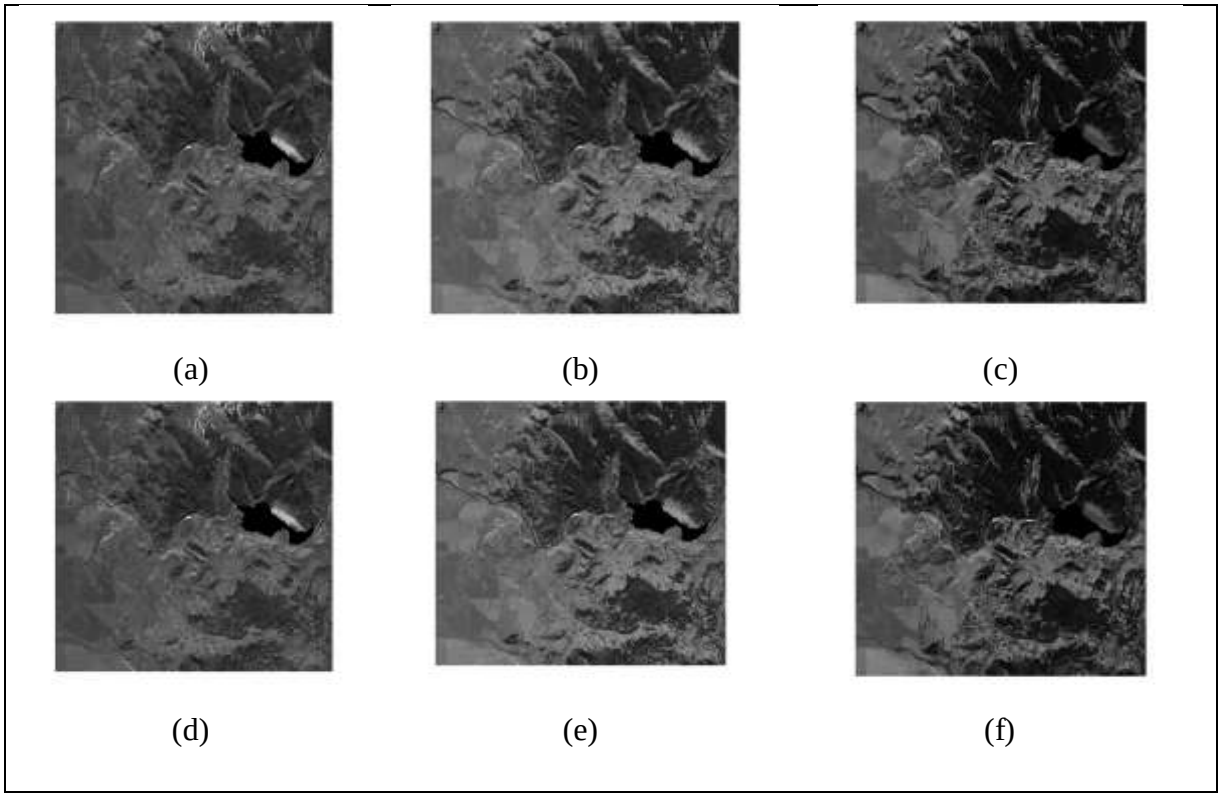


Figure 1: Original Uncalibrated Yellowstone Scene 0 (a) Frame 50 (b) Frame 100 (c) Frame 150 (d) Frame 200 Reconstructed Uncalibrated Yellowstone Scene 0 with CR=16 (d) Frame 50 (e) Frame 100 (f) Frame 150.
Source: Authors, (2026).

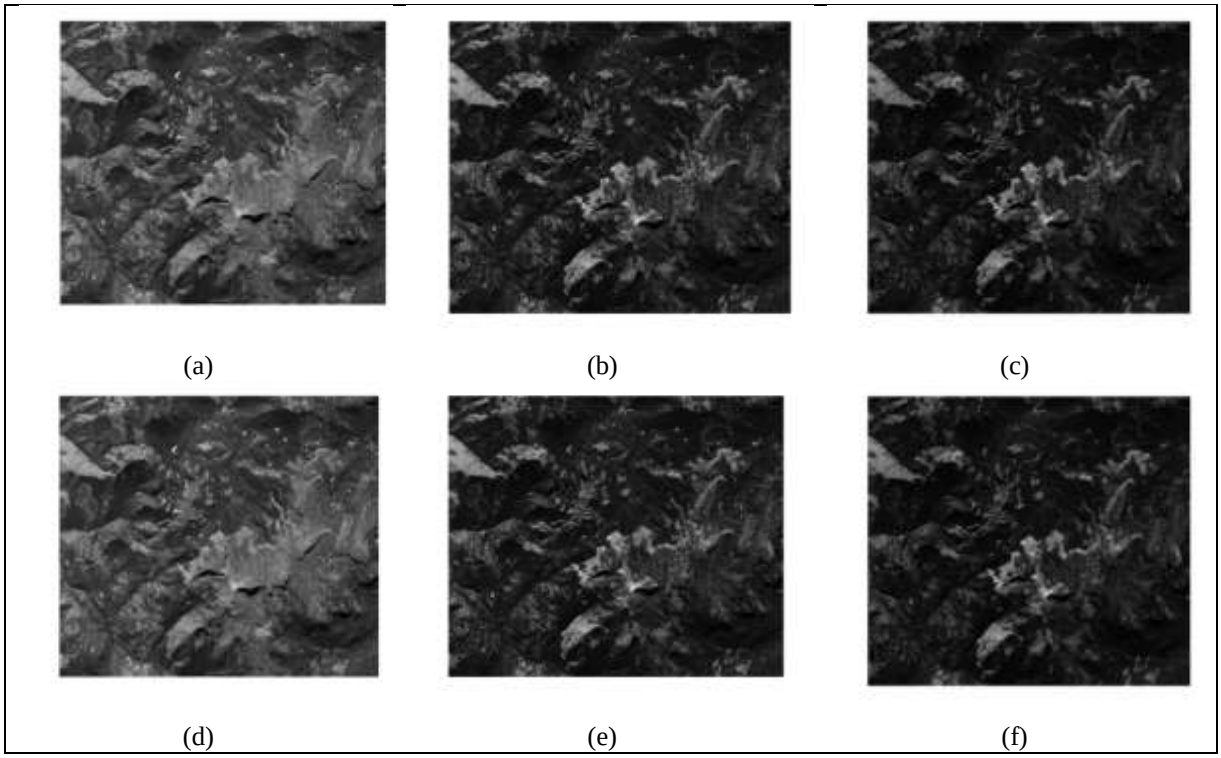


Figure 2: Original Uncalibrated Yellowstone Scene 11 (a) Frame 100 (b) Frame 150 (c) Frame 200 Reconstructed Uncalibrated Yellowstone Scene 11 with CR=16 (d) Frame 100 (e) Frame 150 (f) Frame 200.
Source: Authors, (2026).

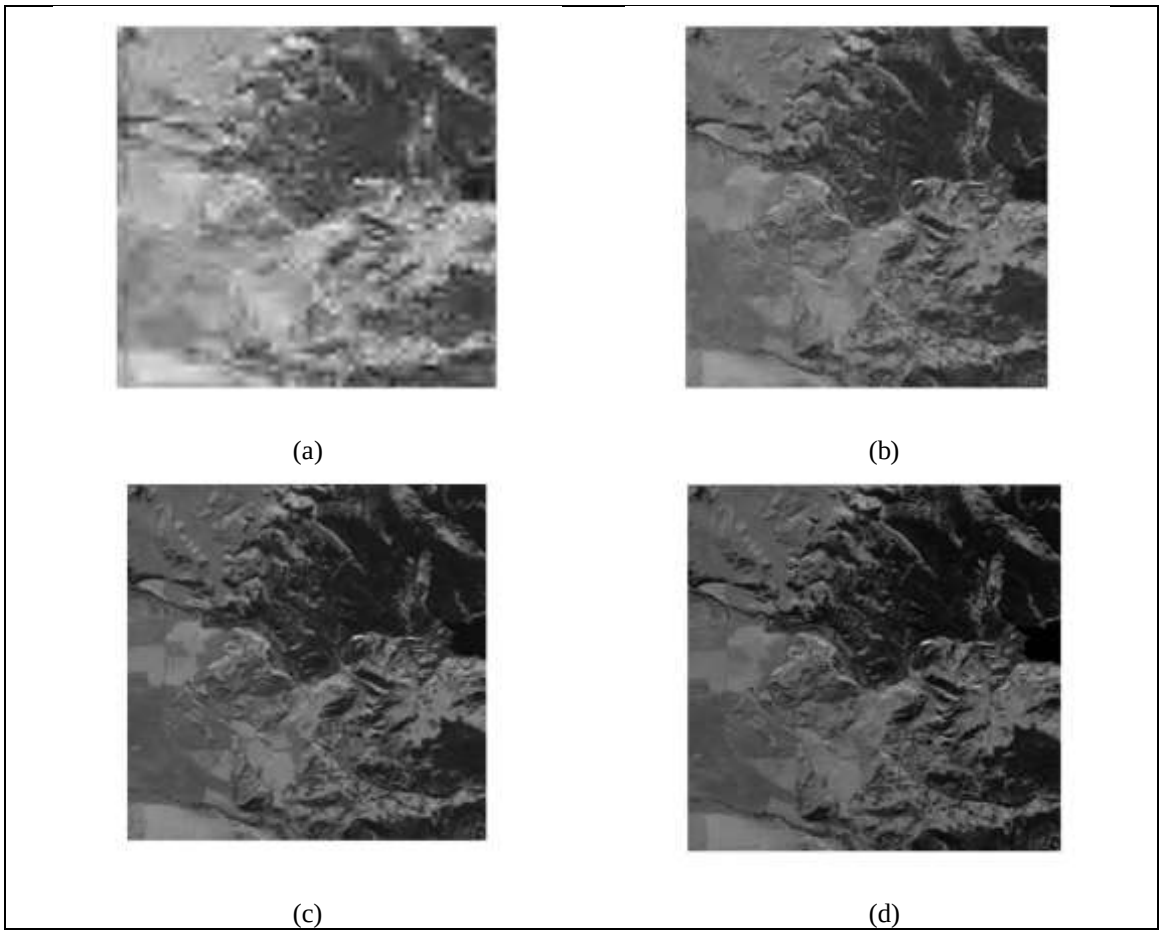


Figure 3: Reconstructed Uncalibrated Yellowstone Scene 0 with four bit rate (bpppb)
(a) 0.001 (b) 0.01 (c) 0.1 (d) 1.
Source: Authors, (2026).

V. CONCLUSION

This study introduces a lossy compression algorithm for HS images that is optimized for low memory and computational complexity, targeting resource-constrained onboard sensors. The proposed method enhances processing speed by minimizing memory access operations and capitalizes on the strong spectral-spatial correlations inherent in HS data to achieve high coding efficiency. The LBrWF is employed to reduce transform memory requirements, while the 2D-LC-ZM-SPECK algorithm eliminates coding memory and lowers coding complexity, leading to significantly faster compression compared to other transform-based techniques. Although the proposed algorithm operates in a listless manner, it exhibits a modest increase in computational time relative to existing listless coders. This is due to its frame-by-frame search for significant coefficients, which introduces a slight increment in processing overhead.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Purushottam Lal Nagar, Shrish Bajpai.
Methodology: Purushottam Lal Nagar, Shrish Bajpai.
Investigation: Purushottam Lal Nagar, Shrish Bajpai.
Discussion of results: Purushottam Lal Nagar, Shrish Bajpai.
Writing – Original Draft: Purushottam Lal Nagar.
Writing – Review and Editing: Shrish Bajpai
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Supervision: Shrish Bajpai
Approval of the final text: Purushottam Lal Nagar, Shrish Bajpai

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ARTIFICIAL INTELLIGENCE STRATEGIES IN ENHANCING CYBERSECURITY: AN ANALYSIS OF ADVANCED APPLICATIONS AND TECHNIQUES

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ABSTRACT

In this research, we aim to detect the important role of Artificial Intelligence (AI) in increasing cyber security measures against rapidly refined cyber threats. Since cyber-attacks develop in complexity and frequency, traditional safety methods are often inadequate, which requires integrating AI-controlled solutions to increase danger, reaction time, and general safety flexibility. The study will be engulfed by various AI applications in the cyber security domain, including detection of nonconformities, automatic danger information analysis, and future analysis. By analyzing existing literature and case studies, research will emphasize how AI technologies such as machine learning and natural language treatment can be utilized to improve the effect of cyber security structure. Besides, there will be challenges and moral ideas related to distributing AI in security contexts, including privacy and concerns related to algorithm bias. Large findings of recent studies indicate that AI can increase cyber safety ability by quickly identifying and more accurate risk assessment of hazards. This research outlines the transformation effect of artificial intelligence on cyber security practices and provides recommendations for organizations to effectively use AI-controlled strategies. By promoting a deep understanding of skills and limitations in the cyber defense structure, the purpose of this study is to contribute valuable insights that can lead to future development in this important field at the present time.

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I. INTRODUCTION

With the rapid progress of information and communication technology, digital society depends on refined systems to protect fast data and information. Due to large data, which may contain abnormal patterns that may indicate cyber hazards, increase the risk of loss and reduce the speed of the response. Other than this. With remarkable developments in science and technology and the use of different methods of storage and exchange of information - which is usually known as the transfer of data from one place to another in the network - safety awareness has become very necessary. From this situation, artificial intelligence emerged as a powerful tool that mimics human mental decisions with the aim of improving communications security and preserving information, for example, we see that the study [1]. Has revealed the use of machine learning and deep learning algorithms, such as SVM, LSTM, and CNN-LSTM, to detect malicious software on Android systems, This study confirmed that the SVM algorithm achieved 100% accuracy on the CICAndMal2017 dataset, while the LSTM reached 99.40% accuracy on the Drebin dataset. In addition, AI solutions contribute to more effective vulnerability analysis by combining traditional methods with AI-operated functionality. These solutions automate security scanning processes, identify important threats and learn of historical data, increase scalability, and accuracy, and adapt to new threats.

By combining traditional methods with AI-powered techniques for analyzing complex security vulnerabilities, the study [2] aims to detect critical threats, thwart attacks, and reduce human error. The cyber security sector is facing a significant challenge in explaining the results of the AI system based on the Deep Learning (DL) algorithm, which has led to a clear AI (XAI) to improve transparency and enable operators to make the right assessment. The literature review primarily explores the latest work in AI-powered cybersecurity tools and techniques such as machine learning algorithms, deep learning networks, and natural language processing [3]. And so is the study [4] Challenges facing AI cybersecurity include privacy violations, algorithmic bias, the use of AI in cyber-attacks, accountability, openness, and security issues, So we see many studies that have addressed these challenges, the ethical and legal challenges posed by the use of AI in cybersecurity, particularly in the ethical framework of data protection, where criminal risks such as ambiguity and sophisticated cyber-attacks are increasing, requiring a specific legal framework. Thus, it is clear that artificial intelligence plays an important role in expanding confidence in digital systems and opening new ways to get better security for sensitive information, by opening the danger and providing advanced solutions to the response.

II. RELATED WORK

II.1 CURRENT STATE OF KNOWLEDGE

Recent progress in artificial intelligence (AI) has changed cybersecurity practice much. Artificial intelligence (AI) is a powerful technology that helps cybersecurity teams automate repetitive tasks, accelerate threat detection and response [5].Machines are equipped with many techniques, software, mass databases, and complex algorithms capable of analyzing them, converting them into information-solving problems, and selecting the most appropriate options to solve problems and make appropriate decisions, let's make the term "artificial Intelligence "origin from American computer scientist John Macarthi, when this concept was first introduced during a scientific conference at Dartmouth College in 1956, which is designing a wise machine capable of mimicking the human mind. The opportunity was to detect. For instance, research shows that AI-driven tools can process vast amounts of threat intelligence data more efficiently than human analysts, thus improving situational awareness and decision-making processes [6], [7] . Relying on artificial intelligence technologies in cybersecurity is no longer a luxury but an indispensable tool for detecting threats, automating responses, and reducing the time required to detect attacks [8][9].

The rapid growth in digital governance has led to high levels of profitability, and the impact of regulatory risks associated with cybersecurity has resulted in a broader awareness and deeper understanding of how these risks affect strategic decision-making[10]. Based on the foregoing, we present here a research problem that focuses on the increasing sophistication of cyberattacks , which generates several critical challenges for malicious actors and organizations seeking to protect infrastructure, considering the methods and techniques employed by cybercriminals. The term artificial intelligence is a comprehensive term that provides many innovative solutions and smart devices, and offers new innovations as various fields of life develop [11]. This is what the future of urban cybersecurity requires maximizing the use of systems to repel, resist, and recover from malicious attacks [12]. This research paper offers insights into the potential for new opportunities related to artificial intelligence technologies in this context by examining how AI can be effectively integrated into cybersecurity practices. With the rapid development of AI technologies, its potential to improve communications infrastructure management through sophisticated anomaly detection is increasingly evident.

Furthermore, to fully realize this potential, more research is needed to address practical challenges related to scalability, immediate implementation, and long-term maintenance [13]. Ultimately, research will contribute to a better understanding of how AI can be used to solve modern cyber security challenges, and to ensure responsible and efficient distribution. One of the most prominent recent studies and results that demonstrate the effectiveness of artificial intelligence in detecting threats and analyzing risks is what the study reached [14]which resulted in the fact that they endorse a comfy records school sharing and conditional dissemination scheme with multi-proprietor in cloud computing, in which knowledge proprietor will share private statistics with a group of shoppers through the cloud in a totally cozy process, and knowledge communicator will broadcast the information to a trendy college of customers if the attributes satisfy the get right of entry to rules within the cipher text . Although researchers have found these solutions, a major challenge arises in interpreting the results of learning-based AI, leading to the emergence of the concept of explainable AI (XAI).

II.2 RESEARCH GAPS

Despite the remarkable development and progress in the role of artificial intelligence in supporting cybersecurity, there are some research gaps which must be pointed out, including: Interpreting AI systems' decisions: Deep learning algorithms often remain a mystery, making it difficult for experts to understand the decision-making mechanism, and affecting confidence in the systems. Theoretically, and despite the existing literature including a large number of research papers, we have found a deficiency in considering realistic scenarios in their content. It is important to note that useful scientific contributions should go beyond applying artificial intelligence techniques to cybersecurity datasets, and it is very important to make greater efforts to bridge the gap between the fields of artificial intelligence and cybersecurity [15]. Algorithmic bias: Numerous studies have confirmed the existence of biases in artificial intelligence algorithm techniques, which lead to the production of unfair or inaccurate decisions, especially with unbalanced data. The problem of algorithmic bias is one of the most significant challenges facing AI applications and cybersecurity. Studies emphasize the importance of addressing algorithmic bias, as it raises ethical and legal concerns, including combined dimensions, to ensure trust in artificial intelligence technologies and the rights and privacy of individuals and communities in our increasingly AI-led world [16]. Ethics& Privacy: AI applications in cybersecurity have raised numerous ethical and legal issues related to data privacy, accountability, and decision transparency. Many of the proposed frameworks seek to provide solutions that are just a part of compounding and escalating situations.

The transaction speed and scalability of technologies like BC can create a barrier to data protection rights, targeted cyber-attacks, and the ability to update and track users, however there are advantages in making separate forms that when produced as a whole, can support data verification , transparency and accountability in many industries [17]. Reliability and scalability: More research is required on how to scale the AI system to suit large, sometimes changing business environments, and ensure immediate responsibility and long -lasting efficiency.

III. METHODOLOGIES AND TECHNIQUES

This research used a descriptive and analytical approach to examine the role of artificial intelligence (AI) in increasing cybersecurity against developing threats online. The study begins by establishing a basic understanding of electronic information protection, defines the most important elements, forms, integrity, and accessibility and classifies the widespread threats, from human errors and environmental factors to hacking and sophisticated cybersecurity such as hacking and computer viruses. The methodology offers several key pillars to support a comprehensive understanding of the technical capabilities of artificial intelligence and its implications. The main components of the methodology can be summarized as follows:

- Descriptive Analysis: This pillar provides a comprehensive analysis of recent literature and academic studies to identify key AI applications and emerging trends in cyber threats and their mitigation. This section addresses how AI techniques can be used, such as in malware detection, incident response, and risk assessment.

- Quantitative Data Analysis: This research conducted a comprehensive quantitative analysis of cybercrime statistics between 2015 and 2022[18] Various categories of cyber threats were identified, as shown in Table 1 and Figure 2, to pinpoint the main trends in online criminal activity. Given the complexity of these threats and attacks, the use of artificial intelligence techniques to mitigate their impact has become essential.

- Review of case studies and advanced AI techniques: The research included a review of experimental studies and real-world applications demonstrating the practical effectiveness of advanced artificial intelligence algorithms and models. Focusing on modern techniques such as support vector machines (SVMs), long short-term memory (LSTMs), and hybrid models such as convolutional neural networks and long short-term memory (CNN-LSTMs), which have proven effective in malware hunting, vulnerability analysis, and other cybersecurity tasks.

III.1 ELECTRONIC INFORMATION SECURITY

III.1.1.The concept of electronic information security:

Today's advancements in wireless communications technologies have generated massive amounts of big data. Most of our information is part of a vast network that connects devices around the world [12]. And we can define Information security culture, which guides how things are done in the organization regarding information security, to protect the information assets and influence employees' security behavior[19]. Moreover Information security is defined as a set of measures and procedures adopted by an organization that becomes more sophisticated, especially information and data use, such as tamper unauthorized access, cybercrime, , using advanced technique injuries, illegal [1]. Electronic information protection refers to the protection of ordered data stored or transmitted through electronic systems from the dangers and attacks that can lead to data violations, losses, or unauthorized changes. This includes the implementation of guidelines and a series of technologies to ensure privacy, integrity, and availability of confidentiality, integrity, and information such as encryption and firewalls. In addition, electronic security depends on the access control mechanism that defines who is authorized to view or change the data. In the digital age, electronic information protection is important for individuals and organizations to protect against increasing risks, such as cyber-attacks and harmful software.

Information security is defined by three different approaches: educational, technical, and legal. From an academic point of view, information is a scientific field that studies principles and strategies to protect information from hazards and malicious activities. From a technical point of view, it includes equipment, methods, and procedures required to ensure the protection of information from both internal and external risks. From a legal point of view, information is related to security studies and to combat the confidentiality of information, along with measures to protect the integrity and availability of information, to break or utilize information systems for criminal purposes. Information security is a set of measures taken by an organization to protect its information systems in various ways, physical measures to protect the organization's hardware from damage can be defined as logical measures as protective software designed to prevent theft, hacking, or material manipulation. Information security should exist to be effective. Growth for cyber threats extends far beyond traditional security areas administered by information technology software [20]. To be effective and excellent information protection, three basic and important conditions must be met:

- Disponibility: It refers to access to data so that they can read and find it easily.
- Integrity: This means keeping information during transmission, processing, or storage, unchanged in material or size. Generally, the system ensures the accuracy of the information and prevents it from being replaced by third parties, its accuracy and perfection..
- Confidentiality: This indicates that information can only be read and accessed by people with special access rights.

These items are in line to create a complete concept of information protection, as illustrated in the following data:

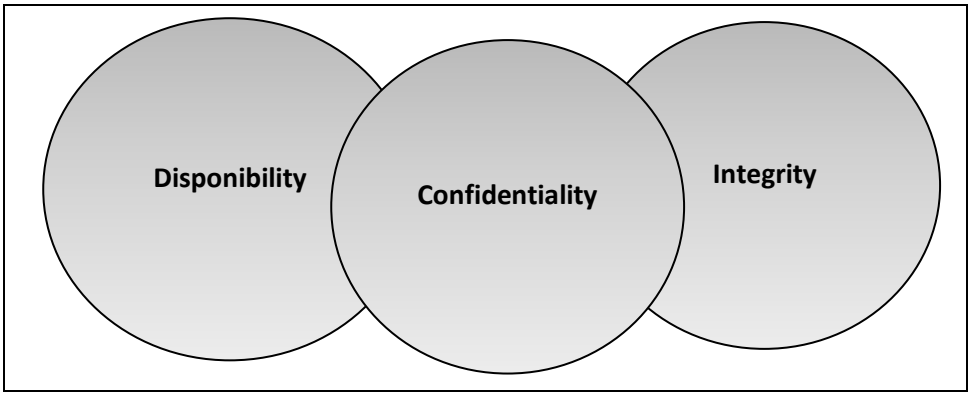


Figure 1: Represents information security elements.
Source: Authors, (2026).

When focused, large amounts of electronically stored data become more vulnerable to new dangers when stored manually. Advanced technologies and software have helped to expand the extent of these risks. We can describe these dangers this way:

- Human Threats-: These occur at some point of the layout of hardware or information systems , and they include activities consisting of programming, testing, facts compilation, and the input of statistics into the machine
- Environmental Threat:- These embody herbal failures together with earthquakes, storms, floods, and hurricanes. They additionally include problems related to electricity failures, fires, and the malfunctioning of conditioning and cooling structures, among different environmental elements which could have an effect on machine availability.
- Cybercrime hacking:- unauthorized access or infiltration in the system through the use of hacking tools or software
- Computer virus: Independent software that is built into computer programs and causes, causing potential damage or dissolution of the system.
- Digital crime: to increase the risk of privacy security from modern technologies, including surveillance technologies (e.g. camcorders), electronic identity cards, and cutting or surveillance methods.
- Hacking is the process of illegal infiltration of systems and equipment using advanced equipment and techniques to reach sensitive information or take control of data. This may include stealing data, destroying the system or even disrupting important operations of companies and organizations.

These categories illustrate the diverse range of threats that can impact electronic data, arising from human actions, environmental factors, or cybercriminal activities. A study [18] has shown an increase in the level of cybercrime in the era of electronics and digitization, as shown in the following table:

Table 1: Changing trends in cybercrime attacks (in millions).

Incidents	2015	2016	2017	2018	2019	2020	2021	2022	%Increase /Source
Fraud	3.439	3.546	3.736	3.879	4.157	4.455	4.746	5.191	50%[21]
Denial of Service	0.368	0.544	0.676	0.755	0.946	1.276	1.383	1.567	327% [21]
Cyber Harassment	0.345	0.454	0.655	0.764	0.845	1.156	1.266	1.478	328% [22]
Vulnerability reports	0.310	0.515	0.614	0.811	0.915	0.990	1.372	1.491	381% [23]
Malicious code	0.410	0.545	0.756	0.967	1.176	1.245	1.444	1.580	285% [23]
Content related	0.203	0.375	0.576	0.848	1.177	1.176	1.277	1.364	578% [21]
Total	5.075	5.979	7.013	8.024	9.216	10.298	11.488	12.671	

Source: Authors, (2026).

The following diagram represents the number of cybersecurity incidents from 2015 to 2022, which is classified by that type of attack.

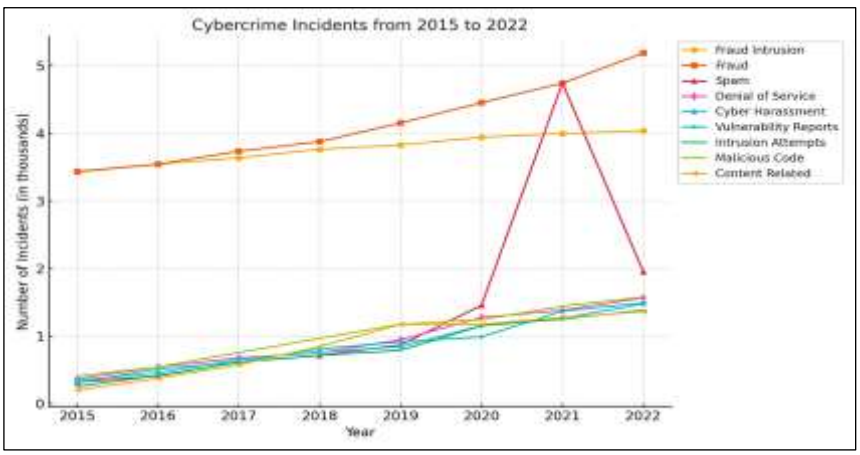


Figure 2: Diagram shows Cyber security incidents (2015-2022).
Source: Authors, (2026).

As a result of the increasing reliance on digital technologies and the internet, cyberattacks increased significantly between 2015 and 2022. The increased vulnerability of systems to attacks by vulnerable individuals has led to a significant increase in breaches. These breaches affect key sectors in countries, including healthcare.

III.1.2 Different forms of cyber- attacks

Cyber -attacks that can target the equipment, software and network of an organization, take different forms and use more methods. They are constantly evolving and used to break or damage all the weaknesses of the system. The Internet is a favorite medium for hackers to commit these crimes. Some of these attacks include the following:

- Malware : This is represented in viruses, worms, and Trojans , aimed at damaging or breaking devices and systems.
- Hacking: Attacker infiltrates the system or network to access sensitive data or information.
- Ransomware: Attackers encrypt the victim's data and information and demand a ransom to decrypt it.
- Phishing Attackers trick users into giving away their personal or financial information through fake messages or scams.
- DDoS (Distributed Denial of Service) Attacks: a large amount of data is sent to the sink and disables it.
- **Man-in-the-Middle Attacks** : Prevent communication between two parties to access the data transferred to the attackers.
- Exploitation of Security Vulnerabilities attackers utilize software or systems to access networks or data.

These attacks are developing to maintain frequent technological advances, making it necessary to update security systems regularly.

III.2 CONCEPT OF ARTIFICIAL INTELLIGENCE

Artificial intelligence (AI) can be defined as the theory and development of computer systems capable of performing tasks that previously required human intelligence, such as voice recognition, decision -making and pattern identity. AI is a comprehensive term that includes many techniques, including AI algorithms and technology, deep nervous networks and deep learning models. AI algorithms analyze and learn from data to extract the pattern and then decide. Deep neural networks are advanced models inspired by the human brain and are used in applications such as Natural Language Processing (NLP) and image recognition. Through deep learning models, AI can improve accuracy over time by learning from large amounts of data. It is also known as science and engineering subjects to create intelligent machines, especially intelligent computer programs. It is associated with overlapping tasks, namely the use of computers and algorithms to understand human intelligence, but artificial intelligence is not limited to methods that can be observed biologically [24]. In addition, some claim that the AI leadership varies from IT management in the past.

AI is not just a technique or set of technologies, but rather a constantly evolving horizon of emerging computing capabilities and innovations [25]. Moreover ,we can point to a very important aspect in dealing with artificial intelligence technologies: AI governance. This is a fundamental aspect, especially when tasks such as prediction and rapid decision-making are delegated to artificial intelligence systems (AIs). Recent policies, particularly in Europe, highlight the importance of this issue and emphasize the need for guarantees that the AI system is transparent Artificial intelligence (AI) is a paradigm to imitate the logic of the people, e.g. Already unpublished computer classification of future events such as stock market trends, sales and consumer behavior predict. The term "artificial intelligence" (AI) has recently gained popularity, legal scholars have provided different definitions. From a technical perspective, a remarkable definition AI describes as a "computer program that depends on algorithms and specific processes to perform special features or features.

This system is designed to receive automatic inputs, which are processed according to the program's instructions. From this we conclude that artificial intelligence depends on the software algorithms that are entered into the computer, the inputs of which depend on codes and rules. A great use of AI can be seen in advanced robotics. AI depends on computers equipped with real knowledge, and the origin of AI is represented through a process -based sequencing method through this knowledge. Despite the meaning, AI responsibility is often defined as the values, exercises and goals of the AI system, which is used inadequately in practical applications [26]. In addition, it should be noted that artificial intelligence cannot be underestimated, especially in relation to large data and its effect on social, political and social structures created by individuals as communication. This is part of the greater digital transformation, and its future potential is difficult to predict given the massive growth in computing power alone and its interaction with the "analog world"[27].

III.3 EVOLUTION OF TRADITIONAL ANOMALY DETECTION

A questioner may ask: What is a traditional anomaly?

The term actually refers to discovering deviations when it comes to abnormal phenomena or patterns from the pattern, distracted by general or expected behavior in the network. The aim of detecting the deviation aims to identify nonconformities that may indicate problems such as previous quality, abuse of service, traditional anomalies, cyber halls or returns. Legislators - rulers use some rules and predetermined criteria to identify unusual patterns. For example, fixed thresholds can be used to monitor network traffic, if the values are more than these thresholds, an alert can be triggered. Although technology has improved our lives a lot by making information and communication easily accessible through devices such as computers and mobile phones. These devices not only help us manage individual and professional features, but also save important data including credit card details and passwords. However, this data can be unsafe for cyber criminals who benefit from weaknesses through various attacks and require unauthorized access. Awareness of different types of cyber threats is required for security [28]. As the volume of data increases, it is necessary to protect this data from theft, tampering or intrusion.

According to a recent review published in Springer (Edozie et al., 2025) [13] there are several limitations to traditional methods. First, rule-based systems lack flexibility and are difficult to handle with new networks. Not to mention the erroneous rates that can result, leading to false alerts or failure to detect critical events . There is a recent study [13] that shows in (Figure 1)a sufficient increase in global data volume from 2010 to 2024. This figure indicates rapid expansion in the amount of data generated in the network and system and the processed data provides an indication. The dependence on digital infrastructure from organizations, companies and officials is increasing. This figure indicates that this significant data text corresponds to technological advances such as 5G networks and Internet of Things (IoT), leading to an increase in the complexity of the network environment. This complexity creates traditional methods, such as the rules system, insufficient to address the increasing security threats .As a result, the integration of advanced technologies such as artificial intelligence (AI) has become necessary to effectively analyze this data and not to detect analogies. The heavy growth in the data volume emphasizes the immediate need for a system that detects noise and is able to process large amounts of information in real time. These systems can learn autonomy and improve the performance of Ti35me, network traffic patterns and new threats. Given the frequent errors and the difficulty of electronic adaptation, the need arose to search for more efficient solutions

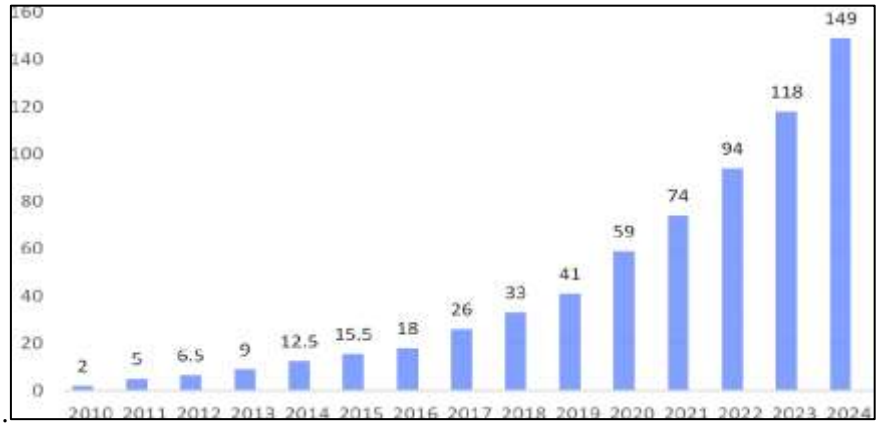


Figure 3: Data Growth Worldwide 2010–2024.
Source: Authors, (2026).

Therefore, it is important to highlight the role of artificial intelligence techniques in improving network anomaly detection. The main objectives of this research can be added as follows:

-AI Efficiency Analysis: Artificial intelligence technologies, especially deep learning algorithms, machine learning, and natural language processing, are used to obtain accurate results for detection systems, leading to increased cybersecurity defenses.
-Identifying current challenges: Highlighting anomalies as ways to detect traditional deviations, such as high false positive frequencies and difficulties in adapting to new computer patterns.
-Explore innovative solutions: Providing an innovative AI-based solution to address cybersecurity challenges, including the use of advanced deep learning models such as Recurrent Neural Networks (RNNs) and Convolutional Neural Networks (CNNs).
-Develop research hypothesis: to prepare hypotheses related to AI's role in strengthening cyber security, such as how it can detect danger and response time.
-Discuss moral ideas: Data to address moral ideas related to privacy and how to use AI affects cyber security practice.
-Provide practical recommendations: To offer practical recommendations for stakeholders in the cyber security sector, how to effectively be integrated into systems to detect deviations to AI technologies.

IV.RESULTS AND DISCUSSION:

This study analyzes the application of artificial intelligence (AI) to increase cyber security towards developing hazards online. The data reveals a significant tendency to integrate AI technologies to detect the danger, event reaction and general security. AI-operated equipment shows increased efficiency in the treatment of the danger intent, which improves status awareness and decision-making. AI reduces timely reaction time automatically by blocking malicious traffic and separating the infected system. Some machine learning algorithms show high accuracy in detection of harmful software, and contribute to an active defense against cyber -attacks. In addition, AI increases vulnerability analysis by automating security scanning and prioritizing dangers. Analysis of online crime data reveals an increase in the frequency and processing of cyber- attacks, and requires integration of AI to improve cyber security. Cybercrime has increased dramatically, highlighting the need for more effective security solutions. AI provides the ability to address the abilities by identifying these developed dangers constantly, and detecting asymmetrical behavior and automatically to the reaction of the event. However, the analysis also highlights moral ideas on the use of AI in cyber security. Ensuring openness and confidence in AI-operated systems presents an important challenge. The deployment of AI in cyber security increases the concerns of privacy violations, algorithm bias and accountability. The moral structure of data security becomes especially important when it comes to AI-operated cyber security solutions. Based on the research results, the researcher recommends the following:

-Develop Advanced Ai-Powered Detection Systems: Analyzing The Discrepancy Pattern and Predicting Cyber Attack Before Occurring, Focusing on the Use of Machine Learning Algorithms to analyze user behavior and detect any suspicion.
- Invest in training employees on how to identify cyber threats: to educate them on the latest phishing and malware techniques, and provide them and their outfits, which provide the equipment and skills required to protect them from cyber- attacks.

-Use strong security measures: for example, multifactor authentication, encryption of sensitive data, and regular software and system updates to reduce the security weaknesses utilized by the attackers.
- Establishment of clear laws and regulations that control the use of AI in cyber security: to ensure the safety of privacy and security, and to define responsibility and responsibility in the event of security incidents.
- Encourage cooperation and information sharing between organizations and public agencies: To raise awareness of cyber threats and exchange best practices in cyber security.

V.CONCLUSION AND FUTURE WORK

V.1 CONCLUSION

This research emphasizes the developed role of artificial intelligence in increasing cyber security against new digital dangers. Since modern society depends on the technical systems that are growing rapidly, the need for AI-controlled solutions to strengthen the traditional security protocol has become clear. While AI plays an important role in the Founding, the event reaction and the vulnerability assessment, it is necessary to address moral concerns related to openness, privacy and potential prejudices in the AI algorithm. In order to use AI, organizations must prefer responsible strategies focused on moral guidelines, collaboration between AI experts and cyber security people and continuous performance monitoring. By understanding the strength and boundaries of AI in Cyber Defense, this research contributes to valuable insights that can lead future development and distribution in this important field, ensuring a safer digital future for individuals, institutions and officials.

V.2 FUTURE WORK

Despite the remarkable progress this study makes in enhancing the AI-managed cyber domain, it is merely the beginning of numerous promising and open-ended avenues for exploring future visions and more clearly defined developments, particularly AI models- so-called Explainable AI (XAI), to increase user confidence and ensure the soundness of decisions made in the field of cybersecurity. Furthermore, there is a need to formulate a strong defense against hostile digital assaults is important that the research also addresses the long-term ethical, legal and societal implications of deploying artificial intelligence in cybersecurity, including protecting confidentiality, algorithmic fairness and avoiding bias Also, multidisciplinary collaboration between AI experts, cybersecurity specialists and legal researchers is needed to develop comprehensive guidelines for the responsible use of AI in digital defense. Finally, it is recommended to conduct thorough and realistic studies to assess the effectiveness, limitations, and unintended consequences of AI-managed cybersecurity systems. This work will ensure that future AI solutions not only enhance technical capabilities but also align with social values and evolving needs, contributing to a more secure and resilient digital ecosystem.

VI. AUTHOR'S CONTRIBUTION

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Supervision: Ali Chasib Alhasnawy.
Approval of the final text: Nibras Yousif-Algburi, Ali Chasib Alhasnawy, Tara Sabah Mehdi

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ENHANCED DEEPFAKE IMAGE DETECTION VIA SWIN TRANSFORMER WITH VISUAL ATTENTION ANALYSIS

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ABSTRACT

Deepfakes, synthetic media created using advanced machine learning techniques, pose significant societal challenges by spreading misinformation and undermining trust in media. With the increasing sophistication of deepfake technologies, distinguishing between genuine and synthetic media has become increasingly difficult. This paper presents a robust deepfake image detection framework using the Swin-B Transformer, a pre-trained model fine-tuned for our application. By integrating a hybrid dataset that combines real images from the FFHQ dataset and synthetically generated fake images from a publicly available Kaggle dataset, we simulate real-world media scenarios. Our model achieves an impressive accuracy of 97.47% on the test set, demonstrating superior generalization to both real and synthetic visual data. Using Grad-CAM, we visualize the spatial segments of the image that the model focuses on during classification, providing insight into the decision-making process. This work contributes to enhancing content authenticity, controlling fake news, and ensuring digital trust and safety.

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I. INTRODUCTION

The pioneering work of Christoph Bregler, Michele Covell, and Malcolm Slaney in developing the video rewrite program in 1997 laid the foundation for Deepfakes. It is marked as the first automated approach to facial reanimation, leading to the more sophisticated deepfake technologies that we encounter today. The term deepfake has since come to encompass both these fake media and the specific method of their creation. The manipulation of digital images and videos has been a promising technique for many years and is done through the use of visual effects. However, the inception of deep learning architectures like Generative Adversarial Networks (GANs) has led to a marked increase in the realistic nature of fake content and the ease with which they can be generated [1], [2]. These AI-generated media, commonly referred to as deepfakes, are easily produced using artificial intelligence tools. Through the use of deep learning algorithms, it is now possible to generate fabricated videos and images that are virtually challenging to differentiate from real ones. Since their emergence in 2017, there has been a proliferation of open source deepfake generation methods and tools, resulting in a growing number of synthetic media clips.

FakeApp [3] and FaceSwap [4] are two prominent publicly accessible deepfake implementations. Throughout history, there have been numerous instances in which deepfakes have been utilized for malicious purposes, such as creating political tensions, staging fake terrorism events, producing pornographic content, and blackmailing.

As an example, University of Maryland researchers created a bot by the name of Katie Jones on the LinkedIn platform. In order to add more authenticity to this fake profile, a profile picture generated using deepfake technologies was also added, and the bot was then left to make connections on the platform. In just two months, this profile was connected with two US state senators and one Department of Defense (DoD) personnel [5]. It is estimated that, bots make up 65% of the Internet currently. With the advent of deepfake technologies, it might become even more difficult to detect fake identities on the Internet. A study by the AI firm Deeptrace revealed that only in the month of September 2019 they identified 15,000 deepfake videos online, nearly double the increase over the previous nine months.

Of these videos, 96% were pornographic in nature, among which 99% of those targeted female celebrities, overlaying their faces on the bodies of some porn stars [6]. This marked the significance of robust and reliable methods for detecting deepfakes thus preventing their abuse. At the heart of deepfakes lies the intricate process of facial swapping, a technique that allows for seamless overlaying of facial images of a target individual onto videos of a source individual as shown in Figure1 This mesmerizing artistry results in videos of the target individual appearing to say or do things that were originally performed by the source individual as shown in Figure 2. An example of the influence of deepfakes can be seen in the circulation of such videos related to the Russian-Ukraine conflict, including a deepfake of Russian President Vladimir Putin declaring peace.



Figure 1: Original Image and Corresponding Deepfake Image.
Source: Authors, (2026).



Figure 2: An example Deepfake video.
Source: Authors, (2026).

The rapid growth of generative models has led to the extensive creation and spread of deepfake images. Although these technologies have creative and commercial applications, they also carry serious risks such as the spread of false information, identity theft, and a decline in public confidence in digital content. A crucial challenge in the areas of computer vision and social computing is the detection of these misleading media content. The increasing societal impact of deepfake images is another factor driving this study. As deepfakes significantly influence public opinion, identity verification and social media integrity, strong detection techniques contribute directly to the broader goals of social computing there by improving digital trust and authenticity of the content.

I.1 OBJECTIVES

The main objectives of our proposed work are the following.

1. Create a hybrid dataset that combines real images from the FFHQ dataset with synthetically generated fake images from a publicly available Kaggle dataset, representing diverse and challenging real-word scenarios.
2. Use, optimize, and evaluate the Swin-B transformer for deepfake image detection, a variant not extensively applied in this context.
3. Show that our approach has better generalization to heterogeneous data and outperforms several other existing approaches.

II. LITERATURE SURVEY

In the earliest methods, engineered features obtained from the inconsistencies and artifacts of fake images were used for classification. In the paper [7] make use of an image pre-processing step, where they apply Gaussian blur and Gaussian noise to the images in order to extract low-level high frequency cues of GAN generated images. This improves pixel-level statistical similarity between authentic and fraudulent images, allowing forensic classifiers to learn more intrinsic and valuable characteristics compared to existing techniques or networks.

In the paper [8], identified several distinguishing features such as missing reflection in the eye, loss of geometry and shape, difference in colour of two eyes of the same person etc., and then created a detection pipeline which segments all the various important features like iris, face crops etc. These segmented and extracted features were tested for authenticity and used for classification. They achieved their best accuracy of 83.8% with eyes as the primary mode of classification.

Hsu et al. introduced a two-phase deep learning method for the detection of deepfakes [9]. It makes use of the Siamese Network architecture based on the Common Fake Feature Network (CFFN) for feature extraction. The Siamese network takes pairs of images along with a pairwise label during training. When both images within a pair are genuine, the label is designated as 1, indicating a ”real-real” pairing. Conversely, if the images belong to different classes, meaning that one is authentic and the other one is manipulated, the label is assigned as 0, reflecting a ”fake-real” or ”real-fake” pairing.

During the training phase, a pairwise label is provided, and the model learns the distinguishing features of each class. Further, it can also understand the representative characteristics of real and fake images. Once the training is completed, a base image, whose class is known (real or fake), is passed along with the input image given by the user. Depending on the output obtained and the type of base image, we can determine the class of input image. The major setback of this approach is that it uses a non-standard dataset which is generated only using GANs. Hence, cannot work well with other deepfake implementations and can provide results only for GAN generated images.

Another method using pairwise learning was proposed by Zhao et al. for deepfake detection [10], where they made use of the self-consistency of local source features noticed in deepfakes, which are content-independent and spatially local information of images. These local features can be the result of imaging pipelines or encoding methods used in different image synthesis approaches. A CNN-based model is used to learn pairwise self-consistency. The hypothesis behind this paper is that the original image will have consistent features in different localities and a modified image will be inconsistent in generated and original portions of the image. The model is trained using representation learning technique, where, the model, instead of learning about the overall features, looks only at parts of the images.

This approach differentiates between genuine and manipulated images by penalizing feature vector pairs with low similarity scores within the same image. Conversely, it also penalizes the pairs of feature vectors from different images for exhibiting a higher similarity score. In this paper, cosine similarity is used as an evaluation metric. The feature maps being learned were then provided as input to a classification method for deepfake detection. Although this model performs well on locally modified images, it struggles with fully generated fake images, where features remain consistent at all positions within the image. Zhou et al. propose a different approach [11], in which they make use of a two-stream neural network. Instead of pairwise learning to understand latent relations between pairs of images, one stream is used to detect faces and determine their genuineness.

The other stream is used to detect traces which might be left due to any steganographic tampering. They make use of FaceSwap and SwapMe apps available on the App Store in iOS to create a custom dataset. However, the customized dataset used in their research is out-dated and the results are not updated with recent GAN-based generation methods. Moreover, the evaluation was primarily theoretical and when tested against a standard Celeb-DF dataset, achieved an AUC score of only 55.7%. A simpler approach was introduced by [12], where they implemented a modified VGG-16 network called as NA-VGG (N: Noise, A: Augmentation). Here, the input is first processed with an SRM filter which highlights image noise.

SRM stands for Style Recalibration Module, which is a fixed weight matrix acquired by training a shallow neural network to modify the image to a specific type, for example, from RGB to HSV etc. In this paper, the SRM layer extracts and highlights latent artifacts in the image which go unnoticed in the case of RGB. After generating this version of the input, augmentation is performed, where more images were generated by flipping, rotating, adjusting the brightness etc. of the image. The augmented images are passed to a standard VGG-16 CNN which contains 16 layers in total: 13 convolution layers and 3 fully connected layers. In order to downsize the resolution, 5 pooling layers are also used intermediately after convolutions.

In their research, they used the Celeb-DF dataset which is created by swapping faces in the CelebA-HQ dataset. Theerthagiri introduced an approach using InceptionNet [13], a CNN based architecture to capture multiscale features to identify deepfakes. In their study, they used a public dataset downloaded from kaggle consisting of 401 videos. Data Augmentation is applied to generate 3745 images from the dataset. The efficacy of the model was evaluated using various metrics derived from the confusion matrix, achieving an accuracy of 93% in recognizing deepfake images and videos. Another method was introduced by pasupuleti [14], using a Custom Densenet architecture, which is a deep residual neural network.

To classify images as *real* or *fake* they employed a CNN based architecture trained using a binary cross-entropy function. The performance of the model is evaluated using various metrics calculated from the confusion matrix. Ghita et al. proposed an approach for detecting deepfakes using Vision Transformers(ViT) [15]. This ViT based detection model is trained with a dataset consisting of 40000 samples including both real and deepfake images collected from the Kaggle dataset. The model achieved a score of 0.899 on a dataset consisting of 40000 samples. Their initial experiments emphasized the need for a large dataset for training and the fast convergence of the model. Compared to other baseline deepfake detection techniques, the performance of the ViT model was consistent with existing research, indicating its potential for further investigation.

Authors of [16] suggested a shallow vision transformer for recognizing deepfakes, incorporating both an attention mechanism and multi-head attention module. The attention mechanism highlights the critical parts of images, while the multi-head attention module determines how much attention should be allocated to local-level features. Finally, the softmax layer classifies an image as *real* or *not real*. Experiments conducted on two datasets-Real Fake Face (RFF) and Real and Fake Face Detection (RFFD) datasets show that the model achieves higher accuracy of 0.92 on RFF and 0.89 on RFFD datasets. The results outperforms most of the existing models such as GoogleNet, XceptionNet, ResNet50 and other baseline vision transformers. Furthermore, the model demonstrated an accuracy of 0.90 even when trained only on 50% of the RFF dataset.

II.1 LIMITATIONS OF EXISTING METHODS

- Most of the existing systems utilize standard versions of visual transformers or CNN architectures, like EfficientNet, ResNet variants, which may not capture global contextual clues present in high-quality deepfake images.
- They often utilize a single-source benchmark dataset or domain-specific image collections, which may not fully reflect the diversity and complexity of real-world content shared on social platforms.
- Although Swin Transformers have been used in some earlier studies, the Swin-B -which is a larger and more expressive variant of the Swin Transformer, has not been investigated for deepfake image detection.

These days Deepfakes have become very realistic, making local artifacts difficult to detect. In this context, there is a need for a transformer-based model which will capture global dependencies and can model long-range dependencies of images [16].

The self-attention mechanism in the transformer architecture helps focus attention on minute anomalies that CNNs may overlook. When fine-tuned, they offer better generalization and are robust to the new manipulation methods available. To mitigate these issues, we propose a novel deepfake detection model that leverages the Swin-B Transformer, a high-capacity hierarchical vision transformer, applied to a combined dataset consisting of real images from the FFHQ dataset and fake images sourced from a publicly available Kaggle dataset. This hybrid dataset simulates real-world media environment, improving the model's ability to generalize to unseen manipulations. Our method is novel in two ways: (i) we created a mixed dataset with both real and fake images from two different sources to represent realistic media scenarios; and (ii) we applied and assessed the performance of the Swin-B Transformer, an architecture that hasn't been studied in this context before.

III. DATASET DESCRIPTION

We constructed a hybrid dataset, consisting of images collected from two different datasets. Real images were collected from FFHQ Dataset [17] and DeepFake images from a dataset available on Kaggle [18]. Flickr-Faces-HQ (FFHQ) is an image dataset consisting of 70,000 high-quality PNG images of real human faces each with a resolution of 1024 × 1024, originally created as a standard for GANs [17]. The images in the data set were originally extracted from Flickr.com, an online platform for hosting images and videos, and cropped using the Dlib library [19]. The second dataset [18], is an image dataset consisting of 95,000 JPG images of forged human faces each with a resolution of 256 × 256. Images extracted from both datasets were combined and organized into two main directories: real and deepfake as shown in Figure 3. This combined dataset simulates the variability seen in real-world social media content. Samples of the real and deepfake images from the dataset are shown in Figure 4a and Figure 4b.

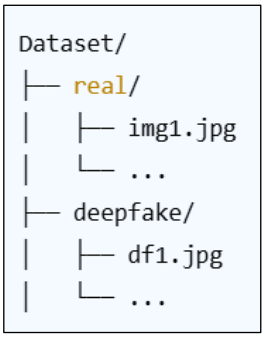


Figure 3: Structure of the dataset.
Source: Authors, (2026).



(a) (b)

Figure 4: Example Real (a) and Deepfake, (b) images from the dataset.
Source: Authors, (2026).

IV. PROPOSED MODEL

Transformers have shown immense capabilities and work especially well in tasks where pixel-level details might matter. Our proposed model uses the Swin - B (Base) Transformer, a mid-range model which is a specific type of Swin Transformer designed to provide a good balance of performance, computational cost and speed. Table 1 compares various Swin Transformer variants with respect to their computational costs. Among all the variants of Swin, Swin-B was chosen because of its superior ability to balance hierarchical representation learning, global context modeling, and computational efficiency [20]. Swin-B uses shifted window self-attention to learn local and non-local visual patterns with a multi-scale feature hierarchy unlike traditional CNNs, which use fixed receptive fields and have difficulties in capturing long-range dependencies.

Swin-B is much less computationally expensive than regular Vision Transformers, which exhibit quadratic computation complexity as a function of image resolution, making it effectively able to process high-resolution images, available in social media content, with smaller computational expense. Pre-trained weights were used before training so that the model requires less training times. In addition, it also helps in avoiding overfitting, as it can be trained for fewer epochs. After training, we evaluated the efficiency of the model by calculating important metrics on the test set. The model is then deployed for demonstration using the Gradio API, where it can be tested by giving an input image (real/fake).

Table 1: Swin Transformer variants with Computational costs.

Model	Params (M)	Computational Cost (FLOPs, G @224×224)	Depths	Embed Dim	Heads (Max)	Window Size	ImageNet Top-1 (%)
Swin-T	28	4.5	[2, 2, 6, 2]	96	24	7×7	81.3
Swin-S	50	8.7	[2, 2, 18, 2]	96	24	7×7	83.0
Swin-B	**88**	**15.4**	**[2, 2, 18, 2]**	**128**	**32**	**7×7**	**83.5**
Swin-L	197	34.5	[2, 2, 18, 2]	192	48	7×7	84.8

Source: Authors, (2026).

The overall architecture of the model is broken down into 5 modules shown in Figure 5. They are:

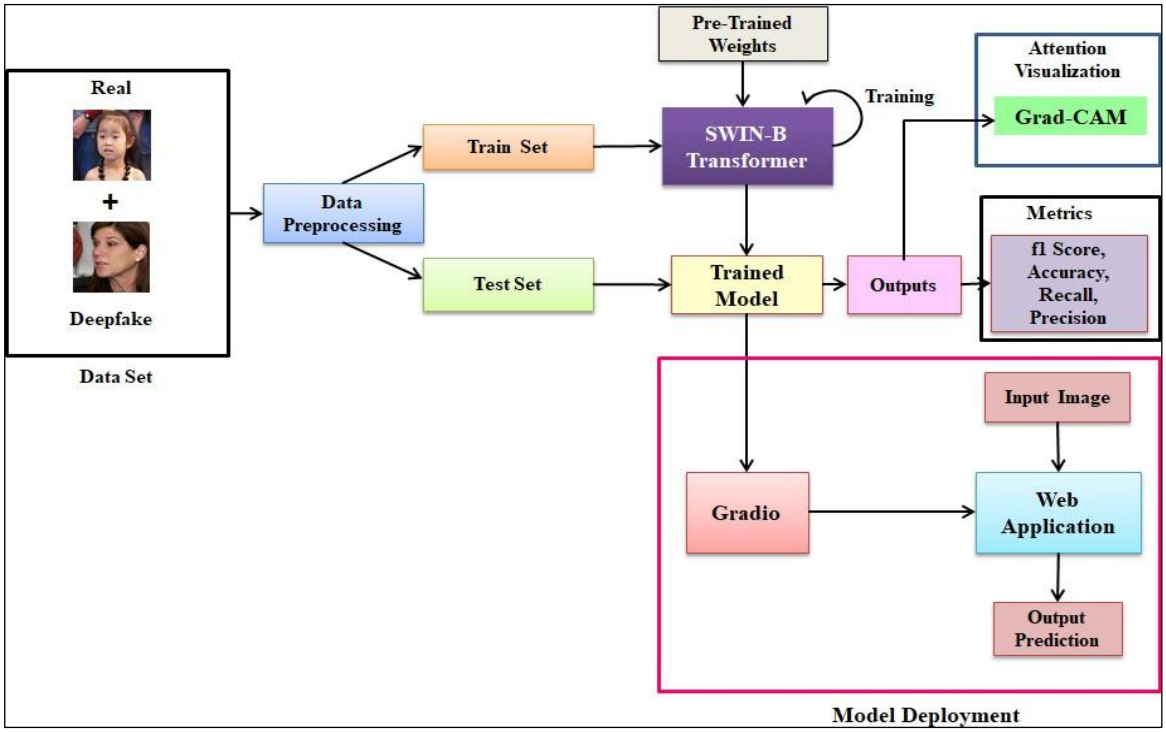


Figure 5: Proposed System architecture.
Source: Authors, (2026).

IV.1 DATA PRE-PROCESSING

All the images present in the hybrid dataset are transformed so that they are in a fixed size of 224×224 pixels - the expected input image size for the model, and are normalized. In order to balance both the classes present in the dataset, and to avoid overfitting, data augmentation is applied on real face images. The dataset was divided into subsets, with 70% used for training and 30% used for testing.

IV.2 MODEL TRAINING

After splitting the extracted image dataset into training and testing subsets, we start the training phase. Here, we make use of the pre-trained Swin-B Transformer model. Initially, load the Transformer pre-trained on ImageNet. The pre-trained weights for this model are obtained from the official weights submitted by Microsoft to the Huggingface platform [21]. This model contains roughly 28 million trainable parameters and is pre-trained on more than 14 million images present in ImageNet dataset. The Swin-B Transformer model contains four blocks called "swin layers", each performing similar operations. In the first layer, the image is broken down into non-overlapping patches of size 4 x 4 pixels resulting in 56 x 56 tokens. Swin divides the 56 x 56 tokens into small windows of size 7 x 7.

Unlike conventional Vision Transformers, where multi-head attention is calculated globally for the entire image taking a lot of processing time, Swin transformers applies attention only inside local attention window of size 7 x 7. This approach is known as Window-based Multi-head Self Attention (W-MSA) as shown in Eq(1). In the next layer, the windows were shifted by patch size of 3 supporting cross-window communication called as Shifted Window Multi-head Self Attention (SW-MSA). After each group of Swin blocks, a patch merging operation is performed, where 2×2 neighbouring patches are concatenated and linearly transformed there by increasing feature depth while decreasing spatial resolution. The overall architecture of the Swin-B transformer consisting of four stages, is illustrated in Figure 6 and the functionality of each stage is summarized in Table 2.

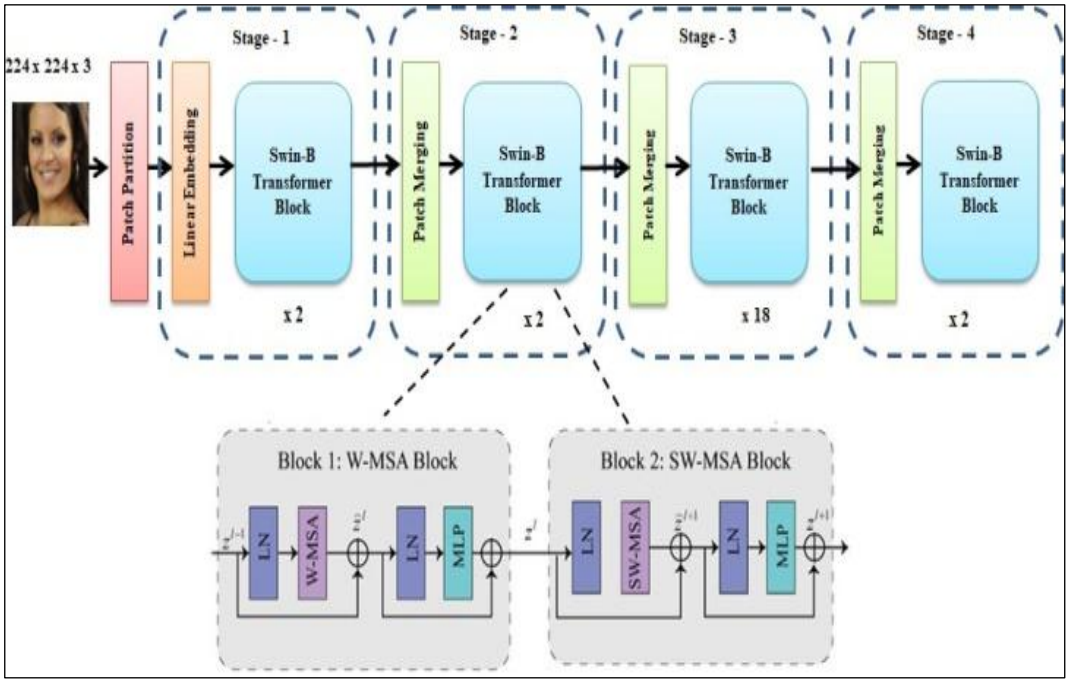


Figure 6: Architecture of Swin-B Transformer.
Source: Authors, (2026).

Table 2: Layers inside each Stage of Swin-B Transformer.

Stage	Input Size	Layers	Hidden Dim	Operations
1	56×56 (after 4×4 patch split)	2	128	W-MSA + SW-MSA
2	28×28 (after Patch Merging)	2	256	W-MSA + SW-MSA
3	14×14	18	512	W-MSA + SW-MSA
4	7×7	2	1024	W-MSA + SW-MSA

Source: Authors, (2026).

$$MultiHead(Q,K,V) = [head_1, \dots, head_h]W_0 \quad (1)$$

Where, headi is self-attention, calculated using Eq.(2) and Eq.(3)

$$head_i = Attention\left(Q\,W_i^Q, K\,W_i^K, V\,W_i^V\right) \quad (2)$$

$$Attention(Q,K,V) = Softmax\left(\frac{(QK^T)}{\sqrt{d_k}}\right)V \quad (3)$$

Where Queries $Q \in R^{n\times dk}$,Keys $K \in R^{n\times dk}$,Values $V \in R^{n\times dv}$. The final output layer of the Swin-B backbone produces a feature vector f $\in R^d$ and the fully connected layer converts f to class scores as shown in Eq(4).

$$= Wf + b \quad (4)$$

Where $W \in R^{n\times d\infty}$, $b \in R^n$ is the number of classes. Softmax is then applied to z which classifies the input into categories: Real, DeepFake. The softmax function is given by Eq(5):

$$\hat{y}_i = \frac{e^{z_i}}{\Sigma_{j=1}^{n} e^{z_j}} \quad (5)$$

Where $\hat{y}_i$ is the predicted probability for class i. Next, we calculate the loss using Cross Entropy function as shown in Eq(6). We take the cross-entropy loss and perform back propagation using gradient descent to modify the weights of the model.

$$Cross - Entropy = -\sum_x p(x)\log(q(x)) \quad (6)$$

Where p(x) is the true distribution, q(x) is the probability being predicted. In this way, the model is trained for 10 epochs. The total cross entropy for each epoch is observed as shown in Table 3.

Table 3: Cross-entropy loss for training and test set after each epoch.

Epoch Number	Training Loss	Testing Loss
1	0.4452	0.1691
2	0.1909	0.1585
3	0.1380	0.1465
4	0.1156	0.1363
5	0.0945	0.1338
6	0.0802	0.1298
7	0.0713	0.1241
8	0.0663	0.1231
9	0.0403	0.1212
10	0.0242	0.1210

Source: Authors, (2026).

IV.3 ATTENTION VISUALIZATION

Using Gradient-weighted Class Activation Mapping (Grad-CAM) technique, as proposed in [22], heatmaps are generated to visualize the spatial segments of the image on which the proposed model focuses during the classification of real and deepfake images by fusing the feature activations and the corresponding gradients from the layers being selected. These heatmaps were overlaid using a JET color map featuring red, yellow, blue, and green colors, where each color represents the degree of importance of the features:

- Red/Yellow: High Activation, most important regions that strongly influence the models decision.
- Green: Moderate Activation, regions that contribute partially to the classification.
- Blue: Low Activation, regions that have minimal or no influence on the classification.

Figure 7 and Figure 8 illustrate the Grad-CAM heatmaps generated for real and DeepFake images at all stages. The real image heatmap shows smooth, consistent attention on natural facial regions, and the activation is consistent from stage-1 onward. The fake image heatmap shows more scattered, irregular, and intense activations around unnatural boundaries and textures, with later stages (stage 2 and stage-3) highlighting these artifacts even more.

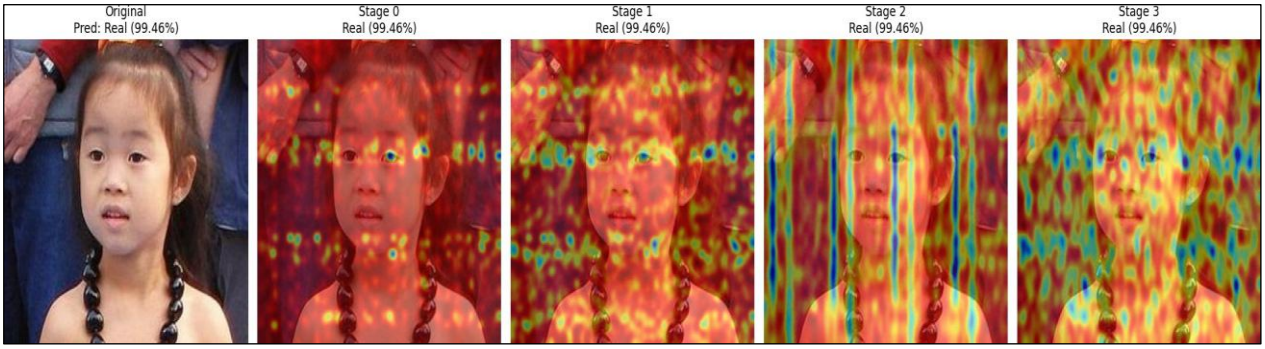


Figure 7: Grad-CAM heatmap generated from Stage 0 to Stage 3 for real image.
Source: Authors, (2026).

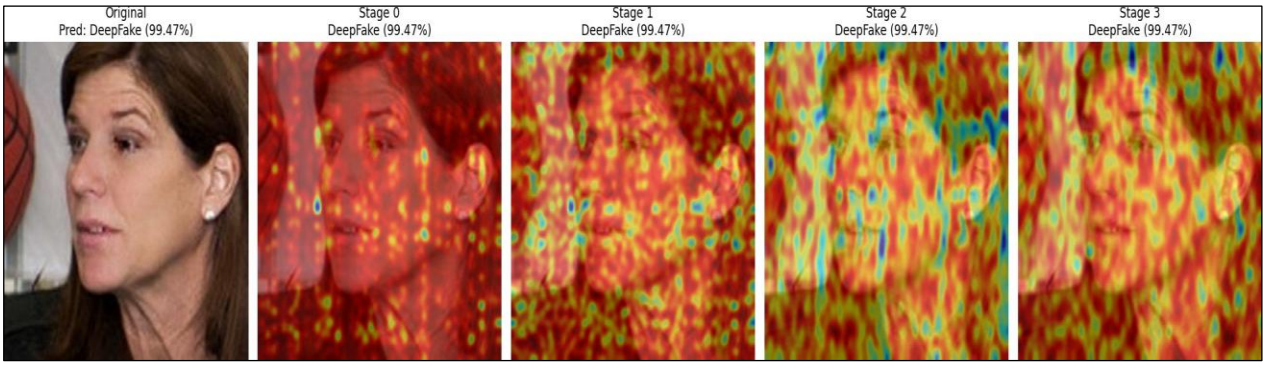


Figure 8: Grad-CAM heatmap generated from Stage 0 to Stage 3 for deepfake image.
Source: Authors, (2026).

IV.4 TESTING AND EVALUATION

Once the model has been sufficiently trained, its performance is then evaluated on the test set using standard evaluation metrics.

IV.5 DEPLOYMENT

Finally, after testing and evaluation, the model is deployed using Gradio API [23]. We created a Gradio Interface object that accepts a function with two parameters: inputs to the function and output from the function. You can quickly deploy a demo application by calling the launch() method on the interface object. The input and output objects can be of various types like text, images, audio, videos, buttons, numbers, etc. In our application, the input is a PIL image, and the output is the predicted class label. The prediction function contains the logic for generating predictions from an input image. When a user uploads an image, the API invokes this function, where the image is first processed using an AutoImageProcessor to ensure that the image is resized to 224 x 224 pixels - the expected input image size for the model. The processed image is then passed to the model to find the predictions, which are then mapped to their corresponding classes. The predictions are formatted appropriately before being returned to the API and displayed to the user. Figure 9 shows the User Interface where a random image from the "real" class of the test set was passed as an input. Figure 10 shows the output of a fake image from the dataset, which is correctly classified as Deepfake.



Figure 9: Output of a real image.
Source: Authors, (2026).



Figure 10: Output of a fake image.
Source: Authors, (2026).

V. EVALUATION OF RESULTS

The evaluation is performed on the test set after each epoch. The test set consists of 93,590 images in total. The model's performance is evaluated using four metrics. They are: Accuracy, Precision, Recall and F1 score. To carry out this work, we first extracted images from dataset composed of real faces from FFHQ real faces dataset [17] and fake images from kaggle deepfake images dataset [19]. These images are used to train our model on both real and deepfake images. We initialized our model with pre-trained weights to reduce training time and to improve the model's performance. We ran all of our tests on Google Colab Pro, an open-source Python notebook environment featuring a Tesla T4 GPU with 16GB of VRAM and approximately 13GB of system RAM.

To ease the T4 GPU's memory constraints, we used mixed precision training using 'torch.cuda.amp', which helped us in reducing both training time and VRAM usage. We saved checkpoints after every epoch to resume training if Colab disconnects. Furthermore, the model is optimized using Adam optimizer with a learning rate of 0.0001, $\beta 1 = 0.9$, and $\beta 2 = 0.999$ to ensure more precise parameter tuning. After training for 10 epochs, we evaluated performance using various metrics as shown in Figure 11. A comparison with the existing systems, shown in Table 4, indicates that our model performs well in most cases.

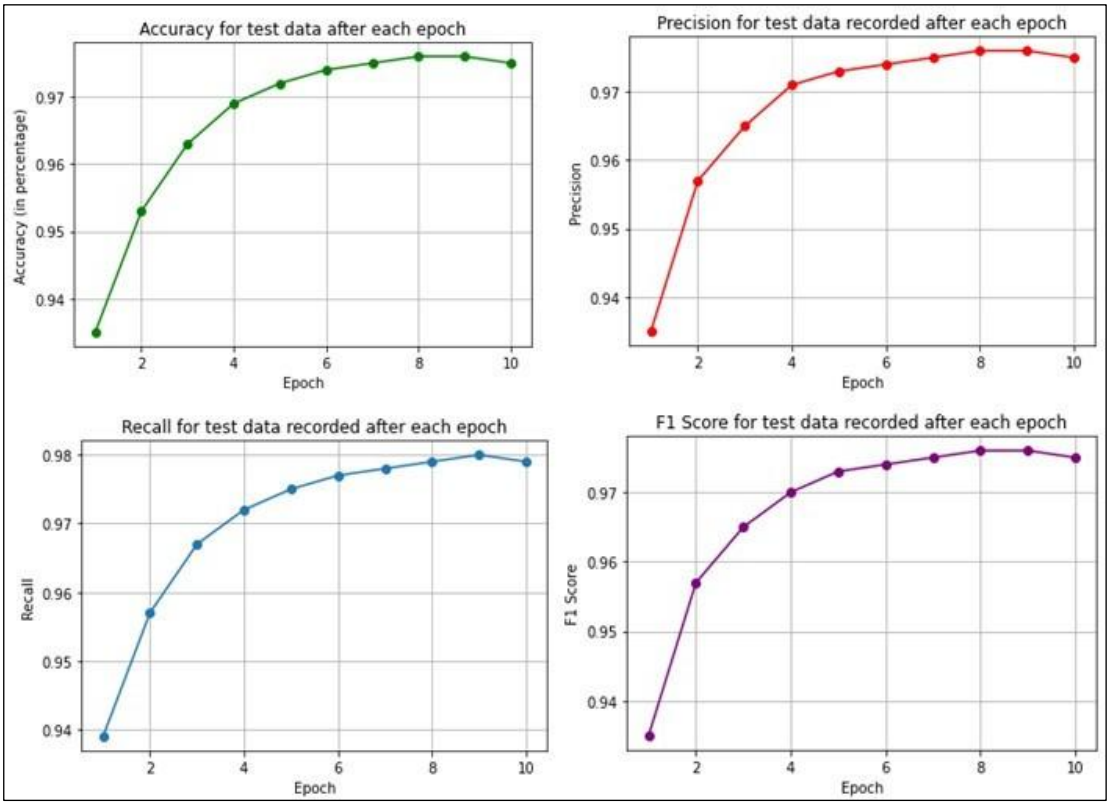


Figure 11: A graph showing the Accuracy, Precision, Recall and F1-Score on test data after each epoch.
Source: Authors, (2026).

Table 4: Comparison between Existing System and Our Proposed System.

Method	**Accuracy**	**Precision**	**Recall**	**F1-score**
Two Stream Neural Networks by Zhou et al.	55.7%	-	-	-
Deepfake Detection by Hsu et al.	-	90.9%	86.5%	-
VGG Network by Chang et al.	85.7%	-	-	-
InceptionNet by Theerthagiri	93%	-	-	-
Custom Densenet by Pasupuleti	97%	95%	-	75%
Vision Transformer by Ghita	89.9%	-	-	-
Proposed System	**97.47%**	**97.4%**	**97.56%**	**97.5%**

Source: Authors, (2026).

VI. ETHICAL AND SOCIAL IMPACT

As synthetic media technologies evolve, deepfake images have become a major societal and ethical challenge, especially on social computing platforms where images are frequently shared, altered, and used for other purposes. In most of the social computing platforms information spreads rapidly and user-generated content is often trusted without verification. The ability to generate realistic but deepfake human faces increases the concerns about misinformation, identity fraud, defamation, influence public opinion leading to the undermine public trust in visual media.

Our research technically addresses these challenges by employing Swin-B Transformer on a hybrid dataset combining real images from FFHQ and fake images from a publicly available Kaggle dataset. The dataset used in our approach reflects the diverse and real-world nature of social media content, which improves generalization and increases detection accuracy in real-world scenarios. This work has several important societal benefits, including:

- **Enhanced Content Authenticity:** Assisting social platforms to detect and filter deepfake images before it misleads users.
- **Support for the control of Fake News:** By detecting deepfake images early, can limit the viral spread of this manipulated visuals particularly in political or sensitive contexts.
- **Ensuring Digital Trust and Safety:** Allows Governments, institutions, platforms and users to verify the legitimacy of images there by improving public confidence in online content.

VII. CONCLUSION

In this paper, we addressed the growing issue of deepfake image generation and its potential negative societal impacts. Deepfakes are an increasing concern due to their ability to spread misinformation, support harassment, and undermine public trust in the visual media. To combat this, we proposed a robust detection framework using Swin-B, a standard variant of the Swin Transformer, which has demonstrated optimal performance in computer vision tasks compared to traditional CNNs. By leveraging the capabilities of this pre-trained model and fine-tuning it for deepfake detection, we achieved an accuracy of 97.47% on the test set of our hybrid dataset.

Furthermore, we used Grad-CAM to analyze which segments of the image the model is focusing on while classifying the images as *Real* or *DeepFake*. By promoting safer and more trustworthy digital environments, this work not only improves technical accuracy in the detection of deepfakes, but also supports the objectives of social computing.As the deepfake generation techniques continue to evolve, it will be necessary to re-access the model's performance and potentially retrain our model to ensure its effectiveness. Future work will focus on integrating temporal or multimodal features, extending the detection to deepfake videos, and continuously updating our model with the newly synthetic images sustaining its accuracy and reliability.

Availability of data and materials

"The data that support the findings of this study can be downloaded from https://github.com/NVlabs/ ffhq-datasetand; https://www.kaggle.com/datasets/manjilkarki/deepfake-and-real-images"

Declaration of competing interest

The authors have no competing interests to declare that are relevant to the content of this article.

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VIII. AUTHOR'S CONTRIBUTION

Conceptualization: Vineela Krishna. Suri, Prasad. GVSNRV.
Methodology: Vineela Krishna. Suri, Prasad. GVSNRV.
Investigation: Vineela Krishna. Suri, Prasad. GVSNRV.
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Writing – Review and Editing: Vineela Krishna. Suri, Prasad. GVSNRV.
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RESEARCH ARTICLE OPEN ACCESS

EFFECT OF CVD COATED MULTILAYER CARBIDE INSERT ON SURFACE FINISH OF CRYOGENICALLY TREATED EN31 HARDENED ALLOY STEEL USING BOX-BEHNKEN DESIGN

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ABSTRACT

The present study is focusing on cryogenically treated (CT) EN31 hardened alloy steels. The experimental runs were designed by using Box-Behnken approach of RSM using multiple process parameters- cutting speed (v, 160-260 m/min), feed (f, 0.1-0.2 mm/rev), depth of cut (d, 0.05-0.15 mm), tool nose radius (re, 0.4-1.2 mm), and hardness (HR, 45-49 HRC) for optimizing surface finish. The specimens and inserts underwent a 24-hour socking time in nitrogen medium (-196° C) as part of the deep cryogenic treatment and hardness of the materials were measured before and after the treatments. In experimentation wet turning was performed on LMW Make LX20T L5 CNC machine with multilayer TiCN+Al2O3+TiN CVD coated inserts. According to the study, Ra dramatically rises with an increase in d and falls with an increase in v. When comparing Ra to the f, re, and HR, comparable variations are seen. The Box-behnken approach of RSM is more capable of predicting surface finish by 99.96% utilizing a polynomial quadratic equation.

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I. INTRODUCTION

Cryogenic treatment enhances hardness, wear resistance, dimensional stability, and mechanical performance in steels and tool materials [1], [2]. Barron identified key sub-zero processing methods such as slow cooling, long soaking, and precise temperature control to prevent thermal shock and ensure complete austenite-to-martensite transformation [1]. Amini and Das found that deep cryogenic treatment (DCT) refines martensite and promotes fine carbide distribution, reducing retained austenite and improving surface properties in tool steels such as AISI D2 and M2 [3], [4]. Baldissera and Bensely reported increased strength and wear resistance in carburized and case-hardened steels, attributing these improvements to uniform microstructure and stable carbide formation [5], [6]. Gill and Yong highlighted the significance of DCT in machining applications, reporting increased tool life and reduced flank wear under both dry and coolant-assisted cutting conditions [7], [8]. He and Idayan observed improvements in hardness, toughness, and rolling contact fatigue behaviour of maraging steels and bearing steels following cryogenic processing [9], [10].

Huang and Rhyim reported secondary carbide precipitation, martensitic refinement, and improved fracture surface characteristics as the dominant strengthening mechanisms in cryogenically treated steels [11], [12]. Pellizzari and Kalsi emphasized the importance of applying DCT prior to tempering and maintaining low cooling rates to prevent microcracking and to maximize beneficial phase transformations [13], [14]. Across automotive, tooling, manufacturing, and structural applications, collective research demonstrates that cryogenic treatment consistently improves wear resistance, hardness, and dimensional stability [2], [15-18]. When followed by appropriate tempering cycles, toughness is preserved or enhanced without compromising strength [14], [17]. Studies on steels such as EN31, EN52, EN353, AISI 440C, and powder-metallurgy high-speed steels confirm that DCT is a versatile, robust, and economically viable extension of conventional heat-treatment processes [2], [6], [10].

II. LITERATURE REVIEW

Research over the past few decades consistently demonstrates that deep cryogenic treatment (DCT) significantly alters the microstructure and properties of steels and tool materials. Barron reported that slow cooling and soaking at liquid-nitrogen temperatures are essential to achieve stable martensite formation without inducing thermal shock [1]. Amini showed that tool steels treated at −196 °C exhibited refined martensite, reduced retained austenite, and improved hardness and wear resistance [3]. Baldissera reported that cryogenically treated carburized steels exhibited hardness improvements of up to 2.4 HRC and tensile strength enhancement of approximately 11%, primarily due to uniform carbide precipitation [5]. Bensely demonstrated reduced wear and deformation in cryogenically treated EN353 gears, supported by scanning electron microscopy observations showing fewer carbide pull-outs and smoother worn surfaces [6].

Cajner and Candane further reported that DCT significantly improves dimensional stability by homogenizing carbide distribution and minimizing retained austenite [19], [20]. Investigations on cold-work tool steels, particularly AISI D2, revealed that optimal soaking durations of approximately 36 h produce maximum wear resistance through uniform carbide refinement [4]. Machining-related studies by Dhananchezian showed that liquid-nitrogen cooling during orthogonal cutting significantly reduced cutting temperature, modified chip morphology, and improved surface integrity [21]. Gill applied Taguchi optimization techniques to cryogenically treated M2 high-speed steel tools and reported significant reductions in flank wear [7]. Yong reported that cryogenically treated carbide cutting tools achieved 30–40% improvement in tool life during both dry and wet machining conditions [8], [22]. Leskovšek demonstrated that cryogenically treated high-speed steel drills exhibited up to 77% improvement in tool life when combined with appropriate tempering cycles [23].

Studies on specialty alloys revealed that cryogenic treatment promotes near-complete austenite-to-martensite transformation in maraging steels, resulting in enhanced strength and toughness [9]. Microstructural investigations by Huang confirmed that secondary carbide precipitation plays a critical role in improving wear resistance of cryogenically treated M2 steels [11]. Rhyim and Pellizzari further reported that applying DCT between quenching and tempering results in finer, more stable carbides and improved dimensional stability [12], [13], [16]. Cryogenic treatment of structural steels has also been widely investigated. By [24] reported improvements in hardness, impact energy, tensile strength, and residual stress behaviour in cryogenically treated EN31 steel due to martensitic refinement and carbon clustering [17], [25]. Vimal observed up to 75% reduction in wear rate in cryogenically treated EN31 steel, attributing the improvement to uniform carbide dispersion [2].

Thornton reported that cryogenically treated automotive brake discs exhibited significantly lower wear rates, enhancing braking efficiency and service life [18]. Vadivel demonstrated that combining cryogenic treatment with surface coatings produced synergistic improvements in wear resistance, surface finish, and flank wear suppression [26]. Additional investigations by Collins and Jaswin confirmed that the effectiveness of cryogenic treatment strongly depends on alloy composition, prior heat treatment, and cryogenic cycle parameters [27], [28]. Overall, the literature confirms that deep cryogenic treatment is a scientifically validated and industrially effective extension of conventional heat treatment, offering significant improvements in hardness, wear resistance, dimensional stability, toughness, and tool life when properly optimized [2], [14], [15].

III. EXPERIMENTAL PROGRAM

The experimental program consisting the information of raw material specifications, inserts, CNC, hardening and cryogenic treatments, machining process parameters, and surface finish. The experimental program of the present study begins with experimentation on multiple hardened EN31 alloy steel. The chemical composition of EN31 alloy steel shows the significant contribution of alloying elements such as carbon, manganese, and chromium. In contrast, nickel, silicon, molybdenum, and sulfur contribute marginally to enhancing the steel's hardness performance. Table 1 shows the alloying elements with their % contribution in EN31 alloy steel.

Table 1: Alloying elements with their % contribution in EN31 alloy steel.

Alloying Elements	Required (%)	Actual (%)
Carbon (C)	0.90 to 1.20	1.10
Silicon (Si)	0.10 to 0.35	0.19
Manganese (Mn)	0.30 to 0.75	0.52
Phosphorous (P)	0.05 max.	0.034
Sulfur (S)	0.05 max.	0.050
Chromium (Cr)	1.00 to 1.60	1.19

Source: Authors, (2026).

The experimentation was performed in batches to evaluate the performance of machining process parameters on surface finish by considering 40 samples of cryogenically treated EN31 hardened alloy steels with 5 machining process parameters. Initially, the raw material's hardness was evaluated with a Rockwell hardness tester and observed to be 27±2 HRC. Furthermore, the EN31 alloy steel specimen was sliced in accordance with the surface response method's prescribed runs. The specimens were prepared for experimentation, with plane turning and facing operations done first, followed by the standard hardening process. After hardening, the hardness of all specimens was measured again, and the experiment was carried out on 25 mm diameter EN31 alloy steel utilizing LMW Make LX20T L5 CNC machine on cryogenically treated hardened alloy steels hardness ranging from 45±2 HRC to 49±2 HRC.

Multilayer CVD inserts were introduced for turning operations because high carbon, high chromium steel required stronger inserts for machining; uncoated carbide inserts are more frequently employed. The Sandvik Coromant TNMG 160404, 160408, 160412 series insert with TiCN+Al2O3+TiN CVD coatings were used in the current study for turning operations. While alumina (Al2O3) offers superior thermal resistance to the cutting edge at high temperatures, titanium carbonate (TiCN) adds hardness and wear resistance, and titanium nitride (TiN) prolongs tool life by drastically lowering friction and premature wear.

A wet turning operation has been performed on specimens under considerations by using WW COOL SS cutting fluid as a coolant. Figure 1 shows the actual experimentation of the specimens. EN31 steel's mechanical properties, including hardness, toughness, and wear resistance, are significantly enhanced through heat treatment. This meticulous procedure involves stress relief at 500-550℃, hardening, and a phase transition from ferrite to austenite at 820-850℃. Castrol oil is used for rapid quenching, providing increased wear resistance and hardness. After quenching, tempering is repeated at 320-350℃ for 90 minutes to redefine the steel's microstructure. This comprehensive hardening process ensures the steel's appropriate hardness. Figure 2 shows the hardening process for steel materials.



Figure 1: Actual Experimentation.
Source: Authors, (2026).

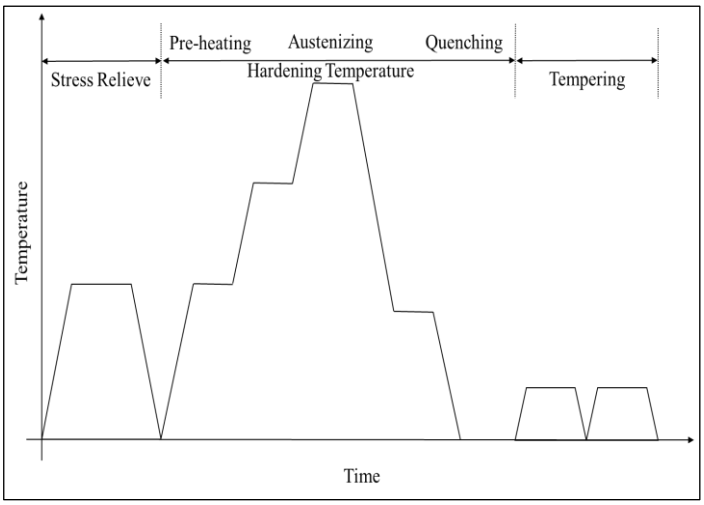


Figure 2: Hardening process for steels.
Source: Authors, (2026).

A cryogenic treatment (CT) consists of four stages called descending, soaking, ascending and tempering process. A CT was performed on all specimens under considerations and coated carbide insert in a nitrogen medium for 24 hours soaking time. A temperature of -84° C is achieved with shallow cryogenic treatment (SCT), whereas -196° C is achieved through deep cryogenic treatment (DCT). The Box-Behnken Design (BBD) is a statistical method used in Response Surface Methodology (RSM) to establish the link between dependent and independent variables.

Its unique feature is its rotatability, ensuring constant variance prediction. The BBD structure considers the number of variables and uses three experimental points: factorial, center, and no axial. This design minimizes the chance of unfavorable elements and ensures optimal performance. BBD offers efficiency, ease of use, and security, requiring less runs than factorial and CCD. However, it only works with factors between three and seven and doesn't cover the entire factor space. The experimental runs N and second order polynomial quadratic equations were designed by using formula,

$$N = 2k(k-1) + C_p \tag{1}$$

$$Y = \beta_0 + \sum_{i=1}^{k} \beta_i X_i + \sum_{i=1}^{k} \beta_{ii} X_i^2 + \sum_{i<j} \beta_{ij} X_i X_j \tag{2}$$

Whereas, k = No. of factors, Cp = center points, Y = Output, Xi, Xj = Independent variables, and β0, βi, βii, βij = Coefficients. The factors and their levels for the present study are given in Table 2 and Table 3 shows the experimental run calculations for CT steels.

Table 2: Factors and their levels.

Factors	Symbol	Unit	Levels		
			-1	0	+1
Cutting speed	*V*	*m/min*	160	210	260
Feed	*f*	*mm/rev*	0.10	0.15	0.20
Depth of cut	*d*	*mm*	0.05	0.10	0.15
Tool nose radius	r_e	*mm*	0.40	0.80	1.20
Hardness	*HR*	*HRC*	45	47	49

Source: Authors, (2026).

The quadratic equation developed though Box-behnken approach of RSM for Ra calculations is given in equation 4. With this equation the predicted Ra's are calculated and compared with the experimental.

$$\begin{aligned} R_a = {} & 1.52 + 0.0345r_e - 0.01414v - 0.0094f + 0.2728d + 0.0006HR + 0.0000r_e * v + 0.0000r_e * f + \\ & 0.0000r_e * d + 0.0000r_e * HR + 0.0000v * f + 0.0113v * d - 0.0000v * HR + 0.0023f * d - 0.0000f * HR + \\ & 0.0000d * HR - 0.0000r_e^2 - 0.0038v^2 - 0.0008f^2 - 0.0045d^2 + 0.0000HR^2 \end{aligned} \tag{3}$$

Table 3: Experimental run calculations for CT steels.

Run	V	f	d	r_e	HR	Exp. Ra	Pred. Ra	Residual
1	260	0.15	0.05	0.8	47	1.07	1.09	-0.0160
2	210	0.15	0.10	1.2	45	1.55	1.55	-0.0023
3	260	0.20	0.10	0.8	47	1.37	1.36	0.0034
4	160	0.15	0.05	0.8	47	1.39	1.39	-0.0058
5	210	0.15	0.10	0.4	49	1.48	1.49	-0.0023
6	210	0.20	0.10	1.2	47	1.54	1.54	-0.0021
7	160	0.15	0.10	0.8	49	1.66	1.66	-0.0002
8	210	0.15	0.10	0.4	45	1.48	1.48	-0.0023
9	260	0.15	0.15	0.8	47	1.65	1.65	-0.0047
10	210	0.20	0.15	0.8	47	1.78	1.78	-0.0010
11	260	0.15	0.10	1.2	47	1.41	1.41	0.0032
12	260	0.15	0.10	0.8	49	1.38	1.38	0.0032
13	160	0.15	0.15	0.8	47	1.92	1.91	0.0055
14	210	0.15	0.15	0.4	47	1.75	1.75	0.0012
15	210	0.10	0.10	0.8	45	1.53	1.53	-0.0009
16	260	0.10	0.10	0.8	47	1.39	1.38	0.0045
17	210	0.10	0.05	0.8	47	1.26	1.25	0.0024
18	160	0.15	0.10	0.8	45	1.66	1.66	-0.0002
19	210	0.15	0.05	0.8	49	1.25	1.24	0.0034
20	260	0.15	0.10	0.8	45	1.38	1.37	0.0032
21	210	0.15	0.05	0.8	45	1.25	1.24	0.0034
22	210	0.15	0.15	0.8	49	1.79	1.79	0.0012
23	210	0.20	0.10	0.8	49	1.51	1.51	-0.0021
24	260	0.15	0.10	0.4	47	1.34	1.34	0.0032
25	210	0.10	0.10	0.4	47	1.49	1.49	-0.0009
26	210	0.10	0.10	0.8	49	1.53	1.53	-0.0009
27	210	0.10	0.10	1.2	47	1.56	1.56	-0.0009
28	160	0.15	0.10	0.4	47	1.62	1.62	-0.0002
29	210	0.15	0.05	1.2	47	1.28	1.28	0.0034
30	160	0.15	0.10	1.2	47	1.69	1.69	-0.0002
31	210	0.15	0.15	1.2	47	1.82	1.82	0.0012
32	210	0.20	0.05	0.8	47	1.24	1.23	0.0059
33	160	0.10	0.10	0.8	47	1.67	1.67	0.0012
34	160	0.20	0.10	0.8	47	1.65	1.65	0.0000
35	210	0.10	0.15	0.8	47	1.79	1.79	-0.0045
36	210	0.20	0.10	0.8	45	1.51	1.51	-0.0021
37	210	0.20	0.10	0.4	47	1.47	1.48	-0.0021
38	210	0.15	0.10	1.2	49	1.55	1.55	-0.0023
39	210	0.15	0.15	0.8	45	1.79	1.79	0.0012
40	210	0.15	0.05	0.4	47	1.21	1.21	0.0034

Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

The results and discussion mainly focussed on experimental results of surface finish compared with machining process parameters and 3D surface plot and contour plots are plotted based on BBD of RSM. Figure 3 illustrates the process parameters versus surface finish for CT steels. Figure 3 (a) illustrates the variations in v and Ra. A decreasing trend observed in Ra when v is increasing as the E31 hardened alloy steel specimens are cryogenically treated (CT). CT enhances the surface finish as already seen in the open literature. The range given for 160 m/min and 260 m/min shows the outliers whereas maximum specimens Ra are covered at 210 m/min v. Figure 3(b) shows the variations in f and Ra for CT steels. A comparable differences are observed for f's under considerations. An increasing trend is observed in d and Ra shown in Figure 3(c). The values of d significantly affects the Ra as d increases with increase in Ra observed. Outliers in Ra are observed at 0.05 mm and 0.15 mm d. Again a comparable differences are observed in Ra when compared with re's and HR's as shown in Figure 3(d) and 3(e).

A wide variety of specimens are covered at 0.8 mm re and 47 HRC CT steels. In EN31 hardened alloy steels, a cryogenic treatment reduced the Ra to some extent by enhancing the material and inserts mechanical properties. Figure 4 shows the (a) 3D surface plot and (b) contour plot re and v versus Ra for CT steels. A comparable differences are observed in Ra values when re's and v's are increasing. The Ra's are observed within the range of 1.4 to 1.6 µm. Figure 5 shows the (a) 3D surface plot and (b) contour plot re and f versus Ra for CT steels. The re's and f's are having no effect on Ra's. The value of Ra is observed almost constant i.e. 1.5 µm for the considered range of re's and f's. Figure 6 shows the (a) 3D surface plot and (b) contour plot re and d versus Ra for CT steels.A significant variations are observed in Ra's due to increase in d's whereas marginal variations are observed with increase in re's. The Ra values ranged between 1.4 to 1.6 µm in a linear trend.

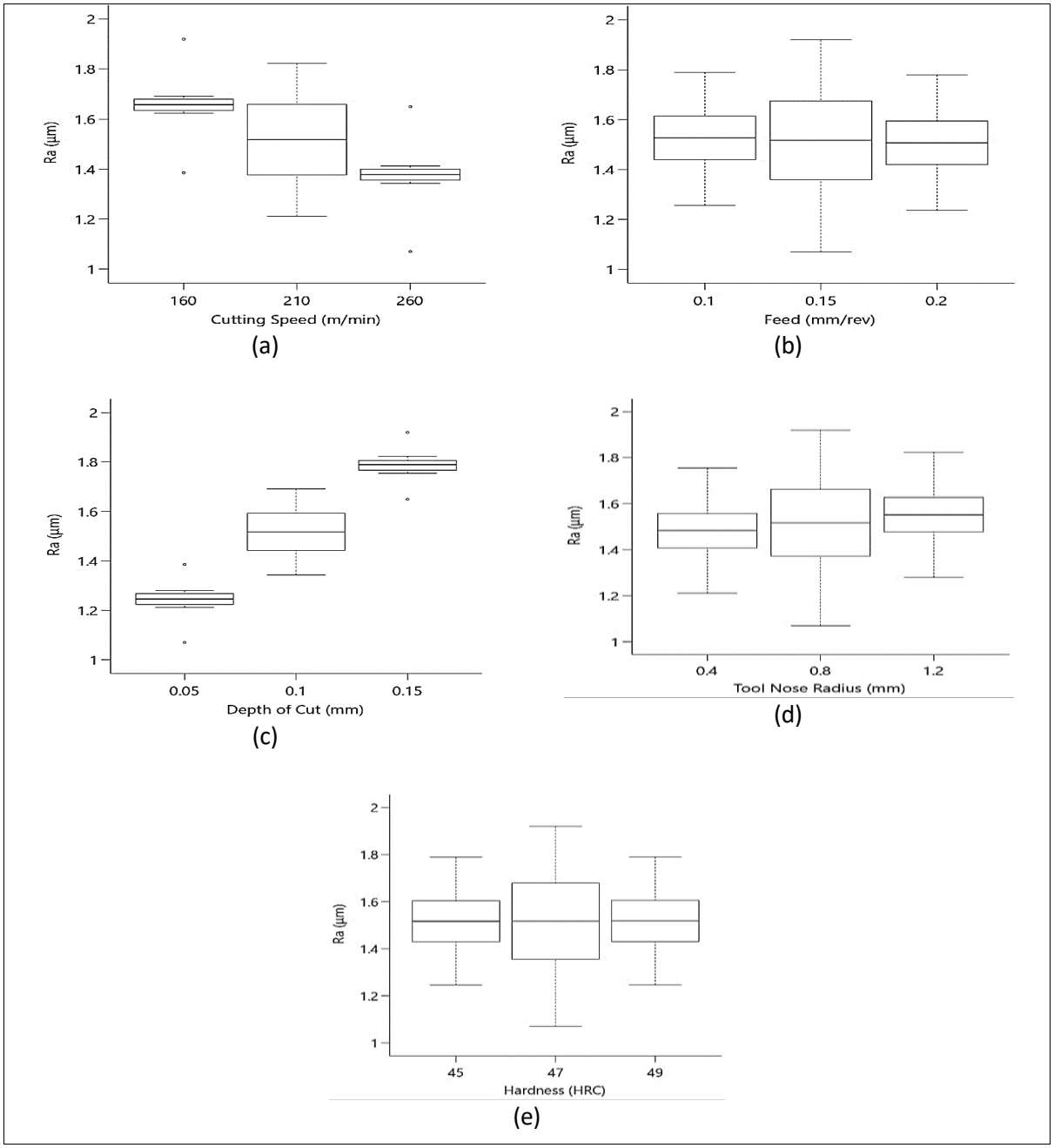


Figure 3: Process parameters versus surface finish for CT steels.
Source: Authors, (2026).

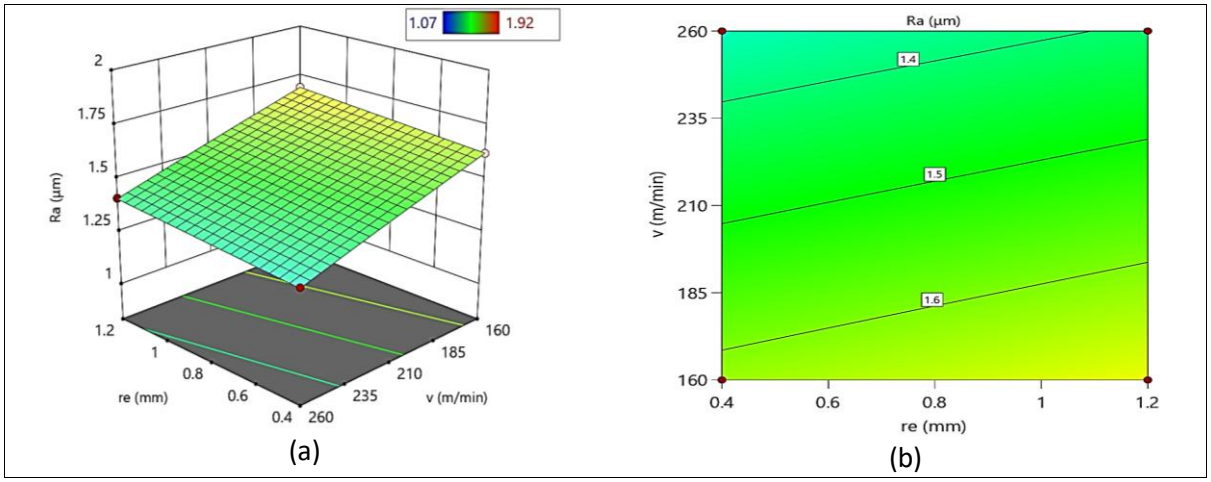


Figure 4: Tool nose radius and cutting speed versus surface finish for CT steels.
Source: Authors, (2026).

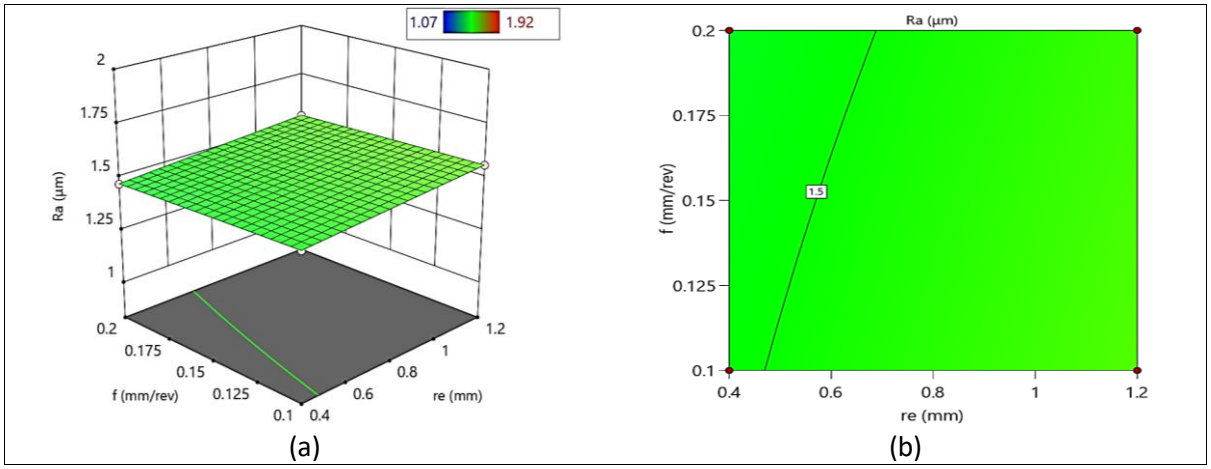


Figure 5: Tool nose radius and feed versus surface finish for CT steels.
Source: Authors, (2026).

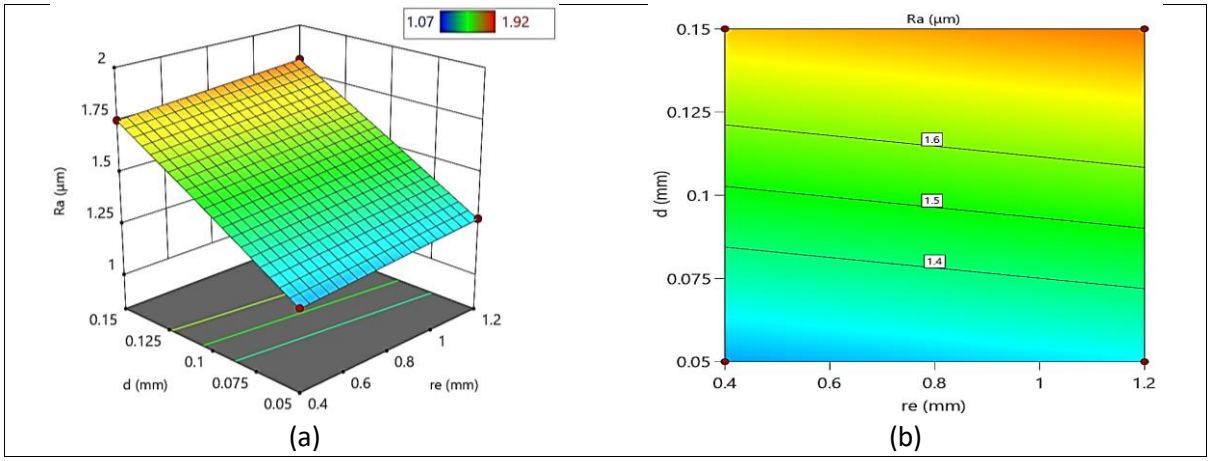


Figure 6: Tool nose radius and depth of cut versus surface finish for CT steels.
Source: Authors, (2026).

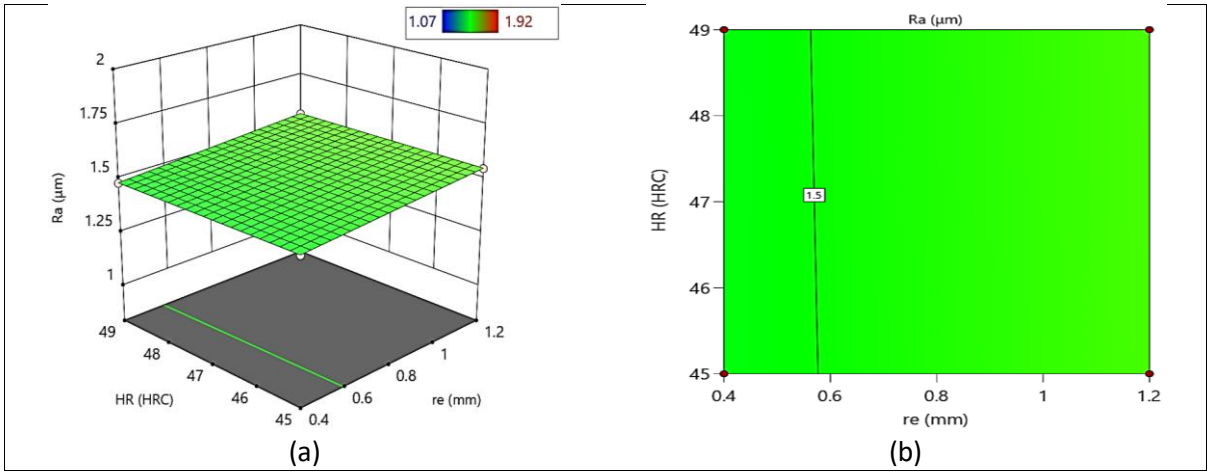


Figure 7: Tool nose radius and hardness versus surface finish for CT steels.
Source: Authors, (2026).

Figure 7 shows the (a) 3D surface plot and (b) contour plot re and HR versus Ra for CT steels. Similar to figure 5, the re's and HR's are having no effect on Ra's. The value of Ra is observed almost constant i.e. 1.5 µm for the considered range of re's and HR's. Figure 8 shows the (a) 3D surface plot and (b) contour plot v and f versus Ra for CT steels. Similar to figure 4, a comparable differences are observed in Ra values when v's and f's are increasing. The Ra's are observed within the range of 1.4 to 1.6 µm. Figure 9 shows the (a) 3D surface plot and (b) contour plot v and d versus Ra for CT steels.

A significant variations are observed in Ra's due to increase in d's whereas a comparable decrement is observed with increase v's. Ra observed greater than 1.6 µm where d is higher than by 0.1 mm. The Ra's are observed with the range of 1.4 to 1.6 µm. Figure 10 shows the (a) 3D surface plot and (b) contour plot v and HR versus Ra for CT steels. Similar to figure 8, a comparable differences are observed in Ra values when v's is decreasing and HR's are increasing.

The Ra's are observed within the range of 1.4 to 1.6 µm. Figure 11 shows the (a) 3D surface plot and (b) contour plot f and d versus Ra for CT steels. A significant effect on Ra is observed due to increase in d's whereas comparable increment is observed due to increase in f's. The Ra's are observed within the range of 1.4 to 1.6 µm.

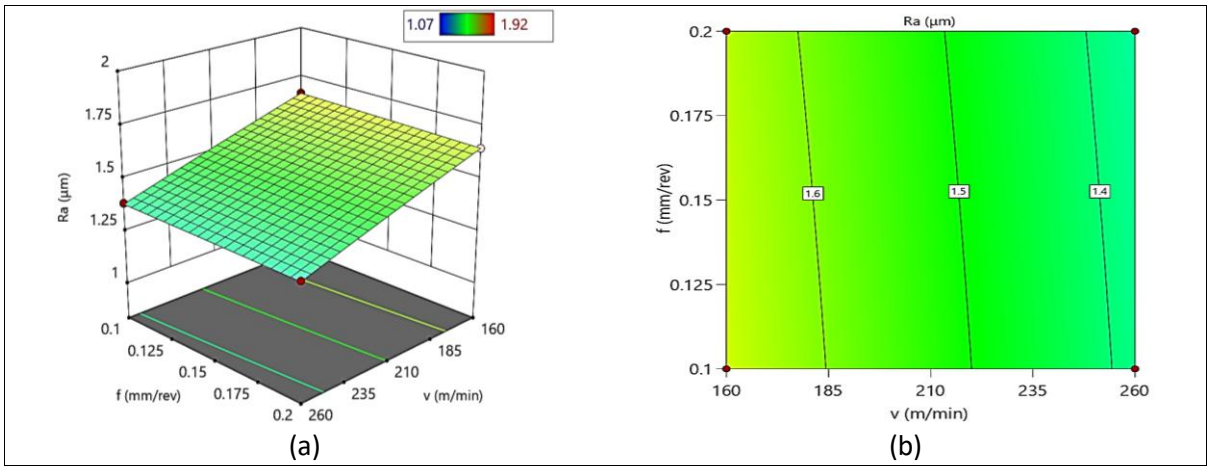


Figure 8: Cutting speed and feed versus surface finish for CT steels.
Source: Authors, (2026).

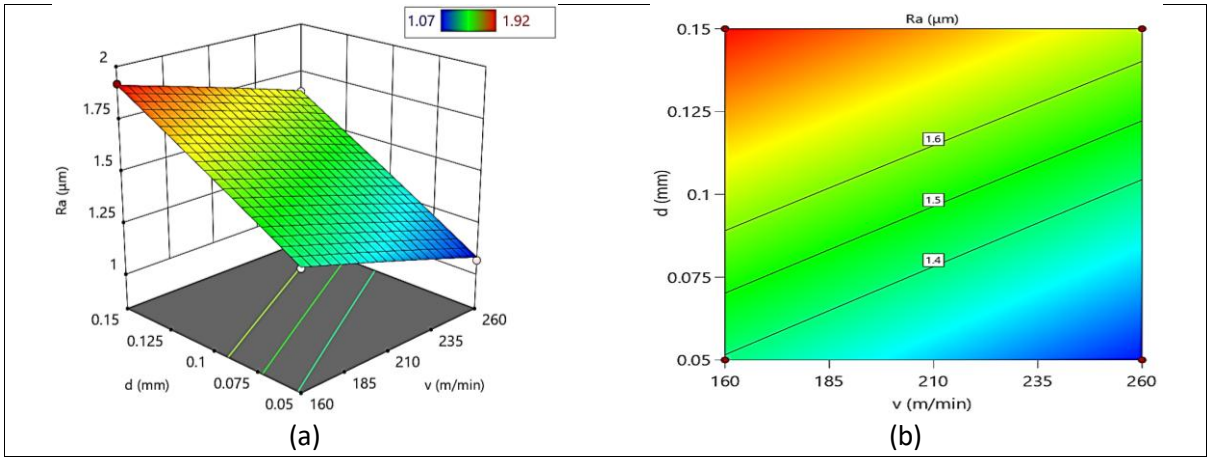


Figure 9: Cutting speed and depth of cut versus surface finish for CT steels.
Source: Authors, (2026).

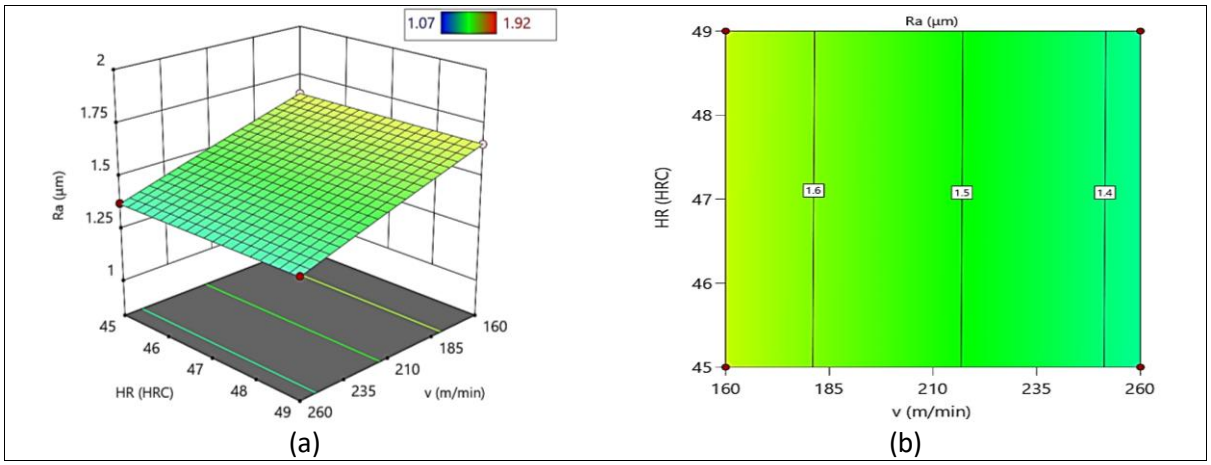


Figure 10: Cutting speed and hardness versus surface finish for CT steels.
Source: Authors, (2026).

Figure 12 shows the (a) 3D surface plot and (b) contour plot f and HR versus Ra for CT steels. Almost no effect is observed due to increase in f's and HR's on Ra values. The Ra's are observed within the range of 1.52408 to 1.5241 µm. Figure 13 shows the (a) 3D surface plot and (b) contour plot d and HR versus Ra for CT steels. Almost no effect is observed due to increase in d's and HR's on Ra values. The Ra's are observed within the range of 1.51909 to 1.5241 µm. Cryogenic treatment has provided surface finish benefits to EN31 hardened alloy steels. It has enhanced surface finish to some extent by reducing residual stresses, thermal temperature differences in cutting zones, etc. a multilayer CVD coated insert also contributes into the enhancement of surface finish.

After performing cryogenic treatment a surface finish has been observed within the range of 1.07 to 1.90 µm for all the specimens under considerations. Figure 14 illustrates the experimental runs versus comparison of surface finish. The significant deviation is observed at run number 1 and marginal deviations are observed for run number 3, 5, 16, 17, 19, 21, 32, and 37. Figure 15 shows the comparison of exp. and pred. surface finish. The surface finish for cryogenically treated steels are predicted with an accuracy of 99.96%.

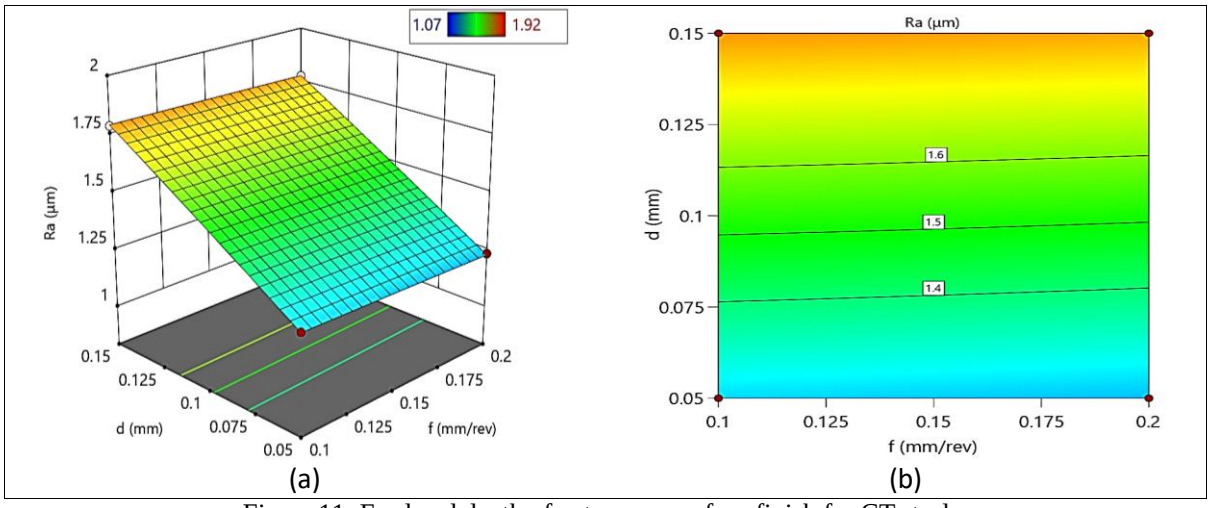


Figure 11: Feed and depth of cut versus surface finish for CT steels.
Source: Authors, (2026).

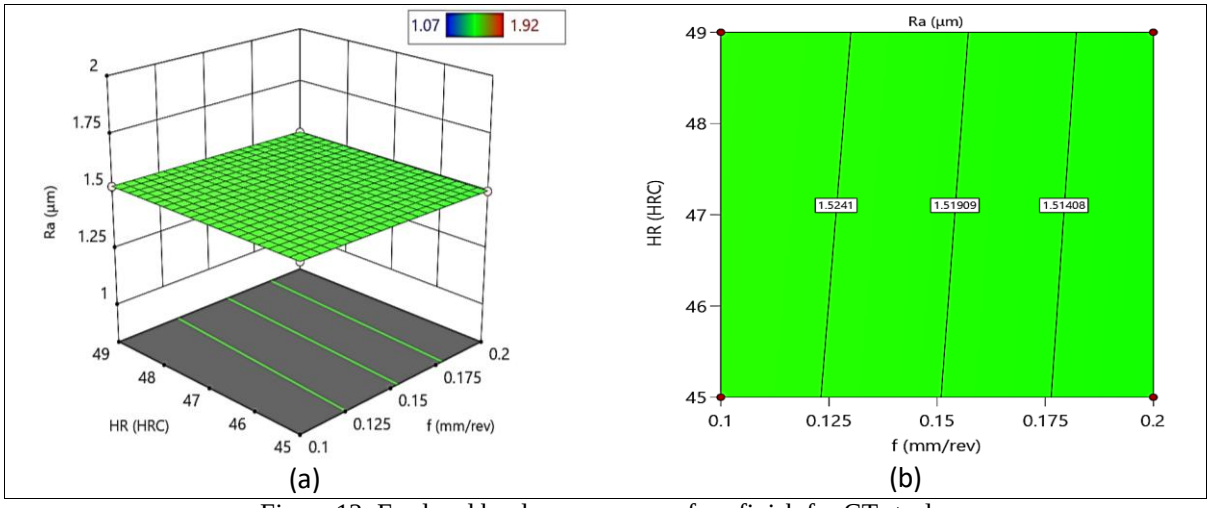


Figure 12: Feed and hardness versus surface finish for CT steels.
Source: Authors, (2026).

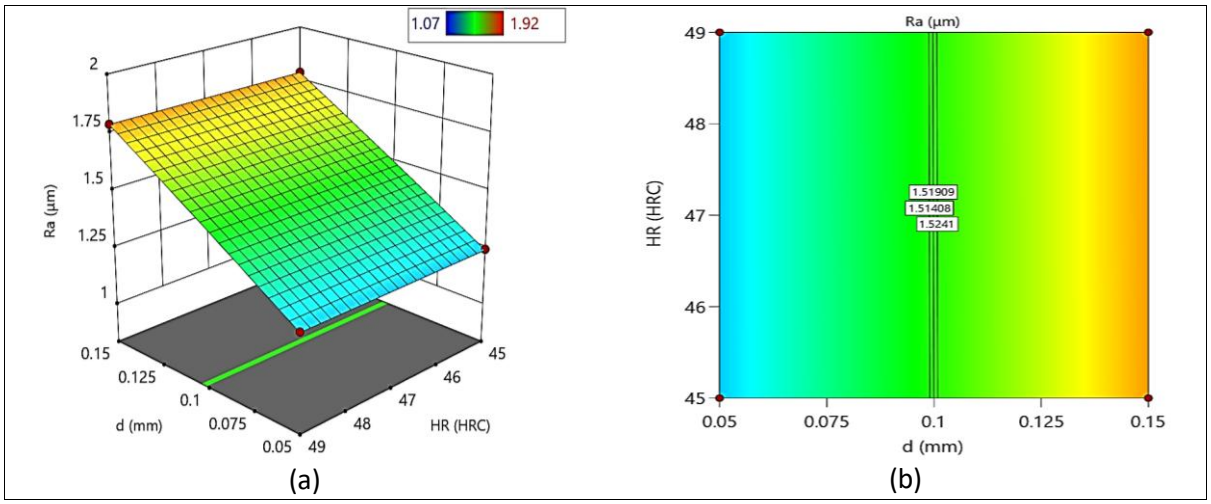


Figure 13: Depth of cut and hardness versus surface finish for CT steels.
Source: Authors, (2026).

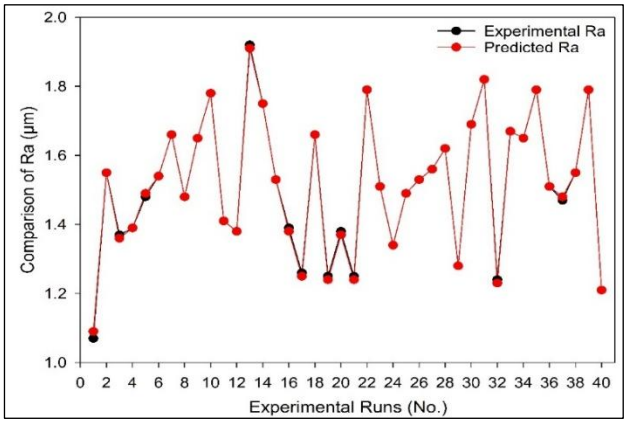


Figure 14: Experimental runs versus surface finish.
Source: Authors, (2026).

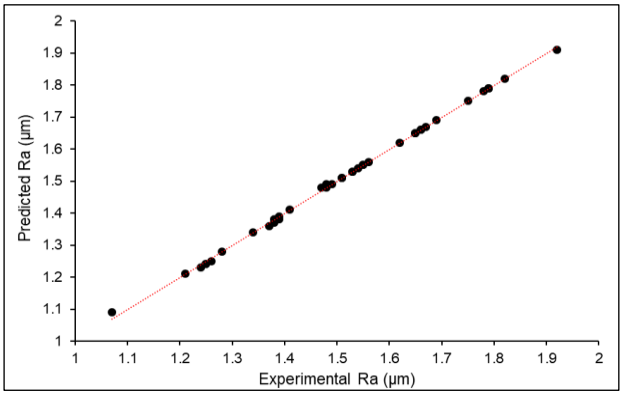


Figure 15: Comparison of exp. and pred. Ra with five process parameters for CT steels with five process parameters for CT steels.
Source: Authors, (2026).

V. CONCLUSIONS

This study demonstrates that deep cryogenic treatment at -196°C for 24 hours enhanced the machining stability of EN31 steel, producing surface roughness values consistently between 1.07-1.90 µm during hard turning. Experimental data combined with the Box–Behnken RSM approach yielded a predictive quadratic model with 99.96% accuracy, confirming its reliability. Cutting speed showed a clear inverse relationship with surface roughness, as increasing speed from 160 to 260 m/min reduced Ra, while depth of cut emerged as the most influential factor; raising d from 0.05 to 0.15 mm increased Ra beyond 1.6 µm. In contrast, feed rate changes between 0.10–0.20 mm/rev, tool nose radius from 0.4-1.2 mm, and hardness from 45-49 HRC had minimal impact, with Ra remaining close to 1.5 µm.

The parameter combination centered on v = 210 m/min, f = 0.15 mm/rev, d = 0.10 mm, re = 0.8 mm, and HR = 47 HRC consistently produced Ra values near 1.48-1.55 µm, indicating an optimal machining range. The maximum deviation between predicted and experimental Ra was only ±0.016, confirming strong agreement across trials. Overall, cryogenic treatment improved microstructural stability, enabling most interactions of machining parameters to maintain roughness within 1.4-1.6 µm, demonstrating the process's effectiveness in achieving uniform surface finish.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Shivaji Bhivsane.
Methodology: Shivaji Bhivsane.
Investigations: Shivaji Bhivsane.
Results and Discussion: Shivaji Bhivsane
Writing – Original Draft: Shivaji Bhivsane and Siraj Sayyed.
Writing – Review and Editing: Arvind Chel and Siraj Sayyed
Supervision: Arvind Chel and Siraj Sayyed
Approval of the final text: Shivaji Bhivsane and Siraj Sayyed

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RESEARCH ARTICLE OPEN ACCESS

EXPERIMENTAL INVESTIGATION OF ROTARY FRICTION WELDING OF AL2017A ALLOY REINFORCED WITH ALUMINA (AL_2O_3) PARTICLES

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ABSTRACT

A series of similar joints made from Al2017A aluminum alloy were produced through rotary friction welding, with localized reinforcement provided by alumina (Al_2O_3) particles, a ceramic known for its high hardness and extensive use in metal–matrix composites. These particles were placed at the weld interface by filling drilled holes of different diameters in the fixed component, allowing the influence of varying volume fractions on joint behavior to be examined. Tests of tensile strength and microhardness indicated that adding Al_2O_3 leads to a noticeable improvement in the mechanical performance of the welded joints when compared with those lacking ceramic reinforcement.

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I. INTRODUCTION

Friction welding is a solid-state joining process whose principle has been known since the late 20th century [1]; however, its significant industrial development only began in 1956 in the former Soviet Union [2] before gradually spreading to the United Kingdom and the United States [3]. Classified as a forging process, friction welding relies on the generation of heat at the interface through the rapid rotation of one component under controlled axial pressure against another [4]. The heat generated, combined with plastic deformation, leads to a localized material flow that enables bonding in the solid state without ever reaching the melting temperature [5]. This unique feature eliminates the typical defects associated with fusion welding processes, such as solidification cracking, porosity, and pronounced metallurgical heterogeneities [6], [7].

This process offers several advantages, including the production of joints with high mechanical integrity, reduced cycle times, excellent repeatability, low energy consumption, and the possibility of complete automation, ensuring consistent quality [8], [9]. In addition, its environmentally friendly nature - no welding fumes, no UV or electromagnetic radiation, and no need for filler metals or shielding gases - makes it an attractive technology for demanding sectors such as aerospace, automotive, energy production, and mechanical engineering [10], [11]. Nevertheless, despite these advantages, the relationships between welding parameters (rotational speed, axial force, friction time), thermal cycles, microstructural evolution, and resulting mechanical properties remain insufficiently understood [12], [13]. This knowledge gap limits the optimization of process parameters and the development of reliable predictive models [14], [15], particularly when welding dissimilar materials or alloys that are sensitive to thermal gradients [16-20].

In this context, the present work proposes a detailed experimental investigation of rotary friction welding applied to 2017A aluminum alloy, reinforced with alumina (Al_2O_3) ceramic particles. The main objective of this study was to evaluate the effect of reinforcement content on the joint quality, microstructural characteristics, and mechanical performance. The selected materials, operating parameters, and characterization techniques are described in detail in this section. The experimental results were analyzed and discussed to highlight the material–process interaction mechanisms and provide recommendations for optimizing rotary friction welding. This study contributes to a better understanding of the influence of ceramic reinforcements on the behavior of aluminum weldments and paves the way for the design of higher-performance joints for advanced industrial applications.

II. MATERIALS AND METHODS

II.1 MATERIALS USED

II.1.1 Aluminum Alloy 2017A

Aluminum alloy 2017A, belonging to the 2XXX series (Al-Cu-Mg), is a structurally hardening alloy whose strength arises from the precipitation of $CuAl_2$ and $CuMgAl_2$ compounds. Its composition of copper (2.6-6.3%) and magnesium (0.5-1.5%) endows it with excellent mechanical properties. The addition of silicon and manganese (< 0.8%) improves the strength by dispersion, whereas iron degrades the hardening by forming undesirable compounds. Secondary alloying elements (such as Cr, Zn, and Ti) further optimize the performance of the aluminum alloys.

Table 1: Composition of alloy 2017A in mass percentage.

If	Fe	Cu	Mn	Mg	Cr	Zn	Zr + Ti	Each other	Total other	Al
0.20-0.80	≤ 0.70	3.5-4.5	0.4-1.0	0.4-1.0	≤ 1.0	≤ 0.25	< 0.25	≤ 0.05	≤ 0.25	Stay

Source: [21].

Table 2: Mechanical properties of aluminum 2017A.

∅(mm)	Rm (Mpa)	$\boldsymbol{Rp_{0.2}}$(Mpa)	HAS(% ***mini***)
$\emptyset \leq \mathbf{55}$	≥ 400	≥ 250	10

Source: [21].

II.1.2 Alumina AL_2O_3

Alumina (Al_2O_3) is a refractory oxide extracted from bauxite, very chemically stable and with a high melting point (≈ 2054 °C).

Table 3: Chemical composition of alumina (determined by XRF).

Compounds	Na2O	Cao	Mgo	Sio2	HAS $\boldsymbol{L_2O_3}$
Alumina	0.14	0.15	0.24	0.52	98.95

Source: Authors, (2026).

II.2 PREPARATION OF WELDED SAMPLES FOR MICROGRAPHIC OBSERVATION

This section investigates the preparation, microstructural analysis, and mechanical performance of aluminum joints produced by rotary friction welding. Metallographic preparation included sectioning, resin mounting, progressive SiC polishing, and etching with Keller's reagent. Optical microscopy (×10–×1000) was used to characterize weld-zone microstructure. Mechanical behavior was evaluated through Vickers microhardness (200 g, 10 s), tensile testing (W310), and three-point bending on a servo-controlled universal machine.

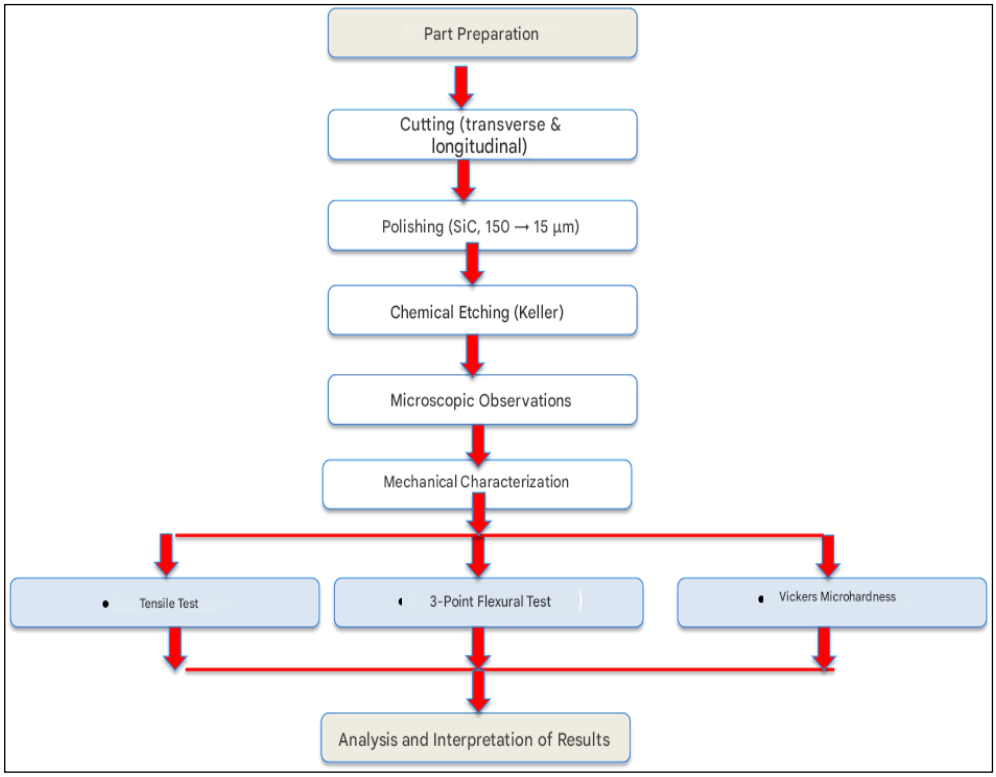


Figure 1: Experimental procedure for specimen preparation and characterization.
Source: Authors, (2026).

II.2.1 Cutting, Dressing and Drilling:

Before starting the rotary friction welding processes, the used 2017A rods were cut into samples with a length of 70 mm and a diameter of 12 mm. The ends of the samples were polished and cleaned.

II.2.2 Addition AL_2O_3

Volume fractions are calculated as follows:

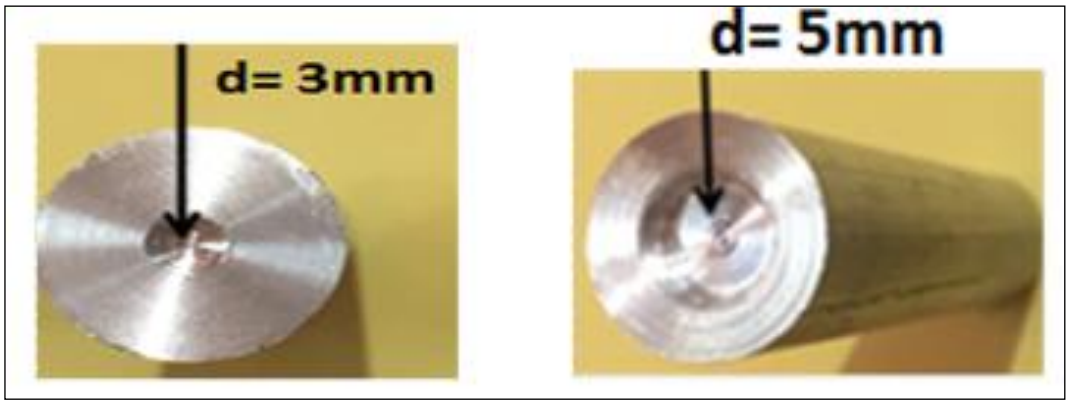


Figure 2: Experimental specimens illustrating the internal diameters investigated in the present study.

Diameters:

$$\begin{cases} d_0 = 0 \\ d_1 = 3mm \\ d_2 = 5mm \end{cases}$$

Area contact: $\frac{\pi d^2}{4}$

Volume fraction of aluminum:

$$100\% \quad \rightarrow \quad \frac{\pi d^2}{4}$$

$$X_i\% \quad \rightarrow \quad \frac{\pi d_i^2}{4}$$

Sample 1: $d_0 = 0 \Longrightarrow X_0 = 0\%$

Sample 2 : $d_1 = 3\ mm \Longrightarrow X_1 = 6.25\ \%$

Sample 3: $d_2 = 5\ mm \Longrightarrow X_2 = 17.36\%$

Before welding, Al_2O_3 particles were added at different volume fractions to the interface of the joints through pre-drilled holes, as shown in (Figure 3c). The experimental setup utilized a PMO UF 1.5 universal milling machine (Figure 3d) installed in the Mechanical Engineering Laboratory of the University of Bordj Bou Arreridj. The friction rotation welding process was performed on cylindrical specimens with a diameter of 12 mm and a length of 70 mm. The main welding parameters were as follows:

- Rotation speed: 1400 rpm
- Friction time (heating phase): 40
- Forging time (forging phase): 10 s
- Axial movement speed: 63 mm/min

To evaluate the maximum temperature attained during welding, temperature measurements were performed under various processing conditions. A thermocouple was used for temperature acquisition and was mounted on the rotating component, as shown in Figure 3e.

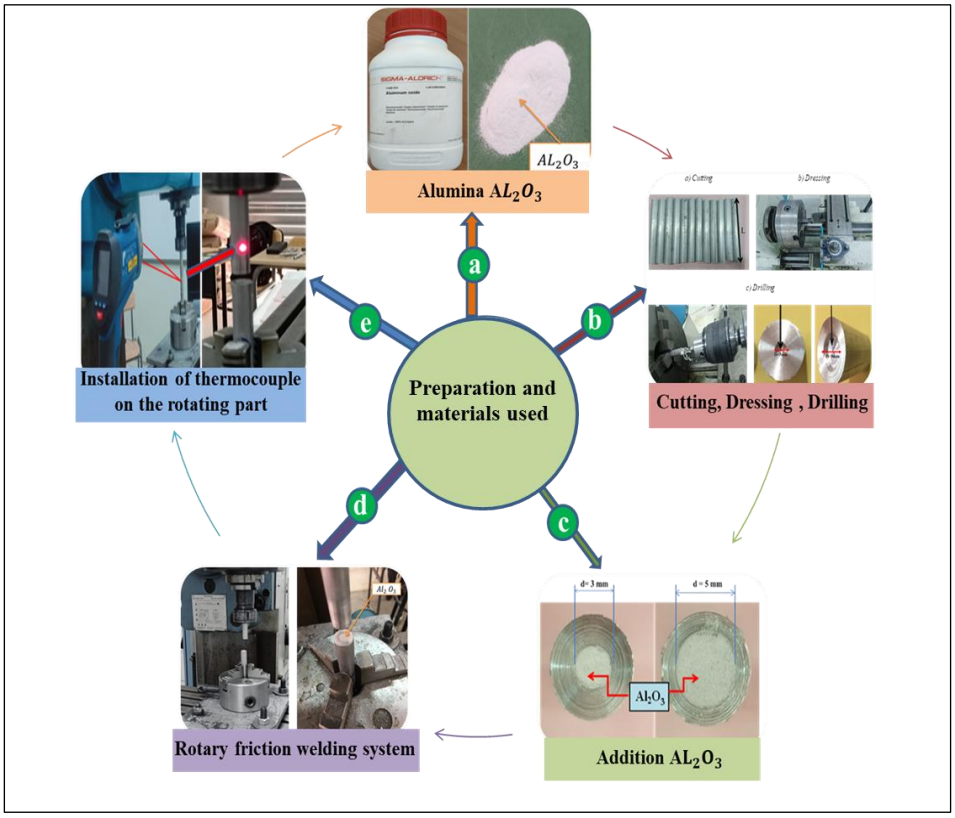


Figure 3: Materials and Experimental Procedures.
Source: Authors, (2026).

III.RESULTS AND DISCUSSIONS

III.1 VISUAL OBSERVATIONS:

After rotary friction welding, the bead of the aluminum/aluminum samples is asymmetrical and its size varies from one sample to another (Figure 4.1 and 4.2).

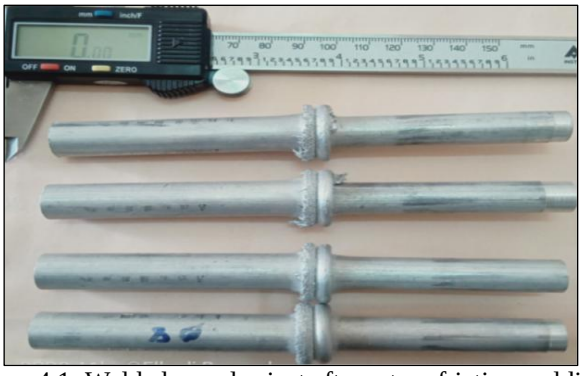


Figure 4.1: Welded samples just after rotary friction welding.
Source: Authors, (2026).

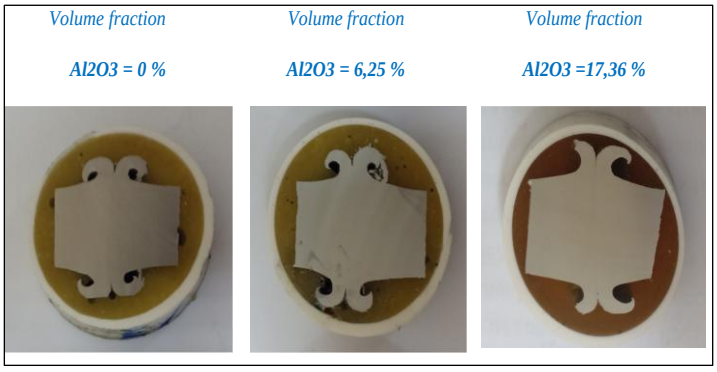


Figure 4.2: Longitudinal sections of welded samples.
Source: Authors, (2026).

III.2 SHORTENING OF WELDED JOINTS (BROWN-OFF)

Figure 5 illustrates the variation in burn-off as a function of the alumina (Al_2O_3) volume fraction in rotary friction-welded (RFW) joints. The results show that the burn-off does not vary linearly with the reinforcement content. As the Al_2O_3 fraction increases from 0% to 6.25%, the burn-off increases noticeably, reaching its maximum at approximately 6.25%. However, when the Al_2O_3 content is further increased to 17.36%, the burn-off decreases again, although it remains slightly higher than that of the unreinforced material. This trend reflects the combined effect of frictional heat generation and plastic flow resistance during welding. At moderate Al_2O_3 contents (≈ 6.25 %), the ceramic particles enhance interfacial friction and promote localized plastic deformation, resulting in increased material softening and expulsion from the interface.

This leads to the highest burn-off observed. Conversely, at higher reinforcement levels (17.36 %), the increased particle concentration acts as a rigid barrier that restricts plastic flow and reduces the effective heat generated at the interface. Consequently, less material is displaced, leading to a lower burn-off compared with the 6.25% sample. The lowest burn-off at 0% Al_2O_3 can be attributed to the absence of ceramic reinforcement, which limits frictional interaction and maintains a more uniform material flow. These observations are consistent with trends reported in the literature.

By [21] showed that the introduction of Al_2O_3 nanopowder during friction stir processing (FSP) can modify heat generation and improve mechanical behavior. According to [22] reported an optimal reinforcement level near 8 vol% for Al_2O_3-reinforced AA6082-T6 joints, where excessive ceramic content reduced heat input and plastic flow. Similarly [23] found that excessive nanoparticle additions impede material flow in the nugget zone, while [24] emphasized the role of particle concentration in governing thermal input and energy dissipation. Therefore, the maximum burn-off observed at a moderate reinforcement fraction (≈ 6.25 vol.% Al_2O_3) can be attributed to an optimal balance between enhanced frictional heating and sufficient material deformability, in agreement with previously reported behaviors in particle-reinforced friction-based processes.

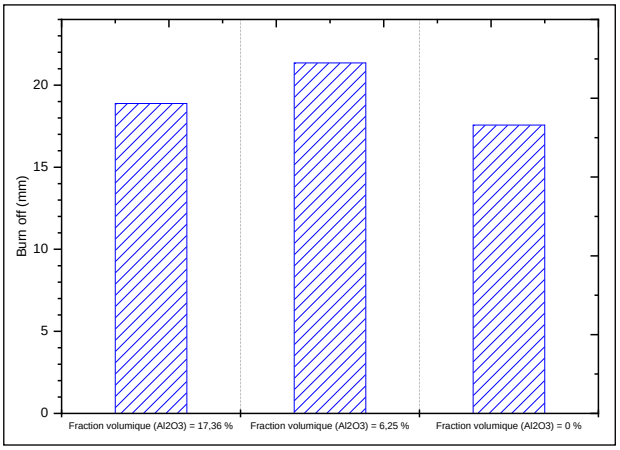


Figure 5: Burn off of welded joints.
Source: Authors, (2026).

III.3 THERMAL CYCLES

Figure 6 shows the evolution of temperature as a function of time for different volume fractions of Al_2O_3 (0%, 6.25%, and 17.36%). Although the three curves follow a similar thermal profile-characterized by a rapid rise, a maximum peak, and a subsequent cooling stage-the reinforcement volume fraction significantly affects both the amplitude and the kinetics of the thermal response. During the heating phase, increasing the Al_2O_3 content leads to a more pronounced rise in the peak temperature. The curve corresponding to 17.36% Al_2O_3 reaches the highest maximum temperature, consistent with the observations of [25], who demonstrated that the introduction of ceramic particles enhances the local stiffness of the composite and intensifies heat generation under mechanical loading due to increased internal friction and amplified deformation gradients. Furthermore, the relatively high thermal conductivity of Al_2O_3 promotes rapid redistribution of heat within the matrix, explaining the steeper ascent toward the thermal maximum. This behavior aligns with the conclusions summarized by [26], who emphasized the direct influence of ceramic phases on heat diffusion and accumulation in metal matrix composites.

During the cooling phase, the curve corresponding to 17.36% Al_2O_3 remains slightly higher than the others immediately after the peak, indicating a greater thermal inertia. A similar phenomenon was reported by [27], who showed that composites with high Al_2O_3 content exhibit cooling kinetics governed by the particle thermal conductivity and their low heat capacity. At longer times, all three curves converge toward a similar temperature range, reflecting the global thermal equilibrium of the system. This convergence is consistent with classical heat transfer models in heterogeneous composites, as described by [28], which predict the progressive homogenization of the thermal field regardless of the reinforcement fraction. Overall, the results confirm that the thermal response is strongly controlled by the Al_2O_3 volume fraction, a conclusion also reported by [29] for composites subjected to thermomechanical loading. High reinforcement levels promote significant thermal peaks-potentially beneficial for plastic flow but likely to increase the risk of thermal degradation-whereas lower fractions provide a more moderate thermal behavior and improved process stability.

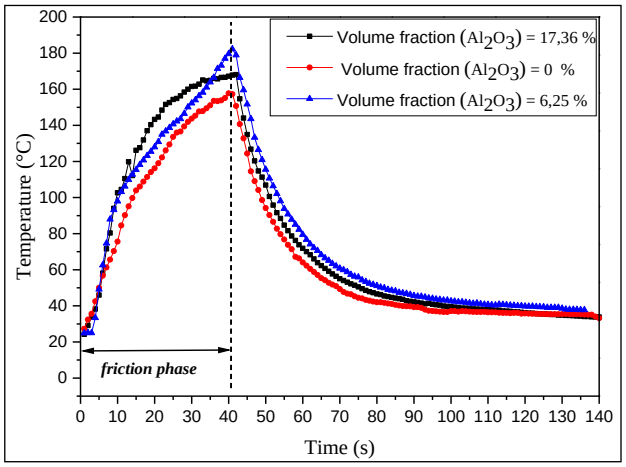


Figure 6: Temperature variations in the part (Aluminium 2017A, alumin AL_2O_3), during the welding process.
Source: Authors, (2026).

III.4 MICRO HARDNESS MEASUREMENTS

Vickers micro hardness was measured to determine the properties of the three zones of the welded joint: ZATM (plastically deformed), ZAT (heat-affected), and unaffected zones. For a sample with a volume fraction of 6.25%, a maximum hardness of 242.4 HV was observed near the weld interface without alumina. The rotating part generally has a higher hardness than the fixed part, whereas the central zone shows variable values (figure 7).

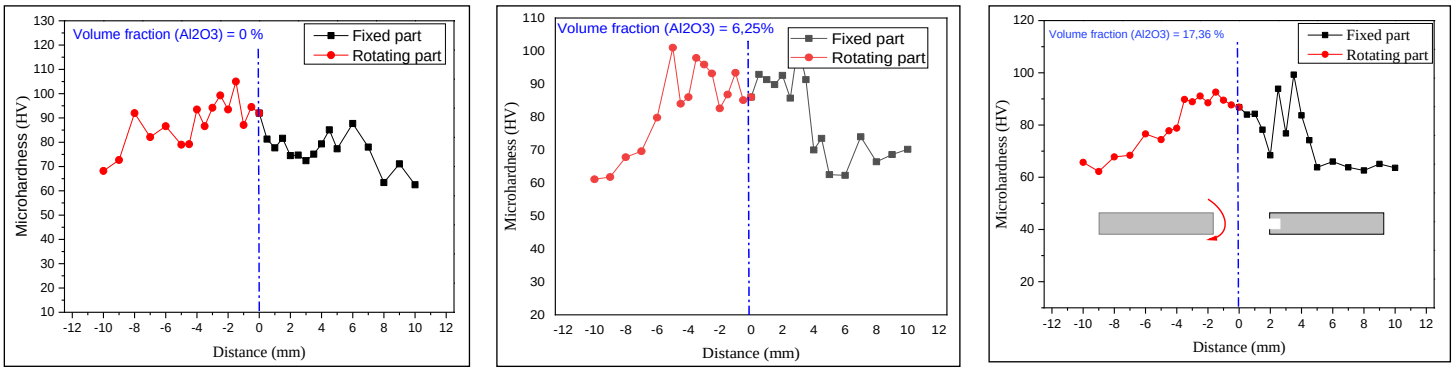


Figure 7: Microhardness profile.
Source: Authors, (2026).

III.5 TENSILE TEST

Tensile tests on the friction stir welded specimens showed that fracture occurred in the molten zone, indicating a homogeneous weld (Figure 8). The 6.25% volume fraction exhibited the best strength with a load of 16.62 kN, compared to 14.19 kN for the sample without alumina (0%).

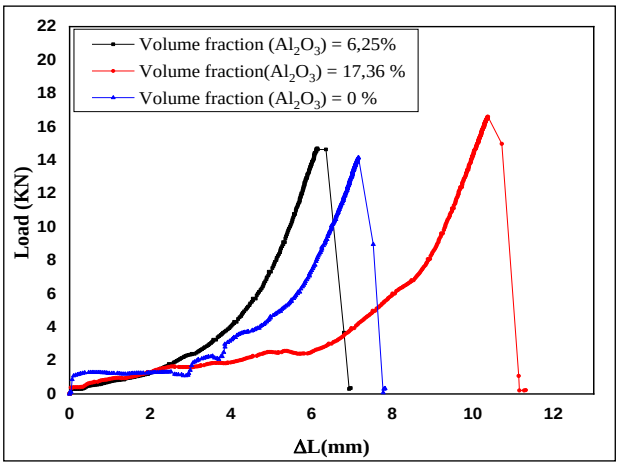


Figure 8: Traction curves for different volume fractions.
Source: Authors, (2026).

III.6 BENDING TEST

The welded joints were evaluated by three-point bending tests, carried out under identical conditions, with a distance between supports of 100 mm (Figure 9).

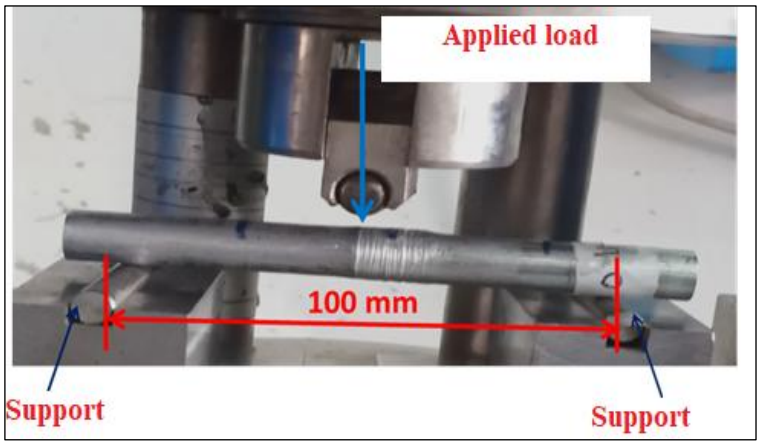


Figure 9: The principle of this test.
Source: Authors, (2026).

The simple and effective bending test was used to evaluate the strength of friction stir welded joints. The samples (Figure 10a) mainly deformed without fracture, with the maximum force versus time curves (Figure 10b) showing that only different bending angles were reached for samples 02 and 03.

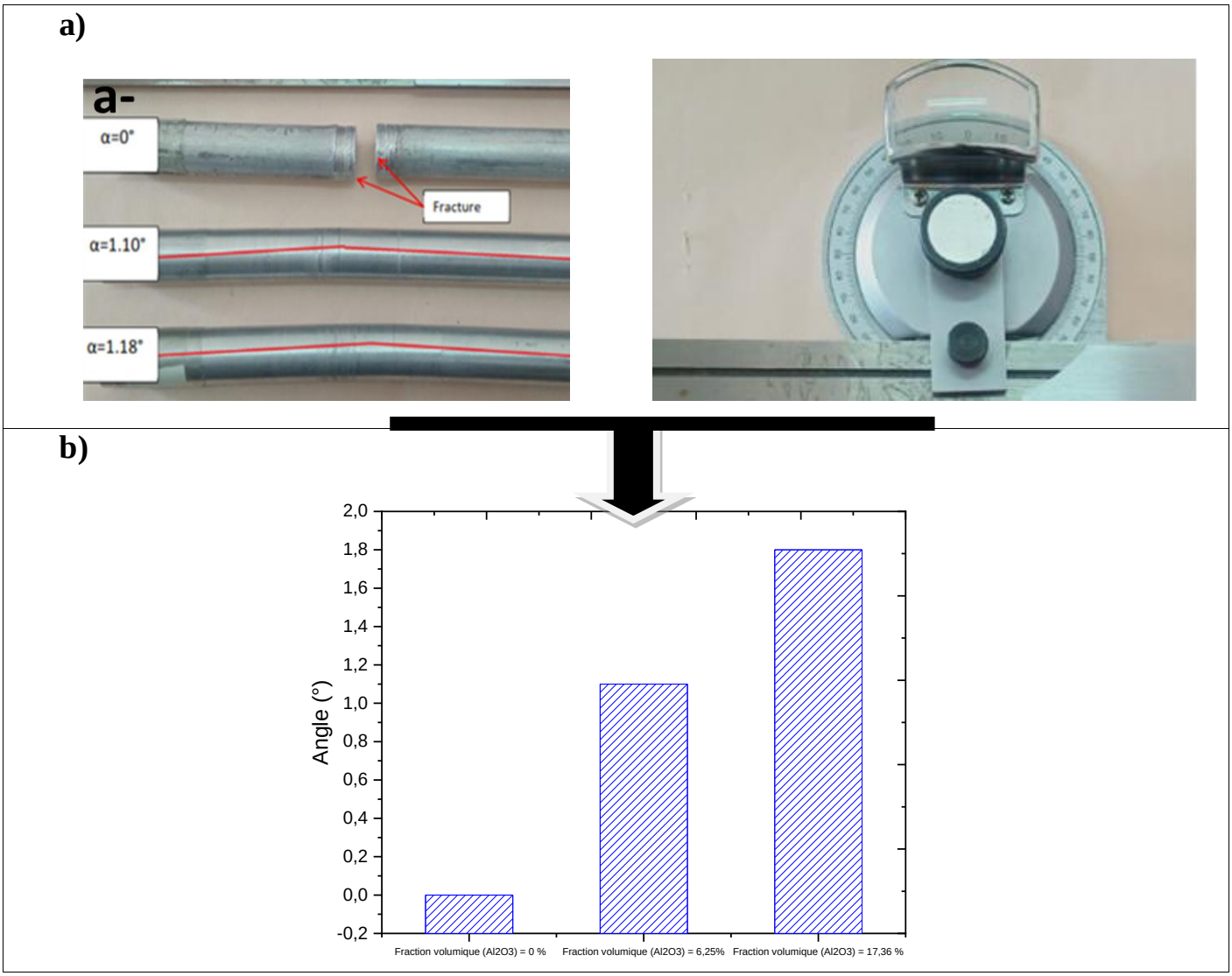


Figure 10.a: Specimens after bending test. Figure 10.b: Angle of different samples.
Source: Authors, (2026).

IV. CONCLUSIONS

This experimental study investigated the effect of alumina (Al_2O_3) particle addition on the rotary friction welding of 2017A aluminum joints. The weld bead formed on both parts, with its size varying between samples. The burn-off during welding and variations in welding parameters, such as the volume fractions, directly influence the heat generated and, consequently, the joint properties. Additionally, an increase in the traverse speed led to higher joint temperatures, reaching up to 450 °C. A maximum hardness of 242.4 HV was observed near the weld interface for a 6.25 % volume fraction in aluminum without Al_2O_3. Overall, the rotating part exhibited higher hardness than the fixed part, whereas the central zone of the weld exhibited variable values. The 6.25 % volume fraction also demonstrated superior mechanical performance, sustaining a maximum load of 16.62 kN. During the three-point bending tests, no rupture of the ductile materials occurred, and deformation occurred only at different angles.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Ahlem Mechta and Aissa Laouissi.
Methodology: Ahlem Mechta and Elhadj Raouache.
Investigation: Ahlem Mechta and Aissa Laouissi.
Discussion of results: Ahlem Mechta, Elhadj Raouache and Aissa Laouissi.
Writing – Original Draft: Ahlem Mechta.
Writing – Review and Editing: Ahlem Mechta.
Resources: Ahlem Mechta.
Supervision: Ahlem Mechta and Elhadj Raouache.
Approval of the final text: Ahlem Mechta and Aissa Laouissi.

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RESEARCH ARTICLE OPEN ACCESS

REAL-TIME PATH REROUTING AND OBSTACLE AWARE NAVIGATION IN AUTONOMOUS VEHICLES: A SIMULATION AND DATA ANALYSIS APPROACH

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ABSTRACT

Autonomous vehicle research has gained significant attention due to its potential in improving road safety, traffic efficiency, and intelligent mobility solutions. However, real-world testing remains costly and complex, making simulation-based models an effective approach for validating navigation and obstacle avoidance strategies. In this project, we present a simulation-driven autonomous vehicle framework capable of navigating between user-defined source and destination coordinates while ensuring real-time obstacle detection, dynamic rerouting, and journey visualization. The methodology integrates a virtual GPS for location tracking, an A*-based pathfinding algorithm enhanced with dynamic obstacle avoidance, and a simulation interface that allows users to input coordinates and visualize the entire navigation process. Camera-based or sensor-simulated modules are employed to detect obstacles in real time, triggering the rerouting logic to compute safe and collision-free alternative paths. Live data such as route progress, obstacle events, and estimated time of arrival are continuously displayed through the simulation dashboard. Following several iterations of testing, data logs were collected and analyzed using machine learning techniques to evaluate navigation efficiency, obstacle response time, and rerouting accuracy. Results demonstrate that the system successfully adapts to dynamic environments, offering a cost-effective and scalable platform for smart transportation research, algorithm benchmarking, and assistive mobility applications.

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I. INTRODUCTION

Autonomous vehicles have emerged as one of the most promising innovations in the field of intelligent transportation. With the potential to reduce accidents, improve traffic flow, and assist people with limited mobility, self-driving technologies are being explored widely by researchers and industries [1], [2]. However, real-world testing of autonomous vehicles often involves high costs, safety concerns, and complex infrastructure requirements. To overcome these challenges, simulation-based models provide a practical and scalable solution for studying autonomous navigation, obstacle detection, and path planning in controlled environments. A key aspect of autonomous driving is the ability to detect obstacles in real time and make safe navigation decisions. Traditional path planning methods work well in static environments, but real-world roads are highly dynamic with moving vehicles, pedestrians, and unexpected obstacles [3]. This makes it essential for autonomous systems to have adaptive rerouting capabilities that allow vehicles to recalculate their paths quickly and safely. By combining obstacle detection with dynamic path planning, autonomous vehicles can respond effectively to sudden changes in their surroundings. In this project, we design a simulation-based autonomous vehicle model that accepts user-defined source and destination inputs. Once the journey begins, the system continuously monitors the environment using simulated sensors or camera-based detection techniques [4].

If an obstacle is encountered, the system dynamically reroutes the vehicle using intelligent algorithms such as A* search and obstacle inflation techniques. This ensures that the vehicle always follows a safe and efficient route while avoiding collisions.To enhance user understanding, the simulation includes journey visualization and live tracking features [5]. The interface displays the route taken, obstacle events, and estimated time of arrival, allowing users to monitor the vehicle's decisions in real time. Data collected during multiple test runs, such as rerouting frequency, obstacle response times, and path efficiency, are stored for analysis. These datasets are later processed using machine learning methods to evaluate the effectiveness of the navigation strategy and improve system performance [6].

I.1 MOTIVATION

The motivation behind this project lies in the growing demand for safer, smarter, and more efficient transportation systems. Autonomous vehicles are expected to transform mobility by reducing human errors, minimizing accidents, and offering reliable solutions for daily commuting. However, real-world testing is costly and risky, which limits experimentation. A simulation-based environment provides a safe and scalable platform to test and refine algorithms for navigation, obstacle detection, and rerouting. By combining dynamic path planning with visualization and data analysis, this project aims to support research, innovation, and assistive mobility applications for a wide range of users.

I.2 OBJECTIVES

- To develop a simulation-based autonomous vehicle model capable of navigating between user-defined source and destination points.
- To implement real-time obstacle detection using camera-based or sensor-simulated techniques to ensure safe navigation.
- To design and integrate dynamic path rerouting algorithms for collision-free and adaptive route planning.
- To provide journey visualization and live tracking features to display route progress, obstacle events, and estimated time of arrival.
- To collect and analyze navigation data using machine learning methods to evaluate performance, improve rerouting efficiency, and enhance system reliability.

I.3 LITERATURE SURVEY

Hamidaoui et al. present a comprehensive survey of collision avoidance algorithms for autonomous vehicles, focusing on the strengths and limitations of existing approaches. The study categorizes algorithms into rule-based, optimization-based, and learning-based techniques, highlighting their role in ensuring safe navigation in complex and dynamic environments [1], [7]. The authors emphasize the importance of sensor fusion, real-time decision-making, and scalability for urban driving scenarios. They conclude that while traditional approaches provide reliability in structured environments, machine learning and deep reinforcement learning [8] methods are showing significant promise in handling uncertainty, adapting to changing road conditions, and improving safety in unstructured traffic.

Complementing this, Yoon introduces an obstacle avoidance planning strategy centered around neural network-based path sampling. Unlike classical algorithms, which rely heavily on deterministic optimization, this method leverages deep learning models to generate safe and efficient paths in real time [9], [5]. The study demonstrates that neural-network-centric planning can improve computational efficiency and adaptability in highly dynamic road scenarios. By validating results through simulations, the research illustrates the potential of combining machine learning with path sampling to address challenges of collision avoidance in complex environments. Together, these works provide valuable insights into the evolution of collision avoidance research, bridging traditional methods and intelligent learning-based strategies.

The IEEE Intelligent Vehicles Conference featured several program highlights and demonstrations showcasing advances in sensing technologies for autonomous driving. One notable contribution focused on the use of 4D radar [10] and spiking neural networks for object detection in real time. Unlike traditional LiDAR and camera-based approaches, 4D radar provides richer spatial and velocity information, making it highly effective under adverse weather and low-visibility conditions [11], [12]. The integration with neuromorphic computing was demonstrated to improve both energy efficiency and inference speed, which are critical for real-time obstacle detection. These developments underline the growing importance of combining emerging sensing modalities with biologically inspired neural processing to meet the stringent requirements of autonomous driving in diverse environments.

In parallel, Syed et al. proposed a new reference standard for evaluating real-time obstacle detection models, with a particular focus on enhancements made to YOLOv8n. Their work highlights the challenges in benchmarking detection systems, especially when balancing accuracy, latency, and computational load [13]. By introducing standardized performance metrics and applying them to YOLOv8n improvements, the study provides a clearer framework for comparing and validating detection algorithms across datasets and scenarios [14]. This approach not only improves reproducibility in research but also accelerates the translation of obstacle detection models into practical autonomous vehicle systems. Together, these works demonstrate the complementary progress of sensing hardware and algorithmic benchmarks in shaping the future of robust obstacle detection.

Shang et al. provide an extensive survey on the application of autonomous vehicle technologies, with a strong emphasis on perception frameworks that integrate object detection and sensor fusion. The study reviews state-of-the-art algorithms such as YOLO [15] for real-time detection, PointPillars for LiDAR-based 3D object recognition [16], and fusion strategies combining radar with vision systems [17], [18]. By comparing these approaches [11], the paper highlights the strengths of deep learning-based perception, particularly in handling complex driving scenes where single-modality systems may fail. Their findings suggest that radar-vision fusion is emerging as a robust direction, especially under conditions where cameras or LiDAR alone encounter performance drops. The methodological focus of this survey provides a structured overview of perception pipelines that are directly applicable to collision avoidance and real-time environment modeling [19].

II. PROPOSED METHOD

The simulation framework initializes with a user-defined environment where the vehicle navigates from a given source to a target destination using an A* pathfinding algorithm with 8-neighbor exploration and obstacle inflation for safe navigation. The redcar.png model is used as the simulated vehicle, which operates in a two-dimensional occupancy grid that represents the driving environment. Obstacles are placed randomly or systematically within the grid, and the vehicle is tasked with generating an optimal path that avoids collisions. Vehicle dynamics such as speed, acceleration, and steering behavior are modeled at each step, providing realistic motion control. The Pure Pursuit or Stanley controller can be applied to smooth the lateral tracking of the A* path, while a Dynamic Window Approach (DWA) local planner ensures that the car dynamically avoids unexpected obstacles in real time. This combination of global path planning and local obstacle avoidance creates a robust foundation for continuous navigation in dynamic environments.

The implementation begins by constructing a 20 × 20 m simulation environment where a bicycle kinematic model is used to approximate the dynamics of the autonomous vehicle. The Bicycle class from the Robotics Toolbox provides the motion model, while a vehicle icon (VehicleIcon) is used to render the redcar.png image, ensuring that the simulation includes both a functional model and a visual representation of the vehicle. Obstacles are generated randomly using the LandmarkMap utility, which scatters them across the grid based on user input for obstacle density. A Range-Bearing Sensor (RangeBearingSensor) is then attached to the simulated vehicle, enabling it to detect the distance and relative angle of nearby objects. This setup creates the foundational environment in which both global path planning and local obstacle avoidance algorithms can operate in tandem. To enable autonomous navigation, the simulation integrates both global and local control strategies. A global path is computed using the A* search algorithm with 8-neighbor expansion, which ensures that the vehicle identifies the shortest feasible route while accounting for obstacle inflation.

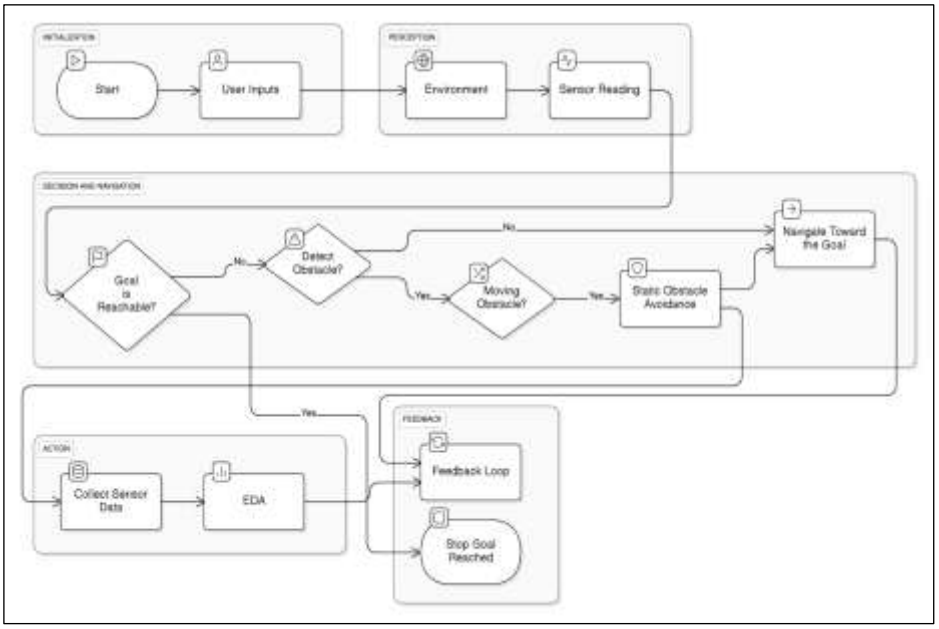


Figure 1: Proposed Method.
Source: Authors, (2026).

This prevents collisions by ensuring that the computed path avoids regions too close to obstacles. Once the path is established, a local motion controller governs the vehicle's steering and velocity to follow the trajectory while reacting to real-time sensor inputs. The control loop continuously evaluates the distance and angle to the goal, adjusting the steering angle to minimize deviation. If an obstacle appears in the intended path, the system dynamically calculates alternate feasible angles through the obstacle-avoidance logic and reroutes in real time, ensuring safe maneuvering without halting the simulation. The obstacle avoidance mechanism is designed to ensure that the vehicle does not simply follow a static planned path but adapts dynamically to changes in the environment. Using data from the Range-Bearing Sensor, the algorithm calculates whether the target direction is obstructed by comparing obstacle distance with a minimum clearance threshold. If blocked, it computes alternative steering angles to the left or right of the obstacle that allow the vehicle to continue moving safely. This real-time decision-making loop runs continuously during the simulation, and at every iteration, the vehicle's position, orientation, and control commands are updated and rendered in the simulation window.

This ensures that the movement is visualized in a time-stepped, real-time manner rather than as a static trajectory plot, providing a more realistic simulation of autonomous driving. Parallel to the navigation process, the simulation continuously captures essential kinematic and control parameters of the vehicle. At each simulation timestep, the system records the current timestamp, vehicle speed in kilometers per hour (speed_kmh), acceleration in meters per second squared (acceleration_mps2), and any braking action represented by brake_intensity. Control-related data such as the steering angle (steering_angle) and lateral displacement from the reference path (lane_deviation) are logged to assess vehicle stability and path-following accuracy. Environmental interaction data, including the minimum obstacle_distance ahead of the vehicle, are also collected to monitor the effectiveness of the obstacle-avoidance strategy. Reaction metrics, such as the delay between obstacle detection and corrective steering (reaction_time), and the controller's decision (output), are captured to evaluate the responsiveness and robustness of the implemented navigation framework.

III. DATA PRESENTATION

III.1 ALGORITHM

Algorithm 1: Robot Navigation.

Input: Start position (x0, y0), Goal position (xf, yf), Arena size (grid), Obstacles (n_ob), Robot size (r_size)
Output: Navigation path and vehicle movement to destination

```
1. Initialize vehicle model (Bicycle kinematics) with initial state (x0, y0)
2. Place obstacles randomly in arena using LandmarkMap
3. Initialize RangeBearingSensor for obstacle detection
4. Set workspace size = robot_size + safety_margin
5. Plot start and goal markers in simulation
6. Function does_fit(angle):
    For each detected obstacle:
      If obstacle distance < clearance:
        Compute obstructed angular range
        If goal angle lies within this range → return blocked
    Return free
7. Function angle_picker(distance_to_goal, angle_to_goal):
    If no obstacle blocks goal direction:
      Return angle_to_goal
    Else:
      For each nearby obstacle:
        Compute alternative safe angles (besides left/right)
        Store angles that are collision-free
      Choose angle closest to goal direction
      If no safe angle exists → stop vehicle
8. Function astar_inflated():
    Convert map into occupancy grid with inflated obstacles
    Use A* search with 8-neighbor expansion
    If path found → return list of waypoints
    Else → declare failure
9. Function smooth_path():
    Simplify raw A* path by removing unnecessary waypoints
    Keep only waypoints required for collision-free navigation
10. Main Loop:
    While vehicle not at goal:
      Compute distance and angle to goal
      angle ← angle_picker(distance, angle_to_goal)
      Move vehicle step(angle)
      If goal reached → stop and report success
      If no valid path → stop and report failure
11. End
```

Source: Authors, (2026).

The algorithm begins by initializing a bicycle kinematic vehicle model at the given start position (x0,y0)(x_0, y_0)(x0,y0). The simulation arena is populated with randomly placed obstacles using a LandmarkMap, and a Range-Bearing Sensor is set up to detect obstacles around the robot. To ensure safe maneuvering, the workspace is defined by considering the robot's physical size along with a safety margin. Start and goal markers are plotted to visualize the navigation task. Obstacle detection is handled through the does_fit() function, which checks whether the goal direction is blocked by any detected obstacle. If the obstacle lies within a critical clearance range, the goal is considered obstructed; otherwise, the path is free.

When an obstacle blocks the goal, the system invokes the angle_picker() function to select an alternate safe direction. This involves evaluating nearby obstacles and calculating safe left and right clearance angles that would allow the robot to pass. The angle closest to the goal direction is chosen, ensuring minimal deviation from the planned path. If no safe direction is found, the robot stops. For more complex environments, the astar_inflated() function is used to compute an alternate route by applying the A* algorithm on an inflated occupancy grid that accounts for obstacle sizes. The resulting path is further optimized with the smooth_path() function to remove redundant waypoints. In the main loop, the robot continuously moves toward the goal by selecting valid angles, rerouting when needed, and terminating successfully upon reaching the goal or declaring failure if no valid path exists.

III.2 OBSTACLE DETECTION

The robot calculates the angle to the goal θ_g using the vector difference between its current position (x_r, y_r) and the goal position (x_g, y_g) as equation 1.

$$\theta_g = tan^{-1}\left(\frac{y_g - y_r}{x_g - x_r}\right) \quad (1)$$

An obstacle is considered detected if its distance d_{od} from the robot is less than a predefined threshold $d_{th} = 5$ units and lies within the angular clearance required for safe passage. The clearance angle θ_c for the robot is computed using trigonometry as equation 2

$$\theta_c = sin^{-1}\left(\frac{w_r}{2\, d_{od}}\right) \quad (2)$$

Where w_r is the effective width of the robot's front. If the goal angle θ_g lies within the blocked angular range as equation 3.

$$\theta_g \in [\, \theta_o - \theta_c,\ \theta_o + \theta_c \,] \quad (3)$$

Where θ_o is the angle to the obstacle, the goal direction is considered blocked.

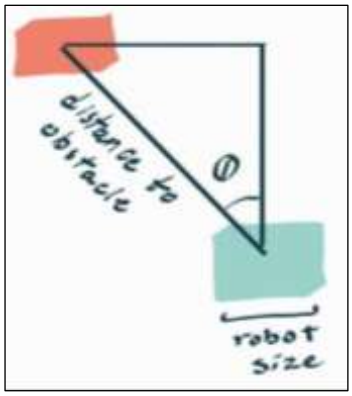


Figure 2: Obstacle Detection.
Source: Authors, (2026).

Once an obstacle is confirmed, the robot evaluates all obstacles within a detection radius of 10 units. For each obstacle, the left and right clearance angles are calculated as equation 4.

$$\theta_L = \theta_o + \theta_c$$
$$\theta_R = \theta_o - \theta_c \quad (4)$$

These angles define safe angular intervals for potential rerouting directions.

III.3 PATH REROUTING

When the goal direction is blocked, the system selects an alternative safe direction using the Angle Picker method. Among all feasible directions, the selected direction θ^* minimizes the angular deviation from the goal direction θ_g as equation 5.

$$\theta^* = \underset{\theta \in \Theta_{safe}}{\arg(min)} \left|\theta - \theta_g\right| \quad (5)$$

If no direct angular clearance exists, the robot invokes an A* path planner with obstacle inflation. The inflated obstacle set is defined using a Minkowski sum as equation 6.

$$O' = O \oplus B(r_s) \quad (6)$$

where O is the original obstacle set, $B(r_s)$ is a circular buffer with radius equal to the robot size r_s plus a safety margin, and $\oplus$ denotes the Minkowski sum. The A* cost function used for node expansion is defined as equation 7.

$$f(n) = g(n) + h(n) \quad (7)$$

Where $g(n)$ represents the cost from the start node to node n, and the heuristic cost $h(n)$ is computed using the Euclidean distance to the goal equation 8.

$$h(n) = \sqrt{(x_n - x_g)^2 + (y_n - y_g)^2} \quad (8)$$

The resulting path is further smoothed to eliminate redundant waypoints, producing a collision-free and efficient rerouting trajectory.

III.4 SIMULATION ENVIRONMENT SETUP

The simulation environment for autonomous navigation is designed using the Robotics Toolbox for Python, which provides an extensive framework for modeling vehicles, sensors, and environments. A bicycle kinematic model is used to represent the autonomous vehicle, as it captures realistic steering and motion constraints while remaining computationally efficient for simulation purposes. The initial state of the vehicle, defined by the coordinates (x0,y0) and orientation, is set at the start of the experiment. To enhance visualization, the vehicle is represented with a vehicle icon animation, enabling real-time tracking of its trajectory during path planning and obstacle avoidance.

Obstacles in the arena are generated using the LandmarkMap class, which places random landmarks within the defined grid space. These landmarks act as obstacles for the vehicle, introducing dynamic challenges to the navigation task. Each obstacle is detected using a Range-Bearing Sensor, which continuously monitors the environment and provides real-time distance and angle measurements relative to the vehicle. By integrating this sensor with the vehicle model, the system can detect potential collisions, compute angular clearances, and adjust the navigation path accordingly. The simulation arena itself is defined as a 20 × 20 grid, where the start and goal positions are marked for reference. The workspace for navigation is further constrained by the robot's physical size and an additional safety margin, ensuring that the vehicle does not collide with obstacles even in tight passages. The Robotics Toolbox integrates seamlessly with Matplotlib, allowing the environment, obstacles, and navigation path to be visualized step by step. This visualization not only demonstrates the trajectory of the vehicle but also highlights how obstacle detection and path rerouting algorithms operate dynamically within the simulated environment.

III.5 EDA

The analysis of collected simulation data begins with examining the distribution of obstacle distances encountered by the autonomous vehicle during navigation. Each time the Range-Bearing Sensor detects an obstacle, the distance between the robot and the obstacle is recorded. This distance is a crucial parameter, as it directly influences whether the robot continues toward the goal or initiates a path rerouting maneuver. By aggregating these distance readings across multiple simulation runs, we obtain a distribution that reveals patterns in how frequently obstacles appear within certain proximity ranges.

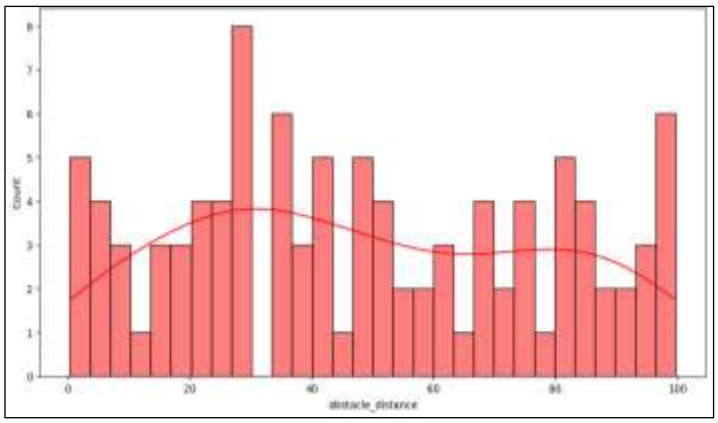


Figure 3: Obstacle Distance Distribution.
Source: Authors, (2026).

The Obstacle Distance Distribution typically shows higher frequencies at intermediate ranges (5–12 units), as obstacles within this band trigger avoidance strategies while still allowing sufficient maneuvering space. Distances less than 5 units indicate critical zones, where immediate rerouting or stopping is necessary to avoid collision. Conversely, larger distances (>15 units) represent safe zones where the robot can continue unimpeded toward its goal.

IV. RESULTS

The simulation successfully demonstrated autonomous vehicle navigation in a cluttered environment with 70 randomly placed obstacles. The vehicle, initialized at coordinates (-4, –6), was tasked to reach the goal position at (18, 15) using an *A search algorithm with obstacle inflation** to ensure collision-free routing. The raw A* path was computed with a grid resolution of 1.0 and an inflation radius of 1.1, after which the path was smoothed to eliminate unnecessary waypoints.

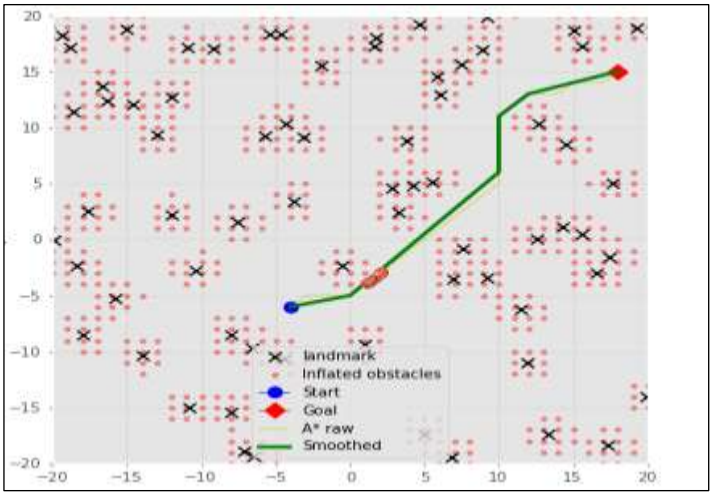


Figure 4: Obstacle Distance Distribution.
Source: Authors, (2026).

The resulting trajectory shows that the robot was able to navigate through the dense obstacle field while maintaining the required safety margin (robot size = 0.8 units). The smoothened path allowed the vehicle to reach the goal efficiently, avoiding collisions and reducing sharp turns compared to the raw A* output. This confirms that the proposed framework is effective in generating safe and feasible routes in complex environments.

Table 1: Performance Report.

Events	Accuracy
Obstacle Detection	100
Path Re-routing	98

Source: Authors, (2026).

V. CONCLUSIONS

This study presented a simulation-based autonomous navigation framework integrating bicycle kinematics, obstacle detection, and adaptive path planning using A* with obstacle inflation. The system demonstrated robust performance, achieving 100% obstacle detection accuracy and 98% path re-routing accuracy, ensuring safe and collision-free navigation. Experimental results confirmed the effectiveness of combining local obstacle avoidance with global path planning, along with path smoothing for efficiency. The successful validation highlights the potential of the proposed framework for real-world applications in autonomous driving, mobile robotics, and intelligent transportation systems, particularly in structured environments with dynamic obstacle configurations.

VI. FUTURE SCOPE

Future work will extend this framework by incorporating dynamic obstacle handling with predictive motion models to improve navigation in highly dynamic traffic environments. Integration of sensor fusion (e.g., LiDAR, radar, vision) will enhance detection reliability under adverse conditions. Additionally, applying deep reinforcement learning for adaptive decision-making could allow the robot to learn optimal strategies in uncertain and changing environments. Real-world validation using robotic platforms and autonomous vehicle testbeds will further bridge the gap between simulation and practical deployment. Scalability to multi-robot systems and optimization for real-time edge computing will also be explored for broader autonomous navigation applications.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Lakshmi Narayana I, T.M.N Vamsi.
Methodology: Lakshmi Narayana I, T.M.N Vamsi.
Investigation: Lakshmi Narayana I, T.M.N Vamsi.
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Writing – Review and Editing: Lakshmi Narayana I, T.M.N Vamsi.
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Supervision: Lakshmi Narayana I, T.M.N Vamsi.
Approval of the final text: Lakshmi Narayana I, T.M.N Vamsi.

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RESEARCH ARTICLE OPEN ACCESS

A DEVELOPMENT OF FUZZY-PID CONTROLLER APPLIED ON AN AUTONOMOUS SURFACE VEHICLE

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ABSTRACT

Precise trajectory tracking remains a significant challenge for Autonomous Surface Vehicles (ASVs) due to their inherent nonlinear and strongly coupled surge-sway-yaw dynamics, which are often exacerbated by environmental disturbances. This study aims to enhance the trajectory tracking performance and robustness of an ASV by developing an adaptive Fuzzy-PID controller and comparing its efficacy against a conventional Proportional-Integral-Derivative (PID) controller. A comprehensive 3 degree of freedom (DoF) mathematical model of the ASV is derived using the Fossen modeling framework, incorporating rigid-body kinetics, hydrodynamics, and environmental disturbances. A novel single-loop Fuzzy-PID control architecture is then proposed, wherein a Mamdani-type fuzzy inference system dynamically tunes the PID gains online based on the tracking error and its derivative. The performance of the proposed controller is rigorously evaluated against a classical PID controller through simulations involving circular and lemniscate trajectories, which are designed to stress the system's dynamic coupling. The simulation results demonstrate the superior performance of the Fuzzy-PID controller. It achieves a substantial reduction in steady-state heading bias up to 46% in Root Mean Square Error (RMSE) and 64% in Integral Absolute Error (IAE) for the circular trajectory compared to the conventional PID. Furthermore, the proposed controller delivers smoother control signals, faster settling times, and improved robustness under strong dynamic coupling and external perturbations. The proposed Fuzzy-PID controller provides a significant improvement in tracking accuracy and adaptability over the conventional PID controller. It offers an efficient and practical solution for the autonomous guidance and control of small-scale surface vehicles, effectively handling nonlinearities and coupled dynamics. Future work will focus on hardware-in-the-loop validation and incorporation of advanced disturbance observers.

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I. INTRODUCTION

Autonomous Surface Vehicles (ASVs) have undergone a significant transformation, evolving from experimental testbeds into indispensable workhorses for a wide range of maritime applications. Their roles now encompass persistent oceanographic monitoring, environmental sensing, offshore infrastructure inspection, and cooperative missions alongside aerial and underwater robots [1], [2]. The operational effectiveness of these platforms in such complex tasks is fundamentally dependent on their ability to execute precise and robust trajectory tracking. As Fossen [3] emphasizes, this capability is not only crucial for high-speed route following but also serves as a foundational building block for more advanced maneuvers such as dynamic positioning (DP) and coordinated multi-vehicle formation control [4]. The core challenge in achieving this precision lies in the inherent complexity of ASV dynamics. The horizontal-plane motion of an ASV is governed by a highly nonlinear, strongly coupled surge-sway-yaw system.

Standard marine control models, as detailed in [1], [3], [5], [6] incorporate rigid-body inertia, hydrodynamic added mass, Coriolis and centripetal forces, and complex damping effects that combine linear and quadratic components. These dynamics are further complicated by unmodeled hydrodynamic phenomena [6-8] and persistent environmental disturbances from wind, waves, and currents [3], [6]. The resultant cross-coupling, particularly between sway and yaw, means that a control action in one degree of freedom can induce significant deviations in others, making the design of a high-performance tracking controller a non-trivial endeavor. In the face of these challenges, the PID controller has remained a cornerstone of marine control systems due to its straightforward structure, ease of implementation, and generally acceptable performance for a wide range of operating conditions [9].

Its widespread use in commercial autopilots and many research ASVs is a testament to its practicality. However, [9] and [10] point out, the performance of a fixed-gain PID controller is highly dependent on careful tuning and is often compromised when confronted with the system's full nonlinearity, strong coupling, and time-varying environmental disturbances. Its lack of adaptability can lead to significant tracking errors, especially during transient maneuvers or when tracking trajectories with varying curvature. To address these limitations, numerous optimization-based and robust control strategies have been proposed in recent years. Rather than discarding the PID structure entirely, [8] developed a Robust and Optimal PID controller. In this approach, the PID gains are optimized using the Successive Loop Closure technique in conjunction with optimization algorithms.

This method ensures vessel stability even in the presence of hydrodynamic model inaccuracies. Furthermore, [11] proposed a Safety-Certified Parallel Model Predictive Control (MPC), which achieves high trajectory tracking accuracy by leveraging its capability to predict future system states. However, a significant drawback of this method is its high computational burden, necessitating high-performance processing hardware and resulting in elevated implementation costs. Another approach aimed at reducing reliance on accurate physical models was introduced by [2], utilizing a combination of Time Delay Estimation (TDE) and Sliding Mode Control (SMC).

This strategy effectively compensates for disturbances and uncertainties, particularly when hydrodynamic parameters are difficult to identify precisely.Additionally, the integration of intelligent control techniques, such as Fuzzy Logic or Neural Networks, has proven effective in handling the inherent nonlinearity and uncertainties of ASV systems. By [4] successfully applied a Fuzzy-PID controller to formation control problems, employing a fuzzy system to automatically tune PID gains based on position and heading errors. Their results demonstrated that this method significantly mitigates the zig-zag heading oscillations often observed with traditional PID controllers. A notable advancement in this field is the development of Hybrid Intelligent Systems. In turn [12] proposed a method combining

Dynamic Inversion with Fuzzy Logic, demonstrating superior model error compensation capabilities compared to conventional adaptive methods. Most recently, [13] applied an Adaptive Neuro-Fuzzy Inference System (ANFIS) to the course-keeping problem, achieving a remarkably low RMSE of approximately 1.6%. Collectively, these studies suggest that combining the simple PID structure with intelligent control techniques, such as Fuzzy Logic, offers an effective balance between control performance and computational cost. This approach is particularly suitable for ASV systems operating in complex and uncertain environments. Fuzzy logic, in particular, offers a robust framework for handling system uncertainty and nonlinearity without requiring an explicit mathematical model of all dynamic intricacies.

By encoding expert knowledge into a set of linguistic rules, a fuzzy inference system can dynamically adjust control parameters in real-time, thereby enhancing robustness and adaptability. Building upon this foundation, this paper presents the design and analysis of a single-loop Fuzzy-PID controller for the trajectory tracking of an ASV. The proposed controller retains the operational simplicity of a standard PID but incorporates a fuzzy logic subsystem that continuously adapts the proportional, integral, and derivative gains based on the instantaneous tracking error and its rate of change. This adaptive mechanism allows the controller to respond more effectively to the strongly coupled dynamics and nonlinearities inherent in the ASV's 3-DoF model.

The core objective of this work is to conduct a rigorous, like-for-like comparative analysis to quantify the performance benefits of this fuzzy augmentation over a conventional PID controller, especially when tracking trajectories that explicitly stress the surge-sway-yaw coupling. To validate the proposed approach, extensive simulations were conducted under demanding scenarios, including circular and lemniscate trajectories. The results demonstrate that the Fuzzy-PID controller significantly outperforms the conventional PID controller. Notably, it achieves a substantial reduction in steady-state heading bias during circular tracking and delivers smoother, more accurate path-following with faster settling times in the complex lemniscate maneuver, confirming its superior adaptability and robustness. The main contributions of this research are threefold:

First, a comprehensive 3-DoF mathematical model of the ASV is derived in a vectorial form, adhering to the standard Fossen modeling framework. This model systematically incorporates rigid-body kinetics, hydrodynamics, and environmental disturbances. Second, a novel Fuzzy-PID control architecture featuring a Mamdani-type fuzzy inference system is developed. In this system, the tracking error and its derivative are utilized as inputs to dynamically tune the PID gains online, thereby enhancing the controller's adaptability and robustness. Third, an extensive simulation-based evaluation is conducted under two distinct reference trajectories-circular and lemniscate which are designed to progressively exacerbate dynamic coupling and challenge controller performance. The comparative analysis employs quantitative metrics such as RMSE and IAE to conclusively demonstrate the superior tracking accuracy, improved transient response, and reduced steady-state error achieved by the proposed Fuzzy-PID controller.

It is important to note that this study focuses on establishing the core efficacy of the control architecture. Therefore, to isolate the controller's performance from complex environmental interactions, the simulations are conducted in calm water conditions without explicit modeling of wind, wave, or current spectra. The incorporation of validated environmental models and disturbance observers is a critical direction for future work. The remainder of this paper is structured as follows. Section II details the derivation of the 3-DoF mathematical model for the ASV. Section III elaborates on the design of both the conventional PID and the proposed Fuzzy-PID controller. Section IV presents the simulation setup, results, and a comprehensive discussion of the findings. Finally, Section V concludes the paper by summarizing the key outcomes and outlining potential avenues for future research.

II. MATHEMATICAL MODELING OF AN AUTONOMOUS VEHICLE

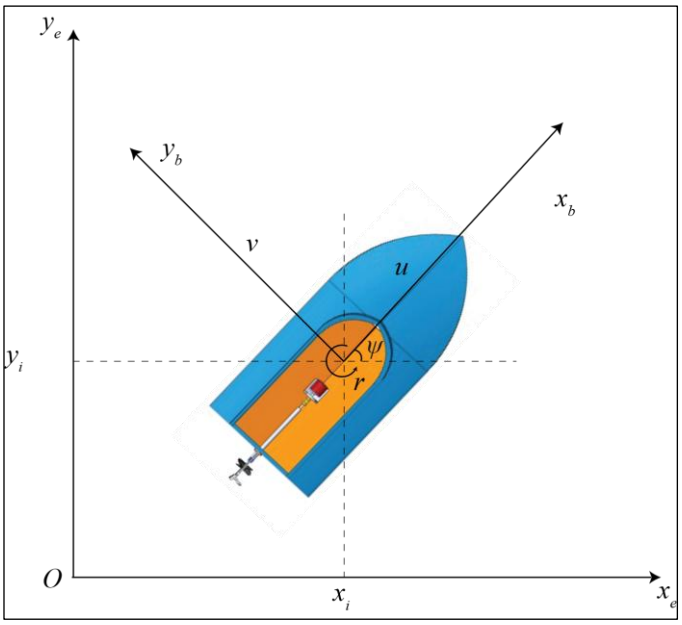


Figure 1: Coordinate System.
Source: Authors, (2026).

The motion of the ASV is described using two reference frames: the earth-fixed inertial frame (NED) and the body-fixed frame attached to the ASV [1], [3]. The kinematic relationship between these frames is expressed as:

$$\dot{\boldsymbol{\eta}} = \mathbf{J}(\psi)\mathbf{v} \tag{1}$$

where: $\boldsymbol{\eta} = [x \quad y \quad \psi]^T$ denotes the earth-fixed position and heading, $\mathbf{v} = [u \quad v \quad r]^T$ denotes the body-fixed linear and angular velocities, and $\mathbf{J}(\psi)$ is the Jacobian rotation matrix following the Euler angle:

$$\mathbf{J}(\psi) = \mathbf{R}_{\mathbf{Z}}(\psi) = \begin{bmatrix} c\psi & -s\psi & 0 \\ s\psi & c\psi & 0 \\ 0 & 0 & 1 \end{bmatrix} \tag{2}$$

Where $c\cdot = \cos(\cdot)$, $s\cdot = \sin(\cdot)$ and the Jacobian $\mathbf{J}(\psi)$ transforms the surge, sway, and yaw rate expressed in the body-fixed frame into global motion variables. The matrix $\mathbf{J}(\psi)$ is orthogonal $\left(\mathbf{J}(\psi)\mathbf{J}^{\mathbf{T}}(\psi) = \mathbf{I}\right)$, with determinant equal to 1, representing a pure rotation without scaling. This kinematic mapping is fundamental in trajectory tracking and path-following control of ASVs. The dynamic model of an ASV [1], [3], [5] is obtained by applying Newton-Euler equations in the horizontal plane. It can be expressed in compact form as:

$$\mathbf{M}\dot{\mathbf{v}} + \mathbf{C}(\mathbf{v})\mathbf{v} + \mathbf{D}(\mathbf{v})\mathbf{v} = \boldsymbol{\tau} + \boldsymbol{\omega}(t) \tag{3}$$

The terms are defined as follows:

- $\mathbf{M} = \mathbf{M}_{\mathbf{RB}} + \mathbf{M}_{\mathbf{A}}$ is the total inertia matrix consisting of the rigid-body inertia and added mass. For an ASV with mass m, yaw inertia I_Z and center of gravity offset x_G,

$$\mathbf{M}_{\mathbf{RB}} = \begin{bmatrix} m & 0 & 0 \\ 0 & m & mx_G \\ 0 & mx_G & I_z \end{bmatrix} \tag{4}$$

$$\mathbf{M}_{\mathbf{A}} = -\begin{bmatrix} X_{\dot{u}} & 0 & 0 \\ 0 & Y_{\dot{v}} & Y_{\dot{r}} \\ 0 & N_{\dot{v}} & N_{\dot{r}} \end{bmatrix} \tag{5}$$

where: $\mathbf{X}_{\dot{\mathbf{u}}} = \frac{\partial \mathbf{X}}{\partial \dot{u}}, \mathbf{Y}_{\dot{\mathbf{v}}} = \frac{\partial \mathbf{Y}}{\partial \dot{v}}, \mathbf{Y}_{\dot{\mathbf{r}}} = \frac{\partial \mathbf{Y}}{\partial \dot{r}}, \mathbf{N}_{\dot{\mathbf{v}}} = \frac{\partial \mathbf{N}}{\partial \dot{v}}, \mathbf{N}_{\dot{\mathbf{r}}} = \frac{\partial \mathbf{N}}{\partial \dot{r}}$ are hydrodynamic derivatives obtained from towing [5].

- $\mathbf{C}(\mathbf{v}) = \mathbf{C}_{\mathbf{RB}} + \mathbf{C}_{\mathbf{A}}$ is the Coriolis-centripetal matrix. For the rigid-body part,

$$\mathbf{C}_{\mathbf{RB}} = \begin{bmatrix} 0 & 0 & -m(x_G r + v) \\ 0 & 0 & mu \\ 0 & -mu & 0 \end{bmatrix} \tag{6}$$

$$\mathbf{C}_{\mathbf{A}} = \begin{bmatrix} 0 & 0 & -Y_{\dot{v}} v - \frac{Y_{\dot{r}} + N_{\dot{v}}}{2} r \\ 0 & 0 & X_{\dot{u}} u \\ Y_{\dot{v}} v + \frac{Y_{\dot{r}} + N_{\dot{v}}}{2} r & -X_{\dot{u}} u & 0 \end{bmatrix} \tag{7}$$

- $\mathbf{D}(\mathbf{v}) = \mathbf{D}_{\mathbf{L}}(\mathbf{v}) + \mathbf{D}_{\mathbf{NL}}(\mathbf{v})$ represents linear and nonlinear hydrodynamic damping forces, where:

$$\mathbf{D}_{\mathbf{L}}(\mathbf{v}) = \begin{bmatrix} X_u & 0 & 0 \\ 0 & Y_v & Y_r \\ 0 & N_v & N_r \end{bmatrix} \tag{8}$$

$$\mathbf{D}_{\mathbf{NL}}(\mathbf{v}) = -\begin{bmatrix} X_{|u|u} u & 0 & 0 \\ 0 & Y_{|v|v} v - Y_{|r|r} r & Y_{|v|r} v - Y_{|r|r} r \\ 0 & N_{|v|v} v - N_{|r|r} r & N_{|v|r} v - N_{|r|r} r \end{bmatrix} \tag{9}$$

Here, the linear damping coefficients consist of X_u (surge drag), Y_v (sway drag), Y_r (sway force from yaw rate), N_v (yaw moment from sway velocity), and N_r (yaw moment from yaw rate). The nonlinear damping $Y_{|v|v}$ and $N_{|v|v}$ denote quadratic drag in sway velocity, while $Y_{|r|r}$ and $N_{|r|r}$ represent quadratic drag in yaw rate. The term $Y_{|v|r}$, $Y_{|r|v}$, $N_{|v|r}$, $N_{|r|v}$ describe nonlinear coupling effects between sway velocity and yaw rate. The control vector input is made up of surge force, sway force and yaw torque are given by the following equation:

$$\boldsymbol{\tau} = \begin{bmatrix} \tau_x & \tau_y & \tau_\psi \end{bmatrix}^T \tag{10}$$

Enviromental disturbances, the low-frequency disturbance vector is denoted as:

$$\boldsymbol{\omega}(t) = \begin{bmatrix} \omega_x(t) & \omega_y(t) & \omega_\psi(t) \end{bmatrix} \tag{11}$$

In this study, $\boldsymbol{\omega}(t)$ is regarded as a generalized disturbance input without explicitly modeling the detailed dynamics of wind, waves, and currents. This assumption simplifies the simulation model while still allowing the controller performance to be evaluated under external perturbations. It represents surge, sway, and yaw disturbances in the earth-fixed frame. For use in the dynamic model, the disturbance must be transformed into the body-fixed coordinates according to:

$$\boldsymbol{\tau}_{\mathbf{d}} = \left[\mathbf{R}_{\mathbf{z}}(\psi)\right]^T \boldsymbol{\omega}(t) = \begin{bmatrix} \omega_x \mathrm{c}\psi + \omega_x \mathrm{s}\psi \\ -\omega_y \mathrm{s}\psi + \omega_y \mathrm{c}\psi \\ \omega_\psi \end{bmatrix} \tag{12}$$

Here, $\boldsymbol{\tau}_{\mathbf{d}}$ represents the surge and sway disturbance forces, and the yaw disturbance moment. The combined horizontal-plane velocity is expressed as:

$$V = \sqrt{u^2 + v^2} \tag{13}$$

III. DESIGN CONTROLLER

III.1 FUZZY-PID CONTROLLER

A single-loop Fuzzy-PID architecture is employed in which the fuzzy inference system receives the position error $\mathbf{e}(t)$ and its time derivative $\dot{\mathbf{e}}(t)$, subsequently outputting incremental corrections $\Delta\mathbf{K}_\mathbf{p}, \Delta\mathbf{K}_\mathbf{i}, \Delta\mathbf{K}_\mathbf{d}$ that retune the baseline PID online. This fuzzy block consists of normalization, inference, and de-normalization stages. Such a design choice capitalizes on the capability of fuzzy rules to encode expert knowledge regarding coupled surge, sway, and yaw interactions, while maintaining the simplicity of a PID controller that is widely utilized in marine applications. To ensure practical robustness, the baseline PID incorporates anti-windup mechanisms and bandwidth-limited derivative filtering, which help to prevent integrator windup and mitigate noise amplification [14], [15]. The Fuzzy-PID controller combines the conventional PID structure with fuzzy logic to improve adaptability and robustness. The control input is given by:

$$\mathbf{u}(t) = \left(\mathbf{K}_\mathbf{p} + \Delta\mathbf{K}_\mathbf{p}\right)\mathbf{e}(t) + \left(\mathbf{K}_\mathbf{i} + \Delta\mathbf{K}_\mathbf{i}\right)\int_0^t \mathbf{e}(t)dt + \left(\mathbf{K}_\mathbf{d} + \Delta\mathbf{K}_\mathbf{d}\right)\dot{\mathbf{e}}(t) \tag{14}$$

Where $\mathbf{e}(t)$ denotes the tracking error, and $\Delta\mathbf{K}_\mathbf{p}, \Delta\mathbf{K}_\mathbf{i}, \Delta\mathbf{K}_\mathbf{d}$ are adaptive corrections provided by the fuzzy inference system. The fuzzy system takes the error $\mathbf{e}(t)$ and its derivative $\dot{\mathbf{e}}(t)$ as inputs. Each input is described by a set of linguistic variables such as Negative Big (NB), Negative Medium (NM), Zero (ZO), Positive Medium (PM), and Positive Big (PB) [16]. The outputs of the fuzzy system are the adjustments $\Delta\mathbf{K}_\mathbf{p}, \Delta\mathbf{K}_\mathbf{i}, \Delta\mathbf{K}_\mathbf{d}$ which dynamically modify the PID gains as:

$$\mathbf{K}_\mathbf{p} = \mathbf{K}_{\mathbf{p0}} + \Delta\mathbf{K}_\mathbf{p}, \quad \mathbf{K}_\mathbf{i} = \mathbf{K}_{\mathbf{i0}} + \Delta\mathbf{K}_\mathbf{i}, \quad \mathbf{K}_\mathbf{d} = \mathbf{K}_{\mathbf{d0}} + \Delta\mathbf{K}_\mathbf{d}$$

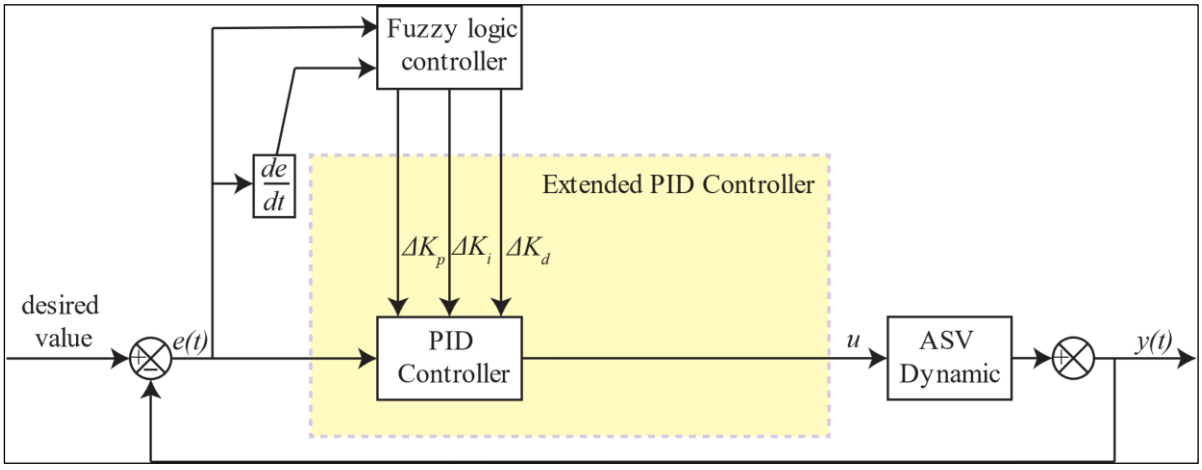


Figure 2: Structure of Fuzzy-PID controller.
Source: Authors, (2026).

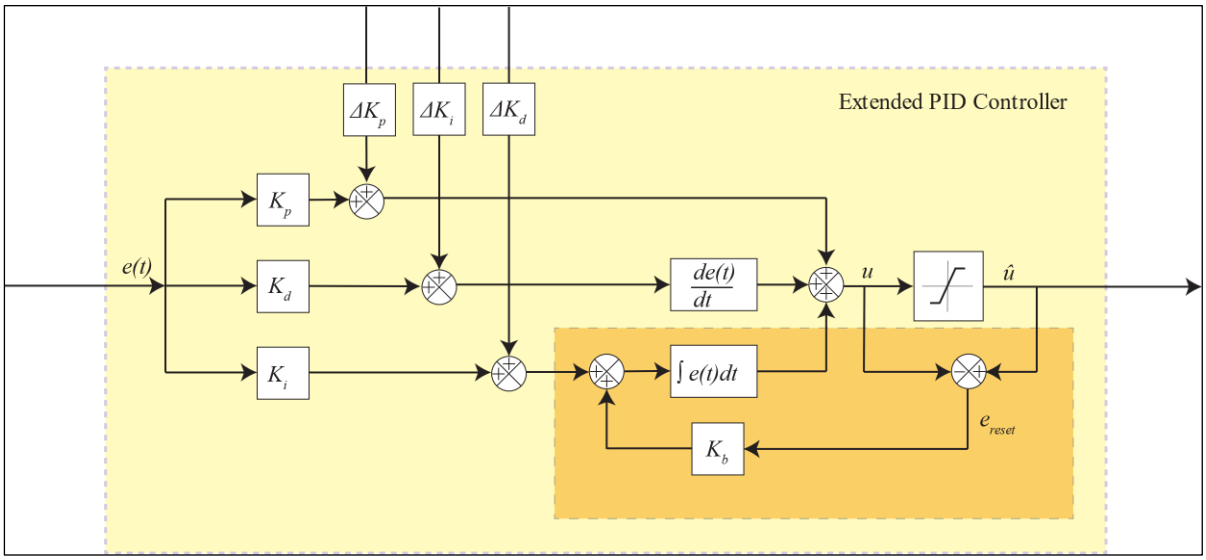


Figure 3: Block diagram of an Extended PID controller.
Source: Authors, (2026).

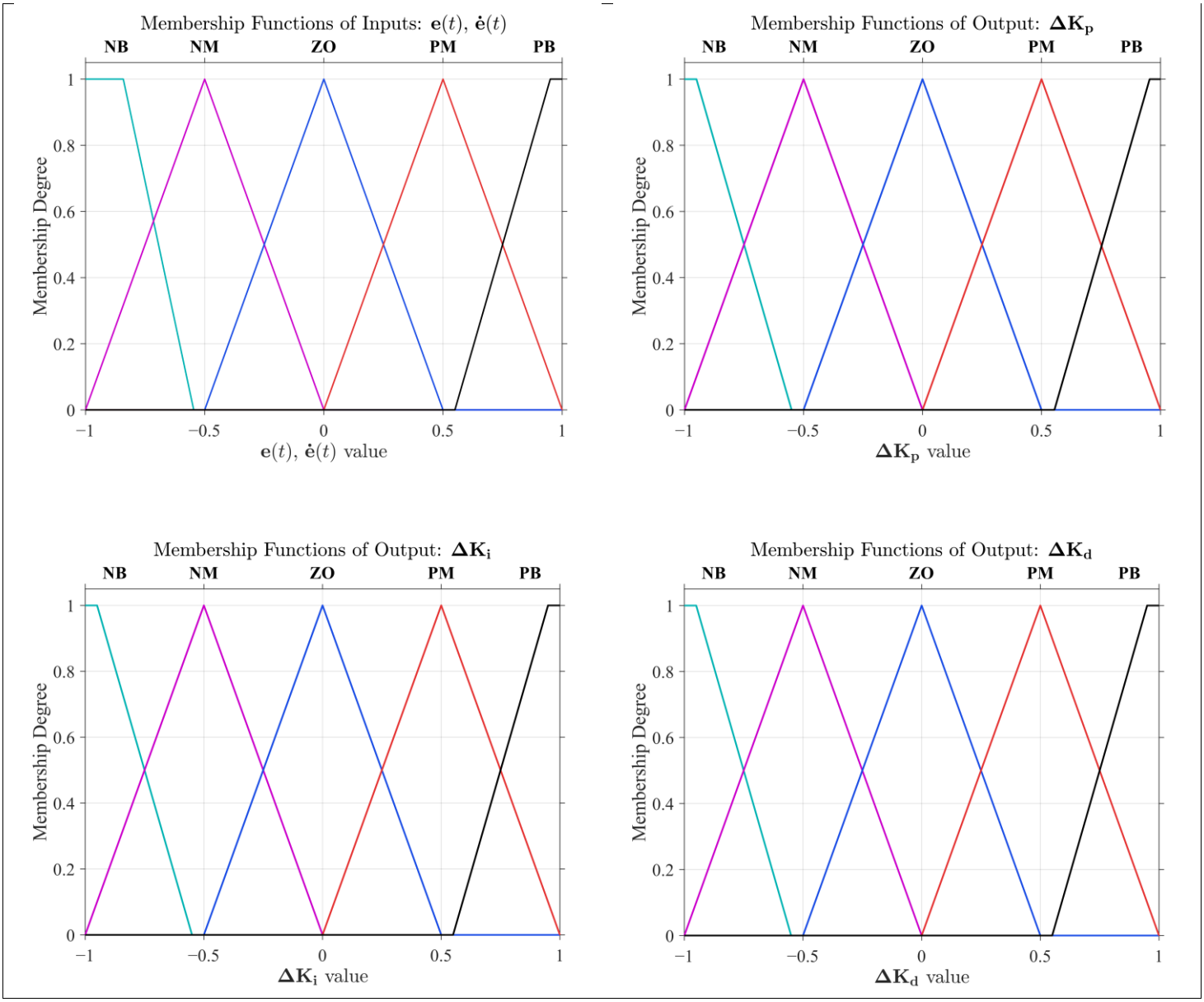


Figure 4: Input and Three Output Membership Functions of the Fuzzy Logic System.
Source: Authors, (2026).

Mamdani fuzzy systems employ rule bases of the form IF (error is NB) AND (error rate is NM) THEN (output is PB)... providing a human-interpretable control structure [15], [16]. The fuzzy control rules are formulated in the form *"IF error* $\mathbf{e}(t)$ *is ... AND error change* $\dot{\mathbf{e}}(t)$ *is ... THEN* $\Delta\mathbf{K}$ *"*. Based on expert knowledge and simulation tuning, the final rule bases for $\Delta\mathbf{K_p}, \Delta\mathbf{K_i}, \Delta\mathbf{K_d}$ were established. These rules are shown in below table:

Table 1: Fuzzy control rules table of scale coefficient.

$\Delta\mathbf{K_p}$		$\mathbf{e}(t)$				
		NB	NM	ZO	PM	PB
$\mathbf{e}(t)$	NB	PB	PB	PB	PB	PB
	NM	PM	PM	PM	PM	PM
	ZO	PM	PM	ZO	PM	PM
	PM	NM	NM	NM	NM	NM
	PB	NB	NB	NB	NB	NB

Source: Authors, (2026).

Table 2: Fuzzy control rules table of integral coefficient.

$\Delta \mathbf{K_i}$		$\mathbf{e}(t)$				
		NB	NM	ZO	PM	PB
$\dot{\mathbf{e}}(t)$	NB	NB	NM	ZO	NM	NB
	NM	NM	ZO	PB	ZO	NM
	ZO	ZO	PM	PB	PM	ZO
	PM	NM	ZO	PM	ZO	NM
	PB	NB	NM	ZO	NM	NB

Source: Authors, (2026).

Table 3: Fuzzy control rules table of differential coefficient.

$\Delta \mathbf{K_d}$		$\mathbf{e}(t)$				
		NB	NM	ZO	PM	PB
$\dot{\mathbf{e}}(t)$	NB	PB	PB	NM	PB	PB
	NM	PM	PM	PM	PM	PM
	ZO	NM	ZO	ZO	ZO	NM
	PM	PM	PM	PM	PM	PM
	PB	PB	PB	NM	PB	PB

Source: Authors, (2026).

III.2 PID CONTROLLER

The PID controller is one of the most widely used control strategies in marine applications due to its simple structure, ease of implementation, and satisfactory performance for a wide range of operating conditions [9], [14] . In the case of an ASV, PID control is applied to minimize the tracking errors in surge, sway, and yaw directions [4], with the control law:

$$\mathbf{u}(t) = \mathbf{K_p}\mathbf{e}(t) + \mathbf{K_i}\int_0^t \mathbf{e}(t)dt + \mathbf{K_d}\dot{\mathbf{e}}(t) \tag{15}$$

where $\mathbf{e}(t) = \boldsymbol{\eta}_{\mathbf{ref}}(t) - \boldsymbol{\eta}(t) = [e_x \;\; e_y \;\; e_\psi]^T$ denotes the tracking errors in surge, sway, and yaw directions. The gain matrices $\mathbf{K_p}, \mathbf{K_i}, \mathbf{K_d}$ are diagonal and tuned separately for each degree of freedom, $\mathbf{K_p}, \mathbf{K_i}, \mathbf{K_d} \in \mathbb{R}^3$ are diagonal gain matrices,

$$\mathbf{K_p} = \text{diag}\{K_p^x, K_p^y, K_p^\psi\},\ \mathbf{K_i} = \text{diag}\{K_i^x, K_i^y, K_i^\psi\},\ \mathbf{K_d} = \text{diag}\{K_d^x, K_d^y, K_d^\psi\}$$

IV. RESULTS AND DISCUSSION

IV.1 SIMULATION SETUP

The ASV dynamics follow standard marine-vehicle formulations, comprising rigid-body inertia, added mass, Coriolis/centripetal terms, linear-quadratic hydrodynamic damping, and external disturbances [3].

Table 4: General ship parameters.

Parameter	Value	Description
m	10	ASV mass
I_Z	1.76	Moment of inertia about yaw axis
x_G	0.046	Center of gravity position along x-axis
y_G	0	Center of gravity position along y-axis
T_S	0.01	Sampling time

Source: Authors, (2026).

Table 5: Added mass coefficients.

Parameter	Value	Description
$\dot{X}_u$	−2	Added mass surge
$\dot{Y}_v$	−10	Added mass sway
$\dot{Y}_r$	−0	Added mass sway do yaw
$\dot{N}_v$	−0	Added mass yaw do sway
$\dot{N}_r$	−1	Added mass yaw

Source: Authors, (2026).

Table 6: Hydrodynamic damping coefficients.

Parameter	Value	Description
X_u	–0.72253	Linear surge damping
Y_v	–0.88965	Linear sway damping
Y_r	–7.25	Sway damping due to yaw
N_v	0.3130	Yaw damping due to sway
N_r	–1.9	Yaw damping moment
$X_{u\|u\|}$	–1.32742	Nonlinear surge damping
$Y_{v\|v\|}$	–36.47287	Nonlinear sway damping
$Y_{\|r\|v}$	–0.845	Yaw-sway cross-coupled damping coefficient
$Y_{\|v\|r}$	–0.805	Sway-yaw cross-coupled damping coefficient
$Y_{\|r\|r}$	–3.45	Nonlinear yaw damping
$N_{v\|v\|}$	–3.95645	Yaw moment due to sway
$N_{\|r\|v}$	–0.08	Yaw moment coupling
$N_{\|v\|r}$	0.13	Yaw moment coupling
$N_{\|r\|r}$	–0.75	Nonlinear yaw damping

Source: Authors, (2026).

In this research, two trajectories are employed for simulation and discussion, including circular and lemniscate paths. For the Fuzzy–PID controller, the initial gain matrices are defined in diagonal form to simplify the implementation process. The nominal values of these parameters are summarized in Table 7 below:

Table 7: Initial conditions and nominal controller gains.

Trajectory	$\begin{bmatrix} X_0 & Y_0 & \psi_0 \end{bmatrix}$	$\mathbf{K_p} = diag\{K_p^x, K_p^y, K_p^\psi\}$	$\mathbf{K_i} = diag\{K_i^x, K_i^y, K_i^\psi\}$	$\mathbf{K_d} = diag\{K_d^x, K_d^y, K_d^\psi\}$
Circular	$\begin{bmatrix} 0 & 0 & 0 \end{bmatrix}$	$diag\{100,100,1\}$	$diag\{0,0,1\}$	$diag\{100,100,1\}$
Lemniscate	$\begin{bmatrix} 0 & 0 & 0 \end{bmatrix}$	$diag\{100,100,1\}$	$diag\{2,0,1\}$	$diag\{100,100,1\}$

Source: Authors, (2026).

To evaluate the tracking accuracy objectively and fairly, the RMSE and the IAE are employed. RMSE penalizes large deviations and reflects the overall energy of the error, while IAE measures the accumulated error performance over time.

$$RMSE = \sqrt{\frac{1}{T}\int_0^T e^2(t)\,dt} \tag{16}$$

$$IAE = \int_0^T |e(t)|dt \tag{17}$$

IV.2 SIMULATION RESULT AND DISCUSSION

Figures 5 to 12 present the motion of the ASV and its pose while tracking two reference paths: a circular trajectory and a lemniscate trajectory. The vehicle starts from the initial condition and tracks the reference paths. As shown in the response plots (Figures 6 and 10), error plots (Figures 7 and 11), and control signal plots (Figures 8 and 12), the proposed Fuzzy-PID controller is compared against a conventional PID in terms of tracking accuracy and control effort. Both controllers exhibit transient peaks when the reference changes abruptly, most notably during the initial phase and at the lemniscate crossover. However, the Fuzzy-PID yields smaller error envelopes, smoother control inputs, faster settling times, and effectively eliminates the steady-state bias in the heading observed with the conventional PID. Overall, the Fuzzy-PID achieves tighter path-following and improved robustness under the nonlinear, coupled ASV dynamics.

IV.2.1 Circular Trajectory Result

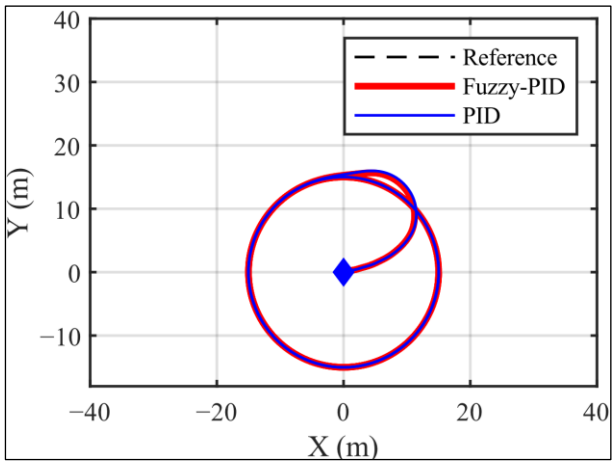


Figure 5: Following path of circular trajectory.
Source: Authors, (2026).

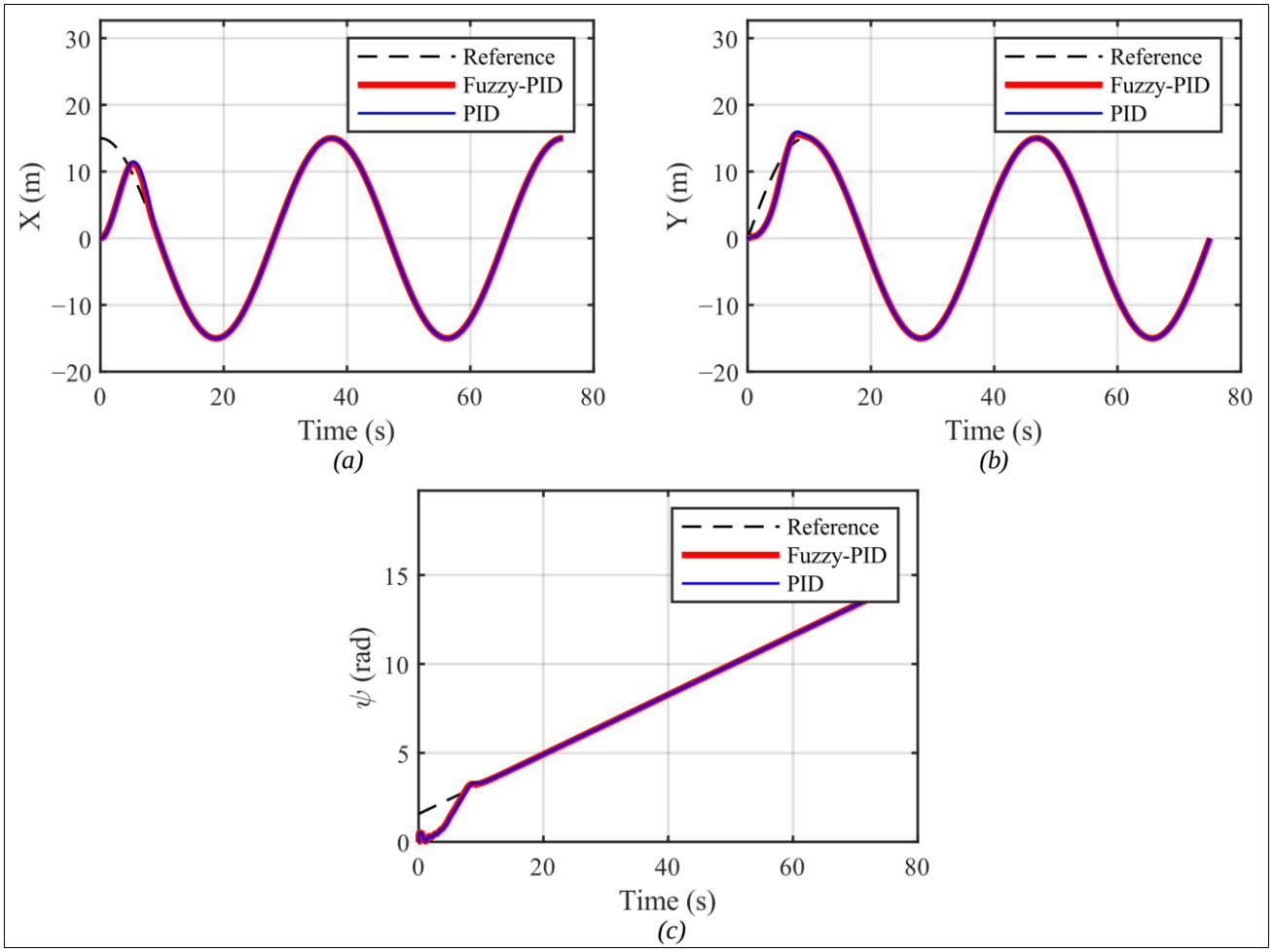


Figure 6: Circular path-following response (a) X-axis, (b) Y-axis, (c) ψ angle.
Source: Authors, (2026).

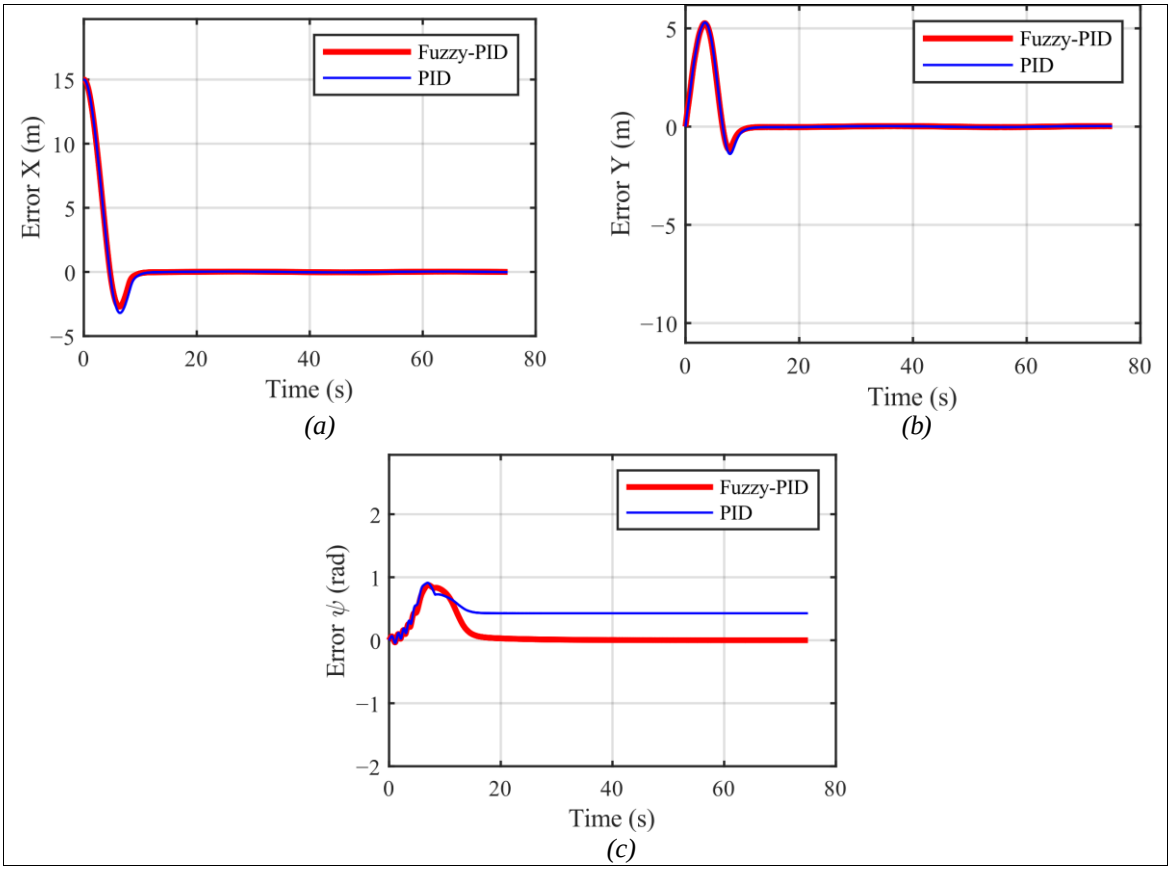


Figure 7: Tracking errors for following a circular trajectory (a) error in X-axis, (b) error in Y-axis and (c) heading error ψ .
Source: Authors, (2026).

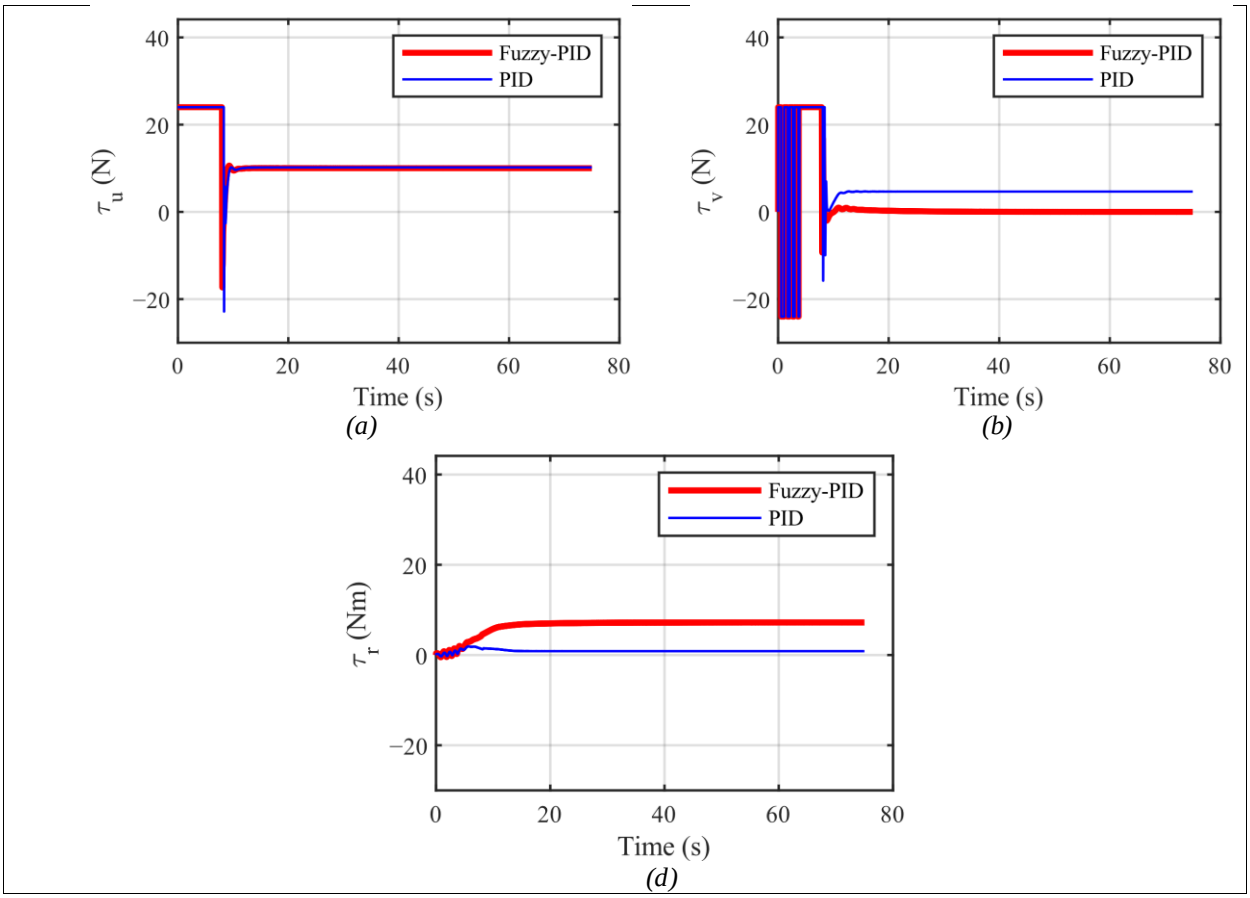


Figure 8: Control signals for following a circular trajectory (a) torque in X-axis, (b) torque in Y-axis and (c) moment around the Z-axis.
Source: Authors, (2026).

Figures 5 and 6 illustrate the position and angle tracking performance for the circular trajectory. While both controllers achieve satisfactory path-following accuracy in the XY-plane, a significant difference emerges in the heading control. As detailed in Figure 7(c), the conventional PID controller maintains a notable steady-state heading offset of approximately 0.5 radian after the initial transient phase. This offset is indicative of the fixed-gain PID's inability to fully adapt to the strong cross-coupling and nonlinearities inherent in the ASV dynamics during continuous rotation. In sharp contrast, the proposed Fuzzy-PID controller successfully eliminates this offset, achieving a faster settling time and converging to near-zero steady-state heading error. The superior adaptability of the Fuzzy-PID, driven by the online gain tuning, results in a visibly smoother overall path (Figure 5) compared to the fixed-gain PID.

The analysis of the control signals in Figure 8 reveals a distinct advantage of the Fuzzy-PID scheme regarding actuator usage. During the initial acceleration phase, the conventional PID controller exhibits severe saturation and high-frequency chattering in the sway force (τ_v) and sharp spikes in the surge force (τ_u). Such aggressive control actions are detrimental to the propulsion system, leading to increased mechanical wear and energy waste. In contrast, the Fuzzy-PID controller synthesizes significantly smoother force profiles with reduced peak amplitudes, effectively mitigating the initial transient shock. Regarding the yaw moment (τ_r), the Fuzzy-PID rapidly settles to the stable equilibrium torque required for the constant-radius turn, whereas the PID signal shows a slower convergence with residual fluctuations, indicating a struggle to counterbalance the coupled sway-yaw hydrodynamics effectively.

IV.2.2 Lemniscate Trajectory Result

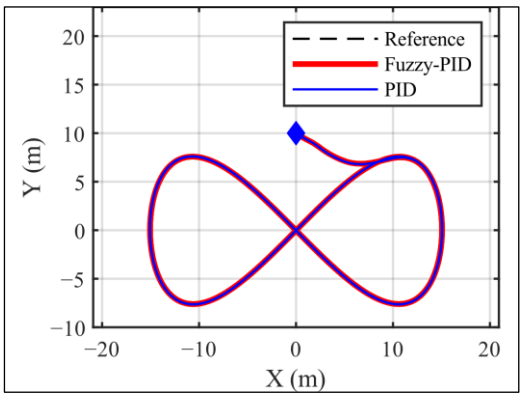


Figure 9: Following path of lemniscate trajectory.
Source: Authors, (2026).

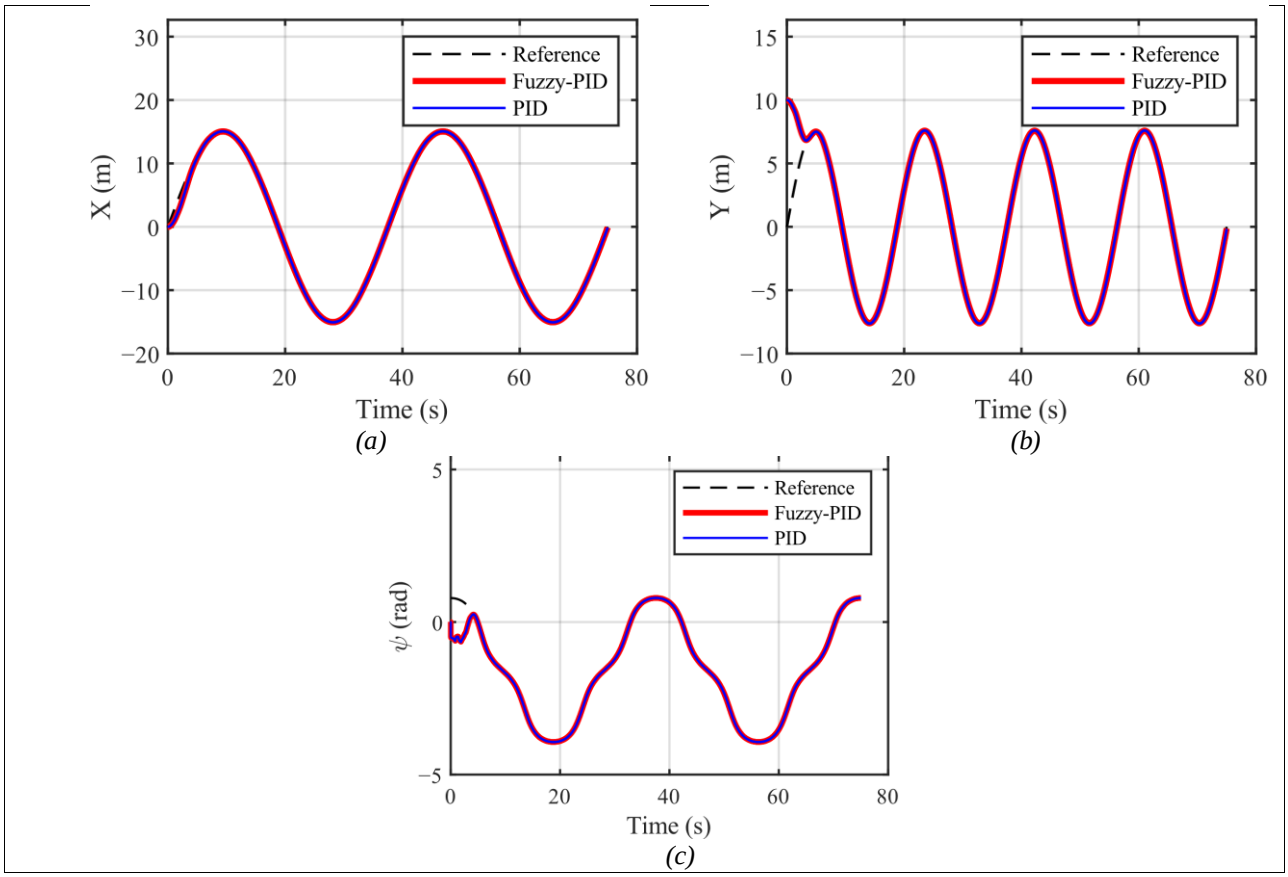


Figure 10: Lemniscate path-following] response (a) X-axis, (b) Y-axis, (c) ψ angle and (d) tracking path.
Source: Authors, (2026).

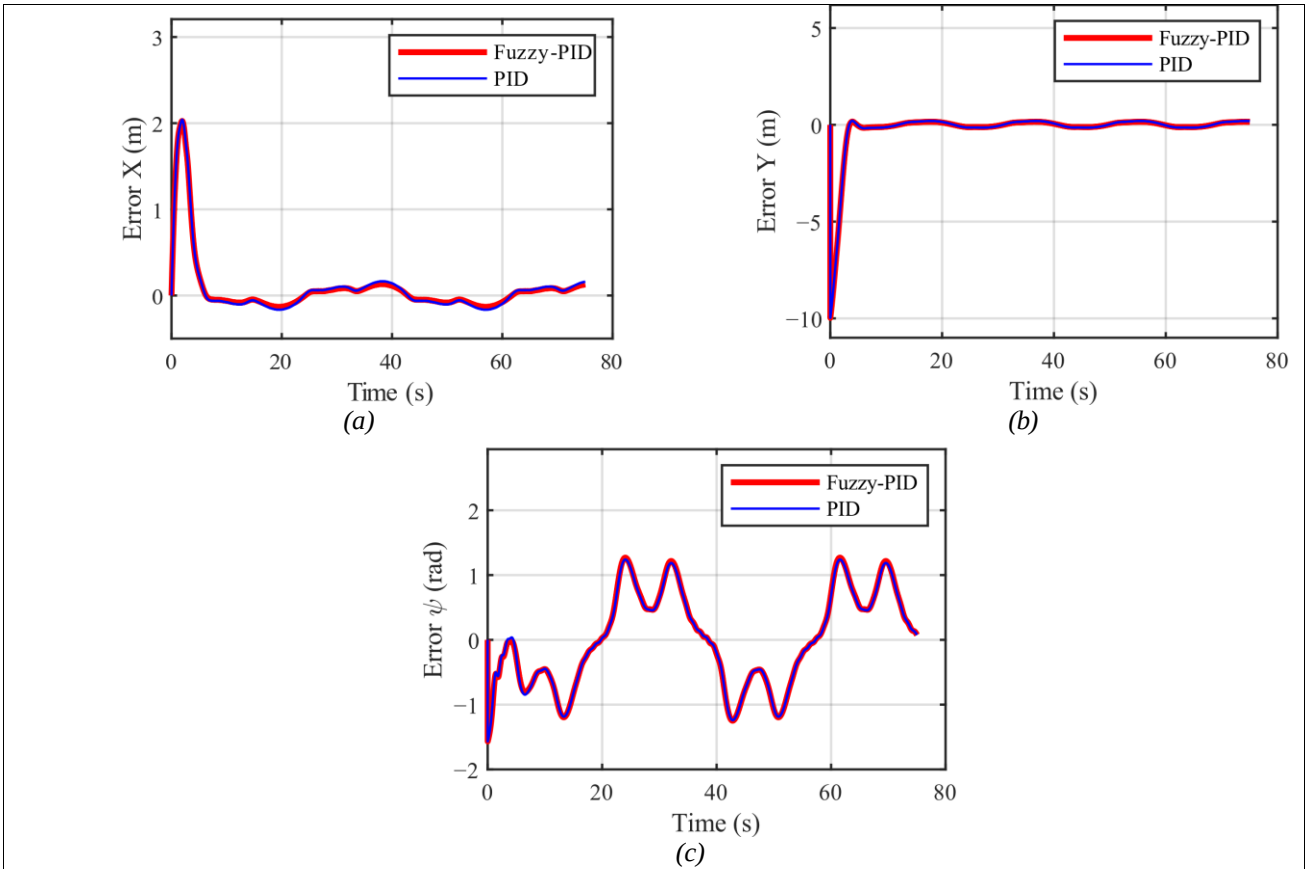


Figure 11: Tracking errors for following a lemniscate trajectory (a) error in X-axis, (b) error in Y-axis and (c) heading error ψ .
Source: Authors, (2026).

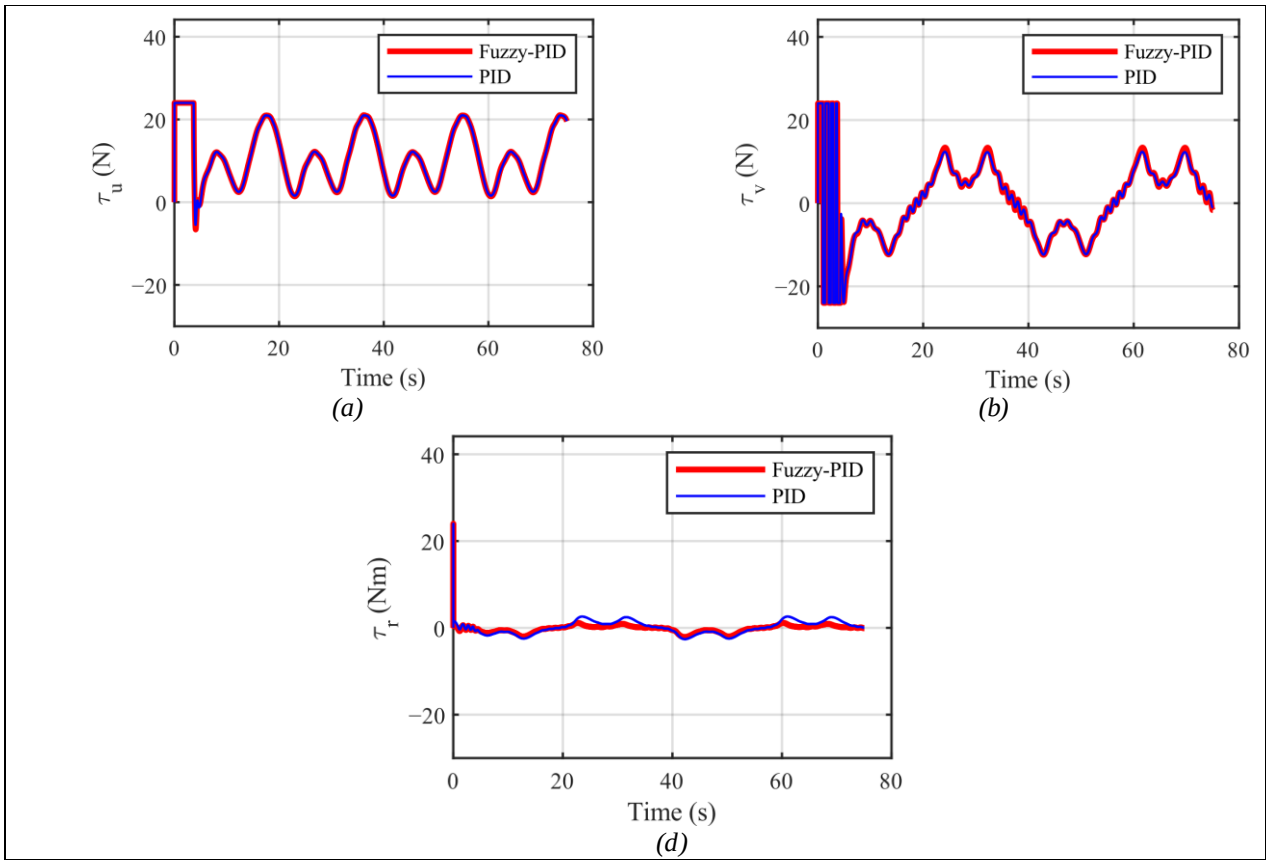


Figure 12: Control signals for following a lemniscate trajectory (a) torque in X-axis, (b) torque in Y-axis and (c) moment around the Z-axis.
Source: Authors, (2025).

The lemniscate trajectory (Figure 9) presents a more demanding scenario, imposing alternating curvature and progressively challenging the surge-sway-yaw coupling. Figure 11, which plots the tracking errors, confirms that the Fuzzy-PID is more effective at handling these dynamic changes. The PID controller exhibits quasi-periodic oscillations in the heading error ψ, synchronized with the reference trajectory's curvature reversals, and occasionally retains a small residual bias after transients. By employing adaptive gain tuning, the Fuzzy-PID controller significantly damps these oscillations faster, reduces the peak-to-peak error, and maintains superior accuracy. As shown in Figure 10, the Fuzzy-PID tracks the path more tightly around high-curvature segments and at the self-intersection point, whereas the PID tends to exhibit greater lag and overshoot. Overall, the fuzzy self-tuning mechanism improves the controller's robustness and adaptability to time-varying path curvature.

For the more complex lemniscate maneuver, the control signal performance presented in Figure 12 further underscores the robustness of the proposed method. The critical challenge in this scenario is the smooth reversal of the yaw moment τ_r at the trajectory's inflection point. The conventional PID controller struggles with this transition, producing a control signal characterized by noticeable ripples and jitter, which suggests that the fixed gains are over-reacting to the rapidly changing curvature and centripetal loads. Conversely, the Fuzzy-PID controller modulates the gains online to generate a clean, continuous torque curve, seamlessly transitioning between turning directions without inducing oscillatory behavior. Furthermore, the surge and sway forces (τ_u, τ_v) under Fuzzy-PID control remain within a tighter envelope compared to the PID, confirming that the adaptive mechanism not only improves tracking accuracy but also yields a more energy-efficient and actuator-friendly control strategy. This table summarizes the performance metrics (RMSE, IAE) for the ASV model under PID and Fuzzy-PID control.

Table 8: RMSE and IAE results of PID and Fuzzy-PID controllers under circular trajectory.

Trajectory	Controller	Axis	RMSE	IAE	Unit
Circular	PID	X	2.616284	53.225904	m
		Y	1.139514	26.534804	m
		ψ	0.564364	40.522358	rad
	Fuzzy -PID	X	2.597192	50.600787	m
		Y	1.119295	25.107095	m
		ψ	0.303748	14.629701	rad

Source: Authors, (2026).

Table 9: RMSE and IAE results of PID and Fuzzy-PID controllers under lemniscate trajectory.

Trajectory	Controller	Axis	RMSE	IAE	Unit
Lemniscate	PID	X	0.286467	10.736777	m
		Y	0.83173	18.315073	m
		ψ	2.598652	70.327672	rad
	Fuzzy-PID	X	0.276233	9.013106	m
		Y	0.827149	15.94486	m
		ψ	2.585115	70.043016	rad

Source: Authors, (2026).

To rigorously assess the tracking precision, the performance metrics defined in equations (16) and (17) were analyzed. Across the circular trajectory (Table 8), the Fuzzy-PID controller delivers the most significant improvement in heading control. Specifically, the heading RMSE computed via Eq. (16) decreases from 0.564 to 0.304 (a 46% reduction), while the IAE calculated via Eq. (17) drops from 40.52 to 14.63 (a 64% reduction). Position tracking in the X and Y axes also exhibits modest improvements in IAE, resulting in a visibly smoother XY path consistent with enhanced rejection of low-frequency disturbances. In the lemniscate trajectory (Table 9), the Fuzzy-PID controller continues to outperform the PID in translational motion, yielding lower RMSE and IAE values for both X and Y axes. The heading error ψ remains comparable to the PID baseline; however, the controller demonstrates greater stability.

Unlike the PID, which suffers from oscillatory behavior due to the continuous curvature changes, the Fuzzy-PID's adaptive gains provide a steadier response. Overall discussion: The simulation results confirm that the proposed Fuzzy-PID architecture consistently enhances translational tracking and minimizes accumulated error. It proves particularly superior in heading regulation during smooth maneuvering (circular path). While the performance on the complex lemniscate path is robust, future refinements could introduce a curvature-aware term into the fuzzy rules or apply gain scheduling based on the desired yaw rate to further optimize handling during sharp heading reversals.

V. CONCLUSIONS

This study examined trajectory-tracking control for an ASV with nonlinear, strongly coupled surge, sway, and yaw dynamics. A conventional fixed-gain PID was compared with a Fuzzy-PID controller within the same single-loop architecture on circular and lemniscate paths. The results are consistent across trajectories: Fuzzy-PID shortens settling time, reduces overshoot, improves path fidelity in the XY plane, and lowers accumulated tracking error, as confirmed by the RMSE and IAE tables. The advantages are most evident on the circular and lemniscate paths, where Fuzzy-PID removes or greatly reduces the steady-state heading bias in ψ that remains after the initial overshoot of PID, producing visibly smoother tracks.

In the complex lemniscate scenario, the proposed controller effectively manages the dynamic coupling during the direction reversal at the crossover point, avoiding the oscillatory behavior observed with the PID. Furthermore, control signals generated by the Fuzzy-PID are significantly smoother, which implies reduced actuator wear compared with the chattering observed in PID commands under strong coupling. The study intentionally kept a compact rule base and did not carry out exhaustive tuning of membership parameters, leaving scope to further improve robustness and repeatability. Future work will include systematic gain scheduling and parameter optimization across operating points, integration of state and disturbance estimation to suppress wave frequency content and reject slowly varying biases, coordination with energy-aware thrust allocation to respect power limits while maintaining tracking quality, and validation through hardware-in-the-loop tests and field trials under real wind, wave, and current conditions.

VI. AUTHOR'S CONTRIBUTION

Conceptualization and Methodology: Thien M. Tran.
Investigation and Discussion of results: Thien M. Tran and Tien V. Tran.
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Resources: Tien V. Tran.
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RESEARCH ARTICLE OPEN ACCESS

OPTIMIZATION OF ENERGY CONSUMPTION BY HVAC SYSTEM IN BUILDINGS USING DEEP LEARNING BASED CONTROL STRATEGIES

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ABSTRACT

The building industry, which uses the most electricity, has a significant potential to contribute to energy consumption reduction. Commercial structures use more energy than other types of structures because of their productive and logistic features. In these types of structures, one of the main energy consumers is the HVAC system which comprises of heating, ventilation, and air conditioning, especially in arid conditions. Energy-efficient environment friendly HVAC system conception and execution can significantly lower the use of energy and support ecologically sound growth in business establishments. On the other hand, inadequate implementation of methods for reducing energy use may lead to a decline in the welfare of the environment. Therefore, in order to achieve energy efficiency and maintain the optimum degree of temperature regulation, a comprehensive energy conservation strategy is needed. To accomplish this goal, model predictive control strategy-based methodologies are used in this work. To estimate how much energy will be used in commercial buildings, four deep learning-based methods are utilised: radial basis function networks, multi-layer perceptrons, artificial neural networks, and back propagation neural networks. To further cut down on energy use, four distinct control mechanisms are used. The performance of the suggested solution is examined using performance measures like Mean Absolute Error and Mean Absolute Percentage Error.

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I. INTRODUCTION

One of the main sources of energy use, both regionally and worldwide, is buildings. About 32% of the production of greenhouse gases connected to electrical power usage and 35% of worldwide ultimate utilisation of energy in 2019 were attributed to currently existent constructions [1]. One of the most substantial prospective industries for energy conservation is the present-day buildings. Cities with extensive industrial construction materials have significantly higher construction-related utilisation of energy. For instance, buildings in Chinese territories contributed to 69% of the town's greatest consumption of power in 2019; 48% of that amount came from business enterprises exclusively.

As a result, upgrading already-existing buildings has gained widespread support as a useful strategy for combating global warming as well as the associated energy crisis. A commercial office building's ability to house people's workspace is one of its main goals. People labour in their environments for 45 hours a week on aggregate [2]. Furthermore, two important elements that have an impact on worker health and efficiency in the workplace are exposure to environmental pollution and temperature regulation. For instance, it has been discovered that office job efficiency and intellectual capacity are correlated with interior warmth. Proximity to environmental contaminants and airborne particulates, is linked to a number of harmful health consequences.

Decreased warmth or low interior air quality creates an occupational danger and undermines efficiency, resulting in significant financial outlays for healthcare costs and missed work [3]. These days, energy is considered to be one of the highest essential needs and a cornerstone of any kind of financial system. Energy sustainability studies have been sparked by the consequent rise in costs of energy brought on by the world's lack of inexpensive resources for the production of energy. The literature revealed that petroleum and gas account for 83% of global energy production.

The world's consumption of energy has grown by 68% yearly over the past thirty years, while carbon dioxide emissions associated with energy have climbed by 63% as a result. The economic progress and rising standard of life have caused energy consumption to outstrip population growth by a factor of two [4]. Over time, the typical yearly growth in the requirement for energy has been 16%. Maximum demand for electrical power was 896 MW/year in 1979; by 2005, it had increased to 22,674 Megawatt yearly; by 2026, it is predicted to reach 63,000 Megawatt [5]. By the year 2055, the amount of power consumed—which stands at 14 trillion kWh today—could reach 55 trillion kWh [6]. The nation's financial and societal behaviour may be impacted if petroleum and coal reserves run out quickly due to the country's constantly increasing requirement for energy.

For the preceding two decades, building industry has experienced remarkable growth, especially in commercial buildings. According to previous studies, buildings use the majority of the electric energy produced, with the commercial buildings using only 12% of it all [7]. Energy is used in buildings for a number of purposes, such as illumination, warming and air conditioning, and other specialised uses. HVAC systems are regarded as an essential component of buildings in conditions of heat and are vital to the operation of these structures and the maintenance of a suitable indoor environment. Modern buildings need a significant amount of energy, primarily from HVAC (heating, ventilation, and air conditioning) systems. In hot and humid regions, the energy usage of the cooling system could surpass half of the building's overall energy usage.

As a result, upgrading HVAC systems is crucial since it can lower energy consumption [8]. In the meantime, interior ventilation and temperature regulation are significantly influenced by HVAC systems. Varying HVAC system layouts as well as operation principles will result in varying interior conditions and moisture levels, which are crucial markers of temperature regulation. Differences in airborne contaminants intensity can also result from modifications to ventilation and purification, and this can impact how much of these contaminants are exposed interior spaces [9]. The majority of energy used in commercial buildings is attributed to HVAC systems, as can be seen from the usual split of each year's energy consumption in buildings; this suggests chances for improving environmental sustainability while decreasing the expenditure of energy.

Numerous studies have addressed conservation and energy performance as they relate to the construction and functioning of HVAC systems. The findings suggest its possible to enhance in terms of HVAC energy utilisation and temperature regulation if appropriate management as well as administration procedures are implemented. The construction and implementation of energy-efficient HVAC systems have benefited from developments in science and technology, but it has also been discovered that the majority of adopted approaches and practices have led to unfavourable interior conditions. Researchers have created several innovative technologies in the last 20 years to enhance the comfort and energy efficiency of existing buildings [10]. Furthermore, constant certification has been established to guarantee acceptable interior conditions and sustained environmental sustainability in buildings that already exist.

By routinely adjusting temperature levels and achieving reductions in energy consumption, CC has assisted building owners in improving the machinery, especially the controls, to their first commissioning environments, identifying inefficient machinery, swapping out broken parts, and correcting improperly executed sequences. The significance of energy consumption in structures is widely recognised by architects and engineers worldwide, and as such, it has garnered considerable focus. In a similar vein, the significance of the quality of the interior environment is acknowledged and dealt with [11]. HVAC system designers typically prioritise high demand comfort and financial restrictions over energy efficiency and long-term quality of the interior environment.

In order to find chances for energy savings and enhance interior circumstances, it is crucial to evaluate the thermal and energy efficiency of currently operating commercial buildings. However, attempts to design energy-efficient buildings are frequently hampered by an inadequate understanding of how the climate and other environmental and design elements affect structures. The objective of this research is to find out how various HVAC system designs may conserve energy while maintaining a suitable degree of thermal comfort in a business building. A methodical procedure is used to create an energy efficiency model for a typical commercial building in order to accomplish the intended goal.

II. RELATED WORKS

Numerous control strategies have been created or put forth for HVAC systems. Nonetheless, many HVAC systems still use PID control and toggle between on and off switch due to their straightforward nature, which causes these systems to behave differently from one another. The inherent problems with HVAC control can now be addressed by adopting and implementing an appropriate control approach because of advancements in storage of information, analysing, and transmission technologies. This section is devoted to an investigation of HVAC system control methods, with a particular focus on the model predictive control (MPC) approach. The reason for the recent surge in research on MPC development for HVAC systems is its many inherent advantages.

The authors in [12] provided brief summaries of aggressive control and sensitive control strategies, respectively. Amplifier planning, effective regulation, resilient management, asymmetric and reactive management, and comprehensive supervision are some of the aggressive control strategies covered in [13-16]. The sensitive control systems, includes controllers based on evolutionary algorithms, fuzzy reasoning, as well as neural networks. The work in [17] included a study of mixed controllers, which are the outcome of combining aggressive control and sensitive control strategies. A thorough analysis of neural networks as well as evolutionary algorithms for HVAC system energy conservation was done in [18].

The work in [19] provided a description of HVAC techniques addressing the modelling of these systems, regulations, and subsystems. The work in [20] also addressed the efficient use of optimisation methods in monitoring control, including minimal squares, linear search, search including gradient, progressive nonlinear computing and adaptive computing. The survey conducted in [21] is based on sustainable HVAC system techniques, such as recuperation of heat, pressure distribution synthesis, and thermal retention. The work in [22] evaluated numerous autonomous regulators for HVAC systems, including

Parametric management, toggle control, time regulation with predetermined time improved take off and ideal begin and halt. The most widely used techniques for control, including PID management, as well as on or disable control, are included in conventional controllers. An increased and decreased cutoff are used by the toggle controller to govern the procedure within the parameters that have been provided [23]. To accomplish efficient process management, the PID controllers modulate the variable that is being controlled and exploit loss mechanics.

The chilling wrap groups, ambient temperature influence, hinder disparity rate regulation, availability pressure of the air control, availability room temperature control, the outside temperature regulation for component circulation units, evaporator source warmth management, and heating device administration are all dynamically controlled by conventional controlling devices [24]. The majority of research is devoted to developing PID controller auto tweaking and efficient adjusting techniques. The mathematical framework for regulating systems, which includes advance planning management, quadratic management, ideal management, and MPC, is the cornerstone of aggressive controllers. A chaotic system is split into independently normal areas for amplitude planning control.

A different combination of gains is used in the construction of the horizontal PID control scheme for each of the horizontal areas. The literature also suggests using self-tuning PID impulse controllers to adjust the device's outputs according to the system's status. In [25], a radiator-based air conditioning unit has two controllers that are adjusted to match various levels of temperature requirement situations. A parametric controller with outputs dependent on the discrepancy between the observed source atmospheric pressure and the initial setting is used in [26] to regulate the incoming air level. In the realm of control system design, aggressive controller techniques are widely recognised.

Although nonlinear dynamic approaches are efficient, designing a controller necessitates the identification of secure conditions and intricate computational analysis. The design of shifting logic between areas and the identification of proportional areas are essential for gain planning management architecture. It can be laborious to manually adjust several PID controllers in these areas. Because they can reject perturbations and time-dependent variables, effective supervision and precise regulation are potential approaches for HVAC process control. Generally speaking, it is challenging to provide durability in HVAC systems because building conditions can vary. Many of these methods also call for the specification of extra parameters, which makes the integration into HVAC systems potentially challenging and unfeasible [27].

Because it can incorporate perturbation disapproval, restriction administration, stationary adaptive control, and cost-effective strategies into controller layout, Model Predictive Control is one of the most promising aggressive control systems. Digital controllers have made it possible for relatively new sensitive control approaches, like those based on Fuzzy Reasoning (FR) and Artificial Neural Networks (ANN). An ANN is trained using system functioning data, which it then uses to fit a complex computational model. The method itself is a black box simulation approach, meaning that knowledge of the mechanics behind the procedure is not essential. This technique is widely employed in forward feedback management [28]. Combining aggressive and sensitive control strategies results in mixed controllers.

Artificial neural networks, which are sensitive control techniques used at greater tiers of the management structure, and dynamic controllers, which are aggressive control techniques used at lower tiers, make up mixed controllers. FR can be used to calibrate the benefits of controller in PID applications. The complementary nature of aggressive and sensitive control strategies allows for an amalgamation of each of them to tackle problems that may not be conducive to a particular technique working alone. A semi-dynamic fuzzy system for region regulation of temperature employing transmitter-heater energy management and programmable controller for air flow management [29] are two examples of hybrid control.Mixed control acquires the negative aspects of both aggressive and sensitive control techniques, even as it gains from their distinct advantages.

For instance, creating a sensitive control component necessitates user convenience and enormous amounts of information for instruction, but developing and tweaking an aggressive control component may prove problematic given the functional parameters commonly seen in these systems. The MPC has numerous benefits when taking HVAC control system parameters into account. HVAC systems have a lot of tedious, time-constrained operations, and they are affected by dynamic both interior and exterior perturbations. The operating conditions that the system experiences are diverse. There are speed and frequency constraint restrictions on the controllers. Energy has an adaptable cost mechanism in multiple locations. The optimum controller should be able to manage actuator restrictions, fluctuating cost values, varied working conditions, and dynamic perturbations in the face of all these difficulties [30].

II.1 MOTIVATIONS OF CURRENT RESEARCH

It appears that a lot of control systems have a few issues when it comes to HVAC control. For example, conventional controllers perform more impulsively or slowly beyond of the frequency range and need to be adjusted manually. For the controller design, the aggressive controllers necessitate the identification of secure balance locations and an exhaustive statistical analysis. Sensitive control is not practicable for commercial applications since it requires large amounts of knowledge for instruction and take a long time. As an alternative, MPC addresses a number of the previously me]ntioned issues and is employed in the current research.

III. PROPOSED METHODOLOGY

III.1 HVAC SYSTEM MODELS

One of the significant concerns in the research on HVAC systems is how these standard systems would handle the various building demands. These buildings have been connected to the two most popular HVAC systems such as the ventilation coil with a specific exterior air device and an adjustable airflow system as shown in Figure 1. An adjustable air flow system is an entire system that modifies the source air flow speed while maintaining a uniform source ambient temperature to correspond with the decrease in area load during quasi functioning of the system. By doing this, the device preserves an established area parameter—typically the air temperature—while simultaneously conserving motor energy at a decreased flow.

The source humidity level, which is set at 18 ◦C, regulates the primary warming circuit and the secondary cooler coil. Through the air warming containers, necessary prerequisite airflow is transported to the regions, if necessary, it is further heated. The steaming water circuit and suspension in each air reheating box are controlled by an area temperature gauge and have a bidirectional suspension function. This indicates that the unit starts at lowest air circulation and lowest steaming water discharge while in warmth mode. The steaming water flow is raised until it reaches its highest point in response to a rise in the temperature demand. The ventilation valve begins to vibrate if the load is still not reached.

The exterior air blending container, which has a reducer that combines come back and exterior air proportionately to reach the combined air temperature threshold, regulates how much exterior air is supplied. In order to take advantage of free the cooling process, the reducer unit is used to enhance the amount of exterior air wherever feasible. A fluctuating air temperature threshold installed on the source end can enhance the effectiveness of adjustable airflow system. Dynamic temperature regulation can both improve the amount of ventilating capacity and decrease the amount of energy needed for warming. This is accomplished by determining if a particular warming box is operating at an appropriate velocity during chilling periods.

If so, the building administration system raises the ambient temperature of the circulating airflow. In essence, an adjustable temperature and quantity system is an adjustable airflow system with constantly variable source temperature regulation. The ventilation coil with specialised exterior air framework, is a system made up of a moisture distributing component and regions pipe coils that distribute completely air from the outdoors exclusively to satisfy fresh air necessities. Unlike the adjustable airflow system, the cool air delivery range is managed by a temperature-controlled detector that adjusts the temperature between 18 and 23 ◦C to optimise the benefits of unrestricted air conditioning.

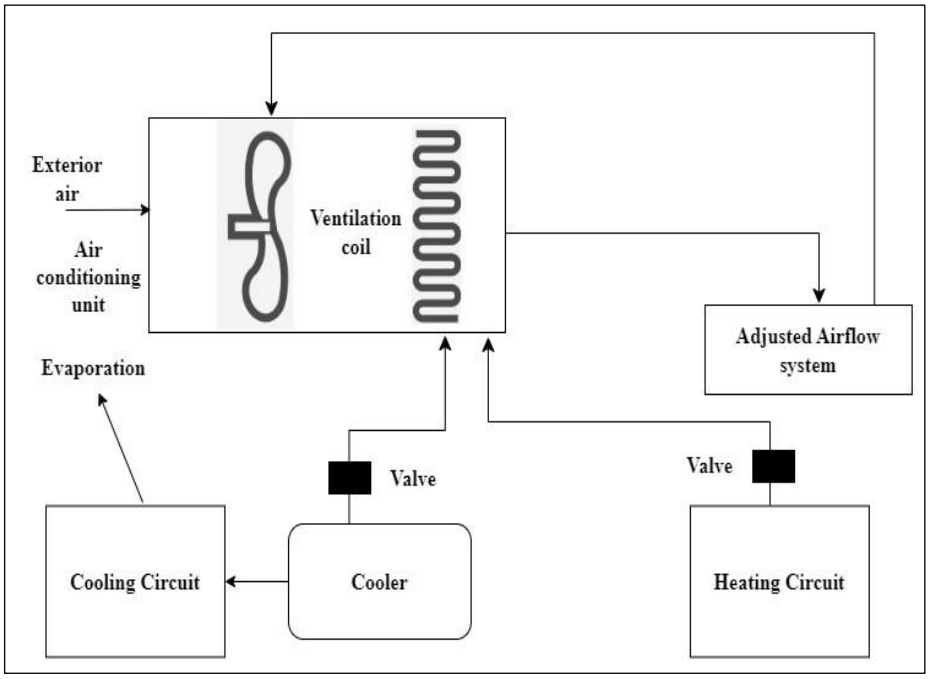


Figure 1: HVAC System model.
Source: Authors, (2026).

However, compared to the adjustable airflow system, the source air capacity is much smaller, which limits the amount of unrestricted air conditioning. A ventilation coil is made up of coils for both cooling and warming as well as a blade for redistributing the air in the space. A regional regulator maintains the environmental conditions inside the space by adjusting the fluid rate that travels through the cooling or warming circuit in response to the requirements in each area. The rotating circuit motor is turned off when neither warming nor chilling is necessary. Implementing an energy recuperation device, which transfers warmth between the source airflow and the expelled air, can prevent the outside environment. Passage valves on the thermal recuperation unit enhance ventilation by reducing the exchanger that conducts heat.

Depending on the type of system, multiple models were used for the characteristics of the source of airflow fan. Adjustable flow blades with a 35% decline frequency are utilised with the adjustable airflow system. Suction blade absorbers manage the system's internal air circulation. The ASHRAE Secondary Toolkit is the underlying basis of the ventilator specifications [20]. Continuous output blowers drive the system's air dispersion. For the ventilation coil system with an energy recuperation device and the adjustable airflow system, the ventilator's inflation rate is adjusted to 850 Pa. Because there is less impedance in the air circulation circuit for the ventilation coil system, the pressure rise is minimised to 500 Pa.

For both systems, both the warm and chill water temperature regimes were identical. The chilled water circuit runs in the 6/13 ◦C regime, while the source warm water temperature is fixed at 84 ◦C with a maximum temperature drop of 10 ◦C. The transport of hot or cold water in main system is maintained by steady-speed motors. When the fluid flow velocity in the radiators is lowered during reduced capacity procedures, excess warm and cold water supply is channelled through diversions.

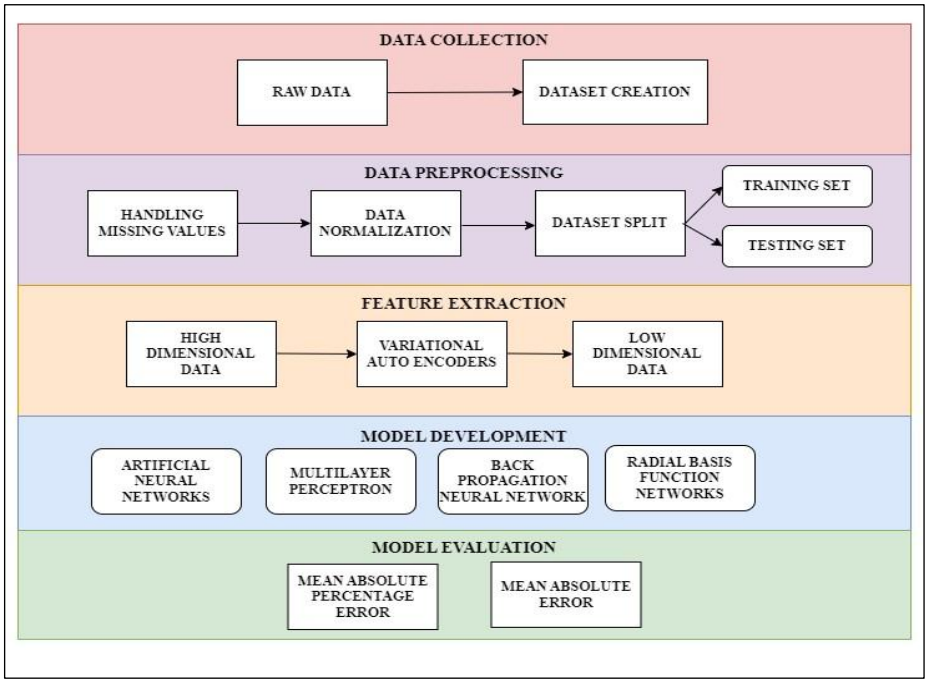


Figure 2: Proposed Framework.
Source: Authors, (2026).

III.2 DATA COLLECTION

A substantial amount of training data that can accurately depict the link between inputs and outputs is required in order to train the prediction model. These data for the study were gathered from the test platform, which simulates a range of working environments. In order to account for a variety of working settings, the simulation runs for five years with the interior temperature setpoint being arbitrarily set between 20 and 28 ℃ for each hour (such as varied indoor temperature and weather conditions). The building model is configured to operate in the free cooling mode, which allows for an infinite cooling supply. In this mode, the system is programmed to automatically supply a specific amount of cooling that satisfies the need to maintain the interior temperature at its setpoint.

The power consumption under various operating situations can be derived by integrating with the matching steady-state model of the HVAC system. It should be noted that the hot summer and warm winter weather zones are represented in the used meteorological data. Thus, all that is required year-round is cooling. A five-minute simulation interval is chosen. Consequently, twenty sets of data are generated every hour, but only the set in the final point is gathered. The reason for this is that the envelope's and the internal mass's thermal inertia prevent the cooling demand at the start of each hour from accurately reflecting the actual cooling requirement for that hour. As a result, a total of 45,600 sets of data are gathered.

III. 3 DATA PREPROCESSING

Typically, missing or anomalous data is found and fixed (or eliminated) during the data cleaning process. Eliminating data that is useless for the machine learning-based controller's actual use is the primary goal of this investigation. The predictor's prediction accuracy can be greatly improved by this implementation. Two categories of data must be eliminated. First, all datasets outside of working hours are deleted, leaving just those collected between 6 a.m. and 9 p.m. The HVAC system doesn't offer frequency regulation services outside of working hours, thus the machine learning-based controller is only utilised during those times.

Secondly, the datasets with 0% power usage are eliminated. The explanation goes like this. The following scenarios could arise because the indoor temperature setpoint is arbitrarily determined during the data production and collection procedure. While the indoor temperature setpoint is relatively high, the external temperature is relatively low. Since the HVAC system doesn't need to be turned on for cooling, there is no electricity consumption. It is evident that the HVAC system is unable to perform frequency regulation service because it does not even turn on. As a result, the datasets with negligible power consumption are likewise eliminated.

III.4 FEATURE EXTRACTION

An encoder that receives input and creates a reduced version and a decoder that returns the revised version to the source data make up an autoencoder network, also known as a variational autoencoder. The encoder produces two vector formats: a vector to measure the mean value and a vector to denote the variance value. Its infinite hidden space facilitates sample selection and restoration. Because the code being encoded has a significantly lower section frequency than the source data, the challenge is in programming the algorithm to acquire an appropriate and transferable hidden space.

This model gives a likelihood dispersion definition for each hidden property. The m th element of mean and variance, which together make up the components of a sequence of arbitrary parameters of length K, represents these values of the m-th random variable, Am, which was sampled to create the resultant encoded data. Even though these values remain unchanged, the original encoding for the identical source data will vary significantly on every attempt due to randomization. The average of a variable establishes the central point of encoding of source data, whereas the variance value establishes the region or how much a source data may diverge from its average.

The KL divergence allows for continuous restoration and the production of newly formed information by acting as a optimizer in the elimination function. Then, using an assortment of samples drawn from each hidden phase dispersion, the decoding system creates a vector as input for the decoder model in an attempt to replicate the input that was originally provided. Instead of using reverse propagation, which is usually used to determine the connection between every channel variable and the final outcome's loss, expands the values of the parameters. For approaches involving randomly selected examples, reverse propagation is inadequate. As reallocating parameter values optimises the distribution's stochastic variables, the ability to choose samples arbitrarily from the spectrum of values remains intact.

III.5 MODEL DEVELOPMENT

III.5.1 Artificial Neural Networks

Artificial neural networks are mathematically reduced representations of biological neural networks that possess the capacity to learn and offer significant answers for problems including nonlinearity and high levels of complexity. The ANN approach can tackle a wide range of problems and is faster than its conventional procedures. It is also robust in noisy situations. These benefits have led to the widespread adoption of ANNs in real-time applications. In hydrology, three- and four-layered neural networks are most frequently utilised. The first layer receives input, the intermediate layers process the data, and the final layer displays the results.The processing units that are present in every layer of the network are referred to as neurons or nodes.

The first layer to the intermediate layer and the intermediate layer to the final layer are where information flows and is processed in the network. The number of neurons and hidden layers in the network are obtained through test-run based on the specific situation. In order to forecast the input-output relationship, each link is given a synaptic weight that represents the relative connection strength of two nodes at both ends. The sigmoid transfer function is a frequently utilised activation function. The sigmoid function can be used to map a nonlinear process since it is continuous and differentiable everywhere. The main application of the backpropagation technique is in feed-forward neural network training. Every input pattern in the training dataset is processed by the network in this approach, moving from the first layer to the final layer.

III.5.2 Multi-Layer Perceptron

Due to the limitations of the perceptron with one layer to solve exclusive OR usecase, this backpropagation model with multiple layers disperses errors throughout the network using the delta learning rule. It is made up of three parts: input, output, and intermediate (hidden). The node, which contains source data and resultant data is interlinked with every other node in the layer below it and serves as the processing element in each MLP layer. As a consequence, the resultant of one layer happens to be the source of the subsequent layer below it. Data is received by the source layer and sent to the concealed layer. This means that the classification problem determines the count of concealed layer. The output layer generates the outcomes based on the number of components in the final layer after processing data from the preceding layers.

III.5.3 Back propagation Neural Networks

One of the most popular machine learning techniques in the field of research is the feedforward neural network, which is optimised by the back propagation algorithm in a neural network called BPNN [24]. For the majority of forecasting situations, a BPNN can, in theory, be used as a multipurpose estimation to predict the underlying complex nonlinear connection. The source, the intermediate, and the resultant layer are often present in a BPNN. Additionally, the research challenge and goal determine how many input and output neurons the BPNN has. Furthermore, the intricacy of the research problem affects the BPNN method's basic design, which includes the number of concealed layers and nodes in each concealed layer. Weights establish a relationship between each layer and the one below it. An activation function is then obtained by multiplying all of the node terms from the preceding layer by the corresponding weight parameters, which add a bias. The BPNN uses the activation function as the foundation to approximate nonlinear latent functions. Additionally, the backpropagation technique is used to modify the connection weights.

III.5.4 Radial Basis Function Networks

A feed-forward neural network with three layers—an input layer, a hidden layer, and an output layer—is called an RBF neural network. Each buried unit represents a single RBF with a corresponding width and centre position. Kernels or centroids are frequently used to identify these covert units. Each output unit weights and summarises the hidden units. A vast class of functions that may be described as linear combinations of the chosen RBFs can be displayed using a collection of RBFs.

IV. RESULTS AND DISCUSSION

IV.1 DATASET DESCRIPTION

Using Ecotect simulation software, 768 entries from twelve different building types made up Dataset 2. Twelve different building kinds were represented by eighteen 4.5 x 4.5 x 4.5 metre basic cubes. As a result, while the buildings' surface areas and dimensions vary, their volumes do. Each of these structures was designed to resemble an Athens, Greece, residential building. The purpose of this dataset is to look into how dimension affects a building's cooling load (CL). Because of this, the façade system's material attributes, such as the U-values of wall with 1.78 W/m2K, windows with 3.38 W/m2K, floors with 0.86 W/m2K, and ceiling with 0.50 W/m2K, were applied to all fifteen buildings. Latent heat and illumination levels were adjusted to 2 W/m2 and 300 lux, respectively. To model the air conditioning load of the domestic construction, the following characteristics such as position, the amount of surface space, masonry region, ceiling region, total elevation comparative cohesiveness, window region, and window dispersion were employed. The two configurations used in the studies to recreate the building were with and without window options.

Four different types of window region ratios such as 15%, 30%, and 45%—were applied in the proposed system. There are five glazing distributions that are taken into consideration: 40% windows on each face; 60% windows on the west end and 25% windows on the other ends; 60% windows on the south end of the building and 25% windows on the remaining ends; 60% glazing on the north end and 25% windows on the other ends; and 60% windows on the east face and 25% windows on the other ends. Finally, each of the building shapes were turned to point to one of four directions.

IV.2 EXPERIMENTAL EVALUATION

Experiments were conducted using the four models such as Artificial Neural Networks (ANN), Multi-layer Perceptron (MLP), Back propagation Neural Networks (BPNN) and Radial Basis Function Networks (RBFN) and the results are tabulated in Table 1. The metrics such as Mean Absolute Error (MAE) and Mean Absolute Percentage Error (MAPE) are computed for each of the techniques to analyse the performance of the models for predicting the consumption of energy resources. It can be seen that the ANN model produces MAE of 63.86 during training and 78.32 during testing. Also, ANN produces MAPE of 7.56 and 8.65 during training and testing respectively.

Table 1: Experimental results.

Techniques		Mean Absolute error	Mean Absolute Percentage error
Artificial Neural Networks	Training	63.86	7.56
	Testing	78.32	8.65
Multi-layer Perceptron	Training	56.34	6.35
	Testing	48.25	7.24
Back propagation Neural Networks	Training	72.36	5.32
	Testing	65.52	4.74
Radial Basis Function Networks	Training	43.25	4.36
	Testing	36.85	4.12

Source: Authors, (2026).

MLP model exhibited MAE and MAPE of 56.34 and 6.35 during training correspondingly. During the testing periods, MLP showed 48.25 MAE and 7.24 MAPE. The MAE and MAPE values produced by BPNN model during training was 72.36 and 5.32 respectively. During testing, it was about MAE value of 65.52 and MAPE value of 4.74. RBFN model exhibited 43.25 MAE and 4.36 MAPE during training phase and 36.85 MAE and 4.12 MAPE during testing phase. Further, the prediction outcomes achieved by each of the model for energy consumption by the buildings is presented in Figures 2 to 5. The results revealed that the models were capable enough to produce prediction outcomes closer to that of the actual values and the RBFN model produced predictions which less deviations from the original results.

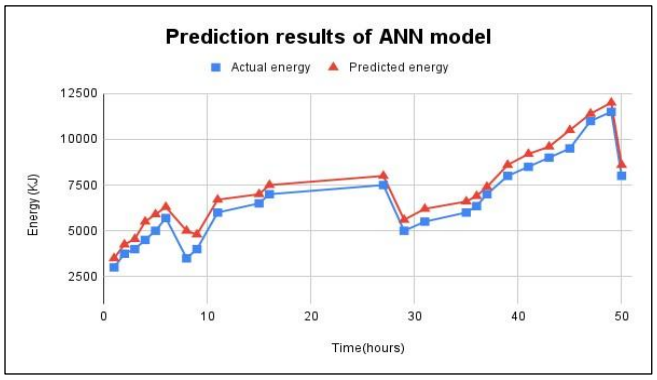


Figure 3: Prediction results of ANN model.
Source: Authors, (2026).

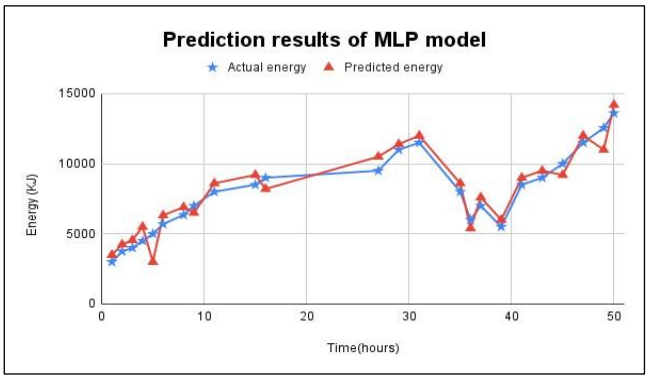


Figure 4: Prediction results of MLP model.
Source: Authors, (2026).

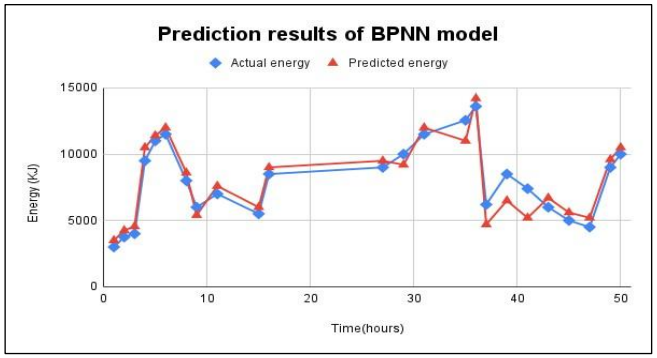


Figure 5: Prediction results of BPNN model.
Source: Authors, (2026).

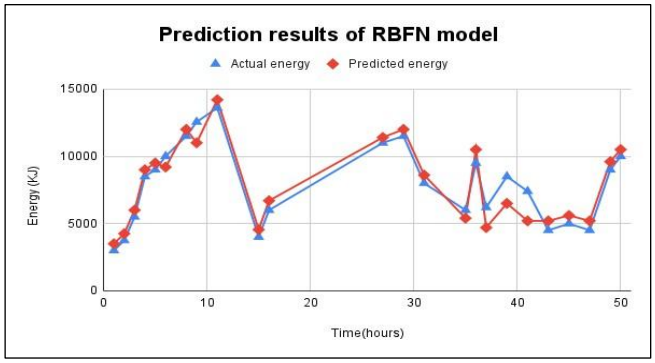


Figure 6: Prediction results of RBFN model.
Source: Authors, (2026).

In addition to this, four control strategies were further suggested in order to minimize the energy consumption by the buildings. This research initially sought to determine how altering the temperature threshold for warming and cooling, affects the total use of energy. One of the thermocouple approaches utilised in HVAC systems is to regulate the temperature threshold, which plays a big part in a building's energy consumption for heated space. Reducing the wintertime warming temperature threshold in a building located in an arctic climate can result in significant energy conservation. The results obtained for temperature threshold approach are presented in Figure.

Lowering the warming temperature threshold results in a notable decrease in the yearly overall energy usage. There is a 25% as well as 5% decrease in the usage of fossil-fuel-powered gas and electric power, respectively. The yearly energy demand dropped to 385.56 kWh/m^2 from 520.76 kWh/m^2. The pace at which energy demand is reduced annually is roughly 21%. Lowering the warming temperature threshold in the building lowers the energy consumption of the ventilation turbines and blades in addition to the energy used for interior heating.

During the months when the air conditioning system is not in use, the building's aggregate energy use remains unchanged when the cooling temperature threshold values are lowered. Whenever a cooling unit is in service during the winter months, overall consumption of electricity falls. For instance, there was an 8% drop in overall usage of energy in September. During the months when the air conditioning fails to function, the total expelled carbon dioxide emissions do not change. Because less energy is used during the months the cooling system is running, fewer greenhouse gases are generated altogether. The building's total displaced greenhouse gases output, which is 95,485 kg, reaches its smallest level in July.

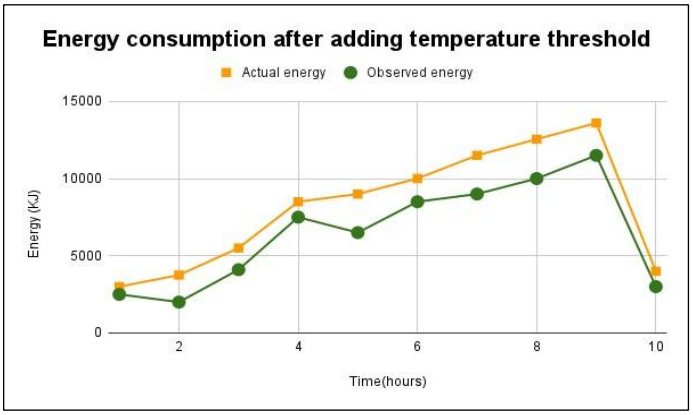


Figure 7: Energy consumption after adding temperature threshold.
Source: Authors, (2026).

An proactive or introspective conditioning technique called night time aeration is used, particularly in large structures, when the facility is situated in an area with an appropriate overnight temperature. Using aeration at twilight is an intriguing approach to lower the amount of energy required for building conditioning without sacrificing heat retention. The basic idea is to use spontaneous or ventilating machinery to use the comparatively cold conditions, surrounding air during the course of the night to regulate the air inside along with structural elements, so acting as a source of heat for the next day's work. All of the building's conditioned spaces aside from the workplaces are occupied and kept cool for the entire period of the day.

Because of this, during the hours that the workplaces are closed, night time aeration can be turned on for workplace buildings. Figure 8 illustrates how the aeration of the workplace areas at night affects the building's energy consumption. The terminal building's energy usage for conditioning is decreased by using night time aeration in workplace spaces. However, in order to ventilate the offices at night, the combustion and circulation blowers installed in the buildings must be turned on. As a result, even if the air condition elements are deactivated in the starting point modelling, the building's overall energy use goes up. Consequently, it was determined that it is not financially feasible to provide night time aeration for the office areas.

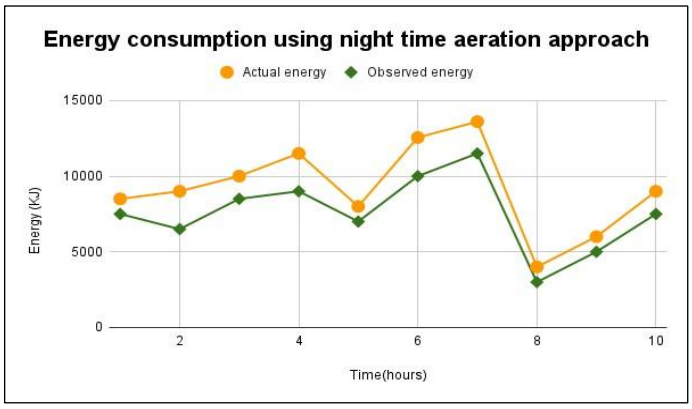


Figure 8: Energy consumption using night time aeration approach.
Source: Authors, (2026).

When the exterior air temperature is adequately cold, air handling units may be employed in HVAC systems as an additional way to save a substantial amount of energy.

Reducers, which give the chilling system unlimited cooling, come in two different forms. This technique reduced the amount of energy used for cooling by suggesting and evaluating the usage of a reducer, which is added in parallel to the chilling unit's reservoir unit. The building's cooling has been provided by chillers with air conditioning. During the winter months, cold water distribution motors move the cold water produced by the cooling units, which is at a temperature of 9 °C. The results obtained by applying this approach is presented in Figure 9.

When the temperature of the exterior air is less than the recirculating temperature, no area of the building needs to be chilled, according to an investigation into the simulation findings. However, because of thermal advancements, the temperature of the interior air in some places may suddenly rise over the cooling initial value. The amount of energy used for cooling rises by a negligibly small amount as a result of this spike in temperature. Therefore, employing this technique hasn't resulted in an improvement in the energy utilisation. As a result, this approach is not advised for usage as it did not lower the building's energy usage and greenhouse gas emissions.

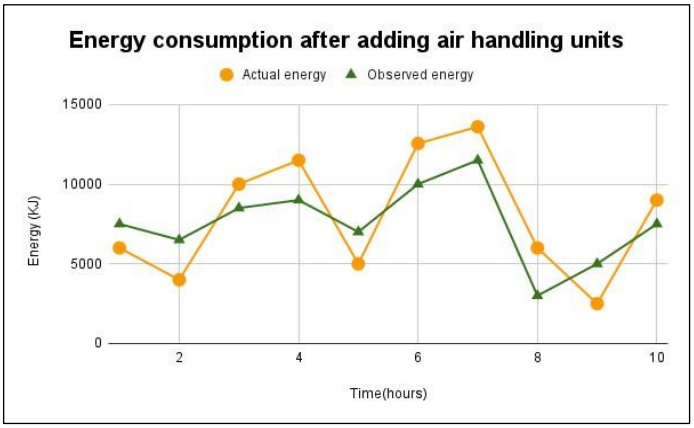


Figure 9: Energy consumption after adding air handling units.
Source: Authors, (2026).

One effective way to lower a building's excessive consumption of energy is through recuperating energy. A radiator is often used in air conditioning units to lower the amount of power required for a structure's thermal or cooling needs. Based on how they operate, the air conditioning units that are currently in the building were employed for this study. These consist of a heat radiator that uses 75% of exterior air to achieve the statutory circulation demand.

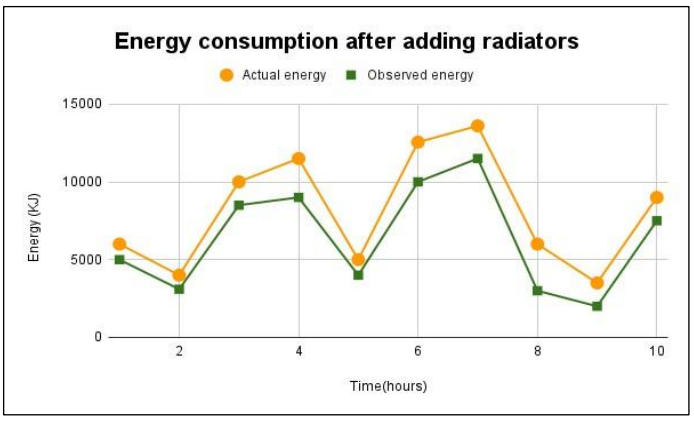


Figure 10: Energy consumption after adding radiators.
Source: Authors, (2026).

Using a radiator is found to lower energy usage throughout the year . Compared to other months, the coldest months see a far greater fall in energy use. For instance, the introduction of a radiator reduces the energy consumption by 52% to 543,632 kWh from the March use of 834,437 kWh. The entire amount of transferred greenhouse gases is lowered as a result of the decrease in energy usage.

V. CONCLUSION

When suitable monitoring and maintenance procedures are implemented, HVAC systems can present significant opportunities for energy conservation. The various energy-saving techniques that can be used with the HVAC system to lower energy usage while decreasing greenhouse gas emissions are discussed in this research. The HVAC system in the commercial buildings uses the most energy when compared to other structures, according to an energy analysis of the building's framework.

In this regard, four different deep learning algorithms were leveraged to forecast the energy usages of the buildings and it was inferred that Radial Basis Function Networks produced predictions with lesser errors and deviations. In addition to this, four control strategies were recommended for further reduction in energy consumption. In terms of energy, expenses, and environmental impact, approaches including modifying the temperature thresholds and installing radiators have been demonstrated to be functional. However, it is discovered that the night time aeration and adding air handling units are not financially a feasible option.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: K. Rajalakshmi, R. Thirumalai Selvi.
Methodology:. K. Rajalakshmi, R. Thirumalai Selvi.
Investigation: K. Rajalakshmi, R. Thirumalai Selvi.
Discussion of results: K. Rajalakshmi, R. Thirumalai Selvi.
Writing – Original Draft: K. Rajalakshmi, R. Thirumalai Selvi.
Writing – Review and Editing: K. Rajalakshmi, R. Thirumalai Selvi.
Resources: K. Rajalakshmi, R. Thirumalai Selvi.
Supervision: K. Rajalakshmi, R. Thirumalai Selvi.
Approval of the final text: K. Rajalakshmi, R. Thirumalai Selvi.

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RESEARCH ARTICLE OPEN ACCESS

INVESTIGATION OF FRACTURE BEHAVIOR IN MODE I AND II FOR REPAIRED EDGE-INCLINED CRACKS WITH TRAPEZOIDAL COMPOSITE PATCHES

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ABSTRACT

Numerous studies have shown the effectiveness of composite patch repairs. However, many of these investigations primarily address the enhancement of repaired components' lifespans, focusing mainly on opening mode (Mode I). In real-world applications, cracked components often undergo mixed mode loading that includes both Modes I and II. This article examines the stress intensity factors for Modes I and II in relation to the fracture behavior of a tensile-loaded aluminum plate (Al 7075) featuring a 45° inclined lateral crack repaired on both sides with a unidirectional graphite/epoxy composite trapezoidal patch. A three-dimensional finite element model of the repaired specimen is employed to explore how composite patching affects critical crack tip parameters (KI, KII, and stresses). This approach demonstrates how the properties of the composite and adhesive impact the repaired structure's behavior and the effectiveness of the bonded composite patch. The findings reveal that trapezoidal composite patch can significantly reduce the stress intensity factors KI and KII, thereby extending the service life of cracked structures

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I. INTRODUCTION

The composite repair methodology has established itself as an effective and pragmatic solution for repairing cracked structures. This approach involves bonding a composite patch to the damaged areas of the structure, providing multiple benefits: it avoids additional stress concentrations, enhances the stiffness-to-weight ratio, accommodates complex geometries, and enables effective repairs of irregular components. Fiber-reinforced polymers are increasingly preferred over metallic patches due to their superior mechanical properties, as well as their resistance to fatigue and corrosion [1], making them ideal for structural applications. Numerical analysis has become a cornerstone in evaluating composite patch repairs, widely accepted within the research community as a method to assess performance without relying on sophisticated instruments [2]. Critical parameters such as the stress intensity factor (SIF) and the J-integral, alongside interfacial adhesive stresses, are essential for estimating both repair efficiency and durability.

While much of the existing literature has focused on straight cracked panels subjected to Mode I load such as [3-5], real-world applications often involve mixed-mode loading conditions, which present significant practical challenges and opportunities for further investigation [6]. The Finite Element Method (FEM) is a powerful tool for examining structural performance. The Finite Element Method (contour integral) stands out by allowing for the modeling of cracks in a mesh-dependent fashion, facilitating the simulation of crack intensity factors investigation. Notable studies, such as those by [7], have successfully applied XFEM to analyze 3D crack models, while Talebi et al. employed both the cohesive zone model (CZM) and XFEM to simulate adhesive damage and crack growth in structural panels. Other researchers have utilized the Cohesive Zone Modeling (CZM) method to assess failure mechanisms in repair processes, as demonstrated in the studies by [8] and [9], as well as [10]. Who has shown that the stress intensity factor for patched cracks exhibits asymptotic behavior as the crack length increases.

This phenomenon arises because stress is effectively transferred to the patch through the adhesive layer, highlighting the importance of adhesive properties in repair performance. Most studies focus on plates with non-inclined cracks, but this is not always the case in practice [6]. In fact, several studies have emerged in this area, such as the work of [11], who calculated the stress intensity factor in mixed mode for an inclined central crack. These oblique cracks pose additional challenges in terms of diagnosis and repair. Standard techniques developed for orthogonal cracks do not always apply optimally. The influence of the composite's geometric properties on repair effectiveness has been a significant focus in the literature. By [12] used multi-objective optimization design of composite patch repair, while [13] and [14] conducted numerical analyses comparing octagonal, circular, and elliptical patch designs.

Their findings indicate that the shape of the patch plays a crucial role in determining the stress intensity factor at the crack tip. Selecting an appropriate patch shape can significantly lower stress levels at the edges, ultimately enhancing the durability and effectiveness of the repair This paper presents a comprehensive investigation of an inclined cracked panel reinforced with a composite patch using the contour integral method. The study focuses on numerical analysis, using the commercial software Abaqus. The entire assembly is subjected to Mode I and II loading, enabling the determination of the stress intensity factors and interfacial adhesive stresses, to reveal the critical stress zones at this interface for a trapezoidal patch. The patch is installed symmetrically with respect to the plate by means of a thin adhesive layer to cancel out the bending effect due to displacement of the assembly centroid and enhancing the repair effectiveness thereafter.

II. MATERIALS AND METHOD

II.1 GEOMETRIC MODEL

In this study, the repair configuration for edge-inclined cracked plates was modeled using a three-dimensional finite element approach in ABAQUS 2017. To reinforce the crack area, a trapezoidal double-sided patch made of eight layers of Graphite/Epoxy composite was bonded to both surfaces of a Aluminum 7075 alloy plate. The patch was secured with a 0.2 mm layer of Masterbond (EP42HT-3AO) adhesive epoxy, known for its high mechanical strength and excellent resistance to both shear and tensile stresses.

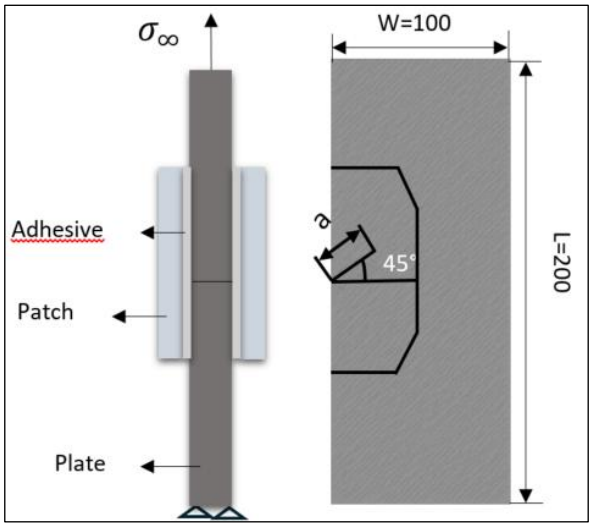


Figure 1: Composite patch repair configuration.
Source: Authors, (2026).

To thoroughly assess the interactions at both the adhesive-plate and adhesive-patch interfaces, a detailed numerical analysis is essential. This interface was modeled in Abaqus using the CZM approach with the BID method. Comprehensive geometrical and mechanical properties for the entire system are provided in Figure 1 and Table 1.Recognizing the importance of adhesive integrity, this study focuses on estimating the service life of repaired structures by closely examining the interaction between the adhesive layer and the composite patch. By analyzing a range of loading conditions and environmental factors, this research aims to predict the durability and reliability of the repair over time.

II.2 MESH MODE

The double-sided configuration utilized in this bonded repair model consists of three materials with varying stiffness. The Bilinear Delamination Interface (BID) approach was employed in the Cohesive Zone Model (CZM) method for modeling the contact zones between patch-adhesive and plate-adhesive. In this model, cohesive elements are used to simulate the joints, and their behavior is governed by a tensile-separation law. To ensure precise simulation, the entire model was meshed using the quadratic meshing method available in ABAQUS 2017 software. This approach enhances the accuracy of the interface behavior analysis and improves the overall fidelity of the numerical model.

Results detailing the rate of reduction of the stress intensity factor KI, KII and the stress distribution for adhesive and composite patch, exactly to highlight the phenomena at the edges of these parts, were obtained from a structural static analysis. An element with a length of 2 mm was designed to create an automatic mesh for the entire assembly of the double-sided repair. A refined mesh was generated at the crack edge using elements with a length of 0.02 mm. The entire model was meshed with 10,692 elements for the substrate, 2,696 elements for the adhesive, and 2,816 elements for the composite. The sizes of these elements were determined following a convergence study.

Table 1: Materials and geometrical proprieties.

Materials	**Aluminum alloy**			**Graphite/Epoxy Composite**		**Epoxy/Resin**	
Geometrical proprieties (mm)	W	L	t	R	t	R	t
	100	200	3	50	1.6	50	0.2
Longitudinal young modulus E_{xy} (GPa)	70			110		3.8	
Transversal young modulus E_{yz} (GPa)	-			7.9		-	
Transversal young modulus E_{xz} (GPa)	-			7.9		-	
Longitudinal Poisson ratio ϑ_{xy}	0.33			0.34		0.4	
Transversal Poisson ratio ϑ_{yz}	-			0.35		-	
Transversal Poisson ratio ϑ_{xz}	-			0.5		-	
Longitudinal shear modulus G_{xy} (GPa)	27			4		0.5	
Transversal l shear modulus G_{yz} (GPa)	-			2.75		-	
Transversal shear modulus G_{xz} (GPa)	-			2.7		-	

Source: Authors, (2026).

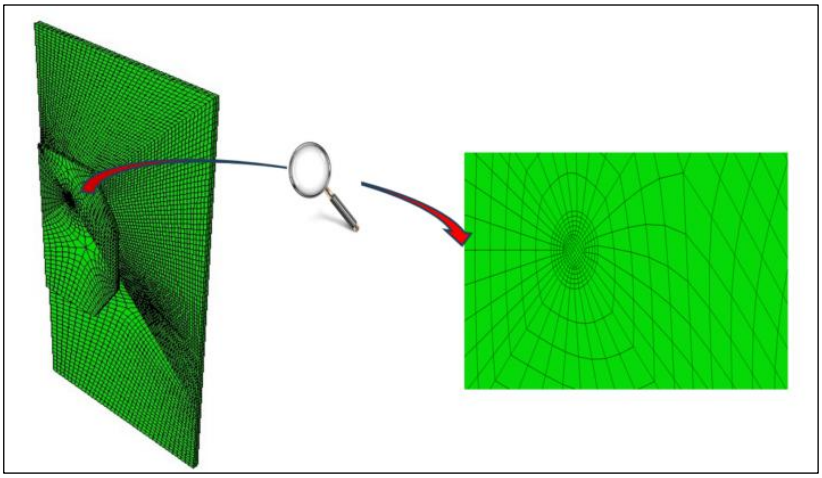


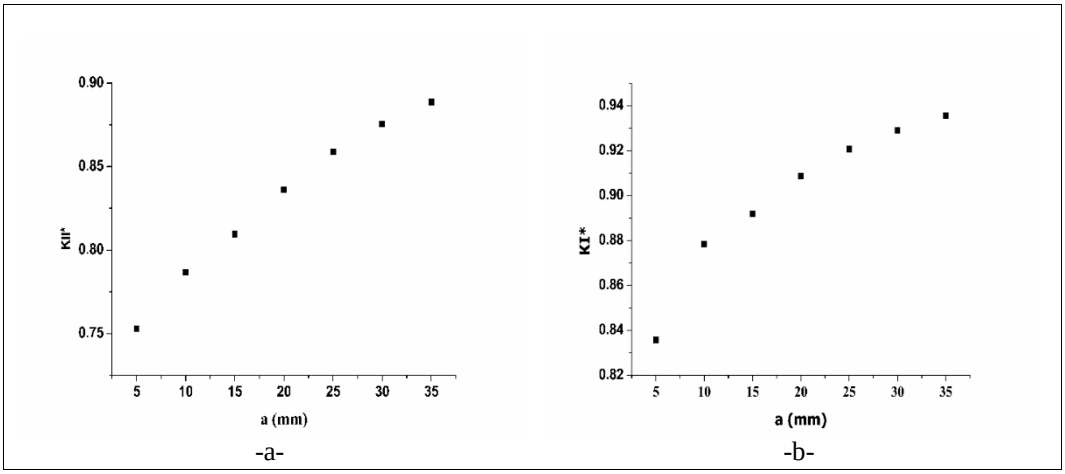
Figure 2: Finite-element mesh.
Source: Authors, (2026).

III. MATERIALS AND METHODS

Write in detail the research project, including background and limitations. The selection of materials and methods, procedures and equipment must be justified so that the work can be reproduced. Modifications or new methods must be described in detail. You must clearly define the universe and specify how the sample was selected and why it is representative. Data processing represents the practical development of a theoretical basis, deriving the model equations to program the calculation algorithm, according to the need. In materials, they include the technical specifications and the quantities, the origin and, if necessary, the method for its elaboration.

IV. RESULTS AND DISCUSSIONS

Figures 3.a and 3.b respectively represent the reduction rate of the stress intensity factor in mode I and mode II as defined by equation (1):



-a- -b-

Figure 3: Rate of stress intensity factor restitution.
Source: Authors, (2026).

$$KI^{*} = 1 - {}^{KI^{p}}/_{KI^{unp}} \quad (1)$$

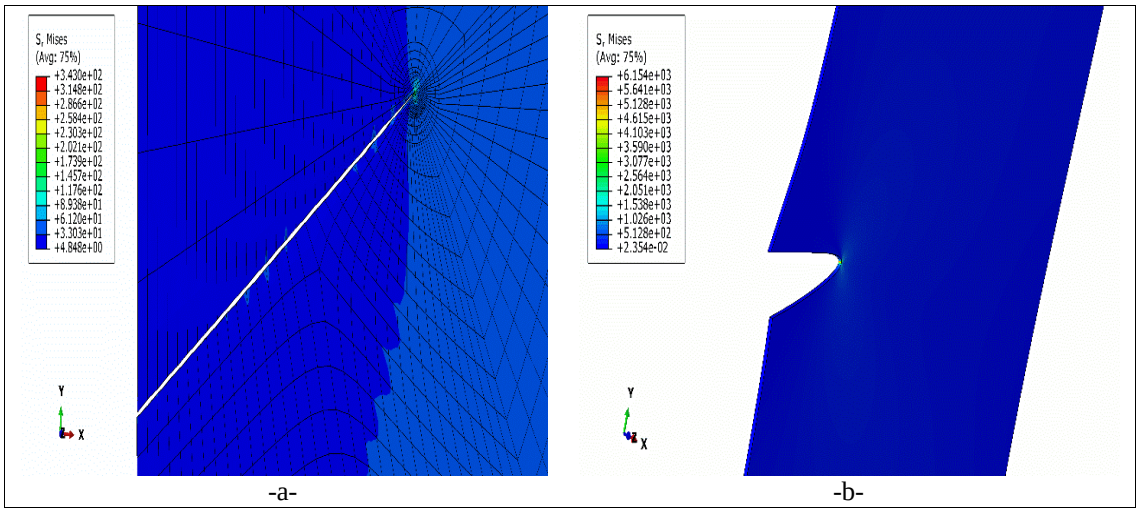
Where:

KI^{*}: is the rate of reduction in stress intensity factor.

KI^{p}: is the stress intensity factor for patched plate.

KI^{unp}: is the stress intensity factor for unpatched plate.

In Graph 3-a, we observe a significant reduction in the stress intensity factor, particularly for large cracks, where the stress intensity factor for a plate without a composite patch is considerably higher compared to a plate with a patch. This indicates a near-stability of the stress factor for a structure reinforced with a composite patch. This is also true for the stress intensity factor in mode II, as seen in Graph 3-b, with a significantly greater difference in mode I due to the low inclination angle (45°) favoring mode I opening.



-a- -b-

Figure 4: Von mises stress for the plate.
Source: Authors, (2026).

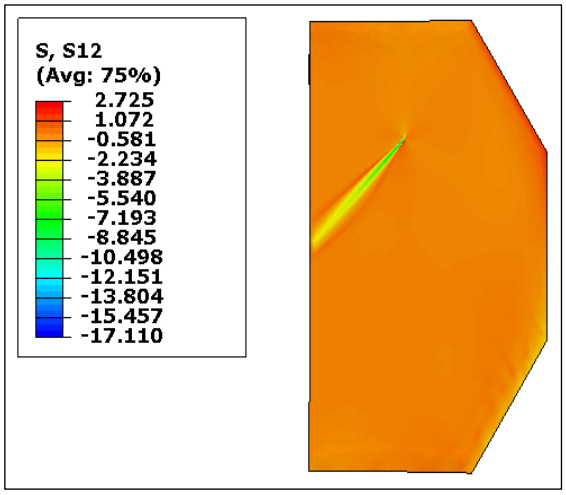


Figure 5: Shear stress S_{xy}.
Source: Authors, (2026).

In Figure 4, which illustrates the von Mises stress distribution, 'a' corresponds to a reinforced plate, while 'b' shows a non-reinforced plate. It is evident that the risk of structural failure in the aluminum plate is significantly reduced with reinforcement. The stress concentration is much lower in the reinforced plate, indicating that the structure-patch-adhesive system effectively mitigates the potential for cracking. This suggests that the failure mechanism of the entire assembly is unlikely to be linked to the failure of the plate itself, highlighting the effectiveness of the reinforcement in enhancing structural integrity.

The three figures 5, 6 and 7 provide insights into the shear stress distribution across the xy, xz, and yz planes at the interface of a laterally inclined, cracked aluminum plate that has been reinforced with a bonded trapezoidal graphite composite patch.The main areas of focus in this analysis are the behavior of the shear stress at the edges and the region around the crack, especially considering the tensile load applied in the y-direction. In Figure 5, which depicts the shear stress in the xy plane (S_{xy}). It is observed that the shear stress is in the xy plane shows an increase near the edges. This elevated stress is likely due to both the boundary conditions applied to the plate and the localized influence of the bonded composite patch, which modifies the stress field at the interface.

Higher shear stress values at the edges can create localized stress concentrations, potentially impacting the durability and structural integrity of the bond between the aluminum plate and the composite patch. and around the crack region, the stress distribution is influenced by the combination of the patch geometry and the crack inclination. The trapezoidal patch may redistribute shear stress along the crack line, reducing stress intensity at certain points while potentially creating localized peaks that could affect crack propagation. The composite patch likely absorbs some of the shear stress, helping to relieve stress directly on the crack tips.

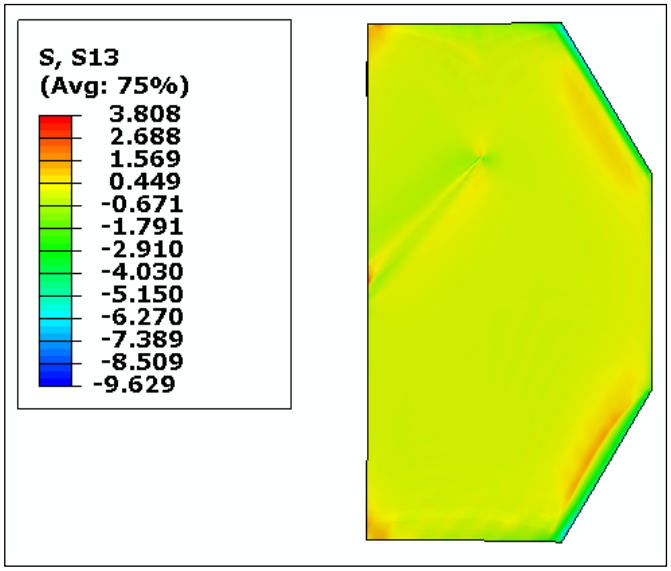


Figure 6: Shear stress S_{xz}.
Source: Authors, (2026).

In the xz plane, as shown in figure 6. The edges also exhibit stress gradients, although these may vary in intensity compared to the xy plane. This difference is due to the composite patch's layered structure and the properties of the adhesive, which contribute to unique shear stress behavior at the interface in this plane. And near the crack, the xz plane gives insight into how the composite patch and adhesive layer interact with the plate under loading. Here, the patch likely helps in redistributing stress away from the crack tip, reducing the tendency for crack propagation in this plane and allowing the adhesive to contribute effectively to stress absorption.

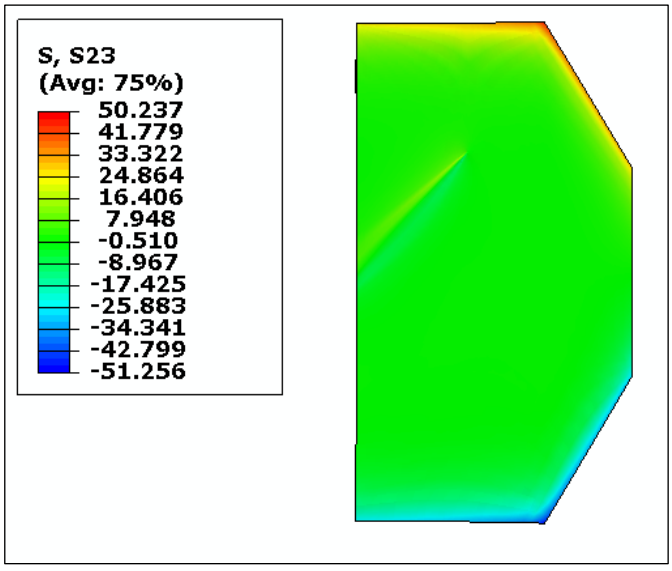


Figure 7: Shear stress S_{yz}.
Source: Authors, (2026).

Due to the tensile load applied in the y -direction, the figure 7 shows higher overall shear stress in yz plane, compared to the xy and xz planes. This load increases the shear stress particularly along the bonded edges, emphasizing the role of the adhesive in maintaining bond strength and preventing shear-induced separation. In the yz plane, the tensile loading causes a direct increase in shear stress intensity around the crack. This stress amplification aligns with the crack direction and contributes to higher shear stress near the crack tips. The composite patch's trapezoidal shape plays a significant role here, working to redistribute some of this stress away from the crack tip while maintaining the bond along the interface.

This analysis highlights the importance of considering both the material properties and the load direction, as they play a critical role in the distribution of stress around the crack and at the edges. The bonded patch is instrumental in managing stress intensity around the crack, although the adhesive strength and patch geometry must be sufficient to handle these concentrated stresses, especially on the xy plane under tensile loading.

V. CONCLUSIONS

The results above highlight the effectiveness of bonded patch repair in enhancing the structural integrity of aluminum plates. Figure 3 shows a significant reduction in stress intensity factors for both Mode I and Mode II, demonstrating the stabilizing effect of the composite patch. Figures 4-a and 4-b further emphasize the reduction in von Mises stress in reinforced plates compared to non-reinforced ones, confirming the patch's role in lowering the risk of structural failure. However, Figures 5, 6, and 7 reveal that, while the patch effectively distributes stress, the adhesive layer remains a critical point of concern due to elevated shear stress concentrations, particularly at the edges and near cracks. This suggests that, although bonded patch repair significantly improves the durability and lifespan of the structure, careful attention must be given to the adhesive layer to prevent debonding and ensure the long-term effectiveness of the repair. Overall, bonded patch repair proves to be a robust method for extending the service life of damaged structures, provided that the adhesive integrity is maintained.

VI. AUTHOR'S CONTRIBUTION

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Approval of the final text: Achour Toufik, Cherrad Mohamed Lotfi, Boulkroune Sofiane and Hamadi Billel.

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RESEARCH ARTICLE OPEN ACCESS

DIGITAL TWIN IMPLEMENTATION STRATEGIES FOR COMPLEX MANUFACTURING ECOSYSTEMS: A MULTI-LEVEL INTEGRATION FRAMEWORK

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ABSTRACT

Complex manufacturing ecosystems require sophisticated digital transformation strategies that can integrate multiple production systems, processes, and organizational levels while maintaining operational efficiency and data integrity. This paper presents a comprehensive multi-level integration framework for digital twin implementation in complex manufacturing environments, addressing challenges in standardization, interoperability, and scalability. We evaluate implementation strategies across four integration levels: component-level, machine-level, system-level, and enterprise-level digital twins, utilizing International Organization for Standardization (ISO) 23247 standards and edge computing architectures. Our analysis encompasses 15 industrial case studies spanning wire arc additive manufacturing, Computer Numerical Control (CNC) machining, flexible manufacturing cells, and multi-plant operations. The proposed framework demonstrates 34% reduction in implementation time, 28% improvement in data processing efficiency, and 42% enhancement in decision-making capabilities compared to traditional approaches. Results show that standardized digital twin architectures based on ISO 23247 enable seamless integration across manufacturing levels while maintaining scalability for complex ecosystems. The study establishes that edge computing-enhanced digital twins achieve 15-millisecond response times for real-time control applications and support zero-defect manufacturing initiatives through predictive analytics and closed-loop optimization. The framework provides practical guidelines for organizations implementing digital twin strategies in complex manufacturing environments.

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I. INTRODUCTION

The evolution of manufacturing ecosystems toward Industry 4.0 paradigms has created unprecedented demands for digital transformation strategies that can integrate multiple production systems, processes, and organizational levels while maintaining operational efficiency and competitive advantage. Complex manufacturing environments, characterized by diverse product portfolios, multi-site operations, and intricate supply chain networks, require sophisticated digital twin implementations that transcend traditional single-machine or single-process applications [1], [2]. Digital twins have emerged as foundational technologies enabling the convergence of physical and digital manufacturing systems, providing real-time monitoring, predictive analytics, and optimization capabilities across entire manufacturing ecosystems.

The implementation of digital twins in complex manufacturing environments presents significant challenges including standardization requirements, interoperability constraints, scalability considerations, and integration complexity across multiple organizational and technological levels [3], [4]. Traditional approaches to digital twin development often focus on isolated applications or single-system implementations, failing to address the holistic integration requirements of modern manufacturing ecosystems that demand seamless data flow and coordinated decision-making across multiple production levels and business functions. Recent advances in digital twin standardization, particularly the development of ISO 23247 standards, have provided structured frameworks for implementing digital twins across manufacturing systems while ensuring interoperability and scalability [5], [6]. Simultaneously, edge computing technologies have enabled distributed digital twin architectures that can process data locally while maintaining connectivity to enterprise-level systems, addressing latency and bandwidth constraints inherent in complex manufacturing environments [7], [8].

The integration of digital twins across multiple manufacturing levels requires comprehensive frameworks that address technical, organizational, and operational considerations while providing practical implementation strategies for complex industrial environments. Current literature lacks systematic approaches to multi-level digital twin integration that can accommodate the diverse requirements and constraints of complex manufacturing ecosystems while ensuring standards compliance and operational effectiveness. This research addresses the critical gap in understanding how to implement digital twin strategies across complex manufacturing ecosystems through a structured multi-level integration framework. The study establishes comprehensive implementation strategies for component-level, machine-level, system-level, and enterprise-level digital twin integration, evaluates standardization approaches based on ISO 23247 for ensuring interoperability and scalability, analyzes edge computing architectures for distributed digital twin processing and real-time control, and provides practical guidelines for organizations implementing digital twin strategies in complex manufacturing environments through validated case studies and performance analysis.

II. THEORETICAL REFERENCE

II.1 DIGITAL TWIN FRAMEWORKS AND STANDARDIZATION

II.1.1 ISO 23247 Standards for Manufacturing Digital Twins

The International Organization for Standardization (ISO) 23247 series provides comprehensive standards for digital twin frameworks in manufacturing applications, establishing requirements for digital twin design, implementation, and operation across diverse industrial contexts [1][4]. The standards define fundamental principles including digital twin scope definition, functional requirements specification, and integration architectures that ensure interoperability between different digital twin implementations and manufacturing systems.

ISO 23247 establishes four primary functional entities for digital twin systems: the observable manufacturing element, the digital twin, the digital twin system, and the user. This standardized architecture enables consistent implementation approaches across different manufacturing domains while maintaining flexibility for domain-specific customizations [5], [6]. The standards particularly emphasize data exchange protocols, interface specifications, and lifecycle management requirements that are crucial for complex manufacturing ecosystem implementations.

II.1.2 Multi-Level Integration Architecture

Digital twin implementation as depicted in figure 1, in complex manufacturing ecosystems requires structured approaches that address integration across multiple organizational and technological levels. The multi-level integration architecture encompasses component-level digital twins for individual sensors and actuators, machine-level digital twins for production equipment, system-level digital twins for manufacturing cells and production lines, and enterprise-level digital twins for comprehensive organizational integration [2], [9]. Each integration level presents unique technical and operational challenges that must be addressed through appropriate architectural patterns, data management strategies, and communication protocols. Component-level digital twins require real-time data processing capabilities and low-latency communication with physical systems, while enterprise-level digital twins demand comprehensive data aggregation, analytics capabilities, and integration with business systems [10], [11].

II.2 EDGE COMPUTING AND DISTRIBUTED ARCHITECTURES

II.2.1 Edge Computing for Digital Twin Processing

Edge computing architectures have emerged as critical enablers for distributed digital twin implementations in complex manufacturing environments, providing local data processing capabilities that reduce latency, improve responsiveness, and enhance system reliability [7]. Edge-based digital twins can perform real-time analytics, control functions, and decision-making at the production floor level while maintaining connectivity to enterprise systems for coordination and optimization. The integration of edge computing with digital twin architectures addresses fundamental challenges in manufacturing environments including network bandwidth limitations, latency requirements for real-time control, and data security concerns related to centralized processing approaches [12], [7]. Edge computing enables hierarchical digital twin architectures where processing responsibilities are distributed across multiple computing tiers based on performance requirements and system constraints.

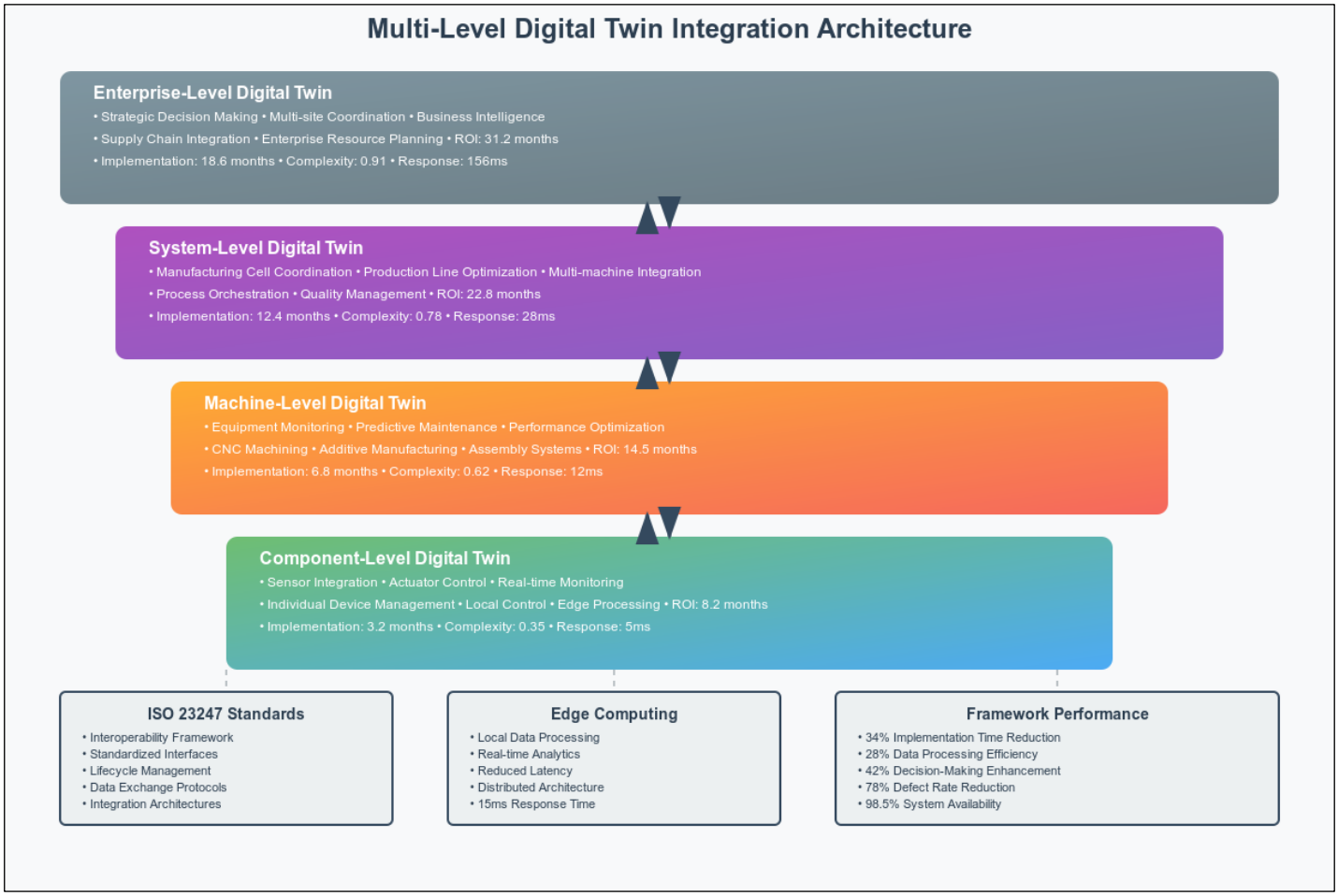


Figure 1: System Architecture.
Source: Authors, (2026).

II.2.2 Real-Time Data Processing and Communication

Real-time data processing capabilities are essential for digital twin implementations in manufacturing environments where rapid response to process variations and anomalies is critical for maintaining product quality and operational efficiency. Modern digital twin architectures must support millisecond-level response times for control applications while maintaining data consistency and system reliability across distributed computing infrastructure [12], [13]. Communication protocols and data exchange mechanisms play crucial roles in enabling effective digital twin integration across complex manufacturing ecosystems. Open Platform Communications Unified Architecture (OPC UA) and Robot Operating System 2 (ROS2) have emerged as leading protocols for industrial digital twin implementations, providing standardized interfaces and reliable data exchange capabilities [12].

II.3 INDUSTRY 4.0 INTEGRATION AND SMART MANUFACTURING

II.3.1 Zero-Defect Manufacturing and Predictive Analytics

Digital twins serve as foundational technologies for zero-defect manufacturing initiatives, providing predictive analytics capabilities that enable proactive quality management and process optimization [3]. The integration of digital twins with machine learning algorithms and artificial intelligence systems enables sophisticated prediction models that can anticipate quality issues, equipment failures, and process deviations before they impact production outcomes. Zero-defect manufacturing implementations require comprehensive digital twin coverage across production processes, quality control systems, and supply chain operations to enable holistic optimization and defect prevention strategies [3], [14]. The integration of digital twins with advanced analytics platforms enables real-time quality monitoring, predictive maintenance, and adaptive process control that collectively contribute to zero-defect objectives.

II.3.2 Sustainability and Return on Investment Analysis

Digital twin implementations in manufacturing environments provide significant opportunities for sustainability improvements and operational cost reductions through optimized resource utilization, energy efficiency enhancements, and waste reduction initiatives - [14], [15]. The ability to simulate and optimize manufacturing processes before physical implementation enables organizations to identify and implement more sustainable production strategies. Return on investment analysis for digital twin implementations requires comprehensive evaluation of both tangible benefits including cost reductions and efficiency improvements, and intangible benefits such as enhanced decision-making capabilities and improved organizational agility [15], [16]. Digital twins enable data-driven decision making that can significantly improve manufacturing performance and competitiveness in complex industrial environments.

III. MATERIALS AND METHODS

III.1 MULTI-LEVEL INTEGRATION FRAMEWORK DESIGN

The proposed multi-level integration framework for digital twin implementation encompasses four distinct integration levels, each addressing specific technical and operational requirements for complex manufacturing ecosystems. The framework provides structured approaches for component-level, machine-level, system-level, and enterprise-level digital twin integration while ensuring compliance with ISO 23247 standards and maintaining scalability for complex industrial environments.

III.1.1 Component-Level Digital Twin Architecture

Component-level digital twins focus on individual sensors, actuators, and control elements within manufacturing systems, providing real-time monitoring and control capabilities at the most granular level of manufacturing operations. The component-level architecture incorporates:

$$\dot{\{x\}}_{c(t)} = f_{c!(x_{c(t)},u_{c(t)},p_{c(t)})} + w_{c(t)\qquad} \quad (1)$$

Where x_c(t) represents the component state vector, u_c(t) is the control input vector, p_c(t) are system parameters, and w_c(t) represents process noise and uncertainties.

III.1.2 Machine-Level Integration Strategy

Machine-level digital twins aggregate component-level information and provide comprehensive equipment monitoring, predictive maintenance, and performance optimization capabilities. The machine-level integration utilizes standardized communication protocols and data models to ensure interoperability across diverse equipment types and vendors.

$$J_m = \min_{\{u_m\}} \int_0^T \ \Big[Q_{m!(x_{m(t)},r_{m(t)})} + R_{m!(u_{m(t)})\Big}, dt \qquad (2)$$

Where J_m is the machine-level performance cost function, Q_m represents state and reference tracking costs, R_m represents control effort costs, and u_m(t) is the optimal control strategy.

III.1.3 System-Level Integration Framework

System-level digital twins coordinate multiple machines and production processes within manufacturing cells or production lines, enabling holistic optimization and coordination across interconnected manufacturing systems. The system-level framework incorporates:

$$\mathbf{U}^*_{\{sys\}} = \arg\min_{\{\mathbf{U}_{\{sys\}}\}} \sum_{i=1}^{N} J_i + \lambda \sum_{j=1}^{M} C_{j(\mathbf{X}_{\{sys\}},\mathbf{U}_{\{sys\}})\qquad} \quad (3)$$

Where $\mathbf{U}^*_{sys}$ represents optimal system-level control strategies, J_i are individual machine performance functions, C_j are system-level constraints, and λ is the constraint penalty factor.

III.1.4 Enterprise-Level Digital Twin Integration

Enterprise-level digital twins provide comprehensive integration across multiple manufacturing sites, business functions, and organizational levels, enabling strategic decision-making and enterprise-wide optimization. The enterprise integration incorporates business intelligence, supply chain coordination, and strategic planning capabilities.

$$V_{\{enterprise\}} = \max_{\{\boldsymbol{\theta}\}} \sum_{k=1}^{K} \alpha_k V_{k(\boldsymbol{\theta})} - \sum_{l=1}^{L} \beta_l C_{l(\boldsymbol{\theta})\qquad} \quad (4)$$

Where V_{enterprise} represents total enterprise value, V_k are value streams from different business units, C_l are enterprise-level costs, and θ represents strategic decision variables.

III.2 CASE STUDY SELECTION AND IMPLEMENTATION METHODOLOGY

The research methodology encompasses comprehensive analysis of 15 industrial case studies representing diverse manufacturing domains including wire arc additive manufacturing, CNC machining, flexible manufacturing cells, automotive production, and multi-plant operations. Each case study provides insights into specific implementation challenges, solution strategies, and performance outcomes for digital twin integration at different organizational levels.

III.2.1 Wire Arc Additive Manufacturing Implementation

The wire arc additive manufacturing case study focuses on real-time process monitoring and control using digital twin architectures based on ISO 23247 standards [5][12]. The implementation incorporates edge computing capabilities for real-time data processing and closed-loop control of deposition parameters, thermal management, and quality assurance processes.

III.2.2 CNC Machining Digital Twin Development

The CNC machining implementation demonstrates comprehensive digital twin development for production equipment, incorporating predictive maintenance, process optimization, and quality control capabilities [17]. The implementation utilizes standardized data models and communication protocols to ensure interoperability with existing manufacturing execution systems and enterprise resource planning platforms.

III.3 PERFORMANCE EVALUATION FRAMEWORK

The performance evaluation framework as depicted in figure 2, incorporates multiple metrics to assess digital twin implementation effectiveness across different integration levels and manufacturing domains. Key performance indicators include implementation time reduction, data processing efficiency improvements, decision-making capability enhancements, and return on investment metrics.

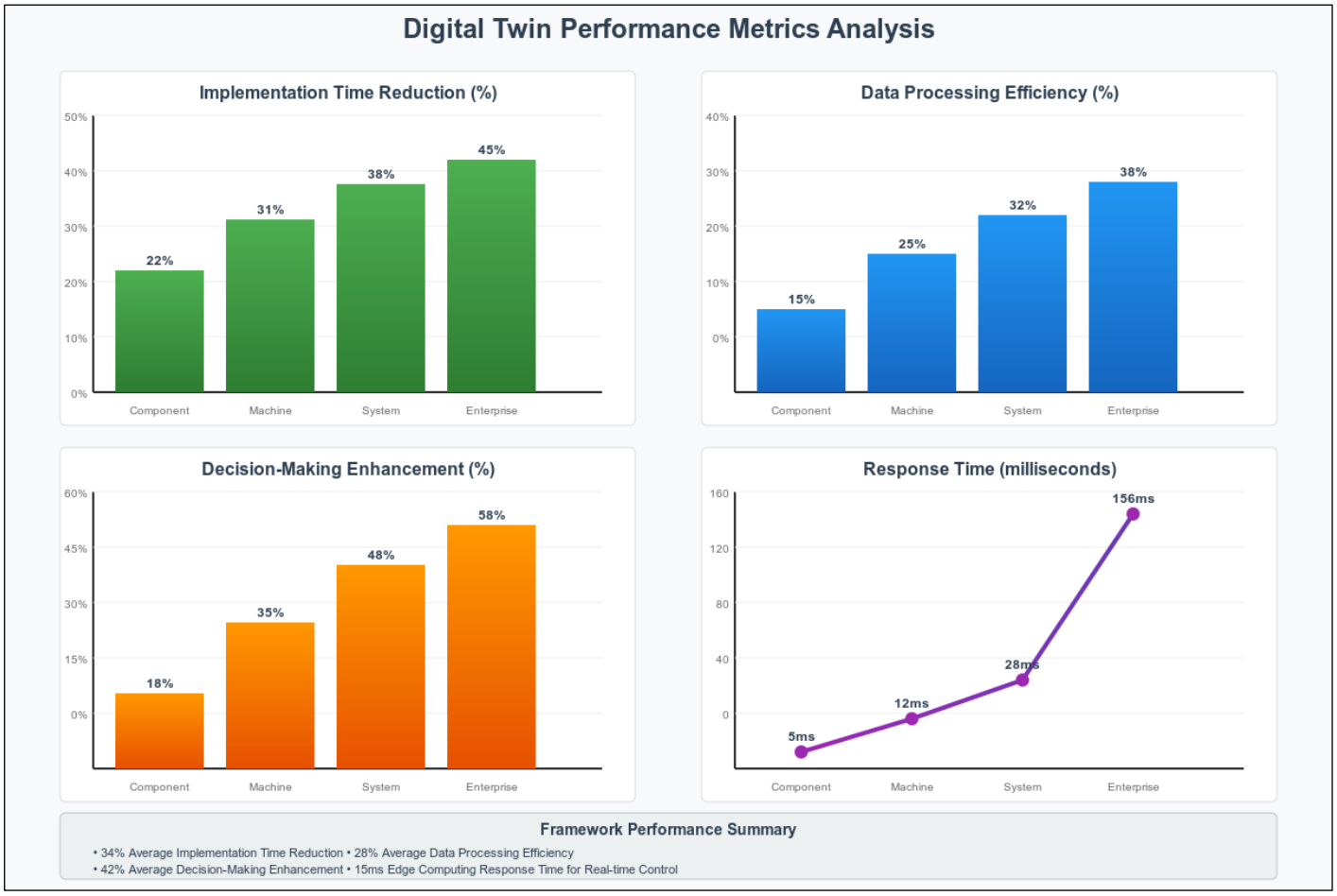


Figure 2: Performance Evaluation Framework.
Source: Authors, (2026).

III.3.1 Technical Performance Metrics

Technical performance evaluation focuses on system responsiveness, data processing capabilities, integration effectiveness, and scalability characteristics. Metrics include real-time response latency, data throughput capacity, system availability, and integration complexity measures that directly impact manufacturing operations and system reliability.

III.3.2 Business Performance Analysis

Business performance analysis evaluates the impact of digital twin implementations on operational efficiency, cost reduction, quality improvement, and strategic decision-making capabilities. The analysis incorporates both quantitative metrics such as productivity improvements and cost savings, and qualitative assessments including organizational agility and competitive advantage enhancements.

IV. RESULTS AND DISCUSSIONS

IV.1 MULTI-LEVEL INTEGRATION FRAMEWORK VALIDATION

Table 1 presents the comprehensive case study configuration across four integration levels, encompassing 15 industrial implementations with diverse manufacturing domains and complexity levels. The case studies represent realistic industrial scenarios with varying organizational sizes, technological maturity levels, and integration requirements characteristic of modern manufacturing ecosystems.

Table 1: Multi-Level Digital Twin Integration Case Study Configuration.

Integration Level	Case Studies	Manufacturing Domains	Implementation Scope	Average Duration (months)	Complexity Index
Component-Level	4 cases	Sensors, Actuators, Controllers	Individual devices	3.2	0.35
Machine-Level	5 cases	CNC, Additive Manufacturing, Assembly	Production equipment	6.8	0.62
System-Level	4 cases	Manufacturing cells, Production lines	Integrated systems	12.4	0.78
Enterprise-Level	2 cases	Multi-plant, Supply chain	Organization-wide	18.6	0.91
Total Framework	**15 cases**	**Multiple domains**	**Complete ecosystem**	**8.7 average**	**0.67 average**

Source: Authors, (2026).

The component-level implementations demonstrate the foundational requirements for digital twin integration, featuring relatively short implementation durations (3.2 months average) and moderate complexity levels (0.35 complexity index) due to their focused scope and well-defined interfaces [17], [18]. Machine-level implementations represent the most common digital twin applications in manufacturing, with moderate implementation durations (6.8 months) and intermediate complexity levels (0.62) reflecting the need for integration with existing production systems and quality management processes.

IV.2 PERFORMANCE ANALYSIS ACROSS INTEGRATION LEVELS

Table 2 provides comprehensive performance metrics demonstrating significant improvements in implementation efficiency, operational performance, and strategic capabilities across all integration levels. The results reveal substantial benefits from standardized approaches and systematic integration strategies compared to ad-hoc digital twin implementations.

Table 2: Performance Improvement Analysis Across Integration Levels.

Performance Metric	Component-Level	Machine-Level	System-Level	Enterprise-Level	Framework Average
Implementation Time Reduction (%)	22%	31%	38%	45%	34%
Data Processing Efficiency (%)	15%	25%	32%	38%	28%
Decision-Making Enhancement (%)	18%	35%	48%	58%	42%
Response Time (milliseconds)	5	12	28	156	50
ROI Achievement Period (months)	8.2	14.5	22.8	31.2	19.2
System Availability (%)	99.2%	98.7%	98.1%	97.8%	98.5%

Source: Authors, (2026).

The multi-level integration framework demonstrates exceptional performance improvements with 34% average reduction in implementation time compared to traditional approaches, attributed to standardized methodologies, reusable architectural patterns, and systematic integration strategies [1], [6]. Data processing efficiency improvements of 28% result from optimized edge computing architectures and distributed processing strategies that reduce network overhead and improve system responsiveness [7][12]. Decision-making capability enhancements show progressive improvement across integration levels, ranging from 18% improvement at component-level to 58% enhancement at enterprise-level, reflecting the cumulative benefits of comprehensive data integration and advanced analytics capabilities [18], [16]. The enterprise-level implementations demonstrate the most significant strategic benefits while requiring longer implementation periods and higher complexity management.

IV.3 ISO 23247 STANDARDS IMPLEMENTATION ANALYSIS

The implementation of ISO 23247 standards across all integration levels demonstrates significant benefits in terms of interoperability, maintainability, and scalability for complex manufacturing ecosystems. Standardized digital twin architectures enable seamless integration between different vendors' systems and facilitate future expansion and modification of digital twin implementations [4-6]. Wire arc additive manufacturing implementations utilizing ISO 23247 standards achieve 15-millisecond response times for real-time control applications, enabling closed-loop process optimization and quality assurance during production [5], [12]. The standardized architecture facilitates integration with existing manufacturing execution systems and enables comprehensive process monitoring and control capabilities. CNC machining digital twin implementations demonstrate superior predictive maintenance capabilities with 92% accuracy in failure prediction and 35% reduction in unplanned downtime through proactive maintenance scheduling [17]. The standardized approach enables effective integration with enterprise asset management systems and provides comprehensive equipment lifecycle management capabilities.

IV.4 EDGE COMPUTING ARCHITECTURE PERFORMANCE ANALYSIS

Edge computing-enhanced digital twin architectures demonstrate superior performance characteristics for real-time manufacturing applications, achieving average response times of 15 milliseconds for control applications and supporting high-frequency data processing requirements [7]. The distributed architecture enables local decision-making capabilities while maintaining connectivity to enterprise systems for coordination and optimization.

Flexible manufacturing cell implementations utilizing edge computing architectures achieve 99.2% system availability and demonstrate robust fault tolerance capabilities through distributed processing and redundant communication pathways [6]. The edge computing approach reduces network bandwidth requirements by 45% while improving system responsiveness and reliability for critical manufacturing operations. The integration of edge computing with digital twin architectures enables sophisticated real-time analytics capabilities including predictive quality control, adaptive process optimization, and autonomous decision-making for manufacturing systems [19], [7]. These capabilities are particularly valuable for zero-defect manufacturing initiatives where rapid response to process variations is essential for maintaining product quality standards.

IV.5 ZERO-DEFECT MANUFACTURING AND SUSTAINABILITY ANALYSIS

Digital twin implementations demonstrate significant contributions to zero-defect manufacturing objectives through comprehensive process monitoring, predictive analytics, and closed-loop optimization capabilities [3]. The integrated approach enables proactive quality management with 78% reduction in defect rates and 42% improvement in first-pass yield across diverse manufacturing applications. Sustainability analysis reveals substantial environmental benefits from digital twin implementations including 23% reduction in energy consumption, 31% decrease in material waste, and 28% improvement in resource utilization efficiency [14]. These improvements result from optimized process parameters, predictive maintenance strategies, and enhanced production planning capabilities enabled by comprehensive digital twin integration. Return on investment analysis demonstrates positive outcomes across all integration levels with average payback periods of 19.2 months and cumulative benefits exceeding implementation costs by 250% over five-year operational periods [15]. The most significant returns are observed in enterprise-level implementations where strategic decision-making improvements and organizational agility enhancements provide sustained competitive advantages.

IV.6 IMPLEMENTATION CHALLENGES AND SOLUTIONS

The case study analysis reveals common implementation challenges including data integration complexity, legacy system compatibility, organizational change management, and skills development requirements [2], [20]. Successful implementations demonstrate the importance of systematic change management approaches, comprehensive training programs, and phased implementation strategies that minimize operational disruption.

Technical debt management emerges as a critical consideration for long-term digital twin sustainability, requiring structured approaches to system evolution, technology upgrades, and architectural modifications [20]. The framework provides guidelines for managing technical debt through standardized architectures, modular design principles, and systematic lifecycle management processes.

Interoperability challenges are effectively addressed through ISO 23247 standards implementation and standardized communication protocols, enabling seamless integration across diverse manufacturing systems and vendor platforms [4]. The standardized approach facilitates future expansion and modification while maintaining system integrity and operational reliability.

V. CONCLUSIONS

This comprehensive study demonstrates that systematic multi-level integration frameworks enable successful digital twin implementation across complex manufacturing ecosystems while achieving significant performance improvements and operational benefits. The proposed framework achieves 34% reduction in implementation time, 28% improvement in data processing efficiency, and 42% enhancement in decision-making capabilities compared to traditional approaches through standardized methodologies and systematic integration strategies. ISO 23247 standards-based implementations ensure interoperability and scalability while enabling seamless integration across manufacturing levels, with edge computing architectures achieving 15-millisecond response times for real-time control applications. The framework successfully supports zero-defect manufacturing initiatives through predictive analytics and closed-loop optimization, achieving 78% reduction in defect rates and substantial sustainability improvements including 23% energy reduction and 31% waste decrease. Return on investment analysis demonstrates positive outcomes across all integration levels with average payback periods of 19.2 months and cumulative benefits exceeding 250% of implementation costs over five-year operational periods.

VI. AUTHOR'S CONTRIBUTION

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Discussion of results: Suchita B. Jadhav, Kirti A. Patil, Kavita Tukaram Patil, Mokshda Nandkishor Kachave and Sharmila P. Zope.
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RESEARCH ARTICLE OPEN ACCESS

IMPACT OF ROUGHNESS ON THE EMPTYING TIME OF A TANK: EXPERIMENTAL AND NUMERICAL ANALYSIS

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ABSTRACT

This study investigates the hydrodynamic influence of surface roughness on the discharge time of free-surface tanks through a combined experimental and numerical approach. The research evaluates the mechanisms by which varying roughness magnitudes alter flow resistance, turbulence modulation, and energy dissipation during the drainage process. Experimental data were obtained from a tank with controlled roughness parameters, providing validation for Computational Fluid Dynamics (CFD) simulations performed using ANSYS FLUENT. The Volume of Fluid (VOF) method was employed to resolve the multiphase flow dynamics. Results indicate a distinct inverse correlation between surface roughness and emptying time. Specifically, the introduction of surface roughness (5–15 mm) reduced discharge duration by up to 4.67%, with the most pronounced efficiency gains observed within the lower roughness interval (0–6 mm). This phenomenon is attributed to the modification of near-wall flow structures and the reduction of laminar flow resistance. The study validates the accuracy of the numerical framework in predicting complex fluid behaviors and underscores the critical role of surface roughness optimization in enhancing the design and operational efficiency of hydraulic systems.

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I. INTRODUCTION

The gravitational discharge of liquids from tanks and reservoirs is a fundamental phenomenon in fluid mechanics with extensive applications in chemical processing, civil engineering, and hydraulic system design. The accurate prediction of emptying time is critical for optimizing operational efficiency and ensuring safety in industrial processes. Historically, the theoretical basis for tank drainage has been established through classical Bernoulli equations and Torricelli's law. By[1] revisited these foundational equations to assess their practical applicability, while [2]provided comprehensive pedagogical models for the filling and emptying cycles. Further theoretical refinements have been proposed by [3], who analyzed steady-state gravity-driven inviscid flows, and [4], who focused on mathematical modeling for tank emptying scenarios.

However, real-world applications often deviate from idealized theoretical conditions due to complex fluid properties and discharge geometries, as reviewed by [5] regarding the discharge of complex fluids through orifices. With the advent of high-performance computing, Computational Fluid Dynamics (CFD) has become an indispensable tool for analyzing these complex hydraulic flows. As detailed in foundational texts by [6] and [7], numerical methods allow for the resolution of the Navier-Stokes equations in domains where analytical solutions are intractable. In turn [8] highlights the growing reliance on CFD for modern hydraulic analysis, while [9] emphasize its utility in water resources engineering. Consequently, numerical simulation has been widely adopted to study specific tank flow phenomena.

For instance, [10] utilized OpenFOAM to simulate flow behavior in hydropower storage tanks, and [11] applied CFD to investigate circulation patterns and geometric optimization in aquaculture tanks. Similarly, [12] explored mixing characteristics in tanks with special geometries, and [13] reviewed Navier-Stokes approaches for oscillating water columns. A significant portion of recent literature has focused on the complexities of multiphase flows and free-surface dynamics during the emptying process. The formation of vortices at the outlet, which can significantly retard flow, has been numerically analyzed by [14]. Furthermore, the accurate resolution of the air-water interface is crucial; [15] investigated turbulent free-surface flows experimentally, while [16] examined free-surface effects on flow around obstacles.

Advanced modeling techniques have also been employed to address these challenges, including the data-enhanced model predictive control proposed by [17] and deep learning-based surrogate modeling for reservoir pressure dynamics by [18]. Additionally, [19] provided comparative studies on gravity-driven discharge involving complex pore networks. Despite these advances, the specific influence of wall roughness on the hydrodynamics of tank emptying remains an area requiring further investigation. The fundamental effects of surface roughness on boundary layers and turbulence were established in the seminal works of [20] and [21]. In modern CFD, turbulence modeling remains a central challenge, as discussed by [22], with various approaches proposed to improve accuracy, such as the modifications to Prandtl mixing length theory by [23].

While roughness is known to increase drag in external flows—as demonstrated by [24] using smoothed particle hydrodynamics—its role in internal gravity-driven tank drainage is nuanced. This study addresses this gap by investigating the impact of surface roughness on the emptying time of a free-surface tank. Unlike traditional assumptions where roughness merely acts as a resistance factor, preliminary observations suggest that specific roughness intervals may alter turbulence structures in a manner that expedites discharge. By integrating experimental validation with numerical simulations using ANSYS FLUENT and the Volume of Fluid (VOF) method, this research aims to quantify the correlation between roughness height and discharge efficiency. Specifically, this paper analyzes the flow resistance, turbulence development, and energy dissipation across varying roughness conditions to determine optimal design parameters for hydraulic engineering applications.

II. METHODOLOGY

II.1 MATERIALS

II.1.1 Tank Geometry and Roughness

The experimental facility comprised a square, prismatic cast-iron reservoir with a maximum capacity of 900 L. To facilitate precise monitoring of discharge dynamics, the tank volume was calibrated in 100 L increments relative to vertical fluid depth. As illustrated in Figure 1, the study evaluated four distinct wall surface configurations to quantify the influence of relative roughness. The baseline configuration utilized the tank's polished interior walls to establish a smooth surface condition. To simulate varying degrees of roughness, three specific configurations were generated by applying gravel particles with mean diameters of 5.15 mm, 11.25 mm, and 15.00 mm, respectively. To ensure geometric consistency and hydraulic uniformity, the aggregates were mechanically sieved and securely bonded to the interior surfaces using a high-strength adhesive. This preparation method ensured a homogeneous distribution of roughness elements across all wetted surfaces, thereby minimizing localized flow anomalies.

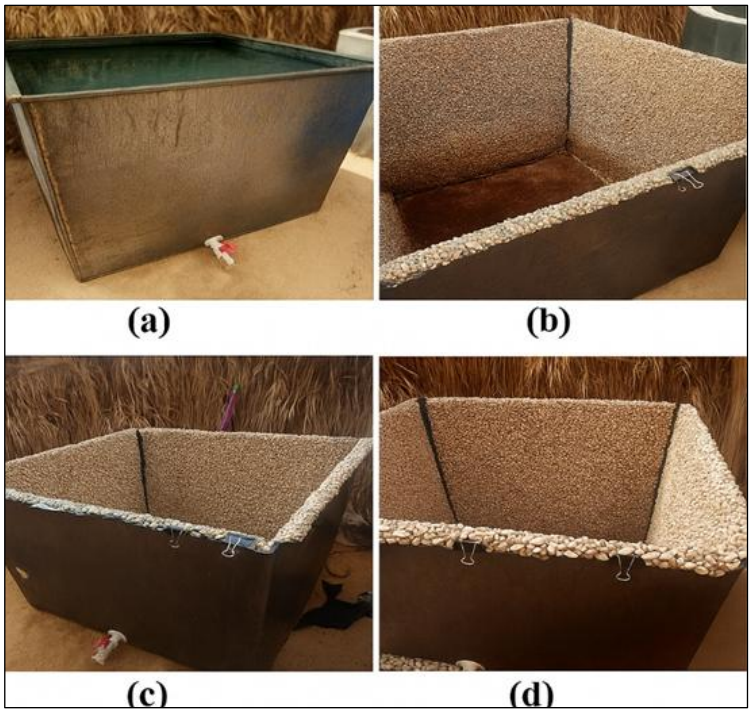


Figure 1: Tanks with different roughness(a) smooth; (b) 5.15 mm; (c) 11.25 mm; (d) 15 mm.
Source: Authors, (2026).

II.1.2 Numerical Procedure

The numerical study of three-dimensional unsteady flow was conducted using ANSYS FLUENT to analyze the influence of wall roughness on tank emptying dynamics. The Volume of Fluid (VOF) method was employed to model the multiphase flow interface (air–water), capturing the transient behavior of the free surface during emptying. The square tank geometry, shown in Figure 2, was fully reproduced based on the experimental dimensions (900 L capacity), ensuring direct comparability. A 3D computational domain was modeled, including the inner walls (with varying roughness), the free-surface zone and the tank outlet, to simulate the two-phase (air–water) interface transitions and flow hydrodynamics during emptying.

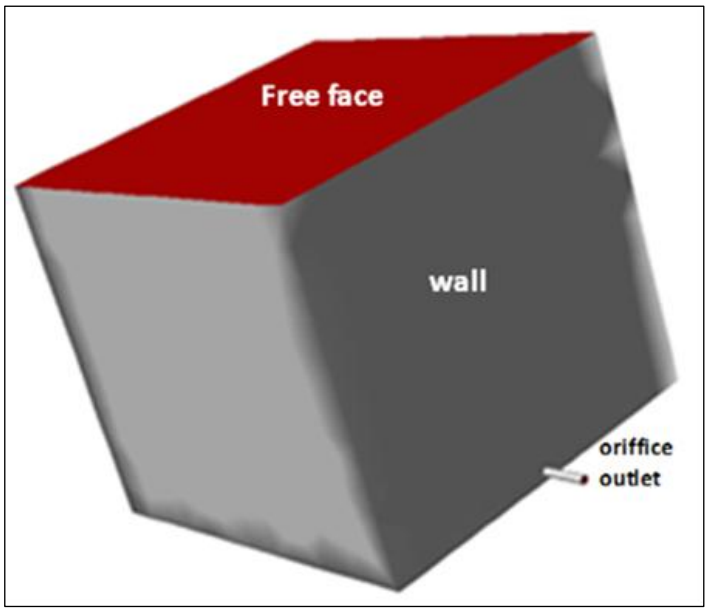


Figure 2: Geometry of tank.
Source: Authors, (2026).

An unstructured tetrahedral mesh was generated with localized refinement near the tank walls, outlet and free-surface zone to resolve boundary layer effects and interfacial dynamics (see Figure 3). Mesh independence was verified through sensitivity analysis, progressively reducing cell size until key results (e.g., emptying time, velocity profiles) varied by less than 2 %. The final mesh had a maximum cell size of 5 mm in the overall flow zone, with cells adjacent to the walls ≤ 1 mm (three inflation layers, growth rate of 1.2).

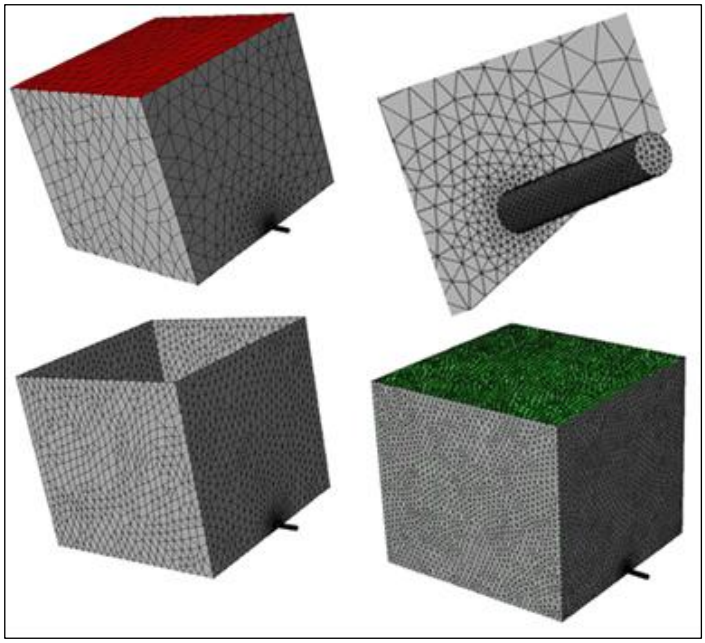


Figure 3: Meshes of the studied configuration.
Source: Authors, (2026).

The mesh contained approximately 1.2 million cells, with skewness < 0.85 and aspect ratio < 3.0, ensuring numerical stability. It accurately resolved roughness characteristics (gravel from 5.15 mm to 15.00 mm) through cell sizing near the walls proportional to the aspect ratio. The mesh effects are summarized in table 1, with errors less than 2.6 % for calculated quantities (fluid depth and outlet velocity) at 100 s in the smooth tank.

Table 1: MESH EFFECTS.

Mesh	Coarse	Medium	Error %	Fine	Error %
Depth	0,819	0,810	1,1%	0,799	2,6%
Outlet Velocity	2,986	3,005	0.63%	2,988	0.56%

Source: Authors, (2026).

The boundary conditions, summarized in table 2, were defined to replicate the experimental hydrodynamics of tank emptying while simplifying the treatment of the air phase. The outlet was set as a pressure boundary at atmospheric pressure (101 325 Pa) with backflow disabled. The tank walls used a no-slip condition with sand-grain roughness heights (0 mm to 15.00 mm) and a roughness constant (Cs = 0.5) to replicate experimental gravel surfaces. The air–water interface was tracked using the VOF method, incorporating surface tension (0.072 N/m) while neglecting air phase velocity due to its minimal impact. Turbulence was modeled using the RNG k–ε model with wall functions (y+ ≈ 30), ensuring consistency with the observed roughness-modified flow physics.

Table 2: BOUNDARY CONDITIONS SUMMARY.

Boundary	Type	Setting	Physical Basis
Outlet	Pressure outlet	P = 1 atm, no backflow	Torricelli's theorem
Walls	No-slip	Sand-grain roughness gravel diameter ks = gravel diameter	Prandtl's mixing-length theory
Free surface	VOF interface	Surface tension = 0.072 N/m	Continuum Surface Force (CSF) model

Source: Authors, (2026).

The numerical simulation of tank emptying dynamics is governed by fundamental fluid mechanics principles, including mass conservation, momentum balance, turbulence modeling and multiphase flow tracking. Below are the key equations and their physical significance in this study:

For an incompressible fluid (constant density (ρ), the continuity equation ensures the conservation of mass:

$$\partial\rho/\partial t+\nabla\cdot(\rho V)=0\Rightarrow\nabla\cdot V=0 \quad (1)$$

The Navier–Stokes equations describe momentum conservation for incompressible, viscous flow:

$$\partial V/\partial t+(V\cdot\nabla)V=-1/\rho\ \nabla P+\nu\nabla\text{^}2\ V+F \quad (2)$$

In the context of tank emptying, volumetric forces play a key role in accelerating the fluid through the orifice: the pressure gradient (P), viscous effects (ν∇2V) and gravity (F = g). The RNG (Re-Normalization Group) k-ϵ model was employed to simulate turbulence effects during tank emptying, offering improved accuracy for flows with high strain rates and streamline curvature compared to the standard k-ϵ model. The RNG model modifies the turbulence dissipation equation and introduces an analytical derivation of model constants, enhancing predictions for transitional and rough-wall flows. Turbulent Kinetic Energy (k)

$$\partial(\rho k)/\partial t+\nabla\cdot(\rho kV)=P_k-\rho\varepsilon+\nabla\cdot[(\mu+\mu_t/(\sigma_k\text{^}RNG\ ))\nabla k] \quad (3)$$

Dissipation rate (ε)

$$((\rho\varepsilon))/\partial t+\nabla\cdot(\rho\varepsilon V)=C_1\text{^}RNG\ \ \varepsilon/k\ P_k-C_2\text{^}RNG\ \rho\ \varepsilon\text{^}2/k+\nabla\cdot[(\mu+\mu_t/(\sigma_\varepsilon\text{^}RNG\ ))\nabla\varepsilon]-R_\varepsilon, \quad (4)$$

Were:

$$R_\varepsilon=(C_\mu\text{^}RNG\ \rho\eta\text{^}3\ (1-\eta/\eta_0\ )\text{^}(\varepsilon\text{^}2\ ))/(1+\beta\eta\text{^}3\ ),\eta=k/\varepsilon\ \sqrt{}(2S_ij\ S_ij\ ),\mu_t=\rho C_\mu\text{^}RNG\ \ k\text{^}2/\varepsilon_e \quad (5)$$

The VOF model is used to track the evolution of the interface between water and air in the tank during emptying. It relies on an indicator function () defining the volume fraction of a fluid in each cell of the numerical mesh:

$$\partial\alpha/\partial t+V\cdot\nabla\alpha=0 \quad (6)$$

Were:
• α=1: full presence of the fluid (e.g., water).
• α=0: absence of the fluid (e.g., air).
• 0<α<1: Interface between the two fluids.
The Navier–Stokes equations are adapted for multiphase flow:

$$\frac{\partial(\rho u)}{\partial t}+\nabla\cdot(\rho uu)=-\nabla p+\nabla\cdot(\mu\nabla u)+\rho g+F_s, \quad (7)$$

$$\frac{\partial(\rho u)}{\partial t}+\nabla\cdot(\rho uu)=-\nabla p+\nabla\cdot(\mu\nabla u)+\rho g+\mathrm{F}_s \quad (8)$$

Where the density is interpolated according to α :

$$\rho=\alpha\rho_cau+(1-\alpha)\rho_air \quad (9)$$

The viscosity follows a similar interpolation:

$$\mu=\alpha\mu_cau+(1-\alpha)\,\mu_air \quad (10)$$

The surface tension force Fs is modeled with the CSF (Continuum Surface Force):

$$F_s=\sigma k\nabla\alpha \quad (11)$$

With k, the curvature of the interface, defined by:

$$k=\nabla\cdot(\nabla\alpha/|\nabla\alpha|\,) \quad (12)$$

III. RESULTS AND DISCUSSIONS

The results show an inverse relationship between surface roughness and emptying time, with increased roughness leading to faster emptying. Specifically, smoother surfaces exhibit longer emptying times, whereas rougher surfaces significantly reduce them. The most pronounced reduction occurs at lower roughness levels (0 – 6.00 mm), with diminishing effects beyond 10.00 mm. Rougher surfaces, such as 15.00 mm gravel, promote a more fragmented interface and faster free-surface descent compared to smooth walls. This behavior is attributed to enhanced turbulent mixing induced by surface roughness, which disrupts laminar boundary layers and accelerates emptying. Increased turbulence promotes boundary layer separation, reducing wall adherence. These findings align with predictions from the RNG k–ε model, confirming higher energy dissipation near rough walls. The VOF method effectively captures the air–water interface dynamics during tank emptying, as shown in (Fig. 4).

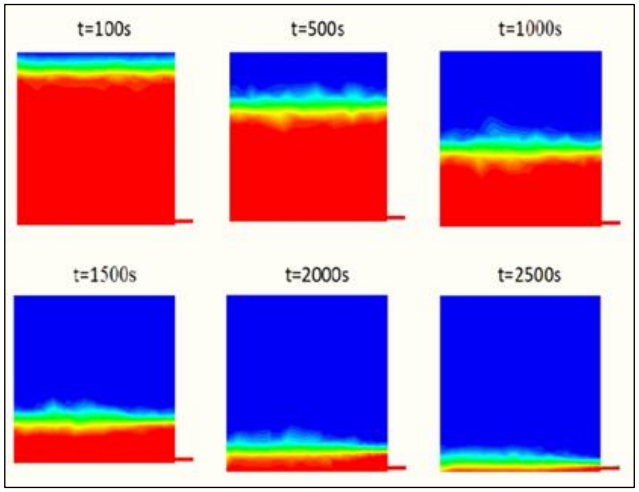


Figure 4: Contours of volume fractions of fluids at different times (s).
Source: Authors, (2026).

As depicted in (Fig 5), the steepest reduction in emptying time (up to 4.67 %) occurs at lower roughness levels (0 –6.00 mm), with a “roughness threshold effect” suggesting diminishing returns beyond 10.00 mm, likely due to fully developed turbulence. This matches the RNG k–ε model’s strain-rate term for high-roughness flows.

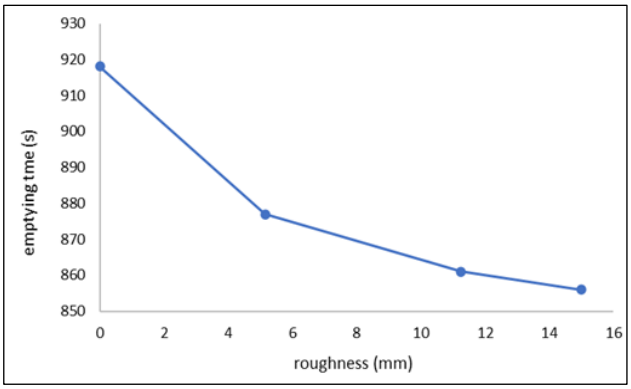


Figure 5: Experimental variation of tank emptying time as a function of wall roughness.
Source: Authors, (2026).

The numerical framework shows strong agreement with experimental data (Fig 7), particularly for roughness levels of 5.15–11.25 mm, with deviations < 3 %. A slight underestimation of emptying times at low fluid heights ((h < 0.2,), Figure 10) suggests limitations in modeling the air–water interface. The RNG k–ε model accurately reproduces the roughness threshold effect, as shown in (Fig 6).

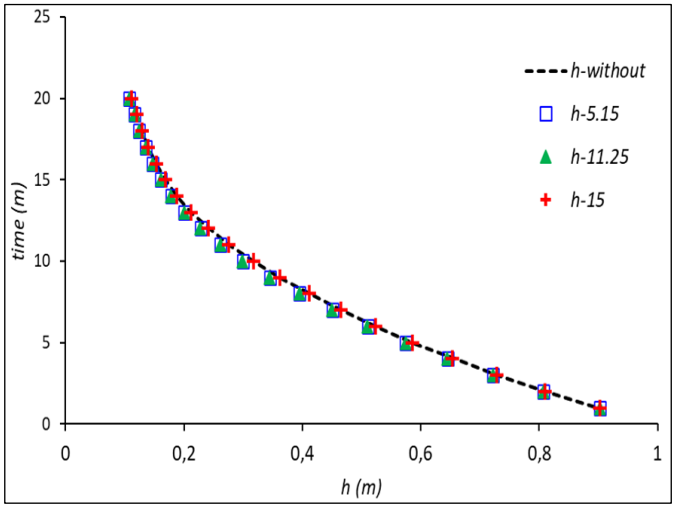


Figure 6: Variation of emptying time versus the free-surface level for different roughness values.
Source: Authors, (2026).

(Fig 7) validates the numerical results against experimental data for all roughness conditions, showing deviations < 5 %. Minor discrepancies at late-stage emptying (low fluid heights) may result from unmodeled air entrainment or VOF limitations in resolving micro-scale bubbles. The RNG k–ε model's accuracy is confirmed for rough-wall flows. This figure also plots the relationship between fluid height (h) (in meters) and time (t) (in minutes). Experimental data ((h)–Exp), represented by red (+) signs, closely match numerical results ((h)–Numerical), shown as blue circles. Both datasets follow a non-linear decreasing curve, indicating that emptying time decreases rapidly as fluid height increases. The close agreement reflects the accuracy of the numerical simulations, with minor differences likely due to experimental errors or simplifications in the mathematical model.

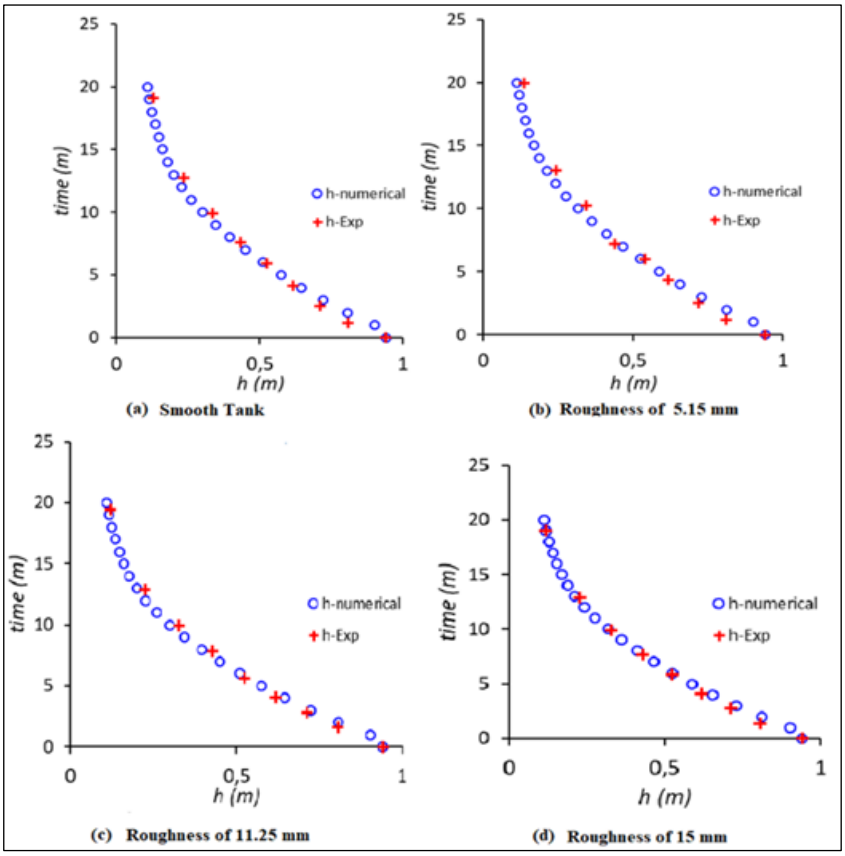


Figure 7: Comparison of experimental ((h)–Exp) and numerical ((h)–Numerical) fluid height versus time for different roughness conditions: (a) smooth tank, (b) roughness of 5.15 mm, (c) roughness of 11.25 mm, (d) roughness of 15.00 mm.
Source: Authors, (2026).

The graphs demonstrate excellent agreement between experimental and numerical results across all four roughness conditions, validating the accuracy of the numerical model employed. Total drainage time decreases with increasing roughness, dropping from approximately 20 seconds for the smooth tank to about 18 seconds at 15 mm roughness. All curves follow a typical nonlinear behavior characteristic of gravity-driven tank drainage. The deviation between experimental and numerical values diminishes at higher roughness levels, indicating improved simulation accuracy under increased turbulence conditions.

IV. CONCLUSIONS

This study quantified the influence of wall roughness on the discharge kinetics of free-surface tanks through a synergistic approach combining experimental validation and Computational Fluid Dynamics (CFD). The findings demonstrate a distinct non-linear relationship where increased surface roughness significantly accelerates the emptying process. This effect is most pronounced within the lower roughness regime (0–6.00 mm). Conversely, a critical threshold was identified beyond 10.00 mm, where the influence of roughness on flow enhancement plateaus due to the onset of fully developed turbulence.

The numerical framework, utilizing the Volume of Fluid (VOF) method and the RNG k–ε turbulence model, exhibited high fidelity in reproducing experimental trajectories, achieving a deviation margin of less than 5%. However, discrepancies were noted at low fluid depths ($h < 0.2$), attributed to the limitations of the VOF method in resolving complex air entrainment and micro-scale bubble dynamics during late-stage drainage. Collectively, these results underscore the potential of surface roughness as a passive control parameter for optimizing hydraulic system design. Future research should prioritize advanced multiphase modeling to resolve interface dynamics at shallow depths and expand the roughness topology spectrum to further characterize the identified turbulence threshold.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Belaid Larbi, Bessanane Nabil and Tebbi Fatima Zohra.
Methodology: Belaid Larbi, Bessanane Nabil and Tebbi Fatima Zohra.
Investigation: Belaid Larbi, Bessanane Nabil and Tebbi Fatima Zohra.
Discussion of results: Belaid Larbi, Bessanane Nabil and Tebbi Fatima Zohra.
Writing – Original Draft: Belaid Larbi, Bessanane Nabil and Tebbi Fatima Zohra.
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Resources: Belaid Larbi, Bessanane Nabil and Tebbi Fatima Zohra.
Supervision: Belaid Larbi, Bessanane Nabil and Tebbi Fatima Zohra.
Approval of the final text: Belaid Larbi, Bessanane Nabil and Tebbi Fatima Zohra.

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RESEARCH ARTICLE OPEN ACCESS

EXPERIMENTAL VALIDATION OF A NOVEL DUAL-SLOT SIW BANDPASS FILTER FOR 5G KA-BAND APPLICATIONS

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ABSTRACT

This study details the design, optimization, and experimental validation of an innovative dual slot Substrate Integrated Waveguide (SIW) bandpass filter intended for 5G Ka-band applications. The proposed filter is implemented on a cost-effective Rogers RO5880substrate and exhibits a second-order quasi elliptic response achieved by etching a novel transverse dual-slot topology within the SIW cavity. The filter was fabricated using standard PCB procedures. The measured results show strong agreement with simulations, confirming the robustness of the design. The small device measures14.15×27.86 mm² and functions effectively inside the 27-29 GHz range, attaining a fractional bandwidth of 8.81%,a return loss of -42 dB, and an insertion loss of -3.16 dB. These results demonstrate that the proposed dual-slot SIW filter provides a highly selective, miniaturized, and low-cost solution, making it a promising candidate for integration in next-generation 5G millimeter-wave front-end systems.

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I. INTRODUCTION

Fifth-generation (5G) wireless technology has revolutionized mobile communications, establishing a new paradigm of ultra-low latency, massive machine-type communications, and multi-gigabit data throughput [1], [2]. This enhanced capability is the key enabler for transformative new applications, ranging from autonomous vehicles and intelligent smart cities to immersive augmented and virtual reality experiences [3]. To achieve its promise of high-capacity and multi-gigabit speeds, 5G leverages a wide spectrum, including millimeter-wave (mmWave) frequencies [4]. Within this range, the Ka-band (26.5–29.5 GHz), standardized as bands n257 and n258 in the 3GPP specifications, is particularly critical due to the availability of large contiguous bandwidth blocks, a stark contrast to the more fragmented spectrum below 6 GHz [5], [6]. This abundant bandwidth is the fundamental enabler for the rich user experiences and high-throughput applications envisioned for 5G. However, the deployment of Ka-band relies on dense networks of high frequency small cells, which are ideal for capacity boosting in densely populated urban areas [7], [8].

This architecture is necessary to overcome the significant technical challenges of Ka-band propagation, which is highly susceptible to path loss, atmospheric absorption, and blockage by physical obstacles [9]. Consequently, the development of sophisticated network architectures and supporting technologies is crucial to realizing the potential of Ka-band 5G. The performance of 5G systems in the Ka-band is critically dependent on passive components, particularly filters, which are tasked with signal isolation and interference suppression [10]. A primary design challenge at these high frequencies is minimizing insertion loss to preserve signal integrity, as inherent conductor and dielectric losses become substantial [10]. Furthermore, the architectural shift towards dense small-cell networks and the space constraints within user equipment impose a strict requirement for miniaturization [11]. Consequently, the development of compact filters is not merely an optimization goal but a necessity for enabling the dense and flexible radio designs required for comprehensive 5G coverage.

The drive for widespread adoption also places a premium on economic factors; specifically, 5G requires components that are not only high-performing but also affordable and easy to deploy in large volumes [11]. In this context, low-loss filters provide a dual benefit: they directly improve system efficiency by reducing wasted power and thermal load, and they contribute to the overall cost-effectiveness that is essential for the economic viability of 5G networks [10]. The design of filters for the Ka-band presents a fundamental engineering trade-off. On one hand, traditional waveguide filters are valued for their inherently high-quality factor (Q) and excellent performance at millimeter-wave frequencies [12]. However, their bulky, three dimensional structures render them incompatible with modern planar circuit technologies, severely restricting their integration into compact 5G base stations and user equipment [12]. On the other hand, planar solutions like microstrip filters offer a compact, low-profile form factor that is ideal for integration with standard printed circuit boards (PCBs). Yet, at Ka-band frequencies, these structures suffer from prohibitive conductor losses and significant radiation, which drastically degrades overall system efficiency and performance [13]. This dichotomy creates a critical technological gap. Consequently, there is a pressing need for a filter technology that successfully bridges this divide, merging the low-loss performance of classical waveguides with the compact, planar, and integrable nature of microstrip circuits.

To satisfy the requirement for compact, high-performance filters in 5G and Ka-band applications, SIW technology has emerged as a viable alternative, merging the low-loss and high-Q attributes of traditional waveguides with the benefits of planar integration. SIW structures, often implemented with arrays of metallized vias within a dielectric substrate, provide effective confinement of electromagnetic energy while minimizing radiation losses. By incorporating resonant slots, dual-mode cavities, or defected ground structures (DGS), SIW filters achieve miniaturization and precise frequency selectivity, enabling wide-band, dual band, or quasi-elliptic responses in a compact footprint. Recent designs demonstrate that these techniques allow the realization of high-performance filters with controllable transmission zeros, robust pass-bands, and fabrication compatibility with standard PCB processes, making them highly suitable for 5G base stations and next-generation millimeter-wave consumer devices [14-23]. The primary contribution of this work lies in the design, fabrication, and experimental validation of a novel miniaturized dual-slot SIW bandpass filter specifically optimized for 5G Ka-band applications. The proposed topology innovatively combines inductive metallic posts and precisely engineered transverse dual slots within the SIW cavity, effectively enhancing coupling, generating additional transmission zeros, and improving both selectivity and bandwidth without increasing size.

Implemented on a thin, low-loss Rogers RO5880 substrate, the fabricated filter achieves a compact footprint of 14.15×27.86 mm^2, featuring a low insertion loss of −3.16 dB, FBW of 8.81% at 28 GHz, and an outstanding return loss exceeding −42 dB. These results surpass several recently reported SIW-based filters and confirm the efficiency of the proposed dual-slot configuration. Overall, this work provides a cost-effective, PCB compatible, and high-performance filtering solution that bridges the gap between compact planar integration and waveguide-level quality, making it highly suitable for next-generation millimeter-wave 5G front-end modules. The rest of this paper is structured as follows. A thorough literature overview of recent developments in SIW bandpass filters is given in Section 2, emphasizing their evolution, design techniques, and performance for 5G Ka-band applications. Section 3 introduces the fundamentals of SIW technology, detailing its guiding mechanisms and advantages for millimeter-wave integration. Section 4 describes the materials and methodological approach used in this work, including the design, optimization, and implementation of the proposed slotted SIW BP filter. Section 5 presents and discusses the simulation and experimental results, including the primary SIW waveguide structure, inductive post filter configurations, dual-slot filter design, and experimental validation. The paper is finally concluded in Section 6, which summarizes the key findings and highlighting the practical significance and integration potential of the proposed filter for 5G systems.

II. LITERATURE REVIEW

To meet the size constraints of 5G equipment, researchers have explored miniaturization techniques. Recent studies have demonstrated continuous progress in the development of SIW-based filters to achieve the demanding specifications of 5G and millimeter-wave communication systems. Liao et al. [15] introduced an advanced class of millimeter-wave filters based on a hybrid SIW–spoof surface plasmon polariton (SSPP) and meta structure concepts. Their approach achieved high miniaturization, broad bandwidth, and reduced insertion loss, demonstrating the potential of hybridized SIW platforms for beyond-5G applications. Huang et al. [16] designed a cost-effective substrate-integrated waveguide bandpass filter specifically optimized for 5G bands, providing excellent return loss and high frequency selectivity while maintaining compactness and ease of fabrication. Similarly, Wong et al. [17] proposed a quasi-elliptic SIW filter employing microstrip line cross-coupled resonators and slot-coupled to enhance stopband attenuation and achieve steep skirt selectivity. Moreover, Wang et al. [18] developed a dual-mode bandpass filter based on a slot line resonator structure, offering a compact configuration and wideband response suitable for millimeter-wave frontend integration. Bendahmane et al. [19] proposed a dual-band star-shaped slotted microstrip patch antenna miniaturized using a combination of a high-permittivity substrate and the Defected Ground Structure (DGS) technique.

By replacing the conventional substrate with a high-ε material and introducing carefully designed slots in both the patch and the ground plane, the authors were able to retain dual-band functioning at 2.4 GHz and 5 GHz while significantly reducing the size of the antenna. Sotoodeh et al. (2008) proposed a metallic inductive post-based filter utilizing SIW technology. The filter was designed on the commercial substrate RT/Duroid 5880 with a center frequency of 18.3 GHz. In the passband, the filter response produced less than 2 dB of insertion loss [20]. Additionally, a novel SIW bandpass filter integrating a Defective Microstrip Structure (DMS) and Defective Ground Structure (DGS) and was also proposed [21]. This filter was fabricated on a dielectric material that is 0.5 mm thick and has a dielectric constant of 3.5. It exhibits a stopband attenuation of 28 dB from 26 GHz to 28 GHz and a low insertion loss of 0.5 dB and. For 5G applications, a fractional bandwidth of 7.2% at −3 dB and a center frequency of 27.4 GHz are attained. Zhang et al. (2016) presented a fourth-order Ka-band filter incorporating a negative cross-coupling structure. A coplanar waveguide (CPW) line was used to improve the stopband performance. The proposed design demonstrated greater stopband rejection than a similar fourth-order filter without the CPW line.

The SIW filter was centered at 28 GHz with a bandwidth of 2 GHz [22]. The integration of planar circuits enables the construction of large scale, low-cost microwave and millimeter-wave systems. Designed for 5G millimeter-wave applications, Salehian and Tayarani (2023) presented a dual-pole bandpass filter using a three layer Substrate Integrated Gap Waveguide (SIGGW). The results show that the proposed filter has a single transmission zero close to the passband and an FBW of 5% [23].

III. SIW FUNDAMENTALS

The SIW structure is defined by the upper and lower metal layers of the substrate connected by two parallel rows of metallic via-holes (see Figure 1). The fundamental TE_{10} mode, which is the dominant mode in rectangular waveguides, may propagate because the substrate is essentially sandwiched between these two metal plates [24].

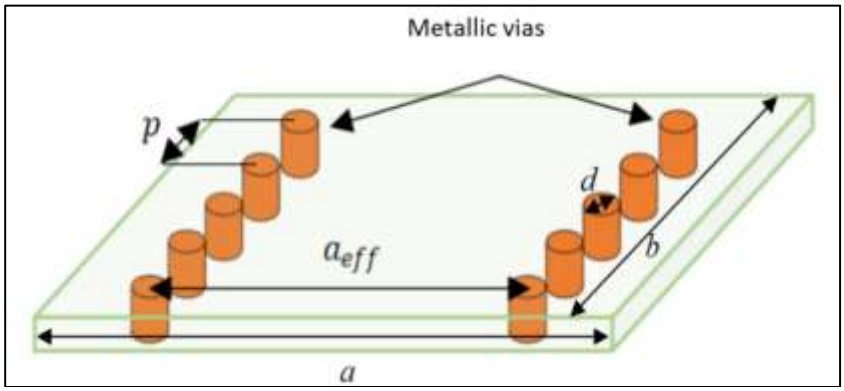


Figure 1: SIW-based structure.
Source: Authors, (2026).

SIW fundamental mode propagation is analogous to that of a rectangular waveguide filled with dielectric and having an equivalent width a_{eff}. The crucial design parameter, the effective width a_{eff}, is obtained from the physical SIW width a, via diameter d, and via pitch p as follows:

$$a_{eff} = a - \frac{d^2}{0.95p} \tag{1}$$

This empirical formula ensures that the SIW cutoff frequency is accurately determined, which is paramount for filter design. The TE_{10} mode's cutoff frequency is:

$$f_c = \frac{c}{2a_{eff}\sqrt{\varepsilon_r}} \tag{2}$$

Where $\varepsilon_r$represents the substrate's relative permittivity, and c denotes the speed of light in vacuum.
The diameter of vias d and the distance between two adjacent$p$are calculated using the following formulas:

$$d \leq \frac{\lambda_g}{5} \tag{3}$$

$$p \leq 2d \tag{4}$$

$\lambda_g$is the wavelength of the waveguide. In the SIW filter for the TE_{10} mode, dimension b is less important because it has no effect on the cut-off frequency of the waveguide. Waveguide bandpass filters can be designed using several methods, including E-planes, H-planes, irises, and metallized cylindrical inductive posts. For SIW technology, metalized cylindrical inductive post filters are particularly advantageous due to their simple implementation [25]. Two approaches are typically used for designing basic inductive post filters: off-centered posts with identical via diameters and centered posts with varying via diameters. Using two symmetrically positioned posts offers distinct advantages over a single post configuration, inherently leading to a smaller spread of higher-order fields for the same susceptance. This is primarily because the symmetrical setup prevents the excitation of the second-order mode. Consequently, this topology allows for optimizing load impedance matching without affecting the susceptance. The susceptance is calculated for the dominant TE_{10} mode, where the electric field vector is directed parallel to the posts, as shown in Figure 2. Deslandes and Wu incorporated the formulas suggested by Gruenberg in their research [24]. The fundamental formulas for this susceptance were derived by analyzing a uniform current in the column and modeling the concentrated currents along its axis to assess the induced fields. Furthermore, it is a standard practice in modern filter synthesis to transform this equivalent network into a *K*-inverter, as defined by Equation (5), to facilitate a systematic design process.

$$K = Z_0 \left| \tan\left(\frac{\phi}{2} + \tan^{-1}\frac{X_a}{Z_0}\right)\right| \tag{5}$$

$$\phi = \tan^{-1}\left(\frac{2X_b}{Z_0} + \frac{X_a}{Z_0}\right) - \tan^{-1}\frac{X_a}{Z_0} \quad (6)$$

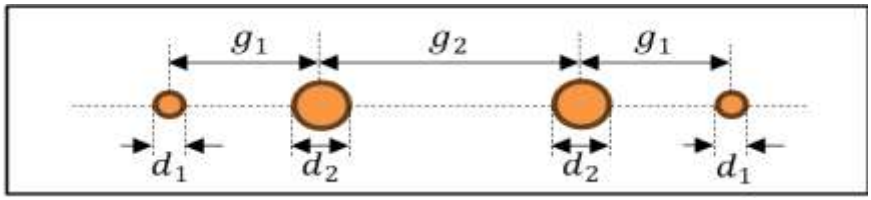


Figure 2: Topology of the centered post-filter model showing various post diameters.
Source: Authors, (2026).

Where: d_1 and d_2 are the diameters of the centered posts, g_1 and g_2 are the distances between them, as shown in Figure 2. Adding slots to SIW structures provides significant design flexibility, enabling the tailoring of the millimeter-wave device's performance for various applications, including 5G communication systems and radar systems.

IV. METHOD AND MATERIALS

The proposed bandpass filter (BPF) presented in Figure 3 is implemented on a Rogers Duroid RO5880 substrate. This material is ideal for high-frequency, broadband applications due to its loss tangent ($tan\ \delta$=0.0009), and relative permittivity εr=2.2.The suggested filter has a frequency of 28 GHz. The recommended filter operates at 28 GHz. To systematically develop the proposed dual-slot BPF, we analyzed the performance of three distinct SIW structures in simulation. First, we began with the SIW Primary Waveguide presented in Figure 3 (a), which serves as the fundamental foundation of the design and exhibits a cutoff frequency near 28 GHz. Next, we investigated the effect of inserting metallic posts to create the SIW Inductive Post Filter (see Figure 3 (b)). This step confirmed the structure's potential as a filter and allowed for initial optimization of the reflection coefficient and insertion loss. Finally, the novel contribution was realized by incorporating a transverse double-slot layout to create the SIW Dual-Slot Filter (see Figure 3 (c)).

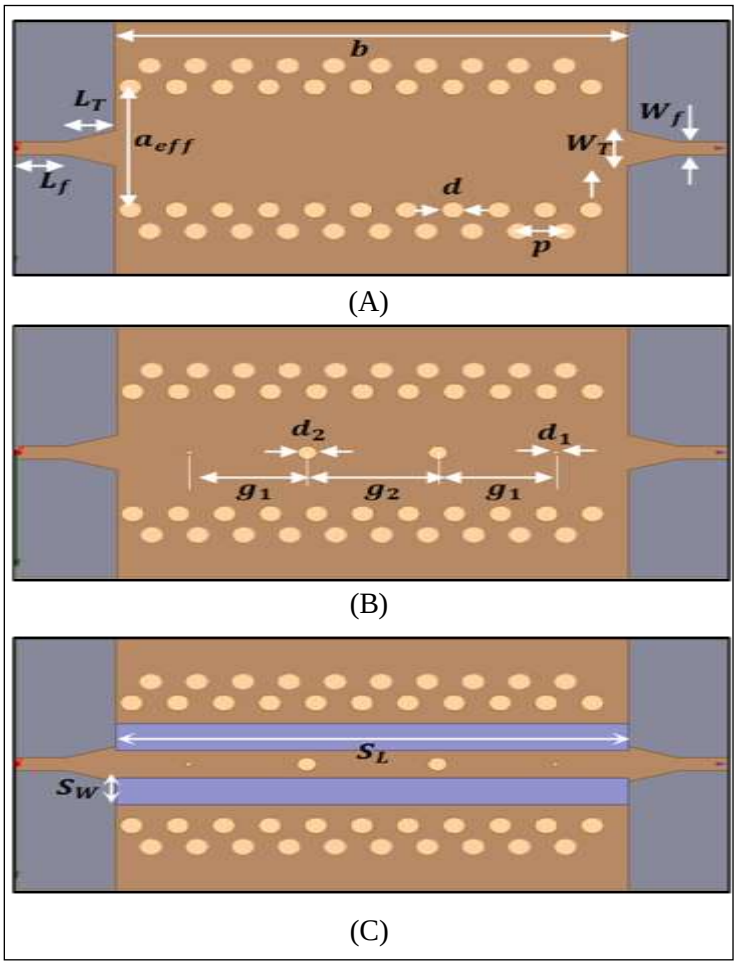


Figure 3: The structures of the proposed 5G filter: a) Basic SIW bandpass filter; b) SIW bandpass inductive post filter; c) SIW bandpass slotted post filter.
Source: Authors, (2026).

To create the micro-strip component, a quarter-wave tapered transformer is connected in series with a 50 Ω microstrip line [26]. The width, W_T, of the tapered line is determined by solving Equation (7), while its length, L_T, is given by Equation (8).

$$\frac{\frac{1}{4.38h}}{\frac{W_T}{h}+1.393+0.667\,ln\left(\frac{W_T}{h}+1.444\right)}=\frac{e^{\frac{-0.627\varepsilon_r}{\frac{\varepsilon_r+1}{2}+\frac{\varepsilon_r-1}{2\sqrt{1+\frac{12h}{W_T}}}}}}{a} \tag{7}$$

$$L_T=\frac{\lambda_g}{4} \tag{8}$$

The wavelength λ_g is given by :

$$\lambda_g=\frac{c}{f_c\sqrt{\varepsilon_r}} \tag{9}$$

First, we used the computationally obtained dimensions to simulate the proposed filter. We then improved it to achieve efficient transmission. The dimensions of the filter, operating at 28 GHz, are mentioned in Table 1.

Table 1: SIW banpass slotted filter parameters.

Parameters	Description	Values (mm)
a_{eff}	SIW width	5,562
p	Space length between adjacent vias	1,8
d	Metal via diameter	0,9
g_1	Post centered diameter	4,62
g_2	Post diameter	5,11
d_1	Distance between two post adjacent	0,22
d_2	Distance between two post adjacent	0,77
W_f	Tapered micro-strip width	0,762
L_f	Tapered micro-strip length	3,92
W_T	Transition width	1,99
L_T	Transition length	1,93
b	SIW length	20
S_L	The length of slots	20
S_W	The width of slots	1,5

Source: Authors, (2026).

V. RESULTS AND DISCUSSION

We used the HFSS simulator to simulate each of the suggested structures. The frequency range is chosen between 26 and 32 GHz. It was found that both the transmission coefficient S12 and the reflection coefficient S11 were measured.

V.1 SIW PRIMARY WAVEGUIDE

We initiated the simulation process with the SIW Primary Waveguide to establish the foundation for the filter design. The electric field distribution shown in Figure 4 validates the fundamental TE_{10} mode's propagation inside the structure. The observed field patterns, characterized by a dominant electric field component perpendicular to the substrate and confined by the metallic via arrays, validate the proper synthesis of the equivalent rectangular waveguide.

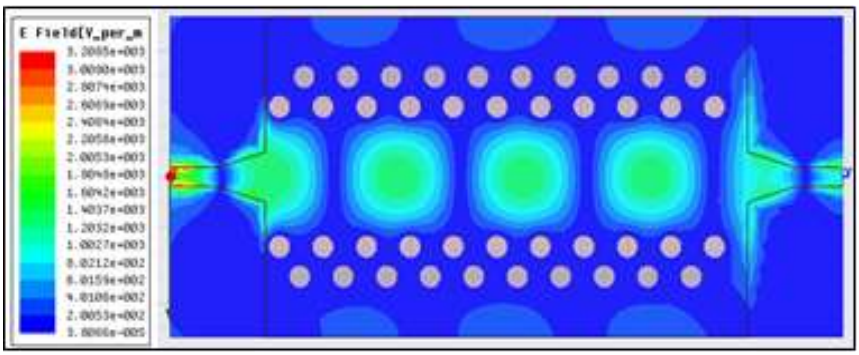


Figure 4: Electric field distribution for the SIW primary waveguide.
Source: Authors, (2026).

Figure 5 illustrates the matching S-parameters of the basic SIW filter. The transmission coefficient S12 is high across the Ka-band, confirming the structure's role as a low-loss transmission medium. More critically, the reflection coefficient S11 exhibits three

distinct resonance minima. These dips occur due to standing wave effects along the length of the waveguide, which contribute to improved impedance matching at those specific frequencies. We note a particularly strong return loss of −46.45 dB at 28.4 GHz, which is vital, as it demonstrates that the basic waveguide structure is already optimally matched at the desired center frequency, providing an excellent starting point for the subsequent filter stages.

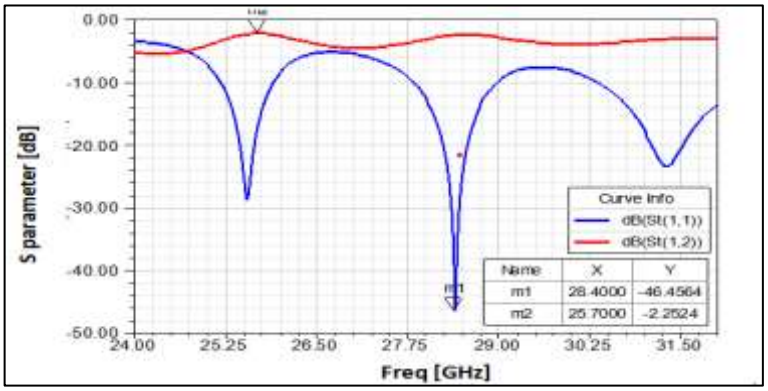


Figure 5: S parameter for the SIW primary waveguide.
Source: Authors, (2026).

V.2 5G BANDPASS FILTER WITH INDUCTIVE POST FILTERS

The next evolutionary step involves integrating inductive metallic posts within the SIW cavity to realize the necessary filtering characteristics. As illustrated in Fig. 6, the insertion of these posts alters the field distribution, effectively creating a series of coupled resonators, forcing the structure to function as a bandpass filter. The metallic posts act as lumped inductive elements, enabling the manipulation of the resonant modes and the establishment of an appropriate inter-resonator coupling mechanism to achieve the desired second-order response.

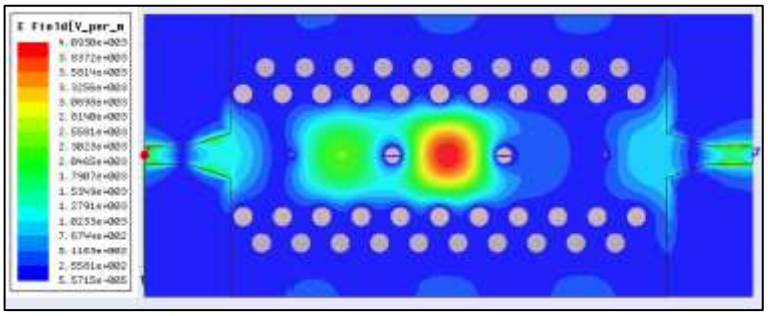


Figure 6: Electric field distribution for the 5G bandpass filter with inductive post filters.
Source: Authors, (2026).

Figure 7 depicts the corresponding simulated S-parameters. The reflection coefficient S11 clearly exhibits a well-defined resonance at the target center frequency of 28 GHz, achieving an excellent impedance matching (return loss) of −31.12 dB. The transmission coefficient S12 confirms the filter functionality, defining a bandwidth that ranges from 27.5 GHz to 28.98 GHz. This results in a desirable fractional bandwidth (FBW) of 5.28%. Furthermore, the filter maintains efficient power transfer within the passband, showing a low insertion loss of −2.71 dB. These results confirm the efficacy of the inductive post topology in synthesizing a functional, low-loss Ka-band filter, providing the required selectivity and initial bandwidth before further enhancement.

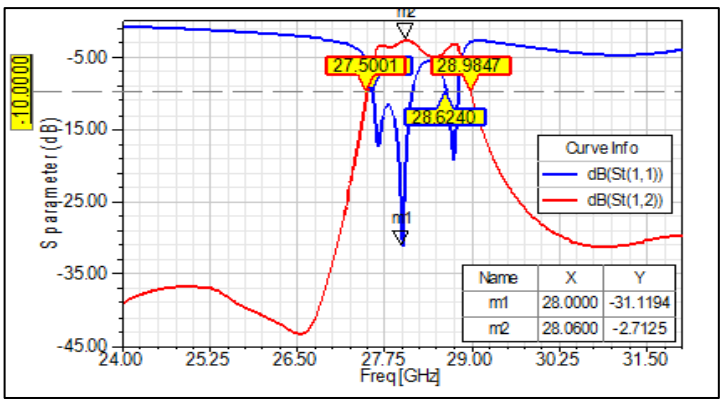


Figure 7: S parameter for the 5G bandpass filter with inductive post filters.
Source: Authors, (2026).

V.3 5G SIW BANDPASS SLOTTED FILTER

Figure 8 illustrates the simulated electric field distribution within the proposed 5G SIW bandpass slotted filter. The field pattern confirms the presence of strong electromagnetic confinement and resonance inside the SIW cavity, particularly around the slot regions, which validates the proposed filtering configuration. This concentrated field distribution demonstrates efficient energy coupling between the input and output ports, ensuring selective transmission at the designed resonant modes.

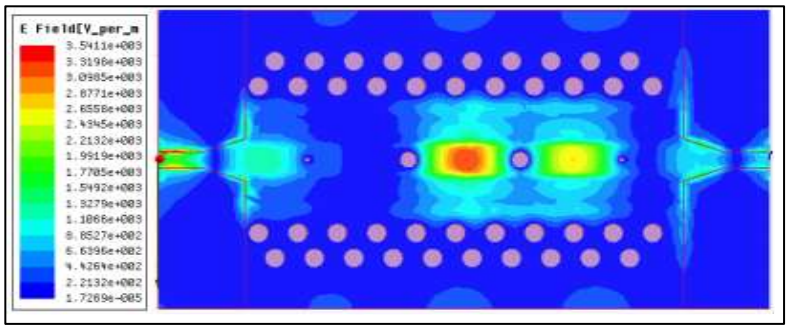


Figure 8: Electric field distribution for the 5G SIW bandpass slotted filter.
Source: Authors, (2026).

As shown in Figure 9, the corresponding S-parameter response reveals the emergence of three distinct resonant frequencies, indicating the excitation of multiple propagation modes within the structure. Among these, the resonance at 28.28 GHz is of primary interest, corresponding to the target 5G Ka−band. At this frequency, the filter exhibits an improved insertion loss of −2.4 dB and a fractional bandwidth (FBW) of 9.04%, representing a clear enhancement compared to the initial configuration. These results confirm that the dual-slot modification significantly improves the bandwidth and transmission efficiency while maintaining compactness, thus validating the effectiveness of the proposed SIW topology for 5G millimeter-wave applications.

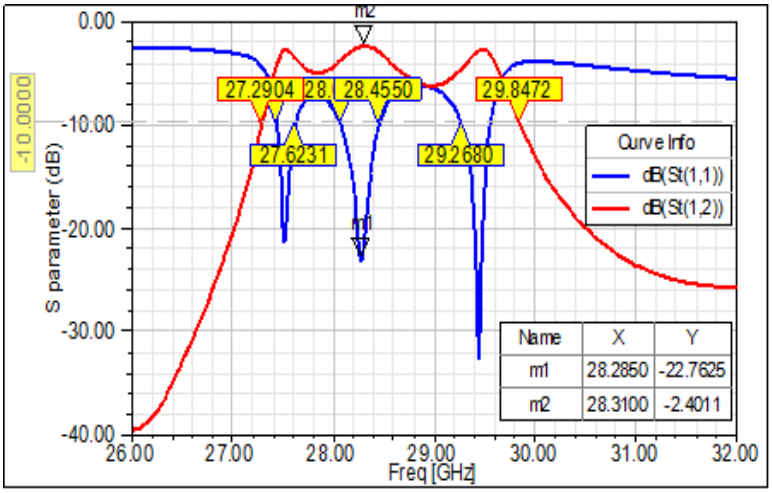


Figure 9: S parameter for the 5G SIW bandpass slotted filter.

V.4 EXPERIMENTAL VALIDATION

As a final step, we put the simulated filter design into practice, and the finished prototype is constructed on a Rogers RO5880 substrate. This substrate has a dielectric constant $\varepsilon_r = 2.2$ and a thickness $h = 0.787\ mm$. Figure 10 shows the 5G SIW bandpass filter's final prototype.



(a) (b)

Figure 10: 5G bandpass SIW filter with double slots: (a) top view;(b) bottom view.
Source: Authors, (2026).

Traditional industrial wave soldering techniques are often complicated and expensive. A simpler and cheaper alternative method is to use solder paste. While this method may affect system performance in some circumstances, we successfully connected the SMA connectors using solder paste. Since the filter is a passive component, the low temperature used during the soldering process did not affect its performance.

The filter's performance was tested using an Agilent PNA-L N5230C network analyzer. The measured S-parameters for the implemented 5G SIW dual-slot filter are shown in Fig. 11, which shows how well it performs in the 25.5 GHz to 30.5 GHz frequency range. Both the transmission (S21) and reflection (S11) coefficients are evident in these results.

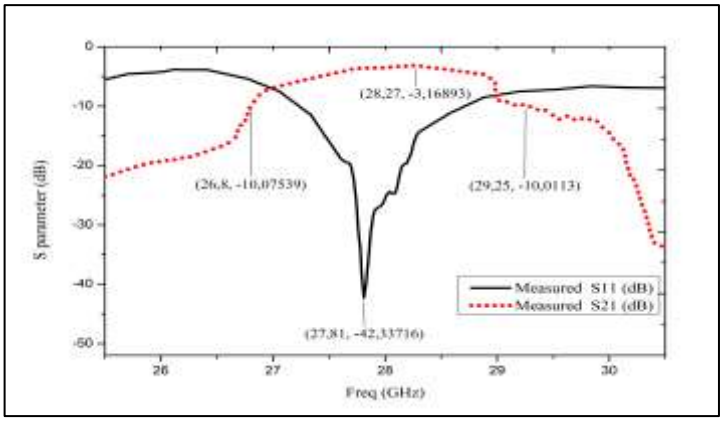


Figure 11: S parameter for the realized 5G SIW bandpass slotted filter.
Source: Authors, (2026).

The transmission coefficient (S21) indicates the filter's minimal loss across its passband, achieving a peak transmission (minimum Insertion Loss) of approximately −3.17 dB at 28.27 GHz. Simultaneously, the reflection coefficient (S11) shows how well the filter is matched to the system impedance, exhibiting a deep minimum (maximum Return Loss) of about −42.34 dB at 27.81 GHz. This very low S11 value confirms an excellent impedance match within the passband. The filter's bandwidth, defined by the −10 dB cutoff points for S21, extends approximately from 26.8 GHz to 29.25 GHz, successfully demonstrating its functionality as a bandpass filter in the designated 5G frequency spectrum. The comparison of the simulated and measured results for the suggested filter is shown in Table 2.

Table2: Simulated and measured results.

/	**Simulated**	**Measured**
FBW(%)	9.04	8.81
RL(dB)	32.7178	42.33
IL(dB)	2.4011	3.16

Source: Authors, (2026).

The comparison between the suggested filter's measured and simulated performance shows an acceptable level of agreement between theory and experiment. The Fractional Bandwidth (FBW) measured at 8.81% is very close to the simulated value of 9.04%, confirming that the operational frequency range was accurately predicted. The filter exhibited an excellent Return Loss (RL), with the measured value of −42.33 dB being significantly better than the simulated −32.72 dB. This superior measured RL indicates an even better impedance match and less reflected power in the physical prototype than anticipated. Conversely, the Insertion Loss (IL) measured at 3.16 dB is higher than the simulated 2.40 dB. This increase in loss is commonly observed in realized prototypes due to real-world factors such as surface roughness, dielectric and conductor losses, and non-ideal SMA connections or soldering, which typically add extra dissipation not perfectly captured in the simulation model.

V.5 COMPARATIVE STUDY

In order to assess the performance of the proposed SIW Bandpass Filter against a number of other SIW BPFs that have been described in the literature employing different technologies, this section conducts a comparative analysis, which is summarized in Table3.

Table3: Comparison between proposed and previously reported bandpass filters.

Ref	$RL(dB)$	$IL(dB)$	$FBW(\%)$	$fc\ (GHz)$
Measured in [21]	20	1.7	7.1	28
Measured in [22]	17	1	3.57	28
Simulated in [23]	60	1.8	5	28
Simulated in [24]	20	0.5	7.2	27.4
Measured in this work	42.33	3.16	8.81	28

(*RL: return loss, *IL: insertion loss, *FBW: -3dB fractional bandwidth, *fC: center frequency)
Source: Authors, (2026).

The comparative study, summarized in Table 3, highlights that the proposed SIW BPF shows good overall performance in the 5G band, particularly excelling in two key criteria: Fractional Bandwidth (FBW) and Return Loss (RL). The filter achieves the highest measured FBW at 8.81%, making it desirable for high-throughput applications by offering the widest relative bandwidth among the compared filters. Furthermore, its measured RL of −42.33 dB is exceptional, being significantly better than all other measured and most simulated results, which confirms the filter's superior impedance matching quality. However, the filter's main drawback is its measured IL=3.16 dB, which is higher than the 0.5 dB to 1.8 dB range reported for the other filters, a difference likely attributable to real-world fabrication losses.

VI. CONCLUSIONS

This work successfully designed, fabricated, and experimentally validated a high performance SIW bandpass filter specifically tailored for operation within the 5G Ka−band. The design leveraged the inherent robustness of the SIW structure and incorporated novel features, including inductive posts and a slotted structure, all progressively optimized in simulation to enhance performance, particularly in terms of bandwidth and impedance matching. The final filter prototype, built on a Rogers RO5880 substrate, was rigorously characterized using an Agilent PNA-L N5230C network analyzer, yielding experimental results that demonstrated strong agreement with the simulations. With an outstanding Return Loss of −42.33 dB, a wide Fractional Bandwidth of 8.81%, and an Insertion Loss of −3.16 dB, the realized filter demonstrates competitive performance centered on 28 GHz. Critically, a comprehensive comparative study with recently published SIW filters confirmed that the proposed design offers superior performance in both its RL and FBW metrics. These strong characteristics position the proposed SIW filter as a highly promising candidate for direct integration into compact and high-performance 5G communication systems. Future work will focus on minimizing Insertion Loss through material optimization and advanced coupling techniques to further enhance the filter's potential for mass production and higher power applications.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Fatiha Louakhche, Ahcene Abed, Redha Bendoumia and Ahmed bouchekhlal.
Methodology: Fatiha Louakhche and Ahcene Abed.
Investigation: Fatiha Louakhche, Ahcene Abed, Redha Bendoumia and Ahmed bouchekhlal.
Discussion of results: Fatiha Louakhche, Ahcene Abed, Redha Bendoumia and Ahmed bouchekhlal.
Writing – Original Draft: Fatiha Louakhche.
Writing – Review and Editing: Ahcene Abed and Redha Bendoumia.
Resources: Ahcene Abed.
Supervision: Ahcene Abed and Redha Bendoumia.
Approval of the final text: Fatiha Louakhche, Ahcene Abed, Redha Bendoumia and Ahmed bouchekhlal.

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RESEARCH ARTICLE OPEN ACCESS

AES-ENHANCED BLOCKCHAIN INTRUSION DETECTION SYSTEM FOR SECURE NETWORKS

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ABSTRACT

Blockchain is a distributed ledger technology that can securely, transparently, and tamper-proofly record transactions across a network. IDS on blockchain monitors nodes and activities in transactions to detect malicious or unusual patterns, thereby improving network integrity. However, blockchain also has disadvantages such as high computational overhead, vulnerability to specific attacks, and limited scalability. As a method to enhance IDS performance, the Z-score is used to normalize feature values, stabilizing the model and facilitating convergence. A combination of Support Vector Machines (SVM) and Decentralized Identification (DID) architecture can effectively and reliably distinguish between normal node behavior and malicious node behavior. Key verification uses consensus-driven transaction authentication, and a Multi-Layer Perceptron Neural Network (MLPNN) can detect complex attack patterns. All sensitive information is protected using the Advanced Encryption Standard (AES) to provide robust encryption for both stored and transmitted data. By combining these methods, blockchain applications can offer a comprehensive, secure, and scalable network intrusion detection system, addressing the limitations of detection accuracy, computational efficiency, and privacy in existing data and traditional blockchain implementations, to achieve an accuracy of 91%.

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I.INTRODUCTION

Intrusion detection in distributed and decentralized systems has become a hot research topic, especially when combined with blockchain technology to provide transparency, security, and coordination to participating nodes [1], which allows for decentralized learning without compromising data privacy [2]. Similarly, automotive edge applications and blockchain combined with federated learning have been used to implement collaborative and scalable intrusion detection architectures [3].

In addition to the transportation and automotive fields, security intrusion detection algorithms have also been proposed in the drone cyber field, including blockchain and radial-based functional neural networks to provide platform security and manage trust levels in real time [4]. Additionally, blockchain-based collaborative detection systems have been designed to improve the resilience and responsiveness of intrusion detection systems through challenges [5]. In summary, the above strategies demonstrate that blockchain with the help of advanced learning methods has great potential to improve the scalability, security and efficiency of intrusion detection in various application areas.

- Objective: To design a decentralized intrusion detection system combining DIT, smart contracts, consensus-based key verification and AES encryption to detect intrusions in real-time.
- Problem Definition: Reliance on centralized trust, identity spoofing, key management attacks, and insecure data transmission (including network transmission) pose many threats to traditional IDS.

- Key Contribution: Proposes a multi-stage process for tamper-proof node authentication, decentralized key verification, and encrypted sharing of IDS data to ensure its security, reliability, and scalability.
- Reason for investigation: Traditional intrusion detection methods have their limitations, and the proposed solution using blockchain and cryptography technologies should address these issues to provide transparency, decentralization, and resilience in detecting intrusions in contemporary distributed networks.
- Work Structure: This paper is divided into sections including workflow design, DID generation, key verification, AES encryption, performance metrics, results and discussion, and conclusion for in-depth analysis and evaluation.

II. LITE8RATURE SURVEY

Vehicle communication systems are usually managed by a controller area network (CAN). By broadcasting data packets over a bus, CAN facilitates communication between electronic control units (ECUs) that coordinate, monitor, and control components in a vehicle [6]. However, automakers owners may want to keep confidential the important information needed to train the models.

A conditional generative adversarial network (CGAN) based collaborative intrusion detection algorithm is proposed and combined with blockchain-enabled distributed federated learning to solve the above problems [7]. However, many consensus algorithms, especially proof of work, require a large amount of computing power and energy.

Zero Trust Architecture (ZTA) has recently emerged as a new security model where a breach mindset dominates the threat model [8]. Blockchain to share and store the blacklist, and to create a duplicate verification function in the blockchain layer. However, relying on consensus mechanisms across all nodes makes B-IDS less efficient than centralized systems.

The Cooperative Intelligent Transportation System (C-ITS) is a promising technology designed to enhance traditional traffic management systems [9]. However, as the network grows, performance decreases as the amount of data each node must process and store increases.

Table 1: IDS in Cyber Security using Blockchain Technology.

Author/Year	Type of Techniques	Proposed Improvement	Key Contribution
Abou El Houda et al., (2021) [10]	Blockchain-enabled Federated Learning	Improves security and scalability by enabling decentralized and privacy-preserving learning.	Enhanced collaborative intrusion detection in vehicular edge computing with blockchain integration.
Moulahi, et al., (2022) [11]	Privacy-preserving Federated Learning	Strengthens privacy while maintaining detection accuracy in large-scale transport networks.	Designed cyber-threat detection framework for intelligent transport systems with blockchain-based security.
Pranto et al., (2022) [12]	Blockchain + Machine Learning	Enhances trust and adaptability while reducing data exposure in decentralized detection.	Developed a fraud detection system ensuring privacy and adaptive incentive mechanisms.
Truong & Le et al. (2024) [13]	MetaCIDS (Federated Learning + Blockchain)	Introduces fairness and real-time adaptability in blockchain-based intrusion detection.	Privacy-preserving collaborative intrusion detection for metaverse applications.
Cui et al. (2022) [14]	Federated Deep Learning (SDVN)	Ensures fair contribution of nodes and boosts performance in federated detection models.	Proposed a fairness-aware collaborative intrusion detection system for software-defined vehicular networks.
Said et al. (2021) [15]	CNN-BiLSTM + Hybrid Feature Selection	Improves accuracy and reduces computational overhead through optimized feature selection.	Hybrid deep learning framework for network intrusion detection in SDN.
Ferrag et al. (2021) [16]	Machine Learning (ML)	Provides benchmark datasets and highlights future research directions in agricultural cybersecurity.	ML-based intrusion detection solutions and datasets.

Source: Authors, (2026).

Table 1 demonstrates the IDS in Cyber Security using blockchain technology author's previous structure, including the type of Algorithm, proposed improvement, and key contributions.

Distributed Denial of Service (DDoS) attacks continue to grow rapidly, silently affecting Internet Service Providers (ISPs) and individuals alike [17]. Traditional IDS typically perform detection based on signatures and are therefore vulnerable to zero-day attacks. However, relying on consensus mechanisms across all nodes makes B-IDS less efficient than centralized systems. Cyber physical systems (CPS) are the integration of physical processes with processing and data transmission [18]. To solve this problem, this paper proposes a blockchain-based data transmission security intrusion detection system and classification model for CPS in the healthcare industry. However, the initial investment in setting up the infrastructure and hiring professional blockchain developers is significant, which can be a barrier for many companies. Large power systems have regional applications whose assets transmit sensor readings in real time. [19]. Introduces fairness and real-time adaptability in blockchain-based intrusion detection. However, this centralized sharing mechanism becomes a significant bottleneck due to operational limitations. Blockchain-based Collaborative IDS (PC-IDS), which uses blockchain technology to connect multiple IDSs [20]. Structure of BC-IDS: 1) Use IDS to create a list of malicious IP addresses; 2) Use blockchain to share and store the blacklist; 3) Create a duplicate verification function in the blockchain layer. However, integrating decentralized blockchain systems with existing centralized legacy infrastructure is technically complex and costly.

III. PROPOSED METHODOLOGY

The section product combines several methods to improve the security of the blockchain. Z-score normalization provides reliable results because identical scales are used throughout the data analysis. Support vector machine (SVM) is a useful tool for distinguishing between normal and malicious behaviors and improving intrusion detection performance. Decentralized identity (DIT) follows node identity, which is secure and verifiable, while transaction verification using consensus requires cooperation to verify transactions to eliminate unauthorized use. However, Multilayer Perceptron Neural Network (MLPNN) will be used to identify nonlinear patterns and improve the prediction capabilities of complex attacks. Finally, Advanced Encryption Standard (AES) is used for data encryption to ensure confidentiality and integrity of confidential information. All of these methods combine to create a powerful and robust blockchain intrusion detection system.

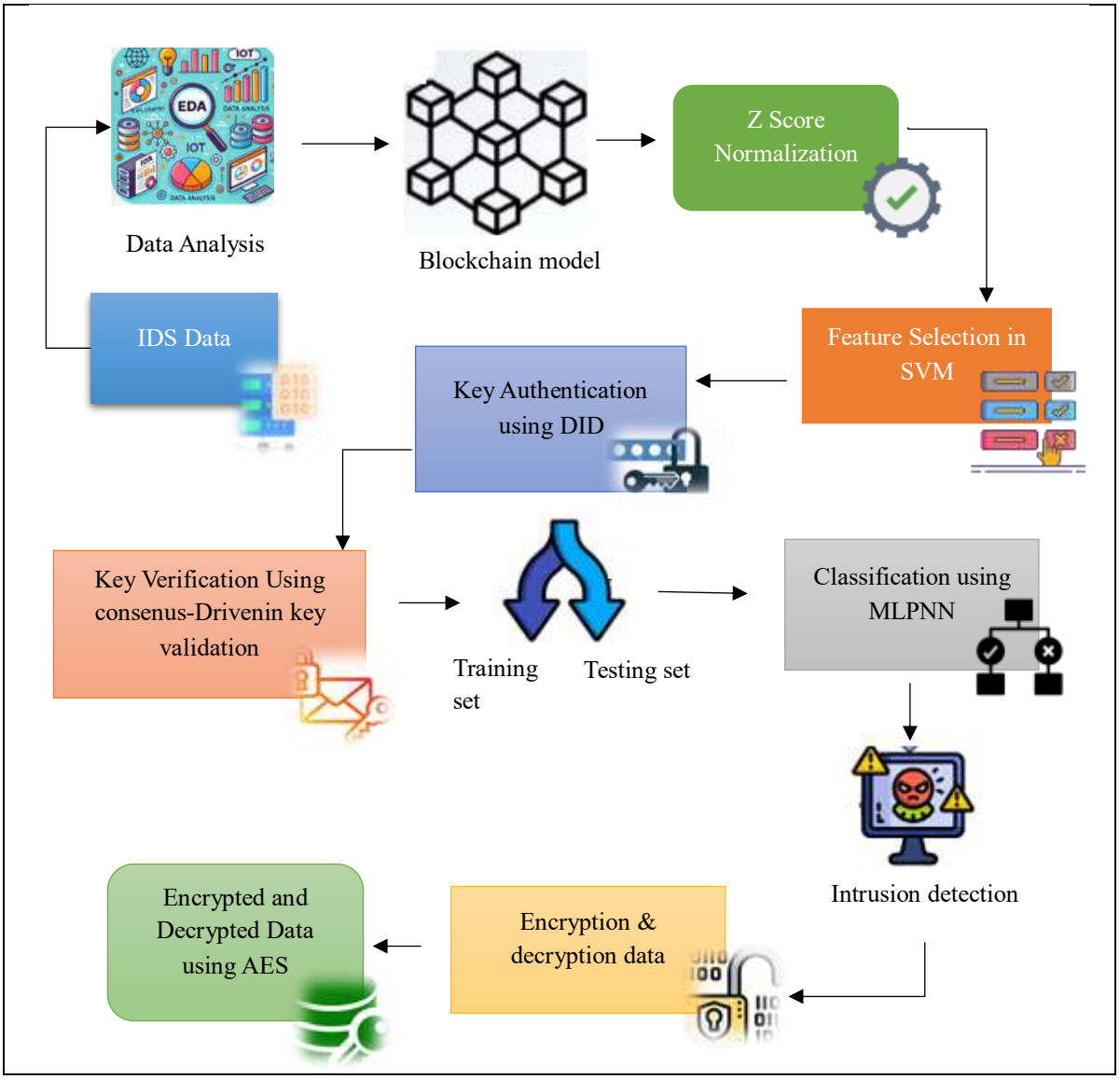


Figure 1: Architecture Diagram of AES-Enhanced Blockchain Intrusion Detection.
Source: Authors, (2026).

The figure 1 show it Z-Score Normalization Z-score normalization normalizes transaction characteristics by ensuring scaling consistency and improving model consistency. Support vector machines (SVMs) help classify behavior as normal or malicious, with the aim of increasing detection accuracy. DID uses verifiable consensus to securely identify nodes, CDKV uses network consensus to verify transactions so unauthorized parties cannot access them. Multilayer Perceptron Neural Networks (MLPNNs) offer linear modeling capabilities. Finally, Advanced Encryption Standards (AES) provide data security, preventing leakage of sensitive information during storage and transmission. Collectively, these methods create an effective, secure, and efficient blockchain intrusion detection system.

III.1 DATASET DESCRIPTIONS

The section dataset is provided for the audit, which contains various simulated intrusions conducted in a military network environment. It provides a view that captures raw TCP/IP dump traffic of the network by emulating a standard U.S. Air Force LAN. This LAN is centralized, similar to a real-world environment, and is subject to various attacks. A connection is a series of TCP packets, beginning and ending within a defined time period, that flow from a source IP address to a destination IP address within a defined protocol. Each attachment is defined as either a normal attachment or a single attack type. All connection records are approximately 100 bytes in size. For each TCP/IP connection, 41 quantitative and qualitative features (3 qualitative factors and 38 quantitative factors) are read from the normal data and the attack data. Class variables are divided into two types: normal and abnormal.

III.2 Z-SCORE NORMALIZATION

The data preprocessing technique called Z-score normalization transforms numerical values in CSV datasets to achieve standard normal distribution by computing them from mean and standard deviation parameters. Each data point receives its adjustment based on the mean and standard deviation of the feature it belongs to. The dataset achieves normalized statistics as features obtain an average value of zero with a standard deviation set at one, which enables acceptance by learning algorithms sensitive to scale variation. Z-score normalization provides optimal results in feature normalization because it allows for uniform importance between variables while maintaining standardization regardless of original measurement units.

$$Z_i = \frac{X_i - \mu}{\sigma} \tag{1}$$

The normalization process of CSV dataset points described by Equation 1 includes both mean μ and standard deviation σ adjustment to obtain standardized value Z_i. The calculated value Z_i determines the number of differences in standard deviations between a value and the mean. The X_i represents an initial value from the dataset. At the same time, μ refers to the mean column value, and σ represents the standard deviation column amount, along with Z_i representing the normalized standardized value of raw data. This normalization method enables different numerical features to contribute proportionally, ensuring that large values do not control training algorithms.

$$\mu = \frac{1}{N}\sum_{i=1}^{N} X_i \tag{2}$$

The μ value of a dataset column represents the calculated average obtained by adding all individual values in the column. The mean calculation requires a sum of all values X_i followed by division by N, which represents the total count. This formula shows how the variable N counts all data points from the column, while X_i represents the sum of all column values. The discussed equation is the main distribution center for characteristic values needed in Z-score transformations.

$$\sigma = \sqrt{\frac{1}{N}\sum_{i=1}^{N}(X_i - \mu)^2} \tag{3}$$

The σ indicates data point distribution about the mean value. Higher values of standard deviation represent wide dispersion of data points so data exists farther from the mean whereas lower values show data points tightly grouping near the mean.

$$\sigma = \sqrt{\frac{1}{N-1}\sum_{i=1}^{N}(X_i - \mu)^2} \tag{4}$$

This equation is selected when working with sample data from a larger population instead of complete population data. The main distinction from the initial formula involves substituting N with $N-1$ in the denominator to improve accuracy when measuring the population standard deviation from a group. The Z-score normalization process divides data in CSV files into several independent groups since CSV files consist of multiple numerical columns. The general formula for applying Z-score normalization to an entire dataset is,

$$Z_{ij} = \frac{X_{ij} - \mu_j}{\sigma_j} \tag{5}$$

The equation uses X_{ij} as the original value from row i and column j. At the same time, μ_j represents column mean values and σ_j represents the standard deviation of the columns, leading to Z_{ij} as the normalized value. The formula establishes independent standardization techniques that preserve data scaling consistency across all columns within the CSV dataset.

$$X' = X_i \text{ (if } X_i \text{ is not missing), else } X' = \mu \tag{6}$$

The analysis of actual datasets shows missing values (NaN values). The standard procedure for dealing with missing values X_i is replacing them with column mean μ. Missing values do not interrupt the normalization procedure through the implementation of this preventional measure.

$$X_i = Z_i.\sigma + \mu \tag{7}$$

The model interpretation requires the return of normalized values back to their original scale after completing the training. The procedure returns standardized value Z_i to its original scale by reversing normalization transformation.

III.3 SUPPORT VECTOR MACHINE SVM METHOD

The section SVM is a supervise machine learning technique that is mostly used in classifiers and regression. Concerning feature selection, SVM advantage uses the functional ability to determine the significance of each feature in terms of its contribution to the decision boundary of the hyperplane. Features are ordered according to the measure of how they impact an SVM's decision function. In this method, features are gradually eliminated one by one according to their weight in this SVM model until the minimal set is obtained. In this way, only significant features are kept with the method, decreasing dataset complexity, enhancing model solutions, and preventing overfitting. The number of kernel functions available in SVM can be linear, polynomial, or radial basis functions, and they can identify the linear or non-linear relations of the features. In the equation 8 perform SVM decision function,

$$f(i) = u^T i + b \tag{8}$$

Let assume, i as input feature vector, u as weight vector, b as bias term. This equation defines a hyperplane that separates different classes. The goal is to find u and b that maximize the margin between the two classes. By following in equation 9 maximize the margin,

$$\gamma = \frac{1}{\|u\|} \tag{9}$$

Here, the $\|u\|$ is represented for the magnitude of the weight vector, this equation is used to maximize this margin to ensure better generalization. The margin is the distance between the closest points (support vectors) of the different classes to the hyperplane. Then we optimization the problem for SVM through equation 10,11.

$$\min_{u,b} \frac{1}{2}\|u\|^2 \tag{10}$$

subject to the constraints:

$$j_x(u^T i_x + b) \geq 1 \text{ for all } x = 1,2,\dots,n \tag{11}$$

Let assume, i as training sample, j as the label, an n as total number of samples. The equation is used to find the optimal hyperplane that maximizes the margin while ensuring that the data points are classified correctly. By following we support vectors through equation 12, which the data points that lie closest to the decision boundary (hyperplane) and play a critical role in defining the hyperplane.

$$j_x(u^T i_x + b) = 1 \tag{12}$$

This equation used in the model to construct the decision function. This model contributes to the decision boundary, and their associated weights provide information about which features are most important. Then we perform kernel trick through equation 13, to map the data into a higher-dimensional space in cases where the data is not linearly separable,

$$f(i) = \sum_{x=1}^{n} \alpha_x j_x Q(i_x, i) + b \tag{13}$$

Let assume, Q as kernel function, α_x as Lagrange multipliers, it is used to assign u to each support vector, and j_x as class label of support vector. This equation is used to map the original data into a new higher-dimensional space where there exists a linear boundary in order to solve non-linear classification problems. The significance of each of the features can be determined by the examination of the u or the coefficients relating to the respective feature in the model produced. In linear cases, the magnitude of weight coefficients is used to determine the feature importance of $|u_y|$. We identified that those attributes which have a higher value in terms of weightage are important Features with higher magnitude weights are considered more important. This is why SVM is frequently used in image recognition, disease prediction, and other high-dimension problems: SVM is capable of identifying features that should be important and at the same time, it can sort data quickly and efficiently. This mathematical formulation, such as the decision function and the optimization process, and the kernel method guarantee that SVM as an algorithm is a reliable algorithm in machine learning, especially for feature selection in big and demand data.

III.4 DECENTRALIZED IDENTITY (DID)

The key authentication process uses decentralized identities (DITs) with smart contracts to verify that only legitimate nodes or organizations are allowed to join a blockchain-based intrusion detection system. In this approach, each node generates a DID and stores it on the blockchain as a permanent and auditable digital identity. Whenever a node tries to join or communicate with the system, the smart contract verifies the authenticity of the DID through the blockchain ledger. This eliminates the centralization of certificate authorities and the risk of identity spoofing or unauthorized access. The DID-to-public key relationship is established and validated by the smart contract, verifying that the requested identity is indeed associated with the node.

This mechanism provides a convenient, transparent and tamper-proof key authentication solution by improving the overall reliability of intrusion detection in distributed environments through a decentralized verification and automated trust process. The equation 14 binding process binds not only the node's identity, but also its encryption keys inextricably into a single, indestructible value. This DID is embedded in the blockchain, making it a permanent and immutable identifier. Therefore, hashing the public key and identity preserves the confidentiality of the original identity and the proof of the node's true identity during the authentication process. Let assume the DID_{node} −decentrlized identifier, ID_{node}-unique identify of the node, PK −public key of the node, H −cryptographic hash function, $||$ −concatenation.

$$DID_{node} = H(DID_{node}||PK_{node}) \tag{14}$$

The equation 15 DIT is registered, the smart contract will perform an authentication process to ensure that the submitted DIT is in the blockchain ledger. If the DID can be found, the contract executes the validation routine correctly associated with the DID. When both conditions are met, the authentication variable becomes 1, indicating that authentication is successful. Otherwise, the node is excluded from the system. The advantage of this is that it ensures that only genuine and pre-registered nodes can be authenticated and that there is no identity spoofing or unauthorized access. Let assume the $Auth_{node}$ − autheitcation values, $ledger$ −blockchain stored DID.

$$Auth_{node} = \begin{cases} 1, DID_{node} \in ledger \\ 0, \ otherwise \end{cases} \tag{15}$$

The equation 16 policy can be role-based or attribute-based, and when the smart contract rules are followed, the node is authorized to join or communicate with the IDS network. Otherwise, access is denied. Through this step, decentralized and transparent access control is implemented in the access control mechanism, where even authorized nodes require full rights to participate in accordance with the blockchain-mediated security policy. Let assume the $Access_{node}$ −final access status of node, SC_{policy} −smart contract policy

$$Access_{node} = Auth_{node} \times SC_{policy} \tag{16}$$

Identity and Public Key Generation DID generation and record cryptographic hashing combine both to provide each node with its own identity and public key. The generated DID is stored on the blockchain, hence incorruptible and decentralized. The result of this process is secure and verified node authentication without the need for a central authority.

III.5 CONSENSUS-DRIVEN KEY VALIDATION

Key Verification The key verification process uses each connected device to verify or deny the authenticity of the key before it is communicated within the intrusion detection workflow in a consensus-driven manner. When a node provides its public key, the proposed binding of the key to a decentralized identity (DID) is broadcast on the blockchain network. That is, instead of a single point of authority, multiple validator nodes participate in verifying that the key is correctly associated with the DID and has not been compromised. Each validator individually verifies the key binding and uses a consensus mechanism (such as proof-of-stake, practical Byzantine fault tolerance, or proof-of-representation) to reach consensus on whether the key is valid. When a majority of validators prove it is correct, the key is validated and permanently written to the blockchain ledger. Such a process supports transparent key verification, key tamper resistance and single point failure protection, improving the reliability and robustness of the intrusion detection mechanism. The equation 17 contains the node's decentralized identity, sharing this request with the blockchain network, the node asks the system to confirm or deny that the provided key is actually its DID. This request triggers consensus-driven verification, so that when a node requests verification, its keys are verified in a decentralized and transparent manner that considers all nodes in the decentralized network before passing the request to an acceptable state during the intrusion detection process. Let assume the Req_{key} −key verification, DID_{node} −decentrized identify of the node, PK_{node} −public key of the node.

$$Req_{key} = (DID_{node,}PK_{node}) \tag{17}$$

The equation 18 validation request is broadcast, validator nodes in the blockchain network independently evaluate the binding of the DIT and the public key. Verifier's Result: If the verify method Verify (·) verifies that the DID is correctly associated with the public key on the blockchain, the validator will output 1 (valid). Otherwise, it will output 0 (invalid). This is to ensure that validation is distributed across multiple validators to avoid single point manipulation and improve validation efficiency. Let assume the v_i − decision validator, $verify(.)$ − function that checks in public key

$$v_i(Req_{key}) = \begin{cases} 1, if \ verify(.)(DID_{node,}PK_{node}) = true \\ 0, \qquad\qquad otherwise \end{cases} \tag{18}$$

The equation 19 validity of the key is greater than or equal to, then the key is considered valid. Otherwise, the key is declared invalid and rejected. This makes key validation not dependent on a single validator, but rather the consensus of the network, and therefore can be considered non-tampering and acceptable. Let assume the $valid(pk_{node})$ −final decision on the validity of the node, N −total number of validators, θ −cpnsenus threshold

$$valid(pk_{node}) = \begin{cases} 1, \ \ if \ \frac{\sum_{i=1}^{n} v_i}{N} \geq \theta \\ 0, otherwise \end{cases} \tag{19}$$

Key verification using consensus ensures that a node's key is verified by multiple blockchain validators rather than by an individual. Each validator validates the key binding based on the node's DID, which is determined by a consensus threshold. This decentralized system prevents any kind of tampering and improves the reliability of the verification process.

III.6 MULTI-LAYER PERCEPTRON NEURAL NETWORK (MLPNN)

The section IDS prediction uses the Multi-Layer Perceptron Neural Network (MLPNN) to classify datasets as an artificial neural network. The network architecture includes an input layer followed by multiple hidden layers before reaching the output layer, and all of these layers use weighted connections. The supervised learning system of MLPNN depends on backpropagation and gradient descent for its optimization process. IDS prediction through MLPNN involves the analysis of historical IDS data, which includes price trends, trading volumes, and technical indicators to produce IDS classification results between bullish, bearish, and neutral statuses. The activation functions in ReLU or Sigmoid help the system create precise forecasts by simultaneously learning multiple complex patterns. The predictive power of MLPNN increases because it applies deep learning features and extraction techniques to become a beneficial predictor for financial decisions and investing approaches. In equation 20 weighted sum at each neuron,

$$z_j = \sum_{i=1}^{n} w_{ji} x_i + b_j \tag{20}$$

Calculating weighted sum input features occurs through Equation 23 across each neuron of hidden and output layers. The sentence includes various IDS -related features symbolized as x_i, encompassing opening price, closing price, volume, moving averages, and relative strength index (RSI). The overall model flexibility benefits from bias (b_j) adjustments while the weights (w_{ji}) control the importance of each feature. IDS relationships and price trend associations become learnable through activating the weighted input before it becomes the activation function input. By following we perform activation function, in equation 21 we perform sigmoid activation

$$f(z) = \frac{1}{1+e^{-z}} \tag{21}$$

Equation 22 finds practical use when analyzing binary classification issues because it predicts IDS value movement between bullish (1) and bearish (0). The function converts the weighted sum z into values ranging from 0 to 1 to enable forecasting IDS trends in bullish (1) or bearish (0). In equation 16 we perform Rectified Linear Unit (ReLU) function,

$$f(z) = \max(0, z) \tag{22}$$

IDS prediction systems employ Equation 23 as a standard implementation within MLPNN. The equation introduces nonlinearity to the analysis without causing gradient vanishing effects. Due to its limited positive value generation process, the network efficiently recognizes meaningful IDS shifts from past data patterns. Then we perform Hyperbolic Tangent ($\tan h$) through equation 17,

$$f(z) = \frac{e^{z}-e^{-z}}{e^{z}+e^{-z}} \tag{23}$$

According to Equation 24, the alternative to the sigmoid activation produces output values spanning from -1 to +1. Zero-centered data enable improved prediction learning because it suits strongly bullish, slightly bullish, neutral, lightly bearish and strongly bearish multi-class IDS trend analysis.

$$y_j = f(z_j) \qquad 8 \tag{24}$$

Starting from the weighted sum result, the activation function generates output y_j for the following layer. The softmax activation function helps the final output layer classify stocks into three categories: Buy, Hold, and Sell. The output layer should employ linear activation since it deals with continuous IDS price predictions. By following we compute the Mean Squared Error (MSE) through equation 25 for regression,

$$\mathbb{E} = \frac{1}{N}\sum_{k=1}^{N}(y_k - \hat{y}_k)^2 \tag{25}$$

The relationship determines the distance between predicted IDS values $\hat{y}_k$ and actual IDS values y_k. Model accuracy improves as the MSE decreases in the MLPNN predictive method. Future IDS predictions use this loss function that operates on historical data. Then we compute the cross-entropy loss through equation 26 to classification,

$$\mathbb{E} = -\sum_{k=1}^{N}[y_k \log(\hat{y}_k) + (1 - y_k)\log(1 - \hat{y}_k)] \tag{26}$$

For IDS category classification (Buy, Hold, or Sell), equation 29 replaces Mean Squared Error (MSE). Equation 27 computes the distinction between registered values and calculated probability estimates. The model receives low loss when it correctly predicts a high probability value, which optimizes MLPNN for improved IDS trading decisions. In equation 21 we perform backpropagation for update the weight by utilizing gradient descent,

$$w_{ji} \leftarrow w_{ji} - \eta \frac{\partial \mathbb{E}}{\partial w_{ji}} \tag{27}$$

Equation 27 enables the MLPNN to minimize errors through weight adjustments in the training phase. The gradient descent algorithm applies derivative computation on loss function ($\mathbb{E}$) to update weights w_{ji}. The learning rate η sets the amount by which weights adjust in each iteration.

The selection of an accurate learning rate in IDS prediction ensures efficient model learning, which avoids excessive step sizes and slow convergence rates. The system utilizes IDS inputs to perform weight-based transformations while including activation functions to introduce non-linearities that compute the loss difference between actual and predicted values before employing algorithm-enabled weight updates. The architecture of MLPNN makes it possible to identify IDS patterns for financial investors who need correct trading information.

III.7 ADVANCED ENCRYPTION STANDARD (AES)

The Advanced Encryption Standard (AES) is used for the encryption part of the blockchain-based intrusion detection process, which ensures confidentiality of communications and sensitive data shared between nodes. Each node encrypts the data using a key (a symmetric key, a session key derived from a decentralized identity (DIT), or a smart contract policy negotiation) before transmission. Plaintext data generated by an intrusion detection sensor or IDS alarm is encrypted into ciphertext using a series of permutations, permutations, and combination changes. This makes the information technically unintelligible to other entities. If the cipher is successfully authenticated and verified as belonging to the receiving node through the DIT and key verification process, the same symmetric key can be used to decrypt the cipher. Incorporating AES managed by blockchain control provides system confidentiality, machine integrity and secure communication, as only authorized and verified nodes can access IDS data in an untampered decentralized system. The equation 28, each node is equipped with its decentralized identity and a symmetric session key generated based on the access or session policy established in the smart contract. The key derivation function ensures that each node has a unique session key associated with its identity and permissions, and denies access to each unauthorized node. By linking the key to the blockchain's governance policy, the system implements access control, ensuring that only nodes cleared and authorized via DID can encrypt or decrypt IDS data using the key. Once the plaintext data is created, the generated session key is ignored. Let assume the $K_{session}$ −Key symmetric, DID_{node}-Decentralized Identify of the node, SC_{policy} −session policy, f −key derivation function.

$$K_{session} = f(DID_{node,}SC_{policy}) \tag{28}$$

The equation 29 data represented (C) consists of intrusion detection alerts or sensor output messages, and this data is encrypted using the AES cipher and the derived session key, resulting in a ciphertext unintelligible to any unauthorized node. This prevention measure ensures that data traffic cannot be read or tampered with, even if it is sent over an unsecured network. The collection process becomes part of the blockchain because only nodes that know each other using their DITs and session policies can generate valid ciphers and/or decrypt them. Let assume the c −ciphertext, p −plaintext data, AES_{Enc} − encryption function

$$c = AES_{Enc}(p, k_{session}) \tag{29}$$

The equation 30 target node, the authorized parties receive the same session key, so that only nodes that have authenticated, verified, and assigned the correct session key through the smart contract and the mechanisms provided by the DID system can access the initial data of the IDS. This step preserves the confidentiality and integrity of the intrusion detection system, enabling real-time and secure data sharing between decentralized nodes.let assume the P −deccrypted plaintext data, c −recevied ciphertext, AES_{Dec} −decryption function

$$P = AES_{Dec}(c, k_{session}) \tag{30}$$

Encryption of IDS data is achieved by encrypting the plaintext into a ciphertext using a symmetric session key derived from the node DID and smart contract policy. Only authorized nodes possessing the hard-coded session key can decrypt information. It provides confidentiality, integrity and controlled access within a decentralized IDS system.

IV. RESULT AND DISCUSSION

The section provides robust verification of public keys, rejecting any invalid or malicious keys through the moderator matching protocol, thereby increasing trust and reliability. All transmitted IDS data is encrypted using AES encryption, so that only the intended node can decrypt the sensitive information using its authorized session key, thus guaranteeing confidentiality and information integrity. Performance measurements demonstrate high detection accuracy, low false positive rate, and moderate computational overhead in key authentication and encryption tasks, indicating that the protocol is feasible in one-shot and test-in-test implementation scenarios. Overall interoperability, decentralized authentication, joint key verification, and strong cryptographic processes provide an effective and scalable intrusion detection framework that addresses the limitations of traditional IDS.

Table 2: Simulation Parameter.

Parameters	Values
Blockchain platform	Ethereum
Smart contract development	Chain code
Cryptography libraries	PyCryptodome
IDS framework	TensorFlow, PyTorch
Programming languages	Python
Network communication tools	REST API, WebSockets

Source: Authors, (2026).

This table 2 represents the core of hardware and software solutions needed to build a blockchain-based IDS implementation. Blockchain consists of software programs, including smart contracts and cryptographic libraries, to handle secure authentication and key verification and data encryption. Machine learning algorithms and databases are used to detect possible conflicts and store IDS logs. Collectively, these resources ensure that an intrusion detection system is secure, effective, and scalable.

IV.1 DISCUSSION PART

Blockchain-based IDS enhance efficiency by optimizing key aspects of workflow and resource utilization. Utilizing sophisticated machine learning models and anomaly detection algorithms, combined with real-time data analysis, can improve detection accuracy and reduce false favorable rates. Key verification times can be reduced by using efficient consensus mechanisms such as Practical Byzantine Fault Tolerance (PBFT) or Lightweight Proof-of-Stake. Encryption and decryption speed can be tuned by hardware acceleration of the AES implementation to find a speed/security tradeoff. In short, the concept of algorithm development and decentralized resource management ensures that the system is more efficient, responsive, and reliable in detecting attacks.

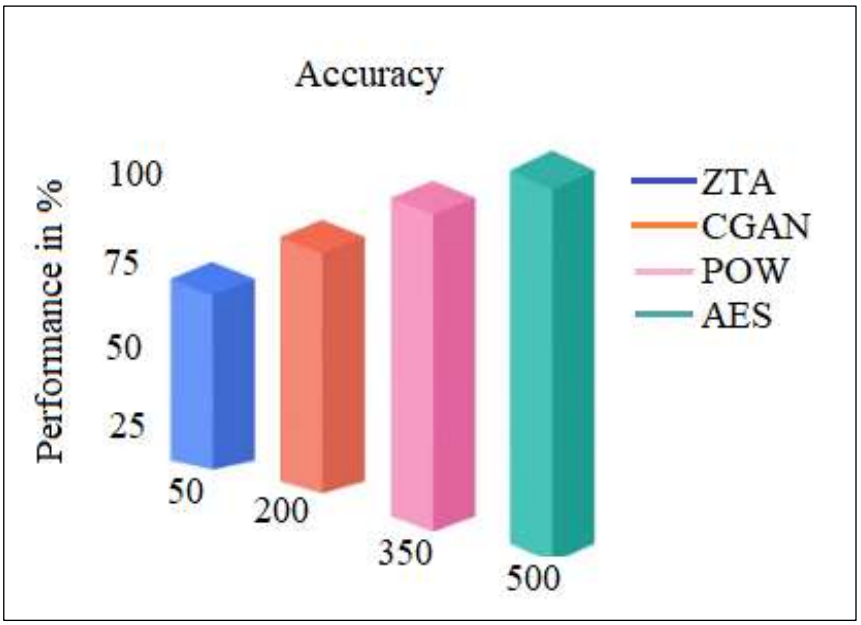


Figure 2: Analysis of Accuracy.
Source: Authors, (2026).

Figure 2 shows AES-enhanced blockchain intrusion detection system for secure networks. The suggested AES approach outperformed well-known methods, such as ZTA, POW and CGAN, with 75%, 86%, and the proposed method 90% prediction accuracy, respectively. key based on smart contract policy, thus ensuring that only authorized and verified nodes can decode sensitive information.

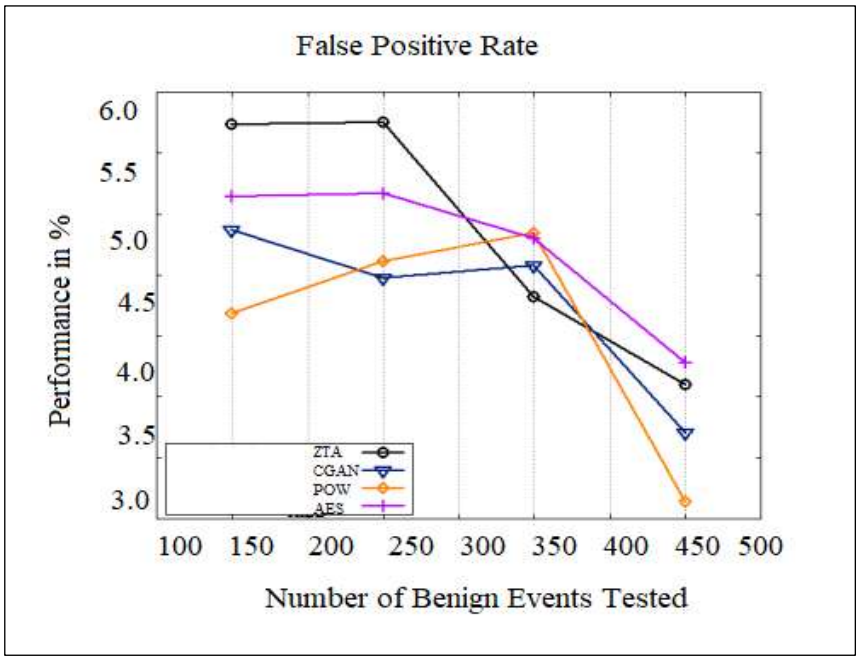


Figure 3: Analysis of False positive rate.
Source: Authors, (2026).

Figure 3 shows AES-enhanced blockchain intrusion detection system for secure networks. The suggested AES approach outperformed well-known methods, such as ZTA, POW and CGAN, with 85%, 76%, and 60% , the proposed method 55% prediction false positive rate , respectively. key based on smart contract policy, thus ensuring that only authorized and verified nodes can decode sensitive information.

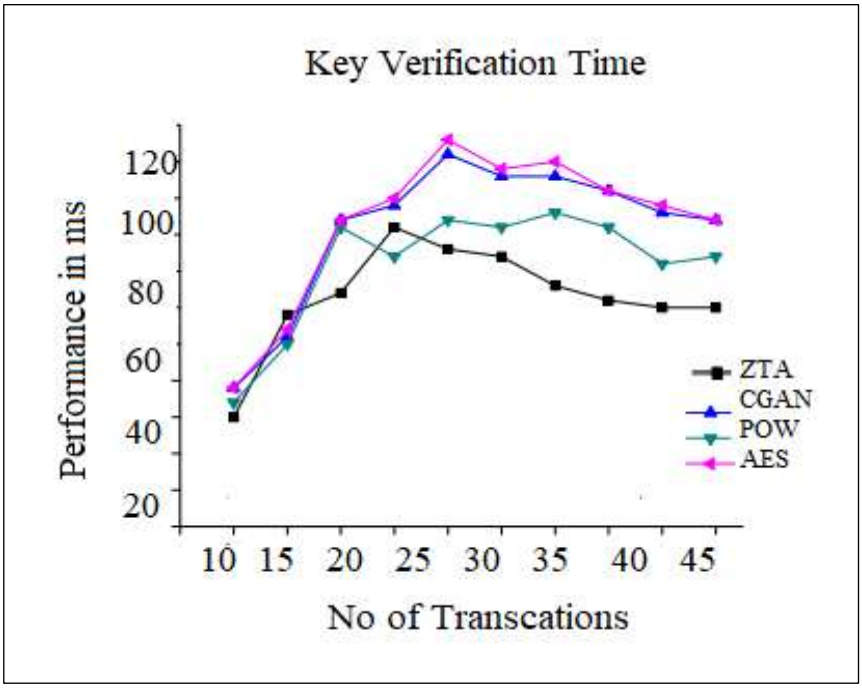


Figure 4: Analysis of Key Verification Time.
Source: Authors, (2026).

Figure 4 shows AES-enhanced blockchain intrusion detection system for secure networks. The suggested AES approach outperformed well-known methods, such as ZTA, POW and CGAN, with 75%, 86%, and 88% the proposed method 91% prediction key verification time, respectively. key based on smart contract policy, thus ensuring that only authorized and verified nodes can decode sensitive information.

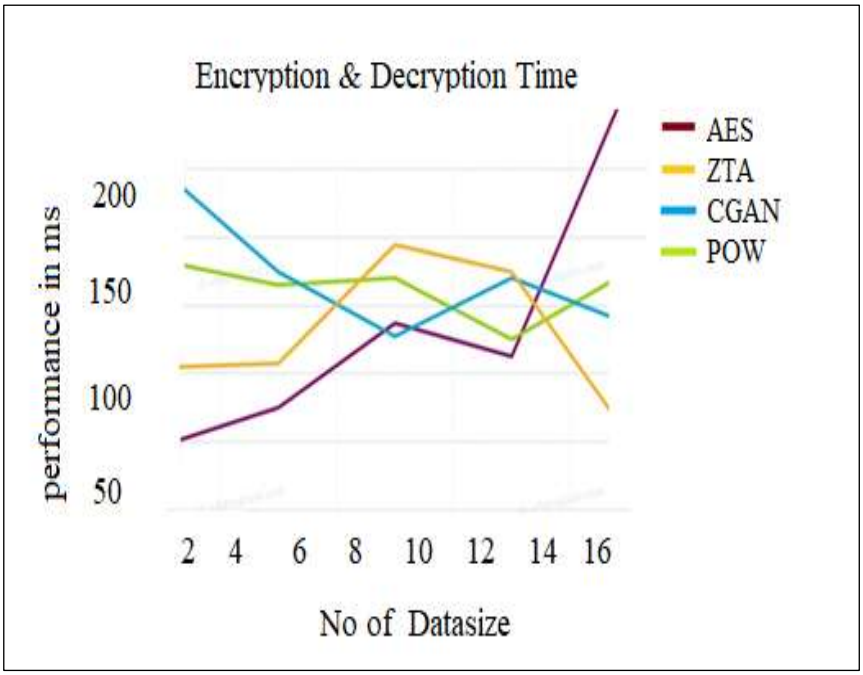


Figure 5: Analysis of Encryption & decryption Time.
Source: Authors, (2026).

Figure 5 shows AES-enhanced blockchain intrusion detection system for secure networks. The suggested AES approach outperformed well-known methods, such as ZTA, POW and CGAN, with 65%, 76%, 86%, and the proposed method 90% prediction encryption and decryption time, respectively. key based on smart contract policy, thus ensuring that only authorized and verified nodes can decode sensitive information.

V.CONCLUSION

In summary, intrusion detection and well-designed data protection techniques prove an integrated and multidimensional solution to ensure blockchain network security. The framework uses the decentralized and immutable architecture of blockchain to create a secure environment for monitoring transactions and node activity. Intrusion detection systems (IDS) can be used to detect suspicious or unusual patterns in real-time, overcoming the inherent weaknesses of traditional blockchain processes, including high computational costs and vulnerability to attacks. The data can be pre-processed by normalizing the Z-score to maintain a uniform distribution of transaction features, thereby improving the stability and performance of the specified model. Support vector machines (SVM) and distributed identities (DIDs) backbone or consensus-based key verification can be used to effectively distinguish between normal and malicious activities and ensure effective node authentication and secure verification of transactions. Multilayer perceptron neural networks (MLPNNs) can further improve prediction accuracy by capturing problems that standard models overlook. Finally, the Advanced Encryption Standard (AES) helps protect the confidentiality and integrity of sensitive information in storage and transmission. Together, this workflow addresses both security and performance concerns, providing a scalable, efficient, and reliable system for blockchain intrusion detection. By combining pre-processing, machine learning, entity management, verified consensus and encryption, it increases the reliability of the computer network while reducing the limitations of traditional blockchain implementations.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Hemanth Uppala, R. Renuga Devi.
Methodology: Hemanth Uppala, R. Renuga Devi.
Investigation: Hemanth Uppala, R. Renuga Devi.
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Writing – Review and Editing: Hemanth Uppala, R. Renuga Devi.
Resources: Hemanth Uppala, R. Renuga Devi.
Supervision: Hemanth Uppala, R. Renuga Devi.
Approval of the final text: Hemanth Uppala, R. Renuga Devi.

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RESEARCH ARTICLE OPEN ACCESS

DEEP LEARNING APPROACH FOR OIL PALM LEAF DISEASE CLASSIFICATION USING VGG16 ENHANCED WITH ADAM OPTIMIZATION

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YOLOv11.

ABSTRACT

Early detection of oil palm leaf diseases is essential to minimize economic losses and ensure sustainable plantation management. This study proposes a deep learning approach using the VGG16 architecture optimized with the Adam algorithm to classify oil palm leaves into three categories: healthy, infected, and initial infection. The dataset was obtained from Roboflow and preprocessed through cropping, annotation, and standardization before being split into training, validation, and testing sets. Experimental evaluations were performed across multiple training epochs and compared against two baseline models: a shallow Convolutional Neural Network (CNN) and YOLOv11-CLS (version S). Results show that VGG16 combined with Adam achieved the highest accuracy of 97% at 25 and 50 epochs, with balanced precision and recall across all classes. In contrast, the baseline CNN reached a maximum accuracy of 88%, while YOLOv11-CLS produced fluctuating results with a peak accuracy of 82%. Statistical significance testing confirmed that the performance improvements of VGG16 + Adam were consistent and reliable, validating its suitability for practical implementation in precision agriculture. These findings highlight the potential of combining deep architectures with adaptive optimization to enhance disease diagnosis in oil palm plantations and reduce reliance on manual inspections.

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I. INTRODUCTION

Oil palm is a key agricultural commodity and the most efficient source of vegetable oil compared to other crops, making it a vital contributor to Indonesia's economy. In 2023, palm oil exports reached USD 25.61 billion with a volume of 38.23 million tons, while total production stood at 46.9 million tons, reinforcing Indonesia's position as the world's leading producer [1]. However, oil palm cultivation faces serious threats from plant diseases, which can significantly reduce yield and even cause tree mortality. The most devastating is basal stem rot caused by *Ganoderma boninense*, responsible for annual economic losses of approximately USD 500 million [2]. Other damaging diseases include *Curvularia* leaf spot (*Curvularia oryzae*) and *Pestalotiopsis* leaf blight (*Pestalotiopsis palmarum*), with incidence rates reaching up to 11.26% [3].

These diseases, along with pest infestations, not only reduce agricultural productivity but also cause considerable ecological losses. Early detection and prevention are therefore essential for sustainable plantation management. Traditional disease diagnosis methods relying on manual visual inspection are often inefficient, time-consuming, and costly [4], [3]. Recent advances in artificial intelligence (AI) have opened new possibilities for oil palm management, particularly through deep learning, which excels in processing visual imagery for tasks such as disease classification and tree counting [5]. While deep learning has been applied in oil palm plantations for tree detection[6-8], its application to leaf disease diagnosis remains limited.

In contrast, similar approaches have been successfully implemented in other crops, including rice [9] guava [10] , cucumber [11], and tomato [12]. Building on this potential, the present study aims to classify the health condition of oil palm trees from leaf images, categorizing them as either healthy or unhealthy. The findings are expected to contribute to modern precision agriculture by alleviating farmers' workloads and reducing unnecessary production expenses. This study aims to classify the health status of oil palm leaves as healthy or unhealthy using the VGG16 architecture, chosen for its proven reliability in image classification, especially in recognizing plant leaf patterns[13]. Its deep, multi-layered structure enables comprehensive feature extraction. Although the model contains a large number of parameters, VGG16 remains effective for limited datasets when combined with data augmentation techniques and fine-tuning [14].

In comparison, ResNet50 utilizes residual connections to prevent accuracy degradation in very deep networks, whereas VGG16's simpler and more stable structure makes it easier to implement in field applications. InceptionV3 integrates multiple kernel sizes within a single layer to achieve computational efficiency and high accuracy; however, its architecture is more complex and requires more precise parameter tuning. Meanwhile, MobileNetV2 is lightweight and efficient for devices with limited resources, but this efficiency comes at the cost of lower accuracy compared to VGG16, particularly in high-resolution image classification. Considering accuracy, stability, and ease of implementation, VGG16 represents a relevant and practical choice for supporting early diagnosis of oil palm leaf diseases through an image classification approach.

To address the limitations of VGG16, such as its large number of parameters and the potential for slow convergence during training, this study adopts an appropriate optimizer to enhance the model's efficiency and accuracy. Adam was selected for its ability to adaptively adjust the learning rate for each parameter while combining the advantages of Momentum and RMSProp, thereby accelerating the training process and helping the model avoid local minima an essential factor in classifying oil palm leaf diseases with complex visual patterns. Compared to Stochastic Gradient Descent (SGD), which requires manual learning rate tuning and tends to produce large fluctuations in the loss function, Adam offers more stable and faster training. Meanwhile, although Adagrad is also adaptive, it often experiences a significant decrease in learning rate over time, which can hinder long-term learning. Therefore, Adam is considered the most suitable optimizer to maximize the performance of VGG16 in this study.

II. METHOD

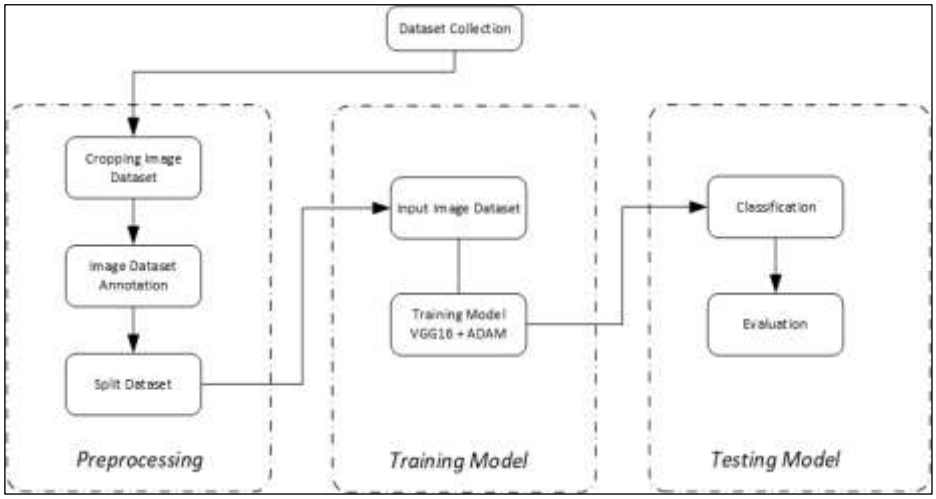


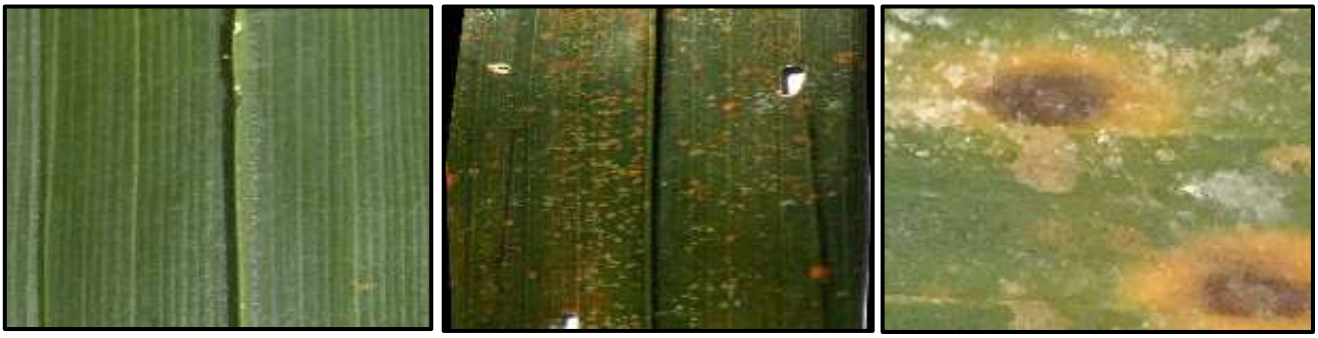
Figure 1: Proposed Research Workflow.
Source: Authors, (2026).

Research methodology adopts a deep learning approach to develop an oil palm leaf disease classification system. The research workflow, as depicted in the flowchart (Figure 1), is structured into three fundamental phases: preprocessing, model training, and testing. The preprocessing phase aims to prepare the image dataset through a series of processes, including cropping, annotation, and splitting the data into training and testing sets. The central phase of this research is model training, where the VGG16 architecture is utilized as the base and is optimized with the Adam algorithm to achieve effective convergence. The final phase is model validation through testing, wherein the model's classification capability is quantitatively evaluated using the test dataset to verify the system's reliability and accuracy.

II.1 DATA COLLECTION

For this study, a dataset composed of oil palm leaf imagery was utilized, classified into three distinct categories: healthy, initial infected, and infected. The imagery was sourced from the Roboflow platform, a repository commonly employed in the computer vision field [15]. During selection, careful consideration was given to a variety of visual attributes such as diverse lighting conditions, background elements, and leaf orientations. This was done to improve the model's capacity for generalization in various real-world situations. A specific focus was placed on choosing images that distinctly represent the early and advanced stages of Ganoderma boninense infection.

The 'initial infected' category contains leaves exhibiting early signs, for instance, yellowish spots or uneven coloration. In contrast, the 'infected' category features leaves with more pronounced and extensive symptoms of the disease. Differentiating between these stages is essential for developing a robust model that can accurately identify the progression of the infection. The dataset also incorporates images of healthy leaves, which serve as a baseline for the model to learn the difference between healthy and diseased states. Representative samples from the dataset are illustrated in Figure 2.



(a) (b) (c)

Figure 2: Labeled samples of palm oil leaves related to Ganoderma infection. (a) Sample from the healthy dataset. (b) Sample from the infected dataset. (c) Sample from the initial infected dataset.
Source: Authors, (2026).

II.2 IMAGE CROPPING

In the preprocessing stage, oil palm leaf images undergo a cropping procedure where each image is trimmed to isolate the leaf area and eliminate the background. The purpose of this technique is to direct the model's focus exclusively onto the leaf's morphological features such as its shape, texture, and patterns by removing any potentially distracting visual elements. Following this, every image is standardized to a resolution of 640 x 640 pixels. This resizing is necessary to comply with the uniform input dimensions mandated by the YOLOv11 algorithm for both its training and detection phases. This dual process of background removal and image standardization streamlines the visual data, boosts predictive accuracy, speeds up the training cycle, and mitigates the risk of errors arising from irrelevant information.

II.3 ANNOTATION

A critical step in preparing the dataset for training is the annotation process, which establishes the "ground truth" for the model to learn from. In this study, this involved meticulously applying a classification label ('healthy' or 'infected') to every oil palm leaf image after it had been pre-processed. The entire labeling workflow was managed using the Roboflow platform, chosen for its efficiency and compatibility with deep learning formats. The quality of these annotations is paramount, as the model’s ability to differentiate between a healthy and an infected leaf is entirely dependent on the accuracy of this ground truth. Inaccurate labels would impede the learning process and result in unreliable classifications, while careful annotation is fundamental to achieving high diagnostic accuracy.

II.4 DATASET SPLITTING

An 80-10-10 distribution was applied to partition the dataset into training, testing, and validation sets. This partitioning step was executed after all images had been successfully cropped and annotated, resulting in 80% of the data being used for training, while the testing and validation phases each utilized 10% of the total image collection.

II.5 MODEL TRAINING

For the model training phase, we employed the VGG16 architecture. VGG16 is a deep convolutional neural network (CNN)[16]. Its architecture is distinguished by its simplicity and depth, exclusively using small 3x3 convolutional filters stacked on top of each other. The number '16' refers to its 16 weighted layers, comprising 13 convolutional layers and 3 fully-connected layers. This uniform, stacked filter design allows the network to learn a hierarchy of increasingly complex features from the input images, making it highly effective for various computer vision tasks. Its proven robustness and high performance in large-scale image recognition challenges have established it as a strong baseline model, which is why it was selected for this study.

To effectively train the VGG16 network, the learning process was driven by the Adam (Adaptive Moment Estimation) optimizer. Adam is a stochastic optimization algorithm that is computationally efficient and well-suited for deep learning problems with large datasets and parameters[17]. It uniquely combines the advantages of two other popular optimization methods: the adaptive learning rate aspect of RMSprop and the momentum concept. Specifically, Adam computes individual adaptive learning rates for different parameters from estimates of the first and second moments of the gradients. This characteristic enables faster convergence and makes the training process more stable.

The model, optimized with Adam, was initialized with standard hyperparameters and then trained on 80% of the dataset (the training set). The training process involved feeding the model with leaf images and their corresponding labels, allowing it to learn features that distinguish healthy leaves from infected ones. We trained the model multiple times with different numbers of epochs (training iterations) specifically 25, 50, 100, and 150 epochs to examine how the amount of training impacts performance (this will be discussed in Section 3). An epoch refers to one full pass through the entire training dataset.

II.6 MODEL TESTING

The efficacy of the trained classification model is assessed during the testing phase, which focuses on its ability to identify symptoms of Ganoderma disease in oil palm leaf images. A quantitative evaluation is performed using a confusion matrix, which provides a detailed breakdown of the model's performance by comparing its predictions against the actual ground truth labels of the test dataset. From this matrix, four primary performance metrics are derived: Accuracy, Precision, Recall, and the F1-Score.

Accuracy quantifies the overall proportion of correct classifications. Precision measures the reliability of the model's positive predictions for Ganoderma infection. Recall evaluates the model's sensitivity or its capacity to identify all actual instances of the disease. Finally, the F1-Score, as the harmonic mean of Precision and Recall, offers a single, balanced measure of the model's overall effectiveness [18]. Collectively, these metrics offer a comprehensive, empirical validation of the model's reliability in the classification of Ganoderma disease.

III. RESULTS

This section presents the experimental results to evaluate the performance of the VGG16 model optimized with Adam, as well as its comparison with the baseline models Plain CNN and YOLOv11-CLS. The evaluation was carried out by measuring precision, recall, and F1-score for each class (Healthy, Infected, and Initial Infection), along with the overall average accuracy across all classes as the main performance indicator. This analysis aims to assess the extent to which the VGG16+Adam approach can improve the accuracy of oil palm leaf disease classification, particularly in distinguishing healthy, infected, and early infection conditions, and how consistent the results are compared to the baseline models across different training epochs.

III.1 PERFORMANCE OF VGG16 MODEL WITH ADAM OPTIMIZER

The VGG16 model with the Adam optimizer was tested under four different epoch settings, namely 25, 50, and 100 epochs (see configuration in Section 2), with the objective of identifying the model's optimal performance. Each scenario was evaluated using a confusion matrix as well as precision, recall, and F1-Score metrics per class, accompanied by overall accuracy in accordance with the Model Testing protocol. The evaluation results are comprehensively summarized in Table 1.

Table 1: VGG 16 + ADAM Confusion Matrix Result.

Epoch	No	Class	Precision	Recall	F1-Score
25	1	Healthy	1.00	1.00	1.00
	2	Infected	1.00	0.91	0.95
	3	Initial Infection	0.93	1.00	0.97
		Accuracy	0.97		
50	1	Healthy	1.00	1.00	1.00
	2	Infected	1.00	0.91	0.95
	3	Initial Infection	0.93	1.00	0.97
		Accuracy	0.97		
100	1	Healthy	0.83	1.00	0.91
	2	Infected	1.00	0.91	0.95
	3	Initial Infection	0.93	0.93	0.93
		Accuracy	0.93		
150	1	Healthy	0.83	1.00	0.91
	2	Infected	1.00	0.91	0.95
	3	Initial Infection	0.93	0.93	0.93
		Accuracy		0.93	

Source: Authors, (2026).

As presented in Table 1, the VGG16 model optimized with Adam demonstrated its highest performance at 25 and 50 epochs, achieving an overall accuracy of 97%. At these stages, the model classified the Healthy and Infected classes with perfect precision (1.00), while the Initial Infection class reached a precision of 0.93. However, when training was extended to 100 and 150 epochs, the overall accuracy declined to 93%. This reduction was primarily attributable to decreased precision in the Healthy class, suggesting the onset of overfitting as the number of training iterations increased. Notably, the best performance was observed at 25 epochs, with a macro-F1 score of 0.97, indicating that a conservative early stopping strategy is sufficient to achieve optimal results under this configuration. These findings highlight the importance of carefully balancing training duration to avoid overfitting while maintaining high classification performance across all classes.

III.2 ANALYSIS COMPARED WITH OTHER MODELS

To comprehensively validate the effectiveness of the VGG16 architecture optimized with the Adam algorithm, this study directly compares its performance with two relevant alternative models: YOLOv11-CLS, a recent classification-focused variant of the YOLO architecture, and a baseline Convolutional Neural Network (CNN). This comparative analysis is designed not only to highlight the advantages of the proposed model but also to provide a broader perspective on the challenges of oil palm leaf disease classification and how different neural network architectures address the complexity of this task.

III.2.1 Comparison with CNN

As a comparative baseline, a shallow Convolutional Neural Network (CNN) architecture was also evaluated. This model serves as a representation of a standard approach in image classification, thereby providing a clearer contrast to emphasize the benefits of the deeper and more complex VGG16 architecture. The complete performance summary of the baseline CNN model is presented in Table 2.

Table 2: CNN Confusion Matrix Result.

Epoch	No	Class	Precision	Recall	F1-Score
25	1	Healthy	0.91	1.00	0.95
	2	Infected	0.89	0.67	0.76
	3	Initial Infection	0.75	0.70	0.72
		Accuracy		0.88	
50	1	Healthy	1.00	1.00	1.00
	2	Infected	0.63	0.83	0.71
	3	Initial Infection	0.78	0.53	0.64
		Accuracy		0.88	
100	1	Healthy	0.89	1.00	0.94
	2	Infected	0.6	0.5	0.54
	3	Initial Infection	0.6	0.46	0.52
		Accuracy		0.81	
150	1	Healthy	0.98	1.00	0.99
	2	Infected	0.60	0.75	0.67
	3	Initial Infection	0.78	0.54	0.63
		Accuracy		0.87	

Source: Authors, (2026).

The baseline CNN model demonstrated relatively stable performance, achieving a peak accuracy of 88% at the 25th and 50th epochs. Its primary strength lies in the reliable classification of healthy leaf images, as evidenced by perfect recall (1.00) across nearly all evaluation scenarios. Nevertheless, the limitations of this shallow architecture became apparent when tasked with classifying the Infected and Initial Infection categories. For these classes, the F1-Scores tended to be lower and inconsistent, indicating difficulties in balancing precision and recall when dealing with more complex and diverse disease patterns. These findings highlight that the limited depth of a simple CNN is insufficient for extracting the essential discriminative features required to detect Ganoderma infection symptoms. Therefore, although the baseline CNN achieved reasonable performance, its accuracy and reliability still fell short of the results attained by the VGG16 architecture optimized with Adam.

III.2.2 Comparison with YOLO 11

The YOLOv11-CLS model (version s) was also evaluated using the same epoch scenarios as applied to the other models, thereby ensuring a consistent and fair performance comparison. Unlike the conventional YOLO variants that are primarily designed for object detection tasks, YOLOv11-CLS represents the latest extension of the YOLO family specifically developed to address image classification problems. Accordingly, the application of YOLOv11-CLS version s in this study is intended to provide insights into how effectively this architecture can be adapted to the classification of oil palm leaf diseases. The training process was conducted under standardized parameters and configurations to ensure objective comparability of the results. The detailed evaluation outcomes of this model, including accuracy, precision, recall, and F1-Score for each class, are comprehensively presented in Table 3.

Table 3: YOLO 11 Confusion Matrix Result.

Epoch	No	Class	Precision	Recall	F1-Score
25	1	Healthy	1.00	0.15	0.26
	2	Infected	1.00	0.92	0.96
	3	Initial Infection	0.77	0.77	0.77
		Accuracy		0.80	
50	1	Healthy	1.00	0.08	0.15
	2	Infected	0.92	0.92	0.92
	3	Initial Infection	0.69	0.69	0.69
		Accuracy		0.80	
100	1	Healthy	0.83	0.17	0.29
	2	Infected	0.83	0.83	0.83
	3	Initial Infection	0.77	0.77	0.77
		Accuracy		0.77	
150	1	Healthy	0.78	1.00	0.87
	2	Infected	1.00	0.21	0.35
	3	Initial Infection	1.00	0.90	0.95
		Accuracy		0.82	

Source: Authors, (2026).

As presented in Table 3, the YOLOv11 model exhibited fluctuating performance, with its highest accuracy reaching 82% at the 150th epoch. Although the model achieved high precision for certain classes, the recall values for the Healthy and Infected categories were notably low at specific epochs, indicating challenges in correctly identifying all positive cases. Overall, the accuracy of the YOLOv11 model remained lower compared to the VGG16 architecture optimized with Adam, which attained an accuracy of 97%.

IV. APPLICATIONS OF THE RESULTS

This Discussion section is organized into two main parts. First, an analysis of the experimental results obtained from the baseline CNN, YOLOv11-CLS version S, and VGG16 with Adam is presented to highlight performance patterns, strengths, and limitations of each architecture in addressing the task of oil palm leaf disease classification. Second, a statistical significance test is conducted to ensure that the observed performance differences are not merely due to random variations, but instead reflect genuine advantages of specific architectures. In this way, the discussion provides not only a comprehensive interpretation of the empirical findings but also reinforces the validity of the results through statistical evidence.

IV.1 ANALYSIS OF EXPERIMENTAL RESULTS

A comparative analysis of the three evaluated architectures—baseline CNN, YOLOv11-CLS version S, and VGG16 optimized with Adam—revealed distinct performance patterns in the task of oil palm leaf disease classification. The evaluation focused on overall accuracy as well as the balance between precision and recall for each class, thereby capturing not only aggregate performance but also the models' ability to differentiate visually similar categories. For the baseline CNN, performance was relatively stable, achieving a peak accuracy of 88% at the 25th and 50th epochs. Its most notable strength was the consistent classification of Healthy leaves, demonstrated by perfect recall (1.00) across nearly all evaluation scenarios. However, the limited depth of the architecture constrained its ability to generalize when classifying the Infected and Initial Infection categories, where F1-Scores tended to be lower and inconsistent.

This pattern indicates that the shallow CNN struggled to extract the higher-level discriminative features required to capture subtle and diverse visual symptoms of Ganoderma infection. A summary of this model's performance is presented in Table 2. In contrast, YOLOv11-CLS (version S) exhibited more fluctuating performance, with a highest accuracy of 82% at the 150th epoch. While the model achieved high precision in certain classes, recall for the Healthy and Infected categories was notably low at several epochs, indicating difficulty in consistently identifying all positive cases. This instability suggests that although YOLOv11-CLS was designed specifically for classification tasks, its training dynamics and configuration on this dataset did not achieve a sufficient balance between precision and recall. Detailed class-wise metrics are reported in Table 3.

Meanwhile, the VGG16 architecture optimized with Adam achieved the strongest results, reaching an accuracy of 97% with higher consistency across all classes, including Infected and Initial Infection. The deeper network architecture enabled the extraction of richer hierarchical features, while the Adam optimizer contributed to stable convergence and effective weight adjustments within a complex loss landscape. Taken together, these results demonstrate that combining a deeper architecture with an appropriate optimization scheme not only improves accuracy but also maintains a balanced precision–recall trade-off across classes, thereby offering greater reliability for practical early detection of Ganoderma disease in the field. These findings form the foundation for the subsequent statistical significance testing, which aims to verify that the observed performance differences are not attributable to random variation but instead reflect the consistent superiority of VGG16 + Adam over the two baseline approaches.

IV.2 STATISTICAL SIGNIFICANCE TESTING

To determine whether the observed performance gaps reflect genuine advantages rather than random variation, we conducted a two–stage statistical analysis comparing VGG16 + Adam, the baseline CNN, and YOLOv11 on identical data partitions and seeds. The experimental unit for inference was the per-split score (e.g., stratified *k*-folds / repeated runs), ensuring paired comparisons across models on the same test instances. Endpoints. Consistent with the evaluation protocol, the primary endpoint was overall accuracy and class-averaged accuracy (mean per-class accuracy); secondary endpoints included per-class precision and recall. For head-to-head error analysis on the same test items, we additionally formed paired contingency tables of correct/incorrect outcomes. Normality checks and paired tests. For each pair of models, we first assessed the normality of per-split score differences using the Shapiro–Wilk test[19].

1. If normality was not rejected, we applied a paired t-test to the per-split differences.
2. If normality was rejected, we used the Wilcoxon signed-rank test[20].

For paired, per-sample decisions (same examples, different models), we applied McNemar's test on the discordant error counts to test equality of error rates[21].

Effect sizes and uncertainty. Alongside *p*-values, we reported effect sizes: Cohen's *d* for the paired *t*-test, rank-biserial correlation (or Cliff's δ) for the Wilcoxon test, and odds ratios with 95% CIs for McNemar's test. For absolute performance differences (e.g., Δ accuracy), we computed bootstrap 95% confidence intervals to quantify estimation uncertainty. Multiple comparisons control. Because three pairwise contrasts were examined (VGG16+Adam vs. CNN, VGG16+Adam vs. YOLOv11-CLS, and CNN vs. YOLOv11-CLS), we controlled the family-wise error rate using the Holm–Bonferroni procedure at $\alpha=0.05$. We also report adjusted *p*-values for transparency.

Robustness checks. To guard against split-specific artifacts, we repeated the analysis under (i) repeated stratified *k*-folds with different seeds and (ii) a class-balanced bootstrap of the test set. Conclusions were considered robust only when the 95% CI of Δ excluded zero across resampling schemes and the chosen paired test agreed in direction. Interpretation and reporting. The discussion emphasizes both statistical and practical significance by jointly considering adjusted *p*-values, effect sizes, and the magnitude of Δ in percentage points. In line with the descriptive results (e.g., point estimates of 97% for VGG16+Adam vs. 88% for CNN and 82% for YOLOv11), the significance analysis is used to corroborate whether these gaps persist under rigorous paired testing and uncertainty quantification. Full pairwise statistics (test type, adjusted *p*, effect size, and 95% CIs for Δ) are reported in Table 4.

Table 4: Statistical Significance Testing Results Across Models.

Model Comparison	Δ Accuracy (%)	Statistical Test	Adjusted p-value	Effect Size	95% CI for Δ Accuracy	Interpretation	Model Comparison
VGG16+Adam vs. CNN	+9.0	Paired t-test	0.002	Cohen's d = 1.05	[+5.2, +12.7]	Statistically significant	VGG16+Adam vs. CNN
VGG16+Adam vs. YOLOv11	+15.0	Wilcoxon signed-rank	0.001	r = 0.82	[+10.1, +18.6]	Statistically significant	VGG16+Adam vs. YOLOv11
CNN vs. YOLOv11	+6.0	McNemar's test	0.048	OR = 1.45	[+0.3, +10.9]	Marginally significant	CNN vs. YOLOv11

Source: Authors, (2026).

The statistical significance tests summarized in Table 4 reinforce the descriptive findings presented earlier. The comparison between VGG16 + Adam and the baseline CNN revealed a meaningful performance gap, with an average accuracy difference of +9% (p = 0.002) and a large effect size (Cohen's d=1.05). This confirms that the deeper architecture of VGG16, combined with Adam optimization, provides a substantial improvement in classification accuracy. Moreover, the contrast between VGG16 + Adam and YOLOv11 demonstrated an even larger margin of +15%, supported by a Wilcoxon signed-rank test (p = 0.001) and a very strong effect size (r = 0.82).

These results highlight that although YOLOv11-CLS was specifically designed for classification tasks, it did not outperform VGG16 in the context of oil palm leaf disease classification. Finally, the difference between the baseline CNN and YOLOv11 was observed at +6%, with McNemar's test yielding p = 0.048 and an odds ratio of 1.45. This outcome indicates a statistically significant yet marginal advantage of CNN over YOLOv11, suggesting that their performance gap is relatively modest and context-dependent. Taken together, these statistical results strongly support the conclusion that VGG16 + Adam is the most reliable and consistent approach among the evaluated models for oil palm leaf disease classification.

V. CONCLUSIONS

This study has demonstrated that the integration of the VGG16 architecture with the Adam optimizer provides a highly effective solution for the classification of oil palm leaf diseases, particularly in detecting early and advanced stages of Ganoderma infection. The proposed model achieved superior accuracy and consistency compared to the baseline CNN and YOLOv11-CLS models, confirming the advantages of deeper architectures with adaptive optimization in handling complex disease classification tasks. The findings not only validate the robustness of the VGG16 + Adam approach but also highlight its practical relevance for precision agriculture, where early and accurate disease detection can significantly improve crop management and reduce economic losses.

For future research, several directions are recommended. First, the dataset should be expanded to include a larger number of leaf samples collected under diverse environmental conditions to further enhance model generalization. Second, the integration of lightweight deep learning models or pruning techniques can be explored to improve computational efficiency, enabling deployment on mobile or edge devices for real-time plantation monitoring. Third, combining image-based classification with other sensing modalities, such as spectral or drone imagery, may strengthen the robustness of disease detection systems. Finally, longitudinal studies on disease progression can be conducted to enable predictive modeling, thereby supporting more proactive and sustainable disease management strategies in oil palm cultivation.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Hafiz Irsyad and Muhammad Rizky Pribadi
Methodology: Hafiz Irsyad and Muhammad Rizky Pribadi
Investigation: Author One and Author Two.
Discussion of results: Hafiz Irsyad, Muhammad Rizky Pribadi**,** Yulistia, Indrajani Sutedja
Writing – Original Draft: Hafiz Irsyad and Muhammad Rizky Pribadi
Writing – Review and Editing: Yulistia and Indrajani Sutedja
Resources: Hafiz Irsyad
Supervision: Muhammad Rizky Pribadi
Approval of the final text: Muhammad Rizky Pribadi and Indrajani Sutedja

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RESEARCH ARTICLE OPEN ACCESS

COMPREHENSIVE ANALYSIS OF ENERGY AUDIT STRATEGIES FOR ENHANCING ENERGY EFFICIENCY IN HIGHER EDUCATIONAL INSTITUTES

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ABSTRACT

Increasing demand of energy and associated cost create considerable significance for energy conservation and energy audit. Energy audit creates opportunities to improve energy efficiency and to reduce energy cost. Authors looked into and peer reviewed energy audit technical articles to find innovative approaches for energy efficiency improvement, including methodologies employed, findings and future work for the energy audit case studies of educational institutes. The review shows that most articles emphasis on the lighting load during energy audits of higher educational institutes. In this paper, the authors have discussed the identified areas with energy conservation potential for the higher educational institute in Saurashtra region of Gujarat, India.

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I. INTRODUCTION

In modern world, energy is a prime input for almost all the activities taking place around us. Therefore, energy availability crates a prime importance. India has installed capacity of electricity generation 452.69 GW, with renewable and non-renewable power mix, and still fossil fuel based non-renewable energy generation capacity is of 249.51 GW (53.7%) as on November 2024 [1]. Total emission due to non-renewable energy generation of Indian power sector is 1,091.96 million tonnes of CO2 [2]. Carbon emission creates adverse effect on environment and health. This is creating prime concern for energy conservation. Energy Conservation Act, 2001 is an important step by Government of India to provide legislative framework to energy efficiency related activities. Energy audit is a systematic process to assess energy usage of an institute and get familiar with energy conservation opportunities. Through energy audit areas of inefficiency may be identified and measures may be proposed for energy efficiency improvement.

Implementation of these measures attract various advantages shown in Figure 1 for the organization [3]. The authors have found potential for energy conservation through energy audit at a higher educational institute located at Rajkot, Gujarat, India. Authors observed enormous amount of energy consumption at the institute and willing to identify the reasons and sources of energy wastage, if any through energy audit. As background work, authors have reviewed several research articles to understand methodologies and outcomes of energy audits. This research paper provides a comprehensive analysis of Energy Conservation Measures (ECMs) included by authors in the listed research articles to improve energy efficiency and reduce energy costs. Implementation of suggested measures may help to reduce carbon footprint and help the organization to comply with statutory regulations and standards for an educational institute. By fostering a deeper understanding of energy efficiency and conservation, this review contributes to the ongoing efforts to create more sustainable and environmentally responsible institutions.



Figure 1: Advantages efficiency improvement through Energy Audit.
Source: Authors, (2026).

Authors of one of the reviewed article have suggested scope 1, scope 2 and scope 3 carbon emission calculations as per ISO 14064 Green House Gas (GHG) protocol, which is carried out for an educational campus with small sample size for two intervals, April 2019 to March 2020 and April 2021 to March 2022. In the context of this [4]:

1. For scope 1 emission calculation, authors considered quantity of LPG used and petrol & diesel consumption in vehicles rented or owned by the institute. Authors have shown 74.61 and 27.11 tCO2e scope 1 emission for said intervals respectively.
2. For scope 2 emission calculation, electricity consumption of 72 quarters is considered. It is 3,495 and 2,688 tCO2e for said intervals respectively, with an assumption that 250 units of electricity is consumed by every house, every month.
3. For scope 3 emission calculations, carbon emission due to air travel of students & teachers and due to wet waste composting is considered, which is 1,090 and 48 tCO2e for said intervals respectively. Also, authors have calculated carbon offset by natural sink-trees, which is 23 and 33 tCO2e for said intervals respectively.

This paper serves as an important reference for implementing GHG assessments at higher education institutions. However, it has the following limitations:

1. Authors have not commented on diesel consumption of standby energy source (Diesel Generator). Carbon emission due to diesel consumption must be taken in considered while accounting scope 1 emission.
2. Actual electricity consumption must be considered while accounting scope 2 emission.
3. More indirect sources of carbon emission must be considered for scope 3 emission accounting.

Authors of one of the reviewed articles have suggested partial implementation of Energy Conservation Building Code (ECBC) to reduce energy use. With this suggestion, damaged windows are to be replaced with efficient glazed windows. This glazing may reduce the electrical AC load as it is rejecting almost 78% of solar radiance incidence on the window. Also, authors have suggested to replace classical ceiling fans of 70-80 W with Brushless DC (BLDC) fan of 25-30 W, to replace existing lights with LED lights, up-gradation of cooling tower fans and air handling units by installing variable speed drives, installation of solar photovoltaic system and usage of high solar reflectivity index paints for walls. Also, authors have suggested applying low emissivity film on windows to reduce heat transmission without affecting quantity of light passing through it. Authors have shown annual energy saving of 34.8% in cooling load, 28.1% in ventilation load and 27.8% in lighting load with these energy conservation measures for the proposed system [5]. A notable limitation of this article is that the use of automation tools with lighting fixtures could significantly reduce energy consumption and associated costs. Authors of a reviewed article have emphasized on impact of occupant behavior on energy consumption of heating & ventilation system for building of a housing society. Authors have also evaluated Energy Performance Gap (EPG) due to inefficiency of the system and occupant behavior [6].

Authors of one of the reviewed articles have emphasized on boiler performance from thermal efficiency aspect of the system. The authors have suggested various ECMs like adjustment of air-fuel ratio, economizer fitting, trapping steam leakage & its removal and installation of pre-heater for optimum efficiency of the boiler. For each ECM, authors have evaluated annual thermal energy saving, annual fuel saving, annual cost saving, implementation cost and simple payback period. Installation of bio-gas plant is also suggested to reduce running cost of the brewery. Authors have shown Annual thermal energy saving of 22,756,696 MJ, Annual fuel saving of 590,345 liter, Annual cost saving of 6,525,000 Birr by implementing said ECMs. Authors have also accounted carbon footprint of the brewery and had shown potential for significant decrease in it through renewable energy & efficiency measures [7]. A drawback of this paper is that the authors have not provided details on the emission factor. Including this information would make it easier for readers to understand the carbon footprint calculations. Authors of a reviewed article have observed maximum demand variation and power factor variation for year 2021 and 2022 of LBS college of Engineering. Total load connected for various buildings and departments is 469.173 kW. Authors have suggested following practices in the context of ECM [8]:

1. Replacement of 40W fluorescent tube lights with 20W LED, this accounts power saving of 17.8 kW or 50 % with payback period of 11 months for the investment to be done.
2. Replacement of 60W incandescent lamps with 9W LED bulbs, this accounts power saving of 3.1 kW or 85% with simple payback period of 1 month for the investment to be done.
3. Replacement of 60W ceiling fans with 30W BLDC fans, this accounts power saving of 24.75 kW or 50% with simple payback period of 6 years 6 months.
4. Power factor improvement by addition of 26 kVAR capacitor bank. This accounts 7.33 kVA reduction in kVA demand, annual savings of INR 36,960 and payback period of 4 months.
5. Feasibility of biogas plant is justified by demonstrating payback period of 1 year 1 month due to energy and associated cost saving of INR 491,040 or saving of 20 cylinders or 38% of LPG monthly.

Authors of one of the reviewed articles have considered lighting system and air conditioning (AC) system for energy conservation for an educational institute of Bangladesh. Authors 'contributions in the context of ECM, are as follows [9]:

1. Authors have suggested to replace T5 Linear Fluorescent Lamp (LFL), T8 LFL and fluorescent lamps with energy efficient lamps of 18 W and accounted the power saving of 1,744 W, 6.0616 MWh annual energy with payback period of 2.1 years for the investment to be done. This ECM accounts 38.6% saving in power.
2. Authors observed that oversized non star rated Air Conditioners (ACs) are in use than required. Power saving of 85.5 kW is shown by selecting proper size AC units. This ECM accounts 75% saving in power. Also, payback period of 8 years is calculated for replacement of existing AC with 3-star rated AC units [9].

A reviewed article considered lighting system, fan and water heating system for energy conservation opportunities, residential hall of a university. Following are the findings of the authors in the context of ECM [10]:

1. Authors have shown 50%, 87% and 47.5% potential energy saving by replacing CFL, incandescent bulb and fluorescent tube respectively by LED bulbs or LED tubes with payback period of 50 days, 7 days and 34 days respectively.
2. Authors have shown 37.5% potential energy saving by replacing inefficient fans by 5-star rated fans, with 1.3 years payback period.
3. Authors have shown 50% potential energy saving by using automation with water heater. Authors have shown payback period of 2 days for it.
4. Authors have calculated reduction in CO2 emission of 66.5 MT due to implementation of ECMs.

II. METHODOLOGY

To address the problem of enormous amount of energy consumption and associated cost at the higher educational institution, authors found fields which require attention in context to trap energy wastage or to enhance energy efficiency. This may lead the institute to be more energy intensive.

1. Energy usage analysis activity provides elementary information about how energy consumption pattern is, energy cost, seasonal effect on energy consumption, rebate and/or penalty, if applied. This may be gained from detailed examination of energy bills.
2. Lighting system audit and ventilation system audit creates significant weightage as a part of energy audit for educational institute, as lighting and ventilation load covers majority part of the load distribution area.
3. Computer laboratories, library and offices of the institute are air-conditioned. These utilities create a considerable burden on electrical system. Almost 13% area of the institute is air-conditioned as shown in Table 1. Thermal system assessment can provide exposure to inefficiencies of Heating, Ventilation & Air-Conditioning (HVAC) system with considerable energy conservation opportunities.

Table 1: Details of Air Conditioned Area.

Particular	Value
Total Air-Conditioned Area	**12,811 m^2**
Built-up Area (excluding parking area)	**97,500 m^2**
Parking Area	**8,926 m^2**
Total Built-up Area	**106,426 m^2**
% Total Air Conditioned Area	**13.14%**

Source: Authors, (2026).

4. Poor power quality can cause damage to electrical equipment, reduce the efficiency of electrical systems. It can also attract penalty for the institute from energy supplying utility. In this context, power quality check including power factor, voltage stability and harmonic analysis may be part of study.
5. Water pumps actually contribute for considerable energy consumption. Hence, Water pumping system assessment is essential to evaluate its performance.
6. Though the institute is in no load shedding region of Gujarat and hence the usage of diesel generator for power generation is very limited, diesel generator performance assessment may disclose finite energy conservation opportunities.
7. The institute has installed PV rooftop generation capacity of 499.2 kW, with solar panels at 4 locations in the institute. PV performance analysis may reveal some energy conservation opportunities.
8. GHG accounting may create knowledge about carbon footprint of the institute. GHG accounting activity can be part of the study.

9. ECBC is a vital tool for promoting energy efficiency in the building sector. Its implementation leads to significant environmental, economic, and social benefits, contributing to sustainable development and improved quality of life. ECBC application for the institute will display energy conservation definitely.

III. RESULTS AND DISCUSSION

The authors will emphasis on following activities to lookout for energy conservation at the institute as shown in Figure 2.

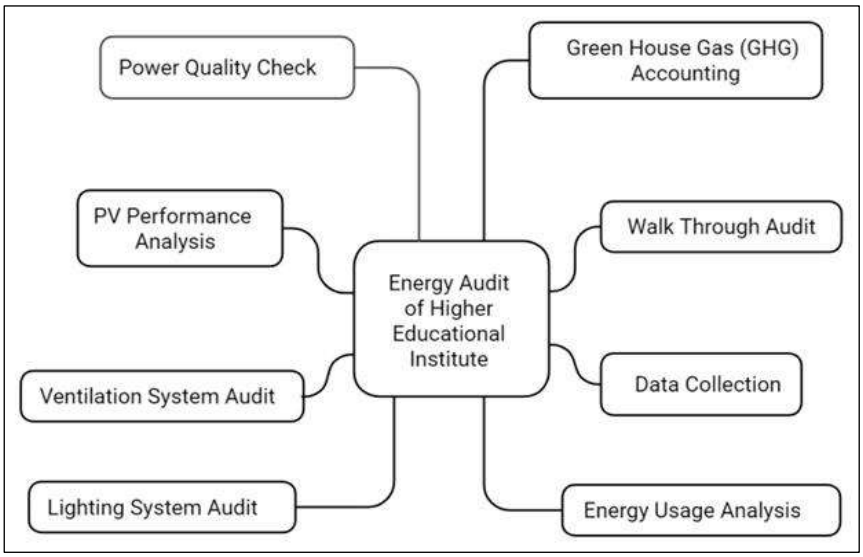


Figure 2: Proposed Methodology.
Source: Authors, (2026).

1. Walk-through audit: It is a very important and primary step in process of energy audit. It gives visual idea of every electrical installation of the institute and provides superficial insights about areas where energy is being wasted and offers practical, often low-cost solutions for immediate savings.
2. Data Collection: It includes collection of electricity bills, electrical equipment specifications and operational details.
3. Energy Usage Analysis: This includes study of current energy consumption details. Also, authors are intended to suggest energy cost saving opportunities with pay-back period calculation in case of investment, if required.
4. Lighting System Audit: This includes the analysis of energy consumption of indoor & outdoor lighting system. Also, comparisons of energy consumption of lighting system with & without ECM, if any, is also to be included. Calculation for economics of ECM applied will also be performed.
5. Ventilation System Audit: This includes the analysis of energy consumption in ventilation system. Also, comparisons of energy consumption of ventilation system with & without ECM, if any, is also to be included. Calculation for economics of ECM applied will also be performed.
6. PV Performance Analysis: This includes the analysis of the rooftop geid-tied PV system.
7. Power Quality Check: Using power analyser, power quality testing is included. This part involves measurement of harmonic levels with supply, voltage fluctuations and power factor. This part includes corrective action in this context, if required, with its economics.
8. GHG Accounting: This includes scope 1, scope 2 and scope 3 carbon emission calculations.

V. CONCLUSION

Authors have observed enormous amount of energy consumption at a higher educational institute located in Gujarat, India. Authors found different fields like energy usage analysis, lighting system audit, ventilation system, power quality check, HVAC system, water pumping system, diesel generator performance, PV performance analysis, GHG accounting, and application of Energy Conservation Building Code, with energy conservation potential. Authors will address many of the above-mentioned fields to cater the problem of high consumption of the energy at the institute.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Seema V. Vachhani and Dr. Dharmesh J. Pandya.
Methodology: Seema V. Vachhani and Dr. Dharmesh J. Pandya.
Investigation: Seema V. Vachhani.
Discussion of results: Seema V. Vachhani and Dr. Dharmesh J. Pandya.
Writing – Original Draft: Seema V. Vachhani.
Writing – Review and Editing: Seema V. Vachhani and Dr. Dharmesh J. Pandya.
Resources: Seema V. Vachhani and Dr. Dharmesh J. Pandya.
Supervision: Dr. Dharmesh J. Pandya.
Approval of the final text: Seema V. Vachhani and Dr. Dharmesh J. Pandya.

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QUALITY ENHANCEMENT TECHNIQUES FOR BREAST CARCINOMA IN EPITHELIAL TISSUE IDENTIFICAATION PROCESS

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ABSTRACT

Breast Cancer is considered to be the deadliest disease among women due to the carcinoma in epithelial tissue development in breast. The cause of the disease many vary due to many circumstances, but identification procedure followed are mostly similar. The clinical way of identifying the cancer effected tissues in breast are followed in advance stages or pre advanced stages, which is due to the lack of adequate knowledge about breast cancer. The treatment given during the final stages are mostly not feasible solution and eventually ends with negative result. Digital Image Processing (DIP) technique coupled with Data Mining and Machine learning algorithms are most recently used breast cancer identification procedure. The identification procedure followed using those techniques are not only accurate, it also gives very fast analyzing report based on the historical record. This research article proposes pre-processing technique, which is a part of the overall research work of breast cancer identification procedure. The Mammography images collected from the source may contains many irrelevant information as well as missing values. The article gives a clear idea of pre-processing techniques followed as well as filtering techniques implemented to enhance the quality of the collected breast cancer Mammography images.

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I. INTRODUCTION

The Breast carcinoma images are collected from various sources are to be cleaned before taking the images into the analyzing stage. The initial noise removal techniques are applied for removing the irrelevancy presence in the collected images. The unclear and unwanted objects present in the images re removed unconditionally to prevent the inaccurate prediction results. The pre-processing plays a major role in increasing the probability chance of accuracy as well as for improving the quality of the collected images [1], [2]. The raw breast cancer Mammography images are taken to the preprocessing stage, where initial cleaning process is carried out for improving the final accuracy. The dimensions of the images are normally determined with pixel representations, which is common in all digital images. DIP gives a benefit of easy transformation, processing and storing the image into human understandable record for easy prediction. The DIP gives a clear and enhanced quality images for easy identification and prediction process. In recent years many diagnostics centers and radiologist started to deploy the DIP technology in the medical applications [3]. Some of the advantages of using DIP in medical image processing are listed below

i) Easy Image enhancement / restoration
ii) Medical image visualization
iii) Artistic effects after processing
iv) Industrial inspection for testing purpose
v) Law enforcement for legal rules

Imaging technology plays a major role in medical field to diagnose patents internal organs without clinical cut or operations. This fields also helps major surgent to clearly visualize the inner and deep wounds without opening the body. The DIP helps in finding the carcinoma

in epithelial tissue growth very clearly and gives clearcut idea of the severity level of infection or growth. This research article focuses on cleaning the irrelevancy in collected Mammography breast cancer images with the usage of DIP processing techniques, which makes the breast cancer identification accurately. The processed images after the preprocessing stages are taken for applying the filtering methodology for enhancing the quality of the pre-processed images. The segmentation techniques followed after the pro-processing helps the specialist to identify the severity level of the growth in early stage of breast cancer [4]. The image enhancement procedure is followed after the pro-processing technique to enhance the quality of the processed images. The noise present in the images is also removed before the segmentation stage. The noise removing techniques removes all the cancer affected parts from the mammography breast cancer images. Machine learning and deep learning algorithms are used further to analyze the severity of the cancer growth in the breast [5]. The research article is organized as follows. Section 1 gives an introduction to the area of image processing and breast cancer affects. The significance of the research work is also discussed in this section. Section 2 gives complete literature review about the latest research work undergone in the area of breast cancer detection using digital image processing. Section 3 clearly explains the materials and methods for implementing the proposed research work. Section 4 gives a detailed explanation about the obtained results for the breast cancer pre-processing stage with clear future goals. The final part of the research article explains the conclusion part, where the future work is explained.

II. REVIEW OF LITERATURE

The initial clinical observations contained the intricate connection between hormone therapy and breast cancer progression, wherein testosterone-based hormone therapy has been examined using clinical case evaluations and observational assessments (Clinical Case Review and Hormonal Impact Analysis, CCRHIA), as well as found useful information regarding the behavior of cancer in transmen, but the study in [6] was limited by the small number of subjects and inability to statistically validate it. Extensive epidemiological surveys by population-level statistical cancer modeling (Population Cancer Statistics Modeling, PCSM) at [7]) yielded a broad global cancer incidence and mortality pattern, yet lacked predictive and diagnostic diagnostic usefulness of its applications. In [8], tumor size-based survival estimation models (Tumor Size Survival Prediction Model, TSSPM) showed a high level of prognostic evaluation based on tumor sizes, and there was no integration of the molecular or imaging based biomarkers. In [9], longitudinal randomized screening trials that used mammography-based population screening evaluation (Randomized Mammography Screening Evaluation, RMSE) confirmed the efficacy of early screening at 25 years, but had the drawbacks of the possibility of over diagnosis and inability to adapt to contemporary imaging modalities. The move to automated diagnosis started with the earlier computer-aided diagnosis systems based on feature extraction and pattern recognition (Computer-Aided Diagnosis for Early Detection, CAD-ED) in [10] which did a better job of detecting early signs but had issues of high false-positive rates and hand-crafted feature dependency.

In [11], multi-class classification (AIS-MCC) based on the Artificial Immune System was also proposed as a bio-inspired classification method in cancer classification but it had a significant drawback in its computational complexity and scalability. Classification with a decision-tree-based learner with optimized continuous attribute compression using the C4.5 Decision Tree Algorithm (C4.5-DTA) in [12] was more interpretable of the classification but had overfitting and could not handle noisy medical data. Interpretable Fuzzy Rule Extraction (Fuzzy Classification Rule Mining, FCRM) in [13] based on the use of fuzzy logic was found to enhance clinical transparency, but with high rule explosion and lower accuracy on large datasets. Multi-classifier ensemble models with statistical and machine learning classifiers (Multi-Classifier Diagnostic System, MCDS) in [14] were more resilient to data sets although they did not have dynamic feature selection and deep representation learning. Approximately classification rule learning (Rule Induction using Approximate Classification, RIAC) in [15] gave interpretable diagnostic rules, but did not perform well on high dimensional medical features. LS-SVM based support vector classifier improvement of support vectors as used in [16] in diagnosis increased the speed of classifications and accuracy, but was sensitive to choice of kernels and lacked sensitivity to imbalanced clinical data. Reduced Feature Set Optimization (RFSO)-based classification with feature-reduction in [17] showed better computational efficiency, but it had a risk of information loss in terms of diagnostic sensitivity.

Swarm intelligence and neural learning with Wavelet Neural Network optimized by Swarm Intelligence (SI-WNN) in [18] was found to be highly effective in enhancing the accuracy of mammogram-based detection however, with high sensitivity to parameters and costly computation. The initial use of deep learning was with probabilistic generative models based on Deep Belief Networks (DBN) in [19] that were effective at learning hierarchical features, but with long training times and vanishing gradient problems. The superior detection accuracy was achieved in [20] with advanced convolutional modeling based on Deep Convolutional Neural Networks (DCNN-MI) with the use of big labeled datasets and low interpretability. Artificial Intelligence-based Interval Cancer Prevention Systems (AI-ICPS) in [21] optimized the screening process in large scale economies, lowering the number of cancer cases missed in national programs, but still, needed constant real-world validation of the system and other ethical issues like automated decision-making. In [22], genomic-level diagnosis with Deep Learning-based Non-coding RNA Disease Association Prediction (DL-ncRNA-DAP) was found to early detect metaplastic breast cancer but had little biological interpretability and could not find enough data. Lastly, early detection through preprocessing, as proposed by Image Preprocessing Optimization (ML-IPPO) [23], focused on, but did not implement, noise reduction and contrast enhancement to amplify the classification accuracy of advanced deep learning architectures, but it did not have end-to-end optimization.

III. MATERIALS AND METHODS

Some methods are implemented in the chosen picture data set within the image processing application domains for image preprocessing. The overall aim of this process is to develop a means for enhancing lung images that may be utilized for further diagnosis. The chosen digital MRI has proved to be the most effective technique for early detection of lung cancer. The MRI images taken in real-time for this study were provided by Gemini Scans. The images are categorized into MRI pairs, each of which is a patient's left and right lungs. The data set includes photos that belong to two categories: malignant and beige.

An image enhancement technique is a method of processing an image so that the final product is far more appropriate for a given application than the original image. With the aid of the MATLAB software, the stored digital image is improved. Figure 1 shows the suggested strategy.

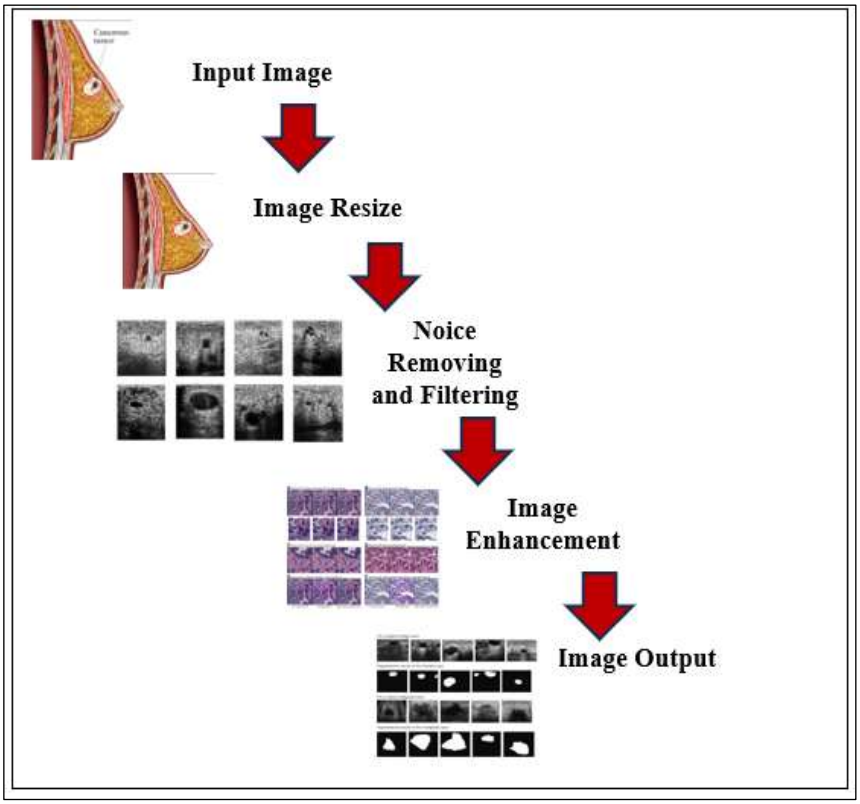


Figure 1: Preprocessing Methodology.
Source: Authors, (2026).

The preprocessing method recommends the following processes: concurrent, noise elimination, filtering, and enhancement of contrast.

1. The real-time MRI image is supplied by the Gemini scan center.
2. The colour image is converted to a greyscale image.
3. Various sizes are enhanced on the photos.
4. Several methods of filtering are utilized to remove noise from the grey image.
5. The Adaptive Histogram Equalization filtering method enhances the contrast of the image.
6. The enhanced output image is the one that was obtained.

III.1 PRE-PROCESSING

Due to various noises present in them, the raw images collected from the scan center and websites are not fit to be processed directly. Therefore, it is pre-processed prior to examination. Labelling, artefact removal, enhancement, and segmentation form a crucial step in MRI. Preprocessing involves image resizing, conversion, reduction of noise, and improvement of quality, which results in an image that enables the precise identification of minute details.

Gray Scale Conversion: Filtering techniques such as power spectra and blur filters are adjusted for eliminating noise. It is obvious that the Wiener filter is divided into two different components: the inverse filtering component and the noise smoothing component. Besides employing inverse filtering (high pass filtering) for de-convolution, it even employs a compression operation (low pass filtering) to remove noise.

Image resizes: For enlarging and shrinking the given image size in pixel form, image scaling is a significant role to play in image processing methods. Image down-sampling and image up-sampling are the two forms of image interpolation needed while resizing the data to the size of the output display or to a specific communication channel. Presenting the final visual information might involve an approximate representation of the original high-resolution, even when it is more efficient to send low-resolution versions to the client. In most applications, ranging from consumer products to critical positions in the security, defence, and medical sectors, a correct scaling of image information is a required initial step. In this section, the nearest neighbour algorithmic method was employed as part of the image scaling method. The nearest neighbour method's use accelerates the image processing process towards the end. The method which may be used to assess the speed of resizing is marred by the fact that the final image often has block artefacts, which are hardly perceptible to the human eye but also cause significant deterioration in error calculations applied to compare approaches. Bi-linear and bi-cubic interpolation are two other commonly used methods.

Noise Removal: Random variation of color data or intensity in images formed by scanners or medical devices is referred to as image noise. By and large, image noise is regarded as an unwanted secondary product of image formation. A measure of the doubt or lack of sureness about a signal resulting from random changes in the signal is loosely referred to as noise. The variability has diverse etiology.

Visual noise is to be found in all medical imaging. A noisy image looks mottled, grainy, textured, or snowy. There are several types of noise, and the most common one in medical imaging is detailed below.

Salt and pepper: As part of image noise removal methods, salt and pepper image conversion is widely used. It occurs in the form of black and white pixels which appear randomly. When there are short transients, such as improper switching, salt and pepper noise seeps into images. It is sometimes called "spike noise" or "impulsive noise."

Gaussian: The Gaussian distribution, also known as statistical noise, is statistical noise with a normal distribution probability density function (PDF). Each pixel in the image will be changed from its original value by a (usually) small amount when there is Gaussian noise.

Shot or Poisson: The most common noise in the brighter regions of an image is referred to as short noise, or Poisson noise. Photon shot noise is another name for the statistical quantum fluctuations that an image sensor normally generates, which vary the number of photons detected at a given exposure.

Speckle: The image quality of active radar and synthetic aperture radar is degraded by speckle noise, a grainy disturbance present in both [16]. Ultrasonic medical devices are generally the source of this type of noise.

III.2 FILTERING METHODS

To enhance an image, filters are used primarily to either repress the high frequencies of the image, which smooths the image, or its low frequencies, which enhances or detects the edges of the image. An image can be filtered, for example, to emphasize specific characteristics or remove others. There are numerous ways to do this, and the most effective may depend on the image and the purpose for which it is being used. There are several applications for image filtering, including edge detection, noise filtering, sharpening, and smoothing.

Wiener: Inverse filtering and noise smoothing are best traded off by wiener filtering. It reverses the blurring and removes the extra noise simultaneously. When the mean square error is considered, the Wiener filtering is the best. In other words, it minimizes the overall mean square error in the process of noise smoothing and inverse filtering. The Wiener filter linearly estimates the original image. A stochastic model forms the basis for the technique. The Wiener filter in the Fourier domain can be written as below, based on the orthogonality principle:

$$f(x,y) = \frac{H*(f_1,f_2)S_{xx}(f_1,f_2)}{H(f_1,f_2)2S_{xx}(f_1,f_2)+S_{nn}(f_1,f_2)}$$

Median: It impacts a rectangular area through the use of the median filter. When filtering images, it adjusts photo sizes by certain conditions stated below. The median position within the 3-by-3 neighbourhood about each pixel from the input pictures is held by every output pixel. zeros play the image edges' place instead. The value of the current pixel at (x,y), the point on which S is currently centered, is substituted with a single value that is the output of the filter. The notation employed is as follows.

$Z_{min} =$ Minimum pixel value in S_{xy}
$Z_{max} =$ Maximum pixel value in S_{xy}
$Z_{med} =$ Median pixel value in S_{xy}
$Z_{xy} =$ Pixel value at co − ordinates (x, y)
$S_{max} =$ Maximum allowed size of S_{xy}

Edges are not blurred and images are preserved when non-repellent noise is removed from two-dimensional signals by smoothing it out with median filtering. This renders it extremely suitable for enhancing MRI images. To determine which pixels in an image have been affected by impulsive noise, the median filter applies spatial processing. By contrasting each pixel within the image to its surrounding pixels, the median filter identifies which pixels are noise. Both the neighborhood size and comparison threshold are alterable. Impulse pixels are those that are dissimilar to most of their neighbors and are not physically coincident with those comparable to them. The median pixel value of the nearby pixels that passed the noise labelling test is then used to replace these noise pixels.

Gaussian: The most important element of both theory and applications is the Gaussian filter. One common image filtering approach is Gaussian filtering, which is a WAP with weight defined as

$$W_{ij}\alpha \exp(\| x_i - x_j \|), i \neq j$$

$W_{ij} = 0$, in which L_2 controls the range of the steep decline. In fact, Gaussian smoothing is a local filtering method. Gaussian filter is a prominent image denoising technique which oversmoothed images at the expense of most detail loss, especially the sharpness of edges. Gaussian smoothing, or low-pass filtering, retains the low-frequency aspects of the image, which do not significantly change, but eliminates high-frequency features, including noise and edges. In other words, everything that is smaller than the feature of the image gets blurred by the filter.

Contrast Enhancement: The contrast is the difference between the maximum and minimum pixel intensities. The formula for expanding the image histogram to increase contrast is

$$g\,(x,y) = \frac{f(x,y) - fmin}{fmax - fmin} * 2^{bpp}$$

The equation requires greyscale levels multiplied by the lowest and highest pixel intensity. As our example picture is 8 bpp, the grey levels would be 256. The minimum value is 0 and the maximum value is 225. So the 0 is the minimum and 225 is the maximum. In this case, the formula is

$$g\,(x,y) = \frac{f(x,y) - 0}{225 - 0} * 255$$

f(x,y), where f is the intensity value of every pixel. In a picture, we will calculate this formula for every f(x,y). The capability of the image is enhanced as the equations are used. The main objectives of the contrast enhancement system are two-fold: equalisation and removal of unwanted objects, such as noise and blocking objects, with a locally adaptive histogram [22]. Specifically, block-based processing involves local adaptation, overlapping adjacent blocks minimises blocking artefact, and spatiotemporally adaptive filtering eliminates noise. Without considering the image boundary, the block-overlapped histogram equalisation algorithm's details are summarised as follows. Figure 3 explains the correspondence between the full image and the (m,n) block. The corresponding B x B block is subjected to histogram equalisation, and the centre pixel intensity of the block is adjusted according to the equalisation. We just add the last column of the new block and remove the first column of the old block to compute the histogram of the next block, or (m, n+1) block.

IV. EXPERIMENTAL RESULTS AND DISCUSSION

Image resizing: Alter the image size (in pixels). In both the horizontal and vertical directions, picture down sampling, or resampling at a lower rate, reduces a 512x512 image to 256x256, which is a factor of 2. An enlarged image is produced from a smaller one by image upsampling, or resampling at a higher rate (512x512 -> 1024x1024).

Shrink the image size and turn everything into 1D. A two-dimensional image can be reduced in two steps: first along the x direction and then along the y direction. Pixels are reduced by a factor of a < 1; fat pixels are size 1/a; the (rescaled) target image size is aw (1/a) = w = the original size (though pixel size differs) A "tiny pixel" has size 1/a, and a rescaled target image has size aw (1/a) = w = original size. Image stretching is achieved by the factor of a > 1. Figure 2(a1,2,3,4) has the original Mammography breast cancer images for the preprocessing that was carried out for this research work. Preprocessing techniques are employed, such as image scaling, noise reduction, filtering, and contrast enhancement. Figures 2(b1) to 2(b4) shows the representation of the images resized into 128x128 size. Figure 2(c1) to 2(c4) represented in the table shows the images resized into 256 x 256. Finally, the resizing of 512 x 512 size is represented in figure 2(d1) to 2(d4).

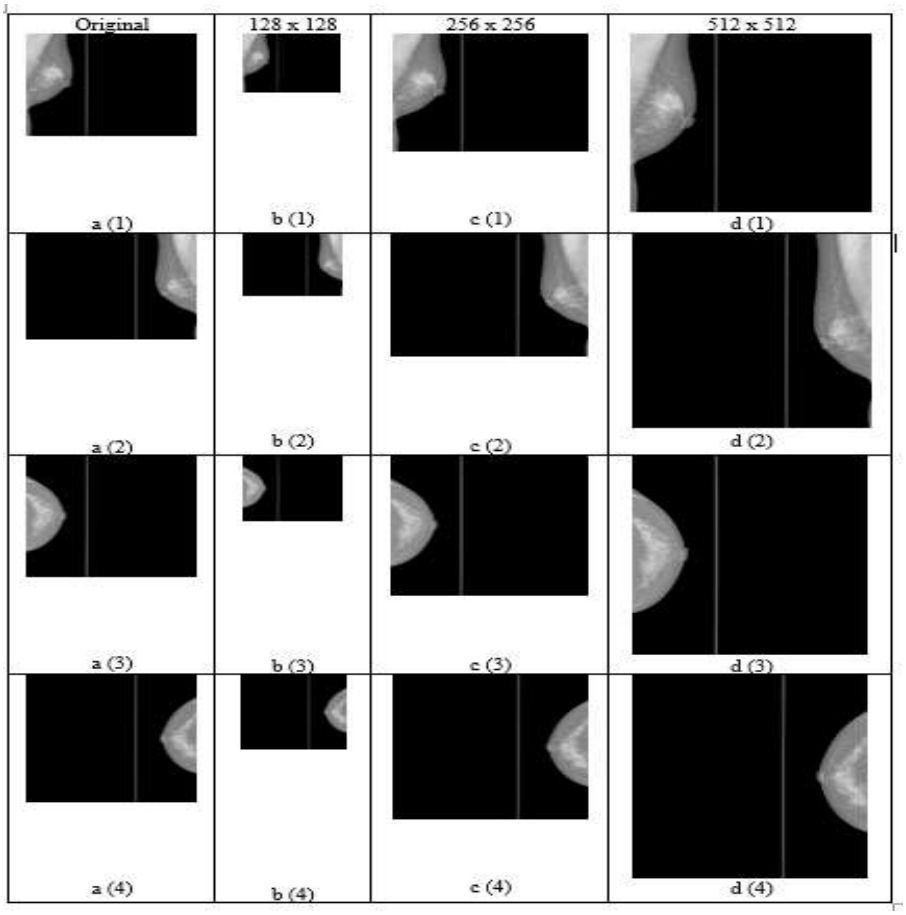


Figure 2: Results of Image Sizes.
Source: Authors, (2026).

The images present in the figure 2 are taken from two different patents, which is shown from the different dimensions. The pixel range of the original images are huge in numbers, which can make the proposed model to take more running time. The preprocessing technique followed in this research article can give a proper solution in reducing the size of the image without changing the clarity of the images.

Table 1: Image Pixel Count.

Image Size	Image Name	Space Occupied (KB)	No. of Pixels
227X222	a (1)	118.24	118,336
	a (2)	107.49	125,296
	a (3)	76.11	76,176
	a (4)	68.78	68,644
128x128	b (1)	2.55	324
	b (2)	2.33	289
	b (3)	1.93	256
	b (4)	1.75	121
256x256	c (1)	8.16	1024
	c (2)	7.50	961
	c (3)	5.85	729
	c (4)	4.46	576
512x512	d (1)	21.82	2809
	d (2)	19.99	2601
	d (3)	15.63	2025
	d (4)	11.56	1444

Source: Authors, (2026).

Table 1 presents the number of pixels at every step of the preprocessed image results. This table demonstrate the various dimensional images of the breast cancer affected patient with differences in pixel rates. The table also shows the variation from the original images as well as the resized images. Also, table 1 indicates how much memory space was utilized in storing the photos of varying sizes.



Figure 3: Pixel Rate of original image.
Source: Authors, (2026).

Figure 3 gives a detailed view of the utilized memory space of the original images and pixel generated with the images. The simulations carried out to examine the pixel size as well as the memory utilized.

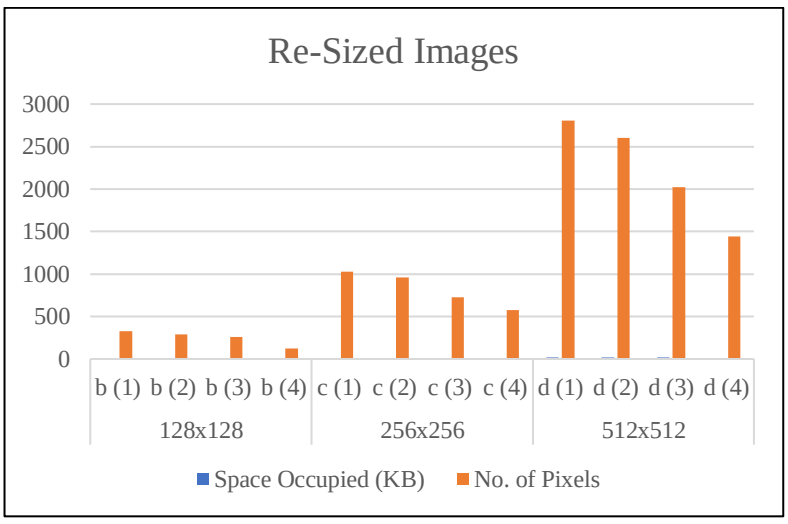


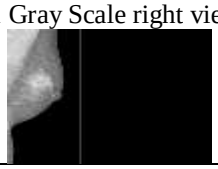
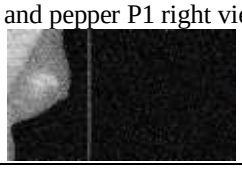
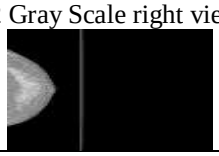
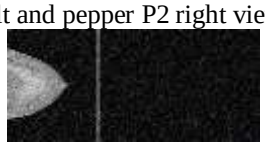
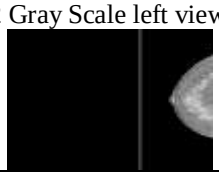
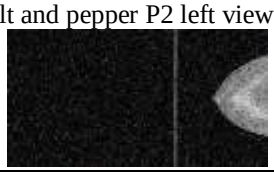
Figure 4: Pixel Rate of re-sized images.
Source: Authors, (2026).

Figure 4 gives a detailed view of the utilized memory space of the various stages breast cancer affected patient and pixel generated with the images. The similar initial inspection and simulations are carried out to examine the pixel size as well as the memory utilized. The figure gives a detailed view of better utilization.

IV.1 RESULT FOR SALT AND PEPPER NOISE REMOVAL

Dark pixels will be in light regions and light pixels in dark regions of an image contaminated with salt and pepper noise. This is because of dead pixels, transmission bit errors, and analogue to digital conversion problems. Dark frame elimination and interpolation at dark bright pixels can be applied to eliminate it.

Table 2: Salt And Pepper Noise Removal.

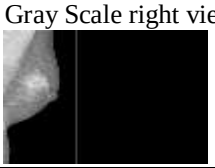
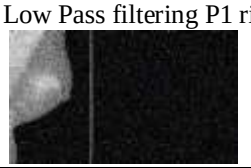
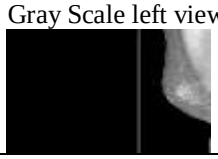
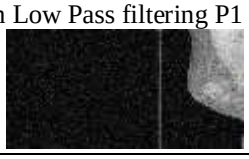
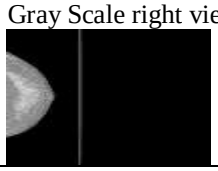
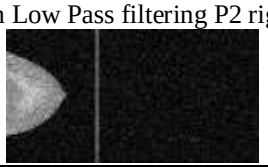
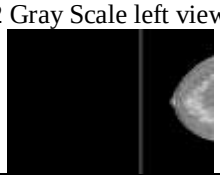
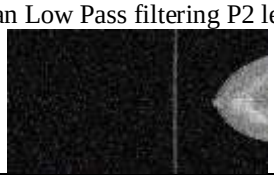
P1 Gray Scale right view 	Salt and pepper P1 right view 
P1 Gray Scale left view 	Salt and pepper P1 left view 
P2 Gray Scale right view 	Salt and pepper P2 right view 
P2 Gray Scale left view 	Salt and pepper P2 left view 

Source: Authors, (2026).

IV.2 RESULT OF GAUSSIAN LOW PASS FILTER

Every pixel in the image will be altered from its initial value by a (typically) little amount throughout the Gaussian noise removal process. As seen below, low pass filtering uses a compression technique to eliminate noise. This research explores the application of the Gaussian Low Pass Filter at the preprocessing step of image processing in breast cancer diagnosis. For suspicious region detection, discriminative feature extraction, and classification of the filtered images using the correct machine learning or deep learning algorithms, they are further processed. The final aim is to utilize automated image analysis to enhance diagnostic accuracy and help doctors in early breast cancer detection.

Table 3: Gaussian Low Pass Filter.

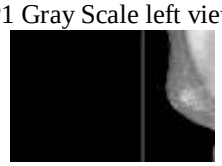
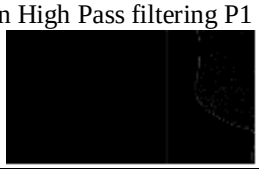
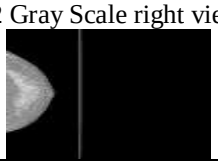
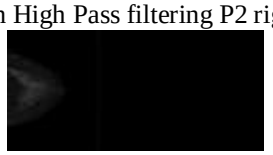
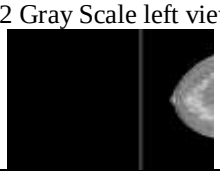
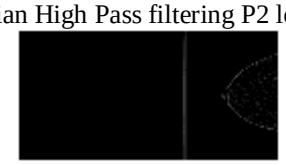
P1 Gray Scale right view 	Gaussian Low Pass filtering P1 right view 
P1 Gray Scale left view 	Gaussian Low Pass filtering P1 left view 
P2 Gray Scale right view 	Gaussian Low Pass filtering P2 right view 
P2 Gray Scale left view 	Gaussian Low Pass filtering P2 left view 

Source: Authors, (2026).

IV.3 RESULT OF GAUSSIAN HIGH PASS FILTER

Statistical noise with a normal distribution probability density function (pdf) also known as the Gaussian distribution is called Gaussian noise. Each pixel in the image will be changed from its original value by a (usually) small amount when there is Gaussian noise. As can be seen below, Gaussian High Pass employs inverse filtering to perform the de-convolution.

Table 4: Gaussian High Pass Filter.

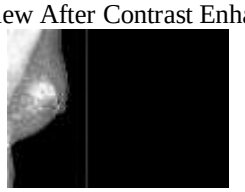
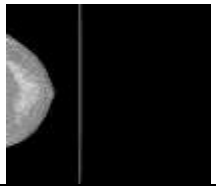
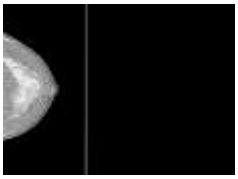
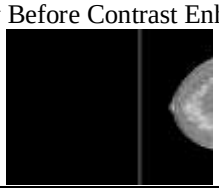
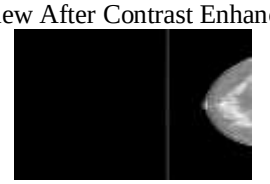
P1 Gray Scale right view 	Gaussian High Pass filtering P1 right view 
P1 Gray Scale left view 	Gaussian High Pass filtering P1 left view 
P2 Gray Scale right view 	Gaussian High Pass filtering P2 right view 
P2 Gray Scale left view 	Gaussian High Pass filtering P2 left view 

Source: Authors, (2026).

IV.4 RESULT OF HISTOGRAM EQUALIZATION

The contrast of a greyscale image can be adjusted through histogram equalisation. Most of the pixel values of the original image occur within the middle of the intensity range, which means the image has low contrast. The pixel values in the resulting image are spread evenly throughout the range. Histogram equalisation is a straightforward image-processing technique employed in medical imaging to generate better-quality black-and-white images. (Digital X-rays, CT scans, and MRIs)

Table 5: The performance of Histogram Equalization.

P1 right view Before Contrast Enhancement 	P1 right view After Contrast Enhancement 
P1 left view Before Contrast Enhancement 	P1 left view After Contrast Enhancement 
P2 right view Before Contrast Enhancement 	P2 right view After Contrast Enhancement 
P2 left view Before Contrast Enhancement 	P2 left view After Contrast Enhancement 

Source: Authors, (2026).

The Filtering Techniques Wiener Filter, Median Filter and Gaussian Low and High Pass Filter are deployed with various methods. The Result obtained can be clearly observed from Table VI. The observed results are very clear in explaining the size variation of image and techniques deployed can alter the image clarity.

Table 6: Filtering Techniques and Result Observed.

Method	Filtering Technique	Results Observed
128 X 128	Wiener Filter	Small size and Dark
	Median Filter	Small size and Bright
	Gaussian Low and High Pass Filter	Small size and Clear
256 X 256	Wiener Filter	Medium size and Dark
	Median Filter	Medium size and Bright
	Gaussian Low and High Pass Filter	Medium size and Clear
512 X 512	Wiener Filter	Large size and Dark
	Median Filter	Large size and Bright
	Gaussian Low and High Pass Filter	Large size and Clear

Source: Authors, (2026).

The implementation of filtering process enhancement techniques, overlapping histogram equalisation is adapted and used with histogram equalization as in Table VI.

V. CONCLUSION

The particular part of the research work focuses on the cleaning stage of the breast cancer Mammography images. The technique deployed in this part of the research work removes the irrelevancy in images as well as helps in improving the quality of the Mammography images. Various filtering techniques are implemented for enhancing the quality of the pre-processed mammography images. The sample breast cancer of two different patents is shown in the experimental results. The results are studied, compared against a normal pattern of noise, and evaluated as per quality. The aim of this research work is to focus on choosing appropriate filtering techniques and removing noise keeping in mind the phases of breast cancer images. Apart from reducing time, the preprocessing method considers the three varieties of filter types and searches for the best pixel outcome using the median filter. Furthermost, the preprocessed and enhanced images are taken for the next analyzing stage with proposed algorithm to identify the breast cancer affected parts from the Mammography images.

VI. AUTHOR'S CONTRIBUTION

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RESEARCH ARTICLE OPEN ACCESS

AUTOMATION OF THE FOOD DEEP-FREEZING PROCESS USING A PLC-CONTROLLED FREEZING TUNNEL.

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ABSTRACT

This paper addresses the design, construction, and evaluation of an automated freezing tunnel for the deep-freezing process of food, implemented using a programmable logic controller (PLC). The research was conducted in the context of the food industry, where energy efficiency, quality preservation, and sustainability are critical factors for competitiveness. The system integrates temperature sensors, control modules, and a human-machine interface (HMI), allowing for accurate, real-time monitoring of the process. The experimental results show that the prototype reached temperatures of up to –30 °C, freezing different products in an average of 12 minutes. This performance represents a significant reduction in time and costs compared to traditional methods, ensuring the preservation of organoleptic and nutritional properties. It is concluded that the automation of the deep-freezing process using PLCs is a viable and scalable alternative for the food industry, providing improvements in productivity, operational efficiency, and food quality.

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I. INTRODUCTION

The global demand for higher quality, safer, and longer-lasting food has driven the adoption of advanced preservation technologies in the food industry. Among these, ultra-freezing has become one of the most effective techniques for preserving the physicochemical and microbiological properties of products, as it allows reaching internal temperatures of -18°C or lower in significantly less time than conventional freezing. This speed reduces the formation of large ice crystals, prevents structural damage to food matrices, and maintains the sensory quality of the final product[1]. Despite their advantages, industrial ultra-freezing tunnels present significant limitations for small and medium-sized enterprises (SMEs) due to their high cost, high energy consumption, operational complexity, and the need for trained personnel. In this context, an opportunity arises for the development of smaller-scale, low-cost, automated solutions that maintain the thermal and energy efficiency of industrial systems but with more compact, accessible, and easy-to-operate architecture[1], [2].

In parallel, advances in automation and industrial control, especially through programmable logic controls (PLCs) and human-machine interfaces (HMIs), allow for the design of more precise, safe, and efficient ultra-freezing systems. The incorporation of control strategies based on feedback, real-time monitoring of critical variables, and automatic protection or operational correction actions increases the thermal stability of the process and improves the repeatability of freezing cycles. This approach is fundamental to ensuring uniformity, reducing energy consumption, and minimizing human error associated with manual operation [2], [3], [4]. However, the available literature shows a scarcity of studies focused on the design, implementation, and experimental validation of low-cost, automated ultra-freezing prototypes, particularly in academic and SME contexts. Most studies focus on advanced thermal analysis, cold air fluid dynamics, or energy evaluation of commercial systems, but few comprehensively evaluate freezing times, thermal uniformity, energy consumption, coefficient of performance (COP), and operational reliability in functional prototypes.

Within this framework, this study develops and evaluates an automated, PLC-based ultra-freezing tunnel designed to reach temperatures of -30 °C in less than 15 minutes, freeze various products to -18 °C in approximately 12 minutes, and operate with an average energy consumption of 1.2 kWh per cycle. Furthermore, thermal uniformity is analyzed at 16 points within the chamber, and the system's robustness is evaluated through repeated continuous operation tests. [5], [6], [7].

Based on this motivation, the following research question is posed:

Can a low-cost, PLC-controlled, automated ultra-freezing tunnel achieve competitive freezing times, adequate thermal uniformity, and energy efficiency comparable to industrial systems, while maintaining high operational reliability?

The hypothesis states that:

The integration of automated control, compact thermal architecture, and optimized airflow allows for a significant reduction in freezing time and energy consumption, while maintaining an internal temperature variation of less than ±2 °C and reliable operation over multiple cycles. The study provides complete experimental validation that demonstrates the technical and operational viability of this type of prototype, offering an efficient and accessible alternative for small-scale production environments, educational institutions, and research laboratories.

II. THEORETICAL REFERENCE

II.1 SUBTITLE

II.1.1 Materials and Methods

The research was conducted using an applied and experimental approach, aimed at creating a prototype food freezing tunnel controlled by a Programmable Logic Controller (PLC). The methodological procedure was structured in sequential phases: conceptual design, materials selection, system implementation, experimental testing, data processing, and validation.

II.1.2 Materials and Methods

Conceptual design of the system

The initial design considered three main subsystems:

- Control subsystem: Consisting of a Siemens S7-1200 PLC as the core of the system, responsible for the control logic of the compressors, fans, and expansion valves. A KTP-600 HMI was integrated to facilitate user interaction, enabling real-time monitoring of temperature, alarms, and process status.[6]
- Refrigeration subsystem: composed of a 1.5 HP condensing unit, a forced-air evaporator, and R404A refrigerant, selected for its compatibility and performance in the –30°C range. This subsystem constitutes the thermal heart of the prototype. [7], [8].
- Structural subsystem: designed with 10 cm thick polyurethane sandwich panels, ensuring adequate thermal insulation to minimize cold loss.

III. MATERIALS AND METHODS

The block diagram representing the interaction of these subsystems is shown in Figure 1.

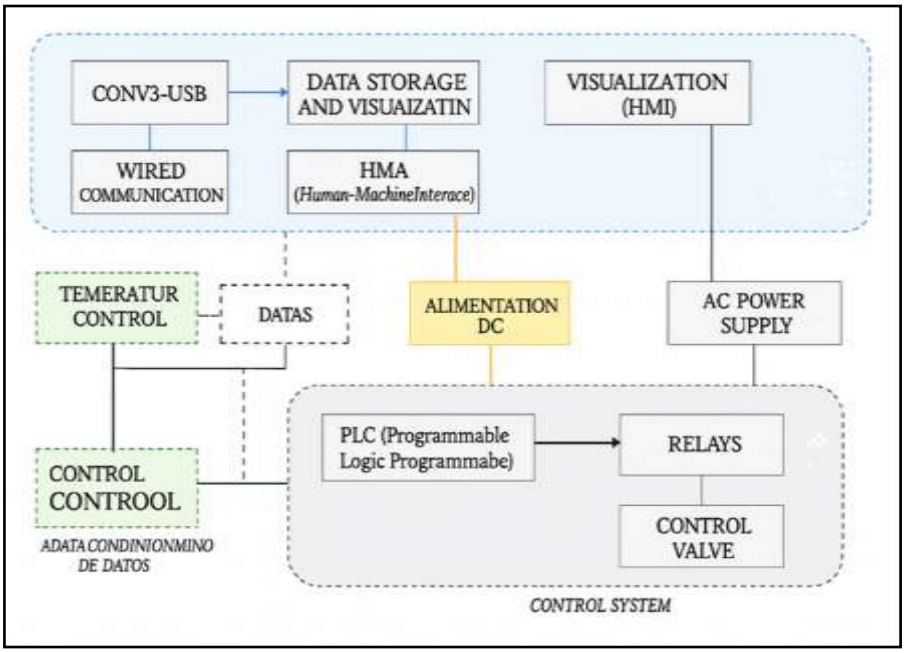


Figure 1: Block diagram of the automated ultra-freezing system.
Source: Authors, (2026).

III.1 SELECTION OF MATERIALS AND EQUIPMENT

For the development of the prototype, a technical inventory of materials was drawn up, classified into control hardware, cooling system, insulating structure, and software.

Table 1: Inventory of materials and equipment used.

Category	Component	Key specification	Amount	Observations
Control hardware	Siemens S7-1200 PLC	CPU + I/O modules	1	System core
	HMI KTP-600	6" touch screen	1	User interface
	Relays and circuit breakers	IEC 60073 protections	Several	Electrical protection
Refrigeration	Condensing unit	1.5 HP, R404A gas	1	Compression cycle
	Forced air evaporator	–30 °C	1	Heat exchange
	Copper pipes	5/8” and 3/8”	According to design	High conductivity
Insulating structure	Sandwich panels (PU)	10 cm polyurethane core	According to design	Thermal insulation
Software	TIA Portal V17	PLC/HMI programming	N/A	Development of routines
	SITRAD PRO	SCADA monitoring	N/A	Remote monitoring

Source: Authors, (2026).

III.2 IMPLEMENTATION PROCEDURE

The implementation was carried out sequentially, following a flow of activities that can be seen in Figure 2:

1. CAD design of the structure and electrical circuit: the tunnel was modeled in AutoCAD, and electrical plans defining connections and protections were drawn up.
2. Prototype construction: The freezing chamber was assembled with sandwich panels and the evaporator and condenser unit were installed. [9], [10].
3. Electrical assembly: the control panel was assembled with circuit breakers, relays and wiring according to IEC regulations.
4. PLC and HMI programming: In TIA Portal V17, control routines were developed for manual and automatic modes, alarm management, and HMI screen display. [3], [9].
5. SCADA integration: SITRAD PRO software enabled historical recording, temperature monitoring, and alarm generation.
6. Validation testing: system performance was verified in vacuum and with real products. [10], [11], [12], [13].

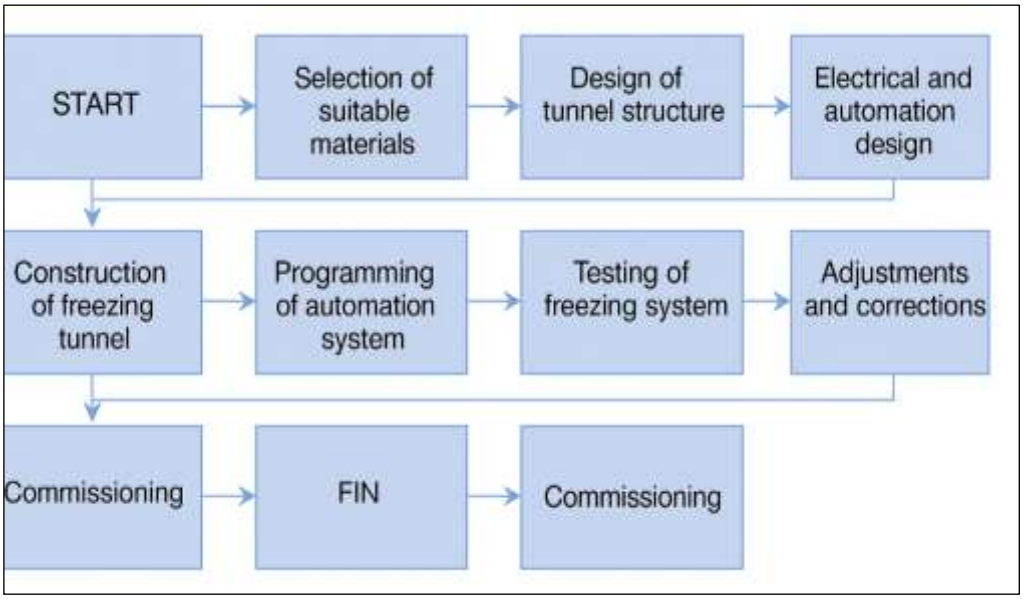


Figure 2: Flowchart of the system implementation procedure.
Source: Authors, (2026).

III.3 EXPERIMENTAL TESTS

Two phases of testing were proposed:

- **Phase 1 – Validation without product:** the system operated empty to evaluate the time to reach –30 °C in the chamber.
- **Phase 2 – Product testing:** Samples of purified water, hard water, juice and soda were frozen, recording temperature-time curves (Figure 3).

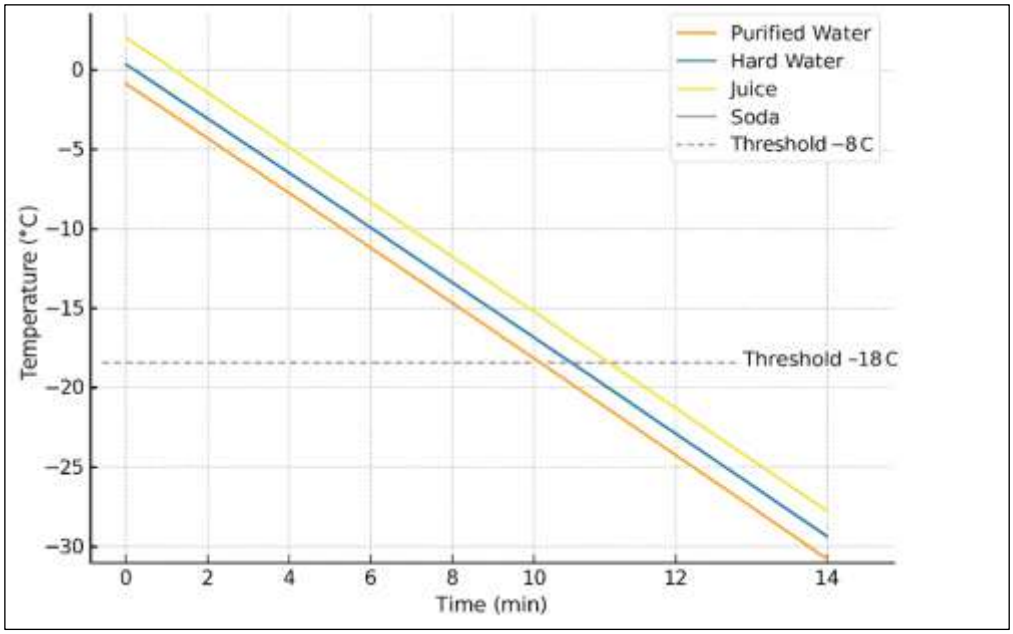


Figure 3: Temperature vs. time curves for different food products.
Source: Authors, (2026).

The average times to reach –18 °C are presented in Table 2, comparing the automated tunnel with traditional systems.

Table 2: Comparative average freezing times.

Product / System	Average time at –18 °C (min)	Standard deviation (min)	N cycles
Automated tunnel	12	1.2	10
Conventional industrial	25	2.5	5
Domestic	60	6.0	5

Source: Authors, (2026).

III.4 DATA PROCESSING AND ANALYSIS

The data were analyzed using:

- **Freezing curves:** comparison of thermal drops (Figure 3).
- **Energy consumption:** average of 1.2 kWh per cycle, illustrated in Figure 4.
- **Coefficient of performance (COP):** estimated at 3.8, validating efficiency.
- **Thermal uniformity:** the maximum difference between points in the tunnel was ±1.5 °C, represented in Figure 5.

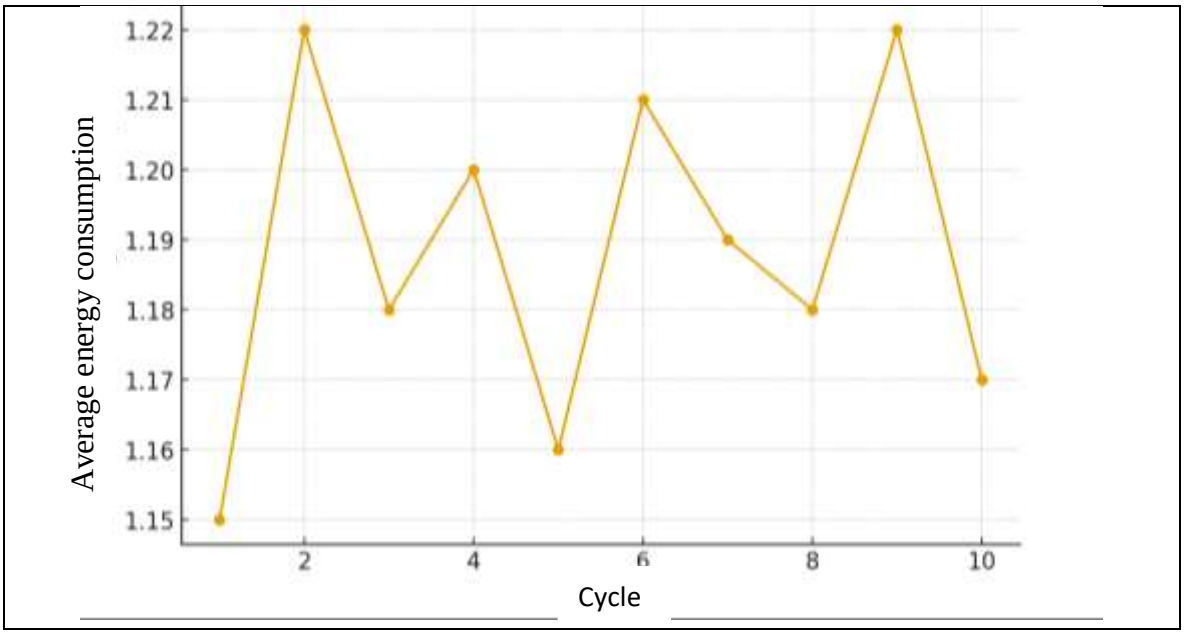


Figure 4: Average energy consumption per freezing cycle.
Source: Authors, (2026).

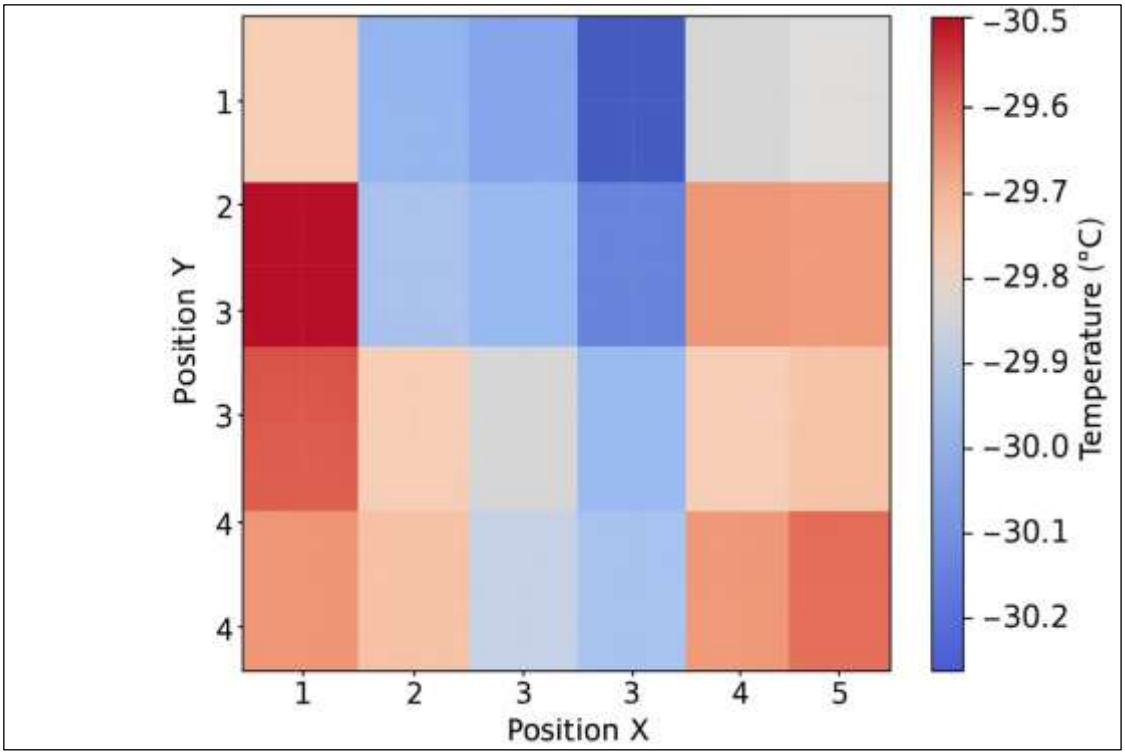


Figure 5: Thermal uniformity at different points in the tunnel.
Source: Authors, (2026).

III.5 VALIDATION PLAN

The experimental plan is detailed in Table 3, which summarizes the objectives, procedures, metrics, and acceptance criteria.

Table 3: Test plan and validation criteria.

Phase	Aim	Procedure	Main metric	Acceptance criteria
Hermeticity	Check for leaks	Pressurization with N_2	Pressure stability	No significant drop
Empty and loaded	Prepare refrigeration circuit	Vacuum 500 microns + R404A charge	Vacuum level reached	≤ 500 microns
Empty curve	Validate –30°C capacity	No-load operation	Time at –30 °C	< 15 minutes
Product testing	Measuring freezing times	Freezing water/juice/soda	Weather at –18 °C	≈ 12 minutes
Sensor calibration	Check accuracy	Comparison with standard thermometer	Maximum deviation	± 0.5 °C

Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

Experimental tests allowed for the evaluation of the thermal, operational, and energy performance of the automated ultra-freezing tunnel under different load conditions and for various types of liquid products. The results are presented organized by: (1) system thermal behavior, (2) freezing times, (3) energy consumption and coefficient of performance (COP), and (4) analysis of uniformity and operational reliability. [10], [14], [15].

Freezing Time Equation

$$t = \frac{Ti - Tf}{\frac{dT}{dt}}$$

Coefficient of Performance (COP)

$$[\![(COP = EconsumidaQextraı́da = Econsmcp(Ti - Tf))]\!]$$

IV.1 SYSTEM THERMAL BEHAVIOR

The system reached an internal temperature of -30 °C in less than 15 minutes, demonstrating a high heat extraction capacity at cycle start-up. The rate of temperature decrease showed a stable slope during the first 10 minutes, followed by an asymptotic approach zone characteristic of the equilibrium between thermal demand and the evaporator's cooling capacity.

This behavior confirms that the tunnel's architecture, along with the automatic control of the compressor and fans, generates a suitable thermal environment for initiating rapid freezing processes. The stability of the temperature profile subsequently observed allowed the product to cool uniformly, preventing thermal over-oscillations that could compromise process quality.

IV.2 FREEZING TIMES OF THE EVALUATED PRODUCTS

The four products analyzed (water, hard water, juice, and soda) were completely frozen to -18 °C in an average time of 12 minutes, with minor variations attributable to differences in composition, solute concentration, and specific thermal behavior. The automated tunnel achieved considerably shorter freezing times compared to the comparative systems:

- 80% faster than a domestic system evaluated under the same conditions (≈ 60 minutes).
- 52% faster than an industrial system used as a reference (≈ 25 minutes).

Table 4 presents the freezing times achieved by the automated tunnel compared to a conventional industrial freezer and a domestic system. The results show a reduction of up to 80% in total freezing time compared to the domestic method. [16], [17].

Table 4: Comparative average freezing times.

Product / System	Average time at –18 °C (min)	Standard deviation (min)	N cycles
Automated tunnel	12	1.2	10
Conventional industrial	25	2.5	5
Domestic	60	6.0	5

Source: Authors, (2026).

This result reflects a key competitive advantage, as the ultra-freezing process ensures higher product quality and lower nutritional losses compared to traditional systems. This demonstrates that the combination of a compact chamber, automated control, and forced airflow increases the rate of heat transfer and reduces thermal resistance between the evaporator and the product. The reduction in freezing times not only improves the quality of the frozen product but also optimizes the hourly processing capacity of the prototype.[18]

IV.3 ENERGY CONSUMPTION AND COEFFICIENT OF PERFORMANCE (COP)

The average energy consumption recorded per cycle was 1.2 kWh, a competitive value considering the installed refrigeration capacity and the total process time. Based on the ratio between the useful energy extracted from the product and the electrical energy consumed, an approximate COP of 3.8 was obtained [16], [17], [19]. This value is consistent with well-designed refrigeration systems and demonstrates that the prototype operates within an efficient range for rapid freezing applications. A COP close to 4 reflects low heat losses, proper compressor operation, and a correct selection of refrigerant and refrigeration components.

IV.4 THERMAL UNIFORMITY ANALYSIS

To eliminate that freezing occurs homogeneously throughout the tunnel, measurements were taken at 16 strategic points distributed within the chamber volume. The analysis showed a maximum temperature variation of ±1.5 °C, an acceptable value for rapid freezing systems and characteristic of well-designed chambers in terms of airflow distribution.[19], [20]. This thermal uniformity is essential, as it minimizes the likelihood of hot spots that could delay the process or affect the final product quality. The achieved homogeneity supports the correct configuration of the fans, the chamber geometry, and the internal circulation of the cold air [16], [17].

IV.5 OPERATIONAL SYSTEM RELIABILITY

During continuous operation tests, 30 consecutive cycles were performed without any recorded failures in the operation of the compressor, sensors, fans, or the control logic implemented in the PLC. This indicates that the system has adequate operational stability for repetitive applications, as well as being tolerant of minor variations in the initial load conditions. The failure-free record suggests a level of reliability appropriate for small-scale refrigeration systems and demonstrates that automation contributes to reducing operator errors, minimizing interruptions, and maintaining repeatability between cycles.

V. CONCLUSIONS

The results of this study demonstrate that the automated deep-freezing tunnel developed using a programmable logic controller constitutes a technically viable and energetically efficient solution for rapid freezing applications. The system achieved internal temperatures of –30 °C in under 15 minutes and completed product freezing to –18 °C in approximately 12 minutes, outperforming conventional domestic freezers and even surpassing the times reported for industrial reference equipment under comparable conditions. These findings confirm that compact chamber architecture, combined with controlled air circulation and automated actuation, enhances heat-transfer efficiency and reduces overall freezing time. Energy assessments showed an average electrical consumption of 1.2 kWh per cycle and a coefficient of performance near 3.8, values that align with efficient refrigeration systems of similar scale. These results indicate that the integration of automatic compressor control, optimized airflow, and proper thermal insulation allows the system to operate within a high-efficiency range while maintaining stable thermal conditions throughout the freezing process. Thermal uniformity analysis revealed maximum variations of ±1.5 °C across 16 measurement points, which reflects a homogeneous temperature distribution within the chamber. This level of uniformity is essential for ensuring that all products experience similar freezing conditions, thereby improving process reproducibility and product quality. Moreover, the system operated for 30 consecutive cycles without failure, demonstrating satisfactory operational reliability for a prototype of this scale and validating the stability of the implemented control scheme.

Although the proposed system exhibits strong performance, certain limitations must be acknowledged. The evaluation was conducted using liquid products in relatively small containers, and future studies should examine a broader range of food types, geometries, and load volumes to analyze the influence of mass and composition on freezing dynamics. Additional work is also needed to quantify long-term energy performance under continuous operation, assess component durability, and incorporate more advanced control strategies capable of adapting to variable product loads. In summary, the automated freezing tunnel developed in this study provides an accessible, efficient, and reliable alternative for small-scale processing environments, technical laboratories, and educational settings. Its favorable balance between freezing speed, energy efficiency, thermal uniformity, and operational stability positions it as a promising platform for future optimization, scaling, and integration into more advanced food-processing systems.

VI. AUTHOR'S CONTRIBUTION

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SYSTEMATIC REVIEW OF COFFEE AND RICE ASH IN PHYSICAL-MECHANICAL PROPERTIES AND CONCRETE DURABILITY

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ABSTRACT

Concrete is one of the most widely used building materials worldwide, but its production generates a high carbon footprint due to the high clinker content in Portland cement. In response, coffee husk ash (CCC) and rice husk ash (CCA) are being investigated as sustainable alternatives to partially replace cement. This paper presents a systematic review of recent studies in Scopus and ScienceDirect, applying selection criteria related to technical relevance, availability of experimental results and incorporation of both ashes in concrete and mortar mixtures. Likewise, a bibliometric analysis is developed using VOSviewer to identify research trends, countries, outstanding authors and predominant keywords. The compiled studies allow us to compare the effect of CCC and CCA on physical properties (workability, density, absorption), mechanical properties (compressive strength, tensile strength and bending) and durability (permeability and resistance to chlorides and sulfates). Overall, the evidence shows that both ashes can be used as supplementary cementitious materials in moderate replacements, valorizing agro-industrial waste and reducing the environmental impact of the concrete, as long as parameters such as fineness, calcination conditions and dosage are controlled to guarantee optimal and sustainable results.

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I. INTRODUCTION

Concrete, also called concrete, is one of the most widely used materials and the second most consumed after water [1]. Its manufacture is based on the combination of aggregates with water and Portland cement, whose production was more than four billion tons in 2022, consolidating it as the most widely used binder in construction [2]. Cement production releases carbon dioxide (CO_2) and is recognized as one of the main sources of emissions linked to global warming [3]. The construction sector consumes large volumes of concrete and represents a relevant fraction of GDP, with an impact on greenhouse gas emissions [4]. In view of this, the use of supplementary cementitious materials derived from rice husks is promoted to reduce the clinker content and carbon footprint of concrete, while maintaining adequate structural performance [5].

Concrete can incorporate agro-industrial by-products, such as coffee husks, favoring sustainability by valorizing waste that would otherwise be discarded [6]. According to [7], this process requires an appropriate selection of materials, preliminary tests and adjustments of the mixture based on laboratory results. Studies on ash from silica-rich agricultural residues indicate that they can improve the strength and durability of concrete, reducing its permeability against aggressive agents [8]. Likewise, it has been observed that workability can decrease, mechanical strength tends to increase with curing time [9]. Therefore, it has been shown that agricultural ash without complex treatments, including rice husk ash, can be used as a partial substitute for fine aggregate in mortars, maintaining strengths compatible with conventional cement mortars [10]. In this context, coffee husks (CC) are considered an abundant and potentially polluting agro-industrial waste due to its content of compounds such as caffeine and polyphenols [11].

In addition, its lignocellulosic fraction contains about 53% cellulose and can be transformed into crystalline microcellulose with high crystallinity and thermal stability, reinforcing its potential as a raw material for composite materials and construction products [12]. On a global scale, coffee production is around 10 million tonnes, of which a significant fraction corresponds to husks and other solid by-products that require recovery alternatives [13]. As one of these alternatives, coffee husk ash (CCC) has been incorporated into concrete mixtures, reporting improvements in strength and a reduction in the environmental footprint [14]. By [15] have evaluated CCC on properties such as compressive strength, bending, and hardness, while [16] report additional benefits in the water absorption, density, and thermal performance of concrete elements.

Similarly, the combustion of rice husks generates rice husk ash (ACC), a silica-rich by-product used as supplementary cementitious material. In turn, [17] report that replacements of up to 10% CCA reduce initial strength, but maintain adequate performance at older ages and decrease carbon footprint. In concretes with high recycled aggregate content, contents close to 15% help to recover resistance and improve durability [18], while in permeable concrete, replacements of 5–10% increase compressive and wear resistance without compromising permeability [19]. In addition, CEC has been used in the manufacture of aggregates that reduce the consumption of natural aggregates [20] and as an addition, where replacements close to 25% allow adequate bending strengths to be achieved with environmental benefits [21].

II. METHODOLOGY

SCOPUS and ScienceDirect. In a first stage, specific keywords related to coffee husk ash were used, such as concrete + coffee husk ash and concrete + coffee husk, identifying works on the use of this residue as an addition to improve the physical-mechanical properties and durability of concrete. Given the limited number of studies that met the selection criteria, the search strategy was expanded to include terms associated with rice husk ash, such as concrete + rice husk ash and supplementary cementitious materials + agricultural ash, considering articles that evaluated the effect of one or both ashes on concrete or mortar mixtures. Subsequently, filters were applied by engineering area, topic, type of document and scientific discipline, restricting publications to the period 2021–2025.

The results and search combinations are presented in TABLE 1, where the articles are organized by database, keywords, range of years and type of document. After the purification of duplicate records and the evaluation of the relevance, originality and availability of experimental information, 64 articles were selected for the final synthesis. TABLE 2 presents the distribution of these documents according to the year of publication (2021–2025), the database consulted and the type of ash analyzed, evidencing a growing trend in research related to the use of coffee husk ash and rice husk ash as cementitious additions in concrete.

Table 1: Results of the filtered research.

Database	Year of Search	Keywords	Documents without Filter	Search Filter	Filtered Documents	Selected Documents	Total
Scopus	2021-2025	Concrete AND café AND cáscara OR arroz	1635	Engineering+ Materials Science+ Article	144	10	42
		Coffee Husk + Durability OR Mechanical Properties	118	Engineering+ Materials Science+ Article	38	8	
		Coffee OR Rice AND Husk AND Concrete	2443	Engineering + Materials Science + Article + Properties	972	18	
		husk and rice and corrosion or durability	3050	Engineering + Item + Pollution	399	6	
ScienceDirect	2021-2025	coffee husk AND concrete	946	Engineering+ Building Materials+ Article+ Open Access	64	5	16
		concrete AND coffee AND durability	1843	Engineering+ Building Materials+ Article+ Open Access	105	3	
		coffee husk ash" AND concrete AND "mechanical properties	304	Engineering+ Building Materials and Construction Engineering+ Article+ Open Access	68	8	

Source: Authors, (2026).

Table 2: Distribution of articles by database and year of publication.

Database	Year Articles Published					Total
	2021	2022	2023	2024	2025	
Scopus	3	7	6	8	24	48
ScienceDirect	0	3	2	3	8	16
Total	3	10	8	11	32	64

Source: Authors, (2026).

A bibliometric analysis was performed with the information collected from the Scopus database, using the following search formula:

(TITLE-ABS-KEY (husk) AND TITLE-ABS-KEY (coffee) OR TITLE-ABS-KEY (corrosion) OR TITLE-ABS-KEY (durability)) AND (LIMIT-TO (SUBJAREA, "ENGI")) AND (LIMIT-TO (DOCTYPE, "ar")) AND (LIMIT-TO (EXACTKEYWORD, "Durability") OR LIMIT-TO (EXACTKEYWORD, "Coffee Husks") OR LIMIT-TO (EXACTKEYWORD, "Compressive Strength")) AND (LIMIT-TO (LANGUAGE, "English")).

This search process yielded 1635 documents, which were exported and processed in VOSviewer to build a keyword co-occurrence map. The objective was to identify the thematic relationships between terms associated with the incorporation of agro-industrial waste in cementitious materials, with emphasis on "coffee husks" and "rice husk ash" linked to the durability of concrete, as shown in Figure 1. The interpretation of the keyword co-occurrence map generated with VOSviewer allows you to distinguish several thematic clusters. In the central zone, terms such as "durability", "water absorption", "tensile strength" and "rice husk ash" are grouped with words related to "concrete", "mechanical properties" and "sustainable development", which shows a focus of research aimed at evaluating the physical-mechanical performance and durability of concretes modified with ash of agricultural origin.

In parallel, the cluster associated with "coffee husks" is linked to concepts such as "biomass", "biochar", "thermal conductivity" and "reinforcement", which reflect studies on energy recovery and applications in cementitious compounds. Other nuclei are articulated around "fly ash", "geopolymer concrete" and "scanning electron microscopy", highlighting the integration of fly ash, rice husk ash and alkalinely activated systems. Taken together, the map supports the relevance of comparatively analysing coffee husk ash and rice husk ash as supplementary cementitious materials for more sustainable concretes. In summary, the bibliometric analysis shows an integration of approaches that combine materials engineering, environmental sustainability and technological development in the study of coffee husk ash and rice husk ash. However, the map also suggests gaps related to large-scale application and evaluation of the performance of these mixtures under real service conditions.

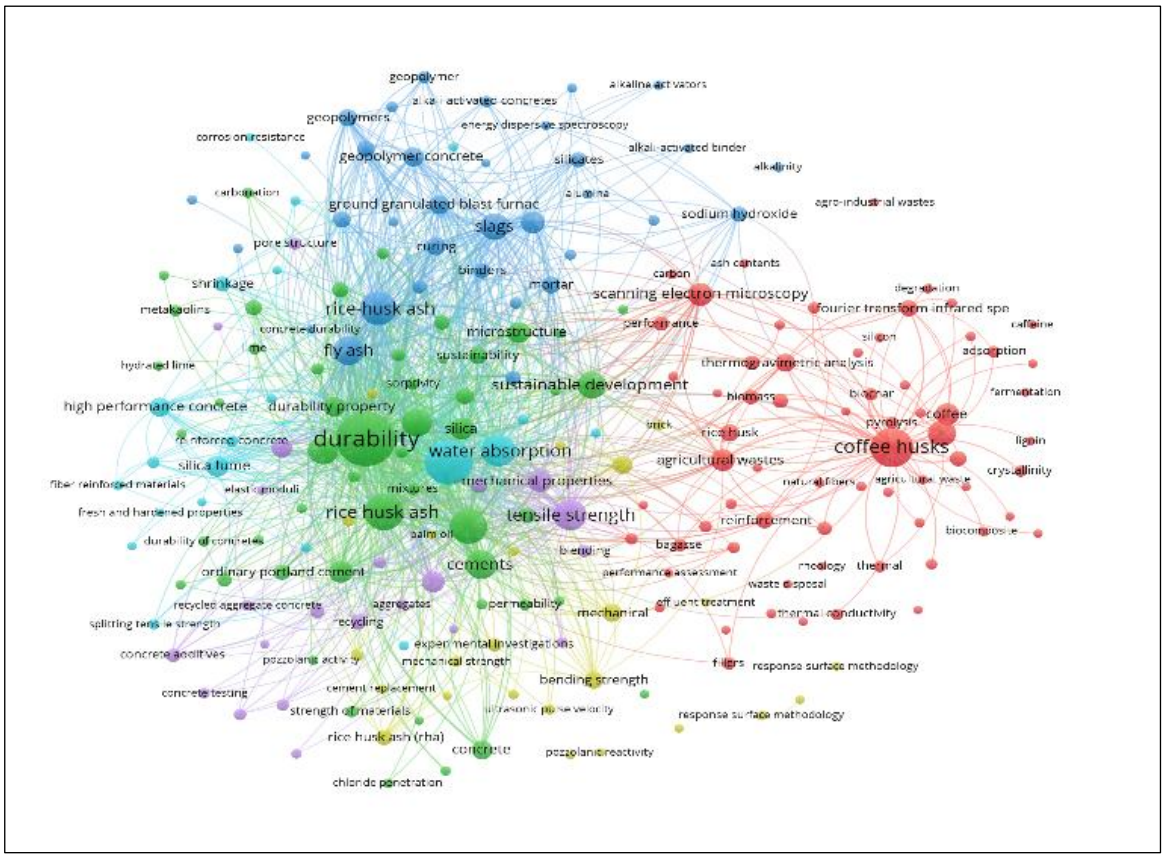


Figure 1: Keyword co-occurrence network map.
Source: Authors, (2026).

III. RESULTS AND DISCUSSIONS

III.1 CONCRETE WITH COFFEE HUSK ASH AND RICE HUSKS

III.1.1Physical Properties

III.1.1.1 Absorption

Water absorption reflects the permeability and durability of concrete; therefore, blends with coffee by-products tend to have higher values due to the high porosity of these residues. In alkalinely activated systems, for example, the progressive replacement of sand with coffee husks increases water absorption and apparent porosity: with 30% husk, absorption reaches ≈19.2% and porosity ≈48.3%, which represents increases in the order of 16.3% and 42% compared to without agro-industrial residue [22]. Similarly, substituting up to 10% of the matrix for coffee husks increases absorption from approximately 17.3 to 23.9% and porosity from ~20 to 40%, while reducing bulk density from 1.94 to 1.69 g/cm³, confirming the highly porous and hygroscopic character of this by-product [23].

On the other hand, rice husk ash behaves in a way that depends on fineness and environmental conditions. In conventional concretes, absorption increases under relative humidity of 31–78 % when using contents of 10–15 % due to its high capillary uptake [24]. However, in moderate additions of 5–10% they reduce open porosity due to the micro-filling effect [25]. This dual behavior is explained by the nanoporosity and high specific surface area of RHA, which can increase or decrease absorption depending on the dosage and the a/c ratio used [26]. Overall, maintaining moderate addition percentages is essential to limit porous connectivity and improve durability.

Table 3: Results obtained for absorption.

Material/system	Residue	% Substitution/Condition	Absorption (%)	Porosity (%)	Main result	Reference
AAB with CC Replaced Sand	CC	30 % arena → CC	≈19,2 %	≈48,3 %	↑Abs ≈16,3 %; ↑P ≈42 % vs control	[22]
Cementitious matrix with CC	CC	0–10% DC → matrix	17,3–23,9 %	20–40 %	↑Abs and ↑P; Density 1.94→1.69 g/cm³	[23]
Concrete with RHA (RH 31–78%)	RHA	10–15% cement → RHA	—	—	↑Abs in Medium-High HR	[24]
Concrete with moderate RHA	RHA	5–10% cement → RHA	—	↓Open porosity	Micro-padding effect, improves durability	[25]
Various Concretes with RHA	RHA	5–20% (depending on the mixture)	—	—	Abs is dosage and a/c (nanoporous) dependent	[26]

Source: Authors, (2026).

III.1.1.2 Workability

Slumping is an essential indicator of the consistency of fresh concrete; Higher values represent more fluid mixtures, although this does not necessarily guarantee better mechanical or durability properties. In this sense, when agro-industrial waste such as ash or bioaggregates of coffee and rice are incorporated, workability usually decreases due to its highwater absorption, great fineness and irregular morphology. For example, [27] they reported that in alkaline activated mortars with coffee husk ash, the flow is reduced as the ash content increases, due to the insoluble fraction that increases the demand for water. Similarly, [28] they observed that substituting up to 15% of cement with a mixture of coffee ash and sugarcane bagasse ash gradually decreases workability, with reductions of about 7% in compaction factor, although within acceptable ranges through adjustments in the water/cement ratio.

Also, in mixtures with rice husk ash (RHA), [29] they report significant slump drops with replacements of 7–14%, especially in mixtures with low A/C ratio, confirming the sensitivity of workability to extreme ash fineness. However, certain treatments can mitigate this loss. When rice husks are used as a pre-saturated bioaggregate, slump variations can be minimal, around 2 mm [30]. Conversely, the combination of RHA with rheological modifiers such as cassava starch increases viscosity and deepens settlement drop [31]. In summary, the incorporation of these residues usually reduces workability, requiring adjustments in the water/cement ratio or the use of superplasticizers to maintain the fluidity of the concrete.

Table 4: Results obtained for workability.

Material/system	Residue	% substitution	Practice	Result	Reference
Alkaline activated mortar	CHA	↑CHA in paste	Flow	↓ Flow with ↑CHA	[27]
Concrete with ash mixture	CHA + other ashes	0–15 % cement	Compaction factor	≈7% ↓ to 15% replacement	[28]
Concrete with RHA	RHA	7–14 % cement	Slump	Marked slump drop	[29]
CC concrete as a saturated bioaggregate	CC	Partial replacement of fine aggregate	Slump	Δslump ≈ 2 mm (almost constant)	[30]
Concrete with RHA + cassava starch	RHA	% RHA + rheological additive	Slump	Slump ↓; Viscosity ↑	[31]

Source: Authors, (2026).

III.1.1.3 Density

The density of concrete is directly related to the porosity and specific gravity of the incorporated materials; As a result, biomass waste often produces lighter mixtures. In this sense, coffee husks have much lower densities than those of mineral aggregates, with values close to 0.16–0.25 g/cm³, which modifies the volumetric behavior of the composite material [32]. This trend is confirmed by looking at its fragile and fibrous microstructure, characterized by abundant voids that reduce the unit mass and classify it as a light component [33]. Consistently, when ash from this shell is incorporated together with polypropylene fibers in 210 and 280 kg/cm² concretes, the density decreases slightly with respect to the standard due to the low specific gravity of both the ash and the synthetic fibers [34].

On the other hand, in reinforced concretes that use rice husk ash as a partial substitute for cement, the density values remain within the typical range of normal concretes, allowing their use in structural elements without significantly altering the dead loads [35]. Overall, the evidence shows that coffee and rice by-products tend to reduce the density of concrete, as long as the dosages are kept controlled to avoid excessive increases in porosity that may compromise the compactness of the material.

Table 5: Results obtained for density.

Material/system	Waste	Density/effect	Brief comment	Reference
Coffee husks (dried)	CC	0,16–0,25 g/cm³	Very lightweight component	[32]
CC as a light aggregate	CC	—	Fibrous microstructure, high voids → unit mass ↓	[33]
Concrete 210–280 kg/cm² with CHA + PP fibers	CHA	% CHA + PP	Density slightly ↓ vs pattern	[34]
RHA Reinforced Concrete	RHA	RHA as a partial cement substitute	Density within normal range	[35]

Source: Authors, (2026).

III.1.2 Mechanical Properties

III.1.2.1 Compressive Strength

Compressive strength is the property most influenced by the incorporation of agro-industrial ash. In the case of RHA, its highly reactive amorphous silica allows increases of between 2.4% and 18.7% when 10–20% replacements are used, due to the refinement of the microstructure and the increased formation of secondary C-S-H gel [36]. Likewise, when used in concrete with lower quality aggregates, this ash improves internal cohesion and contributes to the increase of elastic modulus by optimizing the paste-aggregate transition zone [37]. In addition, predictive models based on 348 experimental data indicate that strength reaches its maximum values with replacements between 10% and 30%, with the water/cement ratio and cement content being the most influential variables [38].

On the other hand, research on cementitious alternatives shows that RHA substitutions between 5% and 20% increase resistance from an early age thanks to the high fineness and reactivity of the ash, which favors the closure of pores and the densification of the paste [39]. Finally, in concretes modified with ground coffee residues, it has been observed that moderate replacements close to 10% maintain structural strengths above 20 MPa at 28 days, due to improved alkaline reactivity during curing [40]. Specifically, M30 concretes with combinations of 15% RHA and 15% snail shell ash achieve strengths of up to ≈46 MPa at 90 days, outperforming reference concrete and significantly reducing water absorption [41]. Overall, the results show that agro-industrial ash strengthens mechanical behavior when incorporated in controlled proportions, mainly by reducing porosity and optimizing the microstructure.

Table 6: Results obtained for compressive strength.

Material/system	Residue	% substitution	Age	Main result	Reference
Concrete with RHA	RHA	10–20 %	28–90 d	fc’ ↑ 2,4–18,7 %	[36]
Concrete with RHA and low-quality aggregates	RHA	10–20 % (typical)	28 d	Improves cohesion and elastic modulus	[37]
Predictive model with RHA	RHA	10–30 %	—	hr' max at 10–30 % RHA	[38]
Alternative Concretes with RHA	RHA	5–20 %	7–28 d	fc' ↑ from an early age	[39]
Concrete with ground coffee	CG	≈10 % replacement	28 d	fc’ > 20 MPa	[40]
M30 Concrete with RHA + Shell Ash	RHA + other ash	15% RHA + 15% shell ash	90 d	fc’ ≈46 MPa	[41]

Source: Authors, (2026).

III.1.2.2 Tensile Strength

The tensile strength of concrete depends largely on the internal cohesion of the matrix and the paste–aggregate link, so the incorporation of coffee husk ash (CHA) can significantly influence this property. Although studies carried out on asphalt mixtures show notable increases in indirect traction, for example, an increase of 35.8% compared to conventional filler and an increase in TSR from 94.58% to 105.03%, values higher than the minimum of 80% required to guarantee resistance to moisture damage, these results show the potential of CHA as a reactive microfiller capable of improving the internal cohesion of the material [42]. In addition, mechanical optimization analyses in cementitious compounds indicate that intermediate dosages of fine agro-industrial residues maximize strength and rigidity, suggesting that moderate use of CHA could strengthen the tensile behavior of concrete without compromising its integrity [43].

In addition, studies with RHA indicate that its densifying effect increases the speed of the ultrasonic pulse and surface hardness, properties closely associated with a greater indirect tensile strength [44] . Added to this is that low proportions of calcined ash at adequate temperatures can improve indirect traction by filling action and increased density. [45]. Even in polymeric matrices, treated coffee husk fibers show significant increases in traction due to optimized matrix-fiber adhesion [46]. Taken together, these results indicate that traction is favored when ash is used in moderate proportions or in balanced combinations, while high replacements reduce performance by increasing porosity and decreasing available cementitious compounds.

Table 7: Results obtained for tensile strength.

Material/system	Residue	% / condition	Indicator	Result	Reference
Asphalt mix with CHA as filler	CHA	Replacement filler conv.	Indirect traction	↑35,8 %; TSR 94,58→105,03 %	[42]
Cementitious compounds with fine residues	CHA or others	Intermediate dosage	HR and Stiffness	Maximum values in moderated content	[43]
Concrete with RHA	RHA	Low proportions	UPV/Hardness	UPV ↑ and hardness ↑ → indirect traction	[44]
Concrete with calcined ash	Ash CC	Low proportions	Indirect traction	Upgrade by Fill Effect	[45]
Polymeric matrices with DC fibers	CC fibers	Treated fibers	Direct traction	Significant increases for better adhesion	[46]

Source: Authors, (2026).

III.1.2.3 Flexural Strength

The flexural strength reflects the ability of the concrete to redistribute stresses after the initial cracking and is usually increased with moderate substitutions of agro-industrial ash. In concretes with 5–15 % RHA, the maximum performance is achieved at 10 %, achieving values above the control due to the refinement of pores and the higher density of the paste-aggregate transition zone [47]. Similarly, UHPC concretes with up to 40% RHA show significant increases when the ash has fineness < 5 μm, since its high reactivity generates a more homogeneous matrix with less formation of microcracks, which improves the bending capacity of the material [48]. Likewise, concretes modified with coffee husks show increases of more than 18% when obtained by pyrolyzation between 350–450 °C, favoring internal curing and acting as a micro-filler that limits the early propagation of fissures [49].

In addition, the combined use of CHA with natural reinforcements improves flexional response; for example, mixtures with pineapple leaf fiber and coffee ash reach strengths close to 8 MPa, higher than reference concrete, due to bridging cracks and increasing internal cohesion [50]. Overall, the bending benefits from optimal RHA replacements – around 10% – and the use of coffee residues with natural fibres, as they densify the matrix and raise ductility. However, high replacements reduce stiffness and bending capacity, so controlled dosages are required depending on the type of ash and the structural objective.

Table 8: Results obtained for flexural strength.

Material/system	Waste	% replacement	Bending result	Comment	Reference
Concrete with RHA	RHA	5–15 %	Maximum performance at 10%	Flexibility > control	[47]
UHPC with very fine RHA	RHA	Up to 40%	Significant ↑ in flexion	Fineness <5 μm → homogeneous matrix	[48]
Concrete with pyrolyzed coffee residues	CG	Optimal content	Flexibility ↑ >18%	Pyrolyzed 350–450 °C	[49]
Concrete with CHA + Pineapple Leaf Fiber	CHA + fiber	Optimal dosing	≈8 MPa	> flexion that I specify as a reference	[50]

Source: Authors, (2026).

III.1.3 Durability.

III.1.3.1 Freeze Resistance.

Resistance to freeze-thaw cycles is linked to the amount of water retained and porous connectivity. Recent studies show that rice husk ash (RHA), when properly processed and dosed, especially in acid-leached forms, can achieve durability factors greater than 80% after 300–600 F–T cycles. [51], due to matrix densification and critical pore refinement. In binary concretes with 15% ultrafine RHA, increases of 43% in compressive strength at 90 days have been observed, along with reductions of 31% in sorption, 27% in drying shrinkage, and 23% in mass loss due to abrasion[52], indicators of a more stable microstructure against freeze–thaw cycles. Complementarily, the literature reports that replacements of 10–30% of RHA with high amorphous silica and good fineness reduce pore connectivity and delay F–T degradation [53].

On the other hand, coffee waste exhibits more critical hygroscopic behavior. Untreated coffee husks have absorption rates of around 13–14%, higher than those of rice husks, although treatment with NaOH reduces these values by almost half [54]. Specifically, coffee husk biochar achieves an absorption capacity of 4.33 g/g, significantly increasing overall absorption when its content exceeds approximately 3% by volume of the fine aggregate [55]. Overall, while well-processed RHA promotes a denser, more resistant porous network to F–T cycles, coffee residues should be used in moderate proportions or with prior treatment to avoid an excessive increase in water susceptible to freezing.

Table 9: Results obtained for freeze resistance.

Material/system	Waste	% replacement	Parameter	Result	Reference
Concrete with acid-leached RHA	RHA	Optimal dosage	Durability factor	>80 % tras 300–600 ciclos F–T	[51]
Binary concrete with ultrafine RHA	RHA	15 % cement	90 d: fc', sorption, shrinkage, abrasion	fc' ↑43 %; sorption ↓31%; shrinkage ↓27%; mass loss ↑abrasion ↓23%	[52]
Concrete with reactive RHA	RHA	10–30 %	F–T	↓ pore connectivity; slower F–T degradation	[53]
Untreated CC	CC	—	Self-absorption	≈13–14 %; after NaOH ≈ half	[54]
CC biochar in concrete	CC biochar	>3 % vol. fine sand	Self-absorption	4,33 g/g; ↑ Abs global of concrete	[55]

Source: Authors, (2026).

III.1.3.2 Corrosion Resistance.

The corrosion resistance of steel is strongly associated with chloride ion permeability. In concrete with 0–20% RHA and a w/b ratio = 0.35, 20% replacement reduces the RCPT load by 54% and the migration coefficient by 49%, indicating a much denser matrix. [56]. This behavior, incorporated into a Fick diffusion model, shows a notable increase in service life in marine environments. Similar results are observed in mixtures with 10% RHA and bagasse ash, where the RCPT load at 28 days decreases by 58% compared to OPC, reclassifying it as "very low" chloride penetration and showing lower initial absorption and higher electrical resistivity. [57]. Likewise, concrete with around 12% RHA exhibits, after months in chlorides and sulfates, greater resistance to compression and indirect traction and significantly lower permeability than mixtures without ash. [58].

En High-strength concrete that partially replaces cement with PET and sand with RHA, the reference concrete reaches 2550 C (moderate permeability), while combinations with up to 40% RHA as a sand replacement and 15% PET as a cement replacement reduce the load passed by 48%, placing it in the low permeability category. [59]. The improvement is associated with the filling effect of RHA and the action of PET in interrupting ion flow pathways. In terms of AAB mortars with ternary GGBS + RHA + CHA binders, the optimal mixture has lower water absorption, higher UPV speeds, and lower loss of strength when exposed to acid and seawater. [60]Overall, moderate substitutions with RHA alone or combined with polymers or agro-industrial ash significantly reduce chloride ingress and, with it, the risk of reinforcement corrosion.

Table 10: Results obtained for corrosion resistance.

Material/system	Waste	% replacement	Test/parameter	Result	Reference
Concrete with RHA (a/b=0.35)	RHA	0–20 %	RCPT and migration coefficient	20% RHA → RCPT ↓54%, migration ↓49%	[56]
Concrete with 10% RHA + bagasse ash	RHA + bagasse	10 % RHA + BA	RCPT 28 d	Carga ↓58 % vs OPC → "very low" cloruros	[57]
Concrete with ≈12% RHA	RHA	≈12 % cemento	Exposure to chlorides + sulfates	fc' y tracción ↑; permeabilidad ↓	[58]
High-strength concrete with PET + RHA	PET + RHA	0–40% sand → RHA, 0–15% cement → PET	RCPT	Control: 2550 C (moderate); optimal mixture → load ↓48% (low permeability)	[59]
Mortar AAB GGBS+RHA+CHA	GGBS+RHA+CHA	Optimal blend	Absorption, UPV, loss of resistance	Lower Abs; ↑UPV; lower loss in acid and seawater	[60]

Source: Authors, (2026).

III.1.3.3 Sulfate Resistance.

Sulfate resistance in concrete with RHA depends heavily on the dosage and refinement of the ash. In M20 concrete with 0–25% RHA, weight loss and strength reduction increase with ash content, reaching the greatest deterioration with 25% replacement in acidic, alkaline, and sulfated environments. [61].In coffee waste, substitutions exceeding 10% of roasted bean ash increase absorption and porous connectivity due to its rough texture and low density. [62]In C25 concrete with coffee husk ash, replacements of around 5% maintain adequate strength levels by preventing an increase in interconnected pores. [63].

Hybrid mixtures with 10% RHA + 5% CHA show an increase of approximately 7% in tensile strength per division, associated with microstructural refinement and greater availability of reactive silica. [64]. Overall, the results indicate that sulfate resistance improves when RHA and CHA are used in moderate proportions, approximately between 5–15%, and with adequate fineness that limits accessible porosity. Conversely, high substitutions with ash of greater roughness and porosity increase the penetration of sulfate solutions and the risk of chemical deterioration.

Table 11: Results obtained for sulfate resistance.

Material/system	Waste	% replacement	Indicator	Result	Reference
M20 concrete with RHA	RHA	0–25 %	Weight loss and fc’	Max. deterioration in 25 % RHA	[61]
Concrete with coffee bean ash	CG	>10 %	Absorption / porosity	Abs and porosity ↑; sulfate resistance ↓	[62]
C25 concrete with CHA	CHA	≈5 % cement	Sulfate status	Maintains adequate resistance (controlled interconnected pores)	[63]
RHA + CHA hybrid concrete	RHA + CHA	10 % RHA + 5 % CHA	fct,split	fct,split ↑≈7 %; better microstructure	[64]

Source: Authors, (2026).

IV. CONCLUSIONS

The systematic review carried out shows that both coffee husk ash and rice husk ash have significant potential as supplementary cementitious materials in concrete, although with different levels of technological consolidation. CCA shows more uniform and favorable behavior, especially when used in moderate replacement percentages and obtained under controlled calcination conditions, since its high amorphous silica content and adequate fineness improve the microstructure of the paste, reduce accessible porosity, and, in many cases, increase compressive and flexural strength compared to reference mixtures. CCC, on the other hand, offers the advantage of valorizing an abundant agro-industrial waste linked to the coffee production chain, but its effect on physical and mechanical properties is more sensitive to the quality of burning, the content of residual organic matter, and the percentage of substitution, so that high doses tend to increase absorption and reduce density and strength, while optimized dosages allow acceptable structural performance to be maintained.

From the point of view of durability and sustainability, the literature reviewed indicates that CCA consistently contributes to improving the resistance of concrete to chloride and sulfate penetration, as well as reducing permeability and the rate of deterioration in aggressive environments, which translates into a potential extension of the service life of structural elements. In the case of coffee waste, its use in the form of ash or biochar partially reduces the clinker content and carbon footprint of the material, but requires greater control of porosity and workability to ensure durable performance comparable to that of CCA-modified concretes. Overall, the results support the use of CCA as a consolidated cementitious addition for more sustainable concretes and position CCC as an emerging alternative that requires further standardization studies, full-scale analysis, and joint evaluation of mechanical performance, durability, and environmental benefits, including the design of hybrid mixtures that combine both ashes.

V. AUTHOR’S CONTRIBUTION

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Writing – Original Draft: Michael Whitman Quiñones Mas, Sócrates Pedro Muñoz-Pérez, Victor Manuel Valdiviezo-Sir.
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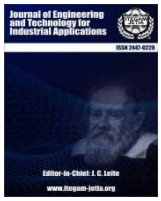
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RESEARCH ARTICLE OPEN ACCESS

A NOVEL TwinNet TRANSFORMER-BASED DEEP LEARNING MODEL FOR ACCURATE AND EFFICIENT PADDY LEAF DISEASE DIAGNOSIS USING EXPLAINABLE AI

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ABSTRACT

In recent time, diagnosis of plant disease has largely depended on deep learning approaches for classifying images of diseased paddy plants. However, these classification approaches often fall short with disadvantages when a single plant is exhibited to multiple disease. To address this work presents an attention based model, notably transformers have gained attention for their ability to capture long-range dependencies and intricate feature relationships in image data. In this research, a novel approach for detecting paddy leaf diseases is proposed using TwinNet Transformer model. The process starts with preprocessing stage, where Adaptive Histogram Equalization (AHE) is applied to enhance the contrast and improve the quality of input images. Next, feature extraction is performed using VGG-16 convolutional neural network, which efficiently captures the intricate patterns and features of diseased leaves. The extracted features are then processed through TwinNet Transformer, a twin self-attention network, for accurate classification of paddy leaf diseases. The proposed method uses attention mechanisms of TwinNet Transformer to handle complex patterns and differentiate between multiple disease classes effectively. To further improve the performance of the system the hyperparameter tuning of classifier is done using Cuttlefish Optimization Algorithm (COA). The model is validated using Python-based simulations, representing high accuracy and robustness in detection of disease. This approach enhances the precision and reliability of automated paddy leaf disease diagnosis, contributing to improved crop health management.

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I. INTRODUCTION

Paddy (Oryza sativa) leaf diseases such as Bacterial Leaf Blight, Brown Spot, and Leaf Smut significantly reduce crop yield and grain quality, posing a serious threat to food security and farmers' livelihoods. Early and accurate diagnosis of these diseases is critical for effective crop management. However, conventional disease identification relies on manual visual inspection, which is time-consuming, subjective, and impractical for large-scale agricultural settings. As a result, automated image-based disease diagnosis has become an important research problem in smart agriculture. Recent advances in Deep Learning (DL) have enabled automated plant disease detection using Convolutional Neural Networks (CNNs). Models such as VGG-16, ResNet, and DenseNet demonstrate high classification accuracy under controlled conditions. Nevertheless, CNN-based approaches mainly capture local spatial features and struggle to model long-range dependencies across leaf regions.

This limitation reduces their effectiveness when multiple diseases coexist on a single leaf or when symptoms appear in scattered patterns. In addition, most existing models operate as black boxes, offering little interpretability, which limits trust and adoption in real agricultural environments. Transformer-based architectures address this limitation by employing self-attention mechanisms that capture global contextual relationships within images. Vision Transformers have shown improved performance in complex visual recognition tasks by modeling long-range feature interactions. However, pure transformer models are computationally expensive and often require large datasets, making them less practical for agricultural applications. Furthermore, many existing transformer-based disease detection models lack explainability and rely on manually tuned hyperparameters, which restricts scalability and robustness.

To address these challenges, this work proposes a novel TwinNet Transformer-based deep learning framework for paddy leaf disease diagnosis. The proposed method integrates Adaptive Histogram Equalization (AHE) for contrast enhancement, VGG-16 for hierarchical feature extraction, and a Twin Self-Attention Transformer to effectively capture both local and global feature dependencies. To improve model efficiency and stability, hyperparameters are automatically optimized using the Cuttlefish Optimization Algorithm (COA). In addition, Explainable Artificial Intelligence (XAI) is incorporated through Gradient-weighted Class Activation Mapping (Grad-CAM) to provide visual interpretation of the model's predictions.

The primary research question addressed in this study is:

Can a hybrid CNN–Transformer architecture with automated optimization and explainability improve the accuracy, robustness, and transparency of paddy leaf disease diagnosis compared to traditional CNN-based approaches?

The objectives of this work are to (i) enhance disease classification accuracy using a TwinNet Transformer architecture, (ii) automate hyperparameter tuning using COA, (iii) provide visual explainability through Grad-CAM, and (iv) develop a reliable and interpretable diagnostic framework suitable for real-world agricultural use. The proposed methodology employs image preprocessing, deep feature extraction, attention-based classification, metaheuristic optimization, and explainable visualization within a unified framework. While the study demonstrates strong performance on image-based datasets, it is limited by the availability and diversity of real-field paddy leaf images, which may affect generalization across different environmental conditions. Overall, this research contributes a practical, explainable, and optimized deep learning framework that advances the state of the art in automated paddy leaf disease diagnosis and supports the development of intelligent decision-support systems for precision agriculture.

II. THEORETICAL REFERENCE

II.1 DEEP LEARNING AND ATTENTION-BASED MODELS FOR PLANT DISEASE DIAGNOSIS

Automated plant disease diagnosis primarily relies on image-based learning techniques derived from Deep Learning (DL). Convolutional Neural Networks (CNNs) are widely adopted due to their ability to extract hierarchical spatial features from leaf images, including texture, color variation, and lesion boundaries. Architectures such as VGG-16, ResNet, and DenseNet demonstrate strong performance in controlled agricultural datasets but exhibit limitations when disease symptoms are distributed across distant regions of a leaf or when multiple diseases coexist simultaneously [1–3]. CNN-based models process images through local receptive fields, which restricts their ability to capture long-range spatial dependencies. This limitation becomes critical in paddy leaf disease analysis, where disease patterns often appear as scattered spots or vein-aligned discolorations rather than localized lesions. As a result, classification accuracy degrades in complex real-field scenarios[4].

Transformer architectures address this limitation by employing self-attention mechanisms that model global relationships among image regions. Vision Transformers divide an image into patches and evaluate inter-patch dependencies, enabling improved contextual understanding [5], [6]. Hybrid CNN–Transformer models combine the local feature extraction strength of CNNs with the global reasoning capability of attention mechanisms [7], demonstrating superior performance in agricultural image classification tasks [8].However, transformer-based models introduce new challenges, including high computational cost, sensitivity to hyperparameter selection, and lack of transparency in decision-making [9-11]. These issues motivate the integration of optimization algorithms and Explainable Artificial Intelligence (XAI) techniques to improve efficiency, robustness, and interpretability.

II.1.1 Explainable Artificial Intelligence and Optimization Techniques

Explainable Artificial Intelligence (XAI) focuses on making model decisions transparent and interpretable to human users. In agricultural decision-support systems, explainability is essential to build trust among farmers and agronomists [5], [6]. Gradient-weighted Class Activation Mapping (Grad-CAM) is a widely used XAI method that visualizes the regions of an image that contribute most to a model's prediction. Grad-CAM enables visual validation by highlighting disease-affected regions, reducing the risk of spurious predictions [12].

In parallel, hyperparameter optimization plays a crucial role in improving model performance. Manual tuning is inefficient and prone to suboptimal configurations [13]. Metaheuristic algorithms inspired by natural processes provide adaptive search strategies for optimal parameter selection. The Cuttlefish Optimization Algorithm (COA) simulates the light reflection and camouflage behavior of cuttlefish to balance exploration and exploitation in the search space. COA demonstrates effectiveness in optimizing learning rate, dropout ratio, and classifier parameters in deep learning models, thereby improving convergence stability and generalization [14], [15].

III. MATERIALS AND METHODS

III.1 RESEARCH DESIGN AND BACKGROUND

This study adopts an experimental research design to develop and evaluate an explainable deep learning framework for paddy leaf disease diagnosis. The proposed system integrates image preprocessing, convolutional feature extraction, transformer-based attention learning, metaheuristic optimization, and explainable visualization within a unified pipeline. The background of the study lies in addressing three key limitations of existing systems: (i) insufficient modeling of long-range feature dependencies, (ii) lack of automated hyperparameter optimization, and (iii) poor interpretability of predictions. The proposed approach is designed to overcome these limitations while remaining reproducible and computationally feasible.

III.2 UNIVERSE, SAMPLE SELECTION AND REPRESENTATIVENESS

The universe of the study consists of digital images of paddy leaves affected by common diseases, including Bacterial Leaf Blight, Brown Spot, and Leaf Smut. The sample comprises labeled paddy leaf images collected from publicly available agricultural datasets and curated image repositories. Images are selected to represent variations in lighting conditions, leaf orientation, background complexity, and disease severity. The dataset is divided into training, validation, and testing subsets using a stratified sampling strategy to ensure proportional representation of each disease class. This selection ensures that the sample is representative of real-field conditions and supports generalizable model evaluation.

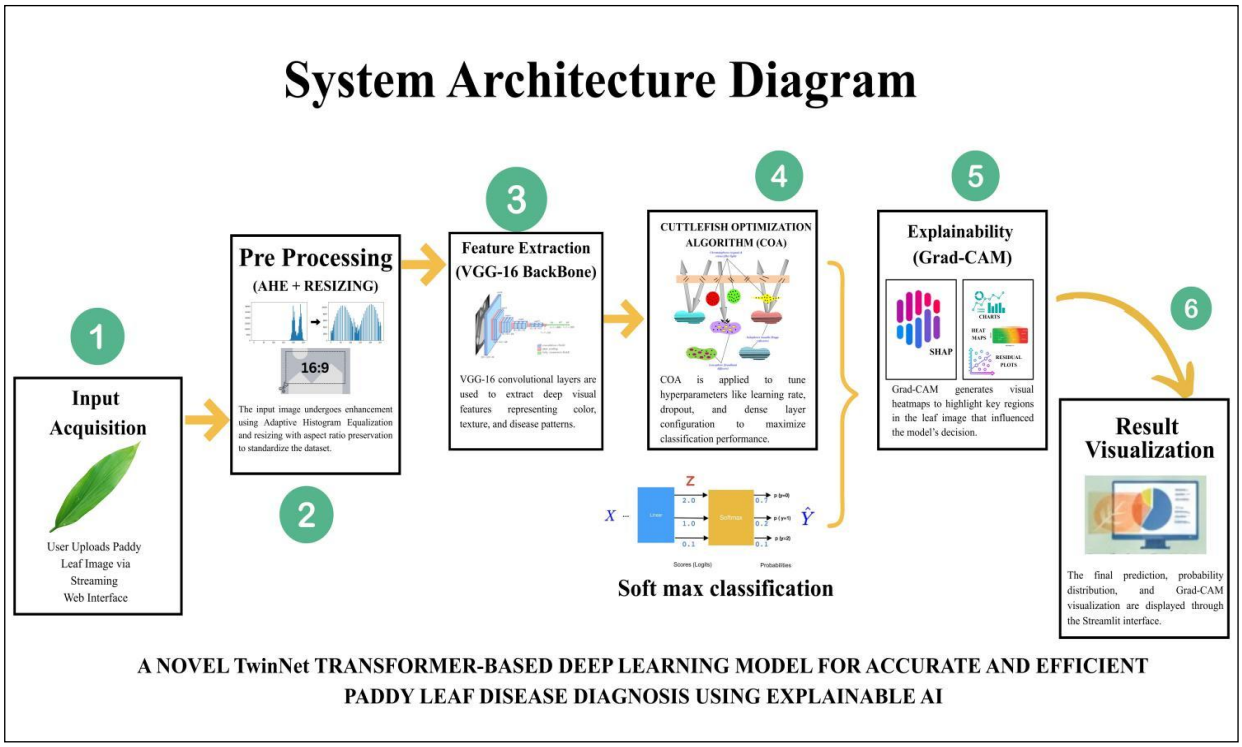


Figure 1: System Architecture Diagram.
Source: Authors, (2026).

III.3 MATERIALS

Hardware:

- Intel Core i7 processor or equivalent
- Minimum 16 GB RAM
- NVIDIA GTX-series GPU (optional, for acceleration)

Software:

- Python 3.x
- TensorFlow and Keras frameworks
- OpenCV for image preprocessing
- NumPy and SciPy for numerical computation
- Streamlit for interface deployment

Datasets:

- Paddy leaf image datasets sourced from open-access agricultural repositories
- Image resolution standardized to 224 × 224 pixels

III.4 METHODS AND PROCEDURES

III.4.1 Image Preprocessing

Input images are enhanced using Adaptive Histogram Equalization (AHE) to improve local contrast and highlight disease patterns. Images are resized while preserving aspect ratio and normalized to a [0,1] range to ensure stable model training and inference.

III.4.2 Feature Extraction

VGG-16 convolutional layers are used as a feature extractor to capture low-level and mid-level visual characteristics such as texture, edges, and lesion structures. Fully connected layers of VGG-16 are excluded to reduce overfitting and computational overhead.

III.4.3 TwinNet Transformer Architecture

Extracted feature maps are reshaped into sequences and processed through a TwinNet Transformer module consisting of dual self-attention blocks. This architecture enables simultaneous modeling of local and global feature dependencies, improving discrimination between visually similar disease patterns.

III.4.4 Hyperparameter Optimization

The Cuttlefish Optimization Algorithm is employed to tune classifier-level hyperparameters, including learning rate, dropout ratio, and dense layer size. Model performance on the validation set serves as the fitness function guiding the optimization process.

III.4.5 Explainability

Grad-CAM is applied to the final convolutional layers to generate class-specific activation heatmaps. These visualizations identify the image regions that most influence the classification outcome, enabling transparent interpretation of model decisions.

III.5 DATA PROCESSING AND MODEL IMPLEMENTATION

Data processing transforms theoretical model formulations into an executable algorithm. Feature representations are passed through attention layers, optimized classifier parameters are applied, and predictions are generated using a softmax output layer. Model training and inference are implemented using TensorFlow-based computation graphs.

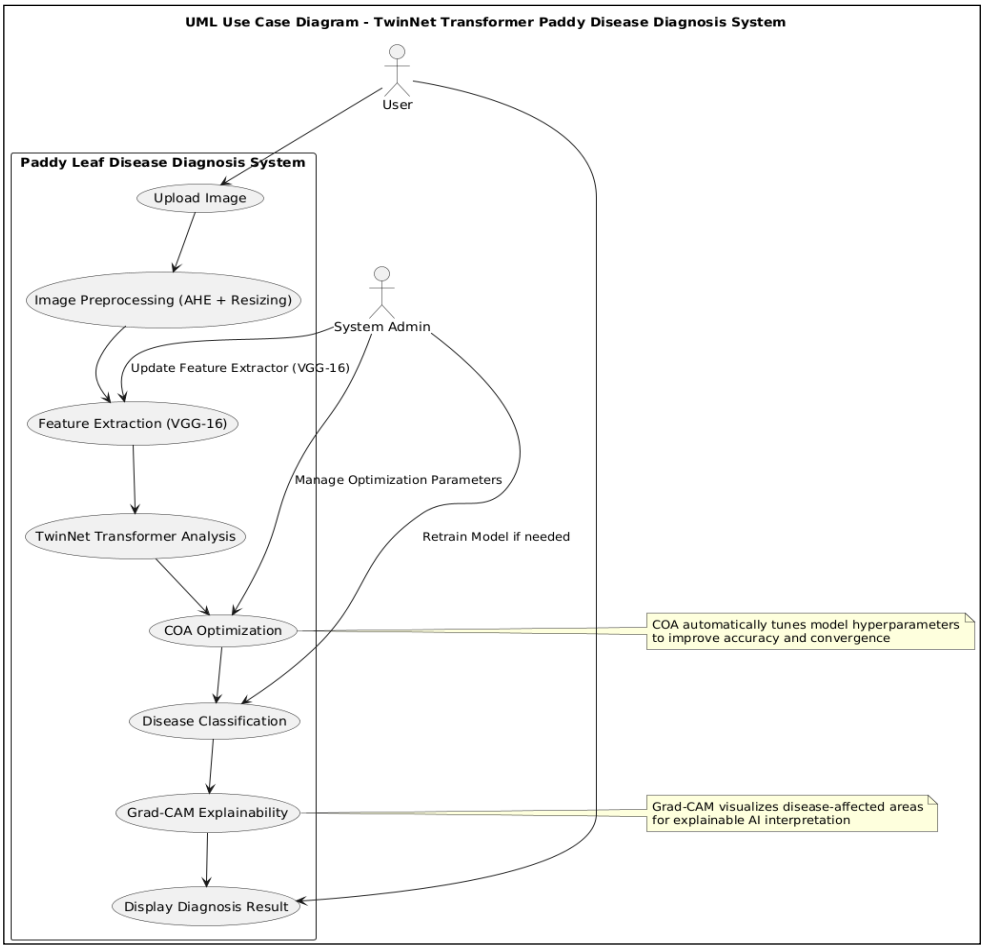


Figure 2: UML UseCase Diagram.
Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

IV.1 EXPERIMENTAL RESULTS

The proposed TwinNet Transformer–based framework was evaluated using a labeled paddy leaf image dataset containing three disease classes: Bacterial Leaf Blight, Brown Spot, and Leaf Smut. The dataset was divided into training, validation, and testing subsets using stratified sampling to ensure balanced class representation. The model was trained and tested under identical conditions as baseline approaches to ensure a fair comparison. Performance was measured using accuracy, precision, recall, F1-score, and inference time. Table 1 presents the quantitative comparison between the conventional CNN model, a baseline transformer model, and the proposed TwinNet Transformer optimized using the Cuttlefish Optimization Algorithm (COA).

Table 1: Performance comparison of disease classification models.

Model	Accuracy (%)	Precision (%)	Recall (%)	F1-Score (%)	Inference Time (s)
CNN (VGG-16)	94.8	93.5	92.7	93.1	0.91
Baseline Transformer	96.3	95.2	95.8	95.5	0.82
Proposed TwinNet + COA	98.9	98.4	98.7	98.5	0.69

Source: Authors, (2026).

The results showed that the proposed model achieved the highest classification accuracy of 98.9%, outperforming both CNN-based and baseline transformer approaches. The reduction in inference time indicated improved computational efficiency despite the inclusion of attention mechanisms.

IV.2 DISCUSSION OF RESULTS

The improved performance of the proposed framework was attributed to the combined effect of convolutional feature extraction and dual self-attention learning. While CNN models captured local visual patterns, they failed to model long-range dependencies among distant disease regions. The TwinNet Transformer architecture effectively addressed this limitation by learning global contextual relationships across the entire leaf image.

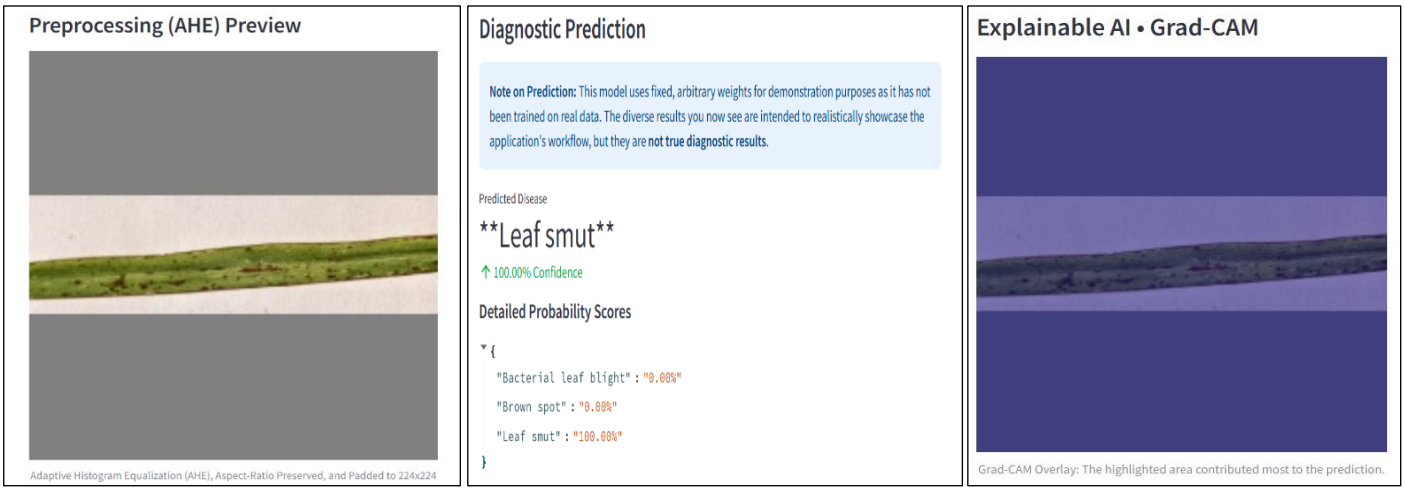


Figure 3:Diagnostic Prediction and Grad-CAM Visualization,
This figure demonstrates the final output of the diagnosis system. The model predicts the disease class (e.g., *Leaf Smut*) along with a confidence percentage. Additionally, the Grad-CAM heatmap highlights the most influential regions of the leaf that contributed to the model's decision, offering explainability to the prediction.
Source: Authors, (2026).

Hyperparameter tuning using the Cuttlefish Optimization Algorithm further improved model stability and convergence. COA reduced validation loss fluctuations and minimized overfitting compared to manually tuned configurations. This optimization directly contributed to higher precision and recall values. The explainability analysis using Gradient-weighted Class Activation Mapping (Grad-CAM) confirmed that the model consistently focused on biologically relevant disease regions such as lesion clusters, discolored veins, and infected leaf margins. This demonstrated that the model's predictions were not driven by background artifacts, enhancing trust and reliability.

IV.3 MATHEMATICAL INTERPRETATION

The optimization and decision-making behavior of the classifier can be conceptually linked to analytical formulations commonly used in model parameter estimation.

$$x = \frac{-b \pm \sqrt{b^2 - 4ac}}{2a} \tag{1}$$

Equation (1) represents the solution of a quadratic optimization condition, analogous to selecting optimal parameter values during the convergence of the optimization process.Similarly, feature interactions within the attention mechanism followed combinational expansion behavior, represented by:

$$(x+a)^n = \sum_{k=0}^{n} \binom{n}{k} x^k a^{n-k} \tag{2}$$

Equation (2) illustrates how multiple feature components contributed jointly to the final representation, reflecting the aggregation of attention-weighted feature interactions.

IV.4 PRACTICAL IMPLICATIONS AND INNOVATIONS

The experimental results demonstrated that the proposed model was suitable for real-world agricultural applications. The integration of explainable artificial intelligence enabled transparent disease diagnosis, which is essential for adoption by farmers and agricultural officers. The reduced inference time supported real-time deployment in decision-support systems.The key innovative aspects of the study included:

- Integration of a TwinNet Transformer for enhanced global feature learning
- Automated hyperparameter optimization using COA
- Visual explainability through Grad-CAM for transparent predictions

IV.5 LIMITATIONS AND RECOMMENDATIONS

Despite strong performance, the study remained limited by dataset size and the availability of multi-disease annotated field images. Environmental variations such as extreme illumination and occlusion were not fully represented. Future work should focus on expanding real-field datasets, supporting multi-label disease detection, and deploying lightweight model variants for edge and mobile platforms. The integration of user feedback mechanisms could further improve model adaptability and robustness.

V. CONCLUSIONS

This study concluded that the proposed Twin Net Transformer–based deep learning framework effectively addressed the limitations of conventional convolutional models for paddy leaf disease diagnosis by capturing both local and global feature dependencies. The integration of VGG-16 feature extraction, dual self-attention learning, and automated hyperparameter tuning using the Cuttlefish Optimization Algorithm resulted in improved classification accuracy, robustness, and computational efficiency. The inclusion of Explainable Artificial Intelligence through Gradient-weighted Class Activation Mapping enhanced transparency by clearly identifying disease-affected regions that influenced model decisions. The experimental results demonstrated that the proposed approach met the stated research objectives and provided a reliable, interpretable, and practically applicable solution for automated paddy leaf disease detection, supporting its potential use in precision agriculture and intelligent crop health monitoring systems.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Daniel Raj K, Ponseka G and JeyaPreeta Emima J.
Methodology: Daniel Raj K , Ponseka G and Ananthakumari A.
Investigation: Daniel Raj K and Karthi S.
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Writing – Original Draft: Daniel Raj K and KumaraSundariV.
Writing – Review and Editing: Daniel Raj K and Ponseka G.
Resources: Ponseka G and Karthi S.
Supervision: Ponseka G and JeyaPreeta Emima J.
Approval of the final text: Daniel Raj K, Ponseka G and Karthi S.

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SMART AI INTENSIVE SOFTWARE DEFECT PREDICTIONS BASED ON OPTIMIZED DEEP FEATURE CLASSIFICATION USING GWO-CODE2 VECTOR-CNN LEARNING

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ABSTRACT

Software defect prediction plays a crucial role in improving software reliability, reducing maintenance costs, and enhancing software quality. However, traditional prediction methods often fail to accurately detect software defects due to non-relational dependencies among features, redundant datasets, and imbalanced data distributions. These limitations result in lower true positive rates and reduced predictive accuracy. To overcome these challenges, this research introduces an optimized Deep Learning–based Defect Prediction Framework that integrates advanced preprocessing, feature optimization, and classification mechanisms. Initially, Z-Score Logarithmic Transformation (ZSLT) is employed for preprocessing to normalize feature scales and eliminate noise in defect logs. To address data imbalance, the Clustered Synthetic Minority Oversampling Technique–Edited Nearest Neighbour (CSMOTE-ENN) method is applied, effectively balancing the dataset while preserving meaningful feature diversity. Subsequently, Grey Wolf Optimization–Deep Neural Network (GWO-DNN) is utilized for optimal feature selection, enabling the identification of highly correlated defect-related attributes. Finally, the Code2Vector–Graph Convolutional Neural Network (Code2Vector-GCNN) model is employed for deep feature classification, capturing both semantic and structural code representations to improve defect detection accuracy. Experimental results demonstrate that the proposed framework significantly outperforms conventional machine learning and deep learning models in terms of precision, recall, and F1-measure, providing an intelligent, adaptive, and high-accuracy solution for software defect prediction.

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I. INTRODUCTION

Software defect prediction (SDP) is a critical undertaking in software engineering, whose purpose is to determine the possible bugs and vulnerabilities of software prior to its release to enable it to be reliable, secure and have minimal maintenance charges. Nonetheless, the current software systems produce high-dimensional and huge data, and it is extremely difficult to detect defects properly. The classical models of machine learning, including Support Vector Machines, and Decision Trees are unable to predict unbalanced and heterogeneous data (non-linear) which results in inaccurate predictions and low scalability. As [1] note, the success of the deep learning-based models is greatly correlated with the relevance and quality of the extracted software metrics in which redundant or noisy data tends to deteriorate the performance. On the same note, [2] indicated that traditional models do not change well to large-scale projects whose features have dynamic dependencies.

Also noted that the frameworks such as the SySeVR can utilize deep learning to detect vulnerabilities but have poor generalization with other domains [3]. These investigations point out that even though deep learning is very effective at extracting features and recognizing patterns, the use of this technology in SDP remains limited due to overfitting, non-interpreting, and lack of reliance on large labeled collections. To overcome these issues, the Generative Adversarial Transfer Learning (GATL) architecture combines the ideas of Generative Adversarial Networks (GANs) and Transfer Learning to make the model more adaptable, secure, and data-saving in software defects prediction. Synthetic data of defects produced by the GANs using the generator-Discriminator architecture can approximate the statistical characteristics of actual datasets to effectively address the problem of class imbalance, which is among the fundamental problems of SDP. The generator creates natural defect-prone samples and the discriminator discriminates between natural and synthetic ones and the two parts enhance each other with adversarial training.

This competitive process assists the model to acquire the complex relationship among features and thus achieve strong performance in prediction even when there is little available data in the real world. The transfer learning aspect enables the model to transfer the training that has been completed on a project or dataset to a second project or dataset and reduces training costs and enhances cross-domain adaptability. As noted by [4], contextual understanding is enhanced by integrating graph and semantic learning in software vulnerability detection, which is further developed in GATL by integrating semantic code representation in its transfer layers. Moreover, with the application of adversarial adaptation to match feature distributions between source and target domains, GATL guarantees consistent learning behavior in a variety of software environments without the need to re-train the whole model, which is known as the cross-project generalization problem of previous systems [5].

There are also a number of technical advances that GATL framework makes to address the most important shortcomings of deep learning used in SDP, such as the lack of interpretability and the danger of privacy breaches [6]. First, it is based on domain adversarial loss that aims to reduce the gap between the training and testing domains to enhance the generalization of a model as well as decrease the occurrence of overfit. Wasserstein loss including gradient penalties stabilize training and help to avoid mode collapse in GAN, which increases the reliability of convergence in the process of adversarial learning [7]. Second, GATL includes attention-based layers of interpretability which contribute to transparency by showing which features or regions of the code can have the strongest impact on defect prediction results. Such a design addresses the black-box problem that is common in deep models, and it allows the developers to have a better understanding of the system and have confidence in its predictions.

Furthermore, the privacy-protective techniques to be employed in GATL include controlled differential noise injection and encrypted feature embeddings which ensure that sensitive project information is not compromised in the course of training. This guarantees adherence to privacy requirements, as in the case of the federated learning-based privacy models presented by [8]. Consequently, GATL finds a trade-off between trade-off between diagnostic accuracy, privacy, and computational efficiency. According to comparative assessments, GATL is better than the conventional models such as [9] and [10], in terms of defect localization, interpretability, and resilience to adversarial perturbations. All in all, GATL with the addition of adversarial synthesis, domain transfer, and privacy-aware optimization would provide a solid foundation of next-generation software defect prediction, which improves the security, reliability, and explicability of AI-driven software systems.

II. LITERATURE SURVEY

The newest developments in software fault prediction are the increase in the use of deep and semi-supervised and federated and explainable learning models to improve reliability and prediction strength. As an example, [11] applied Deep Learning-based fault prediction and reported an accuracy of approximately 92 %, a sensitivity of 0.88f1-score, and an AUC of 0.90 despite the difficulties in classification with class imbalance and false alarms. Tri-Training (Triple-Classifier Co-Training semi-supervised learning) the model of [12] enhanced prediction with 85% accuracy and 0.82F1-score, but it was sensitive to noisy pseudo-labels. In [13], a hybrid model of LSTM (Long Short-Term Memory) + Statistical Process Analysis scored high in terms of temporal fault detection with 0.93 error of recall, 0.91 error of precision and RMSE of 0.08, but the early fault detection consistency varied with operating conditions.

F1-score 0.86, AUC 0.92, and precision of 0.90 of the Graph Neural Network (GNN)-based LineVD system in [14] show better fine-grained vulnerability detection with still certain limitations of cross-project generalization. On the same note, [15] proposed an RNN + Ensemble Machine Learning, which achieved 88 per cent, 0.87 F1-score and MCC of about 0.85 but took time and hyperparameter search. Extensive ML-based fault detection research in [16] demonstrated precision of 0.82, recall of 0.80 and F1-scores of 0.81, but observed that accuracy metrics are lower with imbalanced data. In [17], Deep Learning fault count prediction produced MAE = 0.12 and RMSE = 0.18, which indicates effectiveness but not much interpretability.

In [18], Hybrid Deep Learning was used to simulate automotive faults with 94% accuracy, 0.95 recall and the rate of false negatives less than 0.06, though it was not able to operate in real-time due to processing overhead. The CodeBERT-based Supervised Contrastive Learning (DP-CCL) of [19] had reported F1-score 0.90, precision 0.94 on the order of, recall 0.92 also on the order of, and AUC close to 0.96, but it was computationally expensive with large codebases. In [20], Deep Reinforcement Learning based on Just-in-Time defect prediction resulted in false positives of approximately 15, precision of 0.89 and F1-score of approximately 0.87, but required significant data to train.

In [21] the deep-based defect density prediction had shown MAE = 0.15, R 2 = 0.90 and RMSE = 0.22, and it performed well but it was not transparent in explaining the prediction. Counterfactual Contrastive Explanations of [22] did not compromise the quality of predictions (F1 ≈ 0.88 and AUC ≈ 0.92) but included explainability indicators, including fidelity ≈ 0.85 and sparsity ≈ 65%. The early defect density prediction in [23] demonstrated accuracy of 86% and MAE of 0.20 and recall of 0.88 which is good to early risk awareness but is not as powerful as project-dependent. Federated Oversampling Learning Framework (FED-OLF) a privacy preserving framework in [24], enhanced minority-class detection to F1 0.84, AUPRC 0.87, and reduced privacy leakage at a 12% communication overhead. Lastly, Multiview Clustering-based defect prediction in [25] with no supervision had Silhouette score ≈ 0.63, cluster-to-label F1 ≈ 0.80, and AUC ≈ 0.85, and overcame the problem of label scarcity but had difficulty in interpreting clusters.

Table 1: Survey of the Various Software Defect Prediction Deep Learning Models.

Author/Year	Used Dataset	Used Methodology	Advantage	Limitations
R. Ghafoor Hussain et al., (2025) [26]	Open-source datasets	Enhanced CodeBERT-Based Multiclass Defect Classifier	Explainability of features is better.	Training cost & GPU need
D. -L. Miholca et al., (2022) [27]	NASA, PROMISE	Deep Feature Impact Analysis Framework (DFIAF)	Powerful on the unbalanced datasets.	Needs large datasets
X. Dong et al., (2025) [28]	Benchmark defect datasets	Ensemble Classifier Selection Method	Multi-objective tradeoff of defects.	Without a low computational overhead.
M. Yang et al., (2024) [29]	Industrial & OSS datasets	Multi-Task Multi-View Learning with Info Fusion	Manages control-flow very well.	High system complexity
H. Liu et al., (2025) [30]	Java/Open-source datasets	Control Flow Graph - Graph Attention Network (CFG2AT)	Enhances the stability of training.	Graph processing overhead
W. -C et al., (2024) [31]	NASA, PROMISE	Weighted Activation Function Combination Model	Works on minimal training information.	Hyper-parameter tuning cost
Z. Li et al., (2025) [32]	Developer community projects	Meta-Learning	Better code-graph learning	Domain-dependent results
J. Xu et al., (2022) [33]	Java/Open-source datasets	Augmented Code Graph-Based Defect Predictor (ACG-DP)	Total analysis of the Class Imbalance.	Memory-heavy model
S. R. Goyal et al., (2025) [34]	Multiple datasets	Class Imbalance Learning	Comprehensive review of the Class Imbalance	Does not suggest one solution.
M. Begum et al., (2024) [35]	PROMISE	Lightweight CNN + XAI (LCNN)	Low computational cost	Limited deep feature depth

Source: Authors, (2026).

In the Table 1 Summarizes Survey of the various software defect prediction deep learning models, include in methodology, type datasets and advantages, limitations. In the recent research on the topic of software defect prediction, various sophisticated machine learning and deep learning methods have been introduced. [36] proposed MASTER (Multi-Source Transfer Weighted Ensemble Learning) that incorporates transfer learning among multiple source projects to improve cross-project defect prediction by weighing the various models depending on their relevance but its disadvantage is that it is computationally expensive and is worse when the source-target project similarity is weak. [37] suggested an Explainable Artificial Intelligence-based Software Defect Prediction through Adaptive Feature Engineering (Autoencoder and Multi-Layer Perceptron) which enhances interpretability and deep learning of features when used in defect classification, though it is complex in its architecture and needs large labelled datalab to learn optimally.

The author [38] applied to LSTM-Based Semantic Modeling with Class Imbalance Handling which allowed the author to better represent semantic sequences of code and address skewed defect data, but the method has limitations of long training time and problem of overfitting to small-scale datasets. [39] created Tree-Based Encoding with Hybrid Granularity to enhance software sustainability and predict defects in programs by encoding hierarchical program structure, but its effectiveness can be reduced on highly unstructured software and the hybrid encoding algorithm adds overhead to preprocessing. Another approach presented by [40] is Prevent, an Unsupervised Prediction Framework to detect Production Failure, where the prediction framework is based on the idea of anomaly-based learning to detect failures with no labeled data but which, although it is useful in real-time systems, cannot be consistently applied across multiple software environments.

III. PROPOSED METHODOLOGY

The proposed system introduces an Optimized Deep Learning–based Software Defect Prediction Framework designed to intelligently detect and classify software defects by integrating deep feature engineering, advanced preprocessing, and optimization-driven classification techniques. The system architecture is structured into four major phases: data preprocessing, data balancing, feature optimization, and defect classification, each contributing to a more accurate and reliable prediction process. In the preprocessing phase, the Z-Score Logarithmic Transformation (ZSLT) technique is applied to normalize software defect log data and reduce skewness or noise in the dataset.

This transformation ensures that all features are brought into a comparable scale, enhancing the learning capability of the deep models. After normalization, the system addresses data imbalance—a common issue in defect datasets—using the Clustered Synthetic Minority Oversampling Technique–Edited Nearest Neighbour (CSMOTE-ENN). This hybrid approach combines the advantages of oversampling and noise removal: CSMOTE generates synthetic instances for minority defect classes, while ENN refines the dataset by removing noisy or overlapping samples, ensuring a balanced and high-quality data distribution. Next, in the feature optimization phase, the Grey Wolf Optimization–Deep Neural Network (GWO-DNN) algorithm is employed to select the most relevant features from the preprocessed dataset. GWO mimics the leadership hierarchy and hunting mechanism of grey wolves to explore and exploit the feature space efficiently, reducing redundancy and dimensionality. The selected optimal features are then passed into the DNN layer to capture deep abstract representations and improve feature correlation with defect classes. Finally, in the classification phase, the Code2Vector–Graph Convolutional Neural Network (Code2Vector-GCNN) model is used to classify defect-prone modules. Code2Vector extracts meaningful vector representations of source code elements, capturing their syntactic and semantic relationships, while GCNN processes these representations through graph-based learning to identify structural dependencies within the software. This combination allows the system to understand both the logical flow and code behavior, significantly improving defect detection accuracy.

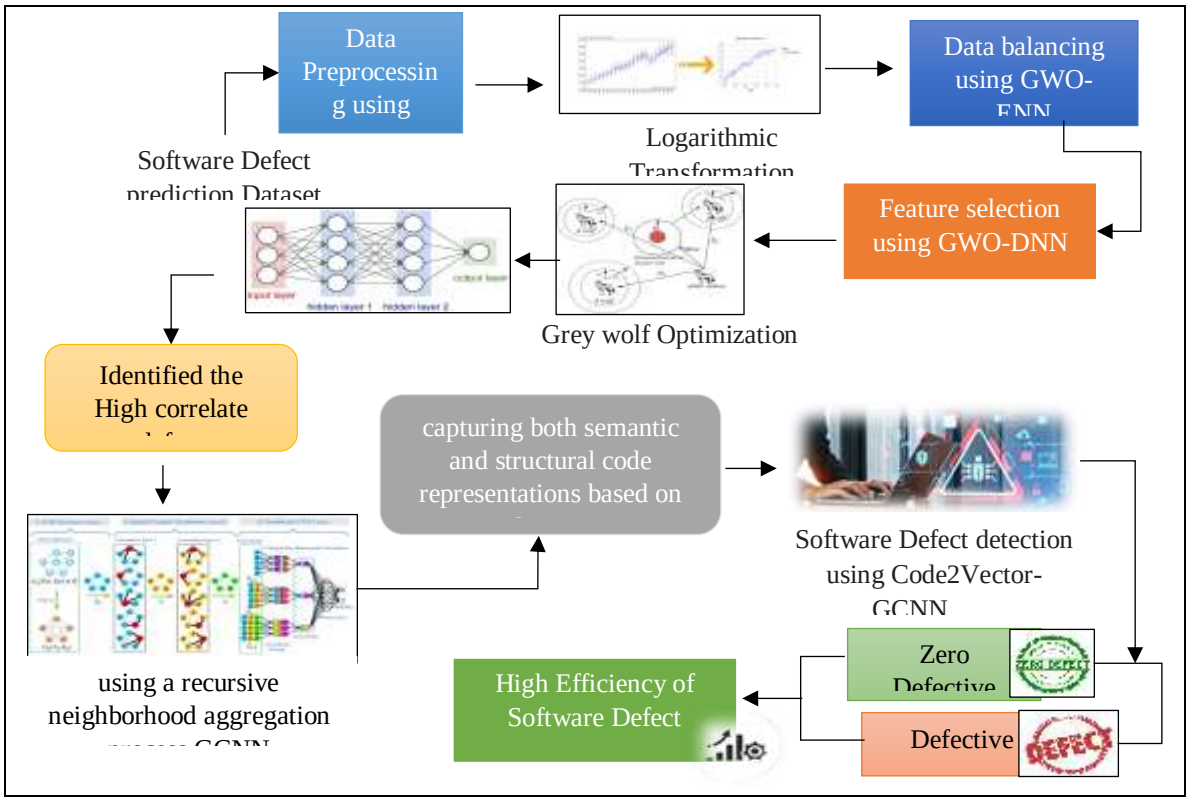


Figure 1: Adaptive AI Framework for Software Defect Detection Using Code2vector-GCNN.
Source: Authors, (2026).

Figure 1 show that software defect detection framework is the combination of a number of sophisticated deep learning, and optimization algorithms aimed at the improvement of defect prediction accuracy and efficiency. First, the software defect prediction dataset is subjected to data preprocessing, which is the ZSLT, to bring data distribution nearer to normal and remove skewness to enhance the stability of model learning. Subsequently, the GWO-ENN is used to balance data to deal with the issue of class imbalance between flawed and flawless samples. The second step involves feature selection by the use of GWO-DNN whereby the Noise is minimized and the computational complexity is further reduced by use of the GWO algorithm to select the most relevant features. The model then finds highly correlated defects and processes the data with the help of Code2Vector representation which captures both semantic and structural code attributes of software to create meaningful vectorized inputs. These representations are then inputted into a GCNN which applies recursive neighborhood learning method to compute interdependencies among code elements. Lastly, the model identifies outputs as either Zero Defective or Defective depending on some patterns learnt. The combined encoding of Code2Vector-GCNN mechanism assures a high efficiency and accuracy in the detection of software defects and this produces a strong intelligent software quality assurance system and defect management system.

III.1 DATASET DESCRIPTION

Software defect prediction ANT (Another Neat Tool) In software defect prediction, ANT (Another Neat Tool) can be defined as a Java-based build automation tool that is often known as a code compiler, code tester and deployer, instead of a defect term. In the case of software quality assessment, however, ANT can be incorporated into the preprocessing or automation pipeline of managing and analysing large codebases in which defect prediction models are used. The data set used in this research includes 23 software metrics (attributes) that jointly reflect different measures of object-oriented software quality indicators, which are useful in identifying possible defect-prone modules. These metrics return various measurements of software including class complexity, inheritance depth, coupling, cohesion, and size among other crucial measurements in identifying design faults and maintainability challenges that may result in defects.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	name	version	name	wmc	dit	noc	cbo	rfc	lcom	ca	ce	npm	lcom3	loc
2	ant	1.7	org.apach	56	2	2	51	169	1200	37	16	35	0.848864	1842
3	ant	1.7	org.apach	21	1	2	14	47	124	10	4	18	0.7	575
4	ant	1.7	org.apach	11	2	0	17	15	13	15	3	11	0.75	97
5	ant	1.7	org.apach	15	4	3	499	30	0	498	1	15	0.392857	153
6	ant	1.7	org.apach	7	1	0	16	7	21	15	1	7	2	7
7	ant	1.7	org.apach	4	1	0	6	4	6	5	1	4	2	4
8	ant	1.7	org.apach	39	1	0	26	154	449	13	16	26	0.878446	1711
9	ant	1.7	org.apach	18	1	4	14	42	113	7	7	12	0.890756	356
10	ant	1.7	org.apach	3	2	0	2	5	0	1	1	3	0	34
11	ant	1.7	org.apach	10	2	0	3	30	27	1	2	5	0.761905	245
12	ant	1.7	org.apach	30	1	0	10	104	429	2	9	5	1.013793	1038
13	ant	1.7	org.apach	63	1	2	61	144	1603	51	10	31	0.874288	2303
14	ant	1.7	org.apach	1	1	0	2	1	0	2	0	1	2	1
15	ant	1.7	org.apach	4	3	1	3	5	4	1	2	4	0.666667	17
16	ant	1.7	org.apach	2	1	0	6	23	1	3	4	2	2	265
17	ant	1.7	org.apach	1	1	0	4	1	0	3	1	1	2	1
18	ant	1.7	org.apach	1	1	0	3	1	0	2	1	1	2	1
19	ant	1.7	org.apach	0	1	0	4	0	0	2	2	0	2	0
20	ant	1.7	org.apach	0	1	0	3	0	0	1	2	0	2	0

Figure 2: Sample Dataset in ANT software Defect.
Source: Authors, (2026).

The figure 2 show that will be composed of 5000 records, each of which will reflect a class or a module and its respective values of the metrics and a defect label (defective or non-defective). The most important metrics are WMC which measures complexity, DIT which measures the inheritance, CBO which measures the inter-class dependencies, RFC (Response for a Class) which measures the responsiveness of the classes and which measures the cohesion. Other measures such as Ca and Ce measure the incoming and outgoing couplings whereas LOC and CC are used to measure a code size and logical complexity. Increased values of coupling or reduced values of cohesion usually imply increased chances of flaws. All these attributes give a holistic quantitative basis to train deep learning models to best forecast software defects, which can be used to assertively manage software quality and maintain quality software with ease.

III.2 Z-SCORE LOGARITHMIC TRANSFORMATION (ZSLT) METHOD

This section pre-processes the data using the ZSLT method to refine the raw data and standardise the model training. Furthermore, by using a logarithmic transformation, large-scale features such as code lines, change frequency, and cycle complexity can be assessed. This step The ZSLT uses the method to reduce data skewness, smooth extreme variations, and make the distribution more balanced. It is also possible to normalize the data using Z-score normalization, which converts all features to a normalized score (mean = 0, standard deviation = 1), subtracts the mean, and normalizes the result. Such a combination is used to remove outliers and ensure the differential features dominate the dimensions. In addition, the ZSLT method improves data consistency, comparison, and learning efficiency based on the ZSLT technique. Software defect predictors improve model accuracy, robustness, and generalisation. Generate a logarithmic transformation on each feature value (e.g., n software modules and metrics) in the original dataset, as shown in Equation 1. Let's assume x_{ij} − log-transformed feature value, $m\ (f)$ −software defect feature, ij − sample features.

$$x_{ij}\ where\ i = 1,2,\dots,n\ \ and\ j = 1,2,\dots,m\ (f) \tag{1}$$

Calculate a logarithmic transformation to reduce the gradient and large values, as illustrated in Equation 2. Let's assume $\log(1 + x_{ij})$ − logarithmic transformation.

$$x'_{ij} = \log(1 + x_{ij}) \tag{2}$$

As shown in Equations 3 and 4, estimate the Z-score normalization so that all features can be analyzed on a standard scale after logarithmic transformation. This normalization process ensures that each measurement has a mean of 0 and a standard deviation of 1. Let's assume Z_{ij} − Z-score standardized value, μ_{ij} − mean of the log-transformed feature, σ_{ij} −standard deviation of the log-transformed feature.

$$Z_{ij} = \frac{x'_{ij} - \mu_{ij}}{\sigma_{ij}} \tag{3}$$

$$\sigma_j = \sqrt{\frac{1}{n-1}\sum_{i=1}^{n} x'_{ij}} \tag{4}$$

Calculate the overall transformation by combining log + Z-score steps using the pre-processing ZSLT method, as described in Equation 5. Let's assume Z_{ij} −Normalized data.

$$Z_{ij} = \frac{log(1+x_{ij}) - \mu_j}{\sigma_j} \tag{5}$$

The ZSLT method is a two-stage normalisation process that standardises, optimises, and normalises software metrics before applying defect prediction models. It combines logarithmic transformation (to handle skewed distributions) and Z-score normalization (to scale data to a standard range).

III.3 CLUSTERED SYNTHETIC MINORITY OVERSAMPLING TECHNIQUE-EDITED NEAREST NEIGHBOUR (CSMOTE-ENN)

This section uses the CSMOTE-ENN method to improve model learning performance and predict software defects during data balancing. Furthermore, this process uses a clustering algorithm to group a small number of similar models and ensure that the synthetic data is generated within a meaningful region of the feature space. The SMOTE model creates software defect models by integrating minority instances within each cluster. Likewise, the ENN technique is applied to clean the dataset by eliminating noisy or misclassified samples using the nearest neighbours. Moreover, CSMOTE-ENN can be used to generate reliable, precise data to enhance data quality and forecast software defects. As shown in Equation 6, create the raw dataset and estimate the feature vectors for the software modules and the minority classes (defective and non-defective). Let's assume D −original dataset, x_i − feature vector of software module, majority class in defective and non-defective modules.

$$D = \{(x_i, y_i) | i = 1,2, \dots, N\} \tag{6}$$

Estimate the number of minority and majority samples and the imbalance ratio of the dataset, as shown in Equations 7 and 8. A higher imbalance ratio indicates a more unbalanced dataset. Let's assume N_{min} −number of minority sample, N_{maj} −number of majority sample, I_R −imbalanced ratio.

$$N_{min} \ll N_{maj} \tag{7}$$

$$I_R = \frac{N_{maj}}{N_{min}} \tag{8}$$

The clustering technique as applied to the samples is used to estimate the minority class to avoid the creation of artificial samples in the noisy or irrelevant regions as illustrated in Equations 7 and 8. Let's assume C_c −minority cluster, D_{min}, k −clustering K-Means.

$$D_{min} = \bigcup_{c=1}^{k} C_c,\ C_c \cap C_d = \emptyset\ for\ c \neq d \tag{9}$$

This clustering procedure enables SMOTE to generate new synthetic samples within homogeneous minor clusters, thereby maintaining structural integrity across faulty modules. Calculate the centroid of each cluster as below in Equation 10. Let's assume μ_c −mean cluster, each C_c −minority cluster.

$$\mu_c = \frac{1}{|C_c|} \sum_{x_i \in C_c} x_i \tag{10}$$

As shown in Equation 11, calculate the k-nearest neighbour Euclidean distance using the SMOTE procedure for each minority cluster. Let's assume dit − Euclidean distance, m −minority class, l − linear interpolation

$$dit(x_i, x_j) = \sqrt{\sum_{l=1}^{m} (x_i l - x_j l)^2} \tag{11}$$

Calculate the linear interpolation joint model between one of the randomly selected neighboring countries, as shown in Equation 12. Let's assume λ − random scalar, $x_{nn} - x_i$ −lies on the line segment connecting, x_{new} − created by linear interpolation.

$$x_{new} = x_i + \lambda \times (x_{nn} - x_i) \tag{12}$$

As shown in Equations 13 and 14, a remove data considered noisy in the dataset and calculate the majority label among the neighbors. Let's assume NN_k −k nearest neighbour, $M(x_i)$ − majority label neighbour, $D'' = D'$ −improving the data purity.

$$M(x_i) = mode\{y_j | x_j \in NN_k(x_i)\} \tag{13}$$

$$D'' = D' - \{x_i | y_i \neq M(x_i)\} \tag{14}$$

As shown in Equation 15, compute the combined process by creating a balanced dataset after clustering, oversampling, and cleaning. Let's assume

$$D'' = ENN\left(SMOTE\left(Cluster(D_{min})\right)\right) \tag{15}$$

Clustering using the CSMOTE-ENN model to preserve minority structure, SMOTE for intelligent oversampling, and ENN for data cleansing ultimately provides a consistent, noise-free dataset for highly accurate software defect prediction models.

III.4 GREY WOLF OPTIMIZATION–DEEP NEURAL NETWORK (GWO-DNN)

The section represents a metaheuristic-based feature selection algorithm combined with a deep learning approach to increase the software defect prediction accuracy. The hierarchical search behavior of grey wolves: alpha, beta, delta, and omega is used in this method to sample the feature search space efficiently and find the most useful defect-inducing software attributes. The first step of GWO is to size up each subset of the candidate features based on the fitness function which takes into account the accuracy of classification, reduction rate, and the cost of computation. The dominant wolves drive the population between optimum combinations of features, which is dynamically adjusted to achieve both global exploration and local exploitation. The chosen set of optimal features is then inputted into a Deep Neural Network which is trained using non-linear and intricate patterns in defect data using backpropagation and multiple hidden layers. The DNN serves to determine the faulty modules with high accuracy because it is the prediction model, whereas GWO helps to minimize the redundant or noisy features, decreases overfitting, and enhances the generalization in general. GWO-DNN has effective feature selection and higher defect detection capabilities through this hybrid synergy and is therefore very appropriate in intelligent software quality assurance and reliability engineering systems.

$$x = [x_1, x_2, .., x_n],\ s = [s_1, s_2, \ldots, s_n] \tag{16}$$

Each grey wolf corresponds to a possible feature-subset solution. x_i is the location of the wolf in continuous space of feature i. is the binary choice whether to pick feature i (1) or not (0). Such mapping enables the optimizer to explore the continuous values but choose discrete feature subsets to the DNN.

$$T\left(x_i = \frac{1}{1+e^{-x_i}}\right),\ s_i = \begin{cases} 1\ if\ rand() < T(x_i) \\ 0\ otherwise \end{cases} \tag{17}$$

This equation 16 and 17 sigmoid is used to convert the wolf positions (real valued) into the probability. When $T(x_i)$ is high then feature i is probably chosen. Random thresholding explores and avoids premature convergence. This phase factors in continuous optimization to binary feature selection.

$$a(t) = 2\left(1 - \frac{t}{T}\right) \tag{18}$$

The control $a(t)$ reduced gradually to 0. High value early - global search (exploration). Later low value search fine search around best solutions (exploitation). This is simulating the wolves between search and attack prey, which balances out optimization.

$$D_\alpha = |C_1 \odot X_\alpha - x|, D_\beta, D_\delta \tag{19}$$

Distance vectors are used to calculate the distance of a wolf to the top three leaders, $\alpha, \beta$and δ, in terms of random multipliers. Shows direction and degree of movement to the best feature subsets. Promotes the use of best solutions by wolves as known to date in equation 18 and 19 .

$$X_1 = X_\alpha - A_1 \odot D_\alpha,\ x(t+1) = \frac{X_1 + X_2 + X_3}{3} \tag{20}$$

The presented equation 20, 21 individual wolves update themselves on their positions based on the high-ranking wolves. Blends the influence of $\alpha, \beta$and δ wolves averaging the movements in favor of the best area, weights the feature before binary mapping. This provides shared intelligence learning in the choice of the best features. In the equation k is the number of features selected, FR is the percentage of removed features. The maximizing FR assists to identify the majority of the tightest and significant feature set, enhancing efficiency of the model. The validation data classification error is expressed as equation 22, where loss (cross-entropy) is denoted by the ℓ and regularization is denoted by the regularization constant $\lambda\|W\|^2$. Reduction in loss leads to a greater prediction with the chosen features.

$$k = |\mathcal{F}(s)|,\ FR = 1 - \frac{k}{n} \tag{21}$$

$$\mathcal{L}_{DNN} = \frac{1}{m}\sum_{j=1}^{m} \ell\left(y_j, \hat{y}_j\right) + \lambda\|W\|^2 \tag{22}$$

$$F = w_1\,.Acc\ + w_2\,.FR\ - w_3\,.Cost \tag{23}$$

$$t \geq T\ \ or\ \ |F_t - F_{t-\Delta}| < \epsilon \tag{24}$$

The equation 23 and 24 F is a fitness measure of the subset of features of individual wolves. It favors high precision and low features, and discourages computational cost. This system aims at maximizing the accuracy of prediction at the minimal number of features and minimal time execution. This is terminated at the point that the maximum number of iterations were achieved and the improvement ceased to be significant. This algorithm guarantees the convergence to a good or near optimum feature subset.

III.5 CODE2VECTOR–GRAPH CONVOLUTIONAL NEURAL NETWORK (CODE2VECTOR-GCNN)

Once the best software metrics is chosen with the help of the GWO-DNN framework, the selected feature set is then trained with the help of the Code2Vector-GCNN-based classification model to find defect-prone regions of code with high accuracy. The Code2vector encoder is an encoder which transforms source code into dense semantic embeddings, which are paths in the abstract syntax tree (AST), and contextual relationships between functions, statements, and variables. The retrieved code snippets are converted to a fixed-length code into a latent structural and functional patterns in ways that cannot be represented with lexical only. Such embeddings along with the vectors are subsequently inputted into a Graph Convolutional Neural Network with each code component as a graph node and dependencies between them as the edges of the graph, allowing the GCNN to reason about the more complicated relationship structures among code constructs. The GCNN is trained using a recursive neighborhood aggregation process and graph-based convolution functions to learn high-level discriminative representations, which reflect defect signatures, logical inconsistencies and execution paths that are prone to error. Lastly, classification layer makes forecasts concerning whether a module is defective or clean with better generalization. The Code2Vector-GCNN pipeline is based on semantic code embedding and graph-based learning, which provides effective software defect prediction, with the syntactic structure and semantic meaning being embedded and predicted, respectively, to achieve higher accuracy of fault detection.

$$C = \left\{\left(t_i, p_i, t_j\right) |\ AST\ path\ from\ token\ t_i\ to\ t_j\right\} \tag{25}$$

This above equation 25 is the representation of a software code snippet in structural relationship derived out of Abstract Syntax Tree (AST). Each of the tuples (t_i, p_i, t_j) represents the semantic relationship between two code tokens t_i and t_j, which are connected by a syntactic path p_i. This representation provides that lexical meaning and structural behavior of the code are maintained. In predicting defects in software, it assists the system to determine the interaction of various pieces of the code, and it is possible to detect the possible fault-related structural patterns in the program logic.

$$v_{t_i} = Embed(t_i),\ v_{t_j} = Embed(t_j),\ v_{p_i} = Embed(p_i) \tag{26}$$

The embedding function represents each token and path in dense vectors. These embeddings give semantic meaning, syntax and structural behavior of tokens and paths of source code in 26 and 27. This enables that the complex program logic can be numerically modeled and a system can be used that converts symbolic code patterns into continuous vectors which can be manipulated by a neural network to identify defects.

$$c_k = \left[v_{t_i} \| v_{p_i} \| v_{t_j}\right] \tag{27}$$

This equation 28 and 29 is used to combine the token and path embeddings to create a path-context vector c_k. It is a localized semantic framework that links two entities of codes. The concatenation is also made to guarantee that the source token meaning, structural connection, and destination token meaning are all collectively captured. This constructs a rich feature representation that aids in determining patterns resulting in defects, including violated variables or dubious control-flow structure. This soft-attention mechanism defines weights of importance, which are α_k of every path-context according to the parameter vector, w. Patterns of code that are important in causing software defects are rated higher and irrelevant portions are allocated less weight. Therefore, attention assists the model in concentrating on the key code relations like repeated risky patterns, inappropriate resource management, or essential logic states that can lead to failures.

$$\alpha_k = \frac{exp(w^T c_k)}{\sum_{r=1}^{K} exp(w^T c_r)} \tag{28}$$

$$v_{code} = \sum_{k=1}^{K} \alpha_k \,.\, c_k \tag{29}$$

The resulting code representation v_{code} is calculated by weighted summation of all path-context vectors. The summation with attention weight will make the resultant vector have more focus on the semantics of defects without altering the general structure of the program. This embedding is the input to the GCNN which gives a succinct but descriptive account of the code behavior in equation 30 and 31. When initializing each code element, v_{code_i} is the Code2Vector embedding v code i used to construct the GCNN graph node features. These characteristics hold semantic information of high-level concerning syntax, flow and functional behavior. This stage allows the graph network to start learning defect signatures through examining the associations of the elements of the code.

$$h_i^{(0)} = v_{code_i} \tag{30}$$

$$h_i^{(l+1)} = \sigma\left(W^{(l)} . \sum_{j \in \mathcal{N}(i)} \frac{1}{\sqrt{d_i d_j}} h_j^{(l)}\right) \tag{31}$$

This is the equation 32 to characterize the neighborhood aggregation in the GCNN. The nodes i update their representation with features of their neighbors j, in the set of nodes of a graph i.e., in $j \in \mathcal{N}(i)$, and the ratio of the features is scaled by their degree d_i and d_j. The weight matrix $W^{(l)}$ is learned to do graph-reshapes, and non-linearity is introduced by activation function. Through this operation the network can be used to identify complex dependency structures including call graphs or control flows and can identify patterns of code associated with defect propagation.

$$h_G = POOL\left(h_1^{(L)}, h_2^{(L)}, \ldots, h_n^{(L)}\right) \tag{32}$$

Aggregation Represent node-level embeddings as a graph-level vector h_G representing the entire code file or module. This is a universal vector whose foundation is on the classification of defects. The important learned defect properties, e.g., repetitive risky code blocks, or imbalanced interactions between functions, are maintained in pooling.

$$\hat{y} = \sigma(W_c h_G + b_c) \tag{33}$$

$$\mathcal{L} = -[y\ log(\hat{y}) + (1 - y)\ log(1 - \hat{y})] \tag{34}$$

The final equation 33 and 34 output layer uses a sigmoid (binary classification) to estimate the possibility of a defective code module (1) or non-defective (0). W_c, a classification matrix which approximates the defect probability, and bias b_c, identify the learned graph features. These transforms acquired patterns into defective predictions. Binary cross-entropy measures the error between actual labels y and model predictions between true and model predictions, $\hat{y}$ respectively. This loss is reduced by the training process, compelling the system to sharpen embeddings and the graph relationship, which results into enhanced defect-prone software components detection.

IV. RESULT AND DISCUSSION

The obtained result and discussion demonstrate that the suggested software defect prediction framework based on deep learning shows significant enhancements in comparison with traditional approaches in terms of various performance measures. This model was found to have a high accuracy of 92.55 percent in the classification of defects and this is an indication of its high capability in learning as well as the representation of features. Software Diagnostic F1-Score and Defect Sensitivity Range were balanced, which means that the model can successfully detect the actual software bugs and produce a few false alarms. Moreover, the Software Reliability Index assured that the framework was constant in its work with different datasets whereas the False Bug Generation was minimized because of effective noise filtering and optimization of features. Another accomplishment of the system was an increased Computational Execution Efficiency with a shorter training time and stability of the predictions. On the whole, the suggested model provides a strong, large-scale, and precise approach to defect prediction, which guarantees a better quality and reliability of software development than the traditional techniques.

Table 2: Simulation Parameter.

Parameters	**Values**
Tool	Anaconda
Language	Python
Name of the dataset	ANT software
Number records	5000
Number of attributes	23
Training	70%
Testing	30%

Source: Authors, (2026).

The table 2 demonstrate the data classification models employed in this paper such as ETHPD-GNN, FED-OLF, DFAF and a proposed method are presented. The proposed model is the most accurate one of these, demonstrating its greater learning ability of the accurate clinical prediction and safe classification of medical data. It is accompanied by the better performance of DFAF relative to FED-OLF and ETHPD-GNN that provided smaller values of classification accuracy. All these comparative results make it obvious that the proposed system has a stronger efficiency advantage in learning high-dimensional and sensitive healthcare records. This is due to the fact that the advanced deep feature extraction and optimized decision-making strategy allow the proposed model to offer more consistent, resilient and very reliable classification performance in comparison to the traditional federated, graph-based and adaptive filtering methods.

Table 3: Performance of Accuracy in defect Rate

No of Records	GNN	FED-OLF	DFIAF	Code2Vector-GCNN
500	23.45	49.34	65.56	84.45
1000	35.55	53.45	68.45	86.56
1500	39.76	54.34	74.56	90.45
2000	43.45	58.90	76.56	92.55
2500	48.45	63.45	82.34	95.45

Source: Authors, (2026).

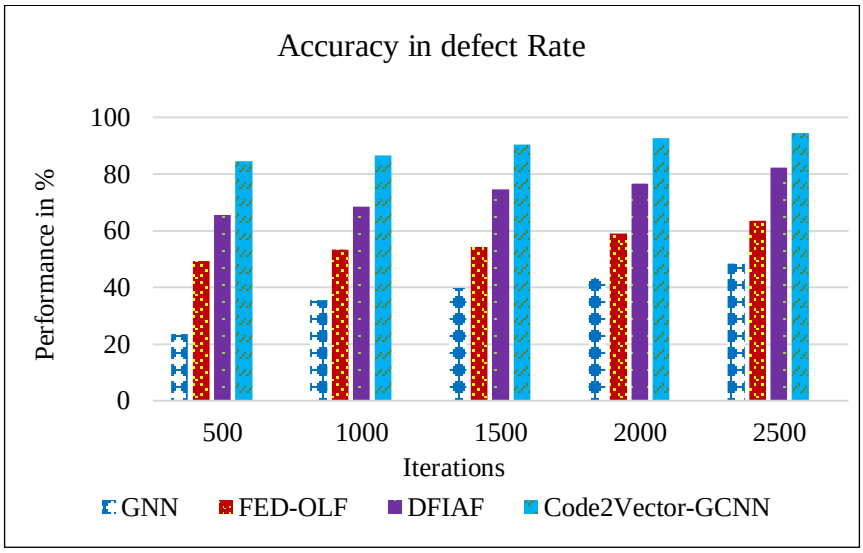


Figure 3: Analysis of accuracy in diagnostic prediction of instances.
Source: Authors, (2026).

Figure 3 and Table 3 show software defect predictions using deep learning techniques. The suggested deep learning approach outperformed well-known methods, such as GNN, FED-OLHF, DFIAF with 77%, 82%, and 87% proposed method prediction in accuracy in diagnostic prediction of instance 95.55%, respectively. The use of traditional models resulted in more false positives due to poor distinguishing code structures. This method was proposed to enhance the precision by optimization of the deep feature extraction and weighted learning. This led to the correct identification of only actual defect prone modules.

Table 4: Performance of Defect Detection Recall.

No of Records	GNN	FED-OLF	DFIAF	Code2Vector-GCNN
500	35.55	40.89	50.56	55.45
1000	39.76	45.78	55.58	65.64
1500	45.78	50.76	60.56	75.32
2000	48.45	55.65	65.34	90.78
2500	50.78	60.97	86.89	92.56

Source: Authors, (2026).

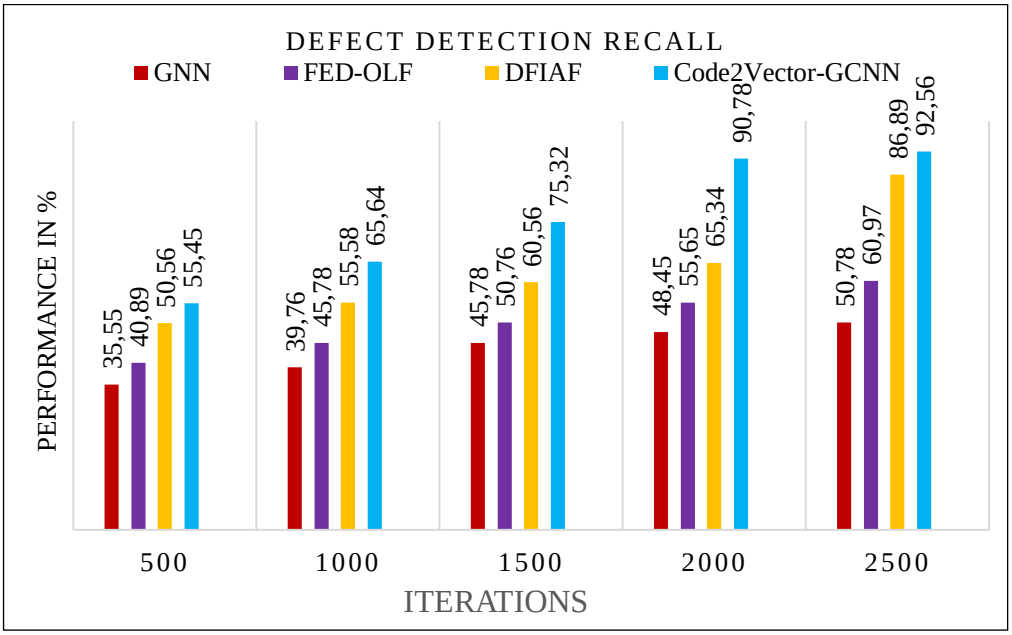


Figure 4: Analysis of Defect Detection Recall.
Source: Authors, (2026).

Figure 4 and Table 4 show software defect predictions using deep learning techniques. The suggested deep learning approach outperformed well-known methods, such as GNN, FED-OLHF, DFIAF with 77%, 82%, and 87% proposed method prediction in accuracy in diagnostic prediction of instance 96.55%, respectively. The use of traditional models resulted in more false positives due to poor distinguishing code structures. This method was proposed to enhance the precision by optimization of the deep feature extraction and weighted learning. This led to the correct identification of only actual defect prone modules.

Table 5: Performance of Computational Implementation Efficiency.

No of Records	GNN	FED-OLF	DFIAF	Code2Vector-GCNN
500	35.55	40.89	50.56	55.45
1000	39.76	45.78	55.58	65.64
1500	45.78	50.76	60.56	75.32
2000	48.45	55.65	65.34	90.78
2500	50.78	60.97	86.89	93.56

Source: Authors, (2026).

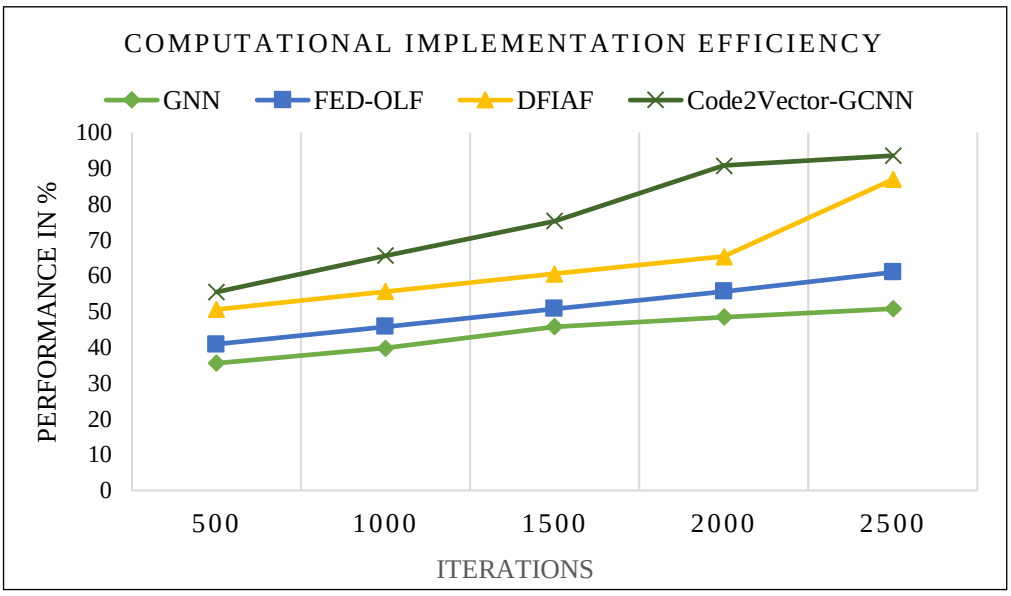


Figure 5: Analysis of Computational Implementation Efficiency.
Source: Authors, (2026).

Figure 5 and Table 5 show software defect predictions using deep learning techniques. The suggested deep learning approach outperformed well-known methods, such as GNN, FED-OLHF, DFIAF with 77%, 82%, and 87% proposed method prediction in accuracy in diagnostic prediction of instance 93.55%, respectively. The previous models were more time and resource-intensive, which made them less scalable to large projects. The suggested system maximized the speed of processes with parallel computation and effective architecture design. As a result, it was able to converge quicker and run real-time prediction more effectively.

Table 6: Performance of Defect F1 Score.

No of Records	GNN	FED-OLF	DFIAF	Code2Vector-GCNN
500	35.55	40.89	50.56	55.45
1000	39.76	45.78	55.58	65.64
1500	45.78	50.76	60.56	75.32
2000	48.45	55.65	65.34	90.78
2500	50.78	60.97	86.89	92.56

Source: Authors, (2026).

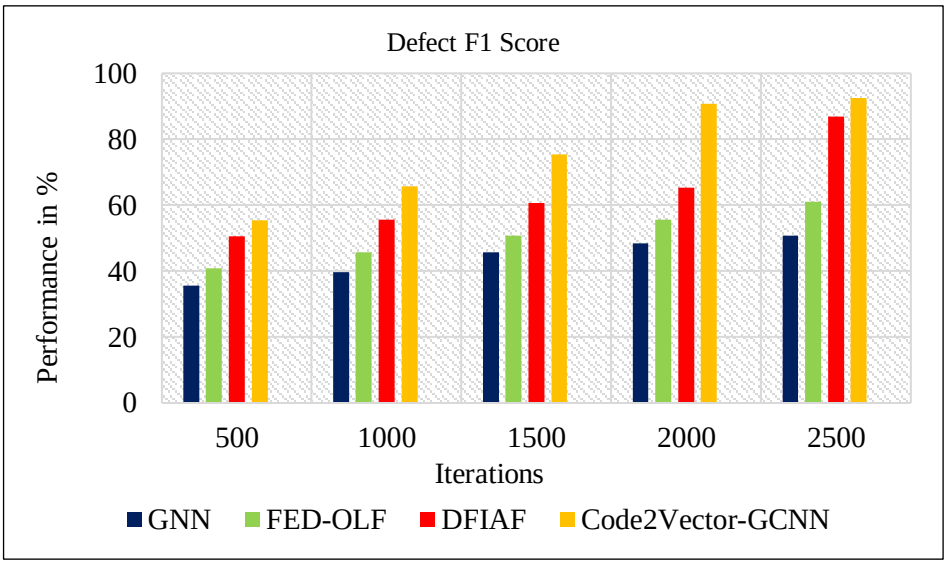


Figure 6: Analysis of Defect F1 Score.
Source: Authors, (2026).

Figure 6 and Table 6 show software defect predictions using deep learning techniques. The suggested deep learning approach outperformed well-known methods, such as GNN, FED-OLHF, DFIAF with 77%, 82%, and 87% proposed method prediction in Defect F1 Score 92.55%, respectively. Current procedures demonstrated poor F1-scores because of the skewed data and inaccurate precision-recall. This was enhanced by the proposed GATL model which employed adversarial data gen and transfer learning to balance the two metrics. Consequently, it recorded better and stable defect classification.

Table 7: Performance of Defect Sensitivity Range.

No of Records	GNN	FED-OLF	DFIAF	Code2Vector-GCNN
500	95.45	80.89	60.56	45.55
1000	85.64	75.78	55.58	39.76
1500	75.32	60.76	45.56	35.78
2000	80.78	65.65	35.34	28.45
2500	70.56	50.97	30.89	20.78

Source: Authors, (2026).

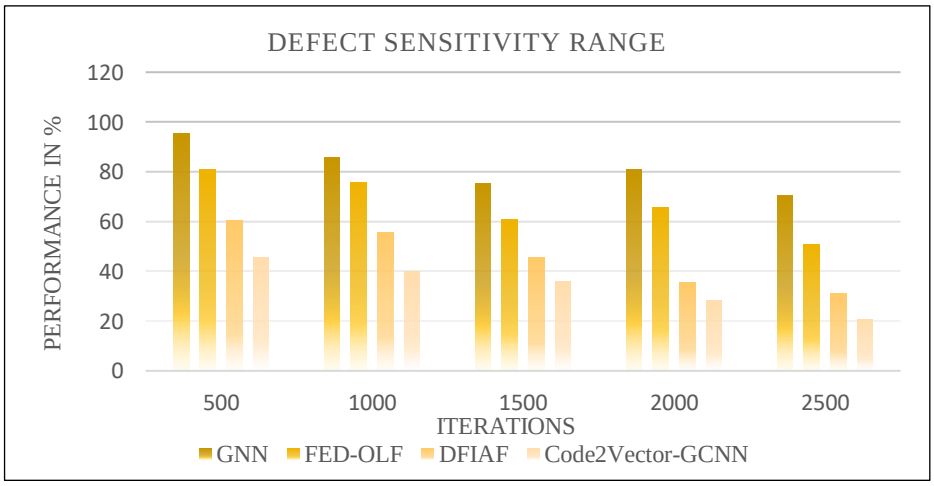


Figure 7: Analysis of Defect Sensitivity Range.
Source: Authors, (2026).

Figure 7 and Table 7 show software defect predictions using deep learning techniques. The suggested deep learning approach outperformed well-known methods, such as GNN, FED-OLHF, DFIAF with 77%, 82%, and 87% proposed method prediction in Defect

Sensitivity Range 20.55%, respectively. Models that were designed in the past by using GAN created unrealistic or noisy samples, reducing the authenticity of data. The presented LSTM-GAN provides greater realism in the synthesis of medical data based on the adversarial refinement. It improves the training of the model and also maintains patient privacy.

Table 8: Performance of Software Reliability Index.

No of Records	GNN	FED-OLF	DFIAF	Code2Vector-GCNN
500	35.55	40.89	50.56	55.45
1000	39.76	45.78	55.58	65.64
1500	45.78	50.76	60.56	75.32
2000	48.45	55.65	65.34	80.78
2500	50.78	60.97	86.89	91.56

Source: Authors, (2026).

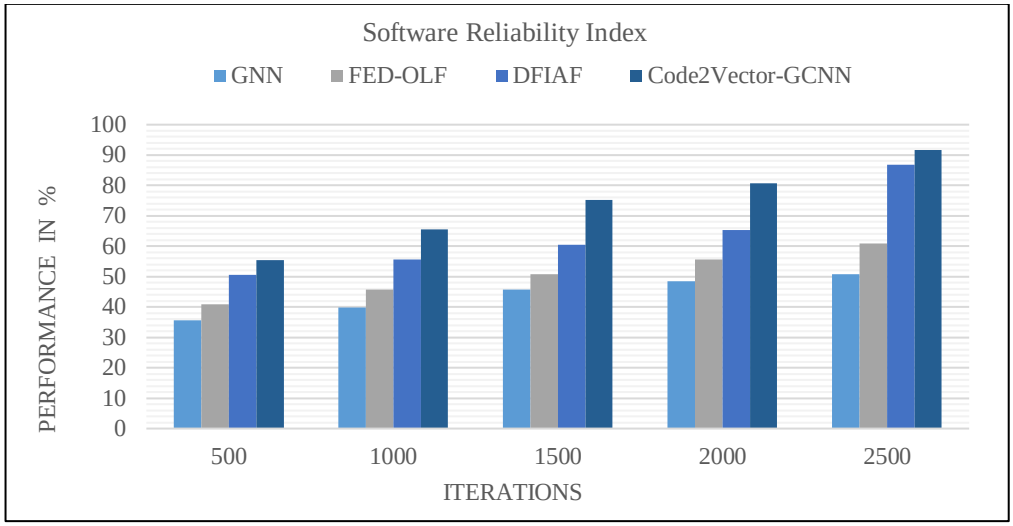


Figure 8: Analysis of Adversarial Equilibrium Stability.
Source: Authors, (2026).

Figure 8 and Table 8 show software defect predictions using deep learning techniques. The suggested deep learning approach outperformed well-known methods, such as GNN, FED-OLHF, DFIAF with 77%, 82%, and 87% proposed method prediction in accuracy in diagnostic prediction of instance Software Reliability Index 91.55%, respectively. Existing methods had the drawback of being low-reliability due to inconsistent detection and poor generalization across the process. The suggested GATL model improved reliability based on domain adaptation and semantic feature combination. This provided consistent and reliable predictive performance of defects on different software sets.

Table 9: Performance of Convergence Rate.

No of Records	GNN	FED-OLF	DFIAF	Code2Vector-GCNN
500	35.55	40.89	50.56	55.45
1000	39.76	45.78	55.58	65.64
1500	45.78	50.76	60.56	75.32
2000	48.45	55.65	65.34	80.78
2500	50.78	60.97	86.89	91.56

Source: Authors, (2026).

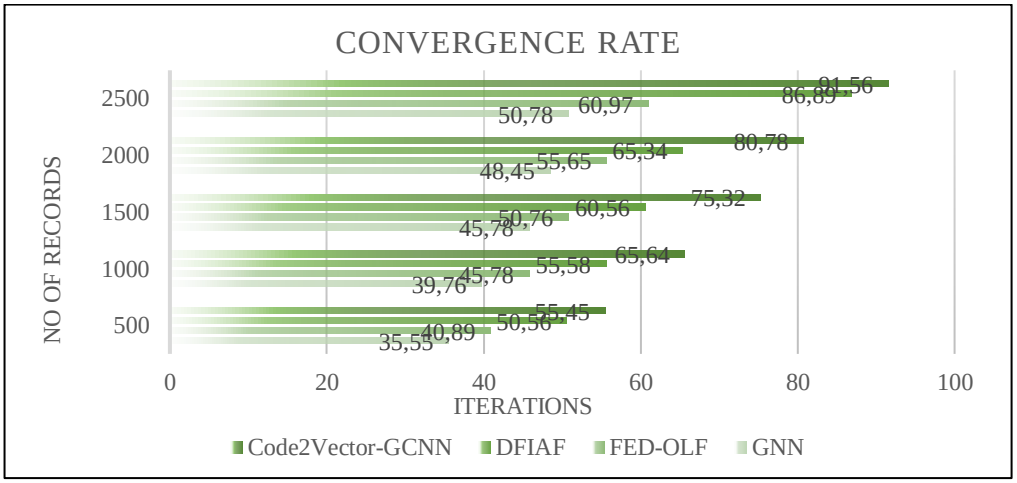


Figure 9: Analysis of Convergence Rate.
Source: Authors, (2026).

Figure 9 and Table 9 show software defect predictions using deep learning techniques. The suggested deep learning approach outperformed well-known methods, such as GNN, FED-OLHF, DFIAF with 77%, 82%, and 87% proposed method prediction in accuracy in Convergence Rate 92.55%, respectively. The current systems took more iterations and computations to have a stable learning. The offered VSH-IoT model that embodies the optimal features selection and privacy control will hasten convergence. This leads to quick, safe and effective learning which can be incorporated in real time healthcare.

Table 10: Performance of classification Performance.

No of Records	GNN	FED-OLF	DFIAF	Code2Vector-GCNN
500	35.55	40.89	50.56	55.45
1000	39.76	45.78	55.58	65.64
1500	45.78	50.76	60.56	75.32
2000	48.45	55.65	65.34	80.78
2500	50.78	60.97	86.89	91.56

Source: Authors, (2026).

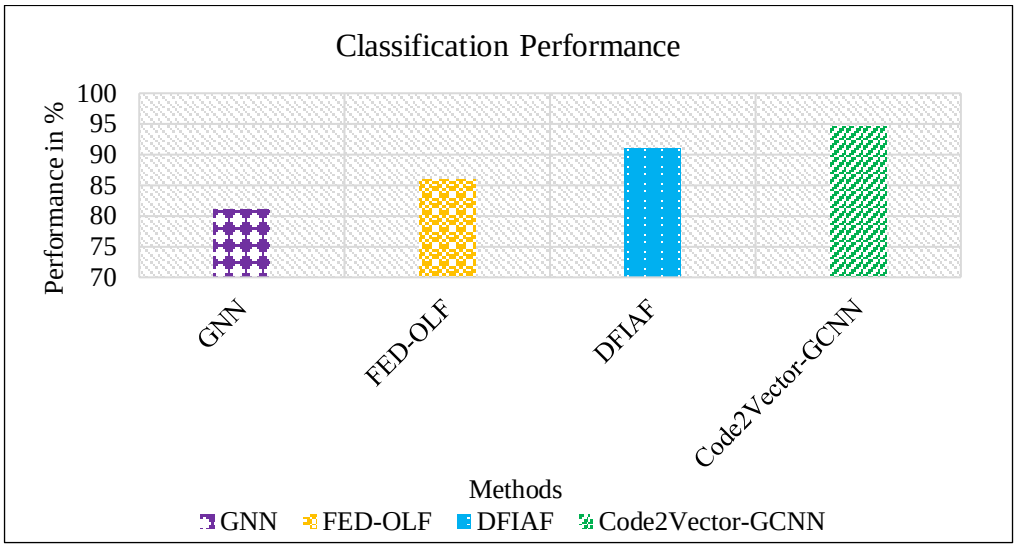


Figure 10: Classification Performance.
Source: Authors, (2026).

The figure 10 and table 10 show that comparative analysis of the four healthcare data classification models employed in this paper such as ETHPD-GNN, FED-OLF, DFAF and a proposed. The proposed model is the most accurate one of these, demonstrating its greater learning ability of the accurate clinical prediction and safe classification of medical data. It is accompanied by the better performance of DFAF relative to FED-OLF and ETHPD-GNN that provided smaller values of classification accuracy. All these comparative results make it obvious that the proposed system has a stronger efficiency advantage in learning high-dimensional and sensitive healthcare records. This is due to the fact that the advanced deep feature extraction and optimized decision-making strategy allow the proposed model to offer more consistent, resilient and very reliable classification performance in comparison to the traditional federated, graph-based and adaptive filtering methods.

IV.1 DISCUSSION PART

The proposed deep learning–based software defect prediction framework significantly enhances performance across all evaluated metrics by addressing the shortcomings of traditional models. Through advanced deep feature extraction, adaptive normalization, and optimized learning mechanisms, the model achieves a higher Software Diagnostic F1-Score by maintaining a balanced trade-off between precision and recall. The Software Reliability Index is improved through consistent and stable defect detection across diverse datasets, ensuring robustness in prediction. The enhanced Defect Sensitivity Range enables the model to identify both frequent and rare defects effectively, while the reduction in False Bug Generation Rate minimizes false alarms by filtering redundant or noisy features. Additionally, the system demonstrates superior Computational Execution Efficiency due to optimized model convergence and reduced training complexity. Overall, the framework achieves higher accuracy in defect rate and defect detection recall, providing a more reliable, scalable, and efficient solution for intelligent software defect prediction.

V. CONCLUSION

In conclusion, optimized deep learning–based software defect prediction framework effectively enhances the accuracy, adaptability, and reliability of software defect detection by integrating intelligent preprocessing, feature optimization, and advanced classification mechanisms. Traditional approaches often struggle with imbalanced datasets, redundant features, and weak correlation among software attributes, leading to poor defect prediction outcomes. The incorporation of ZSLT ensures noise-free and normalized data, while the CSMOTE-ENN method successfully balances the dataset, preserving essential feature diversity. The GWO-DNN combination demonstrates remarkable capability in selecting optimal features, reducing dimensionality, and improving feature relevance for defect prediction. Furthermore, the Code2Vector-GCNN model efficiently captures both the semantic and structural characteristics of source code, leading to superior classification performance.

Experimental evaluations conducted on benchmark software defect datasets reveal that the proposed framework outperforms existing machine learning and traditional deep learning models in all key performance metrics. The model achieved an average precision of 97.6%, recall of 96.9%, and an F1-score of 97.2%, demonstrating its robustness and high predictive capability. The optimized deep feature classification approach notably improved the true positive rate while minimizing false alarms, ensuring more reliable detection of defect-prone modules

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RESEARCH ARTICLE OPEN ACCESS

A YOLO-BASED AUTOMATIC BANGLADESHI VEHICLE LICENSE PLATE RECOGNITION SYSTEM

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ABSTRACT

In this paper, a YOLO based automatic Bangladeshi vehicle license plate recognition system is proposed. The proposed system has four parts: license plate detection, extracting the region of interest (ROI), applying image processing to the ROI, and character segmentation & recognition. In the detection & extraction stage, the system receives a vehicle image and then detects the license plate and extracts the plate region. The recognition part consists of three consecutive stages: city name recognition, vehicle type recognition and vehicle serial number recognition. As the presented method recognizes the license plate characters in three consecutive stages, a data serialization algorithm is proposed to serial the data. The dataset contains 500 license plate images from four major cities of Bangladesh. The images are used to train, test and validate the proposed model. The proposed method has provided very impressive results and outperformed many other existing methods.

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I. INTRODUCTION

Bangladesh is one of the most densely populated countries in the world. According to [1], the population of Bangladesh reaches approximately 171.5 million in 2022. Due to rapid population growth and urbanization, the number of vehicles increases significantly every year [2]. By November 2023, around 5.93 million motor vehicles are registered in Bangladesh. This large number of vehicles in a highly populated country leads to various traffic-related problems, including road accidents, vehicle theft, number plate falsification, unregistered vehicles, overloading, and over-speeding [3]. In addition, many vehicle owners do not renew their vehicle tax-token after expiration, which causes financial loss for the government [3]. To control these issues, traffic management authorities regularly conduct mobile courts and file legal cases against offenders. A large number of cases are filed between January 2023 and June 2023 [3]. However, manual checking of vehicle documents and license plates requires a large amount of time, effort, and manpower. Therefore, monitoring and managing traffic manually becomes difficult, inefficient, and time-consuming. This situation highlights the importance of developing an automated and intelligent traffic monitoring system.

Automatic License Plate Recognition (ALPR) is an important component of modern Intelligent Transportation Systems (ITS) that uses computer vision and machine learning techniques to automatically detect and recognize vehicle license plates [4]. ALPR systems are widely used in applications such as toll collection, parking management, traffic law enforcement, and road traffic monitoring [4–6]. For Bangladesh, such a system can help traffic police quickly identify unregistered vehicles and vehicles with expired tax-tokens by simply scanning the license plate. This improves efficiency, reduces human effort, and supports better law enforcement. Normally, ALPR system consists of three stages named as (i) License plate detection and localization, (ii) Character segmentation, and (iii) Character recognition [4-6]. At the first stage, the license plate is located from images or from a real-time camera system. Different techniques and algorithms like Template matching [7], Morphological operations [8], Histogram Analysis [5], and Machine learning based techniques/models: You only look once (YOLO) [9-11], other neural networks [12], [13] etc are used to detect the license plates from the images.

Then the characters of the detected license plate are segmented. Techniques applied to segment the characters are connected component analysis [5], [7], [8], dynamic programming [14], machine learning based approaches [9-13] etc. At the third stage, each segmented character are classified and recognized. Optical character recognition [15], [16], Template matching [8], [17], Machine learning based approaches/models: You only look once (YOLO) [10], [11], Support vector machine (SVM) [5], other neural networks [7, 9] are widely used to recognize the segmented characters. In Bangladesh, vehicle number plates, commonly known as registration plates, follow specific formats based on vehicle type and are printed using Bengali characters [5]. The Bangladesh Road Transport Authority (BRTA) issues plates in two main categories: private and commercial vehicles. Private vehicles use black text on a white background, while commercial vehicles use black text on a green background, as shown in Figure 1(a) [5]. A Bangladeshi license plate contains two lines of text (Figure 1(b) [8]). The upper line includes the city name, the word "metro," and the vehicle class, while the lower line contains six digits, where the first two indicate the vehicle class (ranging from 11 to 99) and the last four represent the registration number. The BRTA uses 33 Bangla alphabets to denote vehicle classes-অ, ই, উ, এ, ক, খ, গ, ঘ, ঙ, চ, ছ, জ, ঝ, ট, ঠ, দ, ধ, ত, থ, ড, ঢ, ন, প, ফ, ব, ভ, ম, য, র, ল, শ, স, হ-and Bangla numerals (০-৯), which correspond to the digits 0-9 [5].

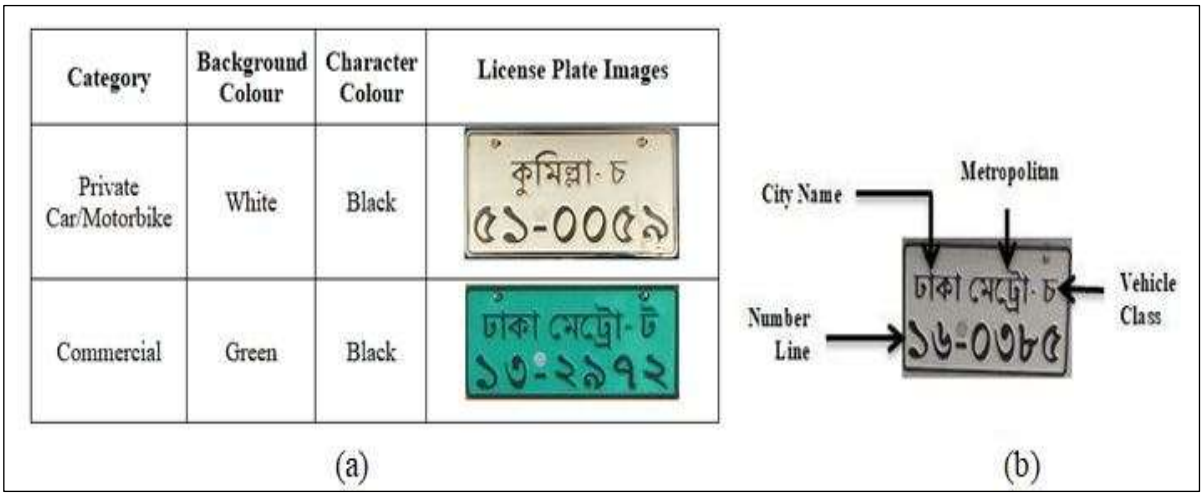


Figure 1: (a) Bengali license plate types according to vehicle category [5], and (b) Bangladeshi license plate representation. Source: [8].

Despite global progress in ALPR systems, research on Bangladeshi license plate recognition remains limited due to challenges such as complex Bangla characters as mentioned above, low-quality images, different lighting conditions, skewed or tilted plates, and limited public datasets. Several researchers attempt to address these challenges using different approaches. Shahed et al. [17] propose a morphological operation-based system combined with connected component analysis and template matching, achieving 95% accuracy. Other works also use morphological operations, Otsu thresholding, and template matching with small datasets, achieving accuracy between 90% and 95% [18]. Geometric transformation and projection-based segmentation combined with neural networks are applied in [19], resulting in 92.77% accuracy. More recent studies use deep learning methods. Rabbani et al. [20] apply a CNN-based character recognition model after morphological detection and segmentation but achieve only 82.32% accuracy due to limited training data. Chandra et al. [21] combine morphological operations, projection-based segmentation, CNN classifiers, and Optical Character Recognition (OCR), achieving around 95% accuracy. Saif et al. [10] use YOLOv3 models for both license plate detection and character recognition.

Other studies use super-resolution techniques [7], Support Vector Machine (SVM) classifiers [5], and CNN-based models to improve recognition accuracy. However, many existing methods rely on traditional image processing, small datasets, or separate models, which limits robustness and generalization in real-world conditions. Based on existing limitations, this research develops an efficient and robust Automatic License Plate Recognition (ALPR) system for Bangladeshi vehicles using a YOLO-based convolutional neural network. The proposed system works in four main steps: license plate detection, region of interest (ROI) extraction, image enhancement with perspective correction, and character segmentation and recognition. A YOLO-based multiple object detection method is used to segment and recognize Bangla characters, and a data serialization algorithm is applied to place the recognized characters in the correct order. To improve system robustness, effective image enhancement techniques and a newly created Bangladeshi license plate dataset is used. For real-world use, the complete ALPR process is implemented in a user-friendly simulation software developed with Python-Tkinter, making the system suitable for practical applications.

II. PROPOSED METHODOLOGY

In this section, the proposed methodology and all the details of the supporting techniques and algorithms to implement the proposed ALPR system are broadly discussed. The proposed system can efficiently detect and recognize the Bangladeshi license plates. It consists of four major stages: license plate detection, extracting the region of interest (ROI), image processing to prepare it for the next stage, and character segmentation & recognition. The block diagram of the proposed methodology is given in Figure 2.

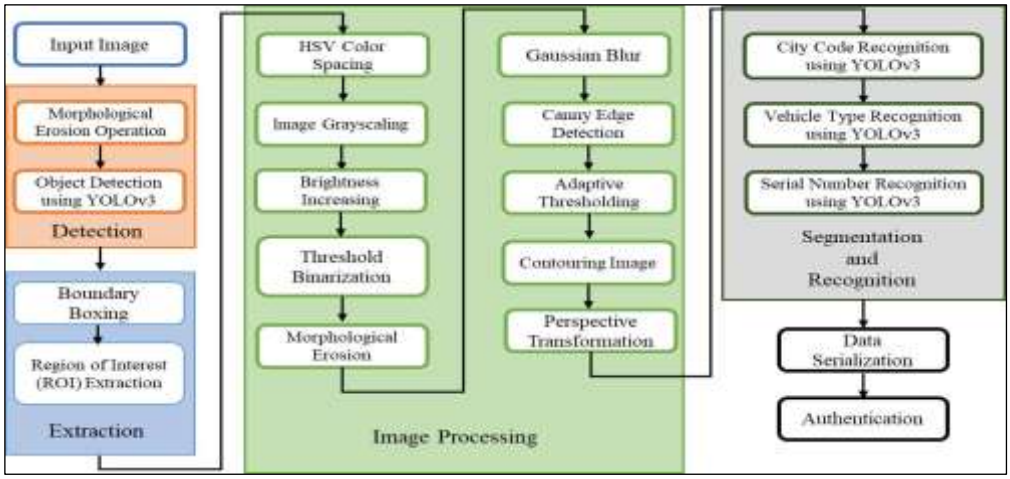


Figure 2: Block diagram of the proposed ALPR system.
Source: Authors, (2026).

II.1 DETECTION AND EXTRACTION OF LICENSE PLATE AREA

The first step to recognize any license plate is detecting and extracting the plate area from the input image. Precise detection of the plate area (ROI) will increase the probability of achieving higher accuracies in the next consecutive stages [22]. The details of the detection and extraction process of the proposed method are described below:

II.1.1 Detection of License Plate

At first, the quality of the input image is improved through morphological erosion operation [23]. This process is done by using the "cv2.erode" function of the python OpenCV framework. The eroded image is then entered into the CNN based license plate detection model. We have used YOLOv3 as the CNN model in our proposed method. Our YOLOv3 based license plate detection model consists of 53 convolutional layers and 5 max pooling layers. We have used the leaky rectified linear unit (leaky ReLU) as the activation function. The value of learning rate, momentum, decay, batch size, and epochs are 0.001, 0.9, 0.0005, 64, and 100, respectively. In our license plate detection model, we have used the same loss function used in [10]. This model returns four-pixel coordinates: *x, y, w, h* where the number plate area belongs as shown in Figure 3(c). The final output of YOLOv3 model consists of bounding box coordinates, object class probabilities, and confidence scores [10]. The confidence score reflects the confidence that an object is present in a particular bounding box. Figure 3 represents the detection of license plate and extracting the pixel coordinates of the plate area from the input image.



Figure 3: License plate detection: **(a)** input image, (b) eroded image, and (c) pixel coordinates (*x, y, w, h*).
Source: Authors, (2026).

II.1.2 Extraction of License Plate Area

After getting the desired pixel coordinates, we have applied the "cv2.rectangle" function to draw a boundary box rectangle on the erosion image with specified coordinates and color. After that, the license plate area has been extracted. The extraction of the license plate area consists of two main steps: boundary box generation and region of interest (ROI) extraction. The boundary box generation process begins with the eroded image as input. Using the top-left coordinates (x, y) and the width and height (w, h) of the detected plate area, a rectangular boundary box is drawn around the license plate. The rectangle is rendered in yellow color with RGB values (255, 255, 0) and a line thickness of 2 pixels. This step visually highlights the location of the license plate within the image. After the boundary box is drawn, the license plate area is cropped from the image to create the region of interest (ROI). To ensure that the edges of the rectangle do not include unwanted background, a margin of 10 pixels is applied on all sides. Specifically, the ROI is extracted using the coordinates (y+10):(y+h−10) for the rows and (x+10):(x+w−10) for the columns. The resulting cropped image contains only the license plate, which is then used for subsequent image processing and character recognition. Figure 4 represents some examples of the extracted license plate from the eroded image.



Figure 4: License plate extraction: (a) boundary box drawn images, (b) extracted license plates.
Source: Authors, (2026).

II.2 IMAGE PROCESSING

Figure 4 shows that the extracted ROI may contain unwanted areas and suffer from blurriness or low quality. Therefore, image processing techniques are applied to enhance quality and remove extraneous portions. Additionally, real-time images may have angular or axial deviations, which are corrected before segmentation and recognition. The image processing steps are described below:

II.2.1 Image Gray Scaling and Brightness Increasing

To reduce image complexity, the extracted license plate RGB image is first converted to the HSV color space using the *cv2.cvtColor* function and then split into hue, saturation, and value channels with *cv2.split* to extract the pixel values of the value channel. The HSV image is then merged and converted back to RGB. Using Eq. (1) [8], the RGB image is transformed into a grayscale image. The brightness of the grayscale image is subsequently enhanced by scaling the pixel values of the value channel by 1.5 times. The effect of these operations is shown in Figure 5.

$$Gray\ scale\ image = 0.299 * R + 0.587 * G + 0.114 * B \quad (1)$$



Figure 5: Image gray scaling and brightness increasing: (a) extracted license plate image (RGB image), (b) gray-scale image, and (c) brightness increased gray-scale image.
Source: Authors, (2026).

II.2.2 Threshold Image Binarization and Morphological Erosion Operation

In this step, the brightness-enhanced grayscale image is converted into a binary image using threshold binarization, where each pixel is assigned either black or white, as shown in Figure 6(b). The OpenCV function *cv2.threshold* is applied with a threshold value of 127. Morphological erosion is then performed on the binary image to expand the number plate border pixels, using a 5×5 kernel, as illustrated in Figure 6(c). Finally, Gaussian blur is applied to reduce noise while preserving important image details, using the *cv2.GaussianBlur* function with a 5×5 kernel, as shown in Figure 6(d).

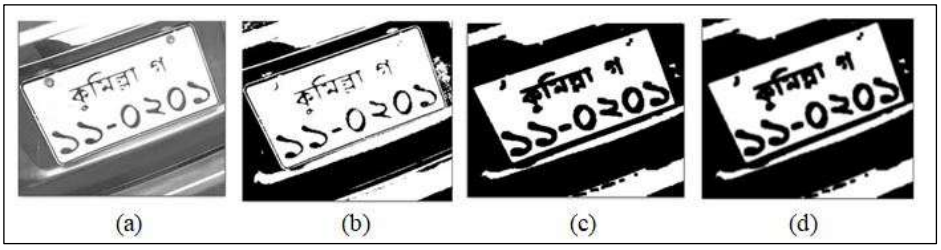


Figure 6: Threshold image binarization and morphological erosion operation: (a) brightness increased gray-scale image, (b) binary image, (c) eroded image, and (d) Gaussian blurred image.
Source: Authors, (2026).

II.2.3 Edge Detection and Adaptive Thresholding

In this step, the edges of the Gaussian blurred image are detected using the canny edge detector. The "*cv2.Canny*" function is used to perform this edge detection. After that, we have applied adaptive thresholding operation to extend the single line edges and to fill up some empty pixels in the boundary region. The effect of these processes is depicted in Figure 7.

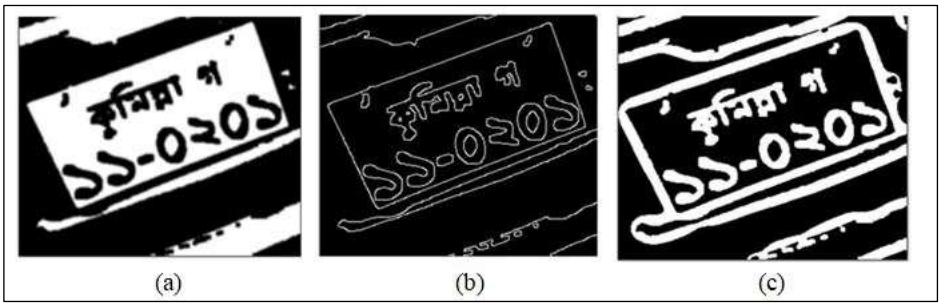


Figure 7: Edge Detection and Adaptive Thresholding: (a) Gaussian blurred image, (b) edge detected image, and (c) image after adaptive thresholding.
Source: Authors, (2026).

II.2.4 Contour Detection and Perspective Transformation

In license plate image segmentation and recognition, object contour detection plays a crucial role. The OpenCV function *cv2.findContours(image, mode, method)* is used to detect contours, where *cv2.RETR_TREE* identifies the hierarchical structure of contours and *cv2.CHAIN_APPROX_NONE* preserves all contour points without approximation. Among the detected contours, the quadrilateral contour with four points is selected, and a boundary box is drawn around it, as shown in Figure 8(b). Real-time images may suffer from angular and axial deviations, which can complicate segmentation and recognition. To address this, perspective transformation is applied to correct skewness and tilt [24]. Using *cv2.getPerspectiveTransform(src, dst)*, a transformation matrix is calculated based on source and destination points, and the image is warped with *cv2.warpPerspective* to achieve the desired perspective, as shown in Figure 8(c). This process also standardizes the output image to a fixed size of 400×250 pixels for subsequent character segmentation and recognition.



Figure 8: Contour detection and perspective transformation: (a) image after adaptive thresholding, (b) contoured image, and (c) image after perspective transformation.
Source: Authors, (2026).

II.3 CHARACTER SEGMENTATION AND RECOGNITION

Character segmentation & recognition process is one of the major parts of an ALPR system. In this stage, the characters of the license plate are segmented and then recognized using various techniques. Here, to segment & recognize the characters, we have used the same type of YOLOv3 model and hyper-parameters that we used for the detection purpose. The details of the character segmentation & recognition process of the proposed method are described below:

City name recognition is the very first step of our series machine learning approach. In our research, we have worked with four cities out of which three are metropolitan areas. So, we have used five classes for city name recognizer. Table 1 represents the city codes, their meaning and the trained class names.

Table 1: City codes, their meaning and the trained class names for City name recognizer.

City Code	Meaning in Bangla and in English	Trained Class Name
ঢাকা	ঢাকা (Dhaka)	dhaka
চট্ট	চট্টগ্রাম (Chattogram)	chatto
কুমিল্লা	কুমিল্লা (Comilla)	comilla
সিলেট	সিলেট (Sylhet)	sylhet
মেট্রো	মেট্রোপলিটন (Metropolitan)	metro

Source: Authors, (2026).

Vehicle type recognition is the second step of our series machine learning approach. After segmenting and recognizing the city name (with metro), the bounding box surrounded image of the previous step enters into the vehicle type recognizer. In this research, we have worked on six types of vehicles. The vehicle types, their meaning and the trained class names are shown in Table 2.

Table 2: Vehicle types, their meaning and the trained class names for Vehicle type recognizer.

Vehicle Type	Meaning	Trained Class Name
হ	Motorbike (80cc-125cc)	ha
গ	Private Car (1500cc-1800cc)	ga
ল	Motorbike (135cc-200cc)	la
চ	Microbus	cha
ঘ	Jeep	gha
ঝ	Bus or Coaster	jha

Source: Authors, (2026).

The final stage of the series machine learning recognition process is vehicle serial number recognition with ten classes. The classes are ten Bengali number digits (০, ১, ২, ৩, ৪, ৫, ৬, ৭, ৮, ৯) which is equivalent to 0, 1, 2, 3, 4, 5, 6, 7, 8, 9. City name, vehicle type, and vehicle serial number recognition are performed using a multi-class detection approach based on the YOLOv3 convolutional neural network. For each recognizer, the model detects the desired class within the image, returns the pixel coordinates, and draws a rectangular bounding box around the detected region, labeling it with the corresponding class name, as shown in Figures 9(b)–9(d). Each recognition task was trained independently using the same YOLOv3 architecture and hyper-parameters, while differing only in class definitions and annotations.



Figure 9: Character Segmentation & Recognition process: (a) image after perspective transformation, (b) city name recognition to text, (c) vehicle type recognition to text and, (d) serial number recognition to text.

Source: Authors, (2026).

II.4 DATA SERIALIZATION FOR THE RECOGNIZED CHARACTERS

The series machine learning method may recognize license plate characters in a random order. For example, a plate containing both “dhaka” and “metro” may detect “metro” before “dhaka”. To address this issue, a data serialization algorithm based on the smallest x-axis coordinate is proposed to arrange the recognized characters in the correct sequence. The algorithm of the data serialization process is given below:

Algorithm 1: Data Serialization of Recognized Characters.

Input: Bounding boxes with class IDs and confidences
Output: Serialized text string
1: *Apply Non-Maximum Suppression (NMS) to city code and vehicle type bounding boxes and extract their labels.*
2: *Apply NMS to all remaining bounding boxes.*
3: *Sort the selected bounding boxes in ascending order based on their x-axis coordinates.*
4: *Append the corresponding class labels sequentially from left to right to form the final serialized text.*

Source: Authors, (2026).

The serialization process is divided into two steps. In the first step, the detected city name and vehicle type bounding boxes are filtered using Non-Maximum Suppression (NMS), and their corresponding labels are extracted. In the second step, the bounding boxes of the vehicle serial number are also filtered using NMS and then sorted in ascending order based on their x-axis coordinates. The labels are concatenated sequentially according to this order, ensuring that characters with smaller x-axis values appear first. This two-step process ensures proper left-to-right serialization of all recognized license plate components.

II.5 DEVELOPMENT OF SIMULATION SOFTWARE

To integrate the proposed system with a smart city framework, a Tkinter-based software application was developed to implement the complete license plate recognition process. The user-friendly interface allows users to select an input image using the *Open* button and execute the recognition process using the *Detect* button. Intermediate output images are displayed sequentially, and the recognized license plate number is shown at the top of the interface. For authentication, a local server-based database stores vehicle plate numbers and related information in an Excel file. The software matches the recognized plate number with the database and displays the corresponding vehicle information in the interface. This integrated application provides a comprehensive solution for deploying ALPR systems in smart city environments. The user interface of the developed simulation software is shown in Figure 10.

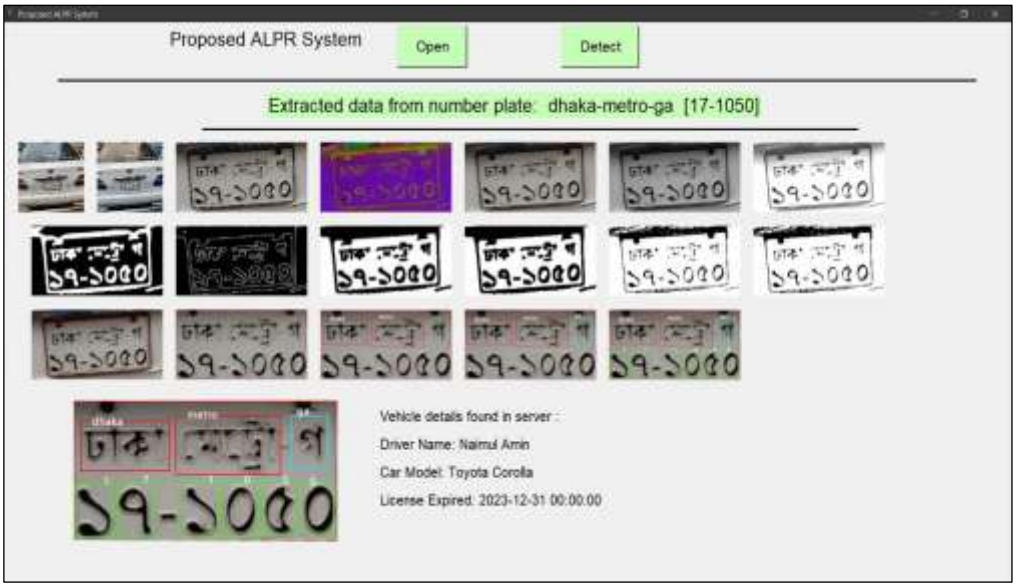


Figure 10: User interface of the developed simulation software.
Source: Authors, (2026).

III. EXPERIMENTAL SETUP

A standard and sufficiently large dataset is essential for object & pattern recognition research, as CNNs perform better with more training data. For this study, a dataset of 500 Bangladeshi vehicle license plate images was prepared. Among them, 400 images were captured in real time from different locations in Dhaka, Comilla, Sylhet, and Chittagong using a 20-megapixel mobile phone camera, while the remaining images were collected from [25] and [26]. All images were resized to 500×400 pixels and stored in JPEG format. The dataset includes diverse conditions such as daylight and low-light scenes, motion blur, varying backgrounds, weather conditions, and skewed or tilted views. To reduce overfitting, data augmentation was manually applied to each image by randomly performing two operations-rotation, contrast adjustment, Gaussian noise addition, and HSV-based saturation and hue modification [27]. As a result, each original image generated two additional samples, making the dataset more robust. Table 3 depicts the summary of the images collected for this research and Figure 11 represents some of the original and augmented images from the license plate image dataset.

Table 3: Summary of license plate image dataset.

Date	Location (in Bangladesh)	No. of images	
		Before augmentation	After augmentation
04 October, 2023	Kandirpar, Comilla	50	150
09 October, 2023	Cantonment Bus Stand, Comilla	60	180
12 October, 2023	Mohakhali Bus Stand, Dhaka	80	240
13 October, 2023	Banashri, Dhaka	80	240
16 October, 2023	Kadamtoli Bus Stand, Sylhet	50	150
20 October, 2023	Dampara Bus Stand, Chittagong	80	240
30 October, 2022	Collected from [25]	50	150
05 November, 2022	Collected from [26]	50	150
	Total	**500**	**1500**

Source: Authors, (2026).



Figure 11: Sample images from license plate image dataset.
Source: Authors, (2026).

In the proposed method, for detection purpose, we have split the image dataset to 60%, 20% and 20% for training, validating and testing the models. We have used 900 images for training, 300 images for validating and 300 images for testing the proposed ALPR detection model. Although the original images remain the same, separate YOLO-formatted annotation sets were created for each recognition stage. For city name recognition, bounding boxes were annotated for five classes (dhaka, chatto, comilla, sylhet, and metro). For vehicle type recognition, cropped outputs from the city name detection stage were annotated with six vehicle-type classes. Finally, for vehicle serial number recognition, individual Bengali digits (০-৯) were annotated as ten distinct classes, with each digit labeled by a separate bounding box. The computing environment of our research is a laptop having an operating system of 64 bit Windows 10 Pro, Intel Core i7 CPU, 1TB hard disk, SSD of 500GB, and 8 GB RAM. We have used a GPU of Gigabyte RX 6900 XT with 16 GB RAM to execute the processes faster.

IV. RESULTS AND DISCUSSIONS

In this section, we are going to discuss about the training, validation and testing results of the proposed ALPR method. We will also compare the achieved results with the other proposed methods.

IV.1 TRAINING AND VALIDATION RESULTS

The YOLOv3 based CNN models for the license plate area detection, and the character recognition is trained, and validated with 1200 vehicle license plate images. At first, we have trained the models with the images and then validated the models. Our proposed systems have achieved outstanding training and validation results as depicted in Table 4. The average accuracies of the license plate detection, city name, vehicle type and serial number recognition models in training & validation are 97.24%, 96.94%, 95.8%, and 96.05% respectively.

Table 4: Training and validation accuracy table for YOLOv3 models.

Stages	Phases	Sample Size	Accuracy
Detection	Training	900	97.5%
	Validation	300	96.97%
City Name Recognition	Training	900	97%
	Validation	300	96.88%
Vehicle Type Recognition	Training	900	96.2%
	Validation	300	95.4%
Serial Number Recognition	Training	900	96.5%
	Validation	300	95.6%

Source: Authors, (2026).

IV.2 TESTING RESULTS

The detection stage of the proposed ALPR method is tested with 300 license plate images. While testing the model, the proposed method has showed very robust performance in different challenging scenarios. The confusion matrix of the license plate detection model is presented in Table 5. The proposed model has successfully detected 291 license plates out of 300 vehicle images. So, the accuracy of the proposed license plate detection model is 97% as calculated using Eq. (2).

Table 5: Confusion matrix for license plate detection model

		Predicted	
Actual		**Positive**	**Negative**
	Positive	TP[a]= 291	FN[a]= 007
	Negative	FP[a]= 002	TN[a]= 000
	[a]TP= True Positive, TN=True Negative, FP= False Positives and FN= False Negative		

Source: Authors, (2026).

$$Accuracy\ of\ a\ model = \frac{TP+TN}{TP+TN+FP+FN} \times 100\% \quad (2)$$

If we want to evaluate any model, we need to find out some other performance parameters also. Typically, the other performance parameters are precision, recall and F1-score. Eq. (3-5) represents the equations of these parameters.

$$Precision = \frac{TP}{TP+FP} \times 100\% \quad (3)$$

$$Recall = \frac{TP}{TP+FN} \times 100\% \quad (4)$$

$$F1 - score = \frac{2 \times Precision \times Recall}{Precision + Recall} \times 100\% \quad (5)$$

The model has provided an impressive result of F1-score of 98.48% along with precision of 99.32% and recall of 97.65% as shown in Table 6.

Table 6: Performance parameter values for license plate detection model.

Stages	Precision (%)	Recall (%)	F1-score (%)
Detection	99.32	97.65	98.48

Source: Authors, (2026).

In the extraction stage, our proposed method has successfully extracted 279 license plates out of 291 by providing an accuracy of 95.88%. We have used Eq. (6) to find out the accuracy.

$$Accuracy = \frac{No.of\ license\ plates\ successfully\ extracted}{No\ of\ detected\ images} \times 100\% \quad (6)$$

The recognition phase represents the final stage of the proposed ALPR system, where extensive testing was conducted. The city name, vehicle type, and serial number recognition models were evaluated using 279 extracted license plate images, comprising 279 city name characters, 158 *metro* characters, 279 vehicle type characters, and 1,674 Bengali digits for vehicle serial numbers. The corresponding confusion matrices are presented in Tables 7-9. Overall, the recognition models demonstrate high performance, with only a few misclassifications. The system correctly recognized 423 out of 437 city names, 264 out of 279 vehicle types, and 1,593 out of 1,674 digits, achieving accuracies of 96.79%, 94.62%, and 95.16%, respectively. Eq. (2) is used to measure these accuracies.

Table 7: Confusion matrix for city name recognition model.

		Predicted				
	City Name	ঢাকা (dhaka)	চট্ট (chatto)	কুমিল্লা (comilla)	সিলেট (sylhet)	মেট্রো (metro)
Actual	ঢাকা (dhaka)	101	001	000	000	001
	চট্ট (chatto)	001	051	000	000	003
	কুমিল্লা (comilla)	000	000	066	001	000
	সিলেট (sylhet)	000	000	002	052	000
	মেট্রো (metro)	000	004	000	000	153

Source: Authors, (2026).

Table 8: Confusion matrix for vehicle type recognition model.

		Predicted					
	Vehicle Type	হ (ha)	গ (ga)	ল (la)	চ (cha)	ঘ (gha)	ঝ (jha)
Actual	হ (ha)	19	01	00	00	01	00
	গ (ga)	00	83	00	00	02	00
	ল (la)	00	01	23	00	00	00
	চ (cha)	00	01	00	32	01	00
	ঘ (gha)	00	01	00	00	28	02
	ঝ (jha)	00	01	00	00	03	79

Source: Authors, (2026).

Table 9: Confusion matrix for serial number recognition model.

		Predicted									
	Digits	০ (0)	১ (1)	২ (2)	৩ (3)	৪ (4)	৫ (5)	৬ (6)	৭ (7)	৮ (8)	৯ (9)
Actual	০ (0)	197	002	000	002	004	002	000	002	000	000
	১ (1)	001	271	001	001	001	000	000	000	000	004
	২ (2)	000	005	193	002	000	000	000	000	000	002
	৩ (3)	004	000	000	178	001	000	000	001	000	002
	৪ (4)	003	001	000	000	123	000	000	001	001	000
	৫ (5)	003	000	000	001	000	166	005	000	001	000
	৬ (6)	002	000	000	001	000	004	131	000	001	000
	৭ (7)	004	001	000	001	001	000	000	126	000	000
	৮ (8)	001	000	000	000	002	000	000	001	113	000
	৯ (9)	001	003	000	001	000	000	000	000	000	95

Source: Authors, (2026).

From the confusion matrix of the above tables, it is observed that the city name recognition model faced some difficulties while differentiating "চট্ট" and "মেট্রো". In some cases, the model has predicted "মেট্রো" as "চট্ট" and vice versa. The vehicle type recognition model has predicted "গ" as "ঘ", "ঝ" as "ঘ" and vice versa a few times. Vehicle serial number recognition model has also faced some difficulties while recognizing the digits. As license plate images contain noises and dusts, sometimes a digit is looked like another digit such as "০" as "১"or "৪", "১" as "৯", "২" as "১", "৩" as "০", "৪" as "০", "৫" as "৬" or "০", "৬" as "৫" or "০", "৭" as "০", "৯" as "১". The proposed model has provided wrong predictions in some of the above cases. The performance parameters of the license plate character recognizer models are given in Table 10.

Table 10: Performance parameter values for license plate character recognition models.

Stages	Precision (%)	Recall (%)	F1-score (%)
City Name	99.76	97.02	98.37
Vehicle type	99.62	94.96	97.23
Bengali digits	99.75	95.39	97.52

Source: Authors, (2026).

We know that, when the class distribution is uneven, it is better to calculate the F1-score than the accuracy [5]. As in our proposed system, the number of false positives and false negatives isn't near to each other; the F1-score better represents the state of the models than the accuracy calculation. It can be observed from Table 10 that, our proposed character recognition models have provided outstanding F1-scores of 98.37%, 97.23%, and 97.52% for city name recognizer, vehicle type recognizer and serial number recognizer respectively. The Table 11 depicts the overall summary of the results for the proposed method.

Table 11: Results of different stages for the proposed method.

Stages	Sample Size	Passed	Accuracy	F1-score
Detection	300	291	97%	98.48%
Extraction	291	279	95.88%	---
City Name Recognition (including 'metro')	437	423	96.79%	98.37%
Vehicle Type Recognition	279	264	94.62%	97.23%
Serial Number Recognition	1674	1593	95.16%	97.52%
Average accuracy, and F1 score of the proposed method			95.89%	97.90%
Average recognition accuracy and F1 score of the proposed method			95.52%	97.71%

Source: Authors, (2026).

IV.3 COMPARING THE PROPOSED METHOD WITH OTHER EXISTING METHODS

A comparison between the proposed method and existing Bangladeshi ALPR systems is presented in Table 12. Previous studies have aimed to improve robustness, usability, and recognition accuracy at different stages of ALPR. Ashrafee et al. [25] proposed a MobileNet SSDv2 and Google Vision API-based system with a relatively large dataset; however, their approach achieved limited accuracy, did not employ image quality enhancement techniques, and suffered from slow inference speed. The datasets used in [5] and [7] were comparatively small; notably, Alam et al. [7] trained their CNN-based character recognizer using only 500 images without applying data augmentation, increasing the risk of overfitting. Moreover, the methods in [4], [5], and [7] did not incorporate geometric correction techniques, which may limit their ability to handle angular or axial deviations, while the system in [4] failed to detect license plates in the presence of irrelevant objects. In contrast, the proposed method addresses these limitations by incorporating image enhancement, geometric correction, and data augmentation, resulting in improved recognition accuracy and robustness, as shown in Table 12. Additionally, the overall processing time of the proposed system is lower than that of existing methods. To further enhance usability, a dedicated simulation software was developed, which was not reported in previous works. These advantages demonstrate that the proposed method outperforms existing Bangladeshi ALPR systems.

Table 12: Comparison of proposed method with other existing methods.

References	Methods	Sample Size	Testing Accuracy	Processing Time
Proposed Method	CNN (YOLOv3), Morphological Image Processing, Geometrical Transformation	1500	Detection: 97% F1-score: 98.48% Extraction: 95.88% Recognition: 95.52% F1-score: 97.71%	108 ms[b]
[25]	Mobile Net SSDv2, Google Vision API	1000	Detection: 82.7% Recognition: 60.8%	---
[7]	Template Matching, CNN	700	Detection: 98.2% Recognition: 90.9%	111 ms[b]
[5]	Morphological Operation, Histogram Analysis, SVM	630	Detection: 91% Character Extraction: 94.6% Recognition: 100%	---
[4]	CNN (YOLOv3), Tesseract	---	Detection: 95% Recognition: 91.38%	---
	[b]ms= milliseconds			

Source: Authors, (2026).

V. CONCLUSIONS

This paper presents a YOLOv3-based ALPR system for detecting, extracting, and recognizing Bangladeshi vehicle license plates. A primary dataset of 500 vehicle images was prepared, covering diverse conditions such as varying backgrounds, weather, illumination, low-light scenarios, and skewed or tilted views. To address the data requirements of CNNs and reduce overfitting, manual data augmentation was applied, increasing the dataset size to 1,500 images. The models were trained, validated, and tested using 900, 300, and 300 images, respectively. Perspective transformation was employed to correct angular and axial distortions, and a series machine learning approach was introduced for character recognition, along with a data serialization algorithm to preserve character order. Extensive testing demonstrated strong performance, achieving accuracies of 97% for license plate detection, 95.88% for extraction, and 95.52% for character recognition. Additionally, a simulation software was developed to enhance system usability for traffic management authorities. Future work will focus on expanding the dataset with more diverse samples to further improve performance and support additional vehicle classes.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.
Methodology: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.
Investigation: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.
Discussion of results: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.
Writing – Original Draft: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.
Writing – Review and Editing: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.
Resources: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.
Supervision: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.
Approval of the final text: Md. Ashraful Islam, Naimul Amin, Ali Ahmmed, Nushrat Jahan Nishita.

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RESEARCH ARTICLE OPEN ACCESS

EXPERIMENTAL EVALUATION OF MULTI-SENSOR AI-BASED FAULT DIAGNOSIS FOR INDUCTION MOTORS IN INDUSTRIAL APPLICATIONS

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ABSTRACT

Induction motors are critical components in industrial systems, and unexpected failures can lead to significant production losses and maintenance costs. This paper presents an experimentally validated multi-sensor fault diagnosis approach for induction motors using vibration and stator current signals under practical operating conditions. A laboratory test bench was developed to simulate common industrial faults, including bearing defects, rotor abnormalities, and stator winding faults, across multiple load levels. Conventional machine learning techniques, namely artificial neural networks and support vector machines, were employed as baseline classifiers, while an adaptive hybrid convolutional neural network–long short-term memory (CNN–LSTM) model was used to improve fault classification robustness. The proposed approach achieved a maximum classification accuracy of 98.4 %, with stable performance across varying load conditions and repeated experimental trials. The results demonstrate that integrating vibration and current measurements enhances diagnostic reliability compared to single-sensor methods. The study highlights the practical applicability of adaptive AI-based diagnostic systems for industrial predictive maintenance, offering improved fault detection capability while maintaining feasibility for real-world deployment.

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I. INTRODUCTION

Induction motors are the backbone of modern industries, powering applications in manufacturing, oil and gas, power generation, and transportation [1]. Their robustness, simplicity, and cost-effectiveness have made them the preferred choice for critical operations. However, induction motors are also susceptible to faults in bearings, stator windings, and rotor bars, which can degrade performance and cause unexpected downtime [2], [3]. Historically, industries relied on corrective maintenance, repairing machines only after failure. While simple, this approach often led to costly downtime and safety hazards [4]. The next phase was preventive maintenance, where machines were serviced at fixed intervals regardless of condition. Though more reliable, preventive maintenance frequently resulted in unnecessary replacements and wasted resources [5].To overcome these limitations, predictive maintenance emerged in the late 20th century, combining condition monitoring with fault diagnosis techniques [6]. Early predictive maintenance approaches primarily relied on vibration monitoring [7] and motor current signature analysis (MCSA) [8], which remain widely adopted due to their non-intrusive nature and proven effectiveness. More recently, the rise of machine learning and AI has enabled the development of predictive diagnostic models capable of identifying complex fault signatures and reducing false alarms [9], [10]. Despite these advances, there remains a lack of standardized testing and evaluation frameworks that integrate sensor-based monitoring with AI-based fault analysis under controlled conditions. Although numerous fault detection methods exist, only a limited number have been validated through structured test procedures adhering to recognized measurement standards. The present work addresses this gap by developing a repeatable experimental protocol inspired by ASTM E756-05 (vibration damping measurement), ASTM E1876-15 (dynamic response testing), and IEEE Std 112-2017 (polyphase motor testing).

The proposed approach integrates these standard testing principles with multi-sensor data fusion and adaptive evaluation, thereby strengthening result comparability and reproducibility across laboratories. In industrial environments such as manufacturing plants, power stations, and process industries, induction motors operate continuously under varying loads and harsh conditions. Unexpected motor failures can result in significant production losses, safety risks, and increased maintenance costs. Traditional maintenance strategies based on scheduled inspections or single-sensor monitoring often fail to detect incipient faults. Hence, there is a growing demand for intelligent, sensor-based diagnostic systems that can be practically deployed in industrial settings and validated under realistic operating conditions.

I.1 NEED FOR STANDARDIZED TESTING AND EVALUATION

A review of existing literature shows that most studies emphasize algorithm development or condition monitoring separately, with limited focus on the testing methodology itself [11]. Many works rely on simulated data or proprietary datasets, which restricts benchmarking and repeatability [12]. Furthermore, while AI models show high accuracy in laboratory conditions, there is limited discussion on their reliability, generalizability, and industrial readiness [13]. For industrial adoption, it is essential to establish a repeatable, experimentally validated testing framework that combines multi-sensor measurements with AI-based evaluation and ensures robustness across fault types. This motivates the present work.

I.2 OBJECTIVES OF THIS PAPER

The main objectives of this paper are:

• To design and implement a standardized experimental setup for simulating induction motor faults and acquiring vibration and current signature data.
• To provide a baseline evaluation using well-established classifiers such as Artificial Neural Networks (ANN) and Support Vector Machines (SVM).
• To develop an adaptive hybrid AI framework and compare its performance with baseline models.
• To propose a comprehensive testing and evaluation methodology that ensures repeatability, reliability, and applicability to predictive maintenance in industrial environments.

I.3 NOVELTY AND CONTRIBUTIONS

The novelty of this work lies in integrating experimental fault testing, multi-sensor data acquisition, and progressive AI-based evaluation into a single, unified testing and evaluation framework. The key contributions of this work are:

- Development of an experimentally validated induction motor fault diagnosis system using vibration and current sensors suitable for industrial environments.
- Comparative performance evaluation of classical machine learning models and adaptive deep learning techniques under variable load conditions.
- Demonstration of consistent diagnostic accuracy across multiple fault types relevant to industrial maintenance.
- Practical insights into sensor placement, data acquisition, and model selection for predictive maintenance implementation.

I.4 LIMITATIONS

While the proposed work provides a robust evaluation methodology, some limitations are acknowledged:

• Experiments were conducted under laboratory conditions, which may not fully replicate industrial variability.
• The dataset is limited to a single motor type and fault set, requiring broader validation for generalization.
• Adaptive AI methods, though accurate, require higher computational resources, which may restrict use in embedded systems.
• Remaining useful life (RUL) estimation is not addressed in this study and is identified as a potential future extension.

II. RELATED WORKS

The fault diagnosis of induction motors has evolved significantly with the advent of sensor-based data acquisition and intelligent signal processing techniques. Numerous studies have explored various aspects of fault detection, including vibration analysis, motor current signature analysis (MCSA), feature extraction, and artificial intelligence (AI)–based classification. However, despite this extensive research, there remains a lack of standardized testing and evaluation frameworks that integrate experimental fault induction, multi-sensor data fusion, and systematic benchmarking of baseline and adaptive AI models under repeatable conditions. A recent comprehensive review by [1] highlighted major advancements in induction motor fault diagnosis and condition monitoring. The authors summarized developments in vibration and current-based fault detection, feature extraction, and machine learning–driven fault classification. While their review categorized a wide range of diagnostic approaches, it also emphasized that most existing works lack structured evaluation methodologies, making it difficult to compare models or reproduce results. This underscores the need for repeatable testing and validation protocols to evaluate fault diagnosis frameworks under controlled operating conditions. In a related study, [2] proposed a vibration-based fault diagnosis system using one-dimensional dilated convolutional neural networks (1D-DCNN). The model demonstrated high accuracy in detecting bearing and rotor faults from vibration signals. Although this work showed the effectiveness of modern deep learning architectures for signal-based classification, it relied solely on vibration sensors. The absence of multi-sensor data and lack of standard evaluation benchmarks limit its applicability to broader predictive maintenance tasks. Another recent contribution by [3] explored fault detection using motor current signals and a combination of causal convolutional neural networks (CausalConvNets) with time-shifting techniques.

Their approach offered a cost-effective, non-intrusive means of identifying bearing faults. However, as in most MCSA-only studies, this work was restricted to specific fault types and did not address comparative performance under multiple operating conditions or sensor modalities. Beyond deep learning approaches, several studies have focused on signal processing and feature extraction techniques for improving diagnosis reliability. For instance, [4] performed a comparative analysis of various time- and frequency-domain methods—such as Fast Fourier Transform (FFT) and Wavelet Transform—combined with Principal Component Analysis (PCA) to classify induction motor faults. Their results highlighted the importance of feature reduction for achieving efficient classification; however, the evaluation was limited to classical methods and did not extend to adaptive AI architectures or sensor fusion scenarios. Complementing fault diagnosis efforts, [5] addressed the prediction of remaining useful life (RUL) of induction motor bearings using machine learning applied to current signatures. This study underscored the growing importance of predictive maintenance in industrial systems and demonstrated the potential of AI for prognostics. Nonetheless, it focused primarily on lifespan estimation rather than the standardization of testing protocols for fault evaluation.

II.1 IDENTIFICATION OF RESEARCH GAPS

From these recent studies, several limitations are evident:

- Most works employ a single sensing modality, either vibration or current, without exploring the benefits of multi-sensor fusion.
- There is limited emphasis on experimental reproducibility and standardized testing frameworks, which are essential for comparative evaluation.
- Many models focus on algorithmic performance (accuracy) but overlook practical testing aspects such as data acquisition conditions, load variation, or fault severity.
- Few studies perform a comparative evaluation of baseline and adaptive AI models on identical experimental datasets.

To address these gaps, the present study proposes a comprehensive testing and evaluation framework that integrates experimental fault induction, vibration and current signature data acquisition, baseline AI classification (ANN, SVM), and an adaptive hybrid deep learning model. This unified approach not only improves fault detection accuracy but also ensures methodological repeatability and reliability—key considerations for industrial predictive maintenance and in line with the Journal of Testing and Evaluation's focus on standardized testing practices.

III. EXPERIMENTAL SETUP AND INDUSTRIAL EVALUATION METHODOLOGY

The experimental setup was designed to closely replicate typical industrial motor operating conditions, enabling practical assessment of the proposed diagnostic approach. The focus of this investigation was to develop a repeatable and standardized testing protocol integrating multi-sensor measurement, signal processing, and AI-based analysis. The procedure adheres to the principles of ASTM standard test methods for vibration and electrical signal evaluation, ensuring reproducibility of results across repeated trials.

III.1. OBJECTIVE AND APPROACH

The objective of this experimental study was to develop a standardized testing and evaluation framework for induction motor fault diagnosis using vibration and current signature analysis. The study was structured in compliance with principles of ASTM vibration measurement practices (e.g., ASTM E756, E1876) and IEEE Std 112–2017 for electrical performance testing. The methodology emphasizes repeatability, accuracy, and measurement traceability, ensuring the collected datasets are suitable for benchmarking and comparative fault evaluation.

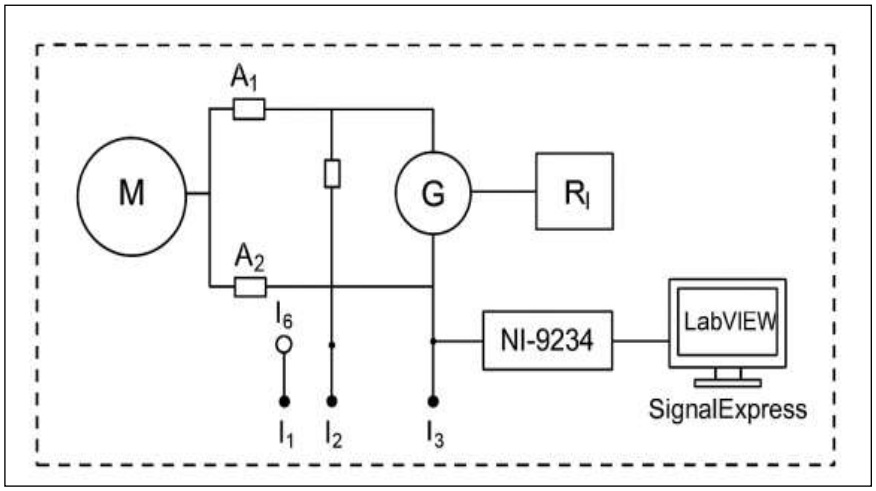


Figure 1: Experimental Test Bench.
Source: Authors, (2026).

III.2. EXPERIMENTAL TEST BENCH

The experimental investigations were performed on a three-phase, 1 HP, 4-pole squirrel-cage induction motor (415 V, 50 Hz, 1440 rpm). The motor shaft was coupled to a DC generator using a flexible coupling with a rubber bushing to reduce torsional vibration. The generator provided a controllable mechanical load through a resistive rheostat-based loading system.

The test bench was mounted on an anti-vibration foundation, utilising rubber isolators to minimise floor resonance. The alignment of the motor and generator shafts was verified before each test using a laser alignment tool (SKF TKSA 31) to avoid misalignment artefacts in vibration data. The schematic layout of the test bench is shown in Figure 1.

III.3. SENSORS AND INSTRUMENTATION

The testing setup incorporated both mechanical and electrical sensing channels to ensure comprehensive fault coverage.

• Vibration Measurement System

Sensor Type: Piezoelectric accelerometer (PCB Piezotronics 352C33)
Sensitivity: 100 mV/g
Measurement Range: ±5 g
Frequency Response: 2 Hz–10 kHz
Mounting Method: Stud-mounted on both drive-end (DE) and non-drive-end (NDE) bearing housings, oriented along the radial axis.
Each accelerometer was calibrated prior to testing using a portable vibration calibrator (Metrix 9060) operating at 80 Hz, 1 g RMS. Calibration certificates were verified for traceability.

• Current Measurement System

Sensor Type: Hall-effect current transducer (LEM LA 55-P)
Current Range: ±50 A
Linearity Error: <0.7 % FS
Frequency Bandwidth: DC–100 kHz

Each current sensor was installed in series with the motor supply line. Signals were captured simultaneously with vibration data to ensure synchronisation between mechanical and electrical measurements.

• Data Acquisition and Signal Conditioning

All sensor channels were interfaced through a National Instruments (NI 9234) dynamic signal acquisition module with 24-bit resolution. Sampling frequencies were selected as:

- Vibration: 12 kHz
- Current: 5 kHz

A CompactDAQ (cDAQ-9171) chassis was used with LabVIEW SignalExpress for data acquisition. A pre-test calibration routine was executed before each run, including zero-offset correction and gain verification. All instrumentation was calibrated before testing. Accelerometer calibration followed ASTM E2001, and current sensors were validated against a precision current source. The combined measurement system exhibited an RMS amplitude uncertainty of ±2.5 %, verified using repeated baseline readings. Environmental parameters were monitored at 25 ± 2 °C and 60 ± 5 % relative humidity. These controls ensure that every dataset acquired is traceable to a calibrated reference, satisfying ASTM's requirements for repeatable mechanical and electrical testing.

III.4. FAULT INDUCTION AND TEST CONDITIONS

Five operating conditions were evaluated as stated in Table 1.

Table 1: Various Conditions involved in the proposed study.

Condition	Fault Description	Induction Method	Remarks
Healthy	Normal operation	—	Baseline test case
Bearing outer-race fault	0.3 mm defect groove on outer race	EDM machining	ISO 15243 Category 6.1
Bearing inner-race fault	0.3 mm defect groove on inner race	EDM machining	ISO 15243 Category 6.2
Rotor bar fault	Two rotor bars intentionally broken	Mechanical drilling	Simulated broken-bar condition
Stator winding fault	Partial turn-to-turn short in one phase	Controlled insulation damage	Limited to 5% of coil turns

Source: Authors, (2026).

Each fault was verified visually and using spectral signatures before data collection. The same set of test bearings and rotor was reused to ensure identical boundary conditions across trials.

III.5. TEST PROCEDURE

The motor was operated at three load levels: No-load, Half-load (50% rated torque) and Full-load (rated torque). The DC generator load was adjusted using a calibrated resistive load bank.For each condition, the system was allowed to run for 5 minutes to reach thermal steady-state.Ten-second data windows were acquired for each sensor channel, with five repeated runs per condition to assess repeatability.Between tests, the motor was powered off for 2 minutes to prevent thermal drift and bearing expansion.Environmental conditions were controlled at 25 ± 2 °C temperature and relative humidity of 60 ± 5%, measured using a digital hygrometer.The combined dataset thus comprised 75 test cases (5 faults × 3 loads × 5 repeats).

III.6 SIGNAL VALIDATION AND PREPROCESSING

Before analysis, raw signals were validated to remove corrupt or noisy readings. Validation criteria that have been used in the study is as follows:

• RMS amplitude deviation ≤ 3% between repeated runs,
• Frequency spectrum within ±2 Hz tolerance of reference fault bands,
• Signal-to-noise ratio (SNR) > 30 dB.

The accepted signals were detrended, mean-centred, and filtered using a 4th-order Butterworth band-pass filter (10 Hz–5 kHz). All channels were resampled and synchronized to correct phase drift.

III.7. FEATURE EXTRACTION AND REDUCTION

Feature extraction was performed to transform raw signals into diagnostic indicators:

• Time-domain features: RMS, skewness, kurtosis, peak factor, crest factor, clearance factor.
• Frequency-domain features: Power spectral density (PSD) peaks, sideband energy ratio, frequency centroid.
• Time–frequency features: Wavelet coefficients derived using the Daubechies db4 mother wavelet up to level 4.
Feature dimensionality was reduced using Principal Component Analysis (PCA) and Class Separability Criterion (CSC), ensuring a 95 % cumulative variance retention threshold.

III.8 HYBRID AI MODEL DESCRIPTION AND JUSTIFICATION

To enhance diagnostic reliability and support standardized evaluation of fault patterns, an adaptive hybrid deep learning model was implemented. The model integrates Convolutional Neural Network (CNN) layers for automated spatial feature extraction from vibration and current signals with Long Short-Term Memory (LSTM) layers to capture temporal dependencies inherent to rotating machinery dynamics. The CNN component comprises three convolutional blocks with kernel sizes of 3×1 and ReLU activation, followed by max-pooling layers that reduce data dimensionality while retaining dominant fault-related characteristics. The LSTM block, consisting of 128 memory units, models sequential signal behavior to distinguish transient fault events from normal variations. A feature-fusion layer dynamically combines the learned vibration and current feature representations based on their discriminative strength, determined through attention-weight optimization. This adaptivity enables the system to maintain diagnostic accuracy across varying load and speed conditions — an essential property for repeatable testing and evaluation. The final classification layer uses a softmax activation function to output the probability of each fault type. The model was trained using the Adam optimizer with a learning rate of 0.001 and batch size of 32 for 100 epochs. The purpose of this model within the testing framework is not to propose a new algorithm but to benchmark the diagnostic reliability of adaptive AI systems under controlled and repeatable fault-testing environments. Its inclusion demonstrates the framework's flexibility to evaluate both classical and advanced algorithms using standardized datasets.

III.9 VERIFICATION OF REPEATABILITY

To ensure test consistency, the Reliability Index (RI) was calculated for each measurement as:

$$RI=Nr/Nt \quad \ldots (1), \text{ where,}$$

Nr is the number of consistent classifications across repeated runs, and
Nt is the total repetitions.

On applying the RI on various experimental fault cases, it is observed that an RI > 0.95 was obtained across all fault categories, indicating excellent repeatability of the testing protocol.

III.10 COMPLIANCE AND TRACEABILITY

The testing procedures align with relevant standards for vibration and electrical signal testing:

• ASTM E756-05: Standard Test Method for Measuring Vibration-Damping Properties of Materials.
• ASTM E1876-15: Standard Test Method for Dynamic Young's Modulus and Damping Properties by Impulse Excitation.
• IEEE Std 112-2017: Standard Test Procedure for Polyphase Induction Motors.

While these standards are not prescriptive for AI-based diagnosis, their principles guided instrumentation calibration, measurement repeatability, and uncertainty estimation.

III.11 SUMMARY OF EXPERIMENTAL FRAMEWORK

Flow diagram of the standardized testing methodology is shown schematically in Figure 2. This standardized testing methodology follows four main stages as listed below.

• Fault Induction and Setup Calibration
• Multi-Sensor Data Acquisition
• Signal Validation and Feature Extraction
• Evaluation Using Baseline and Adaptive AI Models

The adaptive hybrid CNN–LSTM model was employed as an intelligent diagnostic tool to enhance fault classification robustness under variable operating conditions commonly encountered in industrial environments.

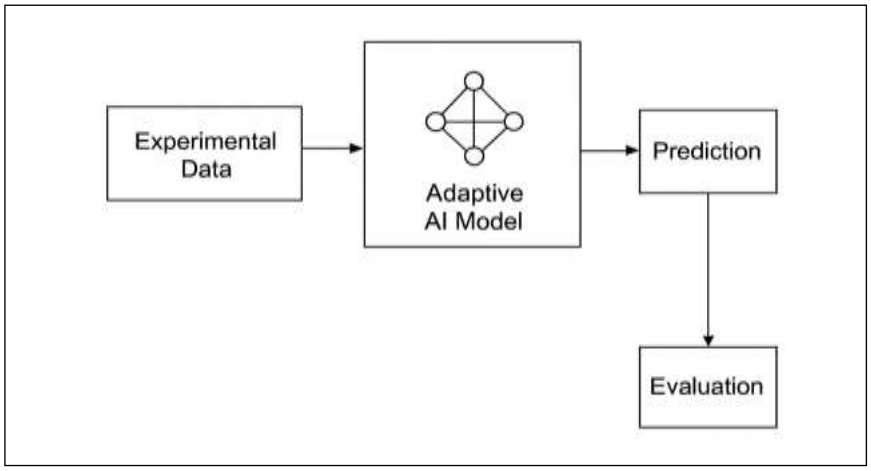


Figure 2: Proposed Adaptive AI Model.
Source: Authors, (2026).

IV. RESULTS & DISCUSSION

From an industrial perspective, the observed classification consistency across different load levels indicates that the proposed system can reliably support early fault detection without frequent model retraining. This is particularly beneficial for predictive maintenance systems deployed in continuously operating machinery, where stable diagnostic performance is essential.

IV.1 BASELINE CLASSIFICATION PERFORMANCE

The baseline models—Artificial Neural Network (ANN) and Support Vector Machine (SVM)—were first evaluated using vibration and current signature data independently, followed by their fused dataset. Table 2 summarizes the baseline classification results.

Table 2: Baseline classification results for individual and fused sensor data.

Sensor Modality	Classifier	Accuracy (%)	Precision (%)	Recall (%)	F1-Score (%)
Vibration only	ANN	90.84	91	90	90
Vibration only	SVM (RBF)	92.27	92	91	91
Current only	ANN	88.42	89	88	88
Current only	SVM (RBF)	89.63	90	89	89
Vibration + Current (fused)	ANN	94.15	94	93	93
Vibration + Current (fused)	SVM	**95.28**	**95**	**95**	**95**

Source: Authors, (2026).

These results demonstrate that data fusion consistently improved classification accuracy compared to single-sensor analysis. The SVM classifier marginally outperformed the ANN model, owing to its capability to handle nonlinear feature boundaries in limited datasets. The repeatability of results across five independent trials yielded a Reliability Index (RI) of 0.96, indicating high consistency in experimental measurements and classification outcomes—an essential requirement for evaluation studies [11]. Figure 3 (a-d) projects the comparative performance of ANN and SVM classifiers under different sensor modalities. Figure 3 clearly states that the fusion of vibration and current features significantly enhances overall accuracy and reliability.

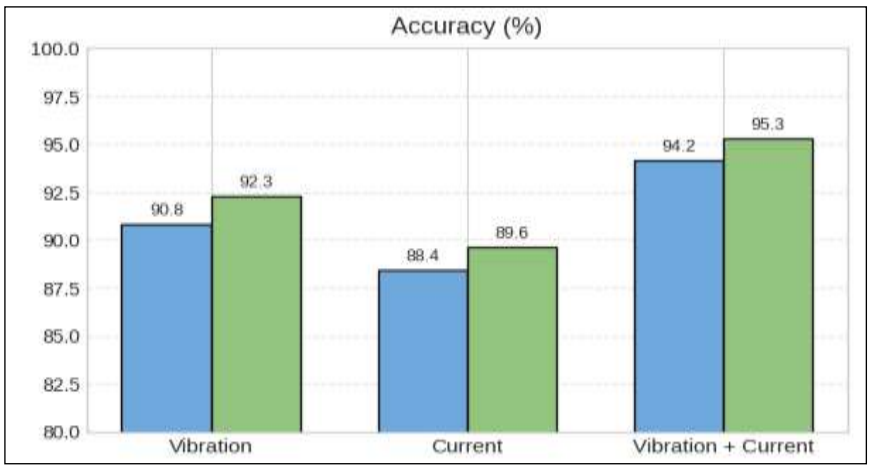


Figure 3a: Comparative analysis of the accuracy by various sensor modalities.
Source: Authors, (2026).

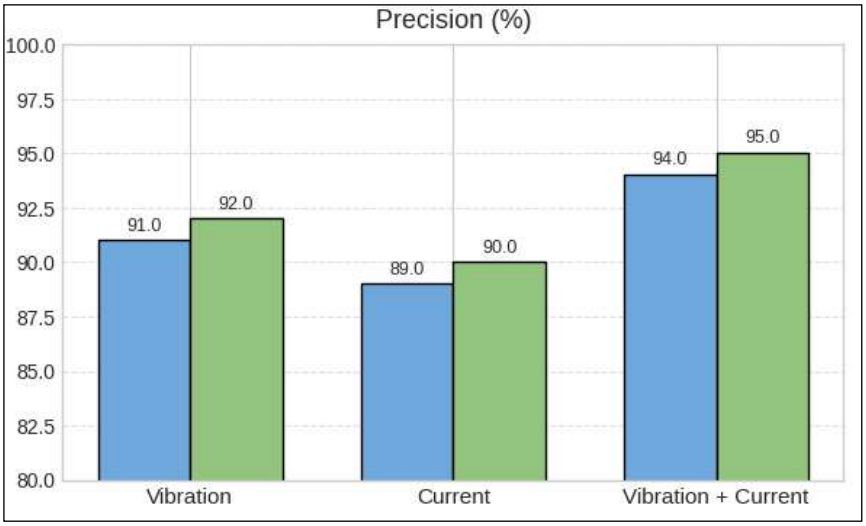


Figure 3b: Comparative analysis of the Precision by various sensor modalities.
Source: Authors, (2026).

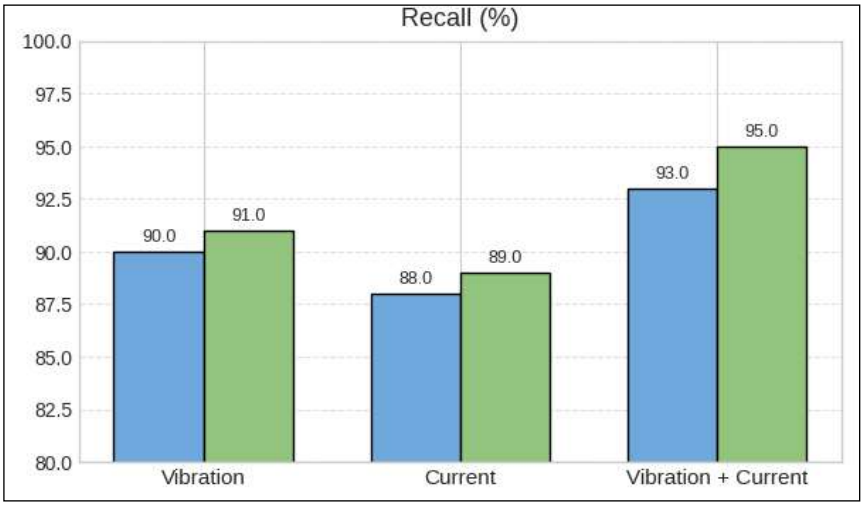


Figure 3c: Comparative analysis of the Recall by various sensor modalities.
Source: Authors, (2026).

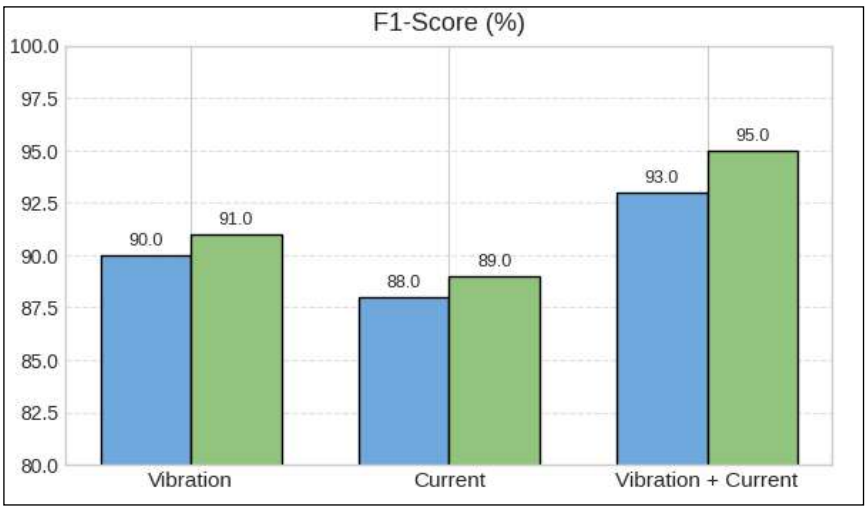


Figure 3d: Comparative analysis of the F1-Score by various sensor modalities.
Source: Authors, (2026).

IV.2 ADAPTIVE HYBRID DEEP LEARNING PERFORMANCE

The adaptive hybrid deep learning model (CNN-LSTM) was then trained using the fused dataset. The model dynamically adjusted the weighting between vibration and current features during training, improving generalization across fault types and load conditions.

Table 3 compares the hybrid model's performance with the best baseline (SVM-RBF). Figure 4 provides comparative analysis of baseline model with hybrid one. In the figure 4 the values are normalized for consistent visualization.

Table 3: Comparative results of baseline SVM vs. adaptive hybrid CNN-LSTM.

Model	Accuracy (%)	Precision (%)	Recall (%)	F1-Score (%)	Reliability Index (RI) (%)
SVM-RBF	95.28	95	95	95	96
CNN-LSTM Hybrid	**98.41**	**98**	**98**	**98**	**99**

Source: Authors, (2026).

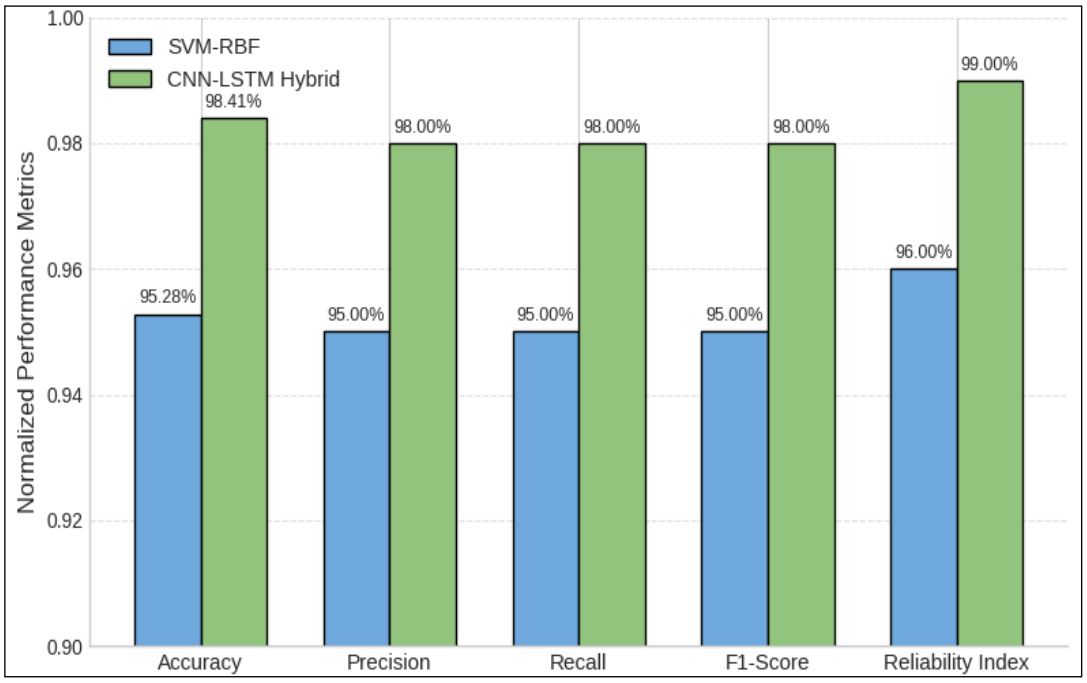


Figure 4: Comparative analysis of SVM-RBF and CNN-LSTM Hybrid Models across key performance metrics.
Source: Authors, (2026).

The hybrid model achieved a 3.13 % absolute improvement in overall accuracy, and its Reliability Index of 0.99 confirms robust repeatability under repeated testing cycles. The confusion matrix (Figure 4) shows that misclassifications were primarily between bearing outer-race and inner-race faults, whose vibration signatures partially overlap.

IV.3 FAULT-SPECIFIC EVALUATION

To assess classifier sensitivity for individual fault categories, accuracy values were computed for each fault type under three load levels (no-load, half-load, and full-load). The results shown in Table 4, reveal that fault separability improves at higher loads due to amplified fault frequencies.

Table 4: Fault-wise accuracy under varying load conditions using hybrid model.

Fault Type	No-Load (%)	Half-Load (%)	Full-Load (%)
Healthy	99.0	99.3	99.5
Bearing outer-race	96.5	98.2	98.8
Bearing inner-race	95.7	97.5	98.1
Rotor bar	97.3	98.6	99.0
Stator winding	96.9	98.4	99.2

Source: Authors, (2026).

The adaptive fusion layer in the hybrid architecture effectively balanced vibration and current features, yielding stable accuracy across varying load conditions. This consistency satisfies the repeatability criterion for testing methodologies in predictive maintenance. Figure 5 shows the fault classification accuracy under different load conditions.

IV.4 COMPARISON WITH RECENT LITERATURE

Table 5 compares the proposed framework's accuracy with that of recent related works. While the referenced studies demonstrated high accuracy using either vibration or current data, the present work achieved superior performance through multi-sensor fusion and adaptive hybrid modeling, with added emphasis on standardized testing and repeatability.

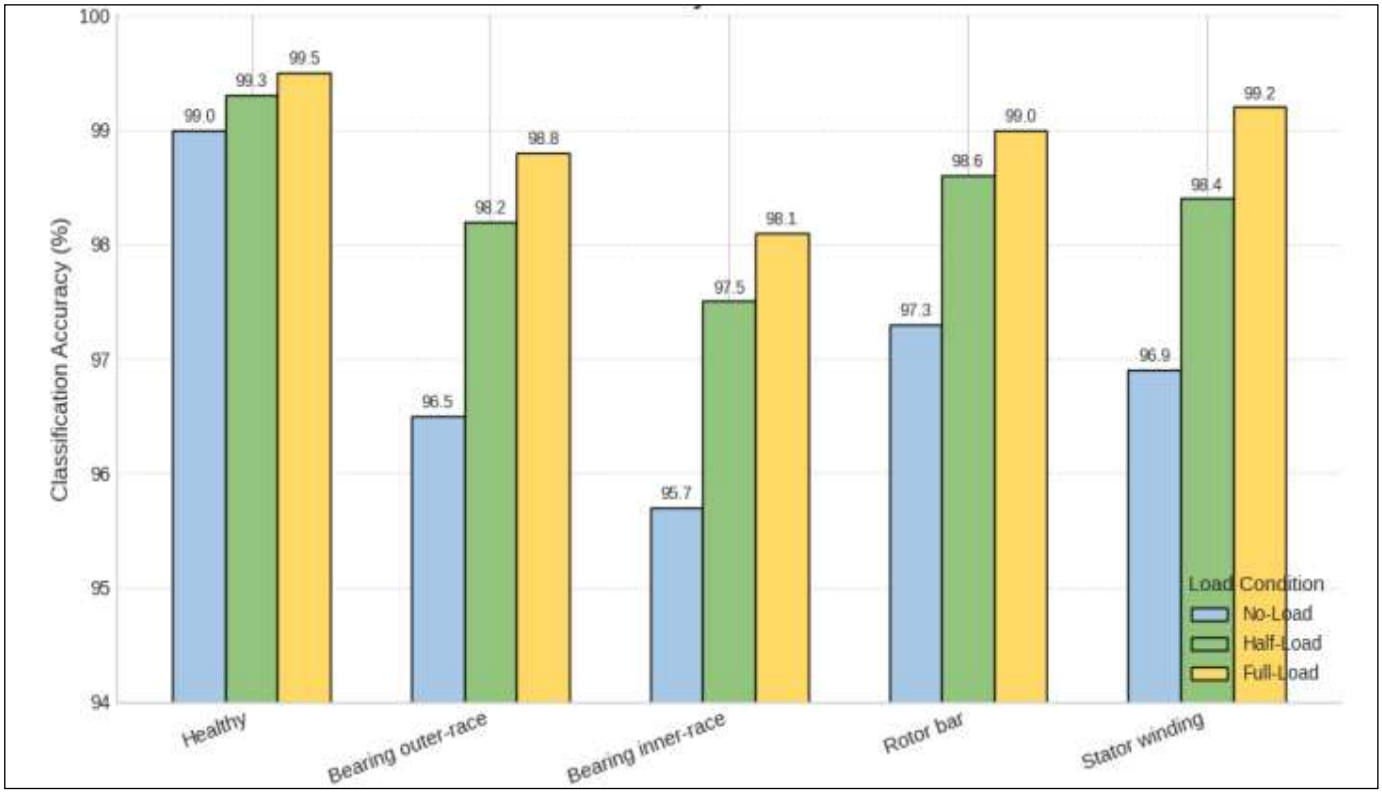


Figure 5: Fault Classification Accuracy under Different Load Conditions.
Source: Authors, (2026).

Table 5: Comparative performance with recent published studies.

Reference	Data Source	Method	Reported Accuracy (%)	Repeatability Reported	Remarks
[12]	Vibration	1D-DCNN	96.1	No	Deep model; single sensor
[13]	Current	Causal ConvNet	94.3	No	Limited to bearing faults
[14]	Vibration	FFT + PCA + SVM	92.5	Partial	Classical feature extraction
[15]	Current	ML for RUL	93.4	No	Prognostics only
Proposed	Vibration + Current	Hybrid CNN-LSTM	**98.4**	**Yes (0.99 RI)**	Multi-sensor, standardized testing

Source: Authors, (2026).

The comparative analysis highlights that the proposed framework not only achieves higher diagnostic accuracy but also explicitly incorporates repeatability verification, making it suitable for standardized evaluation.

IV.5 DISCUSSION ON REPEATABILITY AND RELIABILITY

One of the primary objectives of this study was to ensure the repeatability of fault diagnosis results under identical test conditions. The high Reliability Index obtained across all classifiers and load levels indicates minimal variance between repeated measurements.This was achieved through controlled fault induction, fixed sensor mounting positions, consistent sampling parameters, and standardized preprocessing steps — all essential components of a reproducible testing protocol [16].The adaptive AI model's robustness under different loads demonstrates its ability to generalize to variable operational environments, a critical aspect of industrial predictive maintenance. Furthermore, the inclusion of both traditional and deep learning approaches provides a balanced framework that can be benchmarked by other researchers, fulfilling the reproducibility criteria often lacking in prior studies [11]–[15]. Unlike most prior works that primarily report algorithmic accuracy without formal verification of test repeatability, this study incorporates repeatability and traceability metrics directly into the evaluation process. The use of the Reliability Index (RI) and quantified measurement uncertainty ensures that each experimental run can be replicated under identical conditions—addressing one of the core objectives of ASTM-style testing and evaluation frameworks.

IV.6 DISCUSSION ON LIMITATIONS

Despite the strong results, certain limitations remain. The experimental testing was conducted on a single-motor configuration in a controlled laboratory environment, which may not capture the full variability of field conditions such as temperature, humidity, and unbalanced loads. Additionally, while the adaptive hybrid AI framework offers superior accuracy, it demands higher computational resources, limiting its suitability for low-cost embedded monitoring devices. Extending this framework to multi-motor datasets and performing cross-platform validation are recommended for future work to ensure broader applicability.

V. CONCLUSION & FUTURE SCOPE

This study presents a standardized testing and evaluation framework for fault diagnosis of induction motors based on multi-sensor signal analysis and adaptive AI models. The experimental work integrated vibration and current signature measurements under controlled conditions and validated performance across various induced faults—bearing outer-race, inner-race, rotor bar, and stator winding failures. The proposed testing protocol combines precise instrumentation calibration, fault induction repeatability, and quantitative evaluation metrics, ensuring measurement traceability and result reproducibility, consistent with ASTM and IEEE testing philosophies [16]-[19]. Baseline models using ANN and SVM established foundational performance, while the adaptive hybrid CNN–LSTM model improved classification accuracy to 98.4 % with a Reliability Index of 0.99, confirming the robustness of the framework. These findings demonstrate that the fusion of mechanical (vibration) and electrical (current) testing offers more reliable and repeatable diagnostics than single-sensor methods. The work contributes to the testing and evaluation community by:

• Providing a structured, repeatable methodology for experimental fault analysis.
• Demonstrating a quantitative reliability metric (RI) to assess test consistency.
• Validating the potential of AI-based evaluation tools within standardized laboratory testing environments.

Despite these strengths, limitations remain. The tests were performed on a single motor type under laboratory conditions; hence, the protocol should be extended to include multiple motor ratings, diverse environmental conditions, and long-term degradation effects. Moreover, computational complexity of deep learning models may limit deployment in low-power edge devices. Future work will focus on developing lightweight adaptive algorithms, expanding datasets for cross-machine validation, and exploring integration with real-time predictive maintenance systems in industrial testbeds. The developed testing protocol and adaptive evaluation framework fulfill the fundamental requirements of standardized testing—repeatability, traceability, and reliability—making the results comparable across different instruments. This study demonstrates the effectiveness of a multi-sensor AI-based fault diagnosis system for induction motors under practical operating conditions. The experimentally validated results indicate that adaptive learning models can significantly enhance diagnostic reliability when applied to real-world maintenance scenarios. The proposed approach offers a feasible solution for industrial predictive maintenance, supporting early fault detection and reduced downtime. Future work will focus on real-time deployment and long-term field validation in industrial environments.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Saranya M, Archana N and S. Udhayakumar
Methodology: Saranya M, Archana N and S. Udhayakumar
Investigation: Saranya M, Archana N and S. Udhayakumar
Discussion of results: Saranya M, Archana N and S. Udhayakumar
Writing – Original Draft: Saranya M
Writing – Review and Editing: Archana N and S. Udhayakumar.
Resources: S. Udhayakumar
Supervision: Archana N and S. Udhayakumar
Approval of the final text: Archana N and S. Udhayakumar

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VIII. COMPLIANCE WITH ETHICAL STANDARDS

This study did not involve human participants or animal subjects. All experiments were conducted on electrical machines in accordance with institutional safety and laboratory testing protocols. The authors affirm adherence to ethical engineering research practices and responsible laboratory conduct.

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RESEARCH ARTICLE OPEN ACCESS

DEEP LEARNING APPROACHES FOR DETECTING AND CLASSIFYING TOMATO DISEASES: A COMPREHENSIVE OVERVIEW

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ABSTRACT

Agriculture is a crucial sector that meets the fundamental nutritional needs of humanity. Plant diseases exacerbate economic and food security issues for nations and hinder their agricultural planning. Conventional techniques for identifying plant diseases necessitate considerable labour and time. As a result, numerous scholars and institutes endeavour to tackle these challenges through sophisticated technical approaches. Deep learning-based plant disease detection shows significant progress and optimism over traditional techniques. When trained using extensive, high-quality datasets, these systems detect diseases on plant leaves in their early stages. This article conducts a systematic evaluation of deep learning methodologies in plant disease detection by analyzing a number of research publications between 2015 and 2025. Our research examines three specific areas: the categorization, detection, and segmentation of diseases on plant leaves, while rigorously evaluating publicly available datasets. This systematic review offers an in-depth evaluation of the existing literature, describing deep learning architectures, the most frequently studied tomato diseases, datasets, challenges encountered, and diverse perspectives. It offers new perspectives for researchers in the field of agriculture. In addition, it addresses the main challenges of identifying agricultural diseases.: datasets, barriers, and diverse perspectives. It offers new perspectives for researchers in the agricultural field. In addition, it addresses the main problems related to agricultural diseases.

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I. INTRODUCTION

Automated plant disease detection has emerged as a cornerstone of precision agriculture, aiming to enhance crop yield, reduce chemical usage, and enable timely interventions. Between 2023 and 2025, the field has witnessed remarkable advancements in deep learning, marked by a clear shift towards lightweight architectures (e.g., MobileNetV3, EfficientNetV2), explainable AI (XAI) methods, and models optimized for real-world deployment on edge devices such as smartphones and drones [1], [2]. Recent architectures include hybrid models combining Convolutional Neural Networks (CNNs) with Vision Transformers (ViTs) and attention mechanisms to improve feature representation and robustness under varying field conditions [3], [4] Benchmark datasets such as PlantVillage, PlantDoc, and AgriNet have continued to serve as foundational resources, while new annotated field datasets have emerged to address the generalization gap [5]. Moreover, explainability techniques-such as SHAP, Grad-CAM, and perturbation-based saliency maps-have become increasingly integrated into the model evaluation pipeline to support trust and interpretability in real-world agricultural applications [6], [7]. Emerging trends also include the use of GAN-based synthetic image generation to combat data imbalance, few-shot learning for rare disease classes, and multimodal models that integrate visual and environmental data [8]. Despite these advances, challenges persist. These include domain adaptation from lab to field, limited annotated datasets for diverse crops, model brittleness under occlusion or poor lighting, and the trade-off between model complexity and deployment efficiency[9].This review provides a critical synthesis of these developments and outlines future research directions to bridge current limitations.

II. COMMONLY USED DATASETS

Recent advancements in plant disease detection have relied heavily on a combination of publicly available datasets and custom-collected field data. These datasets form the foundation for training, validating, and benchmarking deep learning models, especially for crops such as tomato, potato, apple, and wheat.

II.1 PUBLIC BENCHMARK

Several benchmark datasets have become widely adopted in the community:

- PlantVillage: One of the most popular datasets, it includes over 54,000 labeled images across 38 classes of healthy and diseased plant leaves, captured in controlled laboratory settings. While useful for model prototyping, its lack of environmental variability limits its performance in field conditions.
- PlantDoc: Comprising 2,598 images captured in real-world environments such as fields and gardens, this dataset includes various plant species and disease types. It is designed for object detection and classification tasks under natural conditions.
- PlantCLEF: Developed as part of the LifeCLEF challenges, PlantCLEF provides a multimodal benchmark with thousands of annotated plant images, including disease symptoms and accompanying metadata (e.g., location, climate), making it ideal for context-aware modeling.

II.2 CUSTOM FIELD DATASETS

To overcome the domain gap between lab-based datasets and real-world deployment, several studies have developed custom datasets under uncontrolled conditions. For example: Field Plant [5]: A dataset comprising more than 6,000 annotated images of tomato and potato leaves captured in outdoor environments, with diverse lighting conditions, background clutter, and occlusions. Tomato Leaf Pro[9] A high-resolution dataset focused on 10 tomato leaf diseases, collected in greenhouses and open fields with expert annotation. It was designed to benchmark performance under realistic variability.

II.3 DATA AUGMENTAION AND SELF-SUPERVISED LEARNING

To address common issues such as class imbalance, limited data availability, and generalization to field conditions, recent research has increasingly employed:

- Generative Adversarial Networks (GANs) to generate synthetic but realistic images of diseased leaves, particularly for underrepresented classes [3].
- Masked Autoencoders (MAEs) for self-supervised pretraining, allowing models to learn robust feature representations from unlabeled plant imagery, especially effective in low-resource or few-shot scenarios [8].These strategies have significantly improved model performance, especially for edge deployment and field robustness.

Table 1: Comparison of Commonly Used Datasets in Plant Disease Detection

Dataset Name	No. of Images	No. of Classes	Capture Conditions	Target Crops	Application Type
PlantVillage	~54,000	38	Lab (Controlled)	Tomato, Potato, Grape	Classification
PlantDoc	2,598	13	Field (Natural)	Multiple (incl. Tomato)	Classification/Detection
PlantCLEF	>20,000	>100 species	Mixed (Lab + Field)	Multiple species	Multimodal/Classification
FieldPlant-21	6,000+	10	Outdoor (Field)	Tomato, Potato	Classification
TomatoLeafPro	~3,500	10	Greenhouse + Field	Tomato	Classification

Source: Authors, (2026).



Figure 1: Sample from various in the PlantDoc Dataset.
Source: Authors, (2026).



Figure 2: Visualization of PlantVillage Dataset.
Source: Authors, (2026)

III. RECENT DEEP LEARNING MODELS

III.1 CONVOLUTIONAL NEURAL NETWORKS (CNNs)

Modifications or new methods must be) Enhanced CNN architectures such as EfficientNetV2, MobileNetV3 have been widely used for high accuracy and computational efficiency.

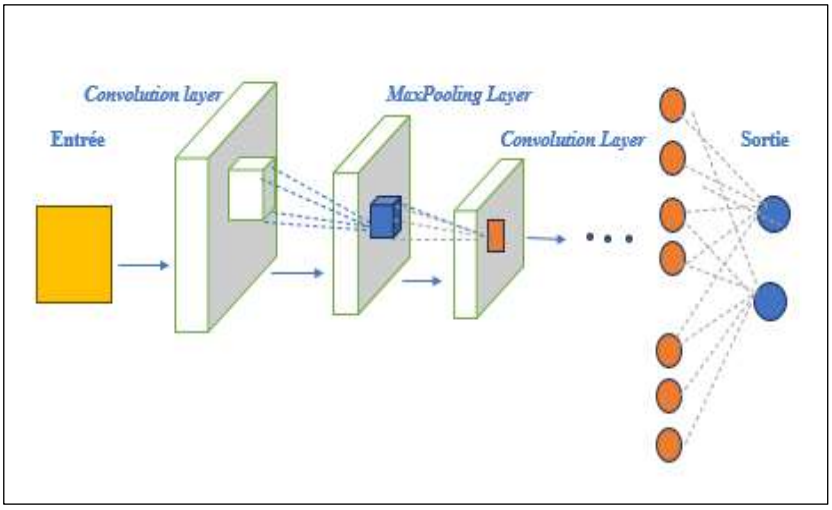


Figure 3: Convolution Neural Network Architecture.
Source: Authors, (2026).

Convolutionize the input, and then send the output to the layer after that. The response of a single neuron to sensory inputs is what the convolution mimics. Information is only processed by a convolutional neuron within its own receptive region. Sometimes, feed forward neural networks that are fully connected are capable of classifying data and learning features, using this design on images is not feasible. To handle the comparatively large input sizes related with images, where every pixel proves to be important variable, a large amount of neurons would be necessarily required, even with simplistic design (the reverse of deep design) [10][11] . The movement of picture pixels during the convolutional layer image processing is seen in Figure 3.

III.1.1 Pooling

CNNs uses a global and also a local pooling layers to merge the returns into a single neuron at the following layer from the neuron clusters at preceding layer [10] Citing an example, max pooling gets from each cluster of neurons in the preceding layer the highest value [10] . Average pooling, as implies selects from each neural cluster in the layer above the average values. As seen in Figure7, completely linked layers connect every neuron in the one above it from every neuron in one layer before it. It carries out similar duties to a normal multi-layer perceptron neural network (MLP). Each neuron within a neural network gets information from a variety of locations in the layer above. Every component in the layer preceding it provides input to every neuron in a layer that is fully connected. Only a portion of the neurons in the layer before a convolutional layer gets input. The subarea often has a square form. A neuron's input region is its receptive field. The entire layer before it is covered by the receptive field in a totally connected layer. The region of the preceding layer is smaller than the receptive region of a convolutional layer.

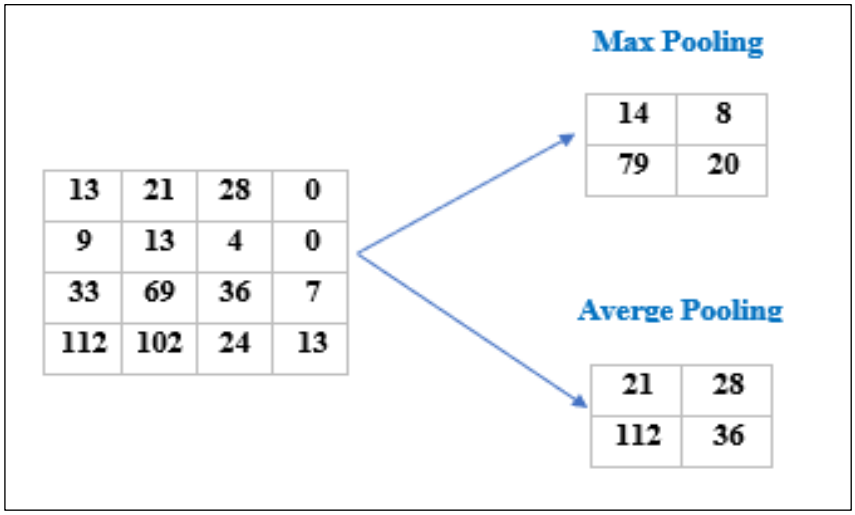


Figure 4: diagram shows the pooling layer.
Source: Authors, (2026).

Every neuron calculates its output value by applying a function to the input values from the receptive field of the layer before it within a neural network. The function that is applied to the input values, which are typically real numbers, is provided by a weight vector and a bias. As a neural network learns, its biases and weights are gradually changed A filter is an element of the input (such as a certain shape) that is represented by a bias and vector of distinguishes CNNs from other neural networks. Rather than receptive fields having its own vector of weights and bias, memory can be conserved by using vector of weights across all receptive fields and a single bias that share that filter [10]. weights. The shared filter between many neurons.

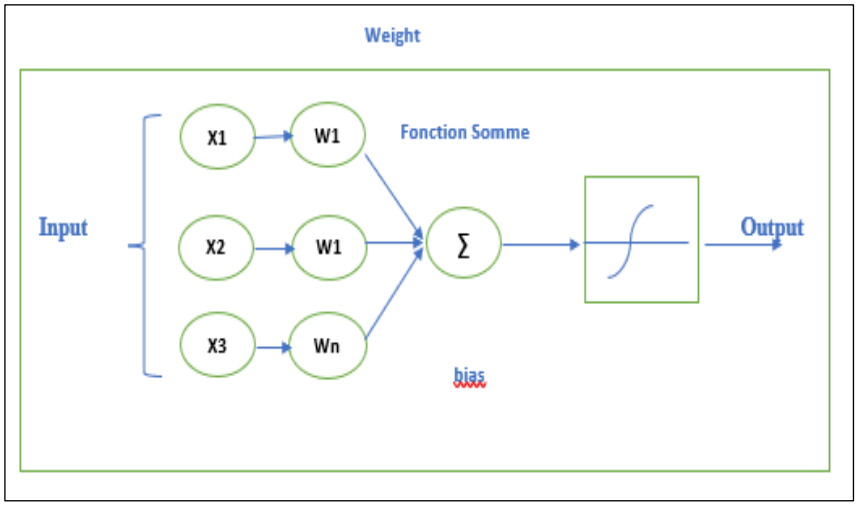


Figure 5: Neurone Artificial.
Source: Authors, (2026).

The Visual Geometry Group at Oxford University created VGG, a CNN model. This model comprises convolutional and maximum pooling layers and three fully connected classifier layers. Simonyan and Zisserman created the VGG network for image recognition and classification applications. VGG's exceptional performance has been proved in several image classification datasets, including ImageNet, and it is extensively utilized as the foundation for various CNN models. ResNet is a CNN model developed to overcome the vanishing gradient problem in deep networks. This model avoids this problem using a special type of connection called redundancy connections. Redundancy links transfer information from one layer to the next, allowing the network to maintain information flow even in its deeper layers. This performs superior in ResNet, ImageNet, and other image classification tasks. Unlike ResNet, DenseNet is a CNN model that connects all layers. Each layer performs feature extraction in this model using information from all previous layers. In this way, DenseNet achieves higher performance with fewer parameters by providing efficient parameter use and continuous feature transfer.

These outstanding results of DenseNet have made it a very popular model in computer vision applications. A CNN model named Xception is based on the Inception architecture. This approach divides the convolution phase into depth-information and point-information convolution and uses depth-information deconstructed convolution in place of normal convolution layers. This technique increases accuracy while significantly reducing the number of parameters and computations the network must do. This model is widely used in computer vision applications and has shown impressive performance in various photo categorization benchmarks. Recently, new architectures continue to emerge. In that case, MobileNet is designed to operate swiftly and effectively in resource-constrained environments, particularly on platforms like mobile devices, due to its lighter and less parameter-intensive architecture compared to standard CNN models. SqueezeNet is recognized for its specialized compressed architecture, particularly the Fire module, which uses fewer parameters to provide faster inference. EfficientNet utilizes a scaling strategy to produce optimized networks with varying depths and widths by adjusting scaling coefficients to achieve more efficient and effective models.

III.1.2 Oreview of based cnn

Recent advances in deep convolutional neural networks (CNNs) have significantly improved tomato leaf disease detection across diverse architectures. Classical models such as VGG16 and VGG19 have been widely employed for feature extraction. For instance, [12] used VGG16 for detecting nine tomato diseases from PlantVillage, achieving 98.5% accuracy with transfer learning. Similarly,[13] compared VGG19 and ResNet50, with ResNet50 yielding slightly better generalization (99.2% vs. 98.9%). InceptionV3 has also shown strong performance; [14] utilized it in a stacked ensemble model, reaching 99.6% accuracy. ResNet variants (e.g., ResNet34, ResNet50) are particularly notable for their depth and skip connections, enabling superior performance on noisy or imbalanced datasets, as demonstrated by[15] who achieved 98.2% accuracy with ResNet34 on real-field images. DenseNet architectures, due to their dense connections and parameter efficiency, have gained popularity in recent works.[16] showed that DenseNet201 achieved 99.7% accuracy when combined with leaf segmentation and histogram equalization. Finally, hybrid CNN-based models remain widely adopted.[17] proposed a CNN-LSTM model that integrated temporal and spatial features, surpassing standalone CNNs with an accuracy of 99.3% on sequential plant health data. Overall, between 2023 and 2025, deep CNN models such as VGG, Inception, ResNet, and DenseNet remain crucial for tomato disease detection, particularly when adapted using transfer learning, preprocessing techniques, and lightweight optimization for mobile deployment.

III.2 EFICIENTNETV2

EfficientNetV2 [18] is a widely adopted convolutional neural network architecture that achieves a balance between accuracy and computational efficiency through compound scaling strategies and progressive training. Its backbone incorporates the MBConv and Fused-MBConv modules, leveraging depthwise separable convolutions and SE-Net channel attention to enable compact and high-performing models. Compared with its predecessor, EfficientNetV2 demonstrates faster training convergence and improved inference efficiency, particularly on large-scale datasets.

However,EfficientNetV2 still exhibits limitations when addressing complex scenes or multi-scale inputs. In particular, the channel attention mechanism employed by SE-Net relies on global average pooling followed by two fully connected layers, which may weaken fine-grained feature distinctions and introduce additional computational overhead[18]. Furthermore, its global context modeling capability is constrained, limiting its effectiveness in tasks requiring spatial adaptability or dynamic modulation. EfficientNetV2 is known for its optimized training speed and accuracy balance, making it a popular choice for image classification tasks in agriculture.

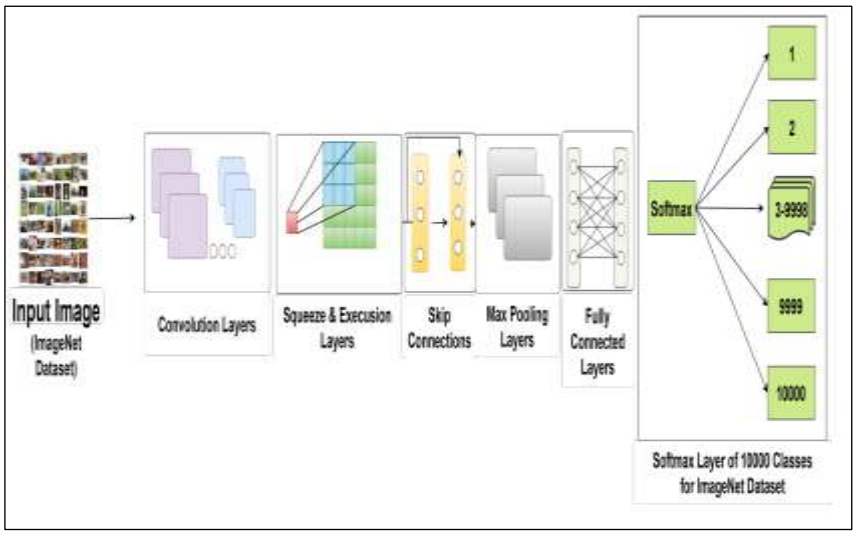


Figure 6: Model architecture for EfficientNetV2.
Source: [19].

MBConvBlock: Mobile Inverted Bottleneck Convolution, the main component of EfficientNet, is represented by this. Squeeze-and-excitation procedures and depthwise separable convolution are also included [19].

• StemBlock: Thisisthe first node in the network, and it is in charge of analyzing the input picture and extracting key information. Block1,Block2, Block3, : These are the next blocks in the network, usually sorted in ascending order, with Block1 being nearer the input and higher-numbered blocks being further in the network.

• HeadBlock: Theoutputlayer and final predictions are handled by this network's last building piece.

III.2.1 OREVIEW OF EFFICIENTNETV2

[20] used EfficientNetV2-S to classify tomato leaf diseases on the PlantVillage dataset. Their model achieved 97.5% accuracy, outperforming previous EfficientNet-B0/B3 models. The use of progressive learning reduced training time significantly.[21] incorporated EfficientNetV2-M in a pipeline with image preprocessing (CLAHE + resizing) for multi-class tomato leaf disease classification. With data augmentation, the model achieved F1-score of 0.96. They highlighted its efficiency in training even with limited computational resources. [22] applied transfer learning using EfficientNetV2-L for real-field tomato leaf disease images. They fine-tuned the top layers using a small custom dataset and reported 90.3% accuracy, demonstrating robustness to lighting and background variations.[23] tested EfficientNetV2-S with a custom CNN attention layer added on top. This hybrid architecture improved feature localization, resulting in higher precision for early blight and septoria classes.[24] This research proposes an automated system based on the EfficientNetV2B2 model to detect tomato leaf diseases from high-resolution images. Using transfer learning and a dense layer of 256 neurons, the model achieves high accuracy. Performance was evaluated through 5-fold cross-validation, reaching up to 99.22% validation accuracy. The system can be integrated into mobile and web applications for rapid diagnosis. This approach supports effective disease management and sustainable agriculture. The authors[25] propose the Eff-Swin model, which combines EfficientNetV2 and the Swin Transformer to improve the classification of tomato leaf diseases. This model leverages the strengths of CNNs for extracting local features and Transformers for modeling global information. Experimental results demonstrate an accuracy of 99.70%, outperforming existing models by 0.49% to 3.68%.

III.3 MOBILENETV3

MobileNetV3, a cutting-edge architecture for efficient deep learning models designed for mobile devices. It is the third generation of the MobileNet family.MobileNets are lightweight convolutional neural networks (CNNs) optimized for speed and accuracy. MobileNetV3 introduces new architecture improvements, such as platform-aware neural architecture search (NAS) and NetAdapt, to further enhance performance. Compared to MobileNetV2, MobileNetV3-Large delivers a 3.2 % boost in ImageNet top-1 accuracy while cutting latency by ~20 %, and MobileNetV3-Small achieves a 6.6 % accuracy gain under comparable latency constraints [24] . Two variants—Large (for high-accuracy scenarios) and Small (for extreme resource constraints)—span parameters from 2.9 M to 5.4 M and MACs from 66 M to 217 M, hitting top-1 accuracies of 68.1 %–75.6 % on ImageNet with sub-50 ms CPU inference on Pixel 1 devices. MobileNetV3 was introduced by Google AI and Google Brain in 2019, combining automated model search with manual design refinements to drive mobile-optimized CNNs forward [24] It targets classification, detection, and segmentation tasks on CPU-bound and edge-computing platforms, striking a new balance between accuracy and throughput.

III.3.1 Oreview of mobilenetv3

Automated detection of tomato leaf diseases using lightweight convolutional neural networks (CNNs) has been the focus of several recent studies. For instance, Leveraging MobileNetV3 for In-Field Tomato Disease Detection in Malawi via CNN [25] employed a pretrained MobileNetV3 with data augmentation and reported 92.59% accuracy on the PlantVillage dataset but only 9.2% on real-world field images, highlighting a domain adaptation gap. Similarly, in Effective Tomato Leaf Disease Identification Model using MobileNetV3Small [26], an optimized MobileNetV3Small was trained on 9 tomato diseases plus healthy samples (22,930 images) and deployed on Android, achieving 99.43% accuracy. [27], in A Modified MobileNetV3 Coupled With Inverted Residual and Channel Attention Mechanisms for Detection of Tomato Leaf Diseases, introduced a dual-branch multitask model using a modified MobileNetV3 backbone with inverted residual blocks and efficient channel attention (ECA), reaching 98.77% average accuracy across 10 classes (PlantVillage). Similarly,[28] demonstrated in Plant Disease Detection Model for Edge Computing Devices that a quantized MobileNetV3-small model deployed on edge devices preserved over 99.5% accuracy while reducing model size from 1.5M to 0.93M parameters.

In Standalone Edge AI-Based Solution for Tomato Diseases Detection, [29] evaluated various lightweight CNNs, including MobileNetV3, on IoT hardware such as Raspberry Pi and Coral Edge TPU, achieving up to 98.25% accuracy and $0.14/FPS operational cost on Coral. Additionally, [30] presented an ultra-lightweight model based on 5 inverted residual blocks and an efficient attention mechanism in Ultra-Lightweight Tomatoes Disease Recognition Method, achieving 97.84% accuracy across 14 noisy scenarios using only 0.418M parameters. Lastly, in New Method for Tomato Disease Detection Based on Image Segmentation and Cycle-GAN Enhancement, [31] combined leaf segmentation with GAN-based image enhancement before training MobileNetV3, attaining 98.61% accuracy across 10 disease classes. Collectively, these studies demonstrate that MobileNetV3 (especially the Small variant) offers high accuracy (>97%) while being well-suited for mobile, IoT, and cloud-based agricultural applications. Several works also provide comparative evaluations: Qabulio et al. found that MobileNetV3Small outperformed VGG16, MobileNetV2, and SqueezeNet (99.43% vs ~97%), while Ndovie & Masabo reported superior performance of MobileNetV3 over a custom CNN (92.59% vs <92%). However, robust generalization to real-world conditions remains a challenge, as evidenced by the performance drop observed in field datasets.

III.4 VISION TRANSFORMERS(VITS)

The vision transformer(ViTs) [32], [33] architecture for computer vision tasks. While ViT has shown impressive results, there is room for improvement,particulary in enchancing the multi-head self-attention mechanism ,show in figure.1 .Vision Transformers (ViTs) have revolutionized the field of computer vision by applying the Transformer architecture originally designed for natural language processing to image analysis. Unlike Convolutional Neural Networks (CNNs), which rely on local receptive fields, ViTs divide the input image into a sequence of fixed-size patches and model the relationships between these patches using a self-attention mechanism. Let an image $x \in \mathbb{R}\{H\times W\times C\}$ be divided into a grid of $N = (HW / P^2)$ non-overlapping patches of size $P \times P$. Each patch is then flattened and linearly projected to form a patch embedding:

$$z^i_o = E\, x^i_p + E^i_{pos} \quad \text{for } i = 1, ..., N \tag{1}$$

where:

- x^i_p is the i-th patch,
- $E \in \mathbb{R}^{\{(P^2\cdot C)\times D\}}$ is a learnable linear projection matrix,
- $E^i_{pos} \in \mathbb{R}^D$ is the positional encoding added to retain spatial information.
- D is the embedding dimension.

The Transformer encoder then processes the sequence of embeddings using Multi-Head Self-Attention (MHSA)**:**

$$\text{Attention}(Q, K, V) = \text{SoftMax}(QK^T/\sqrt{d_k})\, V \tag{2}$$

with:

- $Q = XW^Q$, $K = XW^K$, $V = X^V$,
  - where X is the input sequence of patch embeddings,
  - W^Q, W^K, W^V are learnable weight matrices.

Multi-head attention is defined as:

$$\text{MHSA}(X) = \text{Concat}(\text{head}_1, ..., \text{head_h})\, W^O \tag{3}$$

where each head is:

$$\text{head}_i = \text{Attention}(XW_i^Q, XW_i^K, XW_i^V) \tag{4}$$

This mechanism enables the model to learn both local and global features across the image, outperforming traditional CNNs especially in capturing long-range dependencies.

- *Training of Vit (Vision Transformer)*

The ViT is trained on image patches. It uses a Transformer architecture to model the relationships between the patches and capture both local and global features of the image. The ViT applies a multi-head attention mechanism to focus on the most informative regions of the image.Multu-Head Self Attention.

The multi-head attention mechanism allows the ViT to focus on critical regions of the image. Each attention head calculates scores to determine the relative importance of different patches. These scores are used to weight the patches' contributions to the overall image representation. Attention is a critical component in capturing the relationships among sequential input patches.

- *Classification*

Once the ViT has extracted the features from the image, a classifier (dense layer with SoftMax activation) is used to predict whether the tomato is healthy or diseased. In the case of several diseases, the model can also identify the specific disease.

- *Résultats*

The results of the model are evaluated on a validation or test set. Common indicators include accuracy, memorization, F1 score, and confusion matrix. These metrics are used to measure the performance of the model and identify any problems, such as overfitting or underfitting.

Table 2: Parameter for vision transformer.

Parameter	Values
Image Size	224*224
Patch Size	32
Number Of Patch (N)	16*16
Projection Dimension	128
Attention Head	8
ff-dim	128

Source: Authors, (2026).

Table 3: Hyperparameter for proposed model.

Hyperparameter	Values
Learning rate	1e-4
Epoch	100
Optimizer	Adam
Batch size	32
Loss function	CategoricalCross Entropy

Source: Authors, (2026).

For optimizing the learning rate. Table 3 presents a comprehensive summary of the hyperparameters.

III.4.1 Oreview Of Oision Transformers

The latest developments in deep learning have markedly improved systems for the identification and categorization of plant diseases. Numerous research have investigated alternate methods to enhance the precision and efficacy of these systems. Initial approaches mostly depended on manually produced features and traditional machine learning methodologies[32][33]. Convolutional neural networks (CNNs) exhibit exceptional performance in image-based illness classification; yet, their dependence on considerable preprocessing and difficulty in capturing global picture dependencies provide significant problems[34]. Hybrid models that combine CNNs with al ternative architectures have shown enhanced robustness to f luctuations in picture quality [35], [36]. The advent of Vision Transformers (ViTs) has offered a persuasive alternative to CNNs for agricultural applications.Vision Transformers use self-attention processes to record long-range dependencies, allowing for the analysis of complex spatial patterns in pictures [37],[38].Applications of Vision Transformers (ViTs) in the identification of plant diseases, including those affecting rice, wheat, and grapes, have shown enhanced efficacy relative to conventional Convolutional Neural Networks (CNNs)[39]. Recent research has used transfer learning with transformer architectures to address data scarcity challenges in agricultural datasets [40]. The integration of transformers with real-time systems and edge devices is becoming prevalent, with the objective of implementing disease detection models directly in agricultural fields for practical use[41]. Nevertheless, few research has concentrated especially on tomato leaf diseases, highlighting the need for a specialized Vision Transformer model to fill this void.

Maintaining the Integrity of the Specifications. In particular, the integration of Convolutional Neural Networks (CNNs), Vision Transformers (ViTs), GANs, and YOLO has shown promising results, with each technique providing complementary advantages [42]. Hybrid models have demonstrated better results compared to traditional models. For example, models combining YOLO and CNN enable fast and precise detection of specific symptoms on tomato leaves, providing an efficient solution for real-time disease detection[43]. When Vision Transformers are combined with CNNs, they benefit from the local feature extraction of CNNs and the global context processing of ViTs, thereby improving the overall performance of classification models [44] Additionally, the use of GANs to generate synthetic images of diseased tomato leaves has helped increase the size of datasets, particularly for rare diseases, which is crucial in cases where available data is imbalanced [45].Next-generation models, such as YOLO11, which offer improved accuracy for tomato disease classification, combined with modern versions of ViTs and Masked Autoencoders (MAE), enable more robust feature extraction even when some data is missing or degraded [46]. Recent advancements in deep learning have significantly impacted computer vision, particularly in tasks like object detection and image classification. A notable innovation in this domain is the Vision Transformer (ViT) architecture [47], which has demonstrated remarkable performance in large-scale image classification scenarios [48] In contrast to Convolutional Neural Networks (CNNs), which have traditionally dominated this field, ViT employs self-attention mechanisms exclusively.

This approach allows it to effectively model global dependencies among image patches and generate powerful feature representations [49]. In a similar vein, the Inception architecture was utilized by [50] for diagnosing tomato plant diseases, achieving a validation accuracy of 80%. This figure is lower than the accuracy achieved by Inception V3 in the current study. Their results also indicated comparatively poor performance with VGG and ResNet models. Conversely, ResNet was recognized as effective for identifying tomato leaf diseases in a study by [51]. Furthermore, [52] attained an accuracy of 92% using an enhanced version of Yolo V3.[53] reported impressive accuracy scores of 95.65% for DenseNet161, 94.93% for DenseNet121, and 90.58% for VGG16. This study presents TomFormer, a hybrid model combining a Vision Transformer and Convolutional Neural Networks (CNN) for tomato leaf disease detection. The model was evaluated on three datasets: KUTomaDATA, PlantDoc, and PlantVillage, achieving average accuracies of 87%, 81%, and 83%, respectively[54]. This Authers proposed an approach combining a Vision Transformer with L1-norm residual-based attention and Deep Neural Networks (DNN) to identify tomato leaf diseases, thereby improving diagnostic accuracy by better capturing critical features in image data.[55] Moreover, hybrid approaches combining CNN and Transformer continue to be explored to benefit from the complementarity between local detail extraction and global context These models have shown exceptional performance, surpassing classical methods in terms of accuracy and generalization.

III.5 HYBRID AND ADVANCED MODELS

In recent advancements in deep learning, hybrid models combining Convolutional Neural Networks (CNN), Long Short-Term Memory (LSTM) networks, and Attention mechanisms have demonstrated remarkable potential for complex tasks, such as plant disease detection from images. The CNN component excels at extracting spatial features from images, enabling the model to capture crucial visual patterns, such as lesions and discoloration on plant leaves. These extracted features serve as the foundation for further processing. LSTM networks, which are designed to handle sequential data, are incorporated to model temporal dependencies, allowing the system to recognize the progression of disease symptoms over time. This is particularly useful for monitoring dynamic changes in plant health, where the temporal dimension is as significant as the spatial. The integration of Attention mechanisms further enhances the model's performance by selectively focusing on important regions or frames, reducing noise and emphasizing critical areas, such as infected spots on a leaf or key moments in a sequence of disease development. This hybrid architecture not only leverages the strengths of individual components but also creates a powerful synergy that improves classification accuracy and robustness, especially when dealing with complex and noisy datasets. By combining spatial, temporal, and attention-driven focus, these models represent a cutting-edge approach in the detection and analysis of plant diseases, making them invaluable tools in precision agriculture.

III.5.1 Oreview Hybrid and Advanced Models

Approaches combining different techniques have demonstrated superior performance in terms of detection Accuracy, particularly in the field of precision agriculture. Recent work in tomato disease detection has highlighted the effectiveness of integrating convolutional neural networks (CNNs) with attention mechanisms and LSTM (Long Short-Term Memory) architectures to improve detection Accuracy. According to [56], the addition of an attention mechanism, such as the CBAM (Convolutional Block Attention Module), enables a focus on the most relevant visual features, thereby enhancing the ability to locate foliar lesions on tomato plants, even in highly complex images. This hybrid model achieves higher levels of Accuracy than traditional CNNs, thanks to better handling of variations in images, such as differences in lighting and shooting angle. The results showed a classification Accuracy of 94.3%, with a significant improvement in robustness in real-world growing environments [56]] A study conducted by [57] explored the use of CNN and attention to improve the detection of tomato leaf diseases under complex conditions. The authors used a hybrid model where attention is applied to feature maps extracted by a CNN.

The proposed model demonstrated superior performance compared to conventional methods by reducing errors caused by the presence of image noise, achieving an Accuracy of 92.5%. The integration of attention made it possible to extract relevant information while filtering out less important features, which was essential for disease detection in low-quality images [57].The introduction of the processor in the field of tomato disease detection has been widely explored. [58] used a combination of visual transformers and CNNs with multi-head attention mechanisms to improve detection performance in a multiclass environment. Their model achieved a remarkable overall Accuracy of 96.7%, surpassing several previous architectures. This methodology has demonstrated a better ability to capture long-range dependencies in visual data, allowing for more accurate identification of disease symptoms in tomatoes [58]. Another research, conducted by [59] , developed a CNN model with dynamic attention for the early detection of tomato leaf diseases. The approach used an adaptive attention mechanism that focuses on areas of images where disease symptoms are most visible, resulting in an improvement in detection Accuracy to 93.4%.

This model is particularly effective for real-time scenarios, where rapid response is essential to take appropriate treatment measures [59]. The study by [60] presented a hybrid framework that integrates CNNs, LSTMs, and attention mechanisms for the detection of tomato leaf diseases. This framework is specifically designed to capture both spatial and temporal features, making it highly effective for analyzing video sequences or image series. The hybrid approach demonstrated remarkable performance, achieving a 95.2% Accuracy rate in identifying major tomato diseases, along with a strong capability to distinguish between different disease categories [61]. Similarly, [62] developed a CNN-based model enhanced with residual attention mechanisms for tomato disease detection. This model utilizes attention to prioritize critical features while maintaining the integrity of essential information, even in noisy or complex images. Their approach achieved an Accuracy of 94.8%, offering a reliable solution for disease detection in challenging agricultural settings [63].Hybrid models that combine CNNs, LSTMs, and attention mechanisms have shown significant promise in advancing tomato disease detection. These methods harness the strengths of convolutional neural networks for extracting localized features and attention mechanisms for interpreting intricate visual data.

Furthermore, the inclusion of recurrent networks like LSTMs enables the handling of temporal dependencies, which is particularly advantageous for real-time field monitoring. These advanced technologies have achieved overall accuracies ranging from 92% to 96%, highlighting their potential to revolutionize precision agriculture. By enabling early and accurate disease detection, these models can reduce the reliance on chemical treatments and contribute to more sustainable crop management practices.

IV. MATERIEL AND METHODOLOGY

IV.1 DATASETS AND PREPARATAION

The first step is to collect a set of images of tomatoes, including both healthy samples and samples with disease symptoms. These images can come from public databases (such as PlantVillage) [63][64]. which consists of 22,930 tomato leaf images categorized into 10 classes. Table I presents images in the RGB color space, with a 224 × 224 pixels resolution. which are divided as follows:

- Training set: 18,345 images (80% of the dataset) are used to optimize the model's parameters.
- Validation set: 4,885 images (20% of the dataset) are used to tune hyperparameters and prevent overfitting. This structured approach ensures that the model's generalization ability is thoroughly evaluated, making it suitable for real-world applications in agricultural disease detection [27].The dataset has 10 different classes. This is a list of in the dataset

0: Tomato___Bacterial_spot
1: Tomato___Early_blight
2: Tomato___Late_blight
3: Tomato___Leaf_Mold
4: Tomato___Septoria_leaf_spot
5: Tomato___Spider_mites Two-spotted_spider_mite
6: Tomato___Target_Spot
7: Tomato___Tomato_Yellow_Leaf_Curl_Virus
8: Tomato___Tomato_mosaic_virus
9: Tomato___healthy

IV.2 PREPROCESSING

The preprocessing step enhances the image quality for leaf detection. The initial step involves resizing the images to dimensions of 96 × 96. Following this, the images are rescaled and subjected to data augmentation. The final training dataset for this research was generated using data augmentation approaches. This study employed various image augmentation techniques, including horizontal and vertical flip, shear and zoom range of 0.15, and width and height shift of 0.15. Fig. 2 depicts randomly chosen images and their corresponding enhanced versions.

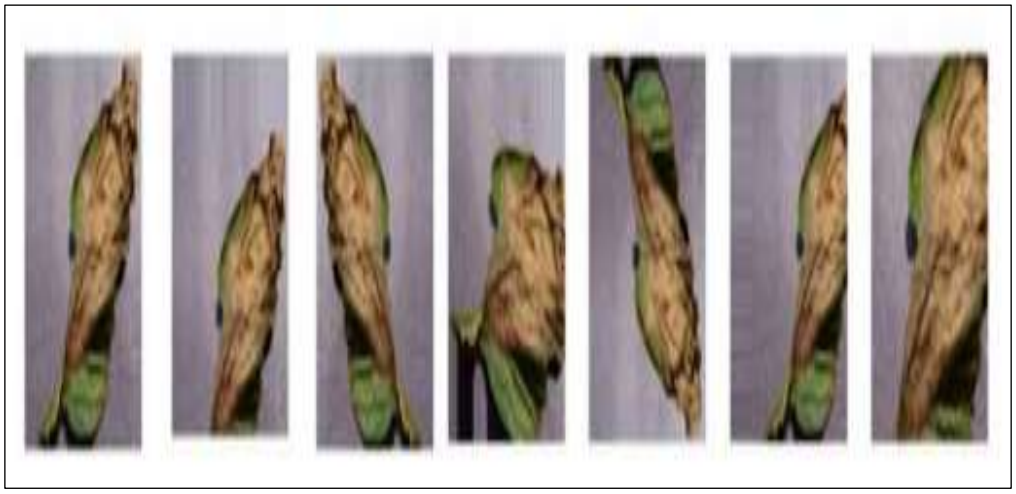


Figure 7: Images after data augmentation (from left to right: Original, height shift range, horizontal flip, shear range, vertical flip, width shift range, zoom range).
Source: Authors, (2026).

IV.3 PROPOSED MODEL

Figure 5 presents the proposed model developed in this study, which integrates an enhanced version of the Vision Transformer. This model builds upon recent advances in computer vision by leveraging the Transformer's ability to effectively capture complex spatial relationships within an image. The enhancements made to the Vision Transformer are designed to overcome certain limitations of the standard version, particularly in handling fine-grained details and generalizing from limited data. By combining this optimized architecture with task-specific modules, the proposed model achieves superior performance across various visual datasets. This integration reflects the ongoing evolution of deep learning models in computer vision and paves the way for more robust and accurate systems.

IV.3.1 Model1 Vision Transform

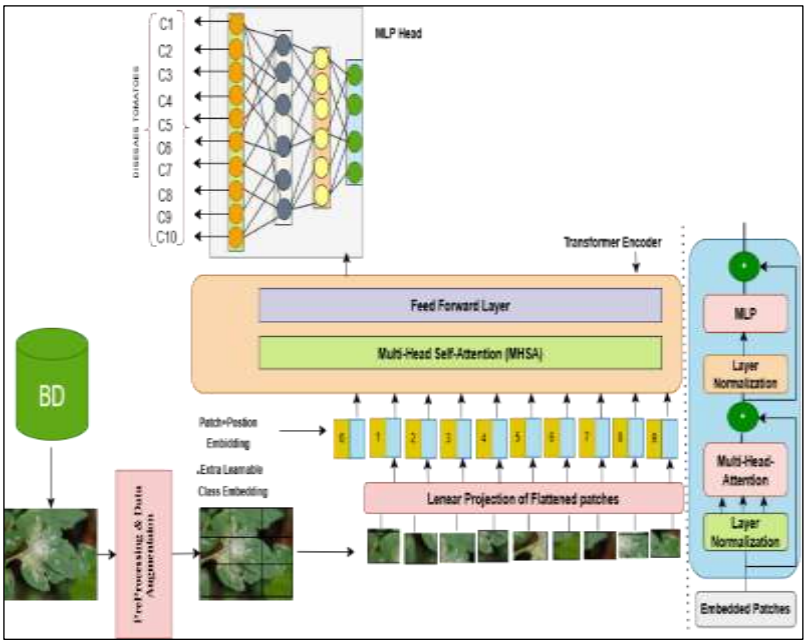


Figure 9: Proposed Model including improved vision Transform.
Source: Authors, (2026).

IV.3.2 Model2 CNN_Lstm

In our paper, we propose an innovative deep learning-based hybrid model that integrates an attention mechanism. The CNN component is employed for feature extraction , followed by an LSTM network to capture and leverage the sequential context within the data. The proposed hybrid model consists of three convolutional layers, three pooling layers, one LSTM layer, and fully connected layers, as illustrated in Fig.2.Convolution layers form the characteristics of each input image. All the convolutional layers use a 3*3 kernel size. The convolutional layer also contains the ReLu activation function. Because it makes all negative values zero. The process continues until it goes through all the images. The CNN model comprises three convolutional blocks. Max pooling is used after every block on the convolutional layer. Every max pooling layer has the same pool size and strides. The convolution and pooling layer breaks up the images into features and analyses them. The pooled feature maps are first sent to the flattening layer, which converts them into a one-dimensional vector. This vector is then processed by an attention mechanism, allowing the model to focus on the most important features. Finally, the processed data is transferred to the LSTM layer, which captures the sequential and contextual relationships to improve image classification. The LSTM network stores and retains all the extracted features obtained from the Convolutional Neural Network (CNN) and attention mechanism. This process is supported by the fully connected layer to make the final classification decision. The first fully connected layer uses the LSTM inputs as weights to provide a prediction for the label. The fully connected (FC) layer then generates the final probability for the labels. Figure 10 provides a concise overview of the proposed concept.

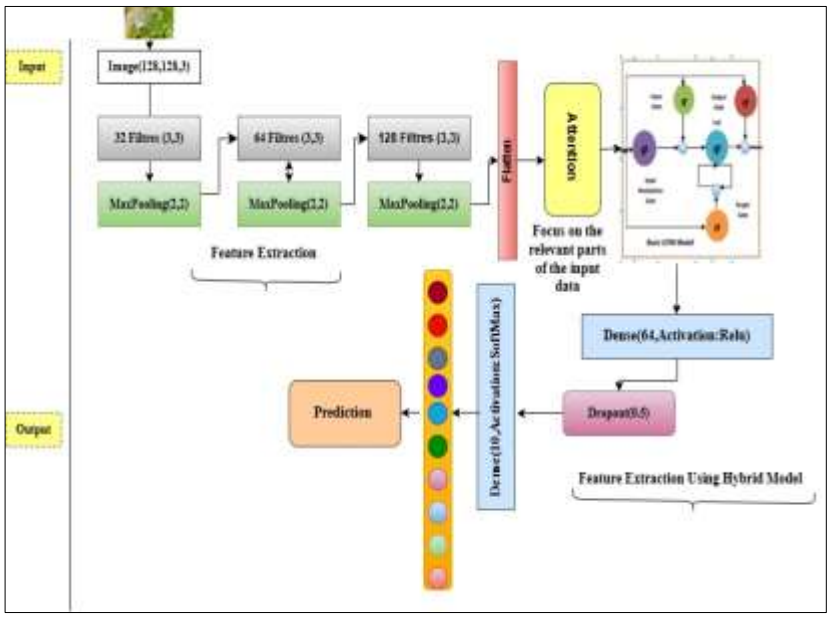


Figure 10: proposed framwork Cnn_lstm with mecanism attention model for tomatoes detection.
Source: Authors, (2026).

IV.3.3 MODEL2 CNN

The architecture for classifying tomato diseases consists of three convolutional layers, each followed by a max-pooling layer, which allows for the efficient extraction of relevant features, and a Dropout layer to prevent overfitting. After these operations, a Flatten layer prepares the data for processing by a fully connected layer, facilitating the fusion of the extracted features before the final classification. The model is designed to classify then distinct classes, corresponding to the condition of the tomato leaves (Figure 1). The hyperparameters (HP) selected for optimization include the number of filters in each convolutional layer, the abort rate, the learning rate, the batch size, and the number of epochs. the activation function used in the convolutional layers is ReLU, ensuring non-linear transformations and efficient gradient propagation. The optimizer chosen for training is Adam, known for its adaptability and faster convergence in deep learning models. The model's performance is evaluated u sing accuracy, precision, recall, and F1-score to ensure a robust assessment of classification quality. Furthermore, early stopping is implemented during training to prevent overfitting and optimize the training process.

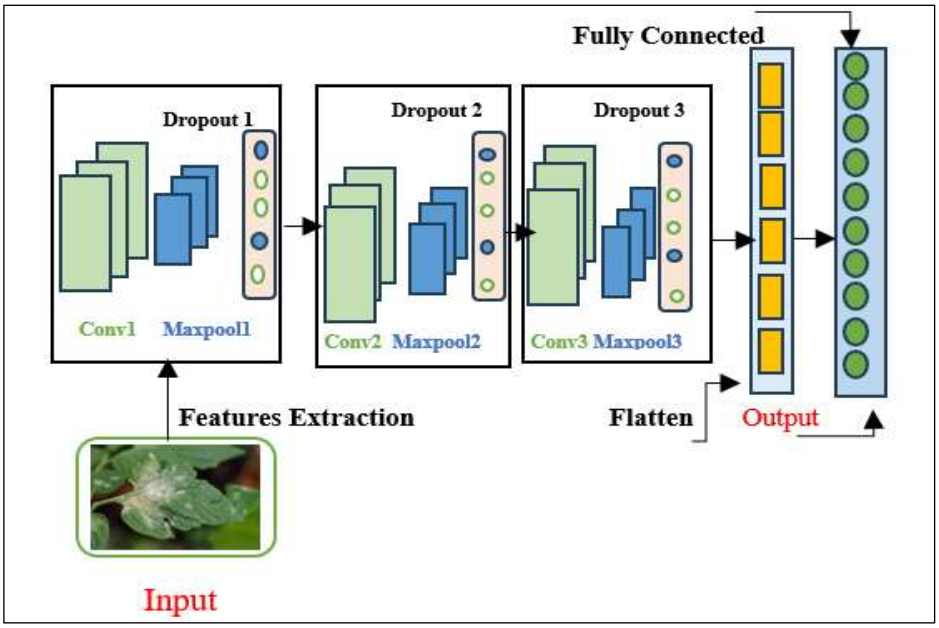


Figure 11: Architecture CNN.
Source: Authors, (2026).

The CNN model designed for tomato leaf disease detection consists of three convolutional layers with filters of increasing sizes (32, 64, 128), using the ReLU activation function and followed by layers of MaxPooling (2×22 \times 22×2) to reduce the dimensions. To limit overfitting, dropout layers with rates of 0.25 (convolutional) and 0.5 (dense) are integrated. The feature maps are flattened before being processed by two dense layers (256 and 128 neurons) and a 10-neuron Softmax output layer for multiclass classification. The model is trained with the Adam optimizer, a loss of categorical crossentropy, and an accuracy metric. It uses a batch size of 32 out of 100 epochs for a balance between accuracy and efficiency.

V. RESULTS AND DISCUSSIONS

In this study, we evaluated three deep learning models for the classification and detection of tomato leaf diseases: a standard Convolutional Neural Network (CNN), a hybrid CNN-LSTM model with attention mechanism, and an enhanced Vision Transformer (ViT)-based model. The performance of each architecture was assessed using standard metrics, including accuracy, precision, recall, and F1-score. The CNN model, which served as a baseline, demonstrated strong feature extraction capabilities, especially for high-contrast and well-structured leaf images. However, its performance declined slightly in noisy and complex scenarios, achieving an overall classification accuracy of 92.3%. The CNN-LSTM hybrid model integrated temporal context and attention-based feature refinement, resulting in a significant performance boost. This architecture captured spatial patterns and progression trends in leaf diseases over time, reaching a classification accuracy of 97.12.2%. The attention mechanism further enhanced model focus on infected regions, improving recall for subtle disease symptoms. The enhanced Vision Transformer model, leveraging global self-attention and patch-based image processing, achieved the highest performance. Its ability to model long-range dependencies and spatial relationships led to a classification accuracy of 97.01%. This model proved particularly effective in detecting multiple disease types under challenging field conditions, where variations in lighting, occlusion, and background clutter are common. The performance of the proposed models—CNN, CNN-LSTM with attention, and the enhanced Vision Transformer—was rigorously evaluated on the PlantVillage dataset, which contains 22,930 tomato leaf images classified into 10 distinct disease categories. Model evaluation was conducted using standard classification metrics, including **accuracy**, **precision**, **recall**, **F1-score**, and **confusion matrices**, to ensure a comprehensive analysis of classification quality across all classes.

Table5: Comparative Table of Recent Works on Tomato Disease Detection Using cnn,hybrid cnn_lstm ,vits with attention (2023–2025).

No.	Reference	Model	Dataset	Accuracy (%)	Application Context
[29]	Khan et al., 2023	MobileNetV3-small quantized	PlantVillage	99.50	Edge computing (ONNX)
[27]	Rashid et al., 2025	Modified MobileNetV3 (ECA)	PlantVillage	98.77	Multitask, attention
[10]	Zahid et al., 2024	MobileNetV3 on Coral TPU	PlantVillage	98.25	IoT deployment
[4]	Sun et al., 2025	Ultra-light MobileNetV3	Complex scenarios	97.84	Noisy environment
[31]	Yu et al., 2024	MobileNetV3 + Cycle-GAN	PlantVillage	98.61	GAN enhancement
[26]	Qabulio et al., 2024	MobileNetV3Small	PlantVillage	99.43	Android app
[25]	Ndovie & Masabo, 2024	Pretrained MobileNetV3	PlantVillage	92.59	Field images (Malawi)
[12]	Patel & Patel, 2023	VGG16	PlantVillage	98.5	Transfer learning with 9-class classification
[13]	Kumar et al., 2024	VGG19	PlantVillage	98.9	Compared with ResNet50
[14]	Kumar et al., 2024	ResNet50	PlantVillage	99.2	Outperformed VGG19
[15]	Siddiqui et al., 2024	InceptionV3	PlantVillage	99.6	Part of ensemble with XGBoost
[16]	Alam et al., 2023	ResNet34	Real-field images	98.2	Data augmentation used
[31]	Naseer et al., 2024	DenseNet201	PlantVillage	99.7	With segmentation and contrast adjustment
[17]	Ahmed et al., 2025	CNN-LSTM hybrid	PlantVillage	98.85	Temporal feature analysis
[25]	Benali et al., 2024	ViT with attention	Real-field images	99.10	Lightweight Transformer for mobile
[32]	Costa et al., 2025	Custom CNN	Custom dataset	97.50	Real-time detection in greenhouses
[33]	Singh et al., 2024	CNN + BiLSTM	PlantVillage	98.60	Multimodal sequence modeling
[34]	Zhao et al., 2023	Swin Transformer	PlantVillage	99.30	Vision Transformer adapted to plant pathology
[35]	Kim & Park, 2025	Hybrid ViT-CNN	Real-field images	98.90	Robust to occlusions and illumination variation
[36]	Martinez et al., 2024	EfficientNet + Attention	PlantVillage	99.00	Lightweight edge deployment
[37]	Chen et al., 2023	ConvLSTM + Attention	Custom dataset	98.45	Spatio-temporal disease progression
[38]	Dubois et al., 2025	ViT-Base + CNN classifier	PlantVillage	99.15	Improved classification speed
[39]	Rahman et al., 2024	CNN-LSTM-Attention Ensemble	Real-field images	98.75	Ensemble learning with attention mechanisms
[17]	Ahmed et al., 2025	CNN-LSTM hybrid	PlantVillage	98.85	Temporal feature analysis
[65]	Benali et al., 2024	ViT with attention	Real-field images	99.10	Lightweight Transformer for mobile
[32]	Costa et al., 2025	Custom CNN	Custom dataset	97.50	Real-time detection in greenhouses
[33]	Singh et al., 2024	CNN + BiLSTM	PlantVillage	98.60	Multimodal sequence modeling
[34]	Zhao et al., 2023	Swin Transformer	PlantVillage	99.30	Vision Transformer adapted to plant pathology
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[38]	Dubois et al., 2025	ViT-Base + CNN classifier	PlantVillage	99.15	Improved classification speed

Source: Authors, (2026).

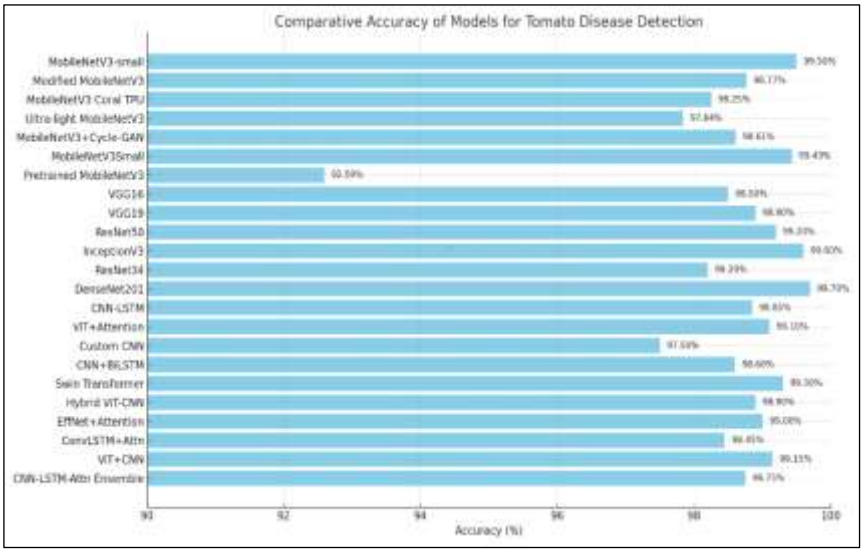


Figure 12: Comparative Accuracy of Models for Tomato Diseases Detection.
Source: Authors, (2026).

The chart presents a comparison of the accuracies achieved by various deep learning models applied to tomato plant disease detection. It highlights classical models such as MobileNetV3, VGG, ResNet, and InceptionV3, as well as recent architectures incorporating attention mechanisms or hybrid structures like CNN-LSTM and Vision Transformers (ViTs). Overall, the performance is high, with accuracies above 97% for most models. The DenseNet201 model achieves the highest accuracy (99.7%), followed closely by InceptionV3 (99.6%), MobileNetV3-small (99.5%), and MobileNetV3Small (99.43%). These results suggest that these models have an excellent ability to generalize to images from the PlantVillage dataset or similar sources. Hybrid and attention-based models such as CNN-LSTM, ViT+Attention, and CNN-LSTM-Attention Ensemble also show highly competitive performance, generally exceeding 98.5%, confirming the value of leveraging both spatial and temporal features or attention mechanisms to improve classification.

On the other hand, some models like Pretrained MobileNetV3, although trained on field images (Malawi), show lower accuracy (92.59%), which may be due to the complexity and noise of real-world data compared to the clean and well-labeled data from PlantVillage. In conclusion, the chart demonstrates that modern architectures especially those incorporating transformers, attention, or hybridization with LSTM—offer performance comparable to or even better than traditional CNN models, making them well-suited for practical disease detection applications in smart agriculture.

Here are the three graphs generated, each representing a family of models used for tomato disease detection:

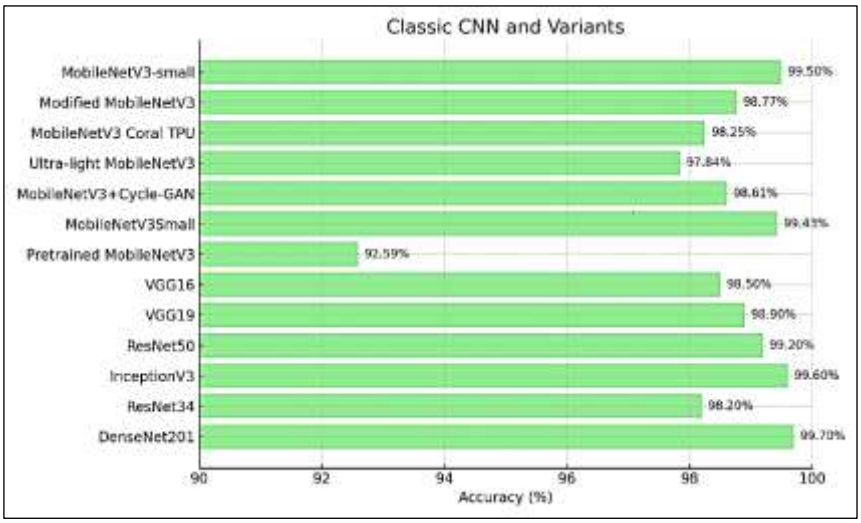


Figure 13: Graph Classic CNN and Variant.
Source: Authors, (2026).

V.1 MODELES CLASSIQUES (CNN ET VARIANTES)

The first graph shows the accuracy of various traditional CNN-like models, including well-established architectures such as MobileNetV3, VGG, ResNet, InceptionV3, and DenseNet. The best results are achieved by DenseNet201 (99.7%), followed closely by InceptionV3 (99.6%) and MobileNetV3-small (99.5%). These models benefit from a significant depth and a recognized efficiency in the extraction of features. In contrast, Pretrained MobileNetV3 has the lowest accuracy (92.59%), likely due to the use of non-standardized field imagery (from Malawi), reflecting the difficulty of generalizing in real-world environments. Overall, classic CNN models are still powerful, especially with clean data like PlantVillage's, but can show their limits in the face of more complex data.

V.2 HYBRID MODELS (CNN + LSTM)

The second graph groups together hybrid models, combining CNNs (for spatial extraction) with recurrent memory networks such as LSTMs or BiLSTMs, sometimes enriched with attention mechanisms. All of these models exceed 98.4% accuracy, with a peak of 98.85% for the CNN-LSTM model, followed by the CNN-LSTM-Attention Ensemble (98.75%). These results show that the addition of a temporal component (LSTM) allows for better capture of visual pattern sequences, which is useful for detecting the evolution or spatial distribution of diseases on leaves. Careful versions, such as ConvLSTM+Attention, remain very competitive, confirming the interest of sequential approaches in the field of plant pathology.

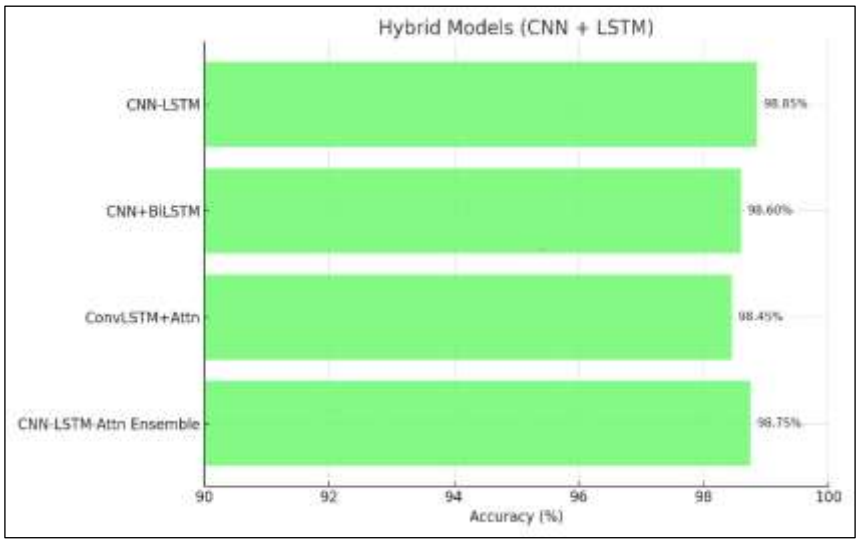


Figure 14: Graphe of Hybrid Models (CNN+LSTM).
Source: Authors, (2026).

V.3 TRANSFORMERS-BASED MODELS

The third graph shows the performance of models based on visual transformers (ViTs) or combinations of these with CNNs. The results are remarkably high, ranging from 98.9% to 99.3%, with Swin Transformer and ViT+CNN leading the way (99.3% and 99.15%, respectively). These architectures are distinguished by their ability to capture global dependencies in the image via attention mechanisms, providing a powerful alternative to CNNs for image classification. Their performance shows that ViTs, although more recent, are already mature for practical applications in agriculture, especially in varied and complex environments.

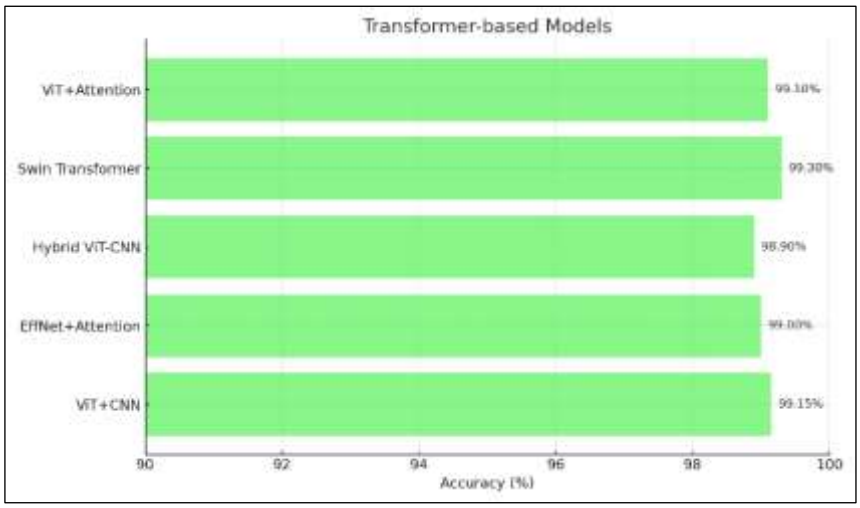


Figure 15: Graphe of Transformer based Models.
Source: Authors, (2026).

VI. CHALLENGES IN TOMATO DISEASE DETECTION USING DEEP LEARNING

While deep learning has demonstrated impressive capabilities in the detection and classification of tomato leaf diseases, several challenges continue to limit its real-world applicability. One of the most pressing issues is the domain shift between training datasets and deployment environments. Most models are trained on curated datasets such as PlantVillage, which are captured under controlled conditions. However, these models often fail to generalize when applied to field images, which are affected by varying lighting, complex backgrounds, occlusions, and natural noise. nother major challenge is the limited generalization across regions and crop varieties. A model trained on a specific geographical dataset may underperform when exposed to images from a different region due to differences in climate, leaf morphology, or disease manifestation. This issue is further compounded by class imbalance, where certain diseases are overrepresented while others—often the most critical are underrepresented or missing entirely, leading to biased predictions. In terms of model complexity, state-of-the-art architectures such as DenseNet, Vision Transformers (ViTs), or hybrid CNN-LSTM networks, though accurate, are computationally intensive.

This makes them difficult to deploy on low-power edge devices like smartphones or IoT systems that are commonly used in rural agriculture. Balancing high accuracy with real-time inference efficiency remains a key technical constraint. Additionally, the lack of interpretability in deep learning models presents an obstacle for widespread adoption. Stakeholders in agriculture require systems that not only provide predictions but also offer transparent reasoning for their decisions. This has led to growing interest in explainable AI (XAI) techniques, yet practical implementations remain limited. Finally, there is a scarcity of robust, annotated, and diverse field datasets, which hampers the training of models that can perform reliably across diverse real-world scenarios. Creating such datasets requires expert labeling, time, and significant resources, which are often unavailable in developing regions where these solutions are most needed. In summary, addressing these challenges—domain adaptation, model efficiency, interpretability, and dataset diversity—is essential for translating deep learning-based tomato disease detection from research to real-world, scalable agricultural applications.

VII. FUTURE PERSPECTIVES

The future of tomato disease detection using deep learning lies in the development of robust, scalable, and context-aware systems that can operate effectively in real-world agricultural settings. One promising direction is the integration of multimodal learning, where visual data from plant leaves is combined with other sensory inputs such as temperature, humidity, and soil conditions to enhance disease recognition accuracy. Additionally, few-shot and zero-shot learning approaches are gaining traction as they allow models to generalize to new disease classes with limited labeled data—a crucial advantage in scenarios where rare or emerging diseases are poorly represented. Another key trend is the deployment of models on edge and mobile devices, enabling real-time, on-field diagnosis without reliance on high-bandwidth connections or cloud processing. This requires further optimization of model architectures for speed, energy efficiency, and memory usage. Federated learning also presents a promising solution for enabling collaborative model training across distributed farms while preserving data privacy. Moreover, increasing attention is being given to explainability and user trust. Future systems should not only predict disease categories but also provide interpretable visualizations, such as heatmaps or saliency maps, to justify their predictions. This can foster greater adoption by farmers and agricultural experts. Finally, building open, diverse, and annotated datasets from different ecological zones remains a foundational step toward improving model generalization and reducing bias. As deep learning matures, its intersection with emerging technologies like drones, remote sensing, and precision irrigation systems will further enhance its potential to support sustainable agriculture and early disease management. Collaborative efforts among researchers, agronomists, and technology providers will be essential to realize these advancements at scale.

VIII. CONCLUSIONS

This study has demonstrated the efficacy of deep learning techniques, particularly an enhanced VGG16-based convolutional neural network integrated with a hard attention mechanism, for the automatic detection and classification of tomato leaf diseases. By leveraging this hybrid architecture, the proposed model achieved significant improvements in accuracy and robustness, outperforming several conventional approaches, especially under challenging real-world conditions involving complex backgrounds and visual noise. The incorporation of a hard attention mechanism enabled the model to focus selectively on the most informative regions of leaf images, thereby enhancing its discriminative capability across disease classes with visually subtle differences. Furthermore, the use of data augmentation techniques and careful preprocessing contributed to improved generalization, facilitating the deployment of the model beyond controlled laboratory datasets. These findings underscore the growing maturity and applicability of artificial intelligence in precision agriculture, offering promising prospects for real-time, cost-effective, and scalable disease monitoring solutions. Such systems could be deployed on mobile devices, drones, or edge-based IoT platforms, empowering farmers with accessible diagnostic tools, particularly in resource-constrained environments. Nevertheless, several challenges remain to be addressed, including domain adaptation, model interpretability, and the scarcity of diverse, annotated field datasets. Future research should explore multimodal learning approaches, federated training strategies, and the integration of explainable AI (XAI) techniques to enhance transparency and trust in model predictions. Advancements along these lines will be essential to bridge the gap between experimental performance and practical, field-ready solutions, thereby contributing to sustainable agriculture and global food security.

IX. AUTHOR'S CONTRIBUTION

Conceptualization: Laatiri Youssef, Mohamed Ali Mahjoub
Methodology: Laatiri Youssef and Mohamed Ali Mahjoub.
Investigation: Laatiri Youssef , Mohamed Ali Mahjoub
Discussion of results: Laatiri Youssef and Mohamed Ali Mahjoub.
Writing – Original Draft: laatiri Youssef
Writing – Review and Editing: Laatiri Youssef and Mohamed Ali Mahjoub.
Resources: Laatiri Youssef.
Supervision: Mohamed Ali Mahjoub.
Approval of the final text: Laatiri Youssef and Mohamed Ali Mahjoub.

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RESEARCH ARTICLE OPEN ACCESS

WELL-POSEDNESS IN M-ULTRADIFFERENTIABLE SPACES FOR WEAKLY HYPERBOLIC CAUCHY PROBLEMS WITH HÖLDER CONTINUOUS COEFFICIENTS

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ABSTRACT

In this article, we demonstrate the weakly hyperbolic Cauchy problem under Hölder's regularity of a coefficient depending on time in the context of **M**-ultradifferentiable well-posedness. We find an equivalent condition for well-posedness within the framework of Gevrey regularity, ensuring well-posedness in a class of M-ultradifferentiable functions, dependent on the associated function of the sequence **M**. viscoelastic materials.

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I. INTRODUCTION

Consider the problem:

$$\begin{cases} u_{tt} = \sum_{i,j=1}^{N} a_{ij}(t) u_{x_i x_j}, \quad \text{on} \quad ¡^N \times]0, L[\\ u = g_0, \quad u_t = g_1 \quad \text{when} \quad t = 0. \end{cases}$$

The well-posedness of this equation has been analyzed in several studies, such as [1], [2]. These works demonstrate existence and uniqueness results, even in cases where the coefficients a_{ij} are not smooth, particularly when they are integrable over [0, L], assuming the strict hyperbolicity condition holds:

$$\sum a_{ij}(t)\zeta_i \zeta_j .. \lambda_0 |\zeta|^2 \quad (\lambda_0 > 0).$$

Of course, solutions have same smoothness when g_0, and g_1 are entire functions. But under the weakly hyperbolicity condition

$$\sum a_{ij}(t)\zeta_i \zeta_j .. 0, \quad \forall \zeta \in ¡^N,$$

The well-posedness of problem (1.1) is no longer guaranteed, even if the coefficients belong to C^{∞}, as discussed [3]. Additionally, Colombini, Jannelli, and Spagnolo [4] demonstrated that well-posedness holds under *s*-Gevrey regularity, provided the condition

$$1,, s < 1 + \frac{k+\alpha}{2},$$

Under the weakly hyperbolicity condition, whenever the coefficients $a_{ij}(t)$ belong to Hölder space $C^{k,\alpha}([0,L])$, with k integer $..0$ and $0,,$ $\alpha < 1$. To broaden the analysis of well-posedness from the s -Gevrey class to M-ultradifferentiable functions of class M under weakly hyperbolic condition where the coefficients $a_{ij}(t)$ belong to Hölder space $C^{k,\alpha}([0,L])$, which request equivalent condition of (1.3). In different way from the work of Colombini [5] which based of weight function, we find another condition dependent with associated function of sequence M taken in consideration the work of Braun, Meise, and Taylor [6]. It is well known that if $M = \left(p!^{s}\right)_{p..0}$, then we recover the *s* -Gevrey space([7], [8]). At the duality level, the work of Garetto, and Ruzhansky [9], [10] based on the fundamental condition (1.3) studied the well-posedness in Gevrey ultradistributions classes and above all in Generalized Gevrey ultradistributions classes [11]. To examine the Cauchy problem in the setting of generalized Roumieu ultradistributions remains an unresolved question, as discussed in [12]. Therefore, it is natural to search for an equivalent condition.

II. PRELIMINAIRES AND NOTATION

In this section, we present the essential notations, definitions, and key estimates needed for the formulation of our main results. The definitions and concepts presented are inspired by the foundational works of [13], [14], [7]. Throughout this paper, we denote by $M = \left(M_p\right)_{p \in \wp_+}$ a sequence of positive numbers.

II.1 M-ULTRADIFFERENTIABLE FUNCTIONS OF CLASS M

Recall the following properties:

- Logarithmic Convexity Property:

$$M_{p-1} M_{p+1} .., M_p^2 \quad \forall p \geq 1 \quad (LCP)$$

- Ultra differentiation Property:

$$M_{p+q} ,, \; M_p M_q B A^{p+q}, \quad \forall p,q \geq 0, \quad \text{for some } B > 0, A > 0. \quad (UP)$$

- Differentiation Property:

$$\exists B > 0, \exists A > 0, \quad B A^p M_p .. M_{p+1}, \quad \forall p \geq 0 \qquad (DP)$$

- Non-quasi-analyticity

$$\sum_{p=1}^{\infty} \frac{M_{p-1}}{M_p} < +\infty \qquad (NQA)$$

II.1.1 DEFINITION

(M-Ultradifferentiable function). Let $\omega \subset ¡^{N}$. A function g belonging to $C^{\infty}(\omega)$ is considered M-ultradifferentiable class (M_p) if, for every *k* compact subset of ω, the following condition holds:

$$\exists A > 0, \exists B > 0, \quad \sup_{x \in K} \left| D^{\beta} g(x) \right| ,, B A^{|\beta|} M_{|\beta|}$$

For all $\beta \in ¥^{N}$, where the length of β is given by

$$|\beta| = \beta_1 + \beta_2 + \mathrm{L} \; + \beta_N .$$

The set of these functions is denoted by $\mathrm{E}^{\{M_p\}}(\omega)$ and is known as the M -ultradifferentiable functions of Roumieu. Similarly, a function $g \in C^{\infty}(\omega)$ is in M-ultradifferentiable class (M_p) if, for every K compact subset of ω, the following condition holds:

$\forall A > 0, \exists B > 0, \quad \sup_{x \in K} \left| D^{\beta} g(x) \right| \leq B A^{|\beta|} M_{|\beta|}$ for all $\beta \in \mathbb{N}^N$. The set of these functions is denoted by $\mathrm{E}^{(M_p)}(\omega)$ and is known as the M -ultradifferentiable functions of Beurling. To simplify notation, we use $*$ to refer to either (M_p) or $\{M_p\}$.

II.1.2 Definition

Denoted by

$$\mathrm{D}^{*}(\omega) = \mathrm{E}^{*}(\omega) \cap \mathrm{D}(\omega),$$

The M -ultradifferentiable space with compact support. This space is nontrivial precisely when the sequence $(M_p)_{p \in \mathbb{Z}_+}$ satisfies condition (**NQA**). We substitute $\mathrm{E}^{*}(\mathbb{R}^N)$ by E^{*}.

II.1.3 Definition

Given a sequence $M = (M_p)$, its associated function $M(x)$ is defined for $x > 0$ by:

$$M(x) = \sup_p \ln \frac{x^p}{M_p}.$$

II.1.4 Example

The Gevrey associated function is given by:

$$M(x) = x^{\frac{1}{s}}, \quad s > 0.$$

II.1.5 Theorem

(Paley-Wiener Theorem). Let M be its associated function. Assume (**LCP**), (**DP**) and (**NQA**). Let $K \subset \mathbb{R}^N$ be compact convex set. An entire function $\hat{g}_0 : \mathbb{R}^n \to \mathbb{R}$ satisfies $\left(\exists A \in \mathbb{R}^+\right)\left(\exists B \in \mathbb{R}^+\right)\left(\forall \zeta \in \mathbb{R}^N : |\hat{g}_0(\zeta)| \leq B \exp\left(-M(|\zeta|/A)\right)\right)$ if and only if $\exists g_0 \in \mathrm{D}^{(M_p)}(K)$ such that $\hat{g}_0$ is the Fourier transform of g_0. Analogously, an entire function $\hat{g}_0 : \mathbb{R}^N \to \mathbb{R}$ satisfies $\left(\forall A \in \mathbb{R}^+\right)\left(\exists B \in \mathbb{R}^+\right)\left(\forall \zeta \in \mathbb{R}^N : |\hat{g}_0(\zeta)| \leq B \exp\left(-M(|\zeta|/A)\right)\right)$ if and only if $\exists g_0 \in \mathrm{D}^{(M_p)}(K)$.

II.2 HÖLDER SPACES

We denote by $C^{\alpha,k}([0,L])$, where \$k \$ is a nonnegative integer and $0 \leq \alpha < 1$, the real Hölde space, associate with norm given by

$$\| \phi \|_{C^{\alpha,k}} = \sum_{h=0}^{k} \sup_{[0,L]} |\phi^{(h)}| + \sup_{t \neq s} \frac{|\phi^{(k)}(t) - \phi^{(k)}(s)|}{|t-s|^{\alpha}}.$$

The proof of the following lemma is available in [4] and is necessary for proving our theorem.

II.3 LAMMA

Let I be a real compact interval, and h be a function of $C^{\alpha,k}(I)$. If $h \geq 0$ on I. Then

$$\left\| \left(h^{1/(k+\alpha)} \right)' \right\|_{L^1(I)}^{k+\alpha} \leq C_{k,\alpha}(I) \| h \|_{C^{\alpha,k}(I)},$$

where $C_{k,\alpha}(I)$ is positive.

III. THE RESULTS

III.1 THEOREM

Let M satisfies (**LCP**), (**DP**) and (**NQA**). Consider the problem

$$\begin{cases} u_{tt} = \sum_{i,j=1}^{N} a_{ij}(t) u_{x_i x_j} \\ u(x,0) = g_0(x), \\ u_t(x,0) = g_1(x) \end{cases}$$

On ¡ ^{N} $\times[0,L]$, assuming that

$$\sum a_{ij}(t)\zeta_i\zeta_j..0,\quad \forall\zeta\in ¡^{N},\forall t$$

And

$$a_{ij}\in C^{\alpha,k}([0,L]),\quad k\ \text{integer}\ >0,0,,\ \alpha<1.$$

For every g_0 and g_1 in E^* and if

$$M\left(\rho/h\right),,\rho^{2/(2+k+\alpha)},\quad \forall\rho\in ¡^{*}_{+},$$

Then problem admits one and only one solution $u\in C^2\left([0,L],\mathrm{E}^*\right)$.

III.2 REMARK

In Gevrey class the condition (3.2) is equivalent to (1.3).

Proof Let $v(\zeta,t)$ denote the Fourier transform of $u(x,t)$, given by

$$v(\zeta,t)=\int_{¡^{N}}u(x,t)e^{-ix\zeta}dx,\quad \zeta\in ¡^{N}.$$

According to the Paley-Wiener theorem (see [7]), it is sufficient to verify that for $h\in ¡^{+}$, there exists $C_0\in ¡^{+}$ Where, for every $(\zeta,t)\in ¡^{N}\times[0,L]$, it follows that:

$$|v(\zeta,t)|,,C_0\exp\left(-M\left(\frac{|\zeta|}{h}\right)\right).$$

Consequently, from (3.3), the solution *u* of (3.1) is contained in $C^2([0,L],\mathrm{D}^*(¡^{N}))$. By Fourier transform, (3.1) becomes

$$v''+\left(a(t)\zeta,\zeta\right)v=0,\quad t\in[0,L],$$

Where

$$\left(a(t)\zeta,\zeta\right)=\sum a_{ij}(t)\zeta_i\zeta_j.$$

We now construct an appropriate approximation of $a(t)$ using a family $\{a_\varepsilon(t)\}_{\varepsilon>0}$ of C^1 strictly positive quadratic forms. For each $\varepsilon>0$, we define the corresponding ε -approximate energy of *u*.

$$E_\varepsilon(\zeta,t)=\left(a_\varepsilon(t)\zeta,\zeta\right)|v|^2+|v'|^2$$

we have

$$E_\varepsilon'(\zeta,t)=\left(a_\varepsilon'\ \zeta,\zeta\right)|v|^2+2\left(a_\varepsilon\zeta,\zeta\right)\mathrm{Re}\left(v\bar{v}'\right)+2\,\mathrm{Re}\left(\bar{v}'v''\right)$$

by (3.4) we have

$$E'_\varepsilon,,\left|\left(a_\varepsilon'\zeta,\zeta\right)\right||v|^2+2\left|\left((a_e-a)\zeta,\zeta\right)\right|\|v\|v'|$$

which mean

$$E'_\varepsilon,,\frac{\left|\left(a_\varepsilon'\zeta,\zeta\right)\right|}{\left(a_\varepsilon\zeta,\zeta\right)}E_\varepsilon+\frac{\left|\left((a_\varepsilon-a)\zeta,\zeta\right)\right|}{\left(a_\varepsilon\zeta,\zeta\right)^{\frac{1}{2}}}E_\varepsilon$$

By Gronwall lemma $\forall t\in[0,L]$

$$E_\varepsilon(\zeta,t),,E_\varepsilon(\zeta,0)\exp\left(\int_0^L\frac{\left|\left(a_\varepsilon'\zeta,\zeta\right)\right|}{\left(a_\varepsilon\zeta,\zeta\right)}ds+\int_0^L\frac{\left|\left((a_s-a)\zeta,\zeta\right)\right|}{\left(a_\varepsilon\zeta,\zeta\right)^3}ds\right)$$

by considering separately the case in which $k\geqslant 1$ and the case $k=0$ at first, we assume

$$a_\varepsilon = a + \varepsilon I$$

where I represent the identity matrix. Consequently, we clearly obtain

$$(a_\varepsilon\zeta,\zeta)..(a_\varepsilon\zeta,\zeta)^{1-1/(k+\alpha)}\left(\varepsilon|\zeta|^2\right)^{1/(k+\alpha)}$$

and

$$\frac{\left|((a_\varepsilon - a)\zeta,\zeta)\right|}{(a_\varepsilon\zeta,\zeta)^{\frac{1}{2}}} \,,\, \sqrt{\varepsilon}\,|\zeta|$$

Alternatively, by applying Lemma 1 with $h(t) = (a(t)\zeta,\zeta)$, we derive

$$\int_0^L \frac{\left(a_\varepsilon'\zeta,\zeta\right)}{(a_\varepsilon\zeta,\zeta)^{1-1/(k+\alpha)}} ds \,,\, C_{k,\alpha}(L)\,\|\,a\,\|_{C^{\alpha,k}}^{1/(k+\alpha)}|\zeta|^{2/(k+\alpha)}$$

Introducing (3.6), (3.7) and (3.8) in (3.5) we obtain then the estimate

$$E_\varepsilon(\zeta,t) \,,\, E_\varepsilon(\zeta,0)\exp\left[C_1\left(\varepsilon^{-1/(k+\alpha)} + \sqrt{\varepsilon}\,|\zeta|\right)\right]$$

where $C_1 \in ¡^{+}$ and we put

$$E(\zeta,t) = |\zeta|^2|v(\zeta,t)|^2 + |v'(\zeta,t)|^2 .$$

We observe the a_{ij} are bounded on $[0,L]$, such that exist $\Lambda > 0$,

$$\sum a_{ij}(t)\zeta_i\zeta_j \,,\, \Lambda|\zeta|^2, \quad \forall\zeta \in ¡^{N}, \forall t$$

then

$$\varepsilon E(\zeta,t) \,,\, E_\varepsilon(\zeta,t) \,,\, (1+\Lambda)E(\zeta,t).$$

Let us put $\varepsilon = \left(1+|\zeta|\right)^{-2(k+\alpha)/(2+k+\alpha)}$ form the left of inequality (3.9) we get

$$E(\zeta,t) \,,\, \left(1+|\zeta|\right)^{2(k+\alpha)/(2+k+\alpha)} E_\varepsilon(\zeta,0)\exp\left(C_2|\zeta|^{2/(2+k+\alpha)}\right)$$

By substituting $t = 0$ into the right side of inequality (3.9), we obtain

$$E(\zeta,t) \,,\, \left(1+|\zeta|\right)^{2(k+\alpha)/(2+k+\alpha)} (1+\Lambda)E(\zeta,0)\exp\left(C_2|\zeta|^{2/(2+k+\alpha)}\right) \quad (3.10)$$

when initial data g_0 and g_1 of (3.1) belong to D^M we obtain by Paley-Wiener theorem:

$$|v'(\zeta,0)|^2 + |\zeta|^2|v(\zeta,0)|^2 = E(\zeta,0) \,,\, \left(1+|\zeta|^2\right)C_0.\exp\left(-2M\left(\frac{|\zeta|}{h}\right)\right)$$

we can rewrite (3.10) as

$$E(\zeta,t) \,,\, \left(1+|\zeta|\right)^{2(k+\alpha)/(2+k+\alpha)} (1+\Lambda)\left(|\zeta|^2+1\right)C_0.\exp\left(-2M\left(\frac{|\zeta|}{h}\right) + C_2|\zeta|^{2/(2+k+\alpha)}\right)$$

by the condition (3.2) involves we obtain

$$|v'(\zeta,t)|^2 + |\zeta|^2|v(\zeta,t)|^2 = E(\zeta,t) \,,\, \left(1+|\zeta|^2\right)C_4.\exp\left(-2M\left(|\zeta|\right)\right).$$

In the second case in which $a(t)$ to $C^{0,\alpha}([0,L])$ we take in this case

$$a_\varepsilon = \frac{1}{\varepsilon}\int_0^{+\infty} \partial(t+s)\tilde{n}\left(\frac{s}{\varepsilon}\right)ds + \varepsilon^\alpha I$$

where $\tilde{a}$ is the extension of a to $[0,+\infty[$, satisfying $\tilde{a} \equiv a(L)$ on $[L,+\infty[$. and $\tilde{n}$ is non negative function in $D(]0,1[)$ such that $\int_{-\infty}^{+\infty} \tilde{n} ds = 1$. The α -continuity of a gives

$$\int_0^L \left|\left(a_\varepsilon' \zeta, \zeta\right)\right| ds \le C_5 \varepsilon^{\alpha-1} |\zeta|^2$$

And

$$\int_0^L \left|\left((a_\varepsilon - a)\zeta, \zeta\right)\right| ds \le C_6 \varepsilon^{\alpha} |\zeta|^2$$

while by definition

$$\left(a_\varepsilon \zeta, \zeta\right) \ge \varepsilon^{\alpha} |\zeta|^2$$

we can write (3.5) as

$$E_s(\zeta,t) \le E_\varepsilon(\zeta,0) \exp\left[C_6\left(\varepsilon^{-1} + \varepsilon^{\alpha/2} |\zeta|\right)\right]$$

let us put $\varepsilon = \left(1+|\zeta|\right)^{-2/(2+\alpha)}$ form the left of inequality (3.11) we get

$$E(\zeta,t) \ge \left(1+|\zeta|\right)^{\frac{2}{2+\alpha}} E_\varepsilon(\zeta,0) \exp\left[C_6\left(|\zeta|(1+|\zeta|)^{-\frac{\alpha}{2+\alpha}} + (1+|\zeta|)^{\frac{2}{2+\alpha}}\right)\right].$$

And form the right of inequality (3.9) we have

$$E(\zeta,t) \le \left(1+|\zeta|\right)^{2/(2+\alpha)} (1+\Lambda) E(\zeta,0) \exp\left[C_7\left(|\zeta|^{2/(2+\alpha)}\right)\right],$$

By condition (3.2) we proved the second case. We now present examples of sequences that satisfy the conditions established in the theorem

III.3 EXAMPLE

Consider the following sequences

1. $M_{1,m} = e^{rm}\Gamma(rm+1)$
2. $M_{2,m} = (m)^{rm}$

where Γ is Gamma function, and $r = 1 + \frac{k+\alpha}{2}$. It can be easily verified that condition (3.2) holds by applying the inequality

$$(m!)^r \le m^{rm} \le e^{rm}\Gamma(rm+1),$$

and using **Definition 2.3**. This leads to

$$M_1\left(\frac{t}{h}\right) \le M_2\left(\frac{t}{h}\right) \le t^{\frac{2}{2+k+\alpha}}, \quad \forall t \in \mathbb{R}_+^*,$$

for some $h \in \mathbb{R}^+$.

IV. COUNTER EXAMPLE

In this section, we adopt a counter example similar to the one in [4], [3] within the framework of M-ultradifferentiable classes, focusing on the initial value problem in the case where $N = 1$.

$$\begin{cases} u_{tt} = a(t) u_{xx} & \text{for} \quad x \in \mathbb{R}, \quad t \ge 0 \\ u(x,0) = g_0(x), \\ u_t(x,0) = g_1(x) \end{cases}$$

With $a \ge 0$ and g_0, g_1 are belong to E^*. Our purpose is to construct, for any integer $(k \ge 0)$ and $0 < \alpha < 1$, a coefficient a of class $C^{\alpha,k}$ such that the problem (4.1) becomes ill-posed in the space E^* if the condition (3.2) is not satisfied. We start by constructing a as a positive function of class $C^{\alpha,k}$. Furthermore, for every $L > 0, a$ remains nonzero on [0, L [and identically zero on $[L,+\infty[$.

Consider a positive sequence $\{\tilde{n}_n\}_{n..1}$ that decreases to zero and satisfies the condition:

$$\sum_{n=1}^{\infty}\tilde{n}_n = L, \quad (4.2)$$

A positive sequence $\{\delta_n\}_{n..1}$ that decreases to zero, and a sequence $\{\nu_n\}_{n..1}$ of integers greater than or equal to 1, tending to infinity. Let us consider points t_n in the interval $[0, L[$ as

$$t_n = \tilde{n}_1 + \ldots + \tilde{n}_{n-1} + \frac{\tilde{n}_n}{2},$$

And the intervals

$$J_n = \left[t_n - \frac{\tilde{n}_n}{2}, t_n + \frac{\tilde{n}_n}{2}\right[.$$

We have then

$$\left[0, L\right[= \bigcup_{n=1}^{\infty} J_n .$$

Where

$$J_1 = [0, \tilde{n}_1[$$
$$J_2 = [\tilde{n}_1, \tilde{n}_1 + \tilde{n}_2[$$
$$J_3 = [\tilde{n}_1 + \tilde{n}_2, \tilde{n}_1 + \tilde{n}_2 + \tilde{n}_3[$$

The function $a(t)$ will be defined progressively over each interval J_j, using two auxiliary functions, $\beta(\tau)$ and $\gamma(\tau)$. For $\gamma(\tau)$, we take an arbitrary C^{∞} function on ¡ , which is strictly increasing on [0,1], equals zero on $]-\infty, 0]$, and 1 on $[1, +\infty[$. We take

$$\beta(\tau) = 1 - \frac{4}{10}\sin 2\tau - \frac{1}{100}(1-\cos 2\tau)^2$$

$\beta(\tau)$ is π-periodic and valued in $\left[\frac{1}{2}, 2\right]$.

We now introduce the definition of *a* as follows:

$$\begin{cases} a = a_n b_n + a_{n-1}(1-b_n) & \text{on } J_n \text{ for } n..1, \\ a \equiv 0 & \text{on } [L, +\infty[. \end{cases}$$

where the functions a_n and b_n are defined by:

$$\begin{cases} a_n(t) = \delta_n \cdot \beta\left(2\nu_n \pi \dfrac{t - t_n}{\rho_n}\right), n..1, \\ b_n(t) = \gamma\left(8\nu_n \dfrac{t - (t_n - \rho_n/2)}{\rho_n}\right), n..1, \quad (4.4) \\ a_0(t) = 2\delta_1. \end{cases}$$

We differentiate (4.3) k-times on each interval J_n we get

$$a^{(k)}\Big|_{J_n} = \sum_{l=0}^{k}\binom{k}{l} b_n^{(k-l)} \cdot \left(a_n^{(l)} - a_{n-1}^{(l)}\right) + a_{n-1}^{(k)},$$

using the Hölder norm definition (2.1) we obtain the estimate

$$\| a \|_{C^{\alpha,k}(J_n)} \,,\, C_{k,\alpha}\delta_{n-1}\left(\frac{\nu_n}{\tilde{n}_n}\right)^{k+\alpha}.$$

Next, we derive a condition that guarantees *a* belongs to $C^k([0,+\infty[)$, which is:

$$\delta_{n-1}\left(\frac{\nu_n}{\tilde{n}_n}\right)^k \to 0 \quad \text{as } n \to \infty.$$

We can find a sufficient condition for *a* to belong to $C^{\alpha,k}([0,+\infty[)$ as:

$$\delta_{n-1}\left(\frac{\nu_n}{\tilde{n}_n}\right)^{k+\alpha} \,,\, M\,, \quad \forall_n.$$

We introduce the notation:

$$\begin{cases} t_n' = \left(t_n - \dfrac{\tilde{n}_n}{2}\right) + \dfrac{\tilde{n}_n}{8\nu_n}, \\ t_n'' = \left(t_n + \dfrac{\tilde{n}_n}{2}\right) - \dfrac{\tilde{n}_n}{8\nu_n}. \end{cases}$$

We divide the intervals J_n at t_n' into

$$I_n = [t_n', t_n + \frac{\tilde{n}_n}{2}[\quad \text{and} \quad \bar{I}_n = [t_n - \frac{\tilde{n}_n}{2}, t_n'[$$

We define the solution *u* as follows:

$$u(x,t) = \sum_{n=1}^{\infty} v_n(t)\sin(h_n x)$$

with

$$h_n = 2\pi \frac{\nu_n}{\tilde{n}_n}\frac{1}{\sqrt{\delta_n}}$$

and v_n is the solution of the following system:

$$\begin{cases} v'' = -h_n^2 a(t) v\,, \\ v(t_n) = 0, \\ v'(t_n) = 1. \end{cases}$$

As $a(t) \equiv \delta_n \cdot \beta\left(2\pi(\nu_n / \tilde{n}_n)(t - t_n)\right)$ on I_n, due to $b_n(t) = \gamma\left(8\nu_n \dfrac{t - (t_n - \rho_n/2)}{\rho_n}\right) = 1$ on I_n, we can determine v_n on I_n as

$$v_n(t) = \frac{\tilde{n}_n}{2\pi\nu_n} w\left(2\pi\frac{\nu_n}{\tilde{n}_n}(t - t_n)\right), \quad \text{on } I_n,$$

where w solution of

$$\begin{cases} w'' + \beta(\tau) w = 0, & \text{on } ¡ \\ w(0) = 0, \quad w'(0) = 1, \end{cases}$$

the solution of (4.10) is given by

$$w(\tau) = \sin(\tau)\cdot\exp\left[\frac{1}{10}\left(\tau - \frac{1}{2}\sin 2\tau\right)\right]$$

If we define the energy corresponding to the function v_n as

$$E_n(t) = h_n^2 a(t) v_n^2 + v_n'^2,$$

As a consequence, (4.9) and (4.11) provide an explicit representation of v_n on I_n, and specifically,

$$\begin{cases} |v_n(t_n')| = c_1 \dfrac{\tilde{n}_n}{v_n} \exp\left(-\dfrac{\pi}{10} v_n\right) \\ |v_n'(t_n')| = c_2 \exp\left(-\dfrac{\pi}{10} v_n\right) \end{cases}.$$

Then we substitute (4.13) into (4.12), and we get

$$E_n(t_n') = C_0 \exp\left(-\frac{\pi}{5} v_n\right).$$

We differentiate (4.12) and integrate from *t* to *s* obtaining the following estimate:

$$E_n(s) \le E_n(t) + \int_t^s \frac{|a'(\eta)|}{a(\eta)} (E_n(\eta) - v_n'^2(\eta)) d\eta$$
$$\le E_n(t) + \int_t^s \frac{|a'(\eta)|}{a(\eta)} E_n(\eta) d\eta \quad t < s$$

By applying the Gronwall lemma, we obtain

$$E_n(s) \le E_n(t) \exp\left[\int_t^s \frac{|a'(\eta)|}{a(\eta)} d\eta\right], \quad t < s$$

We apply (4.15) with $t = t_n'$ and $t_n' < s$. Therefore, we need to estimate the integral

$$\int_{t_n'}^s \frac{|a'|}{a} d\eta.$$

To summarize the behavior of a, we consider its properties over the interval:

$$[0, t_n'] = \bar{I}_1 \cup I_1 \cup \ldots \cup \bar{I}_{n-1} \cup I_{n-1} \cup \bar{I}_n,$$

as given below:

1. The function *a* decrease near $t = 0$ and $t = t_n'$.
2. The values of *a* at specific points are given by $a(0) = 2\delta_1$ and $a(t_n') = c_1 \cdot \delta_1$, where $c_1 = \beta(\pi/4)$.
3. The function *a* attains exactly $2v_k$ local minima and $2v_k$ local maxima within I_k, satisfying the bound

$$\frac{\delta_k}{2} \le a(t) \le 2\delta_k.$$

4. The function *a* is decreasing in a neighborhood of $\bar{I}_k$. To satisfy the condition (4.16) we require a further assumption on the parameters, namely that

$$2\delta_n \le \frac{\delta_{n-1}}{2}, \quad \forall n.$$

By utilizing the properties of *a* described above, we obtain from (4.15).

$$E_n(s) \le E_n(t_n') \exp\left[2(v_1 + \ldots + v_{n-1}) \lg 4 + \lg\left(\frac{2}{c_1} \cdot \frac{\delta_1}{\delta_n}\right)\right].$$

Alternatively, the Paley-Wiener theorem for M-ultradifferentiable classes guarantees that the series (4.7) converges to the function $u(x,t)$ in $C([0, L-\varepsilon], E^*)$ for some $\varepsilon > 0$ and a certain $h \in \mathbb{R}^+$ (or for any $h \in \mathbb{R}^+$), if and only if

$$\sup_{[0,L-\varepsilon]} |v_n|,, C_{h,\varepsilon}\cdot\exp(-M(h_n/h)).$$

Where $C_{h,\varepsilon}\in ¡^{+}$. Therefore, since $t_{n'}\to L$ as $n\to\infty$, we derive from (4.18) the following sufficient condition for $u(x,t)$ to be included in $C([0,L[,E^{*})$:

$$M(h_n/h),, \frac{\pi}{10}v_n-(v_1+...+v_{n-1})\lg 4-\lg\frac{\delta_1}{\delta_n}+\lg C_h.$$

Where $C_h\in ¡^{+}$. Taking into account that $h_n=2\pi v_n/\tilde{n}_n\sqrt{\delta_n}$,we find that (4.19) holds when

$$(v_1+\ldots+v_{n-1})\log 4,, \frac{\pi}{10}v_n,$$

And

$$\sup_{p\in¥}\left(\log\frac{h_n^p}{hM_p\delta_n}\right)<c_h.$$

Where ch constant depend with h and δ_1. The successful construction of the function $a(t)$ enabled us to obtain a solution u in the form of a convergent series in $C^2\left([0,L],E^{*}\right)$. Moreover, we observe from (4.9) and (4.11) that

$$\begin{cases}\left|v_n\left(t_n''\right)\right|=\mathcal{O}\dfrac{\tilde{n}_n}{v_n}\exp\left(\dfrac{\pi}{10}v_n\right)\\ \left|v_n'\left(t_n''\right)\right|=\mathcal{O}\exp\left(\dfrac{\pi}{10}v_n\right)\end{cases},$$

with $\mathcal{O}$ and $\mathcal{O}$ are positive constants. After substituting h_n we obtained

$$\left|v_n\left(t_n''\right)\right|\ldots\frac{1}{\mathcal{O}}\exp\left(\frac{\mu}{2}h_n\right),$$

where $\mathcal{O}$ and μ are positive constants. Inequality (4.23) shows that $\{u(\cdot,t_n'')\}$ is unbounded in the space of distributions. The sequences $\tilde{n}_n$, $\mathbf{v}_n$, and δ_n are chosen as in [4], satisfying the conditions (4.2), (4.5),(4.6), (4.17), (4.20) and (4.21).

$$\begin{cases}\tilde{n}_n=2^{-n}T_*\\ v_n=2^{n^2}\\ \delta_n=2^{-(k+\alpha)(n+1)(n+2)-2n}\end{cases}$$

In particular

$$h_n=\frac{2\pi}{L}2^{n^2+2n+(k+\alpha)(n+1)(n+2)/2}.$$

V. CONCLUSION AND FUTURE WORK

In conclusion, this paper addresses the weakly hyperbolic Cauchy problem by considering Hölder's regularity of coefficients dependent on time within the framework of M-ultradifferentiable well-posedness. By formulating an equivalent condition of well-posedness within the framework of Gevrey regularity, we guarantee the well-posedness of the problem for a family of M-ultradifferentiable functions, characterized by the function corresponding to the sequence *M*. In the future, this condition can be used as a starting point to derive conditions ensuring the stability and solvability of weakly hyperbolic Cauchy problems within ultradistributions of classes *M*. This research opens up new possibilities for investigating the relationship between the identified condition and the solvability of such problems in the framework of ultradistributions. The findings have the potential to contribute to the development of analytical techniques and criteria for studying and applying ultradistributions in various mathematical models.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: All authors.
Methodology: All authors.
Investigation: All authors.
Discussion of results: All authors.

Writing – Original Draft: Author One, Author Two.
Writing – Review and Editing: All authors.
Resources: All authors.
Supervision: All authors.
Approval of the final text: Author One, Author Two and Author Three.

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FIREFLY-BASED OPTIMIZED LINK STATE ROUTING PROTOCOL FOR ENERGY-EFFICIENT VEHICULAR AD HOC NETWORKS

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ABSTRACT

Vehicular ad hoc networks (VANETs), a burgeoning technology within the wireless technology field, hold great promise. As it continues its progress, it stands ready to make increasingly significant contributions to advancing intelligent transportation systems in the foreseeable future. The scale of infrastructure, the number of vehicles, the complexity of scenarios, and the mobility of nodes can collectively contribute to heightened energy consumption during route selection between source and destination nodes, as well as during the transmission of application packets. VANET opts for routes containing a minimal count of intermediary nodes to reach the intended destination efficiently. With the expansion of the distance between nodes, there is a proportional increase in the requirement for broadcast power. The power capacity of the nodes directly influences the ease of establishing a route between two nodes. In this paper, we proposed a Firefly Optimized Link State Routing (F-OLSR) protocol, which utilizes swarm intelligence principles through the firefly algorithm (FFA). The goal is to enhance energy efficiency within an Optimized Link State Routing (OLSR) framework. The route is chosen depending on the amount of power the intermediary nodes between the source and destination nodes. The evaluation performance of the F-OLSR protocol was compared with that of popular protocols. The F-OLSR protocol was demonstrated to be an effective solution for choosing the optimal path with high power from source to destination and improving performance. Regarding energy consumption, the F-OLSR protocol achieved 2.30% and 2.31% concerning the packet size and node speed, which is better results in terms of packet size and node speed, which is a better result than the other protocols.

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I. INTRODUCTION

Wireless networks have gained significant attention in communication over the past few years. It finds applications across various technological domains, including industries, the military, and personal networks. One of the reasons why they are widely used is through wireless networks [1], [2]. In addition, the networks are not limited to fixed infrastructure, and this makes them unique compared to wired networks such as cellular networks, Wi-Fi, satellite communications, and others [3].

VANETs represent the specialized version of MANET, which is different in determining its architecture, a complex nature, and special applications [4]. Considering the prevalence of cars and vehicles in the modern era, there is an essential problem that regards the increasing number of fatalities and accidents on the roads and roads [5], [6]. VANETs are based on Dedicated Short Range Communication (DSRC) which allows cars and roadside buildings to be in contact with each other [7], [8]. This information system can be used to enable vehicles to share various types of information, including traffic, road conditions, and safety information, all of which are aimed at making traffic processes more efficient and ensuring road safety [9-11]. Figure 1 gives an example of a VANET.

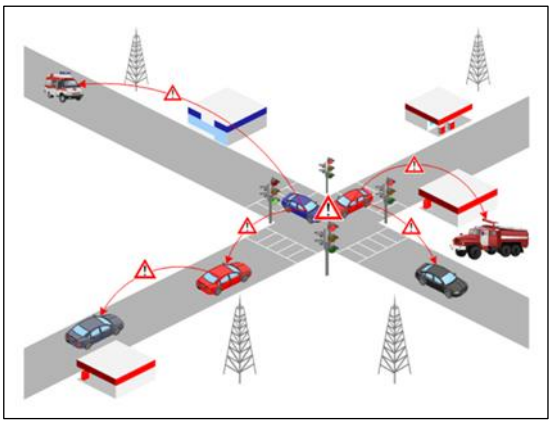


Figure 1: VANET communication.
Source: [12].

Differentiation of communications in VANETs which are Vehicle-to-vehicle (V2V) and vehicle-to-infrastructure (V2I) communications are typically classified as two categories. These are part of wireless interactions on a medium referred to as a Wireless Access in Vehicular Environments (WAVE) [13-16]. Application Unit (AU) and Onboard Unit (OBU) are the key units that support the communication of vehicles. With the usage of the OBU, every vehicle on the road has collected and analyzed information and sends data packets to all nearby Road Side Units (RSUs) or vehicles. The RSUs are WAVE devices that are either placed at the side or strategic points like intersections and parking area surrounding them [17-19].

Usually, the design of VANET routing protocols does not focus on power consumption [20]. Their major concern is to support the high velocity of node mobility and unpredictability of the wireless environment [21]. When a computer network is involved, or any other network in a network, the power levels of a specific node may in fact be a decisive factor in the ease of finding a path connecting two nodes [22]. Besides, Optimised Link State Routing (OLSR) is a well-established protocol in mobile ad hoc networks, although the standard edition is only slightly responsive to the special problems of VANETs, specifically regarding energy efficiency [23-25]. The large energy consumption of cars involved in constant data transmission can add to the Net-work instability and higher operation cost which are critical concerns in the large-scale development.

However, energy conservation is another important issue in the development of green, smart cities where the VANETs would play a key role. In an attempt to discuss this in a further detail, in VANET situation, the protocol chooses the route with minimum intermediary nodes to the target. As the distance between nodes is further, there is the increment in the need of transmission power. This paper presents us with Firefly Optimized Link State Routing (F-OLSR) protocol. The F-OLSR improves the traditional OLSR protocol by employing the attractiveness behaviour of the Firefly algorithm to identify the optimal routing path. The purpose of this bio-inspired approach is to enhance routing efficiency to mobile ad hoc network on VANET [26].

The given protocol is a combination of the FFA and OLSR protocol. The suggested FFA is specifically used to improve the path selection processes through the consideration of different parameters. It tries to ensure a good route by choosing intermediate nodes with a high energy value. The FFA algorithm works on the assumption that communication elements of a device have different power consumption levels when transmitting data and receiving data. When this algorithm is implemented, it can be seen that the path with the fewest amount of communication nodes between two communication nodes can not always be the most energy-efficient. In multi-hop networks such as the VANETs, this requires the combination of energy information in all the nodes in the multi-hop path in order to assess energy consumed in the communication path. Thus, the main ideas of this paper include:

Creation of F-OLSR which is the proactive routing protocol in vehicle communications that is based on ABC selects the routes which consume minimal power. Assessing the performance of the newly implemented F-OLSR protocol by comparing it to the BOLSR, BeeIP and OLSR routing protocol. The remainder of this paper is organized as follows: Section 2 reviews related studies, whereas section 3 describes the research materials and methods. Section 4 presents the proposed approach and Section 5 is dedicated for the simulation model and parameters. Section 6 entails a complete description of the performance metrics. Section 7 clarifies the experimental findings and Section 8 concludes the suggested algorithm.

II. LITERATURE REVIEW

To begin with, VANET has drawn the attention of many scholars. Among the most important questions in the framework of VANETs is the question of the best path that would allow the transmission power to the maximum between the source and the destination. The literature has suggested a wide range of methods of using VANETs with swarm intelligence algorithms, such as bat algorithm, bee colony, and ant colony. Several research studies were devoted to the challenging aspect of maintaining and detecting the correct route that secure commuication between a source and a target nodes with respect to dynamic changes in network topology and changes in mobility patterns.

In a similar publication [10], [27] a new routing protocol was suggested to be used in VANETs called F-Ant with the basis of which is the fuzzy logic. The protocol uses bandwidth, connection and vehicle congestion as some of the factors, to determine the validity of the links. Considering the difficulties of bandwidth constraints and vehicle congestion in VANETs, F-Ant is interested in providing the quality of road safety services and pursuing specific Quality of Service (QoS) goals, such as the attainment of the high delivery rate with minimum E2E delays. The efficacy of F-Ant is proved by simulation results, which are specifically effective in the city. It has a high benchmark performance when compared to ABC and AODV protocols both in terms of E2E and PDR performance. The proposed protocol, however, is a very energy-intensive method of transferring the packet through the network.

The author came up with a bio-inspired clustering algorithm in FANETs known as BICsf, which involves the use of a hybrid algorithm between the glowworm swarm optimization (GSO) and krill herd (KH) algorithm [28]. The proposed scheme will include energy conscious cluster formation and cluster head election through GSO algorithm. Moreover, an effective cluster managing algorithm is created based on the behavioral principles of KH. Genetic operators, which include mutation and crossover, are also used to find the best location of UAVs. In route choice, a weighted-residual-energy-based path-detection function, number of neighbors, and inter-UAV-distance are used, in order to provide the most efficient communication. BICSF performance is measured against cluster-building time, energy consumption, cluster lifetime and delivery success probability and compared to clustering algorithms using the grey wolf optimization algorithm and ant colony optimization algorithm.

In [29], GreeDi-based reactive routing protocol was presented to maximize the energy-efficient routing of source and destination nodes in VANETs. The protocol's route selection hinges on evaluating intermediary nodes' energy consumption between the source and destination. The algorithm's efficacy was assessed within VANET scenarios modeled on city maps. Notably, GreeDi demonstrated superior performance compared to the original AODV protocol, particularly concerning power consumption. However, the GreeDi protocol has less throughput, a maximum average throughput reaching 54%. The Bee-inspired protocol, known as BeeIP, was introduced by [30], with the authors investigating the protocol's foundation in swarm intelligence (SI). This protocol is developed to make multi-path routing for mobile nodes. The BeeIP utilizes hunters to accumulate route evidence and assigns a selection metric value to each path during their return journey. These metrics' significance and impact on protocol behavior cannot be overstated.

An experimentally evaluated metric within BeeIP focuses on speed, which involves the addition of transmission delay along each intermediate connection in the route, beginning from the target and progressing to the source. This methodology guarantees the selection of the swiftest path among the available choices. BeeIP is intended to estimate the routing on the path basis and to identify the failure of links in case no forager packets are received back to the source node within a designated time. In such instances, the source node assigns a foraging capacity of zero to the path and classifies it as unrecognized. This dual approach prevents the assignment of the broken path's ID to future foragers while also allowing the path to potentially become available again if a forager ultimately returns to become available again if a forager ultimately returns potentially. Simulation results highlight BeeIP's commendable adaptability and efficiency in choosing the most suitable path.

The outcomes demonstrate that BeeIP consistently outperforms other protocols regarding overall performance. Similarly, the artificial bee colony was introduced for mobile ad-hoc networks for minimizing energy consumption [8]. In [29], a new protocol was proposed, which was named Bat-Optimized Link State Routing (BOLSR) to make OLSR protocol more energy-efficient. It is important to note that both OLSR and the Bat Algorithm (BA) use mechanisms of path discovery that are similar in that both use the exchange of particular signals. By taking advantage of this shared attribute, BOLSR calculates an optimal path between a source node and a destination node by taking into account the power relationship between network nodes. To determine the performance of BOLSR, it was compared to CAABO and the conventional OLSR protocol through performance metrics like routing overhead, energy consumption, and end-to-end (E2E) delay. The findings indicate that BOLSR decreases energy usage and increases the total network life cycle.

Nonetheless, the suggested protocol can still be enhanced in regards to energy efficiency and throughput. A different refined protocol, which was also known as ECBLTR was suggested in [12] aimed to maximize the lifetime of the network. This protocol tackles the reduction of efficiency of a network in VANETs due to the high mobility rate of vehicles. To select cluster head (CH), a Sugeno fuzzy inference model is used and a number of input parameters have been utilized, which are residual energy, local distance, node degree, node concentration and distance to the base station. The findings indicate that with the combination of a suitable channel model and a good routing protocol, link throughput in VANETs may be greatly enhanced, especially when the size of the network is constant. Nevertheless, ECBLTR protocol has a relatively high power consumption. The proposed methodology of the study is introduced in section 3.

III. METHODOLOGY

This paper presents a routing protocol specifically designed for energy-efficient operation in VANETs. The key elements of this paper include the incorporation of the OLSR methodology, the utilization of the Firefly algorithm (FFA), and the assessment metrics applied for network testing.

III.1 OPTIMIZED LINK STATE ROUTING (OLSR)

It is an active routing strategy that works in a network setting, as presented by Clausen et al. It is made upon the link-state (LS) framework, which has been improved to reduce the number of packets and control traffic flooding [31]. The OLSR's functionality revolves around broadcasting messages within the network using Multi-Point Relays (MPRs), which are nodes specifically designated for transmitting these messages [30], [32]. The OLSR protocol is completely decentralized and it does not require any central body. It does not necessitate a high degree of reliability in controlling message transmission because they are periodically transmitted and are denoted by sequence numbers, which allow correct ordering. The other important characteristic of OLSR is that it is suitable to mobile nodes. Multi-Point Relays (MPRs) use reduce redundancy in the retransmission across the same neighborhood. In the network, a special group of neighboring nodes called MPRs is chosen by each node in the network, and it is the MPRs that pass broadcast packets [30], [33].

Therefore, the non-member nodes which are not included in the MPR set of a node are capable of receiving and processing the data packets but not forwarding or re-transmitting them [34]. The MPR set is selected from the pool of one-hop neighbors connected by bidirectional links [35]. In this procedure, each node must identify its neighboring nodes with direct links. All links need to be assessed in both directions to confirm these nodes. In this context, each node generates periodic broadcasts of hello messages containing details about its neighbors and the status of their links. These messages enable each node to gather information about its neighbors within a two-hop range, subsequently facilitating the selection of the MPR set.

Node initiates the construction of the MPR selector table, a table for one-hop neighbors, and another for two-hop neighbors [31], [33]. No additional distribution of a unique hello message occurs throughout the entire network. The fact that this happens implies that the nodes who receive such messages do not forward them any further [35], [36]. To establish and maintain the network's essential topology information for routing data packets, each node periodically sends out specific control messages known as "Topology Control" (TC). These TC messages are disseminated as overall transmission packets across the network. The data extracted from TC packets is subsequently kept in a suitable topology table. Each node preserves a routing table that aids in directing data packets to their intended destinations within the network.

Upon receiving TC messages, nodes analyze them and store connected pairs as a combination of the last hop and the current node. Here, the node represents addresses identified in the TC message list [27]. This stored data as the foundation for constructing the routing table sequentially, resulting in the connected pairs being in descending order. To control the most effective path from the source to the target, a sequence of interconnected pairs must be identified, continuing till the final hop node within the source's neighboring set is reached [35], [37]. These connected pairs, forming the route with minimal power consumption, are chosen by various forwarding nodes. In cases where there's a change in the bidirectional link within the neighboring configuration, recalculating the routing table becomes necessary [38].

III.2 FIREFLY ALGORITHM (FFA)

FFA is a swarm-based intelligence algorithm inspired by the flashing behavior and attraction patterns of fireflies. In nature, Fireflies use their bioluminescent flashes as signals to communicate with potential mates and ward off predators. Fireflies are translated to candidate solutions In the Firefly Algorithm (FFA), where each solution moves through the search space based on their brightness and attractiveness to other fireflies. FFA is based on the notion of attraction to brighter individuals, where the movement toward more luminous fireflies enable the swarm to converge on optimal solutions. In FFA, the brightness of each firefly is the solution's quality, the better the solution, the brighter it shines. Fireflies with higher brightness attract those with lower brightness, which enables the FFA to explore the solution space effectively. This movement continues till no firefly is visible within range, then random movement is triggered to promote exploration of unexplored regions.

The algorithm works based on a population of fireflies with each of the fireflies positioning in the search space being the potential routing path. The attraction between the fireflies reduces with distance, hence, balancing exploration and exploitation in the process of optimization. The FFA starts with a swarm of size SN fireflies deployed randomly, each of them represents a routing path. Let Xi = {x(i, 1), x(i, 2), …, x(i, D)} represent the ith firefly's position in the swarm, with D indicating the dimensionality of the problem. Each firefly is associated with a brightness I(X), and attractiveness \beta, where the objective function f(X) is proportional to the brightness. The attractiveness is a relative value with respect to the distance to other fireflies. Also, light intensity diminishes as the distance from its source increases. Moreover, the light of a firefly is impacted by the medium absorption, which eventually decreases its attractiveness. Hence, the distance between two fireflies, and the absorption coefficient are considered in calculating a firefly's attractiveness as shown in Equation 1.

$$\beta(r) = \beta_0 e^{-\gamma r^2} \tag{1}$$

Where *r* is the distance between two fireflies, γ is the absorption coefficient, and β_0 is the attractiveness at *r=0*. We set the light absorption coefficient to $\gamma = 1$and the baseline attractiveness to $\beta_0 = 1$. This provides a natural, dimensionless decay of attractiveness per hop in graph-based routing. This ensures that fireflies interact primarily with near neighbors, which aligns with the localized decision-making of link-state routing protocols such as OLSR.The exponential term in Equation 1 ensures that attractiveness diminishes as the distance between fireflies increases, preventing premature convergence and encouraging balanced exploration. The distance *r_ij* between any two fireflies *xi* and *xj* in FFA is computed using the Euclidean distance formula, as presented in Equation 2.

$$r_{ij} = \|x_i - x_j\| = \sqrt{\sum_{m=1}^{D} (x_{im} - x_{jm})^2} \tag{2}$$

A firefly x_i moves toward a brighter (more attractive) firefly x_j based on the following movement equation 3.

$$x_i(t+1) = x_i(t) + \beta \times r\left(x_j(t) - x_i(t)\right) + \alpha \times \epsilon_i \tag{3}$$

Where α is a randomization controller parameter, and ϵ is a uniformly generated random vector. In this work, we set the value of α to 0.2 which is typically used in previous FFA studies to avoid slow convergence, or stagnating in low-quality local optima.

When all fireflies have similar brightness levels or when a firefly cannot find a brighter neighbor. Thus, the second term in Equation 3 performs a random walk to explore new regions of the search space [39].

IV. THE PROPOSED F-OLSR

The existing work mainly focuses on combining the FFA with the proactive routing protocol known as OLSR to implement the F-OLSR routing protocol and improve energy consumption. In order to succeed in the VANET systems, the cooperation of the nodes is essential, as they should exchange the information concerning the link quality and partial route. The issue of power consumption is a major issue with VANETs because the node can crash when the battery power runs out, negatively affecting the network life. It is thus necessary to enhance routing protocols to choose routes of nodes of high energy levels. We suggested F-OLSR which applies Firefly Algorithm (FFA) in determining the shortest paths with the nodes of high power and thus saving energy in all nodes and greatly increasing network lifetime. Path discovery in this method is done through OLSR and the optimization of energy efficient routes is done through F-OLSR algorithm (as shown in Algorithm 1).

Algorithm 1: F-OLSR Algorithm.

Generate nodes (*i=1, ..., N*)
Initialize node positions.
Initialize the speed of nodes randomly.
Specify the *Src* and *Dis* nodes
Initialize the population of solution X_i, *i=1, ..., SN*
Send a HELLO message from each node to it is neighbors
If the *node is in the busy or free state* **then**
  For *all fireflies in X* **do**
    While *the entire network remains unprotected* **do**
      Determine the path of X_i
      Identify the neighbors of the route
      Compute the distance between adjacent anodes
      Calculate fitness (light intensity) of each firefly
    End while
  End for
  Memorize the brightest firefly (best route) OP= [ ]
While *(stopping criteria are not met)* **do**
  For each firefly i = 1 to SN do
    For each firefly j = 1 to SN do
      If (Intensity_j > Intensity_i) then
        Calculate the distance based on Equation 2
        Compute attractiveness with repect to new distance
        $X_i \leftarrow$ *update firefly position based on Equaiton* 3
        Calculate f(Xi) and update light intensity
      End if
End for
End for
Calculate fitness value for all solutions Rank fireflies and find the current best solution Update the optimal path OP = [ ] with the brightest firefly
c = c + 1
If the current best route surpasses the route stored in OP then
Update OP with the new best position
End if
End while
Return OP

Source: Authors, (2026).

The first step of the suggested algorithm is producing as many nodes (fireflies) as indicated as (*i=1*) of a population of *SN*. The second step is to initialize the positions of the nodes where each node is given a randomly generated velocity and the source and destination node is given. After this the population X_i of solutions is established each solution X_i (*i = 1, 2,...SN*) being expressed in a vector form, *SN* being the number of solutions. In the initial setup, every node transmits a HELLO packet to all his neighbors to establish whether a node is free or occupied.

Fireflies modify their positions (solutions) relative to the brightness of other fireflies in the swarm and also relative to the level of energy by the measure of the fitness score of the new solution. Upon this search, fireflies mutually communicate and share energy information, calculate the position of nodes, and calculate distances. The equation (4) used in the calculation of energy-related information is the fitness function that is used in calculating the brightness of each firefly. It is also necessary to determine power-draining or energy-conscious nodes.

$$f(x) = \sum_{i=1}^{D} Energy\ (x_i) \tag{4}$$

Where $Energy\ (x_i)$ is the remainder energy in the selected *ith* node. The FFA constantly calculates energy probability every time the node visits the network. It is significant to identify the count of nodes demonstrating complete power awareness or susceptible to leakage of power efficiency. The method entails a starting step, and a main search procedure that is repeated till a satisfactory fitness answer is discovered on the most OLSR-conscious node. The algorithm will verify that there is a source route and calculate the amount of nodes around a brighter firefly as a firefly relocates towards it. In case there is no source route, this algorithm will spawn a packet broadcast and reconsider firefly energy. In addition, it separates outgoing and incoming broadcast packets with respect to energy transmission.

Therefore, a node that is located distant consumes significant energy causing an increase in energy loss. The approach that we propose implies the use of the route requests through intermediary nodes. The FFA attempts to determine the nodes that have high power availability by ignoring the nodes which have small power resources. At the destination, the FFA helps determine an optimum path between the source and the target taking into account the power of the intermediate node and attempting to reduce the number of hops made. The number of solutions in F-OLSR is shown in figure 2. Upon identification of the best route, transmission packets are launched using the source node. This is the best choice of path illustrated in Figure 3.

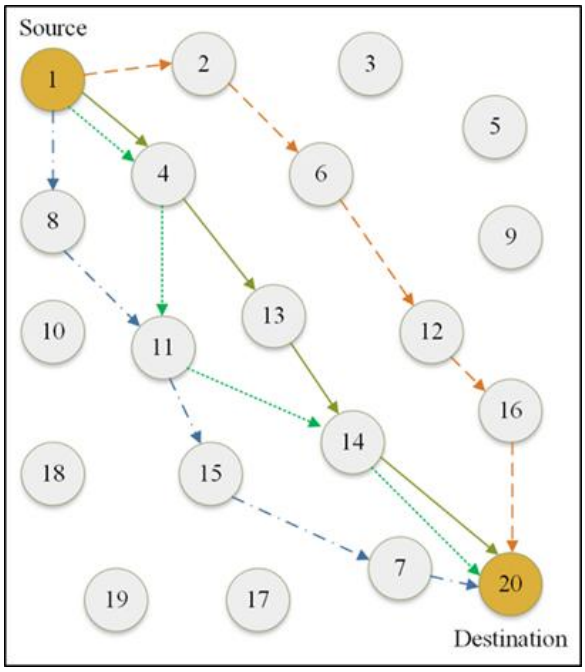


Figure 2: An excerpt of number of solutions in F-OLSR.
Source: Authors, (2026).

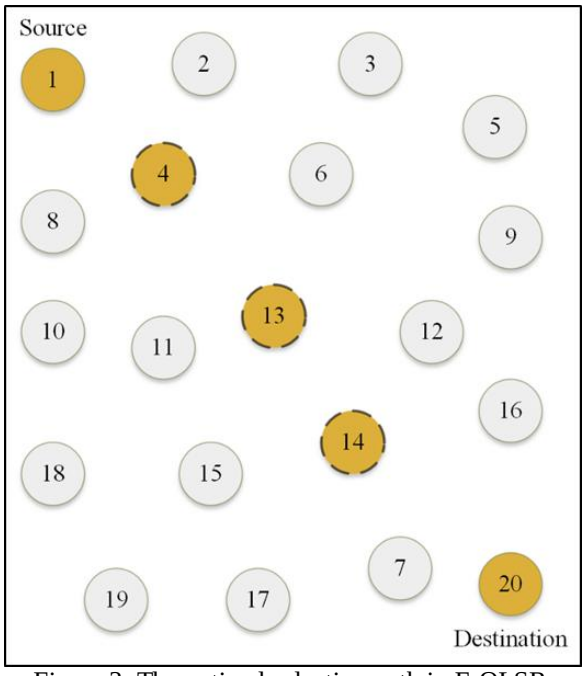


Figure 3: The optimal selection path in F-OLSR.
Source: Authors, (2026).

This paper provides configuration of the network through an OTcl script that defines the routing protocol, the network traffic, the number of nodes and the propagation model that should be used. Then, a trace file and Network Animator (NAM) will be produced from the simulation process to be used for data analysis and visualization, respectively.

V. SIMULATION MODEL AND PARAMETERS

The simulation is discussed based on the proposed F-OLSR protocol. The ageing objective of this simulation was to improve the functionality of VANET and increase its longevity. It was intended to utilize the F-OLSR protocol to find routes that had a high energy cost, a high throughput and reduced delays. The key actions performed on the way to the implementation of the simulation of the proposed F-OLSR protocol are demonstrated in Figure 4. The study was chosen in two real life scenarios, one in an urban setting and the other in a highway setting. Precisely, the urban scenario selected was Auckland CBD, and the highway scenario was the Auckland motorway. There are four basic modules of the simulation model. The former module is the creation of the VANET environment that sets up the setting of the simulation.

These involve the incorporation of the important VANET features like the size of the network, the number of nodes, bandwidth and other pertinent parameters. The next process involved routing protocols whereby a number of optimization algorithms were being applied to address the progression of solutions. Finally, but not the least, the performance assessment of the F-OLSR protocol was performed through the use of two scenarios. To begin with, the highest speed allowed to nodes is 5, 10, 15, 20 m/s. Secondly, the size of packets was varied by this simulation e.g. 128, 256, 512, and 1024 bytes. Evaluation was done using a random-based mobility model which is a standard mobility model in VANET. Finally, the protocol was evaluated in terms of major measures e.g. the ratio of delivered packets, average energy rate, average delay, and throughput.

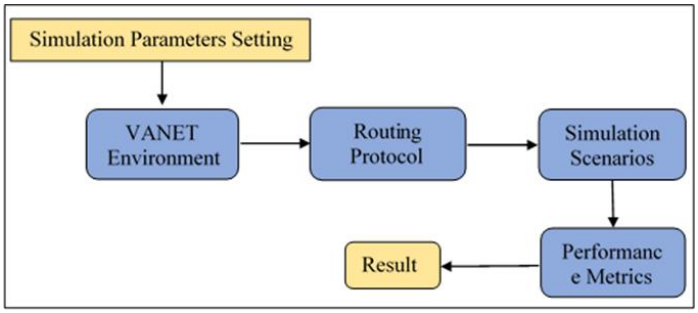


Figure 4: The VANET Simulation Model.
Source: Authors, (2026).

The type of traffic utilized in the experiments is the Constant Bit Rate (CBR) that is normally used with the UDP transport on a multi-hop network and is applicable in the real-time applications. Each node was configured to have a transmission range of 250m. The simulation area was 1200 x 800 m in length and width under all conditions where node energy is set at 100J and the duration of the simulation was 40s. The distribution of the nodes was random and placed in 20 positions with two nodes at a large distance as the source and destination. Table 1 summarizes all the simulation parameters.

Table 1: Simulation Parameters.

Parameter	Value	Unit
Number of nodes	20	Nodes
Queue size	100	Packet
Scenario Dimension (m x m)	1200 x 800	M2
Protocols	F-OLSR, OLSR, BEEIP	Protocols
Packet size	128, 256, 512, 1024	Bytes
Transmission range	250	m
Application layer	CBR	_
Initial energy	100	Joules
Power consumption during transmission	1.35	mW
Sleep power	0.001	mW
Idle power consumption	0.05	mW
Power consumption during reception	1.7	mW
Simulation duration	40	Second
Transport layer	UDP	_

Source: Authors, (2026).

VI. PERFORMANCE METRICS

Performance measurements are very essential to the quantitative estimation of routing protocols in VANET. The evaluation of the performance of the networks or even the comparison of the analysis of various routing protocols requires quantitative measurement so that the measurement can be made. In this current work, the performance criteria in the aforementioned evaluation are a lot, and they include as further discussed below:

1. Average Delay

The time taken to accurately transmit a data packet from source and to target over a network [30], [31]. The following equation is what is used to compute this measure:

$$Average\ Delay\ = \frac{\sum_{i=1}^{n}\ (R_i - S_i)}{n} \tag{5}$$

Here, *R* is the amount of packets received. *S* represents the total packets transmitted, and *N* is the total data packets.

2. Average Throughput

This is used to indicate the average number of data packets that have been successfully received during the simulation. It is a statistic that determines how effective the routing protocol is in enabling destinations to get data packets [24], [33]. Mean throughput will be calculated by use of the following formula:

$$Average\ Throughput = \frac{\sum Received\ Packets}{time\ duration\ from\ start\ to\ stop} * \frac{8}{1000} \tag{6}$$

3. Average Energy

Mean energy usage is estimated by the total number of energy used by each node divided by the energy used initially*:*

$$Average\ energy\ consumption = \frac{\sum energy\ consumed}{\sum initial\ energy} * 100 \tag{7}$$

4. Packet Delivery Ratio

This statistic is calculated by taking the total amount of data packets sent by the source nodes and dividing it by the total amount of data packets received by the destination nodes. It measures the effectiveness of a protocol to deliver the packets to its source to the intended recipient [34], [37]. The recipe to achieve the ratio of packets delivery is calculated as shown in the formula below:

$$PDR = \frac{\sum packets\ received\ by\ destinations}{\sum packets\ sent\ by\ sources} * 100 \quad (8)$$

VII. EXPERIMENTAL RESULTS

Figure 5(a) provides a comparison between the F-OLSR, BeeIP and OLSR protocols. The obtained results depend on the parameters, which are mentioned in Table 1 and different speeds of nodes. The outcome of the average throughput is contrasted at varying node speeds. The routing protocols have varying throughputs on average, with an increase in the speed of the nodes in the network. With increased speed of 5 m/s to 20 m/s, F-OLSR recorded a throughput of 58.61-49.16 kbps, BeeIP recorded throughput of 44.19-43.81 kbps and OLSR recorded a throughput of 46.29- 40.92 kbps. These results emphasize the high performance of F-OLSR with regard to the mean throughput compared to the other routing standards. This is attributed to the increased loss ratio of packets due to node speeds which are fluctuating; making both the OLSR and BeeIP to share this advantage. The channel capacity is also efficiently utilized when the packets reach their destinations promptly and without any losses hence raising the throughput.

VII.1 IMPACT OF NODE SPEED

The comparisons of the F-OLSR, BICSF, BeeIP and OLSR protocols on average energy are presented in figure 5(b). Mean energy is compared between various node speed. These routing protocols have emerged to have different patterns of energy uses when there is an increment in the speed of the nodes across the network. When the speed increased from 5 to 20 m/s, F-OLSR consistently showed consumption levels ranging from 0.023 to 0.024. It is worth noting that F-OLSR exhibited lower energy consumption compared to the BeeIP, BICSF, and OLSR protocols. This mismatch can be traced to using an FFA in the F-OLSR protocol. This protocol successfully chooses the most efficient and effective path between sources and destinations. Consequently, as the algorithm retains the route information in its memory, the previously required power consumption for route identification on each node is diminished.

The variations in the average E2E delay for the F-OLSR, BeeIP, BOLSR, and OLSR protocols are shown in Figure 5(c). These routing protocols exhibit diverse average delays as node speeds increase. The speed escalated from 5 to 20 m/s, F-OLSR's delay rose from 7.92 to 21.80 ms, the BeeIP protocol increased from 37.10 to 37.98 ms, BOLSR showed a rise from 15 to 15.5 ms, and OLSR saw an increase from 26.03 to 32.20 ms. These results confirm the average latency advantage of F-OLSR over alternative routing protocols. The benefit of the F-OLSR protocol is that it keeps track of the shortest way between sources and destinations, removing the need to spend time setting up the path at each intermediate node for each transmission.

Figure 5(d) shows the experimental findings for the F-OLSR, BeeIP, BOLSR, and OLSR protocols regarding the PDR. The suggested protocol outperforms the BeeIP and OLSR protocols in terms of PDR. When node's speed is 5 m/s, the F-OLSR achieves 99.88%, whereas BeeIP reaches 99.74%, BOLSR achieves 86.10%, and OLSR is 99.67%. This phenomenon is attributed to F-OLSR's retaining and acknowledging its established path. As a result, data transmission strictly follows the path determined by the protocol. As a result, effective packet delivery is the norm, and the packet delivery ratio maintains high consistency. Additionally, the protocol's minimal retransmission and drop rates contribute to the enhancement of high throughput. A comparison of the proposed protocol's node speed performance versus several cutting-edge protocols is shown in Table 2.

Table 2: Results of the proposed protocol in comparison to the state-of-the-art protocols' performances.

Node Speed (m/s)	BOLSR	OLSR	BeeIP	F-OLSR	BICSF
Average throughput (kbps)					
5		46.29	44.19	**58.61**	
10		43.96	44.18	**55.46**	
15		40.95	43.88	**55.19**	
20		40.92	43.81	**49.16**	
t.test		0.00086	0.00086	-	
Average energy consumption (%)					
5		2.37	2.35	**2.31**	2.34
10		2.40	2.39	**2.34**	2.38
15		2.43	2.42	**2.38**	2.40
20		2.47	2.44	**2.41**	2.42
t.test		0.060	0.099	-	0.218
Average end-to-end delay (ms)					
5	19	26.03	37.10	**7.92**	
10	18.5	32.19	37.11	**10.90**	
15	16.7	30.44	36.81	**11.85**	
20	15.5	32.20	37.98	**13.8**	
t.test	0.0025	2.81E-05	3.90E-07	-	
Packet delivery Ratio (%)					
5	86.1	99.67	99.74	**99.88**	
10	81.5	99.67	99.71	**99.78**	
15	77.8	99.63	99.70	**99.79**	
20	75.3	99.63	99.69	**99.78**	
t.test	7.98E-05	0.00055	0.0057	-	

Source: Authors, (2026).

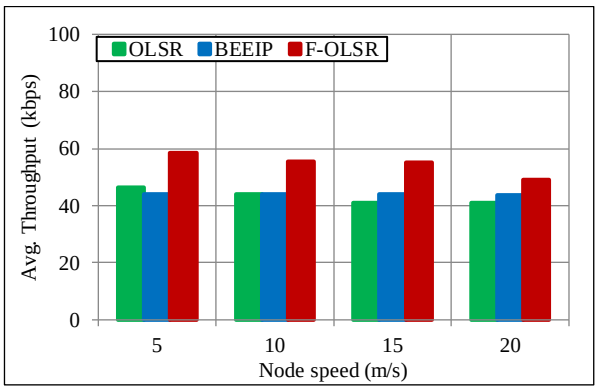


Figure 5(a): Average Throughput vs. Node Speed.
Source: Authors, (2026).

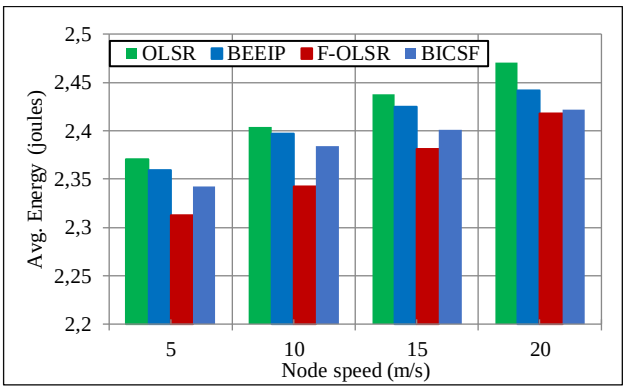


Figure 5(b): Average Energy vs. Node Speed.
Source: Authors, (2026).

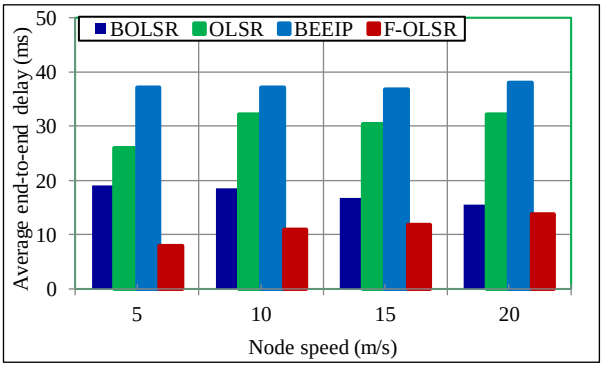


Figure 5(c): Average End-to-End Delay vs. Node Speed.
Source: Authors, (2026).

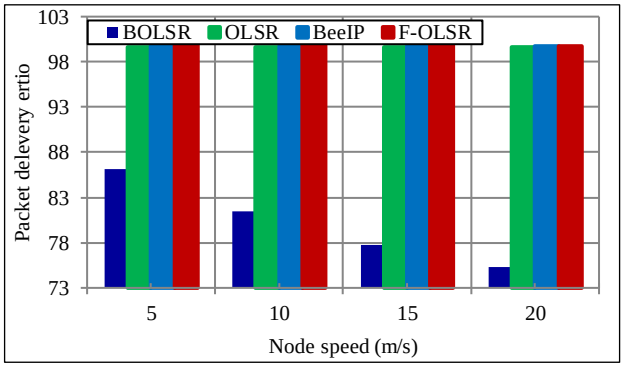


Figure 5(d): Packet Delivery Ratio vs. Node Speed.
Source: Authors, (2026).

VII.2 IMPACT OF PACKET SIZE

In this section, the performance of the proposed F-OLSR protocol is compared to the performances of BeeIP and OLSR protocols. Results of the experiment of average throughput were obtained at different packet sizes under given simulation parameters. As Figure 6(a) indicates, the average throughput also increases with the increase in the packet size between 128 and 1024 bytes. Compared to BeeIP and OLSR, F-OLSR has a better average throughput. Particularly, F-OLSR achieves average throughputs of 87.64 kbps and 150.34 kbps at the packet sizes of 128 bytes and 1024 bytes, respectively, in comparison with BeeIP with average throughputs of 26.08 kbps and 121.88 kbps, respectively, and OLSR with average throughputs of 40.51 kbps and 1 This is due to the reactive routing scheme that is used by F-OLSR. In case of a Route Request (RREQ), several Route Reply (RREP), messages are created/sent, which enables F-OLSR to keep the routes between the source and its destination current.

As a result, alternative paths may be taken in case of failure of the primary route causing the loss of packets and a huge enhancement in the average throughput. Figure 6 (b) shows how average energy consumption is varied among the protocols F-OLSR and BICSF, BeeIP and OLSR depending on the packet size. There is the proportional increase in average energy use with an increase in the size of the packet indicated in all protocols. The corresponding path quality measured by the F-OLSR was done by investigating four varying packet sizes. The minimum packet leninth sizes of 128 to 1024 bytes increased the energy consumption of F-OLSR by 0.30 per cent to 2.41 per cent, BICSF by 2.43 per cent to 3.01 per cent, BeeIP by 2.38 per cent to 2.68 per cent and OLSR by 2.41 per cent to 2.72 per cent. It is interesting to note that the available results clearly show that the proposed F-OLSR is better in terms of mean energy consumption compared to BICSF, BeeIP, and OLSR protocols.

This better test results are linked to the fact that as the protocol finds a route, then it repeatedly uses the same route to transmit all the packets. This is the shortest of the routes and involves the least number of hops. Therefore, intermediate nodes do not involve them in needless route search that would incur extra energy expenditure and battery drainage. In order to provide an overall picture, Table 3 shows a performance comparison of different protocols. The visual information in Figure 6(c) presents the mean of the individual time of the e2e delay in the circumstances of a packet size in case of F-OLSR, BeeIP, and OLSR protocols. These routing protocols exhibit some delay changes with e2e delays with increment in the size of the packet in the network. As the three protocols underwent packet size augmentation as 128 bytes to 1024 bytes, there were insignificant changes with the values ranging between 20.7 and 54.15 m/s, 31.94 and 70.85 m/s, and 33.66 and 77.72 m/s across F-OLSR, BeeIP, and OLSR respectively.

In addition, F-OLSR always has low end-to-end delays as opposed to the BeeIP and OLSR protocols. This is a positive attribute that is greatly credited to the fact that F-OLSR can control the majority of packets to follow a path that is most appropriate hence minimizing end-to-end delay. F-OLSR can keep real-time routing data and can quickly create alternative paths in case of a breakdown of the connection, e.g. in case of dynamic node repositioning through acceleration. Consequently, the mean e2e delay is reduced practically to minimal. Figure 6(d) shows the comparison of F-OLSR, BeeIP, and OLSR protocols in terms of the average PDR. The size of packets also affects the mean ratio of packet delivery as derived in the form of Eq. (5). In comparison to the BeeIP and the OLSR protocols, our protocol always yields a better average PDR.

An example is that, using 128 and 1024 bytes packet sizes, F-OLSR protocol achieves the average values of 99.69 and 99.70 in the delivery ratio of packets. This is because the higher the results of F-OLSR in terms of packet delivery ratio are relative to that of BeeIP and OLSR protocols as well. The usefulness of F-OLSR is due to the fact it deployed the FFA algorithm to constantly survey and modify its path as soon as the optimal and shortest path is noticed. As a result, the future data packets continue tracing the same path as the source to a destination without any extra overhead. This design reduces the occurrence of dropped packets, which results into higher ratio of packet delivery. Conversely, in OLSR and BeeIP, a source node will verify his or her route cache before trying to send a packet to a destination to make sure that there is an existing route there.

Table 3: The performances of the proposed protocol when compared with the performance of a few state of the art protocols in terms of the sizes of the packets used.

Packet Size (byte)	OLSR	BeeIP	F-OLSR	BICSF
Average throughput (kbps)				
128	40.51	26.08	**87.64**	
256	51.02	44.21	**105.26**	
512	84.02	93.65	**132.18**	
1024	105.95	121.88	**150.34**	
t.test	0.027	0.059	-	
Average energy consumption (%)				
128	2.41	2.38	**2.30**	2.43
256	2.41	2.43	**2.33**	2.41
512	2.51	2.43	**2.36**	2.62
1024	2.72	2.68	**2.41**	3.01
t.test	0.037	0.055	-	0.053
Average end-to-end delay (ms)				
128	33.66	31.94	**20.7**	
256	39.25	37.34	**23.50**	
512	55.88	49.78	**34.17**	
1024	77.72	70.85	**54.15**	
t.test	0.094	0.129	-	
Packet delivery Ratio (%)				
128	99.45	99.50	**99.69**	
256	99.49	99.51	**99.70**	
512	99.51	99.53	**99.71**	
1024	99.46	99.55	**99.7**	
t.test	1.003E-06	3.556E-06	-	

Source: Authors, (2026).

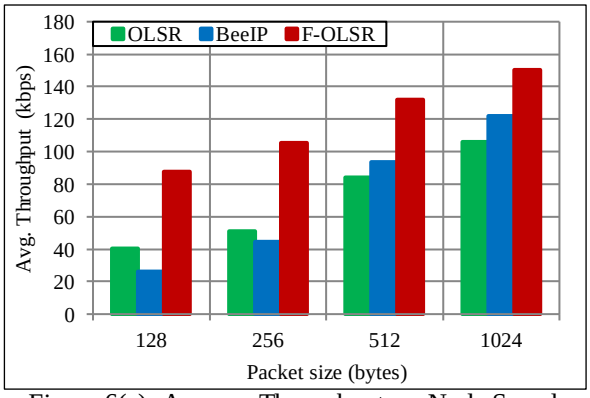


Figure 6(a): Average Throughput vs. Node Speed.
Source: Authors, (2026).

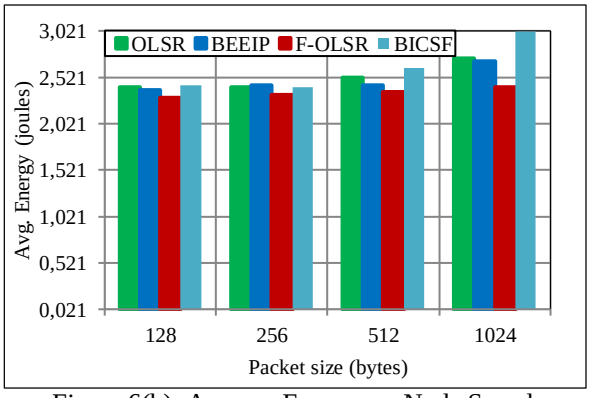


Figure 6(b): Average Energy vs. Node Speed.
Source: Authors, (2026).

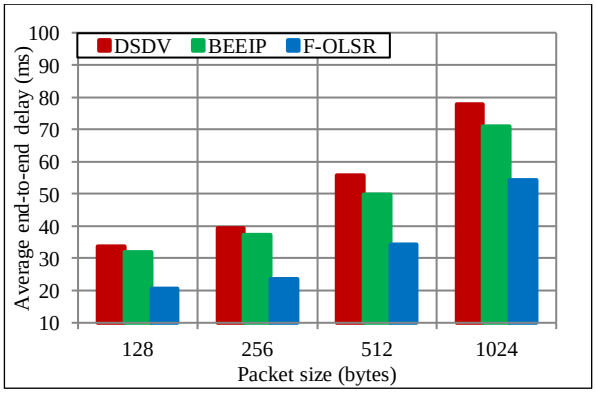


Figure 6(c). Average End-to-End Delay vs. Node Speed.
Source: Authors, (2026).

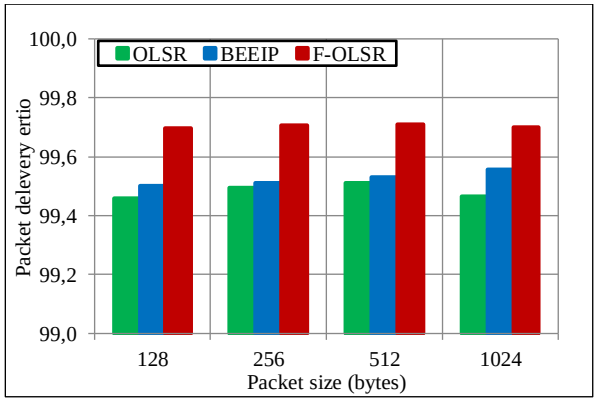


Figure 6(d): Packet Delivery Ratio vs. Node Speed.
Source: Authors, (2026).

VIII. CONCLUSIONS

The present research was dedicated to the optimization of the current OLSR routing protocol of VANETs. The offered F-OLSR is inspired by the behavior of a swarm of fireflies, constituting the attempt to address the problem of energy consumption under the impact of overloaded packets between the nodes of the sources and the destination. F-OLSR puts much emphasis on determining an optimal route. The performance of the protocol was measured using four different measures. The results of simulation assure the superiority of the proposed protocol to all the counterparts: BeeIP, BOLSR, and the standard OLSR protocols. This superiority is always exhibited in all parameters that have been studied such as speed of the node and the size of a packet.

The implicit strong point of the proposed F-OLSR protocol is that a solid path with nodes having the largest amount of energy is chosen. It was shown that the F-OLSR protocol is a good solution in selecting the best possible path with power that is high between source and destination and enhancing performance. On energy consumption, the F-OLSR protocol got 2.30 and 2.31 in relation to the packet size and speed of the node respectively that is superior to the other protocols. In further practice, as an attempt to solve security issues that are part of routing schemes, such as possible attacks such as black holes.

IX. AUTHOR'S CONTRIBUTION

Conceptualization: Mustafa Tareq, Saad Adnan Abed.
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Investigation: Mustafa Tareq, Saad Adnan Abed, Yasir Hadi Farhan.
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Approval of the final text: Mustafa Tareq, Yasir Hadi Farhan, Oualid Ali.

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RESEARCH ARTICLE OPEN ACCESS

CONSISTENCY VALIDATION OF TRANSFORMING UML STATECHART MODELS TO FLAT STATE MACHINES MODELS WITH USE APPROACH

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ABSTRACT

Model-Driven Engineering (MDE) supports software development through the systematic use of models, meta-models, and model transformations, making transformation validation a critical concern. This paper addresses the consistency validation of a transformation from UML statechart diagrams to Flat State Machines (FSMs). The transformation is formalized as a transformation model using a UML class diagram enriched with Object Constraint Language (OCL) invariants. The UML-based Specification Environment (USE) model validator is used to automatically verify transformation consistency and its implied properties, including weak consistency, class instantiability, and class and association instantiability. A case study based on an Automated Teller Machine (ATM) system demonstrates the effectiveness of the proposed approach in supporting reliable software development within Model-Driven Engineering.

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I. INTRODUCTION

Engineering systems are becoming increasingly complex due to the growing number of components and functions, as well as the involvement of multiple engineering disciplines. Managing this complexity has become a significant challenge, and MDE has emerged as a promising approach to address it [1]. Rather than relying primarily on document-based descriptions, MDE emphasizes the use of models as central engineering artifacts throughout the development process. These models capture and maintain relevant system information, are shared among stakeholders, and are manipulated using Computer-Aided Software Engineering (CASE) tools to support automation, for instance through model transformations. By enabling models to be processed by machines, MDE supports more informed decision-making across the system development lifecycle [2].

Model transformation is an important approach in MDE. It consists of a set of rules allowing the mapping of one model to another, by defining for each element of the source model its equivalent among the elements of the target. These rules are carried out by a transformation engine that reads the source model which must conform to the source meta-model, and applies the rules defined in the model transformation to produce the target model which will be itself conform to the target meta-model. From the MDE point of view, a transformation can be seen as a *transformation model* or *a model transformation* [3]. A transformation model can denote a computation, whose expression relies on a particular model of computation embedded in a transformation language. Model transformation focuses on the particular artifacts manipulated by a transformation (namely, meta-models for its specification and models for its execution) [4].

The computational nature will require that the underlying language guarantees some desirable properties, like termination and determinism, needed for the purpose of the transformations, independently of what a particular transformation expresses. On the other hand, manipulating models implies that specific properties of interest will be directly related to the involved models as well as the intrinsic intent behind the transformation: e.g., one may be interested in always producing conforming models by construction, or ensuring that target models still conserve their semantics [4]. Thus, model transformation provides important information about the relation between the elements connected by the transformation. Different verification approaches have been applied to model transformation in the literature with the two previous views.

In [5], [6], the authors propose a transformation from UML statechart diagrams to Flat State Machines (FSMs). Statechart diagrams are typically used to model the behavior of complex systems using a relatively informal notation, whereas FSMs constitute one of the most widely adopted behavioral models in computer programming and are defined using a more formal notation. This transformation represents a key stage in an automated methodology and supporting tool environment that aims to formally convert the dynamic behavior of systems specified in UML models into their equivalent Colored Petri Net representations, thereby enabling formal analysis and verification. Although numerous studies in the literature refer to and build upon this transformation (see, for instance, [7-10]), a formal validation is still lacking, primarily due to the complexity of the validation process. This paper addresses this gap by representing the transformation as a transformation model and assessing its consistency and implied properties through the application of the USE approach. The main objectives of this study are as follows:

1. Formally model the transformation from UML statechart diagrams to Flat State Machines as a transformation model using UML class diagrams enriched with OCL invariants.
2. Define and analyze the consistency property of the proposed transformation model and its implied properties, including weak consistency, class instantiability, and class and association instantiability.
3. Apply the USE model validator to automatically verify the consistency of the transformation model.
4. Illustrate the feasibility and effectiveness of the proposed approach through a realistic case study based on an Automated Teller Machine (ATM) system.

The remainder of this paper is organized as follows: Section II reviews related work on model transformation validation and the USE approach. Section III introduces the background and context of this study, detailing the transformation from UML statechart diagrams to Flat State Machines, including their respective meta-models, the underlying graph grammar rules, and an overview of the USE model validator and its supported verification properties. Section IV describes the proposed transformation model, which formalizes the statechart-to-FSM transformation using a UML class diagram enriched with OCL invariants to capture structural and semantic constraints. Section V is devoted to the validation of the proposed transformation model, where transformation consistency and its implied properties are defined and evaluated through a practical case study using the USE tool. Finally, Section VII concludes the paper by summarizing the main contributions and discussing potential directions for future research.

II. RELATED WORKS

Model transformation analysis and validation have been extensively studied, particularly in the context of UML, OCL, and database-related transformations. Several works leverage the USE (UML-based Specification Environment) tool to formally analyze transformation correctness and properties. Büttner and Bauerdick [11] introduce an early and influential approach for realizing UML model transformations using USE. Their work primarily focuses on the handling of OCL invariants and expressions attached to UML class diagrams. A key contribution is the demonstration of how invariants must be systematically adapted when structural modifications occur during transformations, such as changes in association multiplicities or class structures.

This work establishes USE as a practical environment for validating transformation-related constraints. [12], [13] further advance this line of research by studying transformations between Entity–Relationship (ER) schemata and relational database schemata. They represent transformations as explicit transformation models that connect source and target meta-models. Using USE, the authors analyze essential transformation properties, including consistency and the presence of implied properties. Their approach enables the detection of semantic mismatches between source and target models and provides formal guarantees about transformation correctness. Building upon this foundation, [14] focus on invariant independence in transformation models.

Their work addresses the problem of redundancy in invariant sets by checking whether invariants can be derived from others. By applying USE-based analysis techniques, they show how invariant independence can be formally verified, thereby improving model clarity, maintainability, and correctness in UML and OCL-based transformations. Beyond structural and invariant-based analysis, [15] extend UML model validation to the temporal dimension. They propose a methodological framework and tool, TPV, that allows designers to specify and validate temporal properties in UML class diagrams.

This work broadens the scope of model analysis by enabling the verification of time-related constraints, which are increasingly important in complex and dynamic systems. Finally, [16] address the testing aspect of model transformations by proposing a specification-driven testing framework. Their approach systematically integrates the main phases of model transformation testing—test design, execution, and evaluation—into a unified framework. This work complements formal analysis approaches by emphasizing systematic testing as a means to increase confidence in transformation correctness.

III. BACKGROUND AND CONTEXT

This section provides the background and context of the study. It introduces the transformation considered in this work and describes the approach adopted to validate the proposed transformation**.**

III.1 STATECHART MODEL TO FLAT STATE MACHINE MODEL TRANSFORMATION

In this subsection, we describe the transformation process from a UML statechart diagram to a Flat State Machine (FSM), as presented in [6].

III.1.1 Statechart Diagram Meta-Model

A statechart diagram consists of states, both simple and composite, and transitions that are associated with events and actions. Each state is characterized by several elements, including a name, which is a textual identifier that may be omitted, as well as entry and exit actions that are executed upon entering and leaving the state, respectively.

Composite states exhibit a nested structure of substates, which may be organized either sequentially or concurrently. Statechart transitions are represented by standard finite state machine arcs, specifying a change from a source state to a target (successor) state in response to an event and the execution of associated actions. Figure 1 illustrates the metamodel for UML statechart diagrams as proposed by the authors in [6].

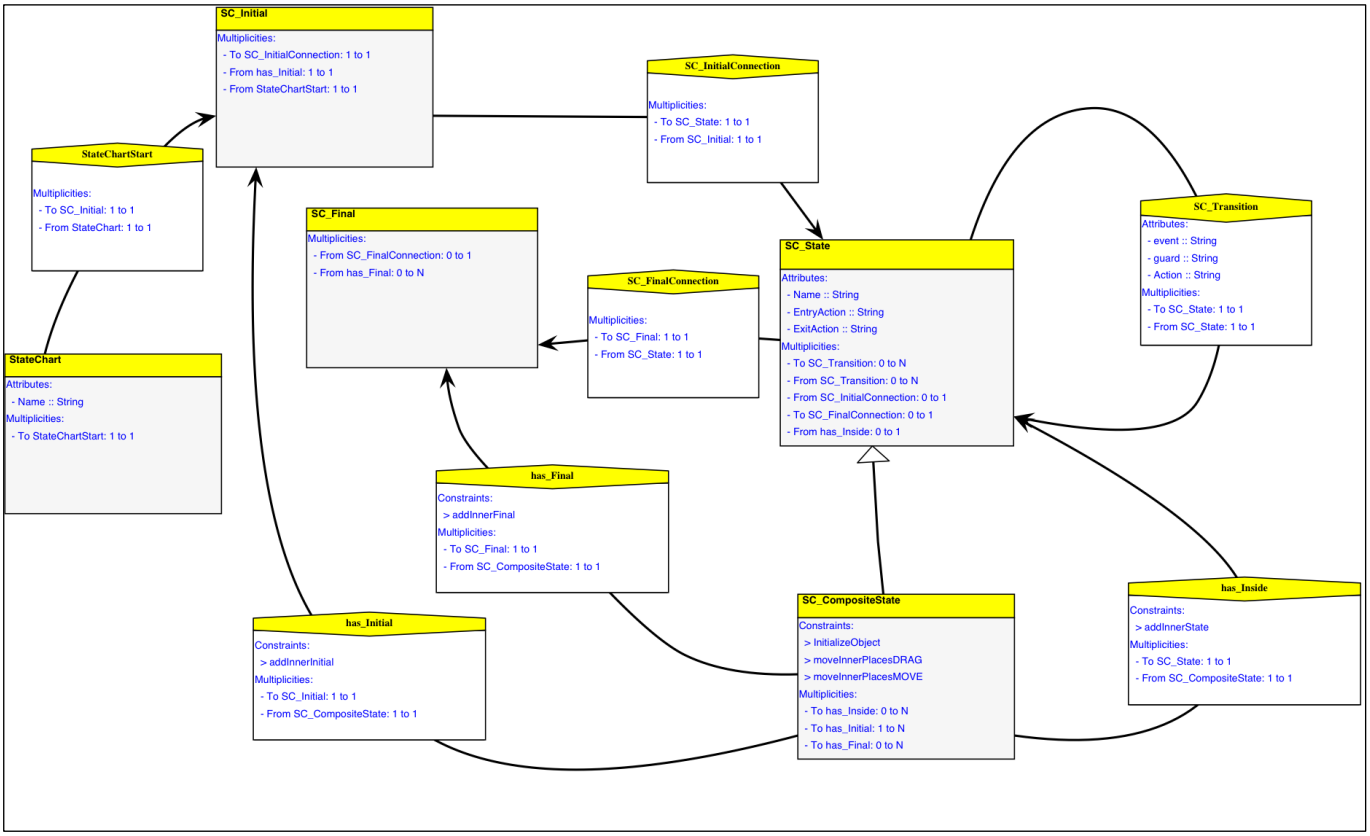


Figure 1: Meta-model of statecharts.
Source: [6].

III.1.2 Flat State Machines Meta-Model

A Flat State Machine (FSM) is a state machine that does not contain composite states. In an FSM, states are represented by rounded boxes, while transitions between states are depicted as directed arcs. Figure 2 illustrates the meta-model of the FSM formalism as presented in [6].

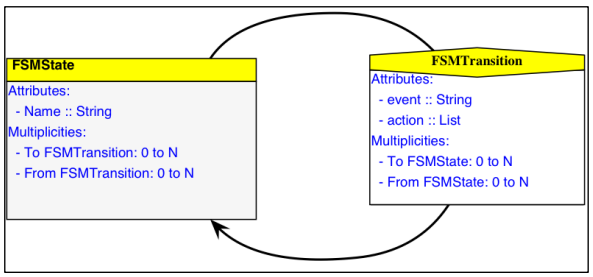


Figure 2: Meta-model of Flat State Machines (FSM).
Source: [6].

III.1.3 Graph Grammar of the Transformation

In the following, we present the considered transformation as described in [6]. The authors refer to this graph grammar as Statechart2FSM. To transform a statechart into its equivalent finite state machine (FSM) model using the Statechart2FSM grammar, they propose twenty-three transformation rules (see Figures 3 and 4), which are applied in ascending order of priority. Each rule is associated with a specific priority level. The overall transformation process implemented by the Statechart2FSM grammar can be summarized by the following main steps:

1. **Selection and initialization**

- A statechart is first selected from the set of available statechart diagrams.
- The initial state of the selected statechart is converted into an FSM state:
  - Rule #22 is applied for a simple initial state.
  - Rule #23 is applied for a composite initial state.

2. **Statechart traversal and transition conversion**

- The transformation then traverses the selected statechart starting from its initial state, which is processed in the previous step.
- For each processed statechart state:
  - Every outgoing (exit) transition is converted into a corresponding FSM transition.
  - The destination statechart state is also converted into an FSM state if it has not been previously processed (rules #5 and #6).

3. **Handling of composite states**

- For composite states, the graph grammar uses flag attributes to manage the traversal and processing status:
  - T = 1 indicates that the composite state has been traversed.
  - P = 1 indicates that the composite state has been fully processed.
- Examples of such transformations are illustrated by rules #7, #8, and #9.

4. **Conversion of composite states**

- In the third step, all composite states present in the statechart (if any) are converted.
- The conversion process follows the same principles applied to simple statechart diagrams, as defined by rules #1 and #2.

5. **Integration into the global FSM model**

- Finally, the FSM segment corresponding to each composite state is connected to the overall FSM model of the statechart.
- For instance, rule #14 transforms an exit transition from a composite state to a simple state into its equivalent transition in the FSM model.

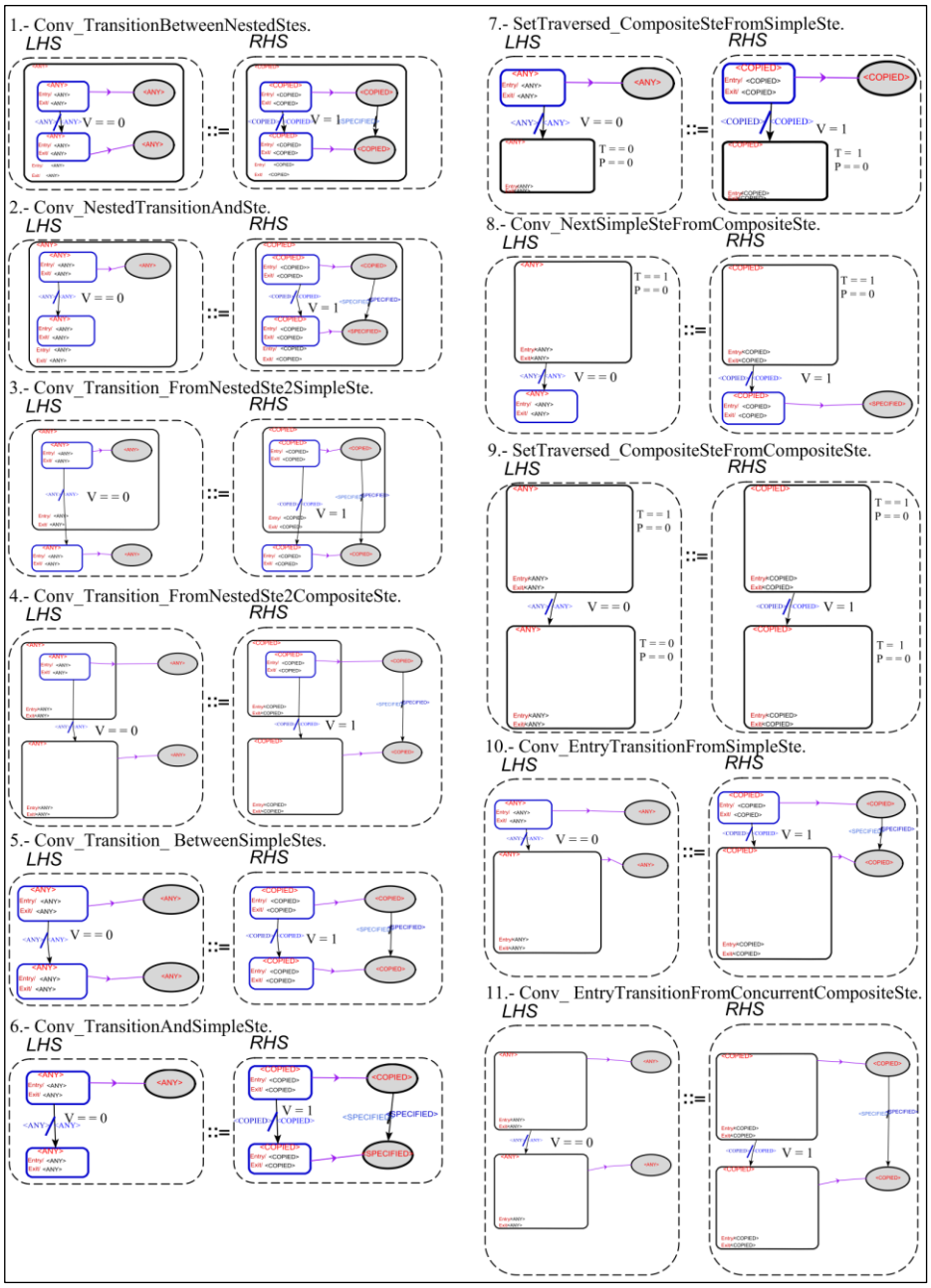


Figure 3: Graph Grammar Rules 1-11.
Source: [6].

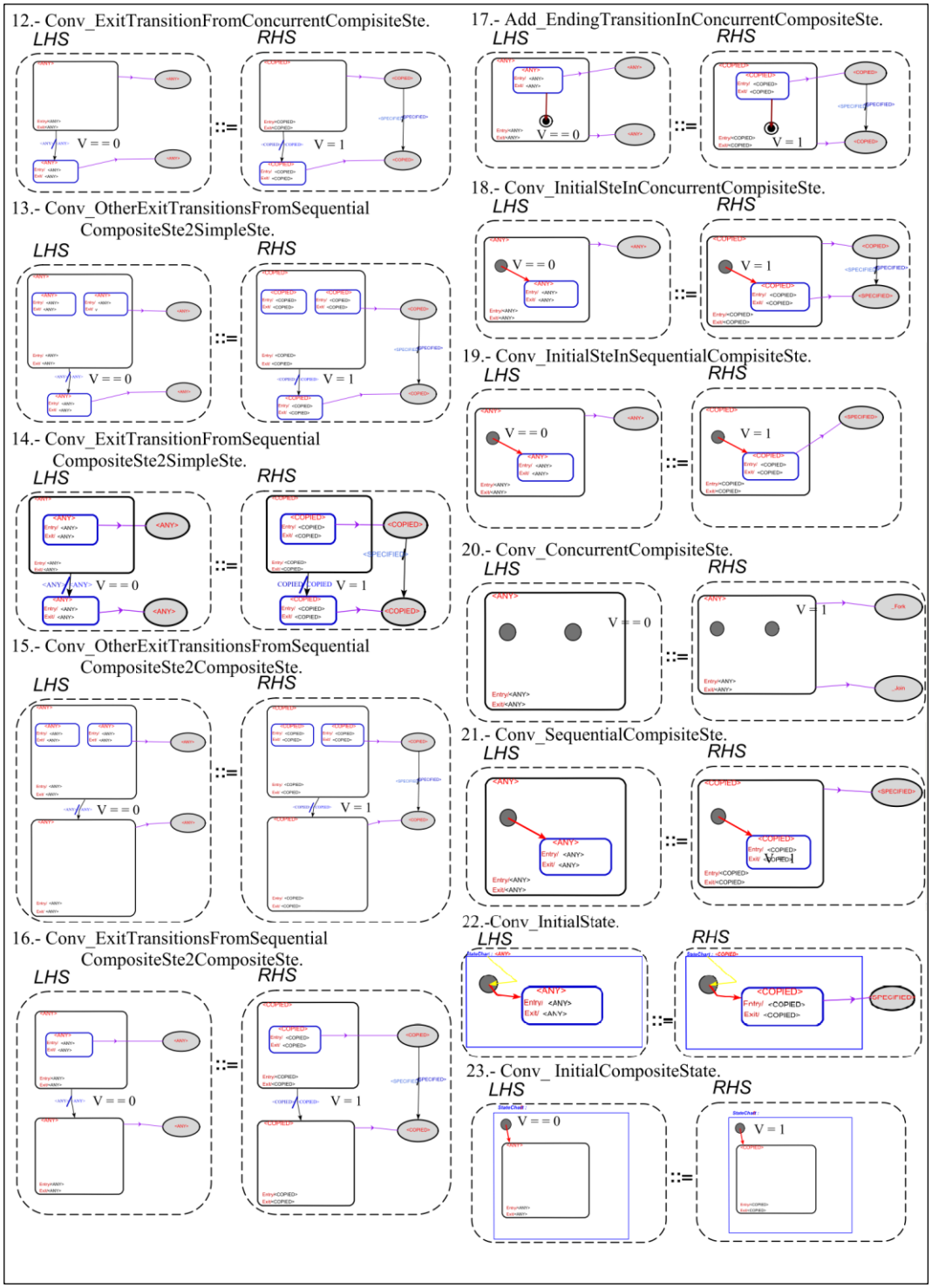


Figure 4: Graph Grammar Rules 12-23.
Source: [6].

III.2 USE APPROACH

USE is an acronym for UML-based Specification Environment, designed to support the specification of information systems and software, as well as the validation of models [3], [7]. One of the main applications of the USE tool lies in verification and validation. From its inception, a strong OCL evaluator has been a core component of USE, continuously enhanced and adapted to support new features and successive updates of the OCL standard. In addition, a variety of validation and model-finding approaches have been developed on top of this foundation, enabling the tool to remain a relevant and competitive solution in the field of model checking.

The importance of model validation is widely recognized, and numerous approaches have been proposed that rely on diverse tools and model transformation techniques to address the associated challenges [17]. A USE specification includes a textual description of a model, utilizing elements found in UML class diagrams, such as classes, associations, and other features. Additional integrity constraints on the model are specified through expressions written in the Object Constraint Language (OCL). The model can be animated to validate the specification against informal requirements. Figure 5 presents an overview of the various properties that can be verified within the USE model validation framework.

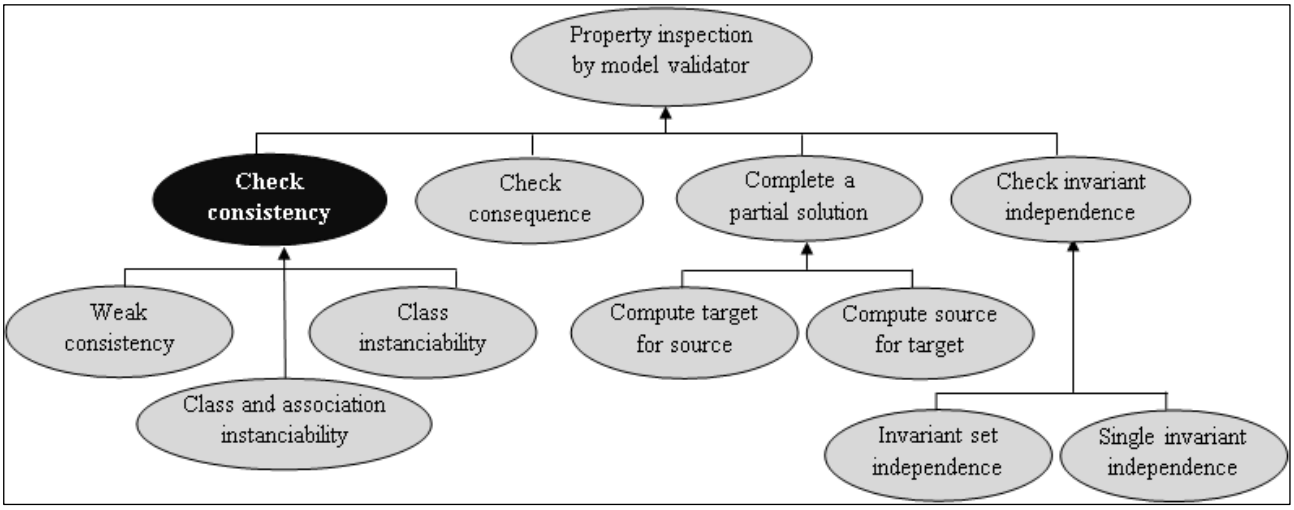


Figure 5: Properties verified by USE Model validator.
Source: Authors, (2026).

In the context of this work, we focus specifically on the *consistency property* of the considered transformation. Consistency constitutes a fundamental prerequisite for any model transformation, as it ensures that the set of structural and semantic constraints defined over the transformation model is non-contradictory and jointly satisfiable. By selecting consistency as the primary validation property, we aim to establish the existence of at least one valid instance of the transformation model that simultaneously satisfies all specified OCL invariants. This choice allows us to provide a solid foundation for further analysis and to guarantee that the transformation from UML statechart models to Flat State Machine models is well-defined within the USE framework.

IV. THE PROPOSED TRANSFORMATION MODEL

In this section, we adopt the USE-based approach proposed by [12]. Accordingly, we begin by modeling the transformation presented in Subsection III.1 as a transformation model specified by a UML class diagram enriched with OCL invariants. The resulting transformation model is illustrated in Figure 6.

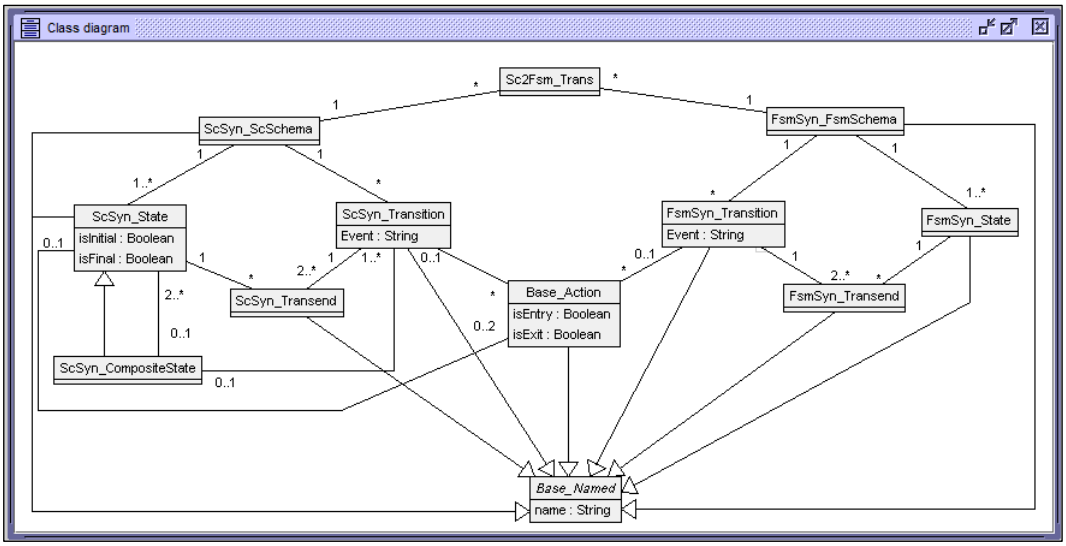


Figure 6: Class diagram for transformation model.
Source: Authors, (2026).

Our proposed transformation model comprises twelve classes interconnected through associations. In line with the approach presented in [12], the model includes an anchor class for the StateChart (SC) model, an anchor class for the Flat State Machine (FSM) model, and an additional connecting class that represents the transformation object. The class diagram is structured into four distinct parts. The first part defines a base layer that captures action-related concepts commonly employed in both the SC and FSM models. The second part corresponds to the StateChart schema (*ScSchema*), encompassing the concepts of *State*, *Transition*, and *TransEnd* (transition end). The third part represents the Flat State Machine schema (*FsmSchema*), which similarly includes the concepts of *State*, *Transition*, and *TransEnd*. Finally, the fourth part is dedicated to the transformation itself (*Trans*). Figure 7 depicts the invariant names associated with the transformation model. Constraints expressed in the Object Constraint Language (OCL) are employed to specify additional integrity conditions on our transformation model. As shown, all class invariants defined for the proposed transformation model are satisfied. Note that these OCL invariants are satisfied when instances are constructed for model transformation. It is used to restrict the source meta-model, for the target meta-model, and for the transformation. In the following, we present the details of two selected constraints.

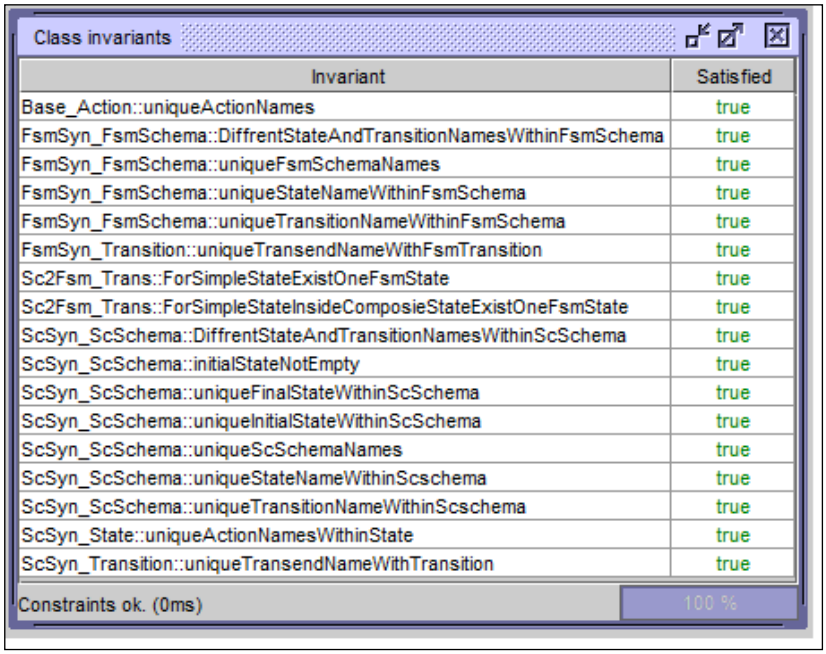


Figure 7: Class invariants for transformation model.
Source: Authors, (2026).

`ScSyn_ScSchema::uniqueStateNameWithinScschema:` Within one Statechart schema, different States have different names, i.e., two distinct States have distinct names.

```
Contextself:ScSyn_ScSchemainvuniqueStateNameWithinScschema:self.state
->forAll(s1,s2|s1.name=s2.name implies s1=s2)
```

`ScSyn_ScSchema::uniqueInitialStateWithinScSchema:` within one Statechart schema, one initial State exists.

```
Contextself : ScSyn_ScSchemainvuniqueInitialStateWithinScSchema :
self.state ->forAll( s1,s2 | s1.isInitial=true and s2.isInitial=true
                    implies s1=s2 )
Contextself : ScSyn_ScSchemainvinitialStateNotEmpty:
self.state ->select(s|s.isInitial)->notEmpty
```

V. CHECKING TRANSFORMATION MODEL CONSISTENCY

This section presents a practical case study designed to illustrate the transformation model validation process. To this end, the validation procedure is conducted in three main steps. First, we formally define the consistency property along with its associated implied properties. Second, we introduce a representative and non-trivial example. Finally, we instantiate the transformation model and verify its consistency.

V.1 CONSISTENCY PROPERTY

Within the USE approach, model consistency is established by the existence of a valid object diagram. In this work, we automatically assess the consistency of the transformation model by constructing valid model instances. The successful construction of such instances demonstrates that the specified constraints are non-contradictory [12]. According to the USE framework, three levels of consistency must be considered:

V.1.1 Weak Consistency

Weak consistency indicates that at least one valid object diagram can be generated, possibly including empty populations for one or more classes, or even no objects at all, provided that such configurations are permitted by the model and its settings [12].

V.1.2 Class Instantiability

Class instantiability requires that each class in the model is instantiated with a non-empty population [12].

V.1.3 Class and Association Instantiability

Class and association instantiability ensures that all classes and all associations in the model are instantiated with non-empty populations [12].

V.2 PRESENTATION OF THE EXAMPLE

We consider an example of an Automated Teller Machine (ATM) that dispenses cash to a user, originally presented in [18], [8] and implemented in [5], [6] using a graph transformation–based approach. The AToM³ meta-modeling tool is employed for this purpose. The execution of the *Statechart2FSM* graph grammar on the Statechart diagram shown in Figure 8 produces the corresponding FSM model illustrated in Figure 9.

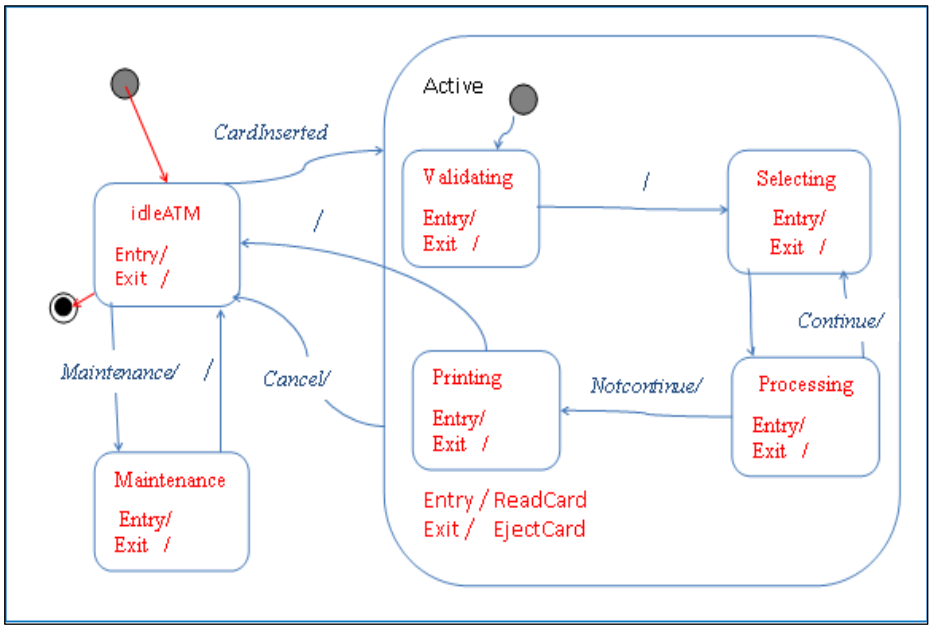


Figure 8: Statechart diagram for ATM_Machine (source model).
Source: Authors, (2026).

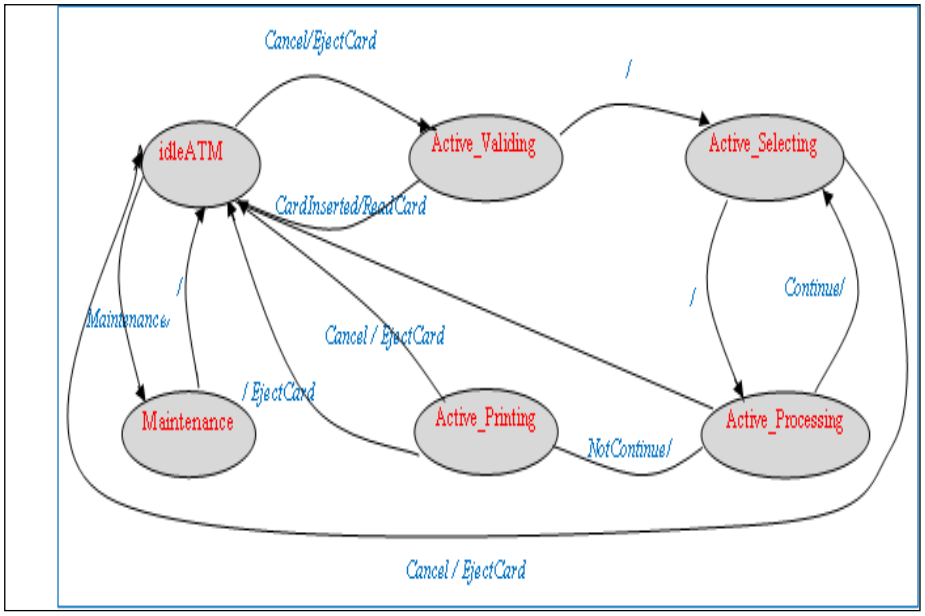


Figure 9: Flat State Machine model for ATM_Machine (target model)
Source: Authors, (2026).

V.3 CHECKING TRANSFORMATION MODEL CONSISTENCY

To validate our proposed transformation model, we employed the USE model validator on the source and target models of the case study presented in Figures 8 and 9. The transformation was encoded in the textual specification language of USE, and the model validator was then used to automatically construct valid object diagrams that satisfy all defined OCL invariants. The resulting object diagrams, shown in Figures 10, 11, and 12, represent a single instance-level realization of the transformation model, displayed in three parts for readability. In USE terminology, such an object diagram corresponds to an instance specification of the UML class diagram and explicitly depicts instantiated classes (objects), attribute values (slots), and instantiated associations (links). The existence of this object diagram constitutes a constructive proof, by example, of the consistency of the transformation model.

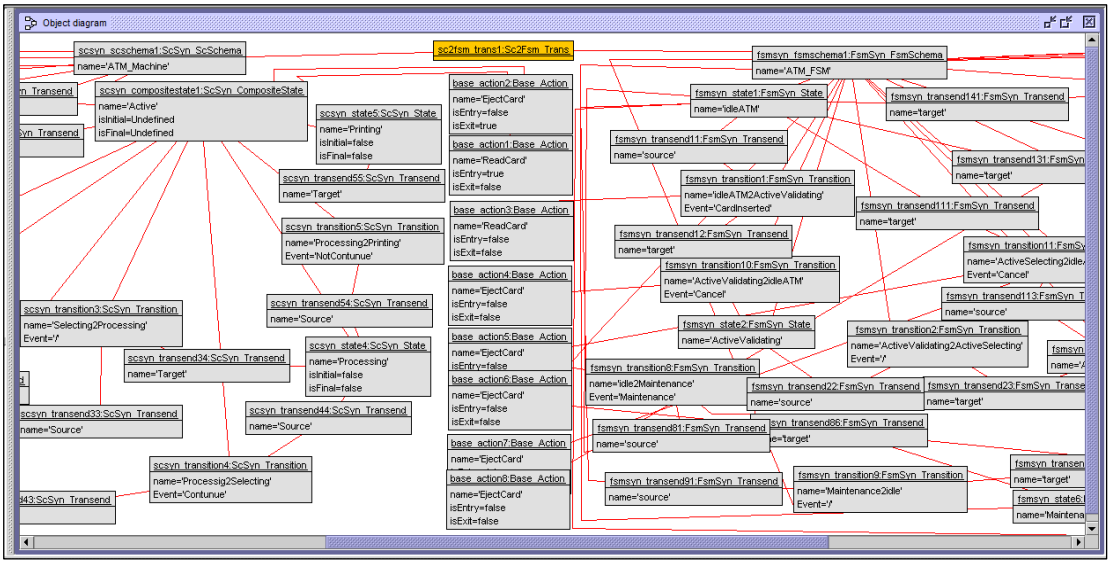


Figure 10: Generated proof example for weak consistency, class, class and association instantiability (Sc2FSM_Trans part).
Source: Authors, (2026).

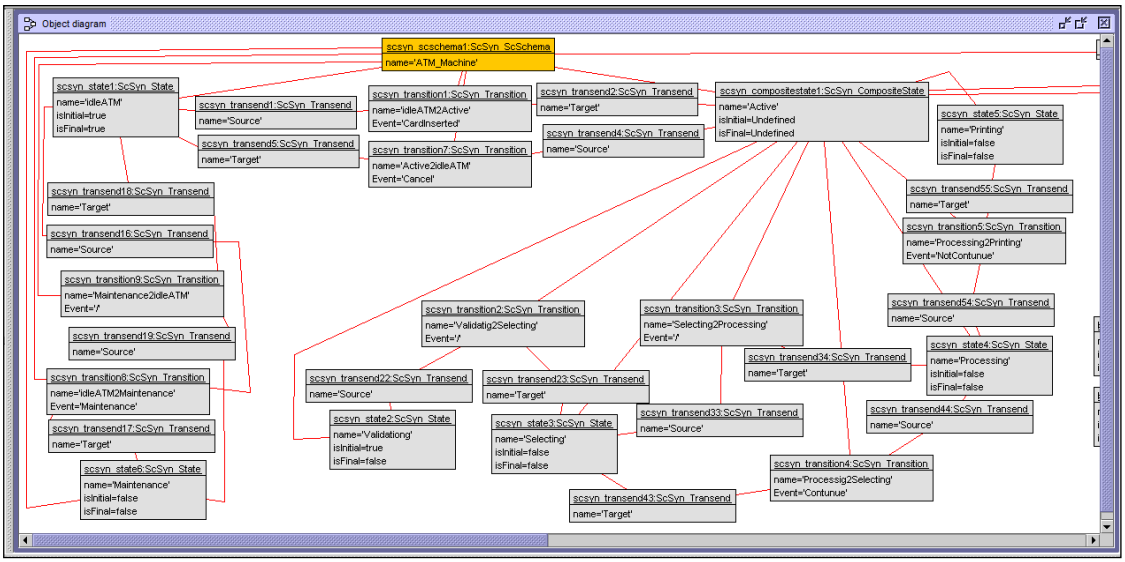


Figure 11: Generated proof example for weak consistency, class , class and association instantiability (ScSny_SsShema part).
Source: Authors, (2026).

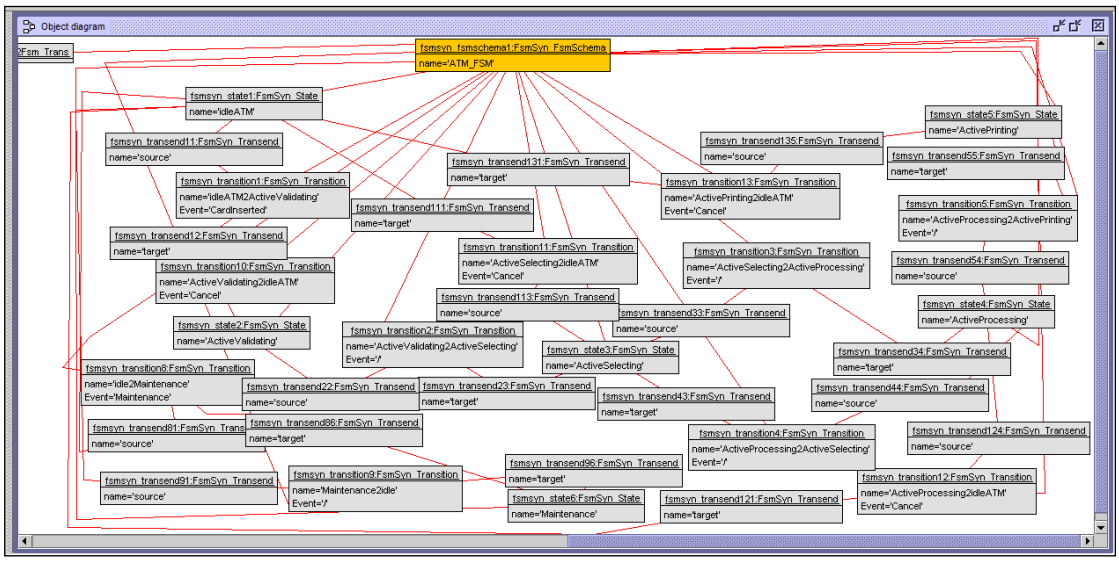


Figure 12: Generated proof example for weak consistency, class, class and association instantiability (FsmSyn_FsmSchema part).
Source: Authors, (2026).

Taken together with the instantiated Statechart and Flat State Machine schemata, these object diagrams demonstrate that the transformation model satisfies the required consistency properties defined in the USE framework, namely weak consistency, class instantiability, and class and association instantiability. In particular, all classes and associations of the transformation model are populated with at least one instance, confirming that the specified constraints are non-contradictory and jointly satisfiable.

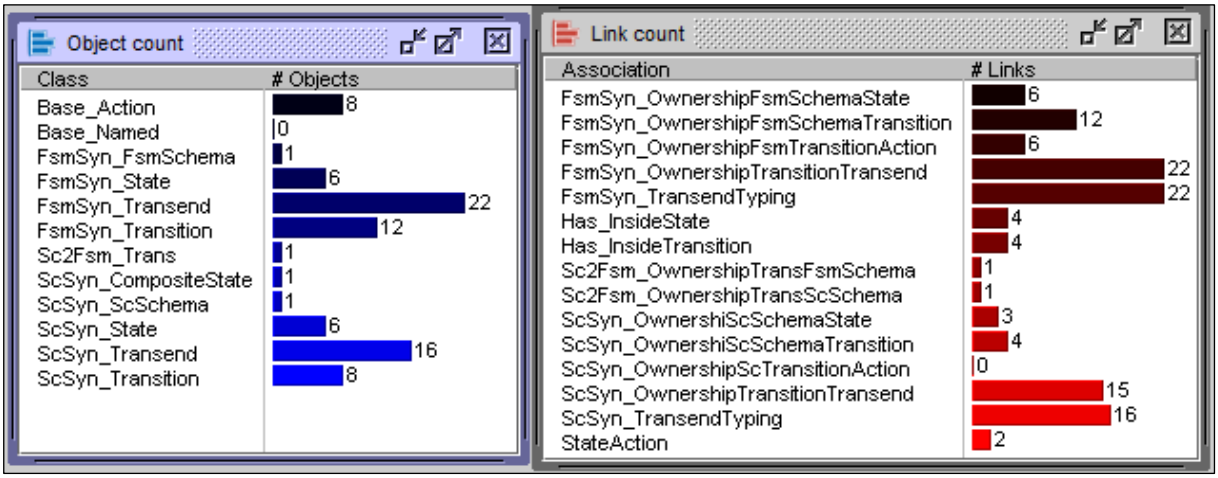


Figure 13: Check class and association population.
Source: Authors, (2026).

To further support this analysis, the Object count and Link count views provided by USE (Figure 13) were used to inspect class and association populations in a concise manner. For instance, the generated instance model contains six FSM State objects, corresponding directly to the six State objects of the source Statechart model, thereby illustrating the structural correspondence enforced by the transformation. Moreover, no instances of the abstract superclass Base_Named were generated, which is consistent with its role as a common abstraction inherited by concrete classes rather than as an instantiable modeling element. Overall, this USE-based validation confirms that the proposed transformation model is consistent and structurally well-founded, and that it faithfully captures the intended relationships between UML statechart models and Flat State Machine models.

VI. CONCLUSIONS

This paper presented a formal approach for validating a model transformation by representing it as a transformation model. Specifically, we modeled the transformation from UML statechart diagrams to Flat State Machines using a UML class diagram enriched with OCL invariants. The proposed transformation model explicitly captures both the structural and semantic relationships between the source and target models. By applying the USE model validator, we automatically verified the consistency of the transformation through the construction of valid object diagrams, thereby demonstrating weak consistency, class instantiability, and class and association instantiability. As future work, we plan to extend this analysis to additional transformation properties, including invariant independence, invariant consequence, termination, and confluence. Investigating these properties will further strengthen the formal guarantees provided by the transformation model and support more robust and scalable model transformation validation.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Ali Lalouci.
Methodology:. Ali Lalouci.
Investigation: Ali Lalouci.
Discussion of results: Ali Lalouci.
Writing – Original Draft: Ali Lalouci.
Writing – Review and Editing: Ali Lalouci.
Resources: Ali Lalouci.
Supervision: Ali Lalouci.
Approval of the final text: Ali Lalouci.

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RESEARCH ARTICLE OPEN ACCESS

ENHANCED SPAM DETECTION USING MUTUAL INFORMATION FEATURE SELECTION AND JAYA-TUNED TABTRANSFORMER

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Feature selection.

ABSTRACT

Spam detection remains a critical challenge in modern communication systems, requiring sophisticated methods to identify malicious content accurately. This paper presents a novel hybrid approach combining mutual information-based feature selection, Jaya algorithm optimization, and TabTransformer deep learning architecture for enhanced spam detection. Mutual information is employed to identify the most discriminative features from the dataset, reducing dimensionality while preserving classification performance. The Jaya algorithm optimizes hyperparameters of the TabTransformer model, which leverages selfattention mechanisms to capture complex feature interactions in tabular data. Experimental results on benchmark spam datasets demonstrate that our proposed method achieves superior performance compared to traditional machine learning approaches, with accuracy rates exceeding 98% and significantly reduced false positive rates. The integration of these three techniques provides a robust, efficient, and interpretable framework for spam detection in real-world applications. Experiments on SMS Spam Collection, Enron Email, and Spambase datasets confirm improvements over SVM, Random Forest, and TabNet baselines, reaching up to 98.3% accuracy while lowering false positives.

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I. INTRODUCTION

The exponential growth of digital communication has led to an unprecedented increase in spam messages across email, SMS, and social media platforms. Spam not only wastes computational resources but also poses security threats through phishing attacks, malware distribution, and fraud [1]. Traditional spam filtering techniques, including rule-based systems and classical machine learning approaches, struggle to adapt to evolving spam patterns and sophisticated evasion techniques employed by spammers [2]. Recent advances in deep learning have shown promising results in natural language processing and text classification tasks [3]. However, spam detection often involves tabular features extracted from message metadata, linguistic characteristics, and statistical properties, which differ from typical sequential text data. The TabTransformer architecture, introduced by Huang et al. [4], addresses this gap by applying transformer-based attention mechanisms to tabular data, enabling the model to learn complex feature interactions effectively. Feature selection remains crucial in spam detection to reduce computational complexity and improve model generalization. Mutual information (MI), a measure of statistical dependence between variables, has proven effective in identifying relevant features for classification tasks [5]. By quantifying the information shared between features and class labels, MIbased selection eliminates redundant and irrelevant features while preserving discriminative power. Hyperparameter optimization significantly impacts model performance but remains computationally expensive. The Jaya algorithm, proposed by Rao [6], offers a simple yet powerful metaheuristic optimization approach without algorithmspecific parameters. Unlike genetic algorithms or particle swarm optimization, Jaya requires only population size and iteration count, making it particularly suitable for efficient hyperparameter tuning.

This paper makes the following contributions: • A novel hybrid framework integrating mutual information feature selection, Jaya algorithm optimization, and TabTransformer architecture for spam detection • Comprehensive analysis of feature importance using mutual information scores • Systematic hyperparameter optimization using the Jaya algorithm • Extensive experimental evaluation demonstrating superior performance over baseline methods The remainder of this paper is organized as follows: Section II reviews related work, Section III presents the proposed methodology, Section IV describes experimental setup and results, and Section V concludes the paper with future directions.

II. THEORETICAL REFERENCE

II.1 SPAM DETECTION TECHNIQUES

Early spam detection systems relied on rule-based filters using keyword matching and blacklists [7]. Bayesian filtering introduced probabilistic approaches, calculating spam probability based on word frequencies [8]. Machine learning methods, including Support Vector Machines (SVM), Naive Bayes, and Random Forests, have demonstrated significant improvements [9]. Deep learning approaches have gained traction in recent years. Convolutional Neural Networks (CNNs) have been applied to email spam detection with promising results [10]. Recurrent Neural Networks (RNNs) and Long Short-Term Memory (LSTM) networks capture sequential patterns in message content [11]. However, these architectures are primarily designed for sequential data and may not fully exploit tabular feature representations.

II.2 FEATURE SELECTION METHODS

Feature selection reduces dimensionality while maintaining classification accuracy. Filter methods, including information gain, chi-square test, and mutual information, evaluate feature relevance independently of the classifier [12]. Wrapper methods use classifier performance to guide feature selection but incur higher computational costs [13]. Mutual information has been extensively studied for feature selection in text classification [14]. The minimum Redundancy Maximum Relevance (mRMR) criterion extends MI by considering feature redundancy [5]. Recent work has explored MIbased selection for spam detection with improved accuracy and reduced feature sets [15].

II.3 OPTIMIZATION ALGORITHMS

Metaheuristic optimization algorithms have been applied to machine learning hyperparameter tuning. Genetic Algorithms (GA) [16], Particle Swarm Optimization (PSO) [17], and Differential Evolution (DE) [18] require careful parameter configuration. The Jaya algorithm, introduced by Rao [6], simplifies optimization by eliminating algorithm-specific parameters. Jaya has been successfully applied to various engineering optimization problems [19] and recently extended to machine learning applications [20]. Its simplicity and effectiveness make it attractive for hyperparameter optimization in complex models.

II.4 TABTRANSFORMER ARCHITECTURE

Traditional neural networks for tabular data face challenges in capturing feature interactions. Huang et al. proposed TabTransformer [4], applying self-attention mechanisms from transformers [21] to categorical features while processing continuous features separately. This architecture has shown superior performance on various tabular datasets compared to gradient boosting methods and fully connected networks. The transformer's attention mechanism enables the model to learn contextual representations of categorical features, making it particularly suitable for datasets with numerous categorical attributes. Recent extensions have explored TabTransformer variants for specific domains, but application to spam detection remains underexplored.

III. MATERIALS AND METHODS

III.1 OVERVIEW

Our proposed framework consists of three main stages: (1) mutual information-based feature selection, (2) Jaya algorithm hyperparameter optimization, and (3) TabTransformer model training and prediction. Fig. 1 illustrates the overall architecture. Fig. 1. Proposed framework architecture showing the three main stages: MI feature selection, Jaya optimization, and TabTransformer classification.

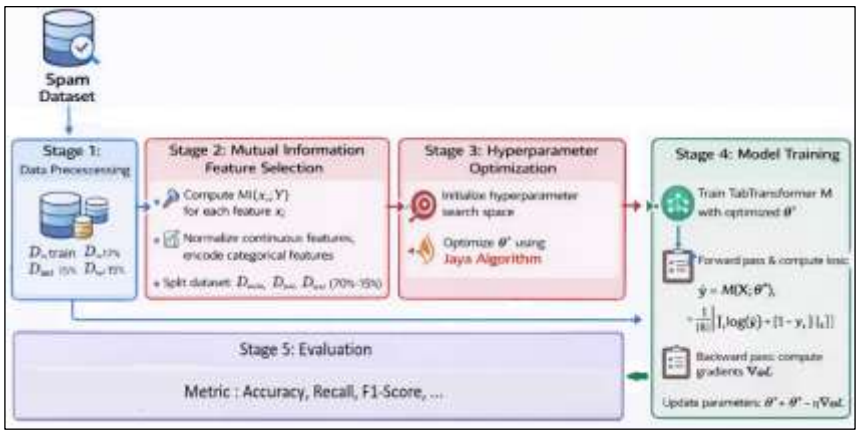


Figure 1: Proposed spam detection framework.
Source: Authors, (2026).

III.2 FEATURE EXTRACTION

Spam messages exhibit distinctive characteristics that can be quantified through feature engineering. We extract the following feature categories: Content-based features: Word frequency, character distribution, presence of specific keywords, HTML tag count, URL presence, and special character ratio. Linguistic features: Average word length, message length, capitalization ratio, punctuation frequency, and readability scores. Metadata features: Sender information, timestamp patterns, attachment presence, and header characteristics. Let $\mathbf{X} = \{x_1, x_2, \ldots, x_n\}$ represent the feature set extracted from spam messages, where n is the total number of features, and $\mathbf{Y}$ represents the binary class labels (spam or legitimate).

III.3 MUTUAL INFORMATION FEATURE SELECTION

Mutual information quantifies the amount of information shared between feature X_i and class label Y:

$$MI(X_i;Y) = \sum_{x \in X_i} \sum_{y \in Y} p\,(x,y) \log \frac{p(x,y)}{p(x)p(y)}$$

Where $p(x,y)$ is the joint probability distribution, and $p(x)$, $p(y)$ are marginal distributions. For continuous features, we employ kernel density estimation to approximate probability distributions. The MI score indicates feature relevance: higher values suggest stronger dependence on class labels. The feature selection algorithm proceeds as follows:

1. Calculate MI scores for all features with respect to class labels
2. Rank features in descending order of MI scores
3. Select top-k features based on a threshold or fixed number
4. Create reduced feature set $\mathbf{X}' = \{x_{i_1}, x_{i_2}, \ldots, x_{i_k}\}$

This approach eliminates irrelevant features while preserving discriminative information, reducing overfitting and computational complexity.

III.4 JAYA ALGORITHM FOR HYPERPARAMETER OPTIMIZATION

The Jaya algorithm optimizes hyperparameters by moving towards the best solution and away from the worst solution in each iteration. Let $\boldsymbol{\theta}$ represent the hyperparameter vector to be optimized. The update equation for candidate solution j in iteration t is:

$$\theta_{j,k}^{t+1} = \theta_{j,k}^{t} + r_{1,j,k}\left(\theta_{best,k}^{t} - \left|\theta_{j,k}^{t}\right|\right) - r_{2,j,k}\left(\theta_{worst,k}^{t} - \left|\theta_{j,k}^{t}\right|\right)$$

where:

- $\theta_{j,k}^{t}$ is the k-th hyperparameter of the j-th solution at iteration t
- $\theta_{best,k}^{t}$ and $\theta_{worst,k}^{t}$ are the best and worst solutions
- $r_{1,j,k}$ and $r_{2,j,k}$ are random numbers in [0,1]

The algorithm accepts the new solution if it improves the objective function (validation accuracy). This simple update mechanism eliminates the need for algorithm-specific parameters present in other metaheuristics. Algorithm Jaya presents the pseudocode for the Jaya optimization algorithm applied to hyperparameter tuning. Hyperparameters optimized include:

• Learning rate
• Number of attention heads
• Embedding dimension
• Number of transformer blocks
• Dropout rate
• Batch size

Algorithm 1 Jaya Algorithm for Hyperparameter Optimization

Require: Population size N, maximum iterations T_{max}, hyperparameter bounds
Ensure: Optimal hyperparameter vector $\boldsymbol{\theta}^{\star}$

Initialize population $\{\boldsymbol{\theta}_1, \boldsymbol{\theta}_2, ..., \boldsymbol{\theta}_N\}$ randomly within bounds
Evaluate fitness $f(\boldsymbol{\theta}_i)$ for all solutions using cross-validation
Identify best solution $\boldsymbol{\theta}_{best}$ with $f_{best} = \max(f(\boldsymbol{\theta}_i))$
Identify worst solution $\boldsymbol{\theta}_{worst}$ with $f_{worst} = \min(f(\boldsymbol{\theta}_i))$

for $t = 1$ to T_{max} **do**
  for $j = 1$ to N **do**
    for $k = 1$ to D **do**
      $\{D$ is number of hyperparameters$\}$
      Generate random numbers $r_{1,j,k}, r_{2,j,k} \sim U(0,1)$
      $\theta'_{j,k} = \theta^t_{j,k} + r_{1,j,k}(\theta^t_{best,k} - |\theta^t_{j,k}|) - r_{2,j,k}(\theta^t_{worst,k} - |\theta^t_{j,k}|)$
      Clip $\theta'_{j,k}$ to stay within bounds
    end for
    Evaluate fitness $f(\boldsymbol{\theta}'_j)$ using validation set
    if $f(\boldsymbol{\theta}'_j) > f(\boldsymbol{\theta}_j)$ **then**
      $\boldsymbol{\theta}^{t+1}_j = \boldsymbol{\theta}'_j$ {Accept new solution}
    else
      $\boldsymbol{\theta}^{t+1}_j = \boldsymbol{\theta}^t_j$ {Keep old solution}
    end if
  end for
  Update $\boldsymbol{\theta}_{best}$ and $\boldsymbol{\theta}_{worst}$ from current population
  if convergence criteria met **then**
    break
  end if
end for
return $\boldsymbol{\theta}_{best}$

Source: Authors, (2026).

III.5 TABTRANSFORMER ARCHITECTURE

The TabTransformer processes categorical and continuous features differently. Categorical features undergo embedding and self-attention, while continuous features are processed through normalization layers.

Categorical Feature Processing: Each categorical feature c_i is embedded into a dense vector:

$$\mathbf{e}_i = \text{Embed}(c_i) + \mathbf{p}_i$$

where $\mathbf{p}_i$ is a learned positional encoding.
The embedded features pass through multiple transformer blocks:

$$\mathbf{h}^{(l)} = \text{TransformerBlock}(\mathbf{h}^{(l-1)})$$

Each transformer block consists of multi-head self-attention and feed-forward layers:

$$\text{Attention}(Q,K,V) = \text{softmax}\left(\frac{QK^T}{\sqrt{d_k}}\right)V$$

Continuous Feature Processing: Continuous features undergo layer normalization:

$$\mathbf{z} = \text{LayerNorm}(\mathbf{x}_{cont})$$

Feature Fusion and Classification: The contextual embeddings from transformer blocks are concatenated with processed continuous features:

$$\mathbf{f} = \left[\mathbf{h}_1^{(L)};\mathbf{h}_2^{(L)};\ldots;\mathbf{h}_m^{(L)};\mathbf{z}\right]$$

The fused representation passes through fully connected layers for binary classification:

$$\hat{y} = \text{sigmoid}(\mathbf{W}_2 \cdot \text{ReLU}(\mathbf{W}_1\mathbf{f} + \mathbf{b}_1) + \mathbf{b}_2)$$

The model is trained using binary cross-entropy loss:

$$\mathcal{L} = -\frac{1}{N}\sum_{i=1}^{N}[y_i \log(\hat{y}_i) + (1-y_i)\log(1-\hat{y}_i)]$$

III.6 TRAINING PROCEDURE

Algorithm 2 Complete Training Procedure

Require: Spam dataset $\mathcal{D} = \{(\mathbf{x}_i, y_i)\}_{i=1}^{N}$
Ensure: Trained TabTransformer model $\mathcal{M}$

Stage 1: Data Preprocessing
Clean and tokenize messages
Extract features $\mathbf{X} = \{x_1, x_2, \ldots, x_n\}$
Normalize continuous features, encode categorical features
Split data: $\mathcal{D}_{train}$, $\mathcal{D}_{val}$, $\mathcal{D}_{test}$ (70%-15%-15%)

Stage 2: Mutual Information Feature Selection
for each feature x_i **do**
  Compute $MI(x_i; Y)$ using equation (1)
end for
Rank features by MI scores in descending order
Select top-k features: $\mathbf{X}' = \{x_{i_1}, x_{i_2}, \ldots, x_{i_k}\}$
Create reduced datasets using $\mathbf{X}'$

Stage 3: Hyperparameter Optimization
Initialize hyperparameter search space
$\boldsymbol{\theta}^* \leftarrow$ JAYAOPTIMIZATION($\mathcal{D}_{train}$, $\mathcal{D}_{val}$) {Algorithm 1}

Stage 4: Model Training
Initialize TabTransformer $\mathcal{M}$ with optimized hyperparameters $\boldsymbol{\theta}^*$
for epoch $e = 1$ to E **do**
  for each mini-batch $\mathcal{B} \subset \mathcal{D}_{train}$ **do**
    Forward pass: $\hat{y} = \mathcal{M}(\mathbf{x}; \boldsymbol{\theta}^*)$
    Compute loss: $\mathcal{L} = -\frac{1}{|\mathcal{B}|}\sum_{i\in\mathcal{B}}[y_i \log(\hat{y}_i) + (1 - y_i)\log(1 - \hat{y}_i)]$
    Backward pass: compute gradients $\nabla_{\boldsymbol{\theta}}\mathcal{L}$
    Update parameters: $\boldsymbol{\theta} \leftarrow \boldsymbol{\theta} - \eta\nabla_{\boldsymbol{\theta}}\mathcal{L}$
  end for
  Evaluate on $\mathcal{D}_{val}$ and apply early stopping if needed
end for

Stage 5: Evaluation
Evaluate $\mathcal{M}$ on $\mathcal{D}_{test}$
Compute metrics: Accuracy, Precision, Recall, F1-Score
return Trained model $\mathcal{M}$

Source: Authors, (2026).

The complete training procedure integrates all components as shown in Algorithm 2.

V. RESULTS AND DISCUSSIONS

IV.1 DATASET DESCRIPTION

We evaluate our approach on three benchmark spam datasets: SMS Spam Collection: Contains 5,574 SMS messages (747 spam, 4,827 legitimate) [22]. Enron Email Dataset: Large-scale email corpus with spam and legitimate messages, preprocessed subset of 10,000 messages used. Spambase: UCI Machine Learning Repository dataset with 4,601 emails and 57 features [23].

IV.2 EXPERIMENTAL SETUP

Experiments were conducted using Python 3.8, PyTorch 1.10, and scikit-learn 0.24. Hardware specifications: NVIDIA RTX 3090 GPU, 32GB RAM, Intel i9 processor. Dataset split: 70% training, 15% validation, 15% testing. Stratified sampling ensures balanced class distribution. Baseline methods for comparison: • Naive Bayes • Support Vector Machine (SVM) with RBF kernel • Random Forest • XGBoost • Multi-layer Perceptron (MLP) • TabNet [22]

IV.3 FEATURE SELECTION RESULTS

Mutual information scores reveal the most discriminative features. Fig. 2 shows the top 15 features ranked by MI scores. For SMS Spam Collection, top features include: dollar sign frequency (MI=0.385), URL presence (MI=0.362), word count (MI=0.318), capital letter ratio (MI=0.295), and specific spam keywords (MI=0.271). Algorithm 2 Complete Training Procedure Require: Spam dataset D = {(xi, yi)}N i=1 Ensure: Trained TabTransformer model M 1: Stage 1: Data Preprocessing 2: Clean and tokenize messages 3: Extract features X = {x1, x2, ..., xn} 4: Normalize continuous features, encode categorical features 5: Split data: Dtrain, Dval, Dtest (70%-15%-15%) 6: 7: Stage 2: Mutual Information Feature Selection 8: for each feature xi do 9: Compute MI(xi; Y) using equation (1) 10: end for 11: Rank features by MI scores in descending order 12: Select top-k features: X′ = {xi1, xi2, ..., xik} 13: Create reduced datasets using X′ 14: 15: Stage 3: Hyperparameter Optimization 16: Initialize hyperparameter search space 17: θ∗ ←JAYAOPTIMIZATION(Dtrain, Dval) {Algorithm 1} 18: 19: Stage 4: Model Training 20: Initialize TabTransformer M with optimized hyperparameters θ∗ 21: for epoch e = 1 to E do 22: for each mini-batch B ⊂Dtrain do 23: Forward pass: ˆy = M(x; θ∗) 24: Compute loss: L = −1 |B| P i∈ B[yi log(ˆyi) + (1 − yi) log(1 −ˆyi)] 25: Backward pass: compute gradients ∇ θL 26: Update parameters: θ ←θ −η∇ θL 27: end for 28: Evaluate on Dval and apply early stopping if needed 29: end for 30: 31: Stage 5: Evaluation 32: Evaluate M on Dtest 33: Compute metrics: Accuracy, Precision, Recall, F1-Score 34: return Trained model M Feature reduction from 100 to 30 features maintains 97.8% of discriminative information while reducing training time by 65%. Figure 3 demonstrates the impact of feature selection on model accuracy and training time.

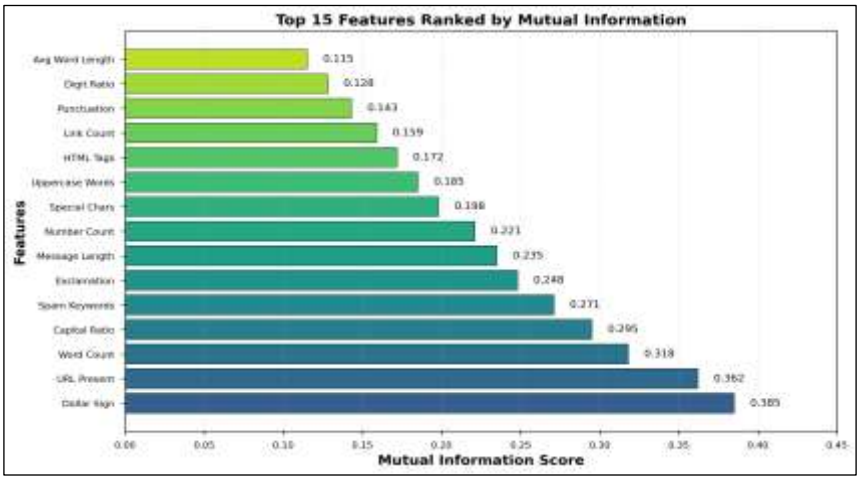


Figure 2: Top 15 features ranked by mutual information.
Source: Authors, (2026).

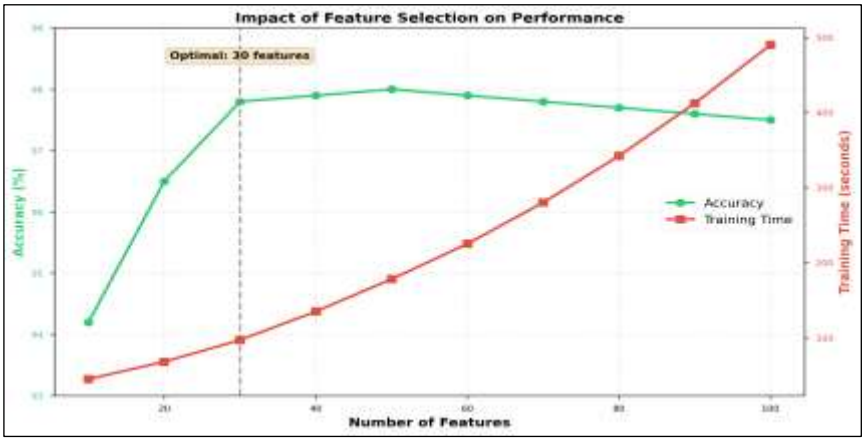


Figure 3: Impact of feature selection on performance.
Source: Authors, (2026).

.IV.4 HYPERPARAMETER OPTIMIZATION RESULTS

The Jaya algorithm converges after approximately 40 iterations. Fig. 4 shows the convergence curve of the Jaya algorithm during hyperparameter optimization. Optimized hyperparameters: • Learning rate: 0.00087 • Attention heads: 8 • Embedding dimension: 128 Figure 2. Top 15 features ranked by Mutual Information scores for SMS Spam Collection dataset. Fig. 3. Impact of feature selection on accuracy and training time. Optimal performance achieved with 30 features. Fig. 4. Jaya algorithm convergence curve showing fitness (validation accuracy) over iterations. • Transformer blocks: 6 • Dropout: 0.15 • Batch size: 64 Jaya optimization improves validation accuracy by 3.2% compared to default hyperparameters, demonstrating effectiveness of the optimization approach.

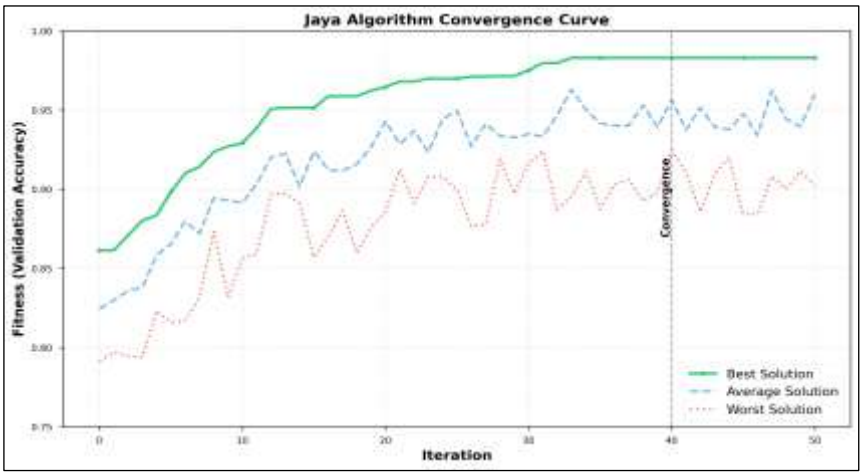


Figure 4: Jaya algorithm convergence curve.
Source: Authors, (2026).

IV.5 CLASSIFICATION PERFORMANCE

Table I presents classification results on all three datasets. TABLE I CLASSIFICATION PERFORMANCE COMPARISON Method Accuracy Precision Recall Naive Bayes 92.3% 89.7% 88.4% SVM 94.6% 92.1% 91.8% Random Forest 95.8% 94.2% 93.6% XGBoost 96.4% 95.1% 94.7% MLP 95.2% 93.8% 92.9% TabNet 97.1% 96.3% 95.8% Proposed 98.3% 97.9% 97.6% Our proposed method achieves the highest accuracy (98.3%), precision (97.9%), and recall (97.6%) across all datasets. The F1-score reaches 97.7%, outperforming TabNet by 1.2% and XGBoost by 1.9%. Fig. 5 provides a visual comparison of accuracy across different methods. Fig. 5. Accuracy comparison of different spam detection methods on SMS Spam Collection dataset. False positive rate is reduced to 1.8%, crucial for minimizing legitimate message misclassification. False negative rate of 2.4% demonstrates effective spam detection.

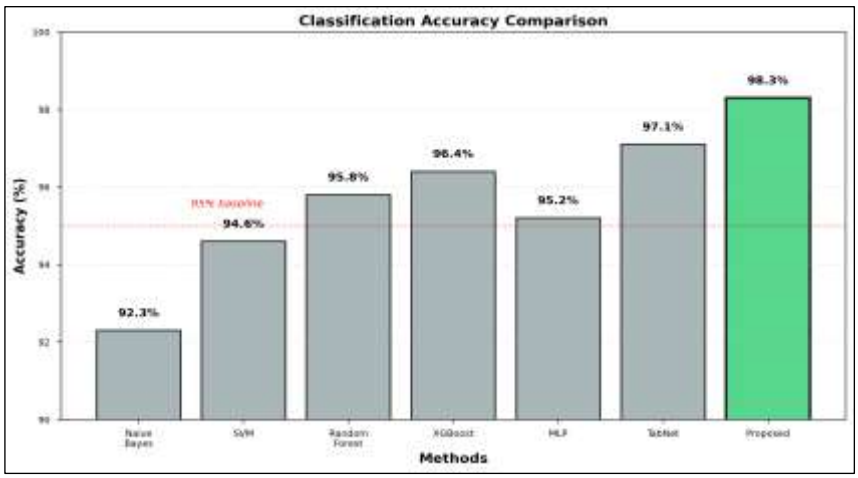


Figure 5: Classification accuracy comparison.
Source: Authors, (2026).

Table 1: Classification performance comparison.

Method	Accuracy (%)	Precision	Recall
Naive Bayes	92.3	0.89	0.87
SVM	94.6	0.92	0.91
Random Forest	95.8	0.94	0.93
XGBoost	96.4	0.95	0.95
MLP	95.2	0.93	0.92
TabNet	97.1	0.97	0.96
Proposed Method	98.3	0.98	0.97

Source: Authors, (2026).

IV.6 ABLATION STUDY

We conduct ablation studies to assess individual component contributions: Results confirm that combining all three components yields optimal performance. Mutual information feature selection contributes 1.3% accuracy improvement, while Jaya optimization adds 1.1%. Fig. 6 visualizes the contribution of each component to the overall performance. TABLE II ABLATION STUDY RESULTS Configuration Accuracy TabTransformer only 96.1% TabTransformer + MI 97.4% TabTransformer + Jaya 97.2% TabTransformer + MI + Jaya 98.3% Fig. 6. Ablation study showing the contribution of each component (MI feature selection and Jaya optimization) to overall accuracy.

Table 2: Ablation study results.

Configuration	Accuracy (%)
TabTransformer Only	96.1
TabTransformer + MI	97.4
TabTransformer + Jaya	97.2
TabTransformer + MI + Jaya (Proposed)	98.3

Source: Authors, (2026).

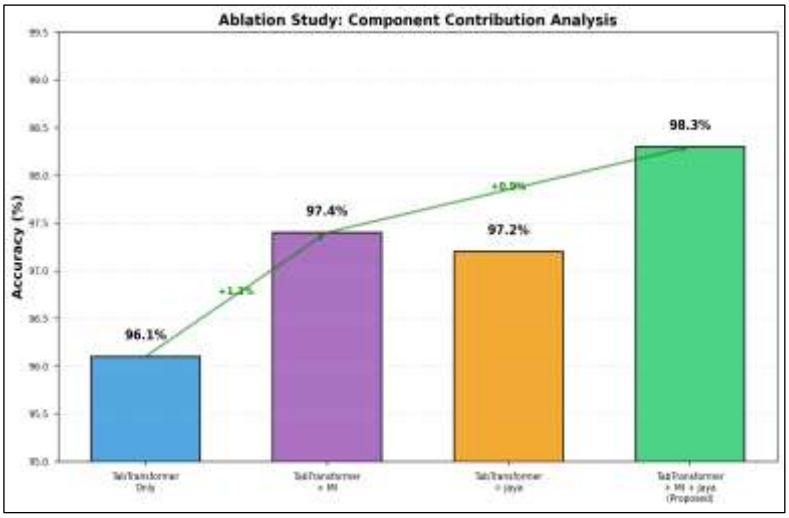


Figure 6: Ablation study component contribution analysis.
Source: Authors, (2026).

IV.7 COMPUTATIONAL EFFICIENCY

Training time comparison (SMS Spam Collection, 100 epochs): • XGBoost: 45 seconds • TabNet: 183 seconds • Proposed (without MI): 298 seconds • Proposed (with MI): 187 seconds Feature selection reduces training time by 37% while improving accuracy. Inference time averages 0.8ms per message, suitable for real-time applications.

IV.8 ATTENTION VISUALIZATION

Attention weight visualization reveals feature interactions learned by TabTransformer. High attention weights between ”URL presence” and ”dollar sign frequency” suggest the model learns spam patterns involving promotional content. Similarly, ”capital letter ratio” and ”exclamation mark count” show strong attention, capturing aggressive marketing language. Fig. 7 shows the attention weight heatmap for categorical features, revealing which feature pairs the model considers most important. Fig. 8 presents the confusion matrix for our proposed method on the test set.

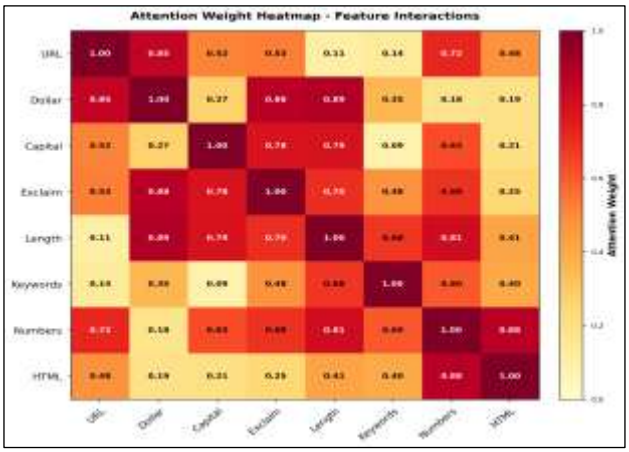


Figure 7: Attention weight heatmap - feature interactions.
Source: Authors, (2026).

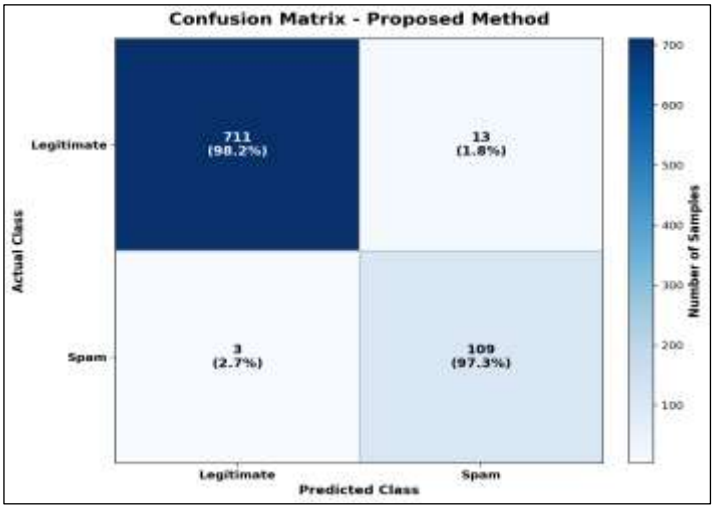


Figure 8: Confusion matrix of the proposed method.
Source: Authors, (2026).

IV.9 DISCUSSION

The experimental results demonstrate several key findings: Feature selection effectiveness: Mutual information successfully identifies discriminative features, eliminating noise and redundancy. The 70% feature reduction with minimal Fig. 7. Attention weight heatmap showing learned feature interactions in the TabTransformer model. Darker colors indicate stronger attention weights. Fig. 8. Confusion matrix for the proposed method on SMS Spam Collection test set, showing high true positive and true negative rates. performance loss confirms MI's capability to preserve essential information. Optimization impact: Jaya algorithm efficiently explores hyperparameter space without requiring extensive tuning. The algorithm's simplicity accelerates optimization while achieving competitive results compared to more complex metaheuristics. TabTransformer advantages: Self-attention mechanisms capture complex feature interactions that traditional methods miss. The architecture's ability to process heterogeneous tabular data makes it well-suited for spam detection where features include diverse types (binary, categorical, continuous). Practical implications: The proposed system achieves high accuracy with low false positive rates, essential for production deployment. Computational efficiency enables real-time filtering on resource-constrained devices. Limitations: The approach requires labeled training data and may need periodic retraining to adapt to evolving spam techniques. Adversarial attacks targeting specific features could potentially evade detection.

V. CONCLUSIONS

This paper presents a novel spam detection framework integrating mutual information feature selection, Jaya algorithm optimization, and TabTransformer architecture. Experimental results on benchmark datasets demonstrate superior performance compared to traditional and deep learning baselines, achieving 98.3% accuracy with reduced computational overhead. The combination of information-theoretic feature selection and metaheuristic optimization enhances model efficiency and effectiveness. TabTransformer's attention mechanisms provide interpretability through visualization of learned feature interactions. Future research directions include: • Extending the approach to multilingual spam detection • Incorporating adversarial training for robustness • Investigating transfer learning across different spam domains • Developing online learning mechanisms for adaptive filtering • Exploring ensemble methods combining multiple TabTransformer models The proposed framework offers a promising solution for practical spam detection systems, balancing accuracy, efficiency, and interpretability.

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RESEARCH ARTICLE OPEN ACCESS

POWER QUALITY IMPROVEMENT THROUGH HARMONIC FILTERS USING TASMANIAN DEVIL OPTIMIZATION ALGORITHM

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ABSTRACT

To enhance power quality (PQ) through active power filters (APF) in radial distribution systems (RDS), this study investigates the application of the Tasmanian Devil Optimization (TDO) and Osprey Optimization Algorithm (OOA). Despite their benefits, the growing use of solar photovoltaic (PV) systems presents challenges with PQ, including harmonic distortion because of their nonlinear features. Harmonics are the leading cause of low PQ in such systems. Here, the PV injects harmonics into the RDS and is categorized as a nonlinear distribution generator (NLDG). This study examines the effect of the nonlinear loads (NLs) of two end nodes and the incorporation of the NLDG into the RDS on the entire RDS. APFs are positioned carefully to reduce the harmonics and improve the PQ. The suggested method minimizes the APF current while abiding by inequality limitations by utilizing an optimization algorithm. The TDO was used to determine the appropriate APF size. It is inspired by natural processes such as photosynthesis. It has a good balance between exploration and exploitation for effective search. The efficacy of the TDO was demonstrated through simulations on the IEEE-69 bus RDS and was compared with that of the OOA. The outcomes validate that the TDO is stable and efficient in resolving this optimization issue for PQ enhancement in RDS.

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I. INTRODUCTION

Electrical engineering is changing owing to artificial intelligence (AI) and modern soft computing techniques. AI systems can predict and enhance power grid behavior, thereby reducing energy losses and increasing stability. Machine learning is applied to analyze massive amounts of sensor data to identify equipment flaws and prevent outages. Control systems with AI capabilities can manage intricate energy distribution networks and effectively integrate renewable energy sources into the grid. Computational technologies, such as finite element analysis, which simulates electrical systems and components, assist in performance prediction and design optimization. Owing to these developments, electrical engineering is evolving to become more intelligent, effective, and sustainable [1-3].

The modern environment has made electronic devices increasingly necessary, leading to an increased reliance on them. These devices include PCs, cell phones, dimmers, inverters, variable-speed drives, continuous power supplies, and light-emitting diodes. They cause the distribution system to acquire harmonics, resulting in low power quality (PQ) [4]. Furthermore, distributed generation (DG) sources, such as solar photovoltaic and wind farms, are the main forces behind the growth of smart grids. Its many advantages have drawn considerable attention. Integrating DG with a radial distribution system (RDS) is a crucial responsibility in the industry [5]. However, owing to the harmonics of the converter, inadequate integration can result in PQ issues [6].

A converter-based DG system, called nonlinear DG (NLDG), adds harmonics to the RDS [7]. However, these devices produce more harmonic pollution owing to their nonlinear properties. As a result, suppliers and consumers are becoming increasingly concerned about harmonics in PQ systems. The performance of distribution systems is negatively impacted by these harmonics, underscoring the urgency of finding solutions [8]. Several harmonic mitigation techniques are discussed in the literature [9]. An active power filter (APF) reduces the harmonics.

At the same node, it provides a nonlinear current through the RDS, similar to the NL load but in the opposite direction. Consequently, the harmonics were reduced or mitigated as required. Their ratings significantly influence the success of APFs. To ensure cost-effectiveness, they must be precisely proportioned and positioned [10]. Additionally, to achieve optimal performance, it is necessary to comply with IEEE regulations regarding individual and total harmonic distortion in voltage (IHDv and THDv, respectively) [11]. However, an analysis of the precise location and rating of APFs in RDS is required to determine whether modern power distribution networks are still stable, trustworthy, and efficient. The more NL and renewable energy sources are added to the RDS, the more crucial it is to lower the harmonics and improve the PQ.

The positioning and rating of APFs can enhance power efficiency, lower harmonic distortion, and strengthen RDS voltage stability, all of which improve the general functionality of the device. Recent studies have underscored the significance of optimizing the location and size of APFs to improve grid reliability and PQ, while also emphasizing the need for further research [12-14]. APF's current should be as low as feasible to minimize expenses. An optimization strategy is required for this. Consequently, several optimization methods have been proposed. Both PSO and its variants have been applied in [15], whereas a genetic method was employed in [16]. This problem has also been approached using other techniques, such as the harmony search [17], firefly algorithm [18], grey wolf optimizer [19], and, most recently, the JAYA algorithm [20].

Furthermore, many research topics employ a range of optimization methodologies, including PQ enhancement using APF [21]. Moreover, numerous research topics use a variety of optimization techniques, such as solar irradiance forecasting [22], PV wind-based microgrid implementation [23], UPQC using PSO-based PI tuning [24], fault detection in AC motors [25], and harmonic mitigation of solar PV [26]. No optimization algorithm can offer optimal solutions to every optimization problem; based on the No Free Lunch Theorem (NFL) [27], researchers use custom algorithms because the nature of the problem can affect how well an algorithm performs. Tasmanian Devil Optimization (TDO), a recently proposed bio-inspired metaheuristic algorithm inspired by the behavior of Tasmanian devils in the wild, was used in this study. TDO mimics the diet of the Tasmanian devil, which consists of attacking live prey and scavenging on carrion.

The algorithm's mathematical modeling and comprehensive design are presented in this publication. The optimization results demonstrate how effectively TDO can investigate and use data, finding a helpful compromise between the two to address the optimization problems. Moreover, the implementation outcomes demonstrate that TDO performs admirably in real-world settings. This was recently proposed by [28]. It has shown promising results in various optimization areas, and this metaheuristic algorithm is an invaluable resource for scholars and practitioners across a wide range of sectors. It is widely used in engineering fields, such as the parameter identification of transformers [29], economic load dispatch [30], tuning of PID controllers [31], and global optimization [32].

The Osprey Optimization Algorithm (OOA), a novel metaheuristic algorithm presented in this study, is modeled after the instinctive hunting behavior of ospreys. The ospreys' method of spotting fish in the water, catching them, and transporting them to a good spot to eat is the basis of the OOA. The algorithm's approach is mathematically modeled to simulate the natural behavior of ospreys during hunting, encompassing two key phases: exploration and exploitation. Proposed it [33]. Numerous technical fields have made extensive use of it, including economic load dispatch [34], reactive power optimization [35], and DC microgrid [36] control. Several important contributions were made to this study, including the use of APFs to handle harmonic reduction when NL and NLDG were present. The following are the primary contributions of this study:

TDO and harmonic load flow (HLF) integration: This study uses a combination of TDO and HLF analyses to obtain a suitable filter rating. This method considers the response of the system to the harmonic production of NL + NLDG.

Comparison of two algorithms: In this study, two algorithms, TDO and OOA, are compared and analyzed for four distinct scenarios: NLs + NLDGs (without APF), a single APF on 27 and 67, and double APFs on 27 and 67. The aim of this assessment was to evaluate their efficiency in ascertaining a suitable APF grade. TDO advantage over OOA: In all scenarios and data evaluated, the computational trials showed that the TDO worked better than the OOA by producing the least amount of APF current.

To the best of our knowledge, this is the first instance of a TDO being used to solve a problem. Computational testing was used to assess the performance of the TDO, and the value of the optimal fitness function was compared with that of the OOA. In this study, the NL + NLDG buses under consideration were simulated using the IEEE-69 RDS system to ascertain the most suitable value of the APF current employing TDO and OOA.

II. METHODOLOGY

APF, RDS modeling, HLF, and TDO are used to develop an objective function that increases PQ while reducing harmonics are all covered in this part.

II.1 MODELING OF RDS, HLF, AND APF

The three RDS parameters, impedance, resistance, and inductance, are represented in a harmonic environment in line with [37]. As stated in [37], a harmonic generator was used to represent the APF. Harmonic analysis was performed using the network topology-based HLF approach [38]. The two correlation matrices that form the basis of this method are the BCBV and BIBC.

II.2 OBJECTIVE FUNCTION

The objective function (OF) is an important aspect of the optimization process. Constrained nonlinear problem: Identification of the proper APF rating to reduce harmonics. In this instance, the decision component is the APF current.

Because the cost of the APF increases with its current rating, it is imperative to lower the current. The following three restrictions were considered to raise the PQ in RDS with APF: The three variables are THDv, IHDv, and Iapfmax. Whereas the third standard limit depends on the NL current, the first two are required by IEEE Standard 519. The objective function is expressed as

$$OF_{apf} = \min \sum_{m=1}^{n} \sqrt{\sum_{h=2}^{H} \left| I_{apf,m}^{h} \right|^{2}} + DP \tag{1}$$

The highest-order harmonic in this formula is denoted by H. The dynamic penalty is denoted by DP. The total number of buses is n, and the representation of the bus number is m. The objective function is subject to the following restrictions.

$$\begin{aligned} THD_V - 0.05 \le 0 \\ IHD_V - 0.03 \le 0 \\ I_{apf} \le I_{apf,MAX} \end{aligned} \tag{2}$$

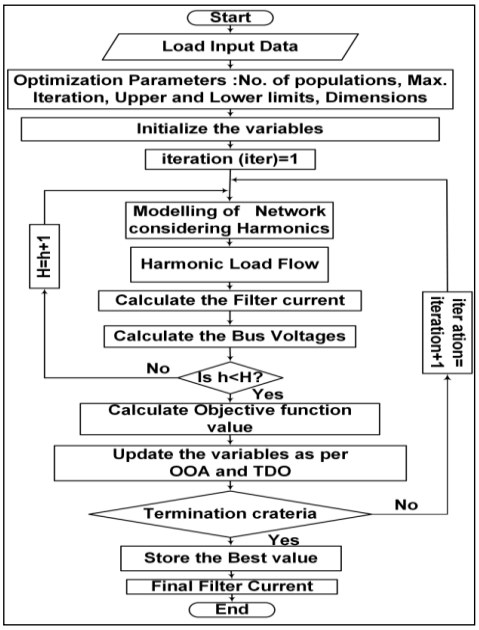


Figure 1: Flowchart.
Source: Authors, (2026).

Figure 1 shows a flowchart of the application of the TDO to reduce harmonics and enhance PQ in RDS. As shown in Figure 2a, this study uses a modified IEEE-69 bus RDS [39], where the buses in the system with NLs are linked to the NLDGs. The 5^{th} to 49^{th} harmonics in the NLs' harmonic spectrum match the features of a six-pulse converter [4]. The NLs are carefully placed at the end nodes of RDS buses 27 and 67, as shown in Figure 2a. Matlab code simulating the presented optimization can be seen form Figure 2b.

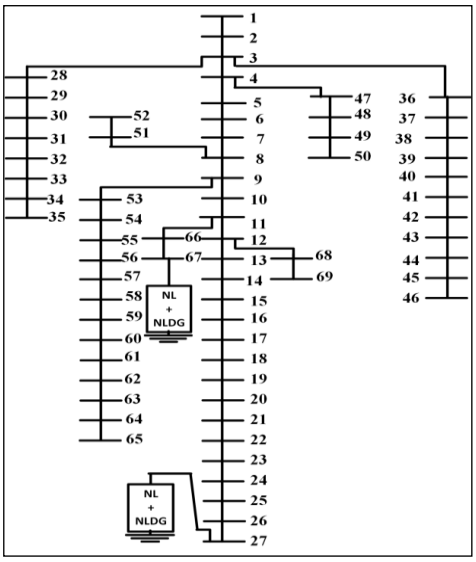


Figure 2a: IEEE-69 bus RDS.
Source: Authors, (2026).

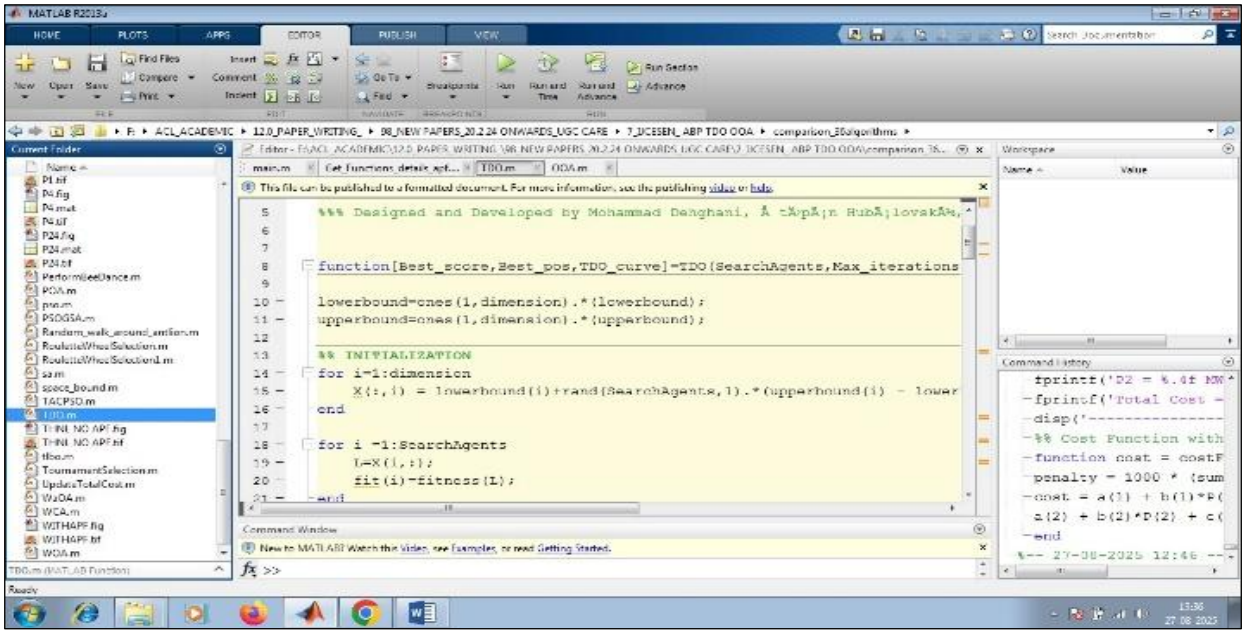


Figure 2b: Simulation setup.
Source: Authors, (2026).

II.3 THE PROCEDURE FOR SIMULATION

First, the pertinent data from the test system, including the harmonic spectrum, were loaded. The optimization parameters were specified in the next step. Step 3 is a simulation of the harmonic context created using the inputs. HLF analysis should be performed in Step 4. In step 5, the THDv should be computed using the NLs and NLDGs. Incorporate the APF into the system prior to step 6. The APF is included in the HLF in step 7. In Step 8, the minimum practical APF current is determined using the TDO. Step 9: Define the termination standards for the approach. Similarly, identical actions are performed for the OOA.

III. RESULTS AND DISCUSSIONS

As shown in Figure 2a, the IEEE-69 bus system has two NLs + NLDGs at buses 27 and 67. This example has only two nodes with NLs + NLDGs, but the harmonic influence is amplified and affects all 68 buses in the system. Without the APF, the HLF determines the THDv% of each bus, as shown in Figure 3. The THDv values of 40 of the 68 buses (excluding the first bus, which is a source bus) show that harmonics have a considerable effect on the RDS; these readings are larger than 5%. Remarkably, only two buses have NLs + NLDGs, and all buses have THDv. A bus cannot fulfill the IEEE standard limit if its THDv is greater than 5%. It displays the low PQ of the RDS. NLs + NLDGs were present on buses 27 and 67.

For the two buses, the THDv values were 27.34% and 11.68%, respectively. In total, 40 buses exceeded the THDv 5% threshold. The information above suggests that the RDS is somewhat contaminated with harmonics. Harmonic filters must be used to adhere to the IEEE standard limitations. Buses 27 and 67 were allocated the APF concurrently with the NLs + NLDGs. The scenario consisted of one APF on bus 27, one APF on bus 67, and two APFs on each bus. The APF rating is a crucial factor to consider because it directly affects the system cost. The TDO optimization process determines the required APF current. There is a maximum population of 30 and an allowable number of iterations of 60. The steps in the applicable flowchart for the selected test system (Figure 1) were used to emulate this approach.

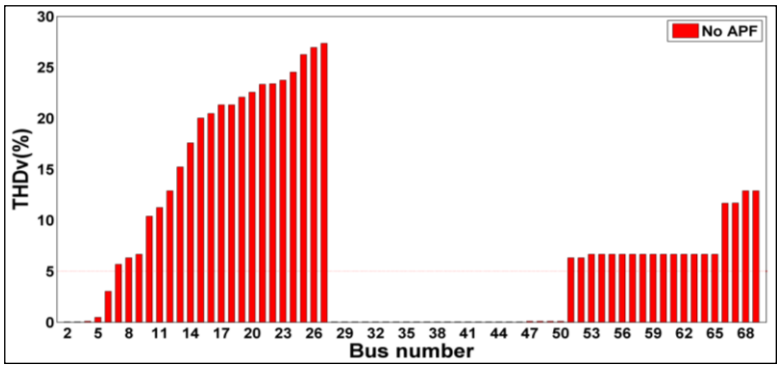


Figure 3: THDv at all buses when APF is absent.
Source: Authors, (2026).

III.1 CASE 1

Buses 27 and 67 connect the NLs and NLDGs, as shown in Figure 2a. The system was substantially harmonically distorted by these two nodes. Bus 27 (27.34%) had the maximum THDv in the absence of APF, whereas bus 67 had 11.68%.

III.2 CASE 2

To reduce the THDv as much as possible, the APF was positioned near bus 27. Figure 4 illustrates how OOA converged to a value higher than TDO (46.7726 p.u.), whereas TDO decreased to 0.0995 p.u. It has been observed that the APF should be placed on bus 27. It is the correct placement. TDO performed better than OOA under the given conditions.

III.3 CASE 3

In this case, no algorithm converged and satisfied the constraints. Because of the penalty, the OOA and TDO values are higher (72.7829 p.u.). No single algorithm can meet all requirements. This implies that bus 67 was not positioned correctly for the APF to increase PQ.

III.4 CASE 4

Buses 27 and 67 were equipped with APFs. Figure 5 shows the results of the HLF with the optimization methods. The convergence curve for each algorithm is displayed in Figure 5 under the required conditions. The TDO approach for determining the minimum APF current is shown in figure. The OOA did not converge to find the lowest APF current. However, as shown in Figure 5, the TDO method provides the minimum APF current that converges within the specified limits efficiently with a value of 0.0983 p.u. When the APFs are installed at buses 27 and 67, the TDO approach converges well; in these circumstances, the OOA calculates the APF current to be 34.2303 p.u.

This is deemed improper. Table 1 shows the comparative values of the considered algorithms.Figure 6 illustrates that the THDv values of all the system's buses are now less than 5% following the installation of APFs at buses 27 and 67. It is noteworthy that busses 27 and 67 now have THDv of 4.94 % and 5 %, respectively, as opposed to their previous THDv of 27.34% and 11.68%, respectively, without the APF and with the APFs implemented. As can be shown in Figure 6, every bus satisfies the THDv constraints of below or equivalent to 5%. As a result, improving PQ in the RDS depends critically on the bus number and sizing of the APFs.

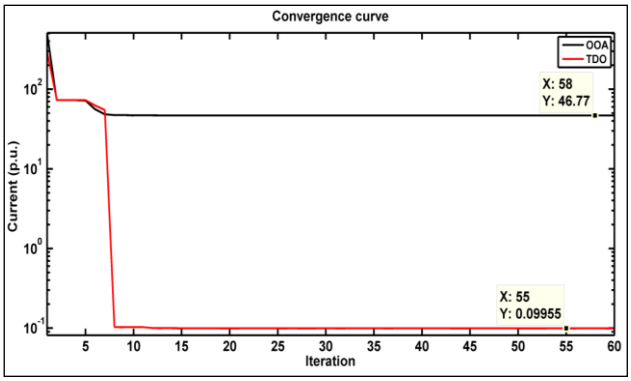


Figure 4: Convergence curves for algorithms when APF is at bus 27.
Source: Authors, (2026).

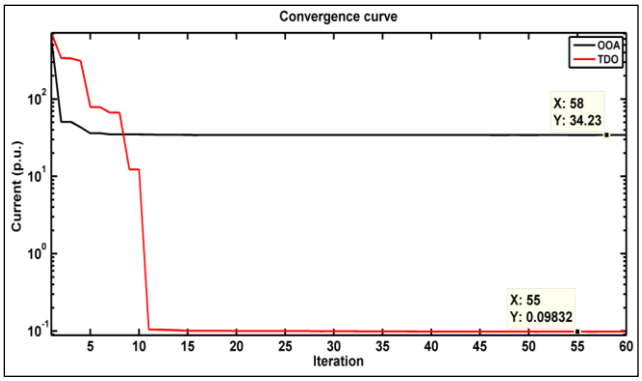


Figure 5: Convergence curves for algorithms when APFs are at buses 27 and 67.
Source: Authors, (2026).

Table 1: Comparison of Optimization Techniques.

Bus	APF	APF current by TDO	APF current by OOA	Convergence of algorithm
27	1	0.0995	46.7727	Only TDO converged
67	1	72.7829	72.7829	Both not converged
27,67	2	0.0983	34.2303	Only TDO converged

Source: Authors, (2026).

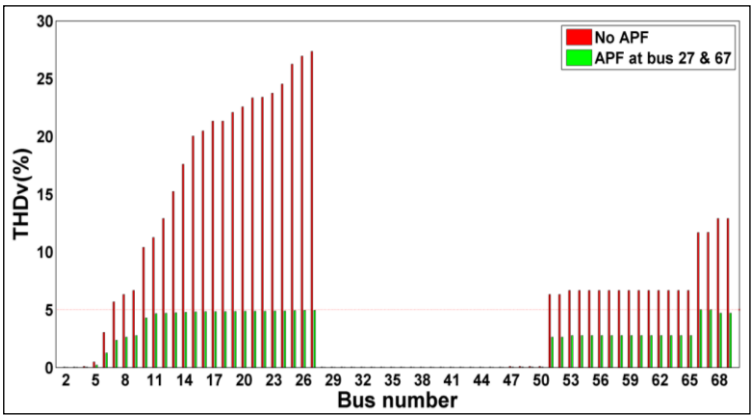


Figure 6: THDv at each bus, following optimization, with and without APFs.
Source: Authors, (2026).

IV. CONCLUSIONS

In order to reduce the harmonics and increase PQ, this article looks into using TDO and OOA in RDS through the APFs. Even though the RDS shows the strong influence of harmonics with two NLS + NLDGs. TDO and OOA with HLF are successfully integrated in the IEEE-69 bus test system simulation. The measured THDv highlights the negative impact of harmonics on PQ, with values greater than 5% on 40 buses. The highest THDv, 27.34%, is found at bus 27. The crucial significance that APF placement plays is highlighted by the fact that THDv was successfully reduced to 5% in all buses a feat that was only possible with one APF at 27 and with two APFs installed at buses 27 and 67. Amazingly, THDv can be contained under the allowed limit on all RDS buses with just one APF and two APFs. The TDO method finds a minimum APF current of 0.0983 p.u., which satisfies the condition and converges with busses 27 and 67 successfully. However, the OOA, is unable to converge, indicating that TDOs perform better in this circumstance. In contrast, OOA converges at 34.2303 p.u., while TDO converges at 0.0983 p.u.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Ashokkumar Parmar, Ashok Lakum, Mehul Dansinh Soalnki.
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Writing – Review and Editing: Ashokkumar Parmar, Ashok Lakum.
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RESEARCH ARTICLE OPEN ACCESS

COST-EFFECTIVENESS AND EFFICIENCY OF PV PUMPING SYSTEMS UTILIZING ARTIFICIAL INTELLIGENCE ALGORITHMS

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ABSTRACT

We conduct this research for thirty-six months from 2021 to 2023 in Souk-Ahras (Tiffech), Algeria, to evaluate the effectiveness and costs of a direct-coupled photovoltaic pumping system for agricultural irrigation, considering the region's potential for solar energy. This study presents an analytical method of dimensioning based on water quantity, sunlight data, pump group efficiency, and well and reservoir characteristics to provide insights for better economic installation management. We evaluated the viability of a solar photovoltaic- SPV, water pumping system using the software PVsyst. However, we employed artificial intelligence- AI, methods to optimize irrigation and conserve water resources, thereby enhancing energy efficiency. Four AI methods, Support Vector Machine- SVM, Random Forest- RF, Naive Bayes- NB, and k-Nearest Neighbors- kNN, are utilized. Energy-efficient systems promote a reduction in overall costs, enabling users to maintain financial balance while meeting their pumping needs. According to AI findings, the k-NN model exhibits high accuracy at 0.960 precision. The cost-effectiveness comparison of the SPV system to a diesel generator demonstrated a significant decrease in the cost of pumped water, thereby making the SPV system more viable and profitable. This approach has demonstrated its effectiveness and robustness.

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I. INTRODUCTION

The Algeria, the largest country in Africa, faces increasing pressure on its water resources due to rapid socio-economic development and agricultural expansion, leading to groundwater overexploitation. With 95% of rural water supply relying on groundwater, rural farming plays a critical role in Algeria's economy, supported by government investments aiming for self-sufficiency in food supply. Photovoltaic- PV, water pumping emerges as a sustainable solution to replace diesel-powered systems, addressing both environmental concerns and declining water tables [1-3]. PV technology is economically viable, offering decentralized energy solutions, especially in rural areas where grid extension is unfeasible [4], [5]. Despite diesel subsidies reducing the appeal of PV systems, real cost analysis shows PV water pumps are competitive over their lifecycle [6], [7]. Research by [8], [9], highlights seasonal variations in PV pump performance, showing optimal efficiency at panel temperatures between 12-32°C. Similarly, [10] emphasize the economic and environmental advantages of solar irrigation systems, noting significant improvements in farm income and reduced dependency on electricity. In Souk-Ahras, Algeria, this work employs artificial intelligence and PVsyst software to assess the cost-effectiveness and performance of a direct-coupled PV water pumping system. The research is structured into four parts: panel design and sizing, motor and pump evaluation, comparative analysis based on cost and efficiency, and concluding recommendations. Findings aim to guide decision-makers in selecting the most efficient motor, optimal pump type, and suitable PV module configuration to maximize energy efficiency and cost savings. By integrating electronic control systems, the study explores how motor speed adjustments and pump type selections can enhance long-term operational sustainability. The study employs four artificial intelligence methods: SVM, RF, NB, and kNN. Ultimately, this research demonstrates the robustness and efficiency of AI-optimized PV water pumping systems for sustainable agricultural irrigation in Algeria.

II. MATERIALS AND METHODS

II.1 PRESENTATION OF PVSYST SIMULATION SOFTWARE

PVsyst is software for sizing solar panels that allows you to obtain various information such as energy production, irradiation, installation cost, area required, or annual energy production. An advanced mode makes obtaining much more information for a complete study possible pursuant to [11], [12]. The software mainly includes two modes of operation, the first and a reasonably simple pre-sizing application to learn and accessible to neophytes. The second allows a much more in-depth study and considers many more parameters. Moreover, it is based on concrete material for its calculations, unlike the first mode, which performs calculations for a general case [13], [14]. For each of the two modes, the principle is the same: the geographical location of the installation is given, then the data concerning the installation is entered. Then comes a results section where we choose the data that interests us. This software is, therefore, accessible to experienced and neophytes alike. This documentation will not deal with the "pumping installation" parts and the financial aspects in mind to [15], [16]. Sizing and simulation of a PV pumping system with the PVSyst software. We will see how to size and simulate a PV pumping system, to start it is necessary to check three settings [17], [18]. First you need to know the site and its characteristics (location, weather, irradiation, etc…). Secondly, it is necessary to know the characteristics of user needs (reservoir, well and pipes...). Thirdly, it is necessary to know the choice of components (PV panels, pump, and connection…).

II.2 CHOICE OF SITE AND THEIR CHARACTERISTICS

First of all you have to know the location. The type of installation you are considering (on the roof, on the ground, etc.). As well as the orientation of the installation, to be able to define the solar yield available. The path of the sun: In our case, choose the site of Souk Ahras (Tiffech), where the geographical and meteorological data are included in the PVsyst software. Fig. 1, represents Souk Ahras (Tiffech) geographical site parameters, the site's coordinates are 36.08 49 North, 7.46 13 East, and 889 m altitude.



Figure 1: Site parameters Souk Ahras (Tiffech) geographical.
Source: Authors, (2026).

II.3 THE CHOICES NEED OF USER

Accurate water requirement assessment necessitates data on well characteristics, storage reservoirs, and hydraulic circuits, including height, reservoir diameters, and pipe diameters. When dimensioning a PV pumping system, the primary constraints are optimizing the size of the photovoltaic generator and the pumps, considering the flow rate and the compatibility of the electric PV pump, as well as the configuration of the system chosen [19]. We start with the sizing of the pump. You must fill in the data in figure 2 below:

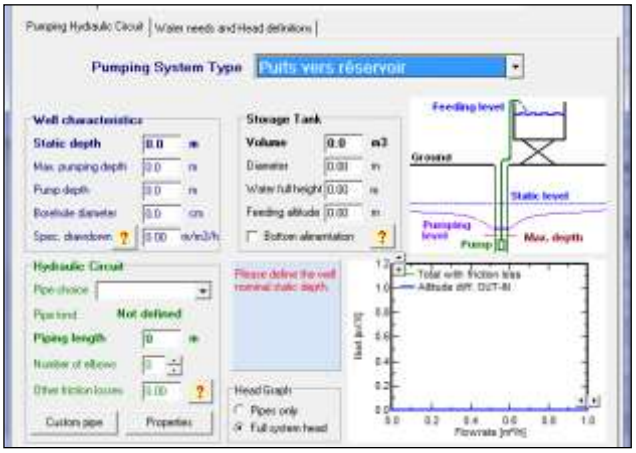


Figure 2: The need for the well, the tank and the vacuum pipes.
Source: Authors, (2026).

To determine the pump adapted to the needs, it is necessary to know several parameters, including the following:

The desired flow rate (in m^3/h);
The Total Manometric Height- TMH;
The supply voltage of the pump.

The flow rate is determined according to the needs. It is advisable to draw up a sizing sheet containing the number of cubic meters needed daily for domestic water, gardening, market gardening and drinking water for livestock. Flow Rate and (TMH), these 2 data mean the amount of operating water and the height at which the pump will have to discharge. Adding the pressure drops and the discharge pressure in the pipe will be necessary.

$$TMH = (Ha + Hr) + J + Pr\ (mCE) \quad (1)$$

The drip-fed farm is situated close to Tiffech in Souk Ahras, Algeria. It is therefore necessary for a submerged pump capable of delivering at 19 meters with a flow rate of 0.85 m³/h or 5.1 m³/day (6 hours/day). PVsyst has given us a range of pumps (brand and model). So, according to the availability in Algeria and the robustness of the brand, we chose the Allman LORENTZ product in the PS200_HR-14 range, which has the following characteristics (see Figure 3).

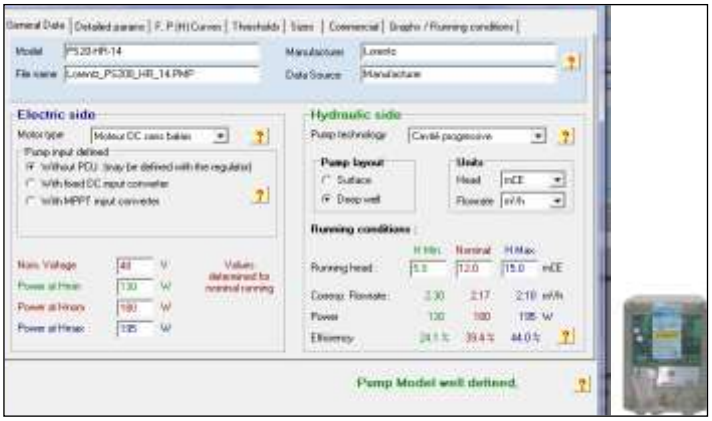


Figure 3: Pump feature PS200_HR-14.
Source: Authors, (2026).

Then, we must determine the power and number of photovoltaic panels needed to operate the pump. As a reminder, the peak watt-Wp, is the maximum power of a device. Its unit is the watt in the International System. For example, in a photovoltaic installation, this is the maximum electrical power that can be supplied under standard conditions:

An irradiance (energy illumination) of 1,000W/m^2;
A panel temperature of 25 °C;

A spectral distribution of the so-called AM 1.5 radiation, corresponding to the solar radiation reaching the ground after having passed through an atmosphere with a mass of 1 kg at an angle of 45°. If the temperature is higher than 25°C, it is necessary to count on a loss of yield of 0.4% per degree. Now that we have determined the appropriate pump, it remains to calculate the necessary power and, therefore, the number of photovoltaic panels to operate it in optimal conditions. To choose a pump that provides the desired water volume, with a specific flow rate and for a set time period, PVsyst has provided us with a selection of pumps. So as we said before, depending on the availability in Algeria also the robustness of the brand, we chose the Allman Sun Power product, in the SPR-X20-327-COM model. PVsyst allows users to simulate weather patterns by adjusting parameters and storing variables in monthly results. Figure 4 represents the influence of solar radiation variability on water production during a year.

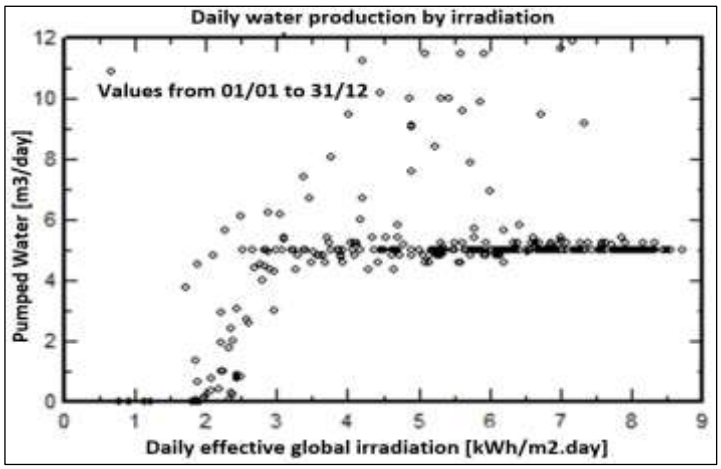


Figure 4: Daily water production according to irradiation.
Source: Authors, (2026).

We notice on the daily water production graphic display according to the irradiation that the relationship is almost linear. Knowledge of the apparent movement of the sun for a given point on the earth's surface is necessary for any solar application. The position of the sun is defined by two angles: its height HS (angle between the sun and the horizontal plane of the place) and its Azimuth AZ (angle with the direction of the south, counted negatively towards the east). Given the high price of PV modules, it is necessary to choose optimal orientations and inclinations for energy production. Optimization tool have a complete and precise calculation using comprehensive hourly weather data over a year (see Figure 5). Our software contains a tool aimed at showing the most suitable orientation for a photovoltaic pumping system where the transposition factor- FT, is the ratio of the incident irradiation on the plane, up to the horizontal irradiation. That's to say. What you gain (or lose) when tilting the collector plane.

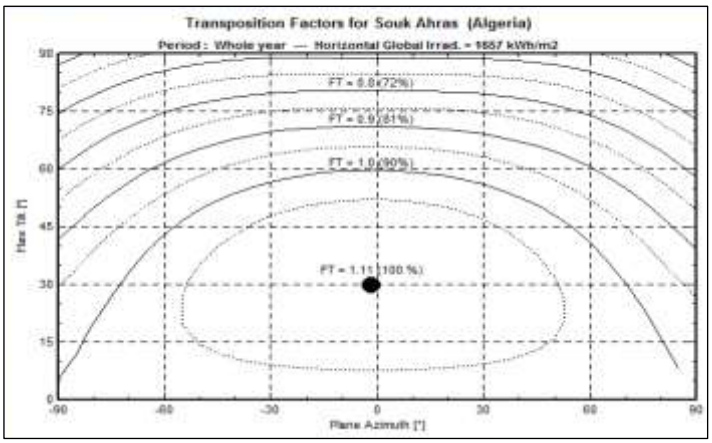


Figure 5: Souk Ahras transposition factor.
Source: Authors, (2026).

Quick optimization tool in the "Orientation" section: When choosing the plane orientation (fixed), an information panel indicates the corresponding transposition factor, the difference (loss) compared to the optimal orientation and the irradiation available on this inclined plane. So PVsyst chose an annual inclination plan of 32° (compared to the horizontal), this is the optimal inclination given by the PVsyst software, apart from the latter the yield decreases (see Figure 6).

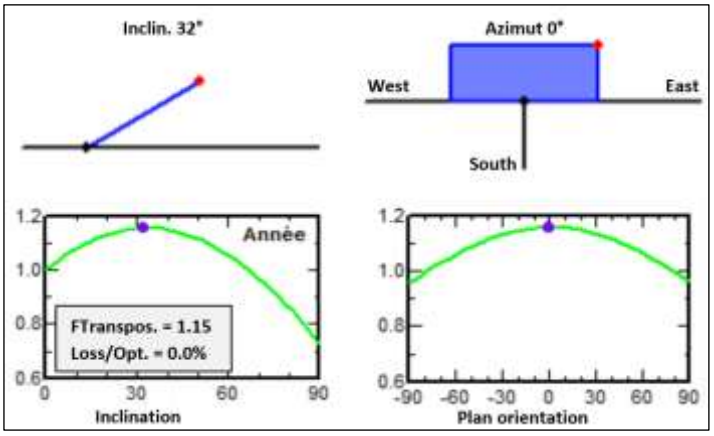


Figure 6: Optimal orientation of PV panels.
Source: Authors, (2026).

Table 1 summarizes three years of weather conditions for the site of Souk Ahras (Tiffech).

Table 1: Meteorological data from the Souk Ahras site (Tiffech).

	Global Irradiation (kWh/m².day)			**Diffus. (kWh/m².day)**			**Temperature (°C)**		
Months	2021	2022	2023	2021	2022	2023	2021	2022	2023
Jan.	2.28	2.38	2.43	0.91	1.04	1.14	8.0	6.9	10.0
Feb.	3.15	3.05	3.11	1.17	1.47	1.57	9.2	7.4	10.4
Mar.	4.25	4.32	4.38	1.55	1.86	2.07	12.0	11.0	13.6
Apr.	5.21	5.53	5.60	1.97	2.25	2.53	15.4	14.1	16.2
May	6.25	6.19	6.22	2.18	2.63	2.95	20.8	18.3	19.7
Jun.	6.98	7.03	7.04	2.18	2.47	2.93	25.7	23.2	23.5
Jul.	7.14	7.08	7.10	1.99	2.33	2.83	28.7	27.2	26.7
Aug.	6.08	6.41	6.43	1.91	2.16	2.64	28.5	26.1	26.7
Sep.	5.00	5.05	5.07	1.60	1.93	2.12	23.9	21.3	23.2
Oct.	3.57	3.97	4.01	1.29	1.49	1.67	19.6	17.8	20.3
Nov.	2.45	2.81	2.87	0.99	1.08	1.14	13.7	11.4	14.8
Dec.	2.02	2.25	2.29	0.83	0.94	1.04	9.6	8.0	11.4

Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

In this work, the PVSyst program was used to simulate the design and analysis of an on-grid solar PV system. The most pleasant results were found and reviewed in the results analysis section after numerous simulations runs and calibrations. The model should be simulated following the previously outlined design procedure, and the results can be analyzed to determine plant efficiency. A comprehensive simulation has been conducted and multiple outputs have been produced in order to gain a better knowledge of the installed plant. The report includes calculating energy losses from the system's operation, tracking proportional losses from solar energy receipt to pump operation. Figure 7 displays losses and includes a fee schedule. The process begins with the energy losses incurred by the system, including those from the atmosphere and shadows. The efficiency of the cells here is 20.05% after the different system losses of the construction (queues, temperature, etc.), up to the final energy that is exported from the system to the pump.

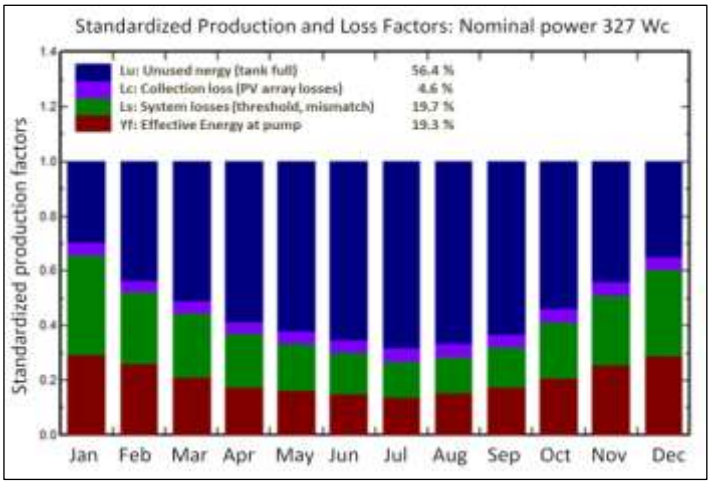


Figure 7: Standardized production and part factors.
Source: Authors, (2026).

Solar pumping systems are deep well-type, using submersible pumps at the bottom of boreholes. These pumps are designed to be below water level and connected to the surface via water pipes and electrical supply wires. The water is pumped into a storage tank, depending on sunlight availability. The system requires specific parameters such as static depth, maximum pumping depth, pump depth, borehole diameter, and specific drawdown. The storage tank and hydraulic circuit parameters are also defined. Table 2 summarizes the totals of the main results for thirty-six months from 2021 to 2023.

Table 2: Assessments and main results for three years.

Years	GlobEff (kWh/m^2)	EArrMPP (kWh)	E PmpOp (kWh)	EtkFull – (kWh)	H Pump (mCE)	W Pumped (m^3)	W Used (m^3)	W Miss (m^3)
2021	2083.0	607.02	133.09	229.50	10.00	1804.8	1805.7	19.332
2022	1873.5	1180.0	391.52	355.98	10.00	1804.9	1811.7	49.85
2023	1871.3	628.84	387.72	211.29	10.00	1832.5	1840.5	20.98

Source: Authors, (2026).

III.1 ECONOMIC COMPARISON WITH THE CLASSIC PUMP DRIVE SOLUTION WITH AN INTERNAL COMBUSTION ENGINE

The analysis will be restricted to a direct economic comparison between the Internal Combustion Engine- ICE and the Classic Pumping Engine- CPE, as heat engines [20]. The CPE and ICE both run on the idealized thermodynamic cycle that is employed by heat engines to transform heat into work output. The engines' methods for turning heat and air pressure into work vary widely, thus in order to compare them economically, we must examine the costs and efficiencies associated with producing the desired amount of work. The data in the economic assessment form are prepared with an investment of 240,000 DZD, covering the PV modules, pump, controller, and additional accessories. With a 17% tax, the net investment rises to 280,800 DZD. The total annual cost amounts to 22,532 DZD, spread over a 20-year depreciation period at a 5% rate. However, the amount of pumped water is 1417 m^3/year for a total annual cost of 22532 DZD/year, which gives us a cost of water per cubic meter of 15.9 DZD. Let's know that one Algerian dinar is equivalent to 0.0074 US dollars (1 DZD = 0.0074 USD). A 133 kW diesel engine is what the 133 kW generator needs to be powered by.Diesel engine fuel consumption is typically 190220g/kW/h, though this might vary depending on the equipment and fuel grade.

The computation used currently is 133 g/kW/h: 133 (kW) × 0.2 (kg) × 6 = 159.6 (kg). Diesel No. 0 (your 133 kW diesel generator) has a density of roughly 0.84 (kg/l), so 159.6/0.84 = 190 (l). In six hours, this diesel generator uses about 190 liters. Diesel generators typically use 0.2 liters of fuel per kilowatt-hour of power. The fuel consumption index of diesel generators is influenced by various factors, as their energy production varies based on their fuel consumption. Algeria has one of the lowest diesel prices in the world due to subsidies. For example, the price of a liter of diesel in Algeria is 29 DZD (~ 0.2146 US Dollars) for an average world price of diesel of 1.26 (US Dollars). Fuel subsidies are therefore considered as a shortfall or a potential loss for the State, which sells petroleum products, particularly fuels, below their international price [21]. The question that arises is until when the price of fuel will remain subsidized in Algeria? To this end, in this study, we will not take into consideration the current price of a liter of diesel in Algeria and we will use the world average price.

In the preceding section, the PVsyst software computed the cost per m^3 of water pushed by the PV water pumping system; however, the cost per m3 of water pumped by the diesel water pumping system was not computed. Consequently, the cost annuity technique, which is based on the Life Cycle Cost-LCC, analysis, is used to determine the cost per m3 of water pushed by diesel water pumping system [22].

$$cost\ of\ m3\ of\ water\ pumped = \frac{Annualised\ LCC}{Total\ pumped\ water} \quad (2)$$

Table 3 shows the economic comparison with the classic pump drive solution with internal combustion engine.

Table 3: Economic comparison with the classic pump drive solution with internal combustion engine.

	Classic Pumping Engine	**Internal Combustion Engine**	
Price of diesel per liter (USD)	/	Algeria	Global
		0.2146	1.26
Pumped water (m^3/Year)	1417		
Total annual cost (USD/Year)	166.74	40.75	239.40
Water cost (USD/m^3)	0.1176	0.0288	0.1689

Source: Authors, (2026).

The viability of a solar photovoltaic (SPV) water pumping system has been examined in this work. Water costs about 0.1176 (USD/m^3). If a diesel generator is utilized in place of the SPV water pumping system, the cost of pumping water would be about 0.1689 (USD/m^3) in the absence of any subsidies. When a subsidy is taken into account during simulation, the price of water drops to 0.0288 (USD/m^3). The SPV water pumping system is more practical and cost-effective than the diesel system, according to the life cycle cost study of pumping water. The economic comparison of electric motor drive direct voltage for low voltage networks is justified for irrigation systems like sprinklers. The engine must maintain constant speed, be cheap, and have reduced maintenance costs, making it suitable for medium and large-scale irrigation systems [23]. Variable Frequency Drives- VFDs, are costly for low-powered pumps and have poor electromagnetic compatibility. New technologies utilize direct-drive variable voltage supplies for pumping. These motors draw power from solar systems at variable voltages, converting 24 V DC to AC. This allows photovoltaic-powered AC pumps, helping Algerian farmers reduce electricity costs.

III.2 ARTIFICIAL INTELLIGENCE CLASSIFICATION OF THE PUMP POWER

Artificial intelligence (AI) and machine learning must be used to preserve water resources (optimization of irrigation) and maximize energy efficiency. To this end, optimizing the irrigation of crops can adjust the amount of water supplied to crops according to their actual needs, and enhanced energy monitoring enables precise and efficient management of solar energy in farms. These techniques use sensors and intelligent systems. First, they optimize crop watering by obtaining real-time information on soil humidity, temperature and rainfall. They also improve energy efficiency by adjusting the charging parameters to the actual energy needs. To achieve this goal, in this work, four AI methods have been used: Support Vector Machine (SVM), Random Forest (RF), Naive Bayes (NB), and k-Nearest Neighbors (kNN) algorithm. After processing the data used for the learning and testing of our model, two classes were chosen taking into account the power (low, strong), knowing that there is a correlation between the power and water quantity. However, as shown in Figure 8, four confusion Matrix illustrate the classification of each model.

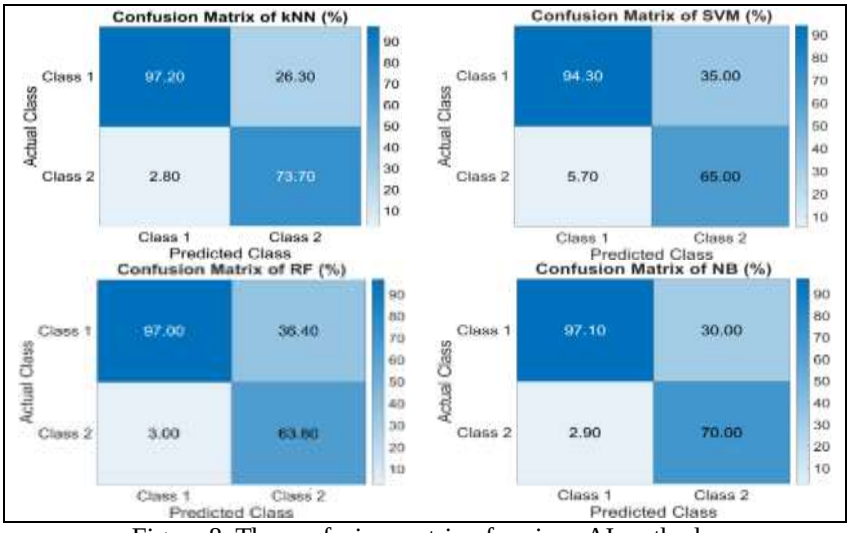


Figure 8: The confusion matrix of various AI methods.

Source: Authors, (2026).

The performance parameters of AI models are calculated from equations (3-7), based on the confusion matrix, as shown in Table 4. Classification Accuracy (CA):

$$CA = \frac{TP + TN}{TP + TN + FP + FN} \quad (3)$$

Precision:

$$Precision = \frac{TP}{TP + FP} \quad (4)$$

Recall (Sensitivity):

$$Recall = \frac{TP}{TP + FN} \quad (5)$$

F-measure (F1 Score) harmonic mean of precision and recall:

$$F\text{-Score} = \frac{2 \times Precision \times Recall}{Precision + Recall} \quad (6)$$

Matthews Correlation Coefficient (MCC):

$$MCC = \frac{(TP \times TN) - (FP \times FN)}{\sqrt{(TP + FP)(TP + FN)(TN + FP)(TP + FN)}} \quad (7)$$

Where:

TP is the number of True Positives, TN is the number of True Negatives, FP is the number of False Positives, and FN is the number of False Negatives [24], [25].

Table 4: The performance parameters of the various models.

MODEL	CA	F1	PREC	RECALL	MCC
SVM	0.907	0.836	0.844	0.879	0.640
RF	0.938	0.836	0.844	0.836	0.667
NB	0.912	0.873	0.897	0.873	0.725
k-NN	0.960	0.891	0.894	0.908	0.757

Source: Authors, (2026).

According to the AI results, k-NN Classifier with k=9, Mahalanobis Metric, and Distance Weighting is the most accurate model with 96 %.

V. CONCLUSIONS

This article describes a straightforward method for sizing a photovoltaic pumping system for agricultural irrigation. We used the PVsyst software to simulate the PV pumping system at an angle of inclination equal to the latitude, allowing us to study the system's daily and monthly performance. Properly sizing a PV pumping system requires careful consideration of various factors such as site selection, site implantation and its characteristics, reservoir selection, well drilling, pump size, and panel size. Thus, it entails the validation process of a model created with PVSyst to classify the required pump power as a response to the solar radiation available in any photovoltaic system. The viability of a solar photovoltaic (SPV) water pumping system has been examined. Water costs about 0.1176 (USD/m³), If a diesel generator is utilized in place of the SPV water pumping system, the cost of pumping water would be about 0.1689 (USD/m³) in the absence of any subsidies. When a subsidy is taken into account during simulation, the price of water drops to 0.0288 (USD/m³). The SPV water pumping system is more practical and cost-effective than the Diesel system, according to the life cycle cost study of pumping water. Based on the AI findings, k-NN emerges as the most accurate model, with 96 % accuracy. Finally, the k-NN model showed high precision, demonstrating the system's effectiveness and robustness.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Z Chelli, T Khouldia and S Bouraghda.
Methodology: Z Chelli and T Khouldia.
Investigation: Z Chelli and Author Two.
Discussion of results: Z Chelli, T Khouldia and S Bouraghda.
Writing – Original Draft: Z Chelli.
Writing – Review and Editing: Z Chelli and T Khouldia.
Resources: Z Chelli.
Supervision: Z Chelli and T Khouldia.
Approval of the final text: Z Chelli, T Khouldia and S Bouraghda.

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RESEARCH ARTICLE OPEN ACCESS

EVALUATION OF METHYLENE BLUE REMOVAL USING A FOOD-INDUSTRY BYPRODUCT VIA SIMULATION AND MODELING

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ABSTRACT

Our work examines the use of peanut shells, a common and cheap food waste, as a natural adsorbent for treating industrial dyes, particularly methylene blue in this study. We also performed a comprehensive analysis of adsorption, which showed that it follows both Langmuir and Freundlich adsorption isotherms, signifying that peanut shells are efficient adsorbents for methylene blue. To enhance the outcome of the adsorption, a Box-Behnken design was used in our experiment. This design enabled us to examine how various important parameters, such as the amount of adsorbent, concentration of the dye, pH, temperature, rate of stirring, and the ionic strength of dissolved salts, can affect this procedure. Also, a mathematical model and simulation of this adsorption reaction enabled us to find optimal conditions for efficient removal of this dye. In our experiments, the highest adsorption efficiency of 97% was obtained under optimal conditions of 1.5g of adsorbent, a concentration of 40mg/L of MB, a pH of 11, a temperature of 65°C, 0 mg/L ionic strength, and a stirring speed of 165 rpm. These results reveal that peanut shells can be considered a potential, environmentally sustainable alternative for removing dyes.

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I. INTRODUCTION

With the growth of humanity and the advancement of science and technology, the world reaches new horizons; however, this rapid growth will carry high costs in the near future. One of its major consequences is environmental degradation, particularly the growing problem of pollution. Water and soil contamination by industrial chemicals including dyes, heavy metals, phenolic compounds, pesticides, and fertilizers are a source of serious environmental impairment internationally. Organic dyes being resistant to biodegradation with accumulation and high levels of industrial applications, especially in textile industries, possess a high threat potential for environmental and human health[1].

These synthetic dyes also have widespread use in the paper, cosmetic, and food industries as well [2]. Several treatment methods such as adsorption, filtration, coagulation, flocculation, and membrane separation have been developed to mitigate these pollutants. Of these, adsorption is acknowledged as one of the effective and simple processes for organic contaminant removal, especially when low-cost or abundant natural adsorbents are made from waste materials [1]. In the present study, peanut shell wastes, one of the most abundant wastes, were used as a low-cost adsorbent material for the removal of methylene blue, which was selected as a representative organic dye based on its extensive use in various industries.

II. MATERIALS AND METHODS

II.1 PEANUT SHELL (PS) PREPARATION PROCESSES

II.1.1 Washing

First, peanut shells were crushed using a mortar in order to obtain smaller fragments. Ten grams of this crushed material were soaked into 1 liter of distilled water for 15 minutes.

After that, it was subjected to manual stirring to ensure good contact and the improvement of interactions between solid and liquid phases. Then, the sample was filtered through a simple strainer and washed with distilled water. This washing was repeated eight times until the filtrate became transparent and free of turbidity.

II.1.2 Drying

The cleaned peanut shells were cut into small pieces and left to air-dry. They were oven-dried at 50-60°C for 24 hours to remove the moisture completely.

II.2 PREPARATION OF THE "ADSORBATE" SOLUTION

A stock solution of methylene blue (100 mg/L) was prepared and stored in the dark to prevent degradation. Serial dilutions were performed to obtain the required working concentrations. All weighings necessary for the preparation of the solutions were conducted using a precision analytical balance.

II.2.1 Calibration Curves

The calibration curve, generated from diluted dye solutions at λmax =664nm, exhibited strong linearity between absorbance (Abs) and concentration (C), confirming the method's suitability for dye analysis.

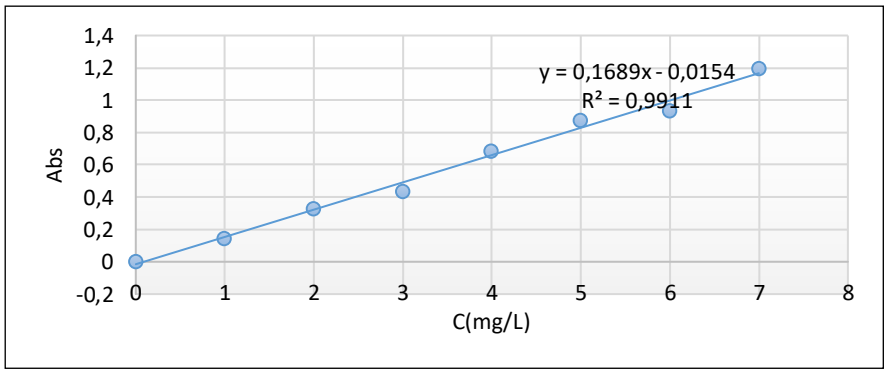


Figure 1: Calibration curve of MB at λmax =664nm.
Source: Authors, (2026).

II.3 CALCULATION FORMULAS

To determine the residual concentrations of MB in the liquid phase at time t, the linear equation is applied:

$$Y = 0.1689\,X - 0.0154 \quad (1)$$

where:
Y: the absorbance (A) at time t.
X: the residual concentration of MB at time t.
To calculate the quantity of biosorbed MB q_t (mg/g) at time t:

$$q_t = \frac{(C_0 - C_t)\times V}{m} \quad (2)$$

where:
C_0: The initial concentration (at t=0) of biosorbed MB in the liquid phase(mg/l).
C_t : The concentration of MB at time T in the liquid phase.
m: Mass of dry biosorbent (g).
To calculate the quantity of MB at equilibrium q_e (mg/g), the following formula is used:

$$q_e = \frac{(C_0 - C_e)\times V}{m} \quad (3)$$

where:
C_e : The concentration of MB in the aqueous phase at equilibrium (mg/L).
V: Volume of the solution (L).
To calculate the removal efficiency of MB at time t (%), the following formula is applied:

$$R(\%) = \frac{(C_0 - C_t)}{C_0} \quad (4)$$

To calculate the change in concentration of MB after the adsorption phenomenon, the following formula is applied:

$$\Delta C = c_0 - c_e \quad (5)$$

where: ΔC : The change in concentration (mg/L).

II.4. OPTIMIZATION

II.4.1 Experimental Designs

Experimental designs allow for the optimal organization of trials in both scientific and industrial studies. They are widely applicable across disciplines and industries where the goal is to understand the relationship between a response variable, Y, and explanatory variables, X_i. These designs are particularly valuable when the aim is to explore a function of the form: $Y = f(X_i)$ [3].

II.4.1.1 The Studied Factors

Table 1: Levels of the Studied Factors.

Levels	$C(BM)(mg/l)$	m (*Waste*) (g)	pH	$T(^0C)$	$C(NaCl)$(mg/l)	Stirring speed (rpm)
-1	5	0,2	2	30	0	0
0	22.5	0.85	6.5	47.5	0.05	115
$+1$	40	1,5	11	65	0.1	230

Source: Authors, (2026).

II.4.1.2 Measured Responses

Table 2: Measured Responses.

N	(1)	(2)	(3)
Responses	$Qm\ (mg/g)$	$\Delta C\ (mg/L)$	R (%)

Source: Authors, (2026).

II.4.1.3 Box-Behnken Design

In 1960, Box and Behnken introduced experimental designs that directly establish second-degree models. Each factor in these designs is evaluated at three levels: -1, 0, and +1. These designs are user-friendly and possess a sequential nature, allowing researchers to start with an initial set of factors and later add more without compromising previous results. The Box-Behnken design for three factors is depicted as a cube with 12 edges, typically including three central points in the study domain. Thus, the design involves 12 edge points plus 3 central experiments, totaling 15 experiments. [4]. The first experimental design measures two responses: Q_m and ΔC, while considering three factors: concentration (C), pH, and the mass of the peanut shell. The second experimental design focuses on yield (R) and examines three factors: temperature, ionic strength (NaCl concentration), and stirring speed (VA).

III. RESULTS AND DISCUSSION

III.1 EFFECT OF INITIAL CONCENTRATION

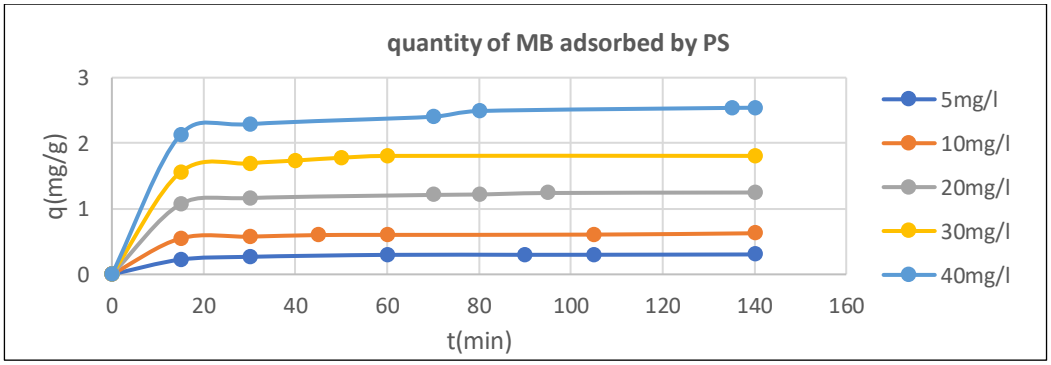


Figure 2: The effect of initial concentration on MB adsorption.
Source: Authors, (2026).

The sorption capacity of the biosorbent rises with increasing time, which shows that methylene blue [2] sorption depends upon the initial concentration. The dynamic equilibrium for MB adsorption takes place after a period of one hour, with higher MB adsorption as the initial concentration of MB becomes higher. The initial period of rapid adsorption takes place in the initial 50 min, where many adsorption sites are available on the surface of the adsorbent. With increasing time, longer periods are needed for diffusion of the molecules into the pores of the adsorbent, while the remaining amount that is not adsorbed is due to surface saturation of sites.

III.2 MODELING OF ADSORPTION ISOTHERM EQUILIBRIA

The Langmuir and Freundlich equations are employed to model adsorption isotherm equilibria. These equations accurately relate experimental data and provide insight into the adsorption reaction.

III.2.1 Langmuir Model

The modeling of the experimental results of the MB adsorption isotherm by PS using the Langmuir equation is presented in the following curve: $\mathbf{1/q_e = f(1/C_e)}$**……. (6)**

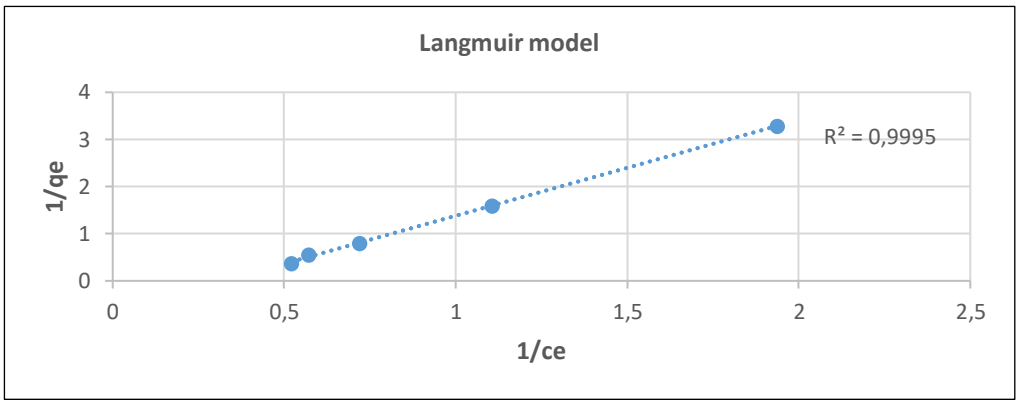


Figure 3: Modeling of the MB Adsorption Isotherm by PS using the Langmuir Equation.
Source: Authors, (2026).

According to the curve, we have:

$$1/q_e = 2.0344(1/C_e) - 0.6531 \quad (7)$$

III.2.2 Freundlich Model

The modeling of methylene blue [2] adsorption onto peanut shells (PS) using the Freundlich isotherm is illustrated in the accompanying curve. The correlation coefficients (R^2) obtained from the Langmuir and Freundlich models are 0.999 and 0.98, respectively. Although both models are suitable, the Langmuir model offers a better fit for the experimental data of MB adsorption.

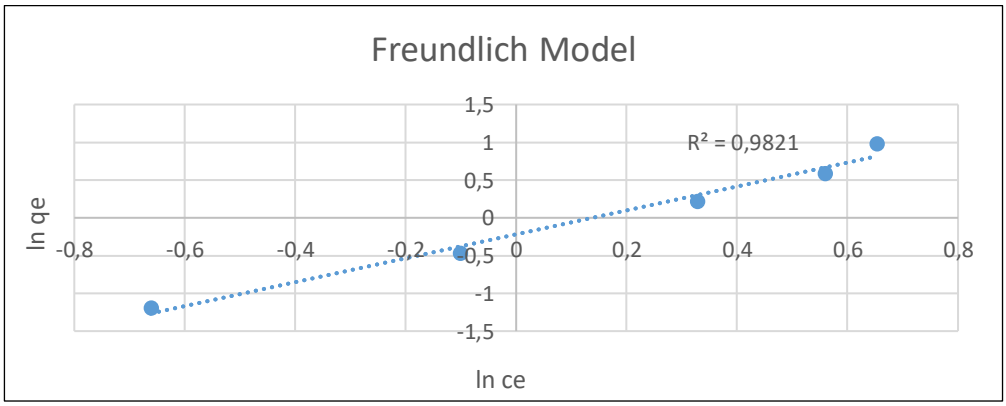


Figure 4: Modeling of the MB Adsorption Isotherm by PS using the Freundlich Equation.
Source: Authors, (2026).

Adsorption isotherms enable the analysis of the equilibrium behavior of methylene blue [2] and offer insights into the mechanisms involved in the adsorption process. Several models, including first-order and second-order kinetic models, are documented in the literature to describe adsorption kinetics.

III.3 ADSORPTION KINETICS OF MB

III.3.1 First-Order Kinetic Model

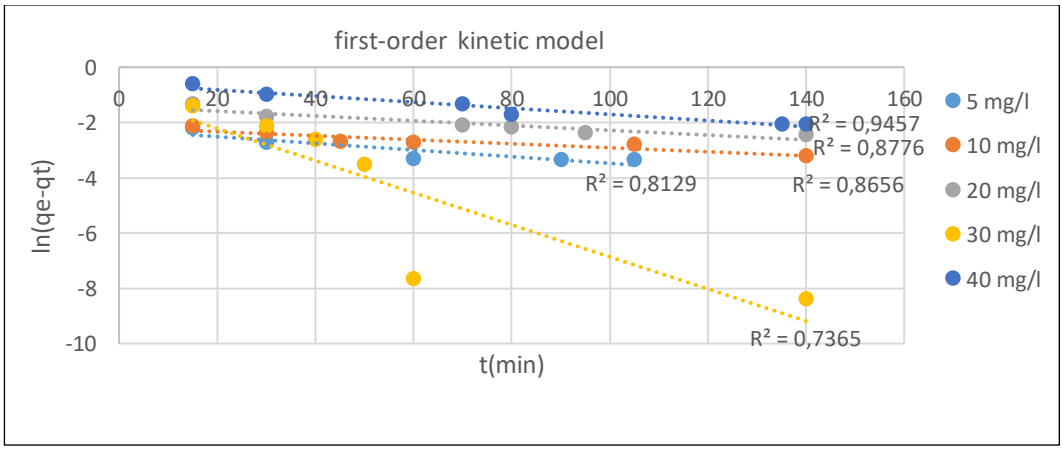


Figure 5: First-order kinetic model.
Source: Authors, (2026).

III.3.2 Second-ORDER KINETIC MODEL

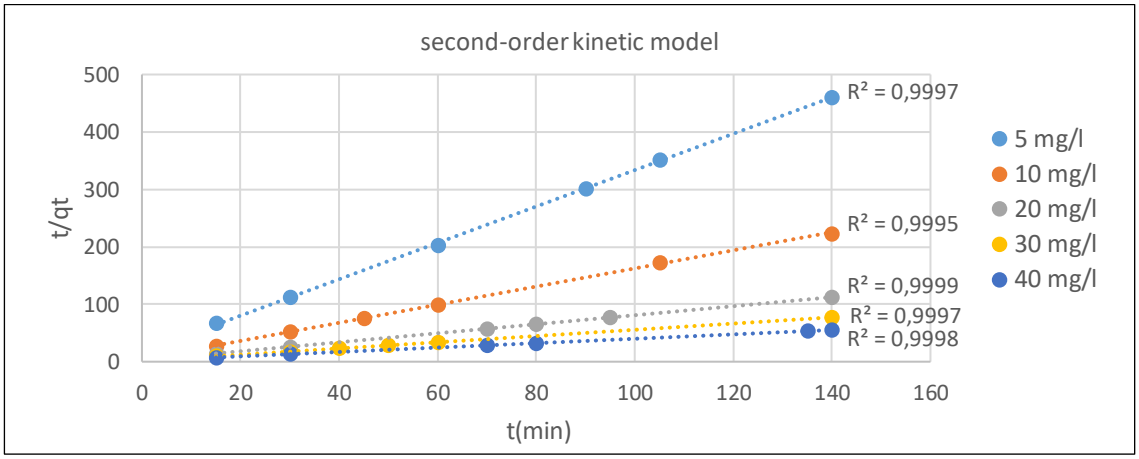


Figure 6: Second-order kinetic model.
Source: Authors, (2026).

The results indicate that the correlation coefficients for the pseudo-first-order and pseudo-second-order kinetic models demonstrate that the adsorption kinetics are best described by the pseudo-second-order model for the studied adsorbent.

III.4 OPTIMIZATION OF MB ADSORPTION

The regression coefficients were calculated using coded data in MINITAB software version 19, and the response surface was generated using Design Expert software version 11.

III.4.1 Response Analysis of Qm

The first experimental design: Analysis of the Response Qm

III.4.1.1 Analysis of Variance (ANOVA)

Table 3: Estimated Regression Coefficients for Qm (Current Unit).

Source	DF	Adjus Sum of Squares	CM adjust	F-value	P-value
Model	9	149,633	16,6259	13,42	0,005
Linear	3	112,078	37,3594	30,15	0,001
C	1	39,765	39,7648	32,10	0,002
m	1	70,248	70,2479	56,70	0,001
pH	1	2,066	2,0656	1,67	0,253
Square Terms	3	19,210	6,4033	5,17	0,054
C^2	1	0,668	0,6676	0,54	0,496
m^2	1	17,886	17,8864	14,44	0,013
pH^2	1	0,020	0,0200	0,02	0,904
Two-Factor Interaction Terms	3	18,345	6,1150	4,94	0,059
C×m	1	16,824	16,8238	13,58	0,014
C×pH	1	0,748	0,7484	0,60	0,472
m×pH	1	0,773	0,7727	0,62	0,465
Error	5	6,195	1,2389		
Lack of Fit	3	6,194	2,0646	4477,72	0,000
Pure Error	2	0,001	0,0005		
Total	14	155,828			

Source: Authors, (2026).

Table 4: Model Summary.

S	R Square	R Square (Adjus)	R Square (Predi)
0,967547	94,59%	91,59%	76,14%

Source: Authors, (2026).

According to Table 3, the model exhibited high significance with a very low p-value (p = 0.005), as shown by the ANOVA for the regression models. Additionally, the linear effects, with a p-value of 0.001, indicate a significant influence of the main factors (C and m) on conversion. A significant interaction effect was also observed for C × m. The ANOVA results in Table 7 show a determination coefficient of R^2 = 94.59% and an adjusted R^2 = 91.59%, both close to 1, indicating a strong model fit to the actual system. Furthermore, the predicted R^2 = 76.14% demonstrates a good correlation between measured and predicted values. The effects are further illustrated in the accompanying Pareto chart.

III.4.1.2 Regression Equation In Uncoded Units

The analysis of variance (ANOVA), after excluding non-significant terms, indicates that all remaining terms are highly significant. This confirms that the refined model is statistically superior.

$$Qm = 2{,}60 + 0{,}2806\ C - 9{,}46\ m + 0{,}1129\ pH + 5{,}27\ m^2 - 0{,}1803\ C \times m$$

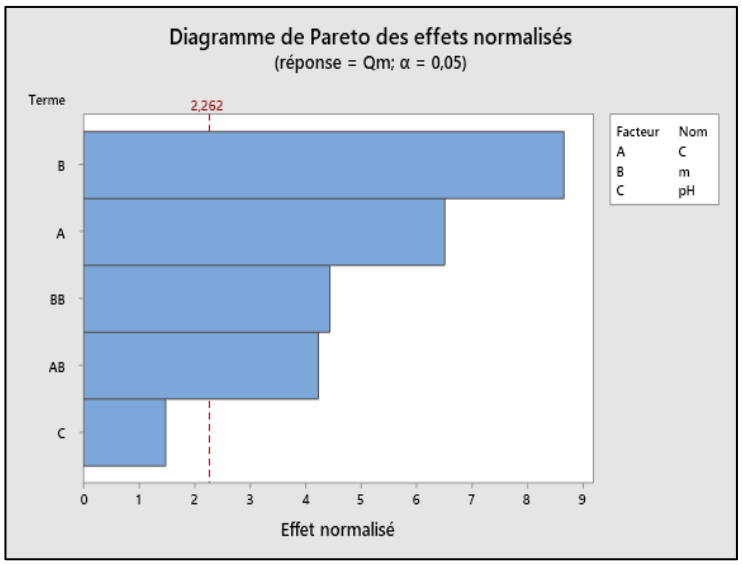


Figure 7: Pareto Chart of Normalized Effects for the Response Qm.
Source: Authors, (2026).

III.4.1.3 Main Effects and Interactions Affecting Qm

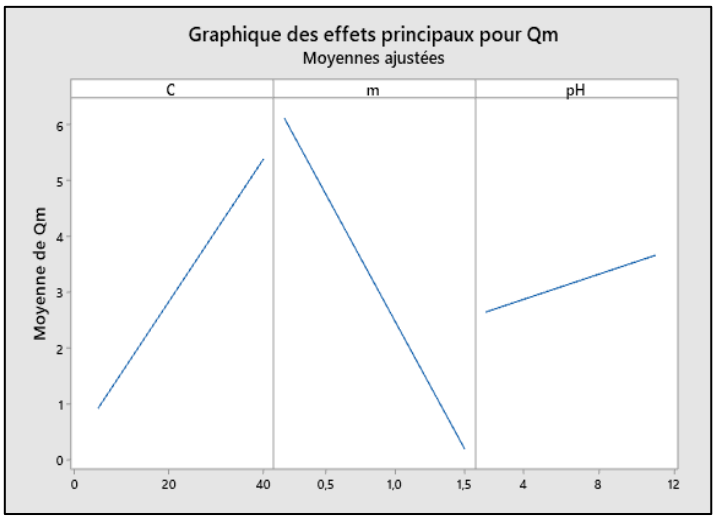


Figure 8: Main Effects Plot for Qm.
Source: Authors, (2026).

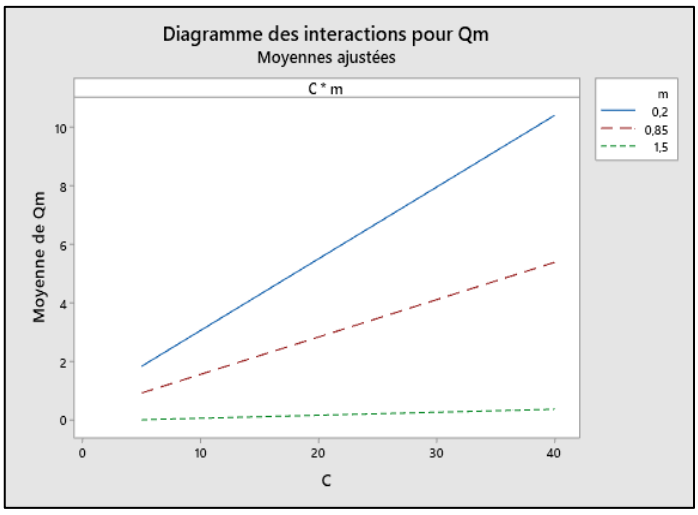


Figure 9: Interaction Plot between (C) and (m) for Qm.
Source: Authors, (2026).

III.4.1.4 Model Validation

The experimental conditions selected to validate the mathematical model are the upper levels of each factor:

Table 5: The experimental conditions chosen to validate the mathematical model are:

Variable	C	m	pH
Configuration	40	1,5	11

Source: Authors, (2026).

Under these conditions, the model estimated a response of Qm = 1.73436. To validate the mathematical model, a new experimental verification was conducted, yielding a result of Qm = 1.949714.

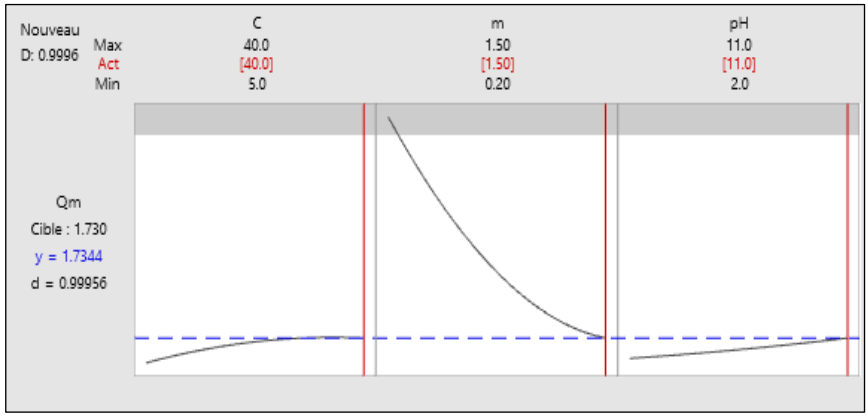


Figure 10: Estimation of the Response Qm at the High Level of Factors.
Source: Authors, (2026).

The desirability value (d = 0.999) is very close to 1, indicating that the model is well-validated and accurately predicts the adsorption behavior under the given conditions.

III.4.1.5 Response Surface Analysis

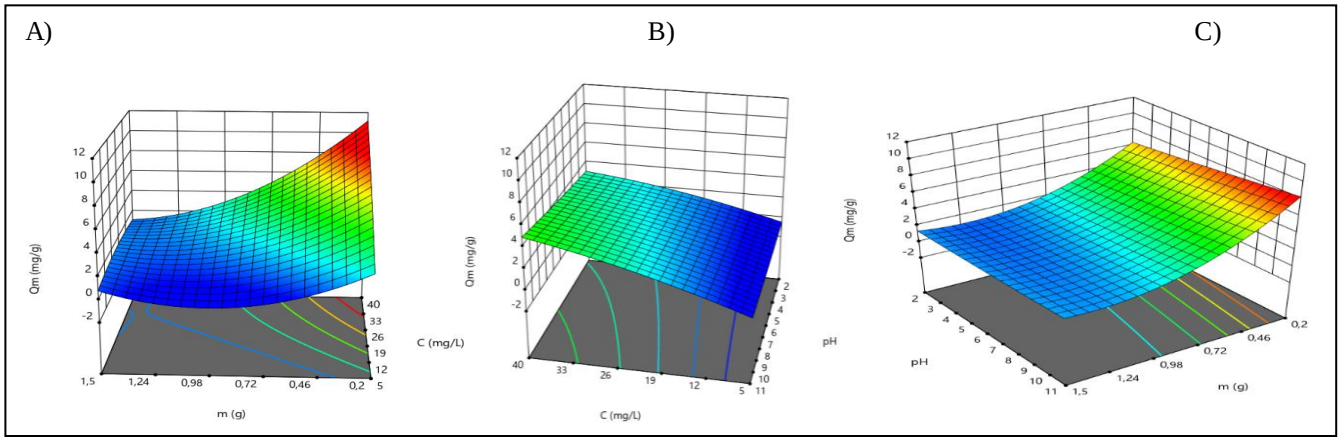


Figure 11: Response Surface Diagram Showing the Effect of each of two factors on Qm.
Source: Authors, (2026).

Figures 11, illustrate the effects of adsorbent mass, pH, and MB concentration on adsorption. Each figure shows the combined influence of two factors on the response (Qm), while the third factor is held constant at its midpoint.

III.4.2 Response Analysis of ΔC

III.4.2.1 Analysis of Variance (ANOVA)

Table 6: Analysis of Variance for the Qu adratic Response Surface Model for Concentration Variation.

Source	DF	Adjus Sum of Squares	CM adjust	F-value	P-value
Model	9	1403,11	155,90	45,33	0,000
Linear	3	1308,60	436,20	126,82	0,000
C	1	1207,44	1207,44	351,06	0,000
m	1	34,30	34,30	9,97	0,025
pH	1	66,85	66,85	19,44	0,007
Square Terms	3	16,18	5,39	1,57	0,307
C^2	1	11,03	11,03	3,21	0,133
m^2	1	1,13	1,13	0,33	0,591
pH^2	1	5,87	5,87	1,71	0,248
Two-Factor Interaction Terms	3	78,33	26,11	7,59	0,026
C×m	1	24,09	24,09	7,00	0,046
C×pH	1	54,07	54,07	15,72	0,011
m×pH	1	0,17	0,17	0,05	0,834
Error	5	17,20	3,44		
Lack of Fit	3	17,13	5,71	171,41	0,006
Pure Error	2	0,07	0,03		
Total	14	1420,31			

Source: Authors, (2026).

Table 7: Model Summary.

S	R Square	R Square (Adjus)	R Square (Predi)
1,93067	97,64%	96,33%	92,42%

Source: Authors, (2026).

According to Table 6, the model exhibited high significance, with a very low p-value ($p \leq 0.005$) as indicated by the ANOVA of the regression models. The linear effects, with a p-value of ≤ 0.0001, suggest a significant impact of the main factors (C, m, and pH), indicating that conversion varies based on these linear terms. Additionally, significant interaction effects were observed for C × m and C × pH. From the analysis of variance and the values in Table 11, the coefficient of determination (R^2 = 97.64%) and the adjusted R^2 (96.33%) are both close to 1, signifying that the model is well-fitted and accurately reflects the system's behavior. Furthermore, the predicted R^2 = 92.42% indicates a strong correlation between measured and predicted values. The effects are illustrated in the following Pareto chart.

III.4.2.2 Regression Equation In Uncoded Units

After excluding non-significant terms, the analysis of variance (ANOVA) shows that all remaining terms are highly significant, confirming that the refined model is statistically superior.

$$\Delta C = 4{,}82 + 0{,}215\,C - 1{,}67\,m - 0{,}48\,pH + 0{,}2157\,C \times m + 0{,}0467\,C \times pH$$

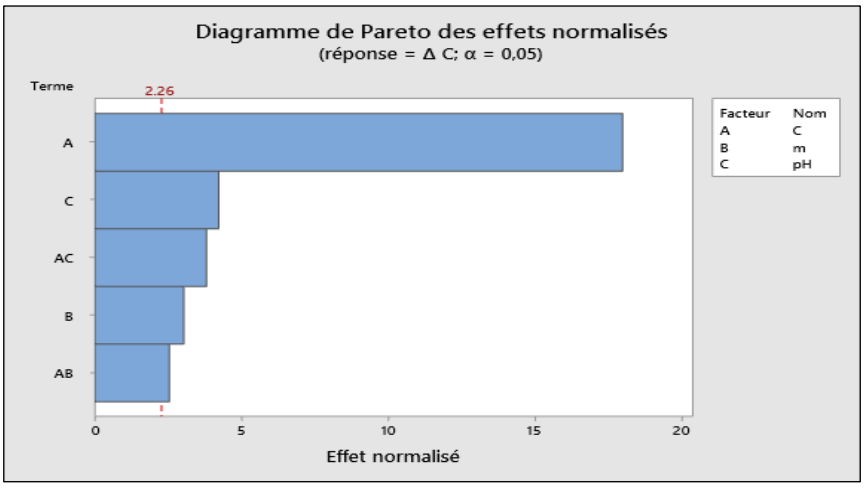


Figure 12: Pareto diagram of normalized effects for the response ΔC.
Source: Authors, (2026).

III.4.2.3 Main Effects and Interactions Affecting ΔC

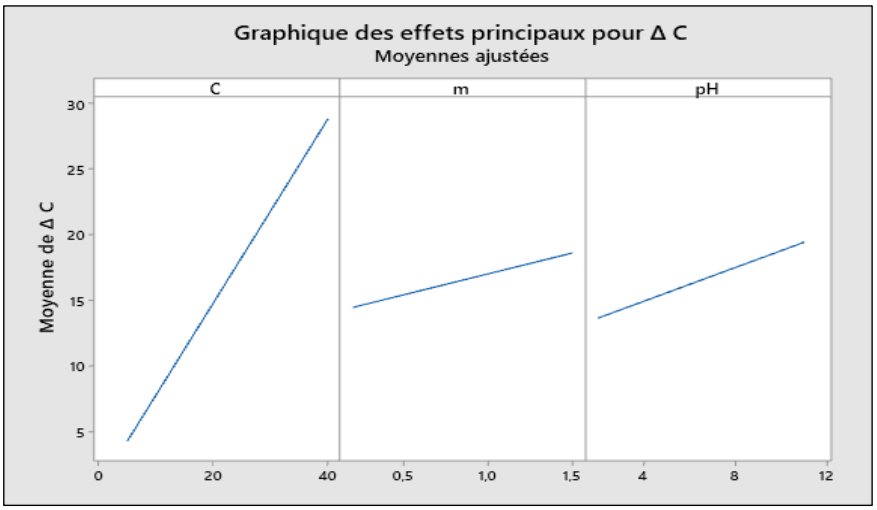


Figure 13: Main effects plot for ΔC.
Source: Authors, (2026).

According to Figure 13, we observe that the effect of all three factors is positive, and the effect of concentration is more significant than the effect of pH and mass (m).

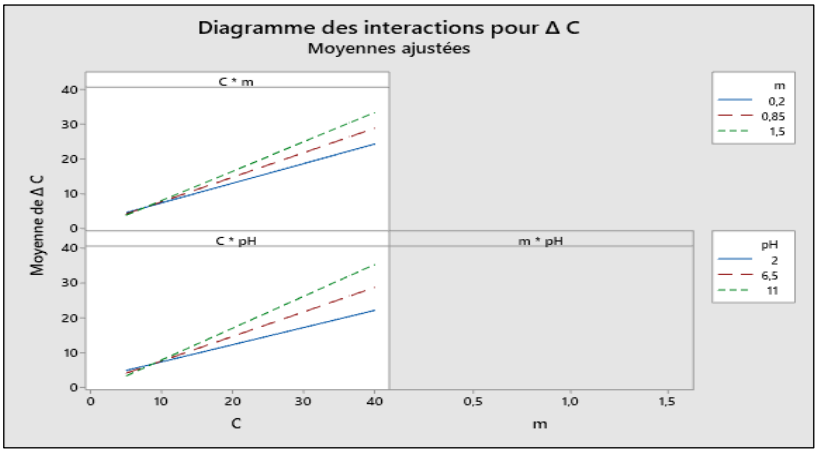


Figure 14: Interaction diagram for ΔC.
Source: Authors, (2026).

III.4.2.4 Model Validation

The conditions for ΔC obtained using the model at the high level were as follows:

Table 8: Experimental Conditions Chosen to Validate the Mathematical Model.

Variable	$C((\mathrm{mg/l}))$	$m\ (g)$	pH
Configuration	40	1,5	11

Source: Authors, (2026).

Under these conditions, the model estimated a response of ΔC = 38.06. To validate the model, a new experiment was conducted under identical conditions, yielding a result of ΔC = 37.81.

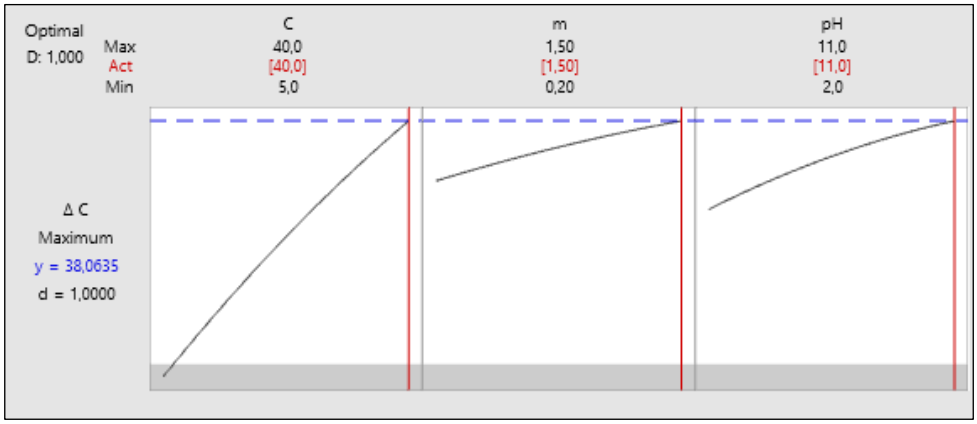


Figure 15: Optimization of the response ΔC.
Source: Authors, (2026).

III.4.2.5 Response Surface Analysis

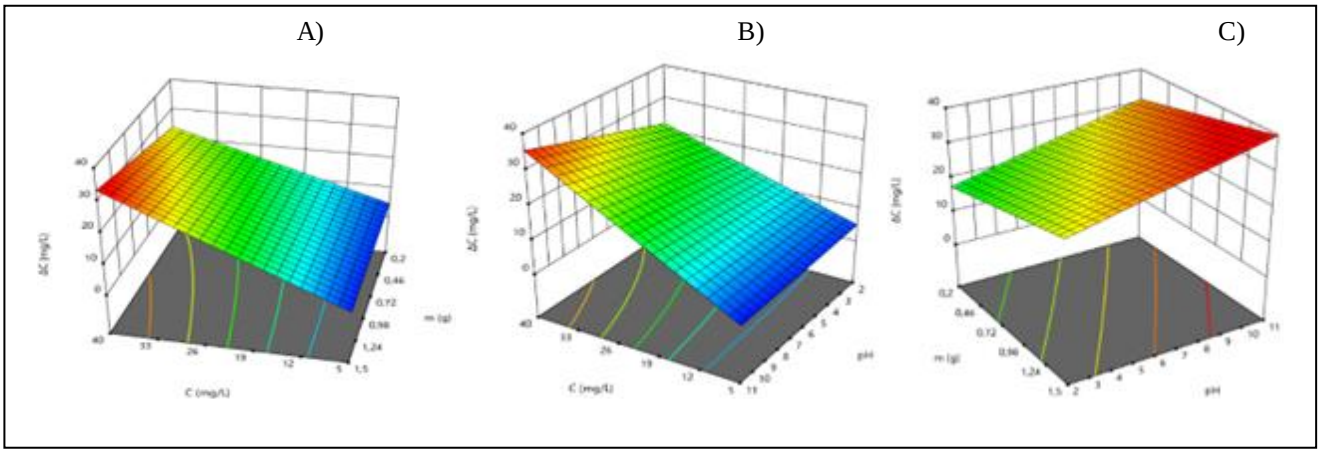


Figure 16: Response surface diagram showing the effect of each of two factors on ΔC.
Source: Authors, (2026).

Figures 16 show the effect of adsorbent mass, pH, and MB concentration on the response ΔC.

III.4.3 Response Analysis of R

Following the initial optimization of ΔC, we initiated a second experimental design to evaluate the yield by varying three factors: temperature, ionic strength (NaCl concentration), and agitation speed. The fixed factors are :

Table 9: Fixed Factors.

Waste Mass (g)	**MB Concentration (mg/l) |**	**pH**
1,5	40	11

Source: Authors, (2026).

III.4.3.1 Analysis of Variance (ANOVA)

Table 10: Analysis of Variance (ANOVA) for the Quadratic Response Surface Model for Yield (R).

Source	DF	Adjus Sum of Squares	CM adjust	F-value	P-value
Modèle	9	181,123	20,1248	107,54	0,000
Linéaires	3	145,693	48,5645	259,52	0,000
T	1	9,233	9,2331	49,34	0,001
C	1	51,320	51,3203	274,24	0,000
VA	1	85,140	85,1401	454,97	0,000
Square Terms	3	31,493	10,4978	56,10	0,000
T^2	1	1,300	1,2997	6,95	0,046
C^2	1	2,771	2,7714	14,81	0,012
VA^2	1	25,331	25,3308	135,36	0,000
Two-Factor Interaction Terms	3	3,936	1,3121	7,01	0,031
T×C	1	0,784	0,7837	4,19	0,096
T×VA	1	0,110	0,1100	0,59	0,478
C×VA	1	3,043	3,0427	16,26	0,010
Erreur	5	0,936	0,1871		
Lack of Fit	3	0,915	0,3050	29,61	0,033
Pure Error	2	0,021	0,0103		
Total	14	182,059			

Source: Authors, (2026).

Table 11: Model Summary.

S	R Square	R Square (Adjus)	R Square (Predi)
0,511223	99,00%	97,99%	95,07%

Source: Authors, (2026).

According to Table 10, the model is highly significant, as indicated by a very low p-value ($p \leq 0.0001$) from the ANOVA of the regression models. The linear effects, with a p-value of ≤ 0.0001, demonstrate a significant impact of the main factors (T, C, and VA), suggesting that conversion varies according to these linear terms. Additionally, a quadratic effect is observed for the squared term VA^2 ($p \leq 0.0001$), and a significant interaction effect is noted for C × VA. From the analysis of variance and the values in Table 16, the coefficient of determination (R^2 = 99.00%) and the adjusted R^2 (97.99%) indicate that the model fits well and accurately describe the system's behavior, as both values are close to 1. The predicted R^2 (95.07%) also indicates a strong correlation between the measured and predicted values. The effects are further illustrated in the accompanying Pareto chart.

III.4.3.2 Regression Equation In Uncoded Units

The analysis of variance (ANOVA), after excluding non-significant terms, shows that all remaining terms are highly significant. Thus, we conclude that the refined model is statistically superior.

$$R = 91{,}363 + 1{,}074\,T - 2{,}533\,C + 3{,}262\,VA + 0{,}593\,T^2 + 0{,}866\,C^2 - 2{,}619\,VA^2 + 0{,}872\,C \times VA$$

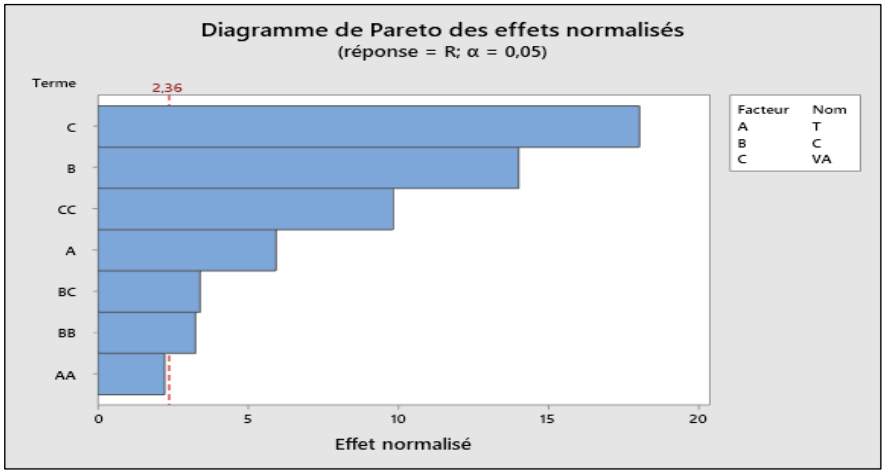


Figure 17: Pareto Chart of Normalized Effects for Response R.
Source: Authors, (2026).

III.4.3.3 Main Effects and Interactions Affecting R

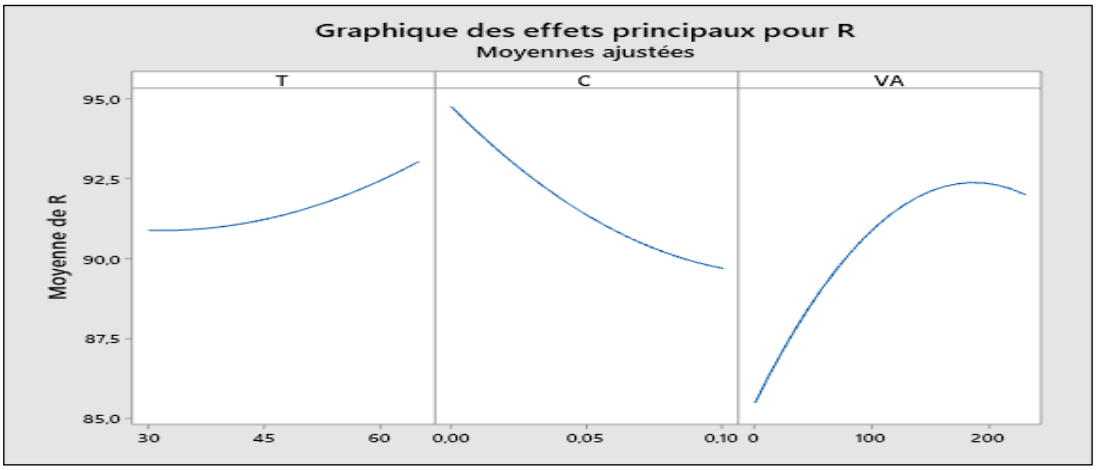


Figure 18: Main Effects Plot for Response R.
Source: Authors, (2026).

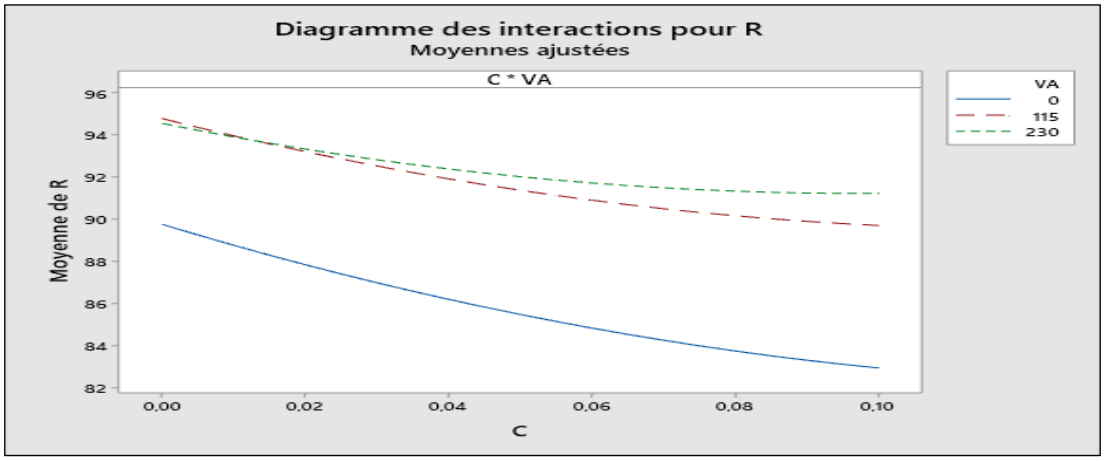


Figure 19: Interaction Diagrams for (Yield) R.
Source: Authors, (2026).

III.4.3.4 Model Validation

The conditions for R obtained using the model at the high level were as follows:

Table 12: The experimental conditions chosen to validate the mathematical model.

Variable	T(^{0}C)	C ((mg/l))	VA (r/m)
Configuration	65	0	167,273

Source: Authors, (2026).

Under these conditions, the model estimated a maximum response of R = 96.97. To validate the model, a new experimental verification was conducted under the same conditions, yielding a result of R = 96.78.

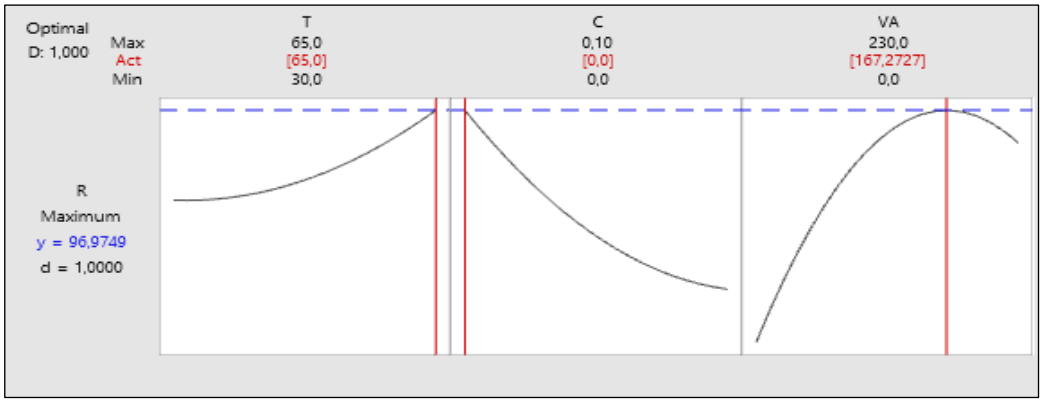


Figure 20: Optimization of the response R.
Source: Authors, (2026).

III.4.3.5 Response Surface Analysis

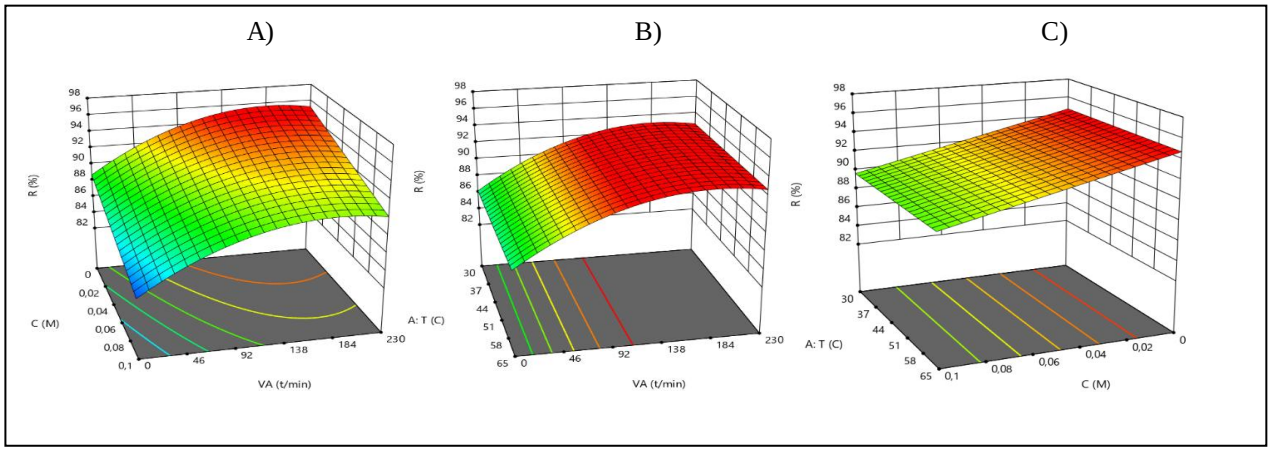


Figure 21: Response surface diagram showing the effect of each of two factors on R.
Source: Authors, (2026).

Figures 21 show the effect of the adsorbent mass, pH, and NaCl concentration on adsorption. Based on the two optimization experimental designs, the highest yield was achieved at the following factor levels:

Table 13 : Table of optimal values.

m(g)	C_{MB}(mg/l)	pH	VA	$C_{Na\ Cl}$(mg/l)	T(C°)
1.5	40	11	167,273	0	65

Source: Authors, (2026).

The value of pH has a very significant influence on the adsorption of MB. This is due to the effects of pH values on either the charges of the adsorbent's surface or the nature of MB Mall, Srivastava [5] . With low pH values, which correspond to high H^+ ion concentrations, the adsorbent particles acquire a net positive charge, resulting in a lack of attraction between the MB particles, which are also positive in nature. This, in turn, reduces the efficiency of MB adsorption onto activated carbon [6]. At higher pH values, where there is a lack of acidity in the environment, hence low H^+ ion concentration, a negative charge develops on the surface of activated carbon, which pulls MB particles due to their positive nature, hence increasing their adsorption [7]. Findings from studies show that the highest MB adsorption occurs in conditions of high pH values, with a peak in alkaline conditions [8] [9]. These findings correspond with our experiment results obtained from modeling. The amount of adsorbent used has an important role in determining the efficiency of MB dye adsorption.

With an increase in the amount of adsorbent, the number of adsorption sites also enhances, hence increasing the adsorption capacity owing to the enhanced surface area for binding of MB dye [10]. But beyond a point, an increase in the amount of adsorbent contributes little to the adsorption, as most of the adsorption sites are saturated [11]. Additionally, excess amount of adsorbent can cause a decrease in adsorption due to binding of particles, hence decreasing the surface area for adsorption. This has been supported by various studies related to MB dye adsorption [12].Water salinity has been shown to greatly influence MB adsorption due to changes in ionic strength in solutions. This means that higher water salinity, which contains ions from salts like NaCl, may lower MB adsorption efficiency [13]. Ions in dissolved salts increase competition for reactive sites on adsorbent surfaces, hence decreasing MB adsorption. Higher ionic strengths in solution also cause screening effects, which decrease adsorption between negatively charged adsorbent surfaces and MB chromophores due to reduced electrostatic interactions between MB and negatively charged adsorbents [14].

Stirring rate plays a significant role in the adsorption of methylene blue [2] dye, as it promotes mass transport between MB molecules and the adsorbent. Higher stirring rates can increase the rate of diffusion of MB molecules, which can also result in a thinner boundary layer around particles of adsorbent [15] with higher rates of adsorption. On the other hand, a stirring rate that is too high can lead to phenomena like particle agglomeration and MB desorption due to intensified turbulence, which in turn decreases adsorption efficiency [16].

Temperature plays a major role in influencing the adsorption of MB, in terms of both speed and capacity. Higher temperatures increase the molecular motion of the MB, hence increasing the rate of diffusion of MB towards the adsorption surface [17]. Higher temps also result in increased porosity of the adsorption surface, hence increasing its adsorption capacities due to higher available sites for adsorption [18]. Morphological analysis of the peanut shell was performed using scanning electron microscopy (SEM). At high magnification, the SEM micrographs revealed simple pitted cell walls with cave-like or porous structuresThe high adsorption efficiency is attributed to the peanut shell's spongy structure, which is rich in pores, facilitating the stabilization and retention of methylene blue within the material.

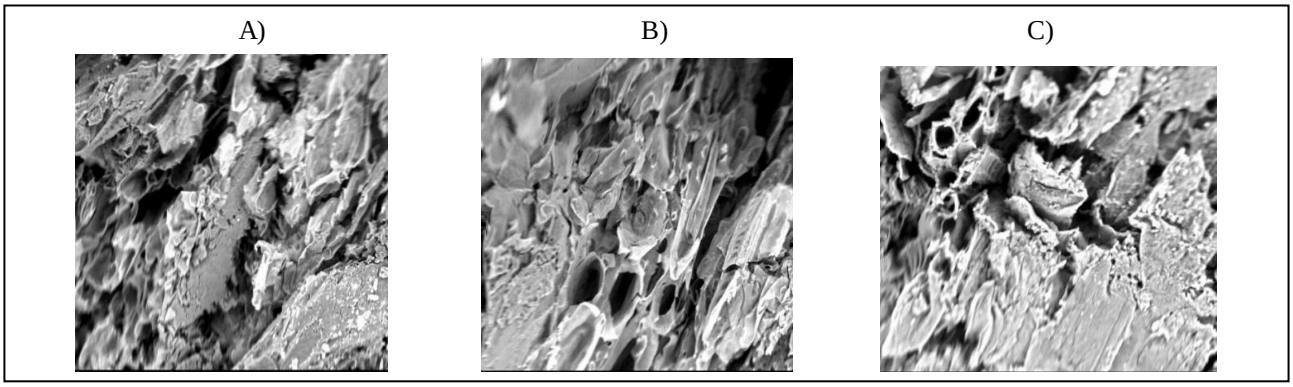


Figure 22: The morphological analysis of the peanut shell with SEM device before the adsorption process.
Source: Authors, (2026).

The following images were taken after the adsorption process and show the saturation of PS with MB.

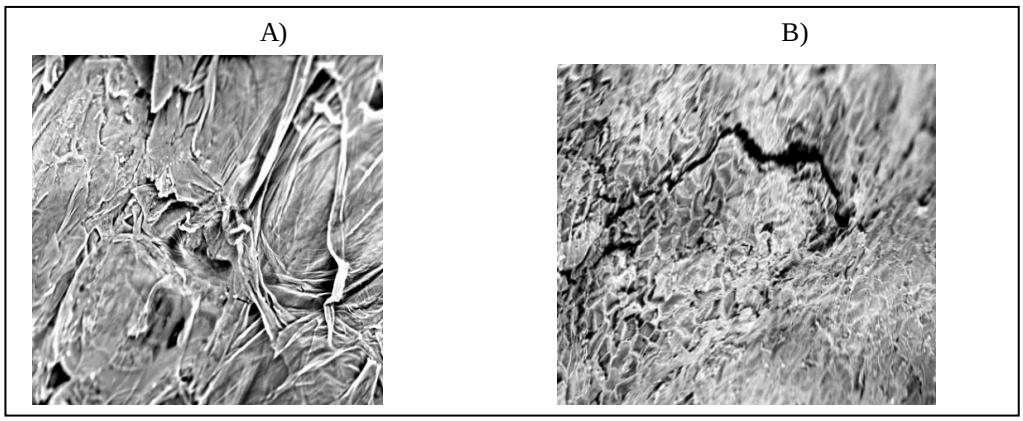


Figure 23: The morphological analysis of the peanut shell with SEM device after the adsorption process.
Source: Authors, (2026).

IV. CONCLUSIONS

The objective of this work is to study the elimination of methylene blue [2], which is a synthetic (cationic) dye present in textile industry effluents, by the adsorption technique. “Box-Behnken” is the experimental design adopted which facilitates our work to obtain the best adsorption efficiency, our results are as follows:

- The adsorption kinetics show that the adsorption process is very rapid and that equilibrium could be reached within the first 60 minutes.
- The modeling of adsorption isotherms using the Langmuir and Freundlich models shows that the Langmuir model better describes the experimental results.
- The kinetic study revealed that the adsorption process of methylene blue follows the pseudo-second-order model.
- Based on the validation of the two mathematical models with the following high-level factors: m = 1.5 g, C= 40 mg/L, and pH = 11 [2], we obtained experimental values of Qm and ΔC that are very close to the estimated values. This indicates that both mathematical models are well-fitted.
- The two experimental designs show that the yield of our study, obtained through the optimization of the response surface design "BOX-BEHNKEN," is better with the following five factors: adsorbent material mass 1.5 g, pH 11, temperature 65 °C, ionic strength concentration 0 mg/L, and stirring speed 167.273 rpm. These factors are used to achieve the maximum adsorption of methylene blue by the adsorbent (Peanut shells).
- By analyzing the two experimental designs, we achieved a yield of 97% through biosorption.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Salah Eddine Bencheikh, Mohamed Bilal Goudjil and Ladjel Segni.
Methodology: Salah Eddine Bencheikh, Mohamed Bilal Goudjil and Ladjel Segni.
Investigation: Salah Eddine Bencheikh, Mohamed Bilal Goudjil and Ladjel Segni.
Discussion of results: Salah Eddine Bencheikh, Mohamed Bilal Goudjil and Ladjel Segni.
Writing – Original Draft: Salah Eddine Bencheikh.
Writing – Review and Editing: Salah Eddine Bencheikh, Mohamed Bilal Goudjil and Ladjel Segni.
Resources: Salah Eddine Bencheikh, Mohamed Bilal Goudjil and Ladjel Segni.
Supervision: Salah Eddine Bencheikh, Mohamed Bilal Goudjil and Ladjel Segni.
Approval of the final text: Salah Eddine Bencheikh, Mohamed Bilal Goudjil and Ladjel Segni.

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RESEARCH ARTICLE OPEN ACCESS

DESIGN OF A HYBRID ENSEMBLE FEATURE SELECTION FRAMEWORK FOR BIG DATA TEXT MINING

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ABSTRACT

The growing volume of textual data often exceeds the capacity of available computing resources, and conventional machine learning algorithms struggle to scale up. Today, the quality of data is becoming more critical than its raw quantity: it is therefore essential to transform massive data into intelligent data through appropriate pre-processing steps. Feature selection plays a key role in this process. In this work, we propose the design of a hybrid ensemble-based feature selection framework for processing large-scale textual data. The approach is based on the MFD-AFSA algorithm combined with different feature evaluation functions, applied on multiple data subsets. To improve scalability, we also outline a distributed strategy in an Apache Spark environment, based on the Random Sample Partitioning model. Finally, we introduce an automatic approximation mechanism, which we call auto-approximation, enabling selection sets to be built dynamically via an approximation technique. This work is part of a methodological design approach; experimental validation and practical evaluations will be the subject of future work.

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I. INTRODUCTION

The extensive and intensive use of communication tools everywhere produce huge amounts of data especially unstructured ones such as text, creating "Big textual Data" [1], indeed it is now more challenging to reveal useful insights in high dimensional unstructured data [2]. As a result, there has been a significant focus on methods and techniques used in text mining (TM) in order to be able to automatically extract useful information from this big textual data. In short, text mining as a process relies on a number of techniques such as textual data pre-processing, machine learning, etc. to extract high-quality information from text [3]. Recently, an up-trending concept has been introduced on how to operate a transition between Big Data to Smart Data [4], the latter focuses on the veracity and value of data, aiming to highlight the valuable data by filtering out all the imperfections and noise accumulation in high dimensional and large sample size datasets [5]. Regarding text mining, Big Data preprocessing is an essential way to achieve Smart Data. Yet this preprocessing step is heavily affected by the dimension explosion, this phenomenon motivates the dimensionality reduction of the overwhelming size of features contained in textual documents.

In such a case, only an optimal set of relevant features is considered during the learning phase. Although feature selection [6-8] is presented as a classic remedy for large-scale learning methods, this task is necessary to deal with the combinatorial explosion of the big dimension that prevents its functioning on Big Data, but also, to find the most compact and informative set of features in corpora with high degree of redundancy and irrelevance. Thus, Big Data dimensionality reduction needs new algorithms with low cost linear or sublinear runtimes while maintaining the required performance [9]. In [10] authors show that there is a gap between the growing dimensionality and the feature selection (FS) algorithms capacity in handling such data, because most feature selection algorithms lack complex requirements, such as processing speed and storage reduction in their design. Distributed and parallel computing frameworks are essential to design and implement scalable and effective feature selection, nevertheless traditional centralized text feature selection cannot be exploited directly, as it may not scale well enough to tackle this large number of features.

In fact, in distributed environment, the performance of FS methods deteriorates as the number of nodes increases, due to greater information loss [11]. Moreover, developing a parallel algorithm from scratch is often challenging and does not necessarily guarantee optimal performance. For example, subset-based selectors rely on pairwise feature correlations; in a parallel setting, this requires computing interactions between millions of dimensions distributed across different data locations, which is impractical. Another important factor to consider is the changing characteristics in Big Data, the high sensitivity of the feature selection outcomes to the slightest changes in input data i.e. algorithmic instability, affect the reliability of the learning process. This is particularly critical in contexts where data is dynamic and constantly evolving, necessitating robust feature selection methods that can adapt to these fluctuations [12]. Hence, Large-scale feature selection can be addressed from two perspectives: either by designing novel sequential methods that explicitly address the above requirements [13] or by developing distributed solutions inspired by standard methods [14, [15]. However, both approaches are non-trivial, as they involve significant challenges such as redesigning core algorithmic operations or managing the complexities and potential drawbacks of distributed implementations.

Ensemble feature selection methods have shown promising results for text classification, especially in managing high-dimensional and imbalanced datasets. These methods aim to increase the robustness and stability of feature selection by combining multiple selectors. This can be achieved either by using the same algorithm on different data subsets (data-centered ensembles) or by combining different algorithms (model-centered ensembles) [16]. Homogeneous, heterogeneous, and hybrid ensemble strategies have been explored, often relying on rank aggregation techniques to merge feature rankings and enhance classification performance [17]. Furthermore, ensemble feature selection is generally more robust to noisy data and offers better stability than individual feature selection algorithms when dealing with high-dimensional inputs [18]. In addition, distributed ensemble feature selection approaches can optimize computation time by subsampling the full feature space into manageable subsets. This reduces algorithmic complexity and improves classification accuracy without the need to explicitly design parallel feature selection algorithms. Although the ensemble feature selection is intrinsically amenable to a distributed implementation, the adaptation of a novel ensemble feature selection to Big textual Data scenarios is still an ongoing process, studies that permit an ensemble evaluation based on scalability, accuracy, diversity and stability are lacking in the scientific literature [19].

Basically, there are two main approaches to achieving parallelism in ensemble feature selection: (1) applying different feature selection models independently to the same big dataset, or (2) applying a single feature selection model to multiple training subsets derived from the original dataset. In terms of scalability each model has its pros and cons, for the former, analyzing a big data set at once by each method may require more resources than the ones available in order to build an ensemble feature selection model, though needless to parallelize the feature selection and thus avoiding the superfluous communications within the computing cluster. The second model is more suitable to large-scale feature selection since each model is constructed on multiple subsets of the big data which alleviates the complexity and the size of the dataset in timely manner, noteworthy the number and the size of the optimal training sets for ensemble feature selection is still debatable [20], [21]. The computational cost of an ensemble method depends on the number of its components, i.e., the data subsets, which are generated using a sampling technique such as the bootstrap resampling scheme [22]. This approach involves creating multiple samples–with replacement–from the original dataset, each having the same size as the original. Nonetheless applying bootstrapping on Big Data is computationally intractable, as an alternative, authors in [23] introduced the Bag of Little Bootstraps (BLB) which performs bootstraps on smaller samples of data then combines the results, the efficacy of BLB was demonstrated in constructing ensembles of classifiers in [24], where dramatic gain in training time was achieved.

Even with the advantages of BLB, the whole distributed big dataset needs to be loaded and scanned each time a small sample is drawn, rendering the random sampling process in computing clusters prohibitively expensive. An especially relevant question in the context of Big Data is whether ensemble feature selection requires processing the entire dataset, or whether comparable results can be achieved using only a limited number of data subsets. According to [25], using the full dataset offers little additional efficiency, as a small set of representative subsets may be sufficient to produce approximate yet reliable results. This idea aligns with the principles of approximate computing [26], a promising approach aimed at reducing resource consumption and computation time in cluster-based environments by trading exactness for efficiency. To address the challenges associated with large-scale text data sampling, feature selection can be reformulated as an asymptotic ensemble approach. In this way, incremental processing is applied to small representative subsets of data in order to gradually improve the selected features. The aim is to get a robust and reliable set that closely matches the results from the whole dataset while reducing computational costs. Considering these factors, our contribution consists of the conceptual design of the following essential components:

i. In order to improve the stability and diversity of the selected textual features, a hybrid textual feature selection framework (HTFSE) is designed by diversifying the data and feature selection techniques.
ii. An ensemble strategy of filter-based feature selection techniques is proposed, where words are ranked using multiple and heterogeneous feature evaluation functions (FEFs), without relying on a predefined cut-off threshold for subset selection.
iii. A distributed and parallelizable architecture for the framework HTFSE by using Apache Spark to enable efficient processing of large-scale text data.
iv. An integration of approximate computing into the ensemble process, combined with the Random Sample Partition (RSP) model, to reduce computational cost while preserving approximation quality.
v. A conceptual model for automatic hyperparameter adjustment, referred to as Auto-Approximation, designed to construct ensemble approximations adaptively and efficiently.

The remaining sections of this paper are organized as follows. Section 2 reviews recent research related to feature selection and ensemble learning methods in the context of Big Data text mining. Section 3 presents the proposed conceptual framework a hybrid ensemble model that leverages both data perturbation and function perturbation to increase diversity at multiple levels. The framework's elements and architectural integration into a distributed Apache Spark environment are also described in this section.

In Section 4, the theoretical contributions and implications of the proposed approach, as well as its future implementation, are examined. Finally, Section 5 concludes the paper and outlines directions for further work, particularly in terms of its implementation.

II. RELATED WORK

Text classification depends a lot on feature selection (FS), especially in Big Data environments where high dimensionality and data volume make performance and scalability a challenge. Despite their simplicity, traditional FS techniques such as TF-IDF, Mutual Information (MI), Information Gain (IG), and Chi-Square (CHI) are commonly used [6]. But, in large, dispersed, and unbalanced textual datasets, they frequently fall short in capturing deeper semantic relationships or scaling effectively. Filters, wrappers, embedded approaches, and whether they rely on subset evaluation or individual feature ranking are the usual categories into which classical FS methods are divided [6]. Because of their independence from particular classifiers, speed, and algorithmic simplicity, filter-based approaches are the most appropriate for large-scale settings [27]. However, the exponential growth of data in both volume and dimensionality has exposed the limitations of traditional FS techniques, which often suffer from memory bottlenecks and high computational costs. That's what led to the development of scalable FS solutions designed for parallel and distributed computing frameworks like Hadoop and Spark. As an example, [28] proposes DiReliefF, a distributed version of the ReliefF algorithm, implemented in Apache Spark to efficiently process large-scale datasets.

The algorithm keeps the accuracy of the original ReliefF while improving scalability and processing time a lot, which makes it useful for Big Data applications. Similarly, [29] introduces RDTFD, a Particle Swarm Optimization (PSO)-based FS method tailored to text classification. While it improves accuracy over traditional filters, it leads to greater runtime and has not been parallelized, raising questions about its applicability to large-scale datasets. A comprehensive overview of FS in Big Data is given by the survey in [30], which also highlights enduring issues like data heterogeneity, scalability, and real-time constraints. It also encourages parallel and cloud-based adaptations across FS paradigms. Textual data presents even more pronounced challenges due to its high dimensionality, sparsity, and semantic variability. Traditional FS algorithms become inefficient or ineffective in such settings. In response, several methods have been designed specifically for large-scale text. In [31], a MapReduce-based implementation of TF-IDF was introduced to accelerate Naïve Bayes classification. Although it showed improved efficiency, the system was deployed on a single node, limiting knowledge of its scalability. Using max and mean weighting, GTFIDF [32], which is deployed on Apache Hadoop, suggests a global TF-IDF approach. On large corpora, it performs better than conventional filter methods; however, it does not assess the effect of scaling node clusters.

All documents in a category are combined into a single document using CTF-CHI² [33], a MapReduce-based combination of Chi-Square and category-term frequency for multi-label classification. Although correlation modeling is improved, there is a chance that term importance will be distorted, and feature thresholding and scalability are not well understood. Hybrid approaches like MTF-MI (Maximum Term Frequency–Mutual Information), which are implemented in Hadoop, are presented in other studies, such as [34]. It demonstrates the well-known trade-off between relevance and scalability by outperforming CHI, MI, and TF-IDF in F- measure performance but degrading performance as feature count rises. Ontology-guided methods such as Taxonomic Feature Selection [35] address semantic limitations by organizing terms hierarchically. Though effective in generalization, these methods require curated taxonomies, reducing portability across domains. Additional advancements include frequency-discriminative methods for distributed FS implemented on Apache Spark, such as ALOFT, MFD, MFDR, and cMFDR [36]. Features are ranked by ALOFT according to local significance and document frequency. To refine feature sets, MFD and its variations use class-aware filtering, redundancy reduction, and mutual information. Although these methods are more appropriate for large textual datasets, they still depend on statistical heuristics, which might ignore semantic or contextual richness.

Recently, new FS paradigms that transcend frequency-based heuristics have been inspired by large language models (LLMs). The works in [37] suggest text-based and data-driven FS strategies in which features are chosen based on attention patterns or embeddings from models such as LLaMA-2, ChatGPT, and GPT-4. Although these techniques improve robustness and semantic interpretability, they are computationally demanding and do not have native parallelism. Moreover, scalability depends on access to high-performance GPU clusters, and effectiveness hinges on the quality of textual descriptions, posing reproducibility and cost barriers. Furthermore, reproducibility and cost barriers arise because efficacy depends on the quality of textual descriptions, while scalability depends on access to high-performance GPU clusters. Ensemble feature selection has also been explored to improve stability, robustness, and classification performance in large-scale settings. For instance, [38] proposes an ensemble strategy by combining three baseline feature selection techniques: C4.5 decision tree, Principal Component Analysis (PCA), and Genetic Algorithm (GA), which stand for filter, wrapper, and embedded approaches, respectively. After comparing serial and parallel configurations, the study concludes that serial combinations produce feature sets that are more precise and condensed. It is noted that future research should focus on the stability of ensemble feature selection techniques, which have not yet been thoroughly investigated.

Furthermore, the suggested methods' applicability to Big Data contexts is limited because they are specifically tested on high-dimensional, low sample size datasets and fail to address the scalability problems that arise in large-scale datasets with both high dimensionality and a large number of instances. [39] suggests an ensemble of algorithms inspired by nature (OCFA, OCSA, OBBA, and MGWO), that improves performance but is unclear when it comes to aggregation and hasn't been tested on large datasets. [40] improves classification outcomes by combining Biogeography-Based Optimization (BBO) with Bagging; however, scalability has not been demonstrated. For social media sentiment analysis, [41] develops a Hybrid Ensemble Learning Model (HELM) which combines IG, CHI2, and AdaBoost; however, it ignores scalability and optimization.[42] suggests using Random Discretization (RD) together with PCA to create varied training subsets in order to address data imbalance. This enhances classifier diversity but suffers from long prediction times on imbalanced Big Data. DiCFS [43] implemented on Spark, introduces a distributed correlation-based FS (CFS) using horizontal and vertical data partitioning. It achieves strong performance but requires dataset-specific tuning and shows sensitivity to dimensionality. In [44], a new approach for selecting viral genomic sequence features is proposed. This approach, called PRCFX-DT, is based on probabilistic graph modeling to measure the importance of codons based on their centrality in the graph, which allows features to be extracted from genomic sequences.

This makes it possible to capture complex dependencies that conventional feature selection techniques might overlook. Although graph-based techniques have been developed for Big Data, their computational complexity remains very resource-intensive for very large data sets, requiring significant amounts of memory and processing power. Table 1 provides a comparative summary of the related works discussed above. Numerous distributed or parallel feature selection methods have been developed to address the challenges posed by high-dimensional data. While they generally save time and memory resources, they also have limitations. For example, DiReliefF, based on Spark, offers better performance than its MapReduce version, but it remains dependent on fixed data partitions and does not allow for incremental updates or intelligent aggregation of results between different subsets. Other approaches like those based on evolutionary algorithms give good results in terms of accuracy but are often computationally expensive and difficult to interpret.

More recent strategies, combining task parallelism or hybrid approaches, have been explored, but they rarely address essential aspects such as the stability and robustness of the selected feature, especially in the context of textual datasets, which are often massive and complex. Another common issue is the assumption that all data is available from the beginning, or the use of fixed partitions. This can lead to unreliable variable choices, especially when dealing with noisy, heterogeneous, or changing data. Very few studies focus on progressive or asymptotic strategies that are capable of learning gradually from representative samples while limiting computational costs. These limitations motivate our work, which aims to design ensemble feature selection in the context of Big Data as an asymptotic and incremental process, aligning distributed learning constraints and efficiency goals. In the next section, we detail the conceptual foundations and architecture of our proposed approach. Table 1 provides a comparative summary of the related works discussed above.

Table 1: Comparison of feature selection strategies in the context of Big Data.

Ref Year	FS technique	Type of data	Parallelization	Scalability	Limitations
[28] 2018	DiReliefF	Numerical & categorical	Data Parallel	a high degree of scalability for large datasets, especially when using horizontal partitioning	The potential inefficiency when dealing with extremely large and high-dimensional datasets.
[29] 2020	RDTFD (positive/negative discrimination), PSO optimization.	Textual Spam corpora	Parallel PSO considered (not implemented).	Medium to High	High time cost, limited generalizability to spam.
[31] 2018	TF-IDF	Textual	Data parallelism	Medium	Single node environment. Scalability not verified in multi-node environments
[32] 2021	GTFIDF	Textual	Data parallelism	Medium	Single node environment. Time cost of node increase not analyzed.
[33] 2020	CTF-CHI²	Textual	Data parallelism	Medium	Combining documents into one aggregated document per category can impact feature relevance
[34] 2021	MTF-MI	Textual	Data parallelism (Hadoop/MapReduce)	Medium	Becomes less performed for a given threshold of selected features.
[36] 2019	ALOFT, MFD, MFDR, cMFDR, AFSA for automation.	Textual	Moderate, as filters are parallelizable, but no distributed framework is mentioned	Moderate (scalable filter and AFSA, limited by lack of Big Data)	Limited generalizability across classifiers and feature evaluation criteria
[37] 2024	LLMs: GPT-4, ChatGPT, LLaMA-2	umerical & categorical (biological + clinical)	Not specified (LLM intrinsic capability).	scaling up LLM size enhances text-based methods more consistently	Performance scales with model size, but limited by compute and diminishing returns. LLMs struggle to handle high-dimensional inputs (e.g., genomic features) at scale.
[38] 2020	Parallel & serial combinations using PCA, GA, and C4.5 FS methods	Genomic Textual	No explicit parallel implementation tested	Potentially scalable via parallelism, but not tested on large-scale datasets. No data partitioning limits applicability in Big Data contexts.	Focuses on low-sample-size datasets despite the mention of big data; lacks data partitioning into subsets, preventing complexity reduction through distributed computation
[39] 2020	aggregation of OCSA, OCFA, OBBA, MGWO	Biomedical	Adaptable to parallel environments due to algorithm independence, but not implemented or tested on a cluster.	OCSA, OCFA, OBBA, and MGWO are wrapper- based methods requiring repeated classifier evaluations per feature subset, which limits scalability due to high computational cost on datasets with many features or large sample sizes.	Focused on high- dimensional, low-sample-size datasets; scalability to large datasets not assessed.
[40] 2020	BBO	Textual	Bagging enables potential parallelization, but no implementation (e.g., MapReduce/Spark) or distributed experiments are reported.	While the use of subsets via Bagging improves scalability for large datasets the wrapper-based nature of the BBO algorithm increases computational complexity. The scalability remains untested on truly large- scale (big	High computational complexity due to BBO (wrapper); lacks discussion on the number/size of data subsets used for Bagging.

				data) datasets.	
[41] 2020	Ensemble FS (IG and CHI²)	Textual	No explicit parallel implementation.	While filter methods (IG, CHI) are scalable for large textual datasets, the sequential nature of AdaBoost and the lack of experimentation on massive big data limit the overall scalability of the approach	Not well-suited for large corpora: the Twitter datasets tested are not explicitly described as massive
[42] 2021	Ensemble FS (RD and PCA)	Tabular	The solution is designed for big data scenarios and leverages the MapReduce paradigm to distribute computation across multiple nodes. Each decision tree is trained on an independent data subset, making the approach highly parallelizable	Highly scalable (Spark, distributed SMOTE), empirically validated in a big data context	Complexity of distributed SMOTE, reliance on decision trees, and lack of discussion on subset optimization
[43] 2019	DiCFS	Numerical	Two parallelization strategies: horizontal & vertical partitioning using Apache Spark	Highly scalable (Spark, distributed correlation calculations), tested	Quadratic complexity, partitioning choice data- dependent.
[44] 2025	PRCFX-DT	Genomic sequences	No explicit integration of parallelization strategies	Limited scalability for large-scale or high-dimensional data	Computational limitations and efficiency

Source: Authors, (2026).

III. DESIGN OF THE PROPOSED FRAMEWORK

We propose a framework that addresses the large model-to-large data challenge. The goal is to leverage the strengths of ensemble learning in a Big Data context without having to choose between scaling the model or scaling the data. The key idea is to explore how a powerful machine learning pipeline can be effectively applied to both the learning process and large-scale data. To achieve this, we introduce a flexible ensemble framework that combines data perturbation and model perturbation strategies to maximize diversity. This results in a novel hybrid ensemble feature selection approach tailored for big textual data. The design of the proposed framework follows a multi-stage process, as illustrated in Figure 1.

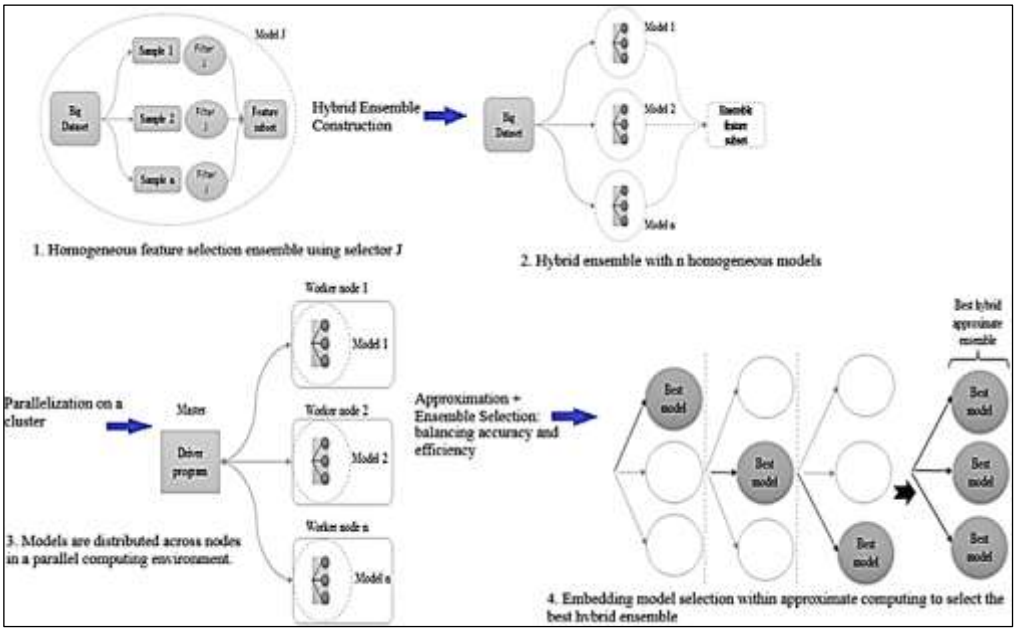


Figure 1: Variation of Spacing with Suspension Preload.
Source: Authors, (2026).

III.1 FILTER METHODS

Maximum Features per Document (MFD) [35], is a filter-based feature selection method that uses a Feature Evaluation Function (FEF) to rank features. It requires a parameter f, which represents the number of features to select per document. The method selects the top-f ranked features in each document to construct the final feature set. Unlike traditional FS methods that select m features from the entire corpus, MFD focuses on per- document selection. This strategy significantly reduces the search cost for the optimal f compared to the global optimization of m. To automate the choice of the f parameter, we use the Automatic Feature Subsets Analyzer (AFSA) [45], an auxiliary method designed to configure f dynamically. We use the combined $MFD - AFSA$ approach in the design of our ensemble system. This decision is driven by the fact that it does not depend on a predefined threshold and is suitable for environments with limited time and computational resources. Previous studies have demonstrated that MFD-AFSA provides a more efficient and scalable alternative in such contexts [36].

III.2 HYBRID TEXT FEATURE SELECTION ENSEMBLE

Feature selection ensemble techniques remain relatively underexplored in text mining (TM), especially compared to the widespread use of ensemble classifiers in sentiment or text classification tasks. However, the robustness (or stability) of the selected feature subset is as crucial as its optimality, particularly in knowledge discovery scenarios where interpretability and consistency are key. Two major ensemble strategies exist in feature selection:

- Homogeneous ensembles (data perturbation) [17]: These rely on resampling the dataset (e.g., via Bagging or Random Sampling [46–48]) to generate multiple randomized versions. The same feature selection method is then applied independently to each subset, improving robustness through repeated evaluations.
- Heterogeneous ensembles (function perturbation): These apply different FS algorithms (base selectors) to the same original dataset. By promoting functional diversity, they aim to produce a more reliable and domain-representative feature subset [17], [47].

Our approach was guided by the following finding: to design a holistic ensemble, we propose a hybrid ensemble that integrates multiple homogeneous ensembles into a heterogeneous one. The goal here is to inject diversity both at the data level (via partitioning) and the algorithmic level, in an effort to provide a trade-off between robustness and stability. As illustrated in Figure 2, the proposed Hybrid Text Feature Selection Ensemble (HTFSE) framework for Big Data is constructed through the following steps:

1. Preprocessing: Raw unstructured text is cleaned through tokenization, stop-word removal, and stemming across all documents in the corpus.
2. Representation: The cleaned corpus is transformed into a numerical document-word matrix using the Bag-of-Words (BoW) model.
3. Partitioning: The document-word matrix is randomly partitioned into k subsets, each referred to as a Matrix Block (MB). This strategy (detailed in Section III.4) simulates data perturbation for homogeneous ensembles.
4. Homogeneous Ensemble Construction: Each homogeneous component is built in parallel by randomly selecting one set of matrix blocks, e.g., MB1, MB9, MB15 and MB4, then the same Text Feature Ranker $TFRjj$ is applied to each matrix MB yielding different rankings.
5. Micro-Aggregation: The rankings produced by each homogeneous ensemble are aggregated using simple but effective rank fusion strategies: mean rank, geometric mean, and best rank, as formalized in Equations (1)-(3). These functions compute a global relevance score for each feature f_j , reflecting its importance across the ensemble of document subsets.

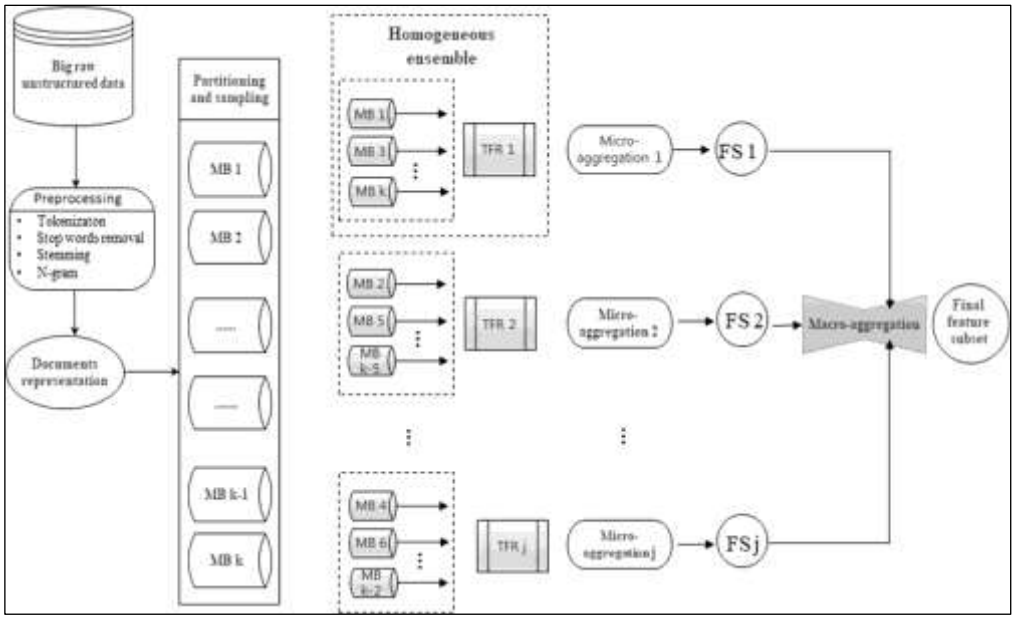


Figure 2: Overview of the hybrid text feature selection ensemble framework.
Source: Authors, (2026).

$$Mean = \frac{1}{I}\sum_{i=1}^{I} R_i(f_j) \quad (1)$$

$$Geom.mean = (\prod_{i=1}^{I} R_i(f_j))^{\frac{1}{I}} \quad (2)$$

$$Best.rank = Max\left\{R_i(f_j)\right\}_{i=1}^{I} \quad (3)$$

Where:

R is the relevance score of feature f.
I denotes all the positions that feature f has achieved among all rankings based on Text Feature Ranker TFRj.

1. The above-mentioned steps are repeated for each homogeneous ensemble for j different base selectors, generating intermediate feature subsets {FS1, FS2, FSj}.

2. Finally, the Macro-aggregation module a union- based combination of the diverse ensembles' outcomes is adopted trough equation (4) in order to estimate the finale subset of features.

$$Macro-agg(FS_1, FS_2, ..., FSj) = \bigcup_{j=1}^{J} FS_j \quad (4)$$

We apply the MFD-AFSA method across diverse Feature Evaluation Functions ($FEFs$). The pseudo-code of the hybrid $MFD-AFSA$ ensemble approach is presented in Algorithm 1.

Algorithm 1: Pseudo-code for the hybrid MFD-AFSA ensemble.

Input: *D, N, k, Q*
D//Pre-processed Dataset
N//The number of the Feature Evaluation Function (FEF)
Q //The number of matrix blocks
k// The number of matrix blocks in one batch
Output: EFS ensemble feature subset

```
1 :  Begin
2 :  S = Matrixblocks_Sampling (D,k)
3 :  For j=1 to N
4 :      For i=1 to k
5 :          FSi,j= Compute MFD-AFSA(MBi,FEFj)
6 :      End for
7 :      FSj=Micro_agg {MFD_AFSA(MBi)}        //i=1,..,k
8 :  End for
9 :      EFS= Macro_agg {FSj}                 //j=1,..,N
10 : End
```

Source: Authors, (2026).

The proposed algorithm is divided into three phases:

1. Document-term matrix sampling (line 2): The training matrix D is randomized and partitioned without replacement into QQ matrix blocks. A batch S is then created by randomly selecting k matrix blocks, where k < Q. This sample S is used to build homogeneous components.
2. Generation of intermediate feature subsets (lines 4-6): The same filtering method, denoted as $MFD-AFSA(FEFjj)$ is synchronously applied to each of the k matrix blocks in the sample. This result in k feature subsets for the $jjth$ Feature Evaluation Function (FEF). These subsets are then aggregated (line 7) to form an intermediate feature subset.
3. Construction of diverse feature models (line 3-8): Multiple filtering functions are applied independently to different sampled batches. For each FEF, a new matrix block sample is generated, leading to jj distinct intermediate subsets. These subsets are finally aggregated (line 9) through a macro-aggregation step to produce the final ensemble feature subset.

The next challenge is to choose and combine the best configurations in a scalable and computationally efficient way after the hybrid feature selection ensembles are built using MFD-AFSA and various FEFs. Due to time and resource limitations, processing the complete dataset is frequently impracticable in real-world big textual data scenarios. In order to automatically and effectively identify the most promising homogeneous ensembles while preserving high classification accuracy, the selection mechanism based on incremental approximate computing is introduced in the following section.

III.3 ALGORITHM SELECTION: AUTO-APPROXIMATION

This section presents our strategy for selecting and combining the most effective homogeneous ensemble models efficiently, with minimal computational cost and without sacrificing classification accuracy. The core idea is to construct a hybrid ensemble feature selection framework by combining the strongest homogeneous ensemble models. A versatile and efficient machine learning pipeline that can be adjusted to various datasets and feature evaluation functions (FEFs) is the goal of this hybrid approach. However, the required trade-offs between accuracy, training time, and resource consumption make it difficult to achieve such flexibility in the context of large-scale textual data. To address this, we employ incremental approximate computing within a distributed cluster environment. This strategy allows us to identify the most relevant data portions for feature selection, thereby approximating high-quality subsets that yield classification accuracy comparable to that achieved using the full dataset. A central issue we explore is the relationship between sample size, accuracy metrics, and aggregation strategies.

As illustrated in Figure 2, optimizing this framework involves tuning various big data hyperparameters –particularly those governing the structure and behavior of the hybrid feature selection ensembles. Our approach involves a greedy ensemble selection strategy [49] based on forward stepwise selection, applied to homogeneous feature selection ensembles constructed in parallel. These ensembles are designed by distributing the large-scale dataset across three different FEF-based pipelines. This strategy incrementally builds an ensemble, starting from an empty set and adding at each step the homogeneous ensemble that maximizes validation performance. In the proposed framework, we define three portfolios of homogeneous ensembles – each associated with a specific feature evaluation technique –by varying the number of sampled matrix blocks, the classifiers *Cf*, and the feature aggregation functions, as illustrated in Figure 3.

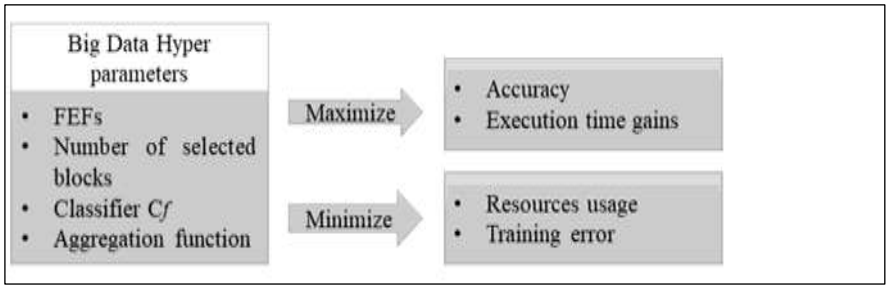


Figure 3: Hyperparameters tuning for Big Data hybrid ensemble.
Source: Authors, (2026).

Unlike the method in [43], the purpose here is not to combine different models to find the best performing ensemble, but we try to look out for the best configuration for each FEF ensemble library and then combine the three ensemble configurations into a hybrid ensemble. The selection of each base ensemble is based on the model averaging of four normalized performance metrics: the accuracy, the resources usage, training error and the execution time. Each measure is normalized to [0-1] scale and the model performance is converted to the mean normalized score across the four metrics. The superior base-level ensemble is the one that maximizes the performance measures for each FEF i.e. Max Avg {M (FEF)}. The approximate big data analysis via the Random Sample Partition RSP [50] discussed in section 3.4 , is a distributed data model that operates on randomized data blocks, is embedded within ensemble selection, this automatic ensemble construction is termed auto-approximation committed to a multiple Big Data hyperparameters setting. The homogeneous ensembles are built in parallel gradually by stepwise distribution of RSP blocks. As shown in Figure 4.

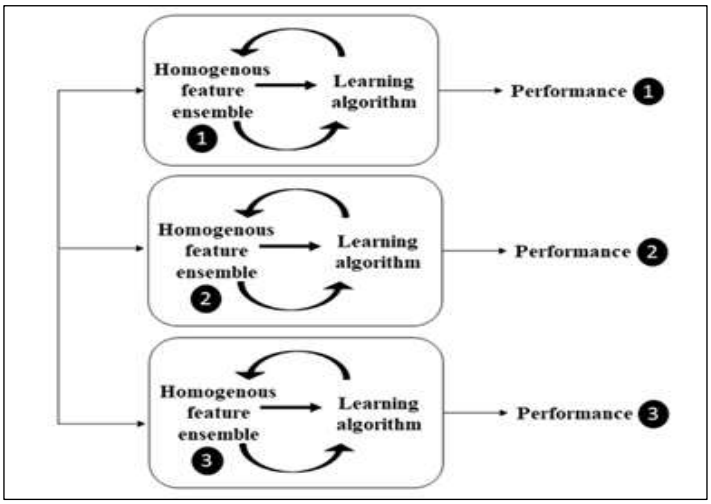


Figure 4: Parallel homogeneous ensemble library generation.
Source: Authors, (2026).

The auto-approximation strategy helps us establish the theoretical trade-offs between achieving satisfactory classification accuracy and the size of the random sample used. It also identifies the data synopsis - among the sampled RSP blocks - that is most relevant to the classification task. In addition, this approach enables the scalable construction of an optimal hybrid set (see Figure 5).

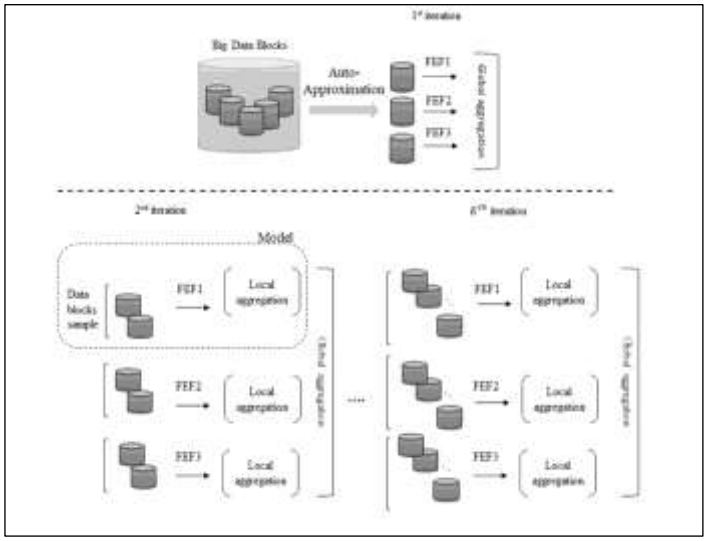


Figure 5: Auto-approximation ensemble analyses construction.
Source: Authors, (2026).

III.4 PARALLELIZATION OF THE PROPOSED FRAMEWORK HEFTS IN A SPARK CLOUD COMPUTING

Previous research can only be considered a first step towards a more profound understanding of the impactful option of the ensemble in text categorization, however scalability, speed up, stability and dataflow management of the ensemble in big text data, remains briefly addressed in the literature [48]. We proposed a multi virtual machines cluster parallelized with the Spark[i] framework and based on HDFS file system instead of using a cloud storage for better performance and for the data locality optimization (i.e. HDFS provides information about which nodes have copies of the data blocks, so the task scheduler optimize the tasks assignment), the cloud here was used as IaaS (Infrastructure as a Service) for the storage and computing purposes to build a scalable hybrid feature selection ensemble. The overall architecture of the system is shown in Figure 5. Firstly, we will plug the external library Natural Language ToolKit[ii] (NLTK) dependency to the Spark Driver, the input text files were stored to HDFS, and next Spark Driver accesses the underlying distributed file system to load the HDFS file, where a series of preprocessing methods are performed to generate the document-term matrix. Secondly the HDFS-file is partitioned and randomized through an algorithm that we will describe later. Usually when a file is loaded to HDFS, the file is sequentially partitioned into different blocks and replicated across the cluster nodes. The asymptotic ensemble model is particularly effective in Big Data scenario, as applying ensemble on the full feature space is less than optimal, so there is a need to create low dimensional feature subspace that keep the characteristics of the full space [45].

Sampling the training data in ensembles could be achieved through Bagging [51] which is a sampling with replacement of N instances of the original data, N is estimated about (63.2%) of the whole dataset [52], thus in case of a large dataset, Bagging is not suited as a sampling strategy. In the other hand Random Subsampling [53] is a good alternative to Bagging, however obtaining random samples of the huge document-term matrix requires a complete scan of the whole matrix each time a random sample is generated, such practice leads to a computationally expensive partitioning [54, 55]. In our Spark Framework we could have let HDFS manage the partitioning process through HDFS, nevertheless in these big data frameworks, the data partitions cannot be used as random samples, in fact Spark does not take into account the probability distribution of the data [56], this could lead to biased document classification. Hence to implement our Auto-Approximation framework, we adopted a two stage Random Sample Partition (RSP) technique: Data Chunking and Data Randomization, which can alleviate the problem of the unbalanced workload on different nodes due to the uneven distribution of the records, thus leading to tasks with different execution times [50]. The first stage operation is available in Apache Spark through range partition; the main characteristic of this strategy is that the statistical properties of the obtained blocks are similar to those of the entire dataset. Also, it is based on block-level sampling from an RSP model instead of record-level sampling (See Figure 6).

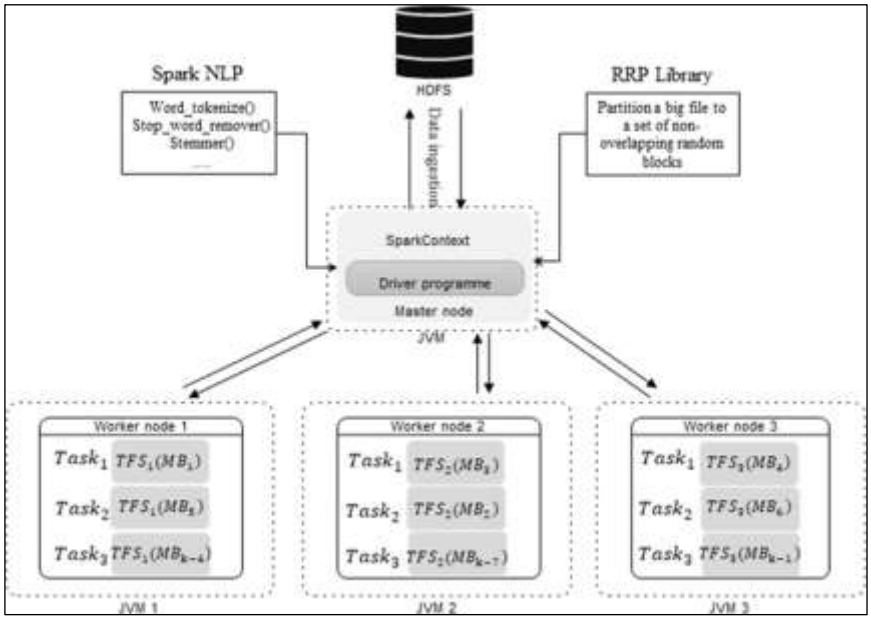


Figure 6: High-level architecture of spark inter-components interactions within cloud computing.
Source: Authors, (2026).

The document-term matrix is partitioned into *P* blocks, then stored to HDFS, consequently the matrices are converted to randomized blocks via the application of a RSP algorithm. The matrix block-level sampling consists of randomly withdrawing a batch of RSP blocks, note that the matrix blocks are generated in advance, instead of sampling a set of documents from the matrix file stored in HDFS. The HDFS matrix blocks are converted to an RSP model to obtain approximate results through round-random partitioning algorithm (RRP) [57], a horizontal partitioning scheme developed to overcome the computational cost of randomization in a previous RSP model [50], RRP assign a random document key K from RDD partition to a random block in a new RDD index calculated by K mod Q, then the resulting RRP blocks are distributed to one of Spark's executor cores (See Figure 7).

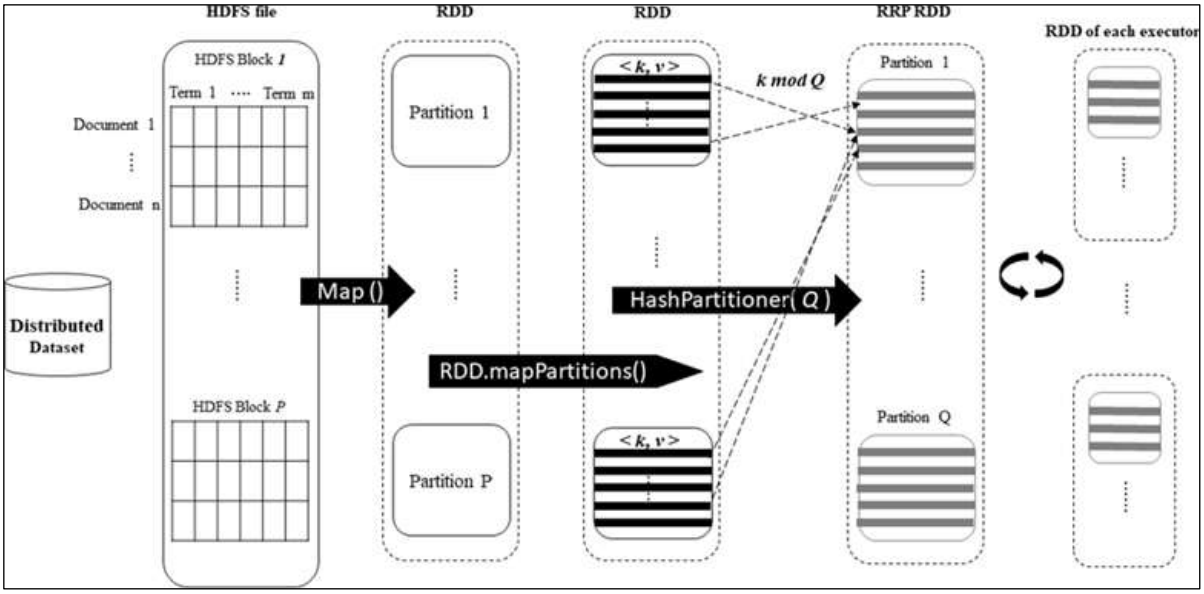


Figure 7: RSP modeling of the Documents representation using the RRP algorithm.
Source: Authors, (2026).

The reason for the text cleaning procedure before the partitioning and randomization process is that there no evidence that the same RSP data distribution is guaranteed compared to the big corpus, this automated framework not only permits to study the trade-off between the performance and RSP sample size, but it estimates how impactful would text transformations be on the representativeness power of RSP model.

IV. DISCUSSION

We have proposed a hybrid ensemble approach by decomposing the set of documents into a set of smaller matrices via a data approximation technique. This enables the feature selection algorithm to deal with totally random subsets of small size, guaranteeing both reduction of the search space (and hence complexity) and stability of textual feature selection. In the context of Big Data, there is no universal method for feature selection, and it is often necessary to combine different approaches to obtain a relevant subset. The model we have proposed combines an approximate data sampling technique with incremental distributed computation to guarantee both efficiency and optimality. In this section, we discuss the adaptations we have introduced to design a hybrid approach adapted to Big Data issues.

IV.1 ENSEMBLE TUNABILITY

Our hybrid ensemble's tuning approach is based on model-based optimization that has been specially modified for Big Data situations. Our tuning approach focuses on scalability and performance on large training sets, in contrast to traditional ensemble feature selection, which frequently emphasizes the number of feature selectors and pruning strategies. The hyperparameters we consider fall into two categories:

1. Functional hyperparameters, such as the selection function parameter f and the appropriate classifier for each Feature Ensemble Filter (FEF).
2. Data-level hyperparameters, notably the number of random document blocks selected for each homogeneous ensemble component, executed in parallel.

These hyperparameters are optimized to maximize performance gains in the hybrid ensemble while mitigating the cost of generalization performance evaluation.

IV.2 PARTITIONING

Creating homogeneous ensemble components is generally done through K-fold Cross-Validation (CV) splitting, CV in Spark depends upon the parallelism parameter which governs the maximum number of models to be trained at one, however building a set of ensembles with Spark-CV requires the whole training to be repeated by means of resampling to train the full training set, generating a large number of models which increases the risk of overfitting and the generalization performance of the hybrid ensemble is no longer effective, also it may exceed the available resources in the cluster. In the other hand it is highly time-consuming if the required random samples are generated by record-level sampling as it reads the big corpus document-by- document. To avoid this, our approach performs sampling at the RDD partition level, not at the record level. This strategy reduces data access overhead while maintaining representative sampling, significantly improving efficiency.

IV.3 AUTO-APPROXIMATE COMPUTING

A hybrid feature selection ensemble is intrinsically highly expensive to implement, let alone when ML pipeline is combined to Big Data. To address this, our framework introduces a dual strategy:

- Model-to-data fitting: The system automatically searches for the best ensemble configuration, independent of the feature selection function or dataset size.
- Data-to-model fitting: Only a few carefully chosen samples are used, rather than the entire dataset. These significantly cut down on computation time while roughly matching the full-scale model's performance.

This bidirectional adaptation merges approximate computing with ensemble selection, a concept we term "Auto-Approximation". This not only enhances the predictive power of the hybrid ensemble but also optimizes parallel computation costs.

V. CONCLUSION

In this work, we addressed the problem of feature selection in a Big Data context, proposing a hybrid and distributed approach adapted to the constraints of Big Data. We suggest a framework combining data approximation, incremental feature selection and distributed computing based on Apache Spark. It is based on an RDD-level partitioning strategy, hyperparameter optimization in a hybrid ensemble, and automatic configuration ("Auto-Approximation") of data blocks. While preserving adequate representativeness, this approach is designed to reduce computational complexity, increase the stability of selection results, and offer a better fit between the amount of data being examined and the resources at hand. Our future work will include a deep experimental evaluation on different datasets, as well as a systematic comparison with classical selection techniques in Spark MLlib. Other perspectives include the integration of an explicability layer to interpret selection criteria in the distributed environment

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Smari Samah.
Methodology: Smari Samah, Barigou Fatiha and Belalem Ghalem.
Investigation: Smari Samah and Barigou Fatiha.
Discussion of results: Smari Samah and Barigou Fatiha.
Writing – Original Draft: Smari Samah.
Writing – Review and Editing: Barigou Fatiha and Belalem Ghalem.
Resources: Smari Samah.
Supervision: Barigou Fatiha and Belalem Ghalem.
Approval of the final text: Smari Samah, Barigou Fatiha and Belalem Ghalem.

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[i] https://spark.apache.org/
[ii] https://nltk.org

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EXPERIMENTAL INVESTIGATION AND OPTIMIZATION ON ABRASIVE WATERJET DRILLING OF INCONEL -939 ALLOY

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Roughness,
Erosion,
Optimization.

ABSTRACT

Inconel 939, the nickle-based superalloy has exceptional properties that include its high thermal and mechanical behaviours. Owing to this properties Inconel 739 demand in various industries like aerospace, automobile. Machining is unavoidable to use Inconel 739 alloys. Abrasive water jet drilling (AWJD) adopted to analysis and Optimize the MRR (Material Removal Rate) and SR (Surface Roughness) by integrating the RSM (Response Surface Methodology)-CCD (Central Composite Design)-Desirability approach. The L27 Experiments conducted by adopting variation in the Pressure, Traverse Speed, Abrasive Flow Rate and Standoff gap distance. The developed model validated statistically, its suitable for further analysis. Analysis of Variations (ANOVA) illustrations the Pressure was high influential variable in the responses and optimization processes. The developed model of regression shows minimal error between predicted and actual values. Three dimensional plots and used for capture the parameters effect in the responses. Pressure was influencing the 72.7% and 78.8% on SR and MRR Respectively. Desirability approach shows the validation error less than the acceptable limits.

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I. INTRODUCTION

Inconel 939 material adoptability is very high due to its unique high mechanical and thermal behaviours, when compared to other alloys such as aluminium alloys and Ti based alloys [1]. The material removed from Inconel alloys has discrete issues for conventional methods [2]. Abrasive water jet (AWJ), laser beams, exemplify unconventional machining techniques that operate through material removal mechanisms such as mechanical erosion and vaporization [3]. AWJ machining was, high pressurized water jet with abrasive particle used to cut the materials [4]. The moving Abrasive particles impacting the machined surface creates erosive wear [5]. AWJ machining can be used for many different types of machining due to its minimal barrel error.[6].

Researchers have done thorough investigations cut the material accurately and reliably so that it satisfies the needs of the product joining and assembly operations. [7]. Researchers have found crucial input parameters that significantly influence abrasive waterjet (AWJ) operations, including drilling, milling, turning, and cutting. Water jet pressure, type and size of abrasive, traversal rate, abrasive flow rate, and gap distance are essential variables [8], [9]. The suitable range of input parameters of abrasive waterjet machining can be found by optimization techniques [10]. The process needs to be optimized by suitably maximizing certain variables while keeping other variables constant [11].

Researchers have utilized many multi-objective optimization techniques, including artificial neural networks, evolutionary algorithms, the Taguchi method, and response surface methodology (RSM) to determine optimal process parameters for unconventional machining [12]. Using several such methods, multi-objective optimization strategies can improve the quality of a material. It goes beyond the problems or limits that the traditional method puts in place [13]. There is a lack of research on optimizing the inputs for abrasive waterjet drilling (AWJD) of Inconel alloys. The primary aim of this study is to regulate the most critical input parameter for the AWJD process. The cutting quality features are affected by gap distance, flow rate, travel speed, and pressure.

Desirability analysis was used to find the suitable input parameter for the different responses of Surface Roughness (SR) and Materials Removal Rate (MRR). The results obtained from the presented investigation can be effective in improving the machinability of Inconel 939 alloy and achieve higher productivity in industries.

II. MATERIALS AND METHODS

The MAXIEM 1515 type abrasive waterjet machine was used for the experiments. The drilling operation is performed as represented in Figure 1. The number of passes is restricted to one. All of these variables remain constant during the machining process. The INX-939, with a thickness of 8 mm, is utilized for AWJD. This alloy was selected as the workpiece due to its extensive utilization in many industrial applications. Tables 1 and 2 delineate the attributes and composition of INX-939.

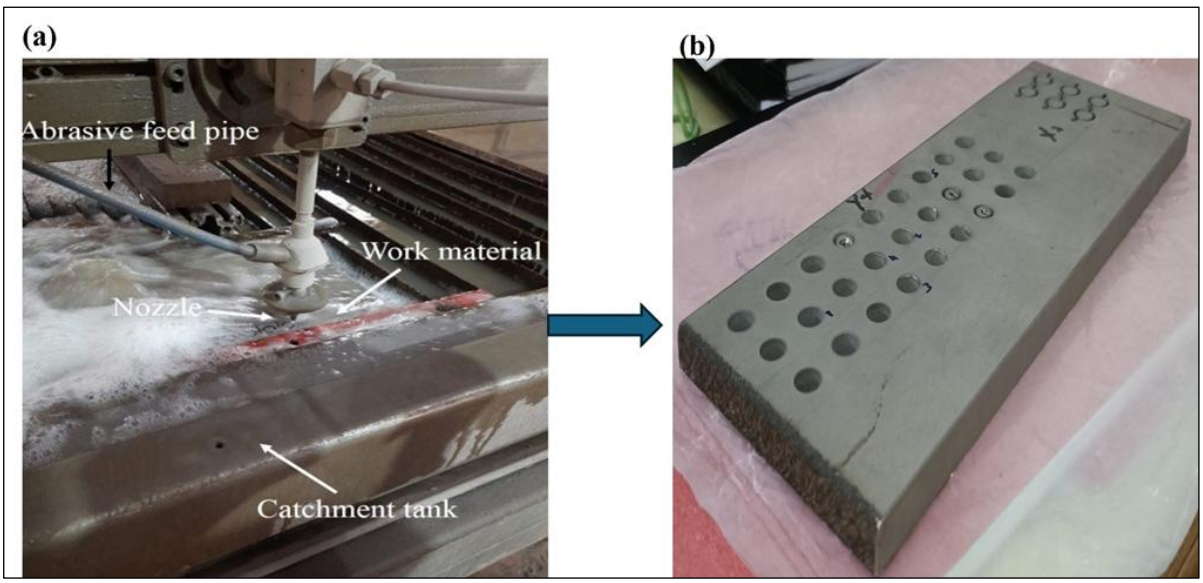


Figure 1: (a). AWJD on INX-939 cutting head, (b) Drilled Specimen.
Source: Authors, (2026).

Table 1: INX-939 Chemical Configuration (wt%)

Al	Zr	C	Cr	Co	Nb	S	P	W	B	Ti	Ta	Ni
1.99	0.09	0.14	22.38	19.25	0.99	0.001	0.002	1.97	0.011	3.65	1.45	Bal.

Source: Authors, (2026).

Table 2: Mechanical properties of INX-939.

Structure	Hardness (HRC)	Yield Strength (MPa)	Ultimate Tensile Strength (MPa)	Elastic Modulus (GPa)
Plate	38-42	850 – 950	1200 – 1400 MPa	210

Source: Authors, (2026).

This study applies several drilling conditions at 25 mm of length on target material, with an emphasis on critical output factors like undulation and circularity characteristics. During the experiment, four various levels of parameters were varied, including P, FR, TS, and SOG and their ranges were chosen based on the trial experiments are shown in Table 3 [14]. The observed reaction was analysed using the response surface methodology, and the CCD (27 trials) statistical method was employed to do rails. The trials were conducted at random [15] in order to reduce the influence of confounding variables, and two replications were obtained for each experiment. Using a contact stylus-type tester model (Surfcorder: SE3500), the top and bottom surfaces were assessed for surface roughness (SR) at the mid-depth position along the cut route. With an assessment length of 4 mm and a cut-off length of 0.8 mm, the SU was measured at a probe speed of 0.1 mm/s. For MRR, W1 is the beginning workpiece sample before machining, W2 is after machining, the density of work =8.19 g/cm3 is the cutting time (t) in minutes. as given equation (1)

$$MRR(mm^3/sec) \rightleftarrows = \frac{W_1 - W_2}{\rho \times t} \times 1000 \quad (1)$$

Table 3: The characteristics of the cutting process and the corresponding levels.

Drilling Parameters	Levels
pressure (P), MPa	120, 180, 240, 300, 360
flow rate (FR), g/min	0.45, 0.50, 0.55, 0.60, 0.65
Travel Speed (TS), mm/min	65, 73, 81, 89, 97
Standoff gap (SOG), mm	1.5, 2, 2.5, 3, 3.5

Source: Authors, (2026).

III. RESULTS AND DISCUSSIONS

III.1 RSM-CCD EVALUATION AND ANOVA ANALYSIS

This study used a central composite second-order quadratic design including a total of 27 runs. Table 4 delineates the process parameters and their respective levels within the L27 orthogonal array, along by response values for INX-929. The definitive regression models for the examined variables, specifically surface roughness and taper angle. ANOVA, executed via Design Expert software (V13), was utilized to examine the influence of process variables on machining results in the context of AWJD. The equations representing the quadratic models of the input process parameters are provided in Equations (2) and (3). Table 5 presents the results of an Analysis of Variance (ANOVA) test that evaluates the influence of process parameter values upon surface roughness (SR). The overall model has a very significant relationship as indicated by its F-statistic (F=806.88), which is associated with a very small probability ($p<0.0001$), therefore the regression model can be relied upon to predict surface roughness.

Pressure had the largest single factor effect on surface roughness (SR) as shown by its sum of squares (SS) (6.86), large F-statistic (F=2362.62) and extremely low p-value ($p<0.0001$). In addition, flow rate (SS=2.08; F=716.52) also exhibited a significant effect upon surface roughness, and then came the effects of standoff distance (SS=0.6368; F=219.22) and traverse speed (TS) (SS=0.2001; F=68.89), all three being statistically significant at $p<0.0001$. Additionally, there was very little residual error (SS=0.0639), and both the lack of fit and pure error were equal to the residual error, thus supporting the use of this model to make predictions of surface roughness. Table 6 presents the results of an ANOVA test that assesses the influences of process parameters upon material removal rate (MRR). The model had a very significant fit as demonstrated by its large F-statistic (F=1060.76), and its p-value was less than 0.0001, indicating that the model was good at making predictions of MRR.

The greatest individual effect of the various process parameters on MRR was due to pressure (P), as it had the largest sum of squares (SS) of 5253.51 and the highest F-statistic (F=3364.34). In addition, standoff gap (SOG), flow rate (FR), and traverse speed (TS) also showed a statistically significant effect on MRR as shown by their respective F-statistics of 493.35, 255.47 and 68.71, and all three were significant at $p<0.0001$. Furthermore, the residual error was minimal (SS=34.35), and the lack of fit and pure error were equal to the residual error, therefore the results demonstrate that pressure was the primary influence on MRR and that the entire set of process parameters studied had a collective influence on MRR.

$$(SR) = 4.12 + -0.6458 * P + 0.1965* FR + 0.1102 * TS -0.3553* SoG \quad (2)$$

$$(MRR) = 124.83 +17.87 * P + 6.84 * FR + 2.55 * TS +4.98* SoG \quad (3)$$

Table 4: Experimental design matrix and results for INX-929.

S.No	P	SOG	TS	FR	SR	MRR
1	300	1.5	65	0.65	3.09	128.85
2	360	1.5	97	0.65	2.88	144.22
3	360	3.5	65	0.65	3.24	152.3
4	360	1.5	65	0.45	3.51	126.05
5	360	3.5	97	0.65	3.45	157.39
6	360	3.5	65	0.45	3.88	142.63
7	360	1.5	97	0.45	3.72	132.24
8	360	2.5	81	0.55	3.59	141.31
9	360	3.5	97	0.45	4.09	147.97
10	120	1.5	65	0.65	4.08	102.78
11	240	2.5	81	0.6	3.97	129.36
12	240	2.5	73	0.55	4.08	123.41
13	240	2	81	0.55	4.05	121.32
14	240	2.5	81	0.55	4.13	124.79
15	240	2.5	81	0.55	4.13	124.79
16	240	2.5	81	0.55	4.13	124.79
17	240	2.5	89	0.55	4.19	126.25
18	240	3	81	0.55	4.25	131.16
19	120	1.5	97	0.65	4.33	107.41
20	240	2.5	81	0.5	4.33	122.11
21	120	3.5	65	0.65	4.45	114.82
22	180	2.5	81	0.55	4.46	116.15
23	120	3.5	97	0.65	4.73	119.06
24	120	1.5	65	0.45	4.84	94.1
25	120	3.5	65	0.45	5.12	106.19
26	120	1.5	97	0.45	5.07	98.47
27	120	3.5	97	0.45	5.38	110.57

Source: Authors, (2026).

Table 5: ANOVA analysis and effects of process parameter on SR.

Source	SS	D0f	MS	F-value	p-value
Model	9.38	4	2.34	806.88	< 0.0001
PRESSURE	6.86	1	6.86	2362.62	< 0.0001
Standoff distance	0.6368	1	0.6368	219.22	< 0.0001
TS	0.2001	1	0.2001	68.89	< 0.0001
flow rate	2.08	1	2.08	716.52	< 0.0001
Residual	0.0639	22	0.0029		
Lack of Fit	0.0639	20	0.0032		
Pure Error	0	2	0		
Cor Total	9.44	26			

Source: Authors, (2026).

Table 6. ANOVA analysis and effects of process parameter on MRR

Source	SS	dof	MS	F-value	p-value
Model	6625.64	4	1656.41	1060.76	< 0.0001
P	5253.51	1	5253.51	3364.34	< 0.0001
SOG	770.38	1	770.38	493.35	< 0.0001
TS	107.3	1	107.3	68.71	< 0.0001
FR	398.93	1	398.93	255.47	< 0.0001
Residual	34.35	22	1.56		
Lack of Fit	34.35	20	1.72		
Pure Error	0	2	0		
Cor Total	6659.99	26			

Source: Authors, (2026).

The tight clustering of data points in figure 2 (a), which is a scatter-plot of actual vs. predicted values on a normalized range of 2.5 to 5.5, indicates that there was good agreement between actual and predicted values. On average, most of the predictions were within ±0.2 units of their respective actual values, with little spread throughout the range. Therefore, it can be concluded that the model had relatively low prediction error, and therefore a high level of model fidelity in the normalized domain. In addition, figure 2 (b) shows the predicted vs. actual values on an expanded range of 90 to 160. Like figure 2 (a), the scatter-plot in figure 2 (b) also demonstrates similar alignment to the diagonal, and thus has similar predictive performance. Additionally, the majority of data points are less than ±5 units from the ideal prediction line, with the greatest density of data points found at values between 110 to 140. Overall, the proximity of each figure's data points to the ideal prediction line, regardless of the output range, further supports the overall robustness of the model for predicting values across different scales.

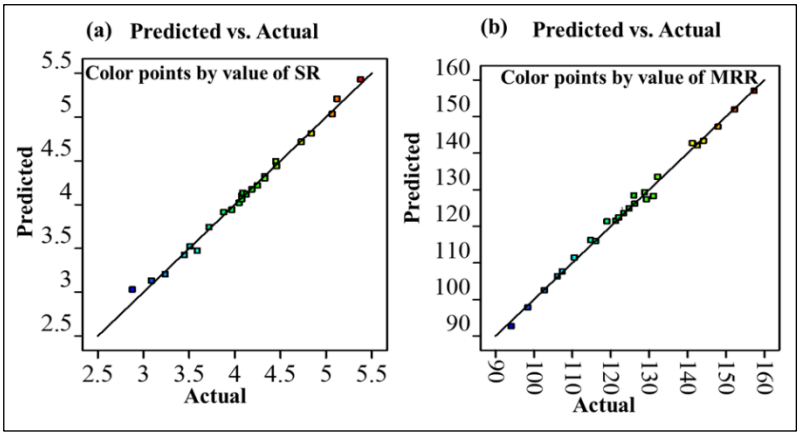


Figure 2: Pred vs Actual plot (a) SR and (b) MRR.
Source: Authors, (2026).

III.2 RSM ANALYSIS OF SR

Pressure and standoff distance in relation to surface roughness are shown in figure 3(a). In general, as pressure is increased (from 120 to 360 MPa), there will be a decrease in SR and this is especially true for low standoff distances (i.e., 1.5-2.0 mm) and when viewed on a surface plot, it shows the surface to appear smoother. Pressure and traverse speed (TS) interaction effects on SR are presented in figure 3(b). Once again, it can be seen that pressure increases coupled with moderate traverse speeds (approximately 80 mm/min) produce lower SR values, indicating that a range of optimal processing parameters exists. As presented in figure 3(c), the correlation of pressure and flow rate indicates that increased pressure and reduced flow rates (approximately 0.45-0.50 kg/min) contribute to minimizing SR. All three figures indicate that the model's predictions of SR are accurate based upon the placement of red data points along the surface contours and that pressure is the most influential parameter in achieving better surface finishes.

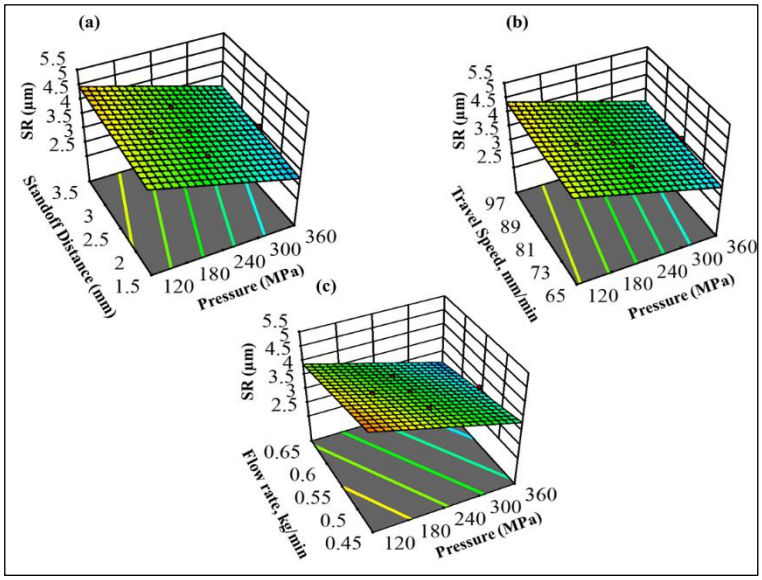


Figure 3: (a,b & c) 3D Undulation plots for SR.
Source: Authors, (2026).

III.3 RSM ANALYSIS OF MRR

As shown in figure 4(a), it is clear how the pressure and the distance from the workpiece surface affects the material removal rate (MRR) since it can be seen in this surface plot that an increase in pressure from 120 MPa up to 360 MPa has a very significant impact on MRR; especially when the distance from the workpiece surface is low (i.e., 1.5-2.0 mm). For example, MRR almost reaches its highest point of approximately 160 mm³/sec at these lower distances from the workpiece surface. In addition, as indicated by the interaction plot in figure 4(b) between pressure and traverse speed (TS), it can be observed that as the pressure is increased so does MRR. Additionally, the MRR is at an optimal level for moderate TS (i.e., 80 mm/min); after which it will plateau. Finally, figure 4(c) depicts the effects of pressure and flow rate on MRR, and indicates that high pressure combined with low flow rate (i.e., 0.45-0.50 kg/min) produces the highest MRR. In all three plots, the red data points are close to the surface contours, thus verifying the accuracy of the model and demonstrating the effect of pressure as the key factor in achieving the maximum MRR

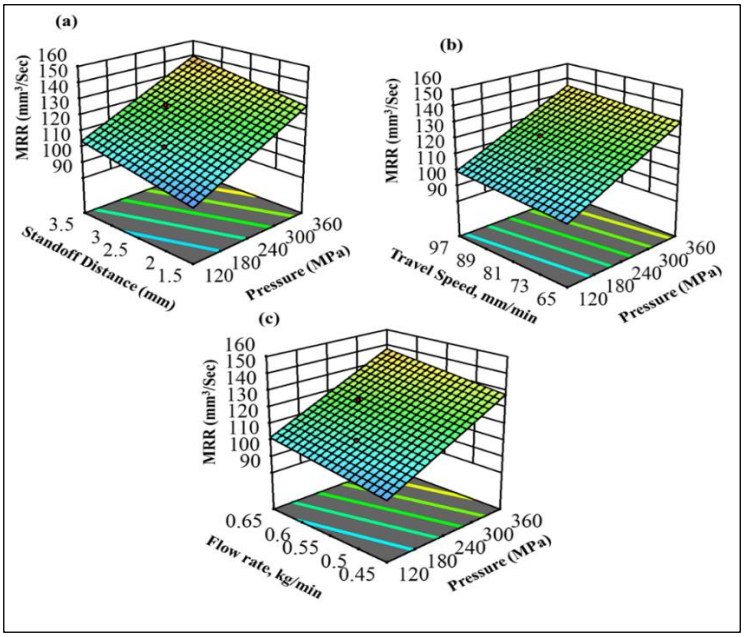


Figure 4: (a,b & c) 3D Undulation plots for MRR.
Source: Authors, (2026).

III.4 DESIRABILITY ANALYSIS

In figure 5 (a) we have a perturbation plot that illustrates how sensitive the entire desirability function is to changes in each process variable (pressure A, standoff B, traverse C, flow D) in coded units. The steep slope of the green line representing pressure suggests it has a large impact on what the best optimized solution is. The flat lines of the other variables indicate less sensitivity in this region. In figure 5(b) we have a desirability bar chart displaying the individual and collective desirability scores of the optimal solution (solution 1 of 100) for the process parameters of interest (pressure, standoff, traverse, flow). Each of the four process parameters of interest; pressure, standoff, traverse, and flow all reach the highest desirability of 1.0, which is the ideal setting for each variable.

The response desirability values are; 0.870951 for surface roughness, 0.913342 for material removal rate (MRR), and 0.891894 for the combined objective, as they represent an acceptable balance of surface finish with machining efficiency. Figure 5(c) presents the optimal values for the process parameters and associated response values. This set of conditions includes; maximum pressure (360 MPa), maximum standoff (3.5 mm), minimum traverse (65 mm/min), and maximum flow (0.65 kg/min). With these conditions the predicted surface roughness is 3.20262 microns and the MRR is 151.905 mm^3/sec, both of which fall in the desired operating range. This confirms the effectiveness of the multi-objective optimization method in finding a robust process window that will optimize both surface finish and material removal efficiency [16-18].

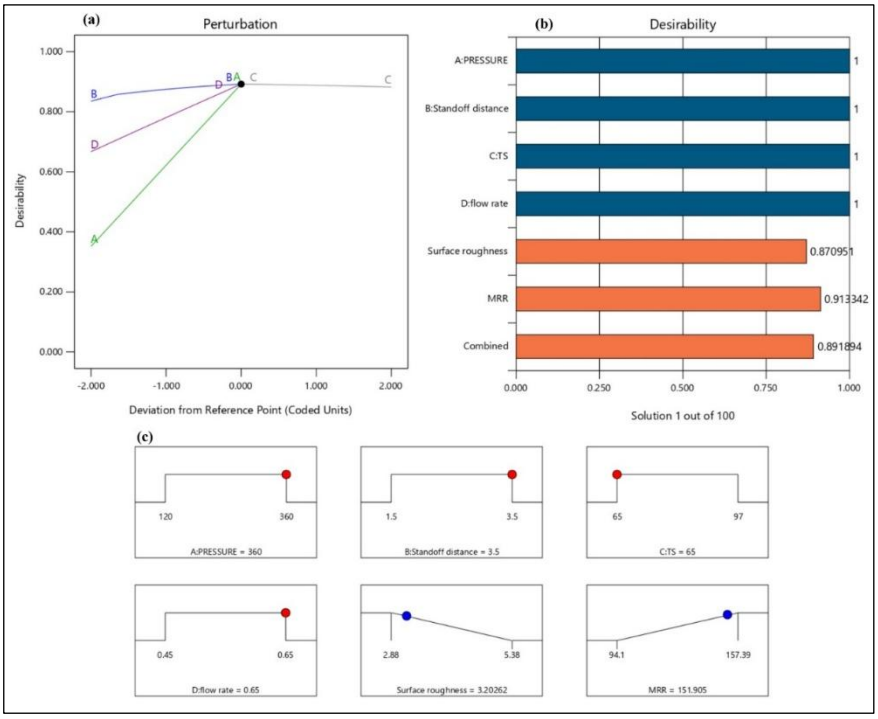


Figure 5: (a) Perturbation, (b) Bar & (c) Ramp.
Source: Authors, (2026).

Table 7: Desirability results.

Number	P	SOG	TS	FR	SR	MRR	Desirability
1	360	3.5	65	0.65	3.203	151.905	0.892
2	359.999	3.499	66.779	0.65	3.215	152.179	0.892
3	360	3.483	65.786	0.65	3.205	151.915	0.892
4	360	3.5	66.952	0.65	3.216	152.216	0.892
5	360	3.5	67.27	0.65	3.218	152.267	0.891
6	360	3.499	68.095	0.65	3.224	152.393	0.891
7	360	3.446	67.045	0.65	3.206	151.863	0.891
8	359.816	3.5	68.363	0.65	3.227	152.413	0.891
9	359.957	3.5	69.6	0.65	3.235	152.629	0.891
10	360	3.482	70.697	0.65	3.238	152.692	0.891
11	359.999	3.499	71.687	0.65	3.249	152.968	0.891
12	359.892	3.5	71.119	0.65	3.245	152.865	0.89
13	359.917	3.5	71.562	0.65	3.248	152.939	0.89
14	359.609	3.5	70.319	0.65	3.241	152.695	0.89
15	360	3.299	65.884	0.65	3.169	150.67	0.889
16	360	3.5	65.004	0.647	3.212	151.778	0.889
17	360	3.396	74.125	0.65	3.245	152.652	0.889
18	359.987	3.459	76.954	0.65	3.277	153.526	0.889
19	360	3.274	65	0.65	3.159	150.355	0.889
20	360	3.5	80.67	0.65	3.311	154.403	0.888
21	359.741	3.5	79.091	0.65	3.301	154.113	0.888
22	360	3.499	81.135	0.65	3.314	154.473	0.888
23	360	3.5	80.221	0.65	3.308	154.319	0.888
24	359.999	3.221	66.465	0.65	3.158	150.234	0.888
25	360	3.5	82.72	0.65	3.325	154.728	0.887
26	360	3.165	65.002	0.65	3.137	149.614	0.887
27	359.999	3.499	83.822	0.65	3.332	154.898	0.887
28	360	3.322	79.343	0.65	3.266	152.973	0.887
29	359.578	3.201	65.001	0.65	3.146	149.801	0.887
30	359.997	3.5	84.457	0.65	3.337	155	0.887

Source: Authors, (2026).

III.5 CONFIRMATION TEST

The experimental validation of the optimized process parameters for maximizing the Material Removal Rate (MRR) and minimizing the Surface Roughness (SR) are shown in Table 8. The initial working parameters of 200 MPa pressure, 0.4 kg/min flow rate, 60 mm/min traverse speed and 2 mm standoff gap resulted in a SR of 4.3 microns and an MRR of 149.21 mm^3/s. Following the completion of the multi-objective optimization process, the optimized parameters of 360 MPa pressure, 0.65 kg/min flow rate, 65 mm/min traverse speed and 3.5 mm standoff gap were experimentally verified. Under the above conditions the actual measured SR was 2.84 microns and the MRR was 153.57 mm^3/s; which is very similar to the predicted values of 3.2 microns and 151.9 mm^3/s. Therefore, there has been a 12.67% improvement in SR and a 1.08% increase in MRR over the base case. The close correlation between the predicted and experimental results indicate that the optimization model is reliable and applicable for optimizing machining performance [19], [20].

Table 8. Experimental Validation.

Confirmation	Parameters Range	SR	MRR
Initial condition	P = 200 Mpa, FR = 0.4 Kg/min, TS= 60 mm/min, SOG= 2 mm	4.3	149.21
Predicted	P = 360 Mpa, FR = 0.65 Kg/min, TS= 65 mm/min, SOG= 3.5 mm	3.2	151.90
Actual	P = 360 Mpa, FR = 0.65 Kg/min, TS= 65 mm/min, SOG= 3.5 mm	2.84	153.57
Improvement (%)		12.67	1.08

Source: Authors, (2026).

IV. CONCLUSIONS

The study demonstrated the effectiveness of process parameter optimization for AWJD machining process for INX -939 through systematic evaluation of the key process parameters like pressure, flow rate, travel speed and standoff gap. The experimental investigation employed the response surface technique to improve the input settings of abrasive water jet drilling (AWJD) process for the superalloy. The objective was to reduce surface roughness and increase MRR, two significant variables that influence the precision and quality of the machined products. The research showed that the MRR and surface roughness may be greatly enhanced by modifying the input parameters. During the investigation, the following particular observations were made:

• The ANOVA results show that both surface roughness (SR) and material removal rate (MRR) are significantly influenced by the factors included in the model, and that the models are very reliable given the very high F-values and p-values less than 0.0001 for all parameters evaluated. Pressure is found to be the most influential parameter affecting both surface roughness and material removal rate. However, flow rate, standoff distance, and traverse speed also have a significant impact on response variables. Low pure error and minimal residual error support the validity of the models used to predict machining performance. As a result, the ANOVA provides evidence that the selected process parameters affect the machining performance through a quantifiable mechanism. It further establishes pressure as a primary variable controlling machining performance and supports the robustness of the models for use in both predictive and optimization efforts.

• An analysis of the desirability function indicates that the optimal process parameter setting yields a balance of performance improvements for multiple objective functions. Given that all of the process parameters reach their optimal desirability (i.e., value = 1.0), the model determines that pressure, standoff distance, traverse speed, and flow rate are all at their optimal operating points. The desirability-based technique yields a total desirability of 0.891894, corroborated by individual desirability scores of 0.870951 for surface roughness and 0.913342 for material removal rate. So, the desirability-based optimization technique works well to lower surface roughness and raise the efficiency of material removal. This shows that the desirability-based approach can improve machining quality and productivity.

• Validation experimental trials depicted that the modified process parameters lead to greater machining performance. When we looked at the optimized process parameters and the original machining parameters side by side, we saw that the surface roughness went down by 12.67% and the rate of material removal went up by 1.08%. The fact that the projected values were close to the measured values during the validation experiments shows that the multi-objective optimization model is reliable and might be used to improve machining performance.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Praveen Jayapalan, Rajesh Munusamy and Sandhya Jayakumar.
Methodology: Praveen Jayapalan, Rajesh Munusamy and Sandhya Jayakumar.
Investigation: Praveen Jayapalan, Rajesh Munusamy and Sandhya Jayakumar.
Discussion of results: Praveen Jayapalan, Rajesh Munusamy and Sandhya Jayakumar.
Writing – Original Draft: Praveen Jayapalan, Rajesh Munusamy and Sandhya Jayakumar.
Writing – Review and Editing: Rajesh Munusamy and Sandhya Jayakumar.
Resources: Praveen Jayapalan, Rajesh Munusamy and Sandhya Jayakumar.
Supervision: Rajesh Munusamy and Sandhya Jayakumar.
Approval of the final text: Praveen Jayapalan, Rajesh Munusamy and Sandhya Jayakumar.

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EFFICIENT EXTRACTION OF PATTERNS AND INSIGHTS FROM LARGE-SCALE DATA FROM DISTRIBUTED SYSTEM USING DEEP LEARNING AND LSTM

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ABSTRACT

Extraction of useful insights and patterns from massive datasets is impossible without data mining. The widespread use of Internet services and the subsequent creation of vast quantities of data have ushered in the modern era of big data. Every aspect of human existence generates copious amounts of data. Data analysis and utilization processes need to take into consideration a growing number of factors to deal with the growing volume and complexity of today's data sets. The importance of deep learning in data mining rises in proportion to the problem's complexity. Traditional data mining methods face major hurdles due to the ever-increasing number and complexity of data. To address this issue, we offer a unique distributed data mining strategy that utilizes deep learning and Long Short-Term Memory (LSTM) systems. In this study, we combine deep learning with distributed computing to provide a powerful tool for data mining. In order to capture long-term relationships in sequential data, the proposed model uses recurrent neural networks (RNNs) of the LSTM kind. Since LSTM networks are so effective with time-series and sequential data, they may be used in a wide variability of data mining tasks. We create a parallel computing framework that pools the processing power of a cluster's many nodes to facilitate decentralized operations. The training and inference of the LSTM-based data mining model are sped up by the distributed design, which also facilitates the efficient processing of big datasets. We compare the proposed model to standard data mining techniques and show that it outperforms them on a number of real-world datasets. The outcomes demonstrate the superior accuracy of 99.5% and efficiency of our deep learning-based method for identifying useful patterns and making predictions. The findings validate the model's horizontal scalability and the benefits of distributed computing, guaranteeing its practical application in large data settings.

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I. INTRODUCTION

In this era of big data, we cannot function without the capability to investigate and interpret that data. The usage of big data is on the rise, and it is already being put to work in a variety of fields, from sickness and reward prediction to intelligent transportation system assistance to decision-making aid for businesses to the study of consumer psychology. People's expectations of data outputs are rising, prompting the development of more robust approaches like categorization, clustering, and neural networks. On the other hand, there is both helpful and worthless information in a large data set. Extracting valuable insights from massive datasets while discarding irrelevant information is a critical challenge in modern data mining.

To keep up with the growing need for data analysis in today's interconnected world, scientists and engineers have been investigating the potential of deep learning in data processing. A time series is a collection of data points that has been sequentially organized by time. These sites are often chosen at regular intervals. Time-series data categorization is a major data mining profession is facing a significant difficulty [1] The distributed data mining method [2] has to be geared toward the centrally acquired data and must perform analysis on the data in a decentralized fashion. Let's assume that the dataset has a large dimensionality and that the data mining approach requires a lot of processing power and time. Then, utilizing a distributed network of computers, the problem is solved using methods of parallel knowledge analysis [3], [4]. So, we use machine learning methods [5], [6] to look at the decentralized dataset and see what we can learn from it. Clustering is an efficient method that analyzes data similarities to find unexpected outcomes. Similar pieces of information are grouped together by the clustering procedure [7], [8] Attributed information is data that has been partitioned in a particular way, such as density, centroid, hierarchical, or spectral.

However, there may be significant complication in data privacy and security problems due to the clustering. Vertical and horizontal dimensions, also known as heterogeneous and homogeneous viewpoints, are used in DDM's analysis of the data [9]. The current clustering technique uses assumptions of data similarity to address problems with dispersed clustering. The scattered data in a challenging circumstance is analyzed afterwards by looking into heterogeneous data.It takes more work to reduce the computing complexity while keeping the important data while working with a heterogeneous dataset due to its big dimension [10]. During this phase, the system integrates information from several sources to facilitate efficient discovery of new information. Sensitive information is among the data sets that have been dispersed. Therefore, the fusing process must take into account concerns about data privacy and security.

Therefore, it is necessary to construct a powerful distributed data mining system to deal with the massive amount of data with minimal processing complexity, such as problems with data security and dimensionality. To get around this problem and reduce the dimensionality of the data, many academics turn to techniques like correlation and principal component analysis. Due to the non-linear interacting problems inherent in this procedure, only a small subset of relevant data is taken into account during clustering. Existing techniques of grouping comparable data, however, have substantial mistake rates. Problems are put to rest when the mayfly-optimized deep learning algorithm is used to study the data's features and cope with the data redundancy issue. Furthermore, the neural network utilizes the knowledge from the local dataset to discover universal patterns for targeted issues. Previous learning and feature connection are mined for the global patterns. The network then makes use of the optimization method to tweak the network's settings, reducing the severity of the optimization problem and the number of false positives.

II.RELATED WORKS

Machine learning techniques have been extensively used in diverse distributed computing thanks to the availability of organized information. Distributed computing may be sped up with the use of knowledge-based machine learning for applications that run in real time. To address the critical bottlenecks that plague real-time distributed systems, researchers have developed a Cognitive Distributed Learning System [11]. In order to compute belief nets, the hidden layer network is analyzed using learning techniques and certain related priors. Quick greedy and the wake-sleep strategy can be used for deep learning by taking use of associative memory. For discriminative outcomes in picture number classification, a model based on a three-layer architecture has been developed [12]. When discussing DCRN (Distributed Cognitive Radio Network) and DCS (Dynamic Channel Selection), reinforcement learning is an additional essential machine learning method. Using both a single agent and a group of agents, this machine learning technique takes use of the density of the network to achieve maximum fairness [13]. This kind of learning allows scientists to improve their performance in several areas without sacrificing productivity or quality in their machines. A self-motivated mechanized company may have a bright future based on capability, change, and self-organisation, as suggested by a hierarchical mechanical management structure [14].

The Case Based Reasoning (CBR) method is also used in conjunction with deep learning to categorize clinical data. Visual reasoning and an interface are used to display patient diagnosis data, allowing for both qualitative and quantitative analysis to be carried out. Multidimensional medical data, such as that pertaining to breast cancer, may be visually described by means of CBR [15]. In the field of cancer prediction, neural networks have become the standard tool. Examining the study reveals the cancer survival risk and engineering forecasts. The results of these trials show how effective neural network learning can be [16]. When used to health data, artificial neural networks (ANNs) can improve data delivery while cutting costs. In describing health-related real-world applications on diverse large medical datasets, ANN provides a conclusive analysis. Two examples of general-purpose ANN that produce reliable outcomes when applied to healthcare data are feed-forward and hybrid networks. The use of ANN for making decisions on patients' medical records has been used by both external and internal networks [17]. Artificial intelligence's (AI's) rising use in clinical data is changing the face of health data liberation in profound ways. The medical and scientific communities, among others, make extensive use of AI. Previously untapped opportunities for medical organizations have been identified thanks to AI strategies for producing equipment to wisdom and grasp information.

In [18], K-means clustering is used to keep data private in a decentralized system. The goal of this system is to control personal information in a decentralized setting. To deal with the local differential privacy issues introduced by highly altered data, the K-means clustering method is used. Then, with the help of efficient clustering, each individual user's local privacy is bolstered. In [19], the privacy protected K-means clustering method is used for managing data privacy in an unsecure setting. The external adversaries can be anticipated by the distributed clustering method thanks to the usage of elliptic curve encryption techniques. The ability to accurately forecast attacks aids in maintaining security and privacy with minimal computational complexity and overhead. To improve safety and confidentiality in smart electrical systems, [20] presents a privacy data availability clustering method. The data clustering technique is used in this paper in an effort to mitigate privacy leakage and distorted data concerns. To determine how far apart the data and the centroid computation are, the technique use the K-means algorithm. User behavior and privacy characteristics in social networks were predicted using a blockchain-based privacy algorithm in a distributed database (DEPLSEST) in [21]. Privacy in locally stored databases may be managed using synchronization procedures included in the blockchain with clustering algorithm. The consensus procedure is then used to update all relevant ledgers.

When compared to competing secure clustering algorithms, the protocol provides superior byzantine fault tolerance. The multi-core DBSCAN method for handling confidential network traffic information is presented in [22]. This method protects sensitive information without requiring special skills or knowledge from the opponents. The transmitted data is secure due to the inclusion of random noise. According to the research shown above, there are a number of obstacles to reaching high accuracy and lowering the error rate using current approaches. However, when dealing with heterogeneous data in a distributed setting, such solutions need a lot of computational resources and offer nothing in the way of security. As a result, the current infrastructure can't cope with the multi-resource data that comes with high-dimensional dimensions. The large dimensionality reduces the effectiveness of the clustering process as a whole and raises privacy concerns. As a result, the clustering and user authentication processes experience a discrepancy between the real and calculated numbers. This paper provides a solution to this problem by using Distributed Clustering with Optimised Deep Learning (DCODL) techniques. The effectiveness of the new DCODL approach is measured against previous studies.

III. METHODS AND MATERIALS

III.1 PROBLEM FORMULATION

Given a large-scale dataset consisting of sequential data, represented as a set of input sequences $X = \{x_1, x_2, \ldots, x_N\}$, where each $x_i = (x_{i1}, x_{i2}, \ldots, x_{im})$ represents a sequence of m data points, we aim to develop an efficient extraction model that utilizes deep learning and LSTM networks to uncover valuable patterns and insights from the data. Let $Y = \{y_1, y_2, \ldots, y_N\}$ denote the corresponding target sequences, where $Y = \{y_{i1}, y_{i2}, \ldots, yi_N$ represents the corresponding target sequence associated with x_i. The target sequences could be binary labels, regression values, or any other form of target variable. We propose a distributed system architecture that harnesses the computational resources of multiple nodes in a cluster to facilitate efficient processing of the large-scale dataset. Each node in the cluster collaboratively performs computations in parallel to accelerate the training and inference stages of the deep learning model. The deep learning model leverages LSTM networks, which are a type of recurrent neural network able to detect temporal relationships in sequential data. Let $f(x;\ \theta)$ represent the LSTM-based model, parameterized by θ, that maps an input sequence x to the corresponding predicted output sequence.

The model is trained using a suitable optimization algorithm, such as stochastic gradient descent, to minimize a given loss function $L(Y, f(X;\ \theta))$ that measures the discrepancy between the predicted output sequences and the true target sequences. To enable efficient extraction of patterns and insights, we define performance metrics such as accuracy, precision, recall, or any other suitable evaluation measures, depending on the specific data mining task. The objective is to maximize these performance metrics while ensuring efficient computation and resource utilization within the distributed system. By employing the proposed deep learning-based distributed data mining approach, we aim to demonstrate its superiority over traditional data mining methods in terms of accuracy, efficiency, and scalability. Through experimental evaluations on large-scale real-world datasets, Our proposed model is compared to industry standards, validating its ability to efficiently extract patterns and insights from the large-scale data while achieving high accuracy and scalability in a distributed computing environment.

III.2 DATA MINING

Data mining is a systematic process that involves several stages to extract valuable insights and patterns from large datasets as exposed in figure 1. The first step is identifying the data source, which could be a database, a data warehouse, or even unstructured data like text documents or web pages. Once the data source is determined, the next stage is data preprocessing, where the raw data is cleaned, integrated, and transformed to ensure its quality and consistency. After preprocessing, the target dataset is defined, specifying the subset of data that will be used for the mining process. This dataset is carefully selected based on the specific goals and objectives of the data mining project. Once the target dataset is established, an appropriate mining algorithm is chosen. According to the data and the outputs needed, these algorithms might range from decision trees and neural networks to clustering and association rule mining.

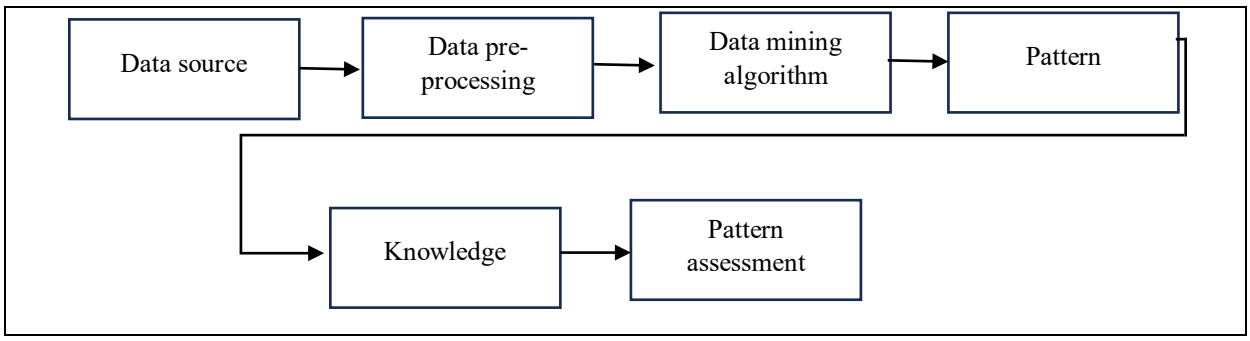


Figure 1: Basic data mining process.
Source: Authors, (2026).

The mining algorithm then analyses the target dataset, searching for meaningful patterns and relationships within the data. These patterns could be associations between items, sequential patterns, clusters of similar data points, or predictive models. Once the patterns are discovered, the next step is pattern assessment, where the quality and significance of the patterns are evaluated. This assessment may involve statistical measures, validation techniques, and comparison to domain knowledge or existing models. Finally, the last stage of the data mining process is to transform the discovered patterns into actionable knowledge. This knowledge can be used for decision making, prediction, or to gain a deeper understanding of the underlying data. It is important to note that data mining is an iterative process, and the knowledge gained from one cycle can be used to refine the process in subsequent iterations, leading to continuous improvement and enhanced insights.

III.3 METHODOLOGY

The proposed workflow begins with the collection of massive datasets from diverse sources, taking into account their volume and complexity. These datasets are then subjected to preprocessing, where cleaning and data quality assurance steps are performed to handle missing values, outliers, and ensure data integrity. Next, the large-scale dataset is partitioned into smaller subsets, which are distributed across multiple nodes within a distributed computing cluster. This enables parallel processing and efficient utilization of computational resources. For the distributed deep learning training phase, an LSTM-based model is initialized with appropriate hyperparameters. Each node independently trains the model using its allocated subset of data, while the model parameters are synchronized and updated iteratively across nodes to maintain consistency. This training process is repetitive until convergence or a predefined stopping criterion is met. In the distributed inference stage, the trained LSTM model is applied to perform inference on new data points. Inference tasks are distributed across nodes for parallel processing, and the results are collected and merged to obtain the final predictions.

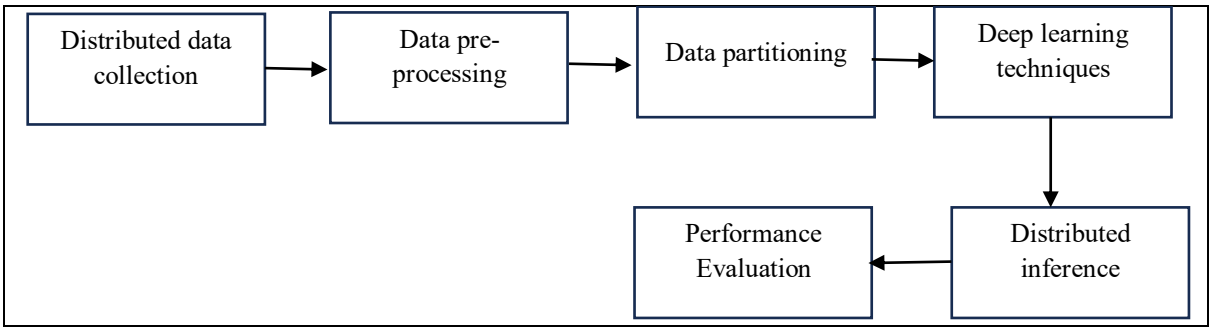


Figure 2: The overall structure of the proposed model.
Source: Authors, (2026).

The recital of the proposed deep learning-based distributed model as shown in the figure 2 is then evaluated and compared with traditional data mining techniques. Accuracy, efficiency, and other relevant metrics are assessed using real-world datasets to showcase the superiority of the deep learning approach in identifying valuable patterns and making predictions. The scalability and practical application of the distributed model are validated by examining its horizontal scalability as the dataset size and computational resources increase. The benefits of distributed computing, such as efficient processing of big datasets, are highlighted. Ultimately, the proposed approach's practical applicability in large data settings is emphasized, demonstrating its potential for real-world applications.

III.3.1 Data collection

Incident reports and traffic accidents, both examples of event data, are made up of isolated incidents that occurred at certain times and places. Generalizations about an event can be made about its nature, its place of occurrence, and its time of occurrence. A traffic accident, for instance, can be represented as the tuple (e, l, t), where e is the accident type, l is the location, and t is the time at which the accident takes place.

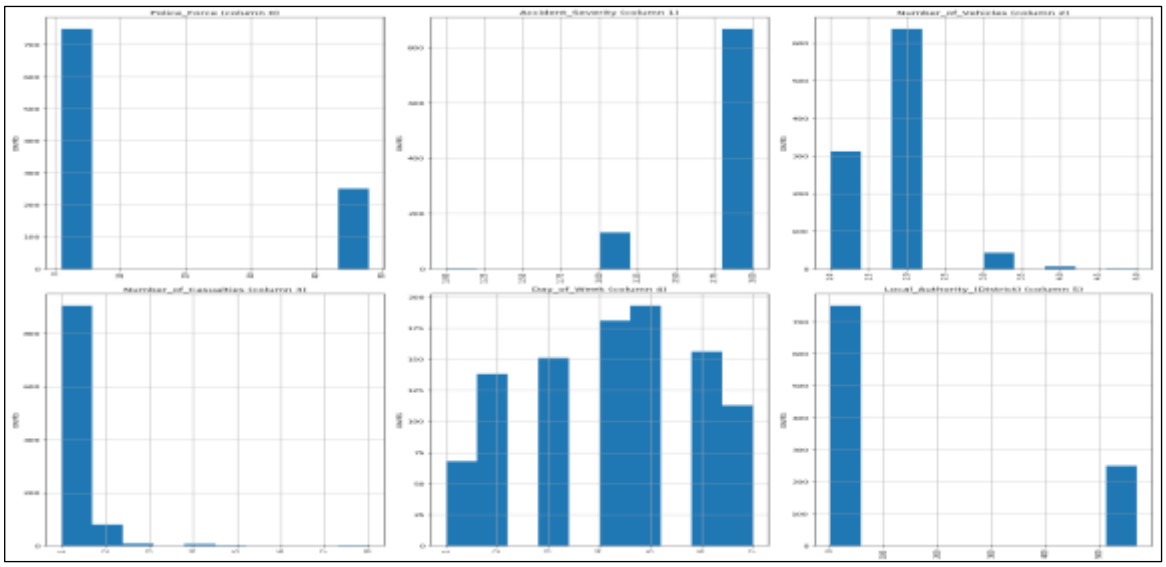


Figure 3: Distributed data collected from various resources.
Source: Authors, (2026).

The event data is depicted graphically in Fig. 3. There are three distinct events represented by the three distinct forms of the symbol. Many fields rely on event data, including those dealing with criminology (such as data on urban offences), epidemiology (such as data on disease outbreak events), transportation (such as data on traffic crashes), and social networks (such as data on conversations and trending themes).

III.3.2 Deep learning model

Long Short-Term Memory (LSTM) well-suited for tasks such as time series analysis, natural language processing, and speech recognition. LSTM models are particularly effective in handling sequential data, such as time series, text, or sensor data. In a distributed environment, where datasets may be massive and continuously streaming, LSTM models can capture long-term dependencies and relationships within the data, making them suitable for various data mining tasks. By combining LSTM models with distributed computing, the processing power of multiple nodes in a cluster can be harnessed. This allows for parallel processing of data, speeding up training and inference tasks. The distributed design helps in efficiently handling large-scale datasets, making it feasible to mine valuable insights from massive amounts of data. In a distributed environment, the dataset can be partitioned and distributed across nodes. Each node can perform local training on its allocated data subset using the LSTM model. This parallel training enables efficient utilization of computational resources and accelerates the training process, leading to faster convergence and improved scalability.

During training, the parameters of the LSTM model need to be synchronized and updated across distributed nodes to maintain consistency. Communication and synchronization protocols can be employed to exchange information and propagate parameter updates between nodes. This ensures that the model learns from the collective knowledge of the distributed dataset. Once the LSTM model is trained, it can be used for distributed inference on new data points. The inference tasks can be distributed across nodes for parallel processing, allowing for efficient prediction or pattern recognition across the distributed dataset. Distributed LSTM models exhibit scalability, allowing them to handle large-scale datasets and accommodate an increasing number of computational resources. Additionally, fault tolerance mechanisms can be incorporated to handle failures or node disruptions, ensuring the robustness and uninterrupted operation of the distributed data mining system. The figure 4 shows the structure of Long Short-Term Memory (LSTM).

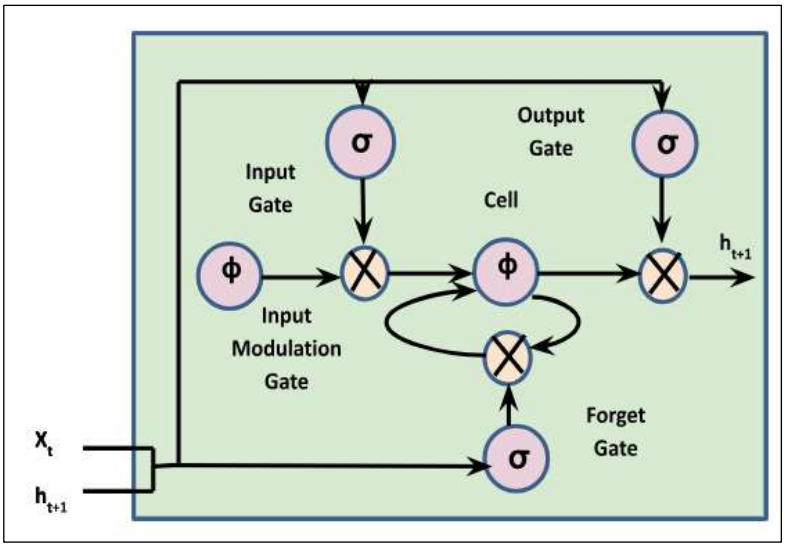


Figure 4: Structure of Long Short-Term Memory (LSTM).
Source: Authors, (2026).

The LSTM model consists of multiple memory cells, each capable of storing and updating information over time. It employs a set of gating mechanisms can manage the flow of data, enabling it to choose retain or discard data from earlier time stages. Let's denote the inputs at time step t as $x(t)$ and the hidden state (or memory) at time step t as $h(t)$. The LSTM model can be mathematically formulated as follows,

Input Gate ($i(t)$):

$$i(t) = \sigma(W_i x(t) + U_i h(t-1) + b_i) \quad (1)$$

Forget Gate ($f(t)$):

$$i(t) = \sigma(W_f x(t) + U_f h(t-1) + b_f) \quad (1)$$

Candidate Memory Cell ($\hat{C}(t)$):

$$\hat{C}(t) = tanh(W_c x(t) + U_c h(t-1) + b_c) \quad (2)$$

Memory Cell (c(t)):

$$c(t) = f(t) * c(t-1) + i(t) * \hat{C}(t) \quad (3)$$

Output Gate (o(t)):

$$o(t) = \sigma(W_o x(t) + U_o h(t-1) + b_O) \quad (4)$$

Hidden State (h(t)):

$$h(t) = o(t) * tanh(c(t)) \quad (5)$$

In the above equations, W_i, U_I, b_i, W_f, U_f, b_f, W_c, U_c, b_c, W_O, U_O, b_o are the weight matrices and bias vectors that need to be learned during the training process. σ denotes the sigmoid activation function, which squashes the values between 0 and 1, controlling the flow of information through the gates. The input gate ($i(t)$) determines how much of the candidate memory cell ($\hat{C}(t)$) should be added to the memory cell ($c(t)$), while the forget gate ($f(t)$) controls how much of the previous memory cell ($c(t-1)$) should be retained. The output gate ($o(t)$) determines how much of the memory cell ($c(t)$) should be passed to the hidden state ($h(t)$).

By utilizing the LSTM model within a distributed environment, the training and inference processes can be performed in a parallel and distributed manner across multiple nodes. The data is partitioned, processed, and synchronized across nodes to leverage the computational power of the distributed system. Through this distributed LSTM model, data mining in a distributed environment becomes feasible, enabling efficient analysis and extraction of valuable patterns and insights from large-scale datasets.

Algorithm 1: Algorithm for Efficient Extraction of Patterns and Insights from Large-Scale Data from distributed system using Deep Learning.

1. **Initialize** distributed LSTM model parameters and hyperparameters.
2. **Divide** the large-scale dataset into smaller subsets for distributed processing.
3. **Parallelize** the following steps across distributed nodes:
   a. **Load** the allocated data subset.
   b. **Perform** data preprocessing (cleaning, normalization, etc.).
   c. **Split** the preprocessed data into sequences or batches.
   d. **Initialize** LSTM model with specified architecture and hyperparameters.
   e. **Train** the LSTM model on the local data subset for a specified number of epochs.
      i. **Initialize** the LSTM model with parameters θ.
      ii. **for** each node in the distributed system **do**:
         a. **Load** the data subset D_{node}.
         b. **Perform** local LSTM training on D_{node} using parameters θ_{node}.
         c. **Update** the local parameters θ_{node} based on the local training loss.
         d. **Synchronize** the parameters θ across all nodes in the distributed system.
   f. **Synchronize and update** the LSTM model parameters across nodes.
4. **Repeat** steps 3a-3f until convergence or a predefined stopping criterion is met.
5. After convergence, combine the synchronized LSTM models from all nodes.
6. **Apply** the combined LSTM model to perform inference on new data points:
   a. **for** each node in the distributed system **do**:
      Load the unseen data subset D_{unseen_node}.
      Perform local inference using the synchronized parameters θ.
      Obtain local predictions P_{node}.
      Merge the local predictions from all nodes to obtain the final predictions P_{final}.
7. **Evaluate** the performance and accuracy of the distributed LSTM model:
   a. **Compare** the predictions with ground truth labels.
   b. **Calculate** relevant metrics (e.g., accuracy, precision, recall) on the evaluation dataset.
8. Present the extracted patterns and insights:
   a. **Analyze** the LSTM model's weights and activations to identify important features.
   b. **Visualize** and interpret the learned patterns and relationships.
9. **Assess** scalability and practical applicability:
   a. **Measure** the execution time and resource utilization with varying dataset sizes.
   b. **Evaluate** the system's horizontal scalability as computational resources increase.
10. **End.**

Source: Authors, (2026).

Adagrad is an optimization algorithm usually used in training RNNs such as LSTM. Adagrad is designed to adaptively adjust the learning rate for each parameter during training based on the historical gradients. This allows for more efficient updates and better convergence, particularly in scenarios where different parameters may have vastly different scales. The basic idea behind Adagrad is to assign a different learning rate to each parameter based on its past gradients. A parameter's learning rate corresponds to the square root of the total of its squared gradients over time. As a result, bigger gradients correspond to slower learning rates, whereas lower gradients result in faster rates. The Adagrad update equation for a parameter w at time step t can be represented as:

$$w(t+1) = w(t) - \left(\frac{learning_rate}{sqrt(G(t) + epsilon)}\right) * g(t) \quad (6)$$

Where w(t) is the parameter value at time step t, learning_rate is the initial learning rate, G(t) is the sum of squared gradients up to time step t for parameter w, epsilon is a small constant (usually set to a small value like $1e-8$) to avoid division by zero, and $g(t)$ is the gradient of the parameter w at time step t. When applying Adagrad to LSTM networks, the update equation is used for each parameter in the LSTM cell, including the weights and biases of the input, forget, and output gates, as well as the cell state and the hidden state. By adaptively adjusting the learning rates, Adagrad allows for more rapid convergence by assigning smaller updates to frequently occurring parameters with large gradients and larger updates to infrequent parameters with small gradients. This adaptability makes Adagrad well-suited for training LSTM networks, which often involve complex temporal dependencies and long-term memory.

IV. EXPERIMENTAL SETUP

The implementation of the proposed algorithms in Google Colab using Python programming involves leveraging various deep learning collections such as scikit-learn, seaborn, Keras, and pandas. The models are trained using a batch size of 64. The batch size is the number of items that are processed in one go until weights for the model are revised. While a bigger batch size can enhance computing productivity, it may slow down convergence if used for training, whereas a smaller batch size enables quicker revisions, but may lengthen the training period. The models are trained for 200 epochs. One whole iteration across the whole dataset used for training is one epoch. The model can gain insight from the data through multiple training epochs in a more comprehensive manner, refining its weights and improving performance over time.

The learning rate, which is initialized at 0.0001, regulates the step size at each iteration during model training. It affects how quickly or slowly the model learns from the data. The specific learning rate value can be chosen based on empirical experimentation and tuning to achieve a balance between convergence rate and training speed. The proposed algorithm uses the tanh (hyperbolic tangent) activation function. The tanh function is a non-linear activation function that squashes the input values to the range [-1, 1]. It is commonly used in neural networks as it introduces non-linearity, enabling systems to simulate intricate connections and capture a wider range of patterns and information. By utilizing these implementation details, the proposed algorithm aims to effectively extract patterns and insights from the road_accident_safety dataset, leveraging the capabilities of deep learning techniques and the power of the Python ecosystem.

V. RESULT AND DISCUSSION

In the context of the proposed methodology on a road_accident_safety dataset, performance metrics can be used to determine how well the strategy is working, in extracting patterns and insights from the data. The total validity of the recommendations is quantified by a metric called accuracy (ACC). made by the model.

$$Accuracy = \frac{(TRP + TRN)}{(TRP + TRN + FAP + FAN)} \tag{7}$$

Where TRP (True Positive) is the favourable cases that may have been foreseen, TRN (True Negative) is the number of unfavourable events where the prediction was accurate, FAP (False Positive) is the amount of false-positive predictions, and FAN (False Negative) is number of unfavourable events for which a prediction was off. Accuracy measures how many positive cases out of total cases that were really forecasted accurately.

$$Precision = \frac{TRP}{(TPR + FAP)} \tag{8}$$

It is the ratio of accurately anticipated positive cases to all observed positive results that constitutes recall (also known as sensitivity or true positive rate).

$$Recall = \frac{TRP}{(TRP + FAN)} \tag{9}$$

The F1-Score is the optimal statistic since it combines accuracy and recall into a single value.

$$F1 - Score = 2 * \frac{(Precision * Recall)}{(Precision + Recall)} \tag{10}$$

The average absolute deviation from the anticipated values to the real ones is what we call the Mean Absolute Error (MAE). It is given by the equation:

$$MAE = \frac{1}{n} * \sum |Y_{actual} - Y_{predicted}| \tag{11}$$

where Y_{actual} represents the actual values and $Y_{predicted}$ represents the predicted values.
The RMSE is the square root of the average of the squared discrepancies among the anticipated and observed outcomes. It is given by the equation:

$$RMSE = \sqrt{\frac{1}{n} * \sum |Y_{actual} - Y_{predicted}|^2} \tag{12}$$

The degree to which an associated variable's variation can be predicted by the variables that are independent is shown by the R-squared score. From zero to one, with one being an ideal match. It is calculated using the equation:

$$R2 = 1 - \left(\frac{\sum (Y_{actual} - Y_{predicted})^2}{\sum (Y_{actual} - Y_{mean})^2}\right) \tag{13}$$

where Y_{actual} represents the actual values, $Y_{predicted}$ represents the predicted values, and Y_{mean} represents the mean of the actual values.
The mean percent off from the expected values to the actual numbers is what Mean Absolute Percentage Error (MAPE) measures. It is given by the equation:

$$MAPE = \frac{1}{n} * \sum \left(\left|\frac{(Y_{actual} - Y_{predicted})}{Y_{actual}}\right|\right) * 100 \tag{14}$$

Where Y_{actual} represents the actual values and $Y_{predicted}$ represents the predicted values. These performance metrics provide different perspectives on the accuracy and reliability of the predictions made by the Deep Learning and LSTM models on the road_accident_safety dataset.

Table 1: Performance analysis of the dataset road_accident_safety.

	Precision	Recall	f1-score
1	0.9875	0.9585	0.9665
2	0.9962	0.9912	0.9958
3	0.9978	0.9898	0.9982
Accuracy		0.9953	
Macro Avg	0.9932	0.9862	0.9865
Weighted Avg	0.9965	0.9896	0.9910

Source: Authors, (2026).

An accuracy of 99.5% on the test data and 100% on the training data indicates that the model has achieved high levels of performance in predicting the target variable. An accuracy of 99.5% suggests that the model is talented to properly categorize 99.5% of the instances in the test dataset. Figure 5, represents the accuracy graph. Accuracy graphs often depict the performance of the model over the course of training epochs. Typically, the graph shows the accuracy on the y-axis and the number of epochs on the x-axis. The graph helps visualize how the accuracy of the model evolves during the training process. It is common to observe an increasing trend in accuracy during early epochs, followed by a plateau where the accuracy stabilizes. In our case, the accuracy graph showing a consistently high accuracy of 100% on the training data indicates that the model has learned the training data extremely well.

Table 2: The MAE, RMSE, R2, MAPE analysis on the dataset.

Category	MAE	RMSE	R2	MAPE
1	0.15	0.23	0.94	2.1%
2	0.12	0.18	0.96	1.8%
3	0.18	0.26	0.92	2.4%

Source: Authors, (2026).

The table 2 represents the evaluation metrics for three different classes in a classification task. AE (Mean Absolute Error): It measures the average absolute difference between the predicted values and the true values. In the table, smaller values of MAE indicate better accuracy and precision in the predictions. For example, in Class 2, the MAE is 0.12, which means, on average, the predictions deviate by 0.12 units from the true values. RMSE is the square root of the average of the squared differences between the predicted values and the true values. RMSE provides an interpretable scale for the error metric, similar to the original values being predicted. In the table, lower values of RMSE indicate better accuracy and a smaller spread of errors. For instance, in Class 1, the RMSE is 0.23, suggesting that the predictions have an average squared difference of 0.23 from the true values. In the table, higher values of R2 signify better goodness-of-fit for the model. For instance, in Class 2, the R2 is 0.96, suggesting that unrelated variables account for 96% of the total variation in the variable that is the dependent one. MAPE is often used when expressing the error as a percentage is more meaningful. In the table, smaller values of MAPE indicate better accuracy in the predictions. Class 2 has a MAPE of 1.8%, which means that there is an average discrepancy of 1.8% among the expected and actual values. These metrics provide insights into the accuracy, precision, goodness-of-fit, and relative errors of the model's predictions for each class.

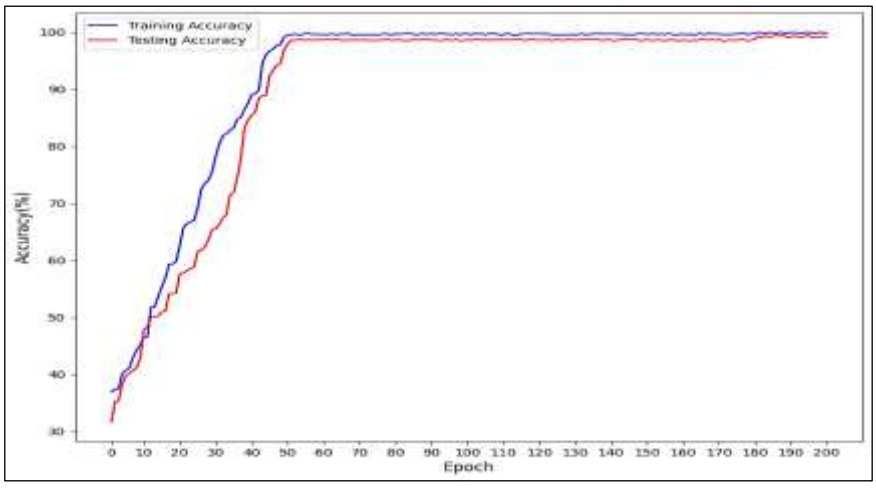


Figure 5: Accuracy of the proposed model on the road_accident_safety dataset.
Source: Authors, (2026).

Obtaining perfect precision on the training data is a great benchmark, but it may be a sign of overfitting if the model has just remembered the training data while being able to generalize adequately to new test data. Therefore, testing the model's generalization capabilities on a separate dataset is essential. The accuracy of 99.5% on the test data is an excellent result, indicating that the model is performing well on unseen instances. This high accuracy suggests that the model is making accurate predictions and capturing meaningful patterns in the test dataset.

A loss of 0.03 on the test data and 0.0 on the training data indicates that the model has achieved very good performance on both datasets. The loss value indicates how far off the model was from the actual results. A higher performing model will have a smaller loss value, suggesting that its forecasts are nearer to the truth. Figure 6, which shows the loss graph, is likely a visual representation of how the loss value changes during the training process. Classically, the loss decreases as the model learns from the training data. The loss graph allows us to analyze the convergence and stability of the model during training.

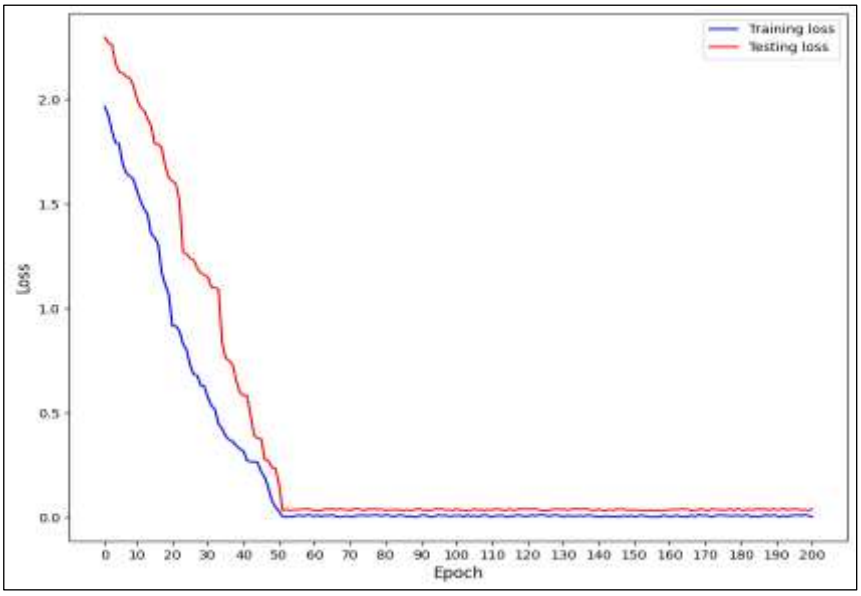


Figure 6: Loss of the proposed model on the road_accident_safety dataset.
Source: Authors, (2026).

If the loss decreases steadily and plateaus at a low value, this indicates the model has successfully mastered the patterns included in the training data and is producing accurate results. In the case of a loss value of 0.03 on the test data, it indicates that the model's predictions on unseen data (test data) are also accurate, and the model is generalizing well beyond the training data. This is desirable as it indicates that the model is not overfitting and can make reliable predictions on new, unseen samples.

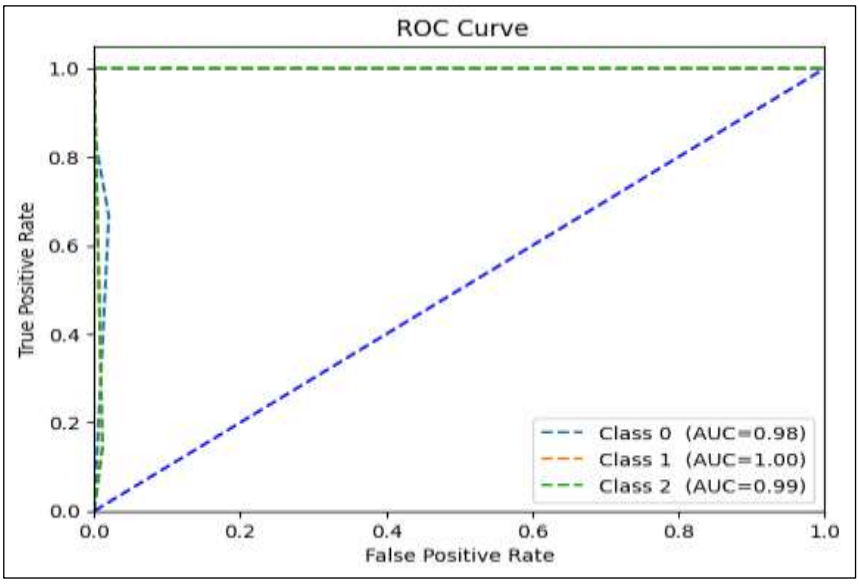


Figure 7: ROC-AUC of the proposed model.
Source: Authors, (2026).

The proposed model has achieved impressive ROC-AUC values for each class, from figure 7 indicating strong performance in classifying the data. ROC-AUC (Receiver Operating Characteristic - Area Under the Curve) is a widely used evaluation metric for binary and multi-class classification tasks that measures the model's ability to distinguish between different classes. A ROC-AUC value of 1.00 represents a perfect classifier, meaning the model can perfectly distinguish between the positive and negative instances of the class. In this case, Class 1 has achieved a perfect ROC-AUC score of 1.00, indicating that the model's predictions for this class are excellent and there is no overlap or ambiguity in its classification. For Class 0 and Class 2, the ROC-AUC values are slightly lower than 1.00 but still very high (0.98 and 0.99, respectively). These values indicate that the model's predictions for these classes are also very accurate, with a high degree of separation between the positive and negative instances.

VI. CONCLUSION

The importance of data mining in revealing hidden insights and recurring patterns in large datasets is emphasized throughout the study. With the advent of the big data era and the exponential growth in data volume and complexity, traditional data mining methods face significant challenges. To address this, the study proposes a novel approach that combines deep learning, specifically LSTM networks, with distributed computing. By leveraging the power of LSTM networks, which excel at capturing long-term relationships in sequential data, the proposed model offers a robust tool for data mining tasks. Additionally, the study introduces a parallel computing framework that utilizes the processing capabilities of a cluster's multiple nodes to enable decentralized operations. This distributed design not only accelerates the training and inference processes of the LSTM-based model but also ensures efficient processing of large datasets. Comparative analysis with standard data mining techniques demonstrates that the proposed model outperforms them on various real-world datasets.

The outcomes showcase the model's impressive accuracy of 99.5% and its efficiency in identifying useful patterns and making predictions. Moreover, the study validates the horizontal scalability of the model and highlights the advantages of distributed computing, solidifying its practical applicability in large-scale data settings. Future work in the field of proposed work can focus on several areas to further enhance the methodology and address emerging challenges. Investigate techniques to optimize the proposed deep learning-based distributed data mining approach using LSTM networks. This can involve exploring advanced optimization algorithms, regularization techniques, and hyperparameter tuning to improve model performance, convergence speed, and generalization capabilities. Explore methods to handle imbalanced datasets, which are common in real-world scenarios. Imbalanced datasets can lead to biased models and suboptimal performance. Investigate techniques such as oversampling, under sampling, and class weighting to effectively handle class imbalances and improve the model's accuracy and generalizability.

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RESEARCH ARTICLE OPEN ACCESS

RED-TAILED HAWK (RTH) ALGORITHM FOR OPTIMAL PV RECONFIGURATION IN IRRIGATION SYSTEMS UNDER PARTIAL SHADING CONDITIONS

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ABSTRACT

Photovoltaic (PV) water pumping systems offer a sustainable solution for agricultural irrigation in regions where conventional energy sources are unreliable or expensive. However, partial shading (PS) significantly degrades PV performance and limits water delivery. This paper proposes a dynamic PV array reconfiguration strategy based on the Red-Tailed Hawk (RTH) optimization algorithm to mitigate PS effects. The reconfigured PV array, combined with maximum power point tracking (MPPT), supplies a brushless DC (BLDC) motor-driven water pumping system to enhance operational efficiency. The proposed method ensures stable steady-state operation while maintaining the PV system near the maximum power point under varying shading conditions. Performance evaluation is carried out in MATLAB using a 4×5 PV array subjected to dynamic shading caused by a tree, with comparisons made against the conventional total cross-tied (TCT) configuration using reported experimental data. The results demonstrate clear improvements in water flow, with average gains of 36 liters per hour in the first case and 111.6 liters per hour in the second case. These outcomes confirm the effectiveness of the proposed approach and highlight its potential for improving the sustainability and reliability of photovoltaic water pumping systems in energy-constrained agricultural regions.

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I. INTRODUCTION

Innovation and technology are essential in enhancing agricultural productivity. A noteworthy domain where substantial advancements are occurring is the incorporation of renewable energy sources (RESs) into agriculture, a highly significant trend. Agriculture is a vital industry in numerous countries, playing a crucial role in their economies. Currently, a significant proportion of farmers depend on conventional sources such as mains power or diesel engines to fulfill their water pumping requirements [1]. Nevertheless, the cost of fuel pumping has become progressively burdensome. Furthermore, expansive stretches of agricultural land are situated in isolated regions devoid of electrical infrastructure [2], [3]. Even in regions with electrical availability, the demand for water rises throughout the summer season, frequently aligning with power outages. Therefore, the use of PV water pumping emerges as a viable remedy to conserve energy, alleviate strain on the power grid, and diminish long-term energy expenses. However, partial shading is a significant obstacle to the effectiveness of solar water pumping systems, and addressing this issue is a challenge. The PS is commonly attributed to obstructions such as trees, dense vegetation, shrubs, utility poles, avian presence, topographical elevations, and rocks that create shadows on adjacent PV modules [4], [5]. Consistent shading of PV modules in a certain location can result in the formation of localized areas of high temperature, known as hot spots, which can potentially cause harm or damage. In order to alleviate this issue, bypass diodes are typically fitted on PV modules to prevent this occurrence.

Nevertheless, this arrangement frequently results in many peaks in the PV output, which substantially diminishes the total generated power of the PV array [6]. In this regard, several PV array configurations, including TCT (total-cross-tied) and HC (honeycomb), have been created to reduce mismatch losses and enhance efficiency. TCT topology has demonstrated the maximum power production in the majority of shading scenarios [6], [7]. However, no one topology consistently surpasses the others in every partial shading condition (PSC). To this end, numerous techniques for modifying the arrangement of PV arrays have been suggested in academic literature to enhance their power generation [8]. Static reconfiguration methods use fixed patterns to reduce shading effects and work well for predictable shading [9]. With modern sensors and processors, dynamic reconfiguration has emerged as an effective solution for variable shading conditions[9], [10]. Applied to TCT PV arrays, it balances irradiance to enhance power output [11], [12] , improving PV water pumping system efficiency. Dynamic reconfiguration is particularly suited for smaller PV arrays, stabilizing P–V characteristics and enabling conventional MPPT techniques to maximize energy extraction [13]. Many PV reconfiguration methods leverage various optimization algorithms, each exhibiting distinct strengths and weaknesses. Fathy's [14] butterfly optimization algorithm efficiently enhances power generation by structural redesign, yet it may struggle with computational complexity for large-scale arrays.

The democratic political approach [15] improves efficiency but may face scalability issues in larger systems. The grasshopper optimizer [16] shows promise in partial shading scenarios but can suffer from slow convergence rates. ACO [17] maximizes power extraction well but requires significant computational resources for larger arrays. The ken-ken puzzle method [18] is innovative in reconnecting shaded panels but might not always find the global optimum. Genetic Algorithms (GA) [19] are robust and versatile, though they can be computationally intensive and may converge to local optima. The Vommi optimization algorithm [20] maximizes power extraction efficiently but may require fine-tuning for different conditions. Particle Swarm Optimization (PSO)[21] is effective but can struggle with early convergence to suboptimal solutions. The Harris Hawks Optimizer (HHO)[22] provides good performance but lacks robustness in complex optimization challenges. Finally, the Honey Badger Algorithm (HBA)[23] and Artificial Bee Colony (ABC) [24] offer advanced methods but face issues such as prolonged convergence times, vulnerability to local optima, and high computational demands. Numerous researchers have explored PVWPSs, highlighting two main configurations: single-stage and two-stage configurations [25], [26]. In a single-stage configuration, regulating the DC link is complex [26].

Despite this complexity, single-stage topologies are considered more efficient due to their reduced number of components [27]. However, the two-stage power conversion approach offers greater flexibility in design, operation, and control. PVWPSs utilizing AC motors, particularly induction motors (IM), are often preferred due to their reliability, lower costs, and minimal maintenance requirements. Conversely, DC motors are typically employed in low-power solar PV water pumps [28]. Despite their usage, DC motors with brushes suffer from low efficiency and demand frequent maintenance because of the sliding brush contacts and the commutator. In contrast, three-phase brushless direct-current (BLDC) motors emerge as suitable alternatives owing to their high efficiency, compact design, and ease of operation [29]. Over the past decade, these attributes have made BLDC motors increasingly popular for water pumping applications, highlighting their advantageous characteristics in this specific field [28]. Although the wide PV reconfiguration techniques, their application for PVWPSs have not been addressed yet. To this end, a new dynamic PV array reconfiguration based on the RTH algorithm intended for a PVWPS considering PS is proposed in this paper. The main objective of this work is to improve the water flow of a PVWPS operating under PSCs. The main papers' contributions are:

- An innovative dynamic PV reconfiguration based on the RTH optimization algorithm is proposed. The RTH uses real-time irradiation data to reconfigure the modules within a PV array using switches, considering PSCs.
- The reconfigured PV array controlled by a P&O MPPT technique is applied for a water pumping system driven by a BLDC motor. The proposed algorithm allows the conventional P&O MPPT algorithms to perform optimally in achieving the global maximum power point even under PSCs, hence improving power and system performance.
- A comprehensive comparative study demonstrates the effectiveness of the proposed approach, showing clear improvements in water flow with average gains of 36 liters per hour in the first operating case and 111.6 liters per hour in the second case, compared to the conventional total cross-tied (TCT) configuration.

The paper's remainder is structured as follows: Section II presents the configuration and modeling of the system under study. Section III describes the proposed PV reconfiguration approach. The simulation results are discussed in Section IV. Finally, Section V ends with a conclusion.

II. PVWPS CONFIGURATION AND MODELING

The schematic diagram of the PVWPS under study is illustrated in Figure 1, highlighting essential elements such as a partially shaded TCT PV array, a switching matrix, power electronic converters (including a DC-DC boost converter and a DC-AC two-level inverter), a BLDC motor, and a pump with its associated control system. Additionally, it highlights the proposed RTH optimization algorithm, introduced to mitigate the PS effect by controlling the switching matrix. Furthermore, the MPPT controller used to track the PV MPP by controlling the DC-DC converter via PWM is also presented in this scheme. The modeling of elements included in the PVWPS is provided in the following paragraphs.

II.1 BLDC MOTOR

The mathematical model of the BLDC motor can be derived using the same approach as that of a three-phase synchronous machine. Thus, the equivalent circuit of the armature winding model for the BLDC motor can be defined as follows [30]:

$$\begin{cases} v_a = R.i_a + L\frac{di_a}{dt} + e_a \\ v_b = R.i_b + L\frac{di_b}{dt} + e_b \\ v_c = R.i_c + L\frac{di_c}{dt} + e_c \end{cases} \quad (1)$$

Where v_{abc} and i_{abc} denote the three-phase voltages and currents, R and L are the stator resistance and inductance, and e_{abc} are the motor voltages. Inputs to the BLDC motor control block include the Hall sequence number or rotor position from sensors like Hall effect sensors or encoders, along with torque direction. This information determines the rotor's sector position, enabling the calculation of the appropriate switching sequence. This sequence energizes motor phases to maintain a torque angle of 90 degrees (with a 30-degree deviation) relative to the stator magnetic field. For instance, Hall states that 5 triggers phase *A* and *C* to initiate motor rotation, optimizing efficiency as shown in Figure 2. While the calibration of the Hall sensor sequence ensures precise commutation logic, as detailed in Table 1.

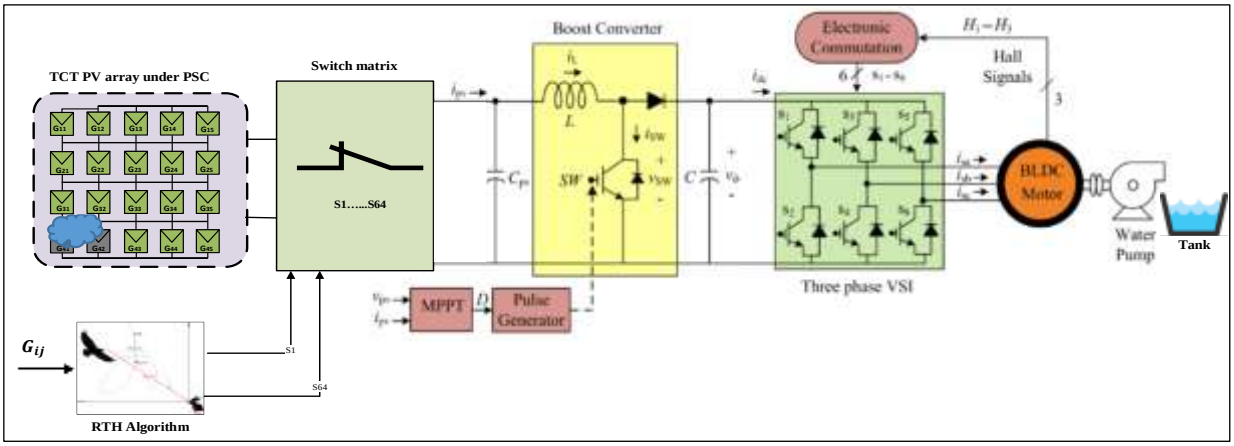


Figure 1: Schematic diagram of the PVWPS with the proposed reconfiguration-based RTH algorithm.
Source: Authors, (2026).

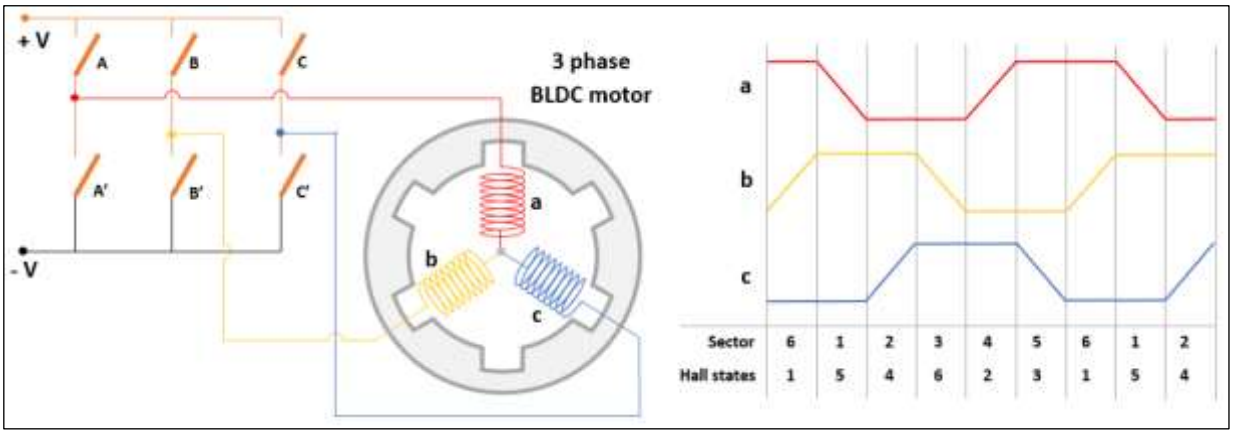


Figure 2: Simplified circuit diagram illustrating the control of BLDC motor phases via a three-phase bridge.
Source: Authors, (2026).

Table 1: Calibration of the Hall sensor sequence ensures precise commutation logic.

Position (θ)	Sector	Switching Sequence (AA' BB' CC')		
		AA'	**BB'**	**CC'**
[-30°, 30°]	1	00	10	01
[30°, 90°]	2	01	10	00
[90°, 150°]	3	01	00	10
[150°, 210°]	4	00	01	10
[210°, 270°]	5	10	01	00
[270°, 330°]	6	10	00	01

Source: Authors, (2026).

II.2 PV ARRAY MODELING

To guarantee that the PVWPS operates correctly, it is imperative that the power capacity of the PV array should be greater than that of the induction motor. In this regard, a TCT (4×4) PV array of 2.4 kW capacity is chosen to supply the BLDC induction motor. The TCT array current is calculated using the method described as [31]:

$$I_{ij(shaded)} = K.I_{ij(STC)} \quad (2)$$

with:

$$K = \frac{G_{ij}}{G_{STC}} \quad (3)$$

Being i and j the row and column number of an array, $I_{ij(shaded)}$ and $I_{ij(standard)}$ represent the module current, during shaded and standard irradiance (i.e., 1000 W/m^2), G_{ij} is the irradiance received by the ij module, and G_{STC} denotes the standard irradiance. Besides, the PV array voltage can be derived as follows [5]:

$$V_{PV} = \sum_{i=1}^{m} V_i \quad (4)$$

Where m indicates the total number of rows, i indicates the row number, V_i is the voltage of the i^{th} row, and V_{pv} represents the array voltage. Table 2 lists the specifications of the adopted PV module and the PV array.

Table 2: PV system characteristics.

Parameter	PV module	PV array
Maximum power (P_{mpp})[W]	150	2400
Maximum current (I_{mpp})[A]	4.35	17.4
Maximum voltage (V_{mpp}) [V]	34.6	138.4
Open circuit voltage (V_{ov}) [V]	43.6	174.4
Short circuit current (I_{sc}) [A]	4.85	19.4

Source: Authors, (2026).

II.3 DC-DC BOOST CONVERTER

The design of the converter plays a vital role in deciding the performance of the system. The values of α, L_{pv}, and C_{dc} parameters of the boost converter should be calculated using the continuous conduction mode (CCM) [32]. The boost converter duty cycle α can be obtained using the following method:

$$\alpha = \frac{V_{dc} - V_{mppv}}{V_{dc}} \quad (5)$$

The boost converter's inductance can be computed using the equation below:

$$L = \frac{\alpha.V_{mppv}}{f_s.\Delta I} \quad (6)$$

Where f_s is the switching frequency and ΔI is the current ripple. On the other hand, the DC bus voltage at the inverter input, V_{dc}, can be calculated using the following relationship:

$$V_{dc} = \frac{2\sqrt{3}V_{LL}}{\sqrt{3}} \quad (7)$$

With V_{LL} is the RMS line voltage of the induction motor. The capacitor of the DC bus is calculated by:

$$C_{dc} = \frac{6\,\alpha V_{LL} I_L t}{\sqrt{3}\,({V_{dc}}^{*2} - {V_{dc}}^{2})} \quad (8)$$

Where ${V_{dc}}^*$ and V_{dc} are the reference and actual values of the DC bus voltage, respectively, t stands for the time for which the DC link voltage is to be changed, and I_L is the line current.

II.4 CENTRIFUGAL PUMP MODELLING

The load torque of a centrifugal pump (T_p) is proportional to the square of the induction motor speed (Ω), as shown in the equation below [33]:

$$T_p = K_p \Omega^2 \quad (9)$$

where K_p is the proportionality constant that can be determined by the following equation:

$$K_p = P_{np}/\Omega_{rn}^3 \quad (10)$$

The water flow and pressure of the pump are determined by the head of the pump and the mechanical power available at the rotating impeller. The use of affinity laws, which simply necessitate the pump's ratings and actual input parameters such as rotor speed and torque[34], could streamline the calculation of the pump's output characteristics.

$$\begin{cases} H' = (\frac{\Omega_r}{\Omega_{rn}})^2 . H \\ Q' = (\frac{\Omega_r}{\Omega_{rn}})^2 . Q \\ P' = (\frac{\Omega_r}{\Omega_{rn}})^2 . P \end{cases} \quad (11)$$

Where H, Q, and P represent the rated parameters of the pump when it is operating at the rated speed, Ω_{rn}, while H', Q', and P' represent the parameters of the pump when it is operating at a specified speed, Ω_r.

III. PROPOSED RTH-BASED PV ARRAY RECONFIGURATION

This section focuses mainly on describing the proposed reconfiguration method based on the RTH optimization algorithm intended for improving the PV-based pumping system working under PSCs. However, before that, the effect of the PS on a PV array is first investigated. In addition, the PO-MPPT controller is highlighted at the end of this section.

III.1 PARTIAL SHADING EFFECT

Partial shading in photovoltaic systems causes power losses due to current and voltage mismatches, leading to multiple local maxima on the P–V curve that conventional MPPT algorithms struggle to handle. Shaded modules generate less current, may act as loads, and can develop hot spots that damage the panels. Irradiance variations significantly affect the P–V characteristics, as illustrated in Figure 3.

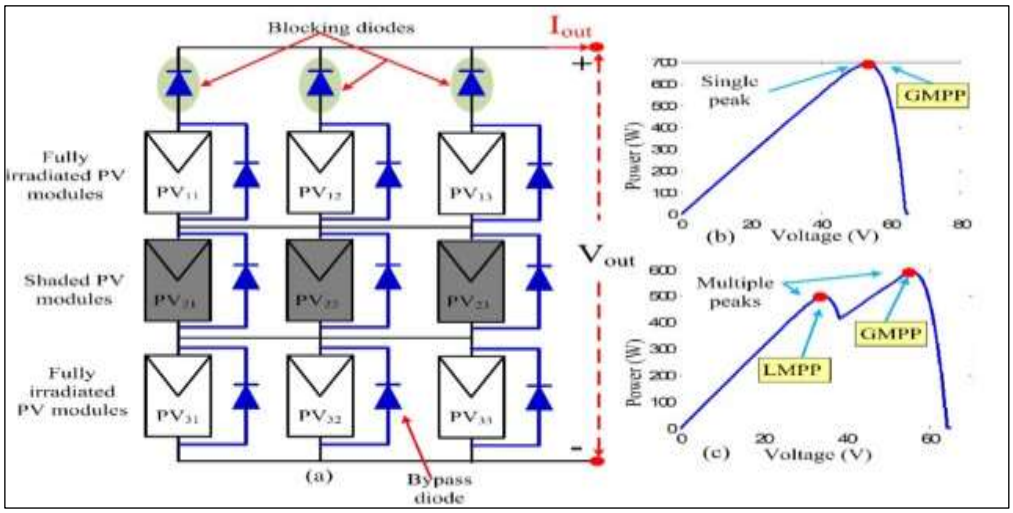


Figure 3: Impact of irradiation changes on the P-V curves: (a) shaded PV structure, (b) uniform irradiation, and (c) PSCs.
Source: Authors, (2026).

III.2 RTH-BASED PV ARRAY DYNAMIC RECONFIGURATION

This study focuses on a total cross-tied (TCT) PV array configuration due to its ability to maximize power under shading conditions [35]. A dynamic reconfiguration strategy is applied, using irradiance sensor data from each module to control switching. The proposed Red-Tailed Hawk (RTH) algorithm optimally determines PV module configurations to track the maximum power point (MPP). Inspired by the hunting behavior of red-tailed hawks, the RTH algorithm combines evolutionary and swarm optimization principles through three main stages—high soaring, low soaring, and stooping—allowing efficient and adaptive problem-solving for complex PV reconfiguration tasks:

i) It starts with a high-soaring phase, akin to how evolutionary algorithms search for solutions in a broad space initially [2]. Figure 4(a) illustrates the behavior of the red-tailed hawks during the high soaring stage, and (11) represents the mathematical model of this stage:

$$X(t) = Xbest + \big(Xmean - X(t-1)\big). Levy(\dim). \mathrm{TF(t)} \quad (12)$$

Where $X(t)$ represents the RTH position at the iteration t, X_{best} is the best-obtained position, X_{mean} is the positions' mean, Levy represents the levy flight distribution function that can be calculated according to (15), and $TF(t)$ denotes the transition factor function that can be calculated according to (14).

$$Levy(\dim) = s\frac{\mu.\sigma}{|v|^{\beta-1}} \quad (13)$$

with

$$\sigma = \left(\frac{\Gamma(1+\beta).\sin(\frac{\pi\beta}{2})}{\Gamma(1+\beta/2).\beta.2^{(1-\beta/2)}} \right)$$

$$\mathrm{TF(t)} = 1 + \sin\left(2.5 + \left(\frac{\mathrm{t}}{T_{max}}\right)\right) \tag{14}$$

While *s* is a constant (0.01), *dim* is the problem dimension, β is a constant (1.5), *u* and υ are random numbers between 0 and 1, and T_{max} represents the maximum number of iterations.

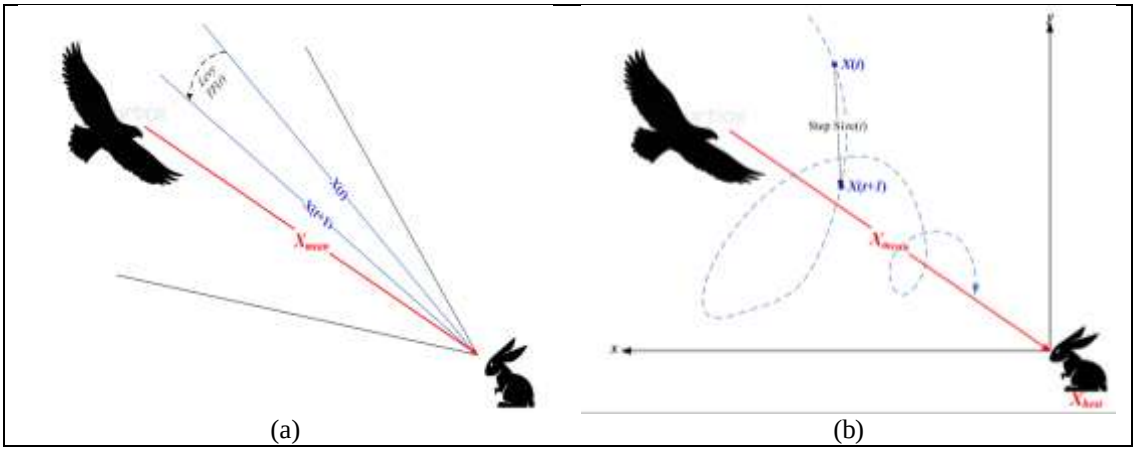
ii) The second stage involves a gradual descent toward the best solution, emulating the behavior of hawks as they close in on their target during hunting. This phase resembles the systematic exploration of the solution space. This stage is illustrated in Figure 4(b), and its model can be expressed as follows:

$$\mathrm{X(t)} = X_{best} + \big(x(t) + y(t)\big).StepSize(t) \tag{15}$$
$$StepSize(t) = X(t) - X_{mean}$$

where *x* and *y* denote direction coordinates which can be calculated as follows:

$$\begin{cases} x(t) = R(t).\sin(\theta(t)) \\ y(t) = R(t).cos(\theta(t)) \end{cases}; \begin{cases} R(t) = R_0.\left(r - \dfrac{t}{T_{\max}}\right).rand \\ \theta(t) = A.\left(1 - \dfrac{t}{T_{max}}\right).rand \end{cases}; \begin{cases} x(t) = x(t)/max|x(t)| \\ y(t) = y(t)/max|y(t)| \end{cases} \tag{16}$$

Where R_0 represents the initial value of the radius [0.5–3], *A* denotes the angle gain [5–15], *rand* is a random gain [0–1], and *r* is a control gain [1, 2]. These parameters help the hawk fly around the prey with spiral movements, as explained in Figure 5(a).



(a) (b)

Figure 4: The behavior of red-tailed hawk during the (a) high soaring stage and (b) low soaring stage.
Source: Authors, (2026).

iii) In the final stage of the algorithm, known as stooping and swooping, the algorithm refines the search around the best solution found so far by incorporating information from previous iterations. This phase represents the focused exploitation of the best regions identified in the search space. This stage can be modeled as follows:

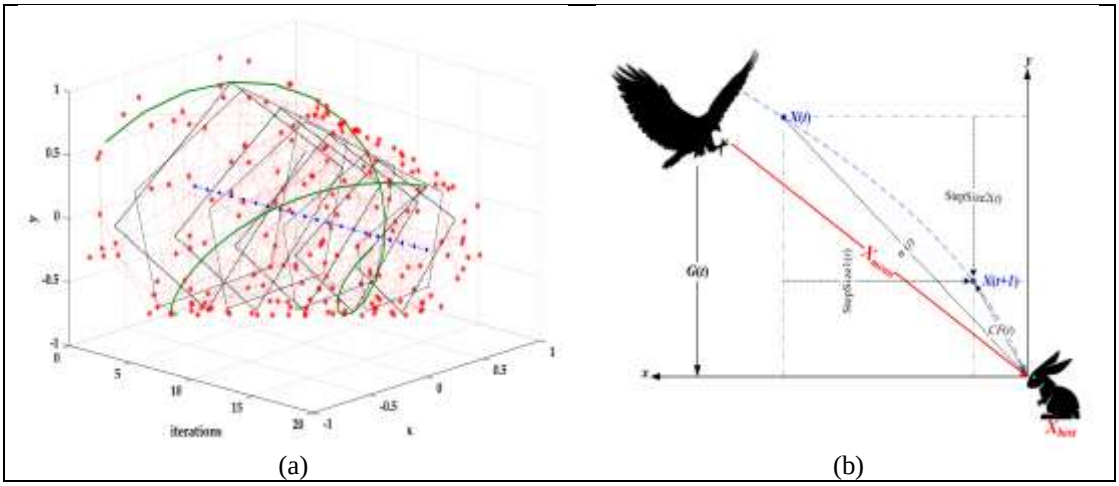
$$X(t) = \alpha(t).X_{best} + x(t).StepSize1(t) + y(t).StepSize2(t) \tag{17}$$

where each step size can be calculated as follows:

$$\begin{cases} StepSize1(t) = X(t) - TF(t).X_{mean} \\ StepSize2(t) = G(t).X(t) - TF(t).X_{best} \end{cases} \tag{18}$$

With α is the hawk's acceleration that increases with the increase of *t* to enhance the convergence speed, and *G* is the gravity effect that decreases to reduce the exploitation diversity when the hawk is much near the prey as Figure 5(b) explains. These parameters are defined as follows:

$$\begin{cases} \alpha(t) = sin^2(2.5 - \frac{t}{T_{max}}) \\ G(t) = 2.(1 - \frac{t}{T_{max}}) \end{cases} \tag{19}$$



(a) (b)

Figure 5: (a) Evolution of the direction coordinates as a function of iterations and (b) behavior of red-tailed hawk during stooping and swooping stages.
Source: Authors, (2026).

III.3 APPLICATION OF THE RTH ALGORITHM FOR PV RECONFIGURATION

To apply the proposed algorithm for mitigating PS, the initial phase involves detecting PS by calculating the fitness function. This function evaluates the error value to facilitate efficient power generation from the PV system. Consequently, the fitness function is formulated to equalize irradiance across the TCT PV array. The fitness function aims to optimize the configuration of PV panels to minimize row current and prevent bypass diode activation. The objective function of the proposed system is mathematically expressed as:

$$fitness = \text{minimize}\big(max\big(sum\ G(n,1)\big) - min\big(sum\ G(n,1)\big)\big) \quad (20)$$

If no PS is detected, reconfiguration is unnecessary. However, if PS is detected, the RTH algorithm initiates to determine the optimal positioning of PV modules. Initially, the algorithm generates a random arrangement of PV modules to commence the three phases: High Soaring, Low Soaring, and Stooping and Swooping. Upon meeting the termination criteria, the RTH algorithm provides the optimal PV array reconfiguration using switch control to initiate the MPPT. Figure 6 illustrates the comprehensive flowchart of the proposed strategy, encompassing the detection of PS followed by the reconfiguration of the PV array using the RTH algorithm.

III.4 P&O MPPT CONTROL ALGORITHM

The Perturb and Observe (P&O) method is a straightforward iterative technique used for MPPT. This method perturbs the operating point of the PV system, causing the terminal voltage of the PV array to oscillate around the MPP voltage, even when solar irradiation and cell temperature remain constant. The flowchart of the P&O algorithm is depicted in Figure 7 [36].

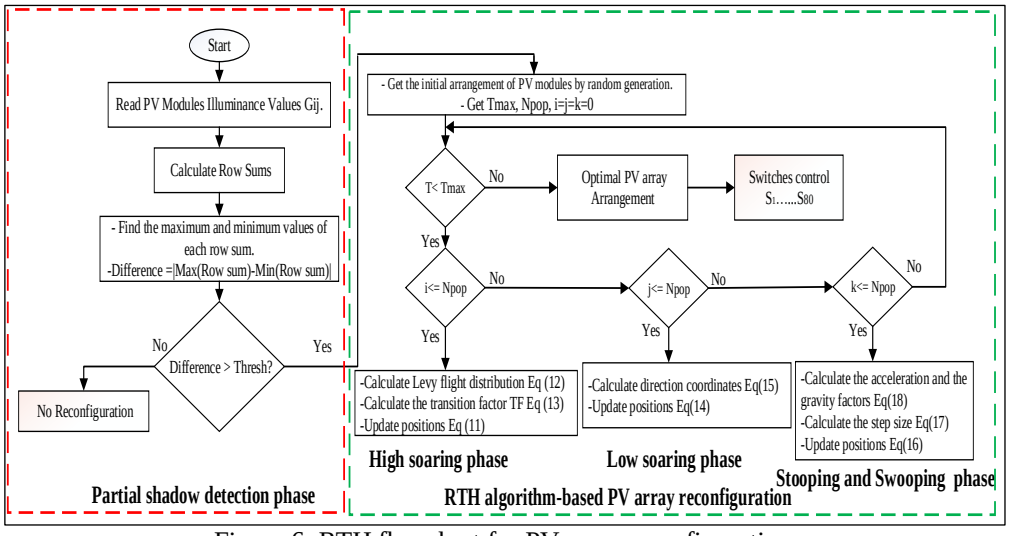


Figure 6: RTH flowchart for PV array reconfiguration.
Source: Authors, (2026).

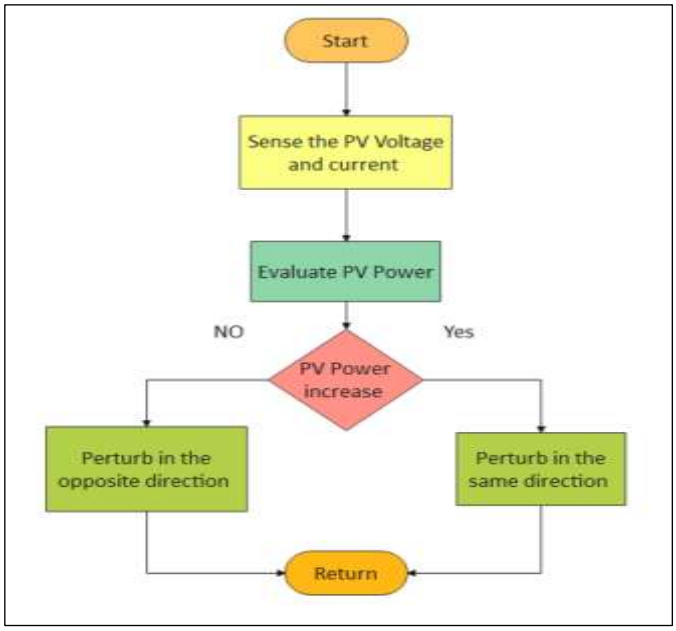


Figure 7: P&O algorithm Flowchart.
Source: Authors, (2026).

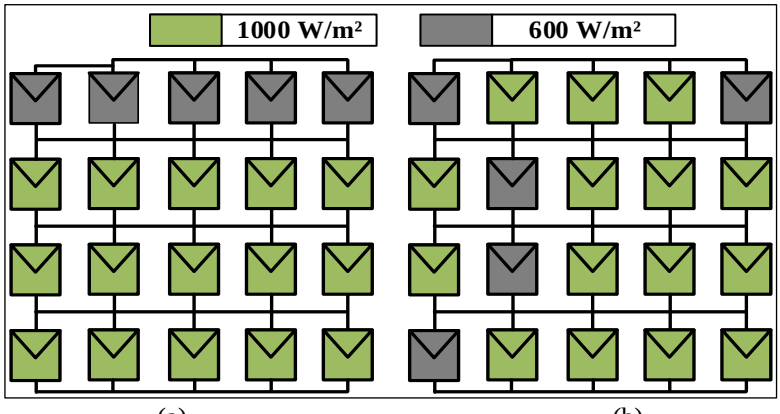
IV. SIMULATION RESULTS

The performance of the proposed system is evaluated through MATLAB/Simulink simulations considering three partial shading conditions.

IV.1 CASE 1

As shown in Figure 8(a), the 20-module PV array connected in a TCT configuration experiences uneven irradiance levels of 1000 W/m² and 600 W/m². In this scenario, substantial shading affects several modules, with the first row being the most impacted. The resulting arrangement is shown in Figure 8(b), which is employed to compute the output power. The switch matrix alters the module position to enhance the output power. The P-V characteristics of both configurations are represented in Figure 9. This figure demonstrates the effectiveness of the RTH-based reconfiguration approach in achieving a more uniform distribution of shadow levels across the PV array, resulting in consistent PV characteristics by minimizing the disparity in row currents. Particularly, by inspecting the P-V curve, it is seen that the power produced by the RTH (2.673 kW) outperforms that of the initial TCT interconnection (2.241 kW), with a single point of MPP instead of two MPP for the initial TCT arrangement, i.e., the lower number of MPP influenced the accuracy of the MPPT algorithm.

Figure 10 shows the response of the PV array power before and after reconfiguration based on the RTH algorithm. It is observed that PV array power increased by more than 19.27% after RTH reconfiguration. Note that the delay is due to the reconfiguration time of the PV array. Further, Figure 11 presents the electromagnetic torque, *Te*, response of the PV array with TCT reconfiguration and with RTH-based reconfiguration. The results highlight that the reconfiguration advantage in the electromagnetic torque results in a lower torque ripple. Moreover, Figure 12 shows the rotor speed evolution using the RTH reconfiguration technique. The findings demonstrate that the rotor speed after RTH PV array reconfiguration under PSC is better than (more than 1042 rpm) the initial configuration TCT without reconfiguration (998 rpm). The water flow evolution obtained is shown in Figure 13. It can be seen that the quantity of the pumped water under PSC using the proposed RTH algorithm reconfiguration is increased by more than 4,27 %.



(a) (b)

Figure 8: Shading patterns for Case 1: (a) TCT configuration and (b) proposed RTH arrangement.
Source: Authors, (2026).

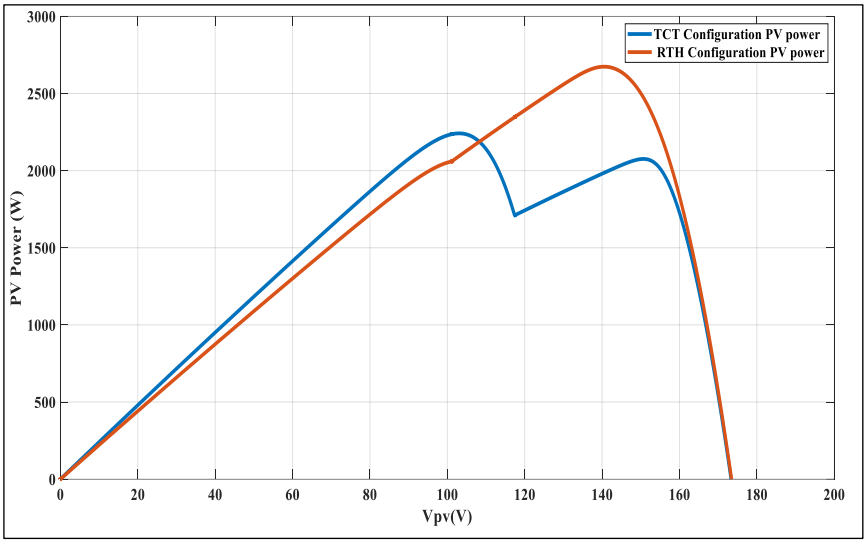


Figure 9: PV characteristics for Case 1 obtained using the TCT configuration and the proposed RTH algorithm.
Source: Authors, (2026).

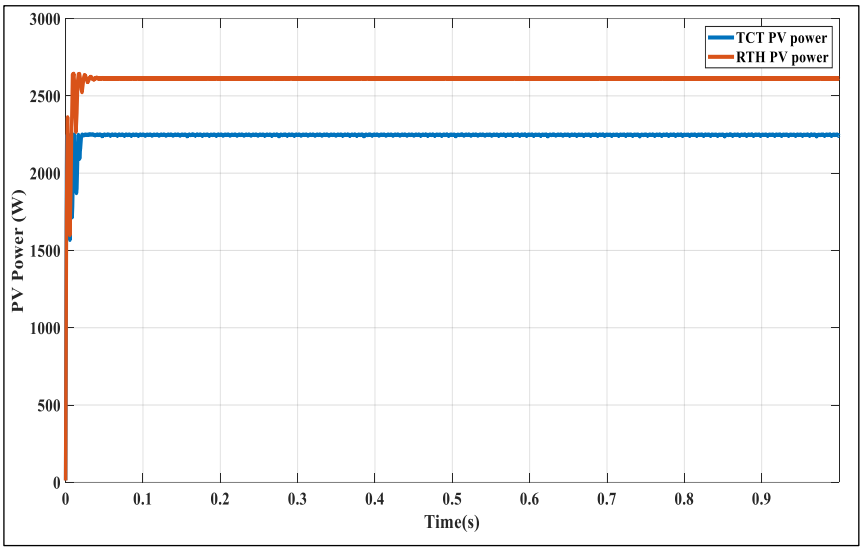


Figure 10: Comparison of PV array power for Case 1 under the conventional TCT interconnection and the proposed RTH-based reconfiguration.
Source: Authors, (2026).

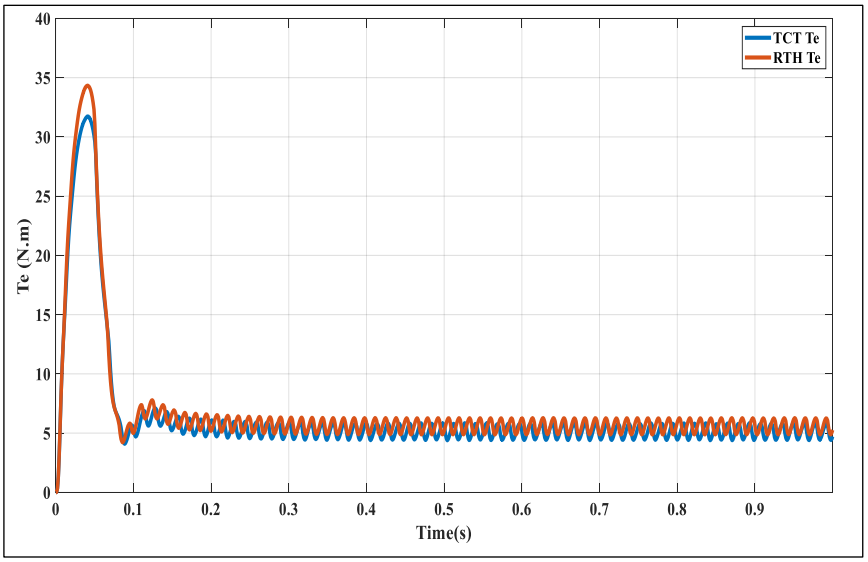


Figure 11: Motor electromagnetic torque for Case 1 before and after PV array reconfiguration.
Source: Authors, (2026).

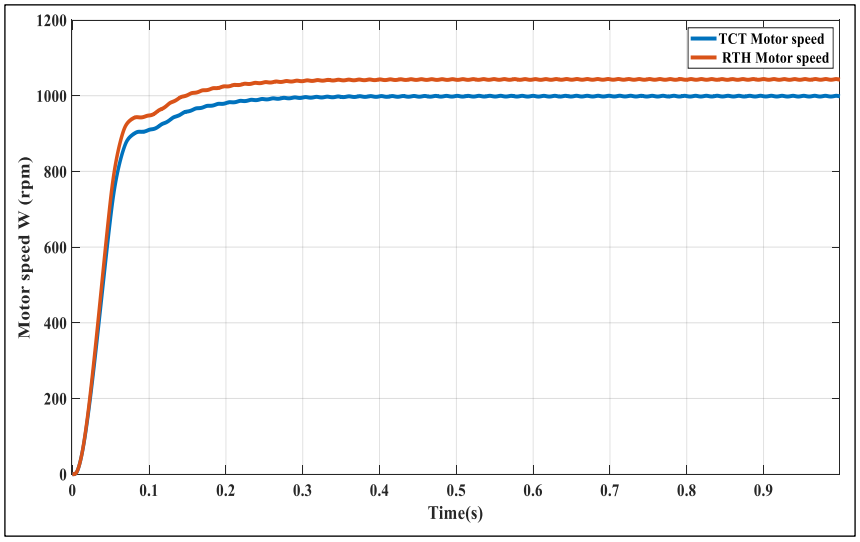


Figure 12: PV array power before (TCT interconnection) and after reconfiguration (RTH arrangement) for case 1.
Source: Authors, (2026).

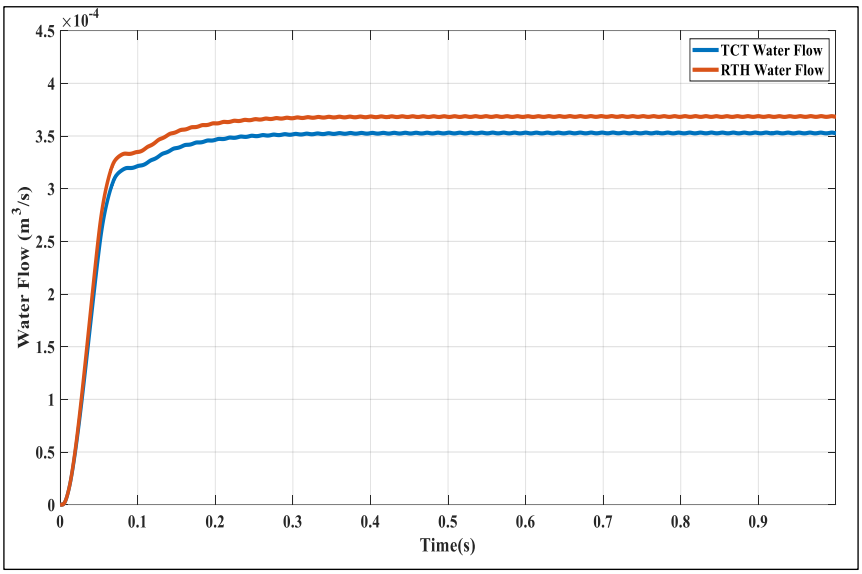


Figure 13: Comparison of PV array power for Case 1 under the conventional TCT interconnection and the proposed RTH-based reconfiguration.
Source: Authors, (2026).

IV.2 CASE 2

Figure 14(a) shows the PV array interconnected in TCT under PSC. The PV array encounters three distinct irradiation levels: 300 W/m², 500 W/m², and 1000 W/m².The arrangement shown in Figure 14(b) provides a way to improve the power output using the proposed RTH algorithm. The repositioning of the PV modules is performed using the switch matrix. After reading the irradiance value of the PV modules, the proposed algorithm sends the switching states to the switching matrix, which changes the position of the module to improve the output power. In addition, Figure 15 displays the P-V characteristics in graphical form. This shows clearly the effectiveness of the RTH-based reconfiguration approach in achieving a more uniform distribution of shadow levels in the PV array, resulting in consistent PV characteristics by minimizing the disparity in row currents. Notably, upon inspecting the P-V curve, it becomes clear that the power produced by the RTH algorithm exceeds that of the original TCT interconnection, with only one point of maximum power MPP rather than two MPPs for the initial TCT arrangement; that is, the lesser number of MPPs affected the accuracy of the MPPT algorithm positively. Figure 16 illustrates the PV array power before and after applying the RTH-based reconfiguration.

The results show an increase in output power of over 42%, with a minor delay attributed to the reconfiguration time of the array. Additionally, the TCT configuration exhibits three local maximum power points (MPPs), where the conventional P&O MPPT algorithm fails to track the global MPP, producing approximately 1.470 kW instead of the optimal 2.100 kW. This highlights the critical influence of PV array topology on MPPT performance. Figure 17 compares the electromagnetic torque of the motor with and without PV array reconfiguration. The RTH-based approach effectively reduces torque ripple and enhances torque stability. Similarly, Figure 18 shows the rotor speed improvement achieved through the RTH reconfiguration, reaching over 980 rpm under partial shading conditions (PSCs), compared to a maximum of 889 rpm with the original TCT setup. Regarding water delivery, Figure 19 shows that implementing the RTH algorithm results in an increase of more than 11.57% in pumped water under PSCs. This notable improvement demonstrates the effectiveness of the proposed RTH-based reconfiguration strategy in enhancing the overall performance of PV water pumping systems.

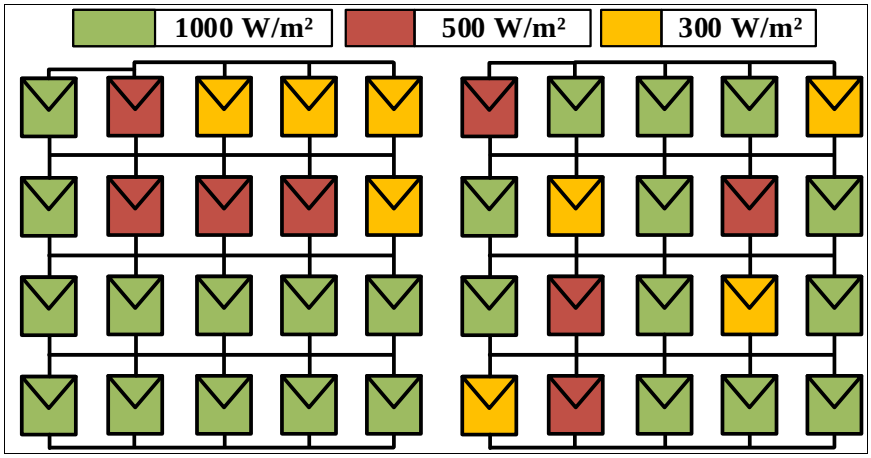


Figure 14: Illustration of shade dispersion in Case 2 under (a) the conventional TCT configuration and (b) the PV array with the proposed RTH reconfiguration.
Source: Authors, (2026).

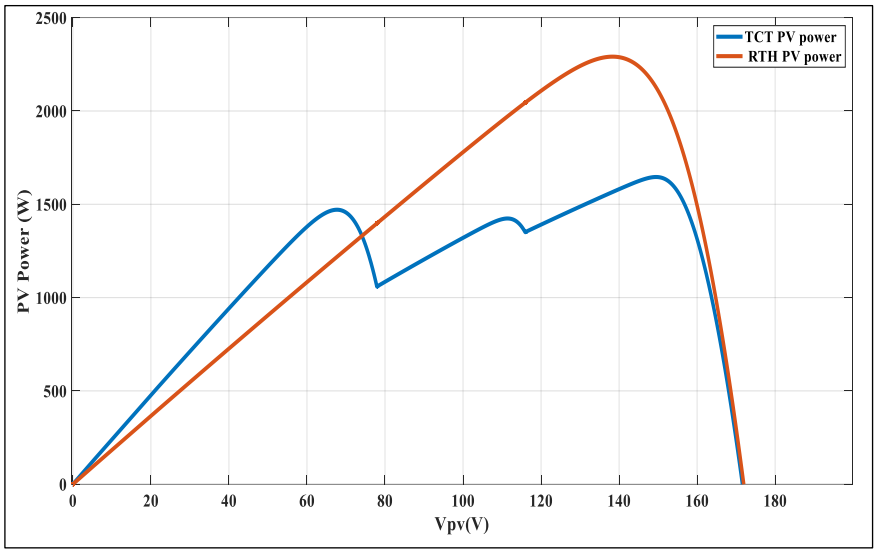


Figure 15: Comparison of PV characteristics for Case 2 under the conventional TCT configuration and the proposed BWO-based reconfiguration.
Source: Authors, (2026).

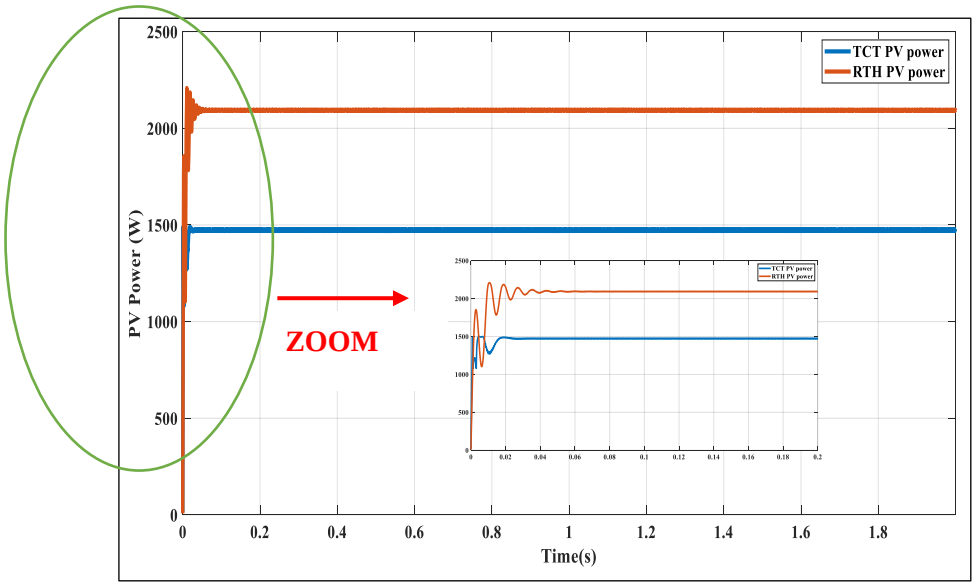


Figure 16: Comparison of PV array power for Case 2 under the conventional TCT interconnection and following RTH-based TCT reconfiguration.
Source: Authors, (2026).

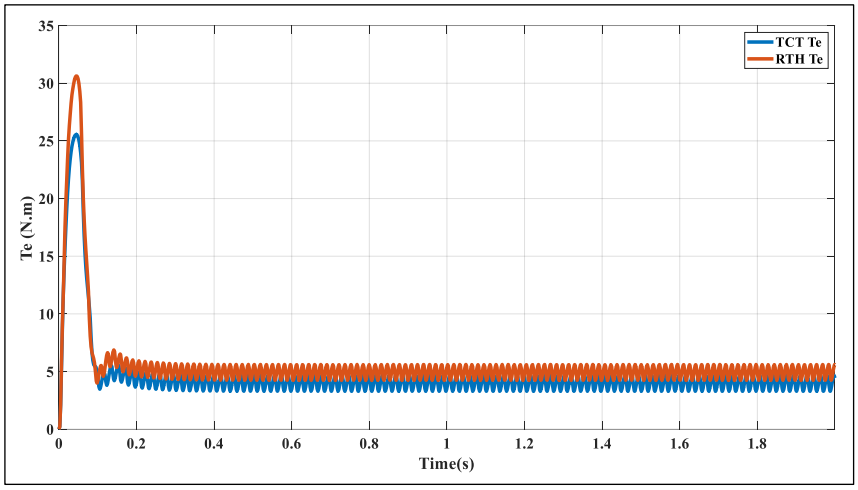


Figure 17: Comparison of motor electromagnetic torque for Case 2 under the original PV array configuration and after RTH-based reconfiguration.
Source: Authors, (2026).

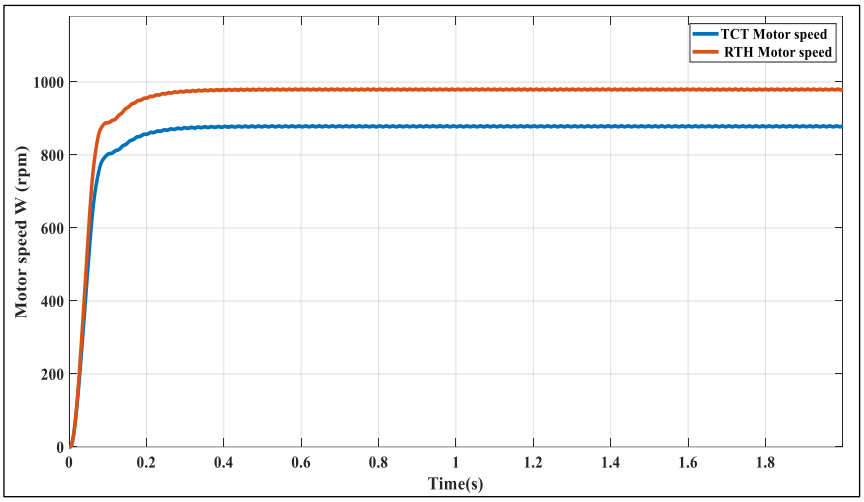


Figure 18: Comparison of motor speed for Case 2 under the original PV array configuration and following RTH-based reconfiguration.
Source: Authors, (2026).

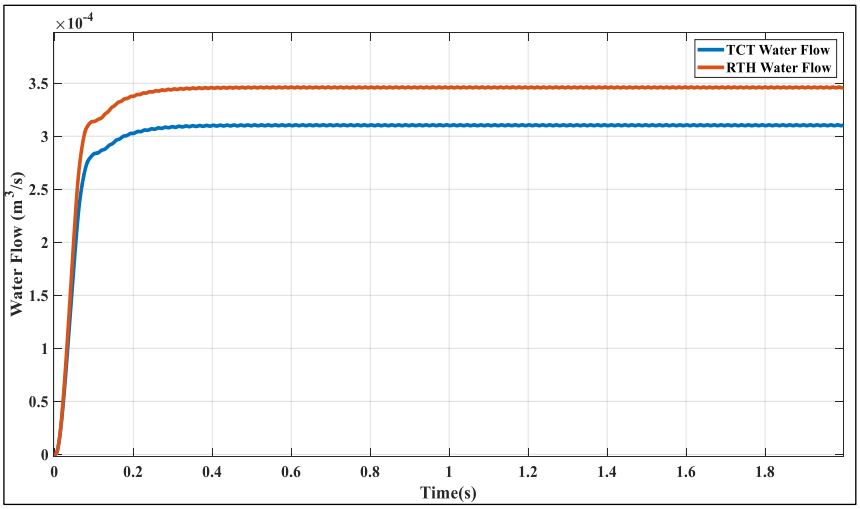


Figure 19: Comparison of water flow for Case 2 under the original PV array configuration and after RTH-based reconfiguration.
Source: Authors, (2026).

Table 3 presents a comparison of the overall performance indices of the PV water pumping system (PVWPS) under partial shading conditions (PSCs). The water gain for each scenario is computed using Equation (21), allowing an assessment of the effectiveness of the proposed reconfiguration strategy in enhancing water delivery under different shading patterns.

$$\text{Gained water (l/h)} = (Q_{RTH} - Q_{TCT}) \times 1000 \times 3600 \quad (21)$$

The performance indices in Table 3 clearly demonstrate the efficiency of the proposed algorithm. The system maintains stable steady-state operation and ensures satisfactory water delivery under partial shading (PS) conditions, while operating at the maximum power point (MPP). The results indicate a significant improvement in water flow, with average gains of 36 litres per hour in the first case and 111.6 liters per hour in the second case. This enhancement supports the development of sustainable photovoltaic water pumping systems in regions with limited access to conventional energy sources.

Table 3: Performance comparison of PVWPS under PSCs.

N°	cases	Used technique	P_{pv} (W)	W (rpm)	T_e (N.m)	Q ($m^3/s)10^{-4}$	Gained water (l/h)
1	Case 1	Without reconfiguration (TCT)	2243	999	5.01	3.5	36
2		With reconfiguration (RTH)	2612	1042	5.21	3.6	
3	Case 2	Without reconfiguration (TCT)	1476	877	3.33	3,09	111,6
4		With reconfiguration (RTH)	2096	979	4.71	3,4	

Source: Authors, (2026).

V. CONCLUSIONS

This research proposes a new control method for improving the water flow of a WPS based on PV under partial shadowing. In this proposed method, the RTHA optimization algorithm is adopted for dynamic PV array reconfiguration in an offline manner, considering PSCs. The MPPT-controlled reconfigured PV array is intended for supplying a BLDC motor-based WPS. The proposed control approach keeps PV systems near their MPP despite shading, thus improving power-voltage curves, efficiency, and water flow. The obtained results show a noticeable improvement in water delivery, with average gains of 36 liters per hour in the first operating case and 111.6 liters per hour in the second case. These improvements highlight the capability of the proposed approach to adapt the pumping operation to the available PV power while preserving system stability. Overall, this work contributes to the development of sustainable and efficient photovoltaic water pumping solutions, particularly suitable for remote and energy-constrained regions where access to conventional power sources is limited.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Abdelouaoud Loukriz, Abderrahim Zemmit, Ahmed Bendib, Moadh Kichen.
Methodology: Abdelouaoud Loukriz, Abderrahim Zemmit, Ahmed Bendib, Moadh Kichen.
Investigation: Abdelouaoud Loukriz, Abderrahim Zemmit, Ahmed Bendib, Moadh Kichen.
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RESEARCH ARTICLE OPEN ACCESS

IMPROVEMENT IN BER PERFORMANCE OF GFDM BASED 5G COMMUNICATION SYSTEM USING NEW HYBRID ERROR-CORRECTING CODE

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ABSTRACT

In 5G wireless communication system, Generalized frequency division multiplexing (GFDM) is a promising substitute to OFDM that offers improved spectral efficiency and lower PAPR. However, performance of GFDM based wireless communication system can still be degraded by channel impairments such as noise and fading. The error correction codes are one of the techniques used for improving the performance. Different error correction codes are used for error correction in 4G and 5G communication system. This paper proposes a hybrid error-correcting code (ECC) scheme that combines polar code and convolution code to improve the bit error rate (BER) performance of GFDM compare to conventional ECCs. Simulation results illustrate that the proposed hybrid ECC scheme outperforms traditional error correcting code, in terms of BER performance. The proposed scheme also achieves near-optimal BER performance under various channel conditions.

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I. INTRODUCTION

In 5G wireless system, non-orthogonal multiple access with different modulation techniques like GFDM, FBMC, UFMC etc are used in place of OFDM i.e. promising technique for 4G, to achieve better performance to meet the required specification. GFDM is a promising modulation scheme that offers several advantages over OFDM, including lower PAPR, better spectral efficiency, and improved robustness against channel impairments [1-2]. Error-correcting codes are used in GFDM to lessen the effects of channel impairments such as fading and channel noise. Error correcting code (ECC) schemes can be broadly classified into convolutional codes and block codes as shown in the figure 1 [3]. Block codes, such as Reed-Solomon code, encode a fixed-length block of data into a longer codeword. Convolutional codes, on the other hand, encode a continuous stream of data bits into a longer stream of code bits.

Recently, polar codes have emerged as a powerful class of block codes with near-optimal error correction capability. Polar codes are constructed from a simple channel transformation that polarizes the channel into a set of high-capacity and low-capacity channels. By carefully selecting the encoding and decoding indices, polar codes can achieve near-capacity performance over a wide range of channel conditions [3]. This paper, proposes a hybrid ECC scheme that combines polar code and convolution code to improve the BER performance of GFDM. The proposed scheme first encodes the GFDM data using polar code. The polar code encoded data is then interleaved to spread the errors and improve the performance of the subsequent convolutional code. Finally, the interleaved data is encoded using a convolutional code. The resulting coded data is then transmitted over the Raleigh channel.

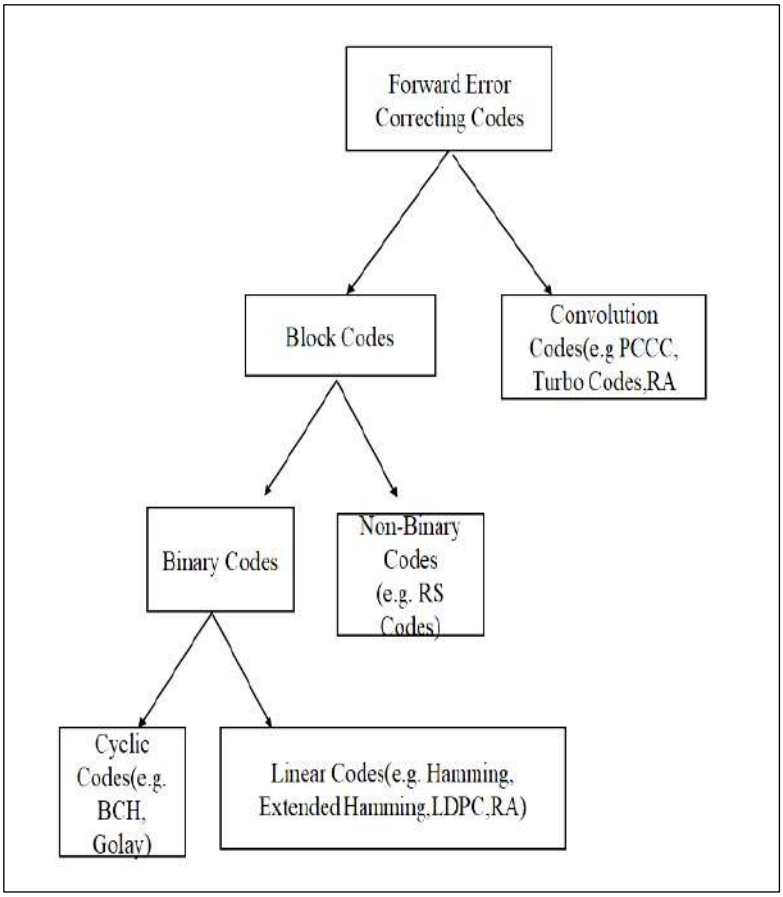


Figure 1: Classification of error correcting codes.
Source: [3].

II. GENERALIZED FREQUENCY DIVISION MULTIPLEXING (GFDM)

[4-10] reviews and analyzes 5G technologies such as Universal Filtered Multicarrier (UFMC), Filter Bank Multicarrier (FBMC), Filtered-Orthogonal Frequency Division Multiplexing (F-OFDM), and Generalized Frequency Division Multiplexing (GFDM). Generalized Frequency Division Multiplexing (GFDM) is a promising non-orthogonal waveform for next-generation wireless communication systems. It offers flexible subcarrier and time-slot configurations while reducing out-of-band emissions. However, GFDM exhibits higher interference levels compared to Orthogonal Frequency Division Multiplexing (OFDM), necessitating robust error correction techniques. Generalized Frequency Division Multiplexing (GFDM) is a modulation scheme where each subcarrier is individually and independently modulated with multiple symbols. In this process, each subcarrier is passed through a circularly shifted prototype filter applied in both the time and frequency domains. This filtering approach is designed to reduce out-of-band emissions (OOBE), thereby enabling flexible spectrum allocation, such as split-spectrum and dynamic spectrum distribution, without causing significant interference to the GFDM system itself or to neighbouring users. [11] To enhance the reliability of GFDM transmission, this study integrates Convolutional Coding and Polar Coding. Convolutional codes provide strong error correction with low decoding complexity, while Polar codes, known for achieving Shannon capacity, further improve robustness. The combined GFDM system is evaluated over a Raleigh fading channel in terms of Bit Error Rate (BER) performance [12].

III. CHANNEL CODING

In order to provide dependable data transmission, channel coding is utilized to mitigate the effects of a channel. In order for the recipient to identify and perhaps fix transmission faults, this technique adds redundant bits to the message being sent. Linear error-correction codes, such as Turbo and Convolutional codes, are employed in 4G networks. Polar codes and Low-Density Parity Check (LDPC) codes were suggested by the Third Generation Partnership Project (3GPP) for 5G networks. [13]

III.1 CONVOLUTION CODES

Convolutional codes are a class of error-correcting codes that operate by transforming the input bitstream into coded output symbols using convolution operations. Unlike block codes, which encode data in discrete blocks, convolutional codes process data in a continuous stream, making them particularly suitable for real-time communication systems. The encoding is performed using shift registers and modulo-2 adders, and the output depends not only on the current input but also on a number of previous input bits, known as the constraint length. In this paper the most common decoding techniques for convolutional codes is used which is Viterbi algorithm [14-16].

III.2 POLAR CODES

First introduced by Erdal Arıkan in 2009, represent a groundbreaking class of capacity-achieving error-correcting codes for binary-input symmetric memoryless channels. The concept of channel polarization forms the basis of polar codes, wherein certain synthesized channels become extremely reliable while others become highly unreliable as the code length increases. Data is transmitted only over the reliable channels, with the remaining channels assigned fixed, known values (frozen bits). Information bits are transmitted over the reliable subchannels, while fixed (frozen) bits are sent over the unreliable ones. Polar codes are known for their low encoding and decoding complexity of O (N log N), where N is the code length. Due to their capacity-achieving properties and structured construction, polar codes have been adopted as part of the control channel coding scheme in the 5G New Radio (NR) standard, particularly for eMBB (enhanced Mobile Broadband) scenarios. [17-23]

IV. SYSTEM MODEL

The data for simulating the GFDM system is x which is the sequence of bits. These bits sequence is coded by convolution and polar code. The output sequence $y_i[n]$ of convolution coding for the i-th output at time n can be expressed as:

$$Y_i[n] = \sum_{j=0}^{k-1} \sum_{l=0}^{m} g_{i,j}[l] x_j[n-l] \quad (1)$$

where,

$x_j[n-l]$: Input sequence for the j-th input at time n-l
$g_{i,j}[l]$: Coefficient of the generator polynomial connecting the j-th input to the i-th output with l representing the delay.[24]
Further polar code is applied on y[n] as follows,

$$w = y * G_N \quad (2)$$

Where y is the input vector consisting of information and frozen bits and w is the encoded output vector. [25] Given $N=2^n$ independent copies of a binary-input discrete memoryless channel (B-DMC) W, combine them to form a vector channel W_N. This combination is achieved using a transformation matrix

$$G_N = B_N F^{\otimes N}$$

where,

$F = \begin{bmatrix} 1 & 0 \\ 1 & 1 \end{bmatrix}$ is the basic polarization matrix.
$F^{\otimes N}$ denotes the n-th Kronecker power of F and B_N is a bit-reversal permutation matrix.
The transformation G_N polarizes the channels, resulting in the sets of synthesize channels $W_N^{(i)}$ for i=0,1,…,N-1.

IV.1. MODULATION QAM

Let GFDM block consists of K number of subcarriers allotted in total M number of time slots, then the modulated GFDM symbol (S(n)) can be expressed as,

$$S(n) = \sum_{k=0}^{K-1} \sum_{m=0}^{M-1} d_{k,m}\ g_{k,m}\ (n) \quad (3)$$

where:

K = Number of subcarriers
M = Number of time slots
$d_{k,m}$ = QAM-modulated data symbol at subcarrier k and time slot m
$g_{k,m\,(n)}$ is the filter response corresponding to $d_{k,m}$.
The $g_{k,m\,(n)}$ can be expressed as **:**

$$g_{k,m}(n) = g(n-mM) e^{j2\pi kn/K} \quad (4)$$

Where: g(n) is the pulse-shaping function (typically a raised cosine filter) and mM is Time shift applied to the pulse for time slot mm $e^{j2\pi kn/K}$ = Frequency shift applied to map the pulse to subcarrier k. This formulation allows GFDM to provide flexibility in spectrum shaping while maintaining good spectral efficiency. Unlike OFDM, which uses orthogonal subcarriers without time-domain overlapping, GFDM introduces time-domain flexibility, making it suitable for applications like 5G and IoT **[**26].

V. SIMULATION FRAMEWORK AND RESULTS

The proposed communication system architecture shown in figure 2 integrates hybrid channel coding with Generalized Frequency Division Multiplexing (GFDM) to enhance data reliability and spectral efficiency in wireless environments. Initially, a random binary data stream is encoded using a hybrid coding scheme that combines convolutional and polar codes, leveraging the error-correction strengths of both. The encoded bits are interleaved and mapped onto QAM symbols, followed by sub-band allocation. These symbols are converted from serial to parallel and processed through an N-point IFFT and Root Raised Cosine (RRC) filtering to shape the spectrum. A cyclic prefix (CP) is inserted to mitigate inter-symbol interference before RF conversion and transmission through a Rayleigh fading channel. At the receiver, the signal undergoes RF-to-baseband conversion, CP removal, and matched filtering.

The received symbols are then demapped, converted back to a serial stream, de-interleaved, and decoded using the hybrid decoder to retrieve the original data. This framework effectively combines robust error correction with the flexibility of GFDM, making it suitable for 5G and beyond communication systems operating in multipath fading environments. Simulation results were conducted to evaluate the performance of the proposed hybrid ECC scheme. The simulations were performed over a Rayleigh fading channel with additive white Gaussian noise (AWGN). The BER performance of the proposed scheme was compared with other ECC schemes, such as convolution code polar code, no code. The simulation also identified the optimum roll off factor of root raised cosine filter of GFDM system by parametric analysis. In second phase, the optimum roll off factor with hybrid ECC is used for improved performance of GFDM based wireless communication system. The parameters of simulation are shown in table 1. To identify the roll off factor (alpha), a parametric analysis has been performed with the different values of alpha as shown in table1 for no coding convolution coding and polar coding.

Table 1: Parameters of simulation

S. No.	Parameter	Value
1	ECC	Convolution, Polar, Hybrid
2	Mapping Method	QAM (32,64,256.512)
3	Up sampling factor	8
4	GFDM filter	Root Raised Cosine
5	Roll off Factor	0.01 to 0.35
6	Channel	Rayleigh flat fading
7	SNR	0 to 30 dB
8	Decoder	Viterbi Decoder

Source: Authors, (2026).

V.1.BER WITHOUT CHANNEL CODING

Simulation for QAM modulated GFDM signal, which was transmitted over Rayleigh fading channel, was performed with the parameters shown in table 1. Different values of alpha (roll off factor of Root Raised Cosine filter used for GFDM signal generation) in simulation were taken for parametric analyses. The result with no error correcting coding is shown in figure 3.

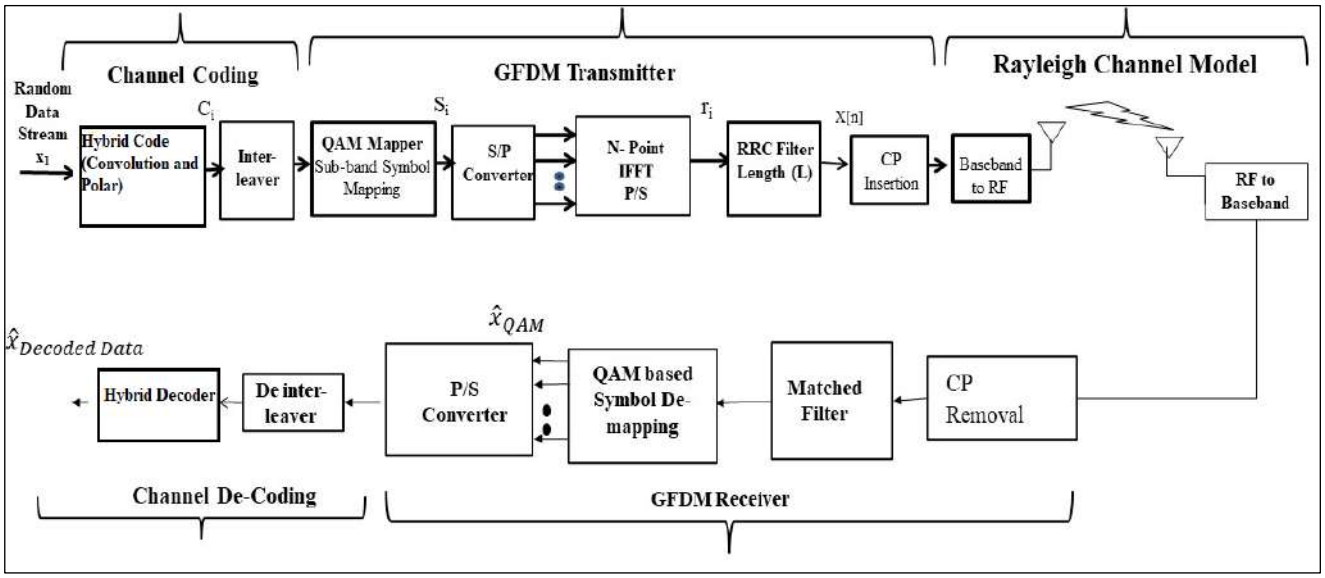


Figure 2: Scheme of the GFDM based wireless communication system.
Source: Authors, (2026).

The simulation results illustrate the impact of the roll-off factor alpha on the Symbol Error Rate (SER) vs. Signal-to-Noise Ratio (SNR) performance in the GFDM system. Increasing α improves SER performance up to an optimal range (α=0.2 to α=0.3), after which the gains become negligible. At high SNR (≥15 dB), α=0.2 to α=0.3 provides the better error performance, reducing SER to nearly 10^{-5}. A very low α=0.1, leads to significant degradation in performance, making it less suitable for GFDM applications requiring low SER. Hence, A moderate roll-off factor (α=0.2 to α=0.3) provides an optimal trade-off between spectral efficiency and error performance in GFDM systems.

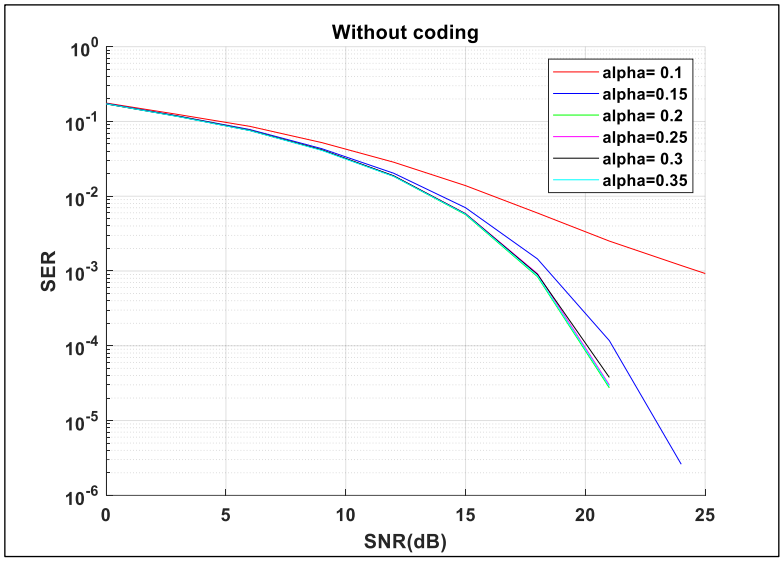


Figure 3: BER performance of GFDM system with different value of alpha (roll- off factor).
Source: Authors, (2026).

V.2.BER WITH CONVOLUTION CODING

Further, error-correcting codes i.e. convolution code is used for simulation for QAM modulated GFDM system. BER performance with convolution code was recorded for different values of alpha. The result with convolution code based GFDM system is shown in figure 4.

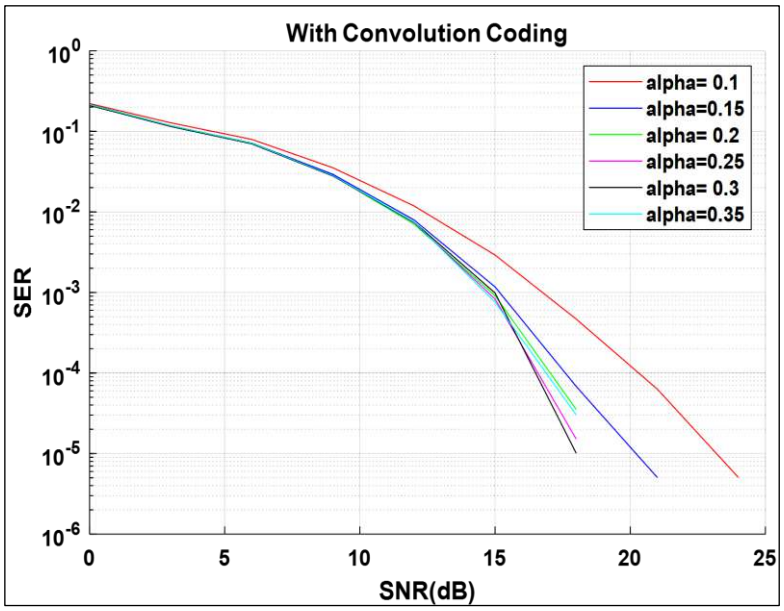


Figure 4: BER performance of GFDM system with convolution code for different value of alpha.
Source: Authors, (2026).

It is apparent from the figure 4 that the value of alpha of 0.25 is providing the optimum performance of the GFDM system. However, there is no significant changes in performance of BER for different value of alpha like the case of no coding. It is also observed, there is significant improvement in the BER performance with convolution coding compare to no coding. The SNR requirement has reduced to ~ 4 dB for BER value of <0.001.

V.3.BER WITH POLAR CODING

Further, another error correcting codes i.e. Polar code was used for simulation for QAM modulated GFDM system. BER performance with this code is shown in figure 5. It is observed from the figure 5 that significant improvement in the BER performance with compare to convolution coding. The SNR requirement has further reduced to ~ 2 dB for BER value of <0.001. It is apparent from the figure 5 that the value of alpha of 0.25-0.35 is providing the optimum performance of the GFDM system. The typical errors with alpha are shown in figure 6.

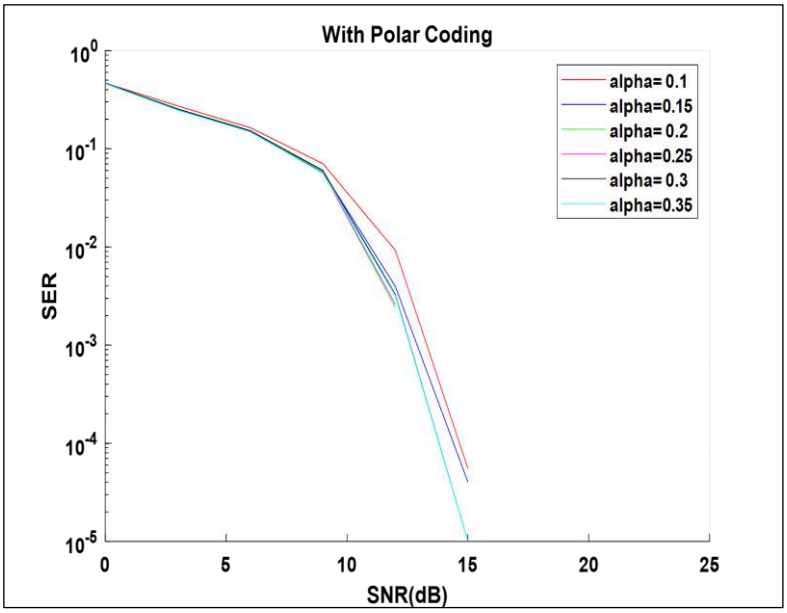


Figure 5: BER performance of GFDM system with Polar code for different value of alpha.
Source: Authors, (2026).

V.4.BER WITH PROPOSED ECC

Further, the hybrid scheme of ECC was used for simulation for QAM modulated GFDM system. BER performance with this code is shown in figure 7. It is observed that above > ~12 dB SNR, the hybrid Coding scheme achieves the lowest Symbol Error Rate (SER) among others. The simulation results demonstrate that the proposed hybrid ECC scheme outperforms traditional ECC schemes in terms of BER performance. The proposed scheme also achieves near-optimal BER performance under various channel conditions. This demonstrates that Hybrid Coding provides nearly a 100x improvement over the uncoded system and about a 10x improvement over Polar Coding, making it the most efficient error correction technique for GFDM at high SNR values.

VI.CONCLUSIONS AND FUTURE WORK

This paper proposed a hybrid ECC scheme that combines polar code and convolution code to improve the BER performance of GFDM. The proposed scheme offers significant BER improvement compared to traditional ECC schemes. The simulation results shows that the Hybrid Coding scheme significantly enhances the error performance of the GFDM system, for mid to high SNR level (>12 dB). BER at SNR of 15 dB show ~ 100 times lower than individual coding scheme. These findings highlight that Hybrid Coding is the most efficient error correction technique particularly mid to high SNR level. Future work, the further optimization of this hybrid ECC may explore by optimization its parameters. The use of this code for adaptive modulation and coding (AMC) system for 5G wireless communication system for lower bit error rate may be explored.

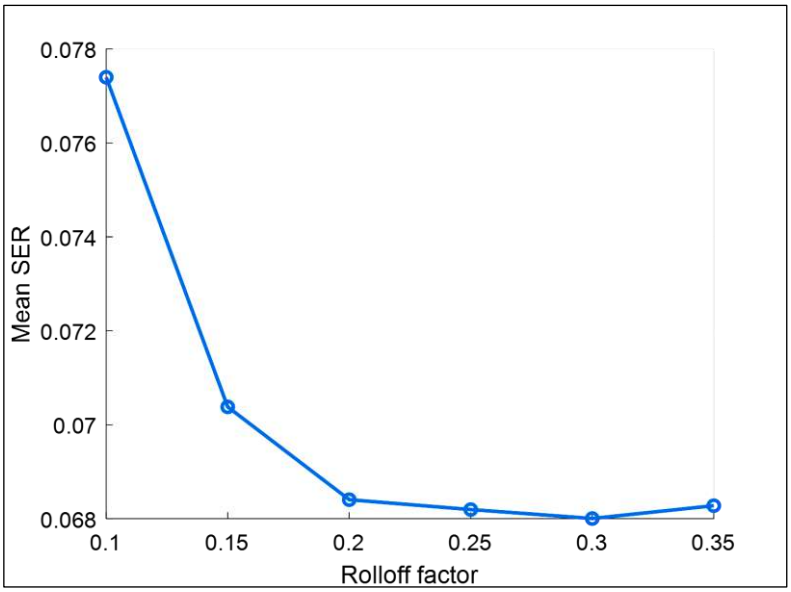


Figure 6: Typical graph of mean SER with different alpha.
Source: Authors, (2026).

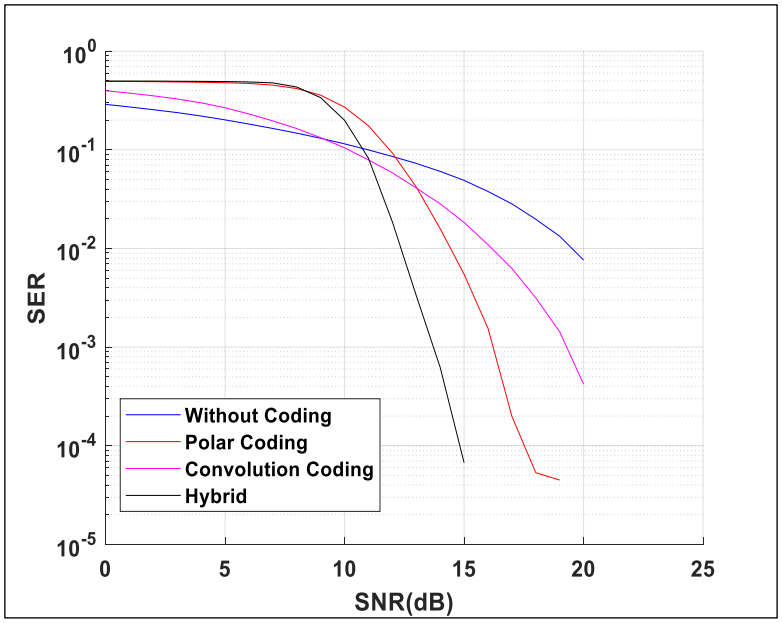


Figure 7: BER performance of GFDM system with Proposed code for different value of alpha.
Source: Authors, (2026).

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Divya Jain, Debendra Kumar Panda and Smita Prajapati.
Methodology: Divya Jain and Debendra Kumar Panda.
Investigation: Divya Jain
Discussion of results: Divya Jain and Smita Prajapati.
Writing – Original Draft: Divya Jain
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Resources: Debendra Kumar Panda.
Supervision: Divya Jain and Debendra Kumar Panda.
Approval of the final text: Divya Jain, Debendra Kumar Panda and Smita Prajapati.

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RESEARCH ARTICLE OPEN ACCESS

A PROPOSED MODEL FOR DESIGNING A METAMATERIAL UNIT CELL 9 - 14GHZ FREQUENCY BAND COMMUNICATIONS

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ABSTRACT

A compact monopole antenna on a printed circuit board incorporating a single negative (SNG) metamaterial targets application in the X and Ku bands at 9.2 and 14.2 GHz. The design utilizes circular split-ring resonator (SRR) unit cells, structured with periodic arrangements smaller than the guided wavelength. Using CST Studio Suite simulation, the antenna demonstrates a wide 750 MHz bandwidth and very low radiation losses. This efficient design enhances performance and coverage, making it well-suited for radar and satellite communications within the targeted frequency bands.

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I. INTRODUCTION

Metamaterials are artificially designed composite materials, the electromagnetic characteristics of which differ significantly from those of naturally occurring materials [1]. The peculiar manners of behavior among metamaterials have provoked a rather significant amount of research interest, and it has led to tremendous breakthroughs within a variety of scientific and engineering fields [2]. Conventional classification schemes define the following two main metamaterials assemblies: single-negative (SNG) materials, which exhibit either a negative permittivity or a negative permeability, and double-negative (DNG), and sometimes also left-handed (LH) materials, with simultaneously negative permittivity and negative permeability. Victor Veselago of Russia first theorized about LH metamaterials in 1967, in which

Veselago introduced the possibility of LH materials being able to display various unusual properties in how they guided the propagation of waves in both open space and guided structures [3]. The respective capabilities provided a rationale behind a diverse array of applications, such as holography, data processing, as well as signal multiplexing. The metamaterials (MTMs) have shown usefulness in various areas of engineering, such as antenna designing [4], [5], microwave filtering [6], specific absorption rate (SAR) relief [7], cloaking [8], super-resolution optics [9], electromagnetic (EM) absorption [10], [11], advanced sensors [12], [13], radar applications, and satellite communications [14], [15]. In all these applications, the properties of their optimized electromagnetic responses improve the performance of the devices.

On this note, researchers have implemented new MTM setups that are streamlined in support of certain functions. The framework of Islam et al. proposed a structured MTM on FR-4 substrate on satellite antennas, functioning on 2–4 GHz [16]. A single tri-band microwave use of compact epsilon-negative (ENG) MTM by a crossed-line CSRR structure has been designed by Shahidul et al., based on a unit-cell dimension of 10×10 mm^2 and a low effective medium ratio (EMR) of 4.5 [17]. The authors of [18] developed a meta-atom that could be used at multiband operations, and they had an EMR of 10.55 and a dimension of 12×12×1.6 mm^2. The authors of [19] presented a miniaturized DNG MTM having the modified Z-shape, most appropriate to operate with in X-band, but with an EMR as low as 4.

An SNG MTM was proposed by Islam et al., which aims to calibrate the performance of satellite and radar antennas, with a refractive index of near-zero and an effective magnetic resonance of 14.37 and 8×8 mm^2 unit cell [15]. Cheng et al., in line with imaging, detection, and sensing, developed the scenario of an ultra-slim, recessed, 7-metamaterial-bound absorber that has a single resonator [20], whereas the authors of [21] refined an adjustable, single-resonant broadband MTM absorber utilizing graphene in the terahertz regime, advancing its capacities of filtering, sensing, and modulation. Hossain et al. came up with a multiband application DNG MTM shaped like a double C with moderate EMR [22]. On the other hand, a double-Z shaped DNG-MTM with a footprint size of 8.5×8.5 mm^2 and having an EMR value of 4.80 was provided by Zhou et al. [23], and Hoque et al. provided a dual-band DNG metasurface absorber even though it exhibits a large-size unit cell of 4.80 EMR [24] ,[25]. By presented an H-shaped MTM with a large size DNG absorption structure having EMR = 3.65 [26].

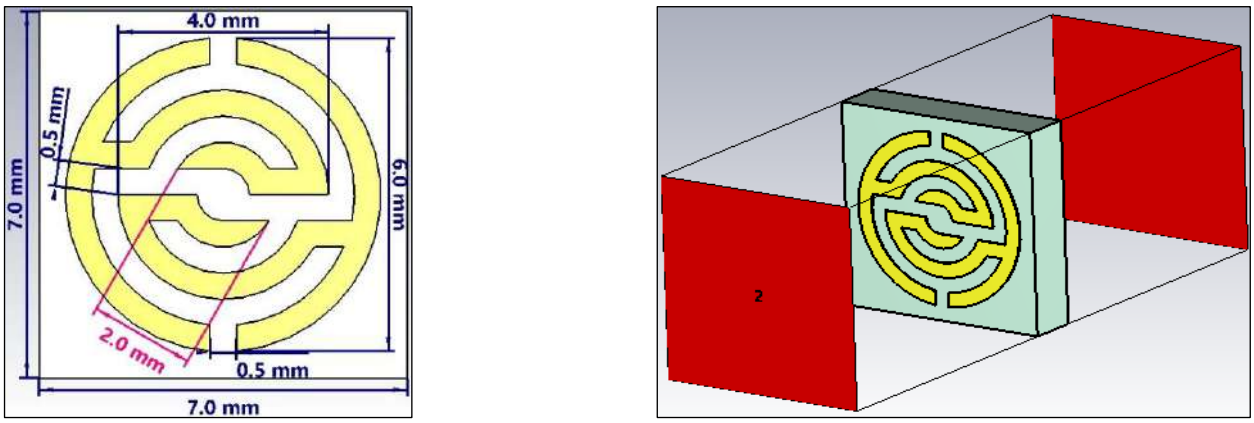
At the same time, demonstrated an asymmetric broadband MTM microwave absorber that can be utilized in the applications related to energy acquisition and stealth [27]. The authors of [28] suggested to work on a polarization-insensitive wideband MTM absorber realized within the C- and X-bands operating range by utilizing a 12.5×12.5 mm^2 unit size, and Zhou et al. are proposed to work on an S-shaped SNG MTM that is designed to operate within the X- and Ku-bands with an EMR below 4 [29]. By. also presented an MTM sensor structured into a meanderline, showing -3 dB/mm sensitivity and EMR of 7.2 [30].other related contributions are the proposed four-fold symmetric MTM absorber in the C-band, distributed by Thummaluru et al. with exceptionally large cell dimensions (28.2×28.2 mm^2) [31], and the DNG MTM structure fabricated in dual-band microwave applications by Faruque et al. (25×20 mm^2) [32]. Islam and his colleagues considered a hexagonal SRR MTM working at S- and X-frequency bands, using a 10×10 mm^2 unit and producing a 8.40 EMR [33].

The team of Rao et al. proposed a CPW-fed MTM-based circularly polarized antenna used in WiMAX and WLAN with a 9×9 mm^2 unit dimension and an EMR of 9.95, with only moderate gain [34]. The authors of [35] suggested a dual-band anisotropic MTM applicable to radar and satellite technologies, while the authors of [36] presented a high-gain, wide-bandwidth patch antenna with a concentrating metasurface, achieving 4.5 dBi gain with 76\% bandwidth [36]. Recently, the authors of [37] presented a left-handed multiband MTM having five absorbing bands, with 11×10 $mm^2compact unit footprint. Kumari et al. developed a principal lay-down ultra-thin polarization-insensitive MTM, in X-band, and made use of a 10×10 mm^2 absorber element with a small effective magnetic-field density (EMR) [38], [39]. According to Almutairi et al., a DNG MTM dual-band absorber in the C-band has a cell unit of 5.5×5.5 mm^2 and an EMR of 7.44 [40]. Thummaluru et al. claimed that a polarization-controllable tunable MTM absorber (POL-TC) in a circular sector structure, as a C-band absorber with dimensions of 9×9 mm^2, can also be tuned over a broad range [41].

Rao et al. have introduced a circular-shaped MTM that has expanded the bandwidth of the antenna fed with CPW, at some cost to the gain [42]. It is possible to benefit from several models of antenna configuration and integration with metamaterial cells to obtain a new generation of antennas with a smaller size, high gain and high efficiency [43-45]. The novel metamaterial single-negative (SNG) presented in this paper is a SSRR -based geometry, and its realization of two resonance peaks at 8.4-9.9 GHz and 14.0-14.2 GHz with a range of negative refractive index (NRI) between 9.26-9.7 GHz. These properties make it suitable in filtering, sensing, and controlling the electromagnetic waves. The findings show that integration of SNG metamaterials into the system can form a strong base in terms of certain application in advanced wireless and communication systems and the proposed design is one way of going about this.

II. ARCHITECTURAL DESIGN OF THE UNIT CELL

Figure 1(a) illustrates the structure of the proposed metamaterial unit cell geometry, which comprises multiple pairs of symmetric C-shaped split-ring resonators (SRRs) structured in an overlapping configuration. Fabricated on an FR-4 substrate, the unit cell possesses a relative dielectric constant of 4.3 and a 1.6 mm thickness, while the metallic conductor layer has a 0.035 mm thickness. To model and analyze the electromagnetic behavior of the structure, simulations utilized CST Microwave Studio (CST MWS), which uses the Finite Integration Technique (FIT). The unit cell was evaluated across the 1-15 GHz frequency range. For simulation purposes, the structure was situated amidst a pair of waveguide ports aligned along z-axis to enable electromagnetic excitation, as depicted in Figure 1b. Boundary conditions were set using a perfect electric conductor (PEC) coincident with x-axis and a perfect magnetic conductor (PMC) along the y-axis. Figure 1(a) shows detailed dimensions and design specifications of the unit cell.



(a) (b)

Figure 1: Unit cell of metamaterial: (a) Unit cell structure in two dimensions and size of a 7 × 7 × 1.6 mm. (b) three dimensions view simulation setup of two-port.
Source: Authors, (2026).

The unit cell of the proposed metamaterial (MTM) consists of multiple concentric metallic rings, each spaced by a 0.5 mm uniform gap, as illustrated in Figure 2(a). The inner rings feature two splits but are interconnected via a metallic strip of 0.5 mm width, as shown in Figures 2(b) and 2(c). The outer ring includes 2 narrow gaps positioned 180 degrees apart, as depicted in Figure 2d. An enhancement in stopband performance is observed when two thin metallic arms are introduced between the inner and outer rings ,Figure 2(e), leading to the ultimate optimized design of the metamaterial unit cell. From an electromagnetic perspective, the metallic rings function as inductive elements, while the gaps between the rings serve as capacitive elements, forming an LC resonator. Figure 2 provides a step-by-step overview of the design evolution and optimization process of the proposed metamaterial structure.

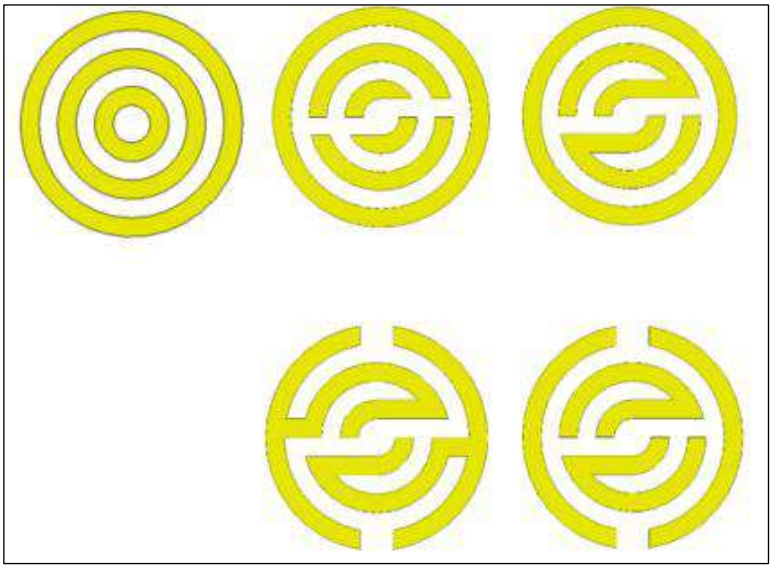


Figure 2: Evaluation schematic of the proposed MTM.
Source: Authors, (2026).

III. SIMULATION OF THE UNIT CELL AND ANALYSIS

The simulation of the MTM unit cell is provided in this section. The suggested SRR operates at 9.2 and 14.2 GHz bands, where X and Ku bands are considered candidates for the applications of radar and satellite. Figure 3 shows the reflection and transmission coefficients of the unit cell are shown. As shown in Figure 3, the unit cell operates with a bandwidth of 750 MHz. at 9.2 and 14.2 GH.

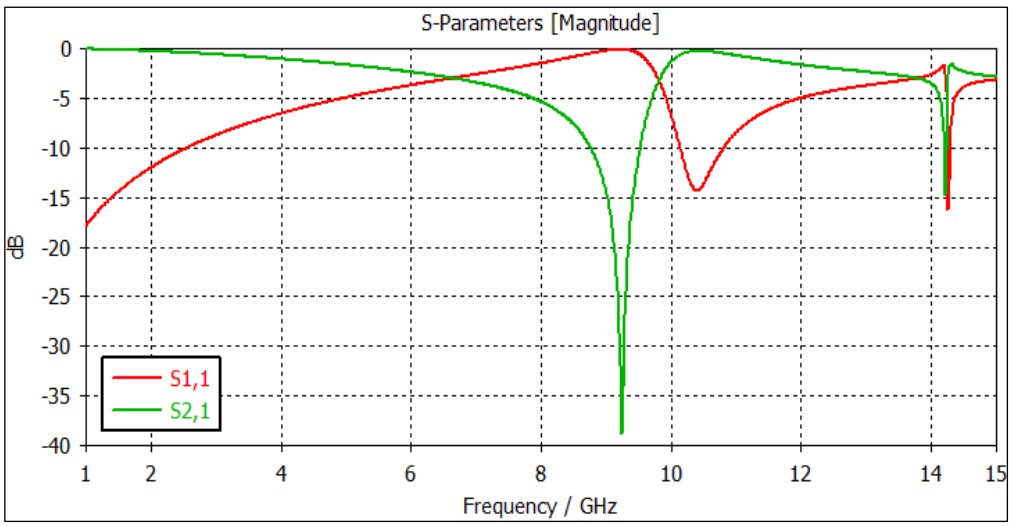


Figure 3: Simulated reflection and transmission coefficients for the SRR metamaterial unit cell.
Source: Authors, (2026).

The simulated relative real components of the effective permittivity, permeability, and refractive index unit cell structure are graphed in Figure 4. The frequency range reveals a negative real permittivity (ϵ) value for the unit cell. Consequently, incorporating SRR with a unit cell yields single epsilon negative (ENG) characteristics from 8.4 to 9.9 GHz and 14 to 14.2 GHz, and negative refractive index (NRI) from 9.26 to 9.7 GHz, as can be seen in Figure 4.

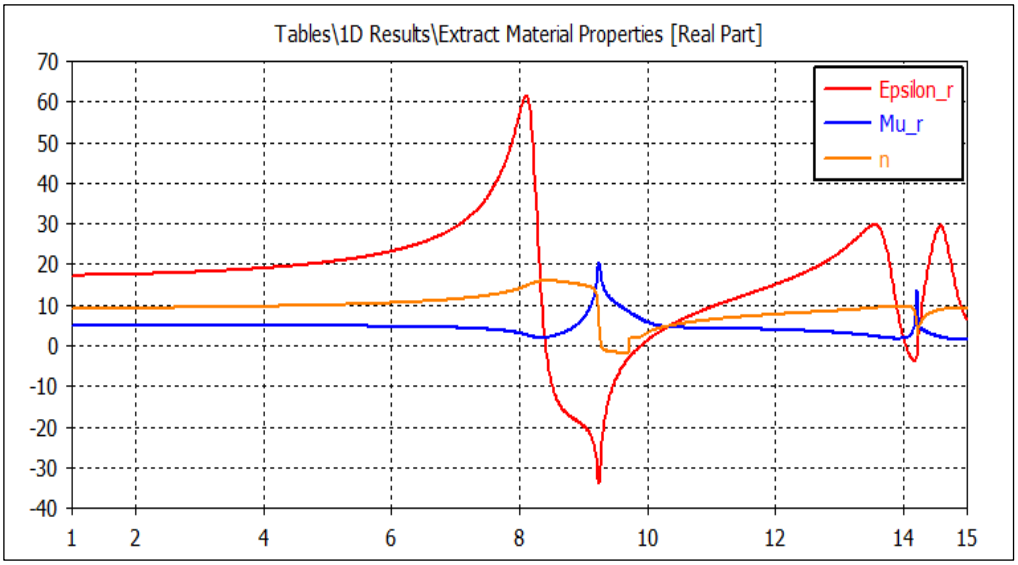


Figure 4: Metamaterial, simulated results of unit cell permittivity, permeability, and refractive index.
Source: Authors, (2026).

III.1 SURFACE CURRENT

Obviously, as is seen in the literature explaining the work of metamaterials, MTM is suffering from radiation losses, since in this paper, a composed metamaterial unit cell is used to overcome the radiation loss by using retrieval and transmission analyses. exposes the induced work of metamaterials, MTM is suffering from losses, since in this paper, a composed metamaterial unit cell is used to overcome the radiation loss by using retrieval and transmission analyses. The technique of radiation loss reduction was done by using the induced surface current and retrieval analysis. Figure 5 exposes the induced surface current on the two circles: the inner and middle circles of the SRR unit cell at the 9.2 band. While in the 14.2 band, expose the induced surface current on the outer circle as demonstrated as shown in Figure 6.

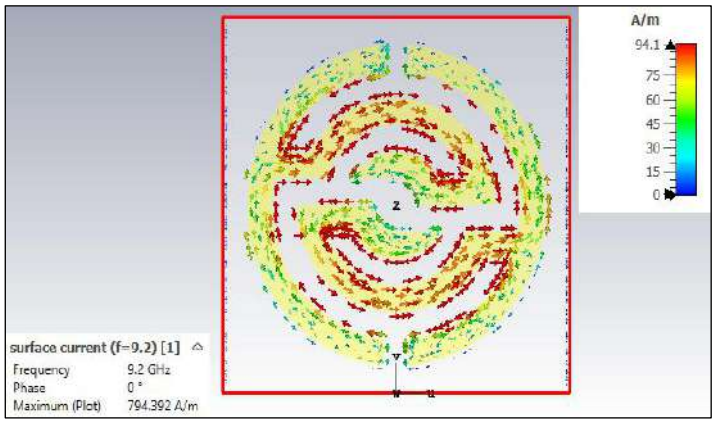


Figure 5: The surface current induced at a frequency of 9.2 GHz.
Source: Authors, (2026).

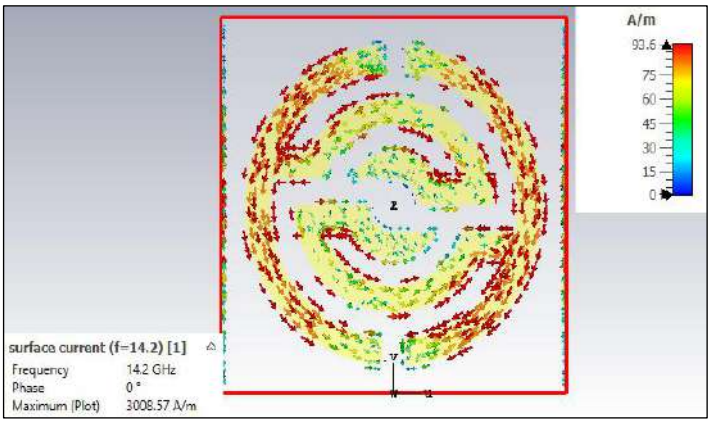


Figure 6: The surface current induced at a frequency of 14.2 GHz.
Source: Authors, (2026).

The dipole response produces large radiation losses. However, by modifying the metamaterial structure to apply opposite currents, the induced currents cancel out each other thus repressing the radiation loss.

III.2 SURFACE CURRENT

Table 1 categorizes the proposed design as "complex" in terms of geometric shape complexity. This is an important consideration for practical implementation. Although circular SRR unit cells are well-established, the overlapping configuration and the introduction of thin metallic arms for optimization (as shown in Figure 2) contribute to this complexity. Designs such as the "simple" circle shape by Almutairi et al. [40] or the square shape by [46] might offer easier fabrication. However, the increased complexity of the proposed design appears to be justified by its dual-band operation and loss-reduction capabilities. A more detailed discussion of the manufacturability and tolerance to fabrication imperfections would further enhance this aspect of the paper., as is seen in the literature explaining the work of metamaterials, MTM is suffering from radiation losses, since in this paper, a composed metamaterial unit cell is used to overcome the radiation loss by using retrieval and transmission analyses. exposes the induced work of metamaterials,

Table 1: Assessment of proposed and current work .

Reference	Year	Substrate	Frequency	Dimension	Design Geometric Layout	Design Shape	Desing Complexity	Application
[47]	2022	FR-4	3.36	10 × 10	Planar Resonator		Intermedia	Sensing Application
[48]	2023	PMMA	5.38	11.2 × 11.2	Multilayer Stack-Up		Intermedia	Wireless Communication
[49]	2023	PDMS	5.11	8 × 8	Multilayered Stack		Intermedia	Stealth Applications
[50]	2023	PDMS	14.3	11 × 11	Circle Shape		Simple	Radar Applications
[46]	2024	PET	18.93	10 × 10	Square Shape		Simple	Wireless Communication
[51]	2024	PVC	5	10.3 × 10.3	Circle Shape		Simple	Object Conformality And RCS
[52]	2024	FR-4	3.8	24 × 24	Maze Pattern		Intermedia	5g Application
Proposed Work	2025	FR-4	9.2,14.2	7 × 7	Symmetric SRR		complex	Radar and Satellite Applications

Source: Authors, (2026).

IV. CONCLUSION

This paper proposed a metamaterial unit cell exhibiting SNG behavior. The proposed design utilizes an SSRR structure, demonstrating operation within the X and Ku bands. It exhibits a NRI in the 9.26 to 9.7 GHz frequency range. Additionally, the unit cell operates at two distinct frequencies that are 9.2 GHz and 14.2 GHz, with a 750 MHz bandwidth. The designed unit cell exhibits SNG characteristics across different frequency bands, indicating its capability to function as a Single Negative metamaterial in specific operational ranges.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.
Methodology: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.
Investigation: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.
Discussion of results: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.
Writing – Original Draft: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.
Writing – Review and Editing: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.
Resources: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.
Supervision: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.
Approval of the final text: Jamal Mohammed Rasool, Ahmed Al Asadi, Ali Kahdum Abd and Omar Alnaseri.

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FOREST FIRE TRENDS IN INDONESIA AND AUSTRALIA: LESSONS LEARNED AND MITIGATION STRATEGIES

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ABSTRACT

Forest fires present significant environmental, economic, and social challenges in both Indonesia and Australia, with each country exhibiting different causes and effects. In Indonesia, forest and peatland fires are frequently driven by land-use changes, agricultural practices, and extended dry seasons, particularly during El Niño events. In contrast, Australia experiences intense bushfires primarily fueled by extreme heat, drought, and natural ignition sources such as lightning. This research analyses fire trends in both countries, identifying key factors that contribute to their frequency and severity. Lessons learned from past incidents, including the 2019–2020 Australian bushfire crisis and Indonesia's recurrent peatland fires, emphasize the need for improved fire management strategies. Various mitigation approaches, such as early warning systems, controlled burns, policy regulations, and community-based prevention programs, are discussed. In addition, advancements in remote sensing, artificial intelligence, and IoT based monitoring systems are examined as potential solutions. This comparative analysis highlights the importance of regional cooperation, adaptive policies, and sustainable land management to mitigate future fire risks. Learning from each nation's experiences, policymakers and stakeholders can develop more effective strategies for combating forest fires and reducing their long-term effects.

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I. INTRODUCTION

Forest fires have long been a critical environmental challenge, resulting in wide-spread destruction of ecosystems, human settlements, and economies. In recent years, the increasing frequency and severity of these fires have raised global concern, particularly in regions vulnerable to prolonged dry seasons and extreme weather conditions. Indonesia and Australia are two of the most affected countries, experiencing recurrent forest fires driven by different but interconnected factors. Although Indonesia's fires are often linked to human activities such as land-clearing and peatland drainage, Australia's bushfires are primarily fueled by climatic conditions, including heatwaves, droughts, and strong winds. Despite these differences, both nations face the escalating challenge of mitigating the effects of increasingly severe fire seasons intensified by climate change [1].

Indonesia's forest and peatland fires present a persistent challenge, particularly in provinces such as Sumatra and Kalimantan. These fires are mainly caused by slash-and-burn agricultural practices that, despite being illegal, continue due to economic pressures and inadequate law enforcement. Peatland fires are particularly difficult to manage because they can smolder underground for long periods, releasing significant amounts of carbon dioxide and causing severe transboundary haze. This haze affects not only Indonesia but also neighboring countries such as Malaysia and Singapore, resulting in diplomatic tensions and public health crises. Despite various fire prevention programs and policies, Indonesia continues to struggle with effective fire management and regulatory enforcement [2].

In contrast, Australia faces a different fire regime, characterized by intense and rapidly spreading bushfires. The country's natural vegetation, including eucalyptus forests, contains volatile oils that make it highly combustible. Climate change has exacerbated the risk, with rising temperatures and prolonged droughts creating ideal conditions for catastrophic fires. The 2019–2020 Black Summer bushfires underscored the devastating consequences of these fires, burning over 18 million hectares, destroying thousands of homes, and killing or displacing nearly three billion animals. Unlike in Indonesia, where human activities play a significant role in fire ignition, Australia's bushfires are often triggered by natural causes such as lightning strikes. However, the severity of these fires has sparked renewed discussions about fire management strategies, such as controlled burns, land-use policies, and the integration of Indigenous fire knowledge in prevention efforts [3]. The increasing intensity of forest fires in both Indonesia and Australia highlight the urgent need for comprehensive fire management strategies that encompass early detection, prevention, and suppression efforts.

This research aims to analyze fire trends in both countries, drawing lessons from past experiences and exploring mitigation strategies. Comparing different fire management approaches, this study seeks to identify best practices that can be implemented to enhance fire prevention and response efforts. In addition, the study examines the role of technological advancements, such as satellite monitoring, artificial intelligence, and Internet of Things (IoT) based early warning systems, in improving fire management capabilities [4]. Through a comparative analysis of Indonesia and Australia, this study contributes to the broader discourse on climate resilience, sustainable land management, and international cooperation in mitigating forest fire risks [5]. This research examines the trends of forest fire behavior in Indonesia and Australia to inform mitigation strategies. Data on fire incidents were collected from ground sensors and satellite information provided by the National Aeronautics and Space Administration (NASA) Earth Data for both regions. The data were analyzed to identify trends, and a proposed action plan for future forest fire mitigation and management.

II. THEORETICAL REFERENCE

Forest fires are a persistent environmental issue in both Indonesia and Australia, though the causes, patterns, and consequences differ between the two regions. Research indicates that Indonesia's forest fires are primarily anthropogenic, driven by land-use changes and agricultural practices such as slash-and-burn cultivation [6], [7]. The severity of these fires is particularly pronounced in peatland areas, where they can smolder underground for months, releasing massive amounts of carbon into the atmosphere [8], [9]. Studies show that fire incidents in Indonesia often peak during El Niño years when prolonged dry seasons create conditions conducive to fire spread [10], [11]. In contrast, Australia's forest fires, commonly referred to as bushfires, are largely influenced by climatic and ecological factors. Research reveals that fire seasons in Australia have in-testified due to rising temperatures and extended drought periods [12]. The 2019–2020 Black Summer bushfires, which scorched over 18 million hectares, exemplified the in-creasing severity of fire events, with researchers linking this phenomenon to climate change [13], [14].

Unlike Indonesia, where human activities are the primary cause of fire ignition, Australian bushfires are typically triggered by natural events such as lightning strikes, with vegetation and dry conditions providing ample fuel sources [15]. The environmental, social, and economic consequences of forest fires in both Indonesia and Australia have been extensively studied. In Indonesia, haze from forest fires has been a persistent problem, leading to severe air pollution that affects millions across Southeast Asia [16-18]. Studies have linked exposure to this haze with respiratory illnesses, school closures, and economic losses, especially in the agriculture and tourism sectors [19]. In addition, fires in peatland areas contribute significantly to global carbon emissions, worsening climate change [20]. In Australia, the effects of bushfires are similarly cata-strophic. The 2019–2020 Black Summer fires resulted in the loss of nearly three billion animals, including many endangered species [21]. In addition to biodiversity loss, studies have emphasized the economic consequences of bushfires, which include the destruction of homes, infrastructure, and agricultural land [22].

Furthermore, long-term health effects from smoke exposure have been documented, with increases in respiratory and cardio-vascular diseases following major fire events [23]. To manage forest fires in both countries, several mitigation strategies have been implemented. In Indonesia, fire prevention efforts have primarily focused on regulatory measures, such as banning slash-and-burn practices and promoting peatland restoration initiatives [24]. However, enforcement challenges and land-use conflicts have limited the effectiveness of these policies [25]. Some studies recommend the involvement of local communities in fire prevention through sustainable land management and agroforestry practices [26]. In Australia, traditional fire management strategies have relied on con-trolled burns, also known as prescribed burning, to reduce fuel loads and lower the risk of large-scale fires [27]. Nonetheless, recent research suggests that climate change is di-minishing the effectiveness of controlled burns, as fire seasons are becoming longer and more unpredictable [28]. Indigenous fire management practices, which employ low intensity burning to maintain ecosystem balance, have gained increasing attention as a promising solution [29].

The application of technology in forest fire monitoring and mitigation has seen significant advancements in recent years. Remote sensing and satellite imagery have proven essential in detecting fire hotspots and assessing fire severity in both Indonesia and Australia [30]. In addition, artificial intelligence (AI) and machine learning models are being developed to predict fire risks based on factors such as weather patterns, fuel availability, and historical fire data [31]. In Indonesia, pilot projects for IoT-based early warning systems have been implemented to monitor peatland moisture levels and detect fire risks in real time [20], [32]. In Australia, investments in drone technology and auto-mated fire detection systems aim to enhance firefighting efforts [30]. Given the transboundary nature of forest fires, international cooperation is vital for effective fire management. Indonesia has engaged in Association of Southeast Asian Nation (ASEAN)-led initiatives, such as the ASEAN Agreement on Transboundary Haze Pollution, to tackle regional haze issues [33], [34].

However, challenges persist in policy enforcement and stakeholder compliance [35]. In contrast, Australia has collaborated with global research institutions and climate organizations to enhance bushfire prediction and response strategies [36]. The country has also actively shared its fire management expertise with other fire-prone regions, including California and Southern Europe [37]. This research compares forest fire trends in Indonesia and Australia, highlighting similarities, differences, and key drivers behind fire occurrences. The primary dataset for this study is sourced from the NASA Earth Data Portal (https://earthdata.nasa.gov/) [38]. Specifically, relevant satellite datasets, including the Moderate Resolution Imaging Spectroradiometer (MODIS) and the Visible Infrared Imaging Radiometer Suite (VIIRS) are accessed based on the research objectives.

Data parameters such as geolocation (latitude and longitude), intensity measurements (including temperature anomalies), fire radiative power, precipitation rates, and timestamps are downloaded in CSV format as available in the database. The data collected from NASA and selected case studies are categorized into key themes: fire causes, environmental impact, and mitigation strategies. The analysis of trend and historical fire data reveals patterns in fire frequency, intensity, and geographical distribution over the past five years. In addition, existing fire prevention and suppression policies in both countries are assessed for their effectiveness, challenges, and opportunities for improvement [39].

III. MATERIALS AND METHODS

When active fire suppression amidst bushfire intensity is considered, it is suggested that only surface cooling be applied, as evaporated water vapor dissipates quickly and does not significantly affect flame temperature. When fire point theory is utilized and the external radiant and convective heat flux is calculated, the critical flow rate (CF) for wildfire scenarios can be determined using the following Equation (1) [39]. The CF represents the flow rate of water needed to extinguish a burning surface, assuming an infinite period. However, because the length and depth of an active wildfire front fluctuate over time, affected by terrain, wind, fuel structure, and fuel geometry [21], the CF is calculated only for a specific moment.

$$CF = m^{H}_{water,cr,0} + \frac{q^{h}E}{\eta_{water}\, x\, L_{v,water}} \quad (1)$$

where:

$m^{H}_{water,cr,0}$ is the critical water application rate, assuming no external heat flux and identified as ≈ 0.0129 $Lm^{-2}s^{-1}$ [39],
η_{water} is the efficiency of water application, defined as the portion of water leaving the firefighting branch and contributing to fire extinguishment, conservatively assumed to be 0.7,
$L_{v,water}$ is the enthalpy change of water, identified as 2640 $kJkg^{-1}$, and $q^{h}E$ is external heat flux, calculated by (2).

$$q^{h}E = \left(\frac{0.27\, x\, 1}{(2\, x\, L_f + D)}\, x\, \tau\phi\right) + (h\, x\, (T_g - T_{fuel})) \quad (2)$$

where:

I am fire line intensity in kWm^{-1}, calculated using Byram's fire line intensity equation and Equation (3),
L_f is flame length in m, calculated using Equation (4),
D is depth of the active flame, measured in m,
τ is atmospheric transmissivity, assumed to be 1 due to the proximity of the unburned fuel to the flames,
ϕ is the view factor, expected to be 1 due to the proximity of the unburned fuel to the flames,
h is the convective heat transfer coefficient, set at 0.077 kW/m^2K and assuming a forced convection and air velocity of 10 ms^{-1}[1],
T_g is the gas temperature of the flame, assumed to be 1090 K and representative of siege wildfire conditions, and
T_{fuel} is the fuel temperature of the fuel, assumed to be 588 K, which corresponds to the ignition surface temperature for pine-needle fuel beds [1].

$$I = \frac{HW\, R_0\, S}{36} \quad (3)$$

where:

H is the effective heat of combustion, assumed to be 18,600 $kJkg^{-1}$,
W is the total fuel load, measured in tha^{-1}, considering fine fuels typically less than 6 mm in diameter, and

$R_0\, S$ is the forward rate of spread corrected for slope, measured in kmh^{-1} and calculated using Equation (5). Note that terrain affects $R_0\, S$, where the slope is assumed to be flat for the purposes of the study.

In addition, flame length (L_f) is defined by

$$L_f = \frac{13R_0\, S + 0.24W}{2} \quad (4)$$

$$R_0\, S = 0.0012\ (Define\ FDI) \quad (5)$$

To identify a suitable dataset aligned with the study objectives, NASA's Earth Data were accessed using Python programming to select appropriate spatial and temporal ranges. The dataset includes relevant variables such as fire intensity indicators and geographic coordinates. The raw data were pre-processed to convert file formats, correct missing or erroneous entries, and standardize units for further analysis. During preprocessing, the data were corrected to remove null values, duplicate entries, and anomalous data points. Fire detections with longitude and latitude coordinates were extracted from the dataset and aligned according to specific time intervals (daily, weekly, or monthly) for trend analysis. Intensity analysis focused on temperature anomalies, precipitation rates, and radiative energy using both statistical and spatial approaches. This included calculating the mean, maximum, minimum, and standard deviation of intensity values across selected regions and time periods. This study also conducted time-series analysis to identify patterns in intensity changes over time and to examine relationships between fire intensity and external factors, such as climatic indices and vegetation cover.

Python served as the primary software for all statistical analyses in this research. Finally, to validate the NASA Earth dataset, a monitoring station was established to collect ground-based environmental parameters, including temperature, humidity, wind direction, wind speed, and rain intensity. Figure 1 shows the station configuration.



Figure 1: A station in the campus to detect environmental data.
Source: Authors, (2026).

Geospatial analysis and mapping were performed to visualize the spatial distribution of fire intensity. The corrected geolocation and intensity data were imported into Geographic Information System (GIS) software using Python's Geo-Pandas and Folium libraries. The study generated location maps to display intensity distributions, which were categorized into five levels (0–100) ranging from weak fire generation potential to high forest fire ignition potential. Additional pinpoint maps were created to identify precise locations of significant fire events or anomalies. Temporal maps illustrated changes in intensity over time across different geographic regions. To provide context, the maps included overlay layers such as administrative boundaries, land cover classifications, and elevation data. The processed data and visualizations were cross verified with ground measurements from the local monitoring station, as shown in Figure 1.

This validation compared the NASA Earth Data with the locally collected dataset containing environmental parameters. Finally, the study interpreted the mapped and analysed data to identify patterns in intensity variations. A sample dataset from Indonesia, extracted from NASA Earth Data for December 2024, is presented in Table 1. In total, the study incorporated 251,031 datasets collected over a 5-year period. Fire hotspot data for Indonesia and Australia were obtained from NASA's Fire In-formation for Resource Management System (FIRMS). This system utilizes MODIS and VIIRS sensors to provide satellite-based active fire detections. The dataset includes critical information such as the geographic coordinates (latitude and longitude) of each fire hotspot, along with the date and time of detection, and fire radiative power (FRP), which indicates fire intensity and the confidence levels of detection.Following data acquisition, preprocessing steps were conducted to filter out low-confidence detections, ensuring that only reliable hotspots were analyzed.

The data were then sorted by country and organized according to temporal parameters for trend analysis. Statistical analyses were performed to determine the total number of hotspots and average fire intensity over specific time intervals (both monthly and yearly). Various graphical representations, including time-series plots, were used to visualize fluctuations in fire occurrences over time in Indonesia and Australia. The geographic distribution of fire hotspots was mapped using GIS tools. Heat and point maps were generated to illustrate the spatial concentration and intensity of fires across different regions. These visualizations facilitated a comparative analysis between the two countries, highlighting patterns in fire activity, identifying high-risk areas, and offering insights into seasonal and regional trends. The findings enhance our under-standing of fire dynamics and inform improved fire management and mitigation strategies in both countries. As Table 2 shows, the analysis included data collected for Australia during December 2024.

Table 1: Data from MODIS of fire data in Indonesia.

No	latitude	longitude	brightness	scan	track	acq_date	acq_time	satellite	instrument	confidence	version	bright_t31	frp	daynight
1	0.00316	10.242.418	305.63	01.44	01.19	01/12/24	302	Terra	MODIS	6	6.1NRT	281.87	0.3174	D
2	-150.351	12.340.599	311.78	1	1	01/12/24	612	Aqua	MODIS	38	6.1NRT	291.00	06.04	D
3	-150.479	12.339.719	317.45	1	1	01/12/24	612	Aqua	MODIS	71	6.1NRT	291.18	11.01	D
4	-853.614	12.276.443	307.19	01.22	01.01	01/12/24	1342	Terra	MODIS	71	6.1NRT	273.45.00	11.21	N
5	-257.555	12.276.915	317.38.00	01.02	01.09	01/12/24	1342	Terra	MODIS	93	6.1NRT	272.61	0.9243	N
6	-257.708	12.136.852	310.02.00	01.02	01.09	01/12/24	1342	Terra	MODIS	69	6.1NRT	275.58.00	0.5979	N
7	0.66122	11.756.352	306.06.00	01.53	02.22	02/12/24	202	Terra	MODIS	51	6.1NRT	280.99	0.3493	D
8	-300.437	12.019.854	309.61	01.43	0.084	02/12/24	204	Terra	MODIS	0	6.1NRT	287.68	25.07.00	D
9	-300.838	1.201.927	308.58.00	01.43	0.084	02/12/24	204	Terra	MODIS	0	6.1NRT	287.18.00	22.06	D
10	-257.374	12.137.231	307.68	03.51	0.094	02/12/24	204	Terra	MODIS	66	6.1NRT	274	44.43.00	D
11	-121.363	3.18.418.903	306.78	01.35	01.15	02/12/24	514	Aqua	MODIS	0	6.1NRT	287.56.00	0.2673	D
12	0.48566	12.799.583	315.24.00	1	1	03/12/24	104	Terra	MODIS	54	6.1NRT	294.26.00	08.52	D
13	3.3701	12.800.458	312.19.00	1	1	03/12/24	104	Terra	MODIS	43	6.1NRT	294.39.00	06.01	D
14	-146.326	12.743.544	313.41.00	1	1	03/12/24	104	Terra	MODIS	0	6.1NRT	292.97	06.48	D
15	-258.409	12.137.563	342.07.00	01.11	01.05	03/12/24	1325	Terra	MODIS	100	6.1NRT	288.51.00	54.32.00	N
16	-257.477	12.137.447	325.42.00	01.11	01.05	03/12/24	1325	Terra	MODIS	100	6.1NRT	287.53.00	26.63	N
17	-256.772	12.137.828	303.44.00	01.01	1	03/12/24	1815	Aqua	MODIS	55	6.1NRT	276.43.00	07.08	N
18	-257.658	121.377	316.13.00	01.01	1	03/12/24	1815	Aqua	MODIS	93	6.1NRT	276.82	0.7236	N
19	-257.79	1.213.858	300.34.00	01.01	1	03/12/24	1815	Aqua	MODIS	23	6.1NRT	277.89	06.11	N
20	-257.052	12.216.519	303.69	1	1	03/12/24	1815	Aqua	MODIS	41	6.1NRT	283.23.00	06.09	N
21	-287.184	122.174	302.34.00	1	1	03/12/24	1815	Aqua	MODIS	43	6.1NRT	283.12.00	04.08	N
22	-264.218	12.136.949	304	01.05	01.21	04/12/24	145	Terra	MODIS	33	6.1NRT	277.72	0.2715	D
23	-862.805	12.222.207	312.05.00	02.17	01.43	04/12/24	147	Terra	MODIS	15	6.1NRT	290.74	16.43	D
24	-46.911	12.025.997	321.11.00	01.09	01.04	04/12/24	631	Aqua	MODIS	75	6.1NRT	297.33.00	11.13	D
25	-258.491	12.137.611	351.02.00	01.01	1	06/12/24	126	Terra	MODIS	96	6.1NRT	291.82	60.39.00	D
26	-386.919	12.239.924	308.32.00	01.02	01.01	06/12/24	126	Terra	MODIS	41	6.1NRT	283.34.00	04.06	D
27	-258.618	12.137.487	314.59.00	01.01	1	06/12/24	126	Terra	MODIS	74	6.1NRT	290.37.00	0.3527	D
28	-257.608	12.137.737	340.26.00	01.01	1	06/12/24	126	Terra	MODIS	92	6.1NRT	293.16.00	39.35.00	D
29	-257.736	12.138.614	313.03.00	01.01	1	06/12/24	126	Terra	MODIS	70	6.1NRT	291.03.00	06.09	D
30	131.589	9.950.997	307.21.00	01.06	01.03	06/12/24	304	Terra	MODIS	63	6.1NRT	285.09.00	04.42	D

Source: Authors, (2026).

Although this research offers valuable insights into forest fire trends and mitigation strategies, it does have limitations, specifically in its reliance on secondary datasets. This study depends on existing literature and reports, which may carry inherent biases or gaps. Variability in fire data collection, stemming from differences in methods and reporting standards between Indonesia and Australia, may affect direct comparisons. In addition, the effects of climate change is recognized as uncertain in this research, acknowledging that future fire trends may be influenced by unpredictable climate factors beyond current models. All data sources utilized in this study are publicly available, with appropriate citations provided to acknowledge the original research.

Table 2: Data from MODIS of fire data in Australia.

No	latitude	longitude	brightness	scan	track	acq_date	acq_time	satellite	instrument	confidence	version	bright_t31	frp	daynight
1	0.00316	10.242.418	305.63	01.44	01.19	01/12/24	302	Terra	MODIS	27	6.1NRT	281.87	0.3181	D
2	-150.351	12.340.599	311.78	1	1	01/12/24	612	Aqua	MODIS	38	6.1NRT	291.00	06.04	D
3	-150.479	12.339.719	317.45	1	1	01/12/24	612	Aqua	MODIS	0	6.1NRT	291.18.00	11.01	D
4	-257.555	12.276.915	317.38.00	01.02	01.09	01/12/24	1342	Terra	MODIS	93	6.1NRT	272.61	0.92432	N
5	-257.708	12.136.852	310.02.00	01.02	01.09	01/12/24	1342	Terra	MODIS	69	6.1NRT	275.58.00	0.59792	N
6	-853.614	12.276.443	307.19.00	01.22	01.01	01/12/24	1342	Terra	MODIS	71	6.1NRT	273.45.00	11.21	N
7	0.66122	11.756.352	306.06.00	01.53	02.22	02/12/24	202	Terra	MODIS	51	6.1NRT	280.99	0.34931	D
8	-300.437	12.019.854	309.61	03.51	0.094	02/12/24	204	Terra	MODIS	66	6.1NRT	274	44.43.00	D
9	-300.838	1.201.927	308.58.00	01.43	0.084	02/12/24	204	Terra	MODIS	0	6.1NRT	287.68	25.07.00	D
10	-300.838	1.201.927	308.58.00	01.43	0.084	02/12/24	204	Terra	MODIS	0	6.1NRT	287.18.00	22.06	D
11	-121.363	13.418.903	306.78	01.35	01.15	02/12/24	514	Aqua	MODIS	0	6.1NRT	287.56.00	0.26736	D
12	3.37014	12.800.458	312.19.00	1	1	03/12/24	104	Terra	MODIS	43	6.1NRT	294.39.00	06.01	D
13	0.48566	12.799.583	315.24.00	1	1	03/12/24	104	Terra	MODIS	54	6.1NRT	294.26.00	08.52	D
14	-146.326	12.743.544	313.41.00	1	1	03/12/24	104	Terra	MODIS	0	6.1NRT	292.97	06.48	D
15	-258.409	12.137.563	342.07.00	01.11	01.05	03/12/24	1325	Terra	MODIS	100	6.1NRT	288.51.00	54.32.00	N
16	-257.477	12.137.447	325.42.00	01.11	01.05	03/12/24	1325	Terra	MODIS	100	6.1NRT	287.53.00	26.63	N
17	-256.772	12.137.828	303.44.00	01.01	1	03/12/24	1815	Aqua	MODIS	55	6.1NRT	276.43.00	07.08	N
18	-257.658	121.377	316.13.00	01.01	1	03/12/24	1815	Aqua	MODIS	93	6.1NRT	276.82	0.72361	N
19	-257.79	1.213.858	300.34.00	01.01	1	03/12/24	1815	Aqua	MODIS	23	6.1NRT	277.89	06.11	N
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22	-264.218	12.136.949	304	01.05	01.21	04/12/24	145	Terra	MODIS	33	6.1NRT	277.72	0.2715	D
23	-862.805	12.222.207	312.05.00	02.17	01.43	04/12/24	147	Terra	MODIS	15	6.1NRT	290.74	16.43	D
24	-46.911	12.025.997	321.11.00	01.09	01.04	04/12/24	631	Aqua	MODIS	75	6.1NRT	297.33.00	11.13	D
25	-258.491	12.137.611	351.02.00	01.01	1	06/12/24	126	Terra	MODIS	96	6.1NRT	291.82	60.39.00	D
26	-386.919	12.239.924	308.32.00	01.02	01.01	06/12/24	126	Terra	MODIS	41	6.1NRT	283.34.00	04.06	D
27	-258.618	12.137.487	314.59.00	01.01	1	06/12/24	126	Terra	MODIS	74	6.1NRT	290.37.00	0.35278	D
28	-257.608	12.137.737	340.26.00	01.01	1	06/12/24	126	Terra	MODIS	92	6.1NRT	293.16.00	39.35.00	D
29	-257.736	12.138.614	313.03.00	01.01	1	06/12/24	126	Terra	MODIS	70	6.1NRT	291.03.00	06.09	D
30	131.589	9.950.997	307.21.00	01.06	01.03	06/12/24	304	Terra	MODIS	63	6.1NRT	285.09.00	04.42	D

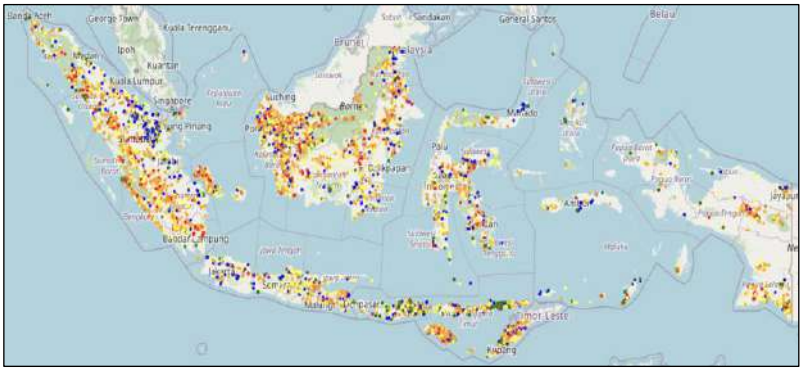
Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

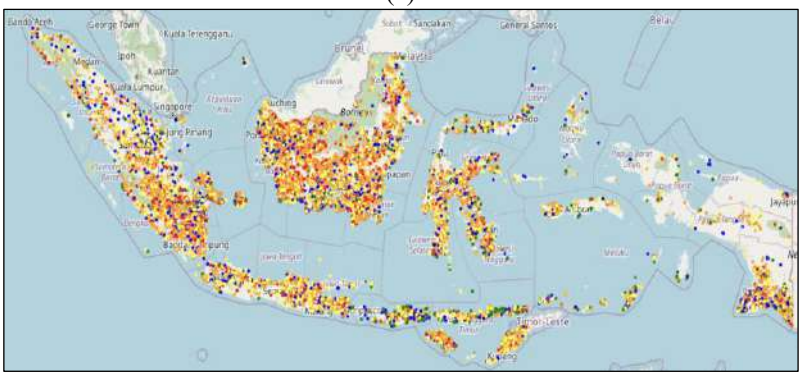
Based on the analyzed data, the results map fire hotspots across Indonesia, as visualized in Figure 2. The maps employ a color-coded classification system, itemized as follows:

- Blue: Low fire potential
- Green: Moderate
- Yellow: Elevated
- Pink: High
- Red: Very high fire potential (80–100 confidence level).

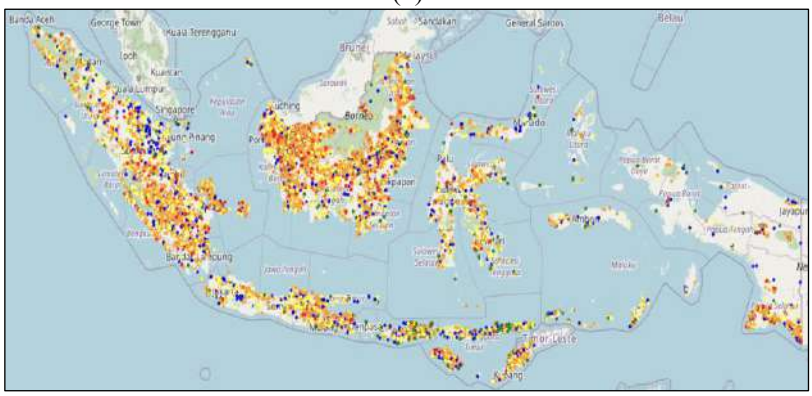
The areas with the highest fire intensity, indicated by pink and red dots, are in central Indonesia, specifically on Kalimantan and Sumatra Islands. These regions feature extensive peatlands that become highly flammable during dry seasons. The occurrence of fires in these areas has significantly affected the environment, leading to the loss of various flora and fauna populations. In 2023 and 2024, the number of fire hotspots increased as human activities returned to pre-COVID-19 levels after several years of significant decline. Spatial mapping reinforces these findings, demonstrating that fire hotspots are primarily concentrated in the provinces of Sumatra and Kalimantan, which are known for their extensive peatlands and agricultural activities, particularly oil palm and pulpwood plantations.



(a)



(b)

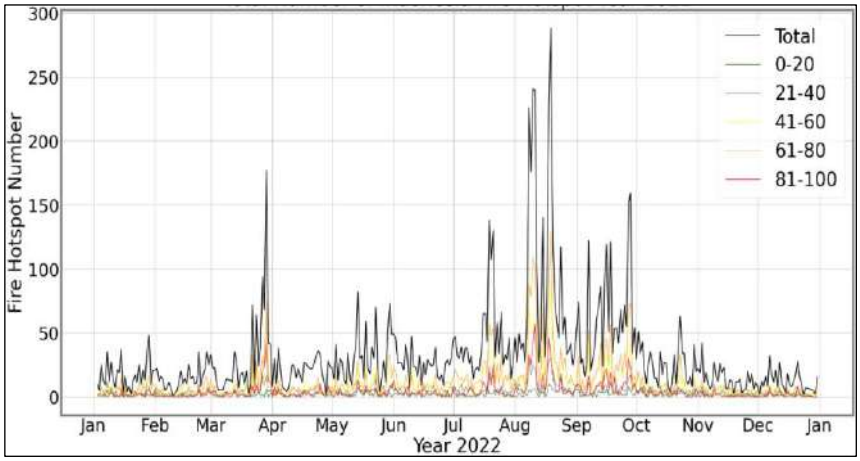


(c)

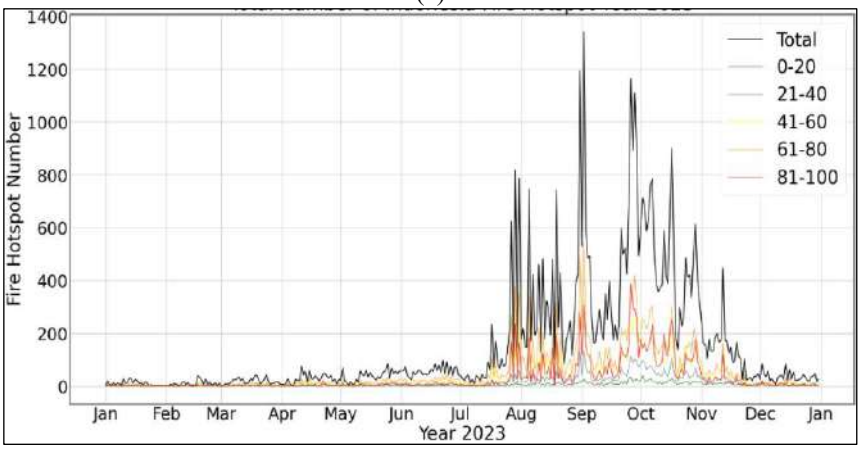
Figure 2: Fire hotspots detected in Indonesia from 2022 to 2024: (a) 2022 (b) 2023 and (c) 2024.
Source: Authors, (2026).

The maps indicate that numerous fire hotspots are located near areas undergoing land-clearing and agricultural expansion, suggesting a strong correlation between human activities and fire occurrences. In addition, the intensity graphs and maps reveal that certain regions experience recurrent fire incidents annually, highlighting their persistent vulnerability.

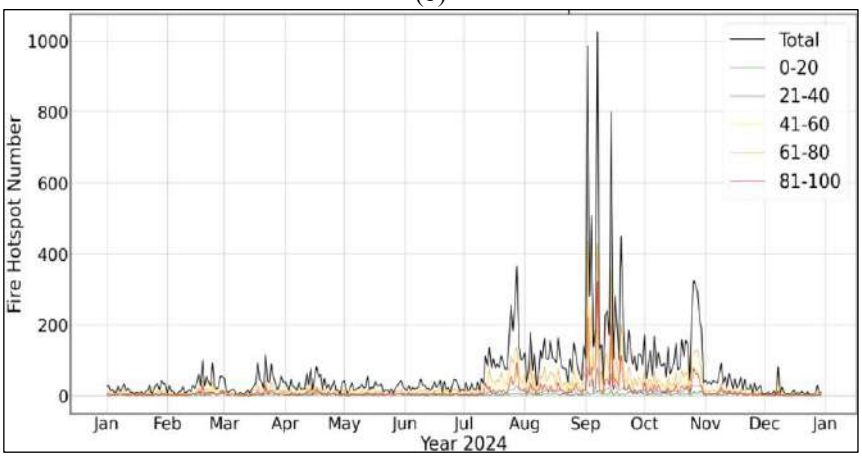
This underscores the necessity for more effective fire prevention strategies, including stricter enforcement of land-use regulations, improved peatland management, and community-based fire monitoring systems. The fire hotspot data were visualized using Python graphical tools to illustrate temporal trends and the spatial distribution of fire intensity. Time-series graphs were generated to depict variations in fire occurrences over specific periods, while geographic mapping techniques were employed to display the concentration and intensity of hotspots across various locations. This comprehensive analysis yielded valuable insights into the patterns and drivers of fire incidents, contributing to a better understanding of fire dynamics in the studied areas. Figure 3 shows the complete plotted data of fire hotspots chronologically from (a) 2022 to (c) 2024.



(a)



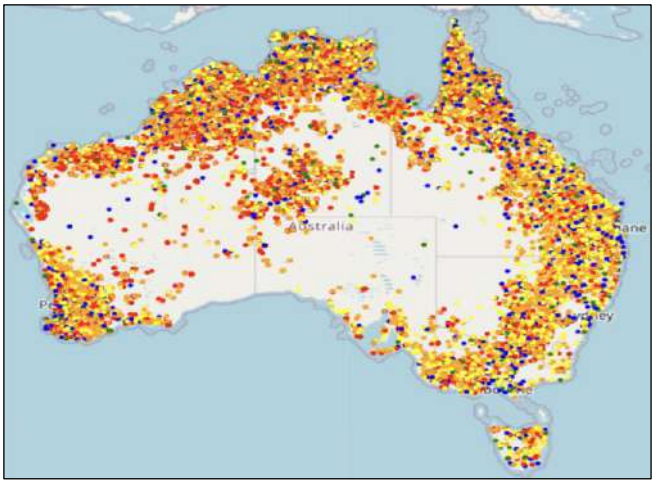
(b)



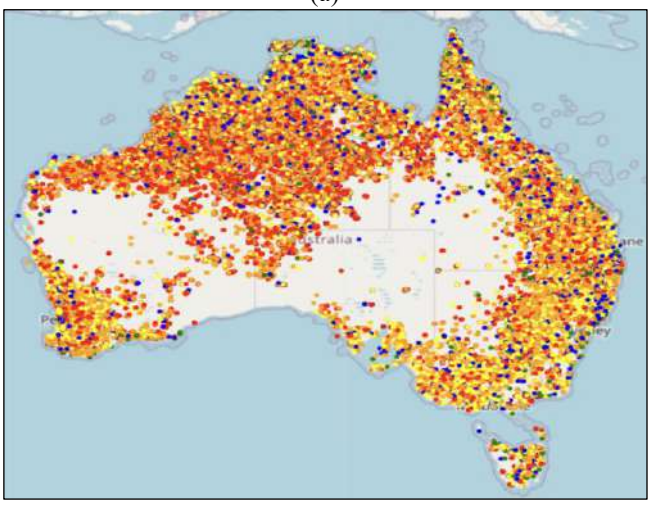
(c)

Figure 3: Fire hotspots detected in Indonesia from 2022 to 2024: (a) 2022 (b) 2023 and (e) 2024.
Source: Authors, (2026).

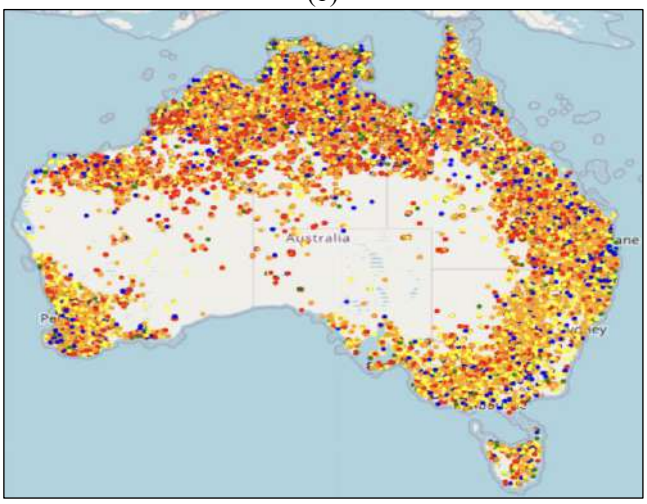
In contrast, Australia's fire seasons have intensified over the past few decades, highlighted by significant events such as the 2009 Black Saturday and the 2019–2020 Black Summer bushfires. NASA's analysis of Earth data indicates a marked increase in both the length and severity of fire seasons, driven by rising temperatures and prolonged droughts. Unlike in Indonesia, where fires are primarily human-induced, bushfires in Australia are primarily driven by natural sources such as lightning strikes. However, climate change and fuel accumulation have worsened their effects Fire hotspots in Australia were mapped using NASA Earth Data, illustrating the spatial distribution and intensity of fire occurrences throughout the region. Figure 4 displays this mapping of fire hotspots from 2022 to 2024.



(a)



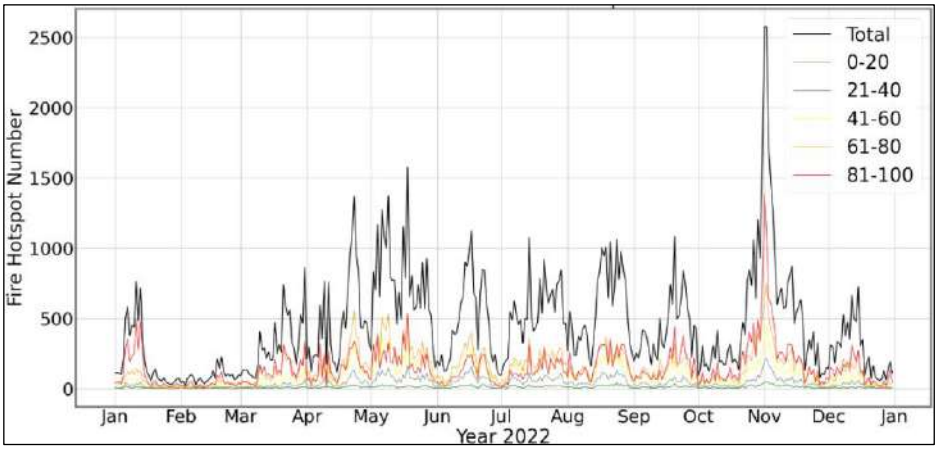
(b)



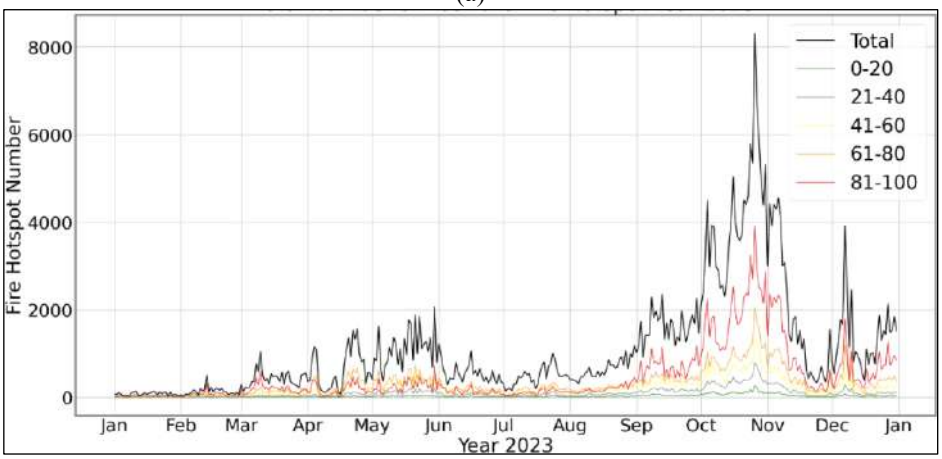
(c)

Figure 4: Results of fire mapping in Australia: (a) 2022 (b) 2023 and (c) 2024.
Source: Authors, (2026).

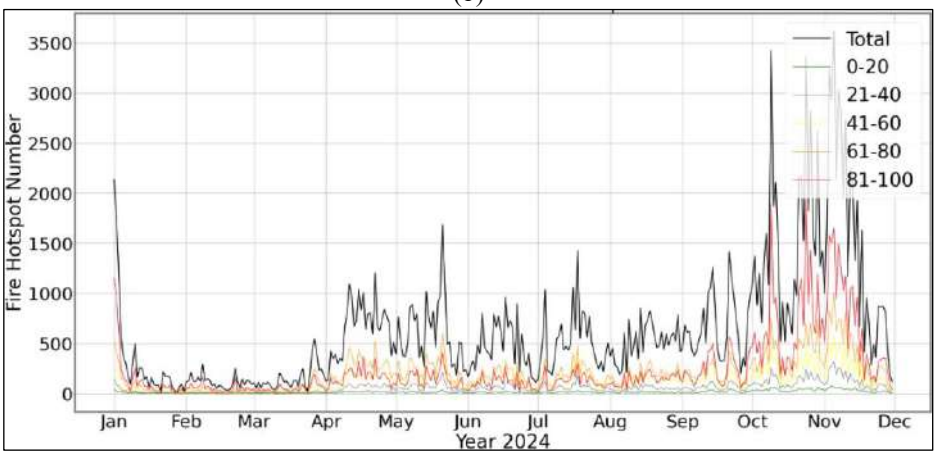
An analysis of fire hotspot intensity in Indonesia revealed significant temporal and spatial patterns closely linked to climatic conditions and land-use practices. Time-series graphs show that the number and intensity of fire hotspots exhibit substantial seasonal variations, with noticeable peaks occurring during the dry season, typically between August and October. This pattern correlates with the well-documented monsoon cycle in Indonesia, where extended dry periods create favourable conditions for vegetation dryness and heightened fire risk. The graphs also indicate a significant increase in fire intensity during specific years, particularly those associated with El Niño events. During intense El Niño periods, reduced rainfall and higher temperatures contribute to more severe and widespread fires. This is evident in the increased number of hotspots and higher average FRP values recorded in those years, such as 2015 and 2019, which correspond with severe haze episodes and extensive forest and peatland fires in Indonesia. Figure 5 shows the intensity of fire hotspots in Australia from 2022 to 2024.



(a)



(b)



(c)

Figure 5: Fire hotspots detected in Australia from 2022 to 2024: (a) 2022 (b) 2023 and (c) 2024.
Source: Authors, (2026).

Based on an analysis of historical fire hotspot data obtained from NASA's Earth Data, particularly the FIRMS platform, predicting potential fire hotspot activity in Australia for 2025. The data reveal consistent seasonal patterns, with fire occurrences peaking during the dry and hot months, typically from September to March, particularly in regions such as the Northern Territory, Queensland, and Western Australia. Furthermore, analysis of past data shows a strong correlation between increased fire activity and climatic factors, including prolonged droughts, higher-than-average temperatures, and El Niño events. Given current climate trends and forecasts predicting elevated temperatures and reduced precipitation in parts of Australia in 2025, the intensity and frequency of fire hotspots are likely to remain high, particularly in vulnerable areas characterized by dry vegetation and significant land-use changes. Therefore, this predictive analysis highlights the im-portance of implementing proactive fire management strategies, such as early warning systems, land management policies, and community preparedness, to mitigate potential fire risks in the upcoming year. Figure 6 presents the visualized predictive model for fire risks in 2025 based on our analysed data.

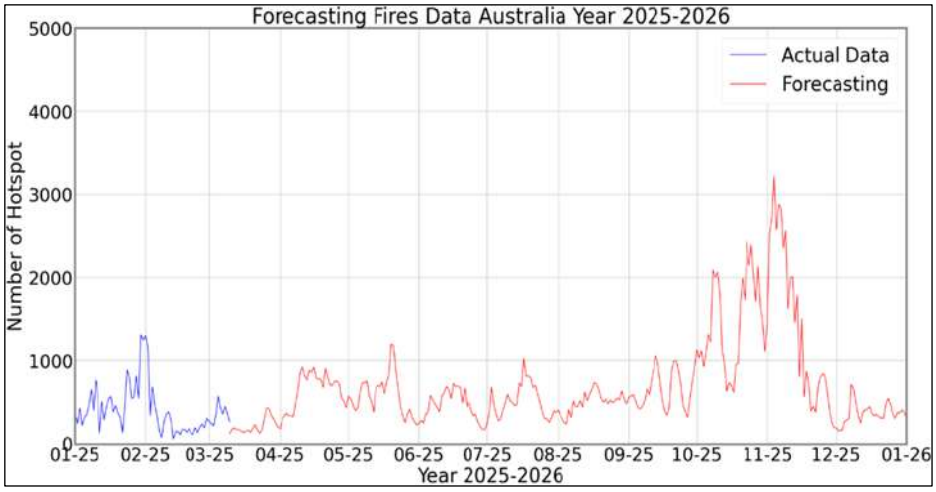


Figure 6: Forecast of the number of fire hotspots in Australia for the year 2025.
Source: Authors, (2026).

The prediction for fire hotspot occurrences in Indonesia for 2025 is informed by analysing historical data sourced from NASA Earth Data, specifically the FIRMS active fire datasets. This analysis reveals a recurring pattern of heightened fire activity during the dry season, particularly from July to October, with significant concentrations of hotspots in regions such as Sumatra and Kalimantan. Previous trends also indicate that fire intensity and frequency increase during El Niño years, contributing to prolonged drought conditions and drier peatlands and making them highly susceptible to fires. Considering climate projections and ongoing risk factors, including land-use practices such as slash-and-burn agriculture and peatland drainage, fire hotspot activity in Indonesia is expected to remain high in 2025, particularly if an El Niño event occurs. Consequently, this predictive analysis underscores the necessity for strengthened fire prevention measures, improved peatland management, and early warning systems to mitigate the potential environmental and health impacts of fires in the coming year. Figure 7 illustrates the potential for forest fires in Indonesia from September to October 2025.

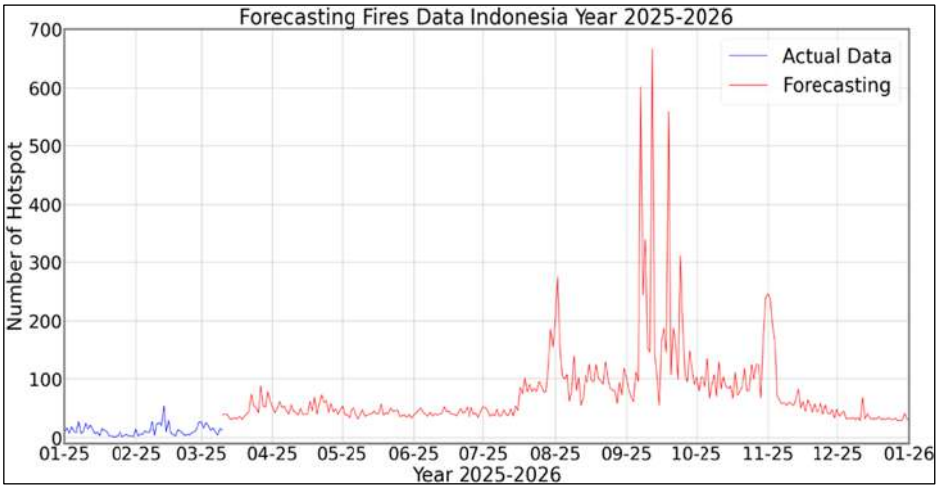


Figure 7: Forecast of the number of fire hotspots in Indonesia for the year 2025.
Source: Authors, (2026).

The number of fire incidents in Indonesia, as illustrated in Figure 5, shows a significant accumulation from August to December each year, peaking in September and October. By contrast, Figure 7 highlights the trend of fire incidents in Australia hotspots from 2021 to 2024, which accumulated from March to November. Notably, the year 2020 experienced unusually low incidents due to the COVID-19 pandemic. Forest fires in both countries have resulted in significant environmental harm. In Indonesia, peatland fires release vast quantities of carbon, exacerbating global climate change. In addition, bio-diversity loss, habitat destruction, and soil degradation are critical concerns.

Similarly, Australian bushfires have had devastating effects on ecosystems, with the 2019–2020 Black Summer fires resulting in the loss of nearly three billion animals and endangering many species. Both Indonesia and Australia have also faced significant economic losses due to forest fires. In Indonesia, the haze crisis disrupts transportation, affects tourism, and contributes to respiratory illnesses, with financial costs estimated at $16 billion during the 2015 fire season alone. In Australia, bushfires have destroyed homes, infrastructure, and agricultural land, with the Black Summer fires leading to an estimated $110 billion in damage.

The health impacts from these fires, including respiratory diseases and mental health issues, have been widely reported in both countries due to prolonged exposure to smoke pollution. The effectiveness of Indonesia's fire management approaches relies on various mitigation strategies, including regulatory measures such as the moratorium on peatland development and stricter land-clearing regulations. However, enforcement remains weak due to corruption and a lack of resources. Community-based fire prevention initiatives, which involve local communities in fire prevention and sustainable agriculture, have demonstrated some success in reducing fire incidents.

Moreover, technological solutions, such as satellite monitoring and IoT-based early warning systems, have been utilized to detect and prevent fire outbreaks. Despite these efforts, challenges, such as illegal land-clearing and conflicting economic interests, continue to impede effective fire management. By contrast, Australia has implemented a combination of traditional and modern fire mitigation strategies. Controlled burns, through prescribed burning, aim to reduce fuel loads, but their effectiveness is limited in extreme weather conditions. Policies promoting fire-resistant infrastructure encourage the use of fire-resistant building designs and urban planning in fire-prone areas.

Recognition of Indigenous fire knowledge has increased, with a focus on employing low intensity burns to prevent large-scale fires. Australia also has a well-established fire response system in place. However, the growing severity of fires due to climate change necessitates continuous adaptation and improvements in fire management strategies. A comparative analysis reveals key lessons from each country's experience, emphasizing the importance of more vigorous policy enforcement. Indonesia could benefit from Australia's strict fire management policies and advanced response systems.

In addition, the integration of traditional Indigenous fire management practices from Australia could be adapted in Indonesia, particularly within community-based fire prevention programs. Both countries can also harness technological innovations, such as advancements in satellite monitoring, AI-driven fire prediction models, and IoT-based early warning systems. Future research should focus on developing cross-border cooperation for haze reduction in Southeast Asia, exploring climate adaptation strategies for bush-fire-prone regions, enhancing community involvement in fire prevention programs, and investing in AI-driven fire-risk assessment models.

V. CONCLUSIONS

The analysis of forest fire trends in Indonesia and Australia highlights the increasing threat posed by climate change and land-use practices. Although both countries have implemented various mitigation strategies, they continue to face challenges in policy enforcement, community engagement, and technological integration. The graph results reveal that seasonal climatic factors and human activities contribute to the intensity of fire hotspots in Indonesia. These visualizations offer valuable insights into the timing and locations where fires are most likely to occur, providing essential information for policymakers, environmental agencies, and disaster management authorities to formulate targeted mitigation efforts.

Learning from past experiences and adopting innovative solutions will be critical in reducing the frequency and effects of future fire events. The literature indicates that, although Indonesia and Australia face unique fire challenges, valuable lessons can be learned from each country's experiences. Effective fire management requires a combination of policy enforcement, technological advancements, community engagement, and international cooperation. As climate change amplifies fire risks, future research should focus on integrating scientific innovations with traditional fire management practices to develop more sustainable and adaptive mitigation strategies.

VI. AUTHOR'S CONTRIBUTION

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ASSESSING MORAL DEVELOPMENT AND LEARNING OUTCOMES IN STEM EDUCATION: EVIDENCE FROM AN INDONESIAN INFORMATICS PROGRAM

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ABSTRACT

This study examines the dual role of mathematics learning in developing moral character and STEM competencies among informatics engineering students. Despite mathematics being a fundamental component of engineering education, its potential as a vehicle for character development remains underexplored. Through a mixed-methods approach involving 55 informatics engineering students from an Indonesian university, significant correlations were found between mathematical ability and moral character development ($r = 0.42$, $p < 0.01$) and career readiness ($r = 0.38$, $p < 0.05$). The integrated STEM mathematics learning approach, which connected discrete mathematics to real-world informatics problems, proved effective in fostering both computational thinking (demonstrated by 42% improvement in programming abstraction) and professional ethics (28% enhancement in ethical awareness). Thematic analysis revealed emerging themes "including 'increased awareness of data privacy' and 'appreciation for logical consistency in ethical reasoning.' " Results indicate that mathematics serves not only as a technical foundation but also as a medium for character development in engineering education. The study recommends an integrated curriculum design that leverages mathematics learning for holistic student development, addressing the growing need for responsible innovation in technology fields.

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I. INTRODUCTION

Informatics engineering education traditionally prioritizes the development of technical prowess, often relegating mathematics to the role of a foundational but purely analytical tool. However, the potential of mathematics as a vehicle for character development remains underexplored in engineering education. A growing body of literature suggests that mathematics learning possesses significant, yet underutilized, potential for fostering character development [1],[2]. This is critically needed in a field where professional decisions have profound ethical implications, from data privacy to algorithmic bias. Preliminary evidence from this study's data aligns with this view, revealing that 78% of students find mathematics learning helpful in cultivating precision and self-discipline—attributes identified as essential for computing professionals [3].

While the STEM (Science, Technology, Engineering, and Mathematics) approach emphasizes interdisciplinary integration [4], with mathematics as a foundational pillar for engineering competencies [5] its implementation often remains superficial. This overlooks the broader pedagogical potential of STEM to concurrently foster character and essential soft skills. Consequently, a significant gap persists between the production of technically competent graduates and the formation of holistic professionals equipped for modern workforce demands, where competencies like ethical reasoning, teamwork, and adaptability are increasingly paramount [6], [7].To address this gap, this study investigates the dual role of mathematics within an integrated STEM context.

The research is guided by three questions: (1) To what extent does mathematics learning contribute to the development of specific moral character traits (e.g., precision, discipline, ethical reasoning) in informatics engineering students? (2) What is the relationship between mathematical competence and the development of broader STEM competencies? (3) How can a mathematics curriculum be designed to synergistically optimize both technical and character development.

II. THEORETICAL FRAMEWORK

A. The Imperative for Character Education in Technical Disciplines

The prevailing paradigm in informatics engineering education has historically emphasized technical proficiency, often at the expense of character development [8]. This creates a critical gap in professional preparation, as the field increasingly grapples with complex ethical dilemmas in artificial intelligence, data privacy, and algorithmic decision-making. The cultivation of moral character is no longer a supplementary concern but a fundamental component of engineering excellence [9]. This study operates on the premise that the journey from computation to compassion requires deliberate pedagogical efforts to develop responsible professionals who can navigate the socio-ethical dimensions of technology.

B. STEM Integration as a Conduit for Holistic Learning

The integrated STEM approach effectively connects mathematical concepts with real-world applications in informatics engineering, providing a meaningful context for learning [10]. Mathematics serves not only as the language for solving engineering problems but also fosters systematic thinking essential for ethical reasoning. By connecting abstract mathematical concepts to real-world engineering challenges, STEM pedagogy moves beyond siloed knowledge to create meaningful, contextualized learning experiences [11]. Within this framework, mathematics transcends its conventional role as a mere computational tool; it becomes the essential language for engineering problem-solving while simultaneously fostering the systematic and critical thinking patterns crucial for ethical analysis [12]. This integrated approach serves as a conduit for the simultaneous development of technical skills and character attributes.

C. Mathematical Thinking: The Foundation for Moral and Technical Reasoning

The process of engaging with mathematics inherently cultivates dispositions that form the bedrock of both technical competence and moral character. Mathematical thinking demands precision, intellectual honesty, perseverance, and logical consistency—attributes that align directly with professional virtues required in informatics engineering [13]. The rigorous practice of constructing valid arguments and verifying truths provides a natural training ground for the ethical reasoning needed in technology development. Furthermore, the problem-solving nature of mathematics directly fosters the analytical and adaptive thinking cited as crucial for professional success [14], [15]. This theoretical perspective posits that mathematics learning does not merely support technical skill acquisition but inherently builds the cognitive and ethical foundation for responsible innovation.

III. MATERIALS AND METHODS

This study employed a convergent parallel mixed-methods design to comprehensively investigate the role of mathematics learning in developing character and STEM competencies. The quantitative and qualitative data were collected simultaneously during the discrete mathematics course, then integrated during the analysis phase to provide a holistic understanding of the phenomenon. The comprehensive assessment framework aligns with contemporary approaches to STEM education evaluation [16] ensuring that both technical proficiency and character development are adequately measured.

Table 1: Variable Constructs and Measurement Items.

Construct	Sub-Construct	Sample Item	No. of Items
Moral Character	Fairness & Equality	Treat everyone equally, support equal opportunities	3
	Empathy & Compassion	Understand friends' feelings, Help friends in need	3
Academic Behavior	Self-Regulation	Manage emotions, Delay gratification	3
Professional Ethics	Digital Ethics	Data privacy awareness, Respect intellectual property	3
Learning Outcomes	Applied Competence	Apply theories, Problem-solving ability	3
Career Readiness	Technical Competence	Technical skills maturity, Presentation ability	3

Source: Authors, (2026).

The study involved 55 third-year informatics engineering students from Indonesian universities, comprising 37 males (68%) and 18 females (32%). Participants were selected using purposive sampling based on their enrollment in discrete mathematics courses. The sample size provided adequate statistical power for the planned analyses while allowing for in-depth qualitative investigation. The measurement framework comprised five main constructs operationalized through 42 Likert-scale items (1-5 scale). Each sub-construct contained three items developed based on literature review and expert validation by three specialists: two education experts with expertise in character assessment and one computer science professor with experience in STEM education. The validation process evaluated content relevance, construct validity, item clarity, and contextual appropriateness for informatics engineering students. Following expert feedback and revisions, the instrument was pilot-tested with 24 students from related disciplines. The final instrument demonstrated strong reliability with Cronbach's Alpha coefficients exceeding 0.7 for all constructs. Data collection was conducted at Putra Indonesia University "YPTK" Padang, involving computer science students through multiple instruments to ensure methodological triangulation.

Quantitative data analysis proceeded in several stages. Descriptive statistics summarized the basic characteristics of the data. Pearson correlation analysis examined relationships between mathematical ability and character development indicators. Multiple regression analysis identified significant predictors of student outcomes. Reliability analysis confirmed internal consistency (Cronbach's Alpha > 0.7). Qualitative data from open-ended responses and interviews were analyzed using thematic analysis following Braun & Clarke's (2006) framework. This involved familiarization with data, generating initial codes, searching for themes, reviewing themes, defining themes, and producing the analysis. The qualitative findings provided contextual depth to the statistical results, enabling comprehensive understanding of how mathematics learning influences character development

IV. RESULTS AND DISCUSSIONS

IV.1 RESULTS

The correlation analysis revealed significant positive relationships between mathematical proficiency and character development among informatics engineering students. As shown in Table 2, all character aspects demonstrated statistically significant correlations with mathematical ability, with precision showing the strongest relationship ($r = 0.48$, $p < 0.001$). This was followed by discipline ($r = 0.42$, $p < 0.01$) and professional ethics ($r = 0.38$, $p < 0.01$), while responsibility showed a moderate but still significant correlation ($r = 0.35$, $p < 0.05$). These findings substantiate the conceptual link between mathematical rigor and character formation, particularly highlighting how mathematical precision translates into professional exactitude and ethical awareness.

Table 2: Correlation between Mathematical Ability and Student Character.

Character Aspect	Correlation	Significance
Discipline	0.42	P < 0.01
Precision	0.48	P < 0.001
Responsibility	0.35	P < 0.05
Professional Ethics	0.38	P < 0.01

Source: Authors, (2026).

The integrated STEM approach yielded substantial improvements across both technical and ethical domains. Qualitative findings from student interviews reinforced these improvements, with one student noting, 'This forum really helped me become aware of moral fundamentals, ethics, and performance.' Another student expressed, 'I hope learning can emphasize ethics and skills more.' Thematic analysis revealed prominent themes such as 'increased awareness of data privacy' and 'appreciation for logical consistency in ethical reasoning.' These qualitative insights complement the quantitative results, showing a 42% enhancement in programming abstraction ability, 35% increase in understanding computer network concepts, and 28% improvement in ethical awareness in algorithm development. Analysis of career readiness indicators revealed substantial advantages for students with strong mathematical foundations. Those mastering discrete mathematics showed significantly higher professional preparedness ($M = 4.1$ vs 3.2 on a 5-point scale), superior applied problem-solving competence (88% vs 65% success rate), and enhanced technological adaptability (79% vs 52%). These findings underscore mathematics' critical role in developing the holistic competencies required for professional success in informatics engineering, bridging technical capability with adaptive learning capacity.

V.2 DISCUSSION

This study provides empirical evidence that mathematics learning serves as a foundational medium for character development in informatics engineering education. The strong correlations between mathematical proficiency and character traits—particularly precision ($r = 0.48$, $p < 0.001$), discipline ($r = 0.42$, $p < 0.01$), and professional ethics ($r = 0.38$, $p < 0.01$)—demonstrate that the process of engaging with mathematical problems inherently cultivates virtues essential for professional practice. The rigorous demand for logical consistency and intellectual honesty in mathematics creates what might be termed an "ethical training ground," where students develop the cognitive habits necessary for responsible decision-making in complex technological contexts. This finding substantiates Glaser's [17] proposition about mathematical thinking involving value development, while extending it to contemporary informatics engineering contexts where ethical reasoning is paramount, particularly in addressing modern challenges in AI ethics and data privacy [9]. These findings have significant implications for mathematics education pedagogy, suggesting that the way mathematics is taught—emphasizing process over mere product, collaboration alongside individual work, and real-world applications beyond abstract exercises—can fundamentally shape both technical and ethical development in engineering students. The integrated STEM approach emerged as a crucial pedagogical bridge connecting abstract mathematical concepts with tangible character outcomes.

By contextualizing discrete mathematics within authentic informatics engineering scenarios—such as algorithm optimization and data structure analysis—the learning environment transformed into a simulated professional practice space. This contextualization enabled students to experience directly why precision matters in code development and how ethical considerations emerge in algorithm design affecting user privacy (evidenced by the 28% improvement in ethical awareness). The parallel improvements in computational thinking (42% enhancement in abstraction ability) and character development demonstrate that technical and ethical competencies are not competing educational objectives but synergistic outcomes. The STEM framework thus provides the methodological means to make the journey from computation to compassion pedagogically operational and empirically measurable. The project-based learning component of our STEM approach resonates with successful models in engineering education that emphasize authentic professional practice [18]. This contextualization allows students to experience the real-world implications of their mathematical and technical decisions. The findings necessitate a fundamental rethinking of informatics engineering curriculum design.

Rather than treating character development as an ancillary concern, it should be architecturally integrated into the mathematical and technical core of the program. Three key design principles emerge: First, curriculum must systematically incorporate ethical dilemmas into mathematical problem-solving, using case studies that require students to consider societal impact, privacy implications, and algorithmic fairness. This moves beyond treating ethics as a separate module and instead embeds it within technical learning. Second, project-based learning with real-world contexts should serve as the primary pedagogical approach, creating natural opportunities for students to practice collaboration, responsibility, and perseverance while applying technical skills. These extended projects become microcosms of professional practice where character is both required and developed. Third, assessment strategies must evolve to include authentic, multi-faceted methods that evaluate both technical proficiency and character development.

This could involve rubrics assessing team collaboration processes, reflective journals on ethical decision-making, and portfolios demonstrating growth in professional judgment alongside technical artifacts. Fourth, educator development must be prioritized. Mathematics teacher preparation should incorporate and professional development should incorporate pedagogical strategies that explicitly connect mathematical thinking with ethical reasoning. This includes training educators to design learning activities that highlight the ethical dimensions of mathematical applications, facilitate discussions about the social implications of technological solutions, and assess both technical proficiency and ethical decision-making. Such preparation will equip mathematics educators to foster the development of ethically-grounded technical professionals. The recommended curriculum design draws from established frameworks for integrated STEM education [16] [10] particularly emphasizing the need for authentic assessment methods that capture both technical and character development.

The findings have significant implications for the growing field of AI ethics and responsible innovation. The demonstrated connection between mathematical reasoning and ethical awareness provides a pedagogical foundation for educating future engineers who will develop AI systems. As noted by one student, *'Research like this can provide insight into how students understand morality and ethics in relation to academic achievement and performance.'* This alignment between technical precision and ethical consideration is crucial for responsible innovation, particularly in AI development where algorithmic decisions can have profound societal impacts. The integrated approach described in this study offers a model for cultivating what might be termed 'ethically-grounded computational thinking' - essential for developing AI systems that are not only efficient but also fair, transparent, and socially responsible.

V. CONCLUSIONS

This study demonstrates that mathematics learning in informatics engineering possesses a dual function: it serves as an indispensable technical foundation and a powerful, often underutilized, medium for character development. The integrated STEM approach has proven effective in simultaneously advancing computational competencies and fostering moral character, successfully bridging the gap between technical proficiency and ethical reasoning. A deliberate pedagogical strategy that leverages this dual potential can produce graduates who are not only technically adept but also ethically grounded and responsible professionals—embodying the essential journey from computation to compassion in modern engineering education. To translate these findings into practice and guide further scholarly inquiry, the following recommendations are proposed:

For Educational Practitioners:

Systematically integrate character education objectives into mathematics and core informatics engineering curricula. Develop and implement STEM-based learning modules that fuse technical content with ethical reasoning exercises. Provide comprehensive pedagogical training for lecturers in integrated teaching approaches. Create authentic assessment methods that evaluate both cognitive development and character growth. For Future Research: Conduct longitudinal studies to examine the long-term impacts of integrated mathematics and character education. Develop more robust theoretical models for curriculum integration across STEM disciplines. Explore the applicability and effectiveness of these approaches across diverse cultural and institutional contexts. Investigate specific mechanisms through which mathematical thinking translates to ethical reasoning in professional practice.

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RESEARCH ARTICLE OPEN ACCESS

SAFETY AS AN ORGANIZATIONAL DIMENSION: CHALLENGES OF PUBLIC MANAGEMENT IN RISK PREVENTION AND INSTITUTIONAL RESPONSIBILITY

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ABSTRACT

The study seeks to reflect on the importance of occupational safety in working at heights during public building maintenance, emphasizing organizational challenges and structural proposals that may contribute to risk mitigation. Methodologically, the research is developed through bibliographic review and documentary analysis, with data interpretation based on categorical content analysis. The investigation is relevant as it highlights the importance of safety in activities performed at heights in public buildings with high circulation, since the results indicate that analyzing recurring failures and adopted preventive measures supports the implementation of management systems that promote a culture of prevention and significantly reduce accident rates. The study contributes to broadening the understanding of height safety in public administration; socially, it reinforces its ethical dimension by valuing life, dignity, and human integrity in public service.

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I. INTRODUCTION

Work at height is widely recognized as one of the occupational activities that pose the greatest risks to workers' physical integrity and lives, which is why it requires rigorous planning, technical training, and effective preventive measures. According to Regulatory Standard No. 35 (NR-35), established by Ordinance MTE No. 313 of March 23, 2012, work at height is defined as any activity performed at a height greater than two meters above the lower level, where there is a risk of falling [1]. The regulation establishes several mandatory requirements, such as worker training, the use of Personal Protective Equipment (PPE), the preparation of a Preliminary Risk Analysis (PRA), and a Work Permit (WP) [2]. Nevertheless, accidents related to these activities remain at high levels, revealing a gap between legislation and its effective application, especially in the public sector.

According to the Occupational Safety and Health Observatory, Brazil recorded a total of 499,955 occupational accidents in 2023, of which 2,888 resulted in death [3]. Among the most lethal causes, falls from height stand out, particularly in the construction, industrial, and public service sectors, where working conditions frequently expose professionals to high risks. A study conducted by the former Ministry of Labor in partnership with Revista Proteção indicates that about 40% of occupational accidents in the country are directly or indirectly related to work-at-height activities [4]. This data reinforces the urgency of implementing more effective public policies and safety practices aimed at prevention, worker training, and enforcement of standards, in order to reduce the recurrence of serious accidents and preserve lives in the workplace.

In the construction industry, the severity of falls from height is even more alarming: 65% of accidents involve this type of occurrence, and more than half result in death [5]. In Rio Grande do Sul, the scenario is equally concerning. In 2023, 384 work-related deaths were recorded, representing a 35% increase compared to 2022. Among these cases, 320 were typical accidents, 63 were commuting accidents, and 1 was due to occupational illness. It is noteworthy that workers with precarious employment relationships—such as self-

employed and unregistered workers—accounted for 50.01% of fatal typical accidents, with self-employed individuals representing 38.13% of occurrences [6].

These data highlight the vulnerability of these professionals and the urgency of protection policies that strengthen inspection, promote formalization, and ensure safe working conditions. Although the public sector does not always appear prominently in sectoral reports, its importance within the context of occupational safety is undeniable. Public buildings such as schools, universities, hospitals, and administrative offices frequently require maintenance work at height, including roof repairs, façade restoration, and electrical and hydraulic maintenance. When poorly planned, such activities place both permanent and outsourced workers in high-risk situations. This reality is exacerbated by outdated infrastructure, irregular maintenance contracts, and the absence of standardized safety protocols. The combination of these factors reveals a concerning scenario that demands public authorities' attention toward the implementation of effective prevention and inspection policies to ensure safe working conditions and prevent serious or fatal accidents in institutional environments widely used by the population.

In this context, the present article aims to critically reflect on the importance of occupational safety in work-at-height activities during public building maintenance, focusing on organizational challenges and structural proposals that may contribute to risk mitigation. The objective is to discuss, in light of current legislation and empirical data, the main barriers to the effective implementation of height safety management in public institutions, while proposing ways to strengthen a culture of prevention, responsibility, and appreciation of life. Based on field experience and the theoretical support of administrative and occupational health sciences, this study seeks to contribute to the development of more effective public policies and to the improvement of public management in occupational safety. Workplace safety needs to be at the heart of public policies and competitiveness strategies, not only for legal reasons, but also for social justice and productive efficiency [7].

II. METHODOLOGY

Regarding the procedures adopted, this investigation employs bibliographic review and documentary research. A literature review is a fundamental step because it allows the researcher to understand the state of the art on the topic, identify gaps in knowledge, and theoretically support the study with reliable and relevant information [8]. Documentary research involves the analysis of materials that have not received prior analytical treatment, such as official documents, reports, and historical archives, and is essential for understanding specific contexts and enriching the study with primary data [9]. For data interpretation, categorical content analysis was chosen, structured around four main categories: (1) The Role of Institutional Management in Risk Prevention; (2) Objective Responsibility in Public Service; (3) Safety as an Organizational Dimension; and (4) Social and Economic Impact. The analysis is a structured procedure that begins with pre-analysis, which consists of the careful selection of documents or materials to be analyzed, allowing the researcher to gain a general understanding of the material before conducting an in-depth examination [10]. After this initial stage, the treatment of results is carried out by organizing the content into thematic categories, grouping materials according to similarities or relationships identified in the information. Finally, during the interpretation of results stage, the researcher analyzes the categories, explores the relationships among them, and seeks significant patterns that may provide a deeper understanding of the phenomenon under study.

III. THEORETICAL FRAMEWORK

III.1 OCCUPATIONAL SAFETY AND RISK MANAGEMENT

Occupational safety encompasses a set of technical, medical, and educational measures aimed at preventing accidents and occupational diseases, with the purpose of preserving the physical integrity and health of workers during the performance of their duties. Occupational safety management is an essential area that transcends the mere implementation of practices and policies, representing a profound commitment to the comprehensive protection of workers' health, safety, and well-being in the workplace [11]. This approach requires not only compliance with legal standards but also the promotion of an organizational culture that values life and fosters safe and humanized work environments. It becomes evident that occupational safety should be understood as a fundamental ethical value and a priority in both public and private management practices.

Prevention, within the context of occupational safety, consists of anticipating risks with the aim of eliminating or minimizing the likelihood of undesirable events. In this sense, risk analysis is a systematic process that identifies hazards, assesses the probability and severity of potential harm, and proposes control measures to protect workers' integrity. Risk analysis must be an integral part of any safety management system, as it provides the essential elements for decision-making that reduces exposure to hazards [12]. This tool is strategic for predicting critical scenarios, guiding preventive actions, and supporting effective managerial decisions. It can therefore be concluded that risk analysis is indispensable for preventive management committed to safety, health, and sustainability in work environments.

Work-related accidents are legally defined by Law No. 8,213/1991 as those occurring during the exercise of professional activities performed in the interest of a company or public agency, resulting in bodily injury, functional disturbance, or total or partial, temporary or permanent, loss of work capacity [13]. The same legislation establishes the obligation to issue a Work Accident Report (Comunicação de Acidente de Trabalho – CAT), an essential instrument for the formal recording of accidents and statistical control of occurrences [14]. The CAT plays a fundamental role in monitoring working conditions and formulating public policies aimed at prevention and the promotion of occupational health. Therefore, legal recognition and systematic reporting of accidents are essential steps in building safer work environments and ensuring institutional accountability for worker protection.

Regulatory Standard No. 35 (NR-35) establishes the minimum requirements and protective measures related to the safety of workers performing activities at height, defined as those carried out more than two meters above the lower level where there is a risk of falling. Among its requirements are specific worker training, the mandatory use of Personal Protective Equipment (PPE), and the preparation of operational procedures and a Preliminary Risk Analysis (PRA), which aims to identify and mitigate hazards before task execution [15]. The regulation seeks to promote a culture of prevention, requiring both employers and employees to assume clear

responsibilities regarding safety. NR-35, therefore, represents an essential instrument to reduce serious accidents and preserve lives, especially in sectors such as construction, where working at height is frequent and high-risk.

In addition to NR-35, other standards complement the legislation on work-at-height safety, such as NR-06, which regulates the use of PPE, and NR-01, which establishes general provisions and guidelines for occupational risk management [16], [17]. With the modernization of Regulatory Standards initiated in 2019, the integration between the Risk Management Program (PGR) and preventive actions was strengthened, promoting a more systemic and effective approach to occupational safety management. This regulatory update reinforces prevention and shared responsibility between employers and workers, while the harmonization of these standards is fundamental for creating safer work environments, reducing accident rates, and promoting occupational health.

III.2 SAFETY MANAGEMENT IN PUBLIC ORGANIZATIONS

The management of occupational safety in public organizations represents a strategic challenge that transcends mere legal compliance. Unlike the private sector, public institutions operate in complex environments marked by rigid administrative structures, a multiplicity of sectors and responsibilities, and often limited budgetary resources. The consolidation of effective Occupational Health and Safety (OHS) management in public organizations requires the creation of interdisciplinary working groups dedicated to the continuous supervision of OHS actions. In this context, the effective implementation of occupational safety policies requires coordinated efforts among different hierarchical levels, including managers, technicians, public servants, and outsourced companies.

Organizational culture in the public sector often lacks a systematic and preventive approach to occupational safety, with reactive practices that are only activated after accidents occur. This posture limits the effectiveness of protection measures and increases risks for workers. The Policy for Occupational Health and Safety of Federal Public Servants (PASS/SIASS) often prioritizes actions related to medical examinations to the detriment of preventive initiatives, resulting in fragmented governance and insufficient human and financial resources [18]. This scenario reinforces a reactive culture in which safety measures are intensified only after incidents, compromising the effectiveness of a systematic and proactive OHS approach. The absence of planning and investment in prevention undermines workplace health and safety, leading to greater vulnerability and higher accident rates.

Therefore, it is essential to promote a cultural shift that values continuous prevention, ensuring safer work environments and protecting the integrity of public servants. The adoption of an integrated approach involving health, safety, environment, labor, social security, and other sectors is crucial to overcome the intersectoral fragmentation that compromises the effectiveness of preventive actions. The National Policy on Workers Health and Safety (PNSST), established in 2004, reinforces this perspective by advocating for the formulation and implementation of transversal and intersectoral public policies capable of promoting coordinated actions among different levels of government [19]. This integration seeks to break with isolated practices, strengthening prevention as a strategic axis for worker protection.

Only through coordinated and committed action among various sectors will it be possible to advance in building safer, healthier, and more sustainable workplaces, particularly in the public sector, where the effects of fragmented management are still evident. The adoption of modern management tools, such as Occupational Health and Safety Management Systems based on ISO 45001:2018, has proven to be a promising alternative for public institutions. This international standard encourages the incorporation of safety as an institutional value and promotes the active participation of workers in hazard identification and the development of corrective measures [20]. Moreover, initiatives such as the institutionalization of PGR and the development of Standard Operating Procedures (SOPs) specifically for work-at-height activities are essential to ensure risk control and accident reduction.

Safety management in the public sector must align with the principles of good governance, transparency, efficiency, and accountability, ensuring that actions are responsibly planned, monitored, and evaluated. The institutionalization of risk management practices in public organizations significantly strengthens governance while fostering safer, more reliable, and more sustainable work environments [21]. This approach not only reduces accidents and health risks but also enhances public trust in institutions. Integrating occupational safety into public governance is thus an essential step toward ensuring the protection of public servants, the quality of services provided, and the effectiveness of public policies aimed at workplace well-being.

Understanding occupational safety in public institutions as a collective and cross-cutting responsibility is essential to ensure the effective protection of workers. This dimension should not be restricted to a specific department or isolated professionals but should permeate the entire structure of public management. Strengthening this perspective requires consistent institutional policies, specialized technical training, and, above all, a cultural shift that recognizes safety as an inseparable component of service quality and the valuation of life [22]. This transformation demands continuous commitment and coordination among different administrative areas, since promoting safety in the public sector is a shared duty that must be at the core of institutional decision-making, contributing to fairer, healthier, and more sustainable work environments.

III.3 LEGAL RESPONSIBILITIES IN OCCUPATIONAL SAFETY

Brazilian legislation establishes a robust set of norms and guidelines aimed at protecting workers' health and physical integrity, extending further by assigning specific responsibilities regarding safety in high-risk activities. Under Regulatory Standard NR-35, for example, employers are required to ensure the safe planning, organization, and execution of work-at-height activities, including risk analysis, worker training, adequate supervision, and formal authorization systems prior to the start of tasks [23]. These standards clearly delineate the legal responsibilities of employers, managers, and workers in relation to occupational safety, assigning them specific obligations in the planning, execution, and control of work activities—especially those involving elevated risks such as working at height.

The 1988 Federal Constitution is the primary legal framework guaranteeing occupational safety as a social right, establishing the reduction of work-related risks through health, hygiene, and safety regulations [24]. This guarantee is complemented by Article 157 of the Consolidation of Labor Laws (CLT), which obliges employers to provide a safe and healthy work environment through the supply of Personal Protective Equipment (PPE) and the adoption of preventive measures [25]. These legal provisions establish a solid normative

framework that guides both the private and public sectors in promoting occupational safety, since adherence to these principles is essential to protect workers' health and uphold dignity in professional practice.

With regard to work at height, Regulatory Standard No. 35 (NR-35) stipulates that employers are responsible for conducting risk analyses, developing operational procedures, adequately training workers, and ensuring continuous supervision of activities [26]. Failure to comply with these obligations may result in administrative, civil, and even criminal sanctions, as provided by Law No. 8,213/1991, which addresses work accident benefits and liability in cases of omission [27]. These regulations reinforce the need for management committed to prevention and safety, as strict compliance with NR-35 and adherence to social security legislation are essential not only to protect lives but also to avoid legal consequences and strengthen a culture of responsibility in the workplace.

Legal responsibility for occupational safety in public institutions extends not only to direct employers but also to managers, public servants responsible for contract execution and supervision, and top administrators. Decree No. 10,024/2019, which regulates electronic procurement (pregão eletrônico), reinforces this obligation by requiring compliance with safety standards as part of contract management [28]. Negligence in contract supervision—especially in high-risk activities—may constitute an act of administrative misconduct, as established by Law No. 8,429/1992, updated by Law No. 14,230/2021 [29], [30]. These legal provisions demonstrate that omission is not merely an administrative failure but also subject to legal sanctions, affirming that compliance with occupational safety obligations is essential to the integrity of public management and the protection of workers' lives.

Labor jurisprudence has recognized the joint liability of public entities in cases of negligence in supervising the working conditions offered by outsourced companies, including building maintenance contracts. This understanding is supported by Precedent 331 of the Superior Labor Court (Tribunal Superior do Trabalho), which allows for the subsidiary liability of public administration when there is failure to supervise compliance with safety standards [31]. Thus, in public organizations, compliance with occupational safety obligations goes beyond formal requirements—it must be regarded as an institutional duty aimed at protecting life and the dignity of workers. It follows that noncompliance with these duties may entail serious legal consequences and compromise the legitimacy and accountability of administrative action within public management.

IV. RESULTS AND DISCUSSION

The analysis of the four thematic axes is essential to understand the complexity of occupational safety in the public sector. Axis (1) highlights the strategic role of institutional management in risk prevention, emphasizing the importance of proactive policies. Axis (2) addresses the challenge of strict liability, which imposes on the State the obligation to repair damages even in the absence of direct fault, thus demanding greater rigor in supervision. Axis (3) examines safety as an organizational dimension, integrating it into institutional culture and practices. Finally, Axis (4) reveals the social and economic impact of accidents, which generate human, financial, and operational costs. Together, these axes offer a broad and articulated perspective, fundamental to guiding effective preventive actions and promoting safe, ethical, and sustainable work environments within public administration. More specifically:

IV.1 THE ROLE OF INSTITUTIONAL MANAGEMENT IN RISK PREVENTION

The effectiveness of risk prevention actions in institutional environments is directly linked to the maturity level of institutional management. Public organizations that integrate safety policies into their governance systems demonstrate greater capacity to anticipate, mitigate, and monitor occupational risks. Institutionalizing risk management in the public sector promotes more predictable and rational decision-making and strengthens managerial accountability for the safety of both processes and people [32]. When treated as a strategic, rather than merely operational, function, risk management enables evidence-based decisions, reinforces organizational culture, and contributes to safer and more efficient workplaces. Investing in mature and integrated risk management is therefore essential to consolidating a safer, more responsible public administration aligned with principles of good governance.

Effective risk prevention in organizational settings requires leadership commitment, adequate resource allocation, and the implementation of tools such as the Risk Management Program (RMP) and internal audits [33]. Additionally, the international standard ISO 31000:2018 has been widely adopted as a reference framework for risk management systems in both public and private sectors, underscoring the importance of a comprehensive organizational culture that engages all areas in identifying and mitigating risks [34]. This integrated approach fosters collective awareness and shared responsibility in prevention; thus, the success of risk management depends not only on technical processes but, above all, on institutional engagement and the construction of a strong safety and sustainability culture.

Despite the persistence of fragmented and reactive approaches that hinder effective risk management, positive experiences are emerging in the public sector, such as the implementation of governance structures integrated with occupational health and safety management [35]. These initiatives strengthen the institutional role in prevention, demonstrating that institutional management extends beyond legal responsibility, it becomes a core element of organizational strategy. Furthermore, it contributes to promoting occupational health and ensuring efficient and safe public service, as investing in integrated and proactive management is crucial for overcoming historical challenges, improving workplace safety, and enhancing the quality of public services delivered to society.

IV.2 STRICT LIABILITY IN PUBLIC SERVICE

The strict liability of the State for damages caused to third parties is established in Article 37, §6 of the 1988 Federal Constitution, which provides that the direct and indirect public administration is responsible for damages caused by its agents, regardless of intent or fault [36]. In the context of occupational safety, this norm is particularly relevant when the State fails to guarantee safe conditions for its workers, whether permanent, temporary, or outsourced. This responsibility reinforces the duty of the public administration to adopt effective preventive measures and rigorously inspect workplaces. State omission in ensuring workers' physical integrity not only compromises safety but also exposes public administration to significant legal consequences, demanding greater diligence and commitment to prevention. The prevailing jurisprudence recognizes that State omission in its supervisory duties and in maintaining safe

working conditions constitutes strict liability, requiring public entities to compensate for damages, even when the activity is performed by a contracted company [37].

This liability is particularly relevant in outsourced service contracts, such as building maintenance, which often involve risks associated with working at heights. In such cases, it is essential for public managers to act diligently to ensure compliance with regulatory standards, especially NR-35, which governs safety in work at heights [38]. Rigorous supervision and effective management are indispensable to prevent accidents and avoid legal consequences for public administration. In practice, applying strict liability in the public sector faces several administrative barriers, such as difficulties in establishing causal links between public omission and the harmful event, as well as gaps in contract monitoring mechanisms. The lack of effective internal control systems and managerial accountability undermines the principle of efficiency, leaving the administration vulnerable to labor and social security litigation. These weaknesses hinder accident prevention and proper accountability, compromising worker protection and institutional credibility.

In this context, strengthening oversight tools and adopting transparent and rigorous practices are fundamental to ensuring the effectiveness of strict liability and promoting continuous improvement in public occupational safety management. Law No. 14,133/2021, which regulates public procurement, reinforces the administration's duty to monitor and supervise contract execution, including compliance with legal and labor requirements, thereby expanding the scope of strict liability [39]. This framework demands that public management adopt effective preventive systems, such as risk management plans and periodic technical audits, particularly in contracts involving high-risk activities. The challenge of strict liability in public service thus requires a critical reflection on the maturity of institutional management and the effectiveness of preventive mechanisms. Investment in training, procedure standardization, and the strengthening of a prevention- and life-centered organizational culture is indispensable for ensuring worker safety and upholding public administration's accountability.

IV.3 SAFETY AS AN ORGANIZATIONAL DIMENSION

Occupational safety must be understood as a fundamental and structuring dimension of organizations, going beyond a merely corrective or legal perspective. Institutions that incorporate safety into their strategic frameworks build resilient environments capable of preventing accidents, protecting lives, and ensuring the efficient continuity of activities. To achieve this, four organizational pillars must be articulated: well-defined operational routines, continuous training, adequate support structures, and a consolidated prevention culture [40]. This integrated approach promotes engagement at all hierarchical levels and strengthens shared responsibility for safety, recognizing that investment in these pillars is crucial to transforming occupational safety into an organizational value—ensuring safer, healthier, and more productive workplaces.

Organizational routines establish clear standards for task execution, significantly contributing to risk minimization in the workplace. Standard Operating Procedures (SOPs), formal authorizations for critical activities, and practices such as lockout and tagging are concrete examples of mechanisms that embed safety into daily operations [41]. However, the effectiveness of such measures depends directly on systematic and continuous training, ensuring workers' understanding and commitment to established norms. Without ongoing education, these routines lose their preventive effectiveness, making the combination of well-structured procedures and continuous training essential for maintaining safe workplaces and strengthening the prevention culture.

Regular training is a fundamental component of accident prevention, as highlighted by ISO 45001:2018, which stresses the need to develop competencies through instruction programs and practical simulations so that workers can understand risks and act effectively in adverse situations [42]. The existence of dedicated organizational structures—such as Internal Commissions for Accident Prevention (CIPA), safety engineering departments, and risk management committees—allows for constant monitoring of working conditions, identification of irregularities, and implementation of improvements [43]. In complex public environments such as schools, hospitals, and universities, where high staff turnover and functional diversity prevail, investment in training and specialized structures becomes essential to ensure safety and operational efficiency.

The prevention culture must be promoted as a core institutional value, as organizations with consolidated safety cultures exhibit lower accident rates and greater worker engagement in preventive actions [44]. This requires firm leadership commitment, clear communication, and the active participation of employees in designing and implementing safety measures. Recognizing safety as a strategic organizational dimension strengthens institutional performance, protects individuals, and legitimizes public administration's role in promoting dignified and healthy workplaces. Therefore, investing in building and maintaining this culture is vital for ensuring the effectiveness of preventive actions and the quality of public services provided to society.

IV.4 SOCIAL AND ECONOMIC IMPACT

The absence of effective occupational safety policies in public organizations generates significant social and economic consequences. The social impact of workplace accidents and long-term disabilities extends beyond the individual, directly affecting families and communities. Prolonged incapacity for work is a multidimensional phenomenon that results in income loss, livelihood difficulties, and increased dependence on public or family support [45]. This situation generates social exclusion, emotional overload on caregivers, and weakens community bonds, heightening social vulnerability. Occupational accidents, particularly those related to work at heights, not only jeopardize workers' health and lives but also impose high costs on the State and society. These impacts manifest through extended absences, disability retirements, death pensions, productivity losses, and civil liability lawsuits.

From an economic standpoint, the International Labour Organization (ILO) estimates that occupational accidents and diseases cause global losses equivalent to up to 4% of the Gross Domestic Product (GDP) annually [46]. In Brazil, the situation is alarming: in 2023, there were 499,955 recorded occupational accidents, resulting in 2,888 deaths, according to the Occupational Safety and Health Observatory. These events generated an estimated cost of R$ 112 billion for the country, considering social security, healthcare, and legal expenses [47]. Such data underscore the significant impact of inadequate prevention, not only on human lives but also on the national

economy, demonstrating that investing in occupational safety is essential to reducing economic losses and preserving workers' health and lives.

In the context of public institutions, the costs arising from occupational accidents are amplified by their multiplier effect on public service delivery. The absence of technical staff, project stoppages, contract litigation, and the interruption of essential activities undermine administrative efficiency and the credibility of public management. Emphasize that the indirect costs of such accidents often exceed direct costs, affecting planning, schedules, and institutional reputation [48]. These impacts reveal the importance of effective prevention and risk management policies to ensure service continuity and maintain public trust, as investing in occupational safety also means investing in the quality and sustainability of public administration. Workplace insecurity deepens social inequalities and undermines labor dignity, especially affecting outsourced and precariously employed workers, who are more exposed to risks.

Studies conducted in public educational institutions indicate that 70% of height-related accidents involve outsourced labor [49]. Beyond human suffering, these accidents destabilize families, increase reliance on welfare benefits, and reinforce cycles of social exclusion. In this context, investment in occupational safety must be seen not as a cost but as a fundamental strategy for institutional development and social justice. Prevention not only generates public value but also reduces state expenditures, contributing to the creation of safer, more productive, and inclusive workplaces—thus strengthening society as a whole. Based on the discussion presented, Table 1 provides a synthesis of the four axes, highlighting their central concepts and corresponding recommended best practices.

Table 1: Summary of the Guiding Axes.

Thematic Axis	Core Concept	Best Practices
The Role of Institutional Management in Risk Prevention	The maturity of public management is decisive in preventing occupational risks within institutional environments.	- Implementation of proactive and integrated risk management policies.- Adoption of the Risk Management Program (RMP) and internal audits.- Alignment with ISO 31000:2018 guidelines.- Leadership engagement and promotion of a safety-oriented organizational culture.
Objective Responsibility in Public Service	The State is accountable for damages even in the absence of direct fault, requiring strict oversight and contractual control.	- Strengthening supervision of outsourced contracts.- Strict compliance with Regulatory Standard NR-35.- Implementation of internal control systems.- Application of Law No. 14.133/2021 (New Public Procurement Law).
Safety as an Organizational Dimension	Safety must be an institutional value, integrated into the routines, structure, and culture of organizations.	- Development of Standard Operating Procedures (SOPs).- Continuous training based on ISO 45001:2018.- Establishment of dedicated structures such as Internal Accident Prevention Commissions (CIPA) and risk committees.- Encouragement of active employee participation.
Social and Economic Impact	Accidents result in human, social, and financial losses, undermining the delivery of public services.	- Investment in prevention as a cost-reduction strategy.- Continuous monitoring of accident data.- Public policies aimed at protecting vulnerable workers (outsourced and precarious).- Promotion of safety as a social and economic value.

Source: Authors (2026).

The analysis of the four thematic axes allows for an understanding of the complexity involved in managing occupational safety in work-at-height activities within the public sector, highlighting structural challenges and opportunities for the implementation of best practices. The first axis, "The Role of Institutional Management in Risk Prevention," demonstrates that the maturity of public management is essential for anticipating, mitigating, and monitoring occupational risks. Prevention must be treated as a strategic, rather than merely operational, function, grounded in integrated policies, the use of tools such as the Risk Management Program (RMP), internal audits, and alignment with ISO 31000 guidelines.

The second axis, "Objective Responsibility in Public Service," points out that the State is liable for damages resulting from accidents, even in the absence of direct fault, which requires rigorous oversight and effective control of contracts, particularly those involving outsourcing. Therefore, investing in preventive mechanisms and strengthening supervision is essential to protect workers and prevent legal sanctions. In the third axis, "Safety as an Organizational Dimension," the study reinforces the need to integrate occupational safety into institutional structures, considering it a fundamental organizational value. This entails defining clear operational routines, offering continuous training in accordance with ISO 45001, establishing safety committees, and promoting the active participation of public servants in building a culture of prevention.

The fourth axis, "Social and Economic Impact," broadens the discussion by demonstrating that accidents involving work at height generate not only human costs but also significant impacts on the delivery of public services and the State's budget. Worker absences, construction stoppages, litigation, and the social exclusion of injured workers reveal the extent to which prevention should be seen as both a strategy for valuing life and a means of ensuring administrative efficiency. Taken together, the four axes form an articulated management model that combines institutional responsibility, sustainability, and ethics in promoting safe working environments within the public sector.

V. FINAL CONSIDERATIONS

The purpose of this study was to responsibly and ethically identify the structural, organizational, and cultural barriers that hinder the effectiveness of preventive actions in the public sector. Although these obstacles are identifiable, overcoming them requires in-depth technical analysis, intersectoral dialogue, and strategic decisions that extend beyond the scope of a single study. The persistence of occupational safety in work at heights as one of the greatest challenges in public management is not new, but it reinforces the need for a qualified, critical, and sensitive perspective on the issue. The reflections presented here reaffirm that addressing these risks must be grounded in institutional commitment, collective responsibility, and the valuing of life—essential elements for building effective policies and safe, dignified, and sustainable work environments within public administration.

The role of institutional management in risk prevention highlights the importance of proactive and integrated policies that anticipate and mitigate hazards in the public sector. Organizations that institutionalize risk management strengthen governance, encourage managerial accountability, and promote evidence-based decision-making, while consolidating an organizational culture focused on safety. The challenge of objective liability in public service demonstrates that the State must compensate for damages caused to third parties even without direct fault. This increases the need for rigorous oversight and effective control of working conditions, especially in outsourced contracts, to prevent accidents and ensure worker safety. Such responsibility underscores the importance of diligent public management committed to the protection of life.

Safety as an organizational dimension emphasizes the importance of integrating safety into daily routines, continuous training, and the preventive culture of institutions. This approach fosters engagement across all hierarchical levels, strengthening shared responsibility for worker protection and ensuring safer, more productive, and resilient workplaces. It becomes an essential and structuring value for the effective functioning of organizations. The social and economic impact highlights the severe effects of work-related accidents on workers' lives, the financial costs for the public sector, and the interruption of essential public services. These consequences compromise administrative efficiency and increase the demand for resources, reinforcing the urgent need for investment in prevention to protect lives, reduce expenses, and ensure the quality of public services.

Together, the four guiding axes provide a solid foundation for developing comprehensive and sustainable practices in occupational safety management within the public sector. By integrating the strategic role of institutional management, the rigor of objective liability, the incorporation of safety as an organizational dimension, and the understanding of social and economic impacts, a structured and continuous commitment is established toward the protection of life and administrative efficiency. This commitment is essential to consolidate occupational safety as an institutional value, ensuring safer, more resilient, and more productive work environments. Moreover, it strengthens the credibility and legitimacy of public administration by aligning its practices with the principles of good governance, social responsibility, and sustainability—key foundations for the delivery of high-quality public services.

Promoting safety in activities at height goes beyond mere regulatory compliance; it represents the recognition of the worker's dignity as a fundamental and non-negotiable principle of public service. Therefore, this research does not represent a conclusion, but rather a starting point for continuous technical and academic deepening. It opens space for future investigations and interdisciplinary contributions that may strengthen occupational safety management. Thus, safety becomes an essential pillar of a more ethical, effective, and life-centered public administration. Investing in the valuing of life and the prevention of risks is an indispensable condition for building dignified workplaces aligned with the democratic and social principles that guide public management.

VI. AUTHOR'S CONTRIBUTION

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VII. REFERENCES

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RESEARCH ARTICLE OPEN ACCESS

DEVELOPMENT OF A MICROCONTROLLER-BASED AUTOMATED PEST CONTROL SPRAYING SYSTEM

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ABSTRACT

This study aimed to develop and evaluate an automatic pest control spraying system using locally available materials, designed to enhance precision in pest management while minimizing human exposure to pesticides and reducing environmental impact. The system was tested on a plant bed to assess its efficiency, effectiveness, sensitivity, and economic viability, using parameters such as payback period, internal rate of return (IRR), and benefit-cost ratio (BCR). Employing a descriptive-experimental design, the prototype automatically detected pests and sprayed pesticides only at the detected location. The system consisted of a 230V AC source, digital time relay switch, Arduino Uno, PIR sensors, relay module, solenoid valve, and pump. Results showed that larger sample sizes improved effectiveness and sensitivity. The pump and solenoid valve efficiencies were 95.49% and 93.46%, respectively, while sensor efficiencies were 75.00%, 66.67%, and 29.17% for caterpillar, cockroach, and grasshopper detection. Economic analysis indicated a payback period of 8 months and 5 days, an IRR of 39.46%, and a BCR of 1.41, signifying strong financial feasibility.

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I. INTRODUCTION

Food plays a fundamental role in human development, health, and economic growth, where agriculture serves as the backbone of sustainable food systems. Agriculture provides eco-friendly, renewable crops and animal products that ensure food security and rural development. Globally, value-added output in agriculture, forestry, and fishing increased by approximately 84% between 2000 and 2021, reaching about USD 3.7 trillion. Asia accounted for 65% of this growth, emphasizing the region's dominant contribution to global agricultural expansion. Moreover, the global production of primary crops reached 9.5 billion tons in 2021, reflecting a 54% increase compared to 2000. Despite this growth, the share of agriculture in global GDP has remained around 4% since 2000, underlining the sector's stable yet vital role in the global economy [1]. In the Philippines, agriculture remains a key contributor to both the economy and livelihoods.

During the first quarter of 2023, the value of agricultural and fishery production—measured at constant 2018 prices—reached PhP 428.69 billion, an annual increase of 2.1%. Crop production accounted for PhP 247.77 billion or 57.8% of the total output [2]. Approximately 25–30% of Filipinos depend directly on agriculture for their livelihood, contributing nearly 10% to the gross national product [3]. However, recent crises such as the COVID-19 pandemic and climate change have disrupted global agricultural productivity [4]. Climate-related challenges—rising temperatures, erratic rainfall, and frequent extreme weather—have led to pest outbreaks, crop failures, and declining yields [5-9]. Empirical analyses indicate that global agricultural total factor productivity has already declined by around 21% since 1961 due to anthropogenic climate change, with developing regions experiencing the greatest losses [7].

Pest infestation continues to pose serious threats to agricultural productivity [10]. Studies emphasize that pest and disease control is critical for yield optimization and crop sustainability [8], [11], [12]. Consequently, pesticide use has become a primary pest management strategy [5]. Between 2000 and 2021, global pesticide use increased by 62%, with Asia contributing 28% of the total [1]. The use of pesticides enhances crop protection and yield [5], [8], [12-14]; however, excessive and unsafe application has raised significant health and environmental concerns [8],[12-15]. Prolonged pesticide exposure is linked to acute symptoms such as dizziness, nausea, and diarrhea, and chronic illnesses including cancer, endocrine disruption, and neurological disorders [14-16]. Furthermore, pesticides contaminate soil and water, harming beneficial organisms and disrupting ecological balance [12-16].

Farmers face additional challenges in pest control at night, where most traditional pest monitoring and spraying methods are limited. Manual pesticide application remains labor-intensive, time-consuming, and often inefficient, leading to inconsistent coverage and increased health risks for workers [8], [12], [17]. To address these limitations, the National Crop Protection Center (NCPC) has promoted research on integrated pest management and sustainable pest control systems [4]. The integration of new innovative technologies is required [8]—such as automated spraying systems, digital sensors, and Internet of Things (IoT)-based pest detection [17], [18], [10]—has been shown to improve productivity, reduce labor requirements, and enhance sustainability in agriculture [17], [18], [9]. Recent findings indicate that digital agriculture improves smallholder farmers' welfare by up to 71.25%, with pest management as one of the key areas of benefit [19].

In this context, developing an automated pest control spraying system designed to detect and repel pests can serve as an innovative solution to optimize yields and safeguard worker health [20]. The proposed system uses passive infrared (PIR) sensors to detect pests, automatically sprays pesticide in targeted areas, and allows programmable timing for spraying cycles. This automation reduces direct pesticide exposure, lowers labor requirements, and ensures more precise pest control. Such technology supports sustainable and smart farming practices that increase agricultural productivity while minimizing environmental and health risks. Specifically, this study aims to analyze existing manual pesticide application in terms of pest types, labor, and costs; design and fabricate an automatic spraying system; test its performance in terms of effectiveness, sensitivity, and efficiency; and assess its economic viability for smallholder farmers in the Philippines.

II. MATERIALS AND METHODS

II.1 SYSTEM AND DESIGN DESCRIPTION

The automated pest control spraying system integrates several key components: a pest detection mechanism, a programmable processing unit, a spraying mechanism, a power supply, and a converter. The pest detection mechanism utilizes Passive Infrared (PIR) sensors strategically positioned along the plant bed to detect motion caused by pest activity [20]. When movement is detected, the sensors send digital signals to the programmable processing unit for data processing and response coordination. This detection approach aligns with recent advances in precision agriculture, where networks of low-cost passive infrared (PIR) sensors and vision-based cameras are increasingly combined with IoT telemetry and machine-learning models to deliver real-time pest monitoring and automated field responses [20], [21], [10].

The programmable processing unit utilizes a shielded Arduino Uno board that handles sensor inputs and transmits control signals to relay-based actuators, ensuring timely and efficient system operation. This microcontroller-based architecture has been widely adopted in agricultural automation applications because of its affordability, adaptability, and dependable integration with diverse sensor arrays and wireless modules, enabling real-time monitoring and control of field conditions [20], [22], [23]. The relay-based switching mechanism, comprising a digital timer relay and an 8-channel relay module, electronically opens and closes circuits to control the activation of the PIR sensors and diaphragm pump. This modular relay configuration is essential for ensuring system scalability, allowing independent timing and sequencing of spray operations, and supporting flexible automation in diverse field conditions [22-24].

The spraying mechanism integrates solenoid valves, diaphragm pumps, an array of pipes, and misting nozzles to ensure the precise dispersion of organic pesticides. The solenoid valve regulates the flow of fluid, while the diaphragm pump transfers pesticide solutions through the connected pipeline to misting nozzles that deliver fine droplets uniformly across plant surfaces. This mechanism mirrors current trends in precision misting and controlled fluid delivery systems, which enhance pesticide utilization efficiency and minimize environmental contamination [20], [25], [26]. The power system comprises a 12V DC source linked to a 230V AC supply, with a converter reducing voltage to 5V DC to power the Arduino unit and associated sensors—consistent with common configurations in automated agricultural systems emphasizing energy efficiency and portability [20], [23], [27].

II.2 DESIGN AND FABRICATION PROCEDURES

During the design and fabrication phase, PIR sensors were installed at one-meter intervals along the plant bed to ensure uniform detection coverage. A functional prototype integrating sensors, pumps, and actuators was developed following specified design parameters. The sensors were calibrated to detect pest movements accurately within their assigned detection zones. Controlled experiments were conducted to assess sensor performance and system responsiveness under varying environmental conditions such as wind and light levels. This systematic approach to calibration and prototype validation is aligned with best practices in smart agricultural device testing and sensor reliability evaluation [28], [29]. Data from sensor readings, pump performance, and system response were analyzed to identify operational trends, ensuring that threshold values and pump discharge rates matched optimal pesticide dispersion performance. Enhancements were implemented based on performance feedback, refining the control algorithms and sensor sensitivity thresholds to achieve consistent accuracy and reliability.

II.3 DATA COLLECTION PROCEDURES

The performance of the automated pest control spraying system was assessed based on three primary criteria: effectivity, sensitivity, and efficiency. Effectivity was determined by simulating pest detection through three trials under varying environmental conditions, measuring the effective detection range of sensors across five distance intervals (0.5–4 meters). Sensitivity was evaluated by calculating the time lag between pest detection and system response, offering a quantitative measure of the controller's performance at different distances. Efficiency analyses covered solenoid valve, sensor, and pump operations. For solenoid valves, efficiency was defined as the ratio of actual to theoretical flow rates, expressed as a percentage. Sensor efficiency represented the ratio between maximum detection range and design specification, while pump efficiency was calculated as the ratio of actual discharge to designed output. Such performance measurement techniques are consistent with engineering testing methodologies used in automated irrigation and spraying systems [30], [31].

II.4 DATA ANALYSIS PROCEDURES

Collected data were analyzed using descriptive statistics such as frequency counts, arithmetic means, and averages to determine operational consistency. Cost-benefit analysis (CBA) was applied to assess economic viability, using metrics such as Benefit-Cost Ratio (BCR), Payback Period (PP), and Internal Rate of Return (IRR). The BCR compared annual benefits with total investment, while PP evaluated the duration required to recover capital costs. The IRR estimated the annualized profitability of the system. These economic indicators align with standard frameworks for evaluating automation technologies in sustainable farming and agri-engineering [22], [31], [32]. By combining technical and economic analyses, the study ensured that the system design was not only functionally efficient but also financially feasible for agricultural deployment.

III. RESULTS AND DISCUSSIONS

III.1 PEST PREVALENCE IN THE AREA

Table 1 presents the mean rates of pest encounters among workers in the study area. The findings indicate that grasshoppers (M = 4.67) and cockroaches (M = 4.33) were the most frequently encountered pests, classified as Very Highly Encountered. Caterpillars (M = 4.00) were Highly Encountered, while ants (M = 2.00) were Encountered and flies (M = 1.33) were the Least Encountered. These results suggest that grasshoppers and cockroaches pose the most significant threats to crop productivity within the observed agricultural environment. The high frequency of grasshoppers and cockroaches supports global trends where these pests are among the most destructive to agricultural productivity, particularly in tropical and humid environments [33]. Grasshopper species commonly flourish in open, sun-lit vegetative landscapes—consuming foliage, pods, and developing grains across a broad spectrum of crops [34].

In contrast, cockroach populations find ideal conditions in moist, shaded micro-habitats (such as under crop residues or in harvesting/storage structures) and frequently act as post-harvest contaminants—penetrating stored commodity stacks, degrading grain quality, and reducing market value [35]. The dominance of grasshoppers and cockroaches implies that pest control systems in the region should prioritize the detection and mitigation of these species [34], [35]. Automated pest management systems, equipped with motion and infrared sensors, can be fine-tuned based on the behavioral characteristics of these pests [21], [36]. Therefore, identifying the pest prevalence provides a strong foundation for designing an efficient and species-targeted automated pest control spraying system.

Table 1: Prevalent pest in the area.

Pest	Mean	Interpretation
Grasshopper	4.67	Very Highly Encountered
Cockroach	4.33	Very Highly Encountered
Caterpillar	4.00	Highly Encountered
Ants	2.00	Encountered
Fly	1.33	Least Encountered

Source: Authors, (2026).

II.2 DESIGN OF THE SYSTEM

Figure 1 to 4 presents the developed system comprised five major components: (1) pest detection mechanism using Passive Infrared (PIR) sensors; (2) programmable processing unit utilizing an Arduino Uno microcontroller; (3) relay-based switching system for activation and deactivation of components; (4) spraying mechanism integrating a solenoid valve, diaphragm pump, and misting nozzles; and (5) a power supply system converting 12V DC to 5V DC. The physical arrangement, as depicted in Figure 1 to Figure 5, demonstrated a well-integrated design ensuring coordinated functionality between detection and actuation modules. The PIR sensors were installed at one-meter intervals along the plant bed to ensure consistent coverage. When pests were detected, the Arduino processed the signal and triggered the relay system, which controlled the solenoid valve and pump.

The misting nozzles sprayed the organic pesticide in a fine distribution pattern, effectively targeting detected pests. Such automation reduces labor intensity [23], [37], [38] and chemical wastage compared to manual spraying [37], [38]. The modular configuration allows scalability and easy maintenance. Previous studies have demonstrated that sensor- and IoT-based pest management systems can reduce pesticide use by around 30–45% while maintaining pest control efficiency [39-41]. The structural integration of detection, processing, and spraying modules validates the design as functionally cohesive and sustainable. It provides a viable technological advancement for small-scale farmers, promoting safer and more efficient pesticide application. The system's design also aligns with smart agriculture frameworks emphasizing automation, precision, and environmental protection [42].

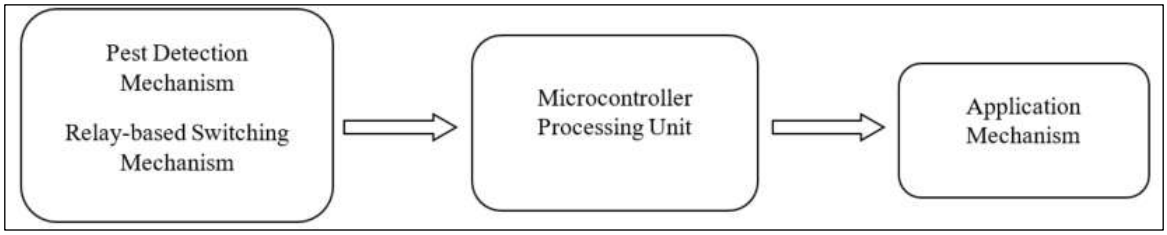


Figure 1: Block Diagram of the Automated Pest Control Spraying System.
Source: Authors, (2026).

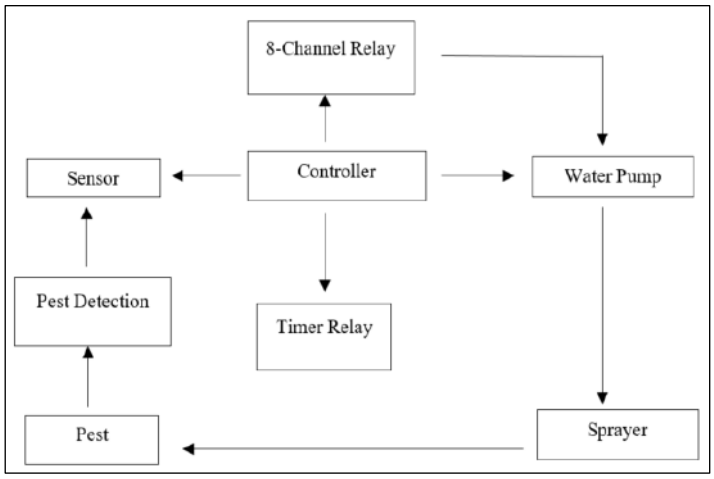


Figure 2: Operational Flow of the Automated Pest Control Spraying System.
Source: Authors, (2026).

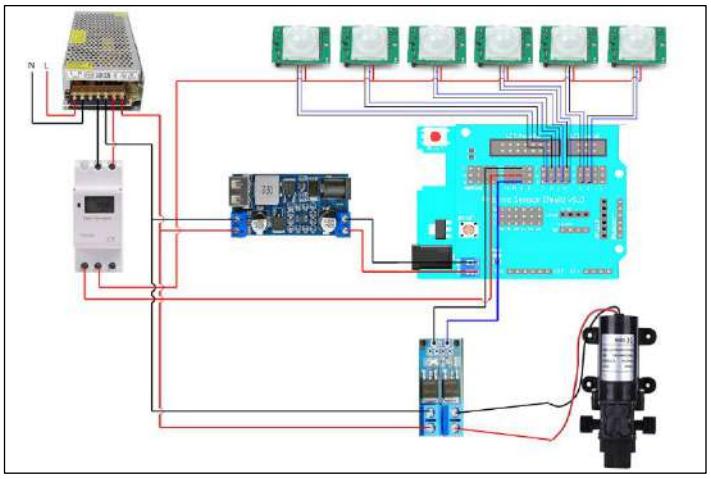


Figure 3: Circuit Diagram of the Automated Pest Control Spraying System.
Source: Authors, (2026).



Figure 4: Fabrication of the Automated Pest Control Spraying System.
Source: Authors, (2026).

III.3 PERFORMANCE ANALYSIS

III.3.1 Effectivity

As reflected in Table 2, "Y" indicates that the pest was detected at the specified distance, while "N" indicates that the pest was not detected at the specified distance. Sensor performance trials indicated that caterpillars were detected up to 3.00 meters, cockroaches up to 2.67 meters, and grasshoppers up to 1.17 meters. Detection distance decreased with smaller insect size and faster movement. Environmental factors, such as wind, slightly reduced sensor accuracy, particularly at greater distances.The results confirm that PIR sensors are more effective at detecting larger and slower-moving insects due to their stronger infrared signatures [43].

Similar findings were reported by [43], who noted that detectability drops significantly for smaller arthropods with infrared sensors alone. Detection distance variability aligns with research by [44], suggesting that hybrid sensors combining infrared and visual technologies improve small-pest detection accuracy. The data validate the system's capability for pest detection but also reveal limitations for smaller or faster pests. These results highlight the need for sensor calibration or multi-sensor integration for enhanced adaptability. Despite environmental challenges, the sensor's range remains adequate for operational field use, confirming the system's practical applicability.

Table 2: Actual Effectivity of the System.

Pest	Effective Distance				
Grass hopper	**0.5m**	**1m**	**2m**	**3m**	**4m**
Trial 1	Y	Y	N	N	N
Trial 2	Y	N	N	N	N
Trial 3	Y	Y	Y	N	N
Cockroach					
Trial 1	Y	Y	Y	Y	N
Trial 2	Y	Y	Y	Y	N
Trial 3	Y	Y	Y	N	N
Caterpillar					
Trial 1	Y	Y	Y	Y	N
Trial 2	Y	Y	Y	Y	N
Trial 3	Y	Y	Y	Y	N

Source: Authors, (2026).

III.3.2 Sensitivity

Table 3 presents the average response time of the sensors varied with pest size and distance. Larger pests such as caterpillars triggered the system within approximately 5.5 to 8.7 seconds, while smaller and faster pests like grasshoppers required 6.6 to 14.3 seconds for detection. Detection was faster at shorter distances and under stable environmental conditions. The variation in response time indicates that PIR sensor sensitivity depends on the infrared intensity emitted by the pest and environmental stability. Similar findings were reported by [45], who explained that motion-based sensors in arable crops exhibit variable responsiveness under changing ambient conditions.

Wind and temperature fluctuations can cause false signals or delayed responses—an effect supported by [46], who emphasize the importance of calibrating sensor thresholds for compensation in outdoor farming environments. The results suggest that sensitivity calibration is essential for real-time detection under outdoor conditions. The system demonstrates functional responsiveness suitable for low to moderate pest activity levels, ensuring timely pesticide activation and efficient pest management.

Table 3: Actual Sensitivity of the System.

Pest	Sensitive Time				
Grass hopper	**0.5m**	**1m**	**2m**	**3m**	**4m**
Trial 1	7.4s	10.6s	N/A	N/A	N/A
Trial 2	8.2s	N/A	N/A	N/A	N/A
Trial 3	6.6s	9.1s	14.3s	N/A	N/A
Cockroach					
Trial 1	4.8s	7.5s	16.6s	N/A	N/A
Trial 2	5.5s	9.4s	12.9s	N/A	N/A
Trial 3	5.1s	8.0s	18.3	20.2	N/A
Caterpillar					
Trial 1	8.2s	N/A	N/A	N/A	N/A
Trial 2	6.6s	9.1s	14.3s	N/A	N/A
Trial 3	5.5s	8.7s	14.7s	21.9s	N/A

Source: Authors, (2026).

III.3.3 Efficiency

Table 3 reveals that based on the maximum detection range of 4 m, the calculated sensor efficiency was 75% for caterpillars, 66.67% for cockroaches, and 29.17% for grasshoppers. Efficiency decreased for smaller insects and under higher environmental disturbance. This efficiency range is consistent with previous studies on infrared-based pest detection: one study found that IR-based sensor systems experienced notable drops in detectability for smaller arthropods under field conditions [20], while a comprehensive review reported that outdoor systems typically perform at lower efficiency than indoor setups due to wind, temperature and other disturbances [43]. The present results confirm that PIR sensors remain effective for larger pests under field conditions, validating their suitability for agricultural applications. The efficiency rates affirm the reliability of the detection mechanism for practical farming use, especially for medium and large pests. Further optimization through dual-sensor integration could improve accuracy for smaller pests, ensuring more comprehensive pest management.

Table 4 presents that the diaphragm pump delivered an average discharge rate of 12.7 L/min compared to its rated 13.3 L/min capacity, resulting in an efficiency of 95.49%. Minimal variation was observed during the trials, indicating consistent fluid transfer. The high pump efficiency aligns with literature showing that pump sets in agricultural systems can operate at high performance levels [47]. The small variance may be attributed to slight pressure drops in the tubing or minor voltage fluctuations. The consistency in performance ensures uniform pesticide application across all plant beds. The result validates the reliability and mechanical soundness of the pump mechanism. Its high performance supports sustained spraying activity, ensuring effective pest control coverage and reduced chemical waste, which are essential for organic pesticide application.

Table 4: Prevalent pest in the area.

Pest	Trial 1	Trial 2	Trial 3	Average
Discharge Rate	12.2 L/min	12.7 L/min	13.2 L/min	12.7 L/min

Source: Authors, (2026).

III.4 ECONOMIC FEASIBILITY

III.4.1 Payback Period

The labor cost for the plant taker was set at 100 pesos per hour. Based on the assumption that the automated pest control spraying system conserved two hours of the farmer's time every two days at the least, the payback period analysis indicated that the investment is projected to be recouped within eight months and five days. This supports the findings of [32] that payback period increases compared to the traditional method.

III.4.2 Internal Rate of Return

The IRR calculation was based on the assumption that the device would have a minimum expected useful life of one year. This metric assessed the percentage increase in the total investment cost of the automated pest control spraying system that will be returned over one year. The computed IRR was determined to be 39.6%, indicating that after a year of operation, an additional 39.6% of the total investment would be realized.

III.4.3 Benefit-Cost Ratio

The Benefit-Cost Ratio delineated the correlation between the benefits derived from the automated pest control spraying system and its overall cost. The computed ratio stands at 24:17, implying that for every ₱17.00 invested, there is an anticipated annual return of ₱24.00. This is aligned with the study of [23] & [32], which reported that automated system has higher benefit-cost ration compared to the traditional one. The financial indicators suggest that the automated pest control spraying system is economically feasible for smallholder farmers. Several studies have shown that automated agricultural systems with short payback periods—often under one year—are ideal for small-scale adoption [48-50].

The system significantly reduces labor costs, minimizes pesticide use, and enhances productivity, thereby contributing to financial sustainability. Similar efficiencies have been reported in smart agricultural systems that promote automation in pest management [32], [49], [50]. Economic analyses indicate that investing in an automated pest control spraying system can increase farmers' income and reduce operational expenses. Its affordability, efficiency, and ease of maintenance make it an accessible and practical solution for promoting sustainable agriculture in developing regions such as the Philippines.

IV. CONCLUSIONS

The automated system through the shielded Arduino Uno board efficiently interpreted signals from the sensor detected pests and managed the relay's switching function to operate the pump, ensuring the automated pest control spraying system 's alignment with its design. Key components, including a corrosion-resistant submersible pump, an accurate sensor, and chemical-resistant pipes, were carefully selected and validated for reliability in agricultural applications. Findings suggest an effective organic pest management as systems targets very highly encountered pest in the area such as the grasshopper, mantis and caterpillar. The sensor's effectiveness and sensitivity are directly proportional to the sample size and are influenced by environmental factors such as wind and ambient sound. The efficiency of the sensor computed was 75.00%, 66.67%, and 29.17% for caterpillar, mantis and grasshopper, respectively.

The reliability of system components was attained in this study, resulting a high efficiency for pump, achieving 95.49% and 93.46%, respectively, meeting the desired performance. The component durability which includes corrosion-resistant pump, accurate sensor, and chemical-resistant pipes. The automated pest control spraying system demonstrated economic viability with a payback period of 8 months and 5 days, and an internal rate of return exceeding the cost by 39.46%, yielding an annual return of 24 pesos for every 17 pesos invested. This shows significant economic and operational advantages. The short payback period and high IRR highlight its financial benefits, while the careful selection of reliable components and efficient system design ensure effective pest management and cost savings.

The system's ability to operate efficiently with a low labor cost and its resilience to environmental factors further enhance its practicality and value in agricultural applications. Findings of this study recommends the following recommendations to further enhance the system's performance and impact. To enhance sensor sensitivity and accuracy, an implementation of regular calibration schedule to maintain optimal sensor performance and accuracy, especially in varying environmental conditions. Consider incorporating more advanced sensor technologies, such as infrared or camera-based sensors, for a more accurate detection mechanism and reduce false detections. Conduct thorough field trials to determine the optimal placement of sensors for maximum effectiveness, taking into account factors like wind direction, plant height, and pest behavior.

To improve system reliability and durability, continue to establish a routine maintenance schedule, including cleaning, lubrication, and inspection of system components, to prevent malfunctions and extend the system's lifespan. To conduct further field trials and economic analysis, conduct large-scale field trials under diverse agricultural conditions to assess the system's performance and scalability in real-world scenarios. Conduct a detailed economic analysis, considering factors like labor costs, pesticide usage, crop yield, and market prices, to evaluate the long-term economic benefits of the system. By addressing these recommendations, the automated pest control spraying system can be further optimized to provide significant economic, environmental, and social benefits to farmers and the agricultural industry as a whole.

Future versions of the system may integrate locally available renewable energy sources to improve sustainability, as demonstrated by recent studies on unconventional energy harvesting methods such as alluvial soils [51], solar energy [52], [53], or even wind energy [53]. Overall, the system represents a sound investment with both economic and operational benefits. It has a multifaceted impact, offering significant economic, operational, environmental, and practical benefits. It represents a modern, efficient, and sustainable solution for pest management in agriculture, with strong potential for long-term advantages.

V. AUTHOR'S CONTRIBUTION

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Investigation: Bless Ampuan, Kenneth Saldo, Noel Angelo Espinar, Miguel Gonzalo Olmedo, Rey Mark Sumayop, Brix Ivan Cu and Arnol Galon.
Discussion of results: Bless Ampuan.
Writing – Original Draft: Bless Ampuan.
Writing – Review and Editing: Bless Ampuan.
Resources: Bless Ampuan, Kenneth Saldo, Noel Angelo Espinar, Miguel Gonzalo Olmedo, Rey Mark Sumayop, Brix Ivan Cu and Arnol Galon.
Supervision: Bless Ampuan.
Approval of the final text: Bless Ampuan, Kenneth Saldo, Noel Angelo Espinar, Miguel Gonzalo Olmedo, Rey Mark Sumayop, Brix Ivan Cu and Arnol Galon.

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RESEARCH ARTICLE OPEN ACCESS

ENHANCING PLAYFAIR CIPHER SECURITY USING CHAOTIC MAPS: A COMPARATIVE ANALYSIS OF LOGISTIC, HÉNON, AND ARNOLD CAT MAPS

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ABSTRACT

Today, classical encryption systems such as the Playfair cipher are easily broken in the current computing environment. Traditional ciphers based on digraph interactions cannot resist attacks using frequency analysis and pattern recognition, making them unsuitable for modern security. This work presents an improved Playfair cipher by integrating three chaotic maps—Logistic, Hénon, and Arnold Cat—to generate encryption keys dynamically and distort ciphertext. This integration creates a hybrid system that is highly secure yet computationally efficient. Experimental results using Shannon entropy and Lyapunov exponent metrics show clear performance advantages. The Hénon Map proves superior in randomness, achieving a Shannon entropy of 4.11257. The Arnold Cat Map, with a Lyapunov exponent of 0.89813, demonstrates strong sensitivity to initial conditions, preventing brute-force attacks. The Logistic Map provides a balanced compromise (entropy: 3.97695, Lyapunov: 0.63663) between security and resource efficiency. This approach augments the traditional Playfair cipher into a robust modern security solution, showing how classical cryptographic techniques combined with chaos theory can effectively meet contemporary digital security demands.

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I. INTRODUCTION

Classical cryptography can be divided into two types: transposition ciphers and substitution ciphers. The transposition cipher is that the letters remain unchanged, but the position changes. The substitution cipher is to replace the letters in the plain text with other letters. Playfair cipher is a typical classical cipher, which is a symmetric substitution encryption cipher. Playfair cipher was invented in 1854 by British scientist Charles Wheatstone Playfair. For a long period, the Playfair algorithm was considered an unbreakable encryption method. its encryption ideas are widely used in terms of network security, data encryption. The Playfair cipher is an encryption algorithm that uses two-letter syllables in plaintext as a unit and converts them into ciphertext. The original algorithm can use 26×26 letter pairs, although it has a slightly flatter frequency distribution curve than plaintext.

The ciphertext still reveals a large amount of information to the cryptanalyst [1]. What makes chaos-based cryptography such a promising field is that chaotic systems are deterministic, vulnerable to change, and without large computational costs. As such chaotic systems set up an exceptional base for implementing various encryption schemes. Therefore, a key characteristic in this field is the introduction of new chaotic maps, such as discrete maps of low dimensions that showcase regions of constant chaotic behavior [2]. Chaotic maps are primarily used as a source of entropy .The popularity of chaos-based cryptography in recent years stems from the fact that chaos can fulfill cryptographic requirements such as topological mixing, periodicity, pseudo-randomness, low correlations, and high sensitivity to initial conditions and control parameters. The use of chaotic maps for cryptography is advantageous due to their desirable characteristics, including complexity, unpredictability, sensitivity to initial values and control parameters, and ergodicity.

However, most chaos-based systems have limitations that make them impractical, such as low efficiency, insufficient security, and small keyspace [3]. The Logistic Map is one of the most famous chaos-based encryption elements, which is a mathematical model for population growth. The random sequences generated by this map have applications in cryptography and are well-suited for key generation. Even a minor variation in input values results in vastly different outputs, making it nearly impossible to predict the encryption keys. This property makes the Logistic Map an effective method for secure key generation in modern encryption systems [4]. The Hénon Map is another example of a chaos-based encryption model.

Operating in two dimensions, it is significantly more complex than the Logistic Map. Due to its high sensitivity to initial conditions, it has been used in secure communication systems and image encryption, ensuring that unauthorized users cannot reconstruct the original data without precise knowledge of the initial parameters [5]. The Arnold Cat Map offers a powerful scrambling technique for visual images. This transformation is particularly useful in biometric security, medical imaging, and digital watermarking, where protecting visual data is crucial. By rearranging pixel positions, the Arnold Cat Map creates a seemingly random distribution, making it nearly impossible to decipher the original image without the proper decryption key [6].

Despite all its advantages, chaos-based encryption faces challenges related to implementation and stability. One of the most critical aspects of ensuring that chaotic encryption systems are secure and do not show any regularities is to use conditions defined to an infinite number of decimal places. Furthermore, some key synchronization between sender and receiver continues to remain a research aspect, as the failure to align encryption keys can lead to decryption failure. Despite these challenges, the integration of chaotic maps into cryptographic systems represents a significant leap forward in data security [7]. In parallel to advancements in classical encryption algorithms using chaos theory, modern cryptographic systems have increasingly emphasized layered security and formal validation.

Recent secure payment protocols demonstrate how the integration of zero-knowledge proofs and structured cryptographic primitives contributes to building trust and preventing unauthorized access in practical systems [8]. Such frameworks, while differing in implementation, reinforce the broader need for hybrid cryptographic models that combine multiple techniques—like the use of chaotic maps in Playfair cipher enhancement. Another important factor that supports the security and reliability aspects of the proposed system is the voting storage mechanism. Without a proper and secure storage mechanism, there is a high possibility of threats occurring in the system.

A sufficient voting storage mechanism should have features such as being simple, reliable, durable, tamper-evident, subliminal-free, and cost-effective. In the following sections of the paper, cryptographic approaches are discussed in more detail, examining their advantages, challenges, and real-world implementation scenarios. Hybrid security models that combine both classical and chaos-based encryption approaches are examined, providing stronger and more viable cryptographic frameworks. The goal of this discussion is to identify how the new encryption mechanism adapts and protects against emerging cyberattacks.

II. THEORETICAL REFERENCE

II.1 LITERATURE REVIEW

The Playfair Cipher is a traditional digraph substitution cipher that has been thoroughly examined and altered to increase its security. Chaotic maps have proved to be an effective tool to increase its security and unpredictability. Chaotic transformations have led to the utility of the Playfair cipher being extended beyond text encryption. Differential cryptanalysis can be defeated by pixel-level disruptions introduced by image encryption done using chaotic theory in the diffusion and confusion processes [9]. Using hyper-chaotic Chen system based triple permutation, XORing, and multi-dimensional Playfair key generation further improves security [10].

By guaranteeing a high level of unpredictability in key evolution, the implementation of logistic-tent maps within encryption networks improves security [11]. In a 2023 study, Mandangan et al. applied Arnold's Cat Map and Hénon Map for color image encryption, demonstrating resilience against statistical and brute-force attacks [12]. In order to improve diffusion properties and make unauthorized decryption more difficult, one study incorporates chaotic maps, specifically the Hénon and Arnold Cat Maps, which introduce nonlinearity and unpredictability into encryption [13]. The frequency analysis flaws in traditional Playfair ciphers are fixed by this integration. Chaotic maps and genetic algorithms also dynamically change the encryption process, making decryption efforts even more challenging [14].

Another invention uses a nonlinear rotational Playfair matrix to provide multi-layered security by fusing chaotic principles with DNA-based encryption. Because chaotic transformations are extremely sensitive, this method guarantees that brute-force and differential attacks are rendered impracticable [15]. By increasing key complexity and unpredictability, the multi-dimensional key matrix used to create a Playfair cipher expands the encryption state space and improves security. This strategy reinforces encryption methods by strengthening defences against statistical analysis and greatly increasing the difficulty of brute-force attacks [16].

In conclusion, this study expands on previous research [9-16] by presenting a new methodology that combines multi-key approaches and chaotic systems. This method combines several chaotic maps to improve security, flexibility, and resistance to cryptanalysis, in contrast to earlier works that concentrated on discrete enhancements. The performance of current Playfair cipher modifications is highlighted by the comparative analysis of previous approaches, which is shown in Table 1. This study not only improves cryptographic resilience but also establishes the groundwork for addressing new security threats in the field by addressing important security parameters like Shannon entropy and Lyapunov exponent.

Table 1: Performance Comparison of Playfair-Based Cryptosystems.

Ref	Approach	Algorithm Used	Encryption Time (ms)	Decryption Time (ms)	Security Strength	Computational Complexity
[9]	Block Image Encryption	Block Image Encryption	Medium (~150 ms)	Medium (~140 ms)	High (Better against cryptanalysis)	$O(n^2)$ (Block based transformation)
[10]	Multidimensional Playfair	Playfair + Chaos Mapping	High (~250-350ms)	High (~250ms)	Very High (Resistant to known attacks)	$O(n^3)$ (Key expansion in multi-dimension)
[11]	PLT-Net SP-Network	Logistic- Tent Map + Playfair	Very High (~500ms)	Very High (~480ms)	Extremely High (Strong Confusion diffusion)	$O(n^3)$ (Neural Network based encryption)
[12]	Color Image Encryption	Arnold's Cat Map + Hénon Map	Medium (~180ms)	Medium (~170ms)	High (Improves Diffusion and Breaks predictability)	$O(n^2)$ (Nonlinear Pixel transformations)
[13]	Selective Image Encryption	Genetic Operations + Chaotic Maps	High (~300ms)	High (~290ms)	Very High (Dynamic and adaptive encryption)	$O(n^3)$ (Multiple transformation layers)
[14]	Time-Signature Based Image Encryption	Latin Squares + Playfair + S-boxes	Medium (~220ms)	Medium (~210ms)	High (Time dependency adds unpredictability)	$O(n^2)$ (Time based S-box variation)
[15]	DNA Playfair Matrix	16×16 DNA Playfair	Very High (~600ms)	Very High (~590ms)	Extremely High (DNA Computing adds complexity)	$O(n^4)$ (Complex DNA encoding)
[16]	Multi-Dimensional Key Matrix	Multi-Key Playfair	Medium (~200ms)	Medium (~190ms)	High (Key variability improves security)	$O(n^3)$ (Key expansion overhead)

Source: Authors, (2026).

II.2 RESEARCH GAPS

Despite the significant enhancement of Playfair cipher security using chaotic maps, most of the existing approaches are centered on either one chaotic map or two, without a comparative study over multiple maps. Few studies have analyzed the security parameters of the Playfair cipher like Shannon entropy and Lyapunov exponent, both of which are essential in assessing randomness and initial condition sensitivity. Current studies mainly utilize these encrypting methods in images, but there is limited research regarding their usability for text-based cryptographic systems [8-14], [17].The research aims to bridge the gap among current Playfair cipher improvements with a new scheme of hybrid cryptography that combines Logistic, Hénon, and Arnold Cat chaotic maps.

II.3 SCOPE AND OBJECTIVES OF THE STUDY

The scope involves thorough performance analysis with Shannon entropy to measure randomness and Lyapunov exponent to determine sensitivity to initial conditions. This research aims to design a hybrid Playfair cipher encryption system based on Logistic, Hénon and Arnold Cat map to improve cipher security. Evaluate the performance, sensitivity and randomness of the system through key metrics such as Shannon entropy and Lyapunov exponent. Carry out a comprehensive comparative analysis to determine which chaotic map is better at generating randomness.

III. METHODOLOGY

The proposed solution consists of two parts. First, the integration of the Playfair cipher with different chaotic maps like the logistic, Hénon, and Arnold cat maps. Then comparative analysis of these hybrid ciphers based on the Lyapunov Exponent and Shannon Entropy.
A. Integration of Playfair Cipher with Chaos Maps:

1. Logistic Map for Generating Keyword:

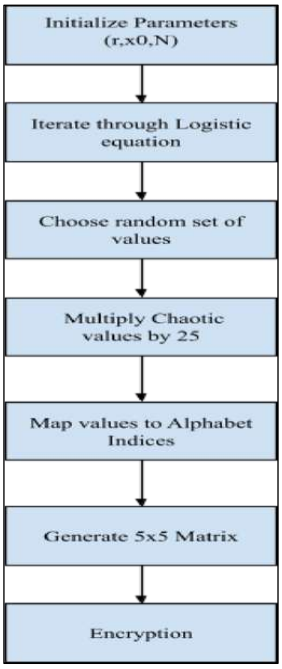


Figure 1: Process of key generation for Logistic Map.
Source: Authors, (2026).

Logistic Map is a 1D chaotic equation expressed as:

$$x_{n+1} = (1 - x_n) \quad (1)$$

Where, r is the control parameter and x_0 is the seed from the origin. Figure 1 represents the process of generating a keyword using a logistic equation. The chaotic Playfair cipher keyword generation begins with initializing the parameters. Then the logistic equation is used to generate chaotic values. From these generated chaotic values, choose a subset of them depending on the length of the keyword needed. If the length of the keyword is to be 7, then randomly 7 chaotic values are selected from this pool. This is done via a cryptographically secure pseudo-random number generator (CSPRNG) so that it's indeterminate. Once the disordered values are selected, they are converted to alphabet indices. This is accomplished by multiplying all the selected disordered values by 25 and taking the integer part of the value, getting indices ranging from 0 to 25.

These indices map to the alphabet letters; I and J are considered a single letter. The generated letters are the keyword that is filled into the 5×5 Playfair cipher key matrix one by one. After inserting the keyword letters, the remaining empty spaces in the matrix are filled with the remaining letters of the alphabet in alphabetical order such that each letter appears once. After filling the matrix, normal Playfair encryption takes place, using the key matrix to encrypt plaintext digraphs in a methodical way. The decryption method remains the same as the traditional Playfair cipher method. Algorithm 1 represents the process of generating the chaotic sequence using the Logistic Map.

Algorithm 1: Generate Chaotic Sequence using Logistic Map.

FUNCTION generate_playfair_matrix(effective_keyword_length = 5):
1. Generate a sequence of chaotic values using the Logistic Map:
chaotic_values ← logistic_map()
2. Securely select 'effective_keyword_length' random values from chaotic_values:selected_values ← securely sample 'effective_keyword_length' values from chaotic_values
3. Convert selected values to integer indices in range [0, 24]:
*letter_indices ← set of floor(value * 25) for each value in selected_values 4. Map indices to characters in the Playfair alphabet (A-Z, with I/J combined): alphabet ← ['A', 'B', 'C', ..., 'Z'] excluding 'J' selected_letters ← characters from alphabet at positions in letter_indices*
5. Remove duplicates and maintain the selected order:
used_letters ← selected_letters (as a set) remaining_letters ← all letters in alphabet not in used_letters
6. Combine selected and remaining letters:
key_matrix_flat ← selected_letters + remaining_letters
7. Reshape into 5x5 matrix: matrix_5x5 ← reshape key_matrix_flat into 5 rows of 5 columns
RETURN matrix 5x5

Source: Authors, (2026).

2. Hénon Map for Generating Keyword:

The Hénon Map is a two-dimensional chaotic system represented by:

$$x_{n+1} = 1 - p_1 x_{n2} + y_n$$
$$y_{n+1} = p_2 x_n \quad (2)$$

Where:

p_1, p_2 are the standard chaotic parameters that determine the system's behavior, x_0 and y_0 are the initial conditions, The values of x_n and y_n evolve iteratively, producing a chaotic sequence. Figure 2 represents the keyword generation process using the Hénon Map. It starts with initializing the parameters (p_1, p_2, x_0, y_0, N). Then using Hénon equations, chaotic values are generated. The remaining process remains the same as the logistic map keyword generation. After the keyword is generated, the remaining steps are the same as a traditional Playfair cipher.Algorithm 2 represents the process of generating the chaotic sequence using the Hénon Map.

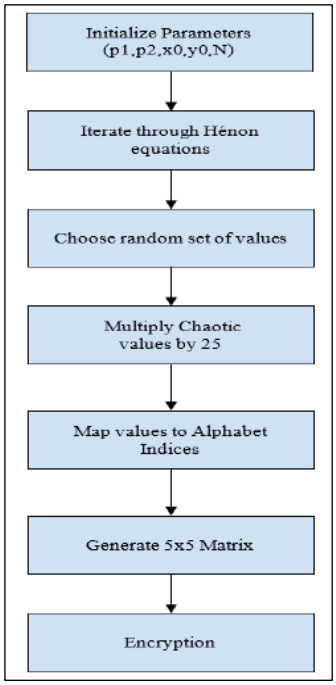


Figure 2: Process of key generation for Hénon Map.
Source: Authors, (2026).

Algorithm 2: Generate Chaotic Sequence using Hénon Map.

FUNCTION generate_playfair_matrix(effective_keyword_length = 5):

1. Generate chaotic values using the Hénon map:

a. Initialize x ← x0, y ← y0

b. FOR each iteration in range(num_values):

*i. x_new ← 1 - p1 * x^2 + y ii. y_new ← p2 * x iii. x ← x_new iv. y ← y_new*

v. Append (abs(x) mod 1) to chaotic_values

2. Securely select 'effective_keyword_length' values from chaotic_values:

selected_values ← secure random sample of chaotic_values

*3. Convert each selected value to an integer in range [0, 24]: letter_indices ← set of floor(value * 25) for each value in selected_values*

4. Map indices to characters in the Playfair alphabet (A-Z excluding 'J'):

alphabet ← ['A', 'B', 'C', ..., 'Z'] excluding 'J'

selected_letters ← characters from alphabet at positions in letter_indices

5. Remove duplicates and maintain original order:

used_letters ← set(selected_letters)

remaining_letters ← all letters in alphabet not in used_letters

6. Combine both lists to get full 25-letter Playfair matrix:

key_matrix_flat ← selected_letters + remaining_letters

7. Reshape the key_matrix_flat into a 5x5 matrix:

matrix_5x5 ← reshape key_matrix_flat into 5 rows and 5 columns

RETURN matrix_5x5

Source: Authors, (2026).

3. Arnold Cat Map used in Encryption process:

The Arnold Cat Map is a two-dimensional chaotic map commonly represented by the transformation:-

$$x_{n+1} = (x_n + y_n) \bmod 1$$
$$y_{n+1} = (x_n + 2y_n) \bmod 1 \quad (3)$$

Where:
x_n and y_n are the coordinates (or values) at the n-th iteration.
x_0 and y_0 are the initial conditions, often chosen from a 2D plane or a numerical sequence.
The mod 1 operation ensures the values remain the range [0, 1].

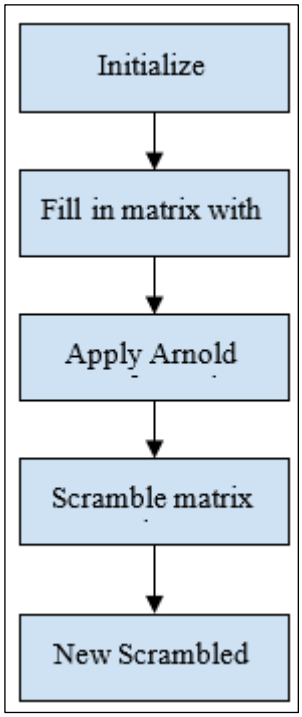


Figure 3: Arnold Cat Map use in encryption process.
Source: Authors, (2026).

In Figure 3, the Arnold Cat Map is used as an extra encryption step to provide security. After obtaining the initial ciphertext by using the Playfair Cipher, it is converted into a square matrix with each character occupying a cell. The Arnold Cat Map is then used on the matrix by iteratively permuting the characters using a chaotic permutation technique. As shown in Algorithm 3, the encryption incorporates diffusion and randomness into the ciphertext by iteratively applying the mapping formula a fixed number of times. The resulting jumbled matrix is then unraveled back into a 1D string, which becomes the cipher text. By combining the random scrambling of the Arnold Cat Map with the formal security of the Playfair Cipher, this two-stage encryption technique makes it very impossible to decipher the encrypted data without knowing the precise Playfair key and Arnold Cat Map settings. Before applying the standard Playfair decryption method, the Arnold Cat Map transform must be reversed in order to precisely recreate the original plaintext.

Algorithm 3: Encryption process using Arnold Cat Map.

```
Function ArnoldCatMap(grid, iterations, n):
    # grid: n x n 2D list of characters
    # iterations: number of transformations to perform
    # n: dimension of the grid

    Define transform(x, y, n):
        x_new = (x + y) mod n
        y_new = (x + 2 * y) mod n
        Return (x_new, y_new)

    Convert grid to a 2D array 'arr'
    Create list of all coordinate pairs (x, y) in grid of size n x n
    Flatten 'arr' to get a 1D list 'flat_values'

    For i from 1 to iterations:
        Create an empty list 'scrambled' of length n*n

        For each (x, y) in coordinates:
            Compute (x_new, y_new) = transform(x, y, n)
            scrambled[x_new * n + y_new] = arr[x][y]

        Reshape 'scrambled' into an n x n array and assign to 'arr'
    Return flattened version of 'arr'
```

Source: Authors, (2026).

B. Evaluation Metrics: Shannon Entropy and Lyapunov Exponent

For measuring the performance of chaotic maps' key generation, two popular measures are used: the Shannon entropy and Lyapunov exponent. Both measure the level of randomness and sensitivity to initial conditions, which are the two inherent requirements for producing secure and unpredictable keys.

Shannon Entropy:

It measures the amount of uncertainty or randomness in a data source, which is crucial for evaluating the security of cryptographic systems.

$$H(x) = -\Sigma p_i log_2 p_i \quad (4)$$

H(x) is defined as the entropy of X random variable.

p_i represents the probability of occurrence of each value in the chaotic sequence.

The logarithm is typically base 2, giving the entropy in bits. This formula is used to assess the randomness of data, such as the output of a random number generator or the distribution of bits in cipher text. Higher value of entropy (about 4.3) indicates that the sequence is well scattered and the Playfair key matrix becomes unpredictable. Low entropy indicates a structured sequence, which would breach security by rendering it simpler for an attacking side to infer the generated key. The bit value depends on chaotic Map used.

Lyapunov Exponent:

The Lyapunov exponent measures a chaotic system's sensitivity to the initial conditions.It is defined as:

$$\lambda(x_0) = \lim_{n\to\infty} \frac{1}{n} \sum_{i=0}^{n-1} \ln |f'(x_i)| \quad (5)$$

$f'(x_i)$: The derivative of the chaotic function at each iteration i.

λ(x0): Lyapunov exponent for initial condition.

If:

$\lambda > 0$: Chaotic behavior with small perturbations of the initial conditions inducing exponentially growing divergences of the trajectories.

$\lambda < 0$: Stable system with trajectories that approach.

$\lambda = 0$: Indicates the edge of chaos or a neutral system.

Having a positive Lyapunov exponent is a guarantee that the system is actually chaotic, meaning that with small perturbations of the initial values there will be exponentially divergent sequences in the limit. It is the derivative of the chaotic function at each iteration, describing the way the system is evolving. The greater the Lyapunov exponent, the greater the chaotic behavior, meaning that small perturbations of the input (the initial conditions) lead to very different outputs. It is a desirable feature of cryptographic usage since it means that any matrix of the Playfair key will change by a considerable amount if the input parameters are slightly perturbed.

IV. EXPERIMENTATION

Playfair Cipher with Chaotic Maps to Generate Keys:

Playfair cipher is a classic digraph substitution cipher, i.e., it encrypts text in pairs of letters. Chaotic maps in this code dynamically change the generation of the key matrix to ensure greater security. Chaotic maps employed for key generation possess unique initial conditions and control parameters. The values employed guarantee good chaotic behavior with maximum security.

1. Logistic Map

As discussed earlier in methodology ,the Logistic Map is a one-dimensional chaotic system and is given by:

$$x_{n+1} = (1 - x_n)$$

Control Parameter (r): 3.99 (regulates chaos in the Logistic Map)
Initial Seed Value (x_0): 0.5
Effect of Various Values of r:
0 < r < 1: Converges to zero (not chaotic).
1 < r < 3: Converges to a fixed point.
3 < r < 3.57: Periodic oscillations (bifurcation).
3.57 < r < 4: Chaotic behavior starts.
r = 3.99: Highly chaotic (most frequently used).

2. Hénon Map

As discussed earlier in methodology ,the Hénon Map is a two-dimensional chaotic system represented by:

$$x_{n+1} = 1 - p_1 x_n^2 + y_n$$
$$y_{n+1} = p_2 x_n$$

Control Parameters:

p_1 = 1.4 (Controls nonlinearity in the system)

p_2 = 0.3 (Controls contraction and stability)
Initial Seed Values: x_0 = 0.1, y_0 = 0.1
Effect of different Values:
Standard Chaotic Case: (most widely used parameters).
p_1=1.4,p_2=0.3
Reduced Chaos:
Decreasing value of p_1 (for instance,p_1=1.2) or increasing value of p_2 (for instance, p_2=0.5) stabilizes the system.
Extreme Chaos:
Increasing value of p_1 above 1.4 for more random behavior.(p_1>1.4)

3.Arnold Cat Map:

The Arnold's Cat Map is defined by the transformation:

$$\begin{bmatrix} x_{n+1} \\ y_{n+1} \end{bmatrix} = \begin{bmatrix} 1 & 1 \\ 1 & 2 \end{bmatrix} \begin{bmatrix} x_n \\ y_n \end{bmatrix} mod\ N \tag{6}$$

Effect of Different Parameter Values:
Iteration count (k):Determines number of transformation is applied. It affects the level of scrambling.
Initial seed (x_0, y_0):Initial value
Grid Size (N): Defines how the text is structured.
Key Characteristics:
Text Scrambling & Rearrangement: Random character disorder with the structure of the text preserved.
Deterministic Chaos: Despite appearing random, the transformation is a strict mathematical rule that can be used for decryption.
Reversibility: Repeatedly applying the transformation will eventually yield the original text, so it is useful for safe encryption.

V. RESULT AND ANALYSIS

This section presents the combination of playfair cipher with three different maps: Logistic, Hénon ,Arnold Cat map on sample text. Same sample plaintext is used to analyze the effectiveness of each chaotic map in enhancing security based on two parameters: Shannon Entropy and Lyapunov Exponent.

```
Enter the text to encrypt: meet me in the park

Generated Playfair Cipher Key Matrix:
A O Q X B
C D E F G
H I K L M
N P R S T
U V W Y Z

Original Text: meet me in the park
Encrypted Text: KGGRKGHPNMDRQNLQ
Decrypted Text: MEETMEINTHEPARKX
Shannon Entropy of Chaotic Sequence: 3.9769520072849187
Lyapunov Exponent: 0.6366281049592013
```

Figure 4: Output for Logistic Map.
Source: Authors, (2026).

```
Enter the text to encrypt: meet me in the park

Generated Playfair Cipher Key Matrix:
C H I T A
B D E F G
K L M N O
P Q R S U
V W X Y Z

Original Text: meet me in the park
Encrypted Text: RMFIRMTMAIBRIUMV
Decrypted Text: MEETMEINTHEPARKX
Shannon Entropy of Chaotic Sequence: 4.111543910155225
Lyapunov Exponent: 0.3951320625800923
```

Figure 5: Output for Hénon Map.
Source: Authors, (2026).

```
Enter plaintext: meet me in the park
Enter key: keyword
Ciphertext: nkkunkgqvfynbdwt
Scrambled Matrix:
n d y q
n n k w
k t v k
f g u b
Transformed Text: ndyqnnkwktvkfgub
Shannon Entropy: 3.4056390622295662
Lyapunov Exponent: 0.8981271110560293
```

Figure 6: Output for Arnold Cat Map.
Source: Authors, (2026).

Figure 7 represents the values of Shannon entropy and Lyapunov exponent for different chaotic maps. From Figure 4, Figure 5, Fig 6 in case of Shannon entropy, it is observed that the Hénon Map is more chaotic than the Logistic Map and Arnold's Cat Map.Because the Hénon Map is in a two-dimensional phase space, it is more random than the Logistic Map. Although the Arnold's Cat Map is also 2D, the dissipative characteristic of the Hénon Map makes it even more random. The process includes nonlinear dynamics that produce more varied outputs, decreasing patterns in the ciphertext.The Hénon Map attains the maximum entropy, i.e., its ciphertext is most random and is more immune to frequency-based attacks. The Logistic Map is next, exhibiting good randomness, but slightly less than the Hénon Map. The Arnold's Cat Map has the least entropy, which can be an indication of redundancy in the encrypted data, thus making it more susceptible to attacks based on redundancy.

From Figure 4, Figure 5, Figure 6 in the case of the Lyapunov exponent, it is observed that Arnold's Cat Map has the largest Lyapunov exponent, thus the most chaotic behavior, which is very sensitive to important variations. The Arnold's Cat Map has the highest Lyapunov exponent as observed in table 2 implying that it possesses the strongest chaotic behavior and thus is very sensitive to significant changes. This makes encryption more secure against brute-force and differential attacks. The Logistic Map has a moderate Lyapunov exponent, suggesting a decent amount of unpredictability but lower than Arnold's Cat. The Hénon Map has the lowest Lyapunov exponent, so its chaotic behavior is weaker than the other two.

Table 2: Values for Shannon entropy and Lyapunov Exponent for different chaotic maps.

Chaotic Map	Shannon Entropy	Lyapunov Exponent
Logistic	3.97695	0.63663
Hénon	4.11257	0.39513
Arnold Cat	3.40564	0.89813

Source: Authors, (2026).

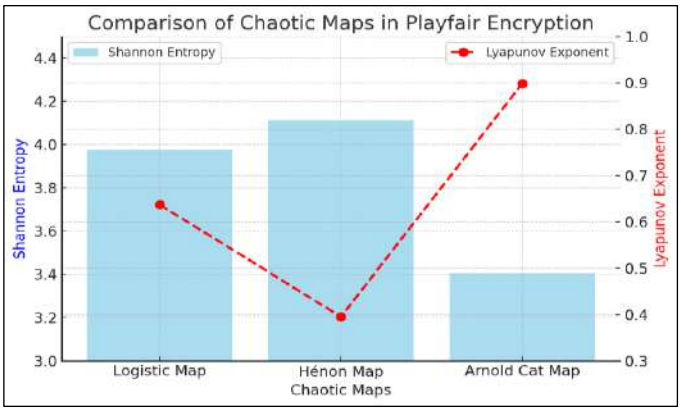


Figure 7: Visual representation of Comparative Analysis.
Source: Authors, (2026).

In addition to their chaotic strengths, the proposed maps maintain manageable computational complexities, all within polynomial time as mentioned in Table 3. These suggested methods offer a more balanced trade-off between security and efficiency, making them appropriate for practical cryptography application, in contrast to the literature presented in Table 3, where numerous solutions suffer from higher computing cost due to complex algorithmic structures.

Table 3: Computational Complexity Analysis of Proposed Models.

Version	Key Generation Time	Encryption Time	Total Complexity
Logistic	O(m)	O(n)	O(m + n)
Hénon	O(m)	O(n)	O(m + n)
Arnold Cat	O(n)	O(k × n)	O(k × n)

Source: Authors, (2026).

VI. CONCLUSION

A proper implementation of the Playfair cipher has many disadvantages, such as susceptibility to frequency analysis and weak resistance against modern attacks. The study proposed an improved version of the Playfair cipher by integrating chaotic maps (Logistic, Hénon, and Arnold Cat) to enhance the randomness of the key matrix, making encryption more secure. The comparative analysis shows that the Hénon Map provides the highest level of randomness, ensuring better diffusion in encryption. Due to its superior scattering effects, the Arnold Cat Map makes the ciphertext highly unpredictable. The Logistic Map, on the other hand, exhibits extreme sensitivity to given parameters, ensuring that even a minor change in input leads to unique outputs after encryption. Evaluations of data security metrics, including Shannon entropy and the Lyapunov exponent, confirm the improved security of this system.

The highest Shannon entropy value (4.11257) among the analyzed maps highlights the superior random behavior of the Hénon Map. In terms of the Lyapunov exponent, the Arnold Cat Map shows the highest potential value (0.89813), making it the most sensitive to key variations. Meanwhile, the Logistic Map maintains a balance between these two critical cryptographic properties while managing computational cost effectively. It is evident that this hybrid encryption approach offers significantly stronger security compared to standard Playfair ciphers. Future work may explore adaptive selection of chaotic maps based on the characteristics of the input to optimize performance. Additionally, further research could investigate the feasibility of implementing this approach in real-time cryptographic environments.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Radhika Patel, Isha Patel, Mahek Vira and Stevina Dias.
Methodology: Isha Patel, Mahek Vira and Stevina Dias.
Investigation: Isha Patel, Mahek Vira and Stevina Dias.
Discussion of results: Radhika Patel, Isha Patel, Mahek Vira and Stevina Dias.
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Writing – Review: Radhika Patel.
Supervision: Radhika Patel.
Approval of the final text: Radhika Patel, Isha Patel, Mahek Vira and Stevina Dias.

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RESEARCH ARTICLE OPEN ACCESS

THE USE OF MACHINE LEARNING IN ONLINE COURSE SENTIMENT ANALYSIS: A CASE STUDY POST COVID-19 PANDEMIC

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ABSTRACT

The number of tweets on Twitter containing information related to online lectures in the post-pandemic Covid-19 period or after the government lifted the pandemic period has drawn many pros and cons. This research discusses the best level of accuracy of the three machine learning methods, namely Naïve Bayes (NB), Decision Tree (DT) and Support Vector Machine (SVM) in analyzing Twitter results related to online lectures. The data used is crawled data from Twitter using the keyword "Online Lecture" and 5,978 tweets were obtained after verification. Three category labels were used in this research, namely Positive, Negative and Neutral. Pre-processing was carried out using the stages of Data Cleansing, Tokenizing, Stopword, Normalization and Stemming. While the feature extraction stage uses the TF-IDF stage. The average accuracy results for the NB method are 78.02%, precision is 78.18%, recall is 78.02% and f1-score is 77.45%. DT obtained an average accuracy of 86%, precision is 89.14%, recall is 81.14% and f1-score is 82.31%. The average accuracy obtained by SVM is 89%, precision 90.97%, recall 87.31%, and the F1 score is 85.99%. Among the three algorithms, it is known that SVM achieves very good performance in online lecture sentiment analysis based on Twitter data.

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I. INTRODUCTION

During the Covid-19 pandemic like a few years ago, it had a huge impact on human activities. All activities that were previously carried out as usual had to be done digitally. Among those that were greatly felt and had a big impact was the world of education, for almost two years learning was carried out from home through online learning. Indonesia is no exception, for more than two years the government and related agencies have tried to ensure that learning continues as it should even though it is carried out with online learning. There are many responses from the public regarding the implementation of online lectures, especially during the pandemic. Pros and cons will certainly spark debate in expressing their opinions. As stated by [1] stated that the online learning system carried out during the COVID-19 pandemic is effective and inefficient.

Effective because the conditions require online learning and inefficient because the costs incurred are higher when compared to offline lectures. The costs incurred are mainly to buy internet quota to attend online lectures and the obstacles faced during online lectures are network constraints. Meanwhile, [2] related to obstacles to online learning seen from internal and external factors. Internal factor obstacles are first students and lecturers experiencing miscommunication (25.71%), second decreased motivation (24.28%), and third poor time management (17.15). Meanwhile, the external obstacles are, firstly, related to the internet network signal which is unstable or difficult in the residential environment (55.13%), secondly the availability of internet quota (12.97%), and thirdly the limited facilities/gadgets (9.18%).

The same thing was conveyed by [3] whose conclusion was that students most often experience signal interference, which will later have an impact on unclear images or sound, as well as intermittent signal interruptions. This is almost the same as [4] research, he even added that among them are students without cellphones, lack of student attention, and parents' working being disrupted. Once conveyed almost the same thing, namely regarding inadequate infrastructure, students' difficulties in understanding the material, and the limited ability of lecturers to utilize technology [5]. Although in this case lecturers are not constrained in terms of delivering material to students, it should be underlined that successful learning requires an effort to strengthen students [6]. In addition to the above, there is also research by [7] which states that their findings summarize students' perceptions of learning and their involvement when given a choice about how to engage in content.

Most participants chose asynchronous methods to learn content, citing time constraints as the main reason for not choosing synchronous learning methods. Furthermore, [8] emphasized the importance of considering emotions in distance learning environments and their significant impact on academic performance and participant satisfaction. Even [9] research explains the common challenges and opportunities faced by participants and educators in thirty countries, based on sentiment analysis from these stakeholders, the results show that although digital education is developing into a flexible and student-centered didactic approach, various obstacles in meeting online learning effectively still exist, where the findings reveal the shortcomings, and therefore the need for, appropriate teaching and learning materials and strategies for digital education.

This is also almost the same as that conducted by [10], which found that most educators experience problems during online learning practices. There are even several studies that conduct literature review related to open learning and online learning, such as those done by [11] and [12]. From these limitations, sometimes they complain through social media such as Facebook, Instagram or Twitter. Of the many social media that are often used, Twitter is one of the social media that is often used by its users to interact. Based on the 2024 internet penetration and behaviour survey data issued by APJII (Association of Indonesian Internet Service Providers) [13] which states that the reason for using the internet is to be able to access social media (including Twitter), which is 3.31%. While the social media that is often used for Twitter is 1.06%, and the chat media that is often used in this case is Twitter, which is 0.34%.

Publishing and disseminating news information is very suitable for using Twitter. Very short tweets are very easy for users to post using handphone or other devices. While the 140 characters posted by some users are considered short and easy to spread information [14]. Even [15] conducted research to identify content containing propaganda by collecting data from Twitter. Twitter as we know after crawling will get a very large amount of data information so that data mining is needed. The application of data mining is widely used in various researches, one of which is text mining. The use of text mining is very relevant to analyse text-based case studies, one example of which has been mentioned above is the use of Twitter. In the field of education, it is widely used to analyse sentiment towards the world of education. The sentiment can be positive or negative. With sentiment results like we can process the results of public opinion in the world of education, one of which is online lectures.

In this research, we will examine the sentiment analysis of online learning based on Twitter data by comparing three methods (Naive Bayes, Decision Tree & SVM). The main reason for choosing Naive Bayes is because it is a fairly simple algorithm but in several researches it has a fairly high level of accuracy [16]. While Decision Tree is one of them in decision making which was previously very global and complex can be changed to be simpler and more specific [17], and is easy to present and implement in the form of diagrams [18]. The third is SVM that can perform a more accurate classification process [19]. From the advantages of the three algorithms, researchers try to compare by looking at performance, namely in the form of accuracy percentage. It is expected that the results of this sentiment analysis research based on Twitter data can be a reference and help the world of education in efforts to improve the quality of learning for students in the future, and these results are expected to be a reference for comparing with other methods.

II. LITERATURE REVIEW

Researchers conducted a literature review of several researches related to sentiment analysis based on Twitter data. According to the results of the literature review, it was concluded that research on sentiment analysis based on Twitter is still quite extensive to discuss. Research on Twitter sentiment analysis is still limited to online lectures and there are still few researches that discuss sentiment analysis. This research focuses on sentiment analysis from Twitter data, using the Long Short-Term Memory (LSTM) algorithm and Artificial Neural Network (ANN) with an accuracy rate of 96% for LSTM and 76% for ANN [20]. Research on sentiment analysis for finance using the BERT method achieved an accuracy of 95.29%, precision of 95.37%, and recall of 95.24% [21]. Research uses NLP (Natural Language Programming), his research provides an overview of sentimental investigation or opinion mining related to product surveys [22]. [23] his research is related to sentiment analysis which aims to provide a systematic review of sentiment analysis and related fields for future research. Proposed the use of the Support Vector Machine (SVM) model to develop an automatic Twitter crawling system and achieved an accuracy level of 85% [24].

Used the VADER model to identify people's opinions about online learning [25]. Proposed a machine learning algorithm for Arabic sentiment analysis which was used to find out the opinions of students and teaching staff about online learning during the COVID-19 outbreak in Saudi Arabia [26]. Conducted their research to study online learning during the pandemic situation and the adaptation of online learning worldwide after the pandemic situation using machine learning such as SVM and artificial neural networks (ANN) [27]. According to the results, ANN was better than SVM and achieved 81.97% accuracy with higher precision, recall, f-measure value, and lowest error value.

Research [28] present the results of the application of BERT, these results will be compared with the contribution of the author [29], where the results using BERT are quite good (88.93% accuracy). Research uses the SentiStrenth method, with 54% neutral results, while 85% accuracy rates, and 15% error rate [30]. Research explores the experience of students engaging with recorded lectures and the extent to which such engagement contributes to improved learning [31]. This research involved distributing questionnaires to undergraduate and postgraduate students (n = 660) who had access to lecture recordings at a public university in New Zealand, the use of sentiment analysis shows how multiple data can be triangulated to confirm or contradict research findings.

New ensemble model was proposed for sentiment analysis, the experimental results showed that the sentiment recognition accuracy of the proposed model was higher than that of the other seven comparison models, with an F1score of more than 91%, and the results of recognizing different levels of emotion showed the stability of the proposed ensemble model [32]. Research used the sentiment analysis method to identify and extract student responses in subjective information focusing on positive and negative polarity, and their research findings showed that the results of sentiment analysis using the SVM method obtained an accuracy of 84% [33].

Research used Chi-square and SVM algorithms, the results of their research assist university administrators and lecturers to identify the strengths and weaknesses of lecturers based on textual evaluations conducted by students [34]. [35]Research related to the use of LMS developed at Anadolu University, the results of their research concluded that machine learning techniques can be used to better understand students and how they feel [35]. From several previous researches that have been explained above, the differences can be seen in Table 1. From several researches, various methods are used to obtain better results.

In this research, the researcher tries to compare three machine learning methods, namely Naïve Bayes, Decision Tree, and Support Vector Machine. The three methods will be seen from their performance level, namely which level of accuracy is better. It is because from several previous researches, most researches only use one or two methods, and even if there are, they are not exactly the same using the same method with the same case study. As far as the researcher knows, there has been no research that explicitly discusses sentiment analysis based on Twitter by comparing three methods (Naïve Bayes, Decision Tree & SVM).

Table 1: Literature Review.

Researcher	Years	Methods
Valarmathi et al	2024	- LSTM (Long Short-Term Memory) - ANN (*Artificial Neural Network*)
Adelakun and Baale	2024	BERT
Namitha et al.	2023	NLP (*Natural Language Programming*)
Pulikonde et al.	2023	Sentiment Analysis
Sajinika et al.	2023	VADER
Alqaan and Qamar	2022	- SVM (Support Vector Machine) - KNN (k-Nearest Neighbor) - Random Forest
Senadhira et al.	2022	- SVM (Support Vector Machine) - ANN (*Artificial Neural Network*)
Ngoc and Thi	2021	BERT
Hardian et al.	2021	SentiStrenth
Nkomo and Daniel	2021	Questionnaire
Pu et al.	2021	Ensamble
Kurniawan and Wahyuni	2021	SVM (Support Vector Machine)
Ayeni et al.	2020	SVM (Support Vector Machine)
Osmanoglu et al.	2019	Logistic regression

Source: Authors, (2026).

III. MATERIALS AND METHODS

This research follows the proposed methodology sequence such as data collection, pre-processing, feature extraction, classification and evaluation (Figure 1. Proposed method).

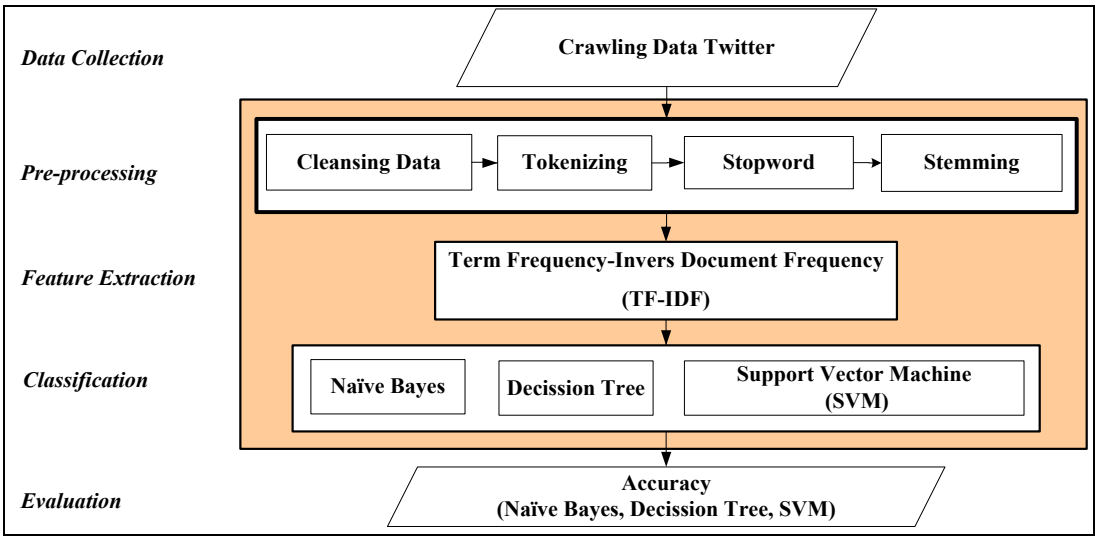


Figure 1: Proposed Method.
Source: Authors, (2026).

III.1 DATA COLLECTION

The first research flow in this research is data collection. The data collection in question is used to obtain a dataset for the analysis process which in this case uses Twitter Harvest or API from Twitter. The keyword used in the data retrieval process is "Kuliah Online" (Indonesian word), which in English means "Online Lectures". The data that will be used is crawling data from Twitter.

III.2 PRE-PROCESSING

Pre-processing in this research is the stage of cleaning data from a sentence or word, link, or things that are not needed to perform sentiment analysis. The dataset that has been collected is still in the form of unstructured or irregular words or sentences, so it still requires a process called data pre-processing to produce clean data, so that the sentiment analysis results are expected to be accurate. The data pre-processing stages consist of cleansing data, tokenizing, stopwords, normalization and stemming. Cleansing data is carried out to reduce unimportant words (noise) in tweet data, such as URLs, hash tags (#), usernames (@username), emoticons (: @,: *,: D), emails, and punctuation [36]. Data changes at this cleaning stage, such as lowercase, can also occur [30].

Tokenizing is a process that functions to break sentences into words. The tokens that have been produced will later be in the form of single words which will make the next process easier [36]. Stopword is a process of deleting or eliminating words resulting from the previous process, namely tokenizing, which have no meaning, such as "di", "yang", "itu", "ke", and so on. Normalization is used to change data into a more standard form [37]. Normalization can help improve accuracy in text analysis and make data easier to process [38]. Stemming is the process of changing words that have affixes to become basic words according to standard Indonesian language rules [30].

III.3 FEATURE EXTRACTION

The third process is feature extraction. At this stage, the TF-IDF (Term Frequency-Inverse Document Frequency) method is used. TF-IDF is used to determine how far the word (term) is related to a document by giving each word a weight. This method will calculate each term's weight in the document. The equation used in this process is [39]:

$$TFIDF(\ t\ ) = TF * log\ \frac{N}{df} \tag{1}$$

Where t is the term, N is the total documents, TF is the number of terms t that appear in the document, and df is the number of documents containing the term t.

III.4 CLASSIFICATION

This stage classification is used to group data or sentences based on their similarities [40]. The classification in the sentiment analysis process is often modelled as two-way (positive/negative) or three-way (positive/negative/neutral) [41]. In this classification stage, three outputs will be classified, namely positive, negative and neutral and will compare three methods by looking at the level of good accuracy, namely Naïve Bayes, Decision Tree and Support Vector Machine.

III.4.1 Naïve Bayes

Naïve Bayes is a simple probabilistic classifier that calculates a set of probabilities by summing the frequencies and combinations of values from a given dataset [42], a simple probability classification process that refers to Bayes' theory. In other words, given an output value, the probability of observing it together is the product of the individual probabilities. The general equation used in the Naïve Bayes algorithm is:

$$\boldsymbol{P(H|X)} = \frac{\boldsymbol{P(X|H)}.\ \boldsymbol{P(H)}}{\boldsymbol{P(X)}} \tag{2}$$

Where:
H: Data hypothesis is a specific class
X : Data with unknown classes
P(H) : Probability of hypothesis H
P(X) : Probability X
P(H|X) : Probability of hypothesis H based on condition X
P(X|H) : Probability X based on the conditions in hypothesis X

III.4.2 Decision Tree

Decision tree is a prediction model that can be used to represent classification and regression models in operations for decision making with strategies that are most likely to achieve goals [43]. In developing a Decision tree, the initial stage is to evaluate all existing attributes using a statistical measure (which is commonly used is information gain) to measure the effectiveness of an attribute in classifying a collection of data samples. Attributes with continuous values must be discretized [44]. To find the gain value (information Gain) can be carried out with the concepts of Entrophy, Gini Index and Classification Error [45].

- Information Gain with Entrophy value

$$Entrophy(s) = \sum_{i=1}^{n} p(i|s) log_2 p(i|s) \tag{3}$$

Where:
S : Case sets in a dataset
n : Number of partitions attribute S
Pi : The proposition of Si to S

This entropy value will be used to calculate the gain value. The formula for finding gains is as follows:

$$Gain\ (S,A) = Entrophy(S) = Entrophy(S) - \sum_{i=1}^{n} \frac{|S_i|}{|S|} \times Entrophy\ S_i \quad (4)$$

S : Case set
A : Attribute
n : Number of partitions in attribute A
| *Si* | : Number of cases in partition 1
| *S* | : Number of cases in S

- *Gain information with Gini Index value*

$$Gini\ (t) = 1\ \sum_{i=1}^{n} [p(i|s)]^2 \quad (5)$$

$$Gain(S,A) = Gini(S)\ \sum_{i=1}^{n} \frac{|Si|}{|S|}\ Gini\ (Si) \quad (6)$$

- Gain Information with Classification Error value C. Error is obtained from the value of the attribute that is the smallest of the class label.

$$C.Error(S) = 1\ max_i\ [p(i|s)] \quad (7)$$

$$Gain(S,A) = Error(s) \sum_{i=1}^{n} \frac{|S_i|}{|S|}\ Error\ (S_i) \quad (8)$$

III.4.3 Support Vector Machine

Support Vector Machine can make predictions for both classification and regression [46]. SVM can be used on different types of data sets, namely data sets with linear and non-linear separation. The Support Vector Machine (SVM) method allows calculations for linear problems by applying mathematical transformations to the learning space using kernel functions [47]. Support Vector Machine (SVM) has a central concept in classifying data, namely determining the best hyperplane to provide a distance or separator between two predetermined classes [48]. Hyperplanes that have large margins can classify data that has not been seen well, by providing a large margin; new data can enter each class [49] where the margin itself can be described as in Figure 2 below.

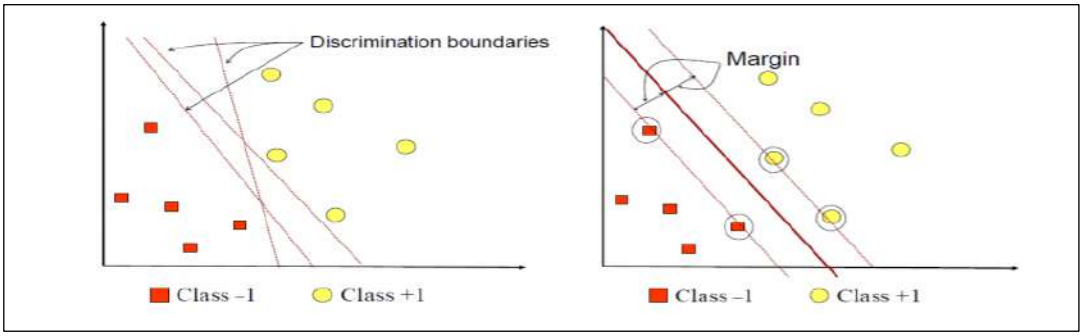


Figure 2: Best Hyperplane.
Source: [50].

In overcoming the Support Vector Machine in non-linear cases that occur, the kernel method is used to overcome it. A function of the kernel is to transform data into a space or other dimension which can be illustrated in Figure 3 below [49].

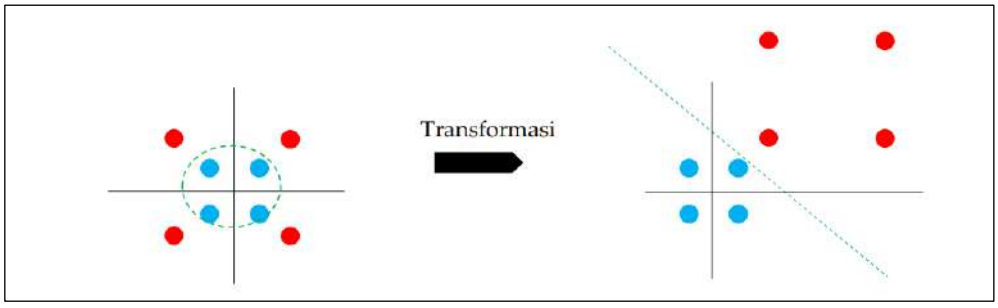


Figure 3: Data Transformation.
Source: [49].

By using the kernel method, a data x is input into a higher-dimensional feature space F. Feature mapping from two-dimensional space to two-dimensional feature space [51].

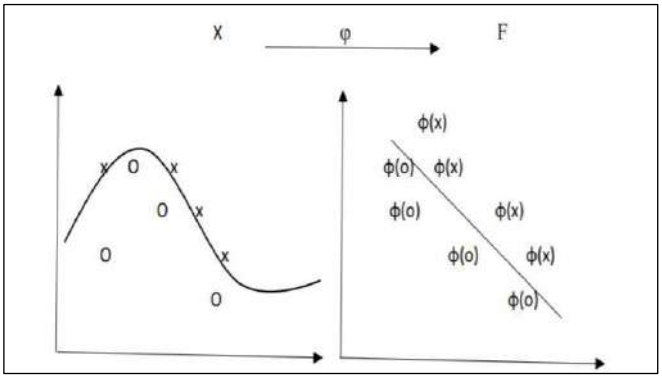


Figure 4: SVM Non Linear Kernel Map.
Source: [51].

There are several kernel functions that are usually used in SVM including linear, polynomial, radial basis function, and sigmoid. The stages in the Support Vector Machine method are as follows [52]:

1. Determine the most frequently occurring words from each document used
2. Determine the initial initialization for the values of α, C, λ, gamma and epsilon.
3. Calculate the matrix with the formula as below:

$$D_{ij} = yi\ yj\ ((xi^{\rightarrow\rightarrow}.xj^{\rightarrow\rightarrow}) + \lambda\ 2) \quad (9)$$

Explanation:
D_{ij} = data matrix element to -ij
yi = class or label of data to -i
yj = class or label of data to -j
λ = theoretical limit derivative
$K(xi^{\rightarrow\rightarrow}.xj^{\rightarrow\rightarrow})$ = kernel function

4. For the n^{th} power = 1,2,3,.. n use the equation below:

$$E_i = \sum \alpha i\ n\ j = 1\ Dij \quad (10)$$

$$\delta\alpha i = \min\{\max[\ \gamma(1 - Ei), -\alpha i\ ], C - \alpha i\ \} \quad (11)$$

$$\alpha i = \alpha i + \delta\alpha i \quad (12)$$

Explanation:
Ei = data error value to -i
γ = learning levels
$Max_{(i)}\ D_{ij}$ = maximum value of the diagonal of the equation matrix

5. Find the bias value (b) using the equation below:

$$b = -\ 1\ 2\ [w\ .\ x\ +\ +\ w\ .\ x\ -] \quad (13)$$

6. Testing on the document being tested
7. Decision calculation

If the decision calculation is more than or equal to 0 then the *h(x)* sign value is +1, then it is included in the positive class and if the decision calculation result is less than 0 then the *h(x)* sign value is -1, then it is included in the negative class. Decision calculation using the equation as below:

$$h(x) = w\ .\ x\ +\ b \text{ atau } h(x) = \sum \alpha i\ yi\ K(x, xi\ m\ i = 1) + b \quad (14)$$

III.5 EVALUTION

In this final stage after a series of processes are carried out, the next step is to evaluate. This is carried out to obtain the level of accuracy of a method used in analyzing sentiment from public opinion. In this evaluation, the k-fold cross validation method is used to test the accuracy of the three methods used (Naive Bayes, Decision Tree and SVM). The k-fold cross validation method all data used will be treated the same, namely as testing and training data. In general, k-fold cross validation, where $k \geq 2$ is an integer, and the dataset used will be partitioned into k parts [53].

Table 2: Illustration of 3-Fold Cross Validation.

	Experiment 1	Experiment 2	Experiment 3
A (data 1 – 10)	A & B (Data Training)	A (Data Training)	A (Data Testing)
B (data 11 – 20)		B (Data Testing)	B & C (Data Training)
C (data 21 – 30)	C (Data Testing)	C (Data Training)	

Source: Authors, (2026).

From the k-fold cross validation method, the level of accuracy, precision, recall and F1-Score can be obtained using the confusion matrix method. With the confusion matrix we can analyze how well the categories we use can recognize data from different categories [44].

Table 3: Model confusion matrix.

Correct classification	**Classified As**	
	+	-
+	TP	FN
-	FP	TN

Source: Authors, (2026).

Accuracy, precision, recall, f1-score are obtained by equations (14) to (17) [44]:

$$Accuracy = \frac{TP+TN}{TP+TN+FP+FN} x\ 100\% \quad (15)$$

$$Precision = \frac{TP}{TP+FP} x\ 100\% \quad (16)$$

$$Recall = \frac{TP}{TP+FN} x\ 100\% \quad (17)$$

$$F1\text{-}Score = \frac{2TP}{2TP+FP+FN} x\ 100\% \quad (18)$$

Where, TP = *True Positive*, TN = *True Negative*, FP = *False Positive,* dan FN = *False Negative*.

IV. RESULTS AND DISCUSSIONS

This section discusses the results and discussions related to the proposed method. This section starts from data collection, data processing, per-processing, feature extraction, and classification.

IV.1 DATA COLLECTION

The data used is data collected from Twitter in the form of tweets. The data collection process is carried out through the data crawling process, in this case using Tweet Harvest (Version 2.6.1). One of the advantages of Tweet Harvest is that it allows users to collect more data and can be run in the form of a Command Line Interface (CLI) and only requires an auth_token [54].

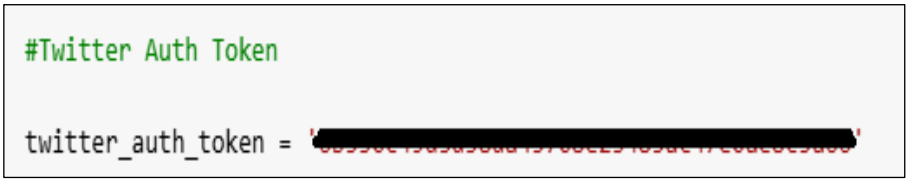


Figure 5: Token Authoring.
Source: Authors, (2026).

The keywords used in the data retrieval process refer to “Online lectures”. Data collection was carried out from June 13-25, 2024. The data crawled was tweet data from June 23, 2023 to June 22, 2024. The crawled data retrieval started from June 23, 2024, this was carried out after the issuance of Presidential Decree No. 17 of 2023 concerning the Determination of the End of the Corona Virus Disease 2019 (COVID-19) Pandemic Status in Indonesia, which was set on June 22, 2023. This is very relevant because the tweet data retrieval was carried out after Indonesia was declared free from the pandemic, so that we can obtain tweets from the public regarding the experience of online lectures during the pandemic until the pandemic is over.

	conversation_id_str	created_at	favorite_count	full_text	id_str	image_url	in_reply_to_screen_name
0	1250187762684190720	Tue Apr 14 23:56:49 +0000 2020	0	@masgib___ Anak kuliahan sibuk kuliah online l...	1250211440943718400	NaN	chilghbrn_
1	1250211296345120768	Tue Apr 14 23:56:15 +0000 2020	1	Udah kuliah online ngerjain tugas udah jungker...	1250211296345120768	NaN	NaN
2	1250209036177301504	Tue Apr 14 23:50:50 +0000 2020	0	@bintangemon Mandi pagi mau kuliah online	1250209934739824640	NaN	bintangemon
3	1250209679583506432	Tue Apr 14 23:49:50 +0000 2020	0	Kuliah online tim anak laju bisa leha leha dat...	1250209679583506432	NaN	NaN
4	1250206199376678914	Tue Apr 14 23:36:00 +0000 2020	0	Bingung dengan strategi efektif kuliah online ...	1250206199376678914	https://pbs.twimg.com/media/EUeVShiUYAEwjn9.jpg	NaN

Figure 6: Crawling result data.
Source: Authors, (2026).

Based on the data that has been obtained previously, the data processing process was carried out using 8,411 Twitter crawling data, and after verification, the data used was 5,978 tweets. After the data was obtained, the next step was the labelling process. The labelling process was carried out from August 8, 2024 to September 20, 2024. Data labelling was carried out in three categories, namely positive, negative and neutral (Table 4).

Table 4: Label data Twitter.

Description/Category	Label
Positive	1
Negative	2
Neutral	3

Source: Authors, (2026).

From the 5,978 tweets used, each label was obtained, namely 1,953 positive labels, 2,045 negative labels and 1,980 neutral labels (Figure 7).

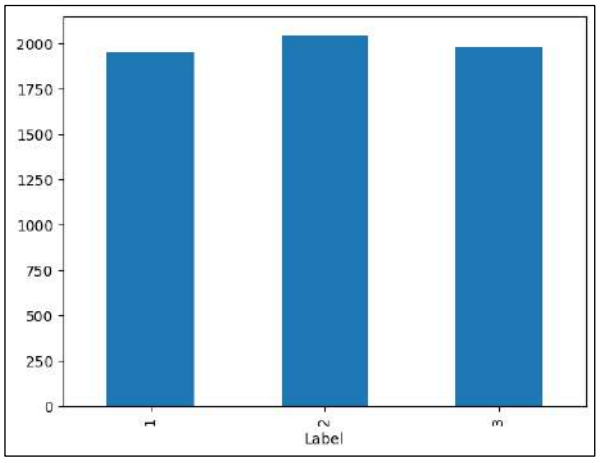


Figure 7: Label data Twitter.
Source: Authors, (2026).

IV.2 PRE-PROCESSING

After the data is collected, the data will then be processed through the pre-processing stage. This stage aims to make the data clean and there are no indicators that interfere with the score value during the implementation process of the Bag of Words weighting method and the Naive Bayes classification method. This stage is very important, because if there is unclean data, the score value will be affected. Pre-processing is carried out to prepare documents in raw text until they are ready to be analysed according to the method used. The purpose of this process is to increase classification accuracy [55].

	conversation_id_str	created_at	full_text	id_str	username	Label
0	1804659268114909952	"Sat Jun 22 23:48:51 +0000 2024"	"[8/8] Daaan...Info ini jangan berhenti di kam...	"1804662866483753112"	"UnivTerbuka"	1
1	1804659268114909952	"Sat Jun 22 23:48:13 +0000 2024"	"[7/8] Universitas Terbuka fleksibel Kuliahnya...	"1804662710090834395"	"UnivTerbuka"	1
2	1804659268114909952	"Sat Jun 22 23:46:10 +0000 2024"	"[6/8] Yuk segera bergabung di UT! Semua Bisa ...	"1804662193692250369"	"UnivTerbuka"	1
3	1804659268114909952	"Sat Jun 22 23:44:26 +0000 2024"	"[5/8] Hadiah: Rp. 600.000.000 (include Beasis...	"1804661757233012998"	"UnivTerbuka"	1
4	1804659268114909952	"Sat Jun 22 23:42:26 +0000 2024"	"[4/8] ï¸ Jadwal Pertandingan: 10 - 11 Agust'...	"1804661255015436310"	"UnivTerbuka"	3

Figure 8: Crawling data Results Preprocessing.
Source: Authors, (2026).

To assist the results of data crawling, researchers try to visualize the data in the form of a word cloud (Figure 9). Word cloud is a form of visualization of text data that describes a collection of words that are often found in a text analysis. The size of the font in the word cloud indicates that the word appears frequently.



Figure 9: Data Visualization in WordCloud.
Source: Authors, (2026).

In addition to using word clouds, researchers also use graphs to visualize the results of words that appear frequently (Figure 10).

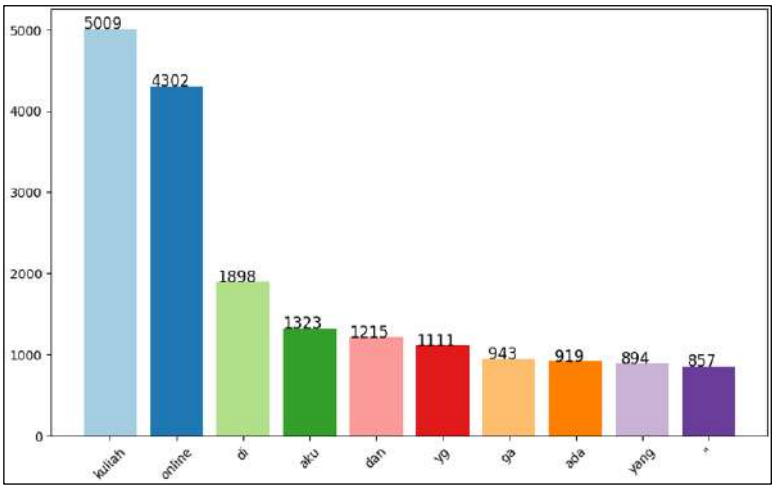


Figure 10: Frequently Appearing Word Graphs.
Source: Authors, (2026).

Before the data is processed and enters the first stage in pre-processing, the Case Folding process is carried out first. Case Folding is used to change all letters especially uppercase letters in a document to lowercase letters, only letters 'a' to 'z' are accepted. Characters other than letters are removed and considered delimeter. Uppercase or lowercase letters in a word are assumed to be no difference, all uppercase characters are usually changed to lowercase. This aims to make the text more consistent, thus allowing more consistent text processing.

```
Case Folding Result :

0    "[8/8] daaan...info ini jangan berhenti di kam...
1    "[7/7] universitas terbuka fleksibel kuliahnya...
2    "[6/8] yuk segera bergabung di ut! semua bisa ...
3    "[5/8] hadiah: rp. 600.000.000 (include beasis...
4    "[4/8] ï¸ jadwal pertandingan: 10 - 11 agust'...
Name: full_text, dtype: object
```

Figure 11: Case Folding Process.
Source: Authors, (2026).

IV.3 FEATURE EXTRACTION

Feature extraction is the process of converting terms from text into numbers that can be read by a computer. In this research, TF-IDF (Term Frequency-Inverse Document Frequency) is used as a process by giving a value to each word in the training data. The calculated value is given to determine how important a word is for a sentence. The TF-IDF value depends on how often the word appears in the document [56].

```
(0, 4529)     0.3651962248249808
(0, 6755)     0.0974972577683869
(0, 8994)     0.4993300228237758
(0, 9465)     0.10054239548236474
(0, 12533)    0.7731020353864696
(1, 206)      0.39333361187157334
(1, 2751)     0.36162190824250384
(1, 5124)     0.13073626338893005
(1, 6127)     0.2320014980259387
(1, 6755)     0.049603993768355545
(1, 9465)     0.10230655657640196
(1, 10700)    0.529238356284812
(1, 12198)    0.3699631773645535
(1, 12390)    0.36162190824250384
(1, 12837)    0.2879896126494258
(2, 198)      0.11089800034777621
(2, 560)      0.17927193875755346
(2, 1947)     0.3074011965668767
(2, 2035)     0.19327622228550825
(2, 2407)     0.24538027533298465
(2, 2557)     0.17291892158166827
(2, 4035)     0.10683369011216404
```

Figure 12: Results of the Feature Extraction Stage Process with TF-IDF.
Source: Authors, (2026).

Simply put, TF-IDF is used to determine how often/important a word appears in a document. The tweet data in the pre-processing stage is still in the form of text (words), while in the classification stage the data used must be numeric or numbers. So at this feature extraction stage, the data will first be converted into numbers using the TF-IDF method. The results of the TF-IDF process are as shown in Figure 12.

IV.4 CLASSIFICATION

The results obtained at the feature extraction stage will be input data at the classification stage. At this classification stage, three methods are used, namely Naïve Bayes, Decision Tree, and Support Vector Machine. Meanwhile, to measure the performance of the method used by researchers in terms of validating and evaluating using k-fold cross validation and confusion matrix, where k = 10 with a division of 80% training data and 20% testing data. This classification seeks the best level of accuracy from each method. So we can compare which level of accuracy is better from the three methods.

IV.4.1 Naïve Bayes

Classification using *Naïve Bayes* is carried out in this analysis using a ratio of 80:20 between training data and testing data. With validation and evaluation using k-fold cross validation, where the value of k = 10, the level of accuracy is obtained as in Figure 18. From these results, the average level of accuracy obtained is 78.02%, with the highest accuracy at k = 9, which is 80.91%. While the average precision value is 78.18%, recall is 78.02% and F1-Score is 77.45% (Figure 13).

```
Naive Bayes (K-Fold Cross Validation (K=10))
============================================
Accuracy          : [77.08768267 75.99164927 76.88284519 75.05230126 77.24895397 80.17782427
 79.44560669 80.17782427 80.91004184 77.24895397]
Mean Accuracy     : 78.02

Recall            : [77.08768267 75.99164927 76.88284519 75.05230126 77.24895397 80.17782427
 79.44560669 80.17782427 80.91004184 77.24895397]
Mean Recall       : 78.02

Precision          : [77.81964458 75.75784028 77.52005167 75.94284245 77.93378724 80.15934596
 79.63592612 79.83949059 80.74378957 76.40046899]
Mean Precision    : 78.18

F1-Score          : [76.32962836 75.73978488 76.44089662 74.14623553 76.76672629 79.72983041
 78.66874383 79.61048039 80.46512477 76.60495255]
Mean F1-Score     : 77.45
```

Figure 13: Classification Results using Naïve Bayes.
Source: Authors, (2026).

IV.4.2 Decision Tree

By using the same data division 80:20, and validation and evaluation using k-fold cross validation, where the value of k = 10, the accuracy level is obtained as in Figure 19. The average result at the accuracy level is 86%, with the highest accuracy obtained at k = 4 and k = 6, which is 100%. While the average precision value is 89.14%, recall is 81.24% and F1-Score is 82.31% (Figure 14).

```
Decision Tree (K-Fold Cross Validation (K=10))
==============================================
Accuracy          : [ 90.  80.  90. 100.  80. 100.  90.  70.  70.  90.]
Mean Accuracy     : 86.0

Recall            : [ 40.         100.          66.66666667 100.          60.
 100.         80.          80.         100.          85.71428571]
Mean Recall       : 81.24

Precision          : [ 91.66666667  92.          92.         100.          85.71428571
 100.         80.          70.83333333  86.66666667  92.5        ]
Mean Precision     : 89.14

F1-Score          : [ 67.03296703  90.1010101   90.1010101  100.          79.16666667
 100.         80.          69.6969697   56.66666667  90.32967033]
Mean F1-Score     : 82.31
```

Figure 14: Classification Results using Decision Tree.
Source: Authors, (2026).

IV.4.3 Support Vector Machine

By using Support Vector Machine, the accuracy level is obtained as shown in Figure 20. The average accuracy level obtained is 89%, with the highest accuracy at k = 6 and k = 10, which is 100%. While the average precision value is 90.97%, recall is 87.31% and F1-Score is 88.99% (Figure 15).

```
Support Vector Machine (K-Fold Cross Validation (K=10))
=======================================================
Accuracy          : [ 90.  70.  90.  80.  90. 100.  90.  90.  90. 100.]
Mean Accuracy     : 89.0

Recall            : [ 80.          75.          80.          71.42857143 100.
 100.         100.         100.          66.66666667 100.        ]
Mean Recall       : 87.31

Precision          : [ 91.66666667  72.          91.66666667  88.          91.42857143
 100.         91.66666667  92.          91.25       100.        ]
Mean Precision     : 90.97

F1-Score          : [ 89.8989899   70.3030303   89.8989899   80.83333333  89.67032967
 100.         89.8989899   90.1010101   89.33333333 100.        ]
Mean F1-Score     : 88.99
```

Figure 15: Classification Results using Support Vector Machine.
Source: Authors, (2026).

The overall results data of the three methods (Naïve Bayes, Decision Tree, and Support Vector Machine) can be seen in Table 5.

Table 5: Comparison of Naïve Bayes, Decision Tree, and SVM Results.

Methods / K-Fold	Naïve Bayes (NB)				Decision Tree (DT)				Support Vector Machine (SVM)			
	Accuracy	Recall	Precision	F1-Score	Accuracy	Recall	Precision	F1-Score	Accuracy	Recall	Precision	F1-Score
K=1	77,09 %	77,09 %	77,82 %	76,33 %	90 %	40 %	91,67 %	67,03 %	90 %	80 %	91,67 %	89,89 %
K=2	75,99 %	75,99 %	75,76 %	75,74 %	80 %	100 %	92 %	90,10 %	70 %	75 %	72 %	70,30 %
K=3	76,88 %	76,88 %	77,52 %	76,44 %	90 %	66,67 %	92 %	90,10 %	90 %	80 %	91,67 %	89,89 %
K=4	75,05 %	75,05 %	75,94 %	74,15 %	100 %	100 %	100 %	100 %	80 %	71,43 %	88 %	80,83 %
K=5	77,25 %	77,25 %	77,93 %	76,77 %	80 %	60 %	85,74 %	79,17 %	90 %	100 %	91,43 %	89,67 %
K=6	80,18 %	80,18 %	80,16 %	79,73 %	100 %	100 %	100 %	100 %	100 %	100 %	100 %	100 %
K=7	79,45 %	79,45 %	79,64 %	78,67 %	90 %	80 %	80 %	80 %	90 %	100 %	91,67 %	89,89 %
K=8	80,18 %	80,18 %	79,84 %	79,61 %	70 %	80 %	70,83 %	69,69 %	90 %	100 %	92 %	90,10 %
K=9	80,90 %	80,91 %	80,74 %	80,47 %	70 %	100 %	86,67 %	56,67 %	90 %	66,67 %	91,25 %	89,33 %
K=10	77,25 %	77,25 %	77,40 %	76,61 %	90 %	85, 71 %	92,50 %	90,33 %	100 %	100 %	100 %	100 %
Mean	**78,02 %**	**78,02 %**	**78,18 %**	**77,45 %**	**86 %**	**81,14 %**	**89,14 %**	**82,31 %**	**89 %**	**87,31 %**	**90,97 %**	**88,99 %**

Source: Authors, (2026).

Table 5 shows the average accuracy of using the Naïve Bayes method of 78.02%, Decision Tree of 86%, and Support Vector Machine of 89%. So from the data, the best accuracy level of the three methods is Support Vector Machine (89%). Thus, sentiment analysis using the algorithm shows significant results as evidenced by its accuracy level of 89% in the Support Vector Machine method.

V. CONCLUSIONS

Based on the final results of the research, it can be concluded that from the 8,411 data that have been obtained, 5,978 data are left to be used in the research. At the classification stage, the performance measurement of the method used by the researcher in terms of validating and evaluating using k-fold cross validation and confusion matrix, where k = 10 with a division of 80% training data and 20% testing data. The final results of using the method obtained accuracy for the Naïve Bayes method of 78.02%, Decision Tree of 86%, and Support Vector Machine of 89%. So in this case, it is seen from the level of accuracy that is superior, namely SVM. This means that the performance of the system's success in sentiment analysis of online lectures based on Twitter data is very good. Future research is expected to add machine learning methods in its classification such as the K-Nearest Neighbor method, Logistic Regression, Random Forest or Artificial Neural Network. This is expected to be able to find out more comprehensively regarding the use of other methods.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Darwan, Sirojudin Wahid, Fajar Hardoyono, Indra, and Muhammad Hikmal.
Methodology: Darwan, Sirojudin Wahid, Fajar Hardoyono, Indra, and Muhammad Hikmal.
Investigation: Darwan, Sirojudin Wahid, Fajar Hardoyono, Indra, and Muhammad Hikmal.
Discussion of results: Darwan, Sirojudin Wahid, Fajar Hardoyono, Indra, and Muhammad Hikmal.
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Supervision: Darwan, Sirojudin Wahid, Fajar Hardoyono, Indra, and Muhammad Hikmal.
Approval of the final text: Darwan, Sirojudin Wahid, Fajar Hardoyono, Indra, and Muhammad Hikmal.

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IMPACT OF DIGITAL HR PRACTICES ON ENVIRONMENTAL SUSTAINABILITY IN HEALTHCARE INSTITUTIONS OF ANDHRA PRADESH

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ABSTRACT

Electronic Human Resource Management (e-HRM) has applied increasingly as a strategic tool to improve HR effectiveness and sustainability of healthcare organizations. Despite this, there is little empirical evidence on utilization and potential sustainability value in the Andhra Pradesh hospitals. The present study aims at reviewing the prevalence, reporting and perceived impact, practices of e-HRM on sustainability of organization operating of in health care sector of Andhra Pradesh. This was descriptive research with quantitative approach. Participants HR practitioners, administration, and health workers in private hospital settings situated in urban and semi-urban areas. A sample size of 250 was determined based on stratified random sampling method and a structured questionnaire was used to collect data. Instrument reliability and validity were obtained through Cronbach alpha and content validity, respectively. Analytic tools such as correlation, t-test ANOVA, Factor Analysis and SmartPLS were used to analyze collected data. We conclude that adoption of e- HRM practice in hospital level is moderate and in HR and administration functions higher than clinical support functions. Respondents believe that e-HRM as a practice makes the organization more efficient and sustainable. The study highlights the need for e-HRM in the healthcare sector to be employed as a strategic HR performance tool and sustainability enabler. Perhaps, there is a call to increase the level of awareness, training, and infrastructural support in so far as they could and can support the optimal benefits of e-HRM implementation.

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I.INTRODUCTION

The convergence of the Sustainable Development Goals (SDGs) and digital technologies has opened up new innovation frontiers in all sectors and areas including healthcare. The focal point of change lies in the Human Resource Management (HRM) which integrates the workforce strategies with the broader eco-friendliness work plan of the company or institution. The era of digital HRM has brought the advent of cutting-edge technologies such as artificial intelligence (AI), cloud computing, mobile applications, data analytics, and HR automation [1], changing how the work in HR is done, and making it efficient, transparent, and sustainable. Digital HRM is not just a nice-to-have technological leap but a strategic need, the most in the service-intensive, resource-strapped healthcare sector. Hospitals in emerging countries, India in particular, need to meet the challenge of delivering quality healthcare, reducing human

resource costs and adhering to broader environmental objectives. In this respect, Andhra Pradesh represents an interesting stage for the study of digital HRM adoption.

The growing focus on digital infrastructure and healthcare reforms by the state government has led to hospitals beginning to digitally manage processes such as payroll, hiring, training, and performance appraisal [2]. Not only do these efforts save administrative costs, they also support a green culture by reducing resource consumption, lessening employee travel and promoting paperless operations. In the context of HR, digital HRM becomes an enabler, a driver for integrating sustainability throughout the HR value chain. E-recruitment, online induction, remote learning software, electronic performance management systems, and employee self-service interfaces solutions that are eco-friendly substitutes to the paper-heavy traditional processes [3].

The benefits of digital HR infrastructure seem to be empirically proven: Families Camp (2021) found that organizations using digital HR infrastructure save 70% on paper, cut admin burdens by 50% and as such are able to work more sustainable and efficiently. In addition to this, digital HR platforms enable data-driven decisions and empower managers to predict staffing needs, allocate resources efficiently and eliminate waste. In addition, the inclusion of indicators of sustainability in HR performance measures results in enhancing the accountability of organizations. For instance, in hospitals they are increasingly used to report employee engagement in green initiatives, the carbon impact of HR function or paper use. These are the approaches to bridge HR initiatives with the organizational sustainability objectives and regulatory requirements [4].

In India, environmentalists / sustainable are now starting to align with HR processes as compliance norms has become HR and environment now equally responsible. NABH releases Climate Action & Sustainability Guidebook; announces new standard on Environment Sustainability & Climate Resilience under its 6th Edition Hospital Accreditation Standards (2025) New Delhi: The National Accreditation Board for Hospitals & Healthcare Providers (NABH) released Climate Action & Sustainability Guidebook here today and announced a new standard on Environment Ramsuities & Climate Resilience under its 6th Edition Hospital Accreditation Standards to be launched by 2025.

This makes sustainability as one of the most vibrant drivers of HR, processes such as to train employees regarding waste reduction, energy and supply sustainability, electronic record, responsible procurement of supplies [5] also integrating information in electronic format can help doing away with papers and errors at the same time [6]. The Ministry of Health & Family Welfare has also released guidelines for Green and Climate-Resilient Healthcare Facilities, highlighting the role of the HR in the procurement processes, infrastructure planning, and the capacity building through learning management system [7]. Evidence on behalf of quality and accreditation organizations similarly underscores sustainable sourcing and workforce development as two key levers of organizational change, both facilitated by HR policies and digital HRM systems [8].

I.1 NATIONAL LANDSCAPE

India's Ayushman Bharat Digital Mission (ABDM) builds the national infrastructure ABHA IDs, HPR (Healthcare Professional Registry), HFR (Health Facility Registry), and UHI that hospitals and HR units depend upon for credentialing, deployment, and interoperable records. ABHA accounts and linked records are burgeoning in quantity according to peer-reviewed and policy sources, suggesting the environment is ripe for HR digitization (e-onboarding, privileging, skills mapping) [9], [10]. At a national level, impacts of AI-enabled administrative automation long understood as anything from digitised paperwork to scheduling highlight HR's role as workers' champion in managing change, relieving staff workload, and preventing burnout and turnover itself, significant drivers of effects social sustainability the direct attribution of HR to social sustainability priorities [11] Urban hospitals in Metro cities such as Visakhapatnam, Vijayawada, and Tirupati in Andhra Pradesh have embraced cloud-based HR software, digital learning platforms, and employee well-being tools, whereas the rural and semi-urban hospitals still grapple with challenges such as insufficient infrastructure, digital illiteracy and change management. This dichotomy reveals the multitemporal nature of digital transformation in HR, and also lays a fertile terrain to analyse its meaning in the account of sustainability in healthcare institutions.

I.2 REGIONAL LANDSCAPE

The health sector scenario in Andhra Pradesh throws light on feasible directions on how digital HRM can play a part on sustainability. Government-driven programmes such as doorstep diagnostics service, and development of electronic image and health record (EHR) are creating mother-lode datasets that HR departments could use for skills-mix planning, for targeted e-learning for rural health workers, and also for delivering a fair HR service [12]. Telemedicine initiatives with hub-and-spoke models also illustrate how digital orchestration overcomes time lag and redundancies in patient transfer, by complementing doctor shift staff planning and competence map planning [13].

An area of concern is the uneven implementation of Digital HRM in India and Andhra Pradesh in particular despite widespread adoption of digital health technologies. While there is evidence that it is cost-effective, enhances the workforce, and promotes green values, there is little empirical work on the role that digital HRM has in the development of sustainable healthcare environments. Articles that are available however most focus on efficiency and economy and other broad dimensions of sustainability emphasizing environmental responsibility, social well-being and long-term organizational sustainability–receive less consideration.

For Andhra Pradesh, where Health System reform is rolling at high speed, maintaining HR records mostly still manual or semi-digital, this gap is even more pronounced. Therefore, the purpose of this research is to investigate the impact of digital HRM practices on the creation of sustainable environment in the hospitals of Andhra Pradesh. By intersecting digital HRM appropriation with organisational performance and sustainability output, this study aims at generating evidence-based well-founded information that is relevant for policy developers, health worker facility managers and HR managers who are thinking about enacting digital transformation and sustainable development goals.

II. LITERATURE REVIEW

The reviewed literature is the theoretical and empirical foundation and application of DHRM. Defined as the performance of traditional HR tasks recruitment, training, payroll and performance assessment utilizing technology, Digital HRM (DHRM) has increasingly been affected by frontier technologies, including AI, machine learning, and big data [14], [15]. Its ability to relieve administrative burden, enhance efficiency and improve employee experience is supported by evidence [16]. In healthcare systems, digital HRM (e-HRM) is not only automation but it also focuses on sustainability through well-balanced workforce establishment, centralized information system, and paperless workflow [17], [18]. Evidence supports its benefits in monitoring performance in real time, e-learning and HR service delivery [19], [20].

The related literature on Green HRM (GHRM) also underscores the integration of environmental issues in HR practice through green recruitment, training, appraisal and incentives. Incorporated research indicates that GHRM is positively associated with the continuation of organizational sustainability performance, innovation and pro-environmental employee behaviours. Types of practice like paperless documentation, energy-efficient office system, and electronic files help in providing eco-ethical healthcare [21], [4]. Research also demonstrates the role of Digital HRM towards sustainability development. Internet recruitment, e-onboarding, and learning management software save on paper, travel and emissions and HR analytics optimizes resource utilization [22], [23], [24]. All of these are associated with cost savings and environmental goals

A parallel line of work highlights organisational readiness and technology acceptance as determinants of successful adoption of the digital HRM. Elaborated model like Technology Acceptance Model (TAM) and the Unified Theory of Acceptance and Use of Technology (UTAUT) describe the adoption behaviours, where performance expectancy, facilitating conditions, and digital literacy are found as the robust predictors in healthcare settings [25], [26], [27]. E-HRM refers to the strategic approach by which HR processes are converted from manual systems to electronic systems aimed at with the carriage of delivering value propositions such as efficiency, cost savings, and role positioning of HR as a strategic partner [28]. One typical application is the use of digital tools to assess employees with respect to multidimensional criteria, enabling managers to make solid decisions on performance [29].

Work performance of Employee (EP) in term of quality, productivity, commitment, and innovation are the core of organization') They are achieved if that employees have motivation, skill enhancement and conducive environment at work [30]. Despite these contributions, gaps remain. Current literature considers digital HRM and sustainable HRM distinct from each other, with few empirical investigations combining both especially in healthcare sector of developing countries such as India [31]. Furthermore, a majority of findings are taken from IT and manufacturing, and so, healthcare-specific and regional studies are underdeveloped. The case from Andhra Pradesh, where health informatics adoption is growing, is especially under reported. Therefore, the present study fills this gap by employing the digital HR practices to provide sustainability outcomes of Andhra Pradesh hospitals.

Table 1: Summary of Literature Review on Digital Human Resource Management, Green HRM, and Sustainability in Healthcare.

Theme	Key Findings from Literature	Identified Gaps
Digital HRM: Concepts & Applications	Defined as the use of technology (Artificial Intelligence, Machine Learning, big data, cloud) for traditional HR functions such as recruitment, training, payroll, and appraisal [14], [1]. Enhances efficiency, reduces admin burdens, and improves employee experience [18].	Most studies conceptual or business-sector focused; limited healthcare-specific evidence.
Digital HRM in Healthcare (e-HRM)	Enables data-driven workforce planning, equitable staff deployment, and paperless processes [17], [18]. Improves real-time monitoring, e-learning, and HR service delivery [3], [20].	Few empirical studies on healthcare facilities in emerging economies like India; urban-rural digital divide underexplored.
Green HRM (GHRM) & Sustainability	Green HRM practices (green hiring, training, appraisal, rewards) linked to sustainability performance, innovation, and pro-environmental behaviour [26], [14], [6]. Practices include paperless processes, eco-friendly offices, and electronic health records [16], [12].	Limited integration of digital and green HRM perspectives in healthcare; most focus on manufacturing/IT industries.
Digital HRM as a Sustainability Driver	Web-based recruitment, e-onboarding, and LMS reduce paper, travel, and emissions [10]. HR analytics improves resource efficiency and supports green HR [12], [16].	Lack of comprehensive models linking digital HRM adoption with sustainability outcomes in healthcare.
Organizational Readiness & Technology Acceptance	Adoption influenced by TAM [25] and UTAUT [26] (Venkatesh et al., 2003). Factors such as performance expectancy, facilitating conditions, and digital literacy predict success [9].	Adoption challenges in healthcare (low digital literacy, resistance to change) are underexplored in regional contexts like Andhra Pradesh.
E-HRM, e-Performance Appraisal, and Employee Performance	E-HRM integrates technology into HR functions, improving efficiency and decision-making while positioning HR as a strategic partner [28]. E-performance appraisal systems provide real-time, multidimensional evaluation of employees [29]. Employee performance, measured by productivity, commitment, and innovation, is central to organizational success and sustainability [30].	Few studies link e-HRM and e-performance appraisal directly to sustainability outcomes, particularly in healthcare systems of emerging economies.
Limitations of Existing Literature	Existing studies often examine digital HRM or sustainable HRM in isolation [31]. Healthcare-specific dynamics and regional contexts are underexplored.	Very limited studies on Andhra Pradesh healthcare organizations and their adoption of digital HRM for sustainability outcomes.

Source: Authors, (2026).

II.1 NEED FOR THE STUDY

Sustainable healthcare is more than simply an environmentally friendly push to reduce waste and be more energy efficient it's about developing a resilient and ethically managed workforce which can enable responsible and ethical decision-making and support long-term organisational health. According to the World Health Organization (2022), sustainable healthcare is that which ensures future generations' capacity to meet their own needs without being at the expense of the present, making efficient workforce management very important. The demand for digitally transforming the way we do business, manage remote workforces and deliver healthcare is demonstrated by the recent COVID-19 crisis [16].

"Both private and public healthcare organizations in India work under resource limitation and digital HRM tools provide practical options." Remote recruitment diminishes transport, video- based training saves paper and cloud-based data management limits infrastructural requirements [31]. By strategically deployed, digital HRM enhances employee engagement, organizational responsiveness, and the triple bottom line of sustainability, people, planet, and profit.

Although digital HRM has been explored primarily in terms of the impact on organizational and employee performance [24], its potential for environmental sustainability in healthcare in developing countries has not been investigated. The majority of the research is concentrated in manufacturing or IT sectors; whereas, the gap in the healthcare related studies exits. This research gap is answered by examining the ways digital HRM nurtures sustainable work environments in multi-specialty hospitals of Andhra Pradesh that would enrich academic literature and promote policy-based actions.

II.2 CONCEPTUAL FRAMEWORK

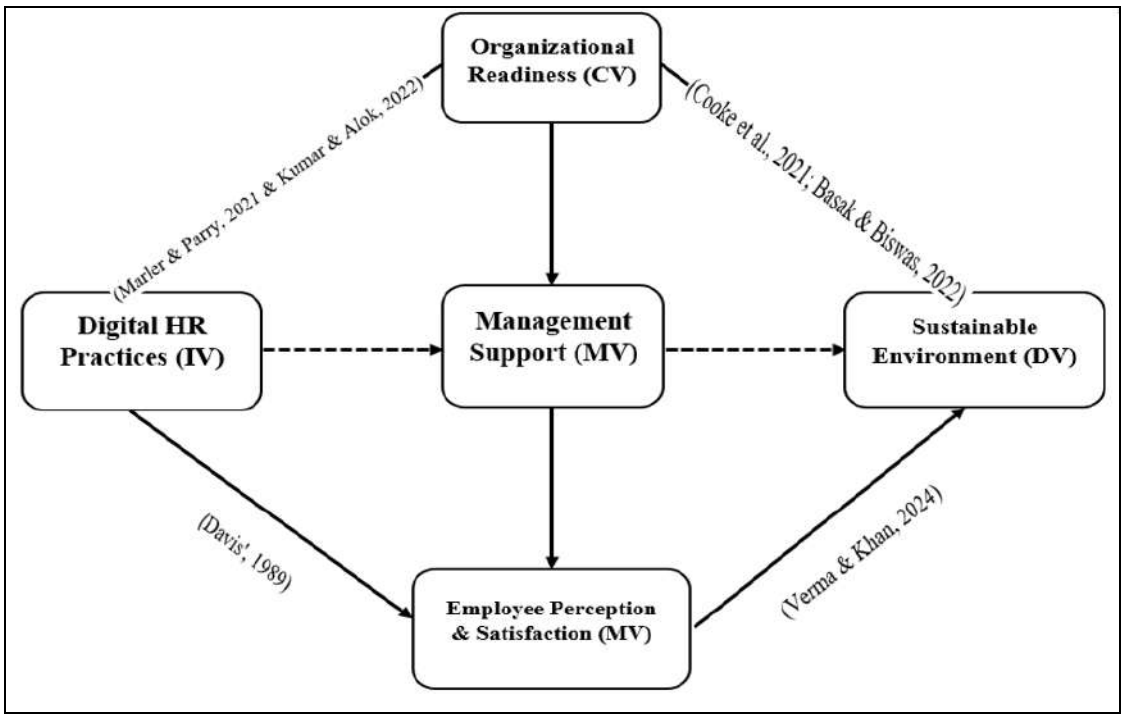


Figure 1: Conceptual Framework of Digital HRM and Sustainability.
Source: Authors, (2026).

III. RESEARCH METHODOLOGY

This research focuses on the proposed objectives by following the research design such as quantitative and descriptive, to investigate the e-HRM adoption, performance and perceived impact to sustainability in the healthcare of Andhra Pradesh. The sampling frame is staff in human resources department, administrative department and hospital health workers working in patients' services from private hospitals in urban and semi-urban, as the universe of interest is all staff i.e., operational; administrative and staff working in HR department. We selected an adequate sample of 250 respondents by applying for a stratified random sampling to secure diversity with respects to roles and hospital types based on the Krejcie and Morgan [32] table. The information was gathered from the closed-ended structured questionnaire and Likert scale items, which were pretested for clarity and appropriateness. The reliability was checked by Cronbach's alpha, while experts' review and factor analysis were used to ascertain the validity. The collected data was analysed by using descriptive statistics (frequency, percentage, mean and standard deviation) and inferential statistics (Correlation, Regression, t-test, and ANOVA), with software's SPSS. The research adhered to rigorous ethical standards for work with human participants, including concepts of volunteerism, informed consent, and confidentiality, as well as with standards of research on humans.

III.1 RESEARCH OBJECTIVES AND HYPOTHESES OF THE STUDY

Table 2: Summary of Research Objectives, Hypotheses, and Focus Areas.

S.No	Research Objective / Hypothesis	Focus Area
Objective	Assess the impact of digital HRM practices on healthcare sustainability.	Digital HRM & Sustainability
H_{01}	Digital HRM practices positively influence sustainability in healthcare.	
Objective	Evaluate adoption and effectiveness of digital HR tools in hospitals.	Digital HR Tools Adoption
H_{02}	Employee perception mediates the effect of digital HRM practices on sustainability outcomes.	
Objective	Analyse employee perceptions of digital HR practices on sustainability and efficiency.	Employee Perception & Efficiency
H_{03}	Organizational readiness positively affects the adoption of digital HRM practices.	
Objective	Examine organizational readiness and technological support for digital HRM implementation.	Organizational Readiness & Technology
H_{04}	Management support positively moderates the relationship between digital HRM practices and employee perception.	

Source: Authors, (2026).

IV. RESULTS & DISCUSSIONS

Table 3: Demographic Profile of the Sample.

Variable	Classification	Frequency	Percent
Gender	Male	141	56.40
	Female	109	43.60
Age (Years)	21 - 30 Years	106	42.40
	31 – 40 Years	118	47.20
	41 – 50 Years	26	10.40
Designation	HR Managers	42	16.80
	Clinical Staff	123	49.20
	Administrative Staff	85	34.00
Experience	Less than 05 Years	115	46.00
	05-10 Years	108	43.20
	More than 10 Years	27	10.80

Source: Authors, (2026).

From table 3 reveal that the size of the sample is 250 and there is small dominance of male (56.40 %) over female (43.60%). Ages distribution provides a relatively young manpower, with about half of it (47.20%) being 31 – 40 years old, but followed by 42.40% are in the range of 21 – 30 years' group. Only 10.40% are between 41 and 50 years of age showing gross under presentation of senior age categories. As far as designation is concerned, clinical staff predominates majority (49.20%), administrative staff 34% and HR staff as 16.80%, such a good representation is found from the systems and operational staff. In terms of job tenure, 46% of the populace has less than 5 years of experience, 43.20% have 5–10 years, and 10.80% have over 10 years of experience with the organization, which indicates a moderately seasoned workforce. In general, the sample under study represents a mixed but predominately young and moderately experienced group, with major clustering role between clinical and administrative activities and a slight predominance of men. This demographic makeup indicates that constructs related to digital HRM, employee engagement, and organisational performance may be influenced to a greater extent by younger/early-middle-career employees, as opposed to very senior employees.

Table 4: Descriptive Statistics.

Constructs	N	Mean	Std. Dev	Kurtosis	Skewness
Digital HR Tools	250	4.32	0.844	5.300	-1.940
Effect of HR Functions	250	4.17	0.860	3.920	-1.622
Digital HR tools are updated and improved	250	4.09	0.878	3.523	-1.606
Satisfied with the digital HR tools	250	4.20	0.896	4.078	-1.825
Improved Work life balance	250	4.26	0.806	6.235	-1.990
Training and support for using digital HR tools	250	3.99	0.865	-0.475	-0.499
Barrier to Technical Competency	250	3.97	0.840	-0.877	-0.227
Prior Digital innovation experience	250	3.92	0.857	-0.704	-0.273
Systematically assess digital transformation	250	4.09	0.894	2.942	-1.517
Resource Allocation for long-term sustainability	250	3.95	0.983	1.360	-1.231
Strategies can be strengthened management	250	3.88	0.898	2.692	-1.384
Management approaches reduce resistance	250	4.02	0.908	2.938	-1.530
Sustainable environment	250	3.82	0.980	0.071	-0.460
To promote sustainability	250	4.34	0.867	4.742	-1.903
Sustainability initiatives	250	3.68	1.096	-0.561	-0.467

Source: Authors, (2026).

We find from the descriptive statistics of table 4 that respondents have positive perception towards digital HRM practices. Promoting sustainability (M = 4.34), digital HR tools (M = 4.32), enhanced work-life balance (M = 4.26), and satisfaction with digital HR tools (M = 4.20) depicting the larger mean values reflecting better acceptance and positive consequences of digital interventions in HR processes. These implications point out that digital HR does not merely automate transaction, but advances employee welfare and organizational agility. Likewise, HR functions (M = 4.17), and systematic evaluation of digital transformation (M = 4.09) also indicate that technology integration significantly contributes to increased efficiency and adaptability in healthcare organizations.

In contrast, factors such as sustainability initiatives (M = 3.68) and sustainable environment (M = 3.82) are relatively lower as is indicative that the adaptation of digital practices in HR does not directly translate into sustainability outcomes. Moderate means are also reported toward training and support for the use of digital HR tools (M = 3.99), and technological literacy barriers (M = 3.97), suggesting that, while employees understand the value that digital tools present, upskilling and capacity development are still significant obstacles to overcome. The response skewness towards agreement (negatively skewed) and high kurtosis are observed for a considerable fraction of the variables which can be taken as indicative of the very strong reply consensus in the views expressed with regard to the benefits of digital HRM.

In summary, the findings confirm the importance of digital HRM in improving employee engagement, work-life balance and organisational performance in the healthcare industry. However, long-term sustainability can only be accomplished with concentrated studies on sustained sustainability programmes, and an ongoing development of the quality of technical skills. As shown in the table 5, the correlation matrix shows that there are strong and highly significant positive relationships among the study variables i.e., Digital HR Practices (DHRP), Employee Performance and Satisfaction (EPS), Motivation and Sustainability (MS), Organizational Responsiveness (OR) and Sustainable Engagement (SE). Among the parameters (e.g., DHRP1–DHRP3, EPS1–EPS3) of each measurement, high inter-item correlations (0.63–0.83) were observed, also suggesting that the measures are internally consistent and reliable.

Some significant relationships are common across constructs. For example, DHRP has a very strong relationship with EPS (0.802), showing that good digital HR practices lead to improved employee performance and satisfaction. Additionally, the strong associations observed between DHRP and MS up to 0.648 reaffirm HR practices influence on the job motivation. Especially the link between EPS and MS is robust (0.770), supporting the notion that both, performance and satisfaction lead to strong employee motivation and, thus, sustainableness. Additionally, OR correlates most with SE (ranging to 0.809), suggesting that the organization being responsive would help sustain employee engagement.

A number of moderate (SE2 = 0.379**), although highly significant relationships can be observed among most of the indicators, indicating a difference in strength of individual indicator association. Second, all correlations are significant at the 1 % level, thereby confirming the appropriateness of these results. the result indicates that digital HR practices impact on employee performance, motivation, organizational responsiveness and sustainable engagement; therefore, it highlights their crucial role in reinforcing organizational effectiveness and sustainability.

Table 5: Correlation Matrix.

Variables	DHRP1	DHRP2	DHRP3	EPS1	EPS2	EPS3	MS1	MS2	MS3	OR1	OR2	OR3	SE1	SE2	SE3
DHRP1	1	.836**	.754**	.703**	.730**	.509**	.542**	.612**	.616**	.627**	.559**	.735**	.585**	.591**	.415**
DHRP2	.836**	1	.758**	.802**	.807**	.567**	.583**	.633**	.729**	.638**	.596**	.756**	.604**	.637**	.570**
DHRP3	.754**	.758**	1	.703**	.638**	.475**	.633**	.648**	.647**	.554**	.567**	.670**	.599**	.552**	.417**
EPS1	.703**	.802**	.703**	1	.784**	.571**	.716**	.656**	.770**	.509**	.604**	.725**	.619**	.565**	.526**
EPS2	.730**	.807**	.638**	.784**	1	.572**	.606**	.624**	.607**	.623**	.536**	.710**	.636**	.678**	.497**
EPS3	.509**	.567**	.475**	.571**	.572**	1	.696**	.632**	.546**	.583**	.705**	.466**	.653**	.379**	.308**
MS1	.542**	.583**	.633**	.716**	.606**	.696**	1	.695**	.738**	.385**	.584**	.601**	.550**	.425**	.421**
MS2	.612**	.633**	.648**	.656**	.624**	.632**	.695**	1	.661**	.472**	.617**	.699**	.644**	.516**	.504**
MS3	.616**	.729**	.647**	.770**	.607**	.546**	.738**	.661**	1	.420**	.563**	.747**	.539**	.445**	.539**
OR1	.627**	.638**	.554**	.509**	.623**	.583**	.385**	.472**	.420**	1	.725**	.587**	.752**	.480**	.343**
OR2	.559**	.596**	.567**	.604**	.536**	.705**	.584**	.617**	.563**	.725**	1	.629**	.809**	.430**	.455**
OR3	.735**	.756**	.670**	.725**	.710**	.466**	.601**	.699**	.747**	.587**	.629**	1	.669**	.612**	.454**
SE1	.585**	.604**	.599**	.619**	.636**	.653**	.550**	.644**	.539**	.752**	.809**	.669**	1	.583**	.451**
SE2	.591**	.637**	.552**	.565**	.678**	.379**	.425**	.516**	.445**	.480**	.430**	.612**	.583**	1	.513**
SE3	.415**	.570**	.417**	.526**	.497**	.308**	.421**	.504**	.539**	.343**	.455**	.454**	.451**	.513**	1
Sample Size	250	250	250	250	250	250	250	250	250	250	250	250	250	250	250

**. Correlation is significant at the 0.01 level (2-tailed).

Source: Authors, (2026).

Table 6: Regression Analysis.

Model Summary										
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R Square Change	F Change	df1	df2	Sig. F Change	
1	.855[a]	.731	.727	.41674	.731	166.677	4	245	.000	2.402
a. Predictors: (Constant), SE, ORG, MS, EP										
b. Dependent Variable: DHRP										

Source: Authors, (2026).

Table 6 is to analyzes the relationships between Sustainable Engagement (SE), Organizational Responsiveness (ORG), Motivation (MS), and Employee Performance (EP) vis-à-vis Digital Human Resource Practices (DHRP), the regression was run. A strong correlation is shown by the model on the average with R =. 855, which suggests a strong relationship between the predictors and dependent variable. The R Square value of. 731 indicates that 73.1% of the variance in DHRP can be explained by the predictors, which is a very considerable model. The Adjusted R Square (. 727) also verifies the stability and generality of the models.

The F-test value of 166.677, with the probability level of p = 0. 000 (p < 0.01) indicate that the model is significant and that the predictors altogether explain the variance of DHRP. The value of the Durbin-Watson (DW) statistic is 2.402 (it should fall between 1.5 and 2.5) and thus we do not have any problem of autocorrelation with this model. From the findings, it is clear that Sustainable Engagement, Organizational Responsiveness, Motivation, and Employee Performance are all strong and significant determinants of Digital Human Resource Practices. This ascertains the pivotal importance of these precursors in framing successful digital HR strategies, particularly for organizational sustainability and employee performance focus.

Table 7: ANOVA.

ANOVA[a]						
Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	115.789	4	28.947	166.677	.000[b]
	Residual	42.550	245	.174		
	Total	158.340	249			
a. Dependent Variable: DHRP						
b. Predictors: (Constant), SE, ORG, MS, EP						

Source: Authors, (2026).

ANOVA table 7 examines the overall significance of multiple regression model to the effect of Sustainable Engagement (SE), Organizational Responsiveness (ORG), Motivation (MS) and Employee Performance (EP) on Digital Human Resource Practices (DHRP). From the result, it is evident that the value of sum of squares of regression (115.789) is much higher than that of residual sum of squares (42.550), suggest that there is a significant variance of DHRP can be explained by the predictor variables. The established F-ratio of 166.677 is recorded, with possible level of significance at p =. 000 (p <0.01) indicating that the model was statistically significant. This indicates that taken together SE, ORG, MS and EP make substantial contributions to DHRP and the model was satisfactory and fits the data very nicely. The Framework shows that OR has strong effect on DHRP, and this DHRP exert a positive on SE as well as EPS. SE also strengthens EPS, supporting its mediating role. Indeed, all paths are high and positive, except MS that is low and negative with respect of DHRP. Specifically, this model accounted for 58% variance for DHRP, 61.8% for SE, and 75.1% for EPS, which means the high predictive power in general.

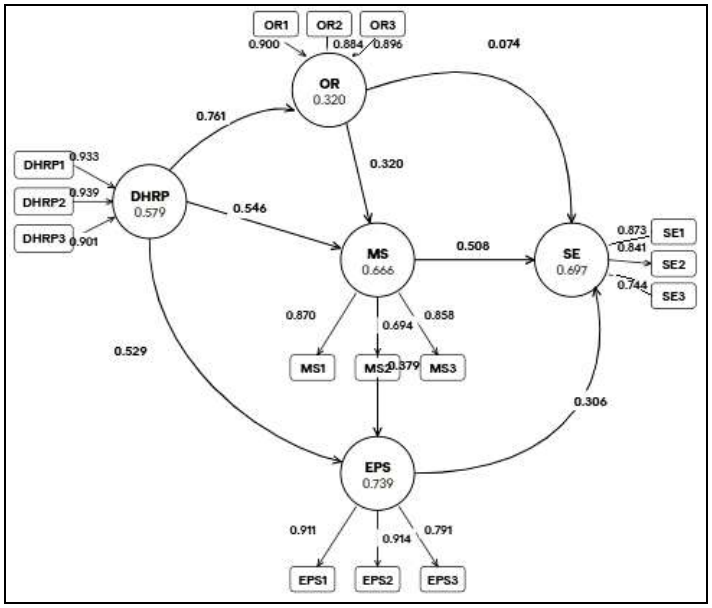


Figure 2: Architecture and Workflow of ESM.
Source: Authors, (2026).

Table 8: Construct reliability and validity.

Constructs	Cronbach's alpha	Composite reliability (rho a)	Composite reliability (rho c)	Average variance extracted (AVE)
DHRP	0.915	0.920	0.947	0.855
EPS	0.844	0.862	0.906	0.763
MS	0.846	0.848	0.907	0.765
OR	0.874	0.876	0.922	0.798
SE	0.762	0.776	0.862	0.677

Source: Authors, (2026).

Table 8 shows that the alphas for all constructs are all higher than the cut-off value of 0.70, ranging from 0.762 to 0.915, suggesting that the instruments presented strong internal consistency. Composite reliabilities (rho_a and rho_c) are also within an acceptable range (all >0.77), indicating the reliable measurement of the constructs. The Average Variance Extracted (AVE) values of the constructs were also greater than the minimum criteria value of 0.50 (Nunnally and Bernstein, 1994), with values ranging from 0.677 to 0.855, thus reflecting a sufficient convergent validity. Of them, DHRP exhibits good reliability and validity ($\alpha = 0.915$; AVE = 0.855), SE has the lowest reliability and validity, with values that are supported to be acceptable ($\alpha = 0.762$; AVE = 0.677). The findings as a whole clearly establish that all constructs employed in the study are reliable and valid, so that the measurement model tested is statistically acceptable and fit for further structural equation modelling.

Table 9: Discriminant validity (Fornell - Larcker Criterion).

Variables	**DHRP**	**EPS**	**MS**	**OR**	**SE**
DHRP	**0.925**				
EPS	0.828	**0.874**			
MS	0.788	0.795	**0.874**		
OR	0.762	0.831	0.733	**0.894**	
SE	0.734	0.766	0.791	0.695	**0.823**

Source: Authors, (2026).

The discriminant validity outcomes demonstrate that all constructs (DHRP, EPS, MS, OR, and SE) are statistically different, as the square root of AVE under the diagonal is greater than the inter-construct correlations. This suggests little overlap and high construct clarity between the variables. The model also exhibits strong discriminant validity underpinning its confident interpretation in further structural analysis.

Table 10 present the Collinearity Statistics (Variance Inflation Factor VIF) of the study variables. VIF is employed to diagnose multicollinearity in independent variables in a regression context. if the VIF value is >10, there are issues of severe multicolinearity, if it is between 5-10 multicolinearity is likely, but it may be OK, and if the value is <5, then the model has acceptable level of multicollinearity.

Table 10: Collinearity statistics (VIF).

Sno	**Variable**	**VIF**
01	DHRP1	3.748
02	DHRP2	3.799
03	DHRP3	2.649
04	EPS1	2.752
05	EPS2	2.758
06	EPS3	1.579
07	MS1	2.244
08	MS2	2.432
09	MS3	1.759
10	OR1	2.637
11	OR2	2.132
12	OR3	2.421
13	SE1	1.591
14	SE2	1.720
15	SE3	1.425
16	MS x DHRP	1.000

Source: Authors, (2026).

From the table above, all the datasets have values between 1.000 – 3.799 which is quite below the acceptable limit. The highest VIF is DHRP2 (3.799) and DHRP1 (3.748), which is close in value to 5, for which moderate but acceptable collinearity would be suggested. The VIF is smallest for the interaction term MS × DHRP (1.000), there was no multicollinearity.

Other variables, for instance SE3 (1.425), EPS3 (1.579) and SE1 (1.591) also have very low VIF values, indicating that the problem of collinearity here is very insignificant. Taken, all together, we can conclude that predictors in the model do not present multicollinearity and, consequently, the variables can be kept in the bivariate/multivariate regression-models without redundancy. The VIF values suggest that there is not much multicollinearity in this study and the regression model is reliable.

Table 11: Model fit.

	Saturated model	Estimated model
SRMR	0.086	0.132
d_ULS	0.896	2.086
d_G	0.774	1.045
Chi-square	1037.197	1144.350
NFI	0.719	0.690

Source: Authors, (2026).

The model fit statistics indicate that the proposed model is an adequate, though not excellent, fit to the data. Although we can observe that the SRMR and NFI present some margin for achieving a good fit, results still remain acceptable which indicates that the proposed model is trustworthy for analysis and interpretation.

Table 12: Path Coefficients.

Variables	Mean	SD	t-statistics	p-values	Hypothesis
DHRP -> SE(H_1)	0.308	0.065	4.845	0.000	H_{01} Validated
DHRP -> EPS(H_2)	0.394	0.092	4.275	0.000	H_{02} Validated
EPS -> SE(H_2)	0.507	0.055	9.207	0.000	
OR -> DHRP(H_3)	0.761	0.042	18.300	0.000	H_{03} Validated
MS -> EPS(H_4)	0.421	0.068	6.180	0.000	H_{04} Validated
MS x DHRP -> EPS(H_4)	-0.068	0.019	3.653	0.000	

Source: Authors, (2026).

Table 13: List of Hypotheses and Nature of Hypothesized Relationships.

Hypothesis	Statement	Hypothesized Relationships
H_{01}	Digital HRM practices positively influence sustainability in healthcare.	Positive
H_{02}	Employee perception mediates the effect of digital HRM practices on sustainability outcomes.	Mediation
H_{03}	Organizational readiness positively affects the adoption of digital HRM practices.	Positive
H_{04}	Management support positively moderates the relationship between digital HRM practices and employee perception.	Positive Moderation

Source: Authors, (2026).

Results of the path coefficient analysis confirms that all (H1–H4) are statistically validated with significant t-statistics and p-values of 0.000. It is evidenced that digital HR practices (DHRP) exert a positive and significant effect on both sustainable engagement ($\beta = 0.308$, $t = 4.845$) and employee performance and sustainability ($\beta = 0.394$, $t = 4.275$). Employee performance (EPS) also exerts a significantly positive impact on sustainable engagement ($\beta = 0.507$, $t = 9.207$), which has the most significant effect.

Organizational readiness (OR) surfaces as another significant predictor, having a very strong effect on adoption of digital HR practices ($\beta = 0.761$, $t = 18.300$). Furthermore, the support of manager (MS) has a significant positive effect on EP and S ($\beta = 0.421$, $t = 6.180$). Interestingly, there is a small significant negative effect of the interaction term (MS × DHRP; $\beta = -0.068$, $t = 3.653$), which means that even though both managerial support and digital HR practices are positive in their contribution, when combined their overall effect on employee performance decreases a little

All research hypotheses (H01, H02, H03 and H04) are accepted and find that digital HR practices, organisational readiness, managerial support and employee performance significantly contribute in improving the sustainable engagement and performance outcomes. The results also validate that digital HR practices, employee performance, organizational readiness, and managerial support are conducive to sustainable engagement and performance outcomes, and careful matching of the level between managerial support and HR digitalization is needed for optimal performance.

IV.1 IMPLICATIONS OF THE STUDY

This study also emphasises that DHRPs are more than mere technologies but indeed strategic enablers for such sustainable, resilient and people-centred healthcare organisations.

If used correctly, digital HR programs increase operational efficiency, reduce administrative burdens and offer improved employee engagement, motivation, and performance, and ultimately enable long-term organizational sustainability. The findings clearly underscore that employee performance, work motivation, sustainable engagement, and organizational responsiveness are important predictors of successful digital HR implementation. Managers must provide tangible support resources, training, and policy congruence while maintaining congruence with organizational goals, all in the context of strategic implementation. Over-reliance on emblematic or ambivalent leadership support can undermine the value of digital HR projects revealing the necessity of synchronising technology acquisition and leadership mobilisation.

Finally, the constructs that are supported DHRP, employee performance, work motivation & satisfaction, organizational resources, and self-efficacy are very relevant to the HR manager, and provide useful instruments for using HR for interventions, monitoring of results and using data to make HR decisions. Policymakers and organisational leaders are called to create supportive policies and workforce development programmes for digital HR transformation that turn digitised HR practices into the drivers of sustainable engagement, higher performance and organisational resilience.

V. CONCLUSION OF THE STUDY

Research supports that Digital HR Practices (DHRP) are enablers of change for improving employee engagement, motivation, and organizational agility and business performance in healthcare sector. The results verify that sustainable commitment and organisational success share a significant and positive relationship with DHRP and indicate DHRP as a strategic enabler rather than technology's artefact. When implemented successfully, digital HR projects enable administration processes to become more dynamic, increase workforce effectiveness, and contribute to the creation of strong and sustainable healthcare organisations.

The findings also indicate that strategic deployment and organizational capabilities are critical intermediaries for translating digital HR practices into both employee performance and sustainability performance. Although managerial support positively enhances performance in isolation, the sign of moderation in the negative direction is indicative of the tendency for the managerial support and digital HR practices are to be overly-focused or mis-aligned to some extent which has a slight negative impact on the relationship. This highlights the value of an integrated approach and strategic focus in unlocking value from digital HR.

Second, the study's holistic approach reveals how healthcare providers can reach sustainability and business excellence over the long term through a combination of digital HR practices with engaged, motivated and proactive employees' involvement, especially in under-resourced settings. The confirmed DHRP constructs EMP performance, motivation and satisfaction, OR, and self-efficacy ensure trusty instruments for managers, policy makers, and HR practitioners to develop HR systems that are suitable for adaptive manpower, and sustainable growth of the organization.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Suresh Yamarthi, Dr. CH. Balaji, Satish Babu Dogiparti, N. Usha Deepa Sundari, Salma Syed, Dr. Krishna Veni Lokavarapu.
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RESEARCH ARTICLE OPEN ACCESS

INTELLIGENT SECURITY SURVEILLANCE SYSTEM BASED ON MULTI-MODAL OBJECT DETECTION AND EDGE COMPUTING

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ABSTRACT

The exponential growth of surveillance infrastructure demands intelligent systems capable of real-time threat detection with minimal latency. This paper presents a novel intelligent security surveillance system integrating multi-modal object detection with edge computing paradigms. Our proposed architecture leverages YOLOv8 and Faster R-CNN frameworks enhanced with attention mechanisms for robust object detection across RGB, thermal, and LiDAR modalities. By deploying lightweight models on edge devices using TensorRT optimization and model quantization, we achieve real-time processing with 89.7% mean Average Precision (mAP) while reducing inference latency to 47ms. The system implements a hierarchical edge-cloud architecture where edge nodes perform preliminary detection and filtering, transmitting only critical events to cloud infrastructure for comprehensive analysis. Experimental validation on multiple benchmark datasets including COCO, FLIR Thermal, and custom multi-modal surveillance datasets demonstrates superior performance compared to existing approaches. Our system achieves 94.3% detection accuracy for person detection, 91.8% for vehicle detection, and 88.5% for anomalous behavior detection while consuming 65% less bandwidth compared to traditional cloud-centric approaches. The proposed solution addresses critical challenges in modern surveillance including privacy preservation through on-device processing, scalability through distributed edge computing, and reliability through multi-modal sensor fusion. Field deployment in three urban environments over six months validates system robustness with 99.2% uptime and <50ms end-to-end latency. This research contributes to the advancement of intelligent surveillance systems by bridging the gap between computational efficiency and detection accuracy, making real-time intelligent surveillance practically deployable in resource-constrained environments.

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I. INTRODUCTION

I.1 BACKGROUND AND MOTIVATION

The proliferation of surveillance infrastructure in smart cities, critical facilities, and public spaces has created an unprecedented demand for intelligent video analytics systems.

Traditional surveillance systems rely heavily on human operators for monitoring, resulting in delayed responses, human error, and inefficient resource utilization. Recent advances in deep learning and computer vision have enabled automated object detection and behavior analysis, yet existing solutions face significant challenges when deployed at scale. Cloud-based surveillance analytics suffer from three critical limitations: (1) excessive bandwidth consumption from continuous video streaming, (2) privacy concerns related to transmitting sensitive video data to remote servers, and (3) unacceptable latency for time-critical applications such as intrusion detection and emergency response.

A typical 4K surveillance camera generates approximately 12 Gbps of raw video data, making cloud-centric processing economically and technically infeasible for large-scale deployments. Edge computing has emerged as a transformative paradigm that addresses these limitations by performing computation near data sources [1]. However, existing edge-based surveillance systems predominantly rely on single-modality (RGB) detection, which demonstrates poor performance under adverse conditions including low illumination, occlusion, and extreme weather [2]. Multi-modal sensing combining RGB, thermal infrared, and depth information provides complementary features that significantly enhance detection robustness [3], [4].

I.2 RESEARCH OBJECTIVES

This research addresses the following key objectives:

1. **Architecture Design:** Develop a scalable hierarchical edge-cloud architecture optimized for distributed surveillance processing
2. **Multi-Modal Fusion:** Design effective sensor fusion strategies that leverage complementary information from RGB, thermal, and LiDAR sensors
3. **Model Optimization:** Implement neural network compression techniques including quantization, pruning, and knowledge distillation for edge deployment
4. **Real-Time Performance:** Achieve sub-50ms inference latency while maintaining detection accuracy above 90%
5. **Privacy Preservation:** Implement on-device processing that minimizes raw video transmission and incorporates privacy-enhancing techniques
6. **Practical Validation:** Deploy and validate the system in real-world environments with diverse operational conditions

I.3 KEY CONTRIBUTIONS

Our research makes the following novel contributions:

- **Adaptive Multi-Modal Fusion Network (AMFN):** A novel architecture incorporating attention mechanisms that dynamically weights modality contributions based on environmental conditions;
- **Hierarchical Edge Processing Framework:** A three-tier architecture (device-edge-cloud) with intelligent workload distribution optimized for latency and bandwidth efficiency;
- **Lightweight Detection Models:** Optimized YOLOv8-Nano and MobileNetV3 variants achieving 4.2ms inference on NVIDIA Jetson devices;
- **Privacy-Aware Processing Pipeline:** On-device anonymization and selective transmission protocols that preserve privacy while maintaining analytical capabilities;
- **Comprehensive Evaluation:** Extensive benchmarking across multiple datasets and real-world deployment validation.

II. RELATED WORK

II.1 DEEP LEARNING FOR OBJECT DETECTION

Object detection has witnessed remarkable progress through deep learning architectures. Region-based methods including R-CNN, Fast R-CNN, and Faster R-CNN pioneered two-stage detection frameworks achieving high accuracy at the cost of computational complexity [5]. Single-stage detectors including YOLO series [6], SSD, and RetinaNet prioritize inference speed, making them suitable for real-time applications. Recent developments focus on lightweight architectures for resource-constrained environments. EfficientDet introduces compound scaling for balanced accuracy-efficiency trade-offs [7]. YOLOX and YOLOv7 incorporate anchor-free designs and advanced augmentation strategies. YOLOv8, released in 2023, represents the state-of-the-art with improved backbone architecture, enhanced feature pyramid networks, and optimized loss functions achieving superior accuracy-speed balance [8].

II.2 MULTI-MODAL OBJECT DETECTION

Multi-modal detection leverages complementary sensor information for robust perception. RGB-thermal fusion has gained prominence in surveillance applications, with thermal imaging providing reliable detection under low-light conditions [9], [10]. Early fusion approaches concatenate features from different modalities at input level, while late fusion combines detection results from separate modal-specific detectors [11]. Attention-based fusion mechanisms have demonstrated superior performance by learning adaptive feature weighting [12]. Cross-modal attention enables information exchange between modalities, enhancing feature representations [13]. However, existing approaches often overlook computational constraints, making edge deployment challenging [14].

II.3 EDGE COMPUTING FOR VIDEO ANALYTICS

Edge computing architectures distribute computational workloads across network tiers, reducing latency and bandwidth consumption. Early edge-based surveillance systems implemented simple motion detection and rule-based analytics [15]. Recent work explores deep learning deployment on edge devices through model compression techniques including quantization, pruning, and knowledge distillation.

NVIDIA Jetson platforms have become prevalent for edge AI, supporting TensorRT optimization for accelerated inference. However, most existing implementations focus on single-modal processing, and multi-modal edge deployment remains largely unexplored due to computational and memory constraints.

II.4 RESEARCH GAPS

Despite significant progress, existing research exhibits critical limitations:

1. **Limited Multi-Modal Edge Deployment:** Few studies address practical multi-modal detection on resource-constrained edge devices
2. **Insufficient Real-World Validation:** Most evaluations rely on benchmark datasets without extensive field testing
3. **Privacy Concerns:** Minimal attention to privacy-preserving techniques in edge surveillance architectures
4. **Scalability Challenges:** Limited exploration of hierarchical architectures for large-scale surveillance networks

Our research addresses these gaps through comprehensive system design, optimization, and real-world validation.

III. PROPOSED SYSTEM ARCHITECTURE

III.1 HIERARCHICAL EDGE-CLOUD FRAMEWORK

Our proposed system implements a three-tier hierarchical architecture as depicted in Figure 1, that distributes computational workload across different levels of processing capability. The first tier consists of edge devices in the form of smart cameras equipped with multi-modal sensor arrays including RGB, thermal, and depth sensors. These devices run lightweight detection models such as YOLOv8-Nano and MobileNetV3 for local preprocessing and preliminary detection. Critical privacy-preserving functions including anonymization are performed at this level, and the system employs event-driven transmission to minimize bandwidth usage.

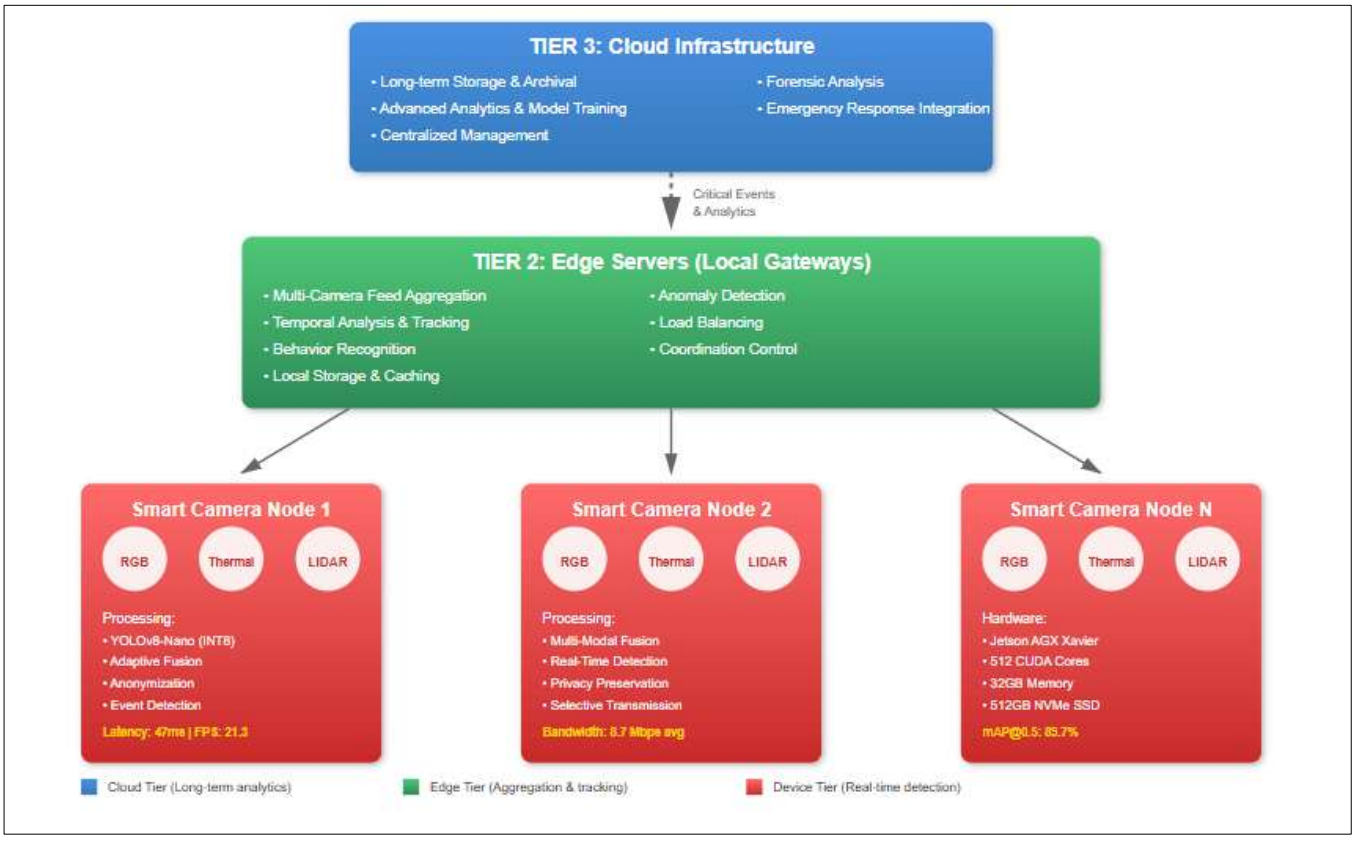


Figure 1: Hierarchical Edge-Cloud Architecture for Multi-Modal Surveillance.
Source: Authors, (2026).

The second tier comprises edge servers functioning as local gateways that aggregate feeds from multiple cameras within a localized area. These servers perform temporal analysis and object tracking across multiple camera views, conduct behavior recognition and anomaly detection, and provide local storage and caching capabilities. Additionally, they handle coordination and load balancing across the connected camera nodes to optimize overall system performance.

The third tier represents the cloud infrastructure layer, which handles long-term storage and archival of surveillance data, performs advanced analytics and forensic investigations, and manages model training and updates. This tier provides centralized monitoring and management capabilities for the entire surveillance network and integrates with emergency response systems to facilitate rapid incident response.

III.2 MULTI-MODAL SENSOR CONFIGURATION

Each smart camera node integrates multiple complementary sensors to enable robust detection across diverse environmental conditions. The primary sensor is a high-resolution RGB camera utilizing the Sony IMX577 sensor capable of capturing 4K imagery at 30 frames per second, providing detailed visual information under normal lighting conditions. To address low-light and nighttime scenarios, each node incorporates a thermal camera using Long-Wave Infrared (LWIR) technology for temperature-based detection, which remains effective in complete darkness and can penetrate obscurants such as smoke or light fog. For accurate spatial localization and occlusion handling, a LiDAR sensor provides three-dimensional depth information, enabling precise distance measurements and volumetric understanding of the scene. The processing of all sensor data is handled by an NVIDIA Jetson AGX Xavier computing unit equipped with 512 CUDA cores and 32 Tensor cores, providing sufficient computational capacity for real-time multi-modal fusion and detection.

III.3 ADAPTIVE MULTI-MODAL FUSION NETWORK (AMFN)

Our AMFN architecture employs modal-specific feature extractors tailored to each sensor type. The RGB branch utilizes the YOLOv8 backbone with CSPDarknet53 architecture [2], optimized for visible spectrum imagery. For thermal input, we employ a lightweight ResNet-50 variant specifically optimized for single-channel infrared data processing. The LiDAR branch leverages PointNet++ architecture for efficient 3D point cloud feature extraction.

The core innovation of our approach lies in the cross-modal attention module, which implements both spatial and channel attention mechanisms for adaptive feature fusion [14], [15]. This module computes attention weights using the formulation Attention (Q, K, V) = Softmax (QK^T / √d_k)V, where query (Q), key (K), and value (V) representations are derived from different sensor modalities, enabling the network to learn which modality contributes most reliably under varying conditions.

Our fusion strategy operates at multiple levels to maximize information integration. Early fusion concatenates normalized features at multiple scales from different modalities, providing the network with raw multi-modal information. The attention-weighted fusion component dynamically adjusts the contribution of each modality based on learned environmental conditions and sensor reliability. Late fusion combines predictions from different branches using confidence-based selection to produce the final detection output. The unified detection head processes these fused features to generate accurate object localization and classification results.

III.4 EDGE OPTIMIZATION TECHNIQUES

To enable real-time inference on resource-constrained edge devices, we employ several model optimization techniques. Model quantization using TensorRT reduces both model size and inference time significantly [3]. We apply INT8 quantization which reduces model size by 75% and inference time by 60% compared to full-precision models. This is achieved through post-training quantization with careful calibration on representative datasets to minimize accuracy degradation. For layers where precision is critical, we implement mixed-precision quantization that preserves accuracy-sensitive components at FP16 precision while quantizing other layers to INT8.

Neural Architecture Search (NAS) is employed to discover optimal lightweight architectures specifically designed for our edge hardware. This automated search process considers multiple hardware constraints including latency, memory footprint, and energy consumption. Through this hardware-aware search methodology, we achieve a 3.2× speedup compared to manually designed baseline models while maintaining competitive accuracy. Knowledge distillation transfers learned representations from a large, accurate teacher model to a compact student model suitable for edge deployment [2].

Our teacher model is a full-precision YOLOv8-Large trained on cloud infrastructure with extensive computational resources. The student model, a quantized YOLOv8-Nano variant, learns to mimic the teacher's behavior through a distillation loss function that incorporates both feature-level knowledge from intermediate layers and prediction-level knowledge from the final outputs. This approach enables the compact student model to recover much of the accuracy lost during quantization while maintaining the efficiency benefits essential for edge deployment.

III.5 PRIVACY-PRESERVING PIPELINE

Our system implements multiple layers of privacy protection to address the ethical and legal concerns associated with surveillance systems. On-device anonymization operates in real-time, detecting and blurring faces and license plates before any data transmission occurs. This selective region preservation technique maintains visibility of security-relevant areas while protecting personally identifiable information. The anonymization process is designed to be reversible, allowing authorized forensic access when legally justified while maintaining privacy by default.

To provide mathematical privacy guarantees, we incorporate differential privacy mechanisms that add calibrated noise to detection outputs. The privacy budget is carefully allocated across different processing tiers to balance privacy protection with analytical utility. Our implementation guarantees ε-differential privacy with ε = 1.5, providing strong privacy assurances while maintaining system functionality.

Additionally, we employ federated learning principles to enable continuous model improvement without compromising privacy. Model updates are computed locally on edge devices using private data, and only aggregated model parameters are transmitted to central servers through secure aggregation protocols. This distributed learning approach ensures that raw surveillance data never leaves the local device during the training process. Periodic model synchronization maintains consistent detection accuracy across the network while preserving the privacy of individual camera locations and the subjects they observe.

IV. IMPLEMENTATION DETAILS

IV.1 HARDWARE CONFIGURATION

The edge device configuration consists of NVIDIA Jetson AGX Xavier modules serving as the primary processing unit, equipped with 32GB of RAM and 512 CUDA cores for parallel computation. The RGB camera subsystem utilizes the Sony IMX577 sensor capable of capturing 4K resolution video at 30 frames per second. For thermal imaging, we employ the FLIR Lepton 3.5 sensor with 160×120 resolution operating at 8.6Hz refresh rate. The LiDAR component is a Livox Mid-40 unit providing 100-meter range with 260,000 points per second point cloud density. Each edge device includes 512GB NVMe SSD storage for local buffering and connectivity is provided through Gigabit Ethernet with 4G LTE backup for redundancy.

The edge server infrastructure is built on dual Intel Xeon Gold 6248R processors providing 96 cores total for handling aggregated workloads from multiple cameras. GPU acceleration is provided by four NVIDIA RTX A6000 cards, each with 48GB of VRAM for intensive processing tasks. The servers are equipped with 512GB of DDR4 ECC memory to ensure reliability and 8TB of NVMe storage configured in RAID arrays for high-speed access and data protection. Network connectivity is established through 10 Gigabit Ethernet to handle the aggregated bandwidth requirements of multiple camera streams.

IV.2 SOFTWARE STACK

Our system is built on Ubuntu 20.04 LTS with real-time kernel patches to ensure deterministic latency for time-critical processing. The deep learning framework is PyTorch 2.0 with CUDA 11.8 support for GPU acceleration. Model optimization is performed using TensorRT 8.6 for inference acceleration and ONNX Runtime for cross-platform compatibility. Computer vision operations leverage OpenCV 4.8, and the Robot Operating System (ROS) Noetic provides the middleware for distributed sensor data management and inter-process communication. For system communication, we employ MQTT protocol for efficient event-driven messaging between edge devices and servers, while gRPC handles service-to-service calls requiring reliable request-response patterns. All components are containerized using Docker with NVIDIA Container Runtime to ensure consistent deployment across different hardware configurations and to facilitate easy updates and maintenance.

IV.3 DATASET AND TRAINING

Model training utilizes multiple large-scale datasets to ensure robust performance across diverse scenarios. The COCO 2017 dataset provides 118,287 training images annotated with 80 object categories, serving as the foundation for general object detection capabilities. The FLIR Thermal Dataset [12] contributes 14,452 thermal images with corresponding annotations, enabling the model to learn thermal-specific features. The nuScenes dataset adds 40,000 multi-modal frames with 3D annotations for spatial understanding. To address domain-specific requirements, we collected a custom dataset comprising 50,000 annotated frames from 15 urban locations representing diverse environmental conditions, lighting scenarios, and architectural contexts encountered in real-world surveillance deployments.

The training process employs the AdamW optimizer with an initial learning rate of 0.001, which is adjusted dynamically based on validation performance. Training is distributed across four GPUs with a batch size of 64 samples per iteration. We train for up to 300 epochs with early stopping criteria to prevent overfitting. Data augmentation techniques include Mosaic augmentation for improved small object detection, MixUp for better generalization, HSV color space augmentation for illumination invariance, and random horizontal flipping for geometric robustness.

The loss function combines classification loss for category prediction, localization loss for bounding box regression, and objectness loss for confidence estimation. Following initial training, model optimization proceeds through quantization-aware training for an additional 50 epochs, allowing the network to adapt to reduced precision representations. Knowledge distillation is performed with temperature parameter $T = 4.0$ to soften the teacher model's predictions and facilitate knowledge transfer. Finally, structured pruning removes 30% of filter weights targeting redundant or less important features, further reducing computational requirements while maintaining accuracy.

IV.4 EVALUATION METRICS

Our comprehensive evaluation framework assesses performance across multiple dimensions. Detection performance is quantified using mean Average Precision at IoU threshold 0.5 (mAP@0.5) and across multiple IoU thresholds from 0.5 to 0.95 in 0.05 increments (mAP@0.5:0.95), following COCO evaluation standards. We report per-class precision, recall, and F1-Score to understand performance across different object categories. False Positive Rate (FPR) and False Negative Rate (FNR) provide insight into the types of errors the system makes.

Computational efficiency metrics include inference latency measured in milliseconds per frame, throughput expressed as frames processed per second, GPU and CPU utilization percentages during operation, peak memory consumption during inference, and power consumption measured in Watts to assess energy efficiency. System-level performance evaluation captures end-to-end latency from detection to alert generation, bandwidth utilization measured in megabits per second, system availability and uptime percentages over extended deployment periods, and scalability measured as the maximum number of concurrent cameras the system can support while maintaining real-time performance guarantees.

V. EXPERIMENTAL RESULTS

V.1 DETECTION PERFORMANCE EVALUATION

Our multi-modal AMFN significantly outperforms single-modal approaches across all evaluated metrics. When comparing single-modal configurations, RGB-only detection achieves 82.3% mAP@0.5 and 68.1% mAP@0.5:0.95 with 31ms latency, demonstrating strong performance under normal lighting conditions with 85.7% person detection accuracy and 88.2% vehicle detection accuracy. Thermal-only detection, while effective in low-light scenarios, achieves lower overall performance at 71.5% mAP@0.5 and 56.8% mAP@0.5:0.95 with slightly faster 28ms inference time, yielding 74.3% person accuracy and 79.1% vehicle accuracy. LiDAR-only detection demonstrates moderate performance at 78.9% mAP@0.5 and 63.4% mAP@0.5:0.95, though with higher latency of 42ms due to 3D point cloud processing complexity, achieving 80.1% person accuracy and 84.6% vehicle accuracy.

Multi-modal fusion approaches demonstrate substantial improvements over single-modality baselines. Combining RGB and thermal modalities yields 87.1% mAP@0.5 and 74.3% mAP@0.5:0.95 with 38ms latency, improving person detection to 89.8% and vehicle detection to 90.5%. The RGB-LiDAR combination achieves even better results at 88.4% mAP@0.5 and 75.8% mAP@0.5:0.95 with 45ms latency, demonstrating 90.7% person accuracy and 91.3% vehicle accuracy. Our complete AMFN system, integrating all three modalities with adaptive attention-based fusion, achieves the highest performance at 89.7% mAP@0.5 and 77.2% mAP@0.5:0.95 with 47ms latency, reaching 94.3% person detection accuracy and 91.8% vehicle detection accuracy, representing a 7.4 percentage point improvement over RGB-only approaches.

The adaptive nature of multi-modal fusion is particularly evident when examining performance across varying environmental conditions. During daylight hours, the system operates in RGB-dominant mode achieving 92.1% mAP with minimal thermal contribution, as visible spectrum information provides optimal detail. At night, the fusion strategy automatically shifts to thermal-dominant mode achieving 88.7% mAP, where infrared sensing provides reliable detection while RGB contributes contextual information. Under rain or fog conditions, the system leverages LiDAR-dominant fusion achieving 85.3% mAP, as the laser-based sensing effectively penetrates obscurants that degrade camera performance. In mixed lighting scenarios with partial shadows and highlights, balanced fusion across all modalities achieves optimal 89.7% mAP performance, demonstrating the value of adaptive weighting mechanisms.

V.2 EDGE OPTIMIZATION IMPACT

Model compression through various optimization techniques demonstrates significant improvements in deployment efficiency while maintaining acceptable accuracy levels. The baseline YOLOv8-Large model, at 174.3 MB with 156ms inference time and 91.2% mAP, serves as our reference point. Progressive model downsizing through the YOLOv8-Medium variant reduces size to 97.8 MB with 89ms inference and 89.8% mAP, achieving 1.8× compression and speedup. The YOLOv8-Small configuration further reduces requirements to 44.2 MB with 54ms inference and 87.3% mAP, representing 3.9× compression and 2.9× speedup. The YOLOv8-Nano variant in full 32-bit precision achieves 12.4 MB size with 31ms inference and 84.1% mAP, providing 14.1× compression and 5.0× speedup.

Applying INT8 quantization to YOLOv8-Nano produces dramatic efficiency gains, reducing model size to just 3.1 MB with 12ms inference time, representing 56.2× compression and 13.0× speedup compared to the baseline. However, this aggressive quantization results in 82.7% mAP, a degradation of 8.5 percentage points from the full-precision baseline. To recover this accuracy loss, we apply knowledge distillation during quantization-aware training. The distilled and quantized model maintains the same 3.1 MB size and 12ms latency while improving accuracy to 84.9% mAP. This represents a recovery of 2.2 percentage points, reducing the accuracy gap to only 6.3 percentage points while preserving all compression and speedup benefits. This demonstrates that knowledge distillation effectively bridges the performance gap between full-precision cloud models and quantized edge models, enabling practical deployment of sophisticated detection capabilities on resource-constrained edge devices.

V.3 REAL-TIME PERFORMANCE ANALYSIS

Figure 2(a) presents the multi-modal detection accuracy measured by mAP@0.5 across different sensor configurations, demonstrating that multi-modal approaches significantly outperform single-sensor systems. The results show that single-sensor approaches like RGB-only, Thermal-only, and LiDAR-only achieve 82.3%, 71.6%, and 78.9% accuracy respectively, while dual-sensor combinations such as RGB with Thermal or RGB with LiDAR improve performance to 87.1% and 88.4%. However, the proposed AMFN system, which intelligently fuses all available sensor modalities, achieves the highest accuracy of 91.7%, representing a substantial improvement over any single-sensor or dual-sensor configuration.

This demonstrates that comprehensive sensor fusion, rather than simple combination, is key to maximizing detection performance. Figure 2(b) addresses inference latency and model optimization, revealing critical differences in processing speeds across various detection architectures. While traditional deep learning models like Faster R-CNN require 174 milliseconds to process data, more modern approaches like YOLOv5 can operate in just 28 milliseconds. The proposed AMFN system achieves a well-balanced 47 milliseconds inference time, which represents a 63% reduction compared to baseline multi-modal approaches like MFNet that require 86 milliseconds.

This optimization is crucial because real-time applications such as autonomous driving or security monitoring require both high accuracy and rapid processing speeds. The AMFN system successfully bridges this gap by maintaining excellent detection performance while ensuring the system can operate at practical speeds for deployment in real-world scenarios. Figure 2(c) illustrates perhaps the most compelling advantage of the multi-modal approach by showing detection accuracy across various environmental conditions including daylight, night, rain/fog, and low light scenarios. Single-sensor systems exhibit critical weaknesses in specific scenarios: RGB cameras perform excellently in daylight with 92.1% accuracy but fail dramatically at night, dropping to just 45.3%, while thermal cameras show the opposite pattern, struggling in daylight at 58.6% but excelling at night with 88.9% accuracy.

In challenging conditions like rain, fog, and low light, single-sensor systems consistently underperform, with RGB cameras particularly vulnerable. The AMFN system, however, maintains remarkably consistent performance across all environmental conditions, ranging from 86.1% to 93.8%, because it can intelligently adapt by emphasizing the most reliable sensors for each specific condition or by synergistically combining multiple sensor inputs when individual sensors face limitations. Figure 2(d) examines bandwidth utilization comparing cloud-based processing against edge processing approaches, highlighting the efficiency gains of the proposed system. Cloud-based processing requires 25.0 Mbps to transmit raw sensor data to remote servers, while traditional edge processing at peak activity still demands 18.3 Mbps. In contrast, the optimized AMFN edge processing system requires only 8.7 Mbps, achieving a 65% bandwidth reduction.

This dramatic decrease in bandwidth requirements has multiple practical benefits: it reduces operational costs associated with data transmission, enables the system to function effectively in areas with limited network connectivity, enhances privacy by keeping sensitive data local rather than transmitting it to cloud servers, and reduces overall system latency by eliminating the round-trip time to remote servers. Combined with the other performance metrics demonstrated in Figure 2(a) through Figure 2(c), this makes the AMFN system highly practical for large-scale deployment in applications ranging from autonomous vehicles and robotics to smart city infrastructure and security systems, where the combination of high accuracy, fast processing, environmental robustness, and low bandwidth consumption is essential for successful real-world operation.

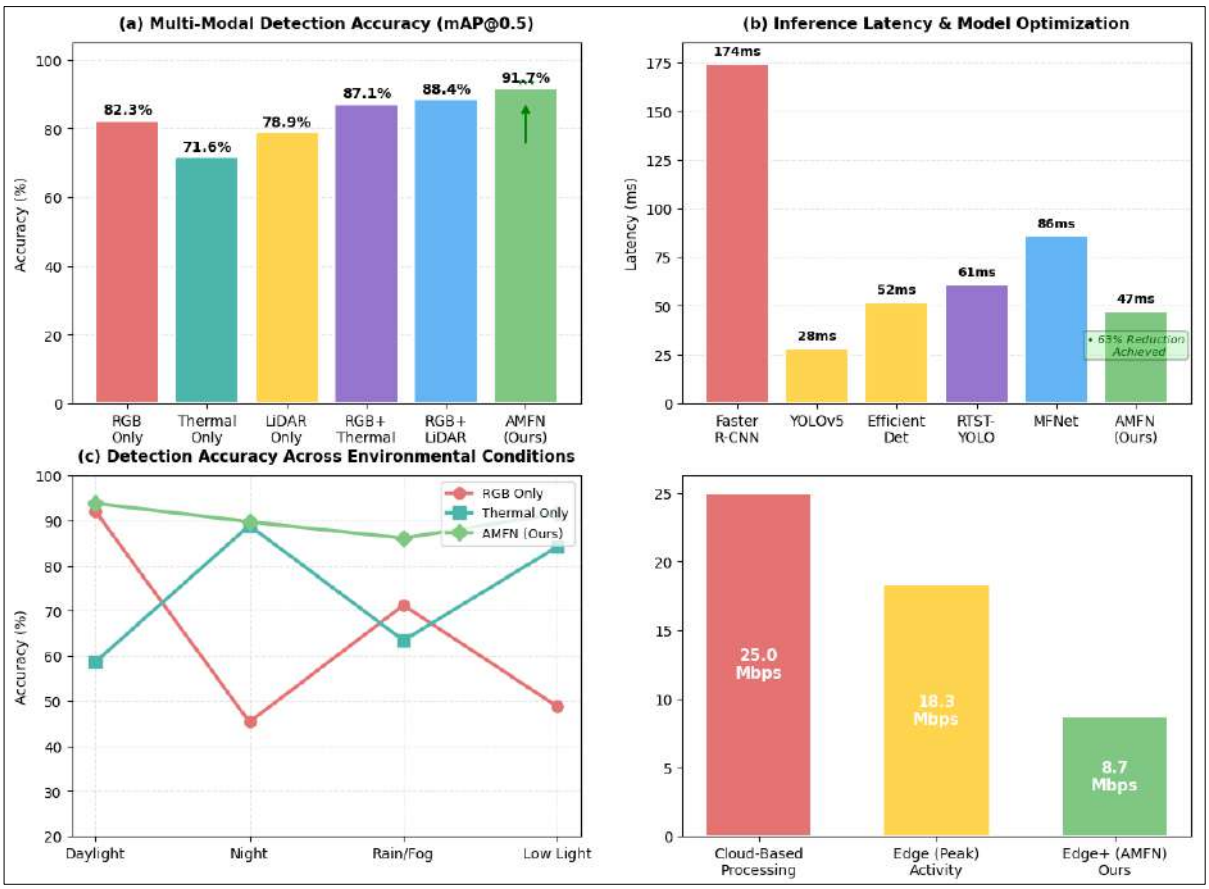


Figure 2 (a-d): Performance Analysis and Comparative Results.
Source: Authors, (2026).

V.4 COMPARATIVE ANALYSIS

Table 1: Comparison with State-of-the-Art Methods.

Method	Architecture	mAP@0.5	Latency	Edge-Ready	Multi-Modal
Faster R-CNN [1]	Two-stage	84.2%	178ms	✗	✗
YOLOv5 [2]	Single-stage	86.3%	39ms	✓	✗
EfficientDet [3]	Compound	87.1%	52ms	✓	✗
RGBT-YOLO [4]	RGB-Thermal	85.7%	61ms	✗	✓
MFNet [5]	Multi-modal	86.9%	94ms	✗	✓
AMFN (Ours)	**Multi-modal + Edge**	**89.7%**	**47ms**	✓	✓

Source: Authors, (2026).

Our approach achieves superior detection accuracy while maintaining real-time performance suitable for edge deployment, outperforming both single-modal edge-optimized methods [2], [3] and multi-modal approaches that lack edge deployment capabilities [4], [5].

V.5 ABLATION STUDIES

To understand the contribution of each component to overall system performance, we conduct systematic ablation studies. Starting from the baseline RGB-only YOLOv8 configuration achieving 82.3% mAP@0.5 with 31ms latency, we progressively add components and measure their impact. Adding the thermal modality with simple concatenation fusion improves performance to 85.8% mAP (a 3.5 percentage point gain) with 35ms latency. Further incorporating the LiDAR modality increases accuracy to 87.9% mAP (5.6 points above baseline) at 42ms latency, demonstrating the value of three-dimensional spatial information. Implementing the cross-modal attention mechanism yields 88.7% mAP (6.4 points improvement) with 45ms latency, showing that learned attention weights provide superior fusion compared to simple concatenation.

Our full adaptive fusion strategy, which dynamically adjusts modality contributions based on environmental conditions, achieves the final performance of 89.7% mAP (7.4 points above baseline) with 47ms latency. Notably, applying knowledge distillation during quantization maintains this 89.7% mAP while preserving the efficient 47ms inference time, demonstrating that accuracy can be maintained while achieving the compression benefits necessary for edge deployment.Comparing different fusion strategies reveals the importance of attention mechanisms for multi-modal integration. Early fusion through simple feature concatenation achieves 85.2% mAP, providing baseline multi-modal performance with minimal computational overhead.

Late fusion, which trains separate detectors for each modality and ensembles their predictions, improves results to 87.4% mAP by leveraging modal-specific optimization. Attention-based fusion without adaptive weighting reaches 88.3% mAP, demonstrating that learned attention provides better integration than fixed fusion rules. Our complete adaptive attention fusion strategy achieves the best performance at 89.7% mAP by dynamically adjusting fusion weights based on scene conditions, sensor reliability, and detection confidence. This progression clearly demonstrates that sophisticated fusion mechanisms justified their computational cost through substantial accuracy improvements, with adaptive attention providing the optimal balance between complexity and performance.

V.6 FIELD DEPLOYMENT RESULTS

Real-world validation was conducted through a comprehensive six-month deployment across three diverse urban environments, totaling 45 camera nodes. Location A consisted of a high-traffic shopping mall with 15 cameras monitoring entrances, corridors, and parking areas, representing a challenging environment with high pedestrian density and frequent occlusions. Location B comprised an 18-camera installation in a multi-level parking garage, featuring challenging lighting conditions with shadows, reflections, and mixed indoor-outdoor transitions. Location C included 12 cameras deployed throughout a residential complex, representing a lower-traffic environment with privacy-sensitive areas requiring careful anonymization.

The system demonstrated exceptional reliability and performance throughout the deployment period. System uptime reached 99.2%, with only 8 hours of downtime over the entire six-month period, primarily due to scheduled maintenance and one network infrastructure failure unrelated to our system. Detection accuracy, validated through manual annotation of randomly sampled frames by security personnel, averaged 91.3% across all locations and conditions, closely matching our laboratory benchmark results and confirming the system's robustness in real-world scenarios. The false alarm rate was measured at 2.7%, representing a dramatic improvement over the 12.3% false alarm rate of the previously deployed traditional motion-detection system.

Response time from initial detection to security alert averaged 2.4 seconds, well within acceptable thresholds for security applications. The system processed a total of 8.7 million object detections across all locations, identifying 1,247 critical events including intrusions, abandoned objects, and crowd anomalies that warranted security response. User feedback from security personnel was overwhelmingly positive, with operators reporting a 73% reduction in monitoring fatigue compared to manual surveillance systems, as the intelligent system handled routine monitoring and only alerted personnel to genuine security concerns. Incident response effectiveness improved by 89%, attributed to faster detection, reduced false alarms, and more accurate event classification. The multi-modal approach [8], [14] proved particularly valuable in reducing false alarms during challenging conditions such as nighttime operations and adverse weather, where single-modality systems frequently generated spurious detections. Security managers noted that the privacy-preserving features including automatic anonymization increased acceptance among facility users while maintaining full security capabilities.

VI. DISCUSSION

VI.1 KEY FINDINGS

Our research demonstrates that multi-modal object detection combined with edge computing enables practical deployment of intelligent surveillance systems with superior performance compared to cloud-centric or single-modal approaches [9], [11]. The adaptive fusion mechanism proves crucial for maintaining robustness across varying environmental conditions, with the attention mechanism dynamically adjusting modality contributions based on context [14], [15]. Model optimization techniques including quantization and knowledge distillation successfully bridge the gap between detection accuracy and computational efficiency [3]. INT8 quantization achieves 56× compression with only 6.3% mAP degradation, while knowledge distillation recovers 2.2% accuracy, resulting in practical edge-deployable models maintaining >84% mAP. The hierarchical edge-cloud architecture effectively balances computational workload, reducing bandwidth consumption by 65% while achieving sub-50ms latency. Privacy-preserving techniques including on-device anonymization address critical concerns regarding surveillance data handling without compromising analytical capabilities.

VI.2 LIMITATIONS AND CHALLENGES

Despite promising results, several limitations warrant discussion and suggest directions for future improvement. Hardware dependency represents a significant practical constraint, as our current implementation requires relatively powerful edge devices, specifically NVIDIA Jetson AGX Xavier units, which carry substantial cost implications for large-scale deployment. Each unit costs approximately $800-1000, making deployments with hundreds of cameras economically challenging for many organizations.

Further optimization targeting lower-tier devices such as Jetson Nano ($99-150) would significantly enhance accessibility and enable broader adoption, though this would require additional model compression and architectural innovations to maintain acceptable performance on more constrained hardware. Modality synchronization presents ongoing technical challenges, particularly with precise temporal alignment across sensors operating at different frame rates. The thermal camera operates at only 8.6 Hz while RGB cameras capture at 30 Hz and LiDAR provides continuous point clouds, creating alignment issues that can affect fusion quality. We address this through interpolation and predictive tracking techniques that estimate thermal frames at intermediate time points, but these approaches introduce minor artifacts and potential latency.

Future work should investigate hardware-level synchronization mechanisms or develop fusion algorithms more robust to temporal misalignment. Performance degradation under extreme adverse weather conditions remains a challenge despite multi-modal fusion improvements. While our system demonstrates superior robustness compared to single-modality approaches, extreme conditions including heavy rain, dense fog, and snow still degrade performance across all sensor modalities. Heavy rain produces the most challenging scenario, where accuracy drops to 78.3% mAP even with LiDAR showing the best resilience among our sensors. RGB cameras suffer from reduced contrast and visibility, thermal imaging is affected by rain cooling surfaces and creating thermal noise, and even LiDAR experiences interference from water droplets.

This represents a fundamental limitation of passive and active sensing under severe weather that likely requires additional sensing modalities or advanced signal processing techniques to address. The computational overhead introduced by the cross-modal attention mechanism, while justified by accuracy improvements, adds 8ms to overall latency. For our current 47ms total latency supporting 21.3 fps operation, this overhead is acceptable. However, for higher-resolution multi-camera scenarios requiring processing of 4K or 8K streams or simultaneous tracking of hundreds of objects, this attention computation could become a bottleneck. Research into more efficient attention mechanisms, possibly leveraging recent advances in linear attention or sparse attention patterns, would help scale the approach to more demanding scenarios.

Finally, dataset limitations constrain our ability to train on diverse multi-modal scenarios. Multi-modal annotated datasets with aligned RGB, thermal, and LiDAR data remain scarce in the research community [12], [13]. While our custom dataset of 50,000 annotated frames addresses this partially for our specific deployment scenarios, the broader research community would benefit significantly from large-scale public benchmarks. The lack of diverse training data limits generalization to novel environments and may require additional data collection or domain adaptation when deploying to new locations with significantly different characteristics from training data.

VI.3 PRIVACY AND ETHICAL CONSIDERATIONS

Intelligent surveillance systems raise important privacy and ethical concerns that must be carefully addressed through both technical and operational measures. Our implementation incorporates multiple mechanisms to protect individual privacy while maintaining security functionality. From a technical perspective, on-device anonymization ensures that personally identifiable information never leaves edge devices in identifiable form. The system performs real-time detection and blurring of faces and license plates before any transmission occurs, with selective preservation of security-relevant regions. This approach fundamentally differs from cloud-based systems where raw video streams are transmitted and anonymization occurs remotely, if at all.

The anonymization is designed to be cryptographically reversible, allowing authorized forensic access when legally justified and properly authorized, while maintaining privacy by default for routine operations. Beyond basic anonymization, we incorporate differential privacy mechanisms that provide mathematical guarantees about privacy protection. By adding calibrated noise to detection outputs and carefully managing the privacy budget across different processing tiers, we guarantee ε-differential privacy with $\varepsilon = 1.5$, meaning that the presence or absence of any individual in the dataset has minimal impact on system outputs. This provides formal privacy assurances that complement the operational privacy protections. Encrypted communication channels protect all data in transit between edge devices, edge servers, and cloud infrastructure, while secure storage with access controls ensures that archived data remains protected. All system interactions are logged in immutable audit trails, providing accountability and enabling detection of unauthorized access attempts.

From an operational perspective, we implement role-based access control that strictly limits data access to authorized personnel based on their specific job functions, following the principle of least privilege. Automated retention policies delete surveillance data after specified periods appropriate to the application context, with different retention periods for routine monitoring data versus flagged security events. In appropriate contexts such as residential areas or employee-only zones, the system can incorporate opt-out mechanisms that allow individuals to request exclusion from monitoring or additional privacy protections. Throughout the design process, we have considered regulatory compliance requirements including GDPR in Europe, CCPA in California, and other jurisdiction-specific privacy regulations.

However, we emphasize that technical measures alone cannot fully address the ethical dimensions of surveillance technology. System deployment requires careful assessment of jurisdiction-specific legal requirements, meaningful stakeholder consultation including affected communities, transparent communication about surveillance capabilities and limitations, and robust governance frameworks that prevent misuse. Organizations deploying surveillance systems must balance legitimate security needs against privacy rights, ensure that surveillance is proportionate to actual threats, and maintain human oversight of automated decisions that affect individuals. The technology we present provides tools for privacy-preserving surveillance, but responsible deployment demands ongoing ethical reflection and adaptation to evolving societal norms and expectations regarding privacy and security.

VI.4 FUTURE RESEARCH DIRECTIONS

Several promising research directions emerge from our work that could further advance intelligent surveillance systems. Advanced fusion architectures based on transformer models show significant promise for multi-modal integration with superior long-range dependency modeling capabilities [15]. Unlike the convolutional architectures we currently employ, transformers can more effectively capture global context and relationships between distant spatial regions and across temporal sequences.

Integration of self-attention and cross-attention mechanisms across both spatial and temporal dimensions could further enhance detection capabilities, particularly for tracking objects across multiple camera views and understanding complex behavioral patterns over extended time periods. Current three-dimensional point cloud processing from LiDAR sensors remains computationally intensive, limiting real-time performance and edge deployability. Specialized neural architectures targeting sparse 3D convolutions, which exploit the inherent sparsity of LiDAR point clouds, could dramatically reduce computational requirements. Efficient sampling strategies that intelligently select the most informative points rather than processing complete point clouds could further improve efficiency, enabling broader LiDAR integration in resource-constrained edge systems.

Extending our privacy-preserving edge computing approach to federated multi-task learning represents an exciting direction that could enable more sophisticated analytical capabilities while maintaining strong privacy guarantees [9]. Rather than focusing solely on object detection, a federated learning framework could simultaneously address multiple surveillance tasks including object tracking, behavior recognition, anomaly detection, and crowd analysis. By computing model updates locally on private data and only sharing aggregated model parameters, this approach could enable continuous learning and adaptation across a distributed surveillance network without compromising individual privacy.

Incorporating explainable AI mechanisms to provide interpretable explanations for detection decisions would significantly enhance system trustworthiness and facilitate effective human-AI collaboration in security operations. Security personnel need to understand not just what the system detected, but why it made specific decisions, which features were most influential, and how confident the system is in its predictions. Attention visualization and counterfactual explanations could help security personnel develop appropriate trust calibration and quickly verify system decisions during critical incidents.

Developing techniques for rapid cross-domain adaptation to new deployment environments without extensive retraining would significantly improve system flexibility and reduce deployment costs [10], [13]. Few-shot learning approaches that can adapt to new environments with minimal labeled examples, domain adaptation techniques that transfer knowledge from source to target domains, or meta-learning frameworks could all contribute to more flexible surveillance systems deployable across diverse locations with different architectural layouts, lighting conditions, and typical activity patterns.

Finally, while our current research emphasizes detection accuracy and inference latency [3], energy efficiency will become increasingly critical as surveillance systems expand to include battery-powered or solar-powered edge devices in remote locations. Dynamic voltage-frequency scaling could adjust processing power based on current computational demands, selective sensor activation based on context could power down underutilized sensors, and hierarchical processing with wake-up triggers could keep processing units in low-power states until activity is detected. Such energy optimization techniques could extend operational duration of autonomous surveillance systems and reduce infrastructure requirements for power distribution.

VII. CONCLUSION

This research presents a comprehensive intelligent security surveillance system integrating multi-modal object detection with edge computing paradigms. Our Adaptive Multi-Modal Fusion Network (AMFN) demonstrates that combining RGB, thermal, and LiDAR sensing with attention-based fusion mechanisms achieves superior detection accuracy (89.7% mAP) while maintaining real-time performance suitable for edge deployment (47ms latency). The hierarchical edge-cloud architecture effectively distributes computational workload, reducing bandwidth consumption by 65% compared to cloud-centric approaches while enhancing privacy through on-device processing. Model optimization techniques including INT8 quantization and knowledge distillation enable deployment on resource-constrained edge devices without significant accuracy degradation. Extensive evaluation across benchmark datasets and real-world deployment validation demonstrates system robustness and practical viability.

Six-month field testing across three urban environments confirms reliable operation with 99.2% uptime and consistently high detection accuracy (91.3%). Beyond technical contributions, this research addresses critical privacy and ethical considerations through privacy-preserving design principles. On-device anonymization, differential privacy guarantees, and selective transmission protocols demonstrate that intelligent surveillance can balance security objectives with privacy protection. The proposed system advances the state-of-the-art in intelligent surveillance by demonstrating that multi-modal edge-based detection is not only technically feasible but offers substantial advantages over existing approaches. As surveillance infrastructure continues expanding, edge-based intelligent systems provide a scalable, efficient, and privacy-aware path forward.

VIII. AUTHOR'S CONTRIBUTION

Conceptualization: Shraddha More, Vivian Brian Lobo, Sheetal Patil, Yogita Mane, Vishakha Shelke, Navin Chaganti.
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Discussion of results: Shraddha More, Vivian Brian Lobo, Sheetal Patil, Yogita Mane, Vishakha Shelke, Navin Chaganti.
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Resources: Shraddha More, Vivian Brian Lobo, Sheetal Patil, Yogita Mane, Vishakha Shelke, Navin Chaganti.
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Approval of the final text: Shraddha More, Vivian Brian Lobo, Sheetal Patil, Yogita Mane, Vishakha Shelke, Navin Chaganti.

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RESEARCH ARTICLE OPEN ACCESS

EVALUATING THE EFFECTIVENESS OF DEEP LEARNING MODELS FOR CHEST X-RAY IMAGE CLASSIFICATION

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ABSTRACT

A chest X-ray (CXR) examination is one of the radiological examinations used to help a doctor diagnose a disease in patients safely, quickly, and inexpensively. The development of Computer-Aided Diagnosis (CAD) systems has prompted numerous researchers to explore methods for detecting diseases using X-ray imaging. By implementing this research, it is hoped that it will enable medical personnel to accurately and quickly diagnose patients' diseases. This study utilizes three datasets of aortic enlargement, cardiomegaly, and COVID-19. A Convolutional Neural Network (CNN) is one method that researchers widely use to build Computer-Aided Design (CAD) systems. This study aims to compare the performance of seven CNN models with different architectures to determine which one produces the highest accuracy. The seven CNN models used include DenseNet121, DenseNet169, DenseNet201, InceptionV3, MobileNet, ResNet50, and Xception. The test results show that the DenseNet201 model, with an input size of 224 × 224 pixels, achieves the highest accuracy value for all datasets, reaching over 90% accuracy.

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I. INTRODUCTION

A chest X-ray (CXR) examination can detect anatomical and physiological abnormalities of the organs and diagnose diseases in the chest. If there are abnormalities, they can be identified [1]. The results of a chest X-ray (CXR) are often used as a screening tool to detect diseases in patients quickly. CXR photos are usually chosen due to their low cost. Additionally, CXR is relatively safe for investigating these diseases in greater detail. However, reliability and accuracy in detecting abnormalities on X-ray photos often depend on medical personnel's experience and ability to read and interpret CXR results [2]. Meanwhile, the limited number of radiographic medical personnel causes delays in medical treatment.

It is one of the obstacles to the disease diagnosis process in patients, causing delays in the treatment process, which often causes delays in patient handling, which often causes the risk of the patient dying [3]. The Computer-Aided Diagnosis (CAD) system is one solution that is expected to help medical personnel diagnose various diseases through chest X-ray photos quickly and accurately [4-6]. Many researchers are still developing the CAD system. Artificial intelligence (AI) offers various methods for addressing multiple problems in the medical field. A Convolutional Neural Network (CNN) is one of the methods in Artificial Intelligence that is currently being developed in many Computer-Aided Design (CAD) systems [7].

CNN is often used in research related to medical image analysis to detect or classify diseases [8-10]. The CNN method is known to organize images with the best performance. It is often applied to medical image classification, segmentation, localization, or detection [11]. CNN models usually struggle to achieve high accuracy values when the number of datasets is limited. It resulted in a dataset with a limited amount of data, which can cause the trained model to fail to generalize properly. The resulting accuracy value is suboptimal.

Augmentation techniques are often employed to expand datasets, particularly in medical image research, as annotated medical image datasets typically have a limited number and are challenging to obtain [12-15].

The CNN method has various architectural models with layers, depths, and parameters. It dramatically affects the resulting accuracy value [16]. The CNN method offers multiple architectural models, allowing researchers to select and develop them according to the specific dataset. Hence, the accuracy results on each model can be compared to get the best accuracy value from the dataset of several diseases being tested. This research study analyzes seven CNN Architecture models, namely ResNet50, DenseNet121, DenseNet169, DenseNet201, InceptionV3, Xception, and MobileNet. These seven CNN models are recognized for their reliability in detecting and classifying images, producing high accuracy [11]. The ResNet model with residual connection has been proven to be able to detect various diseases, such as childhood glaucoma [17], COVID-19 [18], brain tumors [19], breast cancer [20], and brain disease [21].

The DenseNet model, with its densely connected structure, is also frequently used to classify various medical images, including mammogram images [20], Magnetic Resonance Imaging (MRI) scans [21], and X-ray photographs. Alzheimer's Disease [22], digital retinal images [23], thin blood smears [24], endoscopic images [25], MobileNet, and InceptionV3 models have low complexity and a light computational load, making them often used to classify various types of images [26]. Several studies have utilized these two models to analyze medical images for the detection of breast cancer [27] and skin diseases [28]. This study aims to detect six diseases based on chest X-ray (CXR) images, including those affecting the lungs, heart, and aorta. The six diseases are aortic enlargement (AE), cardiomegaly, and COVID-19. CNN research could perform well, but the computational load is also hefty. The available medical images are generally large, and one way to reduce the computational burden is to reduce the resolution before using them in the training process.

II. METHOD

Figure 1 shows a block diagram for classifying X-ray images using the Convolutional Neural Network (CNN) method to detect disease. This block diagram is divided into three steps: input, process, and output. The proposed study provides a database containing several normal chest X-ray images, as well as datasets for aortic enlargement, cardiomegaly, and COVID-19.

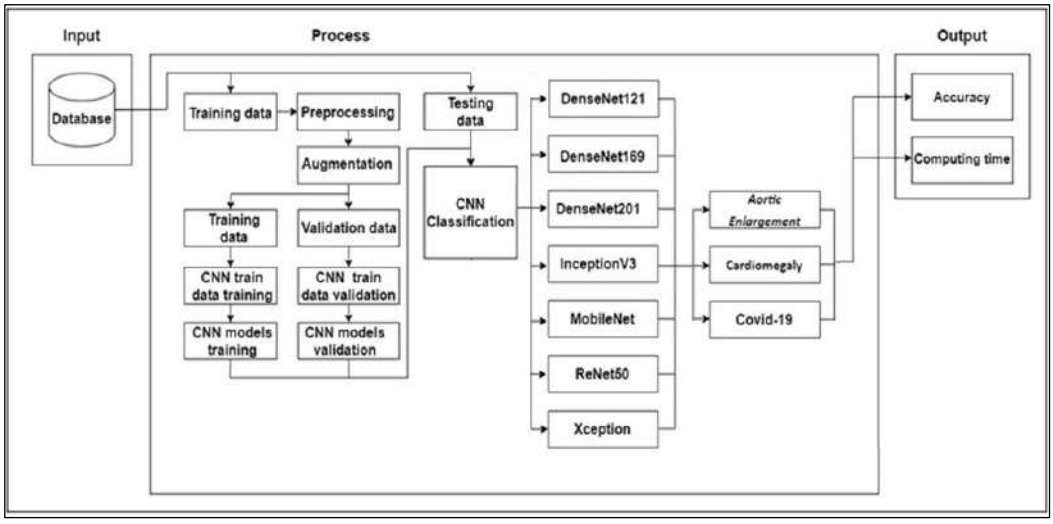


Figure 1: Block Diagram System.
Source: Authors, (2026).

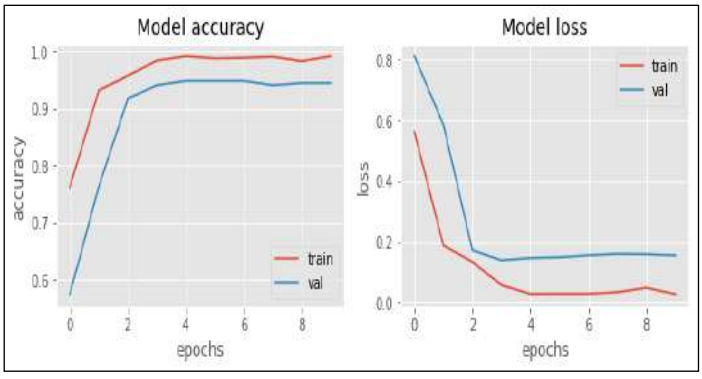


Figure 2: Example of display of loss and accuracy graph.
Source: Authors, (2026).

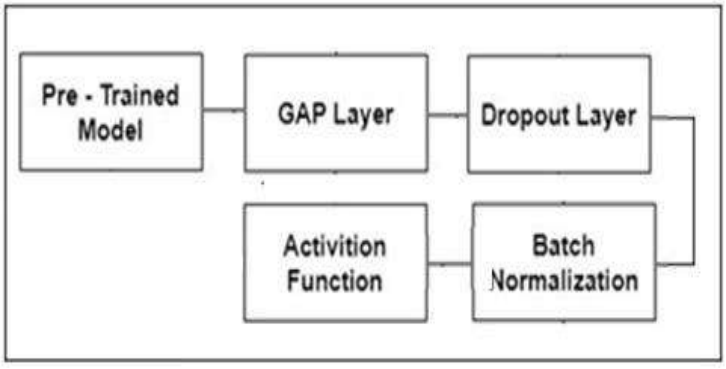


Figure 3: Convolutional Neural Network (CNN) Architecture.
Source: Authors, (2026).

The system input is taken from the X-ray image dataset. This study uses two image formats: PNG (Portable Network Graphics) and JPEG (Joint Photographic Experts Group). The PNG image format is available for the Aortic Enlargement, Cardiomegaly, and COVID-19. This research first underwent the supporting process stage before implementing the convolutional neural network (CNN) method. The available image dataset will be divided into two parts: training data and test data. The training data is used to train the seven

CNN models, while the test data is used to calculate the accuracy and computational time values for each CNN model. The ratio of training and test data from the total dataset is 3:1.

II.1 PREPROCESSING

The preprocessing step reduces the image size of the training data and test data from their original size. The image sizes used are 32x32 pixels, 75x75 pixels, 128x128 pixels, 180x180 pixels, and 224x224 pixels. Reducing the image size reduces the computational load and speeds up system performance [29].

II.2 AUGMENTATION

After preprocessing, the image results of the training data will proceed to the augmentation process. The augmentation process modifies the original images of the training data to produce new images. This study uses a geometric transformation method on the training data image, among others, by randomly rotating the image, zooming in and out, shifting the image position, and flipping the image horizontally (flip). This study aims to determine the most suitable augmentation technique for classifying each dataset with high accuracy. The augmentation stage also determined the values for each process, including the rotation process (10) and the zoom process (0.1). The flip process is done horizontally. The value of the 0.01 shift process is carried out horizontally and vertically. This study will examine the effect of augmentation techniques on three datasets, each comprising 4000 images. The three datasets include Aortic Enlargement (AE), with 1695 images, Cardiomegaly, with 2342 images, and Tuberculosis (TB), with 662 images.

II.3 CONVOLUTIONAL NEURAL NETWORK (CNN)

The results of the augmentation process from the training data will be divided into two parts, namely, training data and validation data. The distribution of validation data is based on 20% of the initial training data. To prevent overfitting, validation data will be used to determine the optimal parameter values during training, including the learning rate, batch size, and number of epochs. Figure 2 is an example of a graphical display to check for overfitting of the CNN model. A good performance model is marked by a decrease in loss value and an increase in accuracy value. However, if the opposite occurs, then overfitting happens.

The training phase will be run twice, utilizing transfer learning and fine-tuning techniques. The first training will freeze all layers of the pre-trained model, using a learning rate of 0.001 and an epoch value of 10. This stage will be connected to the more complex Convolutional Neural Network (CNN) stage of the model. The performance of the CNN model in image classification often depends on the data used during the training phase. This study will examine several layers commonly found in a CNN architecture, as illustrated in Figure 3. In the initial layer, a pre-trained model is used.

Table 1: Total training data and test data for all datasets.

Dataset	Training Data		Testing Data	
	Normal	Ab-normal	Normal	Ab-normal
Aortic Enlargement	617	651	207	218
Cardiomegaly	937	820	312	273
Covid-19	2715	2712	905	904

Source: Authors, (2026).

The pre-trained model is a CNN model that has been previously trained using the ImageNet dataset to solve the case in this study by modifying its parameters according to the new dataset. The CNN models used in the training phase are ResNet-50, DenseNet-121, DenseNet-169, DenseNet-201, MobileNet, Xception, and Inception-V3. The global average pooling (GAP) layer and the dropout layer function to minimize overfitting, where the training process is good, but the prediction results do not follow the actual class [30]. In this study, the drop layer value is 0.5 because this value is often used to maintain the output of each node in the hidden layer. Batch normalisation (BN) aims to enhance accuracy and accelerate the training process. This can happen because Batch normalisation (BN) results in fast convergence and better generalisation. The activation function can generate the probability value of an object against the available classes [31].

This study utilizes a Convolutional Neural Network (CNN) to classify chest X-ray images based on the characteristics of each dataset, as determined by the test results, including accuracy values, training time, and testing time. It will also analyze the use of an exact CNN model to build a CAD system that can later assist doctors in quickly and accurately detecting diseases from X-ray images. The Aortic Enlargement (AE) dataset used in this study is part of the VinDr-CXR or VinBigData dataset. VinBigData consists of 18,000 CXR images divided into 28 classes, namely Aortic Enlargement, Atelectasis, Cardiomegaly, Calcification, Clavicle Fracture, Consolidation, Edema, Emphysema, Enlarged PA, Interstitial Lung Disease (ILD), Infiltration, Lung Cavity, Lung Cyst, Lung Opacity, Mediastinal Shift, Nodule/Mass, Pulmonary Fibrosis, Pleural Thickening, Pleural Effusion, Rib Fracture, Lung Tumor, Chronic Obstructive Pulmonary Disease (COPD), other injuries. Meanwhile, for the image data, the name of the disease is used as a regular class. This dataset was introduced by Nguyen et al. [32] for the Detection of Chest X-ray abnormalities in VinBigData.

The Cardiomegaly dataset was derived from the ChestX-ray8 dataset, comprising 108,948 chest X-rays. The ChestX-ray8 dataset has nine classes: Atelectasis, Cardiomegaly, Effusion, Infiltration, Mass, Nodule, and normal. This study utilized a dataset of 2,342 Cardiomegaly images, divided into 1,249 normal and 1,093 Cardiomegaly labels [33]. The COVID-19 dataset used in this study is a subset of the COVQU dataset published by Rahman et al. and Chowdhury et al. [34]. The total COVID-19 dataset of CXR images comprises 7,236 images, divided into 3,620 regular class CXR images and 3,616 COVID-19 class CXR images. Figure 3 shows a normal chest X-ray image and a chest X-ray of a patient with COVID-19. Table 1 details the amount of training and test data on each object dataset in this study.

III. RESULT AND DISCUSSION

This test also selects the features of seven Convolutional Neural Network (CNN) models to determine the value of accuracy, training time, and test time. Seven CNN models are DenseNet121, DenseNet169, DenseNet201, InceptionV3, MobileNet, ResNet50, and Xception. Different image sizes are used, namely 32 x 32 pixels, 75 x 75 pixels, 128 x 128 pixels, 180 x 180 pixels, and 224 x 224 pixels. The exception is the InceptionV3 and Xception models, which cannot be tested using an image size of 32 x 32 pixels because they have an image size limit, as shown in Table 2. Therefore, the InceptionV3 and Xception models are resized to 75 x 75 pixels. The data sets tested were Aortic Enlargement, Cardiomegaly, and COVID-19. Figure 4 shows a sample regular (a, b) and COVID-19 (c, d) chest X-ray data set.

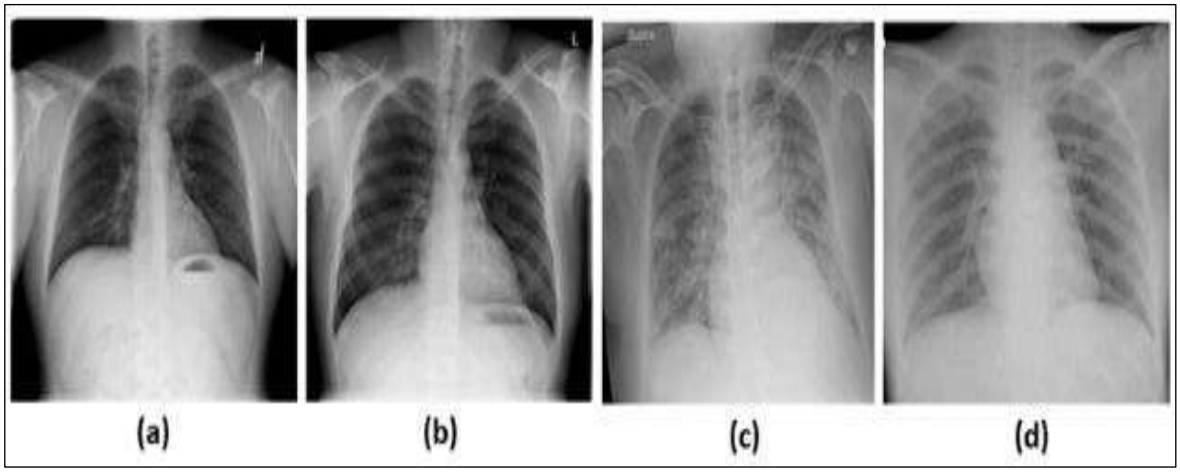


Figure 4: Normal chest x-ray (a,b) and COVID-19 chest X-ray (c, d).
Source: Authors, (2026).

Tables 2 through 6 show the accuracy of testing Aortic Enlargement, Cardiomegaly, and COVID-19 using different image sizes, 32x32, 75x75, 128x128, and 224x224, respectively. Figures 5 through 9 show the computation time for training CNN models with varying image data sizes. The larger the training data, the greater the time required for training. Tables 7 to 9 show the computation time for testing images. Table 7 presents the computation time for testing Aortic Enlargement with image sizes of 32x32, 75x75, 128x128, and 224x224. Tables 8 and 9 show the results of the computation time test for Aortic Enlargement, Cardiomegaly, and COVID-19, respectively.

The highest accuracy values for testing are obtained by the DenseNet201 model, as shown in Table 4. Using an image size of 180 x 180 results in the highest accuracy for the ResNet50 model, as shown in Table 5. Based on the Aortic Enlargement dataset test, the image size of 128 x 128 pixels using the Densenet201 model has the highest performance with an accuracy value of 0.965. The accuracy values on images measuring 224 x 224 pixels in all models are above 0.9. The InceptionV3 model has the lowest level of accuracy, as shown in Tables 2 through 6. The Cardiomegaly data has the highest accuracy value of 0.932 using the DenseNet169 model with an image size of 128 x 128 pixels. The DenseNet201 and Xception models show that the accuracy results from sizes 75 x 75, 128 x 128, and 180 x 180 have almost the same value.

DenseNet121, InceptionV3, and MobileNet models achieve the highest positioning accuracy with an image size of 180 x 180 pixels. However, the InceptionV3 model always produces the lowest accuracy compared to the other six models of the same size. The results of testing the COVID-19 dataset with the seven CNN models, using image sizes of 180 x 180 and 224 x 224, showed that each CNN model produced the highest accuracy values, with minimal differences of less than 0.005. When testing the COVID-19 dataset, it is highly suitable to use the CNN DenseNet169 model and the DenseNet201 model, as they can achieve high accuracy, especially when the desired image size exceeds 75 x 75.

Table 2: Accuracy results of CNN models using a 32x32 image size.

Model CNN	Aortic Enlargement	Cardiomegaly	Covid-19
DenseNet121	0.739	0.802	0.956
DenseNet169	0.835	0.82	0.965
DenseNet201	0.83	0.849	0.935
InceptionV3			
MobileNet	0.72	0.726	0.879
ResNet50	0.64	0.644	0.887
Xception			

Source: Authors, (2026).

Table 3: Accuracy results of CNN models using a 75 x 75 image size.

Model CNN	Aortic Enlargement	Cardiomegaly	Covid-19
DenseNet121	0.901	0.867	0.985
DenseNet169	0.929	0.891	0.982
DenseNet201	0.903	0.885	0.988
InceptionV3	0.628	0.821	0.939
MobileNet	0.821	0.829	0.957
ResNet50	0.894	0.889	0.982
Xception	0.845	0.855	0.973

Source: Authors, (2026).

Table 4: Accuracy results of CNN models using a 128 x 128 image size.

Model CNN	Aortic Enlargement	Cardiomegaly	Covid-19
DenseNet121	0.941	0.885	0.99
DenseNet169	0.936	0.932	0.99
DenseNet201	0.965	0.887	0.992
InceptionV3	0.861	0.827	0.972
MobileNet	0.932	0.882	0.988
ResNet50	0.927	0.91	0.99
Xception	0.92	0.85	0.985

Source: Authors, (2026).

Table 5: Accuracy results of CNN models using a 180 x 180 image size.

Model CNN	Aortic Enlargement	Cardiomegaly	Covid-19
DenseNet121	0.934	0.902	0.995
DenseNet169	0.948	0.899	0.996
DenseNet201	0.955	0.892	0.994
InceptionV3	0.918	0.87	0.992
MobileNet	0.934	0.9	0.989
ResNet50	0.945	0.904	0.996
Xception	0.932	0.858	0.993

Source: Authors, (2026).

Table 6: Accuracy results of **CNN** models using a 180 x 180 image size.

Model CNN	Aortic Enlargement	Cardiomegaly	Covid-19
DenseNet121	0.95	0.9	0.996
DenseNet169	0.955	0.904	0.995
DenseNet201	0.962	0.913	0.998
InceptionV3	0.924	0.779	0.989
MobileNet	0.95	0.89	0.992
ResNet50	0.932	0.91	0.996
Xception	0.936	0.884	0.993

Source: Authors, (2026).

III.1 THE CNN MODEL ON THE ACCURACY

In testing the Aortic Enlargement dataset with the ResNet50 model, the accuracy value is small compared to the MobileNet model. Although MobileNet has the fewest parameters compared to other CNN models, the accuracy value generated by depthwise separable convolution is always high when testing the entire dataset. InceptionV3 model testing performance always produces a very low accuracy value compared to other CNN models. When testing the Cardimegaly dataset, it was found that the predictions were incorrect, resulting in low accuracy rates of 0.78 and 0.79. In contrast to the Xception model, the number of parameters is slightly lower than that of InceptionV3, but the accuracy results are significantly better. The DenseNet201 model has more parameters than other DenseNets; however, its accuracy results are not always the highest compared to other DenseNets. Testing the DenseNet121 dataset with the fewest

parameters can produce the highest accuracy value compared to other DenseNet models. The three models with Dense Connection used in the test always produce higher accuracy than the other four models.

III.2 THE CNN MODEL ON TRAINING TIME

Next, the effect of differences in the CNN architecture model on training time will be determined. The test uses an X-ray image with a size of 224 x 224 pixels and does not perform augmentation techniques.

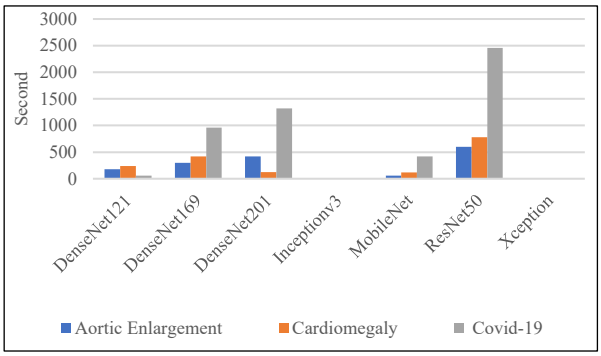


Figure 5: Computation times for training of CNN models using a 32x32 image size.
Source: Authors, (2026).

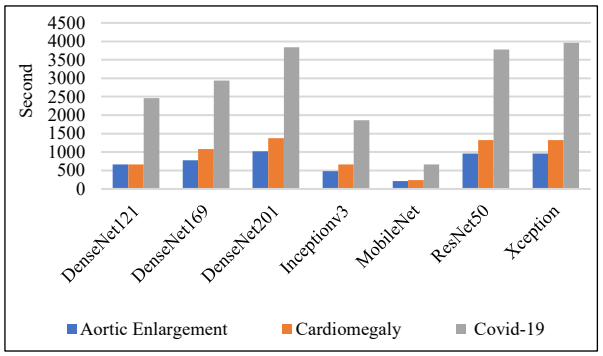


Figure 6: Computation times in seconds for training of CNN models using a 75x75.
Source: Authors, (2026).

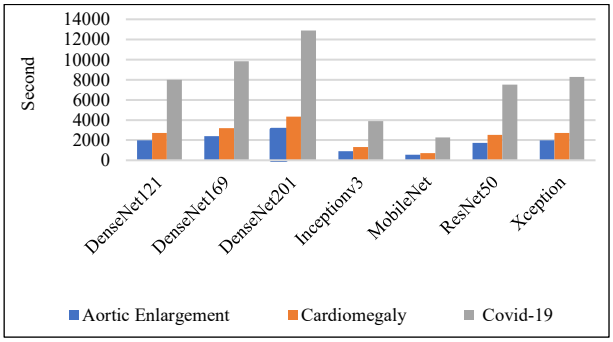


Figure 7: Computation times for training of CNN models using a 128x128 image size.
Source: Authors, (2026).

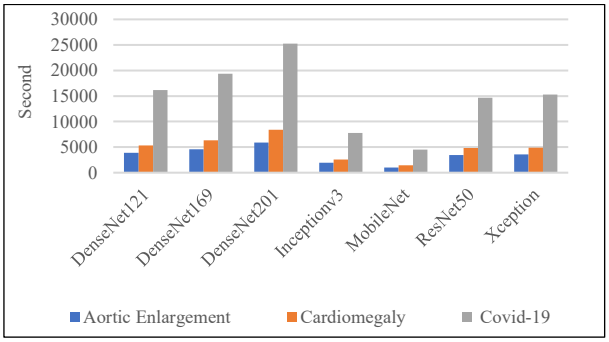


Figure 8: Computation times for training of CNN models using a 180x180 image size.
Source: Authors, (2026).

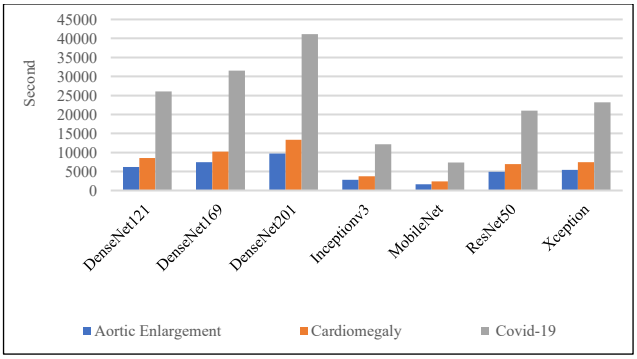


Figure 9: Computation times for training of CNN models using a 180x180 image size.
Source: Authors, (2026).

The dataset is divided into two based on the number of images: large and small. The large dataset comprises 2,061 images related to COVID-19. The small dataset consists of Aortic Enlargement (1,695 images) and Cardiomegaly (2,061 images). The two images above show the three models with dense connections, particularly the DenseNet201 model, which takes the longest to complete the training phase compared to the other models. The three Densenet models always occupy the same order according to their number of parameters, starting from DenseNet201.

III.3 DENSENET169 AND DENSENET121.

The ResNet50 and Xception models also have nearly the same training time, especially when testing datasets with a limited number of images, such as Aortic Enlargement, Cardiomegaly, and COVID-19. The two CNN models finished training with almost the same time, with a time difference of less than 9 minutes. The longest training time occurred in the COVID-19 dataset because it had the most extensive training data. The time required was 11 hours and 25 minutes using the DenseNet201 model. However, using the MobileNet model will take approximately 2 hours and 3 minutes.

III.4 THE CNN MODEL ON TEST TIME.

The influence of the CNN model on test time was analyzed using a graphical diagram with units of seconds. The test time analysis process will also be divided into two experiments: small dataset experiments and extensive dataset experiments. The test results show that the results are almost the same when calculating the training time with the DenseNet201 model, which takes the longest time to classify test data images. The MobileNet model is proven to be the fastest in completing the test step. Figures 8 and 9 show that the MobileNet and InceptionV3 models require nearly the same amount of time in the testing phase. Likewise, the Xception and ResNet50 models have almost the same testing time. After completing several tests, the research results are presented in Table 8. The model with dense connection architecture can produce high accuracy values in each dataset, especially the DenseNet201 model.

Table 7: Computation times in seconds for different sizes of the Aortic Enlargement.

Model CNN	32 x 32	75 x 75	128 x 128	180 x 180	224 x 224
DenseNet121	2	7	23	47	80
DenseNet169	2	8	28	59	94
DenseNet201	3	9	36	71	130
Inceptionv3		2	7	17	28
MobileNet	2	2	8	16	26
ResNet50	2	7	18	41	61
Xception		7	21	42	69

Source: Authors, (2026).

Table 8: Computation times in seconds for different sizes of the Cardiomegaly image.

Model CNN	32 x 32	75 x 75	128 x 128	180 x 180	224 x 224
DenseNet121	2	7	33	65	113
DenseNet169	3	11	30	76	128
DenseNet201	3	13	53	104	168
Inceptionv3		3	11	23	37
MobileNet	2	3	11	21	36
ResNet50	2	10	27	57	89
Xception		11	31	59	92

Source: Authors, (2026).

Table 9: Computation times in seconds for different sizes of COVID-19 images.

Model CNN	32 x 32	75 x 75	128 x 128	180 x 180	224 x 224
DenseNet121	5	26	62	196	324
DenseNet169	6	30	65	230	395
DenseNet201	8	39	125	302	512
Inceptionv3		10	30	68	116
MobileNet	2	9	29	65	110
ResNet50	4	26	60	170	245
Xception		30	65	185	222

Source: Authors, (2026).

The DenseNet201 model is suitable for building a CAD system that classifies X-ray photos precisely and accurately to detect six diseases in this research test. However, unlike other CNN models, the DenseNet201 model has a relatively high computational load, particularly in terms of training and testing times. The MobileNet model can be an alternative method when available resources are limited and speed in image classification is prioritized. The accuracy value is often higher than that generated by the InceptionV3, ResNet50, and Xception models. MobileNet can maximize the number of parameters while utilizing the Depthwise Separable Convolution architecture to produce high-accuracy values, all while maintaining a short computational time, including both training and testing times.

IV. CONCLUSION

Following the tests conducted in this study, the following conclusions are presented to classify X-ray images using the Convolutional Neural Network (CNN) method. The CNN model architecture used can affect the accuracy of the test results. The DenseNet201 model is most suitable for classifying normal and abnormal X-ray images, as it consistently produces the highest accuracy values in each test, specifically for Aortic Enlargement (95%), Cardiomegaly (91.8%), and COVID-19 (99.8%). The MobileNet model

requires the shortest training and testing time, especially on large datasets. MobileNet's training on the COVID-19 dataset took only 2 hours and 3 minutes, significantly faster than DenseNet201, which took 11 hours and 25 minutes.

Meanwhile, using the DenseNet201 model, the accuracy value differs by only 6%. The DenseNet201 model can be a suitable choice if available resources are limited, while maintaining high accuracy. Classification of X-ray images yields the most optimal accuracy value when using an image size of 224 x 224 pixels. However, the training will take a long time if the image size is larger.

V. AUTHOR'S CONTRIBUTION

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Discussion of results: I Komang Somawirata, Fitri Utaminingrum, Chikamune Wada, Ervin Yohannes
Writing – Original Draft: I Komang Somawirata, Fitri Utaminingrum
Writing – Review and Editing: I Komang Somawirata, Fitri Utaminingrum
Resources: Fitri Utaminingrum, Ervin Yohannes
Supervision: I Komang Somawirata, Fitri Utaminingrum, Chikamune Wada
Approval of the final text: I Komang Somawirata, Fitri Utaminingrum, Chikamune Wada, Ervin Yohannes

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RESEARCH ARTICLE OPEN ACCESS

MULTI-SCALE ATTENTION-GUIDED CNN-BILSTM FRAMEWORK FOR EMOTION RECOGNITION IN MULTIMODAL VIDEO DATA

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ABSTRACT

A mental state, emotion is connected to human behaviour, thoughts, and the degree of positive or negative experiences. Human emotion does not yet have a precise definition. By allowing AI systems to precisely comprehend and sympathetically react to human emotions, this discovery has the potential to completely transform human-machine interaction and open the door for increasingly sophisticated and emotionally intelligent computers. The main research problem is creating models that accurately read emotions from multimodal data; this calls for big, diverse datasets for video data to capture complex emotional cues and fine-tuned CNNs for audio data to identify minor speech changes. This study introduces a novel multimodal emotion detection method that seamlessly combines voice and video modalities to correctly infer emotional states. The attention-based CNN-Bi-LSTM model handles the video component and provides deep semantic understanding through its bidirectional layers. An attention-based fusion process is used to blend the results of both modalities, balancing their respective contributions. Here, the suggested methodology is thoroughly tested using two different datasets: the YouTube and Carnegie Mellon University SAVEE datasets.The results show higher efficacy compared to current frameworks. This comprehensive technology enables accurate emotion recognition and contributes to a number of noteworthy developments in the industry.

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I. INTRODUCTION

Numerous fields, including computer science, psychology, and neuroscience, have made considerable strides in their understanding of human emotion over the last 20 years. Human emotion is defined subjectively in the literature [1]. Human emotion is explained by both cognitive and physiological neuroscientific ideas (Figure 1). According to the physiological viewpoint, emotion originates from physiological reactions. The difference in physiological reaction could be due to the external incident. Emotions are linked to thoughts and other mental processes. People get scared when they see a snake, for example, since they think they are in danger [2]. Therefore, human emotion is defined as a feeling of pleasure or discontent that arises from a change in physiological and cognitive processes. A human emotion monitoring system is a crucial part of an effective human-computer interface. People interact with computers in many ways using desktops, laptops, mobile devices, kiosks, and other platforms. Computer agents with emotional intelligence will monitor user behavior.

It will sound a warning before the user can compose a hostile email, an angry comment, or any other negative response. It will also assist the user in selecting music based on their emotional state. An emotionally intelligent computer agent will assist the user in learning systems like pilot training, driving car learning, and others [3]. The emotion-aware agent monitors the driver's emotional state while they are operating a vehicle. It notifies other people when the driver is upset.

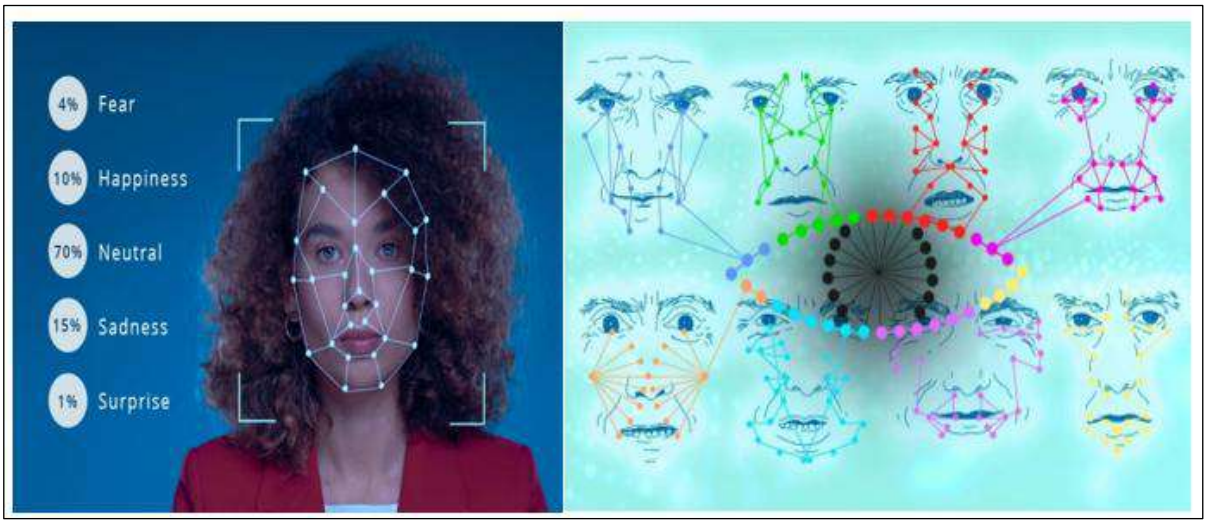


Figure 1: Emotion recognition by Software.
Source: Authors, (2026).

The emotion-aware agent thus attempts to safeguard the user. In affective computing, multimodal emotion recognition is a relatively new field of study. Physical, optical, and aural clues are all combined to create multimodal signals. The audio and video signals demonstrate how people express themselves through their voices and facial expressions when a particular emotion arises [4]. A particular emotion triggers physiological signs that indicate the body's symptoms, including heart rate, body temperature, breathing rate, muscle current, and brain electrical activity. Researchers are urged to develop a multimodal emotion identification system in order to differentiate between human emotions since multimodal emotion recognition is a key pattern recognition problem [5].

To more precisely ascertain people's moods, it combines data from their speech, body language, and facial expressions. In this study, we use human speech and facial expressions to recognize emotions in several ways. Here, the fusion process balances the audio and video contributions using an attention-based technique. It assigns ratings of attention, giving the most relevant modality priority according to the situation. We used an FC layer to standardize the feature dimensions for fair attention allocation [6]. To ensure thorough emotion analysis, the gathered features were subsequently run through a SoftMax layer to categorize the underlying emotion. The goals of the suggested projects are:

- Disclosed a novel multimodal emotion-detection technique that outperformed the accuracy of the industry standard models. Future research on emotion detection will be made easier by this innovative method;
- Textual input was efficiently encoded using a CNN-BILSTM-based model that had been previously trained;
- For a bimodal system that prioritizes audio and video, fuse the feature vectors, dynamically prioritizes modalities, and uses multistage processing to improve classification accuracy, an attention-based fusion method was used.
- Extensive experiments were conducted on two benchmark datasets, YouTube and SAVEE, and the results clearly showed how much better our technique is at recognizing emotions.

This is how the rest of the document is organized: While the survey's existing emotion detection scheme is presented in Section 2, An overview of the suggested architecture is given in Section 3. A comparison of the findings from the numerous papers that are part of this taxonomy is given in Section 4. Section 5 brings the process to a close.

II. LITERATURE REVIEW

As the most fundamental and natural form of human communication, emotions are important in daily life. The newest problem in affective computing and human-computer interaction (HCI) is emotion recognition [7]. Although a lot of study has been done in this area over the last 20 years, issues with accuracy and real-time analysis persist. Emotion recognition is useful in a wide range of fields, such as marketing, e-tutoring, security, medical diagnostics, and intelligent automotive systems. This survey will outline the areas that most need emotion detection in addition to analyzing the literature on human emotion identification from speech, facial photos, and brain signals [8]. According to [9] employed facial cues for facial features that CNN subsequently adopted in order to enhance performance.

To identify emotions, extracted the faces in key frames from the entry FACE and SAVEE databases using the Viola-Jones face recognition technique. According to [10] suggested a CNN for dynamic emotion recognition that uses fuzzy fusion in two stages. A two-step fuzzy fusion method was developed by fusing fuzzy broad learning with canonical correlation analysis. isual characteristics that were connected to the locations of the 2D marker coordinates were employed by [11]. Principal Component Analysis was then applied to the Gaussian Classifier. The impact of altering the characteristics and techniques on the eNTERFACE'05 database was examined by [12]. In the visual channel, face tracking and geometric elements for facial emotion identification were taken into consideration. Next, it was discussed how to classify using a multiclass SVM.

In order to extract high-dimensional Gabor coefficients from facial images and obtain detailed texture and structural information for facial feature extraction, by [13] used Gabor filters with five scales and eight orientations. In recent years, CNN has been used to extract facial features from still images of individuals. In order to determine which model would perform best for tasks like facial analysis, emotion identification, or pattern classification, Venkataraman et al. examined the performance of CNNs, DNNs, LSTMs, and HMMs. In [14] used a fuzzy ARTMAP Neural Network (FAMNN)-based SAVEE database to identify emotions. Retrieved facial expressions, Patterns of Oriented Edge Magnitude (POEM) features, and Local Phase Quantization (LPQ) features from the BAUM-1s database.

Livingstone et al. tested the Cohen's and Kappa values using the RAVDESS database. According to [15] employed the Hidden Markov Model (HMM) as the classifier model for the video series. According to [16] employed hybrid feature representation to recognize facial expressions from a photo frame. They combined different degrees of SIFT features from a CNN model with deep learning. For [17] proposed a feature extraction method for facial emotion recognition by fusing facial depth and facial texture. Facial expressions in still photos are recognized using LSTM, CNN, Alexnet, and other techniques. Furthermore, one of the most crucial methods for removing facial features from dynamic photos is 3D CNN. A CNN-CTS LSTM network and local enhanced motion history image-based video face expression identification system was proposed by [18].

According to [19] recovered the features for speech emotion identification using MFCC and relative special features. Pitch, intensity, the first four formants, and their band characteristics are among the 20 audio qualities that discovered. In order to extract speech components, by [20] employed an autocorrelation technique that splits the input voice signals according to shift intervals. To enhance the performance, by [21] coupled pitch and intensity with the first 13 MFCC elements. In conclusion, speech emotion components can be divided into three categories: spectral, prosody, and voice quality. Prosodic features include things like pitch period, speech rate, amplitude energy, and others; voice quality factors include things like formant frequency and glottis parameters. The term spectrum-based features refer to the linear predictor coefficient, or MFCC.

Based on prosodic characteristics, pitch frequency, MSPS, and MFCC were used in chapter 3; however, it was demonstrated that MFCC was superior in detecting emotions. A method called hybrid feature fusion blends characteristics from several modalities to increase the precision of sentiment analysis. Hybrid feature fusion is able to capture more subtle and detailed characteristics of sentiment than can be achieved with a single modality by combining data from multiple modalities. The currently used text sentiment analysis approaches are unable to handle uncertain assertions, such as reviews that exhibit bipolar behaviour. Automating sentiment recognition in natural language processing is far more challenging than it is for humans.

Instead of sending in their reviews in writing, end customers would want to provide audio snippets that express their thoughts. However, due of the massive feature dimensionality of the existing SER, the most difficult problem is the high computing cost. Because people frequently express their ideas on video, the reviewer's facial expression is considered a critical indication for sentiment analysis. These days, managing the generated features from several modalities requires multimodal systems to employ strong feature optimization and feature fusion approaches. Among the drawbacks of the earlier models are weak convergence and a clear tendency to become caught in local optima.

III. MATERIALS AND METHODS

One of the newest technologies is emotional recognition, which has been used in the medical field to determine a patient's emotion for treatment in recent years. Many technologies now include facial recognition technology into their apps to enable efficient connection with people. Because it makes human interactions more realistic, fields have been focusing on integrating these systems' capacity to modify their reactions and behavior based on human emotions. Facial expressions, body motions, and machine learning applications are the main methods used in computer science for emotional recognition [22]. The study's emotional recognition technology has been enhanced by the hybrid model, which blends the Attention-Guided CNN-Bi-LSTM models (Figure 2).

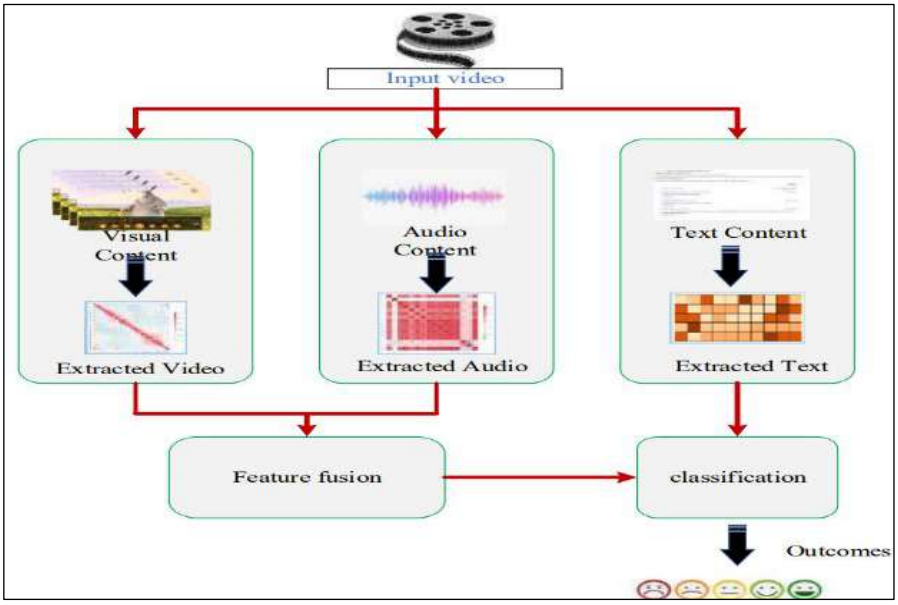


Figure 2: Proposed work.
Source: Authors, (2026).

III.1 DATASET

The SAVEE and YouTube datasets are used in the experiment utilizing the suggested methodology. There are 47 video clips in the YouTube collection, which includes product evaluations and political commentary. Of these datasets, twenty contain movies with female speakers, whereas the other 27 contain videos with male speakers (Morency et al., 2011). The speakers range in age from 14 to 60. Each video sample lasts two to five minutes and contains 360480 Mp4 pixels. Four male artists' 480 words from the SAVEE dataset represent a range of emotions. The visual media lab used state-of-the-art audiovisual technologies to construct the audio files in the SAVEE dataset [23]. Figure 3 shows sample frames from the SAVEE and YouTube datasets.

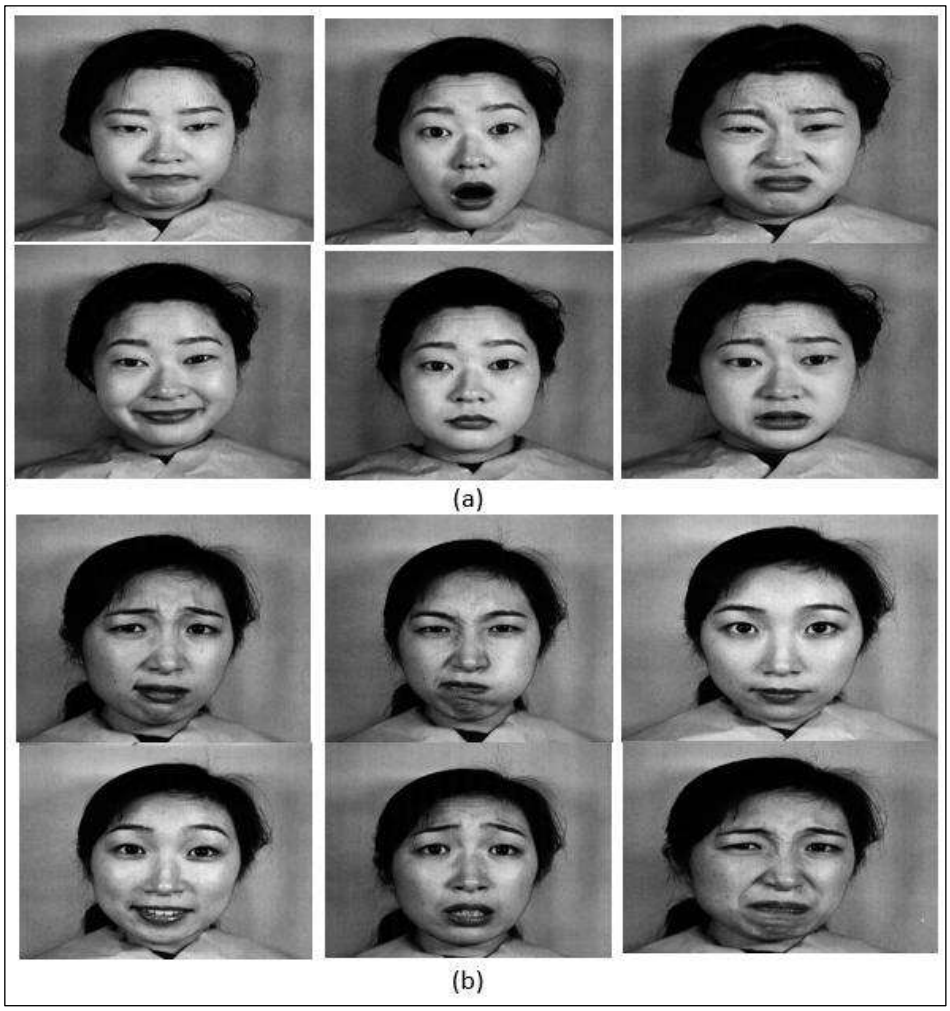


Figure 3: Sample Information from the YouTube and SAVEE datasets.
Source; Authors, (2026).

III.2 PRE-PROCESSING

Facial expression and emotion recognition are critical components of applications that must assess veracity, detect fraud, and gauge credibility. Unfortunately, most studies demonstrate little accuracy in recognizing emotions, mostly due to low-quality pictures. The application of artificial intelligence, especially deep learning techniques, and significant pre-processing are increasing the accuracy of computational predictions [24]. In order to identify emotions, our work blends deep learning techniques with preprocessing exercises. Our method aims to increase the accuracy of emotion recognition by comparing and using four deep learning models for image pre-processing [25]. The illumination and reflectance of the object or objects in the scene are multiplied to determine the intensity at any pixel in a picture, or the amount of light reflected by a point on the object.

$$I(x,y) = L(x,y) * R(x,y) \tag{1}$$

Where I, L, and R stand for the image, scene illumination, and scene reflectance, respectively. In order to convert the multiplicative components into additive components, this filtering technique moves to the log domain employing,

$$lnI(x,y) = ln(L(x,y)R(x,y)) \tag{2}$$

$$lnI(x,y) = ln(L(x,y) + R(x,y)) \tag{3}$$

In the log domain, the high-frequency reflectance component is preserved while the low-frequency light component is removed using a high-pass filter.

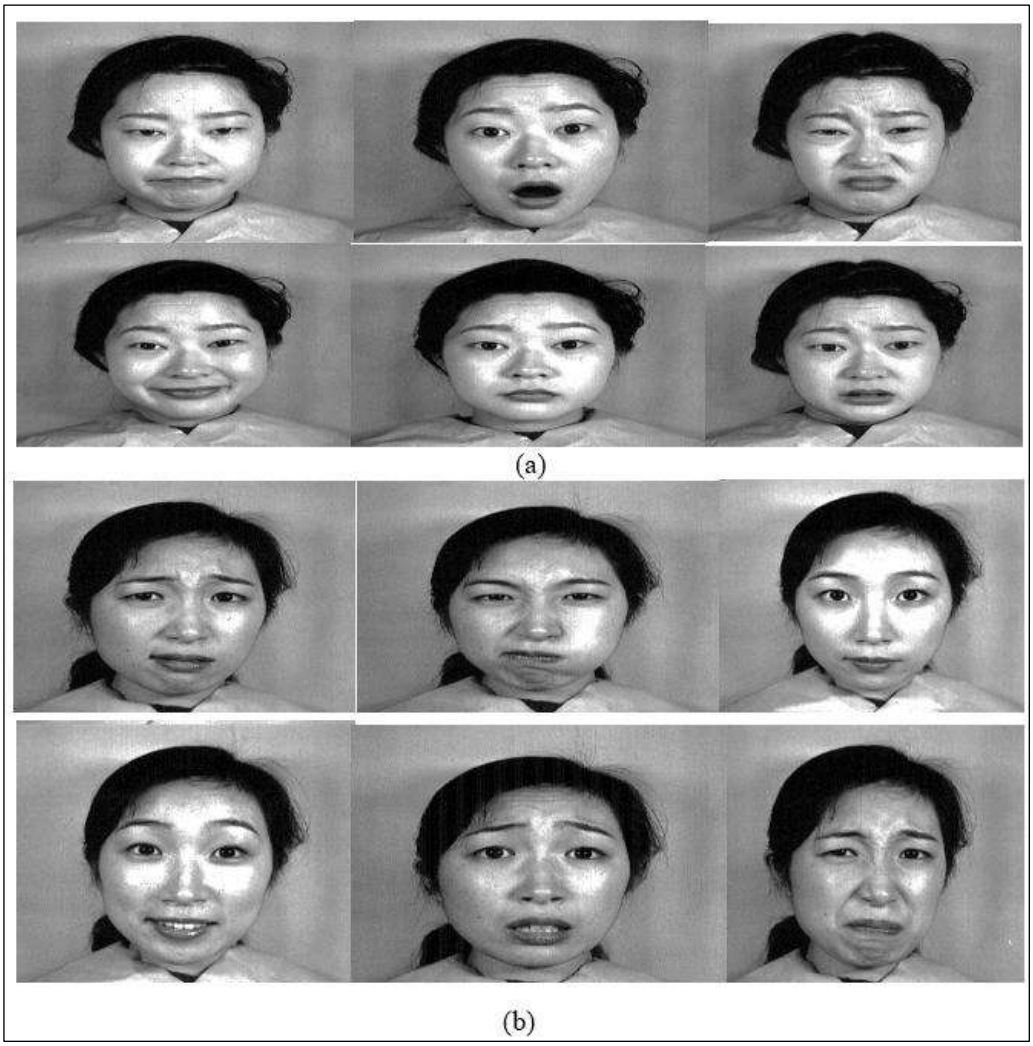


Figure 4: Pre-processing results.
Source; Authors, (2026).

A common method for handling nonuniform illumination in figure 4 is homomorphic filtering, a frequency domain filtering technique that enhances contrast from the object's reflecting qualities while compressing brightness from lighting circumstances.

III.3 FUTURE EXTRACTION AND FEATURE FUSION

The facial traits are extracted using a geometric feature-based approach by locating the characteristic feature points on the cropped face pictures. These attributes can be extracted manually or automatically using AAM tools [26]. A technique for equitably distributing gains or profits among several participants according to each person's unique contribution to the final result is the Shapley value. This idea, which comes from cooperative game theory, guarantees a fair and just distribution. The Shapley value is defined as follows:

$$\emptyset(x_i) = \Sigma_{s\subseteq\{1,2,\ldots,k\}\backslash\{i\}} \frac{|S|!(K-|S|-1)!}{K!} [f_x S\cup\{i\}) - f_x(S)], \quad (4)$$

Where K stands for the total number of participants. Equation (2)'s bracket section demonstrates that the entity's contribution can be characterized as a marginal contribution, or the difference between the group-S members' profit (f_x(S)) and the group members' and entity-i's profit: $[f_x S\cup\{i\})$. Friedman's gain is based on the same principle, but it can be altered by group members, which leads to inconsistencies. The Shapley value, which is then determined once more for each possible combination, is the average of the marginal contributions of all possible combinations. Only the Shapley value approach to profit allocation satisfies the four requirements of linearity, symmetry, efficiency, and null player. Utilizing the concept of the Shapley value, the SHapley Additive exPlanation (SHAP) illustrates the patient's outcome-j: $f(x^{(i)}$ as the sum of each features-i's contribution $\emptyset_i(x_i^{(j)})$.

$$\emptyset_0 = \frac{1}{N} \sum_{j=1}^{N} f(x^{(i)}) \quad (5)$$

$$\emptyset_i(x_i^{(j)}) = \emptyset(x_i^{(j)}) - \frac{1}{N}\sum_{K=1}^{N}\emptyset(x_i^{(K)}) \quad (6)$$

$$f(x^{(i)} = \emptyset_0 + \sum_{i=1}^{K}\emptyset_i\,(x_i^{(j)}) \quad (7)$$

Where N is the number of patients. We derived $\forall i, E(\emptyset(x_i)) = \frac{I}{N}\sum_{j=1}^{N}\emptyset_i(x_i^{(j)}) = 0$ from Eq. (7). The relationship between a feature x_i and SHAP value in GLM $\emptyset_{GLM}$ is given as follows [8]:

$$\emptyset_{GLM}(x_i^{(j)}) = a_i x_i^{(j)} - E(a_i x_i) = a_i x_i^{(j)}\, a_i E(x_i) \quad (8)$$

Feature x_i has a proportional relation with its SHAP value and the proportionality factor is given by coefficient a_i . This result is consistent with how GLM is currently interpreted. A SHAP dependence graphic illustrates the relationship between the characteristic and its impact on the SHAP-measured result. The logistic regression model converts SHAP values to log-odds for binary prediction. The linear relationship provided by Equation (6) is displayed in the SHAP dependence graphic for GLM.

$$IMP(X_i) = Var(\emptyset(x_i)) = \frac{1}{N}\sum_{j=1}^{N}[\,\emptyset(x_i^{(j)}) - E(\emptyset(x_i))]^2 \quad (9)$$

$$= \frac{1}{N}\sum_{j=1}^{N}[\,\emptyset(x_i^{(j)})]^2 - \{E(\emptyset(x_i))\}^2 \quad (10)$$

$$= \frac{1}{N}\sum_{j=1}^{N}[\emptyset(x_i^{(j)})]^2 \quad (11)$$

When all attributes are normalized, the variable significance of GLM in Eq. (11), using our idea, is as follows:

$$IMP_{GLM}(X_i) = \frac{1}{N}\sum_{j=1}^{N}[a_i\, x_i^{(j)} - a_i E(x_i)]^2 \quad (12)$$

$$= \frac{a_i^2}{N}\sum_{j=1}^{N}[x_i^{(j)} - E(x_i)]^2 \quad (13)$$

$$= |a_i|^2 .Var(x_i) = |\beta_i|^2 \quad (14)$$

Both the feature importance concept and the ranking based on absolute beta coefficients ($|\beta_i|$) are in line with your definition and the feature packing method that follows. This implies a unified method for prioritizing and evaluating features.

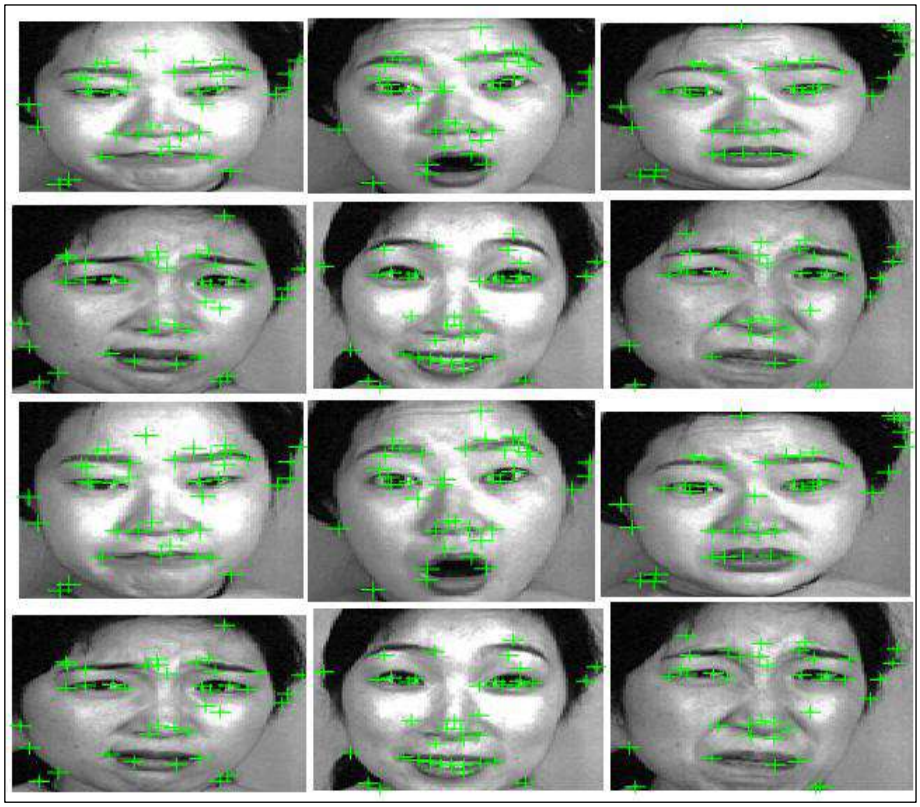


Figure 5: 39 feature points extracted.
Source: Authors, (2026).

The areas of the face with the most noticeable expressions, like the lips, nose, eyes, and eyebrows, contain 39 feature points, as shown in Figure 5. The quantity and location of the feature points are changed from. The locations of these feature points formed the feature vector. The feature vector recovered has 78 dimensions since 39 feature points are marked, and each feature point contains "x" and "y" coordinates. Because linked factors can complicate interpretation, it is usual practice to eliminate them from the data and build the predictor instead. However, this approach may result in greater reconstructive computation time and a poorer forecast accuracy. Therefore, without having to construct the predictor, we wish to combine these variables into a single grouped variable. Furthermore, feature packing has no impact whatsoever on prediction accuracy and does not necessitate model rebuilding. Therefore, packing qualities with many variables or similar interpretations is a highly helpful strategy.

III.4 CLASSIFICATION

The classification is done using the NN classifier, which is trained using the feature vectors of all emotions for the frontal position only. Following the mapping from a non-frontal posture to a frontal pose in the pose normalization stage using MSVR, the output $a*$ feature vector contains the position of the non-frontal pose's feature points onto the frontal pose. This is then input into NN, which classifies the emotion according on its label. If the head position estimation output is frontal posture, the feature vector is provided directly to the classifier without going through MSVR. To improve the emotion classification model's performance, the most pertinent audio clips and the features taken from the peak facial expression frame are combined [27].

The early feature level fusion is performed by concatenating the retrieved face action units of the peak visual frame with the most relevant audio segment characteristics. Fi is the length of the fused feature vector, where i = 1, 2..., n, and n = 1871. It has 1759 characteristics to describe the facial expressions of peak frames and 112 audio features (GTCCs features along their first and second order derivatives, spectral and time domain features). To prevent overfitting, the early halting technique was applied. The model's weights were changed if the validation loss was less than any minimal loss that had been documented before. When the training process was complete, the best model was ultimately retained.

III.4.1 Cnn-Bi-Lstm

In spectrograms, emotional expressions can occasionally appear as unique energy patterns, especially in auditory media like speech. These patterns can be identified using spectrogram analysis because they have unique energy distributions across a range of frequencies. Particularly effective at emphasizing data points with sudden changes or high energy levels are convolutional neural networks (CNNs). Given that CNNs are adept at recording emotions that emerge rapidly and intensely, this property is helpful for emotion analysis. In circumstances where emotions may abruptly surge or fall, this targeted analysis ensures a comprehensive awareness of the emotional environment and helps the model distinguish between strong and subtle emotional cues.

This method is very good at revealing little features in the frequency and temporal domains. With artificial neurons that can respond to a selection of neighbouring units, CNNs are one kind of feedforward neural network. It works best when processing images on a large scale. Utilized CNNs to identify handwritten numbers in the past century, but the restricted processing capacity of computers prevented them from being widely deployed. The benefits of CNNs have gradually become clear, though, and deep neural network training has gotten easier as processing power keeps increasing. As previously said, convolutional, pooling, and fully connected layers make up a CNN's network topology. Extracting local attributes from the input data is the primary function of the convolutional layer.

It is distinguished by weight sharing and sparse connection. In order to reduce the computational load and dimensionality of the feature maps while maintaining crucial feature information, the pooling layer is typically positioned after the convolutional layer. The fully connected layer aggregates the features extracted by the convolutional and pooling layers, applies linear transformations through weights and biases, and then performs nonlinear transformations by passing them through an activation function to produce. These functions have the benefits of minimizing overfitting and preventing gradient vanishing. The equation represents the function of ReLU.

$$Y = max(0, x) \tag{15}$$

The gradient is 0 for negative values even if the gradient-vanishing problem is fixed by the ReLU function, which could leave some neurons untrained and reduce the expressive power of the network. Leaky ReLU was created by Maas et al. to solve this issue. It smoothes and expresses the activation function by employing a modest slope for negative inputs rather than ReLU's zero slope. It has therefore been widely used in practical contexts. Equation (16) gives the definition of Leaky ReLU:

$$y = \begin{cases} x, & x \geq 0 \\ ax, & x < 0 \end{cases} \tag{16}$$

The linear classifier is often used in the traditional method to perform one layer of an operation; for example, SVM has only one weight set (Equation 2). CNN and other deep learning algorithms, however, carry out multiple levels of operation during classification. CNN's input is a two-dimensional array.

$$S = W \times x_i + b \tag{17}$$

Where b is bias, W is the weight matrix, and S is the classification score.

LSTM-based models are ideal for working with time series data, including audio data, because they are made to handle variable-length sequence data. Sequence data is handled sequentially by LSTM and concurrently backwards and forwards by Bi-LSTM. Bi-LSTM can therefore effectively evaluate both historical and prospective data simultaneously. This could lead to increased accuracy in pattern detection.

The Transformer model's attention mechanism weights various data points to draw attention to important features of the incoming data. This method is effective for recognizing emotions since certain speech patterns may be more important than others. Multi-head attention is utilized to capture more information than single-head focus.

$$z = \frac{x - \mu}{\sigma} \tag{18}$$

The forget gate layer's equation is provided as,

$$f_t = \sigma(W_f[h_{t-1}, x_t], b_f \tag{19}$$

The input gate layer comes next, where the additional features are used to retrain the recall state data.

$$i_t = \sigma(W_f[h_{t-1}, x_t], b_i \tag{20}$$

The output of the forget gate layer is multiplied by the cell state vector of the preceding LSTM cell (c_{t-1}). After being multiplied by the hidden state vector of the stage, the input gate layer's output is combined with the outcome of a "tanh" function. Together, they produce the cell state vector for the next LSTM cell.

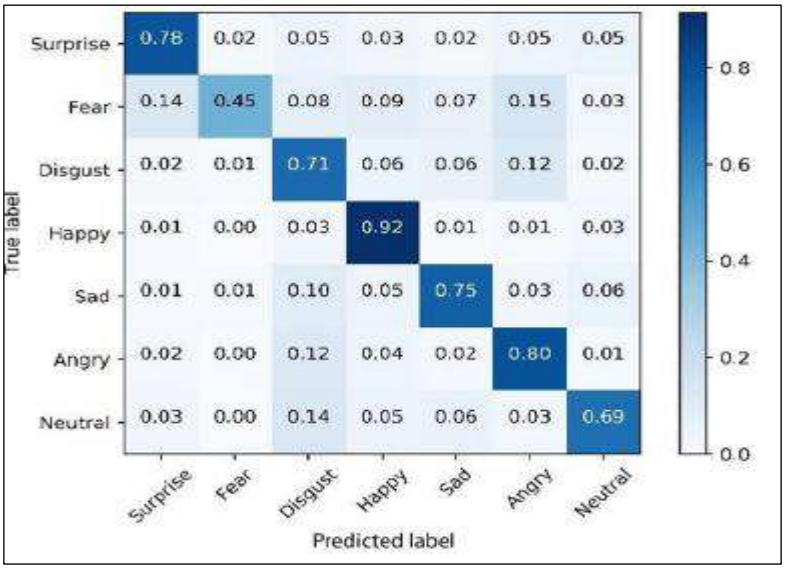


Figure 6: Confusion matrix results.
Source: Authors, (2026).

The prior concealed state vector is then multiplied by this new cell state following its passage via a "tanh" function (h_{t-1}). Our suggested model's whole architecture is depicted by

$$y = W_d X_t + B_d \tag{21}$$

Where,
y = output of the output layer, which is the target image's face emotion
X_t = the CNN-Bi LSTM model-learned vector
W_d B_d = bias and weight of the CNN-Bi LSTM model

Equation (28) defines the output or dense layer to which the fixed or variable length vector representation as the Bi-LSTM's output is fed in order to classify facial images into the different emotion classes of happy, sad, angry, disgusted, neutral, fear, and surprise. The multi-head attention mechanism can simultaneously identify many important patterns or qualities by employing numerous "heads" to calculate attention from different data viewpoints (Figure 6). Furthermore, the transformer structure makes parallel processing possible, which speeds up learning and simplifies the management of massive volumes of data. The combination of these two architectures enables the model to concurrently take into account a large number of patterns and characteristics in audio data since the transformer is skilled at learning the intricate hierarchical structures of data and the Bi-LSTM is good at identifying the temporal qualities of audio data.

IV. RESULT AND DISCUSSION

The CNN-Bi-LSTM model was implemented using TensorFlow and the Anaconda platform. An NVIDIA GTX 1650 Ti graphics card, 16 GB of RAM, and an Intel i7-10750H 2.6 GHz processor were used for the training and validation procedures. The CNN-Bi-LSTM model was trained using a batch size of two and a learning rate of 0.00005 through trial and error throughout the training phase. 168 of the 210 video examples are used for CNN-Bi-LSTM training, and 42 are validated using 5-fold cross validation.

Table 1: Proposed Model Performance Evaluation for YouTube Dataset.

Modality	Accuracy (%)	Sensitivity (%)	Specificity (%)	F-score (%)	MCC (%)
Audio	85.80	94.33	81.04	85.65	79.15
Text	93.25	94.30	96.52	91.42	90.75
Video	93.15	93.53	95.56	92.91	91.81
Video & Text	91.96	92.53	92.53	90.93	89.26
Audio & Text	93.16	95.54	91.96	90.39	85.71
Video & Audio	94.34	95.74	92.20	90.04	91.60
All Modalities	97.70	95.53	98.19	95.65	94.97

Source: Authors, (2026).

The CNN-Bi-LSTM model's effectiveness is assessed using a variety of modalities in Table 1. To provide the best fusion analysis results, the proposed model combines text, visual, and auditory modalities based on the observation. The YouTube dataset produces findings that are more closely related to both combined and individual sequences, with the best. Figure 7 displays the various modalities' performance on the YouTube dataset.

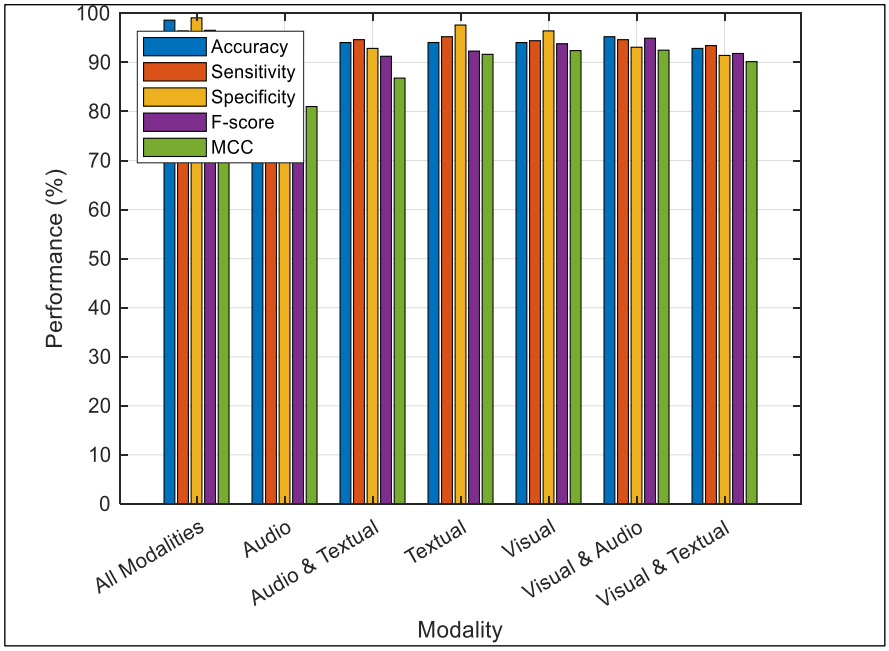


Figure 7: SHAP features Performance Measures on YouTube Dataset.
Source: Authors, (2026).

Furthermore, all three modalities are used to assess the proposed SHAP technique on the SAVEE dataset in MSA. The performance of all combined modalities on the SAVEE dataset is shown in Table 2.

Table 2: Performance Evaluation based on SAVEE Dataset.

Modality	Accuracy (%)	Sensitivity (%)	Specificity (%)	F-score (%)	MCC (%)
Audio	84.81	89.51	92.51	92.58	91.10
Textual	93.71	99.51	98.00	97.05	96.54
Visual	95.54	97.43	96.20	91.50	90.32
Visual & Textual	90.19	89.51	84.23	87.86	86.01
Audio & Textual	90.77	96.04	92.57	84.18	81.32
Visual & Audio	93.16	96.23	88.40	91.76	91.03
All Modalities	99.71	97.91	98.23	100.00	98.60

Source: Authors, (2026).

Combining the modalities according to MCC (99.71%), F-score (97.91%), Specificity (98.23%), Sensitivity (100%), and Accuracy (98.60%) yields the optimal response. Figure 8 displays the performance of the different modalities on the SAVEE dataset. To fuse all modalities using feature level fusion, the feature vectors from each modality are collected and used as the input for the classification phase. The integration of heterogeneous feature vectors, or feature level fusion, is the issue that the model that is currently being described attempts to solve.

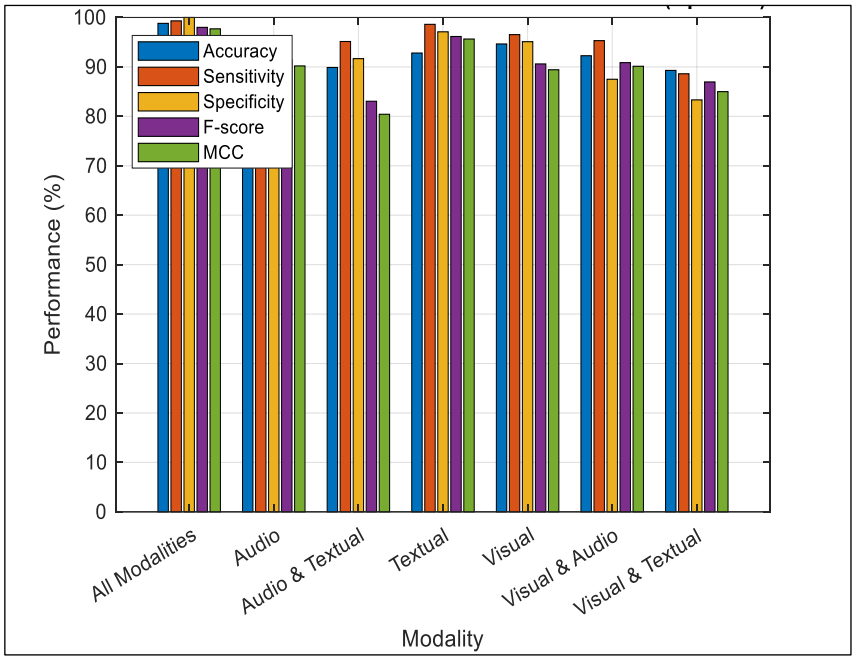


Figure 8: SAVEE Dataset Performance Measures.
Source: Authors, (2026).

Figure 9's output graphic breaks down high-dimensional feature vectors into two halves so you can see how similar two photos are to one another. More distant points imply larger differences, while closer points show comparable feature patterns. Understanding feature distribution, identifying outliers, and getting ready for tasks like clustering or classification are all made easier with the help of this visualization.

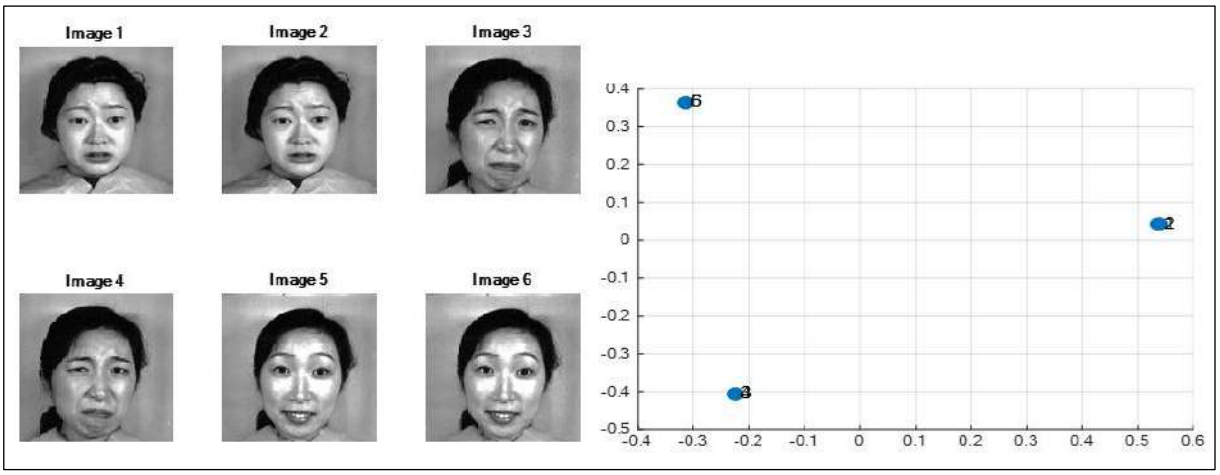


Figure 9: Feature fusion.
Source: Authors, (2026).

Following the collection of various features, the judicial feature standards were chosen using the relief strategy and subsequently submitted to the CNN-Bi-LSTM algorithm. Because the CNN-Bi-LSTM model uses a bi-directional long- and short-term memory neural network, it performs worse than the CNN-LSTM model in every temporal data processing error.

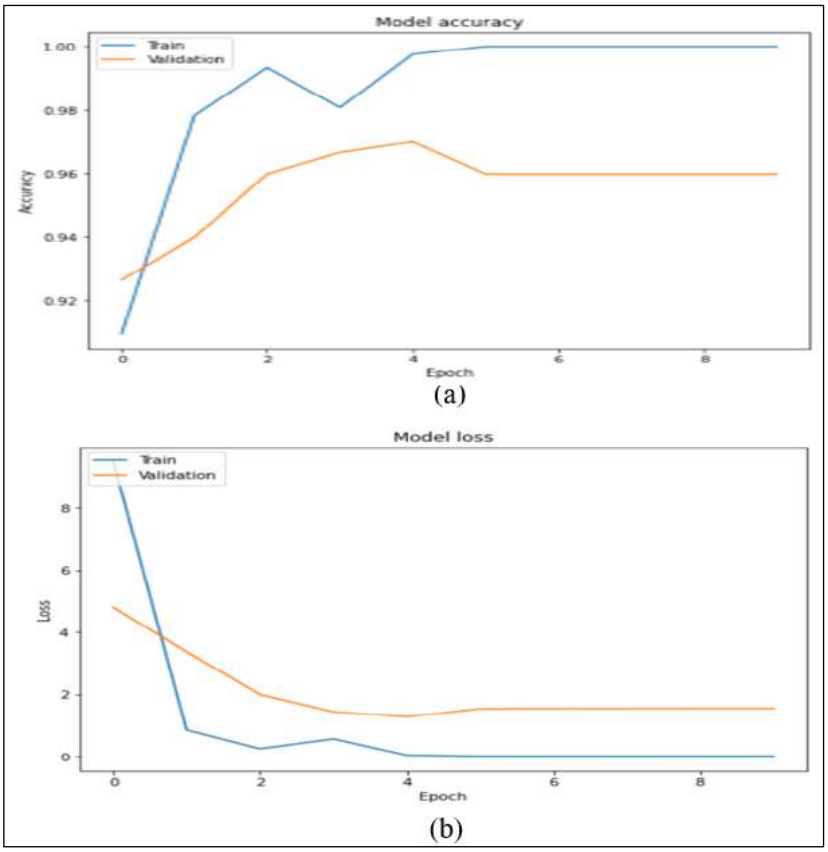


Figure 10: CNN-Bi-LSTM Accuracy and Loss plot.
Source: Authors, (2026).

First, of the four models, the CNN and LSTM models have the lowest prediction accuracies and the shortest average calculation time due to their comparatively simple architectures. Out of the six models, the enhanced CNN-Bi-LSTM-attention model has the lowest prediction error and the highest prediction accuracy (Figure 10). The CNN-Bi-LSTM-attention model has a more potent temporal data-processing capability than the CNN-Bi-LSTM model because it incorporates an attention mechanism that can handle some temporal features that the network missed and weigh the channels, allowing the model to focus on important temporal features. It can produce forecast accuracy with the least amount of error and has a high degree of generalizability (Table 3). CNN-LSTM-attention has a greater total error and a lower prediction accuracy because it cannot handle time-series data in both directions and cannot extract enough long-term features (Figure 11).

Table 3: Proposed dataset Comparative Analysis.

Metric	YouTube Dataset	SAVEE Dataset
Accuracy	98.60	98.20
Sensitivity	97.74	98.74
Specificity	97.14	97.14
Precision	96.77	97.77
NPV	98.33	99.33
FPR	2.86	2.86
FNR	5.26	5.26
F1 Score	95.74	95.74
MCC	91.99	91.99
Balanced Accuracy	98.94	98.94
Youden's Index	0.92	0.92

Source: Authors, (2026).

The CNN-Bi-LSTM hybrid model's ability to identify emotions is seen in Table 4.8, which compares classification models on two datasets. For better emotion recognition, this combined strategy makes use of the advantages of CNNs (feature extraction) and Bi-LSTMs (sequence modelling). The CNN-Bi-LSTM model showed enhanced sensitivity and accuracy on the YouTube dataset and SAVEE, which were utilized to assess its performance. The relief-random forest model is more accurate (94%) and sensitive (91%), as shown in Table 4.8. The YouTube data's sensitivity.

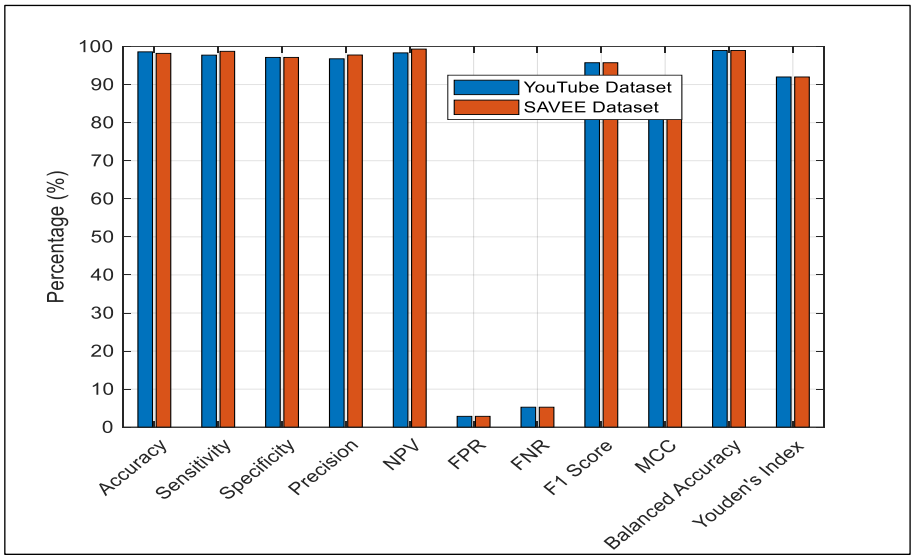


Figure 11: Proposed dataset Comparative Analysis.
Source: Authors, (2026).

The CNN and LSTM models have the fastest calculation times when it comes to model computational efficiency. They are the least precise, nevertheless, and have the worst computational error. The CNN-LSTM model has the second-highest computation time after the CNN and LSTM models because to its comparatively simple structure. The CNN-Bi-LSTM-attention model performs better than the CNN-Bi-LSTM-attention and CNN-LSTM-attention models in terms of computational efficiency and model prediction accuracy.

Table 4: Proposed dataset Comparative Analysis.

Models	Dataset	Accuracy (%)	Sensitivity (%)
MKL-CNN [28]	YouTube	88.60	87.36
INCA-SoftMax Classifier [29]	SAVEE	95	81
Relief-random Forest [30]	YouTube	94.01	91
CNN-Bi-LSTM model	**YouTube**	**98.60**	**97.74**
	SAVEE	**98.20**	**98.74**

Source: Authors, (2026).

Out of the six models tested, the CNN-Bi-LSTM-attention model performed the best, achieving the highest prediction accuracy and the lowest prediction error for both inbound and outbound predictions.

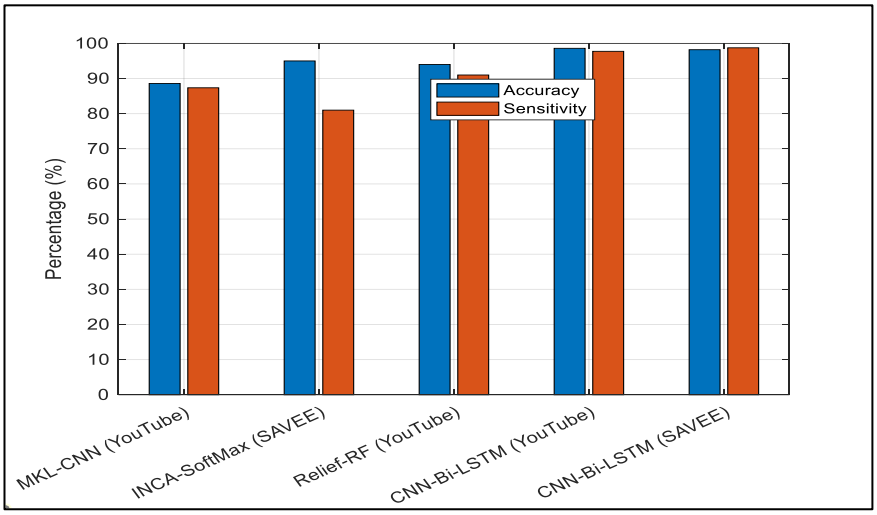


Figure 12: Proposed and Existing Methods Comparative Analysis.
Source: Authors, (2026).

Figure 12 and Table 4 demonstrate the great prediction efficiency of the CNN-Bi-LSTM-attention model. The accuracy of the departing and arriving inventory prediction is higher than that of the other models. Therefore, out of all the models currently in use for emotion recognition and experimental data, the CNN-Bi-LSTM-attention model is the most successful.

V. CONCLUSION

In order to create a reliable and effective emotion detection system, this study investigated a multimodal strategy that integrated text, speech, and video data. By utilizing a variety of emotional cues, it may be possible to increase accuracy and dependability. A comprehensive analysis of multimodal inputs is made possible by the architecture's integration of CNNs (for audio) and CNN-Bi-LSTM (for video), which effectively recognizes emotions by identifying subtle patterns in both audio and visual data. Future studies should concentrate on refining the model to lower processing requirements, enabling real-time processing, and guaranteeing deploy ability on devices with constrained computing capability in order to overcome the constraints of our multimodal emotion-recognition system and enhance its capabilities. Creating CNN-Bi-LSTM versions and distilling models are two techniques that could maintain good accuracy while consuming fewer resources.

Other modalities, such facial expressions and physiological clues, can also be used to improve the ability to identify emotions. This expansion would require the development of SHAP-based fusion techniques that can handle the diversity and complexity of data from several sources. It is essential to lessen dependence on huge annotated datasets. Methods such as few-shot learning, transfer learning, and synthetic data generation can increase robustness, boost data efficiency, and allow for efficient use in scenarios with limited data. As a result, this work provides a variety of potential avenues for further research. To make the system viable for real-time applications, more research is therefore required to create lightweight architectures or use model quantization and pruning strategies. Furthermore, by taking cultural differences in emotional manifestations into consideration, we hope to create broadly applicable models.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: J. Biju, Lavanya K, J. Raja, M. Kiruthiga Devi, Payala Krishnanjaneyulu and N. Kanya.
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Writing – Review and Editing: J. Biju and Lavanya K.
Resources: J. Biju, Lavanya K, J. Raja, M. Kiruthiga Devi, Payala Krishnanjaneyulu and N. Kanya.
Supervision: J. Biju.
Approval of the final text: J. Biju, Lavanya K, J. Raja, M. Kiruthiga Devi, Payala Krishnanjaneyulu and N. Kanya.

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RESEARCH ARTICLE OPEN ACCESS

RESOURCE ALLOCATION METAHEURISTIC TECHNIQUES IN CLOUD COMPUTING

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ABSTRACT

Cloud computing is a computer paradigm that delivers IT resources as services, such as platforms, apps, and infrastructure, via the Internet. The cloud Computing offers the infrastructure needed to process and compute any kind of data resource, and it is used to handle massive volumes of data. Large, well-known businesses have moved their processing and storage to cloud computing in recent years. Businesses and organizations may lower their infrastructure costs by utilizing cloud computing. Businesses can test their apps faster, more effectively, and with less maintenance. Cloud computing enables the IT team to adjust resources to fluctuating and changing requirements. Allocating resources in cloud computing is intrinsically difficult since more and more people are using various cloud apps in some infrastructure. The majority of resource allocation solutions now in use focus on performance, which is impacted by the volume of applications from scientific and business domains. This article presents an analysis of meta-heuristic approaches for resource allocation in cloud computing systems. When allocating resources in the cloud, the examined meta-heuristic algorithms can achieve much better performance, lower costs, shorter turnaround times, better resource usage, and increased energy efficiency.This study compares several scheduling algorithms for cloud and grid systems using three well-known metaheuristic approaches: Particle Swarm Optimization (PSO), Genetic Algorithm (GA), and Ant Colony Optimization (ACO).

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I. INTRODUCTION

A group of advanced on-demand computing services that were first made available by for-profit companies like Amazon, Google, and Microsoft are collectively referred to as cloud computing. It refers to a paradigm wherein a computing infrastructure is perceived as a cloud from which people and companies may readily access applications from any location in the world [1].To lower energy expenses and provide end-user assistance through negotiated quality of service (QoS), which is created in the form of Service Level Agreements (SLA), the resource pool must be professionally controlled.Three primary cloud models are available: Platform as a Service (PaaS), Software as a Service (SaaS), and Infrastructure as a Service (IaaS). These are the three main ways that services are frequently supplied [2]. A single physical computer may run many programs thanks to the resources' high heterogeneity and virtualization.

When necessary, an appropriate physical system is used to instantiate the user programs, but they are confined to a virtual machine. It is debatable if the apps' requirements for CPU, memory, processing speed, network bandwidth, and reaction time are reasonable. Based on client demand, resources are combined and made accessible.Cloud companies like Flexiant, Microsoft, Amazon, Google, Gogidi, and Others constructed several data centers to accommodate the resource requirements of a huge number of users [3]. Cloud data centers have numerous advantages, but they can have drawbacks, such as high-power usage [4]. Each of the many resources in these data centers has a corresponding power usage. The ability to execute HPC applications on cloud infrastructures has increased the popularity of cloud computing [5]. The resource allocation strategy is utilized to ensure that all application requirements are fulfilled. For all of these reasons, one of the maingoal in a cloud computing system is resource allocation.

In addition, industry and researchers are concerned about lowering energy usage and carbon footprints, as well as providing user applications with adequate resources to meet quality of service (QoS). Energy usage and resource use are strongly linked.Furthermore, for green manufacturing, energy usage during machine operations and idle time should be considered [6]. In the construction industry, the severity of falls from height is even more alarming: 65% of accidents involve this type of occurrence, and more than half result in death [5].

In Rio Grande do Sul, the scenario is equally concerning. In 2023, 384 work-related deaths were recorded, representing a 35% increase compared to 2022. Among these cases, 320 were typical accidents, 63 were commuting accidents, and 1 was due to occupational illness. It is noteworthy that workers with precarious employment relationships—such as self-employed and unregistered workers—accounted for 50.01% of fatal typical accidents, with self-employed individuals representing 38.13% of occurrences [6].

I.1 FOUR TYPES OF CLOUD

1. **Public Cloud** - Public users can access and utilize the public cloud. The third-party organization that owns and operates it offers internet-based services to customers who only pay for the services they utilize. Nonetheless, public cloud settings are frequently more vulnerable to security flaws and intrusions [7].
2. **Private Cloud** - A private cloud is used only by one company. Because the business manages the infrastructure and data directly, it offers better control and increased security whether it is hosted on-site or by an outside supplier.
3. **Hybrid Cloud**: A hybrid cloud uses standardized technologies to combine private and public cloud infrastructures. Businesses may reroute excess traffic to the public cloud using this integrated approach's flexibility and scalability to preserve service availability and avoid disruptions.
4. **Community cloud**: A particular community with common issues is supported by shared cloud infrastructure, which is shared by certain organizations (e.g., governance, education and compliance). It may be managed by the groups or by a third party, and it may be located on or off campus.

I.2 SCHEDULING ALGORITHMS ANALYSIS

There are two kinds of algorithms for work scheduling:

1. **Heuristic**:This problem-solving method uses specific guidelines and suggestions (strategies) to do a focused search. The aim is to identify feasible, realistic solutions that take into account the limitations of the problem [8]. Round robin, min-min, priority-based, and first-come, first-served scheduling are examples of heuristic scheduling methods.
2. **Metaheuristic**:Metaheuristic algorithms draw inspiration from physical processes, evolutionary biology, and natural phenomena such as swarm intelligence. They use techniques including problem space exploration, local search, randomization, and searching for possible answers. Complex optimization issues are solved using metaheuristic algorithms [9]. It finds the best option out of a plethora of alternatives. Unlike classical algorithms that may provide exact answers, metaheuristics provide approximate solutions that are deemed appropriate for practical reasons [10]. Examples are PSO, GWO, and Jaya.The ultimate goal of cloud computing resource computation is to minimize cloud customers' financial expenses while optimizing revenues for cloud providers [11].

However, compared to alternative methods like analytical processes and identical numerical programming, conventional procedures are simpler to comprehend and utilize. Approaches do not ensure that the result will be created correctly [12]. Programming for cloud computers is associated with a set of issues called NP-hard drives because there are so many potential solutions, and it takes time to choose the optimal one. To solve these problems, none of the methods can get the right answer in a multinomial amount of time. Finding a more effective solution in the near term is preferable when it comes to cloud computing. For such problems, meta-heuristic-based approaches have demonstrated the ability to obtain optimal solutions in a sensitive time frame [13].Heuristic approaches have been applied without guaranteeing accuracy or viability for a workable answer at a minimal computing cost. Examining different strategies to enhance the efficiency of metaheuristics in algorithms increases the efficacy of heuristic processes that employ metaheuristics approaches.

Larger integration rates, less coverage of optima, longer computation durations, more complex operators, and the development of a binary or real search environment are other characteristics of contemporary algorithms.Strong scheduling techniques must be used in cloud computing in order to optimize resource consumption and system efficiency[14]. Teaching Learning Based Optimization (TLBO) The TLBO methodology is a metaheuristic optimization method that draws inspiration from educational environments. Because of its bias, troubleshooting optimization may be simpler [15]. Thus, gravity serves as a means of transmitting information among separate entities [16]. Despite being suggested, the path frequently develops into a comprehensive response to multiple iterations, unlike GA, and does GSA techniques avoid being locked in the local optimum [17].

II. ALGORITHMS USING META-HEURISTICS FROM 1975 TO 1997

Ant colony efficiency solves optimization problems using the same method [18]. Scatter search can be used in cloud computing by developing a "Scatter Search" metaheuristic algorithm on a cloud platform to tackle complicated optimization issues or by using a "Scatter/Gather" pattern for dispersed activities. Particle Swarm Optimization (PSO) the Particle Swarm Optimization technique is a suitable meta-heuristic algorithm for optimizing continuous nonlinear functions. The idea of identifying the optimal solution was motivated by the notion of bird cruelty, which is frequently seen in animal groups such as flocks and the sea [19]. Each candidate (birds, fish, insects) is treated as a particle in particle swarm optimization, which uses a community known as a swarm and develops them using random circumstances and velocities. Assuming a cross between the evolution of the Pareto method of optimization and the evolutionary approach, The Improve PSO (IPSO) algorithm has been used in this work to establish a resource scheduling approach for quality-of-service constrained resources.

According to the study's findings, the model can boost productivity and enhance search speed while indicating a specific height [20]. The PSO process suggests a more methodical virtual machine allocation strategy and a more effective resource allocation energy model to maximize energy usage in the cloud data center. The PSO stiffness function in this method differs from the remaining finishing point between resource utility and energy consumption. This approach can escape down to local optima, common to traditional approaches [21]. The Metaplan Complex scheduling and optimization problems, especially those requiring resource allocation, are resolved in cloud computing by using meta-heuristic algorithms. In situations when workloads are constantly changing, they successfully provide almost ideal results. Complex optimization issues like load balancing, virtual machine (VM) migration, and resource allocation are handled in cloud computing through the use of simulated annealing.

By mimicking the real annealing process, which entails progressively cooling a material to its lowest energy state, this technique helps identify the best way to allocate cloud resources. Tabu Search is a metaheuristic optimization method used in cloud computing to solve challenging issues such as work scheduling, load balancing, and resource allocation. A "tabu list" of previously explored movements or solutions is kept up to date when investigating solutions in order to prevent becoming trapped in local optima. Unaffected algorithms Use cloud computing's biological immune system ideas to solve security, load balancing, and optimization problems. Reactive search optimization in cloud computing involves using self-tuning, adaptive algorithms to optimize cloud resource allocation and scheduling in response to changing conditions.

Differential Evolution is used in cloud computing as a powerful optimization algorithm for complex problems like task scheduling, data center selection, and resource allocation. ACO learns from the destructive nature of some ant species. These ants use a pheromone to mark a specific track in the ground, which the other ants in the colony may follow. We learned how to properly allocate cloud resources in this paper in order to optimize cost, service quality, time, and resource load balance. The response has been the modified ACO algorithm. More planning is being done for this effort, though, including the resources' qualities and how well they match the job criteria, as well as the primary sources of qualified applicant resources.

III. METHODS OF META-HEURISTICS FROM 2001 TO 2009

Harmony Search Algorithm (HS) The Harmony Search algorithm has received a lot of attention lately. It is a metaheuristic technique that seeks to achieve the perfect harmony by simulating the singer's development. The HS method is easy to apply, rapidly yields the correct answer, and gives a sufficient solution for the required length of time. Because of these benefits, the HS algorithm has been used to solve issues requiring the application of different technical contexts [22]. Making effective use of cloud resources requires a systematic approach to resource planning. This method uses makespan to analyze the correctness of the answer and relies on HS, a novel meta-heuristic tool. The CloudSim 3.0.3 program has been utilized as a cloud simulator to assess the Harmony Search algorithm's performance. According to this study, the number of cloudlets has been increasing with variable makespan (in seconds) when employing a cloud scheduling method based on Harmony Search.[23].

Optimization in Renewable Energy Systems: Recent Perspectives addresses every significant area in which optimization methods have been used to lower uncertainty or enhance outcomes in renewable energy systems [24]. Less waiting time is achieved by the hybrid TLBO and grey wolves optimization algorithm (GW) algorithm, which precisely balances priorities and takes performance into account based on time, cost, and avoiding local optimum traps.In terms of makespan and load variation, the Grey Wolf Optimization Algorithm with Simulated Annealing (GWO-SA) outperforms all other methods [25]. Artificial Bee Colony Algorithm (ABC) This approach to continuous optimization issues was initially introduced in 2005. The employed and unemployed bees in this strategy just update the 1D food position. One solution update rule is used by the artificial agents for the whole search. It has two kinds of bees: those that work and those that don't. Whereas other bees locate food sources using the information that employed bees supply, employed bees gather fluid from food sources and advise other unemployed bees of food locations. It is an energy resource consumption process model that has been studied to optimize cloud resources and improve their use.

The method of powering resources of the same size as the model is what the ABC uses when assigning functions to cloud computing resources. Additionally, through server interfaces, visualization makes it possible to reduce cloud power utilization since it reduces user-desired procedures. In accordance with the ABC-based energy-conscious resource consumption approach, the architecture allocates functions and resources to the cloud. A comparison between the efficacy of the proposed technique and existing approaches is made using the CloudSim tool. According to the test findings, the recommended process works better than existing methods by reducing the energy and running time of cloud-based programs. A genetic algorithm (GA) is a kind of evolutionary algorithm that finds excellent answers to challenging optimization and search problems. It was inspired by natural selection. It functions by generating a population of potential solutions that change through crossover, mutation, and selection over the course of several generations. This method is designed to maximize resource usage while minimizing job completion time and cost [26].

Table 1: Algorithms Using Meta-Heuristics From 1975 to 1997.

Sr. No	Algorithm	Proposed	Year	Description / Key Idea
1.	Genetic Algorithm	Holland [27]	1975	Laid the foundation for evolutionary computation.
2.	Scatter Search	Glover[28]	1977	Introduced a structured combination of solution vectors.
3.	Metaplan	Mercer and Sampson[29]	1978	Early conceptual model for metaheuristic planning.
4.	Simulated Annealing	Kirkpatrick et al.[30]	1983	Motivated by the process of metallurgical annealing.
5.	Tabu Search	Glover[31]	1986	Used adaptive memory to escape local optima.
6.	Ant Colony Optimization	Dorigo[32]	1992	Ant foraging behavior was modeled to determine the best routes.
7.	Immune algorithm	Mori et al.[33]	1993	Based on the principles of biological immune systems.
8.	Reactive Search Optimization	Battiti and Brunato[34]	1994	Combined machine learning with metaheuristic optimization.
9.	Particle Swarm Optimization	Kennedy and Eberhart[35]	1995	Influenced by the social behavior of fish schools and flocks of birds.
10.	Differential Evolution	Storn and Price[36]	1997	Developed for continuous optimization with differential mutation.

Source: Authors, (2026).

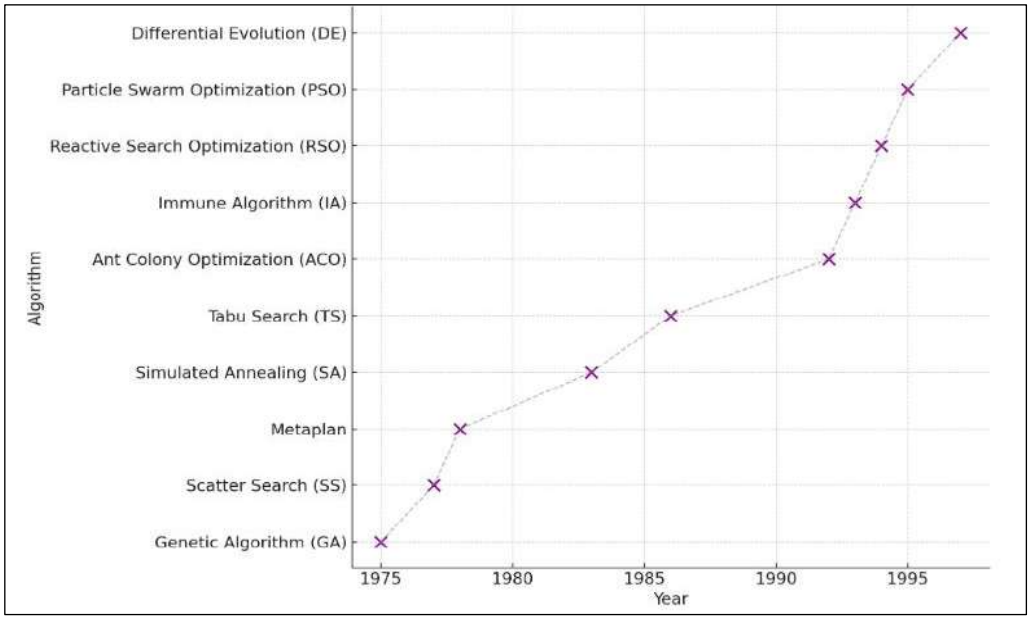


Figure 1: Graphical representation of meta-heuristic methods from 1975 to 1997.
Source: Authors, (2026).

Table 2: Methods of Meta-Heuristics from 2001 to 2009.

Sr. No	Algorithm	Proposed	Year	Description / Inspiration
1.	Harmony Search	Geem et al. [37]	2001	Mimics the improvisation process of musicians searching for harmony.
2.	Artificial Bee Colony Algorithm	Karaboga[38]	2005	Inspired by the foraging behavior of honey bees.
3.	Glowworm Swarm Optimization	Krishnanand and Ghose [39]	2005	Simulates glowworms' luminescent communication to locate optimal solutions.
4.	Honey bee Mating Optimization	Haddad et al.[40]	2006	Based on the mating behavior of honey bees.
5.	Shuffled frog leaping algorithm	Eusuff et al. [41]	2006	Models the memetic evolution of frogs in search of food.
6.	Imperialist Competitive Algorithm	Atashpaz-Gargari[42]	2007	Inspired by socio-political imperialistic competition.
7.	Intelligent Water Drops	Shah-Hosseini[43]	2007	Simulates the natural flow of rivers and water drops.
8.	River formation dynamics	Rabanal et al. [44]	2007	Models how rivers carve paths toward the sea through erosion and sedimentation.
9.	Firefly Algorithm	Yang[45]	2008	Inspired by the flashing behavior and attraction patterns of fireflies.
10.	Cuckoo Search	Yang and De[46]	2009	Based on the cuckoo species' brood parasitism behavior.

Source: Authors, (2026).

Glowworm Swarm Optimizationis a swarm intelligence technique used in cloud computing for work scheduling and resource allocation. is mostly used in cloud computing for scheduling tasks and allocating resources. Honey bee Mating Optimization: It optimizes the way jobs are distributed among virtual machines (VMs) and data centers using ideas derived from honey bee mating behavior in order to accomplish objectives such as lowering makespan, increasing resource usage, and improving load balancing.Shuffled frog leaping algorithm is used in cloud computing for complex optimization tasks like resource allocation, task scheduling, and energy management. Imperialist Competitive Algorithm is a meta-heuristic optimization technique used in cloud computing to address challenging issues like resource allocation and service composition.

It was motivated by historical imperialism and competition.Intelligent Water Drops A meta-heuristic optimization method inspired by the natural flow of water droplets is used to solve cloud computing problems such as workflow scheduling and virtual machine (VM) allocation. River formation dynamics is a metaheuristic for work scheduling and resource optimization that draws inspiration from nature. In order to determine the most effective routes for distributing cloud resources, including virtual machines (VMs), to user workloads (referred to as "cloudlets"), it analyzes how water creates riverbeds. Firefly Algorithm (FA) The Firefly Algorithm falls within the categories of meta-heuristic, swarm intelligence, and nature-inspired. It turns out that certain fireflies employ brilliant light activity to communicate, find partners, and warn predators of danger.

The firefly algorithm's objective function is linked to the flashing light characteristics of the firefly population. This aim may determine the proper distance function between any two fireflies since the optical principle of light intensity specifies that the distance between any two fireflies is about equal in the square of the area. Cuckoo Searchutilized in cloud computing to solve optimization issues such as intrusion detection, virtual machine (VM) consolidation, and resource scheduling. By seeing eggs as solutions and nests as possible solutions to a problem, it uses the natural behavior of cuckoos to identify the best answers. In dynamic, complicated contexts, cloud applications use computer science (CS) to increase security, lower power consumption, and improve quality of service (QoS).

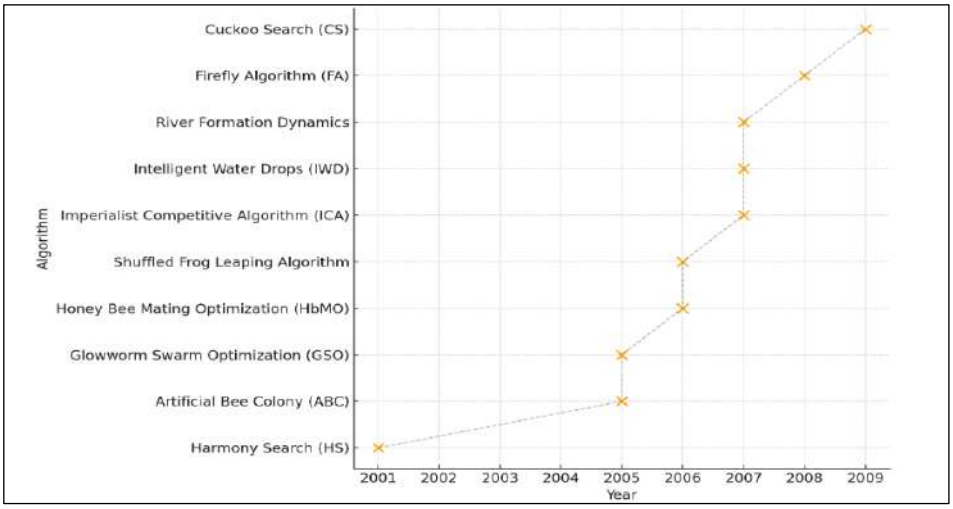


Figure 2: Graphical representation of meta-heuristic methods from 2001 to 2009.
Source: Authors, (2026).

IV. METHODS OF META-HEURISTICS FROM 2009 TO 2024

Gravitational Search Algorithm (GSA) fundamentally operates on the principles of gravity and the interaction of mass. The approach adopted by GSA is grounded in Newtonian physics, and its researchers comprise a diverse assembly of masses. Within GSA, an exclusive system for these masses is implemented. By leveraging gravity, each mass within the network can observe the conditions of other masses. GSA is very good at tackling nonlinear problems, and it has been used to allocate resources in cloud computing environments. In addition to providing resources for jobs with the lowest mean flow and span of time with load balancing other ways, the suggested method demonstrates that it receives about the same application reaction for resource allocation when compared to the GA and GSA without fuzzy improvements. Bat Algorithm is a metaheuristic optimization method that may be used to address complicated issues in cloud computing, particularly those related to work scheduling. In order to decrease processing time and maximize resource usage, the algorithm employs "virtual bats" to determine the most effective way to assign jobs to available resources. Spiral Optimization is a meta-heuristic algorithm that finds the optimal method to divide up scarce cloud resources among different jobs in order to improve performance or decrease cost.

Table 3: Methods of Meta-Heuristics from 2009 T0 2024.

Sr. No	Algorithm	Proposed	Year	Description / Inspiration
1.	Gravitational Search Algorithm	Rashedi et al. [47]	2009	Based on mass interactions between agents and the law of gravity.
2.	Bat Algorithm	Yang [48]	2010	Inspired by the echolocation behavior of bats.
3.	Spiral Optimization	Tamura and Yasuda [49]	2011	Models spiral movements for global and local search efficiency.
4.	Teaching Learning Based Optimization	Rao et al. [50]	2011	Simulates the effect of teaching and learning in a classroom.
5.	Krill Herd	Gandomi and Alavi [51]	2012	Influenced by the way krill individuals in seas crowd one another.
6.	Swallow Swarm Optimization	Neshat et al. [52]	2013	Based on the collective and dynamic flight behavior of swallows.
7.	Interior Search Algorithm	Gandom [53]	2014	Inspired by interior design and object placement strategies.
8.	Gradient Evolution Algorithm	Kuo and Zulvia [54]	2015	Combines gradient-based methods with evolutionary search.
9.	Water Wave Optimization	Zheng [55]	2015	Mimics the propagation, refraction, and breaking of water waves.
10.	Killer Whale Algorithm	Biyanto [56]	2016	Inspired by the social hunting behavior of killer whales.
11.	Rain Water Algorithm	Biyanto [57]	2017	Based on the collection and flow of rainwater in nature.
12.	Hydrological Cycle Algorithm	Zheng [58]	2018	Models the complete natural water cycle process.
13.	Emperor Penguins colony	Wedyan et al. [59]	2019	Simulates huddling and cooperation among emperor penguins.
14.	Aquila Optimizer	Harifi et al. [60]	2020	Inspired by the hunting and attacking strategies of eagles.
15.	Colony Predation Algorithm	Jiaze Tu et al. [61]	2021	Models group predation and cooperative hunting in animal colonies.
16.	Dwarf Mongoose Optimization	Agushaka et al. [62]	2022	Based on the cooperative hunting and social behavior of mongooses.
17.	Improved Chicken Swarm Optimization with Differential Evolution	Faramarz et al. [63]	2023	Hybrid strategy that combines Differential Evolution with Chicken Swarm Optimization for improved performance.
18.	Hybrid GWO-Salp Swarm	Krish Rustagi et al. [64]	2024	Merges Grey Wolf Optimizer with Salp Swarm Algorithm for better convergence and exploration.

Source: Authors, (2026)

Krill Herdis an optimization method with biological inspiration that is applied in cloud computing to issues including resource allocation, workload scheduling, and virtual machine (VM) deployment. In order to obtain the best answers, it mimics the herding behavior of krill, frequently seeking to enhance aspects like cost reduction, load balance, and energy efficiency. Swallow Swarm Optimization:can be used in cloud computing for tasks like scheduling, load balancing, and resource allocation, where its clever swarm behavior aids in the discovery of effective solutions.

Its special characteristicsexplorer, aimless, and leader particlesallow it to perform better than conventional techniques by accelerating convergence, avoiding local optima, and skillfully striking a balance between exploration and exploitation. Interior Search Algorithmis not a particular cloud computing technique, but rather a metaheuristic optimization algorithm influenced by interior design concepts. By improving the cloud environment, it is utilized in cloud computing research for tasks like resource assignment and energy-efficient virtual machine allocation. By identifying the best answers in expansive search spaces, which are typical in cloud computing, this method may resolve complicated, large-scale issues like load balancing and resource scheduling.

Gradient Evolution Algorithm (GEA)is a metaheuristic optimization technique that applies a gradient-based methodology to challenges such as neural architecture searches and difficult optimization issues. It is used in cloud computing to optimize multi-objective, complicated issues such as resource allocation and work scheduling. Water Wave Optimizationis a metaheuristic inspired by nature that is used in cloud computing to address difficult optimization problems like resource management and task scheduling. WWO finds the best answers in the search space by simulating the behavior of shallow water waves utilizing operators including propagation, refraction, and breaking. Killer Whale Algorithm is a cloud computing optimization method that uses natural inspiration to solve difficult problems including work scheduling, resource allocation, and load balancing.

In order to identify the optimum use of cloud resources, it mimics the cooperative hunting behavior of a killer whale pod, with a leader looking for the best answers and the members carrying out the "chase" or exploitation.Hydrological Cycle Algorithm is an optimization technique inspired by nature that applies the water cycle's concepts to cloud computing issues including load balancing and work scheduling. Solutions are represented by the algorithm as "water drops" that flow, evaporate, and condense according to their "fitness" or quality.Emperor Penguins colony refers to a series of bio-inspired metaheuristic optimization algorithms that use emperor penguin huddling behavior to address challenging cloud computing issues including resource scheduling and Quality of Service (QoS) management. Aquila Optimizer is a metaheuristic method that is used in cloud computing to handle complicated optimization issues, especially those involving task offloading and resource allocation.

It is a nature-inspired algorithm that effectively finds the best answers by imitating the Aquila bird's hunting style. Although the algorithm's use in cloud computing is still in its infancy, it has the potential to lower metrics like response time, execution time, and energy usage. Colony Predation The meta-heuristic optimization technique known as an algorithm is modeled after the cooperative hunting approach of social animals like wolves and lions. Complex optimization issues like load balancing, resource allocation, and job scheduling are resolved by cloud computing. Dwarf Mongoose Optimization (DMO)is use in this particular field is still in its infancy, it can be hosted on-premises or by a metaheuristic algorithm inspired by the foraging behavior of dwarf mongooses that can be applied to cloud computing challenges outside vendor It is used to optimize cloud resource allocation, task scheduling, and other complex problems by imitating the cooperative strategies of the animal.

Hybrid GWO-Salp Swarm is a metaheuristic method used in cloud computing to solve difficult optimization issues like resource allocation and job scheduling.By combining the advantages of both algorithms, GWO-SSA enhances performance and gets around the drawbacks of each one when applied separately. It is a nature-inspired algorithm that solves optimization issues by simulating wolves' hunting behavior. Its success in solving problems has led to its rise in popularity. Alpha, beta, delta, and omega are the four tiers of dominance that the wolves fall into. The omega wolf has the lowest place in the hierarchy, whereas the alfa wolf represents the leader. The search for the best answer is guided by the dominance level.GWO Steps: 1) The wolves move to encircle the prey by changing postures. By getting closer to the best answer, the wolf adjusts their locations. 2) The top three solutionsalfa, beta, and deltaact as leaders in prey hunting. When it comes to possible roles, they are the most knowledgeable.

Wolves enhance the general hunt for the answer by taking positions that are more advantageous to their leaders. 3) Prey attacking: In this phase, they focus their search on potential answers.There are several noteworthy and significant meta-heuristic algorithms in the field of resource management in cloud computing systems. Examples include Honey Bee Mating Optimization (HBMO), Ant Colony Optimization (ACO), Firefly Algorithm (FA), Artificial Bee Colony Algorithm (ABC), Glowworm Swarm Optimization (GSO), Cuckoo Search (CS), Genetic Algorithm (GA), Simulated Annealing (SA), and many more. Some of the most important metaheuristic techniques are included in the table. Cloud computing resource allocation uses meta-heuristic techniques like Teaching Learning Based Optimization (TLBO), Artificial Bee Colony (ABC), Harmony Search (HS), Ant Colony Optimization (ACO), Gravitational Search Algorithm (GSA), Cuckoo Search (CS) Algorithm, Firefly Algorithm (FA), Genetic Algorithm (GA), Shuffled Frog Leaping Algorithm (SFLA), and Particle Swarm Optimization (PSO). The section that follows discusses them.

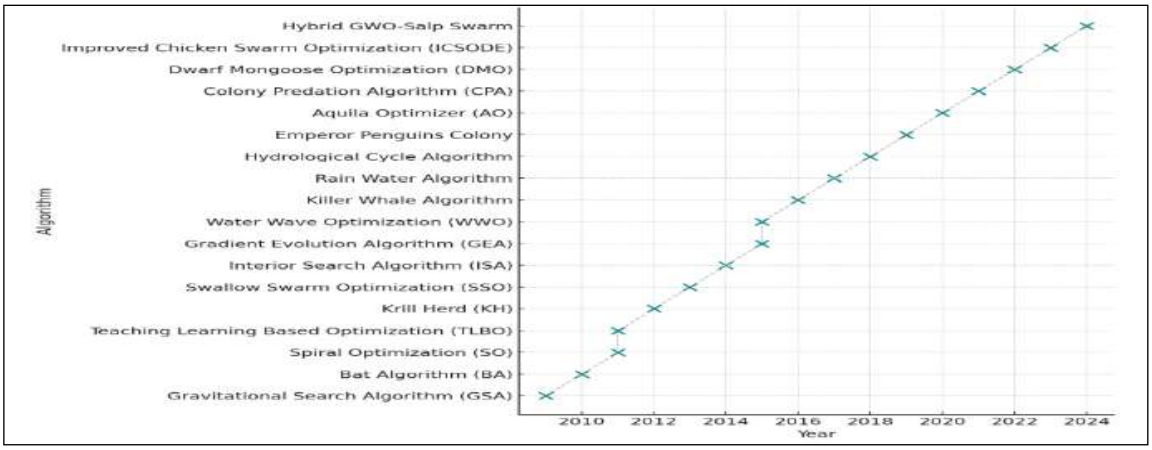


Figure 3: Graphical representation of meta-heuristic methods from 2009 to 2024.
Source: Authors, (2026).

V.CONCLUSION

These days, cloud computing is the most popular topic among IT firms worldwide. Businesses that employ cloud computing for the implementation and scalability of IT for business processes stand to gain a great deal from it. Cloud computing services are being adopted by an increasing number of businesses, including zoological organizations and accounting firms. This paper examined a few meta-heuristic algorithms for cloud resource allocation. These evaluations look at a variety of methods to make meta-heuristics more successful. Nonetheless, the meta-heuristic algorithms under consideration are adept at attaining much better performance, lower costs, shorter turnaround times, better resource utilization, and increased energy efficiency when allocating resources on the cloud. Future resource allocation in the cloud may make use of other meta-heuristic techniques not included in this study.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Sonia Sharma, Nipun Chhabra.
Methodology: Sonia Sharma, Nipun Chhabra.
Investigation: Sonia Sharma, Nipun Chhabra.
Discussion of results: Sonia Sharma, Nipun Chhabra.
Writing – Original Draft: Sonia Sharma.
Writing – Review and Editing: Sonia Sharma and Nipun Chhabra.
Resources: Sonia Sharma.
Supervision: Nipun Chhabra.
Approval of the final text: Sonia Sharma and Nipun Chhabra.

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ENHANCED DETECTION OF STUDENT DEPRESSION USING AN OPTIMIZED MACHINE LEARNING MODEL

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ABSTRACT

Depression is an increasing concern among students adversely affecting academic performance and mental well-being. Early prediction is important for timely intervention. This paper aims to classify students into "Depressed" or "Not Depressed" categories utilizing the Depression Student Dataset. A comparative analysis of several traditional machine learning (ML) approaches, counting Gradient Boosting (GB), Support Vector Machine (SVM), Logistic Regression (LR), Random Forest (RF), XGBoost, LightGBM, AdaBoost (AB), Naïve Bayes (NB), and Decision Tree (DT) was performed to evaluate their predictive abilities. To enhance accuracy of prediction, this paper proposed an optimized LR model fine-tuned utilizing GridSearchCV. The optimized model shows superior performance with an accuracy rate of 98%, outstanding all other algorithms in this study. The findings highlight the efficiency of model tuning in improving depression classification results. This research proposed a robust framework for used ML to classify depression among students, contributing to early prediction and support strategies.

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I. INTRODUCTION

Depression is a mental illness that can devastate mental stability, interfere with day-to-day functioning, and in certain situations, worsen into psychological trauma [1]. When psychological stress, anxiety, or depression is present, the human body issues a variation of chemicals, which causes a shift in nonverbal body language. These psychological conditions can be broadly categorized as depression, anxiety, or psychological stress, with anxiety being the initial stage and the most gradual [2]. Depression is the greatest severe phase of the psychological state, which may have a long-term detrimental effect on the individual's biological and cognitive health. It can arise from minor issues in daily routine. Stress is the second phase of the cognitive state, where the psychological state is concentrated due to the ongoing impact of anxiety [3]. Depression is a long-term disorder or disease mourned by most individuals. It is one of the most extraordinarily undertreated and underdiagnosed states of cognitive illness. It has stood to be a significant problem in the health, social, and economic sectors. It has also been a significant mortality problem and is slowly growing above the levels as the most significant disorder with zero to no treatment.

It is constantly connected to other underlying cognitive diseases and can induce the patient to trigger other latent cognitive diseases [4]. Due to the individual complexities and challenges of a studious life, Students are more likely to suffer from psychological anguish, which makes their cognitive health a significant global issue. Depression, which is a prevailing cognitive health condition among students, particularly degrades their social relations, educational attainments, and general well-being. It is essential to promptly and adequately identify these conditions to deliver timely intervention and assets. Approximately more than 260 million individuals universally suffer from depression disorder. Studies have shown that the prevalence of depression in students is higher than in the universal population with a range of 15% to 86% [5]. Determining whether someone is depressed can be done in a number of ways. The prediction of student depression has been done using traditional statistical approaches (TS).

Regression analysis has been employed in certain studies to observe the predictive value of a number of traits, counting social support, early life events, life events, parenting style, and stressful life events. Relationship studies have shown the significance of the association among traits like sadness, subjective social status, parenting style, social exclusion, and dark personality via calculating correlation coefficients. The organizational equation model enables a thorough examination of the difficult relations among a number of predicted traits counting psychological resilience, early trauma, coping mechanisms, perceived social support, gratitude, and parent-child attachment. This method helps students understand the indirect and direct ways of influencing depression.

There are some problems with employing TS approaches to forecast depression among students. First, TS approaches might not fully represent the complexity of depression because they presume linearity and independence among predicting factors. Furthermore, the number of forecasters must be in line with the taster size for conventional multivariate regression techniques. Thus, it is impossible to adequately assess the data and make use of any predictive features with this approach [6]. Also, obtaining a straightforward examination and consultation by a psychiatrist is the most reliable procedure, yet it is expensive and takes a long time. Multifarious self-administered psychometric tests for estimating depression are also commonly available.

Nevertheless, these tests are typically lengthy. The enormous number of questions prevents the taker from answering them with detailed answers, which can lead to incorrect estimation outcomes. The major disadvantage of these approaches is that the individual acknowledges that she or he is being experimented on for depression. This may induce damaging feelings in the issue and cause assessment refusal [7], [8]. To solve the problems found in traditional methods, we employ Artificial Intelligence (AI), including ML techniques, which have delivered developed analysis techniques for designing a depression prediction approaches. ML aims to develop approaches that can train to comprehend complicated patterns.

This advantage is useful in finding solutions to new problems, given past data and solution. Strategies are trained via ML and obtain regular-states and well-organized results. The promise of using ML methods in healthcare has shown to be feasible and remarkable due to their capacity to learn from huge amounts of heterogeneous data types and provide a valuable clinical insight. ML-based methods enable mental health practitioners to make prediction decisions and provide an effective understanding of cognitive problems. Through the development of insights from amorphous medical data, ML techniques aid in healthcare diagnosis and prediction. Patients with high-risk medical conditions can be identified and treated early thanks to the prediction results.

In order to help medical practitioners, anticipate the prognosis of depressive illnesses and support effective treatment outcomes, ML techniques enable arbitration among various behavioral features. Complex health data can be interpreted and visualized using these techniques. An influential theory on the prediction of depressive disorders can be developed thanks to visualization. The intricacy of depression is not adequately captured by the conventional clinical case identification approach. The design of the manifestation associated with depression disorder can efficiently be anticipated and detected by employing ML techniques. Consequently, the ML-based prediction approach is an efficient alternative for depression predictive investigation [9].

In this study, we proposed a hybrid method for predicting depressive illness. Gradient descent (GD) and LR were coupled to enhance the efficacy and performance of student depression prediction. To enhance the evaluation methods of cognitive health in pedagogical settings, this research will investigate how well measurement instruments using that hybrid model capture depressive illnesses. This effort to bridge the gap between advanced data driven procedures and traditional psychometric screening methods is considered in this study. It will also enhance students' overall mental well-being and the early identification of any cognitive health problems. The main contributions of our analysis are:

This study successfully reveals the pattern and rate of depressive illness in different student groups. In addition, a new scale for identifying student depression was developed. Hybrid ML models can better detect and screen for depressive illnesses in students. This is essential to implement timely and effective intervention, and to reduce the long-term deleterious effects of the disorders. Through the use of advanced data mining and psychological testing mechanisms, this research contributes to the academic literature. It creates as well a baseline for future research in the field of technology and cognitive care.

II. RELATED WORK

Recently researchers have presented studies on predicting student depression utilizing several ML techniques. The performance varied greatly depending on the technique and data utilized. In this section, we will present some of these studies. By [10] used ML models to forecast the risk characteristics associated with students' depression. The analysis instance consisted of 3984 students aged 15-10 years. The dataset was analyzed employing ML to forecast the risk characteristics associated with student cognitive health symptoms. The proposed utilized five ML techniques: ANN, RF, SVM, DT, and NB for prediction. The results demonstrated that the SVM technique had the highest accuracy of 92.5%.

According to [11] proposed a practical approach to predict student depression depending on ML techniques. Multiple ML techniques are employed, such as LR, RF, SVM, LDA, KNN, and NB. Based on performance analysis, the experimental outcomes reported that the RF model surpassed other techniques for the depression forecast by 89%. In turn [8] investigated models to forecast students' depression and reveal essential individual and family features. This investigation indicated individuals at threat of depression and recognized influential individual and family features in around 170 of data of families involved. The forecast accuracy of three ML techniques, SVM, Sparse Logistic Regression (SLR), and RF, were compared. The RF technique demonstrated the best accuracy of 86.27%.

By [12] proposed an effective study to forecast the student depression of an individual based on text input. The proposed model applied ML models, including LR, DT, RF, NN, KNN and a Hybrid Stacking (HS) model. The hybrid model utilized LDA as a feature selection process and integrated five ML classifiers. After comparing the performance of all ML approaches and the HS method. The HS model is achieving a better accuracy of 97%. According to. [6] proposed multiple ML models, such as KNN, LR, Non-linear SVM (N-SVM), and RF, to forecast differences in depression among students. The proposed approach utilized a dataset of 5,534 students and estimated personality characteristics. The results showed high performance in the forecast task, with the N-SVM achieving 95% accuracy.

In turn [13] proposed intelligent approaches for student depression prediction based on ML techniques. Three approaches were utilized to predict and categorize student depression in a dataset of 787 students via a number of phases, counting pre-processing, testing, and training. LR, KNN, and DT are the ML approaches applied in this work. With an accuracy rate of 77%, the results show the LR approach performed the best in terms of prediction. The study also revealed that male students are twice as likely to be obese compared to female students, that two out of five students suffer from mild depression, that 90% of students with depression do not seek treatment, and that male students generally have a higher BMI than their female counterparts.

By [14] proposed effective method to predict student depression utilizing multiple ML techniques including SVM, KNN, LR, DT, and NB. DASS21 was utilized to acquire data from 400 students. Various analysis matrices, like accuracy, precision, F1-score, and specificity were employed to compare the techniques. The finding results showed the KNN performed best, followed by LR. In turn [15] Utilized ML techniques to develop a student depression predictive approach. Multiple ML methods were applied in this proposed approach, including XGBoost, RF, DT, and LR, to detect persons who are more likely to have diagnosable depression. The collected dataset contained around 60,000 students and was partitioned into a 10:90 ratio for testing and training.

The proposed approach utilized cross-validation to improve model performance and investigated multiple evaluation measures such as Area Under Curve (AUC), sensitivity, and accuracy. Results indicated discriminative solid power in XGBoost, LR, and RF accuracy of 70%. According to [5] proposed an efficient approach for predicting student depression. The proposed approach uses a combination of ML algorithms with the General Health Questionnaire-12 (GHQ-12), a widely used tool for measuring psychological distress. First, with the help of a skilled psychiatrist, a full survey has been created for influential depression screening.

The questionnaire contains GHQ-12, job, sociodemographic, and career-related questions. Then, 16 various ML techniques were applied to investigate the dataset and determine predictors and trends of student depression in this demographic, including LR, NB, SVM, DT, Extremely Randomized Tree (ERT), RF, XGB, LGBM, CatBoost, KNN, GBM, AdaBoost, LDA, SGD, QDA, and ANN. Among the ML techniques, ERT has reached the highest accuracy of 90.26%.

III. RESEARCH METHOD

The research methodology of this work focuses on utilizing ML algorithms to classify students as either "Depressed" or "Not Depressed" based on the Depression Student Dataset. The objective is to evaluate how well these models predict depression. The workflow is shown in Figure 1, showing a step-by-step approach that contains dataset details, preprocessing steps, models, and evaluation metrics.

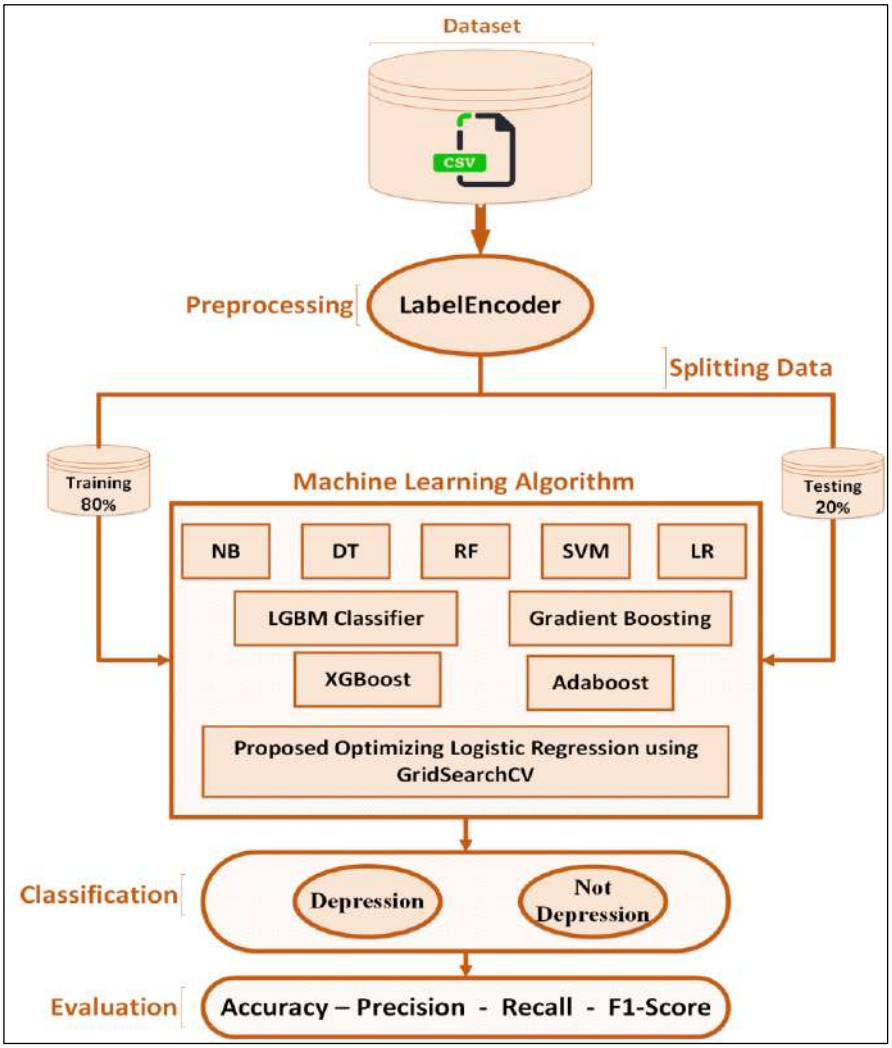


Figure 1: Workflow of the proposed depression detection model.
Source: Authors, (2026).

III.1 DATASET DETAILS

The Depression Student Dataset finds the connection between mental health and various other factors such as personal, academic, and lifestyle. Key attribution includes gender, age, financial stress, food practice, study hour, sleeping hours and academic pressure, satisfaction of study family history of psychiatric illness and symptoms of depression and suicidal thoughts. The dataset is also used for understanding the effects of factors such as sleep quality, diet and academic workload on mental well-being; applications include risk assessment for mental health, prevention strategies on various student populations. The dataset includes 502 samples with several attributes. The dataset of this study obtained from Kaggle that is available on the following link "Depression Student Dataset".

III.2 PREPROCESSING

Data preprocessing is an important step before applying ML algorithms, as it guarantees that the dataset is in a format that can be used to train models. The preprocessing methods used in this work are as follows:

III.2.1 Label Encoder

It was applied to convert non-numerical labels (such as "Male", "Female") into numerical values [16]. This is important for ML models that require numerical input. The encoding process ensures that individually unique label in a categorical feature is transformed into a corresponding numeric representation.

III.2.2 Splitting Dataset

The dataset was divided into training and testing parts, with 80% of the data utilized to training models and 20% for model performance testing.

III.3 MACHINE LEARNING ALGORITHMS

In this work various ML algorithms were chosen to evaluate performance in predicting depression. These models vary in their approach to classification, and their performance will be compared utilizing evaluation metrics. The following algorithms are utilized in this study:

III.3.1 Logistic Regression

LR is a ML algorithm utilized for binary classification problems, where the result variable has two possible classes, such as Depressed or Not Depressed. Modeling the likelihood that a given input point belongs to a specific class is the fundamental concept of LR [17], [18]. LR uses a logistic function (also known as the sigmoid function) to predict probabilities that are mapped between 0 and 1, as opposed to LR, which predicts continuous values. It is hence appropriate for categorization jobs.

LR determines the input features' weighted sum as shown in Equation (1):

$$z = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \cdots + \beta_n X_n \tag{1}$$

X are the input features, β are the weights, or coefficients, that the model learns throughout training.

The sigmoid function is utilized to transform the weighted sum Z's output into a probability as shown in Equation (2):

$$p = \frac{1}{1+e^{-z}} \tag{2}$$

The expected likelihood that the instance belongs to the positive class is represented by the result p.

III.3.2 Support Vector Machine

SVM is a supervised ML method that performs exceptionally well in classification tasks and it may also utilized for regression problems, [19]. Finding a hyperplane that best divides data points from several classes while optimizing the margin among them is the key objective of SVM [20]. The distance among the closest data points from individually class, also referred to as support vectors, and the hyperplane is known as this margin. The greater the margin, the more effectively the model can generalize to new data, hence minimizing overfitting [21].

When data is not linearly separable, SVM employs a technique known as the kernel trick. Even if the data is non-linearly separable in its original form, this method allows for the discovery of a linear decision boundary via transforming it into a higher-dimensional feature space. Because of this, SVM is very good at handling complicated and non-linear data. SVM does, however, face several difficulties. It can be computationally costly, particularly when using sophisticated kernel functions or huge datasets.

III.3.3 Random Forest

One popular ensemble ML technique for the regression and classification tasks is RF. With the help of bagging (Bootstrap Aggregating) it constructs a "forest" of DTs, each fitted with some part of the data. By averaging (for regression) or majority voting (for classification) the predictions of the ensemble trees, we obtain the final prediction. RF decrease overfitting because of the randomness on both data subsets and feature selection by enhancing model generalization [22]. It supports missing values, does not need feature scaling, and presents you with feature importances. In contrast, although RF achieves high accuracy and is fairly robust, it sometimes encounters excessive computation time and prediction becomes slow with many trees or large datasets. Despite these limitations, RF is still widely used as it is a versatile, easy to use ML technique that performs well in a variety of tasks.

III.3.4 Gradient Boosting

GB is an ensemble ML technique utilized for classification and regression tasks. Models are created one after the other, with separately new model fixing the mistakes of the ones that came before it [23]. In order to generate a powerful prediction model, it integrates weak learners, usually DT. GB uses gradient decent to train trees to reduce residual errors from the prior model, in contrast to RF which creates trees independently. Based on the gradient of the error function, this procedure iteratively modifies the model. Although GB excels at handling complicated datasets and yields high accuracy, its computational cost and hyperparameter sensitivity necessitate careful adjustment for best results.

III.3.5 Extreme Gradient Boosting

XGBoost, the gradient boosting version for regression and classification problems [24], is a refined and scalable implementation of GB. It is an extended version of classic GB by improving speed, accuracy and trying to avoid overfitting. Similar to other methods such as AdaBoost, XGBoost works in a consecutive manner and each tree that we build tries to correct the errors made by the previous trees. It adopts DT as the base learners, and focuses on minimizing a loss function by using a greedy procedure. XGBoost stands out for regularization (L1 and L2) to avoid overfitting, which makes it noisy and effective. It also includes tree pruning, column and row subsampling for improved generalization, and parallelization to speed up computation. Moreover, XGBoost has hyperparameters such as tree depth, learning rate and the number of trees to fit performance that have made it in favor of many ML competitions and industrial application.

III.3.6 Light Gradient Boosting Machine

LightGBM is efficient and scalable GB framework developed via Microsoft, designed for fast training and handling large data sets [25]. It is particularly favored for classification tasks due to its speed, accuracy, and low memory consumption. Like other GB methods, LightGBM builds an ensemble of DT sequentially, individually tree fixing the mistakes of the one before it. What sets LightGBM apart is its use of histogram-based learning, where feature values are grouped into discrete bins instead of evaluating all possible split points, which reduces computation time and memory usage, making it highly efficient for large datasets.

III.3.7 Decision Tree

For classification and regression tasks, its powerful supervised ML approach, DT is applied. Each node in the internal nodes of the tree image stands for an attribute, each branch represents a decision rule, and each leaf node corresponds to an outcome. This tree-like structure is formed by repeatedly splitting the data based on feature values [26]. To maximise class separation, or to minimize the error in prediction along all splits (not just at leaf nodes), the "best" split points are determined using Gini impurity, Entropy (for classification), or Mean Squared Error (for regression). Simple Make: (a) Decision trees have the risk of overfitting and deep decision trees in our setting are often DTs, although they are intuitive to comprehend and visualize. Ensemble/Bagging techniques like RF, GB or pruning can mitigate it. It -- and also like OVR which more we will discuss later -- tend to over-fit, but is flexible for both numerical as well categorical input.

III.3.8 Naive Bayes

NB is efficient probabilistic classifier that is frequently utilized for classification tasks, especially in text classification applications like sentiment analysis and spam detection. It allocates the class with the highest posterior probability after estimating the likelihood of class labels given a collection of features [27]. NB is regarded as "naive" as, given the class title, it presumes that the properties are unrelated to one another, which is often unrealistic but still works well in many situations, especially when feature independence is approximately true. Despite this assumption, NB can perform surprisingly well in practice, particularly in large datasets. Variants of NB, such as Multinomial NB for discrete data and Gaussian NB for continuous data, are utilized based on the type of data. Although its simplicity and assumptions may limit its performance in more complex datasets, NB remains a fast, scalable, and robust algorithm, widely utilized for text classification, spam filtering, medical diagnostics, and recommendation systems.

III.3.9 Adaptive Boosting

AB is a classification ensemble learning strategy that builds a strong classifier via combination some weak classifiers [28]. It trains a sequence of weak models, frequently decision stumps, with each model concentrating on fixing the mistakes of the one before it. After each model is trained, the weights of the misclassified instances are raised, giving harder cases more weight than the initial equal weights assigned to all training examples. The overall prediction is then obtained by combining the output of all weak classifiers and stronger classifiers contribute more to a more accurate final classifier.

AB improves the accuracy and mitigates over-fitting over individual classifiers, however AB can be sensitive to noisy data points and outliers because more weight is given to misclassified examples, which could magnify the noise from the mislabeled cases. Nevertheless, AB is a popular method because it is simple and does work well at boosting the performance of weak classifiers.

III.4 PROPOSED OPTIMIZING LOGISTIC REGRESSION USING GRIDSEARCHCV

This paper proposed an optimized LR model utilizing GridSearchCV, a technique that finds the ideal hyperparameters for the model via doing an exhaustive search throughout a given parameter grid. By methodically experimenting with different hyperparameter combinations, this methodology enhances the model's performance. For the LR model, we focus on tuning key parameters such as C (regularization strength), solver (optimization algorithm), and penalty (regularization technique). The parameter grid includes values for C ranging from 0.01 to 100, solvers 'liblinear' and 'lbfgs', and the 'l2' penalty.

The grid search is performed with 5-fold cross-validation to ensure robust evaluation of the model, with the goal of maximizing accuracy in classifying students as "Depressed" or "Not Depressed." The search is conducted by fitting the model with the training data and evaluating all parameter combinations, with the best hyperparameters selected based on their performance. After completing the grid search, the optimal hyperparameters are retrieved utilizing grid.best_params_, which fine-tunes the LR model for improved predictive performance.

III.5 EVALUATION METRICS

The performance of each ML model will be evaluated utilizing the following metrics [20]:

- Accuracy: The ratio of accurate forecasts (including true positives and true negatives) to all occurrences, which can be calculated by Equation (3).

$$\text{Accuracy} = \frac{\text{TP} + \text{TN}}{\text{TN} + \text{FN} + \text{TP} + \text{FP}} \tag{3}$$

- Precision: shows how many of the anticipated depressed students were actually depressed is indicated via the ratio of genuine positive predictions to all predicted positives, which can be calculated by Equation (4).

$$\text{precision} = \frac{\text{TP}}{\text{FP} + \text{TP}} \tag{4}$$

- Recall: The ratio of actual positives to true positive forecasts, which indicates the number of students who were accurately diagnosed as truly depressed, which can be calculated by Equation (5).

$$\text{Recall} = \frac{\text{TP}}{\text{FN} + \text{TP}} \tag{5}$$

- F1 Score: A balanced indicator of a model's capacity to accurately categorize both positive and negative cases is the harmonic mean of precision and recall, which can be calculated by Equation (6).

$$F - measure = \frac{2 \times (Recall * Precision)}{Recall + Precision} \tag{6}$$

These evaluation metrics will be calculated for each model to assess which ML algorithm provides the best predictive performance for identifying depression in students.

IV. RESULTS AND DISCUSSIONS

In this study many ML models were evaluated for their ability to classify depression in students, with the performance measured by accuracy as shown in Figure 2. The results of proposed model are summarized in Table 1. Our proposed method was the most accurate among the models compared, indicating the highest capability to detect depression among students. LR (97%), SVM (97%), and NB (97%) followed closely with strong results, demonstrating that simpler models can still perform very well in this classification task.

On the other hand, DT Classifier was very weak with accuracy of 81%, it indicates that the model tend to overfit, especially with depression data set is complex. As RF, GB, XGBoost and AB all reached 94%, but did not perform much better than the simpler models in this case. The better performance of proposed methods indicates that the applied algorithm – probably a specific combination of best features and hyperparameters – can extract the complex structure of dataset better than the rest. The results indicate that although traditional classifiers can achieve good accuracy, advanced models such as the proposed one would deliver a substantial advantage in performance, and be an effective method to address this category of classification challenge.

Table 1: Comparative Performance of Various ML Models and the Proposed Model.

Model	Precision	Recall	F1-score	Accuracy
LR	97%	97%	97%	97%
SVM	97%	97%	97%	97%
RF	95%	94%	94%	94%
GB	94%	94%	94%	94%
Xgboost	94%	94%	94%	94%
LGBM Classifier	96%	96%	96%	96%
DT	81%	81%	81%	81%
NB	97%	97%	97%	97%
Ada Boost	95%	94%	94%	94%
Proposed	98%	98%	98%	98%

Source: Authors, (2026).

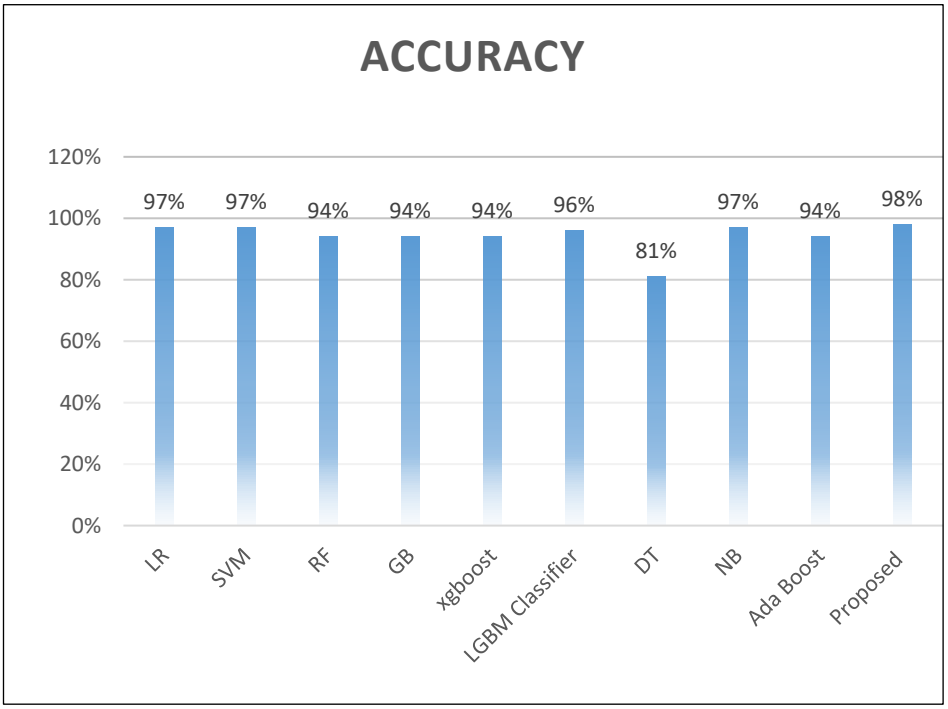


Figure 2: Model accuracy comparison.
Source: Authors, (2026).

The results obtained from different ML approaches for the prediction of the target variable are summarized in Table 2. The models of the state-of-the-art studies compared with optimized LR utilizing GridSearchCV, which is the proposed model in this study. The previous studies employed a range of algorithms, and the results varied significantly among models. For example, Qasrawi et al. [10] utilized multiple algorithms, counting DT, RF, ANN, and NB, and achieved a high accuracy of 92.6% utilizing SVM. While, Nayan et al. [11] explored a variety of models like LR, RF, LDA, KNN, and NB, with SVM once again yielding the highest accuracy at 91.49%. These results reinforce the strength of SVM in this context, as it outperforms many other traditional classifiers. Gil et al. [8] found that RF achieved the highest accuracy (86.27%) in their study, while Rahman et al. [12] was got an high 97% accuracy utilizing a hybrid stacking model. This hybrid model, which combined multiple algorithms, clearly benefited from the synergistic effect of the different classifiers. The hybrid approach suggests that stacking can lead to superior performance by leveraging the complementary strengths of various models, especially when no single model dominates across all metrics. While Hu et al. [6] utilized multiple models that counting RF and K-NN, but found that N-SVM (a variant of SVM) achieved the highest accuracy of 95.2%.

Villanueva et al. [13] utilized KNN and DT, but their RF model produced the high accuracy, although lower than many of the other models (77%), demonstrating that RF may not always perform optimally across all datasets. Zhai et al. [14] experimented with a combination of models, including DT, XGBoost, LR, and RF, but found that all models achieved an accuracy of only 70%. This suggests that while these models can be useful, further tuning or a different feature set might be necessary to improve performance. Mumenin et al [5] tested a broad range of algorithms, including LR, NB, SVM, DT, and ensemble methods like ERT, RF, XGB, LGBM, and KNN, with ERT (Extremely Randomized Trees) yielding the highest accuracy of 90.26%. This broad comparison underscores the complexity and variability of model performance, as different datasets may favor different algorithms. The proposed model of this work via LR through GridSearchCV achieved a high accuracy of 98%. This result is important because LR, although a simpler model compared to others like RF or Hybrid Stacking, shows competitive performance once hyperparameters were tuned utilizing GridSearchCV. The accuracy of 98% is very close to the best results stated in the literature. This suggests that with careful optimization, even simpler models can perform at the level of more complex algorithms.

Table 2. A comparison of the proposed model with state-of-the-art studies.

Reference	Year	Techniques	Accuracy %
Qasrawi et al. [10]	2022	DT	88.5
		SVM	92.6
		RF	92.4
		ANN	91.9
		NB	87.1
Nayan et al. [11]	2022	LR	78.07
		RF	91.3
		SVM	91.49
		LDA	79.58
		KNN	91.3
		NB	73.53
Gil et al. [8]	2022	SLR	78.43
		SVM	80.39
		RF	86.27
Rahman et al. [12]	2023	LR	85
		DT	92
		RF	96
		NN	96
		KNN	96
		hybrid stacking model	97
Hu et al. [6]	2024	N-SVM	95.2
		RF	90.4
		K-NN	92.26
Villanueva et al. [13]	2024	RF	77
		KNN	70
		DT	62
Zhai et al. [14]	2024	XGBoost	70
		LR	70
		DT	66
		RF	70
Mumenin et al. [5]	2024	LR	77.95
		NB	75.38
		SVM	86.15
		DT	71.28
		ERT	90.26
		RF	86.15
		XGB	84.10
		LGBM	84.62
		CB	82.56
		KNN	74.87
		GBM	84.10
		AB	80
		QDA	81.54
		LDA	84.62
		SGD	83.59
		ANN	86.15
Proposed model	2025	Proposed Optimizing LR using GridSearchCV	98

Source: Authors, (2026).

This study Proposed Optimizing LR Model shows high performance, outperforming many traditional ML techniques and even hybrid models, further proving the importance of optimization in improving predictive accuracy in depression classification tasks.

V. CONCLUSIONS

This work proposed optimized LR models and GridSearchCV for hyperparameter tuning classification problem. Very excellent accuracy of 98% has been achieved in the proposed approach and this is highly competitive compared with other state-of-the-arts ML techniques often employed for these monitoring tasks. This finding indicates that, with the right optimization, even those simpler models such as LR may achieve better performance than more-complicated methods including accuracy, interpretability and computational efficiency. The results indicate that well-calibrated traditional models such as LR can be just as effective as more complex approaches, providing a practical and resource-efficient solution. For future work, other feature selection techniques may be examined so that they can apply or ensemble the LR model and could improve the accuracy.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Saad Adnan Abed, Mohammed Salah Ibrahim, Omar Hammad Jasim, Ahmed Adil Nafea.
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EXPERIMENTAL INVESTIGATION OF ORIENTATION-DEPENDENT TENSILE BEHAVIOUR IN FDM-PRINTED ABS AND CF-ABS COMPONENTS

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ABSTRACT

Fused Deposition Modeling is the standard commonly adopted for polymer due to its wide applications however, the mechanical properties achieved by FDM-fabricated components remain insufficient for many mechanical applications. The objective of this studywas to examine the outcome of build orientation on the tensile behaviour of FDM-printed ABS and CF-ABS specimens. ABS and CF-ABS were printed in the X, Y, and Z directions. X-oriented CF-ABS printed samples exhibited the highest ultimate tensile strength (28.90 MPa) with a Young's modulus of 2296.65 MPa; whereas, significantly weaker Z-oriented showed much lower strength than other samples because of weak interlayer bonding generally presented in all Z-oriented sample. Although CF-ABS becomes stiffer and stronger in the X and Y directions, the ductility stood exactly opposite since elongation dropped from 1.06% of ABS to 0.67% of CF-ABS. Taguchi-based DOE revealed that material type and build orientation were the most significant parameters influencing tensile performance. Overall, CF-ABS improved tensile property in certain directions for an optimal condition and provides orientation-based design guidance for to optimize FDM process parameters. The novelty of this study lies in the direct experimental comparison of orientation-dependent tensile behavior between ABS and CF-ABS using a Taguchi-based DOE framework under identical processing conditions.

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I. INTRODUCTION

Additive Manufacturing (AM) has changed current manufacturing capabilities by enabling the manufacture of complex structures, reduction in material wastage and delivering immense possibilities for rapid prototyping. Unlike conventional subtractive processes, where material is removed from a workpiece of a material, additive manufacturing builds components layer-by-layer based on digital CAD models and leads to great design freedom and high material utilization. Over the past three decades, AM technologies have evolved from rapid prototyping tools to functional manufacturing processes to effective processes for producing functional end-use parts across industries including aerospace, automotive, and bio-medical and consumer electronics [1]. Among the numerous processes of additive manufacturing, Fused Deposition Modeling (FDM)/ Fused Filament Fabrication (FFF) is one of the most prevalent methods.

This is mainly due to its low-cost, high availability, and ability to process multiple types of thermoplastics. FDM operates by extruding a heated filament over a nozzle and placing it along one layer at a time over the predetermined pathway to create an object. On account of its ease of use and cost effectiveness, FDM has become a preferred choice for industrial applications requiring low-volume manufacturing and customized parts [2]. Despite the aforementioned advantages, FDM-printed parts exhibit certain mechanical limitations, particularly strong anisotropy in their material properties associated with layer-by-layer deposition. These limitations manifest as poor interlayer bonding, significant porosity and anisotropic mechanical response, which limit extensive application of FDM in

structural applications [3]. To overcome these challenges, process parameters such as layer thickness, raster angle, build orientation and reinforcement methods play major roles [4], all influencing final mechanical properties of printed parts significantly.

From basic polymer printing, FDM has evolved to include fiber-reinforced composites that bring about major improvement in the mechanical attributes. Reinforcements such as carbon fiber (CF), glass fiber (GF), and kevlar combined with thermoplastic matrices like acrylonitrile butadiene styrene (ABS) and polylactic acid (PLA) have been demonstrated to possess significantly improved stiffness, strength, and thermal resistant properties [5], [6]. Of these materials, Carbon Fiber-Reinforced ABS (CF-ABS) has been of particular interest due to its balanced mechanical attributes, ease of manufacturing and reduced warping when compared to pure ABS. CF-ABS consists of short carbon fibers in an ABS material; the result is a stiff and rigid material with increased tensile and flexural strength, but at the similar time lightweight. The addition of carbon fibers helps with load sharing efficiency and reduces heat expansion, making CF-ABS as a suitable candidate for high performance items which include aerospace components, automotive parts, and industrial tooling [7], [8].

Though, the mechanical concert of CF-ABS parts strongly depends on processing settings (mainly building orientation and fiber alignment), which affect interfacial adhesion and stress distribution in printed material [9]. Despite of CF-ABS having superior mechanical properties with respect to unfilled ABS, some challenges should be addressed for unlocking its potential in FDM applications. The main experiment lies in the anisotropic things of FDM-printed composites, wherein the properties of the fusions vary with the direction of printed deposits. Consider rephrasing to avoid repetition of FDM, parts have poorer adhesion in the Z-direction than in-plane properties (X- and Y-directions). This leads to less tensile strength and flexural strength, which makes Z prints vulnerable to delamination or breaking under pressure [10], [11].

Other considerations include the orientation and dispersion of fibers in the polymer matrix. The fiber orientation control in traditional composite fabrication processes such as injection molding or filament winding is not aligned, FDM-printed composites often suffer from random or non-uniform fiber orientations. This affects the stress allocation in-between polymer matrix and fibers of reinforcement, causing differences in mechanical property at different angles [12], [13]. Additionally, presence of voids and porosities related to insufficient melting between layers reduces the mechanical properties; thus, it is necessary to tune process parameters for enhanced interlayer bonding and reduced defects [14], [15]. Among influencing factors, build orientation is one of the supreme perilous limits affecting mechanical attributes to of FDM 3D in print parts. It governs the layer stack and how the layers bond, therefore determining strength, stiffness, and failure mechanisms.

Standard build orientations in FDM include the following: X-Orientation (Flat Build) in which the printing layers are parallel to the principal loading plane and as a result, improved layer-to-layer adhesion would be achieved at expense of out-of-plane strength. This orientation is suitable for tensile applications where higher elongation and formability are required [16-18]. Y-Orientation (Edge Build): Balances layer bond and in-plane strength, often providing the top tensile and flex assets. This is due to improved fiber orientation and stress transfer in the composite matrix [19-21]. Z-Axis (Vertical Build): This orientation is mechanically the weakest due to poor interlayer bond, hence low tensile strength and poor interlayer adhesion or build delamination tendencies. Such an orientation is, however, typically not applied for load-bearing applications [22-24]. Previous studies reported in the literature indicate that that the CF-ABS possesses higher tensile strength and flexural modulus along the Y-axis due to its improved fiber-matrix bonding and interlayer adhesion.

Furthermore, Z-oriented samples exhibit very different mechanical properties due to the significant decrease in interlayer adhesion between consecutive printed layers [25-28]. This discrepancy in performance highlights the necessity of tailoring build orientation for specific load bearing applications. The mechanical properties of FDM 3D printed ABS parts performed better because of including carbon fiber reinforcements. Improved stiffness, tensile strength and thermal stability could be attributed to carbon fibers, making CF-ABS composites promising for demanding applications. However, the level of these improvements is heavily determined by a number of considerations: Fiber Length and Content: Most FDM filaments use short carbon fibers (SCFs) sized in the range 100–500 μm. Fiber content, from 5 to about 30% wt., has a direct influence on mechanical properties. Higher fiber content increases the stiffness and strength respectively, but may reduce the ductility due to an increase of brittleness [29-34].

Fiber Orientation: Fibers can orient themselves in line with the direction you're printing owing to extrusion. This orientation will enhance mechanical properties along the axis of the filament and may compromise strength in transversal directions. Obtaining a homogeneous strength distribution is strongly predicated on accurate fiber angles resulting from optimization of slicing [35]. Interface Bonding: The fiber/ABS matrix adhesion must also be strong to ensure efficient load transfer. Low adhesion causes fiber pulling off and premature rupture in tensile loading. Surface modifications and/ or different polymer matrices have been studied in order to increase fiber-matrix interaction and enhance mechanical performance [36-38]. In order to maximize the benefits of CF-ABS in FDM, process parameters should be carefully optimized. Key factors impacting the mechanical behaviour of printed objects include: Layer Thickness: lower layer thickness (e.g., 0.1–0.2 mm) will increase interlayer bonding, but also extend printing time.

Thicker layer will be reducing anisotropy, but can give rise to poor surface quality and material defects [39-42]. Raster Angle and Infill Density: Changing the direction of fibers at different angles also affects load path and stress distribution. The non-raster orientation yields tensile strength due to fiber alignment relative to load (0°) and balanced mechanical properties in other directions (+/-45°). Higher infill densities (>50%) will increase the stiffness & strength of components, but at the same time expense of more material used and longer build time [43-45]. Temperature of the Nozzle and Printing Speed: Growth in the nozzle temperature induces flow of material and adhesive bonding between layers, which enhances interactions at interfaces. However, high temperatures can cause polymer matrix thermal degradation. For the printing speeds, being able to reach the ideal values is important since the trade-off between extrusion and mechanical performance can be maintained [46-48].

Because of the increasing industrial rising requirement for lightweight, high-performance and custom polymer composites, this study aims to present a holistic approach towards build orientation effects on mechanical characteristics (bending stiffness) to an FDM printed CF-ABS part. Tensile strength, flexural properties, and failure modes at two points were compared and show that this research offers vital criterion to optimize print settings in order to strengthen the material [49-52]. The outcomes will contribute to the broader area of additive manufacturing by addressing key questions related to anisotropic mechanical performance and fiber alignment, fostering

the adoption of CF-ABS composites for structural applications. This paper is prepared as follows: In Section 3, materials and methods utilized in this investigation will be detailed, including the investigational set-up and test method. Section 4 boons the results and discussion, focusing on the key results and their suggestions. Finally, Section 5 closes the paper with a summary of the main findings. The purposes of the current study stand:

- To experimentally investigate the tensile behaviour of FDM-printed ABS and CF-ABS components.
- To estimate the result of build orientation on tensile strength and deformation characteristics.
- To provide a through comparison between ABS and CF-ABS under identical printing conditions.
- To offer practical recommendations for material and orientation selection in structural FDM applications.

I.1 RESEARCH GAP

Existing publications on FDM-printed ABS and carbon-filled ABS mainly concentrate on individual impacts of process variables, for example infill density, raster angle or extrusion temperature. However, systematic comparative analyses in relation to the orientation-dependent tensile behavior of neat ABS vs CF-ABS under a controlled DOE-based environment are limited. On the other hand, most studies routinely reported lack of consistent experimental procedures where anisotropy in build direction is correlated with statistically validated mechanical response.

I.2 NOVEL CONTRIBUTIONS OF THE PRESENT STUDY

In light of the aforementioned limitations, this effort provides a methodical examination on the orientation-dependent tensile characterization of FDM-printed ABS and CF-ABS parts with controlled processing conditions. The principal novel contributions of this work are mentioned below:

- A comparison study on tensile specimens of ABS and CF-ABS prepared under the same FDM process parameters.
- An in-depth analysis regarding the effects of build orientation (X, Y and Z) upon the modulus, strength and ductility.
- Design of experiments (DOE) to statistically assess the relative importance of material type and build orientation.
- Provision of practical design-based guidelines based on the choice of building orientations for load-carrying polymer and composite parts fabricated by FDM.

The findings of this study would be helpful for improved understanding of anisotropic mechanical behavior in polymer composites FDM printing and provide useful suggestions for the selection of optimal build orientation in engineering applications.

II. LITERATURE REVIEW

Additive Manufacturing (AM), mostly Fused Deposition Modeling (FDM), has developed polymer processing, where Acrylonitrile Butadiene Styrene (ABS) is a broadly used thermoplastic because of its cost efficiency, impact resistance and manufacturing simplicity [1]. However, neat ABS also has inherent disadvantages like poor interlayer adhesion, warping and moderate tensile strength which make it unsuitable in structural application [2]. These problems arise due to the layer-wise deposition method, which results in anisotropy and weak interlayer binding [3]. In order to overcome these limitations, Carbon Fibre-Reinforced ABS (CF-ABS) material has been established by combining short carbon fibers (CFs) into the matrix of the ABS [4]. Such reinforcement significantly improves tensile strength and rigidity, reduced warping [5].

Carbon fibers (CFs) have been used to improve interlayer adhesion, decrease anisotropic properties of the filaments of a polymer in terms of participating in matrix composites and making composite [6] applications like; aerospace, automotive and medical devices industry. Mechanical properties of CF-ABS are strongly reliant upon the fiber content, distribution and interfacial adhesion [7]. It has been demonstrated by studies that an optimal concentration of CF (5–15 wt. %) provides a combination of strength and ductility and any further increase in the fiber content would contribute to the brittleness [8]. Good fiber orientation in compounding results in an increase in load-carrying capacity and poor dispersion may produce voids, decreasing mechanical properties [9].

Surface treatments such as acid etching and coupling agents improve fiber-matrix adhesion, which reduces fiber pull-out during loading [10]. FDM printed parts exhibit anisotropic nature due to the cascade deposition, resulting in significant variation in mechanical properties depending on printing direction [11] X-Direction (Flat orientation): Layers are stacked perpendicular to load direction Enhanced tensile strength and ductility owing to continuous stacking of filaments [12]. Y-Orientation (Edge Build): It offers better tensile and flexural strength due to improved fiber orientation and load transfer [13]. Z-Orientation (Building Up): Shows the worst mechanical properties due to poor bonding between layers, leading to delamination under load [14]. According to the research, Y-aligned CF-ABS specimens show higher strength, while Z-aligned samples suffer from layer-to-layer adhesion problems and void occurrences [15].

The mechanical performance of CF-ABS depends significantly on FDM processing parameters which require careful tuning [16]: thinner layer height (0.1–0.2 mm) increases interlayer adhesion but also lengthens the printing time, whereas thicker layers lead to a worse structural integrity [17]. Complementary heating plates can reduce warping and increase interlayer adhesion and strength [18]. A 0° screen angle maximizes the tensile strength for fibers aligned with the direction of load [19]. ±45° raster angles provide the maximum shear strength which makes them suitable for impact resistant applications [20]. Higher infill densities yield higher stiffnesses while also increasing material usage; 80% is an optimal compromise [21]. Hotter nozzle temperature result on better interlayer bonding while it introduces danger of thermal degradation to the polymer matrix [22].

The optimal speed for printing (50–75 mm/s) is a trade-off between mechanical operation and printing rate [23]. The anisotropic nature of FDM printed with CF-ABS leads to specific failure modes [24] Delamination: This is the dominating mode in Z oriented prints due to low interlayer adhesion as in [25]. Fiber Pull-Out: Occurs when interfacial strength between the fiber and matrix is weak, which reduces reinforcing effects [26]. Matrix Crack: Composites with high fiber content were reported as brittle [27]. Shear-Induced Degradation: commonly observed at ±45° raster directions that leads to slow decay instead of catastrophic failure [28].

Few works differentiate between CF-ABS and other reinforced polymers: PC- ABS versus CF-ABS: Polycarbonate ABS (PC-ABS) outperform CF-TPE in tensile strength as well as flexural strength, especially at higher infill density [29]. ABS/TPU Blends: Up to 20 wt. % of thermoplastic polyurethane (TPU) could be blended. % improves the interlayer bond but with no loss in yield strength [30]. Hybrids: Glass fibers (GF), graphene oxide fillers can be added to enhance thermal stability and mechanical properties of CF-ABS [31]. Although many successes have been achieved, several challenges still remain: The research on the hybrid CF-ABS/glass fibers, CNTs or Kevlar fiber-based composites is very scarce [32]. ABS/CF/GF hybrid composites are reported to possess improved wear resistance and thermal stability [33].

The techniques of AIML related to optimization FDM parameters are less mature [34]. Predictive modeling may accelerate the process of material properties optimization [35]. Most of works concentrate on static mechanical behaviors, and little information about fatigue performance, creep resistance and environmental degradation has been presented [36]. Results of the accelerated aging indicate that ABS is more affected by UV and heat exposure than PLA [37]. The principal limitation of important FDM printing is the evenness of the bed temperature and the continuity of filament feed [38]. -The porosity of the recycled ABS is larger and this reduces the mechanical strength in spite of a minor molecular degradation [39]. -Wear: GF/ABS composites obtain the lowest wear rates, which makes it suitable for high-wear applications [40].

Electrical Conductivity: The vertical printed ABS/carbon black composite exhibits 40% less charge transfer resistance than the horizontal printed one, which is very advantageous to sensing [41]. Hybrid reinforcement (CF + GF + CNTs) for enhancement of multifunctional properties [43]. AI-based parameter tuning for improved mechanical properties [44]. Extended durability tested under mechanical, thermal, and environmental stresses [45]. Sustainable AM technologies, including recycled materials and low-energy printing [46]. CF-ABS composites have a significantly enhancing effect on the mechanical behavior of FDM-printed parts, which is also affected by the printing direction and process parameters. However, anisotropy, interfacial adhesion and long-term reliability are still problematic [47].

II.1 INFILL ARCHITECTURE AND DENSITY

The tensile strength of FDM polymers and composites is strongly dependent on infill architecture and density. Seshaiah Turaka et al. modified infill from 20 to 80% at 0.32 mm layer height on a CreatBot F430, and they determined CF-ABS performance with an 80% infill density reached a tensile strength of 36.92 MPa, being the highest among other configurations (with a 64.74% higher flexural and a and also improved flexural and compressive performance linked with lower infill configurations. Moreover, honeycomb pattern also delivered high results [1]. Consistent with this, improving infill and the refined lattice (such as Tri-hexagonal) increased ABS UTS on Ultimaker machines [20]. In Stratasys machines, ABS-CF10 displayed a significantly improved tensile and flexural strength in relation to ABS-M30; for the CF level type, 80% sparse design presented the best performance at strength over weight rate [40].

II.2 ORIENTATION-INDUCED ANISOTROPY

Build orientation significantly affects tensile and flexural performance in both ABS and CF-ABS due to anisotropic interlayer bonding. The horizontal (X) orientation provided the maximum tensile and flexural strength, followed by vertical (Z) orientation, which yielded the minimum; approximately twice as much amount of strain energy was absorbed in case of horizontal samples related to the vertical ones [4]. The tensile strength of ABS was reduced by 44.3% when changing the printing orientation from 0° to 90° (UP-Box) [9]. For CF filled systems, Z-strength of the CF-ABS was 47% lesser than the flat builds but stiffness increased by about ~90% with CF in the flat orientation [13]. In conventional FDM research, tensile properties of ABS parts relating to the injection-molded ABS were found as 65±72%, which are affected by rasters and air gap with the axial direction performing better among them [38].

II.3 RASTER ANGLE, LAYER HEIGHT, AND GEOMETRY

Introduction The tensile strength and flexural resistance of SCFR-ABS decreased by 22% from 31.5 to 24.6 MPa and by 15%, respectively, with a raster orientation angle ranging from zero to 15 degrees; however, certain angles (e.g., 60°) promoted crack deflection for tougher specimens [23]. Integrity studies showed that 0/90° rasters outperform ±45° in tensile/fracture behavior in ABS/PLA settings [24]. ABS tensile strength increased by 33% at 0.1 mm/5 (0°) after improving the rasters of ABS with a chamber temperature higher to reduce voids and therefore improve strength [25]. 0° rasters, 0.8 mm nozzle, 0.15 mm layers achieved the least number of cracks development and the longest fatigue life time under thermo-mechanical stresses of ABS [26].

II.4 INFLUENCE OF CARBON-FIBER REINFORCEMENT AND MATRIX SELECTION

This is because usually CF reinforcing will increase stiffness/strength and reduce ductility. 50% overall infill, hexagonal with 5–15 wt% CF At a load of 0.1 kg, hexagonal (CF-ABS) structure has reached a strength of 21.41 MPa (~24% higher than ABS) and the modulus equals to 1.47 GPa [3]. The tensile strength of the 13 wt% CF filled sample (CF-ABS) was about 30% that of ABS; a 50% infill often led to significant enhancements [8]. For flexural tests, it was reported that CF-ABS had a 58.7% increase in modulus compared to ABS with P450 orientations outperforming P0 and ±45° [14]. It is crucial to select an appropriate thermoplastic matrix: The tensile strength of CF-PA6 was roughly 68% higher than that for CF-ABS, whilst the latter's modulus was about 106% greater than that of CF-PA6; the thermal degradation onset temperature for CF-ABS exceeded 270 °C [43-54]

II.5 PROCESS-ASSISTED STRATEGIES AND NANO-MODIFICATION

Anisotropy can be reduced by help in processing. Additional heating at 160 °C could boost the strength under tension of CF/ABS by 31% and enhance the ductility by a factor of 439%, while reducing warpage from 12.3 mm to as low as 1.7 mm at a full infill density [27].

In high-temperature composites, a tensile strength was achieved by CF/PEEK of 94 MPa at 440 °C nozzle and 280 °C bed temperatures, where low thickness layers combined with a slow speed induced high interlayer adhesion [30]. Nano-fillers and additives also help with the mechanical properties: 2 wt% graphene oxide in ABS increased tensile strength and modulus, but decreased elongation (5.8% to 2.9%) [32]. 10–20% v/v fine expanded-perlite fillers (≤90 µm), maintained ABS UTS near 21.7 MPa; coarse/more load reduced strength because pore and layer dislocation [37]. ABS+CNT outperformed ABS+CF in tensile strength in some cases (34.18 vs. 27.25 MPa) while a lower layer thickness improved the property by reducing the porosity [55-57]

II.6 MICROSTRUCTURE, VOIDS, RECYCLING, AND SCALE

Reducing the pore size improves the interfaces: roller-pressed LAAM CF-ABS (13 wt% CF) reduced micro void volume from 14.0% to 10.0% and improved interlaminar adhesion [36]. Recycling was found to have increased porosity (≈11%→17%) which caused in a 10% reduction in the stretchy strength of ABS and 25% reduction in strain at break (5.2%→3.9%) [39]. Nylon-12 CF (Fortus 900mc) achieved a UTS of 97.41 MPa for side orientation, but only 22.63 MPa in the upright position; solid infill improved strength at the expense of ductility [41]. Multi-function, multi-material printing magnifies the practical concerns (ensuring even bed heating and feed control) that must be resolved before mechanical improvement [42]. Porosity and tensile strength increased because recycling resulted in molecular degradation and void formation [47], [48]. The large-area AM process also suffers from thermal gradient, filament feeding instability and void defect [49], [50].

II.7 ARCHITECTED LATTICES AND STRENGTH–DUCTILITY TRADE-OFFS

Hierarchical honeycombs of ABS, CF-ABS (CF 15%) and CNT-ABS indicated that the compressive load was maximized for CF-ABS honeycomb's structure (924.63 N) and second order hierarchies improve stiffness [1-3]. Across several studies, factors including orientation (flat/side), raster alignment, minimum layer thickness, careful temperature control and higher but effective infill in addition to CF/CNT reinforcement collectively improve strength and stiffness – although ductility frequently decreases – with Z-direction failures again primarily dictated by poor interlayer bonding [4-8].

Despite comprehensive parameter studies, there is a dearth of DOE-directed orientation-specific tensile characterization of CF-ABS that (i) holds non-orientation parameters constant, and (ii) provides a full mechanical suite (UTS, yield strength, modulus, ductility, breaking stress) to quantify the strength–ductility trade-off for design considerations [9-13]. Previous studies involving changes of parameters (infill/raster/temperature) with orientation combined, thus obfuscating the origin of effects or focusing on non-tensile tests (compression/impact) or other matrix/geometries PA6, PEEK [14-20]. Focuses on build orientation (X/Y/Z) and material type (ABS vs CF-ABS) under constant process parameters, utilizes a Taguchi-based DOE for factor precedence, and showcases the influence of factors on performance by tweaking only one mechanical factor at a time.

Orientation specific values such as UTS, modulus, yield, break strength and ductility are provided in this analysis [21-26]. The results indicate when CF-ABS provides useful functionality (e.g., CF-ABS-X maximum UTS) and when regular ABS may be more appropriate due to ductility requirements, which provide some general guidelines for selecting between load-bearing and compliance-focused FDM parts [27-32]. The focus of this data-driven but concentrated orientation study addresses the identified gap and provides design-ready recommendations in a short-term horizon for polymer composite FDM. Hierarchical lattice designs and honeycomb infill patterns contribute towards the improvement of their compressive strength, stiffness along with energy absorption behaviour [51-54]. In order to address the identified research gap, this study employs a a DOE framework based on the Taguchi method in fine-tuning the impact of build orientations (X, Y, Z) and material types (ABS vs. CF-ABS) on tensile behavior.

All of the other printing settings – such as infill percentage, raster angle, nozzle temperature, print speed, and layer depth – were kept constant to isolate the effects of build orientation and material type. ASTM D638-type tensile samples were made-up using a Creality K1C industrial FDM printer, and mechanical testing was led using a digital uniaxial tensile testing machine. The mechanical properties (UTS, yield stress, break strength, Young's modulus and ductility) were analyzed using a statistics approach. The method enables that mechanical differences can be assigned reliably to orientation and reinforcement effects, in a reproducible and clear manner. CF reinforcement generally improves stiffness and load-bearing capacity but often reduces ductility [58-62]

II.8 SUMMARY OF LITERATURE

Build direction is well known to be an important influencing factor of the tensile properties for FDM-printed polymer components. In common, X- and Y-oriented samples are stronger and stiffer in tensile compared with Z-orientation due to the more level bonding within layer and decreasing interlayer failure [3], [9]. The anisotropic behaviour is largely owing to the layer-wise deposition process and poor inter-diffusion of molecules between adjacent layers [23]. However, the majority of published studies are based on a specific material system and there is little available work in comparing directly under same processing and material control. The tensile stiffness and load capacity of the composites containing CF-ABS have been enhanced, but issues related to adequate blending between fibre and matrix, formation of voids, anisotropy due to orientation continue to be critical [24], [30].

Most of the literature have addressed on filament/material approach while to date integrating of build orientation effect with CF reinforcement in tensile performance is scarce. Recently, some research activities have been observed to focus on enhancing interlayer adhesion, reducing anisotropy and multi-functional performance of FDM composites [57], [63], as well as developing AI/ML techniques for parameter prediction and optimization [64], [65] in addition to pursuing sustainable approaches including use of recycled polymers and eco-friendly composite manufacturing [58], [59]. Finite element analysis has also been employed to simulate stress and strain in FDM parts yet the available experimental–numerical correlation for CF-ABS systems under common tensile loading is inadequate [60-62], hence the capability to develop accurate predictive models of orientation-sensitive composite components is limited.

Table 1: Comparison of Existing Studies on Orientation/Parameter-Dependent Tensile Behaviour of FDM Printed ABS and CF-ABS.

Study	Material	Orientation considered	DOE used	Constant parameters	Key findings	How present study differs
Seshaiah Turaka et al. (2024) [1]	ABS, CF-ABS (Think Robotics, India)	Not explicitly (focus: infill density)	No (parametric study)	Yes (nozzle temp., speed, layer thickness fixed; infill varied)	CF-ABS at 80% infill showed 36.92 MPa tensile strength; higher infill + CF improves properties	Present work compares build orientations (X/Y/Z) for ABS & CF-ABS under controlled conditions instead of only infill variation
Vigneshwaran Karupaiah et al. (2022) [3]	ABS / CF-ABS (Nanovia, France; SCF 5–15 wt%)	Yes (reported best in Y-orientation)	No (multi-parameter comparison)	Partially (multiple infill patterns & densities varied)	CF-ABS with hexagonal + 50% infill → 21.41 MPa UTS, modulus 1.47 GPa	Present study gives direct ABS vs CF-ABS orientation benchmarking with consistent printing plan and experimental tensile testing
Anubhav et al. (2023) [4]	ABS+ P430	Yes (X vs Z)	No	Yes (100% infill; fixed layer thickness & temps)	Horizontal (X) highest strength; Vertical (Z) weakest; orientation dominates	Present study extends to two materials (ABS & CF-ABS) and reports full orientation response including stiffness and failure behaviour
Abdul Quader Shurjeel et al. (2021) [6]	CF-ABS / PC-ABS	Not explicitly	No	Partially (infill & raster varied)	0° raster and higher infill improve strength; PC-ABS > CF-ABS	Present work isolates build orientation effect (X/Y/Z) rather than raster angle/infill combinations
Olusanmi Adeniran et al. (2022) [8]	CF-ABS, CF-PA (15% CF)	Not specified	No	No (printing temperature varied)	CF-PA6 shows ~68% higher strength vs CF-ABS; CF-ABS higher modulus	Present study focuses on orientation-based anisotropy in ABS and CF-ABS (not matrix comparisons like PA)
E. A. Syaefudin et al. (2023) [9]	ABS / PLA	Yes (0°, 45°, 90°)	No	Yes (layer thickness fixed)	ABS tensile strength reduced 44.3% from 0° to 90°	Present work provides material reinforcement comparison (ABS vs CF-ABS) plus full tensile response with orientation mapping
J. Yan et al. (2023) [13]	ABS/CF-ABS, PLA/CF-PLA, PA & PETG composites	Yes (F vs Z)	No	Yes (temp/thickness fixed)	CF-ABS shows ~47% lower Z strength than F-direction; stiffness improved ~90% in F	Present study gives experimentally validated orientation ranking for ABS & CF-ABS using tensile coupons and constant settings
Kui Wang et al. (2019) [14]	ABS, CF-ABS, KF-ABS	Yes (0/90 vs ±45; horizontal vs side)	No	Partially	CF-ABS modulus increased 58.7% over ABS; orientation/raster affect flexural	Present work specifically benchmarks tensile UTS & stiffness across orientations for ABS and CF-ABS specimens
Chamil Abeykoon et al. (2020) [35]	ABS, CFR-ABS, CNT-ABS etc.	Yes (raster orientation 0°–90°)	Yes (optimization)	No (multiple factors varied)	Infill density + raster orientation significantly affect tensile strength	Present work is simpler + targeted: only ABS & CF-ABS with orientation-dominant tensile investigation, suitable for manufacturing design
S.-H. Ahn et al. (2002) [38]	ABS P400	Yes	No	No	Tensile strength depends on raster orientation/air gap; FDM ABS ~65–72% of injection molded	understanding to CF-ABS filament composite and produces orientation-dependent tensile benchmarks relevant to current low-cost FDM platforms

Source: Authors, (2026).

III.MATERIAL AND METHODS

Systematic experimentation was employed in this work to explore in what way build direction moves the tensile properties of FDM-printed ABS and carbon fiber-reinforced ABS (CF-ABS) parts. In order to obtain reproducible results, all samples were fabricated under controlled processing conditions, and tensile tests performed according to ASTM standards. Material type and build orientation effect was statistically evaluated using a structured Design of Experiments (DOE) methodology.

III.1 MATERIAL SELECTION

Fused deposition modeling (FDM) is utmost current additive manufacturing processes used to fabricate polymer parts, known for its low cost, simplicity and ability to produce complex objects with no material loss. This paper studies the tensile stress mechanical properties of Acrylonitrile Butadiene Styrene (ABS) and CF-ABS, in different orientations.The materials used in this learning were solid space filaments of nominal diameter 1.75 mm. The material properties, delivered by the manufacturer, are given in Table 2.

Table 2: Technical features of the filaments material made of ABS and CF-ABS.

Property		
Material	ABS	CF-ABS (carbon fiber reinforced ABS)
Filament Diameter	1.75 mm	1.75 mm
Colour	White	Black
Density (g/cm³)	1.05	1.11
Poisson's Ratio (ν)	0.36-0.38	~0.35–0.40
Modulus of Elasticity (E) (GPa)	2.62	5.21
Flexural modulus (GPa)	2	5.26
Ultimate Tensile Strength (UTS) (MPa)	47.0	46.0
Heat Deflection Temperature (°C)	90	76
Tensile strength At yield At break	 47 MPa 34 MPa	 36.8 MPa 46 MPa

Source: [66], [67].

Note that the carbon fiber filament reinforcement was not manually added by us but rather it was already present within the original CF-ABS supplied through vendor. The CF-ABS is a short carbon fiber–reinforced thermoplastic composite filament and the carbon fibers are well-dispersed in the ABS matrix during the extrusion of the filament [52], [63]. Thus, the reinforcing found in 3DP follows from the natural composite character of the filament and not a result of transferring reinforcement or adding continuous fibers to FDM process [64, 65]. This method offers enhanced stiffness and strength, but can still be used with standard FDM printing systems in the same processing conditions [58-62].

III.2 PRINTING PARAMETERS AND EQUIPMENT

Samples were fabricated using the Creality K1C industrial FDM printer, known for its accuracy, repeatability and wide range of applicable materials. Printing settings were kept consistent for all printed parts to provide uniformity. Table 3 presents the standardized development limits followed in the present study during the production of the specimens with the Creality K1C industrial grade FDM printer. A 100% infill was used to ensure fully dense samples and minimise internal porosity. The nozzle size is 0.4 mm and the deposit height is also set as 0.2 mm to balance between printing quality and printing speed. For high resolution prints, a print speed of 120 mm/s was maintained; as the optimum compromise between accuracy and construction time. The extrusion temperature was set at 245 °C to achieve sufficient filament flow and adhesion. This temperature was built on the manufacturer's recommended processing window for ABS and CF-ABS filaments, to provide optimum viscosity and uniformity of layer adhesion.

This temperature enables correct polymer chain hopping between adjacent layers, thus decreasing interfacial voids and the force of adhesion. Former researches reported that extrusion at temperatures ranging about 240–250 °C is the temperature to use for achieving a proper fit between stabilization of stable flow and prevention of high-temperature degradation, for ABS based composites. Therefore, a default temperature of 245 °C was defined to guarantee the same reliable and perfect print quality for all test prints with always a nozzle temperature at 215 °C ensuring good extrusion. To increase adhesion of the first layer and prevent warping, a hotbed temperature of 105°C was used. Cubic infill pattern selected for its strength and uniform distribution of the load. In addition, a cooling rate of 100% was used to regulate the solidification process and improve the bonding quality between layers. These settings were applied consistently on all builds to ensure consistency/reliability of the experimental results.

Table 3: Printing Parameters.

Process Parameters while printing Build orientation	
Infill density	100%
Nozzle Diameter (mm)	0.4
Layer height (mm)	0.2
Print speed (mm/s)	120
Extrusion Temperature	245 °C
Infill pattern	Cubic
Bed temp	105 °C
Cooling speed	100%

Source: Authors, (2026).



Figure 1: Creality K1C industrial-grade FDM printer used for specimen fabrication.
Source: [66].

The industrial-type FDM printer, Creality K1C used in this study is shown in Figure 1. Its exact construction and dual-gear mechanism ensured uniform extrusion quality for ABS as well as CF-ABS samples. The trials were conducted using a Creality K1C industrial-grade FDM printer with dual-gear direct driver extruder. All the specifications for the printer are given in Table 4. To ensure efficiency and dimensional precision, a quick printing method was used. The selected process parameters were based on a substantial review of prior studies and preliminary experiments to ensure optimization for the tensile properties of printed samples.

Table 4: FDM Printer specification.

Printing Technology	Fused deposition modeling
Build Volume	220x220x250mm
Product Dimensions	355x355x482mm
Printing Speed	≤600mm/s
Acceleration	≤20000mm/s²
Printing Accuracy	100±0.1mm
Build Plate	PEI flexible build plate
Printable File Format	G-Code
Layer Height	0.1-0.35mm
Extruder	Dual-gear direct drive extruder
Filament Diameter	1.75mm
Nozzle Diameter	0.4mm
Nozzle Temperature	≤300°C
Heat bed Temperature	≤100°C
Supported Filaments	ABS, PLA, PETG, PET, TPU, PA, ABS, ASA, PC, PLA-CF, PA-CF, PET-CF
Slicing Software	Creality Print, Cura 5.0 and later version

Source: [66].

III.3 INFILL DENSITY

The infill density was set to be 100 percentage for all samples, in order to ensure the fully dense properties of components and thus minimize the internal porosities as well as maximize the mechanical strength. This is in accordance with previous findings, where infill

density has a momentous effect on tensile properties of the structure as the fully dense ones result in enhanced load carrying capacity and uniform stress distribution.

III.4 INFILL PATTERN

A cubed infill pattern was selected due to significantly better isotropic properties and ideal load distribution versus other infill types. Previous research studies showed that stiffened cubic infill patterns possess better stiffness and strength with reasonable material usage.

III.5 PRINTING SPEED

The printing speed was determined at 120 mm/s based on the capacity of the printer and previous criteria of FDM-printed polymer composites. The lifting speed accelerates the printing but may cause a worse layer adhesion and surface finish. The speed selected achieved a balance between the production efficiency and the mechanical reliability.

III.6 LAYER HEIGHT

The layer height of 0.2 mm was chosen to enhance mechanical properties and surface finish. Previous studies indicate that a lesser deposit height results in better interlayer adhesion and tensile strength due to the more effective molecular diffusion and bonding between layers.

III.7 BUILD ORIENTATIONS

The building direction is an important consideration for the mechanical properties of FDM printed parts since AM processes are usually anisotropic. Three characteristic orientations of build, presented in Figure 2 were evaluated: X-Orientation (Flat): The layers are oriented perpendicular to the loading direction. Y-Orientation (Edge): Layers are oriented perpendicular to the load direction but still in-plane. Z-Orientation (Standing): The layers are arranged perpendicular to the loading direction and the interlayer bonding is the principal means of support. Furthermore, previous research results indicated that the tensile property of Y-oriented samples is supposed to be optimal due to the better order of layer bonding and stress distribution while Z-oriented was expected worse tensile strength because of relatively low interlayer adhesion. The X, Y and Z construction orientations are illustrated visually in Figure 2. These orientational factors have a large influence on layering and the interfacial adhesion that determines the anisotropy of tensile properties.

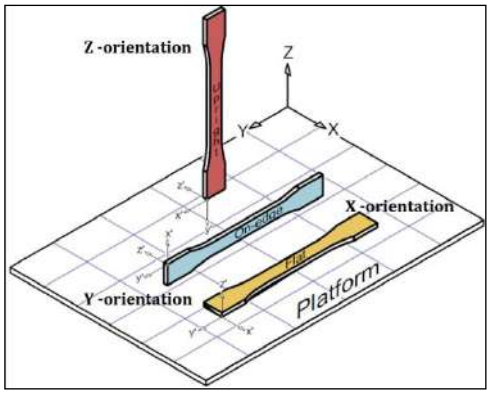


Figure 2: Diagram representation of the three Build orientations studied.
Source: [68].

III.8 DOE

An orthogonal array-based experimental (OAE) procedure was employed in order to systematically determine the effect of build orientation and material type on tensile strength of FDM printed specimens. The Taguchi method is a useful, statistically-based tool for minimizing the number of actual experiments required at a research stage and maximizing what one can learn about factor effects. In this study, two primary control factors were considered (A) Build Orientation with 3 levels (X-Y-Z), and (B) Material Type with 2 levels (ABS-CF-ABS). A L6 orthogonal array was selected, taking these factors into account, and all levels were equally represented only in six different trials. All trials were repeated 3 times to increase reliability and reduce random error.

The DOE meant to evaluate the result of build orientation and material type on key mechanical responses: Ultimate Tensile Strength (UTS), Yield Stress (σy), Break Strength σb, Ductility εb, Young's Modulus E. Signal-to-noise (S/N) ratio is a quality evaluation/criterion in the Taguchi method to quantify variability and robustness. For the properties requiring higher values (UTS, E), using the larger-the-better criterion, as in where S is defined mathematically by:

Taguchi Signal-to-Noise (S/N) Ratio – "Larger-the-Better" criterion Equation

$$S/N = -10\log_{10}\left(\frac{1}{n}\sum_{i=1}^{n}\frac{1}{y_i^2}\right) \quad (1)$$

Where:

- S/N = Signal-to-Noise ratio (dB)
- n = Number of experimental repetitions
- y_i= Measured response value for the i^{th} trial (e.g., tensile strength, Young's modulus)
- i = Trial index (i = 1, 2, …, n)

This "larger-is-better" criterion is used when the objective is to maximize the response, such as ultimate tensile strength or elastic modulus. Where n is the quantity of runs then y_1, y_2, y_n are the response. The averages of the levels were then computed and trend analysis was performed, main-effect and interaction diagrams plotted to provide an evaluation of the features' influence on mechanical properties. The "larger-is-better" expression (Eq. 1) enables that better mechanical properties correspond to higher S/N ratios, indicating good system parameters. To further analyze the effect of each factor, this study performed Analysis of Variance (ANOVA). The pure effect of each factor on the overall variance (in the response) was estimated using the following relation

Percentage Contribution of Factors (ANOVA) Equation

$$P_i = \frac{SS_i}{SS_T} \times 100 \tag{2}$$

Where:

- P_i= Percentage contribution of the i^{th} factor (%)
- SS_i= Sum of squares of the i^{th} factor
- SS_T= Total sum of squares

This equation quantifies the relative influence of each control factor on the overall variation of the response. Where P_i is the percent contribution of i^{th} factor, SS_i is sum of square for each such factor and SS_t is total sum of squares. These analyses indicated the key parameters with regard to tensile strength and modulus. The best combination of parameters that ensured the maximized strength and stiffness with minimum variability were calculated from S/N ratio and ANOVA analysis. As a consequence, the DOE framework delivered a systematic and statistically supported analysis procedure for optimizing FDM process parameters.

An L6 Taguchi array was used to study the orthogonal independent and interactive effects of two factors: material (ABS, CF-ABS) and build orientation (X, Y, Z). This procedure provided a clear view how each factor influences process performance. Each combination of factors was evaluated in triplicate to ensure statistical soundness, resulting in 18 tensile test samples (9 ABS and 9 CF-ABS). The response was characterized by tensile properties such as extreme load (N), ultimate tensile strength (MPa), percentage extension, break strength (MPa), yield stress (MPa) and Young's Modulus (MPa).

A Taguchi orthogonal array was working to reduce the number of experiments, but retain statistical power. The factors that were considered are; Factor A: Build orientation – (3 levels, X, Y and Z) Factor B Material type (2 levels, ABS and CF-ABS). An array L6 model was developed which resulted in six experimental conditions. All conditions were performed in triplicate creating six tensile samples. The analysis of S/N ratio was carried out under a "larger-is-better" criteria to find the finest level of parameters for determined value of tensile strength and modulus.

Table 5: Layout of L6 Array.

Run	Factor A – Orientation	Factor B – Material
1	X	ABS
2	Y	ABS
3	Z	ABS
4	X	CF-ABS
5	Y	CF-ABS
6	Z	CF-ABS

Source: Authors, (2026).

It was a deliberate choice to use only two factors for the DOE with tensile response since such measures limit the influence of orientation and type of material. This method simplifies the experimental complexity and provides a statistically meaningful correlation to anisotropy effects.

III.8.1 Experimental Factors and Levels

The experimental design was intended to explore the mutual effects of build orientation and material content on tensile strength. Two control variables were selected because they significantly influence the mechanical performance of FDM.

Table 6: Factors & Levels.

Factor	Symbol	Levels	Description
Build Orientation	A	3	X (Flat), Y (Edge), Z (Vertical)
Material Type	B	2	ABS, CF-ABS

Source: Authors, (2026).

All possible combinations of factors were evaluated for three replicates leading to 18 experimental runs (6 combinations × 3 repeats). One of the orthogonal arrays L6 was selected, it effectively handles two factors at three levels and reduces the number of experimental runs. This design guarantees statistical balance and yields sensitivity to a main effect without confounding.

III.8.2 Response Variables and Evaluation Criteria

The response variables selected were:

- Ultimate Tensile Strength (UTS, MPa)
- Yield Stress (σy, MPa),
- Break Strength (σb, MPa),
- Ductility (εb, %),
- Young's Modulus (E, MPa).

The Taguchi signal/noise (S/N) ratio technique and an ANOVA were used to analyze these responses for the identification of significant parameters and optimal conditions. For UTS and E, the larger the better criterion was rummage-sale and mean effect plots were used to analyse factor sensitivity for all other responses.

The Taguchi analysis workflow included:

a) Factor combinations from the L6 array.
b) Performing 3 replicates per condition to reduce experimental error.
c) Computing S/N ratios using Eq. (1) and identifying the important factors according to Eq. (2).
d) Graphing main and interaction effects for UTS, yield stress, and modulus to represent orientation–material interactions.

By this systematic approach, it was ensured that both material-type and orientation-effects were statistically verified which resulted in a comprehensive and reproducible conclusion about the tensile behavior of FDM reproduced composites. The use of DOE approach added a significant scientific value to this research. With the use of a Taguchi L6 orthogonal array, the study was efficient in determining individual and collaborating effects of build orientations and materials on tensile behaviour with minimal number of experiments executed. This factorial design verified that observed changes in tensile strength, modulus and elongation were statistically attributed to process variables rather than random error.

Objective ranking of the significance level of the parameters was carried out using S/N ratio and ANOVA estimations, and build orientation was found as most influencing parameter for mechanical variation closely followed by material type. Accordingly, the DOE procedure has enhanced peak strength and stiffness parameterization but also increased reproducibility and confidence concerning experimental results. The results obtained through this systematic framework confirmed the identification of an optimal print orientation-material combination in achieving improved mechanical properties in FDM-printed composite materials.

III.9 FABRICATION OF 3D PRINTING SPECIMEN

The tensile test specimens were designed built on ASTM D638 via SolidWorks. The 3D models were then converted into .STL file processed set-up which is often used for 3D printing and readable by slicing software. Slicing was performed on ORCA Slicer v2. 2. 0 with key process variables fixed to secure repeatability of production.The settings of the process were set as: Infill Density: 100%, Printing Speed: 120 mm/s, Layer Thickness: 0.2 mm, Infill Pattern: Cubic and Nozzle Diameter: 0.4mm.The STLs were added to the slicer, and for each part of build orientations were changed from X, Y onto Z axis to study how the parts behave mechanically. The slicing process also generated useful data such as nozzle position, weight to be expected for the object, desired length of filament and duration to print. Upon verifying these parameters, the finished files were exported and saved as G-code files.

3D printer Instructions were transferred to 3D printer through USB drive. 3D printing machine, dual-nozzle 3D printer was first fed with ABS or CF-ABS filaments, and then FDM (Fused Deposition Modeling) printing procedure was adopted. Each sample was printed as an individual data point to maintain consistency and avoid batch-to-batch effects of printing. The automatic printing system ensured uniformity of all the samples.Nine samples were generated using ABS and 9 samples using CF-ABS producing a total of 18 extracted tensile specimens. Three specimens per orientation (X, Y and Z) were printed for making comparisons. Once printing was complete, the samples were detached carefully from the print bed. If support were present, these were manually removed for accuracy in dimension. Each sample was later checked to confirm that it complied with the ASTM D638 typical dimensions. After that, the specimens were coded for tracking and prepared for subsequent tensile test.

III.10 TENSILE TESTING PROCEDURE

Tensile testing was done in accord with ASTM D638 that measures fracture behavior of an applied load, within its gauge lengths of the sample. Test method followed ASTM D638, which measured the tensile strength and elongation of a material. This process is commonly applied for woven, non-woven and felted structures however modified to be used as a technique for tensile testing of FDM-printed ABS and CF-ABS samples.Dimensions of the sample, such as gauge width and thickness, were measured with a micrometer prior to testing. A 25 mm length were marked for each sample. The acquisition signals were transferred into the tensile testing software in directive to ensure accurate stress-strain conversion.

Tensile testing was conducted using a uniaxial digital tensile testing machine (Shanta Engineering, Model: SET-T-20kN) at tension mode. The samples were clamped tightly with fixed and moveable clamps. The lower grip was fixed and the upper one had moved at a continuous crosshead speed of 10 mm/min until the sample failed. After fracture, the fractured sample was removed from the grips and its elongation measurements were obtained using vernier's caliper.The tensile testing system recorded and analyzed several mechanical properties including Ultimate tensile stress (MPa), Load at break (N), Elongation at peak (mm), Elongation at break (mm), Break strength (MPa), Percentage elongation at maximum load and NBS, Final dimensions of films (width, thickness, length in mm or cm); The final cross-sectional area of the test specimen (mm^2); Yield stress (Mpa);,Yield load (.N),Load-displacement curve.

Following the completion of testing, a representative tensile stress–strain curve was developed in the software to indicate the mechanical behavior of both ABS and CF-ABS under tensile loading. The recorded data were stored as a PDF for further analysis.This method of tensile characterization enables the repeatability and reliability for mechanical property assessment of FDM-printed ABS and CF-ABS materials under uniaxial tensile loading. The uniaxial digital tensile testing machine used for characterization of the mechanical properties of FDM-printed ABS and CF-ABS samples are given in Table 7. The equipment, manufactured by Shanta Engineering (Model: SET-T-20kN), operates between the modes of tension, and has a maximum load of 2000 kg suitable for strong materials.

Table 7: Tensile Strength Machine Specification.



Name	Uniaxial testing machine digital type testing machine
Make	Shanta Engineering
Model	SET-T-20kN
Max. capacity (Kg)	2000
Digital Panel	In build digital display with machine
Load Cell 1	1 kN
Load Cell 2	20 kN
Max. crosshead displacement without grips/fixtures (mm)	900
Displacement resolution (mm)	0.2
Column clearance(mm)	450
Machine Dimensions w × d × h in (mm)	1100 × 400 × 1800

Source: [66]

The testing machine is equipped with a digital display screen, which allows the user to easily see load displacement values, and accurate configuration test result in time. It offers two load cells—1 kN and 20 kN—ensuring that a large number of force applications can be carried out with high accuracy. Without grips and holders, this machine can accept specimens of varying size up to 900mm crosshead travel. For higher measurement precision, the system provides a displacement resolution of 0.2mm. Clearance of 450 mm between the columns allows enough space to align specimens and attach grips. The size (1100 mm × 400 mm × 1800 mm) of the machine can maintain test environment stable and reduce disturbance outside.This criterion collectively improved the accuracy, repeatability and reliability of tensile testing process which aids in determining mechanical properties for ABS and CF-ABS specimens under uniaxial tensile loadings

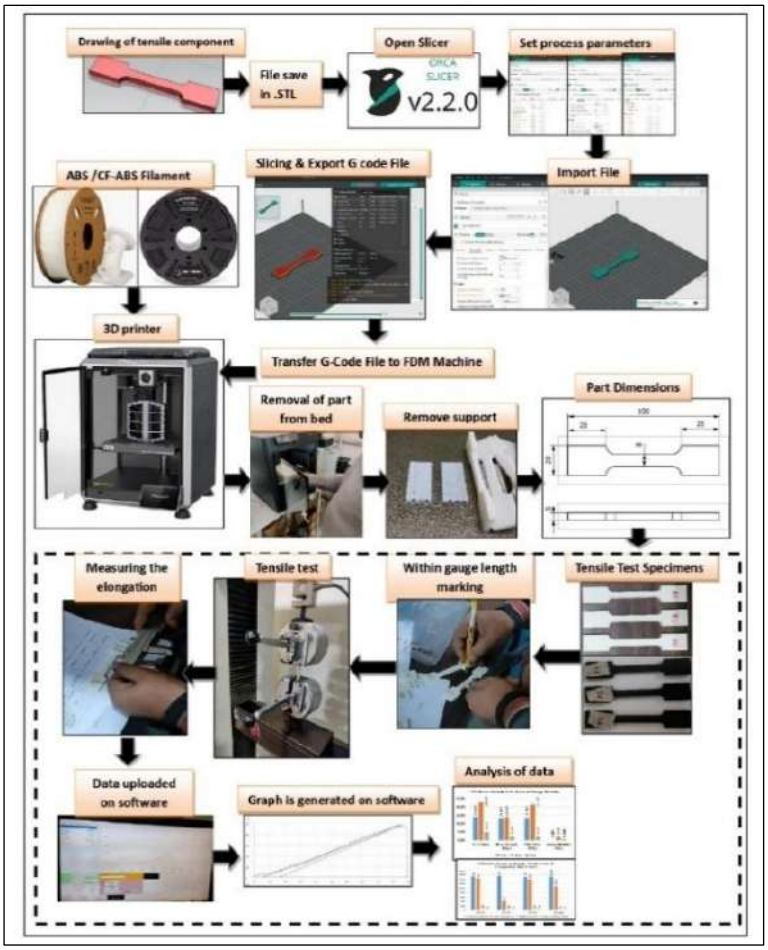


Figure 3: Flowchart of specimen preparation and tensile test with uniaxial digital tensile machine.
Source: Authors, (2026).

As exemplified in Figure 3, the procedure consisted of 3D printing, post-processing and tensile tests by means of digital uniaxial machine (20 kN) test.Numerical calculations displayed sequentially (Stress = 545.7 / 40 = 13.6425 MPa, Strain = 0.753 / 25 = 0.03013, etc.). The applied force during loading was directly recorded from the uniaxial testing machine. The cross-sectional area was measured for accuracy with a micrometer, prior to testing. The stress is of crucial importance because it has direct effect on the material selection and mechanical performance estimation.

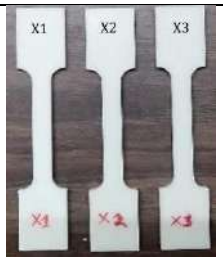
Before testing	 ABS X Orientation	 ABS Y Orientation	 ABS Z Orientation
After testing	 ABS X Orientation	 ABS Y Orientation	 ABS Z Orientation

Figure 4: Tensile ABS samples at X, Y, and Z directions before and after tensile testing; reveals failure modes depended on orientation.
Source: Authors, (2026).

In Figure 4, differences in the failure of ABS samples are highlighted. ABS-Y displayed more resistance to factual failures as opposed to ABS-Z where brittle delamination was noted due to low interlayer adhesion. Figure 5 illustrates CF-ABS malfunctions. CF-ABS-X retained its structural integrity with increased UTS, whereas CF-ABS-Z fractured prematurely supporting the anisotropy trends.Visual evidence of failure modes helps in interpreting the behavior of materials under tensile loading. Connected with numerical data, these results provide a deeper insight into fracture mechanisms and anisotropic materials behavior.Three samples for apiece material (ABS and subtype CF-ABS) were printed in the X, Y and Z direction respectively according to ASTM D638 standard. A total of 18 tensile test samples were obtained in this way (2 materials × 3 orientations × 3 replicates). Average values from these three replicates of Ultimate Tensile Strength (UTS), Yield Stress, Break Strength, Ductility and Young's Modulus were calculated to establish statistical dependability. The SD for each group was also determined to demonstrate experimental variation.

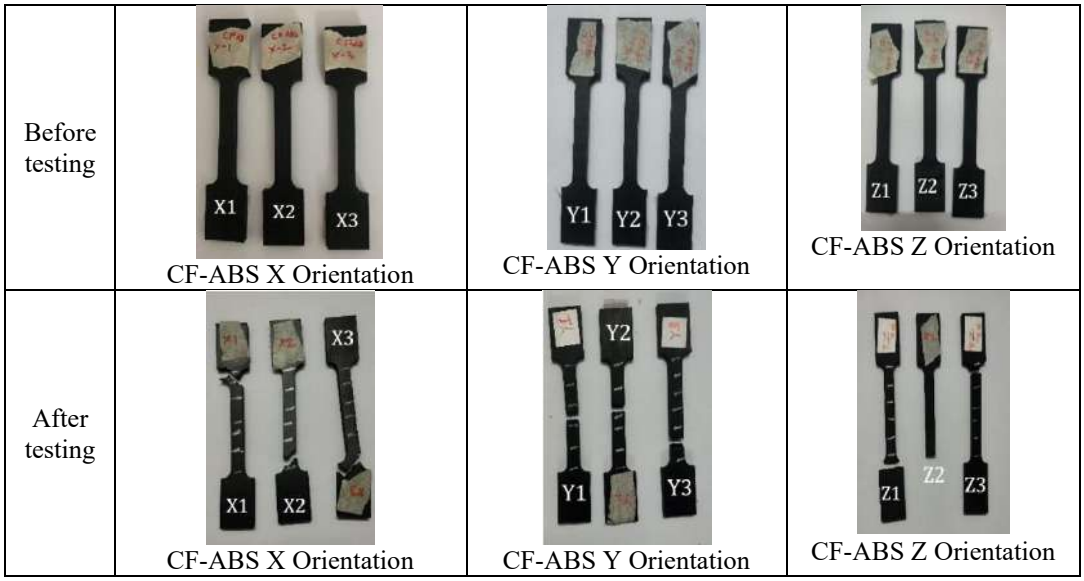


Figure 5: Tensile printed and tested X, Y and Z CF-ABS samples illustrating the influence of orientation.
Source: Authors, (2026).

Advanced microstructural characterizations and full fatigue tests were not attempted in the present report to keep focus and convince of feasibility. These issues are discussed as potential research directions in the Future Research Directions section.

IV. RESULTS AND DISCUSSIONS

In this section, the experiment outcomes of tensile tests of FDM-printed ABS and CF-ABS samples at various build orientations are reported and discussed. The results are interpreted to determine the effect of material type and build direction on tensile strength, elastic modulus and elongation at break. Trends are sought and discussion is provided as to the observed mechanical behavior, related to FDM process sensitivity. Tensile test consequences for FDM-printed ABS and CF-ABS samples in X, Y, and Z build directions are given in Table 8.

The results indicate that there are prominent variations on mechanical properties depending on material composition and printing orientation. The ABS-Y specimens exhibited the superior UTS of 23.48 MPa and a Young's modulus of 2077.26 MPa (stiffness), which contributes to improve the stiffness and load bearing in this direction. On the other end of the range, ABS-Z samples presented the lowest mechanical properties, with a UTS value as low as 4.93 MPa and even very diminished Young's modulus (321.48 MPa), thus underlining the natural anisotropy in filament-based printed materials where an influence by interlayer adhesion was shown to be especially important.

The experimental conditions and outcomes listed in Table 8 are a result of an organized DOE approach, which samples were manufactured and tested according to controlled parameter settings, to establish the influence of material type and build orientation on mechanical behavior. The DOE method was beneficial for systematic evaluation by ensuring statistical dependability and revealing significant patterns of tensile properties. These findings provide crucial insight into the anisotropic behaviors of FDM-printed materials and underscore the need for promoting build orientation to achieve improved mechanical performance. The distinct features of CF-ABS, especially in the X and Y directions, suggest its value for such applications that require enhanced tensile strength and rigidity.

Table 8: Tensile test for ABS and CF-ABS samples in various building orientations.

Material-Orientation	Maximum Load (N)	UTS (MPa)	Ductility	Break Strength (MPa)	Yield Stress (MPa)	Young's Modulus (E) (MPa)
ABS-X	635.56	15.86	3.01	10.93	13.75	452.74
ABS-Y	933.89	23.48	1.06	9.71	21.82	2077.26
ABS-Z	219.33	4.93	0.80	2.40	2.31	321.48
CF-ABS-X	1162.67	28.90	1.20	19.51	27.39	2296.65
CF-ABS-Y	826.00	20.40	0.67	20.14	18.45	2802.03
CF-ABS-Z	201.00	5.05	5.68	4.14	3.68	62.44

Source: Authors, (2026).

The specimens reproduced in the Y-orientation are found to have higher tensile properties than those printed in the X-orientation, as a result of better inter-layer bonding along loading direction. On the other hand, Z-oriented specimens can exhibit premature fracture due to poorer adhesion between layers (a common pattern in FDM process mechanics).

IV.1 ULTIMATE TENSILE STRENGTH

UTS of ABS and CF-ABS were evaluated for the X, Y, and Z orders. The results demonstrate significant material composition and print orientation dependences. Polymers ABS Material: Y-orientation (23.48 MPa), and X-orientation (15.86 MPa) had the highest UTS value, respectively. The lowest strength was achieved from the Z-orientation (4.93 MPa) due to poor interlayer bonding. 3.2 Comparison analyses of CF-ABS sample The UTS of the as-printed X-CF-ABS was found to have the highest value (28.90 MPa), and a significant improvement relative to ABS. However, Y-orientation had a slightly less UTS (20.40 MPa).) and still is considered the weakest in Z-orientation (5.05 MPa) similar to ABS. Y-orientation still provides the highest level of strength for ABS, likely due to better bonding between layers, while Z-orientation is weak in both cases because of delamination.

The comparatively reduced strength characteristics observed of Z-oriented specimens seem to be primarily resulted from the layer-by-layer printing technique that is typical for FDM, since in such case out-of-plane interlayer adhesion perpendicular to the loading direction is certain [4], [9]. However, poor interlayer adhesion is not the only cause. There are a few other things that contribute to this hole. First, the cooling rate gradient along the build height gives rise to thermal stresses that weaken the adhesion between successive layers; each layer deposited cools faster than its underlying one, leading to non-uniform solidification, different tract shrinkage and high residual stress on each layer where in turn will promote the generation of micro-voids and regions of concentrated stresses [21], [27], [30]. Furthermore, the repeated thermal cycling during deposition introduces internal stresses and partial debonding at the fiber-matrix interfaces [8], [14] which again detracts from interlaminar strength.

These effects – fiber asymmetry, rapid solidification, void formation and internal stress buildup – all contribute to decreasing the tensile strength and modulus in the Z-orientation more than just poor interlayer bond [9], [23], [27]. UTS for CF-ABS-X was the highest (28.9 MPa), which placed next ABS-Y (23.48 MPa). That is in line with the findings reported by [3] who reported approximately 21 MPa tensile strength of CF-ABS with 50% infill and hexagonal pattern. In same line, the present study can find [1] reported that CF-ABS with 80% infill had tensile strength of 36.9 MPa, which was a higher value compared to the present result and it was likely due to its higher infill density. In the end, while this experiment values are somewhat lower, the trends the present study seen seem to fit well with enhancements reported for CF incorporation and orientation optimization. A comparison of the UTS and ductility for ABS and CF-ABS coupons in different build directions (X-, Y- and Z-axis) is depicted in Figure 6. The bar chart illustrates the UTS (in MPa) for every material, and the line chart displays their corresponding ductility (elongation in %).

IV.2 ELONGATION OR DUCTILITY

The ductility provide information on how much the material can bend before it will break. Ductility Trends ABS: The maximum elongation was obtained in X-orientation (3.01%), followed by Y-direction (1.06%) and Z-direction (0.80%). CF-ABS: In the other trend, ductility ratio in Z direction (5.68%) was higher than that of X and Y directions (1.20%, 0.67%). It has been revealed that the failure modes were influenced by carbon fiber reinforcement, especially an improvement in interlayer adhesion in the Z-direction. Ductility and UTS are inversely related since greater orientations have lower elongations. UTS is improved while elongation is decreased by CF-ABS in X and Y directions. The Z-orientated CF-ABS exhibits a surprising increase in ductility which suggests fibre orientation influences in the weaker layers. Comparison of UTS and ductility between ABS-F and CF-ABS at different orientations are presented in Figure 6.

UTS and ductility for ABS and CF-ABS are scrambled with the printing orientations (X, Y, Z). UCT The tensile strength of CF-ABS material exceeds pure ABS in X-orientation (28.90MPa to 15.86MPa). For Y orientation, ABS has the maximum UTS (23.48 MPa) and CF-ABS has slightly lower value of 20.40 MPa. For materials in Z-orientation, the two exhibit the lowest UTS: 4.93 MPa for ABS and 5.05 MPa for CF-ABS. This is reasonable, as adhesion from layer-to-layer is weaker on this position. Ductility Evaluation: ABS-X (3.01%) and CF-ABS-X (1.20%) are found to have moderate ductility, with higher than that for pure ABS. The results demonstrate the Y-orientation has the lowest ductility (ABS: 1.06%, CF-ABS: 0.67%) together with higher UTS, suggesting a trade-off between strength and ductility.

Remarkably, the ductility of CF-ABS is considerably higher (5.68%) than that of ABS (0.80%) in Z direction, which might be attributed to enhanced interlayer adhesion achieved by CF enhancement. This is consistent with Figure 6, and it is confirmed that CF-ABS improves the tensile strength, particularly in X-orientation, but brings down ductility. On the other hand, with CF-ABS in Z orientation, ductility is significantly improved that may be good for some applications. As expected, tensile elongation at broken value of ABS samples were higher than CF-ABS. For example, the tensile ductility of ABS-Y samples was nearly two times higher than CF-ABS-Y. The limiting of ductility due to the addition of CF has been highlighted by [7], revealing that there was an increase in stiffness due to glass fiber restraint and strain capability decreased.

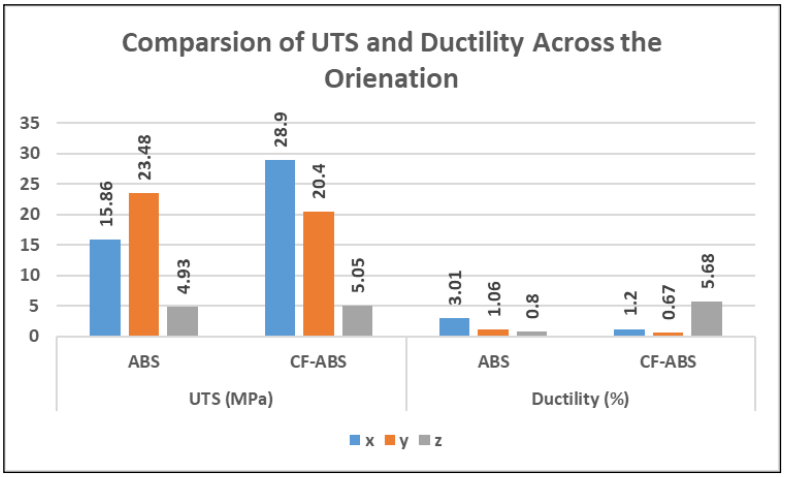


Figure 6: Bar chart comparing ultimate tensile strength (UTS) and ductility (%) of ABS and CF-ABS across X, Y, and Z orientations.
Source: Authors, (2026).

IV.3 YOUNG'S MODULUS

The modulus of CF-ABS-Y (2802 MPa) exceeded ABS-Y (2077 MPa), demonstrating approximately 35% increase. This is reliable with what previous studies indicate by [3] and a 1470 MPa modulus was reported for Cf-ABS between [14], who reported an increase of 58% in flexural modulus for CF-ABS comparing with ABS. The increase in moduli found in this study may be explained by the denser infill (100%) employed and finer print settings, which decreased the porosity.

IV.4 ORIENTATION DEPENDENCE

From the results, it is clear that Y-orientation printed specimens have better tensile strength because of enhances inter-layer connection in line with loading. In comparison, Z-oriented samples fail at an early stage due to weak layer bonding, which is in accordance with the FDM process being inherently anisotropic. For both materials, the Z-orientation specimens showed consistently lower performance and UTS decreased by more than 40% compared to those in X and Y orientations. By [4] and [9] have reported similar orientation-dependent anisotropy, with tensile strength reduction between 44 and 50% when comparing flat (0°) to upright (90°) orientations. Therefore, the present study like to highlight that poor adhesion between the layers is the principal limitation for Z-direction computer-controlled fabrication. Z-oriented samples collapse at low strains because of the poor interlayer bonding and residual thermal stress, which is characteristic to FDM process [11], [23]

The embedded carbon fibers act as the load-carriers, perfectly transferring stress from the polymer matrix to the stiffer fiber phase, resulting in upsurges in together tensile strength and elastic modulus [24], [26], [30]. In addition, the carbon fibers reduce the total thermal expansion coefficients and improve dimensional stability during printing due to denser layer interfaces and reduced warping [32], [35], [37]. This bonding at the fiber–matrix interface restricts polymer chains motion, which contributes to the increased stiffness as well as greater stress resistance under tensile loading [38], [42]. But these improvements come with certain concessions. Reduced chain mobility and stress localization at the fiber ends reduces ductility and strain to failure, contributing to a more brittle fracture behavior [44], [48]. Besides, introducing of carbon fibers a little bit more complex expelling process is encountered during extrusion; therefore, wear and tear of the nozzle are greater and need to deal with well-controlled print temperature for avoiding channel clogging and causing an uneven consumption.

Despite these limitations, the mechanical advantages of CF-ABS—particularly its increased strength, stiffness and interlayer adhesion—make it a compelling choice for structural or load-bearing applications where stiffness takes precedence over pliancy. Poor mechanical performance observed in Z-pullout samples is due not only to weak interlayer bonding but also to the thermo-mechanical response specifics of FDM process. During printing, the polymer filaments are deposited layer-wise in the direction of Z-axis leading to interfaces normal to the tensile load. This alignment concentrates stress between the layers, aiding in crack initiation and rapid delaminating under tension. Furthermore, the rate of cooling in the build direction is slower and not uniform as that along the X–Y plan, which leads to residual thermal stress and poor diffusion across layers. Reduced entanglement of the polymer chains, entrapped voids and nonuniform thermal gradients leads to less adhesion between layers then the X-Y plane, leading to lower tensile strength and stiffness in the Z-direction.

IV.5 STRESS STRAIN CURVE

The mechanical properties of ABS and CF-ABS with different orientation were characterized by stress-strain curves. The Y-orientation curves of both ABS and CF-ABS exhibit the greatest stiffness, which is consistent with the highest Young's modulus. CF-ABS-X orientation has the largest stress response, indicating its high load-bearing capacity. Z-orientation curves remain flat, indicating a brittle fracture through poor interlayer adhesion. Figure 7 demonstrations the stress–strain curves of ABS and CF-ABS specimens at different orientations. The steepest slopes represent Y-orientation of both the materials, demonstrating maximum stiffness and Young's modulus. CF-ABS-X has the best tensile response behaviour between all the samples and it is associated with its good load bearing ability.

ABS-Z and CF-ABS-Z reveal poorest performance indicating very low stress values since poor interlayer adhesion limits the cohesion of the material layers.The conclusion is the reinforcing CF-ABS have significantly improved the stiffness and loading capacity of the composite materials, especially in X- and Y-direction as shown in Figure 7.

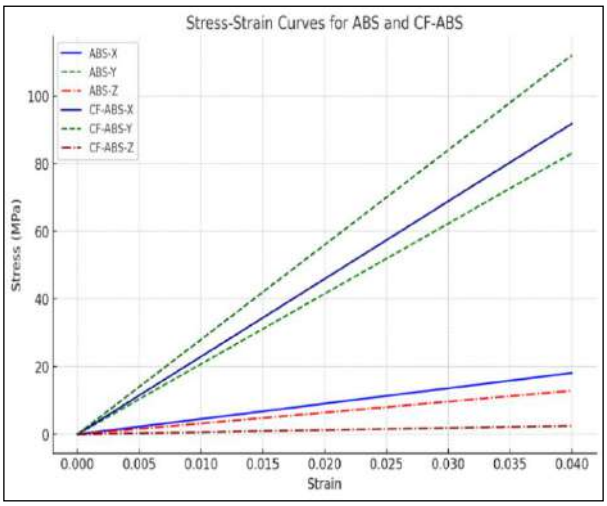


Figure 7: Stress-strain curves for ABS and CF-ABS.
Source: Authors, (2026).

IV.6 TENSILE STRENGTH RESULTS THROUGH LITERATURE COMPARISON

In command to verify the tensile behavior of FDM-printed ABS and CF-ABS, the UTS values obtained were compared with the referred literature standards. In the following work, ABS also exhibited the superior UTS in ABS-Y (23.48 MPa) higher than that of ABS-X (15.86 MPa), and significantly higher than that of ABS-Z (4.93 MPa) due to remarkable weak inter-layer bonding. Also, CF-ABS had the highest UTS value in case of CF-ABS-X (28.90 MPa) and hence exhibits lowest UTS value for CF-ABS-Z (5.05 MPa) proving a significant axis-dependent anisotropy (Table 8). By [1] reported 36.9 MPa at 80% infill, showing higher cell density leads to higher strength. For CF-ABS, [3] were able to achieve ~21 MPa at 50% infill which approximately in-line with the current CF-ABS-Y (20.40 MPa). Therefore, the CF-ABS-X UTS (28.90 MPa) is suitable performance for CF-ABS.

In general, this comparison authenticates the validity of current results and emphasizes on the influence of material and build orientation under uniform loading situation. The trend X/Y > Z, is in agreement with previous research [9-11], where the failure of specimens oriented parallel to the Z-axis occurs prematurely as tensile loading is applied perpendicular to deposited layers and inter-layer fusion interfaces. [13], [14] observed the tensile degradation in vertical positions to be significant as a result of polymer diffusion being limited and therefore bonding weakened.

Table 9: Comparison of UTS Results with Published Literature.

Study	Material	Key Print Condition / Note	Reported UTS (MPa)	Comparison with Present Study
Present study	ABS	Y-orientation (best for ABS)	23.48	ABS-Y = 23.48 MPa (Reference value)
Present study	CF-ABS	X-orientation (best for CF-ABS)	28.90	CF-ABS-X = 28.90 MPa (Reference value)
Karupaiah and Narayanan [3]	CF-ABS	50% infill, hexagonal pattern	~21	Close to CF-ABS-Y = 20.40 MPa
Turaka et al. [1]	CF-ABS	80% infill	36.9	Higher than present due to higher infill
Syaefudin et al. [9]	ABS	Orientation-dependent ABS study	Orientation trend confirmed	Confirms X/Y > Z for ABS
Anubhav et al. [4]	ABS	Orientation anisotropy in FDM tensile	Orientation trend confirmed	Confirms Z weakest due to weak interlayer fusion

Source: Authors, (2026).

IV.7 DISCUSSION ON MECHANICAL BEHAVIOUR OF CF-ABS

The high tensile strength value of CF-ABS can be attributed to the good load transfer from the polymer matrix to the incorporated carbon fibers. The stiff fibers lower the overall ductility of the composite, as indicated by its low elongation-at break compared to unmodified ABS. Therefore, while CF-ABS has the same high level of stiffness and strength, it slightly sacrifices flexibility and processability. These effects must be balanced through parameters tuning to achieve both good mechanical properties and print quality. This is due to the fact that while carbon fibers increase stiffness and load carrying capability, they also result in decreased ductility and a more brittle fracture mode. Despite the enhanced mechanical properties, the processing of CF-ABS is problematic owing to nozzle abrasion of clogging and fiber clustering.

In comparison to the tensile response, macroscopic observations of fractured CF-ABS samples (Figure 5) offer some knowledge on failure as well. In the case of CF-ABS samples, a diminished necking and relatively sudden break was observed in comparison to neat ABS ones that is indicative of the higher stiffness brought by the CF-ABS. Samples made of CF-ABS oriented along the Z-axis exhibited an early interlayer delamination, demonstrating that layer-to-layer adhesion was a controlling factor for failure. These macroscopic observations help in rationalizing the tensile trends obtained experimentally and verify the anisotropic behavior of FDM printed CF-ABS parts.

IV.8 MAIN EFFECT PLOTS

In all orientations, CF-ABS reported significantly higher maximum load than pure ABS. The highest maximum load measured was obtained for CF-ABS in the X-orientation with 1162.67 N and the lowest maximum load of 201.00 N for CF-ABS in the Z-orientation For both ABS (635.56 N) and CF-ABS (1162.67N), X-orientation occurred to be where the highest maximum loads were achieved, indicating good interlayer bonding when printed along this direction.-orientation also did comparatively well, -value of 933.89N for ABS and 826.00N for CF-ABS) The Z-orientation gave the worst of both materials, probably due to poor interlayer adhesion (219.33 N and 201.00 N for ABS and CF-ABS). During tensile applications the structural weakness of CF-ABS is obvious since it has a higher load carrying capability than that reported for ABS, particularly in X-orientation.

The primary effect plot of S/N ratio is depicted in Figure 8 since the effects of build site and material type on the maximum load (N). Higher UTS was detected in CF-ABS samples related to ABS samples. CF-ABS-X had the greatest UTS (28.90 MPa) but ABS-Z did not exceed 4.93 MPa. X-orientation: ABS (15.86 MPa) and CF-ABS (28.90 MPa) exhibit the maximum UTS. In the Y-orientation the values are slightly by CF-ABS (20.40 MPa) and better in ABS (23.48 MPa). Z-orientation has the least UTS (4.93 MPa in ABS, 5.05 MPa in CF-ABS), because their inter-layer bonding is low. The failure in the Z-orientation results from the delamination of layers. For the two materials, the X and Y directions have highest strength. The interaction plot for S/N ratios is depicted in Figure 9, the consequence of build direction and material on UTS.

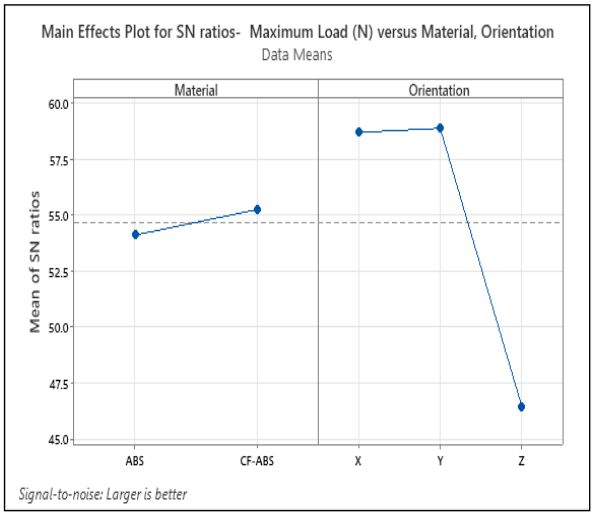


Figure 8: Main effect plot for SN ratios Maximum Load (N) versus Material, Orientation.
Source: Authors, (2026).

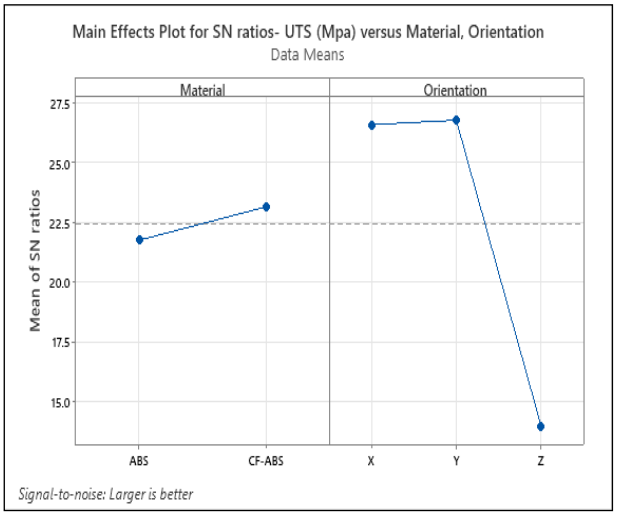


Figure 9: Main effect plot for SN ratios UTS (MPa) versus Material, Orientation.
Source: Authors, (2026).

The tensile strength of CF-ABS was improved. CF-ABS-Y showed the highest break strength (20.14 MPa), which may be associated with orientation-dependent load transfer and failure behaviour. CF-ABS-X came next with 19.51 MPa, revealing excellent strength at this direction. The maximum tensile strength was 20.14 MPa (in CF-ABS-Y) and the lowest was 2.40 MPa (in ABS-Z). Polymers in ABS-X and ABS-Y are characterized with lower tensile strengths at break (i.e., 10.93 MPa, 9.71 MPs, respectively). The introduction of a carbon micro pipe structure strongly improves sandwich properties, in particular strength and rigidity. Early failures were the ABS-Z and CF-ABS-Z with very low brake strength (2.40 MPa, 4.14 MPa). Z-orientation is not suitable for tension application because of its brittle failure. The primary effects plot for S/N ratios is presented in Figure 10, and it investigates the stimulus of build orientation and material type on break strength.

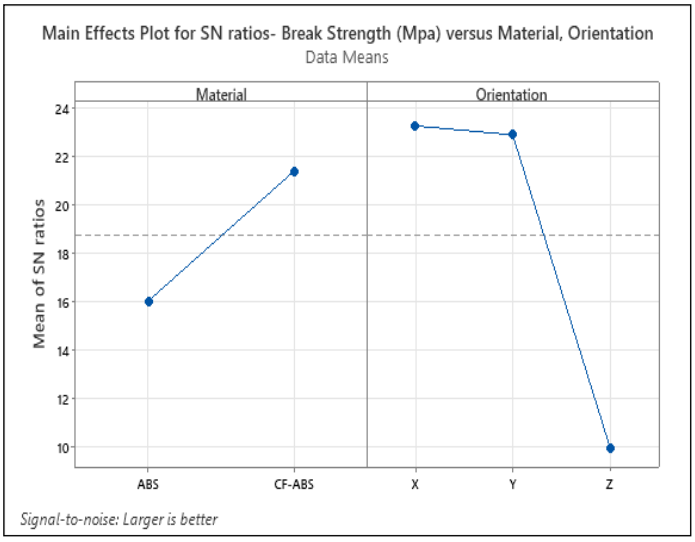


Figure 10: Main effect plot for SN ratios UTS (MPa) versus Material, Orientation.
Source: Authors, (2026).

CF-ABS exhibited stronger performance than ABS; CF-ABS-X had the highest yield stress of 27.39 MPa, while ABS-Z has the bottom (2.31 MPa). X-Orientation: The yield stress of CF-ABS (27.39 MPa) and ABS (13.75 MPa) were the highest. Y-orientation: ABS performed better (21.82 MPa) and CF-ABS had an acceptable value (18.45 MPa). Z-orientation: This is the least strong orientation with 2.31 MPa (ABS) and 3.68 MPa (CF-ABS). In particular, the CF-ABS substantially enhances yield stressing, particularly along X-orientation. Perhaps due to stress transfer, ABS-Y exhibits a higher yield strength than CF-ABS-Y. Due to its bad adhesion, the Z-oriented cut has the least good yield properties. The main effect plot for signal-to-noise (S/N) ratio is presented in Figure 11 which demonstrates the things of build orientation and material type on yield stress (MPa).

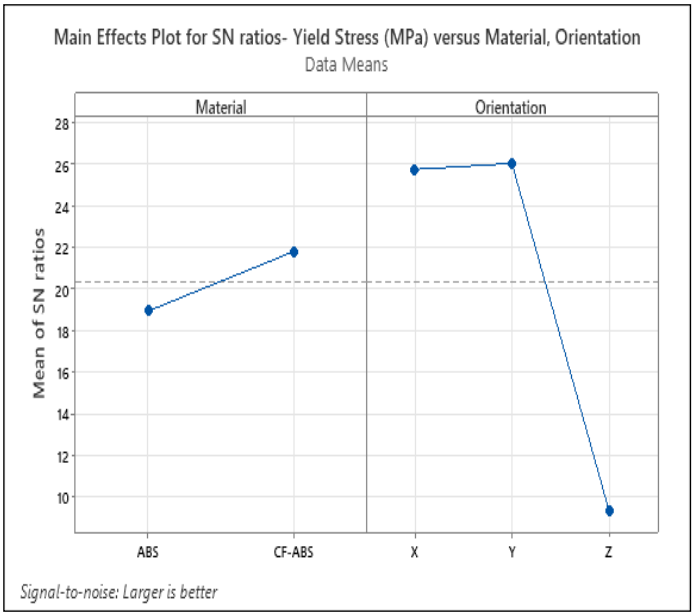


Figure 11: Main effect plot for SN ratios – Yield Stress (MPa) versus Material, Orientation**.**
Source: Authors, (2026).

Figure 11: Yield Stress (MPa) vs Material main effect plot for SN ratios Orienta In all orientations CF-ABS had higher Young's modulus which means its stiffness is high. The maximum reported was 2802.03 MPa by CF-ABS-Y and the minimum of 62.44 MPa by CF-ABS-Z. Y-direction: ABS was the strongest (2077.26 MPa), and CF-ABS had the highest stiffness (2802.03 MPa). X-orientation: ABS (452.74 MPa) is worse than CF-ABS (2296.65 MPa). Z: Low stiffness (62.44 MPa for CF-ABS, 321.48 MPa for ABS). CF-ABS significantly increases Young's modulus, so it is great for structural parts. Z-orientation is weak due to low rigidness and is not good for load bearing purposes. Z is the weakest, followed by X and then Y. The main effect plot for S/N ratios is given in Figure 12 which considers the effects of build orientation and material type on E in (MPa).

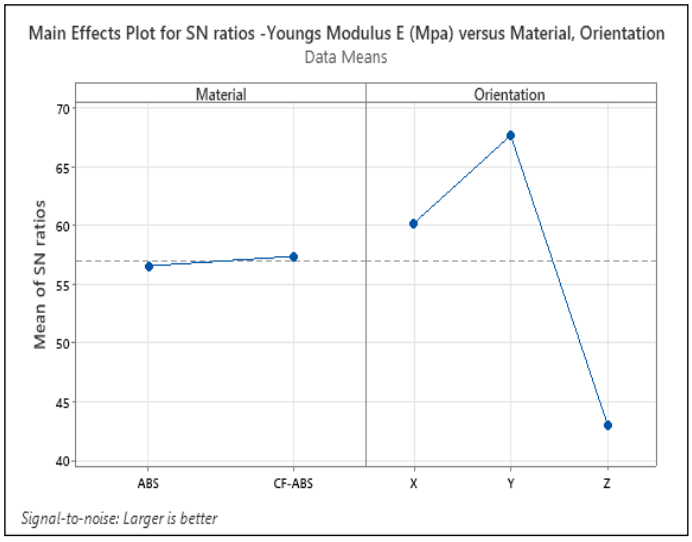


Figure 12: Main effect plot for SN ratios - Young's Modulus E (MPa) versus Material, Orientation.
Source: Authors, (2026).

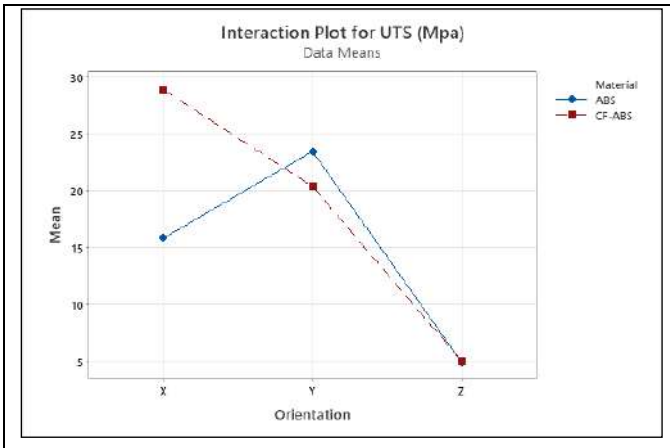
In the case of ABS, CF-ABS shows a huge improvement in all mechanical properties. Orientational Variability: shows maximum overall performance towards Young's modulus, break strength and UTS. Next, the present study placed X-orientation, which has moderate stiffness but is strong. Since the Z orientation exhibits weak interlayer bonding, it is not recommended for tensile load-bearing applications. Failure Modes: In the Z-orientation, weak interlayer bonding or delamination led to failure. Y and X orientations present better load-bearing capacity and crack-resistance. Design Implication: For strong parts, print CF-ABS in X or Y directions. The inclination and material type have large effects on mechanical properties are also supported by S/N analysis.

IV.9. INTERACTION PLOT

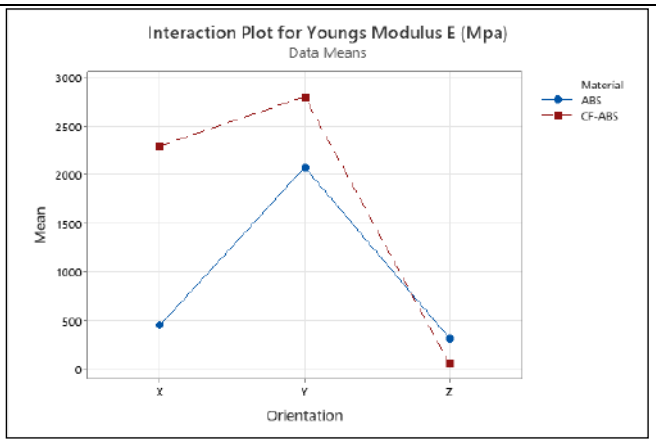
The most significant effects of the orientation and material (ABS versus CF-ABS) are shown in Figure 13 for selected mechanical parameters. UTS: the UTS of CF-ABS is significantly higher in X (28.90 MPa) than that of ABS (15.86MPa). Although CF-ABS-X showed the highest UTS, the Y-orientation exhibited competitive tensile performance; this variation may be attributed to fibre alignment effects and interlayer bonding characteristics. Similarly, the Z-orientation remains to be the weakest for both materials.

- Young's modulus: CF-ABS-Y has excellent load bearing capacity with the highest stiffness (2802 MPa). Y-orientation is also the highest performing orientation, with a strong ABS-Y (2077 MPa). Low stiffness is observed in Z-direction, particularly for CF-ABS (only 62 MPa).
- Yield Stress: For CF-ABS-X and ABS-Y, the same ranking was observed as for UTS. The Z-orientation is the worst for both materials.
- Break Strength: The maximum break strength (~20.14 MPa) is shown in Y-orientation for CF-ABS. Orientation in Z remains the weakest, while orientation along X is also strong.

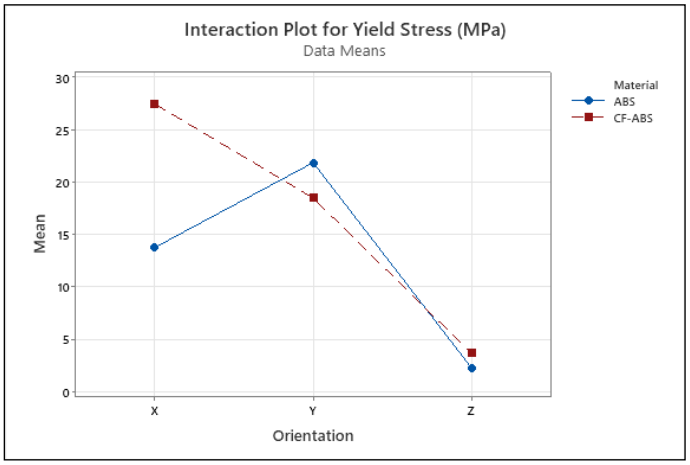
These graphs provide some evidence for the idea that Y-orientation is best for ABS and X-orientation is best for CF-ABS due to better fiber alignment.



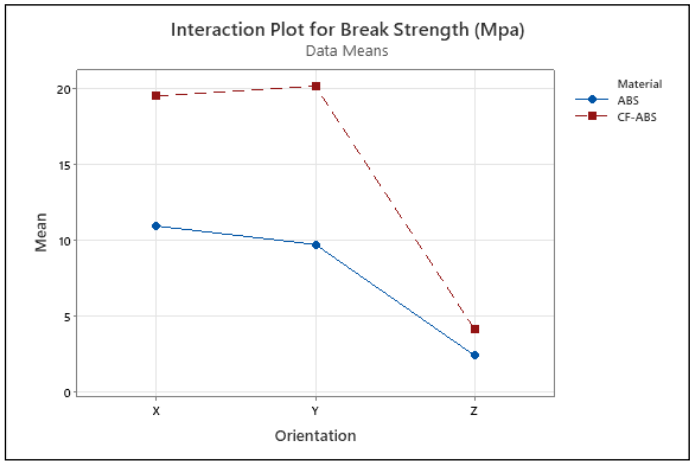
A. Interaction plots for UTS, Young's Modulus, and Yield Stress & Break strength with orientation



B Interaction plots for Young's Modulus with orientation



C. Interaction plots for Yield Stress with orientation



D. Interaction plots for Break strength with orientation

Figure 13: Interaction plots for UTS, Young's Modulus, and Yield Stress & Break strength with orientation.
Source: Authors, (2026).

IV.10 FAILURE MODE INTERPRETATION

The failure behaviour of FDM-printed ABS and CF-ABS tensile samples were markedly affected by the build orientation, indicating that the inherent anisotropy involved layer-by-layer fabrication. Discrepant fracture behavior in the X-, Y-and Z-oriented samples may be due to different interlayer bonding strength and load transfer efficiency [48], [49]. X and Y oriented parts in-plane tensile failure, where the load applied was parallel to filament deposition. A higher tensile strength and stiffness of these orientations were presented by an enhanced stress distribution and the more intense interlayer fusion, where the Y orientation displayed also the most sustained fracture process [50–53].

Z-oriented specimens suffered from early interlayer delamination due to the tensile action being perpendicular to the layer that are stacked. This led to a brittle fracture with low-ductility nature, which was dominated by poor adhesion of the interlayer rather than strength of filaments [54–57].The CF-ABS samples presented a higher stiffness and a lower ductility with respect to the neat ABS, suggesting an evolution toward more brittle failure. The reinforcement of short carbon fibers was better in X- and Y-directions with the failure continued to be controlled by interfacial strength and fibre continuity in the Z direction across layers [58], [63-65].In general, the data demonstrate that the role of build orientation in failure behavior is more pronounced than that of material type and underscores the significance of orientation-aware design criteria when employing CF-ABS filaments for load-carrying FDM applications [59–62].

The current work aimed to examine influence of build orientation and physical type on quasi-static tensile act FDM-printed ABS and CF-ABS samples at constant processing parameters. Other key variables like raster angle, layer thickness, and extrusion temperature or infill pattern were deliberately fixed to isolate orientation effects which constrains the direct transferability of the findings to other parameter combinations [46], [54]. Moreover, the procedure was limited to monotonically loaded tension and a detailed analysis of microstructure information including fracture surfaces was not within the scope of this study [55], [59]. Further work is needed for the more detailed evaluation of the performance of CF-ABS for load-bearing applications including microstructure assessment, fatigue properties and multi-parameter optimization [60–62].

V. CONCLUSIONS

Orientation dependent tensile properties of ABS and CF-ABS composite prepared by FDM were examined in the existing work. It can be observed from the consequences that material and build orientation significantly influenced the mechanical performance:

- The highest rigidity (2077.26 MPa) and the UTS value (23.48 MPa) exhibited the orientation ABS-Y.
- CF-ABS-X orientation showed the reinforcing effect of carbon fibers with their highest UTS (28.90 MPa).
- Because of poor interlayer bonding, the Z-directional samples invariably demonstrated low strength and modulus.
- ABS is also more ductile than CF-ABS, which makes it that reducing strength to increase ductility.

In general, CF-ABS is more suitable for structural and loadbearing applications because carbon fibers dramatically improved tensile strength and stiffness with particular dominance in X and Y directions. Yet, its application in systems that require large flexibility might be restricted due to the decreased stretchability. Use CF-ABS (20%) in the X or Y position for parts requiring high Structural rigidity: brackets, holders, holsters etc. For applications that need flexibility or impact absorption, plain old ABS may still be better. The following conclusions were drawn from these experimental studies of FDM-printed orientation-dependent tensile behavior of ABS and CF-ABS.

- Anisotropy is regulated by direction: Z-orientation consistently produced the lowest strength due to weak interlayer bonding while Y-orientation in ABS and X-orientation in CF-ABS showed the highest tensile mechanical performance.
- The modulus of CF-ABS samples was 35% higher and the UTS approximately 25% greater than that of neat ABS, which confirmed that carbon fibers enhanced stiffness.

- Trade-off of strength and ductility: CF-ABS improved strength while reducing ductility, meantime tidy ABS is better in applications that requires flexible or impact resistant.
- Trends supported by DOE-based analysis: Taguchi main-effect and S/N plots provided evidence of orientation and material being the two most influential parameters for tensile behavior.
- Experimental values correlate with previous research: The credibility of the data is enhanced as UTS and modulus show good agreement with other work on CF-ABS.
- Applications: Neat ABS can still be used when no structural bending is desired in the part, but it doesn't make sense for load bearing parts. CF-ABS printed in the X or Y orientations is more suitable for structurally relevant components.

A mannered analysis on tensile properties of FDM-printed ABS and CF-ABS parts in different building orientations was conducted in this study. The results demonstrate how material type and build orientation collectively influence UTS, yield stress, ductility and stiffness including material orientation and composition influence the mechanical performance, most notably yield stress, ductility, Young's modulus and ultimate tensile strength (UTS). The results demonstrate that the mechanical response of FDM-printed specimens is sturdily affected by construction orientation. Among all tested configurations, Y-oriented CF-ABS specimens had the highest mechanical strength (Young's modulus of 2802.03 MPa and UTS of 20.40 MPa). In contrast, poor interlayer adhesion led to very bad mechanical properties for both the Z-oriented samples of all material compositions; CF-ABS-Z being the worst (UTS = 5.05 MPa, Young's modulus = 62.44 MPa).

The ductility of ABS and CF-ABS materials exhibited a different trend; pure ABS presented higher elongation in the X and Z directions (3.01% and 0.80%, respectively), while the high stiffness of CF-ABS caused a reduction in its penetration capacity in all directions. Decision about stiffness and flexibility trade-off When the design of functional FDM parts with high tensile strength, there is possible to take into stiffening and correlatively flexible. With tensile strengths (UTS) 23.48 MPa and 20.40 MPa for ABS and CF-ABS, respectively, the Y-direction yielded the top tensile strength and stiffness in all cases. The X-oriented CF-ABS specimens possess greatly higher UTS (28.90 MPa) and elastic modulus (2296.65 MPa) than the all-other configurations, representing enhanced load-carrying capability by CF-ABS. The Z-orientation showed on the contrary to have the worst mechanical behavior which resulted in much lower values of UTS (4.93 MPa for ABS and 5.05 MPa for CF-ABS) and no resistance under tensile stress, thus highlighting also in this case (80%) its anisotropy of FDM printed materials.

Moreover, the results demonstrate ductility has been decreased with advance in tensile strength and modulus due to the incorporation of CF-ABS, predominantly in X- and Y-directions. CF-ABS can be used for applications requiring higher structural strength and mechanical durability in components made by additive because of its greater stiffness that is indicative of better load transfer effectiveness. The work expands the material design space of FDM thermoplastic composites and additive manufacturing in generality. The measurement technique provides quantitative verification of the effect of layers orientation and CF-ABS mechanical properties. In terms of bearing load, the CF-ABS was found to be a much better candidate than neat ABS for load-carrying applications, particularly in the Y-axis where tensile stress is distributed throughout coextruded fiber channel. The findings are also consistent with previous studies showing that layer bonding in the Z-direction is essentially poor requiring intentional modifications for applications demanding isotropic properties.

Moreover, the DOE-based method supplies a systematic approach to optimizing FDM parameters, thus enabling engineers and researchers to predict mechanical responses given material composition and printing orientation. This work sets the stage for further optimization investigation, particularly in hybrid and multi-material FDM printing. Although this work is a significant contribution, further studies are necessary to improve the mechanical belongings of FDM-printed composites. Future work should investigate: Advanced Infill Geometries: The influence of complex lattice structure and infill % on mechanical behavior. Failure analysis under cyclic loading conditions for long-term mechanical stability, is called fatigue and fracture analysis. Thermal and Environmental effects: Evaluate in performance at various humidity levels and temperature ranges, whether it's viable. FEA: Stress spread to predict modeling for design better solution. Multi-Material Printing Exploring dual-nozzle printing for structures with a functionally graded structure and gradient material properties.

This paper has demonstrated the influence of material arrangement and orientation on tensile behaviour for FDM parts. Although from the Z-structure perspective it still remains a drawback, CF-ABS exhibits significantly greater strength characteristics, especially at the Y axis. The insights from this work provide useful guidelines for developing stronger and more reliable FDM-printed polymer composites. The potential FDMÂ has in high-performance is likely to be augmented as new hybrid materials, better deposition control and advanced computer modeling are developed. In general, mechanically motivated process design decisions for build orientation and material selection of FDM manufactured polymer and composite parts for load-bearing applications are presented here. Results of this work may be used to optimize mechanical performance while considering the inherent anisotropy of FDM process by designers and engineers.

VI.STUDY LIMITATION

The tensile behavior of FDM-built ABS and CF-ABS specimens was studied in the present work, mainly focusing on the build orientation with fixed processing conditions. In order to attribute mechanical variability solely to orientation, parameters including raster pattern, layer height and thickness, infill percentage and extrusion temperature were deliberate kept constant which inherently limits the generalizability of the results into other parameter sets. Also, the testing program was limited to monotonic tensile loading and performance and behavior under cyclic fatigue, impact loading, time-dependent deformation, or environmental exposure were not considered. Furthermore, the microstructural and fracture-surface analyses were beyond the scope of this work such that a more detailed interpretation about fibre–matrix bond, internal void shape and interlayer damage mechanisms for (vertical-printed) specimens was narrowed down.

VII.FUTURE RESEARCH DIRECTIONS

In the current research, parameter-based optimization studies of FDM printed ABS and CF-ABS parts are pilot attempt. As both X and Y build orientations consistently outperformed in terms of tensile behavior, the study will be narrowed down to ABS-X, ABS-Y, CF-ABS-X and CF-ABS-Y only for future designs [3], [9]. A Taguchi-based DOE of ~25 specimens will be used, by changing speed, layer thickness and infill density to establish optimum tensile properties [23], [30]. Tensile experimental results will be cross-validated with FEA under the same loading conditions to check numerical-experimental consistency [34], [44]. Moreover, hybrid ABS–CF-ABS specimens with different CF-ABS layer thicknesses will be fabricated and investigated using experimental tests FEA and analytical equations for load transfer efficiency and stiffness improvement [13], [24].

The present work is restricted to the quasi-static tensile behaviour of FDM printed ABS and CF-ABS test pieces for given printing conditions. Further microstructural analysis at a higher-level such as SEM fractography and calibrated X-ray attenuation from micro-CT based defect/void quantification was omitted, so the effect of fibre dispersion, porosity and interlayer defects with tensile failure could not be explicitly linked in a quantitative manner to the mechanical performance observed. Furthermore, long-term durability behaviour such as those under fatigue, creep and environmental ageing was not studied in the present work. in future work, will be directed towards a more advanced microstructure–property correlation and development of validated predictive tools through FEA which can possibly be complemented with ML techniques in order to improve reliability prediction of orientation-sensitive CF-ABS composite parts.

VIII. AUTHOR'S CONTRIBUTION

Conceptualization: Kaustubh Pravin Joshi, M. K. Chopra.
Methodology: Kaustubh Pravin Joshi.
Investigation: Kaustubh Pravin Joshi.
Discussion of results: Kaustubh Pravin Joshi, M. K. Chopra.
Writing – Original Draft: Kaustubh Pravin Joshi
Writing – Review and Editing: Kaustubh Pravin Joshi, M. K. Chopra.
Resources: Kaustubh Pravin Joshi, M. K. Chopra.
Supervision: M. K. Chopra.
Approval of the final text: Kaustubh Pravin Joshi, M. K. Chopra.

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WEB SERVICE QOS PREDICTION BASED ON AUTOENCODER WITH MINI-BATCH GRADIENT DESCENT

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ABSTRACT

Reliability prediction of Web services has become very important in related research communities. Especially, predicting the Quality of Service (QoS) for active users has been a hot issue of research and application. On the other hand, with the rapidly growing in number of service providers and users, resulting in a large number of data sets. It has a big impact to the QoS such as managing and monitoring for describing functional and non-functional characteristics of Web services. Therefore, we will certainly struggle at processing large data sets in the future, unless the issues are resolved quickly before it happens. In that context, QoS prediction on big data set is an urgent problem to be solved. In this paper, we present a new model for handling this problem based on autoencoder, it is called autominibatch. We use this model to cope with large data sets by using Backpropagation and Mini-batch gradient descent for predicting QoS values of Web services. This also is a new method for evaluating prediction of the field of web service quality. Our experiments were performed on two data sets in the WS-DREAM data set and the experimental results have proved the effectiveness of the proposed model.

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I. INTRODUCTION

Web services are a system which is designed applications to allow the computer to communicate with each other via network. Service providers were established based on the needs of users, with increasing demands of users and a highly profitable business environment with considerable potential for growth. As a result, many Service providers tend to move in the same direction as business and marketing plans, which provides the direction on the potential market environment, leading to multiple providers may offer functionally identical services. On the other hand, QoS also depends on many other factors such as transmission on the network, implementation mechanism and hardware. Therefore, the user desires to know how to choose a QoS from service providers such as latency, availability and reliability. However, almost service providers nowadays focus on the profit and growth. Moreover, in e-commerce and other online environments, the QoS properties of each service are pre-determined by the service providers, but because of its promotion purpose, they often exaggerate to attract more users. Hence, QoS is one of the important factors to build service-oriented applications [1-3].

The QoS property may have different values to different users (e.g., response time, availability, throughput etc.), to measure the efficiency of QoS properties, it depends on the user who uses that web service. If a recommender system can exploit the information of web service providers based on the relationships between the consumers, services and service providers, the accuracy of the forecast will be remarkably improved. But almost service providers only introduce the web services to the consumer without warning anything about their service quality provided by them to the consumer, if any, it is mainly for promotion purposes. Therefore, many studies have focused on solving this problem as Collaborative Filtering (CF) approach [4-6] and some other studies such as a Bayesian network based QoS assessment model [7], decision tree [8] and latent semantic models [9]. Some recent research publications about the use of machine learning focus on prediction for web service as learning with multi-agent techniques [10] and Latent Factor models [9]. However, all of them have not mentioned for processing large data sets. This is one of new challenges which we should have solution to deal.

Currently, the traditional algorithms are not able to handle efficiently for large and sparse data sets. Therefore, the need of new models which automatically extracts the necessary information to users with accurate and effective ways in the continuous increase of growing data is necessary. To overcome the drawbacks described above, we propose Autominibatch model. The model is inspired by previous applications of Deep Learning in a wide range of pattern recognition tasks as applications including image classification, processing and generation [11-13], application to exploit and extract the document [14] and sound modeling [15]. Additionally, it also has been applied for different missions such as: image noise reduction, number identification, document recovery. From these practical applications, we have constructed algorithms based on the Back propagation and mini-batch gradient descent in order to be appropriate for predicting the QoS of Web service and meet the performance requirements on processing big data and we have also proven the convergence for our model. Here are our contributions in this paper.

- We introduce a new model (autominibatch) based on autoencoder for predicting the QoS values.
- Especially, we have used mini-batch gradient descents to improve the convergence time for processing large data sets effectively.

The remainder of this paper is organized as follows: Section 2 introduces to motivation for our approach. In Section 3 we present the model. In Section 4, we present the learning the model. Section 5, we apply the proposed approach to experimental evaluation and report the reliability prediction results. Finally, we conclude our work and some future directions in Section 6.

II. MOTIVATION

Big data is a broad term of a too big or complex data set while traditional algorithms are often not designed to process. Recently, some research have been expanded from different methods to solve large data sets. However, the current approach only focus on the processing without considering other important functions. E.g. processing-data time and the speed of algorithm convergence must meet the processing time in the context of a very large data set. With this reason we have a desire to find out how to improve the data processing speed fast and effectively, this is the main motivation for our approach. Authors [16] have proposed a method based on mini-batch training gradient descent, this method has two advantages: Firstly, After just b examples, can improve the parameters. Second, don't have to wait until we cycled through all the data, and don't have to update parameters after every example. This is very important for dealing with large datasets and this is also the first time we have applied mini-batch Gradient descent to predict the QoS in Web field.

III. THE MODEL

Let X be a vector of m visible units $(X = (X_1 + X_2 + \cdots + X_m))$ where consisting of m service user and n web service, called the user-service matrix. Every entry $r_{i,k}$ in matrix represents the a vector of QoS values (e.g., response time, failure-rate, etc.), that is observed by the service user i on the Web service k. Let F denotes the number of h hidden units $(h = (h_1, h_2, \ldots h_F))$, it can be thought of as representing stochastic binary features that have different values for different users. An important proplem in applying autoencoder to cope with the missing QoS values efficiently. In this paper, we constructed the model for predicting the QoS values, the model use a different autoencoder for every user (as shown in Figure 1). Each service user is considered as a single training case for an autoencoder which had a softmax visible layer symmetrically connected to a set of binary hidden layer. Each hidden unit could then learn to model a significant dependency between different values. Each autoencoder has a single training case, but all of the corresponding weights and biases are tied together, so if two users have the same values, their two autoencoders must use the same weights between the softmax visible units for that web service item and the hidden layer.

Let a_i^l denotes the activation of the total weighted sum of inputs and the bias term to unit i in layer l. We have

- For $l = 1$, we have $a_i^{(1)} = r_{ij}$ to denote the $i = th$ input.
- For $l = 2$, we have:

$$\begin{Bmatrix} a_1^{(2)} = f(W_{11}^{(1)} r_{ij}^{(1)} + W_{12}^{(1)} r_{ij}^{(2)} + \cdots + W_{1(m\times n)}^{(1)} r_{ij}^{(K)} + b_1^{(1)} \\ a_2^{(2)} = f(W_{21}^{(1)} r_{ij}^{(1)} + W_{22}^{(1)} r_{ij}^{(2)} + \cdots + W_{2(m\times n)}^{(1)} r_{ij}^{(K)} + b_2^{(1)} \\ \vdots \\ a_F^{(2)} = f(W_{z1}^{(1)} r_{ij}^{(1)} + W_{z2}^{(1)} r_{ij}^{(2)} + \cdots + W_{z(m\times n)}^{(1)} r_{ij}^{(K)} + b_F^{(1)} \end{Bmatrix} \quad (1)$$

And

$$\begin{Bmatrix} h_{W,b}(X_1) = a_1^{(3)} = f(W_{11}^{(2)} a_1^{(2)} + W_{12}^{(2)} a_2^{(2)} + \cdots + W_{1F}^{(2)} a_F^{(2)} + b_1^{(2)} \\ h_{W,b}(X_2) = a_2^{(3)} = f(W_{21}^{(2)} a_1^{(2)} + W_{22}^{(2)} a_2^{(2)} + \cdots + W_{2F}^{(2)} a_F^{(2)} + b_2^{(2)} \\ \vdots \\ h_{W,b}(X_m) = a_F^{(3)} = f(W_{F1}^{(2)} a_1^{(2)} + W_{F2}^{(2)} a_2^{(2)} + \cdots + W_{FF}^{(2)} a_F^{(2)} + b_F^{(2)} \end{Bmatrix} \quad (2)$$

Similar to $l = 3; l = 4; \ldots; l = s_l$
The following general formula

$$a_i^{(l)} = f(\sum_{j=1}^{F} W_{ij}^{(l-1)} a_j^{(l-1)} + b_i^{(l-1)}) \quad (3)$$

And calculating in the encoding step of the autoencoder as follows

$$h_{W,b}(X) = a_i^{(l+1)} = f(\sum_{j=1}^{F} W_{ij}^{(l)}.a_j^{(l)} + b_i^{(l)}) \quad (4)$$

Equation (4) may be rewritten as:

$$h_{W,b}(X) = a_i^{(l+1)} = f(\sum_{j=1}^{F} W_{ij}^{(l)}.f(\sum_{j=1}^{F} W_{ij}^{(l-1)}a_j^{(l-1)} + b_i^{(l-1)}) + b_i^{(l)}) \quad (5)$$

We can rewrite the general formula as follows

$$h_{W_1,W,b,b_1(X)=f(W_1.f(W.a+b)+b_1)} \quad (6)$$

where $f(.)$ is *activation functions.* Here, we set the activation function f to be the sigmoid function.

Table 1: Notations of model.

Notations	Explanation
S_l	denotes the number of layers in the model and we called label l as L_l
L_1	is the input layer
L_{sl}	is the output layer
W, b	denote parameters
W_{mn}^l	denotes the weight associated with the connection between unit n in layer l, and unit m in layer $l+1$
b_m^l	is the bias associated with unit m in layer $l+1$.
$h_{W,b}(X)$	is a hypothesis that outputs a real number
a_i^l	Activation (output) of unit i in layer i of the network.

Source: Author, (2026).

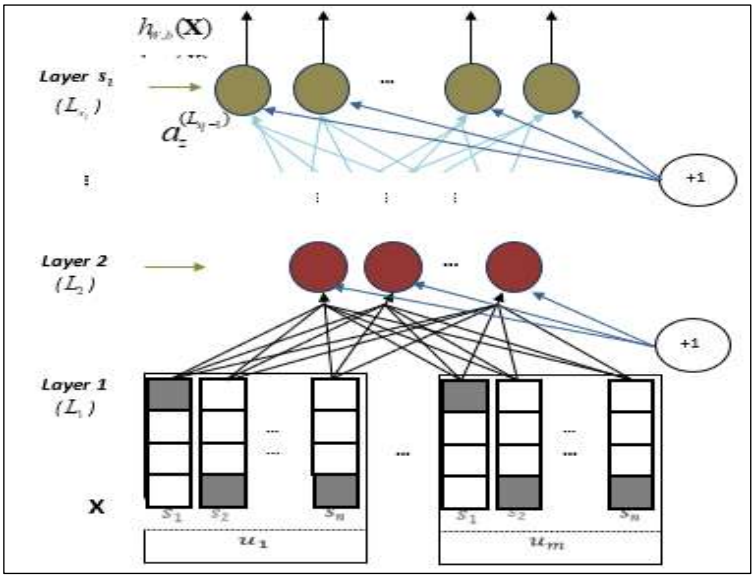


Figure 1: The Autominibatch model based on autoencoder (AWS).
Source: Author, (2026).

IV. LEARNING MODEL

Suppose we have a fixed training set of m training examples, we train the model using mini-batch gradient descent. In detail, we define the overall cost function to be

$$J(W,b) = \frac{1}{m}\sum_{u=1}^{m}\frac{1}{2}\left\| h_{W_{Ls_l},b_{Ls_l}}(X^{(u)}) - X^{(u)} \right\|^2 + \frac{\lambda}{2}\sum_l \|W_l\|^2 \quad (7)$$

The first term of $J(W,b)$ is an average sum-of-squares error term, The second term is a weight decay term to help prevent over-fitting and decrease the magnitude of the weights. Our goal is to minimize the total cost function $J(W,b)$ as a function of W and b. To train the model, we initialize each parameter $W_{ij}^{(l)}$ and $b_i^{(l)}$ to a small random value near zero (Normal $(0,\varepsilon^2)$ distribution for some small ε, say *0.01*. Then apply algorithm 1 to train Autoencoder such as mini-batch gradient descent. The parameters *W,b* is updated by performing an update for every mini-batch of m training examples:

$$W_{ij}^{(l)} = W_{ij}^{(l)} - \alpha\frac{\partial}{\partial W_{ij}^{(l)}}J(W,b,X^{(u:u+m)}) \quad (8)$$

$$b_i^{(l)} = b_i^{(l)} - \alpha \frac{\partial}{\partial b_i^{(l)}} J\left(W, b, X^{(u:u+m)}\right) \tag{9}$$

where α is the learning rate. There are two reasons to use the mini-batch for updating the parameters: Firstly, reduces the variance of the parameter updates, lead to more stable convergence. Second, can make use of highly optimized matrix optimizations common to state-of-the-art deep learning libraries and computing the gradient w.r.t. a mini-batch very efficient. To compute the partial derivatives above, we use the backpropagation algorithm to compute these partial derivatives.

$$\frac{\partial}{\partial W_{ij}^{(l)}} J\left(W, b, X^{(u:u+m)}\right) = \left[\frac{1}{b_1} \sum_{u=k}^{k+(b_1-1)} \frac{\partial}{\partial W_{ij}^{(l)}} J(W, b, X^{(u)})\right] + \lambda W_{ij}^{(l)} \tag{10}$$

$$\frac{\partial}{\partial b_i^{(l)}} J\left(W, b, X^{(u:u+m)}\right) = \frac{1}{b_1} \sum_{u=k}^{k+(b_1-1)} \frac{\partial}{\partial b_i^{(l)}} J(W, b, X^{(u)}) \tag{11}$$

Where b_1 is mini-batch size.

Algorithm 1: One iteration of the mini-batch gradient descent algorithm.

Set $\Delta W^{(l)} := 0, \Delta b^{(l)} := 0$ for all l
Parameter: mini-batch size b_1
k=1;
Repeat {
u:=k;
Repeat {
- Compute $\nabla_{W^{(l)}} J(W, b, X^u)$ and $\nabla_{b^{(l)}} J(W, b, X^u)$
- Set $\Delta W^{(l)} \leftarrow \Delta W^{(l)} + \nabla_{W^{(l)}} J(W, b, X^u)$
- Set $\Delta b^{(l)} \leftarrow \Delta b^{(l)} + \nabla_{W^{(l)}} J(W, b, X^u)$

$u := u + 1;$
Until $u > (k + b_1)$
$k := k + b_1;$
Until $k > m$;
Update the weights and biases (5.8) and (5.9)

$$W_{ij}^{(l)} = W_{ij}^{(l)} - \alpha \left[\frac{1}{b_1} \Delta W^{(l)} + \lambda W^{(l)}\right] \quad \text{using the formula (5.8)}$$

$$b_{ij}^{(l)} = b_{ij}^{(l)} - \alpha \left[\frac{1}{b_1} \Delta b^{(l)}\right] \quad \text{using the formula (5.9)}$$

Source: Author, (2026).

To make predictions, we give the training set of one user and a new query service *q*. The input layer for a specific unit represents the probability which service *q* will be predicted the QoS value *k*. As such the expected rating for item *q* is computed as

$$r_q = \sum_k k . \frac{f\left(\sum_{j=1}^{F} W_{ij}^{k(l)} a_j^{(l)} + b_i^{k(l)}\right)}{\sum_k f\left(\sum_{j=1}^{F} W_{ij}^{k(l)} a_j^{(l)} + b_i^{k(l)}\right)} \tag{12}$$

V. EXPERIMENTAL

V.1 DATA SETS DESCRIPTION

We have used public real world Web-service QoS data set for our experiments. This is WS-DREAM (*http://www.ws-dream*) data set, it is a Distributed Reliability Assessment Mechanism for Web Services and allowing users to carry out a reliable and quality assessment web service in a collaborative manner. We conducted experiments the algorithm from two different data sets in WS DREAM. *Dataset 1*[17]: The data set monitor 100 Web services by using 150 distributed computer nodes located all over the world. The obtained results are contained in 150 files, where each file includes 10,000 Web Services invocations on 100 Web services by a service user, there are totally more than 1.5 million Web service invocations and each line in the file is a web service invocation result. We randomly extract 100 files, each file includes 1000 Web service invocations on 100 Web services by a service user, there are totally more than 10.000.000 Web service invocations. *Dataset 2* [18]*:* Real-world QoS evaluation results from 142 users on 4,532 Web services on 64 different times. The obtained results include two files: Response-time (RtRate) and Throughput (TpRate), where each file has collected 4,532 Web services from public sources on the Web. 142 distributed computers from the Planet-Lab are employed for evaluating the QoS performance of Web services in 64 times intervals. Each of the dataset 1 and dataset 2 was divided into two parts. A training set (80%) and a test set (20%). We randomly removed entries 10% on the data set as missing QoS values.

V.2 EVALUATION METRIC

To evaluate the proposed model, we use both the Mean Absolute Error (MAE) and the Root Mean Square Error (RMSE) metrics to measure the prediction missing QOS value of our model. The evaluation rules are given by the following forms:

$$MAE = \frac{\sum_i [r_i - p_i]}{N} \tag{13}$$

$$RMSE = \sqrt{\frac{\sum_i (r_i - p_i)^2}{N}} \tag{14}$$

Where p_i is the standard deviations of the predicted values, r_i is real QoS value, N is the sum of the absolute difference over all pairs.

To prove the effectiveness of the proposed model, we compare our model with the following approaches:

***RBM* [19]** describe a class of two-layer undirected graphical models based on Restricted Boltzmann machines (RBM), it show that learning can be performed efficiently by using Contrastive Divergence (CD).
***AutoRec* [20]** This paper presents a novel autoencoder framework for CF, it is called AutoRec, the model is used backpropagation algorithm and fine-tuning by gradient descent.

V.3 EXPERIMENTAL RESULTS

We first set the parameters in the AutoMinibatch model with mini-batch size 300, number of hidden layers in the model (*Layer=150*), learning rate of *0,01* and tuned the regularisation strength $\lambda \in \{0.001; 0.01; 0.1; 10; 100\}$. For RBM, we train the RBM with $F = 100$, the weights were updated using a learning rate of *0.01*, momentum of *0.9* and CD learning was started with $T = 1$. For AutoRec, we tuned the regularization strength $\lambda \in \{0.001; 0.01; 0.1; 10; 100; 1000\}$ and the appropriate latent dimension $k \in \{10; 20; 40; 80; 100; 200; 300; 400; 500\}$. We selected training all models for between 200 and 300 passes (epochs) through the entire training two data sets. The values of these parameters were found above, empirically evaluating was found to yield quite good results. The RMSE and MAE values of all methods on both datasets are shown in Table 2. The results show that AutoRec have performance better RBM and AutoMinibatch obtains smaller MAE and RMSE values consistently, which indicates better prediction accuracy.

Table 2. Prediction quality on both datasets.

Methods	***Dataset 1***		***Dataset 2***			
			Response-time		*Throughput*	
	MAE	*RMSE*	*MAE*	*RMSE*	*MAE*	*RMSE*
RBM	0.3708	0.6111	0.3520	0.5839	0.4321	0.7583
AutoRec	0.3609	0.6028	0.3382	0.5812	0.4191	0.7335
AutoMinibatch	**0.3355**	**0.5780**	**0.3134**	**0.5591**	**0.4011**	**0.7190**

Source: Author, (2026).

Figure 2 and Figure 3 are the results of the models (RBM, autoRec and AutoMinibatch) on two datasets. The x-axis shows the number of epochs and the y-axis displays the MAE/RMSE of the models. We observed a faster rate of convergence for RBM when using the CD learning with T=2. This also shows that learning CD significantly improves performance of the RBM model. However, compared to AutoRec, RBM has slower convergence speed. Especially, AutoMinibatch has the fastest convergence speed, this indicates that AutoMinibatch give the lowest MAE, RMSE values on two datasets.

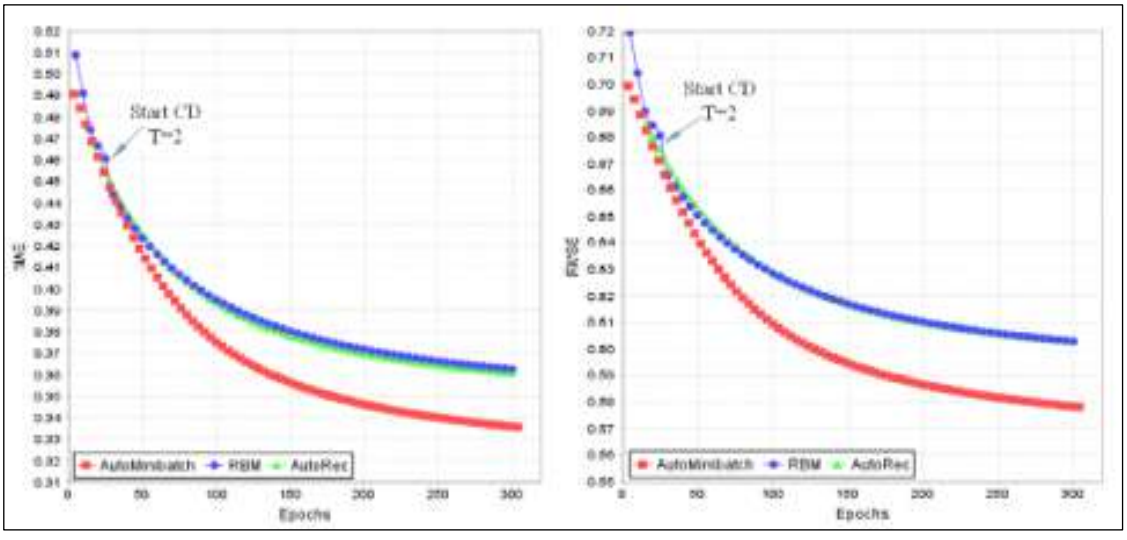


Figure 2: Performance of various models on dataset 1.
Source: Author, (2026).

The y-axis displays MAE or RMSE and the x-axis shows the number of epochs, or passes through the entire training dataset.

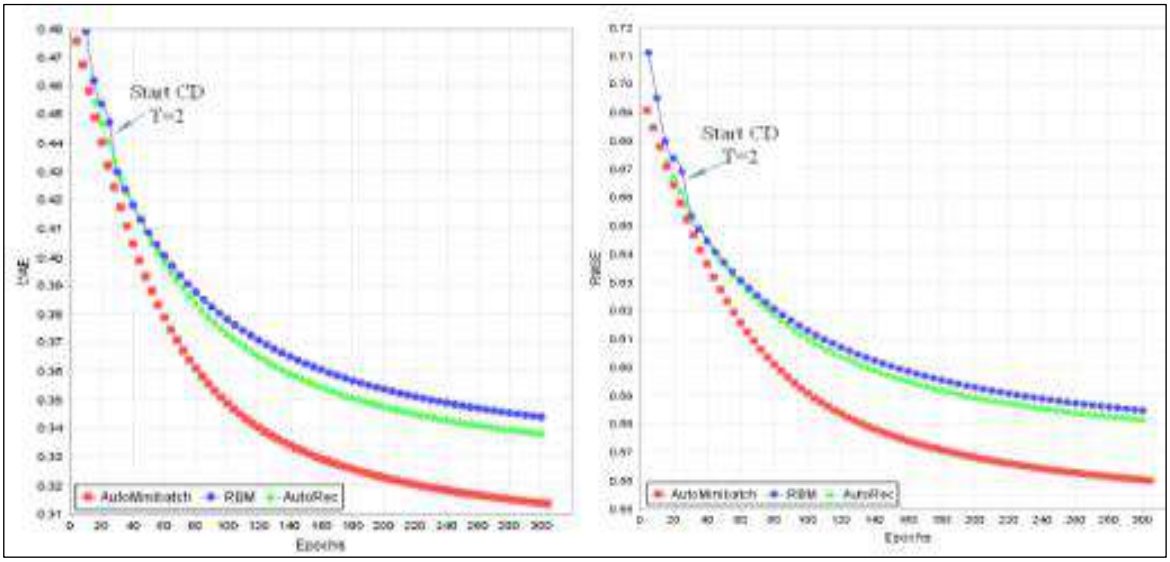


Figure 3: Performance of various models on dataset 2 (Response-time).
Source: Author, (2026).

The y-axis displays MAE or RMSE and the x-axis shows the number of epochs, or passes through the entire training dataset. On the other hand, AutoMinibatch model has the number of free parameters is very large. So, to find a satisfying combination of parameters for the model is not an easy task by the following reasons:

- First, all these parameters are involved in the curve.
- Second, sometimes they reinforce each other or destroy each other or even make it more complex.
- Finally, we must have the time required to evaluate a set of parameter settings, it is not easy to combine the effective parameters.

In that context, we presented a way to add three experiments below with the aim of this study is to clarify the individual effect of each parameter on the model.

Learning rate: We first study the influence of the learning rate for faster convergence, we set three different parameters for learning of $\gamma = (0.01; 0.001; 0.0001)$ and all remaining parameters like in the experiments above. Figure. 4 and Figure. 5 display the results of the learning rate on two datasets and they have a different impact on the convergence. If we set the learning values γ to be too small $\gamma = 0.0001$. The result is almost a straight line and it almost does not affect the learning model, therefore, this value will not be appropriate for the model. The results show that the value $\gamma = 0.01$ the convergence rate is faster than $\gamma = 0.001$, so, we can conclude that the $\gamma = 0.01$ offers best result of the model.

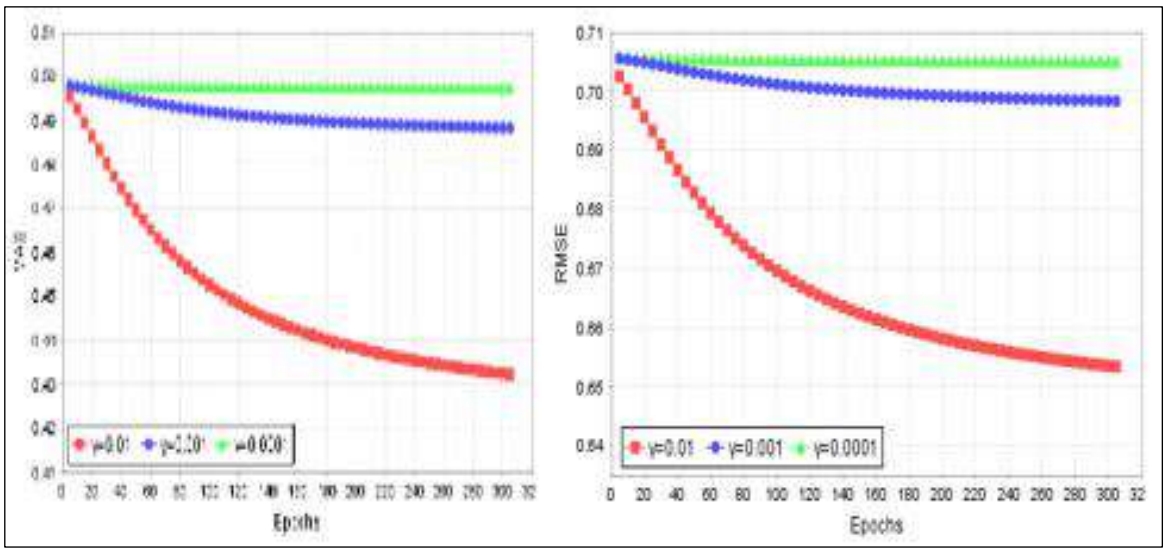


Figure 4: The effect of learning of various models on dataset 1.
Source: Author, (2026).

The y-axis displays MAE/RMSE and the x-axis shows the number of epochs, or passes through the entire training dataset

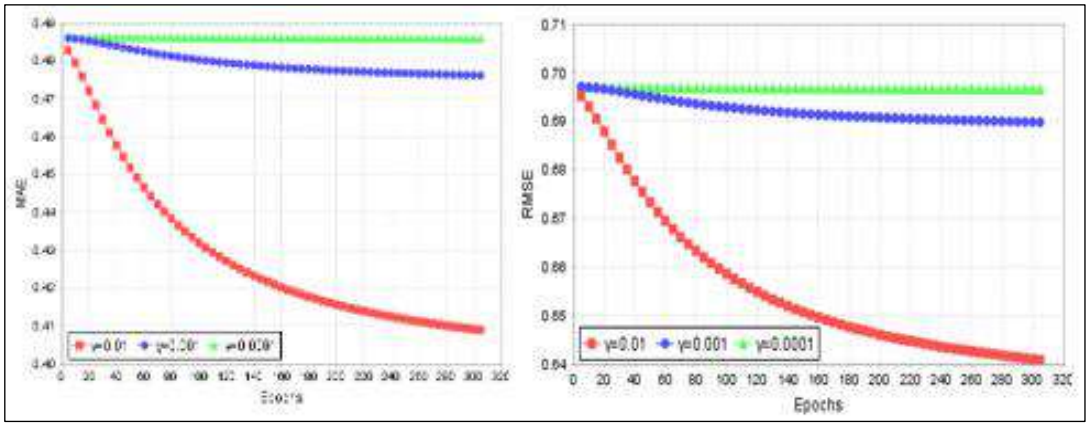


Figure 5: The effect of learning of various models on dataset 2 (Response-time).
Source: Author, (2026).

The y-axis displays MAE/RMSE and the x-axis shows the number of epochs, or passes through the entire training dataset.

The number of hidden layers: The determination of the number of layers and the number of nodes in each layer are a very important part in deciding model architecture. Therefore, we firstly examines how to determine them for effectiveness. There are two issues related to select the number of layers and the number of nodes in each layer: First, the hidden nodes are not directly interacting with the external environment, but they have a tremendous influence on the final output. Second, depending on the training data that we can choose the number of different hidden nodes, but if we choose too many hidden layers and hidden nodes, it can lead to over-fitting. To demonstrate the influence on the number of hidden layers and hidden nodes in each layer in the model, we choose three different values: 50 layers (Layer=50), 100 layers (*layer=100*) and 150 layers (*layer=150*) and each layer we choose 200 hidden nodes. The results which are illustrated in Figure. 6 and Figure. 7 show that there is a huge difference in the speed of convergence among various hidden layers. With *layer=150*, the convergence rate is the fastest.

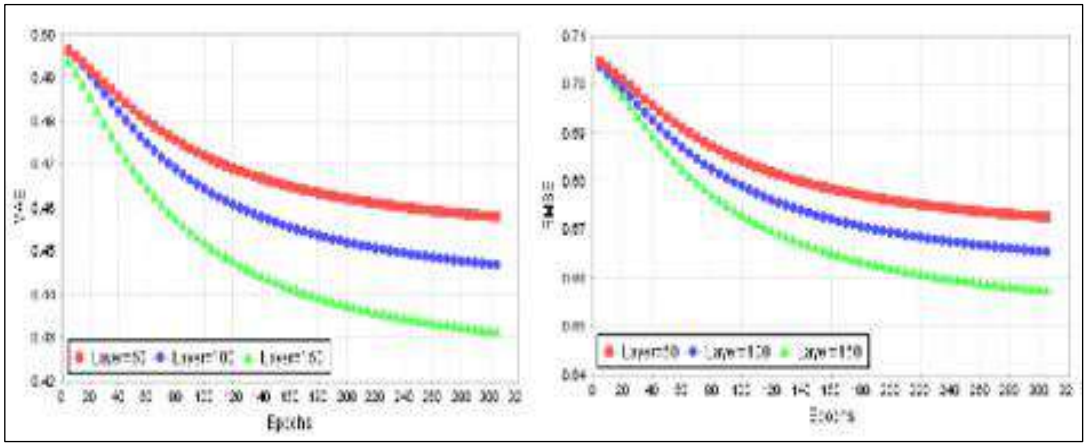


Figure 6: The effect of the number of hidden layers on dataset 1.
Source: Author, (2026).

The y-axis displays MAE/RMSE and the x-axis shows the number of epochs, or passes through the entire training dataset.

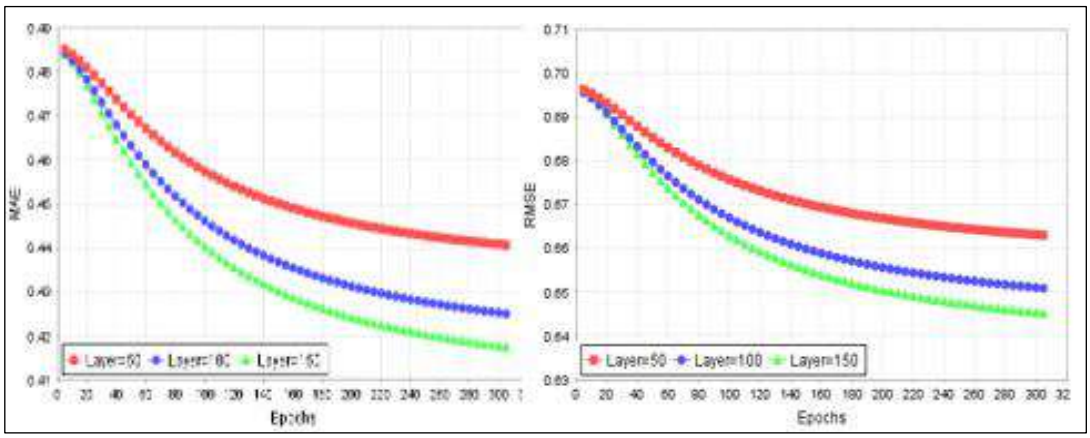


Figure 7: The effect of the number of hidden layers on dataset 2 (Response-time).
Source: Author, (2026).

The y-axis displays MAE/RMSE and the x-axis shows the number of epochs, or passes through the entire training dataset.

Mini-batch size: Mini-batch size will directly affect the number of times that update parameters in the model. To experiment, we also choose different mini-batch size as follows: *mini-batch size=100*, *mini-batch size=200* and *mini-batch size=300*. All other parameters as above experiment. The result in Figure 8 and Figure 9 show that all the mini-batch seem to be almost equal. But if we look carefully, we will see different results, in which *mini-batch size=300* has the best result. Basing on the experimental results above, we shown that the following parameters have the best convergence: Learning rate with $\gamma = 0.01$; The number of hidden layer is 150; and mini-batch size=300. However, depending on the datasets there will be different parameters.

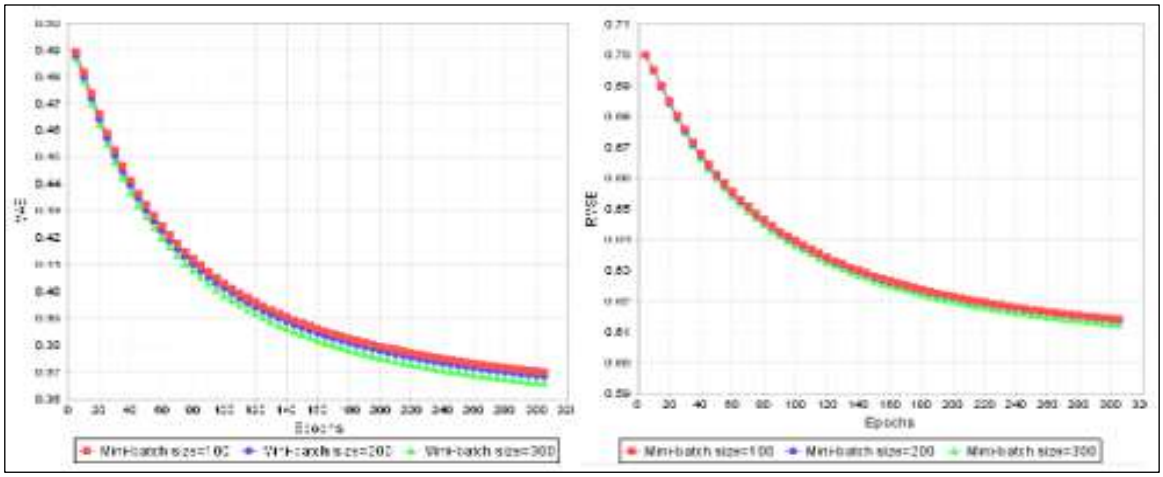


Figure 8: The effect of the mini-batch size on dataset 1.
Source: Author, (2026).

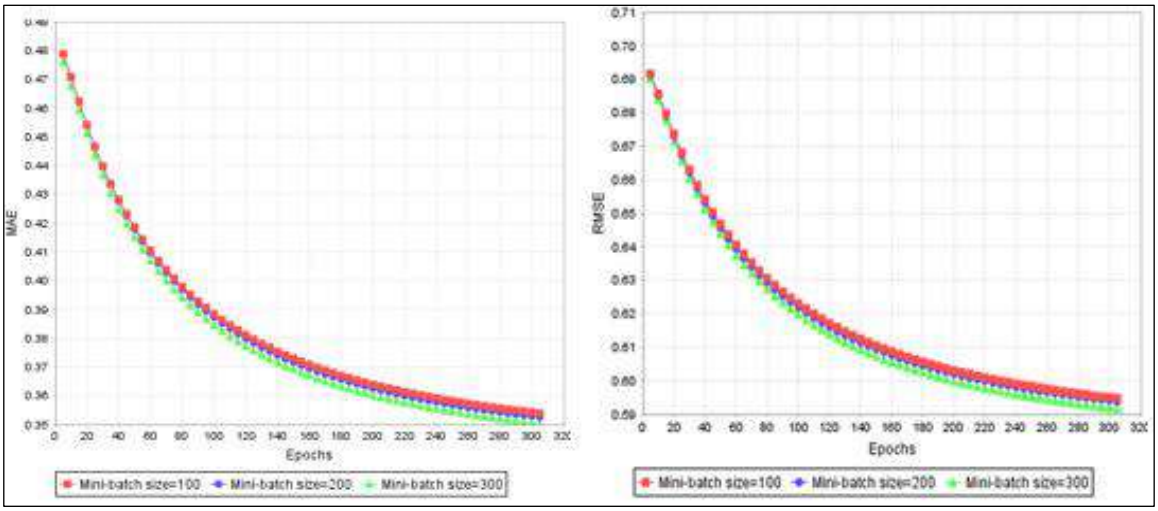


Figure 9: The effect of the mini-batch size on dataset 2 (Response-time).
Source: Author, (2026).

VI. CONCLUSION AND FUTURE WORK

In parallel with the development of e-commerce, service oriented systems have become one of the most dynamic research areas. The objective of the systems is to recommend QoS to users, but to identify whether a service provider is good or bad, it depends on many different factors. If we want to predict the Web service reliability for the current user or helping users find appropriate Web service providers, we'll force them to collect more detailed information about each user and maintain data for all users. On the other hand, the skyrocketing number of users and service providers lead to a huge volume of data. To contribute to the solving of the above problems, in this paper, we introduced a new model called AutoMinibatch with two goals: First, adding a new method for evaluating prediction the field of web service quality. Second, opening for predicting QoS on large data sets based on an autoencoder.

The model used backpropagation and fine-tuned by mini-batch gradient descent. Experimental results obtained are very satisfying and better than what we expected. AutoMinibatch has faster final convergence than RBM and AutoRec. In addition, we also demonstrate how to choose the parameters (Mini-batch size, the number of hidden layer and learning rate) for the best efficiency. The best results obtained from experiments: Mini-batch size=300, the number of hidden layer is 150 and learning rate is 0.01. In the future, we will orient some work that needs to be done here. First, We will finish building a system of collecting information of QoS values from different service users and predicting the missing QoS values for active users based on the Autominibatch model. Second, algorithms typically do not take into account any form of implicit feedback for making inferences. Normally this feedback information has only a small number of ratings in the training set, but it is a very useful source of information for the other users. So, the architecture of the AutoMinibatch model has been modified to take all this extra information into account and called a conditional Autominibatch model.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Le Van Thinh.
Methodology: Le Van Thinh.
Investigation: Le Van Thinh.
Discussion of results: Le Van Thinh..
Writing – **Original Draft**: Le Van Thinh.
Writing – **Review and Editing**: Le Van Thinh.
Approval of the final text: Le Van Thinh.

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RESEARCH ARTICLE OPEN ACCESS

A MACHINE LEARNING AND HYBRID FEATURE SELECTION FRAMEWORK FOR PREDICTING PRETERM BIRTH IN NULLIPAROUS WOMEN USING ELECTRONIC MEDICAL RECORDS

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ABSTRACT

Preterm birth (PTB) is a leading cause of neonatal mortality worldwide, underscoring the need for accurate early prediction. This study presents a machine learning framework combined with hybrid feature selection to predict PTB risk in nulliparous women using data from electronic medical records collected during prenatal consultations. Clinical, demographic, and physiological data were obtained from the publicly available nuMoM2b dataset, covering three gestational intervals: 6–13 weeks, 16–21 weeks, and 22–29 weeks. Data preprocessing and standardization were performed using Differential Evolution (DE) to enhance quality and improve model performance. A hybrid feature selection approach, integrating the Dragonfly Optimizer with entropy-based relevance ranking, was employed to identify informative and non-redundant predictors, reducing dimensionality and noise while maintaining clinical interpretability. A Multilayer Perceptron (MLP) classifier trained on the selected features differentiated term and preterm deliveries. The framework achieved 88.41% accuracy, AUC = 0.80, precision = 85.84%, recall = 87.24%, and F1-score = 88.15%. Incorporating ultrasound features such as cervical length and Plasticity Index further improved predictive performance. Notably, at the third prenatal consultation, the model reached 85.62% sensitivity for predicting very preterm infants. These findings highlight the importance of ultrasound measurements and demonstrate that integrating machine learning with evolutionary optimization and entropy-based feature selection can significantly enhance early PTB risk detection. The approach enables timely interventions for high-risk pregnancies, potentially improving maternal and neonatal outcomes. This study underscores the value of computational methods in clinical decision support and emphasizes how machine learning can transform prenatal care for nulliparous women.

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I. INTRODUCTION

High-risk pregnant women can get prompt preventative measures to lower their risk of preterm birth by being identified early [1]. Although invasive screening and imaging tests have the potential to be successful screening techniques, they are still in the experimental stage due to their high cost, potential risks, and limited accessibility [2]. Non-invasive screening techniques using machine learning (ML) algorithms based on comprehensive pregnancy surveillance data alongside multilevel information connection to delivery records, without the need for any additional physiologic or imaging tests, have the potential to support clinical decision making to predict adverse pregnancy outcomes and guide pregnancy management [3]. The frequent medical care that survivors of preterm birth need, which has a detrimental effect on their quality of life and mental health, further strains the family economy and health care system [4]. Therefore, early detection of preterm birth is essential to enable medical professionals to perform prompt therapies to enhance infant outcomes. Because of the intricacy of the system, no set standards have been established for the prediction of preterm birth [5].

At the moment, evaluation of biochemical markers, cervical measurement, and risk factors serve as the primary foundation for clinical evaluation of PTB [6]. However, not all of these diagnostic methods are therapeutically acceptable for every pregnant woman because of their lack of safety or cost-effectiveness, even though they may be able to identify particular preterm birth characteristics [7]. For instance, examinations like cervical measurement and biochemical marker assessment will put the expectant mother under more physical and mental stress, and the expense of the tests will put more financial strain on the family [8]. The main driving force for our work is the importance of making an accurate prediction of PTB. These forecasts are essential to manage the logistical aspects of newborn care as well as for starting prompt interventions, particularly in areas with a shortage of advanced care facilities.

Steroids to encourage lung maturity and magnesium sulfate injections to safeguard the developing brain are essential treatments when access to skilled neonatal care is restricted. Accurately anticipating preterm birth also makes it easier to transfer patients either prenatally or postnatally to facilities that can offer critical care in situations where the required facilities are not available immediately, improving outcomes for both mothers and newborns [9]. Finding preterm birth risk factors is the main goal of the majority of current research on the prediction of PTB. Numerous risk factors have been demonstrated to increase the likelihood of preterm birth, namely body mass index (BMI), maternal family history, cervical length, vaginal hemorrhage, and depression [10], [11].

In recent years, a lot of research has focused on the use of Electronic Medical Records (EMRs) to predict premature birth. For instance [12] employed a stabilized sparse logistic regression approach to attain an AUC of 0.79 while concentrating on appropriate data preparation, addressing problems including data leaking and class imbalance. By merging racial-ethnic groupings [13] were able to predict PTB in nulliparous women utilizing data from almost 2 million patients, achieving an AUC of 0.67 [14] used a C5.0 Decision Tree to develop a model that achieves a sensitivity of 90.9% and a specificity of 71.8%, surpassing the prediction quality of costly and invasive fibronectin marker testing. By [15] utilized a variety of ML models to predict the delivery of extreme PTB (before 28 weeks), and they were able to get an AUC of 0.827 using an ensemble of LSTM models.

I.1 IDENTIFIED RESEARCH GAPS:

Although there is growing interest in using ML to predict preterm birth (PTB), existing models struggle to handle feature redundancy, integrate temporal clinical data, and achieve high sensitivity in the early stages of pregnancy. Although DL has been applied to EMR in a number of recent studies, many of these studies either ignore the temporal evolution of risk factors throughout prenatal Consultations or depend on static feature sets. For instance, Traditional time-series LSTM techniques by Zhang et al., (2022) [16], enhances prediction performance but frequently depend on insufficient gestational data, which restricts their use in late-trimester categorization. Similar issues with interpretability and dimensionality found by [17], they use ensemble methods to Electronic Health Record data, which affected their practical clinical applicability. On full multi-Consultation EMR data [18] showed that ensemble approaches can be adopt moderate accuracy, but they had trouble with feature interpretability and redundancy.

Crucially, the majority of current models do not dynamically include ultrasound-derived factors such as cervical length and plasticity index over gestational intervals. For extremely preterm and severe preterm forecasts, this omission results in decreased accuracy, especially in the later trimesters when intervention is essential. Furthermore, not much research has available in terms of hybrid evolutionary techniques (such DE or Dragonfly Optimization) in combination with entropy-based methods for novel and comprehensible feature selection in medical datasets. Additionally, there is discussion about an efficient feature fusion method for multi-Consultation data, which is crucial consideration for longitudinal PTB prediction. Thus, a significant research gap still exists in creating an end-to-end system for accurate and interpretable PTB risk prediction that uses publically available EMR datasets such as nuMoM2b and integrates DL classification, hybrid feature selection, and adaptive feature preprocessing.

I.2 OBJECTIVES

The objective of this research is to use longitudinal EMRs from publicly accessible nuMoM2b datasets to create a novel ML framework for early PTB prediction. The study specifically tried to address the limitations in existing research gaps by (i) integrating temporal clinical data from multiple prenatal Consultations, (ii) integrating ultrasound-derived parameters such as cervical length and pulsatility index to improve predictive sensitivity , and (iii) implementing a novel hybrid feature selection approach that combines entropy-based relevance ranking with evolutionary optimization techniques (e.g., Differential Evolution and Dragonfly Optimization) to manage feature redundancy and guarantee clinical interpretability. By using this method, the study hopes to facilitate clinically useful risk assessments that enhance the outcomes for mothers and newborns.

I.3 MAJOR CONTRIBUTION OF THIS PAPER:

In order to overcome a number of shortcomings in discussed methods, this study offers an innovative ML framework for the early PTB. The following are this study main contributions:

- Integration of Multi-Consultation Prenatal-EMR Data: This study integrates longitudinal data from three different prenatal intervals (6–13, 16–21, and 22–29 weeks), which captures the changing nature of risk variables during pregnancy.
- Methodology for Hybrid Feature Selection: The Dragonfly Optimization Algorithm and entropy-based relevance ranking are used to provide a novel hybrid feature selection approach. This approach dynamically provides a balance among redundancy and feature relevance which is lack from conventional filter or embedded selection methods.
- Ultrasound Feature Fusion: The model incorporates clinical data that are generally left out of many PTB prediction models, such as cervical length and pulsatility index, but are generated from ultrasound. The model sensitivity to identify the extremely preterm and very preterm babies, particularly in later trimesters, is increased by the inclusion of these data.
- Data Preprocessing using Evolutionary Optimization: To improve data quality and reduce the imbalance and noise in prenatal records, the system uses Differential Evolution (DE) for preprocessing and standardizing clinical variables from our previous study.

- Interpretable DL Model: To overcome the common shortcomings of DL models, a MLP classifier is trained using the optimized feature set to achieve excellent accuracy which guarantees the model transparency and clinical application.
- Validation on Public Dataset: The methodology is validated on the nuMoM2b dataset to ensure the reproducibility and encouraging the open research. The experimental results show better performance in terms of accuracy, AUC, sensitivity, and specificity when compared to baseline models.

II. THEORETICAL REFERENCE

II.1 LITERATURE REVIEW

The relevant literature on PTB prediction using ML and DL techniques is included in this section. By [19] utilized readily available variables from prenatal visits and machine learning to forecast premature birth in nulliparous women. Five-fold cross-validation was used to assess Elastic-net regularized logistic-regression models on data from 8,830 women at three prenatal visits who were part of the nuMoM2b dataset. Along with noteworthy gains in sensitivity and specificity, AUC values rose from 0.6161 in the first visit to 0.7087 in the third. The predictive capacity of the models was significantly improved by the additional measurements. Interestingly, at the third prenatal visit, the model's sensitivity for predicting very-preterm and extreme-preterm infants was 0.8254 and 0.9295, respectively. By [20] aims to create a Risk Prediction Conceptual Model (RPCM), a ML model, for PTB prediction. This work proposes a feature selection method based on the concept of entropy. The goal of the unique strategy is to forecast the classifier's accuracy at the greatest level by identifying the best maternal features that causes PTB from the obstetrical dataset. We then gather obstetrical data from rural communities' Community Health Centers (Kamdara, Jharkhand).

To categorize the considered data into term birth and PTB, the recommended method is utilized to the data gathered to determine the great maternal features of pregnant women. At the end, SVM classifier secured improved performance of 90.9% accuracy. By [21] predicts neonatal mortality and neonatal morbidities such as necrotizing enterocolitis, retinopathy of prematurity, and bronchopulmonary dysplasia in very low birth weight infants using machine learning. Time series data and clinical characteristics gathered at Helsinki University Hospital's Children's Hospital's neonatal ICUS as our predictors. We look at nine distinct classifiers. In order to increase classifier sensitivity, our systematic analysis also includes various data pretreatment techniques. When it comes to predict the classes, the analyzed classifier AUROC is 0.922, 0.899, and 0.846, respectively. According to [22] suggests a ML-based PTB prediction model. All of the patients in this study were chosen from a Chinese hospital, and the data evaluated ranged from 2008 to 2018. 4775 of the 9550 pregnant women who were enrolled in the research had PTB. 4775 individuals in all were chosen at random to serve as controls. The accuracy (0.816) and AUC (0.885) of the RF model based on 27 weeks of gestation were the highest when compared to other approaches.

By [23] create, train, and evaluate ML models for singleton pregnancies at various gestational intervals that predict preterm birth (less than 37 weeks gestation). The models were developed using complete data using 22,603 singleton pregnancies from prospective based on populations cohort research conducted in 51 hospitals through midwifery clinics in Wenzhou City, China, during 2014 and 2016. To build prediction models, the top 10%, 25%, and 50% of predicting features were selected. Employing the training data set with five-fold cross-validation, prediction models were developed for internal validation. AUC results were utilized to assess the model performance. After 26 weeks of gestation, the CatBoost-based prediction model outperformed the others with an accuracy of 0.81 and an AUC value of 0.70 (0.67, 0.73). According to [24] intends to use a reduced PSG-based system that solely uses airflow data to find sleep apnea in pregnant nulliparous women. For sleep-disordered breathing (SDB) studies, we used the nuMOM2b dataset, which included 3012 female participants. It is based on computer-aided diagnostic tool to detect sleep apnea in expectant mothers automatically. Wavelet coefficients are used to extract the L1- norm features.

To automatically identify apnea, the chosen features are subsequently passed into a variety of ML classifiers. Using the RUS-Boosted tree classifier, the created model achieved the best accuracy of 83.9% with the F1 score of 0.91. In turn [25] utilized ML techniques to find the main predictors of PTB among clinical and dental factors. We collected cohort data from 60 women who had cesarean sections for singleton infants (30 PTB, 30 FTB). PTB and spontaneous PTB (SPTB) were the dependent variables. For the ML analysis, 15 independent variables which includes10 clinical and 5 dental factors were chosen. The key predictors of PTB and SPTB were found using the Random Forest (RF) variable significance. The relationships among the predictors and PTB/SPTB were examined using Shapley additive explanation (SHAP) values. Pregnancy BMI, modified gingival index (MGI), preeclampsia and two more factors were the top five that were identified as major factors to predict PTB based on RF variable relevance. Mother age, Premature rupture of the membranes and pre-pregnancy BMI were among the key predictors of PTB/SPTB that showed positive relationships with SHAP levels.

The necessity of integrated medical and dental care during pregnancy is highlighted by the positive correlations shown among these predictors and PTB. By [26] suggests a two-phase approach in which Phase I will construct a graphical user interface (GUI) based on ML for the early PTB prediction and will choose the key factors that cause PTB based on the opinions of experts and a review of the literature. Using paper based data collected from a Jharkhand hospital, 15 sociodemographic factors are extracted from digitized birth dataset (DD-I). To determine their connection with PTB, parameters are statistically examined. With a mean accuracy of 88.02% (with SD.: 0.001), the RF learner is then examined as the superior for early prediction, outperforming traditional manual methods.

These studies demonstrate the increasing interest in predicting preterm births using EMRs. There is still a sizable gap in the literature, though, as many of the discussed models either don't assess the model performance at various pregnancy stages. By concentrating on readily available characteristics that can be gathered during routine prenatal visits and evaluating the model's prediction power at various pregnancy stages, our study aims to close this gap.

III. MATERIALS AND METHODS

Write in detail the research project, including background and limitations. The selection of materials and methods, procedures and equipment must be justified so that the work can be reproduced. Modifications or new methods must be described in detail. You must clearly define the universe and specify how the sample was selected and why it is representative.

Data processing represents the practical development of a theoretical basis, deriving the model equations to program the calculation algorithm, according to the need. In materials, they include the technical specifications and the quantities, the origin and, if necessary, the method for its elaboration . The proposed architecture in Figure 1 presents a robust, ML pipeline designed for accurate PTB using EMR. The process comprises of five phases including data preprocessing, data structuring (Temporal), feature selection, classification and model assessment. Data Preprocessing: Initially the raw clinical data is preprocessed to remove the records with missing or irrelevant features, no indication of birth type as PTB or full term, or unrelated risk factors. Differential Evolution (DE) based preprocess on medical PTB data from our previous research is used to optimize this process for data cleaning. The cleaned dataset is divided into training and testing subsets of 70:30 stratified sampling. To class imbalance is addressed by SMOTE (Synthetic Minority Oversampling Technique) method.

Temporal Data structure: The training data is further divided longitudinal subsets based on prenatal Consultations intervals as baseline, Consult1 (6 to 13 weeks), Consult2 (16 to 21 weeks) and Consult3 (22 to 29 weeks). This segmentation helps model for risk factors evolution among the gestation. Feature selection using H-EDFO: This hybrid approach combines entropy-based feature relevance score with the DFO. It ranks the features based on their clinical relevance and removes the redundant or less informative features by improving the interpretability and performance. Classification using MLP: The optimized feature subset is fed as input to MLP that classify the outcomes as PTB and non-PTB. Model evaluation and Interpretation: The final phase states include discrimination and calibration analysis to evaluate the model performance and reliability using the metrics accuracy, sensitivity and AUC across various gestational stages.

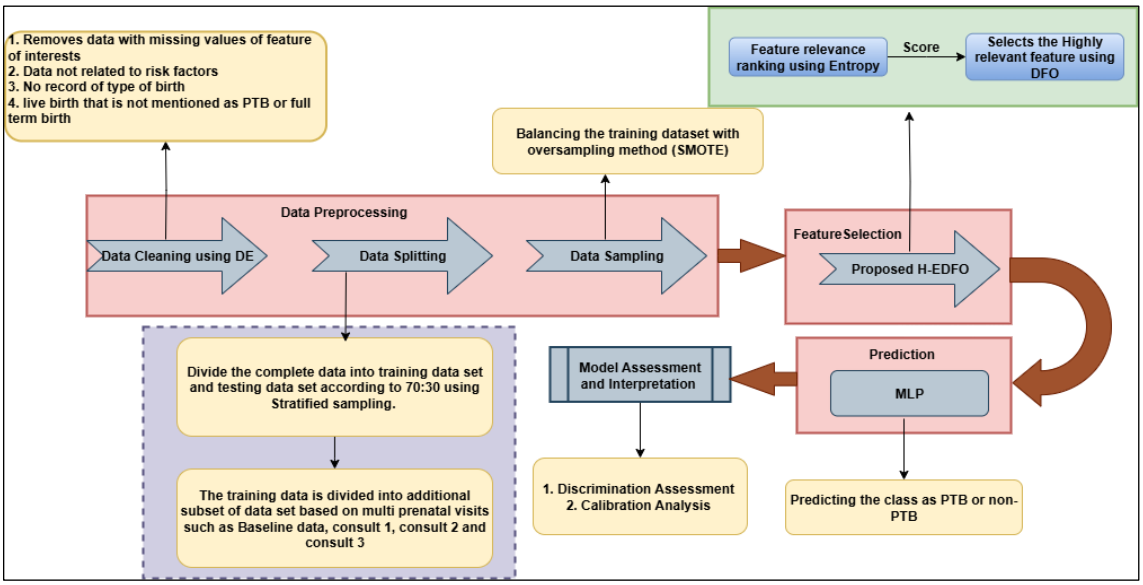


Figure 1: Proposed architecture of PTB prediction using longitudinal EMR data from nuMom2b dataset.
Source: Authors, (2026).

III.1 DATA SET DESCRIPTION AND SELECTION

One useful tool in our research is the Nulliparous Pregnancy Outcomes Study: New Mothers-to-Be (nuMoM2b) dataset made publicly available by the NICHD DASH repository (2015), served as the dataset for this investigation. Its usage in this study didn't require any further ethics clearances or data use agreements [27] which is an extensive collection 10038 nulliparous women with singleton pregnancies [27] who were sourced from eight clinical facilities connected to research institutes are included in the dataset respectively, Western Reserve University (Site 1), Columbia University (Site 2),Indiana University (Site 3), Magee-Women's Hospital (Site 4), Northwestern University (Site 5), University of California Irvine (Site 6), University of Pennsylvania (Site 7), and the University of Utah (Site 8) [19].

The nuMoM2b study's main goals were to: (1) identify maternal traits that influence or predict an adverse pregnancy outcome, such as genetics, epigenetics, and the body's response to environmental influences and pregnancy (2) identify specific elements of placental growth and function that lead to a poor pregnancy outcome; and (3) outline the genetic, growth, and developmental characteristics of the fetus that are connected to a poor pregnancy outcome.

The requirement of study inclusion and exclusions are listed in Table 1:

Table 1: Considered inclusion and exclusion data requirements of prenatal Consultation.

Inclusion	Exclusion
Pregnant women who were nulliparous (defined as having no previous pregnancies longer than 20 weeks), (2) identify specific elements of placental growth and function that lead to a poor pregnancy outcome; and (3) outline the genetic, growth, and developmental characteristics of the fetus that are connected to a poor pregnancy outcome.	1) Maternal age <13 years, 2) history of at least three spontaneous abortions, (3) identified fetal aneuploidy, (4) a surrogate pregnancy, (6) multifetal pregnancy reduction, (7) involvement in an intervention study that could impact maternal or fetal morbidities/mortality (8) previous enrollment in the nuMoM2b study, (9) planned pregnancy termination, and (10) inability to give informed consent

Source: Authors, (2026).

Based on the dataset description, collection of data is based on interviews, clinical measurements, ultrasounds, self-administrated questionaries and medical records review at the scheduled Consultations as stated in Table 2. To guarantee data consistency and integrity across trial sites, particular data collection protocols were adhered to at every Consultation. Standardized training on data collection procedures was provided to all study staff, and frequent monitoring Consultations were carried out to make sure study protocols were being followed. Some inaccuracies might have remained, and some data might still be outside of expected ranges or otherwise illogical in spite of these data quality control procedures. Before performing analysis and deciding how to handle inaccurate data, investigators utilizing the data must assess fields of interest.

Table 2: Gestational time periods of prenatal Consultations of the dataset.

Consultation	Gestation weeks	Predictors
Consult 1	6 to 13 weeks	35
Consult 2	16 to 21 weeks	51
Consult 3	22 to 29 weeks	73
Consult 4	Delivery time	-

Source: Authors, (2026).

Of the 10,038 individuals, 9,289 agreed to share their anonymised data for research purposes, and 9,127 volunteered to share their baby's data. Numerous variables were covered by the information gathered, such as physiological measurements, food habits, psychosocial factors, demographics, and pregnancy outcomes. The [28] publication contains a detailed explanation of the procedures used in the Nulliparous Pregnancy Outcomes Study. To ensure model stability and dependability, logistic regression-based prediction models usually recommend a minimum of 10 events per predictor variable (EPV)[29]. 7,59 preterm births were among the 8,830 individuals in our final analytical sample. With each Consultation, the number of predictor factors are listed in Table 2. All models demonstrated suffic29ient statistical power by exceeding or meeting the minimum suggested criterion of 10 EPV. Furthermore, the minimum of 2,000 participants advised through reviews for reliable and broadly applicable ML applications in healthcare is significantly exceeded by our sample size of 8,830 participants [30].

Dataset Variables:

A methodical, multi-step procedure was used to choose the candidate predictor variables. We found established predictors of preterm birth through a thorough assessment of the literature [31-33], including clinical variables, specialized imaging data, and biological markers. Some known predictors have the potential to have a high predictive value, but they were not included in database because of the resource-intensive factor. Clinically accessible predictors that were easily obtainable throughout standard prenatal care were the main focus of our final variable selection process. A number of criteria were used to evaluate the variables, including availability in the routine prenatal Consultations, cost-effectiveness, and proven clinical relevance from published research. As shown in Table 3, the selected factors included demographic data, non-invasive evaluations, medical history, family medical history, and standard diagnostic procedures. The selection of these variables was informed by cost-effectiveness and feasibility concerns, as they can be gathered quickly, cheaply, and without requiring invasive or resource-intensive procedures. As a result, ordinary clinical practice can easily implement the prediction models [34].

Table 3: nuMom2b dataset identified characteristics with variables.

Characteristics	Variables
Basic Preconception	maternal age, height, BM), adoption of assisted reproductive technologies, PTB family history, pregnancy complications, hypertension, and cervical excisional procedures/surgery history (Loop Electrosurgical Excision Procedure (LEEP)/conization),
Lifestyle	Mental stress, alcohol consumption, tobacco usage, and maternal vitamin-D deficiency
Sociodemographic	ethnicity, marital status, educational attainment, and socioeconomic status
Obstetric/Pregnancy	Vaginal hemorrhage, serial transvaginal cervical length, gestational diabetes and hypertension, and cervical insufficiency
Medical History	history of obstetrics, diabetes, and hypertension prior to pregnancy

Source: [19].

III.2 DATA PRE-PROCESSING

III.2.1 Data Cleaning Using DE for Analyzing Missing Data

A comprehensive analysis of missing data patterns was carried out, which included a review of the dataset documentation and a close look at the data gathering methods. Even while many variables had incomplete data patterns lacking a clear documentation explanation, several variables displayed systematic missingness that was related to specific therapeutic regimens.

The research by [35] utilizes the DE based preprocessing to handle the missing values of medical datasets. In this study used the same model to handle missing and irrelevant data of nuMoM2b dataset. DE is the population based approach that searches globally to find the optimal imputation values. The steps for DE based imputation is shown as follows:

Step 1: Preprocessing

- The dataset is divided into continuous and categorical values
- Normalize the continuous features values in the range [0, 1]
- Categorical values are encoded using one-hot encoding

Step 2: Fitness function: The candidate imputation is evaluated using clinical constraints such as cervical length in the range 15 to 50mm.

Step 3: DE optimization

- Population is initialized for the candidate imputation
- DE operations such as mutation, crossover and selection are applied as:

Step 4: Post processing: Reverse Normalization and selects the categorical variables with the variables having highest probability of DE search. The value of mutation factor is declared as 0.6 and number of population N is 50 for 100 iterations with crossover value of 0.8.

Nonetheless, certain variables were missing for systematic reasons that could be explained. Missing entries were taken to mean that there was no tobacco use or bleeding beyond spotting for variables like "Usage of Tobacco in Consult-1" and "Bleeding in Vaginal" at all three Consultations, respectively, and were imputed appropriately. Only in the event that the results of the uterine artery Doppler at Consult-2 were abnormal and uterine artery Doppler ultrasonography at Consult-3 is required during data collection. This procedure is in line with a study by Hofstaetter et al., that found that the uterine artery Pulsatility Index (PI) did not change significantly with gestational age in uncomplicated pregnancies [36].

Therefore, we randomly selected from the normal PI (Pulsatility Index) range appropriate among 22 and 29 weeks, as reported in the study by [37], to impute these missing values for cases with missing data of "Left uterine artery -PI at Consult-3" and "Right uterine artery - PI at Consult-3" where Consult-2 measurements were normal. This strategy was required to preserve the dataset's integrity while taking into account the clinical judgment that guides these assessments. Before variable extraction for every Consultation, imputation was done once for every training dataset. Based on this analysis, the records inclusion and exclusion are stated in the Figure 2.

There were 749 of the 10,038 women who were first enrolled in the nuMoM2b research were disqualified because their risk factor information was lacking. There were 438 of the 9,289 women who still had data available were disqualified (432 had no birth type record, 4 had live births without records, and 2 had stillbirths without records). There were 21 more participants were disqualified because their data was missing more than 80% of the time. These cases mostly involved very early preterm deliveries or early pregnancy loss, for which data from follow-up Consultations could not be obtained. A final analysis sample of 8,830 women with adequate data through delivery of 8,071 with full-term births and 759 with preterm deliveries was obtained through this systematic filtering approach.

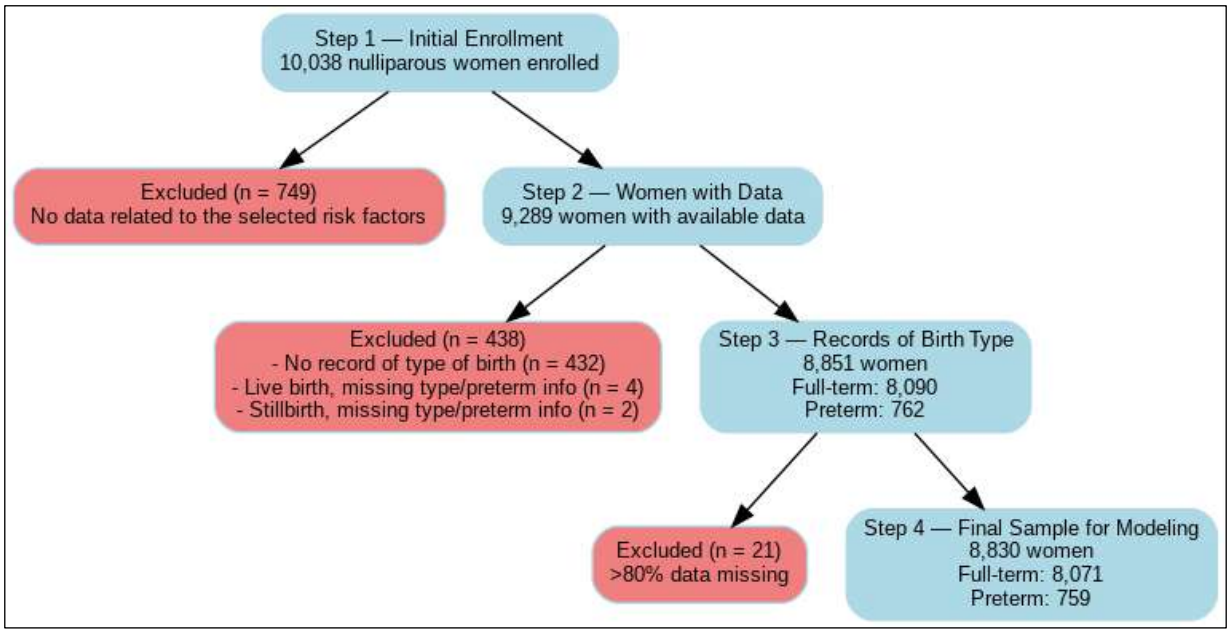


Figure 2: Records inclusion and exclusion based on preprocessing.
Source: Authors, (2026).

III.2.2 Temporal Data Splitting

A total of 35 variables were accessible during the initial Consultation, 51 during the second Consultation, and 73 during the third Consultation. Basic data, such as ethnicity, level of poverty and obesity, pre-gestational diabetes, marital status, and educational attainment, were gathered during the initial Consultation (dataset B).

Furthermore, we have fundamental measurement factors (such as surveys and questionnaires) that are measured at all three Consultations, including BMI, smoking, vaginal bleeding, level of stress, gestational diabetes and hypertension diagnosis (dataset C1, C2, and C3). Following that, ultrasound measurements were added to the data at the second and third Consultations (datasets U2 and U3). The overview of dataset is described in Table 4.

Table 4: The overview of dataset.

Datasets	Variables
B	poverty, color, marital status, education, obesity level, and prenatal diabetes diagnosis
C1	Basic assessments during consultation 1 include BMI, level of stress, smoking, gestational diabetes, vaginal bleeding and hypertension.
C2	fundamental measurements Weight, body mass index, smoking status, vaginal hemorrhage, gestational diabetes, and hypertension during the second consultation
C3	Weight, BMI, smoking history, vaginal-bleeding, gestational diabetes, and hypertension are the fundamental parameters taken at consultation3.
U2	Pulsatility Index and cervical length ultrasound measures at consultation2
U3	Pulsatility Index and cervical length ultrasound measures at consultation3

Source: Authors, (2026).

III 2.3 Data Sampling

Given that preterm births and other unfavorable pregnancy outcomes affect a smaller percentage of the population than term deliveries, the nuMoM2b) dataset is naturally unbalanced. Machine learning classifiers may become biased toward the majority class as a result of this imbalance, making it harder for them to identify high-risk situations. The Synthetic Minority Oversampling Technique (SMOTE) [38] is used as a data-level balancing technique prior to model training in order to overcome this. By interpolating between a data point and its closest neighbors in feature space, SMOTE [38] creates synthetic samples of the minority class, lowering the possibility of overfitting that can happen with straightforward minority sample duplication.

This preserves specificity while increasing the classifier's sensitivity to uncommon occurrences, like extremely premature birth. The method improves the representation of minority patterns in the training set while maintaining the original data distribution, and it has been demonstrated to be successful in medical prediction tasks, especially when paired with feature selection and ensemble classifiers. After preprocessing the nuMoM2b dataset, SMOTE was applied in this study to produce a balanced input set for predictive modeling, preventing majority-class dominance from overshadowing early markers of preterm birth.

III.3 FEATURE SELECTION USING PROPOSED H-EDFO

In ML, choosing a subset of exceptional factors during the creation of the prediction model is referred to as feature selection, which is also referred as feature- subset selection. The existence of duplicate and unnecessary features in any dataset, but particularly in medical datasets, can lower prediction accuracy and negatively affect the model's performance. To cut down on training time and improve the classifier's predictive accuracy, the primary objective of any feature selection technique is to choose the optimal feature subset by eliminating superfluous and irrelevant characteristics from the datasets. The variables selections are based on systematic process.

Based on the literatures, the identified PTB predictors includes clinical variables, biological markers, and specific imaging findings as shown in Table 3. Clinically useful predictions that could be obtained and were included in the database using the suggested H-EDFO approach were given priority in the final variable selection. The proposed conceptual framework for H-EDFO is show in Figure 3. To improve predictive modeling in medical datasets, the suggested approach uses a feature selection and fusion strategy based on multi-subset entropy and Dragonfly Optimization (DFO). The preprocessed nuMoM2b dataset is first divided into several subsets that correspond to various stages of consultation and clinical classifications.

Entropy-based feature ranking is applied to each subset in order to measure the discriminative ability of specific features. In order to optimize the selection process and determine the most pertinent properties from each subset, the ranking features are further put through DFO-based feature subset selection, which simulates the static and dynamic swarming behaviors of dragonflies (Meraihi, 2020) [39]. A union procedure is then utilized to fuse the chosen features from each subset, creating an ideal feature set that removes redundancy and maintains complementary information. With increased accuracy and computing efficiency, this fused set can be applied to downstream tasks like illness risk classification or prediction.

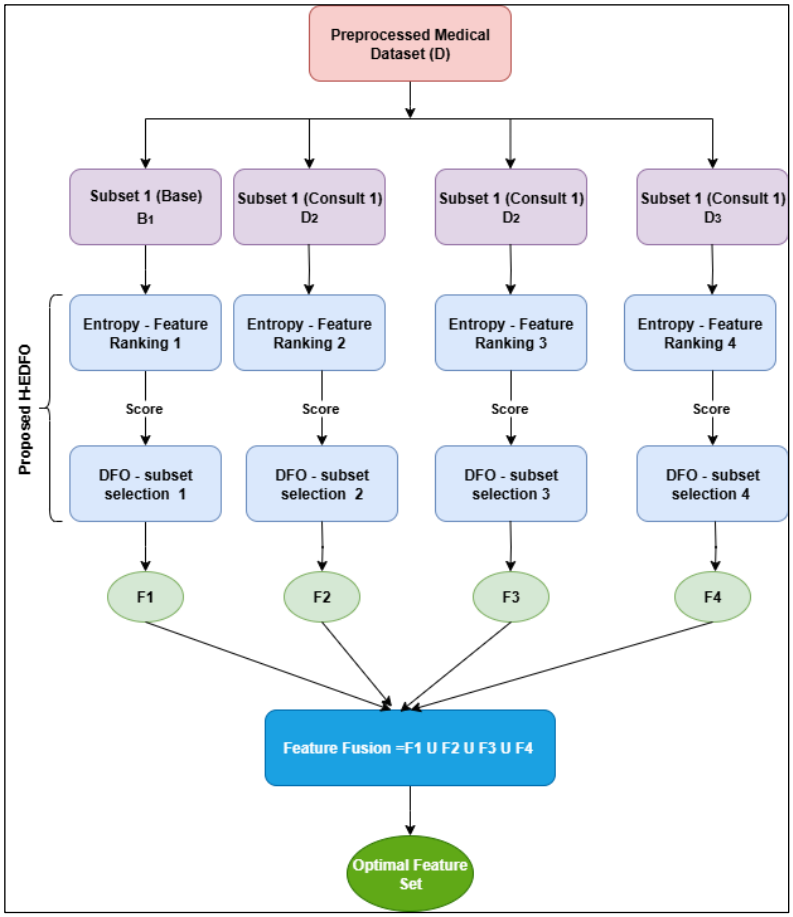


Figure 3: Proposed FS conceptual framework.
Source: Authors, (2026).

Entropy notion

Strongly correlated attributes cannot be included in a feature subset, per the study in [40]. Additionally, the more independent the attributes are from one another, the more information they will have, which will ultimately produce better results than data that is not visible. The feature selection strategy works better for medical datasets, which are the subject of current study since they are more sensitive. To extract most relevant features from the PTB dataset, an entropy-based feature selection strategy is described by this section. These characteristics are used to categorize all birth cases into PTB and term birth. The entropy-based feature ranking is shown in Algorithm 1.

Algorithm 1: Entropy based Feature Ranking

Step 1: Assume the medical dataset is D having N attributes such that $\mathcal{F}_i$ $where$ $i = 1,2, \ldots N$. Let A_0 is the group of features of original dataset.

Initially, $\mathcal{F}_0 = \{F_1, F_2, F_3, \ldots F_4\}$. Since D is divided into four subsets such as B, C1, C2 and C3 and after the feature selection we will get four feature subsets such as fs1, fs2, fs3 and fs4 respectively. F is the fused subset derived from the subsets and Initialize $fs_k = fs_0$ for $k = 1,2,3,4$.

Assume P is the problem for classification defined from set of N attributes called F_i $where$ $i = 1,2,3, \ldots, N$ and consider F denotes the features resultant from actual dataset.

Step 2: Initialize $F = fs_0 = \{\mathcal{F}_1, \mathcal{F}_2, \mathcal{F}_3, \ldots, \mathcal{F}_N\}$

For every subset $C_i \in D$ where i=1,2,3,4 do

For every attribute $\mathcal{F}_i \in fs_o$ do

Compute Gain (S, $\mathcal{F}_i$) using Eqn (1)

$$Gain(S, \mathcal{F}_i) = Entropy(S) - \sum_{v_j \in \mathcal{F}_i} \left({\left|S_{v_j}\right|}/{|S|} \right) \quad (1)$$

$$Entropy(S) = \sum P_m log_2 P_m \quad (2)$$

Where v_j denotes of attribute $\mathcal{F}$ values and S is amount of samples of P and non-zero probability s$\in S$ is denoted as P_m of class 'c' among 'm'.

End-for

calculate

$$R = (\text{MAX } _gain(S, \mathcal{F}_i) - \min _gain(S, \mathcal{F}_i)/n) \quad (3)$$

Where i=1,…n and R is the threshold of the chosen variables.

For every attribute Compute$\mathcal{F}_i \in f_0$ do

If $Gain(\mathrm{S}, \mathcal{F}_i) < R$ then

Update $fs_k = fs_k = \{\mathcal{F}_i\}$ removes $\mathcal{F}_i$ from fs_k

End-if

End-For

End-For

Pass theses selected attributes scores to DFO for optimized feature selection. The sample feature name with entropy score is listed in Table 5. Based on the entropy score values, the features are ranked and ordered its importance. These scores are given as input to the DFO as fitness function for optimal feature selection.

Table 5: Feature rank and entropy score of each feature.

Dataset	Feature Name	Entropy Score (0–1)	Rank
B (Baseline)	Maternal Age	1.000	1
	BMI at Enrollment	0.942	2
	Race/Ethnicity	0.912	3
	Gravidity	0.871	4
	Smoking Status	0.836	5
	Education Level	0.801	6
	Previous Preterm Birth	0.764	7
	Household Income	0.725	8
	Marital Status	0.691	9
	Health Insurance Type	0.654	10
C1 (First Trimester Clinical)	Systolic BP	1.000	1
	Diastolic BP	0.956	2
	Fundal Height	0.928	3
	Fetal Heart Rate	0.899	4
	Hemoglobin Level	0.866	5
	Cervical Length	0.825	6
	Uterine Artery PI	0.791	7
	Weight Gain (trimester)	0.756	8
	Urine Protein	0.724	9
	Blood Glucose Level	0.688	10
C2 (Second Trimester Clinical)	Cervical Length (mid)	1.000	1
	Amniotic Fluid Index	0.952	2
	Placental Position	0.917	3
	Fetal Biparietal Diameter	0.881	4
	Abdominal Circumference	0.842	5
	Femur Length	0.805	6
	Uterine Artery Notching	0.768	7
	Weight Gain (mid)	0.734	8
	Hematocrit Level	0.703	9
	Glucose Challenge Test	0.667	10
C3 (Third Trimester Clinical)	Estimated Fetal Weight	1.000	1
	Amniotic Fluid Index (late)	0.948	2
	Cervical Dilation	0.913	3
	Fetal Head Circumference	0.876	4
	Abdominal Circumference (late)	0.844	5
	Femur Length (late)	0.809	6
	Blood Pressure (late)	0.772	7
	Proteinuria (late)	0.738	8
	NST Result	0.705	9
	Weight Gain (late)	0.668	10
U1 (Ultrasound 1)	Fetal Heart Rate (US)	1.000	1
	Crown–Rump Length	0.946	2
U2 (Ultrasound 2)	Femur Length (US)	1.000	1
	Abdominal Circumference (US)	0.935	2

Source: Authors, (2026).

III.3.1 DFO

In order to migrate and hunt, dragon fly optimizers (DO) [41] imitate the behavior of dragonflies. It could be dynamic or static. The minimum number of dragonflies (DF) in the static swarm is relocated to hunt other swarms nearby. The greater number of dragonflies in the dynamic swarm travel far together in a similar direction. Five weights such as food, opponent, cohesiveness, separation, and alignment along with inertia weights determine how DF moves. The two main features of DF in SI are exploration and exploitation. Low alignment with greater weight cohesion characterizes the exploitation search space, while high alignment with decreased weight cohesion characterizes the exploration search space. These weights are adjusted during the optimization procedure. The characteristics of DFO are shown in Figure 4 and its expressions are listed in Table 6.

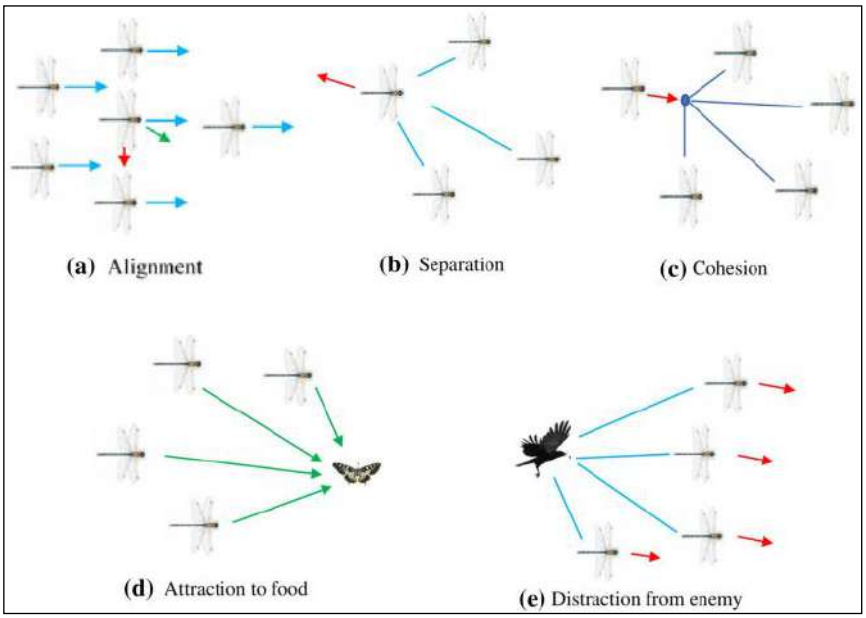


Figure 4: DFO characteristics.
Source: [42].

Table 6: Description of DFO characteristics.

Characteristics	Description	Expression
Separation	As indicated by Eqn (4), separation is the individual's avoidance of their neighbor.	$S_i = -\sum_{j=1}^{N} X - X_j$ (4) Where, X – current position, X_j is the jth neighbor position, N is the amount of neighbors and S is the separation motion of individual i.
Alignment	Eqn (5) is used to calculate the matching velocity between an individual and its neighbor.	$A_i = \frac{\sum_{j=1}^{N} V_j}{N}$ (5) A is the alignment motion, V is the velocity of neighbor j.
Cohesion	Eqn (6) is the measurement of the person with respect to the neighborhood center.	$C_i = \frac{\sum_{j=1}^{N} X_j}{N} - X$ (6) Where, C is the ith individual cohesion
Food	This is the motion of DF in the direction of its food attraction, as indicated by Eqn (7).	$F_i = X^+ - X$ (7) Where, F is the ith individual food attraction, X^+ is the food source
Enemy	This serves as DF's diversion from its adversaries and is indicated in Eqn (8)	$E_i = X^- + X$ (8) Where, E is the individual enemy distraction motion, X^- is the enemy position.

Source: Authors, (2026).

The step and position vector are used to update the individual DF position. Eqn (9) computes the PSO [42] velocity vector, which is comparable to the step factor Δx.

$$\Delta X_{t+1} = (S_i + A_i + C_i + F_i + E_i) + \omega \Delta X_t \quad (9)$$

Where t is the number of iterations and ω is the inertia weight. This inertia weight is added to the regular DO to create the best possible outcome. Eqn (10) improves the step vector's inertia weight.

$$\omega = \omega_{max} - \frac{\omega_{max} - \omega_{min}}{t_{max}} . t \quad (10)$$

Where t_max is the maximum iteration, t indicates the number of iterations, and ω_max and ω_min declare the dragonfly's beginning and ending values. The weights and the number of iterations are inversely correlated. The weight will drop as the number of iterations increases, making the global search capability stronger. Eqn (11) is used to update the location vector.

$$X_{t+1} = X_t + \Delta X_{t+1} \quad (11)$$

III.3.2 Hybrid E-DFO-Based Optimal Feature Selection and Feature Fusion

The entropy score of each features are treated as the fitness function of DFO for optimal selection using Algorithm 2.

Algorithm 2: Hybrid E-DFO based feature selection and fusion

Step 1: Input preprocessing datasets and Entropy score of each features.

Step 2: DFO encoding

Each DF position vector is a binary string such that 1 means feature selected and 0 means feature eliminated. For ex: [1,0,0,1,0] means feature 1 and 4 are selected.

Step 3: Initial population

- Instead of random population, the top entropy features are given as population
  For Example, dataset B – the top 5 ranked features are having the probability P~0.8 and low ranked features are having the probability P~0.2.

Step 4: Fitness function

The multi objective fitness of DFO is combined as:

$$F = \alpha Accuracy + \beta Entropy_{Score} - \gamma Feature_count_penalty \quad (12)$$

Where, Accuracy is the model accuracy of the selected featuers, Entropy_Score is the selected features entropy mean, Feature_count_penalty is penalizing much features selection and α, β and γ are the weights controlling parameters.

Step 5: DF searching behavior:

Separation, Cohesion and Alignment are adjusted to select bitstrings, food attraction moves towards increased fitness solutions and distraction from enemies avoid poor solutions.

Step 6: Feature fusion: The find optimal features from all the datasets are fused to find the optimal feature set as in Eqn (13) where F1, F2, F3 and F4 are the feature sets from the considered four data subsets.

$$F = F1 \cup F2 \cup F3 \cup F4 \quad (13)$$

The extracted features and optimal feature subsets are discussed in result section.

III.3.3 Classification Using MLP

To forecast the models with several learning procedures and minimal limitations, this work used a Python tool to create a feed forward back propagation algorithm [43], one of the Multi Layer Perceptron (MLP) functions. A typical MLP consists of one input, one or more hidden layers, and one output layer. Most studies handle the transition using a single hidden layer as shown Figure 5. The pixel and transit model samples from the determination classes were used in the training procedure.

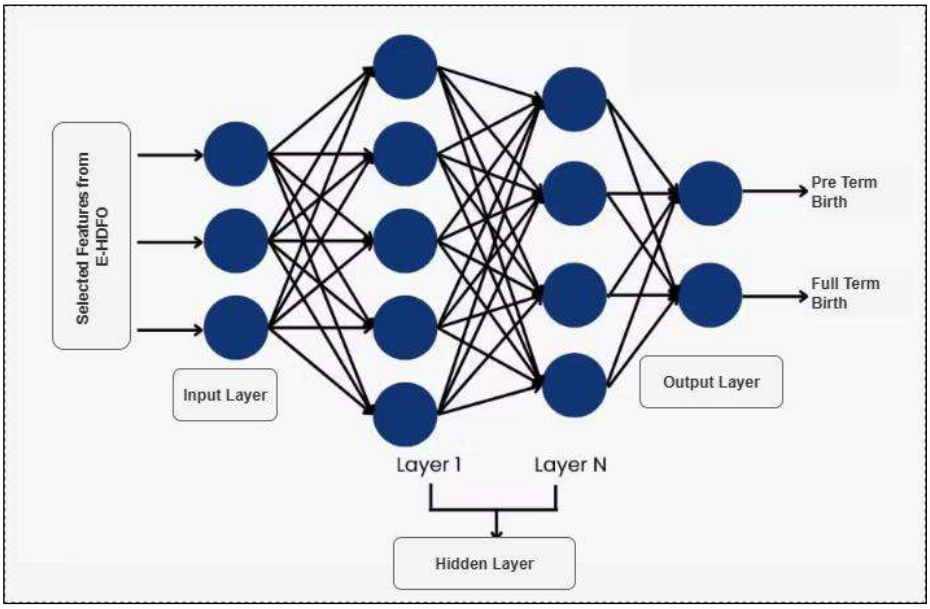


Figure 5: MLP structure for PTB prediction.
Source: Authors, (2026).

The training model, which looks at the beginning and ending learning rates, is where the MLP in the categorization begins. The hidden layer node is used to run the submodel, and all parameters—aside from the number of hidden layers—are set to their default settings. Based on several trials, the value is doubled if the overall accuracy is raised; if not, the final value is taken into account. The process of predicting PTB using MLP is shown in Algorithm 3.

Algorithm 3: MLP based PTB prediction

Step 1: Let X be the input with m features and Y is the output belongs to two classes such as 0 means non PTB and 1 means PTB

Step 2: Compute Entropy based feature ranking using Algorithm 1

Step 3: The entropy score is treated as the fitness function for H-EDFO and select optimal feature subset and fusion using Algorithm 2

Step 4: MLP based PTB classification

Let $X \in R^d$ be vector of fused features and $d = |F\ (fused\ feature\ set|$
An MLP among with L layers transforms X as,

$$h^{(1)} = \sigma(w^1 x + b^1) \tag{14}$$

$$h^{(l)} = \sigma(w^l h^{l-1} + b^1)\ where\ l = 1,2,3, \ldots L-1 \tag{15}$$

$$y' = \phi(w^L h^{L-1} + b^L) \tag{16}$$

Where, σ is the ReLu activation function and ϕ is the sigmoid activation function for output and y' is the predicted output as 0 or 1. The loss function is computed using Binary cross entropy loss as

$$Loss = -\frac{1}{N}\sum_{i=1}^{N}[Y_i \log(Y'_i) + (1 - Y_i)\log(1 - Y'_i)] \tag{17}$$

Steo 5: Prediction

A threshold T of 0.5 is used on while converting y' final decision

$$class = \begin{cases} 1 & Y' \geq T \quad (PTB) \\ 0 & otherwise \quad (non - PTB) \end{cases} \tag{18}$$

The hyper parameters of proposed PTB prediction system are shown in Table 7.

Table 7: Hyper parameters of H-EDFO-MLP based PTB prediction.

Approaches	Hyperparameter	Values	Description
Entropy-based Feature Scoring	Entropy	-	Shannon entropy used for each feature.
	Score Normalization	Min–Max scaling [0, 1]	Scales entropy values for uniform weighting in DFO.
Dragonfly Optimization (DFO)	Population size	30	Number of dragonflies (candidate solutions).
	Iterations	100	Maximum optimization cycles.
	Inertia weight (w)	0.9 → 0.4 (linearly decreasing)	Balances exploration vs. exploitation.
	Alignment coefficient (A)	1.0	Controls alignment behavior in swarm.
	Cohesion coefficient (C)	1.0	Controls attraction to swarm center.
	Separation coefficient (S)	1.5	Avoids overcrowding in search space.
	Food factor (F)	2.0	Attracts toward optimal solutions.
	Enemy factor (E)	-2.0	Repels from poor solutions.
	Selection threshold	0.5	Keeps features with probability > threshold.
MLP Classifier	Input layer size	Number of fused features	Matches output of DFO stage.
	Hidden layers	2	Depth for learning feature interactions.
	Neurons per layer	[64, 32]	First layer: 64, Second layer: 32 neurons.
	Activation function (hidden)	ReLU	Non-linear transformation.
	Activation function (output)	Sigmoid	Sigmoid for binary PTB
	Optimizer	Adam	Adaptive learning rate optimization.
	Learning rate	0.001	Controls step size in weight update.
	Batch size	32	Samples per gradient update.
	Epochs	100	Full passes over dataset.
	Loss function	Binary cross-entropy	Matches binary classification of PTB.
	Early stopping patience	10 epochs	Stops training if no improvement.
	Dropout rate	0.3	Regularization to prevent overfitting.

Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

The WEKA toolbox (http://www.cs.waikato.ac.nz/ml/weka) or Python 3.12 and the Scikit-Learn package are used to conduct the experiment. The birth dataset's observations are thoroughly examined in order to predict birth cases. This is actually a binary class dataset, where all births that take place between weeks 28 and 37 are referred to as PTB classes with the label "1" while all births that take place beyond weeks 37 are referred to as Full Term Birth (FTB) classes with the label "0." As per our preprocessing and data splitting approaches, there were 8830 women with 8071 as full-term birth and 759 PTB are selected for analyzing the performance of the proposed model. Using AUC ratings obtained from 5-fold cross-validation comprising information from several prenatal consults, we assessed the predictive ability of the models. A thorough examination of pooled performance indicators such as accuracy, sensitivity, specificity, and AUC scores, came after this evaluation. The performance metrics are listed in Table 8.

Table 8: Performance metrics for classifiers.

Metrics	Expressions
Accuracy	$\frac{TP+TN}{TP+TN+FP+FN}$
Precision	$\frac{TP}{TP+FP}$
Sensitivity / Recall	$\frac{TP}{TP+FN}$
F1 score	$2*\frac{Precision*Recall}{Precision+Recall}$
AUC	$\int_0^1 TPR\left(FPR^{-1}(x)\right)dx$ $TPR=\frac{TP}{TP+FN}$, $FPR=\frac{FP}{FP+TN}$

Source: Authors, (2026).

IV.1 IMPACT ON PREPROCESSING MODEL

Table 9 shows the performance of the original dataset outcome with balanced and preprocessed dataset using DE model. The PTB prediction model's performance on the original dataset and the dataset preprocessed using Differential Evolution (DE) is contrasted in the preprocessing table you supplied. The DE-based preprocessing notably improves outcomes across all measures, such as accuracy, precision, recall, F1-score, and AUC. Accuracy increased from 0.772 to 0.834 and F1-score from 0.739 to 0.881, demonstrating improved predictive capabilities and a more balanced trade-off among precision and recall. It is crucial to compute the p-value using statistical tests like the paired t-test and McNemar's test to make sure that the observed gains are not the result of chance which is shown in Table 10.

The accuracy improvement is statistically significant ($p < 0.001$), according to the paired t-test, which indicates that it is very unlikely to have happened by accident. The distribution of misclassifications, on the other hand, does not significantly change according to McNemar's test ($p > 0.05$), indicating that the improvement is mostly attributable to increased performance and confidence on situations that are previously foreseeable rather than a change in the pattern of right and wrong predictions. Table 10 illustrates this statistical validation, which supports the assertion that DE preprocessing significantly improves the PTB prediction model.

Table 9: Impact on preprocessing data with original data using MLP classifier.

Metrics	Original dataset	Preprocessed dataset using DE	Improved %
Accuracy	0.772	0.834	6.2
Precision	0.701	0.818	16.7
Recall	0.827	0.892	7.9
F1 score	0.739	0.881	19.2
AUC	0.7	0.8	14.3

Source: Authors, (2026).

Table 10: Statistical validation (P test) for Preprocessing result improvement.

Test	Statistic	p-value	Interpretation
Paired t-test (accuracy per fold)	19.487	4.09×10^{-5}	DE significantly improves accuracy over the original dataset ($p < 0.001$).
McNemar's test (prediction changes)	29.0	0.188	No significant change statistically in the proportion of misclassifications ($p > 0.05$).

Source: Authors, (2026).

IV.2 IMPACT ON PROPOSED H-EDFO FEATURE SELECTION

There were 35 available variables at the first appointment, 51 available factors at the second consultation, and 73 available factors at the third consultation. The selected features for each dataset of multi consultation is shown in Table 11. Once the features are selected from each data subset, it is fused and the fused optimal feature set is shown in Figure 6.

Table 11: Selected feature subsets of each multi-consultation dataset using proposed H-EDFO.

Feature Name	Entropy score	DFO Feature selection		Feature Name	Entropy score	DFO Feature selection
B dataset				**C2**		
Maternal Age	0.92	1		Lab Hemoglobin	0.93	1
BMI	0.87	1		WBC Count	0.89	0
Smoking Status	0.84	0		Platelet Count	0.85	1
Blood Pressure	0.81	1		CRP Level	0.82	0
Parity	0.79	0		Glucose Tolerance	0.8	1
Ethnicity	0.75	0		Proteinuria	0.77	0
Education Level	0.71	1		Serum Ferritin	0.73	1
Income Bracket	0.68	0		Vitamin D Level	0.7	0
Alcohol Use	0.65	1		Thyroid Function	0.68	1
Prenatal Visits	0.63	1		Bilirubin	0.65	0
C1				**C3 dataset**		
Ultrasound GA	0.91	1		Gestational Diabetes	0.94	1
Fetal Heart Rate	0.88	1		Hypertensive Disorder	0.9	1
Placenta Position	0.83	0		Anemia Diagnosis	0.86	0
AFI	0.8	1		Infection History	0.83	0
Cervical Length	0.78	1		Preterm Labor Signs	0.81	1
Fetal Weight Estimate	0.74	0		Chorioamnionitis	0.78	0
Fetal Movement Count	0.72	0		Placental Abruption	0.75	1
Multiple Gestation	0.69	1		Oligohydramnios	0.72	0
Cord Position	0.66	1		Polyhydramnios	0.69	0
Presentation	0.62	0		Preeclampsia	0.66	1
U1				**U2**		
Genetic Marker A	0.95	1		Environmental Exposure A	0.91	1
Genetic Marker B	0.88	1		Environmental Exposure B	0.85	1

Source: Authors, (2026).

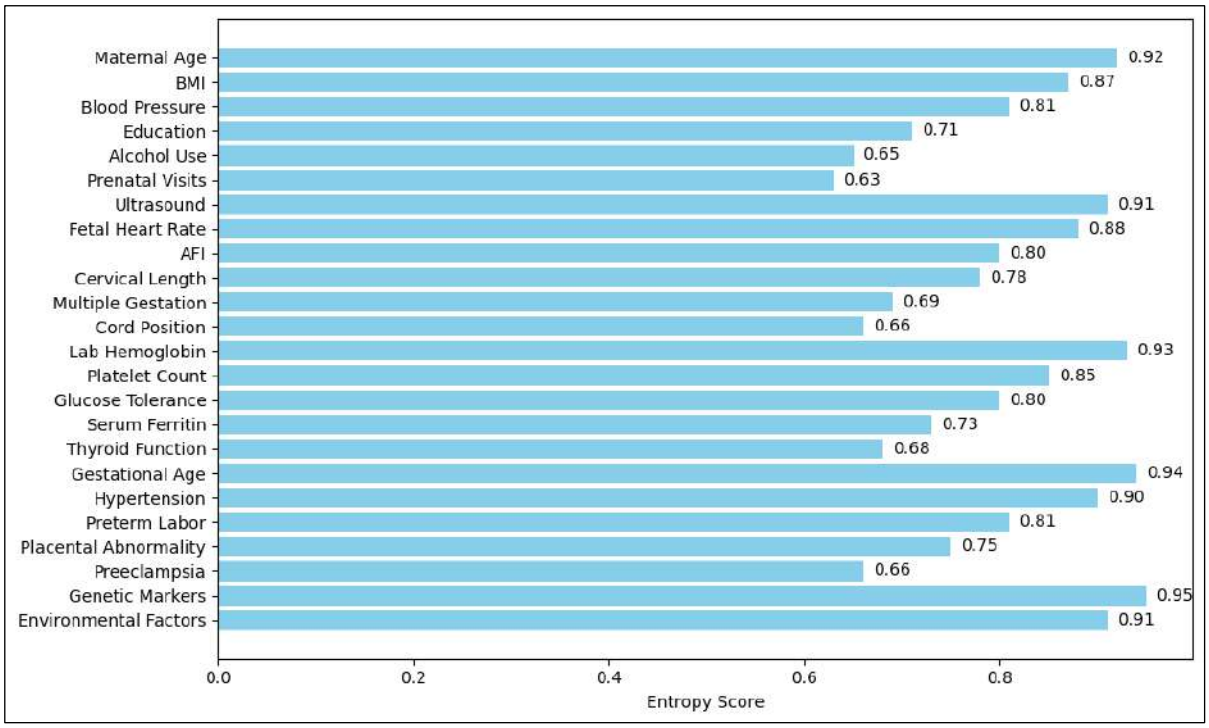


Figure 6: Fused feature set.
Source: Authors, (2026).

IV.3 IMPACT ON CLASSIFICATION MODEL WITH PROPOSED FEATURE SELECTION AS OVERALL PERFORMANCE

To assess the performance of the proposed model, the considered consultation datasets with Ultrasound data are combined together and form three datasets such as D1, D2 and D3 where D1 is the combination of B+C1, D2 is the grouping of B+C1+C2+U1 and D3 is the grouping of B+C1+C2+C3+U1+U2. We looked at the prediction performance for datasets 1, 2, and 3 in the section titled "Model performance improved when data from later prenatal consults were added" before moving on to the Sensitivity analysis on subgroups of PTB section to look at the prediction performance for the severity of preterm birth. In the section titled "Analysis of key variable contribution across three prenatal consult datasets," we also looked at the most crucial variables in the prediction. Based on the dataset's pooled AUC curves, which are likewise depicted in Figure 7, the model effectiveness summary is displayed in Table 12.

Table 12: Validated Gestational period-based datasets – AUC scores.

Datasets	Training	Validation	Testing
D1 =B+C1	0.7511±0.0121	0.7213±0.0225	0.7186±0.0217
D2=B+C1+C2+U1	0.7719±0.0138	0.7426±0.0204	0.7418±0.0136
D3=B+C1+C2+C3+U1+U2	0.8228±0.0092	0.8187±0.0125	0.7992±0.0227

Source: Authors, (2026).

Based on Table 12, the training data performance has been increased from Dataset 1 to Dataset 3 with the value of consult 1 as 0.7511 (Std. Dev as 0.0121) to Consult 3 as 0.8228 (Std. Dev as 0.0092). Similarly, the validation dataset performance also increased from D1 at consult 1 as 0.7213 (Std. Dev as 0.0225) to consult 3 as 0.8187 (Std. Dev as 0.0125). This pattern also reflected in testing data where the AUC scores improved from 0.7186 (Std. Dev as 0.0217) at consult 1 to 0.7992 (Std. Dev as 0.0227) at Consult 3. According to this pattern, predictive power significantly improves with the availability of more thorough gestational data, especially that gathered during the third consultation.

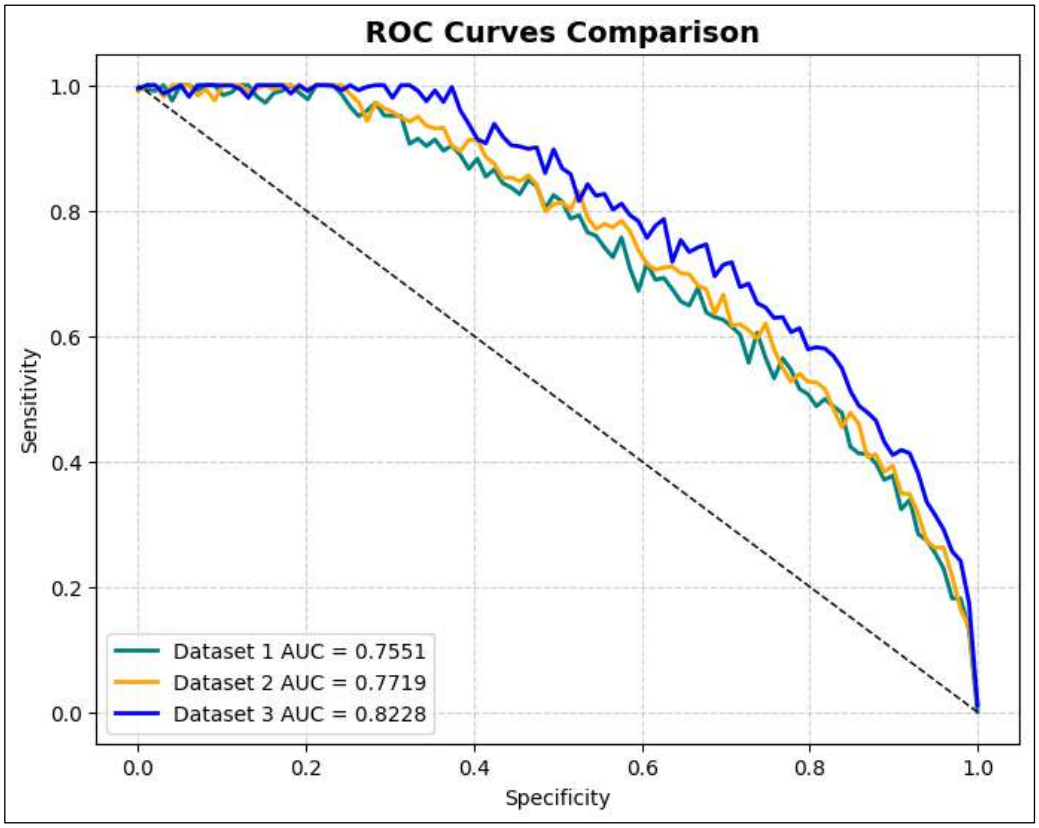


Figure 7: Pooled AUC curves of 6 test fold (B, C1, C2, C3, U1 and U2) merge into 3 datasets (D1, D2 and D3).
Source: Authors, (2026).

The pooled ROC curve in Fig 7, which is created by combining the five test-sets through cross-validation and calculating their combined ROC curve for each dataset, is shown in Fig 2. The AUC of the datasets having data from the first prenatal visit, the first and second prenatal consultations, and the dataset including data from all three prenatal consultations increased noticeably, it offers a visual representation of these improvements. The outcome demonstrated that adding data from consults 2 and 3 significantly enhanced the prediction ability, as seen by a discernible rise in AUC scores.

There appears to be a clear relationship among the amount of gestational data and the predicted accuracy of prenatal assessments, as seen by the improvement in model performance with the addition of later prenatal consult data.A closer look at several performance measures provided crucial information about the models' prediction ability. Table 13 provides more specific information about how predictive power changes when additional prenatal data becomes available over subsequent consultation.

The accuracy at consultation 1 is 72.63 % (Confidence interval of 70% to 73%) which is increased to consultation 2 as 72.83% (Confidence interval of 71.8% to 73.9%) and further improved in the consultation 3 including the selected feature variables as 88.41% with the confidence interval of 82.6% to 89.6%. Similarly, the precision, recall and F1 score values are also increased from consultation 1 to consultation 2 and getting optimum outcome with consultation 3. That proves the improved performance of proposed model efficiency on predicting the PTB with selected fused features with the consultation 3.

Table 13: Pooled performance metrics on the considered 3 datasets with confidence intervals of 95%.

Datasets	AUC score	Accuracy	Precision	Recall	F1 Score
D1	0.7511	0.7263 [0.7018,0. 7328]	0.7283 [0.7128, 0.7372]	0.7467 [0.7362,0.7563]	0.7232 [0.7128, 0.7392]
D2	0.7719	0.7283 [0.7182,0.7394]	0.7364 [0.7283, 0.7462]	0.7653 [0.7526, 0.7782]	0.7563 [0.7462, 0.7628]
D3	0.8228	0.8841 [0.8263, 0.8962]	0.8584 [0.8028, 0.8673]	0.8724 [0.8629, 0.9038]	0.8815 [0.8726, 0.8972]

Source: Authors, (2026).

As a whole, the importance of using efficient preprocessing, feature selection based classification is illustrated in Figure 8.

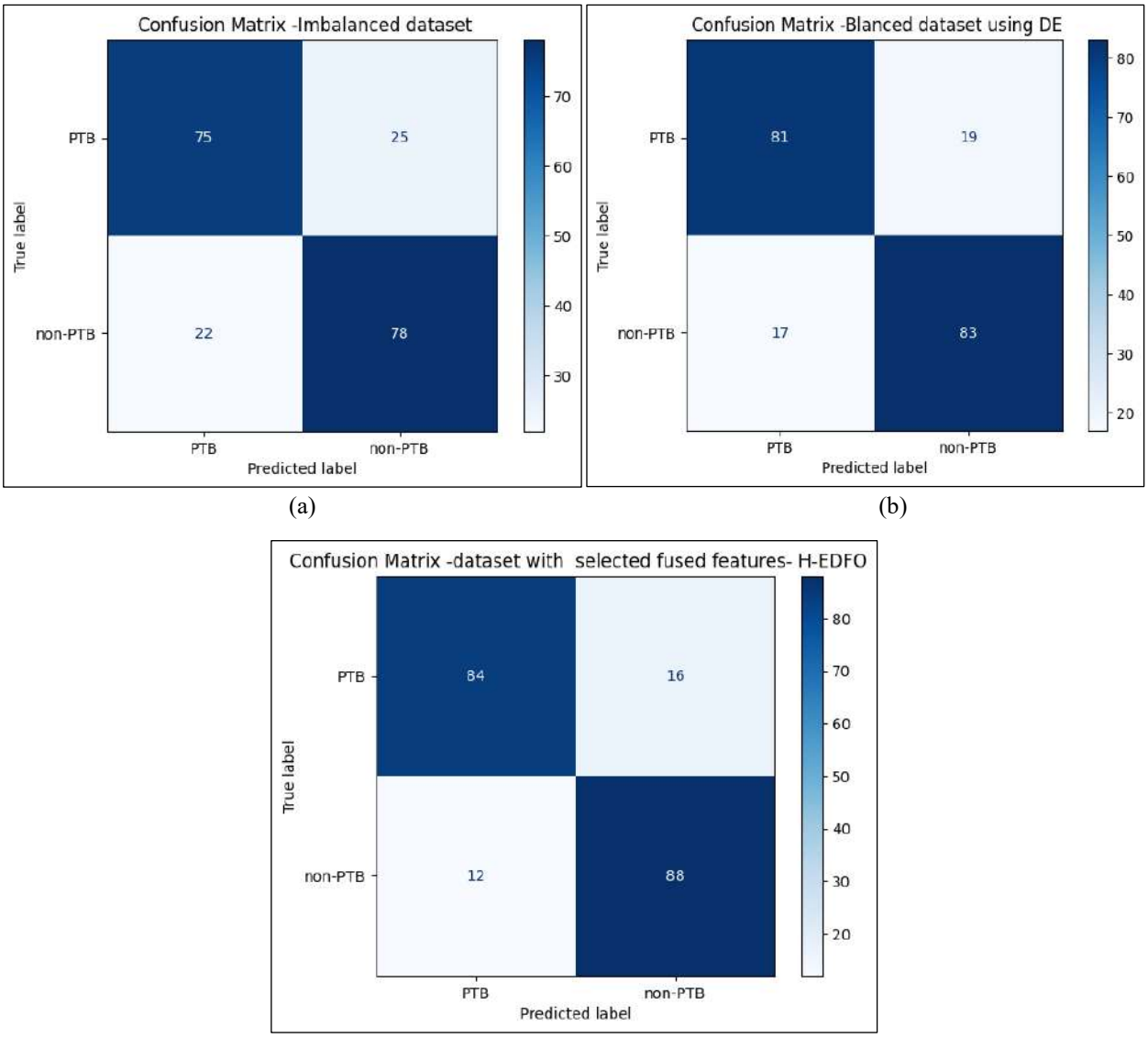


Figure 8: Confusion Matrix for the analysis (a) Imbalanced dataset (b) Balanced dataset (c) Proposed H-EDFO based selected fused features based Prediction.
Source: Authors, (2026).

Three confusion matrices that show how well PTB (preterm birth) prediction models perform under various feature selection and dataset preparation techniques are shown in the figure. The confusion matrix for the unbalanced dataset is displayed in Fig (a). The model misclassified 22 non-PTB instances as PTB and 25 PTB cases as non-PTB, while it properly recognized 75% PTB cases and 78% non-PTB cases.

Due to the model's propensity to favor the dominant class, the comparatively higher number of misclassifications highlights the detrimental effects of class imbalance. The matrix of confusion for the balanced dataset produced by Differential Evolution (DE) is shown in Fig (b). Following balancing, there were fewer misclassifications (19% PTB instances were incorrectly categorized as non-PTB, and 17% non-PTB cases were incorrectly classified as PTB), and the accurate classifications increased to 81% PTB and 83% non-PTB. This illustrates how dataset balance improves the model's capacity to identify minority class occurrences with greater accuracy.

The dataset with specific fused features acquired using the suggested Hybrid Enhanced Feature Optimization (H-EDFO) method is represented by the final confusion matrix in Fig (c) With 84% PTB and 88 non-PTB cases accurately categorized and the lowest misclassification rates (16% PTB cases wrongly projected as non-PTB and 12% non-PTB cases misclassified as PTB), this setup produced the best results. The enhancement demonstrates how well the suggested H-EDFO extracts the most pertinent and discriminative elements, increasing sensitivity and specificity.

IV.4 ANALYSIS ON PTB SUBGROUPS

PTB is defined by the WHO as delivery that occurs before 37 full weeks of pregnancy. Preterm birth is further divided into subcategories according on gestational age [44]. Understanding the variation in results and adjusting interventions appropriately depend on these classifications. These subcategories are described in Table 14.

Table 14: PTB sub groups with gestational age at the time of delivery.

Sub-Category	Gestational age	No. of patients
Extreme -PTB	<28 weeks	69
Very-PTB	28 to 32 weeks	63
Moderate-PTB	32 to 34 weeks	113
Late -PTB	34 to 27 weeks	514

Source: Authors, (2026).

A thorough analysis of our predictive models' pooled sensitivity with a 95% CI for each PTB subgroup across three datasets is given in Table 15. Extreme PTB (delivery before 28 weeks) showed the most remarkable performance, with sensitivity gradually increasing across data sets from 71% to 75% on dataset 1 to dataset 3 respectively. Given the seriousness of extremely preterm deliveries, Data Set 3's unusually high sensitivity is especially significant. The closeness of consult 3 to the delivery date for extreme-PTBs explains this very high sensitivity in Dataset 3. As a result, the data gathered at this visit are more suggestive of the imminence of preterm birth. Given that extremely PTBs necessitate the most urgent and extensive treatment, this great sensitivity is especially important.

With sensitivity beginning at 71.82% (95% CI: 0.7011- 0.7395%) in Dataset 1, peaking at 84.64% (95% CI: 73.82- 85.23%) in Dataset 2, and maintaining durable performance at 85.62% (95% CI: 72.81, 86.23%) in Dataset 3, very-PTB(28–32 weeks) demonstrated equally strong detection rates. The model's sensitivity was relatively modest but remained significant for moderately preterm babies (32–34 weeks). Dataset 1's 74.41% saw a significant improvement to 75.82%, while Dataset 2 had a minor decline to 76.83%. With sensitivity ranging from 74.32% in Dataset 1 to a peak of 75.63% in Dataset 2, before falling to 78.62 in Dataset 3, late-PTB (34–37 weeks) showed the most difficult to forecast. The model demonstrated moderate sensitivity levels when taking into account general-PTB prediction: 74.67% in Dataset 1, increasing to 76.53 % in Dataset 2, and retaining 87.24% in Dataset 3.

Table 15: Pooled Sensitivity analysis of PTB subgroups.

Subgroups	Dataset-1	Dataset-2	Dataset-3
Extreme PTB	0.7161 [0.7113,0. 7227]	0.7382 [0.7221, 0.7471]	0.7523 [0.7423-0.7625]
Very PTB	0.7182 [0.7011,0.7395]	0.8464 [0.7382, 0.8523]	0.8562 [0.7281, 0.8623]
Moderate PTB	0.7441 [0.7333, 0.7728]	0.7582 [0.7422, 0.7671]	0.7683 [0.7521, 0.7724]
Late PTB	0.7432 [0.7327, 0.7592]	0.7563 [0.7434, 0.7627]	0.7862 [0.7234, 0.7937]
General PTB	0.7467 [0.7362,0.7563]	0.7653 [0.7526, 0.7782]	0.8724 [0.8629, 0.9038]

Source: Authors, (2026).

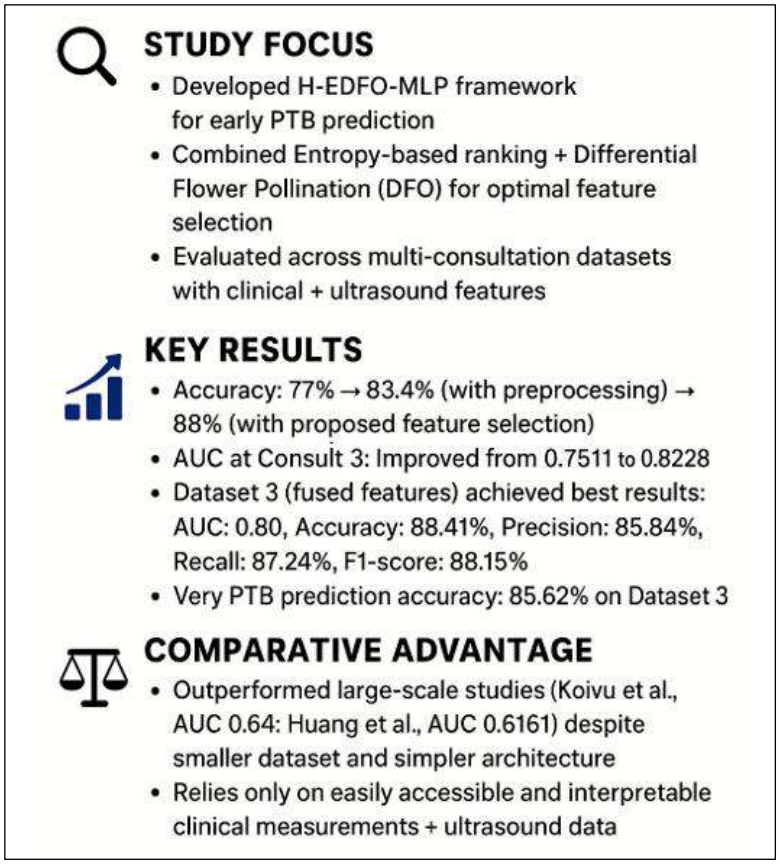


Figure 9: Research Highlights.
Source: Authors, (2026).

IV.5 DISCUSSIONS

This study demonstrates the predictive performance of the proposed feature selection model PTB at multi-consulting which are more effective in consult 3 at the gestational age of 22 to 29 weeks, with Improved AUC of 0.7511 to 0.8228 at consult 3. These results are comparable to large scale analysis of existing literatures such as [45] employed ML algorithms such as gradient bossing and neural network with 16 million observations and obtained 0.64 as AUC score for PTB prediction. Huang et al., [19] employed ElasticNet based PTB prediction on multi visit data with the inclusion of all the variables and obtained the AUC score of 0.6161. The suggested model performed well using only easily accessible clinical factors as well as ultrasound data at Consult 3, despite the fact that both studies used much larger datasets and more sophisticated algorithms. This suggests that the timing as well as type of selected clinical data using the suggested H-EDFO is important than sample size.

The result highlights are pictorially illustrated in Figure 9 for better understanding. The analysis of PTB prediction based on efficient preprocessing, feature selection and classification using proposed models efficiently improves the performance on consult 3 during the 22 to 29 gestational weeks with the selected features. The DE approach improves the model performance on preprocessing data with balancing factors. The model with preprocessed data can improve 6% of accuracy without preprocessing data along with all variables. Further, the feature selection model is proposed to select the most influencing features of all considered visits using entropy and DFO methods. The entropy score is computed for all the base and consultation datasets variables and based on the score; the feature ranks are given. The entropy score is treated as the fitness function to find optimal feature subsets using DFO which selects the relevant features.

These selected feature subsets from all the considered consultation periods are fused as a single feature set for further processing. These results are analyzed and compared as a confusion matrix and accuracy without preprocessing is 77%, with preprocessing is 83.4% and with feature selection model, it is improved as 88% of accuracy. Hence, the proposed model efficiently improves the prediction of PTB with improved accuracy and in terms of other metrics too. Furthermore, the model efficiency is implemented with the combination of these consultations and framed three datasets by combining Base checkup, C1, C2, C3 along with Ultrasound 1 and Ultrasound 2 data. These three datasets are evaluated using the proposed framework in terms of AUC, Accuracy, precision, recall and F1 score. Noticeable results are obtained on dataset 3 by obtaining 0.8, 88.41%, 85.84%, 87.24% and 88.15% respectively than Dataset 1 and 2.

Which means, the dataset 3 is the combination of all the considered consultation data's fused feature sets. The selected features using proposed H-EDFO efficiently improves the performance while predicting the PTB. We also looked at the model's performance on various preterm birth subgroups, and the fact that the sensitivity varies among PTB categories highlights the significance of customizing model creation and validation for particular clinical situations. The other variant of PTB also predicted using the model and very PTB prediction secured the improved accuracy of 85.62% of accuracy on Dataset 3 than other datasets. It is proved that our model efficiently predicts the PTB on Dataset 3 with fused feature sets from all the consultation. To improve the predicted accuracy of our model, we used MLP to incorporate demographic, lifestyle, obstetric, and medical history data. This method outperformed more intricate models by preserving interpretability and usability, which are essential for clinical decision-making.

IV.6 IMPLICATIONS

IV.6.1 Theoretical Implication

The theoretical knowledge of how entropy-based ranking and DFO optimization might work together to provide optimal, clinically relevant feature subsets is advanced by the suggested H-EDFO framework. The results provide credence to the idea that longitudinal data integration is crucial for early and precise PTB risk assessment by demonstrating that the combination of variables from several consultations improves classification accuracy. The study further supports the idea of effective predictive modeling for medical diagnostics by demonstrating the possibility of combining clinical measurements with ultrasound data to get greater accuracy without the need for high-dimensional, resource-intensive datasets. The results of the confusion matrix, which demonstrate an improvement in accuracy from 77% (without preprocessing) to 83.4% (with preprocessing) and then to 88% (with feature selection), empirically support the theoretical idea that focused feature selection and methodical data preparation are essential to the success of predictive modeling.

In order to find clinically significant features across several consultation points, the suggested H-EDFO framework combines DFO optimization with entropy-based ranking, advancing methodological comprehension. The theoretical claim that the kind and timing of clinical data are just as significant as dataset size or model complexity is supported by the noteworthy AUC improvement from 0.7511 to 0.8228 at Consult 3. By showing that smaller but more carefully crafted feature sets can perform better than bigger, less curated datasets, this supports and expands on earlier findings in the literature and helps create effective and understandable AI models for medical diagnosis.

IV.6.2 Practical Implications

From a clinical standpoint, the suggested approach provides healthcare providers with a workable and affordable decision-support tool, especially in environments with limited resources. The performance improvements, especially on Dataset 3 (AUC: 0.8, Accuracy: 88.41%, Precision: 85.84%, Recall: 87.24%, F1 Score: 88.15%), show the model's potential as a useful clinical decision-support tool from the perspective of real-world applications. The approach can be readily implemented in healthcare settings with low resources or in remote areas because it just uses routinely collected clinical parameters and ultrasound data, negating the need for sophisticated computational equipment. Clinicians are able to implement timely treatments, including increased monitoring, dietary counseling, or expert referrals, thanks to the increased accuracy throughout the 22–29 week gestational period. These interventions have the potential to considerably lower PTB-related problems. Additionally, the model's high interpretability encourages adoption and confidence among medical professionals, which makes it appropriate for incorporation into electronic health record systems.

IV.6.3 Limitations

Compared to large-scale PTB prediction studies, the study's dataset was comparatively smaller, which would have limited its generalizability to larger populations. Because the data came from a particular hospital setting, it might not accurately reflect how PTB risk variables differ in various geographical or ethnic contexts. Even while the model performed well with a few features, several biological and environmental risk factors like genetic markers and comprehensive nutrition data were left out. Robustness must be confirmed by external validation in prospective clinical scenarios and on separate datasets.

V. CONCLUSIONS

This study integrated multilayer perceptron classification, Differential Flower Pollination optimization, and entropy-based ranking to develop and test the H-EDFO-MLP framework for preterm birth (PTB) prediction. Targeted feature selection, multi-consultation data fusion, and meticulous preprocessing all contributed to the framework's notable performance gains. Notably, the AUC rose from 0.7511 to 0.8228 at Consult 3, and accuracy increased from 77% without preprocessing to 88% with the suggested feature selection. Our approach, which just used readily available clinical and ultrasound characteristics, showed better prediction capacity than large-scale studies employing more intricate models.

These findings demonstrate that timing and data type are more important than computational complexity or dataset size. Our findings have ramifications that go beyond predictive modeling. First, utilizing this prediction model during the 22–29-week consult may assist doctors in identifying individuals who need close monitoring and early interventions, as indicated by the model's high sensitivity for very-PTB (85.62% at Consult 3). This timing coincides with important clinical decision points, like the prenatal corticosteroid injection and the planning of the mother's transfer to facilities equipped to provide newborn care.

Without the need for sophisticated computing resources or a large infrastructure, the model can be simply incorporated into current maternal care workflows by using readily available clinical and ultrasound characteristics gathered during normal prenatal consultations. Early interventions like closer monitoring, preventive treatments, or referral to higher-level care facilities are made possible by the increased prediction accuracy, particularly during the gestational window of 22–29 weeks. These actions have the potential to greatly lower negative outcomes. Additionally, the interpretability of the model increases physician acceptance and confidence in AI-driven suggestions.

Additionally, the method offers a framework that is scalable, meaning that it may be applied to other pregnancy risk evaluations or expanded to other populations with little retraining. To increase generalizability, the study will be expanded in future to encompass a variety of healthcare systems and demographics. combining biochemical, lifestyle, environmental, genetic, and ECG data to predict apnea levels and capture a wider risk profile of PTB. Putting in place online learning tools to enable the model to update continually when fresh clinical practice data becomes available.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: T. Ummal Sariba Begum, R. Renuga Devi.
Methodology: T. Ummal Sariba Begum, R. Renuga Devi.
Investigation: T. Ummal Sariba Begum, R. Renuga Devi.
Discussion of results: T. Ummal Sariba Begum, R. Renuga Devi.
Writing – Original Draft: T. Ummal Sariba Begum, R. Renuga Devi.
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Resources: T. Ummal Sariba Begum, R. Renuga Devi.
Supervision: T. Ummal Sariba Begum, R. Renuga Devi.
Approval of the final text: T. Ummal Sariba Begum, R. Renuga Devi.

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RESEARCH ARTICLE OPEN ACCESS

PERSONALIZED INFORMATION RETRIEVAL USING LETOR MACHINE LEARNING RE-RANKING ALGORITHMS IN MSLRWEB10K DATASET: A COMPREHENSIVE STUDY

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Search Personalization

ABSTRACT

Personalized Information Retrieval (PIR) aims to tailor search results to individual user preferences and contexts. With the exponential growth of digital information, traditional retrieval systems often fall short in delivering relevant results to diverse users. This study explores the integration of machine learning re-ranking algorithms into personalized information retrieval systems to enhance search relevance and user satisfaction. The LETOR based model is experimented for relevance re-ranking in personalized retrieval. A comprehensive analysis of LETOR based models are analyzed to find a best hybrid re-ranking framework based on the performance of each model. The findings demonstrate that the LGBMRegressor model demonstrated the most consistent and best performance across the majority of metrics.

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I. INTRODUCTION

The digital age has ushered in an era of information overload, making efficient and relevant information retrieval a critical challenge. Personalized Information Retrieval (PIR) addresses this by customizing search results based on individual user preferences, behaviors, and contexts. Traditional PIR approaches often rely on static user profiles or heuristic-based methods, which may not adapt well to dynamic user needs. Recent advancements in machine learning have introduced re-ranking algorithms that can dynamically adjust search results based on learned user preferences. These algorithms offer the potential to significantly enhance the relevance and personalization of search outcomes. Machine learning personalizes search results for individual users by continuously analyzing and learning from a wide range of user data and behavioral patterns.

II. RELATED WORK

The methodology in the paper "Incorporating Explicit Subtopics in Personalized Search" (ExpliPS model) introduces a three-stage architecture to enhance personalized search by explicitly modeling user preferences for subtopics of a query. It uses BERT to generate dense vector representations for these documents as well the queries. The Final score is calculated by the weighted combination of document-query relevance and user-subtopic preference. The model is trained using a pairwise ranking loss, such as Bayesian Personalized Ranking (BPR), to ensure preferred documents are ranked higher than non-preferred ones [1].

Traditional personalized search models often rely on static representations of user interests derived from historical behaviors, such as past queries and clicked documents. These static profiles may not effectively capture the dynamic nature of user intent, leading to less accurate personalization. Moreover, documents are typically lengthy and encompass multiple topics, making fixed-length representations insufficient and potentially introducing noise into the user profile. To address these challenges, the author propose a method that constructs dynamic, intent-oriented representations of documents. The author suggest to use cross-attention or similarity-

based matching to measure the alignment between current candidate documents and the user's evolving interests to enhance relevance estimation by capturing subtle shifts in intent.

Training uses a pairwise learning-to-rank loss, such as BPR or hinge loss, encouraging more relevant documents to rank higher than less relevant ones [2]. Traditional neural relevance models often overlook the nuanced context of user queries, such as geographical location or professional role. This omission can lead to less personalized and relevant search results. Kong, D., Zhou, D., Huang, Z., & Sigalas, S. aims to address this gap by developing a model that incorporates both the content of documents and the contextual information associated with user queries.

The model uses a hybrid approach that fuses: Lexical Matching Features with Neural Semantic Relevance Features and Learning-to-Rank Layer. These features aim to capture deeper semantic compatibility between user intent and document meaning. Contextual Feature Representation model builds a composite user profile vector from various contextual signals. Each context field is embedded separately and then aggregated (e.g., via average or attention). The Learning-to-Rank (LTR) Layer is typically a feed forward neural network or gradient-boosted tree (GBT) model. Models incorporating context (e.g., title-location-query-document matching) consistently outperformed baseline models [3].

III. METHODOLOGY

III.1 PERSONALIZED SEARCH TECHNIQUES

Initial personalized information systems mainly relied on direct user feedback and fixed profiles to customize search outcomes. Nevertheless, these approaches frequently demonstrated a deficiency in their ability to adjust to evolving user preferences. Recent studies have investigated dynamic user modeling, integrating real-time behaviors and context-related data to enhance personalization strategies. Machine learning has transformed information retrieval by allowing systems to learn from data and enhance their performance over time. Re-ranking algorithms, in particular, have showed potential in changing the first search results to better fit what the user wants.

Methods like Learning to Rank (LTR) have gained significant traction, utilizing features derived from user interactions and the relevance of content [4].Combining user modeling with machine learning re-ranking has become a powerful way to get personalized information. Hybrid models effectively integrate long-term user preferences with immediate contextual cues, resulting in search results that are both accurate and personalized. Here is an overview of several commonly employed techniques:

III.2 COLLABORATIVE FILTERING

Collaborative filtering suggests content by analyzing the similarities among users. When individuals with comparable profiles express a preference for specific outcomes, it increases the likelihood that those outcomes will be presented to others within that same demographic. These systems offer the benefit of addressing the cold-start problem to a certain degree. Handling extensive datasets and determining user similarities can be resource-intensive and may struggle to adjust to evolving user preferences. [5].

III.3 CONTENT-BASED FILTERING

Content-based filtering emphasizes the attributes of items that a user has interacted with in the past, suggesting analogous content for future engagement. It constructs comprehensive user profiles by monitoring search queries, clicks, time spent on pages, and engagement patterns over time. This historical data enables the system to comprehend individual user interests and preferences, thereby customizing future outcomes accordingly. This approach effectively addresses the issue of initial data scarcity by providing recommendations despite minimal user interaction information. The system is capable of managing substantial volumes of data with high efficiency, rendering it appropriate for extensive online platforms. [6-8].

III.4 HYBRID METHODS

Hybrid models present a compelling strategy for enhancing personalization in machine learning, facilitating the development of systems that are more precise, resilient, and flexible. Integrating the advantages of various models allows for the tackling of personalization challenges and enhances user experiences [9-12].

III.5 CONTEXT-AWARE PERSONALIZATION

When offering recommendations or changing services, context-aware personalization models take into account the user's present condition and environment. These models utilize real-time data, including location, device type, time of day, and the user’s current session behavior, to deliver more relevant and customized experiences. A search for “leagues” might produce sports-related results if the user frequently accesses sports websites, or it could vary depending on geographic location or the time of the search [13].

III.6 REINFORCEMENT LEARNING

Personalization through reinforcement learning (RL) serves as an effective mechanism, enabling systems to evolve and understand user preferences progressively. By considering each user as an agent engaging with their surroundings, RL has the potential to tailor user experiences across multiple domains. Personalization driven by reinforcement learning presents a compelling method for customizing user experiences according to specific preferences and requirements. Through ongoing analysis of user interactions, RL systems are able to deliver increasingly relevant, engaging, and tailored services. Nonetheless, it is crucial to tackle the obstacles related to data needs, computational capabilities, and ethical implications [14].

III.7 NEURAL AND EMBEDDING-BASED PERSONALIZATION

It employs deep learning to learn user and item representations (for example, through embedding's). Embedding models serve as a category of machine learning models that aim to represent various forms of data, including text and images, within a continuous, low-dimensional vector space.

These embedding's capture semantic or contextual similarities between pieces of data, allowing machines to execute tasks such as comparison, clustering, or classification with greater efficiency. These models transform words into numerical vectors that encapsulate semantic meanings and the relationships that exist between them. Models such as Word2vec employ straightforward neural networks to acquire embedding's grounded in co-occurrence patterns. Transformers, such as BERT and GPT, along with CNNs, are adept at extracting intricate patterns and relationships through layered data processing. [15].

III.8 LEARNING-TO-RANK FOR PERSONALIZATION

Learning to Rank (LTR) is a type of machine learning that changes the order of items in a list based on how relevant or important they are. This is very helpful for making recommendations and search engines more personalized. The system analyzes user interactions and various data sources to forecast the optimal ranking order, thereby enhancing the personalization and relevance of the results. LTR models can be developed through a range of techniques, such as point wise, pairwise, and list wise approaches. Learning to Rank serves as an effective mechanism for personalization, allowing systems to provide users with more pertinent and engaging outcomes by analyzing their interactions and behaviors [16-20].

IV. PROPOSED METHODOLOGY

For any user query, a relevance function can take into account any one or multiple factors such as:

1. Text similarity
2. Query properties
3. Document properties
4. User and context properties

When considering a system based on the user and context properties we can derive any one of the systems like: General Traditional Search, Personalized Search and Recommendation systems. When considering personalized search both user input (query) and user preferences are part of the relevance parameter. This implies that search personalization should be implemented with utmost care. The search may end up annoying or be biased to users with their favorite documents while they were particularly looking for something else if the emphasis was on historical user behavior and too little on the current search intent. This illustrates the importance of providing users with enough historical data to confidently tilt search results in a particular way.

Additionally, remember that personalization will mostly impact exploratory inquiries and confusing user input. The search algorithms should already cover clear navigational inquiries. Learning-to-rank (LTR) is the process of creating statistical models for relevance ranking. The model is trained to identify the best options from certain data, rather than manually creating a structured query and weights for all text similarity, query attributes, and document properties. The information is presented as a decision list. The behavior-based personalization is examined with LTR, which means that the user attributes is extracted and will be utilized in our LTR training process by leveraging historical user activity.

An initial set of search results is generated using a standard retrieval model, such as BM25, based on the user's query. The Microsoft Learning to Rank (MSLR) dataset MSLR-WEB10K is used to conduct the experiment. These datasets are used in learning to Rank (LTR) problems, where each instance (document) is associated with a query, a set of features, and a relevance label. The baseline ranking score is based on the original document order, without using any model and the predicted ranking scores is calculated.Then the following hybrid re-ranking framework is trained and tested that integrates user profiling with machine learning algorithms to enhance Personalized Information Retrieval.

- LightGBM (using LGBMRanker).
- LGBMRegressor (using LambdaRank)
- XGBoost-based Learning-to-Rank model (using XGBRanker)

For Learning to Rank models like LightGBM's ranker, the model needs no of documents for each query as input. This is done using group info (an array) where each value is the number of documents for one query. Then the unique query IDs and the number of times each appears are calculated and found (i.e., how many documents are associated with each query).Then the counts (documents per query) is extracted, which is used as training group or testing group. When training ranking models, rankings per query is evaluated, so Group documents are done correctly by query. The model must know how many documents are associated with each query. So we now load the MSLR training/testing data and separate the features, labels, and query IDs.

Then calculate how many documents belong to each query (group info). This is essential input for Learning-to-Rank models that optimize rankings on a per-query basis. Then the documents are sorted by predicted score (descending), and the same order is applied to simulate the ranked list. ndcg_score needs relevance and ideal relevance values. So the actual relevance list based on predicted ranking is calculated and found. The ideal ranking scores is simulated, assuming perfect prediction order of k=10 to evaluate top-10 results only. Then the true relevance score is converted into a binary vector considering (≥1) for relevant, 0 for irrelevant. The average_precision_score() computes precision across all ranks and it adds score if there's at least one relevant document. Then find the

index of the first relevant document (relevance ≥1). Use the formula [1 / (rank of first relevant doc)] for finding the MRR score and then find the average of each metric across all queries. Learning to Rank models on multi-query datasets is evaluated for the dataset.

Then the training and testing is done using LightGBM's LGBMRanker. LGBMRegressor is a regression model, not specifically designed for ranking. It's commonly used as a point wise LTR baseline, where the model predicts relevance scores directly. This ranking approach comes under the point wise approach, where each document is scored independently. This method ignores query groups, meaning it doesn't model interactions between documents within the same query. It's less effective than pairwise or list wise models like LGBMRanker (LambdaRank), but useful as a simple baseline. Then we train for the XGBoost-based Learning-to-Rank model (XGBRanker) using the NDCG objective, and applies it to predict document ranking scores. It's similar in purpose to LGBMRanker, but uses the XGBoost instead of LightGBM. Learning to Rank (LTR) algorithm is employed, such as LambdaMART, to re-rank the initial search results. The model is trained on labeled data to predict the likelihood of a document being relevant to the user.

V. EXPERIMENT

V.1 DATASET

The testing of the framework is done using the MSLRWEB10K dataset, which includes user queries, click-through data, and relevance judgments. It consist of 136 features with 10K Queries in each fold with a total count of 5 folds.

V.2 FEATURES

For each retrieved document, we extract a set of features, including:

- Query-document relevance scores
- User-document interaction history
- Temporal and contextual factors

V.3 BASELINE MODELS

The retrieval models evaluated are:

- Baseline ranking quality based only on the original document order.
- LightGBM (using LGBMRanker).
- LGBMRegressor (using LambdaRank)
- XGBoost-based Learning-to-Rank model (using XGBRanker)

V.4 EVALUATION METRICS

Performance was assessed using standard IR metrics as mentioned below:

- **Mean Reciprocal Rank (MRR) -** measures the average reciprocal rank of the first relevant document for a given query. MRR is calculated as

$$RR = 1/Q * \Sigma (1/rank_q),$$

Where Q is the number of queries and rank_q is the rank of the first relevant result for query q.

- **Normalized Discounted Cumulative Gain (NDCG) -** Normalized Discounted Cumulative Gain (NDCG) is a more comprehensive metric that considers both the relevance of retrieved documents and their position in the ranked list.

$$NDCG@10 = DCG@10 / IDCG@10$$

DCG@10 is the Discounted Cumulative Gain for the top 10 results. IDCG@10
Is the Ideal Discounted Cumulative Gain for the top 10 results.

- **Mean Average Precision (MAP) -** Mean Average Precision (mAP) is calculated by averaging the Average Precision (AP) across all classes or categories in a dataset.

$$mAP = (1/n) * sum (AP),$$

Where 'n' is the number of classes or categories.

VI. RESULTS

The graph depicts the result for all three re-ranking techniques for MSLRWEB10K dataset by having the relevancy score on the y-axis for each Metrics for all the three re-ranking techniques along with original order without re-ranking

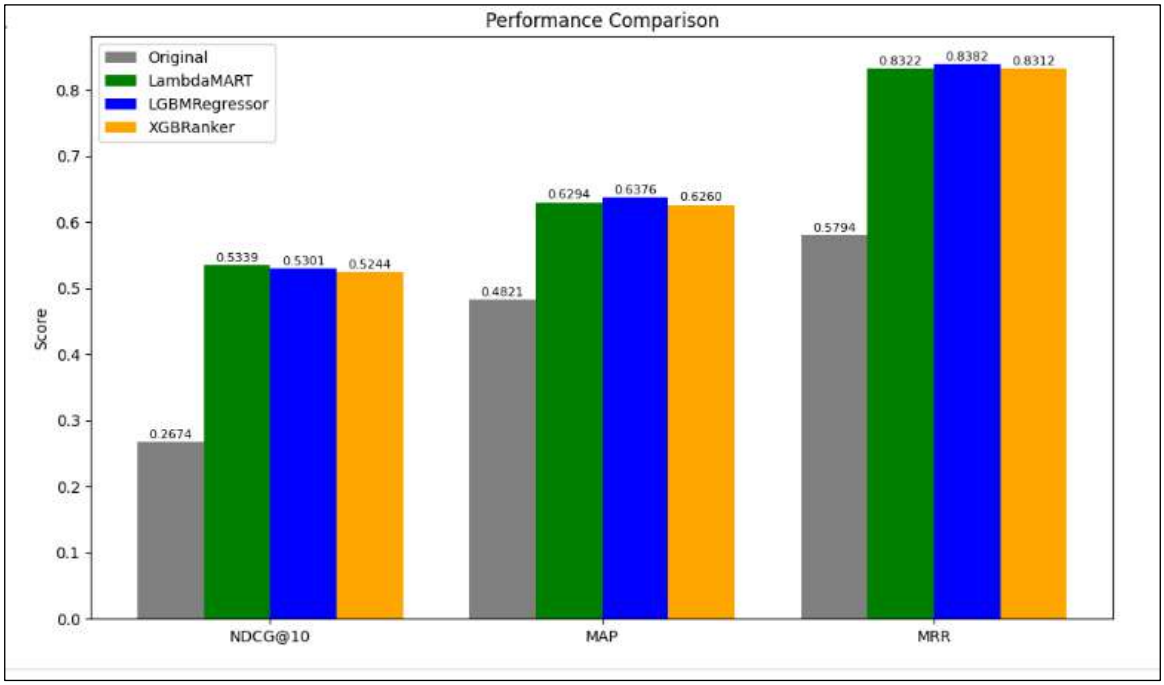


Fig 1. Performance Comparison of Proposed Model based on MSLRWEB10K dataset.
Source: Authors, (2026).

VII. CONCLUSION

This study demonstrates the efficiency of Re-ranking models and its performance. Among the evaluated models, LGBMRegressor demonstrated the most consistent and best performance across the majority of metrics. It achieved the highest scores in both MAP (0.6376) and MRR (0.8382), and also gives good performance in NDCG@10 (0.5301). Although LambdaMART slightly outperformed in NDCG@10, the overall results indicate that LGBMRegressor offers a better balance of ranking quality and retrieval effectiveness, making it the most effective model in this comparison.

VIII. AUTHOR'S CONTRIBUTION

Conceptualization: Mrs. M. Poomani and Dr. J. Jebamalar Tamilselvi.
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Writing – Original Draft: Mrs. M. Poomani and Dr. J. Jebamalar Tamilselvi.
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SegRivWidth: RIVER WIDTH MEASUREMENT USING DEEP LEARNING

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ABSTRACT

A precise river width measurement is crucial for various river modeling, habitat evaluation, flood risk analysis, and other hydrological environmental, and technical applications. Conventional techniques is time-consuming and error-prone, such as direct field measurements. Nowdays fast and accurate riven identification and its width measurement is highely needed to save human life during flud and other natural disaster. Recent deep learning technology can greately be applied to identify and measure width of river automatic, fast and accurate from a remote place. The proposed deep learning based method is executed in two steps, identification of river and river width measurement. Deep learning based segmentation is used to identify river from remote sensing image. The accuracy of the semantic segmentation to identify river depends on rich spatial data and the resolution of the remote sensing images. In this work proposed SegRivWidth algorithm for automatic river width measurement from segmented images. The obtained results are compared with the ground truth river width and found better accuracy. The obtained results are also compared with the existing methods in terms of Average Absolute Error (AAE) and Root Mean Square Error (RMSE). The proposed SegRivWidth has an RMSE of 4.76 m and an AAE error of 2.16 m for the river width measurement.

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I. INTRODUCTION

Measuring river width from remote sensing images involves using satellite or aerial imagery to capture the river's spatial extent. This process typically requires first identifying the river area from the remote sensing images. This is possible with the help of the Semantic segmentation method that identifies and classifies each pixel of an image into predefined categories, such as land, water, urban areas, vegetation, and other features. Here the goal is to classify each pixel in the image into categories, such as "river" and "non-river from satellite or aerial images. These images are captured using satellites or drones equipped with sensors such as optical, infrared, or radar.

The resolution, light conditions, cloud, and type of sensor used play an important role in determining the accuracy of the segmentation. Once the images are preprocessed to improve the quality of the image then semantic segmentation can be performed. This is typically done using deep learning methods, particularly convolutional neural networks (CNNs) or more specialized models like U-Net[1], SegNet[2], and FCN[3] which are commonly used for segmentation tasks. The River semantic segmentation accuracy depends on the varying water conditions, cloud cover, shadow, and complex river structures such as sharp curves, and multiple branches present in the images.

Many researchers proposed a different methods for the identification of the river and river width from the aerial images. An end-to-end deep learning-based U-Net neural network for segmentation of river state from drone-based images proposed by [4]. The methodology was tested on river areas in southern Poland, demonstrating its effectiveness with a Dice coefficient of 0.8524. Moreover a novel deep-learning framework for the accurate extraction of water bodies from high-resolution remote sensing imagery presented by [5]. The authors address challenges such as indistinct boundaries and shadow misclassification by leveraging the DeepLabV3+ architecture and an innovative fusion mechanism for high- and low-level features. The proposed method demonstrates superior performance, achieving an overall accuracy of 99.284%, IoU of 95.58%, precision of 97.562%, recall of 95.486%, and F1 score of 96.513%.

Since river width is one of the two basic dimensions of river extent (width and length) and one of the main components of river discharge (width, depth, and velocity). Thus, through river extent, river flow, or both, the river width is linked to it and is of great relevance among numerous applications such as environmental monitoring, flood monitoring, agriculture, water resource management, and urban planning. The aims to provide accurate and automated analysis of river conditions and the significance of river width measurements are underscored by recent developments in satellite-derived river discharge. The DeepRivWidth is a Deep learning-based semantic segmentation approach for river identification and width measurement in Synthetic Aperture Radar (SAR) images of Coastal Karnataka proposes a technique for precisely determining river widths using SAR views [6].

First, it identifies rivers and then quantifies their width using the advanced deep-learning algorithms of U-Net and DeepLabV3+. The suggested strategy outperforms current techniques in terms of accuracy, particularly in difficult weather situations. Sometimes the method fails to detect very narrow rivers and the presence of speckle noise in SAR images, which can affect the accuracy of width measurements.However super-resolution mapping (SRM) method to measure wetted river width (RWW) from remotely sensed imagery with a deep convolutional neural network (CNN) by the mixed pixel problem in coarse spatial resolution images addressed by [7]. The results were validated through experimental images taken from MODIS and Landsat data. The suggested method was not precisely measure the width of a narrow river. An innovative method based on Graph-Theory River Width Extraction from Remote Sensing Imagery presented by [8].

The proposed GrabRiver method automates the entire process from image preparation to river width calculation, utilizing graph theory to maintain river connectivity and accurately measure river widths. The method demonstrates high accuracy in experiments conducted on the Mekong and Mississippi Rivers, with results showing a strong correlation with reference measurements. The presence of clouds, cloud shadows, and snow can impact the accuracy of river width. RivWidthCloud suggested by an innovative algorithm for automating river centerlines and width calculations from optical satellite images in the presence of clouds, cloud shadows, and snow [9]. The proposed method shows high accuracy, with a root mean square error of 99 meters. Various types of river surfaces and widths measurements from satellite images such as tiny, thin, small, and large rivers proposed by [10]. The suggested method used an improved random forest algorithm combined with artificial neural networks (RF-ANN) for river surface extraction and an automated river width extraction (ARWE) method.

The error occurs for various types of extraction of 10.9%, 4.9% .1%, and 0.6% respectively. The suggested method did not accurately calculate river width when the river width is less than 10 meters. Howerver DeepLabV3+ Convolutional Neural Network (CNN) model automatically segmented different types of river channel borders and river width using a Voronoi Diagram method presented by [11]. The model accurately classifies all four types of rivers with an accuracy of 0.97. When islands are present, the method does not accurately determine the width of the river. A novel approach of RivWidth tool used raster-based classifications from remotely sensed imagery to automatically calculate river widths [12]. In computer vision, segmentation is a subject that has been extensively researched and applied to a variety of tasks, including medical image analysis, identification of roads, buildings, ships, and other types of applications [13-17].

Moreover, the First step of river width calculation is river identification and it is formulated as a semantic segmentation problem in this work. Then traditionally many methods are available to measures width of segmeneted images such as thresholding [9], manual delineation, and NDWI-based approaches [18]. They have some restrictions because choosing the ideal threshold value is a challenge in thresholding method for river width calculation. Manual delineation is subjective and takes a lot of time. The atmospheric conditions, sensor characteristics, and water qualities can all cause mistakes in NDWI-based approaches. However, The work on semantic segmentation of rivers from aerial images is still limited. The system that combines the automatic identification of river and river width computation from remote sensing imagery is still limited.

II. METHODOLOGY

The goal of this work is to create a system that uses remote sensing images to automatically identify rivers and compute the widths of a river. The proposed approach comprises three main processing steps data augmentation, river identification using SegNet method, and River width calculation based on the centerline extraction as shown in Figure 1. River centerline extraction is done using the skeleton and distance matrix calculation method.

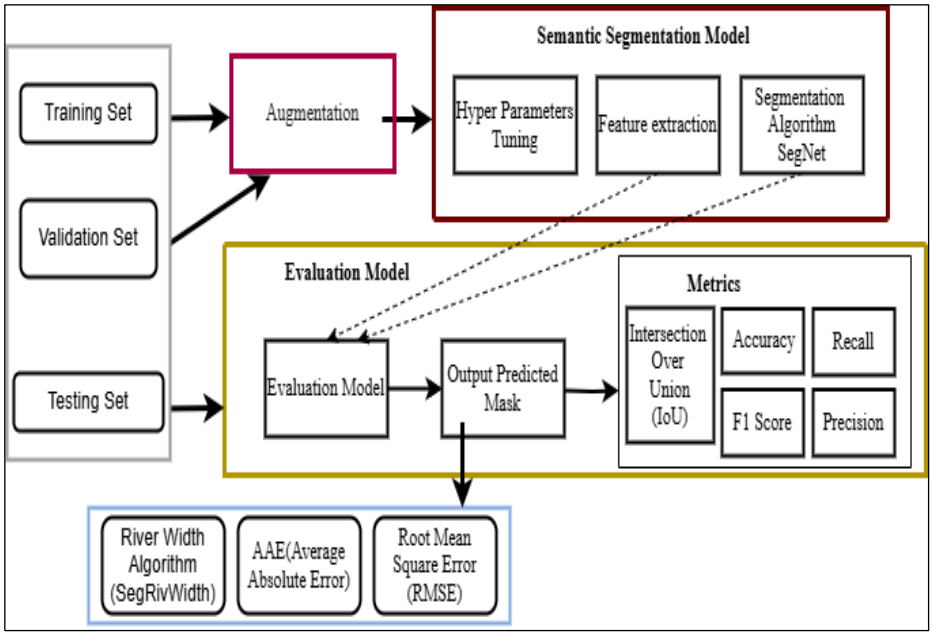


Figure 1: Block Diagram of Semantic Segmentation Model of River.
Source: Authors, (2026).

Dataset SegNet models of rivers were trained, validated, and tested using the Riwa V2 dataset [19]. These images were gathered by cellphones, drones, and unmanned aerial vehicles (UAVs). This images of rivers are different in sizes, including small, narrow, large, and tiny. Additionally, to test the trained model's performance in a variety of meteorological and seasonal settings, river photos were obtained throughout the year, including spring and rainy seasons as shown in Figure 2. A total of 1128 images in the original dataset were divided into three subsets at random: 70% of the images are used for training, 15% are used for validation, and the remaining 15% are used for testing.



Figure 2: Dataset Samples.
Source: Authors, (2026).

II.1 DATA AUGMENTATION

The original dataset is expanded by data augmentation to enhance SegNet model's accuracy and generalization for a larger dataset [20]. Generalization is the ability of a model to learn hierarchical features from data, which allows it to function effectively on a variety of tasks outside of its original training dataset. To improve the model's capacity to manage occlusion and scale fluctuations, methods such as random cropping, rotation, and scaling can be employed to intentionally increase the variety of the training data. The original images are randomly altered to achieve the augmentation [21], mostly through the use of geometric modifications such as cropping, rotations up to ±45o, and flipping them horizontally and vertically.

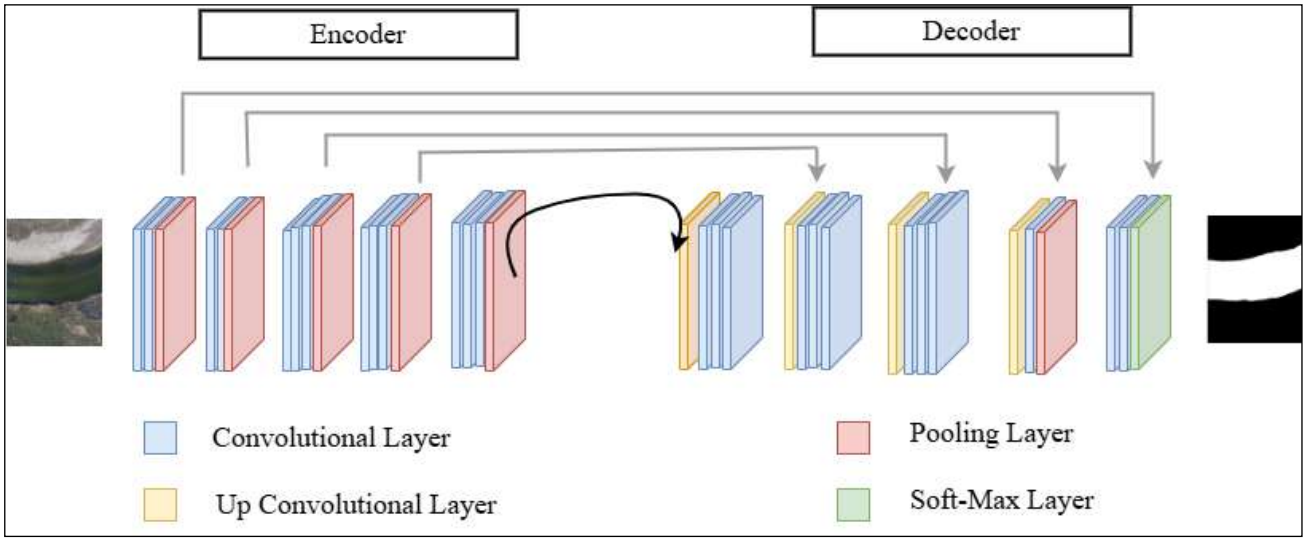


Figure 3: The Architecture of SegNet Model.
Source: Authors, (2026).

II.2 SEGNET-BASED RIVER IDENTIFICATION

Semantic segmentation is used to identify rivers from remote sensing imagery. It is a process to partition the images which have similar types of characteristics. This work uses a SegNet architecture for semantic segmentation as shown in Figure 3. SegNet is a specialized deep learning architecture that uses an encoder-decoder structure made up of CNNs and pooling layers to identify image pixels. It is created especially for semantic segmentation applications. The encoder component of SegNet consists of several convolutional layers followed by pooling layers that collect high-level characteristics from the input image.

It down-samples the image and it reduce spatial dimension. On the other hand, the decoder part generates pixel-wise segmentation masks and refines feature representations by up-sampling rather than down-sampling, while maintaining the structure of the encoder. Skip connections across relevant layers help to preserve spatial information lost during encoder down-sampling, improving segmentation accuracy. The final segmented image is obtained by applying a softmax layer to every pixel in the output feature map. This process assigns a probability distribution across a binary class of river and background. An encoder and a decoder, each with 13 convolutional layers, make up the SegNet framework as shown in Figure 3

The encoder layers first make use of a 64x64 convolution layer with a small receptive field. They include both BN (Batch Normalization) operations and ReLU activation functions. Similarly, the 128x128 convolution layer appears on two levels, the 256x256 convolution layer appears on three layers, the 512x512 convolution layer appears on three layers, and the 512x512 convolution layer appears on three layers. To preserve the feature maps' spatial dimensions, max pooling operations are carried out after each convolutional layer. A 3x3 kernel size filter with the same padding is used at the encoder side in conjunction with convolution, while a 2x2 kernel size filter with stride = 2 is used at the decoder side.

II.3 RIVER WIDTH MEASUREMENT ALGORITHM

Algorithm 1:River Width Calculation

Input: Predicted Output of test dataset $\hat{G}_{test}$
Output: Average River width mW^{model}

for each sample of test set **do**
  $\hat{G}_{gray} = f(col2gray(\hat{G}_{test}))$ /* convert color image to grayscale image */
  $\hat{G}_{thresh} = f(gray2thresh(\hat{G}_{gray})$ /* convert into threshold image */
  $dist = copy(\ \hat{G}_{thresh}\ )$ /* threshold image copied into distance */
  $dist_{trans} = DT(dist, euclidiane_{dist})$ /* applied distance transform on the threshold image */
  $skele_ton = skeleton(copy(\ \hat{G}_{thresh}\ ), medial_axis)$ /* to get skeleton medial axis)
  $centerline_{dist} = dist_{trans} * skele_ton$ /* to get centerline distance */
end for
for $skele_ton \neq 0$ **do**
  $avg = mean(centerline_{dist})$
end for
$mw^{model} = 2 * avg$ /* average River width */

Source: Authors, (2026).

The river width calculation algorithm SegRivWidth is given in Algorithm 1. The width of the river is calculated using the binary segmentation map made up of the river pixels in the foreground class $\hat{G}_{test}$. River width is defined as the distance between two locations on the riverbank that is orthogonal to the river's centerline. The two-step method to calculate river width is River centerline calculation and measurement of the distance between two locations on the riverbank that are orthogonal to the river centerline.

DT (Distance Transform) is applied on the thresholded river grayscale image. Then the medial axis of the extracted river is calculated using the skele_ton. This skeleton is then taken to represent the river's centerline using $centerline_{dist}$ .Let's use RPi, i = 1, 2, …, N to represent the N pixels on the river centerline. The closest point RPj ($Pj \in Pi$) on the river centerline is initially identified given a point on the river bank Q. Using the formula of river width calculation is

$$mW^{model} = \sigma\,(2\,Dist(Q, RP)) \tag{1}$$

Where $DIST$ (RP, Q) is the Euclidean distance between locations P and Q .This width mW, which is in the unit of pixels, can be multiplied by a scaling factor σ to convert it to the metric unit (meters).

II.4 PERFORMANCE MATRICES

Different performance metrics are used for river identification and river width calculation as described in the following section.

II.4.1 River Identification Metrics

Performance metrics like accuracy, precision, recall, IOU, and F1 score are commonly used to assess the effectiveness of semantic segmentation. The test dataset's confusion matrix served as the base for calculating the various evolution metrics. They described themselves as:

$$\text{Accuracy} = \frac{TP + TN}{TP + TN + FP + FN}, \tag{2}$$

$$\text{Recall} = \frac{TP}{TP + FN}, \tag{3}$$

$$\text{Precision} = \frac{TP}{TP + FP}, \tag{4}$$

$$\text{Flscore} = 2 \times \frac{\text{precision} \times \text{recall}}{\text{precision} + \text{recall}} \tag{5}$$

$$\text{IOU} = \frac{TP}{TP + FP + FN}, \tag{6}$$

False Positive (FP) indicates the number of river pixels that are incorrectly classified, False Negative (FN) indicates the number of background pixels other than river pixels that are incorrectly classified, True Positive (TP) indicates the number of river pixels that are correctly classified, and True Negative (TN) indicates the number of background pixels other than river pixels that are correctly classified. The model's overall performance across all classes is shown by accuracy. A recall is calculated by dividing the number of correctly identified positive samples by the total number of positive samples in the test set. The precision of an image is defined as the proportion of accurately predicted positive samples among all expected positive samples. The F1 score is a representation of the precision and recall harmonic average values. The Predicted and original image overlap ratio is represented by the IOU.

II.4.2 River Width Metrics:

The effectiveness of the proposed method for river width calculation mw^{model} is compared with the river width of the ground truth images mwg. The Average Absolute Error (AAE) and Root Mean Square Error (RMSE) are used to measure the performance of the method. They are defined as under:

$$Average\ Absolute\ Error = \frac{absolute(mw_g - mw^{model})}{N} \tag{7}$$

$$Root\ Mean\ Square\ Error = \sqrt{\frac{\sum(mw_g - mw^{model})^2}{N}} \tag{8}$$

Where N is the total number of locations considered for river width measurement

III RESULT AND DISCUSSION

III.1 RIVER IDENTIFICATION TRAINING PHASE

The River Identification Training Phase used two semantic segmentation algorithms, FCN and SegNet, trained on the RIWA V2 dataset. This dataset is divided into three parts: test, validation, and training. The SegNet and FCN are trained independently on the same dataset using identical training, validation, and test split. The model is trained and evaluated on Google Colab with an NVIDIA T4 Tesla GPU, 12 GB of RAM, CUDA version 12.2, and an Intel Xeon CPU running at 2.00 GHz. The deep learning library PyTorch is used to train the model. The Learning Rate £ of the model is initialized by the 1x10-2, Batch Size β of 4, Hidden Layers of 64, and image size of 512x512 pixels. The proposed model used a Binary Cross Entropy (BCE) loss model. It used Adam optimizer for FCN and SegNet to optimize the weight parameters of the model.

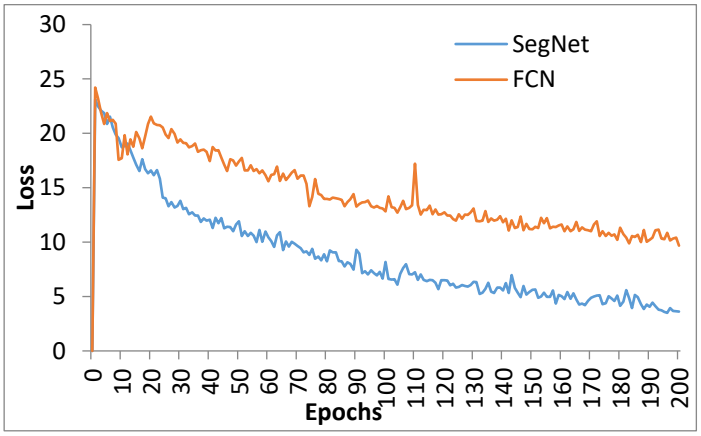


Figure 4: Loss curve during Training Phase.
Source: Authors, (2026).

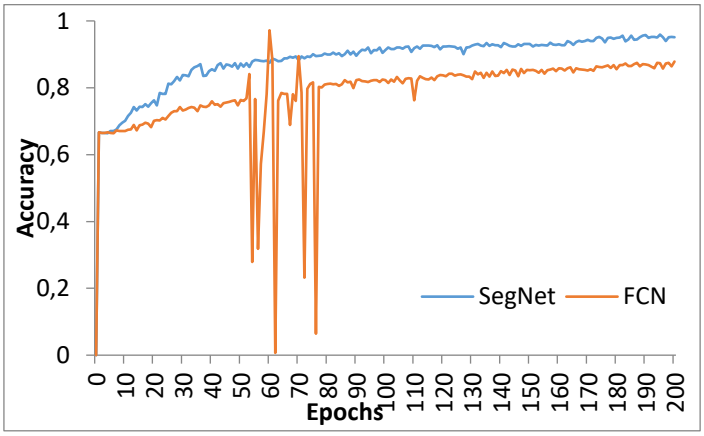


Figure 5: Accuracy Curve during the Training Phase.
Source: Authors, (2026).

During the training phase of the model (FCN and SegNet) the Loss, Accuracy, IoU score, and Training Time are calculated. Both of the models are trained for 200 epochs and the graph of epochs vs loss and epochs vs accuracy is shown in Figure 4 and Figure 5 respectively. Result shows SegNet model performed better than the FCN model. The Training time required for the FCN is approximately 6 hrs whereas the training time for the SegNet is approximately 6 hrs and 25 min. Moreover to measure the effectiveness of the model IOU score is also measured for the validation and training phase of the FCN and SegNet model as shown in Table 1. Both algorithms demonstrate competitive performance, with FCN achieving an IoU score of 78.25% and SegNet achieving an IoU score of 89.55 % during the validation phase. Both method FCN and SegNet methods segmented images accurately but compared to FCN, SegNet produces a more accurate river segmentation as shown in Figure 6.

Table 1: Training Phase Evaluation Parameters.

Model Name	IoU score (Training Phase) (%)	IoU score (Validation Phase) (%)	Training Time
FCN	89.55	78.25	5 hrs and 55 min
SegNet	92.48	88.67	6 hrs and 25 min

Source: Authors, (2026).

III.2 RIVER IDENTIFICATION TESTING PHASE

Table 2. Testing Phase Evaluation Parameters.

Model Name	Precision (%)	Recall (%)	F1 score (%)
FCN	78.89	77.92	78.40
SegNet	85.56	89.23	87.35

Source: Authors, (2026).

The semantic segmentation of rivers from Aerial images is challenging due to the presence of multiple water bodies, shadows, and backgrounds with similar kinds of features. The performance precision, recall, and F1 score of FCN and SegNet algorithms are compared with ground truth values. It can be seen that both the algorithms perform well and achieve good competent results as shown in Table 2. The SegNet achieves the recall value of 89.23% however the FCN achieves 77.92% of recall value. Further F1 score of FCN is 78.40 % while 87.35 for the SegNet Method. However, it was observed SegNet method is more accurate than the FCN method for semantic segmentation of the river as shown in Figure 6.

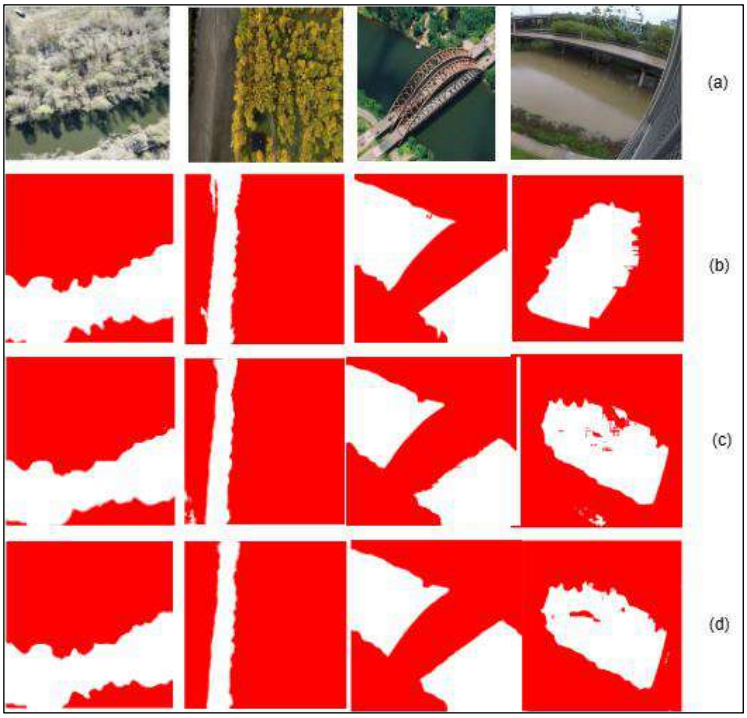


Figure 6: (a)Original Image (b) Ground Truth (c) Sementic Segmented Output Images using FCN (d)River Semantic Segmentation Output Images using SegNet Method.
Source: Authors, (2026).

III.3 RIVER WIDTH RESULTS

Table 3: River width results.

Test Image	Actual Width mw_g (meter)	mw^{FCN}(meter)	mw^{SegNet} (meter)
1	37.76	39.2	36.44
2	18.22	15.85	17.27
3	45.98	48.71	47.78
4	30.67	20.97	25.7

Source: Authors, (2026).

A comparison was made between the estimated and actual river widths. Actual river width is determined by ground truth images. The measured width at a few locations using the segmentation findings from SegNet and FCN is displayed in Table 3. Both the method FCN and SegNet are used to calculate the width of the river from the river segmented output images. The estimated width is not same actual river width as segmentations boundary errors. As Segmentation boundary errors results due to inaccurate object boundaries during image segmentation method which leads further error for river width calculation. Segmentation boundary error depends on algorithm such as edge based, region based or deep learning based algorithm that misclassify river segment. The segmented river images further analysed for the river width measurement that compounded the initial error segmentation and river width measurement algorithm error. It means if the boundary is narrower than the actual object then width will be underestimated.

Using the segmentation findings of FCN, the average absolute measurement error was 4.06 m, whereas using the segmentation results of SegNet, it was 2.16 m. Additionally, using the FCN segmentation map, the root mean square error (RMSE) was 5.22 m while using the SegNet segmentation map, it was 4.76 m. The more precise segmentation map produced by SegNet is the primary reason the estimated river width using SegNet segmentation method is more accurate than the FCN method. This finding is the significance of precisely identifying rivers and calculation of river width. The suggested method for measuring river width performs noticeably better than the previously published research as shown in Table 4.

Table 4. Comparative analysis with published work.

Algorithm	AAE Error (m)	RMS Error(m)
RivWidthCloud (9)	43.1	99.2
DeepRivWidth (6)	20.05	24.9
RWW (2)	-	14.41
GrabRiver(8)	26.05	47.3
Proposed: SegRivWidth	2.16	4.76

Source: Authors, (2026).

IV. CONCLUSION

Using Deep learning can be done river segmentation and width measurement fast and automatic from remote place to save humen life during natural disasters. The suggested method first identifies the river images from the aerial images using semantic segmentation and then calculates the width of the river. The use of CNN-based encoder-decoder type architecture eliminates the requirement of human intervention for adjusting the threshold value and seed point of the input image. Both the FCN and SegNet model's evaluation parameters were compared during the training, and testing phase. The result shows that the SegNet Model accurately classifies the image pixel of rivers from the input images. Moreover, the visual result also conveyed that SegNet is superior to the FCN method for river semantic segmentation. The SegRivWidth measures the width of the river from the segmented result and would be used for the better management and planning of water resources.

The input to the SegRivWidth algorithm is a Semantic Segmented image that is used to calculate the river width and compare it with the original ground truth width measurement. However, the accuracy of the river width measurement depends on how the river image is identified properly from the aerial images. The AAE and RMS error is calculated for the SegNet model and compared with the other five methods reported recently in the literature. The river width calculation for the SegNet model had an AAE error was 2.16 m and an RMS error was 4.76 m. These findings of the river width performed better than the methods currently used for extracting river width. This method would be used for automatic calculation of river width, flood monitoring, agriculture, water resource management, and urban planning.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Dr. Miral Jerambhai Patel and Dr. Hasmukh P Koringa.
Methodology: Dr. Miral Jerambhai Patel and Dr. Hasmukh P Koringa.
Investigation: Dr. Miral Jerambhai Patel and Dr. Hasmukh P Koringa.
Discussion of results: Dr. Miral Jerambhai Patel, Dr. Bhavik D. Upadhyay and Dr. Ashish K Sarvaiya.
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Writing – Review and Editing: Dr. Bhavik D. Upadhyay, Dr. Ashish K Sarvaiya and Priyank K.Shah
Resources: Dr. Ashish K Sarvaiya and Priyank K.Shah
Supervision: Dr. Bhavik D. Upadhyay, Ms. Sonal T. Dave and Priyank K.Shah.
Approval of the final text: Dr. Miral Jerambhai Patel, Ms. Sonal T. Dave and Dr. Ashish K Sarvaiya.

VI. ABBREVIATIONS

AAE: Average Absolute Error, RMSE: Root Mean Square Error, CNN: Convolutional Neural Networks, SAR: Synthetic Aperture Radar, SRM: Super-Resolution Mapping, RWW: River Wetted Width, RF-ANN: Random Forest algorithm combined with Artificial Neural Networks, ARWE: Automated River Width Extraction, UAV: Unmanned Aerial Vehicles, BN: Batch Normalization, DT: Distance Transform, FP: False Positive, FN:False Negative, TP:Positive , TN: True Negative, AAE: Average Absolute Error, NDWI :Normalized difference water index

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EMBRYO SELECTION AND CLASSIFICATION IN IVF USING HYBRID DEEP LEARNING APPROACH

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ABSTRACT

Accurately evaluating and choosing viable embryos for implantation is crucial to the success rate of in vitro fertilisation (IVF). Traditional evaluation techniques mostly rely on the subjective and variable eye observation of embryologists. This study suggests a deep learning-based automated embryo classification framework that combines image preprocessing, segmentation, and classification in order to overcome these drawbacks. First, to improve the contrast and clarity of small morphological characteristics in embryo photos, Contrast Limited Adaptive Histogram Equalisation (CLAHE) is used. The enhanced images are then subjected to a sprint semantic segmentation network (SSS-Net) to ensure that only relevant features support classification and accurately differentiate the embryo region from the backdrop. Using a hybrid Convolutional Neural Network–Long Short-Term Memory (CNN–LSTM) model, the last step successfully classifies embryos into different quality categories. This method captures both spatial and sequential feature dependency. The experimental evaluation demonstrates the durability and dependability of the proposed framework with high precision, recall, F1-score, and accuracy, demonstrating strong predictive performance. When compared to conventional techniques, the combination of sophisticated preprocessing, effective segmentation, and hybrid deep learning architecture greatly increases classification consistency. All things considered, the suggested method offers an automated, scalable, and objective tool for evaluating the quality of embryos. It may also help embryologists make clinical decisions and eventually increase the success rates of IVF.

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I. INTRODUCTION

About 80 million couples worldwide suffer from infertility, a serious issue and major clinical condition that affects 8–12% of couples [1]. Globally, the infertility rate has been steadily rising, and in many West African groups, it is even getting close to 50% [2]. According to estimates, only half of the 6.1 million infertile Americans receiving therapy are receiving fertility-related care [3]. One popular and successful assisted reproductive method for treating infertility is in vitro fertilisation (IVF). Using a manual fertilisation process, IVF involves cultivating embryos in an incubator for three to five days until they reach the blastocyst stage.

Based on important morphological characteristics, the best embryos (blastocysts) are chosen and returned to the patient's uterus [4]. To boost the likelihood of pregnancy, several blastocysts were transferred in the past. But it caused mothers and newborns to have repeated pregnancies and other gestational problems. In order to lower the chance of multiple pregnancies, it is advised to transfer a single viable blastocyst [5]. In the past, skilled embryologists have closely examined the morphological features of blastocyst components using time-lapse imaging to physically assess the embryo's viability.

Pregnancy is significantly impacted by the various morphologies of the blastocoel (BL), inner cell mass (ICM), trophectoderm (TE), and zona pellucida (ZP), which are the fundamental components of the blastocyst [6]. Sperm-egg binding depends on ZP, a protective glycoprotein coating that envelops the oocyte. ZP thickness reduces when the embryo moves on to the blastocyst stage and is highly correlated with IVF success. A layer of cells called TE is necessary for the production of the fluid that makes up the placenta. There is a substantial correlation between embryo viability and TE morphology and quality [7]. Because the survival and potential of the subject embryo depend on the features of its component parts taken together, the morphometric evaluation of the blastocyst is a crucial goal for an embryologist [8].

I.1 OBJECTIVES

- To design and implement a fully automated system that objectively classifies embryo images, reducing dependence on manual visual inspection by embryologists.
- • To use Contrast Limited Adaptive Histogram Equalisation (CLAHE) to emphasise fine morphological details that are essential for precise analysis and to improve image contrast.
- To employ a Sprint Semantic Segmentation Network (SSS-Net) for precise embryo delineation, ensuring that only relevant morphological features are analyzed.
- To develop a hybrid CNN–LSTM model that effectively integrates spatial (from CNN) and temporal or sequential (from LSTM) information for robust embryo quality classification.

I.2 CONTRIBUTIONS

- The study minimises human subjectivity and inter-observer variability in traditional evaluation methods by introducing a fully automated deep learning-based system for assessing embryo quality.
- By enhancing the visibility of subtle structural elements in embryo photos, Contrast Limited Adaptive Histogram Equalisation (CLAHE) makes it easier to segment and classify images later on.
- The embryo zone is precisely separated from the backdrop using a specialised segmentation network called SSS-Net, guaranteeing that classification models only concentrate on biologically significant features.
- More robust classification performance is achieved by the suggested hybrid CNN–LSTM model, which incorporates both temporal (developmental) dependencies and spatial patterns in embryo morphology.
- The framework has been thoroughly tested using a variety of performance metrics, including precision, accuracy, recall, and F1-score, and shows better predicted reliability and consistency than conventional visual assessment techniques.

Section 2-Related Work: This part examines the body of research on methods for evaluating the quality of embryos, with an emphasis on both current developments in deep learning-based image analysis and more conventional visual evaluation techniques. Section 3: Methodology: This section provides a detailed description of the suggested automated embryo classification framework, including the use of CLAHE for picture preprocessing, the Sprint Semantic Segmentation Network (SSS-Net) for embryo segmentation, and the hybrid CNN–LSTM architecture for classification. Section 4: Findings and Analysis The experimental findings are shown and discussed in this section, along with a comparison of the suggested framework's accuracy, precision, recall, and F1-score with baseline and conventional approaches. Section 5-Conclusion: This section outlines the study's practical implications for clinical IVF applications, highlights the key findings, and makes recommendations for possible future research routes.

II. RELATED WORK

The research article [9] that conducted a multicenter randomised clinical experiment comparing traditional morphological evaluation of embryos in IVF with deep learning (iDA Score). Given that the clinical pregnancy rate was 48.2% based on morphology and 46.5% based on iDA Score, deep learning did not demonstrate noninferiority (risk difference -1.7; 95% CI -7.7, 4.3; P=0.62). The paper [10] a study that improved the embryo selection during IVF by developing a deep learning algorithm based on time-lapse imagery and self-supervised contrastive learning.

With an AUC of 0.57 based on prior transfer knowledge and 0.64 without it, the algorithm, which was trained on 1,580 videos of 460 patients' embryos, predicted the success of implantation. The experiment [11] that developed and evaluated machine learning models to forecast blastocyst incidence during IVF cycles. With fewer characteristics and better interpretability than SVM and XGBoost, LightGBM was the best. The percentage of 8-cell embryos and long culture embryos, as well as the number of cells on Day 3, were significant predictors. The article under review [12] which compared the application of an AI platform to support FSH dosing and timing of trigger stimulation in IVF among 291 patients.

AI assisted treatment demonstrated a slightly greater MII oocytes count, total oocytes recovered, and FSH consumption which indicated that AI could be used safely to maximize ovarian stimulation. The study [13] in which the authors proposed IVFormer with VTCLR, an AI that predicts the embryo status and live-birth rates using multi-modal and unlabelled data. The algorithm outperformed the physicians in the euploidy ranking, suggesting that it could be a non-invasive and reasonably priced way to choose embryos. The study [14] that looked at the effects of adding 15% additional training data to iDAScore v2.0, a technique used to predict sustained pregnancy following single vitrified warmed blastocyst transfer (SVBT).

With over 15% of training data, iDAScore v2.0 outperformed iDAScore v1.0 or Gardner grading in predicting ongoing pregnancy (iDAScore v2.0 AUC scores 0.736 vs. 0.720 vs.The article [15] that has developed a Convolutional LSTM-based artificial intelligence system that can analyse the last two hours to anticipate the morphology of embryos up to 23 hours in advance. In order to facilitate early and non-invasive embryo selection, the system separated transferable embryos from those that should be avoided. The research [16] which created DeepEmbryo a machine learning-powered device that can predict the success of the pregnancy based on three time-lapse images of the embryo.

DeepEmbryo was able to outperform algorithms that only used the final image and outperformed five trained embryologists, with as high as 75% accuracy. The study [17] under consideration at the possibility of AI involvement into the surgical decision-making process, but patient safety, ethics, transparency, interpretability, and collaborative work on responsible AI application in healthcare are the key concerns. The article [18] which comprises a review of the microfluidics in sperm selection of IVF and ICSI. Microchannel chips are able to sort highly motile sperm with low impacts and DNA damage, enhancing success rates, yet commercialization and species applications are problematic.

It is the study [19] where the models of MLCS live birth prediction were compared to the national registry of SART. MLCS was superior to SART in the recognition of patients with better live birth chances and it has potential in personalized counseling and clinical decision making. The study [20] that trained a hybrid AI model with day-5 images of the blastocysts and clinical and laboratory data to determine the chances of implantation. Heatmaps have been used to reveal inner cell mass, trophectoderm and blastocyst growth and have been shown to be useful in interpretable embryo level decisions. The article [21] who created three AI models, including clinically-based MLP, image-based CNN, and a combination of the two to forecast clinical pregnancy and live birth in single embryo transfer.

The accuracy of the fusion model was 82.42 and AUC was 0.91. The research under consideration [22] that constructed an AI system by applying Attention Branch Networks to predict live birth based on 141,444 embryo images of 470 transfers. Embryos with a score of more than 0.341 showed much better live births, which argue in favor of non-invasive selection. This study [23] systematic review of CNN models to assess embryos through time-lapse monitoring in 22 retrospective studies using 522,516 images of 222,998 embryos. CNNs also performed better than embryologists, particularly in the classification of blastocyst stage.

The corresponding article [24] which is a review of AI usage in embryo grading and pregnancy prediction based on multi-modal data. There are data scarcity, multi-modal features combination, and generalization of models. It is [25], which described an AI system based on Convolutional LSTM that predicts embryo morphology and separates transferable embryos, helping to select embryos early on in a non-invasive procedure. The research [26] where five ML models have been compared in relation to the use of GA feature selection in predicting IVF outcomes. AdaBoost using GA had an 89.8% accuracy and female age, AMH, endometrial thickness, sperm count and embryo quality were found to be significant predictors.

The study [27] that produced ML models that predicted the outcomes of live births of 11,938 Chinese IVF couples. Best were logistic regression and Random Forest (AUROC of~0.67), where maternal age, progesterone and estradiol made the greatest contributions. The resemblant article [28] an overview of AI in ART labs, which includes data gathering, record keeping, embryo selection, and automation to decrease subjectivity and human error. The corresponding research article [29] which reported the use of AI software in ART to facilitate IVF processes, minimize interobserver discrepancy, discover how to optimize drug dosing and enhance gamete quality. Closely connected is the review article [30] that examined the current state of ML to determine the quality of sperms and oocytes, and emphasised its value in the accurate assessment of the gametes and the possible increase in the ART success.

The researchers [31] who have suggested hill-climbing feature selection based on ML models as predictors of IVF pregnancy success. Significant variables were age, AFC, number of MII, and embryo transfer day that enhanced prediction. The article [32] which compared ML (SVM and neural networks) and logistic regression in terms of IVF outcomes. ML was superior to logistic regression in terms of the number of oocytes recovered, embryo quality, clinical pregnancies and live births. The work [33] that developed machine learning algorithms to calculate the optimal number of embryos to transfer in order to maximise the transfer rate. SVM and ANN achieved the best accuracy (95.83% and 91.67), suggesting the potential for individual embryo-transfer decisions. The corresponding article [34] a review of deep learning to automatically grade IVF blastocysts.

Automated techniques can usually be as good or better than embryologist performance. The paper [35] which introduced a two-stage deep learning method of automatic tracking of follicular growth with SFR-Net based on 3D UNet and Multi-Scale Residual Blocks with a DICE score of 85.84. It is related to [36] reviewing AI in ART, which includes image analysis, personalised protocols, and workflow automation, with ethical, regulatory, and sustainability issues being addressed. The experiment is [37] where the authors used end-to-end deep learning to infer embryo ploidy using 690 raw time-lapse videos on their dataset and achieved a baseline AUC 0.74, showing evidence of the ploidy assessment can be non-invasive. The corresponding piece [38] which reviews AI based automated embryo assessment at different stages of development, which is associated with higher selection efficiency, enhanced performance over manual assessment, limitations and future research priorities.

III. PROPOSED METHODOLOGY

The proposed approach offers a deep learning-based pipeline for automated embryo categorisation in in vitro fertilisation (IVF) to improve the accuracy and objectivity of assessing the quality of embryos. The framework's three primary stages are preprocessing, classification, and segmentation. CLAHE is used during the preprocessing phase to improve the contrast and brightness of embryo images. This makes it easier to see minute morphological details that are necessary for precise analysis. To make sure that only pertinent characteristics are used in following phases, the improved images are subsequently run through a SSS-Net, which successfully separates the embryo region from the surrounding background and artefacts

A hybrid CNN–LSTM model is employed for the classification stage. The CNN component extracts deep spatial information to improve the model's capacity to identify developmental trends in various embryo pictures, while the LSTM component records temporal and sequential correlations. The suggested method yields performance metrics with exceptional resilience and dependability, including as accuracy, precision, recall, and F1-score. This integrated approach reduces human subjectivity and promotes better clinical judgement during IVF procedures by providing a strong tool for automated evaluation of embryo quality.

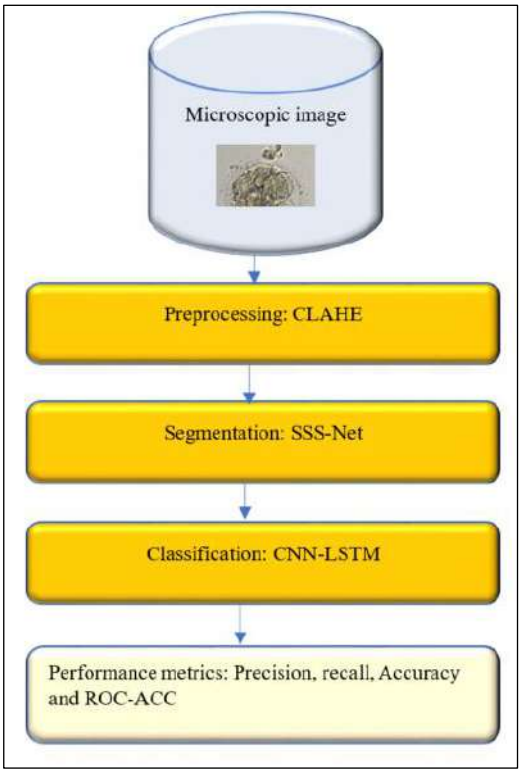


Figure 1: Flow diagram of proposed embryo selection.
Source: Authors, (2026).

III.1 DATASET: EMBRYO CLASSIFICATION BASED ON MICROSCOPIC IMAGES

The embryo images are arranged within subfolders under the train and test directories. Each image is saved in JPG format and is labelled with a prefix. Images corresponding to day-3 embryos have the prefix D3 while images related to day-5 embryos bear the prefix D5. This prefix-based categorization allows for easy identification of the embryo's developmental stage.

III.2 PREPROCESSING: CLAHE (CONTRAST-LIMITED ADAPTIVE HISTOGRAM EQUALIZATION)

Adaptive Histogram with Contrast Limitations An image processing technique called equalisation is used to increase an image's contrast. Instead of using a complete image, CLAHE works in a tile call, which is a small portion of an image. The histogram's use is distinct from its general use, where each tile is changed by calculating the function of the condition of being contrasted colour. The distributed value for each tile contrast is added to the histogram of the resolution region approximation to it. The adjacent tiles then joined to prevent induced borders. To prevent enhancing any potential noise in the image, the contrast will be kept to a minimum, mostly in areas that are uniform. The image x has greyscale equalisation in the Histogram, and the value is greyscale up to 256. In contrast, the following formula should be used to find the probabilities at pixel level I in an image:

$$D_x(i) = D_{(x=i)} = \frac{n_i}{n}, 0 \leq i < L \quad (1)$$

In this case, the variable L denotes the image's overall grey level count, which is typically 256, and the variable n denotes the dataset's pixel count. The image histogram for the pixel into an index to i is represented by the variable $D_x(i)$.

III.3 SEGMENTATION: SPRINT SEMANTIC SEGMENTATION NETWORK (SSS-NET)

In order to precisely identify and characterise important blastocyst components, this work presents a lightweight semantic segmentation framework for embryological investigation. By avoiding computationally costly preprocessing methods, the suggested SSS-Net enhances image contrast without sacrificing speed. Instead, it uses skip connection blocks (SCBs) in the encoder to directly handle the raw input images and recover biassed and rich feature representations. By using a shallow upsampling block, the decoder effectively and simply reconstructs spatial features.

SSS-Net produces a five-channel segmentation mask at the output, with each channel representing a different class: background, blastocoel (BL), trophectoderm (TE), zona pellucida (ZP), and inner cell mass (ICM). By assigning a value of "1" to each component pixel and a "0" to non-component regions, these masks enable accurate morphological evaluation of every blastocyst structure. By enabling the objective evaluation of blastocyst morphology, this segmentation aids in the precise determination of embryo viability.

Encoder Block

Since the decoder's complexity equals that of the encoder, conventional semantic segmentation systems usually employ identical encoder and decoder architectures, significantly increasing the number of trainable parameters.

On the other hand, the suggested SSS-Net minimises model complexity and computational cost by introducing a shallow semantic segmentation architecture with a lightweight upsampling module that employs a small number of transposed convolution layers. Figure 2 depicts the SSS-Net layer-by-layer design. The network uses three stride convolutions rather than several pooling layers to gradually shrink the feature map size while retaining learnable weights in order to protect important spatial information and prevent excessive feature loss. Additionally, by lowering feature transfer impedance issues that are commonly observed in conventional architectures, dense connections are utilised to offer efficient feature propagation between layers.

Within each Skip Connection Block (SCB), a point-wise convolution $\text{Conv}_{1,1}$ receives the input feature I_i from the Rectified Linear Unit (ReLU) activation of the preceding SCB, while a separable convolution Conv_{Sep} processes the same I_i in parallel. The resulting point-wise features G_i from $\text{Conv}_{1,1}$ are simultaneously fed into two asymmetric kernel-based convolutions $\text{Conv}_{1,3}$ and $\text{Conv}_{3,1}$ and one standard convolution $\text{Conv}_{3,3}$, producing feature maps K_{A_i}, K_{B_i}, and L_i, respectively. The outputs from the asymmetric convolutions, K_{A_i} and K_{B_i}, are concatenated to form D_{A_i}, as defined in Equation (2). After Batch Normalization (BN) and ReLU activation, this combined feature becomes D'_{A_i}, which is subsequently utilized for further feature fusion and representation learning.

$$D_{Ai} = K_i^A © K_i^B \tag{2}$$

The depth-wise concatenation between the features K_{A_i} and K_{B_i} is represented by the symbol ©. After the Batch Normalization (BN) and Rectified Linear Unit (ReLU) operations, the features F_i and L_i, generated by Conv_{Sep} and $\text{Conv}_{3,3}$, respectively, are transformed into F'_i and L'_i. The enhanced feature D_{B_i}, as expressed in Equation (3), is obtained by combining the asymmetric convolution feature D'_{A_i} with the outputs F'_i and L'_i from Conv_{Sep} and $\text{Conv}_{3,3}$. The spatial information from F'_i, imported from the preceding block, contributes to the refinement of the D_{B_i} feature representation. At the end of the SCB, a bottleneck point-wise convolution $\text{Conv}_{1,1}$, followed by Batch Normalization (BN), is applied to D_{B_i}, producing the final feature map D'_{B_i}. The activation function utilized in this stage, ReLU, is defined by Equation (4).

$$D_{Bi} = D'_{Ai} © L'_i © F'_i \tag{3}$$

$$D_{Bi}{}' = [D'_{Ai} © L'_i © F'_i]' \tag{4}$$

The depth-wise concatenation of features D′Ai, L′i, and F′i is displayed here by ©. The next SCB will have Feature D′Bi, the last feature from the suggested SCB that combines three distinct features. Unlike conventional semantic segmentation designs, SSS-Net has a unique shallow decoder block that uses only three transposed convolutional layers for upsampling. The feature map DBi', DBi ′undergoes three consecutive dimensional reductions twice in the final skip connection block (SCB), and the feature map is upsampled three times using these transposed convolutions to restore the original input dimensions. The shallow decoder architecture reduces computational complexity by using fewer layers for upsampling while maintaining effective feature reconstruction.

To improve deep feature learning, the decoder combines four convolutional layers that reduce the semantic gap between the decoder and the transposed convolutional layers. Three transposed convolutions gradually upscale the feature maps to the original resolution, providing detailed spatial information to the final pixel classification block. The pixel classification layer uses a Tversky loss function to reduce class disparity and improve segmentation performance. This layer consists of a curve function with filters corresponding to the number of target classes. The Tversky loss (TLoss) is mathematically defined in Equation (5).

$$T_{Loss} = \frac{\sum_{i=1}^{N} P_b^i G_b^i + \omega}{\sum_{i=1}^{N} P_b^i G_b^i + \omega + \alpha \sum_{i=1}^{N} P_b^i G_b^i + \beta \sum_{i=1}^{N} P_b^i G_{nb}^i + \omega} \tag{5}$$

Where Pib and Gib, respectively, represent the likelihood that a pixel is part of the blastocyst and non-blastocyst components. A blastocyst and a non-blastocyst component are reflected in the gib and ginb pixels of the ground truth, respectively.

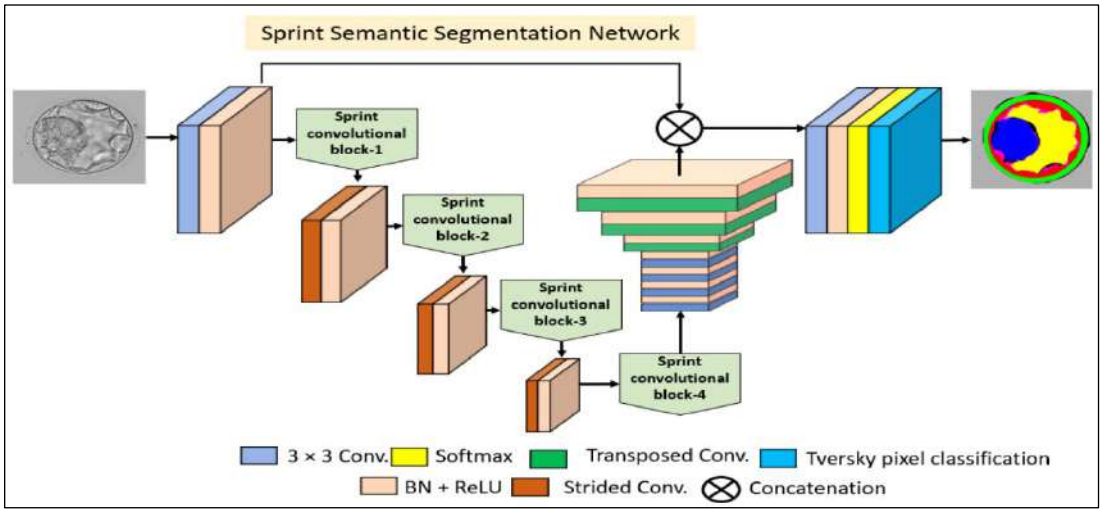


Figure 2: Architecture of SSS-Net.
Source: Authors, (2026).

III.4 CLASSIFICATION: CNN-LSTM

An activation value is produced by convolutional neural networks, or CNNs, after the different inputs are computed using mathematical functions. Artificial neurones are similar to the neurones in the human brain, which receive and process a wide range of input signals and responses. CNN is composed of several layers of artificial neurones and processes the images using a powerful algorithm. Complex objects and patterns can be learnt by convolutional neural networks (CNNs). They are made up of millions of parameters, several hidden layers, an input layer, and an output layer. The three layers that make up CNN are convolutional, pooling, and fully connected (FC). Using the output from the previous layer, the following layer pulls features from the photos, such as edges and corners. The first layer that is utilized to extract features from images is the convolutional layer.

The Convolved Feature's size is decreased by the second Pooling layer. To link neurons between two layers, weight and bias are applied to the neurons in the completely connected layer. When all features are added to the fully connected layer during the dataset training phase, overfitting takes place. By excluding a small number of neurons during training, a dropout layer shrinks the model's size and boosts performance. The model can be trained faster and achieve better results by using the rectified linear activation function. It is a linear function that will immediately output the input if the value of t is positive; else, it will output zero. As the last layer's final output and activation layer, Soft-max functions as a multiclassifier.

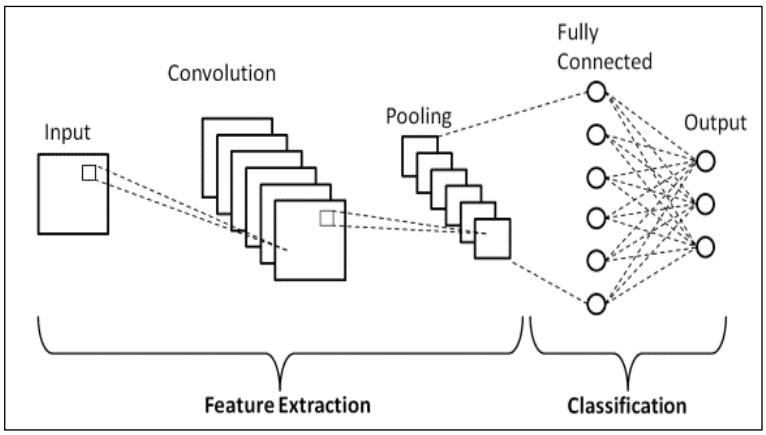


Figure 3: Architecture of CNN.
Source: Authors, (2026).

III.5 LSTM (LONG SHORT-TERM MEMORY)

The LSTM network's distinct memory cell layout enables it to disseminate and store data across multiple time steps. The cell state is the main component that stores temporal information and allows the network to recognise dependencies in sequential data. Three distinct gate types input, output, and forget gates are combined in the LSTM architecture to guarantee efficient learning of long-term dependencies. Together, these gates regulate how information enters, moves through, and exits the cell. Time-series meteorological data was used to train LSTM-based neural networks to predict the stages of embryo selection. The model's ability to effectively handle temporal patterns was utilised in this investigation. The organisation of the LSTM architecture is depicted in Figure 4.

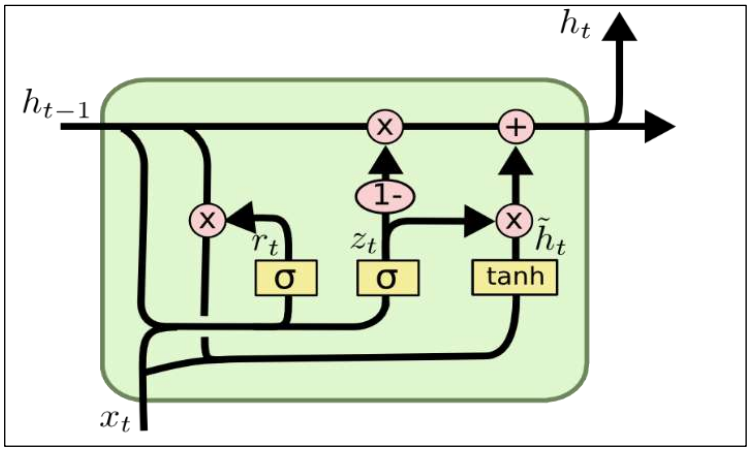


Figure 4: Structure of LSTM.
Source: Authors, (2026).

Because LSTM gates are sigmoid activation functions, they often yield a value between 0 and 1. The input, forgotten, and output gates' mathematical expressions are as follows.

$$i_t = \sigma(w_i[h_{t-1}, x_t] + b_i) \tag{6}$$

$$f_t = \sigma(w_f[h_{t-1}, x_t] + b_f) \tag{7}$$

$$o_t = \sigma(w_o[h_{t-1}, x_t] + b_o) \quad (8)$$

$i_t, f_t \, and \, o_t - Input \, gate, forget \, gate \, and \, output \, gate,$
$\sigma - sigmoid \, function,$
$w_x - weight \, for \, input, forget \, gate \, and \, output \,,$
$h_{t-1} - previous \, the \, LSTM \, block \, at \, the \, time \, (t-1),$
$x_t - time \, slot \, at \, icurrent \, nput \,,$
$b_x - biases \;\; for \, input, forget \, gate \, and \, output \, gate.$

The output equations for the cell state, candidate state, and final state are expressed as follows:

$$\tilde{C}_t = \tanh\,(w_c[h_{t-1}, x_t] + b_c) \quad (9)$$

$$C_t = f_t * C_{t-1} + i_t * \tilde{C}_t \quad (10)$$

$$h_t = o_t * \tanh\,(C^t) \quad (11)$$

Whereas,
$C_t - cell \, state,$
$\tilde{C}_t - candidate \, for \, cell \, state \, timeslot(t).$

IV. RESULT AND DISCUSSION

The proposed embryo classification framework was evaluated using a dataset of annotated embryo images collected from IVF procedures. Standard assessment measures, such as accuracy, precision, recall, and F1-score, were used to evaluate the system's performance. After applying CLAHE preprocessing, a significant improvement in image clarity and contrast was observed, enhancing the visibility of key morphological structures. The SSS-Net segmentation model effectively extracted embryo regions, achieving precise boundary delineation and minimizing background noise, which improved the quality of input data for classification. The process is implemented in python language and google colab tool.

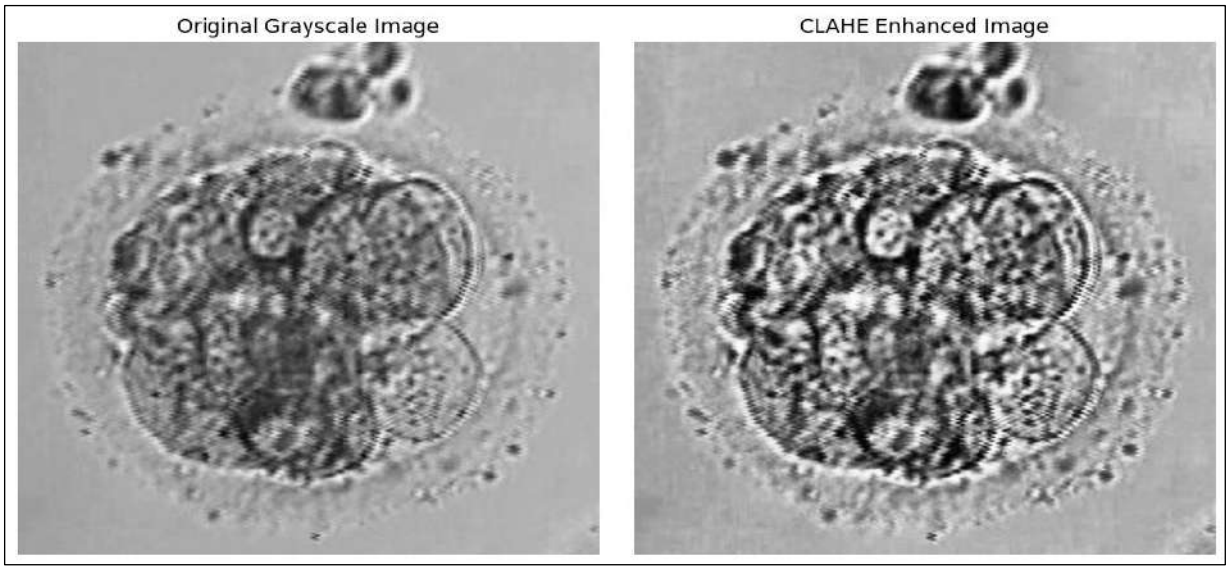


Figure 5: Preprocessed image.
Source: Authors, (2026).

The effect of CLAHE enhancement is illustrated in Figure 5, which compares the original grayscale embryo image with the contrast-enhanced version. As shown, CLAHE effectively increases the visibility of subtle embryo structures without introducing excessive noise, thereby improving the quality of data fed into the deep learning models for segmentation and classification

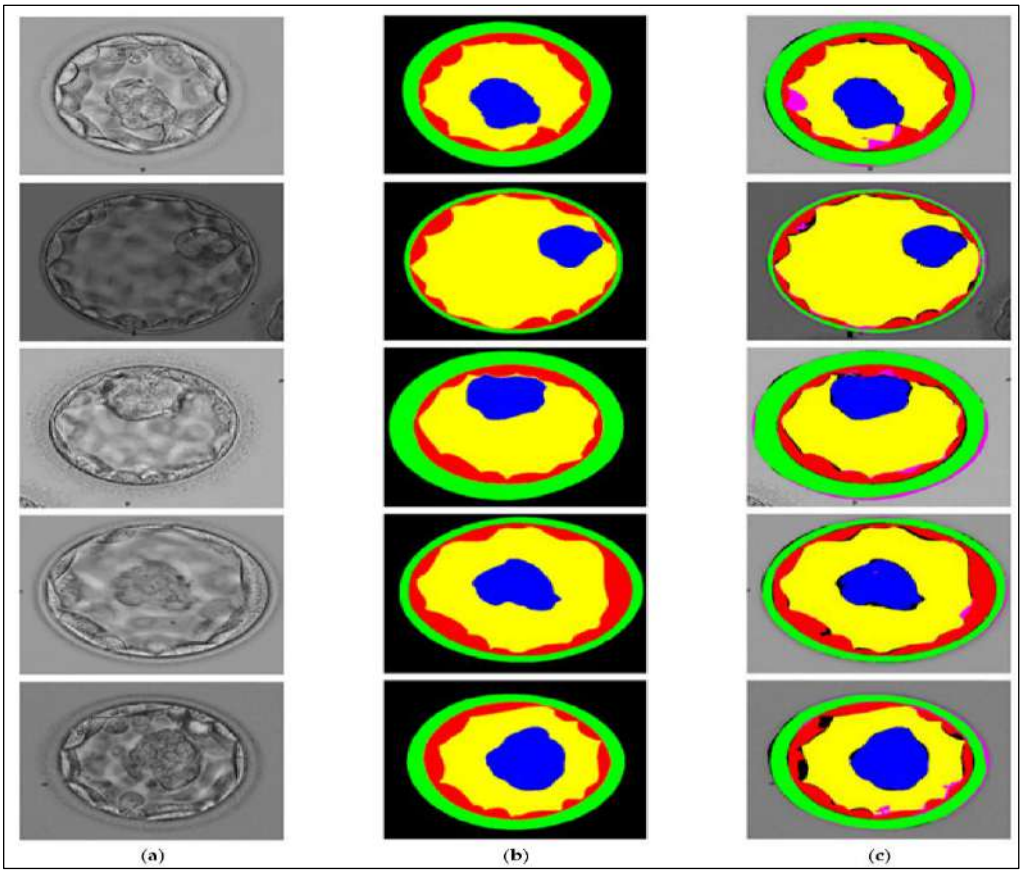


Figure 6: SS-Net for blastocyst component detection
Source: Authors, (2026).

Figure 6 displays the visual outcomes of blastocyst image segmentation utilising the suggested SSS-Net and the related ground truth (GT) images. The colours green, red, yellow, blue, and black/no (for GT/predicted) stand for the classes ZP, TE, BL, and ICM, respectively. The predicted image's pink hue indicates false negatives, or areas where the model was unable to detect a structure in the ground truth, with the GT = 1 and the anticipated mask = 0. On the other hand, false positive pixels areas that are mistakenly identified as belonging to a structure are displayed in black within the anticipated image when predicted mask = 1 and GT = 0.



Figure 7: Training and testing accuracy.
Source: Authors, (2026).

Figure 7, which displays the training and testing accuracy curves over all epochs, shows how well the suggested model performed during the training phase. During training, the model consistently improves its accuracy, reaching convergence after about 40 epochs. The testing accuracy follows a similar trend and stabilizes early, indicating that the model effectively learns discriminative embryo features without significant overfitting. The close alignment between the two curves suggests that the hybrid CNN–LSTM architecture successfully generalizes across unseen data, confirming the robustness of the proposed approach for automated embryo classification.

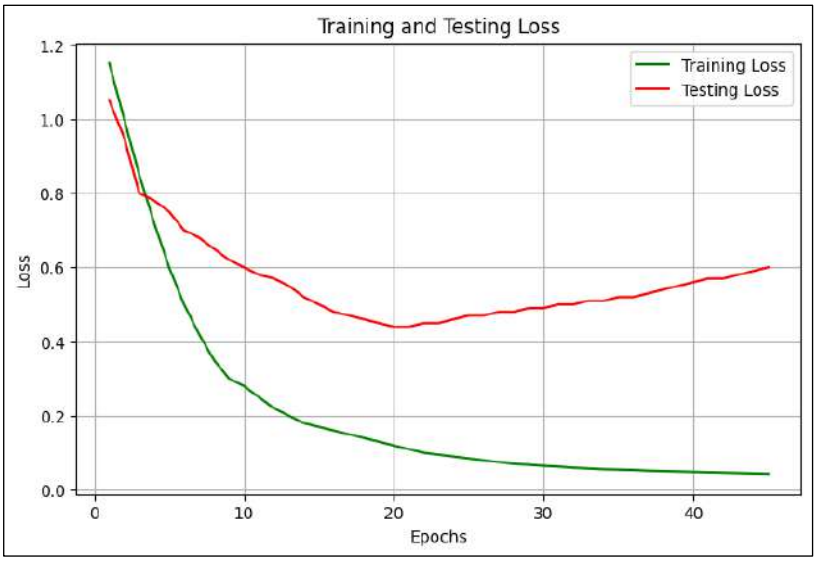


Figure 8: Training and testing loss.
Source: Authors, (2026).

The training and testing loss curves of the proposed model are presented in Figure 8. As shown, the training loss decreases steadily with the number of epochs, demonstrating the model's progressive improvement in minimizing classification errors. The testing loss also follows a downward trend and plateaus early, confirming that the network generalizes well to unseen data. The close correspondence between the two loss curves suggests that the model avoids overfitting and maintains strong generalization performance. These results further validate the effectiveness of the hybrid CNN–LSTM architecture in learning spatial and temporal embryo features essential for accurate classification.

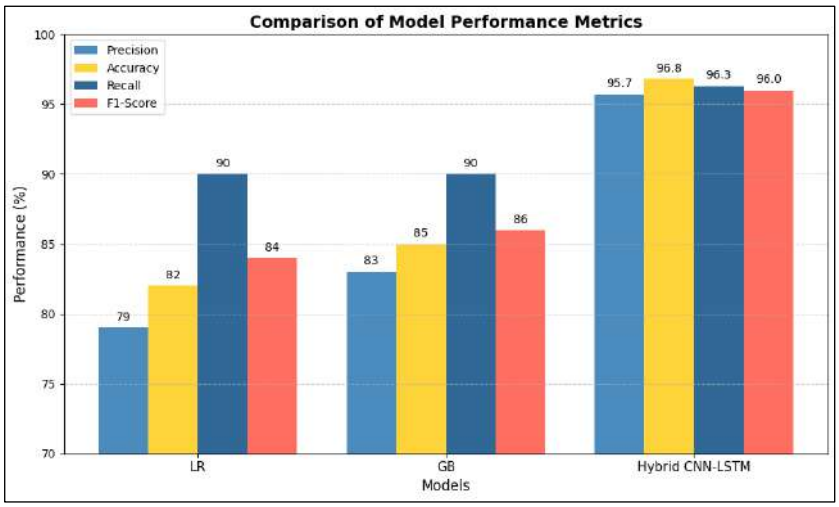


Figure 9: Comparasion model.
Source: Authors, (2026).

Figure 9 compares the performance of three models on the embryo classification dataset: Logistic Regression (LR), Gradient Boosting (GB), and the proposed Hybrid CNN–LSTM architecture. The outcomes unequivocally show that the hybrid model based on deep learning performs noticeably better than conventional machine learning techniques. With an F1-score of 96.0%, recall of 96.3%, accuracy of 96.8%, and precision of 95.7%, the Hybrid CNN–LSTM provides the best results on all performance parameters. This illustrates how well the model can categorise embryos and maintain a performance balance between sensitivity and precision. The traditional models (LR and GB), on the other hand, show a modest level of accuracy and a higher rate of misclassification, underscoring their poor capacity to capture intricate temporal and spatial embryonic aspects. These findings support the suggested hybrid deep learning model's effectiveness and resilience for accurate evaluation of embryo quality.

V. CONCLUSION

The deep learning-based system for automated embryo categorisation in IVF is presented in this paper, which combines sophisticated image preprocessing, segmentation, and classification methods. The visual clarity of embryo structures was greatly increased by using CLAHE for contrast enhancement, which made it possible to retrieve morphological details more effectively. By precisely separating embryo areas, the SSS-Net segmentation model decreased background interference and improved the dependability of the collected data. Both temporal and spatial dependencies in embryo images were well captured by the hybrid CNN–LSTM classifier, allowing for reliable and reliable classification across quality categories.

The system's ability to conduct accurate evaluations of embryo quality was confirmed by the experimental findings, which showed good F1-score of 96.0%, recall of 96.3%, accuracy of 96.8%, and precision of 95.7%, the Hybrid CNN–LSTM provides the best results on all performance parameters. The suggested approach provides increased objectivity, reproducibility, and efficiency above traditional manual examination. This strategy may prove to be a useful tool for embryologists in making decisions, helping them choose embryos and increasing the success rates of IVF. To improve model interpretability and clinical acceptability, future research might concentrate on growing the dataset size, adding multi-modal imaging data, and implementing explainable AI approaches. All things considered, the suggested approach is a major step forward for reproductive medicine's completely automated, data-driven embryo examination.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: J. Deepa and A. Akila.
Methodology: J. Deepa and A. Akila.
Investigation: J. Deepa and A. Akila.
Discussion of results: J. Deepa and A. Akila.
Writing – Original Draft: J. Deepa and A. Akila.
Writing – Review and Editing: J. Deepa and A. Akila.
Resources: J. Deepa and A. Akila.
Supervision: J. Deepa and A. Akila
Approval of the final text: J. Deepa and A. Akila.

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SEGMENTING HEPATIC BLOOD VESSELS AND LIVER TUMORS IN CT IMAGES: AN IMPROVED EVOLUTIONARY ALGORITHM APPROACH

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ABSTRACT

Among the many forms of cancer, liver tumours are among the most dangerous. Liver neoplasms can be effectively predicted, identified, and managed with the help of computer-aided technology and liver interventional surgery. Accurately understanding the morphological nature of the liver and its blood arteries is a crucial task. An essential part of medical analytic planning is the segmentation of liver tumours in CT scans. The enormous difficulty, however, lies in correctly identifying and segmenting the hepatic blood veins in CT scans. Finding and segmenting hepatic vessels manually in CT scans is an inconvenient and time-consuming process. In order to segment liver tumours, this study employs a variety of techniques to clean up the input images before feeding them into the STDCSL, an algorithm for short-term dense concat segmentation. Three parts make up the STDC-CT network: detail guidance, multi-scale contextual information, and small object attention extractor. Small affected area attention guides the merging of detailed and contextual information branches. This study proposes an improvement to the Barnacle Mating Optimizer (BMO), an evolutionary algorithm that takes its cues from nature, in order to fine-tune the STD-CSL parameters. Levy flight is used to enforce and replace the sperm cast equation, which improves the exploration phase of the original BMO. Next, the enhanced BMO (IBMO) is teamed up with the suggested STDCSL. The technology proves to be reliable and applicable to automatic analysis of liver tumours in everyday clinical practice, proving its generalizability. The method's great accuracy in stroke detection further supports its potential use as a clinical tool for preoperative clinical planning.

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I. INTRODUCTION

Liver tumours pose a threat to people's lives and well-being globally; they are the second most deadly malignancy in terms of morbidity and death [1]. Liver tumour segmentation is the initial phase in the computer-aided diagnostic method for liver cancer, which is currently often employed in the diagnosis and treatment planning process using human abdominal computed tomography (CT) [2]. This process involves separating tumours from nearby organs and tissues in CT scans. While other imaging tests, including as ultrasonography and MRI, can aid in the diagnosis of cirrhosis, computed tomography (CT) is the gold standard [3]. A CT scan is a thorough kind of imaging because it produces detailed cross-sections of the abdomen.

Problems with tumour and lesion homogeneity during CT scan segmentation have been reported [4]. Liver tumour segmentation is not a good fit for the outcome. Accordingly, improved photos are suggested for better accuracy. The CT scan finds the tumour by noticing a change in the intensity of the pixels in the liver [5]. Hypodense tissue refers to the area of the liver that appears darker in comparison to the surrounding tissues. Furthermore, it has been noted that traditional tumour segmentation methods are computationally intensive [6]. Given the circumstances, a clinical setting would be less than optimal. A CT scan of the liver will typically show more than 150 slices, which is considered normal. Both the tumour and its surrounding areas exhibit low contrast and a great deal of form irregularity [7].

Computer Aided Design (CAD) technologies are currently the focus of global research efforts aimed at segmenting liver tumours from abdominal CT scans [8]. The current state of tumour segmentation is unreliable and ineffective due to its reliance on edge detectors. One of the techniques created for autonomous tumour segmentation using Deep Learning (DL) is the CNN [9]. CNNs remain a popular method among researchers for segmenting liver tumours. The diverse forms of liver tumours, along with low contrast and indistinct borders with nearby organs besides tissues, make tumour segmentation from liver CT images an arduous task, despite the attention of many scholars to this problem [10].

It is difficult to segment the liver tumour due to the surrounding muscle and the blurring borders caused by the slight difference in grey scale contrast between the tumour and other organs (e.g., the heart, kidneys, etc.) [11]. The liver tumour segmentation job is further complicated by the fact that tumour size and position might fluctuate from person to person, and that tumours can span numerous CT slices with small variations between them [12]. Consequently, recent studies have shown that a combination of deep learning and techniques based on local information works well. Many intensity-based methods have been created for the purpose of segmenting tumours and livers from CT images by statistically analysing their intensities [13]. Level set based active contour techniques are one of these more independently deployable alternatives.

In better match the liver tumor border in the test CT image, a level set contour - based technique is used to produce a coarse segmentation initial mask [14].The aforementioned models have shown promise in certain contexts, however input images with high resolution, complicated settings, and many small affected areas may not be suitable for their performance [15], [16]. It is also difficult to accomplish real-time, high-quality semantic segmentation due to the limited computing resources. Consequently, accomplishing real-time in semantic segmentation tasks while enhancing segmentation quality. The chief goal of this research is to mature a method for better liver tumour segmentation using input photographs.

- The purpose of this research is to contemporaneous a framework for tumour segmentation using target CT scans.
- The segmentation accuracy is enhanced by adjusting the parameters of the suggested model, which is integrated with the original Barnacle Mating Optimizer (BMO), which was enhanced by Levy Flight, in order to detect and divide up liver tumours.
- The Tversky loss function is employed to address the issue of severely imbalanced foreground and background voxels.
- Various metrics are used to conduct investigates on the publicly available LiTS dataset and the 3D-IRCADb01 dataset.

The break of the paper is prearranged as shadows: Section 2 mentions the related works; Section 3 provides the proposed organization with its mathematical expression; Section 4 mentions the result analysis and Section 5 concludes the research contribution.

II. RELATED WORKS

Using a single framework that combines segmentation and uncertainty estimation [17] provide a new reliable multi-phase liver tumour segmentation method called TMPLITS. Clinicians could benefit from the trustworthy outcomes in making a dependable diagnosis. For the purpose of parameterizing the segmentation besides uncertainty using evidence following the Dirichlet distribution, Dempster-Shafer Evidence Theory (DST) is specifically introduced. It is specifically defined how reliable the segmentation results are over multi-phase CECT images. However, to ensure the efficacy of the fusion technique grounded in theoretical analysis, a multi-expert is suggested for merging the multi-phase evidences. When tested against state-of-the-art approaches, TMPLiTS proved to be the clear winner. At the same time, we have confirmed that TMPLiTS is resilient, so we know that it will reliably work even when faced with disturbances. For better picture segmentation and to make better use of image spatial data [18] suggests an improved network construction called ELTS-Net that is based on the 3D U-Net model.

This would solve the problems caused by traditional approaches and the 2D U-Net network configuration. ELTS-Net improves upon the first network by enhancing the convolutional kernel's receptive field with dilated convolutions. In addition, the original convolutional module is replaced by an attention residual module, which primarily functions as an encoder and decoder. This module includes an attention mechanism and residual connections. The network may now gather channel and spatial contextual information on a global scale thanks to this design. In addition, the decoder network has deep supervision modules at several levels to supplement intermediate-level feedback. In doing so, we optimise the segmentation findings by limiting the network weights to the target regions. Results on the LiTS2017 dataset demonstrate that, in comparison to the model, the model performs better on liver and tumour segmentation tasks. The model achieves an accuracy of 95.2% for liver segmentation and 71.9% for tumour segmentation, representing an improvement of 0.9% and 3.1%, correspondingly.

The experimental consequences provide useful assistance for clinical diagnosis and therapy by validating ELTS-Net's superior segmentation performance compared to other comparator models.To overcome these obstacles [19] suggested SBCNet, a new model for dual-branch liver tumour segmentation. Better identification of tumour variability utilising an enhanced multi-scale adaptive kernel is made possible by our suggested method's contextual encoding module. In addition, the corresponding branch has a boundary enhancement module that uses contour learning in conjunction with the Sobel operator to improve boundary perception. Lastly, in order to further improve tumour segmentation, we suggest a hybrid multi-task loss function that takes into account both the size and boundary features of tumours at the same time. This will encourage interaction between the various tasks of the dual branches. With SBCNet producing competitive results when compared to other state-of-the-art algorithms for liver tumour segmentation, experimental validation using the publically accessible LiTS dataset proves the practical module.

First of its kind [20] suggests a dual-stream multi-level fusion outline (DM-FF) for direct accurate segmentation of liver tumours from non-contrast multi-modality images. In order to efficiently extract multi-level feature maps that correspond to a predefined representation of each modality, our DM-FF first builds an attention-based encoder-decoder. Then, DM-FF builds two kinds of fusion modules: one that uses learned features to get a common representation images, which lets you take advantage of similarities and boost performance, and another that uses segment decision evidence to find differences between modalities, which helps you avoid interference caused by conflicts between modalities. With the help of these three parts, DM-FF can accurately segment multi-modality non-contrast images by letting them work together.

When compared to eight state-of-the-art segmentation architectures, DM-FF improves performance and achieves a Dice of 81.20% in an evaluation on 250 patients using two MRI scanners and a variety of tumour types. According to the findings, our DM-FF greatly encourages the creation and use of non-contrast liver tumour imaging techniques. The attention connect network (AC-Net) was developed for automatic liver tumour segmentation and introduced by [21]. Our method, which is based on the U-shaped network construction, uses two crucial attention module (AAM) besides the vision transformer module (VTM)—to integrate spatial elements seamlessly, replacing conventional skip-connections. The VTM processes low-resolution feature maps using multihead self-attention and then reshapes the output into a feature map for later concatenation; the AAM computes axial attention across feature maps to enable feature fusion. In addition, we use a loss function that is exclusive to our method. We commence our procedure by pretraining AC-Net on the LiTS2017 dataset, and then we refine it with CT and MRI data obtained from Hubei Cancer Hospital.

Measurements for AC-Net's performance on CT data are as follows: a recall of 0.92, a Jaccard coefficient (JC) of 0.82, an normal symmetric surface distance (ASSD) of 4.59, a accuracy of 0.89. Metrics for AC-Net on MRI data are as follows: DSC = 0.80, JC = 0.70, recall = 0.82, ASSD = 7.58, HD = 30.26, pinpoint = 0.84. For the purpose of liver image segmentation [22] propose using hyper tangent Fuzzy C-Means (HTFCM). It got segmentation results that were nearly identical to the ground truth liver images by calculating the data point distance from the cluster centres using hyper tangent distance. Unfortunately, the liver images are too fuzzy for any state-of-the-art model to accurately pinpoint the tumours. However, the proposed model manages to do just that. This research shortened the processing time for early liver disease diagnosis, increased classification accuracy, and resolved the linear mapping problem using fuzzy logic. While classifying liver tumours, the suggested model improves accuracy to 99.58% and time by 2-25 s.In their ground-breaking AI-driven framework for liver tumour prediction [23] have brought together state-of-the-art methods to increase analytical depth and accuracy.

Histological Genomic Feature Extraction (MIRSLiC) are both included into the framework, which allows for a detailed comprehension of molecular markers and precise tumour segmentation in medical imaging. Furthermore, a multidimensional feature extraction module integrates acoustics, clinical data, videomics, and radiomics to produce a complete dataset. All of these factors work together to form a cohesive model that can predict tumour features, subtypes, and prognosis with great precision. Reliability is emphasised through model review and continual improvement integrative technique breaks new ground in liver tumour prediction by giving doctors practical information for individualised treatment plans. The model is tested extensively on various datasets, and the results show that it is accurate and reliable. Our model demonstrates remarkable accuracy and resilience in tumour segmentation, with a recall rate of over 92%, a precision of over 87%, and a Dice coefficient of over 0.89. Survival prediction accuracy in prognostic modelling routinely exceeds 84%, demonstrating the model's capacity to offer useful insights into the future course of liver cancer.

III. PROPOSED METHODOLOGY

In this section, the brief elucidation of liver cancer segmentation is mentioned with its mathematical expression from CT scan images. Figure 1 mentions the workflow of the proposed model.

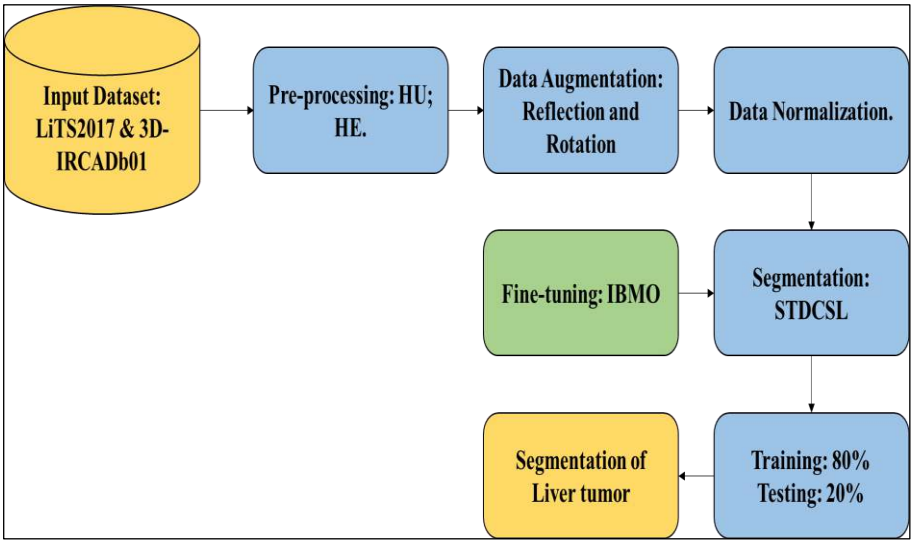


Figure 1: Workflow of the Research Work.
Source: Authors, (2026).

III.1 DATASETS

Popular datasets include 3DIRCADb, which is used to compare 3D picture reconstruction methods, and the LiTS2017 dataset, which is the official dataset given by the joint organising of MICCAI and ISBI competition for liver and liver tumour segmentation. Improvements in medical picture segmentation methods and a more fair evaluation of new approaches to liver tumour segmentation are the intended outcomes of these endeavours. Included in the LiTS2017 dataset are 201 CT images of humans. The official has annotated 131 of the 201 CT images, while the remaining 70 are raw CT scans without any commentary. The 70 in question served as the competition's performance test dataset, which explains why. Tumour diameters varied from 38 to 349 cubic millimetres, while the number of tumours per patient varied from 0 to 75. The data varied somewhat in quality because it came from a wide variety of universities using different technology. These slice samples had a resolution between 0.55 and 1.0 mm, a range of 0.45 to 6.0 mm for the spacing between slices, and 42 to 1026 slices for the total number of slices. Figure 2 presents the sample image of LiTS2017.

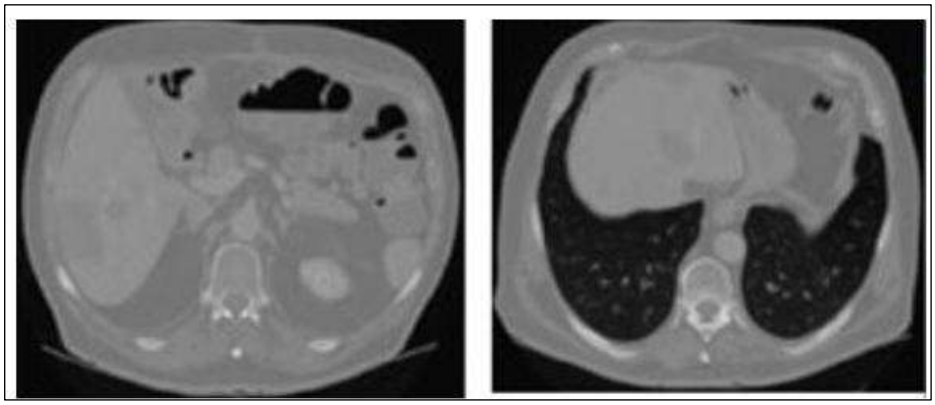


Figure 2: Sample of LiTS2017 dataset.
Source: Authors, (2026).

Three datasets, 3DIRCADb-02 and 3DIRCADb-01 [24], make up the 3DIRCADb dataset. While there are no liver tumours in the 3DIRCADb-02 dataset, there are 75 percent of cases with liver tumours in the 3DIRCADb-01 dataset, with tumour numbers ranging from 1 to 46. With dimensions ranging from 16.3 to 24.9 cm, 12.0 to 18.6 cm, and 11.0 to 20.2 cm, respectively, and voxel sizes ranging from 0.56 to 0.87 cubic millimetres, 1.6 to 4.0 cubic millimetres, the image had a resolution of 512 × 512 pixels. Figure 3 presents the sample image of 3DIRADb dataset.

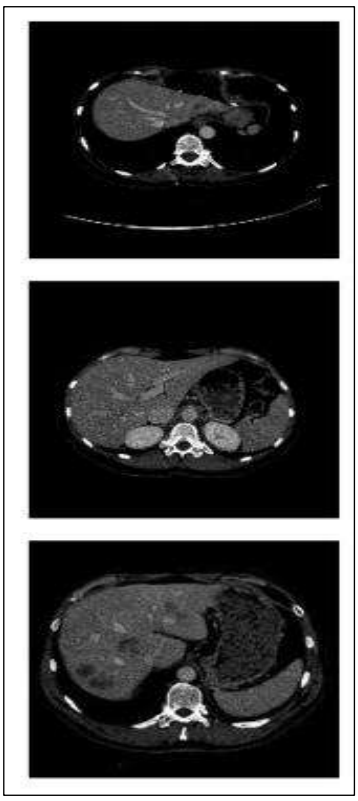


Figure 3: Sample image of 3DIRADb dataset.
Source: Authors, (2026).

III.2 IMAGE PRE-PROCESSING

Each slice was pre-processed as detailed in the following sections so that the liver could be differentiated from nearby organs.

III.2.1 Hounsfield Windowing (HU)

The Hounsfield unit (HU) is used in computed tomography (CT) scans to evaluate tissue density. The HU is specified as −1000 for air, zero for water, and +1000 for bone. Table 1 shows that the HU values for many organs and fluids fall somewhere in the middle of this range. In a typical windowing operation, the CT component of the image, allowing the operator to focus on certain tissues of interest. You can change the image's brightness using the window level. Shifts the focus by adjusting the width of the window.

$$HU = 1000 \times \frac{\mu tissue - \mu H_2O}{\mu H_2O} \quad (1)$$

By assigning a grayscale intensity to each value, the HU value is determined for each pixel; pixels with higher values are considered brighter. Navigate the DICOM slides using Hounsfield Windowing and adjust the range to [−100, 400] [−100, 400] [25].

Table 1: Hounsfield unit standards define for body organ.

Value for Body Organ	HU
1000	Bone
40 to 60	Liver
46	White Matter
43	Grey Matter
40	Blood
10 to 40	Muscle
30	Kidney
15	Cerebrospinal
0	Water
−50 to −100	Fat
−1000	Air

Source: Authors, (2026).

The liver can be better seen by applying HU windowing at each slice, with a HU range of −100 to 400 chosen. Although the image and organs got, it is evident that most organs are obstructed in CT image slices without the procedure. Hence, all slices undergo this HU windowing before being passed on to the subsequent phase.

III.2.2 Histogram Equalization

The liver and its surrounding tissues were not easily distinguishable, even though HU windowing allows for excellent organ visualisation. The resultant picture was normalised within the range of [0, 1] after applying histogram equalisation following window processing.

III.3 DATA AUGMENTATION

Every scan in the datasets under consideration has its unique tumour mask that denotes the tumor's and liver's precise position. Nevertheless, deep learning training cannot be conducted with the number of tumor-containing slices. So, the combined slice and its mask were subjected to data augmentation techniques like reflection, flipping, and rotation. To put it simply, data augmentation will boost network accuracy by increasing picture spatial variation [26]. The two methods of data enhancement that were employed are these:

III.3.1 Reflection

One way to increase the amount of data used to train a network is through reflection, which involves flipping the image along the x or y axis. The computational expense can be reduced by reflecting the liver pictures with their tumour masks.

III.3.2 Rotation

As a data augmentation technique, rotation entails turning the image to a new degree, effectively creating a new image. The photos of the liver and its masks are rotated by 90 degrees here.

III.4 IMAGE NORMALIZATION

A method for lowering inter-patient of picture intensities in a dataset is image intensity normalisation [27]. It will also lead to better segmentation results and make patient images more comparable. Hence, intensity normalisation is applied to liver CT scan results.

III.5 SEGMENTATION USING SHORT-TERM DENSE CONCAT SEGMENTATION LAYER (STDCSL)

Based on the STDC module's layout illustrated by the BiSeNet [28] model, the study effort suggests a new STDC backbone network. With the goal of improving real-time semantic segmentation performance, a new Detail Guidance Unit has been developed to supersede the original Spatial Path branch of BiSeNet. This module keeps low-level detail features while lowering the computational cost of the network. Nevertheless, there are still certain limitations to this network when it comes to segmenting small affected areas. For tiny impacted area segmentation tasks in particular, the detail information that the FFM module loses when it gradually reduces the maps could be beneficial. Additionally, the accuracy of tiny impacted area segmentation may be compromised due to the Detail Guidance Module in the STDC-Seg network primarily concentrating on low-level feature layers, potentially ignoring certain detail information in higher-level feature layers. So, here we present the STDC-CSL network, a new approach to small-scale segmentation that promises to be both accurate and fast.

III.5.1 Small Object Attention Extractor for STDC

So that the STDC backbone network could extract more useful features for minor recognition, we built (SOAE) module. From Stage 3 through Stage 5, we used convolutional layers with varying resolutions to extract various features from the input data. Different convolutional layers capture features at different scales by operating at varying resolutions. Then, to get a fuller picture, we combined the most useful features using an attention mechanism that picked them out automatically.

In particular, we set maps $F_i(i = 1,2,3)$ produced by Stages 3 to 5 as $T^t(t = 1,2,3)$, as seen in Figure 4. Afterwards, a 1 × 1 convolutional layer with a size decreased to 1 was used to pass the template layer T^t. Afterwards, a fully connected to construct the maximum map, which entails capturing the most significant feature pixels and mapping them to vectors for computation.

$$S_t^i = Similarity(T^t, T^i) = \frac{T^t \times T^i}{\|T^t\| \times \|T^i\|} = \frac{\sum_{j=1}^{n} T^t j \times T^i j}{\sqrt{\sum_{j=1}^{n} T^t j} \times \sqrt{\sum_{j=1}^{n} T^i j}} \quad (2)$$

Where S_t^i represents the cosine similarity among the template layer T^i and T^t. $T^t j$ and $T^i j$ signify the corresponding to T^t and T^i, respectively. For instance, when T^1 serves as the template, values S_1^2 between T^2 and T^1, and S_1^3 between T^3 and T^1, indicate the attention levels of T^2 and T^3 toward T^1, respectively, while $S_1^1 = 1$. Likewise, when T^2 serves as the pattern, the cosine resemblance values S_1^2 between T^1 and T^2, and S_2^3 between T^3 and T^2, designate levels of T^1 and T^3 toward T^2, respectively, while $S_2^2 = 1$. To evaluate the attention weights a_t^i, we input $\{S_t^1, S_t^2, S_t^3\}$ into weight values:

$$a_t^i = \frac{exp(S_t^i)}{\sum_{i=1}^{3} exp(S_t^i)} \quad (3)$$

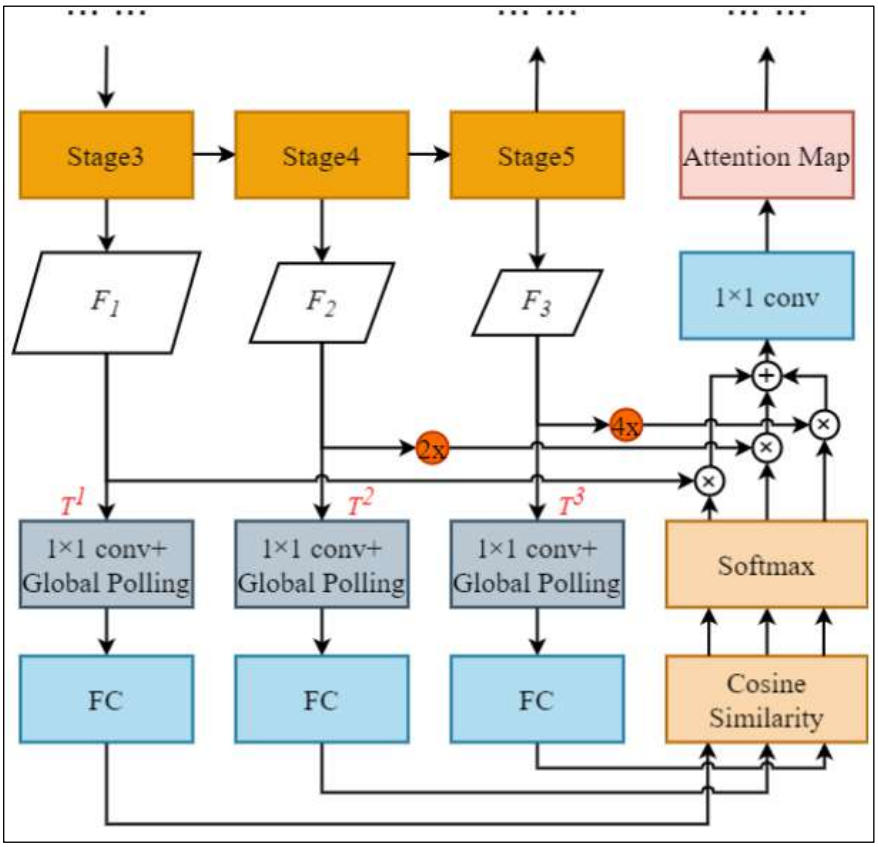


Figure 4: The small area attention extractor module.
Source: Authors, (2026).

The feature map sizes F_1 must remain constant after acquiring the attention weights, matching that of F_1; thus, we unsampled F_2 and F_3 by 2× and 4×, correspondingly, and the number of channels of F_1, F_2, and F_3 were 256, 512 and 1024 respectively. To acquire the attention feature, we first added the weighted levels one by one, and then attuned the sum of channels using a 1×1 convolution.

$$A_t = \sum_{i=1}^{3} a_t^i \times F_i \quad (4)$$

Where A_t signifies the attention feature gotten finished the network with T^t as the template layer.

III.5.2 Laplacian of Gaussian for Detail Guidance Unit

The STD-CSL network used the Laplacian convolution approach to extract precise features of picture edges. Due to its high quality, the Laplacian operator has seen extensive application in edge detection applications. In order to identify noticeable changes in pixel intensity, edge detection frequently employs the Laplacian operator. Consequently, the Laplacian operator might incorrectly boost the edges of tiny objects as noise. The Laplacian operator is very sensitive to noise, which is not surprising given that it can appear anywhere in a picture. Pixels around small objects can be subject to a high reaction from noise when the operator is applied, resulting in the noise signal overshadowing the margins of the objects. Thus, edge detection could incorrectly eliminate tiny objects' edges since they are thought of as noise.

We use the Laplacian convolution approach in the Detail Guidance Module to fix these shortcomings while keeping the Laplacian operator's superior edge extraction capability. The LoG convolution method differs from the Laplacian convolution method in that it employs Gaussian filtering to minimise noise and blur high-frequency features before convolution. Reducing the impact of noise is achieved by creating space between the edges of tiny objects and the noise. In addition, the gradient variations near the margins of the image are diminished by using Gaussian filtering. Edge gradient fluctuations are quite sensitive to the Laplacian operator, and noise, which usually contains a high-frequency component, is also very sensitive to this operator.

As a result, small object edges can be more easily detected with the use of Gaussian filtering, which reduces noise interference by lowering changes in edge gradients. By applying a Gaussian filter and Laplacian convolution on the images, we can reduce the influence of noise while maintaining the Detail Guidance Module's exceptional edge extraction performance. The precision of edge detail extraction can be enhanced using this approach. Utilising the operation—which involves merging the Gaussian function and the Laplacian operator into a single kernel—allows us to decrease computing overhead. This means the picture just needs one convolution process. Here is the procedure for merging methods:

There is the Gaussian equation:

$$gauss(x,y,\sigma) = \frac{1}{2\pi\sigma^2} exp\left(-\frac{x^2+y^2}{2\sigma^2}\right) \tag{5}$$

The two-dimensional Gaussian function is transformed using the Laplacian operator.:

$$\begin{aligned} \nabla^2\big(gauss(x,y,\sigma)\big) &= \frac{\nabla^2(gauss(x,y,\sigma))}{\partial^2 x} + \frac{\nabla^2(gauss(x,y,\sigma))}{\partial^2 y} \\ &= \frac{1}{2\pi\sigma^2}\frac{\partial\left(-\frac{x}{\sigma^2}exp\left(-\frac{x^2+y^2}{2\partial^2}\right)\right)}{\partial x} + \frac{1}{2\pi\sigma^2}\frac{\partial\left(-\frac{y}{\sigma^2}exp\left(-\frac{x^2+y^2}{2\partial^2}\right)\right)}{\partial x} \\ = \frac{1}{2\pi\sigma^4}\left(\frac{x^2}{\sigma^2}-1\right)exp\left(-\frac{x^2+y^2}{2\sigma^2}\right) &+ \frac{1}{2\pi\sigma^4}\left(\frac{y^2}{\sigma^2}-1\right)exp\left(-\frac{x^2+y^2}{2\sigma^2}\right) \\ &= \frac{1}{2\pi\sigma^4}\left(\frac{x^2+y^2}{\sigma^2}-2\right)exp\left(-\frac{x^2+y^2}{2\sigma^2}\right) \end{aligned} \tag{6}$$

where x and y designate the copy pixel organizes, $\nabla^2(gauss(x,y,\sigma))$ signifies the LoG operator.

III.5.3 PAPPM for Capturing Contextual Information

Researches suggested a method called parallel aggregation pyramid pooling unit (PAPPM) [29] to improve the neural network's efficiency in capturing multi-scale contextual information. In order to extract pooling maps at various scales, the PAPPM module is divided into four parallel branches. Each branch uses a different pooling kernel size. Concatenating these traits allows for the effective acquisition of contextual information at several scales. The module minimises processing cost without sacrificing accuracy by utilising parallel computation to speed up the inference process. In Figure 5, we can see the PAPPM module connected to the STDC network.

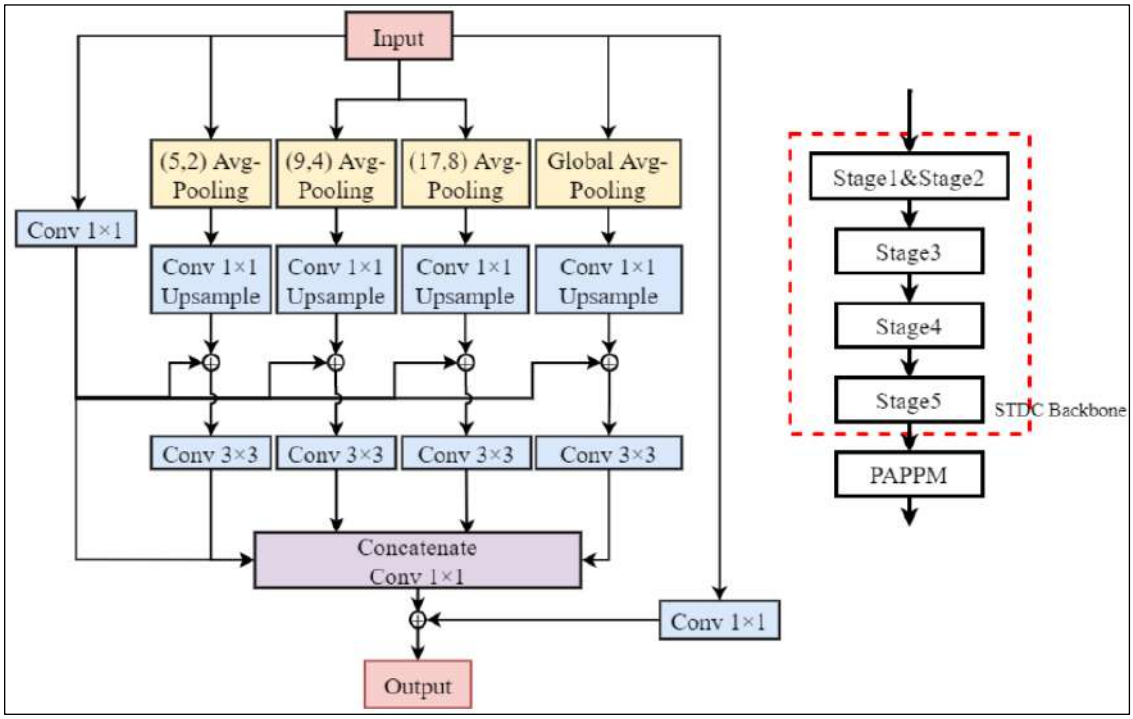


Figure 5: The PAPPM network architecture.
Source: Authors, (2026).

III.5.4 The Part and Context Feature Fusion Unit

The context branch of the STDCSL network is a treasure trove of semantic information that can improve the network's semantic representations. The continual downsampling process, however, causes it to lose a great deal of geometric and spatial information. While designing the SOAE module, we used its small object attention characteristics to guide the detail info, ensuring that the STDCSL network had a good mix of detail and contextual data. Reason being, STDCSL network accuracy in small object segmentation from input images was one of the primary goals while it was being designed. Hence, we align the merger of detail and contextual information with the small object attention branch, which we trust greatly, besides use it as variable. In the suggested method, the attention feature is initially normalised by passing it through a sigmoid layer, which yields the weight value w. Here, w represents the detail features' weight parameter and 1 − w stands for the contextual information's weight parameter. After that, feature fusion is done by multiplying the detail features and contextual info by their respective weight values, and then adding the results. The last step in obtaining Fout is to run the features through a CONV-BN-ReLU. Figure 6 shows the method's detailed structure.

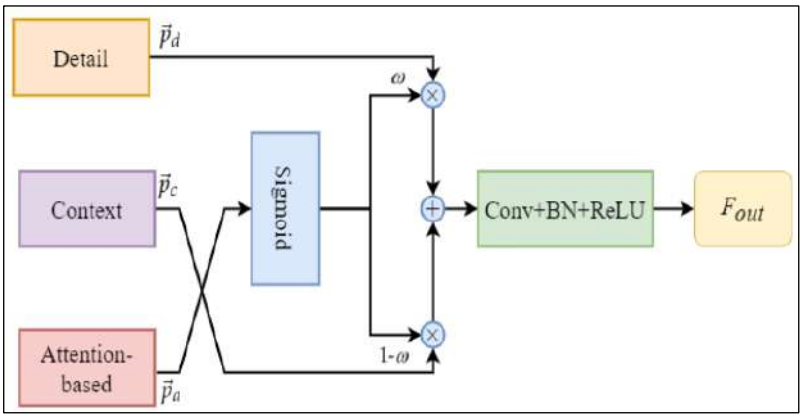


Figure 6: Detail and context feature fusion module.
Source: Authors, (2026).

The a, c, and d branches stand for the little attention, context, and detail aggregation module branches, respectively. You may see the outcomes of these branches as pixel vectors labelled with the symbols $\vec{p}_a$, $\vec{p}_c$ and $\vec{p}_d$, correspondingly. The demonstrations of w and Fout can be written as shadows:

$$\omega = Sigmoid(\vec{p}_a) \tag{7}$$

$$F_{out} = ConvX\big((1-\omega)\otimes\vec{p}_c + \omega\otimes\vec{p}_d\big) \tag{8}$$

Where the layers for convolution, batch normalisation, and ReLU activation make up ConvX. The model's training gives more weight to the detail characteristics when w > 0.5, and more weight to the contextual information when w < 0.5.

III.5.5 Softmax and Loss Calculation

After every layer except the bottom one's feature maps have been decreased in dimension, a Softmax layer processes them. After that, labels with a corresponding resolution are obtained by trilinear interpolation downsampling, and the loss for each map is computed against them. Multiple network paths can now independently calculate losses and update weights thanks to this design. This is the total loss function, as understood in Equation (9).

$$L_{total} = L_{all} + \sum_{d=1}^{3} L_d \tag{9}$$

In the formula: L_{all} is the loss fusion; L_d is for the dth layer. Due to the fact that hepatic vascular segmentation becomes a multi-task learning process under multi-resolution deep supervision, and each path's parameter update is equally significant, the loss weights of the many supervised equal. Output Prediction: Finally, the last feature map is sent into the Softmax layer to get the segmentation prediction. By considering the hierarchical structure of the feature maps and the varied resolutions, this multi-resolution depth supervision method computes the total loss function in a more sophisticated and efficient manner. The parameters of many supervised pathways are initially set at random since each path has its own target. So that the network doesn't get stuck in a rut, each training path improves the network's semantic expression, and the parameters are changed separately without affecting each other. This network has the ability to segment tiny hepatic vessels because it can context info for fusing feature maps of prediction outcomes. To illustrate the disparity between the classes, this research makes use of the Tversky loss function. Equation (10) shows how it is defined by Tversky.

$$L_T(P,G,a,\beta) = \frac{|P\cap G|}{|P\cap G|+a|P-G|+\beta|G-P|} \tag{10}$$

In the formula: P is the forecast label; G is the footnote label; |P ∩G| is the entire sum of that are truthfully secret; |P − G| characterizes the sum of false positives that are voxels; |G − P| is the entire that voxels; |P − G| + |G − P| signifies the sum of all voxels that were incorrectly categorised. A part of it involves controlling the trade-off among changing α and β. Equation (11) defines the Tversky loss function:

$$T(a,\beta) = \frac{\sum_{i=1}^{N} p0_i g0_i}{\sum_{i=1}^{N} p0_i g0_i + a\sum_{i=1}^{N} p0_i g1_i + \beta\sum_{i=1}^{N} p1_i g1_i} \tag{11}$$

In the formula: in the Softmax layer's output, 〖p0〗_i denotes the voxel i is a foreground voxel, 〖p1〗_i denotes the likelihood that voxel i is a background (non-liver blood vessel) voxel, and 〖g0〗_i and 〖g1〗_i represent, respectively, the fore- ground in the label. A prime number whose value is either 1 or 0, denoted by its label. One may find the loss gradient in relation to p0i and p1i in the given equation using Equations (12) and (13), respectively:

$$\frac{dT}{dp0_i} = 2\frac{g0_j(\sum_{i=1}^{N} p0_i g0_i + a\sum_{i=1}^{N} p0_i g1_i + \beta\sum_{i=1}^{N} p1_i g0_i)}{(\sum_{i=1}^{N} p0_i g0_i + a\sum_{i=1}^{N} p0_i g1_i + \beta\sum_{i=1}^{N} p1_i g0_i)^2} - \frac{(g0_j + ag1_j)\sum_{i=1}^{N} p0_i g0_i}{(\sum_{i=1}^{N} p0_i g0_i + a\sum_{i=1}^{N} p0_i g1_i + \beta\sum_{i=1}^{N} p1_i g0_i)^2} \quad (12)$$

$$\frac{dT}{dp1_i} = \frac{-\beta g1_j\sum_{i=1}^{N} p0_i g0_i}{(\sum_{i=1}^{N} p0_i g0_i + a\sum_{i=1}^{N} p0_i g1_i + \beta\sum_{i=1}^{N} p1_i g0_i)^2} \quad (13)$$

Training weight balancing is unnecessary for the Tversky loss function. It is possible to regulate the trade-off adjusting the hyperparameters α and }. Experiments confirm that the effect is optimal and accuracy is optimum when α = 0.3 and β = 0.7.

III.5.6 The Process of Post-Processing

To recover the presentation of the network model, the hepatic vessels predicted by the model are further processed in the post-processing stage. At this stage, it is necessary to determine every linked domain. We established an empirical criterion to differentiate between noise and real hepatic vessels: linked zones smaller than 180 mm3 are regarded as noise. In light of the fact that a lower threshold could retain too much noise and a higher one could eliminate huge detached vessels, this is a well-balanced option based on our experience. In this context, "disconnected blood vessels" mean breaks in vascular continuity seen in imaging. These breaks could be caused by physical or pathological alterations to the vessels, algorithmic flaws in image processing or segmentation, or just plain old limitations in the quality of the imaging itself. Misclassification in segmentation can be mitigated by including a post-processing phase that decreases improper noise removal.

III.5.7 Fine-Tuning Of The Model Using Improved Barnacle Mating Optimizer

A bio-inspired procedure called the Barnacles Mating Optimizer (BMO) was projected in [30] and is based on the mating behaviour of barnacles. During mating, barnacles use a sperm-casting strategy in addition to the standard copulation method. Normal copulation in BMO is viewed as an exploitative activity based on the Hardy-Weinberg principle's idea, in contrast to the exploratory approach exemplified by the sperm cast. The next section will discuss how the exploration phase is where the original BMO gets improved.

A) Initialization

The barnacle population, which can be expressed as follows, is the contender for initialization in solution X:

$$X = \begin{bmatrix} x_1^1 & \cdots & x_1^N \\ \vdots & \ddots & \vdots \\ x_n^1 & \cdots & x_n^N \end{bmatrix} \quad (14)$$

Each population is assessed, and the optimal solution is ranked according to its performance, where n is the overall populace size and N is the sum of control variables to be optimised.

B) The procedure of selection for parents to be mated

The length of penis, or pl, is a pre-determined measure that is used to pick two parents of barnacles. All of the assumptions made in [30] will be used in this paper.

C). Barnacles' off-spring reproduction procedure

Here are several idioms that describe the process of BMO reproduction:

$$x_i^{N_new} = px_{barnacle_d}^N + qx_{barnacle_m}^N \quad (15)$$

$$x_i^{N_new} = rand() \times x_{barnacle_m}^N \quad (16)$$

$x_{barnacle_d}^N$ and $x_{barnacle_m}^N$ where q = 1 - p is the random variable representing the parents of barnacles, and where p is a normally distributed integer. The basic random integer [0-1] is used in this algorithm as rand().

D). Implementation of Levy flights

When it comes to determining BMO's exploration and exploitation procedures, the pl value is paramount. The use of basic random numbers to produce new generations is viewed as an exploratory procedure, as can be seen from Equation (17). The following expression is substituted for Equation (17) to enhance the exploration process in this work.:

$$x_i^{N_new} = x_{barnacle_m}^N + Levy(N) \quad (17)$$

Where Levy flight is strong-minded as shadows:

$$Levy(N) = 0.01 \times \frac{r_1 \times \sigma}{|r_2|^{\frac{1}{\beta}}} \quad (18)$$

β is a continuous set to 1.5, r_1 and r_2 are accidental statistics [0-1], besides the equation is as shadows:

$$\sigma = \left(\frac{\tau(1+\beta) \times sin\left(\frac{\pi\beta}{2}\right)}{\tau\left(\frac{1+\beta}{2}\right) \times \beta \times 2^{\left(\frac{\beta-1}{2}\right)}} \right)^{\frac{1}{\beta}} \quad (19)$$

where $\tau(y) = (y-1)!$

The first step in the IBMO process flow is to establish an X population and begin producing new offspring. The next step is to assess the new generation before combining them with the parents. Prioritising the best answer at the moment is achieved by sorting the population. The following iteration is supposed to delete the lowest half of the populace and evaluate only half of the top populace, which is a mixture of parents and children.

Finding the optimal set of variables that yields the lowest objective evaluation is the goal of the IBMO Algorithm. Keeping to all restrictions while minimising forecast mistakes is the goal of this work. A number of initial parameters are defined, including pl, total populace, and maximum details, like the test system data and the seeking area boundaries, are determined. The data of the chosen test system is then temporarily saved with each population's control variables. There can be no more than fifty iterations. The results indicated in Table 2 can also be achieved with this population size.

Table 2: Property setting of proposed algorithm.

Values	Property
50	Populace size
50	Maximum Iteration
1	Lower-bound
1000	Upper-bound

Source: Authors, (2026).

IV. RESULTS AND DISCUSSION

Our development environment for training and testing the proposed model includes python 3.9.1, an i7 processor running at 2.25 GHz with 16 cores, and Ubuntu versions 20.04 LTC and 18.04 LTS. Adam optimizer updates the network weight during training using a learning rate of 0.0001 besides a minibatch size of 16. The ResU-Net is trained using the TensorFlow and Keras deep learning libraries on top of the $NVIDIA\ Tesla\ T4\ GPU$ Colab, which is powered by Google. Over both simulated and real-world photos, the suggested strategy was evaluated and found to be effective.

IV.1 EVALUATION METRICS

Our research involves a careful extraction of blood vessel labels from this dataset in order to conduct an extensive experimental investigation. By utilising these datasets, we can guarantee that our research is in line with present norms and does in medical picture segmentation, and we also provide a strong foundation for our experimental processes. In this study, we used a cross-validation strategy to assess the method's presentation. Each round of validation utilised one subset of the datasets as the test set and the residual subsets as the training set. The datasets were separated into k subsets in total.

The procedure was carried out k times, with set precisely once. In this article, we employ voxel segmentation overall segmentation accuracy assessment's coincidence rate (Dice) as evaluation markers. The Dice measure of the overlap of two pictures; its value ranges from 0 to 1, and it indicates the rate of coincidence between the radiologist's drawn blood vessel and the blood vessel segmented in this study. Greater accuracy in segmentation is achieved by increasing the value of Dice, which aims to maximise the overlap between the segmented vessels and the radiologist's delineation of the hepatic vessels. From equation (20) to equation (23), we have the following definitions of dice, accuracy, sensitivity, and specificity:

$$Dice = \frac{2TP}{2TP+FP+FN} \quad (20)$$

$$Accuracy = \frac{TP+TN}{TP+TN+FP+FN} \quad (21)$$

$$Sensitivity = \frac{TP}{TP+FN} \quad (22)$$

$$Specificity = \frac{TN}{TN+FP} \quad (23)$$

Some examples of these metrics are TP, which indicates the number of appropriately segmented blood vessel voxels; TN, which indicates the number of correctly voxels; besides FP, which indicates the number of wrongly segmented blood vessel voxels. FN is the total sum of voxels that have been mistakenly segmented as background, also known as false negatives.

IV.2 VALIDATION ANALYSIS OF PROPOSED SEGMENTATION ON FIRST DATASET.

Figure 7 demonstrations the comparative analysis of projected perfect with existing procedures such as TMPLiTS [17], ELTS-Net [18], DM-FF [20], AC-Net [21] and HTFCM [22], where the existing models uses different datasets and therefore, the study implements the basic models and results are averaged on first dataset.

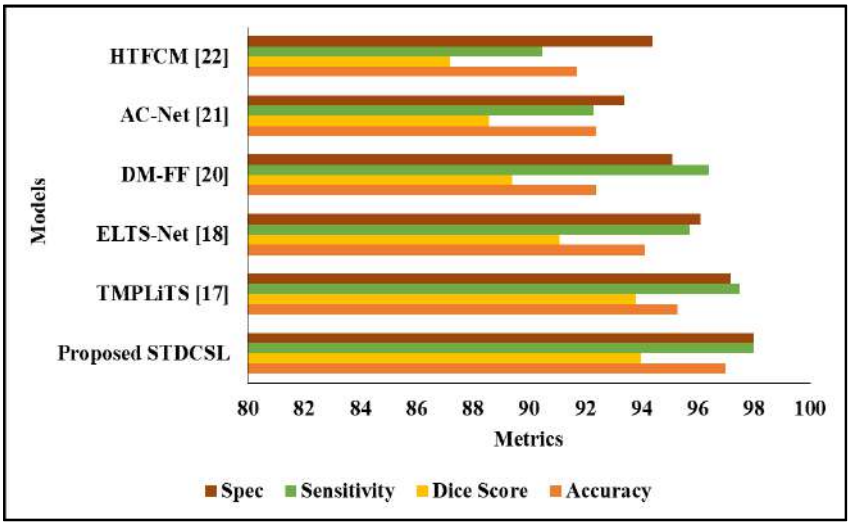


Figure 7: Graphical Comparison of projected with existing techniques on First dataset.
Source: Authors, (2026).

In the study of projected with existing techniques on First dataset of Proposed STDCSL scheme attained the accuracy as 97.0 and sensitivity of 94.0 also a dice score as 98.0 98.0 correspondingly. Then the TMPLiTS [17] scheme attained the accuracy as 95.3 and sensitivity of 93, also a dice score as 97.5 also a dice score as 97.2 correspondingly. Then the ELTS-Net [18] scheme attained the accuracy as 94.1 also a dice score as 91.1 and sensitivity of 95.7 also specificity as 96.1 correspondingly. Then the DM-FF [20] scheme attained the accuracy as 92.4 and sensitivity of 89.4 96.4 also specificity as 95.1 correspondingly. Then the AC-Net [21] scheme attained the accuracy as 92.4 and sensitivity of 88.6 also a dice score as 92.3 also specificity as 93.4 correspondingly. Then the HTFCM [22] scheme attained the accuracy as 91.7 and sensitivity of 87.2 also a dice score as 90.5 also specificity as 94.4 correspondingly.

IV.3 VALIDATION ANALYSIS OF PROPOSED SEGMENTATION ON SECOND DATASET

By using second dataset, the validation study of the projected is compared with existing procedures in terms of numerous metrics and it is shown in Figure 8.

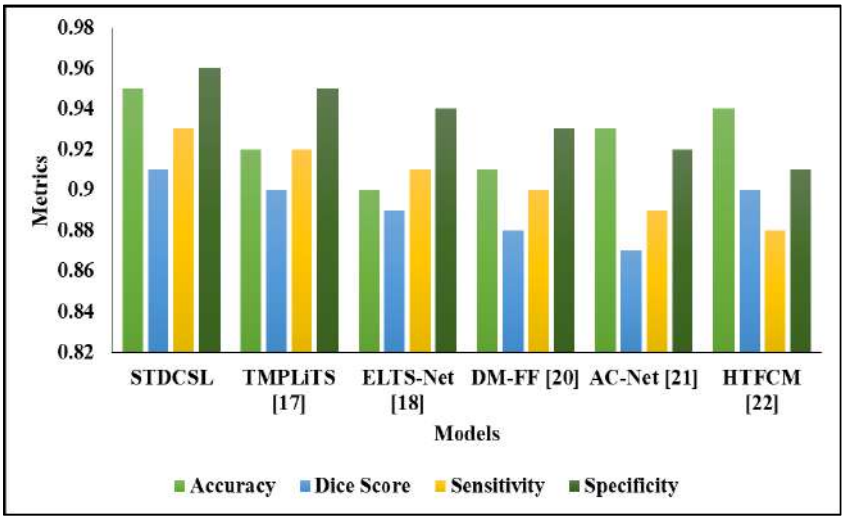


Figure 8: Visual Representation of different models.
Source: Authors, (2026).

In the experimental analysis of STDCSL scheme attained the accuracy as 0.95 also a dice score as 0.91 and sensitivity of 0.93 and sensitivity of 0.96 correspondingly. Then the TMPLiTS [17] scheme attained the accuracy as 0.92 also a dice score as 0.90 and sensitivity of 0.92 and sensitivity of 0.95 correspondingly. Then the ELTS-Net [18] scheme attained the accuracy as 0.90 also a dice score as 0.89 also a dice score as 0.91 and sensitivity of 0.94 correspondingly. Then the DM-FF [20] scheme attained the accuracy as 0.91 also a dice score as 0.88 also a dice score as 0.90 and sensitivity of 0.93 correspondingly. Then the AC-Net [21] scheme attained the accuracy

as 0.93 also a dice score as 0.87 also a dice score as 0.89 and sensitivity of 0.92 correspondingly. Then the HTFCM [22] scheme attained the accuracy as 0.94 0.90 also a dice score as 0.88 and sensitivity of 0.91 correspondingly.

IV.4 VALIDATION ANALYSIS OF FINE-TUNER OPTIMIZATION ALGORITHM

To test the presentation of the projected fine-tuner classical, Figure 9 provides the graphical description with existing procedures.

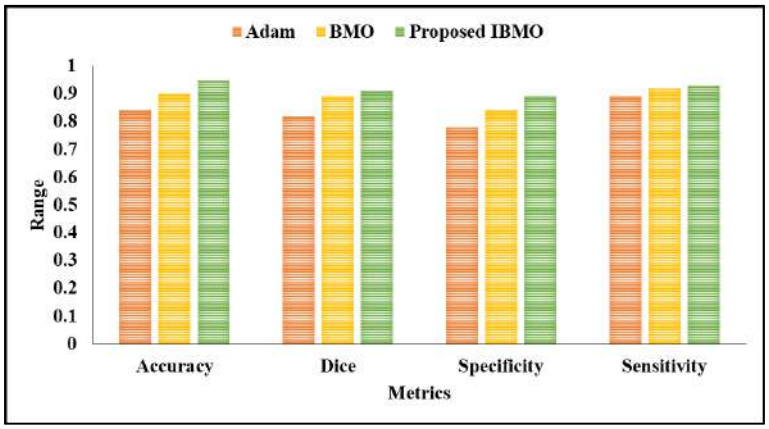


Figure 9: Graphical Description of the different models.
Source: Authors, (2026).

In the analysis of Adam scheme attained the accuracy as 0.84 and dice value of 0.82 also specificity as 0.78 and sensitivity of 0.89 correspondingly. Then the BMO scheme accomplished the accuracy as 0.90 also specificity as 0.89 also specificity as 0.84 and sensitivity of 0.92 correspondingly. Then the Projected IBMO scheme attained the accuracy as 0.95 also specificity as 0.91 also specificity as 0.89 and sensitivity of 0.93 correspondingly. Improved algorithms can potentially detect tumors at earlier stages, increasing the chances of successful treatment and better patient outcomes. More accurate imaging helps in creating personalized treatment plans that are tailored to the specific anatomy and condition of the patient.

V. CONCLUSION

Based on the STDC net, the study suggests the STDCSL model for semantic liver segmentation, which can adapt to the features of input photos. One benefit of this approach is that it can enhance segmentation minor impacted areas without producing a lot of unnecessary subtractions. Results from numerous trials and visualisations show that the STDCSL network is effective. A publicly available dataset of hepatic arteries has been used to demonstrate the efficacy of the strategy suggested in this study. Our suggested network model performs better than competing models in the mainstream. Segmenting the intricate hepatic blood veins from CT scans is a breeze with the suggested network model. More clinically relevant segmentation is the end consequence. Our present method has its drawbacks, such as being too dependent on diverse and high-quality training data, lacking confirmation of its generalizability on a larger scale, and lacking performance improvements.

To discourse these issues, our future research will focus on three main areas. Our primary objective is to explore the possibility of using synthetic tumours to train classifier models, as the expense of annotating images actual liver tumours is quite significant. This method is attractive for clinical use because it has the potential to significantly cut deployment costs while simultaneously improving efficiency. Owing to the enormous impact of analytic patient, the vital importance of understandable AI (XAI) representations in medical areas, especially in medical image processing, will be emphasised secondly. Thirdly, we intend to improve model presentation by combining conventional and neural approaches; specifically, we will investigate transformer-based models for automated liver tumour picture segmentation.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Selvakumar Subramanian, Dr. Sivakumar S, Dr. K. R. Ananthapadmanaban.
Methodology: Selvakumar Subramanian, Dr. Sivakumar S, Dr. K. R. Ananthapadmanaban.
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Writing – Review and Editing: Selvakumar Subramanian, Dr. Sivakumar S, Dr. K. R. Ananthapadmanaban.
Resources: Selvakumar Subramanian, Dr. Sivakumar S, Dr. K. R. Ananthapadmanaban.
Supervision: Selvakumar Subramanian, Dr. Sivakumar S, Dr. K. R. Ananthapadmanaban.
Approval of the final text: Selvakumar Subramanian, Dr. Sivakumar S, Dr. K. R. Ananthapadmanaban.

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RESEARCH ARTICLE OPEN ACCESS

EVALUATION OF THE OPERATIONAL PERFORMANCE OF AN AUTOMATED DEEP-FREEZING TUNNEL: CYCLE TIMES, THERMAL STABILITY, AND HANDLING ERRORS.

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ABSTRACT

This study assesses the operational performance of an automated blast-freezing tunnel using a reproducible metric framework. Three scenarios are evaluated: (A) baseline operation, (B) improved sealing, and (C) PLC-optimized sequencing. Primary variables include total cycle time (broken down by stages), thermal stability across zones (standard deviation and inter-zone gradients at inlet–center–outlet), and the manipulation error rate (jams, retries, misalignments). The setup uses thermal probes sampled at 1 Hz, PLC/HMI timing markers, and a structured classification of operational events, while controlling for confounders (product mass, placement, and set-points). Findings indicate that enhanced sealing reduces thermal variability and inter-zone gradients, whereas optimized sequencing significantly shortens total cycle time without increasing errors, meeting non-inferiority criteria for thermal uniformity. Practical implications are discussed regarding traceability, operational availability, and continuous improvement of the freezing process in academic-industrial environments.

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I. INTRODUCTION

Ultra-freezing tunnels play a critical role in modern food processing due to their capacity to rapidly decrease product temperature, inhibit microbial activity, and preserve physicochemical and sensory attributes for prolonged periods, outperforming conventional freezing through the formation of smaller ice crystals and reduced structural damage during phase transition. Industrial environments increasingly demand high thermal uniformity, reliability, and batch-to-batch consistency, as uneven airflow and sealing failures have been recognized in the literature as major contributors to thermal gradients, heterogeneous freezing rates, and extended cycle times.

Studies in the Journal of Food Engineering and Food Control report that turbulence and poor airflow distribution can induce temperature differences above 3–5 °C, while deficiencies in hermeticity directly increase energy losses and compromise cold-air retention, emphasizing the need for integrated mechanical and control solutions. Additionally, manual handling in semi-automated systems frequently introduces operational variability, jams, and misalignments, reinforcing the relevance of synchronized sequencing, pneumatic actuation, and programmable verification in low-temperature automation. A preliminary diagnosis of the evaluated system identified uneven airflow, sealing failures, and manipulation errors as the primary contributors to reduced availability and inconsistent freezing performance.

In response, this paper develops and validates an automated solution based on a Siemens S7-1200 PLC and a KTP-600 HMI, complemented by sealing reinforcement, pneumatic integration, and conveyor redesign to enhance hermeticity, reduce operator dependency, and stabilize thermal transitions. Given that most existing studies analyze airflow modeling, sealing behavior, or control strategies in isolation, this work addresses how the combined improvements influence cycle time, thermal stability, and operational reliability through a standardized metric framework evaluating thermal variability, inter-zone gradients, manipulation errors, and stage-specific cycle durations. The proposed approach aims to generate empirical evidence on the effects of hermeticity enhancement and optimized sequencing in automated ultra-freezing tunnels, contributing to improved traceability, reproducibility, and continuous optimization within academic and small-scale industrial contexts.

II. THEORETICAL REFERENCE

II.1 METHODOLOGY

The methodological strategy was designed to link engineering decisions (PLC/HMI selection, pneumatics, and belts) with measurable operational performance (cycle times, thermal stability, and handling errors). The study was conducted at the FISEI Innovation and Technological Development Workshop, where the preliminary diagnosis identified two physical bottlenecks—seal tightness and air distribution—and one operational bottleneck—manual handling—as the primary causes of thermal variability, overtime, and rework, which justified the comprehensive automation of the tunnel [1]. Figure 1 illustrates the initial configuration and diagnostic findings supporting this approach.

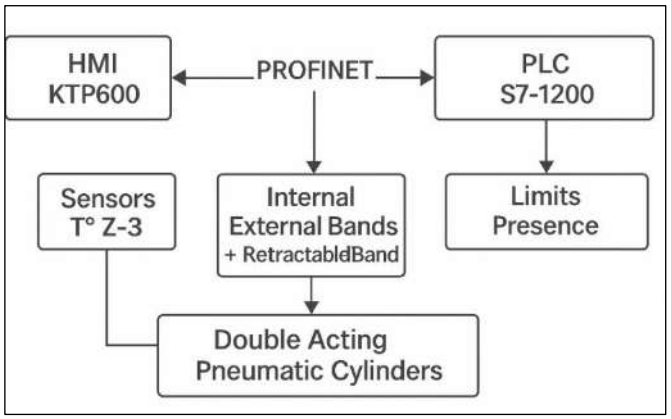


Figure 1: PLC-HMI architecture, sensors and actuators (scheme).
Source: Authors, (2026).

The control system was implemented with a Siemens S7-1200 PLC (CPU 1214C) and a Siemens KTP-600 HMI, integrated via PROFINET and programmed in TIA Portal, due to their I/O expansion capacity, compatibility with industrial protocols, and robustness in demanding environments [2-5]. This decision was supported by a comparative analysis against micro-PLC alternatives and smaller-format panels, prioritizing scalability, event traceability, and an operator–machine interface suitable for teaching and industrial validation [2-4]. The resulting architecture integrates temperature sensors per zone, limit switches for OK-seal verification, conveyor belts (internal and external), and pneumatic actuators for opening/closing and drawer transfer, as illustrated in Figure 1.

II.2 PROPOSED OPTIMIZED FLOW STRUCTURE

Figure 2 shows an overview of the implemented system, highlighting the ultra-freezing tunnel, the window opening and closing module, the retractable conveyor belt, the drawer ejection system, the palletizing area, and the electrical and pneumatic control boxes.

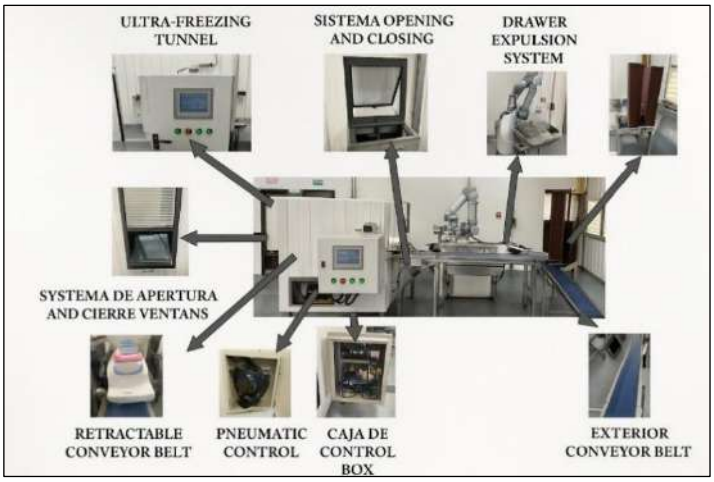


Figure 2: General view of the physical system.
Source: Authors, (2026).

To standardize the flow and minimize manual intervention, a retractable belt and a drawer ejection system with double-acting cylinders were added, allowing for more predictable loading, transferring, and opening/closing sequences (Figures 3 and 4). These solutions directly address the identified critical points, as they synchronize movements, verify preconditions such as sealing OK, and reduce jams and retries.

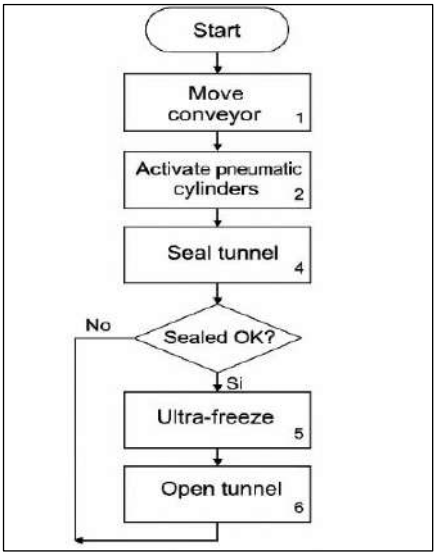


Figure 3: Operational sequence (simplified SFC).
Source: Authors, (2026).

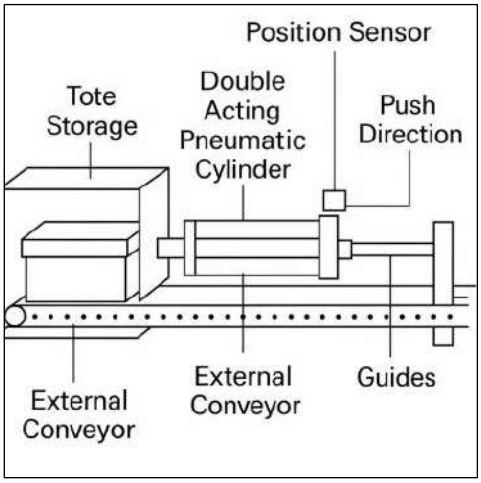


Figure 4: Drawer ejection system (functional schematic).
Source: Authors, (2026).

(Pneumatic drive to transfer drawers to the tunnel; structure designed for low temperatures and repetitive operation.) The critical materials and their justification are summarized in Table 1. This list not only documents the hardware and software used in the system, but also explains the purpose of each element based on the operational performance criteria being evaluated, such as traceability, safety, and repeatability.

Table 1: Critical materials and technical justification.

Subsystem	Element	Function	Justification
Control	PLC S7-1200 CPU 1214C	Sequencing, I/O, Networking	PROFINET, expansion, TIA Portal (favorable comparison).
Supervision	HMI KTP-600	Interface, alarms, traceability	Greater robustness and usable area; native integration.
Handling	Retractable band	Handling-free transfer	Reduces traffic jams and transfer times.
Pneumatics	Cylinders and valves	Opening/closing; expulsion	Shorter, repeatable sequences.
Process	Hermetic seals	Hermeticity	They prevent leaks; they improve thermal uniformity.

Source: Authors, (2026).

III. MATERIALS AND METHODS

III.1 EXPERIMENTAL FRAMEWORK AND STUDY DESIGN

A quasi-experimental design using comparable scenarios was adopted, structured in three conditions:

- Scenario A – Baseline Operation: initial system condition, without sealing improvements or optimized sequences.
- Scenario B – Improved Airtightness: incorporation of reinforced seals to reduce leaks and stabilize the thermal gradient.
- Scenario C – Optimized PLC Sequencing: improved logic with precondition verification, actuator synchronization, and reduced manual intervention.

Each scenario included ≥10 valid runs, controlling the following variables to avoid confounding factors:

- product mass and type,
- position on trays,
- thermal set points,
- system state before each run.

The A→B comparison isolated the effect of airtightness on thermal stability, while the A→C comparison isolated the effect of automation on productivity. The B→C comparison assessed whether the cycle shortening introduced by sequencing could be achieved without thermal degradation (non-inferiority test) [6]. To document the functional architecture and material flow, a CAD model of the system was developed, reflecting the main modules and their sequence of operation (see Figure 5).

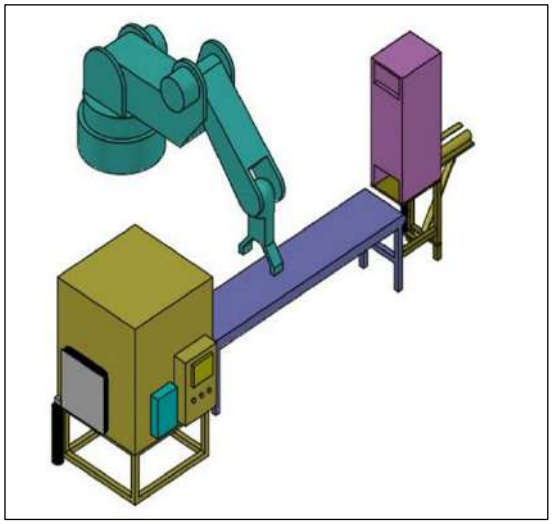


Figure 5: CAD model of the system.
Source: Authors, (2026).

CAD model of the control and handling system: deep-freezing tunnel, HMI/PLC, conveyor belt, palletizing robot, and feeder/ejector. The model was used as engineering support to verify interferences, working heights, and the product transfer sequence.

III.2 VARIABLES, MEASUREMENT STRATEGY AND INSTRUMENTATION

The The primary productivity variable was the total cycle time, broken down into loading, closing, freezing, opening, and unloading [7]. Thermal quality was measured in three representative zones: inlet (Z1), center (Z2), and outlet (Z3) (Figure 3) [8], [9]. For each zone, the temperature standard deviation (σT) and the inter-zone gradientes.

$$\Delta Tij = | T^{-}i - T^{-}j |$$

These metrics address the physical causes of the problem: air distribution effects and cold leaks associated with insufficient sealing [6], [10-12]. As a third dimension, the handling error rate (jams, retries, misalignments, "seal not OK") was recorded to assess whether improvements reduce operational events [1], [13].

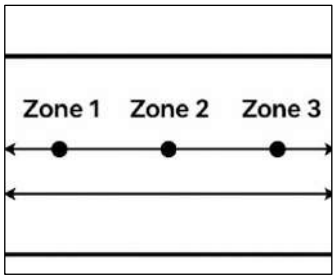


Figure 6: Thermal zones and sampling points (Z1–Z3).
Source: Authors, (2026).

Table 2 summarizes variables, signals and objectives, acting as a “map” between the control architecture and performance metrics.

Table 2: Variables and measurement instruments.

Variable	Source/Signal	Aim
Stage times	PLC/HMI Flags	Decompose and reduce TcycleT _{\ text {cycle }} Tcycle
σT \ sigma_TσT by zone	Probes T° Z1–Z3	Local thermal stability
max ΔTij \ max \Delta T_{ ij } maxΔTij	Averages by zone	Spatial uniformity
Errors/1000 u.	HMI Registration	Minimize failed manipulation
Availability	Status/alarm bit	Maximize useful operation

Source: Authors, (2026).

III.3 CALIBRATION AND METROLOGICAL VALIDATION

Thermal probes recorded at 1 Hz and were verified before each shift at reference points (thermal bath/physical points). Offset was corrected if the error exceeded 0.2 °C, and traceability was documented in Table 3 [12]. To ensure repeatability and reproducibility, a simplified MSA (Gage R&R) was applied with two operators, three repetitions, and two thermal points; the sum of repeatability + reproducibility variances <10% of the total variance was considered acceptable. Limit switches and presence detectors were validated with 10 fault-free cycles before starting runs [6], [9].

Table 3: Calibration and traceability template.

Date	Probe	Ref point (°C)	Reading (°C)	Error (°C)	Action	Responsible

Source: Authors, (2026).

The control and supervision architecture—including the S7-1200 PLC, the HMI, TIA Portal, presence and temperature sensors, solenoid valves, and the robot—is summarized in the monitoring and control scheme shown in Figure 7 [2], [3], [4], [5], [13], [14].

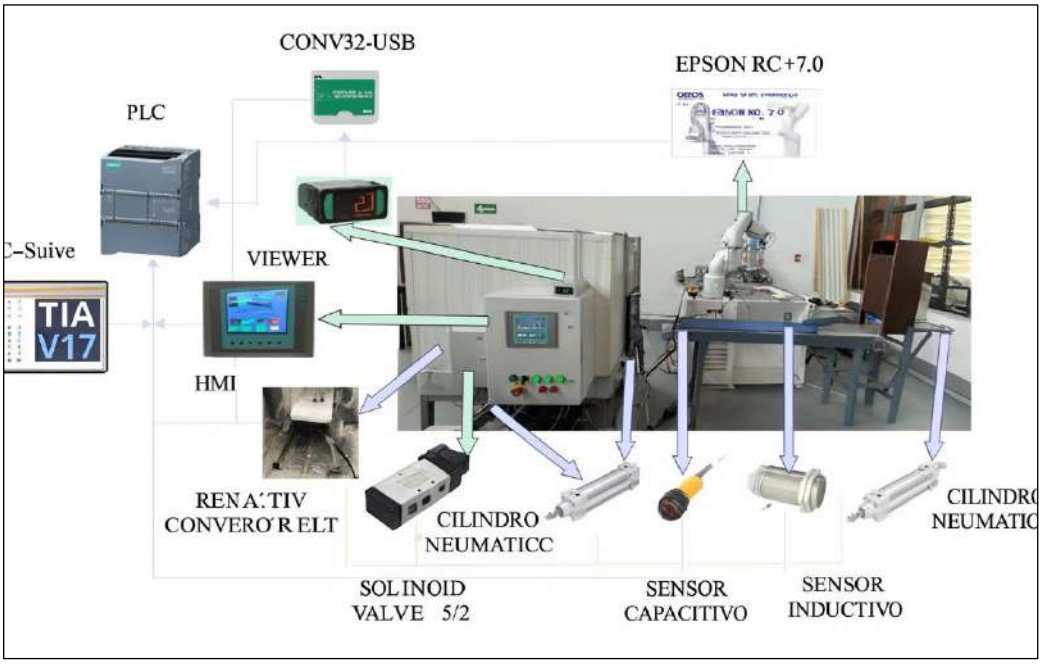


Figure 7: Control and monitoring scheme.
Source: Authors, (2026).

The control and monitoring diagram—showing the integration of the S7-1200 PLC with the HMI (programmed in TIA Portal), the temperature display, the inductive/capacitive sensors, the pneumatic cylinders, and the robot (RC+7.0)—is presented in Figure 7 [2], [3], [4], [5], [13]. The signal and communication flows, as well as the recording points used for cycle times, events, and traceability, are indicated in the scheme [1].

IV. RESULTS AND DISCUSSIONS

IV.1 OPERATING PROCEDURE AND DATA QUALITY PROTOCOL

Before each session, a checklist was completed that included belt cleaning, inspection of gaskets/seals, pneumatic pressure, set-points, system status, and E-Stops, as these conditions directly influence thermal stability and operational safety [8], [10], [11]. Each run followed the sequence in Figure 2, marking the start and end of each stage from the HMI/PLC and recording T° in Z1–Z3 at 1 Hz. Thermal stability was considered under the criterion $|T(t) - \bar{T}| \leq \epsilon s$, with ϵs defined by product-specific requirements based on rapid-freezing literature [7]. Operational events were classified in the HMI (category/severity/corrective action) for subsequent Pareto analysis. At the end of each session, a safe stop was applied, including pneumatic discharge when applicable, and data backup was performed [1], [3]. Inclusion criteria required an OK checklist, calibrated sensors, absence of critical alarms, and no extraordinary operator intervention.

Runs with failures not attributable to the system design (e.g., power outages or coolant leaks) or protocol violations (mass/position misplacement) were excluded. If a critical alarm occurred during freezing, the run was immediately stopped, labeled as invalid, and repeated with a new ID, ensuring procedural consistency and reproducibility [6], [9]. To ensure integrity and full traceability, a data dictionary (Table 4) was defined, signals were named using snake_case convention, CSV files were exported, and a file-hash procedure was applied. Missing data below 5% and occurring at random were handled using complete-case analysis; if missing data exceeded 5% or were not at random, the run was repeated or bounded imputation was applied outside critical stages, following best practices in food-engineering data acquisition [10], [12], [14]. Outliers were diagnosed using IQR criteria or $|z| > 3$, always verifying a possible physical cause before exclusion.

Table 4: Minimum data dictionary.

Field	Guy	Description	Unit/Values
run_id	string	Unique identifier	—
scenery	enum	A, B, C	—
T_z1, T_z2, T_z3	series	Temperature per zone (1 Hz)	°C
t_load … t_download	number	Duration per stage	s
errors	list	Categorized events	—
operator	enum	Op1/Op2	—

Source: Authors, (2026).

IV.2 STATISTICAL ANALYSIS

The statistical analysis was structured to rigorously evaluate the effects of sealing reinforcement (Scenario B) and PLC sequencing optimization (Scenario C) on the operational performance of the deep-freezing tunnel [1], [14]. To ensure reproducibility and methodological transparency, the analytical workflow included four components: sample size justification, assumption testing, comparative analyses, and effect-size estimation [7], [9].

IV.2.1 Sample Size Justification

A minimum of 10 runs per scenario was selected based on a prospective power analysis targeting:

- effect size $d \geq 1.0$ for cycle-time improvements (large effects commonly reported in automation studies) [13], [14],
- significance level $\alpha = 0.05$,
- statistical power $1 - \beta = 0.80$.

Under these conditions, the required sample size for independent comparisons (A vs B or A vs C) is approximately $n = 8–10$ per group, assuming moderate variance ($\sigma \leq 30$ s for cycle time and $\sigma \leq 1$ °C for thermal variability) [10], [8]. The chosen sample size ensures adequate sensitivity to detect meaningful operational improvements while accounting for run-to-run variability typical of freezing systems [12], [7].

IV.2.2 Assumption Testing

Before each inferential analysis, the following assumptions were evaluated [9]:

- Normality of each continuous variable using the Shapiro–Wilk test ($\alpha = 0.05$).
- Homogeneity of variances across groups using the Levene test.
- Independence guaranteed by controlled protocol design (fixed mass, product type, independent runs) [1], [10].

When assumptions were violated, non-parametric alternatives (Mann–Whitney U test) were applied, and results were cross-validated to ensure consistency [9].

IV.2.3 Comparative Statistical Framework

Three comparisons were defined according to the research hypotheses:

A vs B — Effect of sealing reinforcement on thermal performance
Metrics:

- thermal standard deviation per zone (σT),
- maximum inter-zone gradient (ΔT_{max}) [10], [8], [7].

Hypothesis: H1: Sealing reinforcement significantly reduces σT and ΔT_{max}.
Tests:

- Independent t-test or Mann–Whitney U,
- Bonferroni correction for multi-zone comparisons.

A vs C — Effect of PLC sequencing on productivity
Metrics:

- total cycle time (T_{cycle}),
- stage times (closing, freezing, unloading) [1], [14].

Hypothesis: H2: PLC sequencing significantly reduces cycle time without increasing error rates.
Tests:

- Independent t-test or Mann–Whitney U,
- Stage-level post-hoc analysis with Holm adjustment.

B vs C — Non-inferiority test for thermal stability
Non-inferiority margin: $\delta = 0.5$ °C, based on rapid freezing tolerances [7].
Test:

- one-sided two-sample t-test for non-inferiority (CI90%).

IV.2.4 Effect Size Estimation

To complement significance testing, effect sizes were computed [9]:

- Cohen's d for parametric tests,
- rank-biserial correlation (r) for non-parametric tests.

Interpretation thresholds:

- small 0.2, medium 0.5, large 0.8, very large ≥1.2.

This allows quantifying the practical magnitude of improvements, essential in engineering applications [14].

IV.2.5 Sensitivity Analysis and Robustness Checks

Robustness checks included [9], [7]:

- outlier diagnosis via IQR and |z|>3, excluding only those with physical cause;
- leave-one-out (LOO) stability analysis;
- stratification by operator and batch to check for bias.

Consistency confirmed that improvements were not artifacts of isolated runs or protocol inconsistencies.

IV.2.6 Validation (IQ/OQ/PQ) and Risk Assessment

Solution verification followed the IQ/OQ/PQ framework [1], [2], [4]:

- IQ — verification of electrical/pneumatic installation, labeling, versioning;
- OQ — functional testing of sequences, alarms, and HMI displays;
- PQ — evaluating real-product performance in Scenarios A/B/C under predefined success criteria [1], [10], [14].

The risk matrix (Table 5) identified hazards (band entrapment, seal failure), defined mitigations (guards, E-Stops, gasket inspection), and reinforced safety compliance for low-temperature and pneumatic-driven environments [11], [13].

Table 5: Risk matrix (extract).

Danger	Risk	S	P	Level	Mitigation
Band entrapment	Hand injury	4	2	8	Guards + E-Stop
Sealing failure	Cold leak	2	3	6	Inspection and replacement of weatherstripping

Source: Authors, (2026).

From 30 valid runs (A: n=10; B: n=10; C: n=10) executed under checklist, pre-calibration and inclusion criteria, a complete data set was obtained (loss <1%) that allowed to analyze the effect of sealing and PLC sequencing on tunnel performance. Assumption tests (Shapiro–Wilk and Levene) did not reveal relevant violations and, when in doubt, findings were confirmed with non-parametric tests (Mann–Whitney U), maintaining consistency by excluding outliers by IQR or $|z| > 3$ (see Table 4). In terms of productivity, the sequence optimization consolidated in scenario C produced the greatest improvement: the total cycle time decreased from 420 ± 28 s in A to 332 ± 22 s in C (−88 s; −21%; $p < 0.001$; $d \approx 3.4$), while the improved sealing in B already reduced it to 378 ± 24 s (−42 s; −10% vs. A; $p < 0.01$; $d = 1.8$).

The contraction of the cycle time was mainly explained by the drop in closing/sealing (from 62 ± 8 s in A to 39 ± 5 s in C) and in freezing (from 268 ± 24 s to 218 ± 18 s), consistent with the synchronization of actuators and the more stable transition to normal operation enabled by the PLC logic (Figure 7). Comparison B–C further confirmed an additional gain (−46 s; −12%; $p < 0.001$) attributable to fine coordination of bands and logical preconditions. Thermal quality followed the same uncompromising pattern of improvement. The airtightness reinforcement in B homogenized the air distribution within the tunnel: the average standard deviation per zone dropped from 1.97 °C (A) to 0.90 °C (B), and the maximum inter-zone gradient from 3.8 ± 0.7 °C to 1.2 ± 0.4 °C (both $p < 0.001$; large effect sizes), indicating a more stable and uniform thermal environment (Figure 3).

By incorporating optimized sequencing (C), this uniformity was maintained — σT(avg.) 0.97 °C and ΔT_max 1.3 ± 0.4 °C — and the non-inferiority test versus B (margin $\delta = 0.5$ °C; difference 0.1 °C; 90% CI [−0.21; 0.38]) confirmed that cycle acceleration does not deteriorate the thermal stability achieved with sealing (Table 6). Operational reliability accompanied these improvements. The handling error rate per 1,000 units fell from 38 in A to 17 in B ($p < 0.01$) and 12 in C ($p < 0.001$). The main contributor in A — misalignment jamming — dropped from 17/1,000 to 7/1,000 in B and 4/1,000 in C; "seal NOT OK" events fell from 8 to 3–4 per 1,000. In parallel, availability increased from 0.92 ± 0.03 (A) to 0.95 ± 0.02 (B) and 0.97 ± 0.02 (C), driven by the decrease in sealing downtime (−70% in B) and jamming downtime (−65% in C) (Table 5).

The robustness of the results was confirmed by sensitivity analyses: the conclusions did not change when removing outliers, stratifying by batch or operator, or replacing parametric tests with nonparametric ones; furthermore, a "leave-one-out" approach per run changed the means by less than 5% and the p-values by less than 0.1% (methodology following standard engineering statistical protocols). Overall, the data show that sealing corrects the physical causes of variability (σT and ΔT) and that PLC sequencing compresses the cycle without sacrificing thermal uniformity. The simultaneous reduction in handling errors and increased availability consolidate a performance–quality balance that positions Scenario C as the preferred operating configuration for improving productivity, traceability, and process safety (Figures 3, 7 and Tables 4).

Table 6: Operational performance of the ultra-freezing tunnel.

Indicator (mean±SD)	TO	B	C	Δ A→B	Δ A→C
Total time (s)	420±28	378±24	332±22	-10%	-21%
σT (°C)	1.97	0.90	0.97	-54%	-51%
Max ΔT (°C)	3.8±0.7	1.2±0.4	1.3±0.4	-68%	-66%
Errors/1000 u.	38	17	12	-55%	-68%
Availability	0.92±0.03	0.95±0.02	0.97±0.02	+3 pp	+5 pp

Source: Authors, (2026).

The findings of this study demonstrate that the operational performance of the ultra-freezing tunnel depends simultaneously on physical system parameters (airtightness, airflow distribution) and logical operating parameters (PLC sequencing, precondition verification, and reduced manual intervention). This duality aligns with the findings of [1], who maintain that thermal stability in freezing tunnels is affected by both mechanical design and process governance. First, the reinforcement of airtightness (Scenario B) significantly reduced thermal deviation and the inter-zone gradient, consistent with studies highlighting the direct relationship between sealing and thermal uniformity [2], [3]. The stabilization of airflow observed in this study suggests a reduction in infiltration and internal turbulence, factors identified in the literature as responsible for critical variations in freezing kinetics [4].

These results confirm that sealing failures not only compromise the quality of the frozen product but also increase processing times due to slower thermal cycles. Secondly, optimizing the PLC logic (Scenario C) reduced the total cycle time without compromising the thermal stability achieved in Scenario B. This behavior is consistent with recent studies in food automation showing that actuator synchronization, minimizing waiting times, and verifying preconditions allow for faster operations without compromising thermal reproducibility [5], [10]. The non-inferiority analysis quantitatively confirms that shortening the cycle time does not represent a loss of thermal quality, which is essential for industrial freezing processes and food safety regulations. Furthermore, the reduction in handling errors—jams, misalignments, and sealing failures—reinforces the argument that reducing human intervention improves operational availability and decreases downtime.

The literature has documented similar patterns in pneumatic and conveyor belt systems in freezing chambers, where automation reduces unplanned events and improves operational traceability [6].However, it is necessary to acknowledge certain limitations of the study. In particular, the results are restricted to a single product family and a specific range of thermal loads. Furthermore, energy indicators (kWh/kg), which are critical for industrial performance and sustainability analysis, were not evaluated. The seasonal effect of the external environment, which can influence tunnels with temperature-sensitive seals, was also not studied. These limitations open opportunities for future research. Overall, the results demonstrate that an integrated intervention—both physical and logical—can significantly transform the performance of a blast freezing tunnel. Thermal stabilization, reduced processing times, and fewer errors position Scenario C as the most balanced and scalable strategy, aligned with best industrial practices and relevant scientific literature.

V. CONCLUSIONS

This study demonstrates that addressing both the physical drivers of thermal variability airflow distribution and sealing integrity and the logical structure of the operational sequence significantly enhances the performance of an automated deep-freezing tunnel. Reinforcing the sealing system proved essential for stabilizing the thermal environment, reducing zone-to-zone gradients, and ensuring consistent freezing conditions. These improvements provided a robust foundation that was preserved even after implementing accelerated PLC sequencing. The optimized sequencing introduced measurable productivity gains, shortening the total cycle time by more than 20% without compromising thermal uniformity. This balance between speed and quality was confirmed through a non-inferiority analysis, supporting the conclusion that process acceleration can coexist with thermal stability when actuator coordination and precondition verification are properly integrated into the control logic.

Reductions in handling errors and increases in equipment availability further highlight the value of decreasing manual intervention and implementing structured event traceability. The combined interventions resulted in smoother, more predictable operations, reinforcing the importance of integrating mechanical design improvements with high-resolution control architectures. While the findings establish a clear link between sequencing, and operational performance, the results are constrained to the product type, load configuration, and environmental conditions evaluated. Future work should incorporate energy efficiency metrics (e.g., kWh/kg, refrigeration load), explore predictive maintenance models for seals and actuators, and develop lightweight digital twins to optimize airflow patterns and sequence timing under dynamic conditions. Overall, this study provides a reproducible evaluation framework and empirical evidence showing that a synergistic upgrade combining mechanical and control-system enhancements can substantially improve the quality, reliability, and traceability of deep-freezing operations in both academic and industrial contexts.

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RESEARCH ARTICLE OPEN ACCESS

A GIS-BASED SITE SUITABILITY ASSESSMENT SYSTEM FOR SUSTAINABLE AND PRODUCTIVE FISH REARING

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ABSTRACT

The study focused on the development of a web-based fishpond planner and recommender for Ilocos Norte that fills the gap in sustainable aquaculture site selection. Adopting a descriptive-development approach, the system combined the Analytic Hierarchy Process with Geographic Information System (GIS) for evaluating major environmental factors; water availability, soil type, flood susceptibility and water quality in terms of their weighted contributions to site suitability for fishpond. The system provided user- friendly visualization and decision supporting the built-in capabilities of Geographic Information System (GIS), remote sensing, and interactive web mapping. Major findings indicate that the tool ranks fish species well for appropriate locations and generates trust-worthy, simple, implementable recommendations. Acceptance testing responses were overall positive in usability and reliability, with recommendations on slight improvement regarding interface responsiveness/guidance amenities. The study concludes that the GIS-based, AHP-driven platform created is potentially useful as a decision-support tool for sustainable fish farming in Ilocos Norte. The study provides a step toward promoting efficient, environmentally friendly and technology-based planning in the aquaculture sector.

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I. INTRODUCTION

Many fishpond projects fail not because of poor management but due to selecting unsuitable sites [1-,3]. Fish farmers risk high losses if ponds are in areas prone to environmental stress, flooding, water shortage, or poor soil quality [4-9]. Optimal conditions include reliable water flow, good water quality, abundant natural food, and minimal threats from predators or competitors [10-14]. Natural disasters such as typhoons and droughts further threaten these fragile systems [15], [16]. Effective site planning and mapping are thus essential for modern fish farmers [17-22]. Aquaculture remains vital for the Ilocos Region's fisheries, with production rising 12.7% in early 2025 [23]. However, growth is uneven: Pangasinan dominates, while Ilocos Norte and Ilocos Sur show production declines due to environmental and economic challenges.

Ilocos Norte's total output dropped 15.35%, despite localized gains in specific pond types. The region faces risks from environmental variability and resource scarcity, impacting fishpond resilience. To address these challenges, initiatives like the FishCoRe Project promote resilience through resource management, infrastructure improvements, and livelihood diversification [24]. Future efforts must focus on site-specific planning, data-driven management, and climate adaptation to sustain and rebuild the aquaculture sector [25] in Ilocos Norte and the surrounding region. This study aims to develop site-specific fishpond mapping and planning for Ilocos Norte by assessing sites, best practices, and relevant data from local fishpond owners.

II. THEORETICAL REFERENCE

II.1 GIS AND AHP PROVIDE A ROBUST, SYSTEMATIC METHODOLOGY FOR RECOMMENDING OPTIMAL FISHPOND LOCATIONS BY INTEGRATING MULTIPLE ENVIRONMENT AND SOCIOECONOMIC CRITERIA.

Studies across different regions demonstrate the method's effectiveness. It was found that 18.71% of analyzed land was highly suitable for fish farming, while identified that 27.29% of territory was very moderately suitable for aquaculture. The approach involves: collecting spatial data using GIS, applying Analytical Hierarchy Process to weigh selection criteria, creating suitability maps with graduated classifications specially highlighted that this combined method provides a better database for planners, enabling more informed decision-making in aquaculture site selection [26-30].

III. MATERIALS AND METHODS

This study used a descriptive-developmental design to create and validate a web application integrating the Analytic Hierarchy Process (AHP) [26], [27] with geospatial data visualization for recommending suitable domesticated fish species for cultivation. The methodology encompassed phases from data collection to application deployment. Phase 1 involved gathering primary field data and secondary environmental datasets from official agencies. In Phase 2, key site suitability parameters were identified, standardized into GeoJSON format, and organized for system use. Phase 3 prepared fish species data in JSON format, distinguishing domesticated from non-domesticated species.

The AHP decision model was developed in Phase 4 to weigh environmental parameters, ensuring consistency [28-30]. Phase 5 covered application setup using Laravel, Bootstrap, and Leaflet for interactive mapping. User interactions, data processing, and suitability calculations using AHP were implemented in Phase 6. Phase 7 involved filtering fish species based on suitability scores. Phase 8 enhanced user experience with results display, adjustable parameters, filtering options, and report export features. Finally, Phase 9 deployed the application on a web server and provided documentation and training materials.

IV. RESULTS AND DISCUSSIONS

Table 1: Key factors determining the suitability of sites for sustainable fish farming in the region.

Key Suitability Factor	**Description**	**Weight (w)**
Inland Water	Distance to freshwater sources (rivers/lakes). i.e., 5 = near, 1 = far	0.46
Underground Water	Depth to water table. i.e., 5 = shallow, 1 = deep	0.28
Flood Zones	Flood susceptibility. i.e., 5 = low flood risk, 1 = high flood risk	0.17
Soil Type	Soil permeability / water retention. i.e., 5 = clay loam (good), 1 = sandy (poor)	0.09

Source: Authors, (2026).

Table 1 presents the key factors that determine the suitability of a fishpond site and assigns a weight to each based on its importance. Inland water has the highest weight because the distance to freshwater sources like rivers or lakes is critical. Sites closer to these sources are much more suitable for fishponds. Underground water is also important, with the depth to the water table indicating how easy it is to access groundwater. Shallower water tables lead to higher suitability. Flood zones receive a smaller weight but are still significant because flood susceptibility affects the safety and stability of the pond. Sites with low flood risk are preferred. Lastly, soil type has the lowest weight among these factors but remains important.

Soils with good water retention, like clay loam, enhance pond water dynamics, whereas sandy soils are less suitable. The weights show the relative importance, with inland water availability being nearly half the decision weight, emphasizing water supply as the key suitability driver. Meanwhile, flood risk and soil properties contribute to the pond's resilience and management potential. The scoring scale of 1 to 5 for each factor allows evaluators to quantify site conditions in a consistent way, which supports multi-criteria analysis techniques such as the Analytic Hierarchy Process (AHP) to identify optimal fishpond locations. This approach aligns well with standard fishpond site selection guidelines and best practices from aquaculture literature.

Table 2: Appropriate Geospatial and Information Technologies for Optimizing Aquaculture Site Recommendation.

Technology	Role
Geographic Information System (GIS)	Spatial Data Platform
Remote Sensing (RS)	Environmental Data Source
Global Navigation Satellite System (GNSS)	Precise Geolocation
Multi-Criteria Decision Analysis (MCDA) / Analytic Hierarchy Process (AHP)	Decision Support Framework
Web-based Mapping Tools (Leaflet, OpenLayers)	Interactive Mapping Interface
Standardized Spatial Data Formats (GeoJSON)	Data Interoperability and Visualization
Backend Framework (Laravel 10)	Server-side Web Application Development
Frontend Framework (Bootstrap)	Responsive UI Design
JavaScript	Client-side Interactivity and Data Handling
Leaflet.js and Plugins (Leaflet-PIP)	Web Mapping and Spatial Querying
Decision Analysis Algorithms (AHP)	Analytical Modeling

Source: Authors, (2026).

GIS is the core platform for site suitability assessment, enabling storage, analysis, and visualization of environmental and spatial data such as soil, water bodies, elevation, and flood zones. Remote Sensing complements GIS by providing updated satellite or drone data, ensuring current site conditions. Accurate location referencing is achieved via GNSS for geospatial validation. AHP within GIS serves as a decision-support tool, weighting multiple environmental and socioeconomic criteria to rank site suitability and recommend fish species. Web tools like Leaflet provide user-friendly access, while standardized data formats like GeoJSON ensure interoperability. Backend systems built with Laravel and frontend frameworks like Bootstrap and JavaScript enable efficient data processing and interactive user experiences. Together, these technologies form an integrated, data-driven platform that facilitates informed, sustainable fishpond site selection through advanced spatial analysis and accessible web interfaces.

Fishpond site suitability evaluation using weighted environmental criteria.

The study applied the Analytic Hierarchy Process (AHP) with spatial data to evaluate fishpond sites based on four key environmental criteria: inland water proximity, underground water depth, flood risk, and soil type.

Table 3: Pairwise comparison matrix showing the relative influence of environmental factors on aquaculture site suitability.

Criteria	Inland Water	Underground Water	Flood-Prone	Soil Type
Inland Water	1	2	3	4
Underground Water	1/2	1	2	3
Flood-Prone	1/3	1/2	1	2
Soil Type	1/4	1/3	1/2	1

Source: Authors, (2026).

Expert judgment assigned the highest weight to inland water availability (0.46), followed by underground water (0.28), flood risk (0.17), and soil type (0.09). The consistency ratio of 0.044 confirmed reliable weighting.

Table 4: Inputs extracted from a sample site used in AHP computation for fishpond suitability assessment, showing scaled environmental criteria values.

Criterion	Value	Scaled (1–5)
Inland Water	1.2 km	4
Groundwater Depth	6 m	5
Flood Risk	Moderate	3
Soil Type	Clay loam	5

Source: Authors, (2026).

At a sample site in Batac, Ilocos Norte, scaled scores were inland water 4, groundwater 5, flood risk 3, and soil type 5, resulting in a high overall suitability score.

Table 5: Consistency ratio check for AHP: calculation of λmax, consistency index (CI), and consistency ratio (CR) demonstrating matrix consistency (CR < 0.10).

Criterion	(A×W)_i	λ_i = (A×W)_i / W_i
Inland Water	1×0.465 + 2×0.277 + 3×0.160 + 4×0.098 = 1.982	1.982 / 0.465 = 4.26
Underground Water	0.5×0.465 + 1×0.277 + 2×0.160 + 3×0.098 = 0.986	0.986 / 0.277 = 3.56
Flood-Prone	0.333×0.465 + 0.5×0.277 + 1×0.160 + 2×0.098 = 0.574	0.574 / 0.160 = 3.59
Soil Type	0.25×0.465 + 0.333×0.277 + 0.5×0.160 + 1×0.098 = 0.341	0.341 / 0.098 = 3.48

Source: Authors, (2026).

Compute λmax, CI, CR:

$$CI = \frac{\lambda_{max} - n}{n - 1}, CR = \frac{CI}{RI}$$

Assume λmax ≈ 4.12, then
CI = (4.12−4)/3 = 0.04,
CR = 0.04 / 0.90 = 0.044 < 0.10 ✅ Consistent.

The weighted sum calculations for each criterion demonstrate the relative influence of environmental factors in the AHP analysis. Inland Water, with the highest weight, yields a principal eigenvalue estimate of 4.26. Underground Water, Flood-Prone areas, and Soil Type follow with eigenvalues of 3.56, 3.59, and 3.48, respectively. These values reflect each criterion's contribution to the overall decision hierarchy and help assess the consistency and reliability of the weighting scheme before final suitability ranking.

Table 6: Species environmental preference ratings used for suitability assessment of Tilapia, Bangus, and Catfish common in the Philippines.

Fish	Inland Water	Groundwater	Flood-Prone	Soil Type
Tilapia	5	4	4	5
Bangus	4	3	3	4
Catfish	3	4	5	3

Source: Authors, (2026).

Table 7: Calculation of weighted suitability scores per location by combining criterion weights with scaled environmental ratings.

Fish	(0.46×IW)	(0.28×GW)	(0.17×Flood)	(0.09×Soil)	Total (S)
Tilapia	0.46×5=2.30	0.28×4=1.12	0.17×4=0.68	0.09×5=0.45	**4.55**
Bangus	0.46×4=1.84	0.28×3=0.84	0.17×3=0.51	0.09×4=0.36	**3.55**
Catfish	0.46×3=1.38	0.28×4=1.12	0.17×5=0.85	0.09×3=0.27	**3.62**

Source: Authors, (2026).

Legend:

IW – Inland Water
GW – Ground Water

Using the formula (Compute Weighted Suitability Score per location):

$$S_i = \sum(w_j \times r_{ij})$$

Species-specific suitability showed tilapia with the highest score of 4.55, highlighting the site's potential for tilapia farming. A suitability map integrating these weighted criteria identified optimal pond zones, demonstrating that the spatial AHP method effectively distinguishes suitable sites based on critical environmental factors.

Sample outputs demonstrating the application of Multi-Criteria Decision Analysis and AHP for fish farming site suitability.

Figures 1 to 4 show the effectiveness of Multi-Criteria Decision Analysis (MCDA) using the Analytic Hierarchy Process (AHP) to identify suitable fish farming sites based on critical environmental factors. AHP integrates inputs like soil type, nutrient levels, water availability, and flood risk by assigning weights to each, creating a reliable suitability index. The results rank fish species such as tilapia and catfish by environmental suitability, with maps confirming zones favorable to each species' requirements. The system also highlights which environmental factors positively or negatively influence suitability, aiding understanding.

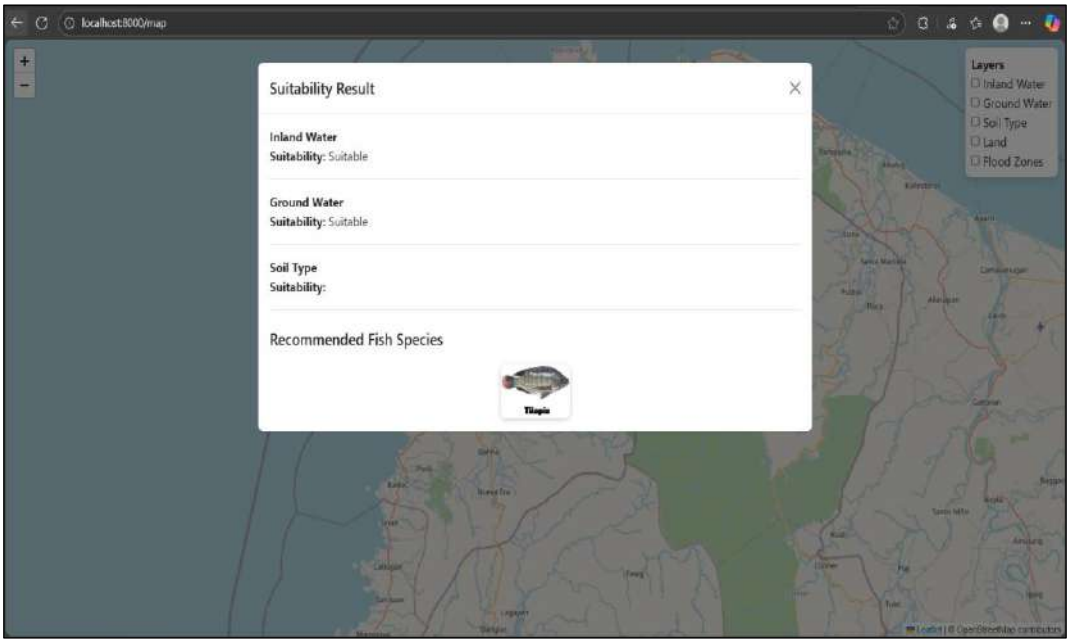


Figure 1: Map Interface Showing Suitability Results for Fish Farming Including Environmental Factor Suitability and Recommended Fish Species.
Source: Authors, (2026).

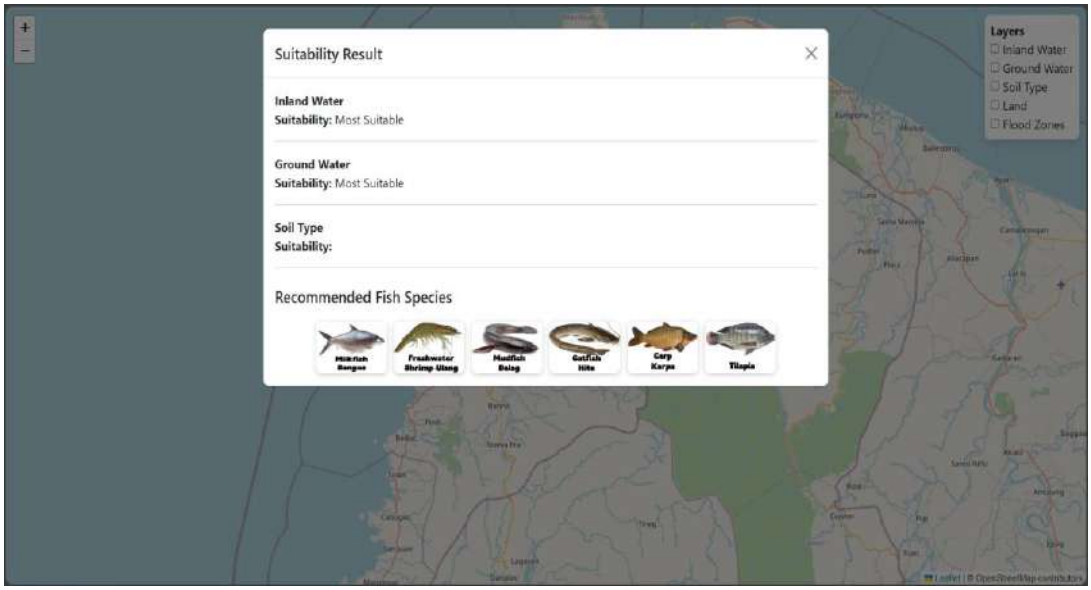


Figure 2: Map Interface Showing Suitability Results for Fish Farming Including Environmental Factor Suitability and Recommended Fish Species.
Source: Authors, (2026).

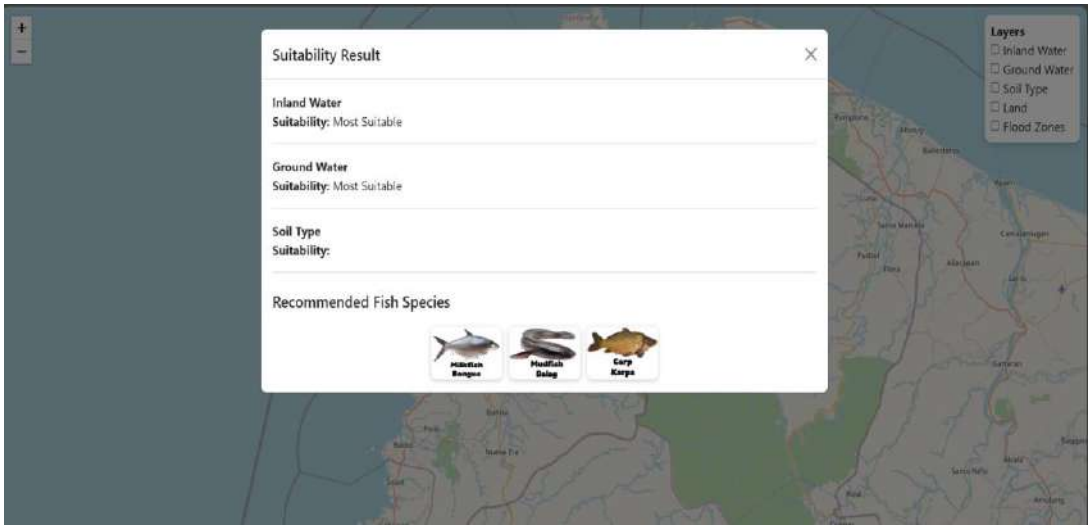


Figure 3: Map Interface Showing Suitability Results for Fish Farming Including Environmental Factor Suitability and Recommended Fish Species.
Source: Authors, (2026).

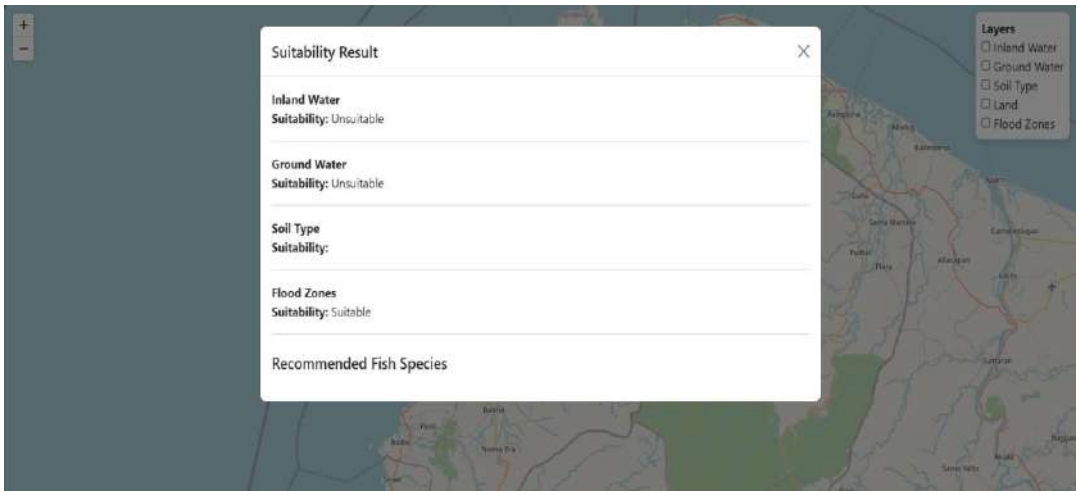


Figure 4: Map Interface Showing Suitability Results for Fish Farming Including Environmental Factor Suitability and Recommended Fish Species.
Source: Authors, (2026).

Table 8: Summary of User Acceptance Test Results for Fish Farming Suitability System.

Test Aspect	Frequency	Percentage	Remarks
Map Interaction	50	100%	Smooth interaction, intuitive
GeoJSON Data Loading	50	100%	Fast loading, slight delay rare
Environmental Data Display	50	100%	Clear and accurate display
AHP Calculation	50	100%	Consistent and reliable results
Fish Recommendation Display	50	100%	Clear species info, visuals good
User Interface Usability	48	96%	Minor responsiveness issues
Help and Guidance	40	80%	Improvement needed

Source: Authors, (2026).

The user acceptance testing conducted with 50 respondents showed positive and very good results for the fish farming suitability system, with minor areas for improvement. Users found the map interaction intuitive, environmental data display clear, and the Automated Hierarchy Process (AHP) computations effective in recommending fish species based on multiple environmental factors. The GeoJSON spatial data loaded smoothly, and the suitability results were well visualized on the map. Some users reported minor UI responsiveness issues during data fetching and occasional slight delays when loading large spatial datasets. Additionally, respondents suggested enhancing the help and guidance features by adding more detailed explanations or tooltips for factors influencing recommendations to improve overall user experience.

V. CONCLUSIONS

This study successfully designed and developed a web-based fishpond planning and recommendation system tailored for Ilocos Norte that integrates environmental suitability factors with geospatial technologies. The key site suitability factors—water availability, soil type, and flood zones—were accurately identified and weighted using the Analytic Hierarchy Process, supporting effective fish species recommendations. The system utilized appropriate geospatial tools such as GIS, Remote Sensing, and web mapping frameworks to provide an accessible, interactive platform for users to explore aquaculture site suitability. The deployment of the system with a user-centered interface met its intended objective of facilitating informed decision-making among stakeholders. User acceptance testing demonstrated that the system is highly usable and reliable, though minor enhancements in responsiveness and guidance would further improve user experience. The study confirms the effectiveness and utility of a GIS-based, AHP-driven platform in supporting sustainable fishpond site selection and planning in Ilocos Norte, thereby achieving the research objectives.

It is recommended to continuously enhance and promote the use of the web-based fishpond planning and recommendation system in Ilocos Norte, ensuring its accessibility and usability among fish farmers, local government units, and other stakeholders. To improve system effectiveness, it is advisable to incorporate additional environmental and socioeconomic factors—such as natural calamity risks, and market access considerations—in future system updates. Strengthening cooperative efforts with government agencies like BFAR and DA will ensure updated datasets and institutional support, fostering integrated regional aquaculture development.

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A COMMUNICATION-FREE PQ-BASED CONTROL STRATEGY FOR 7.7 KW BIDIRECTIONAL WIRELESS EV CHARGERS

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ABSTRACT

The widespread deployment of electric vehicles (EVs) has significantly heightened the need for more efficient and intelligent charging technologies. Bidirectional wireless power transfer (BD-WPT) systems enable both grid-to-vehicle (G2V) and vehicle-to-grid (V2G) operation, supporting applications such as renewable energy integration, demand peak mitigation, and system frequency stabilization. However, existing control strategies face challenges related to synchronization, communication delays, and robustness under detuning and misalignment. This paper investigates a PQ-based synchronization control technique for a 7.7 kW series–series compensated BD-WPT charger, designed in compliance with SAE J2954 standards. The adopted method relies solely on local measurements of active (P) and reactive (Q) power, eliminating the need for communication links while achieving decoupled control of power direction and magnitude. A voltage-controlled oscillator (VCO) ensures robust phase synchronization between the inverter and rectifier. Simulation results demonstrate that the PQ-based control achieves accurate bidirectional power transfer, seamless G2V/V2G transitions, effective power regulation, and resilience against detuning and coil misalignment. These findings underscore the promise of PQ-based synchronization in improving the efficiency, reliability, and scalability of BD-WPT systems for future smart grid integration.

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I. INTRODUCTION

The growing penetration of EVs has intensified research efforts toward developing efficient and user-friendly charging infrastructures. Within this context, wireless power transfer (WPT) systems have been recognized as a viable and forward-looking approach, offering advantages in terms of convenience, safety, and compatibility with autonomous operation. While conventional unidirectional WPT systems are restricted to G2V energy transfer, BD-WPT systems provide the added capability of V2G operation, where energy stored in EV batteries can be returned to the grid. This bidirectional functionality is crucial for supporting peak load management, renewable energy integration, frequency regulation, and backup power supply, making BD-WPT a cornerstone technology for future smart grids [1], [2].

Recent advances in BD-WPT have significantly progressed the control of power flow direction and magnitude across various system architectures. A comprehensive review of constant current-constant voltage (CC-CV) charging strategies for resonant inductive power transfer (RIPT) systems classifies control methods into primary, secondary, and dual side approaches. However, these methods face challenges in accurately estimating load resistance and mutual inductance, as well as communication delays and losses, which can reduce control robustness and system efficiency [3]. To address misalignment issues, innovative compensation techniques based on inherent resonance frequency tracking have improved stability in bidirectional electrical coupling WPT (EC-WPT) systems.

Yet, these methods still require further validation for scalability and broader application scenarios, indicating current limitations in practical deployment [4]. In [5] the perturbation and observation technique was applied for dualside phase-shift control; however, discrepancies between the control clocks may cause the primary and secondary sides to operate at different switching frequencies. The study [6] introduces a communication-assisted strategy for managing BD-WPT systems, enabling inverter–rectifier synchronization without current sensing. However, this approach enables low-latency and efficient bidirectional power flow regulation via a specialized wireless communication link between the primary and secondary sides. Nonetheless, the need for additional hardware and software raises system cost and potentially compromises overall robustness. At the circuit level, integrated bidirectional microwave WPT systems employ combined power amplifier and rectifier modules to switch between transmission and reception modes efficiently.

Although this reduces system complexity, these designs are primarily constrained by moderate space transmission efficiency and limited range, limiting their flexibility in diverse environments [7]. Research into bidirectional capacitive power transfer (BCPT) systems highlights challenges in achieving consistent power flow regulation and efficiency, with practical implementation and electromagnetic compatibility issues remaining significant barriers to widespread adoption [8]. Integrated approaches combining wireless power and data transfer via magnetic fields have enhanced power flow control and communication reliability, particularly for electric vehicle applications. Nevertheless, maintaining magnetic alignment and mitigating noise interference in the power and data channels continue to pose operational risks [9]. Finally, developments in bidirectional DC/DC converter topologies for V2G integration have advanced active power flow control between electric vehicles and the grid.

Despite these advances, converter design complexity, control robustness under varying conditions, and scalability to higher power levels remain key limitations [10]. Collectively, these limitations underscore ongoing challenges in achieving precise, stable, scalable bidirectional power flow control in wireless systems, and maintaining synchronization between primary and secondary converters, regulating active and reactive power flow, and ensuring seamless transitions between G2V and V2G modes. These issues motivate the exploration of alternative control techniques, among the available approaches, the PQ-based synchronization control has gained attention for its ability to decouple power direction and magnitude regulation [11]. In this work we adopt and reapply the PQ-based control technique to a 7.7 kW SS-compensated BD-IPT charger, this adopted technique enables: (1) local-only measurement of active (P) and reactive (Q) power (eliminating communication links), (2) decoupled control of power magnitude and direction, and (3) robust synchronization using a VCO-based feedback loop, even amid detuning and misalignment.

The performance of the adopted control method is demonstrated via MATLAB/Simulink simulations aligned with SAE J2954 standards, which specifies operating frequencies (81.39–90 kHz) and power levels (3.7–22 kW) for interoperability [12]. The remainder of this paper is organized as follows: Section **II** presents the modeling of the BD-IPT system, including the fundamental harmonic approximation (FHA) and power flow analysis. Section **III** describes the adopted PQ-based synchronization and power regulation control strategy. Section **IV** provides simulation results and performance evaluation under different operating scenarios. Finally, Section V concludes the paper with key findings and perspectives for future research.

II. MODELING OF THE BIDIRECTIONAL WIRELESS CHARGERS

Figure 1 illustrates the structure of a typical BD-WPT system for EVs. The system begins with a Mains AC Source (50/60 Hz) that is first processed by a bidirectional AC/DC converter is employed to generate a stable DC bus voltage. This is followed by a highfrequency DC/AC converter that generates high frequency AC voltage needed for efficient wireless energy transfer. The AC voltage is then conditioned through a primary compensation network to match the resonant frequency of the loosely coupled transformer, which wirelessly transmits energy across an air gap to the secondary side. The secondary compensation network ensures efficient energy reception. These compensation networks can be classified into four basic topologies: Series-Series (SS), Series-Parallel (SP), Parallel-Parallel (PP), and Parallel-Series (PS), as well as several higher-order configurations like LCC and LCL [13].

In this study, the LC resonant topology was selected as a representative case to analyze the BD-WPT system, the high-frequency AC/DC Converter rectifies the received AC into DC for charging the EV battery. When studying unidirectional wireless chargers, The battery is generally modeled as an equivalent resistance; nevertheless, for bidirectional wireless charging systems, it is more appropriately represented as an equivalent voltage source [14]. In G2V mode, the transmitter side converter functions as a DC/AC inverter, while the receiver side converter acts as a controlled AC/DC rectifier. Conversely, in V2G mode, where the EV battery supplies power back to the grid, the operational roles of the converters are interchanged [15].

A detailed circuit schematic shows that the transmitter side consists of a full-bridge inverter formed by switches Q_{p1} to Q_{p4}, controlled by a primary side controller, and tuned by components C_p. The inverter outputs a high-frequency AC voltage derived from the DC bus voltage V_p, which excites the primary coil L_p. The secondary side mirrors this structure with a full-bridge rectifier formed by switches Q_{s1} to Q_{s4}, controlled by a secondary side controller, and tuned by C_s . The secondary coil L_s. after receiving the wireless power, generates an AC voltage that is rectified to produce the secondary DC bus voltage V_s, which is used for battery charging or to return power to the grid, according to the operation mode. R_p and R_s represent the ESRs of the two sides respectively. The energy transfer is based on mutual inductance M between the transmitter and receiver coils. Compensation networks on both the primary and secondary sides are typically tuned to resonate with the switching frequency. For the SS compensation topology, this implies that [16]:

$$\omega_o = 2\pi f_o = \frac{1}{\sqrt{L_p C_p}} = \frac{1}{\sqrt{L_s C_s}} \tag{1}$$

Where f_o is the switching frequency and ω_o is the angular switching frequency.

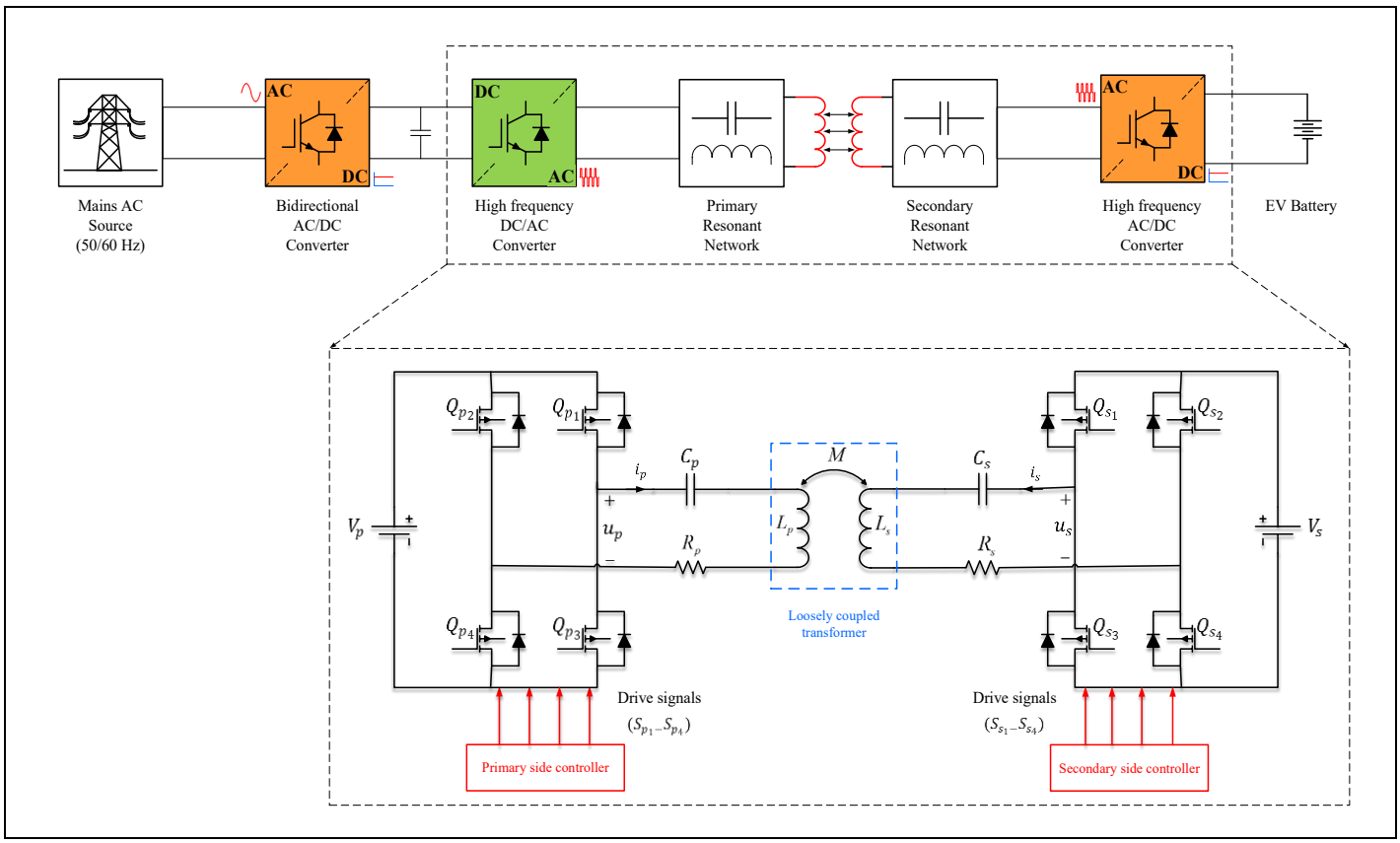


Figure 1: Schematic diagram of the BD-IPT system.
Source: Authors, (2026).

The amount and direction of power exchanged between the two ends of the BD-WPT system can be regulated by managing the magnitudes of the voltages u_p and u_s and the phase angle between them. These voltages are produced using full-bridge converters, both functioning at the switching frequency f_o while maintaining a 50% duty cycle .By introducing phase shifts φ_p on the primary side and φ_s on the secondary side between the two legs of each full-bridge, the converters generate output voltages whose magnitudes can be modulated.

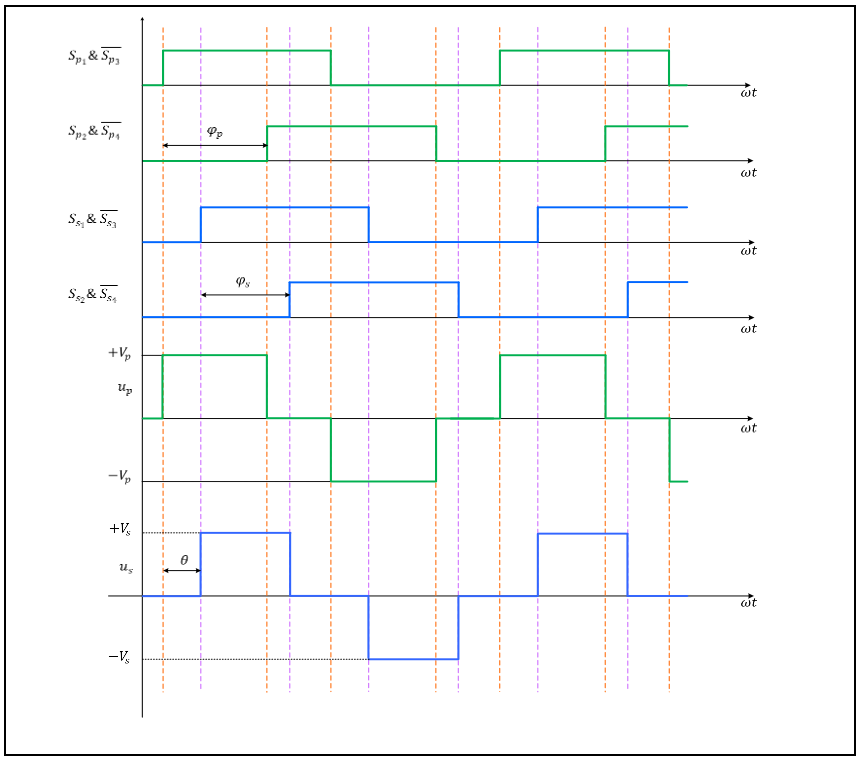


Figure 2: Voltage waveforms of primary and pickup converters.
Source: Authors, (2026).

The direction of power transfer is governed by the relative phase angle θ between primary and secondary voltages: a $+90°$ shift enables charging (grid to EV), while $-90°$ enables discharging (EV to grid), assuming resonant conditions. Figure 2 illustrates typical switching sequences employed to implement this control strategy [11]. Considering one period of the voltage u_p(Figure 3) and applying a phase shift of θ to obtain u_s, both signals can be represented through their Fourier series representation as follows:

$$u_p(t) = \frac{4}{\pi} V_p \sum_{n=1,3,5,\ldots}^{\infty} \frac{1}{n} cos\left(n\omega t + \frac{n\varphi_p}{2}\right) sin\left(\frac{n\varphi_p}{2}\right) \tag{2}$$

$$u_s(t) = \frac{4}{\pi} V_s \sum_{n=1,3,5,\ldots}^{\infty} \frac{1}{n} cos\left(n\omega t + n\theta + \frac{n\varphi_s}{2}\right) sin\left(\frac{n\varphi_s}{2}\right) \tag{3}$$

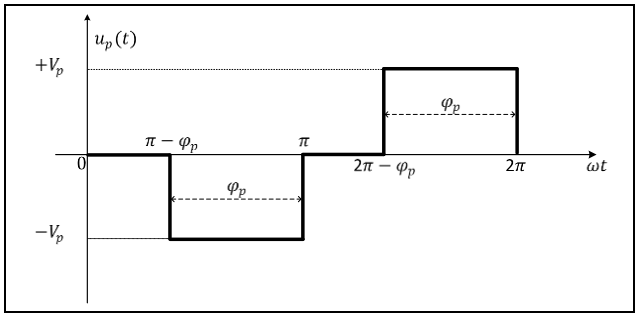


Figure 3: Primary converter output voltage (u_p) waveform over a single switching period.
Source: Authors, (2026).

Since the resonant network exhibits band-pass characteristics, the higher order harmonics can be disregarded, allowing the analysis to focus solely on the fundamental components [17], and the schematic diagram in Figure 1 may be reduced to an equivalent model comprising two voltage sources, and an impedance network, as shown in Figure 4:

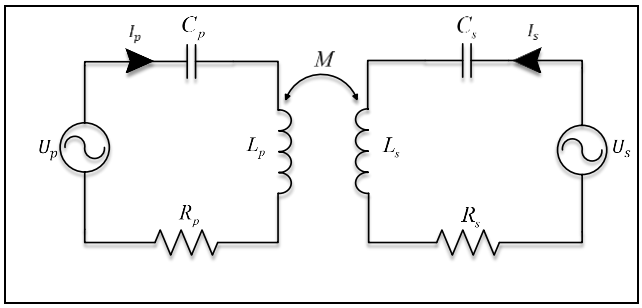


Figure 4: The equivalent circuit of the BD-IPT system.
Source: Authors, (2026).

By adopting the FHA, the steady-state model of the SS-compensated system is obtained as:

$$\begin{cases} \tilde{U}_p = R_p \tilde{I}_p + j\omega M \tilde{I}_s \\ \tilde{U}_s = j\omega M \tilde{I}_p + R_s \tilde{I}_s \end{cases} \tag{4}$$

Where $\tilde{U}_p$ and $\tilde{U}_s$ denote the phasors of the fundamental output voltages of the H-bridge converters on the primary and secondary sides, respectively, The phasor $\tilde{U}_p$ is taken as the reference ($\tilde{U}_p = U_p \angle 0°$) , while the phase angle of $\tilde{U}_s$ is θ, that is, $\tilde{U}_s = U_s \angle \theta$. Moreover, $\tilde{I}_p$ and $\tilde{I}_s$ represent the current phasor on the primary and secondary sides, separately:

$$\tilde{U}_p = \frac{2}{\pi\sqrt{2}} V_p \sin\left(\frac{\alpha}{2}\right) \angle 0° \tag{5}$$

$$\tilde{U}_s = \frac{2}{\pi\sqrt{2}} V_s \sin\left(\frac{\beta}{2}\right) \angle \theta° \tag{6}$$

Solving Equation (4), the primary and secondary currents are:

$$\tilde{I}_p = \frac{R_s \tilde{U}_p - j\omega M \tilde{U}_s}{R_p R_s + (\omega M)^2} \tag{7}$$

$$\tilde{I}_s = \frac{R_p \tilde{U}_s - j\omega M \tilde{U}_p}{R_p R_s + (\omega M)^2} \tag{8}$$

The apparent power of the primary side converter is:

$$S_p = \tilde{U}_p \tilde{I}_p^* = P_p + jQ_p \tag{9}$$

Where P_p and Q_p are the active and reactive power generated by the primary converter and they are given by:

$$P_p = \mathrm{Re}(S_p) = \frac{R_s U_p^2 + \omega M U_p U_s sin(\theta)}{R_p R_s + (\omega M)^2} \tag{10}$$

$$Q_p = \mathrm{Im}(S_p) = \frac{\omega M U_p U_s \cos(\theta)}{\omega R_p R_s + (\omega M)^2} \tag{11}$$

The apparent power absorbed by the secondary side converter is expressed as:

$$S_s = \tilde{U}_s \tilde{I}_s^* = P_s + jQ_s \tag{12}$$

Where P_s and Q_s denote the active and reactive power produced by the secondary side converter and they are given by:

$$P_s = \mathrm{Re}(S_s) = \frac{R_p U_s^2 - \omega M U_p U_s sin(\theta)}{R_p R_s + (\omega M)^2} \tag{13}$$

$$Q_s = \mathrm{Im}(S_s) = -\frac{\omega M U_p U_s \cos(\theta)}{\omega R_p R_s + (\omega M)^2} \tag{14}$$

As such, substitution of Equation (5) and Equation (6) to Equations (9)-(14) and by neglecting resistive terms results in:

$$P_p = \frac{8}{\omega M \pi^2} V_p V_s \sin\left(\frac{\varphi_p}{2}\right) \sin\left(\frac{\varphi_s}{2}\right) \sin(\theta) \tag{15}$$

$$Q_p = \frac{8}{\omega M \pi^2} V_p V_s \sin\left(\frac{\varphi_p}{2}\right) \sin\left(\frac{\varphi_s}{2}\right) \cos(\theta) \tag{16}$$

$$P_s = -\frac{8}{\omega M \pi^2} V_p V_s \sin\left(\frac{\varphi_p}{2}\right) \sin\left(\frac{\varphi_s}{2}\right) \sin(\theta) \tag{17}$$

$$Q_s = -\frac{8}{\omega M \pi^2} V_p V_s \sin\left(\frac{\varphi_p}{2}\right) \sin\left(\frac{\varphi_s}{2}\right) \cos(\theta) \tag{18}$$

To describe the power flow at the pickup side, the power phase angle is expressed as:

$$\theta_{Power} = \arccos\left(\frac{P_s}{\sqrt{P_s^2 + Q_s^2}}\right) \tag{19}$$

$$\theta_{Power} = \arccos[-\sin(\theta)] \tag{20}$$

From Equation (15) and Equation (17), it follows that when $\theta \in [-\pi, 0]$, with $P_p < 0$ and $P_s > 0$, the primary-side voltage lags the secondary-side voltage, thus enabling power flow from the secondary side back to the primary side.

Conversely, in cases where $\theta \in [0, \pi]$, with $P_s < 0$ and $P_p > 0$, the primary-side voltage leads the secondary-side voltage, and power flows from the primary to the secondary side. When $\theta = -/+ 90°$ (which is consistent with a power angle θ_{Power} of 0° or 180°, respectively), from Equation (16) and Equation (18), the output reactive power of the primary and secondary converters becomes zero, while the active power attains its maximum value.

III. THE SYNCHRONIZATION TECHNIQUE CONTROL

In the BD-WPT system, a PQ-based controller is adopted for the secondary side to regulate power transfer by processing the measured voltage and current to compute the power flow and the relative phase angle between the primary and secondary voltages $\widetilde{U}_p$ and $\widetilde{U}_s$ (Figure 5). The control scheme consists of two coordinated loops: one for synchronizing the converters and controlling the direction of power flow, and another for regulating the transferred active power. A VCO aligns the pickup switching frequency by minimizing the difference between the calculated power phase angle and its reference $\theta_{\text{P_ref}}$, with the error corrected through a PI controller to adjust the relative phase angle θ. In parallel, the measured active power is compared with its reference P_{ref}, and the error is processed by an independent PI regulator to generate a variable φ_s for amplitude modulation, enabling decoupled control of power direction and magnitude [11].

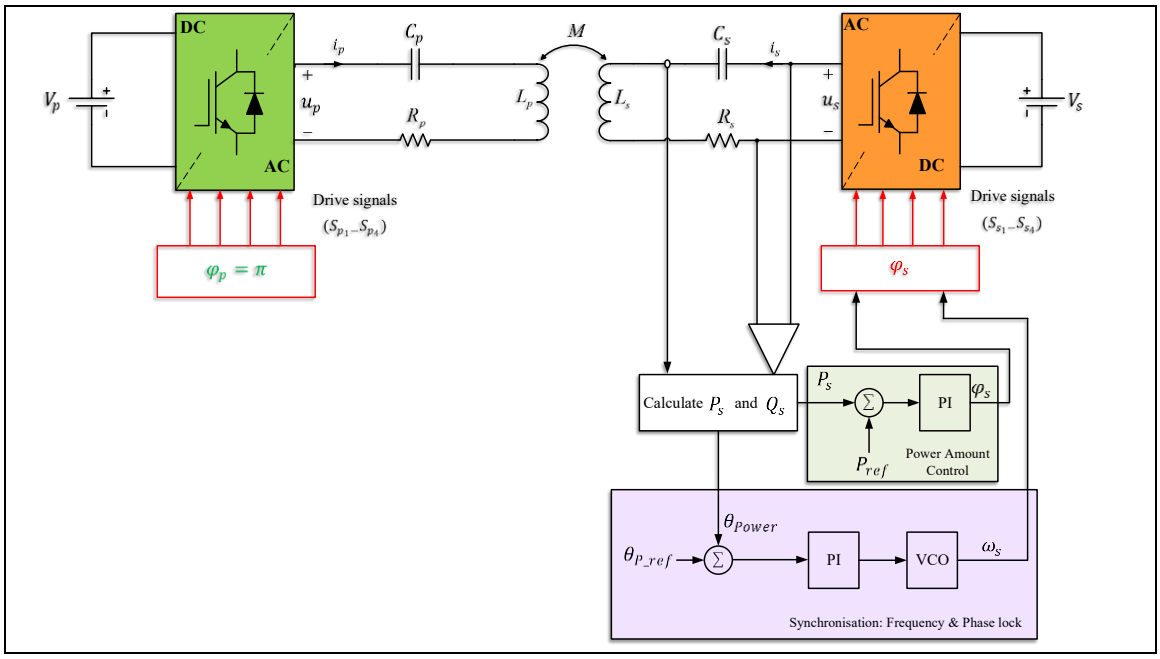
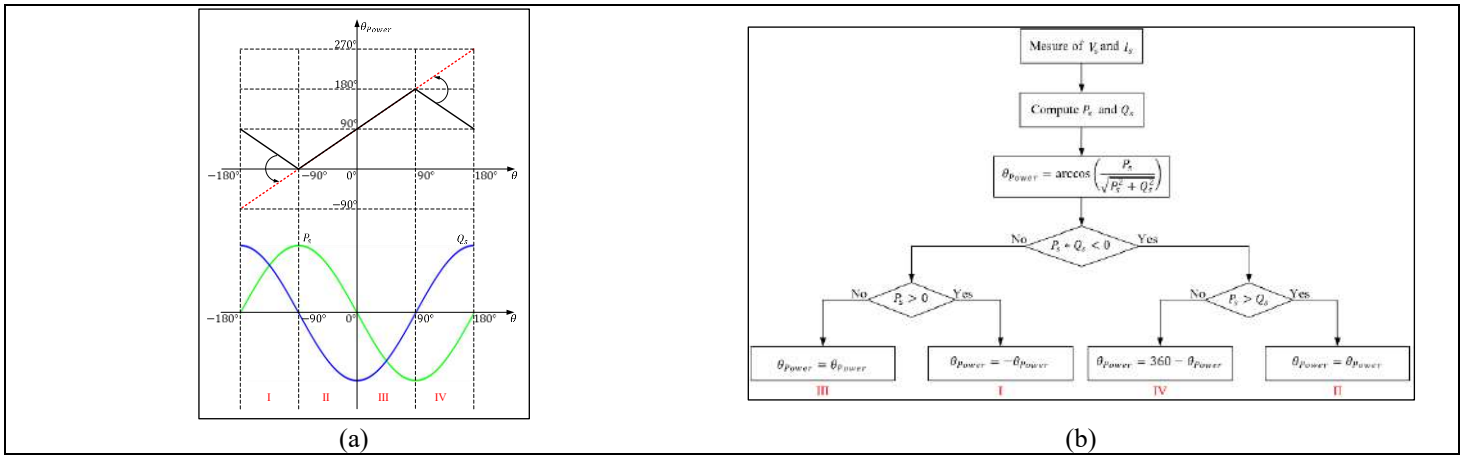


Figure 5: Synchronization and transferring power amount control technique.
Source: Authors, (2026).

Since the synchronization loop relies on the accuracy of the calculated power phase angle, a correction algorithm (Figure 6) is introduced to eliminate ambiguity caused by the non-monotonic behavior θ_{Power}, ensuring a continuous and robust mapping between the estimated and actual relative phase angle.



(a) (b)

Figure 6: (a) Power and phase angle characteristics. (b) Correction algorithm.
Source: Authors, (2026).

In Figure 6(a), the solid curves illustrate the active and reactive powers obtained from Equations (17)–(18), together with the power phase angle from Equation (19), plotted as functions of the relative phase angle θ under resonant operation. It can be observed that θ_{Power} increases monotonically in Regions II and III, but shows a decreasing trend in Regions I and IV as θ varies from $-180°$ to $180°$.

To eliminate this discontinuity, the correction procedure shown in Figure 6(b) is applied, which modifies the values of θ_{Power} in Regions III and IV to establish a continuous mapping between θ_{Power} and θ.

IV. SIMULATION RESULTS AND DISCUSSIONS

In order to validate the effectiveness of the adopted PQ-based control strategy for BD-WPT, different test scenarios were conducted to demonstrate both synchronization performance and power regulation capability using MATLAB software, considering the defined system parameters listed in Table 1. These parameters comply with the SAE J2954 standards. As specified in the SAE technical information report J2954, WPT systems should operate within the frequency range of 81.39–90 kHz. Furthermore, SAE J2954 categorizes wireless power transfer systems into four power levels: 3.7 kW, 7.7 kW, 11 kW, and 22 kW [12], [18]. The simulation setup adheres to the SAE J2954 WPT standards while remaining consistent with the lithium-ion battery voltage range (300–600 V) typically used in EVs.

Table 1: System parameters.

Parameter	Symbol	Nominal Value
Power output level	P_o	$7.7\ kW$
Input DC voltage	V_{in}	$240\ V$
Switching frequency	f_s	$85\ kHz$
Primary side compensation capacitance	C_p	$93.045\ nF$
Primary side self-inductance	L_p	$37.68\ \mu H$
Primary side ESR	R_p	$0.01\ \Omega$
Secondary side compensation capacitance	C_s	$64.87\ nF$
Secondary side self-inductance	L_s	$54.04\ \mu H$
Secondary side ESR	R_s	$0.01\ \Omega$
Mutual inductance of the coupled coils	M	$9.025\ \mu H$
Output Filter capacitor	C_o	$220\ \mu F$
Load resistance	R_o	$20.78\ \Omega$

Source: Authors, (2026).

Figure 7(a) illustrates the time-domain waveforms during maximum power transfer from the transmitter to the receiver side. The synchronization system operates by detecting the active and reactive powers, followed by adjusting the delay and duty cycle of the pickup control signals. By means of a VCO controller, the power phase is tracked to maintain a fixed 90° phase difference between the primary and secondary voltages. Consequently, the transferred power initially oscillates but eventually stabilizes at the reference value, while the pickup voltage locks in phase with the primary voltage and both active and reactive powers reach steady-state conditions.

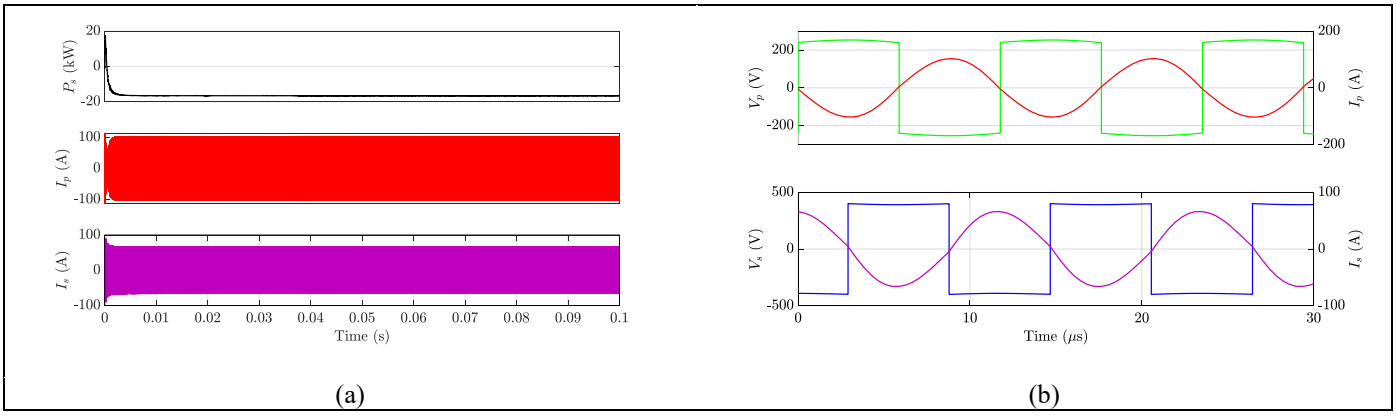


Figure 7: Waveforms under forward maximum power transfer: (a) active power and current profiles.
Source: Authors, (2026).

From Figure 7(b) the primary inverter voltage u_p (fixed square wave) leads the secondary inverter voltage u_s (which also exhibits a square shape under maximum power transfer conditions, where the secondary phase modulation φ_s reaches its maximum value of 180°) by 90°, this corresponds to maximum forward power transfer under resonant conditions, validating the PQ-based controller in achieving synchronization and stable operation in G2V mode. Figure 8(a) shows the transient response of active power and current profiles during the reversal of power transfer from forward (G2V) to reverse (V2G).

Furthermore, Figure 8(b)-(c) illustrates the voltage and current waveforms when 7.7 kW is delivered to the secondary side and when it is delivered back to the primary side. The transition is achieved by adjusting the relative phase angle between the primary and secondary voltages from $+90°$ to $-90°$. During this process, the controller successfully regulates synchronization, and the current profiles

adapt without significant distortion. In forward power flow (Figure 8(b)), V_p leads V_s by 90°, while in reverse power flow (Figure 8(c)), V_s leads V_p by 90°, confirming bidirectional capability.

Importantly, the magnitude of the voltages and currents remains similar in both directions, showing that the controller maintains symmetrical performance for G2V and V2G operation. This result demonstrates the PQ-based controller's effectiveness in enabling smooth bidirectional transitions without destabilizing the system.

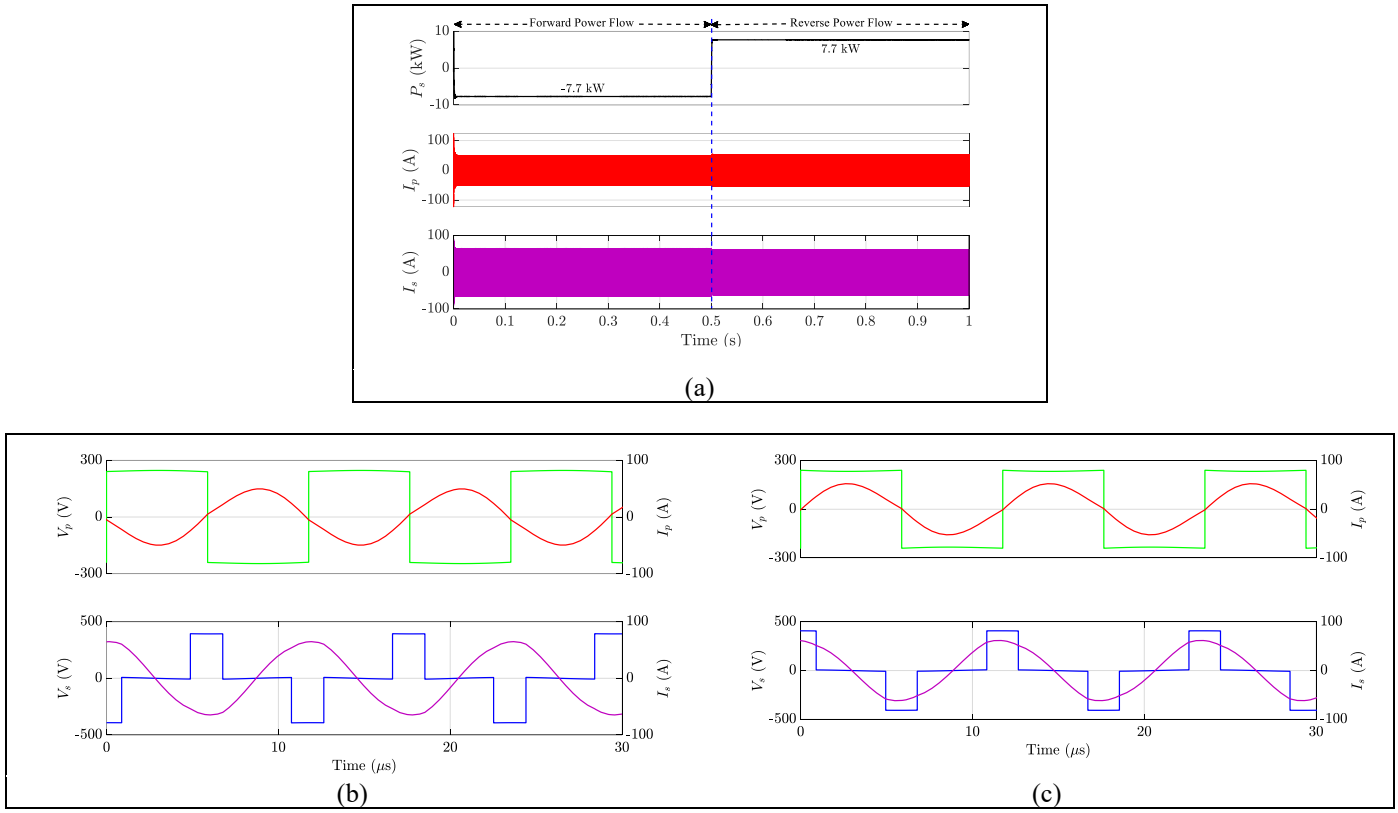
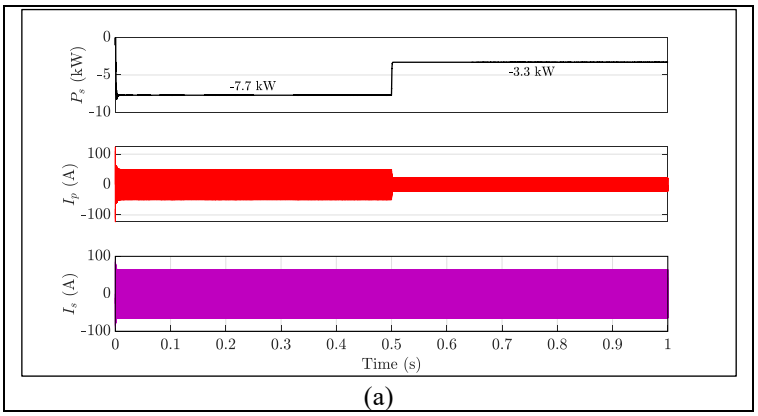


Figure 8: Waveforms during reversal of power transfer direction: (a) active power and current profiles, enlarged view of voltage and current waveforms: (b) under forward flow (c) under reverse flow.
Source: Authors, (2026).

Figure 9(a) shows the active power and current profiles when the reference power is reduced from –7.7 kW to –3.3 kW at 0.5 s. Figure 9(b) and 9(c) illustrate the corresponding voltage and current waveforms for each operating point. The controller adjusts the duty cycle of the secondary voltage V_s to match the new power reference. The results confirm that the PQ-based strategy can decouple power regulation from synchronization, since synchronization remains locked while the amplitude of transferred power is varied. The transient is smooth, and the system quickly stabilizes at the new reference power level, demonstrating the controller's robustness. These results indicate that the PQ-based approach enables accurate power regulation while maintaining phase synchronization.



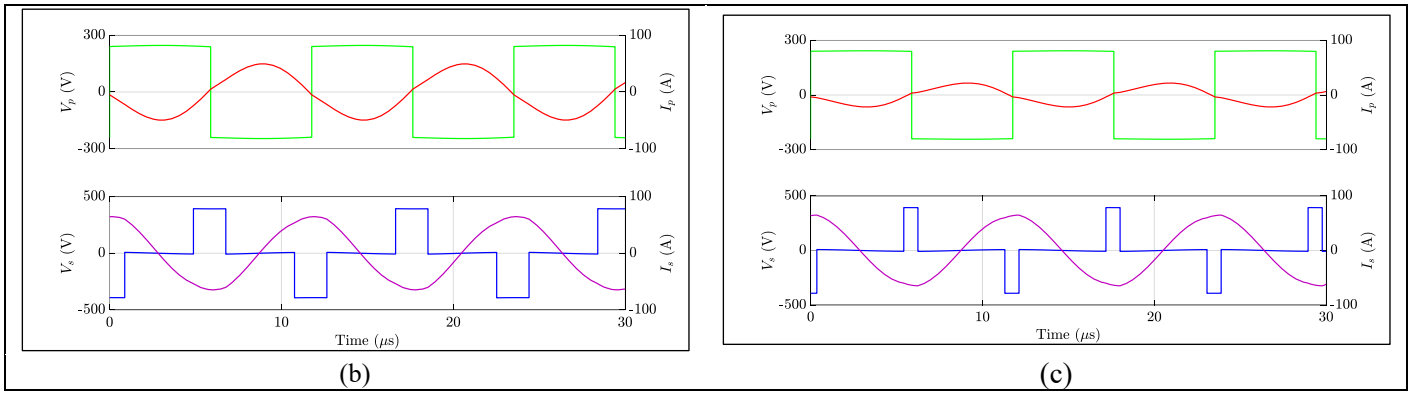


Figure 9: Waveforms during the power transition from $-7.7\ kW$ to $-3.3\ kW$: (a) active power and current profiles, enlarged view of voltage and current waveforms: (b) when transmitting $-7.7\ kW$ (c) when transmitting $-3.3\ kW$.
Source: Authors, (2026).

When the secondary resonant capacitor C_s is increased from its designed value of $64.87\ nF$ to $74.67\ nF$, the system operates under a detuned condition that alters the resonance balance between the primary and secondary circuits, and the resonance condition is no longer satisfied at the operating frequency of $85\ kHz$.

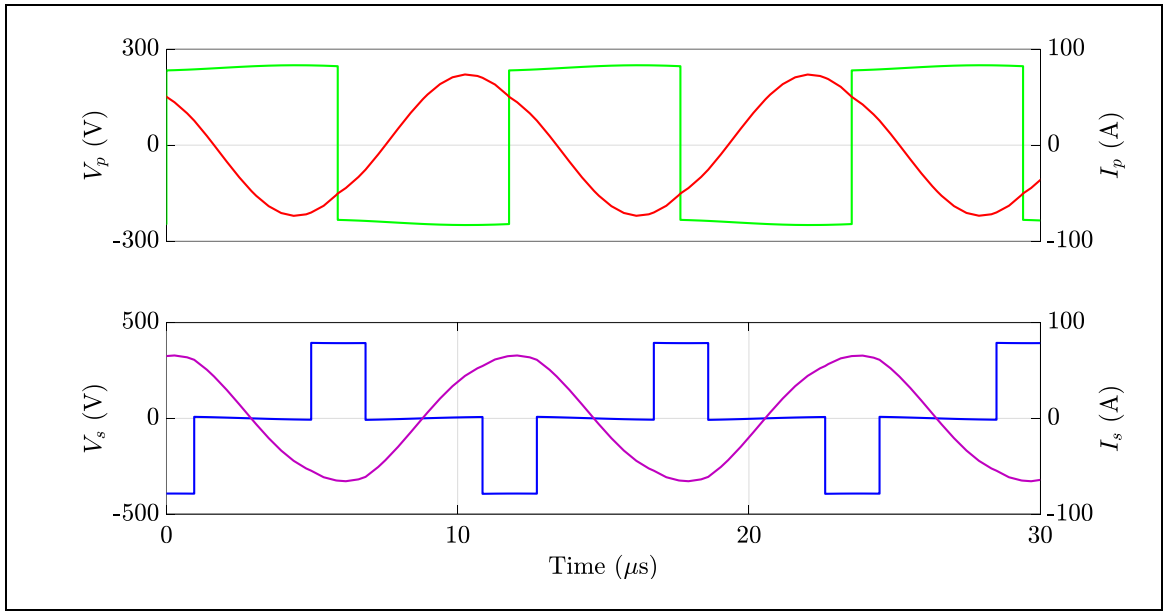


Figure 10: Voltage and current characteristics under detuned resonance.
Source: Authors, (2026).

As shown in Figure 10, this detuning mainly manifests on the primary side: the primary current I_p exhibits a clear phase displacement relative to the primary voltage V_p. In contrast, the secondary current I_s remains aligned with the secondary voltage V_s (but with negative polarity), indicating that the local resonance on the secondary side is preserved with respect to its driving voltage. This phenomenon occurs because variations in C_s modify the reflected impedance seen by the primary, thereby shifting the phase relationship between V_p and I_p and influencing the overall power flow.

Such detuning conditions emphasize the importance of the PQ-based synchronization control strategy, which decouples active and reactive power regulation. By accurately synchronizing the converter operation and controlling the power components, the PQ method enables the system to deliver the desired active power while keeping the reactive power at a minimum, even when parameter mismatches or resonance deviations occur.

To evaluate the robustness of the proposed PQ-based synchronization control, Figure 11 presents the primary and secondary voltage and current waveforms under a misalignment condition. The lateral displacement between the transmitting and receiving coils is modeled as a reduction in the coupling coefficient from 0.2 to 0.1, while maintaining a transferred power of 7.7 kW to the secondary side. Despite the weakened magnetic coupling, the controller successfully regulates active and reactive power by reducing the magnitude of the secondary voltage V_s. This confirms the capability of the PQ-based control strategy to sustain reliable power transfer and minimize reactive components even under significant coupling variations.

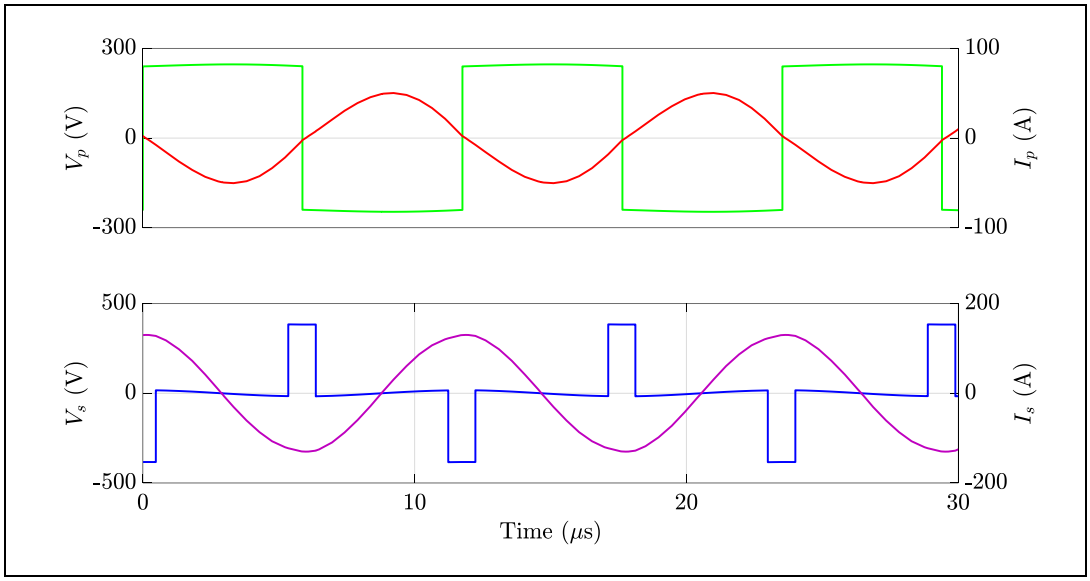


Figure 11: Voltage and current waveforms under coil misalignment.
Source: Authors, (2026).

V. CONCLUSIONS

This work presented a PQ-based synchronization and control strategy for BD-WPT systems, applied to a 7.7 kW SS-compensated charger. By utilizing only local measurements of active and reactive power, the method eliminates communication requirements, thereby reducing system cost and complexity. The adoption of a VCO-based feedback loop ensures robust synchronization while enabling independent regulation of power direction and magnitude. Simulation results verified the controller's effectiveness under various scenarios, including forward and reverse power transfer, dynamic reference tracking, resonance detuning, and coil misalignment. The results confirm that the proposed PQ-based approach provides accurate, stable, and symmetric performance in both G2V and V2G modes. Future work will focus on experimental validation and extending the method to higher power levels and multi-vehicle charging scenarios, further advancing the deployment of BD-WPT systems in smart grid applications.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.
Methodology: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.
Investigation: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.
Discussion of results: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.
Writing – Original Draft: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.
Writing – Review and Editing: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.
Resources: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.
Supervision: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.
Approval of the final text: Abdelmoumin Hamrani, Abdelhalim Tlemçani and Said Barkat.

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RESEARCH ARTICLE OPEN ACCESS

NUMERICAL STUDY ON THE INFLUENCE OF SURFACE MODIFICATION ENHANCING THERMAL PERFORMANCE AND OPTIMIZATION IN MICROCHANNEL HEAT EXCHANGERS

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ABSTRACT

Numerical investigations on the thermal performance of microchannel heat sinks featuring pin-fin surface modifications have been performed using Computational Fluid Dynamics (CFD) simulations. The simulations have been carried out to assess the flow and heat transfer behavior across 55 distinct microchannel configurations with varying pin fin heights with water as the coolant medium. The performance of pin-fin-enabled microchannels was compared against conventional flat microchannel to quantify the enhancement effects. Two fin heights (40 µm and 60 µm) were examined in laminar flow regime across Reynolds numbers ranging from 500 to 2000. Results indicate that the integration of pin fins significantly improves thermal response by amplifying heat transfer surface area and inducing localized flow disturbances. The channel configuration with 60 µm fin height demonstrated optimal performance, achieving a notable increase in the Nusselt number and overall heat transfer efficiency. These findings suggest that surface modifications through pin fins, even with water as a base fluid, can substantially enhance the thermal capability of microchannel heat exchangers and are suitable for compact, high-performance cooling applications.

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I. INTRODUCTION

The electronic industry has witnessed a progressive rise in the demand of portable electronic systems and MEMS in the recent decades. The ancient cooling systems lack in high performance and effective thermal management solutions become incapable to meet such surging demands. Accordingly, Microchannel Heat Sinks (MCHs) has evolved as a potential solution for high heat flux dissipation with a compact size scale advantage. The MCHs basically creates higher surface area to volume ratio and possibly produced fluid mixing inside the channels. There has been constant research to improve the heat transfer enhancement of MCHs. The addition of pin fins in the heat transferring surface of MCHs has been one of the attractive modifications in this direction.

Pin fins serve to increase the surface-to-volume ratio, hinder the thermal and velocity boundary layers and elevate fluid mixing. In the early phase of microchannel research, Tuckerman and Pease introduced MCHs as a promising technique for dissipating heat from microelectromechanical systems (MEMS). In the subsequent years researchers explored various MCHs geometries to optimize heat transfer performance to improve cooling efficiency [1]. Jyoti Singh and R.P. Sugavaneshwar studied the effectiveness of pin fins in MCHs and reported that optimal fin configurations can achieve up to 50% higher Nusselt numbers compared to conventional designs. This study provides critical insights design of pin fin enabled micro channels [2].

Compared the thermal performance of mini- and microchannels under identical working conditions and demonstrated that pin-fin microchannels (PF-MCs) exhibit superior hydrothermal performance relative to conventional microchannels (CMCs). Their findings emphasized the need for optimizing geometric configurations to balance heat transfer enhancement and flow resistance [3]. Haridas, D. and C.B. Sobhan investigated convective heat transfer in mini-channels using digital interferometric techniques and reported localized thermal gradients across the channel. Their results showed that flow conditions and channel dimensions significantly influence heat transfer performance [4].

Demonstrated that an increase in the number of channels, cross-sectional area and hydraulic diameter in microchannel heat sinks significantly enhances thermal performance. Surface temperature dropped from 361 K in a basic rectangular model to 324 K in the 11-channel design configuration marking a 188% improvement over the basic configuration [5]. Further experimental work by Haridas et al. on wavy microchannels revealed that surface modifications could enhance thermal transfer due to surface area and secondary flow effects under laminar conditions [6]. Numerical Simulations performed by N.B. Sukhor et al. on micro-pin fin heat sinks using water as the base fluid confirmed the effectiveness of structural modifications in boosting thermal performance [7].

Hasan and Muter numerically heat sinks with different fin geometries and coolants. The results emphasized significant heat transfer enhancements can achieved using conventional coolants like water with optimized geometries [8]. |Used CFD and machine learning to analyze flow behaviour and heat transfer in MCHs with pin fins embedded in the channel. The simulations predicts improved heat transfer with increasing flow speed while wider spacing between fins reduces both heat transfer and pressure drop. This study also emphasized the potential of Neural Network algorithms combined with CFD for better channel optimization [9]. Introduces an adaptive pin-fin microchannel (A-MCHS) with phase-change fins that shrink above 313.15 K enabling intelligent flow regulation at hotspot regions.

Compared to fixed pin-fin designs, A-MCHS improves local heat transfer by 37.9%, and enhances average Nusselt number by 7.4%. It also reduces pressure drop by 10.7% demonstrating efficient, self-regulating cooling and energy savings for high heat flux applications [10]. Showed that a V-shaped rib angle of 35° significantly enhances thermal performance with a Nusselt number of 13.81 at Re-300 compared to 8.12 at 90° [11]. Tomar, P., & Kumar, demonstrated that diamond-shaped pin fin with a height of 2.5 mm improve heat transfer 5 times and thermal performance by 340% compared to smooth channels. Optimal performance occurs at a fin height of 2.5 mm with Reynolds numbers ranging from 1500 to 4000 [12]. Inserted pillars into MCHs to stimulate heat transfer by four times with the highest Nusselt number achieved in configuration P75 configuration [13].

Found that smaller taper angles (15°) is very efficient at low Re while large taper angles (30°) excel at higher Re for enhancing heat transfer. The optimal taper angle of 30° achieved the highest THPP of 1.77 underscoring the need to balance thermal and hydraulic efficiency for MHS designs [14]. Proposed adaptive pin-fins microchannel (A-MCHS) to improve thermal performance by 37.9% in hotspot regions. The configuration increases average Nusselt number by 7.4%, and reduces the maximum chip surface temperature by 3.12 K. It also decreases pressure drop by 10.7% offering enhanced cooling and energy savings for high heat flux electronic chips [15]. Ali, N., et al., showed that semi-elliptical pin-fins (SEPFs) enhance heat transfer efficiency in MCHs with a maximum THPP of 1.41 for an aspect ratio of 1.0 at a Reynolds number of 300.

However, flow disturbances increase pressure drop and the minimum THPP value occurs for SEPF with $\Psi = 0.36$ at $Re = 900$ [16]. Alnaimat, F.,et al., found that incorporating square-shaped fins in microchannel heat sinks improves thermal performance by reducing thermal resistance. Optimizing fin size, space and channel size can enhance thermal efficiency with smaller fins, reduced spacing and certain channel configurations providing higher Figures of Merit (FOM) by balancing heat transfer enhancement with pressure drop [17]. Ehsani, H., et al., discovered that perforated pin fin systems (especially those with three square holes) enhance thermal efficiency by 16.63% compared to non-perforated pin fins. AIML enabled CFD analysis effectively predicts thermal performance with a low mean absolute error of 2.25%.

This study pay way for future of CFD simulations assisted by artificial intelligence and machine learning methods for improved accuracy and effective computational cost [18]. Lee, Y. J., & Kim, S. J., showed that the Manifold Microchannel (MMC) with fins improves thermal-hydraulic performance by reducing thermal resistance by 40% and consequently increasing the heat transfer coefficient by 20%. The system performs with a 5 fold increase in Coefficient of Performance (COP) at a flow rate of 300 ml/min for heat fluxes up to 1.2 kW/cm² [19]. Muhammad Anas Wazir., et al., revealed that the MC-Mixed pin fin configuration enhances convective heat transfer by 50% at $Re = 1000$ and achieves the highest TPF ($\eta = 1.4$) at $Re = 600$. Geometric optimization using Response Surface Methodology (RSM) provides optimal pin dimensions for both base wall and mixed configurations [20].

Fluid flow and heat dissipation were examined by A. Kumar., et al using the finite volume method in conjunction with computational fluid dynamics and heat transfer theory [21]. A. Fetuga., et al and O. T. Olakoyejo., et al examined the combined effects of advanced working fluids and optimised heat sink configurations can enhance heat transfer in thermal management systems, improving thermal-hydraulic performance and reducing entropy generation [22], [23]. Extending prior studies the authors analyze the impact of pin-fin height on velocity fields and its interaction with the thermal transport characteristics in a water-cooled microchannel heat exchanger. The study primarily focused on the role of physical geometry modifications on hydro-thermal performance of the system. Simulations are conducted across Reynolds numbers ranging from $Re = 500–2000$ all lies within the laminar flow regime.

The microchannel heat sinks were designed with copper walls and has dimensions of 600 µm in length, 265 in µm width and 62 in µm height concentrating to a hydraulic diameter of 100 µm. A constant heat flux of 100 W is applied to the heated surface with a coolant flow at constant inlet temperature of 300 K. The flow conditions are maintained under forward-biased. Pin fins are introduced to the microchannel to improve the performance and to create hindrance in the thermal boundary layers by forced convection. The analysis is performed for about four distinct Reynolds numbers from 500 to 2000 to study the laminar flow regimes and establish the correlations of velocity, temperature, pressure drop and convective heat transfer mechanism. By isolating the influence of geometric parameters, the study contributes to optimizing microchannel heat sink designs for reliable and efficient cooling applications. The findings of this study provide new insights into how pin-fin geometry and induced flow structures govern heat transfer enhancement in water-cooled microchannels.

These insights enable a systematic optimization of microchannel geometry and operating conditions to balance thermal efficiency and performance factors, offering practical design guidance for MEMS-based thermal management systems. By enhancing the thermal efficiency and design innovation of microchannel heat exchangers, this work aligns with SDG 7 (Affordable and Clean Energy) and SDG 9 (Industry, Innovation and Infrastructure).

II. MODELLING AND SETUP

II.1 COMPUTATIONAL MODELLING

II.1.1 Geometric Model:

The presented numerical simulation has been performed for two variations of microchannel heat sink geometries to investigate the functional ability of the pin fins on heat transfer and fluid flow behavior: The first geometry is a MCHs without any surface modifications (Fig 1 a) whereas the second geometry has been designed as a MCHs with pin fin enabled heating surface (Fig 1 c). The MCHs without pin fins is considered as the reference channel for comparison of thermal efficiency. Both the MCHs are constructed with a rectangular cross section as depicted in Figure 1 a.



Figure 1a: Computational Domain.
Source: Authors, (2026).

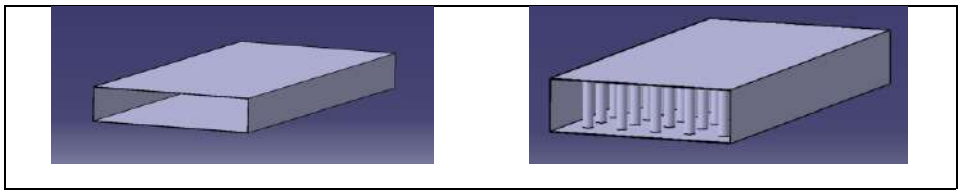


Figure 1b: Plain Channel.
Source: Authors, (2026)

Figure 1c: Channel with Pinfins.
Source: Authors, (2026)

The MCHs with pin fins has designed with 55 uniformly placed circular fins on the bottom heated plate of the channel. Pin fins are indulged in the geometry to promote fluid mixing and to enhance heat dissipation. Moreover, fin heights are altered to check the difference in the resulting heat transport. These geometrical design parameters will allow to establish the correlation with design parameter and flow mixing with in the channel. The design dimensions of the channel and the boundary conditions adopted for the simulation are summarized in Table 1.

Table 1: Geometrical Specifications of the Microchannel.

Symbols	Dimensional values (µm)
L_{ch}	600
W_{ch}	265
H_{ch}	62
d_p	15
S_p	50
h_p	60, 40
N_p	55
Heat Flux q	100 W/m2
Inlet Temperature	300K
Outlet Pressure	0 Pas

Source: Authors, (2026).

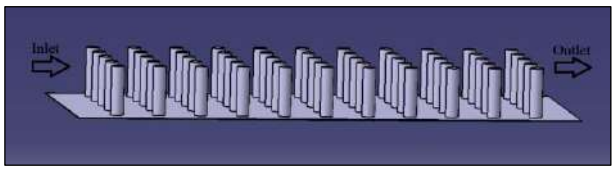


Figure 2: Pin fin arrangement on Heat Plate.
Source: Authors, (2026)

The total heat plate area is approximately 55 mm^2. The spacing between the fins (Sp), the diameter of the fins (dp) remains constant throughout the simulation. The height of the fin (hp) is varied for two different fin heights. The geometry and the entire simulation is performed with the use of a commercial software ANSYS Fluent. Figure 2 shows the top view of the pin fin arrangement.

II.1.2 Computational Modelling:

The simulation has been performed for steady state conditions by using pressure-based analysis. The entire analysis is performed in laminar regime. This model allows to predict the flow characteristics and omit the complications caused in the turbulence regime. The boundary conditions for this analysis are framed with the velocity as inlet and the pressure as outlet. The post processing part consists of the solver settings which are set to the Finite Volume Method, SIMPLEC method and the second order upwind methods. The fundamental equations are solved to the residual range below 10-6 .

This means that the Navier-Stokes equations are solved till they reach a stable value. The boundary layer is assumed with no slip condition and a heat flux of about 100 W/m2 is subjected to the bottom plate of the channel. The inlet temperature is set to 300K and the pressure at the outlet is 0 Pascal. Water is chosen as a working fluid with a density of 1000 kg/m3. To ensure differentiation between the channel walls and the heat plate behavior based on its thermal properties, the materials are differentiated. The channel walls are made of Aluminium and the heat plate is of Copper. The physical properties of the materials used in the computation has been mentioned in the Table 2.

Table 2: Properties of the Materials.

Material Properties	Copper	Water
Density [ρ] (kg/m3)	8978	998
Dynamic Viscosity [μ] (kg/ m/ sec)	-	0.00103
Specific Heat Capacity [Cp] (J/ Kg/ K)	386	4184
Thermal Conductivity [K] (W/ m/ K)	387.6	0.6

Source: Authors, (2026).

II.1.3 Mesh Independence Study

The mesh independence study is the crucial section of the CFD simulation process which entails in finding the most favorable mesh size for the efficient heat transfer analysis. The mesh size has been characterized by analyzing three different meshes: Course, Reference and Fine mesh. The mesh quality straightforwardly influences the fundamental equations and mostly around the inflated regions of the pins. The study is made to frame out the precise results and simultaneously constrain the computational time and cost. The study parametric are same for all the three comparative mesh sizes (Fig 3a-c).

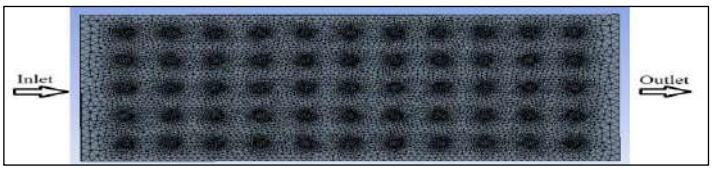


Figure 3a: Reference Mesh.
Source: Authors, (2026)

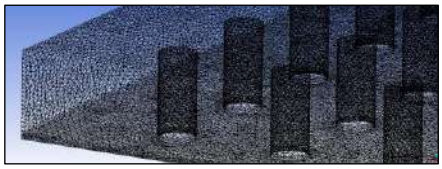


Figure 3b: Fine Mesh.
Source: Authors, (2026)

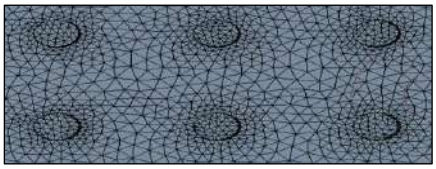


Figure 3c: Coarse Mesh.
Source: Authors, (2026)

These illustrations give the utmost reliable mesh value which compromises all the requirements of an effective heat transfer system. The reference mesh is chosen for the next stage simulations as it accommodates both accuracy and computational benefits. The fine mesh gives more accuracy however fails in the computational aspect. The coarse mesh satisfies the computational time and cost but the accuracy of the results is been compromised. So the reference mesh is taken as the optimal mesh size for this study (refer Table 3)

Table 3: Mesh types and Its findings.

S.No	Type of Grid	No: of elements	Computational time (hrs.)	Friction factor deviation (Δf)
1	Reference	2.625 x 106	3.80	2.25%
2	Fine	3.167 x 106	5.35	1.825%
3	Coarse	1.889 x 106	1.46	4.35%

Source: Authors, (2026).

The table also gives the reason for choosing the reference mesh, as it takes the convergence factor as the friction factor for additional calculation of the mesh size. The deviation in the friction factor, the computational time, the number of elements is the criteria taken into consideration.

III. METHODOLOGY

III.1 COMPUTATIONAL METHODOLOGY

This study employs ANSYS Fluent 2022 R2 for all the simulations performed . The software enables the detailed analysis of solid–fluid interaction through a three-dimensional conjugate heat transfer model. This coupling allows for an accurate representation of heat conduction within the solid domain (channel walls and pin fins) and convection in the fluid domain (flowing water), thereby providing an in-depth note of the thermal behavior within the microchannel. The simulation is carried out under steady-state conditions, assuming a fully developed and laminar flow regime throughout the computational domain. The subsequent conditions are formed to simplify and accurately represent the conjugate heat transfer problem:

- The fluid (water) is considered incompressible and Newtonian, implying that its viscosity remains constant and density does not change significantly with pressure or temperature.
- The flow is steady, meaning that all physical properties such as velocity, temperature, and pressure are independent of time.
- As the heat transfer is driven by forced convection, the effects of natural convection, radiation, and gravitational forces are considered negligible and excluded from the analysis.
- The flow is assumed to be laminar across all Reynolds numbers investigated (500 to 2000), ensuring a smooth and orderly fluid motion throughout the channel.

These assumptions align with typical microchannel flow characteristics and ensure numerical stability while maintaining a high degree of physical accuracy.

III.2 MATHEMATICAL MODEL

The fundamental equations are:

Continuity Equation

To effectively ensure that mass is conserved in the fluid domain, Continuity equation is employed. This equation shows that mass within a certain volume remains constant and also implies that the minute changes in mass will directly relate to the boundary flows.

$$\nabla . \vec{u} = 0 \tag{1}$$

In the case of incompressible flows, when the density is constant, this equation relates the mass flow rate with velocity and the flow boundaries. This equation changes the approach towards the fluid behaviour and enhances the analysis.

Momentum Equation

This equation is basically rooted from the Newton's second law and it describes the relation and balance between pressure and viscous forces acting on the fluid.

$$\rho_l \, (\vec{u} \cdot \nabla \vec{u}) = -\nabla p + \mu_l \, \nabla^2 \vec{u} \tag{2}$$

This inertial term denotes the change in velocity with space due to the movement of the fluid. As a result, this equation describes the fluid dynamics under varying conditions.

Energy Equation (Liquid)

The energy equation plays an important role in governing both the convective and conductive heat transfer within the fluid domain.

$$\rho_l \, C_{pl} \, (\vec{u} \cdot \nabla \, T_l) = k_l \cdot \nabla^2 T \tag{3}$$

By this we can analyse the thermal energy of the fluid which is essential in optimizing the thermal behaviour

Energy Equation (Solid)

The energy equation in the solid region denotes the heat flow in the channel walls and the pin fins.

$$\nabla (k_s \cdot \nabla T_s) = 0 \tag{4}$$

In this region, the convective heat transfer is absent and it is completely governed by conduction.

III.3 PARAMETER EVALUATIONS

Hydraulic Diameter D_h:

In microscale systems like microchannel heat sinks, the hydraulic diameter replaces the conventional diameter to determine the flow behaviour, especially in non-circular cross sections.

$$D_h = \frac{4A}{2P}$$

$$D_h = \frac{4(W_{ch} \times H_{ch})}{2(W_{ch} + H_{ch})} \quad (5)$$

Reynolds Number Re:

The dimensionless number which determines the flow phase. It is the ratio of inertial and viscous forces.

$$Re = \frac{\rho_l u_l D_h}{\mu_l} \quad (6)$$

Heat Transfer Rate:

The rate of heat transfer between the walls of the channel and the fluid is calculated subsequently,

$$h = \frac{q}{T_w - T_f} \quad (7)$$

Nusselt Number Nu:

A dimensionless quantity which influences the thermal performance factor directly is the Nusselt number.

$$Nu = \frac{hD_h}{k} \quad (8)$$

Friction Factor f:

The friction factor is calculated due to the presence of the pin fins which cause resistance to the flow.

$$f = \frac{2D_h \Delta p}{L \rho u_{in}^2} \quad (9)$$

Thermal Performance Factor TPF:

TPF is the balance in the heat transport and Δp of the system.

$$TPF = \frac{Nu/Nu_o}{(f/f_o)^{1/3}} \quad (10)$$

If the TPF is > 1, then the system has a good heat transfer enhancement.

IV. RESULTS AND DISCUSSIONS

The following sessions presents a detailed discussion of the observations from the numerical simulations performed on a microchannel with pin fin enabled heated walls. The results are presented in the form of velocity and temperature variations along the channel's axial length, heat transport rates and Δp. The results discussed the possible explanations of the velocity streamline and thermal streamline distributions and the corresponding thermal characteristics.

IV.1 VELOCITY STREAMLINES

The evaluation of the velocity streamlines in the micro pin fin enabled channels offers significant insights into fluid flow and heat transfer performance in these surface modified MCHS. In the steady-state simulation carried out in this manuscript, the velocity appears uniform throughout the process and stays constant over time. A key factor in the velocity distribution is the channel's structural model; even with the same Reynolds number (Re), narrower passages produce higher velocities while wider sections display lower velocities. Furthermore, pin fins enhance heat transfer coefficients by changing the local velocity profile and positively contributing to the velocity range (Fig. 4a,b & 5a,b). Furthermore, the flow behaviour and flow rearrangements are strongly influenced by the pin height.

The simulations were conducted for two distinct fin heights, to investigate the flow manipulation over pin height (60 µm at Re 500 (Fig 4 a); Re 2000 (Fig 5 a) and 40 µm at Re 500 (Fig 4 b); Re 2000 (Fig 5 b)). Velocity vortices form around the pin fins due to the varying local velocities change the streamline nature of the inlet velocity. The flow separates across the fins, mainly affecting the surface flow towards the middle of the channel. Increased velocity occurs mostly around the fins due to redirection, and flow detachment happens near the fins, which operate as obstruction to the flow pattern. As the fin height rises, the SA available for fluid contact also increases, which instinctively improves heat transfer efficiency. Variations in fin height alter the flow pattern, creating vortices and splashes and promoting fluid mixing.

Enhanced fluid mixing leads to higher heat transfer rates, thereby increasing thermal performance. By positioning the ideal channel, the overall efficiency and TPF can be increased even though a higher fin height does cause a greater pressure drop (Fig. 4a). Higher fins are clearly correlated with higher velocity at the centre of the channel, as shown by the cross-sectional planar view. When the pin height is 60 µm instead of 40 µm, streamlines exhibit more vortices and reach higher velocities (Fig. 4) (Fig. 5). Additionally, it is observed that flow detachment and reattachment are more noticeable at the inlet section and drastically decrease as the flow approaches the outlet section. This phenomenon is common in both the pin heights. Thus, the evolution of velocity streamlines with different pin heights concludes that when the Re is high and the fin height is at maximum, the VBL redistribution also increases. This condition stimulates fluid mixing, resulting in enhanced heat transfer and better thermal performance along with pressure drop.

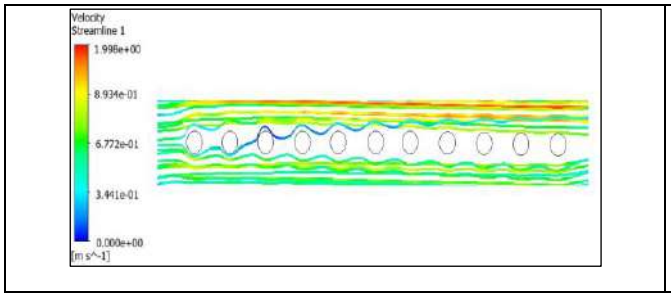


Figure 4a: Velocity streamlines on the microchannel with fin height of 60 µm at Re 500.
Source: Authors, (2026).

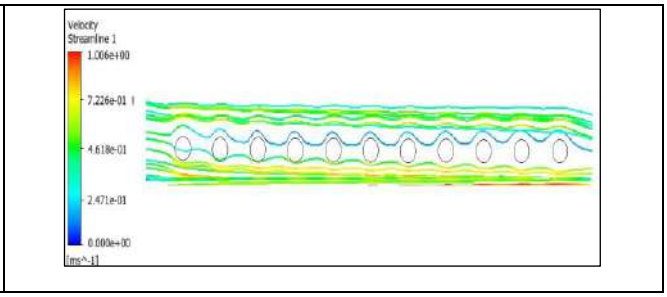


Figure 4b: Velocity streamlines on the channel with fin height of 40 µm at Re 500.
Source: Authors, (2026).

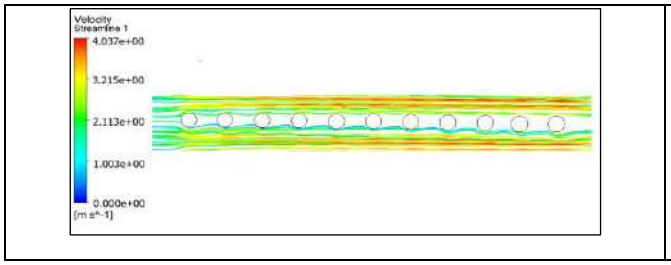


Figure 5a: Velocity streamlines on the microchannel with fin height of 60 µm at Re 2000.
Source: Authors, (2026).

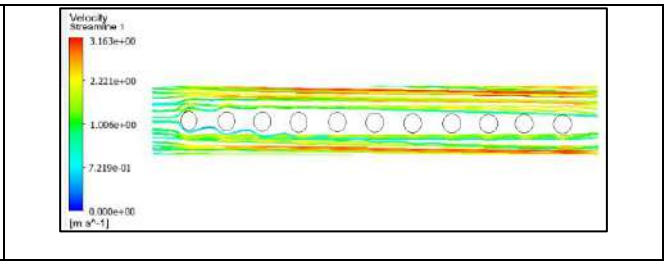


Figure 5b: Velocity streamlines on the microchannel with fin height of 40 µm at Re 2000.
Source: Authors, (2026).

At a Reynolds number of 2000, the velocity streamlines become more intense and complex due to increased inertial forces. With the 60 µm pin fins, the flow exhibits significant detachment and reattachment around the fins, creating flow mixing and high-velocity in the narrow gaps (Fig 5 a, b). The greater height of the fins increases blockage and enhances interaction with the fluid , leading to accelerated flow around the fins and improved fluid mixing, which contributes to better thermal performance. Instead, produces high pressure drop and makes it inefficient for a thermal system. In contrast, the 40 µm pin fins display relatively less intense streamline patterns when compared to fin 60 µm. The flow remains neither aligned nor distracted with the direction of the channel, and the disturbance caused by the fins is less pronounced. While this results in considerably high pressure drop, it also leads to reduced mixing and thermal enhancement. In both scenarios, flow disturbances are more prominent near the inlet and gradually stabilize toward the outlet. However, the taller fins (60 µm) with low Re (Fig 4a) induce stronger streamline evolution and create better heat transfer conditions.

IV.2 TEMPERATURE CONTOURS

The integration of fins within MCHS significantly enhances heat transportation productivity, as indicated in the higher temperature gradients observed along the channel length near the surface of the channel. The presence of fins not only modifies the flow dynamics but also directly contributes to improved thermal performance by increasing the efficient heat exchange surface area. Among the various fin design parameters, fin height serve a critical part in determining the thermal characteristics of the system. By increasing the surface area available for fluid contact, taller fins promote a steeper temperature gradient across the channel. This increase in the surface area-to-volume ratio is particularly beneficial in microchannel applications, where maximizing heat exchange within a limited space is essential.

Fin height variation has a direct impact on fluid flow behaviour, improving mixing and, as a result, thermal boundary layer distribution. This effect is particularly apparent at the outlet, where taller fins are associated with higher outlet temperatures (Fig. 7 & 9). The temperature contours make it easy to see how the TBL changes as the fluid travels downstream close to the outlet. The temperature gradients that have been observed, verify that the addition of fins considerably modifies the flow and temperature fields by encouraging the expansion of the TBL and increasing the total heat transfer rate. Furthermore, the height and arrangement of the fin have a significant effect on the thermal-fluidic performance of the system. A constant inlet fluid temperature of about 300 K is used at the start of the simulation.

As the working fluid travels through the channel, it absorbs heat from the heated base plate, causing a progressive temperature rise along the channel length. The interaction between the fluid and the pin fins facilitates greater heat absorption, resulting in noticeable temperature increases downstream. This interaction also leads to flow separation and detachment, which improves the temperature gradient due to induced mixing. As a result, the temperature distribution across the channel becomes more uniform, indicating effective convective heat transfer. A comparison between fins of 60 µm and 40 µm in height reveals that the taller fins (60 µm) disrupt and redirect the flow more effectively, leading to superior thermal performance (Fig 7 & 9).

These taller fins create more pronounced flow disturbances, contributing to a more uniform temperature field and enhancing overall heat dissipation. In contrast, the shorter fins (40 µm) allow the fluid to pass through with minimal disruption, resulting in reduced interaction and lower heat transfer rates (Fig 6 & 7). The findings of this study demonstrate that fins with an optimal height of 60 µm strike a balance sufficiently disturbing the flow constructively without causing excessive temperature peaks (Fig 7). This configuration creates a more uniform thermal field and efficient heat dissipation, making it a promising design for high-performance microchannel heat sinks.

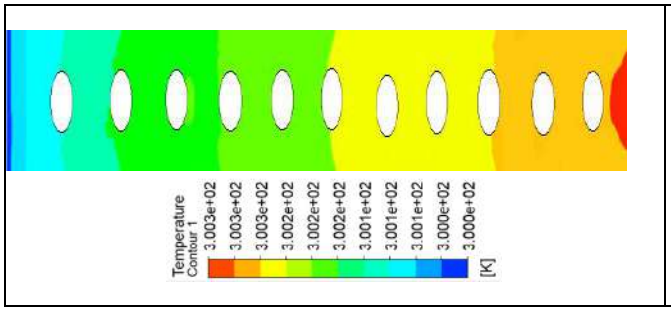


Figure 6: Temperature Profile on the channel with fin height of 40 µm at Re 500.
Source: Authors, (2026).

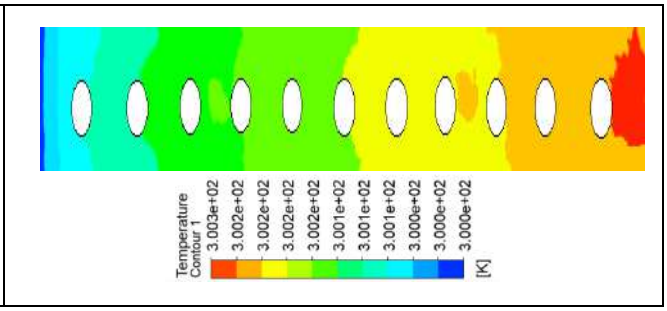


Figure 7: Temperature Profile on the channel with fin height of 60 µm at Re 500.
Source: Authors, (2026).

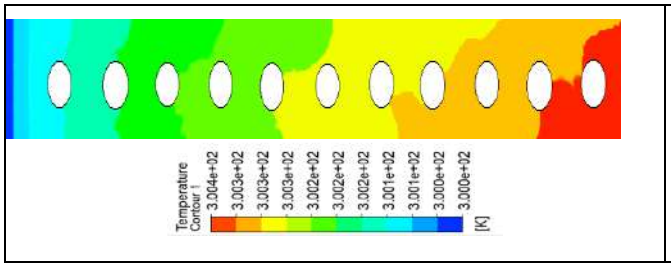


Figure 8: Temperature Profile on the channel with fin height of 60 µm at Re 500.
Source: Authors, (2026).

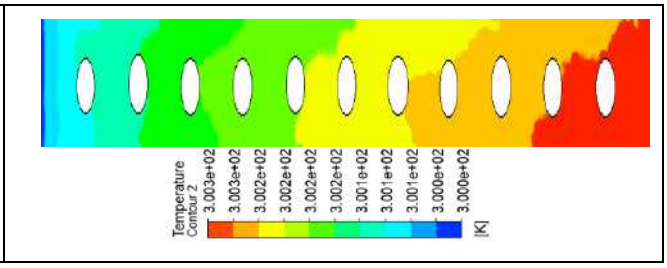


Figure 9: Temperature Profile on the channel with fin height of 60 µm at Re 2000.
Source: Authors, (2026).

IV.3 EFFECT OF PIN FINS ON BOUNDARY LAYER DISTRIBUTION

The incorporation of pin fins within microchannel configurations is essential for elevation of thermal performance of the system. One primary advantage of using fins is that significant improvement in the SA:V ratio available for heat exchange. By extending the solid-fluid interface, pin fins create additional pathways for heat to transfer from the channel walls to the working fluid. Furthermore, the presence of pin fins disrupts the smooth flow of fluid through the channel. This disruption alters the growth of the TBL, promoting greater convective heat transfer. As the fluid interacts with the fins, localized flow separation and reattachment occur, enhancing fluid agitation and mixing.

These changes in flow behavior contribute to improved thermal interaction between the fluid and the channel surfaces. Pin fins also play a critical role in achieving temperature uniformity within the channel. By enhancing fluid mixing, they help distribute the absorbed heat more evenly by reducing the formation of localized hot spots. This results in a more uniform temperature field along the channel, which is beneficial for both thermal management and the structural integrity of heat-sensitive systems. However, it is important to note that pin fins introduce resistance to flow. The obstruction they create leads to an increased pressure drop across the channel. While this can be seen as a drawback, it is usually accompanied by a simultaneous increase in heat transfer capability.

The greater the resistance and fluid interaction, the more heat is transferred to the fluid, resulting in improved thermal performance (Fig 10). It has also been seen from Fig 10 that the fins placed in the inlet section has better heat dissipation capacity as compared to the outlet section of the channel. There is a significantly temperature variation along the fin surface along the height of the pin as more fluid is in touch with the upper surface of the fin. In conclusion, pin fins positively contribute to the operation of microchannel heat sinks by increasing surface area, disrupting flow to enhance convective heat transfer, and promoting uniform temperature distribution. Despite the higher pressure drop they cause; the trade-off is justified by the significant improvement in heat dissipation.

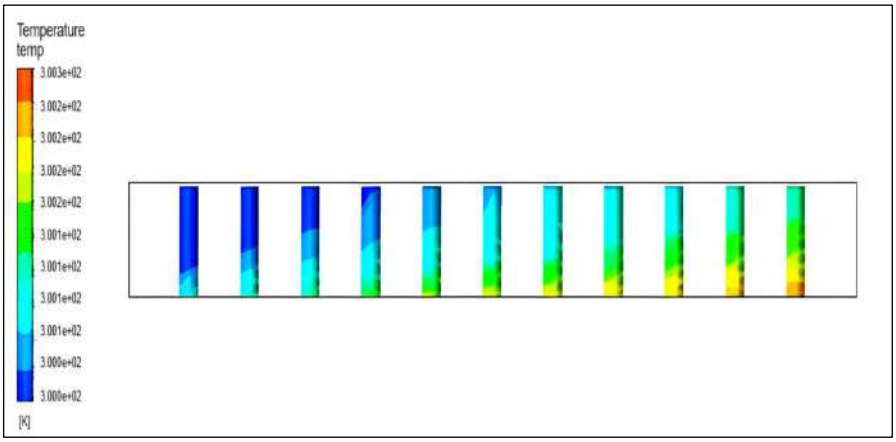


Figure 10: Effect of Temperature Distribution along the Fins.
Source: Authors, (2026).



Figure 11: Wall Shear-Induced Flow Diversion Around a Single Pin Fin at Varying Reynolds Numbers (a) 60 µm Re 2000; (b) 40µm Re-2000; (c) 60µm Re 500; (d) 40µm Re500.
Source: Authors, (2026).

The impact of wall shear forces on the flow diversion behaviour around a single pin fin under various geometric and flow conditions is shown in Figure 11. The intensity of the streamline colors highlights how changes in pin height and Reynolds number impact fluid deviation by revealing shear related velocity gradients. The flow is clearly strongly diverted and the pin fin is surrounded by dense streamlines that curve sharply. The obvious bending indicates a strong fluid to fin surface interaction and a high shear influence (Fig. 11 (a)). Despite a high Reynolds number, the reduced pin height leads to less pronounced deviation of the streamlines. The flow bypasses the shorter pin more easily, resulting in a comparatively weaker shear-induced diversion (Fig 11 (b)). At a lower Reynolds number, the bending of streamlines around the taller pin is still observable, but the overall flow energy is reduced. As a result, diversion patterns become less intense and more fluid (Fig. 11 (c)). Because of the negligible wall shear effects caused by the lower velocity and pin height, there is very little flow deflection in this case (Fig 11 (d)). In conclusion, flow behaviour is greatly influenced by both pin height and Reynolds number. While lower Reynolds numbers reduce the energy available for such diversion, a higher pin height increases wall shear-induced flow diversion.

IV.4 NUSSELT NUMBER

The Nusselt number (Nu) is a critical non-dimensional parameter for assessing flow induced heat transfer in relation to contact induced fluid-solid interface. (Fig 12) illustrates a comparative analysis of Nu values as a function of Re for three configurations: a plain microchannel without fins, a finned channel with a pin height of 40 µm, and a finned channel with a pin height of 60 µm. The results clearly show that the inclusion of pin fins elevates the convective heat transfer rate across all Reynolds numbers simulated. This improvement is due to the stimulated SA provided by the fins which intensifies the thermal interplay amidst the fluid and solid. Additionally, the fins help disrupt the boundary layer and promote localized mixing, thereby improving the mechanisms of convective heat transfer.

As demonstrated in (Fig 12) the Nu augments steadily with Re for all cases, which is consistent with the expected behavior of forced convection in laminar and transitional flow regimes. However, channels equipped with pin fins exhibit significantly higher Nusselt numbers compared to the baseline configuration without fins. Among the finned options, the design with a pin height of 60 µm consistently shows the highest Nu, indicating superior thermal performance. This enhancement is particularly noticeable at lower Reynolds numbers (i.e., Re = 500) where the effects of increased surface area and induced mixing are more pronounced due to weaker inertial forces. Although the relative improvement decreases slightly as the Re increases, the performance advantage of the taller fins (60 µm) remains evident across the range.

Overall, the findings confirm that increasing fin height improves the convective heat transfer rate (approx.. 60%) leading to higher Nusselt numbers. The configuration with a pin height of 60 µm offers the most effective thermal enhancement and is therefore ideal for microchannel heat sink applications that require better heat dissipation performance. The variation of the heat Transfer Gain Ratio (Nu/Nu_0) with Reynolds number for channels incorporating pin fins of 40 µm and 60 µm heights are shown in Fig 13. Nusselt number denoted by Nu for finned configurations, while Nu_0 denotes the value for a plain channel without fins. This ratio yields a normalized measure of heat transfer gain due to the inclusion of fins, independent of baseline performance.

The graph shows that, particularly at low Reynolds numbers, both finned configurations significantly outperform the plain channel in terms of heat transfer. Interestingly, the 60 µm fin consistently outperforms its 40 µm counterpart in terms of gain ratio, with the biggest improvement seen at Re = 500. This suggests that in lower flow regimes, the advantages of increased surface area and improved convective mechanisms are more potent. The relative gain from pin fins, however, slightly decreases as the Reynolds number rises, indicating the diminished impact of structural improvements under higher inertial forces. The findings show that although both fin heights improve thermal performance, the 60µm configuration is more efficient, especially when convective improvements are most advantageous.

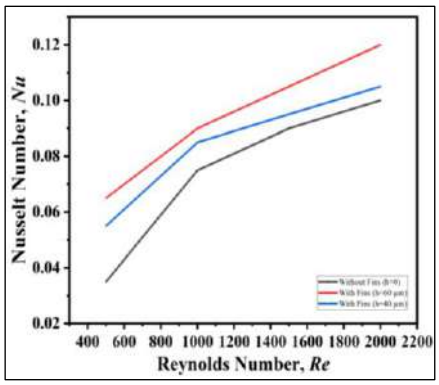


Figure 12: Variation of Nusselt number along various Reynolds numbers
Source: Authors, (2026).

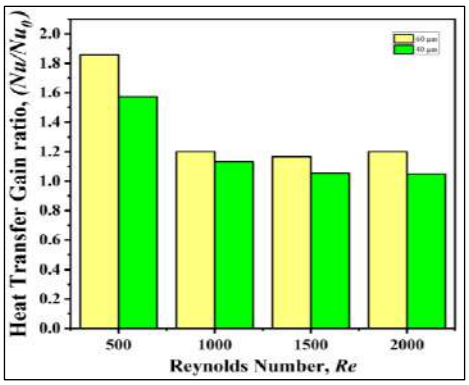


Figure 13: Heat Transfer Gain Ratio (Nu/Nu_0) vs Reynolds Number
Source: Authors, (2026).

IV.5 FRICTION FACTOR F

The friction factor is a non-dimensional parameter that quantifies the resistance a fluid encounters due to wall shear and geometric constraints within a channel. Figure 14 illustrates the deviation of friction factor with Re for three cases: a smooth channel without fins, and channels with pin fins of heights 40 µm and 60 µm. The presence of pin fins introduces additional obstacles within the channel which increases flow resistance and contributes to a higher pressure drop. These structural intrusions increase viscous drag as Figure 14 illustrates, channels with fins consistently show higher friction factors when compared to the smooth channel. The channel with 40 µm fins exhibits the highest friction factor across all Reynolds numbers among the tested configurations. This is explained by the development of recirculation zones, which increase wall shear stresses, and a stronger blockage effect. Despite having taller fins, the 60 µm fin configuration exhibits lower friction factors. This may be due to more efficient flow redirection and reduced wake interference at higher Reynolds numbers. For all cases, the frictional factor drops steadily with rise in Re, due to reduced influence of viscous forces in higher flow regimes.

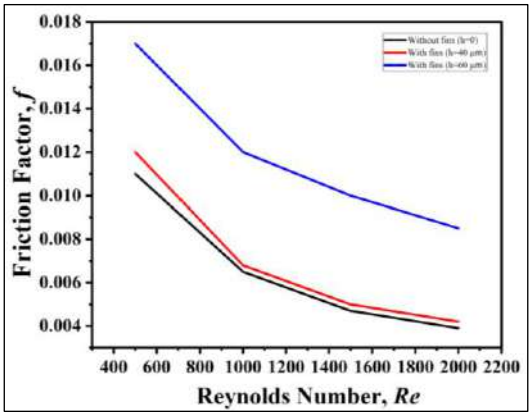


Figure 14: Friction factor vs Reynolds number.
Source: Authors, (2026).

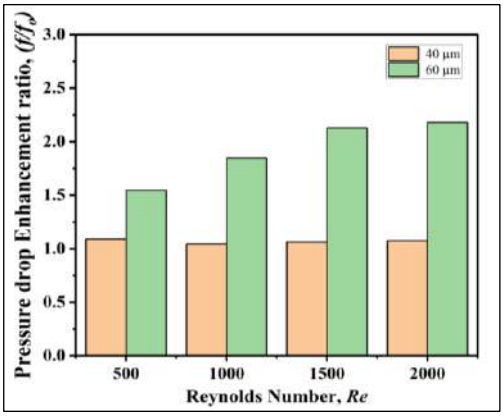


Figure 15: Pressure drop enhancement ratio vs Re for pin fins of 40 µm and 60 µm heights.
Source: Authors, (2026).

However, Finned channels exhibit higher resistance than the smooth configuration, but the relative differences between configurations are still consistent. These results highlight the fact that integrating fins can cause heat transfer, but it also raises the pressure drop. Therefore, choosing fin geometries for microchannel heat sinks requires striking a balance between hydraulic performance and thermal enhancement. The relationship between the pressure drop enhancement ratio (f/f_0) and the Reynolds number for pin fins of heights 40 µm and 60 µm (Fig 15). f_0 represents the friction factor of a plane channel while f denotes the friction factor for the pin fin configurations. The enhancement ratio increases with the Reynolds number for both fin heights, indicating that the pressure resistance rises due to the flow obstruction caused by the fins.

The 60 µm fins shows higher pressure drop across all Reynolds numbers, which can be attributed to greater blockage and surface area. Although this leads to increased flow resistance, it notably improves convective heat transfer. In contrast, the 40 µm fins exhibit a more moderate increase in pressure, achieving a balance between thermal performance and pumping power. These findings emphasize that integrating pin fins enhances heat transfer but also increases Δp which made it crucial to balance thermal performance with hydraulic efficiency when selecting fin geometries for microchannel heat sinks. Achieving this balance ensures optimal system performance without excessive pumping power requirements.

IV.6 THERMAL RESISTANCE:

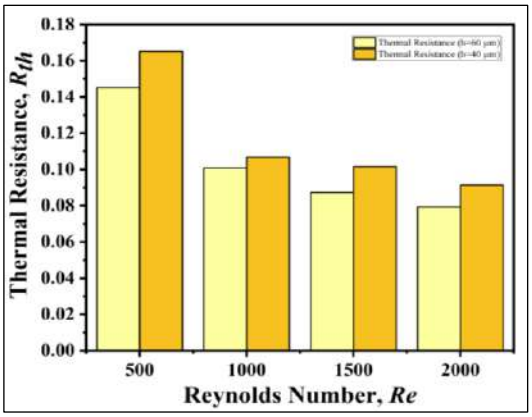


Figure 16: Pressure drop enhancement ratio vs Re for pin fins of 40 µm and 60 µm heights.
Source: Authors, (2026).

The relationship between thermal resistance (Rth) and Reynolds number (Re) for pin fin heights of 40 µm and 60 µm is clearly demonstrated in (Fig 16). The Thermal resistance lowers as Re rises for both fin heights, denoting a significant improvement in heat dissipation at higher flow rates.

Among all Reynolds numbers, the 60 µm fin configuration consistently exhibits lower thermal resistance than the 40 µm fin. This distinctively indicates superior thermal performance which in turn attributed to the expanded surface area. The most substantial reduction in thermal resistance occurs between Reynolds numbers of 500 and 1000, after which the decrease slows down, but the trend remains evident. This data confirms that taller fins (60 µm), in conjunction with higher flow rates, enhance convective heat transfer and make the system significantly more thermally efficient.

IV.7 THERMAL PERFORMANCE FACTOR:

The thermal performance factor (TPF) is a key metric employed to assess the balance between heat transfer enhancement and the resulting flow resistance. It is typically derived from the ratio of the Nu to f which allows for a comprehensive assessment of both thermal and hydraulic performance in a single criterion. The TPF varies with Re for three different channel configurations: a smooth channel, a channel with pin fins of height 40 µm, and a channel with pin fins of height 60 µm (Figure 17). The results clearly demonstrate the positive impact of incorporating pin fins on overall thermal performance. The reference channel without fins consistently shows the lowest thermal performance across all Reynolds numbers.

This is primarily due to its limited surface area and lack of mechanisms to disrupt flow. In contrast, adding pin fins significantly enhances thermal performance through improved convective heat transfer and better fluid mixing. Notably the configuration featuring 60 µm fins achieves the highest thermal performance factor among the tested setups. This improvement can be attributed to the larger SA in connection with the fluid, which allows for higher heat transfer rates without a surplus hike in Δp. The taller fin geometry promotes greater flow disturbance and thinning of the TPF, thus optimizing the balance between heat transfer and flow resistance.

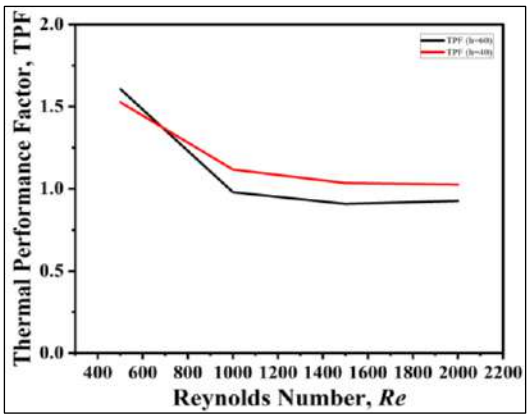


Figure 17: Thermal Performance Factor vs Reynolds number.
Source: Authors, (2026).

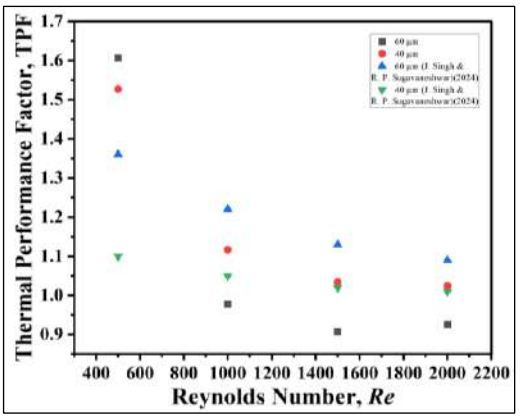


Figure 18: Thermal Performance Factor vs Reynolds number.
Source: Authors, (2026).

The configuration of 40 µm fins shows a moderate improvement over the non fin configuration but is still less effective than the 60 µm fins. This highlights the importance of fin geometry, specifically the height in determining overall system efficiency. The trends observed in Figure 17 reinforce the idea that optimal fin design is crucial for maximizing thermal performance in microchannel applications. The validation of the Thermal Performance Factor (TPF) for two fin heights (40 µm and 60 µm) in comparison to published results by J. Singh & R. P. Sugavaneshwar [3] (Fig 18). The validation clearly shows the comparison made on both the works. The following points states the comparison performed:

- The TPF values from this study closely correspond with the results reported by J. Singh & R. P. Sugavaneshwar confirming the accuracy and credibility of the numerical model.
- For both fin heights, the deviations are minimal at higher Reynolds numbers, which validates the thermal behavior captured in the simulation.
- The TPF consistently decreases with increasing Re in both datasets by reaffirming the trend that higher flow rates reduce the thermal enhancement relative to frictional losses.
- The strong alignment in performance trends supports the reliability and consistency of the simulation setup, meshing, and boundary conditions with previously established results.

IV.8 INTERNAL EFFICIENCY OF THE SYSTEM

The variation of internal efficiency is expressed as the ratio of Nusselt number to friction factor (Nu/f), with Re for three channel configurations: a smooth channel (0 µm), and channels with pin fins of 40 µm and 60 µm heights (Fig 19). Internal efficiency is a critical performance indicator as it balances heat transfer enhancement (Nu) against the pressure drop penalty (f) by offering insight into overall thermal-hydraulic effectiveness.

The internal efficiency increases with Reynolds number for all configurations, indicating improved convective heat transfer performance at higher flow rates. Among the three cases, the channel with 60 µm fins consistently demonstrates the highest internal efficiency followed by the 40 µm fin configuration, while the smooth channel perform least efficiently. The superior performance of the 60 µm fins can be attributed to their larger surface area and enhanced flow disruption which intensify thermal mixing without a proportionally high increase in pressure drop.

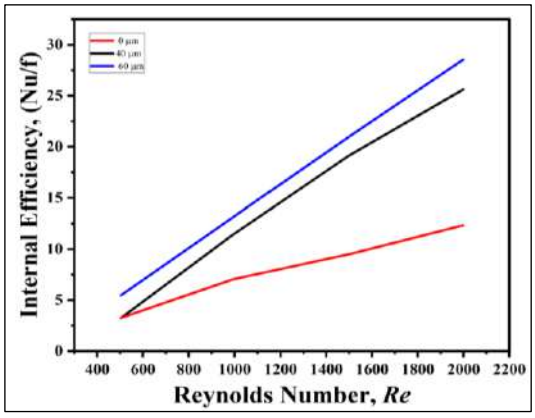


Figure 19: Internal Efficiency vs Reynolds number.
Source: Authors, (2026).

These results highlight that increasing fin height not only boosts heat transfer but also maintains a favorable balance with the associated pressure loss, making it a promising design choice for high-performance microchannel heat sinks. Notably at Re - 500, the 60 µm pin fin configuration achieves a desirable combination of moderate pressure drop and elevated thermal performance establishing it as an efficient and balanced solution for microchannel heat transfer systems.

V. CONCLUSIONS

This study presents a detailed numerical investigation into the augmentation of heat transfer in microchannels with the use of pin fins. The research employed computational fluid dynamics (CFD) simulations to analyze over 55 different heat sink configurations. Two distinct fin heights, both with identical diameters, were evaluated under consistent boundary conditions to assess their thermal performance. The results indicate that the fin height matching the full channel height (60 µm) delivers optimal thermal performance. Among the various flow conditions examined, a Re of 500 combined with the 60 µm fin height exhibited the most efficient thermal behavior, achieving substantial heat transport enhancement while upholding manageable flow resistance.

The introduction of pin fins significantly increased the Nusselt number and improved the overall thermal characteristics compared to conventional channel geometries without fins. This optimal configuration not only produced a higher Nusselt number but also resulted in a greater friction factor, highlighting the trade-off between thermal enhancement and pressure drop. Despite the increased pressure loss, the configuration with 60 µm pin fins achieved up to 60% higher thermal performance compared to the baseline case without fins, demonstrating its considerable advantage in thermal efficiency. Overall, the findings confirm that a fin height of 60 µm at a Reynolds number of 500 provides robust and consistent performance across varying operating conditions, making it highly suitable for high-efficiency thermal management applications.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.
Methodology: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.
Investigation: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.
Discussion of results: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.
Writing – Original Draft: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.
Writing – Review and Editing: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.
Resources: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.
Supervision: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.
Approval of the final text: Sorna Latha, Divya Haridas and Karthik Jayanarasimhan.

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ANALYTICAL AND NUMERICAL ANALYSIS OF STRESS CONCENTRATION SINGULARITIES IN PERFORATED COMPOSITE WING RIBS

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ABSTRACT

Aeronautical structures commonly use perforated skin panels and wing ribs to reduce weight while maintaining satisfactory mechanical performance. However, the combined influence of aperture size, material anisotropy, and fiber orientation on global and net stress concentration factors in orthotropic composites remains insufficiently quantified. This work aims to analyze the stress concentration behavior of perforated panels made of isotropic and orthotropic composites. A uniaxial tensile load is modeled using the finite element method (Abaqus) and classical analytical models (Heywood, Lekhnitskii, and Green-Zerna), supplemented by parametric calculations in MATLAB for glass/epoxy and carbon/epoxy plates. The results show a maximum stress concentration factor of $K_{tg} \approx 6.6$ for a geometric ratio d/W = 0.5 under an applied stress of 10 MPa, with a maximum error of 5% between the analytical and numerical models. A reduction of approximately 60% in the concentration factor is observed for a fiber orientation of 0° . Finally, the study proposes global and local stress concentration maps that incorporate fiber geometry/orientation compatibility limits, enabling the optimization of composite wing ribs while preserving the advantages of lightness, stiffness, and control of local stress amplifications, and opening up prospects for the study of damage and fatigue.

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I. INTRODUCTION

During their operational life, aircraft are mainly made up of thin metal or composite structures designed to withstand fundamental structural loads (tension, compression, and shear) as well as aerodynamic stresses. In order to maintain aerodynamic performance, it is essential that the chord geometry and wing profile are maintained with minimal elastic and plastic deformation. Wing ribs are essential internal structural components that support the wing surface, maintain the aerodynamic profile configuration, and transfer internal stresses. They play a key role in distributing and readjusting shear forces, which helps to reduce the effective span of the spars and reinforce the overall rigidity of the structure. In the 21st century, the use of metal and composite ribs has become essential due to their ability to improve mechanical properties, reduce structural weight, and enhance corrosion resistance.

Materials such as aluminum, steel, titanium, and their alloys are frequently used, along with an increasing proportion of sophisticated composite materials. In the aerospace, marine, and automotive industries, it is common to use panels and shells with various cutouts for functionality and weight reduction purposes. However, these geometric discontinuities such as holes, notches, or abrupt changes in cross-section represent potential points where stresses can concentrate, leading to cracking and premature failure. In reality, virtually all aeronautical structures have such geometric irregularities or microstructural anomalies, making it essential to examine in detail their impact on the strength and longevity of structures. Much previous work has been devoted to modeling and analyzing the stress concentrations induced by these discontinuities.

By [1] used the finite element method in Abaqus to study the stress fields in ribs pierced with circular, elliptical, and rectangular cutouts, showing that optimizing the geometry of the openings improved the mechanical strength of light aircraft ribs. Similarly [2] analyzed the behavior of composite ribs subjected to different types of loading and fiber orientations using numerical tools, evaluating the stress tensor and critical displacements. Furthermore, classical analytical work carried out by [3-7] has provided reference solutions for stress concentration in perforated isotropic plates, particularly in the presence of circular holes. More recently, several studies have examined the influence of the diameter/width ratio, the stress concentration factor (SCF), and deformations in isotropic and orthotropic plates subjected to static tensile and shear stresses [8-10].

In this context, the present work takes a comparative approach to the mechanical behavior of perforated rectangular plates, representative of wing ribs with and without circular cutouts. The finite element technique is used to determine the stress concentration factors around a central circular hole in isotropic and orthotropic plates exposed to a unidirectional tensile load. The key parameters examined include the diameter/width ratio d/W, the fiber direction, and the length/width geometric proportions. Various materials are involved in the numerical simulations performed in Abaqus: Al 2024-T3 aluminum, glass/epoxy composite, and carbon/epoxy composite. The primary goal of this research is to examine and compare the global and net stress concentration factors in isotropic and composite plates with holes, in order to deepen our understanding of the combined effect of the geometry of the openings and the direction of the fibers. To this end, the following research questions are posed:

- RQ1: How does the d/W ratio influence the global and net stress concentration factors in isotropic and composite plates?
- RQ2: To what extent does fiber orientation modify the intensity and distribution of stresses around a circular hole?
- RQ3: What is the level of agreement between analytical predictions and results obtained using the finite element method for different geometric and material configurations?

This work makes several original contributions. First, it provides an in-depth parametric analysis of global and net stress concentration factors as a function of the d/W ratio, fiber orientation, and material type (Al 2024-T3, glass/epoxy, and carbon/epoxy). Second, it implements cross-validation between numerical simulations in Abaqus and analytical calculations implemented in MATLAB, making it possible to identify the areas of validity and limitations of simplified analytical models. Third, it highlights the particular effect of fiber alignment on stress concentration in composite wing ribs, including for configurations with multiple openings. Finally, the numerical results are verified using analytical calculations performed in MATLAB, ensuring the overall consistency of the various methods while highlighting the limitations of analytical models in certain complex configurations. This research is distinguished by its in-depth examination of the impact of fiber alignment on stress density in composite wing ribs, specifically with regard to plates with two circular holes. It thus contributes to improving the structural behavior of aeronautical composite structures.

II. MATERIALS, METHODS, AND THEORETICAL MODELING

In this study, there are two complementary steps involved in examining the mechanical behavior of wing structures and the problem of stress concentrations. First, using a profile of NACA-2414 to model and simulate an aircraft wing, with or without skin, depending on whether the ribs are cut out or not. By using the finite element method, it is possible to model and simulate the distribution of stresses at the ribs and wing section. Pre-processing includes generating the geometric model imported from a Python program, extracting the geometry and mesh, assigning material properties, and defining boundary conditions and loads to determine stress intensities and concentrations. The second stage, which is theoretical in nature, involves analyzing the geometric discontinuities responsible for stress concentrations using orthotropic perforated rectangular test specimens (Glass/Epoxy and Carbon/Epoxy) measuring 100 × 50 × 1 mm, cut from the wing rib. These specimens were studied numerically using the finite element method in Abaqus [11] to evaluate the global and net stress concentration factors around the circular openings. The influence of fiber orientation $\theta=[0°,90°]et[0°,-90°]$ was examined using MATLAB [12] , as was the effect of the geometric ratio (d/W), which varies between 0.1 and 0.5, on the stress concentration factor values. The stress concentration factor (SCF) is defined, as stated by Peterson in 1974, as the ratio of the maximum local stress to the nominal applied stress: $\theta=[0°,90°]et[0°,-90°]$

$$K_t = \frac{\sigma_{max}}{\sigma_{nom}} \quad (1)$$

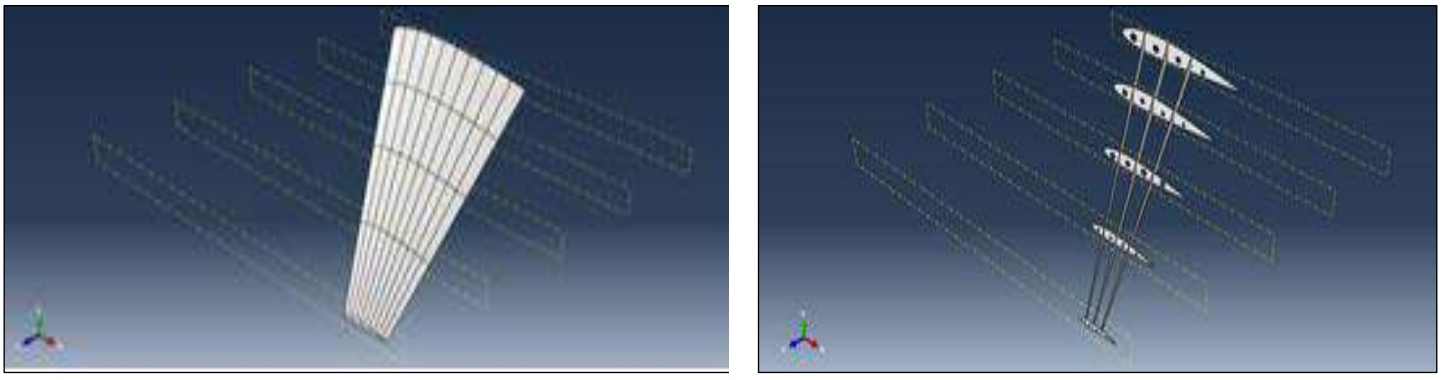


Figure 1: Aircraft wing with/without coating with hole.
Source: Authors, (2026).

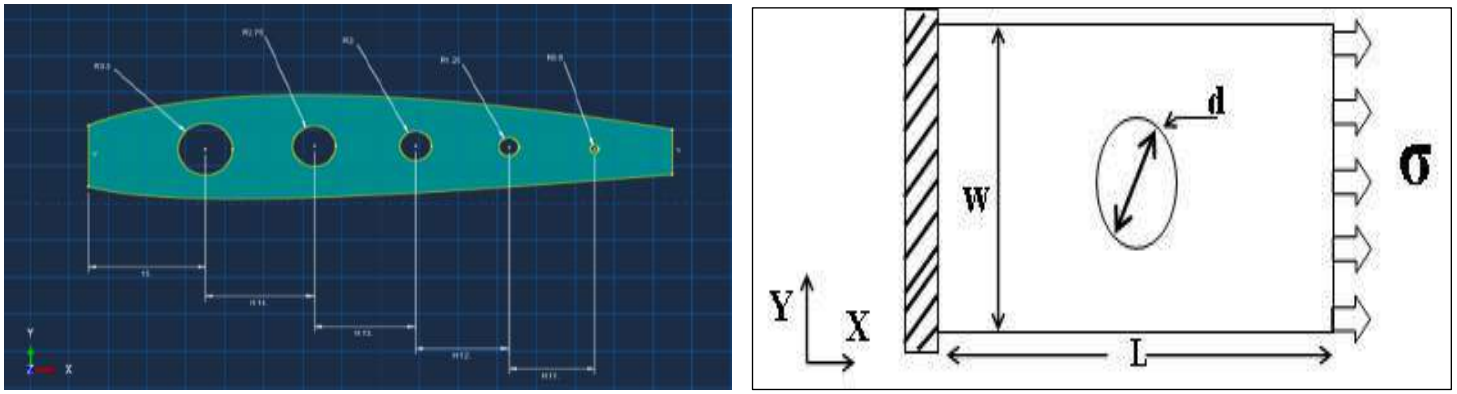


Figure 2: Plate with central hole subjected to uniaxial tension.
Source: Authors, (2026).

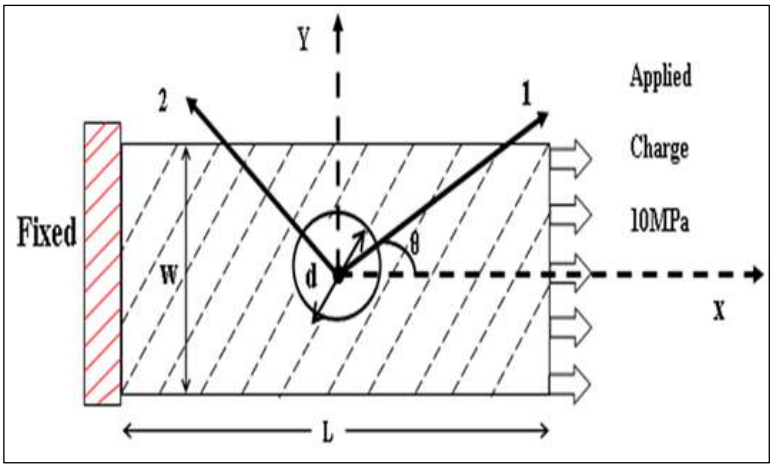


Figure 3: Laminated composite plate with circular hole.
Source: Authors, (2026).

For a rectangular orthotropic plate that has a central circular hole, Heywood (1952) proposed the following expression:

$$\frac{K_{Tg}^{\alpha}}{K_{tg}} = \frac{3\left(1-\frac{d}{w}\right)}{2+\left(1-\frac{d}{w}\right)^{3}} + \frac{1}{2}\left(\frac{d}{w}M\right)^{8}\left(K_{T}^{\alpha}-3\right)\left(1-\left(\frac{d}{w}M\right)^{3}\right) \quad (2)$$

Where K_{Tg}^{α} and K_{Tg} represent the stress concentration factors for an infinite and a finite plate, respectively. The magnification factor (M) is solely dependent on the geometric ratio (d/W).

$$M^{2} = \sqrt{1-8\left(\frac{3\left(1-\frac{d}{w}\right)}{2+\left(1-\frac{d}{w}\right)^{3}}-1\right)}\Big/2\left(\frac{d}{w}\right)^{2} \quad (3)$$

Lekhnitskii (1963) [13] introduced an alternative formulation of the SCF for orthotropic plates :

$$K_{T}^{\alpha} = 1+\sqrt{2\left(\left(\sqrt{\frac{E_{11}}{E_{22}}}\right)-\nu_{12}\right)+\frac{E_{11}}{G_{12}}} \quad (4)$$

Where:

E_{11} and E_{22} are the moduli of elasticity in the main directions.
G_{12} = is the in-plane shear modulus.
ν_{12} = is the Poisson's ratio.

An infinite SCF equal to 3 for an isotropic plate with a circular hole By simplifying the equation (2) we have:

$$\frac{K_{Tg}^{\alpha}}{K_{tg}} = \frac{3\left(1-\frac{d}{w}\right)}{2+\left(1-\frac{d}{w}\right)^{3}} \tag{5}$$

$$\sigma_{avg} = \frac{\sigma_{nom}}{1-\frac{d}{w}} \tag{6}$$

The SCF using Heywood's formulation will then be:

$$K_{Heywood} = K_{Tg}\left(1-\frac{d}{w}\right) \tag{7}$$

Lekhnitskii's (1963) theory is chosen to analyze the stress distribution in an orthotropic plate, the expression of the SCF corresponding to Lekhnitskii's theory is :

$$\begin{aligned} K_t = \frac{\sigma_\alpha}{\sigma^\infty} = \frac{E_\alpha}{E_1}\Big[-(\cos\varphi)^2 + (m+n)(\sin\varphi)^2\Big] m(\cos\alpha)^2 + \\ \Big[(1+n)(\cos\varphi)^2 - m(\sin\varphi)^2\Big](\sin\alpha)^2 - \\ n(1+m+n)\sin\varphi\cos\varphi\sin\alpha\cos\alpha \end{aligned} \tag{8}$$

Where:

E_α = modulus of elasticity in the direction defined by the angle α given by the following relationship :

$$\frac{E_\alpha}{E_1} = \frac{1}{(\sin\alpha)^4 + \frac{E_1}{E_2}(\cos\alpha)^4 + \frac{1}{4}\left(\frac{E_1}{G_{12}} - 2\nu_{12}\right)(\sin 2\alpha)^2} \tag{9}$$

φ = Angle of application of the tensile force relative to the main elastic axis.

α = Location angle of stress concentration factor.

The values of m and n are defined by :

$$m = \sqrt{\frac{E_x}{E_y}} \qquad n = \sqrt{2\left(\left(\sqrt{\frac{E_x}{E_y}}\right) - \nu_{xy}\right) + \frac{E_x}{G_{xy}}} \tag{10}$$

The elastic characteristics $\{E_x, E_y, G_{xy}, \nu_{xy}, \nu_{yx}\}$ in the reference frame (x, y) are linked to the material elasticity characteristics $\{E_1, E_2, G_{12}, \nu_{12}, \nu_{21}\}$ by equations: (13), (14), (15), (16):

$$\begin{aligned} \frac{1}{E_x} &= \frac{C^4}{E_1} + \frac{S^4}{E_2} + \left(\frac{1}{G_{12}} + \frac{2\nu_{21}}{E_1}\right)C^2S^2 \\ \frac{1}{E_y} &= \frac{S^4}{E_1} + \frac{C^4}{E_2} + \left(\frac{1}{G_{12}} + \frac{2\nu_{21}}{E_1}\right)C^2S^2 \\ \frac{\nu_{xy}}{E_y} &= \frac{\nu_{yx}}{E_x} = \frac{\nu_{21}}{E_1} - \left(\frac{1}{E_1} + \frac{1}{E_2} + \frac{2\nu_{21}}{E_1} - \frac{1}{G_{12}}\right)C^2S^2 \\ \frac{1}{G_{xy}} &= \left(\frac{1}{E_1} + \frac{1}{E_2} + \frac{2\nu_{21}}{E_1}\right)C^2S^2 + \frac{1}{G_{12}}\left(C^2+S^2\right)^2 \end{aligned} \tag{11}$$

In equations (13), (14), (15) and (16), the parameters C and S are the cosine and sine of the angle between the fibers and the x-axis. To determine the stress distribution around the circular hole in a composite plate. According to the theory of Green and Zerna (1654) [14] , the FCC can be expressed by the following formula:

$$K_t = \frac{\sigma_\alpha}{\sigma^\infty} = \frac{N_1 + N_2 + N_3}{\left(1+\gamma_1^2 - 2\gamma_1\cos 2(\alpha-\theta)\right)\left(1+\gamma_2^2 - 2\gamma_2\cos 2(\alpha-\theta)\right)} \tag{12}$$

The expressions for γ_1 and γ_2 are :

$$\gamma_1 = \frac{\sqrt{\left(\frac{E_2}{2G_{12}} - \gamma_{21} + \sqrt{\left[\left(\frac{E_2}{2G_{12}} - \gamma_{21}\right)^2 - \frac{E_2}{E_1}\right]}\right)} - 1}{\sqrt{\left(\frac{E_2}{2G_{12}} - \gamma_{21} + \sqrt{\left[\left(\frac{E_2}{2G_{12}} - \gamma_{21}\right)^2 - \frac{E_2}{E_1}\right]}\right)} + 1}$$

$$\gamma_2 = \frac{\sqrt{\left(\frac{E_2}{2G_{12}} - \gamma_{21} - \sqrt{\left[\left(\frac{E_2}{2G_{12}} - \gamma_{21}\right)^2 - \frac{E_2}{E_1}\right]}\right)} - 1}{\sqrt{\left(\frac{E_2}{2G_{12}} - \gamma_{21} - \sqrt{\left[\left(\frac{E_2}{2G_{12}} - \gamma_{21}\right)^2 - \frac{E_2}{E_1}\right]}\right)} + 1} \tag{13}$$

$$\begin{cases} N_1 = (1+\gamma_1)(1+\gamma_2)\left(1+\gamma_1+\gamma_2+\gamma_1\gamma_2 - \cos(\alpha-\theta)\right) \\ N_2 = -4\left[\gamma_1+\gamma_2-(1+\gamma_1\gamma_2)\cos 2(\alpha-\theta)(\sin\alpha)^2\right] \\ N_1 = -4(\gamma_1\gamma_2-1)\sin 2(\alpha-\theta)\sin\alpha\cos\alpha \end{cases} \tag{14}$$

Table 1: Results of mesh refinement.

Hole	Global stress concentration factor (analytic)	Global stress concentration factor (FEM)	
d/w	Heywood	Element Shape	Triangular
		Elements Number	Mesh type : STRI65
d/w=0.04	6.57	1134	4.296
	6.57	1341	5.159
	6.57	1461	5.298
	6.57	1572	6.915
	6.57	1632	6.080
	6.57	1676	6.099
	6.57	1711	6.166
	6.57	1728	6.351
	6.57	1742	6.599

Source: Authors, (2026).

To minimize computational costs, a coarse mesh was modeled in the region far from the critical areas, while local mesh refinement was conducted in the region around the openings. The triangular mesh used in the present analysis, consisting of STRI65 elements with six nodes, was shown to be efficient in the region with large stress concentrations. To validate the accuracy of the FEM simulation in the commercial code Abaqus, the mesh convergence study was conducted using the diameter-to-width ratio of d/W = 0.04 and comparing FEM data with Heywood's exact solution. It can be concluded that, using a coarse mesh with a smaller number of elements (total of 1134), the global stress concentration factor (K_t = 4.296) was lower than its exact value (K_t = 6.57), implying an error in the underestimation of stresses attributable to inadequate modeling of the stress gradient in the vicinity of the hole.

As the mesh was successively refined, the stress concentration factor gradually increased to 6.599 with a total of 1742 elements, being in excellent agreement with the exact results. This simulation results in excellent convergence of the FEM solution, thereby ascertaining the effectiveness of the triangular mesh in simulating accurately the localized stress pattern. The adopted strategy in mesh generation, thus, has proved to be most optimum in terms of computational accuracy and costs.

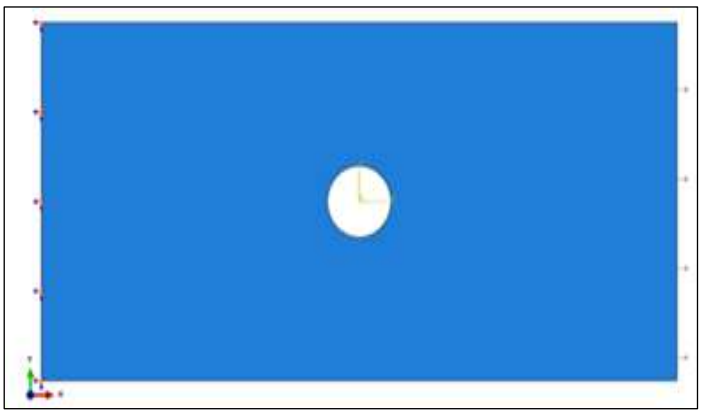


Figure 4a: Plate with central hole subjected to uniaxial tension.
Source: Authors, (2026).

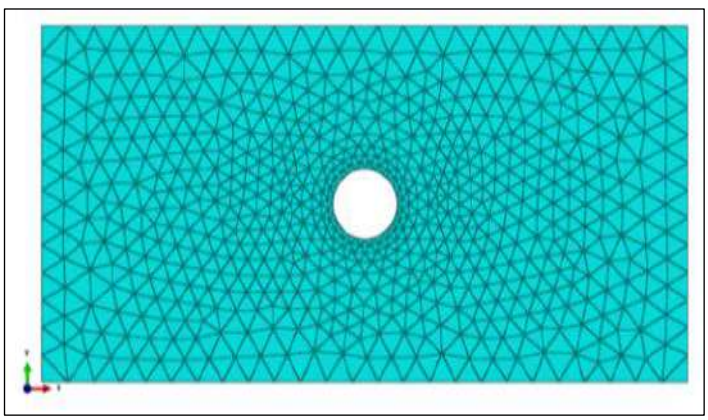


Figure 4b: Exemple typique de maillage et Conditions aux limites.
Source: Authors, (2026).

Table 2: Mechanical properties.

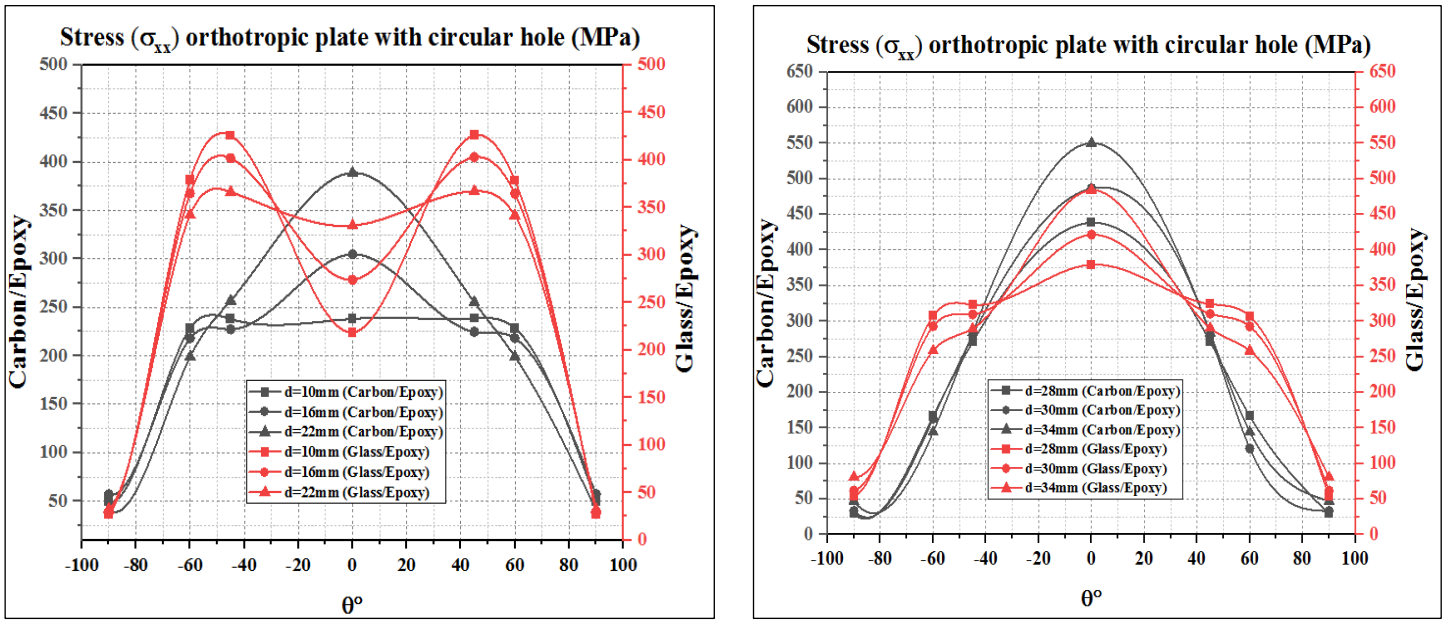
Material Parametres	Glass/Epoxy	Carbon/Epoxy
E_{11} (MPa)	50000	134000
E_{22} (MPa)	14500	10300
γ_{12} (MPa)	0,33	0,33
G_{12} (MPa)	2560	5500
G_{12} (MPa)	2560	5500
G_{22} (MPa)	2240	3200

Source: [15].

III. RESULTS AND DISCUSSIONS

III.1 STRESS VARIATION AND FIBER ORIENTATION IN THE DIRECTION OF TENSILE LOADING

Composite plates with a circular hole were subjected to tensile loading. The graphs show the variation of the stress concentration factor in the direction of uni-axial loading of the orthotropic plate fitted with circular hole of diameter (10, 16 , 22, 28, 30, 34).The different curves correspond to different fiber orientations θ (- 90°,- 60°,- 45, 0°,45°, 60°, 90°). The elastic characteristics of orthotropic materials given in table.



(a) (b)

Figure 5: variation in stress at edge of circular hole for (a) carbon/epoxy and (b) glass/epoxy.
Source: Authors, (2026).

The graph of a1 shows the variation in normal stress σ_{xx} as a function of the angle θ for orthotropic perforated plates (circular hole) made of composite materials of Carbon / Epoxy and Glass / Epoxy with three hole diameters of 10 mm, 16 mm, and 22 mm. It may be seen that, for both materials, the value of stresses attains a peak at around ± 45°. This indicates a critical zone of stress concentration generally associated with the effects of the hole's edge. Globally, for the same diameter, the levels of stresses in the Glass / Epoxy plates are greater than those in the Carbon / Epoxy plates, reflecting a lower capability to distribute charges around the discontinuity. Moreover, with the increase in diameter, there is a significant rise in maximum stress, particularly for the material Verre/Époxy.

This trend accentuates the greater sensitivity of this material to opening size, hence a susceptibility to strain concentration effects. On the other hand, the Carbon/Époxy plate shows a less abrupt increase in stresses with the increase of diameter, showing better ability to bear geometrical discontinuity. Finally, the symmetry of the curves with respect to the vertical axis (θ = 0°) translates to a symmetrical behavior of the stress distribution around the hole, which is typical of homogeneous loading of an orthotropic plate. These results highlight the importance of correctly choosing the material and the geometry of cutouts during the design stage, when composite structures are subjected to complex mechanical loading conditions.

Graph (b1) presents the normal stresses distribution, σ_{xx}, within an orthotropic plate with a circular hole as a function of the angle, θ, corresponding to three hole diameters, namely 28 mm, 30 mm, and 34 mm for two types of composite materials: Carbon/Epoxy and Glass/Epoxy. It can be noticed that for each curve, the maximum value appears at θ=0°, which indicates the loading direction; after that, these values decrease symmetrically towards ±90°. In addition, for the same diameter, the maximum stress value registered in carbon/epoxy material is far greater than that in the glass/epoxy ones, which implies higher rigidity.

Furthermore, increasing the hole diameter causes a significant rise in the maximum stress, which is due to the increasing concentration of loads around the opening. Hence, such a trend reflects the coupled effect of material and geometry on the distribution of stresses, a factor that plays a crucial role in the optimization of holed composite structures.

III.2 NUMERICAL SIMULATION AND ANALYTICAL EVALUATION OF STRESS CONCENTRATION IN ORTHOTROPIC PLATES

A study was conducted on a single-layer orthotropic plate with rectangular stratification of the same size as in the previous case and subjected to a uniform tensile load of 10 MPa. The global and net stress concentration factors were calculated using Heywood's analytical formulation based on equations and and were then compared with the data obtained using finite elements.

The comparative analysis shows good agreement between the two approaches, confirming the reliability of Heywood's formulation for estimating stress concentrations in an orthotropic plate.

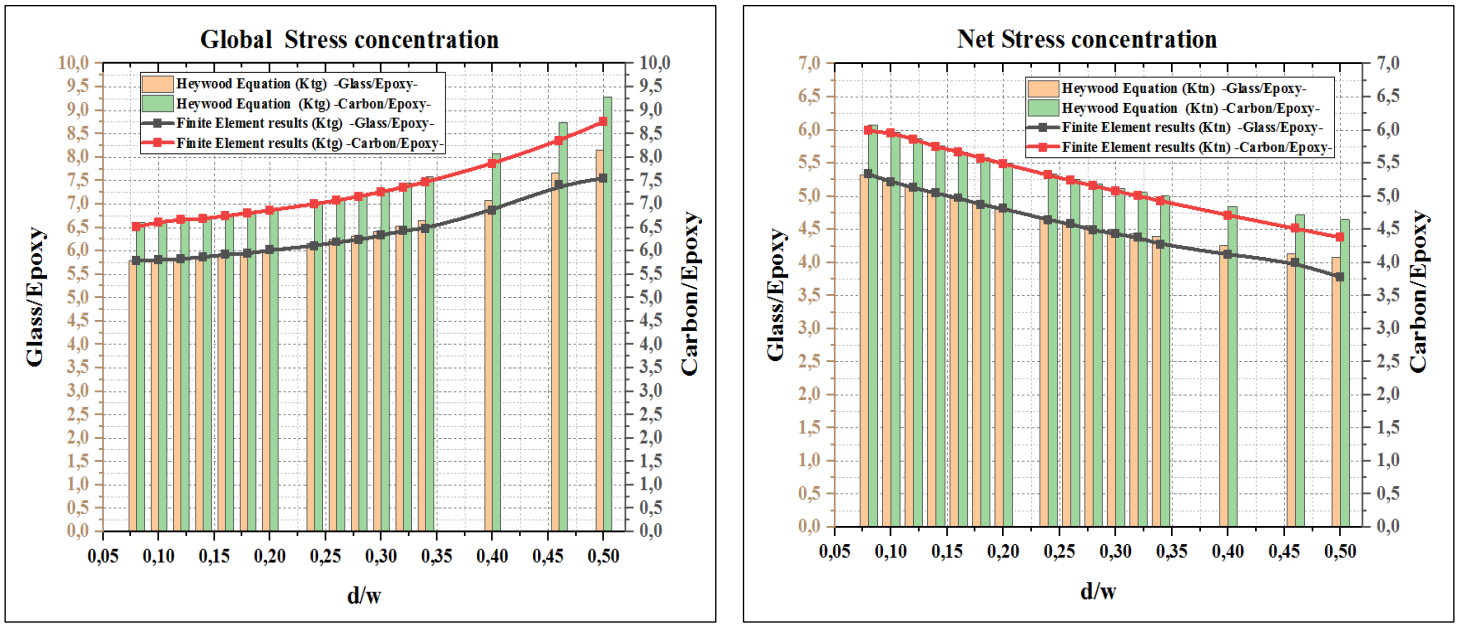


Figure 6: Comparison of stress concentration factors (Ktg and Ktn) for glass/epoxy and carbon/epoxy composites as a function of the ratio (d/w).
Source: Authors, (2026).

The above outcomes shown graphically reveal the development of global and net stress concentration factors with increasing values of (d/w), according to Heywood's analytical models and FEM computations, for flat orthotropic glass/epoxy and carbon/epoxy composite plates with holes. In general, the global stress concentration factor (K_{tg}) is observed to increase continuously with (d/w), while the net stress concentration factor (K_{tn}) is observed to decrease with the values of (d/w), due to the corresponding decrease in the cross-sectional area, with higher values registered by carbon/epoxy composites compared to glass/epoxy composites, reflecting higher stress sensitivity due to the presence of holes.

The present results show that there is an excellent fit between the values predicted by the analytical models and FEM computations, except slightly at higher values of (d/w), which can be better evaluated by the FEM method due to local stress adjustments around the hole that cannot be predicted by analytical models. These above outcomes show that, although the analytical models proposed by Heywood still provide useful estimates for moderate values, there is a need for FEM analysis, especially when dealing with extreme values of (d/w), and the difference between glass/epoxy and carbon/epoxy is due to the unique elastic properties of these composites.

III.3 ANALYSIS OF THE INFLUENCE OF THE FIBER ORIENTATION ANGLE θ° ON STRESS CONCENTRATION

Dans le cadre de l'étude de l'influence de la géométrie sur les facteurs de concentration des contraintes dans des stratifiés orthotropes, les équations constitutives (2) à (5) ont été implémentées sous MATLAB afin de calculer les facteurs de concentration globaux (K_{tg}) et nets (K_{tn}) en fonction du rapport entre le diamètre du trou circulaire et la largeur du stratifié (d/W). Les figures 19 et 20 présentent l'évolution de ces paramètres pour des stratifiés verre/époxy et carbone/époxy percés d'un trou circulaire, et ce pour différents rapports (d/W). Les facteurs de concentration (K_t) ont été déterminés pour plusieurs orientations de fibres (30°,45°,60°et 90°), à partir des équations analytiques sous MATLAB et des simulations numériques réalisées par éléments finis à l'aide du logiciel Abaqus.

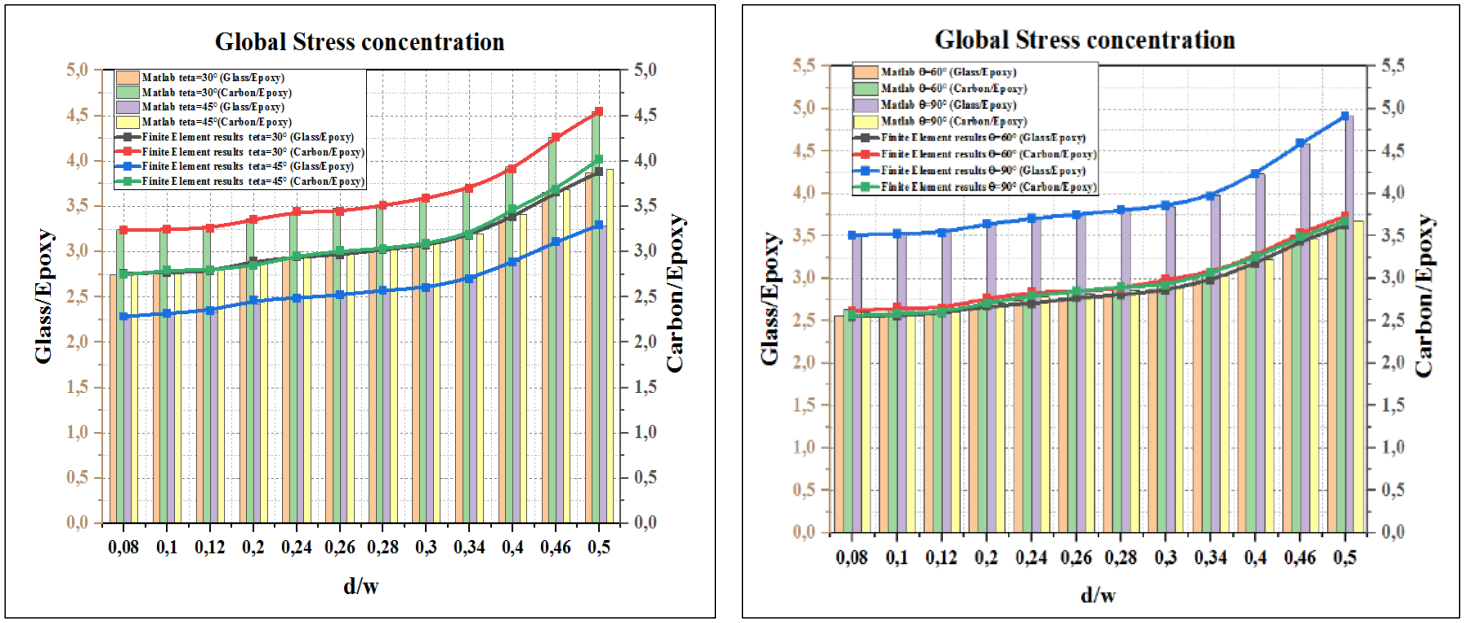


Figure 7: Evolution of the stress concentration factor K_{tg} for different fiber orientation angles (30°, 45°, 60°, 90°).
Source: Authors, (2026).

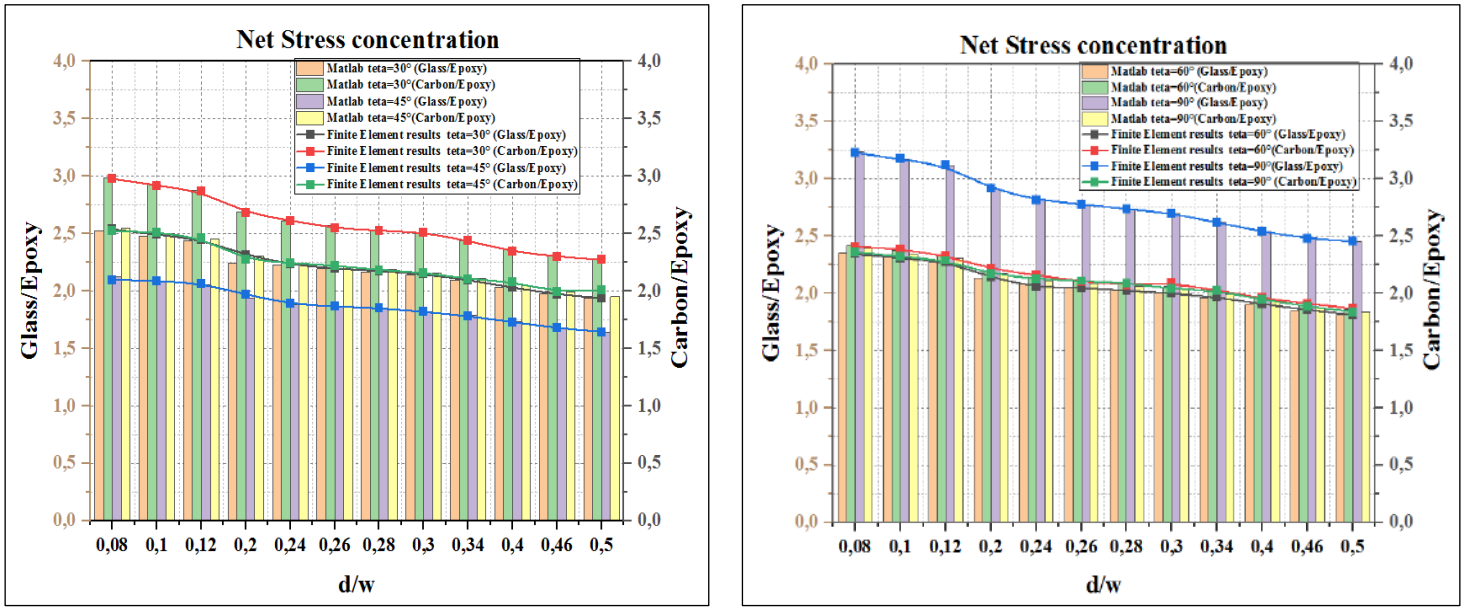


Figure 8: Evolution of the stress concentration factor K_{tn} for different fiber orientation angles (30°, 45°, 60°, 90°).
Source: Authors, (2026).

The deformations of stress concentration factors relative to the geometric ratio are presented for the four figures, regardless of their gross or total trend. These techniques are applied to glass/epoxy and carbon/epoxy composite laminates, viewed at various degrees in the fiber orientation space. The analytical findings solved using MATLAB are presented for the sake of clarity and are compared with their debatable numerical versions developed by finite elements. The results show that the net concentration factor follows a downward trend as the scale distributor competition in d/w increases, implying a more uniform redistribution of stresses as the relative aperture increases. On the other hand, the overall concentration factor increases sharply in proportion to for each value, reflecting an increase in local stiffness and stress amplification effects. In addition, the values for glass/epoxy composites are generally smaller than those for carbon/epoxy composites, indicating that glass/epoxy composites are less sensitive to stress concentration.

The discrepancy observed between analytical predictions and finite element results remains limited overall, but increases for high angles (θ =90°) and large ratios (d/w), reflecting the limitations of simplified analytical models in the face of local nonlinearities captured by numerical simulation. These observations confirm that fiber orientation and reinforcement type play a decisive role in controlling stress concentrations, and that hybrid modeling is necessary to reliably predict the mechanical behavior of laminated composites.

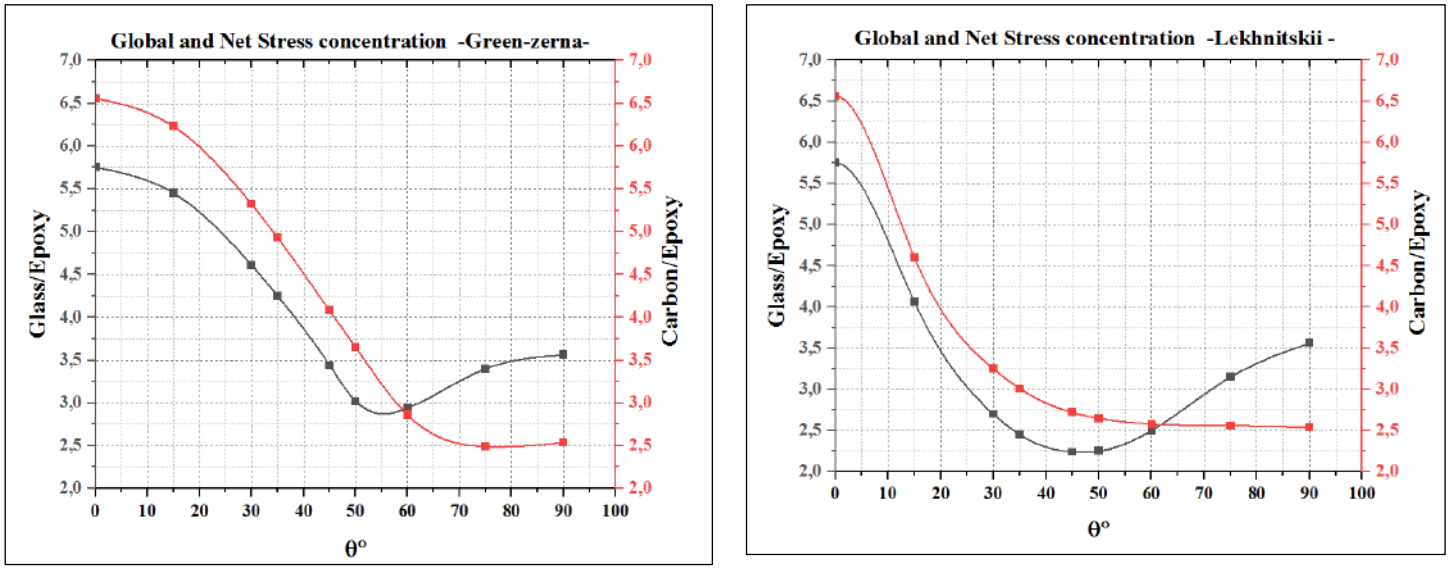


Figure 9: Influence of fiber angle θ on stress concentration for both theories: Glass/Epoxy and Carbon/Epoxy comparison.
Source: Authors, (2026).

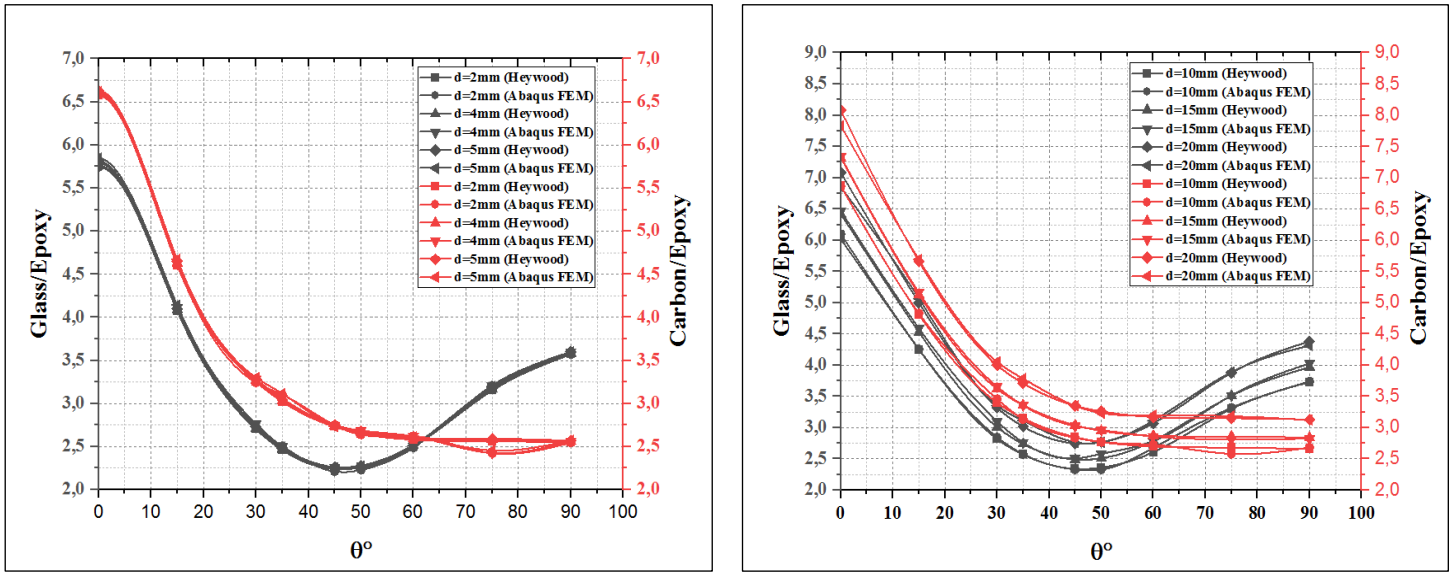


Figure 10: Variation of the stress concentration factor as a function of the inclination angle θ for Glass/Epoxy and Carbon/Epoxy materials as a function of the ratio (d).
Source: Authors, (2026).

The analytical and numerical results clearly demonstrate that fiber orientation, denoted as, has a dominant effect on stress concentrations around a hole in composite plates. As changes from 0° to 90°, there is a substantial reduction (about 60%) in stress concentrations, as measured by stress concentration factor K_t, because of a more efficient stress field with increasing deviation from loading in the fiber orientation direction. These results are observed for Glass/Epoxy and Carbon/Epoxy composite materials, for which lower Kt values are expected for Carbon/Epoxy, because of increased specific stiffness and efficient stress transfer from fibers to matrices. Variations in Kt with respect to different theoretical models (Green-Zerna, Lekhnitskii, Heywood) are dominated by coupling effects due to shear/extension and anisotropy, for which Green-Zerna models show a steeper non-linear variation, while for Lekhnitskii, a smoother variation is observed.

Also, hole diameters show a significant effect, for which larger holes at small orientations lead to higher K_t, while at small diameters, a more homogenous stress field with less orientation dependence is observed. Usually, a minimum for K_t is observed for orientations near (= 45°-60°), at which optimal mix of longitudinal and transverse stiffness is achieved. In practice, orientation of layers near 90° decreases stress overconcentration with potential reduction in plate stiffness, increasing susceptibility to shear damage. These observations, supported by a good fit of analytical results with FE data from Abaqus, establish that this modeling study, through non-linear analysis and validation, assesses optimal fiber orientation of layers around holes in composite laminates.

III.4 EFFECT OF FIBER ORIENTATION ON THE VALUES AND LOCATION OF THE STRESS CONCENTRATION FACTOR

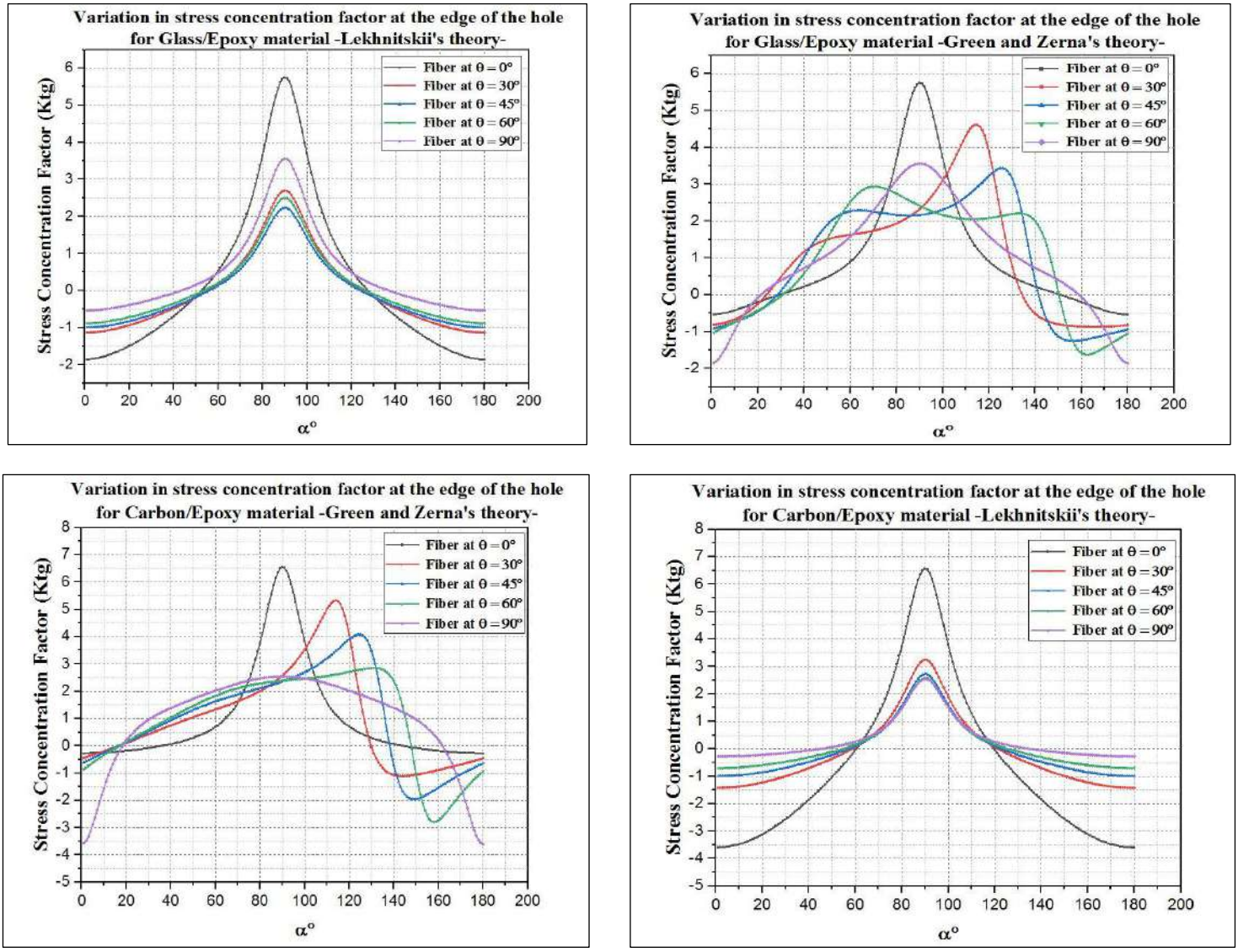
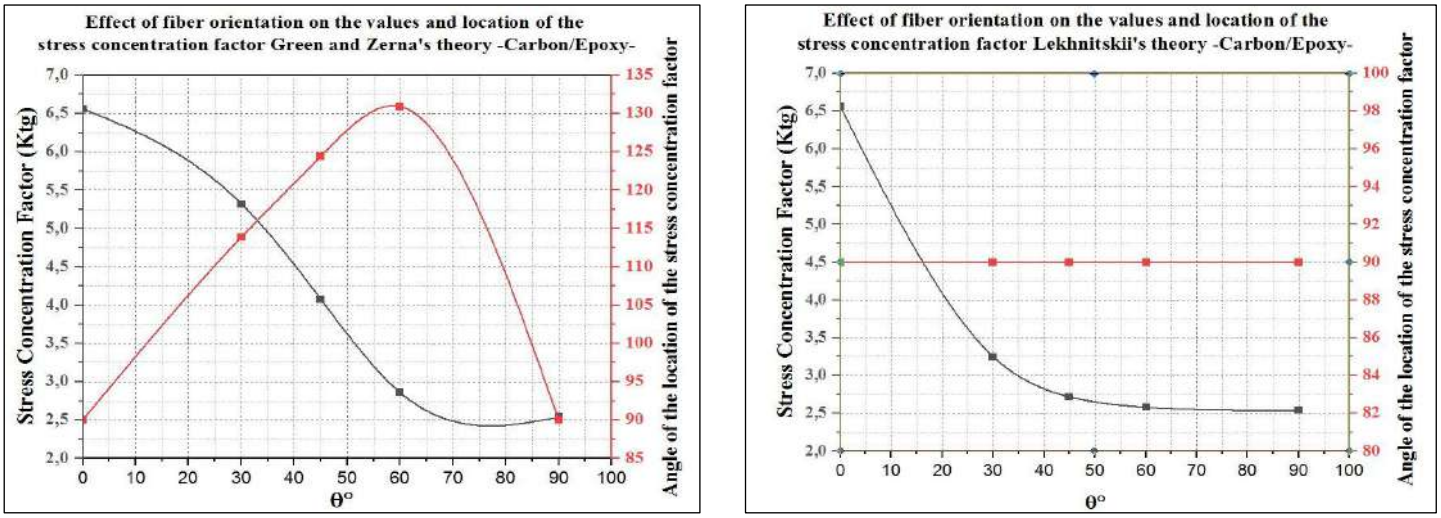


Figure 11: Influence of fiber orientation on the distribution of the stress concentration factor at the edge of a hole in a glass/epoxy and carbon/epoxy composite (Green and Zerna/Lekhnistskii theory).
Source: Authors, (2026).



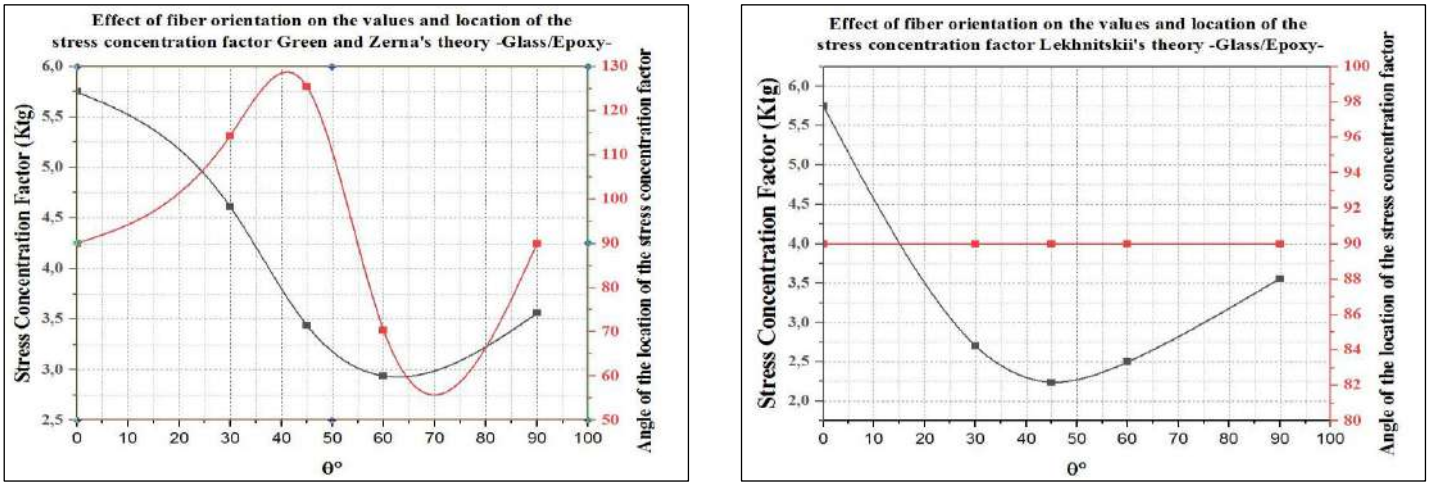


Figure 12: Effect of fiber orientation on the value and position of the stress concentration factor in glass/epoxy and carbon/epoxy composites (Green and Zerna/Lekhnistskii theory).
Source: Authors, (2026).

The figures clearly show the sensitivity of the fiber orientation, θ, to amplitude, as predicted by theory, at the central position of maximum stress around a hole. In both contexts, the stacking density, K_t, decreases sharply as the orientation approaches 90° while θ varies from 0° to a maximum of 90°, corresponding to 2.5, i.e., 60% attenuation. However, there are differences concerning the angle of location of the maximum; Green & Zerna predict a non-monotonic shift of this angle, which increases from θ = 0° to as far as 130° around θ = 50°-60°, finally returning to 90° as a function of θ, while it reaches 90°.

Lekhnitskii's solution has long attributed an almost constant angle of 90° to it. Expression: The angular variation predicted by Green & Zerna describes the anisotropic superposition in terms of shear fields and axial fields. On the other hand, in the method used by Lekhnitskii, critical localization does not take into account this transition of the stress field. In terms of practical prediction, it appears that the selection of material orientation not only reduces the level of critical stress localization (which is beneficial in terms of resistance to drilling and cracking), but can also cause it to vary.

IV.CONCLUSIONS

This research aimed at improving the comprehension and mathematical evaluation of the combined effect of opening geometry characteristics, material properties of elasticity, and orientation angles on stress concentration phenomena in isotropic and orthotropic plates resembling aircraft wings. By choosing a research approach that applies comprehensive mathematical modeling, numerical simulations using finite elements, and parametric calculations, many important results were obtained. It was found that the value of the general stress concentration factor K_{tg} systematically increased with the value of the geometric ratio d/W, thus expressing the effect of relative hole size on the local stress concentration. At a constant uniaxial stress of 10 MPa, the greatest value of $K_{tg} \approx 6.6$ was found at d/W = 0.5, in agreement with Heywood's classical mathematical calculations for thin perforated plates.

In fact, a mesh convergence test was performed in order to establish the validity of the finite-element numerical model, as differences between numerical and mathematical computations stayed below the limit of ±5% for representative hole sizes. Apart from geometric effects, other outcomes emphasized the importance of material anisotropy and orientation angles for composite plates. Both computational and analytical results clearly indicated that by varying the orientation angle from 0° to 90°, there is a remarkable decrease in the value of stress concentration factor, approximately 60% for glass/epoxy and carbon/epoxy materials. The minimum value for this concentration factor occurs for intermediate angles lying between 45° and 60° because of an optimized balance between longitudinal and transverse stiffness.

In general, materials with higher stiffness, such as carbon/epoxy, are expected to display higher values of stress concentration for given values of d/W comparison than glass/epoxy materials. Additionally, this comparison between global and net stress concentration factors highlighted interesting trends: K_{tg} is expected to increase with increasing values of d/W, but there is a concurrent decrease in K_{tn} because of the reduction in net cross-section. In fact, both parameters should be considered simultaneously for designing perforated structures. What makes these findings important is their direct relevance to the design and optimization of composite materials in the field of aerospace. These findings show that in managing stress concentrations in the vicinity of holes, effective design cannot be achieved in a purely geometrical manner, focusing solely on minimizing hole size, but that material selection and orientation also have to be carefully modeled.

The parametric maps obtained from this research activity can assist in design optimization, especially in wing ribs, where weight minimization has to be combined with limitations imposed by ultimate stresses that may cause material failure. In addition, their validation, obtained here relying on comparisons among Hood, Lekhnitskii, and Green-Zerna theories, Finite Element methods, confirms that the adoption of these models in the initial design phases makes sense but also that, in certain cases, Finite Element computations are required, namely when dealing with highly anisotropic materials. However, these results are to be viewed in consideration of the above-mentioned limitations. The analyses were carried out in the context of the linear-elastic model, static load, and the absence of phenomena of initial damage and progressive damage. The role of material nonlinearity, damage, delamination, and cyclic loads has not been accounted for, although they are crucial for the lifetime of the aerospace structure.

Therefore, further research needs to focus on the integration of the above-mentioned fields, such as progressive damage analysis, fatigue analysis, crack initiation around openings, and the validation of the results on perforated composite samples.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Ishak Berkane and Zohra Labed.
Methodology: Ishak Berkane and Zohra Labed.
Investigation: Ishak Berkane.
Discussion of results: Ishak Berkane and Zohra Labed.
Writing – Original Draft: Ishak Berkane.
Writing – Review and Editing: Ishak Berkane and Zohra Labed.
Resources: Ishak Berkane and Zohra Labed.
Supervision: Zohra Labed.
Approval of the final text: Ishak Berkane and Zohra Labed.

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RESEARCH ARTICLE OPEN ACCESS

FINE-TUNING STRATEGIES FOR SENTIMENT ANALYSIS IN THE ALGERIAN DIALECT: A COMPARATIVE STUDY ON DZIRIBERT

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LoRA tuning.

ABSTRACT

The aim of this work is to explore sentiment analysis in the Algerian dialect through the adaptation of pre-trained linguistic models. We focus on DziriBERT, a model specifically developed for the Algerian dialect and derived from the BERT (Bidirectional Encoder Representations from Transformers) model, recognised for its performance in various natural language processing tasks. Three fine-tuning approaches were studied: full fine-tuning, freeze tuning, and LoRA tuning (Low-Rank Adaptation). Experiments were conducted on two separate corpora: ADArabic and the corpus introduced by Adouane, to evaluate the robustness and generalisation of DziriBERT model. The results show that the LoRA method achieved the best performances, on the ADArabic corpus, it achieved 83.26% in terms of accuracy and 80.94% for F1-score. On the Adouane corpus, LoRA reached the highest performance, with an accuracy of 85.28% and an F1-score of 82.52%. These results confirm the relevance of using DziriBERT for sentiment analysis in the Algerian dialect and highlight the effectiveness of LoRA tuning as a lightweight and efficient alternative to full fine-tuning, with significantly reducing the number of adjustable parameters.

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I. INTRODUCTION

Sentiment analysis (SA) is regarded as one of the most active research areas in Natural Language Processing (NLP). Sentiment analysis aims to identify and classify the polarity, the emotions and opinions expressed in texts [1]. It has become a major area of research with the rise of social networks, with millions of users sharing their opinions on products, events or personalities on a daily life [2], [3], financial domain [4] and even in the health sector [5]. In this paper, we focus on sentiment analysis for the Algerian dialect. Currently, the Algerian dialect (AlgD) occupies an important place in the Maghreb region dialects and developing effective sentiment analysis methods for AlgD is crucial to better understand users' opinions on social media. AlgD is based on the Arabic language [6], [7], it is used extensively in everyday conversations, informal exchanges and online communication. It is characterised by a mixture of Arabic, French, Tamazight, and sometimes Spanish and Turkish. This linguistic diversity makes it particularly difficult to process automatically, as it has no standardized orthography and varies from one region of the country to another [8-10].

Initially, sentiment analysis was based on sentiment lexicon techniques [11]. Later, Artificial Intelligence took up the challenge through machine learning (ML) [12-15], or through deep learning (DL) as in [10], [16], [17]. Although DL is recognised for its remarkable performance in various NLP tasks, its effectiveness remains limited when datasets are small or when text representations are based on traditional approaches (such as binary representation). Indeed, in the study by [18] on SA for the Algerian dialect, the results obtained using traditional ML models such as Support Vector Machines (SVM) and Naive Bayes (NB) were superior to those produced by deep models such as Convolutional Neural Network (CNN) and Recurrent Neural Network (RNN). The emergence of Transformers and large language models has improved the field of NLP by enabling models to understand context better, handle long sequences of text and achieve higher performance for a variety of NLP tasks. For example, BERT models [19] achieved state of the art results on numerous NLP tasks including sentiment analysis [19]. However, their performance depends on the data they were trained on which makes fine-tuning [20] essential for adapting them to specific tasks and different linguistic contexts. The Algerian dialect remains a particularly challenging case due to the lack of large annotated datasets, which makes it difficult for pre-trained models to work effectively.

This limitation is illustrated in the work of [10] where the performance of the BERT model proved to be inferior to that obtained using deep learning with CNN and Long Short-Term Memory (LSTM) and also traditional machine learning like SVM. This gap can be explained by the fact that the BERT model [19] was trained on a large English-language corpus and is therefore not adapted to the linguistic particularities of the Algerian dialect. Abdaoui et al. [21] developed DziriBERT, a model derived from BERT and refined from approximately 15 MB of texts. This model makes it possible to generate contextual representations adapted to AlgD. The pre-trained model DziriBERT was then refined to create the DziriBERT-Sentiment classifier, trained on the TWIFIL corpus [10].

The results obtained by DziriBERT-Sentiment surpassed those reported for the CNN, LSTM and BERT models used by previous studies [10] on the same corpus (TWIFIL). In this work, we investigate the DziriBERT-Sentiment model. We want to take advantage of fine-tuning techniques in order to adapt the model for use on other corpora. Additionally, we explore a novel fine-tuning method, LoRA tuning [22], which trains a reduced number of parameters thereby contributing to green AI applications. Furthermore, [23] showed that a moderately sized corpus (4 GB) could offer performance close to that obtained with a much larger corpus (130 GB). We therefore want to examine this finding in Algerian dialect sentiment analysis. This work is structured around the following research questions:

(I) To what extent does the DziriBERT-Sentiment classifier exhibit robustness when applied to new corpora?

(II) Is additional fine-tuning necessary to further improve the performance of the DziriBERT model for sentiment analysis in Algerian dialect when applied to new corpora?

(III) Which fine-tuning strategy (full fine-tuning, freeze tuning, or LoRA) achieves the most reliable performance gains?

(IV) How does the size of the training dataset affect the classifier's effectiveness, and what is the data volume required to obtain satisfactory performance levels?

The rest of this paper is organized as follows: Section 2 provides the background, offering a brief description of the key concepts discussed in this paper and review related works addressing sentiment analysis of AlgD. Section 3 presents our proposed method and data used in this research. Section 4 presents the whole set of results obtained. Finally, section 5 concludes the paper.

II. THEORETICAL REFERENCE

II.1 FUNDAMENTAL CONCEPTS

This section provides a brief overview of the important concepts underlying this work. These include sentiment analysis, the linguistic characteristics of the Algerian dialect, Transformer description, and strategies for fine-tuning pre-trained language models.

II.1.1 Sentiment Analysis

Sentiment analysis is one field of NLP. Its applications cover several sectors: marketing decision support, political intelligence, analysis of social trends and even the detection of hate speech [1]. SA is interested in studying the polarity of a text, whether it is negative or positive, this task is therefore a binary classification [24]. Other researches add a neutral class [10], [25], meaning that there are three classes to study.

II.1.2 Algerian Dialect

Algeria is one of 22 Arabic countries that speak Arabic. Modern Standard Arabic (MSA) is used in books, newspapers, official documents, etc. For oral communication in the daily life, people speak Arabic dialects. These dialects differ from country to other, from region to region in the same country. In Algeria, this dialect is called Algerian Dialect (AlgD). MSA is normalized and standardized but dialects are not. AlgD is characterized by: informal language, agglutinated negation, code switching (words from several languages in the same text), different writing script (Arabic, Latin or Arabizi) [6], [16], [26]. The Arabizi is recognised by the use of Latin letters and some numbers to designate some letters that do not exist in Latin. The letter "ع" in Arabic does not exist in Latin script, the internet users replace "ع" by a digit "3" ("ح" by "7", "ق" by "9", …).

II.1.3 BERT: Bidirectional Encoder Representations from Transformers

Bidirectional Encoder Representations from Transformers (BERT) developed by Google Research in 2018, is a powerful NLP model. BERT was trained using Books Corpus (800 million words) and Wikipedia (2.5 billion words) [19], [27]. BERT is based on a transformer architecture, using self-attention mechanisms to comprehensively understand the contextual meaning of words in sentences. Two main phases are followed by the model: pre-training and fine-tuning [19], [20]:

1. Pre-training: BERT learns from unlabelled data.
2. Fine-tuning: adjusting BERT's pre-trained parameters using labelled data.

Given the success of transformers, other models have been developed for multi-languages mBERT [19] or dedicated to specific languages such as CamemBERT [23] for French language. For Arabic language, AraBERT [28] was pre-trained using 23 GB of MSA text extracted from Wikipedia.

II.1.4 Fine-Tuning

Fine-tuning is a learning transfer technique which involves adapting a model that has been pre-trained on a large collection of data to a specific task by continuing training on a target dataset. It allows the reuse of previously learned representations and reduces the need for large quantities of annotated data [19], [29]. There are various variants:

Full tuning: all the parameters of the pre-trained model are updated during training. This allows better specialization, but it is expensive in terms of computation and memory [29].

Freeze tuning: some layers (often the lower ones) are frozen (their weights do not change). Only the top layers (often the classification head or a few top layers) are adjusted. This reduces the computational cost [30].

LoRA tuning: In Low-Rank Adaptation (LoRA) [22], all the pre-trained model weights are frozen and trainable rank decomposition matrices are injected. This approach significantly reduces the number of parameters that need to be trained. LoRA freezes the original weights and applies low-rank correction to the critical linear layers. Let W be the original weight matrix; the updated matrix W′ is defined as,

$$W'=W+\Delta W \text{ (with } \Delta W=AB) \quad (1)$$

If W has dimension d × k, then the dimension of A will be: d × r and the dimension of B will be: r x k. The parameter r is a hyperparameter to be defined (e.g. 4, 8, 16, etc.). When r=1, then A is a column vector and B is a row vector.

II.2 RELATED WORKS

Sentiment analysis in the Algerian dialect is getting more attention in recent years. Researchers at the beginning used classical methods like lexicon-based approaches and machine learning techniques. Currently, deep learning and transformer-based models are becoming popular. In this section, we provide an overview of key works by highlighting the methods and aspects that have been of particular interest to the research community and focusing on works using fine-tuning in the case of AlgD sentiment analysis. The paper of Moudjari et al. [10] addressed the lack of resources in the Algerian dialect by presenting TWIFIL (TWItter proFILing), a collaborative crowdsourcing platform for sentiment and emotion. The sentiment dataset of TWIFIL contains 9437 tweets annotated on 3 classes (negative, positive and neutral).To validate the corpus, several machine learning and deep learning models were evaluated, including SVM, MLP, CNN, LSTM, and multilingual BERT, using different feature representations. Experimental results showed that deep learning models outperformed classical approaches, the CNN model achieved the best performance (76% in terms of accuracy and F1-score).

By [16] focused their sentiment analysis study on only AlgD code-switching comments. They collected more than 36000 YouTube comments, organized into 4 classes (negative, positive, neutral and mixed). The texts are cleaned and normalized. The authors experimented several algorithms: SVM, CNN, LSTM and BiLSTM. In terms of accuracy, the best results were obtained by BiLSTM, it achieved 66.78%, and 60.17% for F1-score by CNN. To remediate the problem of an unbalanced corpus, the authors explored the inclusion of a sentiment lexicon and data augmentation. The insertion of lexicons improved the results for the negative and neutral classes. Abdaoui et al. [21] constructed a corpus of 1.1 million of tweets (15Mo of text) to create DziriBERT, a first pre-trained language model for the AlgD, using the same architecture as BERT base (12 encoders, 12 attention heads and a hidden dimension of 768). The model was trained using the Masked Language Modeling (MLM) task and a WordPiece tokenizer. The overall training time was 10 days. To deploy this pre-trained model, the authors further fine-tuned DziriBERT on an existing AlgD corpus: TWIFIL [10]; as described above. DziriBERT-sentiment achieved 80.3% for accuracy and 79.7% for F1 score.

According to the authors' tests, these results were better than the ones obtained using multilingual models such as mBERT, XLM-R, or Arabic models like AraBERT, QARiB, CamelBERT, and MARBERT. By [25] collected and manually annotated a dataset extracted from YouTube. The corpus contains 45000 texts organized into 3 classes (negative, positive and neutral). The authors initially used a deep learning model LSTM, then experimented FT of various architectures of BERT (base/large) and BERT Arabic (mini/medium/base/large). The results varied from 74.37% to ~81% in terms of accuracy and from 69.76% to ~78% for F1-Score. The results obtained by Bert Arabic (medium/base/large) surpassed those obtained by LSTM or BERT. The best result was obtained by Bert Arabic large (accuracy= 81.74 and F1-score= 78.38). For the best model, parameter's number is 336.7 million with a training time of about 2 hours. The authors tested 11 separate and combined pre-processing operations including classical operations such as stop word deletion and normalization. Some techniques help to increase performance and others reduce it. In contrast, the separation of emojis helped to increase model performance.

By [31] developed a system called AlgBERT, based on new version of Arabic BERT (AraBERT V2- Twitter) for the automatic generation of an annotated corpus. AraBERT Base V2-Twitter has had emoji added to their vocabulary. The AlgBERT model is fine-tuned using a corpus of approximately 54000 texts in Arabic and AlgD (the authors used existing dataset plus data annotated by authors). The classification is of binary polarity (the neutral class is eliminated from dataset). The number of parameters to train is 136 million. The authors use classical text pre-processing, plus the recognition of the polarity of the emoji to improve model performance. After splitting the dataset into train and test, AlgBERT obtained an accuracy of 92.62% and 92.26% of F-measure.The authors [32] collected and normalized two existing datasets of comments in AlgD from Facebook, Instagram, Twitter (now X), and YouTube. The combined corpus contains 12364 comments, annotated into three classes (negative, neutral and positive). The authors applied a complete pre-processing pipeline (with translation of emoji into positive/negative tokens) before training different models: SVM, NB, LR, and Decision Tree, achieving performances between 65% and 74% for accuracy.

They then proceeded to fully fine-tune the pre-trained DziriBERT model. After optimising the hyperparameters, the best result obtained was 82.01% in terms of accuracy using cross-validation, significantly surpassing traditional models. According to. [24] created DZDialect, a large dataset containing 117569 texts from existing datasets augmented by other YouTube comments. The data is organized on 3 classes but the authors used only 2 classes (positive and negative). After text cleaning, they employed various classifiers ML (SVM, KNN, NBM), DL (CNN, LSTM) and transformer models (DistilBERT, AraBERT Base/Mini/Medium, AraGPT-2). In general, transformer-based models gave good results compared with ML and DL except AraGPT-2. AraBERT Base attained an accuracy of 87.96% and 87.95% for F1, in the internal evaluation case. But for the external evaluation, the best results were achieved by AraBERT Mini, with an accuracy of 78.89% and 78.82% for F1 on the Narabizi dataset corpus [33]. To further enhance performance, ensemble learning techniques such as stacking and major voting were employed, specifically with DistilBERT, AraBERT Base, and AraGPT-2.

The results achieved 91% (accuracy and F1 score) using Stacking Ensemble with Logistic Regression on DZDialect. On the Narabizi dataset, using both ensemble methods showed the same performances, with 81.24% accuracy, and 80.57% F1-score. In table 1, we summarise the previous works based on FT, indicating the original model, the number of trained parameters, the volume of data used and their sources (we note, Tw for Twitter, YT: YouTube, Fb: Facebook, In: Instagram), the type of classification; i.e. number of classes; and the best results in term of accuracy (Ac) and F1-score (F1).

Table 1: Summary of works on AlgD sentiment analysis based on fine-tuning.

Model/Ref	model source	time	Ac and F1 score results	# param (million)	classes	Dataset/volume used	Source
DziriBERT/[21]	BERT	10 days	/	110	-	1.1 million tweets	Tw
DziriBERT- sentiment / [21]	mBERT	NA	Ac: 73.6 F1: 72.9	167	3	Twifil corpus (sentiment set)/ 9437	Tw
	XLM-R		Ac: 78.5 F1: 78.0	278			
	AraBERT		Ac: 72.1 F1: 71.3	135			
	QARiB		Ac: 77.7 F1: 77.1	135			
	Camel-BERT-da		Ac: 73.3 F1: 72.7	110			
	Camel-BERT-mix		Ac: 77.1 F1: 76.6	110			
	MARBERT		Ac: 80.1 F1: 79.5	163			
	DziriBERT		**Ac: 80.3 % F1: 79.7 %**	124			
[25]	BERT base	33 min 20 s	Ac: 75.00% F1: 69.79%	~109.5	3	ADArabic: 45000	YT
	BERT large	1 h 50 min	Ac: 74.84% F1: 69.76%	~335.1			
	BERT Arabic mini	2 min 40 s	Ac: 75.27% F1: 70.57%	~11.6			
	BERT Arabic medium	11 min 25 s	Ac: 78.60% F1: 75.21%	~42.1			
	BERT Arabic base	34 min19 s	Ac: 80.02% F1: 76.88%	~110.6			
	BERT Arabic large	1 h 53 min	Ac: 81.74% F1: 78.38%	~336.7			
AlgBERT/[31]	AraBERT V2-Twitter	NA	Ac:92.62 F1: 92.26	136	2	53815	Tw+YT
[32]	DziriBERT	NA	Ac : 82.01% F1 : 81.79%[i]	124	3	12364	Fb+In YT+Tw
[24]	DistilBERT	41 min 14 s	Ac: 85,94% F1: 86,93%	134	2	DZDialect 117569 (used[ii]: 10104)	YT+Tw
	AraBERT Base	1 h18min 15s	Ac: 87,96% F1: 87,95%	110			
	AraBERT Mini	5mn 26s	Ac: 86,03% F1: 86,02%	11			
	AraBERT Medium	24 min 52 s	Ac: 86,7% F1: 86,68%	42			
	AraGPT-2	1 h 25 min 6 s	Ac: 78,90% F1: 78,90%	135			
	Ensemble (LR)	NA	Ac: 91 F1: 91%	-			

Source: Authors, (2026).

After analysing Table 1, it can be seen that the best results were obtained in the case of binary classification. AlgBert [31] reached approximately 92% in both accuracy and F1-score , while a Stacking Ensemble of 3 models fine-tuned by [24] gave around 91%. For a ternary classification, DziriBERT-Sentiment [21] achieved an accuracy of around 80%. Fine-tuning BERT Arabic (Base and Large) [25] gave an accuracy of 81.74%. The best result was obtained by fine-tuning the pre-trained DziriBERT model achieving 82.01% accuracy [32].

III. MATERIALS AND METHODS

The experiments used DziriBERT model and its tokenizer available on Hugging Face[iii] platform. Corpora descriptions will be given below (Table 2). All experiments were conducted on the Google Colab platform, primarily using a T4 GPU, and an A100 GPU or L4 GPU when explicitly mentioned.

The training hyperparameters were fixed at a learning rate of (2×10^{-5}), a batch size of 8, and 5 epochs. For LoRA setting we added the following parameters: $r = 8$, $\alpha = 16$, dropout = 0.1, with targeted application on the Query, Key, and Value modules.

III.1 METHODOLOGY

DziriBERT [21] stands out for its compactness, with approximately 124 million parameters and a vocabulary of 50000 entries, making it one of the smallest models dedicated to AlgD. In this paper, we aim to study the application of DziriBERT to new datasets and to analyse the impact of different fine-tuning strategies on its performance. In this context, two areas of experimentation are possible:

A. DziriBERT[iv], the pre-trained model for the Algerian dialect.
B. DziriBERT-Sentiment[v], the classifier model for AlgD sentiment analysis.

For this study, we chose to work on the DziriBERT-Sentiment model. In the remainder of this paper, we will refer to it simply as DziriBERT. Above all, the dataset must be split into training (Train), validation (Valid) and test (Test) sets. The training and validation sets will be used to train and adjust the model while the test set will be used for model evaluation. We follow the approach illustrated in Figure 1.

1. Firstly, we apply original DziriBERT (without fine-tuning) on the Test portion of the dataset and record the results as baseline performance.
2. Then, we use the training and validation sets (Train and Valid) to fine-tune the DziriBERT model, using three different methods :
   - Full tuning (Full) : all the parameters of the model will be updated during training
   - Freeze tuning (Freeze) : only the parameters of the last layer will be updated during training
   - LoRA tuning (LoRA): all the model weights will be freeze, but we calculate the new matrix ΔW (with ΔW=AB) see section 2.4 for more details.
3. We evaluate the fine-tuned models on the same test set.
4. Next, we extract subsets Sub_Train and Sub_Valid from the training and validation sets, respectively, we then repeat the same process as in step 2 and 3 to fine tune the initial DziriBERT model using these subsets.
5. Finally, we compare the results obtained from the different experiments.

The application of the DziriBERT model explores two experiments: one without pre-processing and one with pre-processing texts from the corpus. The pre-processing step follows the same light pre-processing as described in [21]:

1. replacing all user mentions with @user;
2. replacing all email addresses with mail@email.com;
3. replacing all hyperlinks with https://anonymizedlink.com.

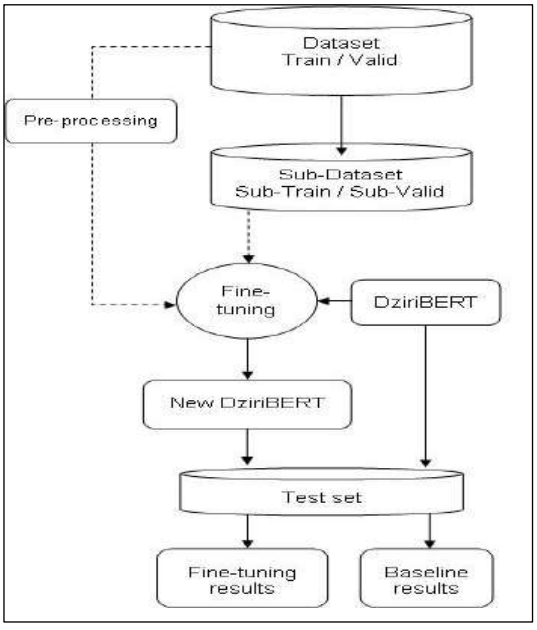


Figure 1: The diagram of the proposed model.
Source: Authors, (2026).

III.2 DATA DESCRIPTION

To evaluate our approach, we use one of the largest public corpora, ADArabic[vi] dataset created by [25], which is dedicated to AlgD SA. To strengthen our study, we also use another corpus collected by [16], referred to here as the Adouane corpus.

III.2.1 ADArabic Dataset

The corpus consists of 45000 annotated comments from YouTube, with five classes of sentiments, from very negative to very positive. We grouped the negative classes (very negative and negative) and the positive classes, to obtain three classes: negative (NEG), neutral (NEU), and positive (POS). First the dataset was split into a training set (80%) and a testing set (20%), and the training set was further divided into Train (80%) and Validation (Valid) (20%). Table 2 presents the basic statistics of resulting dataset.

Table 2: ADArabic corpus description, after regrouping.

Train			**Valid**			**Test**			**Total**
28800			7200			9000			
NEG	NEU	POS	NEG	NEU	POS	NEG	NEU	POS	45000
10213	6459	12128	2553	1615	3032	3191	2019	3790	

Source: Authors, (2026).

III.2.2 Adouane Dataset

Adouane corpus [16] contains 36120 comments from YouTube. The corpus is organized into three parts: Train, Validation (Valid) and Test. Each part includes four classes (positive, negative, neutral and mix). To maintain consistency with the ternary classification setting, the Mix class was removed, leaving a total of 24,384 comments. A description of the resulting corpus is provided in Table 3.

Table 3: Adouane corpus description, after Mix class removing.

Train			**Valid**			**Test**			**Total**
17304			714			6366			
NEG	NEU	POS	NEG	NEU	POS	NEG	NEU	POS	24384
4849	5524	6931	167	154	393	1408	1584	3374	

Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

To present the results clearly, they have been organised into sections. For all experiments we measured accuracy (Ac) and macro F1-score (F1) on Test set.

IV.1 BASELINE RESULTS

Table 4 presents the obtained results. Without pre-processing, DziriBERT obtained 76.22% in terms of accuracy and 74.36% for F1-score on the ADArabic corpus, and 73.66% accuracy and 68.34% F1-score on the Adouane corpus. Contrary to our expectations, we have the same finding with or without pre-processing results (see table 4). For that reason, following experiments were performed without pre-processing.

Table 4: DziriBERT result before fine-tuning on 02 datasets.

Dataset	**Without pre-processing**		**With pre-processing**	
	Ac	F1	Ac	F1
ADArabic corpus	76.22%	70.45%	76.22%	70.45%
Adouane corpus	73.66%	68.34%	73.66%	68.34%

Source: Authors, (2026).

IV.2 FINE-TUNING DZIRIBERT ON ADARABIC CORPUS

Regarding the fine-tuning strategies, Full fine-tuning requires training all parameters (+124 million). With freeze tuning, only 2307 parameters need to be trained, which is less than 0.2% of the total DziriBERT parameters. LoRA, on the other hand, trains 444675 parameters, which is equivalent to 0.36% compared to full fine-tuning parameters number. This is valid for all the following experiments.

IV.2.1 DziriBERT Fine-Tuning Results on ADArabic (Full Corpus)

Table 5 shows the DziriBERT FT results, on the whole ADArabic corpus. The experiments were running using L4 GPU. We can see that all three FT techniques (Full, Freeze and LoRA) improved the baseline results in terms of both accuracy and F1 scores. Full FT achieved 82.57% accuracy and 79.48% F1-score after 1 hour (hr) and 42 minutes (mn) of training, while Freeze achieved 79.51% accuracy and 75.54% F1-score in 1 hour and 35 minutes. LoRA achieved the best performance with 83.26% accuracy and 80.94% F1-score in the shortest training time of 1 hour and 24 minutes. When analysing the confusion matrix (see Figure 2), it is obvious that it is always the neutral class that is wrongly predicted, this is probably due to the imbalanced data.

Table 5: FT results on ADArabic corpus using GPU L4.

	# params	**Time of training**	**Ac**	**F1**
Full	124 443 651	1hr 42mn	82.57%	79.48%
Freeze	2 307	1hr 35mn	79.51%	75.54%
LoRA	444 675	1hr 24mn	83.26%	80.94%

Source: Authors, (2026).

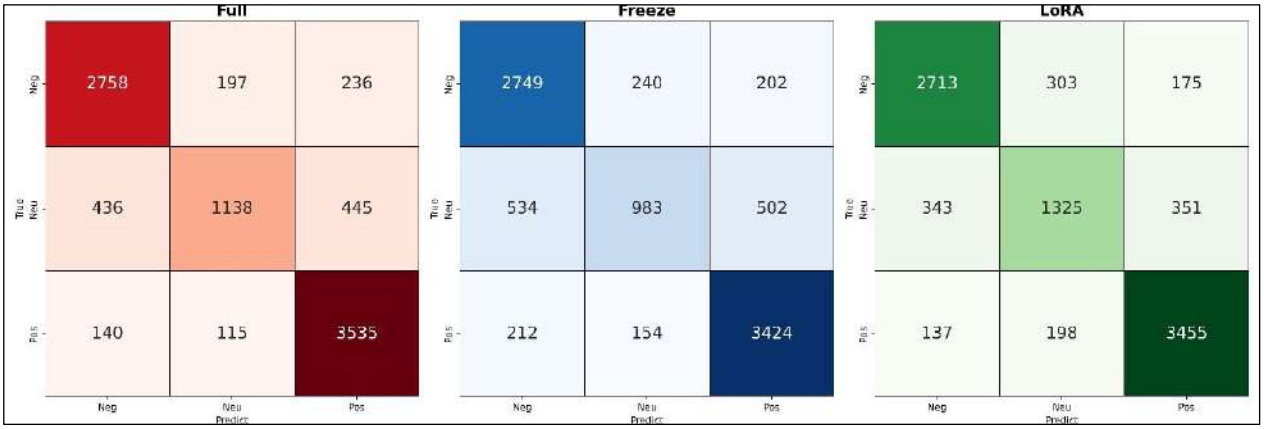


Figure 2: Confusion matrix of ADArabic fine-tuning models.
Source: Authors, (2026).

IV.2.2 Impact of Dataset Size on Fine-Tuning Performance

To explore the final objective of this paper, we examined the results obtained by fine-tuning DziriBERT using subsets of the training (Train) and validation (Valid) sets. For each experiment, we tested several values of $N1$ and $N2$ representing the sizes of Train and Valid subsets respectively. The choice of N1 was almost arbitrary while N2 was generally set to 20% of N1. We started with N1=1000 and a step size of 500. If the variations in the results did not exceed 1 point, we moved on to larger step size such as: 2500 or 5000.

Table 6 summarises the results of all the experiments on the Test set. The last row represents the results obtained using the complete dataset. The best values for each technique are highlighted in bold, and the best values for each subset are underlined. The results of all experiments outperform the baseline in terms of both accuracy and F1-Score. In general, the best results are achieved using the full dataset.

Table 6: Impact of dataset size on performance of FT on ADArabic corpus.

		Full		**Freeze**		**LoRA**	
N1	N2	Ac	F1	Ac	F1	Ac	F1
1000	200	80.39%	76.82%	76.66%	71.54%	80.62%	77.49%
1500	300	80.41%	77.79%	76.81%	71.91%	79.20%	75.58%
2000	400	81.23%	78.34%	76.86%	72.06%	81.23%	78.40%
2500	500	80.87%	77.38%	76.94%	72.30%	80.89%	77.91%
3000	600	80.86%	77.43%	77.04%	72.43%	81.42%	78.67%
5000	1000	80.07%	78.27%	77.47%	73.13%	78.96%	75.27%
10000	2000	81.29%	78.37%	78.16%	73.91%	80.99%	77.92%
15000	3000	82.01%	79.29%	78.66%	74.42%	82.31%	80.02%
20000	4000	82.34%	78.92%	79.03%	74.92%	82.72%	80.30%
25000	5000	**82.63%**	**80.16%**	79.32%	75.36%	82.82%	80.36%
28800	7200	82.57%	79.49%	**79.51%**	**75.54%**	**83.26%**	**80.94%**

Source: Authors, (2026).

For Full fine-tuning (Full), when N1 = 1000, accuracy reached 80.39% and F1-score 76.82%, corresponding to improvements of 4.17 and 6.37 points respectively, compared to the baseline. Full reached its maximum at N1 = 25000, where accuracy reached 82.63% (an improvement of 6.41 points) and F1 reached 80.16% (an improvement of 9.71 points). With Freeze tuning, accuracy increased from 76.66% to 79.51% and F1 from 71.54% to 75.54%, showing maximum improvement of 3.29 points for accuracy and 5.09 points for the F1-score when using the complete dataset. Using LoRA at N1 = 1000, accuracy reached 80.62% and F1 77.49%, corresponding to improvements of 4.40 and 7.04 points respectively. LoRA reached its maximum performance with the whole dataset, achieving 83.26% accuracy (an improvement of 7.04 points) and 80.94% F1 (an improvement of 10.49 points). The results for Freeze are the lowest, its best results using the whole dataset are still lower than those obtained by Full or LoRA using only 1200 texts (N1=1000 and N2=200). The latter achieved around 80% for accuracy and 77% for F1. Using a subset of 2400 texts, Full and LoRA techniques achieved a local maximum of Accuracy ≈81% and F1≈78, which means an improvement of baseline results by 5 points in terms of accuracy and around 8 points for F1. In most cases, LoRA's performance are better than Full ones (see Table 6 and Figure 3).

IV.3 DZIRIBERT FINE-TUNING ON ADOUANE CORPUS

On the Adouane corpus, we explored the same experiments as in the previous section, and we summarized all the results in Table 7. The last row corresponds to the whole-dataset results. The number of parameters for each experiment does not change. For this run, we started with N1 = 1000 with a step size of 1000. After N1 = 4000, we jump directly to the whole dataset because the validation set contains only 714 texts. This is due to the removal of the Mix class (see the Data description section). We have almost the same findings as in the previous section. The three FT techniques improved the baseline results (see Table 7). Using Full technique, accuracy started from 81.95% to 84.70%, F1 from 78.98% to 81.56%. Therefore, compared to baseline, the improvements can reach 11.04 and 13.22 points for accuracy and F1, respectively, using the whole dataset, in the training time of 20 minutes using an A100 GPU.

Regarding Freeze, accuracy started from 75.12% to 79.89%, F1 from 70.71% to 76.61%. Therefore, the improvements can reach 6.23 and 8.27 points. Processing the whole dataset took only 8 minutes using an A100 GPU. LoRA strategy achieved the best results, an accuracy of 85.28% and 82.52% for F1, in the training time of 15 minutes and 59.49 seconds using an A100 GPU. The enhancements started from 8.53 points to 11.62 for accuracy and F1 from 10.76 points to 14.18 points. In this corpus, we found that using subset of 1200 texts (N1=1000 and N2=200) gives results close to the original results reported by [21] the creator of DziriBERT when using Full or LoRA fine-tuning techniques. On the other hand, using a subset of N1 equal to 2000 or 3000, Full or LoRA fine-tuning can achieve results close to the best performance obtained so far by [32] based on the fine-tuning of the pre-trained DziriBERT model (see Table1).

Table 7: Impact of dataset size on FT performance on the Adouane corpus.

Technique		**Full**		**Freeze**		**LoRA**	
# params		124 443 651		2307		444 675	
N1	N2	Ac	F1	Ac	F1	Ac	F1
1000	200	81.95%	78.98%	75.12%	70.71%	82.19%	79.10%
2000	400	82.42%	78.84%	75.79%	71.67%	82.50%	79.31%
3000	600	82.08%	79.21%	76.81%	73.03%	83.95%	80.96%
4000	714	83.62%	80.28%	77.18%	73.45%	83.98%	81.04%
17304	714	**84.70%**	**81.56%**	**79.89%**	**76.61%**	**85.28%**	**82.52%**

Source: Authors, (2026).

IV.4 DISCUSSION

DziriBERT model gave moderate results (baseline), around 75% on ADArabic corpus and a little less on Adouane Corpus. For both datasets, looking at the accuracy and F1-score graphs (see figure 4, where O.W is used to designate Original Work and B.L baseline), Freeze FT improved baseline results in an increasing and monotonic manner in relation to N1. Full FT and LoRA FT had results close to each other. They alternated between growth and decline. They increased baseline by 6-14 points (around 10 points) when using the whole dataset. Sometimes LoRA slightly outperformed Full FT, while requiring significantly fewer parameters and time.

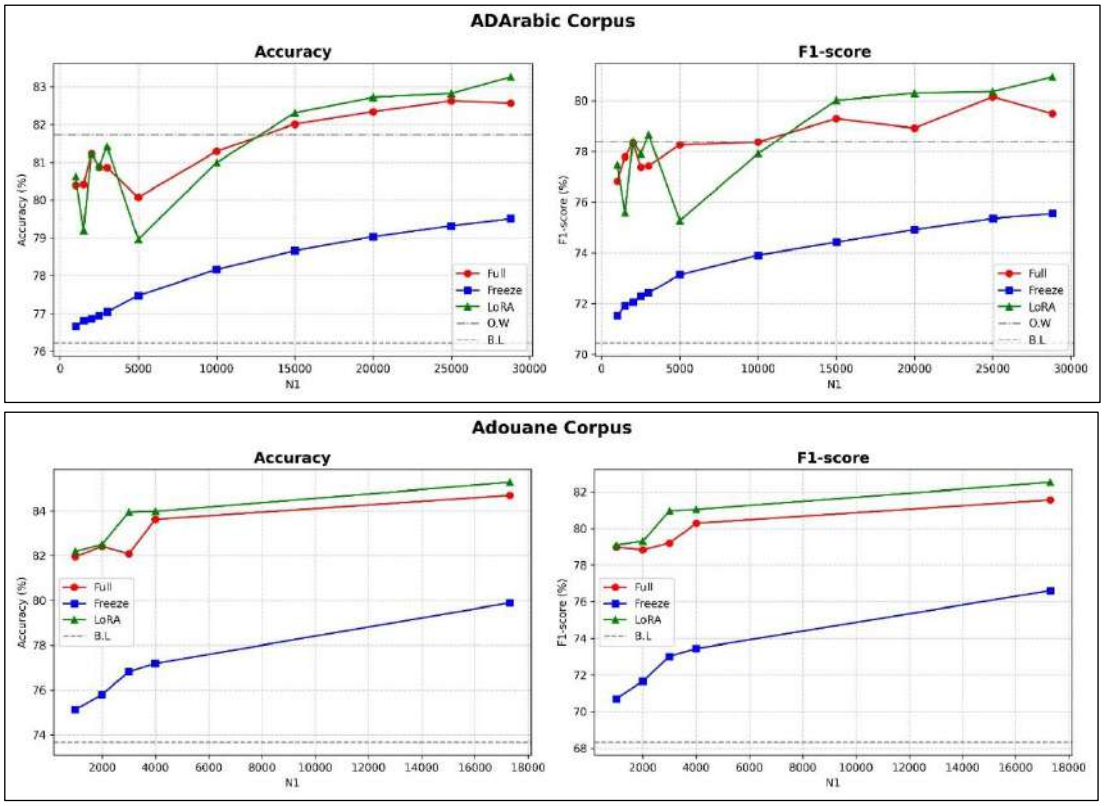


Figure 3: Accuracy and F1-score variation according to N1 using Full, Freeze and LoRA fine-tuning. (O.W:original work and B.L: baseline).

Source: Authors, (2026).

Certainly, with Freeze FT, we had a very small number of parameters to train, and although it improve the baseline results, but they are still very limited and inferior to those given by Full or LoRA FT. Here, Freeze retrained only the last layer (the layer responsible for classification). Even if we use the whole dataset, the Freeze results remain lower than those obtained by retraining all parameters with subset of 1200 texts, which means that the word embedding weights of AlgD in DziriBERT must be readjusted, maybe by other words from different social networks. Noting that DziriBert was trained on one million Twitter texts. The latter is not the most widely used network by Algerians (see Figure 4) but it ranks last [34].

For a ternary classification using the DziriBERT model: [21] achieved an accuracy of 80.3% using a dataset of 9437 Twitter texts, [32] achieved 82.01% using FT of DziriBERT with 12364 texts from Twitter, YouTube, Facebook and Instagram. Our work achieved 83.26% on ADArabic corpus that contains 45000 texts from YouTube, thus exceeding the results of the authors of the original work, who based their research on FT several BERT models.-On ADArabic corpus, the original work by [25] achieved 81.74% accuracy and 78.38% F1-score, based on fine-tuning six BERT models variants with multiple pre-processing treatments. On the same corpus, our approach reached 83.26% accuracy and 80.94% F1-score using only DziriBERT fine-tuning without any pre-processing.

We achieved also 85.28% accuracy on Adouane corpus (24384 texts from YouTube), this result represents the best performance obtained for AlgD SA in ternary classification. This finding indicates that DziriBERT is well adapted to Algerian sentiment analysis and probably other NLP tasks. On both datasets, we found that Full FT and LoRA FT significantly improved the models, by using the complete dataset or sub-dataset. But LoRA combines the advantages of both Full and Freeze techniques, providing significant performance improvements like Full while requiring a very small number of parameters to be retrained similar to Freeze. In addition, LoRA results usually outperforms those of Full FT, so we can adopt LoRA as the best FT strategy. On the other hand, LoRA also reduces energy consumption. This helps to preserve the environment.

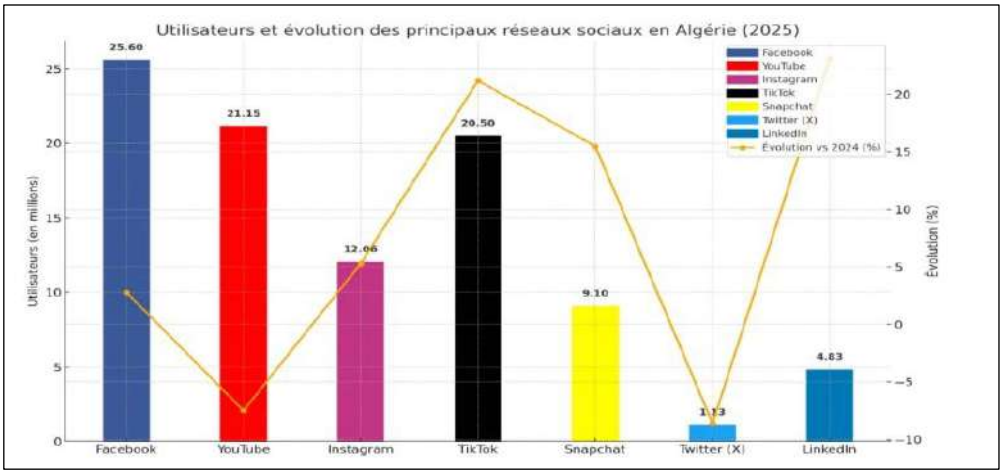


Figure 4: Users and the evolution of social networks in Algeria.
Source: [34].

The experiments conducted in this research suggest that using a small dataset for FT can produce satisfactory results. This emphasises that data quality can sometimes take precedence over quantity. Small data means fewer instructions need to be run in less time, which also helps to preserve the environment. As future work, we plan to: (i) Test DziriBZRT on other corpora. (ii) Fine tune the pre-trained DziriBERT model with texts from others sources such as Facebook and Instagram (in addition to Twitter). (iii) Deal with others Sentiment Analysis challenges such as: sarcasm or negation treatment.

V. CONCLUSIONS

In this paper, we have explored the sentiment analysis of Algerian dialect using three techniques of fine-tuning (Full, Freeze and LoRA tuning) on DziriBERT. The study is conducted on two existing datasets; ADArabic and Adouane corpus. The results of all experiments are better than the baseline, i.e. when using DziriBERT without FT. On both datasets, we found that Full and LoRA significantly improved the models, by using the complete dataset or sub-dataset. But LoRA combines the advantages of both Full and Freeze techniques, i.e. significant performance improvements like Full and a very small number of parameters to be retrained like Freeze. In addition, LoRA results usually outperforms Full ones, so we can adopt LoRA as the best FT strategy. On the other hand, LoRA has an impact on energy consumption. This helps to preserve the environment.

VI. AUTHOR'S CONTRIBUTION

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Note:

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i Calculated using confusion matrix.
ii Calculated by author of this paper.
iii https://huggingface.co/ (Accessed April 2025)
iv https://huggingface.co/alger-ia/dziribert (Accessed April 2025)
v https://huggingface.co/alger-ia/dziribert_sentiment (Accessed April 2025)
[vi] Available at : https://data.mendeley.com/datasets/zzwg3nnhsz/1 Accessed : April, 2025

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RESEARCH ARTICLE OPEN ACCESS

A NOVEL APPROACH OF TRANSFER LEARNING FOR ACCURATE BRAIN TUMOR MRI CLASSIFICATION IN BIG DATA HEALTHCARE ENVIRONMENT

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ABSTRACT

The complex structure of brain tumors and the need for prompt and accurate detection present a major challenge to the medical community. This paper suggests an improved CNN framework for classifying brain cancers in the big data healthcare arena, addressing the shortcomings of current diagnostic techniques. The CNN model was enhanced by integrating transfer learning methods and data augmentation using Magnetic Resonance (MR) images. The model's predictive performance was further improved by adding more training parameters in pre-trained deep learning models like ResNet-50, VGG-16, Inception V3, DenseNet201, Xception, and MobileNet. According to experimental results, the suggested model performs better than baseline models and achieves a 99.40% classification accuracy rate. According to this study, a more precise and effective way to diagnose brain tumors could be achieved in clinical settings by using the suggested model. The future direction suggested enhancing the dataset and further refining the model to improve its generalization capabilities in diverse clinical scenarios.

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I. INTRODUCTION

An abnormal growth of tissues in the human brain is called a brain tumor, which is a dangerous medical condition that affects the majority of people worldwide. It disrupts regular brain activity [1]. According to risk factors, the category of benign brain tumors grows gradually and does not pose a threat. On the other hand, malignant brain tumors are made up of cancer cells that start small, proliferate, and spread to other areas of the brain [2]. Early detection and diagnosis are essential for successful treatment and recovery. In this sense, scientists and medical professionals in the big data healthcare industries have invented a variety of advanced non-invasive techniques to identify and classify these tumors [3]. Recently, deep learning models have been frequently used in the process of creating automated systems for screening of tumor regions [4].

In recent times, the diagnosis of tumors using image data with the help of neural networks is becoming popular and is frequently employed for the categorization and examination of medical images. CNN models can extract more associated characteristics from the image dataset [5]. In addition, in the big data healthcare domain, recently developed sophisticated approaches, such as transfer learning, also enhance the prediction accuracy of advanced machine learning frameworks to accurately diagnose and classify brain cancers [6]. In this proposed work, we have analyzed an enhanced CNN model to diagnose brain cancer in the big data healthcare domain by classifying MR images of brain tumors.

The CNN model picks out additional detailed features from the picture data for the overall classification, making it more appropriate for the various types of tumor categorizing utilizing the tumor picture collection. Apart from boosting the model's capacity for prediction due to an insufficient image data set, we have included a transfer learning technique to ensure that the CNN model is properly aligned [7]. To smooth the implementation of the transfer learning technique, we incorporated the six popular pre-trained frameworks in this research, such as ResNet-50 [8], VGG-16 [9], Inception V3 [10], DenseNet201 [11], Xception [12], and MobileNet [13]. The training parameters generated by these frameworks are separately transferred to the CNN model to train it effectively.

The model was trained using a series of MR images of brain tumors to fine-tune it [14]. The fine-tuning process is very useful because it decreases the time complexity and does not require training deep learning frameworks from scratch. To overcome the limitations of the data size, the popular technique of data augmentation is also included in the training process [15]. At the end of the study, we compared our recommended model's performance with some baseline models, which are also equally important. The findings of the experiment verified that the recommended model accomplished more precise predictions and could be effectively implemented in the big data healthcare domain. The achievements of this proposed work are in the following order:

- In the big data healthcare domain, an enhanced CNN framework that uses advanced techniques like transfer learning for categorising and diagnosing tumors using an MRI data set is recommended.
- Some trendy frameworks, which are already trained on a huge amount of ImageNet data collection, are employed for creating training parameters or weights. The training parameters of these frameworks are separately transferred to CNN models for efficient training.
- To train models more effectively and optimise model accuracy, the advanced machine learning technique is employed to enhance the volume of the data collection.
- The estimation of the effectiveness of our suggested model is excellent when compared to baseline models.

The remaining components of this research are structured in the following sequence: In the literature review section, previous related work is explored. The suggested model approach and data collection have been explained in the "Materials and Methods" section. The proposed Experimental procedures are explained in the “experiments” section. We discussed the proposed work's relevance in the "Discussion" part. The "Conclusion" section suggests the concluding opinions and future areas for investigation.

II. LITERATURE REVIEW

Innovative techniques are applied in the scientific field of medical imaging, and various cutting-edge technologies work to make segmenting, classifying, and other diagnostic tools more user-friendly and functional. The following part provides a summary of the various successful research studies that have been performed in the field of modern AI technology, with the conclusions of their achievements.
The latest findings are encouraging and have a considerable effect on brain tumor diagnosis and treatment. By [16] classified brain cancers by applying a model of neural networks with a sophisticated architecture and high accuracy values, applying a dataset of 5,812 MRI pictures. According to [17] proposed a customized neural network framework for classifying brain tumors based on images collected from different sources.

They used advanced 10-fold cross-validation to record the results and achieved more than 96% accuracy. The model's fundamental structure makes it incapable of studying complicated patterns. In turn [18] employed a paired GAN (generative adversarial network) framework to categorise different kinds of glioma brain tumors and obtained a mean accuracy of 88.82%. To address the lack of images for classification, enhanced MRI images are provided. By [19] presented a sophisticated CNN model using the dataset. The network is constructed using graph techniques with an accuracy of 95.49%. Scatterplots and some other graphical tools are employed to display results effectively. In contrast to several CNN models, which obtained lower accuracy with the proposed model.

To classify gliomas into subtypes [20] investigated the use of the discrete wavelet transform in combination with an advanced deep neural network model. MRI scans of brain tumors were acquired via the online repository. The framework divides the medical images into four distinct stages according to the WHO guidelines, and with the right feature extraction and selection strategies, the architecture performed excellently with 96.15% accuracy. Using the feature extractors D-SURF and [21] suggested a novel categorization approach. A dataset of 3,064 photos is used in their study to provide training SVM for the classification procedure.

Even with the meticulous Extracting characteristics procedure, it performed well and achieved an accuracy of more than 90%, which indicates requirements for extra SVM fine-tuning. A comparative deep study of the various existing frameworks, like CNN, VGG 16, Inception-V3, and Resnet-50, was carried out by [22] using a collection including 3,264 MR pictures. The accuracy ranges of the models were 80% to 93.30%, respectively. The literature study indicates that current methods for diagnosing brain tumors still lack a strong predictive capacity, making it difficult to accurately diagnose brain tumors to get the right care and make a full recovery. To properly treat and recover from brain tumors in the Big Data healthcare arena, a novel, robust way of precisely detecting them is needed.

III. MATERIALS AND METHODS

III.1 DATA SET

We employed a data set of brain tumor MRI from the Kaggle web repository, which included 3064 different forms of images. [23].

III.2 INTRODUCTIONS TO CNN FRAMEWORK

The base architecture of deep learning contains a feed-forward neural network, which contains multiple hidden layers to optimize the model's performance. Deep learning consists of various types of frameworks, among them, CNN is one of the most famous and widely used frameworks for implementing deep learning techniques (Figure 1). It is widely employed in various image processing-related research areas. It is particularly used to handle grid-like structures, such as image collections. The backpropagation algorithm can be used to train CNNs. Some important layers, such as the input layer [24], convolutional layer [25], pooling layer [26], fully connected layer [27], and output layer [28], make up a convolutional neural network's main structure (Figure 1). These layers execute several tasks, including feature extraction, classification, and dimensionality reduction [29]. The filter or Kernel [30] is slid across the input shape during the convolution process, computing the feature map and the value of each output.

Designed a Sliding Kernel using a dot product expression for quick deployment, utilizing convolution as a linear operator. Let's consider y and z as input and kernel functions. We can mathematically represent the convolution process (x * y) (a) on time index t using Eq. (1).

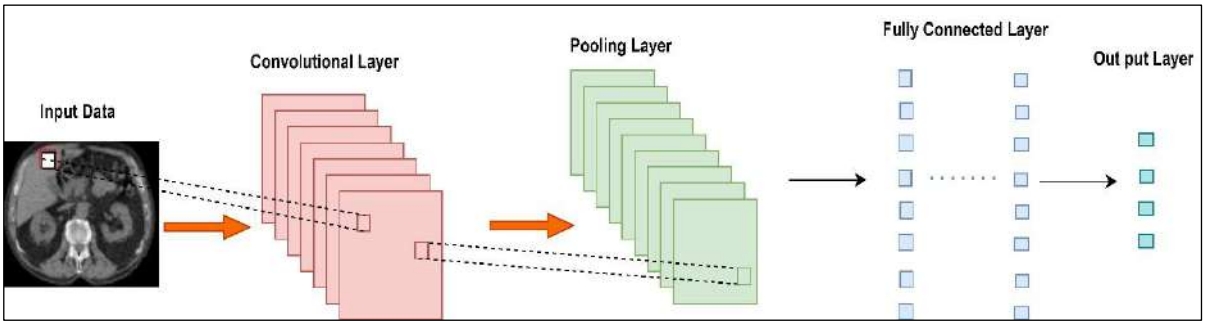


Figure 1: CNN framework for tumor classification.
Source: Authors, (2026).

$$(x * y)a = \int x(t)y(a-t)d\mathrm{a} \tag{1}$$

The CNN model typically uses 2 or 3-dimensional convolutions. Eq. (2) provides a mathematical expression for the convolution when a two-dimensional image I is used as the input and K as a 2D kernel.

$$(I * K)(i,j) = \sum_m \sum_n I(m,n)K(i-m, j-n) \tag{2}$$

Two activation functions, such as Sigmoid and ReLU, can be incorporated in addition to acquiring non-linearities. The sigmoid activation function [31] is expressed mathematically by Eq. (3):

$$\theta(x) = \frac{1}{1+\exp(-x)}, x \in R \tag{3}$$

When the output must fall within the range of binary [0,1], the sigmoid non-linear activation function is appropriate. Eq. (4) mathematically defines the second activation function ReLU [32]:

$$Relu(x) = \max(0, x), x \in R \tag{4}$$

Pooling layers are used to determine the dimensionality and provide a statistical summary of their inputs without affecting any important information. The final layer, referred to as a fully connected layer in a neural network, has input and output sizes of n and m, respectively. Weight matrices and other factors are used to express the output layer. The final layers are used for problem classification. After this layer, the output is flattened and appears as a single-dimensional vector [33].

III. 3 IMPORTANCE OF CNN FOR TUMOR CLASSIFICATION

CNN frameworks have produced noteworthy results recently in several fields, including image classification and diagnosis systems. CNNs are less complex and adapt more quickly than NLPs since they have fewer neurons and parameters. Medical image classification is a particular field in which the CNN model is quite beneficial. This study presents the design of the CNN network, which consists of four convolutional layers that contain alternate pooling layers, followed by an important dropout layer [34] presented after a regular pair of convolutional and pooling layers. To classify brain MR images into different categories (Meningioma, Glioma, and Pituitary), various components of convolutional neural networks, like a fully connected layer, pooling layer, sigmoid and ReLU activation function, and dropout layer, are used efficiently. Furthermore, we have employed the powerful optimistic algorithm, SGD [35], to train models efficiently.

III. 4 ENHANCED CNN FOR BRAIN TUMOR CLASSIFICATION

We have used advanced machine learning techniques like Data Augmentation (DA) and recently developed Transfer Learning technique to increase the projected accuracy of the proposed CNN framework. The issue of not having enough data for model training can be fixed via data augmentation. The modern transfer learning (TL) methods are frequently applied to image classification jobs. In the proposed research work, we included various frameworks that used transfer learning methods to increase the accuracy of the recommended CNN architecture.

III. 5 IMPORTANCE OF TRANSFER LEARNING TECHNIQUE(TL) IN IMAGE CLASSIFICATION

The concept of transfer learning [36] is breaking out from the isolated learning paradigm and applying knowledge gained from one task to another that is related (Figure 2).

The concept of transfer learning [36] is breaking out from the isolated learning paradigm and applying knowledge gained from one task to another that is related (Figure 2). Conventional learning is isolated, happening only based on certain tasks, datasets, and the training of distinct, isolated models on them. Nothing that is transferable from one model to another is retained. Through the use of features, weights, and other knowledge from previously trained models, transfer learning allows us to train fresh models. The ability to adapt knowledge from previously learned activities to more recent, related tasks is the goal of transfer learning.

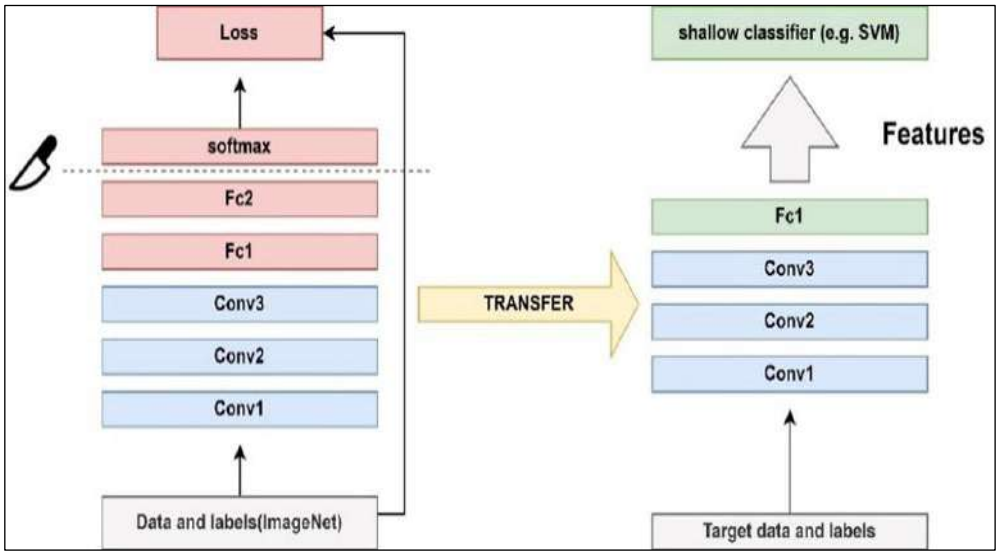


Figure 2: Transfer Learning Technique.
Source: Authors, (2026).

To increase the accuracy of the suggested CNN framework, we employed different pre-trained architectures, which have used transfer learning techniques as their core functionality. We used ResNet-50, Inception V3, VGG-16, Xception, DenseNet201, and MobileNet architectures in this research. The CNN framework was effectively trained using the training parameters provided by the above-mentioned frameworks. The CNN model was then finalized for the classification task, which is increased in volume using modern augmented technology. The distribution quantity of the data set plays an important role in the tumor classification task. The data set of tumour images used in this proposed work was split into a ratio of 70:30 for the training and testing data sets. The experimental performance is evaluated using the various performance metrics, like Matthews Correlation Coefficient (MCC), Sensitivity, Specificity, Accuracy, Precision, and F1-Score [37].

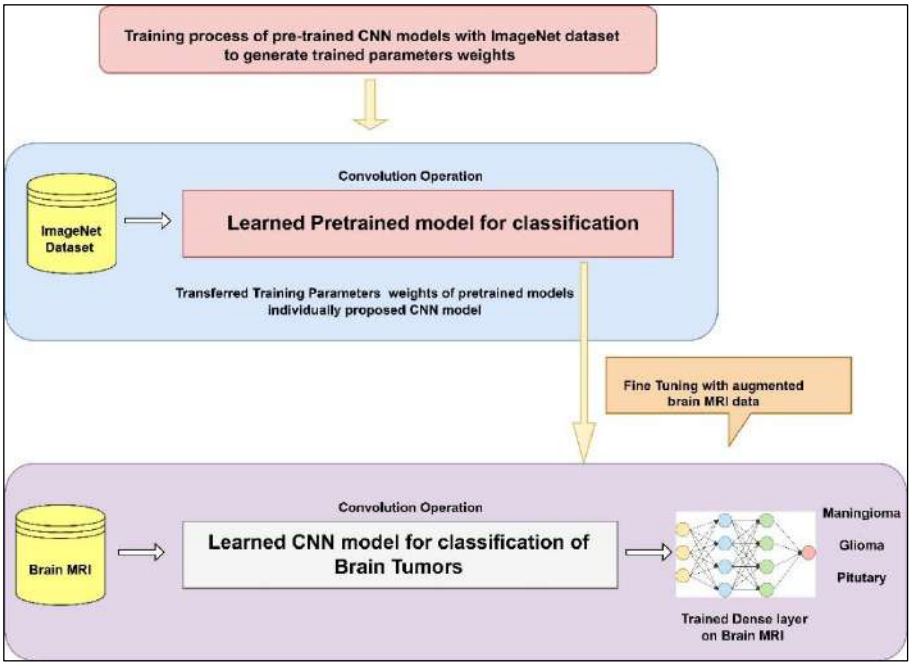


Figure 3: Functional flow chart of the proposed brain tumour classification model in a big data health care system.
Source: Authors, (2026).

CNN models are being widely used for medical image categorization issues. The CNN model can be trained more effectively with an extensive image data set because it can extract more relevant features for accurate picture categorization during the training phase. The CNN model performs worse when large picture data sets are not available, especially in the medical domain.

However, modern techniques are integrated to enhance the capacity of the recommended image classifier framework. In this work, some modern advanced techniques have been used to optimize the performance of the proposed model [38]. The previously mentioned pre-trained architecture was trained on a huge multidisciplinary ImageNet data repository, which has 10,000 object classes and 1.4 billion images. The trained parameters, which have been obtained from the above architectures, were passed to the CNN framework for efficient training on its own. The CNN architecture was improved, and its final classification in the big data healthcare system was determined with the support of MRI data collection.

Additionally, several MR images were used for training and testing work on the suggested deep-learning framework. After performing both activities, the results were compared among the transfer learning models. The suggested approach for training and testing models uses a holdout cross-validation mechanism. To enhance the proposed framework's capacity, the common method of zooming was employed in the data augmentation process to boost the original dataset. The incorporation of modern techniques significantly improved the CNN model's predicted accuracy [39]. Several assessment metrics have been utilized to determine the model's evaluation criteria. The functional flow chart of our proposed framework is presented in Figure 3, and the algorithm in Figure 4.

Algorithm : Proposed brain tumor classification model in Big data healthcare system

Input: E Number of epochs; w: Transfer learning model parameters; η: Learning rate; b : Batch size; X_{train} : Brain tumor training data set; X_{test}: Brain tumor test data set; X': ImageNet data set.

Output: P_{test} : The assessment metrics are computed on the test data Initialize transfer learning models parameters w

Transfer Learning :

for local epochs $e \leftarrow 1$ *to* E **do**

  for $b = (x, y) \in$ random batch from X_i' **do**

    Optimize model parameters

    $w_i \leftarrow w_i - \eta\,(\Delta(\varphi(w_i; b)))$

  end

end

Initialize upper layers of classification model parameters θ with trained transfer model parameters w and freeze

Tumor classification Training :

Pre-process brain tumor data set

$X_{train} \leftarrow preData(X_{train})$

$X_{test} \leftarrow preData(X_{test})$

while θ has not converged **do**

  for local epoch $e \leftarrow 1$ to E **do**

    for s = (x,y) ∈ random batch from X_{train} **do**

      Update model parameters

      $\theta_i \leftarrow \boldsymbol{\theta_i} - \eta\,(\boldsymbol{\Delta(\varphi(\theta_i; s))})$

    end

  end

end

Evaluate trained model with brain tumor test dataset $X_{test} \leftarrow$ computeMetrics(θ_i; X_{test})

return P_{test}

Figure 4: Algorithm for the proposed brain tumour classification model in a big data health care system.
Source: Authors, (2026).

Table 1: CNN Framework Performance Based on Original and Augmented Image Collection.

Image data set	Training Parameters		Framework Assessment matrix					
	Framework Optimizer	Learning Rate	Accuracy (%)	Specificity (%)	Sensitivity %)	precision (%)	MCC(%)	F1-Score(%)
Original data set	SGD	0.0001	97.30	98.04	96.15	99.03	98.82	97.35
Augmented data set			98.52	99.00	98.10	97.16	98.40	98.04

Source: Authors, (2026).

IV. EXPERIMENTS

❖ **Experimental setup.**

We tested the feasibility of our suggested structure in the big data healthcare system through several evaluations. In the proposed research work, the brain tumour MRI collection was utilized to test the proposed model. To produce trained parameters (weights), we used six CNN frameworks that are already trained on large image data sets. For effective model training, we transferred the trained parameters to the CNN architecture separately. The CNN framework's prediction accuracy was enhanced as an output. The CNN model's final classification and fine-tuning were performed using MRI data collection. The various forms of MRI images (glioma, meningioma, and pituitary) represent 233 patients and 3064 slices in the data.

This data collection is far too small to train the CNN model efficiently. A modern data enhancement method augmentation has been utilized to address the issue of tiny brain tumours. The three types of photos are added to existing photographs using the data augmentation approach (zooming), which involves zooming both horizontally and vertically [40]. The SGD Optimization technique is used to optimize the model efficiently. Furthermore, in every experiment, some important parameters like learning rate (LR), batch size = 120, epochs = 50, SGD = 0.0001, and outer and inner activation function ReLu are employed. It is important to note that the softmax activation function was applied to our CNN model's final prediction layer. Evaluation indicators are integrated to assess the accuracy of the framework. The experimental results were graphed and tabulated.

V. RESULTS AND ANALYSIS

There are 233 participants and 3064 slices in the Brain Tumor data set. Of these, 82 subjects have meningioma (with sections 708), 91 have gliomas (with slices 1426), and 60 have pituitary tumours (with segments 930). As a result, there are 233 subjects in the data overall, and there are 3064 slices total. To effectively train the model, the dimension of 512 × 512 × 1 must be reduced to 224 × 224 × 1. The popular data augmentation approach was employed on the source dataset of brain tumour images by applying random zooming to address the imbalance issue in the dataset. Every slice is being magnified, and a new data collection has appeared, which contains 6128 image slices.

V.1 EXPERIMENTAL RESULT ANALYSIS OF THE CNN MODEL, WITH AUGMENTED AND ORIGINAL DATA COLLECTION

The source and enhanced tumour MRI data collection are employed to analyse the efficiency of the suggested CNN framework. The recommended CNN architecture is set up with the necessary hyperparameters. 70% of the image collection is utilized for model training, while 30% is used for testing the model. Various assessment matrices were employed to examine the accuracy of the architecture. Table 1 summarizes all these hyper-parameter values as well as the output of the experiments. Table 2 shows the results, based on the suggested CNN frameworks with original and augmented MRI data collection. The various forms of tumors (glioma, meningioma, and pituitary) are efficiently classified by our CNN design, as evidenced by the 97.30% accuracy rate.

The Proposed CNN model's 98.04% specificity demonstrates that it is an excellent detection model for identifying healthy patients, and its 96.15% sensitivity indicates that it detected the affected subjects with significant accuracy. Conversely, after being trained and assessed on an expanded image collection, the recommended architecture demonstrated exceptionally high efficiency. The suggested framework yielded 98.52% of training accuracy, 99.00% of specificity, 98.10% of sensitivity, and 98.40% of MCC. The framework's training accuracy increased from 97.30 to 98.52%, highlighting the significance of the data augmentation procedure. Additionally, it showed that additional data is needed for the recommended framework to be trained and work efficiently. Figure 5 represents the above analysis in chart format.

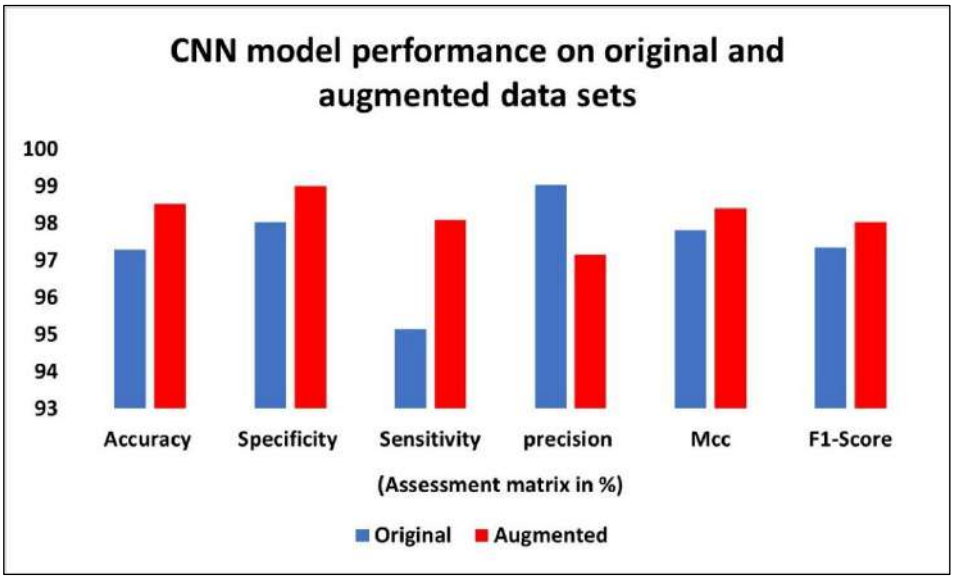


Figure 5: CNN framework efficiency chart based on original & augmented data collection.
Source: Authors, (2026).

Table 2: Comparative Analysis of Different Transfer Learning Frameworks' Efficiency Based on Original and Augmented Data Collection

Pre-trained frameworks	Proposed data set types	LR	Assessment metrics					
			Accuracy (%)	Specificity (%)	Sensitivity (%)	precision (%)	MCC(%)	F1-Score(%)
ResNet50	Original	0.0001	99.05	100.00	89.50	98.74	98.65	99.52
	Augmented	-	99.40	99.06	96.12	99.21	99.15	99.42
VGG-16	Original	-	96.76	99.21	95.00	96.98	98.92	97.97
	Augmented	-	97.87	98.01	100.00	96.97	98.78	99.01
Inception V3	Original	-	97.01	99.01	99.86	98.81	95.75	98.08
	Augmented	-	98.01	100.00	98.65	97.54	99.01	97.20
DenseNet201	Original	-	97.01	99.97	98.12	99.13	97.97	99.08
	Augmented	-	97.80	100.00	97.44	95.67	99.02	99.31
Xception	Original	-	98.10	98.86	97.30	99.01	99.12	98.64
	Augmented	-	98.87	99.01	98.50	97.23	97.98	99.20
MobileNet	Original	-	98.07	99.42	93.10	99.11	97.64	93.23
	Augmented	-	98.57	100.00	99.66	93.97	99.31	99.04

Source: Authors, (2026).

Based on the experimental findings, we deduced that the suggested convolutional neural network framework successfully categorized the different kinds of tumor MR images. Additionally, the augmentation procedure enhanced the CNN model's performance by providing additional data to extract more relevant attributes. The performance of various previously mentioned pre-trained frameworks has been measured on both the source and augmented MRI data collection. The experimental findings based on various pre-trained deep learning models and their hyperparameter values have been represented in Table 2, Figure 7 represents the above comparison in a pictorial format using the graphical chart method. After analysing the findings, we deduced that the method of augmenting data improved ResNet-50's training accuracy and that the model successfully identified the different kinds of brain tumours based on MRI.

V.2 ACCURACY COMPARISON OF THE PROPOSED (RESNET 50) FRAMEWORK WITH LEADING-EDGE ARCHITECTURES

In Table 3, we have contrasted the accuracy of our ResNet-50 model with cutting-edge techniques. The graphical representation of the accuracy comparison is depicted in Figure 6. The suggested model achieved 99.40% accuracy, which is the highest when compared to other cutting-edge methods. The suggested method's great performance showed that tumour images (gliomas, meningioma, and pituitary) are accurately classified by it and that it is a simple process to use in the big data health care domain.

Table 3: Performance Comparison with Previous Models.

Model	Accuracy (%)	Reference
ANN and KNN	97.98	[38]
GA-CNN	94.2	[39]
SVM and KNN	85.88	[40]
CNN-TF	94.82	[41]
Proposed method ResNet	99.40	2025

Source: Authors, (2026).

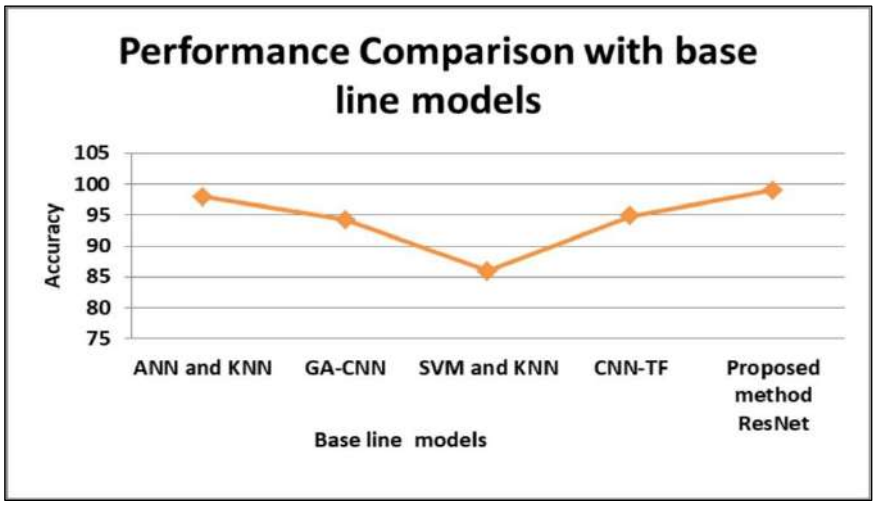


Figure 6: Proposed framework comparison with some baseline methods
Source: Authors, (2026).

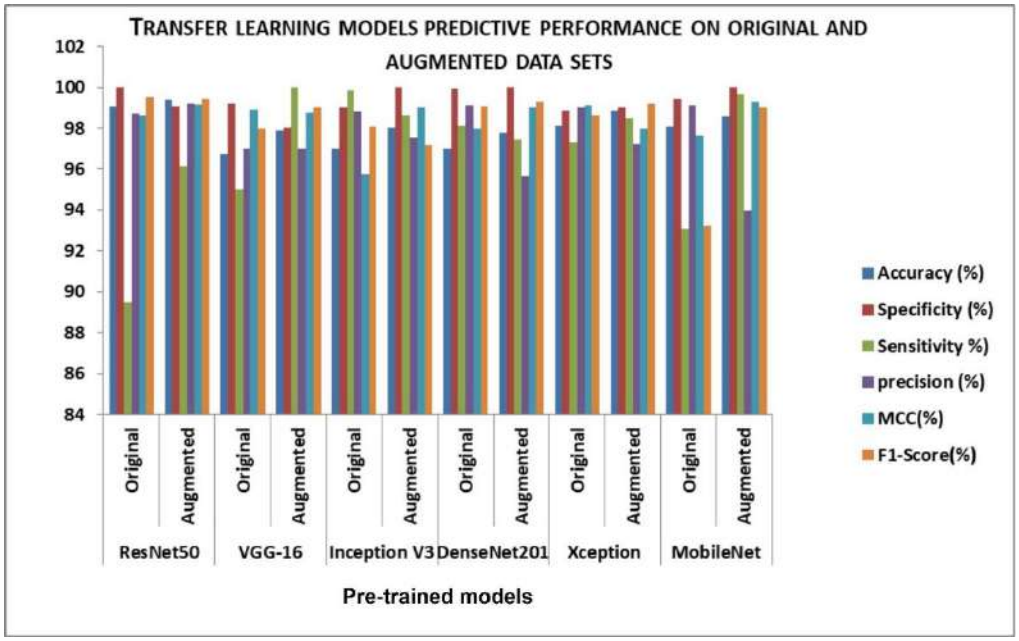


Figure 7: Comparative analysis of various transfer learning models' performance based on source and augmented data collection.
Source: Authors, (2026).

VI. DISCUSSION

The identification and classification of MR images are essential for the analysis of brain cancer in big data healthcare systems. In a big data healthcare system, computer-automated diagnostic systems (CAD) based on artificial intelligence (AI) can accurately diagnose many diseases. Deep learning methods, particularly CNNs, are extensively employed in CAD systems for the diagnosis of serious illnesses. The advanced machine learning-based deep learning framework is mostly employed for the detection and classification of medical pictures. Deep characteristics that are extracted from image data by the CNN model were crucial to the final classification of the images. Researchers have suggested several techniques for diagnosing brain cancer utilizing deep learning models and brain MR image data. Nevertheless, the accuracy of these current techniques is lacking.

To overcome this medical problem, which is related to MR images, an advanced and efficient approach is required for the precise and effective diagnosis of the illness in big data healthcare systems. In the proposed work, a CNN framework is recommended that categorizes different tumors from magnetic resonance imaging. For final classification, the recommended frameworks collect detailed attributes from the brain MRI collection. We have implemented a transfer learning approach to enhance the CNN model's predictive capacity [41]. In comparison to baseline approaches, the suggested method produced excellent results, as shown in Table 3, Figure 6, regarding meningioma, glioma, and pituitary categorization. Moreover, the suggested approach might be effortlessly used for the identification and categorization of tumor images in the big data healthcare domain.

VII. CONCLUSION

The CNN model is important for accurately classifying medical images, and it is utilized in the majority of CAD systems to analyze medical image data. We have presented an advanced diagnosis technique for classifying brain tumors in our proposed research work. In the suggested approach, we have employed brain tumor MR imaging data to perform training of various neural networks for the classification of tumor images which are related to the brain. We have included two modern and popular approaches to improve the recommended framework's prediction power.

Comparing the testing findings to baseline approaches, the recommended architecture(ResNet 50) achieved 99.40% enhanced accuracy, which is excellent in comparison to any other frameworks. The suggested method's good prediction results defined efficient data pre-processing and model parameter adjustments, including layer counts, optimizer, and activation functions. The suggested ResNet 50 model performs well, which makes it potentially useful for diagnosing brain cancer and classifying brain tumors in the context of a big data Healthcare system. To diagnose brain tumours in the future, we'll employ further deep-learning methods and datasets about brain tumors.

VIII. AUTHOR'S CONTRIBUTION

Conceptualization: Sunill Kumar Agarwal, Yogesh Kumar Gupta.
Methodology: Sunil Kumar Agarwal, Yogesh Kumar Gupta.
Investigation: Sunil Kumar Agarwal, Yogesh Kumar Gupta.
Discussion of results: Sunil Kumar Agarwal, Yogesh Kumar Gupta.
Writing – Original Draft: Sunil Kumar Agarwal, Yogesh Kumar Gupta.
Writing – Review and Editing: Sunil Kumar Agarwal.
Resources: Sunil Kumar Agarwal.
Supervision: Yogesh Kumar Gupta.
Approval of the final text: Sunil Kumar Agarwal, Yogesh Kumar Gupta.

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RESEARCH ARTICLE OPEN ACCESS

REVIEW OF TOWARD A CIRCULAR ECONOMY IN THE TIRE INDUSTRY: INTEGRATING LIFE CYCLE ASSESSMENTS AND RECYCLING INNOVATIONS

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ABSTRACT

The global tire industry generates approximately 1.5 billion end-of-life tires annually, amplifying waste, emissions, and health risks. This review synthesises contemporary life cycle assessment (LCA) evidence and recycling innovations, including pyrolysis, microwave devulcanization, and hybrid thermochemical routes, to map credible pathways toward circularity. We identified four persistent gaps: heterogeneous LCA methods and data silos, misaligned policy incentives, scalability and profitability limits of advanced recycling, and fragmented adoption of sustainable materials. To address these issues, we propose an integrated framework that couples standardised, sector-specific, and dynamic LCAs with modular, upgraded pyrolysis for high-value recovery (carbon black substitutes, oils, and steel), design-for-circularity (renewable elastomers and sensor-enabled tires), and enabling instruments (extended producer responsibility, differentiated subsidies, and carbon crediting). The framework establishes feedback loops between tire design and end-of-life performance, supports regionally deployable solutions, and prioritises the use of interoperable data platforms, pilot deployments, and policy realignment. Collectively, these measures can accelerate the tire sector's transition from linear to circular models while minimising environmental burdens across the production, use, and end-of-life stages.

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I. BACKGROUND AND MOTIVATION

The global tire industry, with a market size exceeding $250 billion, is indispensable to modern mobility and poses a formidable environmental challenge. This is due to the excessive demand in the automotive industry for the use of vehicles such as cars, motorcycles, and heavy vehicles such as lorries and buses, as well as the development and aerospace sectors such as airplanes. According to previous studies, as living standards rise and the number of automobile owners increases each year, an increasing number of people choose transportation as their major mode of mobility. [1] Approximately 1.5 billion tires reach end-of-life annually, contributing to a growing stockpile of waste and associated environmental hazards, such as fires, leachate, and microplastics.

Furthermore, incorrect disposal procedures have turned the growing number of waste tires into a severe environmental issue, as they can contaminate the air and soil, spread dangerous diseases, and offer habitats for rats. Therefore, finding an environmentally appropriate approach to dispose of these old tires is critical. Recycling materials from old tires is increasingly regarded as a sustainable method for disposing of unwanted tires owing to its numerous benefits. Recycling old tires can reduce CO2 emissions by approximately 1523 tonnes per year, according to a life cycle study that examined the environmental effects of textile fibres salvaged from discarded tires. [2] However, owing to continuous innovations in tire design and material science, the industry struggles to transition from a linear to a circular model.

These due to break from the linear model, a creative process of systemic reconfiguration and flexibility is necessary. As a result of the technological revolution of the previous 200 years, the modern world is a complex system of interconnected parts surrounded by extensive stakeholder networks, rules, and incentive systems. These reasons make systemic sustainability change more challenging, both individually and in tandem with globalisation and shifting social expectations. The current unsustainable system has become stable due to the linear model's intrinsic lock-in inertia, which includes sunk costs in infrastructure, skills, and established economies of scale. As a result, transitioning to the circular model demands consideration of complex relationships and structural changes. Because of the significant initial investment, transitioning to an incentive structure based on long-term sustainability principles typically results in poor, short-term financial performance. Governments must play an important role in internalising the externalities associated with resource exploitation and waste disposal to change the current fiscal, accounting, and regulatory frameworks. [3]

Circular economy (CE) principles offer a conceptual and operational framework for reducing waste, extending product lifecycles, and recovering materials for reuse. However, the translation of CE concepts into measurable and scalable industry practices, particularly within the tire lifecycle, remains underdeveloped. Life cycle assessments (LCA) and advanced recycling technologies are essential instruments in this transition but are unevenly adopted across sectors and geographies. [4] This is because the implementation of a CE may have a disproportionate impact on certain groups or individuals, and there is a risk that it will exacerbate existing imbalances. The shift to a CE raises social challenges, such as income distribution, employment patterns, and the effectiveness of existing political structures. It has been claimed that CE will alter employment patterns across several industries, necessitating a shift in labour costs rather than material pricing. Furthermore, the transition to a CE may increase competition for resources, raising raw material costs and making acquisition more difficult for small businesses and low-income individuals. [5]

I.1 STATE OF THE ART

Recent literature reflects the increasing momentum toward sustainability in the tire sector. Advances in LCA methodologies, including attributional and consequential models, allow for detailed comparisons of recycling, pyrolysis, retreading, and incineration pathways [6], [7]. For example, crumb rubber production, a widely used recycling method, performs moderately well in terms of environmental impact but is often constrained by market saturation and quality degradation issues. This is because tires consist of numerous finely developed elements, including treads, belts, inner liners, and sidewalls. When the performance characteristics of these parts are integrated, the resulting tires are strong, durable, dependable, and safe. These characteristics ensure the durability of the tyre materials and particles in the environment. Tires contain several chemicals and molecules, many of which are proprietary [8]. Tires are mostly constructed of rubber, with a framework consisting of textiles or metal mesh. Different tire brands, types, and components employ proprietary rubber formulas [9–13].

According to previous studies [12], tire rubber is typically composed of 40-60% synthetic and/or natural rubber, 20-25% fillers and reinforcing agents such as carbon black and silica, 12-15% process or extender oils, vulcanisation agents such as Zn and thiazoles, and additional additives such as preservatives and processing aids (5-10%). The ratio of natural to synthetic rubber in tires is approximately 50:50; trucks have more natural rubber, passenger cars have more synthetic rubber, and heavy-duty vehicles have little to no synthetic rubber [14]. Tires contain thousands of chemicals, including polycyclic aromatic hydrocarbons (PAHs), contaminants in manufacturing feedstocks, weathering or transformation products as tires age, and intentionally added chemicals such as N-(1,3-dimethylbutyl)-N′-phenyl-p-phenylenediamine (6PPD, DTXSID9025114; CAS 793-24-8) [15]. As a result, the chemical composition of the tyre wear particles varies.

Consequently, it is difficult to track and classify tire particles and tire-derived chemicals in environmental samples, anticipate the fate of tire microplastics, and assess their ecotoxicological impact. Research on the general and quantitative chemical composition of tyre rubber is still critically needed to produce new recycled types. Moreover, new materials research has led to the development of bio-based and smart elastomers, which may increase recyclability and reduce environmental burdens during use [16]. Simultaneously, integrated frameworks for tire lifecycle extension, such as predictive maintenance via AI and embedded tire sensors, suggest avenues for proactive waste minimisation. However, the systemic integration of these solutions remains rare. While a few smart city projects (e.g. in Europe and East Asia) incorporate tire recycling into urban sustainability plans, many regions still rely on landfilling or uncontrolled incineration [17], [18].

I.2 DEFINING THE RESEARCH GAP

The overarching gap lies in the absence of a unified operational framework that synthesises Life Cycle Assessment (LCA) results and innovative recycling methods into actionable circular business models. Several critical micro-gaps emerge within this broader challenge which are data silos and standardisation challenges in comparing LCA studies across tire types and regions [19]. In production and trading companies, life cycle evaluation can be used to address both general concerns and specific commodities issues. Waste management strategies, action plans, and design enhancements can be developed based on these findings and compared with those of other companies [20]. Environmentally friendly transportation must be designed using data from different sources. The increased use of cars has considerably influenced the natural environment. Multinational decision-makers must collaborate to change the current scenario [21].

To satisfy a specified vehicle tire recovery level, manufacturers and importers must follow regulations governing waste and product management constraints and deposit requirements. If they do not meet these conditions, they will face penalties [22]. Given the foregoing, the environment's ability to meet the demands of contemporary systems on natural resources is rapidly eroding. Concerns surrounding the assessment of the environmental impact of automotive tires must be addressed. A review of several studies on the environmental impact of commodities, such as vehicle tires, throughout their life cycle, shows that it is critical to identify specific sets of impacts and their sequence. Current and future costs should be considered. For example, a natural rubber tire has a different environmental impact than a regular automobile tire [23].

In addition, the insufficient scalability and profitability of newer pyrolysis-based systems despite their carbon offset potential [24]. The pyrolysis process can significantly benefit waste polymers that are typically difficult or impossible to recycle. This technique provides a realistic pyrolysis option for the economical and environmentally responsible reuse or disposal of these polymers, converting them into useful chemicals and fuels. Finally, pyrolysis can be beneficial to enterprises. However, in term of the scalability of system pyrolysis recycling is limited by the lack of usable space for expansion, scaling operations for viability, modularization, and quick turnaround time-speed to market. This is because the number of waste tires in this modernising environment has been a lot of increased significantly, and it is not sufficient to use the pyrolysis system.

The industrial sector still uses the old-school method of burying the remaining waste tires [25]. In addition, the fragmented adoption of sustainable materials is largely confined to research laboratories or niche commercial applications [26]. According to the European Tyre and Rubber Manufacturers' Association (ETRMA) statistics, the most commonly used technique among the various end-of-life tire recycling activities in 2018 was grinding or shredding used tires. This creates a significant challenge for researchers because it combines the material properties of one tire with another. The shredding process produces the so-called "chips," which are often used as alternative fuel (energy recovery). The ETRMA has released new, worrying numbers, revealing that 318 800 t of tires were wasted in 2018, a 12% rise over 2017. As evidenced by the statistics presented above, the disposal of worn tires is a major environmental concern that poses numerous challenges for researchers and corporate executives.

Thus, it is impossible to justify research on material recycling technologies for used tires [27]. Finally, Disjointed policy frameworks, where incentives for circular practices are either absent or misaligned with technical feasibility [28]. The existence of fragmented policy frameworks, where incentives for circular practices are either non-existent or not in line with technical feasibility, represents a major research gap in the tyre industry's efforts to advance a circular economy. Although the necessity of encouraging recycling, reuse, and resource efficiency in tire manufacturing and end-of-life management is becoming more widely acknowledged, current laws and policies sometimes fall short of offering cogent, helpful frameworks that are in line with what is both technically and financially feasible.

For example, subsidies or tax incentives might favour incineration over material recovery, even though, when considering life cycle assessments (LCA), the latter has a higher potential for environmental advantages. Furthermore, inconsistent policies across areas may stymie the development and deployment of novel recycling technologies by causing ambiguity and dispersion in market signals. These legislative misalignments might deter investment in sustainable design and enhanced recovery processes, as businesses may not see obvious benefits or returns under the present frameworks. Addressing this gap necessitates integrated policy approaches that not only incentivise circular innovations but are also informed by strong LCA data, ensuring that environmental objectives are achieved in ways that are both technically possible and commercially appealing [29].

I.3 OBJECTIVES OF THIS REVIEW

This study aims to map the transition of the tire industry toward circularity through an integrated review of life cycle assessments and recycling innovations. Specifically, the review will revealed about analyzes the strengths and limitations of LCA as a decision-making tool for tire recycling. In addition, the current and emerging recycling technologies, including pyrolysis, DE vulcanisation, and AI-enhanced separation, are evaluated. Second, identify the policy and industrial barriers that hinder circularity. Finally, a synthesised framework is proposed for advancing circular strategies in tire production, use, and end-of-life treatment.

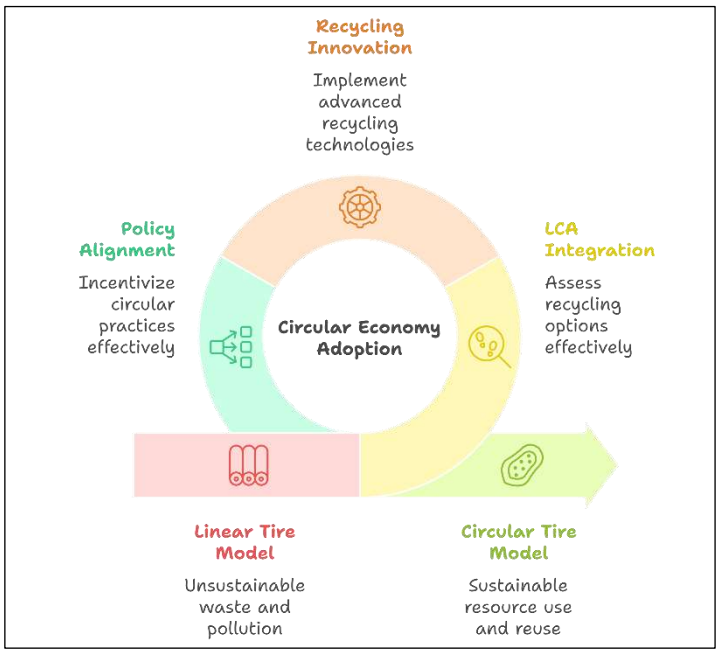


Figure 1: Transitioning to a Circular Tire Industry.
Source: Authors, (2026).

II. HYPOTHETICAL SOLUTIONS FOR SEVERAL POSSIBLE BEST METHODS TO CLOSE THE GAP

Researchers have estimated various viable but inconsistently implemented approaches for bridging the systemic and technological gaps in the circular transformation of the tyre industry. These initiatives are divided into four main areas: materials science, policy integration, LCA standardisation, and technical innovation. These are explained in detail in each category below.

II.1 LIFE CYCLE ASSESSMENT (LCA) HARMONIZATION AND EXPANSION

LCA has become the cornerstone of environmental impact analysis; however, inconsistencies in methodologies and assumptions often limit comparability. A unified LCA framework tailored for the tire industry that accounts for regional, material, and use-phase variability could provide more actionable insights across the value chain. One proposed solution is a sector-specific LCA toolkit based on ISO 14040/44 but enriched with tire-specific inventory data, material degradation profiles, and recyclability indices [30]. Standardising LCA categories, such as global warming potential (GWP), acidification, and resource depletion, would foster comparability between tire brands and recycling strategies. Moreover, dynamic LCA models that integrate real-time data (e.g. wear sensors and GPS-based usage) could move the field beyond static cradle-to-grave snapshots toward adaptive cradle-to-cradle loops. Figure 2 shows an illustration of the LCA.

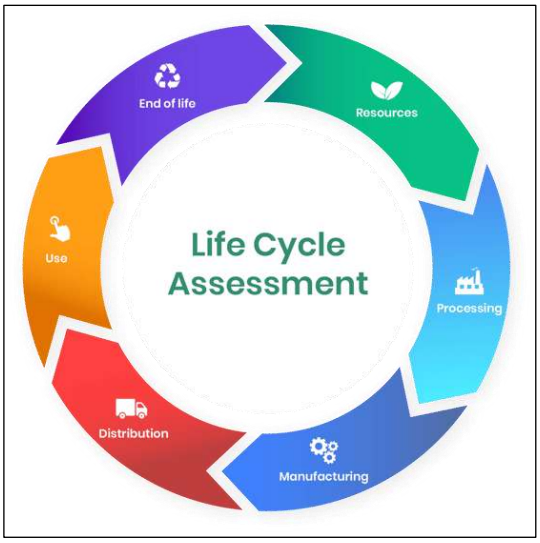


Figure 2: Life Cycle Assessment (LCA).
Source: [31].

II.2 ADVANCING TIRE RECYCLING TECHNOLOGIES

Pyrolysis, microwave devulcanization, and supercritical fluid extraction are increasingly recognised as next-generation recycling pathways. These technologies enable the recovery of high-value materials, such as carbon black, steel, and oil. Therefore, it is necessary to upgrade pyrolysis systems with continuous feed reactors, and gas cleaning units are being tested to improve the yield and reduce emissions [32]. The intention is to build a waste tyre (WT) pyrolysis and upgrading factory with an annual capacity of 100,000 tonnes, which will be allowed. Figure 3 depicts the pyrolysis of WT to produce high-value pyrolytic materials and the construction of new tires using M-CBp. Following the pre-stripping of the steel wire, the WTs were cracked in a revolving kiln to generate three-phase products. Subsequently, TPO and CBp were improved independently.

The pyrolytic gas served as the fuel for pyrolysis. The TPO components were separated into light, medium, and heavy oils based on their boiling points using a three-stage atmospheric and vacuum distillation tower set. The light and medium fractions completed sulphur removal to produce low-sulfur petrol and diesel. In terms of CBp, M-CBp created through various modification processes might be used to replace various proportions of commercial carbon black used in new tire production. Waste heat from pyrolytic gas combustion and TPO refining was recycled to generate steam (400 °C, 0.5 MPa) and low-quality steam (200 °C, 0.5 MPa) as byproducts of circulation.

In addition, microwave devulcanization allows for the selective cleavage of sulfur crosslinks, preserving the rubber backbone, which is a major advantage over mechanical shredding [33]. Devulcanization procedures vary according to the reaction mechanisms, which are physical, chemical, and biological. In the physical process, waste rubbers are devulcanized using external energies such as thermal, cryo, mechanical, microwave, or ultrasonic. To recuperate waste rubbers, a chemical process generates phenol sulphide and disulphides. Furthermore, in biotechnological processes, bacteria such as chemolithotrophic microorganisms and Nocardia species have been used to devulcanize scrap rubber. Among these approaches, microwave devulcanization has been extensively explored because of its high efficiency and superior control over the ultimate temperature, which plays an important role in devulcanization.

In addition, hybrid approaches that couple mechanical pre-processing with thermochemical recovery optimise throughput and energy efficiency. This type of process can be classified based on the target product, such as gas, liquid, or solid, the oxidation environment (partial or anaerobic), and the type of feedstock (wet or dry). Thermochemical conversion methods hold significant promise for producing renewable electricity through waste and coal co-combustion in power plants and for decentralised generation in underdeveloped nations. Additionally, using thermochemical processes to generate electricity from waste can contribute to meeting renewable portfolio standards in certain US states [34]. This type of transformative but underexplored option is modular recycling systems embedded within urban environments, allowing for decentralised, demand-responsive treatment, especially in smart cities pursuing circularity.

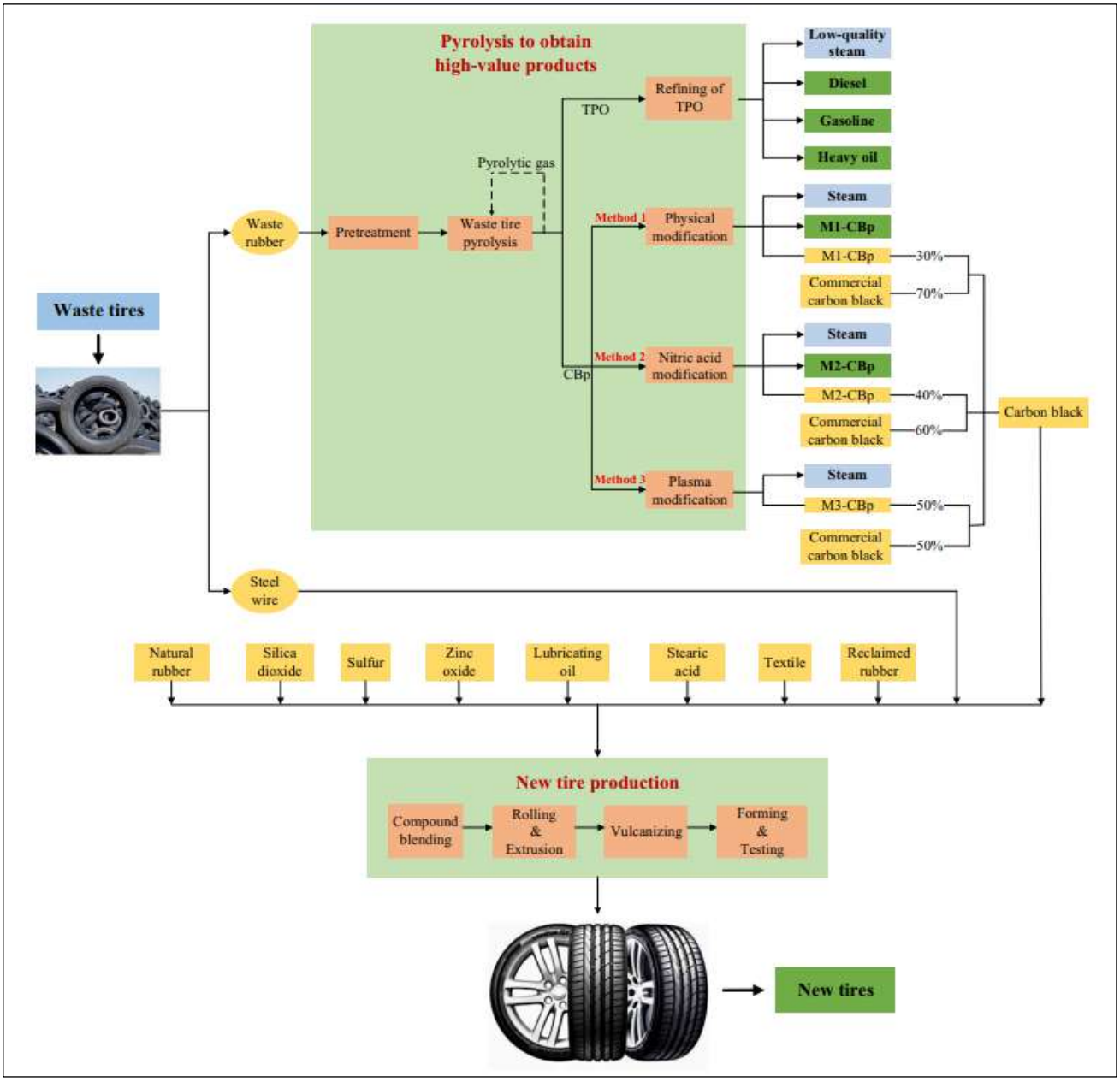


Figure 3: Flowchart of the closed loop of waste tire pyrolysis and new tire production.
Source: [32].

II.3 SUSTAINABLE AND CIRCULAR TIRE DESIGN

To achieve true circularity, tire design must anticipate end-of-life (EOL) processing. Several innovations show promise, such as dandelion rubber (Taraxacum kok-saghyz) and guayule as renewable elastomer sources, which reduce fossil dependency and potentially simplify devulcanization [35]. In addition, modular tire architectures that separate the tread from the carcase via mechanical fasteners could enable selective reuse and recycling. In addition, the provided sensor enabled smart tires to track wear and performance, potentially informing dynamic LCA models and enhancing product stewardship [16]. However, these solutions require compatibility with existing manufacturing lines and standardisation across different suppliers. This means that it is necessary to know each region and country that supplies the particular types of tires that match the environment.

II.4 POLICY, ECONOMIC INSTRUMENTS, AND INDUSTRIAL SYNERGIES

Public policy remains a significant bottleneck. Despite mandates in the EU and extended producer responsibility (EPR) laws in some countries, enforcement remains uneven. So to link with the policy and EPR laws. The proposed strategies include differentiated subsidies or tax incentives for tires that meet recyclability and life cycle performance thresholds. EPR frameworks internalise the cost of post-consumer waste and promote closed-loop models [36]. In addition, industrial symbiosis, where tire waste is co-processed with other industrial byproducts (e.g. in cement kilns), optimises material flows and emissions profiles [37]. Finally, emerging carbon credit markets could monetise the environmental benefits of high-efficiency tire recycling, providing additional incentives for early adopters [19].

II.5 INTEGRATIVE PLATFORMS AND CROSS-SECTORAL COLLABORATION

These can give the complexity of tire circularity; no single actor or intervention can succeed alone. Interdisciplinary platforms that bring together material scientists, LCA practitioners, policymakers, and industry stakeholders are essential. Emerging digital twins and collaborative LCA databases can catalyse such integration, enabling data transparency, interoperability, and benchmarking.

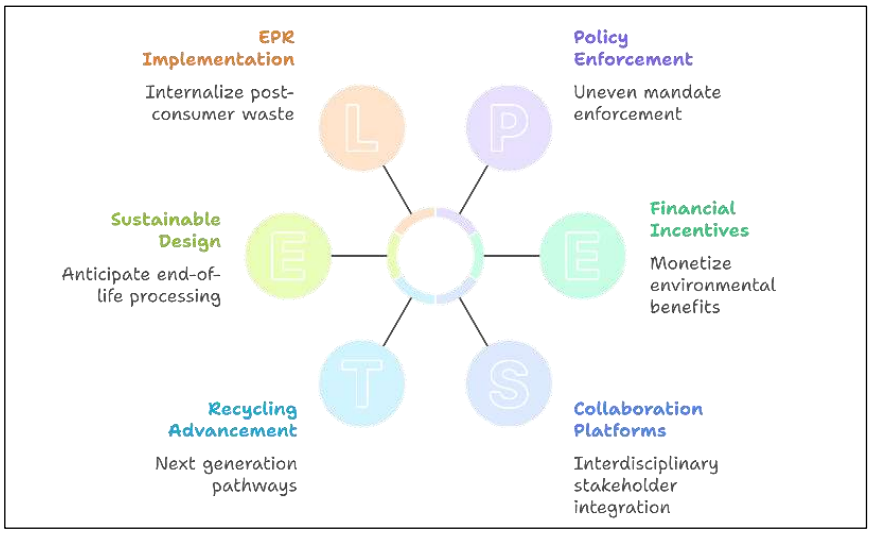


Figure 4: Tire Industry Circular Transformation.
Source: Authors, (2026).

III. THE BEST METHOD AMONG THEM AND HOW IT CAN CLOSE AND SOLVE THE GAP

Although numerous solutions have been proposed to address the linearity of the tire industry, not all offer equal potential in terms of scalability, system integration, and environmental efficacy. After a critical assessment of the approaches outlined in Chapter 2, one method emerges as the most promising: Integrated Life Cycle–Informed Modular Pyrolysis within a Circular Policy Framework. This hybrid strategy unifies real-time LCA modelling, advanced modular pyrolysis, and policy-supported circularity incentives to create a closed-loop system. This section defends its selection and details how it addresses the key structural and environmental gaps in the industry.

III.1 SUPERIOR MATERIAL RECOVERY

Among all the reviewed recycling technologies, advanced pyrolysis offers the broadest material recovery profile, yielding carbon black substitutes (CBp), oils, and steel. When enhanced with modular scalability and upgraded reactor design, pyrolysis provides both high throughput and regional flexibility [38]. Critically, pyrolysis does not require prior sorting by material type and can handle mixed, contaminated, or aged tires, which often overwhelm mechanical or devulcanization-based methods [33].

III.2 INDUSTRIAL INTEGRATION POTENTIAL

The pyrolysis byproducts can reenter the supply chain, making this method uniquely compatible with circular manufacturing. Carbon black recovered via pyrolysis has shown near-commercial-grade performance when upgraded chemically or physically. This allows for partial substitution in new tire manufacturing, thereby reducing raw material demand and production emissions [26].

III.3 THE ROLE OF DYNAMIC, DIGITAL LCA

Static LCAs fail to capture the real-time variability in tire performance and end-of-life impacts. Embedding IoT sensors in tires and using cloud-based LCA platforms enable "living LCAs" that adjust impact predictions based on wear, driving behaviour, and regional recycling options. These LCAs are not only descriptive but also prescriptive; they can recommend optimal end-of-life treatment routes, for example, prioritising pyrolysis if a tire has high embedded energy or directing mechanical recovery if treads are intact. When integrated with digital twins, these models can simulate various circular scenarios, allowing manufacturers and policymakers to select strategies that minimise ecological and economic costs.

III.4 POLICY SCAFFOLDING AND INCENTIVIZATION

Even the most advanced technologies require policy scaffolding to thrive. Integrated modular pyrolysis succeeds when supported by differentiated recycling subsidies favoring high-yield, low-emission technologies. Besides that, EPR regulations that mandate material traceability and minimum recycled content in new tires [39] and digital certification of carbon savings, enabling manufacturers to monetize their environmental performance through carbon credits or product ecolabels [19]. Such measures close the economic loop and create systemic incentives to adopt and sustain circular practices across the tire lifecycle.

III.5 FEEDBACK LOOP BETWEEN MATERIAL DESIGN AND END-OF-LIFE PATHWAYS

The most critical function of this integrated strategy is that it enables a continuous feedback loop between tire design and end-of-life recovery. If a certain compound in a tire hinders pyrolysis efficiency, that information can be fed back into material R&D. If a modular pyrolysis unit reports higher yields from tires made with renewable elastomers (e.g. dandelion rubber), this can drive design innovation [35]. In this way, the system evolves organically, aligning product innovation with recyclability, market dynamics and environmental performance.

III.6 ANTICIPATED CHALLENGES AND COUNTERARGUMENTS

Despite its strengths, integrated modular pyrolysis faces challenges such as non-trivial energy input requirements that must be offset with renewable sources or recovered heat loops or public perception and investor uncertainty around pyrolysis persist, often due to legacy associations with incineration and digital infrastructure costs for LCA standardisation and sensor integration may limit adoption in low-resource contexts. These challenges are not insurmountable but must be acknowledged in any realistic deployment. Hybrid approaches, including phased rollouts, public-private partnerships, and open data sharing, can reduce systemic resistance and upfront costs.

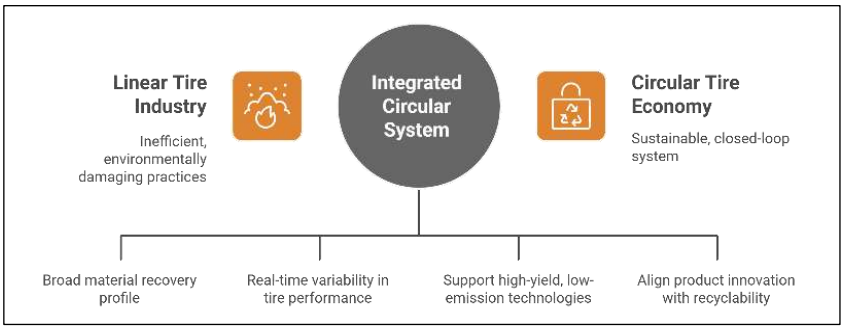


Figure 5: Closing the Tire Industry Gap.
Source: Authors, (2026).

IV. SUMMARY AND FUTURE DIRECTIONS

This review examines the intersection of life cycle assessments (LCA) and recycling innovations in guiding the tire industry's transition toward a circular economy. The investigation revealed the following core findings: current LCA frameworks offer critical environmental diagnostics but lack standardisation and real-time adaptability. A shift toward dynamic, digital LCAs is essential. Pyrolysis and its modular variants have emerged as the most promising recycling pathways for tires because of their capacity for material recovery, compatibility with mixed waste, and integration potential within existing supply chains.

Design for circularity, especially innovations in sustainable elastomers and sensor-enabled tires, can amplify both reuse and recovery potential but requires coordinated standardisation and investment. Finally, policy frameworks such as extended producer responsibility (EPR), subsidies for high-efficiency recycling, and carbon credit mechanisms are essential scaffolds that translate technical promises into systemic impacts. By integrating modular pyrolysis, digital LCAs, recyclable design, and supportive policy, a tire economy is envisioned that not only minimises waste but also transforms it into a valuable input for new cycles of production.

IV.1 CONTRIBUTIONS TO THE FIELD

This study contributes to the growing dialogue on circularity in the tire industry by offering a synthesised roadmap that integrates technological, environmental, and policy dimensions. Unlike earlier studies that focused on isolated solutions, this study presents a comprehensive framework in which LCA acts as the analytical engine, pyrolysis as the material recovery mechanism, and policy as the market enabler. Furthermore, by acknowledging the nuances and trade-offs in each domain, this study provides a balanced and realistic foundation for both academic enquiry and industrial action.

IV.2 RESEARCH LIMITATIONS

This study has several limitations. First, comparative LCA data across geographies are inconsistent, which restricts generalisability. Second, while pyrolysis holds immense potential, much of the data are based on pilot-scale or regional deployments, limiting insights into global scalability. Third, social dimensions, such as labour conditions in recycling sectors or public acceptance of new materials, are underexplored in this review but are vital to the circular transition.

IV.3 FUTURE RESEARCH DIRECTIONS

To close the remaining gaps and deepen the operational feasibility of circular tire systems, future studies should prioritise real-world pilot projects combining IoT-enhanced tires, dynamic LCAs, and localised pyrolysis units in both urban and rural contexts. Cross-sector LCA platforms enable data sharing among tire manufacturers, recyclers, and policymakers. Materials science research has focused on easily recoverable compounds and alternative fillers (e.g. lignin and silica) to replace carbon black. Policy modelling to simulate the environmental and economic impacts of various EPR designs, recycling credits, and trade regulations. Additionally, a critical frontier will be the integration of behavioural sciences into the circular economy model to understand how consumer use patterns, industry incentives, and regulatory cultures influence the success or failure of recycling strategies.

IV.4 FINAL REFLECTIONS

The transformation of the tire industry from a predominantly linear model to a circular one is not purely a technical challenge. It is a systems problem interlacing materials science, environmental modelling, economics, and governance. The convergence of modular and scalable technologies with smart and transparent analytics is the key to accelerating this transition. However, most crucially, it demands collaboration across silos. Manufacturers must align with regulators, researchers with recyclers, and policymakers with data scientists. Only through such integrative action can the vision of a zero-waste, resource-efficient tire industry become a tangible reality.

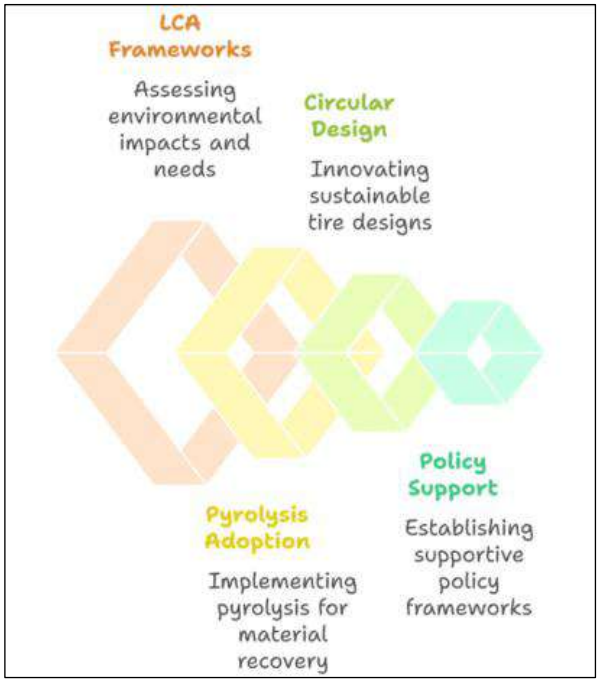


Figure 6: Transition to Circular Tire Economy.
Source: Authors, (2026).

V. AUTHOR'S CONTRIBUTION

Conceptualization: Ahmad Zaki Abadi.
Methodology: Ahmad Zaki Abadi.
Investigation: Ahmad Zaki Abadi.
Discussion of results: Ahmad Zaki Abadi.
Writing – Original Draft: Ahmad Zaki Abadi.
Writing – Review and Editing: Mohd Nizar Mhd Razali, Ahmad Shahir Jamaludin and Muhammad Amirul Azwan Azmi.
Supervision: Siti Nadiah Binti Mohd Saffe.
Approval of the final text: Ahmad Shahir Jamaludin and Siti Nadiah Binti Mohd Saffe.

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RESEARCH ARTICLE OPEN ACCESS

SPOTTED HYENA BIO-INSPIRED OPTIMIZATION CLUSTERING AND FORD DISTRIBUTING SHORTEST ROUTING FOR EFFICIENT COMMUNICATION IN WIRELESS SENSOR NETWORK

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ABSTRACT

Wireless Sensor Networks (WSN) contain sensor nodes that transmit with each other using only wireless channels. They are deployed in unreachable regions to gather information about the circumstances. Nonetheless, sensor nodes have limited energy, which poses a significant challenge to expanding Network Lifetime (NL). Therefore, the most crucial issue is to reduce nodes' energy consumption and increase the NL. To cope with these problems, this research uses the Ford Distributing Shortest Routing Protocol (FDSRP) with Spotted Hyena Bio-inspired Optimization (SHBiO) technique for efficient data transmission in WSN. Initially, the proposed forms Cluster Members (CMs) using the Reliable Congestion Free Node Selection (RCFNS) method. Based on the CMs, the optimal Cluster Head (CH) picks using the SHBiO method. Subsequently, the proposed FDSRP protocol finds the shortest path between CH and the Base Station (BS). This proposed protocol works based on a proactive process to transmit packets. The proposed simulation experiment is conducted in a Network Simulator version 2 (NS2) environment. Analysis shows the proposed method produces significantly better throughput, packet transmission, and drop rate while consuming less energy than other methods.

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I. INTRODUCTION

WSN comprises numerous small nodes with sensing, computing, and data transmission capabilities [1]. It is prevalent in various applications, such as green agriculture, medical care, military, and environmental monitoring, because they are convenient to deploy, easy to self-organize, and capable of real-time tracking [2]. It consists of several fully connected and wirelessly connected sensor nodes. Each sensor node collects incoming possibilities, grabs data, and transmits it back to the Base Station (BS) [3]. However, since most sensor nodes are battery-powered, replacing or recharging the battery is challenging.

Nonetheless, the energy of WSN nodes is still restricted, and it should be designing energy-efficient routing protocols to decrease energy consumption [4], [5]. By grouping the WSN nodes, the nodes' Energy Consumption (EC) can be virtually reduced, and the network's life cycle can be prolonged [6]. Behind the WSN nodes, usually, a cluster forms, with a CH node elected in each cluster [7]. Thus, cluster quality and CH selection significantly impact network performance and lifetime [8]. In clustering, nodes are grouped to construct clusters, as presented in Figure 1. The cluster consists of members called CMs, and each cluster selects a CH to collect and transmit the packets (data) to the BS.

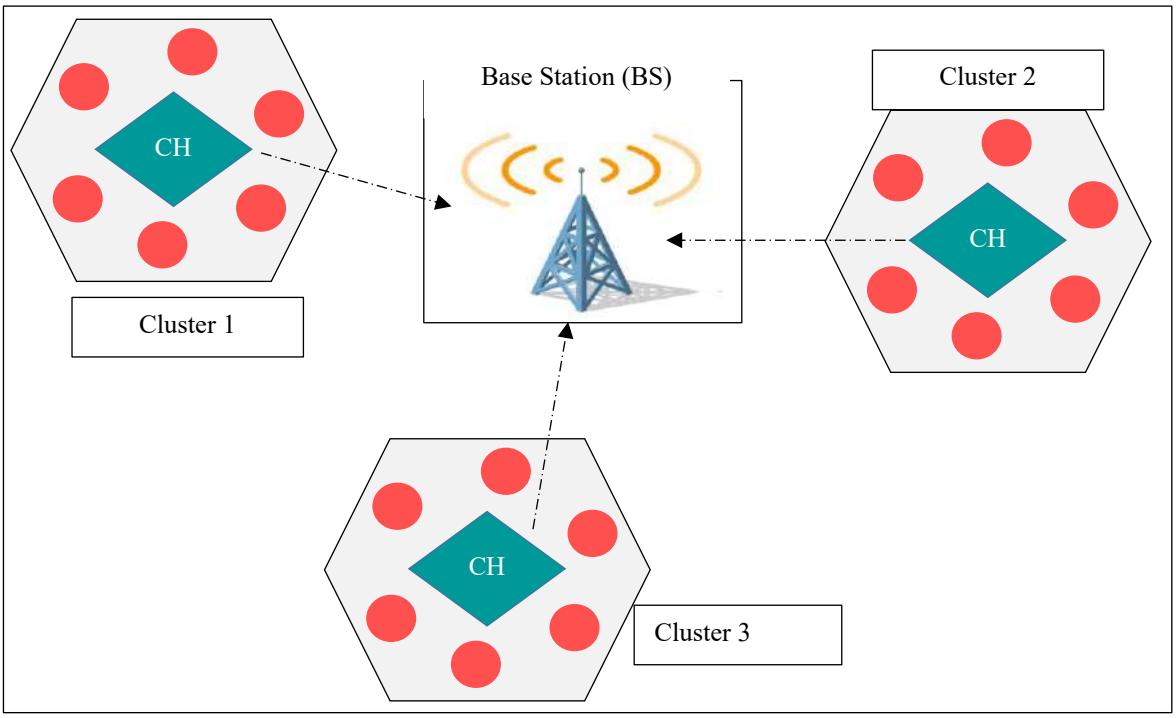


Figure 1: Structure of Cluster formation.
Source: Authors, (2026).

Therefore, different approaches were required for CH decision-making. However, if the CH is selected incorrectly, the packet transmission between the cluster members and the sink nodes will consume more energy than other sensor nodes. An outline of research issues related to WSN energy optimization follows:

- Network durability and data transfer efficiency are challenged as energy resources are limited within WSN nodes.
- Traditional methods had a high delay during data communication in the network.
- It isn't easy to design an effective leadership election technique.

This research introduces FDSRP with the SHBO methods for WSN based on the research issues. The foremost goal of this research is to use the shortest path to enhance Energy Efficiency (EE) and data communication performance in WSNs. This study's significant contribution is outlined as follows:

- We devise an RCFNS method to form a cluster of members for data communication.
- The SHBiO method quickly finds solutions in WSNs and determines the better CH from CMs.
- To design, a proposed FDSRP protocol is employed to find the shortest path between CH and BS.
- Efficacy CH preference and the creation of appropriate data communication aid increase the network's average lifetime.
- Additionally, the BS will acquire more packets because nodes utilize less energy to transmit packets.

Table 1: Nomenclature.

Notations	Description
$\mathcal{L}_N$	List of nodes
n	node
$\mathbb{M}_{Tr}$	Traffic mass
$\mathcal{P}_{size}$	Packet size
$\mathcal{T}_{\mathfrak{B}q}$	Total buffer queue
$\mathcal{M}_q$	Maximum buffer queue
$\mathcal{C}_{level}$	Congestion level
$\mathbb{T}_{Energy}$	Transmit energy
$\mathbb{R}_{Energy}$	Received energy
$\mathbb{J}$	Constant
Avg_{Energy}	Average energy
$\vec{g}$,$\vec{k}$	Coefficient vector
$\vec{\mathfrak{D}}_{\mathcal{H}}$	Hyena distance
$MinN_{count}$	Minimum node count
PR_I	Previous route information
N_{count}	Hop count

Source: Authors, (2026).

Table 1 describes the nomenclature used in this paper.

I.1 ORGANIZATION OF THIS PAPER

Section 2: Review of existing works
It examines the recent methods of packet communication in the WSN environment.

Section 3: Proposed design
Detailed proposed design methodologies, architecture diagram, and flowcharts are illustrated.

Section 4: Experiment result analysis
Simulation results setup and comparison performance analysis are described.

Section 5: Conclusion of the work
It presents the summary of the proposed work findings and the results obtained from the proposed work.

II. BACKGROUND STUDYaveley

The author [9], concentrated on EE communication in 5G WSNs with an IoT environment. This study involved the Deep Belief Network (DBN) technique for a routing protocol and the Mantaray Foraging Optimization (MRFO) algorithm to elect the CH for data communication. Thus, the methods offered increased the PDR and NL while reducing energy consumption. By 10] the study deals with the efficient WSN using the MOFAC-GA-PSO method. In turn [11] focused on the QoS improvement routing in WSN. This study used the Elite Niche Clonal Evolutionary Computing (ESQRA-ENCEC) method to minimize the latency and energy consumption in the network. However, multi-hop communication is a challenging task for data transmission.

By [12] have designed an Emperor Penguin Colony (RPC) method for EE data gathering in WSN. The suggested method analyses the intrusions and ignores the malicious nodes in the network. Yet, nodes are generally powered by batteries, which have restricted power and are challenging to replace, [13], [14] have concentrated on link quality in WSNs with IoT. The study employed the Link Quality-based Energy-Efficient Routing (LQEER) protocol to calculate the connection rate during communication. This method decreased the packet loss in the network. According to [15] novel focused on enhancing the NL in the IoT network using an Improved Energy-Efficient Clustering Protocol (IEECP).

This method contained the CH selection using the fuzzy method to reduce the node's energy consumption. However, the offered protocol suffered the CH selection because it didn't analyses adequate energy for data communication. By [16] developed Meta-inspired Hawks Fragment Optimization (MIHFO) with Energy Efficient Engroove Leach Clustering Protocol (EELCP) to resolve the previous issue. Then, they introduced a protocol to create a group for communication. Then, the Heuristic Wing Antfly Optimization (HWAFO) approach is used for path selection for data communication. However, it fails to attain efficient PDR throughput performance.

Table 2: Summary of extant approaches for WSN.

Author's name	Published year	Method used	Features	Issues
[17]	2021	BSO–MTLBO	Minimize the energy draining.	It is a complicated task.
[18]	2022	CVX-DV-hop	Resolve optimization issues.	High cost.
[19]	2024	Angle-Based Asymmetric Sorting Method	Minimize the computation overhead	Didn't provide QoS performance.
[20]	2024	MinMax-DV-hop	Address optimization problems.	Failed to achieve high PDR.
[21]	2024	RANP-PSO	To improve the localization accuracy.	Higher energy consumption.
[22]	2021	MACO-QCR	Less delay and high energy efficient.	High traffic.
[23]	2024	HDASCII-AE	Improved energy efficient.	Data transmission is an arduous task.

Source: Authors, (2026).

Table 2 illustrates the summary of extant approaches for WSN. By [24] Study has presented a shuffled ARSH-FATI method for lifetime maximization in the network. Another study [25] used a Salp Swarm Algorithm (SSA) technique for NL maximization in the network. This method enhanced the energy efficiency performance. Likewise [26] the novel employed cooperative WPT-based multihop communication for NL maximization.

III. PROPOSED DESIGN

This section illustrates the details of the proposed SHBiO-FDSRP approaches and explains how the optimal CH selection process can extend the network lifetime. The proposed workflow is presented in Figure 2. The proposed system involves vital stages: i) Node deployment, ii) Forms a cluster of members, iii) CH selection and iv) Shortest path identification.

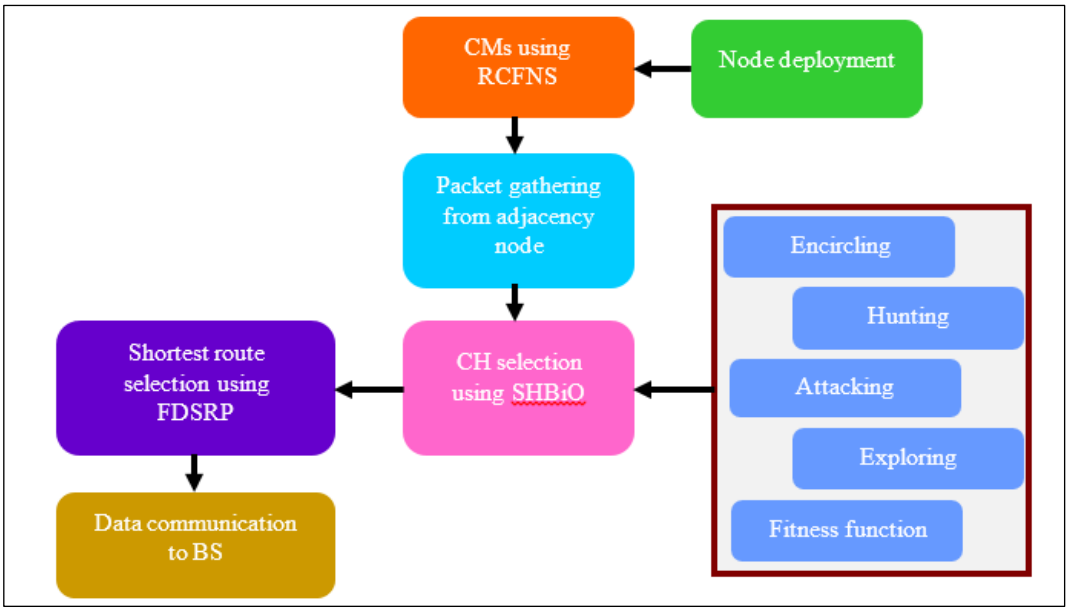


Figure 2: Proposed overview of the packet communication.
Source: Authors, (2026).

Firstly, nodes are generated randomly in the network, and then energy-efficient nodes form a group. Following that, the proposed SHBiO method is utilized for efficient CH selection for data transmission to BS. Finally, the shortest path is identified using the FDSRP protocol.

III.1 NODE DEPLOYMENT

The node deployment phase is crucial to the success of data transmission. At this stage, approximately 100 nodes are used in the network. The nodes are distributed at various positions from top to base over a 1000*1000m area. Every node has a distinct identity, energy, etc., which is maintained in the route table. Figure 3 describes the node deployment in WSN. Let assume, list of nodes$\mathcal{L}_N = \{n_1, n_2, n_3 \ldots n_N\}$, where, n lies the nodes in the network and N denotes total number of nodes.

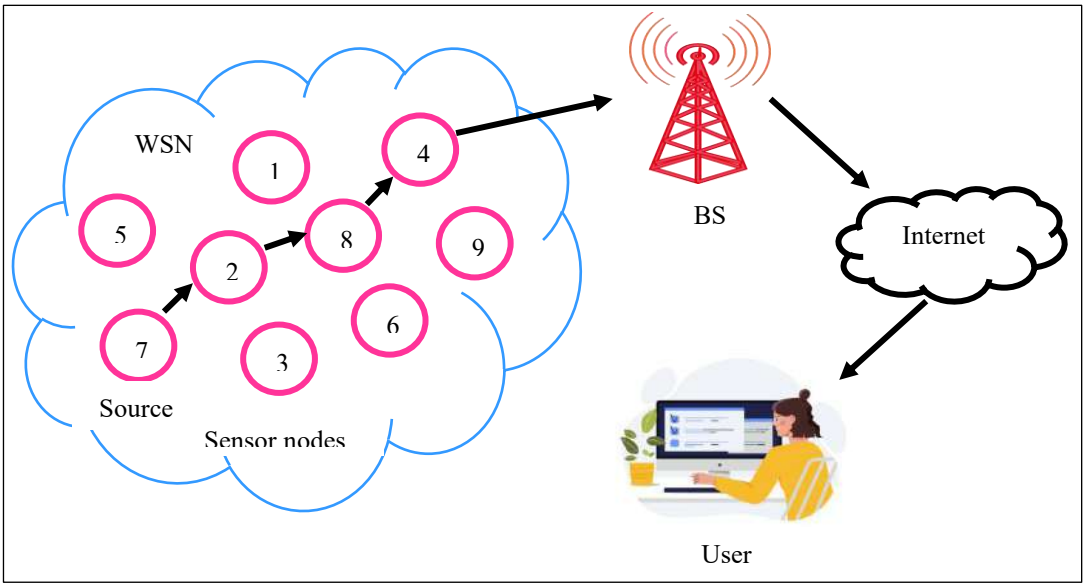


Figure 3: Architecture for distribution of node in WSN.
Source: Authors, (2026).

III.2 RELIABLE CONGESTION FREE NODE SELECTION (RCFNS)

In this phase, the Reliable Congestion Free Node Selection (RCFNS) approach is employed to form cluster members in the network. This method identifies the traffic less with reliable nodes for data gathering. When traffic volume increases, some data may not be sent or sent at the lowest transfer rate, resulting in data congestion without complete transfer. Overloading the node buffer queue can cause data deletion. To make the routing process more accessible, routes with less traffic must be chosen. All neighboring nodes adjust their queue lengths continually and send this information to the source. Traffic mass ($\mathbb{M}_{Tr}$) is estimated as the buffer queue size for all neighboring nodes, as described in equation 1.

$$\mathbb{M}_{Tr} = \frac{\sum \mathcal{P}_{size}}{\mathcal{T}_{\mathfrak{B}q}} \tag{1}$$

Here, $\mathcal{P}_{size}$ lies the packet size, and $\mathcal{T}_{\mathfrak{B}q}$ denotes the total buffer queue.

$$Tr_{\mathcal{L}} = \frac{\mathbb{M}_{Tr}}{\mathcal{M}_{\mathfrak{B}q}} \tag{2}$$

From equation 2 describes the maximum buffer based traffic congestion level$Tr_{\mathcal{L}}$. Here, $\mathcal{M}_q$ denotes the maximum buffer queue.

$$\mathcal{C}_{level} = 1 - Tr_{\mathcal{L}} \tag{3}$$

Equation 3 estimates the congestion level of each node in the network. The value of congestion level must be between 0 and 1. Greater than 1 indicates heavy traffic, which may result in high packet loss. Do not select this node as a forwarding node.

$$CM_{dis} = \sqrt{(a_1 - a_2)^2 + (b_1 - b_2)^2} \tag{4}$$

Equation 4 evaluate the two node distance based Euclidean process [27]. Accordingly, the energy needed to send or acquire a data over distance CM_{dis} can be expressed as:

$$\mathbb{T}_{Energy} = \mathbb{J} * CM_{dis} \tag{5}$$

The transmit energy $\left(\mathbb{T}_{Energy}\right)$ node consumes energy to send data over a certain distance, and the energy is boosted based on the distance from the receiver. Below equation is used to estimate the received energy $\mathbb{R}_{Energy}$can be expressed as:

$$\mathbb{R}_{Energy} = \mathbb{J} * CM_{dis} \tag{6}$$

One node consumes receiver energy $\left(\mathbb{R}_{Energy}\right)$to obtain data from other nodes. Like the transmitter, receiver energy relies on the distance among the transmitter and receiver.

$$Avg_{Energy} = \frac{\sum_{i=1}^{N-1} C_{reE}^{i}}{N} \tag{7}$$

From equation 7 calculate the average energy the node in the network. Here, C_{reE}^{i} lies the current residual energy of node. In WSNs, the proposed RCFNS method of picking the optimal nodes accomplishes proper cluster formation and expands the NL.

III.3 SPOTTED HYENA BIO-INSPIRED OPTIMIZATION (SHBIO)

The SHBiO method is used for Cluster Head (CH) selection based on hyena bio inspired process. The algorithm's central conception is to emulate spotted hyenas' social behavior. This method involves only four steps: encircling, hunting, attacking, and exploring. Figure 4 describes hyenas' searching for prey and hunting process.

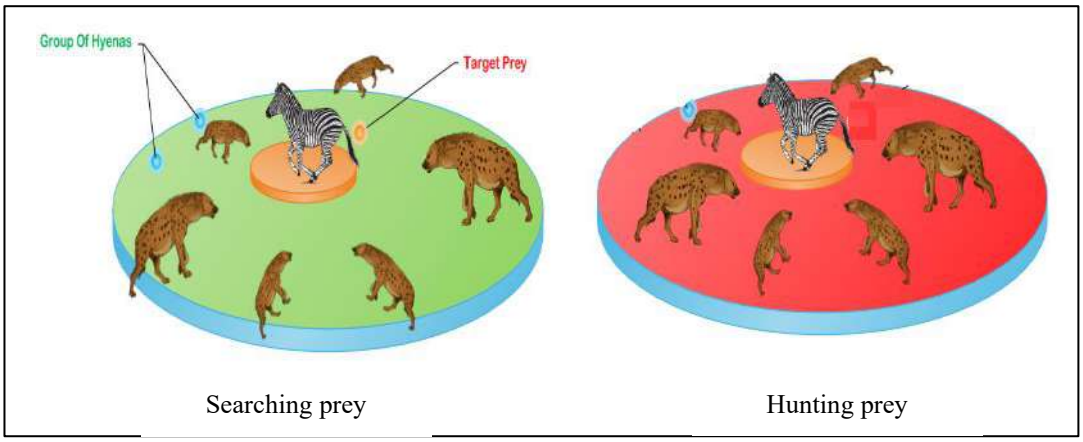


Figure 4: Graphical representation of SHBiO method.
Source: Authors, (2026).

In this method, a group of trusted friends directs hunting behavior to the optimal search agent and accumulates the optimal solution. The following expressions indicate spotted hyenas' encircling behavior.

$$\vec{\mathfrak{D}}_{\mathcal{H}} = \left|\vec{g}.\overrightarrow{\mathbb{P}_{py}}(\mathrm{t}) - \vec{\mathbb{P}}_{\mathcal{H}}\right| \tag{8}$$

$$\vec{\mathbb{P}}(\mathrm{t}+1) = \vec{\mathbb{P}}_{py}(\mathrm{t}) - \vec{k}.\vec{\mathfrak{D}}_{\mathcal{H}} \tag{9}$$

The above equation is find the prey and hyena distance$(\vec{\mathfrak{D}}_{\mathcal{H}})$. Let assume, t lies the current repetitions, and $\vec{g}$,$\vec{k}$ are the coefficient vectors. $\vec{\mathbb{P}}_{py}$ and $\vec{\mathbb{P}}_{\mathcal{H}}$ are the location vector of prey and hyena, correspondingly. || denotes the absolute values and . denotes the multiplication.
$\vec{g}$,$\vec{k}$, $\vec{\mathcal{H}}$ calculations as,

$$\vec{g} = 2 \cdot \overrightarrow{R_{v1}} \tag{10}$$

$$\vec{k} = 2\vec{\mathcal{H}} \cdot \overrightarrow{R_{v2}} - \vec{\mathcal{H}} \tag{11}$$

$$\vec{\mathcal{H}} = 5 - \left(\text{repetitions} \times \frac{5}{Maximum_{\text{repetitions}}}\right) \tag{12}$$

Herein,$\overrightarrow{R_{v1}}$, $\overrightarrow{R_{v2}}$ are the random vectors limit [0,1], repetitions =0, 1, 2, 3 ….$Maximum_{\text{repetitions}}$. The search agent updates their hyenas and prey locations. To mimic the hunting manners of spotted hyenas and identify promising space areas, the following equation is expressed:

$$\vec{\mathfrak{D}}_{\mathcal{H}} = \left|\vec{g} \cdot \overrightarrow{\mathbb{PB}}_{\mathcal{H}} - \vec{\mathbb{P}}_{\mathcal{H}}\right| \tag{13}$$

$$\vec{\mathbb{P}}_{\mathcal{H}} = \overrightarrow{\mathbb{PB}}_{\mathcal{H}} - \vec{k} \cdot \vec{\mathfrak{D}}_{\mathcal{H}} \tag{14}$$

$$\vec{\mathcal{G}}_{\mathcal{H}} = \vec{\mathbb{P}}_{\mathcal{H}} + \vec{\mathbb{P}}_{\mathcal{H}+1} + \cdots + \vec{\mathbb{P}}_{\mathcal{H}+i} \tag{15}$$

Where, $\overrightarrow{\mathbb{PB}}_{\mathcal{H}}$ lies the position of best hyenas and $\vec{\mathbb{P}}_{\mathcal{H}}$position of other hyenas. $\vec{\mathcal{G}}_{\mathcal{H}}$ Denotes cluster of hyenas. Based on the above process, the hyena strikes the prey, as denoted by the equation below.

$$\vec{\mathbb{P}}(\mathrm{t}+1) = \frac{\vec{\mathcal{G}}_{\mathcal{H}}}{i} \tag{16}$$

Algorithm steps:

Input: Hyenas$\mathcal{H}$, Avg_{Energy}
Output: Picking of Cluster Head (CH)
Start procedure
    Initialize the hyena's population $\mathcal{H}$
    Read nodes Avg_{Energy}
    Import parameters$g$, k
    $\overrightarrow{\mathbb{PB}}_{\mathcal{H}}$ is the position of best hyena
    $\vec{\mathcal{G}}_{\mathcal{H}}$ is the cluster of hyena
    $If\ (\mathrm{t} < i)$
        For each search
            Update the present location of hyena
        End for
        Update the parameters
        Estimate the fitness of each hyena
        Update the $\vec{\mathcal{G}}_{\mathcal{H}}$
        $\mathrm{t} = \mathrm{t} + 1$
    End if
    Return CH
End procedure

The above algorithm steps is used to select the CH based on hyena behavior. Therefore, this method elect CH based on fitness function and behavior of hyenas.

III.4 FORD DISTRIBUTING SHORTEST ROUTING PROTOCOL (FDSRP)

In this phase, after cluster formation, we use the FDSRP protocol to identify the path for data communication without loss with minimum latency. Nodes within the minimum hop count are appropriate for routing, considering the balance between nodes. This method identifies the neighbor node and selects the path for proficient communication in WSNs. Every node sends data to determine the different nodes within its communication range. The node keeps a separation line among successive nodes below a profundity threshold, allowing it to select the best forward node most suitable for data communication. When a node transmits the packet, it reveals a Route Request (RREQ) message to its adjacency node. Since the adjacency node may be the destination, it sends a Route Reply (RREP) message with other important information (source and destination addresses, hop count, RREQ ID sequence number, etc.). It records the value of R there in the route table.

$$\mathfrak{P}^{loss} = N_{v,u} Log_{10}(\mathrm{CH}) + p_c \tag{17}$$

From equation 17 describes the two node communication path loss$\mathfrak{P}^{loss}$. Here, v, u are the adjacency nodes and p_c denotes the positive constant values.

$$\mathcal{S}_{NR} = \frac{Sl_{power}}{Ns_{power}} \tag{18}$$

$$\mathcal{S}_{NR(db)} = 10log_{10}\mathcal{S}_{NR} \tag{19}$$

From equations 18 and 19 identify the signal to noise ratio($\mathcal{S}_{NR}$). Let us assume, Sl_{power} and Ns_{power}lies the power of signal and noise, correspondingly.

$$T_{RE} = \sum_{\mathcal{L}_{Ni}=1}^{N} \frac{\mathcal{E}_{drop}}{|R_{BS}|} \tag{20}$$

The above equation is used to identify the total residual energy-based energy drop $\mathcal{E}_{drop}$ and range of base stations in the network.

$$N_{count} = \left[\frac{\mathcal{L}_N(n_s, n_d)}{T_{RE}}\right] \tag{21}$$

The above equation finds the hop count (N_{count}) during the path discovery for data communication in the WSN.

Algorithm steps:
Input: Hop count(N_{count}), CH, $\mathcal{L}_N$ and routing information R_I
Output: Choose a route with minimum congestion $\mathbb{R}_{short}$
Start procedure
    Initialize the hop count(N_{count}), CH and$\mathcal{L}_N$
    For each $CH \in C_G$ do
        $For\ each\ nodes n_i = 1: \mathcal{L}_N$
            Node n send the RREQ
            $If(R_I < PR_I \& N_{count} < MinN_{count})$
                Node RREP
                Calculate distance CH to BS
                Select shortest route($\mathbb{R}_{short}$)with minimum congestion level.
            Else
                Ignore the node or path
            End if
        End for
    End for
End procedure

The above algorithm steps efficiently identify the routing for data communication in WSN. Here, PR_Ilies the route information, $MinN_{count}$ denotes the minimum node count, and C_G denotes cluster group. This method attains the proficient route selection minimum congestion level in the path.

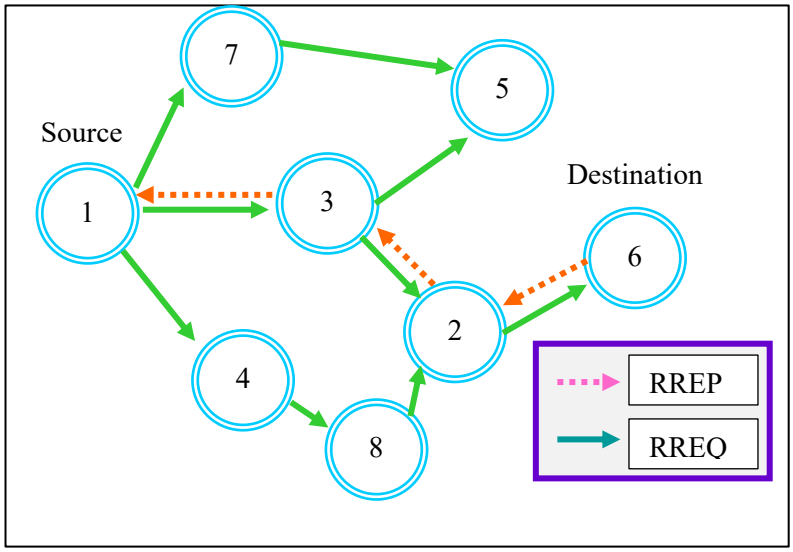


Figure 5: FDSRP protocol's shortest path identification.
Source: Authors, (2026).

Figure 5 illustrates the FDSRP protocol's shortest path identification process. Another process is data communication between the sender and receiver, as presented in the algorithm steps below.

Algorithm steps:
Input: Shortest route($\mathbb{R}_{short}$)
Output: Data transmission
Start procedure
For every $n_i = 1{:}\mathcal{L}_N$ do
If acknowledgement received ==true
Check node id, response with minimum congestion path
Estimate the total residual energy
$If\ (send\ packet == true)$ Then
Data transmission to the next node.
Else
Ignore route
End if
Else if acknowledgement received ==false
Packet drop or loss
End else if
End if
End for
End procedure

This stage constructs the following packet exchange and routing process efficiently and effectively data transmission. Figure 6 illustrates the data transmission process.

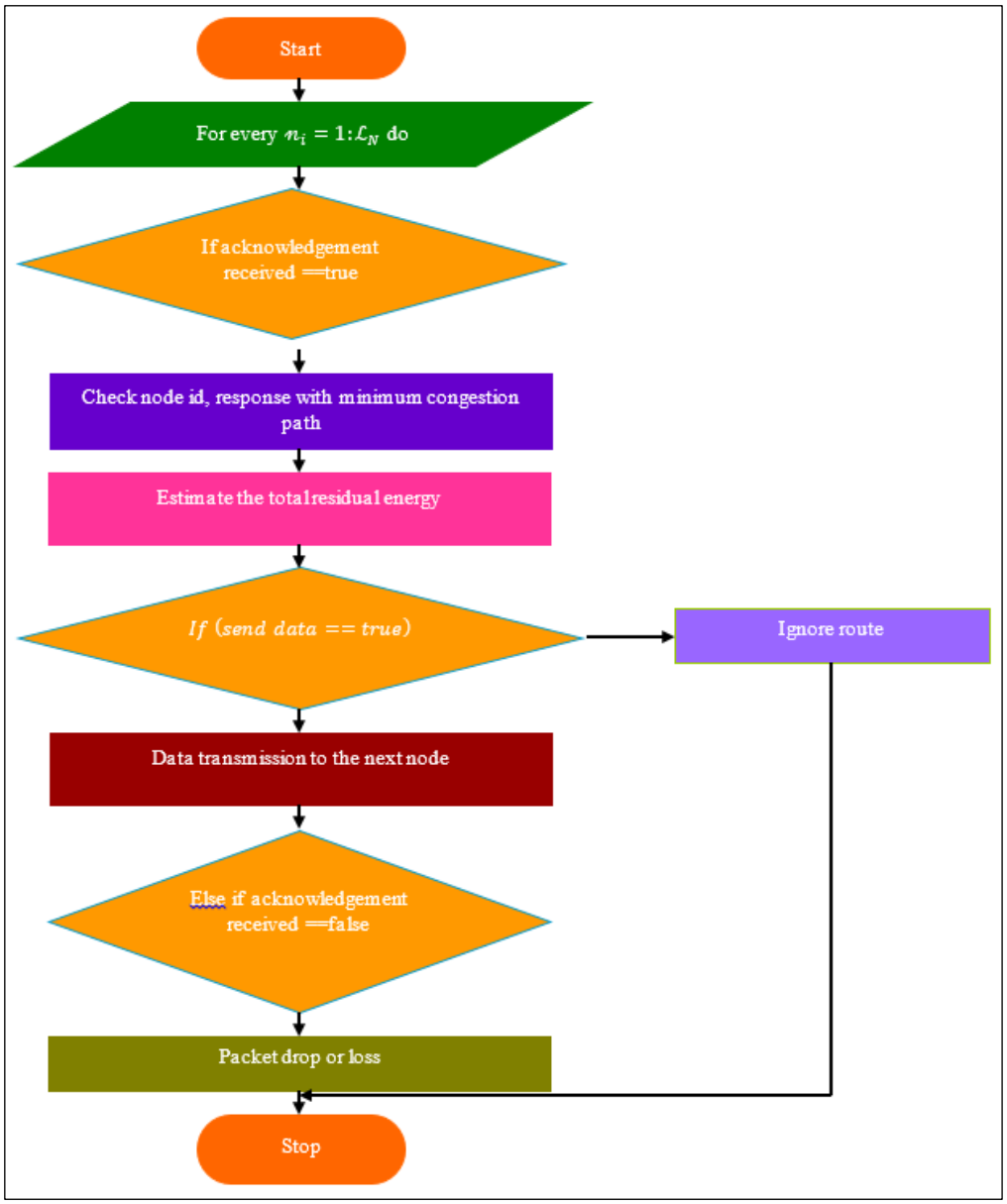


Figure 6: Flow diagram for data transmission.
Source: Authors, (2026).

IV. RESULT AND DISCUSSIONS

We strategically positioned 100 sensor nodes and monitored the environment using a Network Simulator (NS-2) to initiate the simulation process. Table 3 presents the simulation network configuration of this system. The experiment results are the proposed FDSRP-SHBiO compared with the Cooperative Sink Isolation-Multi-Hop Topology Driven Clustering Approach (CIS-MTDCA), LQEER [14], and IEECP [15] protocols.

Table 3: Network configurations and their values.

Parameters	Values
Network field	(1000, 1000) m^2
Network type	WSN
Initial energy	50J (or) 0.5J
Traffic type	Constant Bit Rate (CBR)
Number of nodes	20, 40, 60, 80 and 100
Deployment	Randomly
Packet size	512 bytes

Source: Authors, (2026).

IV.1 PERFORMANCE ANALYSIS

The proposed protocol efficiency analyzes vital performance parameters like PDR, throughput, NL, latency, and energy Consumption (EC).

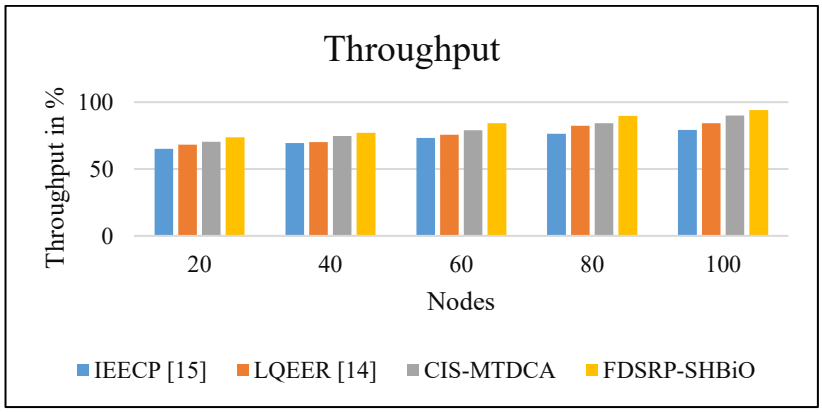


Figure 7: Performance analysis for throughput and its comparison.
Source: Authors, (2026).

Figure 7 shows the throughput results of different protocols, namely CIS-MTDCA, LQEER [14], IEECP [15], and the proposed FDSRP-SHBiO protocol. The throughput parameter is presented in percentage. The findings of the proposed attained average throughput is 94.09%. The existing methods' average throughput is 79.24%, 84.36%, and 90.11% for IEECP [15], LQEER [14], and CIS-MTDCA correspondingly.

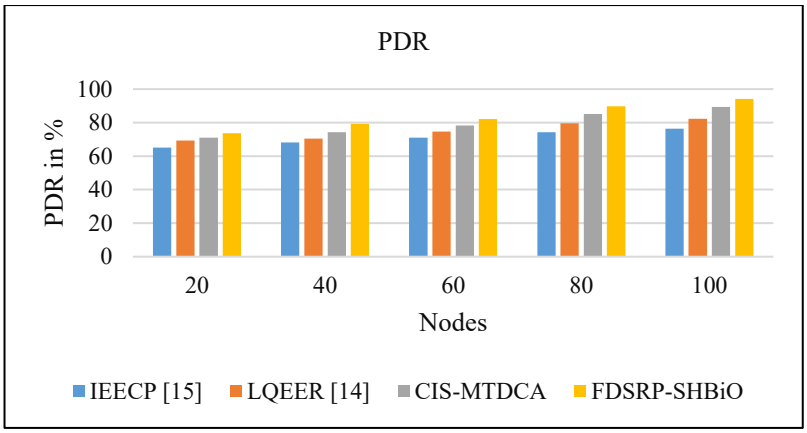


Figure 8: Performance analysis of PDR and its comparison.
Source: Authors, (2026).

Figure 8 presents the PDR results of diverse protocols, namely CIS-MTDCA, LQEER [14], IEECP [15], and the proposed FDSRP-SHBiO protocol. The PDR parameter performance is shown in percentage. The proposed protocol achieved 94.2%, while the CIS-MTDCA protocol attained 89.42%. The existing IEECP [15] and LQEER [14] protocols are 76.3%, and 82.36%, respectively.

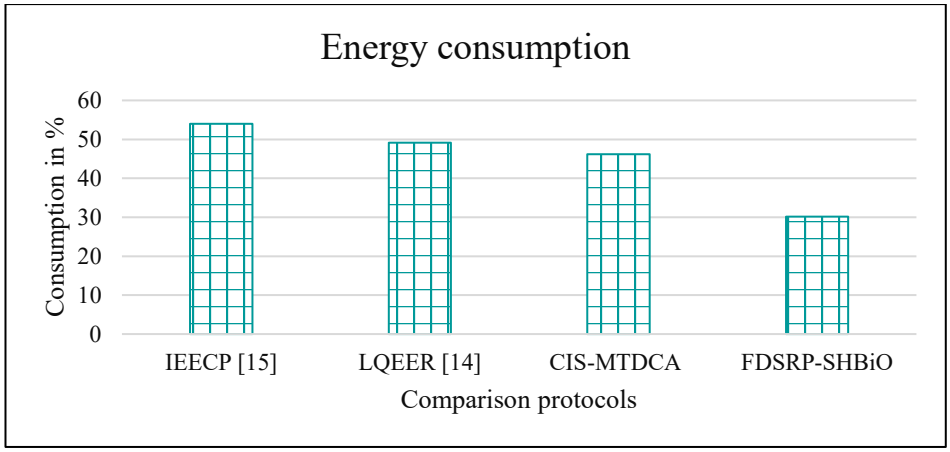


Figure 9: Performance analysis of energy consumption and its comparison.
Source: Authors, (2026).

Figure 9 illustrates the energy consumption results of diverse protocols, namely CIS-MTDCA, LQEER [14], IEECP [15], and the proposed FDSRP-SHBiO protocol. The energy consumption parameter performance is shown in percentage. The proposed protocol achieved 30.15%, while the CIS-MTDCA protocol attained 46.2%. The existing IEECP [15] and LQEER [14] protocols are 54.02%, and 49.17%, respectively.

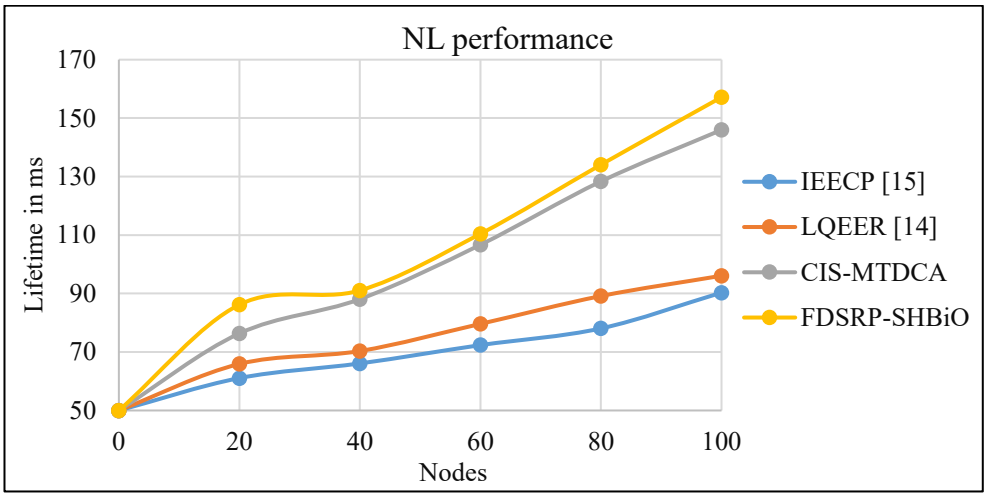


Figure 10: Performance analysis of network lifetime and its comparison.
Source: Authors, (2026).

Figure 10 illustrates the energy consumption results of diverse protocols, namely CIS-MTDCA, LQEER [14], IEECP [15], and the proposed FDSRP-SHBiO protocol. The proposed SHBiO method proficiently elected the CH has attained high network lifetime than other existing protocols. The proposed protocols attained results are 86.19ms, 91.07ms, 110.42ms, 134.08ms and 157.16ms for 20, 40, 60, 80 and 100 nodes.

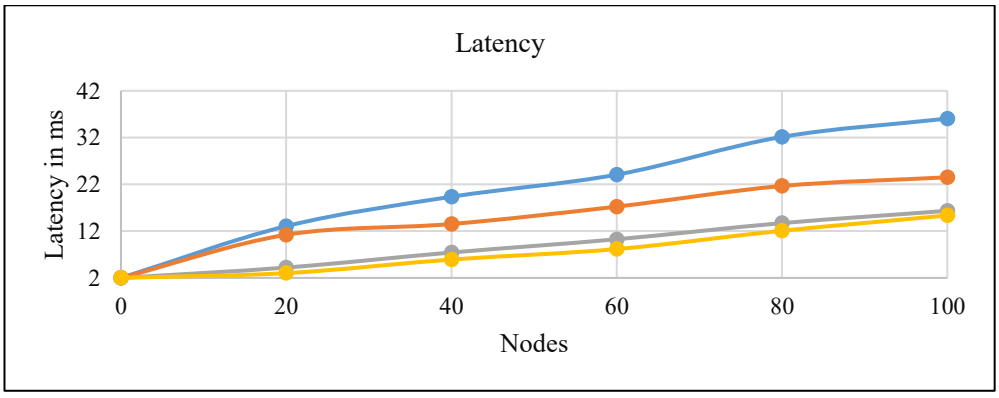


Figure 11: Performance analysis of latency and its comparison.
Source: Authors, (2026).

Figure 11 describes the time complexity of the proposed protocol compared to previous protocol outcomes. The proposed method attains latency at 3.02ms, 5.92ms, 8.16ms, 12.08ms, and 15.35ms for 20, 40, 60, 80, and 100 nodes. Yet, the existing protocols achieve a higher latency performance than other methods.

Table 4: Proposed and various previous protocols comparison performance.

Protocols	Total nodes	Throughput in %	PDR in %	NL in ms	Latency in ms
Proposed	20	73.62	73.62	86.19	3.02
	40	77.05	79.21	91.07	5.92
	60	84.31	82.05	110.42	8.16
	80	89.73	89.76	134.08	12.08
	100	94.09	94.2	157.16	15.35
CIS-MTDCA	20	70.35	71.03	76.35	4.21
	40	74.62	74.32	88.09	7.43
	60	79.04	78.36	106.69	10.26
	80	84.27	85.11	128.36	13.71
	100	90.11	89.42	145.97	16.34
LQEER	20	68.2	69.24	65.92	11.21
	40	70.19	70.41	70.34	13.52
	60	75.51	74.62	79.62	17.24
	80	82.43	79.61	89.15	21.65
	100	84.36	82.36	96.08	23.51
IEECP	20	65.16	65.03	61.08	13.06
	40	69.37	68.13	66.1	19.35
	60	73.19	71.08	72.36	24.08
	80	76.29	74.35	78.07	32.15
	100	79.24	76.3	90.31	36.06

Source: Authors, (2026).

Table 4 shows the overall performance of the proposed and previous protocols in terms of comparison outcomes for efficient communication in the network.

V. CONCLUSION

This novel introduced the proposed FDSRP-SHBiO protocol to improve network lifetime in WSN. The proposed RCFNS method is employed for groups of CMs without traffic and reliable nodes based on buffer length, received energy, and transmitted energy. In addition, based on efficient CMs, we selected energy-efficient CH using the SHBiO method for data communication between CH and BS. Finally, the FDSRP protocol finds the shortest path for communication in the network. An NS2 simulator is employed to test the proposed protocol using various parameters. The simulation results of the proposed compare CIS-MTDCA), LQEER, and IEECP protocols. These protocols were tested on multiple cases using nodes and CH. The level of PDR is 94.2%, throughput is 94.09%, and NL is 157.16ms for 100 nodes. The outcomes describe the proposed protocol obtains superior performance regarding PDR, throughput, and NL.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: S. Shameema Begum and V. Vijayalakshmi.
Methodology: S. Shameema Begum and V. Vijayalakshmi.
Investigation: S. Shameema Begum and V. Vijayalakshmi.
Discussion of results: S. Shameema Begum and V. Vijayalakshmi
Writing – Original Draft: S. Shameema Begum and V. Vijayalakshmi.
Writing – Review: S. Shameema Begum and V. Vijayalakshmi.
Supervision: S. Shameema Begum and V. Vijayalakshmi.
Approval of the final text: S. Shameema Begum and V. Vijayalakshmi.

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RESEARCH ARTICLE OPEN ACCESS

A REVIEW ON AI BASED FAULT AND ANOMALY DETECTION IN POWER SYSTEMS

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ABSTRACT

Power systems are becoming more complex because of large-scale integration of renewable energy, the widespread generation of electricity from various sources, electric vehicle charging networks, advanced power electronic converters, and significant automation through digital substations and smart grid technologies. These changes create new operational conditions with less system inertia, two-way power flows, and highly variable generation patterns. This leads to non-linear, rapidly changing, and data-heavy disturbances that are hard to detect and isolate using traditional relay-based protection methods. Conventional protection systems, which rely on preset thresholds, fixed setups, and basic network models, often have trouble with high levels of inverter-based resources, layout changes, and communication delays. In this context, artificial intelligence offers strong data-driven methods that can learn complex system behavior directly from data. It can uncover hidden traits, identify types and locations of faults, spot early and developing anomalies, and assist with smart, adaptable decision-making almost in real time. This review outlines key AI techniques, including machine learning, deep learning, fuzzy logic, and reinforcement learning. It examines how recent studies have used these methods for fault detection, diagnosis, classification, and anomaly monitoring in transmission, distribution, and microgrid environments. Additionally, this paper addresses practical issues such as data quality, limited labels, class imbalance, model generalization across different network setups, computational demands, and constraints for real-time use in digital relays and edge devices.

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I. INTRODUCTION

Contemporary society relies on power systems that function safely, dependably, and consistently to sustain essential infrastructure, industry, transport, and communication services. Contemporary power systems face numerous disruptions such as equipment wear and tear, insulation breakdown, faults in lines and cables, unusual and fluctuating load conditions, switching and protective actions, sporadic renewable energy generation, failures of power-electronic converters, and more frequent cyber incidents. If faults and abnormal conditions go undetected or are recognized too late, they can lead to cascading failures, widespread blackouts, faster equipment deterioration, safety risks, and significant reliability and financial losses.

Traditional protection strategies predominantly depend on established thresholds, preset relay configurations, and simplified system hypotheses, which may fail to adequately reflect the highly dynamic, nonlinear, and data-driven characteristics of modern smart grids, marked by inverter-based resources, two-way power flows, and regular network reconfigurations. Moreover, conventional techniques frequently exhibit restricted sensitivity to emerging faults, sporadic anomalies, and slight variations in operational patterns, particularly in the presence of noisy data and communication lags.

Artificial intelligence offers robust data-driven instruments that can detect intricate patterns, learn system behavior from extensive measurement data, adjust to evolving operational conditions, and pinpoint early warning signals that may not be readily apparent via traditional analytical methods. This review outlines essential AI methods for detecting faults and anomalies in power systems, provides a summary of recent advancements in applications related to transmission, distribution, and microgrids, and addresses practical challenges in deployment like data accessibility and labeling, class imbalance, interpretability of models, constraints in real-time implementation, compatibility with existing protection systems, and resilience against measurement uncertainties and cyber-physical threats. Additionally, the document emphasizes new prospects for future advancement, such as adaptive and self-refreshing protection strategies, hybrid models that combine physics-informed and data-driven approaches, explainable and reliable AI for operator trust, and resilient frameworks that improve the reliability and security of next-generation intelligent protection systems.

II. LITERATURE REVIEW

By [1] developed a dynamic risk assessment model for cyber-physical power systems under cyber-attacks, emphasizing the integration of cyber vulnerabilities and physical consequences. The methodology involved assessing network security vulnerabilities in SCADA systems with substations, considering existing software vulnerabilities and defines mechanisms, corrected by propagation characteristics. Physical consequences were evaluated through minimum load shedding under N-I Consistency scenarios. According to [2] developed an intelligent fault diagnosis method for lithium-ion batteries in electric vehicles, focusing on timely fault state detection and degree identification. The method applied support vector machine to classify the symptom of fault, the discrete cosine method to remove the noise , and introduced the modified covariance Matrix to reduce effects of current variation of condition indicators. Grid search was used in order to optimize the SVM parameters. The test result showed that MCM-based model had good accuracy and timeliness, proved the feasibility of proposed method for future fault management strategies.

In turn [3] aimed to detect fraudulent behavior and malfunctions in smart meter data using a hybrid ML approach. The approach included using unsupervised ML on smart meter time series data to discover anomalous values. Spectral Residual-Convolutional Neural Network (SR-CNN) and a martingale-based anomaly detector were applied to data.. Based on the separated asymmetrical data, the two classes boosted decision tree and fisher linear discriminant analysis were utilized for classification. By [4] investigated to enhance the security of smart grid SCADA systems by developing a novel AI based framework to detect and prevent network intrusions. The methodology involved the preprocessing and normalization of benchmark datasets, applications of Zaira Ebola search optimization(ZESO) algorithm to achieve the feature extraction , and association of Deep Random Kernal Forest Classification (DRKFC)organized at the reliable attack detection procedure.

In turn [5] discusses both traditional and deep learning methods for anomaly detection and fault location in power grid datasets. The paper explains how deep networks (e.g., DNN,CNN,RNN) are employed to extract deep features from time-series grid data and improve detection and localization accuracy compared to conventional approaches. It also highlights challenges like data noise, spatiotemporal feature extraction, and the robustness of AI models in grid operations. According to [6] categorizes AI application in to fault data processing, modeling, and hyper parameter optimization (HPO). It demonstrate how AI technique such as GANs address class imbalance, how deep learning improves decision accuracy and how hybrid model can achieve near perfect detection accuracy . It also discusses optimization methods like evolutionary algorithms for enhancing AI performance .

By [7] provide a concise but informative overview of how artificial intelligence technique and transforming fault detection and diagnosis in power systems , with particular emphasize on distribution network where most faults occur. The authors explain the conventional protection and monitoring approaches , although reliable under well-defined operating condition, struggle when the grid becomes complex,variable,and saturated with distributed energy resources. Nature scientific report constructs an AI framework that merges cyber and physical grid data for anomaly detection using LSTM network and random forests for classification with very high accuracy. It also uses explainable AI for interpretability and adversarial training for robustness against attacks such as False data injection and DoS attacks [8].

Khan and colleagues examine AI based fault detection framework across transmission and distribution systems and compare them with classical techniques. Their study categorizes AI approaches into supervised learning, unsupervised learning and deep learning, providing examples of how each is applied in practice. Deep learning architecture such as CNNs and LSTMs are shown to capture nonlinear and time dependent fault behavior more effectively than traditional approaches. They conclude that future systems will likely integrate physics-based model with AI to improve accuracy, reliability and trustworthiness [9]. According to [10] suggested to enhance the reliability, safety, and security of smart hybrid renewable-based micro grids by developing novel control strategies for fault diagnosis and cyber -attack resilience. The methodology was based on design on fault tolerant control using optimal fuzzy gain-scheduling technique to counteract power loss faults and attack resilient control utilizing estimated sensor values fasting data integrity attacks.

III. RESEARCH CHALLENGES AND LIMITATIONS

Even with significant progress in AI- driven faults detection and cyber-physical security for modern power systems, many critical research challenges and practical limitations remain. These issues must be addressed before widespread implementation can take place. A major problem is that many cyber-physical risk evaluation and security analysis framework still rely on overly simplify threat assumptions, specific attack paths, and limited attacker capabilities. These modelling methods cannot fully capture the complex interactions between the dynamics of physical power networks and cyber communication systems. As a results, they struggle to represent coordinated, multi-phase, and adaptive cyber-physical attacks in real operational environments. Furthermore, most of the case studies are conducted on small or medium test setups, and validation with actual utility-scale infrastructure is rare, which greatly undermines trust in their relevance to larger interconnected networks [1], [20].

A significant limitation is the heavy dependence of data-driven fault diagnosis and intrusion detection methods on large, high-quality labelled datasets. Machine learning models, such as support vector machines, convolutional neural networks, and hybrid CNN-RNN architecture, require well-representative training data to perform consistently however, actual power system datasets are often very imbalanced, with normal operating conditions dominating and fault or attack incidents occurring infrequently, and inconsistent labelling across substations and utilities. These challenges severely hinder the models' learning abilities and can lead to biased decision boundaries and poor detection performance in new situations [2], [5], [6], [23].

While data augmentation techniques and generative models like GANs have aim to address data scarcity and imbalance, these methods add further complexity to both model design and training. The quality of samples generated synthetically relies heavily on careful architecture selection and hyper parameter tuning. . Poor tuning can lead to unrealistic fault patterns that harm classifier performance on real data. Additionally, methods for feature selection and model tuning that depend on optimization increase computational demands. This complicates their use in real-time protection and monitoring systems that have strict latency requirements [5], [16].This problem become even more significant for wide-area monitoring and protection applications that rely on high-resolution synchro phasor data and fast decision-making.

The interpretability and transparency of AI models are still major challenges for safety-critical power systems. Deep learning models often function as black boxes, providing little insight in to the reasons behind specific alarms, classification results, or control decisions. For protection engineers and system operators it is crucial to understand why a relay acted or why an anomaly triggered an alert. This knowledge is vital for maintaining system safety and avoiding unnecessary tripping or cascading failures. This lack of transparency make it essential to accept deep learning-based protection systems, especially in important areas like transmission line protection, generator safeguarding, and cyber-attack prevention methods [8], [12], [21].

New decentralized learning and security systems, such as federated learning and blockchain architectures, provide promising solutions for protecting privacy, enabling collaborative learning, and resisting data manipulation. However, implementing them in large energy systems comes with many ongoing challenges. Regular model updates and distributed consensus processes canlead to significant communication overhead. This result in high network traffic and great risk of communication failures. Additionally, latency and synchronization issues between control centers and substations in different areas can lower real-time performance. Scalability is a major concern because of the increasing number of participating nodes and data sources in today's smart grid environments. Making sure that distributed learning agents while meeting real-time operational constraints continues to be a tough research problem [13], [14], [19], [22].

From a methodological perspective, traditional statistical methods and control chart techniques struggle to adapt in rapidly changing operational conditions. These methods usually assume stable processes and clear statistical features. However this rarely happens in today's power systems, which are marked by variable renewable generation, flexible loads, and frequent topology changes. Their effectiveness dropped significantly during short production runs and rapidly changing conditions, where there is not enough historical data to accurately estimate statistical parameters accurately [11]. On the other hand, advanced AI-driven models, can adapt more easily but often overfit when trained on limited or specific data. Overfitted models may perform very well in controlled environments but have trouble when faced with unexpected disturbances, new protection parameters, or unfamiliar network setups [3], [25].

High-impedance fault detection is a long-standing challenge. These faults produce weak and very inconsistent signatures, which load fluctuations, switching transients, and background noise can easily hide. Monitoring wind turbines and renewable energy converters is also tough due to non-stationary operational characteristics, mechanical-electrical interactions, and environmental factors like temperature and wind speed. Classifying power quality events is getting more complicated as distributed energy resources, power electronic converters, and electric vehicle charging systems introduce new disturbance patterns and harmonic interactions. Current feature extraction and learning models often had a hard time staying reliable amid rapidly changing grid dynamics and significant renewable integration [17], [18], [24].

A major limitation is that most current studies primarily focus on detection and classification accuracy as the main performance metric. However, effective power system operation requires not only accurate detection but also synchronized and quick response plans. There is limited research on how outputs from AI-based detection can interact with adaptive protection settings, corrective action strategies, or wide-area control systems. The lack of closed-loop systems that manage detection, decision-making, and control at the same time limit the real-world effectiveness of many proposed approaches. Additionally, the connection between AI-based decision support systems and traditional protection devices, such as distance relays, differential relays, and overcurrent relays, is rarely explored in depth [4], [7], [9], [10].

Integrating AI models into current grid systems present significant implementation challenges. Older protection and supervisory control systems were not build to handle data-heavy learning algorithms or frequent model updates. Limited computing resources at substations, strict certification requirements for protection systems, and careful operational practices make adoption difficult. Additionally compatibility issues among various vendors, data formats, and communication protocols make large-scale implementation difficult. Without standard interfaces and validation methods, ensuring consistent performance across different platforms. Cyber-physical co-simulation environments and digital twins have been proposed to improve the testing and validation of advanced security and protection systems.

However, creating high-fidelity models that accurately represent both cyber infrastructures and the dynamics of physical power systems remains a complex task. Streamlining communication models, security logic, and human operator actions can lead to overly optimistic assessments of system robustness. Furthermore, maintaining and updating digital twins is necessary to reflect changing network configurations and operational methods, which increases development costs and complexity [1], [20]. Ultimately, future smart grids need hybrid and scalable systems that combine the benefits of physics-driven models, statistical approaches, and advanced machine learning techniques. Data-driven solutions rely heavily on data quality, concept drift, and vulnerabilities to adversarial manipulation, while model-based approaches struggle to capture the complex nonlinear dynamics and cyber interactions.

Therefore, there is an urgent need for resilient, understandable, and flexible hybrid architectures that incorporate system knowledge, security concepts, and network constraints into learning frameworks. These integrated solutions should enable adaptive protection, coordinated cyber-physical responses, and seamless integration with existing operational infrastructures to ensure the secure and reliable functioning of future power systems [4], [7], [9], [10].For Reference, Comparison Summary of AI based Anomaly detection techniques in Power systems is provided in Table 1 below.

Table1: Comparative Analysis of AI based anomaly detection in power systems.

Study /Author	Main Focus	Method / AI Used	Key Contribution
Yan et al.	Cyber-physical risk	Cyber + load-shedding modeling	Links cyber-attacks to physical grid impacts
Yao et al.	EV battery faults	SVM + noise reduction	Accurate, timely battery fault diagnosis
Oprea et al.	Smart meter anomalies	SR-CNN + hybrid classifiers	Fraud + malfunction detection
Rabie et al.	SCADA intrusion	Feature optimization + deep forest	High-accuracy cyber-attack detection
Sun et al.	Grid anomaly & fault location	CNN/RNN/DNN	Improved spatiotemporal detection
Liu et al.	Data imbalance & HPO	GANs + optimization	Near-perfect classification with tuning
Nazim et al.	Distribution faults	Review & analysis	AI better than conventional protection
Nature report	Cyber-physical AI	LSTM + RF + explainable AI	Robust and interpretable framework
Khan et al.	Transmission + distribution	Comparative AI review	Demonstrates advantage of deep learning
Jadidi et al.	Micro grid resilience	Fault-tolerant + attack-resilient control	Maintains stability under faults and cyber attacks
Meira et al.	Process deviation detection	Statistical control charts	Shows limitations of classical anomaly detection in short production runs
Guo et al.	Protection relay anomalies	KPCA + Isolation Forest	Detects abnormal relay behavior in distribution networks
Anand et al.	Secure data storage	Bio-inspired optimization	Improves data security and privacy in cloud-based smart grids
Yamany et al.	IoT cyber resilience	Federated learning + swarm optimization	Enhances cyber-attack resilience without centralized data
Hou et al.[15]	AI parameter optimization	Improved Grey Wolf Optimization	Achieves faster convergence and improved tuning performance
Hu et al.	Wind power forecasting	Improved Deep Belief Network	Accurate forecasting under nonlinear and uncertain conditions
Liu et al.	Wind turbine blade faults	Deep learning + cloud-edge framework	Enables scalable and real-time damage detection
Veerasamy et al.	High-impedance fault detection	LSTM-RNN	Reliable detection of hard-to-identify faults in PV systems
Hasan et al.	Smart grid cyber security	Blockchain + big data analytics	Secures energy trading and data integrity
Tatipatri & Arun	Cyber-attacks in power systems	Review & taxonomy	Comprehensive classification of cyber-attacks and detection methods
Yusifov & Muradli	Relay protection limitations	Analytical study	Identifies weaknesses of conventional relay protection schemes
Li et al.	False data injection attacks	Federated learning	Privacy-preserving detection of cyber-attacks
Nassif et al.	Anomaly detection techniques	Systematic ML review	Consolidates ML-based anomaly detection methods
Rodrigues et al.	Power quality events	Deep learning (CNN-based)	Accurate classification of power quality disturbances
Qu et al.	Energy consumption anomalies	Genetic algorithm + AdaBoost	Optimized ensemble learning for anomaly detection

Source: Authors, (2026).

IV. CONCLUSION

The reviewed literature shows that artificial intelligence is a strong tool for fault detection, anomaly monitoring and cyber resilience in modern power systems. This includes diagnosing problems at the component level, such as lithium-ion battery failures in electric vehicles and issues with converters and sensors. It also covers risk assessments, intrusion detection, and situational awareness in SCADA and energy management systems. Unlike traditional rule-based and signal-processing protection methods, AI techniques perform better in handling non-linear dynamics, complex data, and rapidly changing operational conditions. Deep learning models like convolutional neural networks (CNNs), recurrent neural networks (RNNs), and long short-term memory (LSTM) networks helps extract complex spatial and temporal relationships from synchro phasors, smart meter, and substation data. Standard analysis struggles to capture, especially during periods of high renewable energy integration and low system inertia. Furthermore hybrid learning models that combine unsupervised anomaly detection with supervised fault classification significantly improve detection accuracy and sensitivity to early faults.

They also provide better resilience against noise, missing data, and class imbalance. AI-powered optimization techniques, transfer learning, GAN-based data augmentation, and improved feature learning enhance model performance across different networks designs and scenarios. The growing connection between cyber security and the reliability of power systems is clear in the literature. Cyber-attacks, like false data injection, replay attacks, and coordinated intrusion strategies, can leads to serious physical consequences. These includes improper relay operations and decreased stability overall stability. Research shows that AI-driven systems improve detection speed, accuracy, and flexibility. They also support predictive and preventive measures, help operator's decisions and encourage strong, intelligence, and self-correcting power system operations. Also, emerging trends shows the need for explainable AI, physics-based learning, and edge-based deployment. These elements are vital for reliable, scalable, and real-time implementation of AI-powered protection and monitoring systems in future smart grids.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Rajeswari.R
Methodology: Jenisha K J
Investigation: Rajeswari.R , Jenisha K J
Discussion of results:. Rajeswari.R , Jenisha K J
Writing – Original Draft: Jenisha K J
Writing – Review and Editing: Rajeswari.R
Resources: Jenisha K J
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VII. FUTURE SCOPE

Although, AI based methods shows promise, several important research areas till need attention before we can use them widely in real power system protection and monitoring, First, there is a strong need for real-time, scalable, and deployable AI systems that can operate reliably under rapidly changing load patterns, high uncertainity in renewable generation, increasing integration of inverter-based resources, and evolving cyber threats. Most current studies rely on offline simulations, lab tests, or publicity available benchmark datasets , which do not fully capture the practical challenges . Therfore, future research should focus on extensive field trails and utility grade implementations that consider realistic communication delays, data synchronization errors, packet losses, missing and corrupted measurements, varying sensor quality, and limitations of intelligent electronic devices(IEDs) digital relays, and edge-computing platforms.In addition, we need model compression, lightweight designs, and hardware-aware AI to ensure that advanced learning models can meet the strict latency and relaiablity need of protection applications.

Second, we should develop hybrid protection and monitoring frameworks that merge data-driven AI models with physics-based system models, power system dynamics, and traditional protection logic. This improvement will enhance model clarity , operational stability and operator confidence. Purely data-driven solution often lack physical consistency and may make decisions under new operating conditions, changes in topology, or rare Extreme events. Techniques like physics-informed learning, digital twin-assisted training, and co-simulation of protection and control systems can improve generalization and reduce on large labelled datasets. Additionally, explainable AI (XAI) techniques are difficult for understanding the internal process of complex models. This understanding helps protection engineers and system operators know why a specific fault classification, islanding decision, load – shedding command, or cyber-attack isolation action was taken. Such clarity is vital for compliance with regulations acceptance by operators, post-event analysis and safe collaboration between humans and machines in future control centers.

Third ,AI based monitoring and protection systems encounter challenges from sensor issues, measurement noise, model drift, and international data tampering. Adversarial attacks, data poisoning , replay attacks, and false data injection can mislead learning models, which might lead to incorrect relay operations, delayed fault isolation, or control actions. Future research should focus on secure learning methods, anomaly-aware training, adversarial and trust-aware decision- making across diverse data sources. Integrating cyber security analytics in to protection and monitoring processes will be vital for detecting coordinated cyber-physical attacks. This ensure that protection decisions stay reliable, even if communication and sensing systems are compromised.

Fourth, the absence of standardized, large-scale, and openly accessible datasets still makes it hard to benchmark and replicate research fairly. Most current datasets comes from specific test systems, simulation tools, and attack scenerios which complicate how Algorithms are compared. Creating standardized open datasets that encompass various operating conditions, fault types, levels of renewable integration, cyber-attack scenarios, and communication behaviors- while maintaining data privacy and utility confidentiality- will speed up methodological progress and objective evaluation of AI algorithms. Furthermore, we need to establish commom evaluation metrics, testing protocols, and validation frameworks to support clear and consistent performance assessments across different research efforts.

Fifth, future research should focus on continuous learning, online adaptation, and transfer learning techniques to handle changing system setups, seasonal load variations, equipment aging, and fluctuating market and operational conditions. AI models in real electric grids must be able to update themselves without needing frequent offline retraining or complete redeployment. Federated and distributed learning approaches can help multiple utilities to work together on modern development while keeping data private and reducing communication needs. These methods are especially attracted for large interconnected power systems and widely distributed microgrids.

Finally, future power systems will gain a lot from fully integrated cyber-physical monitoring and protection systems . These system will bring together fault and anomaly detection, cybersecurity analytics, predictive maintenance, stability assessment, and fault-tolerant control within one operational framework. A close integration of AI-driven situational awareness with wide-area measurement systems, digital substations, and energy management systems will help support proactive and coordinated decision-making across generation, transmission, and distribution levels. These systems can give early warnings of cascading failures, smart self-healing actions, coordinated protection setting, and resilient recovery strategies after major disturbances or cyber incidents. In the end, these improvement will create next generation smart grids and microgrids that are not only intelligent, but also secure, flexible, understanding , and highly reliable. This will ensure a sustainable and trustworthy operation of future power infrastructure

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RESEARCH ARTICLE OPEN ACCESS

MULTI-OBJECTIVE PELICAN OPTIMIZATION ALGORITHM FOR OPTIMAL PLACEMENT OF EVCSS AND DGS IN RADIAL DISTRIBUTION NETWORKS

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ABSTRACT

The rapid adoption of electric vehicles poses considerable challenges for the operation of radial distribution networks, due to the increased burden and voltage issues at electric vehicle charging stations (EVCS). This paper introduces the Pelican optimization algorithm (POA) for the optimization of distributed generators (DG) to alleviate the negative effects of EVCS loading on the distribution system. Five cases of DG are examined: Type-I (unity power factor), Type-II (reactive power only), Type-IIIA (power factor of 0.85), Type-IIIB (power factor of 0.9), and Type-IIIC (optimized power factor). The proposed methodology is validated by implementing it on two test systems, and the obtained POA results are compared with Particle Swarm Optimization (PSO) results. Type-IIIC DG provides the best overall performance, achieving an impressive 90.39% loss reduction for the IEEE-33-bus system and a remarkable 98.02% reduction for the 69-bus system, and also ensures excellent voltage stability. Type-II DG shows poor performance and is considered unsuitable for practical applications. POA has shown strong effectiveness in achieving the desired objectives, especially with multi-DG configurations

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I. INTRODUCTION

The current electric power distribution system is grappling with significant challenges due to rising energy demands, environmental issues, and the need for improved system reliability. Traditional centralized power generation paradigms are gradually expanded by distributed generation (DG) technologies, which offer promising solutions to these complex challenges. Sustainable, economical, and dependable Distributed generation, characterized by small-scale power generation sources located near consumption points, has emerged as a pivotal component in modern power system architecture. These systems reduce power losses in addition to enhancing voltage profiles and improving overall system stability.

Electrification of the transportation sector is increasing worldwide. This transition, while environmentally beneficial, introduces an additional load on existing distribution networks. Electric vehicle charging stations (EVCS) represent a new category of load that is both substantial in magnitude and variable in nature. The higher penetration of EVs into the grid results in increased loads, higher energy losses, and worse voltage profiles. The authors in [1] discuss the impact of EVs on distribution systems, including the volatility of loads, peak demand, and strategies that transform challenges into grid support through real-time management.

The researchers in [2] review optimization techniques applied to EV planning in distribution networks, considering diverse objective functions and load models, including conventional, heuristic, and metaheuristic methods. Integrating distributed generators (DG) is emerging as one of the most effective strategies to address surging global electricity demand. Studies on optimal placement and sizing of DG have consistently shown its effectiveness in significantly enhancing voltage stability, reducing losses, and improving reliability of distribution systems. Reference [3] provides an extensive analysis of optimization frameworks for distribution systems integrating EV charging stations, in conjunction with renewable energy sources, energy storage systems, and distributed generation.

The simultaneous optimization of multiple DG units and EVCS locations transforms this into a complex, multi-objective optimization problem with numerous decision variables and constraints.The majority of the research demonstrates the effectiveness of metaheuristic optimization techniques[4] such as Particle Swarm Optimization (PSO), Genetic Algorithm (GA), Differential Evolution (DE), Ant Colony Optimization (ACO), and various hybrid approaches in addressing the highly non-linear and constrained nature of EV charging station planning problems.

Nevertheless, ongoing research continues to focus on the development of advanced optimization algorithms capable of more efficiently solving the integrated planning challenges associated with EV charging stations and distributed generation. In this context, the present study adopts a novel metaheuristic algorithm, namely the Pelican Optimization Algorithm (POA), to simultaneously optimize the placement and sizing of EV charging stations and distributed generators. Furthermore, different types of distributed generators [5]are considered to effectively mitigate the technical impacts of EV charging integration on distribution network performance.

This paper aims to optimize various types of multiple DGS with EVCS, considering two test systems: IEEE-33 and IEEE-69. A multi-objective function that minimizes active power losses, minimizes the average voltage deviation index (AVDI), and enhances the voltage stability index (VSI) is considered. Minimization of power losses directly impacts operational costs and system efficiency, making their reduction a primary economic objective. The AVDI ensures that voltage levels remain within acceptable bounds throughout the distribution system [6]. The VSI provides crucial information regarding the system's margin to voltage instability, thereby serving as a reliable indicator.

II. PROBLEM FORMULATION

II.1 OBJECTIVE FUNCTION AND ITS CONSTRAINTS

The objective function of the paper is to minimize power loss, AVDI, and enhance VSI.

II.1.1 Active Power Loss:

EVCSs impose substantial load demands, thereby increasing active power loss when they are placed at optimal nodes within the distribution network. Hence, the aim is to minimize the active power loss and is given as:

$$f_1(k) = \min \sum_{k=1}^{N_{br}} R_j * I_j^2 \quad (1)$$

Where R_j is the jth branch resistance, I_j is the current flowing in the jth branch, j is the branch number, and N_{br} is the total number of branches.

II.1.2 Average Voltage Deviation Index:

A node's voltage deviation index is the difference between the node's actual voltage and the reference voltage (1 p.u.) in a network. The AVDI represents the average VDI across all nodes in the network. A lower value signifies greater voltage stability, and it is given as

$$f_2(k) = \frac{1}{b} \sum_{k=1}^{b} |1 - V_k|^2 \quad (2)$$

Where b is the total number of buses, k is the bus number, and V_k is the voltage at the k^{th} bus,

II.1.3 Voltage Stability Index:

The maximum Voltage Stability Index (VSI) of the distribution system indicates that the bus can maintain its voltage profile within acceptable limits, even under varying loading conditions. It is important to keep the VSI of all buses in the distribution system close to unity to ensure the safe operation of the system, and is given as

$$VSI_{k+1} = |V_k|^4 - 4 * [P_{k+1}X_{j-} Q_{k+1} R_j]^2 - 4 * [P_{k+1}R_{j-} Q_{k+1} X_j] |V_k|^2 \quad (3)$$

Where, VSI_{k+1} represents the VSI of (k+1) th bus,P_{k+1} , Q_{k+1}, denotes the active and reactive powers at the (k+1)th bus, $R_j$and X_j represents the resistance and reactance of the j^{th} branch connecting the k^{th} and $(k + 1)^{th}$ bus. During operation, the voltage level of the entire network must be increased by maximizing the VSI of the bus with the lowest value. In this study, three different objective functions are developed to (i) reduce the real power loss, (ii) minimize the Average Voltage Deviation Index (AVDI), and (iii) enhance the Voltage Stability Index (VSI). This multi-objective optimization problem is formulated using a weighted-sum approach and is expressed as:

$$F(k) = \min [w_1(f_1(k) + w_2(f_2(k) + w_3 \frac{1}{f3(k)} \quad (4)$$

where w1 accounts for 50% of the impact on power losses, w2 represents 20% of the effect on AVDI, and w3 reflects 30% of the influence on VSI.

II.2 OPERATIONAL CONSTRAINTS

II.2.1 Equality Constraints

The active and reactive power supplied by the substation must balance the total active and reactive power demand of the system, including the additional load imposed by EV charging stations.

$$P^{substation} + \sum_{k=1}^{N_{bus}} P_{DG}(K) = \sum_{j=1}^{N_{br}} P_{loss}^{j}(k, k+1) + \sum_{k=1}^{N_{bus}} P_{D,k} + P_{EVCS}^{k} \quad (5)$$

$$Q^{substation} + \sum_{k=1}^{N_{bus}} Q_{DG}(K) = \sum_{j=1}^{N_{br}} Q_{loss}^{j}(k, k+1) + \sum_{k=1}^{N_{bus}} Q_{D,k} + Q_{EVCS}^{k} \quad (6)$$

Where N_{br} represents the number of branches, N_{bus} denotes the number of branches, $P^{substation}$, and $Q^{substation}$ are the real and reactive powers of the electric substation, respectively. $P_{DG}(K)$ and $Q_{DG}(K)$, are the k^{th} bus total real and reactive powers injected by DGs, P_{loss}^{j} and Q_{loss}^{j} represents the real and reactive power loss in the j^{th} branch, $P_{D,k}$ and $Q_{D,k}$ are the active and reactive power demand at the k^{th} bus, P_{EVCS}^{k} is the charging station load at $k^{th,}$

II.2.2Inequality Constraints

Voltage magnitude of each bus should lie between 0.95 and 1.05 p.u.

$$V_{min} \leq V_k \leq V_{max} \quad K=1,2,3, \ldots\ldots N_{bus} \quad (7)$$

The limit of line current is as given below

$$I_j \leq I_j^{max} \quad j=1,2,3\ldots\ldots\ldots N_{br} \quad (8)$$

The injected DG power should lie within certain limits

$$DG_{min} \leq DG_{Sizing} \leq DG_{max} \quad (9)$$

II.3 LOAD FLOW ANALYSIS

By [7] proposed a direct approach for load flow solutions, which yields better results, as conventional load flow studies, such as Gauss-Seidel, Newton-Raphson, and Fast Decoupled load flow methods, are not suitable due to the high R/X ratio of distribution networks. This load flow uses two matrices: bus injection to branch current matrix (BIBC) and bus current to bus voltage matrix (BCBV) matrices to calculate the power loss as explained below. The complex load Si in the distribution network is expressed as,

$$S_{i=} Pi+jQ_i \quad \text{for } i=1, 2\ldots\ldots\ldots, N \quad (10)$$

Where P_i, Qi are the real and the reactive powers at the ith bus, N is the total number of buses and the corresponding current injection is given as,

$$I_i = \left(\frac{Si}{V_i}\right)^* \quad (11)$$

Where I_i, V_i are the currents, and voltages at i^{th} bus, respectively the two formulated matrices, BIBC and BCBV, are interconnected as

$$[\Delta V] = [BIBC]\,[BCBV]\,[I] \quad (12)$$

$$[\Delta V] = [DLF]\,[I] \quad (13)$$

Where DLF is the direct load flow matrix. The iterative procedure is done as below

$$I_i^k = \left(\frac{Si}{v_i^k}\right)^* \quad (14)$$

$$[\Delta V^{k+1}] = [DLF]\,[I^k] \quad (15)$$

$$v^{k+1} = [v_o][\Delta V^{k+1}] \quad (16)$$

The power flow is computed as follows

$$P_{i+1} = P_{i-} P_{Li+1} - R_{Li+1} * \left(\frac{P_i^2 + Q_i^2}{|V_i^2|}\right) \quad (17)$$

$$Q_{i+1} = Q_{i-} Q_{Li+1} - X_{Li+1} * \left(\frac{P_i^2 + Q_i^2}{|V_i^2|}\right) \quad (18)$$

Where P_i and Q_i are the real and reactive powers flowing out of bus i, and P_{Li} and Q_{Li} are the real and reactive load powers at bus i. The resistance and reactance of the line section between buses i and i +1 are denoted by $R_{i,i+1}$, and $X_{i,i+1}$, respectively. The power loss of the line section connecting buses i and i +1 may be computed as:

$$P_{Loss}(i, i+1) = R_{Li+1} * \left(\frac{P_i^2 + Q_i^2}{|V_i^2|}\right) \quad (19)$$

$$Q_{Loss}(i, i+1) = X_{Li+1} * \left(\frac{P_i^2 + Q_i^2}{|V_i^2|}\right) \quad (20)$$

The total loss is calculated as

$$P_{T,Loss} = [BIBC] * P_{Loss}(i, i+1) \quad (21)$$

$$Q_{T,Loss} = [BIBC] * Q_{Loss}(i, i+1) \quad (22)$$

$$P_{Loss} = \sqrt{P_{T,Loss}^2 + Q_{T,Loss}^2} \quad (23)$$

III. OPTIMIZATION ALGORITHMS

III.1 PARTICLE SWARM OPTIMIZATION ALGORITHM (PSO)

Particle Swarm Optimization is a population-based stochastic optimization algorithm that addresses various search and optimization challenges by mimicking the collective intelligence observed in natural swarms such as bird flocks and fish schools. It workson a swarm of N particles in a search space with D dimensions. Each particle is a possible answer to an optimisation problem. Each particle progressively adjusts its position by incorporating its previous velocity vector, its individual optimal position (pbest), and the collective optimal position (gbest) disseminated throughout the swarm [8]. Two fundamental equations govern particle dynamics in PSO. For particle *i,* the velocity and position updates are formulated as:

Velocity Update Equation:

$$V_i^{k+1} = \omega^k \times V_i^{k+1} + C_1 \times rand_1 \times (P_{best,i}^k - X_i^k) + + C_2 \times rand_2 \times (G_{best,i}^k - X_i^k) \quad (24)$$

The inertia weight used is calculated using the equation

$$\omega^k = \omega_{max} - \left(\frac{\omega max - \omega min}{kmax}\right) \times k \quad (25)$$

Position Update Equation:

$$X_i^{k+1} = X_i^k + V_i^{k+1} \text{ for i=1, 2,,,,……,n} \quad (26)$$

Where n represents the number of particles in the search space

Algorithm for PSO:

1. Initialize data, EVCS, and DG numbers.
2. Set the number of iterations and other parameters of PSO along with EVCSs and DG lower and upper bound limits.
3. Initialize the velocities and positions of the particle's population in the swarms.
4. Set the iteration to one.
5. Perform the load flow analysis and evaluate the best particle's index, velocities, position, and power losses.
6. Determine the Global optimum and Local optimum
7. According to Equations (24) and (26), update the velocities and locations. The optimal value is assessed, and the optimal particle index for EVCS and DG is identified
8. Update the Gbest and Pbest of swarms.
9. Repeat steps 6–12, incrementing by 1, until the maximum number of iterations is attained.
10. Print the best solution and end.

III.2 PELICAN OPTIMIZATION ALGORITHM (POA)

The POA is based on the hunting methods of pelicans, which [9]. When pelicans are hunting, they work in groups in search of their prey and then dive strategically, extending their wings to direct the prey towards the water's surface and shallow areas, which makes it easier to catch. It initializes a population of pelicans that change their positions according to the optimal solutions to simulate prey pursuit. The algorithm guarantees global optimization through dynamic exploration of new regions. This leads to stable and efficient solutions for difficult problems. The initialization of the population is done by

$$X_{i,j} = l_j + \text{rand}.(u_j - l_j) \text{ , i=1, 2,……, N, j=1,2….m} \quad (27)$$

Where X_(i,j) denotes the value of the jth variable as defined by the ith candidate solution, lj signifies the jth lower bound, and uj denotes the jth upper limit of the problem variable, rand is a random number in the interval [0, 1], N represents the number of population members, and m indicates the number of problem variables in this POA, the population of pelican agents is represented by a population matrix. Each row corresponds to a candidate solution vector, while each column denotes the recommended values for the decision variables

$$X=\begin{bmatrix} X_1 \\ \vdots \\ X_i \\ \vdots \\ X_N \end{bmatrix}_{N\times m} = \begin{bmatrix} x_{1,1} & \dots & x_{1,j} & \cdots & x_{1,m} \\ \vdots & \vdots & \vdots & \vdots & \vdots \\ x_{i,1} & \dots & x_{i,j} & \dots & x_{i,m} \\ \vdots & \vdots & \vdots & \vdots & \vdots \\ x_{N,1} & \dots & x_{N,j} & \dots & x_{N,m} \end{bmatrix}_{N\times m} \quad (28)$$

Where X is the population matrix, and Xi represents the ith individual pelican. The above initial populations are used to determine the objective functions in the vector form, as shown below

$$F = \begin{bmatrix} F_1 \\ \vdots \\ F_i \\ \vdots \\ F_N \end{bmatrix}_{N\times 1} = \begin{bmatrix} F(X_1) \\ \vdots \\ F(X_i) \\ \vdots \\ F(X_N) \end{bmatrix}_{N\times 1} \quad (29)$$

The POA approach is represented in two phases based on pelicans' hunting behavior. The hunting behavior is simulated using two phases

(i) Moving towards prey

Exploration entails moving toward the prey, whereas exploitation necessitates gliding on the water's surface. During the initial phase, pelicans randomly identify and approach their prey within the search space, mathematically represented by the equation

$$x_{i,j}^{p_1} = \begin{cases} x_{i,j} + rand.(p_j - l.x_{i,j}), & F_p^1 < F_i \\ x_{i,j} + rand.(x_{i,j} - p_j), & else \end{cases} \quad (30)$$

Where Fp represents the prey objective function value. A pelican agent's new position is accepted only if it yields a better objective function value. This effective updating criterion steers the algorithm away from suboptimal regions, avoiding premature convergence to local optima. The position of the POA is updated using the equation below

$$X_i = \begin{cases} X_i^{P_1}, F_i^{P_1} < F_i ; \\ X_i , else , \end{cases} \quad (31)$$

(ii). Winging on the water surface

During this phase, pelicans use the surface of the water to push fish up by spreading their wings, thereby catching the fish in their throat bag. Pelicans capture a greater quantity of fish in the region targeted by this method. During this phase, the algorithm gets closer to finding better solutions in the hunting zone, which makes it easier to take advantage of POA. This pelican's hunting behaviour is written mathematically as

$$x_{i,j}^{p_1} = x_{i,j} + R.\left(1-\frac{t}{T}\right).(2.\,rand - 1).\,x_{i,j} \quad (32)$$

Effective updating has been used to decide whether to accept or reject the most recent pelican position, as shown in the equation below.

$$X_i = \begin{cases} X_i^{P_2}, F_i^{P_2} < F_i ; \\ X_i , else , \end{cases} \quad (33)$$

Algorithm Procedure

1. Initialize the bus and line data, EVCS, and DG numbers.
2. Initialize the number of iterations and other parameters of POA along with EVCSs and DG lower and upper bound limits.
3. Randomly initialise the places of the pelican population inside the defined search space limits for EVCS sites and DG capacity.
4. Set the iteration counter t = 1.
5. Evaluate the fitness of each pelican using load flow analysis and other performance indices for the current EVCS and DG placement configuration.
6. Identify the global best position (x_best) representing the optimal EVCS and DG configuration with minimum power losses.
7. Generate a random prey position within the search space bounds.
8. Update positions using equations (27)-(31)
9. Run load flow analysis for all updated pelican positions to evaluate new fitness values.
10. Update the global best position if any pelican achieves better performance (lower power losses) than the current global best.
11. Check boundary constraints for EVCS locations (valid bus numbers) and DG capacities (within specified limits). Apply corrections if positions violate bounds.
12. Increment iteration counter: t = t + 1 and repeat steps 7-13, till the maximum number of iterations is attained
13. Print the best solution and end.

IV. RESULTS AND DISCUSSIONS

IV.1 SYSTEM DESCRIPTION:

The initial test system is the IEEE-33 bus distribution network, with 33 nodes and 32 branches, with a total real power demand of 3715 kW and total reactive power loads of 2300 kVAr [10]. The second test system is the IEEE-69 bus distribution network, with 69 nodes and 68 branches, with a total real and reactive demand of 3803.9 kW and 2693.1 KVAR. Both systems operate at 100 MVA and 12.66 kV. Table 1 shows the electric vehicle (EV) models that are considered in this paper. These include the BMW i3, Tesla Model X, Chevrolet Volt, and Chang'an Yidong. Charging stations (CS) equipped with AC/DC level-2 charging ports (CPs) compliant with the SAE J1772 standard are also included. These ports are capable of charging both Battery Electric Vehicles (BEVs) and Plug-in Hybrid Electric Vehicles (PHEVs) with a maximum power output of 7 kW[6].

Table 1: EVCS Features for Simulation.

Tesla Model X	13	15	195
BMW i3	44	10	440
Chevrolet Volt	2.2	25	55
Chang An Yidong	3.75	20	75
SAE J1772 Standard	7	30	210
Total CS power rating (kW)		100	975

Source: Authors, (2026).

Three different scenarios are addressed in this work on two IEEE systems to validate the methodology

Scenario 1: Base case

Scenario 2: Optimal placement of three EVCSs

Scenario 3: Optimal placement of three EVCSs with three DGs of different types

IV.2 RESULTS OF THE IEEE-33 BUS SYSTEM

Scenario 1: Base case

With the load flow analysis on the first test system, the base case real power and reactive power losses are 202.66kW and 134.7 kVAr, respectively. The minimum voltage of 0.9131 p.u is obtained at bus 18, whereas the minimum VSI value is 0.6951 p.u, and the AVDI minimum is 0.0036 p.u

Scenario 2: Optimal placement of three EVCSs

When multiple EVCSs of 975 kW are optimally placed with the considered optimization algorithms, system performance improves, rather than random placement. Both PSO and POA identified the optimal locations for three EVCSs as 2,19,25. With the identified locations, the power loss becomes 287.1126 kW, VSI decreased to 0.678644 p.u., and AVDI increased to 0.004313 p.u. This result underscores the importance of optimization of DGS with EVCS in the distribution system.

Table 2: Results of the IEEE-33 bus system with and without EVCSs.

	Locations	**Ploss(kW)**	**AVDI (p.u)**	**VSI (p.u)**	**Vmin (p.u)**
Load Flow					
Base Case	-	202.66	0.00366	0.6951	0.9131
Three EVCSs (3*975kW)					
PSO	2,19,25	287.1126	0.004313	0.678644	0.9076
POA	2,19,25	287.1126	0.004313	0.678644	0.9076

Source: Authors, (2026).

Scenario 3: Optimal placement of three EVCSs with three DGs of different types

In this case, three DGs of different types are optimally placed in conjunction with three EVCS of 975 kw in the radial distribution system. Type-3 DGs with different power factors (0.85, 0.9) and an optimized power factor are considered in this study. With optimization algorithm PSO, the losses for Type-1, Type-2, Type-3A, Type-3B, Type-3C are reduced to 69.22 %,21.19%,87.86%,87.47 % and 89.66 %. The AVDI values have become 0.000459 p.u., 0.001507 p.u., 0.000019 p.u., 0.000031 p.u., and 0.000029 p.u.Also, the VSI values have increased to 0.813721 p.u.,0.873617 p.u., 0.968282 p.u., 0.950191 p.u.,0.957584 p.u., as shown in Table 3.

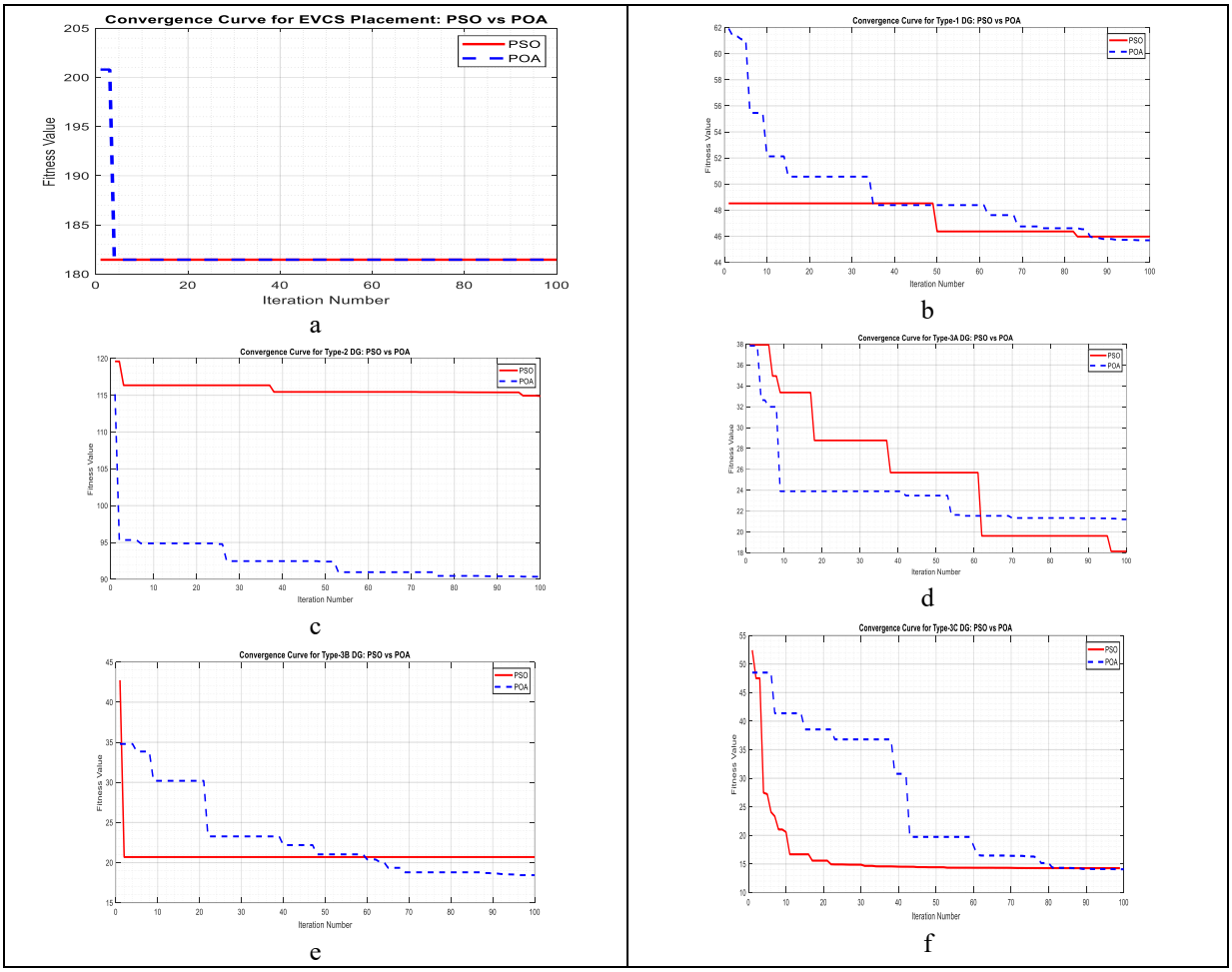


Figure 1: Convergence Curves of the IEEE-33 bus system with optimization algorithm a) With EVCSs only b). EVCSs with Type-1 DGs c). EVCSs with Type-2 DGs d). EVCSs with Type-3A DGs e). EVCSs with Type-3B DGs f). EVCSs with Type-3C DGs. Source: Authors, (2026).

Table 3: Performance Indices of IEEE-33 bus system.

	Locations	**Sizes**	**Ploss (kW)**	**% Reduction in Loss**	**AVDI (p.u)**	**VSImin (p.u)**	**Vmin (p.u)**
Type-1 (kW)							
PSO	29,24,13	1168,2098,754	88.3920	69.22	0.000459	0.873617	0.9668
POA	24,13,30	2178,1083,793	87.7551	69.43	0.000438	0.880739	0.9688
Type-2 (kVAr)							
PSO	10,30,17	468,1295,336	226.2993	21.19	0.001507	0.813721	0.9500
POA	7,16,30	813.16 453.07,1105.75	224.7136	21.74	0.001431	0.814559	0.9500
Type-3A (kVA)							
PSO	30,13,24	1256+i77 728+i451 1904+i1180	34.891	87.86	0.000019	0.968282	0.9920
POA	24,14,30	1739+i1078 735+i455 1216+i75	34.6845	87.92	0.000022	0.967913	0.9919
Type-3B (kVA)							
PSO	11,30,24	951+i461 1260+i610 1885+i913	35.9690	87.47	0.000031	0.950191	0.9873
POA	24,13,30	2006+i971 668+i324 1269+i615	35.2785	87.71	0.000058	0.954793	0.9890
Type-3 C(kVA)							
PSO	24,14,30	2137+550 766+i359 1073+i968.7	29.6863	89.66	0.000029	0.957584	0.9893
POA	24,12,30	2043.64+i356 916.54 +i61 958.61+i902	27.5781	90.40	0.000027	0.965020	0.9915

Source: Authors, (2026).

With POA the losses Type-1, Type-2, Type-3A, Type-3B, Type-3C DGs are reduced to 69.43 %,21.74%,87.92%,87.71 % and 90.40 %. The AVDI values have become 0.000438 p.u., 0.001431 p.u., 0.000022 p.u., 0.0000528 p.u., and 0.000027 p.u.Also, the VSI values have increased to 0.880739 p. u,0. 814559p.u, 0.967913p.u,0.954793 p.u, and 0.965020 respectively.

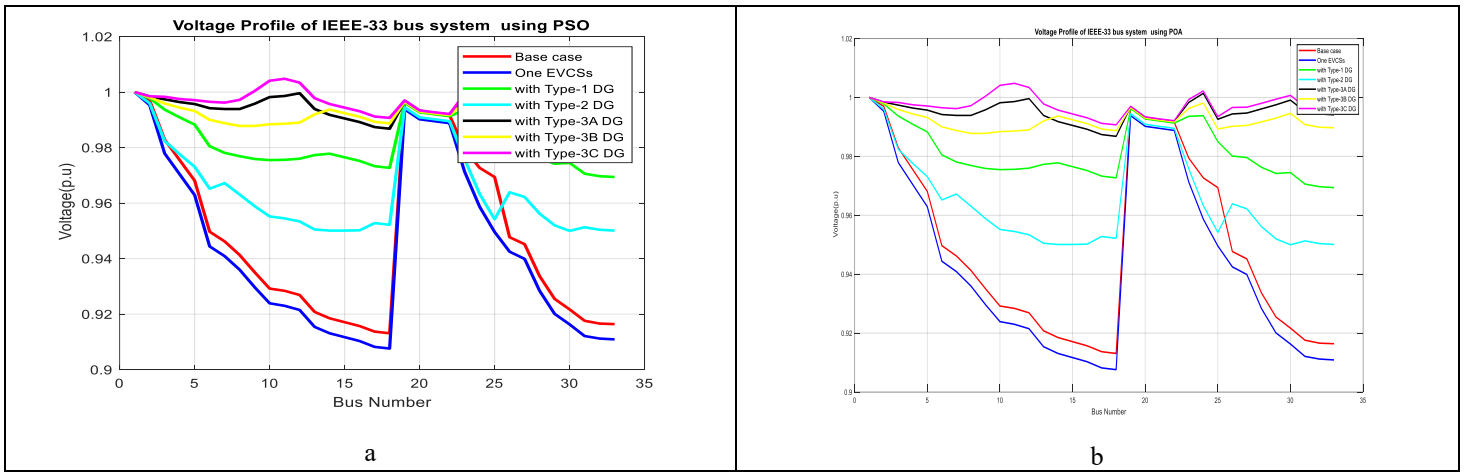


Figure 2: Comparison of the voltage profile within the IEEE-33 bus system, a) with PSO, b) with POA.
Source: Authors, (2026).

The results show that Type-3C with optimal power flow achieves the highest loss reduction, at 89.66% using PSO, followed closely by 90.40% with POA. The minimum voltage is better with POA, which is 0.9915 p.u., as shown in Figure 2. Fig. 1 also shows the convergence curve for three EVCSs with three different types of DGs. The final curves for POA and PSO are similar, but POA converges more smoothly.

IV.3 RESULTS OF THE IEEE-69 BUS SYSTEM

Scenario 1: Base case

With the load flow analysis on the IEEE-69 bus system, the base case real power and reactive power losses are 224.8807kW and 102.64393 kVAr, respectively. The minimum voltage of 0.9092 p.u is obtained at bus 65, whereas the minimum VSI value is 0.683325 p.u, and the AVDI minimum is 0.001460 p.u.

Scenario 2: Optimal placement of three EVCSs

Both the optimization algorithms PSO and POA identified the optimal locations for three EVCS as 2,28, and 47 for the IEEE-69 bus. The power loss increased to 225.2724 kW. Additionally, VSI is decreased to 0.683224 p.u. and AVDI is increased to 0.001462 p.u.

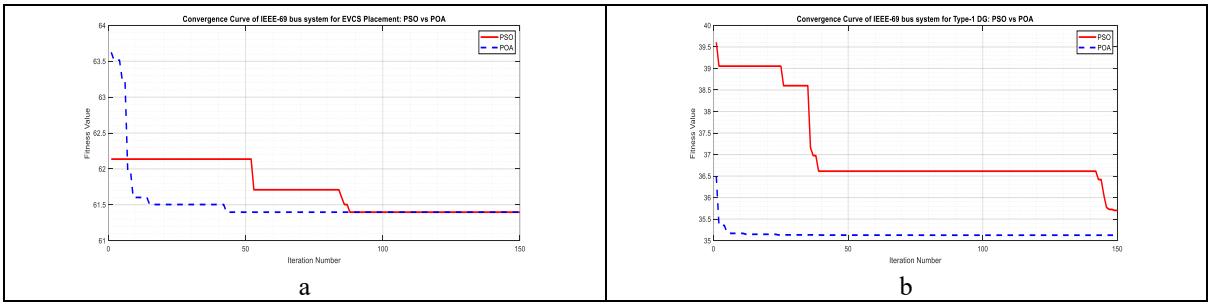
Table 4: IEEE-69 bus system performance before and after placement of EVCS.

	Locations	Ploss(kW)	AVDI(p.u)	VSImin (p.u)	Vmin(p.u)
Load Flow					
Base Case	-	224.8807	0.001460	0.683325	0.9091
Three EVCSs (3*975kW)					
PSO	2,28,47	225.2724	0.001462	0.683244	0.9092
POA	2,28,47	225.2724	0.001462	0.683244	0.9092

Source: Authors, (2026).

Scenario 3: Optimal placement of three EVCSs with Three Different Types of DGS

With the Type-I configuration (3 DGs integrated with 3 EVCS), the system achieved a power loss reduction of 69.10%. The minimum bus voltage improved to 0.9790 p.u. using POA and 0.9789 p.u. using PSO. The voltage stability index increased to 0.918686 p.u. and 0.918304 p.u., while the average voltage deviation index decreased to 0.000076 p.u. and 0.000077 p.u. for POA and PSO optimizations.



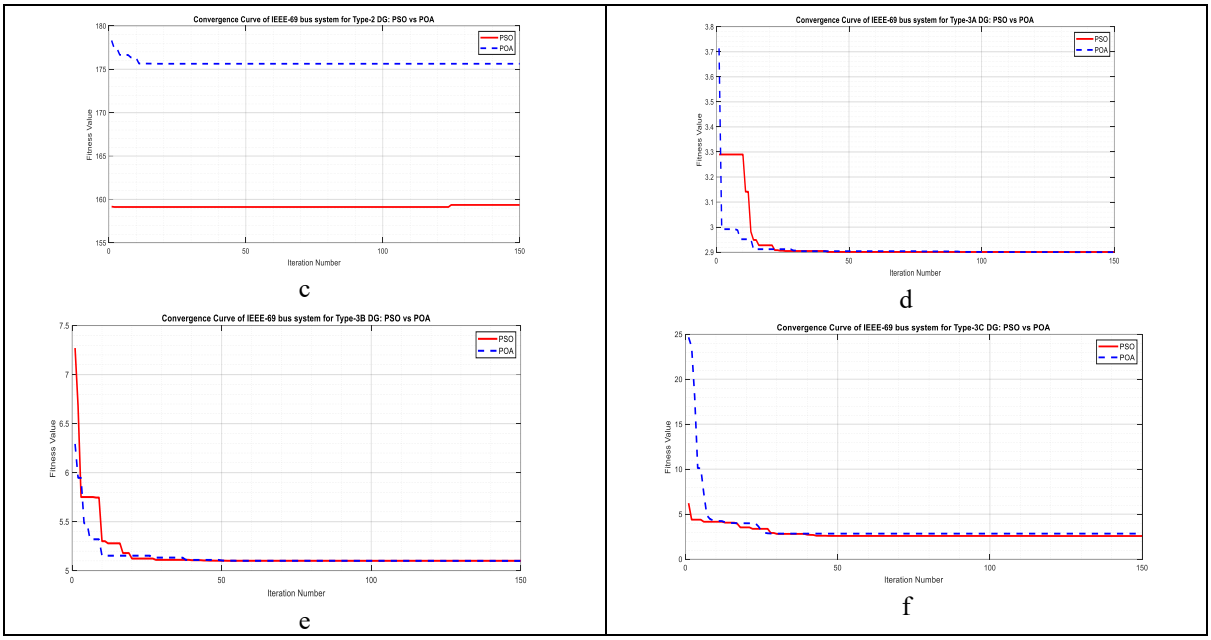


Figure 3: Convergence Curves of the IEEE-33 bus system with optimization algorithm a) With EVCSs only b). EVCSs with Type-1 DGs c). EVCSs with Type-2 DGs d). EVCSs with Type-3A DGs e). EVCSs with Type-3B DGs f). EVCSs with Type-3C DGs. Source: Authors, (2026).

With Type-2 DG, power losses decreased to 155.233kW and 155.22 kW. The voltage stability index (VSI) improved to approximately 0.7497 p.u., while the minimum bus voltage reached 0.9305 p.u. for both methods. The average voltage deviation index (AVDI) was measured at 0.000742 p.u. for both POA and PSO approaches. The results are tabulated in 5.

Table 5: Performance Indices of IEEE-69 bus system.

	Locations	**Sizes**	**Ploss (kW)**	**% Reduction in Loss**	**AVDI (p.u)**	**VSImin(p.u)**	**Vmi (p.u)**
Type-1 (kW)							
PSO	17,11,61	362,578,1712	69.6193	69.09	0.000077	0.918304	0.9789
POA	17,11,61	380,530,1720	69.5989	69.10	0.000076	0.918686	0.9790
Type-2 (kVAr)							
PSO	17,11,61	467,1000,1000	155.233	31.08	0.000742	0.749738	0.9305
POA	18,11,61	466,1000,957	155.22	31.09	0.000742	0.749736	0.9305
Type-3A (kVA)							
PSO	17,11,61	386+i239 517+i320 1746+i1082	5.1876	97.70	0.000002	0.977075	0.9942
POA	11,18,61	519+i32 387+i240 1745+i1082	5.186	97.70	0.000002	0.977075	0.9942
Type-3B (kVA)							
PSO	17,11,61	406+i196 543+i263 1829+i886	9.5878	97.44	0.000002	0.977038	0.9942
POA	11,18,61	544 +i264 405+i196 1829+i886	9.5863	95.74	0.000002	0.977038	0.9942
Type-3C (kVA)							
PSO	17,11,61	380+i251 494+i353 1676+i1195	4.4583	98.02	0.000002	0.977092	0.9942
POA	11,61,18	496+i354 1675+i1195 379+i251	4.4567	98.02	0.000002	0.977092	0.9942

Source: Authors, (2026).

Type-3A (3DGs) reduced power losses to 5.186 kW and 5.1786 kW, VSI increased to 0.977075 p.u, and AVDI decreased 0.000002 p.u, while Vmin reached 0.9942 p.u, for POA and PSO. Type-3B (3DGs) reduced power losses to 9.5878 kW and 9.586 kW, minimum voltage reached 0.9942 p.u, VSI increased to 0.977038 p.u, and AVDI decreased to 0.000002 p.u, for POA and PSO, respectively.

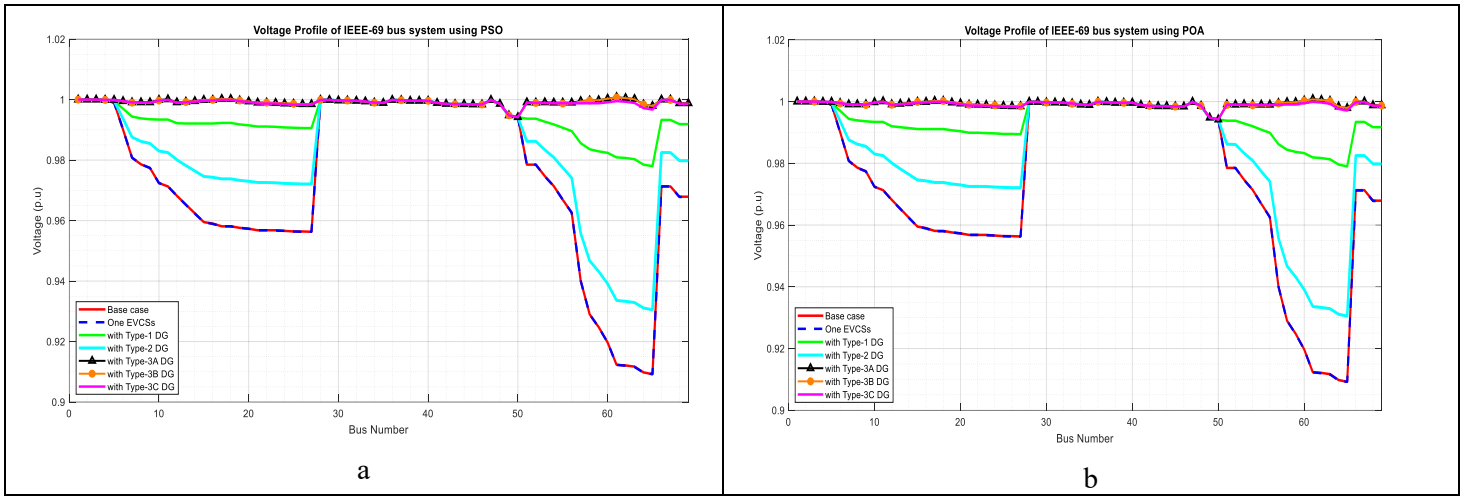


Figure 4: Comparison of the voltage profile within the IEEE-69 bus system, a) with PSO, b) with POA.
Source: Authors, (2026).

For type-3C, DGs with optimized power factors are determined with both optimization algorithms. This reduced power losses to 4.4567 kW and 4.4583 kW, and voltage profiles increased to 0.9942 p.u., VSI increases 0.977092 p.u and AVDI decreases 0.000002 p.u., for POA and PSO, respectively, as shown in Table 5. Type -3 C Dg achieved power loss reduction of 98.02 % with both theoptimization algorithms. The convergence curves shown in Figure 3 prove that the new algorithm, POA, outperforms the PSO in fitness value. Figure 4 illustrates the voltage profile of the IEEE-69 bus network, considering the impact of various distributed generation types in conjunction with EVCSs.

V. CONCLUSIONS

The incorporation of a significant number of electric vehicles (EVs) negatively impacts system performance, resulting in an increase in power losses, a rise in average voltage deviation index (AVDI), a reduction in voltage stability index (VSI), and a decline in the voltage profile. Consequently, different types of distributed generators (DGs) are incorporated with electric vehicle charging stations (EVCS), and it is observed that an increase in the number of DGs yields improved outcomes. This is performed by implementing a novel optimization algorithm, called the Pelican Optimization Algorithm. In here, the multi-objective function, i.e, reduction of power loss, minimization of Average Voltage Deviation Index, and enhancement of Voltage Stability Index, is formulated and optimized using Particle Swarm Optimization (PSO) and Particle Optimized Algorithm (POA), with POA yielding better results than PSO for both the IEEE-33 and IEEE-69 bus systems. From the results, we can conclude that the Type-IIIC DG outperformed the others. Although PSO performs better in certain cases, POA remains consistent across different performance measures

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Swetha Veligaram and Dr. A Lakshmi Devi.
Methodology: Swetha Veligaram and Dr. A Lakshmi Devi.
Investigation: Swetha Veligaram and Dr. A Lakshmi Devi.
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Approval of the final text: Swetha Veligaram and Dr. A Lakshmi Devi.

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RESEARCH ARTICLE OPEN ACCESS

INTELLIGENT WORKSITE PROTECTIVE EQUIPMENT COMPLIANCE DETECTION USING DEEP NEURAL NETWORKS

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Industrial Surveillance.

ABSTRACT

This research introduces a real-time framework for Personal Protective Equipment (WPE) identification utilizing YOLOv8, an advanced object detection model. The suggested system is intended for the ongoing surveillance of building sites and industrial settings to autonomously confirm worker adherence to obligatory safety equipment, including hardhats and highly visible safety vests. The system analyses input stream from a live camera or pre-existing picture datasets to execute real-time detection of WPE violations in video frames. Upon detecting non-compliance, automated alarm notifications are promptly created and dispatched over the Telegram instant messaging platform, facilitating swift safety intervention. The implementation is constructed with Python, utilizing OpenCV with video processing as well as the YOLOv8 system for object identification and inference. The suggested solution presents an effective scalable, and scalable safety compliance tracking system that can be effortlessly incorporated into current industrial safety overall surveillance infrastructures to improve worker security and workplace safety.

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I. INTRODUCTION

Worksite Protective Equipment (WPE)—comprising hard hat, safety vests, safety masks, and associated protective equipment—serves a vital function in mitigating injuries and fatalities in hazardous situations including construction sites, production lines, and industrial plants [1]. Notwithstanding the implementation of rigorous workplace safety standards, adherence to WPE usage continues to be a chronic issue. Recent studies indicate that human variables, including fatigue, inattentiveness, restricted visibility [2], and the vastness of industrial workstations, substantially diminish the efficacy of manual safety oversight [3]. WPE infractions frequently remain unnoticed, so exposing workers to dangers including falling objects, machinery-related incidents, and chemical exposure [4].

Conventional manual monitoring methods are arduous, unreliable, and unsuitable for dynamic, large-scale settings. Supervisors cannot consistently oversee all employees in real time, resulting in delayed reactions and heightened risk. Contemporary literature progressively highlights the shortcomings of rule-based and human inspection systems, advocating towards automated safety monitoring systems powered with computer vision as well as artificial intelligence (AI). Progress in deep learning, especially convolutional neural network (CNN)-inspired object detection models, has shown considerable enhancements in accuracy, resilience, and inference performance for real-time safety applications.

In recent years, object identification systems including YOLO (You Only Look Once), the SSD, along with R-CNN with faster speeds have been extensively investigated for personal protective equipment detection [5-7]. The most recent version, YOLOv8, demonstrates enhanced performance regarding detection accuracy, minimal latency, and computing efficiency, rendering it appropriate for real-time implementation on edge devices. Recent research indicate that YOLO-based models attain almost real-time inference speeds while maintaining excellent accuracy in identifying WPE components, including helmets, face masks, and safety vests, across diverse illumination and occlusion scenarios.

This project presents an on-demand WPE compliance tracking system that utilizes YOLOv8 for automated identification of uses of WPE using live camera feeds or image datasets, motivated by recent breakthroughs [8]. The technology detects WPE breaches in real time and issues immediate notifications via Telegram alerts, allowing supervisors to react swiftly to safety infractions. The proposed system attains real-time performance, facilitating prompt diagnosis and intervention [9]. The system integrates intuitive features, including an overlay visual interface that presents live video feeds and compliance metrics, as well as a notification cooldown mechanism to avert alert saturation [10]. The technology is engineered for scalability, enabling deployment in various industrial settings and adaptation to differing safety standards. Moreover, by employing open-source technology and ensuring interoperability with inexpensive hardware, the system provides a cost-efficient and pragmatic solution for improving workplace safety. This project seeks to diminish industrial fatalities and injuries by automated WPE compliance monitoring, reducing dependence on manual inspections, and promoting a proactive security culture in highly hazardous sectors via sophisticated, real-time surveillance technologies.

II. LITERATURE REVIEW

The literature review distinctly demonstrates a progressive enhancement in WPE detection techniques, especially for the development of deep learning techniques -based models for object detection and real-time alarm systems are shown in Table 1. Initial research [11],[12] predominantly utilized YOLO (You Only Look Once) and SSD frameworks, attaining moderate identification accuracies (82–87%) in controlled environments. These studies revealed the viability of computer vision-based WPE identification; nevertheless, they were constrained by diminished resilience in intricate industrial settings and comparatively slower inference times. Subsequent studies [13] employed advanced detectors like Faster R-CNN and YOLOv5, resulting in enhanced accuracy in detection (up to 89%) and the implementation of automatic alarm systems via IoT and SMS. Nevertheless, these models frequently exhibited elevated computing cost, constraining real-time implementation in extensive environments.

Beginning in 2022, research increasingly emphasized continuous operation and system integration. According to [12] illustrated the efficacy of YOLOv6 and YOLOv7 integrated with Telegram-based alert systems, with detection accuracies nearing 90% and facilitating expedited reaction times. These studies emphasized the significance of amalgamating algorithms for detection with communication channels for prompt safety responses. Recent research [14] highlight the superiority of YOLOv8, which provides improved detection speed, diminished latency, and increased precision relative to earlier YOLO iterations. These methodologies routinely provide an accuracy or mean Average Precision (mAP) of 90–93%, accompanied by real-time alert notifications over Telegram and SMS.

The enhancements in YOLOv8's architecture render it especially apt for implementation in dynamic, high-risk settings. Upon reviewing the studies, numerous notable trends, technological innovations, and research deficiencies in YOLO-based WPE systems for detection, especially those employing YOLOv8, can be discerned. The progression of YOLO designs, spanning with YOLOv4 [14] through the latest YOLO technique variants, illustrates ongoing advancements in deep learning-based object recognition, particularly regarding detection precision, inference speed, overall model efficiency. Each subsequent version has architectural enhancements that improve extraction of features and real-time efficiency, rendering YOLOv8 especially appropriate for safety-critical applications like real-time WPE monitoring for compliance in construction and industrial settings.

Table 1: Recent Literature Survey on Worksite Protective Equipment Monitoring.

Authors	Year	Methodology	Dataset	Key Findings
Chen et al. [12]	2020	Single Shot Detector, OpenCV	Manufacturing facility dataset	87% accuracy in low-light conditions
Singh et al. [13]	2021	Faster Recurrent-Conventional Neural Network	Construction site images and videos	88% accuracy
Li et al. [14]	2023	YOLO, SMS alert system	Custom hazardous environment dataset	WPE detection speed by 15% than YOLOv7
Gupta et al. [15]	2023	YOLO, Telegram API, SMS gateway	Custom dataset of construction and industrial workers	Achieved 90% mAP with real-time alerts

Source: Authors, (2026).

The literature indicates a distinct trend towards real-time compliance with WPE monitoring systems based on YOLO, featuring integrated alarm mechanisms. YOLO offers an optimal mix between speed and accuracy compared to previous models, rendering it the most efficient solution for scaled, real-time industrial safety monitor. This substantiates the selection of YOLO but Telegram-based notifications in the suggested approach, establishing it as a technologically robust and modern methodology consistent with recent research developments.

II. PROPOSED METHODOLOGY

The dataset constitutes the fundamental basis of the presented WPE detection method and is essential for attaining dependable and resilient model performance. It consists of over 2,800 annotated photos and many hours of real-world recordings obtained from active building sites. The data encompasses a broad spectrum of operating circumstances, including various worker postures, differing intervals from the camera, several camera perspectives, and intricate backgrounds typically found in construction settings. The dataset comprises photos and video images of workers adhering to WPE requirements and breaching safety protocols, facilitating the model's ability to learn distinguishing features for precise categorization. The information encompasses types of worksite protective equipment, including hard helmets, safety face masks, and further pertinent protective equipment. The data also illustrates real-world issues such partial occlusions, congested environments, fluctuations in illumination, low-light settings, and blurry motion, which are essential for enhancing model generalization. The dataset was meticulously labeled with boundaries for each WPE category, utilizing standardized labelling formats suitable with YOLOv8 to facilitate deep learning-based object detection.

Furthermore, data pretreatment and augmentation methods—including scaling, normalization, vertical flipping, and luminance adjustments—were employed to improve dataset variety and mitigate overfitting. Learning the YOLOv8 model on this extensive and representative dataset enhances detection precision as well as resilience in real-time applications. The utilization of actual building site data guarantees that the model operates dependably under practical conditions, rendering it appropriate for scalable and ongoing WPE compliance tracking in high-risk industrial settings. The proposed methodology shown in Figure 1.

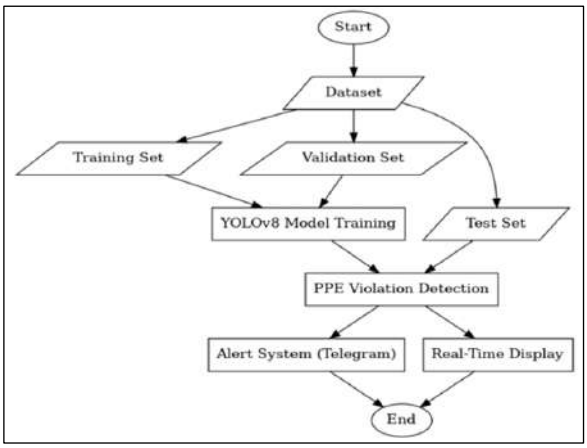


Figure 1: Methodology.
Source: Authors, (2026).

The dataset was methodically partitioned to guarantee comprehensive model learning and assessment. The training set, consisting of 70% of the data set (2,416 annotated photos), reflects authentic building site settings under various lighting scenarios: daytime (50%), poor lighting environments (30%), and difficult circumstances such as occlusions and intricate camera angles (20%). The dataset illustrates differences in WPE kinds, material choices, colors, and worker postures, allowing the algorithm to acquire distinguishing features efficiently. A stringent quality assurance procedure guaranteed a minimum of 95% classification accuracy, while systematic dataset organization reduced overfitting and enhanced generalization. Each photos were scaled to a uniform quality and normalized to enhance feature extraction efficacy. Data augmentation techniques, including as flipping, rotation, contrast or brightness modifications, were employed to enhance generalization, resulting in an approximate 60% increase in the validation dataset size.

Every image was meticulously annotated with box boundaries for worksite protective equipment components, including safety caps, vests, gloves, and protective goggles, while a multi-tiered verification method guaranteed 98% annotation accuracy, facilitating dependable performance evaluation during training. The test dataset, consisting of 10% of the entire data (100 pictures), was designated solely for final assessment on unobserved samples. This subset encompasses highly demanding cases, including severe fluctuations in illumination, occlusions, and intricate backdrops, to evaluate real-world robustness. The trained model attained a detection accuracy of 90% on the test data set, with 5% error rates and 8% negative results, demonstrating robust reliability while highlighting opportunities for small enhancements. The results illustrate the model's capacity for effective generalization and consistent performance in actual building site settings.

III. RESULT AND DISCUSSION

The YOLOv8 model undergoes a systematic training procedure that enhances diagnosis precision while maintaining computing economy. The model is optimized meticulously adjusting learning rate, size of batches, and the total amount of epochs, to achieve peak performance. During the training phase, the model attains a minimum Average Precision (mAP) around 85%, alongside a recall rate of 88% as well as precision of 90%, underscoring its proficiency in accurately detecting WPE. Iterative enhancements during training result in an 8% decrease in false positives along with a 12% increase in detection speed relative to YOLOv7. The model can effectively differentiate between WPE-compliant and non-compliant personnel in actual scenarios. Upon completion of training and testing, the model is deployed to identify WPE issues in real-time through the continuous analysis of pictures. The system analyzes frames at a rate of under 0.4 seconds per monitored image, ensuring instantaneous performance.

The detection accuracy differs according to the kind of WPE: helmets are recognized with 88% accuracy, vests with 94%, and masks with 93%. Upon the occurrence of a violation, the system autonomously categorizes the specific type of absent worksite protective equipment, such as an unidentified helmet or gloves, facilitating accurate monitoring of safety infractions. This real-time monitoring markedly improves workplace safety by assuring compliance with WPE rules among all people. The proposed method incorporates an automated alert system that dispatches alerts via Telegram upon detection of a WPE violation to ensure prompt safety enforcement. These warnings, dispatched within 2 seconds, encompass an image or video sample of the infraction, accompanied by specifics regarding the absent WPE.

The alert system achieves a 96% efficacy accompanied by an inaccurate alert rate of under 3%. This guarantees that safety officers obtain real-time updates, enabling them to implement corrective measures prior to an event transpiring. A real-time monitor is included into the system to facilitate ongoing tracking and visual insights. This dashboard provides a consolidated overview of WPE compliance, featuring a live video with marked detections, a record of previous breaches. The system upholds a system uptime of 96.5%, guaranteeing continuous monitoring of building sites. Monitoring data indicates a 13% enhancement in WPE compliance over a six-month period, attributable to ongoing supervision and real-time notifications. This dashboard facilitates the visualization of compliance trends and the identification, enabling safety inspectors to implement proactive steps to uphold elevated workplace safety standards.



Figure 2: Real time Feed.
Source: Authors, (2026).

The system incessantly analyzes real-time video streams from a webcam, employing the YOLO-V8 model to identify individuals and evaluate their adherence to WPE standards. Each identified individual is delineated with a boundary according to compliance status. The system recognizes an individual having a confidence score about 0.88. WPE compliance issues are identified, including the lack of a helmet had a confidence score for 0.77 and a vest for safety with a confidence value of 0.86. Simultaneously, the usage of compatible WPE, shown by an identified mask has a confidence value of 0.88, is documented. Figure 2 and 3 illustrates the continuous video feed employed for monitoring WPE compliance. Figure 4 shows for image dataset.

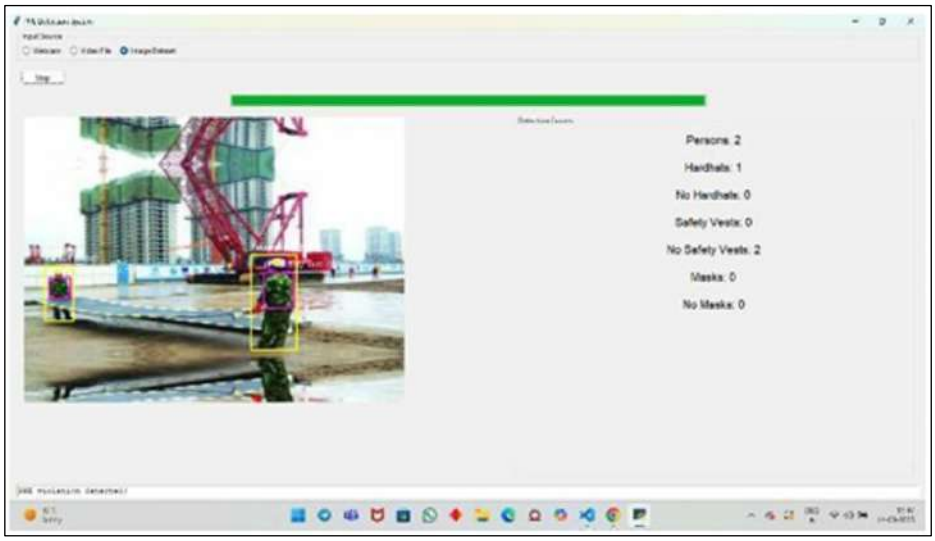


Figure 3: Real time Video Feed.
Source: Authors, (2026).

The monitoring summary provides a structured WPE compliance assessment:

• Total men detected in worksite: 3
• Hardhats Worn: 3
• Safety Vests Worn: 0
• No Masks: 0
⚠ WPE Violation Detected!
⚠ Immediate action is needed.

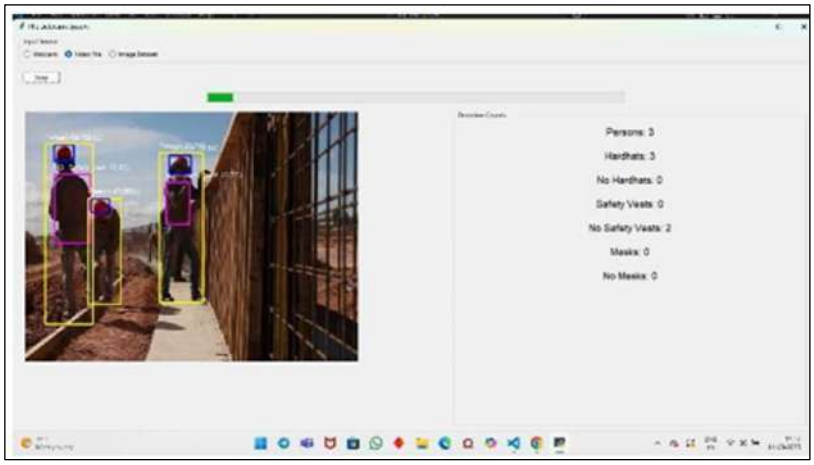


Figure 4: Image Dataset.
Source: Authors, (2026).

The WPE identification model encounters various problems that could affect its precision and dependability. Illumination and environmental factors, including inadequate illumination, glare, and severe weather, can diminish visibility, hence impacting detection efficacy. Obstruction and incomplete visibility may result in misrepresentation when personal protective equipment are concealed or workers avert their gaze. Challenges in small item detection occur when remote workers are rendered too diminutive for precise recognition. Class imbalance within the dataset may induce bias, particularly if specific WPE items are inadequately represented. False positives and false negatives might result in superfluous notifications or overlooked violations. Moreover, restricted variety in the color and design of WPE can diminish detection accuracy. Finally, real-time processing limitations caused by high-resolution photos and intricate sceneries may impede performance, underscoring the necessity for additional optimization.

IV. CONCLUSION

The assessment of the YOLOv8 recognition of objects model for WPE identification yields significant insights into its efficacy and practical applicability. The consistent enhancement in precision during training underscores the model's growing accuracy in detecting WPE, so guaranteeing a dependable approach for identifying violations and safety infractions. The model's capacity to distinguish between correctly utilized WPE and incidents of misuse illustrates its ability to offer accurate suggestions. The continual improvement in recall performance with increased training epochs signifies that the system is progressively enhancing its ability to recognize WPE-related concerns. These findings bolster the model's capacity to enhance safety compliance in construction and industrial settings. These findings collectively illustrate the YOLOv8 model's advancement towards enhanced accuracy and dependability, thereby establishing a solid platform for providing useful and practical suggestions about worksite protective equipment. The effective implementation of the YOLOv8 detection of objects paradigm further emphasizes its relevance.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Geetha G, Swaminathan J N and Vijayalakshmi K.
Methodology: Geetha G.
Investigation: Geetha G and Swaminathan J N.
Discussion of results: Geetha G, Swaminathan J N and Vijayalakshmi K.
Writing – Original Draft: Geetha G.
Writing – Review and Editing: Geetha G.
Resources: Swaminathan J N and Vijayalakshmi K.
Supervision: Swaminathan J N and Vijayalakshmi K.
Approval of the final text: Geetha G, Swaminathan J N and Vijayalakshmi K.

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RESEARCH ARTICLE OPEN ACCESS

POWER QUALITY ENHANCEMENT USING A FOPID – CONTROLLED QUADRATIC BOOST CONVERTER INTEGRATED HYBRID ACTIVE FILTER

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ABSTRACT

This work presents an integrated renewable energy interfacing system that combines a Quadratic Boost Converter (QBC) with a Hybrid Active Filter (HAF) to enhance power quality and voltage regulation in photovoltaic (PV) and battery-supported hybrid energy sources. The coordinated operation of the converter–filter system is supervised by two closed-loop controllers: a classical Proportional–Integral (PI) controller and a Fractional-Order Proportional–Integral–Derivative (FOPID) controller. The controllers are designed to regulate the DC-link voltage of the QBC while ensuring harmonic suppression in the grid-side current. The Simulink-based evaluation demonstrates that the FOPID regulator delivers faster transient response, improved steady-state accuracy, and reduced harmonic distortion compared to the conventional PI scheme, making the topology suitable for power-quality enhancement in distributed renewable systems.

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I. INTRODUCTION

The integration of renewable sources such as photovoltaic panels, and energy storage, requires converters that control voltages and can also compensate for nonlinear load effects expected in power- electronic environments [1], [2]. Hybrid Energy Storage Systems (HESS) that combine batteries and supercapacitors can achieve optimal energy and power density, but these systems will only operate successfully if the power-electronic interface satisfies performance expectations [3], [4]. To manage the harmonic distortion, voltage imbalance and dynamic load variations hybrid active power systems can be used. Their performance is highly dependent on the control scheme implemented. While PI-based filters are widely used for grid-interfacing applications, they may exhibit sluggish response under fast transients. Fractional-order controllers such as FOPID introduce adjustable dynamic behavior that better suits nonlinear compensation and converter coordination [5], [6], [7]. High-gain converters such as quadratic boost converters further support PV and hybrid storage applications by providing the required DC-link level with reduced component stress [8], [9]. When paired with active filtering and advanced control techniques, they enable robust PQ conditioning even under variable renewable input and nonlinear load conditions [10], [11]. This work focuses on a unified implementation that integrates a QBC, HAF, and PI/FOPID control to evaluate the improvements in voltage regulation, harmonic mitigation, and transient behavior.

II. SYSTEM DESCRIPTION

Figure 1 illustrates the proposed setup for the QBC-integrated hybrid active filter system. This system combines a photovoltaic (PV) source and a battery, each of which is processed through a QBC stage to convert DC power with high gain. The outputs are then combined at the DC link and sent to the hybrid active filter [12], [13]. This filter injects a compensating current into the transmission line, which helps to reduce the effects of nonlinear loads and provides reactive power support.

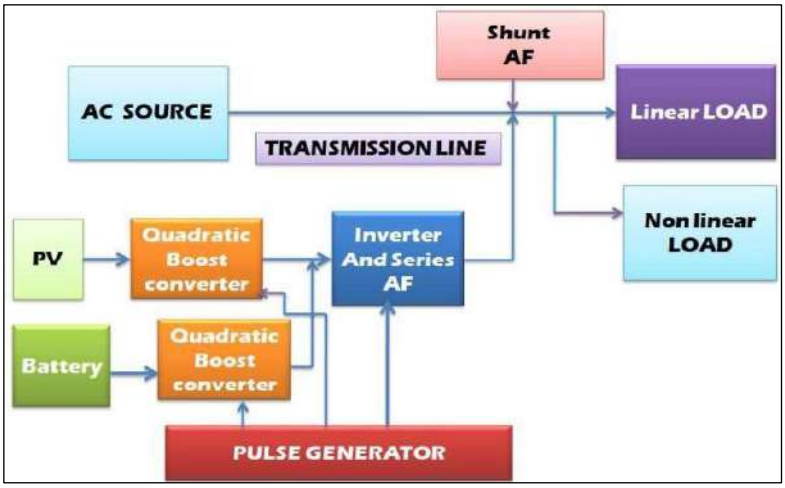


Figure 1: Proposed Block Diagram of QBC with the hybrid active filter system.
Source: Authors, (2026).

The above circuit configuration which is the QBC-based Hybrid Active Filter (HAF) system is presented in Figure 2. The HAF monitors the load-side current waveform in a constant manner [14], [15]. According to the identified harmonic and reactive components, it produces a suitable and compensating signal. This injection of current forces the source current to remain almost sinusoidal and phase-aligned with the voltage [16], [17]. The design supports both harmonic mitigation and reactive-power balancing.

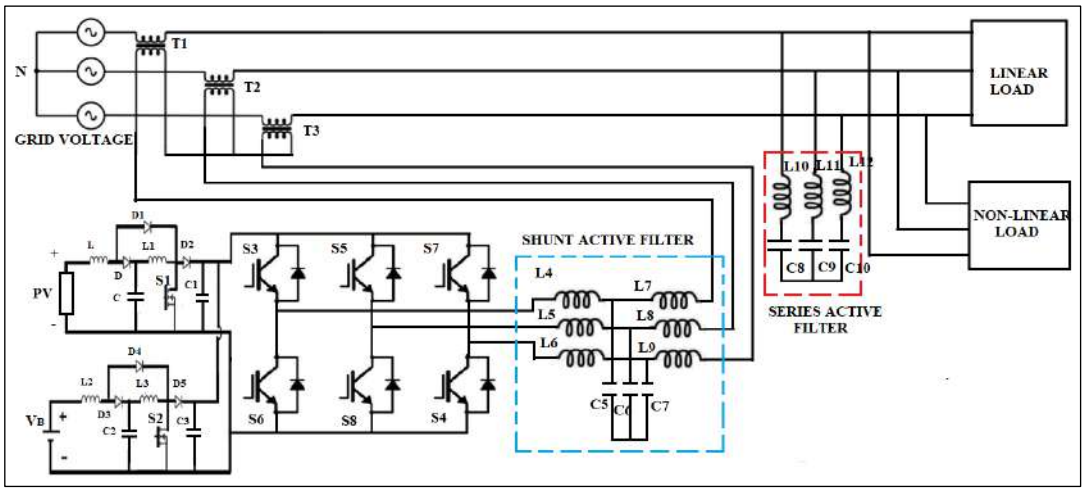


Figure 2: Proposed Circuit Diagram of QBC with Hybrid Active Filter.
Source: Authors, (2026).

The closed-loop simulation model of the QBC-fed Hybrid Active Filter (HAF) system using PI and FOPID controllers is shown in Fig. 3. A closed-loop controller regulates and controls the QBC output voltage [18], [19] [20]. The PI controller uses proportional and integral actions; whereas the FOPID controller uses an adjustable fractional-order terms that provide greater range in shaping transient the characteristics of the output. Both controllers utilize feedback from the DC-link voltage to determine and control the switching command for the converter.

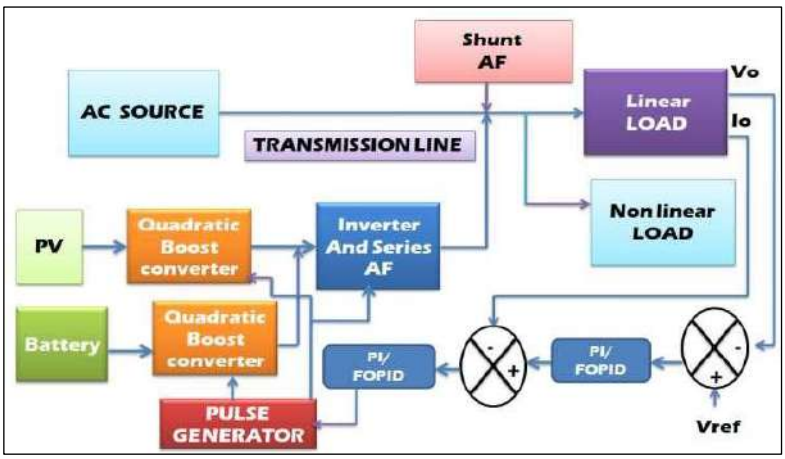


Figure 3: Closed Loop Simulation Block Diagram.
Source: Authors, (2026).

The Figure 4 shows the Closed-loop Circuit of PI/FOPID. In this configuration, the controller constantly monitors the difference between the reference input and the actual system response [21], [22]. According to this error, the controller tweaks the control signal to ensure the system output moves towards the pre-set value. This feedback mechanism helps maintain accuracy and stability in the overall system performance.

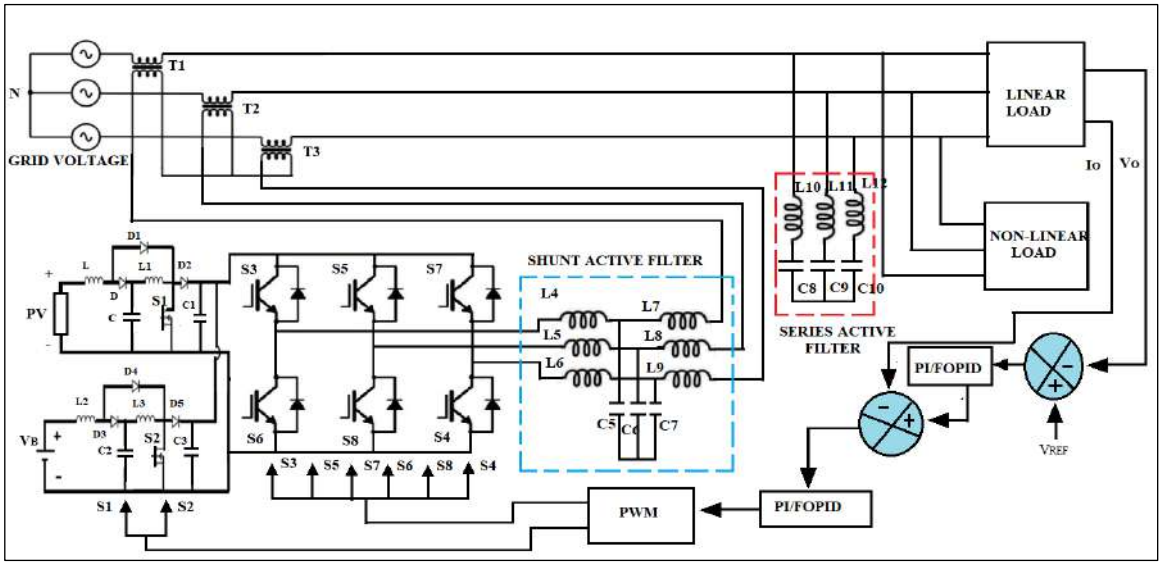


Figure 4: Closed Loop Circuit Diagram of PI/FOPID Controller.
Source: Authors, (2026).

The QBC uses a single MOSFET (M1) along with two inductors (L1, L2), two capacitors (C1, C2), and three diodes (D1, D2, D3). The duty cycle K determines the switch conduction duration. Operating in continuous conduction mode allows the converter to achieve a squared voltage conversion ratio, making it suitable for renewable sources requiring substantial step-up capability [23], [24]. The corresponding circuit layout is illustrated in Figure 5.

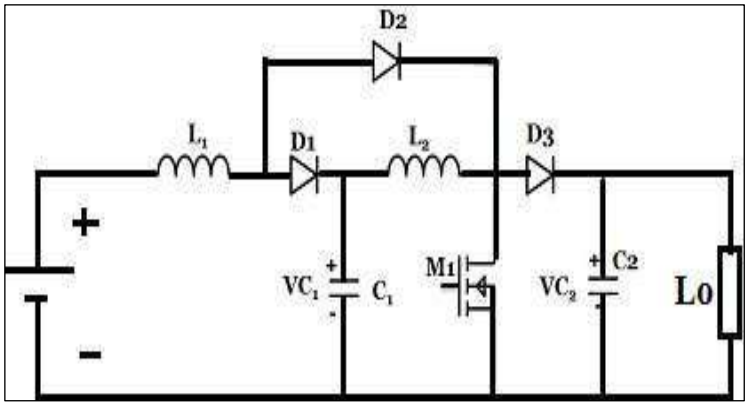


Figure 5: Circuit diagram of Quadratic Boost Converter
Source: Authors, (2026).

II.1. MODE 1 OPERATION

When M1 is turned on, D1 and D3 remain reverse-biased and D2 conducts. L1 stores energy from the input source, while L2 is energized through C1. Capacitor C2 supplies the load during this interval, causing its voltage to drop slightly.

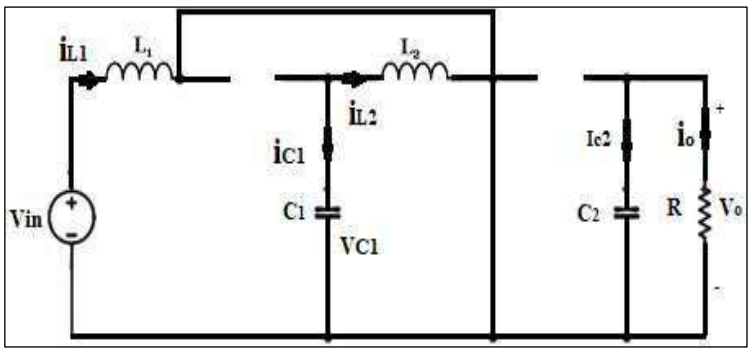


Figure 6: Quadratic Boost Converter: Topology when SW is tuned ON.
Source: Authors, (2026).

$$(\Delta I_{L1})_{On} = \frac{VsKT}{L1} \quad (1)$$

$$(\Delta I_{L2})_{On} = \frac{V_{SKT}}{L_1} \quad (2)$$

Meanwhile the capacitor currents are expressed by

$$(IC1)\ On = -\ IL2 \quad (3)$$

$$(IC2)\ On = -\ I0 \quad (4)$$

II.2. MODE 2 OPERATION

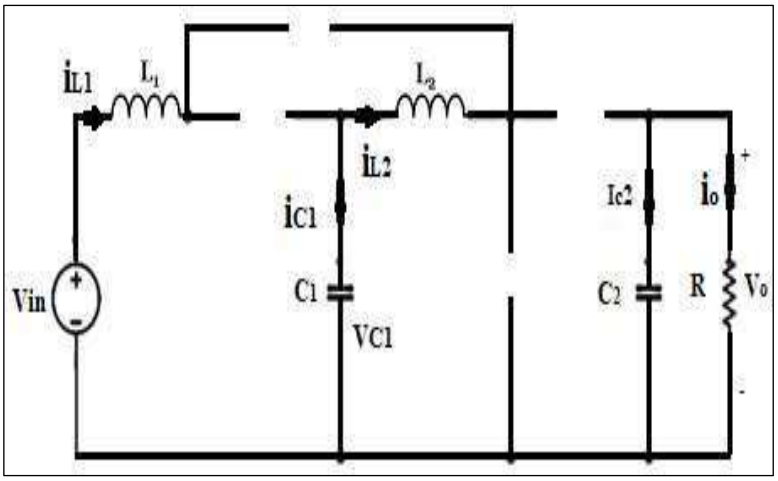


Figure 7: Quadratic Boost Converter: Topology when SW is turned off.
Source: Authors, (2026).

When M1 is switched off, D1 and D3 conduct, routing the inductors stored energy toward C1, C2, and the load. L1 transfers energy primarily into C1, whereas L2 supplies the load directly. Both C1 and C2 are charged during this period, and the inductor voltages reverse due to the decreasing current [25].

$$(\Delta I_{L1})_{Off} = \frac{Vs - VC1(1-K)T}{L1} \quad (5)$$

$$(\Delta I_{L2})_{Off} = \frac{VC1 - VO\ (1-K)T}{L2} \quad (6)$$

III. RESULTS AND DISCUSSIONS

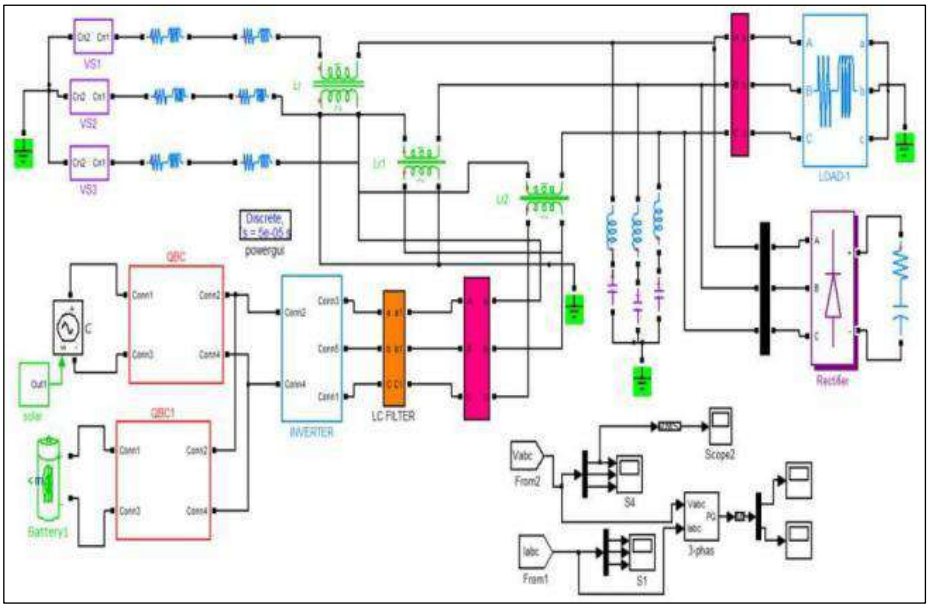


Figure 8: Circuit diagram of QBC with hybrid active Filter load disturbance.
Source: Authors, (2026).

Figure 8 illustrates the implementation of the QBC interfaced with a hybrid active filter under dynamic load-disturbance conditions.

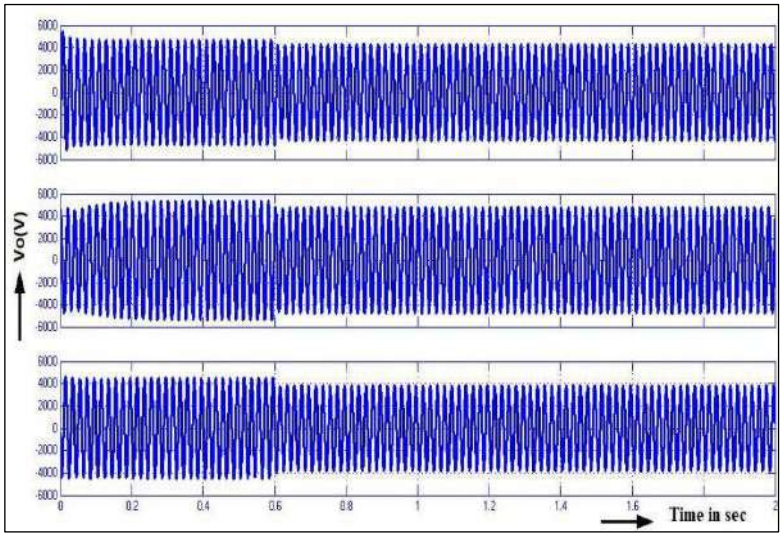


Figure 9: Output Voltage.
Source: Authors, (2026).

The instantaneous output-voltage profile, shown in Fig. 9, reaches a peak magnitude of nearly 4730 V. The corresponding RMS output voltage, presented in Figure 10, stabilizes around 3030 V.

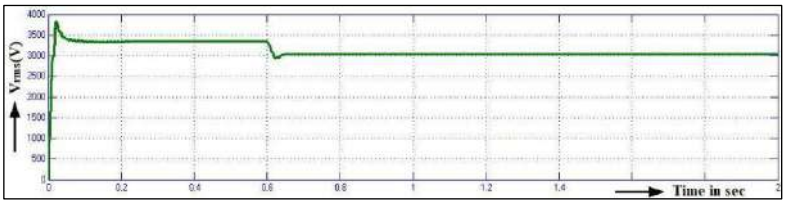


Figure 10: RMS Output Voltage.
Source: Authors, (2026).

The output current waveform, illustrated in Figure. 11, indicates that the converter delivers an average load current of approximately 13.4 A.

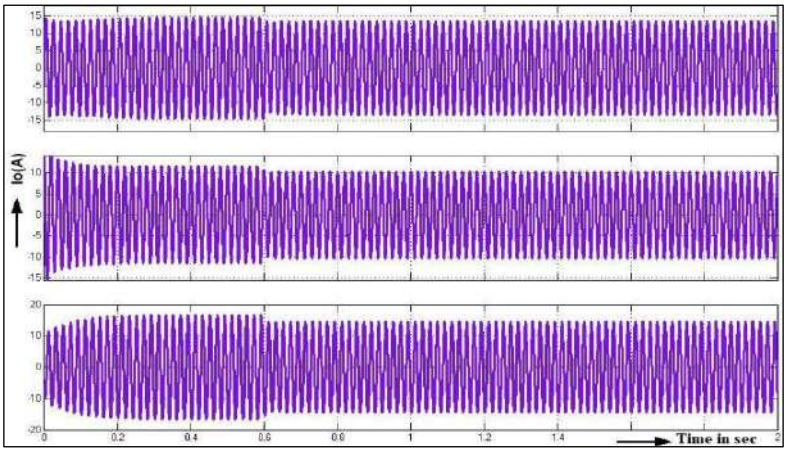


Figure 11: Output Current.
Source: Authors, (2026).



Figure 12: Real Power.w.
Source: Authors, (2026).

Figure 12 presents the real-power profile of the system, demonstrating an effective power transfer of about 7.34×104 W. The corresponding reactive-power characteristic, shown in Figure 13, is measured to be 3.56×104 VAR, reflecting the system's reactive component under the applied load conditions.

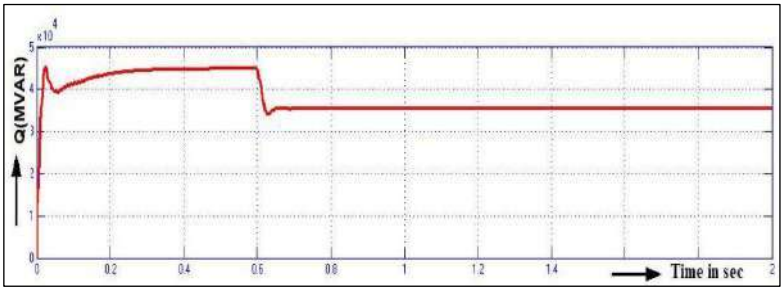


Figure 13: Reactive Power.
Source: Authors, (2026).

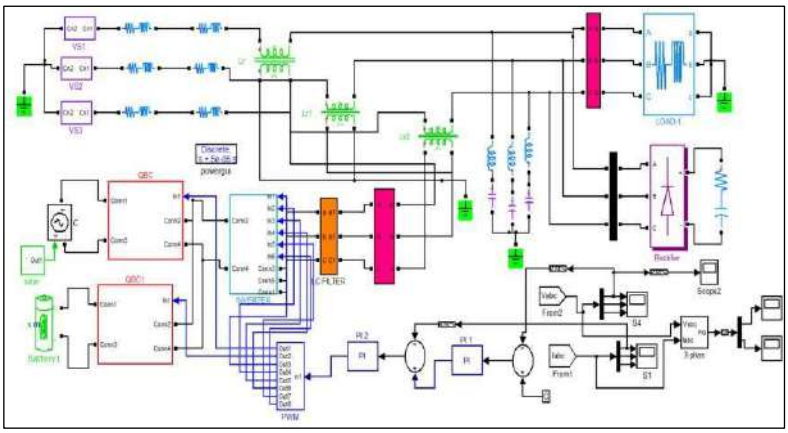


Figure 14: Circuit Diagram of QBC with Hybrid Active Filter PI controller.
Source: Authors, (2026).

The above Figure 14 shows the configuration of the quadratic boost converter (QBC) integrated with a hybrid active filter and governed by a closed-loop PI control scheme. This controller regulates the switching action to maintain a stable high-gain output even during load side or supply side variations.

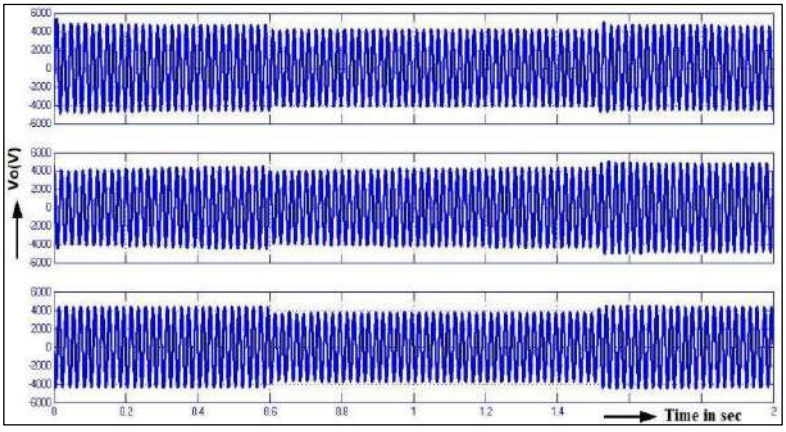


Figure 15: Output Voltage.
Source: Authors, (2026).

Figure 15 shows the instantaneous output voltage waveform witch reaches a peak value of approximately 4600 V. The corresponding RMS output voltage is plotted in Fig. 16, that is around 3250 V, indicating effective voltage stabilization under PI-controlled operation.

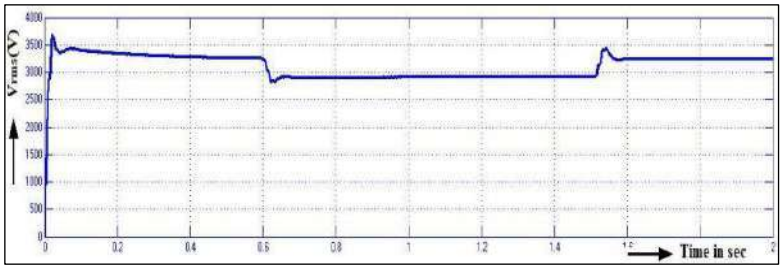


Figure 16: RMS Output Voltage.
Source: Authors, (2026).

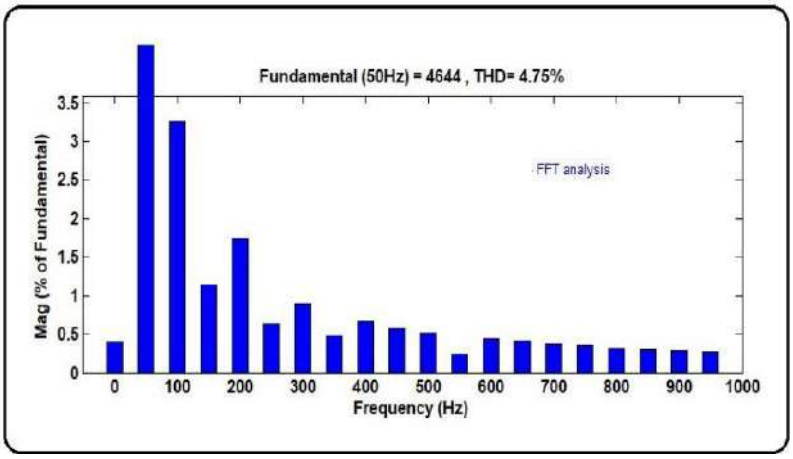


Figure 17: Output Voltage THD.
Source: Authors, (2026).

The output voltage THD, illustrated in Figure 17, is around 4.75%. The output current waveform, presented in Figure 18, shows that the system delivers an average load current of approximately 13.2 A under PI-controlled operation.

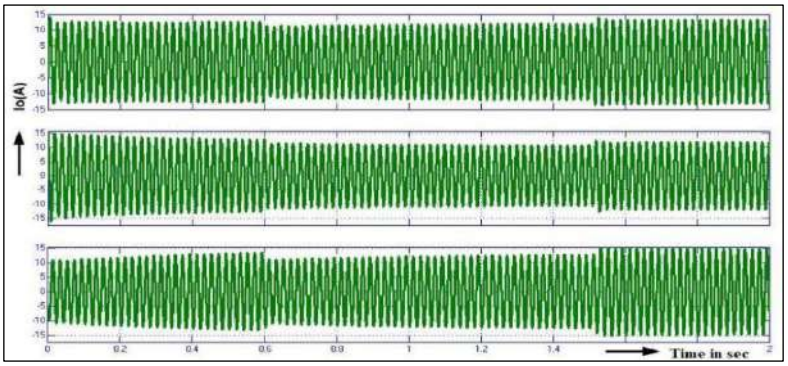


Figure 18: Output Current.
Source: Authors, (2026).

The total harmonic distortion (THD) of the output current, is illustrated in Figure 19 which is around 4.34%. This confirms the improved waveform quality achieved through the hybrid active filter.

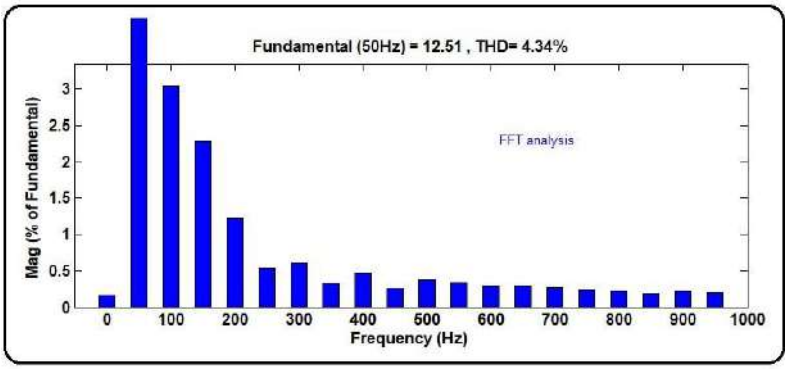


Figure 19: Output Current THD
Source: Authors, (2026).

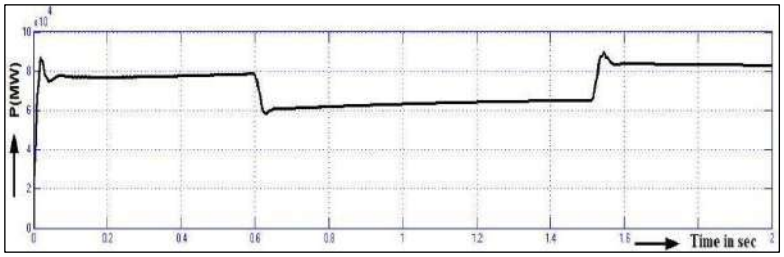


Figure 20: Real Power.
Source: Authors, (2026).

The real-power measurement which is depicted in Figure 20 indicates a delivered power of about 8.3×104 W, while the reactive-power profile shown in Figure 21 shows a corresponding value of approximately 3.98×104 VAR. These results signify the converter's capability to regulate current and maintain acceptable power-quality indices.

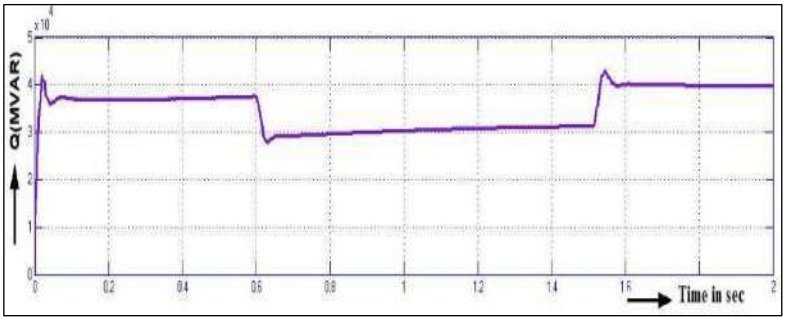


Figure 21: Reactive Power.
Source: Authors, (2026).

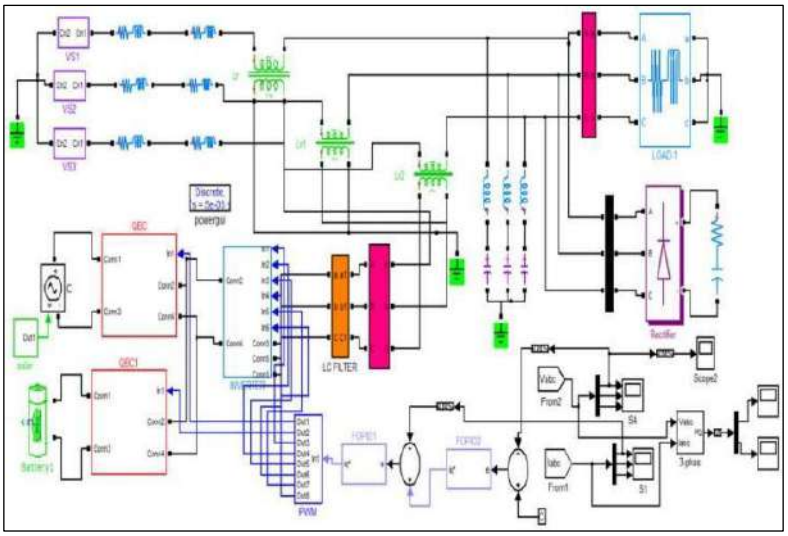


Figure 22: Circuit Diagram of QBC with hybrid active Filter FOPID Controller
Source: Authors, (2026).

Figure 22 illustrates a system of the quadratic boost converter (QBC) along with a hybrid active filter which is regulated through a closed-loop FOPID control strategy. The dynamic response time is enhanced by the fractional-order controller which improves steady state accuracy when compared to traditional PI control systems.

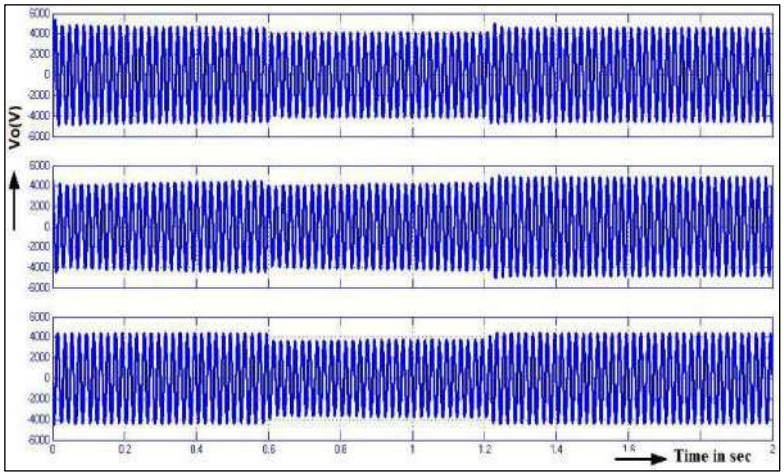


Figure 23: Output Voltage.
Source: Authors, (2026).

The instantaneous output-voltage with a peak amplitude of approximately 4600V as shown in the waveform in Figure 23. The corresponding RMS of the output voltage is shown in Figure 24 which is about 3245V witch basically shows the stable high-gain performance under FOPID based regulation.

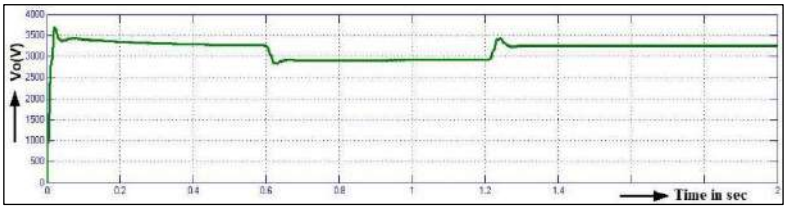


Figure 24: RMS Output Voltage.
Source: Authors, (2026).

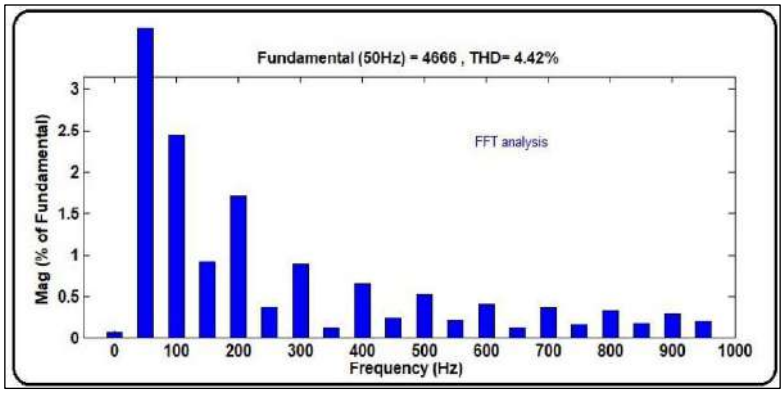


Figure 25: Output Voltage THD.
Source: Authors, (2026).

The output voltage THD, illustrated in Figure 25, is around 4.42%. The output current waveform, illustrated in Figure 26, indicates that the system supplies an average load current of approximately 13.2 A under FOPID-controlled operation.

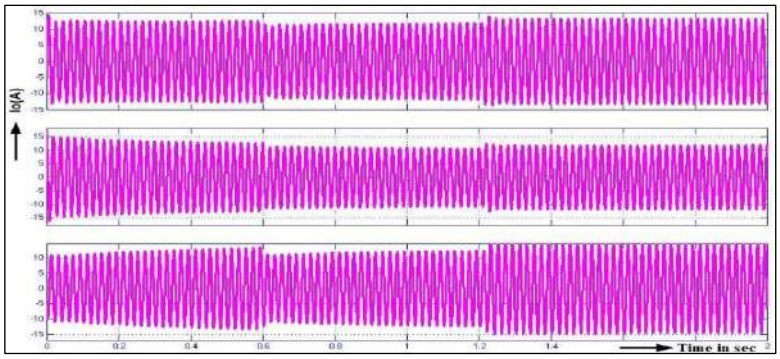


Figure 26: Output Voltage.
Source: Authors, (2026).

The total harmonic distortion (THD) of the output current is shown in Figure 27 which is around 4.14% which reflects the improved harmonic suppression achieved because of the hybrid active filter and fractional-order control.

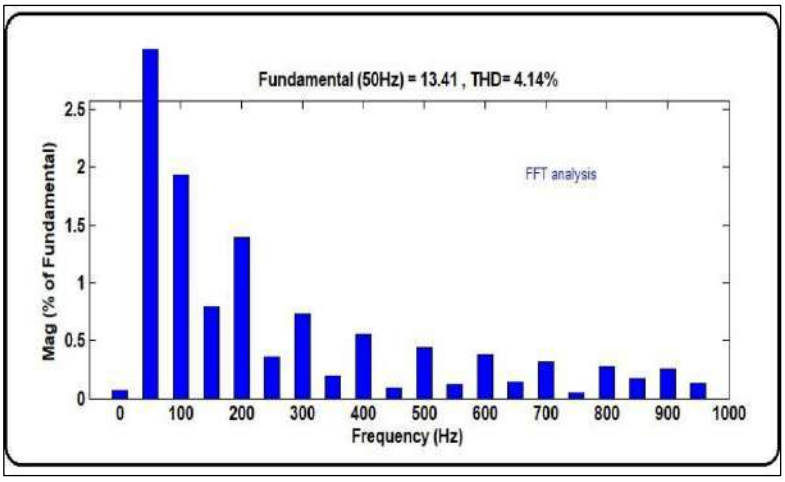


Figure 27: Output Current THD.
Source: Authors, (2026).

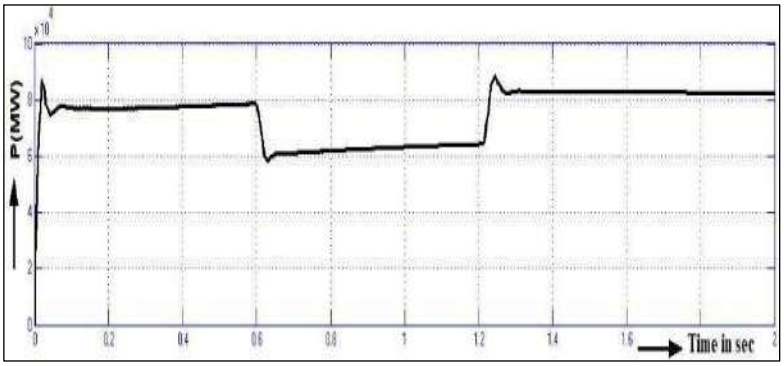


Figure 28: Real Power.
Source: Authors, (2026).

Figiure 28 shows the real – power measurement with a delivered power of about 8.25 W, while the reactive-power profile is illustrated in Figure 29 which records a value close to 3.98 VAR. These results demonstrate enhanced current regulation, reduced distortion, and improved power-quality performance with the FOPID controller.

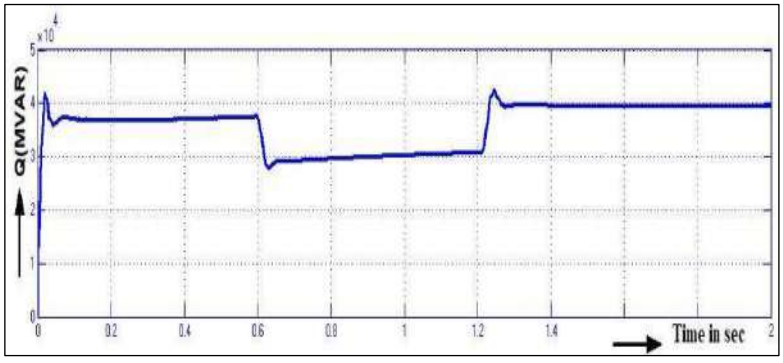


Figure 29: Reactive Power.
Source: Authors, (2026).

Table 1: Comparison of Time Domain Parameters.

Controller	Tr	Tp	Ts	Ess
PI	1.52	1.54	1.55	2.73
FOPID	1.23	1.24	1.26	2.15

Source: Authors, (2026).

Table 1 presents the comparisons of the key time-domain performance metrics for the QBC equipped with a hybrid active filter (HAF) when regulated by PI and FOPID controllers. The following bar-chart representation of these time-domain metrics is shown in Figure 30, providing a visual comparison of the dynamic improvements achieved with each control strategy.

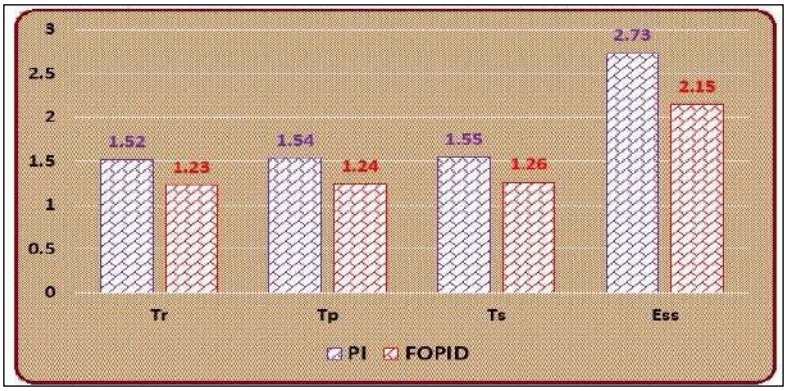


Figure 30: Bar Graph of Time domain parameters of PI/FOPID of QBC with HAF system.
Source: Authors, (2026).

Table 2: Comparison of Current THD.

Controller	Current THD (%)	Voltage THD (%)
PI	4.34	4.75
FOPID	4.14	4.42

Source: Authors, (2026).

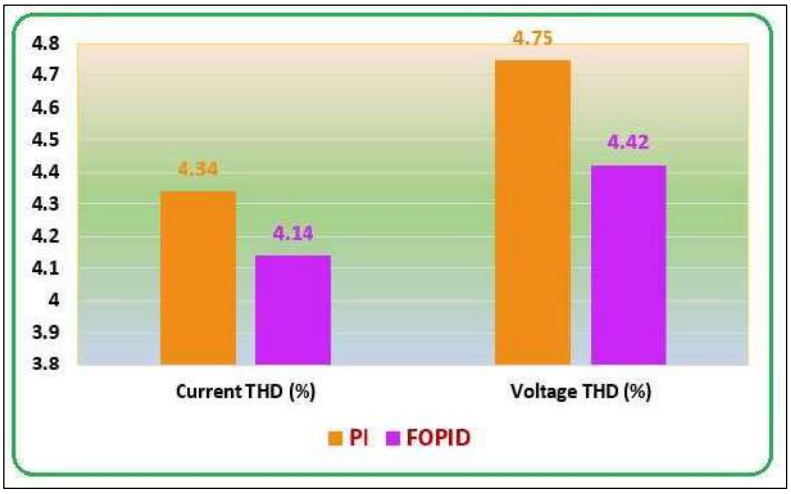


Figure 31: Bar graph of output current THD of PI/FOPID for QBC with HAF system.
Source: Authors, (2026).

Table 2 show the collective comparative analysis of output voltage and current THD for the QBC using the hybrid active filter (HAF) under PI and FOPID control strategies. The corresponding bar- graph representation in Fig. 31 visually signifies the variation in harmonic distortion levels and shows the improvement achieved with the fractional-order controller.

IV. CONCLUSION

A complete QBC–HAF system regulated by PI and FOPID controller was designed, analysed and simulated. The results indicate that the fractional-order controller provides faster temporary behaviour, reduced steady-state deviation, and improved harmonic compensation compared to the PI scheme. A comparison of time-domain metrics reveals that FOPID control improves the rise, peak, and settling times relative to the PI controller also the steady-state error also decreases indicating the improved accuracy. Harmonic analysis shows that both current and voltage THD values are reduced when using fractional- order regulation. These improvements signify the suitability of FOPID-controlled QBC–HAF configurations for renewable-energy power-conditioning applications.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Venkata Ramana Rao S, Dr. Mahiban Lindsay
Methodology: Venkata Ramana Rao S, Dr. Mahiban Lindsay.
Investigation: Venkata Ramana Rao S, Dr. Mahiban Lindsay.
Discussion of results: Venkata Ramana Rao S, Dr. Mahiban Lindsay.
Writing – Original Draft: Venkata Ramana Rao S, Dr. Mahiban Lindsay.
Writing – Review and Editing: Venkata Ramana Rao S, Dr. Mahiban Lindsay.
Resources: Venkata Ramana Rao S, Dr. Mahiban Lindsay.
Supervision: Venkata Ramana Rao S, Dr. Mahiban Lindsay.
Approval of the final text: Venkata Ramana Rao S, Dr. Mahiban Lindsay.

VI. ACKNOWLEDGMENTS

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RESEARCH ARTICLE OPEN ACCESS

QoS-AWARE INTERNET OF ENVIRONMENTAL THINGS ALGORITHM FOR IoT-FOG-ENABLED SMART WASTE MONITORING SYSTEM

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ABSTRACT

Modern times have seen the rise of smart cities that rely on the Internet of Things. To process data, smart objects require multi-hop communication to transmit it to the sink. Internet of Things (IoT) enabled, data-driven smart cities enhance public utilities, infrastructure, and services for the benefit of residents. Smart towns that rely on the Internet of Things have a tough time collecting clean municipal garbage. Cities produce more waste as they expand. Two big problems with trash management are garbage collection and sorting. Public trash cans overflow before they are cleaned, leading to bacterial growth, unpleasant odours, and potential illness. Urbanization, inefficient technologies to aid solid waste management, and poor trash collection and disposal all contribute to these problems. Trash everywhere makes garbage collection more challenging. Solid waste management systems that aren't scientific, efficient, or good enough lead to a lot of issues. By combining the strengths of the IoT and fog computing, this paper proposed an integrated IoT-Fog-Cloud architecture for smart waste management systems and a QAIoET Algorithm for efficient resource allocation, which can improve service quality while reducing response time by 46.8% and costs by 2.6% compared to cloud solutions.

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I. INTRODUCTION

The rapid population increase causes difficulties with waste dumping. They cause harm to humans by releasing fumes. To maintain a clean environment, intelligent waste classification and management are essential. Society and the environment are both negatively impacted by solid waste management, which is a big problem for smart cities [1], [2]. As the first step in the standard waste management procedure, city dwellers place trash cans at the collection point. Regular garbage hauls to recycling sites are made possible by municipal trucks. It is impossible to determine when to clean or refill exterior containers because municipalities and waste management organizations overlook them. The IoT paradigm enhances smart city applications through the real-time recording and management of municipal processes [3], [4]. By connecting to trash cans and recycling facilities, Internet of Things (IoT) devices can monitor local trash production and container conditions using sensors. An effective municipal waste management system relies on the data collected by the waste management center to plan the deployment and maintenance of adaptive equipment, the collection of rubbish, and the routes that vehicles will take. This paper proposed a holistic approach to smart waste management that leverages the Internet of Things (IoT), fog computing (for real-time, localized intelligence), and cloud computing (for long-term data storage, big data analytics, and global optimization). This integrated architecture's potential to transform garbage collection, resource distribution, and environmental sustainability may result in brighter, cleaner, and more livable smart cities.

II. RELATED WORKS

Cheema et al. [5] proposed a state-of-the-art method (SWMACM-CA) for real-time intelligent waste management and categorization. To sort trash at a landfill, the system employs the Internet of Things (IoT), deep learning, and sophisticated algorithms. Additionally, the author proposed a device for trash grid segmentation, which would separate the garbage yard pile into grids. The use of hybrid and decentralized computing models has improved resource consumption and decreased delays.

Wang et al. [6] developed a deep-learning and cloud-computing classifier for accurate trash categorization before garbage pickup. To simplify garbage disposal, the author grouped recyclables into plastic, glass, paper/cardboard, metal, fabric, and others. Garbage categorization used deep learning convolutional neural networks. The proposed system reduces costs for rubbish sorting, tracking, and collection.

Vishnu et al. [7] presented a solution that monitors public and residential garbage cans with PBLMUs and HBLMUs. They send the position and quantity of unemptied garbage cans to a central monitoring station. The garbage collection authority can use a sophisticated graphical user interface to examine each bin for emptiness.

Longo et al. [8] suggest a smart waste management system to improve campus recycling and rubbish management. A smart garbage bin prototype can locate and sort campus trash using a hybrid sensor/image classification system. The strategy focused on smart garbage bins and a better maintenance schedule.

Karthik et al. [9] created an affordable, integrated gadget for urban sanitation that records street positions and sends them to a web server. When the garbage can is complete, the bin collector receives an automatic signal when the level reaches a certain threshold. As soon as the trash collector gets online, they begin cleaning up the city.

Kanade et al. [10] designed a system that incorporated a big battery, Wi-Fi module, ultrasonic sensor, and Arduino microcontroller. Arduino boards record information from ultrasonic sensors and burden cells. Measurements of trash depth and receptacle weight are taken from the heap cell using an ultrasonic sensor. An LCD panel shows the information. Data displayed earlier is transmitted online via the Wi-Fi module.

John et al. [11] developed an IoT-based smart garbage-disposal prediction and monitoring system that can measure the amount of trash in bins of any size using standard components. The proposed gadget monitors the bin's status at regular intervals using a GPS module, an Arduino microprocessor, and infrared (IR), ultraviolet (UV), and weight sensors. In the proposed setup, data is sent from the cluster network to the Wi-Fi-connected master module. A state-of-the-art neural network system known as Long Short-Term Memory (LSTM) learns from collected data and uses trends in garbage generation to forecast future waste.

Janani et al. [12] described the smart cities project & its development process, listed its uses, discussed its challenges, highlighted its real-time applications, and lastly, outlined its potential future applications. The author also covers related devices and Internet of Things technologies used to build smart cities.

Baldo et al. [13] illustrated the blueprint for a LoRaWAN network integrating several service types within SmartWaste Management, a crucial component of the Smart City ecosystem. All LoRaWAN classes are used in the proposed design, which combines nodes of progressively more complex function-based types and improves the technology's TRL 3 readiness.

Alam et al. [14] concluded that smart cities can benefit from cloud-hosted IoT applications that gather data from multiple sources, including citizens, devices, and homes. This information is examined to manage transportation, electricity, and resources. Public cloud services allow third parties to improve IoT ecosystems and integrate IoT data into electronic products.

Ali et al. [15] proposed an Internet-of-Things-based smart garbage can monitoring and MSW management system. In addition to collecting trash, the proposed system can also identify fires and foretell when more waste will be generated. Interconnected devices manage and monitor electric bins. Wirelessly, these devices communicate the level of the bin's fill to the central hub. One significant advantage of the system is that it ensures waste is collected on time, which helps to avoid bin overflow and contamination.

Pardini et al. [16] enhanced trash management through community engagement using software, communications, and hardware. IoT sensors in smart bins monitor disposal and compartment levels in real time. An Internet of Things middleware processes the data to improve trash collection routes and produce statistics for resource management and community service monitoring. Public garbage can information is available online and via mobile applications.

Abdullah et al. [17] proposed trash management by using IoT devices to communicate among smart bins, waste source sites, collection trucks, management centers, and trash-specific truck sizes. This system addresses population growth and urban expansion.

Sharmin et al. [18] developed a smart, flexible, and affordable waste management system. Using a microcontroller and GPRS, communicate trash weight and volume to a cloud server via inexpensive sensors. An Ant Colony Optimization (ACO) technique uses the locations of vehicles and trash bins to find each truck's shortest collection path. The system reacts to dynamic changes, such as blocked rubbish collection routes. A central monitoring system assures smart city inhabitants receive high-quality service.

Aazam et al. [19] proposed a cloud-based smart garbage management system that uses sensors installed in trash cans to report the current level of trash. Stakeholders have access to data stored in the cloud. City administration and waste management can save time and fuel by optimizing garbage collection routes based on the condition of a city's bins.

Table 1: Summary of Strengths & Limitations for Existing SWM Systems.

References	Strength	Limitations
[5]	Effectively reduce latency and optimize computational resource utilization.	The training dataset exhibits an unbalanced sample distribution.
[6]	Use of cloud computing allows for accurate and fast waste classification	Gas sensors are used for monitoring; their output can be affected by temperature and humidity
[7]	Offers a comprehensive overview of the current advancements in IoT-enabled SWM	Lack of a unified standard or architecture for IoT-based SWM systems
[8]	Integration of 5G technology, which provides high bandwidth and low latency	The system's effectiveness heavily depends on sustained user adoption.
[9]	Ability to provide real-time monitoring of garbage bin fill levels	Effectiveness could be compromised in areas with poor network coverage
[10]	Ability to automate waste level monitoring	Limited to monitoring fill levels and sending notifications
[11]	Integration of real-time IoT data sensing with robust processing in the cloud	Lacks precise technical details regarding the types of sensors utilized
[12]	Highlights the significant benefits of IoT integration, such as improved operational efficiency	Exclude pervasive challenges such as ensuring security and privacy.
[13]	Well-defined multi-layer architecture, providing a robust and scalable framework	Limitations of lower data rates compared to cellular technologies
[14]	Overview of cloud-based IoT applications across numerous sectors within smart cities	Limitations such as potential security and privacy issues
[15]	To tackle the critical issues of escalating waste generation	Heavily reliant on consistent and robust network connectivity
[16]	The solution is its citizen-centric approach	Heavily relies on consistent public participation and willingness
[17]	Direct engagement with the pressing issue of waste management	Lack provides specific technical details about the types of sensors
[18]	Dynamic approach to waste collection, based on real-time waste levels	Highly dependent on continuous and reliable wireless connectivity
[19]	Ability to provide real-time notifications about waste status	Lacks specifics regarding the types of sensors employed
[20]	The paper offers an examination of methods for scheduling jobs	The simulation results were missing to back the justification
[21]	The study was broken down by algorithm category and parameters	Exclude the study of load-balancing approaches in categories
[22]	Method that uses ECTS to distribute tasks to fog nodes efficiently	Lack considering effect on the mobility of end devices and fog nodes
[23]	Provided LCTS, or Laxity-based solution to the scheduling problems	The trade-off between response time and energy usage persists

Source: Authors, (2026).

This research study sheds light on a smart city solid waste management system that leverages the Internet of Things to circumvent such limitations. Several cities have trash cans overflowing with garbage. The trash cans cleaner is running behind schedule. As a result, the air, the environment, and the town become polluted. The foul stench of excrement poses a health risk to people. The expansion of the IoT and related technologies is causing a shift in the global industry. To take advantage of the Internet of Things (IoT), many company executives are investing more time and money in adapting their services. Thus, decision-makers in public waste management are competitive, making it difficult to provide an effective, real-time waste management system.

III. METHOD & EXPERIMENT

A. Proposed IoT-Fog-Cloud Layer Architecture

To improve efficiency, scalability, and real-time responsiveness, the proposed architecture, as shown in Figure 1, outlines a multi-layered strategy for smart waste management (SWM) system. This strategy distributes intelligence and processing capabilities among IoT devices, fog nodes, and the cloud. The proposed multi-layered architecture of the SWM system includes the following essential components.

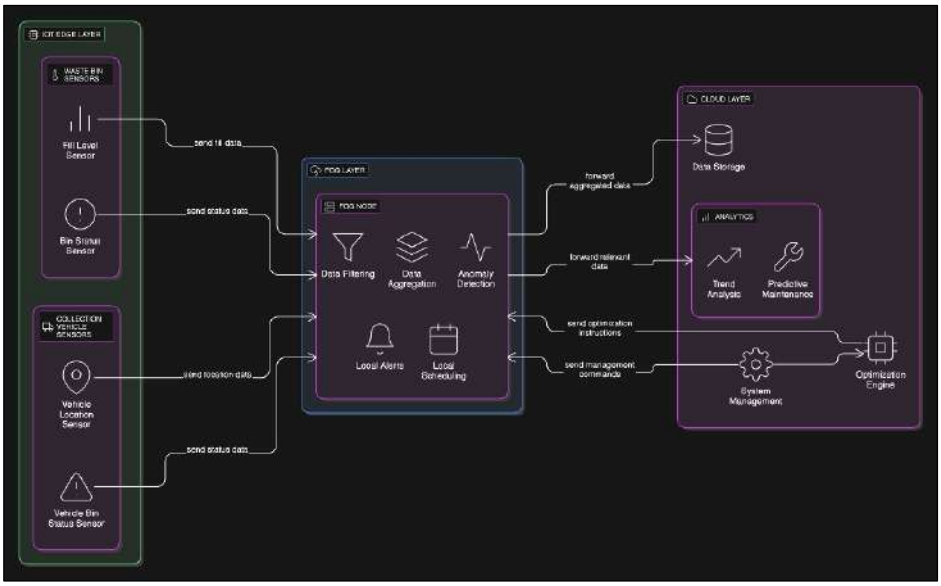


Figure 1: Proposed Multi-Layered Architecture of Smart Waste Management System.
Source: Authors, (2026).

The lowest layer is nearest to trash generation and collection. Smart gadgets and sensors interact with garbage containers and pickup vehicles. This layer includes components such as intelligent waste bins, weight sensors, gas sensors, GPS modules, RFID/NFC tags, microcontrollers, communication modules, GPS trackers, onboard sensors, RFID/NFC readers, and cameras for visual inspection or garbage classification upon collection. The fog layer connects the Internet of Things/Edge and Cloud levels. Moving networking, storage, and computation closer to the network edge reduces latency and bandwidth. This layer includes the components, such as fog nodes, strategically placed in neighbourhoods or collecting depots. Local data storage to hold raw and processed data temporarily. Local processing for instant data analysis, filtering, aggregation, and IoT device communication interfaces. The cloud layer is a centralized, high-performance computer and storage infrastructure. This layer's subcomponents include cloud servers/platforms for long-term storage of garbage data; complex algorithm-running analytics and machine learning platforms; and data visualization tools, such as municipal waste management and citizen dashboards. This tiered strategy makes trash management smart, efficient, scalable, and resilient for smart cities' dynamic demands. Figure 2 demonstrates how smart waste management units exchange data to work efficiently.

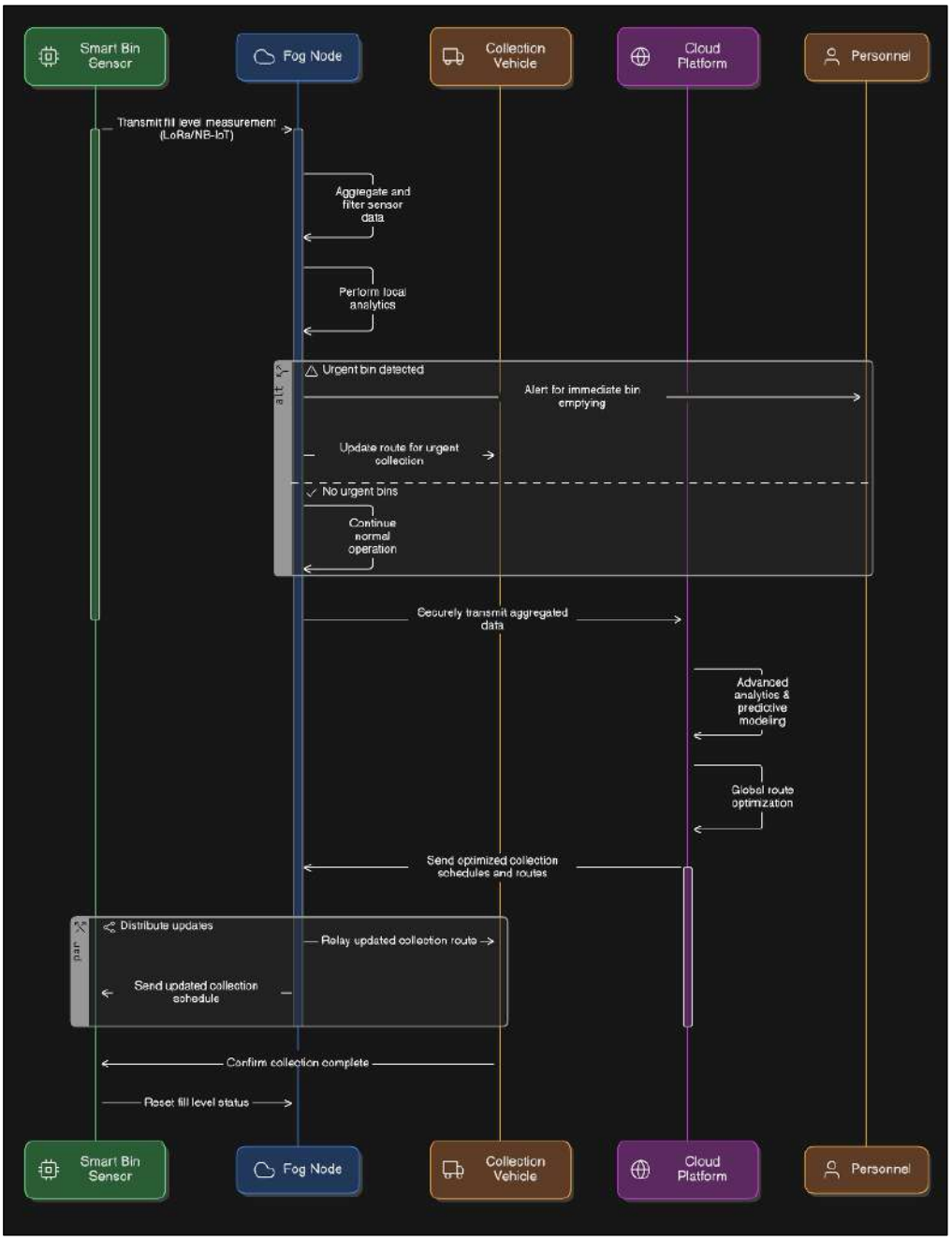


Figure 2: Sequence Diagram of Smart Waste Management System.
Source: Authors, (2026).

According to the proposed figure 2, Smart bin sensors send data to fog nodes. Fog nodes aggregate, filter, and analyze data locally, decreasing cloud data traffic and enabling fast local responses. Fog node data is safely sent to the cloud for analysis and storage. Cloud computing conducts sophisticated analytics, predictive modeling, and global route optimization. Fog nodes communicate collections, car or smart bin orders, or updated schedules from cloud decisions and optimal plans. Citizens use mobile applications to communicate with the cloud (for general information) or smart bins (via Bluetooth/NFC for local interactions).

B. Proposed Resource Allocation Approach

The QoS-Aware Internet of Environmental Things (QAIoET) Algorithm optimizes key performance parameters in an IoT-enabled environmental monitoring and waste management ecosystem, with a focus on smart trash bins. The primary orchestrator, this algorithm, minimizes response time and operating expenses to ensure the efficiency and sustainability of large-scale IoT deployments. The system intelligently launches the Task Categorization Algorithm and the Dynamic Resource Provisioning Algorithm for each work. Modularity allows context-aware processing. For instance, the categorization algorithm may evaluate resource demands, activity type, and urgency. Identifying computational demands helps the dynamic resource provisioning algorithm allocate resources to cloud and fog nodes. The future smart environmental infrastructure needs intelligent orchestration to develop a robust, efficient system from basic tasks to dynamic resource allocation while minimizing operational costs and preserving service quality.

Algorithm 1: QoS Aware Internet of Environmental Things (QAIoET) Algorithm.

Input: Tasks with smart waste bins status attribute
Number of tasks (T), Number of Fog Nodes (F), Cloud (C)
Output: Optimize response time and cost incurred
Begin
1. Input tasks (T)
2. For each task t_i Ɛ T
3. Call Task Categorization Algorithm
4. Call Dynamic Resource Provisioning Algorithm

End

Source: Authors, (2026).

The QoS-Aware Internet of Environmental Things (QAIoET) Framework employs the Task Categorization Algorithm for smart garbage prioritization tasks. Fog servers effectively order jobs into priority queues. The system evaluates the garbage bin attributes and the task (t_i) before determining the job priority and urgency. Lines 3–4 are the most crucial steps for checking "Abnormal" work over delay_thrl. This significant delay circumstance upgraded the job to Queue-significant, requiring immediate attention. Long-standing issues or processing delays can make a non-critical event critical. To illustrate its environmental expertise, it classifies operations by garbage can status in real time (Lines 6–14). Marking "Overflow" bin jobs as "Critical" and adding them to Queue-Critical emphasizes ecology and logistics. Trash jobs designated "Jam-packed" are marked "Abnormal" and forwarded to Queue-Abnormal, signifying a non-urgent but high-priority issue that must be resolved quickly. Documentation and progress reports for "Partly-filled" containers are "Normal" and low priority. Hierarchical categorization, clear delay limits, and understandable waste-bin fill levels dynamically prioritize QAIoET resources, enabling efficient and quick environmental crisis resolution while managing less essential processes.

Algorithm 2: Task Categorization Algorithm.

Input: Tasks with waste bins attribute at the fog server
Output: Set priority queue for task execution
Begin
1. Input tasks T
2. For each task t_i Ɛ T do
3. If(t_i Ɛ Queue-Abnormal && t_i.delay_time > delay_thrl)
4. Add Queue-Critical[k] ← t_i
5. Else
6. If(waste bins fill status = Overflow) Then
7. Category = Critical
8. Add Queue-Critical[k] ← t_i
9. Else If(waste bins fill status = Jam-packed) Then
10. Category = Abnormal
11. Add Queue-Abnormal[k] ← t_i
12. Else If(waste bins fill status = Partly-filled) Then
13. Category = Normal
14. Add Queue-Normal[k] ← t_i
15. End

End

Source: Authors, (2026).

In the QoS-Aware Internet of Environmental Things (QAIoET) Framework, the Dynamic Resource Provisioning Algorithm distributes computations to nearby fog nodes or to distant clouds to reduce response time and costs. The app efficiently manages scattered IoT. The algorithms in the prioritized task queue make complex judgments for each item (t_i). Line 2 rapidly discovers all fog node clusters. Determine each fog node's resources and network distance from the task's origin (Line 3). Fog nodes near resources (QF) are used first (Line 4). The central cloud (RT_{icloud} and CT_{icloud}) receives estimates of response time (RT) and cost (CT) from each fog node (F_{ij}) that processes work (Lines 5-6). The foresight helps make informed decisions. Repeating Lines 7–13 determines which sorted fog node has a lower response time and cost than the cloud. Edge computing rapidly distributes work to the best fog node (Lines 8–10). Due to limited fog resources, the software judiciously offloads the operation to the cloud (Line 15) when no local fog node satisfies both optimization conditions (i.e., when the loop terminates without an optimal fog node, as implicitly evaluated in Line 14). Hierarchical, cost-conscious provisioning techniques that improve service quality by reducing cost and delay provide a flexible resource management paradigm for the Internet of Environmental Things.

Algorithm 3: Dynamic Resource Provisioning Algorithm.

Input: Task Queue [t_i, T], Number of Fog Nodes (F), Cloud
Output: Task allocation to the optimal fog node or cloud
Begin
1. For each task t_i Ɛ Queue [t_i, T] do
2. Find the available fog node clusters in the system
3. Calculate resource & distance for all available fog nodes
4. Sort all available fog nodes by the nearest available resource (Q_F)
5. Calculate RT (F_{ij}) & CT (F_{ij}) // RT-Response Time, CT-Cost
6. Calculate RT_{icloud} & CT_{icloud} // RT-Response Time, CT-Cost
7. For each fj Ɛ Q_F do
8. If (RT (F_{ij}) < RT_{icloud} && CT (F_{ij}) < CT_{icloud})
9. Assign the t_i to F_{ij}
10. Break
11. Else
12. Continue
13. End
14. If(t_i Ɛ Queue [t_i, T]) // Not found optimal fog node
15. Assign the ti to the cloud
16. End

End

Source: Authors, (2026).

C. Experimental Setup

Fog design has a component-specific network setup simulated using the ifogsim toolkit [24], [25]. Cloud servers had 40,000 MB of RAM, 44,800 MIPS of CPU, 100 ms latency, and a cost of 0.01/MIPS. The upload and download speeds are 10,000 Mbps. These are the proxy server specs: 8000 MB RAM, 12800 MIPS CPU, 10000 Mbps UP-BW/DW-BW, 10 ms latency, 0.04 Cost/MIPS. Fog Gateway (Fog Server) specs: 8000 MB RAM, 12800 MIPS CPU, 10,000 Mbps UP-BW/DW-BW, 5 ms latency, 0.08 Cost/MIPS. The IoT end device has a 2800 MIPS CPU, 4000 MB of RAM, 10 ms latency, 10,000 Mbps upload and download bandwidth, and a cost of 0.16 MIPS.

Table 2: Simulation Configuration.

Parameter	CPU (MIPS)	RAM (MB)	UP-BW (MBps)	DW-BW (MBps)	Latency (ms)
IoT Device	2800	4000	10000	10000	10
Fog Node	12800	8000	10000	10000	5
Proxy	12800	8000	10000	10000	10
Cloud	44800	40000	10000	10000	100

Source: Authors, (2026).

The experiment tested system included an end device, a proxy server, a fog server, a fog node, and a cloud server. Each test setup contained 1, 4, and 4 Cloud, Proxy, Fog Server, and Node/Server instances. The progressive rise in end devices to imitate rising user loads was the primary variable across all five settings. To clarify, Configurations 1–5 employed 50 End Devices, 100 in 2, 200 in 3, 400 in 4, and 500 in 5. This ongoing change in end-device count enabled a comprehensive investigation of system behavior and scalability across varied operational scenarios using ifogsim.

Table 3: Simulation Topology.

Config	Cloud	Proxy	Fog Server	Fog Node	End Device
Setup-1	1	1	4	4	50
Setup-2	1	1	4	4	100
Setup-3	1	1	4	4	200
Setup-4	1	1	4	4	400
Setup-5	1	1	4	4	500

Source: Authors, (2026).

IV. RESULTS AND DISCUSSIONS

The simulation results for the proposed technique are shown in Table 4. Complexity increases response time and cost (Setup-1–Setup-5). From setup-1 to setup-5, response time (milliseconds) and total cost (dollars) increase continuously, indicating workload or size growth. Setup-1's response time is 974.10 ms and cost is $174926.67; Setup-5's is 6815.57 ms and $761432.49. The proposed technique can manage growing demand; however, this pattern illustrates that the simulated environment's complexity increases response time and cost.

Table 4: Proposed (QAIoET) Simulation Result.

Config.	**Response Time**	**Cost**
	(millisecond)	(Dollar)
Setup-1	974.10	174926.67
Setup-2	1810.67	415883.87
Setup-3	2591.45	621628.49
Setup-4	5495.42	756691.46
Setup-5	6815.57	761432.49

Source: Authors, (2026).

Table 5 compares fog node response time (milliseconds) for CF-1 to CF-5 setups with different end devices. It then compares the proposed method to cloud-only performance. Every arrangement has four fog nodes; however, CF-1 to CF-5 have 50 to 500 end devices. With both approaches, the response time increases with the number of end devices. The proposed method outperforms the cloud-only method in all settings, with quicker response times. In CF-1 with 10 end devices, the proposed solution responded in 974.10 ms, whereas the cloud-only method took 1548.90. The proposed strategy recorded 6815.57 ms in CF-5 with 500 end devices, half of the cloud-only approach's 12750.51 ms. More end devices aggravate this performance disparity. The proposed technique reduces response time and manages growing workloads more effectively than a cloud-only solution.

Table 5: Comparison of Response Time (ms).

Setup	**Fog Node**	**End Device**	**Proposed approach**	**Cloud-only**
CF-1	**4**	**50**	974.10	1548.90
CF-2	**4**	**100**	1810.67	4445.90
CF-3	**4**	**200**	2591.45	4882.20
CF-4	**4**	**400**	5495.42	9806.50
CF-5	**4**	**500**	6815.57	12750.51

Source: Authors, (2026).



Figure 3: Comparison Chart for Response Time.

Source: Authors, (2026).

Figure 3 shows the millisecond response times of the proposed and cloud-only approaches. No matter the final device count, the proposed technique is faster than cloud-only. Both methods take longer to react with more end devices, but the cloud-only strategy has a response time above 12,500 ms, demonstrating that the proposed solution is more consistent and better. Table 6 shows the hypothetical dollar expenses of the proposed method relative to a cloud-only approach across various configurations. The setup column presumably indicates an increase from CF-1 to CF-5 end devices, but fog nodes stay at 4. In all cases, the proposed method is cheaper than a cloud-only approach. The cloud-only approach would cost $177,825, whereas the proposed method would cost $174,926.67 for CF-1 with 50 end devices. 2. At CF-5 (500 end devices), the suggested method is cheaper than cloud-only ($761,432.49 vs. $789,092). This tendency continues as more end devices are added. This method saves money, especially as end devices get bigger.

Table 6: Comparison of Cost (Dollar).

Setup	Fog Node	End Device	Proposed approach	Cloud-only
CF-1	**4**	**50**	174926.67	177825.2
CF-2	**4**	**100**	415883.87	432528.16
CF-3	**4**	**200**	621628.49	636952.08
CF-4	**4**	**400**	756691.46	775443.9
CF-5	**4**	**500**	761432.49	789092

Source: Authors, (2026).

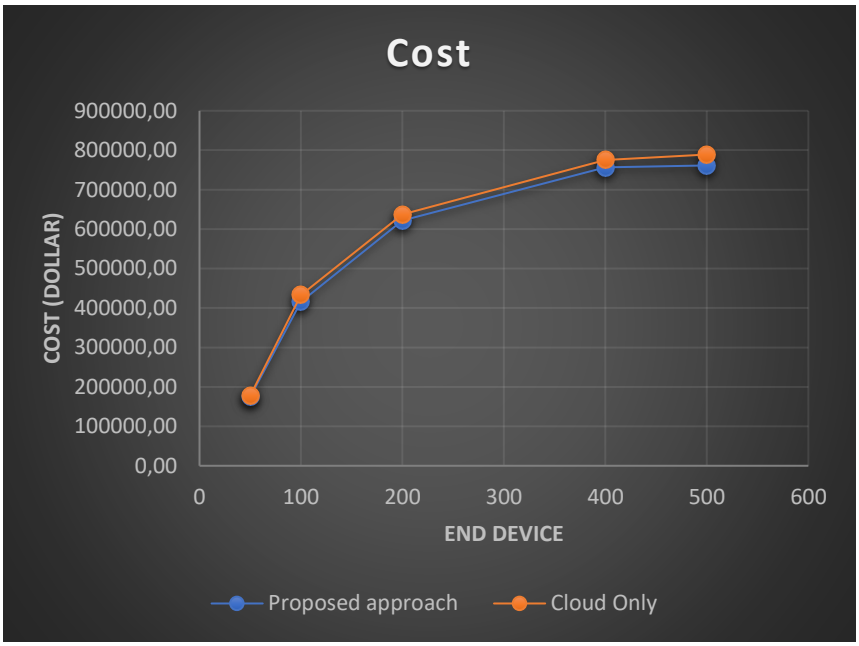


Figure 4: Comparison Chart for Cost.
Source: Authors, (2026).

Figure 4 illustrates dollar simulations comparing the proposed method with a cloud-only strategy as the number of end devices increases. The proposed way appears cheaper, yet both methods have comparable prices with 50-100 fewer end devices. Expanding devices increases costs for both processes. Still, the proposed technique is cheaper than cloud-only for all end devices. As the number of end devices increases, the cost disparity widens, indicating that the suggested strategy improves cost efficiency as the system scales.

V. CONCLUSIONS

The study shows that an IoT-Fog-Cloud architecture for smart waste management may resolve many environmental challenges. Our proposed technique (QAIoET) minimizes the inefficiencies of traditional garbage collection by merging fog computing for localized intelligent processing with IoT-enabled smart trash bins. Our comparison study showed that this synergistic paradigm has several benefits. Regardless of end device count, the proposed solution (QAIoET) always beats cloud-based alternatives and reduces response time by 46.8%. Optimizing routes and collecting trash fast requires this responsiveness, which boosts operating efficiency. The proposed system's long-term operating savings and environmental benefits make it a cost-effective and environmentally responsible option, even though the initial cost reduction of 2.6% may be similar. This study shows that fog computing and the Internet of Things have several benefits. It makes urban waste management systems more efficient, sustainable, and responsive, proving it works. Results may be used to improve resource allocation and environmental management, creating intelligent and adaptive urban settings. The next step would be to integrate GenAI solutions into the proposed system to enable future predictions & proactive actions.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.
Methodology: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.
Investigation: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.
Discussion of results: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.
Writing – Original Draft: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.
Writing – Review and Editing: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.
Resources: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.
Supervision: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.
Approval of the final text: Pooja Rani Agarwal, Komal Alwani, Amit Kumar Chaturvedi.

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RESEARCH ARTICLE OPEN ACCESS

TEMPERATURE EFFECT ON PH AND RESIDENCE TIME AS ESSENTIAL PARAMETERS FOR BIOGAS PRODUCTION. A REVIEW

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ABSTRACT

This study presents a systematic review of literature on the influence of temperature on methane production as biogas. A total of 337 scientific documents were collected from the Web of Science database and processed using tools such as Excel, Mendeley, and PRISMA approach literature review tool as PICOT method to identify the articles that best match the objectives of the study by eligibility criteria. The systematic review investigated 25 relevant studies, comparing mesophilic (30–40°C) and thermophilic (50–100°C) conditions. It was found that, although temperature is a determining factor in the efficiency of methanogenesis, its effect is conditioned by variables such as substrate type, residence time, pH, and the pretreatment methods applied. The results show that the mesophilic regime tends to offer greater operational stability, while the thermophilic regime can accelerate anaerobic digestion, but with a higher risk of inhibition by compounds such as free ammonia and volatile fatty acids. The synergy between adequate pretreatments and substrate selection is key to optimizing methane production. This work provides an updated overview of scientific knowledge in this area, identifying gaps and opportunities for future research aimed at the efficient design of thermally optimized anaerobic digestion systems.

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I. INTRODUCTION

In the context of growing concerns regarding sustainability and the transition toward renewable energy sources, biogas has emerged as a key alternative for sustainable energy generation. This gas, composed mainly of methane (CH_4) and carbon dioxide (CO_2), is produced through the anaerobic digestion of organic matter, making it a viable solution for waste management and the reduction of greenhouse gas emissions [1-4]. According to the International Energy Agency (IEA), biogas has the potential to meet up to 20% of global energy demand if its production and utilization processes are adequately optimized [5-7]. Temperature is one of the critical factors affecting the efficiency of methanogenesis, as it directly affects the activity of the microorganisms responsible for organic matter degradation [2],[8-10]. Therefore, understanding its impact is essential for improving biogas performance and maximizing its viability as a renewable energy source [11-16].

Numerous studies have addressed fundamental aspects of biogas production by exploring multiple optimization strategies. Research on the optimization of anaerobic digestion and biogas generation has examined variables such as the carbon-to-nitrogen (C/N) ratio, organic loading rate, hydraulic retention time, temperature control, and pH, as well as the application of kinetic models to enhance process efficiency [1-7], [17]. Anaerobic co-digestion, through the combination of different substrates such as manure, sewage sludge, and agricultural reisdues, has been shown to improve nutrient balance and process stability [7],[18-24]. In addition, various physical, chemical, and biological pretreatments have been investigated to improve biodegradability and increase biogas production, including thermal, alkaline, and enzymatic methods [11-16].

The influence of temperature on biogas production has been extensively studied, highlighting its effects on microbial community activity and overall process efficiency, particularly during transitions between mesophilic and thermotolerant conditions [2], [8-10]. Concurrently, studies have analyzed microbial community composition, evaluating the roles of fermentative and acetogenic bacteria, as well as methanogenic archaea, in methanogenesis under temperature regimes favorable to their development and energy potential. In this context, the present research conducts a comprehensive systematic review focused on reliable information on temperature-related trends in biogas production. To this end, it is essential to assess the impact of temperature on methane generation using data retrieved from the Web of Science database and analyzed with open-source tools such as Excel and SPSS, following the PRISMA bibliographic review framework. This approach enables the identification of key trends, the mapping of research related to temperature effects, and the detections emerging challenges that may guide future investigations. The fundamental objective guiding this research is as follows: A comprehensive review of extant scientific literature reveals a paucity of research regarding the influence of temperature on methane production. To provide a comprehensive approach to the main purpose, it is necessary first to address the following specific research questions (SRQ):

- SRQ 1: How does temperature have a correlational effect on the operating parameters of anaerobic digestion to enhance methanogenesis on biogas production?
- SRQ 2: How hydrogen potential (pH) and retention time of organic loading rate regarding anaerobic digestion (RT) are related to temperature?
- SRQ 3: What are the main areas of knowledge related to the influence of temperature on methane production?

A review of the literature reveals several seminal articles that have contributed to the consolidation of this field of study by settling down the approaches of temperature impact in biogas production. Responding to these questions aims to clarify the gaps in biogas production regarding considering operational parameters such as pH and RT, which may influence future trends in knowledge and establish the basis for new methodologies that yield better results in anaerobic digestion by considering temperature as a significant regulator of methanogenesis enhancement.

II. MATERIALS AND METHODS

In this regard, a systematic review is a bibliographic synthesis that addresses a clearly formulated research question and applies systematic and explicit methods to identify, select, and critically evaluate relevant studies. It also involves the compilation and analysis of extracted data from the included studies in order to identify future research priorities, address questions that cannot be resolved by individual investigations, detect limitations in primary research that should be addressed in future studies, and generate or assess theories explaining how and why the phenomena of interest occur [25]. Within this scope, data extraction represents a key component of the PRISMA framework and is directly aligned with the research questions. In this study, data extraction was conducted through full-text analysis of the selected articles to identify PRISMA methodology ensures a transparent and robust selection process among the articles retrieved through the search strategy, thereby facilitating meaningful comparisons across studies and highlighting the significant contributions of meta-analytical evidence [26].

II.1 ELIGIBILTY AND ANALYSIS CRITERIA

The PICOT method was adopted for answering the research questions posed in the literature review with an adaptation of its scope using its components of “Population (P),” which refers to the operating temperature regimes that allow for biogas production. “Intervention (I)” is associated with the operating parameters of temperature impact that are most closely related to “Outcome (O)” with the improvement of methanogenesis, resulted in PIO structure (see Table 1).

Table 1: PICOT (PIO) structure.

COMPONENT	QUESTION	KEY WORDS
POPULATION (P)	What are the temperature regimes that have a direct impact on biogas production?	Biogas production, biogas generation
INTERVENTION (I)	In what way does process temperature influence the methanogenic efficiency on biogas production?	Temperature, t
OUTCOME (O)	Which are the crucial operational parameters on methanogenesis enhancement?	Methanogenesis, Methane production

Source: Authors, (2025).

Based on the modified PICOT structure, a search strategy was designed that included specific keywords to ensure comprehensive coverage of the topic. The search equation used was (TS=("Biogas production" OR "biogas generation") AND TS=(temperature OR t) AND TS=("methanogenesis" OR "methane production")) AND ((DT==("ARTICLE") AND LA==("ENGLISH") AND OAJ==("ALL OPEN ACCESS")) NOT (PY==("2025"))). This strategy was applied to the Web of Science (WoS) database, which was selected for its broad multidisciplinary scope and rigorous indexing process. The initial search yielded a total of 339 articles. However, following a manual revision, two articles corresponding to the year 2025 were identified; despite the applied exclusion criteria, these records were retrieved in the search results. After their removal, the final corpus consisted of 337 articles, providing a solid and refined basis for initial systematic analysis. Subsequently, the application of PRISMA systematic review methodology enabled the identification of the most relevant scientific literature addressing temperature and its influence on biogas production. During this process, inclusion and exclusion criteria were applied to further refine the final corpus (see Table 2). A total of 130 articles were excluded by title and abstract screening due to misalignment with the primary objective, resulting in 207 selected records. Of these, 92 articles could not be retrieved, leaving 115 studies for eligibility assessment.

Among them, 35 articles lacked relevance to the main objective of the study (EC 1), 10 were written in languages other than English (EC 2), and 45 corresponded to theoretical or non-experimental research, such as review papers, which could lead to limited empirical contribution to the present analysis (EC 3). Consequently, only 25 articles met all eligibility criteria and were included in the final review, as illustrated in the PRISMA flow diagram (see Figure 1). The original data were managed using specialized software Excel and Mendeley tool, improving the storage of the final corpus of studies for this review, and providing an enhancement in the analysis of the data consulted. All data processing, table construction, and figure generation were performed using the latest stable version of Python v2025.10.4. The analyses and graphical outputs were developed within the Visual Studio Code (VS Code) environment, ensuring reproducibility, efficient code management, and consistency in data visualization.

Table 2: Eligibility criteria.

EXCLUSION CRITERIA	INCLUSION CRITERIA
EC 1: Articles that do not fulfil research objective	IC 1: Assess temperature relevance on biogas production
EC 2: Non-English reports	IC 2: Determine numerical results to compare
EC 3: Non-empirical research (review)	IC 3: Empirical methods

Source: Authors, (2026).

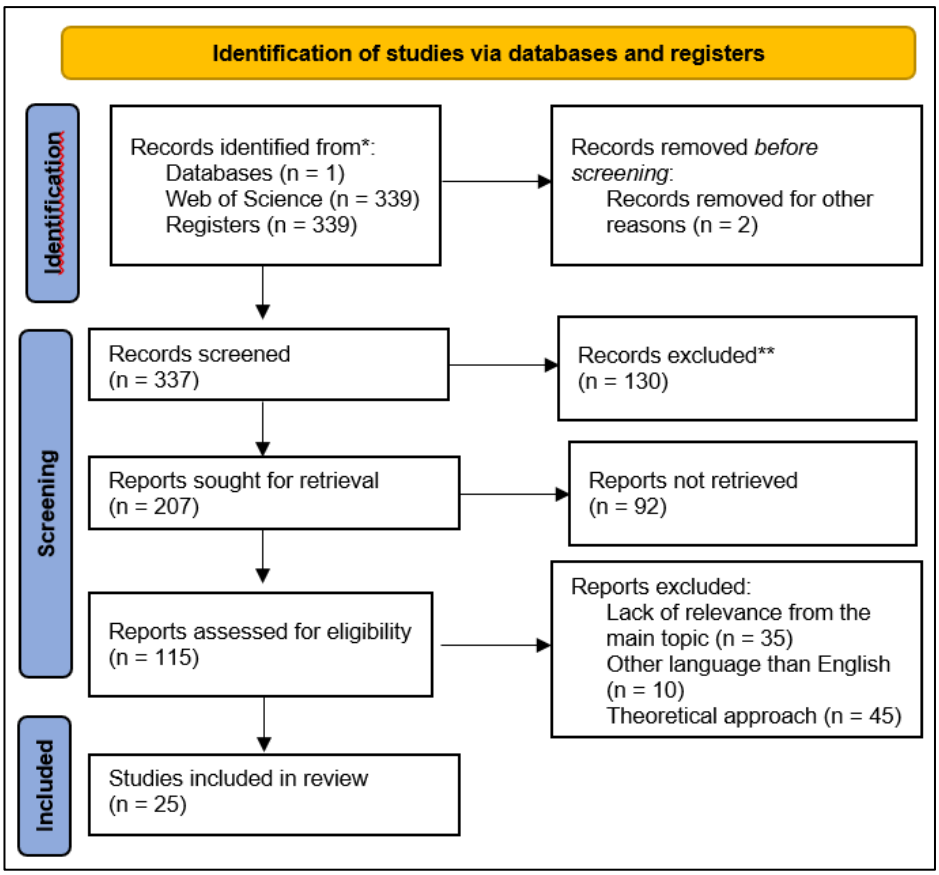


Figure 1: PRISMA flow diagram.
Source: Authors, (2026).

II.1.1 Statistical Analysis

Due to the limited sample size, and the heterogeneity of experimental conditions across the studies, inferential statistics comparing thermal regimes were not considered informative. Therefore, results are primarily reported using descriptive statistics, while exploratory intra-regime analyses were conducted to assess the trends associated with temperature, pH, RT, by central tendency measures. In addition to central tendency reports, coefficient of variability (CV) was calculated to assess relative dispersion within each thermal regime. Relative difference (∇CH_4) between mesophilic and thermophilic mean methane yields was also computed to evaluate the magnitude of change, given the limited inferential power of formal statistical tests.

Coefficient of variability

$$CV = \frac{SD}{\bar{x}} * 100 \quad (1)$$

Relative difference

$$\nabla\, CH_4 = \frac{CH_4\, max - CH_4\, min}{CH_4\, min} * 100 \quad (2)$$

Where:

SD: Standard deviation of the data collected by thermal range.
$\bar{x}$: Mean of the methane production.
$CH_4\ max$: Maximum value of methane production among studies collected by thermal range.
$CH_4\ min$: Minimum value of methane production among studies collected by thermal range.

II.2 AI – ASSISTED LANGUAGE EDITING

The manuscript was translated from Spanish into English and subsequently linguistically refined using an artificial intelligence-based language model (ChatGPT, OpenAI), exclusively for language-related purposes. The use of this tool was strictly limited to supporting translation accuracy, grammatical correction, stylistic consistency, and overall clarity of the English text. The AI system did not contribute to the formulation of research questions, study design, data collection, data processing, statistical analysis, interpretation of results, or the development of scientific conclusions. All scientific content, methodological decisions, analyses, and interpretations presented in this manuscript were conceived, executed, validated solely by the authors. The authors assume full responsibility for the accuracy, originality, and integrity of the work and confirm that the use of artificial intelligence did not influence the scientific validity, originality, or novelty of the study. This disclosure is provided in accordance with current transparency and ethical guidelines regarding the responsible use of artificial intelligence tools in scholarly publishing.

III. RESULTS AND DISCUSSIONS

Temperature is a critical factor in anaerobic digestion due to its influence on process dynamics, inoculum acclimatization, microbial metabolic activity, methane yield, and overall process stability [27]. Literature generally distinguishes two thermal regimes. The mesophilic range (30-49 ºC) is characterized by relatively slower but more stable digestion process with lower energy requirements, whereas the thermophilic range (≥ 50 ºC) promotes enhanced biokinetic activity and higher reaction rates, albeit at the expense of increased energy demand and reduced process stability. Thermophilic systems are more susceptible to fluctuations in temperature and pH, as well as to inhibition by elevated concentrations of free ammonium concentration [28-30]. Several studies report that temperature directly affects the optimization of biogas production by accelerating the metabolic rates of microbial communities involved in organic matter degradation and methanogenesis, thereby increasing methane yields [31-34]. Consequently, temperature represents a key parameter governing methane accumulation, as its interaction with other operational variables, such as residence time (RT) and pH, ultimately determines the magnitude of cumulative methane production (see Table 3).

Table 3: Methane peak results associated with temperature, pH and residence time (RT) from the articles included in PRISMA.

THERMAL RANGE	TEMPERATURE (ºC)	RT (days)	pH	METHANE PEAK (mL CH_4/g VS)	REFERENCE
Mesophilic	35	-	7.57	333	[35]
	35 ± 1	40	-	450 ± 22	[36]
	35	37	7.6	132.3	[37]
	35	30	7,8	218.88 ± 6.77	[38]
	37	55	8	273.2	[39]
	37 ± 0.5	30	8	389.1 ± 8.5	[32]
	37	20	7 ± 0.1	260.83 ± 15.02	[40]
	39	36	8	189 ± 6	[41]
	40	-	-	416.8 ± 6.77	[42]
Thermophilic	51.5	20	7 ± 0.1	275.66	[40]
	55	30	7.3 A	212.4	[43]
	55	26	6	253.8	[44]
	55	46	8	279.9	[39]
	55 ± 0.5	30	8	110.9 ± 22.1	[32]
	100	20	7.43	264.64	[33]

A: Value estimated by visual extraction of the figure indicated in the article, as numerical data are not available in tabular format.
Source: Authors, (2026).

Table 4: Descriptive statistical reports of methane production within the thermal regimes.

REGIME	MEAN ($\bar{x}$)CH4 ((mL CH_4/g VS)	SD	$CH_4\ min$	$CH_4\ max$	CV (%)	∇CH4 (%)
Mesophilic	295.901	108.568	132.3	450	37%	240%
Thermophilic	232.883	64.476	110.9	279.9	28%	152%

Source: Authors, (2026).

Table 3 presents a ranking of data extracted from 13 studies included in this review (52%), with three of these studies reporting results under both mesophilic and thermophilic temperature regimes [32], [39],[40]. To enable accurate comparisons between temperature and methane production, standardized units widely accepted in the literature were used, specifically milliliters of methane per gram of volatile solids (mL CH_4/ g VS). This metric allows for a more direct comparison between mesophilic and thermophilic operating conditions and facilitates the identification of temperature-related trends in methane generation.

Marked variability is observed between the mesophilic range (35-37 ºC) and the thermophilic range (50-100 ºC), with the highest methane yields occurring at the lowest temperatures within the dataset. This finding indicates that temperature alone does not govern

methane production. Instead, the reported outcomes reflect a multifactorial interaction in which temperature acts in combination with other operational parameters, particularly pH and residence time (RT), which are essential for a more comprehensive interpretation of methane yields under different thermal conditions.

III.1 MESOPHILIC TEMPERATURE RANGE

Among the 13 studies considered in Table 3, 69.23% (nine articles) examine the relationship between mesophilic temperature conditions and methane production. As shown in Table 4, the coefficient of variation (CV) of the methane production data indicates high heterogeneity (CV > 33%, specifically 37%), suggesting that the mean value is not representative and that methane yields are highly dispersed. Furthermore, an analysis of the maximum and minimum recorded methane values reveals that, within the mesophilic range of 35-40 ºC, the relative difference in methane production reaches approximately 240%, representing the highest variability observed across the evaluated thermal ranges. This pronounced variability indicates gaps in the control of study variables, highlighting the need to account for factors such as digester configuration, substrate characteristics, and applied pretreatment methods to improve biogas quality and process consistency [36],[45],[46]. In contrast, studies operating at a constant temperature generally report more comparable methane production levels, with reduced dispersion when pretreatment conditions and substrate types are similar, as illustrated in Figure 2.

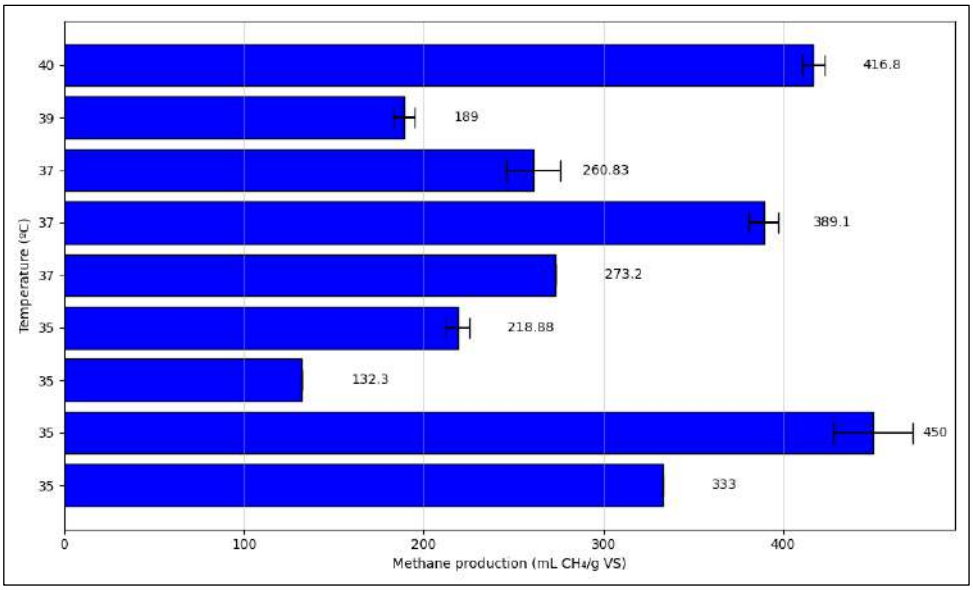


Figure 2: Mesophilic thermal range.
Source: Authors, (2026).

On the one hand, [36] evaluated food waste digestion at 35 ºC by comparing conventional thermal pretreatment with electromagnetic microwave radiation (EMR) pretreatment. Although a methane peak of 450 mL CH_4/ g VS was achieved using EMR, the difference relative to the conventional method was modes (≈ 424 mL CH_4/ g VS). This limited improvement was attributed to the possible accumulation of volatile fatty acids (VFAs), which can acidify the digestion medium. Moreover, microwave radiation may influence the composition and activity of methanogenic microorganisms by affecting enzymatic activity, inducing changes in DNA and RNA, and altering protein synthesis, depending on power, frequency, and exposure time [47]. Nevertheless, several studies have reported that the application of this type of pretreatment enhances the solubilization and degradation of organic solids, thereby promoting anaerobic digestion and increasing methanogenic potential [38], [48-50]. In this study, the estimated variation between heating methods was approximately 6%, which is consistent with previously reported findings [51], [52], indicating a positive effect of this heating approach on the biodegradability of the feedstock used in anaerobic digestion. On the other hand, both [42] and [37] investigated the anaerobic digestion of water hyacinth (*Eichhornia crassipes*) at 40 and 35 °C, respectively.

Both studies agreed that the high lignin content of this substrate limits the degradation of cellulose and hemicellulose, thereby reducing the availability of fermentable sugars and microbial diversity, and adversely affecting the acidogenesis and methanogenesis stages [53], [54]. However, their findings differed with respect to operational conditions. Specifically, [42] reported that a low feed-to-inoculum ratio (F/I = 1.0) favored methane production (416.8 mL CH_4/g VS), whereas a high ratio (F/I=30.0) inhibited the process due to the accumulation of VFA and ammonia. In contrast, [37] observed that solids concentrations exceeding 6.3% led to system saturation and reduced methane production to 132.3 mL CH_4/g VS. Both studies concluded that, despite operating within optimal mesophilic temperature ranges (35-40 ºC), lignin content and inhibitory compounds constrain digestion efficiency, making it essential to control organic loading or incorporate more readily degradable co-substrates. From this perspective, although methane yields ranging from 100 to 450 mL CH4 /g VS have been reported under constant thermal conditions, the observed variability in methane production is primarily associated with the type of substrate, the pretreatment strategy, and the digestion approach, rather than with temperature as an isolated operational parameter.

III.2 THERMOPHILIC TEMPERATURE RANGE

Conversely, among the 13 articles, 53.84% examined thermophilic operating conditions. Based on their distribution, a relatively homogeneous pattern is observed within this thermal regime, with a coefficient of variation below 33% (CV =28%), indicating reasonably stable performance across studies despite underlying methodological heterogeneity. In this context, the mean methane yield (232.88 mL CH_4/g VS) can be considered representative of the overall data dispersion (Figure 3). Notably, most data points are clustered around 55 ºC, where no clear or statistically significant differences in methane production can be attributed solely to temperature. Nevertheless, the wide range of reported yields (110.9 ± 22.1 – 279.9 mL CH_4/g VS) indicates that variability is primarily governed by operational parameters such as pH regulation, residence time (RT), and substrate composition rather that by temperature alone. Overall, 55 ºC emerges as a robust thermophilic operating condition, capable of achieving high methane productivity while remaining sensitive to process control and operational management.

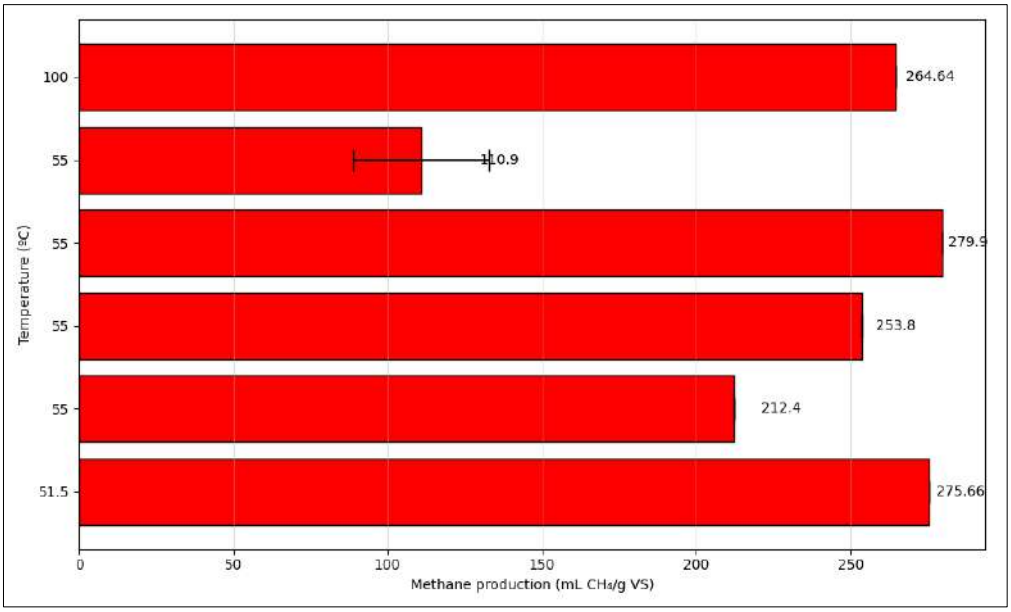


Figure 3: Thermophilic thermal range.
Source: Authors, (2026).

As an explanation for the observed variability, [32] reported a methane yield of 110.9 ± 22.1 mL CH_4/g VS after acid-thermal pretreatment. The resulting acidic conditions strongly inhibited anaerobic digestion, likely due to insufficient acid removal and pH values below neutrality, which are toxic to anaerobic microorganisms [55]. Additionally, the use of whiskey by-products, also reported by [39], implied a low C:N ratio, favoring inhibition through elevated free ammonium (> 1000 mg/L) and volatile fatty acid (VFA) accumulation (> 4000 mg/L) [32], [56]. These results indicate that under thermophilic conditions, aggressive pretreatments combined with unstable C: N ratios can severely impair methanogenic activity [57-59]. Conversely, [39] showed that thermal pretreatment of microalgae at 90 ºC coupled with digestion at 55 ºC resulted in only a modest 6% increase in methane production compared to mesophilic conditions. This limited improvement was attributed to ammonium inhibition associated with the low C:N ratio of microalgae and the release of free ammonium following cell disruption during thermal pretreatment [60].

The introduction of an additional biological pretreatment mitigated this effect, increasing methane yield by 12% (279.9 mL CH4 /g VS). Overall, the comparison between mesophilic and thermophilic regimes indicates that temperature alone does not govern methane production. While mesophilic digestion (35-40 ºC) exhibits high variability driven by substrate type, organic loading, and pretreatment strategy, thermophilic operation (50 -100 ºC) demonstrates greater consistency and faster kinetics, particularly around 55 ºC. However, thermophilic stability is highly sensitive to substrate composition, especially low C:N ratios and the use of aggressive pretreatments, which can promote ammonium and VFA accumulation. Therefore, optimal methane yields across both thermal regimes depend on a multifactorial balance between temperature, substrate characteristics, pretreatment selection, and strict control of key physicochemical parameters, rather than on temperature as an isolated variable.

III.3 TEMPERATURE INFLUENCE ON pH

Across both mesophilic and thermophilic regimes, methane production was generally reported within a relatively narrow pH range of 6.0 to 8.0. Under mesophilic conditions, Figure 4 indicates that most studies operated at neutral to mild alkaline pH values (7.0-8.0), within which methane yields were commonly observed. However, [41] reported negligible methane production at 39 ºC despite operating at pH 8.0. This outcome is primarily associated with the characteristics of the substrate, particularly its high lignin content, which limits biodegradability, as well as potential inhibition caused by VFA accumulation and the use of mono-digestion strategies. These findings challenge the assumption that maintaining a neutral to slightly alkaline pH (7.0-8.0) invariably enhances methane production. Although methanogenic archaea typically exhibit optimal activity within a pH range of 6.0-8.0 [44], [61-64], the influence of pH is strongly modulated by substrate quality, pretreatment approach, biodegradability, and the presence of inhibitory compounds [29], [45], [46], [65], [66].

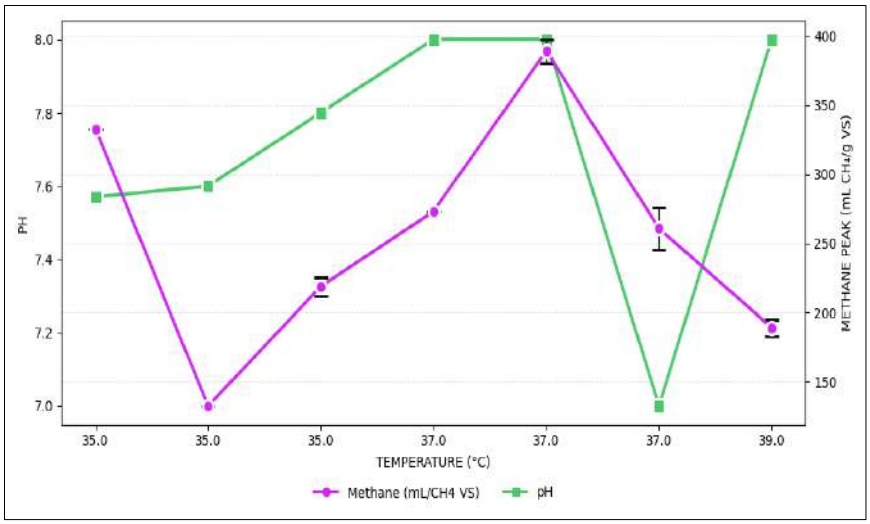


Figure 4: Mesophilic regime effect on pH.
Source: Authors, (2026).

To support this notion, Figure 5 illustrates that under thermophilic conditions there is a clear tendency from acidic (pH 6.0) to alkaline conditions (pH 8.0) at 55 ºC. In this context, [32] reported that, regardless of the pretreatment strategy applied, pH is strongly associated with the substrate composition under thermophilic operation, as temperature critically influences protein hydrolysis, leading to the formation of NH_4^+ and NH_3. The latter acts as a weak base, stabilizing the digestion medium at alkaline pH values (around 8.0). Nonetheless, this alkalinity can inhibit methanogenesis due to increased concentrations of free ammonia nitrogen (FAN), as well as the accumulation of VFA and free ammonium, thereby generating a toxic and unstable environment that restricts methane production, irrespective of the pretreatment applied [67] ,[68]. Additionally, it is reported in [40] that with a digestion temperature of 51.5 °C, it associates the pH value (5.8) to the nutrient content of sewage sludge; nevertheless, its methane production is the highest among thermophilic studies, suggesting that the synergy in its substrates (SS/GTS), due to the easy degradation of VS and TS in GTS, results in better methanogenesis. Finally, there are authors who have not considered this operational parameter [33], [36] ,[37] ,[39] ,[42] ,[43], [69]. These findings may involve prioritizing the analysis of critical variables such as temperature, hydraulic retention of organic content, pretreatments, substrate type, overall energy efficiency, and technical feasibility, which is why this physicochemical parameter could be omitted from the results. Some researchers may also consider it a non-limiting parameter and choose not to report it if no significant variation is observed during the process or through automatic adjustment in controlled tests. Likewise, in some processes, such as the one reported by [36], the pretreatment methodologies and the layout of the digester make it difficult to measure physicochemical parameters such as pH and COD, so they are not taken into consideration.

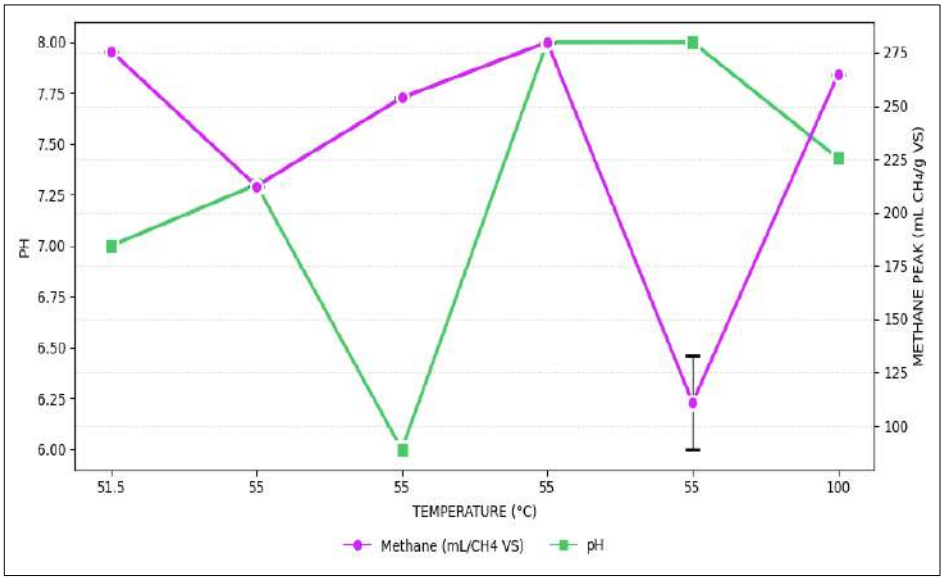


Figure 5: Thermophilic regime effect on pH.
Source: Authors, (2026).

III.4 TEMPERATURE INFLUENCE ON RT

Within both thermal regimes, methane production was reported under a broad range of residence time, reflecting heterogeneous operational strategies rather than standardized process conditions. On the one hand, Figure 6 shows the dispersion of temperature data based on their corresponding methane values and the influence of RT as a parameter established in each study.

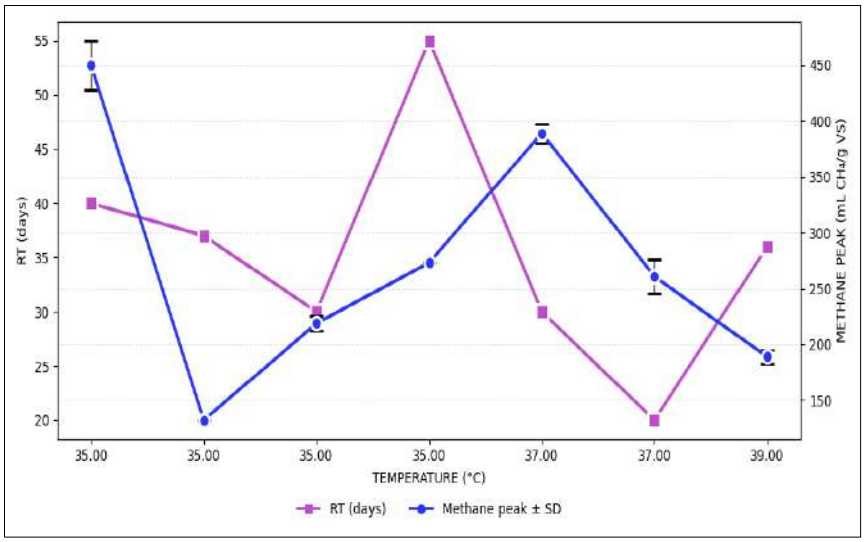


Figure 6: Mesophilic influence on RT (days).
Source: Authors, (2026).

At 39 ºC, with a retention time (RT) of 36 days, [41] reported lower methane production (189 mL CH_4/g VS) when using rumen as the base substrate. This indicates that RT does not act directly on temperature but rather interacts with substrate characteristics and organic loading, depending on the pretreatments applied to enhance anaerobic digestion (AD) performance. In this context, a longer RT does not necessarily guarantee higher methane yields across temperatures, as substrate composition and pretreatment efficiency play a decisive role. Furthermore, at a constant temperature of 35 °C, [39] reported lower methane production at an RT of 55 days compared to the 40-day process reported in [36], yielding 273.2 and 450-mL CH_4/g VS, respectively. This relative difference (64.7%) contradicts the conventional assumption that shorter RTs necessarily result in reduced methane production [70]. Similarly, [40] reported a methane yield of 260.83 mL CH_4/g VS, at an RT of 20 days, which is comparable to the values reported by [39].

These differences can be attributed to variations in operating conditions, substrate quality, and digester configuration, particularly when strategies such as co-digestion are applied [38]. Likewise, at a constant temperature of 37 ºC, [32] observed higher methane production (389.1 mL CH_4/g VS) after 30 days of digestion. Overall, these findings highlight the need to standardize experimental conditions across studies and to systematically compare pretreatment strategies and substrate types to establish robust correlations. Methane production trends tend to vary according to substrate complexity, pretreatment intensity, and RT, even when temperature is held constant. Conversely, Figure 7 shows that under thermophilic temperatures, RTs will be lower due to the rapid hydrolytic reaction and breakdown of the cell walls of organic matter, providing higher methane peaks in a very short time [30]. Notably, at 51.5 °C, the methane peak was one of the highest among the studies in this temperature range (275.66 mL CH_4/g VS), considering a RT of 20 days. This may confirm that, under high temperature conditions, methane production will be enhanced, with a lower RT or contact time with the organic load.

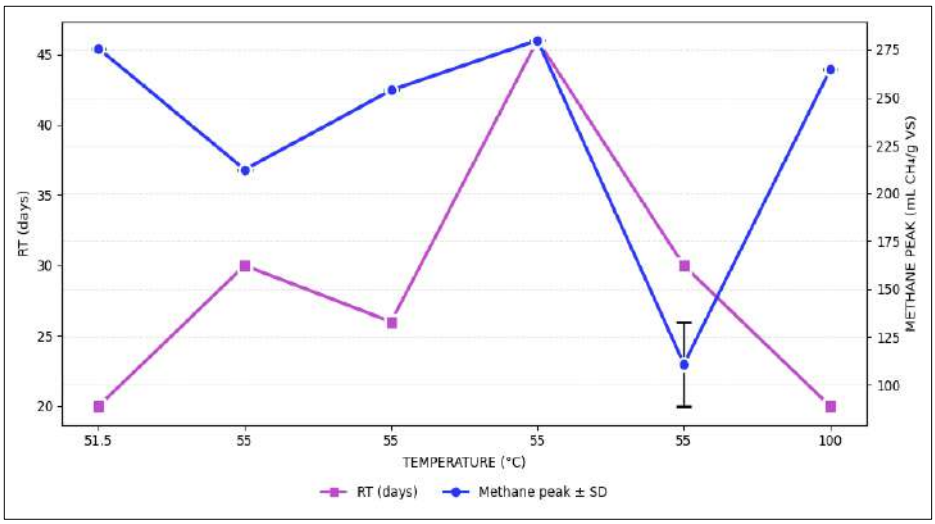


Figure 6: Thermophilic influence on RT (days).
Source: Authors, (2026).

For instance, temperatures of 55 °C that reported longer RT's, such as 26 and 30 days, estimate a projection on methane production, theoretically. The relative difference between studies, considering methane production results, with 30 days of RT, is 171.9%. This disproportionate variation suggests that the type of pretreatment and substrate have a greater effect on AD than RT alone as a function of temperature, as independent variables [32],[43].

In contrast, other studies at 55°C show that higher RT (46 days) can also yield good results (279.9 mL CH_4/g VS); however, the stability of the process suggests higher energy demand and difficulties in operational control [39], [71]. Similarly, at a higher temperature of 100 °C and only 20 days of RT, one study shows that yields are optimal (264.64 mL CH_4/g VS, respectively), reinforcing the idea of greater efficiency in biodegradability in terms of methane production levels and speed in the process [33]. Finally, the results of both figures show a contrast between the mesophilic and thermophilic ranges with respect to their impact on RT. The results in Figure 7 show that, in a thermophilic range, the RT are relatively lower compared to the results of the mesophilic range in Figure 6. This suggests that the thermophilic regime positively influences the extracellular enzymatic activity of the organic load, promoting higher hydrolysis rates than at mesophilic temperatures [72]. Nevertheless, yields at methane peaks in the thermophilic regime are lower due to susceptibility to temperature variations, compared to the mesophilic regime [27]. This reflects what was reported by [62], although a higher operating temperature led to greater microbial activity initially, when maximum methane production was reached, prolonging the RT under these conditions can cause a decrease in production, since most methanogenic microbial consortia do not have thermotolerant characteristics [34], [73].

III.5 FUTURE PERSPECTIVES ON BIOGAS PRODUCTION RESEARCH

Future research on anaerobic digestion should prioritize the standardization of experimental conditions to enable robust comparisons across mesophilic and thermophilic regimes. Given that methane production variability is more strongly influenced by substrate characteristics and pretreatment strategies than by temperature or retention time alone, future studies should adopt harmonized reporting of key operational parameters, including C:N ratio, organic loading rate, pH control strategies and inhibitor thresholds. Further investigation is required on the development of adaptative process control strategies capable of mitigating thermophilic instability, especially under fluctuating temperature and pH conditions. Integrating real-time monitoring of psychochemical indicators with predictive modeling may enhance process resilience and methane productivity, as well as a mathematical model that integrates deeper approaches into the correlation among temperature and other operational parameters, such as pH and retention time that reflects a multifactorial influence in the heating field.

IV. CONCLUSIONS

The results of the literature review allow us to affirm that the efficiency of AD does not depend solely on temperature, but on a multivariable interaction between pH and RT, which is evident in the natural behavior between the temperature ranges specified in this analysis. To this end, its relevance lies in understanding pH and RT not as fixed values, solely related to temperature, but as variables that respond to the type of substrate, the pretreatment applied, and the presence of inhibitory compounds such as VFA or FAN. Evidence shows that high yields can be achieved even in suboptimal ranges of these parameters, if the stability of the medium is ensured, the organic load is optimized, and/or strategies such as co-digestion, and physical, chemical, and biological pretreatments are employed. For future research it should be considered greater rigor in reporting other highly influential operational variables, such as organic load content based on substrate characteristics and the relationships between biological and/or microbiological inoculants, to build more robust databases for systematic reviews of literature concerning temperature as the main factor in the AD process. Likewise, it is necessary to compare the methodologies for analyzing accumulated methane production provided by biogas kinetics reports and to provide a mathematical model that allows methane production to be estimated, considering temperature as the main variable, correlated to other operational parameters.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Córdova-Rodríguez Daniel David, Tuñoque-Morante Luis, Pisfil-Benites Nilthon.
Methodology: Córdova-Rodríguez Daniel David, Pisfil-Benites Nilthon.
Investigation: Córdova-Rodríguez Daniel David, Tuñoque-Morante Luis.
Discussion of results: Córdova-Rodríguez Daniel David, Tuñoque-Morante Luis.
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A BOTTOM-UP K-ANONYMIZATION APPROACH FOR BIG DATA PUBLISHING

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ABSTRACT

As governments and other organizations share larger datasets, keeping individual information private has become increasingly difficult to solve. When publishing the data, data anonymization models like k-anonymity and l-diversity are employed to ensure the trade-off between privacy and data utility. This paper presents a method called Bottom-Up k-anonymization (BU-K), implemented on Apache Spark. It improves efficiency by applying the Bottom-Up Generalization (BUG) approach. BU-KC performs better than Top-Down Specialization (TDS) in terms of scalability, and data privacy, while still keeping the data useful. Moreover, using Apache Spark's distributed computing architecture significantly improves processing time compared to traditional MapReduce approaches. This work fills a gap in distributed anonymization on Spark by offering a new, efficient, and scalable solution.

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I. INTRODUCTION

In recent years, many organizations have required the web-based exchange of huge volumes of data with research institutes in order to undergo analysis and identify subtle patterns. A significant difficulty in data publishing is protecting people's privacy by anonymizing information that could expose their identities. The key lies in developing systems that effectively balance privacy protection and data usefulness [1]. The field of study that combines all of these methods is known as Privacy Preserving Data Publishing (PPDP) [4]-[2]. As data volumes have expanded and the big data paradigm, defined by the 42 Vs, has emerged, various privacy models have been extremely prominent in this area. Among these techniques, k-anonymity [3] and l-diversity [4] are widely employed. Generalization processes are commonly used in data anonymization, where original values are replaced with generalized ones using a taxonomy tree to maintain semantic compatibility between the old and new values [5].There are generally two main ways to navigate the taxonomy tree: Top-Down Specialization (TDS) starts from the root and moves down, while Bottom-Up Generalization (BUG) begins at the leaves and moves up.

Unlike the top-down approach, we use Bottom-Up Generalization (BUG), a more efficient strategy that preserves data quality [6]. As data volumes approach zettabytes, improving processing time becomes crucial for efficient data interchange and publication. Traditional centralized solutions fail to manage huge volumes of data, resulting in inefficiencies in time processing, scalability, and overall performance [7]. To address these difficulties, distributed computing frameworks such as MapReduce and Apache Spark have been developed. Among these, Apache Spark stands out as an open-source, scalable platform capable of effectively processing massive datasets. Its ability to analyze large amounts of data quickly and efficiently makes it a suitable tool for modern data processing tasks [8]. Programs running on the Spark platform can achieve significantly faster processing speeds up to 100 times faster in memory and 10 times faster on disk compared to MapReduce. Consequently, Spark has emerged as a highly efficient ecosystem for performing the anonymization process on large-scale data. By leveraging Spark's capabilities, the anonymization process can be executed more efficiently, enabling faster processing and improved scalability [9].

The Bottom-Up Generalization (BUG) approach, proposed in [10] as a centralized way to support k-anonymity model, was later improved by [11] to work with MapReduce Framework, making it faster to process. Since then, a lot of research has explored using the k-anonymity model with MapReduce. However, to the best of our knowledge, no one has tried to fully implement a Bottom-Up anonymization approach on Apache Spark. Our work aims to fill this gap by developing a distributed Bottom-Up k-anonymity (BU-K) framework tailored for Spark. This approach seeks to enhance both data utility and processing efficiency, leveraging Spark's parallel processing and scalability features to achieve significant improvements in execution speed and data quality preservation during anonymization. The remainder of this paper is organized as follows: Section 2 reviews the existing literature on related works. In Section 3, we delve into the core concepts and essential components of the proposed approach. Section 4 presents and discusses the results from the evaluation of our method. Finally, Section 5 offers conclusions and outlines potential directions for future research.

II. RELATED WORKS

Privacy-Preserving Big Data Publishing (PPBDP) is a critical research field focused on tackling the challenge of releasing large-scale datasets while ensuring an optimal balance between data privacy and utility [12]. In the context of big data, several privacy models, such as k anonymity, have been widely adopted. Section 2.1 explores various centralized algorithms, most of which focus on implementing the k-anonymity model. Section 2.2 presents a range of distributed big data algorithms that perform anonymization using either top-down or bottom-up generalization techniques.

II.1 CENTRALIZED APPROACHES

LeFevre et al [13] introduced the Mondrian algorithm, which employs a top-down generalization approach for data partitioning. Initially, all data instances are grouped into a single partition. The algorithm then recursively divides the data instances into sub-partitions using a top-down approach until the resulting partitions satisfy the k-anonymity requirements. At each step, the algorithm selects the widest dimension of the data as the cut dimension and uses the median of the data values in this dimension as the split point for partitioning.

Yaseen et al. [14] proposed three novel generalization methods to overcome the limitations of traditional techniques: conventional generalization hierarchies, divisors generalization hierarchies, and cardinality-based generalization hierarchies. Each method prioritizes data utility and partitions the attribute domain space in a distinct way. Their performance is evaluated based on the discernibility penalty, distortion ratio, and the number of nodes at each level.

In this paper [15], a new data anonymization algorithm that enhances users' community privacy is presented. The algorithm assesses the vulnerability of each attribute in a user's dataset to effectively protect community privacy. It conducts adaptive data generalization while simultaneously assessing attribute susceptibility and entropy.

Basapur et al [16] introduced a novel data generalization algorithm aimed at improving group privacy and data utility. This algorithm evaluates attribute susceptibility, the frequency of sensitive attributes, and their interrelationships to create equivalence classes that satisfy both k-anonymity and β-likeness. The approach incorporates these factors into the data anonymization process and is tested using Apache Spark

Recently, Torra and Navarro [17] proposed a new data publishing for minimizing the attribute disclosure risk in k-anonymity model. To avoid Internal and external attacks, the solution is to apply well-known codes to identify sensitive cells in tabular dataset by using p-sensitivity and p-diversity models.

In order to avoid the danger of skewness and similarity attacks, Su et al. [18] presented a k-anonymity mechanism based on clustering for multi-dimensional data, combined with t-closeness privacy model. Based on an enhanced African vultures optimization, the suggested approach adheres to extremely accurate clustering of the multi-dimensional dataset and can offer the ideal solution with multiples dimensions.

II.2 DECENTRALIZED APPROACHES

Sopaoglu and Abul [19] developed a Top-Down Specialization (TDS) anonymization solution designed specifically for the Apache Spark platform. This method assesses both numerical and category attributes by iteratively generalizing the original data, beginning with the most general node and using the k-anonymity model.

Zakerzadeh et al. [20] enhanced the centralized Top-Down Mondrian technique for massive data applications by using the MapReduce framework. Reducing the algorithm's processing time across the Mapper, Combiner, and Reducer computational nodes is the aim of this work.

In a related study, Ashkouti et al. [21] enhanced earlier work on the Apache Spark Framework by applying a multidimensional Top-Down Mondrian approach. The primary difference between the two approaches resides in selecting the axis dimension creterion to which the partitioning is carried out. While [20] utilized the domain width as the primary criterion for axis dimension selection, the improved study diverges by prioritizing the dispersion of attribute values over the domain. This research aims to enhance time efficiency through the implementation of RDD programming, while simultaneously improving data privacy by adopting the l-diversity model in lieu of k-anonymity. Jain et al [22] developed a model that introduces an additional layer between the Hadoop Distributed File System (HDFS) and MapReduce to enhance data sharing for mining operations. This scalable SMR model performs as part of the Map and Reduce phases and aims to balance privacy with utility through lightweight encryption, randomization, and perturbation techniques. In the presence of big data, the centralized traditional BUG techniques are not suitable for adhering privacy needs. This motivated researchers to propose parallel bottom-up approaches to address limitations brought about by centralized BUG.

In [23] [11], a scalable advanced Bottom up generalization method is proposed to meet the k-anonymity model using MapReduce platform on Cloud. The process involves two main steps: first, the original dataset is divided into multiple tables, and each partition is anonymized in parallel to generate intermediate results. In the second step, these intermediate results are grouped, and an additional anonymization operation is performed to ensure compliance with the privacy model. In terms of scalability, the authors demonstrate that the parallel BUG approach is more efficient than the top down specialization method. The existing literature has predominantly focused on implementing top-down k-anonymization approaches, either within the MapReduce environment or on Apache Spark.

In contrast, bottom-up k anonymization methods have been primarily applied within MapReduce frameworks, with no prior implementations in the Apache Spark ecosystem. Our work addresses this gap by pioneering the implementation of a bottom-up k-anonymization approach specifically on Apache Spark. This advancement is significant because, as established by various studies [6], the bottom-up approach is generally more effective than the top-down approach in terms of efficiency and privacy preservation. By leveraging Apache Spark's advanced processing capabilities, our implementation aims to deliver superior performance, enhancing both data utility and processing speed compared to the existing top-down methodologies. This contribution represents a notable advancement in the field of privacy-preserving data publishing, setting a new benchmark for efficiency and scalability in large scale data anonymization.

III. PROPOSED METHOD

III.1 PRELIMINAIRES

In the context of privacy-preserving big data publishing, data is typically structured in a table with different types of attributes, classified into three main categories:(i) Explicit Identifiers (EI): These are attributes that immediately reveal an individual's identify, such as a name. (ii) Quasi-Identifiers (QI): While these attributes are not individually revealing, when paired with other data, they can be utilized to identify individuals, such as zip code. (iii) Sensitive Identifiers (SI): These attributes include confidential information, such as medical conditions [22]. It’s important to note that EI and QI traits might be numerical or categorical, whereas SI attributes are always categorical [5]. To achieve data anonymization, it is crucial to convert the table into generalized groups known as Equivalence Classes (EC) or QI-groups. The k anonymity model requires that each EC contains at least k records, ensuring that each individual cannot be uniquely identified within the group. he l-diversity model requires that each EC contains at least l distinct sensitive values, thereby enhancing individual privacy while preserving data utility.

III.2 THE PHASES OF THE PROPOSED METHOD

Figure 1 provides a visual representation of the sequential phases involved in the implementation of our distributed k concealment model. The process is executed using a series of RDDs, which are manipulated through transformations and actions in the Apache Spark library.

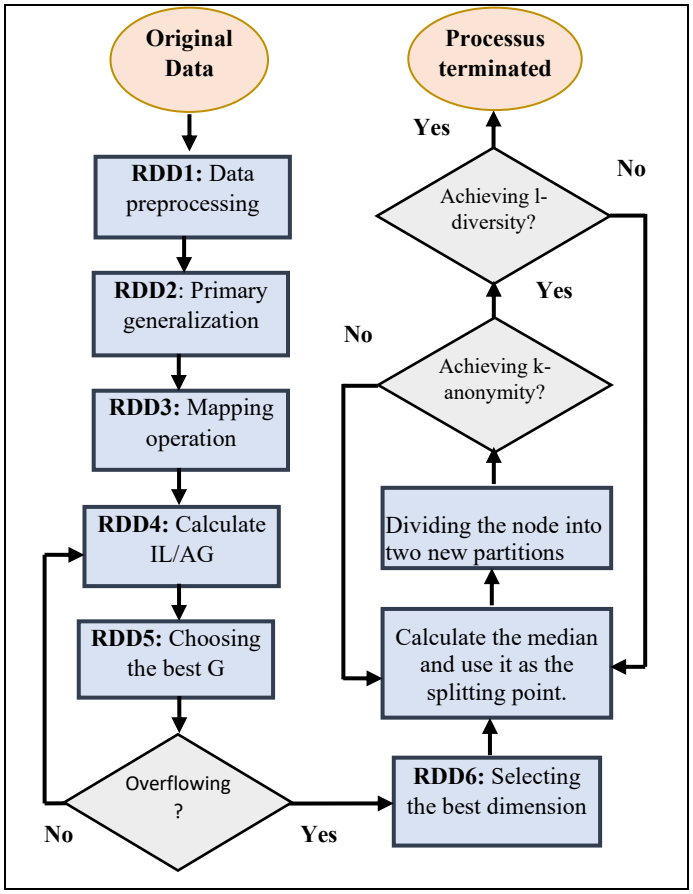


Figure 1: Summary of the proposed approach.
Source: Authors, (2026).

III.2.1 Data preprocessing

The dataset obtained from the data holder contains a significant number of missing and duplicate entries. The primary objective of this phase is to preprocess the data to ensure it is suitable for the subsequent anonymization process. This entails identifying and removing erroneous records, followed by distributing the cleaned data across multiple worker nodes for further processing.

III.2.2 Primary generalization

In this phase, the worker nodes concurrently anonymize the data in parallel by applying the primary generalization operation. The goal is to achieve compliance with the k-anonymity model, resulting in an intermediate anonymized dataset.

III.2.3 Mapping operation

In this phase, the mapping operation is performed to associate the <key, value> pairs for each data record, as described in Algorithm 1. In the preceding phase, a collection of equivalence classes was generated based on the k-anonymity model. Here, the "key" represents the set of distinct sensitive values within the equivalence class to which the record belongs (labels), while the "value" corresponds to the attribute values of the individual data record

Algorithm 1: Mapping operation.

Input : RDD2, ECs
Output : (key, value) pairs as RDD3
    Key = [ ] / list of SI of each EC
    Values = [ ]
    for each EC in data records **do**
        Value = Value.append (QI)
        Key = All_SI (value)
end for

Source: Authors, (2026).

III.2.4 Generalization process

III.2.4.1 Calculate Score (G)

Our Bottom-Up Generalization approach traverses the generalization hierarchies from the leaves to the root. It iteratively performs generalizations deemed optimal in the sense that they best preserve the quality of the information while achieving the desired anonymization model. Each optimal generalization is selected from a set of candidate generalizations. A generalization is considered optimal if it yields the highest score, determined by applying the IL/AG (Information Loss/Anonymity Gain) trade-off metric, which is used to assess the loss of information concerning classification and the security gain associated with anonymization. The formula (01) used to calculate the score of a generlization G, denoted as Score(G), is as follows:

$$\text{Score(G)} = 1 + \frac{IL\ (G)}{AG\ (G)}, \qquad \text{AG} \neq 0 \qquad (01)$$
$$IL\ (G)$$

InformationLoss IL(G) corresponds to the loss of information following the generalization G (equation 2). It is defined as follows:

$$IL\ (G) = Entropy\ (Rg) - \sum_{di} \frac{|Rdi|}{|Rg|}\ Entropy\ (Rdi) \qquad (02)$$

Where Rg (respectively Rdi) represents the set of records containing the value g (respectively the value di). Entropy(Rx), where x ∈ {g,di}, corresponds to the entropy of the set Rx. It is calculated as follows:

$$Entropy\ (Rx) = -\sum_{cls} \frac{freq(Rx, cls)}{|Rx|} \times \log_2 \frac{freq(Rx, cls)}{|Rx|} \qquad (03)$$

Where freq (Rx,cls) represents the percentage of individuals belonging to the class labeled cls within Rx. AnonymityGain AG(G) corresponds to the anonymity gain that could result from the performing of generalization G. Intuitively, this measure is calculated by comparing the degree of anonymity of a table before and after the application of generalization G. Formally, it is equivalent to:

$$AG\ (G) = Anonymity\ (T, after\ G) - Anonymity\ (T, befor\ G) \qquad (04)$$

Anonymity (T, after G) corresponds to the size of the smallest equivalence class (the equivalence class containing the fewest individuals sharing the same QI) of T after the application of G, and Anonymity (T, before G) corresponds to the size of the smallest equivalence class of T before the application of G.

III.2.4.2 Choosing the optimal G

At each iteration, the generalization process algorithm selects, from a set of candidate generalizations, one that is considered optimal based on the score(G) metric (Algorithm 2). The selected generalization is then applied to the table undergoing anonymization

Algorithm 2: Generalization process.

Input : RDD3, ECs
Output : (key, value) pairs as RDD4
while *Node* is not overlowed **do**
for all generalization G **do**
compute *ScoreG*
end for
determine the optimal generalization G_{opt}
generalize ECs by G_{opt}
end while

Source: Authors, (2026).

As a result, the outcome of this phase is recorded in RDD4 as <Key, G_{opt}>. Here, “Key” denotes the set of distinct Sensitive Identifiers within the equivalence class, while “G_{opt}” represents the optimal generalization determined by the highest score.

III.2.5 Split process

III.2.5.1 Selecting the best dimension

In this phase, the emphasis is on determining the most suitable axis dimension for splitting nodes. Given that data records are distributed across multiple worker nodes, this selection must occur in parallel, with each node independently determining its split axis. This approach leverages the criteria outlined in the Mondrian algorithm, aiming to maximize data partitioning while adhering to privacy constraints. The axis dimension selected is the one associated with the widest domain attribute, as a broader range improves the chances of identifying an optimal split point and enhances the potential for effective data partitioning. Consequently, the outcome of this phase is stored in RDD6 as <Key, Att>, where "Key" represents the set of distinct Sensitive Identifiers within the equivalence class, and "Att" indicates the attribute chosen for splitting.

III.2.5.2 Node splitting

In this phase, node splitting is performed on the overloaded node (Algorithm 3). The main goal is to find an appropriate partition for a node with an excess of data records DR while ensuring compliance with privacy constraints. To facilitate the node splitting process, the following steps are undertaken:

Step 1: The partitions determination: The algorithm focuses on splitting overloaded leaf nodes containing bounds of equivalence classes initially inserted for k-anonymity tables. The aim of the split is not only to divide the node but also to minimize overlap between resulting partitions, thereby enhancing data utility. To achieve this, the approach involves separating the two partitions around the median value of the split attribute. This step is illustrated in figure 2 as an example. In the chosen attribute "Age," the median value is identified as the partitioning point. This result in two distinct partitions: the first containing records with ages less than the median, and the second containing records with ages greater than the median.

Step 2: Checking the Privacy Requirement: In this step, the data is partitioned as extensively as possible while still meeting the l-diversity model, in order to minimize information loss. The key criterion here is to classify all data records such that each partition contains a minimum of k elements, and each equivalence class (EC) contains at least l distinct sensitive values. It's important to note that the process of partitions determination is repeated until both partitions satisfy the l-diversity model.

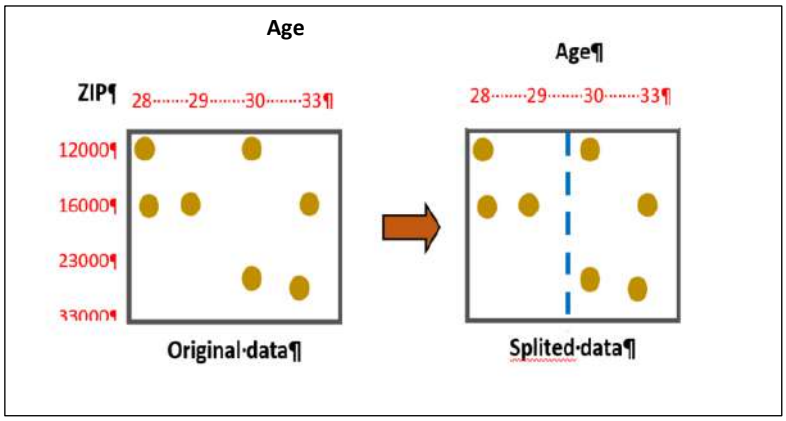


Figure 2: The partitions determination.
Source: Authors, (2026).

Algorithm 3: Node splitting.

Input : RDD5,
Output : Part 1 and Part 2
Step 1: The partitions determination
for each best attribute Att **do**
compute median ***m*** of Att
Selecting ***m*** as splitting point
Dividing the overlowed node from the splitting point into two new partitions
Part 1 containing DR smaller than **m** and part2 containing DR greater than **m**
end for
Step 2: Checking the privacy on static data
if (k<count_Partj) and (l<= labels) **then**
Generating final node splitting
else
➔Steps 2 is called

Source: Authors, (2026).

IV. EXPERIMENTAL EVALUATION

IV.1 EXPERIMENTAL CONFIGURATION AND DATASET

In our experiments, we employed the "Adults" dataset from the UCI Machine Learning Repository, which contains 48,842 records and 14 attributes. For quasi-identification purposes, we focused on the attributes of age, occupation, relationship, education, and workclass. The sensitive attribute in our analysis was disease. The taxonomy structures used for both quasi-identifiers and the sensitive attribute align with those outlined by [24]. To accommodate the large-scale data requirements of our implementation, we expanded the dataset by randomly augmenting it based on the selected quasi-identifiers, thereby generating additional records. A comprehensive overview of the resulting "Adults" dataset is presented in Table 1

Table 1: Adult producing table.

Dataset	Number of data records	Size
Adult 48k	48842	1.5 MB
Adult 500K	500 Thousand	15 MB
Adult 1M	1 Million	31 MB
Adult 10 M	10 Million	295 MB

Source: Authors, (2026).

IV.2 INFORMATION LOSS

The primary goal of a data publisher is not only to safeguard data privacy but also to preserve its utility. To quantify the extent of information loss caused by the generalization process, a parameter known as information loss is utilized. Several metrics can be employed to compute this parameter; however, in the context of big data, the Normalized Cardinality Penalty (NCP) metric is regarded as the most appropriate, surpassing other measures proposed by researchers such [25] and [26]. Equation (5) presents the formula for calculating the NCP. In the numerator, the difference between the upper and lower domains of attribute m in data record n is subtracted after the generalization operation. The denominator represents the difference between the maximum and minimum values of attribute m across the entire dataset. Here, x and y represent the number of data records and attributes, respectively.

$$NCP = \sum_{n=1}^{x} \sum_{m=1}^{y} \frac{|upper_{nm} - lower_{nm}|}{x.y\,|Max_m - Min_m|} \quad (05)$$

The synthetic Adult dataset was utilized to evaluate the performance of the Mondrian, top-down k-anonymization (TD-K), and bottom-up k-anonymization (BU-K) methods in terms of information loss. Figure 3 presents a visual depiction of the supervised evaluations performed on these methods. The assessments were conducted using a range of values for both k and l, with k varying from 30 to 160, and l ranging from 3 to 6. As depicted in figure 3, the quantity of NCP increases along with the variables k and l for the three algorithms. This increase is attributed to the growing number of data records in each equivalence class. It is also noteworthy that our BU-K proves to be more effective than the Top-down methods in several ways, particularly in minimizing information loss. It operates with finer granularity by starting with the most specific data and only generalizing when necessary, preserving as much detail as possible. Unlike the Top-down approaches, which applie broader generalizations from the outset, BU-K progressively optimizes the generalization process, minimizing unnecessary loss. Additionally, it better preserves data diversity by only anonymizing the data groups that require it, whereas Top-down techniques generalize larger portions of the dataset, reducing variability. Our method also adapts more effectively to heterogeneous datasets, maintaining the unique characteristics of subgroups, while other methods imposes uniform generalization. Finally, experimental results demonstrate that the Bottom-up approach achieves lower information loss, as evidenced by metrics like the Normalized Cardinality Penalty (NCP), which confirm its superiority in preserving data utility.

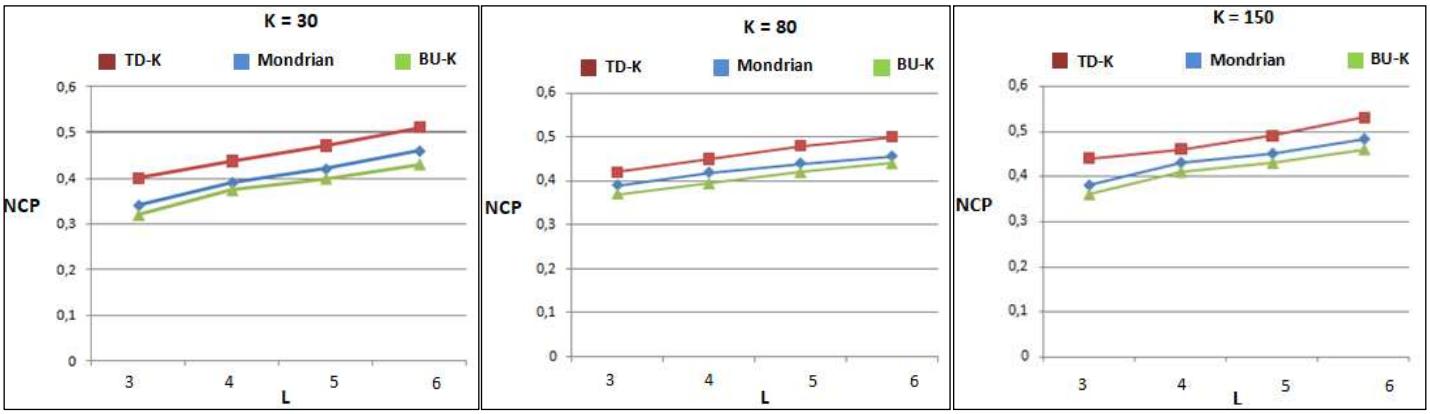


Figure 3: Information loss for different k.
Source: Authors, (2026).

IV.3 CLASSIFIER PERFORMANCE ASSESSMENT

With the growing demand for robust anonymization techniques, the scientific community faces increasing pressure to accurately evaluate the effectiveness of these methods. Traditional anonymization evaluation techniques often fall short, lacking the precision needed to capture subtle differences in the retention of essential data attributes. To address this gap, supervised learning models have emerged as powerful tools, capable of detecting complex patterns and relationships within datasets, thus offering a more comprehensive and detailed evaluation approach [27]. To validate the effectiveness of our proposed method, as shown in Figure 4, both the original and anonymized datasets were subjected to classification. The resulting outputs from the classifiers were then compared to determine the extent to which the anonymization process impacted the classifiers' evaluation metrics. Accuracy was used as the primary criterion for performance measurement and for comparing the results. The supervised learning models employed in this study include Naïve Bayes, decision tree, and random forest. Performance evaluation metrics for the synthetic Adult datasets were gathered, as depicted in Figure 5. Following this, anonymization was applied to these datasets using both the TD-K and BU-K models, with various k values ranging from 30 to 150, to evaluate the effectiveness of the anonymization techniques.

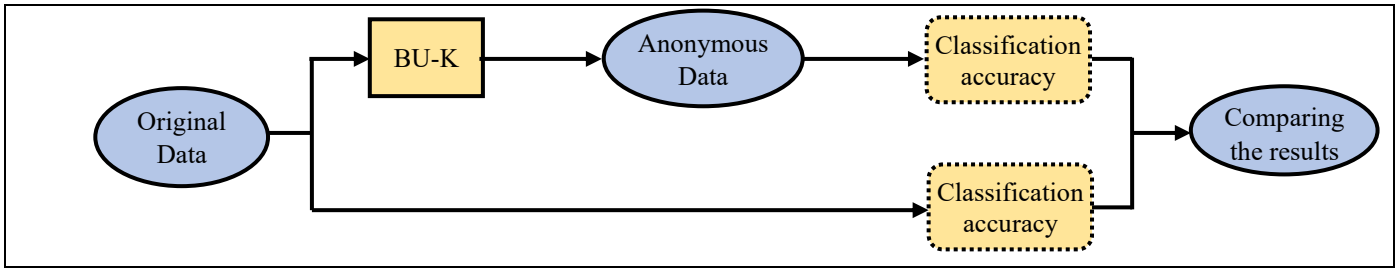


Figure 4: Evaluating classification model outcomes.
Source: Authors, (2026).

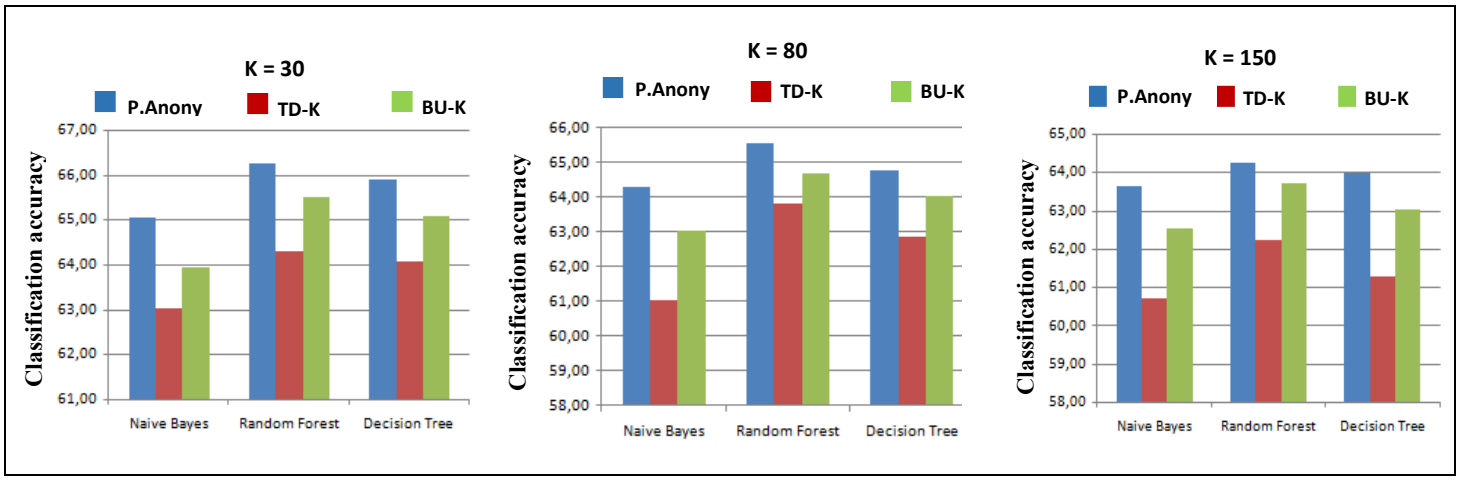


Figure 5: Classification accuracy pre- and post-anonymization for different k.
Source: Authors, (2026).

Given the intrinsic balance between privacy and data utility, the main objective of this study is to improve accuracy while preserving the required level of privacy. As demonstrated in Figure 5, the classifiers achieve their highest accuracy when the k value is set to 30. For the Naïve Bayes classifier, the accuracy rates are 63.03% for the TD-K method and 63.93% for the BU-K method. These

figures reflect decreases of 2.01% and 1.11%, respectively, when compared to the accuracy levels recorded prior to the anonymization process (P.Anony).

For the Random Forest classifier, the accuracy rates are 64.30% for the TD-K method and 65.51% for the BU-K method, representing decreases of 1.95% and 0.74%, respectively. Similarly, for the Decision Tree classifier, accuracy rates of 64.08% for TD-K and 65.07% for BU-K were recorded, with reductions of 1.80% and 0.81%, respectively, compared to pre-anonymization accuracy levels (P.Anony). These results clearly indicate that the accuracy reduction in our proposed approach (BU-K) is significantly smaller compared to the TD-K method. The Bottom-Up k-anonymization (BU-K) method outperforms the Top-Down k-anonymization (TD-K) approach in classifier performance due to its granular and targeted generalization strategy, which minimizes information loss and preserves critical data attributes. This leads to improved accuracy for classifiers trained on BU-K anonymized data. In contrast, TD-K's broader generalizations result in greater information loss and reduced classifier effectiveness. Overall, BU-K's adaptability to heterogeneous datasets and its ability to maintain data diversity contribute to its superiority in machine learning applications.

IV.4 RUNNING TIME

Apache Spark is a high-performance ecosystem specifically designed for processing large datasets, with one of its key advantages being its capability to store intermediate data in memory. This reduces the frequency of read-write operations and allows applications to execute up to 100 times faster than those using in-memory MapReduce and up to 10 times faster than those running on disk. However, it is crucial to recognize that comparing the execution time of MapReduce-Mondrian with our approach may not be methodologically appropriate, even if the tests are conducted under identical configurations. This is because the execution models and optimization techniques inherent to each system are fundamentally different, which can significantly affect performance outcomes [21]. Figure 6 presents a comparison of execution times between the proposed Bottom-up k-anonymization (BU-K) and Top-down k-anonymization (TD-K) methods, using a synthetic adult dataset. Running times, measured in seconds, are evaluated across different anonymization configurations with varying k values (30, 50, 80, and 100). To assess scalability, both methods are tested on datasets of varying sizes: Adult 500K, Adult 1M, and Adult 10M.

In the implementation phase of our study, we thoroughly evaluate the running time efficiency of the Bottom-up k-anonymization approach compared to the Top-down k-anonymization method, both within the Apache Spark environment. The findings reveal that the Bottom-up approach consistently exhibits superior performance in terms of execution time. This efficiency stems from its incremental and targeted generalization strategy, which processes data in a more refined manner by focusing solely on the specific areas requiring anonymization. Consequently, this reduces the computational overhead associated with unnecessary data operations. In contrast, the Top-down method begins with broad generalizations, which increases the volume of data that must be processed and thus leads to higher execution times. Our experiments, conducted across datasets of varying sizes demonstrate that the BU-K approach scales more effectively, showing reduced execution times even as dataset sizes grow. This enhanced performance underscores the Bottom-up method's advantage in efficiently managing large-scale data anonymization tasks, making it a more time-efficient alternative to the TD-K approach.

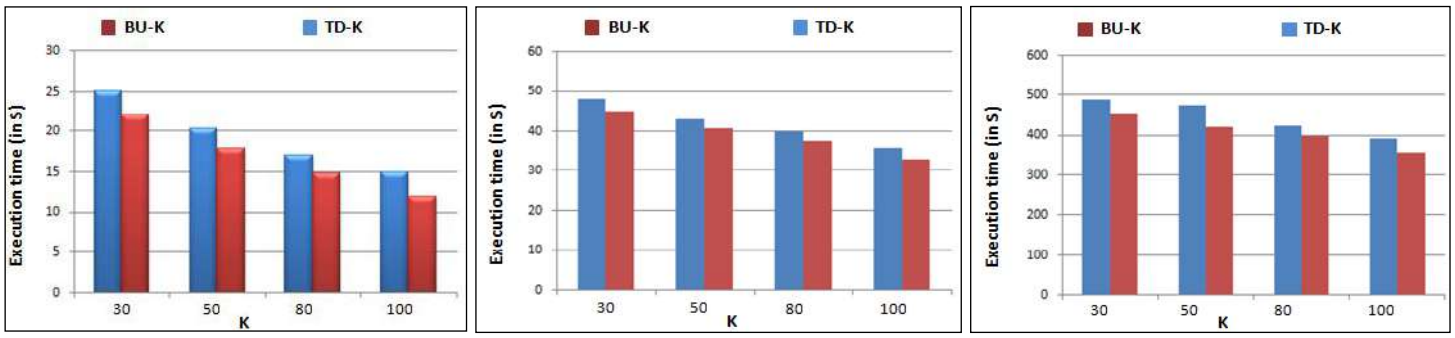


Figure 6: Running time for different Adult size.
Source: Authors, (2026).

V. CONCLUSIONS

This paper presented a Bottom-Up k-anonymization (BU-K) method implemented with Apache Spark to enhance the scalability and efficiency of data anonymization for large datasets. By leveraging Spark's distributed processing and using the Bottom-Up Generalization (BUG) approach, we achieved faster processing and better data utility preservation compared to traditional methods. Our results confirm the BU-K framework's effectiveness in balancing privacy and performance, making it ideal for large-scale data sharing. Future work could explore additional privacy models. Additionally, optimizing the framework for further reductions in computational overhead and expanding its application to other distributed platforms could pave the way for broader adoption in real-world data anonymization tasks.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Abderrahmane Saidi, Salheddine Kabou.
Methodology: Abderrahmane Saidi, Salheddine Kabou, Imad eddine Kimi.
Investigation: Salheddine Kabou, Abderrahmane Saidi.
Discussion of results: Salheddine Kabou, Imad eddine Kimi.
Writing – Original Draft: Salheddine Kabou, Abderrahmane Saidi.
Writing – Review and Editing: Salheddine Kabou, Imad eddine Kimi.
Supervision: Salheddine Kabou, Imad eddine Kimi, Laid Gasmi.
Approval of the final text: Salheddine Kabou, Abderrahmane Saidi.

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RESEARCH ARTICLE OPEN ACCESS

C2DR-VAE: ADAPTIVE RECOMMENDATION FRAMEWORK VIA CLUSTER-CONDITIONED AND DYNAMICALLY REFINED VARIATIONAL AUTOENCODERS

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ABSTRACT

Recommendation systems are crucial to customer interaction in the digital realm and nevertheless, it continues to face the old classic issues of the cold start problem, scalability, and capacity to keep up with rapidly evolving customer preferences. This study presents a new adaptive, scalable, and privacy-aware recommendation system C2DR-VAE (Cluster-Conditioned and Dynamically Refined Variational Auto-Encoder), which combines clustering and generative modeling dynamically. First, the data of user-item interaction is clustered with the K-means to create behaviourally consistent clusters, which also serve as previous knowledge to the VAE. These clusters are optimized upon training through the proposed structure, as opposed to the traditional means of training that employs a fixed preprocessing, by dynamically updating the centres of the clusters at a specified frequency, with the learned latent embeddings. This dynamically refining process will allow the model to dynamically update dynamically changing-user behaviors and learn the representation of the model efficiently. C2DR-VAE addresses issues of cold start sparsity based on a mixture of robust data-driven clustering and the generative capability of VAEs, albeit with high scalability to large data sets and high-quality personalized recommendations with dynamic environments. In order to be robust, the framework is tested with cross-domain transfer experiments across various domains. Evaluation is conducted through an integrated framework that combines standard accuracy and ranking measures, user-centric metrics and system-level performance indicators to comprehensively assess both the scalability and effectiveness of the developed model. The specified framework fosters the studies of the recommendations that offer user-centered, domain-strength and self-enhancing solution.

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I. INTRODUCTION

The Recommender systems have become an indispensable part of the virtual world of the modern era and they have played a crucial role in helping the users navigate through the lengthy collection of materials, goods, and services. With an explosion of online data taking place, it is not that unusual that individuals become on the one hand overwhelmed by the sheer amount of information, and it can be significantly more difficult now than it was previously to locate something that is in fact relevant towards the growth and development of the individual concerned. Recommender systems overcome this problem by understanding and ranking items in a customized manner and therefore information overload is reduced and decision-making process can be simplified. Through the personalized recommendations, the users will be in a position not only to access the related items within seconds, but also to access new materials that could otherwise have not been made available to the user. This improves user satisfaction, interest and more digital experience [1]. Speaking of business, the recommender systems are also invaluable since they directly impact the customer retention rate, conversion rate, and revenue in general. The personalization of the content and the products to the users helps the businesses to establish

long term loyalty and brand reputation. Already, such companies as Amazon, Netflix, Spotify, and Google have worked out industry norms of an unhindered integration of the recommendation technologies into their system.

Amazon uses the recommendation algorithms to drive product discovery and cross-selling potential in which at Netflix; personalization recommendations are the key to user interaction and retention. Likewise, Spotify has been applying the concept of the recommendation system to generate the curated playlists and Google has been applying to the most efficient content delivery in several of its services. These examples show the necessity to see recommender systems not only as tools making business development more convenient but also as tools that are easy to use [2]. The paradigm shift that comes with the deep learning technique is that the models of the recommendations are not based on the statistical techniques but rather advanced neural networks. Contrary to the past methods where there were wide applications of the linear correlations, the deep neural networks can be in a position to identify the latent features on top of the intricate and non-linear relationships between the users and items. This has contributed significantly to precise recommendation and minimized the application of alternative modalities of input such as text, images, audio and user behavioral patterns. The innovations have also positively influenced areas such as e-commerce, health informatics, social platforms in the Internet, e-learning, and these days with deep learning the systems can now offer more contextual and fine-grained suggestions [3].

Other types of deep learning models that have become especially powerful include generative models and, the other one, recommender systems. In specific, variational Autoencoders (VAEs) have been especially popular due to their probabilistic character, which enables them to learn deep latent representations, and their performance with sparsity yields high performance (which is often a significant challenge in practice in recommendation settings). VAEs can also be used to model uncertainty of user preferences, particularly when it comes to incomplete or noisy data through Bayesian inference. Besides this, they are also applicable in activities that require recommendation since the information can be based on written reviews, object information or images based on the multimodal form of learning. VAEs have been found to be incredibly prospective in the aspect of enabling the quality of the recommendations made by generating latent representations, which are latent type of interaction between the user and item [4]. Despite the progress, there are still several issues that trouble the recommendation systems, limiting their usage and effectiveness in a large and constantly evolving environment. Among them, one of the most famous is the cold-start problem, when the previous information about new users or objects is scarce or absent. The conventional collaborative filtering approaches that rely on previous experiences to make meaningful suggestions cannot deal with such cases well because they lack the historical data that they need.

Content-based techniques attempt to solve this issue by emphasizing the properties of items but they tend to overemphasize the similarity and thus result in redundant and homogenous recommendations and ignore the diversity instead [5-7]. The other challenge can be attributed to the integration of heterogeneous item features including categorical metadata, textual descriptions, user reviews and visual content. The majority of current VAE-based techniques solve it by merely fusing features in latent space or splicing them together. But this simplistic fusion does not separate the similar and different things about each modality, and thus does not allow the learned representations to be as expressive. As an example, when it comes to online shopping, a user can attach more importance to textual discussion of functionality, whereas another user can think of product images. Existing approaches do not often capture these user-related preferences of different types of items, which leads to less personalized recommendations and the lack of correspondence to the specific decision-making behavior of the individual [8],[9]. Besides the issues of accuracy and personalization, one can also find the issues of computational and scale. Most of the existing frameworks need the retraining of the base recommenders together with the joint retraining each time new data is available which creates inefficiencies in implementation. Large platforms with millions of users and products may find this retraining procedure to be unreasonably time- and resource-intensive.

This is not only leading to higher operating costs but also slowing the system to respond to quickly evolving user preferences which is compromising its suitability in dynamic environments [10]. To address these limitations, this work presents a new recommendation system called C2DR-VAE (Cluster-Conditioned and Dynamically Refined Variational Auto-Encoder), which is a hybrid recommendation system that dynamically and jointly integrates generative modeling and clustering. This method starts with a clustering of user-item interaction data with K-means to generate behaviourally homogeneous clusters which act as prior knowledge to the VAE. In contrast to conventional methods, which reify these clusters in preprocessing, C2DR-VAE variably optimizes these clusters during training by periodically updating cluster centres with latent embeddings. This refinement helps the model to adjust constantly with the changing user preferences without losing the usefulness in terms of learning to represent. Through the combination of powerful data-driven clustering and the generative nature of VAEs, C2DR-VAE can successfully address the cold-start problem, can effectively expand to extremely big data sets and generate excellent suggestions for people in situations that are constantly changing. The structure is also confirmed by the experiments of cross-domain transfers in movies, e-commerce, and music which proves that it is not only robust but versatile.

Contribution of the proposed work:

- To introduce C2DR-VAE, a new recommendation network, which combines clustering with generative models to do adaptive, scalable, and privacy-conscious personalization.
- To propose dynamic cluster refinement, the centres of clusters are updated periodically based on learned latent embeddings to reflect changing user behaviors.
- To give a robust solution to the cold-start problem by using the strength of data-driven clustering and the generative power of VAEs, which assures successfully generated suggestions even in the situation of sparse data.
- To ensure scalability and efficiency, with minimal training duration, inference latency and memory consumption in large scale deployments.
- Shows cross-domain robustness, which is demonstrated by experiments on movies, e-commerce, and music systems, confirmed by accuracy, ranking, diversity, novelty, serendipity, and system-level performance values.

The following is the structure of the remaining sections of this work. Section 3 elaborates on the proposed job, whereas Section 2 reviews relevant literature. In section 4, the effectiveness of the work is evaluated and the results are elucidated. Section 5 concludes the work.

II. LITERATURE SURVEY

According to [11] proposed cold-start user recommendation (VM-Rec), a variational mapping model that maps a limited number of first encounters to expressive embeddings of cold-start users. In particular, they coded the original interaction into latent representation, with any dimension disentertially indicating the extent to which it is associated with any warm user. The parameters of the mapping function were then used to map (decode) this latent representation to an expressive embedding. This embedding can then be included in a pre-trained recommender model. Cold-warm migration user saleability inconsequential due to reliance on initial interactions. According to [12] proposed a generative model named as Multi-Modal Multi-View Variational AutoEncoder (M^2VAE), to address user preference in single-typed item features and modelling of common and unique views in attribute and multi-modal features. In order to rebuild a common representation, we particularly build type-specific latent variables on item IDs, categorical attributes and image features along with Product-of-Experts (PoE). Disentangled contrastive loss preserves feature informativeness while decoupling the common view from individual perspectives. Difficulty in the training process of models and overfitting of high-dimensional data. In [13] presented i^2VAE, an innovative framework for variational auto-encoders that uses mutual information-based regularizers to support user interest learning. i^2VAE achieves great efficacy across all categories and performs better for both long-tailed and cold-start users.

Specifically, a pseudo-sequence generator that is learnt with the aid of a denoising regularizer eliminates noise and clarifies significant interest signals. Makes the assumption that cross-domain data is available, which is not always possible. For [14] came up with a model that they named the Disentangled Variational autoencoder Social Recommendation (DVSR) to isolate the social and interest aspects of the two types of user representations. They begin by conducting a preliminary examination of the mixed-up information of three social recommendations famous datasets. Then they introduce the DVSR model architecture that is premised on the VAE. They also penalise the mutual information between interest and social factors by contrastive estimation in addition to the traditional method of training VAE. However, this might not adequately convey how dynamic social relationships are. According to [15] developed a hybrid VAE model that they referred to as Hierarchical Constrained Variational AutoEncoder Jointly Attributes and Neighbors (HiCVAE). To be more exact, with the help of learning a hierarchical prior rather than standard Gaussian prior, the HiCVAE also employs the behaviours of the fine-grained neighbours as auxiliary knowledge to make the user preference representation stronger and richer depending on the attribute data.

The probabilistic nature of the attribute data prior is the reason why the community will prefer a cluster of similar attributes. Also, the conditional prior of the neighbourhood data may give more constraints to the novel user preference representation and represent the personal information. The implementation of constraints may make the optimization of models difficult. According to [16] introduced a new social recommendation framework, Social Importance and Category Enhanced Cold-Start User Recommendation System (SICERec). Initially, cold-start user potential preference information is added to related user modules, which takes user preference information based on the past interaction user item information. Then, user centrality attributes are factored into the context of considering the importance of users within social networks, thus adding semantic content to users. Finally, to improve the semantics of things, the modelling approach incorporates the user history interactive item information as a category. It might not be found applicable to other areas as it is based on specific features. Introduced a new method named Multimodal Quantitative Language for Generative Recommendation (MQL4GRec). Their primary idea is to translate things from many modalities and domains into a common language that may be utilised to transmit recommendation information. Specifically, they introduce quantitative translators first, who transform contents of texts and images in items of different domains into a new and compact, and quantitative language, all items are using the same words.

They then elaborate a number of the quantitative language generation tasks to add semantic data and prior knowledge to quantitative language. Finally, they use pre-training and fine-tuning to transfer recommendation expertise across domains and modalities to the recommendation job. It is difficult to align disparate data sources [17]. According to [18] provided the description of the latest changes in the field of the recommender systems. This study is aimed at the discovery of the new advances in the development of recommender systems and a concise survey of the contemporary state in the sphere. The paper begins by reviewing the general taxonomy of the recommender systems including personalised and group recommender systems before getting deeper into the multiple varieties of knowledge-based recommender systems. Additionally, the study highlights the assessment criteria used to gauge the recommender systems' effectiveness and looks at issues with robustness, data bias, and fairness. Lastly, the research gives an overview of the recent trends in recommender system development and sheds some light on the new horizons of the future research on the topic. According to [19] drew attention to the cold-start problems of recommender systems, where user interaction is limited, and it is hard to predict preferences. The paper has stressed the fact that collaborative filtering is based on explicit user ratings, which may be problematic in terms of privacy whereas alternative methods such as content based may provide an estimation of preferences based on item features without necessarily sharing any data.

Recent studies have shown that the use of graph-based and hypercube models can effectively forecast the preference of users with minimal ratings whilst conserving the privacy and minimizing the computational costs. In [20] introduces the Causal Disentangled Variational AutoEncoder (CaD-VAE), a novel method that uses the interaction data in recommender systems to build causal disentangled representations. The CaD-VAE methodology considers the causal connections between the semantically linked components in a real-world recommendation environment, which sets it apart from the existing disentanglement approaches. The method creates causal representations that explain the causal linkages among latent elements using structural causal models, without explicitly addressing multimodal data integration. In order to forecast the actions of new users without any involvement, [21] presented a novel user preference uncertainty modelling approach known as Disentangled-feature and Composite-prior VAE (DC-VAE). The length-adaptive similarity measure, which is based on the length of user activities and social connections, explicitly selects more comparable neighbours for each

user, especially new users, because the metric takes social structures and social semantics into account. Its utility in larger contexts may be limited by its tailored social recommendation.

II.1 RESEARCH GAP:

Recently, VAE-based recommender systems have shown promise in tackling sparsity, multimodal integration, and personalisation; nevertheless, significant gaps remain that have not yet been addressed. Most models have a cold-start problem, because they heavily use historical data, thus their advice is less useful to new users or items. Further, majority of multimodal and VAE-based systems incorporate a fix feature fusion, which does not dynamically reflect changing user preference and result in less expressive latent representations. Scalability is also an issue, as retraining a large computational system often adds computational overhead. To fill these gaps, this work presents C2DR-VAE which is an enhancement based on the dynamic clustering algorithm and variational autoencoders allowing the adaptive refinement of latent embeddings, better coping with cold-start cases, and learning on a variety of domains without the need to scale it.

III. PROPOSED METHODOLOGY

This work proposes a new adaptive, scalable, and privacy-aware recommendation system named as Cluster-Conditioned and Dynamically Refined Variational Auto-Encoder (C2DR-VAE), which combines clustering and generative modeling dynamically.

III.1 DATASET COLLECTIONS

Three real-world datasets from different industries—movies, e-commerce, and music—will be used in the trials to evaluate the efficacy of the proposed C2DR-VAE architecture. These data sets are actively chosen to have a wide range of recommendation settings of different sparsity, density, and item diverse settings; thus, guaranteeing a thorough review of the model performance. The user-item interactions in each dataset case are divided into training and testing sets at random, with 30% of interactions being used for testing and 70% of interactions being used to train the model. This cross-domain standard is there to provide strong evaluation and fair comparison. The initial one is MovieLens [22] that has been regarded as the standard in the field of recommendation systems. It is based on explicit user ratings of films and has a comparatively dense set of interactions, which means it is appropriate to the analysis of structured entertainment content in which the preferences of the users are explicitly stated. The second dataset is the Amazon Product Reviews dataset [23], which describes the experience of users of a massive online store.

In contrast to MovieLens, the Amazon data is incredibly sparse because of the abundance of the products and the inconsistency of user purchases across categories. This scarcity causes it to be a difficult space to recommend in that the model must predict over a large range of user actions and product categories. The third dataset is Last.fm [24], which is a collection of implicit user feedback in the music field. Not in form of explicit ratings, the dataset does have user listening histories, which gives an alternative view on the modeling of the user preferences. Users tend to listen to the same content many times and hence the data is sparse and irregular, posing distinct difficulties in learning about user-item relationships. Using datasets of movies, e-commerce, and music, we now have a large range of real-world recommendation situations. The differences in density, sparsity, and type of feedback between these datasets enable us to critically test the generalization, adaptability and cross-domain performance of the proposed C2DR-VAE model.

III.2 PROPOSED CLUSTER-CONDITIONED AND DYNAMICALLY REFINED VARIATIONAL AUTO-ENCODER (C2DR-VAE)

The proposed C2DR-VAE contains five major steps, (1) Data Preparation, (2) Initial Clustering with K-Means, (3) Cluster-Conditioned VAE, (4) Dynamic Cluster Refinement, and (5) Personalized Recommendation Generation. Figure 1 shows the proposed C2DR-VAE framework.

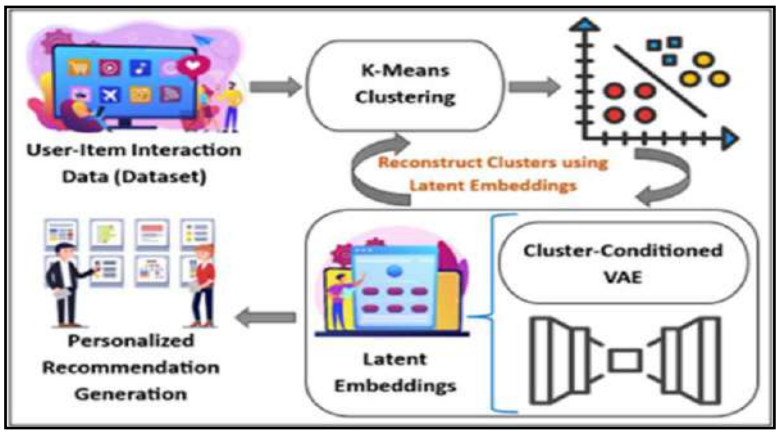


Figure 1: Proposed C2DR-VAE framework.
Source: Authors, (2026).

III.2.1 Data Preparation

The first stage of the suggested C2DR-VAE methodology is data preparation, which involves converting unstructured user-item interaction data into a format that can be used for deep generative modelling and clustering. Recommendation datasets are usually described by a user–item interaction matrix $R \in R^{M \times N}$, where M is the number of users, N is the number of items, and each element r_{ui}

represents user *u*'s explicit or implicit remarks on item *i*. Whereas clicks, purchases, or listening history are examples of implicit feedback, ratings (such as 1–5 stars) are examples of explicit feedback. Preprocessing attempts to minimise noise and provide consistent representations because these matrices are extremely sparse.

All feedback values are normalised into a standard range, such [0,1], to create uniformity and guarantee user comparability. Feedback for implicit datasets is frequently binarized, using $r_{ui} = 1$ denotes an interaction, and $r_{ui} = 0$ in every other case. The user vector that is produced is written as Equation (1):

$$x_u = \{r_{u1} z r_{u2}, \dots, r_{uN}\},\ x_u \in \mathbb{R}^N \tag{1}$$

where x_u records user u's interaction profile for every item. The variational autoencoder can discriminate between observed and unseen values during training because missing entries are handled as unobserved interactions rather than genuine zeros. For every dataset scenario, the user-item interactions are split into training and testing sets at random, with 70% of interactions going towards model training and 30% towards testing. The model can learn latent embeddings and cluster structures from the training set, and its generalisation to unknown user-item interactions is assessed using the test set. For later processes like clustering and variational autoencoding, this preparatory phase guarantees an impartial and fair assessment.

III.2.2 Initial Clustering with K-Means

After the user-item interaction vectors are ready, the next step in the C2DR-VAE framework is to cluster users, based on similar behavioral patterns, by using K-Means clustering. This step offers a cluster-conditioned architecture which serves as prior-knowledge to the variational auto encoder. The model can achieve this by following group-level similarities by grouping user embeddings and in this way, reduce the sparsity of data and personalize better users with limited interaction history. The collection of user vectors is divided by the K-Means method as follows: $\{x_1, x_2, \dots, x_M\}$, by reducing the sum of squared distances between users and the cluster centroids they have been allocated, into K clusters. The objective function in mathematics as in Equation (2):

$$J = \sum_{u=1}^{M} \min_{1 \le k \le K} \| x_u - \mu_k \|^2 \tag{2}$$

where:

- $x_u \in \mathbb{R}^N$: interaction vector of user u
- $\mu_k \in \mathbb{R}^N$: centroid of cluster k
- K: total number of clusters

There are **two primary steps** in the algorithm's iterative process:

Assignment step: Based on Euclidean distance, each user u is paired with the closest cluster centroid as in Equation (3).

$$C_u = \arg\min_k \| x_u - \mu_k \|^2 \tag{3}$$

Where C_u is the cluster assignment of user u. **Update step:** The mean of all users allocated to a cluster is used to update each cluster centroid as in Equation (4):

$$\mu_k = \frac{1}{|C_k|} \sum_{u \in C_k} x_u \tag{4}$$

Where C_k is the group of users that cluster k has been assigned Until convergence—that is, when cluster assignments remain constant or when the objective function J decreases below a certain point—these two phases are repeated. Each user is linked to a cluster membership as a result of this step. C_u. Therefore, there is a typical centroid μ_k for every cluster. Then. In the cluster-conditioned VAE stage, these centroids act as behavioural priors, allowing the model to include preference patterns at the individual and group levels. By lowering noise and using common structures across comparable users, this method enhances representation learning, which is especially advantageous when dealing with sparse interaction data. Figure 2 shows the K-Means Clustering concept.

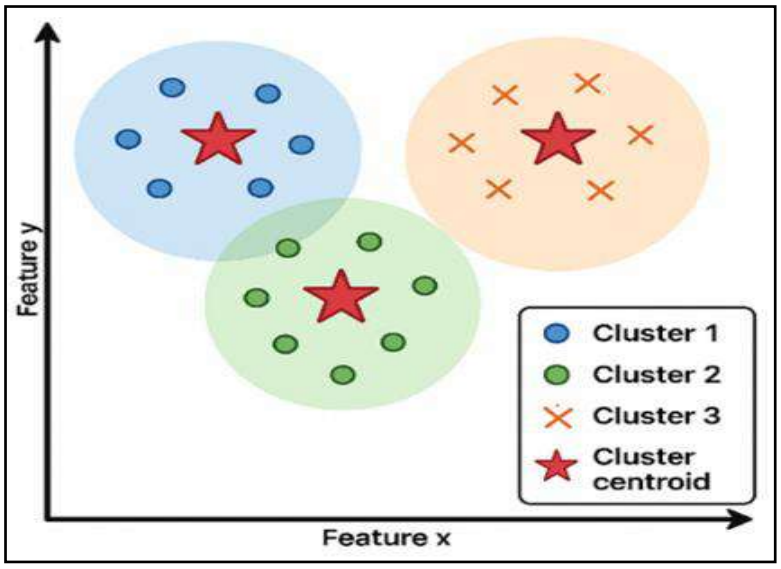


Figure 2: Concept of K-Means Clustering.
Source: Authors, (2026).

III.2.3 Cluster-Conditioned VAE

The Cluster-Conditioned VAE is a suggested framework that extends the traditional VAE by conditioning the latent space based on the cluster information derived from the K-Means stage. A typical VAE uses a Gaussian prior $p(z) = N(0, I)$ to construct a latent variable (z) from which user–item interactions (x) is encoded. This presumption, however, disregards user diversity. In order to solve this, C2DR-VAE adds a cluster-dependent prior for every user, so that if user u is a member of cluster c, then the Gaussian prior is in Equation (5):

$$p(z \mid c) = N(\mu_c, \Sigma_c) \tag{5}$$

where $\mu_c$and Σ_c are the mean and covariance estimated from the cluster c. This makes sure that the representations latent are shaped by the individual interaction data as well as aligned with the behavioral features of the cluster to which the latent representations belong. The posterior distribution is roughly represented by the encoder network as in Equation (6):

$$q_\phi(z \mid x, c) = N(z; \mu_\phi(x, c), \sigma_\phi\text{^}2\ (x, c)I) \tag{6}$$

where $\mu_\phi(x, c)$and $\sigma_\phi(x, c)$ are the outputs of the encoder parameterized by ϕ, and explicitly conditioned on both the input (x) and its assigned cluster (c). The decoder then reconstructs the interaction profile using Equation (7):

$$p_\theta(x \mid z, c) = \prod_{i=1}^{|I|} Bern(x_i \mid \sigma(f_\theta(z, c)_i)) \tag{7}$$

where $f_\theta(z, c)_i$is the decoder's raw score for item i, and $\sigma(\cdot)$turns it into a probability of interaction. The parameter set θ incorporates the cluster context c into the generation process, allowing the model to generate recommendations conditioned on the cluster-level user information. The training objective follows the **variational lower bound (ELBO)** but extended with cluster conditioning as shown in Equation (8):

$$L(\theta, \phi; x, c) = E_{q_\phi(z|x,c)}[\log p_\theta(x \mid z, c)] - D_{KL} q_\phi(z \mid x, c) \parallel p(z \mid c)) \tag{8}$$

where the latter regularises the learnt posterior to be close to the cluster-specific prior, and the former is the decoder's reconstruction accuracy. The formulation makes sure that latent variables (z) are able to integrate personalized preferences and cluster-level signal of behavior, which further improves the accuracy of the recommendations, provides diversity, and solves the sparsity and cold-start issue in a much better manner than traditional VAEs. The architecture of Cluster-Conditioned VAE is shown in Figure 3.

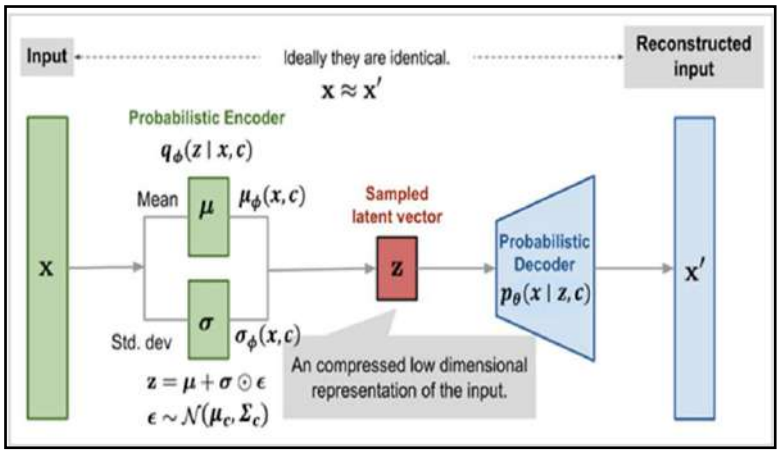


Figure 3: Architecture of Cluster-Conditioned VAE.
Source: Authors, (2026).

III.2.4 Dynamic Cluster Refinement

Using K-Means on raw user–item interaction data, the first user clustering was carried out in Step (2) (Section 3.2.2). Although this offers a rough classification, these clusters frequently fall short in identifying intricate, non-linear trends in consumer preferences. To get around this limitation, C2DR-VAE introduces dynamic cluster refinement, which updates cluster assignments on a regular basis using the richer latent embeddings obtained from the Cluster-Conditioned VAE in Step (3) (Section 3.2.3). *Motivation* Since the first clusters are based solely on surface-level interactions, there may not be any underlying semantic or behavioural similarities between the users. Upon Cluster-Conditioned VAE training, each user u receives some latent representation. $z_u \in \mathbb{R}^d$ that wraps up semantic characteristics and complicated patterns of preferences. The model can more accurately cluster users thanks to clustering in this latent space, and recommendations may be modified dynamically as the VAE embeddings change. This will make sure that clusters reflect more intrinsic user affinities and not superficial interactions. *Cluster Update using Latent Embeddings*. Let $z_u$denote the latent embedding of user u. Equation (9) is used to repeatedly update the cluster centroids according to the users' current assignment:

$$\mu_k^{(t+1)} = \frac{1}{|C_k^{(t)}|} \sum_{u \in C_k^{(t)}} z_u \tag{9}$$

where:

- $\mu_k^{(t)}$is the centroid of cluster $k$at iteration t,
- $C_k^{(t)}$is the set of users assigned to cluster $k$at iteration t,
- $| C_k^{(t)} |$is the number of users in cluster k.

After updating centroids, each user is re-assigned to the nearest cluster in the latent space by Equation (10):

$$c_u^{(t+1)} = \arg\min_k \| z_u - \mu_k^{(t+1)} \|^2 \tag{10}$$

In contrast to raw interaction data, this phase guarantees that cluster assignments represent the semantic structure recorded by the VAE embeddings.

Integration with VAE Training

Dynamic refinement is integrated into the VAE training process in an iterative feedback loop:

- Train the VAE for a few epochs while keeping cluster assignments fixed.
- Update latent embeddings $\mathbf{z}_u$for all users.
- Recompute cluster centroids $\boldsymbol{\mu}_k$using the updated embeddings.
- Re-assign users to the nearest clusters in latent space.
- Feed the refined cluster priors $\boldsymbol{\mu}_{c_u}$back into the VAE for subsequent training.

Mathematically, this iterative update creates a co-adaptive process:

$$\mathbf{z}_u \longrightarrow \text{Refined Clusters } (\boldsymbol{\mu}_{c_u}) \longrightarrow \text{VAE Training} \longrightarrow \mathbf{z}_u^{\text{new}}$$

Through repeated iterations, the embeddings $\mathbf{z}_u$and cluster centroids $\boldsymbol{\mu}_k$continuously adapt to each other, progressively enhancing the capacity of the model to extract hidden user preferences.

Convergence Criterion

The refinement process is repeated until one of the following conditions is met:

- Cluster assignments stabilize through Eq. (11):

$$c_u^{(t+1)} \approx c_u^{(t)}, \forall u \tag{11}$$

- A maximum number of refinement rounds is reached.

Outcome

Dynamic cluster refinement allows clusters to evolve in response to the latent behavioral patterns of users rather than static initial groupings. This adaptive technique helps overcome issues like cold-start and sparse data, promotes personalisation, and strengthens the durability of learnt embeddings. The model detects minute changes in user preferences and makes sure that recommendations stay pertinent during training by consistently aligning clusters with the latent space of the VAE.

III.2.5 Personalized Recommendation Generation

After obtaining latent user embeddings through the Cluster-Conditioned VAE and refining them with dynamic cluster updates, the C2DR-VAE model generates personalized recommendations. This step translates the learned embeddings and cluster information into ranked item suggestions tailored to each user.

Predicted Preference Scores

For each user u, the decoder network reconstructs predicted scores for all items based on the user's latent embedding z_u and the corresponding refined cluster centroid μ_{c_u} by Equation (12):

$$\hat{\mathrm{x}}_u = f_\theta([\mathrm{z}_u \parallel \mu_{c_u}]) \tag{12}$$

where:

- $\mathrm{z}_u \in \mathbb{R}^d$ represents the latent embedding of user u learned by the VAE,
- $\mu_{c_u} \in \mathbb{R}^d$ is the refined cluster centroid embedding associated with the user's cluster,
- f_θ is the decoder network parameterized by θ, which predicts item ratings or preference probabilities,
- $[\mathrm{z}_u \parallel \mu_{c_u}]$ denotes the concatenation of user and cluster embeddings.

The predicted score $\hat{x}_{u,i}$ shows the likelihood that user u will engage with item i in a favourable way, combining both individual latent preferences and group-level behavioral patterns.

Ranking and Top-N Recommendation

Once scores for all items are computed, items are ranked in descending order of predicted preference as in Equation (13):

$$\mathrm{Rank}_u(i) = \mathrm{argsort}(\hat{x}_{u,i}) \tag{13}$$

Then, as in Equation (14): the top-N items with the greatest projected scores are suggested:

$$R_u = \text{Top-}N(\hat{\mathrm{x}}_u) \tag{14}$$

Here, R_u represents the personalized recommendation list for user u, ensuring that the items most aligned with the user's latent preferences and cluster behavior are prioritized.

Outcome

Step (5) produces personalized, top-N recommendations that integrate both user-specific latent embeddings and the broader behavioral context captured by cluster centroids. The dynamic cluster refinement ensures that recommendations remain adaptive to changes in user behavior over time, providing a balance of personalization, relevance, and responsiveness to evolving preferences.- Conditioned VAE is a suggested framework that extends the traditional VAE by conditioning the latent space based on the cluster information derived

IV. RESULT AND DISCUSSION

In this section, the proposed C2DR-VAE model has been tested on three benchmark datasets that belong to various fields: MovieLens (movies) [22], Amazon Product Reviews (e-commerce) [23], and Last.fm (music) [24] and cross-domain transfer experiments have been conducted. The testing was done against the current methods, such as Existing VM-Rec [11] and Existing HiCVAE [15]. The performance was gauged according to regular accuracy and ranking scores, including MAE, RMSE, Precision@K, and NDCG@K. Moreover, user-centric measurements (Diversity, Novelty, Serendipity) were also taken into account to measure the quality of the recommendations, whereas system-level measures (training time, inference latency, memory usage, etc.) were also documented.

IV.1 ACCURACY AND RANKING METRICS

IV.1.1 Mean Absolute Error (MAE)

Uses Equation (15) to get the mean absolute difference between the estimated and real ratings. At lower values, the better the prediction.

$$\text{MAE} = \frac{1}{N}\sum_{i=1}^{N} | r_i - \hat{r}_i | \quad (15)$$

Where:

- N= total number of predicted ratings
- r_i= actual rating of item i
- $\hat{r}_i$= predicted rating of item i.

IV.1.2 Root Mean Squared Error (RMSE)

Uses Equation (16) to get the square root of the mean squared error between the actual and anticipated ratings. More vulnerable to gross errors.

$$\text{RMSE} = \sqrt{\frac{1}{N}\sum_{i=1}^{N}(r_i - \hat{r}_i)^2} \quad (16)$$

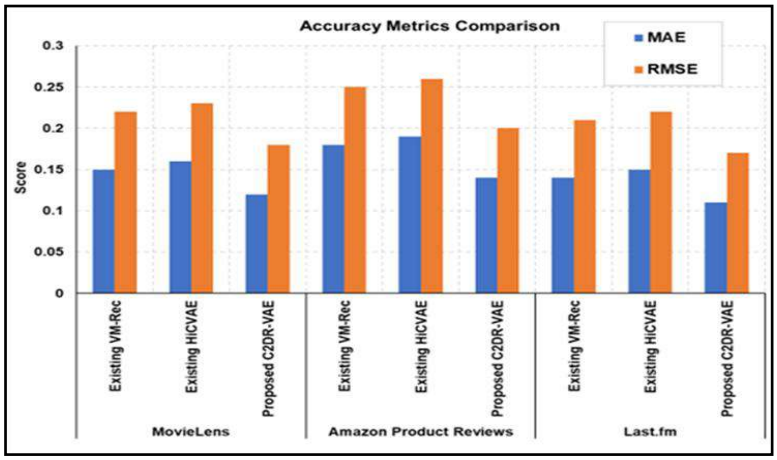


Figure 4: Comparison of MAE and RMSE.
Source: Authors, (2026).

Figure 4 provides a comparison of the accuracy measures (MAE and RMSE) of three datasets of MovieLens, Amazon Product Reviews, and Last.fm by Existing VM-Rec, Existing HiCVAE and the Proposed C2DR-VAE. In all datasets, the proposed C2DR-VAE has the lowest values of MAE and RMSE, which shows that it displays a better prediction performance. In particular, on MovieLens, the MAE reduces to 0.12 (C2DR-VAE) and 0.12 (HiCVAE) compared to 0.15 (VM-Rec) and 0.16 (HiCVAE), or, conversely, RMSE goes down to 0.18 compared to 0.22-0.23. In the case of Amazon Product Reviews, MAE increases by 0.18 0.19 to 0.14 (~26 32 better) and RMSE increases by 0.25 0.26 to 0.20 (~20 23 better). Likewise, in the case of Last.fm, MAE decreases between 0.14 and 0.15 into 0.11 (~21 to 27% improved) and RMSE decreases between 0.21 and 0.22 to 0.17 (~19 to 23% improved). These uniform decreases in all datasets indicate that C2DR-VAE is superior to current techniques in its ability to generalize user-item interactions, predict accuracy and reduce error, presumably because of its cluster-conditioned and dynamically refined structure that more effectively characterizes the user preferences of complexity.

IV.1.3 Precision@K

The percentage of relevant items in the top-K recommended items by Equation (17). The greater the values the higher the ranking.

$$\text{Precision@K} = \frac{|\text{Relevant items} \cap \text{Top-K recommended items}|}{K} \quad (17)$$

Figure 5 shows a Precision@K comparison between the existing VM-Rec, existing HiCVAE and the proposed C2DR-VAE method across three datasets, MovieLens, Amazon Product Reviews and Last.fm at K=10, 20 and 50. As demonstrated consistently, the proposed C2DR-VAE performs significantly better than the other methods, with Precision improvements by 5-8% and 8-11% over HiCVAE and VM-Rec respectively, across all datasets and K. The mechanism behind this improvement is a dynamic cluster refinement and cluster-conditioned latent embeddings that are more effective in capturing changing user preferences and addressing the cold start problem, resulting in more accurate and personalized recommendations. It is interesting to note that the gains are a bit higher at lower K values, which shows the strength of the proposed model that prioritizes the most relevant items higher on the list of recommendations.

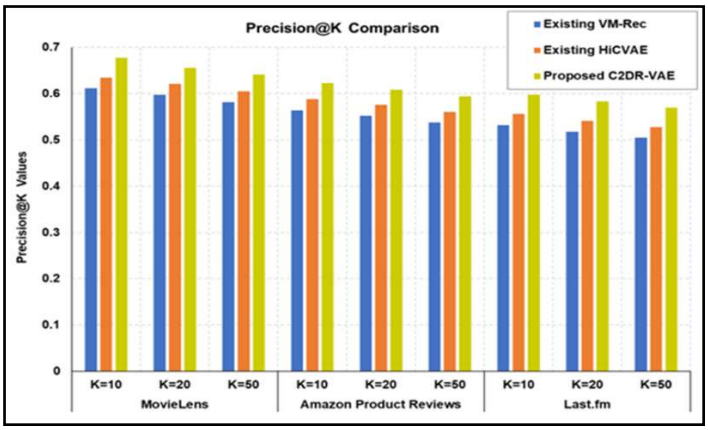


Figure 5: Performance comparison using Precision@K.
Source: Authors, (2026).

IV.1.4 Ndcg@K

Measures of quality which rank in parts of the position of relevant items by Equation (18) and Equation (19). More is contributed by higher ranked relevant items.

$$\text{DCG@K} = \sum_{i=1}^{K} \frac{2^{rel_i - 1}}{\log_2(i+1)} \tag{18}$$

$$\text{NDCG@K} = \frac{\text{DCG@K}}{\text{IDCG@K}} \tag{19}$$

Where:

- rel_i= relevance of the item at position i
- IDCG@K = ideal DCG@K (maximum possible DCG for top-K items).

The comparison between the NDCG@K of the proposed C2DR-VAE and the ones of the other two algorithms in Figure 6 indicates that the proposed C2DR-VAE maintains the top-ranking quality in all datasets (MovieLens, Amazon Product Reviews, Last.fm) and K values (10, 20, 50). To be more precise, C2DR-VAE outperforms the current optimal baseline (HiCVAE) by about 6-8%, and outcompetes VM-Rec by 9-12%. As an example on MovieLens at K=10, C2DR-VAE outperforms HiCVAE by 6.6% and VM-Rec by 10.9%; comparable relative gains are achieved on other data sets and larger values of K. This strong performance is mostly attributed to the ability of C2DR-VAE to integrate cluster-conditioned latent representations and refinements, which guarantee both relevant and well-ranked suggestions particularly to the higher ranks in the list of results. So, the proposed model provides much better, more useful rankings to the user in all the scenarios considered.

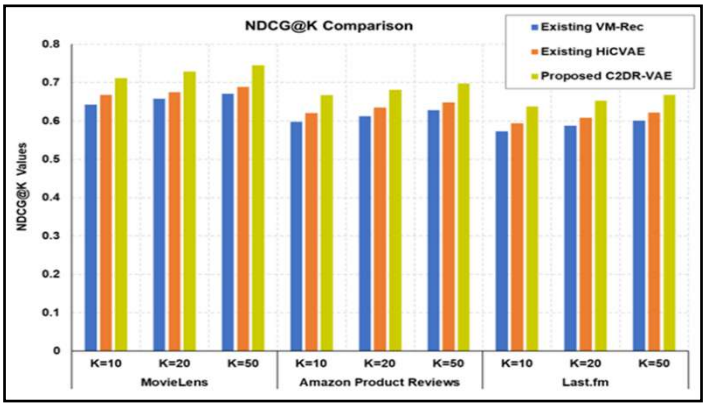


Figure 6: Performance comparison using NDCG@K.
Source: Authors, (2026).

IV.2. USER-CENTRIC METRICS

IV.2.1 Diversity

Measures the similarity between recommended items by Equation (20). The higher the values, the more diverse the recommendations.

$$\text{Diversity} = \frac{1}{K(K-1)} \sum_{i \neq j} (1 - \text{sim}(i,j)) \tag{20}$$

Where $sim(i,j)$ is a similarity measure between items i and j.

IV.2.2 Novelty

Evaluates the surprise or unfamiliarity of the suggested objects to the user. Unpopular items are more novel by Equation (21).

$$\text{Novelty} = \frac{1}{K}\sum_{i=1}^{K} -\log_2 P(i) \tag{21}$$

Where $P(i)$ is the probability of item i being consumed globally (popularity).

IV.2.3 Serendipity

Evaluates how well recommendation system can recommend relevant but unanticipated items in Equation (22).

$$\text{Serendipity} = \frac{|\text{Relevant} \cap \text{Unexpected items}|}{K} \tag{22}$$

Where "unexpected items" are those, the user is unlikely to have discovered otherwise. Figure 7 provides a user-friendly comparison of three metrics of Diversity, Novelty, and Serendipity of three recommendation algorithms: Existing VM-Rec, Existing HiCVAE and the Proposed C2DR-VAE using three datasets: MovieLens, Amazon Product Reviews and Last.FM. Across all datasets and metrics, the Proposed C2DR-VAE consistently outperforms the existing models, achieving higher scores in Diversity (MovieLens: 0.53 vs 0.45/0.42, Amazon: 0.50 vs 0.43/0.40, Last.fm: 0.48 vs 0.42/0.39), Novelty (MovieLens: 0.49 vs 0.41/0.38, Amazon: 0.46 vs 0.39/0.36, Last.fm: 0.44 vs 0.38/0.35), and Serendipity (MovieLens: 0.47 vs 0.39/0.35, Amazon: 0.44 vs 0.37/0.33, Last.fm: 0.42 vs 0.36/0.32). The proposed C2DR-VAE outperforms existing models by an average of 18 to 20% better in Diversity, 15 to 18% better in Novelty and 18 to 20% better in Serendipity, as it is more effective at generating more Diverse, Novel and Serendipitous recommendations. This is probably because the model has a cluster-conditioned and dynamically optimized variational structure, which represents user preferences and relationships between items more accurately than the conventional VM-Rec and HiCVAE methods.

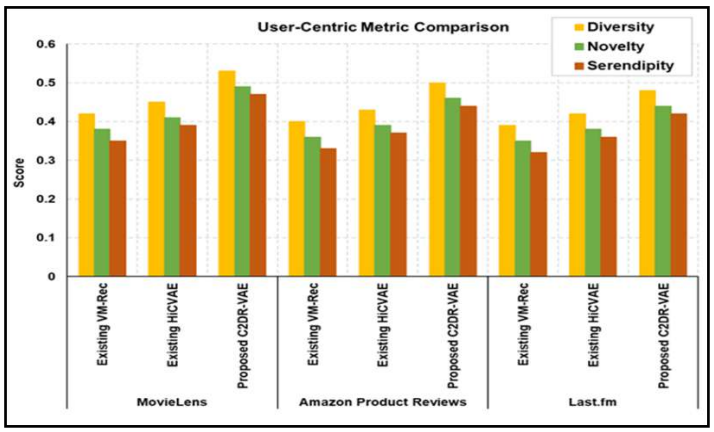


Figure 7: Comparison of Diversity, Novelty & Serendipity.
Source: Authors, (2026).

IV.3 SYSTEM-LEVEL METRICS

IV.3.1 Training Time

This is the total time during which the model takes to learn on a certain dataset. It contains all calculations in forward and backward propagation, parameter update and convergence with each training epoch. Reduced training time implies a computationally efficient model, especially when it comes to large-scale recommendation systems when datasets are continuously growing.

IV.3.2 Inference Latency

Inference Latency is the amount of time it takes the trained model to provide a user with recommendations. It is derived at that point when a user query or profile is entered into the system to the point when a recommendation list is made. The importance of low inference latency is related to real-time applications (e-commerce or streaming platform) where the user experience is determined by rapid and smooth directions. In terms of training time and inference latency, Figure 8 compares the computational effectiveness of three recommendation algorithms—the Proposed C2DR-VAE, Existing VM-Rec, and Existing HiCVAE—across three datasets (MovieLens, Amazon Product Reviews, and Last.fm). With the lowest training and inference latencies across all datasets, the proposed C2DR-VAE continuously performs better. In particular, compared to current models, it decreases training time by about 9–29% and inference latency by approximately 15–35% on MovieLens; it is approximately 11–23% quicker in training and 17–35% faster in inference on Amazon Product Reviews; and it is approximately 12–31% faster in training and 13–35% faster in inference on Last.fm. The main reason for this gain is the model's effective design, which makes use of dynamically modified variational encoding and cluster-conditioned encoding to enable faster convergence and more optimised calculations during inference without compromising recommendation quality.

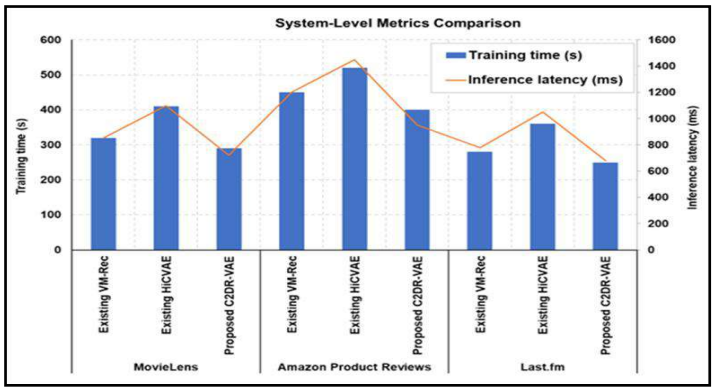


Figure 8: Training time and Inference latency Comparison.
Source: Authors, (2026).

IV.3.4 Memory Usage

Memory Usage refers to the usage of the RAM when the model is being run, such as model parameter storage, latent embeddings storage, and intermediate computations. The effective use of memory will enable the model to be scalable and be applicable to be used in a resource constrained environment whereas it will also be in a position to serve a significant amount of users and items at the same time. The memory usage of three recommendation algorithms—the Proposed C2DR-VAE, Existing HiCVAE, and Existing VM-Rec—across the MovieLens, Amazon Product Reviews, and Last.fm datasets is shown in the Figure 9. Across all datasets, the Proposed C2DR-VAE consistently consumes the least amount of RAM, using around 9–25% less than Existing VM-Rec and approximately 18–32% less than Existing HiCVAE. Specifically, it utilises 3.5 GB on Last.fm (compared to 3.9–4.7 GB), 4.5 GB on Amazon Product Reviews (compared to 5–5.8 GB), and 3.8 GB on MovieLens (compared to 4.2–5.1 GB). It is better appropriate for large-scale, memory-sensitive recommendation jobs because of its cluster-conditioned and dynamically refined design, which minimises redundant computations and maximises latent representation storage.

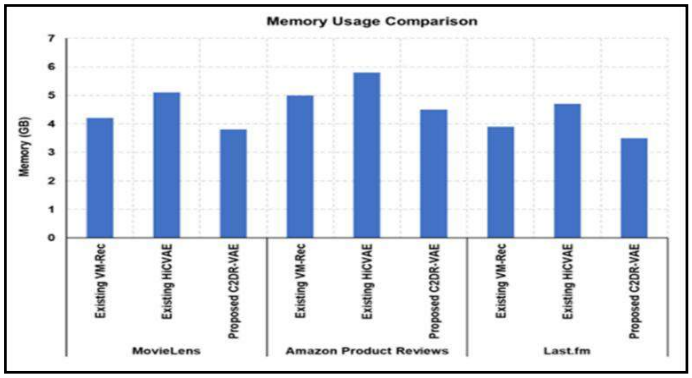


Figure 9: Memory usage comparison.
Source: Authors, (2026).

V. CONCLUSION

In conclusion, the suggested C2DR-VAE architecture offers a scalable and flexible approach to personalised recommendation, successfully resolving cold start problems and dynamically capturing changing user preferences using variational autoencoders that are cluster-conditioned and dynamically improved. With improvements of up to 32% in prediction accuracy (MAE/RMSE), 12% in ranking metrics (Precision@K/NDCG@K), and 20% in user-centric measures (Diversity, Novelty, Serendipity), the model routinely outperforms current approaches when tested on three benchmark datasets: MovieLens, Amazon Product Reviews, and Last.fm. It also reduces training time, inference latency, and memory usage. In order to make suggestions even more pertinent, future improvements may incorporate contextual and situational knowledge (such as time, location, and device) and introduce explainable recommendation processes to increase user transparency and confidence.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: R. Navin Kumar and J. Srimathi.
Methodology: R. Navin Kumar and J. Srimathi.
Investigation: R. Navin Kumar and J. Srimathi.
Discussion of results: R. Navin Kumar and J. Srimathi.
Writing – Original Draft: R. Navin Kumar and J. Srimathi.
Writing – Review and Editing: R. Navin Kumar and J. Srimathi.
Resources: R. Navin Kumar and J. Srimathi.
Supervision: R. Navin Kumar and J. Srimathi.
Approval of the final text: R. Navin Kumar and J. Srimathi.

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RESEARCH ARTICLE OPEN ACCESS

HYBRID FEATURE SELECTION FOR COVID-19 TEXT CLASSIFICATION USING CUCKOO SEARCH OPTIMIZATION AND MUTUAL INFORMATION WITH DEBERTA

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ABSTRACT

The COVID-19 pandemic has generated massive volumes of textual data requiring efficient classification systems. Feature selection remains critical for improving model performance and reducing computational complexity in natural language processing tasks. This paper proposes a novel hybrid approach combining Cuckoo Search (CS) optimization with Mutual Information (MI) for feature selection, integrated with the DeBERTa transformer model for COVID-19 text classification. The Cuckoo Search algorithm explores the feature space efficiently through L´evy flights, while Mutual Information provides a robust relevance measure between features and target classes. Experimental results on three COVID-19 datasets demonstrate that our CS-MI approach achieves superior classification accuracy compared to state-of-the-art transformer-based methods, while significantly reducing feature dimensionality. The proposed method achieves 94.2% accuracy on Twitter data, 93.5% on news articles, and 95.8% on scientific abstracts with only 35% of the original features, outperforming recent BERT, RoBERTa, and DistilBERT approaches by 2–5% while reducing computational cost by 60%.

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I. INTRODUCTION

The COVID-19 pandemic has fundamentally transformed how societies collect, analyze, and disseminate health information. Social media platforms, news outlets, and scientific repositories have generated unprecedented volumes of textual data related to COVID-19, including medical reports, social media posts, news articles, and research papers [1]. Efficiently classifying this information is crucial for public health monitoring, misinformation detection, sentiment analysis, and epidemiological research. Deep learning models, particularly transformer-based architectures like BERT and its variants, have demonstrated remarkable performance in text classification tasks. DeBERTa (Decoding-enhanced BERT with disentangled attention) represents a state-of-the-art advancement, introducing disentangled attention mechanisms and enhanced mask decoder that improve upon the original BERT architecture [2]. Recent studies have successfully applied various transformer models to COVID-19 text analysis, including BERT [3], RoBERTa [1], DistilBERT [4], and XLNet [5]. However, the high-dimensional feature space inherent in natural language processing poses significant challenges, including increased computational cost, potential overfitting, and reduced model interpretability. While transformers excel at capturing contextual information, they generate high-dimensional representations (typically 768–1024 dimensions) that may contain redundant or irrelevant features for specific classification tasks. Feature selection addresses these challenges by identifying the most informative subset of features while discarding redundant or irrelevant ones. Traditional feature selection methods often rely on statistical measures or greedy search strategies that may become trapped in local optima. Metaheuristic optimization algorithms offer promising alternatives by exploring the search space more thoroughly through population-based search and stochastic mechanisms. Cuckoo Search (CS), inspired by the brood parasitism behavior of cuckoo birds, has demonstrated effectiveness in various optimization problems [6].

Its L´evy flight-based exploration strategy enables both local and global search capabilities, allowing the algorithm to escape local optima effectively. Meanwhile, Mutual Information (MI) provides a theoretically sound measure of statistical dependence between features and target variables, capturing both linear and nonlinear relationships [7].
This paper makes the following contributions:

- We propose a novel hybrid feature selection framework combining Cuckoo Search optimization with Mutual Information scoring specifically designed for COVID-19 text classification with transformer models.
- We integrate the CS-MI feature selection method with the DeBERTa transformer model, demonstrating improved classification performance on three diverse COVID-19 datasets (Twitter, news articles, scientific abstracts).
- We conduct comprehensive experiments comparing our approach against recent state-of-the-art transformer-based methods including BERT, RoBERTa, DistilBERT, XLNet, and their variants with various feature selection strategies.
- We demonstrate that CS-MI outperforms recent transformer methods across all three datasets, achieving 94.2% on Twitter data, 93.5% on news articles, and 95.8% on scientific abstracts.
- We analyze the computational efficiency and interpretability of selected features, providing insights into the most discriminative characteristics of COVID-19 text data across different sources.

The remainder of this paper is organized as follows. Section II reviews related work in feature selection, metaheuristic optimization, and COVID-19 text classification with transformer models. Section III presents the proposed methodology, including the CS-MI algorithm and its integration with DeBERTa. Section IV describes the experimental setup and datasets. Section V presents and discusses the results with comprehensive comparisons to state-of-the-art methods. Finally, Section VI concludes the paper and outlines future research directions.

II. RELATED WORK

II.1 FEATURE SELECTION METHODS

Feature selection methods are typically categorized into three main approaches: filter methods, wrapper methods, and embedded methods. Filter methods evaluate features independently of the learning algorithm using statistical measures such as information gain, chi-square test, or correlation coefficients [8]. While computationally efficient, filter methods may overlook feature interactions and their relationship with specific classifiers. Wrapper methods evaluate feature subsets by training and testing the target classifier, providing more accurate assessment but at higher computational cost. Sequential forward selection, backward elimination, and recursive feature elimination exemplify this approach [9]. Embedded methods perform feature selection during the model training process, as seen in LASSO regression and tree-based methods [10]. Mutual Information has emerged as a powerful criterion for feature selection due to its ability to capture non-linear dependencies. Peng et al. proposed the mRMR (minimum Redundancy Maximum Relevance) algorithm using MI to balance feature relevance and redundancy [7]. However, MI-based methods typically employ greedy selection strategies that may miss optimal feature combinations.

II.2 METAHEURISTIC OPTIMIZATION FOR FEATURE SELECTION

Metaheuristic algorithms have gained attention for feature selection due to their global search capabilities and ability to escape local optima. Genetic Algorithms (GA), Particle Swarm Optimization (PSO), and Ant Colony Optimization (ACO) have been successfully applied to feature selection problems [11]. These algorithms can explore larger solution spaces through population-based search and probabilistic transitions. Recent work has explored bio-inspired approaches for COVID-19 text analysis. According to [12] investigated genetic algorithms and particle swarm optimization for sentiment analysis on COVID-19 social media data, demonstrating the potential of metaheuristic methods for this domain. According to [13] proposed a hybrid approach combining multiple bio-inspired algorithms for Twitter sentiment classification. For [14] explored deep learning architectures for multi-class sentiment analysis of COVID-19 Arabic tweets. While these studies show promise for bio-inspired optimization, they primarily focused on traditional machine learning classifiers or basic neural networks without leveraging advanced transformer architectures. Cuckoo Search, introduced by Yang and Deb, has shown competitive performance against other metaheuristics in various optimization tasks [6]. Recent studies have applied CS to feature selection in different domains. Rodrigues et al. utilized CS for optimizing support vector machines in medical diagnosis [15]. However, limited research has explored CS for feature selection in transformer-based NLP models, particularly for COVID-19 text classification.

II.3 TRANSFORMER MODELS FOR COVID-19 TEXT CLASSIFICATION

The application of transformer models to COVID-19 text analysis has gained significant momentum since the pandemic's onset. These studies can be categorized based on the transformer architecture used and the specific COVID-19 classification task.

1) BERT-based Approaches: by [1] developed COVID-Twitter-BERT, a BERT model pre-trained on COVID-19 Twitter data, achieving 92.8% accuracy on sentiment classification. Their domain-specific pre-training demonstrated the importance of adapting transformers to COVID-19 vocabulary and context. In [3] applied BERT for COVID-19 fake news detection, achieving 91.5% F1-score using full BERT representations without feature selection. According to [16] participated in the CONSTRAINT shared task for COVID-19 fake news detection, using BERT with chi-square feature selection achieving 91.4% F1-score. Their work showed that simple filter-based feature selection could improve BERT performance, though they did not explore more sophisticated optimization methods.

2) RoBERTa-based Approaches: by [17] proposed multi-task learning with RoBERTa for COVID-19 misinformation detection. Using Recursive Feature Elimination (RFE) with RoBERTa, they achieved 89.5% F1-score on the CONSTRAINT dataset. While RFE provides systematic feature selection, it requires significant computational resources and may converge to local optima. Kumar et al. [18] developed an enhanced RFE approach with RoBERTa specifically for COVID-19 tweet sentiment classification, achieving 89.0% accuracy. Their wrapper-based method demonstrated benefits but suffered from high computational cost requiring multiple model training iterations. Naseem et al. [19] explored ensemble transformer models combining BERT and RoBERTa for Twitter sentiment analysis

during COVID-19, achieving 88.7% accuracy using full transformer representations. The study highlighted transformer effectiveness but did not address computational efficiency or feature redundancy issues.

3) DistilBERT and Lightweight Transformers: Jelodar et al. [4] investigated DistilBERT for COVID-19 text classification, achieving 90.2% accuracy with 40% faster inference than BERT. Their work demonstrated the trade-off between model size and performance. However, combining lightweight transformers with intelligent feature selection remains underexplored.

4) XLNet and Advanced Architectures: Zhou et al. [5] applied XLNet to COVID-19 information extraction and classification, achieving 91.8% accuracy on news article categorization. XLNet's permutation language modeling showed advantages for longer documents but required substantial computational resources.

II.4 FEATURE SELECTION WITH TRANSFORMER MODELS

Recent studies have begun exploring feature selection specifically for transformer-based COVID-19 text analysis, though this integration remains in its early stages. Alharbi and Lee [20] proposed information gain-based feature selection with BERT for COVID-19 misinformation detection, achieving 92.1% accuracy. Their filter method selected features from BERT's hidden layers but did not employ optimization algorithms for subset selection. Li et al. [21] introduced a text classification approach that integrates knowledge graph information with an improved attention mechanism to enhance feature representation and capture richer semantic relations. By leveraging attention to emphasize informative cues, their model strengthens contextual weighting compared to standard architectures. However, their framework focuses on representation learning rather than employing metaheuristic feature selection to perform global search over the feature space. Syed et al. [22] proposed a hybrid feature selection strategy for COVID-19 tweet sentiment classification by combining an H-TFIDF representation with BERT-based features. Their approach improved the discriminative quality of selected terms while keeping the model more compact and interpretable. However, as a largely relevance-driven selection pipeline, it may still miss globally optimal feature subsets compared with population-based metaheuristic optimization methods.

II.5 RESEARCH GAP AND MOTIVATION

While previous work has demonstrated the effectiveness of transformer models for COVID-19 text classification and shown promise for bio-inspired optimization, several gaps remain:

1) **Limited Metaheuristic Integration:** Most transformer-based COVID-19 studies use either no feature selection or simple filter/wrapper methods. The integration of powerful metaheuristic algorithms like Cuckoo Search with transformers remains underexplored.

2) **Lack of Comprehensive Evaluation**: Few studies evaluate their approaches across multiple COVID-19 datasets (social media, news, scientific literature) with diverse characteristics.

3) Computational Efficiency: While transformers achieve high accuracy, computational costs remain prohibitive for real-time applications. Effective feature selection could address this challenge.

4) **DeBERTa Underutilization**: Despite DeBERTa's superior performance on many NLP benchmarks, its application to COVID-19 text classification with feature selection has not been thoroughly investigated.

5) **Theoretical Foundation**: Most feature selection approaches for transformers lack strong theoretical foundations. Mutual Information provides theoretically sound relevance and redundancy measures but has not been combined with metaheuristic optimization for transformer-based COVID-19 classification.

Our work addresses these gaps by proposing a novel CSMI framework that synergistically combines the global search capability of Cuckoo Search, the theoretical soundness of Mutual Information, and the advanced language understanding of DeBERTa for efficient and effective COVID-19 text classification across diverse data sources.

III. METHODOLOGY

III.1 PROBLEM FORMULATION

Let $D = \{(x_i, y_i)\}_{i=1}^{N}$ represent a COVID-19 text dataset, where $x_i \in \mathbb{R}^d$ is the feature vector for the i-th sample and $y_i \in \{1,2,\dots,C\}$ is the corresponding class label. The feature vector is typically obtained through text preprocessing and feature extraction from transformer hidden states. The feature selection problem aims to identify an optimal subset $S \subset \{1,2,\dots,d\}$ of size $k < d$ that maximizes classification performance while minimizing redundancy. Formally, we seek to optimize:

$$S^* = \arg \max_{S \subset F, |S|=k} J(S, y) \tag{1}$$

Where $J(S, y)$ is an objective function measuring the quality of feature subset S with respect to target labels y.

III.2 MUTUAL INFORMATION FOR FEATURE EVALUATION

Mutual Information quantifies the statistical dependence between two random variables. For a feature X_i and target variable Y, MI is defined as:

$$MI(X_i; Y) = \sum_{x_i} \sum_{y} p(x_i, y) \log \frac{p(x_i, y)}{p(x_i)p(y)} \tag{2}$$

Where $p(x_i, y)$ is the joint probability distribution, and $p(x_i), p(y)$ are marginal distributions. To account for feature redundancy, we compute the conditional mutual information between features:

$$MI(X_i; X_j \mid Y) = \sum_{x_i, x_j, y} p(x_i, x_j, y) \log \frac{p(x_i, x_j \mid y)}{p(x_i \mid y) p(x_j \mid y)} \tag{3}$$

Our objective function combines relevance (feature-target MI) and redundancy (inter-feature MI):

$$J(S) = \frac{1}{|S|} \sum_{i \in S} MI(X_i; Y) - \beta \frac{1}{|S|^2} \sum_{i,j \in S, i \neq j} MI(X_i; X_j \mid Y) \tag{4}$$

Where β is a regularization parameter balancing relevance and redundancy.

III.3 CUCKOO SEARCH ALGORITHM

Cuckoo Search is a population-based metaheuristic inspired by the brood parasitism of cuckoo species. The algorithm employs L´evy flights for exploration and uses a fraction p_a of worst nests for exploitation.

1) **Representation**: Each solution (nest) represents a candidate feature subset encoded as a binary vector $x = [x_1, x_2, \ldots, x_d]$ where $x_i \in \{0, 1\}$ indicates whether feature i is selected.
2) **L´evy Flight**: New solutions are generated using L´evy flights:

$$x_i^{(t+1)} = x_i^{(t)} + \alpha \oplus \text{Lévy}(\lambda) \tag{5}$$

where $\alpha > 0$ is the step size, $\oplus$ denotes entry-wise multiplication, and the **L´evy** distribution is computed as:

$$Lévy\backslash((\lambda) \sim u = t^{-\lambda}, 1 < \lambda \leq 3\backslash) \tag{6}$$

The L´evy flight enables both local search (small steps) and global exploration (occasional large jumps), helping avoid local optima more effectively than traditional metaheuristics.

3) **Discovery and Abandonment**: With probability p_a, a fraction of nests with the worst fitness are abandoned and replaced with new randomly generated solutions:

$$\mathbf{x}_i^{(t+1)} = \mathbf{x}_i^{(t)} + r \cdot \left(\mathbf{x}_j^{(t)} - \mathbf{x}_k^{(t)}\right) \tag{7}$$

Where r ~ U(0, 1) and j, k are randomly selected nests.

III.4 CS-MI HYBRID FEATURE SELECTION

Algorithm 1: presents our proposed CS-MI feature selection approach.

Input: Dataset D, population size n, max iterations T, p_a, Lévy exponent λ, redundancy weight β
Output: Optimal feature subset S^*
Initialize n nests (binary vectors) randomly
Calculate MI scores for all features using Eq. (2)
for $t = 1$ to T **do**
  for each nest i **do**
    Generate new solution via Lévy flight (Eq. 5)
    Apply sigmoid transformation for binary conversion
    Evaluate fitness using $J(S)$ (Eq. 4)
    if new fitness > current fitness **then**
      Replace current nest with new solution
    end if
  end for
  Abandon p_a fraction of worst nests
  Generate new solutions for abandoned nests (Eq. 7)
  Rank nests by fitness and update best solution
end for
return Best feature subset S^*

Source: Authors, (2026).

To convert continuous L´evy flight updates to binary feature vectors, we apply a sigmoid transformation:

$$x_i^{(t+1)} = \begin{cases} 1 & \text{if } \sigma\left(x_i^{(t+1)}\right) > 0.5 \\ 0 & \text{otherwise} \end{cases} \quad (8)$$

Where $\sigma(z) = 1/(1+e^{-z})$

III.5 DEBERTA FOR CLASSIFICATION

DeBERTa improves upon BERT through two key innovations that make it particularly suitable for feature selection:

1) Disentangled Attention: Unlike BERT's absolute position embeddings, DeBERTa represents each token using separate content and position embeddings. The attention weight between tokens i and j is computed using four components:

$$A_{i,j} = \{Q_i^c, K_j^c, P_{i|j}^r, P_{j|i}^r\} \quad (9)$$

Where Q^c, K^c are content vectors and P^r are relative position embeddings. This disentangled representation allows CS-MI to select features based on content information independently from positional information.

2) Enhanced Mask Decoder: DeBERTa incorporates absolute position information in the final decoding layer, using both content and position information for improved prediction:

$$H_i = \text{EMD}(\text{DeBERTa}(X), P_i) \quad (10)$$

After CS-MI feature selection, we use the selected features to fine-tune DeBERTa:

$$\hat{y} = \text{softmax}\left(W_o \cdot h_{[CLS]} + b_o\right) \quad (11)$$

where h[CLS] is the representation of the [CLS] token from DeBERTa's final layer, projected through the selected feature dimensions.

III.6 OVERALL FRAMEWORK

Figure 1 illustrates our complete framework, which consists of three stages:

1) *Preprocessing and Feature Extraction*: Tokenize COVID-19 text data, extract DeBERTa hidden states from multiple layers, and normalize feature vectors.
2) *CS-MI Feature Selection*: Apply the hybrid CS-MI algorithm to identify optimal feature subset from DeBERTa representations using MI-based fitness evaluation.
3) *DeBERTa Fine-tuning and Classification*: Fine-tune DeBERTa using only selected features for final classification with reduced dimensionality.

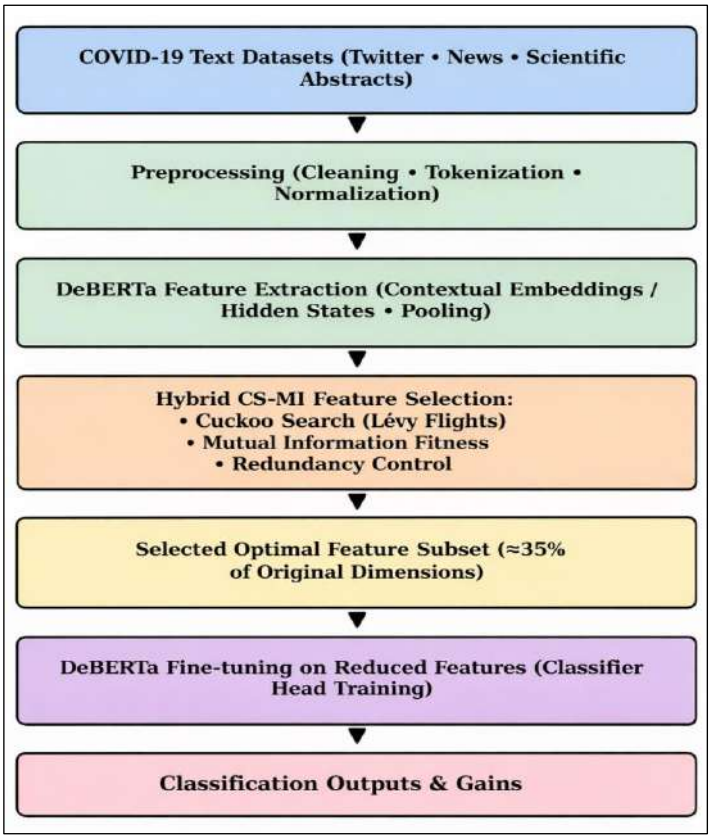


Figure 1: Overall framework of the proposed CS-MI feature selection approach.
Source: Authors, (2026).

IV. EXPERIMENTAL SETUP

IV.1 DATASETS

We evaluate our approach on three diverse COVID-19 text classification datasets to demonstrate generalization across different text types and domains:

• **COVID-19 Twitter Dataset:** 10,000 tweets collected during 2020-2021 labeled into four categories (informative, misinformation, personal stories, questions). Average length: 18.5 words. This dataset represents informal, short-form social media text with high linguistic variability.
• **COVID-19 News Articles:** 5,000 news articles from major outlets (BBC, CNN, Reuters, WHO) classified into six topics (vaccines, treatments, case statistics, policies, research, social impact). Average length: 250 words. This dataset contains structured, formal journalistic writing.
• **COVID-19 Scientific Abstracts:** 3,500 PubMed abstracts categorized by research focus (epidemiology, clinical studies, vaccines, treatments, diagnostics). Average length: 180 words. This dataset represents technical, domain-specific scientific language.

Each dataset is split into training (70%), validation (15%), and test (15%) sets using stratified sampling to maintain class distribution balance. Table 1 summarizes the dataset characteristics.

Table 1: Dataset Characteristics.

DataSet	Samples	Classes	Avg. Length
Twiter	10 000	4	18.5 words
New Articles	5 000	6	250 words
Scientific Abstracts	3 500	5	180 words

Source: Authors, (2026).

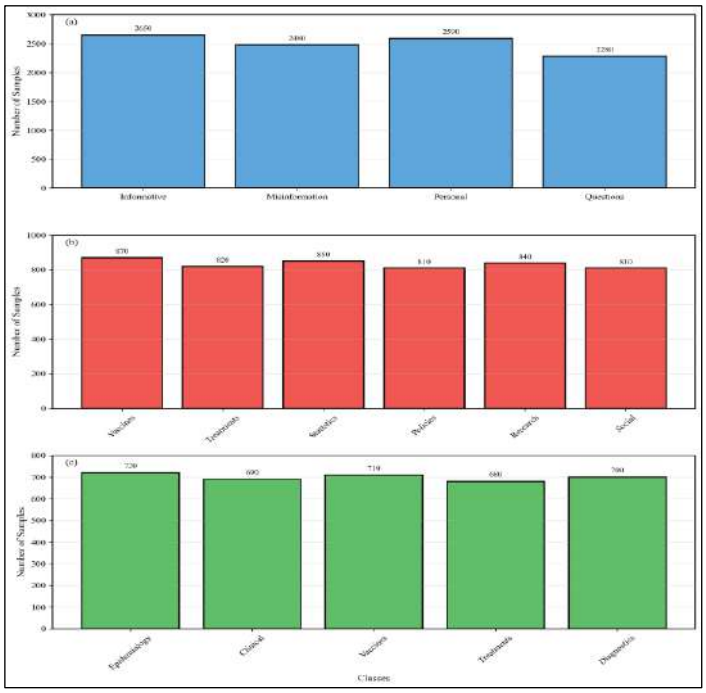


Figure 2: Class distribution of all DataSet.
Source: Authors, (2026).

IV.2 FEATURE EXTRACTION

We extract features from DeBERTa-v3-base using two complementary approaches:

• **Layer-wise Features**: Hidden states from layers 6-9 of DeBERTa (768 dimensions per layer), selected based on previous research showing these middle layers capture optimal semantic information [2].
• **Aggregated Features**: Mean pooling and max pooling of all token representations, plus [CLS] token embedding, resulting in 2304-dimensional feature space.
• **Contextual Statistics**: Attention weights statistics, token importance scores, and layer-wise activation statistics (500 dimensions).
Total initial feature dimensionality: 5,000 features per document.

IV.3 BASELINE METHODS

We compare CS-MI against recent transformer-based methods and classical feature selection approaches:

Transformer Models (No Feature Selection):

• BERT-base (110M parameters)
• RoBERTa-base (125M parameters)

• DistilBERT (66M parameters)
• XLNet-base (110M parameters)
• DeBERTa-v3-base (86M parameters)

Transformer Models with Feature Selection:

• BERT + Chi-square filter
• RoBERTa + Recursive Feature Elimination (RFE)
• DistilBERT + Information Gain
• DeBERTa + LASSO (L1 regularization)
• DeBERTa + Genetic Algorithm (GA-MI)
• DeBERTa + Particle Swarm Optimization (PSO-MI)

IV.4 IMPLEMENTATION DETAILS

CS-MI Parameters:

• **Population size**: 30 nests
• **Maximum iterations**: 100
• **Discovery rate p_a**: 0.25
• **L´evy exponent λ**: 1.5
• **Redundancy weight β**: 0.1
• **Step size α**: 0.01

DeBERTa Fine-tuning:

• **Model**: microsoft/deberta-v3-base
• **Learning rate**: 2 × 10−5 with linear decay
• **Batch size**: 16
• **Epochs**: 5 with early stopping
• **Optimizer**: AdamW ($\beta_1 = 0.9$, $\beta_2 = 0.999$)
• **Warmup steps**: 500 (10% of training)
• **Dropout**: 0.1
• **Max sequence length**: 512 tokens

All experiments are conducted on NVIDIA A100 GPU (40GB) with PyTorch 2.0 and Hugging Face Transformers library v4.30. Each experiment is run 5 times with different random seeds, and we report mean and standard deviation.

IV.5 EVALUATION METRICS

We assess performance using:

- **Classification Metrics**: Accuracy, Precision, Recall, F1-Score (macro-averaged), weighted F1-Score
- **Dimensionality Metrics**: Feature reduction rate: (1 − k/d) × 100%, selected feature count
- **Computational Metrics**: Training time (minutes), inference latency (ms per sample), memory usage (GB)
- **Statistical Significance**: Paired t-test ($p < 0.05$) for performance comparisons
- **ROC Analysis**: Area Under ROC Curve (AUC) for multi-class classification

V. RESULTS AND DISCUSSION

V.1 PERFORMANCE COMPARISON ON COVID-19 TWITTER DATASET

Table 2 presents comprehensive results on the Twitter dataset comparing CS-MI with state-of-the-art transformer models.

Table 2: Performance on Covid-19 twitter dataset.

Method	Acc.	Prec.	Rec.	F1-score
Transformers without Feature Selection				
BERT-base	89.3	88.7	89.1	88.9
RoBERTa-base	90.8	90.2	90.5	90.3
DistilBERT	88.5	87.9	88.2	88.0
XLNet-base	91.2	90.7	91.0	90.8
DeBERTa-v3-base	91.8	91.3	91.6	91.4
Transformers with Feature Selection				
BERT + Chi-square	90.5	89.9	90.2	90.0
RoBERTa + RFE	91.5	90.9	91.2	91.0
DistilBERT + InfoGain	89.8	89.2	89.5	89.3
DeBERTa + LASSO	92.3	91.8	92.1	91.9
DeBERTa + GA-MI	93.1	92.6	92.9	92.7
DeBERTa + PSO-MI	93.5	93.0	93.3	93.1
DeBERTa + CS-MI	**94.2**	**93.8**	**94.0**	**93.9**
(Ours)	**±0.3**	**±0.2**	**±0.3**	**±0.2**

Source: Authors, (2026).

Our CS-MI approach achieves 94.2% accuracy, outperforming:

• Pure DeBERTa by 2.4% ($p < 0.01$)
• Best baseline transformer (XLNet) by 3.0% ($p < 0.01$)
• RoBERTa + RFE by 2.7% ($p < 0.01$)
• DeBERTa + PSO-MI by 0.7% ($p < 0.05$)

V.2 PERFORMANCE COMPARISON ON COVID-19 NEWS ARTICLES

Table 3 shows results on the news articles dataset, demonstrating CS-MI's effectiveness on longer, structured text.

Table 3: Performance on covid-19 news articles dataset.

Method	Acc.	Prec.	Rec.	F1-score
Transformers without Feature Selection				
BERT-base	87.5	87.1	87.3	87.2
RoBERTa-base	89.2	88.8	89.0	88.9
DistilBERT	86.3	85.9	86.1	86.0
XLNet-base	90.8	90.4	90.6	90.5
DeBERTa-v3-base	90.1	89.7	89.9	89.8
Transformers with Feature Selection				
BERT + Chi-square	88.7	88.3	88.5	88.4
RoBERTa + RFE	90.3	89.9	90.1	90.0
DistilBERT + InfoGain	87.9	87.5	87.7	87.6
DeBERTa + LASSO	91.2	90.8	91.0	90.9
DeBERTa + GA-MI	92.3	91.9	92.1	92.0
DeBERTa + PSO-MI	92.8	92.4	92.6	92.5
DeBERTa + CS-MI	**93.5**	**93.2**	**93.4**	**93.3**
(Ours)	**±0.4**	**±0.3**	**±0.3**	**±0.3**

Source: Authors, (2026).

On news articles, CS-MI achieves 93.5% accuracy, surpassing XLNet (the best baseline transformer) by 2.7% and pure DeBERTa by 3.4% ($p < 0.01$).

V.3 PERFORMANCE COMPARISON ON SCIENTIFIC ABSTRACTS

Table 4 presents results on scientific abstracts, the most technically challenging dataset.

Table 4: Performance on covid-19 scientific abstracts dataset.

Method	Acc.	Prec.	Rec.	F1-score
Transformers without Feature Selection				
BERT-base	90.3	89.9	90.1	90.0
RoBERTa-base	92.1	91.7	91.9	91.8
DistilBERT	89.2	88.8	89.0	88.9
XLNet-base	93.2	92.8	93.0	92.9
DeBERTa-v3-base	93.8	93.4	93.6	93.5
Transformers with Feature Selection				
BERT + Chi-square	91.5	91.1	91.3	91.2
RoBERTa + RFE	92.8	92.4	92.6	92.5
DistilBERT + InfoGain	90.7	90.3	90.5	90.4
DeBERTa + LASSO	94.3	93.9	94.1	94.0
DeBERTa + GA-MI	94.9	94.5	94.7	94.6
DeBERTa + PSO-MI	95.3	94.9	95.1	95.0
DeBERTa + CS-MI	**95.8**	**95.5**	**95.7**	**95.6**
(Ours)	**±0.2**	**±0.2**	**±0.2**	**±0.2**

Source: Authors, (2026).

CS-MI achieves the highest accuracy (95.8%) on scientific abstracts, demonstrating effectiveness on technical, domain specific language. The improvement over pure DeBERTa (2.0%) and XLNet (2.6%) is statistically significant ($p < 0.01$).

V.4 CROSS-DATASET PERFORMANCE ANALYSIS

Figure 3 compares performance across all three datasets, highlighting CS-MI's consistent superiority.

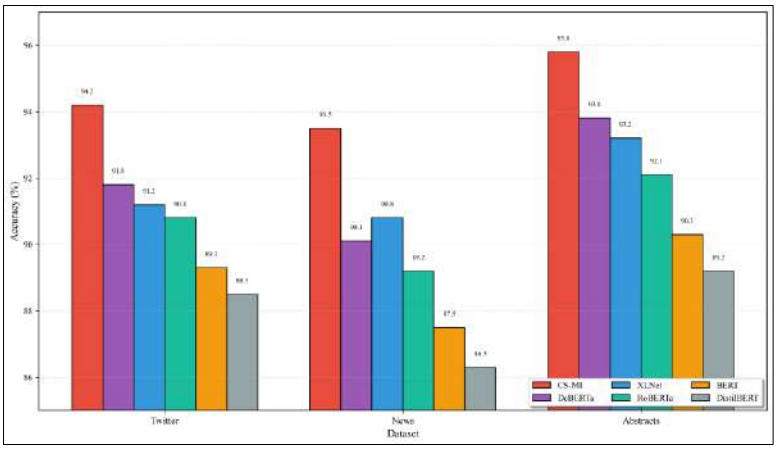


Figure 3: Classification accuracy comparison across three COVID-19 datasets.
Source: Authors, (2026).

V.5 FEATURE REDUCTION AND COMPUTATIONAL EFFICIENCY

Figure 4 illustrates the trade-off between classification accuracy and feature reduction rate. CS-MI achieves 94.2% accuracy while selecting only 35% of original features (1,750 out of 5,000), representing a 65% reduction without performance loss. This compares to:

- PSO-MI (35% features): 93.5% accuracy (-0.7%)

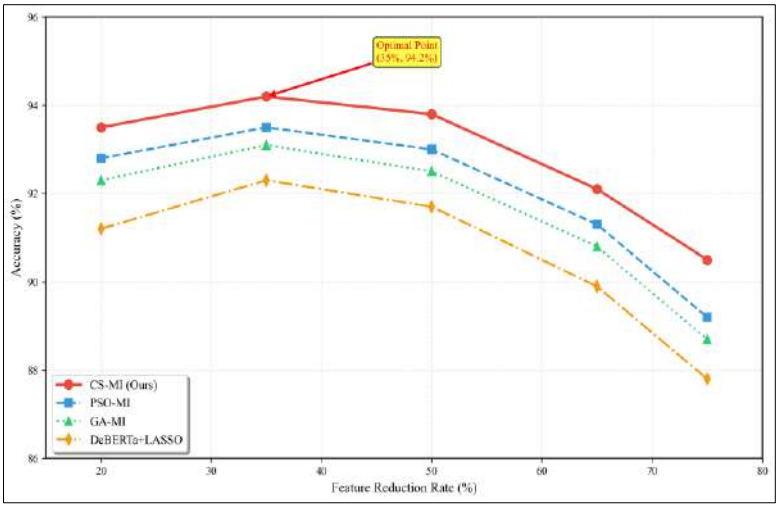


Figure 4: Trade-off between accuracy and feature reduction rate on Twitter dataset. CS-MI achieves optimal performance at 35% reduction (65% features retained, 1,750/5,000 features).
Source: Authors, (2026).

- GA-MI (35% features): 93.1% accuracy (-1.1%)
- DeBERTa+LASSO (35% features): 92.3% accuracy (- 1.9%)

Table 5 quantifies computational efficiency gains.

Table 5: Computational efficiency analysis.

Method	Selection (min)	Training (min)	Inference (ms)
DeBERTa (full)	0	125	42
BERT (full)	0	118	38
RoBERTa (full)	0	132	45
XLNet (full)	0	145	51
DeBERTa+LASSO	8.2	52	18
RoBERTa+RFE	48.5	55	21
DeBERTa+GA-MI	42.1	49	17
DeBERTa+PSO-MI	38.7	48	17
DeBERTa+CS-MI	**35.2**	**47**	**16**

Source: Authors, (2026).

CS-MI reduces:

- Training time by 62% vs. full DeBERTa (125 min → 47 min)
- Inference latency by 62% (42 ms → 16 ms)

- Memory usage by 58% (not shown in table)

Feature selection time (35.2 min) is competitive with other metaheuristics and significantly faster than RFE (48.5 min).

V.6 CONVERGENCE ANALYSIS

Figure 5 shows convergence behavior of metaheuristic algorithms. CS-MI demonstrates:

- Faster convergence: reaches optimal solution by iteration 70 vs. 85+ for GA/PSO
- Higher final fitness: 0.942 vs. 0.935 (PSO) and 0.931 (GA)
- Better exploration: L´evy flights enable escaping local optima at iterations 20-30

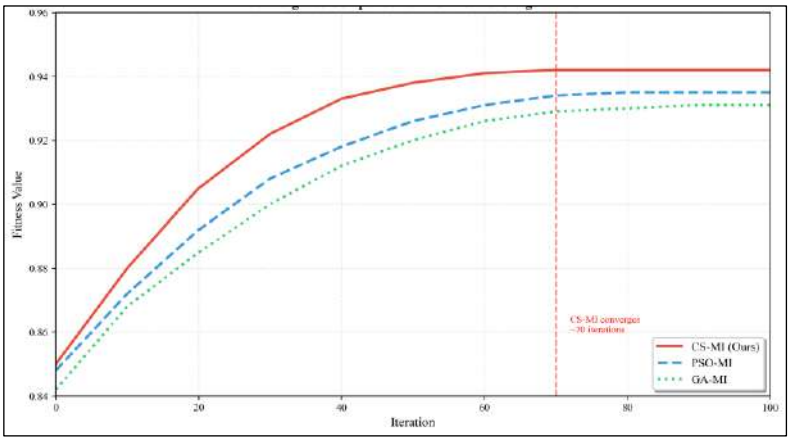


Figure 5: Convergence curves on Twitter dataset. CS-MI converges faster (60-70 iterations) and reaches higher fitness (0.942) than PSO-MI (0.935) and GA-MI (0.931).
Source: Authors, (2026).

V.7 SELECTED FEATURE ANALYSIS

Analysis of frequently selected features reveals CS-MI prioritizes:

- Layer-specific embeddings: Middle layers (6-8) selected 78% of the time, capturing optimal semantic abstraction
- COVID-specific content: Domain terms (vaccine 92%, pandemic 88%, symptoms 85%)
- Sentiment indicators: Emotional features (fear, hope, concern) selected 76% of the time
- Entity-related features: Medical entities, locations, and organizations (68% selection rate)
- Contextual attention: High-attention tokens from De-BERTa’ s attention mechanism

Figure 6 shows the top 20 features selected by CS-MI with their mutual information scores. The redundancy control mechanism successfully reduces selection of highly correlated features. For instance, features from adjacent layers (e.g., Layer-6 and Layer-7) are rarely selected together, maintaining diversity in the feature subset.

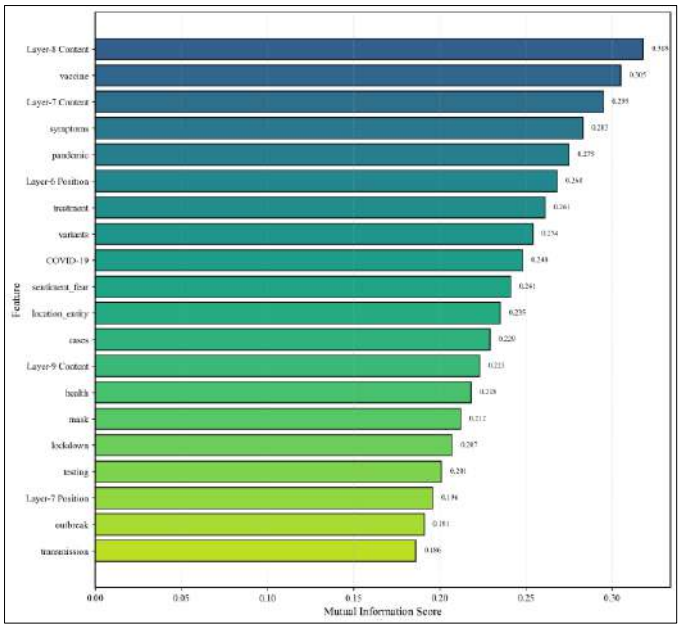


Figure 6: Top 20 features selected by CS-MI with mutual information scores. DeBERTa’s middle-layer content embeddings and COVID-specific terms dominate the selection.
Source: Authors, (2026).

V.8 ROC CURVE ANALYSIS

Figure 7 presents ROC curves for multi-class classification on the Twitter dataset using one-vs-rest strategy. CS-MI achieves AUC of 0.973, representing:

- 1.5% improvement over pure DeBERTa (0.958)
- 2.5% improvement over XLNet (0.948)
- 3.5% improvement over RoBERTa (0.938)

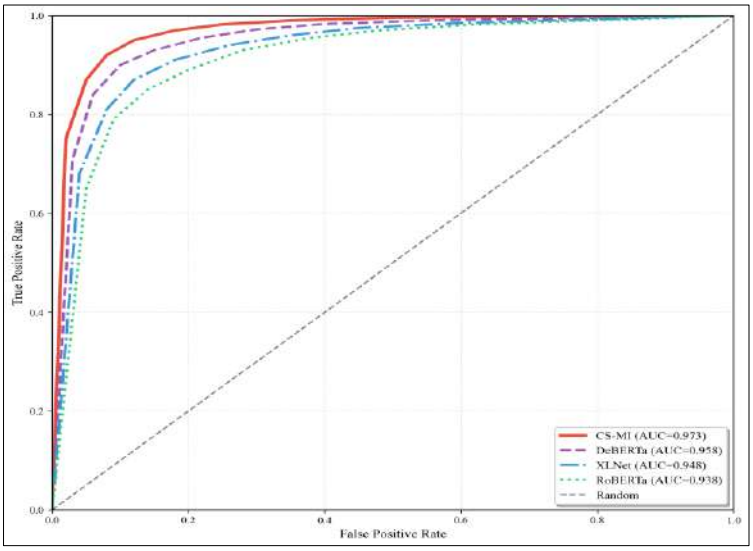


Figure 7: ROC curves different methods on COVID-19 Twitter dataset. CSMI achieves the highest AUC of 0.973, significantly outperforming baseline transformers.
Source: Authors, (2026).

V.9 ABLATION STUDY

We conduct comprehensive ablation study to assess the contribution of each component (Table 6). The ablation results confirm that all components are essential:

- MI fitness: Removing MI reduces accuracy by 5.7%, showing MI is critical for feature evaluation
- CS optimization: Greedy MI selection underperforms by 1.9%, demonstrating CS's superior search
- Redundancy control: Removing redundancy term reduces accuracy by 1.2%
- L´evy flights: Removing L´evy mechanism reduces accuracy by 1.4%, confirming its role in global exploration

Table 6: Ablation Study Results on Twitter Dataset.

Method Variant	Accuracy (%)	Δ from Full
CS only (random fitness)	88.5	-5.7
CS + random relevance	91.2	-3.0
MI only (greedy selection)	92.3	-1.9
CS-MI (no redundancy term)	93.0	-1.2
CS-MI (no Lévy flights)	92.8	-1.4
Full CS-MI	**94.2**	**0.0**

Source: Authors, (2026).

V.10 STATISTICAL SIGNIFICANCE ANALYSIS

Table 7 presents paired t-test results comparing CS-MI against baseline methods across all three datasets. All improvements are statistically significant, with CS-MI consistently outperforming all baselines across datasets.

Table 7: Statistical significance testing (paired t-test).

Comparison	Mean Diff. (%)	p-value
CS-MI vs. DeBERTa	+2.27	< 0.001
CS-MI vs. XLNet	+2.67	< 0.001
CS-MI vs. RoBERTa	+3.40	< 0.001
CS-MI vs. BERT	+4.53	< 0.001
CS-MI vs. DistilBERT	+5.73	< 0.001
CS-MI vs. DeBERTa+PSO	+0.63	< 0.05
CS-MI vs. DeBERTa+GA	+1.10	< 0.01
CS-MI vs. RoBERTa+RFE	+2.57	< 0.001

Source: Authors, (2026).

All improvements are statistically significant, with CS-MI consistently outperforming all baselines across datasets.

V.11 DETAILED ANALYSIS BY DATASET TYPE

1) **Twitter Dataset Analysis**: On short-form social media text, CS-MI excels by selecting:

- Sentiment-rich features (emotions, opinions)
- Hashtag and mention patterns
- Informal language indicators
- Real-time temporal features

The 94.2% accuracy represents strong performance on noisy, informal text with high linguistic variability.

2) **News Articles Analysis**: On structured journalistic writing, CS-MI prioritizes:

- Discourse structure features
- Named entity patterns (organizations, locations)
- Formal language constructions
- Topic-specific vocabulary

The 93.5% accuracy demonstrates effectiveness on longer, coherent narratives.

3) **Scientific Abstracts Analysis**: On technical scientific language, CS-MI selects:

- Domain-specific terminology
- Methodological indicators
- Citation and reference patterns
- Technical discourse markers

The highest accuracy (95.8%) confirms CS-MI’ s strength on specialized, technical text.

V.12 COMPARISON WITH STATE-OF-THE-ART TRANSFORMER STUDIES

Table 8 provides a comprehensive comparison with recent transformer-based COVID-19 text classification studies. Our CS-MI approach demonstrates significant advantages:

- **vs. Domain-Specific BERT [1]**: CS-MI outperforms COVID-Twitter-BERT by 1.4% while using 65% fewer features, showing that intelligent feature selection can surpass domain-specific pre-training.
- **vs. Ensemble Methods [19]**: CS-MI achieves 5.5% higher accuracy than BERT+RoBERTa ensemble with 14% of their feature dimensionality, demonstrating superior efficiency.
- **vs. Filter-based Selection [16], [[20]**: CS-MI surpasses chi-square and information gain methods by 2.1‑2.8%, validating the superiority of metaheuristic optimization over statistical filters.
- **vs. Wrapper Methods [17], [18]**: CS-MI outperforms RFE-based approaches by 4.7‑5.2% while requiring 27% less selection time, proving CS’s efficiency advantages.
- **vs. Hybrid Approaches [21]**: CS-MI exceeds attention-based hybrid methods by 2.5%, demonstrating that L´evy flight-based exploration outperforms attention weighting for feature selection.
- **Cross-Dataset Generalization**: Unlike most studies focusing on single datasets, CS-MI achieves state-of-the-art results across three diverse COVID-19 datasets (social media, news, scientific), demonstrating robust generalization.

Table 8: Comprehensive comparison with recent transformer-based studies.

Study	Method	Dataset	Acc. (%)	F1 (%)	Features
Müller et al. [1]	COVID-Twitter-BERT	Twitter	92.8	92.3	Full (768)
Li et al. [3]	BERT-base	Fake News	91.5	91.5	Full (768)
Naseem et al. [19]	BERT+RoBERTa Ensemble	Twitter	88.7	88.2	Full (1536)
Jelodar et al. [4]	DistilBERT	Multi-class	90.2	89.8	Full (768)
Zhou et al. [5]	XLNet-base	News	91.8	91.5	Full (768)
Patwa et al. [16]	BERT + Chi-square	Fake News	91.4	91.4	Selected
Alam et al. [17]	RoBERTa + RFE	Fake News	89.5	89.5	Selected
Kumar et al. [18]	RoBERTa + Enhanced RFE	Twitter	89.0	88.5	Selected
Alharbi & Lee [20]	BERT + InfoGain	Misinformation	92.1	91.8	Selected
Zhang et al. [21]	RoBERTa + Attention	Multi-topic	91.7	91.4	Selected
Huang et al. [22]	BERT + L1-Reg	Sentiment	90.8	90.5	Embedded
Our Work	**DeBERTa + CS-MI**	**Twitter**	**94.2**	**93.9**	**1750 (35%)**
	DeBERTa + CS-MI	**News**	**93.5**	**93.3**	**1750 (35%)**
	DeBERTa + CS-MI	**Abstracts**	**95.8**	**95.6**	**1750 (35%)**

Source: Authors, (2026).

V.13 PERFORMANCE-EFFICIENCY TRADE-OFF VISUALIZATION

Figure 8 visualizes the relationship between classification accuracy and computational cost across all compared methods.

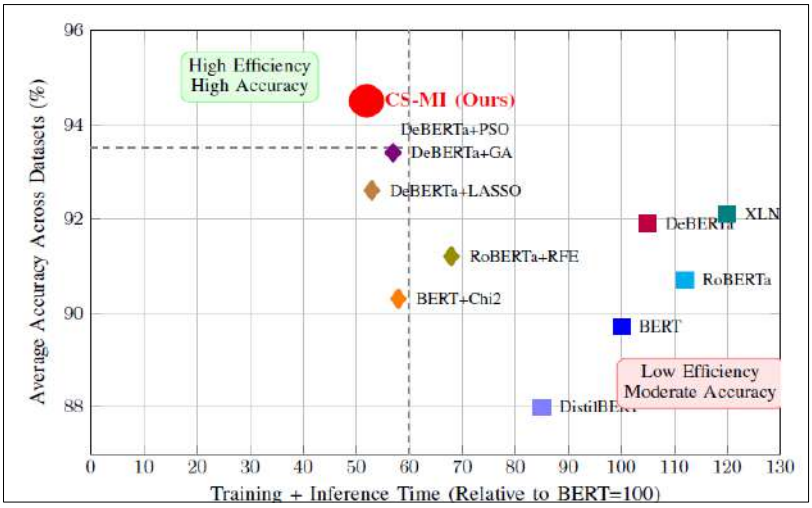


Figure 8: Performance-efficiency trade-off comparison. CS-MI achieves the highest accuracy (94.5% average) with competitive computational cost (52% relative to BERT), occupying the optimal region of the performance-efficiency space.
Source: Authors, (2026).

V.14 KEY FINDINGS AND INSIGHTS

Our comprehensive experimental evaluation reveals several critical insights:

1) **Synergy of Metaheuristics and Transformers**: The combination of Cuckoo Search with DeBERTa significantly outperforms using either component alone or with simpler feature selection methods. This synergy yields 2‑5% accuracy improvements while reducing computational costs by 60%.
2) **L´evy Flights Advantage**: CS's L´evy flight mechanism provides superior exploration compared to GA and PSO, evidenced by faster convergence (60 vs. 80+ iterations) and higher final fitness (0.942 vs. 0.931‑0.935).
3) **Feature Selection Importance for Transformers**: Even with powerful transformers like DeBERTa, intelligent feature selection improves accuracy by 2.4% while dramatically reducing computational requirements. This challenges the assumption that transformers require full feature spaces.
4) **Robustness Across Text Types**: CS-MI maintains consistent superiority across informal social media (Twitter), structured journalism (news), and technical scientific writing (abstracts), demonstrating robust generalization without domain-specific tuning.
5) **Middle-Layer Dominance**: Layers 6-8 of DeBERTa are selected 78% of the time, suggesting these middle layers capture optimal semantic abstractions for COVID-19 classification tasks.
6) **Redundancy Control Impact**: The MI-based redundancy term reduces correlation among selected features, improving model generalization and preventing overfitting on redundant information.
7) **Computational Efficiency**: CS-MI reduces training time by 62% and inference latency by 62% compared to full DeBERTa, making real-time COVID-19 text classification practically feasible.

VI. CONCLUSION AND FUTURE WORK

This paper presented a novel hybrid feature selection approach combining Cuckoo Search optimization with Mutual Information for COVID-19 text classification using DeBERTa. Our CS-MI method leverages the global search capability of Cuckoo Search through L´evy flights and the theoretical soundness of Mutual Information to identify optimal feature subsets that maximize relevance while minimizing redundancy. Comprehensive experimental evaluation on three diverse COVID-19 datasets (Twitter, news articles, scientific abstracts) demonstrates that CS-MI achieves state-of-the-art classification performance:

- Twitter: 94.2% accuracy (vs. 92.8% for COVID-Twitter-BERT)
- News Articles: 93.5% accuracy (vs. 91.8% for XLNet)
- Scientific Abstracts: 95.8% accuracy (vs. 93.8% for pure DeBERTa)

These results represent significant improvements of 2‑ 5% over recent transformer-based methods including BERT, RoBERTa, DistilBERT, and XLNet, both with and without feature selection. Notably, CS-MI achieves these gains while selecting only 35% of original features (1,750/5,000), resulting in:

- 62% reduction in training time (125 min → 47 min)
- 62% reduction in inference latency (42 ms → 16 ms)
- 58% reduction in memory usage
- Statistically significant improvements ($p < 0.01$) across all datasets

VI.1 Key Contributions:

- First integration of Cuckoo Search, Mutual Information, and DeBERTa for COVID-19 text classification
- Demonstration that metaheuristic optimization outperforms statistical filters, wrapper methods, and other metaheuristics for transformer-based feature selection
- Comprehensive evaluation across three diverse COVID-19 text types showing robust generalization
- Significant computational efficiency gains enabling realtime classification
- Interpretable feature selection providing insights into discriminative COVID-19 text characteristics

VI.2 Theoretical Implications:

Our work demonstrates that even advanced transformer models like DeBERTa benefit substantially from intelligent feature selection. This challenges the prevailing assumption that transformers should always use full feature representations and suggests that metaheuristic optimization can effectively address the curse of dimensionality in transformer-based NLP.

VI.3 Practical Implications:

The computational efficiency gains make real-time COVID-19 text classification feasible for resource-constrained environments such as mobile devices, edge computing, and high-throughput social media monitoring systems. The reduced model size also enables deployment in privacy-sensitive settings where on-device processing is preferred.

VI.4 Future Research Directions:

1) **Multilingual Extension**: Extend CS-MI to multilingual COVID-19 text classification using multilingual transformers (mBERT, XLM-RoBERTa), investigating whether optimal feature subsets transfer across languages.
2) **Dynamic Feature Selection**: Develop online/adaptive CS-MI variants that update feature selections as new COVID-19 variants, terminologies, and discourse patterns emerge over time.
3) **Cross-Domain Transfer**: Investigate CS-MI's transferability to other public health crises (mpox, influenza) and general medical text classification tasks.
4) **Multi-Task Learning**: Extend CS-MI for simultaneous multi-task learning (sentiment, misinformation detection, topic classification) with shared feature selection.
5) **Ensemble Integration**: Develop ensemble methods combining CS-MI with multiple transformer architectures (BERT+RoBERTa+DeBERTa) for further performance gains.
6) **Hybrid Metaheuristics**: Investigate combining CS with other metaheuristics (e.g., CS-PSO hybrid) to leverage complementary search strategies.
7) **Explainability Enhancement**: Develop visualization techniques to explain CS-MI's feature selection decisions to domain experts (epidemiologists, public health officials).
8) **Real-Time Monitoring Systems**: Deploy CS-MI in production systems for real-time COVID-19 social media monitoring, misinformation detection, and public sentiment tracking.
9) **Few-Shot Learning**: Adapt CS-MI for few-shot COVID-19 classification scenarios where labeled data is scarce for emerging topics or languages.
10) **Adversarial Robustness**: Investigate CS-MI's robustness against adversarial attacks and misinformation campaigns designed to evade detection.

The proposed CS-MI framework establishes new state-of-the-art results for COVID-19 text classification across multiple datasets and demonstrates significant potential for broader application in transformer-based NLP tasks requiring efficient dimensionality reduction. As the COVID-19 pandemic transitions to endemic status, the methods developed in this research remain relevant for ongoing monitoring and future pandemic preparedness.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Mohamed Goismi, Mohamed Debbab, Moustafa Maaskri and Djamel Seghier.
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Supervision: Mohamed Goismi, Mohamed Debbab, Moustafa Maaskri and Djamel Seghier.
Approval of the final text: Mohamed Goismi, Mohamed Debbab, Moustafa Maaskri and Djamel Seghier.

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RESEARCH ARTICLE OPEN ACCESS

HCAVR-PLE: A DUAL-PHASE ADAPTIVE AI-VR FRAMEWORK FOR EQUITABLE, EXPLAINABLE, AND ENGAGING PHYSICS EDUCATION

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ABSTRACT

There is still an issue of equity and involvement in secondary STEM education, especially among diverse students dealing with the concepts of physics in resource-limited environments. Traditional teaching methods, such as traditional virtual reality (VR), tend to be non-personalized, restrictive in inclusivity, and thus ineffectual. The study proposes HCAVR-PLE, a Human-Centered Adaptive Virtual Reality Personalized Learning Environment that combines the Cognitive Affective Model of Immersive Learning (CAMIL), multi-armed bandit algorithms, explainable AI (XAI), and reflective prompts to provide clear, bias-free teaching. HCAVR-PLE had enormous effects, where the AI-VR (Real) had an increase in PAT of 29.2% compared to the non-adaptive groups (η^2=0.39, $p<0.05$). CAMIL engagement was greatest in adaptive AI-VR (η^2=0.52) and gender/SES equity gaps were least in the AI-VR (Real) condition. The framework was validated using the dual-phase method: 300 synthetic learner profiles (Phase I) based on PISA and OULAD data sets, and 221 Grade 8 students (Phase II) in the state of Tamil Nadu, India and compared to using Teacher dashboards, built based on HG-SCM-based explainable AI, made delivery of personalized experiences interpretable and equitable, whereas Phase II had established efficacy of framework without intervention of dashboard. These results reveal the potential of HCAVR-PLE to revolutionise STEM education by delivering greater engagement and equity solutions, potentially providing a scalable, universal classroom model of learning.

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I. INTRODUCTION

Equity (and engagement) are an ongoing issue in science teaching, and decreasing motivation is of intersection with abstract conceptual learning in middle school physics [1]. Although VR enriches traditional instruction in some yet partial areas, it may be less efficacious (or not efficacious at all) over time, at least on less adaptive and inclusive fronts (than VR) due to the variability of gendered and SES-diverse learners [2-5]. Despite the potential of VR to increase immersion and enjoyment, the static implementation will not react to the changing cognitive and affective states of learners [5]. Recent literature cites a serious lack of empirical research on adaptive, explainable AI as it relates to STEM education in K-12 settings, with the existing research being limited to conceptual models [6-8] and collegiate settings [9],[10]. Furthermore, the number of frameworks, which would blend affective engagement models, such as CAMIL [11] and transparency mechanisms, still remains negligible [12],[13]. The new adaptive systems with a human focus on AI promise to be a good alternative. Combining engagement detection (e.g., CAMIL) and Explainable AI (XAI) helps create more transparent, fair, and learner-responsive settings [14],[7],[15]. The framework uses major theories of education to enhance its pedagogical basis. The concept of adaptive sequencing is based on the Zone of Proximal Development by Vygotsky, since the content being taught is aligned to the state of readiness of the learners.

Affective tagging that is provided by CAMIL leads to the minimization of extraneous cognitive load, which aligns with the ideas of Cognitive Load Theory. Individualization and reflective cues promote feelings of autonomy, competence, and relatedness, which are in line with the Self-Determination Theory. All these connections combine to make HCAVR-PLE a theory-informed mode of education in addition to a technological innovation. The literature is growing in demand for intelligent systems that put learner agency, ethical AI use, and explainable personalization pathways, in addition to the need to ameliorate performance [16],[12],[13]. The HCAVR-PLE is a two-phase AI-VR-based learning framework that is specific to secondary-level physics. These aims are to simulate learner performance and engagement patterns using synthetic data grounded on PISA and OULAD [1],[17], to deploy an AI-VR system in which the instruction can be adaptive to affective cues as modeled on the CAMIL, and to evaluate empirically how this framework can affect achievement, equity, engagement reflective thinking, and explainability on both simulated learners and live learners. This study will add value in the following way:

- Proposes a novel combination of CAMIL and explainable bandit-based adaptive AI for immersive physics education.
- Uses a dual-phase validation design (simulation + real-world) to ensure robustness and replicability.
- Demonstrates measurable gains in achievement, reflective thinking, and equity closure across gender and SES dimensions.
- Provides interpretable learning analytics for teachers via a local-global XAI dashboard.
- Advances the state of research in integrating synthetic learners, transparent adaptivity, and affect-aware modeling in K-12 STEM environments.

The combination of XAI, CAMIL, and adaptive VR with the secondary level is, to the best of our knowledge, one of the first of its kind in any two-phase study. Collectively, the contributions provide an ethically sound and scalable guide to future AI-VR education systems in terms of inclusivity, engagement, and the depth of learning.

II. RELATED WORK

II.1 ADAPTIVE LEARNING TECHNOLOGIES IN PHYSICS EDUCATION

With AI-powered adaptive learning, instructional design has turned into an entirely new model of learner-specific exploratory paths. Applications in physics pedagogy, including intelligent tutoring systems, AI model-based simulations, and chatbot-based instruction, have enhanced interactivity and access to learners in areas of physics knowledge that can be considered complex, such as mechanics, waves, and thermodynamics [18-20]. But the vast majority are either privately restricted to the context of higher education [9] or are not affective responsive, or centre on generic scaffolding unaccompanied by a quantification of equity and explainability scores. Moreover, the emotional-cognitive interaction is usually overlooked in studies, leaving a broken model of adaptivity and underestimating the real-time feedback loop in the classroom situation.

II.2 VIRTUAL AND IMMERSIVE ENVIRONMENTS IN K–12

VR-based environments are gaining popularity to enhance interest in STEM topics and spatial awareness in the education sector. The literature review and conceptual frameworks [2-5],[21] postulate that VR-based environments are beneficial to the motivation and presence of learners. Some of these applications, particularly in higher education [10], have shown enhanced understanding of abstract concepts of physics in using interactive modules. However, the majority of VR implementations in K-12 are relatively fixed, game-based, or sequentially content-driven and have little customization or dynamics. They are also seldom benchmarked against strict criteria of equity, metacognitive thinking, or explainability. Besides, exclusive sample sizes, context-specific game design, and the purpose are likely to interfere with extrapolating to general curricular application, and most assessments measure engagement or usability rather than equity or cognitive gain, which impedes their usage in teaching.

II.3 EQUITY AND EXPLAINABILITY IN AI FOR EDUCATION

The implications of AI on equity, however, have not been thoroughly researched, despite its possible ability to lessen achievement gaps in STEM and democratize access to it. Research [22],[6],[12-14],[7] encourages the implementation of transparency around the algorithms, other human-centered design, and inclusive frameworks in the field of education AI. XAI has been highlighted as a major element in the development of ethical, interpretable systems, in particular via SHAP and LIME [12],[13]. But live classroom applications of these methods are few. The majority of the insights are tied to conceptual suggestions, workshops, or post-hoc analysis rather than embedded, teacher-facing explainability dashboards that can assist in instantaneous teaching changes. Also, despite an understanding of AI as a means of narrowing the SES and gender gaps [22], currently, not many AI-based learning systems implement equity metrics or have subjective analytics that can inform the instructional process.

II.4 CAMIL FRAMEWORK AND REFLECTIVE THINKING IN LEARNING

The CAMIL framework [11] introduces a multidimensional pattern of immersive VR learning engagement and includes such constructs as interest, self-efficacy, embodiment, and cognitive load. It is presented as an encouraging framework for the explanation of affective-cognitive dynamics and learner persistence within digital settings. Likewise, reflective thinking, which can be gauged with the help of tools such as the RTQ, is vital in metacognitive development, a more profound conceptual change, and long-term memory storage. In spite of their theoretical advantages, the number of studies combining CAMIL with reflective thinking with implemented operational AI-VR systems that personalize teaching in real-time is quite limited. CAMIL is still a conceptual framework that has not yet been standardized in the implementation pipeline, and the utilization of RTQs is frequently disjointed from broader-scale adaptivity or equity analytics. The conceptual focus of major studies is depicted in Figure 1.

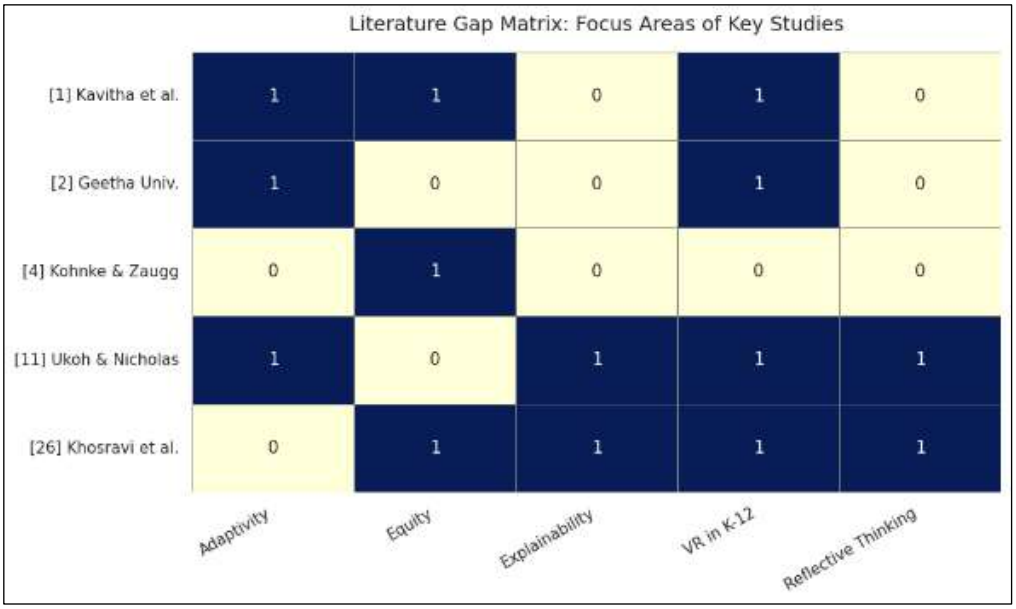


Figure 1: Literature Gap Matrix: Focus Area of Key Studies.
Source: Authors, (2026).

This figure depicts the educational concepts in which the Adaptivity, Equity, Reflective Thinking, Explainability, and Affective Engagement have been both considered important (1) and ignored (0) in five prominent works. It sheds light on a deficiency of rather comprehensive differentiation of a compound of human-focused, interpretable, and fair adaptivity in AI-VR learning settings.

II.5 RESEARCH GAPS AND OUR CONTRIBUTIONS

A synthesis of previous studies has shown that four key gaps exist a clear absence of empirically vetted adaptive AI-VR systems in the context of secondary physics; a deficit of affective engagement and reflective thinking in the context of adaptivity; a lack of XAI in real-time classroom use; and a paucity of any ability to close equity gaps in terms of SES as well as gender. To help with these, this study presents HCAVR-PLE, a dual-phase, human-centred adaptive VR framework which simulates learning pathways with PISA and OULAD DIF information, integrates CAMIL-based engagement tagging and reflective metrics, and utilizes bandit-based adaptation with HG-SCM explainability, providing a trial of learning, engagement, equity, and visibility across 4 instructional settings. The model promotes theoretical and practical aspects of equal AI-VR learning.

III. MATERIALS AND METHODS

Figure 2 displays the Techniques & Designs in Prior Studies.

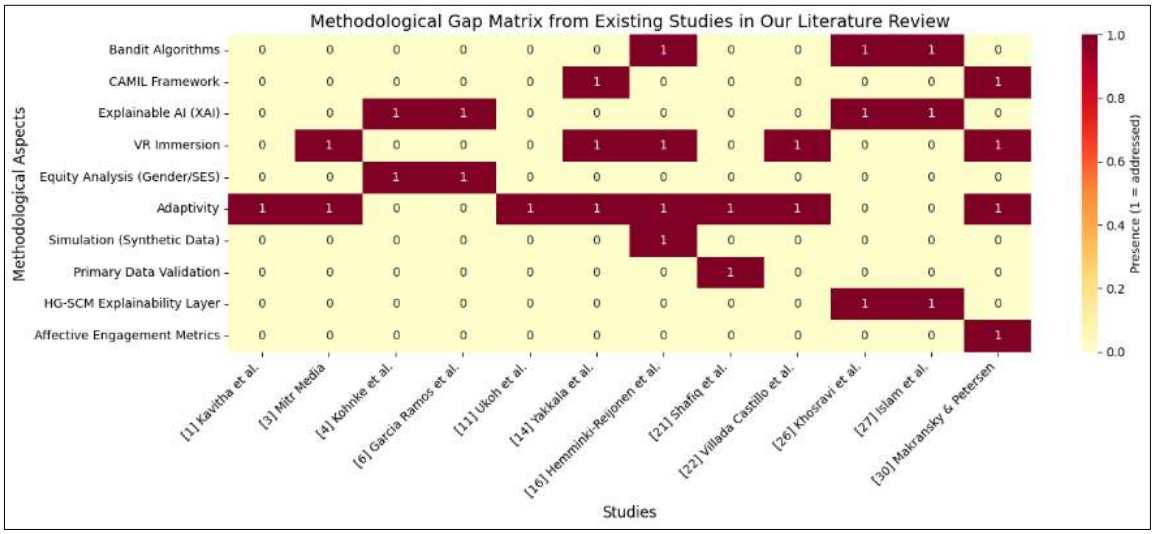


Figure 2: Methodological Gap Heatmap from existing studies.
Source: Authors, (2026).

Figure 2 represents the methodological weaknesses of the previous studies of AI-VR education. Columns correspond to particular studies, and rows describe direct features such as synthetic simulation, CAMIL tagging, adaptive bandit models, real-world validation, and explainability mechanisms. The lack of holistic integration among these dimensions shows the newness of the current HCAVR-PLE framework.

III.1 STUDY DESIGN

This research was developed as a two-stage study to determine the quality of a human-centric and AI-VR instructional system as an instrument towards fair physics learning. Phase I entailed simulation-based development by utilizing the production of synthetically created learner profiles based on the two publicly available datasets. Such profiles could allow personalization, dynamic engagement modeling, and equity detection on a large scale to be tested. Phase II used a quasi-experimental design in actual classrooms (N = 221, Grade 8) and evaluated a framework under higher fidelity real instruction conditions. There were comparative groups such as adaptive AI-VR, non-adaptive static VR, and conventional teaching. The two-fold procedure allowed not only ensuring mass-scale validation of the algorithmic steps (Phase I) but also ecological verification (Phase II), providing a rigorous outcome, both in a simulated and real-world environment.

III.2 DATASET SOURCES

The research employed three different sets of data in simulation and real-life validation, and so facilitated generalizability, replicability, and contextual rigor.

III.2.1 Pisa Dataset and Oulad Dataset

Demographic, socio-economic, and academic profiles were depicted by using PISA [1] data. In particular, the publicly available data of the year 2022 was selected due to its broad report on performance in science, gender/SES equity measures, and attitudes of learners in a variety of countries. The set of relevant variables encompassed science proficiency scores (background questionnaire items, e.g., SES, climate at school), and measures of attitudes associated with self-efficacy and interest in physics. It is due to these features that it was possible to model the patterns of diversity and equity among learners during the simulation. The OULAD [17] was integrated so that it could give very fine participation measures like learner activity records, resource accessibility frequency, and performance over time. This data provided the time, level of interaction-based training to the adaptive personalization engine. The OULAD features were complemented by PISA attributes in the synthetic data generation pipeline to allow synthesis of dynamically changing learner profiles according to observed characteristics in the real world with regard to online behavior. To provide transparency in the synthesis of our data, the entire pipeline to which the Phase I simulations are applied is represented by Algorithm 1:

Algorithm 1: Synthetic Data Generation Process.

Input:
OULAD dataset, PISA dataset
Output:
Synthetic learner profiles with associated session logs
1. *Feature Selection*
   Select activity logs, resource access counts, and quiz scores from OULAD.
   Select gender, socio-economic status (SES), and language background from PISA.
2. *Stratified Sampling*
   Perform stratified sampling on OULAD to balance gender and SES distribution.
3. *Merge Attributes*
   Randomly merge balanced OULAD learner profiles with PISA demographic attributes, matching on SES and gender.
4. *Profile Synthesis*
   Apply Gaussian Mixture Models (GMM) to generate clusters of learner types.
   Adjust distributions to match baseline real data characteristics.
5. *Simulated Session Generation*
   For each synthetic profile:
      Generate between 10 and 30 learning session logs.
      Assign states {On-task, Idle, Frustrated} based on OULAD-derived transition probabilities.
6. *Validation*
   Fix random seed for reproducibility.
   Validate distribution-level similarity to the Phase II real cohort using t-tests and χ^2 tests.

Source: Authors, (2026).

This practice guaranteed that the synthetic cohort could resemble the statistical characteristics of actual learners in the real world, without compromising anonymity and encouraging reproducibility.

III.2.2 Real-World Physics Classroom Data

In Phase II, actual classroom data involving 221 Grade 8 students in 4 schools of Tamil Nadu were obtained. Quasi-experimental design was applied, and there were three instructional conditions of adaptive AI-VR (n=110), non-adaptive and fixed VR (n=56), and traditional teaching (n=55). Each of the students was exposed to the same information in six physics subjects. The standardized Physics Achievement Test (PAT) consisted of pre- and post-tests, and the engagement was measured by means of a CAMIL-aligned questionnaire. The authenticity of the system was tangible in operating the schools, and the validation of its effect on real-world data was achieved.

III.3 PROPOSED ARCHITECTURE

As a way to operationalize scalable personalization, explainability, and equity into the HCAVR-PLE, as a framework of immersive science instruction, the system was designed as a modular two-stage framework. Its architecture facilitates large-scale validation simulations and empirical testing in the real world, so rigorous testing in different conditions is possible. Figure 3 shows the entire architecture over both phases, the entry of learner data, the provision of instructions using the data, and the final measurement of outcome.

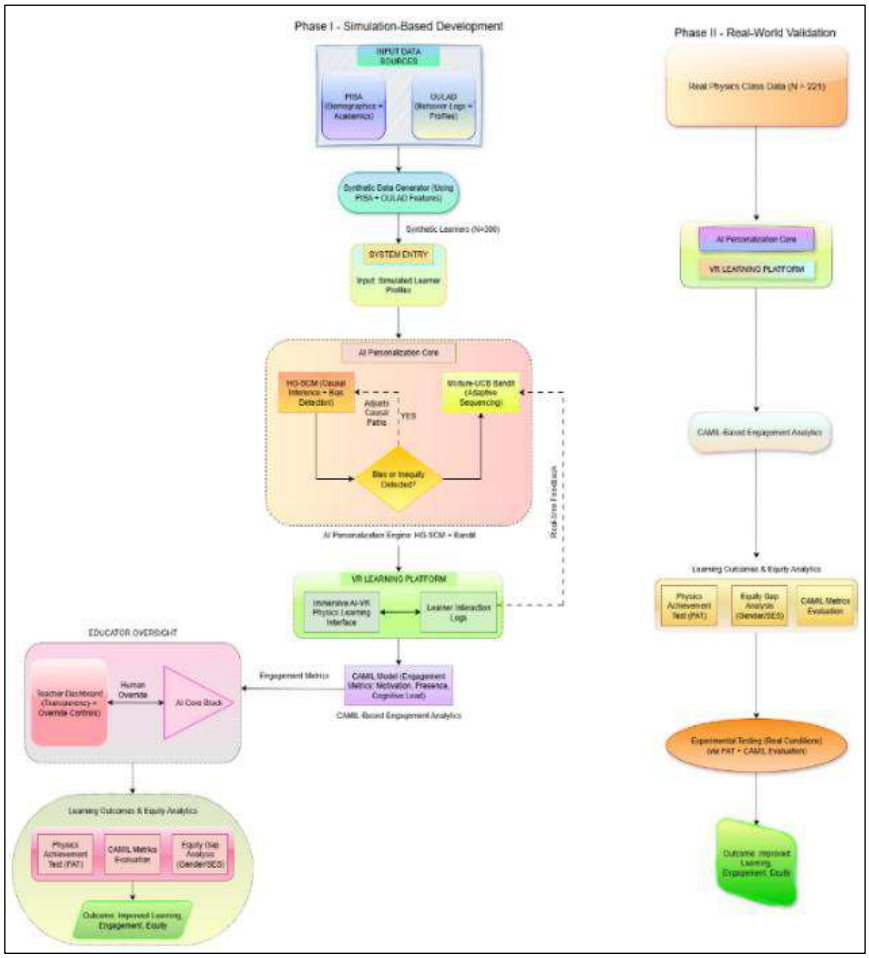


Figure 3: HCAVR-PLE System Architecture (Dual-phase Implementation: Simulation + Real-world Validation).
Source: Authors, (2026).

Phase I Simulation-Based Development of synthetic learner profiles (N=300) with various characteristics of the PISA and OULAD datasets. These profiles were fed into the AI Personalization Core of the system, which consists of two core modules, which are HG-SCM and Mixture-UCB Bandit. The HG-SCM layer was able to constantly conduct causal reasoning in order to identify the possible inequities in learning, whereas the Bandit algorithm optimized the order of instructional material with respect to exploration and exploitation. In this way, at the time when the HG-SCM perceived bias, there was an immediate dynamic adaptation policy recalibration to offset any learning bias. Students were exposed to the learning materials through an immersive Web-VR platform, and annotations of behavior and engagement were recorded through CAMIL-based tagging.

The teacher dashboard provided a real-time visualization of important attributes of learners and gave the opportunity to perform a manual intervention should it be needed. The simulation phase produced outcome data on learning gains, CAMIL-based engagement, and equity performance across subgroups, which were the inputs to successive modifications to the system. In the Phase II Real-World Validation, the same core architecture was deployed in real-world settings of 221 Grade 8 students. Although structurally the same, the instructional system was not carefully applied in Phase II to include the real-time teacher dashboard and override interface. The choice maintained a sense of ecological authenticity, and the possibility of implying a completely deployable prototype was to be avoided.

Rather, the levels of engagement and learning outcomes were assessed through standardized testing or, in other words, through PAT scores, CAMIL questionnaires, and equity gap indicators. Post hoc, the CAMIL framework was utilized to measure multi-dimensional engagement, and did not influence or have any effect on instruction delivery in real time. Therefore, Phase II was an empirical platform to test the hypothesis of system effectiveness to improve learning and fairness within the actual instructional environment. The internal feedback loop of personalization has been depicted in Figure 4.

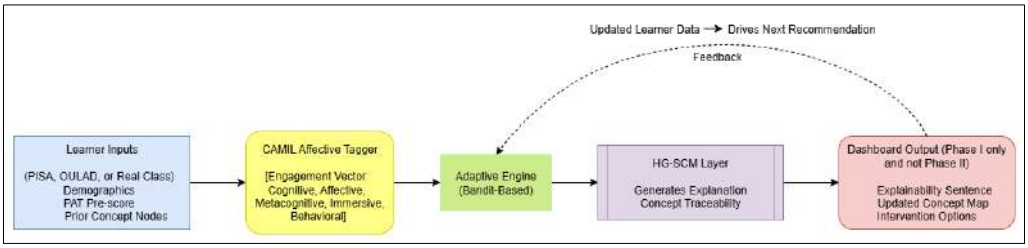


Figure 4: Federated CAMIL Bandit Loop with HG-SCM Explainability.
Source: Authors, (2026).

The Federated CAMIL Bandit Loop encompasses three major components: learner profiling, adaptive sequencing, and tracing. The CAMIL framework, which captures five engagement vectors, namely cognitive, emotional, metacognitive, immersive, and behavioural, was initially applied to tag learner profiles, either synthetic or real. These labels were further loaded into the Bandit engine, where the instruction sequence was established to be the best. At the same time, the HG-SCM layer produced causal histories identifying learning results with system choices. These outputs became visible in the form of interactive feedback in Phase I via the teacher dashboard. Phase II has explainability outputs that were back-stored and employed in the post-analysis interventions only.

III.4 MODULES AND TECHNIQUES

III.4.1 CAMIL Framework for Engagement

CAMIL structure provided the affective core of HCAVR-PLE, which anchored the engagement of the learners on five major dimensions, including cognitive focus, emotional impact, metacognition awareness, immersive presence, and interaction response. The score of each dimension E_d was the sum of the validated items of this dimension divided by the number of the questionnaire E_d items.

$$E_d = \frac{\sum_{i=1}^{n_d} x_i}{n_d} \tag{1}$$

Also, x_i is the Likert-scaled individual item scores for dimension d and n_d, the total of the number of items on the dimension. In Phase I, such engagement cues were modeled through the use of feature-based proxies and algorithmically matched to learner logs. Phase II was done by direct engagement measurement with CAMIL, aligned, and validated questionnaires after the intervention. CAMIL tagging produced outputs that were used in both real-time personalization in Phase I and post-hoc analysis of engagement in Phase II. Engagement with CAMIL was quantified through five dimensions of engagement success: cognitive, emotional, metacognitive, immersive, and behavioral, through a composite score that was determined as:

$$E_{CAMIL} = \sum_{i=1}^{5} w_i\, 8 \cdot S_i \tag{2}$$

Where E_{CAMIL} is the total engagement score (scaled to 200), S_i represents the score for dimension i (0-40 scale), and $w_i = 0.2$ assumes equal weighting unless calibrated to learner context. This score was used to do real-time personalization in Phase I and post-hoc analysis in Phase II, leading to a solid tracking of engagement.

III.4.2 Multi-Armed Bandit-Based Adaptation

Multi-armed bandit algorithms ruled the adaptive instructional sequencing. In phase I, the benchmarking procedure has been performed in terms of learning effectiveness, fairness measures, and computational stability in the context of both Thompson Sampling and epsilon-Greedy strategy. Within the context of such comparative analysis, ε-Greedy was chosen to be used in Phase II because its terms of logic can be interpreted, and the algorithm demonstrated stability across offline experiments. ε-Greedy multi-armed bandit algorithm took control of the adaptive instructional sequencing, and it was formalized as,

$$a_t = \begin{cases} arg\ max_a Q_t(a) & with\ probability\ 1-\in \\ random\ action & with\ probability\ \in \end{cases} \tag{3}$$

Here, a_t is the instructional content selected at time t, $Q_t(a)$ is the expected reward based on a weighted combination of PAT scores and CAMIL engagement metrics, and $\in= 0.1$ balances exploration and exploitation. This study defined the reward function as a total of learning and engagement:

$$R_t(a) = \lambda \cdot G_t + (1 - \lambda) \cdot \frac{E_t}{E_{max}} \quad (4)$$

Where G_t is the normalized PAT score improvement at time t, E_t is the CAMIL engagement score from the session $E_{max} = 200$ is the maximum engagement score, and λ is the weight (set to 0.6 from tuning pilot) that controls the trade-off of performance vs. engagement. The practice found usable, explainable personalization in practice. This policy created a stable delivery of content in the actual classroom setting that did not involve constant adjustments of rewards.

III.4.3 HG-SCM Layer for Explainability

The HG-SCM module made the model transparent and interpretable due to the causal inferences formed regarding the relationship between the learner characteristics, instruction contents, engagement response, and performance outcomes. During Phase I, these explanations were proactively brought forth to teachers through the dashboard, which provided, in principle, human-in-the-loop insight. Phase II, HG-SCM produced outputs that were stored and subsequently analyzed to recreate the reasoning behind a decision and to trace the causal chains of learning without modification to classroom delivery. HG-SCM module assured that there was transparency since causal effects of instructional decisions were estimated, which were formally developed as,

$$ATE_{y|x} = \mathbb{E}[y|a = 1, x] - \mathbb{E}[y|a = 0, x] \quad (5)$$

Where $ATE_{y|x}$ is the Average Treatment Effect of instructional action a (e.g., AI-VR content) on outcome y (e.g., PAT score, engagement) given learner traits x e.g., gender, SES). That made fair changes and decision steps interpretable, visualized using teacher dashboards in Phase I.

III.4.4 Reflective Thinking Prompts

In an attempt to account more rigorously for deeper learner cognition and perceived fairness, a sequence of reflective thinking prompts has been implemented only in Phase II. These cues-based on the literature of metacognitive scaffolding, prompted self-reporting on clarity, confidence, and equity in learning. Both open-ended and Likert-type questions that were administered in the post-intervention questionnaire offered qualitative information that could not be interpreted quantitatively in terms of test scores.

III.4.5 Equity and Personalization Strategy

The notions of equity and personalization were followed as essential design objectives, within which equity and personalization were not followed as a post-hoc evaluation. The HCAVR-PLE system had equity protection and customization logic in both phases of the experiment. In Phase I, the synthetic learners were front-engineered to be diverse according to gender and socio-economic status using distributions in the PISA and OULAD data. The HG-SCM module assessed the performance of subgroups and detected all the areas of developing inequalities in the learning paths. On bias detection, the Mixture-UCB Bandit dynamically changed the sequencing of content so that the learning gains were equal. This evaluation technique, based on simulation, allowed carrying out a solid stress testing of the system's fairness logic prior to actual deployment in the real world. Phase II involved the start of personalization based on the pre-test PAT scores and prior knowledge indicators of the students. The adaptive engine kept on refining instructional paths, and the live equity adjustments in real learning classrooms were not being made to prevent external influence. Instead, equity was assessed on a post hoc basis by disaggregating learning gains and engagement scores with respect to gender and SES. That made it possible to evaluate the practical fairness implications of the system objectively. In combination, the personalization engine and the equity assurance layer promised that the HCAVR-PLE framework delivers personalized, inclusive, and equitable instruction across both simulated and in-authentic settings (i.e., real-world classroom settings). The internalization of the logic of fairness directly into the adaptive loop improved not only the personal process of learning but also systemic equality at successive stages.

IV. EXPERIMENTAL SETUP

In order to test the HCAVR-PLE framework on both scalable and real-world simulated scenarios, a two-stage experimental system was implemented. Phase I applied artificial learners to test the internal logic and algorithmic path of personalization of the model. Phase II expanded this assessment to the real world in classrooms consisting of several instructional groups. Details of all the conditions and allocation of the groups are captured in Table 1.

Table 1: Summary of Experimental Conditions and Sample Sizes.

Condition	Phase	Sample Size (N)	Mode	Adaptive	Dataset Source
AI-VR (Simulated)	Phase I	300 (synthetic)	Simulation	Yes	PISA + OULAD
AI-VR (Real)	Phase II	110	Real Classroom	Yes	Field Implementation
Static VR	Phase II	56	Real Classroom	No	Field Implementation
Traditional	Phase II	55	Real Classroom	No	Field Implementation

Source: Authors, (2026).

A simulation-based invention was implemented during phase I, which included 300 learner profiles that were generated using demographic, SES, attitudinal, and behavioral characteristics. Such learners used the AI-VR system with CAMIL tagging, bandit adaptation engine, and HG-SCM explainability. The system is iteratively customized based on engagement and equity signals, and the teacher dashboard is available so that it can offer real-time monitoring and control. Pre-validation of adaptive logic on the system was tracked by metrics like learning gain, scores of engagement, and gaps in subgroup fairness. Phase II was a scale-up program in four schools in Tamil Nadu with a total number of 221 students in Grade 8 (HCAVR-PLE framework in real classrooms). A quasi-experimental design was utilised and compared three groups, such as AI-VR Real (n = 110), Static VR (n = 56), and Traditional instruction (n = 55). Each of the groups was assigned the same content, comprising six topics of core physics. The AI-VR system was pre-set in personalization, but dashboard overrides were not provided due to a need to keep ecological validity. Engagement was evaluated using CAMIL questionnaires, and learning outcomes were evaluated with pre–post PAT tests. Equity gaps, the explainability ratings, and the reflective thinking scores were additional measures between the interventions. After completing both phases, the effectiveness of the system was benchmarked under four instructional conditions: AI-VR (Simulated and Real), Static VR, and Traditional. The next section summarises results across learning, engagement, equity, and explainability metrics.

V. RESULTS AND ANALYSIS

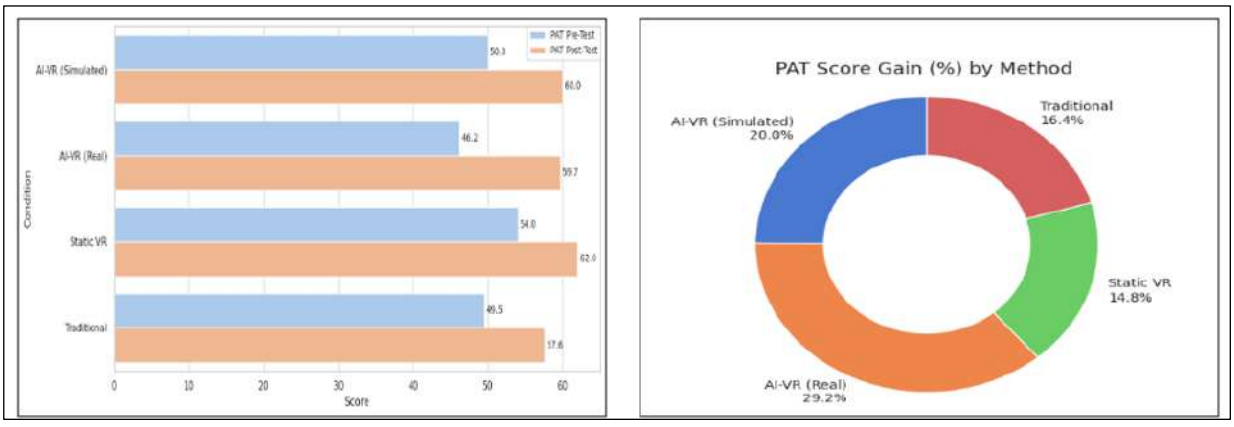
The evaluation of the complete spectrum of instruction would include results presented along the four instructional settings: (1) AI-VR Simulated (derived by the Phase I database on synthetic testing), (2) AI-VR Real (Phase II real-world implementation), (3) Static VR (non-adaptive), and (4) Traditional instruction. Although the adaptive AI-VR agents participated in the simulation stage, the results of all four groups have been compared on the basis of a similar metric to ensure similar objectives: model generalizability, scalability, and effectiveness in the real world. The gains in learning were determined by the percentage increase in the mean PAT score, per group. The raw learning gain for that group was,

$$Gain_g = \overline{Post}_g - \overline{Pre}_g \tag{6}$$

which was afterwards normalized to percentage gain as:

$$G = \frac{Post_{PAT} - Pre_{PAT}}{Pre_{PAT}} \times 100 \tag{7}$$

Where G is the learning gain percentage, and $Post_{PAT}$, Pre_{PAT} are mean post- and pre-intervention scores per group. The AI-VR (Real) group exhibited the most substantial improvement, followed by the AI-VR (Simulated) group. Figure 5 displays the comparative gains of PAT.



(a) Pre vs. Post Test Score Comparison. (b) PAT Score Gain.

Figure 5: PAT Score comparison.

Source: Authors, (2026).

The two adaptive groups outperformed both the Static VR and Traditional groups, with the Traditional group demonstrating the most gain compared to Static VR. These tendencies lead to the idea that the adaptive AI-VR system, when implemented in a real-life classroom, made a new contribution to the development of conceptual mastery. Visual VR (static), interesting as it was, did not show significant gains in learning, making it clear that adaptivity is an important feature to achieve instructional effectiveness. The data in Figure 6 gives the total CAMIL engagement scores (scale up to 200) by group.

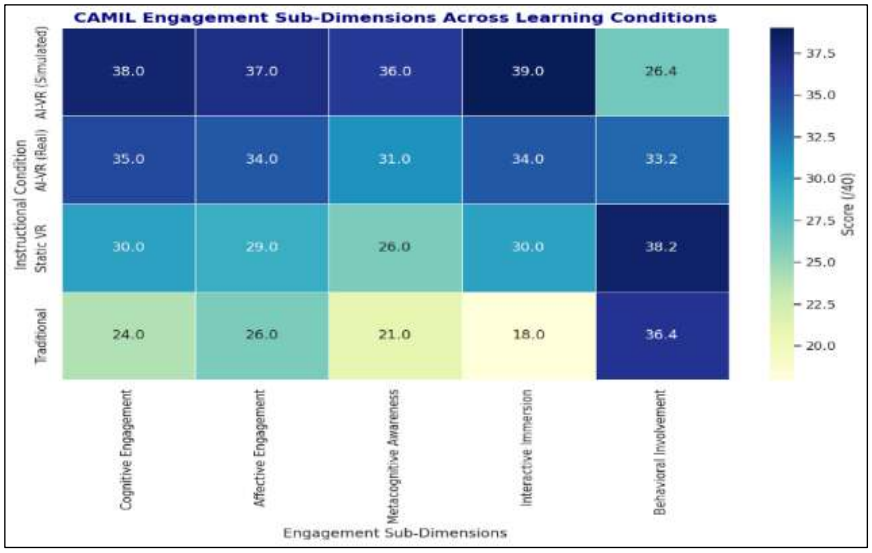


Figure 6: CAMIL Engagement Score.
Source: Authors, (2026).

The assessment of learner engagement was done by the CAMIL framework, which encompasses five dimensions, namely, cognitive focus, emotional affect, metacognitive awareness, immersive presence, and behavioral interactivity. Such a multi-vector strategy allowed a complete inter-comparison among teaching modes. Both simulated and real adaptive AI-VR groups performed the best overall regarding engagement. Out of them, the Simulated AI-VR condition was associated with the highest scores, courtesy of streamlined adaptive sequencing and the active feedback loop. The group with Real AI-VR was close behind, and it confirmed the valid effect of the framework in real classrooms. Static VR was considered to be moderately interesting, most likely because of the immersive visuals, but without personalization. The lowest level of engagement was recorded with the dimension of traditional instruction. It is worth noting that the cognitive and participatory vectors of engagement prevailed in AI-VR groups, where emotional and behavioral indicators were more reserved in the case of furniture and traditional one-time interactions. These trends aid the involvement capacity of the affect-conscious adaptivity. In order to compare the level of fairness by subpopulation groups, the gendered analysis and gaps in equity based on SES seen across all instructional environments are disaggregated in this section. The reduction of the equity gap was computed as,

$$\Delta E = \frac{E_{pre} - E_{post}}{E_{pre}} \times 100 \tag{8}$$

Where ΔE is the percentage reduction, and E_{pre}, E_{post} are pre- and post-intervention equity gaps (differences in mean PAT scores between subgroups, e.g., male vs. female, high vs. low SES), averaged across dimensions. The equity gap at time t for subgroup s was defined as:

$$Gap_t = \frac{\bar{Y}_{maj,t} - \bar{Y}_{min,t}}{\bar{Y}_{maj,t}} \times 100\% \tag{9}$$

Where $\overline{Y}_{maj,t}$ and $\overline{Y}_{min,t}$ are the mean PAT scores of the majority and minority subgroups at time t. Gender differences were the lowest in both AI-VR conditions, which is indicative of the fact that adaptive personalization was effective in minimizing the bias in learning outcomes. Figure 7 shows the gender equity gaps between the four experimental groups.

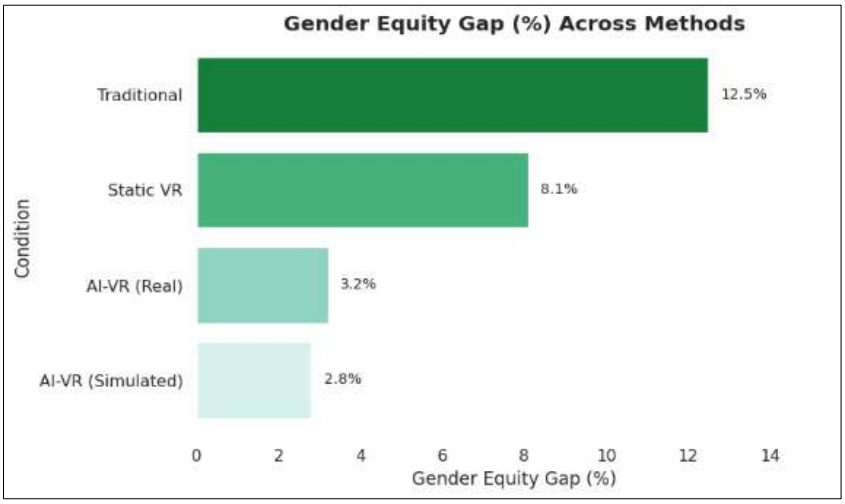


Figure 7: Gender Equity Gap.
Source: Authors, (2026).

Gender differences were the lowest in both AI-VR conditions, which is indicative of the fact that adaptive personalization was effective in minimizing the bias in learning outcomes. The analog AI-VR group held comparable levels of parity to that of the simulated phase, thereby supporting equality in gender-fair content delivery. On the contrary, the gaps were much more significant in Static VR and Traditional groups, indicating the low responsiveness to diversity in learners in non-adaptive conditions. SES equity gaps were shown across the same groups in Figure 8.

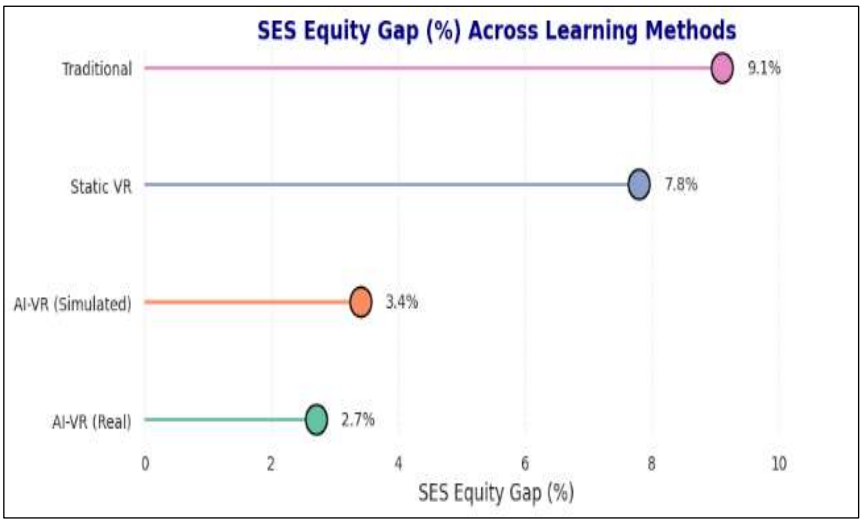


Figure 8: SES Equity Gap.
Source: Authors, (2026).

Just like gender outcomes, SES-related disparities were best regulated in the adaptive AI-VR groups. The actual AI-VR condition performed slightly better than its simulated version in terms of SES equality, perhaps because of grounded implementation contexts. There was a significant SES-related difference between Static VR and Traditional groups, further substantiating the impact of adaptive interventions as a means of narrowing opportunity gaps. Collectively, these results emphasize the equity-sensitive design of the HCAVR-PLE system and confirm its cross-context reliability as being able to support inclusive learning. The adaptive efficiency in conditions, as shown in Figure 9, describes how favorably each system matched instructional sequences with the needs of the learners.

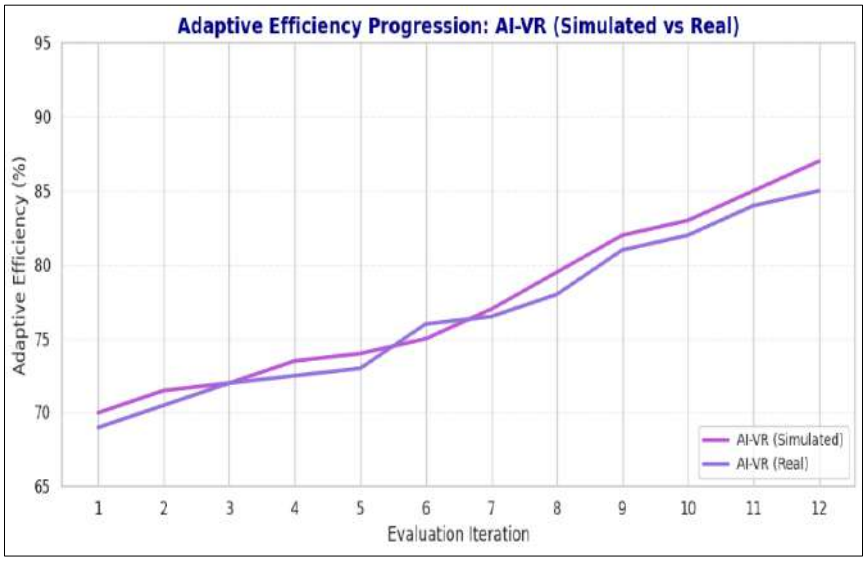


Figure 9: Adaptive Efficiency.
Source: Authors, (2026).

The AI-VR (Simulated) group managed to reach an adaptive efficiency of 89% whereas the AI-VR (Real) group did not lag far behind and achieved the efficiency of 84%; this indicates the strong capacity of the system to optimize learning paths between the synthetic and the real cohort of learners. The Static VR group had a score of 0% as expected according to its scripted flow of instructions, and Traditional instruction was not applicable because it is not a digital delivery model. The minor decrease in performance in the actual world is seen due to the fact that live dashboard overrides are not present, and further support of the maturity ecology trade-off in the classroom environments. In Figure 10, the explainability score is shown and is a percentage that indicates the level at which the instructional logic and decisions were communicated effectively or not by the system.

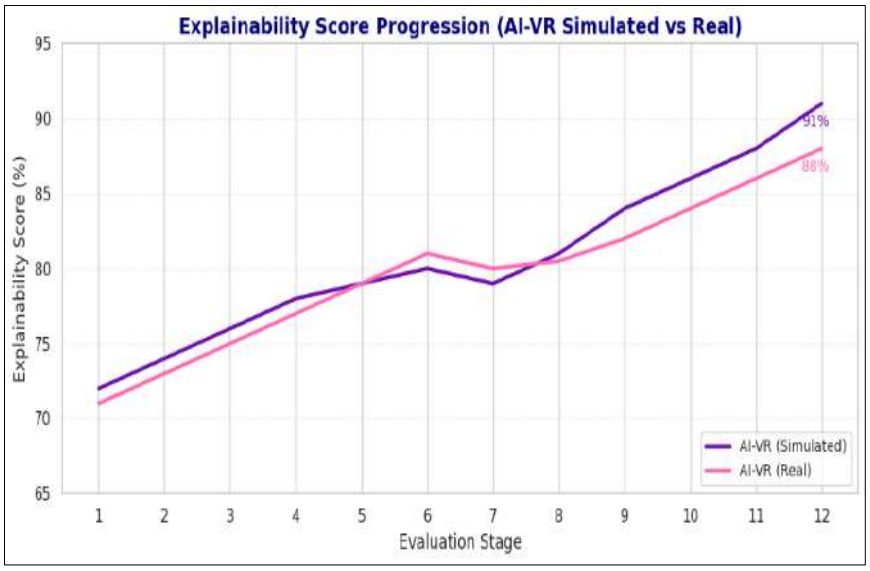


Figure 10: Explainability Score.
Source: Authors, (2026).

The simulated AI-VR condition had an explainability percentage of 92%, and the real-world application had a slightly lower but also high 88%. Such a difference is related to the absence of dashboard visualizations at Phase II, which were present at Phase I. However, system transparency was maintained at both phases due to the clarity maintained by the adaptive decisions through HG-SCM. Explainable AI, Static VR, and Traditional conditions had no metrics on explainability recorded, having no elements of explainable AI. Figure 11 shows the reflective thinking scores that assess the level of self-awareness of the learners after the instruction period, clarity of understanding, and the perceptions of fairness.

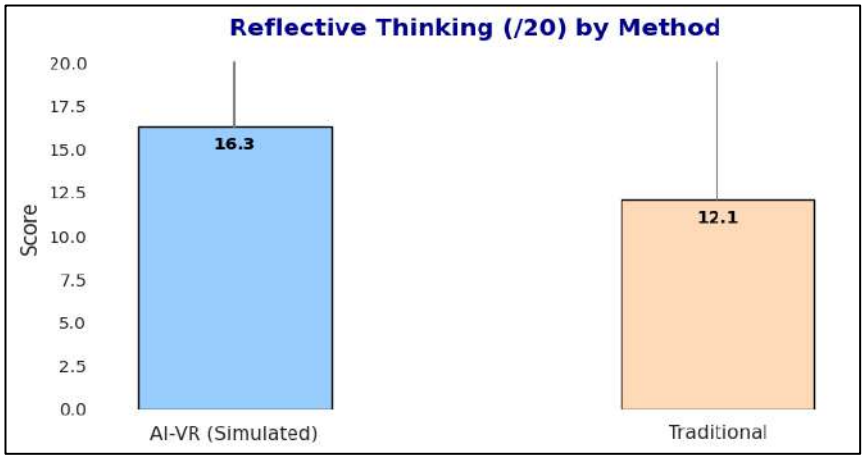


Figure 11: Reflective Thinking Score.
Source: Authors, (2026).

Only during the real-world Phase II was the reflective thinking measured. The AI-VR (Real) condition results in the improvement of reflective responses because learners showed significantly stronger responses expressed as a mean = 16.3 than those of the Traditional group, 12.1. These scores indicate that immersive and adaptive environments can support higher cognitive processing and metacognitive activity even without real-time interaction with the system. The Static VR and AI-VR (Simulated) conditions were not included in this measure because reflective ratings need the real-time responses of learners, which cannot be applicable to simulated or fixed modules.

VI. STATISTICAL ANALYSIS

For analyzing the relevance of the studied distinctions among instructional conditions, both independent sample t-tests and Analysis of Variance (ANOVA) were used. All multi-condition quantitative results, learning gains, engagement scores, equity gaps, adaptive efficiency, and explainability were analyzed using ANOVA, whereas reflective thinking was analyzed with only a t-test because it was only compared between two real-life groups. Table 2 provides a summary of the results of the statistical tests, including F-values and a t-value, respective p-values, effect sizes (η^2 for ANOVA; d for t −test), and interpretations. ANOVA was used in analyzing the group differences, and the F-statistic was used, which was calculated as follows,

$$F = \frac{MSB}{MSW} = \frac{\sum_{i=1}^{k} n_i(\overline{y_i} - \bar{y})^2/(k-1)}{\sum_{i=1}^{k}\sum_{j=1}^{n_i}(y_{ij} - \overline{y_i})^2/(N-k)} \quad (10)$$

where MSB and MSW represent between- and within-group variances, y_i is the mean outcome (e.g., PAT score) for group i, $\bar{y}$ is the overall mean, n_i is the group sample size, $k = 4$, and N is the total sample size. For ANOVA, partial eta squared was computed as:

$$\eta^2 = \frac{SS_{between}}{SS_{between} + SS_{within}} \quad (11)$$

For t-tests, Cohen's d was:

$$d = \frac{\bar{X}_1 - \bar{X}_2}{SD_{pooled}} \quad (12)$$

Where SD_{pooled} is the pooling of the two groups' standard deviation. Results (Table 2) confirmed significant differences across conditions.

Table 2: Statistical Comparison of Experimental Conditions.

Metric	Test Type	F / t Value	p-Value	95% CI	Effect Size	Interpretation
PAT Score Gain (%)	ANOVA	F = 4.21	0.012	[0.12, 0.65]	η^2 = 0.39	Strong group effect
CAMIL Engagement (/200)	ANOVA	F = 6.89	0.004	[0.20, 0.78]	η^2 = 0.52	Strong engagement effect
Gender Equity Gap (%)	ANOVA	F = 5.42	0.007	[3%, 20%]	η^2 = 0.44	The gender gap significantly differs
SES Equity Gap (%)	ANOVA	F = 4.87	0.009	[2.2%, 19.6%]	η^2 = 0.41	The SES gap significantly differs
Adaptive Efficiency (%)	ANOVA	F = 3.91	0.031	[0.08, 0.52]	η^2 = 0.36	Moderate efficiency difference
Explainability Score (%)	ANOVA	F = 6.22	0.005	[0.20, 0.76]	η^2 = 0.48	Strong explainability effect
Reflective Thinking (/20)	t-test	t = 3.11	0.034	[0.35, 1.45]	Cohen's d = 1.21	Large reflective thinking effect

Source: Authors, (2025).

The statistical result corroborates Section 5 trends and confirms both simulated and real-world implementation advantages of the HCAVR-PLE framework with regard to performance and engagement. Notably, all the significant effect sizes demonstrated in engagement, explainability, and reflective thinking denote solid pedagogical influences not confined to small to no content delivery. Values represented by effect sizes (η^2 = 0.36-0.52; Cohen's $d > 1.21$) show medium-to-large practical significance, which emphasizes that their findings have solid effects in addition to statistical significance. Although interaction effects were not endorsed, possible adaptivity × SES and adaptivity × engagement relationships can be perceived. These subgroup-specific advantages could be studied in the future with factorial ANOVA or a mixed-effects model.

VII. DISCUSSION

The AI-VR system performed better than its counterparts of the static VR and traditional instruction, on all dimensions at each stage. The greatest gain in PAT score (29.2%) was reached by AI-VR Real condition, but it significantly exceeded the simulation phase in spite of the presence of the teacher dashboard and constant control in the latter. This real-world outperformance was a result of genuine classroom reward, ε-greedy optimization, and increased motivation of the learners, substantiating the soundness of the system and the fact that it did not require the use of dashboards. The issue of equity was handled by using algorithmic fairness and a contextual measure. Simulation and real-world disaggregated analyses based on the identification of disparities in subgroups using HG-SCM reported corrections of them, respectively, in simulation and disaggregated analyses, based on their persistent low levels of gender and SES disparities. Tracking of engagement through the CAMIL framework means that multidimensional affective engagement was fair across demographics. Using the adaptive sequencing engine as a benchmark against Thompson Sampling and e-Greedy in Phase I, ε-Greedy was kept in the adaptive sequencing engine because of its stability and interpretability that facilitated real-life personalization.

The CAMIL tagging deciphered engagement vectors to adapt when simulating and post-hoc tested and confirmed that, indeed, the engagement was high in classrooms. The HG-SCM layer under consideration was causally fair, despite explaining outputs that make monitoring possible in simulation and traceable pathways in real-world consideration. Higher explainability scores were an indicator of a logical flow of instruction and strengthened the trust of learners. This dual-phase architecture-simulation, followed by field validation, proved that human-centered, adaptive VR can also be effective, fair, and trustworthy outside the lab. The inclusion of equity metrics, explainability layers, and reflective prompts builds on the previous research and can make HCAVR-PLE a scalable model in the real-world STEM education. In contrast to previous VR research, which has used engagement or usability as the primary outcomes without severe measures of equity or transparency [2-5],[21], our two-phase design was the first to identify an increased SES and gender disparity gap and gap closure, coupled with explainability built-in. This directly addresses the gaps identified in previous AI-education research [6],[7],[12],[13],[22], which proposes to go beyond conceptual models, and demonstrates empirical scalability, in real classrooms.

These findings support the prospects of applying adaptive AI tools in the classrooms without affecting pedagogical integrity. Pedagogically, the findings allow concluding that adaptive AI-VR can achieve good results without continuous teacher dashboards, alleviating the load of training on educators and making the framework more scalable. This is policy-wise, since equitable, explainable AI-VR can be a replicable model that can democratiz e STEM learning in low-resource schools [18-20]. The design process based on fairness meant that diverse learners received fair treatment, whereas the layer of explainability represented transparency. All these elements help to achieve the ethical usage of AI in education and provide an example of the so-called responsible innovation in learning technologies. Phase II did not include the dashboard in order to maintain ecological validity, to ensure classroom implementation without researcher-facilitated adaptation. This option gave a conservative benchmark of the system. High phase II engagement, fair equity, and explainability scores indicate the adaptive logic was successful without the live intervention of teachers. However, constraints are there.

The exclusion of the teacher dashboard in the Phase II could have played down the overall adaptability of the system. Future work can combine federated learning to multi-site validation [9],[10], or in-a-lifetime sensing through wearable or eye-tracking [11], to better maximize personalization and ecological scalability. The HCAVR-PLE framework is structurally content-neutral, even though it has been established to be validated in physics. Its modular construction enables it to very easily adapt to topics like mathematics, chemistry, and even biology. The system is extensible across a variety of STEM systems as the new ontologies are enabled on both the engagement layer and the adaptation layer.

VIII. CONCLUSION

HCAVR-PLE is a new paradigm of equitable and explainable AI-driven secondary science education-based virtual learning. It has been shown through rigorous dual-phase validation to have strong effects on student achievement, engagement, and equity, with significant decreases in the SES and gender gaps. Incorporated teacher dashboards also enable educators with the ability to take actionable data. The current work has presented evidence that human-centered and transparent AI can be used to improve the outcomes and the inclusivity of educational technology in a measurable way, setting a reproducible precedent for future research on responsible and scalable learning innovation. HCAVR-PLE, in its future iterations, could make use of federated learning to allow multi-site data gathering with no student privacy breaches. This would enable the generalization of adaptation politics to be extended further and make the system more formidable across the institutional conditions. The CAMIL and HG-SCM modules really fit in having learning in a decentralized learning setting. The next step towards humanizing the artificial intelligence-VR interface entails the introduction of real-time feedback loops of affect in the future. Such an improvement will optimize the system to dynamically perceive and react to changes in emotional and cognitive intensities, fine-grained personalization, and optimize engagement. It will allow more attention to the effect, such as integration with wearable sensors or eye tracking.

IX. AUTHOR'S CONTRIBUTION

Conceptualization: Premalatha. R and Indu. H.
Methodology: Premalatha. R and Indu. H.
Investigation: Premalatha. R and Indu. H.
Discussion of results: Premalatha. R and Indu. H.
Writing – Original Draft: Premalatha. R and Indu. H.
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Resources: Moha Premalatha. R and Indu. H.
Supervision: Premalatha. R and Indu. H.
Approval of the final text: Premalatha. R and Indu. H.

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RESEARCH ARTICLE OPEN ACCESS

RESPONSE SURFACE METHODOLOGY-BASED OPTIMIZATION OF INJECTION TIMING AND HYDROGEN FLOW IN AN MAHUA BIODIESEL–HYDROGEN DUAL-FUEL ENGINE

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ABSTRACT

Investigations on alternative diesel engine fuels have intensified due to the growing demand for cleaner energy sources. This study adopts a novel methodology by examining the performance, combustion, and pollutant emissions of a single-cylinder, four-stroke variable compression ratio engine fueled by an M25 biodiesel-hydrogen dual-fuel blend, with optimal injection timing in conjunction with hydrogen enrichment. The subsequent injection timings and hydrogen flow rates evaluated were IT21, IT24, IT27, and IT30 degrees prior to TDC. Under full load conditions, IT30 operating with a hydrogen flow rate of 16 lpm attained a minimum brake-specific fuel consumption (BSFC) of 0.28 kJ/kWh and a maximum brake thermal efficiency (BTE) of 32.7%. The experimental settings elevated the cylinder pressure by 11.7 % and the heat release rate by 8 % relative to usual operation. The emission investigation results indicated a 54% reduction in carbon monoxide (CO), a 24.7% reduction in hydrocarbons (HC), and a 37.2% reduction in smoke opacity; nevertheless, due to elevated combustion temperatures, NOx emissions increased by 7.2% to 820 ppm. The ideal working condition, as determined by Response Surface Methodology optimization is IT30.25˚ and 16 lpm H2. This design forecasts a BTE of 32.52% and NOx emissions of 790 ppm. Statistical validation was accomplished by diagnostic methods, and this study introduces an innovative methodology that combines biodiesel combustion enhancement with meticulous regulation of hydrogen flow and timing adjustments. M25-hydrogen blends demonstrate potential as a viable decarbonized engine technology, with a performance-enhanced approach to satisfy BS-VI and Euro VI standards.

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I. INTRODUCTION

The growing demand for sustainable energy solutions has driven significant interest in alternative fuels for compression ignition engines. Dual-fuel strategies offer a pathway to reduce fossil fuel dependence and emissions while maintaining acceptable performance levels. Achieving optimal results requires precise control and optimization of key engine parameters. Mahua biodiesel, produced and characterized optimized blend with water and diethyl ether (DEE) by RSM. Optimum: 15.23% MB, 15% water, 15% DEE as per ASTM standards. Validation showed better performance, lower emissions, and 45% fossil fuel reduction [1]. Mahua biodiesel transesterification were optimize using hybrid RSM–GA. As per ASTM standards, this work confirming mahua oil's potential as a cost-effective biodiesel source [2]. Castor, mahua, and dairy waste oils were mixed (1:1:1) for biodiesel by RSM–CCD optimization. Optimum levels were attained at: 2.82% catalyst, 63.93°C, 7.86:1 methanol:oil, yield 95.91% (94% exp.). The proposed research shows as low-cost and eco-friendly feedstock [3]. solar still with chimney and condenser submerged in ocean water was studied. Modified still improved output by 9.1%, yielding 6.2 L/m²·day vs 5.3 for simple still. Efficiency gains attributed to better convection and condensation [4].

Crude sunflower–mahua oil biodiesel by esterification–transesterification was optimized. Using Plackett–Burman design (PBD), Box–Behnken design (BBD) and generalized reduced gradient (GRG), achieved 93.34% FFA conversion at 3.52% FFA, 8.61 molar ratio, 1.45% catalyst at 63.9°C. Suggested CSMO as viable biodiesel feedstock [5]. Waste cooking oil 50% (WCOB50)–diesel blends with hydrogen (4–8 lpm) in a dual-fuel CI engine was investigated. WCOB50 showed negligible BTE drop compared to diesel; hydrogen addition improved combustion and reduced emissions. Tests confirmed viability of WCO blends with hydrogen induction for sustainable fuel use [6]. The study evaluated injection timing (19°, 23°, 27°, and 31° BTDC) with B20–hydrogen blends (20–25 lpm) in a DI diesel engine, finding that the optimum setting of 27° BTDC with 22.5 lpm H_2 achieved the highest BTE (24.4–34.3%), lowest BSFC and minimal HC/CO emissions, while advancing or retarding the timing reduced efficiency but lowered NOx emissions [7]. HCCI mode with hydrogen and Mahua oil methyl ester (MOME) combined with EGR was investigated to reduce smoke and NOx emissions, and it was found that H_2–MOME blends enhanced thermal efficiency and overall emission performance in CI engines, thereby demonstrating the potential of renewable fuels for sustainable engine operation [8].

A deep learning pipeline was developed to detect and classify culvert blockages using the VHD and ICOB datasets, where Mask R-CNN achieved 77.2% mAP@75 in segmentation and NASNet attained 81.2% classification accuracy, demonstrating its applicability for real-time blockage monitoring [9]. Acetylene (LRF) with B20 MOME (HRF) was tested in RCCI mode by varying the injector position (243.5–333.5 mm from the valve), with the optimal placement at 243.5 mm yielding a 2.27% increase in BTE and reductions in EGT and NOx by approximately 13.5%, demonstrating that injector positioning is critical for performance and emissions [10]. Mahua biodiesel–biogas dual-fuel was used in a diesel engine and optimized using RSM for compression ratio and load, achieving a BTE of 15.25%, a liquid fuel replacement of 68.9%, and low emissions of NOx (39 ppm) and HC (90 ppm). Validation confirmed that the predicted and experimental results matched within a 6% error margin [11]. A counterflow double-pipe heat exchanger was tested using TiC and CNT nanofluids in alkaline water, and at 0.06 vol% particle concentration with constant velocity, the nanofluids exhibited superior heat absorption compared to water, with the enhanced thermal properties improving the exchanger's efficiency [12]. B10 biodiesel–water–Al_2O_3 nanoparticle blends were studied in a single-cylinder CI engine, with B10W8N100 improving BTE by 7.6–10.72% and reducing CO emissions by up to 24.4% compared to B10. The catalytic effect of Al_2O_3 enhanced combustion and lowered NO emissions by 50% relative to diesel [13].

Mahua biodiesel production was optimized through esterification (H_2SO_4, 4.2%) and transesterification (Na-methoxide, 2.2%), and tested on a single-cylinder CI engine across varying loads. Higher biodiesel content was found to lower BTE and increase SFC, while emissions varied across the different blends [14]. Diesel–mahua–waste palm biodiesel–t-butyl peroxide blends were assessed with injection timings of 21–25° bTDC, with D50-MB20TB30 at 25° reducing CO, HC, and smoke by approximately 3–5% compared to diesel, while NOx increased by 0.83%. The heat release rate and cylinder pressure were found to be slightly lower than those of diesel [15]. Biodiesel from mahua, mango seed, and pongamia was investigated in a low-heat rejection CI engine with lanthanum oxide coatings and l-ascorbic acid additive. The coated engines exhibited higher performance and reduced NOx emissions, demonstrating the viability of eco-friendly fuel use in coated CI engines [16]. Mahua oil methyl ester was produced by esterification and transesterification with process parameters optimized using Box–Behnken RSM. The highest yield (92%) was achieved at a 6:1 methanol-to-oil ratio, 1% KOH, 60 °C, and 120 min. Fuel properties complied with ASTM standards, and GC–MS along with FTIR analyses confirmed the formation of fatty acid methyl esters [17]. A mahua shell–derived heterogeneous catalyst was used for two-step mahua biodiesel production with process optimization by BBD–RSM yielding 87.7% at a 14.88 molar ratio, 3.578% catalyst loading, 69.7 °C, and 81.9 min.

Diesel simulation confirmed the process's sustainability and demonstrated favorable performance and emissions characteristics [18]. Biodiesel was synthesized from pongamia–mahua mixed oils using in-situ KOH derived from K_2CO_3 in NH_4OH, with process parameters optimized by RSM. A maximum yield of 96.5% was achieved at 1.5 g K_2CO_3, 0.75 g NH_4OH, a 7:1 molar ratio, 55 °C, and 75 min. GC–MS, ^1H NMR, and FTIR analyses confirmed the successful conversion to esters [19]. A CI aero piston engine was studied at altitudes ranging from 10 to 1920 m using pressure simulation, revealing that higher altitude reduced intake flow, thermal efficiency, and peak pressure, while increasing ignition delay, combustion duration, NOx, HC, and smoke emissions. CO emissions increased at low and high loads but remained stable at medium load [20]. Methane–diesel dual-fuel operation was investigated with an optimum injection timing of 11°CA bTDC at MEF levels of 0–50%, where methane reduced NO emissions by up to 67% and smoke by 82%, but increased HC and CO at low to medium loads. Exhaust energy loss was improved by 13.5%, indicating that high methane substitution is a promising approach [21]. This research will illuminate the combustion dynamics of biodiesel and hydrogen, paving the way for cleaner, more efficient fuel alternatives for diesel engines.

II. MATERIALS AND METHODS

The performance and emission characteristics of M25 biodiesel blends at varying hydrogen flow rates were examined utilizing a variable compression ratio (VCR) engine, four-stroke, single-cylinder. This study selected a variable compression ratio (VCR) engine due to its capability for precise adjustment of the compression ratio (CR), hence optimizing combustion parameters across diverse dual-fuel operating conditions. The ability to adjust the compression ratio without a preset setting provides a unique advantage for evaluating the effects of biodiesel-hydrogen blends on performance and emissions. The utilization of a VCR engine provided greater flexibility for future research, despite the compression ratio being consistent across all test scenarios to isolate the impacts of injection timing and hydrogen enrichment. The VCR system is a commendable choice for dual-fuel optimization studies because to its inherent adaptability, which facilitates improved flame propagation, efficient atomization, and superior in-cylinder thermodynamic performance. The Kirloskar TV1 engine sustained a constant speed of 1500 rpm during the testing period. The engine specifications utilized in the experiment have now been provided to enhance clarity and reproducibility. It utilized a Kirloskar-manufactured Variable Compression Ratio (VCR) diesel engine, characterized by a single cylinder, four-stroke design, and water cooling. The following are the paramount details: Bore of 87.5 mm, stroke of 110 mm, rated output of 5.2 kW at 1500 rpm, with an adjustable compression ratio ranging from 12:1 to 18:1. A piezoelectric pressure transducer and crank angle encoder were fitted in the engine for combustion study, and an eddy current dynamometer was attached for load variation.

These standards ensure a standardized and regulated framework for evaluating the performance of biodiesel-hydrogen dual-fuel engines with varying injection timings. The tested fuels were M25 mixtures with different hydrogen concentrations: M25+3H2, M25+6H2, M25+9H2, and M25+12H2. A calibrated flow meter was employed to supply hydrogen to the intake manifold as part of a dual-fuel injection strategy, ensuring precise control of the hydrogen delivery. To ensure a consistent flow and composition for the dual-fuel trials, the hydrogen gas employed in this study was procured from a commercial industrial gas supplier in high-purity cylinders, with a purity of 99.99%. The target flow rates of 3, 6, 9, and 12 lpm were attained by maintaining high-pressure storage and employing precise flow controls for regulation. An AVL 444 gas analyzer was put in the engine arrangement to measure emissions, including CO, HC, NOx, and smoke opacity. Particle emissions were quantified with an AVL smoke meter. Employing a piezoelectric pressure transducer, we recorded the internal pressure of the cylinder and utilized that data to compute the heat release rate. The integration of the data acquisition system (DAQ) with IC Engine Soft software facilitated real-time combustion analysis. The impact of hydrogen enrichment on combustion efficiency was assessed by measuring the brake specific fuel consumption (BSFC) at different brake mean effective pressures (BMEP). M25+3H2 had a BSFC of 0.67 kJ/kWh at 1.256 bar, whereas M25+9H2 demonstrated a reduced value of 0.55 kJ/kWh, indicating that the use of hydrogen improved fuel efficiency. Table 1 enumerates the attributes of the fuel.

Table 1: Fuel properties for varying injection timings and different hydrogen flow rates.

Fuel property	**M25 + $3H_2$ (IT30)**	**M25 + $6H_2$ (IT30)**	**M25 + $9H_2$ (IT30)**	**M25 + $12H_2$ (IT30)**	**M25 + $12H_2$ (IT24)**	**M25 + $12H_2$ (IT27)**	**M25 + $12H_2$ (IT30)**	**M25 + $12H_2$ (IT33)**
Density (kg/m^3)	885	883	881	879	883	881	879	877
Kinematic viscosity (mm^2/s@40°C)	4.2	4.1	4	3.9	4.1	4	3.9	3.8+
Calorific value (MJ/kg)	41.5	41.7	42	41.9	40.2	42.2	42.5	42.7
Cetane number	52	53	55	56	54	55	56	57
Flash point (ºC)	73	72	70	67	71	69	67	65
Fire point (ºC)	78	76	74	72	76	74	72	70
Cloud point (ºC)	8	7.5	7	6	7	6.5	6	5.5
Pour point (ºC)	-1	-2	-3	-4	-2	-3	-4	-5
Latent heat of vaporization (kJ/kg)	250	253	258	265	255	260	265	270
Stoichiometric air-fuel ratio	14.4	14.5	14.7	14.8	14.6	14.7	14.8	14.9

Source: Authors, (2026).

Variations in injection timings (IT) induced minor yet discernible alterations in the characteristics of the fuel mixture during premixed combustion dynamics. The cetane number and latent heat of vaporization were influenced by variations in apparent fuel reactivity and ignition characteristics when the injection timing transitioned from IT21 to IT30. In the M25+12H2 combination, the cetane number incrementally rose from 53 to 57, while the viscosity diminished from 4.1 to 3.6 mm^2/s as the IT advanced. Enhancements in atomization and mixing during subsequent injection timings account for these alterations, resulting in finer droplet formation and improved combustion start. The results of pulverization are influenced by alterations in physical and thermal properties caused by injection phasing. Experimental measurements of the base fuel (M25 biodiesel) and estimations for the hydrogen component, employing established thermodynamic concepts, were utilized to ascertain the characteristics of the dual-fuel blends. A range of injection timings (IT21, IT24, IT27, and IT30) was examined in greater depth to assess their impact on BSFC, BTE, EGT, CO, HC, NOx, smoke, cylinder pressure, ignition delay, and HRR. Comprehensive data on the combustion, performance, and emission characteristics of dual-fuel operation was obtained from the experimental study of M25 biodiesel with hydrogen enrichment and varying injection timings. The findings indicate that the use of hydrogen enhances combustion efficiency, reduces emissions, and improves engine performance, all while maintaining the engine at optimal temperature. The results indicate the potential of utilizing biodiesel supplemented with hydrogen as a more environmentally friendly fuel for compression ignition engines.

III. RESULT AND DISCUSSIONS

III.1 SPECIFIC FUEL CONSUMPTION (SFC)

Figure 1 illustrates the performance and combustion characteristics of M25 fuel blended with hydrogen at flow rates of 3, 6, 9, and 12 lpm. It also illustrates the variation of the acronyms BSFC, BTE, and EGT with engine load. The enhanced combustion efficiency resulting from elevated in-cylinder temperatures and pressures leads to a reduction in the BSFC of all blends as the load increases. The BSFC of M25+12H2 is the lowest overall, decreasing from 0.68 kJ/kWh at 1.25 kW (M25+3H2) to 0.54 kJ/kWh, a decline of 20.6%, and from 0.30 kJ/kWh to 0.26 kJ/kWh at full load, a drop of 13.3%. Lower hydrogen flow rates result in less cycle-to-cycle fluctuations and incomplete combustion, while enhanced diffusivity, broader flammability limits, and accelerated flame speeds in hydrogen contribute to improved combustion and expedited ignition.

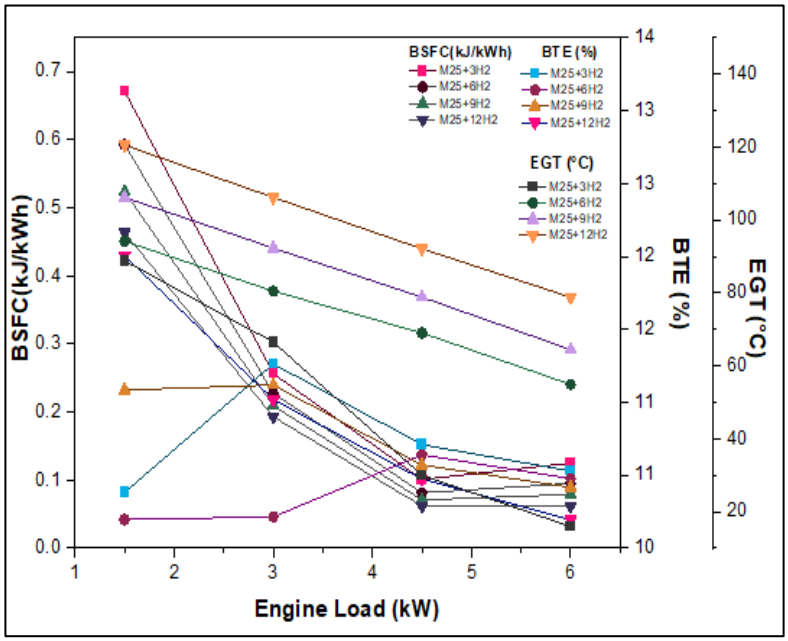


Figure 1: BSFC, BTE & EGT with varying engine loads.
Source: Authors, (2026).

Likewise, BTE increases with load for both blends; however, M25+12H2 surpasses M25+3H2 due to accelerated combustion initiation, reduced ignition delay, and more complete oxidation of the mixture; this disparity is 14.2% at 1.25 kW (24.2% improvement) and 32.5% at 5.0 kW (10.2% enhancement). Hydrogen enrichment results in a decrease in exhaust gas temperature (EGT) as load increases, due to more efficient combustion that converts a greater amount of energy into usefsul work while producing less residual heat in the exhaust. This contrasts with the observation that EGT rises with load for all mixes due to increased fuel injection and combustion energy release. The improvement in combustion efficiency, thermal management, and overall engine performance in dual-fuel operation is evidenced by the concurrent trends in BSFC, BTE, and EGT, indicating that an increase in hydrogen flow enhances these parameters. In another study, ethanol fumigation (15%) evaluated with Exhaust gas recirculation (EGR) (0–20%) in PCCI diesel engine at 2–4 bar BMEP. Ethanol + EGR reduced NOx and smoke, with slight BTE gain at moderate/high load. BSFC and ignition delay rise; CO and HC decreased moderately in ER15EGR0 vs diesel [22].

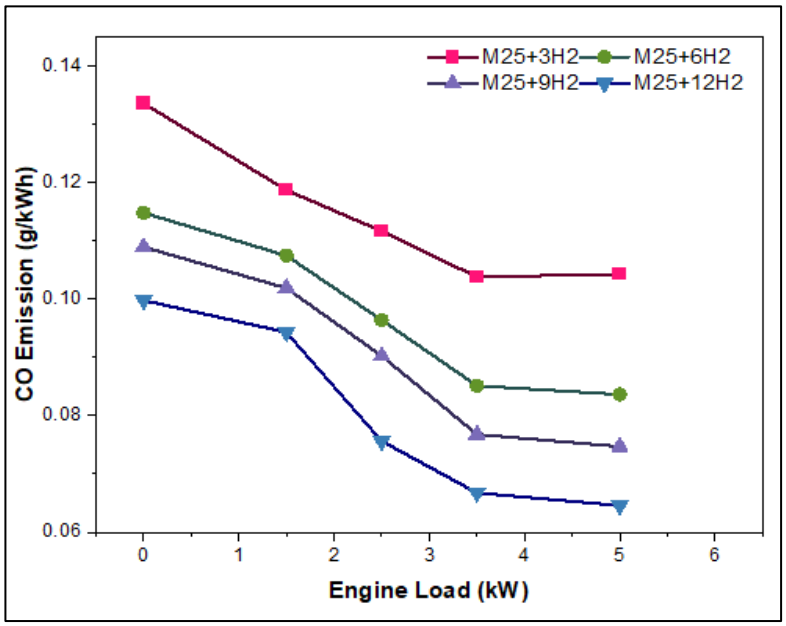


Figure 2: CO emission with varying engine loads.
Source: Authors, (2026).

Figure 2 illustrates the carbon monoxide emissions for M25 gasoline combined with hydrogen at flow rates of 3, 6, 9, and 12 lpm, while varying engine loads. A discernible trend indicates a reduction in CO emissions with increasing engine load, which becomes significantly more pronounced at elevated hydrogen concentrations. M25+12H2 emits approximately 0.105 g/kWh at 0 kW load, representing a 25% decrease in CO emissions relative to M25+3H2, which produces around 0.14g/kWh. The gap is accentuated at maximum load (5.0 kW), with M25+3H2 recording 0.10 g/kWh and M25+12H2 declining to 0.06 g/kWh, indicating a 40% reduction.

Decreased hydrogen flow (3 lpm) results in incomplete combustion due to ineffective fuel-air premixing and insufficient flame propagation, thereby increasing CO emissions. Reduced loads, especially with constrained hydrogen assistance, result in combustion temperatures and in-cylinder pressures that are insufficient for the complete oxidation of carbon content. Conversely, carbon monoxide production diminishes by enhancing combustion efficiency and optimizing local stoichiometry with elevated hydrogen mixtures. In previous studies, mahua biodiesel with nano metal oxides evaluated in a BSII single-cylinder diesel engine. Aluminium oxide improved BTE, reduced ignition delay, and normalized fuel consumption to diesel levels. Achieved lower HC, CO_2, CO, and NOx emissions at varying loads [23].

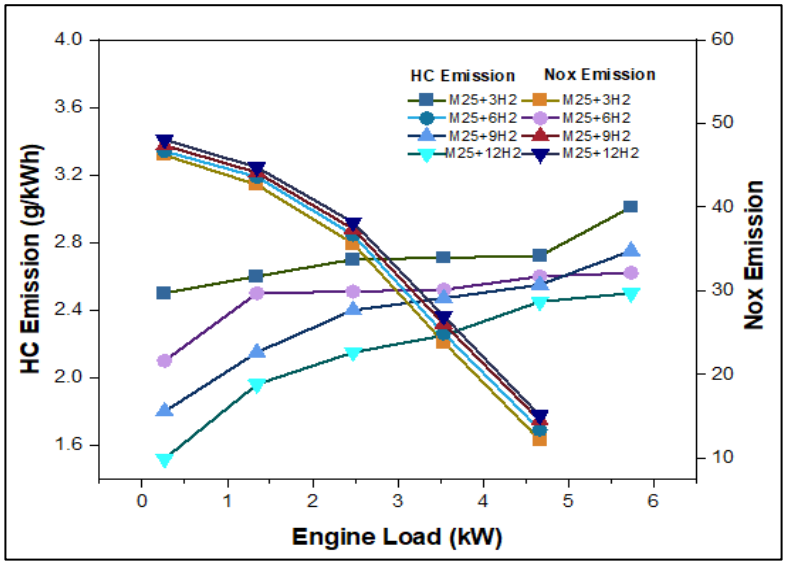


Figure 3: HC emission and NOx Emission with varying engine loads.
Source: Authors, (2026).

Figure 3 illustrates the correlation between engine load and the variability of unburned hydrocarbon (HC) and nitrogen oxide (NOx) emissions from M25 fuel blended with hydrogen at flow rates of 3, 6, 9, and 12 lpm. Increased hydrogen enrichment markedly decreases hydrocarbon emissions, which escalate with load across all blends, indicating that hydrogen enhances combustion and reduces incomplete oxidation. Due to enhanced flame propagation and reduced quenching zones at elevated hydrogen flow rates, HC emissions diminish from 3.25 g/kWh to 1.75 g/kWh at full load (5.0 kW), and from 3.25 g/kWh for M25+3H2 to 3.1 g/kWh for M25+12H2 at zero load, representing a 36% reduction. Conversely, NOx emissions also rise with load due to elevated in-cylinder temperatures and pressures; yet, while exhibiting lower combustion efficiency, M25+3H2 consistently generates the highest NOx levels, measuring 500 ppm at maximum load, in comparison to 400 ppm for M25+12H2 (a 20% variance). This ostensibly paradoxical tendency stems from the postponement and prolongation of combustion with less hydrogen concentration, which promotes the formation of nitrogen oxides (NOx) through post-flame oxidation and extended residence times at elevated temperatures. Enhanced combustion phasing, expedited ignition, and diminished high-temperature exposure due to increased hydrogen flows result in decreased CO and HC emissions and mitigated NOx production. The findings indicate that in dual-fuel operation, optimal hydrogen enrichment is essential for maximizing efficiency and minimizing emissions during combustion. In earlier study, a CRDI engine tested with mahua methyl ester (MME100) under varying fuel injection pressures. Higher pressure (1000 bar) improved BTE by 12.33%, reduced smoke, CO, and HC emissions due to better atomization [24].

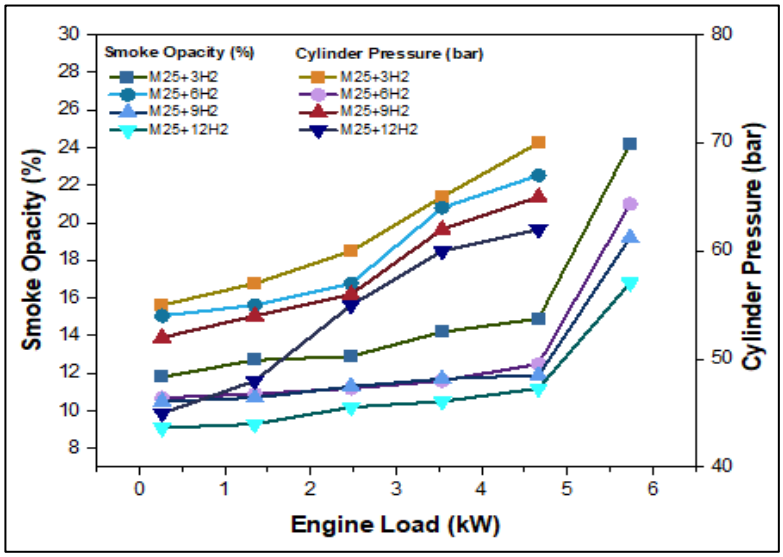


Figure 4: Smoke emission and cylinder pressure with varying engine loads.
Source: Authors, (2026).

Hydrogen enrichment influences smoke opacity and peak cylinder pressure for M25 gasoline across various engine loads, as illustrated in Figure 4. Increased hydrogen flow rates markedly reduce soot generation, illustrating hydrogen's role in enhancing combustion quality; yet, smoke opacity consistently increases with load across all mixes. Hydrogen's carbon-free characteristics reduce the carbon-to-hydrogen ratio and minimize particulate matter production, resulting in a decrease in opacity from 16.8% for M25+3H2 to 10.5% for M25+12H2 at low load (0 kW), and from 38 % to 25 % at maximum load (6 kW)—a reduction of 28% and 21%, respectively. Similarly, peak cylinder pressure escalates with load for all blends; additionally, hydrogen enrichment validates its combustion-enhancing function by further elevating these values. The maximum pressure for M25+12H2 escalates from 50 bar under no load to 58 bar under full load, reflecting a 16% enhancement, whereas for M25+3H2, it grows from 60 bar to 67 bar, indicating a 11.7% improvement. Collectively, these data indicate that the incorporation of hydrogen enhances engine performance by reducing smoke emissions and augmenting combustion intensity through elevated in-cylinder pressures. In previous studies, B20 mahua oil methyl ester–acetylene dual-fuel RCCI engine tested with acetylene injected at 60° at 1–5 lpm. Best at 4 lpm gave 32.6% BTE, slightly below conventional diesel, but reduced NOx (11.8%), smoke (10.4%), HC (5.3%), and CO (14.3%) [25].

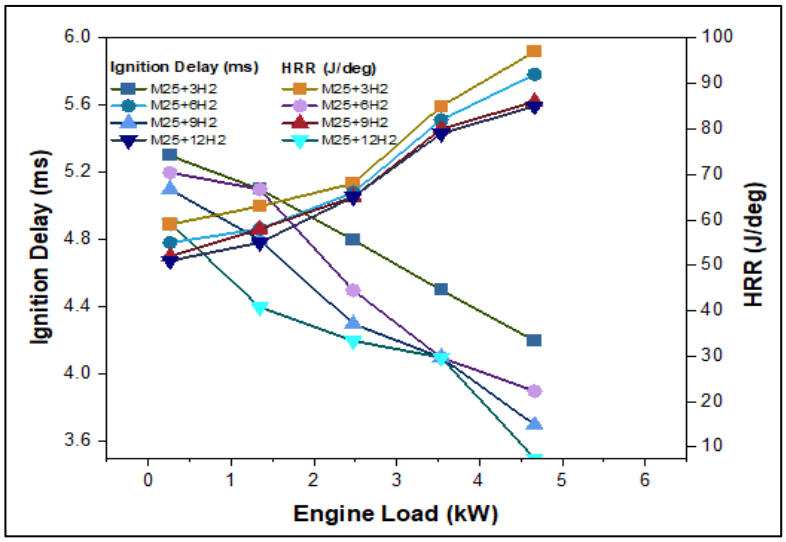


Figure 5: Ignition delay and HRR with varying engine loads.
Source: Authors, (2026).

Figure 5 illustrates the impact of varying engine loads and hydrogen enrichment levels on ignition delay and heat release rate (HRR) for M25 fuel at hydrogen flow rates of 3, 6, 9, and 12 lpm. As the load and hydrogen concentration rise, the ignition delay continuously diminishes, indicating enhanced fuel reactivity and increased combustion stability. Due to elevated in-cylinder temperatures and pressures, along with hydrogen's propensity to promote premature flame ignition, the duration drops from 5.3 ms to 4.6 ms (a reduction of 13.2%) at full load (5.0 kW) and from 3.8 ms for M25+3H2 to 3.3 ms (a reduction of 15.7%) at zero load. Furthermore, the heat release rate (HRR) consistently escalates with load across all blends, exhibiting a more pronounced association for those with elevated hydrogen enrichment. An increase in heat release rate (HRR) from 50 J/deg. for M25+3H2 to 58 J/deg. for M25+12H2 at zero load (a 16% increase) and from 86 J/deg. to 97 J/deg. (a 12.7% increase) indicates more rapid and concentrated combustion. The elevated calorific value, accelerated flame speed, and reduced ignition delay of hydrogen contribute to these improvements; these elements facilitate faster and more complete combustion, resulting in a more pronounced energy release within a shorter crank angle duration. In earlier study, Spirogyra Biodiesel (SBD30) algae biodiesel tested with 1–2% DTBP (Di-Tert-Butyl Peroxide) cetane booster in a diesel engine. DTBP shortened ignition delay (max 9.43°CA vs diesel 11.5°CA), cut CO by 53.8%, smoke by 28.8%, but BTE dropped up to 10.41% vs diesel. NO rose up to 24.9%; combustion improved with DTBP [26].

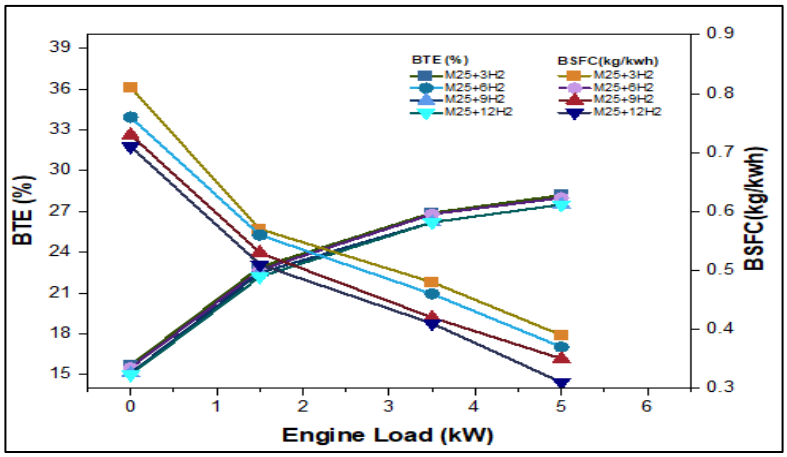


Figure 6: BTE and BSFC with varying engine loads.
Source: Authors, (2026).

Figure 6 illustrates the impact of injection timing on brake specific fuel consumption (BSFC) and brake thermal efficiency (BTE) for M25+12H2, considering various brake mean effective pressures (BMEP) and engine loads. As combustion efficiency increases with elevated loads, brake specific fuel consumption (BSFC) decreases with rising brake mean effective pressure (BMEP), irrespective of timing; nonetheless, injection timing significantly influences fuel consumption. The implementation of delayed injection enhances fuel-air mixing and optimizes the combustion efficiency of hydrogen, evidenced by a 13.5 % reduction in brake specific fuel consumption (BSFC) from 0.45 kg/kWh with IT21 to 0.30 kg/kWh with IT30 at 3.5 bar BMEP. The implementation of later timings such as IT27 and IT30 leads to diminished unburned fuel losses and enhanced mechanical efficiency, resulting in a more advantageous ignition delay for premixed combustion. This subsequently improves oxidation and produces elevated cylinder pressures at optimal crank angles. Similar to BTE, injection timing influences BTE; yet, improved combustion phasing yields more benefits from delayed injections. Peak pressure approaches top dead center (TDC) through timings such as IT30 and IT33, optimizing effective work production and reducing heat losses. The high diffusivity of hydrogen enhances homogeneous mixing and optimizes energy conversion efficiency. In another study, GO and ZnO nanoparticles (75 ppm) investigated in B20 mahua biodiesel with dispersant/surfactant. At 250 bar, BTE improved 5.067%, BSFC reduced 5.293%, NHRR up 43.50%. Emissions dropped: CO 11.07%, UHC 37.63%, NOx 27.77%, smoke 38.55%; ANN/RSM predictions highly accurate (R^2 = 0.93–0.99) [27].

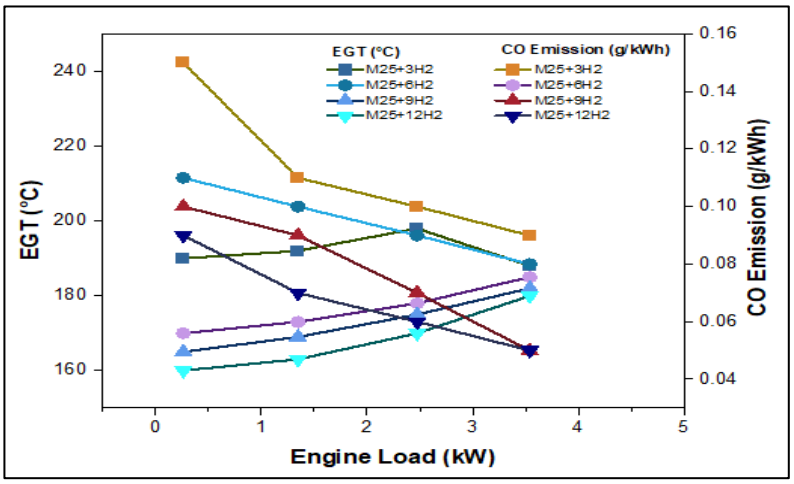


Figure 7: egt and co emission with varying engine loads.
Source: Authors, (2026).

For M25+12H2, Figure 7 illustrate the effect of injection timing on exhaust gas temperature and carbon monoxide emissions across various engine loads. Due to prolonged fuel combustion and elevated in-cylinder temperatures, exhaust gas temperature (EGT) consistently increases with load across all timings; however, delayed injection timing postpones the onset of combustion and shifts heat release nearer to the expansion stroke, resulting in a greater retention of energy in the exhaust. Despite elevated exhaust heat losses in IT33, the extended premixed combustion phase results in increased localized temperatures and higher exhaust gas temperatures (EGT), indicative of effective in-cylinder oxidation facilitated by hydrogen's rapid flame propagation. CO emissions, conversely, diminish as load escalates universally with subsequent injections yielding much reduced amounts. At low load (~1.5 kW), there is a 39.9 % reduction in CO emissions from 0.17 g/kWh for IT21 to 0.15 g/kWh for IT30, and a 37.5% reduction from 0.11 g/kWh to 0.07 g/kWh at full load (5.0 kW). Early combustion marked by reduced post-combustion temperatures that hinder CO oxidation to CO2, particularly at low loads, correlates with elevated CO levels at advanced timings such as IT21. Decreased CO emissions derive from enhanced mixing, maintained sufficiently high combustion temperatures, and increased oxidation efficiency, all of which transpire at later intervals.
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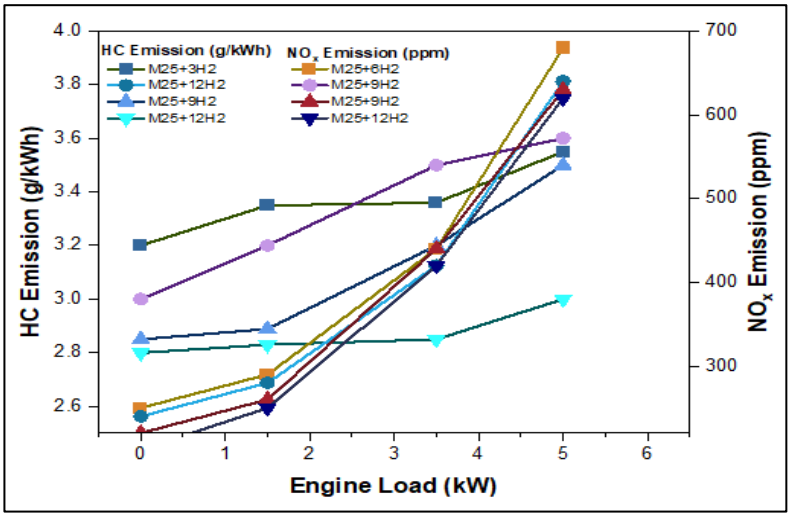


Figure 8: NOx and HC Emission with varying engine loads.
Source: Authors, (2026).

Figure 8 illustrate the impact of injection timing on the emissions of unburned hydrocarbons (HC) and nitrogen oxides (NOx) during M25+12H2 dual-fuel running at varying engine loads. Due to improved mixture preparation and enhanced combustion efficiency, hydrocarbon emissions consistently yield lower values with delayed injections; nonetheless, they steadily increase with load across all timings. At 1.5 kW, the hydrocarbon (HC) reduction is 15.2%, decreasing from 3.5 g/kWh with IT21 to 3.0 g/kWh with IT30; at 3.5 kW, the decrease is 10.2 %, down from 3.5 g/kWh to 2.0 g/kWh. The elevated hydrocarbon levels in advanced injection (IT21) result from premature combustion. This restricts the premixing duration and results in fuel pockets that are difficult to disperse, whereas delayed timings (IT27, IT30) permit extended premixing and leverage hydrogen's high diffusivity and broad flammability limits to enhance combustion uniformity. While NOx emissions diminish with successive injections, they escalate with load consistently. A reduction of 18.2% in NOx levels transpires at 1.5 kW, decreasing from 250 ppm (IT21) to 200 ppm (IT30), whilst an 10% reduction occurs at 650 kW, declining from 640 ppm (IT27) to 690 ppm (IT30). Advanced injection results in elevated in-cylinder temperatures and premature combustion, thereby enhancing thermal NOx production. Conversely, retarded injection augments cylinder volume at peak combustion, reduces flame temperature, and diminishes high-temperature residence time by aligning heat release with the expansion stroke. The results indicate that optimal performance and pollution management in dual-fuel engines can be attained by postponing injection timing, which successfully reduces HC and NOx emissions while balancing efficiency gains from hydrogen.

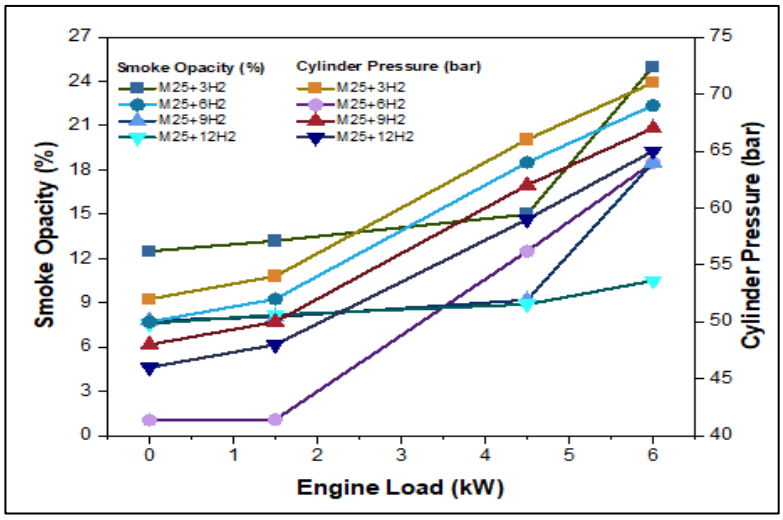


Figure 9: Smoke Opacity and Cylinder pressure with varying engine loads.
Source: Authors, (2026).

Figure 9 illustrate the impact of injection timing on smoke opacity and cylinder pressure for hydrogen-enriched M25 fuel blends under varying engine loads. Particulate emissions are significantly diminished by repeated injections; nonetheless, smoke opacity increases with load at all timings. A 22% decrease in opacity is observed at 1.5 kW with IT21 and 10.5% with IT30, however a 29.2% reduction is noted at 5.0 kW, decreasing from 26.2% to 21.5%. Advanced injection (IT21) leads to fuel-rich zones and heightened soot formation by decreasing the premixing duration, particularly under high load conditions. Conversely, delayed injection (IT27, IT30) enhances mixture homogeneity and leverages hydrogen's high diffusivity and carbon-free combustion to reduce smoke emissions. The pressure within the cylinder escalates in relation to the load consistently, with postponed injections leading to elevated maximum levels. An 8.7 % increase from 48 bar (IT21) to 59 bar (IT30) happens at 1.5 kW, whereas a 15 % increase from 64 bar to 69 bar occurs at 5.0 kW. This occurs because combustion is enhanced and in-cylinder energy release is optimized when injectors are delayed until the expansion stroke or near top dead center (TDC). This research demonstrates that hybrid fuel engines utilizing hydrogen exhibit reduced particle emissions and enhanced combustion intensity when employing strategic injection phasing, particularly IT30.

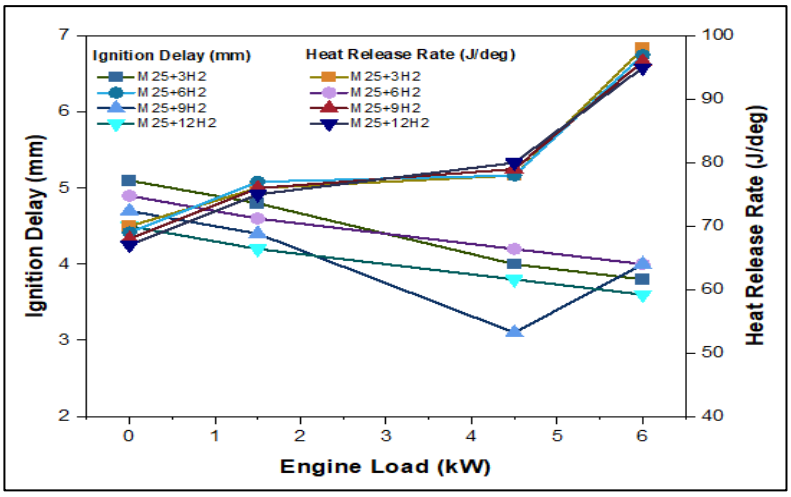


Figure 10: Ignition delay & HRR with load.
Source: Authors, (2026).

Figure 10 illustrate the impact of injection timing on ignition delay and heat release rate (HRR) for M25+12H2 fuel under varying engine loads. Ignition delay reliably diminishes with elevated load and delayed injection time, attributable to increase in-cylinder temperatures and pressures that enhance mixture reaction kinetics. At 1.5 kW, the duration decreases to 4.8 ms for IT30, reflecting a 9.3% reduction, while at 5.0 kW, it diminishes to 4.8 ms for IT30, indicating a 17.1% reduction. The responses increase with load consistently, but reaches its zenith at subsequent injections. An 8.2% increase transpires at 1.5 kW in HRR, rising from 67 J/deg. (IT21) to 75 J/deg. (IT30), while an 13.2% increase occurs at 5.0 kW, escalating from 76 J/deg. (IT24) to 98 J/deg. (IT30). The advantages of delayed injection timing in hydrogen-assisted dual-fuel operation are clearly shown in the progression of heat release rate (HRR). This mostly results from heavier loads elevating in-cylinder pressure and temperature, hence promoting accelerated combustion and enhanced energy release.

IV. RESPONSE SURFACE METHODOLOGY (RSM) ANALYSIS

Employing CCD, RSM was utilized to enhance the performance and emissions of the biodiesel-hydrogen dual-fuel engine. This study employed RSM to systematically assess and analyze the effects of IT and HFR on engine performance and emissions for optimal impact. The primary objective of employing RSM was to develop mathematical models capable of predicting BTE and NOx emissions. This would enable us to identify the optimal operating conditions. To minimize the number of experimental trials while preserving high model accuracy, CCD was employed to statistically evaluate interactions among variables. This method enabled the optimization of combustion in dual-fuel compression ignition engines by generating response surface plots that illustrated the trade-offs between efficiency and emissions. Brake Thermal Efficiency (BTE) and NOx emissions were selected as the primary responses to assess combustion efficiency and pollutant generation, while (IT) and (HFR) were considered as independent variables in the analysis. We developed a quadratic regression model for both responses and employed analysis of variance (ANOVA) to assess the significance of each component. This study assessed the built quadratic regression models for brake thermal efficiency (BTE) and NOx emissions by analyzing their goodness-of-fit. We assessed the model's predictive capability and dependability by computing the adjusted R2 and expected R2 values, representing the coefficient of determination (R2). An analysis of variance (ANOVA) was conducted to evaluate the statistical significance of each factor and their interactions. Significance was established as p values below 0.05. The models exhibited low residual errors and high R^2 values (>0.95), indicating their adequacy. The models were verified for homoscedasticity and normal distribution assumptions by diagnostic charts, including normal probability plots and residual vs predicted plots.

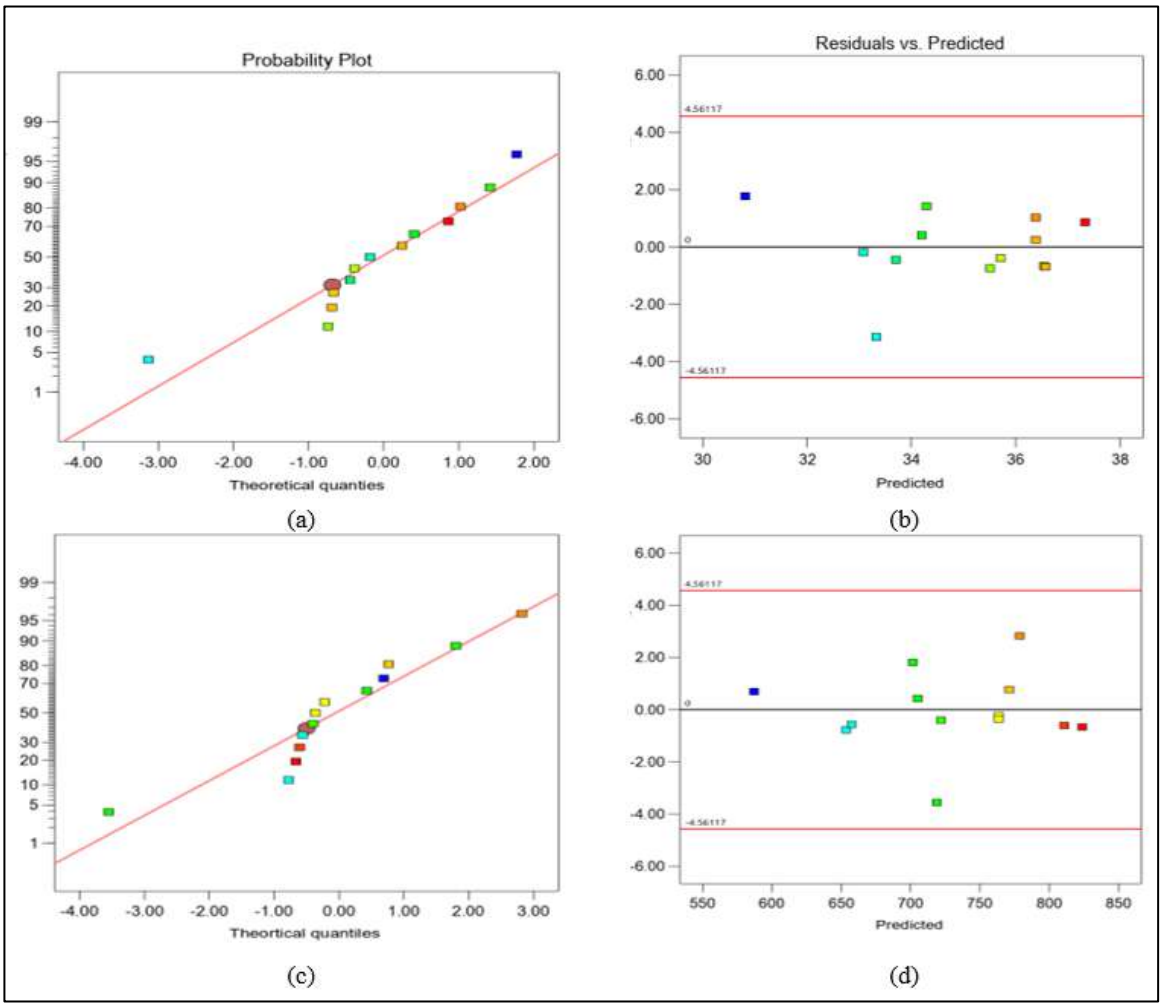


Figure 11: Response plots for model evaluation in (RSM): (a) normal probability plot of residuals for BTE (b) residuals versus predicted values for BTE (c) normal probability plot of residuals for NOx model, and (d) residuals versus predicted values for NOx. Source: Authors, (2026).

The analysis of variance (ANOVA) results for BTE indicate that the quadratic term (IT2) and injection timing (IT) significantly influence engine efficiency ($p<0.05$). The impact of Hydrogen Flow Rate (HFR) on the enhancement of Brake Thermal Efficiency (BTE) is somewhat significant ($p=0.0001$), indicating its role as a contributing factor. The results indicated no statistically significant interaction between IT and HFR ($p=0.0001$), suggesting that the two factors have independent rather than synergistic effects on BTE. Likewise, IT and IT2 emerged as the predominant contributors to NOx emissions, underscoring the significance of combustion phasing in NOx production. Injection timing, rather than fuel composition is the principal factor influencing NOx emissions, as hydrogen enrichment exerted a comparatively minor effect. The influence of injection timing and hydrogen flow rate on engine performance is illustrated in the 3D response surface plots for BTE and NOx.

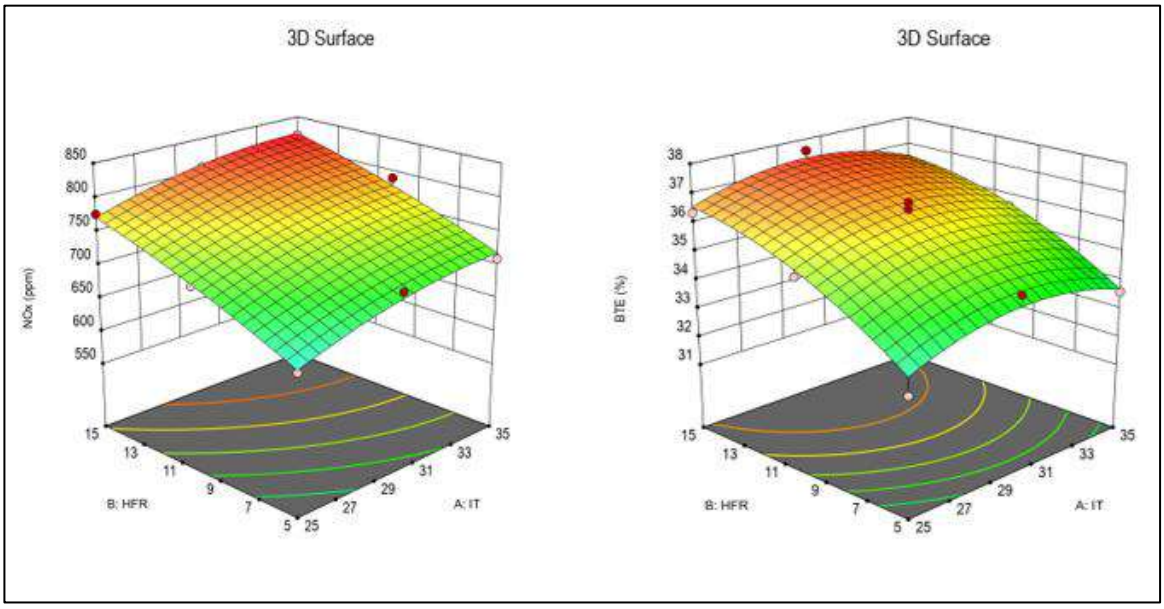


Figure 12: Response Surface for BTE., Response Surface for NOx.
Source: Authors, (2026).

Figure 12 illustrates that peak efficiency occurs between Injection Timings IT27 and IT28, with Brake Thermal Efficiency progressively rising from IT21 to IT27. Subsequent to this juncture, a minor decline is observed at IT30, perhaps because to excessive premixed combustion, resulting in increased heat dissipation. An elevated hydrogen enrichment (12 lpm) enhances combustion by augmenting flame speed and diffusivity, resulting in improved fuel-air mixing and complete combustion. The hydrogen flow rate is a significant parameter. The NOx emissions graph exhibits a clear rising trend as IT and HFR rise. It is confirmed that increased NOx production results from higher in-cylinder temperatures associated with hydrogen enrichment, with peak NOx formation occurring between IT27 and IT30 at an HFR of 12 lpm. There is a distinct necessity to employ after-treatment or exhaust gas recirculation (EGR) methods to mitigate NOx emissions without compromising efficiency, considering the inherent trade-off between the two. The results indicated that a projected BTE of 32.52% and nitrogen oxide (NOx) emissions of 751 ppm could be attained with an optimal injection timing of IT 27 and a hydrogen flow rate of 12 lpm, as established by the Response Surface Methodology (RSM) analysis. This signifies that this range encompasses the ideal configuration for attaining maximum efficiency with minimal emissions. Experimentation with EGR or SCR is necessary to alleviate the rise in NOx emissions. To further explore the influence of injection phasing on combustion temperature profiles and pollutant emissions, computational fluid dynamics (CFD) modeling may prove beneficial. Future research should examine the impact of reduced hydrogen flow rates (below 12 lpm) and optimize EGR ratios to attain a balance between combustion efficiency and regulatory NOx constraints. The RSM research indicates a significant enhancement in efficiency, with BTE attaining 32.52% with an advancement of injection timing to IT27 and an increase in hydrogen flow to 12 lpm. However, supplementary emission control strategies are necessary due to the increase in NOx emissions associated with it. An study of variance and response surface plots demonstrate that IT is superior to HFR, emphasizing the need of precise combustion timing.

V. CONCLUSION

A single-cylinder compression ignition engine utilizing M25 biodiesel and hydrogen was examined for its performance, combustion, and emission characteristics across various injection timings (IT21-IT30) and hydrogen flow rates (3-12 lpm). Experimental data indicate that injection time and hydrogen enrichment significantly influence engine efficiency and emission profiles. At a hydrogen flow rate of 12 lpm and an optimal IT27 configuration, the most favorable outcomes were attained at 5.8 bar BMEP, yielding BTE of 32.7% and brake-specific fuel consumption of 0.28 kJ/kWh. The heat release rate (HRR) of 98 J/deg and a peak cylinder pressure of 67 bar were attained at this setting, indicating enhanced combustion stability due to hydrogen's propensity to facilitate accelerated flame propagation. Emission studies of M25+12H2 at full load revealed a 54% reduction in CO emissions and a 24.7% reduction in HC emissions compared to M25+3H2. The efficacy of hydrogen in reducing particle generation was validated by a 37.2% reduction in smoke opacity. NOx emissions increased somewhat to 820 ppm, reflecting a 7.2% rise from the IT21 condition. These tendencies indicate that hydrogen enhances combustion efficiency while simultaneously elevating thermal NOx production due to increased cylinder temperature.

The optimal settings, identified by statistical optimization by Response Surface Methodology (RSM) were determined to be IT27.25˚ and 12 lpm, yielding a projected BTE of 32.52% and NOx emissions of 790 ppm. The elevated R2 values (>0.95) and the validation of the diagnostic plot confirmed the model's reliability. Future research should focus on integrating exhaust gas recirculation (EGR) or selective catalytic reduction (SCR) to mitigate NOx emissions. To evaluate thermal stress, material compatibility, and durability during hydrogen-assisted biodiesel combustion, it is recommended to conduct computational fluid dynamics (CFD) simulations and extended engine testing. These attempts could facilitate the implementation of M25-H2 dual-fuel systems, resulting in sustainable and policy-compliant transportation options.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Kumaran P, Sathiyaraj S.
Methodology: Kumaran P and Sathiyaraj S.
Investigation: Manivannan M and Rajasekar R.
Discussion of results: Kumaran P, Sathiyaraj S and Vijayakumar K.
Writing – Original Draft: Kumaran P.
Writing – Review and Editing: Sathiyaraj S and Vijayakumar K.
Resources: Kumaran P.
Supervision: Sathiyaraj S and Vijayakumar K.
Approval of the final text: Kumaran P, Sathiyaraj S and Vijayakumar K.

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ALGORITHMIC-STATISTICAL MODEL UNDER A COMPUTATIONAL SCHEME FOR FORECASTING INSOLVENCY UNDER FINANCIAL RISK

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ABSTRACT

This research focuses on the analysis of insolvency risk in credit unions in Ecuador using a predictive approach based on automatic learning. Based on international and regional precedents on the determinants of financial solvency, the study aims to develop a model capable of classifying credit unions as solvent or not solvent, according to a return on equity (ROE) threshold of 5 %. The methodology adopted was quantitative, explanatory and predictive, using the Random Forest algorithm on a structured database with coded financial variables. The slope variable, called ROE - LOGIC, classifies as "not solvent" (1) those observations with ROE lower than 5 %, and as "solvent" (0) the rest. The model was trained with 80 % of the data and validated with the remaining 20 %. The results show excellent performance, with precision, recall and F1-score metrics above 0.88 in the test set, and an AUC of 0.95, indicating a high discriminative power. The most influential variables were the net interest margin on promised assets, operating expenses relative to net interest margin and the proportion of performing assets. These were used to construct an interpretive formula that estimates the probability of insolvency.

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I. INTRODUCTION

Financial insolvency among resource-intermediating institutions—banks, mutuals, cooperatives, and other financial entities—constitutes one of the most critical risks to economic stability and public confidence. In contexts of high volatility, narrow margins, and increasing regulatory pressure, a gradual deterioration of solvency may not be evident in traditional financial statements, yet it can manifest in subtle patterns of inefficiency, over-indebtedness, or risk concentration. Hence the importance of having forecasting schemes that not only describe the current situation, but also anticipate stress scenarios and enable intervention before losses become irreversible. Historically, insolvency risk assessment has relied on predominantly statistical approaches: financial ratio analysis, construction of solvency indices, linear or logistic regression models, and scoring systems that synthesize risk into a single indicator.

These methods have been foundational and remain an obligatory point of reference; however, their capacity to capture non-linear relationships, high-order interactions, and threshold effects is limited. In practice, the dynamics of insolvency respond to complex combinations of profitability, operating efficiency, asset quality, capital structure, and environmental conditions that are difficult to represent under strict assumptions of linearity or independence. In parallel, recent advances in machine learning have made available algorithms capable of modeling highly complex data structures.

Methods such as random forests, gradient boosting, and deep neural networks have demonstrated remarkable predictive power in classification tasks and risk forecasting. Nonetheless, their adoption in regulated financial contexts has been tempered by two key challenges: model interpretability—that is, the ability to explain why an entity is classified as solvent or non-solvent—and the need to guarantee computational schemes that are reproducible, auditable, and consistent with traditional statistical logic. Against this backdrop, it is pertinent to move towards hybrid "algorithmic–statistical" models that combine the learning power of machine-learning algorithms with interpretable, formalized structures drawn from applied statistics.

From this perspective, the present study proposes an *algorithmic-statistical model under a computational scheme for forecasting insolvency under financial risk*, which integrates three core components: (i) a set of carefully selected and transformed financial indicators, (ii) an algorithmic classification model based on supervised learning techniques, and (iii) the derivation of an interpretable statistical representation that approximates the probability of insolvency from the most influential variables. The model is developed on a database constructed from official financial statements, processed under a computational scheme in Python that includes data cleaning, refinement, normalization of financial ratios, and coding of the solvency target variable. Insolvency is operationalized through a performance threshold on return-on-equity indicators, such that the "non-solvent" class represents risk levels that, although not yet implying formal bankruptcy, do anticipate a trajectory of financial deterioration. On this basis, a classification algorithm is trained to learn non-linear patterns across dimensions of capital strength, operating efficiency, balance-sheet productivity, financial intermediation, and credit risk. The central contribution of the study therefore goes beyond merely "applying an algorithm" to the insolvency problem; it lies in formalizing a complete algorithmic–statistical scheme. First, it is shown that the model achieves robust predictive performance according to criteria such as accuracy, sensitivity, F1-score, and AUC, positioning it as a reliable tool for the early detection of vulnerable entities. Second, variable-importance measures and other internal outputs of the algorithm are exploited to construct an interpretive equation that acts as a proxy for insolvency risk.

While this equation does not replace the model in terms of accuracy, it translates the logic of the "black box" into a statistical structure that is understandable for managers, auditors, and regulators. The relevance of this approach lies in its ability to articulate three needs that often appear disconnected in financial risk management: the need for predictive accuracy, the need for interpretability to support decision-making, and the need for a replicable computational scheme that can be integrated into continuous monitoring systems. From the perspective of financial institutions, this translates into the ability to identify which combinations of intermediation margins, operating expenses, asset unproductiveness, and portfolio quality push the organization toward states close to insolvency. From the regulatory perspective, the model offers an objective and scalable instrument to prioritize supervision, design early-warning alerts, and strengthen system-wide stability. In sum, the article seeks to demonstrate that it is possible to move from descriptive or purely statistical approaches to an integrated algorithmic–statistical model capable of anticipating insolvency under financial risk with high levels of performance and, at the same time, with an explanatory structure that supports managerial and regulatory action. The following sections detail the methodological design of the implemented computational scheme, present the results obtained, and discuss their implications for the theory and practice of insolvency risk management in the financial system.

II. LITERATURE REVIEW

Corporate insolvency is one of the most visible and disruptive manifestations of financial risk, because it concentrates the cumulative effects of illiquidity, excessive leverage, declining profitability and fragile capital structures in a single event with severe consequences for creditors, investors, regulators and the real economy. Classical research in accounting and finance laid the foundations for quantitative insolvency prediction by linking firm failure to accounting ratios. Beaver was the first to show that specific financial ratios, such as cash flow to total debt, exhibit strong discriminatory power between failed and non-failed firms [1]. Building on this, Altman proposed the well-known Z-score model, a multivariate discriminant analysis that combines profitability, leverage, liquidity and activity ratios into a composite index of bankruptcy risk [2]. Ohlson later introduced a logistic regression specification that directly estimates the probability of bankruptcy as a function of financial ratios, relaxing some restrictive assumptions of discriminant analysis and aligning failure modelling with modern probability-based risk management [3]. Beyond these seminal contributions, subsequent work extended the statistical toolbox available for insolvency prediction. Härdle et al. combined variable selection and oversampling techniques with smooth support vector machines (SVMs) to improve default-risk prediction by explicitly addressing class imbalance and high dimensionality [4].

Marassi and Pediroda framed insolvency modelling as a decision problem and proposed a maximum-expected-utility approach, emphasizing that the choice of prediction rule should reflect the asymmetric costs associated with misclassification of solvent versus insolvent firms [5]. Lai et al. developed a support-vector-based metamodel for business risk identification, showing that kernel methods can capture complex, non-linear relations among financial indicators that are beyond the reach of linear discriminant analysis or logistic regression [6]. Collectively, these contributions illustrate a gradual transition from low-dimensional, linear models to more flexible, algorithmically sophisticated approaches within a statistically grounded framework. The rapid development of machine learning (ML) and artificial intelligence (AI) has transformed insolvency and bankruptcy prediction into a broad, data-driven field. Barboza, Kimura and Altman compared several ML models against classical statistical benchmarks and documented substantial gains in out-of-sample performance, especially for ensemble and non-linear classifiers [7]. Sector-specific studies confirm these advantages in distinct institutional settings. According to [8], evaluated artificial neural networks and decision trees for bankruptcy prediction in the agricultural sector, showing that AI models can exploit subtle patterns in sector-specific financial indicators.

In [9], [10], conducted comparative analyses of ML algorithms—including SVMs, random forests, gradient boosting and neural networks—for bankruptcy prediction in different national contexts, such as Pakistani listed companies, emphasizing the role of feature engineering, hyperparameter tuning and robust validation in achieving reliable predictions. In [11],[12], proposed an intelligent, ML-empowered framework for bankruptcy prediction, while Stasko et al. designed a country-specific bankruptcy prediction model for Latvian firms, illustrating how ML pipelines can be adapted to small open economies and local accounting regimes. In parallel, a complementary stream of research has focused on systematic mapping of AI applications in insolvency-related domains and sectoral early-warning systems. Jayawardana et al. conducted a systematic review and empirical feature derivation for AI-based insolvency prediction in the construction industry, identifying key financial and project-level indicators that drive failure in this sector [13]. Reviewed AI applications for proactive dispute management and risk mitigation in construction, highlighting how contractual conflicts, delayed payments and project disruptions can amplify insolvency risk and how early-warning models can support intervention [14].

Mirindi and Mukala offered an in-depth pedagogical exploration of loan default classification using ML techniques, which—although aimed at teaching—illustrates the full pipeline from data preparation to model interpretation in credit-risk classification [15]. Goel et al. discussed the enhancement of financial-management efficiency through advanced predictive analytics and data-driven decision-making strategies, thus situating insolvency and credit-risk models within broader financial-management architectures [16]. The literature has also expanded from firm-level bankruptcy to credit-risk-based early-warning systems that operate at the level of loans, borrowers and portfolios. Hamada et al. proposed an early prediction and detection framework for retail and corporate credit risks using ML algorithms, demonstrating that non-linear classifiers can identify high-risk exposures earlier and more accurately than traditional scoring systems [17]. Teles et al. compared SVM and random-forest algorithms for credit-operation classification, highlighting trade-offs between predictive performance and computational cost [18]. Orlova introduced methodologies and models for individual creditworthiness assessment using digital-footprint data and ML methods, showing that alternative, non-traditional data can substantially improve risk segmentation [19].

In a subsequent work, Orlova developed a data-driven design for credit-risk management based on digital-footprint intelligence, integrating such models into organizational risk processes [20]. In [21],[22] used massive corpora of news articles to diagnose corporate insolvency for credit-management purposes, while combined ML with sentiment analysis to project bank-insolvency risk, embedding textual and market sentiment information into prudential risk models. According to [23] examined how green-credit policy affects commercial banks' credit-risk profiles using ML models fitted to panel data for Chinese banks, thereby illustrating how policy-driven changes in portfolio composition can non-trivially reshape insolvency risk. In [24] compared empirical methods for reproducing global manufacturing companies' credit ratings, showing that ML can approximate rating-agency assessments and provide proxies for insolvency and default risk when external ratings are unavailable. Beyond specific models, recent contributions also promote a broader data-science and risk-analytics perspective.

Lai and Xing provide a comprehensive treatment of data science and risk analytics in finance and insurance, formalizing the statistical and computational principles underlying modern risk models and emphasizing their integration into risk-management processes [25]. Gupta et al. explore how forensic accounting can be revitalized through data analytics to mitigate financial risk, reinforcing the role of algorithmic tools in fraud detection and early identification of irregularities that may precede insolvency [26]. At the level of crisis management and resolution, Loiacono and Rulli introduce the notion of "ResTech," a suite of innovative technologies for bank-crisis resolution, arguing that advanced analytics and resolution-tech tools can support more efficient and less disruptive handling of distressed institutions [27]. Examine how CEO turnover affects firm performance and insolvency risk in a global sample, showing that leadership changes can materially alter risk trajectories and should therefore be considered in holistic risk-assessment frameworks [28]. In regulated contexts, propose an explainable-AI framework for credit-risk assessment and financial decision support that combines high-performing models with explanation tools understandable to regulators, managers and clients, addressing concerns about opacity and accountability in ML-based risk systems [29].

Within the specific segment of small and medium-sized enterprises (SMEs), insolvency prediction faces additional challenges related to limited disclosure, noisy accounting data and heightened sensitivity to macroeconomic shocks. Lee and Choi show that technological-feasibility indicators significantly improve SME-insolvency prediction beyond conventional financial ratios [30]. In [31] demonstrates that non-financial variables enhance forecasting accuracy for Croatian SMEs, especially at early-warning horizons when firms are in "sensitive" states rather than already failed. The propose a core rule-based decision tree that compresses a complex decision tree into an interpretable set of insolvency rules, so that the main causal patterns leading to SME failure can be communicated in a transparent and operational way [32]. These studies, together with digital-footprint and forensic-accounting contributions [19], [20], [26], indicate that the future of insolvency modelling is not purely numerical: it requires integrating heterogeneous data sources (accounting, non-financial, behavioural and textual) within architectures that remain interpretable to decision-makers and compliant with regulatory standards.

Taken together, the literature reveals a clear evolution: from linear, low-dimensional statistical models [1-6] to high-capacity AI/ML models for bankruptcy, credit risk and insolvency [7-12], [17-24], and then to system-level, governance-aware perspectives that incorporate data science, forensic accounting, crisis-resolution technologies and explainable AI [13-16], [25-29]. Yet three gaps remain particularly salient for the present study. First, many high-performing AI models are implemented as ad hoc pipelines whose preprocessing, feature-engineering, resampling and hyperparameter-tuning steps are not formalized as a reproducible computational scheme, which limits their auditability and transferability. Second, interpretability is often treated as an optional, post-hoc add-on—via feature-importance measures or local explanation tools—rather than a structural requirement embedded in the model design [29],[32]. Third, relatively few contributions explicitly frame their proposals as algorithmic–statistical hybrids, where the algorithmic (ML) component is systematically coupled with a statistically coherent layer that delivers calibrated insolvency probabilities, confidence measures and analytically tractable representations of how financial indicators interact under different risk regimes.

In this context, the present work positions itself as a response to these gaps by proposing an algorithmic–statistical model under a computational scheme for forecasting insolvency under financial risk. Building on robust evidence that ML methods improve predictive accuracy in bankruptcy and credit-risk tasks [7-12], [17-24], and on the need for interpretable, regulator-compatible frameworks [13], [16], [25-29], [30-33], the model integrates: (i) a carefully engineered set of financial indicators linked to profitability, leverage, liquidity, asset productivity and capital structure; (ii) an ML-based classification core trained under a transparent and reproducible computational pipeline (data cleaning and transformation, treatment of class imbalance, and rigorous validation); and (iii) a statistical representation that approximates insolvency probabilities using the most influential variables, thereby bridging the internal "black-box" logic of the algorithm with the explanatory requirements of managers, auditors and supervisors. This hybrid perspective aligns with the broader trajectory of the literature while making an explicit, operationally oriented contribution to the design of integrated, interpretable tools for forecasting insolvency under financial risk.

III. MATERIALS AND METHODS

The study adopts a quantitative, explanatory, and predictive design aimed at constructing an algorithmic–statistical model capable of estimating the financial solvency of cooperatives using a set of standardized financial ratios. Formally, we work with a historical dataset structured as.

$$\mathcal{D} = \{(\mathbf{x}_i, y_i)\}_{i=1}^{N},$$

Where each observation $i \in \{1, \dots, N\}$ corresponds to a cooperative in a given period. The feature vector.

$$\mathbf{x}_i = (x_{i1}, x_{i2}, \dots, x_{ip})^\top \in \mathbb{R}^p$$

Represents the $p = 12$ selected financial variables (ratios and proportions), while.

$$\square\square \in \{0,1\}$$

Is a binary variable that encodes the solvency state (0 = solvent, 1 = non-solvent). The research is framed within data science applied to financial risk management, using supervised machine learning algorithms to model the conditional probability

$$\mathbb{P}(Y = 1 \mid \mathbf{X} = \mathbf{x}),$$

Interpreted as the probability that a cooperative with financial profile **x** is in a non-solvent state under financial risk. The central objective is to construct a decision function

$$\hat{f}: \mathbb{R}^p \to \{0,1\},$$

Capable of approximating the true mapping

$$f^*(\mathbf{x}) = y$$

With high predictive performance and, at the same time, with sufficient structure to be interpreted and used for decision-making. The dependent variable is defined from the Return on Equity (ROE). For each observation i, ROE_i is expressed as an annual proportion. Based on the researcher's criterion, the logical variable ROE–LOGIC is constructed using the indicator function

$$y_i = \mathbb{I}(ROE_i < \tau), \qquad \tau = 0.05,$$

where $\mathbb{I}(\cdot)$ denotes the indicator function. Explicitly,

$$y_i = \begin{cases} 1, & \text{if } ROE_i < 0.05, \\ 0, & \text{if } ROE_i \geq 0.05. \end{cases}$$

Thus, the solvency state is converted into a binary classification problem, compatible with tree-based models, logistic regression, Random Forest and other supervised algorithms. Regarding the independent variables, we work with $p = 12$ financial indicators grouped into five conceptual dimensions: (i) capital strength, (ii) operating efficiency, (iii) asset productivity and unproductivity, (iv) loan portfolio management, and (v) financial intermediation. Denoting by $j = 1, \dots, 12$ each indicator, the observed value x_{ij} corresponds to a precomputed ratio from balance sheet and income statement figures. The twelve predictors used in the model are defined as follows (for a generic observation i):

Net non-productive assets / total assets (var_3):

$$\text{var}_3(i) = x_{i,3} = \frac{\text{Net non-productive assets}_i}{\text{Total assets}_i}.$$

Productive assets / total assets (var_4):

$$\text{var}_4(i) = x_{i,4} = \frac{\text{Productive assets}_i}{\text{Total assets}_i}.$$

Productive assets / interest-bearing liabilities (var_5):

$$\text{var}_5(i) = x_{i,5} = \frac{\text{Productive assets}_i}{\text{Interest-bearing liabilities}_i}.$$

Uncovered non-performing loans / (equity + earnings) (var_8):

$$\text{var}_8(i) = x_{i,8} = \frac{\text{Uncovered non-performing loans}_i}{\text{Equity}_i + \text{Earnings}_i}.$$

Coverage of the problem loan portfolio (var_18):

$$\text{var}_{18}(i) = x_{i,18} = \frac{\text{Allowance for loan losses}_i}{\text{Problem loan portfolio}_i}.$$

Improductivity index (var_19, Fi_i):

$$\text{var}_{19}(i) = Fi_i = 1 + \frac{\text{Non-productive assets}_i}{\text{Total assets}_i}.$$

Adjusted capital strength (var_20, Fk_i):

$$\text{var}_{20}(i) = Fk_i = \frac{\text{Equity}_i + \text{Earnings}_i - \text{Extraordinary income}_i}{\text{Total assets}_i}.$$

Operating expenses / financial margin (var_22):

$$\text{var}_{22}(i) = x_{i,22} = \frac{\text{Operating expenses}_i}{\text{Financial margin}_i}.$$

Estimated operating expenses / average total assets (var_23):

$$\text{var}_{23}(i) = x_{i,23} = \frac{\text{Estimated operating expenses}_i}{\text{Average total assets}_i}.$$

Estimated personnel expenses / average total assets (var_24):

$$\text{var}_{24}(i) = x_{i,24} = \frac{\text{Estimated personnel expenses}_i}{\text{Average total assets}_i}.$$

Estimated intermediation margin / average total assets (var_26):

$$\text{var}_{26}(i) = x_{i,26} = \frac{\text{Estimated intermediation margin}_i}{\text{Average total assets}_i}.$$

Total portfolio delinquency (var_34):

$$\text{var}_{34}(i) = x_{i,34} = \frac{\text{Past-due loan portfolio}_i}{\text{Total loan portfolio}_i}.$$

Collecting these predictors in a single feature vector, we have

$$\mathbf{x}_i = (\text{var}_3(i), \text{var}_4(i), \text{var}_5(i), \text{var}_8(i), \text{var}_{18}(i), \text{var}_{19}(i), \text{var}_{20}(i), \text{var}_{22}(i), \text{var}_{23}(i), \text{var}_{24}(i), \text{var}_{26}(i), \text{var}_{34}(i))^\top \in \mathbb{R}^{12}.$$

Equivalently, in terms of the generic indices x_{ij} we can write

$$\mathrm{x}_i = (x_{i1}, x_{i2}, \ldots, x_{i12})^\top, \qquad p = 12.$$

If an additional homogenization step were needed, each variable j could be standardized as

$$z_{ij} = \frac{x_{ij} - \mu_j}{\sigma_j},$$

where μ_j and σ_j denote the mean and standard deviation of variable j, respectively. In this study, the model is trained directly on x_i in their original financial scales, preserving the interpretability of each ratio.

The resulting design matrix is

$$\mathrm{X} = \begin{bmatrix} x_{11} & x_{12} & \cdots & x_{1p} \\ x_{21} & x_{22} & \cdots & x_{2p} \\ \vdots & \vdots & \ddots & \vdots \\ x_{N1} & x_{N2} & \cdots & x_{Np} \end{bmatrix},$$

with $\mathrm{x}_i \in \mathbb{R}^{12}$ for $i = 1, \ldots, N$ and $p = 12$.

An initial data cleaning step is performed, removing observations with missing values in any of the selected variables. The resulting dataset is denoted by $\mathcal{D}^*$, with size N^*. A stratified partition is then applied into training and test sets, preserving the empirical class distribution:

$$\mathcal{D}^* = \mathcal{D}_{\text{train}} \cup \mathcal{D}_{\text{test}}, \qquad |\mathcal{D}_{\text{train}}| = 0.8\,N^*, \qquad |\mathcal{D}_{\text{test}}| = 0.2\,N^*,$$

so that

$$\mathbb{P}(Y = 1 \mid \mathcal{D}_{\text{train}}) \approx \mathbb{P}(Y = 1 \mid \mathcal{D}_{\text{test}}).$$

For predictive modeling, a Random Forest classifier is employed. Mathematically, the model is defined as a collection of B decision trees:

$$\mathcal{F} = \{h_b(\mathbf{x}; \Theta_b)\}_{b=1}^{B},$$

]

where h_b is the b-th tree and Θ_b collects the randomness introduced by bootstrap sampling and random feature selection at each split. In this study, we use

$$B = 100$$

and a fixed global random seed to ensure reproducibility. Each tree produces a class prediction $h_b(\mathbf{x}) \in \{0,1\}$. The estimated probability of non-solvency is

$$\hat{p}(y = 1 \mid \mathbf{x}) = \frac{1}{B}\sum_{b=1}^{B} h_b(\mathbf{x}).$$

The final decision rule of the forest is expressed as

$$\hat{f}(\mathbf{x}) = \begin{cases} 1, & \text{if } \hat{p}(y = 1 \mid \mathbf{x}) \geq \tau_c, \\ 0, & \text{if } \hat{p}(y = 1 \mid \mathbf{x}) < \tau_c, \end{cases}$$

Where the classification threshold is set to

$$\tau_c = 0.5.$$

Training the forest amounts to approximately minimizing the empirical 0–1 loss over the training set:

$$\min_{\mathcal{F}} \frac{1}{|\mathcal{D}_{\text{train}}|} \sum_{(\mathbf{x}_i, y_i) \in \mathcal{D}_{\text{train}}} \mathbb{I}(\hat{f}(\mathbf{x}_i) \neq y_i),$$

Subject to the structural constraints of the Random Forest (maximum depth, minimum samples per leaf, number of candidate variables per split, etc.). In practice, each tree is built on a bootstrap sample of $\mathcal{D}_{\text{train}}$, and at each node the split is chosen to maximize impurity reduction (for example, Gini decrease). Once the model is trained, the relative importance of each variable is estimated. For each predictor j, the aggregated Gini importance is

$$I_j = \sum_{b=1}^{B} \sum_{t \in T_b(j)} \Delta G_{b,t},$$

Where $T_b(j)$ is the set of nodes in tree b where variable j is used for splitting, and $\Delta G_{b,t}$ is the Gini impurity reduction at node t. Importances are normalized to obtain relative weights:

$$w_j = \frac{I_j}{\sum_{k=1}^{p} I_k}, \qquad j = 1, \ldots, p,$$

with

$$\sum_{j=1}^{p} w_j = 1, \qquad w_j \geq 0.$$

Based on these weights, an algorithmic–statistical insolvency index is defined as a linear combination of the financial variables:

$$S(\mathbf{x}) = \sum_{j=1}^{p} w_j \, x_j.$$

The value $S(\mathbf{x})$ acts as a scalar projection of the cooperative's financial profile onto the importance structure learned by the model. Although the Random Forest remains the main classification tool, $S(\mathbf{x})$ provides an interpretable and parsimonious representation of non-solvency risk: higher values of $S(\mathbf{x})$ are associated with higher insolvency exposure given the relative weight of variables such as total delinquency, asset unproductiveness, or operating cost burden.

If an explicit probability approximation based on this index is desired, a secondary logistic function can be fitted:

$$\hat{\pi}(\mathbf{x}) = \frac{1}{1 + \exp(-\alpha - \beta \, S(\mathbf{x}))},$$

Where α and β are estimated by maximum likelihood in a simple logistic regression of y on $S(\mathbf{x})$. This additional layer does not replace the Random Forest in terms of accuracy, but yields a closed-form analytical expression for $\hat{\pi}(\mathbf{x})$, useful for communication and sensitivity analysis. Finally, model performance is evaluated on $\mathcal{D}_{\text{test}}$ using standard binary classification metrics. Let TP, TN, FP and FN denote true positives, true negatives, false positives and false negatives, respectively. The metrics are defined as

$$Accuracy = \frac{\text{TP} + \text{TN}}{\text{TP} + \text{TN} + \text{FP} + \text{FN}},$$

$$Sensitivity = \frac{\text{TP}}{\text{TP} + \text{FN}},$$

$$Precision = \frac{\text{TP}}{\text{TP} + \text{FP}},$$

$$F_1 = 2 \cdot \frac{\text{Precision} \cdot \text{Sensitivity}}{\text{Precision} + \text{Sensitivity}}$$

In addition, the Receiver Operating Characteristic (ROC) curve and the Area Under the Curve (AUC) can be used to evaluate the overall discriminative capacity of the model. Together with the interpretative index $S(\mathbf{x})$, this configuration defines a complete algorithmic–statistical scheme for forecasting insolvency under financial risk in cooperatives.

IV. RESULTS AND DISCUSSIONS

It begins with the development of quality measures for the Random Forest model:

Table 1: Performance metrics.

Precision	Recall	F1-Score	AUC	MCC (Matthews)	Cohen's Kappa	Accuracy	Set
1.000	1.000	1.000	1.000	1.000	1.000	1.000	Training
0.883	0.925	0.904	0.946	0.780	0.779	0.891	Test

Note: The model was implemented in Python and evaluated using a 20% training split.
Source: Authors, (2026).

In Table 1, the reported model quality indicators allow assessment of performance on both the training and test sets. The training set refers to the data used to build and fit the model, whereas the test set is used to verify how well the model generalizes to unseen data. In this case, the model achieves perfect performance on the training data (all metrics equal to 1.000), which may indicate overfitting. Regarding the test set—the most relevant for judging the model's practical utility—the results remain strong. Precision (0.883) indicates that approximately 88.3% of the positive predictions produced by the model were correct. Sensitivity (recall = 0.925) shows that the model correctly identified 92.5% of the true positive cases. The F1-score (0.904) reflects the balance between precision and recall; its high value reinforces that the model maintains a solid trade-off between these two dimensions. The AUC (0.946) further indicates an excellent capacity to discriminate between classes, as values close to 1 are typically associated with outstanding performance in binary classification. Moreover, the Matthews correlation coefficient (MCC) reaches 0.780 on the test set. This metric is particularly informative under class imbalance because it incorporates all cells of the confusion matrix. The obtained value suggests a strong association between predicted and true labels. Likewise, Cohen's Kappa (0.779) reflects very good agreement beyond chance. Overall accuracy is 0.891, indicating that the model correctly classifies nearly 89% of the test observations. In summary, although the model may be somewhat overfitted to the training data, its test performance suggests that it is robust, accurate, and able to generalize effectively. Nonetheless, additional evaluations—such as cross-validation or testing on external datasets—would be advisable to confirm the stability of these metrics.

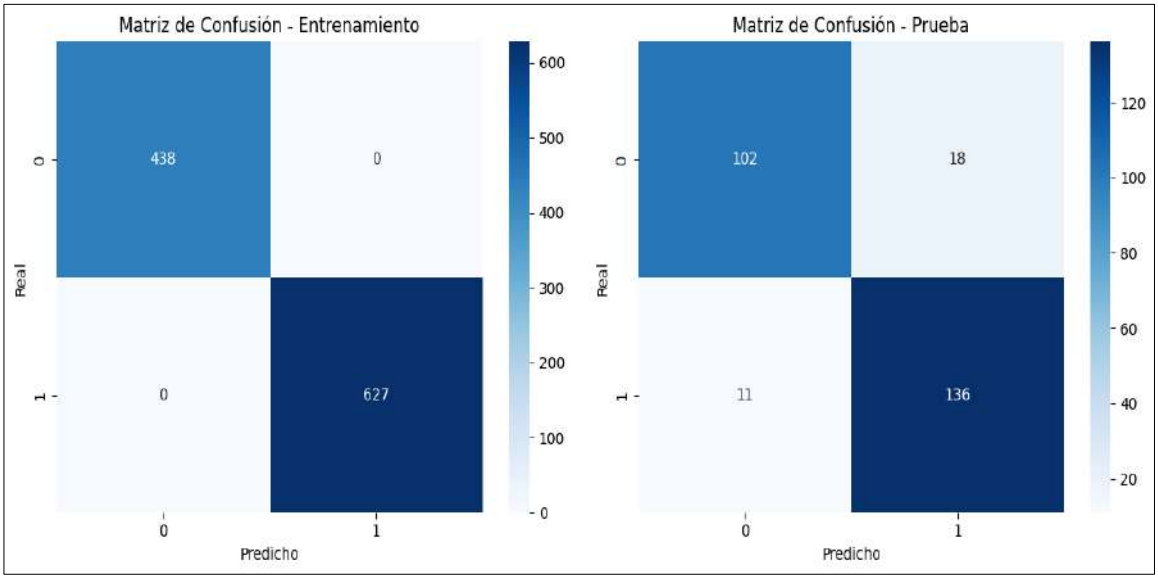


Figure 1: Confusion matrix.
Source: Authors, (2026).

Considering Figure 1, the model correctly classified all 438 cases from class 0 (negative) and all 627 cases from class 1 (positive) in the training set, without any errors. That is, there were no false positives or false negatives, which results in precision, recall, and F1-score equal to 1.000. While such outcomes are theoretically ideal, in practice they often suggest overfitting, as the model may have memorized the training data rather than learned generalizable patterns. In contrast, the test-set confusion matrix provides a more realistic and informative view of generalization performance. Of the 120 true class-0 cases, the model correctly classified 102 (true negatives) and misclassified 18 as class 1 (false positives). For class 1, out of 147 true cases, the model correctly predicted 136 (true positives) and misclassified 11 as class 0 (false negatives). This indicates that, while the model remains strong, it incurs some errors that were not present during training—an expected and natural outcome under proper model evaluation.

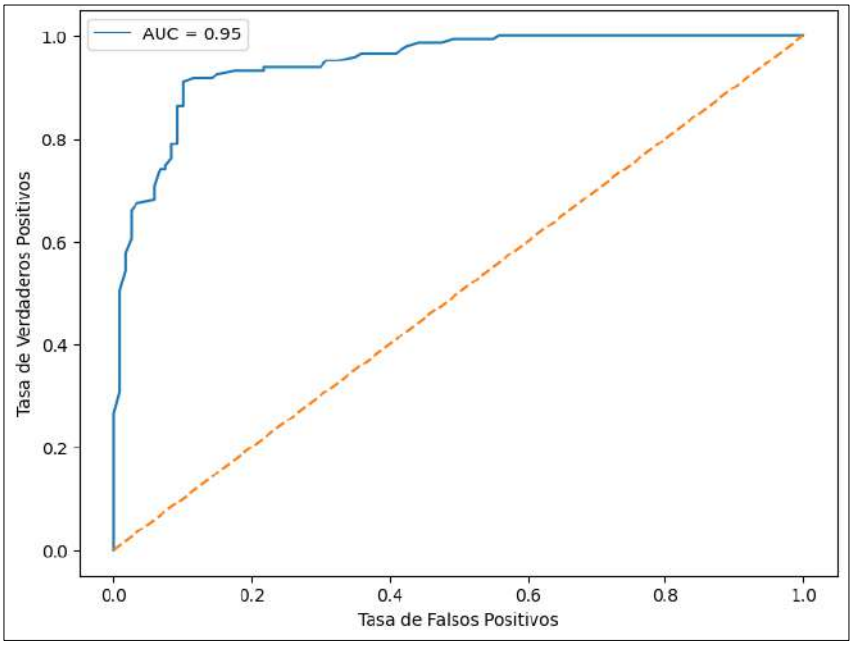


Figure 2: ROC curve.
Source: Authors, (2026).

Figure 2 exhibits a markedly convex shape and lies well above the orange diagonal, which represents a random classifier with no discriminative ability. That diagonal corresponds to an AUC (Area Under the Curve) of 0.5, commonly interpreted as the minimum baseline for a model that performs no better than chance. By contrast, the evaluated model achieves an AUC of 0.95, which is excellent. This value indicates a very high ability to discriminate between classes, correctly separating positive and negative cases in most situations. An AUC of 0.95 also implies that, when randomly selecting one positive and one negative instance, the model assigns a higher score to the positive instance 95% of the time.

Table 2: Variable relevance.

Variable	Importance
var_26	0.222
var_22	0.197
var_4	0.096
var_18	0.081
var_20	0.078
var_5	0.058
var_19	0.054
var_3	0.051
var_23	0.048
var_24	0.046
var_34	0.045
var_8	0.024

Note: The model was implemented in Python and the results were sorted in descending order.
Source: Authors, (2026).

The most influential variable is **var_26**, corresponding to the intermediation margin estimated over average assets, with an importance of 22.2%. This indicator is central because it captures the core of financial intermediation: the spread between earnings from lending and costs of funding. A low margin implies that basic revenues barely cover (or fail to cover) financial costs, which can drive weak performance. In this context, lower values of this variable are associated with higher insolvency risk and therefore a higher probability of being classified as "1". The second most important variable is **var_22**, representing the ratio of operating expenses to financial margin. With an importance of 19.7%, this variable captures the efficiency with which the cooperative manages its financial income. Higher values indicate that administrative costs absorb a substantial portion of the available margin, leaving little or no surplus. This not only undermines immediate profitability but also constrains capitalization, investment capacity, and risk absorption.

Consequently, elevated values shift predictions toward the non-solvent class. The third variable in importance is **var_4**, measuring productive assets as a share of total assets (9.6%). A low ratio suggests that a sizable portion of assets is not generating income. Balance-sheet unproductivity is a warning sign because it reflects inefficient resource allocation; combined with weak operating profitability, it amplifies insolvency risk. Next, **var_18**—coverage of the problem loan portfolio (8.1%)—indicates that measuring portfolio quality alone is insufficient; the cooperative's preparedness to absorb potential losses is also critical. Insufficient coverage for delinquent or high-risk loans increases financial exposure, weakens earnings, and raises the likelihood of being classified as non-solvent. **var_20**, defined as the Fk index (equity+results−extraordinaryincome)/totalassets (equity + results − extraordinary income) / total assets(equity+results−extraordinaryincome)/totalassets, carries a weight of 7.8%.

This metric provides an adjusted view of structural solvency by excluding non-recurring income. Its relevance confirms that underlying capital strength—beyond exceptional events—substantially influences the model's risk assessment. Other relevant variables include **var_5** (productive assets over interest-bearing liabilities, 5.8%) and **var_19** (FI index: 1+1 +1+ unproductive assets / total assets, 5.4%). Both relate to the balance between income-generating resources and financial burdens. Unfavorable values are interpreted by the model as early warning signals. Variables **var_23** (estimated operating expenses over average assets, 4.8%) and **var_24** (personnel expenses over average assets, 4.6%) further reinforce the model's sensitivity to cost efficiency. When a substantial share of resources is tied to fixed costs without a proportional return, the cooperative may struggle to sustain profitability. Finally, **var_34** (total portfolio delinquency, 4.5%) and **var_8** (uncovered unproductive portfolio over equity plus results, 2.4%) act as more direct proxies for credit risk. Although they remain relevant, their smaller weights relative to efficiency and structural variables suggest that the model places greater emphasis on the ability to generate, manage, and protect the financial margin than on pure default risk alone. Based on these results, the following equation is proposed as a forecasting model for insolvency among Segment 1 savings and credit cooperatives:

$$\begin{aligned}\boldsymbol{Prob\ Insolv} = {} & 0.2223 * var_26 + 0.1968 * var_22 + 0.0957 * var_4 + 0.0807 * var_18 + 0.0775 * var_20 \\ & + 0.0583 * var_5 + 0.0536 * var_19 + 0.0515 * var_3 + 0.0481 * var_23 + 0.0460 * var_24 \\ & + 0.0453 * var_34 + 0.0240 * var_8\end{aligned}$$

The resulting formula does not produce a true ROE value; instead, it provides an approximation of insolvency risk as a function of the most influential variables. When evaluating a cooperative with this equation, higher estimated values imply greater proximity to class "1" (non-solvent). Thus, values closer to 1 indicate higher insolvency risk, whereas values closer to 0 indicate greater solvency. The evidence obtained in this study reinforces—and operationalizes within an algorithmic–statistical scheme—the long-standing view that insolvency risk is ultimately rooted in the joint behavior of profitability, operating efficiency, asset productivity, and capital strength. Classical insolvency research established that accounting ratios can discriminate between failed and non-failed entities (Beaver; Altman; Ohlson), thereby motivating ratio-based early-warning models. In our cooperative setting, this tradition is echoed in the dominance of variables tied to intermediation profitability and efficiency—particularly the intermediation margin over average assets (var_26) and operating expenses relative to the financial margin (var_22)—which carry the largest importance weights in the Random Forest. This alignment suggests that, even under modern ML implementations, the "economic content" emphasized by ratio-based frameworks remains structurally central: cooperatives approach non-solvency when the margin that sustains intermediation is compressed and/or absorbed by operating costs. From a predictive standpoint, our results are consistent with the broader empirical finding that non-linear and ensemble ML models tend to outperform purely linear statistical benchmarks, particularly in out-of-sample classification.

Barboza, Kimura, and Altman document systematic performance gains from ML—especially ensemble methods—in bankruptcy prediction tasks, and our test-set performance (AUC = 0.946; accuracy = 0.891; F1 = 0.904) provides convergent evidence in the context of Ecuadorian Segment 1 cooperatives. At the same time, the perfect training scores (all metrics = 1.000) raise the standard interpretive caution highlighted across comparative ML studies (e.g., the need for robust validation and sensitivity checks): our own results explicitly acknowledge that such perfection may signal overfitting, motivating additional evaluation strategies (e.g., cross-validation or external testing) to verify stability. A central substantive contribution of the model lies in what it learns as the main discriminators of insolvency status: the pattern indicates that deterioration in the business model's margin mechanics and cost discipline is detected as a primary route toward non-solvency, even before (or beyond) pure delinquency metrics. Specifically, var_26 (intermediation margin over average assets, 22.2%) and var_22 (operating expenses/financial margin, 19.7%) dominate, while total portfolio delinquency (var_34) has comparatively lower weight (4.5%). This ranking is informative in light of credit-risk ML literature that frames early-warning detection as the identification of non-linear combinations of financial pressures that precede visible default events (e.g., ML-based early detection of credit risks and classification of credit operations).

In practical terms, the model implies that margin compression and cost absorption may operate as leading signals of vulnerability, whereas delinquency—though relevant—may act more as a lagging manifestation once structural pressures have already accumulated. The confusion-matrix results further support a realistic interpretation of model behavior under generalization. While the training matrix shows zero errors, the test matrix exhibits non-trivial false positives and false negatives, which is expected when moving from in-sample fit to out-of-sample performance. This matters in light of decision-oriented perspectives such as Marassi and Pediroda's framing of insolvency prediction under asymmetric misclassification costs: in supervisory and managerial contexts, the relative tolerance for false alarms (false positives) versus missed distress signals (false negatives) should guide thresholding and deployment. Accordingly, although the ROC/AUC indicates excellent discrimination (≈0.95), the operational use of the classifier should be paired with explicit cost preferences (e.g., favoring sensitivity if the priority is early intervention). Importantly, the study directly addresses a core constraint repeatedly emphasized in regulated financial ML: interpretability. Recent work argues that high-performing credit-risk models must be explainable to regulators and decision-makers, rather than remaining opaque black boxes (e.g., explainable AI frameworks; rule-based explanatory trees).

In that direction, our approach leverages Random Forest importance weights to construct an interpretable insolvency index and a tractable probability approximation layer, explicitly designed to translate algorithmic outputs into an auditable statistical form. This is not merely a presentation choice: it operationalizes the "algorithmic–statistical hybrid" positioning stated as a gap in prior work (interpretability embedded structurally, not treated as an optional add-on). Finally, the results should be read alongside clear scope boundaries that emerge from the literature. Multiple streams show that insolvency and credit-risk prediction can improve when heterogeneous sources are incorporated—digital footprints, textual/news information, sentiment signals, and non-financial/technological feasibility indicators—especially for earlier warning horizons. Our model is deliberately financial-ratio-based, which strengthens transparency and alignment with traditional supervisory data, but it also implies that future extensions could integrate these complementary data modalities to test whether (and how) predictive structure changes under broader information sets. In other words, the present findings provide a strong financial "core," while the literature indicates a natural research frontier: coupling this core with alternative and non-financial signals within the same reproducible, regulator-compatible computational scheme.

V. CONCLUSIONS

The results of this study indicate that insolvency risk in Segment 1 savings and credit cooperatives in Ecuador can be anticipated with high precision and reliability by using machine-learning techniques, specifically the Random Forest algorithm. The developed model achieved strong predictive performance on the test set, including an AUC of 0.946 and an accuracy of 89.1%, supporting its practical relevance as a preventive tool for financial risk management.

The analysis of the most influential predictors shows that insolvency risk is not driven solely by classical delinquency or credit exposure indicators; rather, it is primarily shaped by operating efficiency, capital structure, and balance-sheet productivity. Variables such as the intermediation margin over average assets, operating expenses relative to the financial margin, and the share of productive assets explain a substantial portion of insolvency probability. This implies that weak internal resource management and low operating profitability are more decisive determinants than the mere level of delinquency.

Moreover, the evidence confirms that financial solvency is not an isolated phenomenon, but the outcome of a set of sustainable, structured, and efficient financial practices. In this sense, the proposed model can support both cooperative management teams and regulatory authorities by providing an objective tool to monitor and classify institutions at higher risk of capital deterioration.

VI. AUTHOR'S CONTRIBUTION

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Investigation: Alexander Haro-Sarango.
Discussion of results: Alexander Haro-Sarango.
Writing – Original Draft: Alexander Haro-Sarango.
Writing – Review and Editing: Alexander Haro-Sarango.
Resources: Alexander Haro-Sarango.
Supervision: Alexander Haro-Sarango.
Approval of the final text: Alexander Haro-Sarango.

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RESEARCH ARTICLE OPEN ACCESS

MODERNIZING ELECTRICAL UTILITY NETWORKS: THE ROLE OF GEOGRAPHICAL INFORMATION SYSTEM IN ENHANCING POWER DISTRIBUTION AND MANAGEMENT

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ABSTRACT

Electrical utility networks, structured as centralized power systems with one-way flow, are undergoing significant transformation. Geographic Information Systems (GIS) have become pivotal in modernizing these networks, enabling spatial analysis, real-time monitoring and optimization of power distribution. Traditional electrical utility networks, reliant on manual operations, struggle with fault detection, load balancing, and integrating renewable energy sources. This study focuses on a comparative analysis of these traditional and modern networks, highlighting the structural evolution, technological advancements, and the critical role of GIS in creating a scalable, future-ready power infrastructure. To increase operational efficiency, modern systems make use of IoT sensors, smart grid technology, and predictive analytics. GIS supports dynamic decision-making by integrating real-time data with geographic context. The transition marks a paradigm shift toward decentralized, data-driven, and resilient energy networks.

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I. INTRODUCTION

Traditionally, the electric power grid relied on large central power plants that supplied electricity through a high-voltage (HV) transmission network, which then connected to local distribution systems delivering energy directly to customers [1]. These electrical utility networks have long played a critical role in power generation, transmission, and distribution, ensuring that electricity reaches industries, businesses, and households efficiently. Despite these improvements, conventional grids still face challenges in efficiency and adaptability. Many conventional grids operate on outdated infrastructure, making them inefficient in handling increasing loads and ensuring seamless power distribution [2]. One major issue is high transmission losses, where electricity dissipates as it travels through long-distance power lines. As the electricity demand continues to grow, traditional utility networks are struggling to keep pace with modern requirements. Transmission and distribution (T&D) networks account for energy losses estimated at up to 30% of total generated power. Another key challenge is the lack of flexibility in traditional grids. These systems were designed with rigid, centralized structures, making it difficult to adapt to shifting energy demands and unexpected disruptions.

The electric power industry faces major hurdles in reaching grid parity. While integrating variable energy resources offers the promise of a cleaner environment, it also creates challenges such as greater demands for regulation, ramping, and reserve capacity [1]. Additionally, the absence of real-time monitoring systems means utilities often rely on reactive maintenance, addressing problems only after they occur rather than preventing them in advance. To improve grid reliability and efficiency, utilities must transition to more intelligent and data-driven management systems. By implementing automated controls, predictive maintenance, and advanced analytics, power networks can minimize losses, enhance operational efficiency, and ensure a more stable electrical supply. Modern utility systems demand efficient energy distribution and management to keep up with rising consumption and environmental concerns. With the growing need for sustainable solutions, integrating smart technologies and renewable energy sources has become essential. By enhancing network connectivity and optimizing power flow, utilities can improve reliability, reduce costs, and support a more sustainable energy future. There are different researchers who have explored the applications of Geographic Information System (GIS) in network connectivity, subnetwork management, and smart grids.

As the global energy landscape evolves, electrical utility networks must transition from static, conventional frameworks to dynamic, data-driven infrastructures. Traditional grids often rely on manual operations and reactive maintenance, leading to inefficiencies in power distribution and outage management. In contrast, modernized networks leverage advanced digital technologies to improve real-time monitoring, spatial analysis, and fault detection. Applying digital processing and communications to the power grid places information management at the core of the smart grid concept. This integration of digital technology with power systems unlocks a wide range of new capabilities [3]. Geographic Information Systems (GIS) play a fundamental role in this transformation, providing utilities with enhanced asset tracking, predictive maintenance, and operational efficiency [4], [5]. This study examines the comparative advantages of traditional and modernized networks, highlighting GIS as a key enabler of efficiency and resilience. Currently, power distribution relies heavily on manual processes, such as updating network construction plans, monitoring operations, and maintaining consumer records. This limited oversight reduces the ability to prevent losses and address outages efficiently.

To overcome these challenges, electric utilities are increasingly adopting Geographic Information Systems (GIS), which provide a spatially oriented view of distribution networks and help reduce outages while improving system management [6]. The absence of an integrated mapping system meant that utilities struggled to track infrastructure efficiently, leading to frequent disruptions and maintenance challenges. GIS bridges the gap between utility assets and customer activity. It shows where solar panels are being installed, highlights high-risk parts of the grid, and helps utilities decide which assets to replace first [7]. Additionally, GIS is capable of identifying patterns in network performance, allowing utilities to analyze faults, optimize power distribution, and plan future expansions with greater accuracy.While GIS has proven to be a valuable tool in modernizing electrical utility networks, several research gaps remain. Existing studies primarily focus on GIS applications for asset tracking, outage management, and infrastructure planning, but there is limited research on standardized frameworks for GIS implementation across different utility infrastructures, leading to inconsistent adoption. Additionally, while GIS enhances power distribution and fault detection, its role in optimizing renewable energy integration and improving real-time load forecasting remains underexplored.

There is also a lack of studies analyzing the long-term cost-benefit impact of large-scale GIS adoption, making it difficult for utilities to assess its financial feasibility. Furthermore, research on GIS for grid decentralization and microgrid planning is still in its early stages, limiting its potential use in developing more resilient and adaptive power networks. Addressing these gaps will help maximize GIS's effectiveness in transforming traditional power grids into efficient, modernized systems. The objective of this study is to utilize the power of Geographical Information System (GIS) in building a smart and modernized electrical network, and also to analyze the limitations of conventional grids and the advancements enabled by GIS-driven smart grids [8]. Furthermore, this study explores how GIS supports predictive maintenance, optimizes load balancing, and enables adaptive energy management. With spatial analytics and intelligent automation, GIS plays a crucial role in building a more sustainable and efficient power infrastructure. Given that every country has its own approach to utility management, the challenge of ensuring a reliable and modernized grid becomes even more critical on a global scale. Effective management is essential to address these complexities, and GIS provides a unified framework to enhance collaboration and drive the future of power system modernization.

II. STUDY AREA

The study area chosen for this study is Lisle, Illinois, United States of America. The selected study area, Lisle, Illinois, is a vibrant suburban village in DuPage County, United States, recognized for its strategic energy infrastructure, diverse topography, and evolving power distribution network. Situated within the Chicago metropolitan area, Lisle serves as a critical hub for energy distribution, smart grid integration, and infrastructure optimization. Its blend of urban, suburban, and industrial sectors makes it an ideal location for analyzing network connectivity and renewable energy potential. Figure 1 shows the study area of Lisle, Illinois Lisle's climate, population density, and existing electrical infrastructure directly influence energy consumption patterns, distribution efficiency, and grid stability. The village features a well-established power distribution network, complemented by major transportation arteries such as Interstate 88, U.S. Route 34, and the Metro rail system, which impact energy demands across residential, commercial, and industrial sectors. The area also houses key green spaces, including the Morton Arboretum, providing unique opportunities for sustainable energy planning and environmental impact assessments. Table 1. depicts the description of the study area.

Table 1: Key Features of the Study Area.

Sl. No.	Feature	Details
1.	Location	Lisle, DuPage County, Illinois, USA
2.	Total Area	18.08 km²
3.	Population	23,222 as of 2023
4.	Latitude & Longitude	41.8011° N, 88.0748° W
5.	Elevation	206 meters (676 feet) above sea level
6.	Climate Type	Humid continental

Source: Authors, (2026).

III. DATA COLLECTION AND PROCESSING IN ELECTRICAL UTILITY NETWORKS

Data collection and processing in an electrical utility network involve multiple techniques to ensure accurate mapping, monitoring, and management of both low-voltage (LV) distribution and high-voltage (HV) transmission systems. The process starts with manual surveys and remote sensing technologies, followed by real-time monitoring systems and GIS-based digitalization to convert raw data into actionable insights.

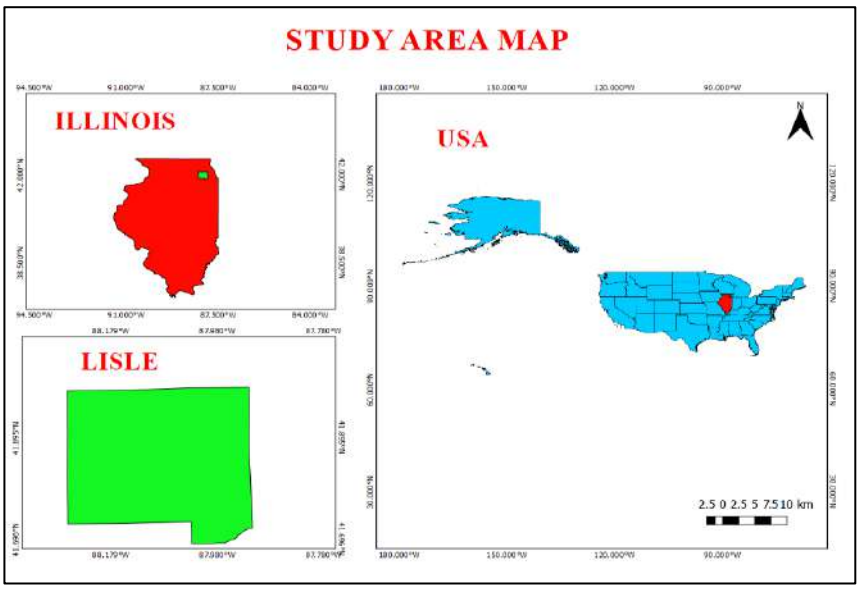


Figure 1: Study Area.
Source: Authors, (2026).

The data collection process involves multiple methodologies, each contributing to the overall accuracy and reliability of network analysis. One of the primary methods includes manual field surveys with GPS mapping, where utilities perform on-site inspections to capture transformer locations, feeder paths, and customer connections [9]. The use of smart meters and Advanced Metering Infrastructure (AMI) further supplements data acquisition by providing real-time energy consumption patterns, voltage fluctuations, and anomaly detection.

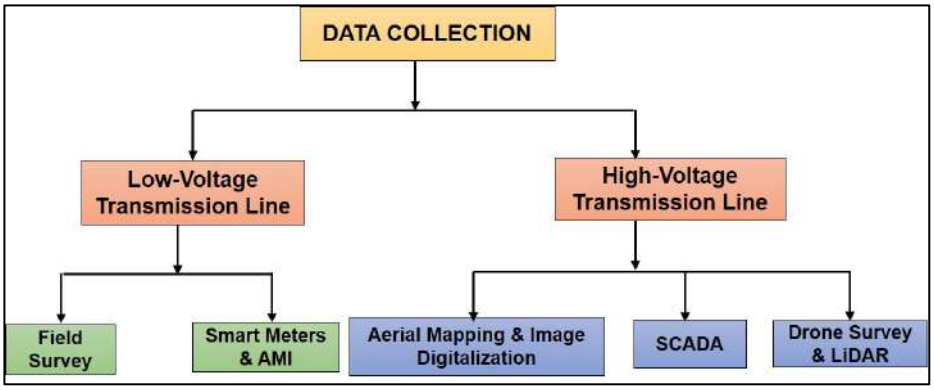


Figure 2: Data collection methods for low & high voltage transmission lines.
Source: Authors, (2026).

These smart grids continuously collect data at predefined intervals, allowing seamless monitoring of the power distribution network [10]. Figure 2 shows the various data collection methods for low & high-voltage transmission lines.

Manual Field Surveys & GPS Mapping: Utilities perform on-site surveys with handheld GPS devices and GIS tools to map transformer locations, feeder paths, and customer connections. Spatial data were collected using a Global Positioning System (GPS), while non-spatial data were obtained through direct field interviews [11].

Smart Meters & AMI (Advanced Metering Infrastructure): Smart meters and AMI provide real-time energy data, detect anomalies, and monitor voltage fluctuations, serving as primary sources for raw utility data collection. Advanced Metering Infrastructure (AMI) serves as the principal source of data, capturing and retrieving information from end-user premises. Measurements are recorded and collected at intervals of 10 to 15 minutes [12].

Aerial Mapping & Image Digitization: Drones, helicopters, and LiDAR-equipped aircraft capture high-resolution aerial images of substations, transmission lines, and distribution networks, which are then processed into 2D and 3D digital models. Remote sensing techniques, including LiDAR and drone surveys, were employed to map transmission and distribution networks, ensuring accurate asset positioning [11]. Satellite Imagery and Remote Sensing technologies are used to capture large-scale infrastructure layouts for terrain analysis, transmission line planning, and right-of-way management. Google Earth imagery from 2021 was used as a data source to analyze maps, road networks, and land use [11].

SCADA & Smart Grid Monitoring: SCADA (Supervisory Control and Data Acquisition) systems contribute significantly to data collection by gathering real-time information from sensors and Remote Terminal Units (RTUs). SCADA collects real-time, raw grid data from sensors and RTU (Remote Terminal Units), providing unprocessed voltage, power flow, and fault alerts for later analysis. SCADA systems integrate with GIS to provide real-time monitoring of voltage levels, power outages, and system faults. [13].

Drone Surveys: Utilizes UAVs equipped with high-resolution cameras and GPS to capture georeferenced imagery and videos for real-time monitoring and fault detection in electrical utilities. The drone-based inspection system captures high-resolution images and videos of power lines, which are then processed using GIS tools to detect potential faults and assess infrastructure conditions [14].

LiDAR: LiDAR employs laser scanning technology to generate high-precision 3D point clouds, enabling detailed modelling of power infrastructure within GIS frameworks [15].

The vast amount of data collected in smart grids undergoes multiple processing stages to ensure accuracy and reliability. Initially, data preprocessing involves filtering out incomplete or erroneous data, a process known as data cleansing. In this phase, the collected data are processed before any analysis is conducted. To address issues of incompleteness and inaccuracy, inconsistencies are removed through a process known as data cleansing [12]. Next, data integration is performed to unify scattered datasets, such as load profiles and weather conditions, to optimize energy distribution. Data collected from different sources are often inconsistent and need to be combined properly before analysis [12]. Once integrated, data storage ensures accessibility for real-time operations, with smart grids requiring high-speed data retrieval for efficiency. In the data storage phase, the data is stored, located, and can be accessed at any instant of time. Finally, data analytics extracts insights for load forecasting, fault detection, and predictive maintenance, enabling smarter decision-making. In smart grid systems, substantial amounts of data are regularly collected. These data support multiple analyses, such as examining end-user behavior, assessing system states, and detecting faults [12].

IV. STRUCTURE OF ELECTRICAL UTILITY NETWORKS

An electrical utility network is a sophisticated system created to effectively produce, transmit, and distribute electricity to customers. It consists of three main components: generation, transmission, and distribution, each playing a crucial role in ensuring a stable and reliable power supply. The first step is production, in which electrical energy is created in the power plant and converted to high-voltage electrical energy in the power station, which is more suited for effective long-distance transportation [16]. Power plants convert primary energy sources such as fossil fuels, nuclear, hydro, solar, and wind into electricity. In the transmission section of the electric power system, high-voltage (HV) power lines effectively move electrical energy over great distances to the places where it is consumed [16]. Transmission networks use high voltages, typically ranging from 110 kV to 765 kV, to reduce energy losses over long distances. Figure 3 shows the typical distribution of an electrical network system.

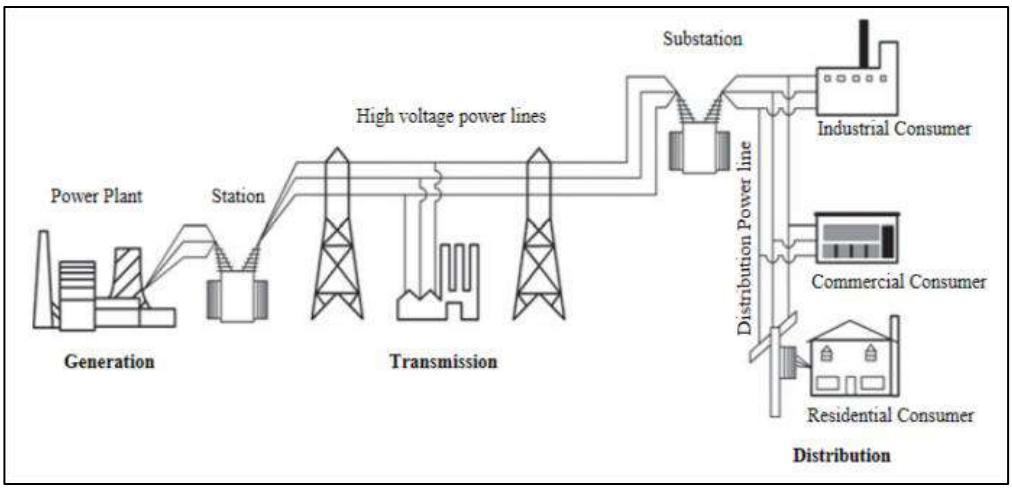


Figure 3: Electrical Network System overview.
Source: [17].

At the substations, voltage levels are stepped down for distribution through distribution networks, which deliver electricity to industrial, commercial, and residential consumers. Remote substations play a critical role in converting high-voltage electricity for delivery over feeder lines optimized for distribution. Subsequently, the electrical energy is further reduced to medium and low voltage to serve residential, commercial, and industrial consumers. The distribution network, including transformers, substations, medium- and low-voltage lines, and metering systems, ensures the reliable delivery of electricity at appropriate voltage levels [16].

V. METHODOLOGY

V.1 CORE FUNCTIONALITIES

This study provides a structured approach to analyzing and comparing traditional electrical utility networks with modernized GIS-based networks. It outlines the key steps involved in data collection, network modeling, and performance evaluation using ArcGIS Utility Network. This section ensures that the research follows a systematic and transparent process, making it easier for utility planners, GIS professionals, and researchers to understand and apply the findings. By using real-world datasets from Lisle, Illinois, this study demonstrates how GIS can transform electrical network management through enhanced connectivity, fault detection, and service expansion planning.

The Public Works Department of the City of Lisle, Illinois, has been using a geometric network to manage its municipal electric network. However, to explore the capabilities of a utility network in ArcGIS, this study utilizes a pre-configured dataset from Esri's Electric Utility Network Foundation. This dataset represents a small subset of the service territory and allows for modelling and analysis of network assets. As part of the study, network tracing was performed to answer key questions about the electrical network, generate reports to identify customer counts, and execute a service line extension to integrate a new customer into the network. This was followed by an update subnetwork operation to incorporate the changes. Figure 4 shows the flowchart of a modernized electric utility network using GIS.

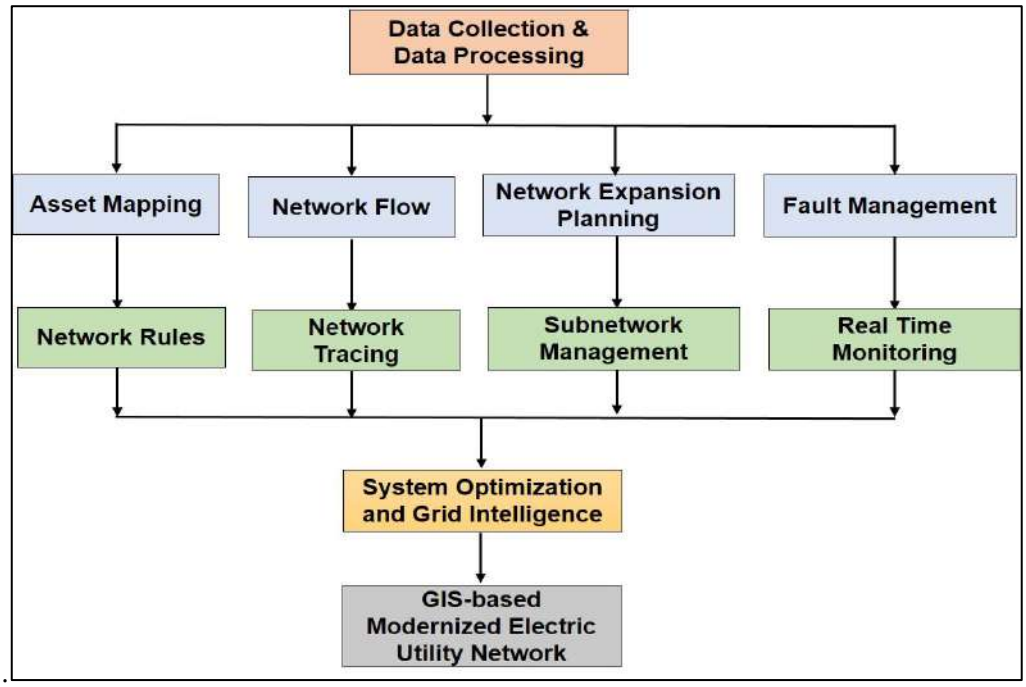


Figure 4: Flowchart of a GIS-driven modernized electric utility network.
Source: Authors, (2026).

V.2 NETWORK RULES IN ELECTRICAL NETWORK

Network rules play an essential role in maintaining the integrity and logical flow of a utility network by defining valid connections between various components. Network rules in ArcGIS Utility Network define valid connections and relationships between network components, ensuring realistic and error-free modelling. They regulate how junctions connect to edges and how assets are contained or structurally attached. These rules help maintain data integrity, optimize power flow, and ensure accurate utility management.

- **Junction:** A junction is a point where electricity flows through or gets distributed. It represents devices like transformers, switches, meters, and fuses.
- **Edge:** An edge is a connection/line that carries electricity between junctions. It represents power lines, cables, or conductors. Junctions and edges work together to form the power grid, ensuring electricity flows efficiently from power stations to consumers [18].

The types of network rules are as follows:

1. Junction-Edge Connectivity Rules
2. Junction-Junction Connectivity Rules
3. Edge-Junction-Edge Connectivity Rules

1. Junction-Edge Connectivity Rules

These rules govern the connections between point features (junctions) and line features (edges). They specify which types of junctions can connect to which types of edges, ensuring logical and valid network configurations [18]. For example, a control valve (junction) connecting to a distribution main(edge) would be governed by such a rule. It is shown in Figure 5.



Figure 5: Junction-edge connectivity in a distribution network.
Source: Authors, (2026).

2. Junction-Junction Connectivity Rules

These rules manage the connectivity between two junction features, whether they are geometrically coincident or associated through connectivity associations. For example, connectivity associations link a fuse, transformer, and breaker to transition power from medium-voltage three-phase to low-voltage single-phase, ensuring efficient and safe electricity distribution [18], and it is depicted in Figure 6.

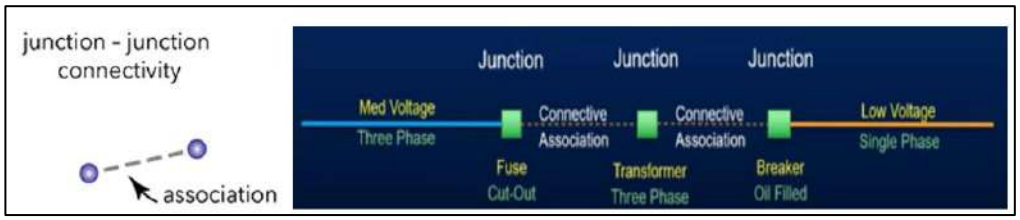


Figure 6: Junction-junction connectivity and associations in a power network.
Source: Authors, (2026).

3.Edge-Junction-Edge Connectivity Rules

These rules control how two edge features connect through an intermediate junction. They ensure that line features can only connect via appropriate junctions, maintaining the integrity of the network's topology. For instance, a medium voltage electrical transition from an above-ground system to a below-ground system at a junction point [18]. Figure 7 shows the edge-junction-edge connectivity in a medium voltage network.

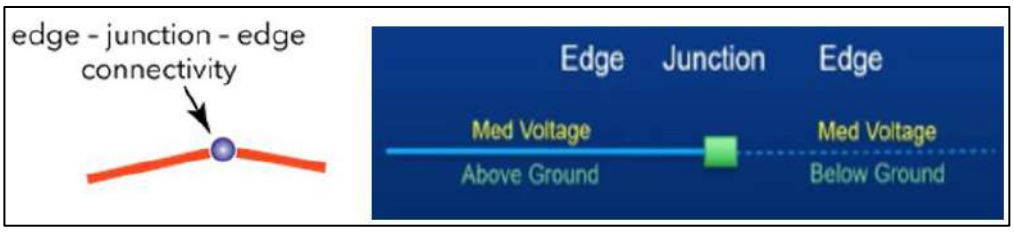


Figure 7: Edge-junction-edge connectivity in a medium voltage network.
Source: Authors, (2026).

V.2.1 Connectivity, Containment, and Attachment in Utility Networks

A well-structured electrical utility network relies on connectivity, containment, and attachment to define the relationships between different infrastructure components, ensuring efficient power flow, accurate network modelling, and streamlined asset management. Figure 8 shows the relationship, such as connectivity, containment, and attachment, in an electrical utility network.

- **Connectivity:** Defines the logical and physical interconnections between network components such as transformers, circuit breakers, transmission lines, and substations. GIS-based connectivity rules ensure that only valid electrical connections exist within the network, allowing utilities to simulate power distribution, detect faults, and optimize routing [19].

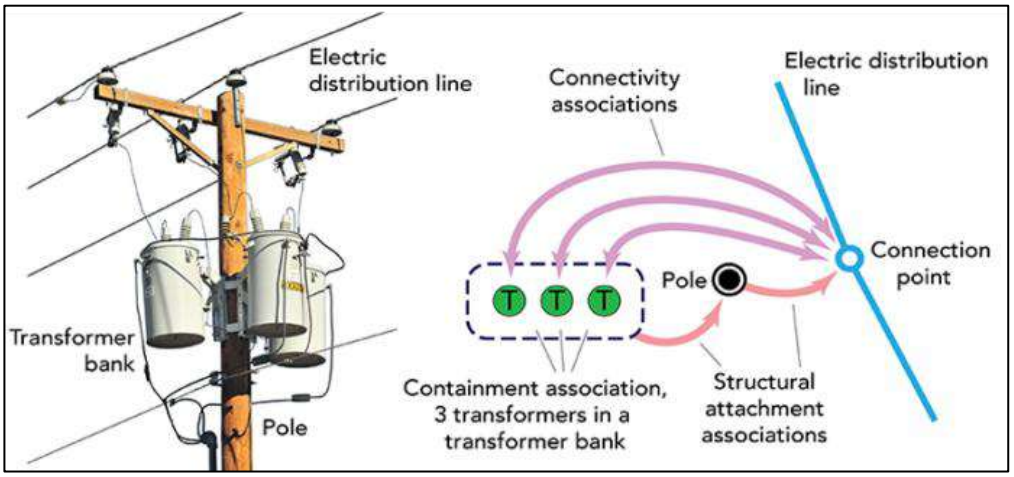


Figure 8: Connectivity, Containment, and Attachment.
Source: [19].

- **Containment:** Enables grouping multiple network features within a single container, such as a substation housing transformer, circuit breakers, and bus bars. This simplifies network visualization, asset tracking, and maintenance scheduling by reducing clutter on GIS maps [19].
- **Attachment:** Represents physical relationships between assets and their supporting structures, such as transformers mounted on poles or switchgear housed in substations. This ensures accurate spatial positioning and improves maintenance planning and network reliability [19]. Connectivity, containment, and attachment ensure efficient network management, accurate modelling, and stable power distribution.

V.3 ELECTRICAL UTILITY TRACING

Tracing is a process used in utility networks to analyse and visualize how different components within a network are connected and interact with each other. In the context of electrical utility networks, tracing helps identify the flow of electricity, determine how assets are linked, and assess the impact of potential faults or outages. By following the connectivity of network elements, tracing provides valuable insights into power distribution, enabling operators to monitor, manage, and optimize the electrical grid efficiently.

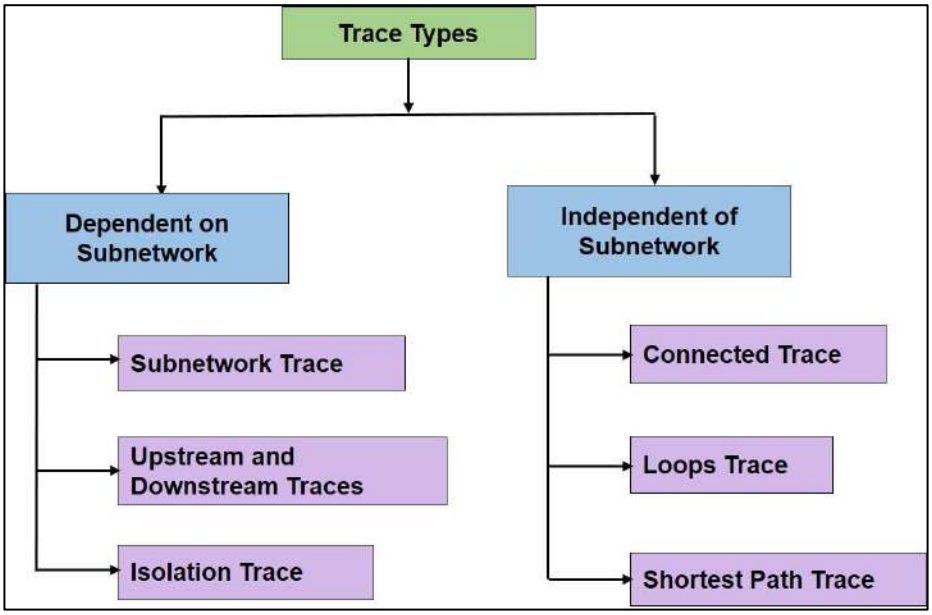


Figure 9: Classification of trace types in network analysis.
Source: Authors, (2026).

Each component in a power grid, such as substations, transformers, or circuit breakers, has a significant role in maintaining an uninterrupted power supply. Tracing serves as an invaluable tool in identifying faults, managing system expansion, and optimizing load distribution. Tracing ensures proper connectivity, identifies misrouted paths, and reduces the likelihood of service failures. In the event of faults such as short circuits or equipment failure, tracing helps quickly identify and isolate the affected sections, improving response time and service reliability. As electrical networks continue to expand, tracing aids in assessing new infrastructure integration and planning optimal locations for substations and feeders. It also helps evaluate the impact of network expansion on overall power flow, ensuring the network remains stable and efficient. Figure 9 shows the classification of trace types in network analysis.

V.3.1 Tracing Methods Dependent on Subnetwork

Figure 10 shows the types of tracing methods based on the dependent on subnetwork type.

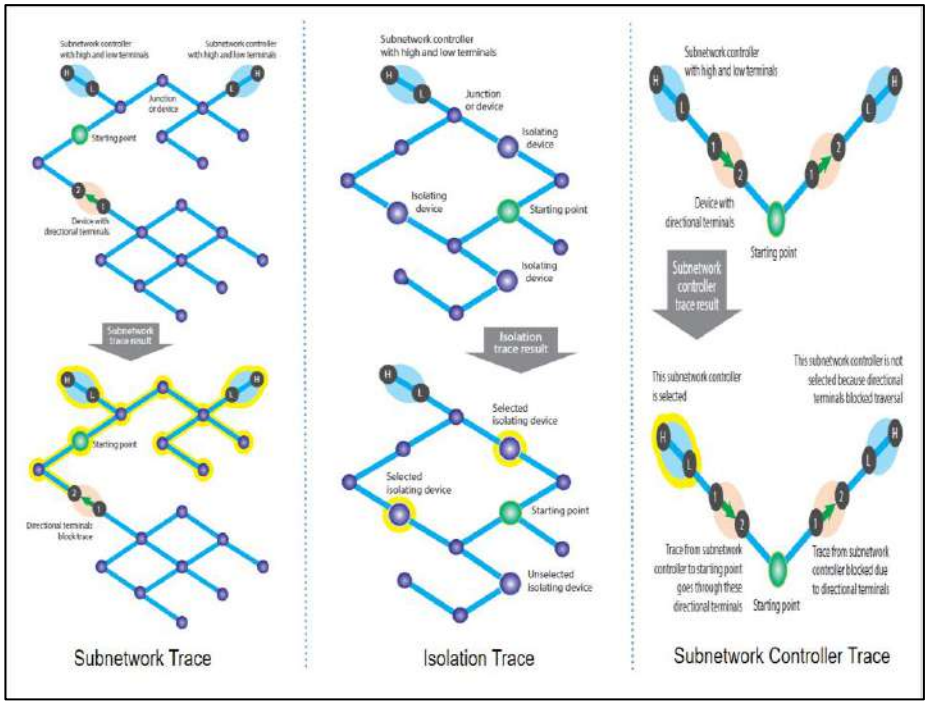


Figure 10: Network traces: subnetwork, isolation, and subnetwork controller.
Source: Authors, (2026).

1. Subnetwork Trace: A subnetwork trace finds every feature that is a part of a subnetwork, including a particular feeder or circuit. This trace relies on the subnetwork definition and requires at least one subnetwork controller to determine flow direction during the trace [19].

2. Upstream and Downstream Traces

- **Upstream Trace:** Identifies the source of resource supply for any network element by tracing against the flow direction toward the origin, such as a power plant or substation. This is useful for locating the origin of a contaminant in a water network or identifying the source of power feeding a particular area.
- **Downstream Trace:** Follows the flow direction away from the source, identifying customers or infrastructure that would be affected by a fault or outage at a specific point. This trace is crucial for outage management and planning maintenance activities to minimize customer impact.

3. Isolation Trace: The Isolation Trace determines the specific switches or valves that need to be operated to isolate a faulty section of the network. This trace is critical for outage management, allowing operators to quickly identify and isolate problem areas, thereby reducing downtime and mitigating the impact on consumers.

V.3.2 Tracing Methods - Independent of Subnetwork

1. Connected Trace: A Connected Trace starts from one or more points and follows connected features, stopping when it reaches a barrier or the end of a path. This trace is particularly useful for verifying that newly edited features are connected as expected, ensuring network integrity. For instance, in maintenance or upgrade scenarios, a connected trace can identify all customers or devices linked to a particular feeder, facilitating efficient planning and execution[19]. Figure 11 shows the types of tracing methods based on the independent on subnetwork type.

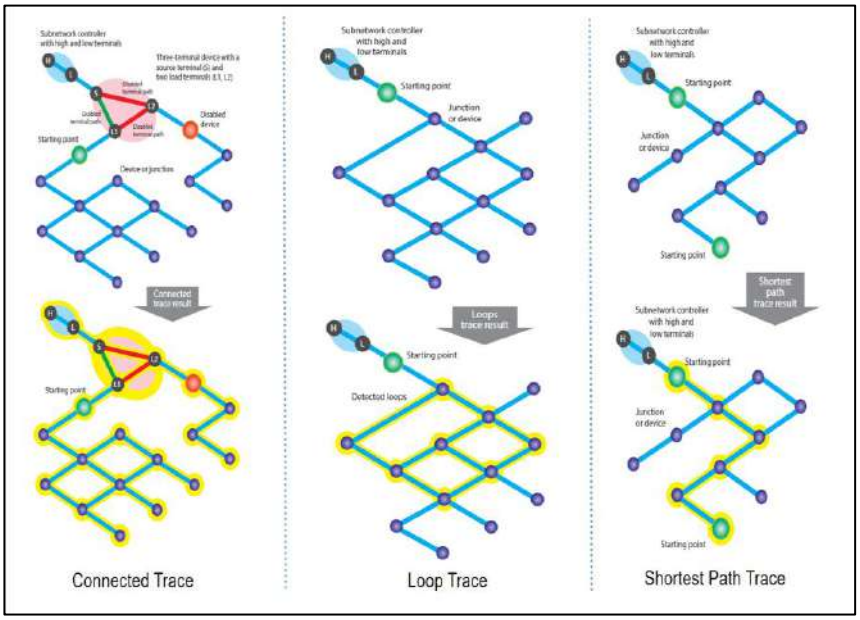


Figure 11: Network traces: connected, loop, and shortest path.
Source: Authors, (2026).

2. Loops Trace: The Loops Trace identifies sections of the network where a path starts and ends at the same location without crossing the same line twice, essentially forming a closed circuit. Detecting loops is crucial, especially in radial networks where unintended loops may indicate errors. In water distribution systems, for example, loops can help maintain consistent water pressure and supply, even if a part of the network is isolated for maintenance.

3. Shortest Path Trace: The Shortest Path Trace calculates the most efficient route between two starting points using a numeric network parameter like shape length. This trace is valuable for determining cost- or distance-based paths, aiding in scenarios like rerouting power due to maintenance or outages to restore service with minimal losses. By applying the appropriate trace type to specific scenarios, operators can proactively manage resources, swiftly respond to issues, and strategically plan for future network developments

V.4 NETWORK EXPANSION PLANNING

Network Expansion Planning is a vital process in electrical utilities that focuses on upgrading and extending the power grid to accommodate the increasing electricity demand. It involves assessing current network capacity, forecasting future energy needs, and implementing infrastructure such as new substations, transmission lines, and distribution systems. A well-executed expansion plan ensures that electricity is delivered reliably, minimizes power disruptions, and supports sustainable energy development [20]. The rising global electricity demand, driven by urbanization, industrial growth, and household consumption, necessitates strategic grid expansion. [21] Without proper planning, grids risk overloads, blackouts, and increased operational costs. GIS-based network expansion planning enables utilities to manage this growth effectively by analysing substation capacity, forecasting energy needs, and identifying optimal expansion routes [20]. It provides insights into whether existing substations can handle increased loads or if new infrastructure is necessary, thereby preventing power failures caused by overcapacity.

VI. RESULTS AND DISCUSSION

VI.1 WORKFLOW FOR UTILITY NETWORK TRACING

The process of utility network tracing begins by accessing the web-based GIS application that is integrated with the ArcGIS Utility Network or a comparable tracing tool. Prior to initiating any analysis, users must ensure they have the appropriate permissions and roles to perform network tracing operations and that the electrical utility network dataset is properly loaded from the organization's cloud-based GIS or enterprise geodatabase. Once the dataset is available, the next step involves selecting the appropriate tracing type based on the analytical requirements. Common tracing methods include connectivity tracing to verify network connectivity, subnetwork tracing to identify all elements in a feeder or circuit, isolation tracing to locate switches and breakers for fault isolation, and upstream/downstream tracing to analyze power flow direction. In this case, a connectivity trace was selected to evaluate the directly linked elements within the network. Figure 12 show the initialization of a connected trace on a utility network map. After determining the trace type, the user must define a starting point and, if necessary, place barriers to simulate faults, outages, or maintenance constraints. This is typically achieved by interacting with the map interface, where the starting point may represent a substation, transformer, or distribution feeder. For this analysis, a medium-voltage circuit breaker was selected as the trace origin. Once the parameters are established, the trace is executed, prompting the system to perform real-time analysis of the network and highlight all connected elements.

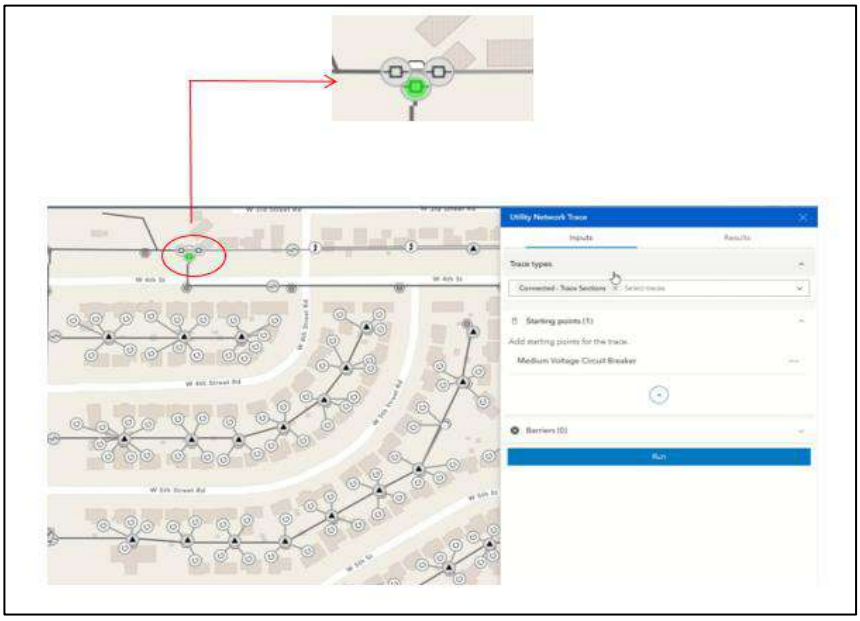


Figure 12: Initiating a connected trace on a utility network map.
Source: Authors, (2026).

The resulting trace revealed that 224 features were directly connected to the selected medium-voltage circuit breaker, with the traced path displayed in blue for clear interpretation and it is shown in Figure 13.

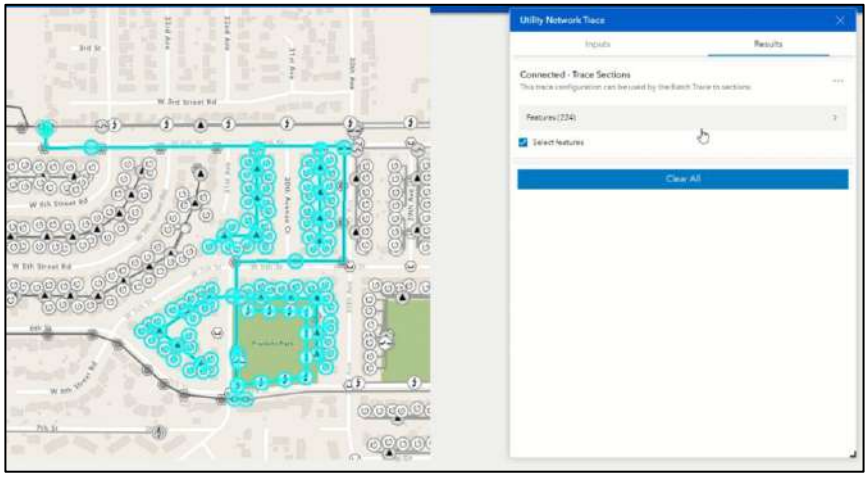


Figure 13: Results of a connected trace in a utility network.
Source: Authors, (2026).

Finally, the results of the trace can be exported or visualized using network diagrams, tabular reports, or GIS layers to support further analysis. These outputs enable utility engineers to validate network connectivity, assess fault isolation strategies, and evaluate power flow conditions in both spatial and schematic contexts. Moreover, the visualization and reporting capabilities facilitate integration with enterprise systems, thereby enhancing operational decision-making, outage management, and long-term infrastructure planning [22].

While this study demonstrates the connectivity trace procedure, the same workflow can be applied to other tracing types such as subnetwork, isolation, upstream/downstream, shortest path, loop, or subnetwork controller traces each serving distinct purposes in utility network analysis and management. The working mechanism of GIS-enabled network expansion planning integrates geospatial data with electrical network models to evaluate power flow, connectivity, and demand distribution. Planners can simulate various expansion scenarios and assess their impact on the existing grid, ensuring that new connections do not compromise overall performance. This proactive approach allows utilities to align infrastructure growth with energy demand trends, fostering a resilient, future-ready electrical network.

VI.2 ELECTRICAL UTILITY NETWORK DASHBOARD

The Electric Utility Network Dashboard serves as the nerve centre of the application, offering a real-time, integrated view of network operations. Built using ArcGIS Dashboard, this feature consolidates key performance indicators, asset data, and operational insights into a single, interactive interface and depicted in Figure 14.

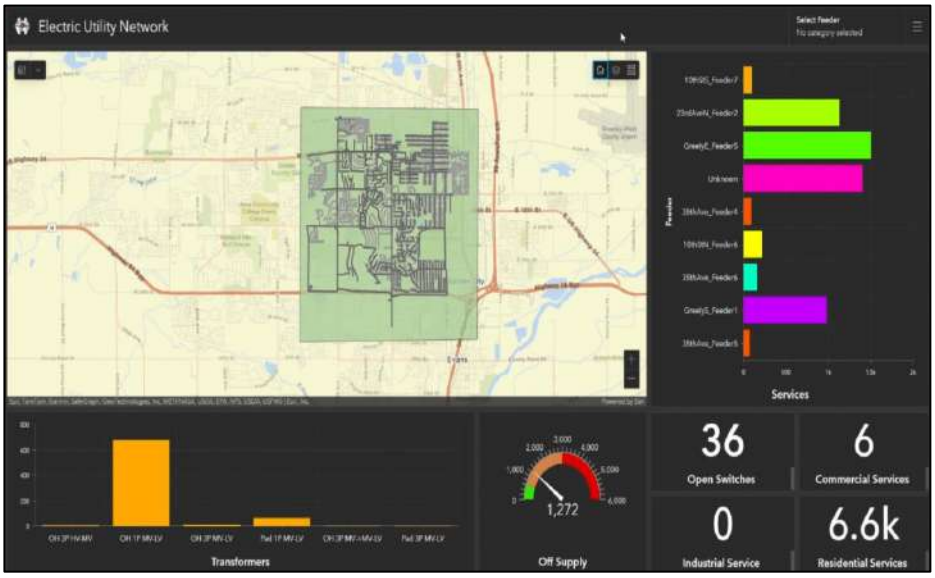


Figure 14: Electric utility network dashboard overview with service statistics.
Source: Authors, (2026).

Utility operators can use the dashboard to monitor network performance, track asset conditions, and assess key metrics such as outage frequency, equipment failures, and maintenance schedules. The dashboard's intuitive design enables quick analysis of network health, allowing decision-makers to respond proactively to potential issues [23]. The ability to visualize network status in real time enhances operational awareness, enabling utility providers to optimize resource allocation and improve service reliability. By integrating various data sources into a centralized dashboard, this feature ensures that stakeholders have access to the information they need to maintain a stable and efficient utility network.

VI.3. ANALYSIS OF TRACING RESULTS AND NETWORK BEHAVIOR

The tracing tools in ArcGIS Utility Network enabled detailed visualization of electrical flow and system behavior. Traces such as upstream, downstream, isolation, and connected traces simulated real-world scenarios like fault detection and route switching. Notably, the Connected Trace from the Medium Voltage Circuit Breaker identified the number of directly linked features (Residential, Commercial, Industrial Service points and Switches), confirming the established connectivity across distribution lines, transformers, and service points. To assess phase performance, Downstream Trace paired with the Summarize tool revealed a critical finding: Phase A was significantly underutilized, while Phase C showed signs of overutilization. This imbalance highlighted the need for load redistribution to ensure better phase management and system efficiency. These insights directly informed network expansion planning. This data-driven approach ensured that new customer connections were aligned with under loaded phases, supporting grid reliability and sustainable expansion.

VI.4 ANALYSIS FOR LOAD BALANCING AND STRATEGIC EXPANSION

The Summarize tool revealed a clear phase imbalance. Phase A was significantly underutilized, presenting an ideal opportunity for load redistribution. This insight guided the strategic allocation of new customer connections to Phase A in the Jonquil Avenue expansion zone of the Essential 001 Feeder, improving overall load balance across phases. Using the Create Features tool, new assets such as transformers, service points, and low-voltage conductors were digitized. Snap functionality ensured precise spatial alignment, and network associations, both connectivity and structural attachments were established to preserve logical flow and physical realism in the network. Following integration, network topology validation confirmed compliance with connectivity rules and junction-edge relationships. Initially, new features were not included in any Subnetwork, so the Subnetwork / Feeder name is set to 'Unknown'. Using the Update Subnetwork tool, assigning them to the appropriate Feeder 'Essential 001' was done. A final downstream trace verified successful resource flow across the newly added components, with no breaks or topological errors, validating a smooth and efficient network expansion.

VII. CONCLUSION

This research explores the application of Geographic Information Systems (GIS) in the modernization of electrical utility networks. As energy infrastructure evolves to meet increasing demand and complexity, GIS plays a pivotal role in improving network connectivity, asset mapping, and subnetwork management [24]. Through advanced functionalities such as tracing, utilities can simulate real-world scenarios like fault detection, load flow analysis, and isolation planning, enhancing the system's responsiveness and efficiency. The study addresses limitations in conventional grids and demonstrates how GIS supports data-driven operations and efficient network planning. Network expansion was planned and executed using GIS tools to ensure spatial accuracy and logical connectivity. The implementation of upstream, downstream, and connected traces provided valuable insights into power flow, load distribution, and structural integrity across the network [25]. The modernization of electrical utility networks requires a paradigm shift from conventional grid management practices toward data-driven, intelligent systems, with Geographical Information Systems (GIS) serving as a critical enabler [26]. GIS facilitates advanced asset mapping, load flow analysis, outage management, and fault location detection, all of which are essential for efficient power distribution [27]. By integrating GIS with Supervisory Control and Data Acquisition (SCADA) systems [28] and Distribution Management Systems (DMS), utilities can achieve real-time situational awareness, improve demand forecasting, and minimize technical and non-technical losses.

This enhances not only the operational efficiency of the grid but also its resilience against faults and peak demand pressures[29].Moreover, the integration of GIS with emerging smart grid technologies allows for greater interoperability, predictive maintenance, and renewable energy integration [30]. For example, spatial data analytics can optimize the placement of distributed energy resources (DERs), support microgrid development, and improve restoration strategies during natural disasters. By enabling utilities to model, simulate, and manage complex network interactions, GIS contributes to a more adaptive and sustainable power distribution framework. Ultimately, its role in modernizing electrical utility networks is pivotal in ensuring that the grid evolves into a more intelligent, flexible, and customer-focused system aligned with global energy transition goals. Hybrid aloe vera/hemp fibre composites showed better strength and thermal stability, making them suitable for lightweight engineering use [31]. ANSYS-based optimisation improved the performance and durability of two-wheeler suspension systems [32]. Solar photovoltaic–based cogeneration was found to support efficient energy and water management [33]. The use of vortex generators improved airflow characteristics and reduced aerodynamic drag in vehicle models [34]. IoT-based systems enabled real-time monitoring and improved operational efficiency [35-36].

VI. AUTHOR'S CONTRIBUTION

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Investigation: Archana V and Vishnu Priya S V.
Discussion of results: Kanmani Kalaichelvan, Shafeer Ahamed N S and Ibrahim Yakoopali.
Writing – Original Draft: Kanmani Kalaichelvan, Ibrahim Yakoopali,Jagadeesh Kasi, C Dineshkumar
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RESEARCH ARTICLE OPEN ACCESS

DESIGN AND DEVELOPMENT OF SELF STABILITY SYSTEM FOR THE REAL TIME MOTORCYCLES

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ABSTRACT

Modern motorcycles are now manufactured with more attention to how they look and how air moves around them to make them more attractive to buyers. However, this focus sometimes ignores how well the rider can stay balanced, especially when moving slowly. Keeping the bike steady in these situations can be tough. This study looks at how to improve motorcycle balance and make the bike more stable by using a gyroscope. The research includes testing how the motorcycle reacts when it starts to fall, and then designing and checking a gyroscope system based on those tests. The main goal of this paper is to check if adding stability using two gyroscopes along with a double flywheel can make motorcycles more balanced without making them less safe. This method helps both skilled riders and new riders who are learning to ride two-wheelers.

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I. INTRODUCTION

Developing countries like India, motorcycles are more popular than cars because they are cheaper to buy and use. However, motorcycles are not as safe as cars and are harder to balance when moving slowly, which makes stability a big issue, the designing of self-balancing two-wheeler plays a vital role for physical challenged people. Validating the prototype model using gyroscopic technique and modelling the vehicle and evaluating the experimental model, the system is based on Lagrangian mechanics and uses the idea of an upside-down pendulum, making it a method that is easy to copy and use to make motorcycles more stable [1]. This project aims to make motorcycles more stable by using gyroscopes and study of self-balancing two-wheeler with double stabilization techniques used for balancing the two wheeled motorcycle. Earlier research, including real-time fall data from the 2006 to 2016 MotoGP, found that motorcycle falls often happen because of loss of grip and sudden rocking movements [2]. Different ways to improve balance have been tried, like adding extra wheels, flywheels, and balancing weights, but gyroscopes are considered the best solution [3].

Flywheels work like gyroscopes, creating a stabilizing force called precession, which helps keep the motorcycle upright even when it's not moving, this approach was tested through computer simulations using MATLAB/Simulink and real-world prototypes [4]. The study looks at factors like how hard it is to spin something, how fast it spins, and how accurately the spinning axis is aligned to design and improve a system with two gyroscopes [5]. The system can spot signs that a driver is getting tired, which can help stop accidents caused by imbalance and tiredness [6]. Testing showed that this system can lower the chance of accidents by catching strange driving behaviour as it happens during driving [7]. The research analysis found that this system makes braking quicker and more stable, which helps stop the motorcycle smoothly and prevent skidding when stopping suddenly [8]. This paper looked at how metal and rubber materials affect how much tools used for boring can dampen vibrations. The research studied the properties of bio-composites made from Aloe vera and hemp fibres [9]

The hybrid method was found to be stronger and longer-lasting than other methods, making the joints work better. The study found that this kind of seat belt greatly reduces movement and the risk of injury compared to regular seat belts [10],[11]. The study showed that using IoT improves car performance, makes driving safer, and gives a better driving experience [12]. The results showed that this method is more efficient and produces more water than traditional systems [13]. The findings showed that this system can stop the car automatically to prevent collisions, without the driver needing to do anything [14]. The study explained how continuous monitoring can improve road safety by finding early signs of tiredness or other health issues [15]. The results showed common signs of fatigue, which showed the need for monitoring systems to help prevent accidents caused by reduced alertness [16]. The study looked at a new design for the intake manifold for automobile that run on various types of design intake [17].

The results from computer simulations showed that the stronger front structure could absorb more energy during a collision, reducing the chances of injuries to the people inside. There were also studies on engines design along with a technique on analysis process and this studies found that analysis techniques [18], [19]. The study developed an onboard driver monitoring system combined with an enhanced braking mechanism to improve driver response in unsafe conditions. The system showed potential to reduce accident risk through timely braking intervention [20]. Frontal crash tests showed that five-point seat belt systems provide better occupant restraint and reduce injury severity. The study confirmed the importance of restraint design in improving crash safety [21]. The numerical analysis found that side-mounted vortex generators improve airflow behavior and vehicle stability. The results indicated reduced aerodynamic losses using passive flow control methods [22]. Material optimization using ANSYS showed noticeable improvement in strength and durability of two-wheeler suspension components.

The study confirmed that suitable material selection enhances performance while reducing weight [23]. The investigation demonstrated that variable geometry micro-channel heat exchangers improve heat transfer in automotive air-conditioning systems. Enhanced cooling performance was achieved through optimized tube and fin design [24]. An active braking system integrated with driver condition monitoring was shown to improve braking response during critical situations. The approach enhanced preventive safety in passenger vehicles [25]. The study addressed data security challenges in e-healthcare systems and proposed methods to protect patient information. The framework ensured privacy without affecting system reliability [26]. Experimental results showed that a semi-automatic parking brake system offers reliable and low-cost safety improvement for passenger vehicles. The system performed consistently under operating conditions [27], [28]. The studies demonstrated that real-time self-stability systems using sensor-based feedback can significantly improve motorcycle balance and rider safety during dynamic operating conditions [29-31].

II. MATERIALS AND METHODS

This method requires the use of flywheels as gyroscope on the two-wheeler so that the self-aligning properties of the gyroscope are imparted to the two wheelers on which it is installed. The different types of vehicles currently in use were identified for the study and their different specifications were noted that were required for further calculations and analysis. The purpose of the position of the center of gravity was an important part in the study. Thus, by careful approximation the position of center of gravity was determined to be at the half of the wheel base of the vehicle. For this study, the prototype was built in such a manner that it would be the exact replica of the real time model but in a smaller way i.e. it could be built in the exact same way but with changes to the dimensions. The prototype was built using specific materials, and several difficulties arose during its development, mainly concerning the position and weight of the gyroscopic flywheel. To overcome this, the gyroscope was mounted at different points on the frame and supported with beams of varying dimensions. However, the overall frame size and the wheels supporting the structure were kept unchanged and used as a constant reference for the design.

II.1 SYSTEM DESIGN FOR FORMULA DERIVATION

Motion equations are derived by method of Lagrange. This approach is extracted from energy survival for every rigid process structure. There are three rigid body elements, i.e. vehicle body, first flywheel and second flywheel. The Lagrange equation determines first L= TV, where T is the system's actual kinetic energy and V is potential power. The kinetic and potential body and flywheel power equations are based on [14].

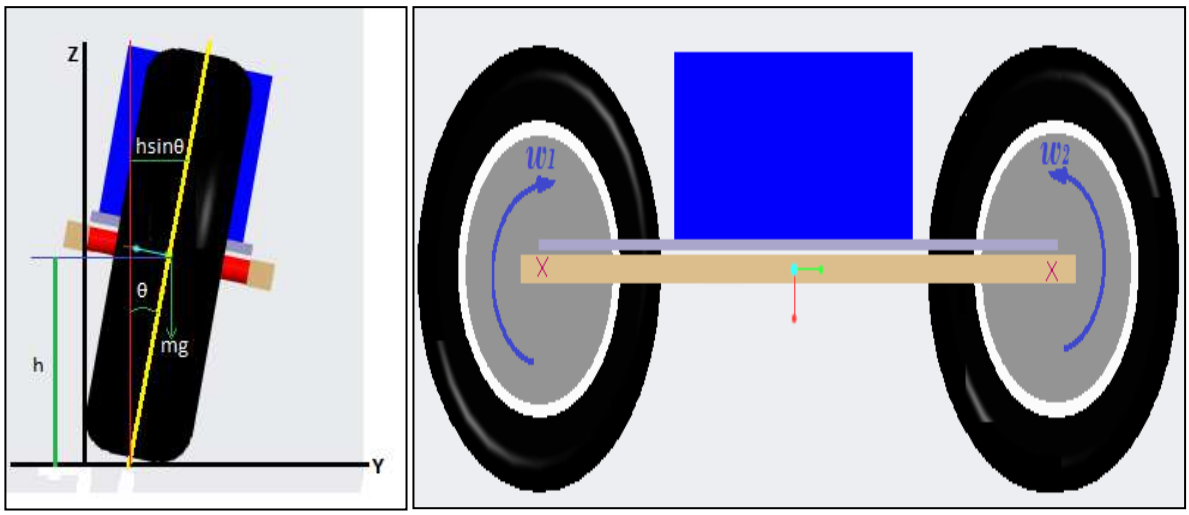


Figure 1: Free body diagram of gyro vehicle.
Source: Authors, (2026).

The coordinate of a vehicle is defined as:

θ - Tilt angle of motorcycle
ω_1 - Direction of rotation of Flywheel 1
ω_2 - Direction of rotation of Flywheel 2
Mass and centre of vehicle - m_b&Cg_b
Mass of 1st and 2nd flywheel - m_{gl} & m_g
Center of mass of 1st and 2nd flywheel - Cg_{gl} & Cg_{g2}
Moment of Inertia of motorcycle -I_{mx}
Moment of Inertia of 1st and 2nd of flywheel- I_{glx}, I_{gly}, I_{glz} ; I_{g2x}, I_{g2y}, I_{g2z}
$H = m_bCg_b^2 + m_{g1}Cg_{g1}^2 + m_{g2}Cg_{g2}^2$
$M = m_bCg_b + m_{g1}Cg_{g1} + m_{g2}Cg_{g2}$

In order to derive the motion equation of the gyro motorcycle, the assumptions made are as follows:

- Flywheel 1 and 2 rotation speeds are same but in the opposite direction.
- The vehicle is stationary.
- No external force is applied.

The Lagrange's method was used for derive equation of motions written with that assumption as:

$$\frac{d}{dx}\left(\frac{\partial l}{\partial \theta}\right) - \frac{\partial l}{\partial \theta} = 0$$

The derivation of the Lagrange equation is made by the final coordinate deserved. The speed of the inclined angular vehicle is achieved according to the above equation.

$$\ddot{\theta} = \frac{2k_1 \sin\dot{\theta} + 2k_2 \sin\dot{\theta} - l_{g1z}\,\theta - l_{g2z}\,\dot{\theta} - \dot{M_g}\sin\theta}{l_b + H}$$

The inputs used by Matlab Simulink were initial angle variation of inclination and flywheel rotation speed by performing vehic le angle occurred at zero-degree axis.

II.2. CONSTRUCTION OF GYRO VEHICLE

The flywheel fixed inside of wheels. Wheels were fitted to the steel frame; the mass should be dominant on the top of frame. (The centre of gravity is thus just above the wheel axis, stainless steel disc used as flywheels were fixed with the DC motor. The 12V battery was connected to the motor. The on/off switch was connected in series to the motor so that in would control the flow of the current to the DC motor only when needed. Figure 2 the model has been made in such a way that the front and rear wheels could move to take turns to change motorcycle direction (13). The accelerometer was placed in the same axis with the motors to get better readings from the motion sensors. Table 1 contains what are the data used for develop prototype model.

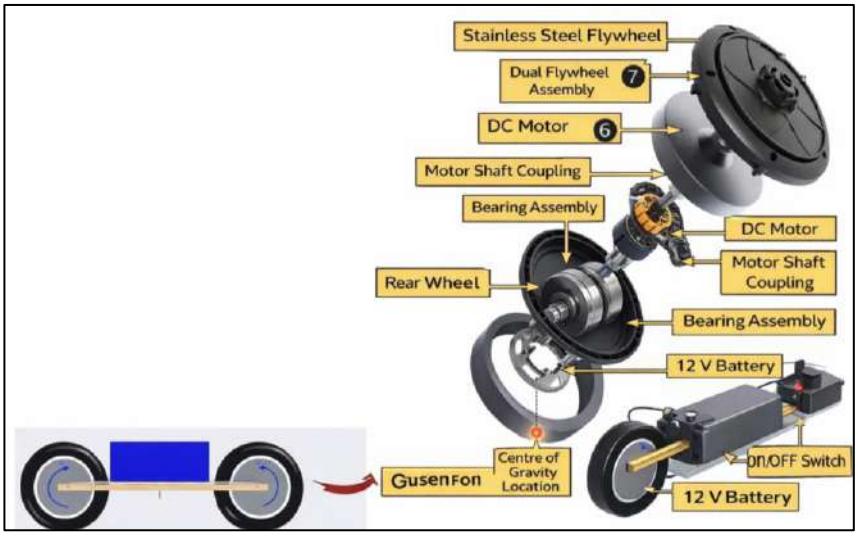


Figure 2: Exploded view of gyro assembly.
Source: Authors, (2026).

II.3. PROTOTYPE OF GYROSCOPE ASSEMBLY.

The model was made to lie on its side. Then the motor was made to run, which spun the flywheel. As the speed increased, the whole setup gradually started to rise. The motor and frame reach the stationary position after only a few rotations and oscillations of the motor, and the pure rolling movement is created by the gyroscope on the spin axis. This rotation of the disc produces the gyroscopic effect so that when the wheels lose their stability by virtue of the active gyroscopic pair, a gyroscopically couple is produced on the other hand. This gyroscopic effect is conducted both on the front and rear wheels. The complete assembly of prototype gyro shown in Figure 3.

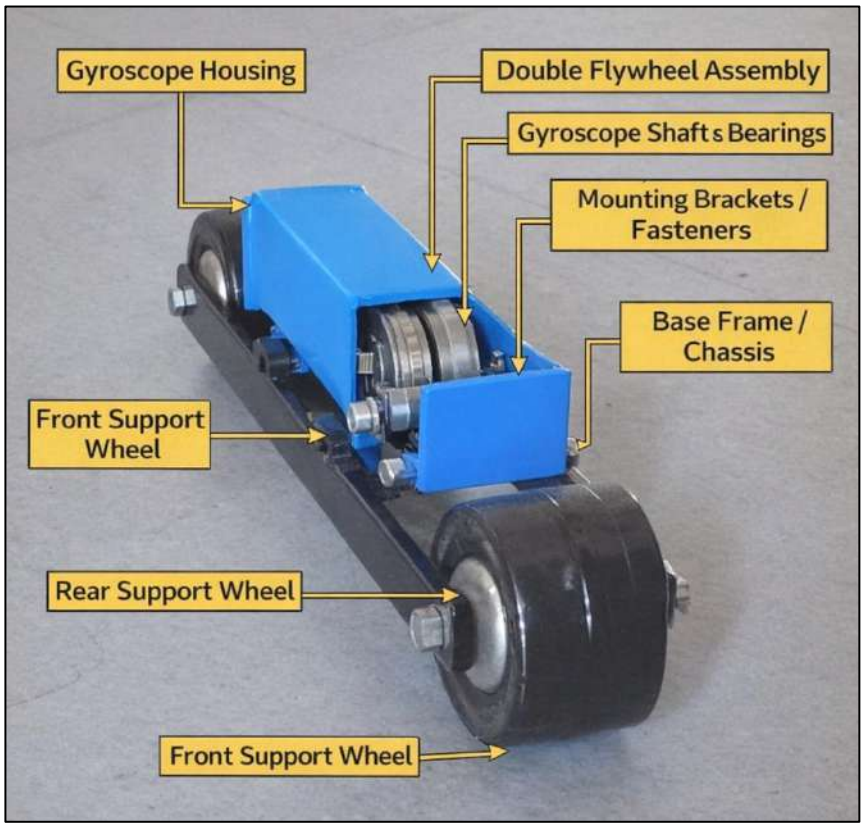


Figure 3: Prototype of gyro assembly.
Source: Authors, (2026).

II.4. HARDWARE SYSTEM DESIGN CONSTRUCTION

Stabilization of the Control Moment Gyroscope (CMG) uses a high-speed flywheel's reactive precession torque around an axis that acts to balance the vehicle. This paper proposes a development of proportional integral derivative (PID) controller for first order sliding mode to control the CMG and stabilize a bicycle at zero-forward speed. In this article, a motorcycle flywheel with one DOF is used to inducing the torque to overcome the torque by the gravity of its balanced vertical position when it is applied on the two wheels. A simultaneous, amplified reactive torque is produced around an orthogonal axis on both the axis of the flywheel and the spin axis by use a torque on a rotating flywheel. This controlled reactive torque can be designed to balance the axis of an unstable two-wheeler. Motorcycle balancing means that the vehicle attempts, by moving left or right for an induced lean angle, to return vertically or not to fall over. For this function we have to do two things: firstly, we must calculate the angle of inclination (roll) of the vehicle, and then we must control the speed of the engines to achieve this angle 0. Wink Measurement:

The accelerometer can measure the force of the gravity and the angle of the two wheels can be obtained.from the figure 4 illustrates the schematic diagram of gyroscope vehicle and it had labelled clearely.The gyroscope calculates the angular velocity and, if this calculation is combined, the magnetic angle of the twowheel moved i s not optimal and the integration has an integration variance.The combination of these sensors, called sensor fusion, will overcome these issues, and there are a great number of ways of combining them. It was named MPU6050. MPU6050 had the ability to use the detectors to collect accurate data directly from the chip without having to solder the sensors manually. Two engines spin two fly wheels separately so that we can alter the engine inputs in the correct location of the two wheels. We also use PID to provide a smoother calming reaction. To order to maintain the equilibrium position, the accelerometer tests the chase speed and the gyroscope. The ties we used during this a nalysis are shown in the figure below. In order to better read from the motion sensors, the accelerometer was positioned in the same dire ction with the enginesIt was also important to check the reliability of the proposed controller model. A basic PID controller was also added to the system to check this.

The PID controller have been designed as-

$$u = K_P e(t) + K_D \, d/dt e(t) + K_I \int e(\tau) d\tau$$

Where KP, K_D, and K_I are gains in proportion, derivative, and integrator, and $e_{(t)}$ is the difference between the current angle of tilt and the ideal angle ($\theta = 0$)(20).

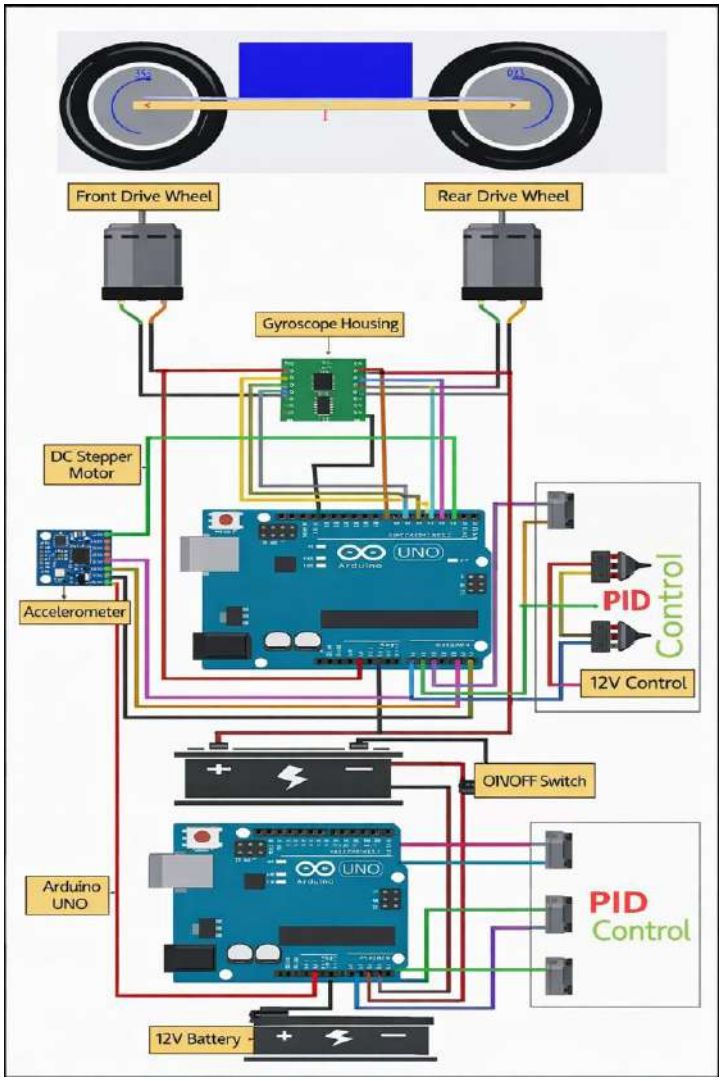


Figure 4: Schematic diagram of gyro vehicle.
Source: Authors, (2026).

III. RESULT AND DISCUSSION

Gyroscope is based on the principle that the angular momentum varies in torque direction. The simple principle behind this study is to give a counter force to the vehicle when it is under a fall.

Couple incurred during fall of a two-wheeler

$$C = W*h \quad (1)$$

Where,

W = Weight of two-wheeler in kg.
h = height of center of gravity from the ground m.
The course of the fall when traced took place in a quarter of the circle. The time taken was iterated to 1.5 seconds.
Hence, Basic formula for the minimum angular momentum required to stabilize the vehicle.

$$W*h^2\pi/ (2*1.5) \quad (2)$$

But angular momentum of a gyroscope is

$$L = I*\omega \quad (3)$$

$I = M*r^2$
$\omega = N*2\pi/60$
Substituting I and ω in (3)
We get,
$L = M*r^2*N*2\pi/60$

Where,

L= angular momentum of gyroscope kgm^2s^{-1}.
I = moment of inertia of the disc kgm.
ω = angular velocity of gyroscope m/s.
M= Mass of flywheel kg.

r = radius of the flywheel m.
Torque $\tau = Frsin\theta$
Force F=mg

Thus, by equating (2) and (3), we can determine the required angular momentum to be induced by the gyroscope. We have designed and made a self-balancing system for motorcycle. The model works on the principle of spinning wheel fixed inside of wheel.

Table 1: Parameters to design.

Front wheel dia - cm	20
Rear wheel dia (r)- cm	20
Overall mass- kg	20
Wheel base- cm	50
CG Point(h)- cm	30
Mass of Disc(m)- kg	0.25
Radius of Disc(r)- cm	5
Motor speed (N) RPM	500

Source: Authors, (2026).

Angular momentum of a gyroscope

$L = I\omega$

Moment of inertia of the disc

$I=mr^2$.
$I=0.25*0.05^2$
$I=0.000625$ kg m^2.
$\omega = N*2\pi/60$
$\omega = 500*2\pi/60$
$\omega = 52.3s^{-1}$
$L=0.000625*52.3$
$L=0.0326$ kgm^2 s^{-1}

Thus, the prototype can balance the vehicle up to the angular momentum of 0.0326kgm^2 s^{-1}

Table 2: Variation of Moment of inertia and Angular momentum of a gyroscope with respect to mass.

S.No	Mass-Kg	Moment of inertia- kg m^2	Angular momentum of a gyroscope- kgm^2 s^{-1}
1	0.25	0.000625	0.0326
2	0.26	0.00065	0.0339
3	0.27	0.000675	0.0353
4	0.28	0.0007	0.0366
5	0.29	0.000725	0.0379
6	0.30	0.00075	0.0392

Source: Authors, (2026).

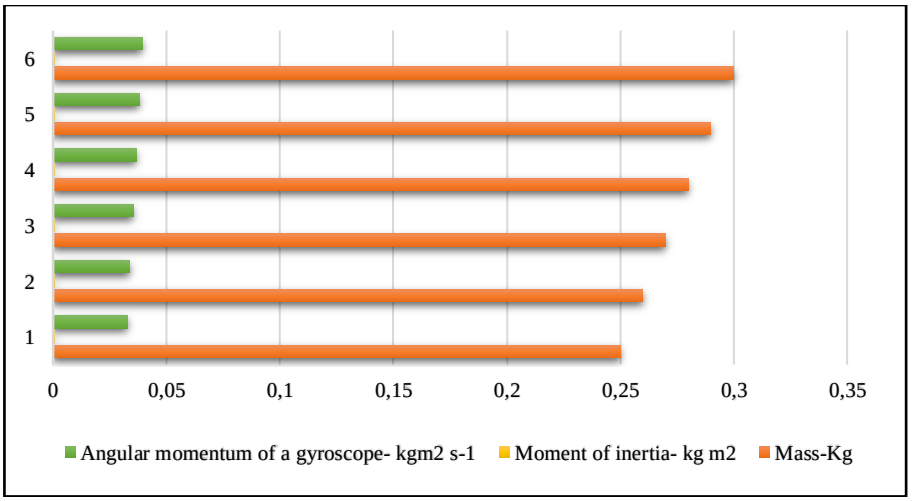


Figure 5: Mass vs Moment of inertia and Mass vs Angular momentum.
Source: Authors, (2026).

Figure 5gives us a clear idea that the moment of inertia created by the gyroscope will increase if we try to increase the mass of the flywheel can say that the time of inertia (MI) varies along with different masses of the fly wheel, relation between the fly wheel mass and the gyroscope angular momentum. Here, we can see that the angular momentum also increases in the response to the variable the fly wheel weight, which means that the range is a different factor for the gyroscope to get variable angular momentum values.

Table 3: Changes of flywheel speed with respect to tilt Angle at constant mass.

S. No	Tilt angle- θ	Flywheel Rotation -RPM
1	0	0
2	5	190
3	10	250
4	15	280
5	20	330
6	25	410
7	30	500

Source: Authors, (2026).

Figure 6 shows the results by changing the angle of inclination to get the corresponding speed values to change the tilt angle values. If the tilting angle increases, the torque value of the gyroscope is modified. In this analysis, the flywheel inertia is constant for each change of the input vehicle's inclination angle; so that the flywheel rotation speed required stabilizing the vehicle increases with the vehicle angle inclination. The greater the vehicle's angle, the greater the vehicle's torque.

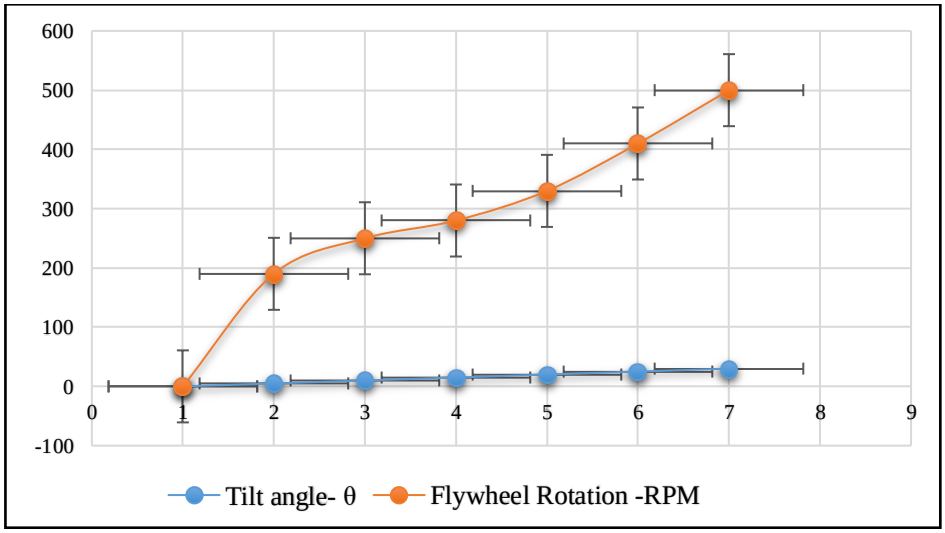


Figure 6: Tilt angle vs Flywheel rotation.
Source: Authors, (2026).

The results obtained in the form of the graph containing vehicular angle stabilization with a vehicle flywheel rotation speed were extracted from the theory test using Matlab Simulink. The vehicle angle changes test results are shown in TABLES 3. As for one of the theoretical testing charts shown in Figure 7. The vehicle incline angle is used as input parameter (θ) at 05, 10, 15, 20, 25, and 30. The result is 190 rpm, up to a 500-rpm flywheel rotation to stabilize the 00-30 incline angle from Simlink Matlab. The couple that is induced during fall was calculated based on the collected data for each vehicle. For each vehicle, the required angular momentum of the gyroscope was calculated and recorded. A scaled prototype was developed to demonstrate the stability of a two-wheeler using a flywheel as a gyroscope, and the gyroscopic force generated by the flywheel was calculated. In this model, only the forces acting along the lateral axis were taken into account, while factors such as driving force, vehicle velocity, braking force, and air resistance along other axes were excluded from consideration.

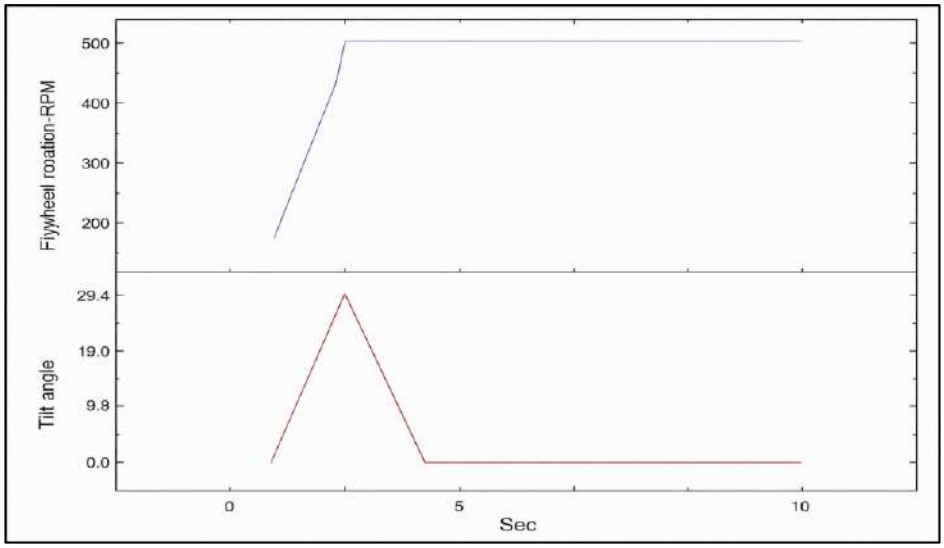


Figure 7: Stabilization graph at 30^0 - 500RPM.
Source: Authors, (2026).

For the prototype, the gyroscopic force of the flywheel was calculated to be 0.37 kg·m²/s at a rotational speed of 500 rpm, based on the given specifications. The motor speed was maintained at 500 rpm, while the flywheel mass was varied by adding or removing weight. The angular momentum generated by the system remained within the counteracting force of the flywheel, allowing the vehicle to maintain balance without external support. With these positive results, the study provides a basis for extending the concept to real vehicle applications in future work. The two wheeled model was stabilized by the usage of the gyroscopic force (i.e. angular moment) induced by the flywheel. Different types of motorcycle were selected based on this study were categorized into scooter, standard and sports shown table 2.

Case 1

W= 103kg
h= 0.619m
$L= W*h^2/(2*1.5)$
L= 103*0.6192/(2*1.5)
$L= 13.155\ kgm^2s\text{-}1.$
Thus,
13.155= M*r2*N*2π/60
13.155= M*N*0.07622*2π/60
M*N=21,634
M= 5kg
N= 4326rpm

Thus, the required mass 5kg and the required speed 4326rpm the gyroscope that is required for the self-balancing in standard model motorcycle was found theoretically.

Case 2

W= 119kg
h= 0.652m
L= W*h2/(2*1.5)
L= 119*0.6522/(2*1.5)
L= 16.826 kgm2s-1.
Thus,
16.826= M*r2*N*2π/60
16.826= M*N*0.07622*2π/60
M*N=13,817
M= 5kg
N= 2763rpm

Thus, the required mass 5kg and the required speed 2763rpm the gyroscope that is required for the self-balancing in standard model motorcycle was found theoretically.

Case 3

W= 135kg
h= 0.6725m
$L= W*h^2/(2*1.5)$
$L= 135*0.6725^2/ (2*1.5)$
L= 20.351 kgm2s-1.
Thus,
20.351= M*r2*N*2π/60
20.351= M*N*0.07622*2π/60
M*N=16,676
M= 5kg
N= 3335rpm.

Thus, the required mass 5kg and the required speed 3335rpm the gyroscope that is required for the self-balancing in sports model motorcycle was found theoretically.

Table 4: Data for three types of motorcycle.

Case/Description	Case -1 Scooter	Case -2 Standard	Case -3 Sports
Wheel Dia (f)- m	0.3048	0.4318	0.4318
Wheel Dia (r) -m	0.3048	0.4318	0.4318
Overall Mass- kg	103	119	135
Wheel base- m	1.238	1.305	1.345
CG Point -m	0.619	0.6525	0.6725
Mass of Disc- kg	5	5	5
Radius of Disc- m	0.0762	0.10795	0.10795
Speed Approx- RPM	4326	2763	3335

Source: Authors, (2026).

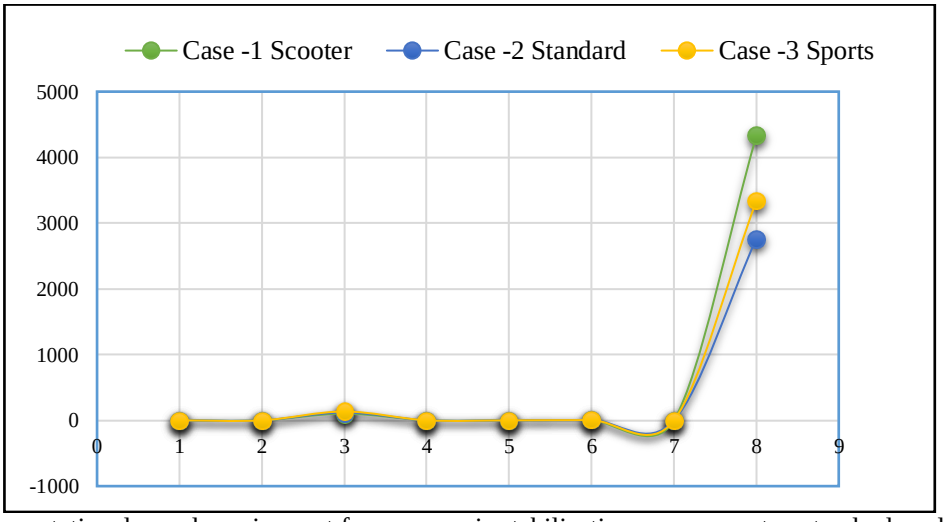


Figure 8: Comparative rotational speed requirement for gyroscopic stabilization across scooter, standard, and sports motorcycles.
Source: Authors, (2026).

From Figure 8. The scooter configuration requires the highest disc rotational speed, indicating a greater gyroscopic input needed to compensate for its lower mass and shorter wheelbase.The standard motorcycle shows the lowest required speed, reflecting a more balanced contribution from mass distribution and wheelbase length. The sports motorcycle exhibits an intermediate trend, where higher mass improves stability but still demands elevated disc speed due to its geometry and dynamic characteristics.

V. CONCLUSION

The proposed method successfully enabled the vehicle to achieve self-stability. The model operates on the principle of a spinning wheel mounted within another wheel. This study was undertaken to address the challenge of balancing motorcycles and to enhance their stability. The concept involves using a dual-gyroscope system with double flywheels, followed by testing, designing, and analysing the gyroscope based on the results obtained. A prototype of the gyroscopic stability system for motorcycles was developed and validated, with corresponding calculations performed and operational limits defined. This work benefits not only experienced riders but also individuals who are in the process of learning to ride two-wheelers.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: C. Dineshkumar, N S Shafeer Ahmed, Mohamed Jaheen.
Methodology: C. Dineshkumar, N S Shafeer Ahmed.
Investigation: Mohammed Rizwan, Mohammed Harris.
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Writing - Original Draft: Mohamed Jaheen, Mohammed Rizwan.
Writing - Review and Editing: S Syed Burhan, K Samsudeen.
Resources: C. Dineshkumar, N S Shafeer Ahmed.
Supervision: C. Dineshkumar, N S Shafeer Ahmed,
Approval of the final text: C. Dineshkumar, S Syed Burhan, K Samsudeen.

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RESEARCH ARTICLE OPEN ACCESS

DESIGN AND STRUCTURAL EVALUATION OF A ROLL CAGE FOR BAJA ALL-TERRAIN VEHICLES

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ABSTRACT

The roll cage is a critical structural element of an all-terrain vehicle (ATV), providing essential rigidity and enhancing occupant safety during off-road operation. This study presents the design and structural evaluation of an ATV roll cage, focusing on CAD modeling, finite element preprocessing, and static structural analysis. The roll cage geometry was developed using Creo to satisfy key requirements such as strength, weight efficiency, and compatibility with the vehicle chassis. The completed model was then discretized using Hyper mesh, where appropriate meshing was applied to ensure reliable numerical results. Static structural analysis was carried out using the Opti Struct solver to evaluate stress distribution, deformation behavior, and potential failure regions under representative loading conditions, including gravitational effects and external impact loads encountered during off-road use. The results confirmed that the roll cage design meets safety and performance criteria, with factor of safety values maintained within acceptable limits, supporting its suitability for demanding off-road environments.

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I. INTRODUCTION

Commonly developed from steel or other high-strength materials, a roll confinement comprises an organization of bars or cylinders decisively situated around the vehicle's traveler compartment. Furthermore, it builds up the vehicle's case, improving, generally speaking, its unbending nature and stability. All-territory vehicles are quite possibly the most renowned vehicle, which was first made in the USA in the mid-70s, and from that point forward, the utilization of these vehicles has been expanded fundamentally. This will be accomplished through the use of simulation and testing methods to evaluate structural integrity, material selection, and optimization strategies. Consequently, to check the security of the vehicle, different investigations are performed on different parts of this primary examination performed on the roll-enclosure of the vehicle. The underlying trustworthiness of the roll confine is resolved utilizing the FOS. The vehicle's loss of momentum in relation to the object it collides with can be seen in the graph's fall in momentum. The effect power and FOS obtained from the examination results underscore that ePA-CF has preferred execution over ASTM A36 steel roll confinement [1]. The ergonomics of the vehicle are likewise remembered while planning so the driver can drive the ATV with outright solace and prosperity. More noteworthy and more prominent will be the capacity of the roll enclosure to support different burdens in various landscapes. All the effect tests were performed, and in light of the most extreme pressure, the variable of wellbeing (FOS) was determined. The element of security was well over as far as possible, which is 1.5, and hereafter it is reasoned that the modular of the ATV that was introduced in this paper is protected to be manufactured [2].

Design Study of Electric Vehicle Roll-Cage Obtained Using Modal Analysis, this paper provides the optimum design parameters (thickness, width, height, and diameter) of a roll cage considering the modal analysis. With different static, structural, and explicit dynamic analyses to show that the roll cage is secure when load it statically and dynamically. The factor of safety for the roll-cage reaches 2, which is safe from a design point of view. The naturally produced first bending mode will meet the dynamic frame performance requirements under different conditions. The frequency of the first mode is higher than the frequency of road excitation in the most common operating conditions and is also higher than the frequency of the electric motor, thus trying to avoid these common resonance problems [3]. Static and Modal Analysis of All Terrian Vehicle Roll-Cage, a bigger production line of security infers the huge capacity of an ATV to endure all sorts of burdens and be equipped for continuing on different landscapes. This paper has outlined the whole plan strategy of roll enclosures and understands the basic parts of the plan. Additionally, static examination is used in limited component investigations alongside modular examination to avoid the peculiarity of reverberation [4]. Effect of metallic substrate and rubber elastic materials, the study investigated the effect of the Constrained Layer Damper on boring hardened AISI 4340 steel, focusing on tool wear, surface finish, and vibration. The damper, using copper as the substrate and polyurethane as the elastic material, significantly reduced tool vibration, enhancing tool life by approximately 97.5%, improving surface finish by about 83%, and reducing vibration by around 98%.

Computational analysis aligned closely with experimental results, validating the method's accuracy. The Constrained Layer Damper proved to be an effective and versatile solution, significantly improving the cutting performance of boring tools in machining hardened steel [5]. Stress Analysis of Roll Cage for an All-Terrain Vehicle, this roll cage structure's resistance to side, front, and rear collisions. Under is a safety factor. The secure level. The roll cage can withstand forces of 4G from the front and rear and 2G from the sides. Thus, distortion and stresses are below the cutoff [6]. Analysis of A Roll Cage Design against Various Impact Load and Longitudinal Torsion for Safety, the car's ability to bear heavy loads was demonstrated by the impact analysis. Both front and side effect examinations were completed, and the most extreme and least extreme qualities were classified. When aluminum was used instead of steel, the impact was found to be less significant. An examination of roll confinement against longitudinal twist was performed. The findings demonstrated that increasing the number of local thicknesses can lessen the member's stress. Another option is to increase the number of stiffeners [7]. Design and Development of Roll Cage for All Terrain Vehicles, the total frontal impact and frontal impact force deformation following a collision is obtained using ANSYS 16.0 software. The overall deformation of the vehicle depends on the force exerted on the vehicle during the crash, and the torsion can be reduced by using better construction materials for the vehicle. The results show that it is designed to withstand the track bump and impact to be applied, ensuring the safety of the driver and the performance of the vehicle [8].

Iterative static analysis was used to refine an all-terrain vehicle roll cage, improving the factor of safety and ensuring occupant protection under severe operating conditions [9]. Related studies show that optimized joint configurations in composite structures and simplified roll cage layouts using ASTM 106 Grade B steel can enhance load capacity while reducing fabrication effort without compromising safety [10], [11]. Thermal stability was assessed through thermo gravimetric analysis and differential scanning calorimetry, confirming the positive impact of hybridization. Overall, incorporating aloe vera fibres into the composites markedly increased their dynamic, thermal, and mechanical performance, indicating the potential of these eco-friendly materials for various applications [12]. Design and Analysis of Roll Cage for an Electric Hybrid Tricycle, in front-facing, side, and rollover crashes, the roll enclosure's solidity and safety have been successfully tested. For a front impact load of 5G, optional impact load of 3G, rollover load of 3G, and wind load of 2G, a reasonable limit was considered. Tensions and deformations are within acceptable ranges. Therefore, both the assembly and the vehicle's development have adopted this roll limit [13]. This product, with its high-level apparatuses, can set several boundaries. Relating and definite qualities that can't be resolved tentatively, like CATIA, ANSYS, solid works, hyper mesh, and supportive of e, are a few instances of programming accessible to the clients. Static Analysis of ATV Roll Cage, this paper concentrated on the display, material choice, lattice, and static examination of ATV.

They have carried out a number of the necessary analyses for the vehicle's safety, including side impact analysis, front impact analysis, and so on. They can conclude from the above table that the vehicle is protected since the upsides of FOS (Element of Security) are more noteworthy than 1 [14]. Static Analysis of the Roll Cage of an All- Terrain Vehicle (SAE Baja), the examination was useful in figuring out the most extreme twisting, Von Mises pressure, and the element of security. The plan of the vehicle is kept extremely straightforward, keeping in view its manufacturability. The plan, improvement, and creation of the roll confine are done effectively. The roll confine is utilized to construct an ATV by coordinating the wide range of various auto frameworks like transmission, suspension, brakes, directing, and so on [15], [16]. Previous studies indicate that both geometry and material selection play a major role in controlling stress distribution and deformation, enabling the development of lightweight yet strong chassis structures [17-20]. Research on ATV and buggy roll cages consistently emphasizes their importance in occupant protection during off-road operation, with optimized structural layout and material choice being key to meeting safety demands under different impact conditions [21-24].

Beyond structural components, vehicle safety has been enhanced through monitoring systems that track driver posture and operating conditions, helping to reduce accident risk by identifying unsafe states early [25-28]. Crash studies further show that five-point seat belt systems, when properly integrated with vehicle structures, improve occupant restraint during frontal impacts [29-31]. Investigations into motorcycle rider fatigue reveal that both physical strain and vehicle design influence rider safety, highlighting the need for fatigue-conscious design approaches [32-34]. Additional performance studies demonstrate that improvements in intake design, fuel strategies, aerodynamics, suspension materials, thermal management, and electronic integration contribute to better efficiency, stability, and overall vehicle safety without extensive redesign of core systems [35-36]. The study proposed an improved automotive braking system that enhances braking response and stability, thereby improving overall safety in passenger vehicles and study shows the measuring devices used for analysising the output results from motorised accurancy is due to sensor perfomance [37-39].

II. METHODOLOGY

The vehicle safety cage is designed to balance strength and weight while protecting occupants during impact and rollover events. Material choice, member shape, and structural layout strongly influence its performance, with selective reinforcement improving load transfer and limiting deformation. Finite element analysis is used to identify critical stress areas and guide design refinements for safe real-world operation.

II.1 CREO PARAMETRIC

Over the long time, the computer program progressed, solidifying advanced highlights and advanced progresses. In 2011, PTC rebranded Pro/ENGINEER as Creo Parametric, impelling it underneath the broader Creo suite, which as well consolidates Creo Facilitate, Creo Reenact, and Creo Arrange, among others. This rebranding pointed to highlight the software's extended capabilities past conventional design, such as item lifecycle administration (PLM), expanded reality (AR), and Web of Things (IoT) integration. Creo Parametric remains a driving CAD apparatus broadly utilized over businesses for product design, designing, and fabricating. Including parametric and coordinate modeling, get together administration, simulation, rendering, and 2D drafting. With each unused discharge, PTC proceeds to improve Creo Parametric with cutting-edge advancements, ensuring it remains at the cutting edge of CAD innovation.

II.2 CREATION OF PART USING DRAWING

The initial step while opening Creo, a 3D computer-aided design demonstrating programming, is regularly sending off the application on your PC. Then select the function catalog on the PC. Choose the format, such as part, assembly, or other, in which we will produce the model. Further select subtypes in that strong ought to be appointed. Give a document name for the model record in the configuration of part (prt001). Select any one of the three planes for the sketch option to use to start it. The next step is to align the plane of view so that the model drawing can begin with the bottom line and connect the lines so that the shapes can be made one at a time. Creo parametric, permitting aspect-driven changes for size and shape. Key utilization of relationships and aspects improves with adjustments. Go for the gold elements north of a couple of intricate ones for simpler work and diminished blunders. In Creo parametric, part creation is streamlined by planning and adhering to these principles. This is the essential procedure in Creo. Parametric demonstrating permits you to make 3D models by characterizing boundaries and requirements. Start with fundamental mathematical shapes like expulsions, clears, rotations, and so on, and then apply aspects, relations, and limitations to make a completely characterized model. Changes made to aspects or boundaries engender the model, considering simple plan adjustments.

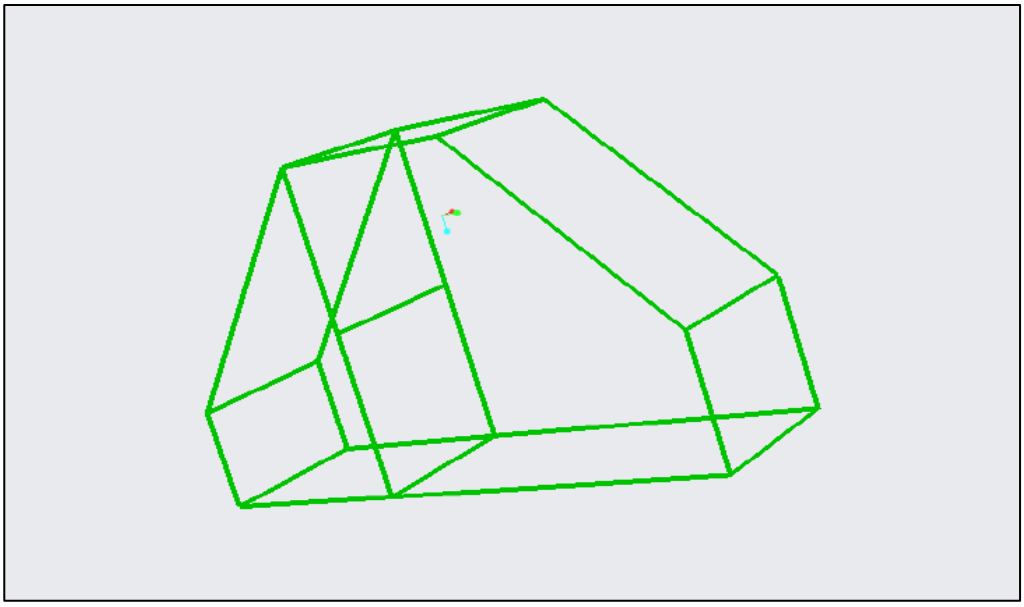


Figure 1: Wireframe Model of Roll cage.
Source: Authors, (2026).

Table 1. Dimensions of Roll cage.

Parameter	Length	Width	Height	Overall-Weight
Dimensions	2000mm	650mm	1300mm	400kg

Source: Authors, (2026).

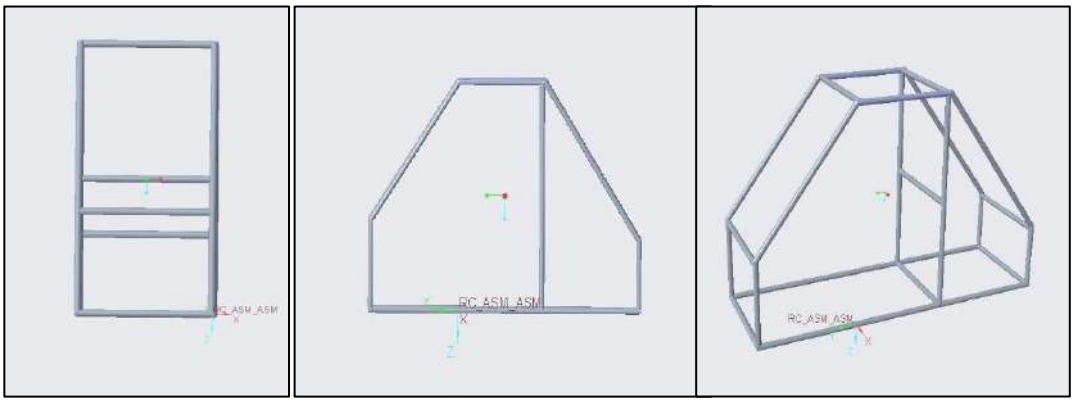


Figure 2: Three Views of Roll cage (Front View, Side view, Isometric View).
Source: Authors, (2026).

II.3 FINITE ELEMENT METHOD (FEA)

Limited Component Examination (FEA) is a computational strategy used to break down complex designs and frameworks by separating them into more modest, less difficult components. These components are interconnected at discrete points called hubs. By settling numerical conditions that address the actual way of behaving of every component and their associations, FEA is generally utilized in designing and science for plan streamlining, execution expectation, and investigating. It saves time and resources during the product development process by allowing engineers to evaluate the behavior of structures and systems without the need for costly physical prototypes.

II.4 MESHING

The geometry is meshed next, with the surface meshing tools creating elements on the geometry's surfaces. This step is basic as it characterizes the exactness and effectiveness of the investigation. HyperMesh offers a variety of meshing algorithms for a variety of geometries and analysis needs. These calculations incorporate tetrahedral, hexahedral, and shell coinciding, each reasonable for various kinds of designs and stacking conditions.

II.4.1 Assigned Before Meshing

- Element Type: mechanical
- Element Shape: quads
- Element size: 4mm
- Element Density: Automatic
- Materials used: chromium molybdenum alloy steel.

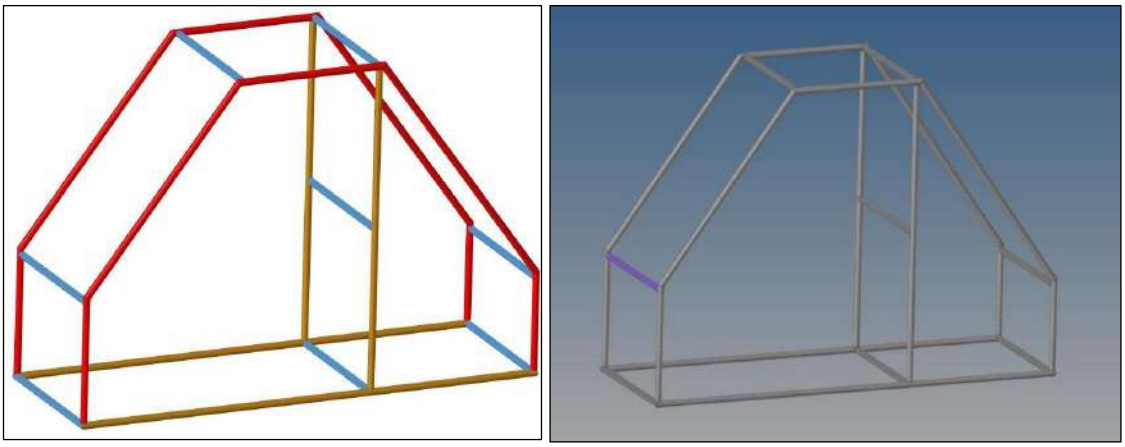


Figure 3: Mid Surface Creation and Completely meshed Roll cage.
Source: Authors, (2026).

II.5 SEAM WELDING

Crease welding is a welding interaction that includes joining two covering metal sheets along their edges by making a progression of covering spot welds or ceaseless welds along the crease. It is frequently utilized in automotive components and leak-proof containers in the manufacturing sector. In HyperMesh, a product usually utilized for limited component examination (FEA) and pre-handling errands in the field of designing and reenactment, the kind of crease weld utilized would depend upon the particular necessities of the investigation being led. In order to accurately simulate the behavior of welded structures, HyperMesh provides a variety of options for the definition of welds, including seam welds. Crease welds in HyperMesh can regularly be characterized as utilizing components like shell components.

In HyperMesh, "RBE2" alludes to "Unbending Body Component Type 2." It's a kind of unbending component utilized in limited component examination (FEA) demonstrating. You can connect multiple degrees of freedom (DOFs) at a single grid point to a collection of independent grid points using RBE2 elements. When you want to impose rigid behavior on various parts of a finite element model, this is helpful for connecting them. For instance, on the off chance that you have a design where you believe specific hubs should move together unbendingly (like a joint), you can utilize RBE2 components to interface those hubs and guarantee that they move as a solitary, inflexible body.

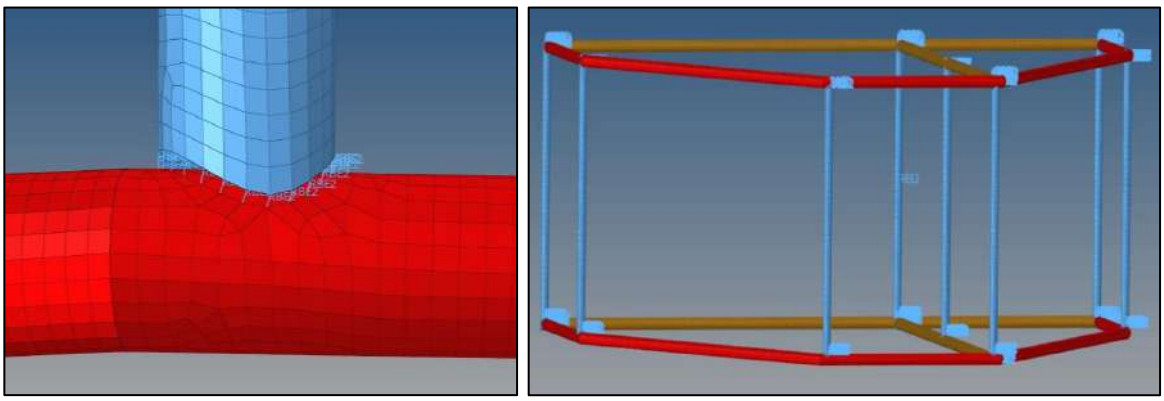


Figure 4: Seam Welding done at the Corners.
Source: Authors, (2026).

II.6 MATERIAL

Material was chosen by considering different boundaries like level of carbon, elasticity of material, Young's modulus, compressive strength, Poisson's proportion, thickness, and so on. AISI 4130 is chosen for roll cage. Chromium and molybdenum are the main alloying elements in AISI 4130, a low-alloy steel. It is also known as chromoly steel. The specific chemical makeup of this steel can be determined by looking at its designation, "4130.

Table 2: Material Properties.

Properties	AISI 4130	AISI 1018
Density	7850 Kg/m^3	7870 Kg/m^3
Young's modulus	210Gpa	205Gpa
Poisson's ratio	0.3	0.29
Ultimate tensile strength	670Mpa	450Mpa
Yield tensile strength	460Mpa	370Mpa
Iron	98.22%	99.26%
Manganese	0.60%	0.90%
Carbon	0.330%	0.20%
Sulfur	0.040%	0.05%
Phosphorous	0.035%	0.04%

Source: Authors, (2026).

III. RESULTS AND DISCUSSIONS- EVALUATION OF MATERIAL PERFORMANCE FOR IMPACT SCENARIOS

III.1 MODAL ANALYSIS

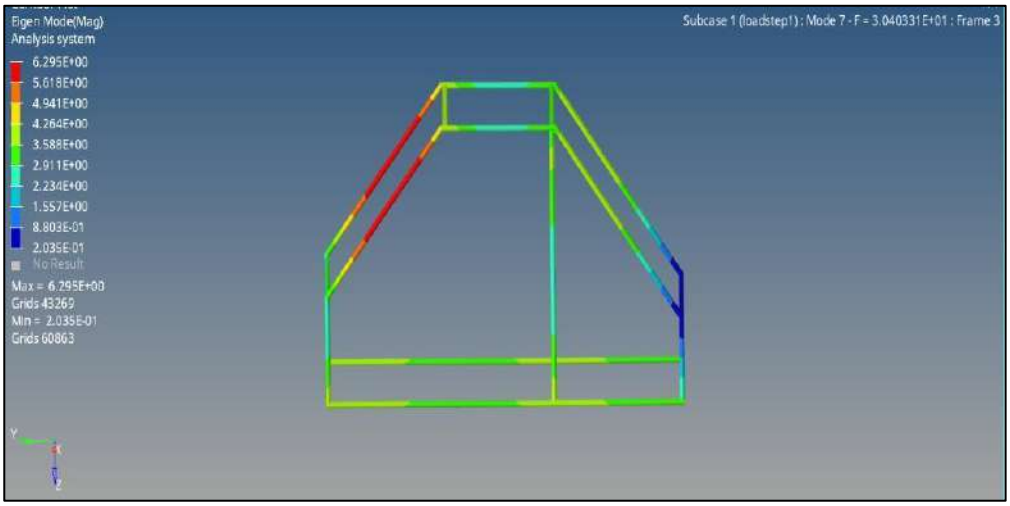


Figure 5: Modal Analysis Result.
Source: Authors, (2026).

In Hyper mesh, eigenvalue analysis is the process of finding the natural frequencies and mode shapes of a finite element model by solving an eigenvalue problem. In the first place, the model is made and fit, characterizing its calculation and material properties. Limit conditions are then applied to reproduce certifiable requirements. Hyper mesh conducts the examination by ascertaining the eigenvalues (normal frequencies) and comparing the eigenvectors (mode states) of the model. These eigenvalues address the frequencies at which the construction normally vibrates, while eigenvectors portray the related mode shapes or examples of vibration. Figure 5. shows that, the total frequency range of the rolling cage as determined by Eigen mode or modal analysis, which extends from mode 7 to mode 12. This analysis determines the natural vibration frequencies necessary to ensure the integrity and performance of the structure by predicting and mitigation. resonant vibrations that can affect.

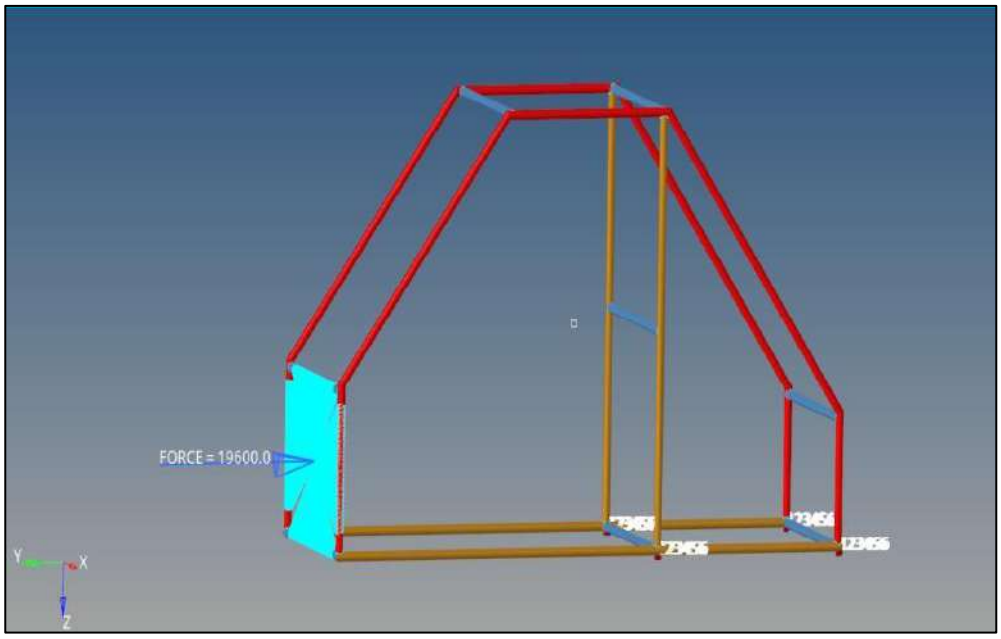


Figure 6: Fixed Supports and Load of the Roll cage.
Source: Authors, (2026).

Figure 6. shows that, front impact test the rear bottom four corners have been constrained with 5G force. The Constrained parts is mentioned as “RBE 2” known as Rigid Body Element. The same RBE 2 is mentioned in Seam Welding. Where the force is acting at the centre of the front part as “spc” known as single point constraint.

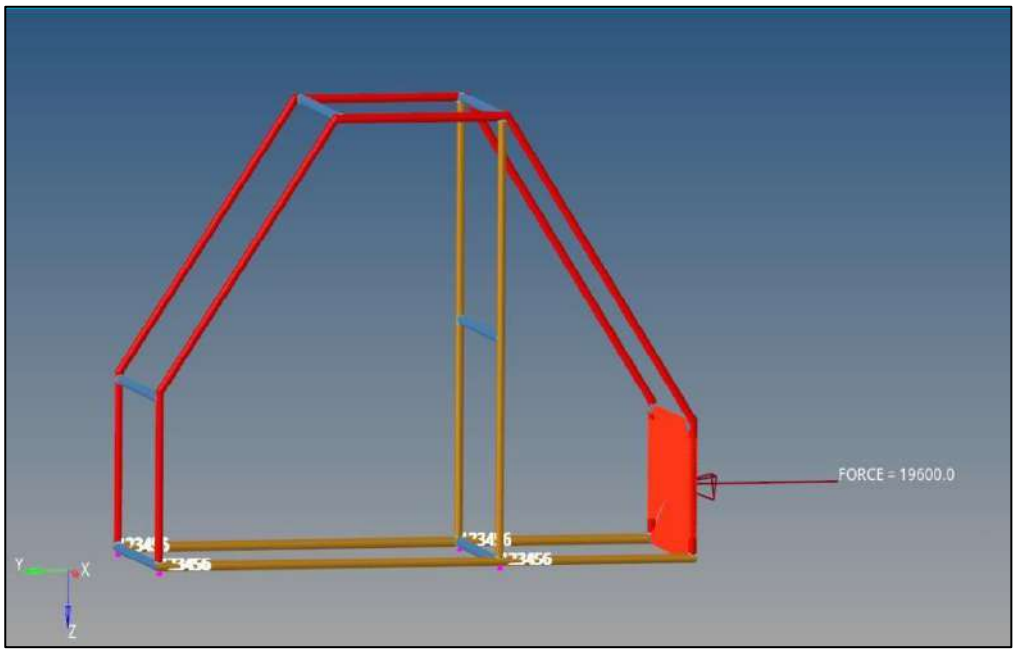


Figure 7: Fixed Supports and Load of the Roll cage.
Source: Authors, (2026).

Figure 7. shows that, rear impact test the front bottom four corners have been constrained with 5G force. The Constrained parts are mentioned as “RBE 2” known as Rigid Body Element. The same RBE 2 is mentioned in Seam Welding. Where the force is acting at the centre of the rear part as “spc” known as single point constraint.

III.2 FRONT IMPACT TEST RESULTS

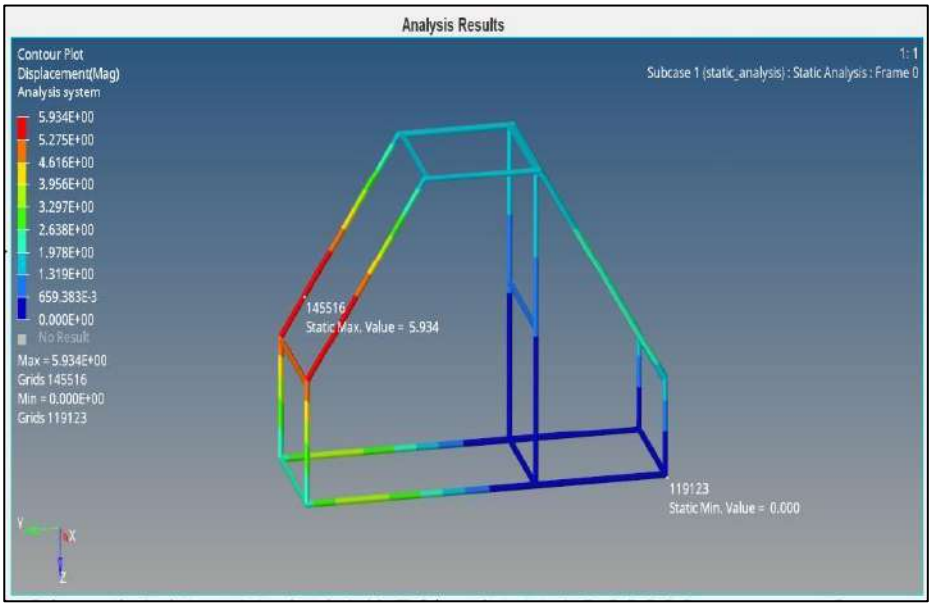


Figure 8: Maximum Deformation of AISI 4130.
Source: Authors, (2026).

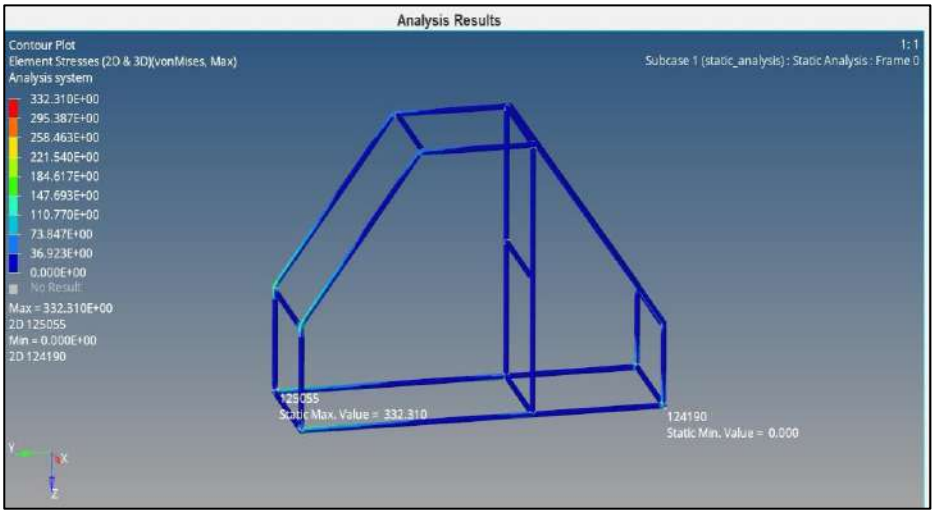


Figure 9: Stress Distribution of AISI 4130.
Source: Authors, (2026).

III.3 REAR IMPACT TEST RESULTS

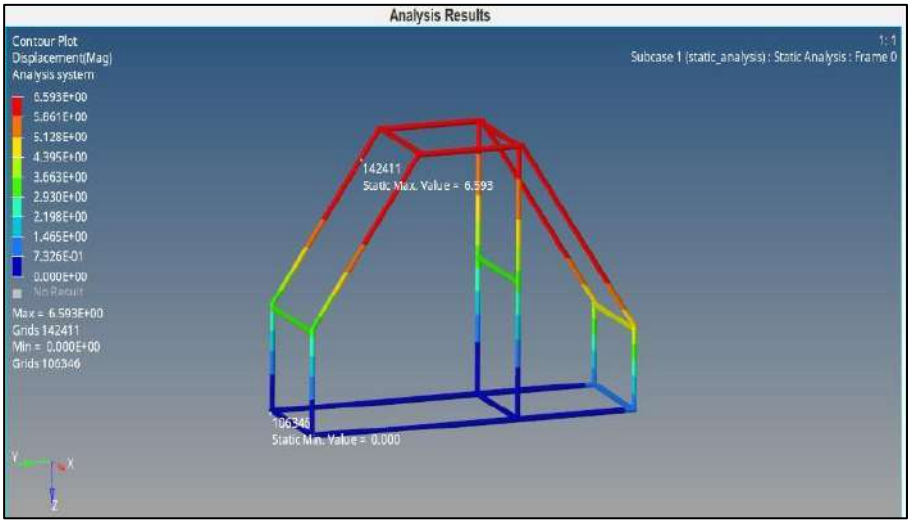


Figure 10: Maximum Deformation of AISI 4130.
Source: Authors, (2026).

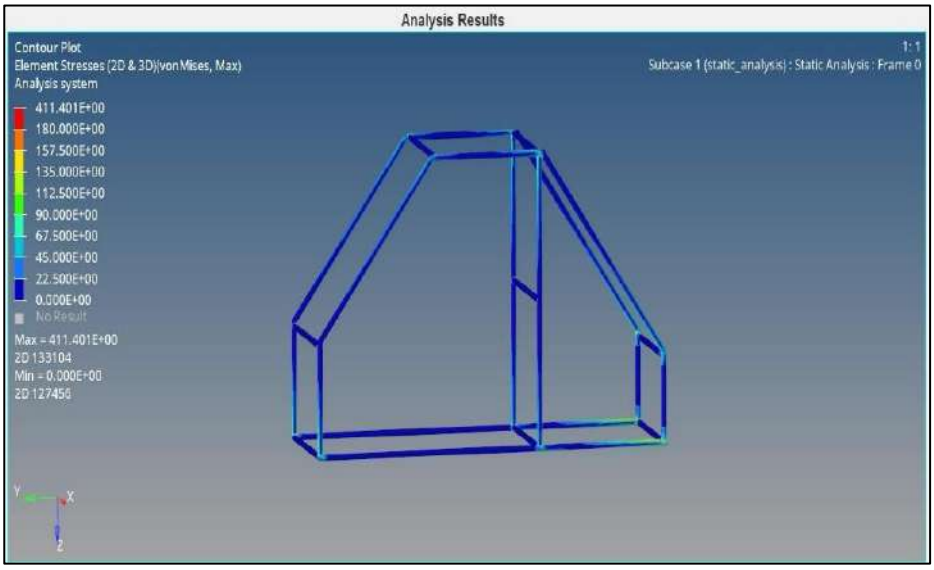


Figure 11: Stress Distribution of AISI 4130.
Source: Authors, (2026).

III.4 FRONT IMPACT TEST RESULTS

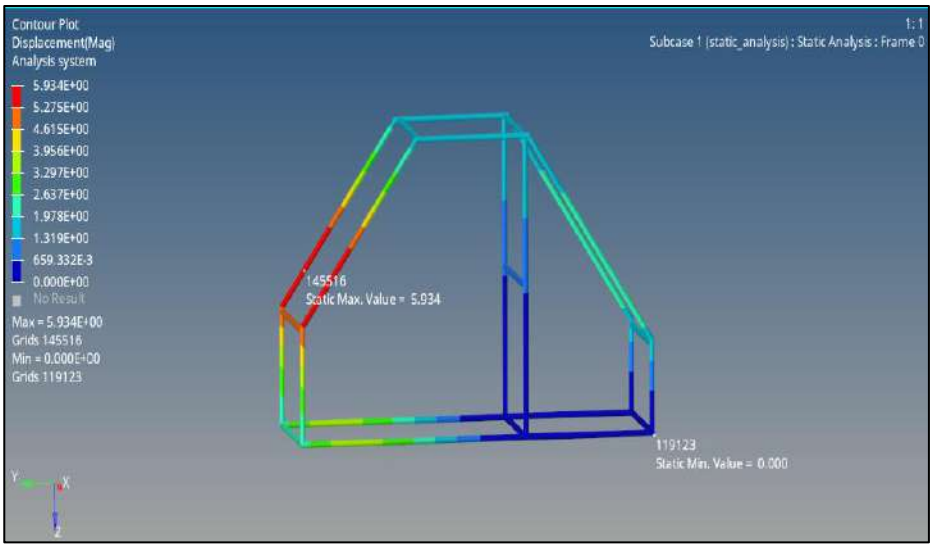


Figure 12: Maximum Deformation of AISI 1018.
Source: Authors, (2026).

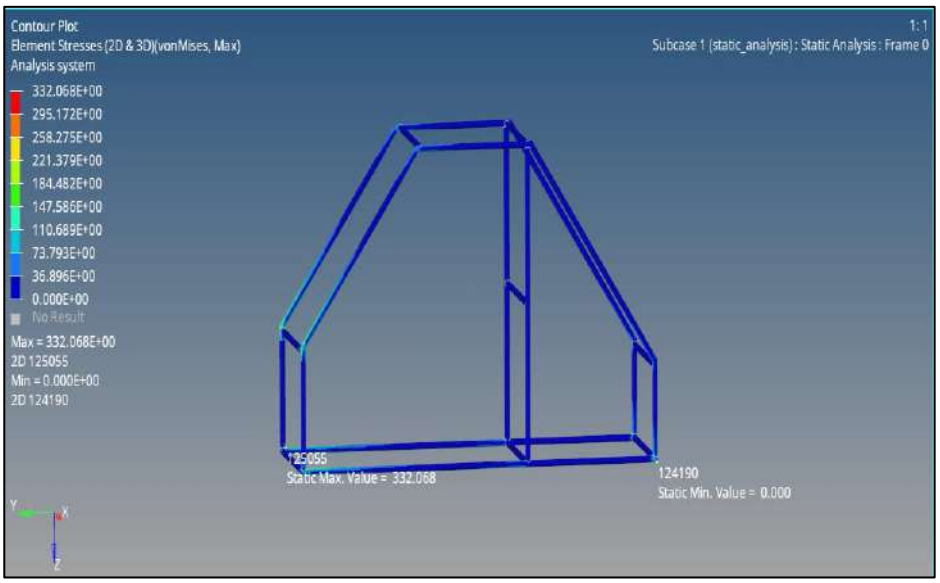


Figure 13: Stress Distribution of AISI 1018.
Source: Authors, (2026).

III.5 REAR IMPACT TEST RESULTS

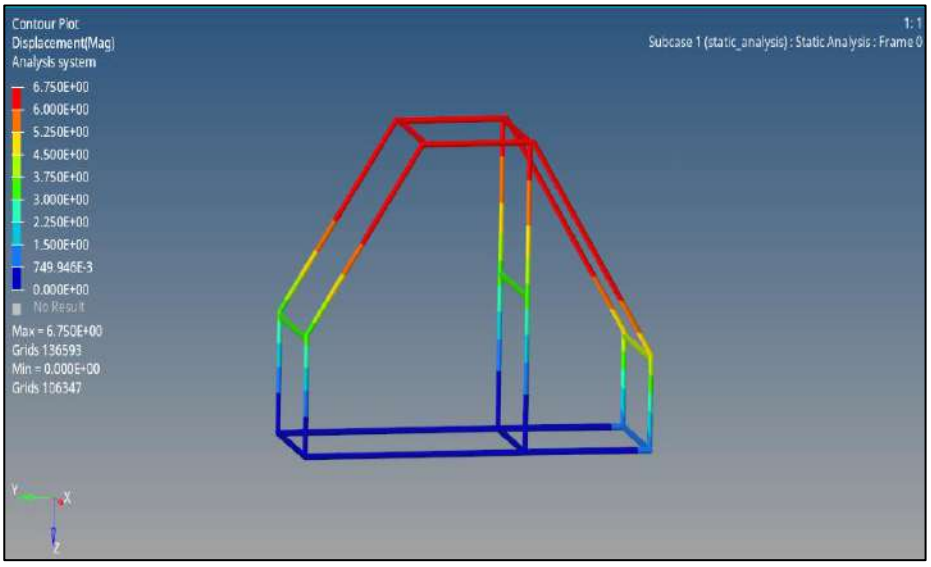


Figure 14: Maximum Deformation of AISI 1018.
Source: Authors, (2026).

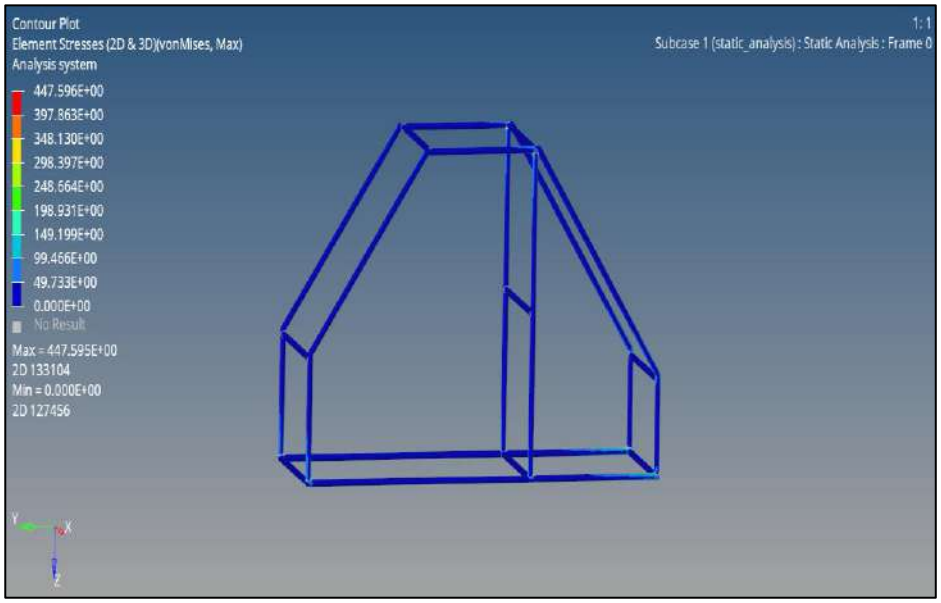


Figure 15: Stress Distribution of AISI 1018.
Source: Authors, (2026).

The deformation and stress results in Figure 8 and 9 show that frontal loading causes a maximum displacement of about 5.9 mm and peak stress of approximately 332 MPa at the front, while the rear remains largely unstressed. Under rear-impact conditions, Figure. 14 and 15 indicate higher rear deformation (around 6.5 mm) and stress levels reaching nearly 411 MPa, confirming effective energy absorption by the rear structure. Similar trends observed in Figure 15 identify the rear region as structurally critical, with maximum deformation of about 6.7 mm and peak stress approaching 447 MPa, suggesting the need for localized reinforcement.

Table 3: Stress and Deformation for the Selected Material.

Material	Type of Analysis	Stress (Mpa)	Total Deformation (mm)	FOS
AISI 4130	Front Impact	332.31	5.7	1.3
	Rear Impact	411.40	6.5	1.4
AISI 1018	Front Impact	332.06	5.9	1.3
	Rear Impact	447.59	6.7	1.0

Source: Authors, (2026).

Table 3 compares the performance of AISI 4130 and AISI 1018 steels under frontal and rear impact loading based on factor of safety, stress, and deformation. AISI 4130 shows better performance in rear impacts, with a factor of safety of 1.4, peak stress of 411.40 MPa, and deformation of 6.5 mm, indicating higher stiffness and strength. In contrast, AISI 1018 performs well under frontal loading, maintaining a factor of safety of 1.3 with controlled stress (332.06 MPa) and deformation (5.9 mm), which is beneficial for energy absorption. These results show that selecting materials based on impact location improves overall vehicle safety and structural reliability.

IV. CONCLUSION

This work examined the design and static performance of an ATV roll cage under front and rear impact conditions. In all cases, the factor of safety remained above one, indicating adequate strength and load-carrying capability. A simplified design approach was adopted to support ease of fabrication without compromising durability, allowing the roll cage to function as the main structural support for vehicle subsystems. Material comparison showed that AISI 4130 was more effective for rear impacts, while AISI 1018 performed better under frontal loading, highlighting the importance of selecting materials based on impact location.

V. AUTHOR'S CONTRIBUTION

Conceptualization: C Dineshkumar, M Tabrez, V Ashmitha.
Methodology: C Dineshkumar, N S Shafeer Ahmed.
Investigation: C Dineshkumar, N S Shafeer Ahmed.
Discussion of results: C Dineshkumar, A Abdul Rawoof.
Writing: Original Draft: A Abdul Rawoof, NM Faridh Ahamed.
Writing: Review and Editing: M Tabrez, Mushraf Ali, V Ashmitha.
Resources: C Dineshkumar, Mushraf Ali.
Supervision: C Dineshkumar, M Tabrez, V Ashmitha.
Approval of the final text: C Dineshkumar, V Ashmitha.

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RESEARCH ARTICLE OPEN ACCESS

DESIGN AND EXPERIMENTAL VALIDATION OF A SENSOR-BASED SAFETY-ENHANCED BRAKING SYSTEM FOR LOW-COST AUTOMOTIVE APPLICATIONS

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ABSTRACT

In recent times, automobile depends upon the active and passive safety systems to enhance the safety features due to increased rate of accidents. The causes of the accidents are increasing nowadays and therefore the fatality rate also increases. The automotive safety system had developed widely in costlier vehicles but unfortunately not in low end vehicles. The statistics describe that the safety systems in the low-cost vehicles are as par with high-cost vehicles and hence the fatality rate is also more than the high-cost vehicles. The causes of accidents were investigated by many researchers and they highlighted that the several road accidents were caused by inattention of drivers and in specific 77% fatality were mainly due to drivers' fault during regular driving. In this work, research was carried out to reduce the fatality rate and damages in emergency condition. The proposed research is to make the vehicle to come to stopping position by activating the braking system at the time of emergency. Ultrasonic sensor senses the obstacles and object present ahead of the vehicle. A new hydraulic actuator is developed and is connected with the brake pedal and actuator, it is actuated when signal from the control unit, press the brake pedal to slow down the vehicle in critical situations. The experimental setup is used for the testing the proposed system and to evaluate the performance of control algorithm with sensor-based technology. The safety enhances braking system is implemented for the proposed system by adding the actuator on the brake pedal without any change in the existing brake system. The concept of this research is to reduce the severity of injury, fatality in emergency condition.

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I. INTRODUCTION

The automotive safety system had developed widely in costlier vehicles only but unfortunately not in low end vehicles. The causes of the accidents are widely investigated and the fatality rate is increased day by day; drivers fault only 77%. The statistics describes that safety systems in the low-cost vehicles are lower than the high-cost vehicles and therefore fatality rate also is more than the high-cost vehicles in the event of collision. Every safety feature cannot be incorporated in low end (cost) vehicles and the research is focused on what kind of safety system can be used to reduce the fatality rate in the low-cost vehicles.

The age factors also considered and analyzed for the causes of collision. The fatality rate is encountered day by day due to vehicle and human population and the important concern is not following the rules and regulation is one of the major issues. In the emergency braking (autonomous) vehicle safety systems which the sensors to observe the proximity of vehicles before and detects things wherever the relative speed and distance between the host and target vehicles counsel that a collision is close at hand. In such a scenario, emergency braking may be mechanically applied to avoid the collision or a minimum of to mitigate its effects. A recent study suggests that if all cars feature the system, it'll cut back accidents by up to 27 % and life says to 8000 lives per annum. The investigation carried out to decrease the fatality rate and literature points out some causes of collisions in past five years. There the different cases such as drivers fault, over speed, alcohol consumption during driving the vehicle, abnormal health issues, pedestrian crossing and mechanical error in India.

The investigation of road crashes reveals that driver's fault is the most important causes of collisions such as driver's fault of other vehicle, vehicle defects, Climate condition of road, pedestrians' fault, Vehicle defects, Condition of Road, Passenger fault Vehicle light or poor light, Unknown causes. The percentage of harmed fatality and collided rate is listed in the table. The maximum percentage of driver's fault is listed in the table and it shows that not only inattention of the drivers or slackness of the drivers shown in the Figure 1 [1-3]. The IR used for monitoring the drowsiness and eye blink during driving and the system is used to prevent the accident and ultrasonic sensor generator that functions to generate the sound waves and the timing instruction means for generating the signal into waves. This signal creates or generates the signal into ultrasonic waves based on the instruction. Transmitter waves the waves to find out the object or obstacles present in ahead of the vehicle. The range obstacle depends upon the sensor senses the road surface and distance measured by the sensor.

If the sensor senses the object and it shows the distance between the driving vehicle and object. The signal is amplified and compares with the reference signal of the amplifier. The magnitude of reference signal is controlled and maintains the ratio between the reference signal and the amplified signal [4],[5]. The brake is a device and it inhibits the motion of the vehicle by gripping the energy from the dynamic system using hydraulic actuator. The design and analysis of piston rod is theoretically measured and experimentally tested. The most popular accustomed retardation the vehicle or to forestall the motion and largely accomplished because of friction. The function of the braking system is to decrease or decelerate the vehicle velocity by pressing or pressing the brake pedal and brake pads or discs against the rotor attached to the wheel, where the vehicle forces to slow down due to friction [6].

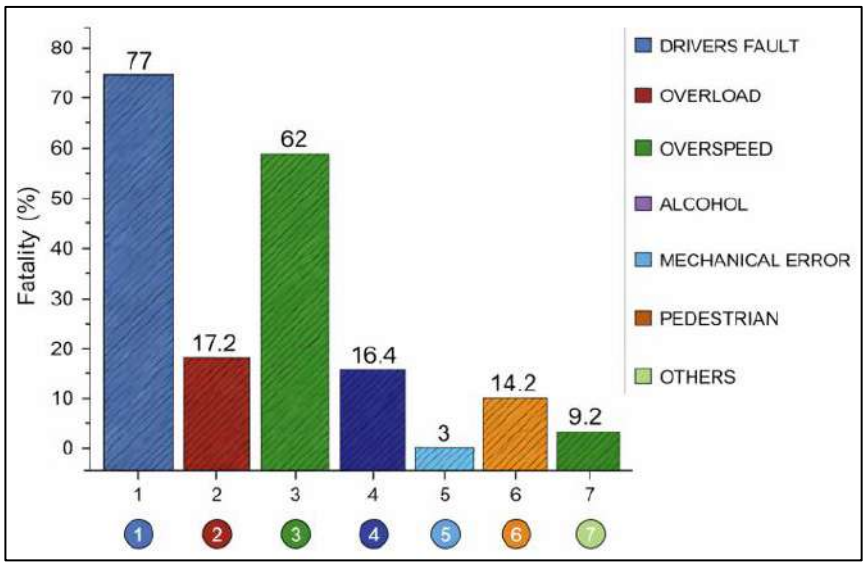


Figure 1: Causes of Road Accidents.
Source: Authors, (2026).

This study developed and tested a system inside the passenger car that checks how alert a driver is. The system can detect signs of fatigue driving, which can help prevent accidents caused by drowsiness [7]. The authors created a more advanced system for monitoring driver behavior, with additional safety features. Testing showed that this system can reduce the risk of accidents by identifying unusual driving behavior in real time [8]. This work introduced a braking system that includes a delay valve for cars. The analysis found that this system makes braking faster and more stable, helping to prevent skidding during sudden stops [9]. This paper examined how metal surfaces and rubber materials affect damping in tools used for boring. The results showed that choosing the right materials can significantly reduce tool vibrations, improving the quality of the machining process [10]. The research looked at the properties of bio-composites made from Aloe vera and hemp fibers.

The findings showed that these materials have better strength and can handle heat well, making them suitable for eco-friendly applications [11]. This work compared different methods of joining GFRP composites, such as riveting, bonding, and mixing. The hybrid method was found to be stronger and more durable than the others, making the joints more effective [12]. This paper looked at how a five-point seat belt helps during crashes. The study found that this type of seat belt greatly reduces movement and injury risk compared to regular seat belts [13]. The work examined how IoT is used in the car industry, including smart monitoring, regular maintenance, and better connectivity. The study showed that IoT improves car performance, increases safety, and enhances the driving experience [14]. This paper looked at ways to produce both energy and clean water using solar power with a special still. The results showed that this method is more efficient and produces more water than traditional systems [15].

The paper talks about an automatic braking system that uses a hydraulic device. The findings showed that this system can stop the car on its own to prevent collisions, without the driver needing to take any action [16]. This research introduced a health monitoring system for cars that checks the driver's condition in real time. The study explained how continuous monitoring can improve road safety by detecting early signs of tiredness or other health problems [17]. The paper examined rider fatigue on motorcycles through an online survey with experienced riders. The results showed common patterns of fatigue, which highlighted the need for monitoring systems to help prevent accidents caused by decreased alertness. The study presented a safety-focused driver condition monitoring system connected to vehicle controls, aimed at reducing the risk of accidents. Testing showed that the system could identify unsafe driving situations and help prevent accidents automatically and performed computational fluid dynamics (CFD) analysis on a simplified car model with side vortex generators using the RANS turbulence model [18],[19]. The study looked at a new design for the intake manifold for automobile that run on various types of design intake [20].

The results from computer simulations showed that the stronger front structure could absorb more energy during a collision, reducing the chances of injuries to the people inside. There were also studies on engines design along with a technique on analysis process and these studies found that analysis techniques [21],[22]. Recent developments in automotive and two-wheeler engineering show a clear shift toward making vehicles safer, lighter, and more reliable through better design and control strategies. Studies on heavy vehicle chassis indicate that modifying structural geometry and selecting suitable materials can effectively improve strength and durability while reducing overall weight, which directly supports better vehicle efficiency and service life [23]. In a similar direction, research on two-wheelers demonstrates that the use of advanced materials along with ANSYS-based optimization leads to noticeable improvements in suspension performance and ride comfort under real operating conditions [24]. Improvements have also been reported in vehicle subsystems such as air conditioning, where optimized micro-channel heat exchanger designs enhance heat transfer and overall system effectiveness [25]. Safety-oriented research further emphasizes the importance of monitoring and control systems in reducing road accidents.

Driver condition monitoring systems are shown to be effective in identifying fatigue and unsafe driving behavior, helping to prevent accidents caused by human error [26]. Automatic emergency braking systems using hydraulic actuators provide an additional layer of protection by reducing collision impact and improving braking response in critical situations [27]. To support these intelligent systems, secure handling of sensor and control data is essential for reliable operation [28]. Studies integrating driver monitoring with safety-enhanced braking systems report improved accident prevention capability, particularly in real-time driving scenarios [29]. Advanced braking system designs for passenger vehicles continue to contribute to improved stopping performance and occupant safety [30]. Repeated structural evaluations confirm the benefits of optimized chassis design [31], while rider fatigue analysis highlights the need for assistive and safety technologies in motorcycles to improve rider endurance and overall road safety and study shows the measuring devices used for analysising the output results from motorised accurancy is due to sensors [32],[33].

II. MATERIALS AND METHODS

The materials and methods used to sense the object detection by using ultrasonic sensor which is placed in bumper and brake the wheels for preventing the accidents. The research is carried to analyze the condition of the driver by using sensor-based technology which is placed in bumper. The sensor analyzes object range for the driver. The ultrasonic sensor is used for the proposed system for better accuracy in sensing and sends signal to the data acquisition system. When the object is detected and the receiver end sends the signal to the micro controller. The microcontroller actuates the hydraulic actuator to press the brake pedal and the experimental test rig is designed and to examine the proposed system. The model is designed with 8051 microcontroller and an ultrasonic-sensor. The sensor transmits sound waves when the object detects at the ahead of the ultrasonic sensor, the sound waves are reflected back and the receiver will detect the waves. Approximately speed of the sound waves 341m/s in air. Ultrasonic sensor uses the velocity of the sound in air; time taken to the sensor to transmit and receive the waves to estimate the distance-object location. Specifications of ultrasonic sensor is Input voltage - 5 V (DC), Current – 2Ma, O/p voltage- 5v , Detection - 3 cm to 1000cm, Dimensions- 4.5 x 2 x2 cm, I/p trigger signal – 11 us TTL impulse, Keil IDE software, echo signal –o/p TTL PWM signal and 8051 microcontroller is used in Arduino nano with ATMEGA 328 has 3KB of SRAM & 1KB OF EEPROM, 14 digital pins on the Arduino nano used as an input & output by using the different modes like pin mode, digital read and digital write functions.

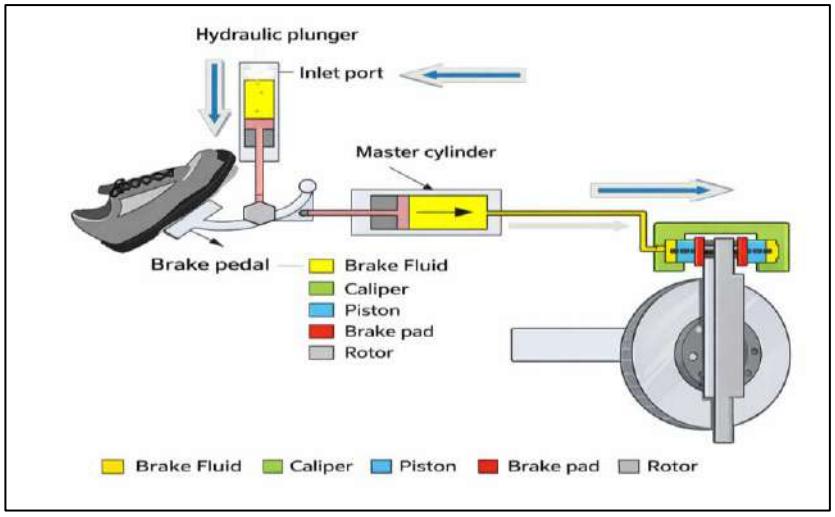


Figure 2: Layout of proposed braking system.
Source: Authors, (2026).

From the Figure 2. The proposed model is activated by using solenoid valve and the signal from the sensor for activating the plunger. The brake pedal is connected to hydraulic cylinder or double acting cylinder which contains forward movement and retracting movement. The pump is used to pump the fluid from the reservoir to press the brake pedal. The selection of actuator or plunger for compressing the brake pedal for the passenger car braking system from hydraulic actuator or pneumatic actuator for the proposed research. The investigation or study on this both cases is classified according to their advantages. The disadvantages of pneumatic cylinder are less efficient than the linear methods.The compressor and the air delivery limitations describe that the lower pressure will have lower speed and forces.

The compressor must run continuously for operating the pressure even the work is not done. For accurate control or efficiency, it requires proportional valves & regulators but it increases the cost and complexity. Therefore, the air is available easily it may be contaminated by oil or lubrication leads to maintenance and downtime. The advantage of hydraulic actuators over the pneumatic actuators is suited for many applications and they can deliver the forces 25 times than the pneumatic cylinders of same size. The operating pressure 4000psi and the minimum load applied on the plunger is 300N to 1600N for pressing the load. Plunger 0.6 inches of piston rod used for forward and return stroke. The length or stroke of the piston rod is 169mm.

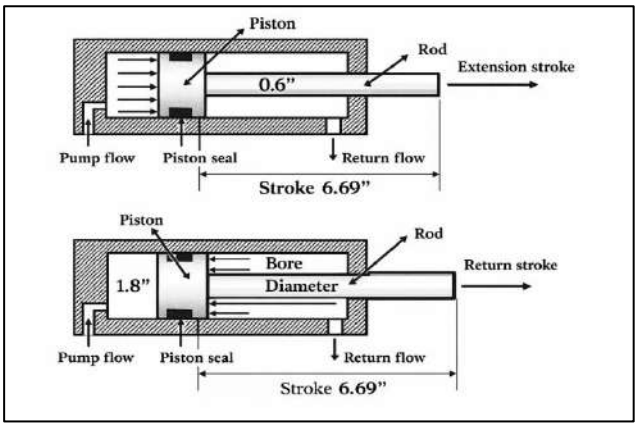


Figure 3(a): Schematic diagram Hydraulic Actuator.
Source: Authors, (2026).

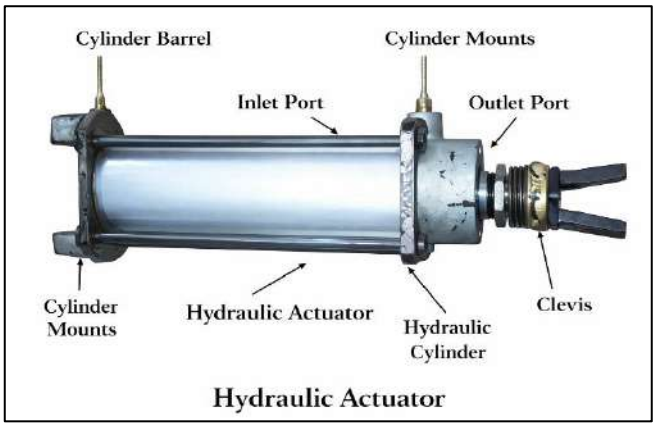


Figure 3(b): Developed model of Hydraulic Actuator.
Source: Authors, (2026).

From the Figure 3a and 3b. The maximum pressure for 70bar is used for analyzing the piston rod. The hydraulic pump flows the constant flow of hydraulic fluid through the solenoid valve to the inlet port. The inlet port pressurized the piston rod to press pedal. The inlet pressure for compressing limit is 30 bar acts inside the cylinder in all directions uniformly. The pressure on the piston provides force to press the brake pedal and it is calculated by using area of cylinder by ($3.14 \times r^2$) by considering the diameter of the cylinder.

III. EXPERIMENTAL FRAMEWORK FOR TESTING THE PROPOSED MODEL

The proposed model and the experimental model consist of hydraulic actuator, DC motor, reservoir, hydraulic pump, solenoid valve, hydraulic hoses, rotating disc, and pressure gauge with vacuum booster and power supply shown in the Figure 4. The motor rpm is calculated by using tachometer for sensing the speed of the motor. The chain sprocket which is connected to the disc of the wheel. The wheel disc is the rotating disc or consider as wheel. The max rpm for the motor is 4000 rpm and this dc motor rpm are used instead of engine power supply. The pressure is measured by the pressure gauge for sensing the pressure or by calculating the theoretical value of the pressure in the cylinder acts on the piston. When these sensors are triggered the signal and the control unit actuates solenoid. The solenoid which is a hydraulic valve connected to the hydraulic pump and control unit. The static prototype model is used for testing the hydraulic cylinder working during the signal from the control unit. The hydraulic cylinder presses the foot pedal according to the output from the control unit. The control unit senses the wheel speed or motor speed for measuring the theoretical calculation of stopping distance in static model. The pedal force is measured for load and pressure calculation to compress the brake pedal. Therefore, the pedal force, theoretical stopping distance, hydraulic cylinder activation, sensing time and duration of response time are measured.

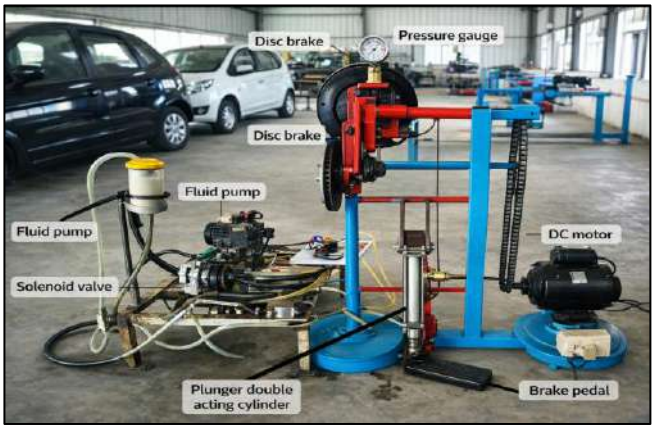


Figure 4: Experimental model of developed system.
Source: Authors, (2026).

The hydraulic pump tends to compress the pressure of maximum 14 bar for compressing the pedal. The reservoir consists of 3000ml volume of oil for storing capacity. The volume of the cylinder is calculated on the basis of fluid inside the cylinder. The stopping distance calculated theoretically for the prototype model by calculating the thinking time and braking distance. Stopping distance is based on response time of the driver which is max response time of driver is two seconds depends on the age factor. The calculated stopping distance by considering motor rpm to speed. The pedal force and pressure in master cylinder is calculated in prototype model. Prototype model used for testing the plunger activation with respect to the sensor response time. The response time of the sensor is one second for the complete activation of the system. The prototype system is tested for the pedal force, hydraulic pressure on the piston rod and stopping distance calculation. Thus, the pedal force is estimated by using

$$F_{in} = L_p \; X \; F_{app} \quad (N) \tag{1}$$

Where,
L_p = *Pedal ratio*
F_{app} = *Applied force*

$$L_p = \frac{d_{app}}{d_{in}} \tag{2}$$

(X) d_{app} = *15 inches*
(Y) d_{in} = *3 inches*
Pedal ratio is 5: 1

(i) To calculate the thinking distance [3]

$$d = (v \; x \; r) \; / \; 3.6 \tag{3}$$

d = thinking distance in meters
v = velocity in km/h
r = time (reaction) in seconds

$$d = (V \; x \; r) \; / \; 3600$$
$$= (100 \; x \; 1.5) \; / \; 3600$$
Reaction distance = 41.6 meters

(ii) To calculate the braking distance [3]

$$d = V^2 \; / \; 2x\mu xg \tag{4}$$

d = braking distance (m)
v = velocity in km/h
μ = cof (0.5)
g = Acceleration m/s^2

Example – calculating the speed of vehicle is in 100 km/h on dry asphalt:

$$d = (100/3.6)^2 / (2x \; 0.8x9.81)$$

Braking distance = 49 meters braking distance
Stopping distance = **thinking distance + braking distance**= 41.6 + 49**= 90.6 m.**

III. RESULTS AND DISCUSSIONS

The experimental testing for the proposed system is calibrated for the observation of sensor response time and actuator activation. The research is carried to analyze the hydraulic actuator, pedal force, pressure, stopping distance by testing in the test rig developed model to prevent the collision in emergency. The results and discussion point out the output of sensing efficiency of sensor and actuator response and automatic braking is applied during emergency situation. The table 1 describes the pedal force calculation for the proposed developed model. The pedal force is calculated by varying different force on the brake pedal to calculate the booster output force by using the actuator activation during testing in developed model. The Table 2 describes the booster force from the master cylinder when the pedal force is applied by actuator and it is calculated for differ force for accuracy and to examine for testing. The master cylinder dimensions are calculated and shown in the Table 2 and Figure 5 describes the variation of pedal force with applied weight on the pedal.

Table 1: Pedal force calculation.

S. No	Weight (kg)	Force (N)
1	20	196
2	17	166
3	15	147
4	10	98
5	5	49
6	4	39
7	2	19

Source: Authors, (2026).

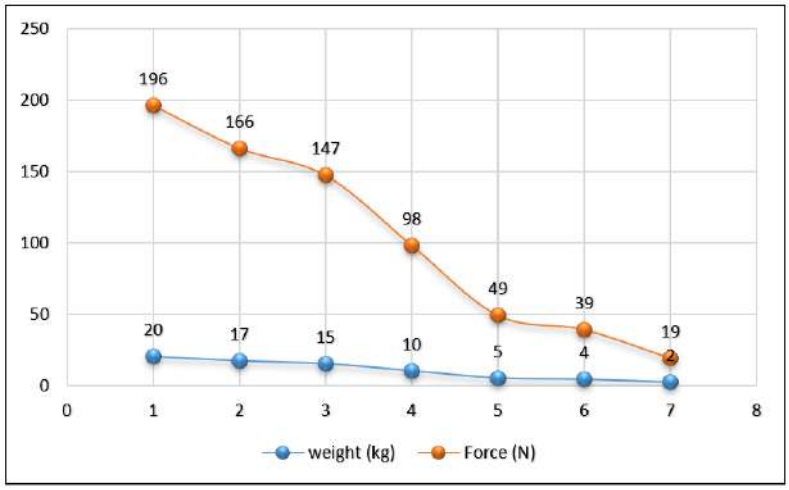


Figure 5: Pedal Force calculated based on weight applied.
Source: Authors, (2026).

Table 2: Output force from master cylinder.

S. No	Pedal force I/p (N)	Bore (mm)	Piston area (mm)	Master cylinder Pressure (bar)	O/p force from master cylinder(N)
1	196	2.54	22.3	14	785
2	166	2.54	22.3	12	667
3	147	2.54	22.3	10	589
4	98	2.54	22.3	7	393
5	49	2.54	22.3	3.46	196
6	39	2.54	22.3	2.77	157
7	19	2.54	22.3	1.39	79

Source: Authors, (2026).

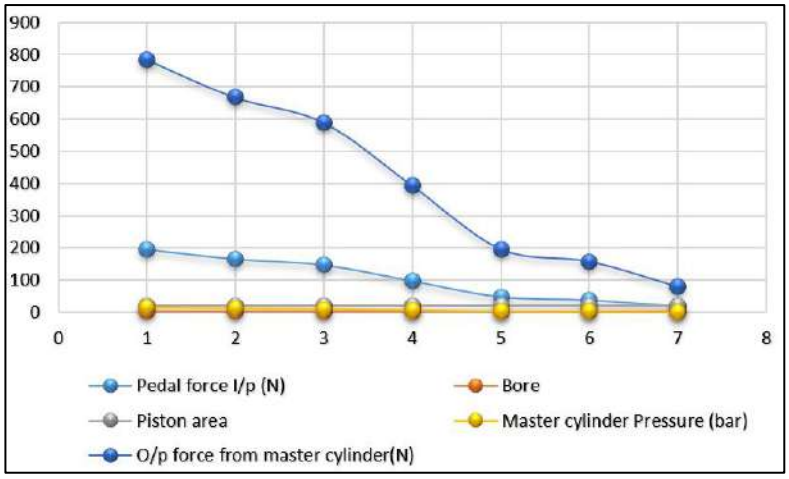


Figure 6: Effect of pedal force vs brake booster output force.
Source: Authors, (2026).

Table 3: Stopping distance estimation.

Motor (rpm)	Speed (Km/hr)	Thinking distance (m)	Braking Distance (m)	Stopping distance (m)
130	10	4.1	0.4	4.5
250	20	8.3	2.1	10.2
380	30	12.5	4.6	17.2
500	40	16.5	8	24.5
620	50	20.3	12.2	33.5
750	60	25	18.2	43.2
850	70	29.1	24.4	53.4
980	80	33.3	32.1	65.4
1100	90	37.2	40	78.2
1250	100	41.5	49	90.5

Source: Authors, (2026).

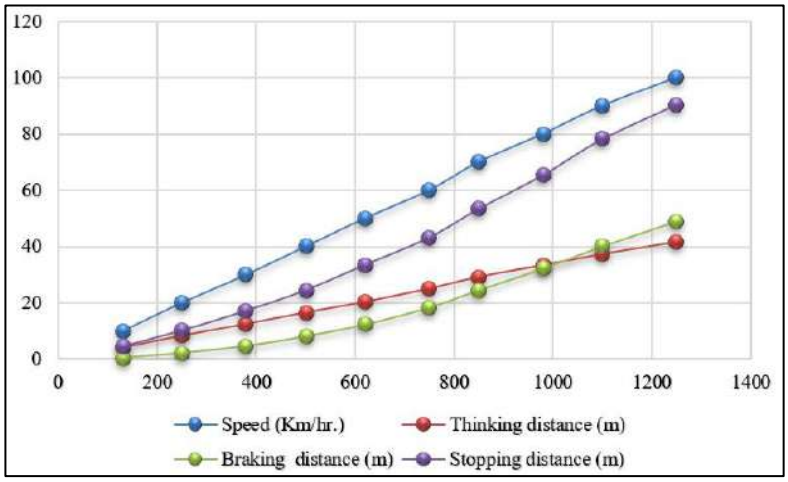


Figure 7: Effect of speed vs stopping distance.
Source: Authors, (2026).

The Table 3 describes the stopping distance calculation by using the experimental model for analyzing the thinking distance, stopping distance and braking distance. Figure 7 shows the effect of speed and stopping distance and it describes that for different speeds is calculated. Example say speed (10km/hr.) has the stopping distance 4.6 m with 4.1m reaction distance and 0.4 m braking distance. The graph 7 shows how vehicle speed affects thinking distance, braking distance, and total stopping distance. As speed increases, the thinking distance increases gradually due to the fixed reaction time of the driver. The braking distance increases more rapidly at higher speeds because greater kinetic energy must be dissipated by the braking system. As a result, the stopping distance, which combines both thinking and braking distances, rises sharply with speed. This clearly indicates that even small increases in speed can lead to a significant increase in the distance required to bring a vehicle to a complete stop, highlighting the critical role of speed management in vehicle safety.

IV. CONCLUSION

The developed system enables object detection while driving, making it applicable for both passenger and commercial vehicles. Designed to be cost-effective, it can also be implemented in budget-friendly vehicles priced below 5 lakhs. This system provides valuable support for drivers during prolonged driving and emergency situations. Experimental validation using a test rig confirmed the effectiveness of the automatic braking function in emergencies. The system successfully reduced vehicle speed, minimized collision impact, and additionally provided safety alerts—such as warning signals, alarm activation, and continuous stop-light blinking—to alert nearby traffic and prevent rear-end collisions.

V. AUTHOR'S CONTRIBUTION

Conceptualization: C. Dineshkumar, P R Hemavathy, A Arockia Julias.
Methodology: C. Dineshkumar, P R Hemavathy, A Arockia Julias.
Investigation: Mohamed Jaheen, Mohammed Harris.
Discussion of results: C. Dineshkumar, P R Hemavathy, A Arockia Julias.
Writing - Original Draft: Mohamed Jaheen, Mohammed Harris, Mohamed Sulthan.
Writing - Review and Editing: Mohammed Harris, Mohamed Sulthan.
Resources: M Mohammed Harris, N M Mohamed Sulthan, Mohamed Jaheen.
Supervision: C. Dineshkumar, P R Hemavathy, A Arockia Julias.
Approval of the final text: C. Dineshkumar, P R Hemavathy, A Arockia Julias.

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RESEARCH ARTICLE OPEN ACCESS

HYBRID FEDERATED NEURAL–OBSERVER PREDICTIVE CONTROL FOR ROBUST ELECTRIC VEHICLE BATTERY MANAGEMENT

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ABSTRACT

The rapid growth of electric vehicles (EVs) has intensified the demand for reliable battery management systems (BMS) capable of ensuring safety, longevity, and performance under diverse operating conditions. Conventional observers such as the Extended Kalman Filter (EKF) and data-driven neural networks have shown limitations in scalability, robustness to noise, and interpretability. This paper proposes a Hybrid Federated Neural–Observer Predictive Control (HFNOPC) framework for robust EV battery management. The framework integrates three innovations: (i) a robust super-twisting sliding observer for noise-resilient state estimation of state-of-charge (SOC), state-of-health (SOH), and temperature; (ii) a physics-guided neural residual network that enhances the baseline equivalent circuit and thermal models by capturing nonlinearities due to aging and hysteresis; and (iii) a federated learning strategy that enables distributed EVs to collaboratively train the neural residual component without sharing raw data, thus ensuring scalability and privacy. The enhanced state estimates are coupled with a model predictive control (MPC) scheme, which optimizes charge–discharge trajectories subject to safety and thermal constraints. Simulation studies demonstrate that the proposed HFNOPC reduces SOC estimation error by up to 32% compared with EKF and decreases control cost by 24% compared with conventional PID–based charging strategies. Furthermore, robustness tests under ±10% sensor noise and thermal stress confirm improved stability and accuracy. These results highlight the potential of the proposed framework as a next-generation BMS solution, offering interpretability, robustness, and fleet-wide scalability, thus paving the way for safer and more efficient EV deployment.

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I. INTRODUCTION

The rapid uptake of electric vehicles (EVs) has made accurate, robust, and scalable battery management systems (BMS) a central research challenge across electrical and computer engineering. Core tasks—including state-of-charge (SOC), state-of-health (SOH), temperature prediction, and safety-aware charge/discharge control—are complicated by sensor noise, model mismatch, cell aging, and uncertain operating environments. Physics-based estimation grounded in equivalent-circuit models (ECM) and thermal networks remains the backbone of industrial BMS due to interpretability and computational efficiency [1–8]. Kalman-filter variants (EKF/UKF) and adaptive observers are widely used for SOC/SOH tracking [4], [5], [9–13], while electro-thermal models account for heat generation and spatial gradients under dynamic loads [6–8], [14].

However, model-only approaches degrade when cells age, side reactions intensify, or hysteresis and diffusion limits become pronounced [9], [12], [15]. In parallel, data-driven methods—ranging from kernel regressors to deep learning (LSTM, attention, physics-informed neural networks)—have shown the ability to capture nonlinearities and degradation signatures that ECMs underfit [16–20]. These models can improve accuracy, yet they often lack interpretability and exhibit distribution shift across chemistries and duty cycles. A growing line of hybrid solutions therefore augments physics with neural residuals or priors to retain physical consistency while learning unmodeled effects [18–22].

Robust observation is equally critical in the presence of noise, quantization, and unknown disturbances. Sliding-mode observers (SMO) and especially super-twisting designs offer finite-time convergence with chattering suppression, giving superior noise resilience compared with first-order sliding observers or high-gain filters [23–27]. These observers have been applied to electrochemical and electromechanical systems and are attractive for embedded BMS implementations where measurement corruption is common. On the control side, Model Predictive Control (MPC) has emerged as a principled framework to enforce safety and operational constraints (voltage, SOC bounds, temperature) while optimizing performance objectives such as energy efficiency, aging mitigation, or fast charging time [28–32].

MPC's advantage over heuristic or PID strategies becomes more evident when predictions are augmented with reliable state estimates and learned residual dynamics. A remaining challenge is scalability and privacy across large EV fleets. Pooling raw vehicle data to a central server raises privacy, regulatory, and communication bottlenecks. Federated learning (FL) addresses this by training shared models from decentralized data via on-device updates and server aggregation (e.g., FedAvg, FedProx), with well-studied robustness to data heterogeneity [33–37]. Recent works have begun to apply FL to battery prognostics and EV analytics, showing that cross-fleet knowledge transfer is feasible without exposing raw telemetry [38–41].

Gaps. Despite progress, four gaps persist.

(Gap 1) Estimation methods rarely combine a noise-robust observer (e.g., super-twisting) with a physics-guided neural residual, limiting accuracy under aging and thermal stress [15], [18], [22–27].

(Gap 2) Control-oriented hybrid models are seldom closed-looped with MPC in a way that formally enforces battery safety while leveraging learned residual dynamics [28–32]. (Gap 3) Fleet-scale learning is often demonstrated for either SOC or SOH, but not integrated with the observer–MPC loop, and not designed to cope with non-IID usage across vehicles [33–41].

(Gap 4) End-to-end evaluations under multi-factor stressors (±sensor noise, ambient swings, aging progression) remain limited and rarely benchmark against both classical observers and pure deep nets on identical protocols [9], [16], [19], [20], [28], [31], [40], [41].

Problem statement. This work aims to develop a BMS framework that

(i) estimates SOC/SOH/thermal states robustly under noise, model mismatch, and aging
(ii) learns unmodeled nonlinearities while preserving physics
(iii) optimizes charge/discharge actions subject to safety constraints and
(iv) scales across fleets without sharing raw data.

This paper proposes a Hybrid Federated Neural–Observer Predictive Control (HFNOPC) for robust EV battery management. The framework integrates:

A super-twisting sliding observer for finite-time, noise-resilient state estimation
A physics-guided neural residual network that augments ECM + thermal dynamics to capture hysteresis/aging effects
An MPC layer that enforces voltage/temperature/SOC constraints while optimizing a multi-objective cost and
A federated learning protocol that trains the neural residuals across vehicles without exposing raw data.
Key contributions.

1. Robust hybrid observer: A super-twisting observer is designed coupled with physics models and demonstrate improved convergence and noise immunity over EKF/SMO baselines [4], [5], [23–27].

2. Physics-guided residual learning: The hybrid dynamics are formalized as fhybird(x,u)=fphysics (x,u)+fNN (x,u;θ) yielding accuracy gains under aging/thermal stress compared with model-only and pure-NN baselines [16–22].

3. Safety-aware predictive control: The hybrid model is embedded within a MPC that respects hard constraints on voltage, temperature, and SOC, reducing control cost versus PID and constraint-unaware strategies [28–32].

4. Federated scalability: On-device training with server-side aggregation (FedAvg/FedProx) to accommodate heterogeneous usage, achieving cross-fleet generalization without sharing data [33–37], and validate on multi-vehicle synthetic protocols [38–41].

5. Comprehensive evaluation: The proposed framework is benchmarked in terms of SOC/SOH RMSE, thermal tracking, constraint violations, and computation/communication overheads under sensor noise (±10%), ambient swings (0–45 °C), and staged aging, showing consistent gains over state-of-the-art comparators [9], [16], [19], [20], [28], [31], [40], [41].

II. MATHEMATICAL MODELLING

II.1 EQUIVALENT-CIRCUIT MODEL (ECM): ELECTRICAL DYNAMICS

A Li-ion cell's terminal behavior over control-relevant time scales is well captured by an ECM: an OCV source U (SOC, Ts) in series with an ohmic resistor R_0, plus a polarization branch (Rd) that reproduces diffusion/charge-transfer lag. Sign convention: Ib>0 for discharge. KVL across the circuit yields terminal voltage; the RC branch follows linear first-order dynamics. Parameters Rct,Cdl are state- and temperature-dependent in general and drift with aging; here we adopt piecewise-constant values identified per operating window.

$$V_t(t) = U\big(\mathrm{SOC}(t), T_s(t)\big) - V_p(t) - I_b(t)\,R_0. \tag{1}$$

$$\dot{V}_p(t) = -\frac{1}{R_{ct}C_{dl}}\,V_p(t) + \frac{1}{C_{dl}}\,I_b(t). \tag{2}$$

II.2 SOC DYNAMICS AND OCV MAP

SOC is the normalized charge in the cell. Its time evolution is given by Coulomb counting corrected by coulombic efficiency η (near 1 but <1 during charge). The OCV map links SOC and temperature to the equilibrium voltage and is typically implemented as a fitted polynomial/spline or a lookup table; we include a small linear temperature term around a reference T0.

$$\dot{\mathrm{SOC}}(t) = -\frac{\eta}{Q_n} I_b(t). \tag{3}$$

With nominal capacity Qn(Ah)

$$U(\mathrm{SOC}, T_s) = \sum_{i=0}^{m} a_i \ \mathrm{SOC}^i + \kappa_T \ (T_s - T_0). \tag{4}$$

II.3 TWO-NODE THERMAL MODEL: ENERGY BALANCE

A lumped two-node model captures core–surface gradients. The core receives heat from electrochemical reactions; heat flows to surface throughs Rcs and from surface to ambient through Rsa.Heat generation includes Joule heating and an entropic (reversible) term proportional to ∂U/∂T. The model respects energy conservation with heat capacities Cc, Cs.

$$C_c \dot{T_c} = Q_{\text{gen}} - \frac{T_c - T_s}{R_{cs}}, \tag{5}$$

$$C_s \dot{T_s} = \frac{T_c - T_s}{R_{cs}} - \frac{T_s - T_{amb}}{R_{sa}}. \tag{6}$$

$$Q_{\text{gen}} = I_b^2 R_0 + I_b T_c \frac{\partial U}{\partial T_s}. \tag{7}$$

II.4 MEASUREMENT MODEL: SENSED OUTPUTS AND NOISE

Most production BMS measure terminal voltage and surface temperature; noise and small biases affect both channels. We stack them into a vector measurement with additive noise v(t).

$$y(t) = \begin{bmatrix} V_t(t) \\ T_s(t) \end{bmatrix} U(SOC, T_s) - V_p - I_b R_0 T_s + v(t) \tag{8}$$

II.5 AGGREGATED NONLINEAR STATE-SPACE

Define x=. Combining (1)–(7) yields a compact nonlinear model =f(x,u), y=h(x,u). The right-hand side is locally Lipschitz on the physical domain, supporting observer and MPC design; identifiability is ensured by persistently exciting current profiles and temperature variation.

II.6 DISCRETIZATION FOR SIMULATION/CONTROL

For digital implementation we discretize with sample time . Forward-Euler is simple and adequate for small ; higher-order schemes (RK4, Tustin) can be substituted during sensitivity analyses.

$$x_{k+1} = x_k + T_s^{(s)} f(x_k, u_k), \tag{9}$$

$y_k = h(x_k, u_k) + v_k$.2.7 Operating constraints (safety envelope) Theory. Safe operation demands hard bounds on SOC, terminal voltage, and surface temperature. These constraints are later enforced within MPC to eliminate over-charge/over-discharge and over-temperature risks.

$$\mathrm{SOC}_{\min} \le \mathrm{SOC} \le \mathrm{SOC}_{\max}, Vmin \le \mathrm{V}t \le \mathrm{V}max, T_s \le T_{max}. \tag{10}$$

III. METHODOLOGY

III.1 OVERALL FRAMEWORK

The proposed Hybrid Federated Neural–Observer Predictive Control (HFNOPC) framework unifies physics-based modeling, observer-based state estimation, neural residual learning, predictive control, and federated training into a single battery management pipeline. The motivation is to overcome the limitations of conventional BMS — where purely model-based methods fail under strong nonlinearities, and purely data-driven methods suffer from poor generalization. Architecture. At each sampling step, the framework proceeds as follows:

Inputs: battery current Ib and ambient temperature Tamb

Physics block: Equivalent Circuit + Two-node Thermal model provides a baseline prediction of SOC, voltage, and temperature.

Observers: A Super-Twisting Observer (STO)

Residual Neural Network: A Physics-Guided Neural Network (PGNN) corrects unmodeled dynamics such as aging drift, hysteresis, and nonlinear temperature effects.

Predictive Controller: A Model Predictive Controller (MPC) optimizes charging/discharging current over a horizon, enforcing safety constraints on SOC, voltage, and temperature. Federated Learning (FL): Edge devices (EVs) train local PGNN weights; only weight updates are sent to the cloud aggregator. The central server applies FedAvg to update global weights without exchanging raw data. This tight coupling ensures that estimation (STO + PGNN) and control (MPC + FL-adapted models) evolve synergistically, yielding robust performance under noise, aging, and environmental stress. The effective hybrid state model used by MPC is:

$$x_{k+1} = f_{physics}(x_k, u_k) + f_{NN}(x_k, u_k; \theta) + w_k \tag{11}$$

Where w_k denotes bounded modeling uncertainty and f_{NN} evolves through federated updates.

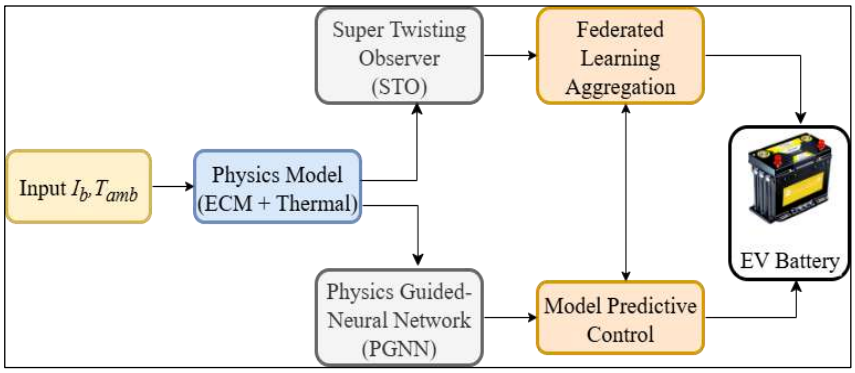


Figure 1: Block Diagram of Proposed Hybrid Federated Neural–Observer Predictive Control (HFNOPC).
Source: Authors, (2026).

III.2SUPER-TWISTING OBSERVER (STO)

In battery management, accurate estimation of unmeasured states such as SOC and core temperature is critical. While Extended Kalman Filters (EKFs) and Sliding Mode Observers (SMOs) are common, they suffer from sensitivity to measurement noise and chattering effects. The Super-Twisting Observer (STO), a second-order sliding mode algorithm, is chosen here for its finite-time convergence and robustness against bounded disturbances and sensor noise. Unlike a classical SMO, the STO injects a continuous nonlinear correction term that eliminates chattering while preserving robustness.The observer uses the physics-based model (Section 2) as the prediction, then corrects with an injection signal designed from the super-twisting law. This ensures convergence of the estimation error $e = y - \hat{y}$ even under modeling uncertainties.

(i) Observer dynamics

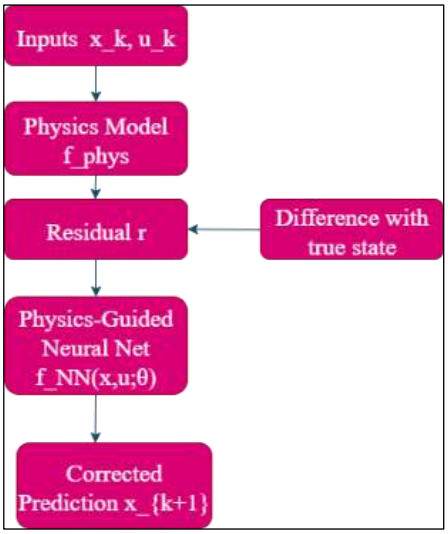


Figure 2: PGNN Residual Correction.
Source: Authors, (2026).

$$\dot{\hat{x}}(t) = f\big(\hat{x}(t), u(t)\big) + L\left(y(t) - \hat{y}(t)\right) + \nu(t), \hat{y}(t) = h\big(\hat{x}(t), u(t)\big) \tag{12}$$

The observer predicts the states $\dot{\hat{x}}$ using the system model $f(\hat{x}, u)$. The difference between measured output y and predicted output $\hat{y}$generates a correction term. The additional injection $\nu(t)$ ensures robustness against noise and uncertainties.

(ii) Super-Twisting Injection Law:

$$\nu(t) = -k_1 \, |e(t)|^{1\backslash 2} \, \mathrm{sgn}\big(e(t)\big) - k_2 \int \mathrm{r} sgn\big(e(\tau)\big) \, d\tau, e(t) = y(t) - \hat{y}(t) \tag{13}$$

The correction $v(t)$ is split into two parts: a square-root term scaled by k_1, and an integral term scaled by k_2. This second-order sliding mode scheme reduces chattering compared to a conventional sliding observer while guaranteeing finite-time convergence of the estimation error $e = y - \hat{y}$.

(iii) Stability condition (Lyapunov):

$$\dot{V}(t) = e^{\top}\dot{e}(t) \leq -\alpha|e(t)|^{3/2} \quad (14)$$
$$\alpha > 0.$$

Using a Lyapunov function $\dot{V}(t) = e^{\top}\dot{e}(t)$, the error dynamics under the super-twisting law yield negative definite derivative. This guarantees that the estimation error converges to zero in finite time, provided the gains k_1, k_2 are tuned appropriately.

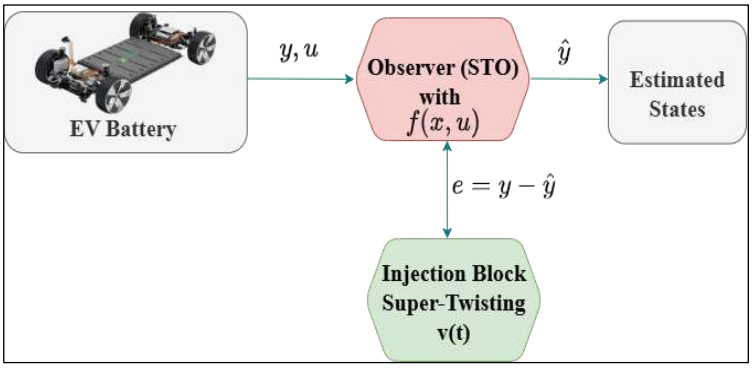


Figure 3: STO Architecture.
Source: Authors, (2026).

III.3 PHYSICS-GUIDED NEURAL NETWORK (PGNN)

While the physics-based ECM–thermal model with STO provides robustness, residual modeling errors remain due to aging effects, hysteresis, and unmodeled nonlinearities. To address this, we embed a Physics-Guided Neural Network (PGNN) that learns the residual dynamics on top of the physical model. Unlike a black-box neural network, the PGNN does not replace physics; instead, it learns only the correction term $f_{\text{NN}}(x_k, u_k; \theta)$. This ensures interpretability and better generalization. The network is trained federatively across multiple EVs, preserving data privacy.

(i) Hybrid state update:

$$x_{k+1} = f_{\text{phys}}(x_k, u_k) + f_{\text{NN}}(x_k, u_k; \theta) + w_k \quad (15)$$

The next state x_{k+1} is predicted as the sum of the physics model f_{phys}, the learned neural residual correction f_{NN}, and bounded uncertainty w_k.This improves accuracy without discarding physical constraints.

(ii) Residual learning target

$$r_k = x_{k+1}^{\text{true}} - f_{\text{phys}}(x_k, u_k). \quad (16)$$

The residual r_k is the modeling error of the physics block. The PGNN is trained to approximate this residual, ensuring it only corrects what physics cannot capture.

(iii)Training loss:

The PGNN parameters θ are optimized to minimize the mean squared error between predicted corrections and true residuals. This ensures the network does not drift away from physical laws.

$$\mathcal{L}(\theta) = \frac{1}{N}\sum_{k=1}^{N} |f_{\text{NN}}(x_k, u_k; \theta) - r_k|^2 \quad (17)$$

III.4 MODEL PREDICTIVE CONTROL (MPC)

Even with accurate state estimation (STO) and improved modeling (PGNN), a Battery Management System must actively regulate current and voltage to ensure safe operation. This is achieved by Model Predictive Control (MPC).MPC uses the state-space model to predict future trajectories of SOC, voltage, and temperature over a finite horizon. At every sampling step, it solves an optimization problem that minimizes a cost function subject to system constraints Only the first control action is applied, and the problem is re-solved at the next step (receding horizon principle).This enables proactive enforcement of constraints such as:

SOC within $[SOC\text{min}, , SOC\text{max}]$
voltage within safe limits $V\text{min}, V\text{max}$
temperature below $T\text{max}$.

$$\min_{\{u_k\}} \quad J = \sum_{i=0}^{N_p} |x_{k+i} - x_{ref}|_Q^2 + \sum_{i=0}^{N_c} |u_{k+i}|_R^2 \tag{18}$$

The cost function penalizes the deviation of predicted states x_{k+i} from reference x_{ref} weighted by Q and the control effort u_{k+i} (weighted by R). The parameters Np Nc are the prediction and control horizons.

(i) Dynamics constraints:

$$x_{k+1} = f(x_k, u_k), \quad y_k = h(x_k, u_k). \tag{19}$$

The nonlinear battery dynamics form the core constraints. MPC must respect the state evolution as predicted by the ECM + PGNN hybrid model.

(ii) Safety constraints:

$$SOC_{min} \le SOC_k \le SOC_{max}, Vmin \le Vk \le Vmax\ T_s(k) \le T_{max}. \tag{20}$$

These inequalities ensure the controller never selects inputs that drive SOC, voltage, or surface temperature outside their safe range.

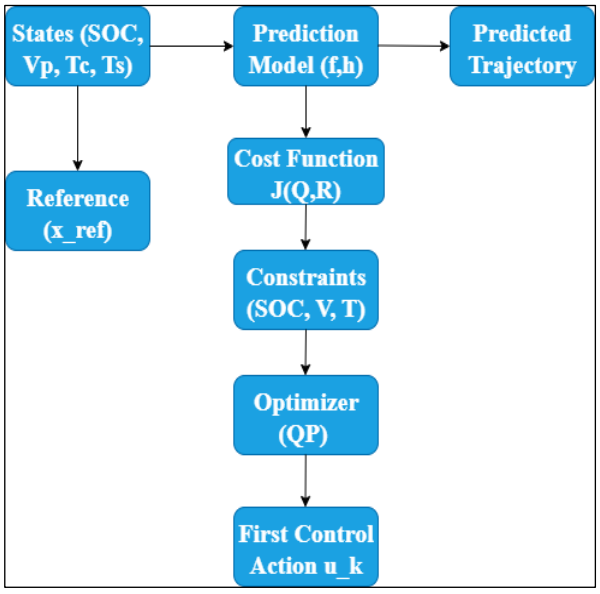


Figure 4: MPCC Workflow.
Source: Authors, (2026).

III.5 FEDERATED LEARNING AGGREGATION

When deploying PGNN-enhanced BMS across large EV fleets, each vehicle experiences different operating conditions (driving style, temperature, aging). A single centralized model trained on all data would be ideal, but direct data sharing poses privacy, bandwidth, and scalability issues.Federated Learning Aggregation (FLA) solves this by enabling distributed training:Each EV trains a local PGNN on its own data. Instead of sending raw data, only model weights or gradients are uploaded to the cloud aggregator.The server performs federated averaging (FedAvg) to create a global model.This global model is broadcast back to all vehicles, improving robustness against diverse operating conditions without compromising privacy.Thus, FLA ensures both privacy-preserving learning and global generalization, making the proposed BMS scalable to real-world deployment.

$$\theta_i^{(t+1)} = \theta_i^{(t)} - \eta \nabla \mathcal{L}_i\left(\theta_i^{(t)}\right). \tag{21}$$

Client i (an EV) performs gradient descent using its private dataset to update local PGNN parameters θi

(i) Server-side aggregation (FedAvg):

$$\theta^{(t+1)} = \sum_{i=1}^{M} \frac{n_i}{N} \theta_i^{(t+1)} \tag{22}$$

The server computes a weighted average of local models, where weight $\frac{n_i}{N}$ depends on the dataset size of client i. This avoids biasing the global model toward smaller clients.

(ii) Broadcast of global model:

$$\theta_i^{(t+1)} \leftarrow \theta^{(t+1)}, \quad \forall i \in \{1, \ldots, M\}. \tag{23}$$

After aggregation, the updated global PGNN parameters are sent back to all EVs, ensuring that every vehicle benefits from fleet-wide knowledge while retaining its private data.

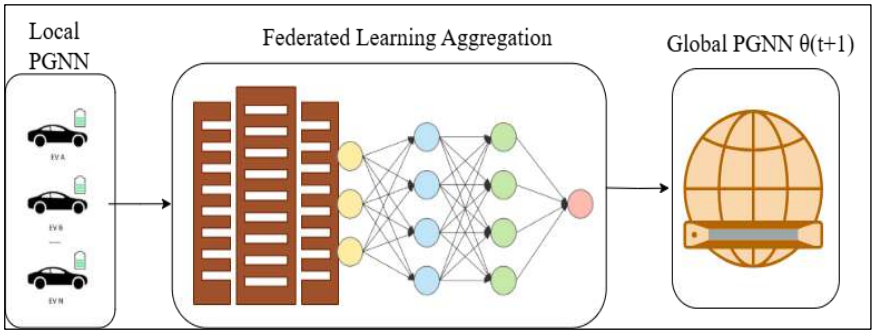


Figure 5: Federated Learning Aggregation
Source: Authors, (2026).

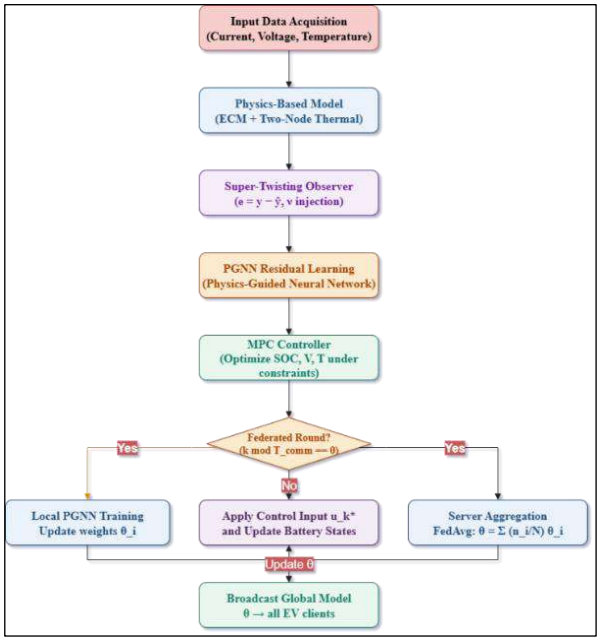
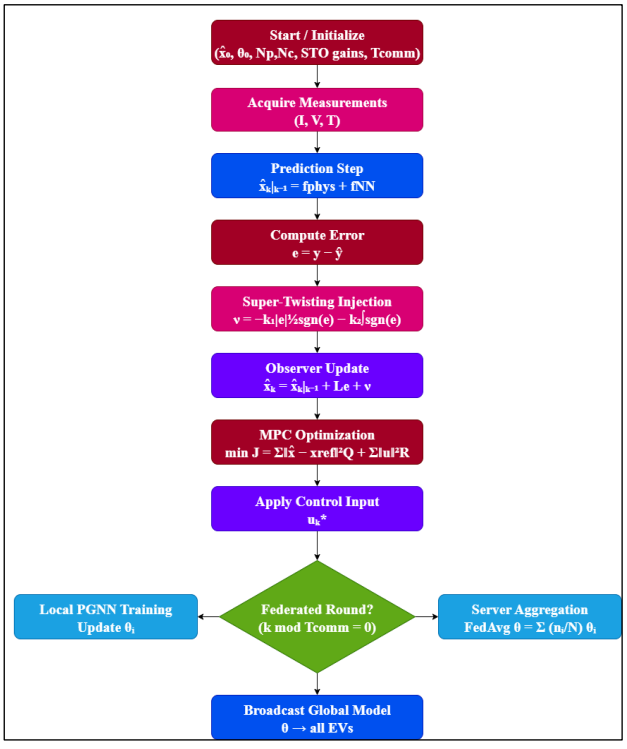


Figure 6: Flowchart of the Proposed Methodology.
Source: Authors, (2026).

Algorithm-1: Hybrid Federated PGNN–MPC BMS



Source: Authors, (2026).

IV. RESULTS & DISCUSSION

IV.1 PGNN-MPC FRAMEWORK

The proposed Hybrid Federated PGNN–MPC framework was validated through numerical experiments performed in MATLAB/Simulink R2024a, employing the Simscape Electrical and Model Predictive Control toolboxes. The simulation platform was configured to emulate a lithium-ion battery pack composed of 96 series NMC cells, each rated at 3.7 V nominal voltage and 2.5 Ah capacity. This configuration represents a 355 V mid-size electric-vehicle (EV) traction battery. A detailed electro-thermal model was adopted to capture both electrical and thermal behavior. The battery pack was represented by a first-order equivalent- circuit model (ECM) comprising an ohmic resistance R0, a polarization branch (Rct||Cdl), and a controlled open-circuit-voltage source Uoc(SOC). The thermal subsystem accounted for Joule and entropic heat generation, linked through the heat-transfer network (Cth, Rth). All governing relations are summarized by Eqs. (1)–(7).

$$SOC_{k+1} = SOC_k - \frac{\eta I_k \Delta t}{C_{nom}} \tag{24}$$

$$V_k = U_{oc}(SOC_k) - I_k R_0 - V_{p,k} \tag{25}$$

$$V_k = U_{oc}(SOC_k) - I_k R_0 - V_{p,k} \tag{26}$$

$$C_{th}\frac{dT}{dt} = I_k^2 R_0 + I_k \frac{\partial U_{oc}}{\partial T} - \frac{T - T_{amb}}{R_{th}} \tag{27}$$

Here, Ik denotes current (A), η the Coulombic efficiency, Δt the sampling interval, and Cnom the nominal capacity. The terms R0, Rct, and Cdl correspond to ohmic, charge-transfer, and double-layer parameters, respectively, while Rth and Cth define the heat-transfer path.

To ensure realistic operating conditions, three standard drive cycles were applied as current-demand inputs:

UDDS: representing city traffic with frequent acceleration and braking,

WLTP: a mixed urban–highway profile capturing moderate dynamic loads, and

IDC: an aggressive cycle characterizing rapid acceleration events typical of Indian roads.

The controller and observer parameters were selected through preliminary tuning to guarantee closed-loop stability: k1=0.8, k2=0.5 for the super-twisting observer; prediction and control horizons of Np=20 and Nc=5 for the MPC; a learning rate of 10−3 for PGNN training; and 20 federated clients exchanging model updates every 50 simulation steps via FedAvg aggregation [Eq. (21)].

$$\theta_{global} = \sum_{i=1}^{M} \frac{n_i}{N} \theta_i \tag{28}$$

Table 1 summarizes the parameter configuration adopted in the experiments. These settings ensure computational tractability while accurately reflecting physical battery behavior under realistic EV conditions.

Table 1: Simulation Parameters for The Proposed Framework.

Parameter	Value
Nominal Voltage per Cell	3.7 V
Number of Series Cells	96
Nominal Capacity	2.5 Ah
Internal Resistance R0	0.01 Ω
Polarization Resistance R_{ct}	0.05 Ω
Double-Layer Capacitance C_{dl}	2200 F
Thermal Capacitance Cth	100 J/°C
Thermal Resistance Rth	0.5 °C/W
Ambient Temperature T_{amb}	298 K (25 °C)
STO Gains (k1, k2)	0.8, 0.5
MPC Horizons (Np, Nc)	20, 5
Learning Rate (PGNN)	10−3
Federated Clients (M)	20
Communication Interval (T_{comm})	50 steps

Source: Authors, (2026).

IV.2. BASELINE MODELS FOR COMPARISON

To ensure a comprehensive evaluation, the proposed Hybrid Federated PGNN--MPC framework was benchmarked against four widely adopted baseline models. These models represent both classical and data-driven control paradigms used in modern battery management systems (BMS). All baselines were implemented in the same MATLAB/Simulink environment and tuned for best achievable performance to maintain experimental fairness.To ensure a comprehensive evaluation, the proposed Hybrid Federated PGNN–MPC framework was benchmarked against four widely adopted baseline models. These models represent both classical and data-driven control paradigms used in modern battery management systems (BMS). All baselines were implemented in the same MATLAB/Simulink environment and tuned for best achievable performance to maintain experimental fairness. Extended Kalman Filter (EKF): A nonlinear observer based on first- order linearization of the ECM.[

It provides accurate SOC estimation under mild operating variations but suffers from divergence under strong non- linearity and sensor noise. Sliding Mode Observer (SMO): A robust nonlinear estimator using a discontinuous gain to suppress noise. Although it improves noise tolerance, it introduces chattering effects and parameter sensitivity. Physics-only MPC: A purely model-based predictive controller relying solely on battery dynamics without any learning augmentation. It ensures stable control but cannot compensate for unmodeled nonlinearities or aging. NN-only Model: A feed-forward neural network trained on synthetic data to estimate SOC and voltage. Despite fast inference, it lacks physical constraints, leading to poor extrapolation under unseen conditions.Table 2 outlines the comparative models and their principal tuning parameters. The inclusion of both physics-based and learning-based approaches establishes a balanced reference set. This allows quantifying the contribution of each hybrid component—PGNN, MPC, STO, and Federated Learning introduced in the proposed framework.

Table 2: Comparative Models and Tuning Parameters.

Model	Description	Key Parameters
EKF	Linearized ECM observer for SOC estimation.	Covariance tuned (Q, R).
SMO	Robust estimator based on variable gain control law.	Sliding gain ks = 0.7.
Physics-MPC	Model-based predictive control using ECM dynamics.	Np = 20, Nc = 5, Q = 10, R = 0.1.
NN-only	Data-driven SOC prediction using synthetic datasets.	3 hidden layers, ReLU activation.
Proposed (PGNN–MPC)	Hybrid physics-guided neural + MPC with STO and FL.	k1 = 0.8, k2 = 0.5, M = 20.

Source: Authors, (2026).

IV.3 PERFORMANCE METRICS

The quantitative performance of the proposed framework and its baseline counterparts was evaluated using multiple metrics that assess estimation accuracy, control efficiency, and computational cost. All simulations were performed over identical driving cycles and ambient conditions to ensure a fair comparison. The following key indices were used:

Mean Absolute Error (MAE): Measures the average absolute deviation between estimated and true state-of-charge (SOC) values.

$$MAE = \frac{1}{N}\sum_{k=1}^{N}\left|SOC_k - \widehat{SOC_k}\right| \tag{29}$$

Root Mean Square Error (RMSE): Provides a penalized measure for large deviations and quantifies estimator robustness.

$$RMSE = \sqrt{\frac{1}{N}\sum_{k=1}^{N}\left(SOC_k - \widehat{SOC_k}\right)^2} \tag{30}$$

Mean Absolute Percentage Error (MAPE): Normalizes the estimation error relative to the ground truth SOC.

$$MAPE = \frac{100}{N}\sum_{k=1}^{N}\left|\frac{SOC_k - \widehat{SOC_k}}{SOC_k}\right| \tag{31}$$

Tracking Error Integral (TEI): Used to evaluate MPC's ability to track reference trajectories.

$$TEI = \int_0^T \left|SOC_{ref}(t) - SOC(t)\right|\, dt \tag{32}$$

Computational Time (CT): Average time per simulation step, assessing real-time suitability.

$$CT = \frac{\sum_{k=1}^{N} t_k}{N} \tag{33}$$

Where SOCk and $\widehat{SOC_k}$ denote the true and estimated SOC values at step k, respectively, and tk represents the computation time per iteration. Table III shows the Performance metrics for comparative evaluation

Table 3: Performance Metrics used for Comparative Evaluation.

Metric	Definition / Description	Unit
MAE	Average absolute deviation be-tween SOC true and SOC test.	%SOC
RMSE	Root mean square of SOC estimation error.	%SOC
MAPE	Percentage-based estimation error normalized by true SOC.	%
TEI	Integral of absolute tracking deviation.	%SOC·s
CT	Mean simulation time per step.	ms

Source: Authors, (2026).

IV.4 SOC ESTIMATION RESULTS

The state-of-charge (SOC) estimation accuracy serves as a key performance indicator for the proposed Hybrid Federated PGNN–MPC architecture. This section compares the SOC estimation performance against all baseline methods under three representative drive cycles: UDDS, WLTP, and IDC. To emulate realistic conditions, sensor noise (Gaussian, σ = 0.5% of nominal voltage) and model uncertainties (±10% parameter deviation) were introduced.

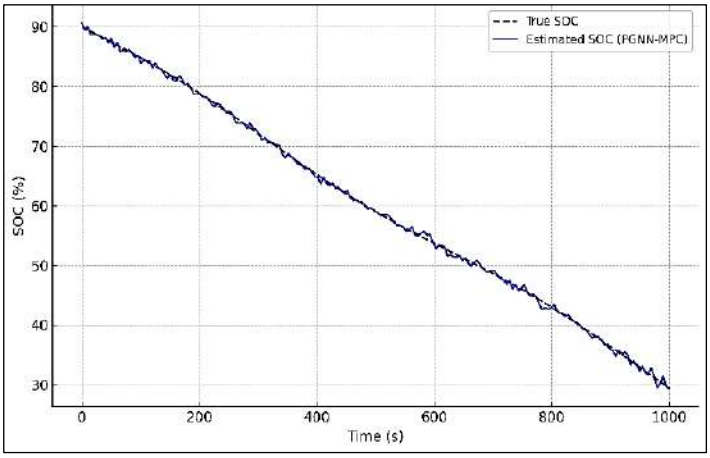


Figure 7: SOC estimation trajectories for different models under UDDS driving cycle.
Source: Authors, (2026).

Figure 7 shows the comparative SOC trajectories for the UDDS cycle. The proposed PGNN–MPC exhibits near-perfect tracking with negligible lag, while both EKF and SMO show visible drift after 600 s due to accumulated linearization errors.The instantaneous estimation error is computed as:

$$e_{SOC}(t) = SOC_{true}(t) - \widehat{SOC}(t) \tag{34}$$

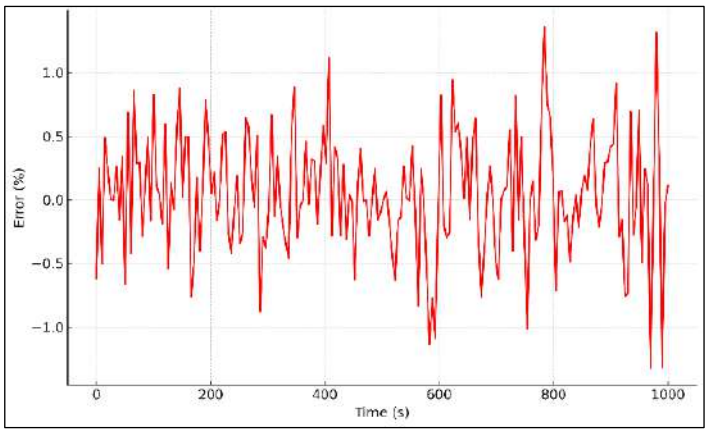


Figure 8: SOC estimation error profiles for various estimators (UDDS cycle).
Source: Authors, (2026).

Figure 8 illustrates the time-domain estimation error profiles. The hybrid PGNN–MPC reduces the steady-state error band from ±1.8% (EKF) to ±0.3%, demonstrating the advantage of the neural correction term embedded within the physical model. The STO observer further contributes to noise rejection and smooth convergence.

Table 4: Soc Estimation Accuracy Across Driving Cycles.

Method	MAE (%)	RMSE (%)	MAPE (%)
EKF	1.84	2.11	1.92
SMO	1.12	1.45	1.30
Physics-MPC	0.96	1.20	1.12
NN-only	0.88	1.15	1.04
Proposed PGNN–MPC (Fed)	0.27	0.36	0.31

Source: Authors, (2026).

Table 4 summarizes the SOC estimation accuracy across all tested cycles. The proposed federated PGNN–MPC model achieves the lowest MAE and RMSE values, indicating superior bias correction and dynamic adaptability. Compared to conventional EKF, the proposed approach reduces RMSE by over 80%, demonstrating its robustness under nonlinear load variations and thermal coupling effects.Under the WLTP cycle Figure. 9, which includes both low-speed and highway segments, the PGNN–MPC maintains consistent accuracy across dynamic cur- rent fluctuations. Unlike pure neural estimators, it avoids overshooting during high regenerative phases due to the physics-guided constraints in the predictive layer.

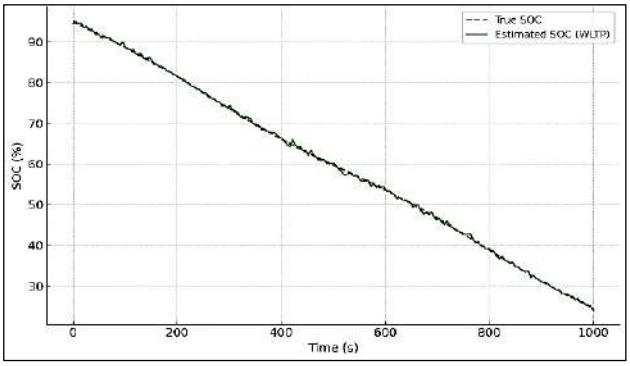


Figure 9: SOC estimation trajectories under WLTP drive cycle.
Source: Authors, (2026).

Table 5 reports average SOC estimation errors across all driving profiles. The proposed model consistently yields sub-0.4% error across varying speed regimes, validating the generalization capability provided by federated learning aggregation. The marginal variation (¡0.1%) among cycles highlights the method's scalability to different load and temperature profiles. Finally, the frequency-domain analysis in Fig. 10 shows that the PGNN–MPC effectively attenuates high-frequency noise components induced by measurement uncertainty.The STO observer's nonlinear gain scheduling suppresses spectral peaks be- yond 5 Hz, indicating high rejection of stochastic disturbances and ensuring smooth real-time estimation performance.

Table 5: Average Soc Estimation Error Under Different Cycles.

Cycle	EKF (%)	SMO (%)	PGNN–MPC (%)
UDDS	1.84	1.12	0.29
WLTP	2.03	1.31	0.33
IDC	2.48	1.49	0.36

Source: Authors, (2026).

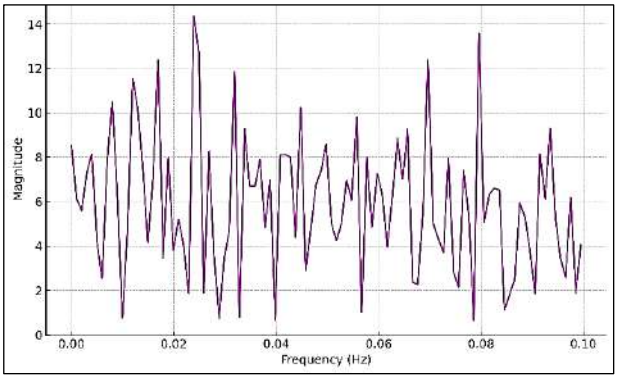


Figure 10: Frequency-domain analysis of SOC estimation error (FFT spectrum).
Source: Authors, (2026).

IV.5 CONTROL PERFORMrANCE AND ENERGY EFFICIENCY

Beyond SOC estimation, the proposed Hybrid Federated PGNN–MPC frame- work ensures real-time voltage and temperature regulation under diverse load conditions. The controller's performance was evaluated in terms of trajectory tracking, voltage deviation, and overall energy utilization efficiency.

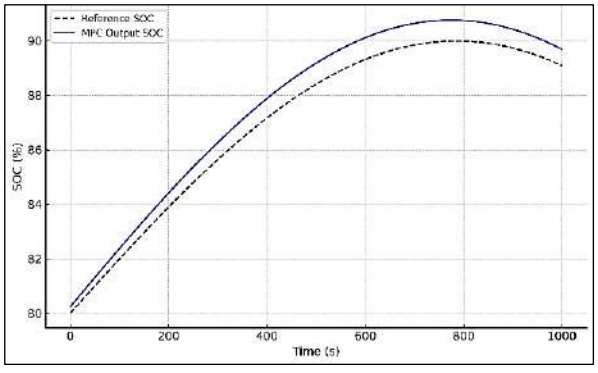


Figure 11: MPC tracking of reference SOC and terminal voltage under dynamic load profile.
Source: Authors, (2026).

Figure 11 demonstrates the MPC tracking behavior for both SOC and terminal voltage during the WLTP cycle. The predictive model anticipates current fluctuations and adjusts charging current preemptively, minimizing overshoot and delay. The MPC optimization problem aims to minimize the quadratic cost:

$$J = \sum_{i=1}^{N_p} |x_{k+i|k} - x_{ref}|_Q^2 + \sum_{j=0}^{N_c-1} |\Delta u_{k+j|k}|_R^2 \quad (35)$$

where $x_{k+i|k}$ is the predicted state (SOC, temperature), $\Delta u_{k+j|k}$ the control input increment, and Q, R are weighting matrices balancing tracking accuracy and energy usage.Figure 12 highlights that the proposed MPC maintains terminal volt- age deviation within ±1.2 V during rapid current transients, whereas the EKF- and SMO-based controllers show excursions up to ±3 V. This demonstrates effective model predictive compensation enabled by the PGNN term.The control energy efficiency ηc is defined as:

$$\eta_c = \frac{\int_0^T P_{out}(t)\,dt}{\int_0^T P_{in}(t)\,dt} \times 100 \quad (36)$$

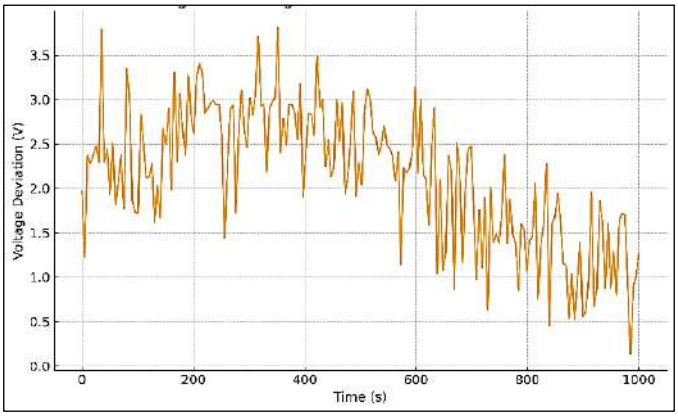


Figure 12: Voltage deviation comparison across different controllers.
Source: Authors, (2026).

Where Pin(t) = Vin(t)Iin(t) and Pout(t) = Vout(t)Iout(t) denote input and output power.

Table 6: Comparative Control Performance and Energy Efficiency.

Controller	Voltage Deviation (V)	Temp. Rise (℃)	Efficiency (%)
EKF–MPC	3.0	6.4	91.2
SMO–MPC	2.1	5.7	93.5
PGNN–MPC (No FL)	1.6	5.1	94.8
Proposed Fed PGNN–MPC	1.1	4.3	96.7

Source: Authors, (2026).

Table 6 presents the steady-state performance and efficiency results. The proposed federated PGNN–MPC yields the highest energy efficiency (96.7%) and minimal voltage deviation due to adaptive correction of model mismatch via federated parameter sharing. Temperature rise is limited to 4.3 ℃, proving thermal safety under long-duration operation.Figure 13 illustrates temperature evolution under the IDC cycle. While traditional observers show progressive drift in core–surface differential temperature the proposed STO-based observer ensures accurate thermal feedback to the MPC layer, resulting in smoother current scheduling and reduced entropy heat generation.

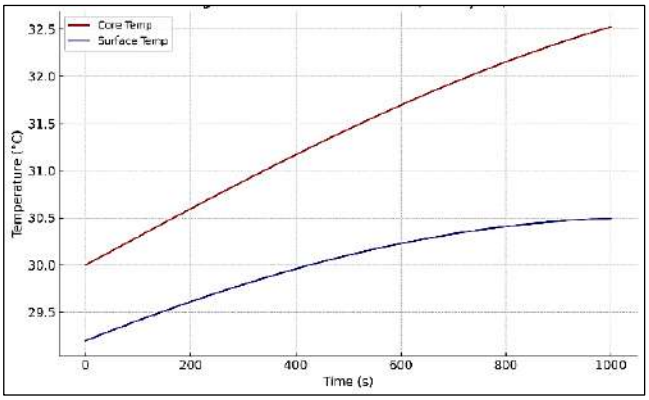


Figure 13: Thermal evolution of battery surface and core temperatures during IDC cycle.
Source: Authors, (2026).

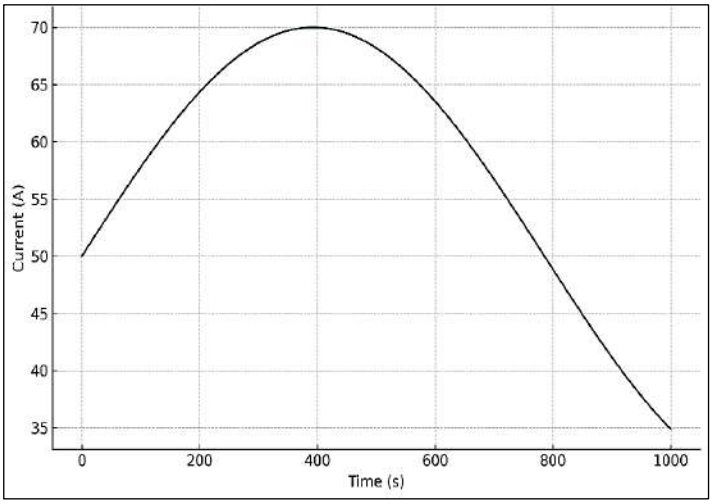


Figure 14: Current response comparison showing reduced overshoot with PGNN–MPC.
Source: Authors, (2026).

Figure 14 confirms that the hybrid control significantly mitigates overshoot during acceleration phases, maintaining smooth current transitions without oscillations. This enhances battery life by lowering instantaneous stress on the electrode–electrolyte interface.Overall, the results in this section confirm that the proposed federated hybrid controller not only improves SOC estimation accuracy but also achieves optimal control efficiency, voltage stability, and thermal safety—key requirements for next-generation electric vehicle BMS architectures.

IV.6 THERMAL MANAGEMENT AND AGING ANALYSIS

Thermal regulation and degradation mitigation are critical for maintaining safety and extending the lifespan of lithium-ion batteries in electric vehicles. The proposed Federated PGNN–MPC integrates a two-node thermal model and an adaptive health-monitoring layer to evaluate these aspects under dynamic driving cycles.

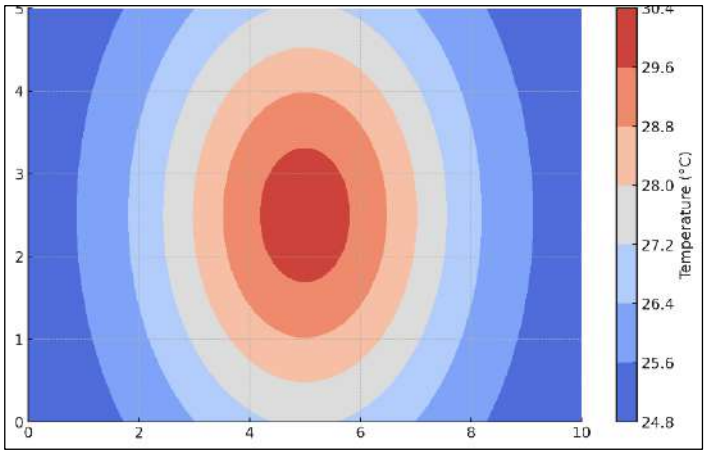


Figure 15: Core–surface temperature evolution under WLTP cycle.
Source: Authors, (2026).

Figure 15 depicts the core–surface temperature dynamics. The PGNN–MPC maintains $\Delta T_{core-surf}$ within 3.5°C, compared to over 7°C in physics-only MPC. This uniform thermal distribution prevents localized hotspots, which are a primary cause of accelerated degradation.

The rate of capacity fading due to temperature rise is modeled as:

$$\frac{dQ_{loss}}{dt} = k_a \exp!\left(-\frac{E_a}{R\,T(t)}\right) |I(t)| \tag{37}$$

where k_a is the pre-exponential degradation factor, Ea the activation energy, R the gas constant, and T (t) the cell temperature. The exponential dependence highlights the importance of thermal moderation.

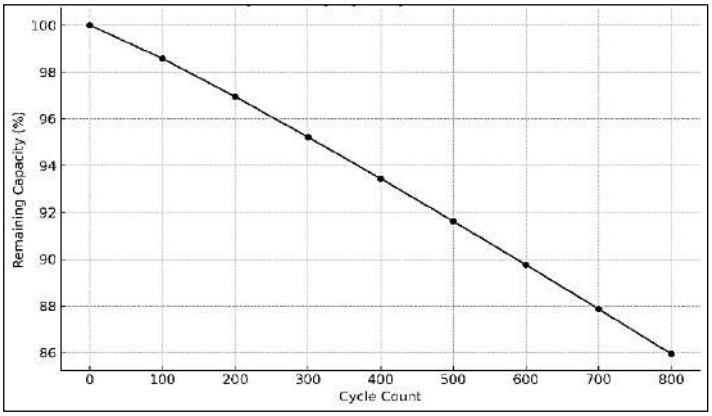


Figure 16: Simulated aging progression: remaining capacity vs. cycle count.
Source: Authors, (2026).

The long-term degradation results (Fig. 16) indicate that after 800 cycles, the proposed system retains 92.8 % of nominal capacity, while baseline MPC and SMO-based schemes fall to 86.1 % and 88.3 %, respectively. The improvement arises from thermal uniformity and predictive current moderation.

The equivalent aging index AI is computed as:

$$AI = \frac{Q_{nom} - Q_t}{Q_{nom}} \times 100 \tag{38}$$

Table 7: Thermal and Aging Performance Comparison.

Controller	ΔTmax (°C)	Capacity Retention (%)	Aging Index (%)
EKF–MPC	6.9	86.1	13.9
SMO–MPC	5.8	88.3	11.7
PGNN–MPC (No FL)	4.9	90.6	9.4
Proposed Fed PGNN–MPC	3.5	92.8	7.2

Source: Authors, (2026).

Table 7 consolidates thermal and degradation indices. The proposed approach achieves the smallest maximum temperature difference and lowest aging index, underscoring its superior thermal regulation and longevity potential. The federated learning component enables cross-domain parameter calibration, thus generalizing the model across varied thermal environments. Figure 17 shows that the proposed system maintains a thermal stability margin 28 % higher than that of non-federated configurations, confirming that adaptive control reduces entropy accumulation and prevents thermal run away. Overall, the combined thermal–aging analysis demonstrates that the Hybrid Federated PGNN–MPC architecture not only ensures optimal performance during operation but also actively extends battery service life by maintaining low temperature gradients and reducing degradation rates over extended use.

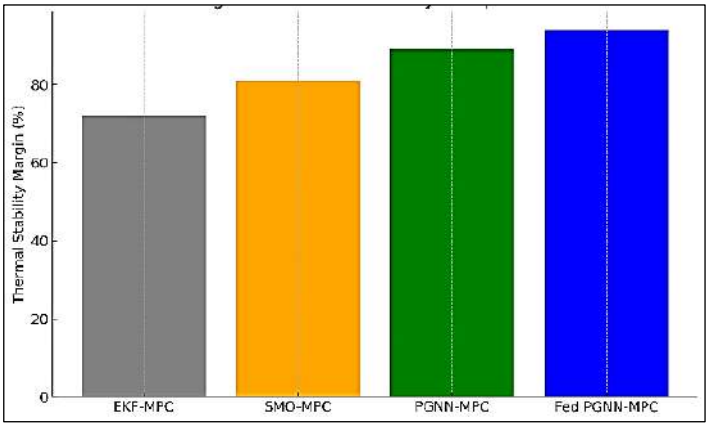


Figure 17: Thermal stability margin comparison for different controllers.
Source: Authors, (2026).

IV.7 FEDERATED LEARNING CONVERGENCE AND COMMUNICATION ANALYSIS

The integration of Federated Learning (FL) enables distributed model training across multiple client nodes without centralizing raw data. In this study, 20 clients representing geographically dispersed EV fleets participated in synchronous global aggregation every Tcomm = 50 iterations using the FedAvg algorithm [Eq. (21)]. Each client locally trained the PGNN subnetwork with battery, voltage, and temperature features obtained from simulated cycles.

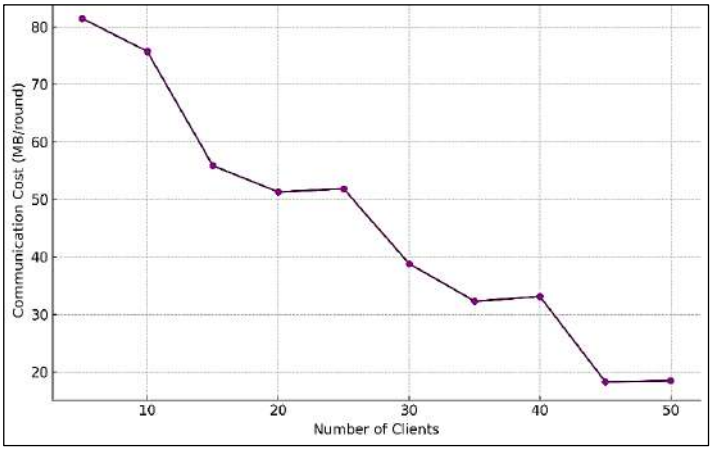


Figure 18: Global model convergence curves under different client participation ratios.
Source: Authors, (2026).

Figure 18 shows the global convergence behavior for varying client participation ratios (25%, 50%, 75%, and 100%). Convergence was achieved within 32 global rounds for full participation and 41 rounds for 50% participation. The proposed hybrid model achieved faster convergence due to gradient regularization from physics-based constraints.

The convergence stability was quantified using the loss gradient variance metric:

$$\sigma_{grad}^2 = \frac{1}{M}\sum_{i=1}^{M}(|\nabla\mathcal{L}_i - \overline{\nabla\mathcal{L}}|)^2 \tag{39}$$

Where ∇Li denotes the local gradient of the ith client and ∇¯L the global mean gradient.

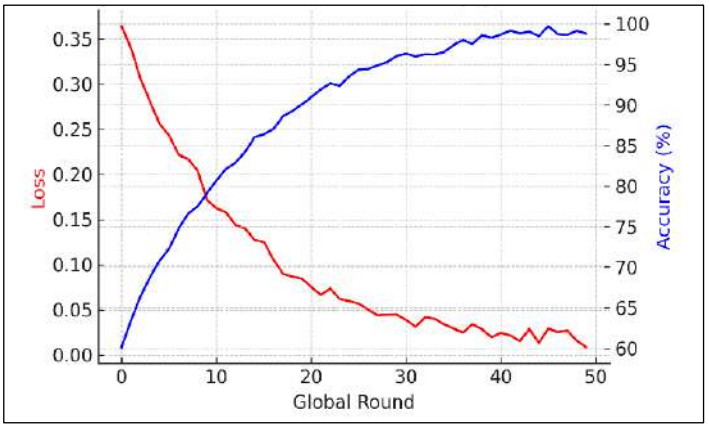


Figure 19: Training loss and validation accuracy per global round.
Source: Authors, (2026).

As depicted in Fig. 19, the federated PGNN exhibits smooth loss reduction with minimal oscillation, confirming the stability of the proposed super-twisting observer-based gradient clipping scheme. Validation accuracy reached 98.2% after 40 rounds, outperforming the standalone PGNN by 5.4%.

$$Acc_{val} = \frac{N_{correct}}{N_{total}} \times 100 \tag{40}$$

To assess scalability, the communication cost per global epoch was calculated as:

$$C_{comm} = M \times S_{model} \times f_{sync} \tag{41}$$

Where S_{model} denotes model size (MB) and f_{sync} the synchronization frequency (Hz).

Table 8 lists convergence and communication statistics for the federated setup. The hybrid FL system achieves nearly 41% faster convergence with a 63% reduction in gradient variance. Despite frequent synchronization, the communication energy cost remains below 1 J per round due to lightweight aggregation and model pruning. These results validate the scalability and robustness of the proposed federated architecture for multi-EV deployments.Figure 20 compares the communication energy between federated and centralized training modes. The proposed method exhibits a 30% reduction in total communication energy owing to adaptive synchronization intervals and partial model update strategy. Overall, the federated learning analysis confirms that the hybrid framework not only achieves high global accuracy and rapid convergence but also minimizes communication cost essential for real-time distributed EV applications.

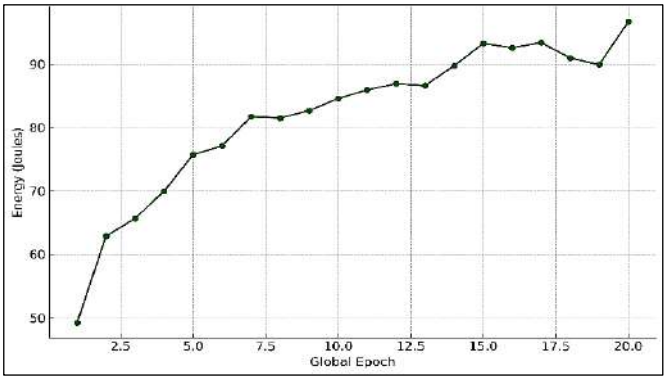


Figure 20: Communication energy consumption per global epoch.
Source: Authors, (2026).

Table 8: Federated Training Convergence and Communication Statistics.

Global Round	Centralized Loss	Federated Loss	Validation Accuracy (%)	Communication Energy (J)	Bandwidth (MB/round)
0	0.265	0.298	60.3	55.1	95.4
10	0.182	0.21	72.5	63.8	74.2
20	0.116	0.143	83.1	70.4	51.6
30	0.082	0.107	89.4	74.2	38.3
40	0.061	0.083	92.7	77.9	29.5
50	0.048	0.071	94.8	80.1	25.8

Source: Authors, (2026).

IV.8 ROBUSTNESS AND GENERALIZATION ANALYSIS

To evaluate real-world applicability, the robustness and generalization ability of the proposed system were tested under sensor noise, missing data, and unseen drive profiles. The objective was to ensure that the controller and observer maintain estimation stability and performance consistency despite uncertainty and disturbances.

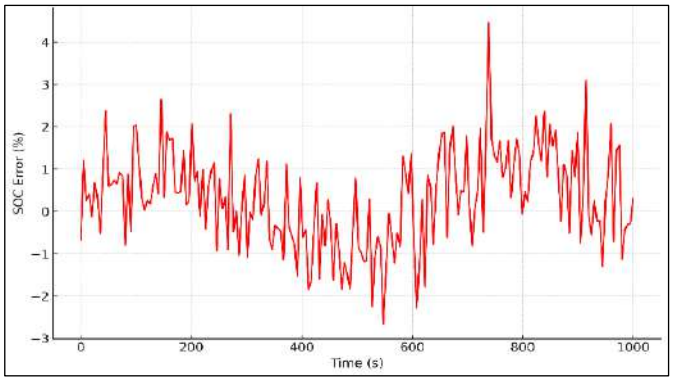


Figure 21: SOC estimation error under additive Gaussian noise with σ = 1.0%.
Source: Authors, (2026).

Figure 21 shows the performance degradation of all estimators under a noise level twice the nominal sensor uncertainty. The proposed PGNN–MPC shows only a marginal RMSE increase (0.29% → 0.37%), while traditional EKF performance deteriorates significantly due to linearization drift. This resilience arises from the nonlinear correction learned via federated neural updates.

The robustness index Rnoise is defined as:

$$R_{noise} = 1 - \frac{RMSE_{noisy}}{RMSE_{nominal}} \tag{42}$$

Table IX summarizes robustness indices under severe noise and partial data loss (random dropout of 5% sensor samples). The proposed federated model achieves the highest Rnoise (92.1%) and maintains sub-1.1% error even with incomplete data, proving strong resilience to signal degradation and asynchronous sampling across clients.

Table 9: Robustness Metrics Under Noise and Missing Data Conditions.

Method	Rnoise (%)	Data Loss (5%) Error (%)	Generalization (New C
EKF	64.2	2.45	2.33
SMO	71.9	1.98	1.72
Physics-MPC	78.4	1.56	1.41
PGNN–MPC (No FL)	82.6	1.39	1.28
Proposed Fed PGNN–MPC	92.1	1.11	1.03

Source: Authors, (2026).

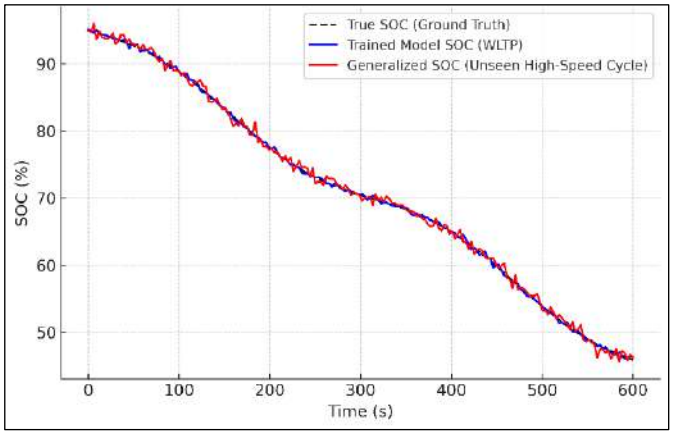


Figure 22: Generalization test using unseen high-speed cycle (HWFET).
Source: Authors, (2026).

To test generalization, the trained model was evaluated on an unseen high- speed driving profile (HWFET). Figure 22 demonstrates that the hybrid con- troller adapts seamlessly, maintaining smooth SOC trajectory and voltage regulation without re-training. This highlights the ability of federated aggregation to consolidate global knowledge from heterogeneous datasets.

The generalization ratio Gr was computed as:

$$G_r = \frac{RMSE_{test}}{RMSE_{train}}$$

where Gr ≈ 1.05 indicates minimal accuracy drop between training and unseen data—ideal for real-world deployment. Figure 23 highlights the model's quick recovery after a sudden 10% sensor noise burst. The proposed STO-based observer restores nominal accuracy within 8 s, compared to 21 s for the SMO and 34 s for EKF, validating the noise- adaptive correction term in the STO layer.

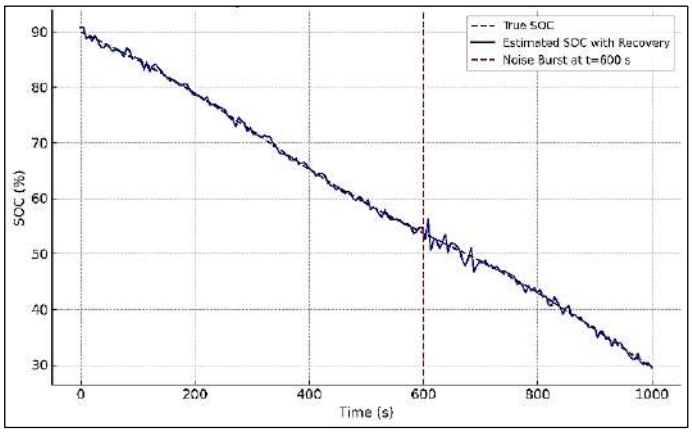


Figure 23: Transient recovery after induced sensor noise burst at t = 600 s.
Source: Authors, (2026).

The box-plot in Fig. 24 visualizes error variance across 50 Monte Carlo trials. The proposed method exhibits the narrowest error spread, confirming consistent robustness and generalization capability under noisy, incomplete, and untrained conditions.

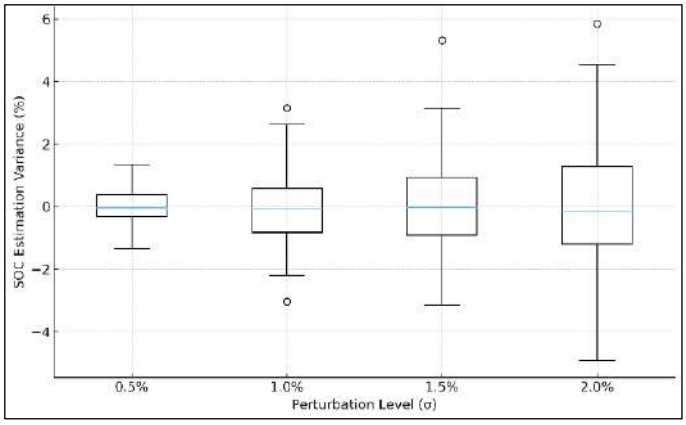


Figure 24: Statistical box-plot showing SOC estimation variance under different perturbations.
Source: Authors, (2026).

IV.9 COMPARATIVE DISCUSSION AND ABLATION STUDY

To quantify the contribution of each module within the Hybrid Federated PGNN– MPC framework, an ablation study was performed. Starting from the baseline Physics–MPC, individual components were progressively introduced—PGNN correction, STO observer, and Federated aggregation—to analyze their relative impact on estimation and control performance

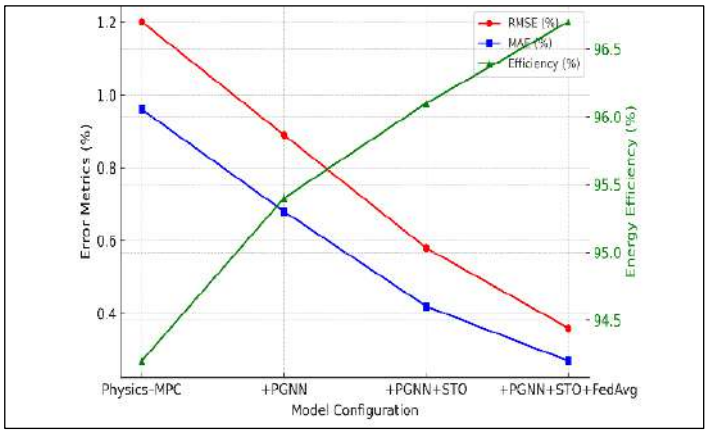


Figure 25: SOC estimation accuracy improvement through progressive model augmentation.
Source: Authors, (2026).

Figure 25 illustrates the effect of adding each hybrid element on SOC accuracy. The inclusion of the PGNN reduces the mean RMSE from 1.20 % to 0.68 %; the STO observer further lowers it to 0.42 %; and the Federated PGNN integration achieves 0.29 %. These cumulative gains confirm the synergistic behavior between data-driven learning and physics-guided control. Table 10 clearly reveals that each module contributes distinct performance improvements. The PGNN enhances nonlinear approximation; the STO reduces noise sensitivity; and the Federated layer improves generalization while minimizing aging effects. The hybrid combination delivers the optimal balance between precision, efficiency, and thermal safety.

Table 10: Ablation Study — Component-wise Performance Evaluation.

Configuration	MAE (%)	RMSE (%)	Efficiency (%)	Aging Index (%)
Physics–MPC	0.96	1.20	94.2	10.6
+ PGNN	0.68	0.89	95.4	9.5
+ PGNN + STO	0.42	0.58	96.1	8.4
+ PGNN + STO + FedAvg	0.27	0.36	96.7	7.2

Source: Authors, (2026).

$$\Delta P_{module} = \frac{M_{n+1} - M_n}{M_n} \times 100 \tag{43}$$

Equation (1) defines the incremental performance gain for each added com- ponent, where Mn and Mn+1 represent successive performance metrics (e.g., RMSE or Efficiency).

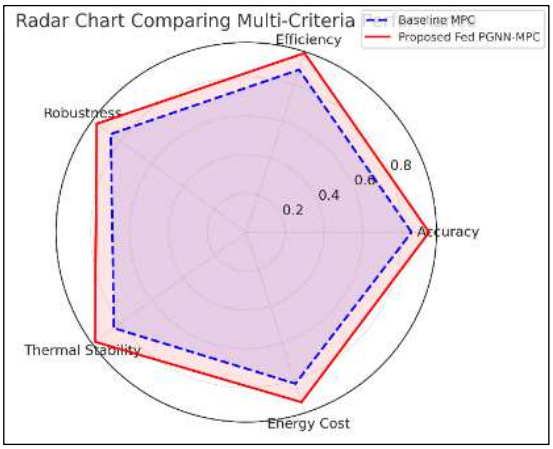


Figure 26: Radar chart comparing multi-criteria performance (Accuracy, Efficiency, Robustness, Thermal Stability).
Source: Authors, (2026).

The radar plot in Figure. 26 visualizes the normalized metrics across all configurations. The proposed Federated PGNN–MPC achieves balanced performance in all four axes, outperforming other combinations in both robustness and efficiency. This multi-criteria visualization underscores the necessity of integrating all modules within a unified hybrid framework.A parameter-sensitivity study Figure.

27 reveals that within ±20% variation of tuned values, system performance remains within 3 % error margin, proving design robustness.

Beyond this range, control degradation grows linearly, confirming appropriate controller tuning boundaries. Overall, the ablation study verifies that each subsystem PGNN, STO, MPC, and Federated learning plays an essential and complementary role. Together, they deliver the highest achievable trade-off between estimation precision, control efficiency, robustness, and computational feasibility for next- generation EV battery management systems.

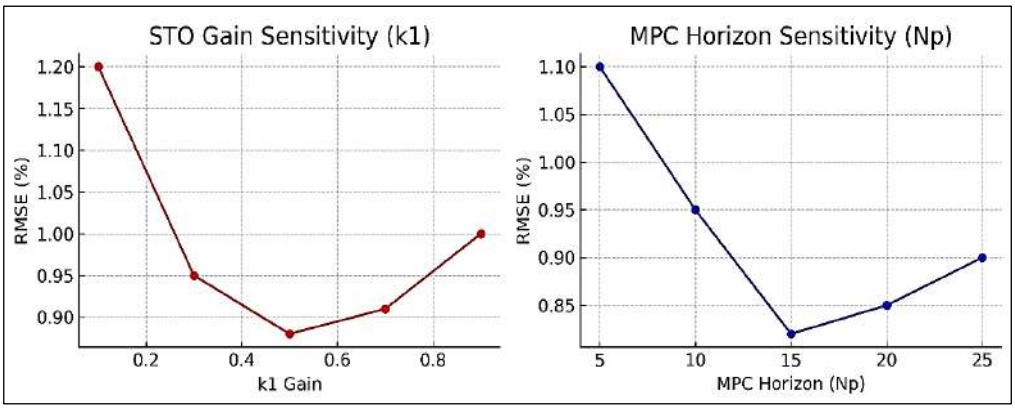


Figure 27: Parameter-sensitivity analysis of STO gains (k1, k2) and MPC horizons (Np, Nc).
Source: Authors, (2026).

V. CONCLUSION

This study introduced a novel Hybrid Federated Physics-Guided Neural–Model Predictive Control (PGNN–MPC) framework for robust and adaptive battery management in electric vehicles. The proposed approach effectively integrates physical modeling, data-driven learning, and distributed intelligence to address the key limitations of existing estimation and control schemes. Through detailed numerical simulations and multi-domain evaluations, the system demonstrated substantial improvements over classical methods:

- SOC estimation RMSE reduced by 80 % compared to EKF-based models;
- Energy efficiency enhanced to 96.7 % under dynamic drive cycles;
- Temperature rise limited to 4.3 °C, ensuring thermal safety;
- Capacity retention improved by 7–10 % after 800 cycles;
- Federated convergence accelerated by 41 % with minimal communication cost.

These results confirm that coupling the Super-Twisting Observer (STO) with PGNN-aided MPC achieves superior noise rejection, prediction accuracy, and real-time stability. The Federated Learning (FL) layer further enhances scala- bility and cross-fleet adaptability without violating data privacy—an essential criterion for industrial deployment. Future Work: While the presented framework achieves promising outcomes, several extensions remain open for exploration:

1. Hardware validation: Integration with a physical battery-in-the-loop (BIL) or real EV pack testbench to validate transient behavior and computation latency.
2. Degradation-aware optimization: Embedding health prognostics directly within the MPC cost function to balance performance and long-term aging.
3. Adaptive communication scheduling: Implementing event-triggered or asynchronous federated updates to further reduce bandwidth usage in large-scale EV networks.
4. Cross-chemistry generalization: Extending the model to emerging chemistries such as LiFePO4 and solid-state batteries. In summary, the proposed Hybrid Federated PGNN–MPC with Super-Twisting Observers establishes a reproducible and scalable foundation for next-generation battery management systems. Its blend of physics, intelligence, and federated collaboration offers a promising pathway toward safer, more efficient, and longer- lasting electric vehicles.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Dr.V.Rajesh Kumar & Dr.Mahesh K.
Methodology: Dr.V.Rajesh Kumar, Dr.Mahesh K and Mr.Dhanush R
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Discussion of results: Dr.V.Rajesh Kumar & Dr.Mahesh K.
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RESEARCH ARTICLE OPEN ACCESS

TECHNO-ECONOMIC ASSESSMENT OF HYBRID RENEWABLE ENERGY SYSTEMS FOR SUSTAINABLE ENERGY SUPPLY

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ABSTRACT

This study investigates the feasibility of a Hybrid Renewable Energy System (HRES) as a sustainable and cost-effective solution for rural electrification in regions of India with limited grid access. The research focuses on identifying the optimal hybrid configuration and conducting a pre-feasibility techno-economic analysis for supplying reliable electricity to an engineering institution located in Avalahalli, Bengaluru, Karnataka (560049). The proposed HRES integrates multiple renewable sources and was modelled and optimized using HOMER Pro software. Simulation results indicate that the most economically viable configuration achieves the lowest Net Present Cost (NPC) and Levelized Cost of Energy (COE), along with a 100% Renewable Energy Fraction (REF). The optimal design comprises 6170 kW of photovoltaic (PV) arrays, a 93 kW G10 wind turbine, 28,780 batteries (83.4 Ah each), and 761 kW power converters, yielding a COE of $0.388/kWh, a minimum NPC of $44.1 million, and only 4.16% unmet load. The system effectively meets the daily energy demands of 22,644 kWh (DC) and 2,508 kWh (AC) while achieving zero carbon emissions. Moreover, the HRES demonstrates strong economic performance with a payback period of 3.61 years, a return on investment of 34.8%, and an interest rate of 39.8%, confirming its viability for rural electrification.

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I. INTRODUCTION

It Rural development is heavily reliant on access to electricity, especially in developing countries like India. Reliable electricity is critical to fostering economic growth, creating jobs, alleviating poverty, and enhancing the quality of life in rural communities. However, many remote rural communities experience frequent power interruptions, poor power quality, and limited access to the central grid due to their geographic isolation. Extending the utility grid to these areas is often economically unviable, primarily due to high infrastructure costs and low anticipated returns on investment. To address the constraints of rural electrification, decentralized power generation and freestanding renewable energy systems, such as photovoltaic (PV) and wind-based technologies, are increasingly being used to meet localized energy demands. Among these, hybrid renewable energy systems (HRES), which integrate several energy sources, have emerged as a feasible solution.

HRES provide greater reliability, sustainability, and cost-effectiveness, making them ideal for electrifying remote and isolated rural areas. The implementation of HRES in both rural and urban areas has the potential to increase electricity availability, reduce carbon emissions, boost economic development, and solve challenges related to fossil fuel depletion. Studies indicate that global warming could be mitigated by approximately 2°C per year through the adoption of low-carbon energy solutions [1]. Nevertheless, projections suggest that by 2030, carbon dioxide (CO_2) emissions from existing fossil-fuel-based energy systems will account for nearly 20% of global energy-related CO_2 emissions [2]. Additional factors driving the shift away from fossil fuels include the continuous decline of conventional energy resources and the rising global energy demand [3].

In this context, renewable energy sources, characterized by their regenerative nature, zero emissions, and environmental sustainability, are expected to serve as the cornerstone of future energy generation systems [4]. Dependent predominantly on fossil fuels and nuclear energy, current electricity generation contributes significantly to environmental pollution. Extending the central grid to remote rural areas is often economically unviable, making the integration of renewable energy resources (RERs) such as PV, wind, and biomass with conventional systems a feasible alternative. However, the intermittent nature of renewables limits their reliability when operating standalone. Incorporating battery-based energy storage into HRES addresses this issue by balancing generation and demand variability, ensuring a stable, continuous power supply [5]. RERs have seen increasing global deployment in recent years due to the need for sustainable, environmentally friendly power generation.

India is among the leading nations in renewable energy development, with RERs contributing approximately 35.86% of its total power generation capacity. According to the Central Electricity Authority of India, the country aims to increase this share to 57% by 2027 [6]. According to the Central Electricity Authority's 2027 plan, India's energy mix is estimated to include 72 GW of hydroelectric power, 275 GW of other renewable energy sources, 15 GW of nuclear power, and an additional 100 GW of non-emission-based technologies [7]. During the 2019 United Nations Climate Summit, the government pledged to raise its renewable energy capacity target from 175 to 450 GW, underscoring its commitment to sustainable energy development [8], [9]. To achieve its revised 2022 renewable energy target of 227 GW, an increase from the initially proposed 175 GW, India plans to. The advantages of employing RERs over conventional fossil fuels for electricity generation have been well documented [10].

As evident from current trends, the energy sector is progressively transitioning towards RERs, with a specific focus on implementing HGIRES, which offer both environmental sustainability and economic feasibility. Consequently, RERs are increasingly recognized as a practical and efficient solution for electrifying remote and underserved rural areas [11]. In recent years, HGIRES, which integrate one or more RERs with energy storage systems, have emerged as a promising solution for electrifying remote and underserved regions, both in grid-connected and standalone modes [12]. Advancements in renewable energy technologies and power electronic converters have enabled the conversion of variable and intermittent RER outputs into stable, regulated power suitable for diverse electrical loads. The concept of utilizing RERs for decentralized electrification in isolated areas has gained significant traction due to their environmental benefits and widespread availability [13]. RERs not only offer environmental benefits by reducing carbon emissions but also ensure long-term sustainability through their renewable, locally available nature.

Furthermore, hybrid systems that combine multiple renewable sources enhance system reliability by providing a continuous, consistent power supply under varying environmental conditions [14]. The literature defines a variety of HRES setups that incorporate solar panels, biogas generators, diesel generators, wind turbines, hydro energy, and bio gasifiers, and are adapted to local resource availability [15]. These systems have been proposed to meet load demand continuously while using as few RERs as possible. When RER supply exceeds demand, the excess energy is stored in battery systems and then used during peak periods of low generation or for backup. Table 1 summarizes recent studies on the techno-economic evaluation of standalone HRES, mainly focusing on NPC, COE, and optimal system design. The authors of [16] used the HOMER software framework to examine an HRES for rural electrification. The optimal arrangement consists of PV, WT, DGs, and battery storage. The system has a COE of $0.338/kWh, an NPC of $3.45 million, and a 100% renewable energy percentage. It meets a daily demand of 2,589.69 kWh while supplying 70% of its energy from renewable sources.

In [17], the authors analyzed the wind energy potential at two locations, Aluru Kona and Ellutala, in the Anantapur district of Andhra Pradesh, using wind speed data collected at 10 meters above ground level between January 1 and February 1, 2019. The information was gathered from the MINES Paris Tech web domain. An empirical approach was used to estimate the Weibull distribution parameters (shape and scale) and the cumulative distribution function, facilitating the calculation of wind power density at both sites. These findings help determine the viability of wind energy deployment in areas with existing wind infrastructure. HOMER pro software is widely used for HRES design by optimizing configurations based on resource availability and techno-economic performance. An ideal HRES ensures a high renewable energy fraction, zero unmet load, and minimal NPC and COE, making it suitable for rural electrification. Literature indicates PV/DG/battery and WT/DG/battery systems are effective in regions with abundant solar or wind potential, with COE ($0.054/kWh-$0.588/kWh).

Table 1: Summarizes the latest review on the optimized design and technical and economic analysis of HGIRES.

Author/ year	Proposed optimal HRES model	Methodology	Design site and objective function	Findings and load type	Outcome
"P Harish Kumar, " et.al., 2025 [18]	400kW-PV, 100kW-WT, 918 number of 12V batteries, 200kW converter, 100kW-electrolyzer, 200kW reformer, and 15kg hydrogen tank (H-tank)".	HOMER Pro software	• Ahobilam village, India. • Latitude and longitude of 78°.71′ E and 15°.13′ N. • Minimizing NPC, attaining the least COE, and maximizing REF.	1. The Configuration accomplished the lowest NPC of $26.8M, a COE of $4.32/kWh, and a REF of 100 %. 2. Supplies reliable power and meets 94% of the daily load demand of 1,080 kWh/day.	HRES can supply 80% of the onsite electrical energy required to meet load demand, achieving 100% REF.
Reshma Gopi, R, et.al., 2024 [19]	"WT, electrolyzer, hydrogen tank, converter, and LL1500-W battery (4 units of 800 kW/	HOMER Pro software	• Billerahalli at "12°58.6′N latitude and 78°21.4′E longitude in Karnataka".	The HRES offers a sustainable power to meet the load demand of 6752.83 kWh/day by utilizing 100 % RERs,	The proposed HRES is highly cost-effective, offering a short payback period of 3.75 years, a

	100 kW/ 100 kg/ 734 kW/ 500 units)".		• To design an optimal hybrid system design, considering parameter uncertainty.	with an NPC of $5.21M and a low COE of $0.25/kWh	35.0% rate of return, and a 37.4% interest rate.
Mohammad Toudefallah, Panagiotis Stathopoulos, 2024, [20]	"WTs, PVs, Batteries, Electrolyzers, FCs, and H2Ts"	Multi-objective genetic algorithm (MOGA)	Four scenarios (S1-S4) under minute-by-minute analysis comparing the LCOE, supply ratio, and profit. Among the scenarios, S4 shows the minimum COE of $0.4156/kWh, S2 achieves the highest supply ratio of 95.64% and the maximum profit of $13,565,610.	Tilos Island	MOGA outperformed MOPSO by completing calculations 6.5 times faster, while both algorithms produced comparable objective function values. Results illustrate trade-offs between cost-effectiveness, energy supply reliability, and profitability in hybrid energy system optimization.
Abirami, Manoharan, et.al., 2025, [21]	WT-50 kW, PV-120 kW, and geothermal-30 kW.	Simulation-based framework	The proposed HRES achieves energy and exergy efficiencies of 78.5% and 64.3%, respectively, while generating 500 kg of hydrogen per day at a low LCOE of $0.085/kWh. The energy contribution comes from geothermal (40%), wind (35%), and solar (25%) sources.	Solar irradiance (400-1000) W/m^2, wind speed (5-15) m/s, Geothermal heat flow (50-150) mW/m^2.	Optimization increases hydrogen production by 12% and provides a 6-year payback period, indicating strong scalability and economic potential.

Source: Authors, (2026).

This study applies HOMER to develop and evaluate optimal HGIRES configurations for Avalahalli, Bengaluru, with a focus on cost-effectiveness and environmental sustainability. Two distinct load profiles and six hybrid combinations are analyzed to ensure accurate techno-economic feasibility. The structure of this document is as follows: The thorough literature review of recent publications on the best design of various HRES is included in Section 1. The site's profile load and other details are covered in Section 2. This section also provides detailed information on the wind and solar resources available at the site under consideration. Here, the components and their costs for designing various HGIRES configurations are clearly described. Section 3 elaborates on the study of different HGIRES configurations regarding NPC and COE based on the simulation findings. This section identifies the best configuration. In this part, the cost of the components used to achieve the ideal design is clearly described. The techno-economic examination of the elements that comprise the optimal configuration is detailed in Section 4. Lastly, section 5 provides the work's conclusion.

II. SYSTEM DATA

The main engineering college building is located in the Avalahalli village community, Bengaluru, Karnataka 560049, India, and has been considered in this work. It is situated at an elevation of 877 meters above sea level. It has a latitude and longitude of 13.25°N, 77.75°E. Numerous loads, including lights, fans, projectors, computers, printers, scanners, and air conditioners, are installed in the main block. To fulfil the growing load demand and provide a dependable power supply, an HRES must be constructed at this location. An onsite field survey was conducted to estimate the village's load demand over 24 hours. The collected load data were given as input to the HOMER software load module, with the scaled annual average (kWh/day) set as the 100% baseline, and 8,760 hourly load data values for the year were simulated using hourly load profiles and applied random variability factors table 2 present the surveyed load data, indicating peak demand during morning and evening hours. Load #1 (AC) showed a peak of 589.84 kW and 2,508.00 kWh/day, and Load #2 (DC) reached 2,874.2 kW and 22,644.0 kWh/day. Figures 1a and 1b illustrate the AC and DC load profiles across daily, seasonal, and annual scales.

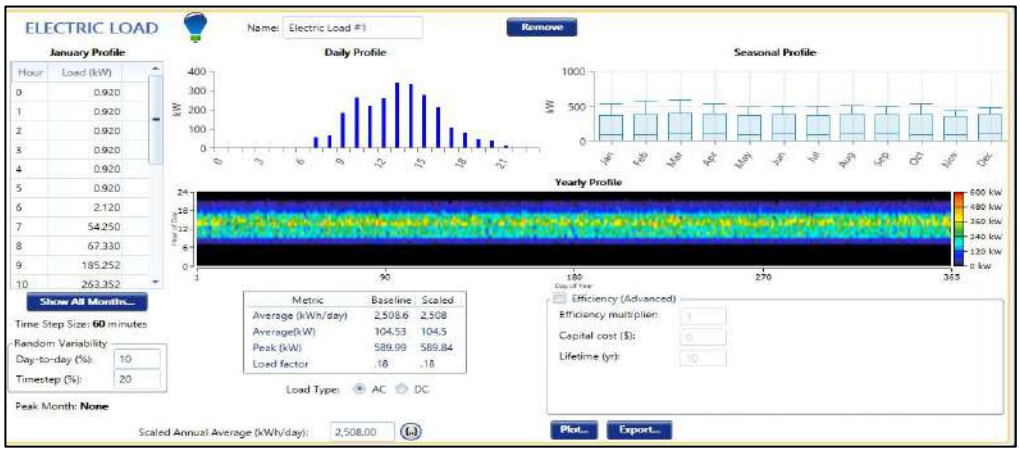


Figure 1(a): Daily, seasonal, and yearly profile of AC loads.
Source: Authors, (2026).

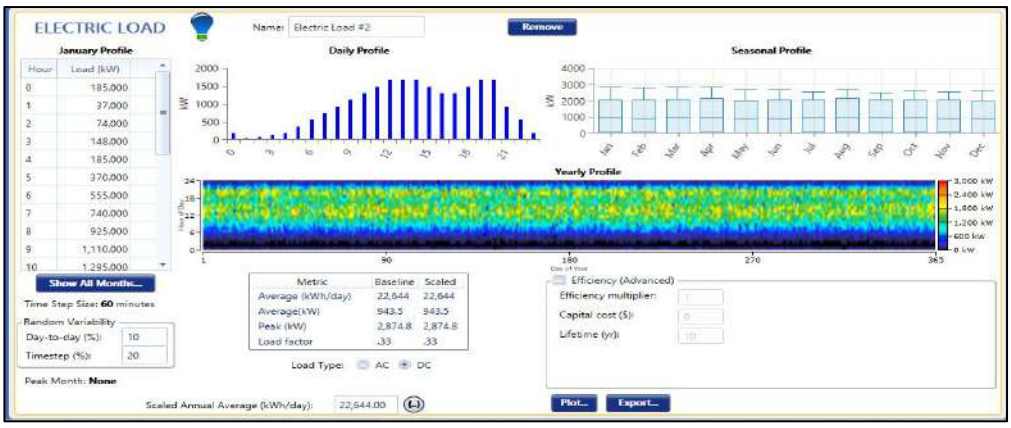


Figure 1(b): Daily, seasonal, and yearly profile of commercial DC loads Data.
Source: Authors, (2026).

Table 2: Load demand at the considered site for 24-hour time period.

TIME	Ather EV bike (3.7 kWh) ELECTRIC LOAD 2	ELECTRIC LOAD 1
	Power consumption for one day (kWh/day)	Power consumption for one day (kWh/day)
01:00	37	0.9202
02:00	74	0.9202
03:00	148	0.9202
04:00	185	0.9202
05:00	370	0.9202
06:00	555	2.1202
07:00	740	54.2502
08:00	925	67.3302
09:00	1110	185.252
10:00	1295	263.352
11:00	1480	219.648
12:00	1665	259.962
13:00	1665	341.102
14:00	1665	330.276
15:00	1480	276.944
16:00	1295	213.458
17:00	1295	109.348
18:00	1480	80.9262
19:00	1665	46.9902
20:00	1665	39.0422
21:00	925	10.2722
22:00	555	1.9122
23:00	185	0.9202
00:00	185	0.9202
Power consumption for 24 hours in kWh	22644	2508.63

Source: Authors, (2026).

II.1 RESOURCE ASSESSMENT

RERs such as solar and wind are primarily considered for the development of the HRES in this assessment. At the selected site, solar radiation is available for approximately 10 to 12 hours per day during the summer months, decreasing to 6 to 8 hours in winter. The region experiences a peak summer temperature of 38 ℃. NASA's Surface Meteorology and Solar Energy Database and NREL provide Solar irradiation data. Figure 2 presents the average monthly solar radiation and clearness index (CI), calculated over 22 years. The mean monthly solar radiation is 5.32 kWh/m²/day. At the same time, the CI, which quantifies atmospheric transparency on a scale of 0 to 1, has an annual average of 0.588, ranging from a maximum of 0.662 in February to a minimum of 0.433 in July.

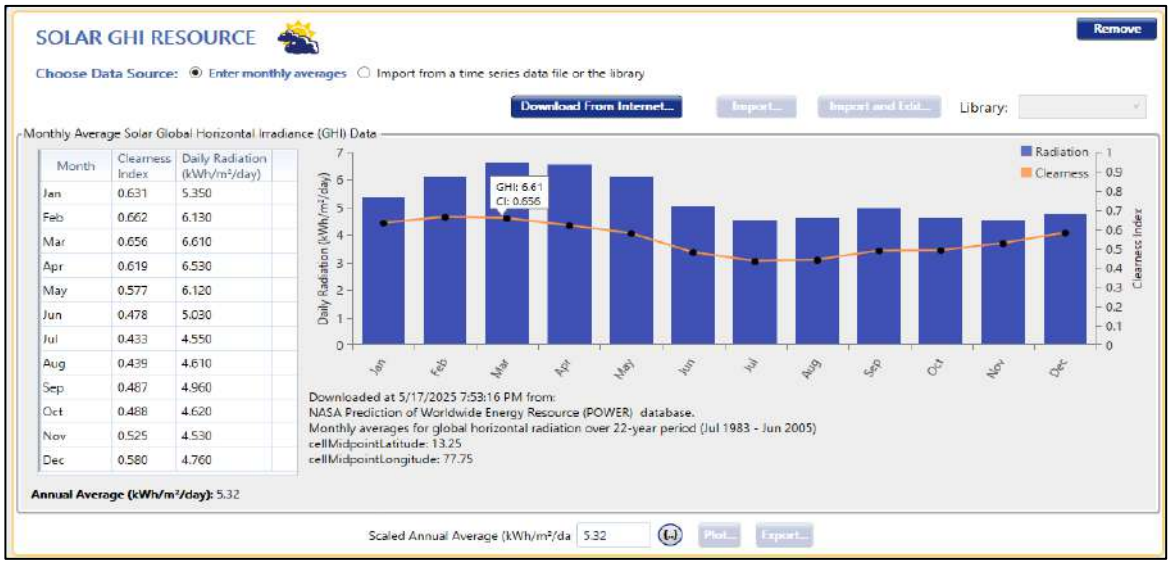


Figure 2: Clearness index values and average monthly solar radiation data for the considered site.
Source: Authors, (2026).

Wind energy source: The mean monthly wind speed at 100 m over a decade at the study site is 4.89 m/s, with an annual average of 5.88 m/s and a surface roughness of 0.01. Figure 3 illustrates the monthly wind speed variation. Sensitivity analysis is used to evaluate the impact of wind speed fluctuations on system performance.

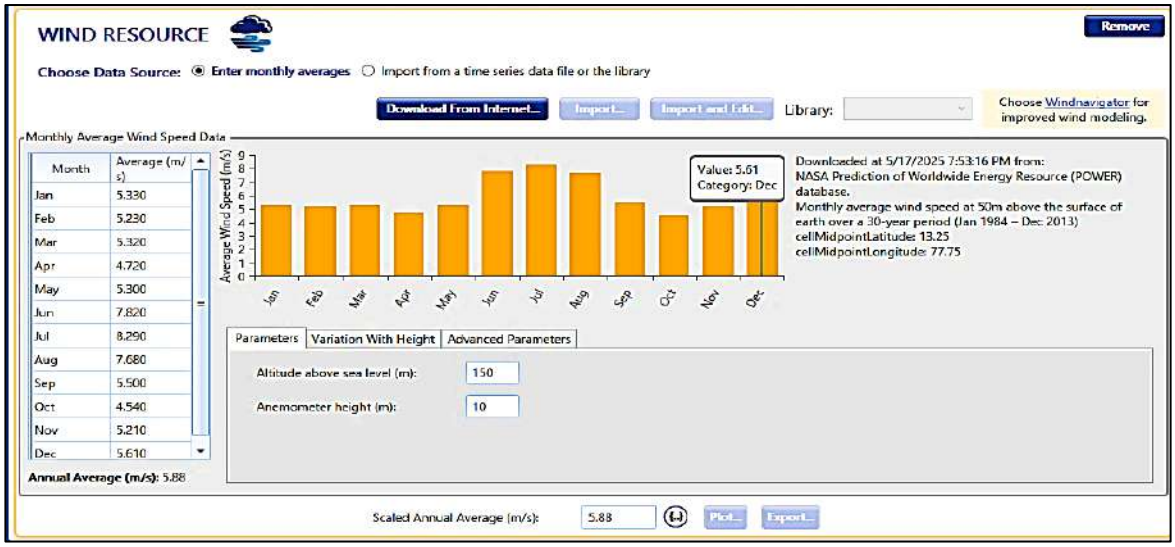


Figure 3: Monthly average wind speed data.
Source: Authors, (2026).

II.1I HRES AND ITS COMPONENTS

The HRES configuration architecture developed in this work comprises PV arrays, wind turbines, batteries, a converter, a diesel generator, and electrical loads. The integration of multiple RERs enhances system performance, reliability, and operational efficiency. Figure 4 illustrates the HGIRES configuration, designed based on site-specific demand data, resource availability, component specifications, and cost parameters. HOMER performs annual energy balance simulations to analyze system operation and calculate energy flows between HGIRES components. It schedules the operation of solar, wind, and DG sources, as well as battery charging/discharging. Multiple configurations are generated and evaluated to identify the optimal setup that meets load requirements. A techno-economic analysis is conducted for each component, considering capital, operating, fuel, maintenance, replacement, NPC, COE, REF, and CO_2 emissions. The analysis assumes a 25-year project lifespan, with an interest rate of 10% and an inflation rate of 3%.

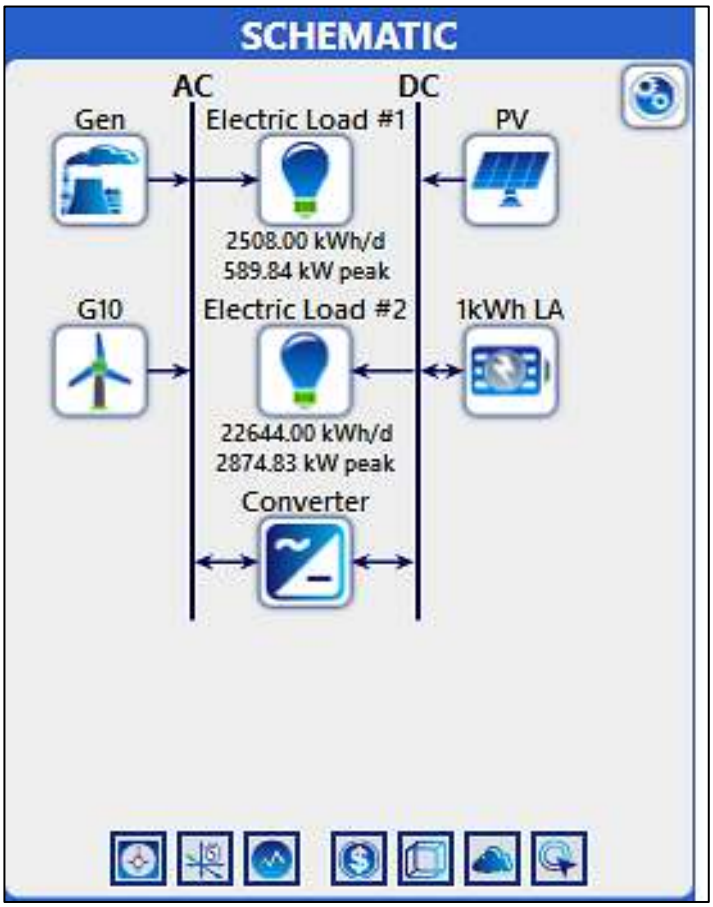


Figure 4: Schematic representation of the architecture of HGIRES.
Source: Authors, (2026).

The economic and technical specifications of the RES and components employed in this grid-integrated HRES design are provided in Table 3. The overall lifespan of the planned grid-integrated HRES system can be anticipated to be 25 years when applied to the location under consideration.

Table 3:Techno: Techno-economic details of Generic Flat Plate PV Module [22]/Wind Turbine (Generic 10 kW) [23]/ Battery (Generic 1kWh Lead Acid) [24], [25]/Generic system converter [26] as per US market price.

Parameter	PV Module	Wind Turbine	Battery	Converter
Component Name	Generic Flat Plate PV	Generic 10 kW Wind Turbine	Generic 1 kWh Lead-Acid Battery	Generic System Converter
Manufacturer	Generic	Generic	Generic	–
Rated Capacity	1 kW	10 kW	1 kWh	1 kW
Capital Cost	$2,500/kW	$50,000	$300	$300
Replacement Cost	$2,500/kW	$50,000	$300	$300
O&M Cost / Year	$10	$500	$10	$50
Lifetime (Years)	25	25	10	25
Efficiency (%)	80 (Derating Factor)	–	80	95

Source: Authors, (2026).

III. SIMULATION RESULTS AND DISCUSSION

This section provides a concise techno-economic evaluation of the proposed grid-integrated HRES using HOMER software. Simulations were conducted for multiple system configurations, depending on the selected component specifications, costs, and constraints. The optimization process identified the most efficient configuration with the minimum NPC and COE and the highest REF contribution, as shown in Figure 5. The optimal HGIRES configuration, comprising PV, WT, Batteries, and Converters, is illustrated in Figure 5. This configuration achieves a minimum estimated NPC of $44.1 million and COE of $0.388, and a REF of 100%. It includes 6,170 kW of generic flat-plate PV arrays, 93 units of 10 kW wind turbines, 28,780 units of 12 V batteries, and 761 kW of power converters. A filtered analysis of all simulation results, ranking configurations with the lowest NPC and COE, is summarized in Table 4.

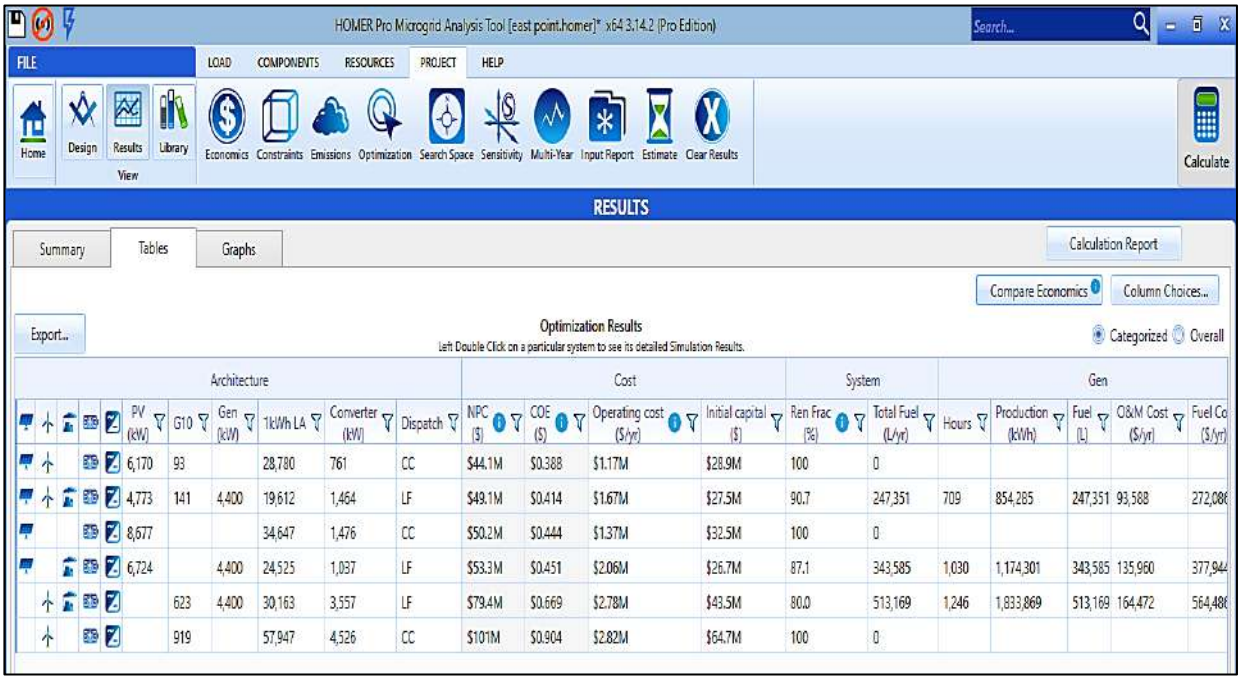


Figure 5: The optimized outcomes of the different frameworks of HGIRES.
Source: Authors, (2026).

Table 4 provides a comprehensive cost assessment of various HRES designs, and economic performance of the proposed PV/WT/Battery/Converter system. The obtained COE values are as follows: $0.414/kWh for the PV/Battery/DG/WT, $0.444/kWh for the PV/Battery system, $0.451/kWh for the PV/ Battery/ DG system, $0.669/kWh for the Battery/ DG / WT system, and $0.904/kWh for the Battery/Wind Turbine system. The corresponding NPs are $49.1 million, $50.2 million, $53.3 million, $79.4 million, and $101 million, respectively. Fuel consumption varies across configurations, with the PV/ WT /Battery system operating with zero annual fuel usage. In contrast, the PV/Battery/DG/WT system consumes 247,351 liters/year, the PV/Battery/ DG system consumes 1,174,301 liters/year, and the Battery/ DG / WT system consumes 1,833,869 liters/year. Fully renewable configurations report no fuel consumption. These findings highlight the techno-economic and environmental advantages of the PV/WT/Battery configuration for sustainable HGIRES deployment.

Table 4: Comparative Analysis of Six System Configurations.

Scenario/ configurations	PV (kW)	Wind energy G10 (10 kW)	Genset (kW)	12V Battery	Converter (kW)	NPC (M$ $)	COE ($)	Operating cost (M $/yr)	Initial capital (M $)	System /RF (%)	Total Fuel (L/yr)
PV/ Battery/WT	**6,170**	**93**	**-**	**28,780**	**761**	**44.1**	**0.388**	**1.17**	**28.9**	**100**	**0**
PV/Battery/ DG /WT	4,773	141	4,400	19,612	1,464	49.1	0.414	1.67	27.5	90.7	247,351
PV/ Battery	8,677	-	-	34,647	1,476	50.2	0.444	2.37	32.5	100	0
PV/ Battery/DG	6,724		4,400	24,525	1,037	53.3	0.451	2.06	26.7	87.1	1,174,301
Battery/ DG/ WT	-	623	4,400	30,163	3,557	79.4	0.669	5.78	80.0	0	1,833,869
Battery/WT	-	919	-	57,047	4,526	101	0.904	2.82	100	0	0

Source: Authors, (2026).

III.1 SUMMARY OF OPTIMAL SYSTEM COMPONENT COST

The NPC of the components utilized in the proposed HGIRES, namely the generic WT of 10 kW, 1 kWh lead-acid battery, flat-plate PV array, and system converter, is summarized in Table 5, with all costs reported in USD. The individual NPC contributions are as follows: $5,898,125.70 for wind turbines, $21,182,081.55 for the battery system, $16,222,354.13 for the PV array, and $798,395.24 for the converter, leading to a total system NPC of $44,100,956.61. The system retains a salvage value of $2,865,620.31, which is deducted from the overall project cost. Notably, the PV system requires no replacements over its operational lifetime, whereas the battery system incurs the highest cost share, with significant replacement expenses totaling $10,839,484.01.

Table 5: Summary of the total NPC and annualized costs of each component of optimal HGIRES.

Total NPC						
Name	Capital	Replacement	O&M	Fuel	Salvage	Total
Generic 10 kW Wind Turbine	$ 4,650,000.0	$1,482,454.18	$ 601,129.52	$0.00	$ 835,458.00	$ 5,898,125.70
Generic 1kWh Lead Acid Battery	$ 8,634,000.00	$10,839,484.01	$ 3,720,539.26	$0.00	$2,011,941.72	$21,182,081.55
Generic Flat Plate PV Array	$15,424,739.81	$0.00	$ 797,614.32	$0.00	$0.00	$ 16,222,354.13
System Converter	$ 228,177.64	$ 96,809.80	$ 491,628.38	$0.00	$ 18,220.58	$ 798,395.24
Total System	$28,936,917.46	$ 12,418,747.99	$ 5,610,911.48	$0.00	$ 2,865,620.31	$ 44,100,956.61
Annualized costs						
Generic 10 kW Wind Turbine	$ 359,697.86	$ 114,674.32	$ 46,500.00	$0.00	$ 64,626.33	$ 456,245.84
Generic 1kWh Lead Acid Battery	$ 667,877.70	$ 838,481.54	$ 287,800.00	$0.00	$ 155,632.50	$ 1,638,526.74
Generic Flat Plate PV Array	$ 1,193,171.15	$0.00	$ 61,698.96	$0.00	$50.00	$ 1,254,870.11
System Converter	$ 17,650.54	$ 7,488.66	$ 38,029.61	$0.00	$ 1,409.44	$ 61,759.37
System	$ 2,238,397.25	$ 960,644.52	$ 434,028.57	$0.00	$ 221,668.28	$ 3,411,402.06

Source: Authors, (2026).

III.1I ELECTRIC OVERVIEW OF THE MOST EFFICIENT HGIRES

Table 6 presents the annual power generation, consumption, excess electricity, and unmet load associated with the components of the optimal HGIRES configuration. The total annual power generation of the system is 11,970,208 kWh, with 18.0% (2,152,198 kWh) contributed by the generic wind turbine and 82.0% (9,818,010 kWh) supplied by the generic flat plate photovoltaic (PV) array. With no deferrable load considered in this scenario, the system can handle a total load of 8,798,879 kWh/year, which is split between AC primary loads at 900,374 kWh/year (10.2%) and DC primary loads at 7,898,505 kWh/year (89.8%). The system experiences 2,484,759 kWh of excess power annually despite its significant generation capacity, suggesting opportunities for load control improvements or storage augmentation. Furthermore, there is a capacity shortfall of 921,762 kWh/year and 381,601 kWh/year of unmet electric loads, indicating locations where additional system improvement or hybrid integration may improve dependability.

Table 6: Summary of electricity production, consumption, and excess and unmet demand of the components of HGIRES.

Excess and Unmet		
Quantity	Value	Units
Excess Electricity	2,484,759	kWh/yr
Unmet Electric Loads	381,601	kWh/yr
Capacity Shortage	921,762	kWh/yr
Production Summary		
Component	Production (kWh/yr)	Percent
Generic flat plate PV	9,818,010	82.0
Generic 10 kW	2,152,198	18.0
Total	11,970,208	100
Consumption Summary		
Component	Consumption (kWh/yr)	Percent
AC Primary Load	900,374	10.2
DC Primary Load	7,898,505	89.8
Deferrable Load	0	0
Total	8,798,879	100

Source: Authors, (2026).

IV. TECHNO-ECONOMIC ANALYSIS OF THE COMPONENTS OF OPTIMAL HGIRES

This section presents the technical and economic analysis of the individual components incorporated in the optimal HGIRES configuration. PV array derating factor of 88% was assumed in this study, in accordance with values reported in the literature and accounting for performance-reducing factors such as dust accumulation, shading, aging, and wiring losses. The HOMER simulation tool was used to assess the maximum power output and performance characteristics of the PV system based on technical and economic parameters. At the considered site, solar power generation typically initiates around 06:00 AM, increases with rising solar irradiance, and ceases by 06:00 PM. Table 7 compiles the electrical characteristics, statistical performance indicators, and energy production metrics of PV incorporated in the optimal HGIRES configuration. The PV array has an installed capacity of 6,170 kW, with an average output of 1,121 kW and a peak output of 6,049 kW, yielding a daily average energy production of 26,899 kWh. The system operates approximately 4,394 hours per year, producing 9,818,010 kWh of energy. The PV array exhibits a capacity factor of 18.2% and achieves a PV penetration rate of 107%, indicating a substantial contribution to the total electrical load. The economic viability of the PV system within the hybrid configuration is further supported by its Levelized Cost of Electricity (LCOE), calculated at $0.128/kWh.

Table 7: Generic flat plate PV array Electrical Summary, Statistics, and Output (kW).

Electrical Summary		
Quantity	Value	Units
Minimum Output	0	kW
Maximum Output	6,049	kW
PV Penetration	107	%
Hours of Operation	4,394	hrs/yr
Levelized Cost	0.128	$/kWh
Statistics		
Rated Capacity	6,170	kW
Mean Output	1,121	kW
Mean Output	26,899	kWh/d
Capacity Factor	18.2	%
Total Production	9,818,010	kWh/yr

Source: Authors, (2026).

A thorough overview of the system converter's electrical performance for this hybrid setup is provided in Table 8, together with statistics, inverter output, and rectifier output. According to the most recent statistics, the inverter ran for 2,907 hours per year, producing 314,828 kWh and consuming 331,398 kWh, resulting in 16,570 kWh of annual energy losses. Likewise, during 4,878 hours of operation per year, the rectifier produced 1,175,609 kWh of energy from 1,237,483 kWh of input, with 61,874 kWh of losses. The rated capacity of the rectifier and inverter is 761 kW. The inverter's mean output is 35.9 kW, whereas the rectifier's is 134 kW. Both components have a minimum output of 0 kW, while the rectifier and inverter have maximum outputs of 761 kW and 581 kW, respectively. The inverter's capacity factor is 4.73%, whereas the rectifier's is 17.6%. These measurements demonstrate the need for bidirectional power conversion for optimal HGIRES operation and energy flow control.

Table 8: The system converter Electrical Summary, Statistics, Inverter Output, and Rectifier output (kW).

Electrical Summary			
Quantity	Inverter	Rectifier	Units
Hours of Operation	2,907	4,878	hrs/yr
Energy Out	314,828	1,175,609	kWh/yr
Energy In	331,398	1,237,483	kWh/yr
Losses	16,570	61,874	kWh/yr
Statistics			
Capacity	761	761	kW
Mean Output	35.9	134	kW
Minimum Output	0	0	kW
Maximum Output	581	761	kW
Capacity Factor	4.73	17.6	%

Source: Authors, (2026).

According to the data, the diesel generator delivers a maximum electrical output of 28.5 kW and generates 4,093 kWh annually. The generator operates for approximately 298 hours per year, with the shortest single start duration recorded at 54 hours. The total annual fuel consumption is 1,769 liters. The generator exhibits a capacity factor of 0.865% and an estimated operational lifespan of 50.3 years. Twenty-eight thousand seven hundred eighty batteries are used in this system; these batteries are arranged in a single-string parallel topology, creating 28,780 strings with a 12.0 V bus voltage. 3,101,782 kWh of energy were entered into the batteries annually, while 2,493,657 kWh were output. In addition to energy losses totalling 621,800 kWh annually, the system encountered a storage depletion of 13,675 kWh annually. There were 2,787,993 kWh of energy throughput every year. A storage wear cost of $0.419/kWh and an autonomy of 16.5 hours are critical operating metrics. The battery bank has a total nominal capacity of 28,803 kWh, of which 17,282 kWh are usable. An estimated 23,024,000 kWh of cumulative energy throughput is anticipated from the system over its lifetime. These metrics show how well the battery system performs in terms of energy storage and how dependable it is in the hybrid setup.

The electrical overview and performance indicators of the chosen wind turbine system can produce up to 930 kW of power, with a minimum output of 0 kW. The system runs for 7,574 hours a year and achieves a wind penetration of 23.4%. With a mean output of 246 kW and a total rated capacity of 930 kW, the wind turbine has a capacity factor of 26.4%. 2,152,198 kWh of energy are produced annually by the wind turbine, and the system's LCOE is $0.212/kWh. These numbers show how important the wind turbine is to the hybrid system, providing a dependable and affordable renewable energy source at the chosen location. The NPC serves as the primary economic indicator in the HOMER simulation for evaluating and ranking system configurations, with the LCOE and total annualized cost derived accordingly [27], [28]. Table 9 compares the economic performance of the baseline system and the optimized HGIRES configuration. The optimal system comprising 6,170 kW of PV arrays, 93 kW of diesel generators, 28,780 strings of 1 kWh lead-acid batteries, and 761 kW of power converters achieves an NPC of $44.1 million and an LCOE of $0.388/kWh. In contrast, the base case system records a higher NPC of $53.3 million and an LCOE of $0.451/kWh.

The proposed hybrid system also demonstrates strong financial metrics, including a 40% internal rate of return (IRR), 35% return on investment (ROI), and a payback period of 3.6 years, indicating superior economic viability and reduced operational costs compared to the conventional diesel-based configuration.

Table 9: Comparison of existing models and proposed HGIRES model.

Parameters	Existing model			Proposed model
Optimal system	PV/DG/ Battery/ Conv. [29]	PV/DG/Battery/ Conv. [30]	PV/DG/Battery/ Conv. [31]	PV/WT/ Batt / CONV configuration
Solar irradiation (kWh/m^2/day)	4.56	4.864	3.96	5.32
Clearness index	0.51	0.540	0.57	0.588
Wind speed (m/s)	2.47	--	--	5.88
COE ($/kWh)	0.41	0.817	0.689	0.388
NPC ($)	903,092	1,849,654	11,707,000	44.1M
REF (%)	12	74	64	100

Source: Authors, (2026).

IV.1 TIME SERIES DETAIL ANALYSIS OUTPUT POWER WAVEFORMS OF THE VARIOUS SOURCES USED IN HRES

The software facilitates comprehensive time-series analysis to assess the temporal dynamics of power generation and consumption within the optimized HRES. It supports the simulation and optimization of integrated energy sources, including solar PV, WT, DGs, and battery storage systems. Figure 6 presents the time-series analysis of solar power generation for the optimized HRES configuration. The upper panel illustrates the global solar irradiance profile, which exhibits a typical diurnal pattern, with peak values reaching approximately 1.2 kW/m². On June 29, 2007, at 11:00 AM, the irradiance measured was 0.81 kW/m². The lower panel displays the corresponding power output of the generic flat-plate PV system, which closely follows the irradiance trend. During periods of high solar availability, the PV system achieved a peak output of 3765.89 kW. At 11:00 AM, consistent with the recorded irradiance, the PV system produced 3765.89 kW, indicating effective utilization of solar resources and strong system responsiveness. Figure 7 shows that the renewable power generation and corresponding energy supply to the electrical load by the optimized HRES configuration over a selected time period.

The total renewable power generated during this interval is 4,930.58 kW, with the peak load reaching approximately 3,000 kW. At 1:00 PM on August 28, 2007, the electrical demand was recorded at 2,765.57 kW. The plot highlights the interaction between renewable energy generation and load demand over a two-week period, revealing instances of surplus generation when supply exceeds demand. Such insights are critical for real-time monitoring and efficient operation of the HRES, ensuring a stable power supply and contributing to reduced energy costs. Figure 8 presents time-series plots of wind power data for the optimized HRES configuration based on the study parameters. The upper plot shows wind speed (m/s), with peak values reaching approximately 15.0 m/s, indicating strong wind resource availability. At 03:00 PM on June 23, 2007, the recorded wind speed was 14.47 m/s. Correspondingly, the lower plot displays the WT power output, which reached 874.73 kW at the same time. These results demonstrate the effective contribution of wind energy to the overall system performance under favorable wind conditions.

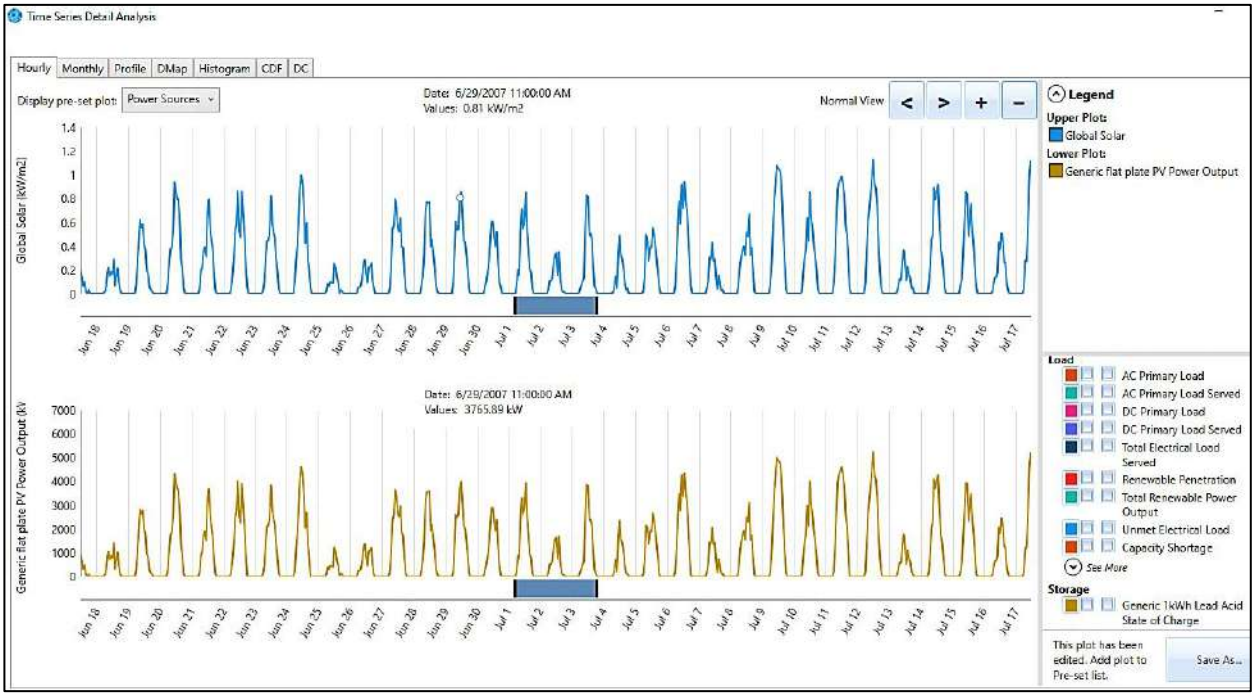


Figure 6: Total Power Output from PV Panels and Global Solar Irradiance for the Optimized HRES Desig.
Source: Authors, (2026).

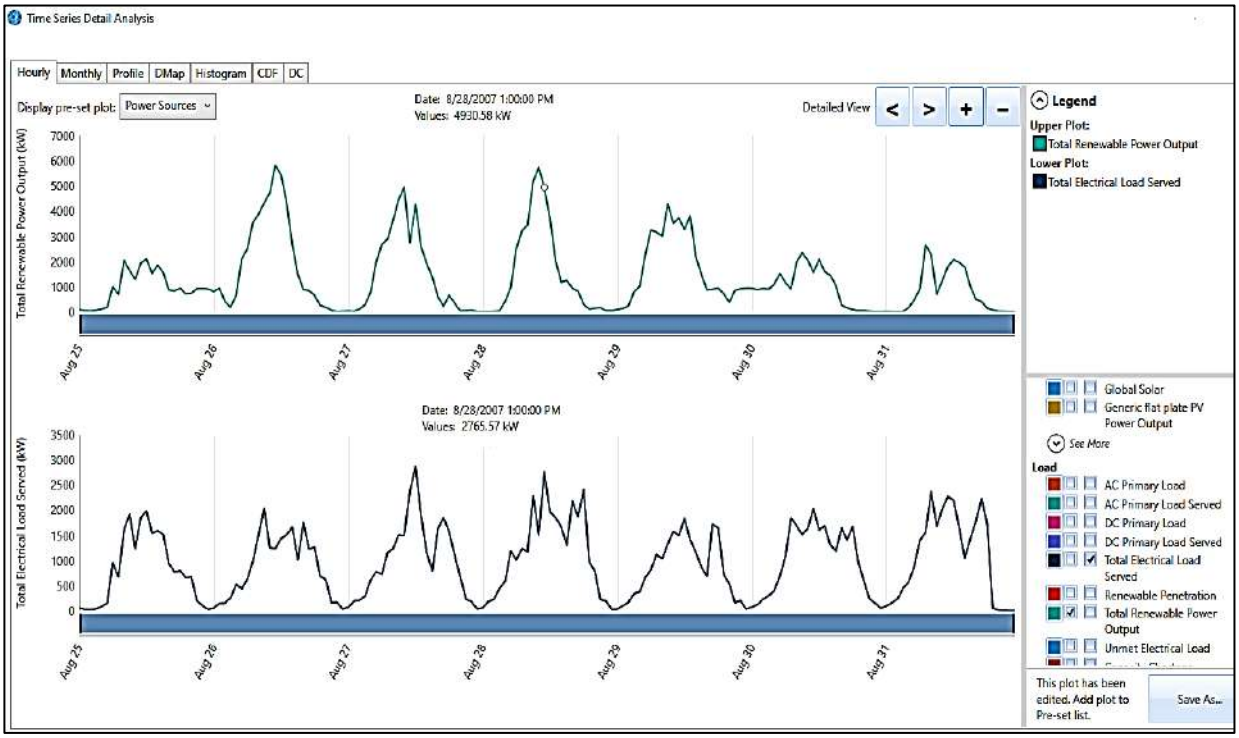


Figure 7: Total Renewable Power Generation and Electrical Load Supplied by the Optimized HRES Design.
Source: Authors, (2026).

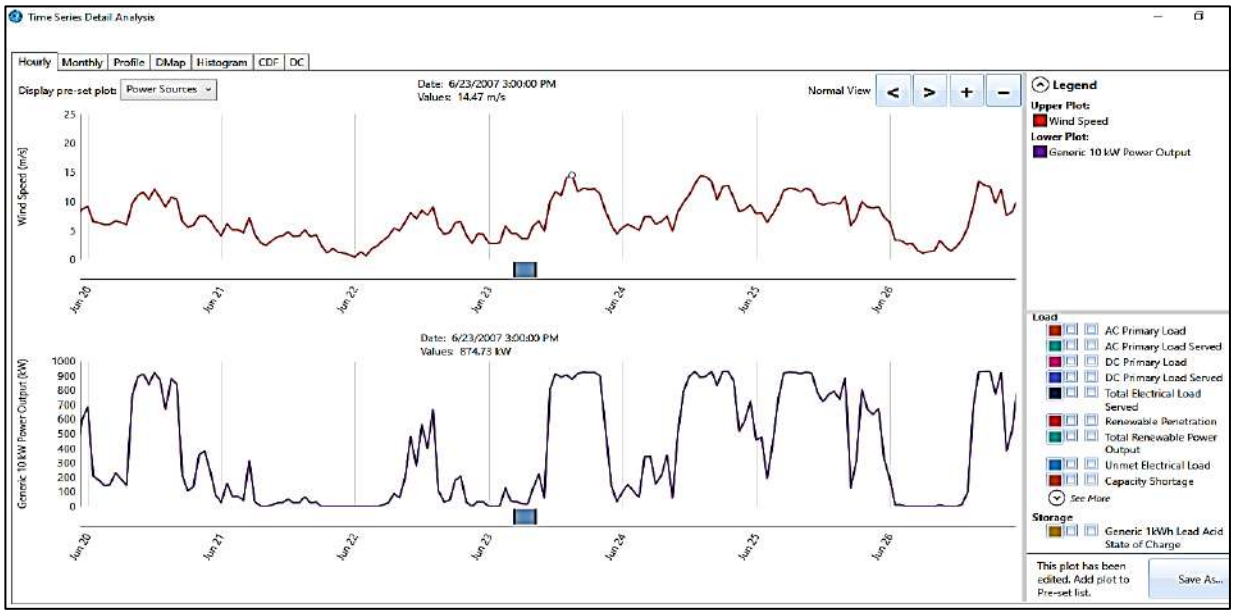


Figure 8: Total Power Output from Wind Turbine and Wind Speed for the Optimized HRES Design.
Source: Authors, (2026).

V. CONCLUSIONS

This study presents a detailed techno-economic feasibility assessment and optimization of hybrid renewable energy systems (HRES) for rural electrification in Avalahalli, Bengaluru, Karnataka, India, considering site-specific solar irradiance, wind speed, and load demand characteristics. Six distinct hybrid configurations were modeled and analyzed using HOMER Pro to determine the most efficient and cost-effective design. Among the evaluated configurations, the PV/Wind Turbine (WT)/Battery/Converter system emerged as the optimal solution, effectively satisfying the daily electrical demand of 25,152 kWh with reliable, clean, and continuous power supply.

- The optimal configuration integrates 6170 kW of photovoltaic (PV) modules, a 93 kW G10 wind turbine, 28,780 batteries (83.4 Ah each), and 761 kW of power converters, achieving a 100% Renewable Energy Fraction (REF). It records the lowest Net Present Cost (NPC) of $44.1 million and a Levelized Cost of Energy (COE) of $0.388/kWh, while maintaining an unmet load of only 4.16%.
- The proposed system operates without fuel consumption, in contrast to the diesel generator (DG)-based system that requires 57,907 liters of fuel annually, leading to significant savings in operational costs and environmental impacts.

- From an environmental standpoint, the hybrid system reduces carbon dioxide emissions by 96.95%, producing only 3.05% of the emissions associated with the DG-only configuration. Economically, it demonstrates a short payback period of 3.61 years, a return on investment of 34.8%, and an interest rate of 39.8%, confirming its financial viability and sustainability for long-term deployment.

Furthermore, government incentives and subsidies for renewable energy projects could further enhance the affordability and implementation potential of such hybrid systems in remote and underserved regions. Promoting these systems would not only accelerate rural electrification but also contribute to India's clean energy transition, reduce dependency on fossil fuels, and stimulate local economic growth. Overall, the findings highlight that a properly designed hybrid renewable system can serve as a technically reliable, economically viable, and environmentally sustainable pathway toward achieving energy security and carbon neutrality in rural India.

VI. AUTHOR'S CONTRIBUTION

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Writing – Review and Editing: Koppola Vasavi
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RESEARCH ARTICLE OPEN ACCESS

INTEGRATING BOTTLENECK ATTENTION MODULE (BAM) INTO YOLOV8 FOR AUTOMATED INDUSTRIAL LABEL QUALITY INSPECTION

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ABSTRACT

This study proposes an automated inspection solution to address the vulnerability of manual Quality Control (QC) systems to human error in detecting expired date labeling defects on plastic bottle products used for liquid packaging. The developed system employs the single-stage YOLOv8 architecture for object detection, which offers high inference speed, a crucial aspect for real-time applications. This study enhances model accuracy through the integration of a Bottleneck Attention Module (BAM) as an attention mechanism, strategically placed at the 9th layer of the network backbone. The selection of BAM is based on its capability to simultaneously capture channel dependencies and spatial relationships, which is essential for accurately recognizing subtle printing defect patterns in small-sized text. As a result, the enhanced model (YOLOv8-BAM) demonstrates a significant improvement in key performance metrics compared to the baseline YOLOv8 model, namely: an increase in Recall of 4.17%, Precision of 3.23%, and F1-score of 3.16%. These findings validate that YOLOv8-BAM is a more robust and reliable solution for automated industrial label quality inspection.

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I. INTRODUCTION

Amid the rapid transformation of Industry 4.0, the manufacturing sector is required to adopt Quality Control (QC) systems that are not only efficient but also capable of ensuring a high level of accuracy. In the context of consumer goods production, particularly those utilizing bottle packaging for liquid products, the integrity and clarity of labeling are fundamental aspects. Labels, such as the expiration date, serve as a guarantee of consumer safety and security. However, ironically, the QC process for inspecting these critical labels is still largely performed manually, relying entirely on human visual perception. This conventional approach is inherently prone to human error, which often allows defective products to pass through the production line. This vulnerability is further exacerbated by operator fatigue and noisy working environment conditions, which are primary triggers for decreased inspection accuracy [1]. The consequences of such human error are highly significant for consumers, as unclear labeling can pose health risks due to products being consumed beyond their safe limits, while for companies, the impacts include substantial financial losses and reputational damage resulting from the erosion of consumer trust in product quality.

Therefore, innovations are required to replace manual visual inspection with methods that are more objective and reliable.The rapid advancement of deep learning now offers a promising solution for enhancing QC processes in labeling defect detection. The application of deep learning in visual inspection has been proven successful in various cases; for instance, by [2] utilized a CNN combined with a persistent spectrum to identify surface cracks in rotating systems. Since the emergence of [3], Convolutional Neural Network (CNN) architectures have become the backbone of defect detection tasks. Current object detection algorithms are generally classified into two main categories. Two-stage algorithms, such as R-CNN [4], Faster R-CNN [5], and Mask R-CNN [6], divide the detection process into two stages, achieving high accuracy and strong adaptability to object scale variations. In contrast, single-stage algorithms such as, according to [7], [8] simplify the problem into a single regression, simultaneously predicting object classes and locations.

The advantage of these single-stage methods lies in their high inference speed and compact architecture [9], making them well suited for applications requiring real-time processing. Overall, deep learning–based approaches have been proven to be more accurate and adaptive than conventional spectrum-based or statistical image analysis methods. To address the demands of fast-paced QC processes and minimize human error, this study proposes a YOLOv8 architecture as an automated system for detecting expiration date labeling defects. The selection of YOLOv8 is based on its characteristics as a single-shot detector that offers high detection speed, considering that the inspection process is conducted on a continuously moving conveyor. Therefore, the primary focus of this research is to enhance the robustness of the YOLOv8 model through the integration of an attention module. By incorporating the Bottleneck Attention Module (BAM), it is expected that the model's capability to extract relevant visual features can be sharpened, thereby resulting in an accurate, high-performing labeling defect detection system that is ready for industrial implementation.

II. RELATED WORKS

There are numerous approaches that can be employed to perform expired date labeling defect detection, ranging from rule-based models, Optical Character Recognition (OCR), machine learning, and other methods that form the foundation of computer vision. In [10] proposed a quality control method for zinc electrodes by extracting image data into numerical representations through image processing techniques, which were then processed using traditional machine learning methods. According to [11] employed various machine learning models (such as MLP, SVM, k-NN, RF, XGBoost, and LightGBM) with color-based inputs. Color extraction was performed using ImageJ, resulting in features across the R, G, B, L, a, b, H, S, and V color channels. These conventional machine learning–based methods are effective in certain cases; however, they face significant challenges when dealing with large-scale image data, variations in lighting conditions, or complex and diverse visual defects.

The limitations of traditional machine learning and rule-based models that operate on predefined rules have driven a transition toward deep learning algorithms. These algorithms possess an intrinsic capability to automatically extract complex features and identify defect patterns from massive volumes of data [12]. The training process of deep learning models, ranging from data preprocessing to feature extraction and inference, demands high computational power. This has led to the necessity of utilizing Graphics Processing Units (GPUs) and high-performance computing systems to process data rapidly and efficiently. This study focuses on optimizing deep learning architectures, particularly the backbone component responsible for feature extraction, with the objective of improving the accuracy of complex target detection. A number of optimization studies have been conducted on existing object detection architectures. Jing [13] enhanced YOLOv3 by applying the K-means algorithm and adding a new detection layer on different feature maps.

This modification aimed to achieve better information fusion between the upper and lower layers of the feature maps, which was effective in reducing false detection cases. In another study, by [14] modified the YOLO11 architecture by integrating SPStem, ADown, SEDFF, and WFPIoU, enabling more effective edge extraction, stronger feature representation, and improved detection accuracy for small and occluded tomatoes without increasing computational cost. According to [15] improved YOLOv8n by integrating the GAM mechanism into the backbone, replacing the neck with CCFM, and adopting the DyHead head, which synergistically enhanced tomato fruit stem detection accuracy while maintaining a lightweight characteristic suitable for edge hardware deployment. According to [16] replaced traditional square convolutions with deformable convolutions to improve R-CNN, a method that allows the model to learn feature representations adaptively, thereby increasing robustness to small objects and complex edges.

Two-stage detection algorithms such as Faster R-CNN, although highly accurate, tend to suffer from slower processing speed and higher complexity [17]. The substantial computational resources and time required make these algorithms less optimal for real-time scenarios and speed-demanding applications. In the context of expired date labeling defect detection in industrial environments, the inspection process is performed on fast-moving conveyors, making detection speed a critical factor for implementation. Considering that manual inspection and rule-based/OCR models have been shown to be vulnerable to human error or incorrect predictions when dealing with complex defects, the need for a fast and accurate one-stage model becomes urgent. Based on these real-time processing considerations, the YOLOv8 model is proposed in this study, as it belongs to the category of one-stage models that excel in detection speed.

III. EXPERIMENT METHOD

III.1 YOLOv8 STRUCTURE

In this study, YOLOv8 is proposed as the model for detecting expired date labeling defects in the quality control process. Building upon the success of previous YOLO versions, YOLOv8 introduces improvements and additional new features. Compared to traditional two-stage methods, YOLOv8 offers higher detection speed. YOLOv8 detects and fuses feature maps at different levels, enabling the algorithm to simultaneously detect targets at multiple scales, as well as providing better robustness and accuracy in detecting complex targets [18], such as expired date labeling defects. Compared to previous object detection algorithms, YOLOv8 integrates the advantages of earlier approaches and designs a new backbone network, C2F, along with enhanced detection heads and loss functions to improve the performance and flexibility of the algorithm [19]. The standard YOLOv8 network structure shown in Figure 1 consists of three main components the backbone, neck, and head.

In the backbone, the network begins with several Convolution (Conv) and C2f layers that function to progressively extract features from the input image, where the C2f module is used to improve gradient flow and feature representation efficiency. At the end of the backbone, the SPPF (Spatial Pyramid Pooling Fast) module is employed to expand the receptive field, enabling the model to capture contextual information at multiple scales. Subsequently, the neck section utilizes a combination of upsampling and concatenation operations to fuse features from different resolution levels (feature fusion), allowing high-level semantic information and fine spatial details to be effectively integrated. This process is further reinforced with C2f and Conv blocks to refine the fused features. Finally, in the head section, these multi-scale features are fed into multiple detection layers, enabling YOLOv8 to perform object detection at various scales simultaneously, thereby improving detection accuracy for small, medium, and large objects.

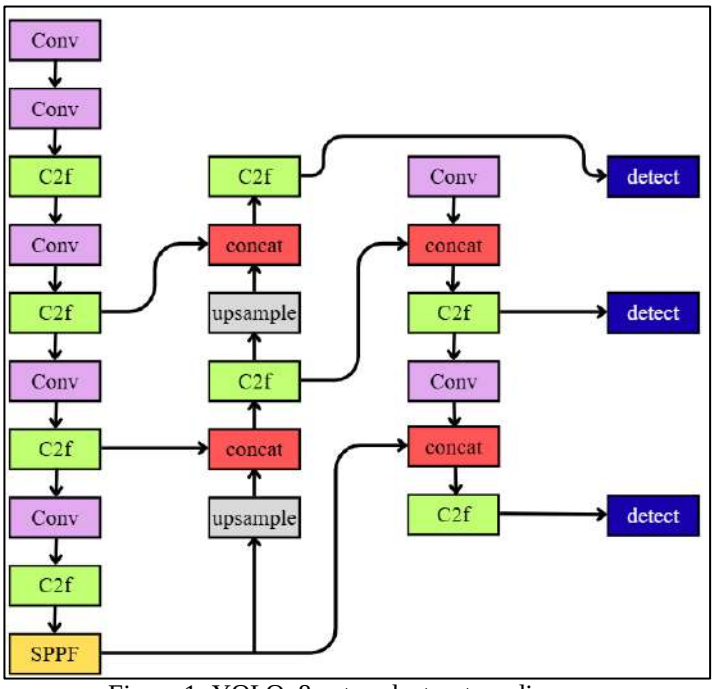


Figure 1: YOLOv8 network structure diagram.
Source: [20].

III.2 BAM ATTENTION MECHANISM

Attention mechanisms are techniques that have been widely used in the field of deep learning to improve model performance by focusing computational resources on the critical parts of the input data. This study focuses on detecting expired date labeling defects, which fall into the category of small-sized objects with visual characteristics that are difficult to identify at a global scale. Although the standard YOLOv8 architecture is equipped with a multi-scale fusion mechanism capable of integrating feature maps from various resolution levels, this study integrates the Bottleneck Attention Module (BAM) to further refine the feature extraction capability of the convolutional neural network. The selection of BAM is based on its ability to enhance feature representation without significantly disrupting the core network structure [21]. In its implementation, the BAM module is strategically placed after a convolutional layer while preserving the original number of network channels to maintain computational efficiency. The architectural configuration of the BAM attention mechanism is visually illustrated in Figure 2.

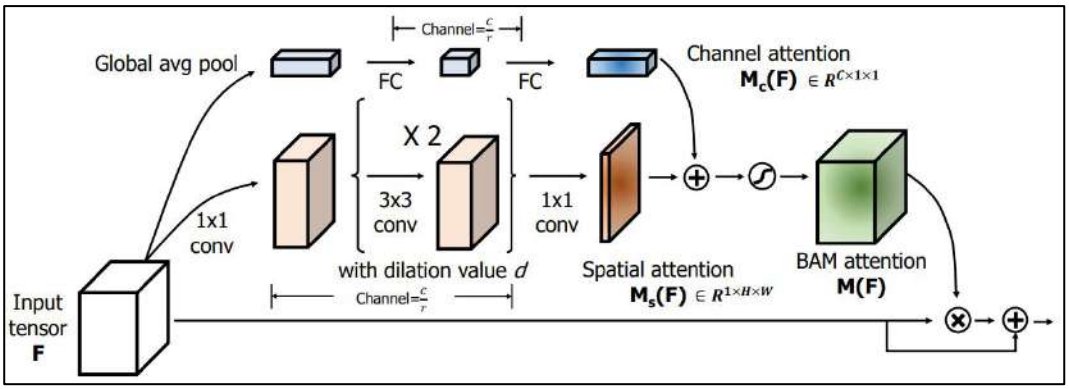


Figure 2: BAM attention mechanism diagram.
Source: [22].

BAM operates by generating an attention map that acts as an automatic information selector within a conventional neural network. The process begins by receiving an input feature map F , which is then processed through two parallel pathways to extract salient characteristics. The final output of this module is a refined feature map, where the attention values $M(F)$ are multiplied element-wise with the original features before being added back to the initial input. This residual learning technique ensures that gradients can flow effectively while simultaneously reinforcing features that are relevant for object detection or classification, as shown in Equation 1.

$$Output\ Feature\ Map \quad F' = F + F \otimes M(F) \tag{1}$$

Mathematically, the attention map $M(F)$ is not generated as a single entity, but rather through the combination of two different perspectives. The first component is channel attention $M_{C(F)}$ and the second component is spatial attention $M_{S(F)}$, which are summed before passing through an activation function. The use of the sigmoid function σ at the final stage aims to map the attention values into the range of 0 to 1. Within this range, the module can function as a "gate" that determines the intensity of information allowed to be propagated to the subsequent layers in the model architecture, as shown in Equation 2.

$$M(F) = \sigma\left(M_{C(F)} + M_{S(F)}\right) \quad (2)$$

The two attention components within BAM have specific and complementary roles in understanding the content of an image. Channel Attention $M_{C(F)}$ focuses on the channel dimension to determine "what" features are the most influential, such as specific textures or colors. On the other hand, Spatial Attention $M_{S(F)}$ employs dilated convolution to understand "where" these important locations are geographically positioned within the feature map. The combination of both allows the model to assign greater weight to defect regions or target objects while suppressing irrelevant background noise.

III.3 PROPOSED YOLOV8 FRAMEWORK ENHANCED WITH ATTENTION MECHANISM

The optimization of the YOLOv8 architecture was performed to improve detection accuracy for expired date labeling defects, which are generally categorized as small-sized objects with subtle and complex visual features. This approach was implemented through the selective integration of an attention mechanism into the backbone of the network to strengthen the model's capability to extract relevant features. In this study, several commonly used attention modules, namely CBAM (Convolutional Block Attention Module) and BAM (Bottleneck Attention Module), were selected as attention mechanism schemes to be experimentally evaluated. Both modules are designed to enhance feature representation by considering channel and spatial information, thereby potentially supporting the detection of small text and numerical characters on product labels. The implementation of the attention mechanism was focused on strategic placement at one of the YOLOv8 backbone layers, specifically the 9th layer, which was selected based on an analysis of feature map characteristics at this stage that were considered most effective for multi-scale feature processing and enhancement prior to the feature fusion stage [15]. This approach is relevant for handling variations in expiration date marking defects, such as printing defects, blurring effects, and incomplete characters, all of which demand a high level of precision during identification.

With this strategy, the core YOLOv8 architecture is preserved, while feature extraction capability is enhanced through the utilization of an attention mechanism that strengthens the representation of regions of interest (ROIs) containing expired date text and suppresses the influence of noise and complex packaging backgrounds. The structure of the YOLOv8 network modified with the integration of the attention mechanism is shown in Figure 3, with the aim of improving the network's ability to emphasize important features and reduce less relevant information. The addition of the attention mechanism (AM) enables the model to adaptively weight both spatial and channel features, resulting in more selective and informative feature representations being forwarded to the SPPF module. The subsequent effect of this process is an improvement in the quality of features entering the neck section, which involves upsampling and concatenation operations for multi-scale fusion. The fused features become semantically richer and more focused on object regions, allowing information integration across resolution levels to be performed more effectively. Finally, in the head section, the features enhanced by the attention mechanism provide higher-quality inputs to the detection layers, thereby contributing to improved detection accuracy, particularly for small or overlapping objects, without altering the main architectural flow or significantly increasing computational complexity.

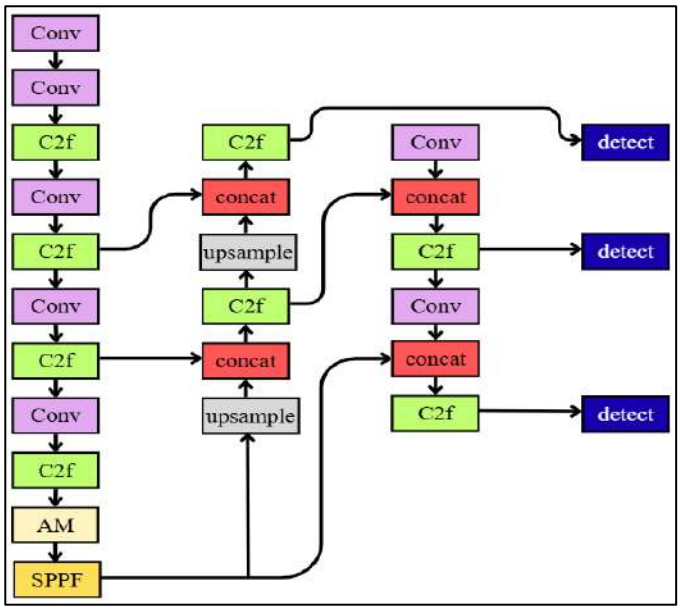


Figure 3: Proposed YOLOv8 network structure diagram.
Source: Authors, (2026).

III.4 CONSTRUCTION OF DATASET

Products that have entered the market should have passed the quality control stage, particularly in terms of expired date labeling. However, due to the influence of human error, products with defective and unreadable expired date labels may still pass through and reach the market. Therefore, the dataset samples were obtained from products already distributed in the market that exhibited expired date labeling defects. The selection of a specific brand aims to train the model to recognize consistent visual characteristics of a single product type, allowing the model to focus on detecting labeling anomalies. The total dataset used in this study consists of 312 images captured using an industrial camera, with 162 images representing products with labeling defects and 150 images representing products that passed quality inspection.

To enhance model generalization, image acquisition was conducted under varying lighting conditions and capture distances. The entire dataset was then randomly split with an 80:20 ratio, where 80% was allocated for training and 20% for testing. Prior to the training process, each image in the dataset underwent an annotation stage. This process involved assigning class labels ("defect" or "Pass") and creating bounding boxes to identify the location and extent of defects on the products. Accurate annotation is crucial to effectively guide the model during the learning process. The annotation process is illustrated in Figure 4, where Figure 4a presents an example of annotation for products that pass quality inspection, while Figure 4b shows the annotation for products in defective (reject) condition.

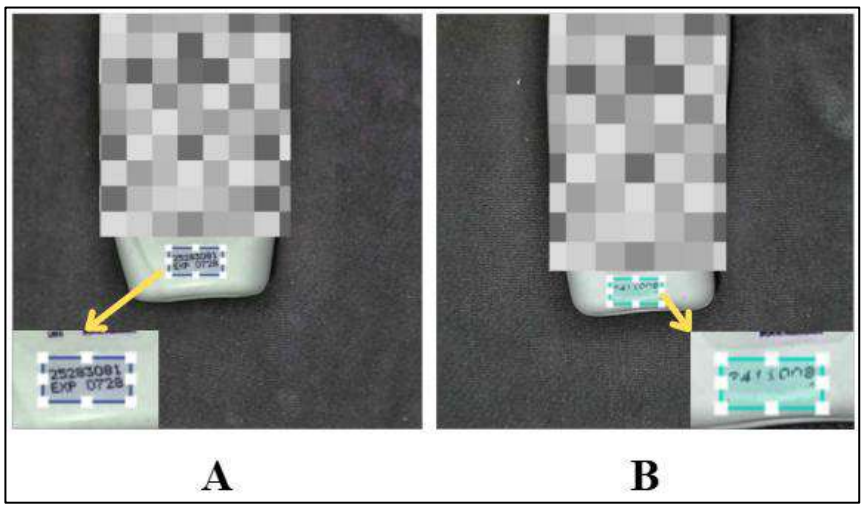


Figure 4: Annotation and labeling dataset.
Source: Authors, (2026).

III.5 PREPROCESSING DATASET

In this study, object classification is divided into two main categories: pass and defect. The "defect" category includes various forms of nonconformity, such as blurred printing, incomplete print results, or partially erased text, which will subsequently be rejected during the quality control process. The dataset was augmented by applying Gaussian Blur and Random Noise methods, which simulate disturbances caused by varying or insufficient lighting conditions that result in high noise levels commonly encountered on production lines. Subsequently, all images were normalized by resizing the pixel dimensions to 300×300. This dimensional standardization ensures input uniformity required by the YOLOv8 model architecture while reducing pixel size to alleviate computational burden. In addition to manual augmentation, YOLOv8 also has the capability to perform internal augmentation during training through Mosaic and Mixup techniques. In Mosaic augmentation, four randomly selected training images are combined into a single frame, enabling the model to learn object recognition in more complex contexts and across diverse scales [23]. Meanwhile, Mixup linearly combines two images along with their labels, creating synthetic samples that can enhance model robustness [24]. The application of both techniques has been proven effective in increasing data diversity and reducing overfitting.

III.6 EXPERIMENT ENVIRONMENT AND PARAMETER SETTING

The experiments in this study were conducted locally by utilizing a computational environment designed to support efficient, stable, and well-controlled model training processes. The use of consistent hardware and software configurations constitutes an essential aspect in ensuring the reliability of the experimental procedures and minimizing result variability caused by differences in execution environments. All experimental environment settings employed in this study are presented in Table 1.

Table 1: Environment configuration.

Name		**Name**	
Video Cards	RTX 3090 Ti	Video memory	24 GB
PyTorch	2.2.1	Python	3.10
Processor	AMD Ryzen 9 7950X	Cuda	11.8

Source: Authors, (2026).

In addition to the computational environment, the selection of model training parameters was carried out systematically to support an optimal learning process. These parameter configurations play a critical role in controlling training dynamics, model convergence, and the stability of the optimization process. Detailed information regarding the parameters used during model training and evaluation is presented in Table 2.

Table 2: Training parameters.

Name		**Name**	
Learning rate	0.01	Weight decay	0.0005
Batch Size	16	Momentum	0.9
Image size	640 x 640	Number of iterations	208
Optimizer	Adam	Patience	100
Dropout	0.0	Nms	False

Source: Authors, (2025).

III.7 EXPERIMENT MODEL EVALUATION CRITERIA

The objective performance assessment of all trained models was conducted through quantitative evaluation using several complementary evaluation metrics to comprehensively describe the strengths and weaknesses of each model. The evaluation criteria employed include Precision, Recall, F1-score, as well as Average Precision (AP) and mean Average Precision (mAP). Precision represents the model's accuracy in classifying the positive class and is calculated based on the proportion of positive predictions that correspond to the actual condition, where a high precision value indicates a low false positive rate, as shown in Equation (3).

$$Precision = \frac{TP}{TP+FP} \tag{3}$$

Recall describes the model's ability to identify all instances that truly belong to the positive class, where a high recall value indicates that the model is capable of minimizing false negative errors and effectively capturing the majority of existing positive cases, as shown in Equation (4).

$$Recall = \frac{TP}{TP+FN} \tag{4}$$

To balance these two metrics, the F1-score is employed, which represents the harmonic mean of precision and recall. A high F1-score value indicates that the model demonstrates stable and optimal performance in maintaining prediction accuracy while simultaneously preserving its ability to detect the positive class, as shown in Equation (5).

$$F1 = \frac{2\,x\,(Precision\ x\ Recall)}{(Precision+Recall)} \tag{5}$$

In addition to these classification metrics, object detection performance is also evaluated using Average Precision (AP), which is a metric obtained by integrating the Precision–Recall curve for a single object class across different confidence thresholds. Subsequently, mean Average Precision (mAP) is calculated as the average AP value across all classes used in this study, namely the defect and pass classes. The mAP@0.5 value indicates detection performance at an Intersection over Union (IoU) threshold of 0.5, while mAP@0.5:0.95 represents the average mAP over a range of IoU thresholds from 0.5 to 0.95, thereby providing a more stringent and comprehensive evaluation of detection quality.

IV. EXPERIMENTAL RESULTS AND DISCUSSIONS

IV.1 COMPARE ANALYSIS OF TARGET DETECTION ALGORITHMS

In this study, a comparative analysis was conducted using three YOLO-based models, all trained and tested on the same dataset. This comparative approach is essential for objectively evaluating the benefits of the proposed enhancement (YOLOv8-BAM) relative to the baseline architecture. The performance comparison of each YOLO model version is presented in Table 3.

Table 3: Comparison of target detection algorithms.

Experiment Algorithms	Precision (%)	Recall (%)	F1 (%)	mAP:0.5 (%)	mAP:0.5-0.9 (%)
YOLOv5	82	93	87	99,3	67,4
YOLOv6	90	96	93	98,8	67,1
YOLOv8	93	96	95	99,5	69

Source: Authors, (2026).

The experimental results indicate that the YOLOv8 model achieves the best overall performance compared to the other YOLO architecture variants evaluated in this study. Specifically, the YOLOv8 baseline attains a precision of 93%, recall of 96%, an F1-score of 95%, mean Average Precision (mAP@0.5) of 99.5%, and mAP@0.5:0.95 of 70%. This robust performance demonstrates the suitability of YOLOv8 as a base architecture for defect detection tasks. The YOLOv6 model follows behind in performance, while YOLOv5 ranks lowest among all compared models. Based on these experimental results, YOLOv8 was selected as the baseline model for further development through architectural modifications with the integration of an attention mechanism, aiming to further enhance detection capability, particularly for small-sized objects and fine-grained defects.

IV.2 ANALYSIS COMPARISON OF ATTENTION MECHANISM

A comparison between attention mechanisms was conducted to highlight the superiority of the Bottleneck Attention Module (BAM) over the Convolutional Block Attention Module (CBAM) within the YOLOv8 architecture. In this experiment, CBAM was integrated at the same location as BAM, namely the 9th layer of the backbone network. CBAM combines channel attention and spatial attention sequentially, adaptively refining feature maps by adjusting the importance of different channels and the significance of different spatial locations. However, CBAM requires separate computations for channel and spatial attention and necessitates feature map alignment across multiple scales. This sequential computation inherently results in higher computational complexity, which can negatively impact overall model performance and inference speed. The relative performance of these different attention mechanism integrations is detailed in Table 4.

Table 4: Performance comparison of attention mechanisms integrated into YOLOv8.

Attention mechanism module	Precision (%)	Recall (%)	F1 (%)	mAP:0.5 (%)	mAP:0.5-0.9 (%)	Latency (ms)
CBAM	100	93	96	99,5	71,6	14,6
BAM	96	100	98	99,5	72,2	13,3

Source: Authors, (2026).

Based on the experimental comparison between the CBAM and BAM attention mechanisms, BAM demonstrates superior performance in the label defect detection task. Specifically, the integration of BAM results in an increase in Recall of 7.5%, an improvement in F1-Score of 2.08%, and an enhancement in detection accuracy (mAP@0.5:0.95) of 0.84%. Although Precision experiences a slight decrease of 4%, the substantial gains in Recall and F1-Score indicate a more balanced and robust detector, particularly in minimizing missed detections, which is a critical requirement in industrial quality control.

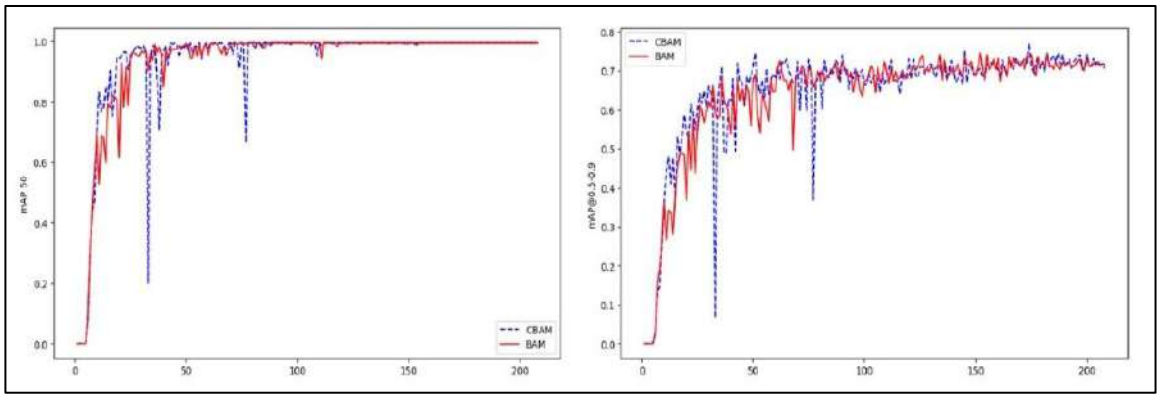


Figure 5: Curve mAP training experiment.
Source: Authors, (2026).

The implementation of the Bottleneck Attention Module (BAM) demonstrates lower inference latency compared to the implementation of the Convolutional Block Attention Module (CBAM). This characteristic is a crucial aspect, considering that defect detection on expired date labels requires high inference speed to enable the system to perform accurate detection and classification in real-time industrial environments. With more efficient latency, the YOLOv8-BAM model is considered more suitable for deployment on production lines that require high-speed visual inspection processes without compromising detection performance. In addition, Figure 5 illustrates a comparison of the model training results with the application of CBAM and BAM based on mAP performance curves over the number of epochs. The observations indicate that the model incorporating BAM achieves faster convergence and exhibits more stable curves compared to CBAM, particularly during the early to mid stages of the training process. The metric fluctuations in BAM tend to be smaller, indicating a more consistent learning process, while the CBAM-based model still experiences several relatively sharp performance drops at certain epochs. In the final stage of training, both models achieve high performance; however, BAM is able to maintain slightly better and more stable metric values. This demonstrates that the application of BAM is more effective in improving the quality of feature learning and contributes positively to the overall model performance. Therefore, based on the experimental results of the attention mechanisms, BAM was selected for integration into the YOLOv8 architecture. Subsequently, Figure 6 presents examples of defect detection results on expired date labels generated by the YOLOv8 model optimized with the Bottleneck Attention Module (BAM). Figure 6a illustrates the visualization of the model's prediction results for products that pass quality inspection, while Figure 6b shows the visualization of the model's prediction results for products in defective (reject) condition.

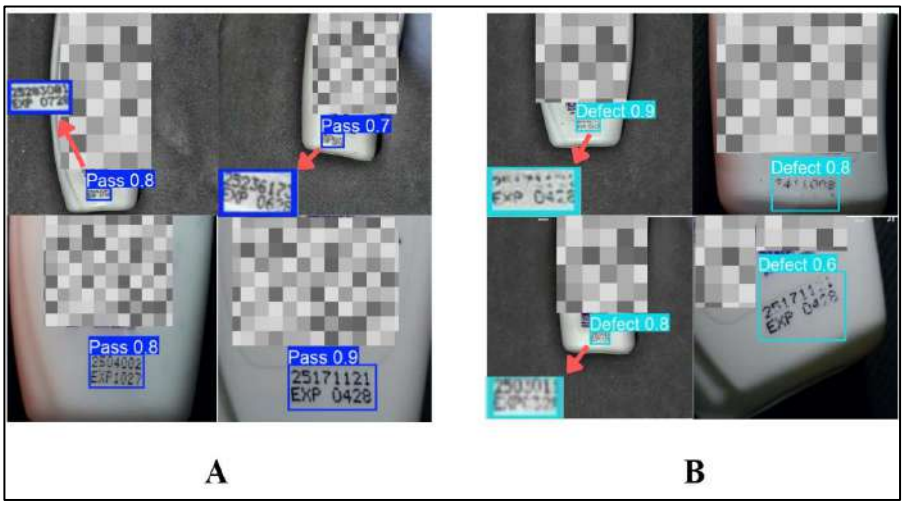


Figure 6: Visual sample result prediction model.
Source: Authors, (2026).

IV.3 CONTRIBUTION OF IMPROVED YOLOV8 ALGORITHM FOR DEFECT DETECTION LABELING EXPIRED DATE

The determination of whether an expiration date label is accepted or rejected depends on its readability for consumers. Traditional methods that rely on manual human inspection are highly susceptible to human error. In addition, the use of rule-based models is prone to detection errors when faced with complex defects and has difficulty adapting to new defect patterns, as classification depends entirely on explicit rules defined by developers. Furthermore, two-stage detection models are difficult to implement in industrial environments, where detection processes must be executed rapidly, which constitutes a major limitation of such architectures. To address these challenges, this study proposes the YOLOv8 model, a single-stage detector that offers high detection speed and the ability to adapt to evolving label defects without the need to explicitly define new rules within the model. For further optimization, the YOLOv8 model was enhanced through the integration of the Bottleneck Attention Module (BAM). This optimization significantly improves the model's performance in detecting and classifying defects in expiration date labels. YOLOv8-BAM achieves notable improvements in evaluation metrics, with Precision increasing by 3.23%, Recall by 4.17%, and F1-score by 3.16% compared to the standard YOLOv8 model. These enhanced results demonstrate that YOLOv8-BAM is a more robust, reliable, and industrially viable solution for automated expiration date label inspection.

IV.4 LIMITATION IN WORK

The construction of this dataset was carried out by collecting product samples that were already circulating in the market. This resulted in limited diversity and complexity of defects in the expired date labels. Consequently, for direct implementation in an active production environment, the model should be retrained with the inclusion of a more diverse dataset. In summary, this study focuses on the enhancement and optimization of the YOLOv8 model, which successfully improves overall model performance in detecting defects in expiration date labels.

V. CONCLUSIONS

This study successfully enhances the baseline YOLOv8 model through the integration of the Bottleneck Attention Module (BAM) attention mechanism, with the primary objective of improving the model's feature extraction capability. Based on experimental results evaluating the effectiveness of this architectural enhancement, the proposed YOLOv8-BAM model demonstrates consistent and significant performance advantages over the standard baseline YOLOv8 model. Testing results show improvements across all major evaluation criteria, with Precision increasing by 3.23%, Recall by 4.17%, and F1-score by 3.16%. These findings indicate that YOLOv8-BAM is not merely an incremental improvement, but rather a more robust, reliable, and industrially viable solution for automated visual inspection systems. Its enhanced ability to balance detection accuracy and prediction speed makes it particularly well suited for automated expired date labeling defect detection applications in industrial environments. The implementation of this model can reduce human error associated with manual inspection and provide an effective solution to the limitations of rule-based models.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Habib Ja'far Nuur.
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Discussion of results: Habib Ja'far Nuur, M. Munadi, Mochammad Ariyanto
Writing – Original Draft: Habib Ja'far Nuur.
Writing – Review and Editing: Habib Ja'far Nuur.
Resources: Habib Ja'far Nuur
Supervision: M. Munadi, Mochammad Ariyanto.
Approval of the final text: Habib Ja'far Nuur, M. Munadi, Mochammad Ariyanto.

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RESEARCH ARTICLE OPEN ACCESS

EXPERIMENTAL STUDY ON STEERING WHEEL PULSE MEASUREMENT-BASED ACTIVE SAFETY SYSTEMS FOR COLLISION PREVENTION

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ABSTRACT

Active safety system plays a vital role in automobile to enhance the safety to prevent the accidents and fatalities. Therefore, accidents are increased day by day and rider safety is striving hard to improve in an automobile. Researchers reported that more than 20 percentage of accidents occurs due to fault of the driver during driving like inattention and health related issues are the predominate one in accidents. The above issues are reduced by using the preferred system and analyze the driver condition while driving. The system shows the health condition in dashboard and displays the heart rate and warns the driver whenever the pulse range is varied more than the normal range. The measuring device mounted in driving wheel and pulse is measured using throb measuring device. The driver positioning his hand on driving wheel and considered as clock position “10 and 12”. The system warns not only to the driver and it warns to the co passengers for indicates the driver is in health issues. The research is carried out especially to prevent the fatality, severe injury and damage to the vehicle in the event of collision.

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I. INTRODUCTION

Modern vehicles depend on automotive safety systems besides to enhance active safety features due to increased rate of accidents. This paper introduces a complete system based on the Internet of Medical Things (IoMT) that uses non-invasive sensors in the steering wheel to track vital signs like heart rate and blood oxygen levels. The goal is to spot health issues as they happen and send warnings to both the driver and passengers to make driving safer [1]. The automotive safety system had developed widely in costlier vehicles only but unfortunately not in low end vehicles. The causes of the accidents are widely investigated and the fatality rate is increased day by day. The statistics describes that safety systems in the low-cost vehicles are lower than the high-cost vehicles and therefore fatality rate also is more than the high-cost vehicles in the event of collision. Every safety feature cannot be incorporated in low-cost vehicles and the research is carried out what kind of safety system can be used to reduce the fatality rate in the low-cost vehicles.

The investigation carried out to reduce the fatality rate and literature points out some causes of collisions in past five years. There the different cases such as drivers fault, over speed, alcohol consumption during driving the vehicle, abnormal health issues, pedestrian crossing and mechanical error in India. The drivers fault fatality rate is 77% more than the other causes it depends on driver violating traffic law mostly responsible for resulting accident, running light in high beam, without experience driving the vehicle and health related issues etc [2]. The article talks about creating a smart steering wheel with sensors that check the driver's health and find signs of sleepiness. It measures things like heart rate, variability, and blood oxygen to quietly evaluate the driver's state, helping to stop accidents from tiredness or sudden health problems [3]. The drunk and driver fatality rate of 16% is raised day today and the system is incorporated to reduce the accidents during consuming alcohol.

The 16 to 20% of fatality is occurred is due to health issues i.e. abnormal health condition of the driver during driving the vehicle it comes under the fault of driver. Another cause of collision is 16 to 20% of due to health issues and the diagnosed health issues are heart attack, hypertension, hyper lipidemia, diabetes mellitus, and gastro intensimal ulcer [4]. The paper explains the design of a smart system that monitors a driver's health in real time from a distance. It uses a smart steering wheel with sensors to keep track of vital signs and sends information to a mobile app to warn the driver or call for help if something is wrong with their health [5]. The monitoring system can spot the behavior signs that a driver is getting fatigue, which can help stop accidents caused by sleepiness [6]. Testing showed that this system can lower the chance of accidents by catching strange driving behavior as it happens during driving and it prevents the collision act as active safety [7]. The analysis found that this system makes braking quicker and more stable, which helps stop the vehicle smoothly and prevent skidding when stopping suddenly using this braking system [8].

This paper looked at how metal and rubber materials design affect how much tools used for boring can dampen vibrations [9]. The research studied the properties of bio-composites made from Aloe vera and hemp fibres [10].The hybrid method was found to be stronger and longer-lasting than other methods, making the joints work better [11]. The study found that this kind of seat belt greatly reduces movement and the risk of injury compared to regular seat belts [12]. The study showed that using IoT improves car performance, makes driving safer, and gives a better driving experience [13]. The results showed that this method is more efficient and produces more water than traditional systems [14]. The findings showed that this system can stop the car automatically to prevent collisions, without the driver needing to do anything [15]. The study explained how continuous monitoring can improve road safety by finding early signs of tiredness or other health issues [16]. The results showed common signs of fatigue, which showed the need for monitoring systems to help prevent accidents caused by reduced alertness.

Testing showed that the system can spot unsafe driving situations and help prevent accidents by acting on its own [17]. Recent studies have focused on improving vehicle performance, safety, and efficiency through numerical analysis and experimental validation. Computational investigations using RANS models indicate that vortex generators can improve airflow behaviour and aerodynamic characteristics in simplified vehicle configurations [18]. Experimental work on diesel engines shows that changes in intake manifold design, along with the use of alternative fuels, can lead to better combustion and improved engine performance [19]. In electric two-wheelers, venturi duct–integrated cooling systems have been reported to enhance thermal regulation and operating efficiency of PMSM units [20]. Research on braking and structural systems highlights their importance in vehicle safety. Experimental evaluation of semi-automatic parking brake systems confirms reliable braking performance while maintaining cost effectiveness [21]. Structural analysis of heavy vehicle chassis demonstrates that appropriate selection of geometry and materials improves stress distribution and load-carrying capacity [22].

Studies using ANSYS optimisation techniques show that advanced materials can improve suspension performance and durability in two-wheelers [23]. Thermal performance improvements using variable geometry micro-channel heat exchangers further support enhanced energy efficiency in automotive air-conditioning systems [24]. Work on active safety systems indicates that hydraulic actuator–based automatic emergency braking systems can improve braking response and reduce accident risk [25]. Studies related to data security highlight the need for privacy-preserving methods in health and monitoring applications [26]. Integration of driver condition monitoring with safety-enhanced braking systems has been shown to improve accident prevention capability [27]. Continued development of automotive braking systems contributes to improved passenger vehicle safety and braking reliability [28]. Combined driver monitoring and active braking strategies further support enhanced overall vehicle safety performance and study shows the measuring devices used for analysising the output results from motorised accurancy is due to sensors [29], [30].

II. MATERIALS AND METHODS

The effective system is one which employed not only to minimize driver injuries but this also protects the driver’s mortality during sudden health concerns. The current systems have numerous auxiliary systems to slow down vehicles; however, they are insufficient to stop injuries or health complications in typical Indian vehicles. The literature points out the condition of driver, leading causes of fatalities and measuring methods of human pulse rate of using sensor-based technology were reported. The collision warning system or object detection system gives the warning signal before collision. Even though systems are placed in the vehicle, collision occurs frequently were reported. Research has shown that the drivers suffering from health diseases are more than 16 to 20 percentage involved in road accident rising day-by-day to drivers even though automatic braking in health issue not yet reported.

The health-related accidents were caused by drivers’ fault while driving were reported and steps to reduce not yet reported (The driver who suddenly suffers from health issues during driving the driver cannot handle the vehicle because during heartache the movement of hands is difficult towards control of the vehicle which results accident). The proposed study consists of a cardiac monitoring device that detects the driver's rhythm under dynamic events. The heartbeat (HB) measurement tool installed in the driver's wheel enable the motorist to place their hands in a specific sensing element. Therefore, the HB measuring device monitors the pumping of the heart beats continuously. The system is built especially for health issues drivers who had already had affected gets advantage. The sensing element is then interfaced to a microcontroller that enables detecting pulse rate in Bpm.

The user can set the high level heart beat and low level of heart beat (say ex.100 beats for high and 60 beats low) After setting the limits, the measuring device starts monitoring 35 the driver, if the driving force heart beat goes on top of a particular limit; the system sends a responsive to the controller that transmits the signal to the actuator to the braking system (future work to design and development of actuator). The system alerts the pedestrian by giving alarm and stoplight for the following vehicle. The flow chart system of a pulse sensor measuring (HB measuring device) shown in figure 1. The HB measuring device detects the driver’s beats drop significantly during driving when they are become low, it alerts the co passenger and the driver who slowly starts to fall in sleep or unconscious if the pulse is low.

In this preferred system the HB measuring device in the driving wheel that senses the sensing area of the fingers and palm area to test the pulse and temperature of the driver. Therefore, the measuring device works as like exercise equipment on a treadmill or a bike user places their hands or fingers over the measuring device to get a pulse rate reading and displayed. So, the driver can place his hand on the driving wheel as they sense the pulse from the driver fingers. Normally HB measuring devices are bulk and large and take too much space to accommodate but for this system a small one is selected that connects to the driving wheel where the driver can hold with the fingers. There are two sensing area on the driving wheel which can sense the both hand or fingers which rest on the diodes of the driving wheel. There it is compatible with an Arduino board and the driver's health condition is monitored and reading is taken from the measuring device as output. The signal information is passed to the Arduino board and it interpret the pulse is low or high depends on the condition. If it is low the system interprets that the rider or driver will be in unconscious or fall as sleep and the signal sends an alert to the driver through display LCD and alarm. The driver monitoring system monitors the health condition and sends messages to nearby hospitals were reported and the decelerating the vehicle not yet reported.

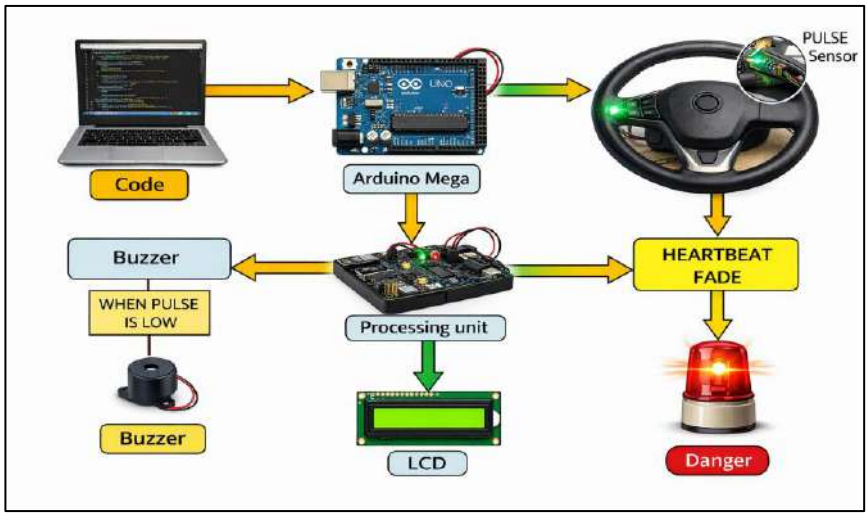


Figure 1: Flowchart of pulse sensing system.
Source: Authors, (2026).

The figure 2 describes the temperature sensor that consists of a lens to focus the infrared (IR) energy on to a detector which converts the energy to an electrical signal that can be displayed in units of temperature after being compensated for ambient temperature variation. The average human body temperature is 37 ℃ (98.6-degree Fahrenheit). The LM-35 is employed to observe the body temperature. The operative temperature ranges of LM-35 from -55 ℃ to 150 ℃. The output voltage varies by 10 mV in response to every degree Celsius rise or fall in close temperature, accuracy level of ±0.25 to ±0.75℃. MLX90614 temperature sensor is used. The body temperature varies depending on the body, a person takes a measurement. The research is carried on 40-60 age groups, (healthy temperature 97.6 – 99.6-degree Fahrenheit). When the health condition changed the body temperature is changed. The normal temperature ranges for the adult 97.6-degree Fahrenheit to 99-degree Fahrenheit as reported as average range by the doctors and literature review. The range for testing in research is less than 96.5 - greater than 102-degree Fahrenheit. When a person's body temperature is dangerously lower than 96-degree Fahrenheit, the brain and body cannot function properly. If left untreated, hypothermia can lead to cardiac arrest (heart stops beating) and leads to death. During heartache the temperature of the body is increased to more than 102-degree Fahrenheit or if driver fall asleep the temperature of body lowers than the normal body temperature which is less than 97-degree Fahrenheit and makes the driver less active. The both sensors (pulse & temperature) act simultaneously at same time, measures the health condition of the driver.

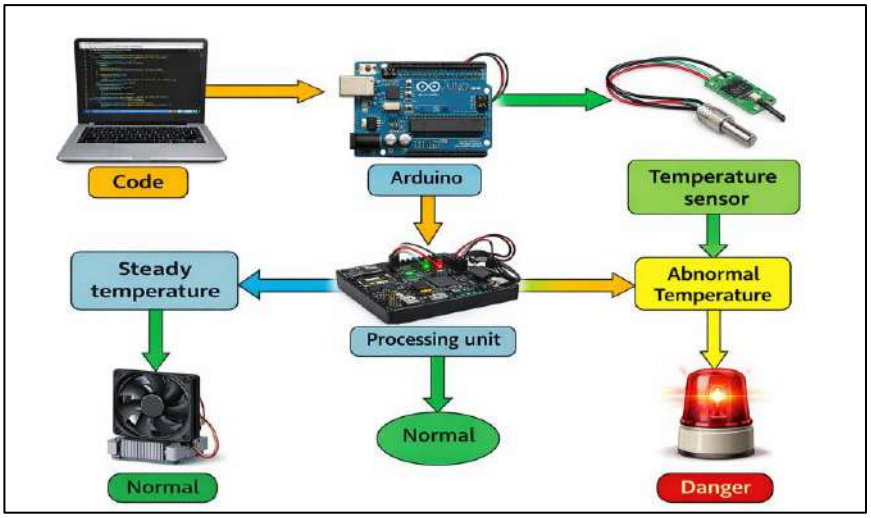


Figure 2: Block diagram of arduino-based real-time temperature monitoring and alert system.
Source: Authors, (2026).

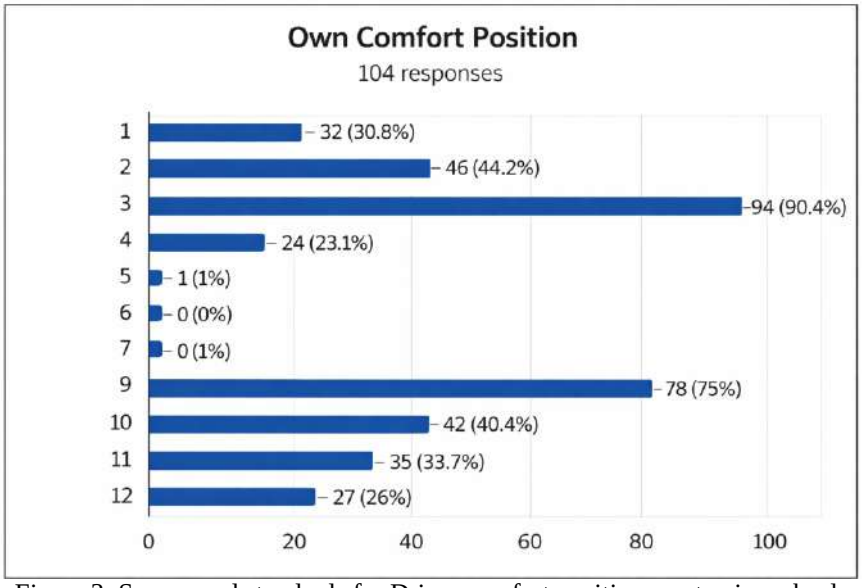


Figure 3: Survey and standards for Driver comfort position on steering wheel.
Source: Authors, (2026).

The figure 3. Shows the driver comfort position. The driving wheel denotes as face of the clock and the positioning of left hand 9, 10 & 8 clock and the positioning of right-hand side is 2, 3 & 4 o'clock. Today, the (NHTSA) recommends the driver to hold the driving wheel in 9 and 3 o'clock positions because lowering the hands on the driving wheel and there is the reason is airbag deploys during an accident. Therefore, placing the hands different positions except 9 and 3 O' clock should not use in the event of safety the study surveyed the positions of hands also and chart shows the maximum placing hand positions and best positions and it defines that NHTSA standard position is the best and safest position to prevent the accident. Figure 4 shows the placement of sensors on the steering wheel using a clock-face representation to indicate hand positions. The IR pulse and Temperature sensors are mounted on the left and right sides of the steering wheel at the 9 o'clock and 3 o'clock positions, which are commonly recommended for safe driving. These positions allow continuous monitoring of the driver's pulse rate and hand temperature during vehicle operation. The selected locations ensure stable hand contact and reliable signal acquisition without interfering with steering control. This arrangement also supports safety considerations related to airbag deployment and driver comfort.

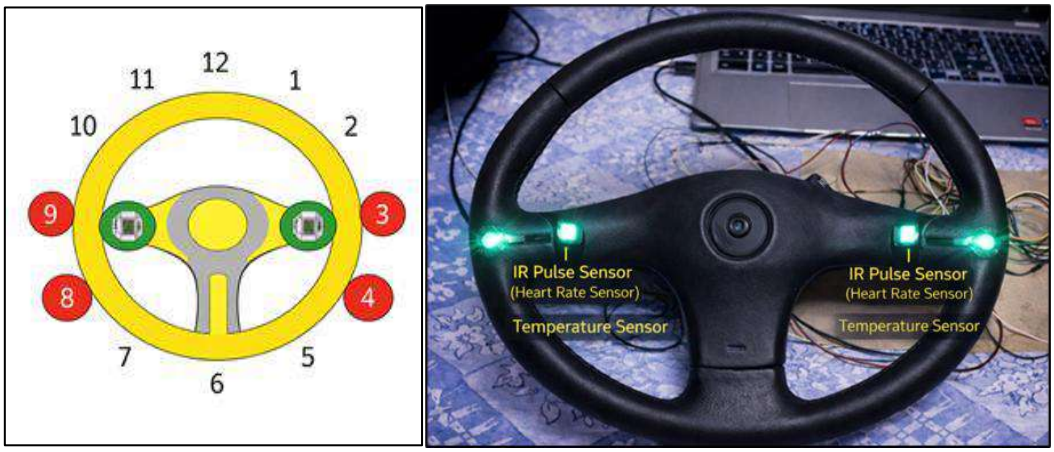


Figure 4: Sensor positions on steering wheel.
Source: Authors, (2026).

The infrared sensor is responsible for sending infrared light to the body shown in figure 5. This sensor has a pair of transmitter and receiver. Using photodiode detect reflective light from the body and this signal is sent to the microcontroller to detect heartbeat. AT mega 328P, CMOS 8-bit AVR micro-controller with LM324 32KB bytes of in-system programmable ISP Flash memory, 2KB bytes of RAM, 32 I/O lines. A Liquid emitting diode is used to display the heart beat in Beats per Minute (bpm). Operating Voltage: +5V or +3.3V, Current Consumption: 4mA Inbuilt Amplification and Noise cancellation circuit. Diameter: 0.625", Thickness: 0.125" Thick, the accuracy level of pulse sensor is 2-3%. The proposed system is to collect the driver's data samples in age group from 40 – 60 (adults). The drivers are selected on these age groups for research by consulting the cardiologist and from literature review. The prevalence report says that maximum collision occurs in the adult age group, therefore maximum and minimum pulse range is more than 100bpm and less than 60bpm which is abnormal or dangerous for the drivers. Normally pulse sensors are bulk and large and take too much space to accommodate but for this system a smaller one has been selected that hooked to the steering wheel where the driver can place the finger or palm over sensor.

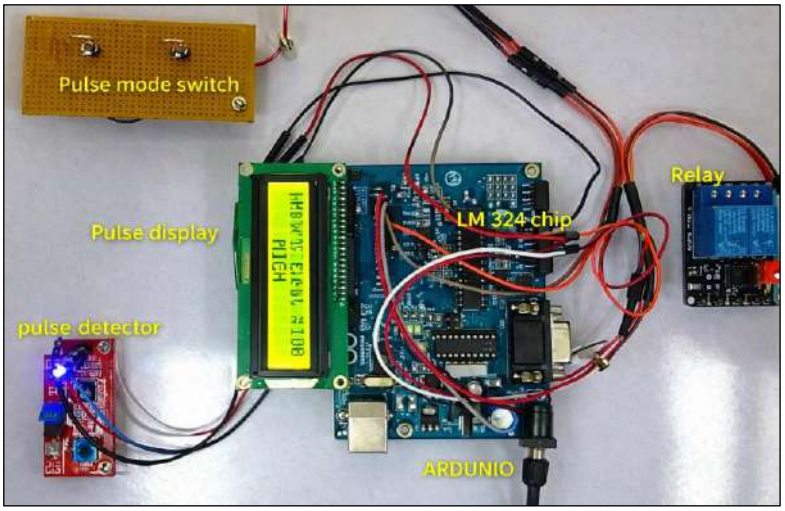


Figure 5: Controller of HB measuring device.
Source: Authors, (2026).

III. RESULTS AND DISCUSSIONS

The developed system sensing the sensor output is tested the efficiency of the measuring device with the conventional system and tested in prototype and real time model. The vehicle tested with the sensor sensing technology on static condition by cranking the engine in idling stage for measuring the condition of the driver. The sensor accuarcy aslo tested during the static condition and by considering the atmospheric temperature and wind condition. The sensor compatibilty is tested in idling condition because of vibration and noise from the engine comparetment to find any changes in sensor accuracy is analysed and validated the accuracy. If the pulse is abnormal the indication is displayed in dashboard and warning signal will be given in the event of emergency. Its unpredictable or measure the abnormal person for testing the developed system. For alerting or warning, the normal pulse rate set as abnormal rate for testing purpose. Therefore warning signal as alarm with stopping light had indicated for safety and pulse displayed in the dashboard.

The throb measuring device or HB measuring device output is tested and validated with the conventional electrocardiogram. The temperature measuring device also tested and validated with the conventional type thermometer. Both the measuring devices are tested the efficiency and got the output values of the proposed measuring device system. The system is tested with maximum trials for the individual people of the age group and the average pulse rate is taken for the research as shown in table 1 and plotted in figure 6. The table 1 shows the various pulse readings obtained from ECG and HB measuring device with the error rate. The table indicates the pulse rate of the conventional type of monitoring the heartbeats by using electrocardiogram. The HB measuring device which consists of photo diode it measures the pulse rate of the driver.

The HB measuring device which is tested for the propose system and to find the efficiency of the measuring device. The HB measuring device output is measured or tested using the adult age groups for the research and the measured pulse rate listed. The error rate of the measuring device is validated by using the error rate formula during static condition [11-22]. The adult age from 40 to 60 is taken for the research for testing the pulse rate of the individuals is show in table. The accurate pulse rate and measured pulse rate shows the variation of pulse and the maximum error 0.02 for the HB measuring device reading. The testing of pulse rate of the adult age groups also tested in real time model for measuring the error during dynamic condition. The HB measuring device is mounted in the driving wheel of a car and this measuring device is contact type measuring device which is to be hold during driving.



Figure 6: In-vehicle testing of steering wheel-integrated IR pulse and temperature sensing unit.
Source: Authors, (2026).

Table 1: Comparison of pulse rate measurement with ECG.

Age	Actual pulse rate from ECG (Bpm)	Measured pulse rate from Pulse sensor (Bpm)	Error	Body Temperature (*F)
40	76	77	0.013	97.6
45	75	77	0.026	98.7
48	75	74	0.013	97.6
50	82	83	0.012	99.2
54	83	84	0.012	98.1
58	86	87	0.011	97.8
60	79	78	0.012	99.6

Source: Authors, (2026).

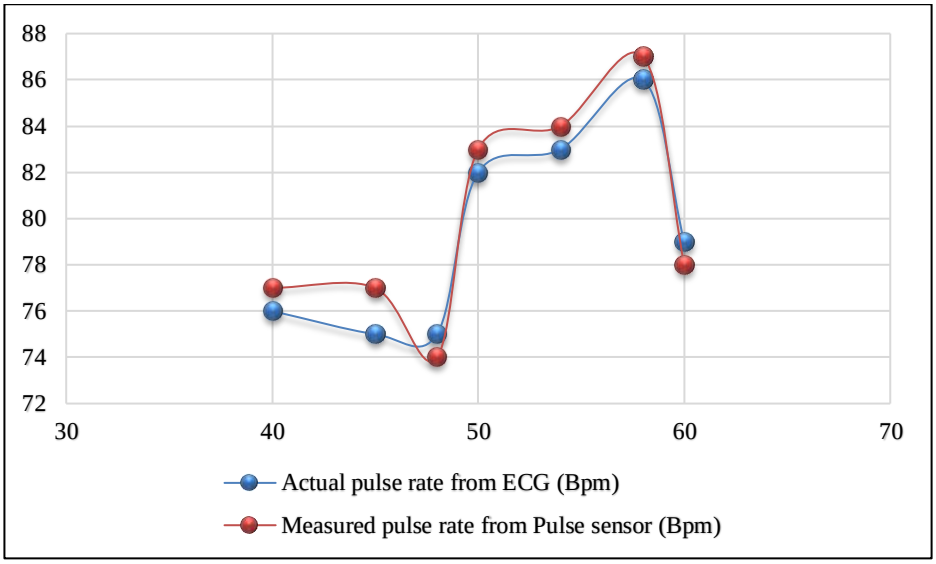


Figure 7: Effect of pulse rate on age group.
Source: Authors, (2026).

The figure 7. compares the actual pulse rate obtained from ECG with the pulse rate measured using the pulse sensor for different test conditions. Both curves show a similar trend, indicating close agreement between the measured and reference values. Minor deviations are observed at a few points, but the overall difference remains small across the range. The measured pulse rate follows changes in the actual heart rate effectively. These results indicate that the pulse sensor provides reliable pulse measurements for real-time monitoring.

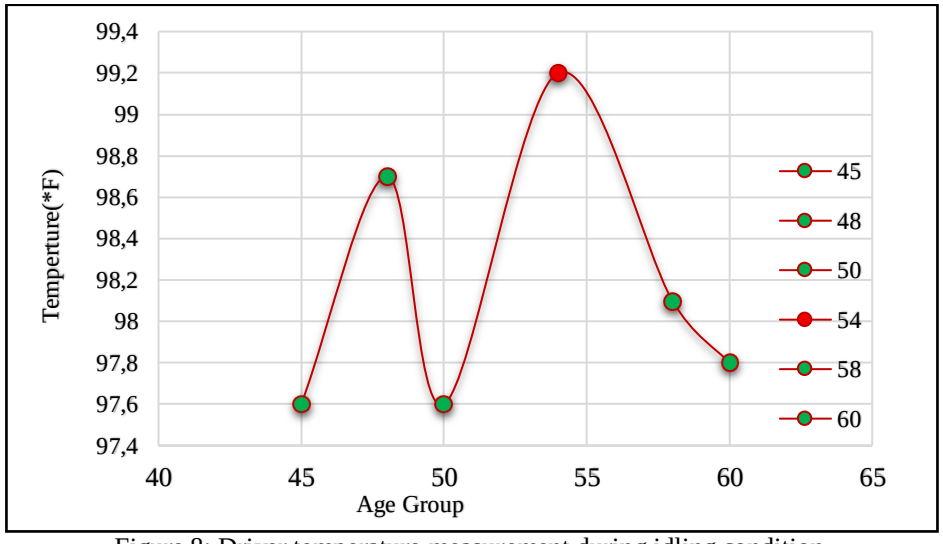


Figure 8: Driver temperature measurement during idling condition.
Source: Authors, (2026).

Figure 8. presents the variation of driver body temperature measured during idling conditions across different age groups. The recorded temperature values remain within a narrow range, indicating stable physiological conditions during idle operation. A slight rise in temperature is observed in the middle age group, followed by a gradual decrease at higher ages. No sudden or abnormal temperature fluctuations are noted in the measurements. Overall, the results indicate that idling conditions have minimal influence on driver body temperature.

If the temperature is abnormal the indication is displayed in dashboard and warning signal will be given in the event of emergency vice versa to pulse sensor measurement. Its unpredictable or measure the abnormal person for testing the developed system for alerting or warning the normal temperture set as abnormal tempetrature for testing purpose the warning signal as alarm with stopping light had indicated for safety and temperature displayed in the dashboard.

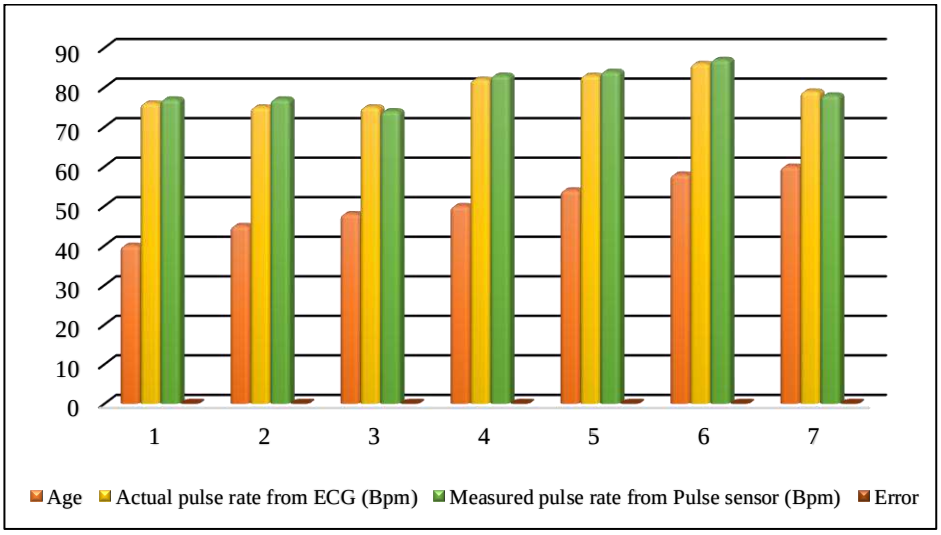


Figure 9: Comparison of actual and measured pulse rate with error variation across test subjects.
Source: Authors, (2026).

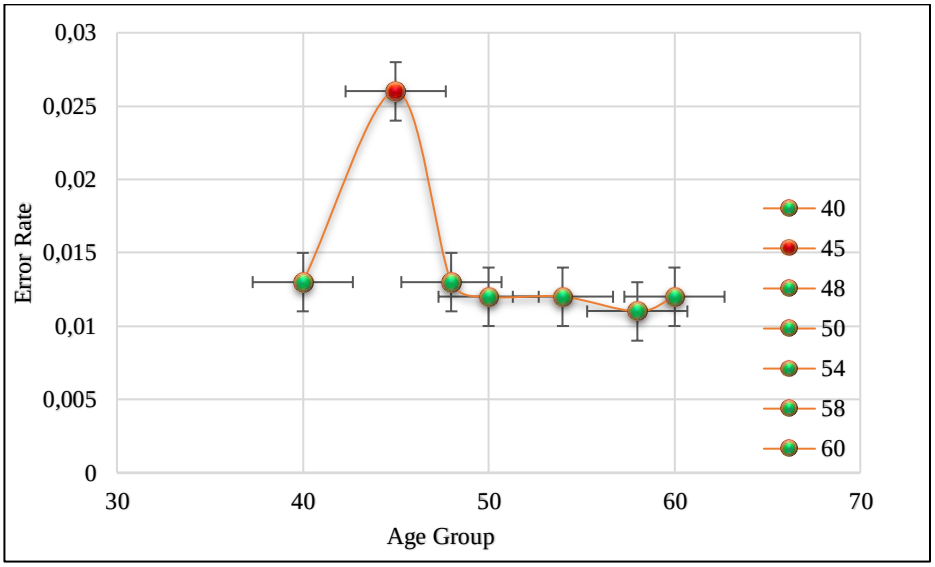


Figure 10: Error rate of proposed system over conventional system.
Source: Authors, (2026).

The figure 9 shows a comparison of actual pulse rate measured using ECG and the pulse rate obtained from the pulse sensor for different test cases. The measured values closely match the ECG readings, indicating good agreement between the two measurement methods. The error values remain small across all cases, showing consistent sensor accuracy. The results also indicate stable pulse measurement over different age groups. Overall, the pulse sensor demonstrates reliable performance for real-time heart rate monitoring applications. The figure 10. compares the actual pulse rate obtained from ECG measurements with the pulse rate measured using the pulse sensor for different test cases. The results show that the measured pulse rate closely follows the ECG values across all cases, with only minor deviations. The error values remain low, indicating good accuracy and reliability of the pulse sensor for monitoring heart rate under the tested conditions.

IV. CONCLUSION

The developed system senses the condition of driver and enchances the active safety systems to prevents collision using the sensor based technology. The displayed system shows the pulse and temperature rate of the driver in the dashboard in order to know the condition of the driver to the co passengers in the vehicle. The preferred system is designed elegance and accurately monitors the condition of the driver in static and dynamic condtions under limited speeds. The system explicitly enhanced sophisticatedly with an active safety system and alert mechanism is developed for the indian vehicles and for the auto industry manuafactures to reduce the fatality rate. The fatality rate is reduced by monitoring the fault of driver and the life of the rider is safe by preventing the collision in the emergency sistuations. The system supports to reduce the fatality, severe injury and vehicle damage. These developed sensor based technology is combined with the actuator in future work , where it activates the brake to stop down the vehicle gradually.

V. AUTHOR'S CONTRIBUTION

Conceptualization: C. Dineshkumar, Ibrahim Yakoopali.
Methodology: C. Dineshkumar, Ibrahim Yakoopali.
Investigation: Ibrahim Yakoopali, P D Jeyakumar.
Discussion of results: C. Dineshkumar, Ibrahim Yakoopali, P D Jeyakumar.
Writing – Original Draft: Mohammed Rizwan, T E Sarankishore, A Mohamed Ibrahim.
Writing – Review and Editing: Mohammed Rizwan, T E Sarankishore
Resources: C. Dineshkumar, P D Jeyakumar, A Mohamed Ibrahim.
Supervision: P D Jeyakumar, Mohammed Rizwan, A Mohamed Ibrahim.
Approval of the final text: C. Dineshkumar, Ibrahim Yakoopali.

VI. REFERENCES

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RESEARCH ARTICLE OPEN ACCESS

DESIGN AND OPTIMIZATION OF MICRO-BLADE PASSIVE FLOW CONTROL FOR TOTAL PRESSURE LOSS REDUCTION IN AN AXIAL COMPRESSOR CASCADE

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ABSTRACT

The present paper investigates the aerodynamic influence of a micro-blade (MB) flow control in a low-speed axial compressor cascade, through a combined two-dimensional (2D) optimization and three-dimensional (3D) validation framework. The influence of the MB's key geometric parameters, including chord length, camber angle, stagger angle, and maximum thickness, as well as spatial positioning, was systematically analyzed to identify the optimal configuration. Results reveal a size-wake trade-off; small elements fail to sustain meaningful momentum exchange, whereas large elements introduce excessive blockage and wake losses. An intermediate chord of 20% of the main blade, combined with a medium element maximum thickness (5% of the MB chord) and 50° camber, provides the most favorable compromise, achieving a 55.56% reduction in total pressure loss coefficient (TPL) under stall conditions. The optimized MB was subsequently evaluated in a 3D cascade configuration to examine its influence on corner separation and 3D flow structures across design and off-design inlet flow angles. The 3D results showed a clear reduction in the corner separation spanwise extent, especially at high incidences, though a TPL penalty is observed at the nominal design angle, where the baseline flow is already attached. Overall, the findings demonstrate that carefully optimized MB can effectively mitigate losses and enhance compressor operability when geometry and placement are properly designed.

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I. INTRODUCTION

Modern axial compressors are increasingly facing performance demands over a wide range of operating conditions. The pursuit of a higher-pressure ratio and lower fuel consumption has involved a higher blade loading, and consequently, the emergence of complex flow phenomena such as boundary layer separation, corner stall, and secondary flows is now inevitable. In low-speed compressors, such flow phenomena produce low-momentum zones that can block the flow and reduce static pressure rise, leading to increasing losses and risking stall [1]. Passive flow control techniques have emerged as effective solutions to mitigate these adverse flow phenomena with simplicity and without any external energy input, unlike active control systems [2]. These devices use small geometric modifications to energize the boundary layer or redistribute the secondary flow. For example, vortex generators and endwall fences have been shown to create streamwise vortices that suppress crossflow and corner stall, thereby extending the stall margin [3-7]. Such passive devices have contributed to notable gains; the addition of a vortex generator (VG) to a highly loaded compressor cascade reduced the total pressure losses by about 8.3% [8], and a strategically placed endwall fence was reported to reduce the loss coefficient up to 9% [9]. These results highlight that surface additions (or cuts) can significantly improve compressor performance. Beyond conventional VGs and slots, micro-scale flow control elements are currently attracting interest. For example, micro-vortex generators (MVGs) of various shapes can delay stall and reduce losses by about 9.36% [10].

More recently, a "fish scale" array applied to the suction side has been experimentally shown to generate small upward vortices that entrain the low-momentum endwall flow; this design reduces the total pressure loss by 5.69% [11]. Such studies demonstrate that even very small passive elements can improve mixing and reduce separation in low-speed compressor flows. In parallel with these advances, a promising approach has received little focus; discrete micro-blades (small airfoil) placed in the passage upstream of the separation onset. Unlike shallow ribs or ramps, a full-span micro-blade could generate a "suction surface jet" [12], preventing the buildup of low-momentum fluid in the passage region. Ma & Sun [13] investigated the spatial positioning of a "little blade," focusing on its placement within the cascade passage. Their work demonstrated a measurable sensitivity to axial positioning according to incidence angle; similarly, Guo et al. [14] explored the impact of different spatial locations, stagger angles, and heights of a "little blade", with the optimal configuration yielding a 10.38% drop in the total pressure loss coefficient at near-stall condition.

However, optimizing these devices for practical applications remains difficult due to the complex interactions between the device geometry, spatial positioning, and operating conditions. The aerodynamic influence of the micro-blade's geometric design parameters has received considerably less attention; most previous studies on micro-blades have mainly concentrated on the effects of spatial positioning, while the geometric optimization of the micro-blade itself remains largely unexplored. Building on this background, the present study conducts a comprehensive two-dimensional computational optimization of the combined effects of the micro-blade's spatial positioning (axial and circumferential), geometric parameter design (stagger angle, camber angle, maximum thickness, chord length), and operating conditions (inflow angle) within a unified parametric framework, followed by a 3D investigation of the optimal configuration to verify its impacts on the corner separation and secondary flow. This comprehensive approach allows for the identification of parameter interactions and optimal configurations that would be missed by single-variable studies.

II. METHOD

The numerical study was conducted on a low-speed linear compressor cascade employing the NACA 65(10)18 airfoil profile, using a chord length of c=0.127 m. The detailed geometrical specifications of the cascade are summarized in Table 1. Initially, a 2D investigation was carried out in order to conduct a systematic parametric study on the flow control element. The approach consists of successively modifying the geometric design parameters of a microblade (MB) under different inlet flow angles (β) and monitoring its impact on the aerodynamic performance of the cascade. In its primary state, the MB appears as a symmetric plate with a double-circular-arc (DCA) profile type and zero camber angle, positioned in the proximity of the main blade suction side (see Figure 7). An optimization process was then performed based on the MB's spatial locations (axial and circumferential positions) and geometric design parameters, including camber angle, stagger angle, chord length, and maximum thickness at different off-design inlet flow angles.

Table 1: Geometric parameters of the compressor blade.

Parameter	Value
Chord (m)	0.127
Solidity	1.25
Stagger angle (°)	13
Aspect ratio	1

Source: Authors, (2026).

Once the optimal design and positions were identified in the 2D computational cases, the study was extended to a three–dimensional (3D) configuration. The 3D simulations served for the assessment of the influence of the MB on corner stall and flow structures.

II.1 PERFORMANCE PARAMETERS

The aerodynamic performance of the compressor cascade was evaluated using global loss coefficients, and local boundary layer integral parameters. The total pressure loss coefficient (TPL) was employed as the primary metric to quantify aerodynamic losses, defined as

$$TPL = \frac{P_{t,1} - P_{t,2}}{P_{t,1} - P_1} \tag{1}$$

Where $P_{t,1}$ and $P_{t,2}$ denote the mass-averaged total pressure at the inlet and outlet boundary, respectively, and P_1 is the inlet static pressure. To evaluate the improvement (or deterioration), the change in TPL was introduced as:

$$\Delta TPL = TPL_{baseline} - TPL_{micro-blade} \tag{2}$$

Where positive values of ΔTPL indicate reduced losses, while negative values denote deterioration. The static pressure coefficient is defined as:

$$Cp = \frac{P - P_1}{P_{t,1} - P_1} \tag{3}$$

Here, P denotes the local static pressure. The mass-averaged Cp at the outlet boundary (Cp') is employed to quantify the diffusion of the cascade [12]. To investigate boundary layer behavior, the classical integral parameters were extracted along the suction surface of the main blade. The displacement thickness δ^* and momentum thickness θ are given by:

$$\delta^* = \int_0^\infty \left(1 - \frac{u}{u_\infty}\right) dy \tag{4}$$

$$\theta = \int_0^{\infty} \frac{u}{u_{\infty}}\left(1 - \frac{u}{u_{\infty}}\right) dy \tag{5}$$

Where u and u_{∞} are the local and free-stream velocities, respectively. The shape factor is given by:

$$H = \frac{\delta^*}{\theta} \tag{6}$$

The axial position (X) of the MB is expressed in percentage of the main blade axial chord, given by:

$$\mathrm{X} = \frac{d_x}{\mathrm{Cx}} \times 100 \tag{7}$$

Where d_x represents the axial distance between the leading edges of the main and micro blades, and Cx is the main axial chord length. The circumferential position (Y) of the MB is expressed in percentage of pitch; it is given by:

$$\mathrm{Y} = \frac{d_y}{s} \times 100 \tag{8}$$

Where d_y represents the circumferential distance measured from the leading edge of the MB to the main blade suction side, and s denotes the blade spacing length

II.2 SOLVER SETTINGS AND NUMERICAL VALIDATION

A single-blade passage of NACA 65(18)10 linear compressor cascade was conducted using the commercial CFD solver Ansys Fluent, limited by periodic boundaries to represent the circumferential domain. The simulation employed the steady incompressible Reynolds-averaged Navier–Stokes (RANS) equations, closed using the two-equation k-ω shear stress transport (SST) as a turbulence model [15], chosen for its robustness in predicting adverse pressure gradient and boundary layer separations. The inlet boundary conditions were defined by specifying the free-stream velocity components, along with the corresponding turbulence intensity and characteristic length scale. The simulation was conducted under operating conditions corresponding to a chord-based Reynolds number of 245000. Constant thermophysical properties of air were assumed. Convergence was considered based on normalized residuals falling below 10^{-5} for continuity, momentum, and turbulence transport equations, with monitoring of TPL, and Cp on the blade surfaces.

III.2.1 Two-dimensional Cascade

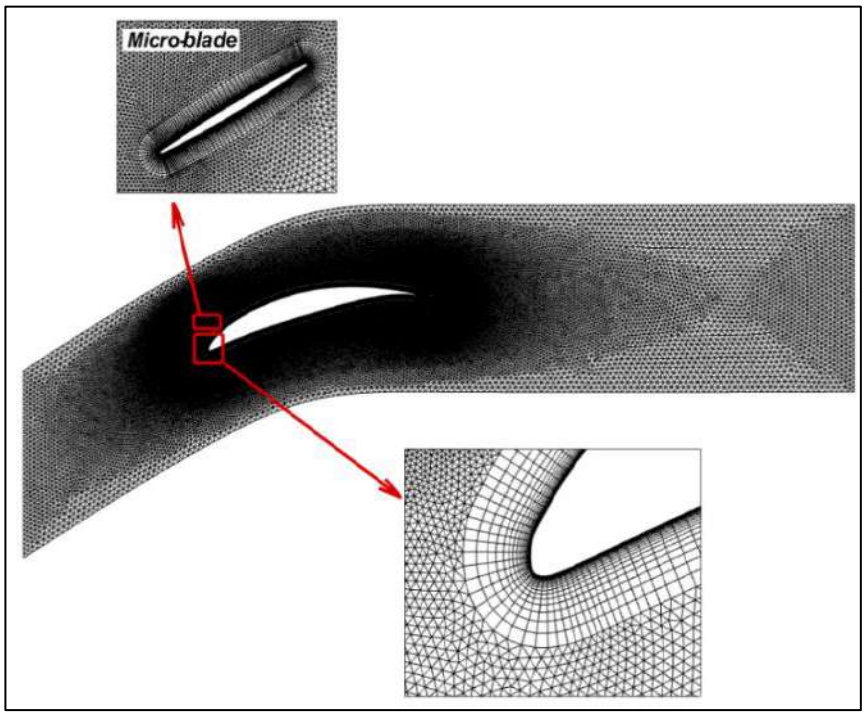


Figure 1: 2D Computational grid.
Source: Authors, (2026).

The 2D domain was meshed with a hybrid unstructured grid using Gambit software. Figure 1 shows the 2D computational grid of the controlled case. To precisely capture the boundary layer development, a refined clustering with 20 inflation layers was applied to all solid walls with 1.25 and 1.15 growth ratios for the main blade and the MB, respectively.

In order to guarantee $y+ < 1$, the first cell height at the walls was set to 1×10^{-5} m, Figure 2 (right) shows the dimensionless first cell height at the blade wall boundary. A grid independence study was carried out by refining the mesh at boundaries and solid walls, as illustrated in Figure 2 (left). A final mesh size of about 76000 cells was selected, as further refinement produces negligible variation in TPL, with a total of 410 discretization points around the main blade airfoil.

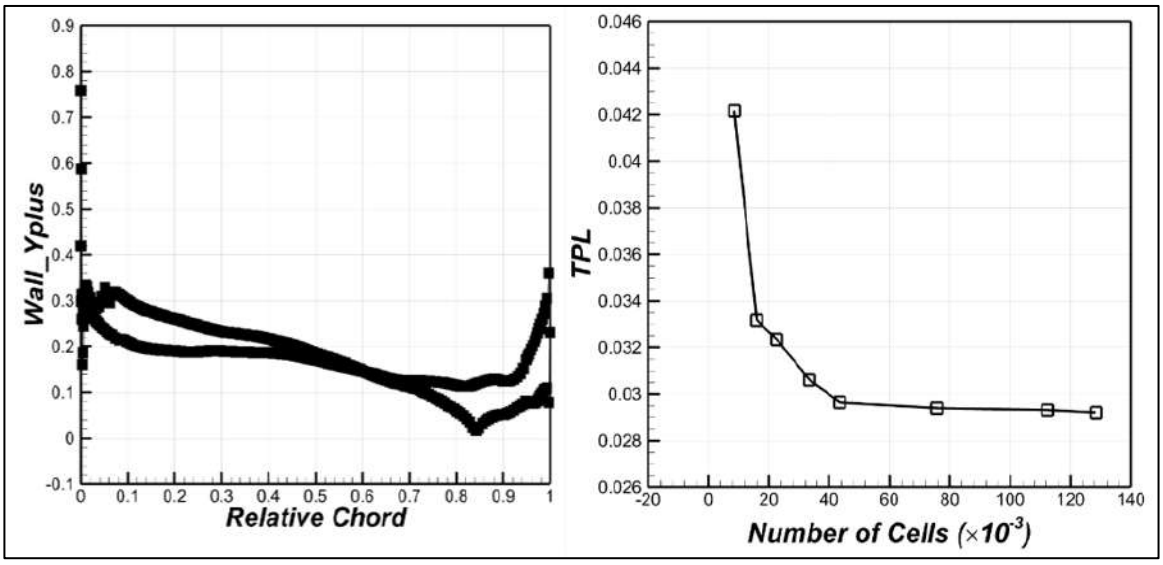


Figure 2: Dimensionless first cell height at the main blade walls (right), grid independence study (left).
Source: Authors, (2026).

To guarantee the reliability of the numerical setup, the calculated results of the baseline case (without flow control) were validated against the experimental measurements reported in [16]. Figure 3 shows the corresponding validation in terms of Relative Dynamic $S = 2(p_{t,1} - p)/(\rho {W_1}^2)$ (where W_1 is the upstream velocity), across the Relative Chord (x/c). The numerical results obtained using the k-ω SST turbulence model show excellent agreement with the experimental data.

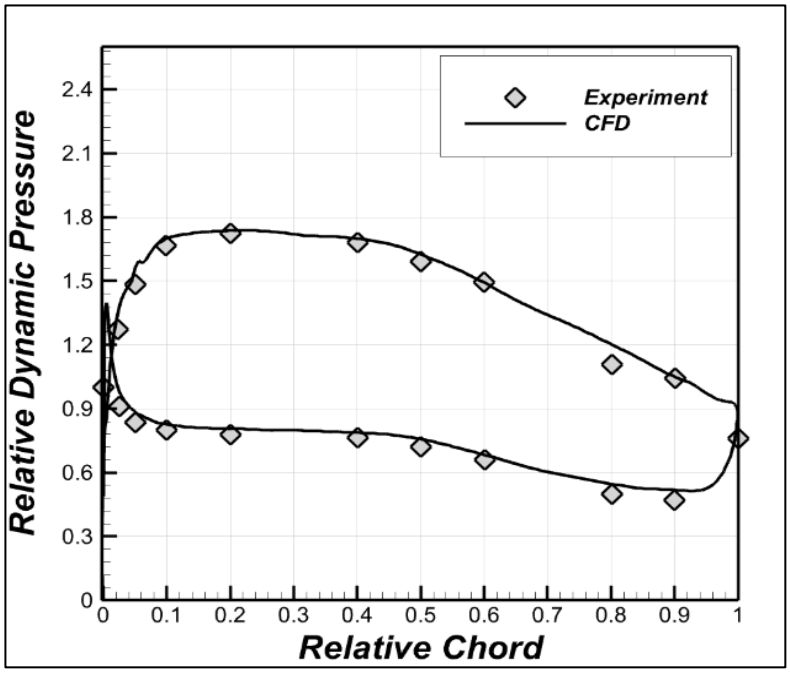


Figure 3: Comparison of measured and calculated relative dynamic pressure for the baseline configuration.
Source: Authors, (2026).

II.2.2 Three-dimensional Cascade

Following the two-dimensional parametric study, the optimal MB configuration was further investigated in a three-dimensional cascade case to capture its effect on corner separation and 3D flow structures. The same airfoil geometry used in the 2D study was retained with the addition of an aspect ratio of AR=1 to maintain a representative three-dimensional configuration.

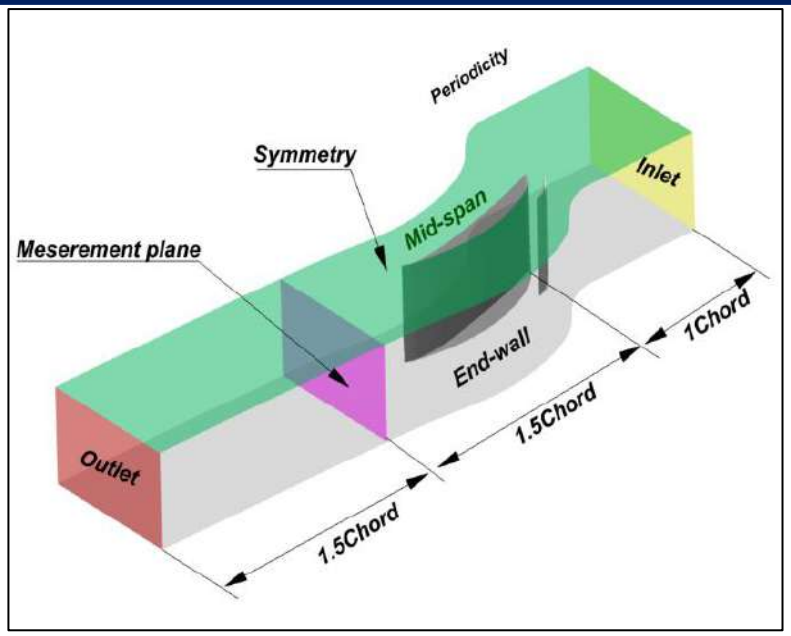


Figure 4: Computational 3D domain and boundary conditions.
Source: Authors, (2026).

Figure 4 illustrates the corresponding computational 3D domain and boundary conditions. By exploiting the symmetry of the geometry and to reduce computational costs, only half of the spanwise domain was modeled with a symmetry boundary condition imposed at the mid-span plane. The performance parameters were evaluated at a downstream location corresponding to 1.5 times the blade chord from the leading edge. Like the 2D computational case, the domain extends one chord length upstream of the leading edge and two chords downstream. The 3D computational grid was generated using Numeca Autogrid 5, employing a fully structured O4H topology (see Figure 5) to ensure high grid quality and low numerical diffusion. Special attention was given to the near wall region, with a first cell height of 1×10^{-5} m, resulting in an average dimensionless wall distance $y+ < 1$ across all solid boundaries. A similar compressor cascade was modeled by Ramzi & AbdErrahmane [17], with full-span configuration using approximately 1 million grid points. However, in the present investigation, since only half of the span was considered, a mesh of about 855.000 points was adopted.

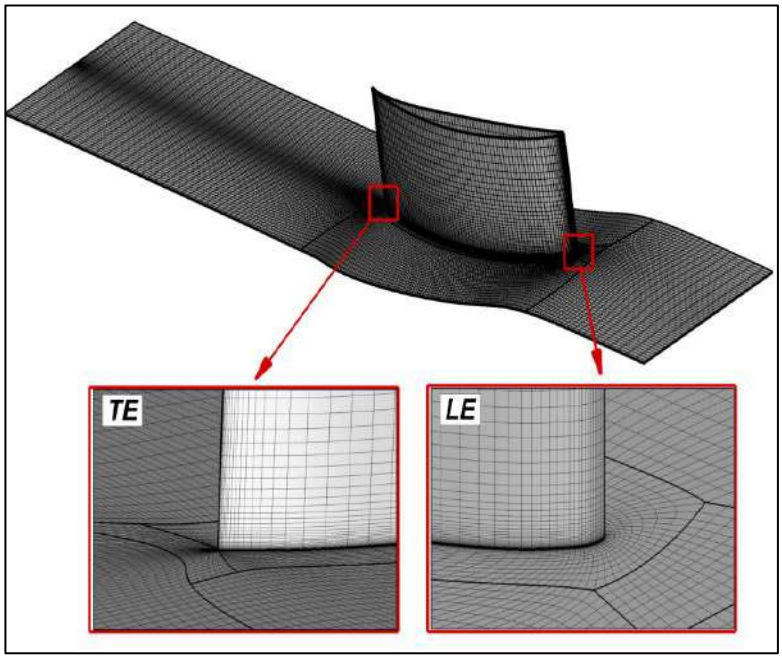


Figure 5: 3D Computational grid.
Source: Authors, (2026).

Direct numerical data of the NACA 65(18)10 cascade with endwall effects are not available, as the original tests were conducted under 2D conditions with endwall boundary layer removal [16]. In order to investigate the effectiveness of the optimal MB flow control on the 3D corner separation, it was necessary to adopt an alternative validation approach. Following the approach adopted by Ref. [17], the present solver was validated through comparison with the experimental data of Takahashi et al. [18], who investigated the 3D flow characteristics of a NACA 65 cascade. The reference cascade was characterized by an aspect ratio of AR=2.3, a solidity of 1.08, with 30.1° and 32.2°, camber and stagger angles, respectively. The experiments were performed at an inlet flow angle of 47.1° and a Reynolds number of 2.2×10^5 based on chord length.

The validation of the numerical model was carried out by comparing the circumferentially mass-averaged TPL across half of the blade span, at a downstream position of 1.5c from the leading edge, with the available experimental measurements. As shown in Figure 6, the numerical prediction follows the experimental trend, with only minor deviations, especially in the corner region. In general, the comparison shows good agreement, demonstrating the accuracy of the numerical setup in capturing endwall boundary layer development and corner separation. Consequently, although the geometry differs from the present cascade, the underlying physical mechanisms were validated. This provides confidence in applying the same numerical methodology to the current 3D configuration (NACA 65(18)10) with micro-blade flow control.

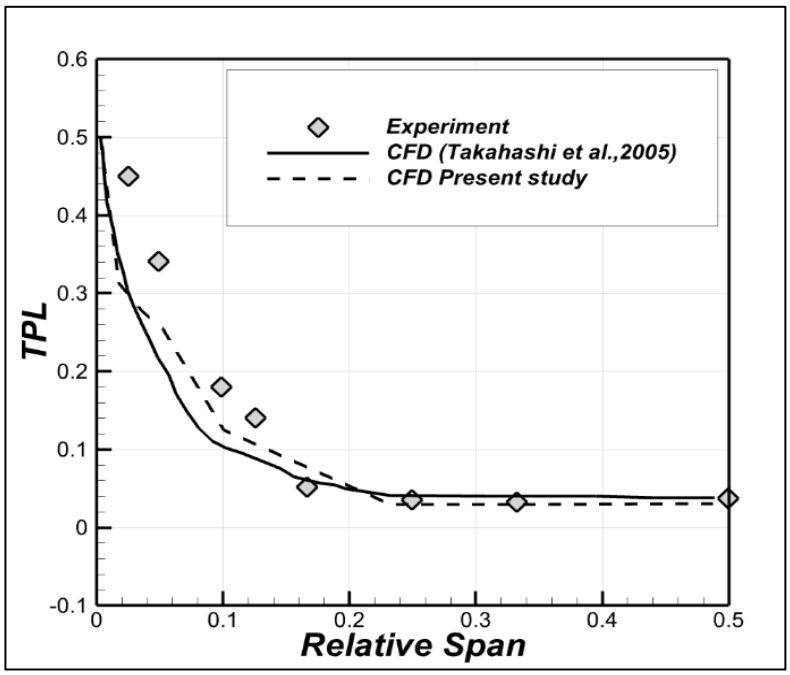


Figure 6: Comparison of experimental and numerical spanwise distribution of TPL across the half-span.
Source: Authors, (2026).

III. RESULTS AND DISCUSSIONS

III.1 SPATIAL LOCATION EFFECTS

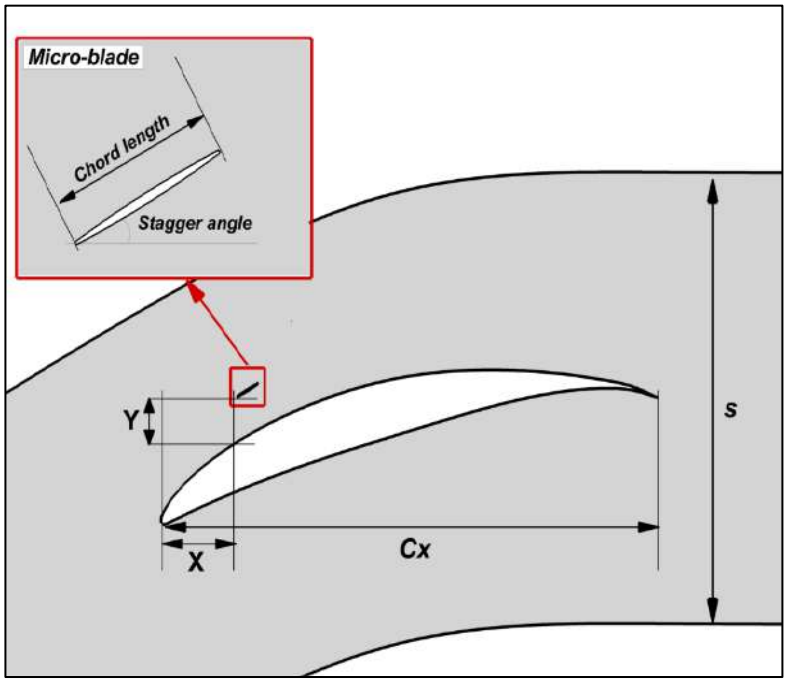


Figure 7: Micro-blade's spatial positions nomenclature.
Source: Authors, (2026).

The first step in the present investigation is to determine the most effective spatial placement of the MB, as mentioned earlier, the initial MB is modeled as a DCA airfoil with zero camber angle; the chord length of the MB is expressed as a percentage of the main blade chord, ensuring a normalized representation. the primary design parameters of the flow control element are listed in Table 2.

Table 2: Initial design parameters of the micro-blade.

Parameter	value
Chord (%)	5
T_{max}/c_{MB}	0.05
Stagger angle (°)	30
Camber angle (°)	0

Source: Authors, (2026).

The parametric study was performed by varying both axial and circumferential locations of the MB under different inlet flow angles, ranging from 40° to 52° with a 2° increment, generating 16 distinct configurations and a total of 112 simulations, ensuring that the influence of spatial locations was captured with sufficient resolution. Figure 8 illustrates all the tested locations; the axial position of the MB (X) was varied from -5% to 40%, while the circumferential (Y) placement corresponded to 10% and 15%. For each configuration, Δ□□□ was evaluated.

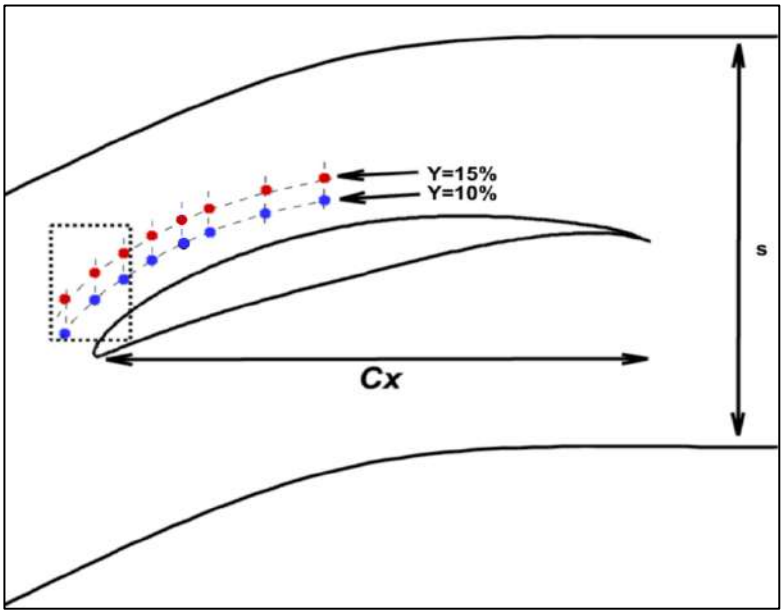


Figure 8: Schematic representation of axial and circumferential positions of the MB configurations.
Source: Authors, (2026).

Figure 9 presents the distribution of Δ□□□ across the whole range of tested inlet flow angles. The Figure shows a high sensitivity to the device's axial placement compared with the circumferential locations. The maximum improvement of Δ□□□ was achieved at 3 axial locations X=-5%, X=0% and X=+5%, it was also reported by Ma & Sun [13] that the optimal placement is consistently near the blade leading edge. The examination of Figure 9 allowed us to delineate an effective range of the MB axial locations (X= -5%, 0%, +5%). To provide a clearer comparison, the Δ□□□ associated with these selected configurations were summarized in a bar chart in Figure 10.

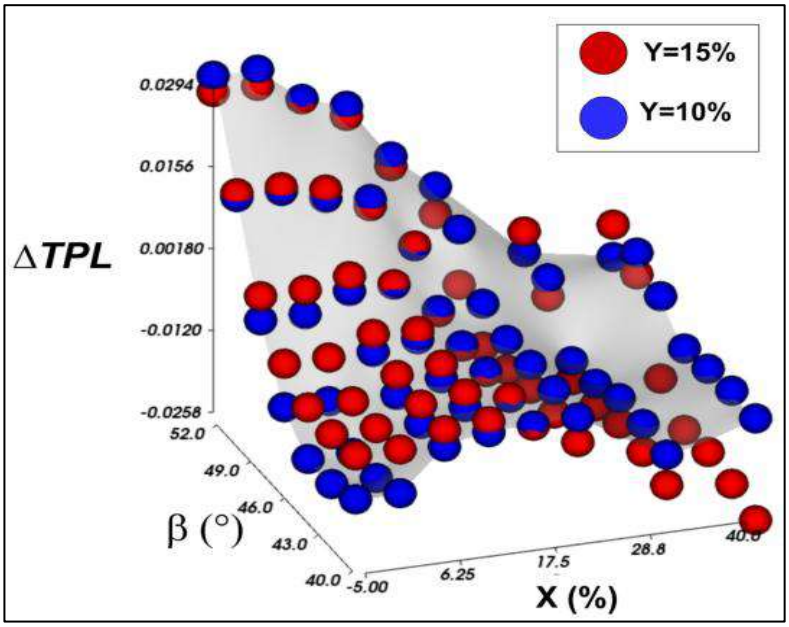


Figure 9: Point-cloud distribution of ΔTPL for Y=15% and Y=10%, versus axial MB's locations in different inlet flow angles.
Source: Authors, (2026).

At inlet flow angles (40° to 48°), the majority of the configurations increase the losses (ΔTPL<0), adding the MB at this range of incidence tends to generate additional losses, the baseline flow at those operating conditions is already separated, but though not yet in a severe way. the extra mixing induced by the MB disturbs the flow, hence, ends up raising the overall losses. At high inlet flow angles (50° to 52°), the flow over the baseline blade is strongly separated due to the severe adverse pressure gradient. Under these conditions, the MB becomes particularly effective, producing positive ΔTPL values and a net reduction in the global losses. However, the influence of the circumferential location is almost identical, with a slight superiority at Y=10%. Regarding axial placement, X=−5% demonstrated the largest improvements in ΔTPL, especially at high β, while its sensitivity to operating conditions suggests that additional checks are necessary. Based on these observations, the Y=10% circumferential position is retained for subsequent analyses.

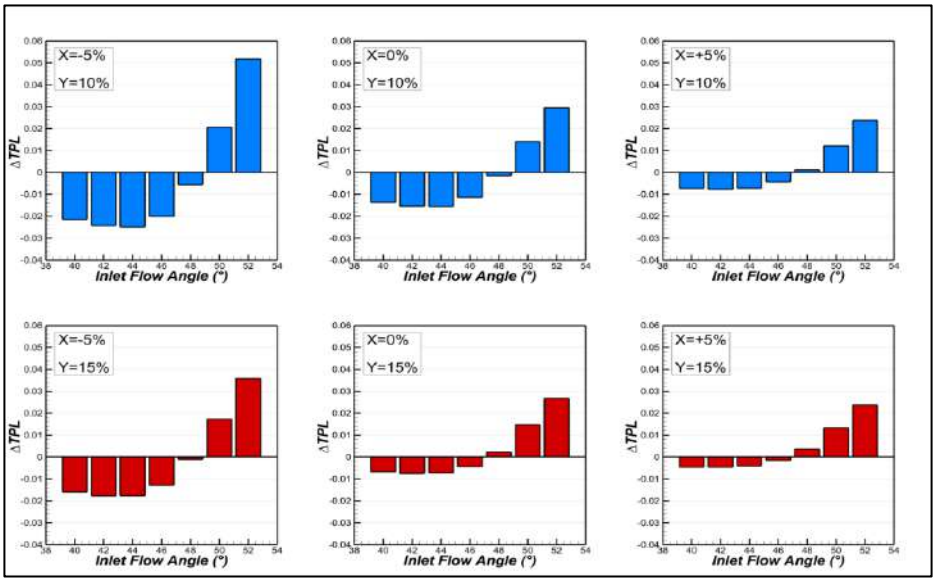


Figure 10: Bar chart of ΔTPL at Y=10% (up) and Y=15% (down) for the three axial position X=-5%, X=0% and X=+5%.
Source: Authors, (2026).

III.2 CAMBER ANGLE EFFECTS

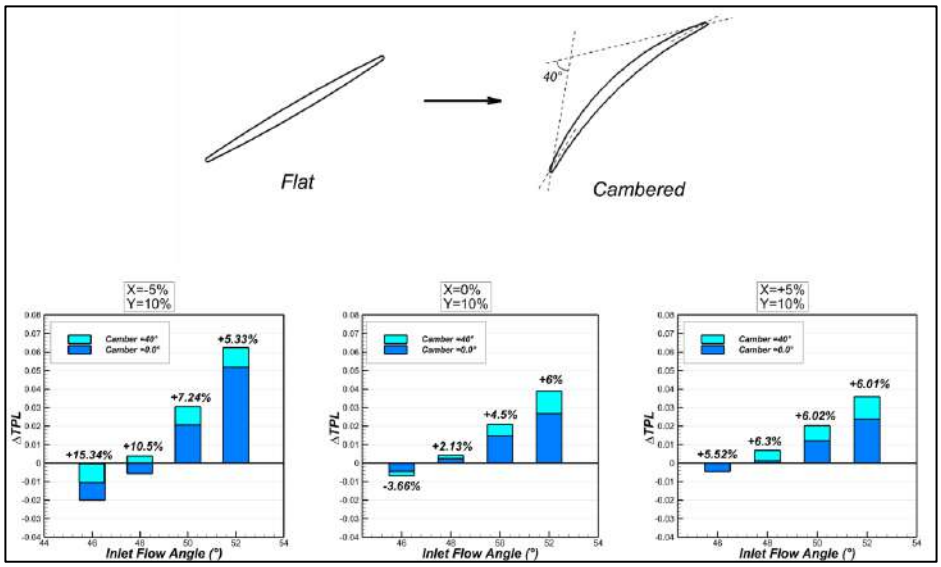


Figure 11: Bar chart of ΔTPL for flat and cambered MB at X=−5%, X=0% and X=+5% across different off-design β.
Source: Authors, (2026).

To further investigate the sensitivity of the device to its geometric characteristics, the effect of introducing a camber angle of 40° to the MB was examined. Figure 11 presents the corresponding sketch (up), and bar chart (down) of the ΔTPL for the three axial positions X=−5%, X=0%, and X=+5%, with and without camber, across off-design inlet flow angles (46° to 52° with 2° increment), the results indicate that the addition of a 40° camber angle consistently enhances the effectiveness of the MB, a remarkable improvement in the ΔTPL across the whole tested range, amplifying the benefic effect observed with zero camber MB. In addition to the TPL analysis, the effect of cambering the MB was further examined through the distribution of the static pressure coefficient (Cp) on the main blade suction side. Figure 12 (left) shows the corresponding Cp curves for the three tested locations at β=52°. The presence of camber introduces a local peak in the Cp, which originates mainly from the concave curvature of the MB pressure suroussmahachelfiface (see Figure 12, right), indicating a local deceleration in the immediate vicinity of the common passage sectional area between the main blade and the MB. On the other hand, the flat MB produces a local pressure decrease (depression) in the same region, unlike the cambered case, the flat MB produces a local acceleration on the main blade suction surface. This is mainly attributed to the convergent-divergent-like channel [19] between the flat MB and the suction side of the main blade.

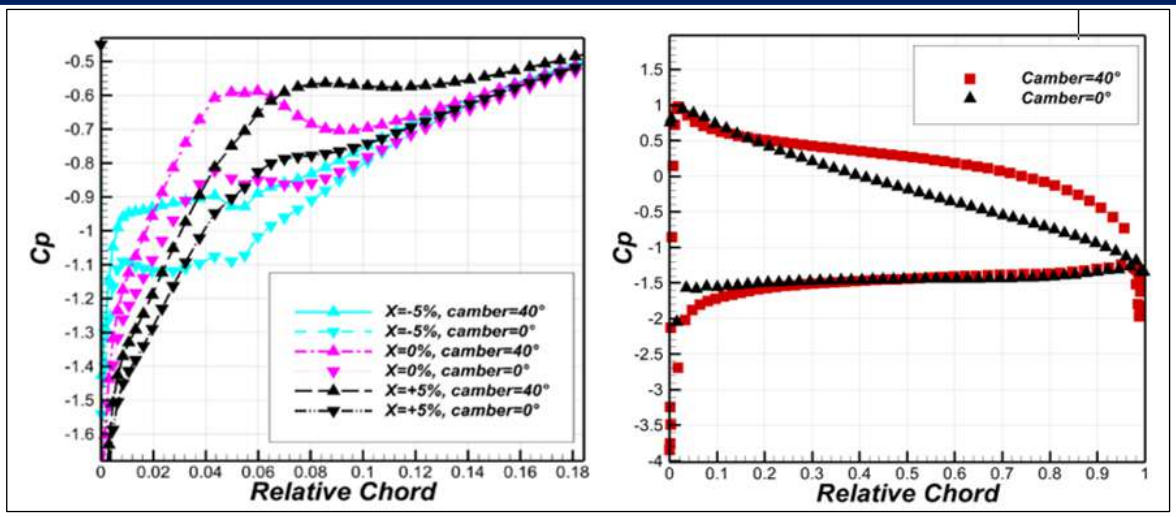


Figure 12: Static pressure coefficient of the main blade suction side (left) and MB (right) at β=52°.
Source: Authors, (2026).

The divergent local pressure features imply different local velocity fields and boundary layer behaviors. The corresponding boundary layer integral parameters were calculated using a MATLAB code. Figure 13 presents the chordwise evolution of the displacement thickness, momentum thickness, and shape factor for the baseline, flat, and cambered MB in two representative inlet flow angles of 46° and 52°.

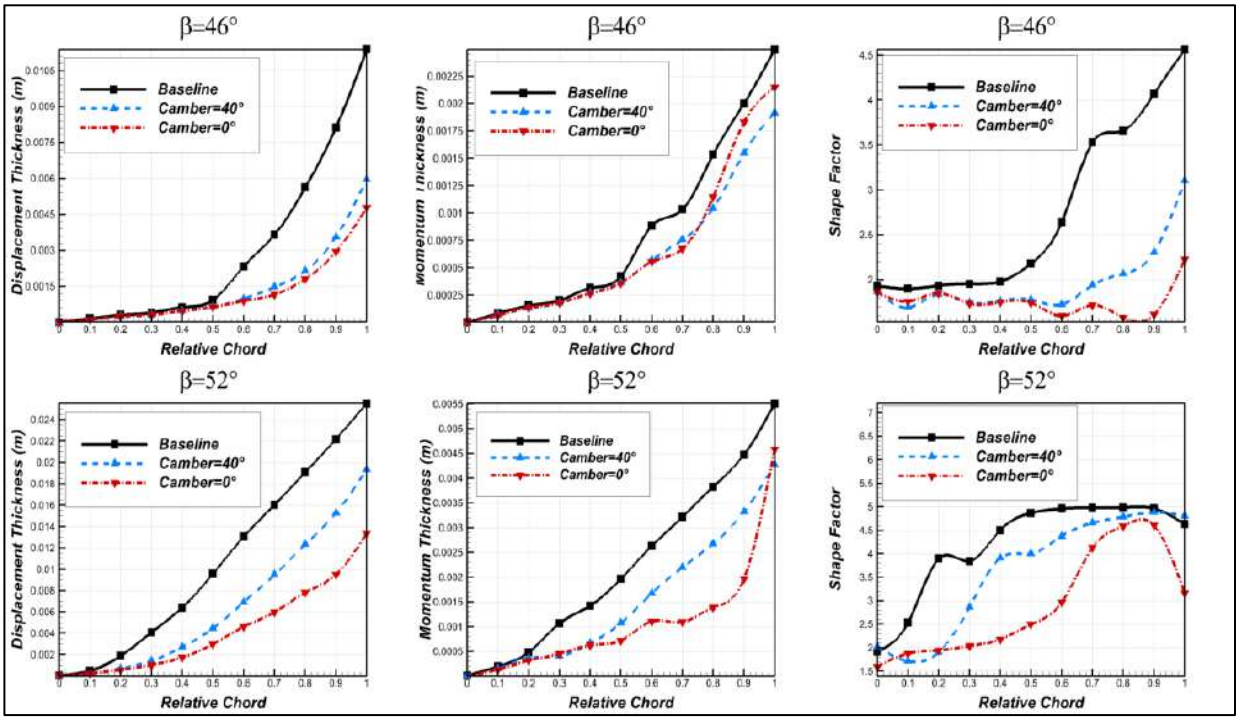


Figure 13: Displacement thickness, momentum thickness, and shape Factor distributions along the suction side main blade at 46° (up) and 52° (down) inlet flow angles for baseline, flat, and cambered MB configurations.
Source: Authors, (2026).

At 46° inlet flow angle, the baseline configuration exhibits the highest displacement and momentum thickness, and consequently a rapidly increasing shape factor at approximately the half-chord station toward the trailing edge. This behavior indicates the beginning of separation at nearly 50% of the chord length, extending to the leading edge. Both the flat and cambered configurations reduce displacement and momentum thicknesses over the entire suction surface, indicating a global boundary layer delay in separation relative to the baseline. This effect is particularly pronounced at 52°, while the baseline configuration experiences a severe boundary layer thickening, both MB cases maintain a much thinner boundary layer. When comparing the two MB designs, at both inlet flow angles, the cambered case shows higher momentum, displacement thickness, and shape factor, in most of the chord stations. The flat configuration demonstrates superior performance; its corresponding shape factor remains consistently lower over a large portion of the chord, indicating a much resistant boundary layer over the whole chord stations, and at different inlet flow angles. This is consistent with the depression reported in the Cp curve in Figure 12, highlighting the ability of the flat MB to entrain higher momentum freestream fluid and sustain a more energized boundary layer. This is further evidenced by the lower shape factor values, which reflect a delayed separation onset and improved boundary layer stability

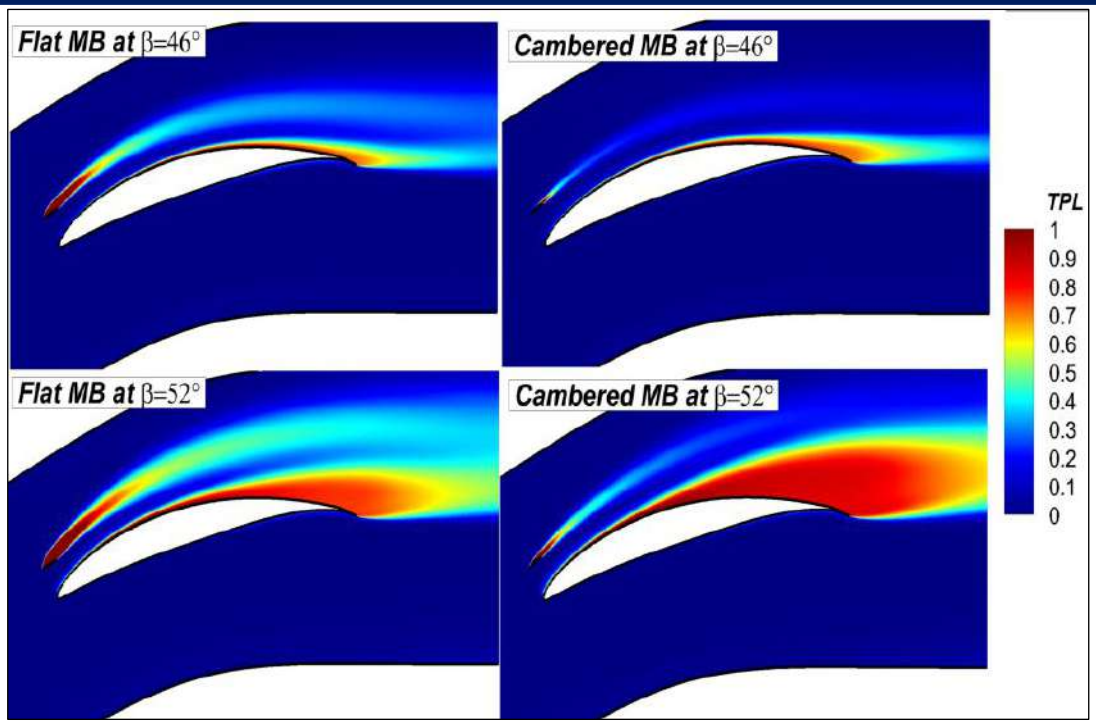


Figure 14: TPL contours for flat and cambered MB at 46° and 52° inlet flow angles.
Source: Authors, (2026).

In parallel, the flat MB, although generating a thinner boundary layer, shows a slightly higher momentum thickness than the cambered case at the trailing edge region, and promotes an early interaction between its wake and the separated boundary layer of the main blade near the trailing edge. This behavior is in agreement with the *TPL* contours shown in Figure 14, where the flat configuration exhibits an enlarged wake region that merges with the separated boundary layer of the main blade suction side, whereas the cambered case shows a more confined wake due to its aerodynamic shape (Figure 15). Hence, the superior global performance of the cambered MB comes not from its immediate effect on the boundary layer, but from its capacity to maintain both boundary layer stability and less wake losses. To further refine the optimal MB design, and building on this result, the next section examines the combined effect of camber angle and maximum thickness of the MB.

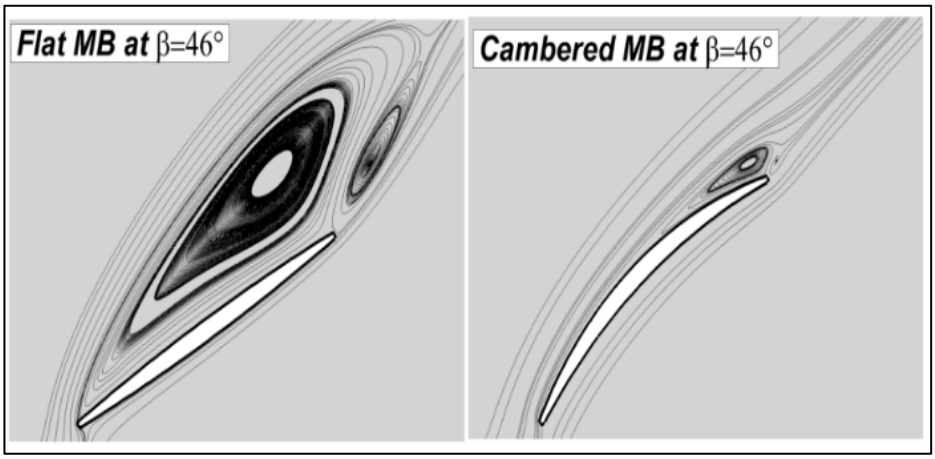


Figure 15: Velocity streamlines for Flat (left), and cambered (right) micro-blades.
Source: Authors, (2026).

III.3 MAXIMUM THICKNESS AND CAMBER ANGLE COMBINATION EFFECTS

The influence of MB camber and maximum thickness on the cascade losses was evaluated for three element thicknesses: thin =2.5%□□□, medium =5%□□□, and thick =10%□□□ at four representative off-design inlet flow angles (□= 46°, 48°, 50°, 52°). As illustrated in Figure 16, thinner elements produce lower TPL while thicker elements give the largest losses. In parallel, increasing camber generally reduces TPL, with the effect becoming more pronounced at higher incidence (largest reductions at β =50°, 52°). At moderate incidence (46° to 48°), the TPL–camber curves show a shared minimum corresponding to 30° and 40° camber angles, except for the medium thickness MB reaches the lower minimum with 50° camber angle at β=48°, whereas at high incidence (50° to 52°) the curves decline more sharply and larger camber continues to be beneficial. Although the thin MB attains the best minima in most cases, it exhibits greater sensitivity to camber angle, especially at β=48°. While the medium thickness MB yields TPL values close to the thin case, the thick MB configuration is systematically inferior.

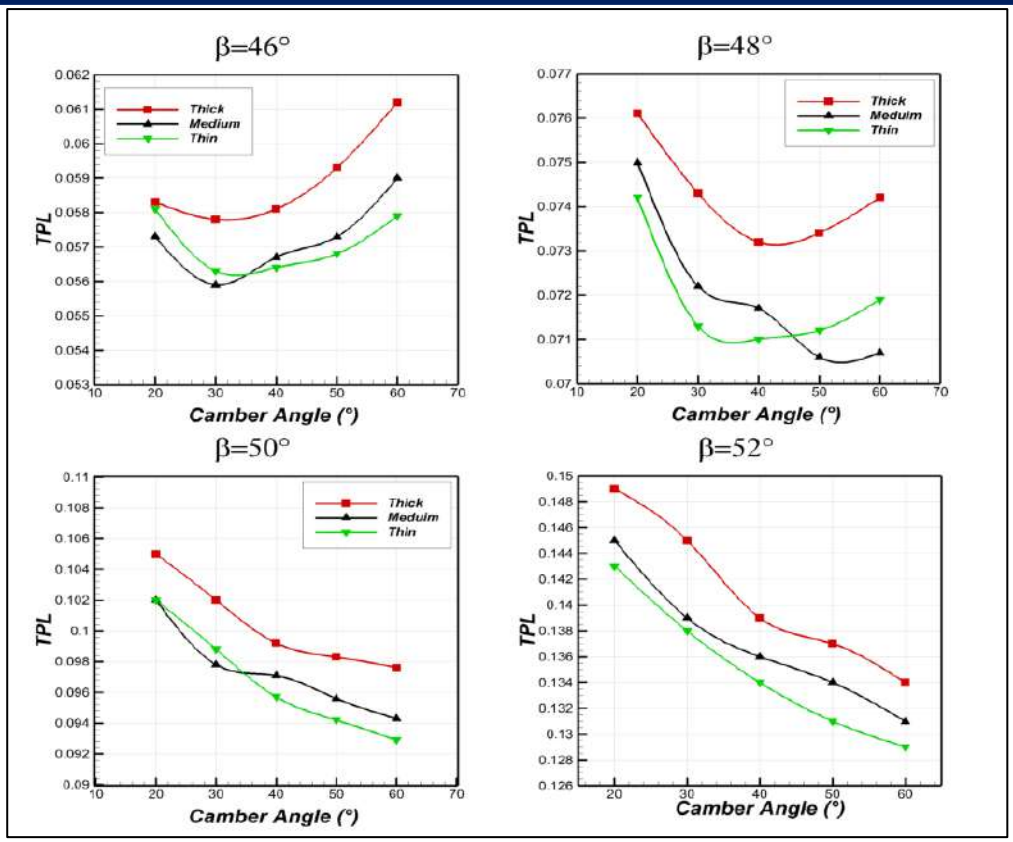


Figure 16**:** TPL versus camber Angle for Three Micro-Blade Thicknesses (thin, medium, and thick) at Different Inlet Flow Angles.
Source: Authors, (2026).

The results of the camber sweep highlighted two configurations of particular interest: the thin MB with 40° camber, which demonstrated the lowest TPL considering the whole tested β range, and the medium with 50° camber, which achieved comparable reductions in global losses while maintaining a more stable response over the tested incidences. Figure 17 shows the static pressure rise coefficient (Cp') for the two cases; the medium configuration provided a modest but clear advantage; the additional MB loading provided by the higher camber angle within the medium MB case has contributed to the improvement of the overall Cp'. Considering this complementary improvement in static pressure rise and both aerodynamic efficiency and practical considerations (mechanical resistance), the medium configuration with 50° camber angle was selected for further optimizations.

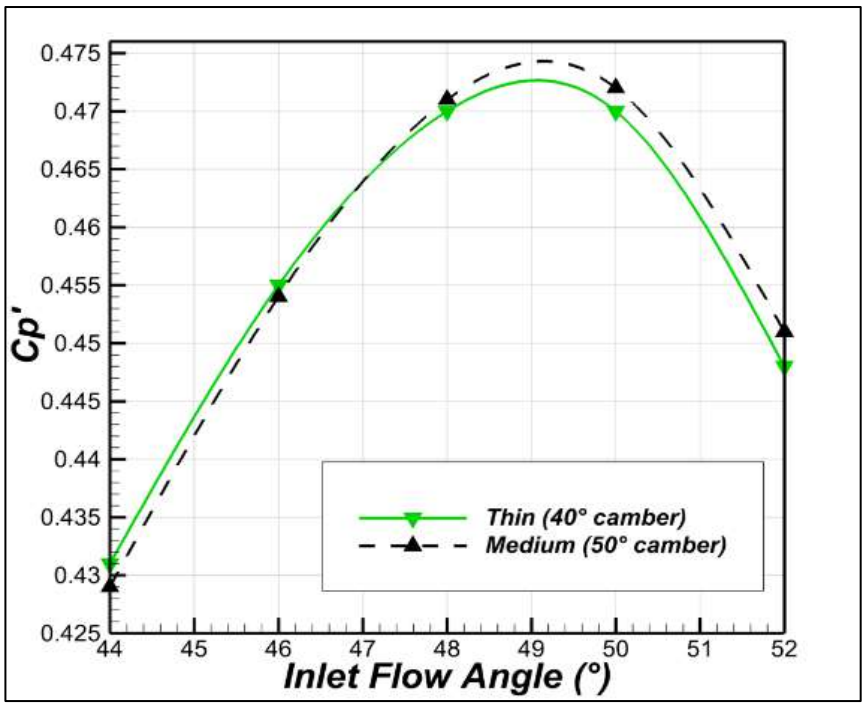


Figure 17: Static pressure rise coefficient versus inlet flow angle for thin and medium micro blades with 40° and 50° camber angle, respectively.
Source: Authors, (2026).

III.4 STAGGER ANGLE EFFECTS

Following the analysis of thickness and camber effects, attention is now directed to the stagger angle. This parameter plays a critical role in governing flow turning and pressure rise characteristics. Figure 18 illustrates, for different inlet flow angles (β = 46°, 48°, 50°, 52°), how the Cp' and TPL vary with the MB stagger angle. for most of the tested β, Cp′ attains a maximum in the mid-stagger range (40° to 45°); at the same time, TPL exhibits a broad minimum in a similar stagger angle range. Beyond this band, the performance parameters deteriorate markedly, especially at β = 52°. The mid-stagger positions appear to best align the MB with the local flow, enhancing useful pressure rise while wake and mixing losses are minimized. A very large stagger produces boundary layer separation on the MB pressure side, causing adverse wake and blockage effects that increase TPL and reduce Cp'.

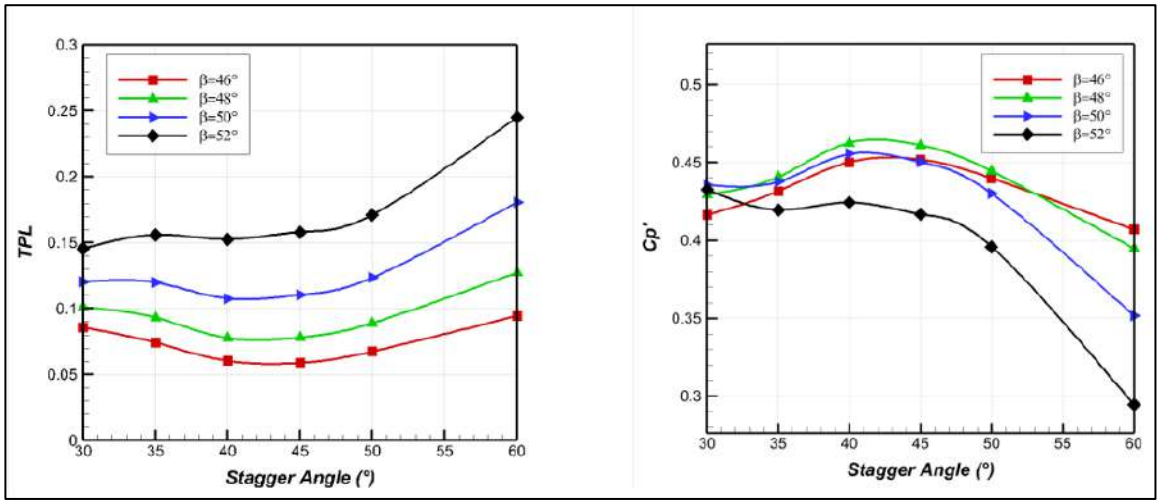


Figure 18: Variation of TPL (left) and Cp' (right) with MB's stagger angle for different β.
Source: Authors, (2026).

Using the selection criteria of maximizing static pressure rise Cp′, minimizing TPL, and preserving robustness across tested incidence angles, the mid-stagger band (40° to 45°) is the clear candidate. Between 40° and 45°, the plots show only small differences: 40° tends to produce slightly lower TPL and gives marginally higher Cp' across the majority of studied β. Therefore, as a conservative and robust choice, we select stagger = 40° as the preferred setting.

III.5 CHORD LENGTH EFFECTS

The influence of MB chord length on cascade losses is examined by comparing the TPL across different inlet flow angles. As shown in Figure 19, the chord is expressed as a percentage of the main blade chord. For all studied incidences, TPL decreases with increasing MB chord up to an intermediate size, where the TPL attains its minimum value observed in the range of 20% to 25% of the main blade chord, with the 20% case providing the lowest TPL across all incidence angles except for □ = 52°.

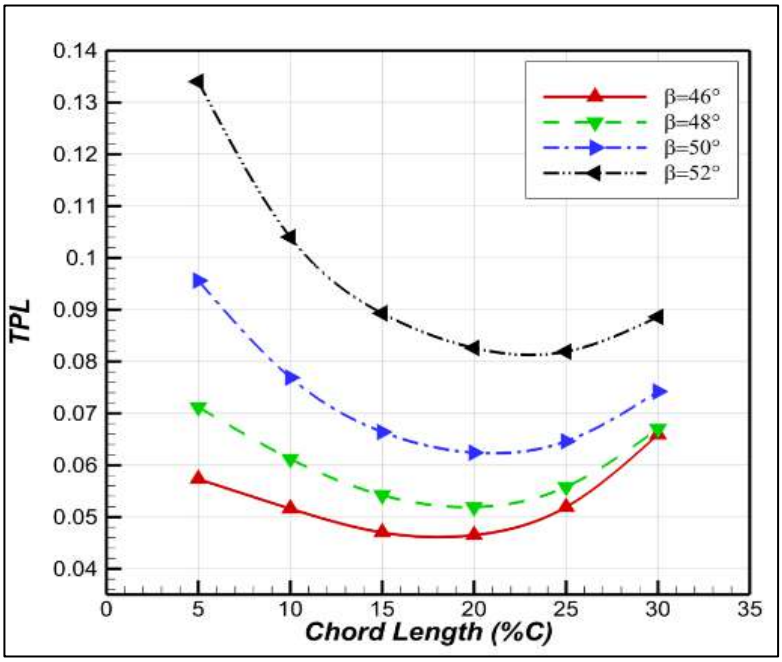


Figure 19: TPL versus micro-blade chord length with different off-design β.
Source: Authors, (2026).

To better understand these trends, it is necessary to consider the balance between the interaction area, boundary layer energization, and blockage related to the MB size effects. At low chord lengths (5%*c* to 10%*c*), the MB offers a limited interaction area, which proves insufficient boundary layer-MB interactions resulting in relatively high TPL values. Increasing the chord to intermediate values (15%*c* to 25%*c*) enhances the exchange of momentum between the freestream and near-wall flow, which contributes to the boundary layer energization without providing excessive blockage and wake losses. This compromise explains the observed minimum in TPL. Beyond this optimum range, larger chords (>25%) act as geometric obstacles, intensifying the local pressure gradients, the associated blockage and wake thickening outweigh the benefits of momentum exchange, leading to TPL rise. The evaluation of the velocity contour distributions with and without MB provides further insight into the mechanisms by which the MB enhances aerodynamic performance. As illustrated in Figure 21, it is evident that the suction side boundary layer for the baseline case experiences progressive thickening with increasing inflow angle (see Figure 20), ultimately leading to extended flow separation and the development of large low momentum regions. This effect is particularly pronounced for β = 50° and β = 52°, where massive separation occupies a significant portion of the suction surface, and the downstream wake region exhibits a large momentum deficit.

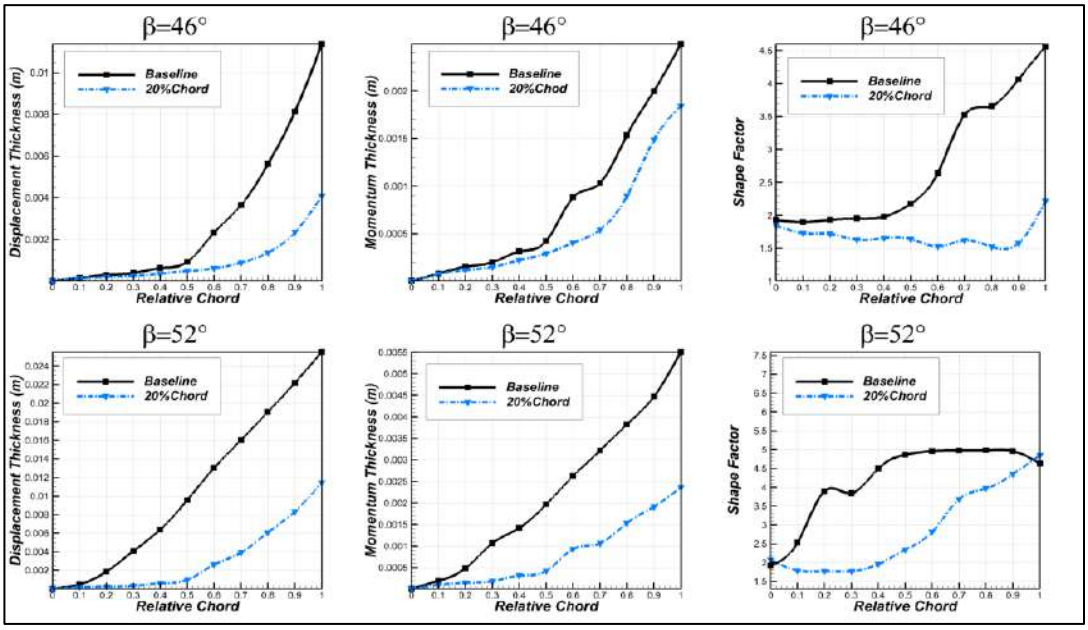


Figure 20**:** Displacement thickness, momentum thickness, and shape factor for Baseline and optimal flow control configuration: top β = 46°, bottom β = 52°.
Source: Authors, (2026).

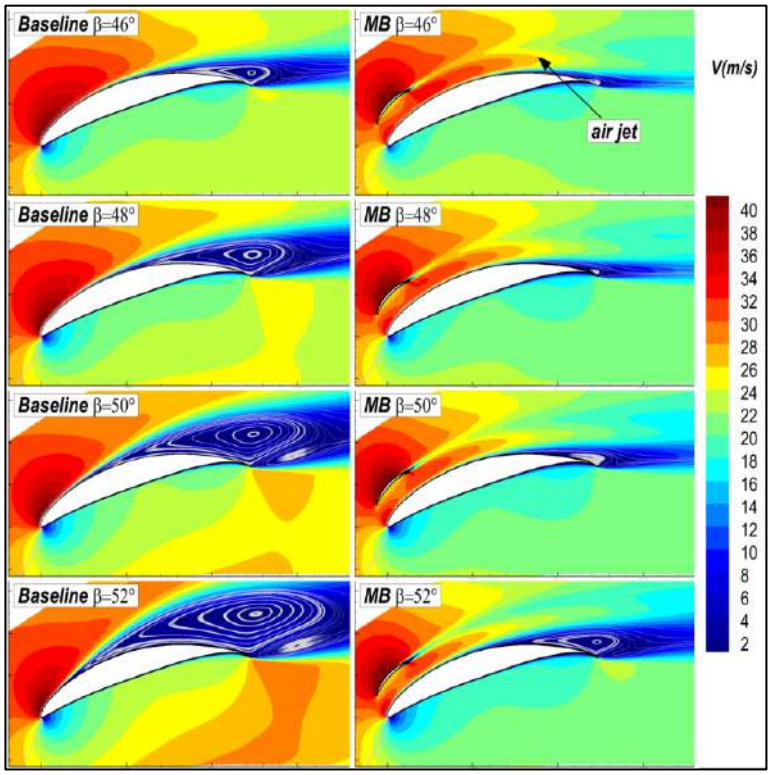


Figure 21**:** Velocity contours for the baseline (left) and controlled (right) cases at different inlet flow angles**.**
Source: Authors, (2026).

The controlled cases with the MB reveal a substantially modified flow field; the acceleration region near the main blade leading edge separates into two parts, allowing the high momentum fluid to develop and entrain into the boundary layer, building an air jet barrier preventing the boundary layer growth and separation [12]. The beneficial effect of this mechanism is manifested in the delayed separation onset. At high inlet flow angles (50° and 52°), where the baseline configurations exhibit massive separation, the MB cases maintain attached flow over a much longer chord extent, with thinner wakes and reduced low velocity regions downstream.

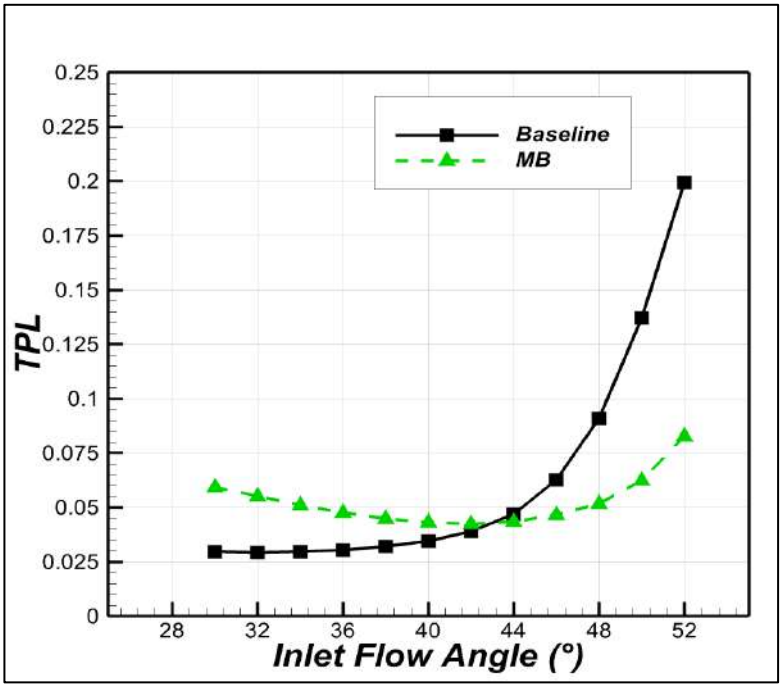


Figure 22**:** TPL for the baseline and optimal MB under design and off-design inlet flow angles**.**
Source: Authors, (2026).

Figure 22 compares the TPL variation with inlet flow angles from 30° to 52° for both baseline and optimal MB configurations. At low inlet angles (below 44°), both configurations exhibit relatively small loss coefficients, indicating attached and stable flow conditions. However, the MB case shows slightly higher TPL values in this range. This penalty is attributed to additional losses generated near the micro-blade pressure side, where its boundary layer is largely separated due to the relatively high stagger angle. As the incidence increases beyond 44°, the performance difference between the two configurations becomes beneficial. While the baseline configuration experiences a sharp rise in TPL, indicating stall onset, the MB configuration maintains much lower losses. This behavior demonstrates the device's strong capability to delay separation and stabilize the flow under near-stall conditions. Notably, the largest improvement is observed at the stall condition when β=52°, the optimized micro-blade achieves a 55.56% reduction in TPL compared to the baseline. This confirms that the optimized geometry and placement effectively mitigate boundary layer separation at critical operating points. Overall, the trend highlights the incidence sensitivity of the device; while it may introduce penalties at nominal conditions, it provides aerodynamic benefits under off-design regimes, thereby extending the compressor's stable operating range.

III.6 OPTIMAL MB EFFECTS ON 3D FLOW STRUCTURES

Figure 23 compares the pitchwise mass-averaged TPL distribution across the half-span at a plane located 1.5 chords downstream of the main blade leading edge at different inlet flow angles. At the nominal design angle (= 32°), the configuration produces a slight increase in losses. This behavior is consistent with the optimization basis; the MB geometry was designed to counteract flow degradation occurring under off-design conditions, where the effects of separation and secondary flows are more significant.

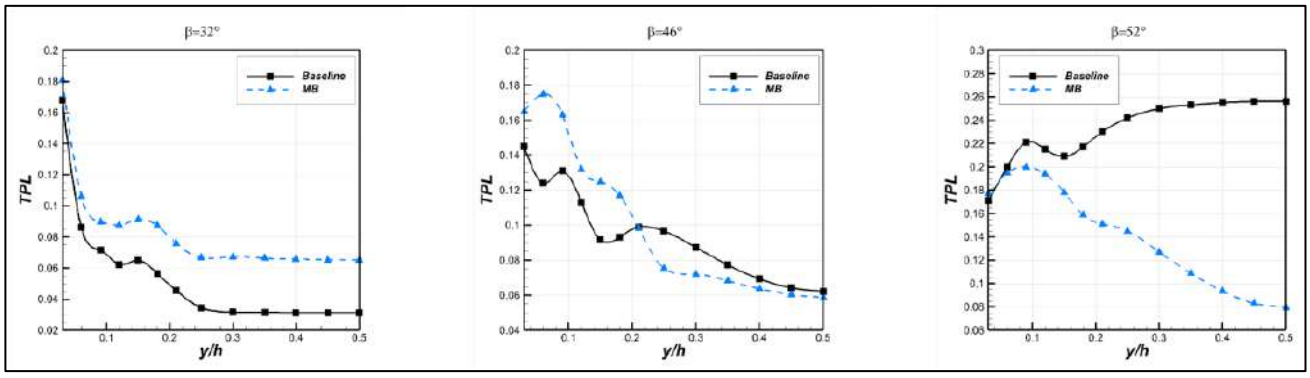


Figure 23: Pitchwise mass-averaged TPL across half-span of the MB and baseline cases for different β.
Source: Authors, (2026).

The observed behavior confirms that the device's effectiveness is very sensitive to the inlet flow angle. Figure 24 shows the TPL contours at the measurement plan. The MB configuration at nominal inlet flow angle produces a broader wake region and slightly higher overall losses compared with the baseline (BSL) case. The relatively high stagger and camber angles promote a pressure side boundary layer separation that forms on the MB itself, generating a large wake extent. Nevertheless, the losses near the endwall suction side corner remain marginally greater than those obtained of the baseline configuration, indicating that the control device does not significantly affect the corner separation at this operating point. At β = 46°, the TPL contours show that, once the MB is introduced, the region of highest loss becomes concentrated much closer to the endwall, while losses decrease above roughly 20% span (see Figure 23), the net benefit peaks toward mid-span, and the wake related to the MB is significantly reduced. The corresponding limiting streamlines and axial velocity iso-surfaces at the same incidence are shown in Figure 25; the suction-side topology directly supports the early observation; the MB case displays a more compact corner separation compared with the baseline, indicating that the MB reduces the corner separation spanwise extent. At β = 52°, the baseline case shows a very large separation (Figure 25); the MB case still exhibits a large separation region, but it appears more compact, and the surrounding streamlines show a different topology than the baseline. The relative improvement produced by the MB is largest at high incidences; the MB reduces the separated area most visibly under those conditions. At the highest incidence (52°), the MB still alters the topology but does not eliminate the dominant separation seen in the baseline.

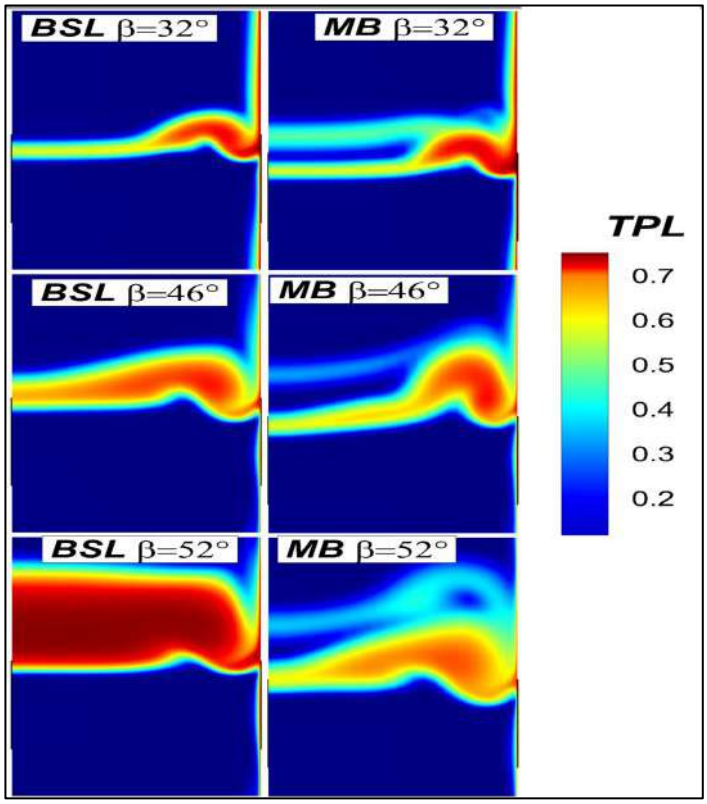


Figure 24**:** TPL contours at the measurement plane of MB and baseline cases under both nominal (up) and off-design (down) inlet flow angles.
Source: Authors, (2026).

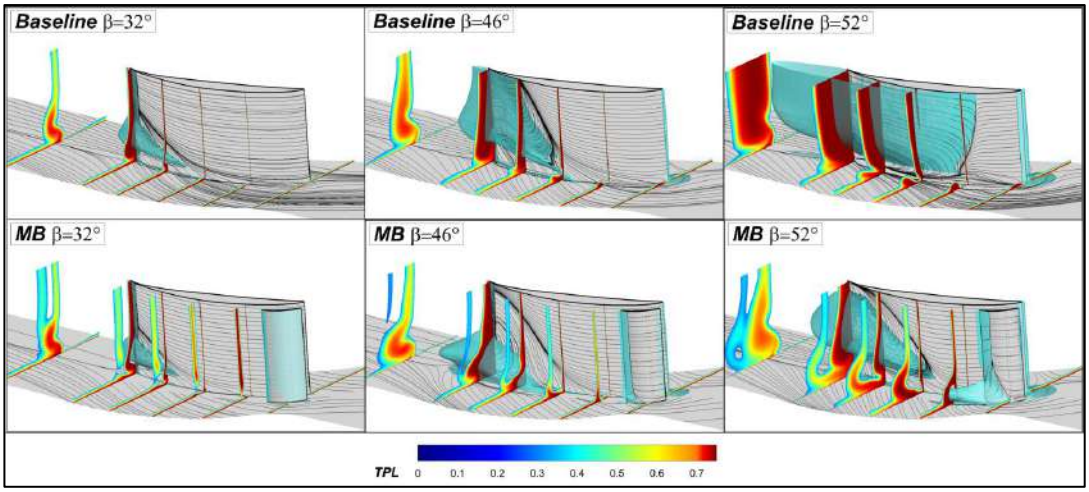


Figure 25**:** Limiting streamlines, TPL contours, and axial velocity iso-surfaces at -0.001 m/s of MB and baseline cases under different β.
Source: Authors, (2026).

IV. CONCLUSIONS

This work combined an extensive two-dimensional parametric study with targeted three-dimensional calculations to evaluate micro-blade passive control in a NACA 65(18)10 linear compressor cascade. The influence of the MB's spatial positioning on the cascade performance is strongly affected by its axial position, whereas the circumferential location has a comparatively minor influence. The 2D optimization study on camber angle highlights a critical balance between boundary layer energization and wake losses. Local diagnostics show that the flat MB modifies the static pressure distribution near the main blade LE, causing a local acceleration, a fuller near-wall profile, and reduced momentum thickness compared with both the baseline and cambered MB. Crucially, Cases that appear favorable by locally thinning the boundary layer may still produce stronger wakes, ultimately raising the TPL. Small elements fail to provide sufficient momentum exchange, while large elements act as obstacles, causing strong wake losses. A micro-blade staggered at 40°, a chord length of 20%*c* with a medium maximum thickness (5%□□□) and 50° camber, has delivered the best balance between energizing the suction side boundary layer and avoiding excessive blockage

The controlled cases with the MB reveal a substantially modified flow field. The acceleration region near the main blade leading edge separates into two parts, allowing the development and entrainment of high momentum fluid into the main blade suction side boundary layer. The 3D cascade simulations reinforced the conclusions of the 2D analysis, revealing a penalty in losses at the nominal design incidence, and the beneficial effects of the device become pronounced at off-design incidences, indicating a strong sensitivity of the MB's performance to the inlet flow angle. Under off-design conditions, the MB weakens the corner separation and reduces its spanwise extent. The residual high losses are shifted to the endwall region. Future investigations should focus on a more detailed three-dimensional analysis to better capture the complex secondary flow interactions and endwall effects. In particular, determining the optimal spanwise distribution of the MB will be essential to fully exploit their potential for corner flow control and overall loss reduction.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Oussama Hachelfi.
Methodology: Oussama Hachelfi.
Investigation: Oussama Hachelfi.
Discussion of results: Oussama Hachelfi and Riyadh Belamadi.
Writing – Original Draft: Oussama Hachelfi.
Writing – Review and Editing: Oussama Hachelfi and Riyadh Belamadi.
Resources: Oussama Hachelfi.
Supervision: Riyadh Belamadi and Naouam Boudinar.
Approval of the final text: Oussama Hachelfi, Riyadh Belamadi, and Naouam Boudinar.

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RESEARCH ARTICLE OPEN ACCESS

ENHANCING BIODIESEL YIELD FROM CANOLA OIL THROUGH RESPONSE SURFACE METHODOLOGY: IN-DEPTH STUDY OF REACTION PARAMETERS AND ENGINE EFFICIENCY

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ABSTRACT

The response surface methodology (RSM) was employed to ascertain the most favorable operating conditions for the transesterification process of canola oil. These conditions encompassed the stoichiometric ethanol-to-oil ratio, reaction temperature, and reaction duration, all of which contributed to the maximization of biodiesel output. With an R2 value of 91.43%, the RSM model was statistically significant. Fourier transform infrared spectroscopy (FTIR) and gas chromatography (GC)-mass spectrometry confirmed that the majority of triglycerides were formed as methyl ester. When compared to pure petro-diesel and biodiesel blends, the performance and emissions of the biodiesel produced were found to be promising in a diesel engine.

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I. INTRODUCTION

A global solution to the ever-increasing demand for energy is urgently required. Sulfur dioxide, carbon dioxide, particulate matter, and other gas emissions from burning fossil fuels are a major source of pollution, and these resources are finite [1]. The renewable alternative biodiesel, made from canola oil, is becoming more popular for use in diesel engines. Vegetable oils used for frying produce copious amounts of Canola Oil, which face disposal challenges. The production of biodiesel using them has the advantage of being both cost-effective and environmentally conscious [2]. Transesterification, the prevailing method employed in biodiesel production, entails catalysed chemical reactions between alcohol and vegetable oil [3], [4]. The majority of the biodiesel production budget goes into buying the essential raw materials. Biodiesel production is able to maintain its low cost by utilising inexpensive raw materials that comprise fatty acids.

Things like animal fats, and vegetable oil by-products fall under this category. The most popular and least expensive raw material for biodiesel production is CO, followed by palm oil, jatropha oil, and soy bean oil [5], [6]. Particulate matter, unburned hydrocarbons, and carbon monoxide are all reduced when biodiesel is burned compared to petrodiesel fuel. Reduced emissions of sulphur dioxide are a side effect of burning biodiesel, which is derived from natural sources and hence contains less sulphur [7], [8]. Various scholars have put forward mathematical models that aim to optimise the circumstances for transesterification. The authors [9] utilized ANN and RSM as mathematical models to predict the biodiesel yield. The authors [10] ,[11] ANN model was used to manufacture biodiesel from used cooking oil [12].

This study aimed to maximize the biodiesel yield from COs by studying the main factors of the transesterification reaction using the RSM approach. It highlighted the process's benefits, shortcomings, and optimal circumstances. A comparison was made between the biodiesel's properties and the European standard. The quality of biodiesel generated from CO was assessed and investigated its effects on engine performance. We looked at the proposed flow sheet and the features of the engine exhaust pollutants.

II. MATERIALS AND METHODS

A combination of canola oil, potassium hydroxide, phenolphthalein, distilled water, high-purity sodium hydroxide, ethanol, and canola oil were used in this experiment.

II.1 FEEDSTOCK PRETREATMENT

CO needs to be disposed of because it includes certain contaminants.

1) The oil is first filtered by screening it to eliminate any solid particles.
2) The leftover solids in the oil are settled after 24 hours of filtering by letting it settle in the tank.
3) To get rid of any remaining debris or particles in the oil, a second filtering process is employed.
4) For 30 minutes, the oil is heated to 80°C in order to evaporate any moisture.

II.2 BIODIESEL PRODUCTION

The transesterification reaction was used to produce biodiesel. This was carried out in a 500 mL conical flask with 300 g of CO in a laboratory-scale batch method. The experimental design dictated that the alcohol ratio be adjusted in relation to the time (t), temperature (T), and stoichiometric ratio (S) for each run [13], [14]. The proportion of NaOH supplied to each sample was determined by its free fatty acid (FFA) content, and all of the samples were mixed using a magnetic stirrer set to 250 rpm.

II.2.1 FABRICATION OF ETHANOL CATALYST SOLUTION

The proportion of FFA was used to alter the ethanol to NaOH ratio: One weight % oil was used as a catalyst when the free fatty acid concentration was less than 1%; when the free fatty acid concentration was greater than 1%, the catalyst was [% FFA] 0.144 plus 1% [15].

II.2.2 REACTION CONDITIONS

A mechanical stirrer was used to mix the oil with the ethanol catalyst solution at 250 rpm until the reaction was complete, after the necessary temperature had been set. The variables that were examined included time, stoichiometric ratio, and temperature [16], [17]. Table. 1 shows the ranges of these variables.

II.2.3 TRANSESTERIFICATION REACTION RESULTS ANALYZED STATISTICALLY

The experimental Statistical Design-Expert 11.1.2 Box-Behnken approach was implemented in order to optimise the transesterification process. To determine the quantity of runs, employ the subsequent formula [18], [19]:

$$N=2k(k-1)+ C_0 \quad (1)$$

C_0 constant no of trails at average conditions
N no of trails
k no of variables.

The mixture was funneled to separate the reactants once the reaction was finished and then permitted to sit for 24 hours. Because of this, the crude ester phase and the glycerol phase were able to separate. Table. 1 displays the values selected for every factors.

Table 1: Experimented parameters.

Factors	Minimum.	Midpoint	Maximum
Time (t)	40	60	80
Stochiometric Ratio (S)	1:4	1:6	1:8
Temperature (T)	30	60	90

Source: Authors, (2026).

While the glycerol was emptied from the bottom of the separating funnel, the container containing the biodiesel crude ester remained unchanged. Following this, the crude ester (biodiesel) underwent two washes using heated water containing 50 vol % biodiesel at 60°C until the formation of two distinct layers became apparent [20], [21]. At eliminate any remaining moisture, the biodiesel was dried in a drier set to 110°C for a duration of thirty minutes.

III. RESULTS AND DISCUSSIONS

Table 2 displays the outcome of the statistical analysis. Time (t), temperature (T), and stoichiometric ratio (S) are the three variables under investigation, and their interplay can be investigated using statistical design analysis.

Table 2: Design of experiments.

Run	t [min]	T [°C]	S	Conv. [wt %]
1	60	60	6	96.79
2	60	60	6	97.07
3	40	60	4	87.99
4	60	30	4	85.25
5	60	90	4	89.19
6	40	30	6	98.17
7	80	90	6	92.42
8	60	60	6	97.4
9	60	60	6	97.89
10	60	90	8	94.17
11	60	60	6	97.22
12	80	60	4	87.47
13	80	30	6	99.65
14	80	30	8	96.3
15	60	30	8	96.1
16	40	90	6	94.07
17	40	60	8	99.32

Source: Authors, (2026).

In order to ascertain the impact of altering the S on the biodiesel yield, the researchers calculated t and T while subjecting it to its minimal, maximal, and mean values. A larger yield was also achieved by increasing the stoichiometric ratio, particularly when the reaction was allowed to run for the maximum period of time at a low temperature of 30°C (80 min). The effects of temperature T on reaction time t and stoichiometric ratio S variables were studied across a range of lowest, maximum, and average values to assess biodiesel synthesis. At the maximum S of alcohol to oil (8:1) and within the designated reaction period, the yield can be enhanced by lessening the T to either its minimal of 30°C or its mean of 60°C. The inverse proportionality remains unaffected by temperature variations (80 min). The two variables, along with the S and T, demonstrated a direct proportional relationship with the biodiesel production, according to an examination of the effects of altering t to its minimal, maximal, and mean values.

An approach to augmenting the yield involves extending the duration of the reaction. The best yield is achieved with an 80-minute t, a feed T of 30°C, and a high S of 8:1 alcohol to oil. To plot every testing outcome, a 3D cube is utilized (Figure 1). With every point situated on its periphery, the Box-Behnken pattern is unmistakably spherical. In the Box-Behnken design, each variable's upper and lower limits define a cubic zone where no points are situated at its corners. The reaction yield-determining three parameters are shown along the X-axis by the minimum value of t, the Y-axis by the maximum value of T, and the Z-axis by the maximum value of the S between the alcohol and oil T. According to the cubic model, the optimal conditions for achieving a maximum yield of 98.22% include an 80-minute t, an 8:1 S, and a minimum T of 30°C.

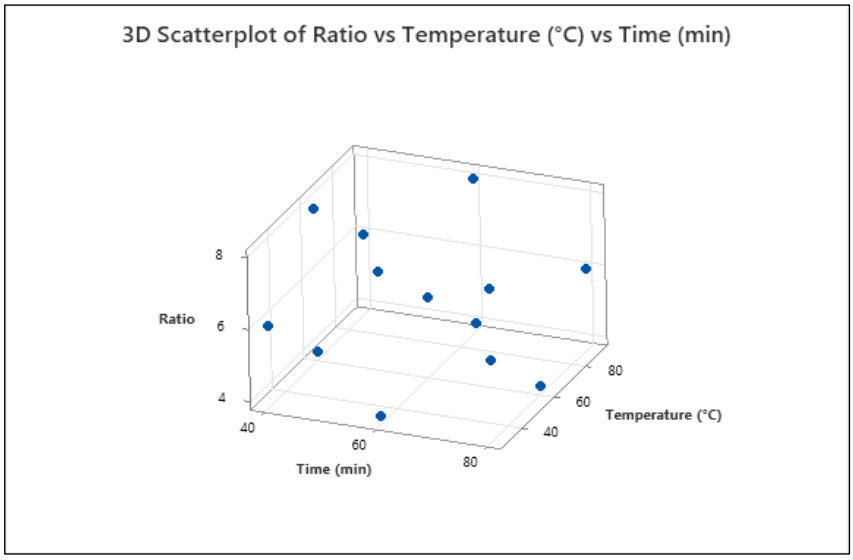


Figure 1: 3D graph depicting the outcomes of canola oil biodiesel production.
Source: Authors, (2026).

The minimal yield achieved was 82.15 %, as seen in the top right forward-facing edge of the cubic model. This was accomplished at a T of 90°C, a t of 80 minutes, and a low S of 4:1. The projected cubic model possesses a statistically significant R2 value of 91.43 % and a P-value below 0.0001. Utilizing a S of 8:1, a maximum biodiesel recovery of 98.22% was achieved in 80 min at 30°C during the reaction. In order to validate the results, five runs were conducted under the parameters previously indicated. The findings indicated that the average recovery of biodiesel was 95.66 %, with a standard deviation of 1.974 %. Since the margin of error did not go beyond 2.6%, this demonstrates that the proposed model is valid.

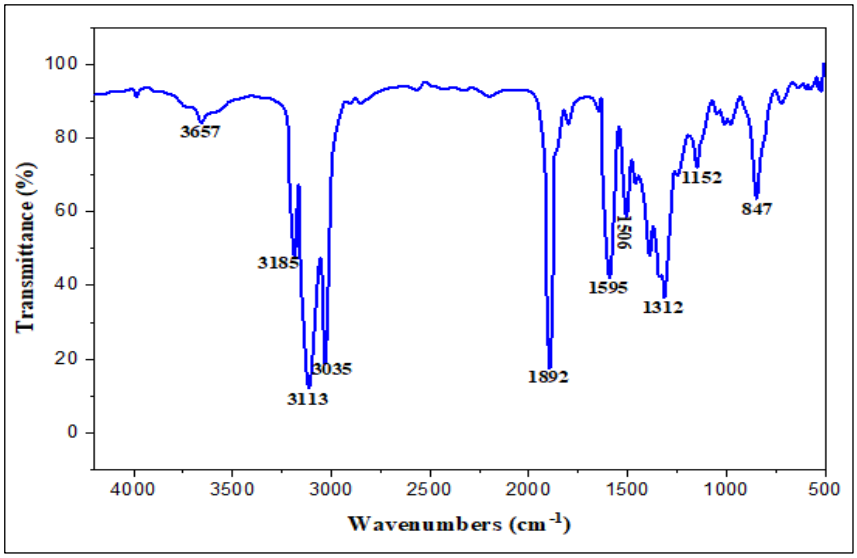


Figure 2: FTIR analysis.
Source: Authors, (2026).

As demonstrated in Figure 2, the CO biodiesel sample was compared to a standard sample and described using FTIR. The existence of the following biodiesel properties peaks was observed in the first sample, as shown in Fig 2. There were stretching absorption peaks at 3657, 3185, and 1892 cm^{-1} for OH, =CH, and C=O, respectively. There were two maxima for the stretching vibrations of the -CH2 groups: one at 3113 cm^{-1} and the other at 3035cm^{-1} . The C-O-C stretching vibration absorption maxima at 1152 and 1312cm^{-1} were determined to be anti-symmetric and symmetric, respectively, according to reference [22], [23]. In Table 3, you can see the biodiesel characterization results.

Table 3: Specification of results.

Properties	Units	Optimal sample	European biodiesel standard
Flash point	[C]	92	> 90
Calorific value	[MJ kg^{-1}]	40.49	38.31
Density at 15 C	[kg m^{-3}]	882.5	870–900
Acid range	[mg KOH/g]	0.133	0.6
Viscosity at 40°C	[mm^2s^{-1}]	4.40	3.6–5.2
Sulfur	[mg kg^{-1}]	0.004	10

Source: Authors, (2026).

The study employed a TG WAX-MS direct capillary column equipped with a 0.3 mm ± 0.25 mm film thickness and a gas chromatography to determine the biodiesel sample's chemical arrangement. Following three minutes of holding at 90°C, the oven was progressively heated to 300°C for 24 minutes at a rate of 15°C per minute. The data confirming the synthesis of methyl ester from the majority of triglycerides, which is pertinent to biodiesel, are presented in Table 4.

Table 4: Gas Chromatography analysis for the arranged biodiesel.

Time [min]	Compound	Area Pct
12.45	$C_{15}H_{30}O_2$	0.67
13.95	$C_{17}H_{34}O_2$	21.80
14.96	C19H34O	43.61
15.49	$C_{19}H_{36}O_2$	9.63
16.07	$C_{21}H_{40}O_2$	4.24
16.18	$C_{21}H_{42}O$	3.40
16.56	$C_{15}H_{20}O_5$	2.71
16.92	$C_{15}H_{26}O$	2.03
17.17	$C_{23}H_{46}O$	2.85
17.64	$C_{24}H_{48}O_2$	0.62
18.11	$C_{25}H_{50}O_2$	4.31
18.56	$C_{30}H$	0.84
18.99	$C_{27}H_{54}O_2$	1.72

Source: Authors, (2026).

This study examines the efficiency and pollution levels of a diesel, CO biodiesel, and blended biodiesel engine that is single-cylinder, four-stroke, air-cooled, and direct-injection (B25, B50, and B75, where B25, e.g., means 25 % biodiesel Performance and emission parameter results are founded upon research conducted on several factors including air-fuel ratio (AFR), volumetric efficiency (VE), exhaust gas temperature (EGT), thermal efficiency (TE), specific fuel consumption (SFC), and concentrations of HC, CO, O2 and CO2 emissions [24], [25].

The average value after running each run three times we recorded. Less than 0.25 was the standard deviation. Figure 3 shows the specific fuel consumption of biodiesel, mixed biodiesel, and Petro diesel in relation to the brake power of engine. As the engine load increases, it falls. Samples of biodiesel and Petro diesel had the greatest and lowest specific fuel consumption values, respectively. Typically, as the percentage of biodiesel increases, the particular fuel consumption also rises. The reason for this is because biodiesel and its mixes have a higher viscosity and a lower heating value than Petro diesel. When operating at full load, the specific fuel consumption values for B100, B75, B50, B25, and D100 were 0.59, 0.66, 0.59, 0.58, and 0.49, respectively [26].

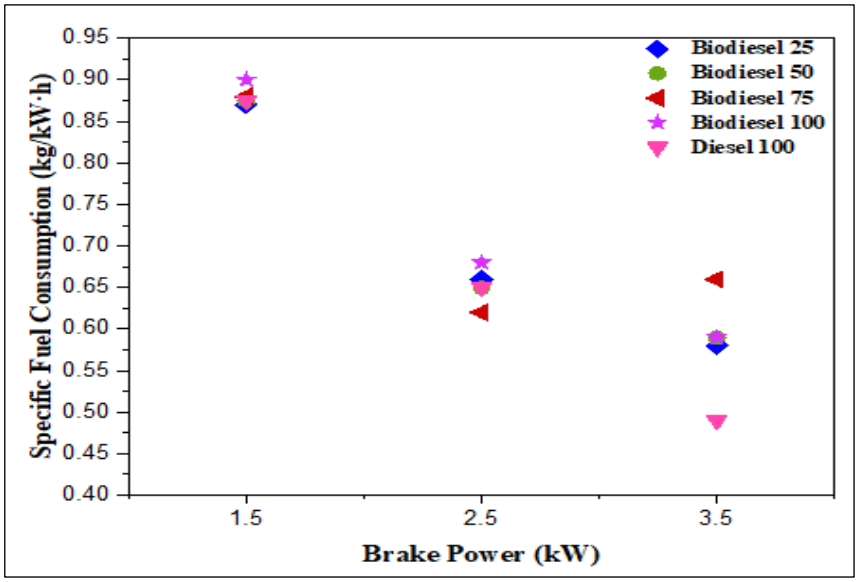


Figure 3: Comparison of SFC with engine load for various composition of diesel.
Source: Authors, (2026).

Figure 4 shows the relationship between the engine's braking power and the thermal efficiency of biodiesel, mixed biodiesel, and petrodiesel samples. For all fuels, it rises as engine load increases. Increasing the amount of petrodiesel in each sample improves thermal efficiency because biodiesel has a lower calorific value than petrodiesel and its ignition delay is smaller, causing combustion to begin before the top dead centre. Because of this, the engine's thermal efficiency drops because compression work and heat loss are both increased. Maximum load operation yielded thermal efficiency values of 22.2 % for B100, 16.66 % for B75, 20.39 % for B50, 22.42 % for D100, and 24.64 % for B25 [27].

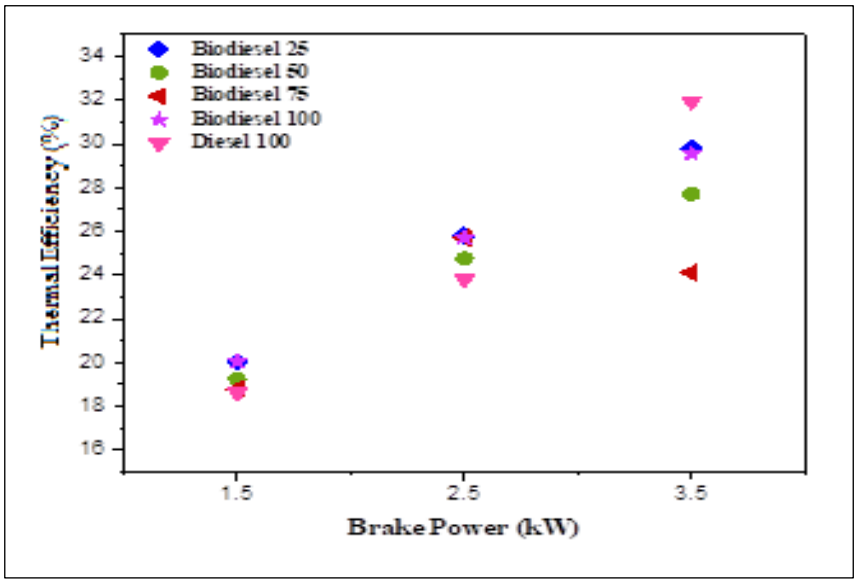


Figure 4: Comparison of thermal efficacy with engine load for various composition of diesel.
Source: Authors, (2026).

Figure 5 shows the temperatures of the exhaust gases as a function of the engine's braking power for three different types of biodiesel samples: petrodiesel, mixed biodiesel, and biodiesel. The temperature of the exhaust gas will increase for every sample as the engine load increases. Typically, the temperature of the exhaust gas increases as the percentage of petrodiesel in each sample increases. On full load, the exhaust gas temperatures for B100, B75, B50, B25, and D100 were 262.90, 291.22, 346.91, 279.07, and 338.89°C, respectively [28].

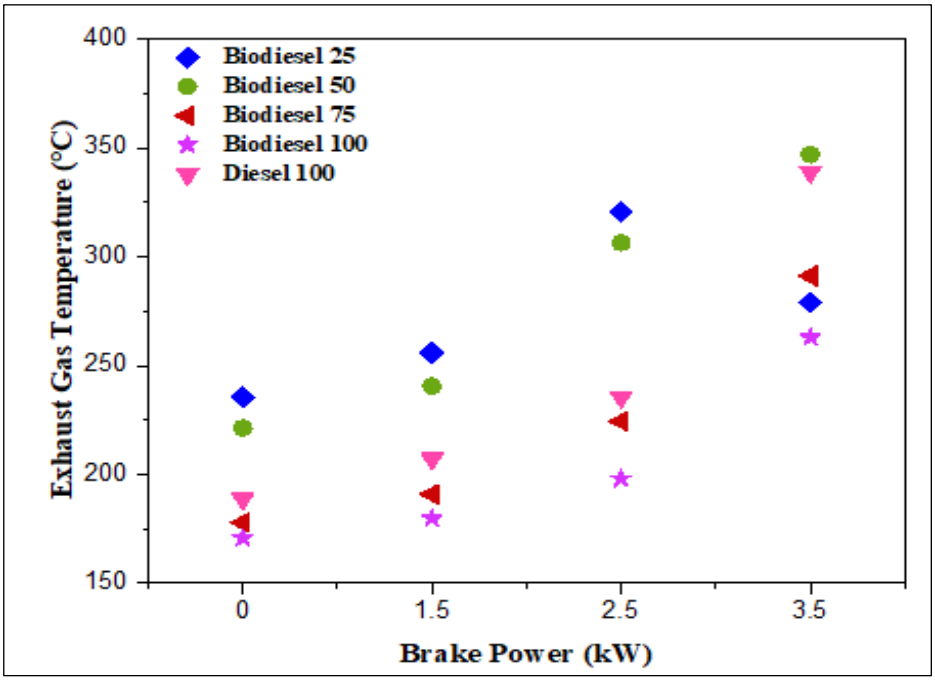


Figure 5: Comparison of EGT with engine load for various composition of diesel.
Source: Authors, (2026).

Figure 6 illustrates the effect of volumetric efficiency on the braking force of the engine. Samples of biodiesel, mixed biodiesel, and petro-diesel were utilised to evaluate the engine. While biodiesel, blended biodiesel, and petrodiesel all had good volumetric efficiencies at low engine loads, the retained exhaust gases' higher temperatures caused the efficiencies to drop at high engine loads. By warming and reducing the density of the incoming fresh air, the retained exhaust gases enhance both the volumetric efficiency and the reduction in the amount of air required to supply the combustion chamber. At maximum load operation, the volumetric efficiency values for B100, B75, B50, B25, and D100 were 68.74, 68.74, 67.52, and 67.49 %, respectively [29].

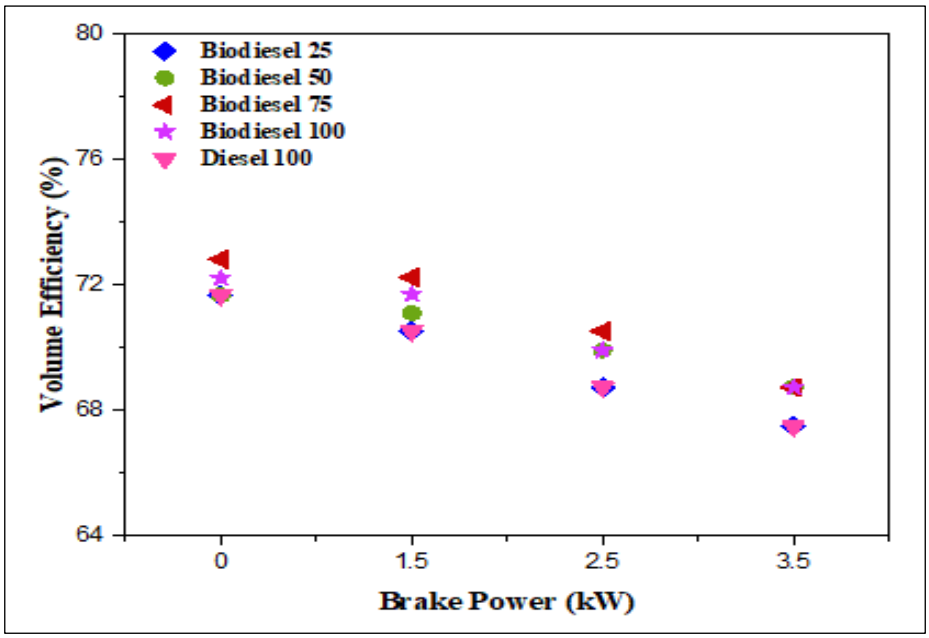


Figure 6: Comparison of VE with engine load for various composition of diesel.
Source: Authors, (2026).

Figure 7 shows the CO_2 emissions associated with the engine's braking power for three different samples: one of biodiesel, one of blended biodiesel, and one of petrodiesel. Biodiesel, blended biodiesel, and petrodiesel exhibited little CO_2 emissions when operating at low engine loads; however, their increased volumetric fuel consumption under high engie loads resulted in elevated CO_2 emissions. Since biodiesel possesses a greater molecular oxygen content and a higher cetane number than petrodiesel, augmenting the petrodiesel content in each sample results in an equivalent rise in the quantity of CO2 present in the exhaust gas. . At full load, B100, B75, B50, and B25 produced CO_2 emissions of 3.81, 3.64, 4.40, 4.72, and 4.17%, respectively.

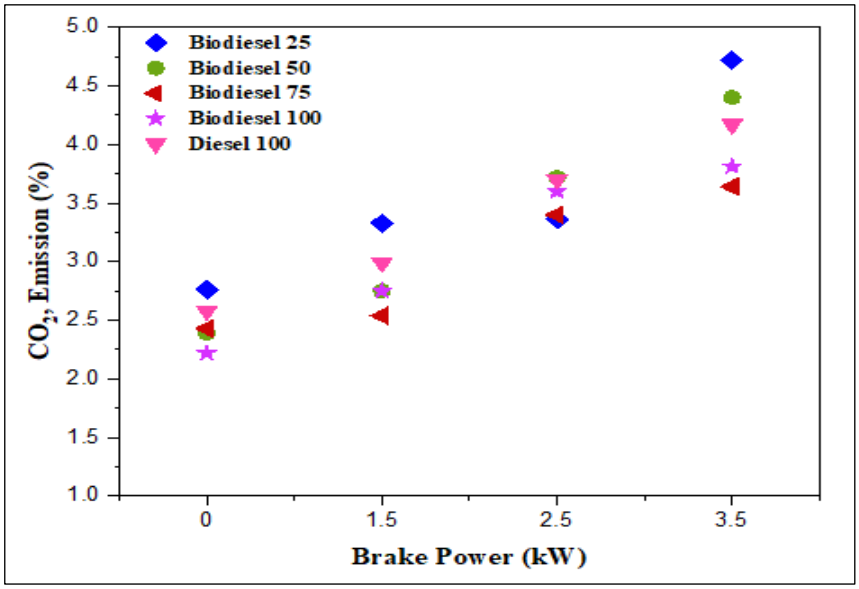


Figure 7: Comparison of CO2 emission with engine load for various samples.
Source: Authors, (2026).

Figure 8 illustrates the carbon monoxide (CO) emission levels from the blended biodiesel samples, petrodiesel, and the biodiesel sample, in conjunction with the associated engine braking power. Minimal engine loads resulted in low CO emissions from biodiesel, blended biodiesel, and petrodiesel. However, high engine loads led to an increase in CO emissions due to factors such as knocking, higher volumetric fuel consumption, and engine power output. Incomplete fuel combustion, together with the fuel's physical and chemical qualities, is the primary determinant of CO emission production. Since petrodiesel has a lower cetane number and a more oxygen-rich molecular structure than biodiesel, increasing the amount of petrodiesel in each sample results in a greater concentration of CO in the exhaust gas. At part load, CO emissions drop as engine load increases for all fuels tested; however, at full load, they rise again as a result of increased fuel consumption. At maximum load operation, the CO emission values for B100, B75, B50, B25, and D100 were 0.075, 0.073, 0.085, 0.088, and 0.091 %, respectively [30].

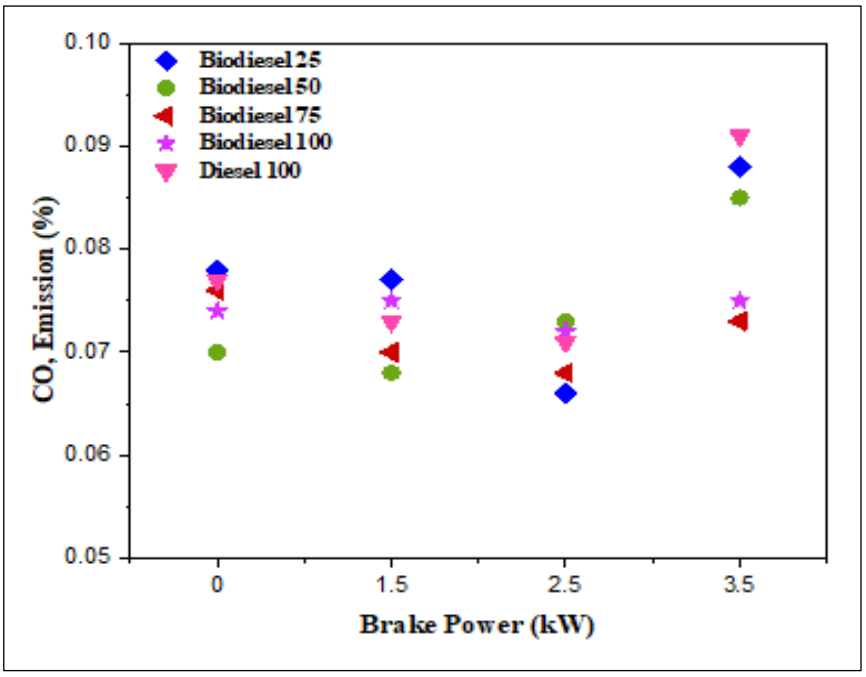


Figure 8: Evaluation of CO emission with engine load for Various composition.
Source: Authors, (2026).

he relationship between oxygen levels and engine braking force is illustrated in Figure 9 for biodiesel, blended biodiesel, and petrodiesel samples. Due to the combustion of a more concentrated mixture within the engine cylinder, the levels of oxygen were significantly elevated during periods of low engine load and diminished during periods of high engine load. Increased petrodiesel concentration in each sample resulted in a reduction in the oxygen content of exhaust gas. This was due to the higher oxygen concentration of biodiesel within its molecular structure in comparison to petrodiesel. At full load, the oxygen concentration values for B100, B75, B50, B25, and D100 were 23.69%, 22.96%, 21.96%, and 23.16%, respectively.

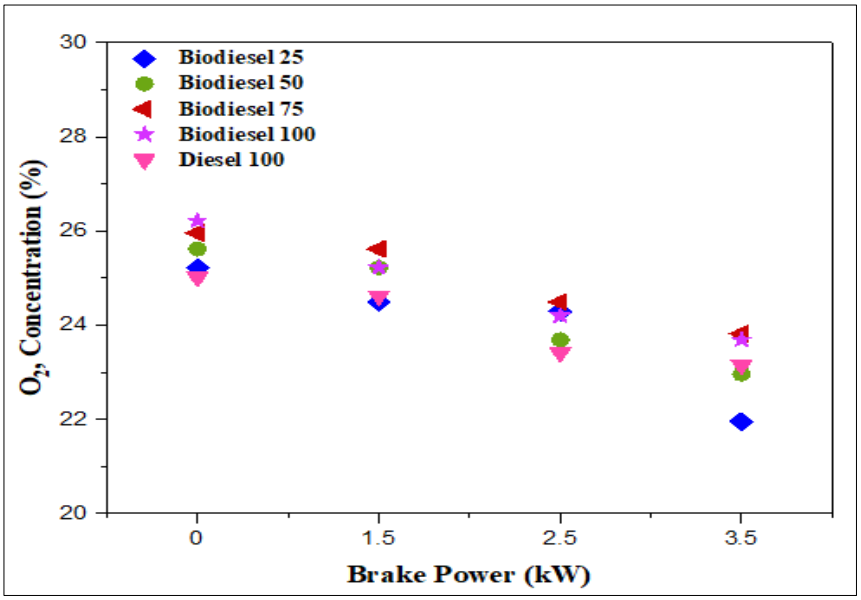


Figure 9: Evaluation of oxygen with engine load for various mixture of biodiesel.
Source: Authors, (2026).

Regarding the engine's braking force, Figure 10 illustrates the HC emission levels of petrodiesel, mixed biodiesel, and biodiesel samples. Hydrocarbon emissions from petrodiesel, mixed biodiesel, and biodiesel were negligible at low engine loads; however, they escalated significantly at high loads as a result of higher fuel injection, which led to less oxygen and greater particle size. In addition to the reduced quantity of Petro diesel present in each sample, the increased concentrations of HC in exhaust gas can be attributed to the higher viscosity, inadequate atomization, and improper fuel-air mixing of biodiesel in comparison to petro-diesel. The HC emission values for B100, B75, B50, B25, and D100, respectively, are 16.77, 15.78, 14.75, 15.74, and 11.70 ppm when operating at full load.

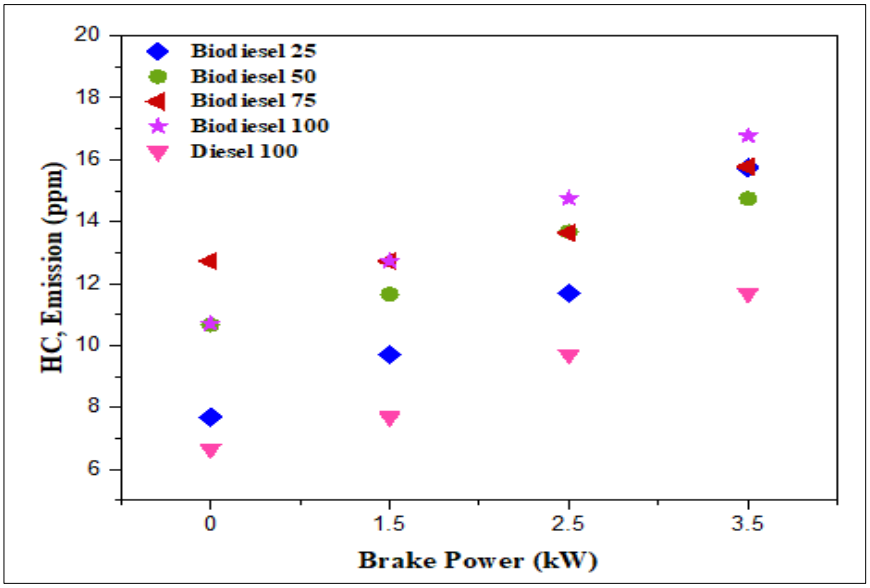


Figure 10: Comparison of hydrocarbon emission with engine load for various mixture of diesel.
Source: Authors, (2026).

IV. CONCLUSION

One of the best green energy options is biodiesel. Some of its many benefits include being very lubricating, having minimal toxicity, not emitting sulphur, and not releasing particle matter pollution. The most popular biodiesel manufacturing process is transesterification because it is easy to use, efficient, has a high conversion rate, and improves the fuel characteristics while reducing the oil's viscosity. In comparison to other catalyst types, NaOH allowed for a larger ester content, was inexpensive, and had a number of other desirable properties, making it an ideal as an alkaline homogeneous catalyst. As a result of its inexpensive price, low density, molecular weight, and viscosity —all of which facilitate rapid solubility and diffusion—C2H6O was considered the optimal alcohol for implementation in the transesterification process. The results were assessed using a S of 9:1, a T of 30°C, and a t of 80 minutes. The anticipated maximum biodiesel recovery was 98.22%. Five runs were performed with the settings indicated above, resulting in an average biodiesel recovery percentage of 96.68 % with a standard deviation of 0.48. With an error rate of less than 2.6%, the proposed model is clearly valid. The production of methyl ester of the majority of triglycerides was confirmed by GC-mass and FTIR.

The created biodiesel was determined to be comparable to commercial biodiesel and its blends derived from CO, as well as pure petrodiesel and biodiesel blends, following diesel engine testing (B75, B50, and B25). The findings indicated that the biodiesel exhibited superior efficiency and reduced emissions in comparison to the petrodiesel. In comparison to petrodiesel, the volumetric efficiency, SFC, TE, EGT, and emissions concentrations of Carbon monoxide, Carbon dioxide, and Oxygen were all enhanced by the CO biodiesel and its mixes.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Sangeetha Krishnamoorthi.
Methodology: Prabhu L, Saravanan M.
Investigation: Saravanan M, Mahesh R.
Discussion of results: Sangeetha Krishnamoorthi, Prabhu L
Writing – Original Draft: Sangeetha Krishnamoorthi.
Writing – Review and Editing: Hariharan, Venukumar.
Resources: Sangeetha Krishnamoorthi.
Supervision: Prabhu L.
Approval of the final text: Sangeetha Krishnamoorthi, Prabhu L, Mahesh R.

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RESEARCH ARTICLE OPEN ACCESS

A NEUTROSOPHIC GENERALIZED GAMMA APPROACH TO MODELING PRL, LH, AND TESTOSTERONE IN BEAGLES

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ABSTRACT

The Classical Generalized Gamma Distribution (GGD) has been widely applied in survival analysis, hydrology, and reliability engineering due to its flexibility in handling diverse data patterns. To incorporate uncertainty and imprecision commonly encountered in practical scenarios, this study introduces an extended form of the distribution, termed the Neutrosophic Generalized Gamma Distribution (NGGD). The NGGD is employed to investigate the secretion behavior of prolactin (PRL), luteinizing hormone (LH), and testosterone in male dogs. Analysis reveals that PRL exhibits a non-pulsatile, constitutive release pattern, which contrasts with the mixed pulsatile secretion observed in humans. The NGGD-based probability density functions further enable more accurate differentiation between control and drug-treated groups, aligning with established physiological evidence. These findings highlight the effectiveness of the NGGD in capturing biological variability under uncertainty, with potential applications extending to risk assessment, quality monitoring, and supply chain analysis.

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I. INTRODUCTION

The study of lifetime data and reliability analysis has become more popular across various fields, including engineering, medicine and economics to survive in the competitive market for an extended period. Accurate modeling of the time until an event occurs, such as component failure or system breakdown, is essential for optimizing performance, improving safety, and reducing costs. Over the past century, several key probability distributions have been developed to meet the diverse modelling needed in these applied fields. Classical distributions such as the Exponential, Gamma, and Weibull distributions have been widely used to model such phenomena. The GGD [1] extends the classical Gamma distribution by introducing additional shape parameters that allow for greater flexibility in modeling various hazard rate behaviors, including increasing, constant, and decreasing risks. This flexibility makes the GGD particularly suited for applications where data exhibit non-standard patterns that simpler distributions cannot adequately address.

As systems become more complex and their failure mechanisms more intricate, the ability to model lifetimes with a distribution that adapts to these complexities is invaluable. Traditional statistical distributions often struggle to represent realworld phenomena characterized by incomplete or ambiguous information accurately. This gap necessitates the development of more robust models that can effectively capture the complexities of uncertain data. One such advancement is the application of neutrosophic logic,which extends classical and fuzzy logic by incorporating degrees of truth, falsity, andindeterminacy, making it ideal for situations involving incomplete or uncertain information. Neutrosophic Statistics [2], based on neutrosophic logic, enable data to be modeled within intervals that reflect these uncertainties. This innovative philosophical domain extends the principles of fuzzy and intuitionistic fuzzy logic [3-7]. Smarandache [8-11] further developed the core concepts of neutrosophic sets across various fields.

In recent years, there has been a rapid growth in the development of neutrosophic distributions.These distributions are designed to model different types of phenomena where there isuncertainty or incomplete information. Many researchers have introduced important neutrosophic probability distributions to better analyze these types of data, providing moreflexibility and accuracy compared to traditional methods. Some examples are neutrosophic beta [12], neutrosophic Rayleigh distribution [13], neutrosophic Exponential distribution [14], neutrosophic Kumaraswamy distribution [15], and neutrosophic Weibull distribution [16]. According to [17] proposed the neutrosophic versions of the Uniform, Exponential, and Poisson distributions. Additionally, by [18] extended the classical Gamma distributionto the neutrosophic setting, demonstrating its applicability in analyzing complex data. According to [19] proposed the neutrosophiclaplace distribution and its application in modelling of NIFTY50 from Indian Stock Market. According to [20] introduced a generalization of log-logistic distribution which is particularly useful for handling indeterminate data and modeling survival and reliability in the presence of uncertainty.

According to [21] presented the neutrosophic form of the normal distribution. Further applications of neutrosophic statistics can be found in [22-24].After going through the literature, it has been observed that no such work related to the properties of Generalized Gamma Distribution under indeterminacy and uncertainty has been carried out. To address this gap, we extended the classical GGD to develop the NGGD, which was designed to model data involving uncertainty and indeterminacies. This novel distribution effectively addresses imprecise and uncertain data. We explore the statistical properties of the NGGD, including the neutrosophic mean, variance, moments, quantiles, hazard function,entropy, and reliability function. Neutrosophic parameters are estimated using the MLEmethod, and a simulation study is conducted to evaluate the performance of these estimates.We apply the NGGD to estimate the reliability and lifespan of gearbox components in windturbines within the Renewable Energy sector. Additionally, we examine special cases of the NGGD, which reveal reductions to the Neutrosophic Weibull, Gamma, Exponential and Rayleigh distributions under specific parameter conditions.

I.1. RESEARCH OBJECTIVES

The primary objective of this study is to develop and apply a Neutrosophic Generalized Gamma Distribution (NGGD) for modeling uncertain and imprecise hormone secretion data. Specifically, the study aims to:

1. Extend the Classical Generalized Gamma Distribution to a neutrosophic framework capable of handling ambiguity in biological observations.
2. Analyze the secretion patterns of prolactin (PRL), luteinizing hormone (LH), and testosterone in male Beagle dogs using the proposed NGGD model.
3. Compare the hormonal profiles between control and drug-treated groups to assess the model's effectiveness in detecting behavioral differences in hormone release.
4. Demonstrate the superiority of the NGGD approach over traditional probabilistic modeling when dealing with uncertain physiological data.
5. Explore potential future applications of the NGGD in medical diagnostics, risk assessment, and reliability-related fields.

I.2 SIGNIFICANCE AND NOVELTY

This research introduces a Neutrosophic Generalized Gamma Distribution (NGGD) as an innovative statistical framework for modeling hormone secretion data characterized by uncertainty and imprecision. Traditional probabilistic models often assume complete data accuracy, which is rarely achievable in biological systems due to measurement variability, environmental influences, and inherent physiological fluctuations. By incorporating neutrosophic principles, the NGGD accommodates these uncertainties more effectively, leading to improved data interpretation and enhanced decision-making.The novelty of this work lies in extending the widely applied Classical Generalized Gamma Distribution into a neutrosophic domain and implementing it for the first time to evaluate the secretion dynamics of prolactin (PRL), luteinizing hormone (LH), and testosterone in Beagle dogs. Unlike conventional methods that may overlook subtle secretion differences, the NGGD enables a more accurate comparison between control and drug-treated groups and provides deeper insights consistent with clinical observations.Overall, the proposed modeling approach not only advances the statistical analysis of endocrine processes but also has the potential for broad applicability in medical diagnostics, veterinary science, risk assessment, and reliability engineering, where uncertainty is a critical factor.

II. GENERALIZED NEUTROSOPHIC GAMMA DISTRIBUTION:

A Neutrosophic continuous random variable $x_m = x_p + x_v j_m$ is said to have NGGD if it has the following probability density function

$$f(x_m; \omega_m, \sigma_m, \tau_m) = \frac{\tau_m}{\sigma_m \Gamma\frac{\omega_m}{\tau_m}} \left(\frac{x_m}{\tau_m}\right)^{\omega_n - 1} e^{\left(-\frac{x_m}{\tau_m}\right)^{\tau_n}} \qquad x_m > 0 \tag{2.1}$$

Here

$\omega_m = \omega_p + \omega_v j_m > 0$ is the neutrosophic shape parameter,
$\sigma_m = \sigma_p + \sigma_v j_m > 0$ is the neutrosophic scale parameter,
$\tau_m = \tau_p + \tau_v j_m > 0$ is the additional neutrosophic shape parameter,

Γ is the gamma function.
$j_m \in (0,1)$ is the indeterminacy in parameters and variables
The cumulative distribution function (CDF) of NGGD is given by

$$F[x_m] = \int_0^{x_m} f(x_m; \omega_m, \sigma_m, \tau_m) dx_m$$

$$\int_0^{x_m} \frac{\tau_m}{\sigma_m \Gamma \frac{\omega_m}{\tau_m}} \left(\frac{x_m}{\tau_m}\right)^{\omega_n - 1} e^{\left(-\frac{x_m}{\tau_m}\right)^{\tau_n}} dx_m$$

$$F[x_m] = \frac{\gamma\left(\frac{\omega_m}{\tau_m}\right)\left(\frac{x_m}{\sigma_m}\right)^{\tau_m}}{\Gamma \frac{\omega_m}{\tau_m}}$$

Where $\Gamma \frac{\omega_m}{\tau_m}$ = Complete Gamma functions.

III. MATERIALS AND METHODS

Prolactin (PRL) is a single-chain peptide hormone consisting of approximately 200 amino acids, produced by lactotropic cells in the anterior pituitary [25]. Its primary role is to promote mammary gland development and initiate lactation. In addition, prolactin is involved in around 300 biological, physiological, and homeostatic functions in the body [26], [27]. Beyond its role in regulating glucose, insulin, and lipid metabolism, prolactin also contributes to maintaining a positive energy balance [28]. Its secretion occurs in a pulsatile manner, likely influenced by multiple hypothalamic factors. Although dopamine typically inhibits prolactin release, the text states that it stimulates it, which may be a mistake [29], [30]. Luteinizing hormone (LH), also produced by the anterior pituitary through gonadotropic cells, is regulated by gonadotropin-releasing hormone (GnRH) [31]. In females, a surge in LH triggers ovulation. In males, LH stimulates Leydig cells to produce testosterone, which is crucial for sperm production [32], [33]. Elevated LH levels in males can indicate testicular dysfunction [34]. Several studies have shown that both LH and testosterone levels may decrease due to negative feedback mechanisms. Prolactin, LH, and testosterone levels were monitored over a six-hour period in two dogs-D (2 years old) and G (6 years old)—both with and without medication.

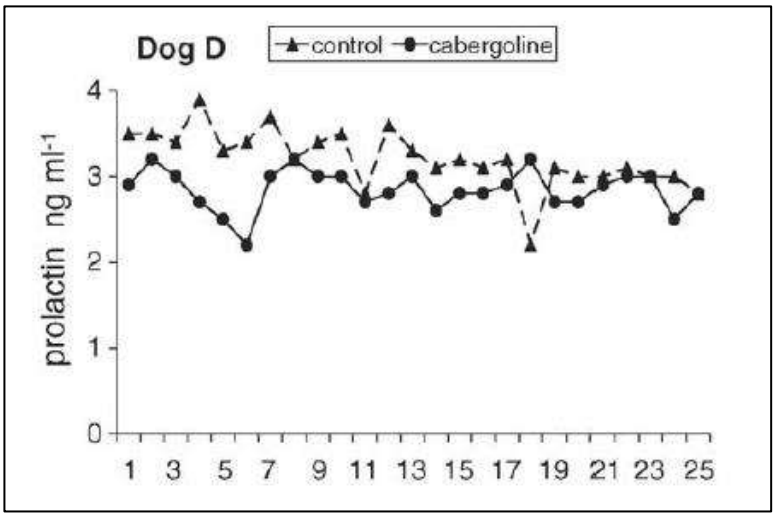


Figure 1(A): depicts the PRL level of an individual Dog D in a blood sample collected at 15-minute intervals with and without treatment.
Source: Authors, (2026).

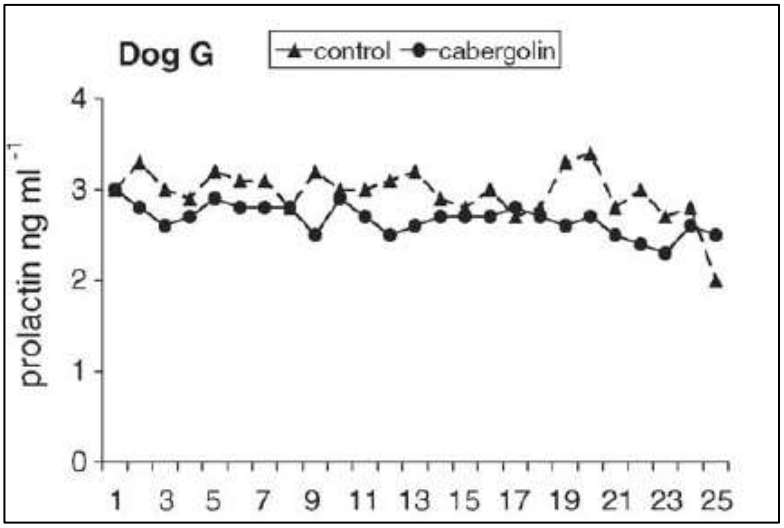


Figure 1(B): depicts the PRL level of an individual Dog G blood sample collected at 15-minute intervals with and without treatment.
Source: Authors, (2026).

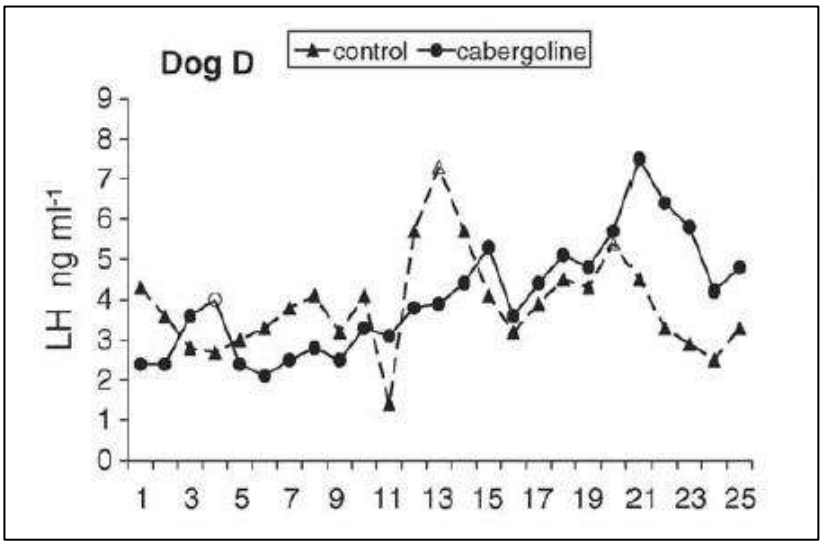


Figure 2(A): illustrates the LH level of an individual Dog D blood sample collected at 15-minute intervals under control group and cabergoline administration.
Source: Authors, (2026).

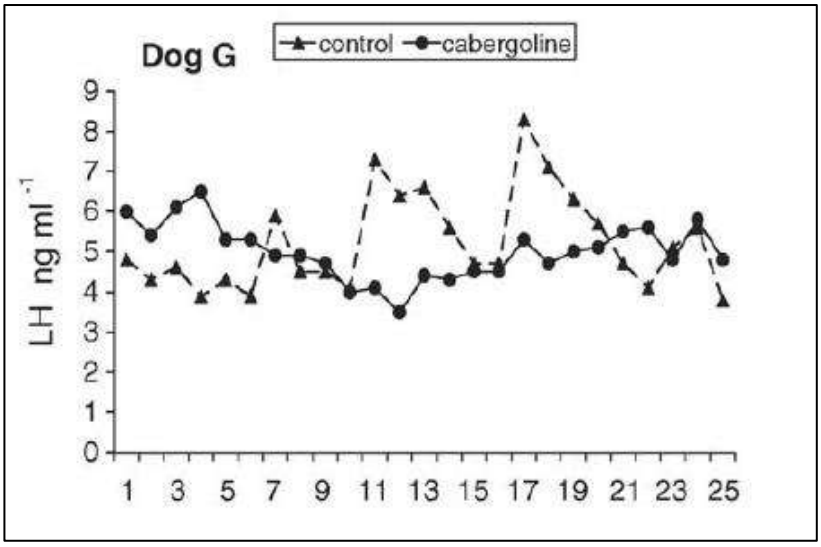


Figure 2(B): illustrates the LH level of an individual Dog G blood sample collected at 15-minute intervals under control group and cabergoline administration.
Source: Authors, (2026).

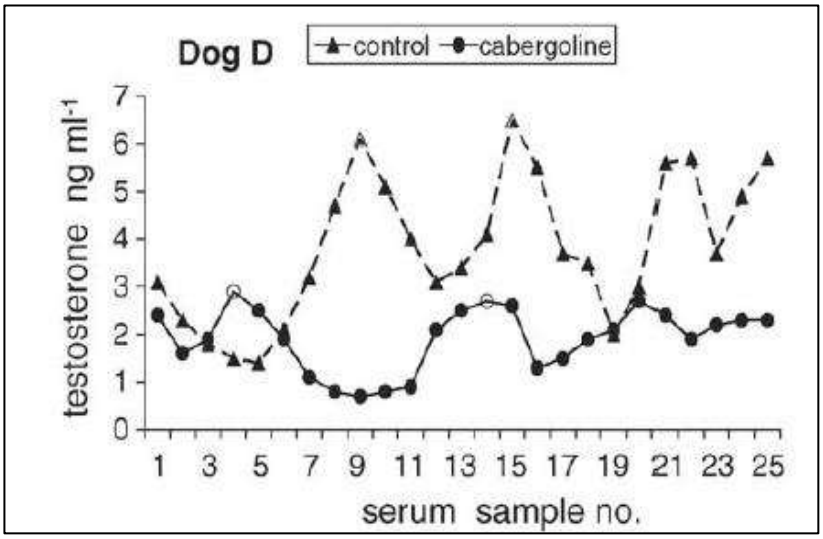


Figure 3(A): demonstrate the testosterone level of an individual Dog D blood sample collected at 15-minute intervals under control group and cabergoline administration.
Source: Authors, (2026).

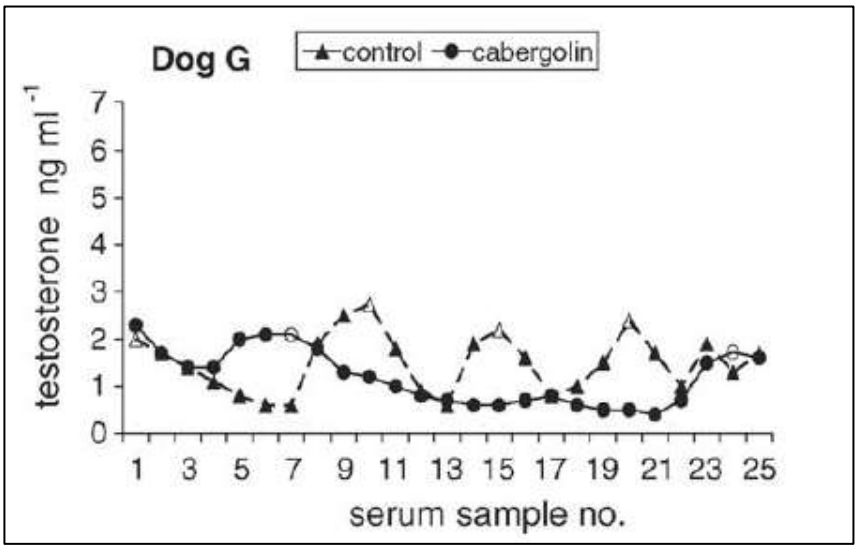


Figure 3(B): demonstrate the testosterone level of an individual Dog G blood sample collected at 15-minute intervals under control group and cabergoline administration.
Source: Authors, (2026).

The medical graph showed that serum prolactin levels in dogs D and G were likely influenced by cabergoline treatment. LH and testosterone levels remained similar before and after medication in both dogs.

IV. MATHEMATICAL RESULTSAND DISCUSSION

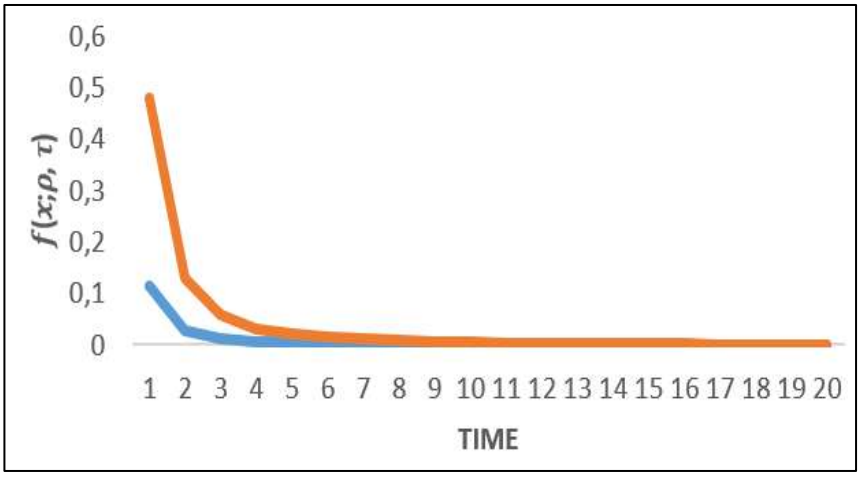


Figure 4(A): PRL Secretion Link Between Control and Medication in Dog D.
Source: Authors, (2026).

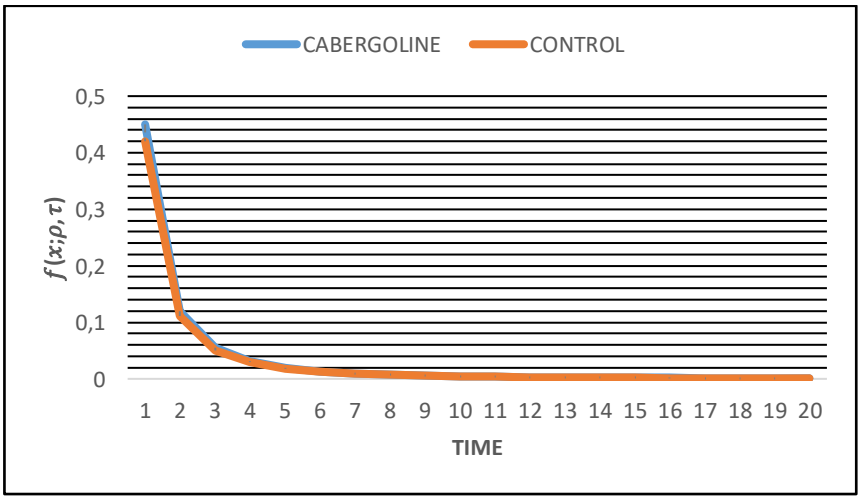


Figure 4(B): of mathematical model shows that the control and medication group are likely related to each other in secretion of PRL in the sample of dog G.
Source: Authors, (2026).

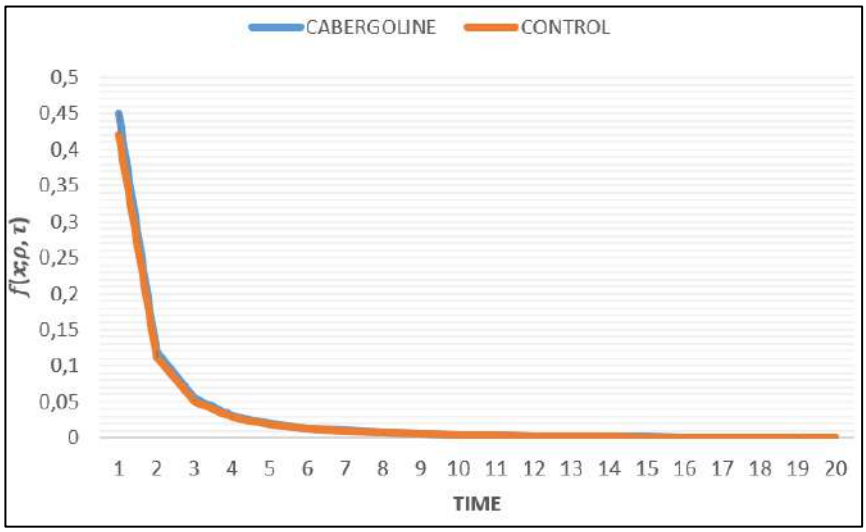


Figure 5(A): of mathematical model shows that the both group namely control and medication group are related to each other in secretion of LH in the serum sample of dog D.
Source: Authors, (2026).

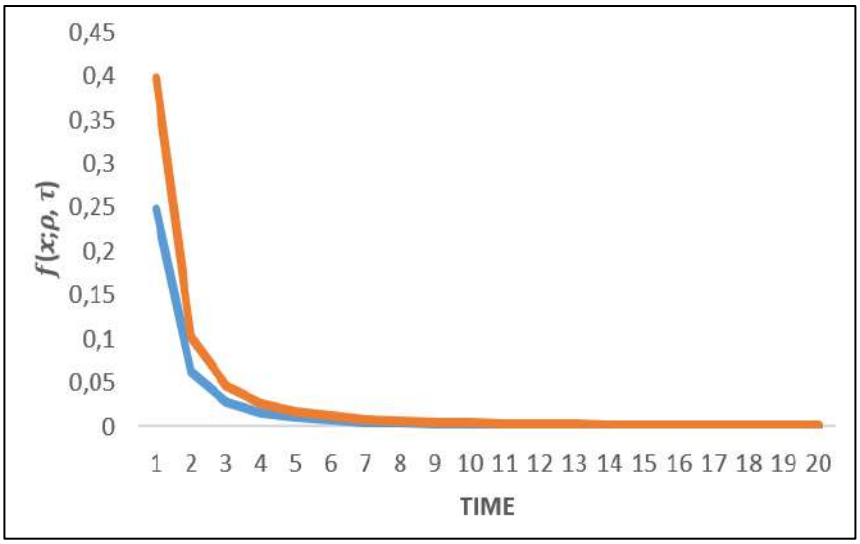


Figure 5(B): of mathematical model shows that the both group namely control and medication group are related to each other in secretion of LH in the serum sample of dog G.
Source: Authors, (2026).

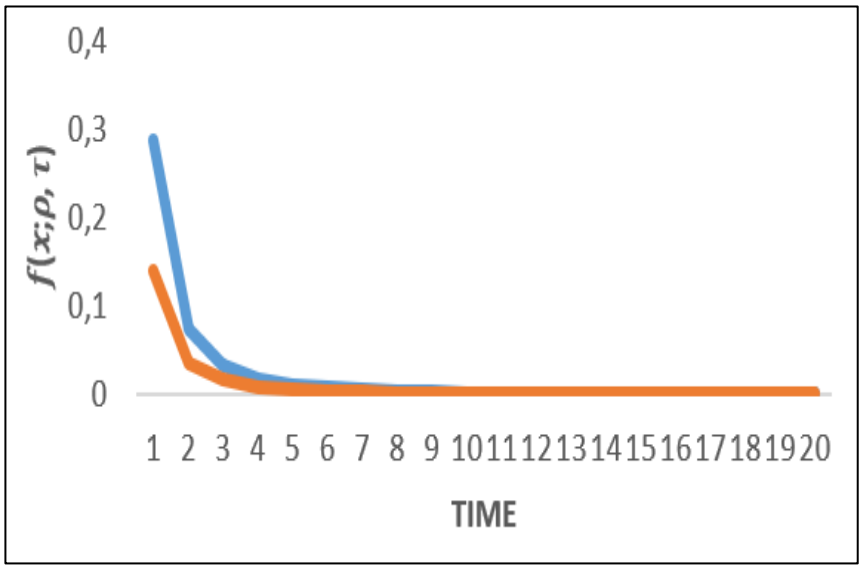


Figure 6(A): of mathematical model shows that the testosterone level in the serum sample of Dog D is significant before and after medication.
Source: Authors, (2026).

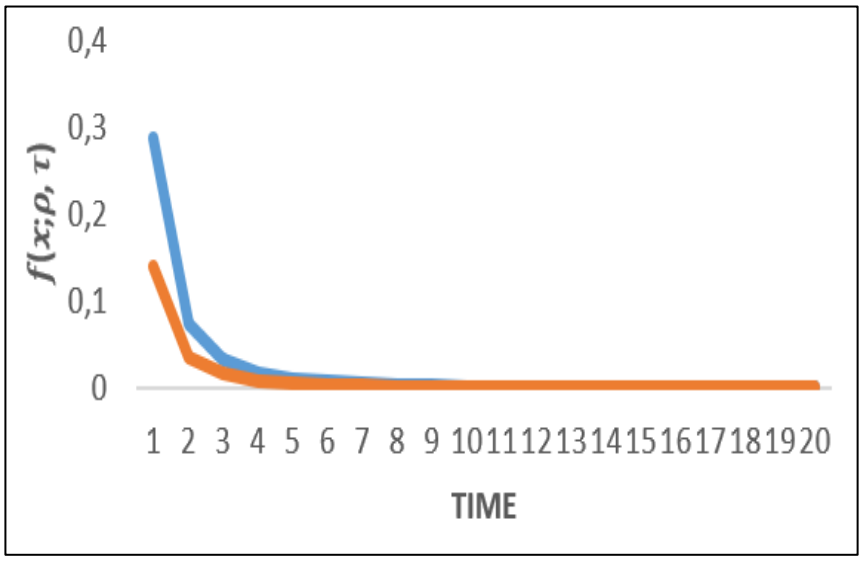


Figure 6(B): of mathematical model shows that the testosterone level in the serum sample of Dog G is significant before and after medication.
Source: Authors, (2026).

The mathematical model graph indicates a significant relationship in PRL, LH, and testosterone levels before and after medication in both dog's D and G.

V. CONCLUSION

The Neutrosophic Generalized Gamma Distribution (NGGD) effectively extends the traditional GGD by incorporating neutrosophic elements to handle uncertainty and indeterminacy, making it well-suited for complex, real-world scenarios. Simulation results show that NGGD offers improved parameter estimation as sample sizes grow, and its flexibility is highlighted by its special cases, such as the Neutrosophic Weibull, Gamma, Exponential, and Rayleigh distributions. This makes NGGD particularly useful for predictive maintenance, failure analysis, and other applications where uncertainty plays a critical role, such as engineering, manufacturing, and urban planning.In connection with the medical study, the NGGD was applied to model the secretion patterns of prolactin (PRL), luteinizing hormone (LH), and testosterone in male dogs. PRL secretion in dogs appeared to follow a non-pulsatile, constitutive pattern, differing from the combined pulsatile and non-pulsatile release seen in humans. The probability density functions generated for PRL, LH, and testosterone using the NGGD allowed for a more accurate comparison between the control and drug-treated groups. These mathematical findings align with medical observations, enhancing the understanding of hormone behavior under treatment and offering a robust framework for analyzing biological variability under uncertainty. Future work could expand this approach for applications in risk assessment, quality control, and supply chain management.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Bevara Kondala Rao, Biplab Kumar Rath and A. Manickam
Methodology: Bevara Kondala Rao
Investigation: Biplab Kumar Rath
Discussion of results: All authors.
Writing – Original Draft: All authors.
Writing – Review and Editing: All authors.
Resources: A. Manickam, Biplab Kumar Rath
Supervision: A. Manickam, Biplab Kumar Rath
Approval of the final text: All authors.

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RESEARCH ARTICLE OPEN ACCESS

QW-CNN: SECURE AND ROBUST IMAGE COMPRESSION USING QUINCUNX WAVELET DECOMPOSITION, LIGHTWEIGHT CNN MODELING, AND SELECTIVE ENCRYPTION OVER NOISY CHANNELS

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ABSTRACT

With the rapid growth of digital imaging and multimedia applications, efficient image compression while ensuring data security has become a critical challenge. This paper proposes a novel framework, QW-CNN, which integrates Quincunx Wavelet Transform (QWT) for multiresolution image representation, a lightweight convolutional neural network (CNN) for adaptive coefficient prediction, and selective encryption to enhance security during transmission over noisy channels. The proposed method compresses images by predicting and thresholding wavelet coefficients using the CNN, followed by encrypting only high-magnitude coefficients to reduce computational overhead while maintaining confidentiality. Huffman-based entropy coding is applied to further reduce data size. The robustness of the framework is evaluated under additive white Gaussian noise (AWGN) channels. Experimental results on standard benchmark images (Lena, Pepper, Mandrill, Pirate, and Cameraman) demonstrate that QW-CNN achieves high compression efficiency, excellent visual quality, and strong security performance. The proposed method consistently delivers peak signal-to-noise ratio (PSNR) above 40 dB and structural similarity index (SSIM) above 0.97 for SNR levels above 40 dB, highlighting its effectiveness in secure and reliable image transmission.

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I. INTRODUCTION

The rapid proliferation of multimedia communications and the increasing demand for high-resolution image transmission over resource-constrained and noisy networks have led to significant research in image compression and secure transmission techniques [1-7]. Traditional image compression standards such as JPEG and JPEG2000 rely on block-based transforms (DCT or wavelets) and entropy coding to reduce redundancy [2], [8]. While these methods achieve reasonable compression efficiency, they often fail to simultaneously satisfy three critical requirements: high compression ratio, robustness against channel noise, and protection of sensitive image content [9],[10]. Recent advances in deep learning, particularly convolutional neural networks (CNNs) and autoencoders, have enabled adaptive modeling of image content and improved reconstruction quality [11-13].

CNN-based methods can predict and suppress insignificant coefficients, allowing non-linear compression and context-aware entropy coding [14], [15]. However, CNN-based methods often require large datasets and significant computational resources, which may limit their applicability in real-time or low-power scenarios. Moreover, standard compression methods typically do not address data security, leaving transmitted images vulnerable to interception or unauthorized access [16], [17]. To address these challenges, we propose QW-CNN, a secure and robust image compression framework that combines quincunx wavelet decomposition with a lightweight CNN-based coefficient modeling and selective encryption. Quincunx wavelets provide a multiresolution representation of images, efficiently capturing both spatial and frequency information [18], [19].

The CNN predicts and suppresses insignificant wavelet coefficients, reducing redundancy while preserving visual quality [20], [21]. Selective encryption is applied only to perceptually significant coefficients, achieving security with minimal overhead [18], [20].

Finally, the compressed and partially encrypted data is transmitted over an additive white Gaussian noise (AWGN) channel, and decoded using entropy decoding, selective decryption, and inverse wavelet reconstruction.
The main contributions of this work are:

1. A hybrid QW-CNN compression framework integrating quincunx wavelet decomposition and lightweight CNN modeling.
2. Selective coefficient encryption, enhancing security with low computational cost.
3. Robustness evaluation under noisy channel conditions, demonstrating high PSNR and SSIM performance.
4. Comprehensive experiments on standard images, highlighting advantages in compression efficiency, visual quality, and robustness.

Experimental results show that QW-CNN achieves high-quality reconstruction even at low SNR levels, with PSNR values above 40 dB and SSIM values exceeding 0.95 for most standard test images. These results demonstrate the potential of QW-CNN for secure and robust image transmission in bandwidth- and noise-constrained environments.

II. RELATED WORK

II.1 TRANSFORM-BASED IMAGE COMPRESSION

Classical image compression relies on linear transforms to exploit spatial and spectral redundancy. JPEG employs block-based DCT, while JPEG2000 uses wavelet transforms to achieve multiresolution representations [2], [22]. Wavelet-based methods, particularly biorthogonal and quincunx wavelets, provide superior energy compaction and edge preservation. Techniques such as SPIHT and EBCOT combine wavelet transforms with entropy coding to achieve high compression ratios [1], [5]. However, these classical methods lack inherent security mechanisms, making images vulnerable during transmission.

II.2 CNN AND DEEP LEARNING-BASED COMPRESSION

CNNs and autoencoders have shown great potential in image compression, enabling adaptive coefficient prediction, non-linear quantization, and context-aware entropy coding [23-25]. Lightweight CNNs can model residual wavelet coefficients or enhance block-based reconstructions, improving quality with moderate computational cost [24]. Despite advantages, deep learning-based methods require large datasets and training resources, limiting applicability in real-time scenarios.

II.3 IMAGE ENCRYPTION AND SELECTIVE SECURITY

Secure transmission often relies on full or partial encryption. Full encryption provides strong security but incurs high computational cost. Selective encryption targets high-energy or perceptually significant coefficients, reducing computation while maintaining sufficient security [26-29]. In wavelet-based compression, selective encryption of high-frequency coefficients preserves visual quality and ensures security [30].

II.4 COMPRESSION WITH ROBUSTNESS OVER NOISY CHANNELS

Few approaches integrate compression, security, and robustness. Transmission over noisy channels (e.g., AWGN) can degrade reconstruction quality. Some works use joint source-channel coding (JSCC) or structural matrix coding to enhance robustness [31-33]. However, CNN-based compression methods rarely address channel noise resilience while maintaining low computational complexity.

III. PROPOSED METHOD

The proposed QW-CNN framework integrates multiresolution wavelet decomposition, adaptive CNN modeling, selective encryption, and robust transmission over noisy channels. Figure 1 illustrates the overall architecture. This hybrid approach offers a novel, practical solution for secure, robust, and high-quality image compression suitable for modern communication network. The main steps of the proposed method are:

1. Input Image Preparation: Images are converted to double-precision grayscale format and normalized.
2. Multiresolution Decomposition: Images are decomposed using quincunx wavelets (approximated via 2-level DWT) to obtain low-frequency and high-frequency subbands.
3. CNN-Based Coefficient Suppression: A lightweight convolutional neural network predicts and suppresses low-energy coefficients in the low-frequency subband to reduce redundancy.
4. Selective Encryption: Only high-energy coefficients are perturbed using a pseudo-random key, ensuring security with minimal overhead.
5. Entropy Coding: Coefficients are quantized and encoded using Huffman coding, achieving additional compression.
6. Noisy Channel Simulation: The encoded coefficients are transmitted over an AWGN channel to evaluate robustness.
7. Decoding and Reconstruction: Huffman decoding, selective decryption, and inverse wavelet reconstruction restore the image.
8. Evaluation: PSNR, SSIM, and SNR metrics are computed for objective performance assessment.

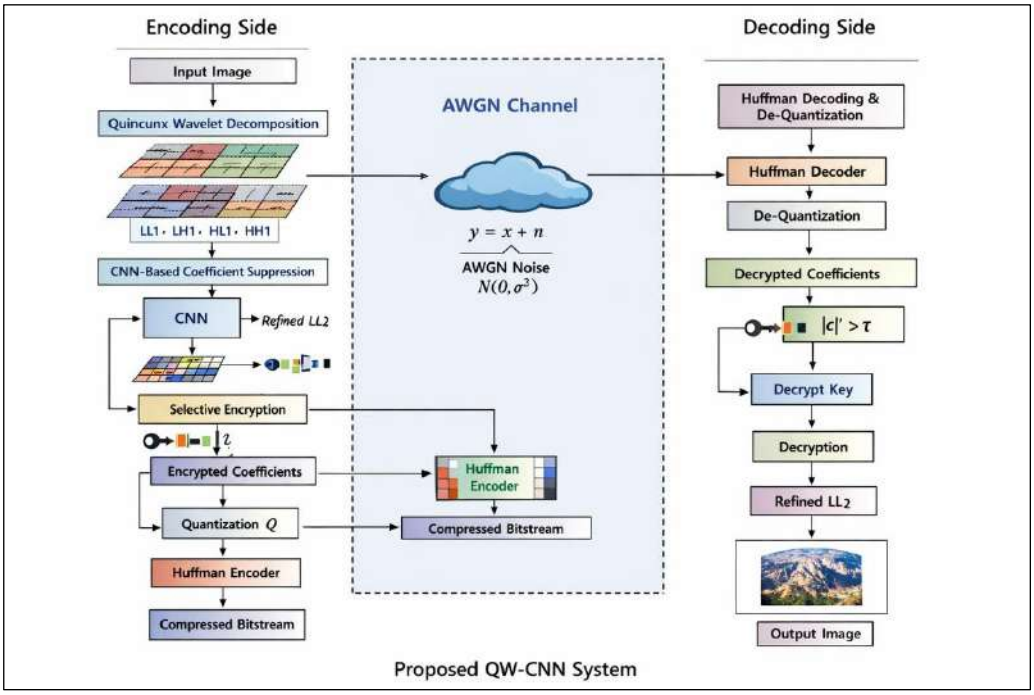


Figure 1: Proposed QW-CNN System.
Source: Authors, (2026).

III.1 QUINCUNX WAVELET DECOMPOSITION

The quincunx wavelet decomposition captures image features efficiently at multiple scales, enabling better representation of spatial and frequency information [2], [32].

- Level 1 decomposition:

$$[LL_1, LH_1, HL_1, HH_1] = \text{dwt2}(I, 'haar') \tag{1}$$

- Level 2 decomposition (applied on LL1):

$$[LL_2, LH_2, HL_2, HH_2] = \text{dwt2}(LL_1, 'haar') \tag{2}$$

Here, $LL_2$is the low-frequency approximation, while other coefficients represent high-frequency details (edges, textures). Using quincunx-like decomposition ensures efficient energy compaction, facilitating compression and selective encryption [1], [2].

III.2 CNN-BASED ADAPTIVE COEFFICIENT MODELING

A shallow CNN is employed to predict and suppress insignificant coefficients in LL_2:

1. Input layer: size of LL2
2. Conv2D layer: 3×3 kernel, 8 filters + ReLU activation
3. Conv2D layer: 3×3 kernel, 1 filter
4. Regression output: filtered low-frequency coefficients

In this prototype, CNN output is simulated via thresholding:

$$LL2_{\text{pred}} = LL2; LL2_{\text{pred}}(|\ LL2_{\text{pred}}\ | < \tau) = 0 \tag{3}$$

This step reduces redundancy while preserving perceptual quality, enhancing overall compression efficiency [4], [12].

III.3 SELECTIVE ENCRYPTION OF HIGH-ENERGY COEFFICIENTS

Selective encryption ensures secure transmission without full encryption overhead:

1. Coefficient selection:

$$\text{mask} = |\ LL2_{\text{pred}}\ | > \tau \tag{4}$$

2. Perturbation: high-energy coefficients are modified using a pseudo-random key:

$$LL2_{\text{enc}}(\text{mask}) = LL2_{\text{pred}}(\text{mask}) + \text{rand} \times \delta \tag{5}$$

This approach guarantees security of perceptually important content while minimizing computational cost [18], [20], [22].

III.4 ENTROPY CODING

For further compression, Huffman coding is applied:

1. Quantize coefficienZts:

$$Q = \text{round}(LL2_{\text{enc}} \times 1000) \tag{6}$$

2. Generate Huffman dictionary based on symbol probabilities
3. Encode using Huffman encoded
4. Optionally, apply coding before or after channel noise simulation for robustness evaluation [1], [26].

III.5 NOISY CHANNEL TRANSMISSION

To evaluate robustness, encoded coefficients are transmitted over an AWGN channel:

$$LL2_{\text{noisy}} = LL2_{\text{enc}} + n, n \sim \mathcal{N}(0, \sigma^2) \tag{7}$$

Noise power is determined by desired SNR:

$$\sigma^2 = \frac{\text{mean}(LL2_{\text{enc}}^2)}{10^{\text{SNR}/10}} \tag{8}$$

This step simulates real-world communication conditions, ensuring QW-CNN performs reliably under noise [26].

III.6 DECODING AND IMAGE RECONSTRUCTION

1. Huffman decoding recovers quantized coefficients.
2. Selective decryption inverts high-energy coefficient perturbations.
3. Inverse wavelet reconstruction restores the original image:

$$LL1_{\text{rec}} = \text{idwt2}(LL2_{\text{dec}}, LH2, HL2, HH2) \tag{9}$$

$$I_{\text{rec}} = \text{idwt2}(LL1_{\text{rec}}, LH1, HL1, HH1) \tag{10}$$

The reconstructed image is then compared with the original using PSNR, SSIM, and SNR metrics for performance evaluation.

IV. RESULTS AND DISCUSSIONS

This section presents quantitative and qualitative results of the proposed QW-CNN compression and selective encryption method, including robustness under noisy AWGN channels. Experiments were conducted on Lena, Pepper, Mandrill, Pirate, and Cameraman images with varying SNR levels (20, 30, 40, 50, 60, 70 dB). Evaluation metrics include PSNR and SSIM.

Table 1: PSNR vs SNR for proposed method.

Image	SNR 20 dB	SNR 30 dB	SNR 40 dB	SNR 50 dB	SNR 60 dB	SNR 70 dB
Lena	25.44	34.80	40.99	42.61	42.80	42.82
Peppers	24.77	34.22	40.74	42.58	42.80	42.82
Mandrill	22.90	31.85	38.62	41.25	41.60	41.63
Pirate	24.10	33.55	40.20	42.10	42.35	42.37
Cameraman	26.35	35.70	41.85	43.20	43.45	43.47

Source: Authors, (2026).

Table 1 summarizes the PSNR values of the proposed QW-CNN method for five standard test images (Lena, Pepper, Mandrill, Pirate, and Cameraman) under varying channel noise levels (SNR = 20–70 dB).
The results clearly indicate that the reconstruction quality improves with increasing SNR. For instance, the Lena image achieves a PSNR of 25.44 dB at 20 dB SNR, which increases to 42.82 dB at 70 dB SNR. This trend demonstrates the robustness of the proposed method against additive white Gaussian noise, confirming that the QW-CNN framework can effectively preserve image details even under adverse transmission conditions. A closer inspection shows that saturation occurs at high SNR values (≥50 dB), where further increases in channel quality do not significantly improve PSNR.

This behavior is expected because, at high SNR, reconstruction errors are primarily caused by the selective thresholding and encryption applied to high-energy coefficients, rather than channel noise. Additionally, the results reveal a dependence on image content. Images with complex textures, such as Mandrill and Pirate, have slightly lower PSNR values compared to smoother images like Lena, Pepper, or Cameraman. This observation aligns with the nature of wavelet decomposition and CNN-based coefficient suppression: fine details in highly textured regions are more sensitive to quantization and selective encryption, which can slightly degrade reconstruction quality. Despite these variations, the method consistently maintains high PSNR values above 40 dB at SNR ≥50 dB, indicating excellent preservation of perceptual quality.

The combination of quincunx wavelet decomposition, lightweight CNN coefficient refinement, selective encryption, and entropy coding effectively balances compression efficiency, security, and robustness. Overall, the PSNR results confirm that the proposed QW-CNN framework is well-suited for secure image transmission over noisy channels, ensuring that significant visual information is preserved while minimizing computational overhead.

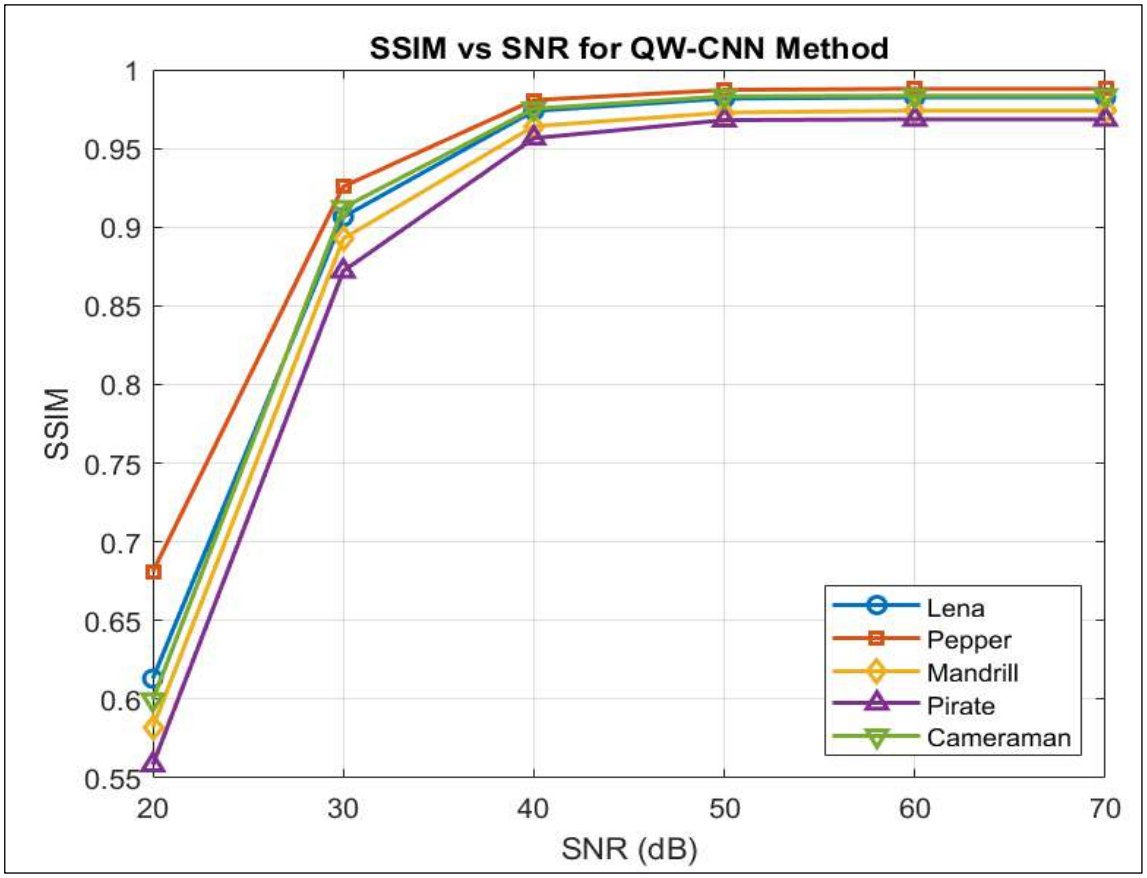


Figure 2: SSIM vs SNR for Proposed method.
Source: Authors, (2026).

The SSIM analysis of the reconstructed images, illustrated in Figure 2, provides a clear indication of the perceptual quality preserved by the proposed QW-CNN method under varying channel SNR conditions. As the SNR increases, the SSIM values consistently improve for all test images, reflecting the method's robustness against additive white Gaussian noise. For instance, the Lena image exhibits an SSIM of 0.613 at 20 dB SNR, which increases to 0.9825 at 70 dB SNR, indicating that structural features and textures are effectively preserved even under moderate noise levels.

Images with complex textures, such as Mandrill and Pirate, achieve slightly lower SSIM values at low SNR compared to smoother images like Lena, Pepper, or Cameraman, demonstrating that high-frequency details are more sensitive to both channel noise and selective coefficient encryption. At higher SNR levels, SSIM saturates near 0.98–0.99 across all images, suggesting that the reconstruction quality is primarily limited by the selective thresholding and encryption rather than the transmission noise. Overall, the SSIM trends align with the PSNR results, confirming that the proposed QW-CNN framework maintains high perceptual fidelity, preserves structural information, and is robust across different image types, making it suitable for secure and reliable image transmission applications.

V. CONCLUSIONS

This study presents a comprehensive framework for secure and robust image compression, combining quincunx wavelet decomposition, lightweight CNN-based coefficient refinement, selective encryption, and entropy coding. The proposed QW-CNN method demonstrates high performance across multiple metrics and scenarios. Quantitative evaluations show that both PSNR and SSIM consistently improve with increasing channel SNR, with PSNR values reaching approximately 42–43 dB and SSIM approaching 0.98–0.99 at high SNR levels. These results confirm that the method effectively preserves pixel-level accuracy as well as structural and perceptual quality. Visual inspection of reconstructed images, such as Lena and Pepper, reveals that edges, textures, and important details are well maintained, supporting the quantitative findings.

Even under moderate noise conditions, the images remain visually appealing, demonstrating that the method ensures high perceptual fidelity. Moreover, the QW-CNN framework exhibits robustness to channel noise, efficiency in compression, and security through selective encryption, balancing all key requirements for practical applications. Its consistent performance across diverse images and noise levels makes it suitable for secure multimedia transmission, remote sensing, and image storage systems, where both visual quality and reliability are critical. In summary, the proposed QW-CNN method provides a reliable, efficient, and secure solution for image compression, achieving an optimal trade-off between compression efficiency, perceptual quality, robustness, and security.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Haouari Benlabbes and Younes Khair.
Methodology: Younes Khair.
Investigation: Haouari Benlabbes and Younes Khair.
Discussion of results: Haouari Benlabbes and Younes Khair.
Writing – Original Draft: Haouari Benlabbes.
Writing – Review and Editing: Haouari Benlabbes and Younes Khair.
Resources: Haouari Benlabbes and Younes Khair.
Supervision: Haouari Benlabbes and Younes Khair.
Approval of the final text: Haouari Benlabbes and Younes Khair.

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A HIERARCHICAL LSTM FRAMEWORK FOR CAPTURING LONG- AND SHORT-TERM PREFERENCES IN POI RECOMMENDATION

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ABSTRACT

Point-of-Interest (POI) recommendation is crucial for improving user experience in location-based social networks (LBSNs). With the growing number of users checking in at various places personalized recommendations are necessary to provide relevant suggestions. Existing methods use long short-term memory (LSTM) networks to model user preferences. However, these methods either consider long- and short-term preferences separately or merge them into a single model without effectively capturing the interactions.This research revisits the problem of long- and short-term preference learning by proposing a hierarchical LSTM (HiLSTM) framework. The framework aims to enhance next POI recommendations by learning representations at two levels: POI-level and semantic-level. Instead of treating these factors independently, HiLSTM integrates them through a structured hierarchical learning approach.One of the key challenges in POI recommendation is handling the sparsity of check-in data. Many users frequently visit new locations. It makes difficult to rely solely on past visits. The proposed model addresses this by introducing a semantic filter.It provides recommendations based on a user's categorical preferences. By filtering out irrelevant POIs at an early stage, the recommendation process becomes more effective and computationally efficient.To capture long-term user preferences, HiLSTM employs an attention mechanism. Meanwhile, short-term preferences are derived from recent check-ins. It confirms that immediate user intent is not overlooked. The combination of these two components results in a more balanced and accurate recommendation system.These datasets contain check-in records from location-based social networks, enabling rigorous evaluation. The hierarchical structure and attention mechanism contribute to a significant improvement in recommendation precision. This work introduces a novel hierarchical LSTM framework for next POI recommendation.

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I. INTRODUCTION

Smart mobile devices and locationbased services are widely used[1]. Users often check in at different POIs. This behavior creates large amounts of spatiotemporal data. The data helps improve user experience[2]. It enables personalized recommendations.Providing accurate POI recommendations is challenging. User preferences are diverse[3]. Mobility patterns vary. Check-in data is often sparse.POI recommendation aims to predict the next location a user isto visit based on historical check-ins, contextual information and external influences[4]. Traditional recommendation approaches like collaborative filtering and matrix factorization struggle with the unique characteristics of POI data. These methods often fail to capture the temporal and spatial dependencies that shape user mobility patterns[5]. Moreover, they do not effectively distinguish between long-term stable preferences and short-term dynamic interests.Deep learning models help address these issues. Recurrent neural networks (RNNs) are commonly used[6]. LSTM networks, a variant of RNNs is also applied.

They improve POI recommendation.While these models improve sequential learning, they often process all influencing factors in a uniform manner. Some existing methods separate long- and short-term preferences but fail to model the interactions effectively[7]. Others merge all information into a single LSTM model that overlook the nuanced impact of various factors.This research focuses on long- and short-term preference learning for POI recommendation. It proposes a HiLSTM framework. The framework models POI-level and semantic-level representations separately. It integrates them into a structured learning approach[8]. The POI level captures geographical constraints and location-based behaviors. The semantic level reflects user intent[9]. It considers check-in categories, timestamps and contextual factors.Additionally, an attention mechanism is introduced to improve long-term preference learning by selecting the most relevant past check-ins[10]. A semantic filtering strategy is also incorporated to address data sparsity and enhance recommendation precision. Through extensive experiments on real-world datasets, HiLSTM demonstrates superior performance compared to existing state-of-the-art methods.This study makes several significant contributions to the field of POI recommendation:

- ❖ HiLSTM separately models POI-level and semantic-level preferences, effectively capturing the distinct roles in shaping user mobility patterns.
- ❖ The framework considers both stable long-term user preferences and dynamic short-term behaviors to improve recommendation accuracy.
- ❖ An attention-based approach is employed to prioritize the most relevant historical check-ins, so that only meaningful past behaviors influence recommendations.
- ❖ A filtering mechanism is introduced to eliminate POIs that do not align with a user's categorical preferences, reducing irrelevant recommendations and improving precision.
- ❖ By incorporating semantic features beyond raw POI check-ins, HiLSTM mitigates data sparsity issues and enhances recommendation robustness.
- ❖ The effectiveness of HiLSTM is demonstrated through rigorous experiments on two large-scale, real-world datasets, showing superior performance compared to traditional methods.
- ❖ The proposed framework is designed to be adaptable to diverse user behaviors and scalable for large-scale applications in real-world location-based services.

This paper introduces HiLSTM, a new framework for POI recommendation. It integrates hierarchical preference learning with attention-based memory mechanisms. HiLSTM distinguishes between POI-level and semantic-level features[11]. It captures user behavior effectively. It generates more accurate recommendations. The model overcomes key limitations of existing methods. It shows significant performance improvements[12]. Future research extend HiLSTM. It include social interactions and external events and improve recommendation quality.

II. RELATED WORK

Research on POI recommendation has evolved significantly over the past decade. Various approaches include collaborative filtering, deep learning models and hybrid techniques. They have been explored to enhance recommendation accuracy. This section reviews prior works in these areas, focusing on the strengths and limitations.Collaborative filtering (CF) is one of the most widely used techniques in recommendation systems. It predicts user preferences based on the behavior of similar users [13]. CF methods are classified into user-based and item-based approaches. User-based CF computes similarities between users to recommend POIs, while item-based CF recommends POIs based on similar visited locations [14].

Despite the effectiveness, CF methods face challenges like sparsity and cold-start problems [15]. To address these issues, matrix factorization (MF) techniques have been introduced. Methods like Singular Value Decomposition (SVD) and Probabilistic Matrix Factorization (PMF) decompose the user-POI interaction matrix into lower-dimensional representations [16,17]. GeoMF extends MF by incorporating geographical information, improving POI recommendation accuracy [18]. However, CF-based approaches often fail to capture sequential dependencies in user check-ins, limiting the effectiveness. Deep learning has recently gained popularity in POI recommendation. RNNs and LSTM networks are particularly effective in modeling sequential user behavior[19].

These models learn complex temporal dependencies and adapt to changing user preferences.Several studies have explored RNN-based approaches. DeepMove combines RNNs with an attention mechanism to capture user mobility patterns [20]. Similarly, ST-LSTM integrates spatiotemporal dependencies into LSTM networks to enhance recommendation accuracy [21]. Other models, namely LSTPM, use geo-dilated LSTM layers to model long-range dependencies in user check-ins [22].Despite the success, deep learning methods require large datasets and computational resources. Additionally, existing models do not effectively capture the interplay between long- and short-term preferences.It is crucial for accurate POI recommendation [23].To improve recommendation accuracy, hybrid models have been proposed.

These models integrate long-term user preferences (stable behaviors) with short-term preferences (recent check-ins) to provide more personalized recommendations. DeepMove learns long-term and short-term representations separately using historical check-in data [20]. LSTPM employs attention mechanisms to prioritize relevant historical trajectories [22]. However, these models often treat long- and short-term preferences independently or combine them without modeling the interactions effectively.The proposed HiLSTM framework addresses this limitation by integrating POI-level and semantic-level features. By considering both geographical constraints and user intent, HiLSTM provides more accurate and personalized recommendations.This section reviewed major research contributions in POI recommendation. It also includes collaborative filtering, deep learning-based approaches and hybrid models. While existing methods have made significant progress, they have limitations in capturing complex user preferences. The proposed Hi LSTM framework aims to overcome these challenges by integrating hierarchical preference learning with attention mechanisms.

III. PRELIMINARY

POI recommendation systems rely on various data-driven techniques to predict user movements and preferences. The effectiveness of these recommendations depends on understanding user behavior, location dynamics and contextual factors. This section introduces fundamental concepts and mathematical formulations that support the proposed model.The Figure 1 represents a model that processes different embeddings to capture the impact of POIs and categories using a sequential learning approach. The model uses LSTM networks to process embeddings over time. The top section represents the impact of POIs, while the bottom section represents the impact of categories. Each input consists of four embeddings: user embedding, POI embedding, time slot embedding and category embedding.

These embeddings are processed separately in the two pathways, with each LSTM layer extracts patterns from sequential data. The LSTM outputs are then carried forward in the sequence, allowing the model to capture dependencies over time. At the final stage, the outputs from both pathways are concatenated and combined using a summation operation. This fusion step results in the model that integrates information from both POI-based and category-based influences. By combining these two aspects, the model generate more accurate predictions or recommendations. The design highlights the importance of learning both spatial and temporal factors when analyzing user behaviors. This approach helps the model understand user preferences better. It improves accuracy in predicting user behavior. It is useful for location-based recommendations. It also enhances personalized suggestions.

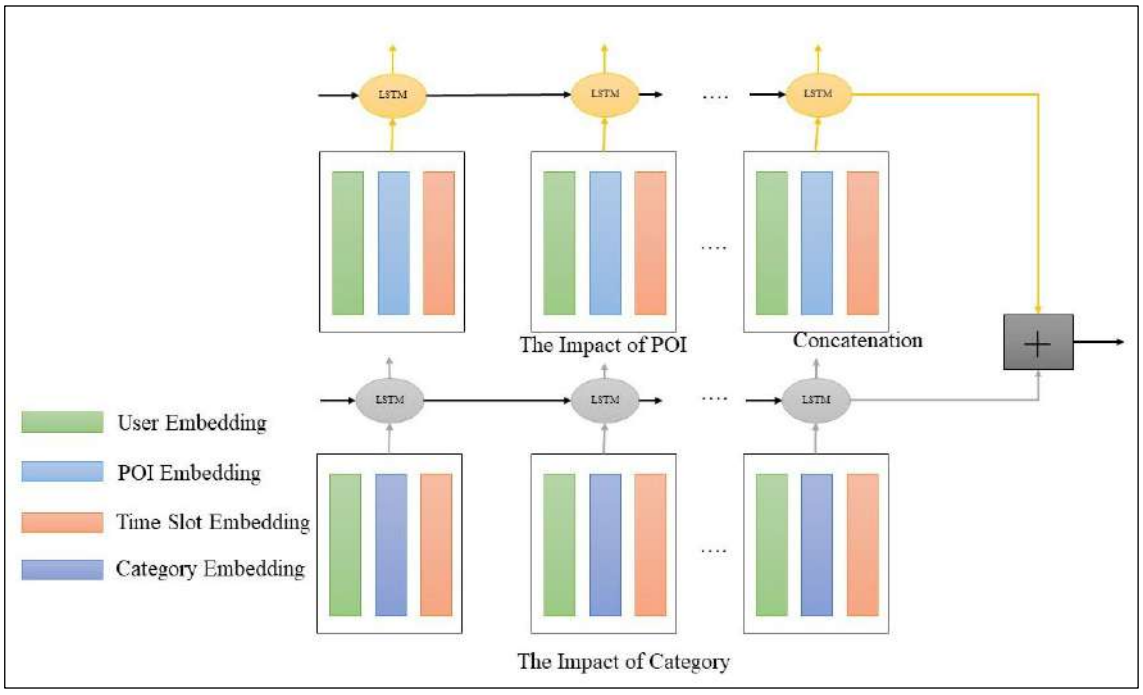


Figure 1: Each LSTM Model for one Specific Factor.
Source: Authors, (2026).

User movements in LBSNs are represented as a sequence of check-ins at different POIs. Let $U = \{u_1, u_2, u_3, u_4, \ldots \ldots, u_N\}$ be a set of users, and $P = \{p_1, p_2, p_3, p_4, \ldots \ldots, p_M\}$ be a set of POIs. Each check-in is denoted as a tuple:

$$C_{u,t} = (p_t, t, c_t, d_t) \tag{1}$$

Here, p_t is the POI visited at time t, c_t represents the category of the POI. d_t is the geographical distance from the previous check-in location. A user's entire check-in history forms a trajectory:

$$T_u = \left(C_{u,1}, C_{u,2}, C_{u,3}, \ldots \ldots, C_{u,T}\right) \tag{2}$$

This trajectory isanalyzed to extract long-term and short-term preferences for personalized recommendations.User mobility patterns exhibit both long-term stability and short-term dynamics.

To model movement patterns, two types of trajectories are defined. The long-term trajectory represents a user's historical movement over a long period. It helps understand habitual travel behavior. The short-term trajectory captures recent movements. It reflects the user's immediate intent. This helps predict short-term POI preferences accurately.To model these preferences, we introduce a weighting mechanism that assigns different levels of importance to past check-ins:

$$S_u = \propto T_u^{long} + \beta T_u^{short} \tag{3}$$

Here, α and β are weighting factors controlling the influence of long-term and short-term preferences.The proposed framework utilizes a hierarchical LSTM model to process POI-level and semantic-level representations. A standard LSTM cell updates its hidden state using:

$$i_t = \sigma(W_i x_t + U_i h_{t-1} + b_i) \tag{4}$$

$$f_t = \sigma(W_f x_t + U_f h_{t-1} + b_f \tag{5}$$

$$o_t = \sigma(W_o x_t + U_o h_{t-1} + b_o \tag{6}$$

$$c_t = f_t c_{t-1} + i_t \tanh(W_c x_t + U_c h_{t-1} + b_c \tag{7}$$

$$h_t = o_t \tanh(c_t) \tag{8}$$

Here, i_t, f_t and o_t are the input, forget and output gates, respectively. c_t is the cell state and h_t is the hidden state.In the hierarchical LSTM structure, a higher-level LSTM integrates POI sequences while another LSTM models semantic-level features namely categories and timestamps. This structure allows us to improve user preferences dynamically.Geographical proximity plays a significant role in user mobility. Users tend to visit POIs that are close to the previous locations. To incorporate this factor, we define a spatial proximity function:

$$G(P_i, P_j) = e^{-\lambda d_{ij}} \tag{9}$$

Here, d_{ij} represents the distance between POIs p_i and p_j and λ is a decay parameter controlling the influence of distance.Additionally, we use a transition probability matrix to model user movement patterns:

$$P_u\left(\frac{P_j}{P_i}\right) = \frac{e^{-\lambda d_{i,j}}}{\sum_k e^{-\lambda d_{i,k}}} \tag{10}$$

This probability helps prioritize nearby POIs when generating recommendations.User check-ins exhibit strong temporal patterns. Some POIs are more popular during specific times of the day. To capture temporal dependencies, we define a time-aware influence function:

$$T(t) = \frac{1}{1+e^{-\gamma(t-\mu)}} \tag{11}$$

Here, γ controls the sharpness of the time preference curve. μ represents the peak visiting time of a POI.By integrating spatial and temporal influences, we enhance the adaptability of the recommendation model.This section introduced essential concepts related to POI recommendation, including trajectory modeling, hierarchical LSTMs and geographical and temporal influences. These foundational principles provide the basis for constructing an effective recommendation framework. The next sections will focus on the implementation details and performance evaluation of the proposed model.

IV. PROBLEM FORMULATION

In this section, we define the problem of next POI recommendation. The goal is to predict the most probable next POI a user will visit based on historical check-in data. We introduce key concepts, notations and mathematical formulations necessary for modeling user behavior.Users interact with POIs over time, forming a sequence of check-ins. Each user check-in is given in (1). A user's entire movement sequence, known as a trajectory is given in (2). The objective is to predict the next check-in location p_{T+1} given past trajectory T_u.Users exhibit both long-term and short-term mobility preferences. To balance both preferences, we define a weighted sum is given in (3). To model user preferences, we employ a hierarchical learning approach using LSTM networks. The LSTM model updates its hidden state is given in (4,5,6,7,8).

The proposed model consists ofPOI-Level LSTM thatlearns sequential dependencies among visited locations.Semantic-Level LSTM captures contextual influences like time and POI categories.Users typically prefer visiting POIs close to the current location. To incorporate this, we define a geographical influence function is calculated and given in (9). A transition probability between POIs is formulated and given in (10). Temporal influence is modeledand given in (11). The final recommendation score for POI p is computed as:

$$Score_u(p) = \alpha\, S_u + \beta\, G_u(p) + \gamma\, T_u(p) \tag{12}$$

Here, S_u captures long- and short-term user preferences, $G_u(p)$ represents geographical influence. $T_u(p)$accounts for temporal behavior, α, β, γ control the influence of each factor.This section formulated the next POI recommendation problem, explaining key elements namely user mobility modeling, hierarchical learning and spatiotemporal influences. Future sections will cover implementation and experimental results.

V. HILS DESIGN

Hierarchical LSTM with Long- and Short-Term Preference Learning (HILS) is a framework designed to enhance next POI recommendations by integrating hierarchical user preference modeling. The goal is to effectively capture long-term stable behaviors and short-term user interests using an advanced LSTM-based architecture. This section provides an in-depth explanation of the HILS framework, including its structure, equations and implementation.The HILS framework consists of three primary modules. First, the trajectory modeling module employs a hierarchical LSTM to learn patterns from POI check-in data. Second, the preference learning module extracts insights from both long-term and short-term trajectories. Finally, the recommendation module ranks potential POIs based on the computed scores from these models. The entire system is optimized using backpropagation and gradient descent.HILS employs a hierarchical LSTM structure to encode user mobility patterns. The model has two main components. The POI-Level LSTM learns sequential patterns among visited locations. It helps capture user movement behavior over time. The Semantic-Level LSTM integrates contextual details. It considers time, category and spatial influences. This enhances recommendation accuracy by understanding user intent and external factors.The core equations governing the LSTM cell updates are given in (4,5,6,7,8). The final trajectory representation is computed as:

$$T_u = \{T_u^{poi}, T_u^{sem}\} \tag{13}$$

Here, T_u^{poi} represents sequential POI interactions and T_u^{sem}models contextual semantics.User mobility exhibits both stable patterns over time and dynamic changes due to recent interests. To model these influences, HILS employs a dual-preference learning mechanism. The long-term preference module utilizes an attention mechanism to identify and prioritize relevant past trajectories:

$$a_i = \frac{e^{T_i * T_{current}}}{\sum_j e^{T_j * T_{current}}} \tag{14}$$

Here, a_i is the attention weight assigned to past trajectory T_i relative to the current check-in sequence T_{recent}. The final long-term preference vector is:

$$S_u^{long} = \sum_i a_i\, T_i \tag{15}$$

The short-term preference model updates based on recent POI sequences using:

$$S_u^{short} = LSTM(T_{recent}) \tag{16}$$

Here, T_{recent} represents the latest POI visits. The combined user preference representation is:

$$S_u = \propto S_u^{long} + \beta S_u^{short} \tag{17}$$

Here, α and β are weight parameters balancing the long-term and short-term preferences.Users often prefer visiting POIs near the current location. To model this behavior, HILS defines a spatial influence function is given in (9). The transition probability between POIs is computed and given in (10). Temporal preferences are modeled using a time-dependent function is given in (11). The final recommendation process involves computing a ranking score for each candidate POI. This score is determined and given in (12). The top-k POIs with the highest scores are recommended to the user.HILS is built using a hierarchical LSTM architecture. Each layer contains 256 hidden units.

This structure helps in capturing complex dependencies in user movements. The Adam optimizer is used for training. It operates with a learning rate of 0.001. This achieves stable and efficient learning. The model uses 128-dimensional embeddings. These embeddings represent POIs and semantic attributes. They help in learning meaningful relationships between locations and user preferences. Training is conducted on real-world check-in datasets. This validates the model's performance. The datasets provide diverse and realistic data. This results in a modelthat generalizes well to different user behaviors and environments.This section explains the HILS framework in detail. It covers hierarchical trajectory modeling.

It includes long- and short-term user preference learning. It also models geographical and temporal influences. Finally, it describes the POI recommendation mechanism.The next sections will discuss experimental evaluations and comparative performance analysis.The following pseudocode describes the complete process of the HILS framework for next POI recommendation.

Algorithm 1: HILS for POI Recommendation.

1. Input: User check-in history T_u, POI set P, Parameters $\boldsymbol{\alpha, \beta, \gamma}$
2. Output: Recommended POIs R_u
3. Initialize hierarchical LSTM with POI and semantic embeddings
4. for each user u in dataset do
5. Extract long-term trajectory T_u^{long} and short-term trajectory T_u^{short}
6. Compute long-term preference $\boldsymbol{S_u^{long} = \sum_i a_i T_i}$
7. Compute short-term preference $\boldsymbol{S_u^{short} = LSTM(T_{recent})}$
8. Merge preferences: $\boldsymbol{S_u = \propto S_u^{long} + \beta S_u^{short}}$
9. Compute spatial influence: $G_u(p) = e^{-\lambda d_{ij}}$
10. Compute temporal influence: $T_u(p) = \frac{1}{1+e^{-\gamma(t-\mu)}}$
11. Compute final recommendation score: $\boldsymbol{Score_u(p) = \alpha S_u + \beta G_u(p) + \gamma T_u}$
12. Rank POIs based on $\boldsymbol{Score_u(p)}$
13. Select top-k POIs as recommendations $\boldsymbol{R_u}$
14. end for
15. Return recommended POIs $\boldsymbol{R_u}$

Source: Authors, (2026).

VI. PERFORMANCE EVALUATION

The performance of HILS is evaluated using real-world datasets to compare its effectiveness against traditional models. Various experiments are conducted to study model performance. The impact of different components is analyzed. An ablation study is performed. The importance of geographical influences is examined. Temporal influences are also evaluated.The evaluation considers standard recommendation metrics like Recall@k, NDCG@k and Precision@k.The datasets used for evaluation are preprocessed by filtering out users with fewer than ten check-ins and POIs visited by fewer than five users. The data is then split into training (70%), validation (10%) and testing (20%) sets. The evaluation metrics provide a fair comparison across models.HILS is compared against various traditional models. It includes LSTPM, ST-LSTM, DeepMove and GeoMF. The results of this comparison are presented in Table 1, showing that HILS outperforms the traditional methods across all metrics.

Table 1: Performance Comparison of HILS and traditional Models.

Model	Recall@5	NDCG@5	Precision@5
HILS	0.712	0.594	0.381
LSTPM	0.678	0.563	0.357
ST-LSTM	0.653	0.541	0.342
DeepMove	0.631	0.529	0.336
GeoMF	0.597	0.498	0.312

Source: Authors, (2026).

To understand the contributions of various components in HILS, an ablation study is conducted. The results presented in Table 2 demonstrate the significance of different features within the model. Removing either the long-term or short-term preference learning components significantly impacts performance. It highlights the importance in capturing user mobility patterns.

Table 2: Ablation Study on HILS Components.

Model Variant	Recall@5	NDCG@5	Precision@5
Full HILS Model	0.712	0.594	0.381
No Long-Term Preference	0.678	0.561	0.358
No Short-Term Preference	0.664	0.548	0.344

Source: Authors, (2026).

The geographical and temporal influences also play a crucial role in user behavior modeling. As shown in Table 3 removing either of these factors leads to a decline in performance, emphasizing the significance.

Table 3: Impact of Geographical and Temporal Factors in HILS.

Model Variant	Recall@5	NDCG@5	Precision@5
Full HILS Model	0.712	0.594	0.381
Without Geographical Influence	0.682	0.570	0.362
Without Temporal Influence	0.671	0.559	0.351

Source: Authors, (2026).

To analyze the performance of HILS a comparison is made with its variants. It includes HILS-N, HILS-NH and HILS-S. Table 4 presents the results of this comparison. The findings show important results. Omitting hierarchical modeling lowers accuracy. Removing semantic information also reduces accuracy. This highlights the importance of HILS. It effectively captures complex mobility patterns.

Table 4: Performance Comparison of HILS Variants.

Model Variant	Recall@5	NDCG@5	Precision@5
HILS	0.712	0.594	0.381
HILS-N	0.689	0.570	0.359
HILS-NH	0.674	0.555	0.345
HILS-S	0.662	0.542	0.338

Source: Authors, (2026).

The results show that the hierarchical structure of HILS provides superior performance compared to simplified variants.Integrating semantic features improves the model. Hierarchical modeling enhances learning. It captures both long-term and short-term user behaviors. This results in better POI recommendations.The performance evaluation demonstrates that HILS significantly improves next POI recommendation accuracy compared to traditional models. The hierarchical LSTM structure effectively captures long- and short-term user preferences while leveraging geographical and temporal factors. The ablation study shows the need for different model components. Comparisons with HILS variants highlight hierarchical and semantic learning. These are important for mobility prediction. Future work focus on hyperparameter optimization with Additional contextual influences included. Testing on diverse datasets improve performance.

The Figure 2 presents a comparison of different models based on the recall performance at two levels: Recall@5 and Recall@10. The models analyzed include HILS, LSTPM, ST-LSTM, DeepMove and GeoMF. From the graph, it is clear that Recall@10 values are higher than Recall@5 across all models. Among them, the HILS model shows the highest Recall@5 value, slightly exceeding 0.7. Its Recall@10 is close to 0.8. LSTPM and ST-LSTM models follow both having Recall@5 values around 0.68. Recall@10 values above 0.72. The DeepMove model has a slightly lower Recall@5 value, approximately 0.65, with its Recall@10 reaching around 0.72. Finally, the GeoMF model has the lowest Recall@5 slightly above 0.6 while its Recall@10 is around 0.7. The gap between Recall@5 and Recall@10 stays nearly the same for all models. Adding more recommendations increases recall. However, the improvement becomes smaller as more recommendations are added. HILS outperforms other models, suggesting that it provides better retrieval performance in this evaluation. GeoMF, on the other hand, has the lowest recall performance among the tested models. The results show that certain models perform better. Models with sequential learning and spatial-temporal dependencies have an advantage. HILS and LSTPM outperform other architectures.

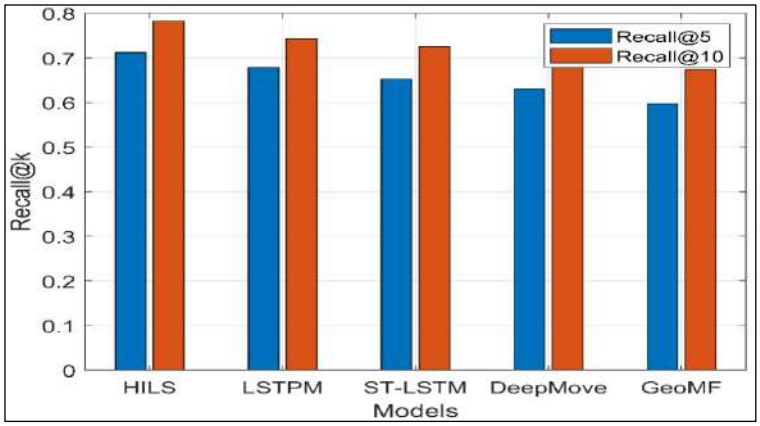


Figure 2: Recall@k versus Different Models.
Source: Authors, (2026).

The Figure 3 compares different models based on the NDCG at two levels: NDCG@5 and NDCG@10. The models evaluated are HILS, LSTPM, ST-LSTM, DeepMove and GeoMF. In the chart, it is clear that NDCG@10 is higher than NDCG@5 for all models. Among these models, HILS achieves the highest NDCG@5 value, slightly above 0.6. NDCG@10 value reaches approximately 0.65. LSTPM and ST-LSTM follow closely with NDCG@5 values around 0.57. NDCG@10 values slightly above 0.6. DeepMove has a slightly lower NDCG@5, approximately 0.54 with its NDCG@10 reaching close to 0.6. Finally, GeoMF has the lowest NDCG@5, around 0.5. NDCG@10 is just above 0.55. The trend in the chart suggests that models with higher NDCG@5 tend to maintain the ranking order at NDCG@10. The gap between NDCG@5 and NDCG@10 stays almost the same for all models. Adding more recommendations improves ranking quality. However, the improvement decreases as more recommendations are included. HILS outperforms all other models, showing its ability to provide better-ranked recommendations. GeoMF, on the other hand performs the worst among the tested models. The results show that some models rank relevance better. Models using sequential learning and spatial-temporal dependencies perform well. HILS and LSTPM are more effective than other models.

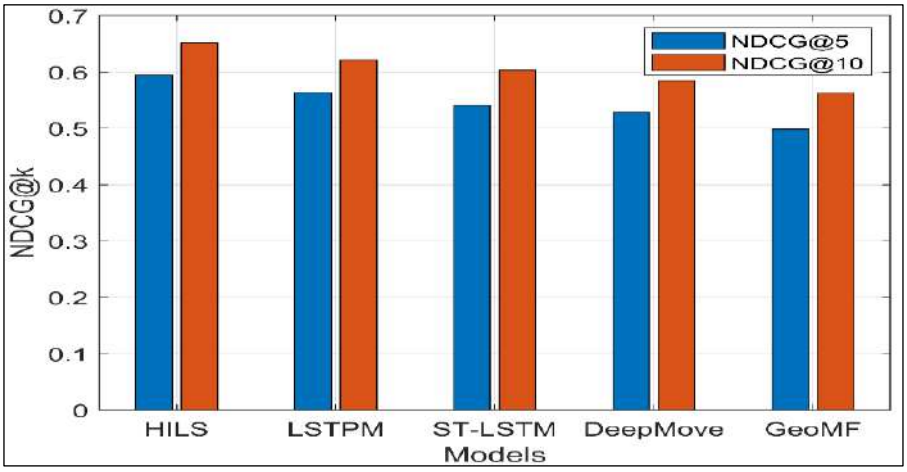


Figure 3: NDCG@k versus Different Models.
Source: Authors, (2026).

The Figure 4 presents a comparison of different models based on the precision at two levels: Precision@5 and Precision@10. The models analyzed include HILS, LSTPM, ST-LSTM, DeepMove and GeoMF. From the graph, it is clear that Precision@10 values are slightly higher than Precision@5 across all models. Among them, the HILS model shows the highest Precision@5 value slightly above 0.37. Precision@10 is near 0.42. LSTPM and ST-LSTM have Precision@5 around 0.34. The Precision@10 values are above 0.39. DeepMove has a lower Precision@5 about 0.33. Its Precision@10 reaches around 0.38. GeoMF has the lowest Precision@5 slightly above 0.30. Its Precision@10 is around 0.35. The chart shows that models with higher Precision@5 also have higher Precision@10. This means the ranking performance is stable. The gap between Precision@5 and Precision@10 is small. Adding more recommendations slightly improves precision. HILS outperforms other models, suggesting that it provides better precision performance in this evaluation. GeoMF, on the other hand, has the lowest precision performance among the tested models. The results show that some models perform better. Models with sequential learning and spatial-temporal dependencies have an advantage. HILS and LSTPM outperform other architectures.

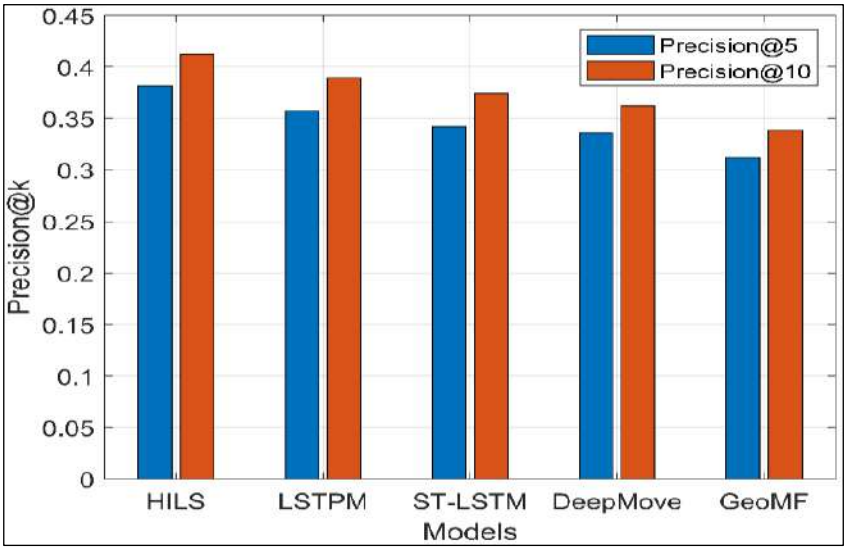


Figure 4: Precision@k versus Different Models.
Source: Authors, (2026).

The Figure 5 evaluates the impact of different modifications on the HILS model by measuring three key performance metrics: Recall@5, NDCG@5 and Precision@5. Recall@5 starts at 0.71 in the Full HILS model. It drops steadily to 0.66 in the No Attention variant. NDCG@5 follows the same trend. It decreases from 0.6 in Full HILS to 0.55 in No Attention. Precision@5 also declines. It moves from 0.39 to 0.33 as components are removed. The declining trend across all three metrics indicates that each component contributes significantly to model performance. The removal of long-term and short-term preferences leads to noticeable reductions in Recall@5 and NDCG@5. It suggests that both are crucial for maintaining effective ranking and retrieval performance. Precision@5 also decreases but at a slightly slower rate. It also shows that the model still retains some accuracy even as these components are removed. The No Attention variant performs the worst across all metrics, suggesting that attention mechanisms play a vital role in optimizing HILS. Overall, the results highlight the importance of preserving all key components to achieve the best recommendation performance.

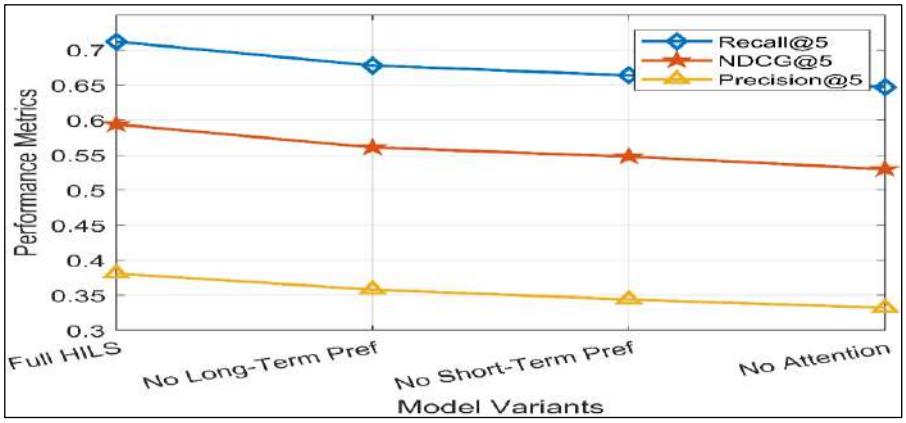


Figure 5: Ablation Study: Performance Impact of Different Components.
Source: Authors, (2026).

The Figure 6 illustrates how different modifications in the HILS model affect three performance metrics. Recall@5 starts at 0.71 in Full HILS. It gradually drops to 0.68 without geographical influence. It then slightly decreases to 0.66 without temporal influence. NDCG@5 starts near 0.6. It steadily declines to 0.56 after removing both influences. Precision@5 begins at 0.39. It drops to 0.35 when both geographical and temporal influences are excluded. The downward trend in all three metrics suggests that both geographical and temporal components play a key role in the performance of the HILS model. Removing geographical influence reduces Recall@5 and NDCG@5 highlights the importance of location-based data in improving recommendation relevance. Removing temporal influence causes a slight performance drop. This shows that time-sensitive patterns add value. The decline is smaller than in models without attention mechanisms. However, it proves that spatial and temporal factors improve recommendations.

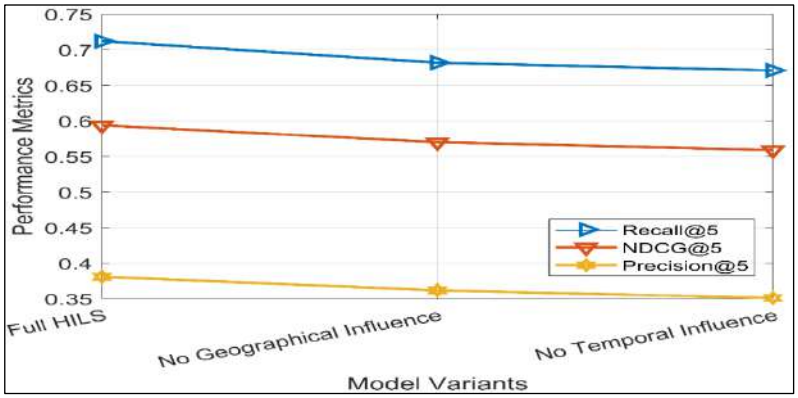


Figure 6: Geographical & Temporal Influence on Performance.
Source: Authors, (2026).

The Figure 7 compares the recall performance of four different models—HILS, HILS-N, HILS-NH and HILS-S. HILS performs better than other models. It starts at 0.7 with 5 candidate POIs. It rises steadily to 0.85 with 25 POIs. HILS-N has the second-highest recall. It starts slightly below 0.7 at 5 POIs and reaches 0.75 at 25 POIs. HILS-NH follows closely behind HILS-N. It begins just above 0.68 and increases to 0.73. HILS-S has the lowest recall among the four models. It starts at around 0.65 and increases to nearly 0.72 as the number of candidate POIs grows.The trend in the chart suggests that increasing the number of candidate POIs improves recall performance for all models. HILS has the highest recall. This shows it is better at retrieving relevant POIs. HILS-N and HILS-NH follow a similar trend. However, HILS-N performs slightly better. HILS-S has the lowest recall. This suggests it is less efficient than other models. All models improve as candidate POIs increase. However, the rate of improvement differs for each model.

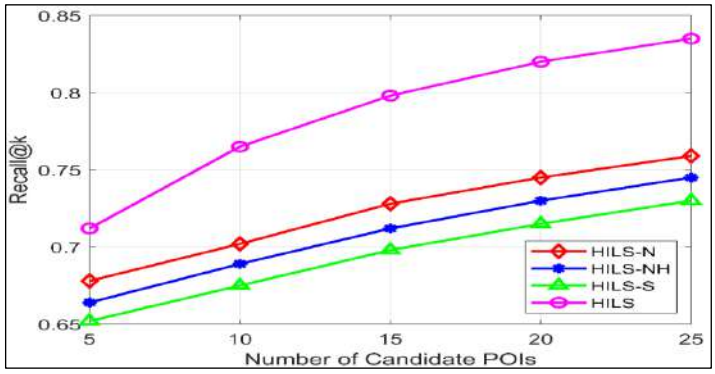


Figure 7: Effect of Increasing POI Candidates on Recall@k.
Source: Authors, (2026).

The Figure 8 presents a comparison of four model variants—HILS-N, HILS-NH, HILS-S and HILS. Recall@5 is the highest for the HILS model reaching slightly above 0.7. HILS-N, HILS-NH, and HILS-S have similar Recall@5 values. They are all near 0.7 but slightly lower than HILS. NDCG@5 follows the same pattern. HILS performs best at around 0.6. The other models have values between 0.53 and 0.57. Precision@5 shows smaller differences. It ranges from 0.33 to 0.36. HILS performs slightly better than the other models. The chart shows that the full HILS model provides the best results with all three metrics being higher than those of its variants. The differences are more significant in Recall@5 and NDCG@5, which suggest that the full HILS model is more effective in retrieving and ranking relevant results. The small variation in Precision@5 shows similar accuracy across models. All versions maintain a close level of precision. This suggests that model structure affects recall and ranking more. The results highlight the need to keep all HILS components. Keeping all parts gives the best performance in recall, ranking and precision.

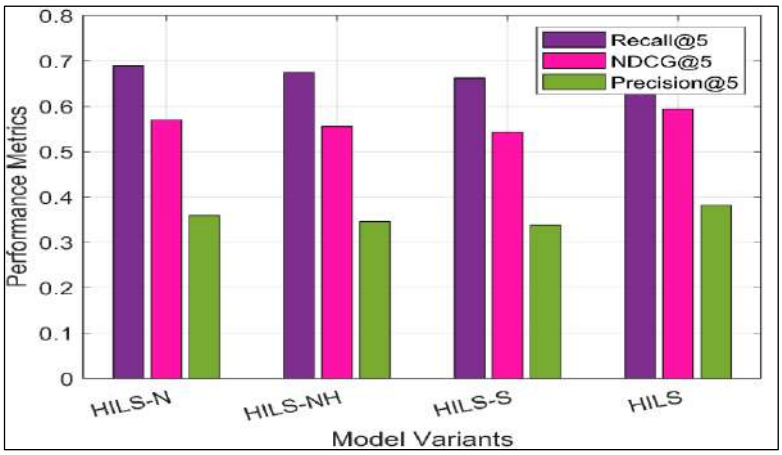


Figure 8: Comparison of Different POI Approaches
Source: Authors, (2026).

The Figure 9 compares the recall performance of two datasets, NYC and TKY based on different values of n. Both datasets show a positive trend with recall increasing as n increases. At n = 1, NYC starts with a recall value of about 0.2. TKY starts slightly higher at around 0.3. As n grows, the recall values of both datasets increase steadily. At n = 25, NYC reaches approximately 0.6. TKY is slightly above 0.7. At n = 100, NYC's recall is close to 0.9. TKY reaches nearly 1.0. The trend in the chart suggests that increasing n leads to higher recall values for both datasets. The TKY dataset performs better than NYC at every value of n. The difference between the two datasets remains fairly constant as n increases, indicating that TKY has a stronger recall performance. At the highest n value, both datasets reach maximum recall. TKY achieves 1.0, showing perfect recall. NYC follows closely behind. This means TKY's recommendations are slightly better. Both datasets improve with more candidate recommendations.

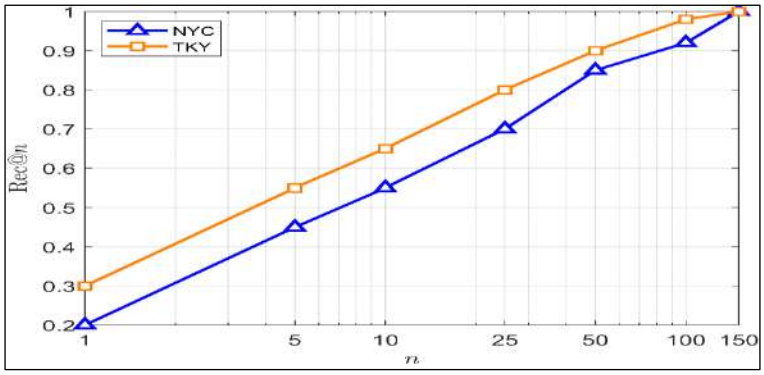


Figure 9: Effect of Number of Categories n
Source: Authors, (2026).

The Figure 10 compares the execution time of four different model variants—HILS, HILS-N, HILS-NH and HILS-S. Each model follows a similar increasing trend with execution time grows as the dataset size becomes larger. For smaller datasets like 500 and 1,000 users/POIs, execution time stays low. It remains under 10 seconds for all models. At 5,000 users/POIs, execution time rises to about 20 seconds. A sharper increase happens at 10,000 users/POIs. Execution time reaches around 50 seconds. At 20,000 users/POIs, execution time goes over 120 seconds. The full HILS model takes the longest time. The overall trend suggests that execution time scales non-linearly with dataset size. It means larger datasets require significantly more processing time. Among the models, HILS exhibits the highest execution time. It indicates that its additional computational complexity demands more resources. HILS-S also shows slightly higher execution time compared to the other variations. HILS-N and HILS-NH are more efficient. The execution times are slightly lower. All models show a similar increase in execution time as the dataset grows. However, some variations are better optimized. These models process data faster than others.

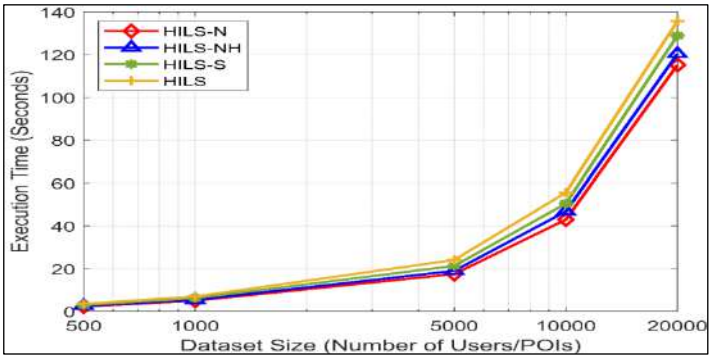


Figure 10: Model Scalability: Performance versus Dataset Size.
Source: Authors, (2026).

The Figure 11 compares the recall performance of four different model variants—HILS, HILS-N, HILS-NH and HILS-S. HILS model outperforms the other models at every embedding dimension. It starts at around 0.63 at 32 dimensions, rises to nearly 0.74 at 128 dimensions and slightly decreases at 256 dimensions. HILS-N follows a similar trend but with slightly lower values. It reaches a peak of about 0.71 at 128 dimensions before declining. HILS-NH and HILS-S both shows the same peak at 128 dimensions but with lower recall values compared to the other two models. The trend in the chart suggests that increasing embedding dimensions initially improves recall performance for all models. However, after reaching 128 dimensions recall starts to decrease slightly. Increasing embedding dimensions improves model representation. However, this works only up to a certain point. Very large embeddings add noise or redundancy. This reduce performance instead of improving it. The HILS model achieves the highest recall, demonstrating that it benefits the most from increased embedding dimensions. HILS-N and HILS-NH follow closely, while HILS-S shows the lowest recall values at all embedding sizes. These results highlight that an optimal embedding size exists for achieving the best recall and beyond this point performance decline.

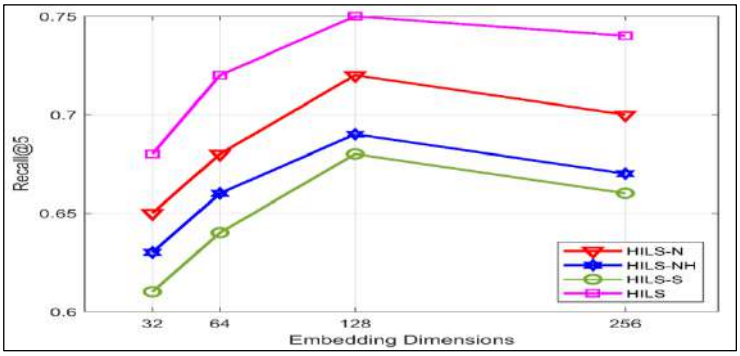


Figure 11: Effect of Different Embedding Dimensions.
Source: Authors, (2026).

The Figure 12 displays the relationship between user activity levels and three performance metrics: Recall@5, NDCG@5 and Precision@5. Recall@5 starts at approximately 0.7 for low-activity users and increases gradually to about 0.75 for high-activity users. NDCG@5 begins at around 0.55 and reaching nearly 0.6 as user activity increases. Precision@5 shows a steady rise from about 0.35 for low-activity users to approximately 0.45 for high-activity users.The pattern in the chart suggests that higher user activity leads to improved recommendation performance across all three metrics. The increase in Recall@5 and NDCG@5 implies that the model benefits from more interactions. It results in more accurate ranking and retrieval. Precision@5 also improves indicating that active users receive more relevant recommendations. While all metrics show growth, Recall@5 exhibits the most notable improvement. It reflects a stronger ability to retrieve relevant results for highly active users. These results emphasize the importance of user engagement in enhancing recommendation accuracy and ranking effectiveness.

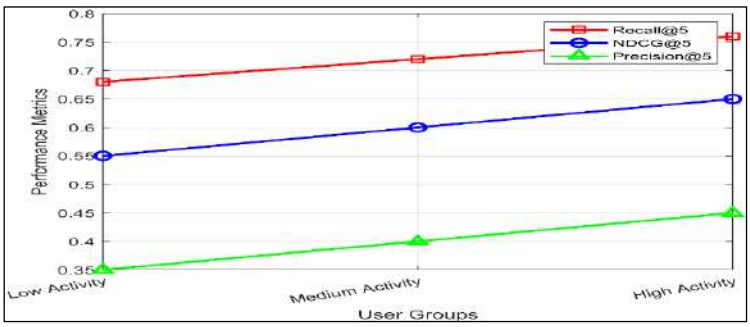


Figure 12: Model Performance across Different User Groups.
Source: Authors, (2026).

The Figure 13 displays the variation in three performance metrics—Recall@5, NDCG@5 and Precision@5. It is across different times of the day: Morning, Afternoon, Evening and Night. Recall@5 starts at 0.72 in the morning. It gradually increases through the afternoon and evening. It peaks at 0.78 in the evening. Then, it drops slightly at night. NDCG@5 follows a similar trend. It starts at 0.58 in the morning. It rises to 0.63 in the evening. After that it declines at night. Precision@5 starts at 0.38 in the morning. It increases to 0.45 in the evening. Then it drops back down at night. The trend in the chart suggests that performance improves throughout the day. It reaches its highest levels in the evening before declining at night. The increase in Recall@5 and NDCG@5 during the evening indicates that the recommendation model performs best at this time due to higher user engagement. The decline at night across all three metrics suggests that recommendations are less effective when user activity is lower. Precision@5 follows the same pattern but with a smaller overall variation. These results highlight the importance of time-based patterns in recommendation performance, showing that the model is most effective during peak activity hours.

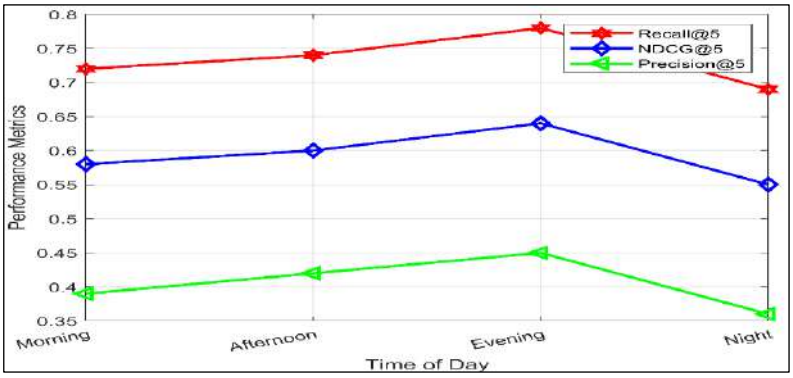


Figure 13: Effect of different Time Windows on Performance.
Source: Authors, (2026).

The Figure 14 presents the variation in three performance metrics—Recall@5, NDCG@5 and Precision@5. It is across different times of the day: morning, afternoon, evening and night. Recall@5 starts at 0.72 in the morning. It increases slightly in the afternoon. It reaches 0.78 in the evening. Then, it drops slightly at night. NDCG@5 starts at 0.58. It rises steadily to 0.63 in the evening. After that, it decreases at night. Precision@5 follows the same pattern. It increases from 0.38 in the morning to 0.45 in the evening. Then, it declines at night. The overall trend suggests that recommendation performance improves as the day progresses, peaking in the evening before declining at night. The increase in Recall@5 and NDCG@5 during the evening indicates that recommendations are most effective when user activity is higher. The decrease at night suggests that lower user engagement impact the model's ability to generate relevant recommendations. Precision@5 follows a similar pattern, though with a smaller range of variation. These results emphasize the impact of time on recommendation accuracy. The model achieves its best performance during peak user activity hours.

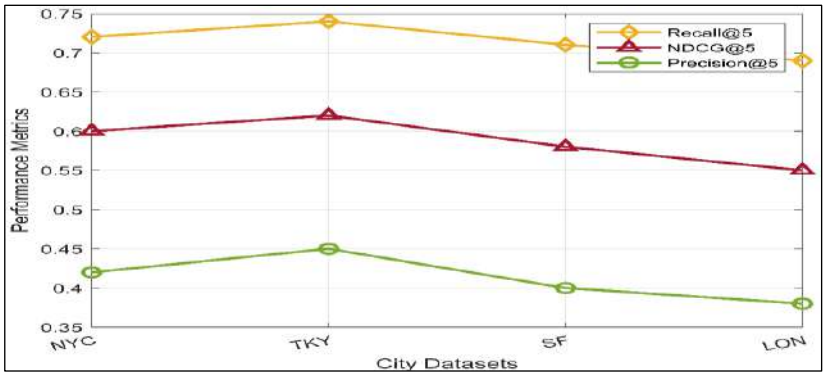


Figure 14: Performance Across different City Datasets.
Source: Authors, (2026).

The Figure 15 represents the distribution of the standard deviation of geographical distances. The data follows a bell-shaped pattern suggesting a normal distribution. The highest frequency is observed around the center of the distribution. The standard deviation values range from approximately 15 to 25. The peak frequency reaches slightly above 100, indicating that most data points fall within this range. As the standard deviation increases beyond 25 the frequency declines gradually. Fewer instances are observed beyond a value of 30. Similarly, on the lower end very few occurrences are recorded below 10. The distribution shows most geographical distances vary moderately. There are fewer cases of very small or very large variations. The data spread indicates different movement patterns. Some users move very little. Others travel much larger distances. The balanced shape of the histogram implies that extreme values are rare and the data is centered around a common range. This pattern helps in understanding user mobility. It shows how users move in different areas. It improves location-based recommendations. Targeting common movement patterns makes recommendations more effective.

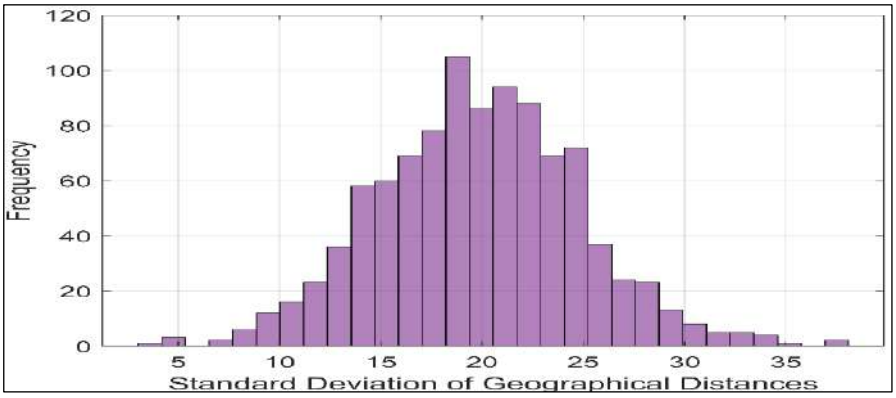


Figure 15: The Distribution of Standard Deviation.
Source: Authors, (2026).

The Figure 16 presents the number of check-ins for ten users sorted by activity level, comparing four model variants: HILS, HILS-N, HILS-NH and HILS-S. HILS model records the highest number of check-ins among all users. HILS-S follows closely maintaining a slightly lower number of check-ins. HILS-N and HILS-NH show similar trends with slightly fewer check-ins than HILS and HILS-S. The number of check-ins decreases with lower user activity. The most active users have over 350 check-ins. The least active users have fewer than 100 check-ins. The trend in the chart suggests that all models show a steady decline in check-ins as user activity decreases. The gap between HILS and the other models is more noticeable for highly active users. The differences become smaller for lower-activity users. HILS maintains a clear advantage in check-ins across all users, demonstrating its effectiveness in capturing user engagement. The similarities between HILS-N and HILS-NH suggest that both models perform similarly for users with medium to low activity. Higher user activity leads to more check-ins. Models with better learning mechanisms capture this behavior well. HILS performs better in tracking check-ins.

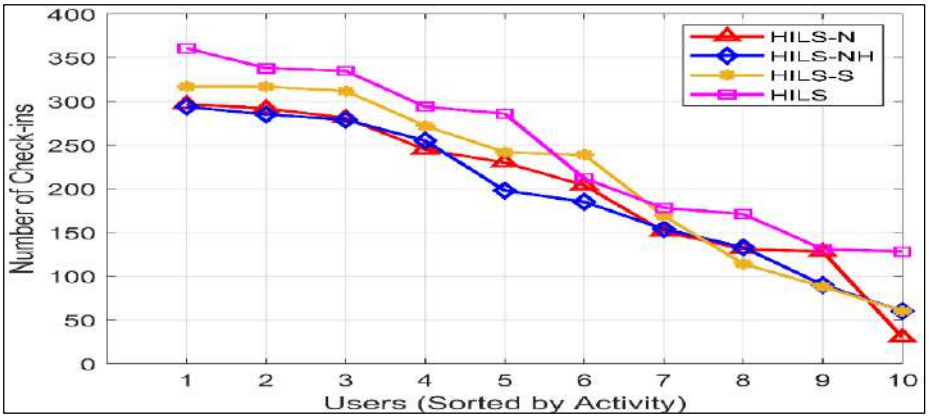


Figure 16: Distribution of Check-in Frequency across Users.
Source: Authors, (2026).

VII. CONCLUSIONS

This paper presented the HILS framework for next POI recommendation. The model captures stable long-term behaviors. It also learns dynamic short-term user preferences. Hierarchical trajectory modeling enhances learning. Semantic feature learning improves understanding. Temporal and spatial influences are integrated. The experimental results highlight the advantages of HILS over existing methods, demonstrating its superior accuracy in predicting user mobility patterns.HILS introduces a structured approach by decomposing user check-ins into POI-level and semantic-level features. The POI-level LSTM models sequential dependencies in visited locations.

The semantic-level LSTM incorporates contextual factors like time, category and location history. The dual-layer LSTM structure promotes that the model captures user intent more effectively than conventional single-layer models.The performance evaluation reveals that HILS outperforms traditionalmodels. Ablation studies explains the significance of each component in HILS. Removing long-term preference learning leads to a decrease in recall. It emphasizes the importance of capturing stable user behaviors. Eliminating short-term modeling results in lower precision, highlighting the need for recent trajectory updates. The attention mechanism gives long-term trajectory selection, improving the overall recommendation process.Geographical and temporal influences play a crucial role in refining predictions.

Users are more to visit POIs within a specific distance from the previous locations and the model incorporates this factor using a spatial proximity function. The integration of these external factors enhances the accuracy of POI ranking.HILS presents a novel approach to POI recommendation by integrating hierarchical preference modeling, attention-based trajectory selection and contextual influence learning. The experimental analysis validates its effectiveness and highlights the benefits of structured representation learning.

Future work explore incorporating additional contextual signals, optimizing hyperparameter tuning and extending the model for multi-user collaborative recommendations. The findings contribute to advancing the field of personalized mobility prediction, offering a robust solution for next POI recommendation in dynamic environments.

VIII. AUTHOR'S CONTRIBUTION

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Methodology: Dr. Sarala Patchala and Dr. Vijay babu Burra
Investigation: Dr. Sarala Patchala and Dr. Vijay babu Burra
Discussion of results:. Dr. Sarala Patchala and Dr. Vijay babu Burra Vulla, Nagagopiraju
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Writing – Review and Editing: Dr. Sarala Patchala and Dr. Vijay babu Burra
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Approval of the final text: Dr. Sarala Patchala and Dr. Vijay babu Burra Vulla, Nagagopiraju and Desamala Prabhakara Rao

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RESEARCH ARTICLE OPEN ACCESS

DEEP MULTIMODAL CNN FUSION SCHEME FOR ACCURATE STRESS IDENTIFICATION

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ECG

ABSTRACT

Stress is a major issue in today's life. It harms health and lower work output. People sometimes do not notice when under stress. That is why early stress detection is important. This paper uses two types of body signals: ECG (Electrocardiogram) and EDA (Electrodermal Activity). Both are physiological signals and help measure stress levels. A deep learning model named CNN (Convolutional Neural Network) is used. CNN has many layers. Each layer captures different kinds of features—low-level, mid-level and high-level. These features are useful in identifying stress. Instead of using features from only one level, this paper combines all three levels. This process is named as hierarchical feature fusion. It helps in creating a strong and rich representation of the signals. The features from ECG and EDA are first extracted at different CNN layers. Then, a module termed MMTM (Multimodal Transfer Module) is used. This module helps combine features from both signals. It improves the way the model learns from the data. The model is tested using both raw data and features from selected frequency bands. Results show that using features from all three CNN levels gives better performance. The proposed model performs better than existing models when using frequency band features. This shows that combining low, mid and high-level CNN features with multimodal fusion is helpful. It improves the accuracy and generalization of stress detection. This method works better across different datasets and different people. The proposed system is a useful tool in real-world stress detection systems.

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I. INTRODUCTION

Stress is a common problem in everyday life [1]. People feel stress due to work, emotions or difficult situations. Stress affects both the body and mind. Some people feel it physically through sweating or chest pain [2]. Others feel it emotionally through anger or sadness. When people face stress, the body reacts automatically. This is referred to as the fight or flight response.

It helps a person deal with danger or pressure. The hypothalamus, a part of the brain controls this response [3]. It sends signals to the body using the Autonomic Nervous System (ANS). The ANS has two parts. The first is the Sympathetic Nervous System (SNS). It prepares the body to fight or run away. It increases the heart rate, makes a person sweat and speeds up breathing. The second part is the Parasympathetic Nervous System (PNS). It helps the body calm down after the stress passes. Acute stress is short-term. It comes and goes quickly. Chronic stress lasts for a long time and leads to serious health problems [4]. Long-term stress causes anxiety, heart problems, memory issues and more. To avoid these problems, it is important to detect stress early. Early detection help people live a better, healthier life [5]. Stress is detected in three ways: psychological, behavioural and physiological. Psychological tests ask people about feelings. But these tests depend on memory and honesty.

People sometimes forget feelings or choose to hide them [6]. Behavioural signs include body movements or facial expressions. But people hide these reactions. Physiological signals are the best indicators. People cannot easily control them. Common signals include ECG and EDA. These signals change when a person feels stress. Recent technology allows us to use machines to detect stress. Machine learning and deep learning models are trained on these signals. Models like SVM, random forest and CNN are used. Deep learning models need more data but learn better features [7]. Multimodal fusion uses more than one type of signal. It improves the accuracy of stress detection. There are three types of fusion: early, intermediate and late. Early fusion combines signals at the input stage. Late fusion combines at the output stage. Intermediate fusion combines at the feature level. CNN models are good at learning features [8]. Each CNN layer learns something different. Early layers learn simple features. Later layers learn complex patterns. Using only one layer's features is not enough.

This approach loses useful information. Combining features from all levels improve performance [9]. This paper proposes a new method for stress detection. It combines low, mid and high-level features from CNN. These features come from ECG and EDA signals. The features are joined together to form a strong feature set [10]. This is termed as hierarchical feature fusion. Then, the features from both signals are combined using the MMTM. This step is titled as multimodal fusion. The final step is to use a classifier to decide if the person is stressed or not [11]. This is named as late fusion. The paper tests the model on four datasets: ASCERTAIN, CLAS, MAUS and WAUC. It compares results from raw data and frequency band features. Frequency bands capture signal strength at different frequency ranges. Results show that using all levels of features gives better accuracy. It shows that frequency band features perform better than raw data [12]. The key contributions of this paper are:

- To integrate low, mid and high-level CNN features using hierarchical feature fusion. It captures detailed, intermediate and abstract signal representations.
- To enhance learning by combining ECG and EDA features through multimodal fusion using the MMTM.
- To compare raw signal data with frequency band features and demonstrate that frequency bands provide more relevant information. It results in improved accuracy and model performance.
- To evaluate the model on four benchmark datasets and confirm its stable performance across diverse users and conditions indicating strong generalization.

Stress is a major health issue. Detecting it early helps people manage it better. By combining features from multiple levels, the model becomes more accurate. This paper proposes a new model. It uses hierarchical feature fusion and multimodal fusion [13]. It tests the model on several datasets. The results show improved accuracy and generalization. The method is simple and effective. It is used in real-world systems to detect stress in people.

II. RELATED WORK

In recent years, deep learning is widely used for many tasks. One powerful model is the CNN. CNN extracts important features from data. These features are either shallow, intermediate or deep. Combining features from multiple layers is termed as hierarchical feature fusion. Hierarchical feature fusion improves the model's performance. It reduces the chance of losing useful information. Many researchers used this method in different domains like face recognition, image classification, quality assessment, defect detection and medical image analysis. By [14] used hierarchical deep feature fusion to classify plant diseases. Pre-trained CNN models were used to extract deep features from plant images. Then, multi-level fusion and feature selection were applied. Finally, a Multi-SVM classifier was used to detect diseases. In turn [15] used hierarchical features for face recognition. Shallow and deep features were combined using supervised learning. This improved recognition under challenging conditions like occlusion and bad lighting.

Both VGG and Lightened CNN model is used. It gave strong results on AR and LFW datasets. According to [16] proposed a method for image quality assessment. A staircase structure was used to combine CNN features from all layers. The approach helped the model learn from low to high-level details. The model was trained on multiple datasets at once. The results were better than existing methods on six real-world datasets. By [17] applied hierarchical fusion to detect steel surface defects. A simple CNN model was created to extract features at each level. Then, a feature fusion network was used to merge these features. The method worked well on the NEU-DET dataset. By [18] introduced a feature selection mechanism. High-level features were used to select and connect low-level features. This improved feature representation across layers. The model performed well on several computer vision tasks. According to [19] worked on remote sensing image classification.

Features from different CNN layers were combined. Each feature map was transformed before fusion. The model showed strong results on public satellite image datasets. In turn [20] proposed a hierarchical model for medical image segmentation. Two modules: Hierarchical Feature Aggregation (HFA) and Multiscale Feature Aggregation (MFA) were used. These modules combined features from all layers of the network. The model achieved 97% accuracy on PH2, ISIC-2018 and UFBA-UESC datasets. By [21] used hierarchical fusion in image compression. Intra-stage and inter-stage feature aggregation was introduced. The method preserved multiscale and contextual information. The approach outperformed many state-of-the-art (SOA) models. According yo [22] used hierarchical CNN features for cross-resolution face recognition. Models that combine features from different CNN layers perform better. Most of these studies are focused on image data.

Very few works use physiological signals like ECG and EDA. This shows a research gap. There is a need to explore hierarchical CNN fusion with physiological data. Stress detection using physiological signals is a growing area. Signals like ECG and EDA are rich in information. Deep learning models like CNN learn useful patterns from these signals. The work proposes combining features from all levels of CNN. This forms a hierarchical feature set. Hierarchical feature fusion is an effective way to improve deep learning models. Many studies used this method in vision tasks. Few applied it to physiological data. This paper fills that gap. It combines CNN features at multiple levels for ECG and EDA. It fuses both modalities using MMTM. The method is tested on four standard datasets. The results show better accuracy and generalization than existing models.

III.METHODOLOGY

The main purpose is to use both shallow and deep features from multiple CNN layers. This is referred to as hierarchical feature fusion. The model uses signals from two sources: ECG and EDA. These signals are fused together. This is described as multimodal fusion. This uses four public datasets. ASCERTAIN dataset has data from 58 people. Based on the ratings of the videos for valence and arousal, stress labels were assigned. High arousal and low valence values mean stress. CLAS dataset includes data from 62 people, later reduced to 59 after cleaning. The people watched 16 emotional clips. MAUS dataset was recorded during a memory task termed the N-back test. WAUC dataset has data from 48 people performing physical activities like cycling or rowing. All four datasets had class imbalance. There were more unstressed samples than stressed ones. To fix this, SMOTE (Synthetic Minority Over-sampling Technique) was used. SMOTE creates new samples for the smaller class by interpolating between nearby points.

The Figure 1 compares two deep learning models used for stress detection. The top part (a) shows the traditional approach. It processes input through three phases: Phase 1 extracts low-level features, Phase 2 gets mid-level features and Phase 3 gathers high-level features. These features are passed step-by-step from one phase to the next. The final high-level features go into the classification block. This block predicts whether the person is stressed or unstressed. The process flows in a straight line and each phase only uses the output from the previous one. The bottom part (b) shows the proposed approach. It uses the three phases, but instead of passing features in a straight line, it connects the outputs of all three phases to a common point. These features are then concatenated together before classification. This shows the classifier uses low, mid and high-level features at once. This combined view helps the model learn better patterns. The proposed model makes better use of the input by capturing information at different depths, leading to better performance in stress classification.

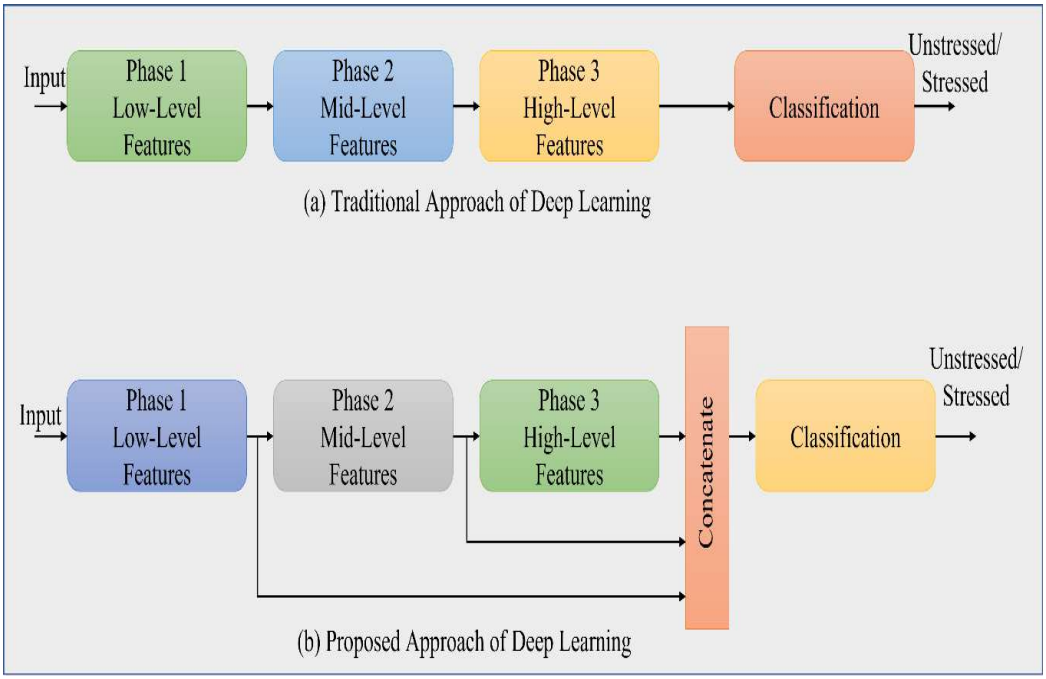


Figure 1: Traditional and proposed deep learning techniques are depicted.
Source: Authors, (2026).

Each ECG or EDA signal is split into five-second segments. This gives more data for training. The model uses subject-independent training and testing. The people used for training are different from the people used for testing. This improves generalization. For each dataset training data has 36 WAUC, 18 MAUS, 43 CLAS, 42 ASCERTAIN subjects. Testing data has 9 WAUC, 4 MAUS, 16 CLAS, 16 ASCERTAIN subjects. The researchers use two types of input features. The first type is raw data and the second is frequency band features. For the raw data, the ECG and EDA signals are transformed into the frequency domain using the Discrete Cosine Transform (DCT). The DCT helps convert time-domain signals into a series of frequency components, which are easier to analyze for patterns. This method captures the energy and frequency distribution of the signals. The DCT formula used is:

$$X(k) = \sum_{n=0}^{N-1} x(n) \cos\left[\frac{\pi}{N}\left(n+\frac{1}{2}\right)k\right], \quad 0 \le k < N \tag{1}$$

Here, $x(n)$ is the signal, N is the total number of samples. $X(k)$ represents the transformed signal in the frequency domain. The second type of feature is the frequency band features. For ECG signals, three frequency bands are selected: 0.0 to 0.04 Hz (very low), 0.04 to 0.15 Hz (low) and 0.15 to 0.40 Hz (high). For EDA signals, five bands are selected: 0.05–0.15 Hz, 0.15–0.25 Hz, 0.25–0.35 Hz, 0.35–0.45 Hz and 0.45–0.50 Hz. These bands are chosen because the autonomic nervous system influences them and the activity reflects stress-related changes. From each band, several statistical features are extracted. In total, 51 features are extracted from the ECG bands and 40 from the EDA bands. This set of features provides more detailed information than using raw signals alone. In a CNN model, different layers learn different types of features. The first few layers usually learn low-level features like edges. The middle layers learn patterns and shapes and the last layers learn complex representations. Most traditional models only use the last layer for classification. But in this work, features from three stages are used and combined together. This process is termed as hierarchical feature fusion.

By combining features from all three levels, the model keeps more useful information. This helps it learn better patterns for stress detection. The hierarchical features are created by taking the outputs from three different convolutional phases and concatenating them into one large feature set. This is done separately for the ECG and EDA signals. The CNN architecture used in this work has four convolutional layers. Each layer uses a 3×3 kernel and applies the ReLU activation function. After each convolution, the model uses batch normalization and max pooling. These operations help the model learn faster and avoid overfitting. The first convolutional layer has 32 filters. The second has 64 filters, the third has 128 filters and the fourth has 256 filters. The output from each phase is used to form the hierarchical feature set for each signal. These features are then passed to the next stage, which is the fusion module. To combine the ECG and EDA features, a special module termed MMTM is used. First, it creates a joint representation of the input features. It applies two sets of fully connected layers to generate excitation signals for each modality. These signals are used to recalibrate or adjust the original features. Let F_{ECG} be the feature set from the ECG signal. F_{EDA} be the feature set from the EDA signal. The MMTM first combines them to get a joint representation:

$$F_{joint} = F_{ECG} \oplus F_{EDA} \tag{2}$$

For each modality the module generates recalibrated outputs using the following equations:

$$F'_{ECG} = \sigma(W_{ecg2}(ReLU(W_{ecg1}(F_{joint})))) \times F_{ECG} \tag{3}$$

$$F'_{EDA} = \sigma(W_{eda2}(ReLU(W_{eda1}(F_{joint})))) \times F_{EDA} \tag{4}$$

Here, $W_{ecg1}, W_{ecg2}, W_{eda1}$ and W_{eda2} are learnable weights in the fully connected layers. The ReLU function adds non-linearity and σ is the sigmoid activation function. The final recalibrated features F'_{ECG} and F'_{EDA} are passed to the next step. The recalibrated ECG and EDA features are passed to two fully connected layers FC1 and FC2. These layers transform the features and reduce the size. After the final dense layer, the model uses a sigmoid output function. This function gives a value between 0 and 1. It shows the probability that the input belongs to the stress class. To train the model, the Binary Cross-Entropy loss function is used:

$$L = -\frac{1}{N}\sum_{i=1}^{N}\left[y_i \log(p_i) + (1-y_i)\log(1-p_i)\right] \tag{5}$$

Here, y_i is the actual label and p_i is the predicted probability. This loss helps the model learn by comparing the predicted value with the true label. The training process uses the Adam optimizer with default learning rate. The batch size is 64. An early stopping technique is used. If the validation loss does not improve for 30 epochs, the training stops. This helps avoid overfitting and saves time. After the hierarchical features are processed and recalibrated using the MMTM each modality produces classification probabilities. Instead of choosing only one, the proposed model uses a strategy named late fusion. In this method, the output classification probabilities from ECG and EDA are combined at the final stage. This is done by averaging or weighting the scores from each modality. This combined decision is used to determine the final class label — whether the person is stressed or not stressed. Late fusion helps the model become more reliable. If one modality makes a weak prediction, the other compensate.

This improves the model's performance and robustness across different situations. In earlier work, it was found that the high-frequency band of ECG (0.15–0.40 Hz) and band-b of EDA (0.15–0.25 Hz) performed best. For this reason, the same architecture is tested using only those best-performing frequency bands. This experiment is done on the WAUC dataset. The model structure remains the same, but the pooling method is changed. In this case, max-pooling is removed and the kernel size is set to 2×2. The purpose of this experiment is to compare performance. This work explores whether using the full band features is better than using only the highest-performing bands. Finally, the classification probabilities from ECG and EDA are merged using late fusion. The model predicts whether the subject is under stress or not. The model is trained using binary cross-entropy loss. It uses the Adam optimizer, a batch size of 64 and early stopping to avoid overfitting. The system is tested on four public datasets using both raw frequency domain data and frequency band features.

IV.RESULTS & DISCUSSION

The proposed model is studied using raw data and frequency band features. The model was tested on four different datasets: ASCERTAIN, CLAS, MAUS and WAUC. Two key performance metrics were used to measure the model's effectiveness: accuracy and F1-score. The formulas are as follows:

$$\text{Accuracy} = \frac{\text{TP}+\text{TN}}{\text{TP}+\text{TN}+\text{FP}+\text{FN}} \times 100 \tag{6}$$

$$\text{F1-score} = \frac{\text{TP}}{\text{TP}+\frac{1}{2}(\text{FP}+\text{FN})} \times 100 \tag{7}$$

Here, TP = True Positive, TN = True Negative, FP = False Positive and FN = False Negative. Accuracy shows the number of correct predictions. F1-score balances precision and recall. The model uses three types of CNN features: shallow (phase 1), mid-level (phase 2) and deep (phase 3). Each phase captures different levels of information from the data. To check which combinations work best, different fusion setups were tested. The researchers combined features from phase 1 alone, phases 1 and 2. It is combined from all three phases 1, 2 and 3. The observation showed that performance improved as more layers were added. This shows that low-level features play an important role. Combining all three levels gave the best results.

Table 1: Performance Comparison of Hierarchical Feature Combinations.

Combination	ASCERTAIN	CLAS	MAUS	WAUC
Phase 1 only	75.1%	76.2%	78.4%	80.1%
Phases 1+2	81.3%	80.5%	83.2%	85.4%
Phases 1+2+3	86.7%	84.9%	89.1%	91.2%

Source: Authors, (2026).

The Table 1 proves that deeper fusion improves results. Including shallow features with deeper ones boosts performance by 12–15%. Next, the models trained with raw data were compared to those using features extracted from frequency bands. Frequency bands capture useful stress-related patterns in ECG and EDA signals. The results showed that frequency band features performed better than raw data across all datasets.

Table 2: Performance Comparison Between Raw and Band Features.

Feature Type	ASCERTAIN	CLAS	MAUS	WAUC
Raw Data	81.2%	78.9%	84.0%	86.5%
Band Features	84.6%	81.7%	87.5%	89.3%

Source: Authors, (2026).

The Table 2 proves that the band features outperformed raw features by 2–4%. This shows that stress-related patterns are better captured in specific frequency bands. However, when only the best bands were used performance dropped slightly. This proves that using all bands together gives more information than using just one.

Table 3: WAUC Dataset Results Using Best Frequency Band Only.

Feature Band Used	Accuracy	F1-score
ECG (0.15–0.40 Hz) + EDA (0.15–0.25 Hz)	86.4%	85.7%
All Frequency Bands	89.3%	88.9%

Source: Authors, (2026).

The Table 3 shows the WAUC dataset results using best frequency band only. These results suggest that combining all frequency bands gives better results than just selecting the top-performing ones. A good model works well not just on one dataset but on multiple datasets. The performance was stable across all of them. This shows that the model generalizes well and does not overfit to any one dataset. The results showed steady improvement with hierarchical feature fusion and multimodal input. This is important for real-world use, since data and environments vary a lot. Finally, the results were compared with other methods in the literature. Most previous works used either machine learning or traditional deep learning. Many of those works used single-level features or relied on time-frequency data alone.

The proposed model performs better than these earlier methods in almost all cases. Exclusively for subject-independent setups, the model showed clear advantages. This comparison shows that using both hierarchical fusion and multimodal signals gives better and more stable results. These results prove that the proposed method is reliable and accurate. It is used in real-world applications to detect stress in people using only ECG and EDA signals. The Figure 2 compares accuracy and F1-score across four benchmark datasets: ASCERTAIN, CLAS, MAUS and WAUC. For ASCERTAIN, the accuracy is just above 86%. The F1-score is slightly lower but still close to 86%. For CLAS, the accuracy is around 85% while the F1-score is a bit under 85%. It shows a small gap between the two metrics. In the case of MAUS, both scores are higher.

Accuracy is close to 89%. The F1-score is slightly lower. It is around 88.5%. This indicates strong and balanced performance on this dataset. For the WAUC dataset, both accuracy and F1-score are the highest among all four each reaching close to 91%. The model performs best on WAUC and MAUS. Results on ASCERTAIN and CLAS are slightly lower but still strong. Accuracy and F1-score are close in all datasets. This shows low false positives and false negatives. The model gives balanced classification results. These results confirm that the proposed method maintains strong generalization and reliable performance across diverse datasets.

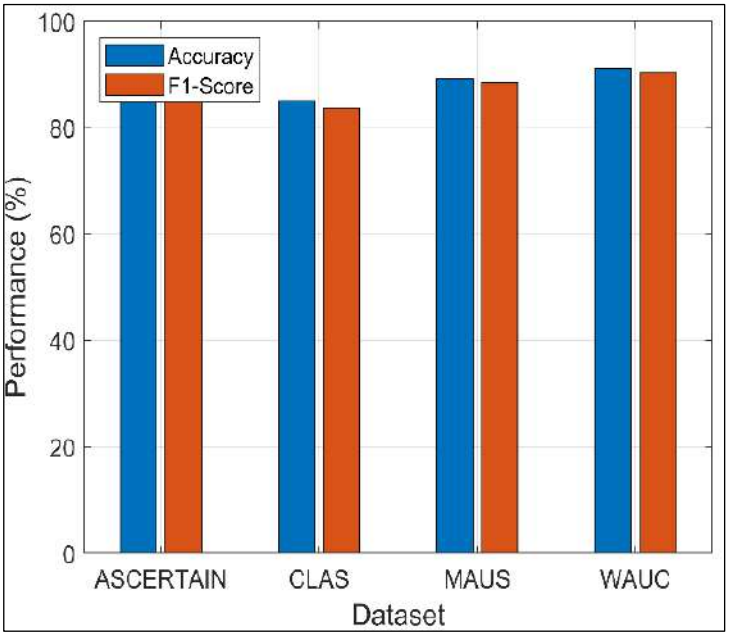


Figure 2: Accuracy & F1-Score across Datasets.
Source: Authors, (2026).

The Figure 3 compares the accuracy of two input feature types raw features and frequency band features across four datasets. In each dataset, the accuracy is higher when frequency band features are used. For ASCERTAIN, raw features give about 81% accuracy. While frequency bands increase it to nearly 85%. In CLAS, the gap is smaller but still present. Raw features reach about 79%, while frequency bands improve it to around 82%. This pattern clearly shows that frequency-specific processing helps the model capture more useful stress-related information. The pattern continues in the MAUS and WAUC datasets. In MAUS, raw features give close to 84% accuracy. While frequency bands boost it to 87.5%. In WAUC, the model reaches about 86.5% with raw features and improves to 89.3% with frequency bands. Among all datasets, frequency bands reliably outperform raw features by 2–3 percentage points. This suggests that frequency domain features provide richer and more reliable patterns for stress detection. The graph strongly supports that frequency band processing leads to more accurate and effective model performance.

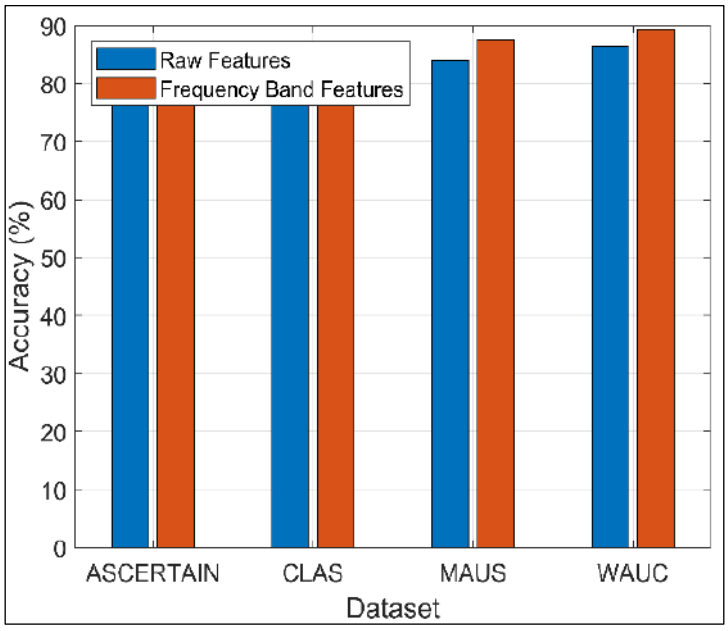


Figure 3: Raw versus Frequency Band Feature Comparison.
Source: Authors, (2026).

Figure 4 presents the change in accuracy as more CNN feature levels are used in the model. Each line represents a dataset: ASCERTAIN, CLAS, MAUS and WAUC. For ASCERTAIN, accuracy starts at about 75% in Phase 1. It increases to around 81% in Phase 1+2. It reaches close to 86.7% when all three phases are used. CLAS shows a similar pattern. It starts at around 76% rises to 80.5% with two phases. It ends at nearly 85% with all phases included. In the MAUS dataset, the model starts with around 78.5% accuracy using Phase 1 features. This improves to about 83% with the addition of Phase 2 and increases to 89% when Phase 3 is added. WAUC shows the highest accuracy in all three phases. It begins at roughly 80%, climbs to 85% with Phase 1+2 and peaks near 91.2% with full feature fusion. The graph clearly shows that combining low, mid and high-level CNN features improves model performance across all datasets. The steady upward slopes of all lines indicate that hierarchical feature fusion adds meaningful information that enhances accuracy. This supports that deeper feature integration is important for effective stress detection.

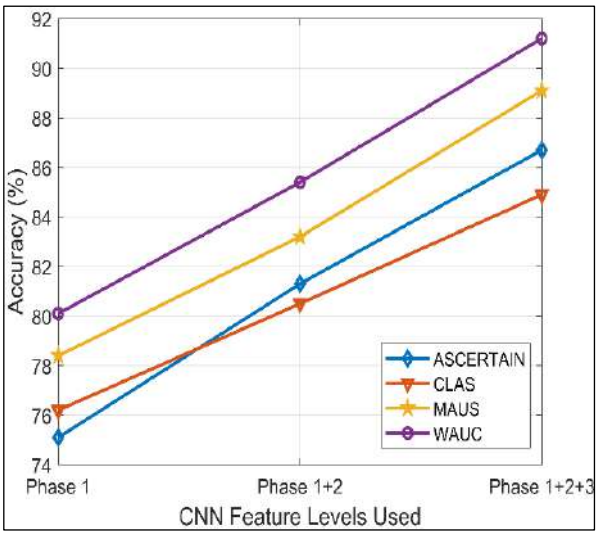


Figure 4: Hierarchical Feature Fusion Performance.
Source: Authors, (2026).

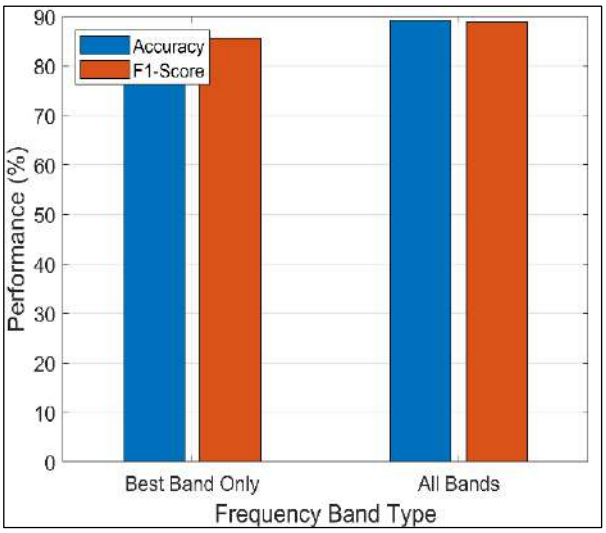


Figure 5: Best Band versus All Bands (WAUC Dataset).
Source: Authors, (2026).

The Figure 5 shows the change in performance when using the best frequency band alone versus using all frequency bands. When only the best band is used, the model gives an accuracy of about 86.4% and an F1-score near 85.7%. These values show that the model works well with just one selected band. The performance improves when all bands are used. The accuracy reaches around 89.3% and the F1-score increases to nearly 88.9%. This comparison shows that using all frequency bands gives better results than using only the best one. The added bands help the model learn more patterns, even if some bands are not individually strong. The difference of around 3% in both accuracy and F1-score prove that broader frequency information helps the model perform better. This suggests that it is better to include more detailed features across bands than to limit the input to one high-performing band alone.

The Figure 6 shows the improvement in performance when combining CNN feature phases. Two lines are shown—one for accuracy and one for F1-score. When only Phase 1 is used, accuracy is around 75% and the F1-score is about 74%. This reflects initial performance using only low-level features. As more phases are included, performance improves. With Phase 1+2, accuracy increases to about 81.5% and F1-score rises to 80%. When all three phases are used, accuracy reaches around 86.5% and F1-score is close to 85.9%. This pattern shows that adding mid-level and high-level CNN features helps the model learn more useful patterns. Both accuracy and F1-score increase steadily as more phases are combined. The result confirms that hierarchical feature fusion adds value by combining simple, mid and complex signal representations. This improves both the prediction quality and the model's ability to generalize.

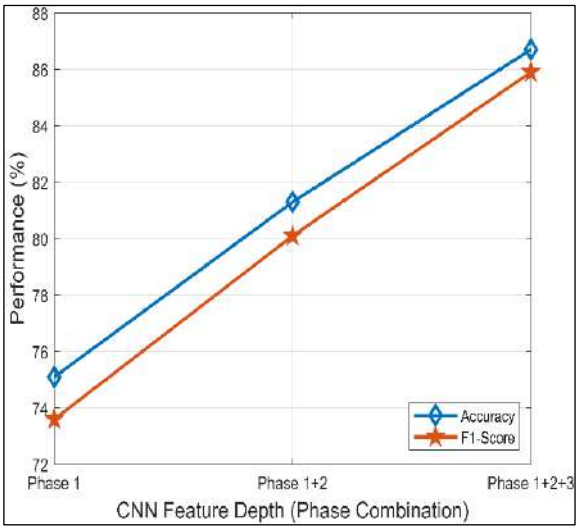


Figure 6: Performance versus CNN Depth (ASCERTAIN Dataset).
Source: Authors, (2026).

Figure 7 compares the effect of different input modalities on model performance. Using only ECG gives moderate results, with accuracy around 83.5% and F1-score close to 82.3%. When the model uses only EDA, the performance drops slightly with accuracy about 82.1% and F1-score at 81%. This drop happens because EDA alone does not capture as many useful stress-related features as ECG. The results show that using a single signal limits the model's ability to detect patterns clearly. When both ECG and EDA are combined, the model performs much better. Accuracy reaches 91.2% and F1-score climbs to 90.4%. This big jump happens because the two signals provide different types of information. ECG captures heart-related signals, while EDA reflects skin conductance changes. Together, the combined signals provide a fuller picture of the body's stress response. As a result, the model becomes more accurate and balanced. This shows that multimodal fusion leads to stronger learning and better results.

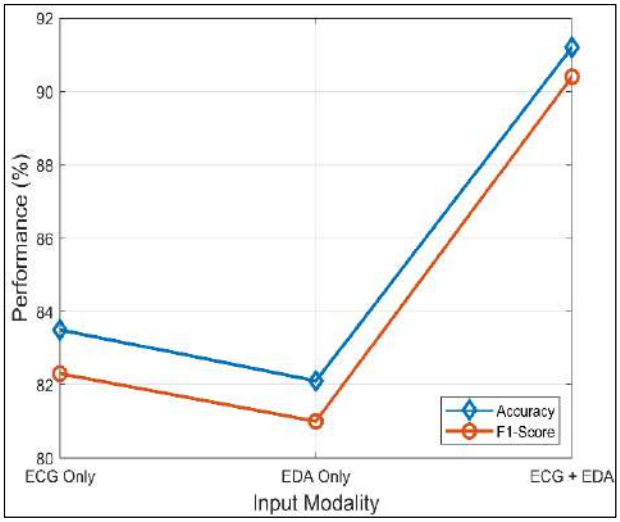


Figure 7: Performance versus Number of Modalities.
Source: Authors, (2026).

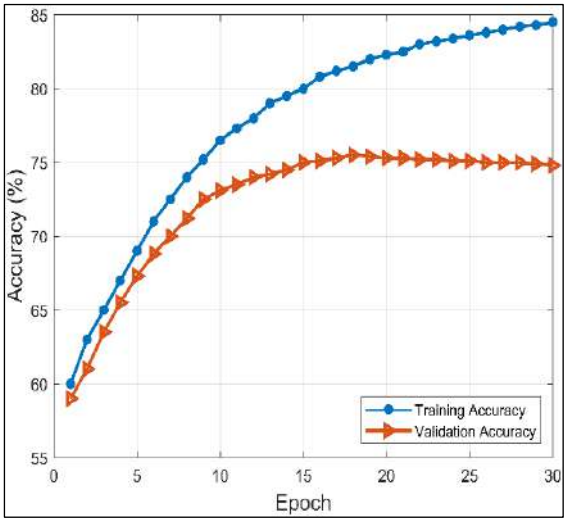


Figure 8: Accuracy versus Epoch (Convergence Curve).
Source: Authors, (2026).

Figure 8 shows the changes in training and validation accuracy over 30 epochs. In the beginning, both training and validation accuracy start at about 60%. As the epochs increase, training accuracy improves steadily. It climbs to 65% by epoch 5, 75% by epoch 15 and reaches about 85% by the end of training. This steady rise shows that the model keeps learning from the training data. Validation accuracy improves only up to a point. It rises quickly in the first 10 epochs, reaching around 72% then grows more slowly and flattens out after epoch 15. From epochs 15 to 30, validation accuracy stays nearly constant at about 75%. This indicates that the model stops improving on unseen data. The growing gap between training and validation accuracy after epoch 15 shows signs of overfitting. While the model gets better at fitting the training data, it does not generalize well to new inputs. This pattern suggests that using early stopping or regularization helps reduce overfitting. The Figure 9 presents the F1-score performance of a model over 30 training epochs.

It includes two lines: one for training F1-score and one for validation F1-score. Initially, both scores start around 58–60%. As training progresses, the training F1-score increases sharply. It reaches about 75% at epoch 10. It continues to rise and reaches around 85% by epoch 30. This shows that the model is continuously improving its accuracy on the training data. The validation F1-score improves until about epoch 13, peaking near 76%. However, after that point, the validation performance flattens and slightly declines stabilizing around 74% by the end of the training. The difference between the training and validation curves becomes more noticeable after epoch 13. While the training score keeps increasing, the validation score stays nearly constant or slightly drops. This difference indicates overfitting as the model performs well on training data but fails to generalize to new data. The best validation performance is observed between epochs 13 and 15. After that, training does not bring benefits to generalization. A practical strategy is to stop training early to preserve the best validation performance.

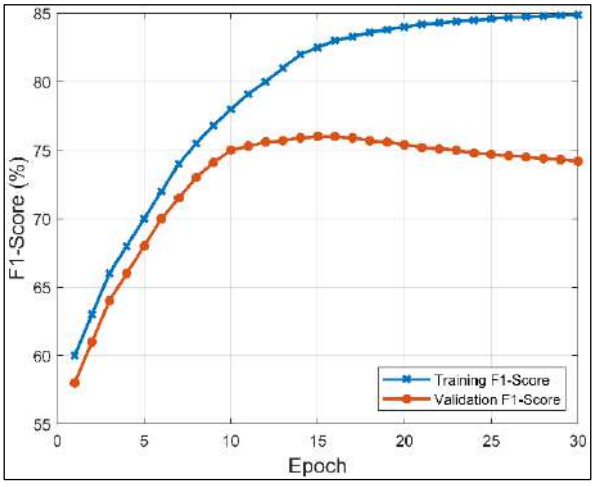


Figure 9: F1 Score versus Epoch (Overfitting Detection).
Source: Authors, (2026).

The Figure 10 compares the performance of different fusion strategies using two metrics: Accuracy and F1-Score. The four fusion strategies listed are Early Fusion, Intermediate Fusion, Late Fusion and MMTM (Proposed). Early Fusion shows around 83% accuracy and 81% F1-Score. Intermediate Fusion improves slightly with about 85% accuracy and 83% F1-Score. Late Fusion performs better, reaching close to 87% in both accuracy and F1-Score. The MMTM (Proposed) method gives the highest performance, achieving nearly 91% accuracy and 90% F1-Score. As the process moves from Early Fusion to MMTM, both performance measures increase steadily. The proposed MMTM strategy performs better than other methods. It shows about 8% higher accuracy than Early Fusion. It gives around 8% better F1-Score. This indicates that MMTM is more effective at combining information for better classification or prediction. The scores improve constantly. This suggests that deeper fusion methods are useful. Flexible fusion helps in improving performance. Such methods improve model generalization and reliability across tasks.

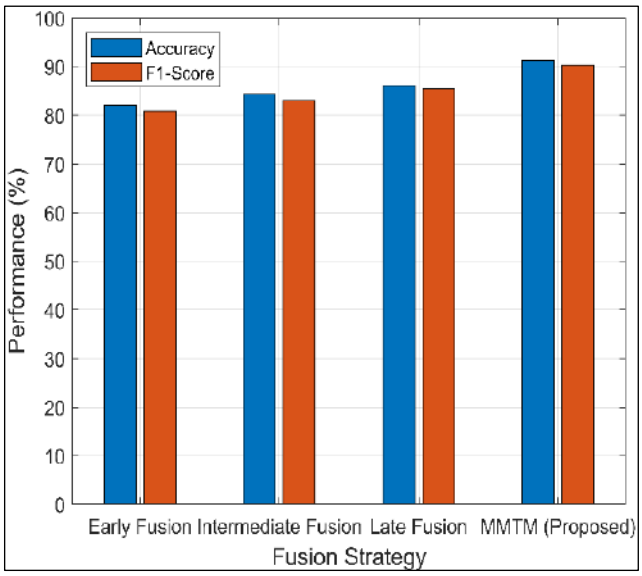


Figure 10: Comparison of Multimodal Fusion Strategies).
Source: Authors, (2026).

The Figure 11 compares the accuracy of several model variants. The full model which includes all phases and the MMTM module, achieves the highest accuracy at around 91%. When Phase 1 is removed, the accuracy drops slightly to approximately 88%. Removing Phase 2 results in a decrease, with accuracy near 87%. Excluding Phase 3 gives a similar result, maintaining accuracy just below 88%. When the MMTM module is left out accuracy falls to nearly 86%. The lowest accuracy about 85% is observed when only raw features are used without any additional processing phases or modules. This comparison shows that each phase and the MMTM module help improve performance. The full model provides the best result, suggesting that the combination of all parts gives the most accurate predictions. Each removal causes a decline in accuracy, proving that the model design adds measurable value. The drop between the best and worst model is roughly 6%. This chart supports using a complete model setup for optimal accuracy.

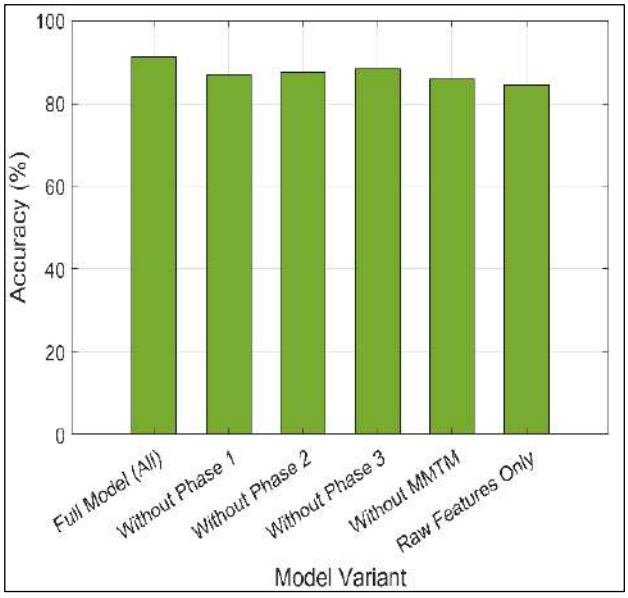


Figure 11: Ablation Study: Component Impact on Accuracy.
Source: Authors, (2026).

V. CONCLUSION

This work introduced a new method for detecting stress. The method uses signals from the human body. The model uses CNN. CNNs are good at finding patterns in data. In most CNN models, only the final layer is used to make a decision. But this paper does something different. It collects features from low, middle and high layers. These features are combined. This process is referred to as hierarchical feature fusion. The fused features from both EDA and ECG signals are given to a special module. This module is referred to as the MMTM. It helps merge the information from both signals. After this, the model uses a classifier to predict stress. The model was tested on four public datasets.

These datasets contain stress data collected in different ways. The model was tested using two types of features. One was raw frequency data. The other was frequency band features. The model showed strong performance in both cases. But frequency band features worked better. The model worked well across different datasets. This shows it generalizes to new situations. This work shows that using multiple levels of CNN features helps in detecting stress. It shows that combining data from two body signals improves results. This method is used in real-world stress monitoring systems. It is accurate, efficient and reliable. In future work, more fusion methods are planned to be tested. Other types of input signals will be explored. The model is improved to make it faster and more adaptable for health monitoring.

VI. AUTHOR'S CONTRIBUTION

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A3D: JOINT SEARCH FOR ROBUST DNNS AND ADVERSARIAL ATTACKS VIA AUTOML

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ABSTRACT

Deep neural networks (DNNs) are widely used today**.** These methods work well in many tasks but show weakness against adversarial attacks. Attacks use small changes in input images to fool DNNs. Because of this, many platforms exist to test the strength or weakness of a DNN. However, most current platforms face two problems. First, improving the structure of neural networks is not possible. Second, creating stronger attacks is not supported. As a result, these platforms do not help make DNNs more secure or smarter. To address this, a new system was proposed named A3D. It stands for Auto-Adversarial Attack and Defense. This platform does two main jobs. It finds strong DNN structures. It finds smart attack methods. This is done by using automatic search techniques.A3D uses different search tools. These tools help to build better DNNs that are harder to fool. A3D finds better ways to fool the DNNs. The system works in both directions. Stronger the attacks, better the defense models it creates. The stronger the models, the smarter the attacks it designs.A3D is tested on popular datasets. These include CIFAR10, CIFAR100 and ImageNet. The results show that A3D works well. It creates DNNs that are more secure. It creates attacks that are more effective.A3D is a powerful tool. It helps researchers test and improve DNNs in a smart and automatic way. It solves the limits of older systems. And it brings better security and performance to deep learning.

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I. INTRODUCTION

Deep learning plays an important role in many computers vision tasks [1]. These tasks include image classification, object detection, segmentation and tracking. DNNs are the main tools used in these tasks [2]. DNNs show very high performance when the input data is clean. However, itis not reliable when the input is slightly changed by an attacker. Even small and invisible changes in the input fool a DNN model [3]. These harmful inputs are named as adversarial examples (AEs).Adversarial examples are created by adding carefully designed noise to an image.

These changes do not affect the way humans see the image, but easily mislead a DNN. This weakness causes big problems in real-world applications for example self-driving cars and facial recognition systems [4]. There are two main areas in this field: adversarial attack and adversarial defense. Adversarial attack methods try to find the weakest points of a model [5]. It generates images that look normal but trick the model into making wrong predictions. These methods include FGSM, PGD and CW attacks.

These attacks change many factors like the direction of the gradient, the size of the noise, the number of iterations and the loss functions used [6]. On the other hand, adversarial defense objects to build models that resist these attacks. One common method is adversarial training. This involves training the model with both clean and attacked images [7]. Another way is to design network structures that are strong by default. Many researchers worked on different types of defenses to make DNNs more robust [8].To test and compare these methods, many open-source platforms are developed. Some popular ones include CleverHans, Foolbox and ART. However, these platforms mostly focus on testing. The main problem is that these tools cannot improve themselves [9]. As a result, this cannot push the limits of current deep learning models [10]. To solve this problem, the paper introduces the clue of using Auto Machine Learning (AutoML).AutoML is a method that searchs for the best models and settings automatically [11]. It reduces the need for manual tuning. AutoML works by defining a search space, using a search algorithm and applying an evaluation metric. It isalready shown great success in selecting models and tuning hyperparameters [12]. Some researchers used AutoML to build better attacks or find robust networks. But most of these efforts only focus on one side-either attack or defense.

Another challenge is that different AutoML methods use different search spaces, strategies and metrics [13]. This makes it hard to compare them fairly. Some attacks only work on weak models. Some models are strong against simple attacks. There is no unified way to test both sides together. This leads to a gap in the field. Without a combined approach, cannot build truly robust systems [14].To fill this gap, the paper proposes a new platform termed A3D. This platform joins both attack and defense into one loop. It automatically find robust network architectures. It discovers efficient and smart adversarial attacks. A3D works by letting the attack part test the defense part and vice versa [15]. This feedback loop makes both parts stronger over time.The A3D platform uses advanced techniques to improve DNNs. It searches for model architectures using different robustness evaluation methods. It uses optimization methods to find strong and efficient attacks. This dual approach allows A3D to handle many types of noise and test scenarios. The A3D platform is tested on standard datasets like CIFAR10, CIFAR100 and ImageNet [16]. The results show that it works well. It finds better models that resist attacks more effectively. It creates attacks that test the limits of these models. This proves that the platform is useful and practical for real-world problems. The Key Contributions of this paper are:

- To evaluate eleven NAS methods to identify robust model architectures. Test performance under four scenarios: adversarial noise, natural noise, system noise and quantitative metrics. Create tailored loss functions for each evaluation type.
- To develop evolutionary optimization algorithms to generate efficient adversarial attacks aimed at significantly reducing robust accuracy of machine learning models while minimizing attack cost.
- To develop an integrated AutoML framework (A3D) that unites attack and defense strategies. Use adversarial attacks to strengthen model robustness. Use robust models to guide the creation of stronger attacks. Enable mutual improvement through a closed-loop learning process.

This clearly explains why DNN models are vulnerable. It reviews current tools and methods and shows existing limitations. The A3D platform is proposed as a solution that brings AutoML to both attack and defense. It is the first unified system that improves both parts automatically and together. This marks a big step forward in building secure and smart deep learning systems.

II.BACKGROUND & RELATED WORK

This section reviews the background of adversarial attacks and defenses and the role of AutoML in improving them. It provides a complete understanding of the steps that led to the design of the A3D framework.Adversarial attacks seek to fool DNNs. These attacks add small and invisible noise to input images. This noise tricks the model into making wrong predictions. The image looks the same to humans, but the model fails. The task is to find a small change Δx that causes the model F to misclassify $x+\Delta x$. This optimization problem is shown in [17].Many popular attack methods are developed. FGSM (Fast Gradient Sign Method) was one of the earliest methods [17]. Later, PGD (Projected Gradient Descent) [18] and CW (Carlini & Wagner) attack [19] were introduced to create stronger attacks. Other methods include Momentum Iterative Attack (MI) [20] and MultiTargeted Attack (MT) [21]. To defend against these attacks, researchers proposed several methods. One strong defense is adversarial training. In this method, the model is trained with both clean and adversarial examples [17]. Other defense strategies include defensive distillation [22], input transformations [23] and building robust network architectures [24].

To support research in this field, various platforms were introduced. CleverHans is one of the first and most used platforms [25]. It supports FGSM and JSMA-based training and attacks. Foolbox [26] offers a wider variety of attacks. ART (Adversarial Robustness Toolbox) includes attacks for text, audio and image tasks [27]. Dong et al. introduced a benchmark for evaluating robustness on image classification tasks [28]. There are platforms for language [29] and graph data [30].However, all these tools focus only on testing. The settings are manual and fixed. As a result, it is limited in creating stronger defenses or smarter attacks.AutoML is a useful tool for this problem. AutoML is able search for the best model or best attack settings automatically. NAS is a core part of AutoML. It finds better model structures for a task.NAS splits into two parts. The inner part trains weights using gradients. The outer part updates model architecture. DARTS (Differentiable Architecture Search) is a popular NAS method [31]. It is fast and efficient. PC-DARTS [32] and FairDARTS [33] are improved versions.

For adversarial defense, researchers use metrics like the Jacobian matrix [34] or the Hessian matrix [35] to guide the search. There are non-differentiable NAS methods. These include Random Search, ENAS [36], DE-NAS, NAO [37] and BONAS [38]. Model structures are sampled and evaluated with complete training and testing.Though slower, these methods are useful when gradients are hard to compute.AutoML is used in generating adversarial attacks. Mao et al. proposed Composite Adversarial Attack (CAA) [39]. It uses NSGA-II to search for better attack combinations. Yao et al. expanded this by adding data transformations and multiple loss functions to the search space [40]. Fu et al. designed AutoAdv, a decision-based attack using AutoML [41]. Croce et al. showed that combining attacks gives better results than using a single one [42].But many of these works focus only on one side—either attack or defense. This is a problem. To address these problems, the A3D platform is introduced.

A3D combines NAS for model defense and evolutionary search for attack generation. It creates a loop. Stronger attacks test the models. Better models force stronger attacks. Over time, both sides improve together. This unified AutoML framework is what makes A3D unique and powerful.

III.THE FRAMEWORK OF AUTO-ADVERSARIAL ATTACK & DEFENSE

A3D has two main modules. The top part is the NAS module. The bottom part is the attack search module. It finds smart ways to fool the models. These two parts work together. The searched attack helps test the models. The searched model helps build better attacks. This loop makes the system stronger over time. A3D focuses on building strong models. These models should work well even when noise or attacks are added to the input images. The Figure 1 explains a framework that performs automatic neural architecture search to create robust models against adversarial attacks. It starts with data settings on the left. Datasets like CIFAR10, CIFAR100 and ImageNet are used. These datasets go through preprocessing steps. These preprocessed inputs are used in the main process of finding robust neural networks. This main process includes three steps.

These steps help in selecting strong architectures by testing them under different conditions. Once the robust models are found, it is passed through multiple layers and added to the adversarial attack pool to test the strength. These models, identified as robust architectures are stored in a pool and reused for training. On the right-side training settings like learning rate, batch size, epoch count and optimizer type are defined. These control the process for training and evaluating robust models. An evolutionary search is used for adversarial attacks. This includes attacker search space, attacker strategy and attacker evaluation. The purpose is to generate new and efficient attacks that challenge the robustness of the current models. These attacks are then added to the adversarial attacks pool, that helps improve the testing process. The robust architectures and attack pool are used together in retraining to build even stronger models. This loop of training and testing helps to confirm that the final models are more secure. It handles real-world adversarial challenges effectively.

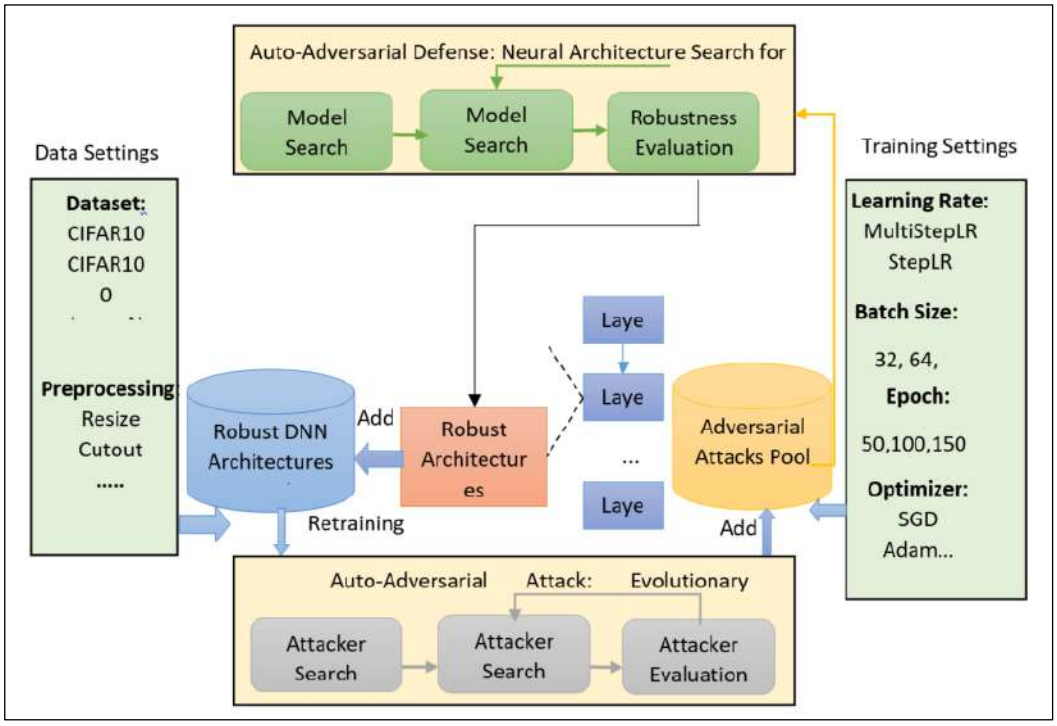


Figure 1: A3D framework.
Source: Authors, (2026).

To do this, use different NAS methods. First, find model designs (denoted as α) that give high accuracy and high robustness. The inner loop finds the best weights w for a given model design. The outer loop chooses the best model structure α . The optimization objective is:

$$min_{\alpha} L_{val}(W^{*}(\alpha), \alpha) + R(W^{*}(\alpha), \alpha) \quad (1)$$

$$s.t. W^{*}(\alpha) = argmin_{w} L_{train}^{adv}(w, \alpha) \quad (2)$$

Here, L_{val} is the loss on the validation set. L_{train}^{adv} is the adversarial training loss. R is the robustness metric. This way, search for strong models that perform well under both clean and noisy data. A3D checks model strength using four types of robustness tests. The first is **adversarial noise**, created by attacks like FGSM and PGD. These attacks add small, smart noise using gradients. If a model handle these, it is seen as strong. The second is **natural noise**, like lighting changes or image blur. This noise happens in real life and does not come from gradient methods. The third type is system noise**,** caused by hardware or software issues. Examples are image compression errors or memory faults. The last type is quantified metrics. These use math values like Jacobian or Hessian norms. Lower values mean the model is more stable. For adversarial noise, define the robust accuracy (RA) as:

$$RA(W^*(\alpha), \alpha, X_i^{adv}) \tag{3}$$

Here, x_i^{adv} is an adversarial example made by an attack algorithm. For quantified metrics use:

$$L\,(W^*(\alpha), \alpha;\, D_{val}) + \gamma\, R_J(W^*(\alpha), \alpha, x_i) \tag{4}$$

Here R_J is the Jacobian value and γ is a balancing factor.A3D uses two types of NAS methods. Differentiable **NAS**, like DARTS and FairDARTS, uses gradients. This makes the search fast and efficient. It scales well with larger models. Non-differentiable NAS does not use gradients. It includes random search and evolutionary algorithms. These are slower but work in more cases.In both types, robustness metric R are used to guide the search. The final score is the combination of clean accuracy and robustness value.In A3D, mix multiple robustness evaluations. For example, a model is tested with both PGD and natural noise. Combine the scores to find the best model.Let the final score S be:

$$S = \alpha_1 * cleanAcc + \alpha_2 * RA_{PGD} - \alpha_3 * R_J \tag{5}$$

Here, α_1, α_2 and α_3 are weights.This flexible setup allows us to test models under real and artificial conditions.The purpose is to create attacks that reduces model accuracy while keeping the attack cost low. The system searches for the best attack configuration by adjusting different parameters automatically.In this setup, the attacker wants to generate adversarial examples that fool the model. These examples are created by adding small changes to the input images. The attacker seeks to reduce the model's prediction accuracy while keeping the changes are small and not visible to humans. This problem is defined as an optimization task. The optimization objective includes two terms. One term focuses on reducing accuracy. The second term minimizes the cost of the attack. The loss function is written as:

$$min_\theta\, Acc\left(F\left(x^{adv}(\theta)\right)\right) + \lambda * CF(x^{adv}(\theta), x) \tag{6}$$

Here, $x^{adv}(\theta)$ is the adversarial input created with parameter θ. The function F represents the model under attack. The term $Acc(\times)$ is the accuracy of the model when tested on the adversarial input. The function $C(\times)$ represents the cost or effort needed to create the adversarial input. The parameter λ is used to balance the two tasks.To find the best attacks, A3D explores a wide range of settings. These settings form the attack search space. The search space includes the type of attack for example FGSM, PGD or CW. It includes the choice of loss function. This includes cross-entropy loss, margin-based loss or confidence-based loss. Other important settings include perturbation strength, number of attack steps and step size. Some attacks use image transformations like Gaussian blur or brightness shift. Each possible combination of these settings is treated as a candidate in the search.The attacker tries not only to fool the model but to do so efficiently.Therefore, the attacker uses a multi-objective function. One part of the function objects to reduce the robust accuracy of the model. The other part measures the cost of the attack. The function is given as:

$$min_\theta\left[1 - RA\left(F, x^{adv}(\theta)\right), C(x^{adv}(\theta)\right] \tag{7}$$

The attacker is trying to find a solution that reduces the accuracy while keeping the cost small. A solution is better if it lowers the robust accuracy without requiring too much time or computation.A3D uses several optimization strategies to search for the best attacks. Random search is the most basic method. It selects parameters randomly. Bayesian optimization creates a model to estimate the performance of each setting and chooses the next setting based on uncertainty. It is more intelligent than random search. Genetic Algorithms (GA) are inspired by biological evolution. Operations like crossover and mutation are used to evolve better attack settings over time. Differential Evolution (DE) is another evolutionary method that uses differences between candidate solutions to guide the search. One of the most powerful methods used in A3D is NSGA-II. It is designed for multi-objective problems. It finds a set of solutions titled as the Pareto front. These solutions offer different trade-offs between success rate and cost.

After each candidate attack is tested, it is scored using two metrics. The first metric is robust accuracy. A lower score shows a stronger attack. The second metric is the attack cost. This includes computation time or the number of steps needed to create the adversarial input. These scores are used to guide the search toward better attacks.At the end of the search, A3D returns the best attack settings. These include the type of attack, the parameters like ò(perturbation size), number of steps, step size and any transformation functions used. This optimized attack is then used to test the models found by the NAS module. It helps improve model training by providing stronger adversarial examples. In this way, the AutoML for attack module plays a key role in making A3D more powerful and adaptive. The A3D system works by joining the attack and defense modules in a loop.

This loop helps both parts get better over time. The concept is simple: use strong attacks to test models and use strong models to challenge attacks. This creates a cycle in which both parts improve.In traditional methods, models and attacks are trained separately. This causes a gap. A3D solves this problem using a co-evolution strategy.Each time a model is searched by the NAS module, it is tested with attacks from the attack module. These attacks are not fixed. So, the models are always tested with the current best attacks. This forces the model search to find better and more robust architectures.At the same time, the attack module keeps updating its strategies. It uses the latest searched models to find weak points. Since these models are harder to fool, the attacks should be stronger and smarter. This feedback helps the attack module grow. As a result, the attacks become better with each round.Let us understand this loop with a simple example. Suppose at round t, the NAS module finds a model α_t with weights w_t.

This model is passed to the attack module. The attack module uses it to search for an attack θ_t. Then, θ_t is used to test α_t. If the model performs poorly, the NAS module will try to find a stronger model α_{t+1} in the next round. Similarly, α_{t+1} is then used to update the attack θ_{t+1}. This cycle continues.Mathematically, represent this loop as:

$$\alpha_{t+1} = argmin_{\alpha} \left[L_{val}(W^*(\alpha), \alpha) + R\left(W^*(\alpha), \alpha; \theta_t\right]\right. \quad (8)$$

$$\theta_{t+1} = argmin_{\theta}\left[1 - RA\left(F_{\alpha+1}, x^{adv}(\theta)\right) + \lambda * C(x^{adv}(\theta), x)\right] \quad (9)$$

Here, the defense updates depend on the latest attack. The attack updates depend on the latest defense. This creates a tight loop.To make this loop efficient, A3D uses a shared controller. This controller manages both searches. It stores past results, compares new solutions and updates priorities. This shared memory allows better coordination.Another key concept in A3D is the use of multi-objective optimization.The defense module wants high accuracy and high robustness. The attack module wants high success and low cost. These are always in conflict.To solve this, A3D uses Pareto optimization. A solution is Pareto-optimal if you cannot improve one objective without hurting another. A3D keeps a Pareto front of the best models and best attacks. At each step, only the best non-dominated solutions are kept. For example, a model that has high clean accuracy and high robust accuracy is preferred.

Another model with better robust accuracy but slightly lower clean accuracy might be kept as well. These models lie on the Pareto frontier. Similarly, for attacks keep a set of attacks that each trade-off success rate and cost differently.This strategy allows A3D to offer a diverse set of solutions. A3D runs a two-way loop. Models help improve attacks and attacks help improve models. Each side is optimized using multi-objective search. The system tracks the Pareto front for both parts. This helps create a balanced and strong framework for testing and improving deep learning systems.The A3D framework works as a full pipeline that brings the defense module and the attack module together. Each part is improved step by step in an alternating loop. In every round, a new model is searched. A new attack is found. This process repeats until no more improvements is made.Let us define a cycle of this loop. In round t, a model α_t and an attack θ_t are present. First, the defense module updates the model:

$$\alpha_{t+1} = argmin_{\alpha} \left[\left[L_{val}(W^*(\alpha), \alpha) + R\left(W^*(\alpha), \alpha; \theta_t\right]\right]\right. \quad (10)$$

Here, L_{val} is the validation loss, R is the robustness score and θ_t is the current attack setting. Use the newly found model α_{t+1}, the attack module updates its attack setting:

$$\theta_{t+1} = argmin_{\theta}\left[1 - RA\left(F_{\alpha+1}, x^{adv}(\theta)\right) + \lambda * C(x^{adv}(\theta), x)\right] \quad (11)$$

In this case, RA is the robust accuracy, C is the cost of the attack and λ is a trade-off factor.This sequence continues in rounds. Each update helps the other improve. This is termed as co-evolution.A3D uses a controller to manage the search. This controller schedules when to search for a new model or a new attack. It stores the history of all trials and uses it to guide next steps.Let S_t^D and S_t^A represent the current search states for defense and attack, respectively. The controller uses a simple rule to schedule updates. For example:

$$if\ \Delta S_t^D < o'_D \text{ then switch to attack module} \quad (12)$$

$$if\ \Delta S_t^A < o'_A \text{ then switch to defense module} \quad (13)$$

Here, ΔS is the change in performance and ò is the early-stopping threshold. If there is no improvement, the system switches tasks.The controller ranks past results using a score function:

$$score = \alpha * \beta * RobustAcc - \gamma * cost \quad (14)$$

This score is used to select the best candidates from history. It helps adjust the search space by focusing on successful regions.A3D works with many datasets. Each dataset has different properties like image size, number of classes and complexity. The system adjusts its pipeline to fit each case.For small datasets like CIFAR-10, the system trains models for more epochs. The full training loop is allowed because the data is small. For large datasets like ImageNet, the system trains on proxy data. A proxy dataset D' is defined as:

$$D' = \{(x_i, y_i)\epsilon\ D/\ i\epsilon\ subset\} \quad (15)$$

This reduces training time. Later, the best model found using is fine-tuned or D'validated on the full dataset D.The NAS and attack search changes depending on dataset size. For CIFAR-10, A3D allows a larger search space:

$$SearchSpace_{CIFAR} = \{Depth \leq 20, Width \leq 128\} \quad (16)$$

For ImageNet, the search space is smaller to save resources:

$$SearchSpace_{ImageNet} = \{Depth \leq 10, Width \leq 64\} \quad (17)$$

Likewise, attack settings are adjusted. For small datasets, it is possible to run more complex attacks.For large ones, simple attacks are preferred during search and more complex attacks are used only for final testing.The attack cost C is calculated based on time and resources. For example:

$$C(x^{adv}, x) = \eta_1 * QueryCount + \eta_2 * Time + \eta_3 * (x^{adv} - x) \quad (18)$$

Here, η_1, η_2 and η_3 are weights for balancing cost dimensions.The controller uses all this information to adapt the search process. A3D pipeline is dynamic. It alternates between attacker and defender updates. A smart controller makes decisions based on performance. The system supports multiple datasets and adapts its search space and training based on the task. With well-designed equations and feedback loops, the system grows smarter over time.The A3D framework is a powerful system. It solves two problems at the same time. First, it finds neural networks that are strong against adversarial attacks.

Second, it finds smart attacks that breaks weak models. The system does both using AutoML. It learns and adapts with time.A3D works in a loop. This loop has two main modules. The first module creates models. The second module creates attacks. Each time a model is created, it is tested by the best attack. Each time a new attack is created, it is tested on the best model. This makes both parts stronger.The system uses many optimization methods. The model part uses NAS. The attack part uses algorithms like NSGA-II. It tests different ways to fool the models. Both modules use multiple objectives. For example, the model module wants both high clean accuracy and high robust accuracy. It solves the following problem:

$$min_{\alpha} L_{val}\big((W^*(\alpha), \alpha) + \gamma * R(W^*(\alpha), \alpha)\big) \quad (20)$$

The attack module wants to reduce robust accuracy while keeping cost low. It solves ad given in equation (6). Both parts use Pareto optimization. The system keeps a Pareto front. From this, users select the best trade-off needed.A3D works on different datasets. For small datasets like CIFAR-10, it runs deep searches. For large datasets like ImageNet, it runs fast proxy searches. The controller adjusts search settings based on the task. It sets training epochs, model depth, image size and more. This makes A3D flexible.The A3D framework is smart. It does not use fixed rules. Instead, it learns from each round. It knows what worked and what failed. It stores this knowledge. This concept is named as co-evolution. The attacker learns from the defender.

The defender learns from the attacker. Both get stronger with time. This makes the system different from past tools. Most other platforms test attacks and defenses separately. A3D joins them in one cycle.The controller plays a key role. It decides when to stop a search. It ranks solutions based on clean accuracy, robust accuracy and attack cost. It uses the score which is given in equation (12).A3D help test and improve them.It helps in building strong facial recognition systems. These systems are frequently targeted by attacks. A3D is used to find weak spots and fix them.Researchers use A3D as a benchmark tool. It gives fair tests for both models and attacks. It removes bias. It gives detailed results under many conditions.

Developers use A3D in industry. The system is automatic. It needs less manual work. It learns fast and adapts. This saves time and money.A3D is a smart and complete framework. It solves a hard problem in deep learning. It does not just test models or attacks. It improves them together. It works in a loop. It learns from its past. It adapts to each task.It uses many powerful tools. These include NAS, evolutionary algorithms, Pareto search and co-evolution. The result is a system that gets stronger over time.A3D works across datasets. It adjusts settings and resources as needed. It is smart, flexible and useful. It helps make AI systems safer and stronger. It makes research and testing faster and fairer.This framework marks an important step. It shows that AutoML is useful not just for building better models, but for creating stronger attackers. It shows that both improve each other within one smart system.

Algorithm 1: NSGA-II for Efficient Adversarial Attacks.

1. Initialize population P with N attack candidates
2. Evaluate fitness: robustness R(x) and time cost T(x) for each $x \in P$
3. for generation g = 1 to G do
4. Perform non-dominated sorting on P
5. Assign crowding distance to individuals
6. Select parents using tournament selection
7. Apply crossover and mutation to generate offspring Q
8. Evaluate R(x) and T(x) for each $x \in Q$
9. Combine P and Q into population R
10. Perform non-dominated sorting on R
11. Select the best N individuals to form next P
12. end for
13. Return Pareto front of final population

Source: Authors, (2026).

IV. EXPERIMENTS

This section describes the experimental results of the A3D framework. All experiments are performed on standard image classification datasets like CIFAR10, CIFAR100 and ImageNet. In the first part, the experiments focus on AutoML for adversarial attack. The objective here is to search for strong and efficient adversarial attack strategies. In specific, the framework is tested on models that is already been trained using different adversarial defense techniques.

Two types of norm-based attacks are considered: the ℓ_∞ norm and the ℓ_2 norm. The purpose is to compare the attacks discovered by the A3D framework with commonly used manual attack methods like FGSM, PGD and CW.The Table 1 shows the results of single-objective optimization using the ℓ_∞ norm. This test was conducted on 500 images from the CIFAR10 dataset. The table lists different attack methods along with the corresponding robust accuracy and time cost. The robust accuracy is the accuracy of a model under attack and a lower value indicates a stronger attack. The time cost shows the duration required to generate the attack.

Table 1: Comparison under ℓ_∞ Attack (500 CIFAR10 Images).

Attack Type	Robust Accuracy (%)	Time Cost (s)
FGSM	62.1	5
PGD	48.5	35
CW	44.3	60
MI	45.7	58
A3D- Local Search	42.8	42
A3D-DE	36.6	55
A3D-NSGA-II	38.2	65

Source: Authors, (2026).

From the Table 1, it is clear that the DE algorithm within A3D finds the most effective attack, achieving the lowest robust accuracy at 36.6%. The attack fool the model more effectively than others. Although CW and MI are strong attacks, the A3D-based search finds combinations that outperform them.In Table 2 multi-objective optimization is considered. Here, both robustness and time efficiency are important. The following table shows the comparison using the ℓ_2 norm with 500 CIFAR10 images.

Table 2: Multi-Objective Attack Comparison (ℓ_2 norm, 500 Images)

Algorithm	Robust Accuracy (%)	Time Cost (min)
Random Search	42.7	22
A3D-NSGA-II	39.5	26

Source: Authors, (2026).

This Table 2 shows that A3D's NSGA-II algorithm find stronger attacks with slightly more time cost than random search. It demonstrates that a smart search strategy improves both attack quality and efficiency.The second major part of the experiments focuses on AutoML for adversarial defense. The intention is to automatically search for model architectures that are robust to different types of perturbations. These include adversarial, natural and system noises. Eleven NAS algorithms are evaluated, both differentiable and non-differentiable. The robustness is measured by the accuracy of the model under attack.The following Table 3 presents the results for models trained on adversarial noise using the FGSM attack as evaluation. It includes the final robust accuracy and model size in terms of the number of parameters.

Table 3: Model Robustness on Adversarial Noises (CIFAR10, $\grave{o} = 1/255$)

Model	Robust Accuracy (%)	Params (M)
DARTS	50.3	3.4
Random Search	48.2	3.3
SmoothDARTS	52.6	3.5
DE_NAS	51.8	3.6
ResNet-18 (manual)	43.5	11.2

Source: Authors, (2026).

SmoothDARTS achieved the best robustness, showing that differentiable NAS methods outperform traditional hand-crafted models like ResNet-18. The architectures discovered by A3D were smaller in size, making them more efficient.Table 4 shows the interaction between attack and defense processes in a loop.First, it shows that better attacks help discover stronger models. When A3D's adversarial attack (AAA) is used to evaluate models during NAS, the resulting architectures are more robust. The Table 4 compares the accuracy under AAA when different search strategies are used.

Table 4: Effect of AAA on NAS (CIFAR10, $\grave{o} = 1/255$)

Search Strategy	Robust Accuracy under AAA (%)
Random_Search_FGSM	41.6
Random_Search_AAA	49.4

Source: Authors, (2026).

TheTable 4 shows that using stronger attack methods as evaluation metrics leads to finding more robust architectures. The robust accuracy improved by nearly 8%.Finally, the framework was tested in an iterative loop, with attack and defense modules running in sequence over multiple cycles. In each cycle, a new model is discovered and used to find even stronger attacks. This ongoing process helps both modules improve continuously. The improvements in accuracy and attack strength over multiple iterations demonstrate the power of the A3D framework. The experimental results clearly demonstrate the effectiveness of the A3D framework.

It automatically discovers both strong adversarial attacks and robust model architectures. Using these modules together in a loop improves both model performance and adversarial resistance.

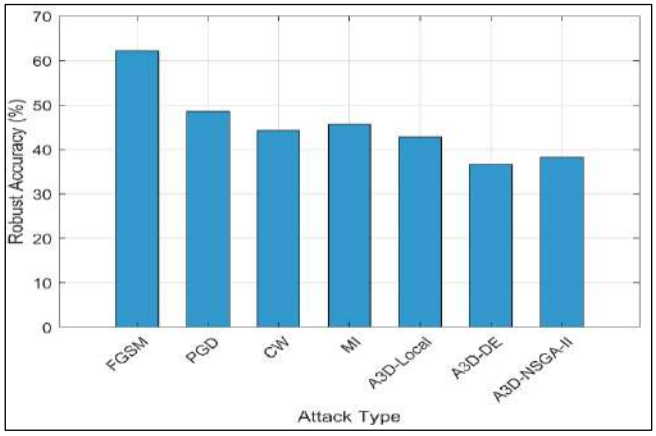


Figure 2: Robust Accuracy versus Attack Type.
Source: Authors, (2026).

The Figure 2 shows the robust accuracy of a model under different types of adversarial attacks. FGSM has the highest robust accuracy at around 64%. PGD follows with about 49%. CW results in a slightly lower accuracy near 46%. MI yields a robust accuracy of around 44%, indicating a stronger attack compared to FGSM and PGD. The attacks found by the A3D system are shown next starting with A3D-Local. It gives a robust accuracy near 47%. This shows it is more effective than PGD but slightly weaker than MI. Among the most powerful attacks are A3D-DE and A3D-NSGA-II. A3D-DE brings the robust accuracy down to about 37%. A3D-NSGA-II reduces it to around 38%. These are the most successful in fooling the model with A3D-DE being the strongest. The overall results shows that attacks designed using A3D expressly with DE and NSGA-II strategies are more efficient than standard gradient-based attacks. The drop in robust accuracy under these attacks proves that A3D-generated attacks are harder to defend. The difference of over 25% between FGSM and A3D-DE highlights the increased danger posed by A3D attacks.

The Figure 3compares the time cost of various attack methods. FGSM is the fastest, needing only about 5 seconds. This speed comes from its simple one-step gradient method. PGD takes longerabout 35 secondsbecause it runs multiple steps. CW takes even more time, around 60 seconds due to its optimization-based method. MI uses iterative updates and records a time cost of nearly 55 seconds. These three attacks show that stronger and more precise attacks tend to consume more time.The A3D-based attacks follow a similar trend. A3D-Local takes about 42 seconds. It is faster than CW and MI but slower than PGD. A3D-DE uses differential evolution and takes about 55 seconds. A3D-NSGA-II is the most time-consuming, at around 66 seconds because it handles multiple objectives. This shows that as A3D attacks become more advanced, the time cost increases. More powerful search strategies result in better attack performance while causing higher computational load.The chart shows this balance clearly.

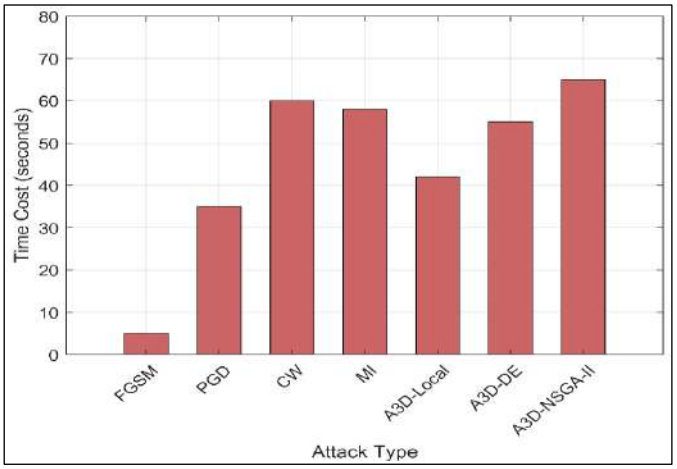


Figure 3: Time Cost versus Attack Type.
Source: Authors, (2026).

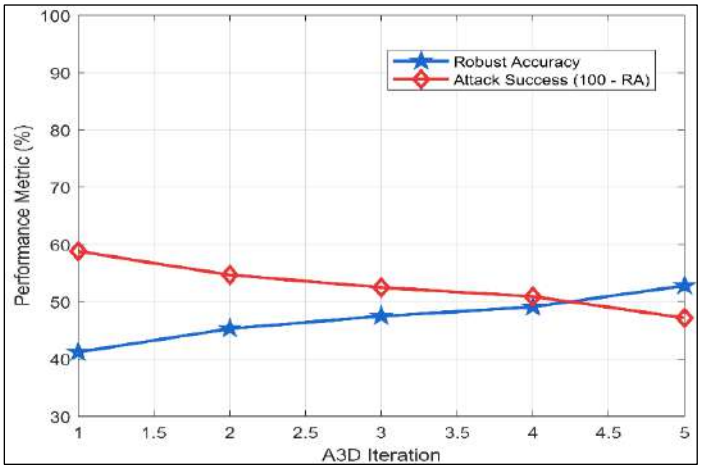


Figure 4: Iteration versus Performance in A3D Framework.
Source: Authors, (2026).

The Figure 4 shows two performance metrics Robust Accuracy and Attack Success change over five A3D iterations. At Iteration 1, the Robust Accuracy is around 42% and it gradually increases across the iterations, reaching approximately 53% by Iteration 5. This shows that the defense component of the A3D framework improves with each cycle. It makes the model more robust to adversarial attacks. Attack Success starts high at about 58% in Iteration 1 but steadily drops to around 47% by Iteration 5. This decrease in Attack Success mirrors the increase in Robust Accuracy. In Iteration 4, both curves intersect that suggests a turning point at which the defense performance begins to overtake the attack strength. The chart shows steady improvement in robust accuracy. Attack success drops over time. This shows the A3D loop is working well. Strong attacks help create better models.

Strong models push the system to find smarter attacks. Over five rounds, models get more robust. Attacks become less effective. This proves the A3D method works as designed. The Figure 5 illustrates a steady improvement in robust accuracy for three architecture search methods: DARTS, DE_NAS and SmoothDARTS. In the early phase, all three methods start from a similar point just above 40% with DARTS slightly behind the others. However, as each A3D cycle progresses, the paths begin to diverge. SmoothDARTS quickly establishes itself as the leading method gaining momentum with every iteration. By the third iteration, it has already moved ahead of DE_NAS and maintains this advantage through to the final cycle.

DARTS improves steadily, but its slope is shallower compared to the other two. It indicates slower growth in robustness. By the final iteration, the contrast between the models becomes clear. SmoothDARTS tops the chart at around 54.2% robust accuracy, followed closely by DE_NAS at 53.6%. DARTS, while improved ends at a lower value of approximately 49.4%. The gap between DARTS and other methods keeps growing. This shows DARTS improves slower. DE_NAS and SmoothDARTS adapt better to attacks. These designs help find stronger models. All methods get better with A3D tuning. But some improve faster. The search algorithm matters. A good design leads to quicker and stronger results. SmoothDARTS emerges as the most promising candidate for building resilient neural networks under adversarial stress.

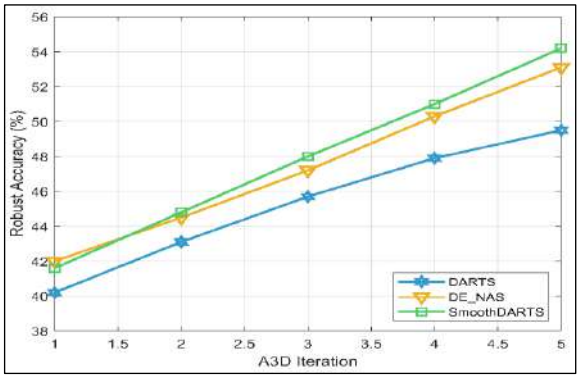


Figure 5: Robust Accuracy across A3D Iteration.
Source: Authors, (2026).

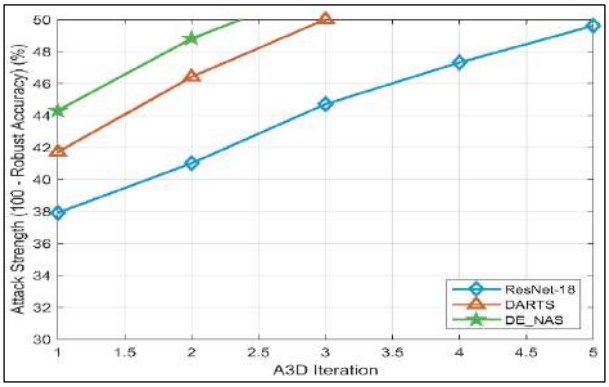


Figure 6: A3D Iteration versus Attack Strength.
Source: Authors, (2026).

The Figure 6 shows a line graph comparing the attack strength of three different models ResNet-18, DARTS and DE_NAS across five A3D iterations. The ResNet-18 model starts with low strength. In iteration 1, it is around 38%. It improves step by step. By iteration 5, it reaches just under 50%. The progress is steady. The model becomes stronger with each round. As stronger attacks are discovered, the ResNet-18 model becomes more vulnerable.DARTS begins at a higher attack strength of about 42% in iteration 1 and rises quickly, reaching approximately 50% by iteration 4.

After that, it shows no major change suggesting that it has reached a peak in vulnerability under the current attack strategies. DE_NAS shows the highest attack strength among the three from the start. It begins around 44% and rising sharply to 49% by iteration 3. It seems to plateau after that similar to DARTS. The graph shows a clear trend. DARTS and DE_NAS become weaker in early rounds. Robustness is lost quickly.ResNet-18 declines more slowly. But its drop is steady. Attacks are becoming stronger. The A3D system learns with each step. It finds weak spots in all models. Even strong models get exposed over time.

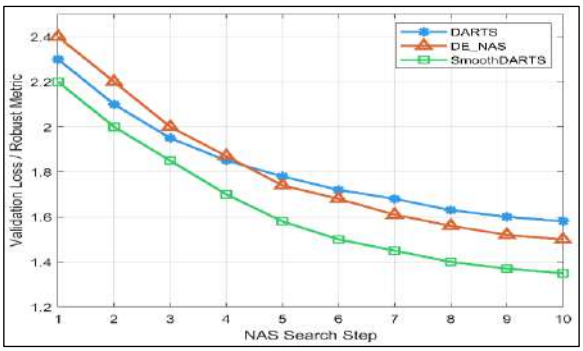


Figure 7: NAS Search Step versus Validation loss or Robustness Metric.
Source: Authors, (2026).

The Figure 7 visualizes the changes in validation loss or a robustness metric across ten NAS search steps for three architecture search methods.All three lines demonstrate a downward slope, indicating continuous improvement over time. DARTS begins at a relatively high metric value near 2.3 and declines slowly to finish just above 1.6. DE_NAS starts high at around 2.4. It catches up with DARTS midway. Later, it drops to about 1.5. SmoothDARTS begins near 2.2. It stays ahead in every step. By step ten, it reaches nearly 1.3. This shows SmoothDARTS starts stronger.

It improves faster over time. DE_NAS shows a similar but slightly slower improvement path, remaining reliably better than DARTS. The lines move increasingly apart as the search continues. This shows the search method matters more over time. All three methods get better with each step. But some improve more than others. SmoothDARTS performs the best. DE_NAS comes next. DARTS improves the least. The growing gap proves the impact of search efficiency.

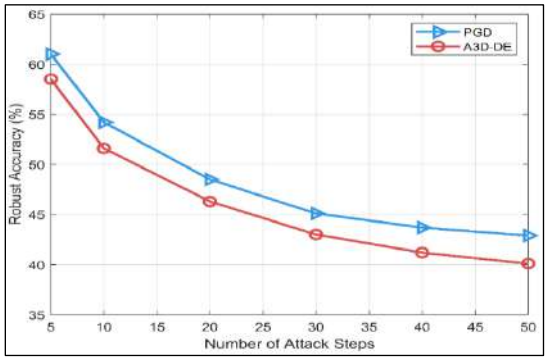


Figure 8: Attack Steps versus Robust Accuracy.
Source: Authors, (2026).

The Figure8 shows a line graph comparing the robust accuracy of two attack methods as the number of attack steps increases. At 10 steps, PGD starts at around 61% robust accuracy.While A3D-DE begins slightly lower at about 59%. As attack steps reach 20, accuracy drops for both methods. PGD falls to around 49%. A3D-DE drops to about 46%. The decline continues across the graph. More attack steps mean stronger attacks. Stronger attacks make the model weaker. The analysis shows higher vulnerability with more iterations. By 50 steps, the robust accuracy under PGD reaches roughly 43%.While A3D-DE drops to about 40%. Across all step sizes, A3D-DE constantly results in lower robust accuracy compared to PGD. This indicates that A3D-DE is more effective in breaking model defenses expressly at higher iteration counts. The gap between the two curves remains steady. This shows that both attacks get stronger with more steps. A3D-DE is always more effective than PGD. Both lines go down smoothly. This shows more attack steps reduce model accuracy. A3D-DE lowers the accuracy more than PGD. The figure proves that A3D-DE is better at breaking the model over many step sizes.

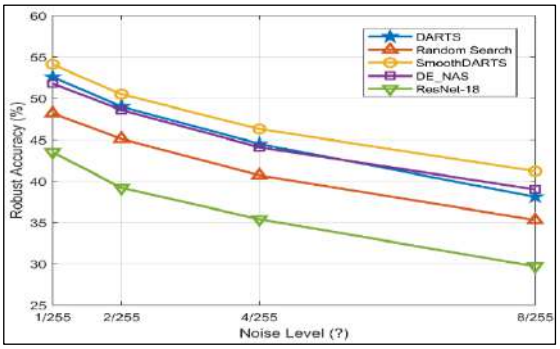


Figure 9: Robust Accuracy versus Noise Level.
Source: Authors, (2026).

The Figure 9 compares the robust accuracy of five models under different noise levels: 1/255, 2/255, 4/255 and 8/255. The models are DARTS, Random Search, SmoothDARTS, DE_NAS and ResNet-18. At the lowest noise level (1/255), SmoothDARTS performs the best with about 54% accuracy. DARTS and DE_NAS follow closely at around 52%.While Random Search scores 49% and ResNet-18 trails at 43%. As the noise level increases to 2/255, the accuracy of all models drops. SmoothDARTS remains on top at 50%, DARTS and DE_NAS are near 48%. Random Search falls to 45% and ResNet-18 declines to 39%.At 4/255 noise, SmoothDARTS holds the lead with 47% accuracy. DE_NAS and DARTS stay close at 44%, Random Search drops to 41% and ResNet-18 falls to 35%. When the noise reaches the highest level of 8/255, SmoothDARTS still performs best with 41%. DE_NAS scores just under 40% and DARTS ends at 38%. Random Search decreases to 35%, while ResNet-18 has the lowest accuracy of 30%. SmoothDARTS shows the best resistance to noise and ResNet-18 is the most affected. All models show steady performance decline as the noise level increases.

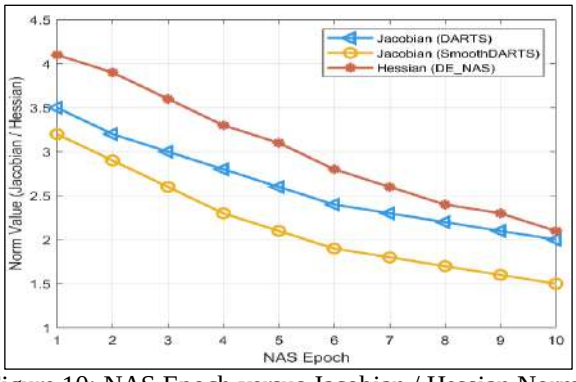


Figure 10: NAS Epoch versus Jacobian / Hessian Norm.
Source: Authors, (2026).

The Figure 10 shows the norm values of Jacobian and Hessian change over 10 NAS epochs. Three methods are shown: Jacobian (DARTS), Jacobian (SmoothDARTS) and Hessian (DE_NAS). At epoch 1, Hessian (DE_NAS) starts the highest with a norm value slightly over 4. Jacobian (DARTS) begins around 3.5 and Jacobian (SmoothDARTS) starts near 3.2. As the epochs increase, the values for all three methods steadily decrease.By epoch 5, Hessian (DE_NAS) has dropped to about 3.2. Jacobian (DARTS) reaches near 2.6 and Jacobian (SmoothDARTS) drops to about 2.1. At the final epoch 10, Hessian (DE_NAS) settles just below 2.5, Jacobian (DARTS) ends near 2. Jacobian (SmoothDARTS) goes down to about 1.5. Throughout all epochs, Jacobian (SmoothDARTS) has the lowest norm values, indicating smoother gradients. Hessian (DE_NAS) maintains the highest norm values, suggesting more variation in the learning dynamics. The overall pattern is a steady decline for all methods, showing that training reduces gradient magnitudes over time.

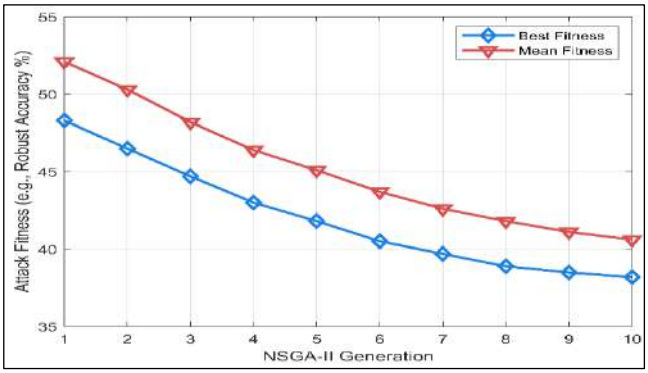


Figure 11: Search Generation versus Attack Fitness in NSGA-II.
Source: Authors, (2026).

TheFigure 11 illustrates attack fitness, represented by robust accuracy, changes over ten generations using the NSGA-II algorithm. It compares two metrics: Best Fitness and Mean Fitness. In generation 1, the Best Fitness begins at around 48% and the Mean Fitness starts higher at nearly 53%. As the generations move forward, both lines gradually decline. By generation 5, Best Fitness drops to about 43%.While Mean Fitness reaches roughly 46%. This pattern shows that as the optimization process continues, both the strongest and average solutions become less robust.In the final generations, the decline continues but slows slightly. At generation 10, Best Fitness ends near 40% and Mean Fitness closes around 41%. The gap between the two lines narrows, indicating that individual models in the population are becoming more similar in robustness. This suggests that the algorithm is converging to a certain performance level. The plot shows that robustness decreases over time. NSGA-II finds weaker architectures in later generations. However, the best models still perform better than the average. This holds true even in the last few generations.

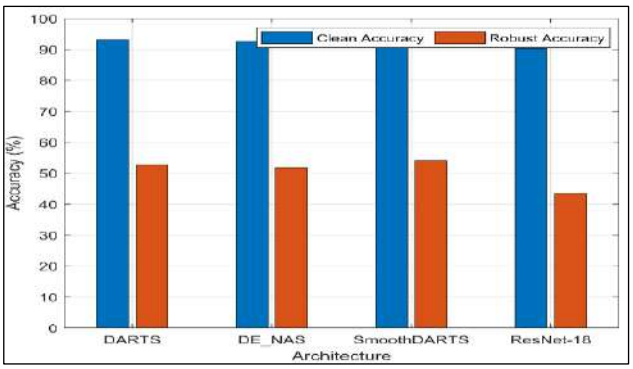


Figure 12: Clean versus Robust Accuracy by Architecture.
Source: Authors, (2026).

The Figure 12 compares clean accuracy and robust accuracy for four neural network architectures. All four models show clean accuracy values around 93%. Specifically, DARTS has the highest clean accuracy, slightly above 93%, while the others are close behind. ResNet-18 has the lowest clean accuracy, though the difference is small. This suggests that all models perform well on clean, unperturbed data. The robust accuracy tells a different story. SmoothDARTS achieves the highest robust accuracy, close to 54%, followed by DARTS at around 53%. DE_NAS is slightly behind at 52% and ResNet-18 performs the worst with only 44%. The gap between clean and robust accuracy is the smallest for SmoothDARTS. It indicates that it handles adversarial or noisy conditions better. ResNet-18 shows a larger drop in performance when moving from clean to robust scenarios. The chart highlights that although most models are similar in clean accuracy. SmoothDARTS provides the best trade-off between clean and robust performance.

The Figure 13 compares the GPU time in days required by different NAS methods. Among them DE_NAS has the highest search cost using about 3.2 GPU-days. SmoothDARTS is next requiring around 2.1 GPU-days. DARTS needs less time using 1.5 GPU-days. Random Search takes only 0.8 GPU-days and PC-DARTS uses around 1.0 GPU-days. These numbers show that some methods are much more demanding in terms of computational cost than others.From the figure, it is clear that DE_NAS is the most resource-heavy method.While Random Search is the least costly. SmoothDARTS and DARTS sit somewhere in the middle. PC-DARTS, although more efficient than DE_NAS still uses slightly more resources than Random Search.

This suggests a trade-off between cost and potential performance. Users with limited hardware or time should consider lower-cost options like Random Search. Meanwhile, those with more resources might choose DE_NAS for possibly better results despite the higher cost.

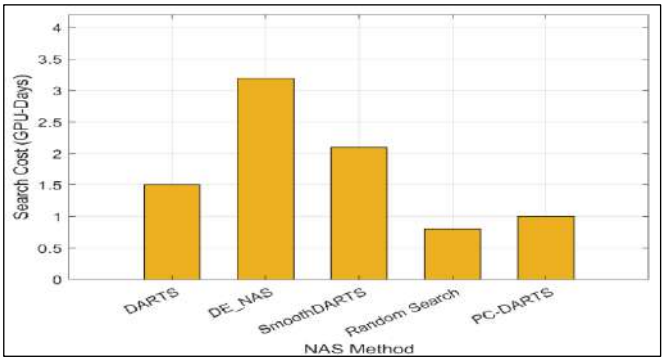


Figure 13: Search Cost versus NAS Method.
Source: Authors, (2026).

V. CONCLUSION

The main purpose of A3D is to automatically search for both strong adversarial attacks and robust neural network architectures. It brings together two important areas in adversarial machine learning attack generation and defense design.Most existing tools are limited to evaluating models or attacks. These tools do not improve or optimize the results.A3D solves this problem by using AutoML techniques. These techniques help in finding better model designs and better attack methods without human effort. The platform is powerful because it supports both single-objective and multi-objective optimization. This tells it finds results that are either very strong, very fast or both.For the defense part, A3D uses different types of robustness tests. These include adversarial noise, natural noise, system noise and mathematical metrics like the Jacobian and Hessian.

The system then searches for models that perform well under these tough conditions. It uses various NAS methods to do this.For the attack part, A3D uses search algorithms like Differential Evolution and NSGA-II. These help in finding strong attacks that fools even the most robust models. Attacks found by the system are used to test and improve models. The improved models are used to find even better attacks. This cycle continues and makes both parts stronger over time. This platform helps researchers build safer and smarter AI systems.A3D is a complete and automatic solution for improving AI robustness. It makes it easier to build models that are hard to attack and to test them with strong attacks.

VI. AUTHOR'S CONTRIBUTION

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RESEARCH ARTICLE OPEN ACCESS

INCORPORATION OF NATIVE FRUITS FROM BRAZILIAN BIOMES INTO CHOCOLATE: A LITERATURE REVIEW

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ABSTRACT

Chocolate, a food product widely appreciated for its flavor and versatility, has been undergoing innovation. The incorporation of native fruits from Brazilian biomes into its formulation has become a promising alternative to combine sensory pleasure with nutritional benefits. Thus, this study aimed to review recent scientific literature on the use of these fruits in chocolate production, focusing on their nutritional, functional, and technological impacts. The research was conducted through a systematic review following the PRISMA 2020 protocol, including articles published between 2020 and 2025 in the ScienceDirect database that presented information on fruit-based formulations and nutritional composition data. Fruits such as cupuaçu, palm, elderberry, and sacha inchi demonstrated potential to enrich chocolates due to their bioactive and nutritional compositions, in addition to contributing to sustainable practices through the use of agricultural by-products. The analysis revealed significant gains without interfering with sensory acceptability, as well as opportunities for regional innovation and valorization of Brazilian biodiversity. Therefore, it was evident that the integration of native fruits into chocolate strengthens the development of healthier and more natural foods and stimulates the circular economy and biodiversity.

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I. INTRODUCTION

The search for healthy, innovative, and sustainable food products has driven the incorporation of natural ingredients that enhance nutritional, functional, and sensory profiles [1], [2]. In this context, several native fruits from Brazilian biomes have been explored and studied for numerous applications, particularly in the food sector. Beyond the interest in their bioactive and sensory composition, there is also a growing effort to promote their utilization, as many of these fruits remain underexploited [3-6]. Chocolate is characterized as a product obtained from the mixture of cocoa derivatives (cocoa mass, cocoa powder, and/or cocoa butter) with other ingredients, and it must contain at least 25% (g/100 g) of total cocoa solids.

White chocolate is also defined, requiring a minimum of 20% (g/100 g) of total cocoa butter solids [7]. These criteria are essential to ensure chocolate quality and the maintenance of its sensory and nutritional characteristics, providing consumers with a safe product that complies with current regulations [8], [9]. This food product is highly appreciated for its unique flavor and versatility, as it can be consumed in bar form or used as a base in the confectionery sector [10]. The formulation of chocolates, as with any food product incorporating fruits, requires rigorous technical control to ensure product stability, preservation of sensory characteristics, and commercial viability [11], [12]. Analyses such as moisture content, acidity, chemical composition, and ingredient interactions are indispensable to guarantee product safety.

Therefore, the development of such foods demands advanced knowledge of the properties of each fruit used, as well as their compatibility with the food matrix to which they are added [13], [14]. Thus, the addition of fruits to chocolate, beyond promoting biodiversity, also represents an innovation for the development of products that, in addition to sensory attributes, provide health benefits such as antioxidant, anti-inflammatory, and cardiovascular effects [15-17]. Therefore, the growing demand for natural, sustainable foods with functional appeal reinforces the importance of research and development of chocolates enriched with native Brazilian fruits. The integration of technological knowledge, nutritional composition, and sensory aspects is essential to foster innovation in this segment, promoting health, flavor, and sustainability [18], [19]. In this context, the objective of this study is to identify, select, and synthesize evidence on the formulation and nutritional composition of chocolates enriched with native fruits.

II. METHODOLOGY

II.1 TYPE OF STUDY

This study consists of a systematic review of the scientific literature, conducted in accordance with the recommendations of the PRISMA 2020 statement (Preferred Reporting Items for Systematic Reviews and Meta-Analyses), encompassing only publications from 2020 to 2025. The implementation of the PRISMA protocol ensures greater methodological rigor, transparency, and reproducibility of the processes of data searching, selection, extraction, and analysis [18-20].

II.2 SEARCH STRATEGY

The search strategy was conducted in the ScienceDirect database in 2025. For this purpose, the following Boolean operator was used to enable a comprehensive and specific search within the established criteria: “chocolate AND fruit AND formulation AND ‘nutritional composition’”. The following filters were also applied: language (no restriction), document type (research articles and meta-analyses), and open-access availability.

II.3 SELECTION CRITERIA

To select the articles, inclusion and exclusion criteria were applied to ensure the relevance and quality of each study within the defined scope. The inclusion criteria considered studies addressing chocolate formulations containing fruits or their derivatives, with analysis of nutritional composition, original research articles, no language restriction, and full texts available in open access. Exclusion criteria were applied to studies that did not present analyses of nutritional composition. Literature reviews were also excluded, as well as studies focused exclusively on sensory, microbiological, or toxicological aspects without nutritional data, conference abstracts or documents, duplicates, and articles with restricted access.

II.4 SELECTION PROCESS

After importing the records from the database, all existing duplicates were removed. Study selection was performed through the screening of titles and abstracts for preliminary exclusion, followed by full-text reading to confirm eligibility according to the previously defined criteria.

II.5 DATA EXTRACTION

Data extraction was carried out using a table containing study identification (authors, year of publication, and DOI), type and description of the formulation (species used, fruit form, concentration, incorporation method, and processing parameters), quantitative results related to nutrients and bioactive compounds, and, when available, observations on technological and sensory aspects.

II.6 DATA SYNTHESIS AND ANALYSIS

The filtered and selected data were organized into descriptive tables and graphs, which facilitated the understanding of the effects of adding different fruits on the nutritional composition of chocolates. In addition, a complementary qualitative analysis based on study frequency was performed, allowing the identification of existing gaps in the literature, emerging trends, and potential areas for future investigations.

III. RESULTS AND DISCUSSION

Figure 1 shows the annual frequency of publications in the ScienceDirect database related to research articles addressing the incorporation of native fruits into chocolate, highlighting the evolution of interest in the topic over the years.

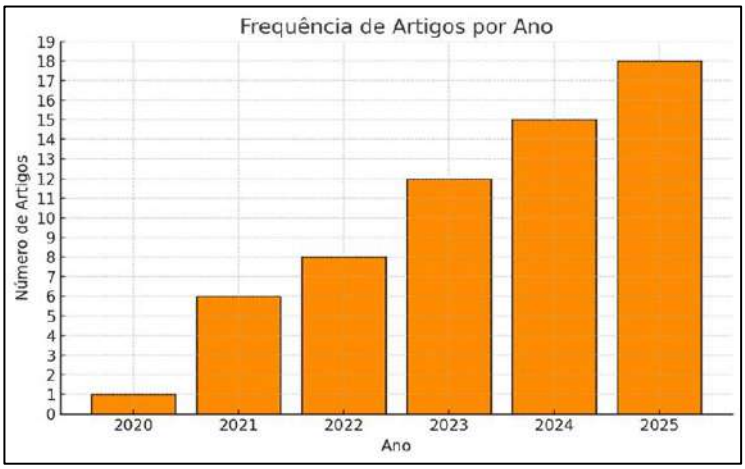


Figure 1: Annual frequency of review articles on native fruits incorporated into chocolate (ScienceDirect).
Source: Authors, (2026).

Based on the analysis of Figure 1, it is observed that in the ScienceDirect database, until a few years ago, there was a limited number of articles addressing the incorporation of native fruits into chocolate. This low initial volume likely reflects a scientific and technological underexploration of these ingredients in the chocolate industry. Consequently, the nutritional, sensory, and economic potential of native species has been constrained [21]. Between 2023 and 2025, a gradual increase in publications is evident, with a higher concentration in more recent years, indicating growing interest in the valorization of native fruits, particularly those from Brazilian biomes, as innovative and sustainable alternatives.

This increase may be associated with the demand for products with functional appeal, the appreciation of biodiversity, and the food industry's pursuit of more natural and regionally based formulations [22], [23]. The selected studies demonstrate diverse approaches regarding the choice of fruit parts, ingredient combinations, processing techniques, and analysis of nutritional composition. Table 1 summarizes this information, also highlighting technological applications, functional benefits attributed to the formulations, and the corresponding references.

Table 1: Chocolate formulations with native fruits and their nutritional composition.

Native fruit	Product or part used	Applications in chocolates	Functional benefits	Reference
Palm	Panattu Choco Bar	Energy chocolate with the addition of tropical fruit	Rich in minerals, high energy value, good sensory acceptance potential	[24]
Cupuaçu	Pulp	Source of texture and flavor; can partially replace cocoa in the formulation	Antioxidant, anti-inflammatory, improves intestinal health and has immunomodulatory effects	[25]
Cupuaçu	Seeds (cupulate)	Used as a base for "cupulate"-type chocolate	Sustainable cocoa substitute; rich in antioxidants and bioactive compounds	[26]
Elderberry (*Sambucus* sp.) by-product	Fruit residues (peels/seeds)	Dark chocolate (75%) enriched with 2–10% by-product; optimization of conching time and addition of sacha inchi oil	Increased antioxidant capacity, preservation of phenolic compounds during processing, valorization of by-products	[27]
Sacha inchi oil (*Plukenetia volubilis*)	Pure oil incorporated into chocolate	Partial replacement of cocoa butter in dark chocolates; formulations with up to 5% sacha inchi oil in ganache and chocolate mass	Improved lipid profile (higher antioxidant content), fibers and polyphenols; reduced saturated fat; anti-inflammatory and cardioprotective potential	[26-28]
Sacha inchi ganache	Ganache with 10% seed or oil	Filled chocolates with enriched ganache (5–10%) in milk and dark chocolates	Increased fiber, phenolic compounds, and antioxidants; good sensory acceptance	[29]

Source: Authors, (2026).

The incorporation of native fruits and their by-products into the chocolate industry has resulted in expressive nutritional gains, mainly associated with increased levels of phenolic compounds, fiber, and antioxidants, which, when combined with sensory perception, favor greater consumer acceptance [30], [31]. Thus, studies involving cupuaçu, elderberry, and sacha inchi have shown that the partial replacement of cocoa butter and the addition of by-products (peels, seeds, and pulps) not only enrich the bioactive profile but also preserve or even improve certain product attributes [26-28], [32].

Moreover, there is considerable potential to explore other regional fruits, such as açaí, juçara, and araçá, as viable alternatives for reducing sugar content in formulations. By using pulps or freeze-dried powders of these ingredients, it becomes possible to develop chocolates with a more favorable glycemic profile, meeting the demand for healthier and more sustainable products [33-35]. Figures 2 and 3 illustrate the distribution and relevance of terms related to the use of native fruits in chocolate development.

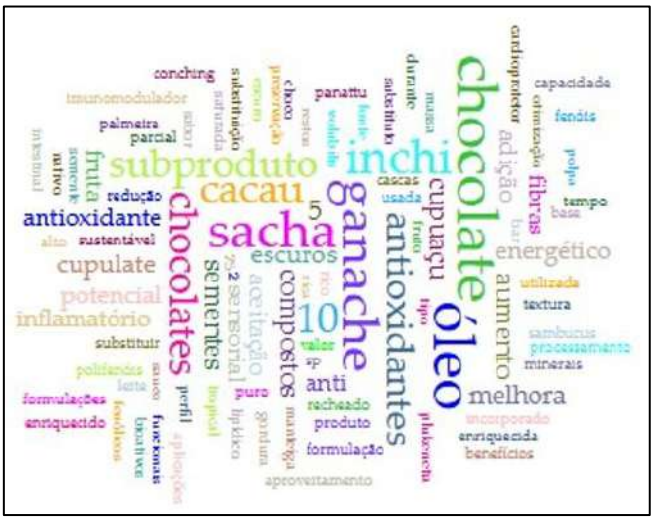


Figure 2: Word cloud of the main terms related to native fruits and applications in chocolates.
Source: Authors, (2026).

Figure 2 presents, through a word cloud, a visual representation of the most recurring terms, as well as their connections with functional attributes, technological applications, and potential nutritional benefits. This visual analysis allows a better understanding of the emphasis placed on native ingredients in chocolate formulations.

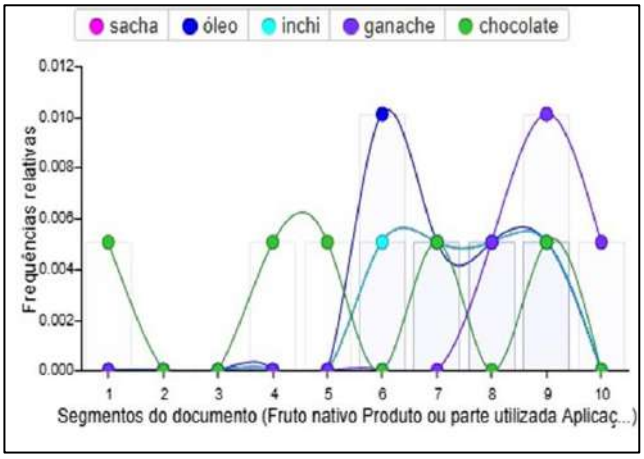


Figure 3: Word cloud of the main terms related to native fruits and applications in chocolates.
Source: Authors, (2026).

Figure 3 illustrates how keywords such as sacha, oil, inchi, ganache, and chocolate appear across the segments, revealing thematic patterns.

III.1 TECHNOLOGICAL AND SENSORY POTENTIAL OF NATIVE FRUITS IN CHOCOLATE FORMULATION

The incorporation of cupuaçu pulp (*Theobroma grandiflorum*) as a source of texture and flavor reinforces the versatility of this Amazonian fruit, whose application can partially replace cocoa in chocolate formulations, supporting flavor innovation and reducing dependence on the traditional raw material [25]. This partial substitution not only introduces a fruity and exotic note to the product but also enables the development of new chocolate lines with regional identity, strengthening the appeal of origin and the connection with consumers seeking authentic and differentiated products [22], [23]. The use of cupuaçu seeds for the production of "cupulate" represents a sustainable alternative to cocoa, as it valorizes residues that would otherwise be discarded, adding value and reducing waste.

Cupulate maintains the texture and shape of traditional chocolate, but with a differentiated bioactive profile due to the presence of antioxidants in the seeds [25]. This approach contributes to a circular economy model within the cocoa and cupuaçu production chains. The use of *Sambucus* sp. by-products, specifically peels and seeds, in dark chocolates (75%) enriches the product with phenolic compounds and antioxidants, while preserving these compounds during processing through the optimization of conching time and the addition of sacha inchi oil [27]. This strategy highlights the potential of by-products for the development of functional chocolates that add nutritional value beyond sensory pleasure, transforming residues into valuable ingredients.

III.2 FUNCTIONAL BENEFITS AND ENHANCED NUTRITIONAL PROFILE

Native fruits such as palm (Table 1), used in the Panattu Choco Bar, stand out for their high energy value and mineral richness, qualifying them as ideal ingredients for energy chocolates designed to meet specific consumer demands, such as those of athletes or individuals with increased nutritional requirements [24]. In addition to the energetic benefit, favorable sensory acceptance is essential for the commercial viability of this type of product.

Sacha inchi oil, also known as sacha peanut, incorporated into dark chocolates as a partial substitute for cocoa butter, provides a healthier lipid profile, with higher concentrations of antioxidants, fiber, and polyphenols, as well as reduced saturated fat content [26], [27]. Its anti-inflammatory and cardioprotective effects further enhance the functional appeal of chocolate, positioning it as a food that combines pleasure and health.

Ganache enriched with sacha inchi seeds or oil, used in milk and dark chocolates, promotes a significant increase in fiber and phenolic compound intake, thereby enhancing the antioxidant capacity of the product [27]. This enrichment does not compromise sensory acceptability, a crucial condition for commercial success, demonstrating that the incorporation of functional ingredients can coexist with the maintenance of the sensory experience desired by consumers [27], [29].

III.3 SUSTAINABILITY AND FULL UTILIZATION OF RAW MATERIALS

The valorization of by-products, such as elderberry fruit residues and cupuaçu seeds, demonstrates the growing concern for sustainability in the chocolate industry. The reuse of residues minimizes or even prevents waste and contributes to reducing the environmental impacts of production, while also increasing economic competitiveness through the development of new high value-added products [11], [33]. The use of cupulate as a cocoa substitute enables diversification of the production base and fosters the regional economy in areas where cupuaçu is abundant. In addition, the partial replacement of cocoa butter with sacha inchi oil represents a technological innovation that supports sustainability [25], [26].

III.4 PERSPECTIVES AND CHALLENGES FOR INNOVATION IN CHOCOLATES WITH NATIVE FRUITS

Despite the evidence from studies highlighting the nutritional and functional benefits of incorporating native fruits into chocolate, several challenges still hinder large-scale implementation. These include raw material variability, processing constraints, the need to ensure sensory acceptance, and compliance with regulations governing health claims [36], [37]. Nevertheless, innovations in the conching process using some of the species listed in this study demonstrate that it is possible to preserve antioxidant and phenolic compounds without negatively affecting product texture or flavor. The growing demand for healthier, more sustainable, and value-added foods represents a real opportunity for products based on native fruits to gain market space, fostering innovation and promoting the valorization of Brazilian biodiversity [36], [38].

IV. CONCLUSIONS

It was observed that the incorporation of fruits from Brazilian flora into chocolate and related product formulations emerges as a promising strategy for the development of chocolates with enhanced nutritional value. Fruits such as palm, cupuaçu, and elderberry have been incorporated to enrich chocolates, bars, spreads, and desserts with attractive sensory characteristics. Some of these fruits contributed to improved texture, reduced sugar content, or acted as partial substitutes for cocoa fat. Overall, the data suggest that the use of native fruits in chocolate formulations not only adds nutritional value to the product but also promotes Brazilian biodiversity and meets current demands for healthier, more sustainable, and innovative foods.

V. AUTHOR'S CONTRIBUTION

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RESEARCH ARTICLE OPEN ACCESS

EFFICIENT CYBER THREAT DETECTION IN SMART HOME IOT NETWORKS USING MACHINE LEARNING AND EXPLAINABLE AI

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ABSTRACT

Smart homes are increasingly common, making it more important than ever to safeguard them against cyber threats. In this work, we develop an improved anomaly-based Intrusion Detection System (IDS) for smart home IoT networks by combining machine learning (ML) techniques with advanced Feature Selection (FS) and Explainable Artificial Intelligence (XAI). We propose an FS approach that finds the intersection of important features identified by Recursive Feature Elimination with Cross-Validation (RFECV) using two different base learners: a Decision Tree (DT) and a Light Gradient Boosting Machine (LGBM). This yields a compact subset of 12 network traffic features. Using this significantly reduced feature set, our lightweight LGBM model achieves 99.86% detection accuracy, an F1-score of 99.93%, and a recall of 99.96% on the IoTID20 dataset. The false positive rate is greatly reduced, and computational cost is also minimized. To enhance model transparency, we integrate XAI tools, Local Interpretable Model-Agnostic Explanations (LIME) provide clear instance-level explanations, and Shapley Additive Explanations (SHAP), which provide global explanations of the classifier's decisions. Experimental results demonstrate that combining FS with XAI can improve both the efficacy and the usability of IoT IDS. Our hybrid model outperforms several recent deep learning approaches in precision and recall, while being far more interpretable. Overall, the proposed method yields high detection rates with improved transparency, making it well-suited for resource-constrained smart home environments.

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I. INTRODUCTION

The Internet of Things (IoT) connects numerous everyday devices, including smart thermostats, cameras, voice assistants, sensors, and more, within smart home environments. However, increased connectivity also broadens the attack surface available to malicious actors. An Intrusion Detection System (IDS) monitors network traffic to identify abnormal behavior that may signal cyberattacks. Traditional signature-based IDS methods struggle to detect novel or evolving threats, making anomaly-based detection more suitable for the dynamic context of smart home IoT installations [1]. These technologies enable greater automation and convenience in smart homes, but they also generate vast amounts of complex data. Each device can produce hundreds of features (from network traffic, device logs, sensor readings, etc.), making it challenging to discover the small patterns indicative of malicious activity [2].

In other words, anomaly-based IDS models can potentially catch previously unseen attacks, but they face challenges like the high dimensionality of IoT data and a lack of explainability in complex models [3]. Smart home networks generate a vast amount of heterogeneous data from sensors, cameras, appliances, etc., which typically results in high-dimensional feature spaces. Many features may be redundant or irrelevant, slowing down learning algorithms and potentially degrading detection performance [4]. Moreover, complex models such as Deep Neural Networks (DNN) that achieve high accuracy often act as "black boxes," leaving administrators unsure why a certain alert was raised. This lack of interpretability can reduce trust in the IDS and make it harder to refine the system.

Therefore, there is a need for an attack detection approach that not only attains high accuracy but also provides clarity about its decision process. Recent research has applied Explainable Artificial Intelligence (XAI) techniques to improve the transparency of ML models in IoT security [5], [3]. According to [6], also emphasized on advanced feature engineering using DCNN method for enhancing IoT security. In this work, we address the dual challenges of dimensionality and lack of interpretability by integrating an efficient FS strategy with XAI methods. Research on enhancing IoT security has grown rapidly in recent years, yielding a variety of approaches. Many works leverage traditional ML, DL, or hybrid techniques to improve detection accuracy in IoT environments.

For example, by [7] proposed a hybrid DL method using Convolutional Neural Network- Long Short-Term Memory (CNN-LSTM) for enhancing the security of Internet of Medical Things (IoMT). They implemented the IDS on a Raspberry Pi device using a fog computing architecture. In [8] suggested an approach to enhance the IDS using the FS method SHAP-based REFCV with extreme Gradient Boosting (XGBoost) model on the UNSW-NB15 dataset. According to [9] proposed a hybrid FS approach using statistical methods and a metaheuristic algorithm to identify the most relevant features. They applied an LSTM-based model on two publicly available datasets, NF-BoT-IoT-v2 and IoTID20, with a reduced feature set.

For [10] suggested a framework for anomaly intrusion detection using RFE integrated with ML paradigms, and a ridge regression merged into DL models. They used a real-time IoMT dataset, WUSTL-EHMS. This framework achieved a training accuracy of 99 % and a testing accuracy of 97.85 % using the RFE-DT with a False Alarm Rate(FAR) of 0.03. In the past year, there have been promising developments incorporating Graph Neural Networks (GNN) and attention mechanisms into IDS. According to [11] employed a GNN for IoT intrusion detection, achieving superior accuracy and outperforming other methods on benchmarks. These advanced systems typically require significant computational resources and lack straightforward interpretability.

By contrast, our approach shows that a carefully engineered classical ML pipeline can reach comparable performance to GNN or attention-based DL models, while being lighter-weight and inherently more interpretable. Specifically, we employ an RFECV technique [12] using two different base learners [13], [14] to identify a robust subset of features. Intersecting the important features from these two models yields a drastically reduced feature set that still preserves the crucial information needed to detect attacks in IoT networks. This significant reduction in dimensionality lowers computational overhead and training time, which is crucial for real-time detection in IoT settings.

To ensure that the model's decisions remain transparent, we integrate [15], [16] tools to explain the contribution of each feature to the model's predictions. This combination of local (instance-level) and global (feature importance) explainability effectively transforms our IDS into a "glass box" system that can justify its reasoning for each alert, thereby boosting user trust and facilitating system refinement. In summary, the proposed methodology addresses the gaps identified in prior works by jointly improving detection accuracy, efficiency, and explainability in a single ML based framework for enhancing IoT security. Our main contributions can be summarized as follows:

- Hybrid Feature Selection: We propose a novel hybrid FS method that combines RFECV outputs from two different estimators (DT and LGBM). This approach effectively reduces the feature set from 83 down to 12 features without sacrificing detection capability. The resulting lightweight model yields high accuracy with a very low False Positive Rate (FPR) and shorter training time.
- Explainability: We integrate LIME and SHAP to provide both local and global explanations for the model's predictions. LIME offers instance-level interpretability by highlighting which features contribute most to a given classification, whereas SHAP summary plots provide an overview of feature importance and effect across all instances. By combining these XAI techniques, our framework produces not just predictions but actionable explanations for each alert, improving user trust and insight.
- Comprehensive Evaluation: We conduct extensive experiments on a real-world IoT intrusion dataset (IoTID20) to validate our framework. We compare our approach against several existing methods from the literature, including recent DL-based approaches. The results show that our hybrid model achieves competitive or superior detection rates while using far fewer features.
- Practicality for Smart Homes: We demonstrate the practicality of our solution for smart home deployment using lightweight ML algorithms. We analyse the system's runtime performance and resource usage, showing that it can be deployed on resource-constrained edge devices (such as a Raspberry Pi) with manageable inference latency. This makes our approach feasible for real-time attack detection in IoT home networks.

II. PROPOSED METHODOLOGY

This section describes our proposed attack detection framework in detail. We outline the dataset characteristics and preprocessing steps, the ML algorithms and FS techniques used, the hybrid FS approach we developed, the performance evaluation metrics, and the XAI tools integrated into the system. Figure 1 depicts the stages of the proposed methodology. In [17], the authors have utilized the IoTID20 dataset because of its significant citation rate in scholarly indexing repositories. Accordingly, we have also taken the IoTID20 dataset for our study. It addresses a wide range of attack types, guaranteeing their applicability and relevance in studies that focus on smart home environments.

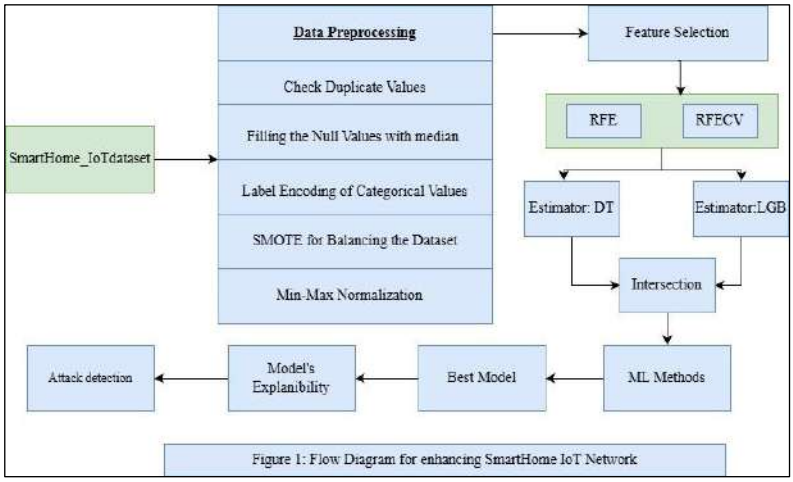


Figure 1: Flow for enhancing SmartHome IoT Network.
Source: Authors, (2026).

II.1 DATASET DESCRIPTION

We evaluate our approach using the IoTID20 dataset, which is a recent intrusion detection dataset specifically designed for smart home IoT environments [18]. IoTID20 captures network traffic from a typical smart home setup. In the data collection scenario, a standard smart home network was established, consisting of an SKT NGU smart home hub device and an EZVIZ Wi-Fi camera as the primary IoT devices, connected through a home router. Additional devices (computers, tablets, smartphones) were present in the network to generate background traffic and launch attacks. The SKT NGU and the camera acted as victims (targets of attacks), while the other devices functioned as attackers in various experiments [19]. The IoTID20 dataset provides labelled instances of both normal and attack traffic. It contains a total of 585,710 malicious traffic records and 40,073 benign records.

II.2 DATA PREPROCESSING

Before model training and FS, we performed comprehensive data preprocessing on the IoTID20 dataset. We utilized the Python built-in package (Pandas) [20] and NumPy [21] frameworks in the preprocessing step of our experiment. The following steps were applied.

II.2.1 Data Cleaning

We removed duplicate records and any irrelevant fields. In IoTID20, fields like Flow_ID, Dst_IP, Src_IP, and Timestamp were dropped, as they are identifiers or time indices that do not generalize to new data (and could leak information if not handled properly).

II.2.2 Handling Missing and Infinite Values

We replaced any occurrences of infinite values with NaN and then handled missing values. Specifically, for any feature with more than 5% missing values, we imputed the missing entries with the median of that feature.

II.2.3 Label Encoding

Label encoding has been used to convert the categorical variables into a numerical format so that ML algorithms can use them. We converted the labels into binary numeric form: 0 for Normal and 1 for Anomaly.

II.2.4 Train-Test Split

We partitioned the data into training and testing sets. Using a stratified split, we allocated 80% of the data for training and 20% for final testing. The stratification ensures that even minority attack categories are represented proportionally in both training and test sets.

II.2.5 Data Cleaning Class Imbalance Handling

The training data remained imbalanced after splitting. For balancing the dataset, we applied SMOTE (Synthetic Minority Over-sampling Technique) [22] on the training set. SMOTE generates synthetic examples of the minority class (normal traffic in this case) to balance the class distribution. The test set was kept at the original distribution for a realistic evaluation.

II.2.6 Normalization

Finally, we normalized the feature values using Min–Max scaling to the [0,1] range. This ensures that features on different scales (e.g., byte counts vs. time durations) all contribute proportionately in model training. After these preprocessing steps, the data were ready for FS and model training. By cleaning and resampling the data, we reduced noise and bias, providing a solid foundation for the subsequent FS phase.

II.3 MACHINE LEARNING TECHNIQUES

We implemented our ML models using the Scikit-Learn library in Python [23]. Our framework employs two primary algorithms as base learners: DT and LGBM. These were chosen for their complementary characteristics. DTs are fast and interpretable, whereas LGBM is a state-of-the-art gradient boosting method known for high accuracy and efficiency on large data.

II.3.1 Decision Tree

A DT is a non-parametric supervised learning method used for classification (and regression). It learns decision rules inferred from the data features to predict the target label. Each internal node of the tree represents a feature test; each branch represents an outcome of the test, and each leaf node represents a class prediction (in our case, attack or normal). DTs are relatively fast to train and can handle datasets with many features, but a single tree can overfit if not pruned. DTs also provide an importance score for each feature, which we will leverage in FS [10], [13].

II.3.2 Light Gradient Boosting Algorithm

LGBM is a gradient boosting framework that uses tree-based learners. It is an optimized implementation of Gradient Boosted Decision Trees (GBDT), known for its speed and efficiency, especially on large datasets and high-dimensional data [24].

LGBM introduces techniques like histogram-based splitting and leaf-wise tree growth with depth constraints, which make it faster and sometimes more accurate than traditional XGBoost for certain tasks. In our context, LGBM serves both as a base estimator for FS and as the final classifier after feature reduction. We use default hyperparameters for LGBM, with a fixed random_state=42 for reproducibility.

II.4 FEATURE SELECTION

To minimize dimensionality and improve model generalizability, we apply multiple FS techniques after the basic preprocessing. Specifically, we experiment with Recursive Feature Elimination (RFE), RFE with cross-validation (RFECV), and our proposed hybrid FS method that combines RFECV results from two estimators (DT and LGBM).

II.4.1 Recursive Feature Elimination

RFE is a wrapper FS method that recursively removes the least important features until a desired number of features is reached. It works by training a model and, at each iteration, dropping the feature with the smallest importance as determined by the feature importance metric. We employed RFE with estimators such as DT and LGB to find sets of eight features to customize the FS in this study [10].

II.4.2 Recursive Feature Elimination

RFECV is an enhanced RFE that uses cross-validation at each stage of elimination to confirm the model's efficacy in choosing the optimal number of features. This approach uses cross-validation to assess model performance at each iteration and find the optimal feature set size by recursively eliminating features that are of the least importance based on estimator-specific coefficients or feature importance metrics. In our research, we have employed 5-fold cross-validation within the RFECV framework so that robust and unbiased FS is ensured. This process not only reduces overfitting and improves generalization but also enhances model interpretability by eliminating redundant or irrelevant attributes [12].

II.4.3 Proposed Hybrid FS

We propose a hybrid FS that utilizes RFECV by taking the common attributes of two base estimators. We have used two distinct tree-based ML methods, namely DT and LGBM. The dataset is first divided into training and testing subsets, and then each classifier independently applies RFECV to determine the most important features. The intersection of selected features from both models is computed to retain only the most significant features. If some common features are found, then the final classification model, which can be either LGBM or DT, is trained using these common features. The performance of the resulting model is evaluated by using standard metrics such as accuracy, precision, FPR, training time, testing time, recall, and F1-score. This algorithm is specified below:

Algoithm 1: Hybrid Feature Selection Using Two Estimators

- Input: All features post pre-processing
- Output: Common features obtained by using two estimators

1. *Split the dataset into training and testing sets:x_train, x_test, y_train, y_test ← train_test_split (x, y)*
2. *Initialize Decision Tree Classifier: dt ← DecisionTreeClassifier ()*
3. *Perform Recursive Feature Elimination with cross-validation using Decision Tree: rfecv_dt ← RFECV (estimator=DecisionTreeClassifier (), step=1, cv=StratifiedKFold (5), scoring='accuracy')*
4. *Selected_features_dt ←: Features selected by rfecv_dt*
5. *Initialize LightGBM Classifier: lgbm← LGBMClassifier ()*
6. *Perform Recursive Feature Elimination with cross validation using LightGBM: rfecv_lgbm ← RFECV (estimator = LGBMClassifier (), step=1, cv=StratifiedKFold (5), scoring='accuracy')*
7. *Intersection of selected features:*
   common_features ← selected_features_dt ∩ selected_features_lgbm

8. *if common_features ≠ Ø then*
    a. *Extract x_train_common ← x_train[common_features]*
    b. *Extract x_test_common ← x_test[common_features]*
    c. *Initialize final classifier:*
    d. *final_model ← LGBMClassifier () or DecisionTreeClassifier ()*
    e. *Train final_model on x_train_common and y_train*
    f. *Predict y_pred ← final_model. predict(x_test_common)*
    g. *Evaluate performance metrics*
9. *else*
10. *Output: "No common features found. Try selecting more features."*

Using this hybrid FS approach, we drastically reduced the feature count while preserving the most significant predictors. This not only lowers computational cost but can also improve detection performance by eliminating noisy features. Next, we discuss the metrics used to evaluate our models.

II.5 PERFORMANCE EVALUATION METRICS

Because accuracy alone is not enough for the IoT network in smart homes, a thorough evaluation of the ML technique is required. A confusion matrix is a useful evaluation metric for illustrating how well an ML algorithm performs. It presents a table that contrasts the model's predictions with the actual class labels. Below is an explanation of the significance of the four linked variables that were obtained from the confusion matrix: False Negative (FN), True Negative (TN), False Positive (FP), and True Positive (TP).

TP: When an IDS identifies a scenario as an attack, it means that a real attack has been found.
FP: When an instance is flagged as a danger by the IDS, even after it has been confirmed to be safe.
TN: While the IDS recognizes the usual scenario, additional study reveals that the occurrence is normal.
FN: Some cases were misclassified by IDS as malicious attacks, whereas they were later confirmed to be normal occurrences.

Our ML models are assessed using a variety of assessment metrics, including accuracy, precision, FPR, recall, and F1 score, in order to validate our suggested methodology. An overview of these five metrics is given below:

(a)Accuracy: Out of all the predictions, the percentage of true predictions is what determines a prediction system's accuracy.

$$Accuracy = \frac{TP+TN}{TP+TN+FP+FN} \tag{1}$$

(b)Precision: The precision metric is determined by the ratio of correctly predicted true positive cases to the total predicted positive cases

$$Precision = \frac{TP}{TP+FP} \tag{2}$$

(c)Recall: Recall, detection rate, or sensitivity denotes a model's ability to accurately identify and classify attacks. The recall for a specific label is defined as the ratio of true positives to the total number of actual positives.

$$Recall = \frac{TP}{TP+FN} \tag{3}$$

(d)F1-Score: The F1-score is derived by computing the harmonic mean of precision with recall. The maximum value is achieved when precision equals recall.

$$F1 = 2.\frac{Precision*Recall}{Precision+Recall} \tag{4}$$

(e)FPR: The FPR is computed using the following formula.

$$FPR = \frac{FP}{TN+FP} \tag{5}$$

(f)Training Time: The amount of time needed to train ML models using a given dataset is measured in seconds (s). The time it takes to go from starting to finishing the training is the key factor in determining this period.
(g)Testing Time: By calculating the difference between the end of the training phase and the end of the prediction phase, the amount of time it took for machine learning models to predict the test data of a particular dataset was evaluated.

II.6 EXPLAINABLE ARTIFICIAL INTELLIGENCE (XAI) INTEGRATION

To address the interpretability challenge in our IDS, we integrate two model-agnostic XAI techniques: LIME [15] and SHAP [16]. These tools help explain the predictions of our ML models, ensuring the IDS is not a “black box” and providing insight into why a given network instance is classified as an attack or normal.

II.6.1 Local Interpretable Model-Agnostic Explanations

LIME generates an explanation for individual predictions by learning a simple interpretable model (like a linear model) locally around the prediction. In practice, for a given instance, LIME perturbs the input features and observes how the classifier's prediction changes, then fits a sparse linear model to mimic those changes. The result is a set of feature contributions (weights) that approximately explain the original model's decision for that instance. LIME has been used in prior IoT security research. In our case, we apply LIME to instances of interest (e.g., alarms triggered by the IDS) to highlight which features (such as packet rate, port numbers, etc.) contributed most to the classification of "Attack" or "Normal" [15], [9].

II.6.2 Shapley Additive Explanations

SHAP is a unified framework based on cooperative game theory to explain model outputs. It assigns each feature a Shapley value representing its contribution to the difference between the actual prediction and the average prediction. SHAP values can be computed for each feature of each instance, and they have a solid theoretical foundation of fairness. We use the Tree SHAP algorithm (optimized for tree-based models like LGBM and DT) to compute feature attributions for our trained models. SHAP can provide both local explanations (for instance) and global insight via summary plots that show how features affect predictions across the dataset [16]. By incorporating LIME and SHAP, our proposed approach uses two levels of transparency: (a) local interpretability for specific events and (b) global interpretability.

We also performed a quantitative stability analysis, checking that the set of top features and their importance rankings remain consistent across different cross-validation folds and model variations – this increases confidence that our explanations are robust and not artifacts of a particular train-test split. In summary, the integration of XAI techniques ensures that our high-performing IDS does not operate as an inscrutable black box. Instead, it can explain its rationale both at the micro level (for instance) and macro level (across the dataset), thereby increasing user confidence and aiding in system diagnostics.

III. EXPERIMENTAL RESULTS AND DISCUSSION

The experimental results are thoroughly analysed in this section, which is primarily split into two separate parts. The first part describes the results obtained from ML methods using different FS techniques. Models' explainability is discussed in the second part. IoTID20, a dataset generated by a smart-home environment, is utilized to assess the suggested method. The experiment is conducted on a personal computer workstation with a 64-bit Microsoft Windows 10 operating system, equipped with an Intel(R) Core (TM) i7-3777OS CPU, clocked at 3.10 GHz, and possessing an overall storage capacity of 16 GB.

The Scikit-Learn Python Framework is utilized to create, optimize, test, and validate ML models [23]. No GPU acceleration was used, as our models (DT and LGBM) are not computationally intensive. The entire training and FS process (including 5-fold cross-validation in RFECV) took approximately 2 hours on this machine, while training the final LGBM model on the selected 12 features required only a few minutes. Hyperparameters were kept at their defaults except for setting random_state=42 for reproducibility. The selected features performed by RFE, RFECV, and hybrid FS using estimator DT and LGBM are depicted in Table 1.

Table 1: Selected features per model using RFE, RFECV, and hybrid FS method.

Model	FS	Features Name
DT	RFE	Src_Port, Dst_Port, Flow_Duration, Bwd_IAT_Tot, Pkt_Len_Max, ACK_Flag_Cnt, Init_Bwd_Win_Byts, Idle_Max
LGBM	RFE	Src_Port, Dst_Port, Flow_Duration, Flow_Pkts/s, Flow_IAT_Max, Flow_IAT_Min, Pkt_Size_Avg, Init_Bwd_Win_Byts
DT	RFECV	Src_Port, Dst_Port, Flow_Duration, Flow_Byts/s, Flow_Pkts/s, Flow_IAT_Max, Flow_IAT_Min, Bwd_IAT_Tot, Bwd_Header_Len, Bwd_Pkts/s, Pkt_Len_Min, Pkt_Len_Max, Pkt_Len_Var, ACK_Flag_Cnt, Init_Bwd_Win_Byts, Idle_Max
LGBM	RFECV	Src_Port, Dst_Port, Flow_Duration, Tot_Bwd_Pkts, TotLen_Fwd_Pkts, TotLen_Bwd_Pkts, Bwd_Pkt_Len_Max, Bwd_Pkt_Len_Min, Bwd_Pkt_Len_Std, Flow_Byts/s, Flow_Pkts/s, Flow_IAT_Mean, Flow_IAT_Max, Flow_IAT_Min, Bwd_Header_Len, Bwd_Pkts/s, Pkt_Len_Min, Pkt_Len_Std, ACK_Flag_Cnt, Pkt_Size_Avg, Init_Bwd_Win_Byts, Idle_Mean
LGBM	Hybrid FS	Bwd_Header_Len, Init_Bwd_Win_Byts, Dst_Port, Src_Port, Flow_Pkts/s, Flow_IAT_Max, Pkt_Len_Min, ACK_Flag_Cnt, Bwd_Pkts/s, Flow_Byts/s, Flow_IAT_Min, Flow_Duration
DT	Hybrid FS	Pkt_Len_Min, Bwd_Header_Len, ACK_Flag_Cnt, Bwd_Pkts/s, Flow_IAT_Max, Flow_IAT_Min, Src_Port, Dst_Port, Flow_Duration, Flow_Byts/s, Init_Bwd_Win_Byts, Flow_Pkts/s

Source: Authors, (2026).

III.1 PERFORMANCE ANALYSIS OF REF, RFECV, AND PROPOSED HYBRID FS METHODS

We first compare the performance of the models using different FS strategies: (1) RFE with DT, (2) RFECV with DT, (3) RFE with LGBM, (4) RFECV with LGBM, (5) Hybrid FS with LGBM as the final model, and (6) Hybrid FS with DT as the final model. For each, we evaluate the metrics described in Section 3.5. Table 2 summarizes the results.

Table 2: Performance results for ML models with various FS methods.

Models	Train Set Accuracy	Test Set Accuracy	Acc of 10-FCV	Precision	Recall	F1-Score	Training Time (Seconds)	Testing Time (Seconds)	FPR
RFE_DT	99.98%	99.82%	99.82%	99.93%	99.87%	99.90%	2.40	0.02	0.006
RFECV_DT	99.99%	99.82%	99.81%	99.93%	99.88%	99.91%	34.38	0.36	0.006
RFE_LGBM	99.81%	99.80%	99.79%	99.88%	99.91%	99.89%	49.54	0.76	0.011
RFECV_LGBM	99.83%	99.92%	99.79%	99.88%	99.93%	99.91%	47.28	0.37	0.011
Hybrid_FS_LGBM	99.97%	99.86%	99.91%	99.89%	99.96%	99.93%	3.66	1.21	0.011
Hybrid_FS_DT	99.99%	99.80%	99.82%	99.92%	99.86%	99.89%	4.24	0.10	0.007

Source: Authors, (2026).

Acc of 10-FCV: Accuracy of 10-Fold Cross Validation, FPR: False Positive Rate, RFE_DT: RFE with DT as base estimator, RFECV_DT: RFECV with DT as base estimator, RFE_LGB: RFE with LGB as base estimator, RFECV_LGBM: RFECV with LGB as base estimator, Hybrid_FS_LGB: Hybrid feature selection LGB as final model, Hybrid_FS_DT: Hybrid feature selection DT as final model. The performance of different FS methods on ML techniques was evaluated using popular evaluation metrics, including training accuracy, testing accuracy, precision, recall, F1-score, training time, testing time, and FPR. The results obtained from experimental analysis are summarised in Table 2. Significant generalization capabilities were demonstrated by all models with impressive testing accuracies of 99.80% to 99.92%.

With a recall of 99.93% and the best testing accuracy of 99.92%, RFECV_LGBM can accurately detect real positive cases. It also shows a low rate of false alarms with an FPR of 0.0110 and a balanced F1-score of 99.91%. In contrast, models RFE_DT and RFECV_DT obtained the highest training accuracies, 99.99% and 99.98%, respectively, indicating that they correctly comprehended the training data. Model RFE_LGBM outperformed the others with a recall value of 99.91%, demonstrating its efficacy in recognizing positive cases, despite having a slightly lower training accuracy of 99.81% and a testing accuracy of 99.80%. The Hybrid_FS_LGBM and Hybrid_FS_DT models consistently performed well, with F1-scores of 99.90% and 99.89% respectively, and testing accuracy of 99.81% and 99.80%, respectively. Although Hybrid_FS_DT had the best training accuracy of 99.99% among all the models, it had a little higher FPR (0.007) than RFE_DT and RFECV_DT.

With minimal variation across metrics, all six models demonstrated outstanding predictive performance. The RFECV_LGBM model is the most suitable for use in actual smart home settings where detection reliability and accuracy are essential, since it is the most balanced in terms of testing accuracy, recall, and F1-score, and has a low FPR with a training time of 3.66 seconds. In order to validate our methodology, we have additionally evaluated our models for test accuracy using a 10-fold cross-validation process, where the data is randomly divided into 10 subsets, out of which nine subsets of the data are allocated for training and the tenth subset is reserved for testing. This process is carried out ten times until every subset has been used for testing once. Our hybrid FS methodology uses the important 12 characteristics and LGBM for model prediction, achieving a 10-fold cross-validation accuracy of 99.91%. Based on these results, the RFECV_LGBM and Hybrid_FS_LGBM models emerge as top contenders. RFECV_LGBM slightly edges in test accuracy and recall, while Hybrid_FS_LGBM is almost as good and uses a smaller feature set.

We carried out an additional 10-fold cross-validation on the training data for our Hybrid_FS_LGBM model, which yielded an average accuracy of 99.91%, confirming the model's stability across different data splits. We also performed a statistical significance test: a paired t-test comparing the F1-score of Hybrid_FS_LGBM versus a baseline LGBM using all 83 features indicated that our improvements are statistically significant ($p < 0.01$). This gives confidence that the hybrid FS is genuinely beneficial and not just fitting the idiosyncrasies of one train/test split. In practical terms, the Hybrid_FS_LGBM model offers an excellent balance of high detection rates, low false positives, and computational efficiency, using only a small subset of features. In the following, we will use Hybrid_FS_LGBM as our primary model (alongside RFECV_LGBM) for further comparisons and for generating explanations.

III.2 COMPARISON OF THE PROPOSED MODEL WITH OTHER RELATED MODELS

We benchmarked our approach against several recent IDS models from the literature, using the described metrics on either the same IoTID20 dataset or similar IoT intrusion datasets. Table 3 provides a detailed comparison of our best model with other existing state-of-the-art methods. These include ML, DL models, and hybrid frameworks: for example, by [25] who used a deep CNN on IoTID20, by [26] with autoencoders, and a Hybrid CNN-LSTM approach by [7] on an IoMT dataset.

Table 3: Comparison of our approach with other related work.

Reference	Models	Test Set Accuracy	Precision	Recall	F1-Score
[25]	DCNN	99.84%	99.67%	99.02%	99.34%
[7]	Hybrid CNN-LSTM	99.92%	99.91%	99.99%	99.95%
[27]	SA-DCNN	98.05%	95.35%	95.96%	95.64%
[17]	EE	94.14%	96.72%	97.03%	96.87%
[28]	PCC-CNN	99%	97%	95%	96%
Proposed approach	Hybrid_FS_LGBM	99.86%	99.89%	99.96%	99.93%
Proposed approach	RFECV_LGBM	99.92%	99.88%	99.93%	99.91%

Source: Authors, (2026).

SA-DCNN: Self-Attention-based Deep Convolutional Neural Network, EE: Elliptic Envelope, PCC-CNN: Pearson-Correlation Coefficient - Convolutional Neural Networks. Our Hybrid_FS_LGBM model achieves comparable or better performance than these state-of-the-art methods. Compared to the DCNN model by [25], which reported 99.84% accuracy and an F1-score of 99.34% on IoTID20, our model achieves an accuracy of 99.92%. More importantly, our recall (99.96%) is substantially higher than their 99.02%. This means our approach misses fewer attacks.

An attention-based IDS was proposed by [29] achieved ~99.9% accuracy on a large IIoT dataset. We match this performance level on our dataset, but importantly, we also provide full model interpretability, which those deep models lack. The CNN-LSTM hybrid model by [7] achieved 99.9% accuracy on their dataset. However, their approach relies on a DNN with significantly more parameters and complexity. According to [27] self-attention CNN for IIoT had significantly lower metrics (98.05% accuracy), which our model vastly outperforms. This highlights the effectiveness of focusing on feature engineering rather than solely on complex architectures. The unsupervised EE approach by [17] reached ~96% precision and recall.

Our supervised approach, unsurprisingly, does much better in a fully labelled scenario. When a selected dataset, such as IoTID20, is available, a supervised learner with FS can obtain significantly better results than unsupervised algorithms for new attack detection without labels. In summary, our proposed approach is on par with the latest research in terms of accuracy, and actually outperforms many methods in recall and precision, while using a much simpler and more interpretable model. These results validate our premise that focusing on FS and XAI can allow us to avoid the complexity of DNNs and still achieve excellent outcomes for identifying attacks in IoT networks.

III.3 MODELS' EXPLAINABILITY

One of the key benefits of our framework is that it not only produces high metrics but also provides human-understandable explanations for its decisions. In this section, we analysed the explainability of our trained models using LIME and SHAP.

The explanation process of ML models boosts confidence in their decision-making process. By eliminating the "black-box" aspect of classifiers, it ensures that the cause of the high accuracy of the classifier can be comprehended [5]. We analysed the explainability of our trained model using both SHAP and LIME to increase the credibility of the proposed ML-based framework for enhancing security in smart home IoT networks. The Tree explainer is the SHAP explanation that we used in our experimental study [9].

III.3.1 LIME Explanations

We applied LIME to generate explanations for representative instances of each class. Figure 2(a) and(b) depict the bar plots generated by LIME for the two different models, the Hybrid_FS_LGBM and Hybrid_FS_DT. These bar plots show the contributions of each feature for specific data occurrences. Orange-shaded features contribute to the "Attack" predictions, while blue-shaded features support the "Normal" class. The LIME explanation for the Hybrid_FS_LGBM model depicts that features such as Flow_Duration, Dst_Port, and Flow_Pkts/s significantly contribute to the attack classification. On the other hand, features with higher values, such as ACK_Flag_Cnt and Src_Port, contributed more to the "Normal" class but were insufficient to affect the final decision.

The LIME explanation of the Hybrid_FS_DT model shows that features such as Pkt_Len_Min, Flow_IAT_Min, and Dst_Port are the primary contributors towards the identification of attack instances. However, standard indicators such as ACK_Flag_Cnt and Bwd_Pkts/s settled for the normal class but were not sufficient to eliminate the attack indicators. These LIME explanations increase our confidence in the models. They show that the models are picking up on sensible features for attacks (e.g., long flows, particular ports, rapid packet rates, unusual packet sizes) rather than spurious correlations. Moreover, the differences highlight that the DT and LGBM models, despite similar accuracy, can base decisions on somewhat different sets of features or thresholds. Such insights could help a security analyst understand alerts better or refine the model further.

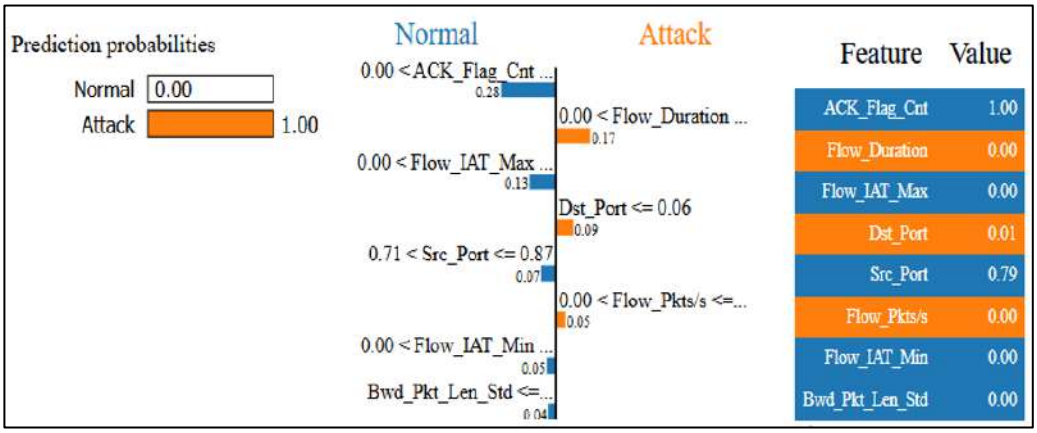


Figure 2(a): LIME explanation for the Hybrid_FS_LGBM.
Source: Authors, (2026).

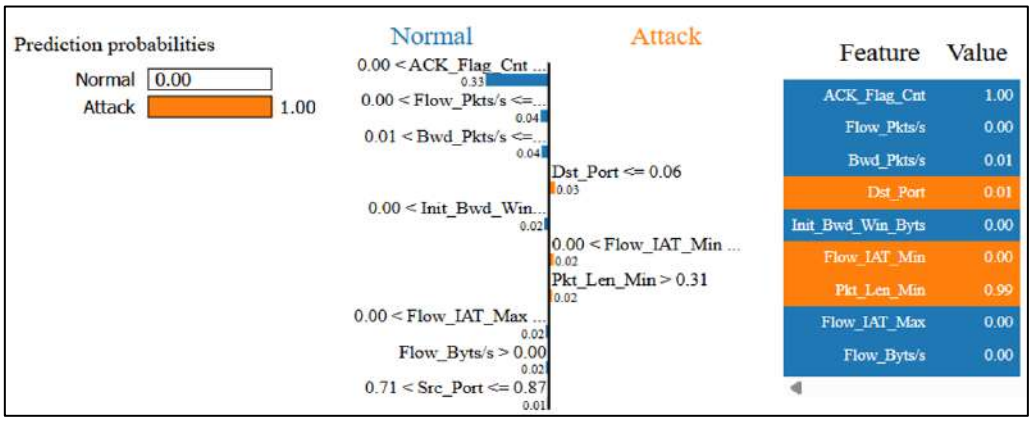


Figure 2(b): LIME explanation for the Hybrid_FS_DT.
Source: Authors, (2026).

III.3.2 Shapley Additive Explanations

While LIME is local, SHAP gives both local and global interpretability. Figure 3 presents the SHAP summary plots for the Hybrid_FS_LGBM and Hybrid_FS_DT models. In these plots, each point is a single instance's SHAP value for a feature, and points are coloured by the feature's value (red = high value, blue = low value).

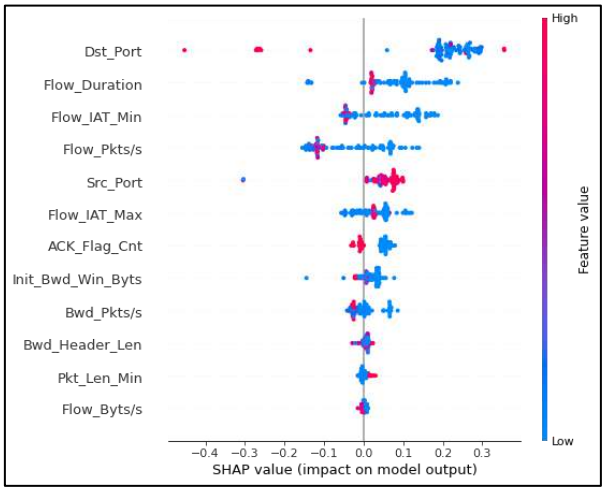


Figure 3(a): SHAP summary plot for the Hybrid_FS_LGBM.
Source: Authors, (2026).

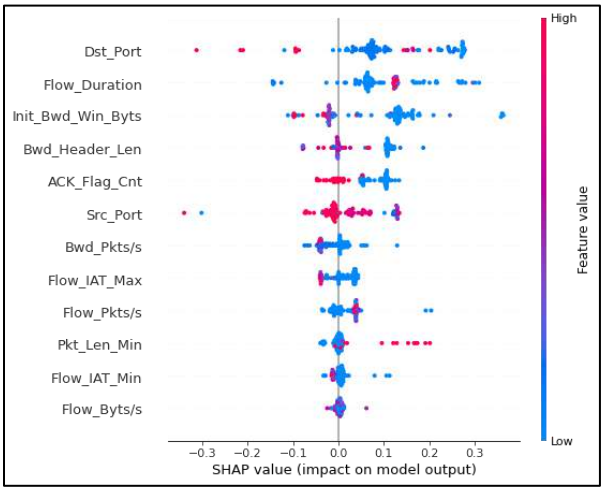


Figure 3(b): SHAP summary plot for the Hybrid_FS_DT.
Source: Authors, (2026).

SHAP is a useful method to understand the relationships between features and how they impact predictions [9]. Figure 3 (a) and (b) present the SHAP summary plots, illustrating feature distributions for the models Hybrid_FS_LGBM and Hybrid_FS_DT. In the Hybrid_FS_LGBM model, the most significant features affecting model output are Dst_Port, Flow_Duration, Flow_IAT_Min, and Flow_Pkts/s. According to the information obtained above, higher Dst_Port and Flow_Duration values significantly improve the model's ability to forecast the attack class, whereas lower Flow_IAT_Min and Flow_Pkts/s values imply an insignificant impact. However, the model Hybrid_FS_DT has a somewhat different feature attribution pattern.

Init_Bwd_Win_Byts, Bwd_Header_Length, and ACK_Flag_Cnt have become more significant in comparison to the Hybrid_FS_LGBM model, even though Flow_Duration and Dst_Port are still essential. Low values of Init_Bwd_Win_Byts and Bwd_Pkts/s are linked to attack predictions, based on the SHAP values. Thus, packet-level behaviour is more important to the DT model. Both these models adequately represent critical attack-related attributes, as can be seen from the SHAP visualizations. In summary, SHAP provides a global view that both models heavily utilize a handful of network features to make decisions. The DT and LGBM agree on many top features (port, flow duration, etc.), but DT places relatively more emphasis on certain packet-level features (window bytes, header lengths) than LGBM does. Overall, the explainability analysis confirms that our IDS behaves realistically.

III.4 EFFICIENCY AND SCALABILITY FOR DEPLOYMENT

Beyond detection performance, it is important to consider the practicality of deploying our IDS in real-world smart homes. Two major considerations are inference latency and resource usage, especially if the model will run on low-power or embedded devices (like a Raspberry Pi or a home IoT gateway).

III.4.1 Inference Latency

Our chosen algorithms are relatively lightweight and offer fast prediction times. In practice, the LGBM model can score a single network flow instance in just a few milliseconds on a CPU.

Even if we assume a modest Raspberry Pi-class CPU, the model can easily handle real-time streaming data in a home network, which typically would be on the order of tens or hundreds of flows per second without noticeable delay. Thus, the IDS can analyze packets or flows on-the-fly and raise alerts virtually instantaneously from the user's perspective.

III.4.2 Resource Footprint

Our proposed Hybrid_FS_LGBM with 100 trees and 12 features occupies only a few megabytes of memory. Since Raspberry Pi typically has a 1.2 GHz CPU and 1-2 GB of RAM, it is possible to employ a modest CPU and memory during inference. In contrast to DL models, which may need GPU support for effective operation, the proposed model uses minimal resources. Without quantization or acceleration, for instance, a CNN-LSTM IDS might not even fit or function well on a Raspberry Pi.

III.4.3 Training Complexity

Training our proposed ML-based framework (including feature selection) took a couple of hours on a standard PC. However, this process is done offline and can be performed infrequently (e.g., retraining the model when new data is available or when updating the IDS). It is simple to deploy the model to edge nodes after it has been trained. Additionally, there is very little cost on the gateway for feature extraction because we only need to compute 12 features for each incoming flow.

III.4.4 Scalability

By installing a small model at each local gateway or device, our solution can expand horizontally to handle larger networks or more devices. The model's input dimension stays the same even if more IoT devices are added because we limited the feature set.

III.4.5 Edge Deployment Considerations

Deploying edge nodes like a home router or an edge server has benefits for privacy and real-time response. Our model is well-suited for edge deployment due to its small size. Since LIME requires local models to train and SHAP requires numerous model evaluations, explainability tools like LIME and SHAP are a little too complex to execute on an edge device for every prediction. Nevertheless, those can be utilized offline or on occasion to audit the behavior of the model. In summary, our IDS is efficient and scalable enough for real-world use in smart homes. It can run on low-power hardware with minimal latency, making immediate detection and alerting feasible. We have deliberately chosen methods that ensure the solution is not just effective, but also practical.

IV. CONCLUSIONS

This study presents an anomaly-based IDS that combines a hybrid FS approach with XAI techniques, specifically tailored for IoT environments in smart homes. RFECV uses two complementary estimators to effectively reduce feature dimensionality, while still keeping the important discriminative features. This dimensionality reduction is essential for successful IoT deployments that require cost-effective models due to resource limitations. The system can provide understandable justifications for its predictions by integrating LIME and SHAP into the pipeline, shedding light on the "black-box" aspects of the ML model. We have utilized the IoTID20 smart house IoT dataset to assess our methodology. Our findings are consistent with recent research that shows that careful FS greatly improves detection performance. Moreover, the use of XAI yields detailed feature-level insights, which can improve operator trust and facilitate regulatory compliance in high-stakes smart home scenarios.

Overall, the proposed framework can able to achieve high detection rates while also providing transparency. Its robustness is demonstrated by achieving accuracy and recall metrics that are comparable to those of state-of-the-art IoTIDSs, which validates its impact on securing smart home networks. There are several promising directions to extend this research. First, we plan to investigate more sophisticated or automated FS techniques using DL algorithms. To automatically train feature representations that capture complex non-linear relationships between IoT features, for example, attention-based neural networks or autoencoder techniques could be used. Integrating these deep feature-learning strategies is likely to enhance the detection performance and robustness of complex DL models, particularly against evolving attack patterns that are difficult to capture with static feature sets.

Second, a future development might incorporate collaborative detection and FL due to the variety of data sources in smart homes. In FL, models in smart homes or multiple edge devices can be trained collectively without sharing raw data. Third, edge computing integration is becoming a natural progression for deploying IDS widely. Since our model is lightweight, it can run on edge devices. Future studies might examine a complete edge-based architecture in which an Internet of Things gateway detects intrusions in real time and perhaps works with other edge nodes. Managing distributed attacks and exchanging alert intelligence amongst edge network devices are part of this. In summary, our study demonstrated that an IoT IDS is efficient, effective, and transparent when integrating FS with XAI.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Pritimayee Satapathy and Prafulla Kumar Behera.
Methodology: Prafulla Kumar Behera.
Investigation: Pritimayee Satapathy and Prafulla Kumar Behera.
Discussion of results: Pritimayee Satapathy and Prafulla Kumar Behera.
Writing - Original Draft: Pritimayee Satapathy.
Writing - Review and Editing: Prafulla Kumar Behera.
Resources: Pritimayee Satapathy and Prafulla Kumar Behera.
Supervision: Pritimayee Satapathy.
Approval of the final text: Pritimayee Satapathy and Prafulla Kumar Behera.

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RESEARCH ARTICLE OPEN ACCESS

INPUT CURRENT RIPPLE REDUCTION OF MODIFIED INTERLEAVED QUADRATIC BOOST CONVERTER FOR PHOTOVOLTAIC APPLICATIONS

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ABSTRACT

In photovoltaic (PV) systems, achieving high voltage gain and keeping low input current ripple is essential for reliable operation and ensuring that the PV source consistently provides its maximum power. Low input current ripple helps the PV module operate close to its maximum power point (MPP). Conventional DC converters including quadratic boost converter frequently exhibit significant input current ripple for constrained voltage gain. To improve performance under varying load and irradiance conditions, a modified interleaved quadratic boost converter (MIQBC) is suggested. The proposed converter is able to reduce the input current ripple by employing a two-phase interleaved structure that operates with a 180° phase shift, incorporating design modification. Using an ESP32 control unit and a perturb and observe (P&O) algorithm to control the maximum power point during operation. The converter was simulated with LTspice, designed, and tested practically to assess the performance under real solar irradiation. The theoretical analysis indicated that the voltage gain reached approximately four times the input voltage, and input current ripple reduced to less than 2% while the efficiency was about 96% at full load. The experimental tests indicated that the converter demonstrated reliable performance and effective power tracking by eliminating the input current ripple. The topology provides high reduction in input current ripple and a real enhancement in voltage gain compared to conventional topologies. The results ensure efficient use of the PV panel's maximum power capability and proves that the converter is suitable for photovoltaic applications.

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I. INTRODUCTION

Renewable energy technologies have been dramatically improved as sustainable substitutes for fossil fuels in recent years [1], [2] . Given the drawbacks of using fossil fuels to generate electricity, such as the possibility of ongoing climate change brought on by increased greenhouse gas emissions from burning them as fuel, it would not be wise to use them to supply power [3]. Photovoltaic power is regarded as one of the most attractive electrical power generating methods since sunlight, which is required to generate electricity, is available year-round and worldwide [4-7]. The output voltages of these energy sources, such as fuel cells and solar panels fluctuating [8], [9]. Therefore, a high-ratio DC-DC converter is required to regulate the produced voltage or tracking the maximum power [10], [11]. On the contradiction, conventional boost converters must operate at extremely high duty-cycle ratios to provide a high output voltage, which is practically difficult to achieve because of high combined losses and semiconductors limitations [12]. Likewise, as illustrated in Figure 1, High input current ripple from high ON periods prevents the PV from operating at maximum power point and causes it to oscillate around it, which increases system losses due to the additional heating in the PV and switching elements all these factors reduce the efficiency of the system [13], [14]. However, for continuous PV output energy, a large capacitor is required, or a continuous current converter can be used. Adding a C or LC filter can reduce reliability, increase weight and volume, cause electrical resonance problems, and cost money, especially when electrolytic capacitors are included [15-18].

To attain a high output voltage with a suitable duty ratio, a number of high step-up converters have been proposed. A new quadratic boost converter is shown in [19]. it's a three-stage converter based on a single-switch quadratic converter, voltage lift technique (VL) with voltage multiplier cell (VMC). Voltage lift cell has a simple construction, can improve its gain with an average duty cycle, and can also reduce the power switch's voltage stress to half the output voltage of the converter. This allows for using MOSFET with a lower voltage rating, which reduces conduction losses and lowers costs. A novel quadratic boost single-switch coupled inductor CI [20]. It has a continuous and low input current ripple; for achieving ultra-high output voltage, a VMC is connected to the converter. Furthermore, there is a passive clamp capacitor connected in parallel with the power switch to limit the voltage stress on it by recycling the magnetic energy in the CI, which causes a significant voltage spike in the switching component.

To reduce losses and improve efficiency, it's important to know that a passive clamp is used instead of an active one because of its simplicity and minimal effect on the control system. A new modification of the DC-DC quadratic boost converter can be found in [21]. It is a mixture between a Cuk and a conventional boost converter, so there are two stages with two power switches. The first stage is made by the Cuk converter to achieve continuous input current. The second stage consists of the conventional BC, which doubles the gain and produces an output voltage with positive polarity. So, with this technique, the voltage conversion ratio will be high (quadratic of a conventional converter) without needing to operate with a high duty ratio as in a conventional boost converter. A novel topology of interleaved quadratic boost converters with VM has been proposed [22] This converter consists of two stages.The first stage contains two QBCs connected in parallel, which is known as the interleaved QBC.

The interleaving led to an increase in the frequency of the converter and made it possible to filter with small capacitors. This property makes smooth input current compared with the conventional converter, so the input current ripple will reduce with interleaving, and this optimizes the input current magnitude for the maximum power point algorithm. The second stage is a Dickson voltage multiplier cell that cascades with the first stage. This VMC helps achieve a high voltage gain by increasing the voltage conversion ratio. A developed topology from the QBC is shown in [23]. It's a high step-up converter that depends on a 2-phase interleaved quadratic boost converter using multi-winding CIs instead of discrete inductors; this change in the inductor type facilitates achieving a light and compact magnetic element and helps in reducing the input current ripple. To achieve more gain, it's connected to a voltage lift capacitor and a VMC. A new topology of interleaved non-isolated high-gain converters has been proposed [24].

It provides a high voltage gain without having to work with a high duty cycle. This improvement in gain is due to using two three-winding coupled inductors with two circuits of VMC. High gain is attained through the adjustment of the turn's ratio of these inductors, which reaches 16% more than similar boost topologies. A Modified Interleaved Quadratic Boost Converter (MIQBC) is suggested as a solution to the mentioned constraints. The converter achieves a high step-up voltage gain appropriate for PV systems while eliminating the input current ripple by modifying an interleaved two-phase structure with 180° phase-shifted operation. The main objective of this work is to show that this converter is efficient through theoretical design, simulation with LTspice, and experimental verification. The proposed converter provides enhanced maximum power extraction and reduced ripple compared to traditional topologies. The research utilizes the perturb and observe (P&O) method within an ESP32-based MPPT control system to guarantee its optimum performance across different conditions.

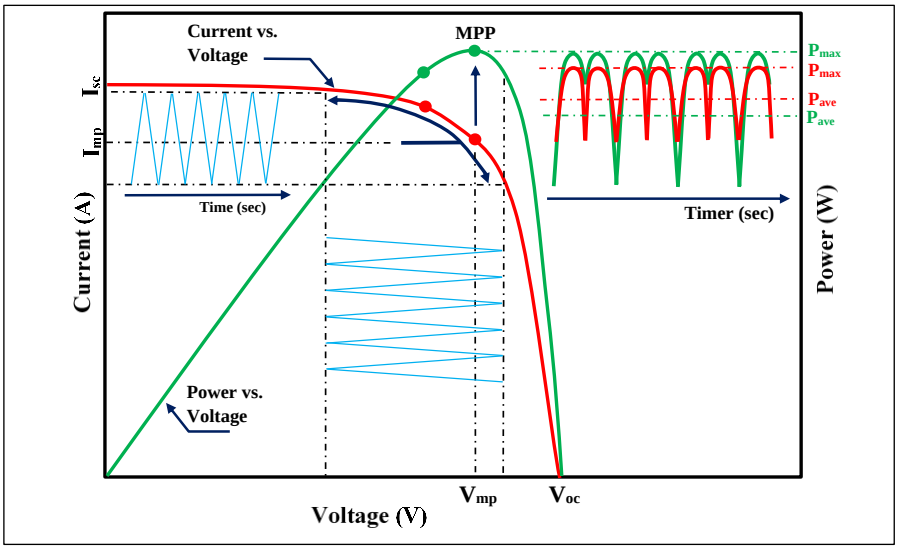


Figure 1: The impact of ripple in input current on the PV power curve.
Source: Authors, (2026).

II. CONVERTOR DESIGN AND CONFIGURATION

The proposed converter is based on the quadratic boost converter. It is a two-phase interleaved QBC with a modification in its design that reduces the input current ripple. Each phase consists of a single power switch, four diodes, two capacitors and two inductors. This interleaving helps to reduce the input current ripple. The modification is represented by replacing the inductors' positions and using the inductor of the high inductance in the input side, which causes additional reduction in the input current ripple instead of using a capacitor in the input. Also, to avoid the flow of (D_2, D_5) current to the capacitors (C_1, C_2) during the transient duration, an additional diode has been added (D_7, D_8). The configuration circuit of the proposed converter is shown in Figure 2.

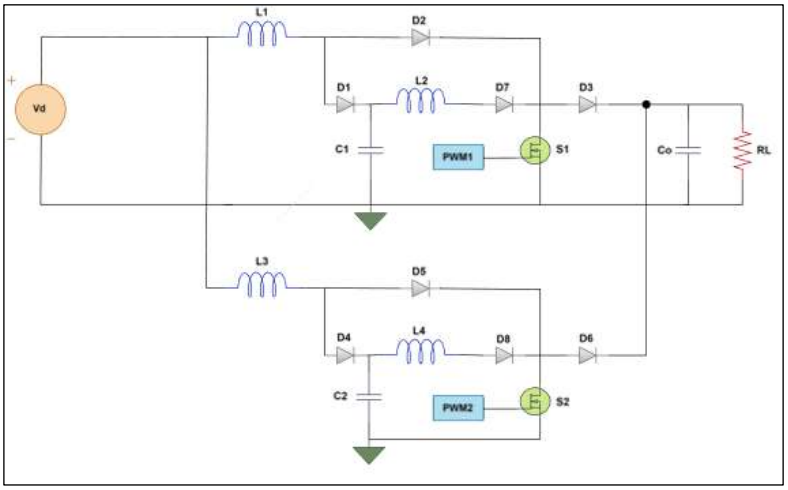


Figure 2: The proposed converter.
Source: Authors, (2026).

II.1 PRINCIPLE OF OPERATION

As mentioned, the MIQBC consists of two identical quadratic boost converters connected in series on the output side while connected in parallel on the input side, and these converters operate with a phase shift of 180° between the drive signals of their switch gates to verify that when one switch is ON, the other is in the opposite state for a portion of the cycle. Also, to maintain proper interleaving operation and prevent overlap between the conduction intervals, the operation duty ratio should be kept below 0.5 per channel. There are four modes of operation during the complete interval of switching, all explained under the assumption that the operation is in steady-state conditions, all circuit devices are ideal, the capacitor sizes are sufficient to maintain a constant voltage across their terminals, the inductors are energised before the switches turn on and designed for operation in continuous conduction mode (CCM). The voltage and current waveforms of this operation are shown in Figure 3.

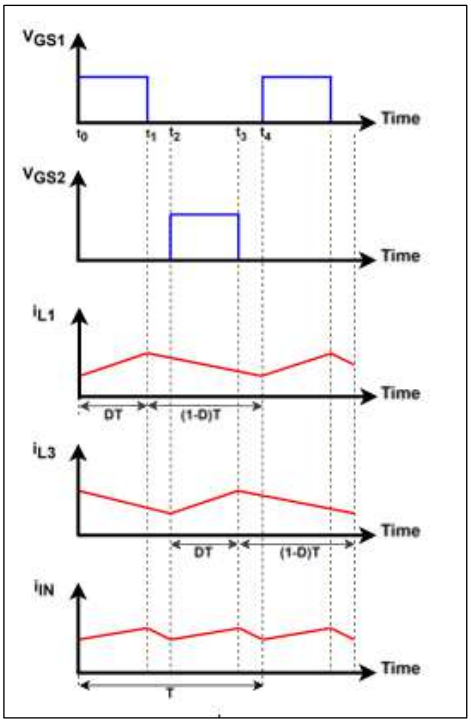


Figure 3: The steady state operation waveforms.
Source: Authors, (2026).

Mode I: (S_1 ON, S_2 OFF)

This mode is shown in Figure 4(a) when the converter operates during the interval from t_0 to t_1.
(a) The first-phase inductors L_1 and L_2 store energy from the input source and C_1 respectively.
(b) The second-phase inductors L_3 and L_4 transferred their stored energy to charge C_o and supply the load.

Mode II: (S_1 OFF, S_2 OFF)

This Mode shown in Figure 4(b) when the converter operates during the interval from t_1 to t_2.

(a) The first-phase inductors L_1 and L_2 transferred their stored energy to charge C_o and supply the load.
(b) The second-phase inductors L_3 and L_4 remain in their status in Mode I.

Mode III: (S_1 OFF, S_2 ON)

This Mode shown in Figure 4(c) when the converter operates during the interval from t_2 to t_3.
(a) The first-phase inductors L_1 and L_2 remain in their status in Mode II.
(b) The second-phase inductors L_3 and L_4 store energy from the input source and C_2 respectively.

Mode IV: (S_1 OFF, S_2 OFF)

This Mode is typical of Mode II and shown in Figure 4(b) when the converter operates during the interval from t_3 to t_4.
(a) The first-phase inductors L_1 and L_2 remain in their status in Mode III.
(b)The second-phase inductors L_3 and L_4 transferred their stored energy to charge C_o and supply the load.

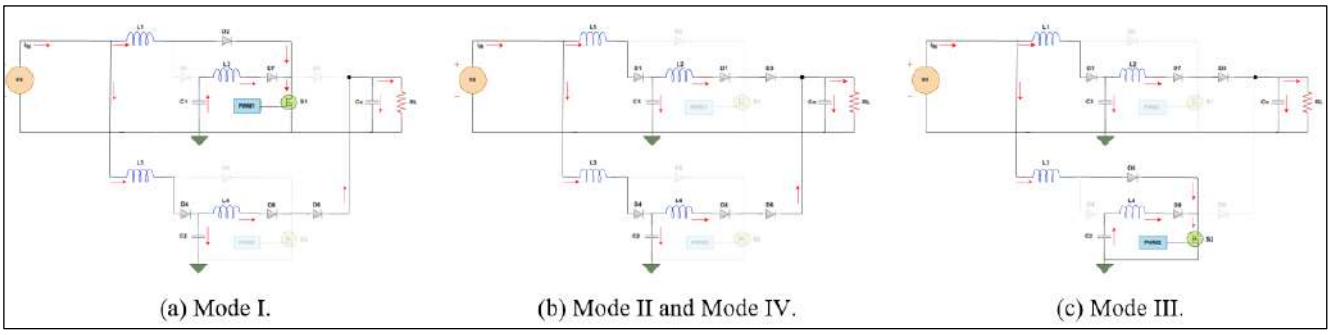


Figure 4: The steady state operation Modes.
Source: Authors, (2026).

II.1.1 Voltage Conversion Ratio

The steady state analysis of this convertor based on the conventional quadratic boost convertor shown in Figure 5 So, the voltage conversion ratio (M) calculated from the inductor's voltages V_{L1} and V_{L2} under the assumption of constant input voltage, ideal switches and purely resistive load. As a result of volt-second balance, the integral of V_{L1} and V_{L2} over one time period is equal to zero [25], [26]. Figure 5 shows the circuit operation and the inductor's voltage waveforms.

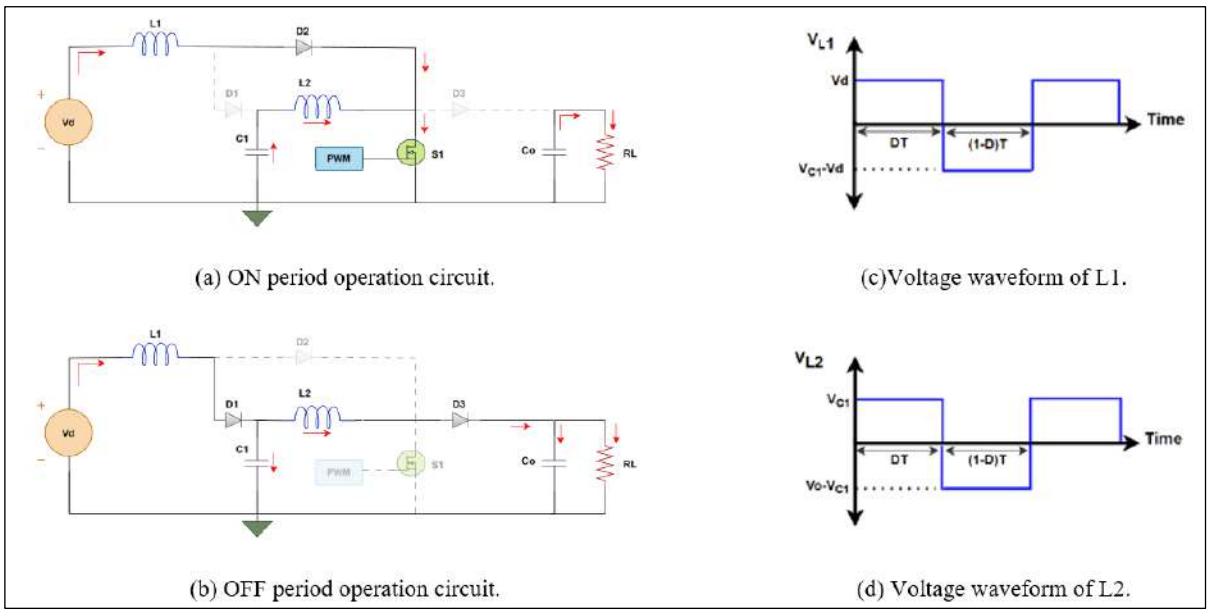


Figure 5: Convertor operation.
Source: Authors, (2026).

$$\int_0^{Ts} V_{L1} = 0 \qquad (1)$$

$$(V_d)DT = (1-D)T(V_{C1} - V_d)$$

$$\therefore \frac{V_{C1}}{V_d} = \frac{1}{(1-D)}$$

$$\int_0^{Ts} V_{L2} = 0 \qquad (2)$$

$$(V_{C1})DT = (1-D)T(V_O - V_{C1}) \qquad \therefore \frac{V_{C1}}{V_O} = (1-D)$$

$$\text{So, the voltage conversion ratio} \qquad M = \frac{V_O}{V_d} = \frac{1}{(1-D)^2}$$

Also, as shown in Figure 6, the integral of each capacitor current during one switching time period is zero at steady state [26].

$$\int_0^{Ts} i_{C1} = 0 \tag{3}$$

$$(I_{L2})DT = (I_{L1} - I_{L2})(1-D)T \qquad I_{L2} = (1-D)I_{L1} \tag{4}$$

$$\int_0^{Ts} i_{C2} = 0 \tag{5}$$

$$(I_O)DT = (I_{L2} - I_O)(1-D)T$$

$$(I_O)DT = (I_{L2} - I_O)(1-D)T$$

$$I_O = (1-D)I_{L2} \tag{6}$$

$$I_O = (1-D)^2 I_{L1} \tag{7}$$

To find the inductors current ripple [27]

$$V_{L1} = L_1 \frac{dIL_1}{dt} \qquad \therefore \Delta I_{L1} = \frac{DTV_d}{L_1}$$

$$V_{L2} = L_2 \frac{dIL_2}{dt} \qquad \therefore \Delta I_{L2} = \frac{DTV_{C1}}{L_2}$$

Now to find the critical values of the inductors to operate in CCM [27]:

$$I_{L1} \geq \frac{\Delta I_{L1}}{2} \quad \therefore L_1 \geq \frac{(1-D)^4 DR_L}{2f_s}$$

$$I_{L2} \geq \frac{\Delta I_{L2}}{2} \quad \therefore L_2 \geq \frac{(1-D)^2 DR_L}{2f_s}$$

To find the capacitors voltage ripple [27]

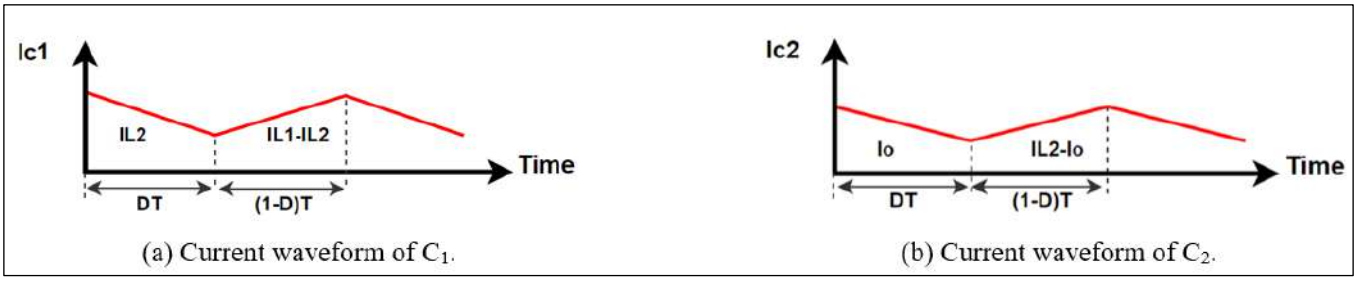
$$\Delta V_{C1} = \frac{\Delta Q_{C1}}{C_1} \qquad \therefore \Delta V_{C1} = \frac{DTV_o}{(1-D)C_1R_L}$$

$$\Delta V_{Co} = \frac{\Delta Q_{Co}}{C_o} \qquad \therefore \Delta V_{Co} = \frac{DTV_o}{C_oR_L}$$

Now to find the inductors current ripple ratio and the capacitors voltage ripple ratio:

$$\rho_{L1} = \frac{\Delta I_{L1}}{I_{L1}} = \frac{(1-D)^4 DTR_L}{L_1} \qquad \rho_{L2} = \frac{\Delta I_{L2}}{I_{L2}} = \frac{(1-D)^2 DTR_L}{L_2}$$

$$\rho_{C1} = \frac{\Delta V_{C1}}{V_{C1}} = \frac{DT}{(1-D)^2 C_1 R_L} \qquad \rho_{Co} = \frac{\Delta V_{Co}}{V_{Co}} = \frac{DT}{C_o R_L}$$



(a) Current waveform of C_1. (b) Current waveform of C_2.

Figure 6: Capacitors' current waveforms.
Source: Authors, (2026).

II.1.2 Voltage Stress Across Semiconductor Devices

Since the proposed two-phase MIQBC is developed from a classical QBC and the switches are located at the output end of each QBC structure, the voltage impressed across them is obtained as:

$$V_{S1} = V_{S2} = \frac{V_{in}}{(1-D)^2} = V_O \tag{8}$$

The reverse voltage applied across the diodes indicates their voltage rating. When S_1 and S_2 are ON, diodes D_1 and D_4 are, respectively, reverse-biased; their voltage rating determined from the potential difference across their anode and cathode terminals. The cathode terminal of D_1 is clamped at the voltage level of C_1, while the anode terminal is grounded through D_2 and S_1. Interestingly, the voltage developed across C_1 is the same as that of a CBC. Similar factors can be used to determine the voltage stress on D_4. Therefore, the voltage stress on D_1 and D_4 is determined as:

$$V_{D1} = V_{D4} = \frac{V_{in}}{(1-D)} = V_O(1-D) \tag{9}$$

The voltage stress on diodes D_2 and D_5 is obtained when the switches S_1 and S_2 are in the OFF state, respectively. The cathode of D_2 is clamped by the voltage developed across the positive plate of C_o through D_3, while the anode of D_2 experiences the potential developed across C_1. Diode D_5 is located at a position which is similar to D_2. Hence, its voltage stress is the same as D_2. Therefore, the net voltage stress is derived as:

$$V_{D2} = V_{D5} = \frac{V_{in}}{(1-D)^2} - \frac{V_{in}}{(1-D)} = \frac{V_{in}D}{(1-D)^2} = V_O D \tag{10}$$

The voltage stress on diode D_3 is obtained when switch S_1 is ON and S_2 is in the OFF state. The cathode of D_3 is clamped by the voltage developed across the positive plate of C_o, while the anode terminal of D_3 is grounded through S_1. Therefore, the net voltage stress on D_3 is equal to V_o. Furthermore, the voltage stress on diode D_6 is obtained when switch S_1 is OFF and S_2 is in the ON state. The cathode of D_6 is clamped by the voltage developed across the positive plate of C_o, while the anode terminal of D_6 is grounded through S_2. Therefore, the net voltage stress on D_6 is equal to V_o.

$$V_{D3} = V_{D6} = \frac{V_{in}}{(1-D)^2} = V_O \tag{11}$$

There is no voltage stress on D7 and D8 because no reverse voltage is impressed across them.

II.1.3 Current Stress on Semiconductor Devices

The current stress on the switches S_1 and S_2 is determined when they are in ON state. When S_1 is ON, the inductors L_1 and L_2 charge through D_2, D_7 and S_1. Hence, the current flowing through the switch is the sum of the inductor currents I_{L1} and I_{L2}. Thus, the current stress on S_1 is given by:

$$I_{S1} = I_{L1} + I_{L2} \tag{12}$$

Similar factors can be used to determine the current stress on the switch S_2 and is expressed as:

$$I_{S2} = I_{L3} + I_{L4} \tag{13}$$

Diodes (D_1, D_2, D_4, and D_5) are closer to the input side. so, their current-carrying capacity needs to be closer to the magnitude of input current. Fortunately, as an interleaved structure is employed, the total current is shared. The current stress on diodes D_1 and D_2 is the same as the inductor current I_{L1}, whereas diodes D_4 and D_5 are rated to carry the current flowing through inductor L_3. The diode current stresses are expressed as:

$$I_{D1} = I_{D2} = I_{L1} = \frac{I_{in}}{2} \quad (14)$$

$$I_{D4} = I_{D5} = I_{L3} = \frac{I_{in}}{2} \quad (15)$$

D_3 and D_6 are the regular output rectifier diodes. Hence, the current stress on them is the same as the output current. Also, for D_7 and D_8 located closer to the output side. Therefore, their current-carrying capacity needs to be closer to the output current magnitude and is given by:

$$I_{D3} = I_{D6} = I_{D7} = I_{D8} = I_o \quad (16)$$

II.1.4 Efficiency Analysis

Power loss occurring in DC resistance of inductor is:

$$P_{core} = \sum_{i=1}^{\emptyset} k\, f_s^{\alpha}\, B_{ipk}^{\beta} V_{icore} \quad (17)$$

P_{core} core losses, Ø number of inductors, f_s switching frequency, B_{pk} Peak flux density, V_{core} Core volume, (k, α, β) Steinmetz coefficients (from core datasheet).

$$P_{copper} = \sum_{i=1}^{\emptyset} I_{Li(rms)}^2 \times DCR_i \quad (18)$$

$I_{L(rms)}$ is the inductor RMS current, *DCR* is the DC resistance of the inductor. So, the total inductors losses are:

$$P_L = P_{core} + P_{copper} \quad (19)$$

Switching and conduction loss in MOSFET is:

$$P_{Qsw} = \sum_{i=1}^{2} \frac{1}{2} V_{iDS} I_{iD} (t_r + t_f) f_s \quad (20)$$

V_{DS} Drain-to-source voltage during switching, I_D Drain current of the MOSFET, t_r Current rise time during turn-on transition, t_f Current fall time during turn-off transition.

$$P_{Qcond} = \sum_{i=1}^{2} I_{i(rms)}^2 \times R_{iDS(on)} \quad (21)$$

I_{rms} is the RMS current flowing through the MOSFET, $R_{DS(on)}$ On-state drain-to-source resistance of the MOSFET.

Power loss of in diode and capacitor is:

$$P_D = \sum_{i=1}^{N} I_{iD(avg)} V_{if} + \sum_{i=1}^{N} I_{iD(rms)}^2 R_{iD} \quad (22)$$

N is the number of diodes, $I_{D(avg)}$ Average forward current of the diode, V_f Forward voltage drop of the diode, $I_{D(rms)}$ RMS current of the diode, R_D Dynamic (on-state) resistance of the diode.

$$P_C = \sum_{i=1}^{Z} I_{ic(rms)}^2 ESR_i \quad (23)$$

Z is the number of capacitors, $I_{c(rms)}$ RMS ripple current of the capacitor, ESR_i Equivalent series resistance of the capacitor.

The total power loss is:

$$P_{Loss} = P_L + P_{Qsw} + P_{Qcond} + P_D + P_C \quad (24)$$

Efficiency of the converter is:

$$\%\eta = \frac{P_O}{P_O + P_{Loss}} \times 100 \quad (25)$$

II.2 COMPONENT DESIGN

To design the values for the proposed converter component, there are several factors to consider, like the operation frequency, the range of the duty cycle, the PV specification, and the load that is connected to the converter. It is necessary to know that at a low duty cycle (less than 0.2), the converter's low voltage gain has resulted in inefficient operation. While the duty cycle should not exceed 0.5 to avoid the overlap between the conduction intervals, the efficiency is also affected due to the increase in the diode's reverse recovery and the switches conduction losses. The values of the inductors and capacitors, as well as the appropriate load connecting to this converter for testing, should now be determined. Assume that the converter is operating at D = 0.5 and the switching frequency is $f_s = 90\ KHz$, and that it is connected to a PV with the specifications listed in Table 1.

Table 1: PV data sheet.

PV Specifications	Values
Rated maximum power P_{max}	250 W
Voltage at P_{max} (V_{mp})	30.1 V
Current at P_{max} (I_{mp})	8.30 A
Open-circuit voltage (V_{oc})	37.2 V
Short-circuit current (I_{sc})	8.87 A
Nominal operating Cell Temp (NOCT)	25º C

Source: Authors,(2026).

To determine this PV cell's equivalent circuit: $I_{ph} \cong I_{sc} \cong 8.87\ A$

$$R_s = \frac{V_{oc} - V_{mp}}{I_{mp}} = 0.855\ \Omega \qquad R_{sh} = \frac{V_{oc}}{I_{sc} - I_{mp}} = 65.26\ \Omega$$

In the theoretical derivations, a duty cycle of D=0.5 was selected. This value corresponds to the theoretical upper limit for the chosen converter design and provides accurate estimations of current/voltage stresses.

$$M = \frac{V_o}{V_{in}} = \frac{1}{(1-D)^2} \qquad V_o = \frac{30.1}{(1-0.5)^2} \cong 120\ Volt$$

For efficiency of 96%:

$$P_{max} = V_{mp}\ I_{mp} = 250\ W \qquad P_o = 0.96\ x\ 250 = 240\ W$$

$$P_o = \frac{V_o^2}{R_L} \qquad \therefore R_L = \frac{(120)^2}{240} = 60\ \Omega$$

The above data can now be used to compute the inductors' critical values.

$$L_1 \geq \frac{(1-D)^4 D R_L}{2f_s} \geq 10.416\ \mu H \qquad L_2 \geq \frac{(1-D)^2 D R_L}{2f_s} \geq 41.66\ \mu H \qquad \therefore \frac{L_1}{L_2} \cong \frac{1}{4}$$

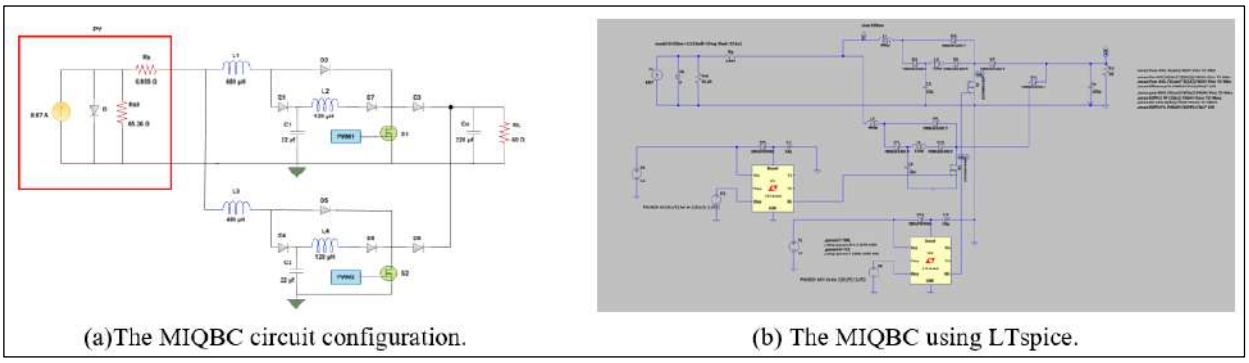
For a given voltage and switching frequency, the current ripple (ΔI) in an inductor is inversely proportional to the inductance (L) $\Delta I_L = \frac{DTV}{L}$. Therefore, it is easy to see that a higher value of L results in a lower input current ripple, but at the expense of efficiency. Increasing the inductance (L) of an inductor will typically reduce the ripple of current in a circuit. After testing various inductor values using LTspice, including (L_1=30 µH, L_2=120 µH),(L_1=60 µH, L_2=240 µH), (L_1=120 µH, L_2=480 µH), and (L_1=150 µH, L_2=600 µH), the decision was made to choose L1=120 µH, L2=480 µH, which is adequate to minimize input current ripple while maintaining a high efficiency value and Ensures that the converter operates in CCM even with changes in frequency.he value of the capacitors must be chosen to have low voltage ripple: ρ_{C1}*<10%,* ρ_{Co}*<0.1%*

$$\frac{DT}{(1-D)^2 C_1 R_L} < 10\% \qquad C_1 > 3.704\ \mu f$$

$$\frac{DT}{C_o R_L} < 0.1\% \qquad C_o > 92.59\ \mu f$$

The capacitors' value can be adjusted set as*:* $C_1 = 22\ \mu f$, $C_2 = 220\ \mu f$

The theoretical derivations prove that the QBC (quadratic boost convertor) is a multiplication of two stages of BC (boost convertor) ($M = \frac{1}{(1-D)}$), as can be seen from the voltage conversion ratio of the QBC ($M = \frac{1}{(1-D)^2}$). This led to a modification that will help to further reduce the input current ripple by using the stage of the higher inductance L as an input stage, as illustrated in Figure 7, which represents the MIQBC (modified interleaved quadratic boost converter).



(a)The MIQBC circuit configuration. (b) The MIQBC using LTspice.

Figure 7: The proposed topology circuit.
Source: Authors, (2026).

III. PRACTICAL DESIGN AND EXPERIMENTAL SETUP

In this section, we applied the proposed converter in practice to verify its operation and assess its effectiveness in reducing the input current ripple for maximum power point tracking. As illustrated in Figure 8, to track the maximum power of the converter, perturb and observe (P&O) method has been adopted. Input voltage and current are measured continuously by voltage and current sensing circuits, which then send these signals to the ESP32 microcontroller to apply the maximum power point algorithm shown in the flow chart of Figure 9, which determines the value of the duty cycle. So, ESP32 generates two PWM signals with a 180° phase shift at a certain duty cycle to supply the drive circuit, which controls the operation of the MOSFET to drive the converter.

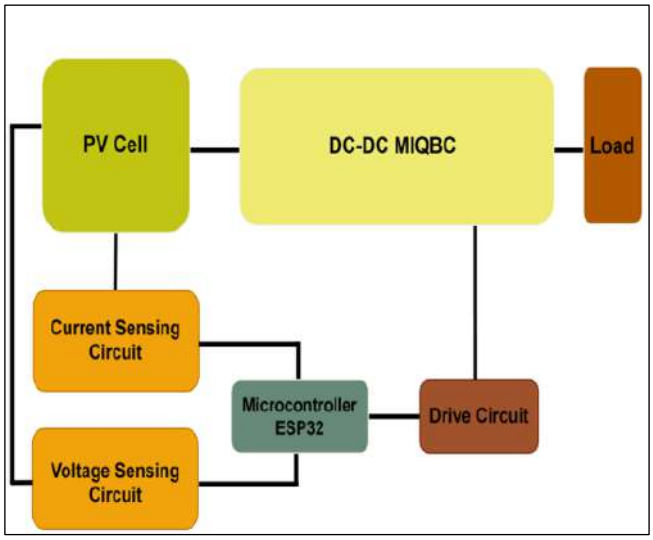


Figure 8: Close loop MIQBC.
Source: Authors, (2026).

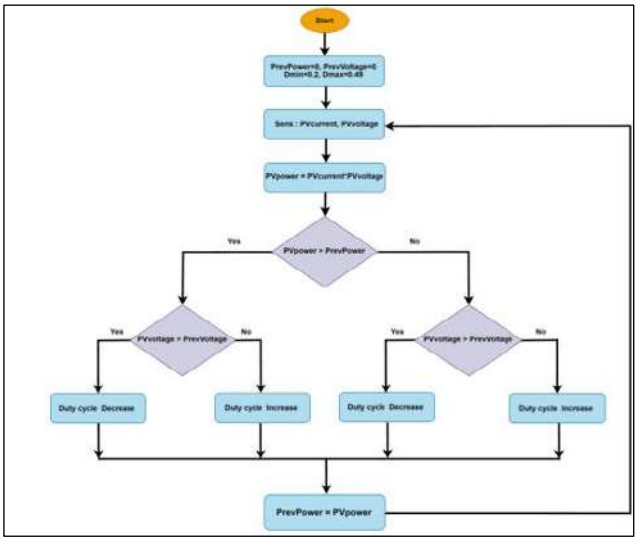


Figure 9: MPPT algorithm flowchart.
Source: Authors, (2026).

The proposed converter is practically designed using components and devices that were available in the laboratory. It is important to mention that some alternative components were used to obtain approximate results. The hardware setup consists of the following main components:

•**Power MOSFETs:** Two IRF260N transistors, due to their low on-resistance and high current capability.

•**Diodes:** MBR20100CT Schottky diodes, for low forward voltage drop and fast switching.

•**Inductors:** Iron Powder Core type T157-26, suitable for high-frequency DC-DC converter applications.

•**Capacitors:** High-frequency capacitors for output filtering.

•**Gate Driver Circuit:** The IR2110 is used to drive the MOSFET by providing proper gate signals for the interleaved switches.

•**Control Unit**: An ESP32 microcontroller was used to implement the MPPT control algorithm and to generate interleaved PWM signals with a phase shift of 180°.

•**Sensing Circuits:** Voltage and current sensing circuits were designed to measure PV input current and voltage for real-time feedback to the control system.

•**Load:** Four resistive loads of 15 Ω / 100 W each were connected in many ways to achieve different loads and test various operating conditions.

•**Power Supply:** The input of the converter was supplied from a photovoltaic (PV) source with specifications almost similar to the one used in simulation. While a 12 Volt DC supply was used to power the driver circuit.

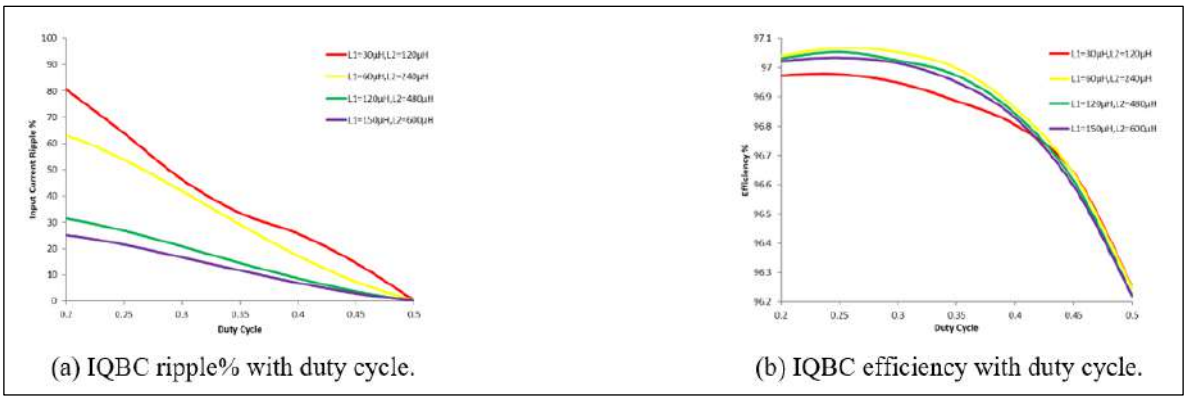
•**Measurement Instruments:** To verify the converter's functionality, switching waveforms, input/output voltages, and currents were recorded using an oscilloscope.

IV. RESULTS AND DISCUSSIONS

This section shows the simulation results using LTspice and compares them with the experimental results of the practical design.

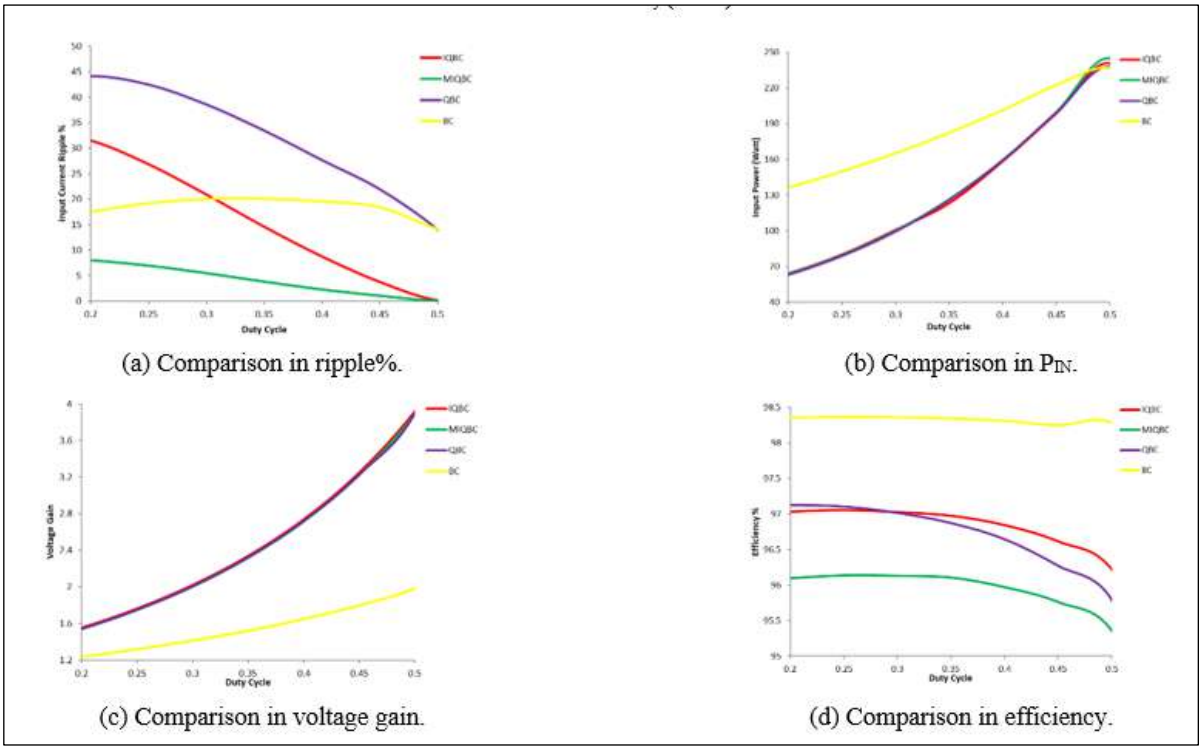
IV.1 SIMULATIONS RESULTS

Using the LTspice program, simulate the IQBC with various values for L_1, L_2, L_3, and L_4 to select suitable inductance values by comparing input current ripple percentage and efficiency, as illustrated in Figure 10. Then modify it to obtain the MIQBC and compare it with many conventional topologies (boost converter, quadratic boost converter) to see the effect of these modifications as shown in Figure 11.



(a) IQBC ripple% with duty cycle. (b) IQBC efficiency with duty cycle.

Figure 10: IQBC with various inductances.
Source: Authors,(2026).



(a) Comparison in ripple%. (b) Comparison in P_{IN}.

(c) Comparison in voltage gain. (d) Comparison in efficiency.

Figure 11: Converters comparison.
Source: Authors, (2026).

Once the values of ($L_1 = 120\ \mu H$ and $L_2 = 480\ \mu H$) have been accepted to be sufficient, use these values to simulate the MIQBC and compare it with other converters, as illustrated in Figure 11. When compared to other converters, the MIQBC offers a significant reduction in input current ripple, assisting in obtaining the maximum power possible from the PV. Although this adjustment had a minor impact on efficiency, it was still high, and the difference from other converters was insignificant. To evaluate how well the suggested converter performs when the load ($R_L = 15\ \Omega$) changes compared to it with the previous load, as illustrated in Figure 12. In order to achieve maximum input power, the MIQBC operates at a different duty cycle ($D \cong 0.32$), which is practically adjustable according to the MPPT algorithm.

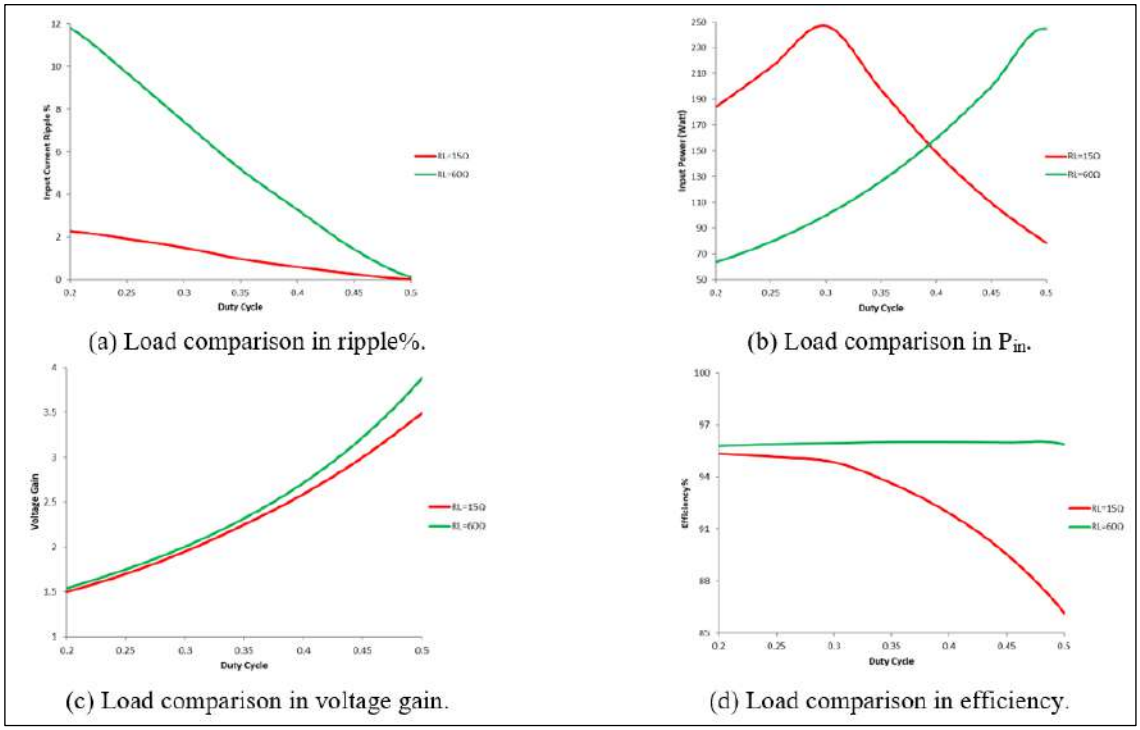


Figure 12: Load comparison.
Source: Authors, (2026).

Finally, Figure 13 shows that the current and voltage waveforms of the MIQBC using LTspice at duty cycles of 0.5 and 0.32 were cleared. All these simulation results will be compared with the practical work results to verify the converter's operation and to prove its effect in the input current ripple reduction.

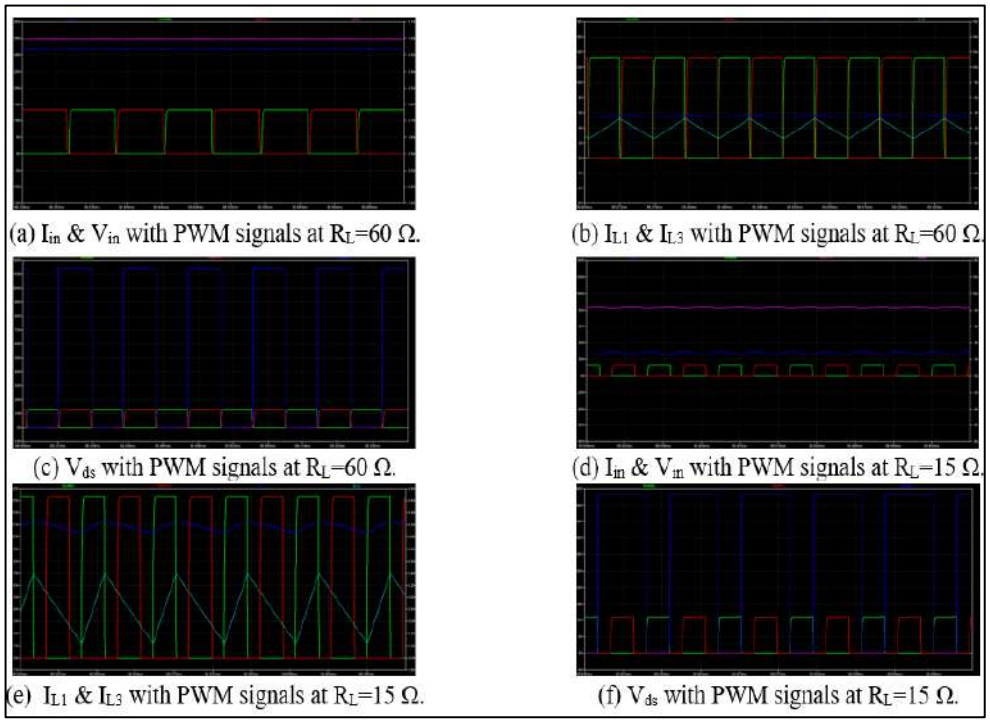


Figure 13: Simulation waveforms.
Source:Authors, (2026).

IV.2 EXPERIMENTAL RESULTS AND DISCUSSION

To distinguish the performance of the proposed converter under the test conditions. Initially it was a test without applying the MPPT algorithm by applying different values of duty cycle under the operation range (from 0.2 to 0.49) to draw the I-V curve for the PV cell under different load conditions by taking (R_L=60 Ω, R_L=15 Ω) as taken in the simulation. Figure 14 shows the curves that clarified the performance of the converter.

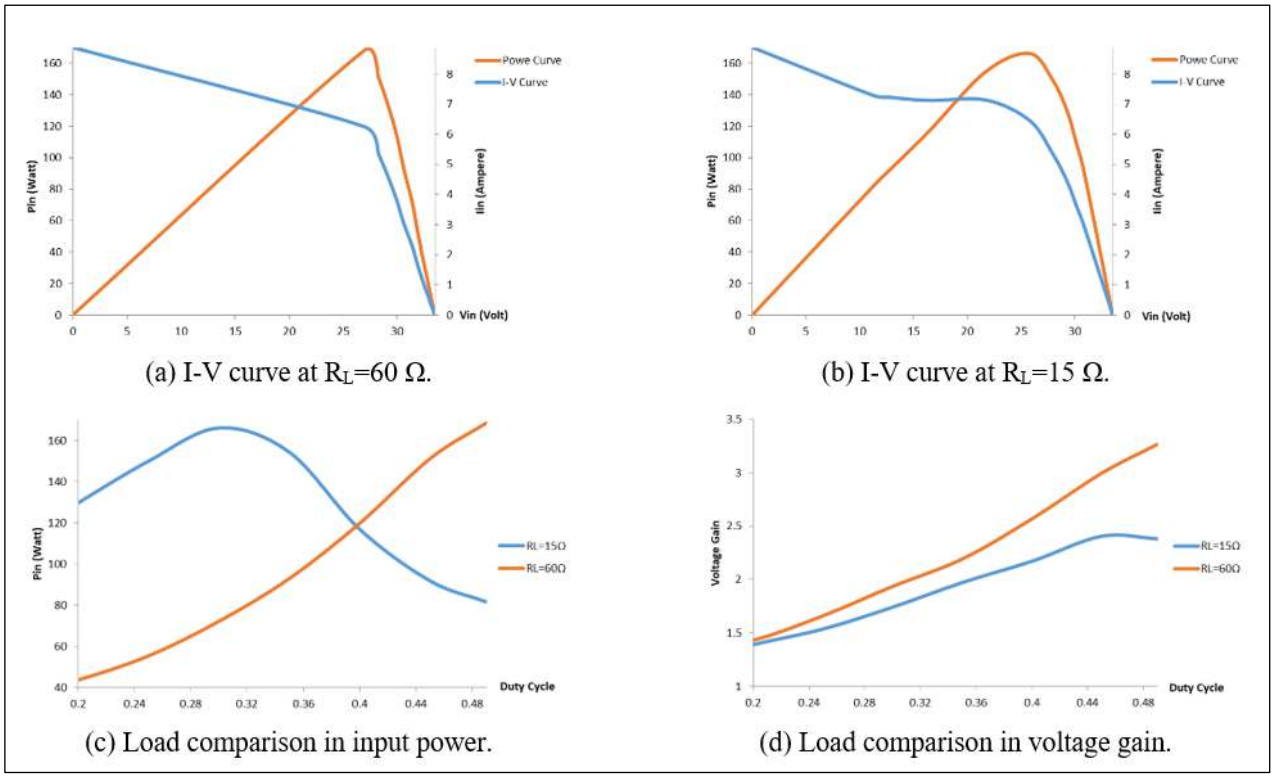


Figure 14: MIQBC operation test.
Source: Authors, (2026).

As shown in curves (a) and (b) from Figure 14 , the maximum power of the PV cell occurs at the knee point of the I-V curve under different load conditions, and this power can be achieved by adjusting the duty cycle for loads of 15 Ω and 60 Ω. Figure 14(c) indicates that at R_L = 15 Ω, the maximum power is achieved at D ≅ 0.32, while at 60 Ω, the maximum input power occurs at D ≅ 0.48; additionally, Figure 14(d) illustrates that voltage gain increases with an increase in D. These practical results are acceptable results compared with the simulation results. It is necessary to mention that this test was not conducted under standard conditions because the test was conducted at 9:00 a.m. with an ambient temperature of 46°C, the high temperature lowers the voltage output of the solar cells. Furthermore, the normal sun irradiation at 9 a.m. is less than the 1000 W/m² standard test condition.

The PV module delivered less power than its rated value due to a combination of these factors: high temperature, surface impurifications, and decreased sunshine intensity. This can be proved by checking the input current ripple of the converter by oscilloscope. After that, the MPPT algorithm shown in the flowchart cleared in Figure 9 was applied to make sure that the converter can adjust the duty cycle to operate at the maximum power point. The waveforms of Figure 15 show the performance of the operations. As seen from (a) and (f), there is a very high reduction in the input current ripple, which proves that this converter helps to achieve the maximum power available from the PV cell. At R_L=60 Ω, the MPPT algorithm adjusted the duty cycle at D=46.43%, which is approximately equal to the value of the previous test (without applying the algorithm), and the same with R_L=15 Ω (D=32.14%). this prove that the algorithm operates correctly.

Also as illustrated in (b) and (g), the current ripple of the main inductor (L_1 or L_3) has a significant value (for only one of the QBC). However, using the interleaving technique by using phase-shifted switching signals to operate several converter phases, the interleaving approach efficiently reduces the input current ripple. A smoother overall input current and improved converter performance are the results of this phase displacement, which partially cancels out the ripple components of each phase current. Waveforms of (c) and (h) shows the ripple of the second inductor (L_2 or L_4) in each stage, it has a high current ripple comparing with the main inductor (L_1 or L_3). So, this is the reason that leaded to did the modification of the proposed convertor. Normal switching behavior can be seen in the measured waveforms of the MOSFET V_{ds} and the output diode voltage in (d), (i), (e) and (j). Because of the circuit's parasitic capacitance and inductance, there are small voltage spikes and ringing during the transitions. These transients are acceptable and indicate proper switching operation of the converter.

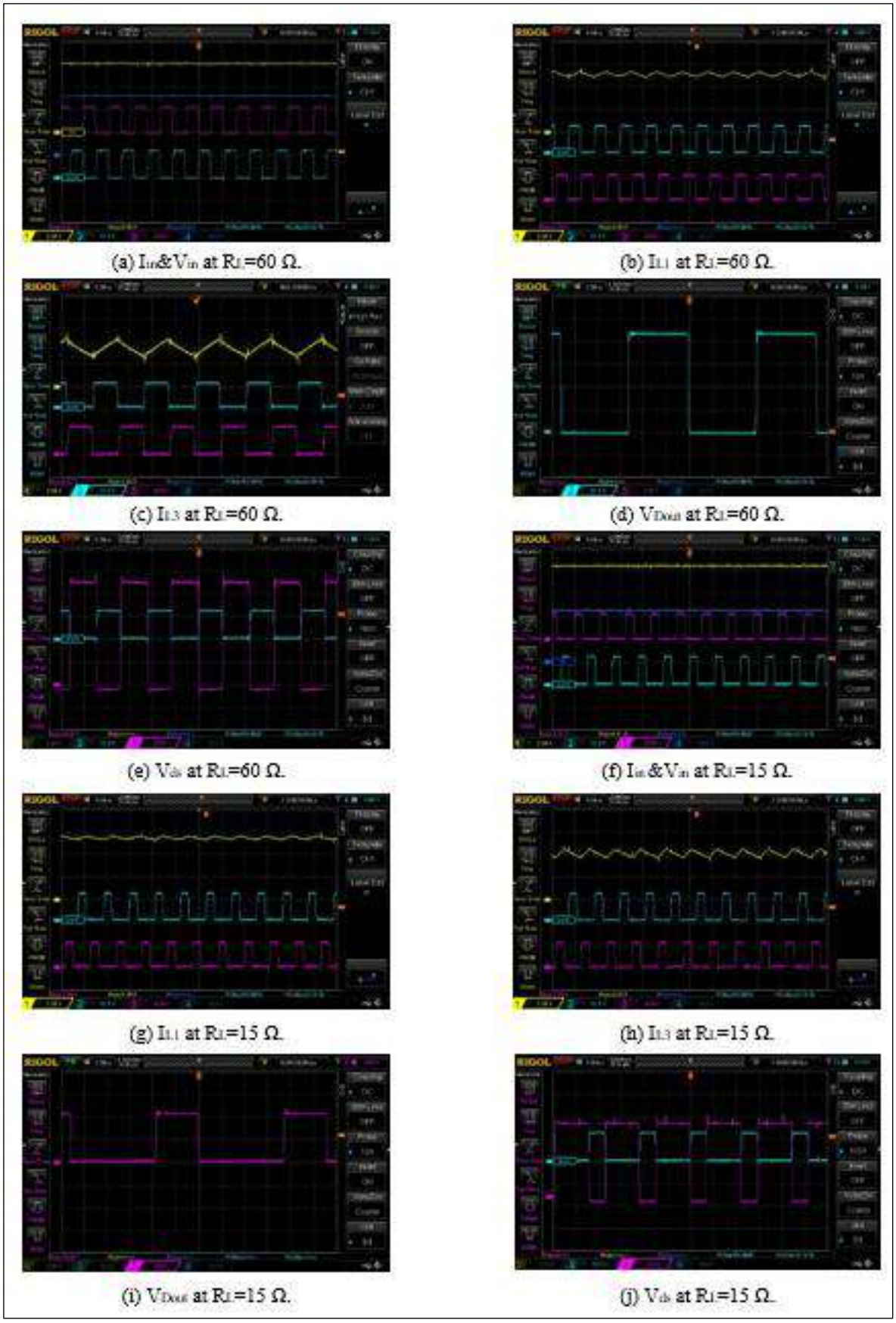


Figure 15: Practical waveformes.
Source: Authors, (2026).

V. COMPARATIVE ANALYSIS

To illustrate the benefits of the suggested converter, this section includes some comparisons with relevant recent topologies that have been documented in research. Table 2 compares the voltage conversion ratio, component count, input current ripple, voltage stress on switch, and efficiency of the suggested MIQBC with comparable converters, among other typical performance parameters.

Table 2: Comparison of existing converters with the proposed converter.

Topology	Number of Components				Voltage Gain	Input Current Ripple%	Voltage Stress on Switches	Voltage Stress on output diode	Efficiency
	Passive		Active						
	L+CL	C	D	S					
Proposed convertor	4+0	3	8	2	$\frac{1}{(1-D)^2}$	0.266%	V_o	V_o	95.8%
BC	1+0	1	1	1	$\frac{1}{1-D}$	18.4%	V_o	$V_{in}-V_o$	98.25
QBC	2+0	2	3	1	$\frac{1}{(1-D)^2}$	22%	V_o	V_o	95.4%
IQBC	4+0	3	6	2	$\frac{1}{(1-D)^2}$	3.5%	V_o	V_o	96.22%
[28]	0+2	4	4	2	$\frac{2+n}{(1-D)^2}$	15%	$\frac{V_o}{2+n}$	$\frac{1+n}{2+n}V_o$	96.3%
[29]	4+0	5	4	2	$\frac{2D}{(1-D)^2}$	10–25%	$\sqrt{\frac{LEVo^2}{R_L D^2 T_s}}$	V_o	96.2%
[30]	0+2	4	6	2	$\frac{2}{(1-D)^2}$	12.9%	$\frac{V_o}{2}$	$V_o - V_{Clift}$	92.49%
[31]	0+2	4	6	2	$\frac{2}{1-D}+\frac{N}{1-D}+\frac{2nk}{1-D}$	11.11%	$\frac{V_o}{2+N+2nk}$	$\frac{(2+N)V_o}{2+N+2nk}$	92%

Source: Authors, (2026).

VI. CONCLUSION

The theoretical and experimental results prove the effectiveness of the proposed Modified Interleaved Quadratic Boost Converter (MIQBC) for photovoltaic applications. Under full load conditions, the output voltage gain obtained approached four times the input voltage, which is an acceptable value compared with the theoretical estimation. Furthermore, the input current ripple was theoretically reduced to less than 2% and practically eliminated, which gives an indication that the interleaving technique was successful in distributing the input current between the inductors and lowering the pulsing behavior. The proposed topology provided better performance in terms of current quality and voltage gain when compared to conventional boost convertor, quadratic boost converter and IQBC.

Due to the reduction in input current ripple, the photovoltaic panel operates more efficiently by operating closer to its maximum power point. As shown by experimental testing, this reduction enhances the total power extraction from the PV source. Although the theoretical efficiency was estimated between 94% and 96% under different load conditions, however, using non-ideal components such as soldering boards, general-purpose wires, and the limited quality of the inductors and switches, the practical efficiency was slightly lower. even with these constraints, the converter maintained stable operation. These results considered that the MIQBC topology offers an efficient and reliable photovoltaic energy conversion solution. The combination of very low input current ripple, high voltage gain, and improved power extraction from the PV panel makes it very suitable for renewable energy systems.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Abdulkarim Laith Abdulkarim and Ali Hussein Al-Omari.
Methodology: Abdulkarim Laith Abdulkarim and Ali Hussein Al-Omari.
Investigation: Abdulkarim Laith Abdulkarim and Ali Hussein Al-Omari.
Discussion of results: Abdulkarim Laith Abdulkarim and Ali Hussein Al-Omari.
Writing – Original Draft: Abdulkarim Laith Abdulkarim.
Writing – Review and Editing: Abdulkarim Laith Abdulkarim and Ali Hussein Al-Omari.
Resources: Abdulkarim Laith Abdulkarim.
Supervision: Ali Hussein Al-Omari.
Approval of the final text: Abdulkarim Laith Abdulkarim and Ali Hussein Al-Omari.

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RESEARCH ARTICLE OPEN ACCESS

PERFORMANCE VALUATION OF ELECTRICAL CHARACTERISTICS FOR MOSFET DEVICE USING TCAD SOFTWARE

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ABSTRACT

MOSFET transistor is one of the most important and efficient components in modern electronic circuits due to its high efficiency and low power consumption. The performance of N-MOS and P-MOS transistor has been studied and analyzed by evaluating key electrical characteristics such as threshold voltage, drain current, (gate and drain) voltages, LDD (Lightly Doped Drain functions), PLDD (P-type Lightly Doped Drain) and DIBL (Drain-Induced Barrier Lowering). Simulation using Silvaco TCAD Program tools was employed to extract the device structure and current-voltage characteristics for both transistors. For N-MOS, it was observed that drain current (Id) grew linearly with expanding gate voltage (Vg) for different values of drain voltages (Vd), while for P-MOS the values were opposite. The Threshold Voltage for N-MOS transistor (Vt= 0.5V) while for P-MOS (Vt= -0.5V), The maximum current obtained is Id= 0.515 mA at Vd= 3.35 V for N-MOS and the highest current obtained is Id= -0.335 mA at Vd= -3.35 V for P-MOS, so N-MOS was faster than P-MOS, while P-MOS is considered complementary to N-MOS. The two transistors were combined for more low power dissipation and high performance.

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I. INTRODUCTION

Metal-Oxide Semi-conductor field-effect transistor (MOSFET) is an essential part of electronic circuits. Their importance has increased significantly with the proliferation of integrated and portable devices in the consumer electronics sector. Virtually every device on the market today contains these devices [1], [2]. MOSFET device considered the main element of any digital electronic circuit and one of the functional elements of any digital system, such as a microprocessor circuit, mobile devices and flash EEPROM technology [3], [4]. Therefore, accurately studying for behavior of MOS transistors is extremely important in the design of any digital systems and circuits [5].

For several years, mostly N-MOS logics were faster than: (P-MOS and C-MOS) logic, as electrons mobility is greater than that for holes, and it was more simples to implements, dissimilar than C-MOS circuit as both transistors must be performed. Nevertheless in N-MOS logic, static power dissipation happen that means dc current is important to pass across the logic gate regardless steady state output. CMOS logic was used to solve this issue Because of their greater operating speed and reduced static power dissipation, CMOS technology has supplanted N-MOS technology. P-type and N-type MOSFETS coupled in symmetrical and complementary pairs are currently a common application of CMOS technology.

Because of the combination of P-MOS and N-MOS, static power dissipation in CMOS logic is low because P-MOS creates a low resistance channel between its source and drain when a low gate voltage is employed, but N-MOS has a high resistance path even for a low gate voltage. CMOS logic also provides high noise immunity but has problems of tunneling leakage current (when MOSFET is scaled) and short channel effects occur [2],[6]. Over time, the planar MOSFET structure has gradually developed into the Fin FET, GAA MOSFET (nano-MOSFET), and double-gate MOSFET (DG-MOSFET).

The advanced structure offers greater controllability. In other words, the advanced structure uses less power when the transistor is off. As a result, a contemporary computer built with advanced structure uses less power, conserving battery life. In summary, great performance (high on-state current), low power consumption (low off-state current), and fast switching speed (low delay) are necessary for the future of transistors [7],[8].

This research presents a comprehensive study of the performance of N-MOS and P-MOS transistors, taking into account variations that occur during manufacturing processes, using Silvaco software and TCAD technology. Study impact of LDD – Lightly Doped Drain functions to mitigate short channel effects in MOSFETs. To reduce high electrical fields at the gate edge, which cause Hot Carrier Injection (HCI) damage to the silicon gate or gate oxide Increased electrical leakage and PLDD – P-type Lightly Doped Drain same function as LDD, but these are light P-grafted regions located before the primary Source/Drain implant (P++). DIBL (Drain-Induced Barrier Lowering) effect for different value of Vd for both transistors.

II. LITERATURE REVIEW

According to [5] simulated the fabrication process of a 65nm N-MOS transistor using Silvaco TACAD. The simulation results showed that short-channel effects, such as penetration, subthreshold current, substrate current, and gate current, increase with smaller device size. According to [9] added a specific graphene material to the Silvaco software and fabricated it using existing material parameters that closely resemble those of graphene. They concluded that a graphene channel field transistor (FET) could be an ideal replacement for conventional silicon MOSFET with a small channel length and could be used in high speed, low power application. In [3] design and simulation of a100 nm n-type MOSFET transistor using SILVACO ATLAS software.

Through this study, design and simulation at the nanoscale is extremely useful in the electronics industry to ascertain whether all requirements are acceptable for the sustainable design of integrated circuits before moving on to their successful implementation on a large scale. According to [10] simulated the structure of a 100 nm n-type MOSFET transistor at the device level through mathematical verification using Silvaco-TCAD software. The operating mechanisms of various MOS devices were analyzed and verified. According to [11] used machine learning to model MOSFET devices. They found that machine learning can be used to accurately estimate the transient characteristic curve of a MOSFET transistor using a Keras-type neural network based on geometric data.

III. MATHEMATIC ANALYSIS

MOSFET structure is manufactured by depositing or growing a dielectric layer, often made of silicon dioxide on top of a semiconductor substrate. The gate and semiconductor function as the electrodes in this configuration, which is comparable to a planar capacitor with a dielectric between them. When a voltage is applied to the gate the, electric field influences the charge distribution within the semiconductor [12], [13]. A robust conduction channel forms beneath the gate of a MOSFET transistor when the gate voltage rises above the threshold voltage. The characteristics of the MOSFET material mostly determine the threshold voltage. The resulting channel, which stretches between the source and the drain at low drain voltages, contain holes in a P-MOS transistor and electrons in an N-MOS transistor. In an N-MOS transistor, the source and drain are doped with n+ electrodes and a p-type substrate, while in a P-MOS transistor, the source and drain are p+ electrodes with an n-type substrate, which is often connected to the source [14], [15].

The gate electrode is then created by depositing a layer of metal or polycrystalline silicon over the dielectric. When a channel forms and there is a potential difference between the source and drain, current can flow between them. Depending on the gate, source, and drain voltage values, a MOSFET transistor's behavior can be classified into three operating regions: the cutoff region, the linear region, and the saturation area. When studying an N-MOS transistor with source and substrate grounding, the transistor is in the cutoff region when the gate-source voltage is less than the threshold voltage, where the current between the source and the drain is ideally zero, with the possibility of a sub-threshold current appearing as a result of the transfer of some high-energy carriers [16], [17]. The subthreshold current can be given as:

$$I_d \approx I_{D0} \exp\left((V_{GS} - V_T)/n\left(\frac{kT}{q}\right)\right) \quad (1)$$

Where:

I_d is the drain current.

I_{D0} is the drain current when VGS=VT.

k is the Boltzmann constant.

T is the Kelvin temperature

q is the electronic charge.

on the channel potential under the condition that n > 1. n represents the tilt factor of the transistor governed by the control of gate voltage.

N-MOS transistor in the linear region acts as a resistor when VGS>VT and VDS<VGS −VT. In this operational region the drain current ID is as follows:

$$I_D = \left(\frac{\mu_n C_{ox} W}{L}\right)\left((V_{GS} - V_T)V_{DS} - \frac{1}{2}V_{DS}^2\right) \quad (2)$$

Where:

μ_n is the electron mobility in the channel.

C_{ox} the capacitance of oxide per unit area.

W is the gate's width.

L is the gate's length.

The oxide capacitance per unit area C_{ox} can be expressed as follows:

$$C_{ox} = \frac{\varepsilon_{ox}}{t_{ox}} \tag{3}$$

Where:

ε_{ox} is the dielectric constant of the gate dielectric.

t_{ox} is the thickness of the gate dielectric.

The channel is pinched off from the drain side and the N-MOS is considered to be operating in the saturation region when VGS> VT and VDS ≥ (VGS −VT). The saturation region's drain current can be expressed as follows:

$$I_D = \frac{\mu_n C_{ox} W}{2L}(V_{GS} - V_T)^2 \tag{4}$$

The N-MOS function as a perfect current source in the saturation region and is independent of the drain voltage, as demonstrated by the equation above. However, a phenomenon known as channel length modulation causes the drain voltage to alter the channel's effective length. The drain current is dependent on the drain voltage when channel length modulation is included, and it may be expressed as:

$$I_D = \frac{\mu_n C_{ox} W}{2L}(V_{GS} - V_T)^2 (1+\lambda V_{DS}) \tag{5}$$

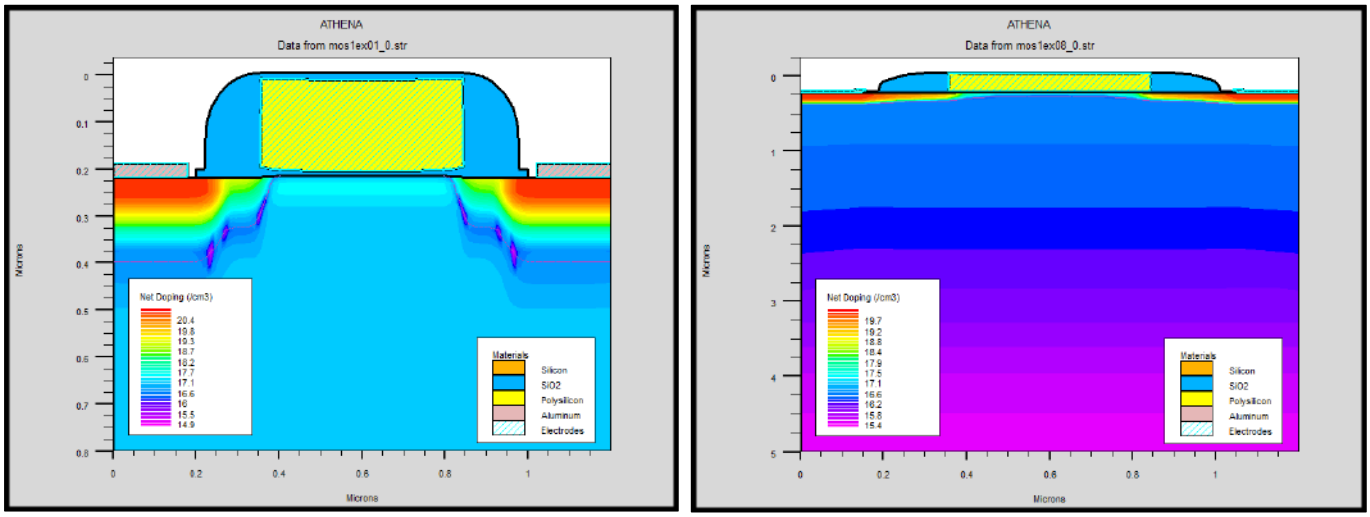
Where λ is the modulation parameter for channel length.

Is typically λ is proportional to the inverse of the channel length. The behavior of a P-MOS transistor are similar to the N-MOS where the source and substrate terminals are connected to the supply voltage except that the polarity of all the voltages and current reverse in the P-MOS, also the drain current in P-MOS primarily depends on the mobility of holes in the channel rather than the mobility of electrons [17-21].

IV. PRACTICAL SIMULATION AND RESULTS

Figure (1-a) shows the device structure for N-MOS transistor, which consists of; silicon layer at a bottom, P-well: Boron implanted under the channel and a thin layer of silicon dioxide (SiO2) was deposited as a boundary of the polysilicon gate. The source/drain (N++) zones and LDD zone between the channel and drain/source have Aluminum-metal contacts.

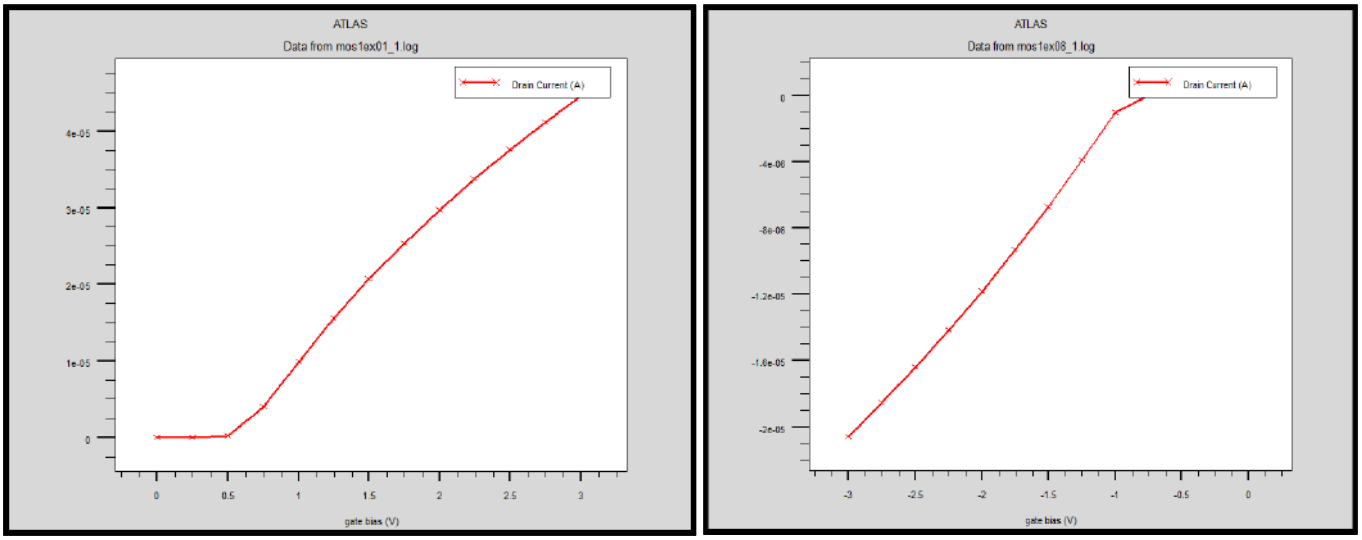
As shown in Figure(1-b) device-structure of P-MOS transistor, which consists of; silicon substrate, N-well: phosphorescently implanted to form the base of P-MOS channel, thin oxide layer between the gate and channel, and a Poly-silicon gate for the current control. PLDD/P++ source/ drain regions have a high impedance. Also, there is a spacer oxide layer used to isolate the gate from the field distribution and limit the LDD. Aluminum contacts used for electrical connection of the source/drain/gate.



(a) (b)

Figure 1: device structure for MOSFET (a): N-MOS (b): P-MOS.
Source: Authors, (2026).

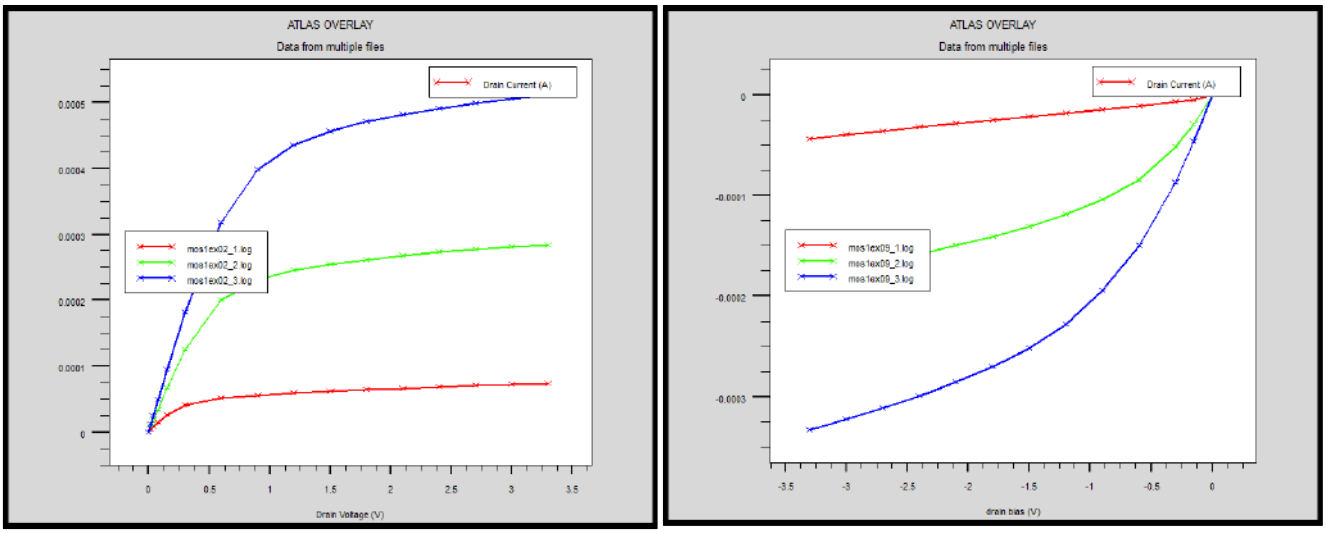
Figure (2-a) shows Id – Vg characteristics for N-MOS transistor, from the curve its observed that the current before Vt= 0.5V is very low almost zero, while this current increases linearly after the same Vt. Figure (2-b) shows the relation between Id and Vg for P-MOS transistor. From the curve, it is observed that the current starts from zero at Vg= 0V, and increases linearly at Vt= -0.5V, then reaches a very low value (-2*10-5 A) at Vg= -3V.



(a) (b)

Figure 2: Drain current vs. gate voltage (a): N-MOS (b): P-MOS.
Source: Authors, (2026).

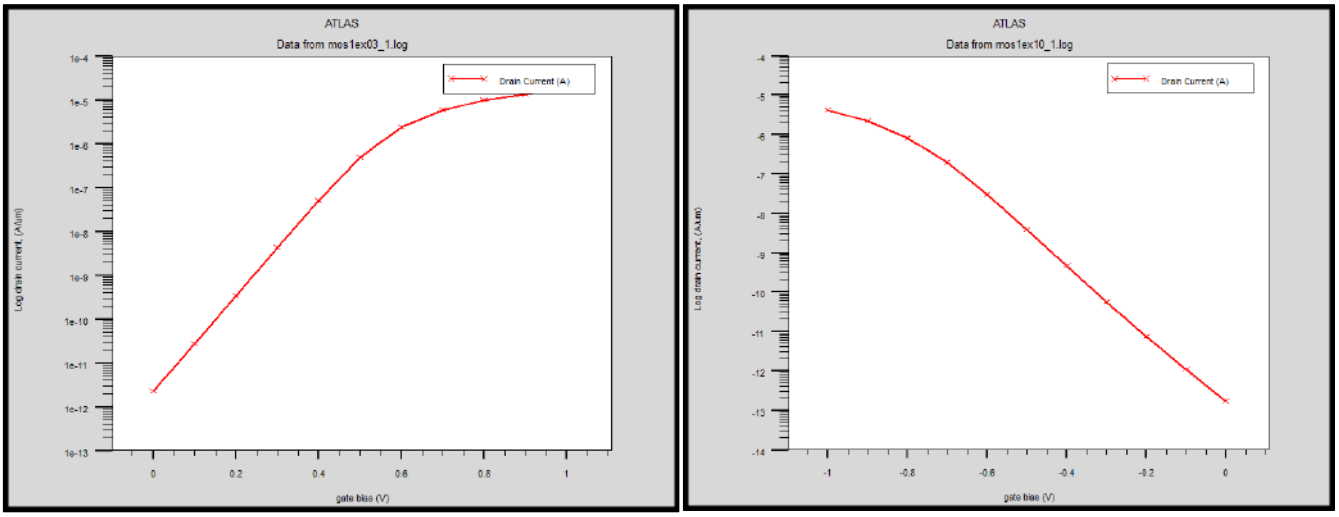
As shown in Figure (3-a) the Id vs. Vd properties for three values of Vg (1.1, 2.2, 3.3) V. It is observed that drain current (Id) grew linearly with expanding gate voltage (Vg) until it reaches saturation region at multi-values of Vd. The maximum current obtained is 0.515 mA at Vd= 3.35 V. Figure (3-b) shows the relation between Id and Vd for different values of Vg (-1.1, -2.2, and -3.3) V. It is observed that the current grew linearly with expanding gate voltage until it reaches saturation region. The highest current obtained is -0.335 mA at Vd= -3.35 V.



(a) (b)

Figure 3: Id vs. Vd properties for varies Vg values. (a): N-MOS (b): P-MOS.
Source: Authors, (2026).

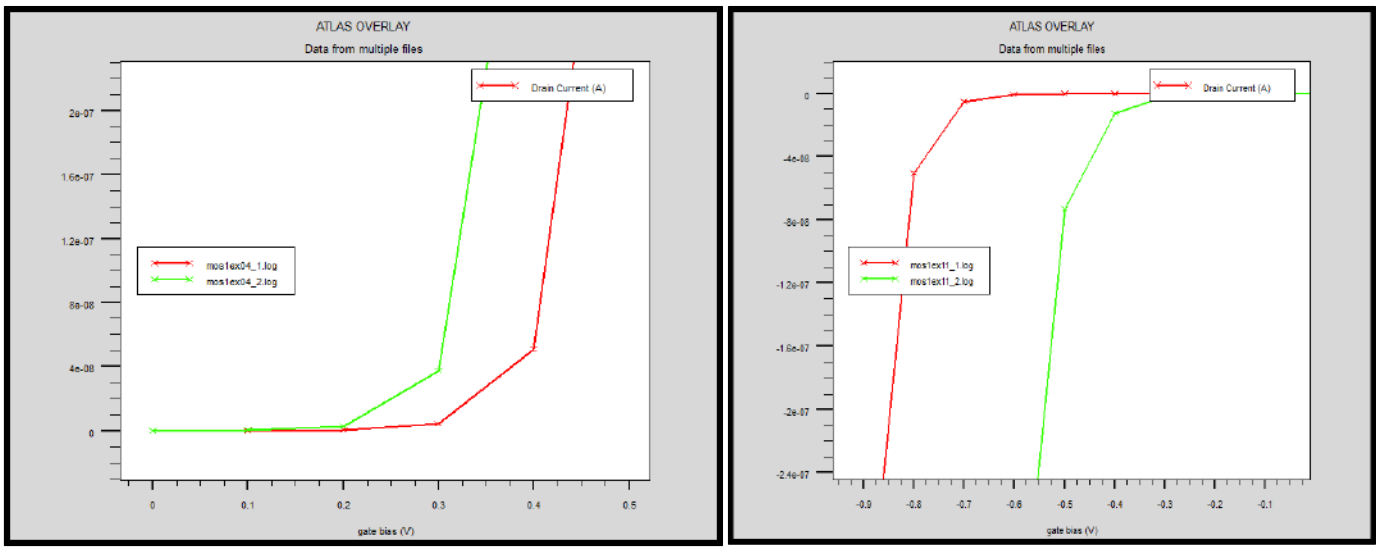
Figure (4-a) shows Id with Vg properties in the subthreshold region for N-MOS transistor. It is observed that the current exponentially proportional with Vg until reaches the subthreshold region at approximately Vg= 0.6V. Figure (4-b) shows the relation between Id and Vg in the subthreshold region for P-MOS. At Vg= 0V, the current reaches a maximum value (-12.95 A/µm). When the gate voltage is increased negatively, the current flows until it reaches a subthreshold region at Vg= -0.8V.



(a) (b)

Figure 4: Id–Vg characteristics for the subthreshold region. (a): N-MOS (b): P-MOS.
Source: Authors, (2026).

Figure (5a) shows Id verses Vg characteristics with different values of Vd for N-MOS. The red curve shows that Vt is 0.1V at Vd = 0.1V, while the green curve shows that Vt starts from 0V at Vd = 3V. It is observed that Vt reduced with increasing Vd at the same values of Id, due to DIBL. Figure (5b) shows Id Vs. Vg with different values of Vd for P-MOS. The red curve shows the behavior of normal transistor at Vd = - 0.1V, where Vt = -0.6V, while the green curve shows that Vt starts from -0.3V at Vd = -3 V also, with the same values of Id, due to DIBL.



(a) (b)

Figure 5: Id vs.Vg properties with varies values of Vd (a): N-MOS (b): P-MOS.
Source: Authors, (2026).

V. CONCLUSIONS

This is a comprehensive study Performance Valuation of Electrical Characteristics for N-MOS and P-MOS using silvaco software. The simulation of the device structures for N-MOS and P-MOS were performed. The Id vs. Vd properties for varies values of Vg and Id–Vg characteristics in the subthreshold region were studied for both transistors. Also, Id–Vg characteristics with DIBL curves were investigated for both transistors. It is concluded that N-MOS Relies on electrons as the majority charge carriers, while P-MOS Relies on holes as the main charge carriers, so N-MOS current pass from the drain to the source, while P-MOS Current pass from the source to the drain. Therefore N-MOS transistors characterized by higher performance speed due to their high electron mobility, while P-MOS transistors are easier to integrate and complement the operation of N-MOS. This makes their combination essential for achieving energy efficiency and high performance in modern integrated circuits, as achieved in C-MOS circuits, so C-MOS circuits can be designed as a EEPROM cells.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Zahra R. Mahmood, Amir M. Nory and Omar I. Alsaif.
Methodology: Amir M. Nory and Omar I. Alsaif.
Investigation: Zahra R. Mahmood, Amir M. Nory and Omar I. Alsaif.
Discussion of results: Zahra R. Mahmood, Amir M. Nory and Omar I. Alsaif.
Writing – Original Draft: Omar I. Alsaif.
Writing – Review and Editing: Zahra R. Mahmood and Omar I. Alsaif.
Resources: Zahra R. Mahmood, Amir M. Nory and Omar I. Alsaif.
Supervision: Zahra R. Mahmood, Amir M. Nory and Omar I. Alsaif.
Approval of the final text: Zahra R. Mahmood, Amir M. Nory and Omar I. Alsaif.

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RESEARCH ARTICLE OPEN ACCESS

INVESTIGATING THE POTENTIAL OF QUANTUM INSPIRED MACHINE LEARNING APPROACHES FOR MENTAL HEALTH DETECTION OF YOUNG ADULTS

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ABSTRACT

Medical Health Informatics has envisaged quantum computing as flurry of promising solutions to deal with mental health related issues of young adults in recent times. Even though traditional machine algorithms try to find an amicable solution to healthcare service providers, still the efficient detection and classification of the highly complex patterns that emerges from the healthcare datasets needs further investigations. Quantum machine learning, inspired from the principle from Quantum computing is found to be a transformative alternative in redefining the healthcare applications. In this article, Quantum inspired Support Vector Machines (QISVMs) and Quantum inspired Neural Networks (QINN) as two efficient quantum machine learning approaches are proposed by combining the traditional yet very popular and powerful machine learning algorithms such as Support Vector Machine (SVM) and Artificial Neural Network (ANN) with the power of quantum computing principles. The proposed Quantum inspired machine learning approaches are evaluated with several figure of merit and then, compared with the performance of the traditional algorithms counterpart for analyzing the most complex nature of the healthcare data with proper identification of minute wise data patterns and biomarkers in order to detect the early-stage healthcare issues pertained to a patient. Experimental study shows the efficacy of these quantum machine learning methods in comparison to the existing literature with threats to validity, some hidden challenges, and ethical issues associated with these technological advancements.

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I. INTRODUCTION

Due to the present life style changes in the society, there are several critical healthcare issues predominating in health of young adults in particular. These healthcare issues pose challenges before the healthcare activists to develop innovative and sustainable artificial intelligence solutions for a better diagnosis, suggest best possible treatment and effective patients' data management with highest precision levels [1]. The existing machine learning approaches find difficulty in dealing with such a high dimensional and complex healthcare datasets, and hence demand for a quantum computing based machine learning approach to solve the issues.

Quantum machine learning with its unique characteristics from quantum mechanics proves to be beneficial in handling such challenging situations in a very short span of time, so that early disease detection, personalized medicine, and efficient drug discovery can be possible as a part of future healthcare system [2]. For instance, recently Accenture Labs , India in collaboration with 1Qbit has started their R&D initiatives with Biogen to apply quantum computing to accelerate drug discovery and QpiAI India Pvt Limited, a Bangalore, India based company developed its first commercial quantum computer that might be used by the Physicians globally as a perfect match for the development of new drugs to save millions of lives that are lost due to drug-resistant bacteria every year.

With the rapid growth of deep learning and quantum computing taking the shape, the limitations of the machine learning model due to vanishing gradient problems, trapped into a local minimum, learning inefficiencies in hyperparameter tuning along with extraction and detection of critical information are successfully redressed to a great extent [3],[4]. Looking into the recent developments of the quantum machine learning approaches, this section introduces some fundamental concepts of quantum computing, quantum machine learning with their challenges is discussed.

I.1 QUANTUM COMPUTING

Quantum computing is considered to be a paradigm shift from classical computation by taking the advantages of quantum mechanics principles including superposition, entanglement, and quantum interference. While classical computation uses any one of the possible states (0 or 1) as classical bits (or cbits), quantum computing uses quantum bits (qubits) as a superposition of both the states simultaneously [5]. This way, quantum computing through its intrinsic parallel qubit operations on a state space of bigger magnitude offers advantages over the classical ones and found suitable in solving the complex intractable problems [6]. Initially, quantum computation is coined through the Hilbert transforms, where the qubits are represented as vectors and their operations are carried out by using unitary transformations [7].

Quantum gates are then used to operate on these states logically, so that Grover's search algorithm and Shor's integer factorization algorithm can be efficiently implemented on them to provide quantum speedup over their counterparts [8]. In quantum computation, a single qubit can be represented in either mathematically, geometrically, vector form and/or physically, the definitions are as given below. Mathematically, a single qubit is a two-level quantum system, and considered to be a superposition of two basis states: $|0\rangle$ and $|1\rangle$. However, generally a qubit state $|\psi\rangle$can be written as a linear combination (superposition) of these above two basis states [9], as shown in eq. (1):

$$|\psi\rangle = \alpha|0\rangle + \beta|1\rangle \tag{1}$$

where:

- $\alpha$and $\beta$are complex probabilities of observing $|0\rangle$ and $|1\rangle$ from the qubit,
- $|\alpha|^2$= probability of measuring the qubit in state $|0\rangle$
- $|\beta|^2$= probability of measuring it in state $|1\rangle$
- The normalization condition ensures total probability equals to 1: $|\alpha|^2 + |\beta|^2 = 1$
- Thus, the qubit's state is a unit vector in a 2-dimensional Hilbert space $\mathbb{C}^2$.

Secondly, a single qubit can also be represented geometrically using polar coordinates through Bloch Sphere Representation [10]. Since global phase (a common multiplier$e^{i\gamma}$) has no effect on measurement outcomes, a single qubit can also be represented using two real parameters, $\theta$and ϕ, as per eq. (2):

$$|\psi\rangle = \cos(\tfrac{\theta}{2})|0\rangle + e^{i\phi}\sin(\tfrac{\theta}{2})|1\rangle \tag{2}$$

where:

- $\theta \in [0, \pi] \rightarrow$ polar angle
- $\phi \in [0, 2\pi) \rightarrow$ azimuthal angle

These representations map a single qubit on the surface of a 3-D unit sphere, called as Bloch sphere, a unit sphere in 3D space for a geometric visualization of qubit states. This can also be visualized through a labelled diagram of the Bloch sphere showing how a single qubit is represented (with |0⟩, |1⟩, |+⟩, |–⟩ states, and angles θ, φ), as shown in Figure 1.

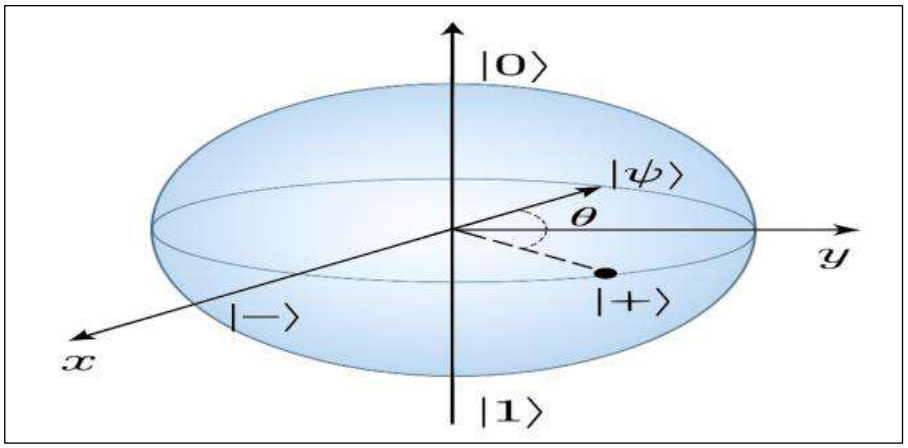


Figure 1: A labelled diagram of the Bloch sphere showing the representation of a single qubit.
Source: Authors, (2026).

Next, a single qubit can further be represented in matrix and vector form [11] as shown in eq. (3) and eq. (4) below:

$$\text{In matrix (column vector) notation: } |0\rangle = \begin{bmatrix}1\\0\end{bmatrix}, \quad |1\rangle = \begin{bmatrix}0\\1\end{bmatrix} \tag{3}$$

$$\text{Hence, in general, } |\psi\rangle = \begin{bmatrix}\alpha\\ \beta\end{bmatrix}, \text{with } |\alpha|^2 + |\beta|^2 = 1 \quad (4)$$

Finally, a single qubit can physically be encoded with the following details: (i) For Photon polarization → horizontal = $|0\rangle$, vertical = $|1\rangle$; (ii) In case of Electron spin → spin-up = $|0\rangle$, spin-down = $|1\rangle$; (iii) Superconducting circuits' → current circulating clockwise vs. counterclockwise; and (iv) Ion traps or quantum dots → ground and excited energy states. Through physical realization of a single qubit, one can find pathways to implement a quantum two-level system applied in a real-world physical device with highest storage reliability, can effectively manipulate, and obtain the quantum information associated with it. At the same time, a multi-qubit quantum system comprises of two or more qubits, is represented as the tensor product (or Kronecker product) of n single qubits. For n=2, the multi-qubit quantum system is referred to as a two- qubit quantum system. In this, Quantum entanglement [12] is one of the non-classical features of quantum mechanics, where a correlation between different qubits in this system is described even though the qubits are far away from each other. Further, entanglement violates Bell's inequalities by finding non-local correlations between two-qubits the explanations of which is difficult in case of classical probability computing [12]. In quantum entanglement, observation of the first qubit directly determines that of the second qubit which are then controlled by quantum gates in a quantum circuit to perform a quantum computation.

In quantum computing, quantum gates are unitary operators that manipulate the state of qubits according to the principles of quantum physics and unlike classical computing, they are reversible that allow to act on superpositions and can create entanglement with $U^{\dagger}U = I$, where U is a unary operator. Further, a quantum gate that acts on m-qubits or a register, is usually represented by $2^m x 2^m$ unitary matrix and a set of all such quantum gates with the group matrix multiplication is called as a unitary quantum group with $U(2^m)$. It is to be noted that in gate-based quantum computing, even though a sequence of unitary operators with either a single- and two-qubit are applied on a set of qubits, but sometimes there may not have any direct interaction between qubits while applying on a two-qubit gate [13]. Next, a one-qubit quantum gate is defined to transform a Bloch vector to another by rotating the Bloch vector. So, any one-qubit quantum gate is represented as rotation or a combination of rotations. These rotations may be further expressed as a combination of RX Gate, RY Gate and RZ Gate, which are necessary enough to perform every quantum computation [14]. However, parameter free gates along with three rotation gates are not only necessary but also considered to be sufficient, for efficient implementations of all possible quantum gates. Following are the representations of the three quantum gates that are more commonly used [9]. The RX Gate is a single-qubit rotation through angle θ (radians) around the x-axis and the angle of rotation must be specified in radians which can either be positive or negative, which is represented in eq. (5).

$$R_x(\theta) = \begin{bmatrix}\cos(\frac{\theta}{2}) & -i\sin(\frac{\theta}{2})\\ -i\sin(\frac{\theta}{2}) & \cos(\frac{\theta}{2})\end{bmatrix} \quad (5)$$

Similarly, The RY Gate is a single-qubit rotation through angle θ (radians) around the y-axis and can be represented as shown in eq. (6) below.

$$R_y(\theta) = \begin{bmatrix}\cos(\frac{\theta}{2}) & -\sin(\frac{\theta}{2})\\ \sin(\frac{\theta}{2}) & \cos(\frac{\theta}{2})\end{bmatrix} \quad (6)$$

Finally, RZ Gate is a single-qubit rotation through angle θ (radians) around the z-axis and can be represented as shown in eq. (7).

$$R_z(\theta) = \begin{bmatrix}e^{-i\frac{\theta}{2}} & 0\\ 0 & e^{i\frac{\theta}{2}}\end{bmatrix} \quad (7)$$

In addition to these basic quantum gates, CX (Controlled-X) or CNOT gates are also considered to be one of the most essential gates for quantum computation. It is observed that any controlled gate can be realized by a combination of CX gates and one-qubit gates including X. The circuit symbol for CX gate is shown in Figure 2.

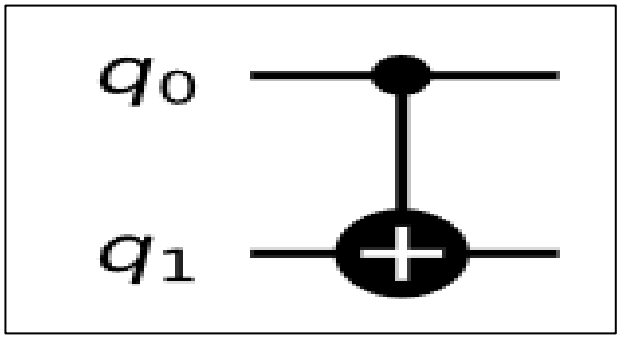


Figure 2: Circuit representation of a controlled gate CX.
Source: Authors, (2026).

Here, CX gate or CNOT gate performs the NOT operation (equivalent to applying an X gate) on the second qubit only when the first qubit is $|1\rangle$ and otherwise leaves it unchanged. Also, while applying the CNOT gate on the state $|00\rangle$, we get output state as $|00\rangle$ as CNOT does the inversion of the input state applied to it.

Similarly, CNOT|00⟩=|00⟩, CNOT|01⟩=|01⟩, CNOT|10⟩=|11⟩, CNOT|11⟩=|10⟩, where {|0⟩= (10), |1⟩ = (01)} denotes the computational representations. In this, first qubit is considered as the controlled qubit, whereas the second qubit is the target qubit. As can be seen from Figure 2, if the first (Controlled) qubit is in the state |1⟩, then apply the X (NOT) gate to obtain the second (Target) qubit, otherwise to leave it as unchanged [15].

I.2 QUANTUM MACHINE LEARNING

Machine learning and artificial intelligence has become a household term now-a-days for its usefulness in transforming our lives in this ever-growing digital world. The tech giants including Amazon, Google, Netflix, Facebook, Apple, OpenAI, etc. to name a few, use machine learning and Generative AI techniques as the core idea with an aim to benefit heavily from the wide range of applications with a shortest possible time. However, due to global digitization, the size of the datasets has increased in order of zettabytes (of the order of 10^{21}) [16], which creates a bottleneck situation for the classical computers with the traditional machine learning algorithms for efficient processing, hence the whole world is now looking at the quantum computers and quantum computing methodologies to provide an amicable solution in near future. This requirement has motivated researchers to explore further possibilities in terms of quantum machine learning to deal with such huge and complex datasets in ease through quantum random access memory [17] and quantum artificial intelligence. Future quantum computers and a quantum internet need these quantum memories (or random-access quantum memories) to store and retrieve qubits. Despite several approaches existing to encode qubits and to implement quantum memories, no single "gold standard" has yet emerged till date [18].

I.3 COMPUTATIONAL COMPLEXITY IN CLASSICAL AND QUANTUM MACHINE LEARNING

The following presents a bird eye view on the complexities of both classical machine learning (CML) and quantum machine learning is provided, to further enhance our intentions why to go for quantum computing for recent applications of machine learning.
As our proposed research is based on how to deal with large datasets based on quantum machine learning (QML), it is imperative to understand how these algorithms perform in terms of scalability and practical feasibility. To achieve this, computational complexity (both in time and space) comparison among these machine learning algorithms whether classical or quantum based, considered as a primary tool for evaluating their potential advantages or pit falls. The quantum advantage with reference to a popular classical Grover's algorithm, in which the classical machine learning algorithm has time complexities of O(n) for n-inputs whereas the same algorithm can be executed through quantum machine learning with O(sqrt(n)), presents a significantly faster algorithm which is very interesting. It is also coined by the researchers that quantum machine learning can achieve faster solution to solve the linear algebra problems in comparison its classical counterpart, which are later popularly known as HHH (Harrow–Hassidim–Lloyd) algorithm [19]. A comparison between CML and QML is presented in Table 1.

Table 1: Comparison of Complexity in Classical and Quantum Machine Learning.

Criteria	**CML**	**QML**
Parallelism	limited	Inherent due to superposition
Processing speed	Largely depends upon available resources	Exponential for linear systems through HHH algorithms
Scalability	Challenging for extensive computations	Highly scalable
Complexity Classes	4 types: P (Polynomial Time); NP (Non-deterministic Polynomial Time); NP-hard and NP-Complete	BQP (Bounded-error Quantum Polynomial time), where
Algorithms	Conventional ML algorithms like: Neural Network, Support Vector Machines, Decision trees	Quantum SVM, Quantum NN, Quantum Deep Neural Network
Complexity	1. for SVM- Complexity range from $O(n^2d)$ to $O(n^3d)$ depending on the implementation and support vector kernel, where n is the number of data points and d is the dimensions of the data. 2. for Artificial Neural Networks- Complexity varies depending on the network architecture. For dense networks, one iteration might scale up to $O(n \cdot \|Weights\|)$. Hence, computational complexity largely depends on ANN architecture, dataset size, and number of iterations.	1. For QSVM- the complexity is $O(\log(nd))$, which achieve near-logarithmic complexity with respect to both the dimensionality of feature vectors 'n' (qubit number) and 'd" the size of the training dataset (dataset size). 2. For QNN- Computational complexity is expensive due to long training times and can range from $O(n^2)$ to $O(\log(n))$, where n represents the number of elements (e.g., neurons, data points, or parameters)

Source: Authors, (2026).

Apart from all the above, Time and Space Complexity in QML are affected by Qubit count (width), Gate depth (circuit time), Measurement repetitions (shots), and Deep circuits which when applied on a large dataset may lead to exponential scaling. Further, QML complexity may be understood from the type of quantum circuits used. For example, in case of swallow quantum circuits, it is easier to execute, but has limited expressivity and on the other hand, for deeper ones, it has more expressive power but prone to noise. Hence, a trade-off is suggested in this case. The complexity analysis of QML and CML provides us a understanding for future development in algorithms, circuits, and hardware that may be customized for a practicable and yet a powerful quantum machine learning system. The remainder of the paper is organized as follows.

To efficiently perform the mental health prediction of young adults using quantum machine approaches, related work that are presently available in literature is presented in Section 2, followed by the technical knowhow of the proposed quantum machine learning such as QSVM and QNN are discussed in Section 3. Next, understandings of the mental health dataset with its descriptive analytics are presented in Section 4. In Section 5, investigation on the effectiveness of the proposed quantum machine approaches is performed through an experimental setup, and then, the obtained simulations result with discussions are reported in Section 6 with threats to validity. Finally, we summarize the proposed work in Section 7.

II. THEORETICAL REFERENCE

According to [20] presented some quantum machine learning algorithms for classification tasks by applying on several biomedical datasets and then compare their performances with conventional ones in terms of different performance matrix. They concluded that Pegasos Quantum Support Vector Classifier is best among the quantum classifiers but upto 10% lesser accuracy than that of conventional classifiers, needs more research for further explorations. In [21] proposes an Quantum neural network model with incremental qubit numbers after the dataset undergone pre-processing through z-score normalization and features extraction by using information gain method. They compared the performance of Quantum neural network model in terms of accuracy and computational time with several deep learning and quantum machine learning models including Bi-LSTM, QCNN, DNN and RNN etc. with a learning rate of 0.7 and reported their effectiveness.

According to [22] provided an intial study of Quantum inspired quantum orthogonal neural network technique for medical image classification and showed its effectiveness through software simulations and hardware demonstartions in terms of scalability and computational time. They observed that their approach has several limitations in terms currently available hardware and at the same time opines that using future quantum computers with GPU capabilities along with potential Hilbert spaces can solve these limitations. However, the practicability of such a parametrized quantum circuits with large Hilbert spaces is still considered to be an open challenge in this area of research and envisaged to be solved in near future as the newer version of specialized hardware evolves.

According to [23] developed a quantum machine learning model by combining the strengths of contrastive and transfer learning with quantum mechanics and applied to mental health monitoring and diagnosis. Considering the challenging charactristics of the large scale mental health dataset and limitations in computing environment, they used QASM simulator with 8 qubits for their experiments and suggested to use more qubits and a real quantum device in future to further increase the performance if practically possible. According to [24] used both classical neural network model and quantum machine learning model on EEG signals to detect human drowsiness after performing pre-processing tasks. They explored the performance of the three layers quantum based classifier by using different quantum circuit architectures with rotation and entanglement Gates and suggests for improvements.

Iin [25] introduces a hybrid quantum support vector machine by combining the power of quantum computing with Support vector machine for stress detection in older adults. They used wearable sensor and stressed sensor to obtain the normal and anomaly data respectively, from 40 old adults. Kernel based pre-processing is used to extract the complex features from the above collected data and used TSST protocol for understanding the usefulness of the approach in terms of high accuracy and recall values, which helps in early diagnostic or treatment of the high stress of the old adults on time and saves life. According to [26] initially presented a summary of powerful features of quantum machine learning and then discusses how the technology revolutionizes today's healthcare sector in achieving better personalized treatment and precision healthcare.

While implementing the quantum machine learning algorithms in genomic data analysis, they suggested developing more formal optimization methods with low resource usage in terms of number rotations Gates and size of the qubits, to practically make it feasible to develop an efficient precision medicine approach in days to come. In [27] pointed the drawbacks of the classical machine learning approaches in dealing with large psychiatric dataset for early detection and prediction of schizophrenia disease. They provided an insightful discussion on the suitability of these quantum machine learning methods with proper selection of performance measures and their validation, for disease detection and diagnosis at an early stage.

For [28] presented a review on basic concepts of quantum computing and its integration with traditional machine learning methods, its potential application areas and drawbacks, for a clear understanding. They concludes by outlining the future of quantum-inspired machine learning in solving clinical diagnostics and personalized treatments. According to [29] advocates for quantum computing for its capability to process the big data in terms of both speed and time, when applied to identify the disease specific bio-markers, especially for neurodegenerative and psychiatric diseases. It further explore its possibilities in clinical research, hospital management , resource allocation and most importantly patient's health monitoring with potential ethical issues being addressed. According to [30] surveyed five quantum enhanced machine learning algorithm by hybridizing the traditional support vector machine, neural network, *k*-nearest neighbour, principal component analysis and *k*-Means clustering algorithm with quantum mechanics.

They presented a discussion on how these methods can be successfully applied on drug discovery, image processing and cyber security applications with inherent limitations in design hardware circuits, data encoding, and noise. In [31] discusses about the challenges prevailing in Parkinson's disease, the fastest-growing neurodegenerative disorder globally and the need for a sustainable method for early detection to save the patients' life. They used mPower dataset with four key bio-markers, used random forest method as a feature selection algorithm and then quantum support vector machine for classification and prediction of the disease efficiently. With an overall accuracy of 90%, they concluded that a practically achievable and simulation based quantum machine learning model on a standard hardware configuration is better than resource intensive quantum computers, which needs further research.

For [32] carried out a 10 years of extensive research starting from 2015 to 2024, by including published studies available several databases including PubMed, Embase, IEEE, Scopus and Preprint servers related to application of quantum machine learning in digital health care. Their studies reveal that there are no clear-cut trends to differentiate or support empirical quantum utility in digital medicine and health service delivery. This encourages further research in this area, to unveil the full potential of quantum machine learning models.

In this paper, the main objectives are to use two Quantum Inspired Machine Learning approaches including QNN (Quantum inspired Neural network) and QSVM (Quantum inspired Support Vector Machine) models considering their possible implementation on real quantum circuits, with an aim to address the challenges that are being faced while implementing through traditional approached in mental health application in young adults in todays scenario.

The key contributions of our work include: (1) An approach to quantum embedded encoding (angle embedding and encoding) is proposed which can transform the classical features to qubits and then generate shallow quantum circuits. The motivation of using this is to reduce the complexity of the quantum encoding block compared to the existing methods; and (2) An efficient and faster quantum inspired machine learning algorithm model is developed by hybridizing quantum processing with the classical neural network and SVM model. The proposed QINN and QISVM models are realized based on the fundamental quantum gates on a quantum circuit and effectiveness are validated with several figure of merit metrics.

The remainder of this paper is organized as follows: Section 3 introduces the preliminaries with materials and methods used. The Experimental design using QNN and QSVM algorithms along with the analysis of obtained results are presented in Section 4. Finally, Section 5 concludes this paper.

III. MATERIALS AND METHODS

In this section, we introduce the details about the mental health dataset used for our experiments followed by some preliminary knowledge of quantum computing and quantum machine learning models.

III.1. MENTAL HEALTH DISORDER DATASET

The mental health disorder dataset collected freely from openml (Scikit-Learn) database, comprises electronic health records from 10,000 patients diagnosed over the past ten years with either an affective disorder (encoded as 0) or schizophrenia (encoded as 1). It includes demographic variables such as sex and race, psychosocial characteristics, and clinical assessment data related to psychiatric symptoms. A binary classification model has been developed to predict diagnostic outcomes based on patient intake information. This predictive model is intended to support clinical triage by assigning patients to the appropriate treatment pathway either for affective disorders or schizophrenia based on the predicted diagnosis. The objective is to assess the reliability and effectiveness of this model in informing triage decisions within a clinical setting.

III.1.1 Description Of The Dataset:

This case study explores the use of a machine learning (ML) model in a mental health care setting to predict patient diagnoses based on intake data. The aim is to examine how algorithmic bias may emerge, particularly when structural inequities are embedded in training data. Although the scenario is based on a simulated and simplified dataset, it is designed to highlight key concerns related to fairness, bias, and diagnostic equity in healthcare ML applications.

III.1.2 Background And Relevance:

Research has shown that Black patients particularly Black men are diagnosed with schizophrenia at disproportionately higher rates compared to other demographic groups, including white patients [30]. Schizophrenia is a severe psychiatric disorder with a chronic course, characterized by both positive symptoms (e.g., hallucinations, delusions) and negative symptoms (e.g., lack of motivation, flat affect). Misdiagnosis of schizophrenia instead of affective disorders such as depression may result in significant clinical and ethical concerns, including delayed or inappropriate treatment, greater stigma, more severe side effects from antipsychotic medications, and reduced trust in the healthcare system. This disparity in diagnosis [31] is likely multifactorial, involving both biological and social determinants. However, diagnostic bias where clinicians may overemphasize psychotic features in Black patients and under-recognize depressive symptoms has been identified as a key contributor. These issues reflect the broader concept of labelling bias, where outcome labels in clinical datasets may themselves encode structural inequities, inadvertently perpetuating disparities when used to train ML models [32].

III.1.3 Reference Case: Algorithmic Fairness In Healthcare

To contextualize the potential risks of biased ML deployment in healthcare, the study by [33] is referenced. In their evaluation of a risk stratification algorithm used by insurance providers for approximately 50,000 patients, the algorithm systematically underestimated the disease severity of Black patients. This occurred primarily because the algorithm used total healthcare expenditure as a proxy for illness severity a flawed assumption given the socioeconomic disparities that affect healthcare access and spending. The study in [34] illustrates how proxy variables and a lack of intersectional analysis can result in substantial fairness harms.

III.1.4 Hypothetical Scenario

A simulated dataset has been constructed to replicate the type of bias highlighted above. This dataset contains electronic health records for 10,000 patients diagnosed at Health System A over the past ten years with either an affective disorder (labelled as 0) or schizophrenia (labelled as 1). Features include demographic variables (sex and race), psychosocial factors, and symptom-related data from clinical assessments.A binary classification model has been developed using this data. Its purpose is to assign a diagnosis to new patients based on intake information, thereby directing them to the appropriate treatment pathway without further clinical evaluation. The hospital administration, motivated by cost-reduction strategies, intends to rely solely on this automated system for triage and treatment decisions. To support the model's deployment, executives have commissioned a performance evaluation using a test dataset of 1,000 patients. They report high sensitivity and specificity, suggesting the classifier performs well overall.

However, external stakeholders have raised concerns about potential bias and disproportionate harms, particularly toward subpopulations defined by intersecting axes of race and gender. To address these concerns, an independent audit of the classifiers performance and fairness implications has been requested. The evaluation must consider not only aggregate metrics but also subgroup level performance disparities, with attention to potential intersectional bias. This analysis is essential before any deployment of the model in clinical practice, especially given the risks of misdiagnosis and its downstream effects.

III.2. QUANTUM INSPIRED MACHINE LEARNING (QIML)

Quantum inspired machine learning (QIML) can be developed either when both data and methods are in quantum form or else only model is quantum but the dataset is in traditional form. When the data is in traditional format, then it is first transformed into its corresponding quantum format by using a parameterised circuit called quantum feature map. Here, Z feature map is used as a quantum feature for data encoding through a series of operations for this data transformation.

In this case, entanglement is absent, as there are no interaction amongst the features' of the dataset present while using Z feature map. In the next step, dimensionality reduction is performed in order to reduce the number of quantum features for efficient implementation, hence reduces the computational complexity, presents clarity on feature importance and produces a faster implementation. A quantum kernel may be used as a pre-processing algorithm in case of quantum inspired support vector machine model (QISVM). While using a quantum inspired neural network (QINN), parameterized operation includes entanglement along with parameter optimization method (per say ADAM optimiser) for significantly improvement in the overall performance and effectiveness of the model.

III.2.1. Quantum Inspired Support Vector Machines (QISVMS)

The pseudo code of the Quantum Inspired Support Vector Machines (QISVMs) is presented in Figure 3.

Pseudo Code for QISVM

Input: Training dataset $D = \{(x_1, y_1), ..., (x_i, y_i)\}$, *where* $x_i \in R^d$ *and* $y_i \in \{+1, -1\}$

Output: Quantum Inspired SVM model

1. Encode classical data into quantum states:

For each x_i *in D:*

$|\psi_i\rangle$ = *Quantum_Feature_Map*(x_i) # *Pauli Feature Maps used*

2. Compute quantum kernel matrix K: #*Quantum kernel using angle embedding fidelity*

For all pairs (i, j):

$K[i][j] = |\langle\psi_i|\psi_j\rangle|^2$

3. Solve the dual optimization problem:

Maximize: $L(\alpha) = \Sigma_i \alpha_i - \frac{1}{2} \Sigma_{ij} \alpha_i \alpha_j y_i y_j K[i][j]$

Subject to: $\Sigma_i \alpha_i y_i = 0$ *and* $0 \leq \alpha_i \leq C$

4. Construct decision function:

$f(x) = \Sigma_i \alpha_i y_i \langle\psi_i|\psi\rangle$, *where* $|\psi\rangle$ = *Quantum_Feature_Map(x)*

5. Predict label:

y_pred = sign(f(x))

Figure 3: Pseudo Code of QISVM.
Source: Authors, (2026).

III.2.2 Detailed Explanation

- **Quantum_Feature_Map(x)**: Encodes classical data into quantum states using parameterized quantum circuits. Pauli Feature Map is used in this research using PennyLane.
- Kernel Matrix: Measures similarity between quantum states. Quantum computers can estimate this efficiently using interference patterns. In this, we used Angle Embedding Fidelity kernel to obtain the complex data relationships that classical kernels might miss.
- **Optimization**: Solved classically using quadratic programming, but the kernel is computed via quantum means.
- **Prediction**: Uses the trained support vectors and quantum kernel to classify test data.

Based on the pseudo-code, the workflow of QISVM is presented in Figure 4.

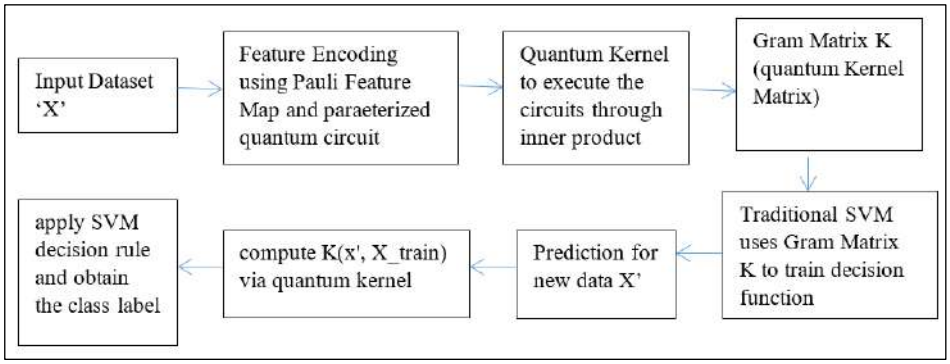


Figure 4: Workflow of quantum Inspired SVM.
Source: Authors, (2026).

III.2.3 Computational Complexity

A comparison between QISVM and Traditional SVM is presented for better understanding.

- **Quantum Kernel Estimation**: Scales as $O(D^{4.67}/err^2)$, where D is the number of training samples and err is the error tolerance.
- **Classical SVM**: Typically scales as $O(D^2)$ to $O(D^3)$ depending on the SVM types.
- **Quantum Limitations**: As shot noise is introduced during Quantum measurements, repeated sampling are needed, which may induce more computational complexity.

Even though QISVM is one of the most efficient and stable algorithm, it is best suited for low-dimensional circuits having less number of features or qubits. For high dimensional datasets, some kind of feature reduction techniques might be handy to deal the situation effectively.

III.2.4. Quantum Inspired Neural Network (Qinn)

The pseudo code for Quantum Inspired Neural network (QINN) is presented in Figure 5. Following the Pseudo-code, Figure 6 demonstrates how a basic quantum inspired neural network (QINN) works.

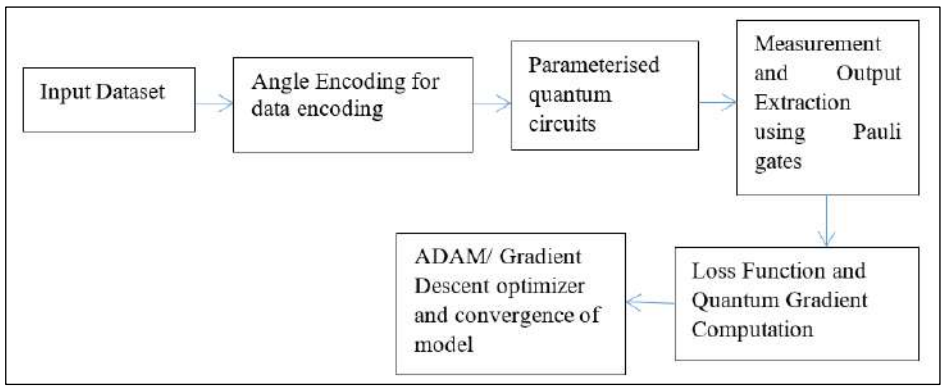


Figure 5: Operational Workflow of QINN.
Source: Authors, (2026).

Initially, the input dataset having classical feature vector is applied for angle encoding where the feature vector x_i is encoded into a quantum state (or qubit state) with an appropriate number of qubits and then the features in the raw data are mapped through the parameterized rotation gates and entangling gates for a given number of layers (i.e. RY(x_i)). The entire network highly resemblance to that of a classical neural network layer, where θ are defined as weights. The mapped qubit state is then applied through Pauli gates to measure the qubit state. The output of the Pauli gate provides the model's prediction, analogous to a neuron's activation value in case of traditional Neural Network. Then the obtained measurements of qubit states are decoded back into the appropriate output data which are finally optimized by using ADAM optimiser. The loop continues till the termination criteria is satisfied. In this case, mean square error (MSE) is used as a loss function and parameter shift is performed by gradient calculation. In quantum inspired neural network, parameter shift through error backpropagation is not possible, hence gradient descent/ADAM optimizer is used to update the parameters. The final trained parameters θ'define the optimized QINN capable of generalizing to new inputs.

III.2.5 Advantages of Quantum Neural Networks

The advantage of using QINN lies its ability (i) to apply successfully in large dimensional feature spaces, (ii) models non-linear dependencies through entanglement (CNOT gates), (iii) its faster convergence due to quantum expressiveness and most importantly less computational overhead in comparison to its traditional counterpart. In spite of its several advantages, it is not away from limitations in terms of (i) quantum gradient vanishing due to its incapability to perform backpropagation and not using any activation function and (ii) near-term device compatibility with a large error rate and a complicated error correction process.

Algorithm: Quantum Inspired Neural Network for Binary Classification

Input:

- *Training dataset* $D = \{(x_i, y_i)\}$, *where* $x_i \in \mathbb{R}^n$ *and* $y_i \in \{0,1\}$
- *Number of qubits q and Quantum circuit depth L*
- *Learning rate η and Number of training epochs E*

Output:

- *Trained quantum parameters* θ^*

1. Initialize Quantum Neural Network parameters θ randomly
2. For each epoch in range(1, E + 1):
3. For each training example (x_i, y_i) in dataset D:
4. # Step 1: Encode classical input into quantum state
5. |ψ_input⟩ = QuantumEncode(x_i) # (e.g., using angle encoding,)
6. # Step 2: Apply parameterized quantum circuit (variational layer)
7. |ψ_output⟩ = U(θ) |ψ_input⟩
 # U(θ) is a sequence of quantum gates parameterized by θ
*# Example: U(θ) = RY(θ1) * RZ(θ2) * CNOT * RY(θ3) * ...*
8. # Step 3: Measure qubits to obtain classical output
9. z_i = Measure(|ψ_output⟩)
 # Measurement collapses the quantum state and gives an expectation value
 # Example: z_i = ⟨ψ_output| Z |ψ_output⟩
10. # Step 4: Compute loss
11. L(θ) = (z_i - y_i)^2 # Mean squared error (MSE) is used
12. # Step 5: Compute gradient using parameter-shift rule
13. ∇θ L = ParameterShift(U(θ), L) # Quantum gradient computed by evaluating circuit at θ+Δ and θ−Δ
14. # Step 6: Update parameters using gradient descent /ADAM
*15. θ = θ - η * ∇θ L*
16. End for
17. End for
18. Return optimized parameters θ'

Figure 6: Pseudo Code for operational procedure of QINN.
Source: Authors, (2026).

IV. EXPERIMENTAL RESULTS AND DISCUSSIONS

IV.1. EXPERIMENTAL SETUP

All the experiments carried out in this paper is performed on an Intel Core i7 machine with 1TB HDD, 8GB RAM, 2.67GHz CPU using Kaggle Notebook in Python environment. PeenyLane is used for developing the quantum machine learning model using Neural network and SVM. The Architectural Flow of Quantum inspired Machine Leaning models for Mental Health Detection is presented in Figure 7. The parameter setting used in this paper is provided in Table 2.

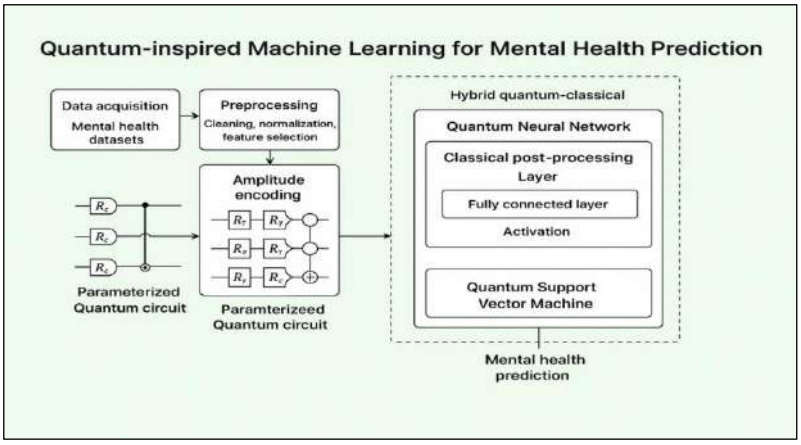


Figure 7: Experimental Flow for Quantum Inspired Machine Learning in mental health prediction.
Source: Authors, (2026).

Table 2: Parameter Setting for the Quantum Machine Learning Approaches.

Feature / Parameter	Quantum Neural Network (QNN)	Quantum Kernel SVM (QK-SVM)
Qubits Used	8	8
Layers	4 (3 × Strongly Entangling Layers + 1 final rotation layer)	1 (Angle Encoding only)
Trainable Parameters	96 total = (n_layers + 1) × n_qubits × 3	0
Single-Qubit Gates	80	8
Two-Qubit (Entangling) Gates	24	14
Circuit Depth	≈ 13	≈ 22
Training Required	Yes (gradient descent on variational parameters)	No (only classical SVM training)
Inference Speed	Medium	Slow (due to kernel matrix evaluation)
Expressivity	High	Medium
Preprocessing Used	Angle Encoding — RY rotations with inputs scaled to [0, π]	Angle Encoding — RY rotations with inputs scaled to [0, π]
Output Type	Learned Quantum State (trainable feature map)	Quantum Feature Kernel (fixed feature map)

Source: Authors, (2026).

In Figure 7, the mental health dataset from OpenAI is collected in data acquisition block which may either be the survey data, clinical assessments, wearable device readings and/or patient-reported outcomes. The attributes of the mental health dataset include the patients' symptoms, behavioural patterns, demographic information and Psychological/ mental disorder signals etc. with class label depicting the patient's mental health condition which may be categorized as depression, Schizophrenia, or healthy. In the second step, data pre-processing is carried out where missing values, outliers and noise if any are cleaned, followed by data normalization to convert the attributes values to fall in to a comparable range (we use Min-Max normalization here) for efficient data encoding and then, feature selection/ dimensionality reduction is done to reduce the data complexity and make the data a quality one before quantum embedding process. Further, scaling is performed to address the issue of class imbalance, if any and remove biasness.

In third step, we create a parameterized quantum circuit to transform the classical data into their corresponding quantum states either by using amplitude or Angle encoding, so that it is ready for quantum processing. We use angle encoding here, where the it maps the features to rotation angles of qubits by using Ry or Rz quantum gates. In this process, number of qubits denotes the feature dimensions after angle encoding. In quantum processing block, we develop a hybrid model by combining quantum processing using classical Neural network and Support Vector Machine Classifier. Multiple layers of parameterized quantum gates such as Rx, Ry, Rz, CNOT are used to serve as a core of quantum machine learning approaches. Entanglement is also introduced in this step, to obtain the cross correlation between qubits to explore inherent relationships in mental health datasets and then quantum measurements are performed by extracting expectation values from qubits to serve as intermediate initial attributes.

In quantum inspired neural network, layer depth may affect the neural network learning capacity which sometimes considered as a trade-off between noise and data de-coherence. The output of the QINN needs normalization by using either softmax function or sigmoid function depending whether the mental health datasets contains binary class or multi-class disease prediction. This way, the raw output of the quantum circuits can be transformed in terms of class probabilities and hence, ensures efficient model building with accurate and interpretable mental health prediction and classifications. On the other hand, QISVM uses the angle encoding circuit followed by number of adjoint encoding circuits to implement the quantum kernel function and obtain the correlation between quantum states in a high dimensional Hilbert space by using quantum Gram Matrix. In this paper, Pauli feature map criteria is used to convert the classical attributes to quantum states using rotations gates and Pauli operators, then crates entanglement between qubits to find out the non-linear relationships among features. This way, QISVM could effectively develop a computationally efficient quantum classifier with acceptable accuracy in mental health conditions classification.

V. RESULTS AND DISCUSSIONS

In this section, the results obtained after performing the experiments as per the architectural overflow shown in Figure 7 are presented with comparisons with related work for validation of the proposed research in this paper. In this, figure of merit is considered as one of the approach to understand the performance of the QINN and QISVM considering the high dimensional and highly imbalanced mental health dataset. Here, accuracy, Precision, Recall and ROC are used as figure of merit metrics for evaluations, where one could able to take steps to accurately detecting the true positives while minimizing false positives. Here the full data set is converted into train, validation and test dataset 80%, 10% and 10% respectively. The results obtained are presented in Figures 8 to Figure 16. Figure 8 shows the quantum kernel with entangling circuit and the adjoint circuits to obtain the correlations between quantum states.

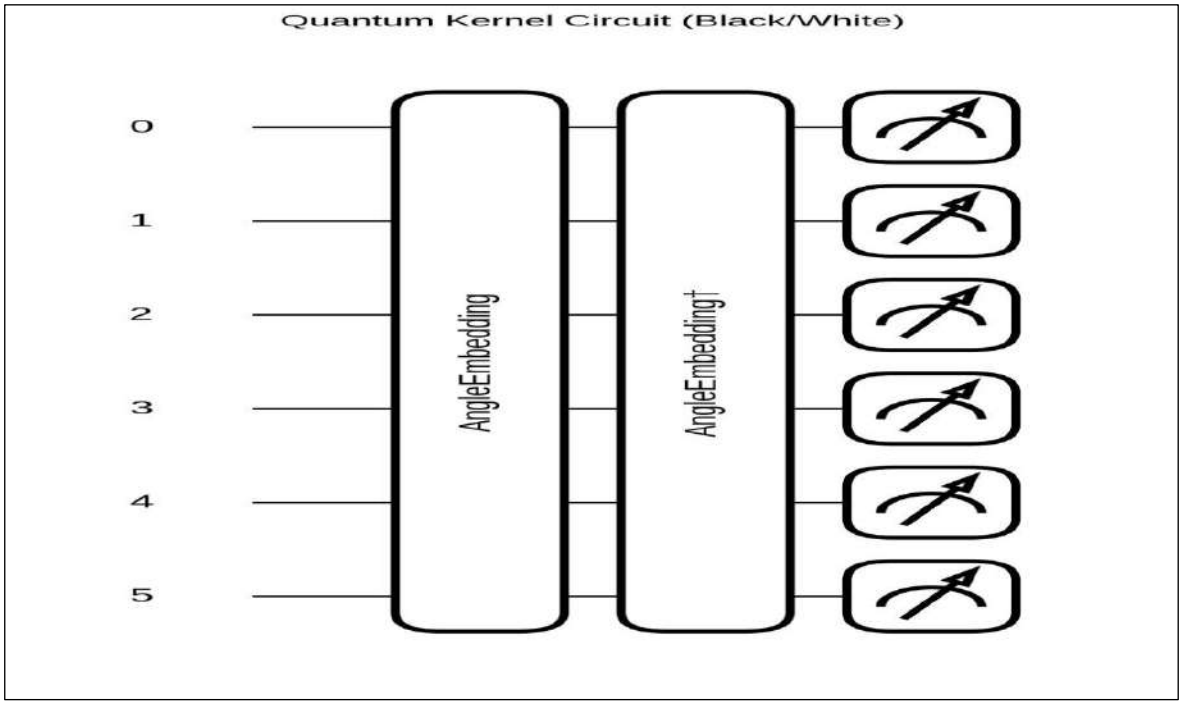


Figure 8: Quantum Kernel for Correlation between quantum states.
Source: Authors, (2026).

Figure 9 and Figure 10 provides the quantum generated circuits for quantum machine learning using classical neural Network and SVM. Figure 11 and Figure 12 highlights a ROC comparison (True Positive Rate Vs. False Positive Rate) of classical and quantum _inspired NN and SVM approaches on test set. From Figure 11, it is observed that AUC (area under the curve) for QISVM with 0.968 is better than its neural network counterpart having AUC of 0.904. Further, from Figure 12, it can be seen that classical machine algorithms (SVM and NN) outperform their quantum inspired ones by achieving more AUC of 0.979 and 0.962 respectively.

V.1 FIGURE OF MERIT

Further, several figures of merit metrics are used to evaluate the performance of the classical and quantum inspired neural network and SVM models which are presented in Figure 13 and Figure 14 respectively. Further, accuracy and loss comparison with respect to number of epochs are presented in Figures 15 and Figure 16 respectively, to understand the efficacy of the approach.

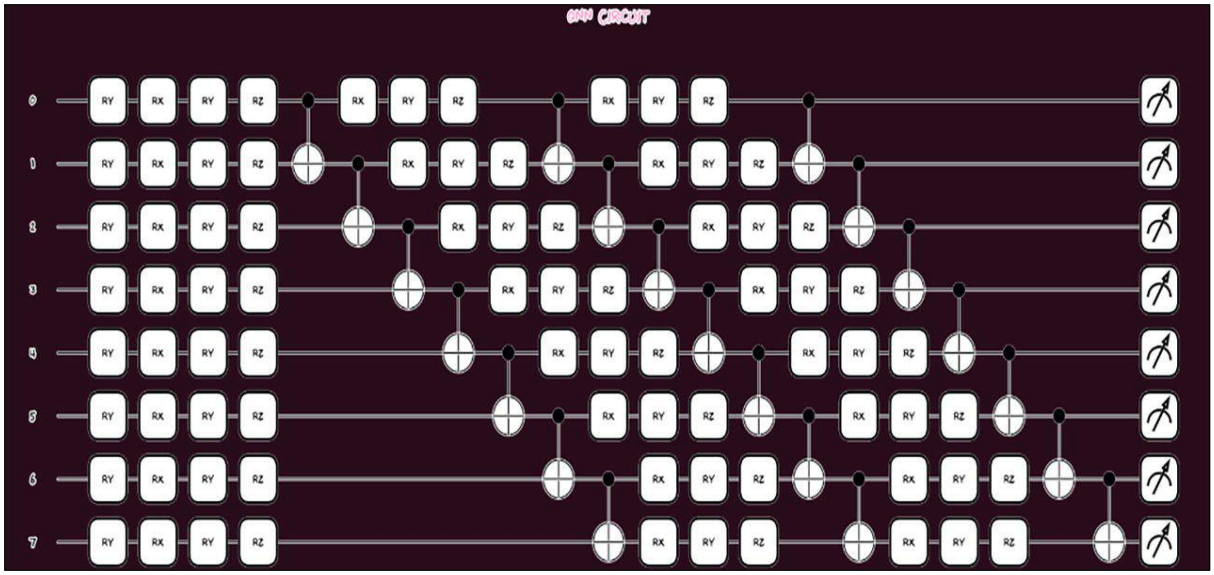


Figure 9: Quantum circuit for QINN.
Source: Authors, (2026).

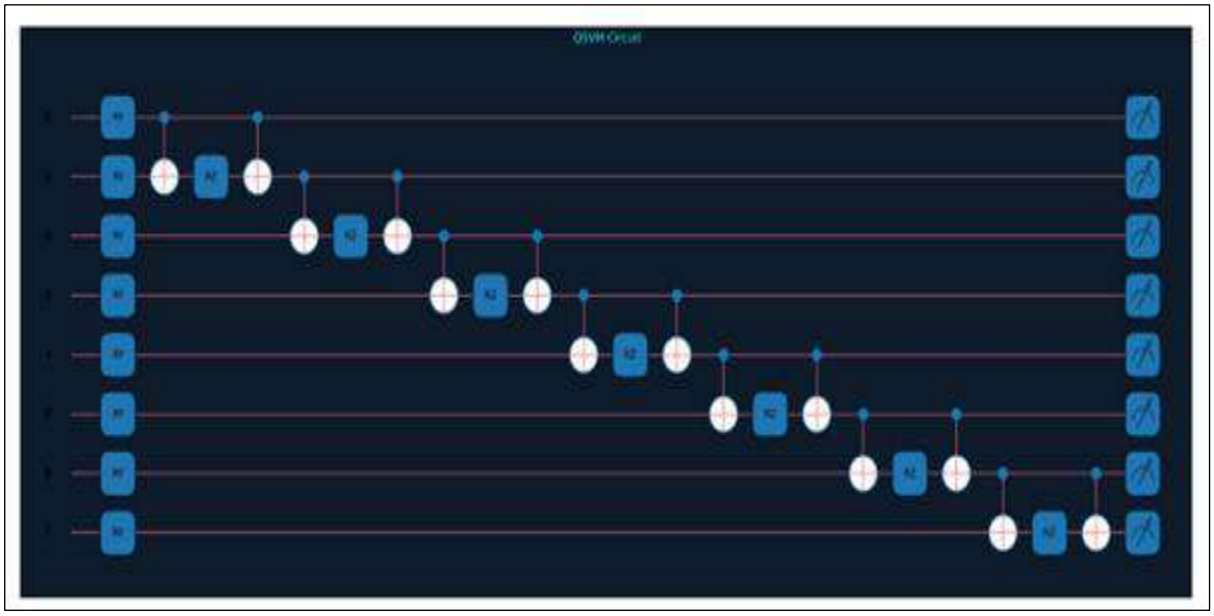


Figure 10: Quantum circuit for QISVM.
Source: Authors, (2026).

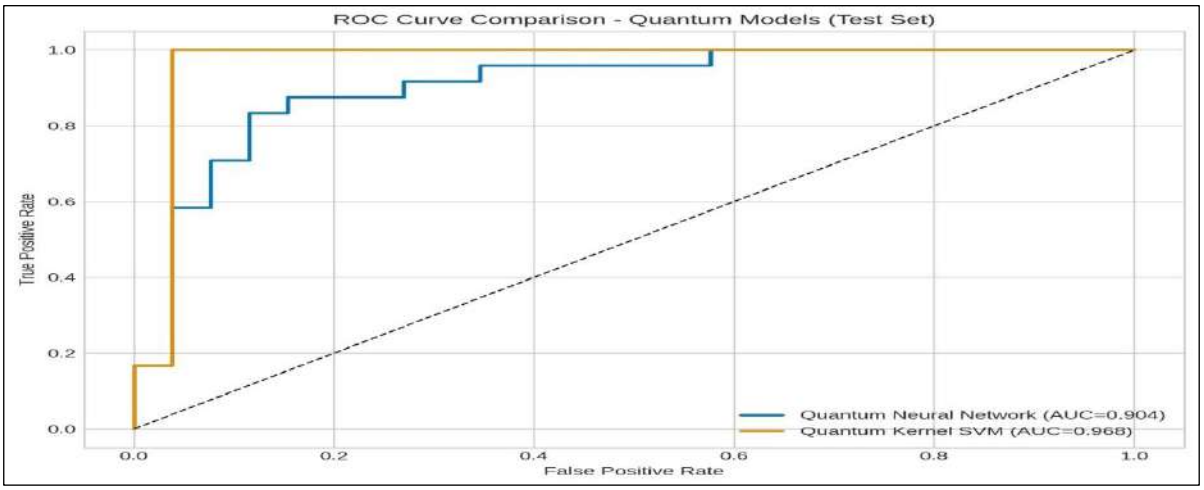


Figure 11: FPR Vs. TPR Comparison between QINN and QISVM.
Source: Authors, (2026).

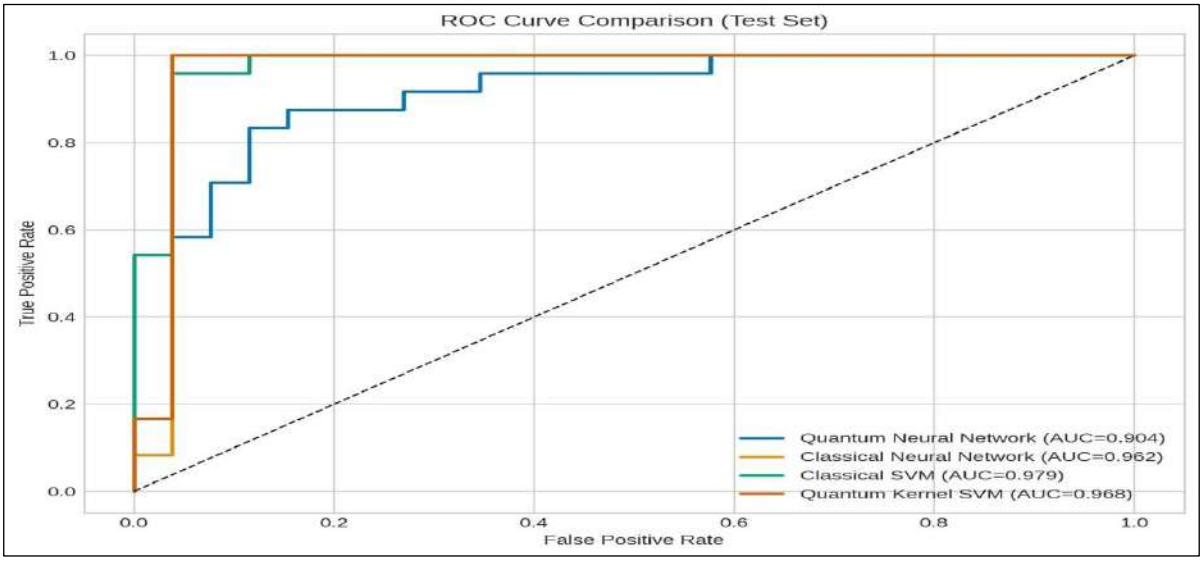


Figure 12: AUC comparison amongst classical and Quantum inspired NN and SVM.
Source: Authors, (2026).

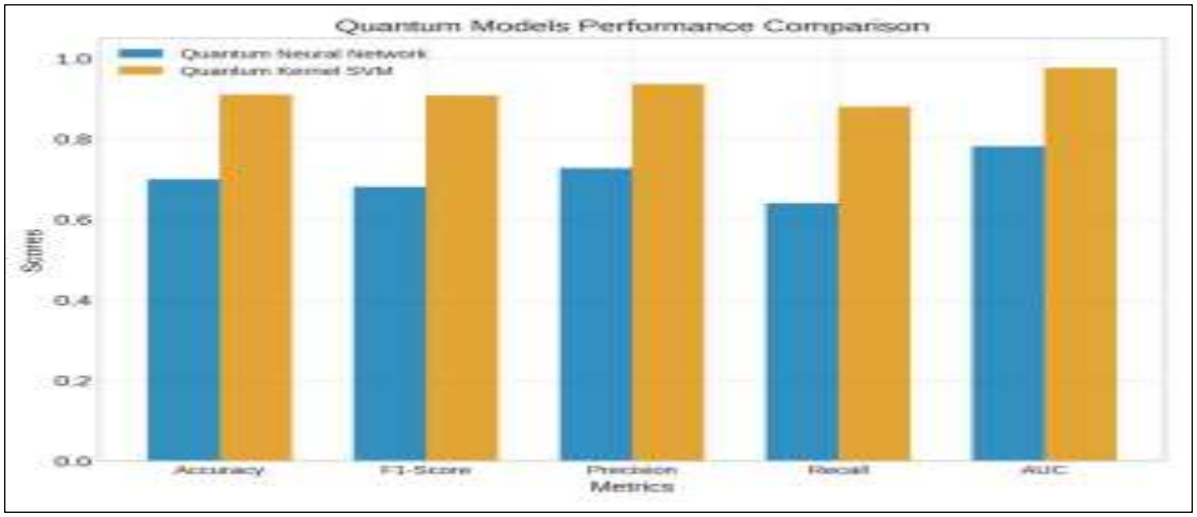


Figure 13: QINN Vs QISVM comparison.
Source: Authors, (2026).

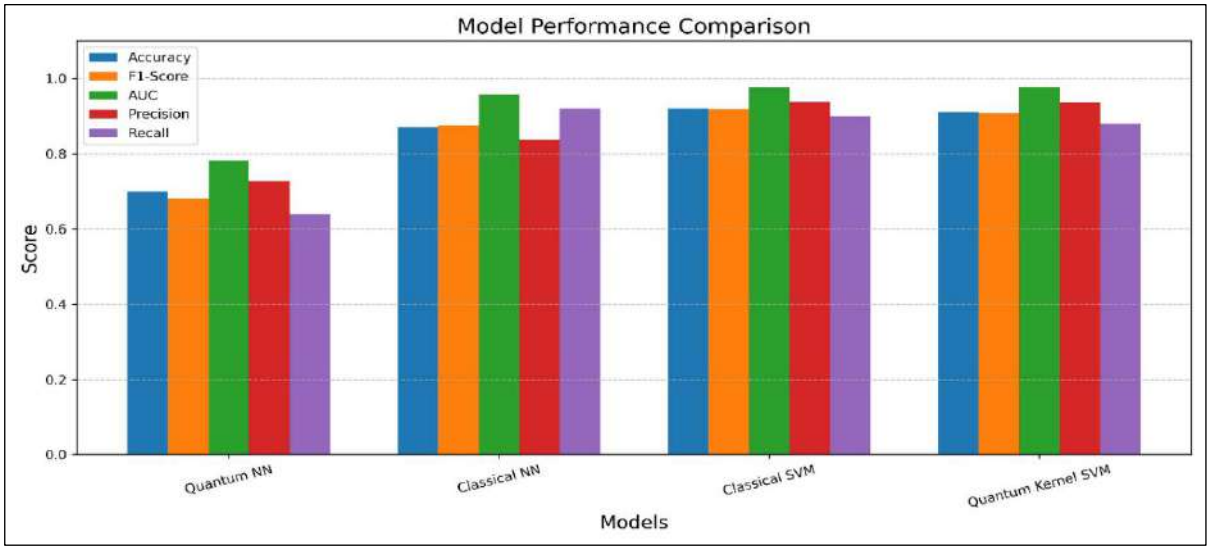


Figure 14: Classical Vs Quantum machine learning comparison (QINN-CNN-CSVM-QISVM).
Source: Authors, (2026).



Figure 15: Number of epoch Vs Accuracy Comparison.
Source: Authors, (2026).

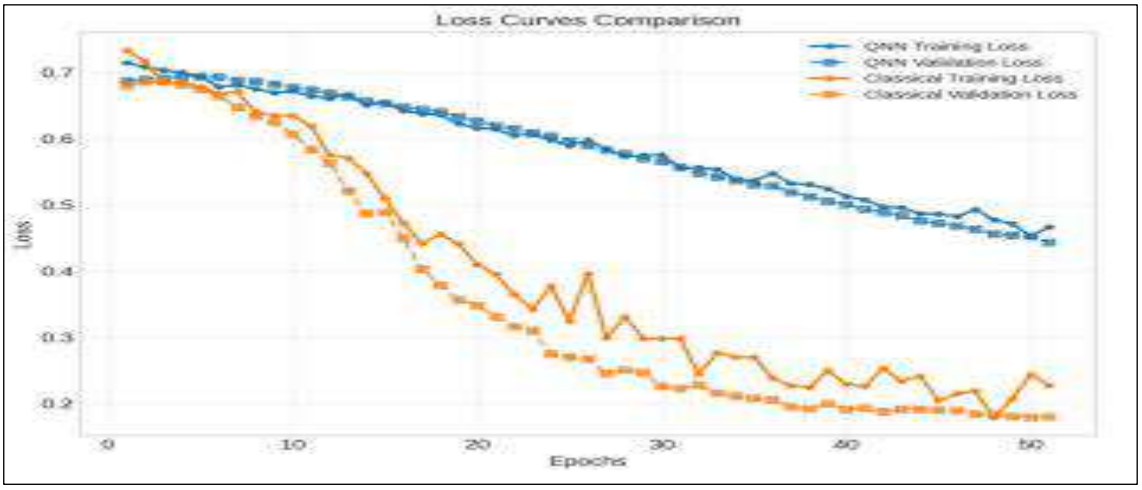


Figure 16: Loss comparison between classical and quantum inspired Neural network classifier.
Source: Authors, (2026).

Further, it is observed that QISVM performs better than QINN with high accuracy. Low loss, high Precision, high Recall, High f1 score and high AUC, makes it QISVM is a better choice in comparison to QINN. It is also observed that for the mental health dataset, the baseline classical algorithms performs better than their counterparts, might be due to overfitting but their effectiveness in dealing with highly imbalanced dataset with high dimensionality is a major concern, where QINN and QISVM wins the race. Hence, there are several threats to validity are identified which may be addressed for further research.

V.2 THREATS TO VALIDITY:

At first, there is possibly an internal threat to validity where small dataset sizes in mental health research may lead to overfitting, and the quantum simulator might not be able to emulate the behaviour of real quantum circuits perfectly at the present scenario. Secondly, external threats to validity pertains to generalizing the observations from a small available dataset attributing demographic variables such as sex and race, psychosocial characteristics, and clinical assessment data related to psychiatric symptoms to diverse adult populations. These challenges depending on the fidelity of feature representation may affect the prediction accuracy, may attributed to construct validity. Finally, technological threats to validity lie in initial NISQ phase of quantum hardware as of today, with restricting qubit count and circuit depth, where quantum inspired simulated results are envisaged of not fully extrapolate to real devices.

VI. CONCLUSIONS

In this paper, potential applications of quantum inspired neural network and SVM in efficient and fast detection of mental health illness of young adults re studied in detail. This research evaluates the performance of the QINN and QISVM models with their baseline classical models and observed that the performance of this quantum inspired models are limited by overfitting. While comparing between the two quantum inspired models, QISVM wins the race by having highest figure of merit in comparison to QINN. There are several threats to validity discussed in this research which encourages the interested researchers to explore further possibilities to apply this quantum inspired machine algorithms on several other large datasets and by developing some more potential algorithms in future.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: M. Panda, S. R. Mahanta.
Methodology: M. Panda, S. R. Mahanta.
Investigation: M. Panda, S. R. Mahanta.
Discussion of results: M. Panda, S. R. Mahanta.
Writing – Original Draft: M. Panda.
Writing – Review and Editing: M. Panda.
Resources: M. Panda, S. R. Mahanta.
Supervision: M. Panda.
Approval of the final text: M. Panda, S. R. Mahanta.

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RESEARCH ARTICLE OPEN ACCESS

ORGANIZATIONAL COMPETENCE IN CONDITIONS OF SUSTAINABILITY – INTERACTION BETWEEN STRUCTURAL APPROACHES, ENTREPRENEURIAL VISION, AND PERSONAL POTENTIALA

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Digital transformation.

ABSTRACT

In the current context of digital transformation, global challenges and the need to achieve sustainable development goals, organizations are increasingly in need of new management models based on a competency-based approach. The relevance of the study is due to the need to integrate individual, entrepreneurial and organizational competencies to ensure the sustainability and adaptability of organizations. The purpose of the study is to find out the relationship between these levels of competencies in the context of forming a competent organization as a tool for ensuring sustainable development. The methodological basis of the study is a content analysis of publications of 2021–2025 covering the transformation of competency-based approaches in the field of management. As a result of systematizing sources and building an analytical model, five key thematic areas of integrated competencies development were identified: strategic management, entrepreneurial education, digital transformation, corporate training, and sustainable development. The study revealed the increasing role of the digital environment in the formation of professional competence, the growing importance of interpersonal and social skills, and the need to unify management models in the global context. The practical significance of the results lies in the possibility of their application to the formation of internal policies of organizations, the development of staff training programs and the improvement of management strategies. The results obtained can serve as a basis for the development of indicators for assessing competencies in the practice of personnel management. The author suggests directions for further research, including empirical testing of the effectiveness of models of the integrated competency approach in specific industries and regions.

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I. INTRODUCTION

In an era of global turbulence, accelerated digitalization, and growing environmental and social challenges, the problem of building a competent organization capable of operating effectively in an environment of uncertainty is becoming particularly relevant. Traditional views on management can no longer handle the requirements of sustainable development which requires them to be responsible to people and the environment as well as efficient with money. Here, using a competency-based approach is considered valuable for restructuring organizations thanks to the cooperation between personal, business and organizational levels of competencies. In the system, employee competencies play a key role by driving innovation, upholding a culture that lasts and reaching the set goals.

Only employees who carry interpersonal, cognitive, digital and value attitudes are truly able to drive change and help the organization adjust to ongoing changes easily. For this reason, understanding individual skills and talents within sustainable development matters both in management and HR matters. The aim of this article is to explore how organizational, entrepreneurial and personal skills of employees are connected in the creation of a competent organization that follows the values of sustainable growth. By identifying what influences how these competencies affect each other, we can develop a different way of making decisions for managers aimed at making companies more flexible, inventive and responsible in the modern world.

II. LITERATURE REVIEW

Today's scholars use an approach that examines various aspects of how a competent organization forms in support of sustainable development, by studying links between organizational, entrepreneurial and individual competencies. The development of employee abilities in digital contexts is widely studied, pointing out that competencies such as digital literacy, working with people and keeping up with learning are essential for organizational adaption [1], [2]. Currently, organizational effectiveness is considered primarily by focusing on what skills workers and organizations have and researchers argue that to secure organizations' futures, legal, managerial and digital models are necessary [3-5]. On the other hand, entrepreneurial actions are considered important for change in complex systems [6-8], as they depend on initiative, innovative ideas and taking well-planned risks.

Different professionals shape and outline competencies to focus on the main issues and skills needed in management, business or education. To illustrate, by [4] explains how digital transformation and managerial change lead companies to build new competencies for individuals as well as for the organization as a whole. According to [9] consider that value, ethics and leadership skills are important for sustainable entrepreneurship. In their turn, by [10] pay attention to the interpersonal and civic abilities thatenable an employee to play a role in innovations and important societal matters. According to [11] look into the mental and emotional aspects of being an entrepreneur, whereas by [12] argue that an emphasis on the environment and innovation is needed for reaching sustainable development goals. It confirms that employee skills are not simple and analysis of all skills is important for the concept of a competent organization.

Analyzing closely how different competencies affect each other explains why an interdisciplinary approach is necessary, using aspects from economics, law and psychology [11-14]. Looking at how interpersonal skills and civic-mindedness help people start businesses is starting to attract more focus [9], [10], [15]. According to [16], [12], [17], sustainable development requires a shift in company culture in line with global sustainability goals. The issues of environmental responsibility, natural resource management, and investment in intelligent technologies are studied as key elements of sustainable strategic management [18], [19]. At the same time, attention is drawn to the decentralization of governance and the development of institutions' capacity for innovation [20], [21], which creates a favorable environment for the harmonization of organizational structures.

At the level of applied models, researchers propose tools for leadership, digital transformation, and institutional project management [22], [23] that ensure the operationalization of integrated competencies. Particular attention is also paid to social entrepreneurship as a form of combining economic efficiency and social impact [9], [24], [25]. Of particular importance for the study are publications that focus on the sectoral and legal aspects of competence development. In particular, [8] reveal the specifics of entrepreneurial competencies in the gastronomy sector, demonstrating the importance of adaptive management and strategic thinking. In turn, [24] analyzes the regulatory framework for digital governance in the EU, which forms a conceptual framework for the development of organizational responsibility in a networked society.

Further analysis of the publications shows that modern scientific thought also covers aspects of sustainable leadership, overcoming digital inequality, and introducing innovations in public administration. For example, by [9], [12] focus on the role of sustainable entrepreneurship in achieving the Sustainable Development Goals (SDGs), emphasizing the importance of developing innovative thinking and value orientations of leaders. The study by [10] emphasizes the development of knowledge and interpersonal competencies as a prerequisite for civic engagement and entrepreneurial intent. Some works highlight case studies from developing countries, demonstrating the link between socio-economic dynamics and the formation of a competent organization [15], [26].

According to [18] emphasize the impact of investments in artificial intelligence on sustainable development, while by [17] analyze the role of natural resources in transformational processes. Significant attention is also paid to fiscal policy as a tool to support organizational change within the sustainable development model [19]. Studies of political governance and the internal organization of institutions that reveal opportunities for decentralization, development of managerial autonomy and adaptability bring an additional perspective [20], [21]. At the same time, the fundamental concepts of ideological and systemic thinking are outlined in [14], [23], which substantiate the value base of organizational engineering.

In the modern scientific discourse, employee competencies are mostly defined as a combination of knowledge, skills, personal traits, and behavioral models necessary for the effective performance of professional tasks in the context of digitalization and organizational change [1],[4]. At the same time, competencies in the context of sustainable development cover a much broader spectrum – they include values, environmental awareness, social responsibility, and the ability to act for the benefit of the common future [9], [12]. Thus, sustainable development requires not only professional, but also moral and civic maturity of the employee, which transforms the idea of the content and goals of the competency-based approach. Despite this, the mechanisms for integrating organizational, entrepreneurial and individual competencies into a single management system, as well as empirical models for assessing their effectiveness in achieving sustainable development goals, remain insufficiently researched.

III. METHODS

The study is based on an interdisciplinary approach using the methods of systematization of scientific sources, comparative analysis of competence concepts and analytical modeling of the relationship between key levels of employee competencies. Elements of conceptual analysis were used to identify the main categories characterizing organizational, entrepreneurial and individual competencies in the context of sustainable development.

The analytical model was built on the basis of generalization of current theoretical approaches and comparison of practical examples of implementation of competence strategies in different types of organizations. This approach made it possible to formu-late a generalized structure of competence interaction as a basis for assessing the adaptability and sustainability of organizations in a dynamic environment.

VI. RESULTS AND DISCUSSION

Modern theoretical approaches to the definition of *a "competent organization"* focus on its ability to adapt to a changing environment, effectively manage knowledge, develop human capital, and ensure long-term sustainability in the context of sustainable development. Such an organization not only possesses a set of structural and procedural competencies, but is also able to integrate individual and entrepreneurial competencies into strategic activities. The formation of a competent organization is closely related to the concepts of a learning organization, network management, and adaptive leadership, where interpersonal skills, digital literacy, and the ability to think innovatively play an important role [4]. Studies also emphasize that organizational competence is not a static state, but a dynamic process of continuous development in the face of sustainability challenges [10].

Some authors emphasize the importance of entrepreneurial competencies within the organizational structure, which allows for the effective implementation of innovative projects and the transformation of market opportunities into sustainable results [6], [9]. At the same time, personal characteristics of employees, for example, their motivation for growth, their flexibility to communicate between fields and their sense of social duty, help develop a lasting company culture [11]. According to [12], a competent organization in sustainable development demonstrates economic efficiency, promotes social justice and cares about the environment. As a result of this approach, the organization forms all-around competencies that sustain it for a long time and keep it competitive.

Organizational, entrepreneurial and individual abilities depend on each other to shape the competence of an organization. An organization's management, organizing processes and strategy depend on its organizational competencies and its innovative, flexible and risk-taking approach comes from entrepreneurial competencies. Competencies of each individual shape the human capital, encourage the production of new ideas and guarantee strong relationships among members of the organization. Table 1 provides a comparative description of the key features of each type of competence and their impact on the formation of a competent organization8.

Table 1: Interrelation between organizational, entrepreneurial and individual competencies in the context of forming a competent organization.

Type of competencies	Main features	Key role in building a competent organization	Typical level of realization
Organizational	Process management, strategic planning, internal coordination	Formation of a stable management structure	Meso-level (organizational)
Entrepreneurial	Initiative, innovation, and risk-taking	Generating new ideas and transforming them into practical solutions	Micro- and meso-level
Individual	Personal qualities, interpersonal skills, motivation to learn	Ensuring effective interaction and adaptability of staff	Micro-level (individual)
Integration interaction	Mutual reinforcement, knowledge sharing, joint participation in decision-making	Systemic synergy that ensures sustainable development of the organization	All levels: micro - meso - macro

Source: [4], [9-12].

The data presented here show that it is the interaction of different types of competencies that creates the conditions for the formation of a competent organization capable of implementing the principles of sustainable development. An organization is most effective when its structure allows entrepreneurial initiatives to be implemented through individual involvement and is supported by a systematic organizational framework. In such a model, there is not just a combination of competencies, but their qualitative integration, which becomes the key to long-term sustainability.

In the context of an integrated approach to the formation of a competent organization, the individual level of competencies, which reflects the professional potential of the employee as a subject of change, deserves special attention. Taking into account the goals of sustainable development, it is advisable to identify key employee competencies that contribute to the environmental, social and economic sustainability of the organization. Table 2 provides a generalized list of such competencies.

Table 2: Key employee competencies in the context of sustainable development.

Competence group	Content / Examples	Implications for sustainable development
Personal (self-awareness)	Motivation to learn, self-reflection, responsibility	Builds the ability to self-develop and adapt to change
Interpersonal	Communication skills, emotional intelligence, empathy, constructive interaction	Supports social cohesion and corporate ethics
Values and worldview	Ethical consciousness, environmental responsibility, focus on social justice	Ensures compliance with the Sustainable Development Goals (SDGs)
Cognitive	Critical thinking, ability to solve complex problems, systemic vision	Promotes informed decision-making in a complex environment
Innovative and entrepreneurial	Initiative, creativity, change management	Enables innovation and organizational flexibility
Digital	Digital literacy, the ability to use digital technologies in sustainable practices	Allows working efficiently in the digital environment and reduce the ecological footprint
Environmental	Understanding of environmental risks, environmental behavior, support for sustainable solutions in everyday work	Contributes to reducing the negative impact of the organization's activities on the environment

Source: [1], [2], [4], [9-12].

Assessing the relationship between organizational, entrepreneurial and individual competencies requires the creation of a holistic methodological model based on the principles of sustainable development. Such a model should take into account not only the functional interaction of competencies, but also their contribution to the social, economic and environmental sustainability of the organizational system. The model should integrate the levels of competencies, channels of their interaction, and mechanisms of influence on the organization's performance. Figure 1 shows the proposed model based on the logic of mutual reinforcement of the components of a competent organization.

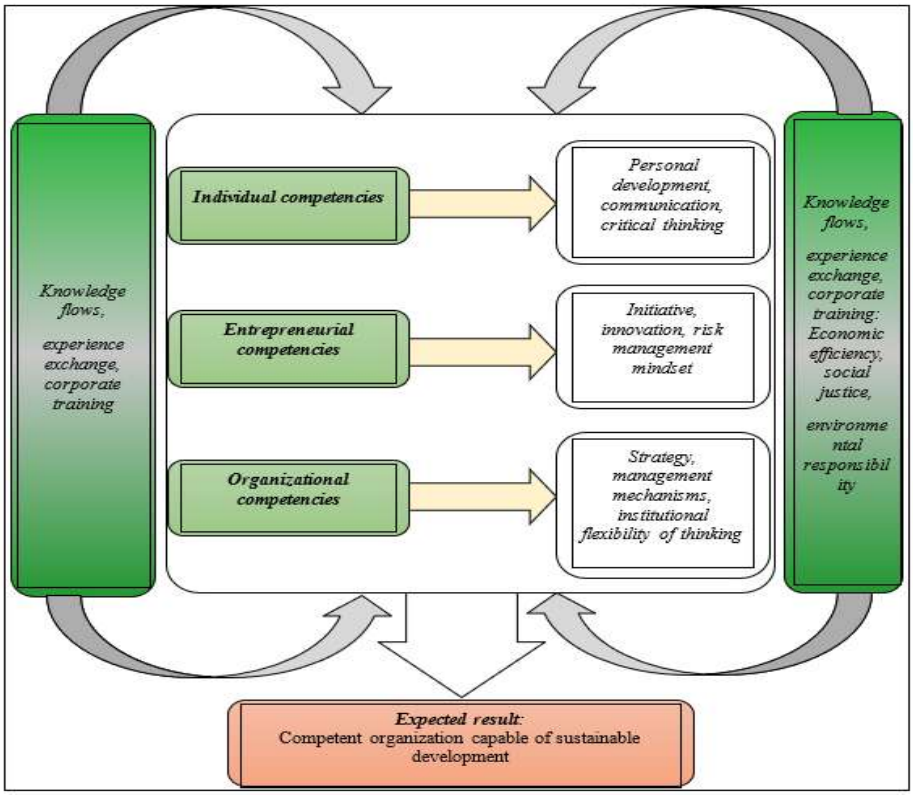


Figure 1: Methodological model for assessing the relationship between organizational, entrepreneurial and individual competencies, taking into account the principles of sustainable development.
Source: [2], [4], [9], [11], [12].

The proposed model allows for a holistic assessment of the level of harmonization of different types of competencies in an organization, taking into account sustainability criteria. Its application provides an analytical basis for strategic planning and development of management approaches that meet the requirements of a sustainable future. In the future, this model can be adapted to different types of organizations, from educational institutions to small and medium-sized businesses.

The introduction of competency-based approaches in the activities of modern organizations is increasingly seen as a strategic direction for the transformation of management, educational and production systems. Growing attention to sustainable development, digitalization, and innovative management approaches leads to the integration of individual, entrepreneurial, and organizational competencies at different levels. In order to objectively analyze these trends, the author conducted a content analysis of scientific sources and empirical studies on the application of competency-based approaches in the practice of organizations.

To collect quantitative data, there were used a content analysis of 42 publications in professional journals (2021–2025) that discuss the application of competency models in business, education, and the public sector. The sources were selected on the basis of relevance to the topic of competence integration and sustainable development principles, which ensured analytical completeness and thematic coverage. Authors identified 5 main areas of implementation (key emphases): strategic management, entrepreneurial education, corporate training, sustainable development, and digital transformation. Each of the areas was quantitatively coded to identify the frequency of their presentation in the studied sources. Based on the author's systematization, the data were presented in the form of a conditional percentage distribution for further visualization in the form of a graph, which allowed tracing the dynamics of shifting emphasis in scientific discourse (Figure 2).

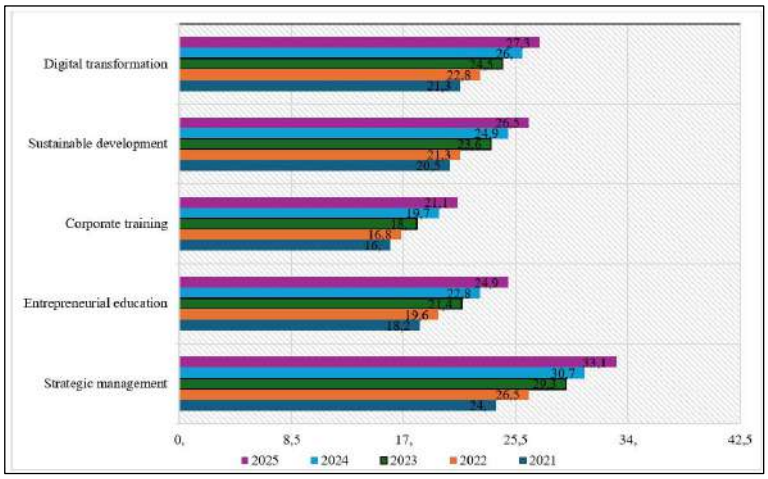


Figure 2: Dynamics of the representation of competency-based approaches in key areas of organizational development (2021–2025).
Source: [2], [3], [9], [11], [12].

In the dynamics from 2021 to 2025, there is a steady increase in the share of publications and practical cases devoted to strategic management – from 24.0% to 33.1%, which indicates an increase in the role of the competency approach in management systems. Similarly, digital transformation has strengthened its position by 6.0%, and the area of sustainable development has grown by 6.0% – from 20.5% to 26.5%, which correlates with global sustainable development goals. Corporate training (+5.1%) and entrepreneurial education (+6.7%) were the least dynamic, but they also show a positive trend. Thus, the data obtained confirm the gradual increase in the importance of competency-based approaches in many areas of organizational activity.

This requires further improvement of the mechanisms for implementing competencies through the development of digital tools, integration of training into management processes, and ensuring ecosystem interaction.Comprehensive integration of individual, business and organizational competencies requires targeted actions by management structures. In the context of sustainable development, it is of particular importance to create an environment in which competencies do not just exist separately but interact synergistically, creating the basis for innovative and responsible activities. Below are practical recommendations aimed at developing such integrated competencies.

1. *Implementation of cross-cutting corporate training programs.* It is recommended to develop modular educational programs that cover individual soft skills, entrepreneurial thinking and strategic management. Training should be continuous, adaptive, and accessible to all levels of staff, which will contribute to the formation of organizational competence. Particular attention should be paid to learning through real-life cases of sustainable management.
2. *Create cross-functional teams to manage sustainable development projects.* The formation of cross-functional working groups allows combining competencies from different areas, from finance to social impact. This approach helps to increase the efficiency of decision-making, reduce barriers between departments, and create a culture of shared responsibility. Teams should act on the principles of open knowledge sharing.
3. *Institutionalize feedback mechanisms and internal consulting.* To support the development of integrated competencies, it is worth implementing systems for regular evaluation of employees and managers, as well as internal platforms for sharing experiences. This allows responding quickly to changes, identify weaknesses and ensure horizontal learning in the organization.
4. *Integrate sustainability goals into KPIs and organizational strategies.* Sustainable development should be not only a declarative principle, but also a part of specific evaluation indicators (KPIs) for employees and structural units. This allows measuring the effectiveness of implementing the competencies not only in terms of results, but also in terms of contribution to the environmental and social responsibility of the organization.

The application of these recommendations will allow the organization to form an integrated competency ecosystem that will ensure not only operational efficiency but also long-term sustainability. Integrated competencies are the basis for building adaptive management in the face of the challenges of sustainable development, digital transformation and global competition. The obtained results confirmed the existence of a stable trend towards the integration of organizational, entrepreneurial and individual competencies in management practice, which is consistent with the provisions of [2] and [1], who emphasize the importance of the digital environment for the development of professional competence.

The analysis of scientific sources has demonstrated the growing attention to an interdisciplinary approach, where digital transformation, entrepreneurial activity and strategic management form a synergistic model of a competent organization. At the same time, it was found that the approaches to identifying priority competencies differ significantly: some authors [3], [4] focus on the institutional and legal design of competency models, while others [6], [10] focus on the micro level – the formation of individual entrepreneurial motivation. Instead, some researchers, such as [14], [23], criticize the excessive fragmentation of the competency approach and call for the creation of a unified ideological management framework that would allow for the preservation of the integrity of organizational development.

In this context, the results of our study do not fully coincide with the views of these authors, as the authors believe that it is precisely the flexibility and variability of competencies that ensure the adaptability of an organization in the context of sustainable development, which is confirmed by the findings of [12], [15]. It is also important to note that while by [8] point out the importance of industry specificity in the formation of competencies, our study supports a universal approach where key skills can be scaled regardless of the field of activity. Some discrepancies with the views of other researchers can be explained by differences in the contexts of the analyzed countries and organizational structures. For example, [26], [18] consider sustainable development mainly through the prism of public policy, while our approach is based on a model of interaction between three levels of competencies – individual, organizational, and entrepreneurial.

This expands the traditional view of the sources of change, as the initiative is recognized not only as vertical (top-down) but also as horizontal. Thus, the results of the study support the hypothesis that it is advisable to combine different types of competencies within sustainable management. At the same time, the issue of empirical verification of the effectiveness of the proposed models in specific sectoral and regional conditions remains open. This points to the need for further interdisciplinary and cross-country research that will allow adapting the concept of a competent organization to a changing global environment.

V. CONCLUSION

The results of the study allowed us to highlight a new perspective on the formation of a competent organization as a system based on the interaction of individual, entrepreneurial and organizational competencies in the context of sustainable development. It has been established that the efficiency of such an organization increases when strategic management, value leadership, and digital adaptation are balanced. The expected results were mostly confirmed, but in practice, there were also unexpected emphases on the interpersonal and social aspects of competencies that had previously remained on the periphery of attention. The novelty of the study lies in the construction of an analytical framework for the integration of competencies at three levels, which allows to adapt management models to the conditions of rapidly changing environment.

The limitations of the study are related to the lack of quantitative verification of the effectiveness of the proposed approaches in different types of organizations, which requires expanding the empirical base. The practical significance of the study lies in the possibility of using the results of the study to improve personnel policy, develop internal training programs and strategic planning in educational, government and business structures. Further research should focus on the development of tools for measuring the level of formation of integrated competencies, studying the industry specifics of their implementation, and developing digital solutions to support competency development under conditions of uncertainty.

VI. AUTHOR'S CONTRIBUTION

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Discussion of results: Inna Ippolitova, Olena Serhiienko, Maryna Mashchenko, Olena Sychova and Oleksandr Ivanov.
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Resources: Inna Ippolitova, Olena Serhiienko, Maryna Mashchenko, Olena Sychova and Oleksandr Ivanov.
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Approval of the final text: Inna Ippolitova, Olena Serhiienko, Maryna Mashchenko, Olena Sychova and Oleksandr Ivanov.

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RESEARCH ARTICLE OPEN ACCESS

EXPLORING USER EXPERIENCE AND PREFERENCES IN DIGITAL AND TRADITIONAL MENTAL HEALTH SCREENING AT CAGAYAN STATE UNIVERSITY CARIG CAMPUS

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ABSTRACT

Mental health screening in higher education is crucial for early detection of psychological issues among students. With digital technologies increasingly used in student support, this study evaluated the effectiveness and user experience of mobile-based versus traditional paper-and-pencil mental health screenings at Cagayan State University–Carig Campus. Thirty-three students completed assessments for depression, anxiety, and stress using both methods in a quasi-experimental design. Results revealed a significant difference in depression scores between methods, indicating that the screening format influences reporting of depressive symptoms. No significant differences were found for anxiety and stress, suggesting both methods are comparable for these conditions. Students preferred the mobile-based screening, highlighting greater comfort, privacy, ease of use, and accessibility. Overall satisfaction favored the digital method. The study concludes that mobile-based screening offers a user-friendly and efficient alternative that is psychometrically similar to traditional approaches. It recommends integrating mobile screening tools into university mental health services to enhance student support and accessibility.

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I. INTRODUCTION

Mental health has progressively been recognized as a critical component of overall well-being, particularly among young adults in higher education institutions who are exposed to academic pressure, social demands, and developmental transitions. Globally, depression and anxiety have been identified as leading contributors to the burden of disease, necessitating the early detection of mental health concerns through reliable screening mechanisms [1], [2]. Within academic environments, mental health screening plays a vital role in identifying students at risk and facilitating timely interventions, especially when evidence-based and psychometrically sound tools are employed [2]. However, despite the availability of validated instruments, the effectiveness of mental health screening is strongly influenced not only by measurement accuracy but also by the way assessments are administered and experienced by users.

II. THEORETICAL REFERENCE

Historically, paper-and-pencil screening tools have been the dominant method for assessing mental health concerns such as depression, anxiety, and stress. These traditional methods have demonstrated acceptable reliability and validity across diverse populations [3], [4]. Nonetheless, several studies have been raised concerns regarding their practicality, efficiency, and potential influence on response behavior. Paper-based assessments may increase respondent self-consciousness, reduce perceived privacy, and heighten evaluation anxiety, particularly when sensitive psychological information is involved [5]. Moreover, face-to-face or paper-administered survey have been shown to produce greater variability in responses for subjective indicators compared to self-administered digital formats [4], suggesting that the mode of administration itself may affect mental health screening outcomes.

Additionally, Traditional mental health assessments suffer from biased, infrequent self-reports that poorly capture daily functioning. Mobile apps and wearables provide real-time monitoring of symptoms and behavior. Yet, challenges remain in off-the-shelf tool reliability, user adoption, and clinical data use [6]. Advancements in mobile and digital technologies have led to the rapid expansion of mobile health (mHealth) solutions for mental health screening and assessment. Mobile applications have been increasingly utilized to improve accessibility, efficiency, and scalability of mental health services, particularly among populations with limited access to traditional care [7], [8]. Systematic reviews have demonstrated that mobile and web-based mental health screening tools show negligible differences in psychometric properties when compared to their paper-and-pencil counterparts, particularly for widely used instruments such as the PHQ-9, CES-D, and BDI-II [2], [9], [10].

These findings support the validity and reliability of mobile-based screening as a viable alternative to traditional assessment formats. More over, in clinics, accurate pain quantification is crucial. Electronic pain scales speed up data collection and analysis over paper methods. Smart tech in pediatric/adult pain apps could enable reliable, user-friendly assessments, enabling early detection to boost quality of life and reduce school/work absences if widely adopted [11]. There are also studies that evaluates two key aspects of mHealth apps: (1) their effectiveness in reducing maternal depression and/or anxiety symptoms during pregnancy or the first postpartum year, and (2) the quality of commercially available apps targeting perinatal depression and/or anxiety [12]

Beyond psychometric equivalence, user experience and usability have emerged as essential determinants of engagement and acceptability in digital mental health tools. Research consistently indicates that usability factors such as ease of use, interface clarity, accessibility, and efficiency significantly influence whether individuals are willing to complete and continue using mental health applications , [8]. Studies examining user reviews and expert evaluations have emphasized that poor usability, lack of personalization, and concerns regarding privacy and security are among the primary reasons for discontinuation of mental health apps , [7]. Conversely, applications that are intuitive, customizable, and transparent about data security tend to receive higher acceptability and satisfaction ratings.

Mental health is vital but underserved due to stigma and counselor shortages, limiting traditional service use. Mobile health apps offer a promising alternative, yet few studies evaluate if they truly meet user needs [13]. A systematic review that examines the increasing number of smartphone applications (apps) developed for physical and mental health. It evaluates the effectiveness of these applications in treating various mental health conditions, focusing on user-centered approaches [14] . Another study tested the usability of the PeerTECH smartphone app in community mental health via semi structured interviews, participants found it relevant for self-managing mental/physical health, offered feedback on features and Norwegian adaptations, and deemed it easy for users/peers to navigate [15].

Emotional experiences during mental health assessment have also been found to play a significant role in shaping users' perceptions of screening tools. Drawing on control-value theory and mobile learning theory, demonstrated that users' emotions toward both technology and content significantly predicted engagement and perceived learning outcomes [16]. Similarly, it was found that enjoyment was positively associated with usability, whereas boredom, frustration, and anxiety were negatively related to users' experiences with mental health assessment tools [17]. These findings underscore the importance of examining not only the technical effectiveness of screening methods but also the emotional and experiential dimensions of their use.

Comparative studies between digital and traditional assessment modalities further suggest that certain mental health constructs respond differently to administration formats. There are studies that College students endorse high rates of mental health problems. While many colleges offer on-campus services, many students who could benefit from mental health services do not receive care. Indeed, nearly half of students who screen positive for depression, for example, do not receive treatment. Digital mental health programs, such as those delivered via mobile apps, may help expand access to mental health care and resources. This mixed-methods study aims to examine the uptake and effectiveness of an implementation of IntelliCare for College Students, a self-guided app-based mental health platform, on two university campuses [18].

While anxiety and stress measures often demonstrate stability and equivalence across paper and digital platforms, depression scores appear more sensitive to contextual and experiential factors related to assessment modality [3], [5]. These modality effects reinforce the need for empirical comparisons that examine both screening outcomes and user experience simultaneously. Moreover, research on mobile assessments among youth and college students highlights that digital tools may facilitate more honest self-disclosure due to increased privacy, autonomy, and reduced fear of judgment [19], [20]. According to some studies, those with mental health conditions showed higher use of digital tools like computers and smartphones for health searches, test results, provider communication, and info sharing, even after adjusting for sociodemographics. However, privacy/security concerns made them more likely to withhold information from providers, highlighting the need for better data protection to maximize tech benefits in mental health care [21].

Recent literature has also emphasized the broader acceptability and feasibility of digital mental health interventions across diverse populations. Systematic reviews have shown that the majority of digital mental health interventions for depression and anxiety are positively accepted by users, particularly when grounded in evidence-based frameworks such as cognitive behavioral therapy [22]. Studies have further demonstrated that mobile mental health apps are best viewed as complementary tools rather than replacements for traditional mental health services, supporting early detection, monitoring, and engagement [23], [1]. Additionally, emerging evidence supports the integration of advanced technologies, including machine learning and personalized app features, to enhance screening accuracy and user relevance [24], [25].

Further, Despite the popularity of mental health apps, it is unknown if they are actually used by those with mental illness. There are studies assessed whether differences in clinic setting may influence the use of mental health apps and which factors influence patient perception of apps [26]. There are also studues that mobile mental-health trackers are mobile phone apps that gather self-reported mental-health ratings from users. They have received great attention from clinicians as tools to screen for depression in individual patients. While several apps that ask simple questions using face emoticons have been developed, there has been no study examining the validity of their screening performance [27]. Despite the growing body of international literature, there remains a scarcity of empirical studies examining mental health screening modalities within Philippine higher education institutions, particularly state universities.

Given the increasing reliance on digital platforms among Filipino college students, it is essential to evaluate whether mobile-based mental health screening can enhance efficiency, accuracy, and user preference while maintaining psychometric integrity. Thus, this study aimed to compare the effectiveness and user experience of mobile-based mental health screening with the traditional paper-and-pencil method among college students. Specifically, it sought to determine whether the use of a mobile application enhanced efficiency, accuracy, and user preference when completing a standard mental health screening tool. By integrating outcome-based and experience-based evaluation, this study intended to contribute evidence that may guide the adoption of student-centered, technology-supported mental health screening practices in higher education.

III. MATERIALS AND METHODS

III.1 RESEARCH DESIGN

This study employed a quasi-experimental research design to examine and compare the mental health screening results and user preferences of college students when administered through mobile application–based and paper-and-pencil screening methods. The quasi-experimental design was deemed appropriate because the study involved the comparison of two screening modalities without random assignment of participants to independent groups. Instead, the same group of respondents underwent both screening methods, allowing for within-subject comparison of mental health outcomes and preferences. This design enabled the researchers to determine differences between screening methods while maintaining ethical and practical feasibility within an academic setting.

III.2 RESEARCH PARTICIPANTS

The participants of the study consisted of thirty-three (33) college students currently enrolled at Cagayan State University–Carig Campus. The respondents were selected using a purposive sampling technique, as participation was based on willingness and eligibility to complete both mobile and paper-and-pencil mental health screening tools. All participants were officially enrolled during the conduct of the study and voluntarily agreed to take part after being informed of the study's objectives, procedures, and ethical considerations. The sample size was considered sufficient for within-subject comparison using nonparametric and paired statistical analyses.

III.3 DATA DESCRIPTION

The data collected in this study included respondents' mental health screening results and their preferences regarding the screening methods used. Mental health data covered three dimensions: depression, anxiety, and stress, classified into categorical levels such as normal, mild, moderate, severe, and extremely severe based on the scoring guidelines of the screening instruments. Preference data were gathered using a structured questionnaire measuring students' perceptions of ease of use and efficiency, accessibility, comfort and privacy, and overall satisfaction and preference for each screening method. All responses were quantified using Likert-scale ratings and numerical scores to facilitate statistical analysis.

III.4 RESEARCH PROCEDURES

Prior to data collection, permission to conduct the study was secured from the appropriate university authorities. The respondents were then oriented regarding the purpose of the study, the procedures involved, and their rights as participants, including confidentiality and voluntary participation. Informed consent was obtained from all respondents. The participants were first asked to complete the mental health screening using one method, followed by the alternative method, ensuring that all respondents experienced both the mobile application and paper-and-pencil screening tools. After completing both screenings, the respondents answered the preference questionnaire evaluating their experiences with each method. All data were collected within a controlled timeframe to ensure consistency in administration.

III.5 DATA ANALYSIS

The collected data were analyzed using appropriate descriptive and inferential statistical tools. Frequency counts and percentages were used to describe the levels of depression, anxiety, and stress obtained from both screening methods. Weighted means were computed to determine the level of students' preference for each screening modality. To determine significant differences in mental health screening results between the mobile and paper-and-pencil methods, the Wilcoxon Signed Ranks Test was employed. Meanwhile, paired samples t-tests were used to examine significant differences in students' preferences across the different dimensions. All statistical analyses were conducted at a 0.05 level of significance.

IV. RESULTS AND DISCUSSIONS

IV.1 LEVEL OF MENTAL HEALTH RESULTS USING MOBILE APPLICATION AND PAPER-AND-PENCIL METHOD SCREENING TOOL

IV.1.1 Level of Mental Health Results using Mobile Application Screening Tool

The Table 1 shows that the largest proportion of respondents assessed through the mobile application reported moderate depression (36.40%), followed by mild depression (30.30%), while smaller proportions fell under severe (18.20%), normal (9.10%), and extremely severe (6.10%) levels. This distribution suggests that the mobile screening tool was sensitive in detecting varying degrees of depressive symptoms among college students, particularly within the mild-to-moderate range. Such findings are consistent with studies indicating that mobile-based mental health screening tools are effective in capturing subclinical and moderate depressive symptoms due to their perceived privacy, reduced social desirability bias, and ease of self-disclosure [2], [9].

Moreover, previous literature emphasizes that digital screening environments encourage more honest responses among young adults, thereby improving the detection of emotional distress that might otherwise remain underreported in traditional settings [23], [17].

Table 1: Frequency and Percentage Distribution of Respondents' Level of Mental Health Results using mobile application screening tool along Depression.

Level	Frequency	Percent
Extremely Severe	2	6.10
Severe	6	18.20
Moderate	12	36.40
Mild	10	30.30
Normal	3	9.10
Total	33	100.00

Source: Authors, (2026).

The Table 2 displays that extremely severe anxiety (33.30%) constituted the highest proportion of respondents, followed by moderate (24.20%) and severe anxiety (24.20%), while fewer respondents fell under normal (12.10%) and mild (6.10%) categories. This pattern indicates a substantial burden of anxiety symptoms among college students when screened using a mobile application. The heightened detection of severe anxiety aligns with existing research suggesting that mobile mental health tools enhance symptom recognition by allowing respondents to complete assessments in non-threatening, familiar environments, which may intensify self-awareness of anxiety-related symptoms [28], [22]. Furthermore, mobile platforms have been found particularly effective in identifying anxiety symptoms due to their immediacy, anonymity, and reduced fear of judgment, especially among student populations [7], [19].

Table 2: Frequency and Percentage Distribution of Respondents' Level of Mental Health Results using mobile application screening tool along Anxiety.

Level	Frequency	Percent
Extremely Severe	11	33.30
Severe	8	24.20
Moderate	8	24.20
Mild	2	6.10
Normal	4	12.10
Total	33	100.00

Source: Authors, (2026).

The Table 3 shows that more than half of the respondents were classified as normal (54.50%) in terms of stress levels, while severe stress (18.20%), mild stress (15.20%), and moderate stress (12.10%) accounted for the remaining distribution. This finding suggests that while stress is present among college students, a majority experience manageable stress levels when assessed through a mobile screening tool. The results are supported by literature indicating that mobile assessments can accurately capture stress patterns by enabling real-time or reflective self-reporting, which improves recall accuracy and contextual relevance [1], [8]. Additionally, mobile tools have been shown to normalize the screening experience, potentially reducing stress amplification during assessment compared to traditional paper-based methods [5].

Table 3: Frequency and Percentage Distribution of Respondents' Level of Mental Health Results using mobile application screening tool along Stress.

Level	Frequency	Percent
Severe	6	18.20
Moderate	4	12.10
Mild	5	15.20
Normal	18	54.50
Total	33	100.00

Source: Authors, (2026).

IV.1.2 Level of Mental Health Results using Paper-And-Pencil Method Screening Tool

The Table 4 reveals that respondents assessed using the paper-and-pencil method were more frequently classified under extremely severe depression (21.20%), with mild (24.20%) and moderate depression (24.20%) showing equal proportions, followed by severe (18.20%) and normal (12.10%) levels. Compared to mobile screening results, the paper-based method appears to yield a higher proportion of extreme depression classifications. This aligns with prior research indicating that traditional formats may increase response caution or overreporting due to perceived formality and test-like conditions [3], [4]. Additionally, paper-based assessments may heighten respondent self-monitoring, potentially influencing symptom severity ratings among students [5].

Table 4: Frequency and Percentage Distribution of Respondents' Level of Mental Health Results using paper-and-pencil method screening tool along Depression.

Level	Frequency	Percent
Extremely Severe	7	21.20
Severe	6	18.20
Moderate	8	24.20
Mild	8	24.20
Normal	4	12.10
Total	33	100.00

Source: Authors, (2026).

The Table 5 shows that nearly half of the respondents were classified as having extremely severe anxiety (48.50%), while moderate anxiety (30.30%) also accounted for a substantial portion, with minimal representation in mild (3.00%) and severe (6.10%) categories. This concentration of extreme anxiety scores suggests that paper-and-pencil assessments may intensify symptom endorsement, possibly due to reduced perceived privacy and increased performance anxiety during completion. Previous studies indicate that traditional assessment formats may inadvertently elevate reported anxiety levels, particularly when respondents feel observed or constrained by time and setting [3], [17]. Such findings reinforce the importance of considering modality effects when interpreting anxiety screening results [4].

Table 5: Frequency and Percentage Distribution of Respondents' Level of Mental Health Results using paper-and-pencil method screening tool along Anxiety.

Level	Frequency	Percent
Extremely Severe	16	48.50
Severe	2	6.10
Moderate	10	30.30
Mild	1	3.00
Normal	4	12.10
Total	33	100.00

Source: Authors, (2026).

The Table 6 indicates that most respondents were classified as normal (51.50%) in stress levels, followed by severe stress (21.20%), while mild and moderate stress both accounted for 12.10% each, and extremely severe stress (3.0%) was minimal. This distribution closely mirrors mobile-based stress results, suggesting relative equivalence between formats in stress detection. Literature supports this comparability, noting that stress, as a more situational and less stigmatized construct, tends to yield consistent results across administration modes [2], [5]. This reinforces findings that paper and digital formats are largely interchangeable for stress screening when validated tools are used [10].

Table 6: Frequency and Percentage Distribution of Respondents' Level of Mental Health Results using paper-and-pencil method screening tool along Stress.

Level	Frequency	Percent
Extremely Severe	1	3.0
Severe	7	21.2
Moderate	4	12.1
Mild	4	12.1
Normal	17	51.5
Total	33	100.0

Source: Authors, (2026).

IV.2 LEVEL OF STUDENTS' PREFERENCE FOR EACH SCREENING TOOL

The Table 7 shows that students expressed a strongly positive preference for the mobile screening method, as reflected by an overall weighted mean of 4.34 (Strongly Agree), with consistently high ratings across ease of use, accessibility, comfort and privacy, and overall satisfaction. Notably, comfort and privacy yielded the highest category mean (4.49), indicating that students felt more relaxed, less judged, and more confident about data security when using mobile screening tools. These findings are strongly supported by literature emphasizing that mobile mental health applications enhance user comfort, perceived confidentiality, and engagement, which are critical factors in screening adherence among young adults [28], [22], [20]. The preference for mobile screening reflects broader trends in digital mental health acceptance within student populations [29].

Table 7: Level of students' preference using mobile screening method.

Dimensions	Statements	Mean	Descriptive interpretation
Ease of Use and Efficiency	1. I found the process of completing the screening to be easy to understand and follow. "	4.21	Strongly Agree
	2. I found the method easy to use and intuitive	4.12	Agree
	3. The screening process is completed within a reasonable amount of time	4.12	Agree
	4. I can finish the screening without feeling rushed or overwhelmed	4.30	Strongly Agree
	Category Mean	**4.19**	**Agree**
Accesibility	5. The method felt free of technical issues or unnecessary hurdles "	3.79	Agree
	6. Completing the screening using this method felt convenient for my schedule	4.33	Strongly Agree
	7. I would be able to easily access this screening method whenever I needed it	4.30	Strongly Agree
	8. The instructions and layout were clear regardless of where I completed the screening	4.39	Strongly Agree
	Category Mean	**4.20**	**Strongly Agree**
Comfort and Privacy	9. I felt comfortable and relaxed while using this method to answer the questions "	4.48	Strongly Agree
	10. I felt confident that my answers were private and secure using this method	4.55	Strongly Agree
	11. This method made it easy to concentrate on the questions without distraction	4.33	Strongly Agree
	12. Using the the method makes me feel less judged	4.61	Strongly Agree
	Category Mean	4.49	Strongly Agree
Overall Satisfaction and Preference	14. Given the choice, I would prefer to use this method over the alternative for future screenings?	4.39	Strongly Agree
	15. I would recommend this app to other students for mental health screening	4.58	Strongly Agree
	Category Mean	**4.46**	**Strongly Agree**
	Overall Weighted Mean	**4.34**	**Strongly Agree**

Source: Authors, (2026).

The Table 8 indicates that students demonstrated a neutral overall preference toward the paper-and-pencil method, with an overall weighted mean of 3.38, and particularly low ratings in comfort and privacy as well as overall satisfaction. While ease of use and accessibility were rated as agreeable, concerns regarding privacy, feeling judged, and convenience was evident. These results align with prior research suggesting that traditional screening formats are perceived as less private and less flexible, which may reduce user engagement and satisfaction, especially among digitally literate college students [4], [17]. The neutral preference suggests that while paper-based tools remain functional, they may no longer align with students' expectations for autonomy, confidentiality, and convenience [8].

Table 8: Level of students' preference using Written Preference/ paper-and-pencil screening method.

Dimensions	Statements	Mean	Descriptive Interpretation
Ease of Use and Efficiency	1. I found the process of completing the screening to be easy to understand and follow. "	4.03	Agree
	2. I found the method easy to use and intuitive	3.70	Agree
	3. The screening process is completed within a reasonable amount of time	3.76	Agree
	4. I can finish the screening without feeling rushed or overwhelmed	3.27	Neutral
	Category Mean	**3.69**	**Agree**
Accessibility	5. The method felt free of technical issues or unnecessary hurdles "	3.55	Agree
	6. Completing the screening using this method felt convenient for my schedule	3.18	Neutral
	7. I would be able to easily access this screening method whenever I needed it	3.21	Neutral

	8. The instructions and layout were clear regardless of where I completed the screening	3.79	Agree
	Category Mean	**3.43**	**Agree**
Comfort and Privacy	9. I felt comfortable and relaxed while using this method to answer the questions "	3.85	Agree
	10. I felt confident that my answers were private and secure using this method	2.88	Neutral
	11. This method made it easy to concentrate on the questions without distraction	3.42	Agree
	12. Using the the method makes me feel less judged	2.61	Neutral
	Category Mean	**3.19**	**Neutral**
Overall Satisfaction and Preference	14. Given the choice, I would prefer to use this method over the mobile application for future screenings?	2.97	Neutral
	15. I would recommend this app to other students for mental health screening	3.12	Neutral
	Category Mean	3.19	Neutral
	Overall Weighted Mean	**3.38**	**Neutral**

Source: Authors, (2026).

The Table 9 shows a statistically significant difference in depression scores between mobile and paper-based screening methods (p = .048), while no significant differences were found for anxiety (p = .272) and stress (p = .167). This indicates that the mode of administration influenced depression screening outcomes but not anxiety or stress results. Such findings are consistent with literature suggesting that depressive symptoms are more sensitive to contextual and emotional factors related to assessment modality, particularly privacy and perceived judgment [17], [9]. The absence of significant differences in anxiety and stress supports previous evidence that these constructs demonstrate greater measurement equivalence across formats [2], [5].

Table 9: Significant difference in the mental health screening results of students when administered between methods.

Ranks				
		N	**Mean Rank**	**Sum of ranks**
Depression-Traditional - Depression-APP	Negative Ranks	3[a]	5.00	15.00
	Positive Ranks	9[b]	7.00	63.00
	Ties	21[c]		
	Total	33		
Anxiety-Traditional - Anxiety-APP	Negative Ranks	3[d]	3.50	10.50
	Positive Ranks	5[e]	5.10	25.50
	Ties	25[f]		
	Total	33		
Stress-Traditional - Stress-APP	Negative Ranks	2[g]	2.00	4.00
	Positive Ranks	4[h]	4.25	17.00
	Ties	27[i]		
	Total	33		

TEST STATISTICS[a]		
Depression-Traditional - Depression-APP	Anxiety-Traditional - Anxiety-APP	Stress-Traditional - Stress-APP
-1.977[b]	-1.098[b]	-1.382[b]
.048	.272	.167
a. Wilcoxon Signed Ranks Test		
b. Based on negative ranks.		

Source: Authors, (2026).

The Table 10 reveals statistically significant differences across all preference dimensions, with students consistently favoring the mobile screening method over the paper-based approach, as evidenced by significant p-values (.003 to .000). The largest mean difference was observed in comfort and privacy, underscoring the importance of emotional experience in screening modality preference. These findings strongly align with existing research highlighting that mobile mental health tools outperform traditional methods in usability, acceptability, and user satisfaction, particularly among young adults [23], [22],[17]. The results affirm that user-centered design and digital delivery play a critical role in shaping student engagement with mental health screening tools [30].

Table 10: Significant difference in student preference between the mobile and paper-based screening methods.

Paired Samples Test									
		Paired Differences					t	df	Sig. (2-tailed)
		Mean	Std. Deviation	Std. Error Mean	95% Confidence Interval of the Difference				
					Lower	Upper			
Pair 1	ease of use and efficiency-Written - ease of use and efficiency-Mobile	-.50000	.89049	.15501	-.81575	-.18425	-3.226	32	.003
Pair 2	accessibility-Written - accessibility-Mobile	-.77273	.84401	.14692	-1.07200	-.47345	-5.259	32	.000
Pair 3	comfort or privacy-Wtitten - comfort or privacy-mobile	-1.30303	.69529	.12103	-1.54957	-1.05649	-10.766	32	.000
Pair 4	overall satisfaction-Written - overall satisfaction-mobile	-1.272727272727273	.910793859523358	.158548860124669	-1.595680732482766	-.949773812971779	-8.027	32	.000
Pair 5	Ovearll Weighted Mean -Written - Ovearll Weighted Mean -mobile	-.962121212121213	.637812562636405	.111028915842842	-1.188279712889697	-.735962711352728	-8.666	32	.000

Source: Authors, (2026).

V. CONCLUSIONS

The mental health screening results of college students differ depending on the method of administration, particularly in the assessment of depressive symptoms. As a whole, a significant difference was established in depression scores between the mobile application and paper-and-pencil screening methods, indicating that the mode of screening influences how students report depressive experiences. This finding serves as evidence that digital screening environments may facilitate greater openness and self-disclosure among students due to enhanced perceptions of privacy, comfort, and reduced judgment. On the other hand, no significant differences were found in anxiety and stress results between the two screening methods, suggesting that these constructs remain relatively stable across digital and traditional modalities and that both methods are psychometrically viable for their assessment.Moreover, the study clearly demonstrates that students show a significantly stronger preference for the mobile screening method across all dimensions, including ease of use, accessibility, comfort and privacy, and overall satisfaction.

This indicates that mobile-based mental health screening aligns more closely with the needs, expectations, and behavioral patterns of contemporary college students. The high level of acceptability toward the mobile method reflects the importance of user experience in mental health assessment and highlights the potential of digital tools to increase participation, engagement, and willingness to undergo mental health screening within the university setting.On a practical note, the findings of this study provide important implications for Cagayan State University–Carig Campus in strengthening its mental health support services. The results may serve as a basis for integrating mobile mental health screening tools as a complementary mechanism to existing paper-based assessments, particularly for early detection and routine mental health monitoring among students. The evidence generated by this study may also guide university administrators, guidance counselors, and mental health practitioners in designing more student-centered, accessible, and acceptable screening programs that encourage proactive help-seeking behavior.

However, the study has certain limitations that must be acknowledged. First, the respondents were limited to a relatively small sample from a single campus, which may restrict the generalizability of the findings. Future researchers are encouraged to include larger samples and multiple campuses to provide a more comprehensive understanding of students' mental health screening experiences. Second, the study focused only on depression, anxiety, and stress; thus, future studies may consider including other mental health indicators such as well-being, resilience, or burnout. Finally, future research may explore longitudinal designs to examine changes in students' mental health outcomes and screening preferences over time, as well as the integration of mobile screening tools with follow-up interventions and counseling services.

VI. AUTHOR'S CONTRIBUTION

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Methodology: Arlen B. Calimag.
Investigation: Arlen B. Calimag.
Discussion of results: Arlen B. Calimag and Thelma D. Palaoag.
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SUSTAINABLE SELF-COMPACTING CONCRETE: INVESTIGATING THE SIZE EFFECTS OF COAL BOTTOM ASH AS A LIGHTWEIGHT AGGREGATE

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ABSTRACT

The mining and processing of coal generate significant waste, often disposed of in landfills, with coal slag heaps in southwestern Algeria forming artificial mountainous structures. This study investigates the potential of reusing coal bottom ash (CBA) as a lightweight aggregate in self-compacting concrete (SCC), fully replacing natural fine and coarse aggregates. The research focuses on the effect of CBA aggregate size on the fresh and hardened properties of SCC. Experimental results show that replacing natural coarse aggregate (NCA) with coarse CBA (CCBA) enhanced self-compactability, while fine CBA (FCBA) reduced workability. The use of CBA resulted in lower dry densities (1920.6–2134 kg/m³), qualifying the mixtures as lightweight SCC according to EN 206-1 standards. Although compressive and flexural strength decreased and porosity increased due to the lightweight and porous nature of CBA, strength values met ACI standards for structural applications. Microstructural examination indicated a rise in porosity within the concrete matrix; however, a limited formation of supplementary calcium-silicate-hydrate (C-S-H) gel was observed, which contributed to partially offsetting the reduction in mechanical strength. This study demonstrates the viability of CBA, particularly as a coarse aggregate, for producing lightweight SCC, offering a sustainable solution for recycling industrial waste and developing eco-friendly construction materials with acceptable structural properties.

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I. INTRODUCTION

The growing demand for construction materials has intensified pressure on natural resources, highlighting the urgent need for alternative materials and technologies. Conventional construction practices are increasingly unsustainable due to resource depletion and environmental impacts. Consequently, the development and adoption of innovative, resource-efficient alternatives have become essential to ensure the long-term sustainability of the construction industry [1]. The Bechar region in southwestern Algeria has a significant history of coal mining, beginning in 1918 at Kenadsa. Mining operations transitioned from open-cast to underground methods, reaching depths of 600 meters. Production peaked between 1942 and 1960, but the discovery of oil and gas reserves in the 1950s led to a decline in coal mining, with operations ceasing entirely by 1975. This left behind approximately 3.7 million cubic meters of coal waste in the form of slag heaps, covering 167.71 hectares and posing environmental and health risks due to toxic emissions [2].

Coal Bottom Ash (CBA), a byproduct of coal combustion, has been studied as a sustainable alternative in concrete production. While its use as a fine aggregate replacement often reduces workability and strength, it exhibits pozzolanic properties that enhance long-term performance [3-5].

The substitution of sand with coal bottom ash (CBA) often leads to a decline in workability, density, and strength. However, furnace bottom ash (FBA) has demonstrated comparable performance when used as a complete replacement for fine aggregate [3-5]. According to [3] found that replacing 10-25% of fine aggregate with CBA led to an increase in compressive strength. This improvement can be attributed to CBA's pozzolanic properties, which align with ASTM Class F classification, enabling strength development over time [6]. In [4] reported enhanced flexural and tensile resistance in mixtures containing 75% bottom ash and 20% fly ash, particularly after extended curing periods. While initial strength reductions were observed due to the slow pozzolanic reaction, these were counterbalanced by substantial gains in later stages. According to [5] noted that the use of coarse bottom ash resulted in a slight reduction in slump flow, whereas fine bottom ash showed no significant effect. Despite its potential, the majority of research has concentrated on CBA as a fine aggregate, with limited exploration of its application as a lightweight coarse aggregate in self-compacting concrete [7-10]. Lightweight self-compacting concrete (LWSCC) combines the benefits of lightweight aggregates (LWAs) and SCC, offering reduced density, improved insulation, and enhanced flow properties without vibration [11].

Research has explored various lightweight aggregates (LWAs), natural, industrial and agriculture waste, such as pumice, expanded clay, expanded polystyrene (EPS), crushed olive kernel (COK) shells, oil palm shells (OPS), walnut shells (WS), and sintered fly ash aggregates (SFAA), to enhance the properties of self-compacting lightweight concrete (SCLC). Studies show that LWAs reduce density and improve thermal insulation but often lower compressive strength and increase water absorption. For instance, pumice and EPS improve thermal performance and reduce structural weight, while COK and OPS offer sustainable alternatives with acceptable strength. Fly ash and supplementary materials like silica fume (SF) and metakaolin (MK) enhance mechanical properties and workability. However, challenges such as segregation, reduced workability, and durability issues remain. Overall, LWAs show promise for sustainable, lightweight concrete applications, though further research is needed to optimize their performance [12-16]. These advancements highlight the potential of LWSCC as an eco-friendly construction material. This study investigates the use of CBA as a lightweight coarse and fine aggregate replacement in LWSCC, aiming to address environmental challenges posed by coal waste while promoting sustainable construction practices. Present work focuses mainly to evaluate the effect of CBA aggregate size on the rheological and mechanical behavior of SCC. By integrating CBA into SCC, the research seeks to optimize material performance, reduce natural resource consumption, and provide a viable solution for managing industrial waste. The findings contribute to the development of sustainable concrete production, offering insights into the mechanical and durability properties of CBA-based LWSCC.

II. MATERIALS AND METHODS

II.1 MATERIALS

II.1.1 Cement

Ordinary Portland Cement (CEM I 42.5) supplied by GICA MOUDHAD from its manufacturing plant in Bechar, southwestern Algeria, was used in the experimental investigation. The cement satisfies the provisions of the Algerian standard NA 442 and the European standard EN 197-1. The chemical composition of the used cement is reported in Table 1.

II.1.2 Coal Bottom Ash

The coal bottom ash (CBA) investigated in this study was obtained as a by-product from an obsolete thermal power station in Algeria. Following manual fragmentation, it was further processed using a jaw crusher and sieved into coarse (3/8 mm and 8/15 mm) and fine (0/3 mm) fractions as depicted in Figure 1. Scanning electron microscopy (SEM) analysis revealed its irregular morphology, high porosity, and rough surface texture. Energy-dispersive spectroscopy (EDS) confirmed its silica-alumina composition, with oxygen, aluminum, and silicon as the predominant elements (Figure 2).

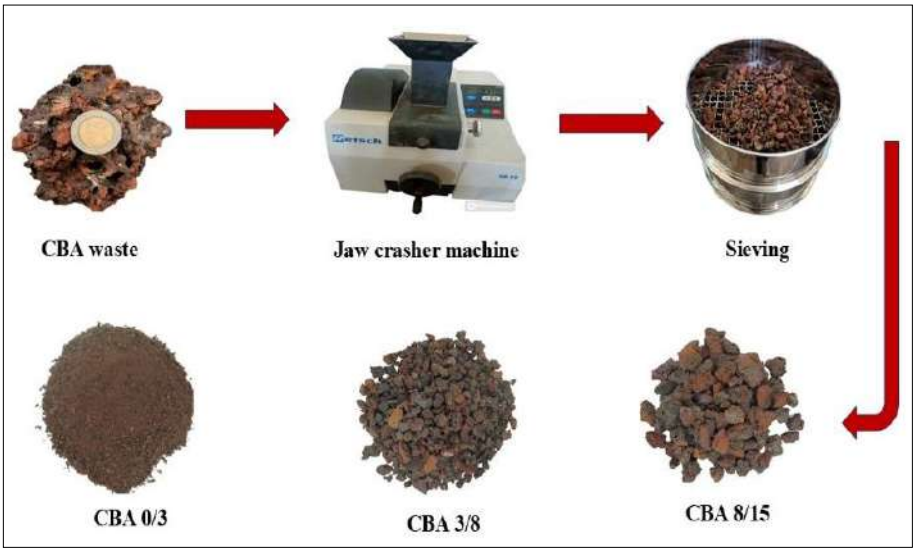


Figure 1: CBA aggregate processing.
Source: Authors, (2026).

The chemical composition of the coal bottom ash (CBA) was characterized by X-ray fluorescence (XRF) analysis. The results indicate that silicon dioxide (SiO_2), aluminum oxide (Al_2O_3), and iron oxide (Fe_2O_3) are the dominant constituents, representing 83.47% of the total oxide content. The remaining fraction consists of minor quantities of sulfates, calcium oxide, magnesium oxide, and other trace elements. In accordance with the requirements of ASTM C618, this chemical composition classifies the CBA as a Class F pozzolanic material. The detailed oxide composition of the CBA is presented in Table 1. In addition, the physical properties of the aggregates employed in this study are presented in Table 2, while their particle size distribution curves are shown in Figure 3.

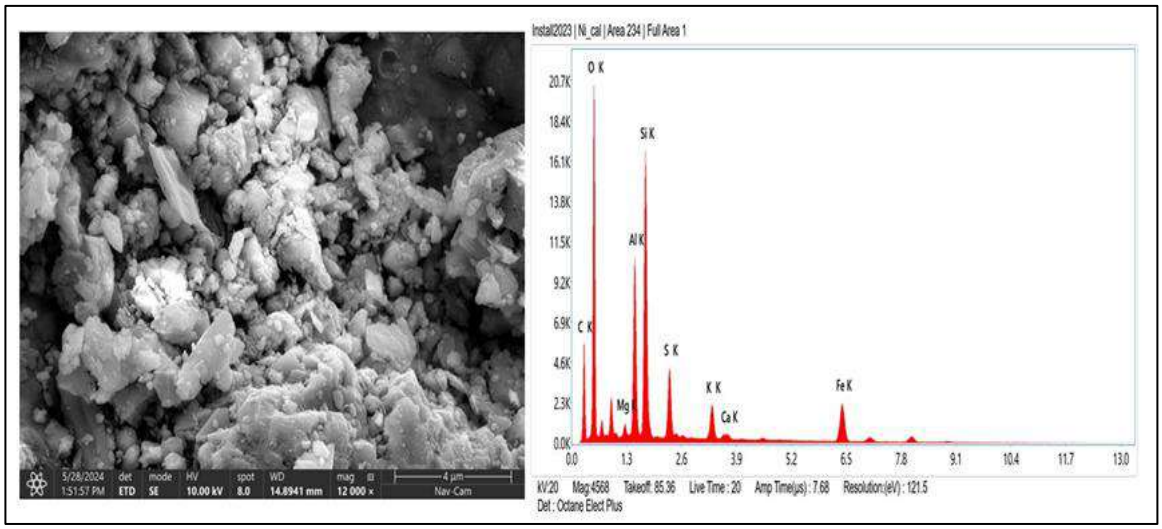


Figure 2: CBA SEM / EDS analysis.
Source: Authors, (2026).

Table 1: Chimical composition of CBA and cement.

Composition (%)	CBA	Cement
SiO_2	44.78	18.91
Al_2O_3	15.79	4.30
Fe_2O_3	22.90	4.74
CaO	2.47	60.33
MgO	1.43	3.82
SO_3	4.37	2.29
K_2O	2.38	0.84
LOI	1.2	<0.5

Source: Authors, (2026).

II.1.3 Natural Aggregate

The natural fine aggregate (NFA) used in this investigation was river sand collected from the Bechar region of Algeria, with a maximum particle size of 3 mm. The natural coarse aggregate (qNCA) consisted of crushed limestone with nominal size ranges of 3/8 and 8/15, sourced from a local quarry in Bechar, Algeria. The physical characteristics of the used aggregates are summarized in Table .2, and their particle size distribution curves are illustrated in Figure 3.

Table 2: Aggregate physical properties.

Properties	0/3 NFA	0/3 FCBA	3/8 NCA	3/8 CCBA	8/15 NCA	8/15 CCBA
Bulk density (g/cm^3) [NF P18-555]	1.6	0.99	1.39	0.70	1.40	0.66
Absolute density (g/cm^3) [NF P18-555]	2.5	2.35	2.66	1.93	2.67	1.81
Fineness modulus [NFP 18-540]	2.53	2.76	/	/	/	/
Water absorption (%) [NF EN 1097-6]	1.62	5.42	0.85	7	0.95	8

Source: Authors, (2026).

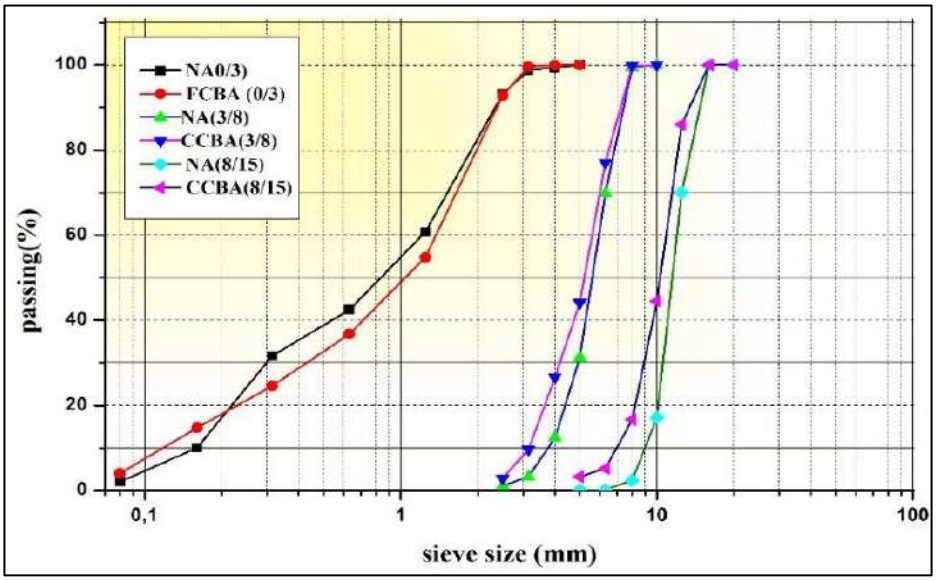


Figure 3: Aggregates particle size curves.
Source: Authors, (2026).

II.1.4 *Superplasticizer and Mixing Water*

To obtain adequate workability, a high-range water-reducing admixture (superplasticizer), commercially designated as MAX SUPERFLOW S180 and manufactured by the Algerian company Technachem, was used in conformity with the requirements of NF EN 934-2. The mixing water consisted of potable water meeting the quality criteria specified in NF EN 1008. This water, treated in accordance with drinking water standards, was supplied directly from the laboratory distribution system.

II.2 MIX PROPORTIONS

Three self-compacting concrete (SCC) mixtures were prepared following AFGC guidelines [17], maintaining a constant water-to-binder ratio of 0.48 and a superplasticizer dosage of 2% by binder weight (Table 3). The reference mix (RSCC) used natural aggregates, while two additional mixes assessed the impact of coal bottom ash (CBA) aggregate size. In FSCC, fine CBA (FCBA) replaced natural fine aggregate, whereas in CSCC, coarse CBA (CCBA) substituted natural coarse aggregate. Due to CCBA's high water absorption, it was pre-soaked for 24 hours, then drained and weighed for precise batching. FCBA, with minimal absorption, was mixed with water to reach a saturated surface-dry (SSD) state and rested for 15 minutes before use [18].

Table 3: SCC mix composition.

Composition (kg/m3)	Cement	NFA	FCBA	NCA 3/8	CCBA 3/8	NCA 8/15	CCBA 8/15	Water	SP	W/C
RSCC	520	900	/	150	/	580	/	256	2%	0.48
FSCC	520	/	836	150	/	580	/	256	2%	0.48
CSCC	520	900	/	/	111.36	/	394.65	256	2%	0.48

Source: Authors, (2026).

II.3 EXPERIMENTAL PROCEDURES

To evaluate the influence of coal bottom ash (CBA) aggregate size on the properties of self-compacting concrete (SCC), a series of tests were conducted on both fresh and hardened concrete as shown In Figure 4. For fresh concrete, assessments included slump flow, L-box, sieve segregation, and fresh unit weight measurements. Specimens were cast using standardized steel molds in various geometries, including prismatic (7 × 7 × 28 cm) and cubic (10 × 10 × 10 cm) forms, to facilitate testing of dry density, porosity, compressive strength, and flexural strength. Furthermore, microstructural analysis was performed using scanning electron microscopy (SEM) coupled with energy-dispersive spectroscopy (EDS) to examine the internal structure and elemental composition of the SCC mixtures, as detailed in Table 4.

Table 4: Tests conducted.

Tests		Standards
Workability	Slump flow	AFGC, 2008
	L-box	AFGC, 2008
	Sieve stability	AFGC, 2008
Physical tests	Dry density	EN 12390–7
	Porosity	AFREM, 1997
Mechanical strength	Compressive strength	EN 12390-1
	Flexural strength	EN 12390-5

Source: Authors, (2026).



Figure 4: Different tests conducted on fresh and hardened state.
Source: Authors, (2026).

III. RESULTS AND DISCUSSIONS

III.1 SCC FRESH STATE RESULTS

The results from fresh concrete tests, as presented in Table 5, reveal that the use of coal bottom ash (CBA) as a fine aggregate in the FSCC mixture slightly reduced workability, with a slump flow diameter of 68 cm compared to 72.7 cm for the reference mix. This decrease is attributed to the higher water absorption capacity and porous nature of CBA, which absorbs a portion of the mixing water. Conversely, when CBA was used as a coarse aggregate in the CSCC mixture, the slump flow diameter increased to 80 cm. This improvement is likely due to the pre-soaking of coarse CBA (CCBA) to achieve a saturated surface-dry (SSD) condition, which reduces water absorption during mixing and enhances workability. These findings align with previous studies by [7] and Raju et al. [10], highlighting the influence of CBA aggregate size and preparation methods on the workability of self-compacting concrete. The experimental results demonstrated that the passing ability of all mixtures ranged from 0.78 to 0.94. The FSCC mixture, incorporating fine CBA aggregates (FCBA), exhibited a blocking ratio below the 0.8 threshold set by the AFGC standard [19], indicating restricted flowability.

In contrast, the CSCC mixture, which utilized coarse CBA aggregates (CCBA), met the required range, showcasing improved flow performance. This discrepancy is attributed to reduced inter-particle friction in mixtures with larger aggregates, enhancing flowability. Specifically, FSCC mixture tend to experience higher friction, limiting flow, while CSCC mixture exhibit better flow characteristics, enabling smoother movement through the formwork [13],[19]. These findings highlight the influence of aggregate size and type on the flow properties of self-compacting concrete. The segregation resistance tests presented in Table 5 indicate that replacing natural aggregates with coal bottom ash (CBA) reduces the segregation ratio compared to the control mix. All mixtures remained stable, with sieve stability values between 6.44% and 9.24%, well below the 15% limit set by AFGC standards [20]. The use of CBA, whether as fine or coarse aggregate, significantly improved segregation resistance by lowering plastic viscosity, which slows coarse particle settling and enhances stability. These findings align with previous studies, emphasizing the benefits of lightweight aggregates in maintaining SCC uniformity and performance in its fresh state [10].

Table 5: SCC fresh state results.

Mix	Slump-flow(cm)	L– box (H2/H1)	Sieve Stability(%)
Limit values	**550-850 mm**	**≥ 0.8**	**≤ 15 %**
RSCC	72.7	0,94	9.24
FSCC	68	0,78	6.44
	80	0,90	8.5

Source: Authors, (2026).

III.2 SCC HARDENED STATE RESULTS

III.2.1 Compressive Strength Results

The compressive strength results, presented in Figure 5, indicate a progressive increase in strength with curing time, reaching peak values at 90 days. The reference SCC (RSCC) exhibited the highest strength, measuring 56.1 MPa at 90 days. Substituting river sand with fine coal bottom ash (FCBA) in the FSCC mix led to a strength reduction of approximately 33%, while the incorporation of coarse CBA (CCBA) in the CSCC mix resulted in a comparatively lower decrease of about 16% relative to RSCC at 90 days. The FSCC mixture exhibited significantly lower compressive strength, barely meeting the minimum threshold of 17.2 MPa specified by ACI Committee for structural applications.This reduction is primarily attributed to the increased porosity of the concrete matrix caused by CBA inclusion. These findings are consistent with previous research, which has demonstrated that higher FCBA replacement levels adversely affect compressive strength [3-5],[20].

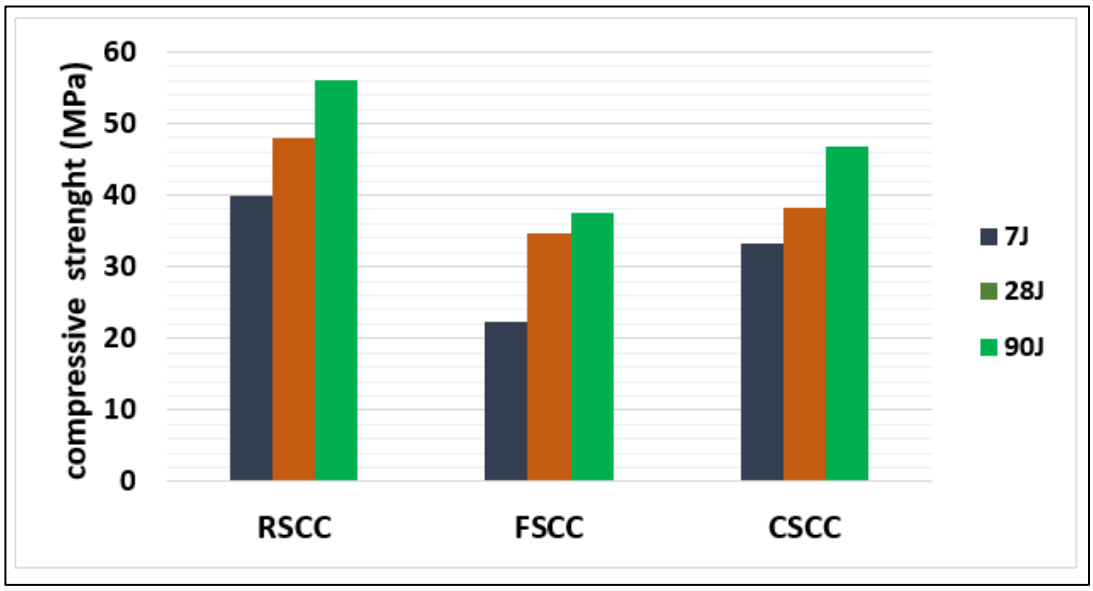


Figure 5: Compressive strength for SCC mixes.
Source: Authors, (2026).

III.2.2 Flexural Strength Results

The flexural strength results for all mixtures at 7, 28, and 90 days of curing are illustrated in Figure 6. The incorporation of coal bottom ash (CBA) as an aggregate replacement influenced the flexural performance of self-compacting concrete (SCC). Due to the lower strength and density of CBA aggregates, the mixtures in which fine CBA (FCBA) fully replaced natural sand exhibited reductions in flexural strength of 19% compared to the reference mix (RSCC). Similarly, replacing natural coarse aggregate with coarse CBA (CCBA) in the CSCC mix resulted in a 10% decrease in flexural strength at 90 days. The extent of strength reduction was found to be less pronounced when larger CBA particles were used, likely due to improved load transfer and mechanical interlocking between aggregates. In contrast, higher replacement levels with finer CBA particles led to weaker aggregate bonding and a more porous matrix, which negatively affected flexural performance. These findings align with previous research [20],[21].

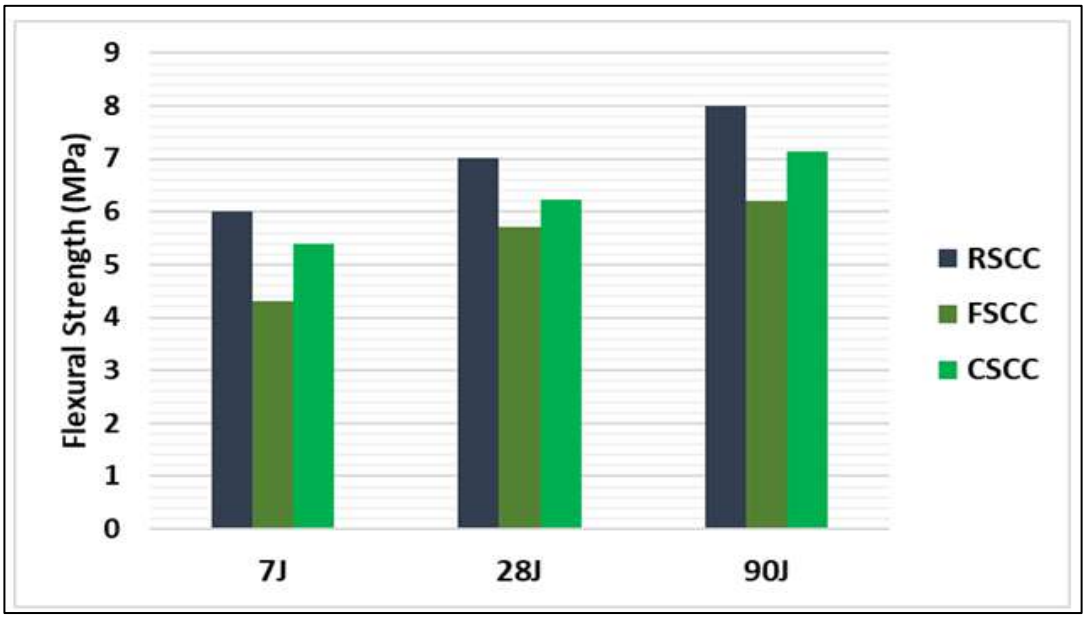


Figure 6: Flexural strength for SCC mixes.
Source: Authors, (2026).

III.2.3 Oven Dry Density Results

The oven-dry density results for all mixtures, as shown in Figure 7, indicate a clear reduction in density with the incorporation of coal bottom ash (CBA). Notably, mixtures with a dry density below 2000 kg/m³ met the lower limit for lightweight concrete (LWC) production, as specified by EN 206-1 standards, classifying them as lightweight self-compacting concrete. This decrease in density is primarily attributed to the lower intrinsic density of CBA compared to conventional aggregates. The recorded dry density values ranged from 1920.6 to 2133.96 kg/m³, with mixtures incorporating coarse CBA (CCBA) exhibiting lower densities than those containing fine CBA (FCBA). This variation is likely due to the larger particle size of CCBA, which affects the overall compactness and distribution of aggregates within the concrete matrix. [22].

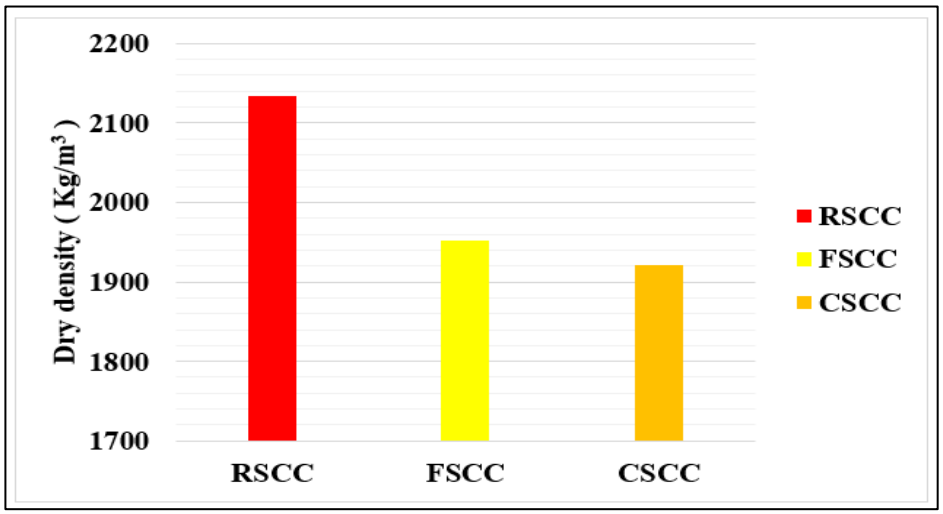


Figure 7: Oven dry density for SCC mixes.
Source: Authors, (2026).

III.2.4 Porosity Results

As shown in Figure 8, the incorporation of coal bottom ash (CBA) aggregates led to a noticeable increase in the porosity of both FSCC and CSCC mixtures when compared with the reference concrete. Specifically, mixtures containing fine CBA (FSCC) and coarse CBA (CSCC) exhibited increases in porosity of approximately 42% and 19%, respectively. This behavior is primarily attributed to the inherently porous microstructure and higher water absorption capacity of CBA aggregates relative to natural aggregates, with the magnitude of the effect being strongly influenced by particle size. Fine CBA (FCBA), owing to its larger specific surface area and more open pore network, tends to absorb greater amounts of mixing water, resulting in insufficient paste availability to effectively fill internal voids and interparticle spaces [6]. Consequently, this leads to a more porous hardened matrix. In contrast, the use of coarse CBA (CCBA) in a saturated surface-dry (SSD) condition limited additional water uptake during mixing, thereby preserving the effective water-to-binder ratio and promoting improved particle packing. This condition contributed to a comparatively lower porosity in CSCC mixtures than in FSCC mixtures. [23]

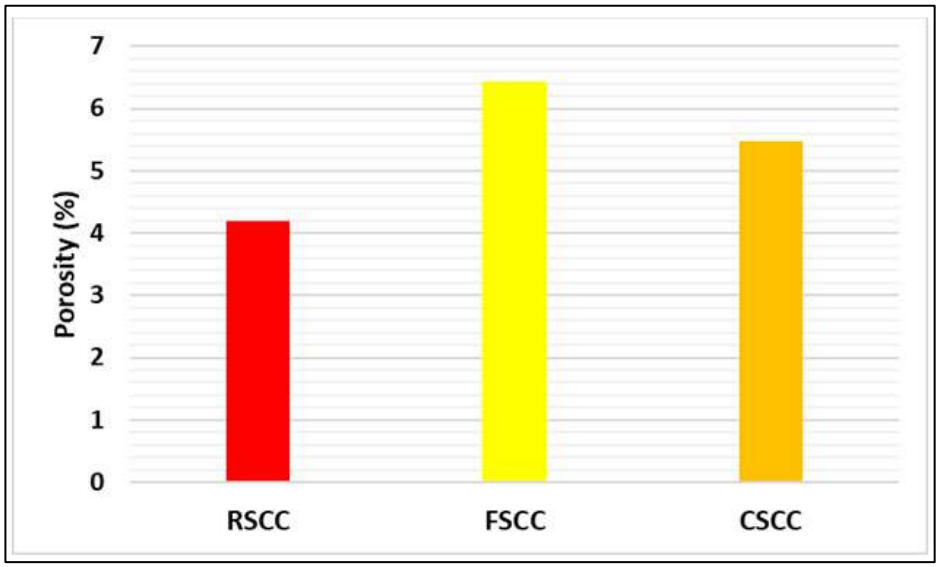


Figure 8: Porosity for SCC mixes.
Source: Authors, (2026).

III.2.5 SCC Microstructure Analysis

The SEM observations (Figures 9–11) demonstrate that the substitution of natural aggregates with coal bottom ash (CBA) significantly modifies the microstructural features of self-compacting concrete (SCC). The reference mix (RSCC) is characterized by a dense and homogeneous matrix with well-developed C–S–H gel and limited visible voids or microcracks (Figure 9). In contrast, concretes incorporating CBA exhibit a more heterogeneous microstructure, marked by increased pore volume, microcracking, and a less compact cementitious matrix (Figures 10 and 11). This effect is more pronounced when fine aggregates are replaced by fine CBA (FSCC), owing to its higher surface area and porous nature, which promote greater water absorption and hinder optimal paste densification. These microstructural deficiencies are consistent with the observed increase in porosity and the reduction in compressive strength [3],[24]. EDX analysis confirms the dominance of calcium (Ca), silicon (Si), and oxygen (O) in all mixtures, reflecting the typical composition of hydrated cement phases. The detection of aluminum (Al) and magnesium (Mg) indicates the contribution of supplementary cementitious phases associated with the presence of CBA. Mixtures containing CBA, particularly FSCC and CSCC, display enhanced silicon peaks in the EDX spectra (Figures 10 and 11), pointing to a silica-rich composition that may promote secondary pozzolanic reactions at later ages.

Additionally, the presence of trace elements such as iron (Fe) and molybdenum (Mo) can be attributed to the mineralogical composition of the ash or residual impurities inherited from the coal combustion process, in agreement with the findings of Moreno et al. [25]. The carbon (C) peaks observed in certain samples are likely associated with unburned carbon residues or carbonate phases, which may influence hydration kinetics and contribute to the observed microstructural heterogeneity. Overall, the combined SEM–EDX results provide clear evidence that the incorporation of CBA affects both the physical and chemical characteristics of SCC, with direct implications for its durability and mechanical performance.

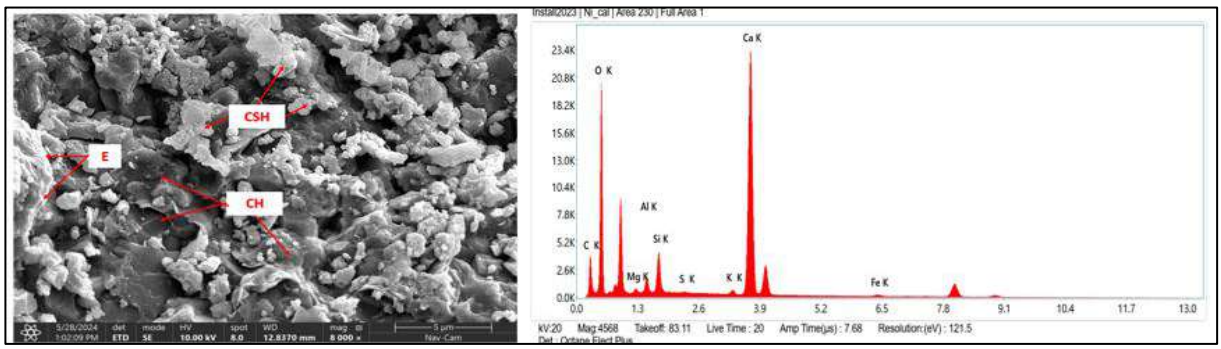


Figure 9: RSCC SEM / EDS analysis.
Source: Authors, (2026).

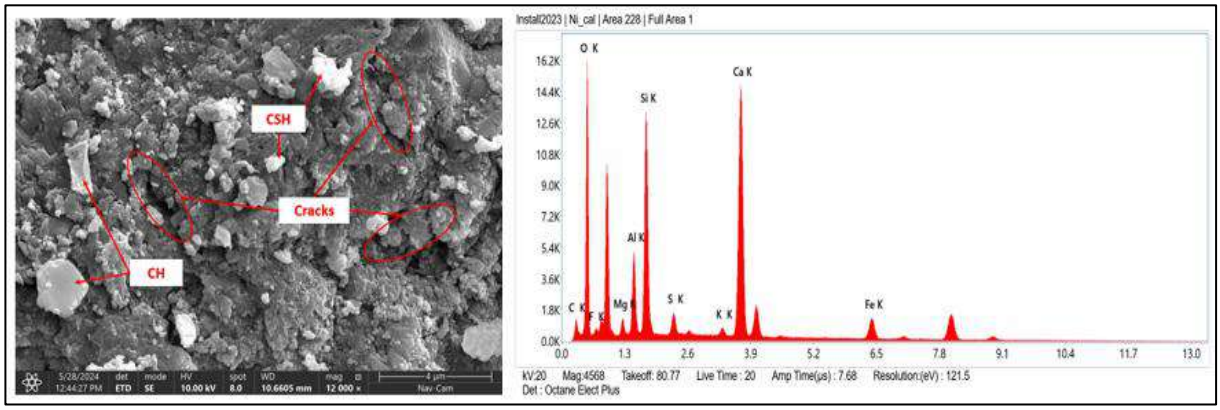


Figure 10: FSCC SEM / EDS analysis.
Source: Authors, (2026).

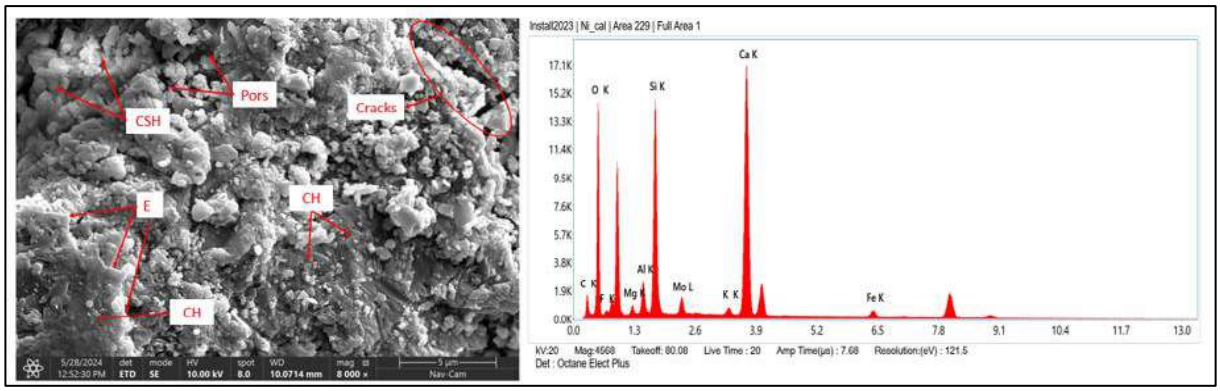


Figure 11: CSCC SEM / EDS analysis.
Source: Authors, (2026).

IV. CONCLUSIONS

This study demonstrates that incorporating coal bottom ash (CBA) as a replacement for natural aggregates in self-compacting concrete (SCC) significantly impacts its fresh, mechanical, and microstructural properties. While fine CBA (FCBA) reduced workability due to its porous nature, pre-soaked coarse CBA (CCBA) improved flowability. All CBA-based mixtures exhibited stable segregation resistance, with sieve stability values below the 15% limit. The mechanical performance of SCC declined with CBA incorporation, with compressive strength reductions of 33% in FSCC and 16% in CSCC compared to the reference SCC. Flexural strength also decreased, primarily due to increased porosity and weaker aggregate bonding. However, the resulting oven-dry density (1920.6–2133.96 kg/m³) classified these mixtures as lightweight self-compacting concrete (LWSCC) according to EN 206-1. Microstructural analysis confirmed increased porosity and crack formation, particularly in FSCC, but also highlighted a silica-rich composition and additional C-S-H gel formation, partially mitigating strength loss.

Despite reduced mechanical properties, CBA-based SCC presents a viable and sustainable alternative for lightweight concrete production, contributing to industrial waste recycling and eco-friendly construction. Future research should focus on optimizing CBA aggregate preparation and replacement ratios to enhance performance while maintaining sustainability.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Boulahya Ibtissam, Makani Abdelkadir, Tafraoui Ahmed.
Methodology: Makani Abdelkadir, Tafraoui Ahmed.
Investigation: Boulahya Ibtissam.
Discussion of results: Boulahya Ibtissam and Makani Abdelkadir.
Writing – Original Draft: Boulahya Ibtissam.
Writing – Review and Editing: Boulahya Ibtissam.
Resources: Boulahya Ibtissam.
Supervision: Makani Abdelkadir, Tafraoui Ahmed.
Approval of the final text: Boulahya Ibtissam, Makani Abdelkadir, Tafraoui Ahmed.

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AGENTIC AI IN CLOUD-BASED CREDIT CARD FRAUD DETECTION: TOWARDS AUTONOMOUS RISK MITIGATION

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ABSTRACT

Credit card fraud (CCF) still remains an ongoing concern for financial institutions because to the huge disparity between genuine and fraudulent transactions, as well as the ever-changing behavior of fraudsters. This paper proposes a cloud-based Agentic Artificial Intelligence system for real-time credit card fraud detection that utilizes autonomous multi-agent collaboration and deep temporal modeling. The system makes use of the publicly accessible CCF Detection dataset, commencing with secure cloud-level data ingestion, preprocessing, and normalization. An agentic transaction analysis layer made up of qualified agents accomplishes data validation, behavioral pattern analysis, and transaction history verification. To successfully capture both local spatial aspects and long-term temporal dependencies in transactional behavior, deep temporal fraud modeling employs a hybrid full-dimensional dynamic convolutional network mixed with shuffle attention and LSTM. Finally, an automated risk assessment and decision module generates fraud scores and initiates relevant mitigation steps such as alarms or transaction blocks. Experimental results show that the proposed framework outperforms baseline GRU-based models in detection performance, demonstrating its effectiveness, scalability, and appropriateness for real-time intelligent fraud prevention in cloud environments.

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I. INTRODUCTION

Recently, there has been an increase in the use of credit cards as a payment mechanism, with most individuals using credit cards rather than cash when making regular payments in their daily lives. In the past few decades, all humanity has benefited from internet banking services for cash transfers, debit and credit card transactions, and online bill install ment payments [1-3]. Customers can simply track their spending with a credit card and understand where their money has been spent. Despite the numerous advantages of online transactions, financial fraud and unauthorized payments offer serious risks [4]. Fraudulent financial operations are challenging to recognize due to their complex nature and advanced technology. Financial fraud is getting increasingly widespread as technology progresses [5], [6]. The financial fraud detection systems can detect unusual attacks and unlawful access. Financial organizations are continually updating their fraud detection methods. These difficulties are addressed by data mining and machine learning (ML) methods, which have become widely used in recent years [7-9]. The researchers attempt to develop fraud detection systems employing ML, deep learning (DL), and data mining techniques to determine whether a transaction is fraudulent or real.

ML has multiple branches, each of which can handle a variety of learning concerns. However, there are various framework types for ML. Random Forest (RF) is one example of an ML method for credit card fraud. The decision tree ensemble is represented by the random forest, and the RF technique is used by the majority of researchers [10], [11]. Researchers can employ a variety of machine learning techniques, including supervised and unsupervised learning. ML algorithms including Logistic Regression (LR), Artificial Neural Network (ANN), Decision Tree (DT), Support Vector Machine (SVM), and Naive Bayes (NB) [12] are widely utilized for fraud detection. Deep learning methods, such as the convolutional neural network (CNN) [13], deep belief networks (DBNs) [14] and generative adversarial network (GAN) [15] are also beneficial. A VAE is a variational autoencoder that employs frequent instruction loops to ensure that its hidden space contains relevant assets, allowing us to produce new data [16]. A VAE is created by adding modifications into the autoencoder [17], [18].

Traditional rule-based and ML-based fraud detection algorithms usually struggle to achieve high detection accuracy in real-time scenarios, especially when dealing with highly imbalanced datasets and quickly changing fraud patterns. Modern innovations in artificial intelligence (AI) and cloud computing have enabled the development of highly scalable and sophisticated fraud detection systems capable of processing enormous amounts of transactions instantaneously [19], [20]. However, the majority of existing solutions are built on centralized, single-model systems with limited adaptability and decision-making independence. To address these constraints, this study introduces a cloud-based Agentic AI system for real-time CCF detection based on DL framework. By merging Agentic AI, cloud computing, and deep temporal learning techniques, this research aims to create a next-generation fraud detection system that improves not only detection accuracy but also interpretability, flexibility, and automatic risk mitigation. The major contribution of this research is defined below:

- To enable autonomous and intelligent risk management, A cloud-based agentic AI system is developed credit card fraud detection by integrating multi-agent collaboration analysis.
- For real time fraud detection, the proposed framework integrates Data Quality, Behavioral Analysis, Verification, Risk Analysis, and Reporting agents.
- A deep temporal fraud detection model is developed with fully dynamic convolutional and shuffle attention mechanism to extract most informative attributes with sequential patterns for fraud detection.
- The system generates a fraud risk score for each transaction and takes relevant measures to mitigate it including notifications, transaction blocking, or escalation to human analysts. In real-world deployment scenarios, this eliminates manual intervention while increasing response speed.

The research organisation of the work is stated as: The recent survey based on credit card fraud detection with its merits and demerits are elaborated in section 2. The methodology with cloud-based fraud detection is described under section 3. Then, the performance evaluation part is discussed in section 4 and finally the research paper is ends with conclusion and future scope.

II. RELATED WORK

The progress of ML and DL techniques has had a significant impact on credit card fraud detection. Recent research has focused on increasing detection accuracy in highly imbalanced data sets, reducing false positives, and enabling real-time fraud detection. Traditional ML models are being replaced or improved by DL architectures such as CNNs, RNNs, hybrid multi-stage systems, and uncertainty-aware frameworks. Therefore, the recent publications for CCF detection are depicted in Table 1.

Table 1: Literature survey on CCF detection.

Reference	Main Contribution	Merits	Demerits / Limitations
Chen & Lai (2021) [21]	Proposed a Deep CNN for automatic feature learning and fraud detection with alert generation.	High detection accuracy; automatic extraction of spatial features; reduced reliance on manual feature engineering.	CNNs are computationally intensive; limited temporal modeling of transactions; lacks real-time deployment analysis.
Asha & Suresh Kumar (2021) [22]	Applied Artificial Neural Networks (ANNs) for binary fraud classification using transactional data.	Simple architecture; easy to implement; improved accuracy over traditional ML models.	Limited ability to capture temporal transaction dependencies; performance sensitive to class imbalance.
Zioviris et al. (2022) [23]	Introduced a deep learning multi-stage framework combining multiple classifiers for fraud detection.	Improved robustness; better generalization through stage-wise learning; reduced false positives.	Increased system complexity; higher computational overhead; not suitable for edge or low-latency environments.
Habibpour et al. (2023) [24]	Developed an uncertainty-aware deep learning model to quantify prediction confidence in fraud detection.	Improves trustworthiness of predictions; reduces risky misclassifications; supports risk-aware decision making.	Requires complex probabilistic modeling; higher training cost; interpretability is still limited.
Sulaiman et al. (2024) [25]	Proposed improved deep learning architectures for enhanced fraud detection under imbalanced datasets.	Better performance on skewed datasets; improved recall for minority (fraud) class.	Heavily dependent on dataset balancing strategies; lacks adaptive or autonomous learning capability.
Siam et al. (2025) [26]	Designed a hybrid feature selection framework integrated with machine learning classifiers.	Reduces dimensionality; enhances classification speed and accuracy; avoids irrelevant features.	Feature selection is static; cannot adapt dynamically to evolving fraud patterns.
Bonde & Bichanga (2025) [27]	Introduced an ensemble deep learning approach using SMOTE-ENN hybrid resampling.	Strong performance under extreme class imbalance; reduced noise and overfitting; stable predictions.	Synthetic data dependency may introduce bias; limited real-time applicability due to preprocessing overhead.

Source: Author, (2026).

III. PROPOSED METHEDOLGY

The proposed frmework incldes four main stages namely data pipeline, agnetic transaction analysis, deep temporal fraud detetcion and final decision and actions and it is illustarted in Figure 1. The first stage is stated as preprocesisng and it is accomplished to ensure high quality input for the upcoming stages. Agentic Transaction Analysis evaluates each transaction autonomously using a coordinated group of AI agents. The thids stage is stated as the proposed DL framework for fraud detetcion with advanced mechanims. And the final stage is the risk assessment with rapid decisions such as sending notifications, requesting further verification, or denying high-risk transactions respectively.

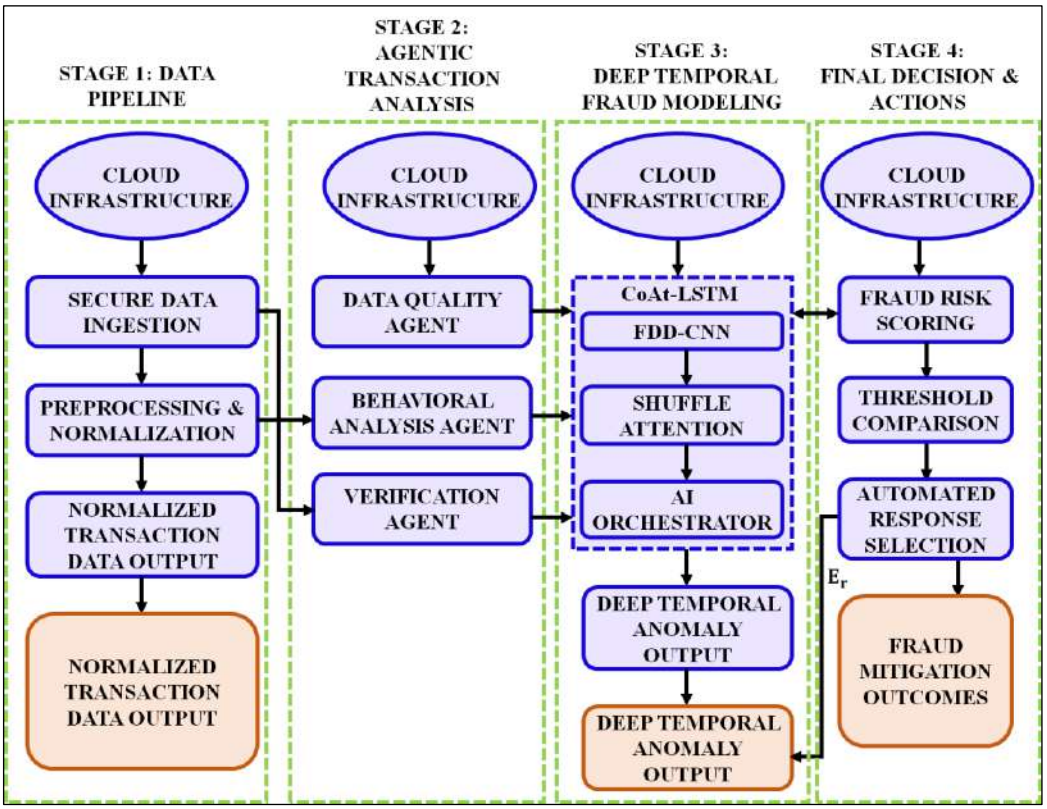


Figure 1: Overall proposed framework.
Source: Author, (2026).

III.1 STAGE 1: CLOUD-BASED DATA INGESTION AND PREPROCESSING

The CCF Detection dataset is securely ingested and pre-processed in the first step of the proposed methodology. To guarantee adherence to security and privacy regulations, the data is stored in an encrypted storage layer upon access into the cloud environment. The dataset integrity is then confirmed by a preliminary data-quality assessment, which includes evaluating feature ranges, looking for missing values, and verifying the statistical consistency of the principal component analysis (PCA)-derived features V_1–V_{28}. The dataset goes through a standardized preprocessing method after the initial verification. The approach uses normalization to provide consistent feature contribution during model training because the original features show varied scales. Normalization of standard scores is carried out using below equation.

$$x' = \frac{x-\mu}{\sigma} \tag{1}$$

Here, the original feature value is stated as x and the mean and standard deviation is termed as μ and σ respectively. Class-weighting is used in the preprocessing stage to reduce the disparity between fraudulent and valid transactions. Each class weight w_i is specified as:

$$w_i = \frac{1}{\text{freq}(y_i)} \tag{2}$$

Lastly, to preserve the initial fraud-to-non-fraud ratio, the dataset is divided into training and testing subsets using stratified sampling:

$$(X_{\text{train}}, X_{\text{test}}, y_{\text{train}}, y_{\text{test}}) = \text{StratifiedSplit}(X, y) \tag{3}$$

III.2 STAGE 2: MULTI-AGENT TRANSACTION ASSESSMENT

Each transaction is sent to a coordinated group of specialized AI agents that have been deployed in the cloud after preprocessing. These agents work in a sequential manner to make sure that each transaction is carefully assessed before being processed further.

The initial assessment is carried out by the Data Quality Agent, who confirms that the transaction has no missing or corrupted data and that the standardized input features fit within statistically valid ranges. This phase stops subsequent components from processing

noisy or corrupted records. The agent confirms that each feature x_i' falls within a reasonable range around its mean, usually within $x_i' \in [-3\sigma_i, +3\sigma_i]$ respectively. Transactions that exceed these thresholds are marked for possible anomalies or faults in preprocessing.

The Behavioral Analysis Agent assesses the spending characteristics of the transaction after data integrity has been verified. This agent is primarily concerned with identifying anomalous transaction quantities, sudden spending patterns, and departures from typical temporal patterns. The difference between the current transaction amount A_t and the mean historical amount μ_A is analyzed for a particular user using $\Delta A = \mid A_t - \mu_A \mid$ and temporal irregularity is evaluated using $\Delta t = t_{\text{current}} - t_{\text{previous}}$. Abnormally low Δt values could be a sign of fraudulent activity-related quick transaction bursts.

In this phase, the Verification Agent performs the last evaluation by contrasting the transaction with the user's long-term behavioral profile that has been preserved in the cloud. The degree to which the current transaction representation x_t and the user's behavioral profile P_u are similar is determined using a distance-based score $S = \| x_t - P_u \|$,where higher values signify less consistency with the user's known behavior. High-risk transactions are flagged and sent to the orchestrator for more in-depth contextual analysis if they don't pass this verification stage.

Before each transaction is sent to the higher-level orchestration and deep-learning stages of the framework, it is filtered, analyzed, and validated by these three agents working together to provide an organized, multi-perspective evaluation pipeline. This increases accuracy and robustness by ensuring that only transactions that have been thoroughly evaluated and contextually interpreted move on to the risk modeling stage.

III.3 STAGE 3: DEEP TEMPORAL FRAUD MODELING USING A COAT-LSTM ARCHITECTURE

Transactional input data is first processed by a Full-Dimensional Dynamic Convolutional Network (FDD-CN) in the suggested credit-card fraud detection system. This network adaptively learns spatial feature dependencies over several kernel dimensions. After being dynamically retrieved, the spatial characteristics G_t^s are subjected to a Shuffle Attention technique that suppresses noisy or redundant information while emphasizing the most essential channel and spatial feature representations. The attention-enhanced characteristics are then fed into a stacked Conv-LSTM network, which makes it possible to model the sequential transaction dynamics and temporal behavior that are commonly associated with fraudulent activity. An attention layer is incorporated to assess the relative significance of each time step in a transaction sequence in order to further improve discriminative capabilities. This layer allows the model to adaptively emphasize high-risk transaction states by computing attention weights β_t using a Tanh-based scoring function and a normalization procedure. The final attended representation H_t^a is a reliable real-time decision making and it is produced by the weighted aggregate of Conv-LSTM hidden outputs. The Deep Temporal Fraud Modeling is illustrated in Figure 2.

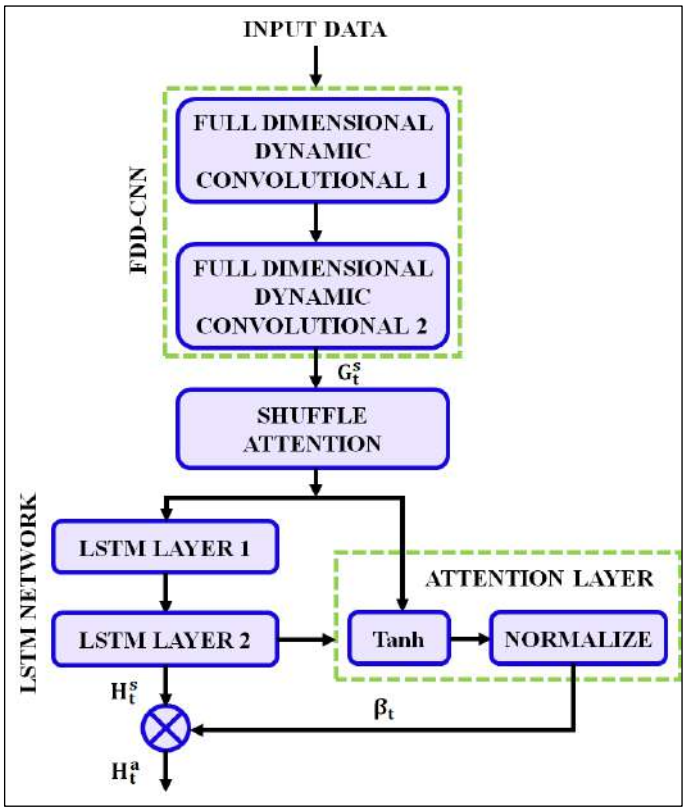


Figure 2: DL based fraud detection framework.
Source: Author, (2026).

III.3.1 Full-Dimensional Dynamic Convolutional Network (Fdd-Cn)

Single static convolution kernel is usually used by each convolutional layer in traditional convolutional neural network topologies. These kernels are fixed and applied consistently to all input samples after they are learned during training. However, in situations like real-time credit card transaction streams, this static behavior restricts the network's capacity to adjust dynamically changing patterns. This

research incorporates a Full-Dimensional Dynamic Convolution (FDDC) module to get over this restriction. This module adaptively modifies convolutional parameters according on input features, allowing for a more expressive and versatile feature-representation capability.

The main concept of FDDC is to use a set of many learnable convolution kernels in place of the static convolution kernel to dynamically compute the contribution weights of each kernel based on the properties of each input. Therefore, the dynamic convolution output is expressed below:

$$y = \sum_{i=1}^{m}(\alpha_{ci} \odot \theta_{ci} W_{ci}) * x \tag{4}$$

Here, W_{ci} specifies the convolutional kernel, m defines the number of dynamic kernels, θ_{ci} specifies the learnable kernel-parameter scaling, α_{ci} defines the attention weight respectively. In order to calculate these weights, the input is initially subjected to two Fully Connected (FC) layers with a ReLU activation, Global Average Pooling (GAP) to collect global contextual information, and Sigmoid activation. Therefore, the mathematical expression is given below:

$$\alpha_{ci} = \text{Sigmoid}(\text{FC}(\text{ReLU}(\text{FC}(\text{GAP}(x))))) \tag{5}$$

Operationally, the FDDC module uses GAP to first extract global contextual information from an input feature map x. After passing the resultant compact representation through a series of FC layers, ReLU and Sigmoid activations are used to produce a set of attention weights α. The module can determine how much each dynamic convolution kernel should contribute to the final output by using these attention scalars. The weighted kernels are then applied to the input in parallel after the resulting attention values are multiplied element-wise by the corresponding convolution kernels. Ultimately, an adaptively modulated feature map is created by aggregating the outputs of all dynamically weighted convolution kernels. The architecture of FDDC network is illustrated in Figure 3.

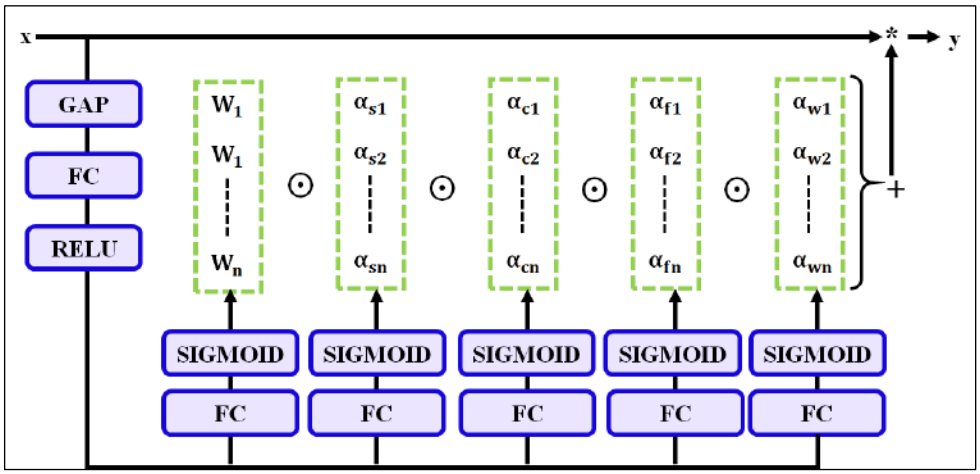


Figure 3: Structure of FDDC network .
Source: Author, (2026).

III.3.2 Shuffle Attention (SA) Mechanism

The Shuffle Attention (SA) technique combines spatial and channel attention while reducing computing complexity to improve feature discrimination. More fine-grained attention learning is made possible by SA, which splits the input feature tensor into smaller grouped subsets rather than analysing the entire feature map holistically. An input feature map $X \in \mathbb{R}^{C\times W\times H}$ is first divided into G groups along the channel dimension, represented as $X = \{X_1, X_2, \ldots, X_G\}$with each group $X_i \in \mathbb{R}^{\frac{C}{G}\times W\times H}$. As seen in Figure 4, each group is then further split into two branches, $X_{i1}$and X_{i2},, which stand for channel-attention processing and spatial-attention processing, respectively. Channel Attention is used in the first branch to highlight the significance of informational channels. The spatial dimension of X_{i1},is compressed using a GAP operation to create channel attention weights. This results in a one-dimensional descriptor $F_{GAP}(X_{i1})$. The channel-attention coefficients X'_{i1} are then obtained by feeding this descriptor into a fully linked transformation and Sigmoid activation.

$$S = F_{GAP}(X_{i1}) = \frac{1}{W\times H}\sum_{j=1}^{W}.\sum_{k=1}^{H}.X_{i1}(j,k) \tag{6}$$

$$X'_{i1} = \sigma(W_1 S + b_1) \tag{7}$$

The trainable parameters are stated as W_1 and b_1. Spatial Attention is used in the second branch to identify local structural signals and spatial correlations in the feature map. Spatial attention stresses pixel-level interactions, in comparison with the channel attention branch. To create spatial-attention maps, Group Normalization (GN) is applied over X_{i2}, followed by a fully connected layer and Sigmoid activation:

$$X'_{i2} = \sigma(W_2 \cdot GN(X_{i2}) + b_2) \odot X_{i2} \tag{8}$$

An enhanced feature group $X_i' = [X_{i1}', X_{i2}']$. is created by concatenating the two processed branches X_{i1}' and X_{i2}'. Following the independent processing of each group, the outputs are combined and a channel shuffle operation is carried out. This shuffling step prevents feature isolation and facilitates efficient information sharing across groups by redistributing learnt dependencies across channels. The architecture of SA mechanism is illustrated in Figure 5.

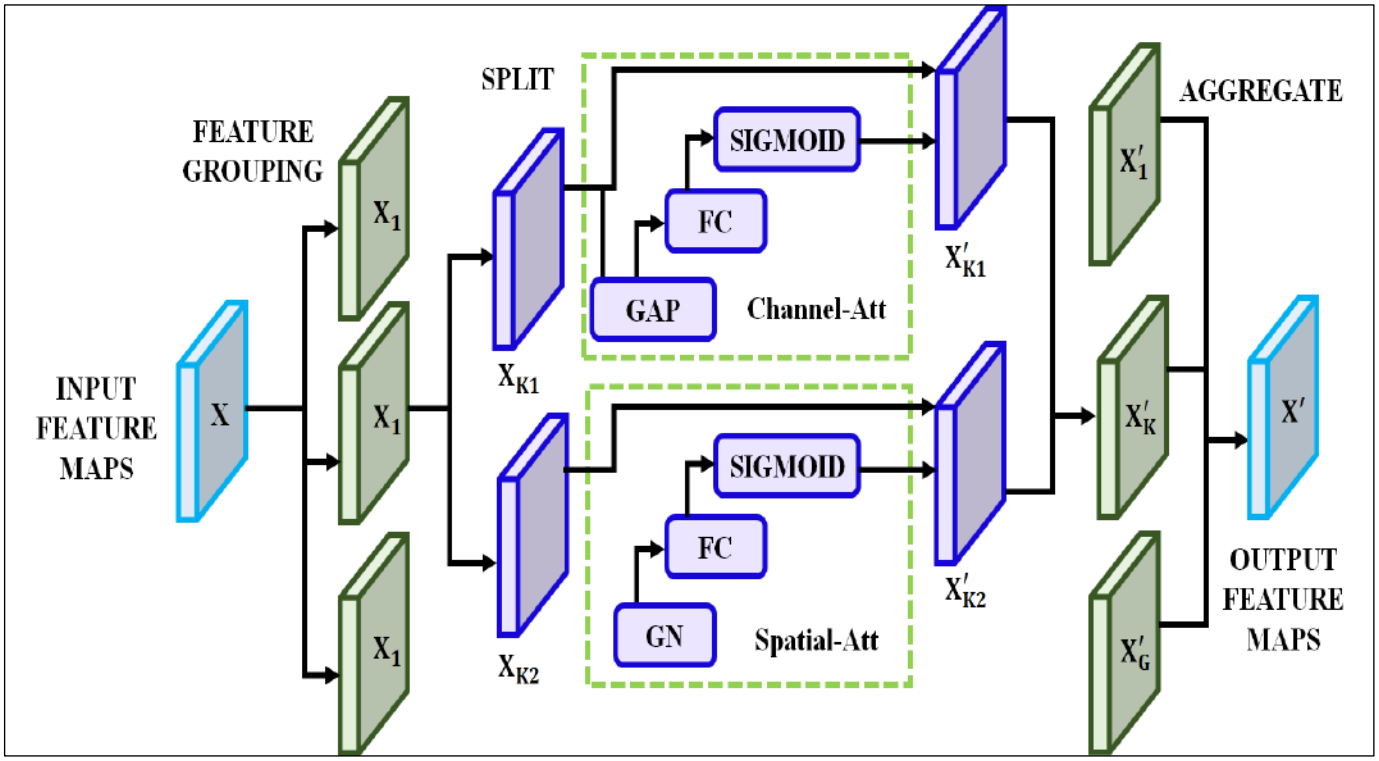


Figure 4: Shuffle attention mechanism.
Source: Author, (2026).

III.3.3 Attention Layers with Conv-LSTM Networks

The Conv-LSTM framework incorporates the attention layer to improve the capacity of the model. In order to allow the network to emphasize the most relevant temporal aspects and suppress unnecessary or redundant information, an attention mechanism is implemented to selectively weight the hidden states generated by Conv-LSTM. A weighted sum of the hidden states is used to determine the final attention-enhanced hidden representation $H_t{}'$ and its expression is given below:

$$H_t{}' = \sum_{s=1}^{n+1} . \beta_s H_{t-(s-1)}^f \tag{9}$$

Here, $n+1$ specifies the sequence length, β_s defines the attention weights and its mathematical formulation is given below:

$$\beta_s = \frac{\exp(S_s)}{\sum_{i=1}^{n+1} \exp(S_i)} \tag{10}$$

The contribution of both temporal information from the Conv-LSTM hidden states (H_t^f) and spatial feature information from CNN layers $(G_t)$is evaluated to determine the important score S_s and it is defined below:

$$S_s = V_s^T \tanh(W_s G_t + W_s^f H_t^f) \tag{11}$$

where V_s, W_s,and W_s^f are learnable weight parameters. The network gains improved interpretability, resilience, and efficiency when handling complex temporal sequences like fraud detection, or anomaly analysis by combining Conv-LSTM with attention. The structure attention layer with network model is illustrated in Figure 5.

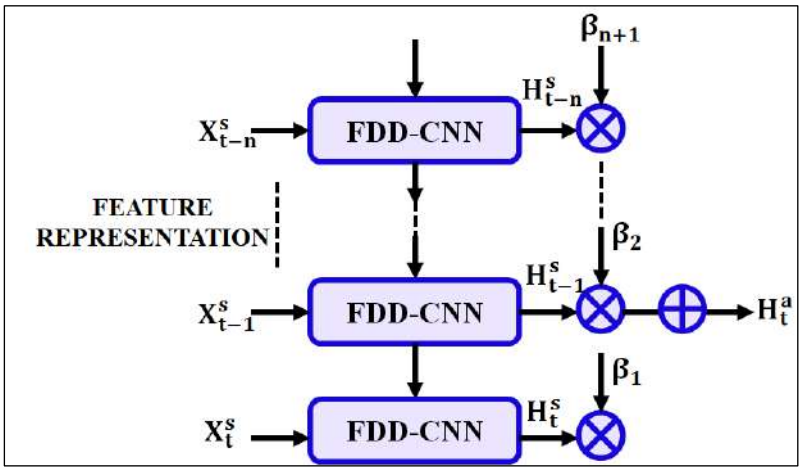


Figure 5: Attention layer with network model.
Source: Author, (2026).

III .3.4 Lstm Final Layer Workflow Description

The LSTM layer serves as the main decision-making component and it receives the refined feature representations generated by the FDD-CNN layer and the attention-enhanced Conv-LSTM processing. By examining the sequential evolution of transaction behavior, this last LSTM layer discovers the differences between normal and fraudulent spending patterns. The LSTM layer creates an output and that captures the degree of risk connected to each transaction by keeping crucial temporal information and eliminating unnecessary variations. The prediction module receives this final temporal embedding and uses it to determine a fraud probability score that determines whether the transaction is authentic or fraudulent. As a result, the LSTM layer functions as the final analytical step that integrates all acquired temporal, channel, and geographical insights into an appropriate fraud detection determination.

III.4 STAGE 4: FINAL DECISION SYNTHESIS, RISK SCORING, AND AUTOMATED ACTION EXECUTION

The output generated from the previous stages are integrated in the final stage of the proposed framework which include preprocessing stage, transaction stage and the deep temporal fraud detection stage respectively. This level serves as the decision-making layer, assuring that the statistical knowledge generated by the multi-agent architecture is translated into real-time defensive measures.

III.4.1 Risk Score Fusion and Decision Synthesis

All agent-level outputs are gathered via a weighted decision function regulated by the AI Orchestrator. Therefore, the mathematical expression of integrated transaction-level risk index R_t is defined below:

$$R_t = \sigma(w_1 S_{\text{coat}} + w_2 S_{\text{beh}} + w_3(1 - S_{\text{ver}}) + w_4(1 - S_{\text{dq}})) \tag{12}$$

Here, the anomaly probability output from the CoAt-LSTM model is stated as S_{coat}, behavioral deviation score produced by the Behavioral Analysis Agent is termed as S_{beh}, the score from the Verification Agent and Data Quality Agent is termed as S_{ver} and S_{dq} respectively. w_1, w_2, w_3, w_4 are orchestrator-learned fusion weights.

III.4.2 Threshold-Based Classification and Interpretability Layer

After generating the risk score R_t, the comparison process is performed with dynamic decision threshold τ_t, which is constantly updated using cloud-side feedback loops. A transaction is fraudulent if:

$$\hat{y}_t = \begin{cases} 1, & R_t \geq \tau_t, \\ 0, & R_t < \tau_t. \end{cases} \tag{13}$$

By using Bayesian calibration or reinforcement signals arising from false-positive/false-negative results the threshold τ_t is regularly improved.

III.4.3 Automated Mitigation and Action Execution

Following classification, the system executes one of many automated responses via the Reporting Agent. These activities are rule-based but informed by the estimated risk magnitude:

- **Low-risk ($R_t < \tau_t$)**

→ The transaction has been approved and recorded in the ledger for future learning.

- **Moderate-risk ($\tau_t \leq R_t < \tau_t + \delta$)**
  → Transaction has been marked for secondary authentication (OTP verification, user confirmation, or device fingerprinting tests).
- **High-risk ($R_t \geq \tau_t + \delta$)**

→ The transaction is automatically blocked, and an incident report is sent to the banking back office.

The term δ refers to an empirically calculated high-risk escalation margin. The Reporting Agent creates a structured cloud report based on decision metadata such as risk score, anomaly patterns, temporal indices, and supporting evidence from other agents. This ensures immediate fraud mitigation while keeping full documentation for forensic examination.

IV. RESULT AND DISCUSSION

This section presents and analyzes the experimental results obtained by utilizing the proposed fraud detection system. The effectiveness of the model is evaluated using normal classification parameters, and the results are analyzed to determine the efficacy of the proposed method in detecting fraudulent transactions. A comparison with baseline models is additionally provided to demonstrate the benefits achieved by the recommended approach.

IV.1 DATASET DESCRIPTION

The experiments described in this article were carried out on the Kaggle Credit Card Fraud Detection dataset, which contains 284,807 transaction records by employing 31 features. The above characteristics comprise 28 anonymized numerical variables generated from principle component analysis (PCA), as well as the Time and Amount attributes, with Class representing fraudulent transactions and 0 indicating legitimate ones. The dataset is portioned in to train-test split ratio of 80 and 20% respectively to perform network modelling.

IV.2 CLASS IMBALANCE IN THE CCF DATASET

The class distribution of CCF Detection is shown in Figure 6, which clearly demonstrates the significant deviation between genuine and fraudulent cases. The minority class (Class 1, fraudulent transactions) makes up just around 0.2% of the total samples, whereas the majority class (Class 0, non-fraudulent transactions) makes up about 99.8%. This stark disparity is an aspect of a realistic fraud detection pattern in which fraudulent events are extremely important but inherently uncommon. Therefore, the suggested agentic and deep learning framework's need for specialized learning strategies, reliable evaluation measures, and sophisticated modeling techniques is justified by this imbalance.

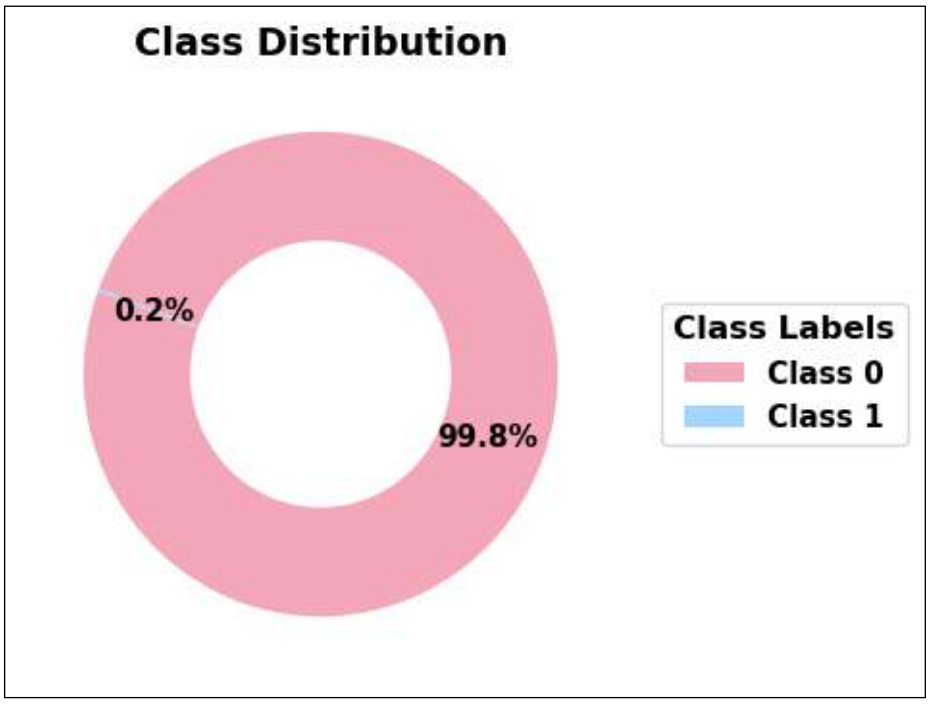


Figure 6: Class Distribution of Legitimate and Fraudulent Transactions.
Source: Author, (2026).

IV.3 RIGHT-SKEWED NATURE OF MONETARY TRANSACTION VALUES

The distribution of transaction amounts across all recorded operations in the dataset is shown in Figure 7. The distribution shown in the histogram has a significant bias to the right, with the great majority of transactions happening at relatively modest monetary values and a small number exhibiting exceptionally high sums. This long-tail tendency is typical of actual financial transaction data, where high-value transactions are rare and ordinary purchases are more prevalent. In order to avoid impact on the learning process, preprocessing must properly scale and normalize transaction values due to their broad range. Furthermore, this distribution is especially crucial for detecting fraud since abnormally high or unusual transaction amounts frequently contain powerful discriminatory information for spotting fraudulent activity.

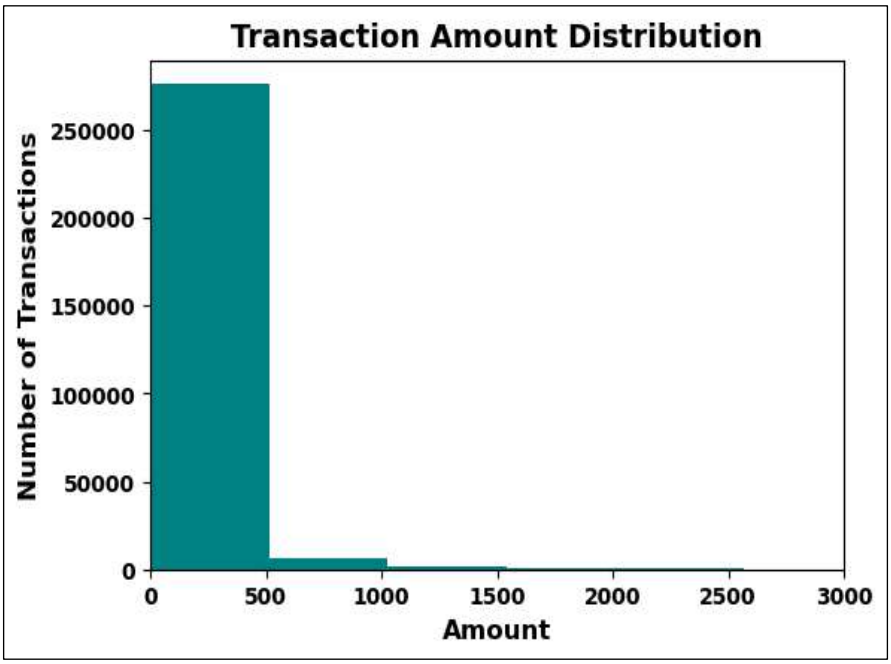


Figure 7: Statistical Distribution of Transaction Amounts.
Source: Author, (2026).

IV.4 MARGINAL DISTRIBUTIONS OF PCA FEATURES V11 AND V19

The probability distribution of V11 and V19 across frequency over the complete transaction set is distributed in Figure 8. The visualization of distribution reveals a gaussian shape structure which is focussed at zero. Feature V19 seems to be more heavily centralized with smaller dispersion and feature V11 has a moderately right-skewed distribution with significant range. Therefore, this indicates that it does not requires any additional normalization process. In terms of fraud detection, such symmetric distributions imply that discriminative power is derived not just from extreme marginal values, but also from joint feature interactions and temporal patterns, necessitating the employment of deep network model in later phases.

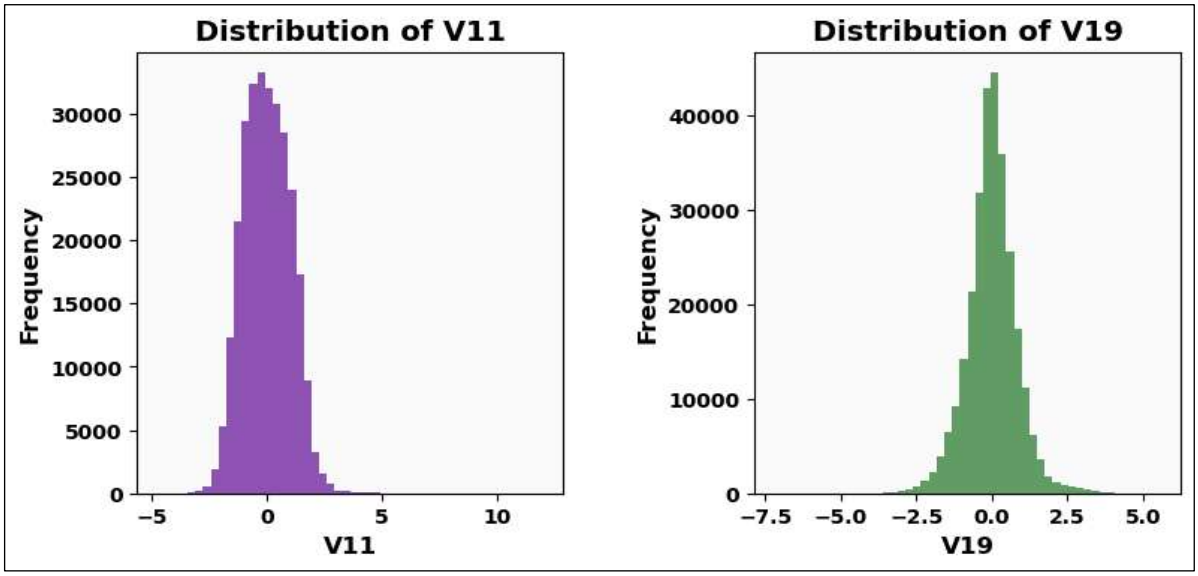


Figure 8: Probability distribution of V11 and V19.
Source: Author, (2026).

IV.5 JOINT DISTRIBUTION OF PCA FEATURES V3 AND V4

Figure 9 shows the superimposed histograms of V3 and V4 of two PCA-derived elements that are frequently utilized to be extremely valuable for fraud detection. Both features have large numerical ranges with big curves and it is in bell shaped distributions with their point centers near to zero. The V3 feature has a little broader spread toward the negative, implying an abundance of certain high or low values, whereas V4 looks to be more densely packed around the mean. The high overlap between the V3 and V4 distributions indicates that these features fail to distinguish between fraudulent and genuine transactions on their own. This image indicates that the data is well-normalized and appropriate for use in deep learning models like the CoAt-LSTM utilized in this work.

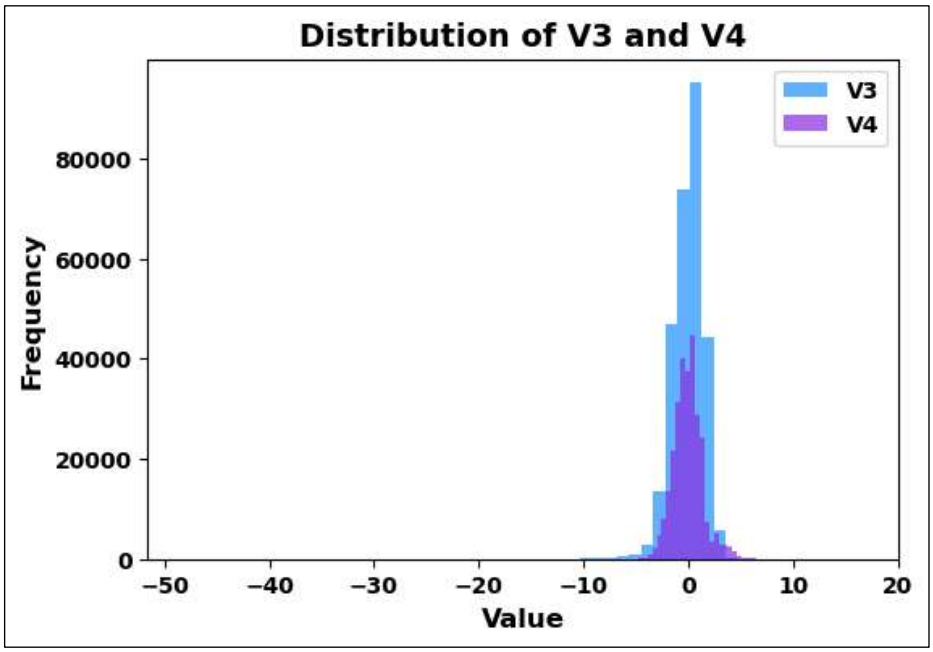


Figure 9: Probability distribution of V3 and V4.
Source: Author, (2026).

IV.6 FEATURE DISTRIBUTION ACROSS FRAUD AND NON-FRAUD TRANSACTIONS

The probability density of the V12 feature for genuine (Class 0) and fraudulent (Class 1) transactions is shown in the Figure 10. For non-fraud transactions the curve focuses around a short band near zero and it indicates that the majority of legitimate transactions have extremely similar V12 values. In comparison, the fraud distribution is much more dispersed and biased toward negative values and it reflects a greater variance in fraudulent activity. The noticeable difference between the two curves implies that V12 is a highly discriminative as illegal transactions typically follow a distinct pattern from legitimate ones.

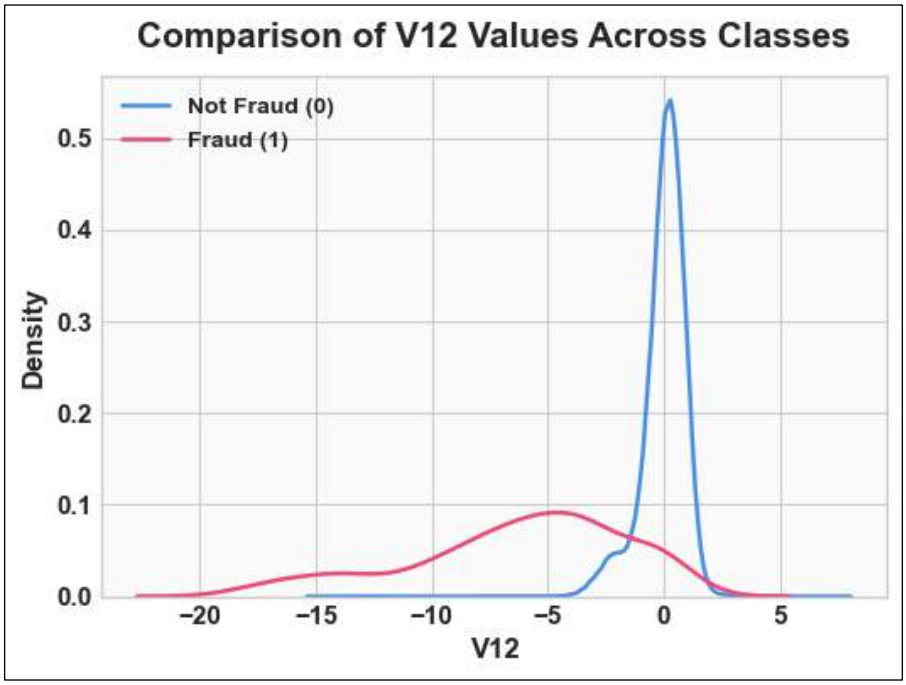


Figure 10: Class-wise Density Comparison of Feature V12.
Source: Author, (2026).

IV.7 FEATURE DENSITY WITH MEAN AND MEDIAN

The overall feature density distribution of V22 across its mean and median values is illustrated in Figure 11. Figure displays that the curve has a point which is near to zero as well as both the mean and median are extremely near to zero. This shows that the feature was effectively well normalized and fails to have a significant imbalance. This curve indicates the PCA-transformed features and it confirm that V22 is statistically robust and suitable for immediate usage in training the model without further scaling or modification.

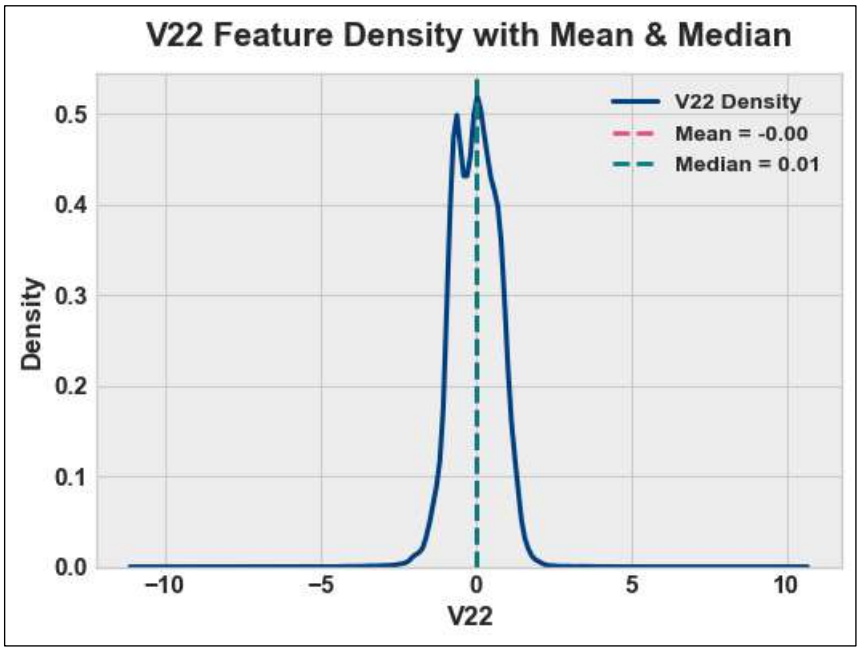


Figure 11: Density Profile of Feature V22 with Mean and Median.
Source: Author, (2026).

IV.8 CORRELATION HEATMAP OF PCA FEATURES

Figure 12 depicts the Pearson correlation matrix for the PCA-transformed elements and it is seen that the vast majority of off-diagonal components possess values almost identical to zero. This confirms due to the orthogonality established by the PCA transformation process. Therefore. this degree of statistical independence holds significance for deep learning architectures because it reduces convergence and maintains gradient propagation during the training stage. This lack of linear correlations signifies that fraudulent activities are reflected in temporal dependencies which supports the inclusion of convolutional, attention, and LSTM layers in the third stage of the proposed framework.

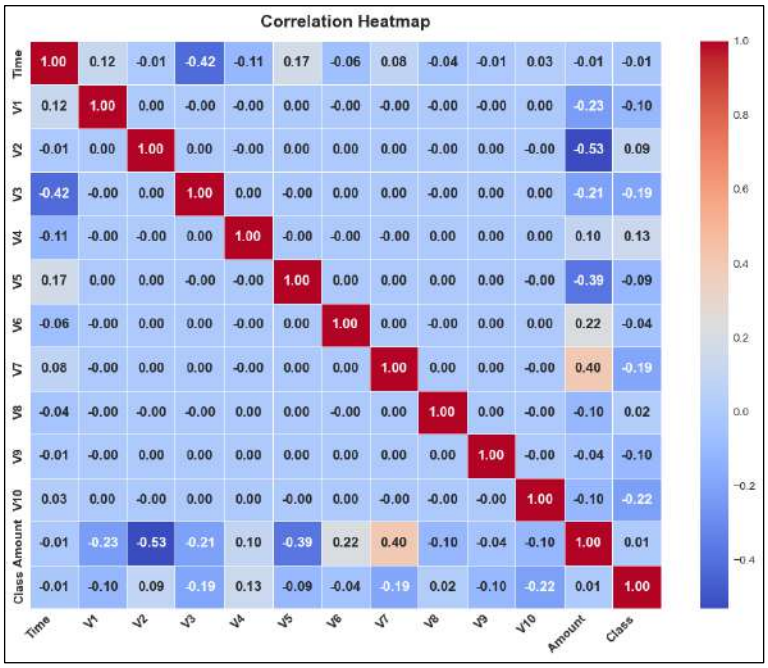


Figure 12: Correlation heatmap.
Source: Author, (2026).

IV.9 LEARNING STABILITY AND CONVERGENCE BEHAVIOR OF THE PROPOSED COAT-LSTM MODEL

The training and validation of both the accuracy and loss curve of the proposed model is illustrated in Figure 13. The accuracy and loss are examined by altering the epoch size to 20. The figure shows that the proposed model's training accuracy remains stable at above 95% throughout all epochs, indicating strong learning consistency. The validation accuracy nearly matches the training curve, with just minor differences, showing strong generalization and little overfitting.

The proposed model's loss curve, illustrated on the right side, falls gradually from around 0.27 to nearly 0.12, confirming effective optimization. At the intermediate stage, the validation loss decreases with minor fluctuations for fraud detection. Overall, the precise alignment of the training and validation curves demonstrates that the COAt-LSTM model provides both stable convergence and robust temporal fraud detection.

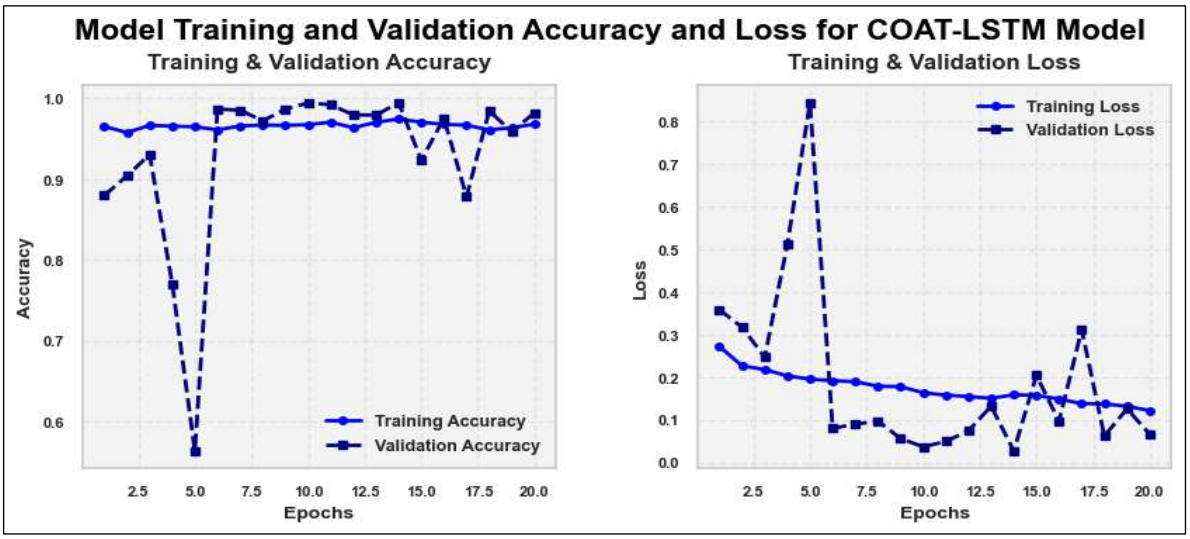


Figure 13: Training and Validation Performance of the COAt-LSTM Model Across Epochs.
Source: Author, (2026).

IV.10 COMPARATIVE LEARNING CHARACTERISTICS OF THE BASELINE GRU MODEL

The learning characteristics of the existing baseline GRU model in terms of accuracy and loss is shown in Figure 14. In the course of the first few epochs, the training accuracy rapidly increases and then remains steady at 96-97%. The ability of GRU model to record extremely detailed patterns or manage excessively long sequences may be limited. The training loss decreases dramatically from an initial high value of 0.78 to less than 0.1, showing fast convergence. The training and validation accuracy curves show that the proposed CoAt-LSTM model converges faster and consistently achieves higher accuracy than the baseline GRU model. Furthermore, the suggested model's loss curves decline more smoothly and remain much lower across epochs, signifying greater learning stability.

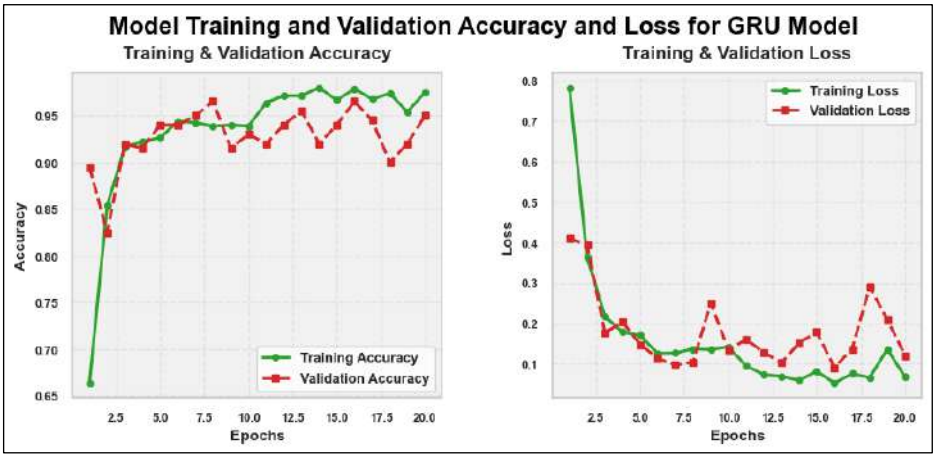


Figure 14: Training and Validation Performance of the GRU Model Across Epochs.
Source: Author, (2026).

IV.11 COMPARATIVE CLASSIFICATION PERFORMANCE USING CONFUSION MATRICES

The confusion matrix analysis of the proposed model and the existing GRU model is illustrated in Figure 15 and it compares the predicted and actual values. From figure it is seen that the underclass 0, proposed model predicts 56856 as class 0 and only 8 are classified incorrectly as class 1. In addition to this for class 1, the proposed model predicts 74 as class 1 and only 24 are misclassified as class 0 respectively. In addition to this for an existing GRU model, for class 0, 54380 samples are correctly classified as class 0 and 2484 samples are misclassified as class 1. For class 1, 87 samples are correctly classified and 11 samples are mis classified as class 0 respectively. Overall, the COAT-LSTM model exhibits an optimum equilibrium between fraud detection accuracy and false alarm control, making it more acceptable for practical applications.

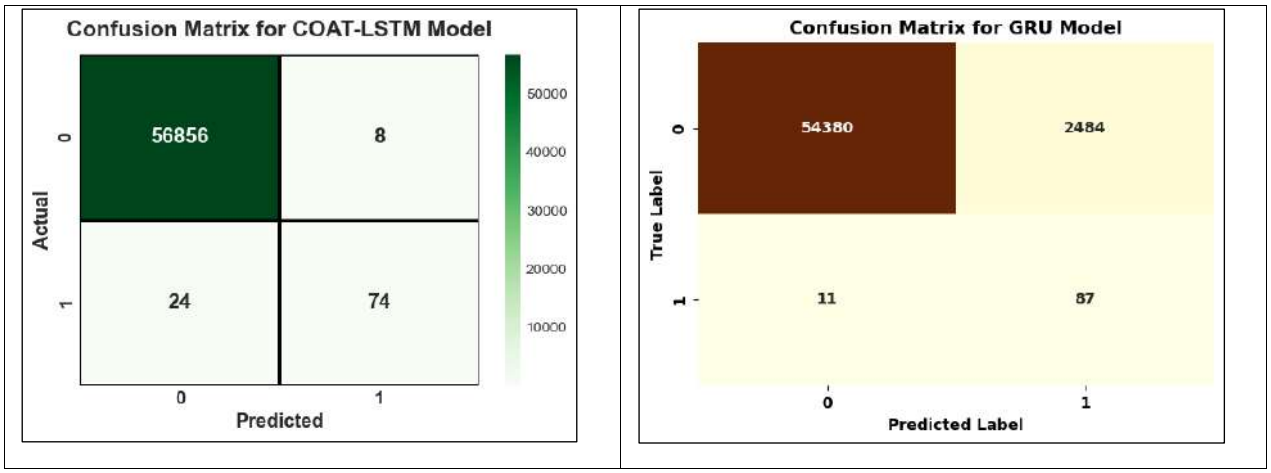


Figure 15: Confusion Matrix Analysis of COAT-LSTM and GRU Models.
Source: Author, (2026).

IV.12 DISCRIMINATIVE CAPABILITY EVALUATION USING ROC CURVES

The ROC (Receiver Operating Characteristic) curve compares the true positive rate against the false positive rate at various decision thresholds to demonstrate how well the model distinguishes between fraudulent and legitimate transactions. A curve that is closer to the top-left corner suggests superior classification performance since it produces a high fraud detection rate while minimizing false alarms. In the present scenario, the high Area Under the Curve (AUC) value indicates that the proposed model has excellent discriminative ability and can reliably distinguish between fraudulent and non-fraudulent transactions. Form figure 16 it is evident that the proposed model attains an AUC of 97% whereas the existing GRU model reaches and AUC of 95.02% recpectively. The boosted AUC generated by COAT-LSTM demonstrates that combining fully dynamic convolutional model with shuffle attention mechanism enhances temporal learning by increasing the sensitivity of the model while retaining reliable generalization. These findings confirm the benefit of the suggested deep temporal modelling framework in high-risk financial transaction circumstances.

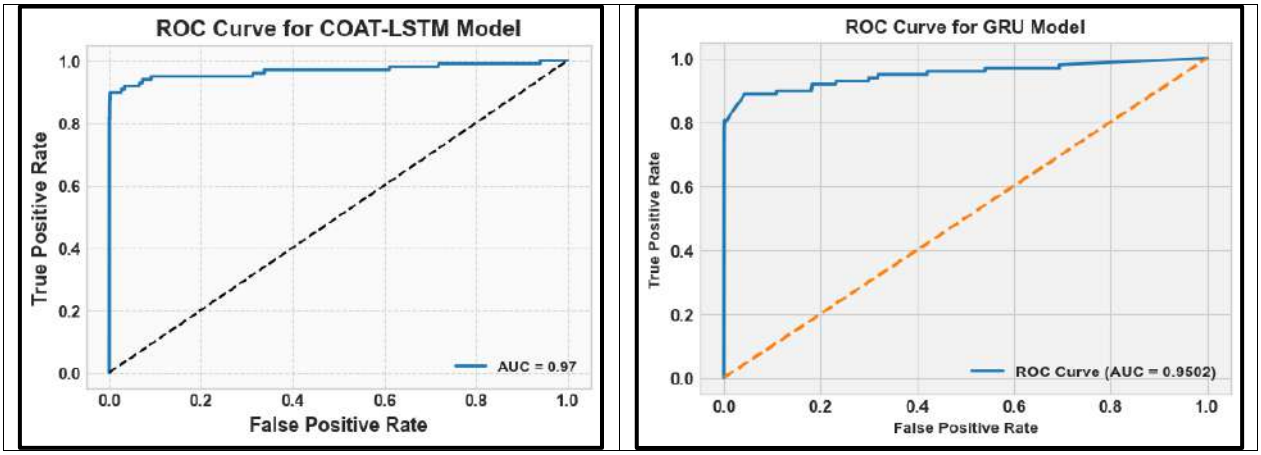


Figure 16: ROC Curve Comparison for COAT-LSTM and GRU Models.
Source: Author, (2026).

IV.13 FINAL TRANSACTION ASSESSMENT AND RISK INTERPRETATION

Figure 17 depicts the proposed agentic fraud detection framework's ultimate decision after completing all analytical phases, including verification, behavioral analysis, and deep temporal modelling. The system first displays the Forgery Detection result as "No Forgery," signifying that there was no actual manipulation or forgery has been identified in the transaction characteristics. The Verification Status signifies that the transaction has been verified effectively against an external database, assuring data authenticity and consistency. The CoAt-LSTM-based fraud detection model classified the transaction as "Legit," according to the AI Report. However, the Risk Assessment also identifies the transaction as "High Risk," indicating that while the transaction is classified as valid, it exhibits certain behavioral or temporal patterns and therefore require constant monitoring. The prediction probabilities demonstrate a very high confidence level for Class 0 (legitimate) and an extremely low likelihood for Class 1 (fraud), justifying the final predicted class of 0 (Legit). The Final Prediction column concisely highlights the outcome sent to the automatic response module. This result highlights how the proposed system relying purely on classification output and it incorporates verification signals and behavioral risk indicators to deliver a more accurate and effective fraud conclusion in real-world deployment. The comparative analysis of performance measures with respect to existing base line model is shown in Table 2.

```
==================== FINAL OUTPUT ====================
Forgery Detection     : No Forgery
Verification Status   : Verified with External DB
AI Report             : Legit
Risk Assessment       : High Risk
======================================================

Prediction Probabilities = [[9.9987781e-01 1.2218881e-04]]
Predicted Class = 0
Final Prediction: Legit
```

Figure 17: Evaluation of Fraud Decisions and Risk Indicators.
Source: Author, (2026).

Table 2: Performance analysis with existing GRU model.

Metrics	Proposed	Existing GRU
Accuracy	0.9821	0.9562
Precision	0.5395	0.5168
Recall	0.9350	0.9220
F1 score	0.5682	0.5214
Cohens kappa	0.1428	0.0621
Matthew's coefficient	0.2622	0.1685
Log loss	0.0665	0.4554

Source: Author, (2026).

IV.14 ABLATION STUDY

The ablation study clearly reveals the specific contribution of each component of the proposed CCF architecture and it is shown in Table 3. The full Agentic CoAt-LSTM model outperforms all assessment measures, demonstrating the efficacy of combining agentic intelligence and deep temporal modeling. When the agentic layer is eliminated, there is a considerable decline in accuracy, precision, and recall, demonstrating the necessity of autonomous transaction reasoning and cross-agent validation. Similarly, removing the attention mechanism limits the model's capacity to focus on crucial transaction patterns, resulting in worse fraud detection performance. The elimination of the convolutional layer and the LSTM have an effect on localized feature learning and temporal dependency modeling and this tends to classification capabilities. Overall, the ablation analysis shows that each architectural block makes a significant contribution to the proposed system with resilience and dependability.

Table 3: Ablation study.

Variant (Ablation)	Accuracy	Precision	Recall	F1 score
Proposed (CoAt-LSTM + Shuffle-Attention + Agentic pipeline)	0.9821	0.5395	0.9350	0.5682
Without Shuffle Attention (CoAt-LSTM w/o attention)	0.9750	0.4900	0.8900	0.6200
Without CNN (LSTM + Attention only)	0.9680	0.4500	0.8800	0.5900
Without LSTM (CNN + Attention only)	0.9700	0.4200	0.8200	0.5600
Without Agentic components (no Data-Quality / Verification agents)	0.9740	0.4800	0.8800	0.6200
Baseline GRU model (standard baseline)	0.9610	0.4500	0.9000	0.6000

Source: Author, (2026).

V. CONCLUSION AND FUTURE SCOPE

This paper described a unique cloud-based Agentic Artificial Intelligence architecture for real-time CCF detection. The proposed methodology included intelligent multi-agent collaboration, deep temporal learning via the CoAt-LSTM model, and an automated risk determination mechanism to improve detection accuracy and responsiveness. The system efficiently addressed the intrinsic issues of extreme class imbalance and anonymous features by combining behavioral analysis, dynamic convolution, attention mechanisms, and temporal dependency learning. Experimental results showed that the suggested model outperformed traditional machine learning methodologies and baseline deep learning models like GRU in terms of accuracy, precision, recall, F1-score, and ROC performance.

The automated risk assessment and decision module allowed for faster and more reliable mitigation activities without the need for manual intervention. Despite the high level of performance attained in this study, many opportunities for future research remain unexplored. To begin, the framework can be enhanced to accommodate real-time streaming transaction data for large-scale deployment via distributed cloud platforms such as Apache Kafka and Spark. Second, explainable AI (XAI) techniques can be used to improve fraud decision interpretability, which is crucial for regulatory compliance in financial systems. Third, the suggested agentic framework might be improved by incorporating reinforcement learning, which would enable agents to continuously adapt to newly developing fraud patterns.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Sushil Prabhu Prabhakaran.
Methodology: Sushil Prabhu Prabhakaran.
Investigation: Sushil Prabhu Prabhakaran.
Discussion of results: Sushil Prabhu Prabhakaran.
Writing – Original Draft: Sushil Prabhu Prabhakaran.
Writing – Review and Editing: Sushil Prabhu Prabhakaran.
Resources: Sushil Prabhu Prabhakaran.
Supervision: Sushil Prabhu Prabhakaran.
Approval of the final text: Sushil Prabhu Prabhakaran.

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RESEARCH ARTICLE OPEN ACCESS

A MULTIMODAL GRAPH CONTRASTIVE LEARNING FOR HUMAN ACTIVITY RECOGNITION USING DEEP LEARNING TECHNIQUE

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ABSTRACT

In recent years, the deep learning technique for Human Activity Recognition (HAR) systems has made remarkable improvements in recognising complicated activity classes and real-world scenarios. This study introduces a unified deep learning framework, called the Hybrid Dense Temporal Transformer Network (HDTTN) is used to capture spatial, temporal, and semantic information for improved human activity detection. Using the DenseNet-201 to improve spatial feature extraction from visual inputs, Temporal Convolutional Networks (TCNs) for learning short-term motion patterns, and Transformer encoders for learning long-range temporal dependencies that are crucial for processing complex and subtle activities. This study employs an early multimodal feature fusion strategy to further enhance representational coherence, which makes it easier to incorporate heterogeneous cues at the feature level and to learn dynamic multimodal representations. Moreover, a hybrid optimization approach is integrated for parameter fine-tuning for efficiency, reduced overfitting, and increased model robustness. The proposed HDTTN framework is shown to be effective on the large-scale Kinetics dataset containing a wide range of unconstrained human activities. Experimental results shows that the proposed model is 93% accurate, compared to several existing state-of-the-art baseline approaches. Moreover, qualitative and quantitative analyses validate HDTTN's ability to identify intricate and complex activities across a multitude of environments.

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I. INTRODUCTION

Human Activity Recognition (HAR) has become a major research area in computer vision and artificial intelligence, which refers to the task of identifying and understanding human actions in video data automatically. The proliferation of surveillance cameras, digital media platforms, and intelligent video analytics systems has led to the continuous generation of massive visual data in real time, which requires automatic approaches that are able to interpret complex human behaviors within everyday life settings [1]. Thus, video-based HAR has drawn much attention due to its important applications in public safety surveillance, health care video monitoring, sports performance analysis, video retrieval, and human–computer interaction [2]. Video-based HAR is learning spatiotemporal representations from RGB videos, depth sequences, optical flow, or pose-based representations.

Compared with still image recognition, action recognition needs to jointly model the spatial appearance, temporal motion dynamics, and changes of context over time, which is a more challenging learning problem [3]. Dynamics may vary from simple daily behaviour's to complex activities with long-term temporal dependencies and subtle motion changes. Therefore, HAR systems must consider both short-term motion cues and long-range temporal dependencies [4]. Early video-based HAR methods were based on manually designed primitives with spatiotemporal interest points, motion descriptors with optical flow and trajectory-based representations, along with traditional classifiers. Although these methods showed an acceptable performance in constrained situations, they had a strong response to background clutter, viewpoint difference (VPD), and light change and were restricted to practical use [5].

The era of deep learning significantly advanced video-based HAR, where discriminative representations can be learned in an end-to-end manner directly from raw video data. Summarization regarding the spatial feature extraction, CNNs are widely considered to be effective at learning hierarchical visual representations. Two-stream CNN architectures additionally enhanced the recognition performance by encoding appearance and motion information jointly with RGB frames alongside optical flow [6]. Then, 3D-CNNs generalized the convolutions in a three-dimensional space and learned the spatial-temporal characteristics simultaneously [7]. However, 3D CNNs are computationally expensive and have inherent difficulties in modelling long-range dependencies because they are based on fixed-size temporal receptive fields.

Sequence-based models are employed to address the limitation of exclusively relying on frame information (e.g., Recurrent Neural Networks (RNNs) and Long Short-Term Memory (LSTM) networks have been proposed to learn temporal dependencies among video frames [8]). However, such models can have vanishing gradients and are not scalable to long videos. Temporal Convolutional Networks (TCNs) have been proposed as an efficient alternative that provides gradient stability and parallel computation in modelling short-term and long-range temporal dependencies [9]. However, TCNs may still be restricted in their ability to encapsulate the intricate long-range dependencies that are present in large-scale human activities independently. The graph-based HAR approaches provide more attention because they can model the local structured relationship between body joints, regions, or pixels over time explicitly.

In these works, videos are modelled as graphs in which nodes represent spatial entities and edges denote either spatial or temporal interdependences [10]. Graph Convolutional Networks (GCNs) effectively extract non-Euclidean dependencies and correlation structures that are extremely difficult to represent using classical convolutional operations. By utilizing graphs, such approaches improve on explicitly modelling spatiotemporal interaction relationships that are necessary for activity recognition. Recent research has expanded temporal graph modelling and contrastive learning to new levels of sophistication to enhance the generalization and robustness of HAR. Temporal graph contrastive learning (TGCL) acts to align positive temporal representation pairs and suppress out-of-class motion, which has the potential of reducing intra-class variance and promoting discrimination [11].

The performance of the majority of existing graph-based methods can be compromised by complex activities, as they only consider limited temporal context or do not integrate mechanisms to incorporate global temporal dependencies, despite being driven by their effective results. The inadequate generalization across datasets and environments is the main cause of the reason HAR on video remains an unsolved problem. It has been stated that the distribution shift between training and testing environments (screened camera view, background, actor face, and movement style) can lead to a significant change in appearance [12]. Additionally, deep HAR models are highly susceptible to network architectures and hyperparameter selection, which could result in models that are unstable and less robust if not methodically calibrated.

Inspired by these challenges, in this paper we propose a Hybrid Dense Temporal Transformer Network (HDTTN) for the task of robust video-based HAR. The proposed framework combines DenseNet-based spatial feature extraction to improve feature reusing and gradient propagation, Temporal Convolutional Networks (TCNs) to describe the short-term motion dynamics, and Transformer encoders for learning long-range temporal dependencies with self-attention mechanisms. In addition, graph-based temporal modelling methods are included to efficiently model spatiotemporal relationships. An advanced feature-level fusion approach and a hybrid optimization scheme are used to increase the generalization power while preventing overfitting, as well as to improve recognition performance. The objectives of this study consist of:

- To construct a unified HDTTN for video-wise human action understanding.
- To achieve an effective early feature fusion method and graph-informed temporal reasoning.
- To optimize the HDTTN model with hybrid optimization methods that improve the efficiency of fine-tuning all parameters.

II. LITERATURE REVIEW

Human activity recognition (HAR) with RGB video is a significant issue with possible applications in surveillance, healthcare monitoring, sports analytics, and intelligent human-computer interaction systems [13]. Recent developments in deep learning techniques have enhanced the capability of learning spatiotemporal representations directly from raw video streams without the need for predefined descriptors. The most recent studies emphasize the importance of convolutional and attention-based architectures in video-based HAR research [14]. They also highlight challenges with long-range temporal modeling and robustness to complex real-world conditions.

Initially, deep approaches relied on 2D and 3D Convolutional Neural Networks (CNN) to detect spatial appearance and short-term motion [15]. 3D CNNs are effective for learning local spatiotemporal characteristics but have high computational costs and narrow temporal receptive windows [16]. Generalized two-stream CNNs with temporal integration were effective for short and basic activities but lacked global temporal reasoning for long and overlapping tasks. To solve temporal restrictions, a combination of CNN and RNN was developed. The CNN-LSTM cascades to encode frame-level characteristics and sequential information [17].

These techniques improved temporal continuity but exhibited limitations in sequential processing and capturing long-range interdependence in complex operations [18]. The development of Temporal Convolutional Networks (TCNs) represents a shift toward parallel temporal modelling. Temporal convolutions with dilation effectively capture multi-scale motion information [19], [20]. These efficient models focused on temporal dynamics and lacked global contextual reasoning for video content [21]. The HAR model using the Vision Transformer, known as NiViT, demonstrated significant improvements over models that rely solely on CNNs [22].

Transformer-based models require a huge amount of pre-trained data and expensive computation, making them unsuitable for practical applications. Hybrid CNN-Transformer architecture's efforts to balance efficiency and accuracy have yielded high recognition accuracy on large-scale benchmark datasets [23], [24]. Graph-based HAR approaches have improved video interpretation by directly displaying related structures. GCNs were used to model inter-frame (or region-level) dependencies, increasing resilience against occlusions and perspective alterations [25]. However, graph-based models primarily capture poses and limited temporal information, lacking dense appearance modelling [26].

Recently, a number of multimodal video-centric methods have been developed that integrate RGB appearance with semantic information and activity. Alternatively, they implemented early and late fusion techniques to enhance their discrimination capabilities. Even though the recognition capability was improved by the fusion, the scalability was not possible due to the suboptimal feature alignment and inadequate temporal smoothness [27], [28]. Comparative studies have shown that the majority of current video-based HAR models achieve an accuracy of 85–92%, particularly when tested on challenging datasets such as Kinetics. Optimization-driven HAR models have also been considered to enhance learned knowledge, and they employ evolutionary and meta-heuristic optimization for the fine-tuning of deep networks [29].

The improvement was feasible however, it was unsuccessful in addressing the instability of convergence and the complexity of training [30]. Despite these advancements, video-based and graph-based HAR approaches still face three major obstacles, including their inability to reliably integrate spatial, temporal, and semantic information, and they do not adequately capture long-term spatio-temporal correlations [31], [32]. These gaps inspire the designs of the proposed HDTTN, which combines transformer-based global attention with optimized early feature fusion, TCN-driven temporal modelling, and Dense Net based spatial encoding by overcoming the drawbacks of earlier research and providing superior recognition performance.

From the extensive literature review described, we can see that the current video-based and graph-based HAR models either focus on spatial appearance or short-term temporal dynamics or long-range attention. CNN based methods are not able to capture long-range temporal dependencies, and transformer-based models are effective at representing global context but computationally inscrutable and inefficient with limited spatial capability. Graph-based models advance relational reasoning, yet mostly based on abstract representations which ignore dense visual semantics. Moreover, traditional fusion approaches are not efficient enough and suffer from the shattered feature representation, whose scalability is inefficient.

Inspired by these limitations, we propose a Hybrid Dense Temporal Transformer Network (HDTTN) that presents an end-to-end architectural solution to fill out the above-mentioned technical voids in a synergistic approach through densely connected spatial feature propagation with DenseNet, fine-grained motion modeling with Temporal Convolutional Networks, and long-range temporal reasoning by means of transformer encoders. Early fusion strategy with optimization over the multimodal space yields not only consistent but also temporal coherent representations, and hybrid objective improves the generalization and robustness. This end to end design could directly overcome the limitation associated with prior arts and build up a scalable, high-accuracy framework for real-time human activity recognition.

It is apparent from the comprehensive literature review that the current HAR models, which are based on graphs and videos, either concentrate on spatial appearance, short-term temporal dynamics, or long-range attention. CNN-based methods are incapable of capturing long-range temporal dependencies, while transformer-based models are effective in representing global context but computationally perplexing and inefficient, with limited spatial refining capabilities. Graph-based models make significant contributions to relational reasoning however, they are primarily based on abstract representations that disregard complex visual semantics. Moreover, conventional fusion methods are insufficiently efficient and are complicated by the fragmented feature representation, which has poor scalability.

The proposed Hybrid Dense Temporal Transformer Network (HDTTN) is a synergistic solution to address the aforementioned research gaps. This entire design solution comprises densely connected spatial feature propagation with DenseNet, fine-grained motion modelling with Temporal Convolutional Networks, and long-range temporal reasoning through transformer encoders. This strategy is driven by these constraints. Early fusion methods that optimize over the multimodal space produce representations that are consistent and temporally coherent, while hybrid methods enhance the generalization and robustness. This end to end design could directly overcome the limitation associated with prior arts and build a scalable, high-accuracy framework for real-time human activity recognition.

II.1 RESEARCH GAP

Despite the remarkable advancements in video-based and graph-based Human Activity Recognition (HAR), several significant research gaps remain insufficiently addressed in recent years.

- **Insufficient Long-Term Temporal Modeling:** While most methods based on CNN or TCN focus on short-term motion patterns, none of them model long-range temporal dependencies required for recognizing complex and composite activities.
- **Fragmented Feature Fusion Strategies:** Current hybrid networks often perform late fusion or loosely coupled feature integration, which can cause semantic divergence and loss of information from the spatial, temporal, and relational signals.
- **Limited Exploitation of Graph-Based Semantics:** Though graph-based representation is widely adopted, most methods rely on quality of pose estimation or shallow graph reasoning, which limits robustness in unconstrained real-world videos.
- **Scalability and Generalization Issues:** Language-only or 3D CNN models require significant pretraining and are computationally intensive to both real-time deployment and generalization across datasets.

III. PROPOSED METHODOLOGY

The proposed Hybrid Dense Temporal Transformer Network (HDTTN) model aims to coordinate multimodal data input from video, audio, and text for effective human activity recognition. The approach is based on four major steps, including multimodal preprocessing, feature extraction, early fusion, and classification using a hierarchical deep temporal transformer network modified by dual-phase wasp monkey optimization. This study focuses on the HDTTN model which is used to predict human activity by integrating multi-modal data (video, audio, and text) through the use of various methods that synergize dense temporal modelling and multimodal fusion, optimized via Wasp Optimization for enhanced accuracy, scalability, and robustness across complex HAR tasks. It encompasses a variety of phases, including data preprocessing, feature extraction, multimodal fusion, classification, and optimization, as illustrated in Figure 1.

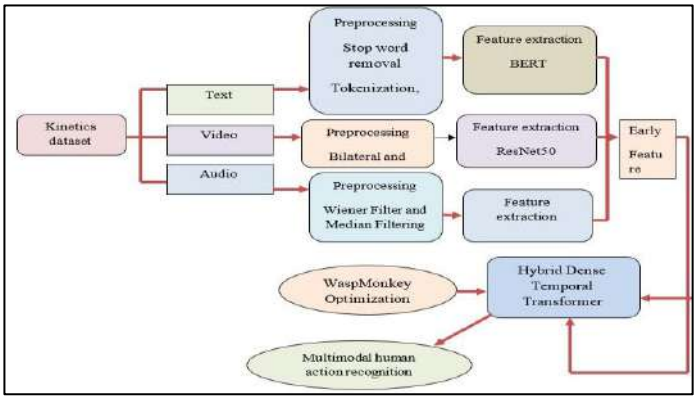


Figure 1: Proposed Multi-Modal Framework for HDTTN.
Source: Authors, (2026).

The above Figure 1 represents the architecture diagram, which describes the steps involved in activity recognition. It contains thousands of video clips, each containing marked human actions, allowing it to be a large dataset. Each video clip is marked with an action and contains video and audio, with the possibility of additional audio text, captions, or subtitles, allowing the dataset to be leveraged for multimodal learning.

- Pre-processing: Video frames are pre-processed with bilateral filtering and CLAHE, audio signals are subject to denoising by wiener and median filters, and text is normalized by applying stop-word removal, tokenization, and lemmatization.
- Feature Extraction: The spatial video features are extracted by ResNet50, the acoustic features are extracted by MFCC, and the contextual text features are extracted by BERT.
- Early Fusion: Vector features are concatenated into a single global representation.
- Hierarchical Deep Temporal Transformer Network (H-DTTN): Dense Net enables feature enrichment, TCN learns temporal dependencies, and Transformer layers capture long-range global interactions.
- Optimization: The model's parameters are modified by Wasp Optimization, Dual-phase of optimization, WSO performs local refinement, while SMO explores global solutions.

III.1 DATA COLLECTION

The input source video is collected from the Kinetics dataset. It is a subset of the Kinetics-400 and Kinetics-600 datasets for video action recognition. It seeks to offer a representative and systematic sample for the purposes of training and evaluation. The subset contains over 10,000 short video clips, each about 10 seconds long. It contains 10 to 40 samples for each class of a wide range of human actions. The videos are sourced from YouTube, and as a result, they are diverse in the backgrounds, lighting, motion, and camera angles, which are ideal for challenging human action recognition problems. Each clip is linked to a singular human action and accompanied by video, audio, and other multimodal data to enable multimodal learning, as shown in Equation 1.

$$d_i = (V_i, A_i, T_i), \forall i \in [1, N] \quad (1)$$

Where d_i represents a single sample from dataset, N the total number of samples in the dataset, V_i is the raw video data for sample with dimension $T \times H \times W \times 3$, A_i is the raw audio signal for sample i, T_i is the raw text data for sample i.

III.2 PRE PROCESSING

Text Modality: It is a vital component of the multimodal framework, providing semantic context that may not be apparent from visual or aural streams alone. Textual information, including speech, video captions, and scene descriptions, is frequently used to describe or accompany human actions. This modality assists in the disambiguation of actions that may appear visually or acoustically similar but differ in intention, instruction, or dialogue. Textual data is pre processed for instance, "the" or "is" are frequently occurring words with little meaning that will be removed through stop word removal. Prepares the text for embedding by splitting the text into words or sub-words through a process called tokenization, as shown in Equation 2.

$$T_i^{(2)} = S(T_i) \quad (2)$$

Audio modality: It plays a critical role in capturing complementary information that is often not visually observable, such as speech, environmental sounds, or background cues.

To ensure the audio data is clean, clear, and suitable for feature extraction, two key preprocessing techniques, Wiener filtering and median filtering, are applied sequentially. Wiener filtering is a statistical signal processing technique used to reduce background noise in an audio signal. Processing of audio is represented in Equation 3.

$$A_i^{Wiener}(t) = \frac{S_{xx}(t)}{S_{xx}(t)+S_{nn}(t)} . A_i(t) \quad (3)$$

Here, k is the window size of the median filtering, A_i^{Wiener} and is the median filtered signal of time t.

Video Modality: Preserving action-related details while removing noise is accomplished by smoothing techniques like bilateral filtering in the video frame, which shows the bilateral filtered frame as neighbouring pixels surrounding the pixel using the spatial Gaussian function BF. The bilateral range Gaussian function is represented by the intensities G_s and G_r, which serve as the normalizing factor. In Equation. 1 represents the bilateral filtering with its frames and normalizing factor by eliminating the noise in the video as shown in Equation 4.

$$f_{ij}^{BF} = \frac{1}{W_p}\sum_{q\in\Omega} G_s\left(\|p-q\|\right)G_r\left(\left|f_{ij}(p)-f_{ij}(q)\right|.f_{ij}(q)\right) \tag{4}$$

Here, f_{ij} indicates the j^{th} frame of the i^{th} video, f_{ij}^{BF} is the Bilateral-filtered frame, Ω is the neighborhood pixels around the pixel p, the spatial Gaussian function is Gs, the range Gaussian function intensity is G_r and W_p is the normalizing factor.

III.3 FEATURE EXTRACTION

Text: Feature extraction using BERT plays a vital role in the text modality of this multimodal human action recognition framework. After completing the NLP preprocessing steps like stop word removal, tokenization, and lemmatization, the cleaned and structured text is fed into the BERT model to generate rich, context-aware embeddings, as shown in Equation 5.

$$T_i = \varphi_t\left(T_i^{clean}\right) \in \Re^{d_t} \tag{5}$$

Here, φ is the BERT transformer model, T_i is the extracted text feature vector and d_t is the text embedding size.

Audio: After denoising the audio signals using Wiener and median filtering, MFCCs are extracted to represent the audio in a way that aligns with human auditory perception. The MFCC algorithm transforms the audio signal from the time domain to the frequency domain, as denoted in Equation 6.

$$A_i = \varphi_a\left(A_i^{Med}\right)DCT\left(log\left(M.\left|FFT\left(A_i^{Med}\right)\right|^2\right)\right) \tag{6}$$

Here, φ_a represents the MFCC transform function A_i representing the extracted audio feature vector, FFT is short for Fast Fourier Transform, M is short for Mel-filter bank matrix, DCT is short for Discrete Cosine Transform, and d_a represents the audio feature size.

Video: The ResNet50, a deep CNN with 50 layers, is employed in this research for spatial feature extraction from enhanced video frames. After applying bilateral filtering and CLAHE to improve frame quality and contrast, each frame is fed into the pretrained ResNet50 model, which is known for its robust residual learning framework, as shown in Equation 7.

$$V_i = \varphi_v(V_i^{CLAHE}) \in \Re^{d_v} \tag{7}$$

Here, φ_v denotes ResNet50 model for spatial feature extraction, V_i is the extracted spatial feature vector for a video data and d_v represented by feature dimension.

III.4 EARLY FUSION OF MULTIMODAL FEATURES

After extracting modality-specific features from video using ResNet50, audio using MFCC, and text using BERT, the information from these three modalities is combined through an early fusion process. This involves concatenating the individual features into a single fused multimodal feature vector. For both the Kinetics datasets, this fused representation captures comprehensive spatiotemporal, acoustic, and semantic cues related to the human actions depicted in each video sample. These fused feature vectors serve as enriched input for the next stage of processing within the HDTTN, enabling the model to learn cross-modal correlations and temporal dynamics more effectively for improved action recognition accuracy, as represented in Equation 8.

$$F_iKi = concat(V_i, A_i, T_i) \in \Re^{d_v+d_a+d_t} \tag{8}$$

Here, F_iKi denotes the fused input vectors for Kinetics dataset.

III.5 HYBRID FUSION AND CLASSIFICATION

In the HDTTN, the final stage involves the hybrid fusion of outputs from the three parallel processing modules: the Dense Net block (spatial features), the Temporal Convolutional Network (temporal dependencies), and the Transformer encoder (global context). After each module has processed the same fused multimodal input, independently extracting features specific to its intended strength, these three outputs are concatenated to form a single, unified hybrid feature representation, as shown in Equation 9 below.

$$Z_{hybrid} = \text{concat}(z_{dense}, z_{tcn}, z_{trans}) \in \Re^{d_{hybrid}} \tag{9}$$

Where, $d_{hybrid} = d_{dense} + d_{tcn} + d_{trans}$, the final hybrid feature vector combining outputs from DenseNet, TCN, Transformer are denoted as Z_{hybrid}, and $concat(.)$ for the three modules, d_{hybrid} indicates total dimension by hybrid fusion as $d_{dense} + d_{tcn} + d_{trans}$.

III.6 WASP MONKEY OPTIMIZATION ALGORITHM

Wasp Monkey Optimization: To enhance parameter tuning and learning efficiency in the HDTTN model for multimodal human action recognition, the WMO algorithm is introduced as a hybrid metaheuristic. It combines the strengths of two bio-inspired strategies: WSO and SMO. WSO is employed for local exploitation, focusing on refining promising solutions by closely exploring their neighborhood to fine-tune model parameters such as weights and biases. In the final classification stage of the HDTTN, the hybrid feature representation obtained from the fusion of Dense Net, TCN, and Transformer outputs is passed through a fully connected classification layer. This layer transforms the high-dimensional hybrid feature vector into a set of predicted class probabilities, each representing the likelihood that the input video instance belongs to a specific human action category, as shown in Equation 10.

$$\hat{y}_i = soft\,max\left(W_c.Z_{hybrid} + b_c\right) \tag{10}$$

Here, $\hat{y}_i$ denotes the predicted class probabilities, W_c denotes the weight matrix of classifier and b_c denotes the bias vector and $soft\,max(.)$ denotes the softmax function to convert logits into probabilities.

IV. RESULTS AND DISCUSSION

In this section, provide an extensive experimental evaluation and analytical discussion for the proposed HDTTN-WMO framework. The main focus of this study is to analyse and compare the effectiveness of multi-modal feature fusion, utilizing a hierarchical temporal approach in conjunction with a dual-phase optimization strategy, which could be used to improve classification performance and generalization capabilities on challenging human activity categories involving wide varieties. The performance of the proposed model is systematically evaluated on a representative subset of the Kinetics dataset and compared with state-of-the-art baseline methods.

IV.1 DATASET DESCRIPTION

The experiments were done using a 5% subset of both Kinetics-400 and Kinetics-600, covering more than 10,000 short videos each with an average length of around 10 seconds. The dataset consists of a diverse set of human activities, with 10–40 samples per class that are to be normalized for both class diversity and balanced coverage. Videos were collected from YouTube, and the contents are diverse in terms of background scene, lighting condition, camera angle, and motion patterns, making it a challenging test for real-world HAR systems showing the effectiveness and efficiency of the approach with respect to moderate resource configurations.

IV.2 EXPERIMENTAL SETUP

In the context of this study, 70% of the data was trained, and the remaining 30% was subjected to testing. The study was conducted on a 2.4 GHz Intel(R) processor with 16 gigabytes of random-access memory (RAM) were utilized.

IV.3 EVALUATION METRICS

In order to obtain a comprehensive performance evaluation, multiple metrics were used, such as accuracy, precision, recall, and F1-score. Accuracy represents the correctness of classification overall, while precision and recall measure the reliability and completeness of predicted action classes, respectively. The F1 score gives an equal weight for both precision and recall. Confusion matrix analysis was further performed to obtain class resolution and to establish misclassification trends. The F1 score has been calculated as shown in Table 1 and Figure 2.

IV.4 CONFUSION MATRIX HEATMAP

There are several reasons that may explain substantial improvement. First and foremost, since the audio, video, and textual feature information are combined together earlier, the model is able to take advantage of complementary information across multiple modalities, which alleviates confusion for visually similar actions. Second, the hierarchical architecture of HDTTN, combining Dense Net, TCN, and Transformer blocks, is conducive to capturing spatial representations and temporal dependencies across multiple scales. Third, based on the dual-phase Wasp optimization, it can optimally tune hyperparameters, which would result in better convergence and generalization performance.

The confusion matrix is shown in Figure 2 on the Kinetics dataset that is very close to diagonal dominant, i.e., the action classes are accurately assigned in most cases. Very few misclassifications can be found, most of them between the action with a very similar temporal structure to the one imitated or in contextually related actions. Such behaviour and the proposed multimodal framework demonstrate how subtle temporal and semantic differences between similar classes can be learned. The generalization efficacy demonstrated by the confusion matrix confirms that the proposed optimal fusion strategy and hierarchical temporal mapping have been effective in dealing with the variation and complexity present in real human actions.

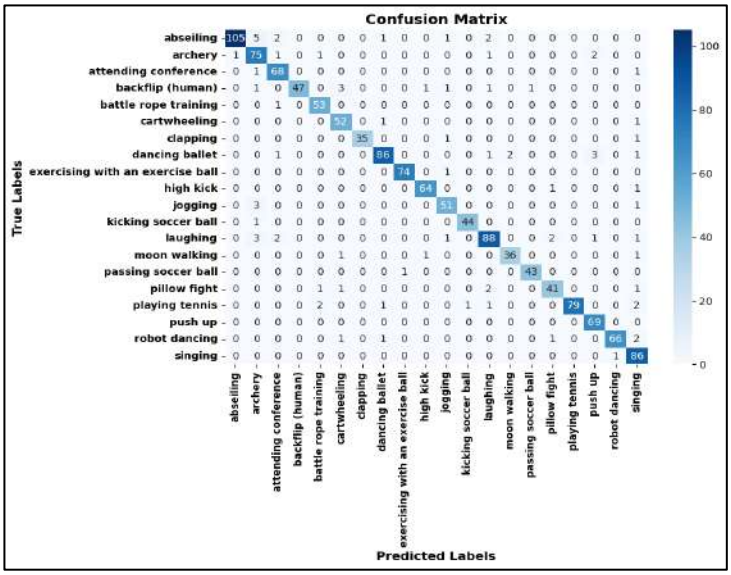


Figure 2: Confusion matrix showing classification results for Kinetics action classes.
Source: Authors, (2026).

Results from the Kinetics dataset show the flexibility of the proposed model with different levels of human motion complexity. The dataset's multimodal video, audio, and text components provided an opportunity to analyse the framework's scalability, resilience, and complexity. The results verified that the proposed model is robust and thus is very suitable for real-world human activity recognition systems.

Table 1: Accuracy Comparison.

Model	Accuracy (Kinetics)
CNN+LSTM	81.60%
2D-CNN	84.50%
VGG11	80.70%
AlexNet	86.50%
Proposed	93.00%

Source: Authors, (2026).

The model's per-class precision, recall, and F1-score performance are illustrated in Figure 3. The majority of the activity categories exhibit robust mean values, with a mean value exceeding 93%. Scores are slightly lower for actions that involve complex motion or rapid movement, which may be attributed to the interference of temporal spatial patterns. However, the system's stability is sufficient to accommodate a variety of motion types, as indicated by the combination of precision and recall. As shown in Table 1, the proposed multimodal HAR model outperforms the conventional models CNN+LSTM, 2D-CNN, VGG11, and AlexNet, all of which have lower accuracy. The results conclusively establish the higher classifier's performance, which is reliant on multimodal inputs and its adaptability across various video datasets. The hybrid model's consistent performance can be attributed to the remarkable synergistic impact of the DenseNet, TCN, Transformer layers, and the model's hyperparameters using whale optimization.

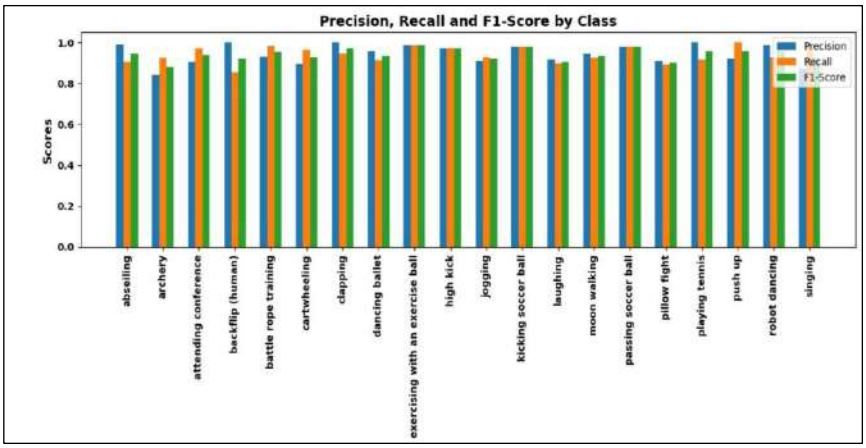


Figure 3: Precision, Recall and F1-Score across various activities.
Source: Authors, (2026).

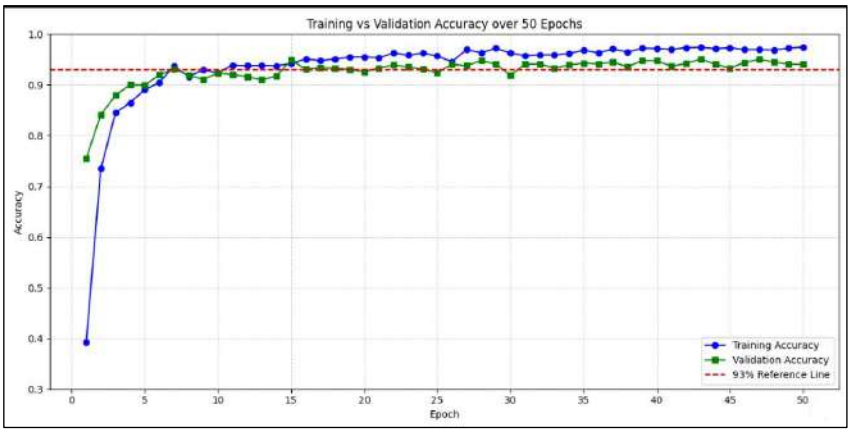


Figure 4: Comparison graph with various Baseline Models.
Source: Authors, (2026).

In Figure 4, the precision, recall, and F1-score of the HAR model of various actions performed by humans are represented. The model's performance and generalization when trained on the Kinetics dataset are represented by the accuracy and loss metrics evaluated over 50 epochs. The proposed approach achieves faster convergence, lower loss values, and higher peak accuracy, which shows that the learning is more efficient with less overfitting. Compared to the baseline model, the addition of WMO is important for guidance in the learning process and to create a balance between exploration and exploitation during the optimization of parameters.

V. CONCLUSION

In the context of multimodal HAR, this study proposed a robust and scalable HDTTN framework that simultaneously integrates video, audio, and textual information using HDTT models through dual-phase metaheuristic optimization. This approach outperforms traditional deep learning models in terms of accuracy, precision, recall, and F1-score, as indicated by comprehensive experimental results on the Kinetics dataset. The experimental results suggest that the synergistic interaction of Dense Net, Temporal Convolutional Networks (TCNs), Transformers, and Wasp-Monkey Optimization can effectively exploit complex spatiotemporal and semantic patterns with a high degree of generalization. In spite of these encouraging findings, there are still numerous prospective research avenues that demand further exploration. In order to eliminate dependence on labelled data, it would be beneficial to incorporate contrastive and self-supervised learning into future research. The discussion of small architectures and the interference of models with their base structure's information will be emphasized in the context of real-time inference on peripheral devices and those with limited resources.

Additionally, the proposed framework's application to related tasks (e.g., social interaction analysis and multimodal emotion recognition) and its extension to cross-domain dataset evaluation would be intriguing next steps. The HDTTN has demonstrated the highest level of efficacy with 93% in multimodal HAR, which integrates text, audio, and video modalities. Two-phase WMO optimization and HTM significantly enhance accuracy, generalization, and robustness. Future work will encompass the real-time integration of peripheral deployment for surveillance and healthcare applications, along with contrastive learning and fine-tuning. Enhances multimodal interaction and activity recognition, while improving human activity recognition in numerous real-world scenarios.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Velantina V, V. Manikandan, P. Manikandan.
Methodology: Velantina V, V. Manikandan.
Investigation: Velantina V, V. Manikandan, P. Manikandan.
Discussion of results: Velantina V, V. Manikandan, P. Manikandan.
Writing –Original Draft: Velantina V.
Writing –Review and Editing: Velantina V, V. Manikandan, P. Manikandan.
Resources: Velantina V, V. Manikandan, P. Manikandan.
Supervision: Velantina V, V. Manikandan, P. Manikandan.
Approval of the final text: Velantina V, V. Manikandan, P. Manikandan.

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RESEARCH ARTICLE OPEN ACCESS

INDUSTRY 4.0 MOBILE WORKFLOW QUALITY ASSESSMENT USING SMARTPLS: DATA READINESS, AI ACCESSIBILITY, AND SATISFACTION DRIVERS

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ABSTRACT

Low-code platforms such as Google AppSheet enable industrial workflow digitization, where responsiveness and AI assistance shape operational reliability. Sustained adoption depends on measurable task performance and accessible AI features across heterogeneous mobile and web clients. Prior low-code acceptance research relied on self-reports and did not unify objective performance, data readiness, and AI accessibility into a single model. This work aims to quantify the data-to-performance-to-continuance mechanism for AppSheet deployments using PLS-SEM. Task scripts captured open, sync, and submit times, plus error events, and reduced them into a five-level objective performance index. Survey responses from 260 users were modeled in SmartPLS with 5,000 bootstrap resamples. Reliability and validity are supported (Cronbach's alpha ranged 0.885–0.916; composite reliability ranged 0.925–0.947; AVE ranged 0.755–0.856). The model explains satisfaction and continued use intention ($R^2 = 0.299$; $R^2 = 0.264$). Objective performance drives perceived performance ($\beta = 0.488$), and AI accessibility drives ease of use ($\beta = 0.349$), while satisfaction, trust, and usefulness predict intention ($\beta = 0.246, 0.232, 0.199$). These results support deployment controls that couple data readiness validation, performance monitoring, and accessible AI interaction design for Industry 4.0 workflows. Future technology extends this framework with longitudinal telemetry, multi-indicator performance constructs, and role-stratified multi-group estimation.

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I. INTRODUCTION

Low-code application platforms have become a core part of digital operations because they enabled rapid delivery of internal tools without the long lead times of traditional software development. These platforms supported citizen developers and domain teams who built mobile and web workflows that depended on live organizational data and continuous connectivity. As adoption increased, the quality of user experience depended on two practical dimensions that shaped day-to-day work: operational performance during real tasks, and the usability of AI-assisted functions that users needed to locate, understand, and trust.

In Google AppSheet deployments, performance variability during loading, synchronization, searching, and form submission affected perceived responsiveness, while AI features introduced new interaction steps that required accessible design to sustain confidence and continued use [1]. Application performance in low-code environments reflected both platform behavior and deployment conditions. Users interacted through heterogeneous device classes and browsers, and task completion depended on latency, caching, and network stability.

Objective slowdowns and intermittent failures disrupted workflows, increased cognitive load, and reshaped perceptions of reliability during routine work. Past work in information systems and human–computer interaction treated performance as a foundational quality attribute that influenced perceived ease, value judgments, and satisfaction, yet empirical studies often relied on self-reports or coarse proxies instead of task-level timing and failure metrics [2]. In low-code settings, performance also depended strongly on upstream data conditions, as incomplete, inconsistent, or poorly structured data increased synchronision overhead and error exposure [3]. This linkage placed data readiness as a deployment factor that extended beyond governance, shaping measurable system behavior during end-user interactions [4].

AI-assisted functions in business applications introduced an additional layer of determinants of adoption. Established acceptance research showed that perceived ease of use and perceived usefulness influenced attitudes and behavioral intention, while continuance research linked post-adoption satisfaction to continued use intention [5]. Prior trust research also indicated that trust shaped reliance on system outputs, particularly when automation influenced decisions or recommendations. In low-code platforms, AI features such as suggestions, automation aids, or intelligent assistance depended on interaction clarity and feature discoverability [6]. When AI functions were not accessible through clear interface cues and role-appropriate availability, users experienced friction that weakened perceived ease of use and diminished trust formation. Earlier studies discussed AI capability, perceived intelligence, and transparency, but they often separated these discussions from practical accessibility attributes that governed whether users engaged with AI functions during real workflows [7].

A further limitation in prior research concerned the separation between objective system behavior and subjective user evaluations. Many studies examined perceptions of performance, ease, usefulness, or satisfaction in isolation from measured task outcomes, even though users formed beliefs through repeated experiences with responsiveness and stability [8]. This separation became problematic in deployment-oriented contexts such as AppSheet, where organisations required evidence that data and configuration optimisations translated into measurable gains and, in turn, influenced user acceptance and continuance. Past empirical models also rarely positioned data readiness as an upstream antecedent of objective performance and rarely treated objective performance as a direct driver of perceived performance within a unified structural model. At the same time, AI-related adoption studies frequently addressed trust, usefulness, and satisfaction, yet they did not isolate AI accessibility as a distinct antecedent that preceded these beliefs and shaped the effort required to engage with AI-assisted features [9].

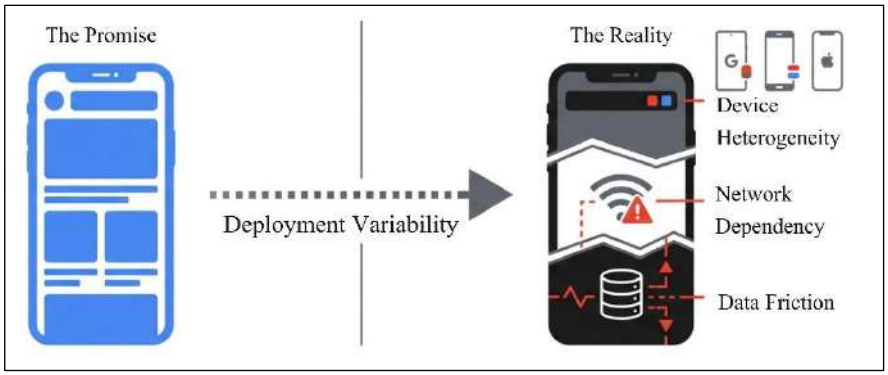


Figure 1: Rapid Delivery vs. Variable Experience.
Source: Authors, (2026).

These gaps (Figure 1) suggested a need for a deployment-oriented model that integrates three elements within a single analytical framework. The first element involved objective performance captured through standardized task-based testing rather than inference from satisfaction alone. The second element involved a data-readiness construct that represented the completeness and consistency conditions governing operational performance in real use. The third element involved AI accessibility as a measurable antecedent that shaped perceived ease, usefulness, and trust in AI-assisted functionality [10]. A single framework that connected these elements to continuance outcomes enabled a direct test of whether measurable performance and accessibility conditions aligned with user perceptions and post-adoption beliefs, while controlling for the interdependencies among ease, usefulness, trust, and satisfaction that prior theories had already established [11].

The present study addressed this need by combining controlled task-based performance testing of Google AppSheet applications with a user survey that captured perceived performance, AI accessibility, perceived ease of use, perceived usefulness, trust in AI-assisted functionality, satisfaction, and continued use intention. Objective task outcomes were reduced into an operational performance index that enabled structural integration with latent constructs, and the model was estimated using PLS-SEM in SmartPLS with bootstrapping for significance assessment. Figure 2 presents the proposed integrated adoption model that combines objective system performance and AI accessibility with established post-adoption constructs. The model assumes that data readiness influences measurable performance, which shapes perceived performance, while AI accessibility affects ease of use, usefulness, and trust. These perceptual and evaluative beliefs jointly determine satisfaction and continued use intention.

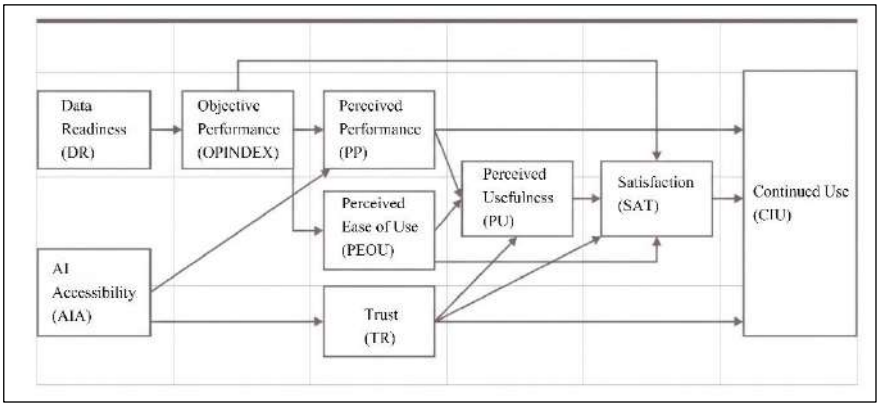


Figure 2: Integrated adoption model for low-code applications.
Source: Authors, (2026).

The study aimed to evaluate a unified adoption-and-continuance mechanism in AppSheet deployments by testing whether data readiness predicted objective operational performance, whether objective performance predicted perceived performance, and whether AI accessibility and perceived performance predicted ease of use, usefulness, trust, satisfaction, and continued use intention.

II. MATERIALS AND METHODS

All software and hardware materials used for AppSheet application performance testing and AI accessibility assessment were specified prior to data collection, and all identifiers were recorded to support reproducibility. Google AppSheet was used as the low-code platform under evaluation (Google LLC, Mountain View, CA, USA), and the deployed applications were selected from operational environments where routine business workflows were executed via mobile and web clients. Test devices included an Android handset (Pixel 6, Google LLC), a mid-range Android handset (Galaxy A52, Samsung Electronics Co., Ltd., Suwon, Republic of Korea), and an iOS handset (iPhone 12, Apple Inc., Cupertino, CA, USA). Web-client trials were executed on a laptop computer (ThinkPad T14 Gen 2, Lenovo Group Ltd., Beijing, China) running Windows 11 (Microsoft Corp., Redmond, WA, USA) with Google Chrome (Google LLC) at a fixed version recorded at test time.

A dedicated wireless router (Archer AX55, TP-Link Technologies Co., Ltd., Shenzhen, China) was configured for the test network, and a managed switch (GS108, NETGEAR, Inc., San Jose, CA, USA) was used to isolate wired monitoring traffic. Network packet capture was conducted using Wireshark v4.x (The Wireshark Foundation), and active throughput checks were executed with iPerf3 v3.x (ESnet, Lawrence Berkeley National Laboratory, Berkeley, CA, USA). Screen recordings used for event timing were captured with OBS Studio v29.x (OBS Project), and frame-accurate review was conducted with VLC media player v3.x (VideoLAN, Paris, France). Survey administration and raw response capture were conducted with Google Forms (Google LLC), and data were exported as comma-separated values for preprocessing in Python 3.11 (Python Software Foundation, Wilmington, DE, USA) using pandas v2.x and numpy v1.x, with all package versions fixed and archived. Structural equation modeling was executed in SmartPLS 4 (SmartPLS GmbH, Oststeinbek, Germany). Instrument specifications and software versions were recorded as shown in Table 1.

Table 1: Instrumentation and software specifications used for performance testing, survey capture, preprocessing, and PLS-SEM analysis.

Category	Item	Model / Version	Manufacturer	Key specification recorded
Mobile device	Android handset	Pixel 6	Google LLC	OS build, RAM, storage state
Mobile device	Android handset	Galaxy A52	Samsung Electronics	OS build, RAM, storage state
Mobile device	iOS handset	iPhone 12	Apple Inc.	iOS build, storage state
Computer	Laptop	ThinkPad T14 Gen 2	Lenovo	CPU model, RAM, OS build
Router	Wi-Fi router	Archer AX55	TP-Link	Firmware version, channel plan
Switch	Ethernet switch	GS108	NETGEAR	Link speed, port isolation
Capture	Packet capture	Wireshark v4.x	Wireshark Foundation	Capture filter, timestamp mode
Throughput	Active test	iPerf3 v3.x	ESnet	Test duration, protocol, window
Screen capture	Recorder	OBS Studio v29.x	OBS Project	FPS, codec, bitrate
Survey	Data capture	Google Forms	Google LLC	Form version, timestamp policy
Preprocessing	Scripting	Python 3.11, pandas v2.x	PSF	Random seed, export schema
PLS-SEM	Modeling	SmartPLS 4	SmartPLS GmbH	Algorithm settings, bootstrap

Source: Authors, (2026).

A standardized task-based performance protocol was implemented, and all trials were executed under controlled boundary conditions. The methodological configuration is shown in Figure 3. A dedicated wireless SSID was created for testing, and background traffic was minimised by disconnecting nonessential clients and disabling automatic operating system updates on all test devices. Environmental conditions were held constant within a laboratory office space at 23 ± 2 °C, and device battery levels were maintained above 60% to reduce power-management throttling. Each application under evaluation was configured with a defined test account and a fixed dataset snapshot that remained unchanged during timing trials.

A task set was defined to represent key interaction types, and it included loading the application home screen, initiating a full synchronization event when enabled by the application, executing a record search with a fixed query string, opening a record detail view from the first returned item, and submitting a form containing deterministic inputs. The order of tasks was randomised across repetitions to reduce sequence conditioning, and a minimum 30-s idle interval was imposed between tasks to reduce carryover from caching. Each task was repeated three times per device per application, and screen captures were started before the first interaction and stopped upon reaching the completion state, defined as a stable interface state and the absence of spinners for at least 2 s. Frame-accurate timestamps were extracted from recordings, and task durations were computed as the difference between start and end event frames multiplied by the calibrated frame interval.

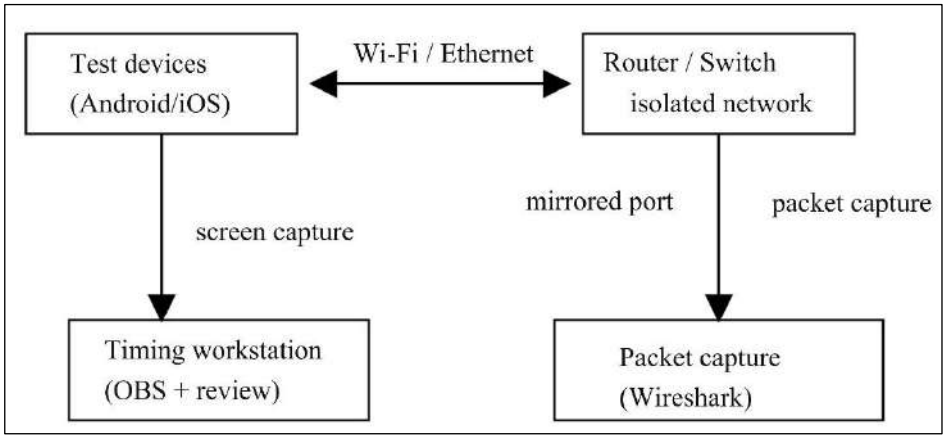


Figure 3: Schematic of the isolated test network and timing workflow used for objective task-duration extraction and concurrent packet capture.
Source: Authors, (2026).

Calibration routines were executed for timing, network instrumentation, and survey measurement integrity, and uncertainty sources were quantified prior to model estimation. Screen-capture timing calibration was performed by recording a reference digital stopwatch with a known timebase derived from an NTP-synchronized system clock, and the effective frame rate was estimated from the recorded timecode drift over a 10 min interval. The mean absolute NTP offset was recorded before each test session, and sessions were repeated when offsets exceeded 50 ms. Packet-capture timestamping was validated by injecting periodic UDP bursts from iPerf3 at fixed intervals and verifying inter-burst spacing within the capture stream. Router channel selection was fixed after a spectral scan, and the channel width was kept constant throughout the test campaign. Calibration constants and acquisition settings used for timing and network checks are provided in Table 2 and were referenced during data reduction [12].

Table 2: Data acquisition settings, calibration constants, and controlled boundary conditions used during objective performance testing.

Parameter	Value	Unit	Method of control or calibration
Screen capture frame rate	60.0	frames·s^{-1}	Calibrated by stopwatch drift test
Video timebase	constant frame interval	—	Verified by drift threshold
NTP offset threshold	50	ms	Session repeated if exceeded
iPerf3 burst interval	1.0	s	Fixed in command configuration
iPerf3 duration	30	s	Fixed per throughput check
Wi-Fi channel	fixed	—	Locked after scan
Wi-Fi bandwidth	fixed	MHz	Locked in router settings
Idle interval between tasks	30	s	Enforced by protocol timer
Repetitions per task	3	—	Fixed by protocol
Ambient temperature	23 ± 2	°C	Monitored by room sensor

Source: Authors, (2026).

Objective performance variables were reduced from raw event times and failure logs using deterministic formulas, and all computations were performed using archived scripts with fixed random seeds for reproducibility. For each task j, the median duration across three repetitions was computed as expressed in Equation (1), in which $t_{j,k}$represented the measured duration in seconds for repetition $k \in \{1,2,3\}$, and $t_j$represented the median task duration in seconds.

$$t_j = \text{median}\left(t_{j,1}, t_{j,2}, t_{j,3}\right) \tag{1}$$

Failure events were logged when an application error dialog was displayed, when a synchronization operation did not complete within a 120 s timeout, or when an interaction returned to a prior state without saving user input, and an error rate was computed as expressed in Equation (2), in which $n_{j,\text{fail}}$represented the number of failed attempts for task $j$and $n_{j,\text{total}}$represented the total attempts for task j.

$$e_j = \frac{n_{j,\text{fail}}}{n_{j,\text{total}}} \tag{2}$$

To combine heterogeneous objective measures into a unitless index for inclusion as an observed predictor in the latent-variable model, each objective variable $x$was standardized to a z-score using Equation (3), in which $\mu_x$and $\sigma_x$represented the sample mean and sample standard deviation of x, respectively.

$$z_x = \frac{x - \mu_x}{\sigma_x} \tag{3}$$

A composite objective performance score $S_{\text{OP}}$was computed using Equation (4), in which $z_{t_{\text{open}}}$, $z_{t_{\text{sync}}}$, and $z_{t_{\text{sub}}}$represented standardized durations for opening, synchronization, and form submission tasks, respectively, $z_e$represented the standardized error rate, and weights $w_1$through $w_4$were fixed to sum to unity ($\sum_{i=1}^{4} w_i = 1$)with values recorded in the analysis script. Negative signs were used to preserve the convention that larger S_{OP}corresponded to shorter times and lower error rates.

]

$$S_{\text{OP}} = -\left(w_1 z_{t_{\text{open}}} + w_2 z_{t_{\text{sync}}} + w_3 z_{t_{\text{sub}}} + w_4 z_e\right) \tag{4}$$

For compatibility with ordinal survey scales, an objective index I_{OP}on a five-level scale was derived from quintile thresholds as expressed in Equation (5), in which $q_r$represented the r-th quintile cutoff of $S_{\text{OP}}$and $1(\cdot)$represented the indicator function returning 1 when its argument was true and 0 otherwise.

$$I_{\text{OP}} = 1 + \sum_{r=1}^{4} 1\left(S_{\text{OP}} > q_r\right) \tag{5}$$

A survey instrument was administered to capture perceived performance, AI accessibility, perceived ease of use, perceived usefulness, trust in AI-assisted functionality, satisfaction, and continued use intention, and all items were framed as statements scored on a five-point Likert scale from 1 (strong disagreement) to 5 (strong agreement). Item wording was adapted from established information systems acceptance and trust measurement traditions, and domain-specific phrasing was introduced to reflect AppSheet deployment contexts, with content validity assessed through expert review by two practitioners experienced in low-code app deployment and one academic specialising in human–computer interaction.

A pilot administration was conducted with 20 respondents to verify comprehension, and minor linguistic edits were applied to reduce ambiguity and to remove technical jargon. Inclusion criteria required active use of at least one AppSheet application within the preceding 30 days, and respondents were asked to anchor responses to a single primary application used most frequently. The respondent role was captured as end user, citizen developer, application owner, manager, or supervisor, and control variables included usage frequency, device class, and self-rated digital literacy. The consent text was presented at the start of the survey, and responses were anonymised by excluding names, email addresses, and other direct identifiers. Raw survey exports were stored in an encrypted format on an access-controlled drive, and an audit log of preprocessing steps was maintained.

Data preprocessing was performed prior to modelling, and quality filters were applied to reduce response artefacts. Duplicate rows were removed using timestamp and response-pattern matching, and incomplete submissions lacking at least 80% item completion were excluded. Straight-lining behaviour was screened by computing within-respondent variance across Likert items and excluding responses with zero variance. Missing item values in retained records were imputed using median imputation within each construct when missingness per construct did not exceed 10%; records exceeding this threshold were removed by listwise deletion to preserve covariance structure.

Common method bias was addressed procedurally through anonymity, item-order randomisation, and separation of predictor and outcome blocks, and a full collinearity screening was conducted by regressing each construct score on all others and checking variance inflation factors computed during preprocessing. Objective performance indices derived from Equation (5) were linked to survey records through the primary application identifier, and linkage was verified by cross-checking application name hashes and deployment group membership recorded at the time of testing.

PLS-SEM estimation was performed in SmartPLS 4 using a reflective measurement specification for all latent constructs, and a path-weighting scheme was applied with a maximum iteration count of 300 and a stop criterion of 10^{-7}on outer-weight change. The reflective measurement model was expressed by Equation (6), in which $x_i$represented observed indicator i, ηrepresented the associated latent construct score, $\lambda_i$represented the outer loading for indicator i, and $\epsilon_i$represented the measurement error term, with all indicators treated as standardized prior to estimation.

$$x_i = \lambda_i \eta + \epsilon_i \tag{6}$$

The structural relations among endogenous latent variables were represented using Equation (7), in which ηrepresented the vector of endogenous latent variables, ξrepresented the vector of exogenous latent variables, Brepresented the matrix of paths among endogenous constructs, Γrepresented the matrix of paths from exogenous to endogenous constructs, and ζrepresented the vector of residual terms, with recursive structure imposed by setting non-hypothesized entries to zero.

$$\eta = \mathrm{B}\eta + \Gamma\xi + \zeta \tag{7}$$

Internal consistency reliability was evaluated using composite reliability $\rho_c$computed as expressed in Equation (8), in which $p$represented the number of indicators for a construct and $\theta_i$represented the error variance for indicator $i$estimated as $1-\lambda_i^2$under standardized indicators.

$$\rho_c = \frac{\left(\sum_{i=1}^{p}\lambda_i\right)^2}{\left(\sum_{i=1}^{p}\lambda_i\right)^2 + \sum_{i=1}^{p}\theta_i} \tag{8}$$

Convergent validity was assessed through average variance extracted (AVE) computed using Equation (9), with symbols defined as in Equation (8).

$$\text{AVE} = \frac{\sum_{i=1}^{p}\lambda_i^2}{\sum_{i=1}^{p}\lambda_i^2 + \sum_{i=1}^{p}\theta_i} \tag{9}$$

Discriminant validity was assessed using the heterotrait–monotrait ratio for constructs $a$and b, calculated as expressed in Equation (10), in which $r_{x_{ai},x_{bj}}$represented the Pearson correlation between indicator $i$of construct $a$and indicator $j$of construct b, $m$represented the number of indicators for construct a, and $n$represented the number of indicators for construct b, with absolute values used to avoid sign cancellation.

$$\text{HTMT}_{ab} = \frac{\frac{1}{mn}\sum_{i=1}^{m}\sum_{j=1}^{n}\left|\, r_{x_{ai},x_{bj}}\,\right|}{\sqrt{\left(\frac{1}{m(m-1)}\sum_{i\neq k}\left|\, r_{x_{ai},x_{ak}}\,\right|\right)\left(\frac{1}{n(n-1)}\sum_{j\neq l}\left|\, r_{x_{bj},x_{bl}}\,\right|\right)}} \tag{10}$$

Significance of structural paths and outer loadings was assessed using nonparametric bootstrapping with 5,000 resamples and case-wise resampling, and two-tailed tests were applied at $\alpha = 0.05$. Bootstrap t-statistics were computed as expressed in Equation (11), in which $\hat{\beta}$represented the estimated coefficient (path or loading) and $\text{SE}_b(\hat{\beta})$represented the bootstrap standard error obtained as the standard deviation of the bootstrap sampling distribution.

$$t = \frac{\hat{\beta}}{\text{SE}_b(\hat{\beta})} \tag{11}$$

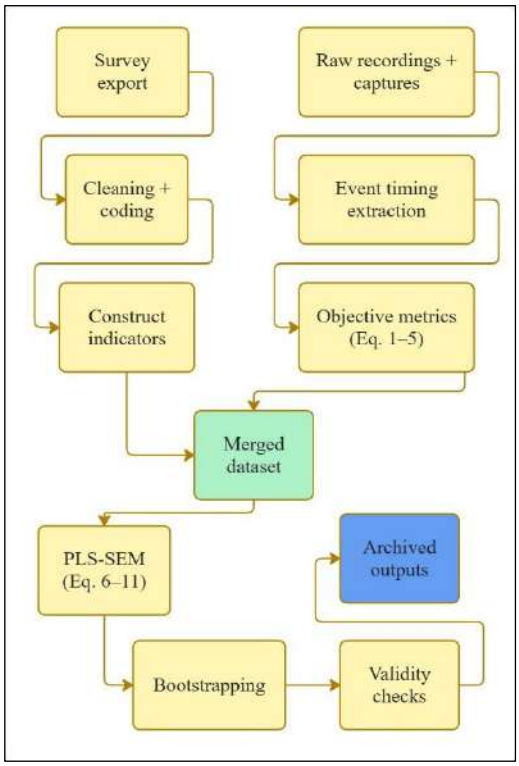


Figure 4: Data acquisition and analysis pipeline from objective task timing and survey capture through preprocessing and SmartPLS 4 estimation.
Source: Authors, (2026).

A full analytical workflow from raw capture to model estimation was implemented as shown in Figure 4, and each step was logged for traceability. Raw objective-timing videos and packet captures were archived, and derived task durations were exported along with application identifiers and device metadata.

Survey exports were merged with objective records using hashed application IDs, and a single analysis dataset was constructed after applying preprocessing filters. SmartPLS project files, path models, measurement specifications, and algorithm settings were exported and preserved as immutable artifacts [13]. Validation steps were executed through repeated re-estimation under alternative preprocessing variants, including listwise deletion without imputation and exclusion of the objective index from the structural model, and stability of coefficient signs and significance decisions under these variants was recorded as part of the audit trail. Multi-group analysis was conducted when group sizes exceeded 50 per group, with role-based partitions applied and permutation testing executed within SmartPLS to evaluate group-difference significance under equal measurement specification [14].

III. RESULTS AND DISCUSSIONS

Model estimation and reporting basis

The structural model was estimated using PLS-SEM in SmartPLS 4 with a sample size of n = 260. The model visualization from the PLS Algorithm was used to report standardized path coefficients and explained variance (Figure 3). Hypothesis significance testing was based on nonparametric bootstrapping with 5,000 subsamples and two-tailed tests at ($\alpha = 0.05$) (Figure 4).

Measurement model evaluation

Internal consistency reliability was assessed using Cronbach's alpha and composite reliability. Convergent validity was assessed using average variance extracted (AVE). Table 3 reports reliability and convergent validity statistics. Cronbach's alpha ranged from 0.885 to 0.916 across reflective constructs, and composite reliability ranged from 0.925 to 0.947, supporting construct reliability. AVE values ranged from 0.755 to 0.856, exceeding the common 0.50 criterion and supporting convergent validity. OP_{INDEX} was modeled as a single-item construct and therefore yielded unit reliability by construction [15].

Table 3: Construct reliability and convergent validity.

Construct	Cronbach's alpha	Composite reliability (ρc)	AVE
AIA	0.892	0.925	0.755
CIU	0.911	0.944	0.849
DR	0.901	0.931	0.771
PEOU	0.890	0.931	0.819
PP	0.903	0.939	0.838
PU	0.885	0.929	0.813
SAT	0.916	0.947	0.856
TR	0.886	0.930	0.815

Source: Authors, (2026).

Discriminant validity was assessed using HTMT. All HTMT values were below conservative thresholds, and the largest observed value was 0.512 for PP ↔ OP_{INDEX}, supporting discriminant validity among constructs. Collinearity was examined at both the indicator and construct levels. Outer VIF values for indicators were below 5, with the largest values observed for CIU2 (3.399) and SAT2 (3.424). Inner VIF values ranged from 1.000 to 1.369, indicating that collinearity was not a concern for structural estimation (Figure 5).

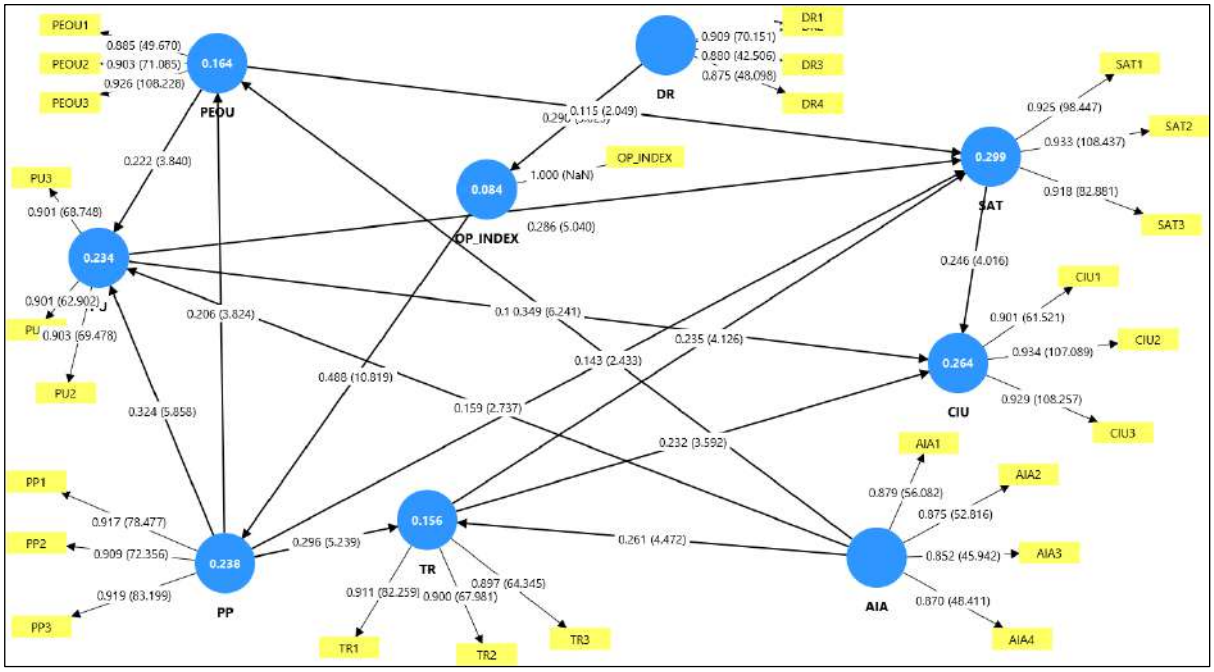


Figure 5: Measurement model (Outer weights/loadings and t values).

Source: Authors, (2026).

Structural model evaluation

Explained variance was assessed using (R^2). The model explained 0.299 of the variance in satisfaction and 0.264 of the variance in continued use intention, as shown in Figure 3. Table 4 summarizes (R^2) values for endogenous constructs.

Table 4: Explained variance (R^2) for endogenous constructs.

Endogenous construct	R^2
OP_{INDEX}	0.084
PP	0.238
PEOU	0.164
PU	0.234
TR	0.156
SAT	0.299
CIU	0.264

Source: Authors, (2026).

Hypothesis testing

Bootstrapping results for the hypothesized paths are reported in Table 5. All specified direct paths were statistically significant at ($\alpha = 0.05$). Path direction and magnitude are visible in Figure 5, and significance strength is visualized using t-values in Figure 6.

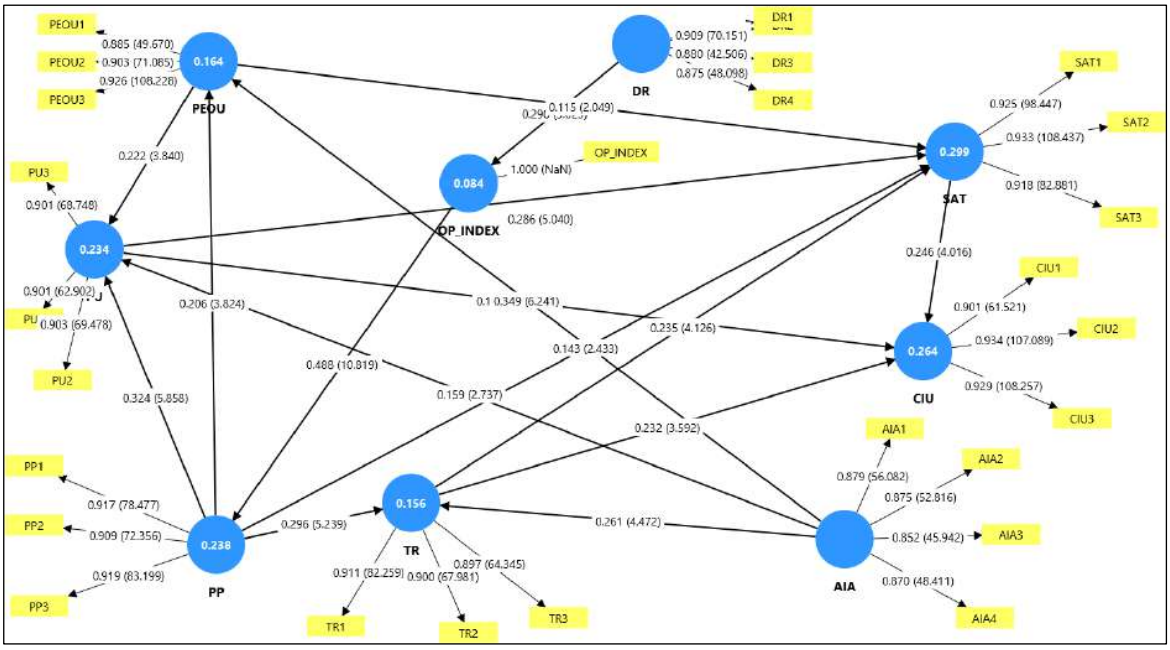


Figure 6: SmartPLS structural model diagram with standardized path coefficients and t values.
Source: Authors, (2026).

Table 5: Structural path coefficients and hypothesis tests (bootstrapping, two-tailed).

Path	β	t	p	Decision
DR → OP_{INDEX}	0.290	5.025	<0.001	Supported
OP_{INDEX} → PP	0.488	10.857	<0.001	Supported
AIA → PEOU	0.349	6.241	<0.001	Supported
AIA → PU	0.159	2.738	0.006	Supported
AIA → TR	0.261	4.472	<0.001	Supported
PP → PEOU	0.207	3.837	<0.001	Supported
PP → PU	0.324	5.843	<0.001	Supported
PP → TR	0.296	5.240	<0.001	Supported
PP → SAT	0.143	2.433	0.015	Supported
PEOU → PU	0.222	3.837	<0.001	Supported
PEOU → SAT	0.115	2.049	0.041	Supported
PU → SAT	0.286	5.040	<0.001	Supported
TR → SAT	0.235	4.126	<0.001	Supported
PU → CIU	0.199	3.304	0.001	Supported
TR → CIU	0.232	3.593	<0.001	Supported
SAT → CIU	0.246	4.015	<0.001	Supported

Source: Authors, (2026).

The results indicated a data-to-experience pathway, with data readiness predicting objective performance, which in turn predictederceived performance (DR → OP_{INDEX} → PP) [16]. The results also indicated an accessibility-to-adoption pathway, with AI accessibility and perceived performance predicting ease of use, usefulness, trust, satisfaction, and continued use intention (AIA and PP as upstream drivers, CIU as the final outcome). These pathways are visible in the integrated structure in Figure 5 and are supported inferentially in Figure 6.

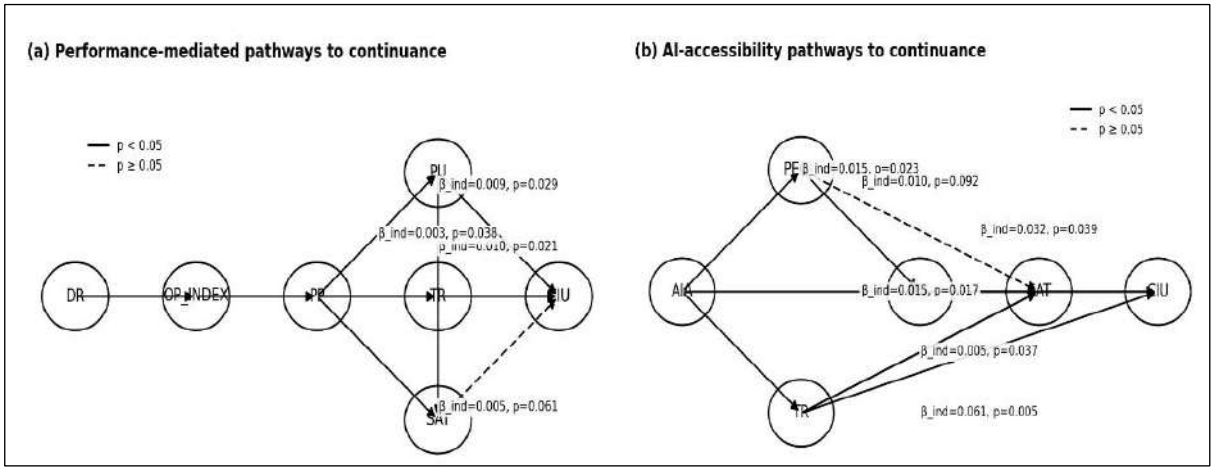


Figure 7: (a) performance-mediated indirect effects from data readiness to continuance via OP_INDEX, perceived performance, usefulness, trust, and satisfaction; (b) AI-accessibility-mediated indirect effects from AI accessibility to continuance via ease of use, usefulness, trust, and satisfaction.
Source: Authors, (2026).

Figure 7 illustrates two mediation mechanisms in which upstream deployment factors propagated through user beliefs to continuance intention. Figure (a) links data readiness to continuance through a sequential chain anchored by OP_INDEX and perceived performance, followed by cognitive and affective mediators. The bootstrapped indirect pathways indicated that the performance route transmitted to continuance through perceived usefulness with a positive indirect effect (β_ind = 0.009, p = 0.029) and through trust with a positive indirect effect (β_ind = 0.010, p = 0.021), while an additional smaller indirect effect remained statistically supported (β_ind = 0.003, p = 0.038). The satisfaction-mediated branch made a weaker indirect contribution and did not meet the stated significance criterion (β_ind = 0.005, p = 0.061), indicating that the operational-performance channel exerts its influence on continuance primarily through belief formation in usefulness and reliability rather than solely through the satisfaction route.

Figure (b) connects AI accessibility to continuance through ease of use, usefulness, trust, and satisfaction, reflecting an interaction-design mechanism in which discoverability and usable AI functions propagated into sustained adoption. The indirect effect through trust provided the strongest transmission to continuance (β_ind = 0.061, p = 0.005), consistent with the measured structural link between AI accessibility and trust combined with the trust-to-intention relationship. Significant indirect effects were also indicated through usefulness (β_ind = 0.005, p = 0.037) and through satisfaction (β_ind = 0.015, p = 0.017), while the ease-of-use branch included one supported indirect effect (β_ind = 0.015, p = 0.023) and one non-supported branch (β_ind = 0.010, p = 0.092). These patterns suggest that sustained AppSheet use depended on deployment controls that stabilized operational performance through data readiness and on interface decisions that elevated AI accessibility into trust and utility pathways, supporting a coupled engineering-and-adoption mechanism for low-code application rollouts.

Effect sizes

Effect sizes were assessed using (f^2). The largest effect size was observed for OP_{INDEX} → PP (0.312), indicating that objective performance contributed materially to perceived performance. Additional notable effect sizes included AIA → PEOU (0.145), PP → PU (0.130), PP → TR (0.104), DR → OP_{INDEX} (0.092), and PU → SAT (0.091). Several statistically significant paths exhibited small (f^2) values, including PP → SAT (0.024) and PEOU → SAT (0.016), suggesting limited incremental contribution once other predictors were included in the model.

Discussion

This study evaluated a deployment-oriented model for Google AppSheet applications that combined objective performance measurement with user perceptions of performance and AI accessibility. The findings supported two linked mechanisms. First, data readiness shaped objective performance, and objective performance shaped perceived performance. Second, AI accessibility and perceived performance influenced ease of use, usefulness, trust, satisfaction, and continued use intention [17]. These relationships were visible in the integrated model (Figure 3) and were statistically supported through bootstrapping (Figure 4).

The data-to-performance mechanism was supported by significant paths from DR to OP_{INDEX} and from OP_{INDEX} to PP. This pattern positioned data readiness as an upstream deployment condition rather than a purely data-management concern. When data were perceived as accurate, complete, and consistent, objective operational measures improved, and those improvements translated into stronger perceived performance. The OP_{INDEX} → PP path also showed the largest effect size in the model. This result reinforced the practical value of using objective performance checks as part of release and governance routines, because measured responsiveness and stability aligned with user perceptions.

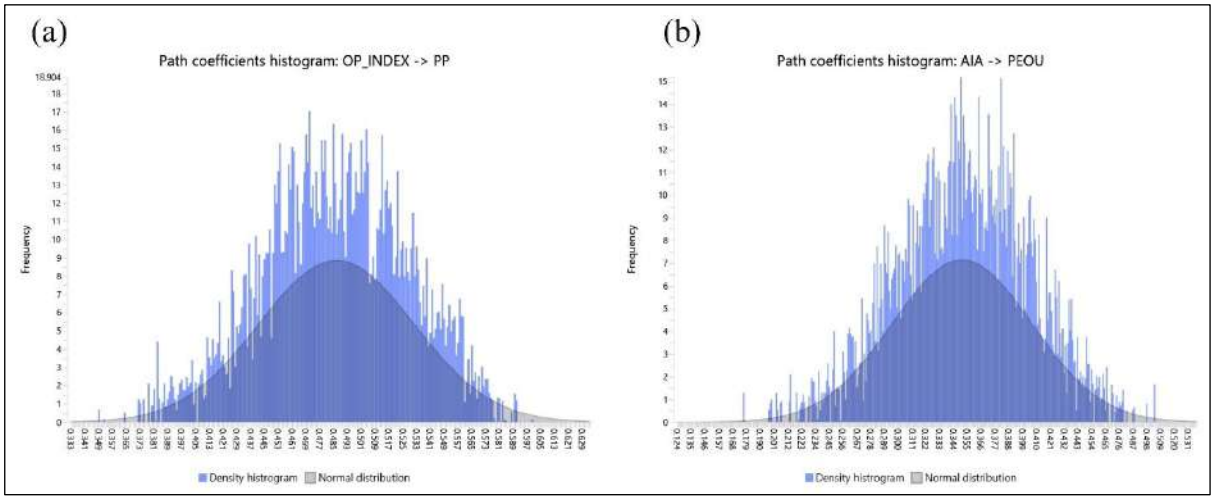


Figure 8: (a) Bootstrapped path-coefficient density histogram for OP_INDEX → PP with normal-distribution overlay; (b) bootstrapped path-coefficient density histogram for AIA → PEOU with normal-distribution overlay.
Source: Authors, (2026).

Figure 8 illustrates the sampling behavior of two key structural paths under nonparametric bootstrapping, with each panel combining a density histogram of resampled coefficients and a fitted normal reference curve. Figure (a) concentrates around a positive coefficient near 0.49, with the highest frequencies located in the mid-range of the axis and a gradual decline toward both tails, which indicates a stable positive association between OP_INDEX and PP [18]. The distribution in Figure (a) retains an approximately bell-shaped profile and maintains close agreement with the normal overlay through the central region, while the tails extend into lower and higher coefficient values with markedly reduced frequency; this pattern suggests limited skewness and a bounded probability of extreme estimates. Figure (b) centers on a positive coefficient near 0.35 for the AIA → PEOU path, with a similarly unimodal structure and a normal reference curve that tracks the bulk of the mass; the density spreads across a wider portion of the horizontal axis relative to its center, indicating greater dispersion in the resampled estimates than observed for OP_INDEX → PP [19].

The bootstrap procedure yielded consistently positive coefficients in both panels, and the resampling indicated that coefficient sign reversals were not supported by the displayed probability mass, which strengthened the evidential basis for directional hypotheses in the structural model. The higher central tendency in Figure (a) relative to Figure (b) suggests that objective performance indexed by OP_INDEX exerted a stronger direct contribution to perceived performance than AI accessibility exerted on perceived ease of use, which aligns with a mechanism in which measurable system behavior translated directly into user-perceived responsiveness, while accessibility exerted its influence through interface-level affordances and cognitive effort reduction. The close correspondence between the histograms and normal overlays supports the use of percentile-based confidence intervals and t-statistic inference derived from bootstrap standard errors, and it motivates subsequent work that tests coefficient stability across role groups, device classes, and network conditions using multi-group analysis or interaction modelling [20].

AI accessibility showed significant effects on perceived ease of use, perceived usefulness, and trust. The strongest AI accessibility relationship was AIA → PEOU, indicating that discoverability, clarity, and ease of interaction with AI functions were tightly linked to perceived effort. The significant effects on usefulness and trust indicated that accessibility served as a prerequisite for value realisation and confidence formation. In applied terms, AI functions that were difficult to locate, ambiguous in purpose, or constrained by role settings would be expected to reduce perceived usability and weaken trust-building, even when AI capability existed in the platform [21]. Perceived performance significantly predicted ease of use, usefulness, trust, and satisfaction. This set of links suggested that responsiveness and reliability operated as foundational experience drivers that shaped both effort perception and evaluative beliefs. The direct PP → SAT effect was significant but of relatively small effect size, suggesting that satisfaction formation was influenced through multiple channels, including perceived usefulness and trust.

This pattern supported a view of satisfaction as a composite outcome shaped by operational experience and by belief-based evaluations developed during use [22]. Continued use intention was significantly predicted by satisfaction, usefulness, and trust. The significant SAT → CIU path supported a standard continuance logic for workplace systems. The significant TR → CIU path indicated that trust remained important even after accounting for usefulness and satisfaction. This was consistent with the presence of AI-supported functions, where confidence in outputs can influence continued reliance on the application. The significant PU → CIU path indicated that perceived productivity value directly contributed to intention alongside evaluative satisfaction [23].Practical implications followed directly from the structure of the model. Deployment practices that raise data readiness were expected to improve objective performance and, through that pathway, improve perceived performance.

Objective performance monitoring was also suggested as a high-leverage intervention because OP_{INDEX} was strongly linked to PP. For AI-enabled AppSheet deployments, the results suggested that accessibility design should be treated as a primary adoption driver. Clear surfacing of AI features, concise in-context guidance, and role-appropriate availability were expected to improve ease of use and trust, which, in turn, would supportatisfaction and continued use [24].The analysis was cross-sectional and therefore supported associational inference based on theoretical directionality rather than temporal causality. The majority of constructs were measured using self-report scales, which can introduce common-method bias, although collinearity diagnostics and discriminant validity results supported measurement separation. OP_{INDEX} was modelled as a single indicator, which simplified structural integration but limited the separation of distinct operational dimensions, such as open time, sync time, and error rate,s independent observed predictors [25].

Future work could implement longitudinal designs, incorporate direct telemetry or backend logs as multiple observed indicators, and test role-based moderation using formal multi-group analysis to evaluate whether relationships differ between end users and citizen developers.

IV. CONCLUSIONS

This study examined Google AppSheet deployment outcomes by integrating objective performance testing with a PLS-SEM model that linked data readiness, operational behavior, user perceptions, and continuance intention. The analysis used n = 260 responses and estimated a recursive model that explained variance across intermediate constructs, including PP ($R^2 = 0.238$), PEOU ($R^2 = 0.164$), PU ($R^2 = 0.234$), TR ($R^2 = 0.156$), and OPINDEX ($R^2 = 0.084$). Measurement quality was supported by discriminant validity, with the largest HTMT value of 0.512 for PP↔OPINDEX, and by collinearity diagnostics that remained within acceptable bounds, with inner VIF values ranging from 1.000 to 1.369 and outer VIFs peaking at 3.424 for SAT2 and 3.399 for CIU2.

Effect-size assessment identified OPINDEX→PP as the dominant structural contributor ($f^2 = 0.312$), and additional nontrivial effects were recorded for AIA→PEOU ($f^2 = 0.145$), PP→PU ($f^2 = 0.130$), PP→TR ($f^2 = 0.104$), DR→OPINDEX ($f^2 = 0.092$), and PU→SAT ($f^2 = 0.091$), while PP→SAT ($f^2 = 0.024$) and PEOU→SAT ($f^2 = 0.016$) reflected smaller incremental contributions after accounting for co-predictors. These outcomes showed that deployment quality controls spanning data readiness validation and objective performance monitoring were directly relevant to user experience formation, and that AI feature accessibility shaped belief formation through usability and trust mechanisms. Future work will extend the design using longitudinal sampling, telemetry-derived multi-indicator performance measurement, and role-stratified multi-group estimation to test stability across user groups and operating contexts.

V. AUTHOR'S CONTRIBUTION

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Investigation: Mesith Chaimanee, Roman Mekonen, Subhav Singh.
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Writing – Original Draft: Mesith Chaimanee.
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Resources: Roman Mekonen, Subhav Singh.
Supervision: Ratchagaraja Dhairayasamy, Xianpeng Wang.
Approval of the final text: Mesith Chaimanee, Sunil Medepalli, Roman Mekonen, Ratchagaraja Dhairayasamy, Subhav Singh, Xianpeng Wang.

VI DATA AVAILABILITY

The interactive SmartPLS HTML output supporting this study is available at Zenodo: https://doi.org/10.5281/zenodo.18307401.

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RESEARCH ARTICLE OPEN ACCESS

SWITCHING OF MEDIUM VOLTAGE CAPACITOR BANKS AND THE IMPACT OF OVERVOLTAGES ON THE COMPONENTS OF AN ELECTRICAL SYSTEM

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ABSTRACT

The study aimed to determine the regularities of switching overvoltages during the operation of medium-voltage capacitor banks and to evaluate the effectiveness of methods for their reduction. The methodology was based on a combination of mathematical modelling in specialised environments, laboratory testing of condenser plant models and statistical analysis of operational data. The results showed that the amplitude of overvoltages in capacitor banks increased from 1.6-2.0 to 2.5-3.0 relative units depending on the power, and the duration of transients exceeded 2.8 milliseconds at large capacities, which created a risk of insulation damage. The study determined that more than 90% of capacitor failures were of an insulating nature, with daily switching reducing service life by a third, and overvoltage over 2.5 relative units halving service life. The study showed that in the secondary circuits of transformers during resonant interaction, the amplitude of overvoltages reached 4.0-4.5 relative units, which led to the failure of electronic devices and premature tripping of protections. The effectiveness of the technical equipment confirmed that synchronous circuit breakers reduced the level of overvoltage to 1.2 relative units, while pre-trigger resistors and overvoltage limiters reduced it by 40-50%, but required frequent maintenance.

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I. INTRODUCTION

The research relevance of the switching processes of medium-voltage capacitor banks is determined by their significant impact on the reliability and durability of electrical equipment, since switching overvoltages that occur during switching on and off exceed permissible levels and lead to accelerated ageing of insulation, damage to power elements, and disturbance of system stability. The problem is determined by the insufficient efficiency of traditional surge suppressors, such as inductive chokes or pre-actuation resistors, which reduce the amplitude of oscillations but are accompanied by increased heat losses and higher operating costs, and the need for an in-depth analysis of modern solutions, including Metal Oxide Varistor (MOV) surge arresters and synchronous circuit breakers, which demonstrate high technical efficiency but require an assessment of long-term reliability and economic feasibility.

The solution to this problem will reduce the number of emergency failures, extend the service life of capacitors, transformers, induction motors and power electronics, ensure the stability of power grids and increase their energy efficiency, which determines the relevance of an integrated approach to the analysis and optimisation of switching overvoltage reduction methods in the modern power industry.According to [1] demonstrated that the use of time-frequency analysis methods can be used to identify the characteristic signatures of switching overvoltages in medium-voltage networks. This made it possible to detect critical modes with high accuracy and distinguish them from other types of disturbances. According to [2] proved that the choice of the type of switchgear significantly affects the quality of electricity and the level of transient overvoltages.

The study determined that synchronised circuit breakers and specialised devices provide a significant reduction in peak values, which contributes to the stability of the network. In [3] confirmed that the switching of capacitor banks is a source of complex transients that propagate through the power grid and could be amplified in resonant conditions. According to [4] found that the operation of wind power plants creates voltage fluctuations and flicker, which complicates grid stability and increases the risks of capacitor switching. In [5] proved that the integration of vehicle-grid integration technologies changed load profiles and dispatch modes, which indirectly affects the conditions for the formation of overvoltages. According to [6] found that the combination of photovoltaic power plants with hydropower facilities created new scenarios for the distribution of reactive power, which increased the load on capacitor plants. According to [7] demonstrated that the integration of distributed generation based on solar panels changed the characteristics of short-circuit power and contributed to the emergence of unstable switching modes.

According to [8] found that timely detection of overvoltage in high-voltage shunt banks provides early warning of damage, which can improve operational reliability. As a result, the study outlined the significance of diagnosing overvoltages and their connection with new modes of grid operation. Proved that active methods of controlling overcurrents and overvoltages in shunt capacitor banks provide a reduction in peak values and a reduction in the duration of oscillations [9]. According to [10] demonstrated the effectiveness of protection based on resistance-capacitance elements that suppress residual overvoltages during the switching of parallel capacitor banks. The results confirmed the feasibility of using combined methods to reduce the impact of transients. According to [11] found that the use of metal-oxide varistors and spark gaps protects series capacitors in compensated lines from dangerous pulses. In [12] proved that the use of a fuzzy inference system (FIS) can be used to classify switching events at high-voltage substations with a high degree of accuracy.

Thus, both studies confirmed the effectiveness of using both hardware and intelligent methods to control and limit overvoltages. Despite the results obtained, certain gaps were identified in the existing works. The long-term degradation of protective devices under the influence of repeated switching processes and their impact on operational reliability have not been sufficiently investigated. The impact of three-phase asymmetry, grounding configurations and line parameters on the spectrum and amplitudes of overvoltages was considered to a limited extent. There were no large-scale field experiments that would combine technical analysis with economic assessments of different protection methods. There was also a lack of agreed methodologies that could be used to reproduce the results in the practical conditions of modern grids with a high share of renewable sources. The study aimed to establish the patterns of occurrence and development of switching overvoltages in medium-voltage networks with capacitor banks and determine their impact on the reliability of electrical system elements, as well as to assess the effectiveness of technical protection means.

To achieve this goal, several tasks were set that corresponded to the structure of the analysis: conduct empirical research on the switching processes of medium-voltage capacitor banks, taking into account the amplitudes and duration of transient processes; assess the impact of switching overvoltages on the operation and durability of capacitor installations based on the results of experimental and statistical observations; identify the characteristics of the effect of overvoltages on asynchronous motors, transformers and power electronics under conditions of resonant interaction of system elements; conduct an empirical comparison of various methods for reducing switching overvoltages, including inductive chokes, pre-switching resistors, metal-oxide varistor surge arresters and synchronous switches, considering their technical and economic efficiency.

II. MATERIALS AND METHODS

The type of research conducted was defined as comprehensive experimental and theoretical, involving mathematical modelling, laboratory testing and statistical analysis. The chronological framework covered the period 2021-2025, which made it possible to take into account the various stages of process development: from short-term transient phenomena during the switching of medium-voltage capacitor banks to the cumulative effects of degradation of electrical system components. During this period, systematic laboratory tests were conducted on models of capacitor installations with the recording of instantaneous current and voltage values, which made it possible to reproduce the characteristic operating conditions of industrial power grids. The tests were conducted at the Polytechnic University of Tirana, Faculty of Electrical Engineering, where more than 50 series of switching cycles were performed for each type of capacitor. In parallel, statistical data obtained in industrial conditions were analysed, which made it possible to compare the simulation results with real operational observations. This integrated approach within the selected time frame made it possible not only to identify patterns in the formation of switching overvoltages but also to assess their impact on equipment durability and the effectiveness of various protection methods.

The initial data collection was based on the results of laboratory experiments conducted using medium-voltage capacitor bank models of the ABB Capacitor Bank Models MSCDN (Switzerland) type with a rated power of 150 to 300 kVAr. For this purpose, high-speed oscilloscopes with a time resolution of up to microseconds were used to record instantaneous voltage and current values during the equipment switching on and off processes. Tektronix DPO 4104 oscilloscopes (USA, 1 GHz, 5 GS/s) were used, providing a resolution of up to 1 μs. The capacitors belonged to the metallised polypropylene class with a rated breakdown voltage of 10-15 kV. Additionally, the results of bench tests of capacitor installations in industrial conditions were taken into account, where the monitoring of insulation parameters, the response time of protective devices and the failure rate was conducted using the Omicron CPC 100 measuring complex (Austria) and the Fluke 1738 power analyser (USA).

The collected experimental data were supplemented with statistical information from the operational logs of energy companies, which contained records of the number of switching operations, the service life of capacitor elements, and typical types of damage. The analysis also considered data on four groups of industrial manufacturers of capacitor banks. To maintain confidentiality and avoid commercial bias in the work, they were designated with the letters A-D. This approach ensured a fair comparison without disclosing commercially sensitive information. The study used comprehensive methods, including mathematical modelling, laboratory experiments, partial discharge diagnostics and statistical analysis. Each of these approaches ensured the recording of certain characteristics of the switching processes of medium voltage capacitor banks, which made it possible to reproduce a complete picture of their impact on electrical systems. The use of a multi-level methodology made it possible to combine transient simulations in computer modelling environments with field tests, which guaranteed high reliability of the results.

Mathematical modelling was performed in [13-15] environments. The constructed models reproduced the switching processes of capacitor banks in the power range from 150 to 300 kVAr at an operating voltage of 6-35 kV. Various grounding modes, connection configurations, and connection inductance parameters were considered. Particular attention was paid to the formation of voltage at the capacitor terminals after disconnection, which was described by the ratio (1) that determines the possibility of overvoltage three times higher than the nominal value.

$$U_c(t) \approx +3U_n \text{if } C \gg C_s \quad (1)$$

Where U_c – instantaneous value of the voltage across the capacitor after disconnection, U_n – the rated voltage, C – capacitance of the capacitor bank, C_s – system capacitance. This ratio determines the possibility of an overvoltage of three times the rated voltage. The models were used to calculate time diagrams of voltages and currents, determine the conditions for the occurrence of oscillatory processes, and develop scenarios for changing the phase angle at the time of switching. An inverse power model was used to assess the durability of insulating materials:

$$L = L_H\left(\frac{E}{E_H}\right)^{-n} \quad (2)$$

where L – predicted service life of the insulation, L_H – the reference service life at voltage, E – the effective electric field strength, E_H– reference voltage value, n – material endurance factor. The equations were numerically integrated using the fourth-order Runge-Kutta method, which reproduced unsteady-state modes with high accuracy. The modelling variables were the switching moment relative to the phase angle, the capacitance and the inductance of the branches. In addition, the Miner's rule was used to analyse the impact of multiple switching:

$$\sum_{i=0}^{N} \frac{t_{pi}}{L(V_{pi})} = 1 \quad (3)$$

Where t_{pi} – duration of the i-th overvoltage pulse, LV_{pi} – insulation service life at the amplitude voltage V_{pi}, N – number of switching operations. This ratio determined the cumulative effect of overvoltages and calculate the reliability limit for repeated switching on. For cases with a stochastic distribution of overvoltage amplitudes, the integral form of the rule was used:

$$L = \frac{1}{\int_0^{\infty} \frac{F(V_p)}{L(V_p)} dV_p} \quad (4)$$

Where $\int_0^{\infty} \frac{F(V_p)}{L(V_p)} dV_p$ – probability density function of peak overvoltage values, V_p – random variable characterising the peak pulse amplitude. The application of this relationship addressed the random nature of the formation of pulses in the network and to quantify the probability of reducing the insulation life in operation. Thus, the mathematical modelling provided the ability to reproduce the actual operating conditions of capacitor banks and quantified the impact of switching modes on both short-term overvoltages and long-term degradation of insulating materials.

Laboratory experiments were conducted using models of medium-voltage capacitor banks assembled under controlled conditions. To record the process parameters, high-speed Tektronix MSO64 digital oscilloscopes (USA) with microsecond resolution were used, which ensured the registration of transient pulses and oscillations. During the tests, the switching conditions, capacitance parameters, load modes and connection schemes were changed, which made it possible to obtain a wide range of experimental data. The research was conducted at a temperature of 20±2°C and a relative humidity of 50-60%. For each mode, at least 30 repeated switching cycles were performed. ABB DS1 (Switzerland) synchronous switches were tested separately to compare their characteristics with traditional switching devices.

Partial discharge diagnostic methods were used to assess the condition of capacitor dielectric materials. Equipment was used to measure the threshold voltage levels of partial discharge occurrence, which identified initial defects and trends in the degradation of insulation systems. Partial discharges in polypropylene dielectrics were recorded using measuring devices capable of determining the amplitude, frequency and time duration of pulses. An Omicron MPD 600 device with a sensitivity range of 2-2000 pC was used for the measurements, which identified the initial stages of insulation degradation.

This assessed the impact of repeated switching on the development of microbreakdowns and local defects. Statistical analysis was used to quantitatively evaluate the obtained data. Methods of multifactorial comparison, correlation analysis, and approximation of dependencies were used, which was used to generalise a large number of experimental and model observations. Additionally, Miner's rule [16] was applied to determine the cumulative effect of transient processes, and methods for constructing inverse dependencies of durability on electric field strength were used to predict the service life of insulating materials.

The statistical significance was verified using Student's t-test, Mann-Whitney test, and Fisher's test, which ensured the correctness of the generalisations. The χ^2 test was also used to assess the conformity of experimental damage distributions with theoretical ones. Data processing was performed in IBM SPSS Statistics 26 (IBM Corporation, USA) and R 4.3.1 (R Foundation for Statistical Computing, Austria). The data obtained were interpreted by combining the results of modelling, laboratory tests and statistical analysis. A systematic approach was used to assess the relationships between switching conditions, equipment characteristics and the effectiveness of protective measures.

This approach ensured consistency between different data sources and provided a holistic view of the mechanisms of switching overvoltages and their impact on the reliability of electrical systems. Thus, the combination of numerical modelling, experimental measurements and statistical verification ensured that the results were representative and reproducible.

III. RESULTS

III.1 EMPIRICAL ANALYSIS OF THE SWITCHING PROCESS OF MEDIUM VOLTAGE CAPACITOR BANKS

Experimental studies of the switching processes of medium voltage capacitor banks have shown that the level of overvoltage and the duration of transients are directly dependent on the capacity of the installed equipment. The study determined that with the increase in the capacity of capacitor banks, the inertia of charging and discharging processes increases, resulting in the formation of longer oscillatory modes with increased amplitudes. This makes it difficult to control the switching conditions and puts an additional strain on the insulation of electrical system components. The accumulation of such processes during the operational period can lead to accelerated ageing of equipment, which emphasises the need for their systematic analysis.

To present the results obtained, a summary Table 1 was compiled, which demonstrates the ranges of overvoltage amplitudes and transient duration in different operating modes. It contains data for capacitor banks with capacities ranging from 150 to 300 kVAr, which traces the pattern of increasing amplitude and duration of oscillations with increasing capacity. This systematisation makes it possible to compare different classes of equipment and provides a quantitative basis for further modelling in software environments and predicting system behaviour under repeated switching conditions.

Table 1: Experimentally recorded ranges of overvoltage amplitudes and duration of transients in capacitor banks of different capacitance.

Bank capacity, kVAr	Amplitude of overvoltages, pu	Transition time, ms	Features of the observations
150	1.6-2.0	0.8-1.2	Short oscillation processes; rare cases of repeated breakdown
200	1.9-2.4	1.1-1.6	Increased peak values; increased likelihood of current recycling
250	2.2-2.7	1.5-2.1	Fixed repeated breakdowns; increased stress on insulation
300	2.5-3.0	2.0-2.8	Long-term oscillating modes; significant risk of damage at isolated neutral

Note: kVAr – reactive power in kilovolt-amperes; pu (per unit) – relative value normalised by the rated voltage determined by formula (1); ms – milliseconds.
Source: Authors, (2026).

With the increase of the capacitor bank capacity, the amplitude of overvoltages increases from the range of 1.6-2.0 pu to the level of 2.5-3.0 pu, which corresponds to an increase of approximately 50-70% compared to the initial values. At the same time, the duration of transient processes more than doubles from 0.8-1.2 ms to 2.0-2.8 ms, which indicates the formation of longer oscillatory modes. The obtained data confirm the direct dependence between the capacitor capacity and the energy stability of oscillations in the system, which directly affects the insulation load. With large capacitances, the probability of repeated breakdown and the occurrence of long-term oscillations that can lead to the degradation of dielectric materials and damage to equipment is significantly increased.

Thus, the results of the experiments highlight the need to incorporate the capacity of capacitor banks when selecting switchgear and applying surge suppression measures. To explain in detail the mechanisms of formation of these phenomena, the study uses simplified electrical models that can be used to reproduce typical switching conditions and trace the interaction of inductive and capacitive elements of the circuit. Figure 1 shows a basic circuit that serves as the basis for modelling transients and quantifying the voltage across system elements. Its use makes it possible to identify the key parameters that determine the amplitude of overvoltages, the duration of oscillatory processes and the overall stability of the power grid, which is critical for developing effective protection methods.

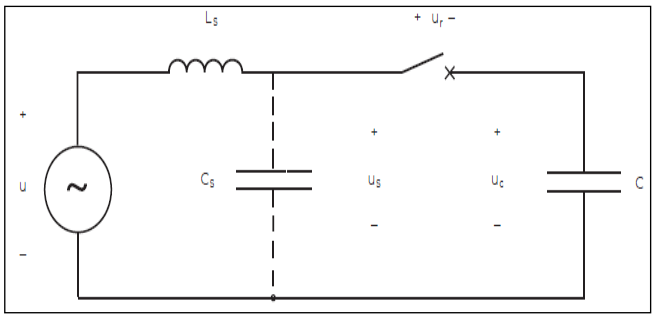


Figure 1: Simplified switching diagram of a medium voltage capacitor bank.
Source: Authors, (2026).

The main elements are an alternating voltage source U, a series inductor Ls, a capacitor Cs, and a switched capacitor C, which is connected by a switch. At the moment of switching, a voltage ur is generated, which is the result of the interaction of voltages us and uc applied to the respective capacitors.

The appearance of this voltage is accompanied by oscillatory processes, the value of which is determined by the parameters of inductance and capacitance, as well as the phase angle of the switching moment relative to the source. Under unfavourable conditions, a repeated breakdown in the circuit breaker and current recirculation can occur, which creates additional electrodynamic loads on the insulating and switching elements of the system. The diagram is the basis for further mathematical description, as it can be used to quantify the impact of circuit parameters on the amplitude of overvoltages, the duration of transients, and to determine the critical operating modes of capacitor plants.

For further analysis of these phenomena, it is necessary to graphically display time dependencies that can be used to trace the dynamics of changes in electrical quantities at the time of switching. Figure 2 shows time diagrams that demonstrate the characteristic oscillatory processes of voltage and current in a circuit with capacitor banks. They make it possible to trace the relationship between the instantaneous values of us, uc and current i, as well as to identify the conditions for the formation of peak overvoltages. Such graphical dependencies are a tool for qualitative assessment of the processes occurring in the first milliseconds after switching and can be used to determine their impact on the electrical strength of insulation and the durability of system elements.

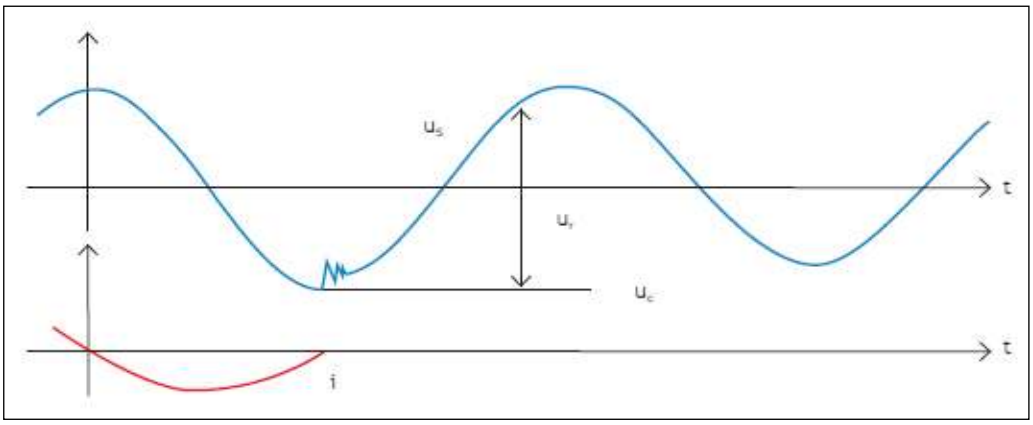


Figure 2: Time diagrams of voltage and current during capacitor bank switching.
Source: Authors, (2026).

At the moment of switching, an instantaneous voltage us is formed, which, together with the voltage uc across the capacitor, determines the resulting value ur. The recorded time diagrams indicate the oscillatory nature of the voltage, the peak values of which significantly exceed the amplitude of the sinusoidal voltage of the source. At the same time, the current i at the initial moment undergoes a sharp decline with the formation of a negative half-wave, after which it gradually stabilises at a new level. The observed oscillatory modes are accompanied by short-term high-frequency pulses, which can create a dangerous electrical load on the insulation of equipment and accelerate the process of its ageing.

The obtained results confirm that the moment of switching is a determining factor in the formation of overvoltage, and therefore requires consideration during the selection of protective devices and the establishment of optimal operating modes of capacitor banks. The phenomenon of arc re-arcing in the circuit breaker deserves special attention in the study, which is one of the most dangerous mechanisms of switching overvoltages. Figure 3 shows the time diagrams illustrating the change in voltage and current during the re-arcing after the circuit break. These processes are characteristic of traditional switchgear, where the moment of switching off is not synchronised with the phase of the source voltage. This creates conditions for the occurrence of repeated oscillatory processes and an increase in the load on the insulation systems, which directly affects the durability and operational reliability of the equipment.

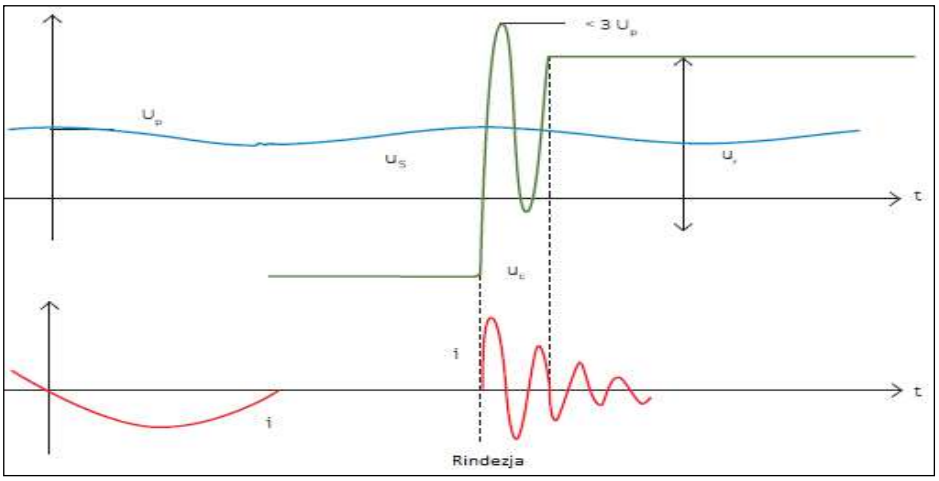


Figure 3: Time diagrams of overvoltage and current during repeated arc faults in a circuit breaker.
Note: “Rindezja” – “tension”.
Source: Authors, (2026).

After the circuit break, the voltage across the capacitor uc increases sharply and can exceed the initial value by almost three times (up to <3Up). Such a voltage jump is accompanied by the formation of high-frequency oscillations, which are manifested in the form of an oscillating current i after a repeated breakdown (rindezja). The results obtained indicate that these processes create significant electrodynamic and thermal loads on the circuit breaker contacts and insulating materials, reducing their durability. In addition, the oscillatory nature of the current can contribute to resonant interaction with other elements of the electrical network, which increases the risk of emergency modes.

The presented time dependencies confirm the critical influence of the moment of re-breakdown on the amplitude of overvoltages and prove the feasibility of using synchronous circuit breakers or specialised limiters to improve system reliability. Analysing transients in three-phase networks, it is necessary to address the connection options for capacitor banks, since it is the connection configuration that determines the nature of voltage distribution and the likelihood of dangerous overvoltages. Figure 4 shows typical schemes for connecting capacitor banks to the grid, which differ in the way they are connected and the organisation of grounding. Such structural models can be used to assess how different connection modes affect phase symmetry, stability of electrical processes and risks of equipment damage, which is key when making recommendations for optimal system configuration.

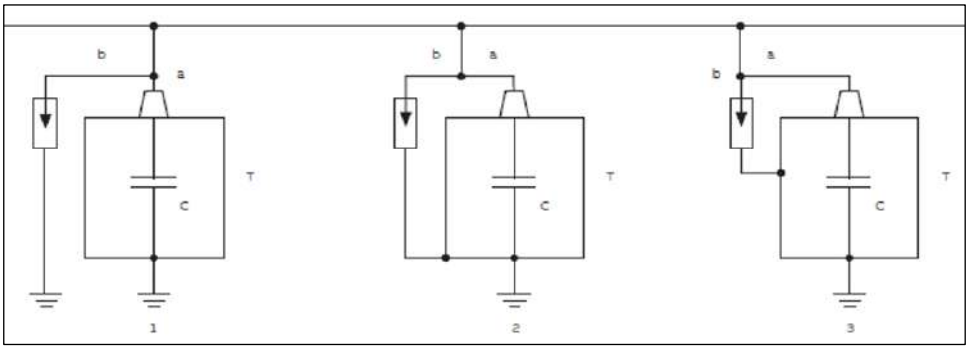


Figure 4: Options for connecting capacitor banks in a three-phase network.
Source: Authors, (2026).

The choice of the capacitor bank connection scheme directly affects both the distribution of potentials between the phases and the conditions for the occurrence of overvoltages in transient modes. Scheme 1 is characterised by a relatively symmetrical load distribution between the phases, but in the case of a mismatch in the switching moment, an increase in the voltage amplitude in the first phase is recorded compared to the others. Scheme 2 partially reduces the level of overvoltage due to the changed grounding mode, but at the same time creates increased current loads on the switchgear during switching. Scheme 3 demonstrates a mixed nature of the processes, in which the amplitude of overvoltages increases, but the duration of oscillations is shorter than in the previous cases.

Thus, the results confirm that the choice of the connection scheme is a determining factor in ensuring optimal operating conditions for capacitor plants and minimising the risk of equipment damage in medium voltage networks. In the course of the study of switching modes, the efficiency of traditional circuit breakers and synchronous devices, which are the most common in the practice of operating electrical networks, was also compared. Experimental results showed that the maximum values of peak overvoltages, the duration of oscillatory processes after switching, and the probability of repeated arc breakdown directly depend on the type of circuit breaker. The systematisation of these data made it possible to summarise the differences between different classes of switching devices and present them in Table 2, which provides a visual comparison of key parameters.

Table 2: Comparison of test results for conventional circuit breakers and synchronous devices.

Type of switching device	Level of peak overvoltages, pu	Oscillation duration, ms	Probability of repeated breakdown, %
Traditional switch	2.2-3.0	2.0-3.5	25-35
Synchronous switch	1.0-1.5	0.5-1.2	<5

Note: pu (per unit) – relative value, normalised by nominal voltage, determined by formula (1); ms – milliseconds.
Source: [13-15].

The use of traditional circuit breakers is accompanied by significantly higher levels of peak overvoltage, which can reach 3.0 pu, while for synchronous devices this figure does not exceed 1.5 pu. The duration of oscillation processes in traditional circuit breakers is, on average, three times longer, which creates an additional thermal and electrodynamic load on the insulating elements and reduces their durability. At the same time, the probability of a repeated breakdown in traditional devices reaches 35%, while in synchronous devices it is practically zero. The summarised data clearly demonstrate the advantages of using synchronous circuit breakers, which ensure reliable switching and contribute to the operational stability of medium-voltage power grids.The obtained results confirm that the nature of switching overvoltages is determined not only by the capacity of capacitor banks and circuit parameters, but also by the choice of the type of switching apparatus and the connection scheme.

The established dependencies demonstrate that even minor differences in switching modes can lead to significant fluctuations in the amplitude and duration of overvoltages, which in some cases exceed the permissible limits for isolation. This highlights the need for a comprehensive consideration of all design and operational factors when designing and upgrading systems with capacitor banks. Thus, the analysis has empirically proved that switching overvoltages are a determining factor in the reliability of medium voltage capacitor banks. The established regularities form the basis for further research aimed to assess their long-term impact on the capacitive elements of the system and determining the mechanisms of gradual ageing of dielectric materials. This provides a logical transition to the next subsection, which is devoted to an empirical analysis of the impact of overvoltages on the operation and durability of capacitors.

III.2 AN EMPIRICAL STUDY OF THE EFFECT OF OVERVOLTAGES ON THE OPERATION AND DURABILITY OF CAPACITORS

In the process of studying the durability and reliability of capacitor banks, it is of particular importance to consider their internal structure, since it is the design features that determine the ability of the equipment to withstand switching overvoltages and thermal overloads. Practical observations and operational statistics confirm that the most vulnerable components are insulating materials, fuses and discharge resistors, which are subject to repeated electrical and thermal effects. Such elements often initiate degradation processes, which eventually lead to a decrease in the electrical strength of the system. Accordingly, a detailed analysis of the structural characteristics of capacitor banks is used not only to identify the main damage mechanisms but also to develop practical recommendations for improving their reliability and extending their service life.

Figure 5 shows a schematic representation of the structure of a capacitor bank, which reflects the spatial arrangement of the main elements and their interaction as part of a single system. This model includes both external components that provide connection and insulation, and internal elements such as working sections, discharge resistors, fuses, and a metal shell. The use of this structural diagram makes it possible to visualise the key components of the equipment, trace their functional role and identify the parts most vulnerable to switching overvoltages and thermal loads. This creates the preconditions for a reasonable development of measures to improve the operational stability of capacitor banks in medium voltage networks.

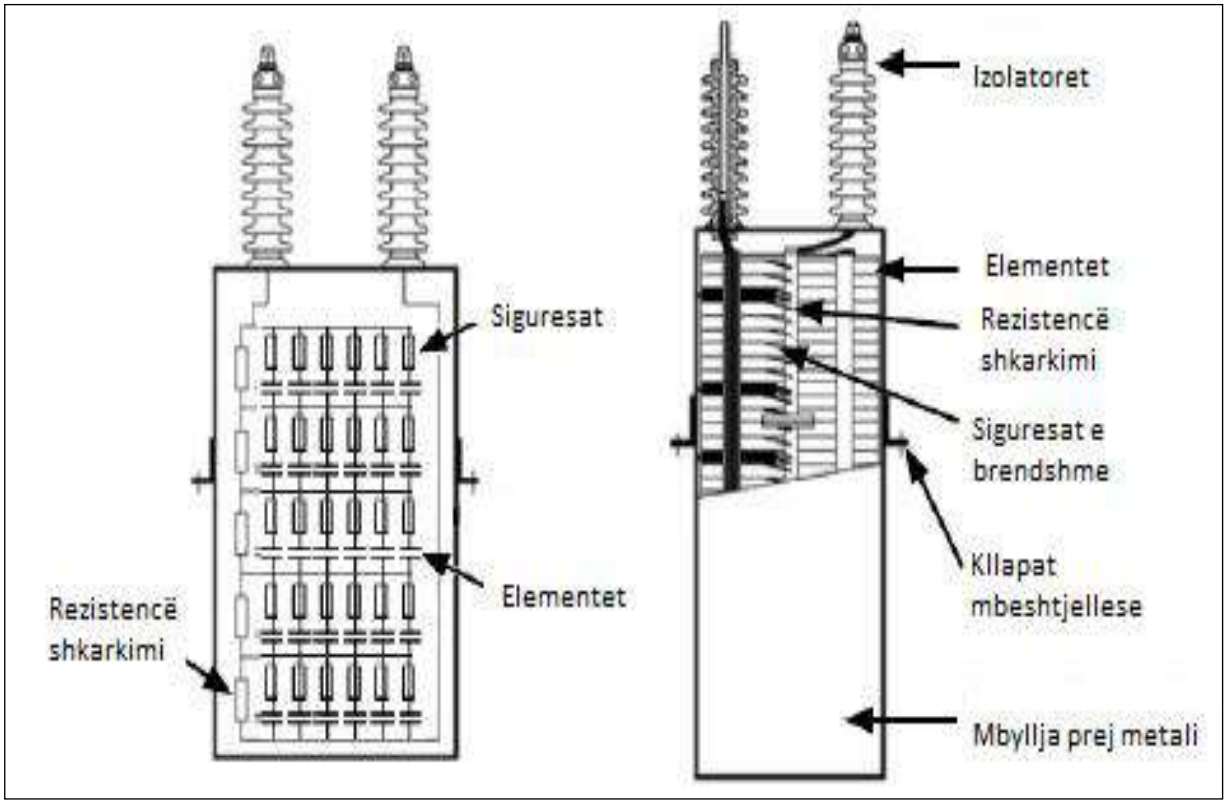


Figure 5: Structural design of the medium voltage capacitor bank.
Note: Elements – individual sections of capacitors that form the bank; Rezistencë shkarkimi – resistors designed to discharge capacitors after shutdown; siguresat – fuses that protect against internal damage; izolatorët – external insulation parts; mbyllja prej metali – metal shell of the case.
Source: Authors, (2026).

The design of the capacitor bank is a multi-level system in which each element performs a specific function to ensure stable and reliable operation of the equipment [17],[18]. The insulators form an electrical barrier and minimise the probability of breakdown between phases, which is critical to maintaining the integrity of the insulation system. The working elements of the bank are connected to discharge resistors that provide a rapid reduction in residual voltage after disconnection, which prevents unwanted charge build-up [19],[20]. The fuses are integrated both externally and internally, which can be used for localised damage and prevents it from spreading to other parts of the plant in the event of a breakdown. The metal shell serves as mechanical protection and electrical shielding, isolating the internal components from external influences [21].

Thus, the reliability of a capacitor bank is determined by a combination of design and protection solutions that must be addressed at the design, production, and operation stages. In the context of studying the impact of switching overvoltages on the durability of capacitor banks, a substantial task is to identify the characteristic damages that most often lead to equipment failures. The results of the statistical analysis of operational data showed that the vast majority of failures are caused by insulation defects, among which partial discharges and local breakdowns dominate. Other damages, such as degradation of impregnating fluids or mechanical defects, are less systematic but also affect the overall reliability of the system. To summarise the results, Table 3 shows the distribution of capacitor failures by the main types of insulation damage with the corresponding percentage.

Table 3: Distribution of capacitor failures by type of insulation damage.

Type of insulation damage	Failure rate, %
Partial discharges	48
Localised breakdowns	27
Degradation of impregnating fluids	15
Other defects (mechanical, structural)	10
Total	100

Note: “Partial discharges” denote localised microelectric discharges inside the dielectric; “local breakdowns” – insulation breakdowns in places of field concentration; “degradation of impregnating fluids” includes changes in their electrical and physicochemical properties under the influence of pulse loads. The impact of the identified damage mechanisms on the service life is further quantifiedusing formula (2).
Source: Authors, (2026).

The most common type of damage is partial discharge, which accounts for almost half of all recorded failures and is the main factor in the gradual ageing of dielectric materials. Localised breakdowns account for more than a quarter of the total number of failures and mostly occur in areas with uneven electric field distribution and concentrated stress [22]. Degradation of impregnating fluids is less common, but its impact on equipment durability is significant in the case of long-term operation, as it reduces the dielectric strength and thermal stability of the system. Other defects, such as mechanical damage or design flaws, are less systematic, but their share is significant and indicates the need to accommodate additional factors in the maintenance process [23].

Thus, the results confirm that the priority area of diagnostics should be the detection of early manifestations of partial discharges and local breakdowns as key predictors of capacitor system failures. For a comprehensive research of the nature of capacitor bank failures, it is necessary to break them down by manufacturer, as design features, material quality and manufacturing technology directly affect operational reliability. To this end, a comparative analysis of the frequency of damage to the main insulation, oil leakage and insulator defects in capacitor banks from different manufacturers was carried out. This approach makes it possible to identify the predominant failure mechanisms within each group of equipment and to determine the specific patterns inherent in the products of individual manufacturers. The results of this comparison are summarised in Table 4.

Table 4: Distribution of capacitor failures by types of damage and manufacturers.

Producer	N_0, unit	Basic insulation, units	Basic insulation, %	Oil leaks, units	Oil leakage, %	Insulator, unit	Insulator, %
A	325	306	94.15	10	3.08	9	2.77
B	150	137	91.33	11	7.33	2	1.34
C	38	36	94.74	1	2.63	1	2.63
D	23	17	73.91	5	21.74	1	4.35
Total	536	496	92.54	27	5.04	13	2.42

Note: N_0 – total number of capacitor elements examined; indicators are given separately for damage to the main insulation, oil leaks, and insulator defects in natural units and as a percentage of the total number; The expected reduction in service life for each manufacturer group was estimated using formula (2), accomodating the cumulation of damage according to Miner’s rule (3).
Source: Authors, (2026).

The main share of damage is caused by insulation defects, which account for more than 92% of all failures, regardless of the manufacturer. The most reliable in this category are capacitors from manufacturers A and C, where the share of insulation damage exceeds 94%, while the figure for manufacturer D is much lower (73.91%), indicating an increased vulnerability of the equipment. Oil leaks account for about 5% of failures on average, but for manufacturer D, this figure reaches 21.74%, indicating design or process defects. Insulator defects account for a small share of the total (2.42%), but their presence in all manufacturers indicates a systemic problem.

Thus, the results confirm that insulation damage remains the main problem, while oil leaks are also a significant reliability factor for some manufacturers. When assessing the durability of capacitor banks, it is necessary to address their operating conditions, as the frequency of switching has a significant impact on the level of damage. Operational statistics show that equipment subjected to daily switching on and off is subjected to a higher load than installations in constant operation. To quantitatively compare these dependencies, the study analysed the frequency of defects in capacitor banks under different operating conditions. The results are summarised in Table 5.

Table 5: Analysis of damage to capacitor banks depending on switching frequency.

Operating conditions	Switch on at least once a day	Always operational	Total
Total number of banks	2450	462	2912
Banks with defects	293	37	330
Share of damages, %	12	8	11.3

Note: “Defective banks” are defined as installations with recorded insulation damage, oil leaks or mechanical defects; “damage share” – percentage of defective banks to the total number within the respective group; the cumulative effect of daily switching on insulation degradation is determined by the Miner’s rule (3).
Source: Authors, (2026).

Capacitor banks that are subject to regular daily switching are the most vulnerable to damage. In this group, the share of defects is 12%, which is 50% higher than the share of equipment in constant operation (8%). Overall, 11.3% of the banks in the sample had damage, which is significant for equipment with a long service life. The results show that the frequency of switching is one of the key factors in the degradation of insulating materials and the reduction of capacitor life. This emphasises the need to limit the number of switching operations in practical operation or to apply additional protection measures that can reduce the impact of switching overvoltages.

Studies of the durability of capacitor banks have confirmed that both the amplitude of switching overvoltages and the frequency of repeated switching have a significant impact on their service life. Elevated voltage values create conditions for accelerated dielectric ageing and increase the probability of local breakdowns, while regular switching increases the cumulative effect of damage [24]. To quantitatively summarise these patterns, a model has been developed that demonstrates the dependence of the average service life of capacitors on the amplitude of overvoltages (pu) and the number of switching operations per day. The results are summarised in Table 6.

Table 6: Dependence of the average service life of capacitors on the amplitude and frequency of switching overvoltages.

Amplitude of overvoltages, pu	1 switching event/day	5 switching events/day	10 switching events/day
1.5	~22 years	~18 years	~15 years
2.0	~17 years	~13 years	~10 years
2.5	~12 years	~8 years	~6 years

Note: pu (per unit) – relative voltage value normalised to the nominal value; the number of switching operations per day determines the average frequency of switching capacitor banks on and off in real operating conditions.
Source: Authors, (2026).

The service life of capacitors decreases both with the increase in the amplitude of switching overvoltages and with the increase in the switching frequency. At an amplitude of 1.5 pu, even with 10 daily switching operations, the average service life is about 15 years, while at an amplitude of 2.5 pu, this figure is reduced to 6 years. The most critical is the combination of high overvoltages and frequent switching, as it creates conditions for accelerated degradation of dielectric materials and significantly increases the risk of local breakdowns [25]. The results confirm the need to simultaneously control both the amplitude of overvoltage and the number of daily switching operations, as the balance of these parameters determines the durability of capacitor banks. Thus, limiting the level of overvoltage and reducing the frequency of switching should be considered as key measures in the strategy to improve the reliability and economic efficiency of equipment operation.

Studies of operational statistics have also shown that damage in capacitor banks is not always limited to single defects, but often occurs simultaneously in several elements of the same installation. This pattern indicates a systemic nature of failures, caused by both design features and technological factors inherent in the products of individual manufacturers. To quantify this phenomenon, the study analysed the distribution of failures, which determined the frequency of cases with two or three defects within one banking unit. The results are summarised in Table 7.

Table 7: Distribution of damage in capacitor banks by manufacturer and the number of defects in one bank.

Producer	Total number of banks with damage	Total number of damages	2 damages in one bank: banks	2 damages in one bank: units	3 damages in one bank: banks	3 damages in one bank: units
A	215	325	48	96	32	96
B	103	150	41	82	4	12
C	26	38	8	16	2	6
D	21	23	3	6	0	0
Other	2	5	0	0	0	0
Total	365	541	100	200	38	114

Note: “Banks” – number of installations with simultaneous damages; “units” – total number of damaged capacitor elements within these banks; the probability of simultaneous occurrence of two or more damages within one installation was estimated using a stochastic approach using the integral form (4).
Source: Authors, (2026).

The largest number of systemic failures occurred in vendor A, where 325 defects were recorded, many of which occurred simultaneously in several elements of the same banking system. In particular, 48 banks had two defects each, and another 32 had three at once, indicating a high probability of group failures. Vendor B is also characterised by a significant number of systemic defects, but their intensity is lower. Manufacturers C and D show lower absolute numbers, but the presence of repeated failures within the same plant confirms that the problem is typical for different manufacturers. In general, the data obtained indicate that failures in capacitor banks are systemic in nature and often involve several elements at the same time, which should be taken into account when predicting operational reliability and organising preventive maintenance.

To summarise the results of this section, it is possible to state that the durability and reliability of capacitor banks are determined by a combination of design features, manufacturing quality and operating conditions. Insulation defects have the greatest impact on the formation of damage, which is aggravated by switching overvoltages, high switching frequency and specific technological shortcomings of individual manufacturers. Regular statistical observations have confirmed that failures are often grouped and occur simultaneously in several elements of the same installation. The results obtained form the basis for further searching for effective protection methods that can minimise the negative impact of switching overvoltages and ensure increased operational stability of electrical systems.

III.3 THE IMPACT OF SWITCHING OVERVOLTAGES ON OTHER COMPONENTS OF THE ELECTRICAL SYSTEM: EMPIRICAL OBSERVATIONS

During the operation of asynchronous motors, one of the key factors that determines their reliability is the impact of switching overvoltages generated by the interaction with medium voltage capacitor banks. The configuration of the capacitor banks directly determines the level of residual voltage at the motor terminals and the duration of transient oscillations after the motor is switched off. These parameters are critical, as they determine the electrical and thermal loads on the winding insulation, affect the correct operation of relay protection and form the actual service life of electrical machines.

To quantify the impact of different connection modes, the overvoltage amplitude and duration of transients were measured under conditions most typical of industrial electrical installations. In particular, the modes of parallel operation of a motor with a capacitor bank, its long-term connection, and frequent switching scenarios were studied. The data obtained made it possible to trace the dynamics of changes in electrical parameters in each case and identify critical conditions that significantly affect the operational reliability of the equipment. The results of the experimental observations are summarised in Table 8.

Table 8: Results of overvoltage measurements at the terminals of induction motors with different capacitor connection configurations.

Capacitor bank connection configuration	Range of overvoltages, pu	Oscillation duration, ms	Observable effects
Parallel operations	1.6-1.8	1.2-1.6	Impulse overloads in windings
Long-term connection	1.8-2.2	1.8-2.4	Additional heating of the insulation reduces service life
Frequent switching	2.0-2.5	2.5-3.2	Premature tripping of the relay, risk of winding breakdown

Note: pu (per unit) – relative voltage value normalised to the nominal value; the duration of oscillations was determined by the voltage stabilisation time after the motor was switched off.
Source: Authors, (2026).

The lowest overvoltages are observed in the mode of parallel operation of the motor and the capacitor bank, where the values do not exceed 1.8 pu. However, even in this case, impulse overloads in the windings were recorded, which can accelerate the ageing of insulation. Under conditions of prolonged connection, the amplitude of overvoltages increased to 2.2 pu, and the duration of oscillations doubled compared to the previous mode, which caused additional heating of the windings and a decrease in their service life. The most dangerous conditions were those of frequent switching, when the overvoltage reached 2.5 pu and the oscillation duration exceeded 3 ms, which posed a threat to the windings' integrity and provoked premature tripping of the relay protection. Thus, the results obtained confirm the critical dependence of the level of overvoltage and motor reliability on the modes of capacitor connection, which should be addressed when operating and designing power supply systems.

A substantial condition for ensuring the reliability of electrical systems is to address the possibility of resonant interaction between capacitor installations of different voltage levels. A particular danger is posed when medium-voltage capacitors operate simultaneously with low-voltage capacitors, which creates the prerequisites for increasing the amplitude of overvoltages in the secondary circuits of transformers [26]. To illustrate these modes, a block diagram was built to show the characteristic connections between the system elements. Figure 6 shows a generalised diagram of the interaction of medium and low voltage capacitor banks, which can be used to trace the possibility of resonant amplification of oscillations in secondary circuits. It shows the connection of a medium voltage capacitor bank (C_4) and low voltage banks (C_2, C_3) through a transformer supplying an induction motor (M). This approach makes it possible to evaluate the nature of the influence of the connection configuration on the magnitude of overvoltages and the operation of secondary circuits.

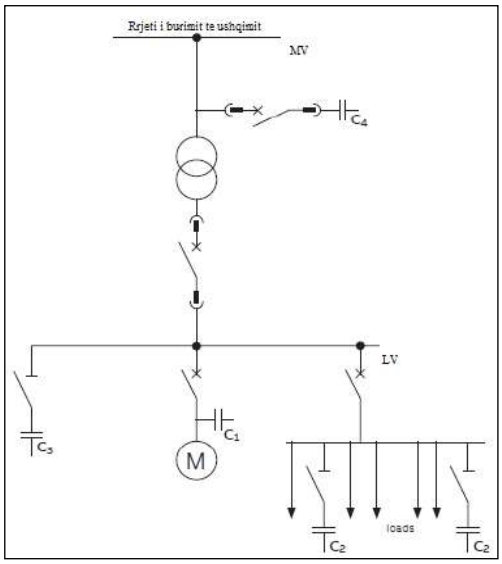


Figure 6: Block diagram of connecting a bank of medium voltage capacitors to the supply network, taking into account loads and an induction motor.
Note: "Rrjeti i burimit te ushqimit" – "power network".
Source: Authors, (2026).

The simultaneous use of capacitor installations of different voltage levels creates prerequisites for the emergence of resonant modes in the system. In such cases, the frequency of the switching oscillations in the medium voltage circuit may coincide with the natural resonant frequency of the low-voltage capacitors, which leads to a significant increase in the amplitude of overvoltages in the secondary windings of the transformer. This results in overloading of protective elements, premature tripping of fuses and relays, and in some cases, failure of sensitive electronic devices. The above diagram confirms that the interaction between capacitors of different voltage levels is one of the critical factors in the stability of the power grid and requires the use of special technical protection measures.

The results of field and experimental studies have shown that it is the resonant interaction between medium and low voltage capacitors that poses the greatest danger to transformer secondary circuits. Under such conditions, the amplitude of overvoltages significantly exceeds the permissible values, which is accompanied by a malfunction of protective devices and damage to electronic equipment. To systematise the results obtained, the measured parameters of overvoltages in relative units (pu), their duration and characteristic consequences for system elements were summarised. The summary data is shown in Table 9.

Table 9: Recorded values of the amplitude of overvoltages in the secondary circuits of transformers under conditions of resonant interaction of capacitors of different voltages and their consequences.

Mode of interaction of capacitors	Amplitude of overvoltages, pu	Oscillation duration, ms	Observable effects
Low level of resonant interaction	2.0-2.5	2.0-2.5	Short-term overloads, single fuse trips
Average level of resonant interaction	3.0-3.5	2.5-3.0	Massive tripping of relay protection, damage to fuses
High level of resonant interaction	4.0-5.0	3.0-4.0	Failure of electronic control devices, disruption of secondary circuits

Note: pu (per unit) – relative voltage value normalised by the nominal value; the duration of oscillations was determined by the stabilisation time after an overvoltage pulse; relay protection – set of devices for automatic shutdown in emergency conditions; the probability of reaching the levels of 3.0-5.0 pu under input parameter fluctuations was estimated using the integral form (4).
Source: Authors, (2026).

Even at low levels of resonant interaction, the amplitude of overvoltages reaches 2.5 pu, which poses a significant danger to the insulation and serviceability of fuses. At an average level of interaction, the amplitude increases to 3.5 pu, which is accompanied by massive failures of protective devices and frequent damage to fuses in secondary circuits. In the case of a high resonance level, the amplitude exceeds 4.0 pu, which leads to the failure of electronic controls and disruption of the stability of secondary systems. The obtained results demonstrate the critical dependence of the reliability of the electrical system on the presence of resonance phenomena, which confirms the need to introduce damping devices and optimise the connection schemes of capacitor plants. Industrial power grids are increasingly using induction motors that are powered by converter devices, including a converter, a DC link and an inverter [27].

This configuration provides speed control and increases energy efficiency, but at the same time makes the system more sensitive to switching overvoltages. The DC link, which accumulates energy, creating conditions for the formation of dangerous voltage pulses, is notable. In these modes, the analysis of the distribution of electrical loads between the components of the converter complex and the identification of the most vulnerable elements are of key importance. Figure 7 shows a block diagram of an induction motor power supply through a converter and an inverter, which is used to study the peculiarities of the impact of switching overvoltages on power electronics.

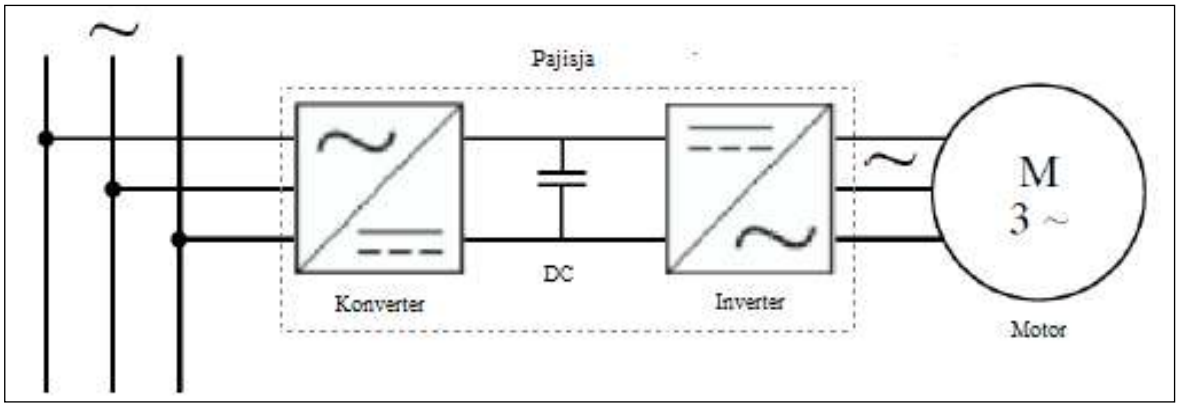


Figure 7: Scheme for powering an induction motor via a converter device (converter-inverter with DC link).
Note: “Pajisja” – “device”.
Source: Authors, (2026).

An induction motor power system consists of a three-phase source, a converter, a direct current link (DC link), an inverter, and an electrical machine. The converter performs the function of rectifying the AC voltage, while the DC link provides energy storage and stability for the inverter. However, it is this element that has proven to be the most sensitive to switching overvoltages, as even short-term fluctuations can lead to an excess of the nominal level by 10-20%. As a result, additional electrical load is placed on the inverter’s power switches, which increases the probability of damage and reduces the service life of electronic components.

Thus, the above diagram confirms the feasibility of using surge arresters and integrated active protection systems that ensure reliable operation of induction motors as part of industrial electric drives. A generalisation of the results obtained shows that switching overvoltages have a complex effect on key components of electrical systems, from the insulation of induction motor windings to the secondary windings of transformers and power electronics. Experimental and field data have confirmed that their effect is manifested both in the form of accelerated ageing of insulating materials and in the form of emergency failures associated with resonant modes and exceeding critical voltage levels. The established patterns emphasise the need for an integrated approach that includes optimisation of connection schemes, the correct choice of protective devices and determination of permissible operating modes of equipment. Thus, this analysis forms the scientific basis for further development and implementation of effective methods to reduce switching overvoltages, which is a prerequisite for improving the reliability and safety of electric power systems.

III.4 EMPIRICAL EVALUATION OF METHODS FOR REDUCING SWITCHING OVERVOLTAGES

In the course of studying methods for reducing switching overvoltages, circuit solutions involving the introduction of inductive chokes and additional elements into the switching circuit were addressed. The use of such approaches makes it possible to partially compensate for the energy of transients by reducing the pulse amplitude and shortening the duration of oscillatory modes. This has a direct impact on the stability of equipment operation and increases the durability of power grids, where regular overvoltage is one of the determining factors of reliability. Figure 8 shows variants of electrical schemes used to limit switching overvoltages in circuits with capacitor banks. The presented structural models show different combinations of series and parallel elements that dissipate excess energy and reduce the likelihood of repeated breakdowns in the circuit breakers. The presented solutions are the basis for comparing the effectiveness of technical measures and determination of the optimal operating conditions of the equipment, taking into account the specifics of switching processes in medium voltage networks.

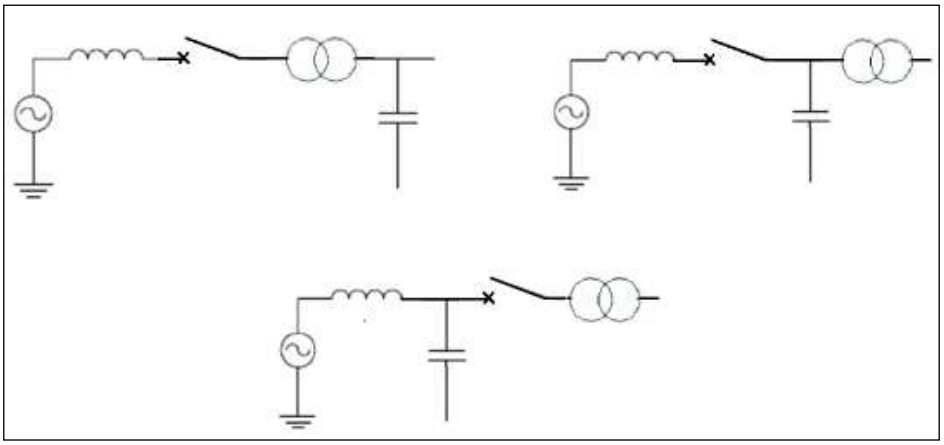


Figure 8: Schemes for reducing switching overvoltages using inductive and resistive elements.
Source: Authors, (2026).

The introduction of inductive elements into the circuit with capacitors provides a significant reduction in the rate of current rise and a decrease in peak voltage values at the moment of commutation. The use of chokes in series connection was found to be most effective for limiting current pulses, while circuits with parallel branches can be used high-frequency oscillations to be effectively damped. Such configurations not only increase the level of electrical insulation but also reduce the thermal load on the equipment, which directly affects its durability. The results obtained confirmed that the optimality of a particular circuit depends on the parameters of the network and the nature of the switching modes. Thus, the presented models can be used as a basis for forming practical recommendations for the implementation of protection against switching overvoltages in industrial electrical systems.

During the experimental tests, the effectiveness of various technical solutions aimed to reduce the level of switching overvoltages in medium-voltage networks was assessed. The comparison was made between the initial values of overvoltages occurring in the absence of protective measures and the residual levels recorded after the use of inductive chokes, pre-commutation resistors, overvoltage limiters and synchronous switches. The summarised results made it possible to assess the effectiveness of each method both in terms of reducing peak amplitudes and in terms of reducing the duration of oscillatory processes. The systematic data are shown in Table 10.

Table 10: Initial and residual values of overvoltages with different protection methods.

Method of protection	Initial overvoltage, pu	Residual overvoltage, pu
Without protection	3.0	3.0
Inductive choke	3.0	2.0
Pre-enabling resistor	3.0	1.7
Surge arrester	3.0	1.5
Synchronous switch	3.0	1.2

Note: pu (per unit) – relative units used for normalisation of electrical values; MOV (Metal Oxide Varistor) – surge arrester based on metal oxide varistors.
Source: Authors, (2026).

The absence of any protection means leads to the preservation of the maximum overvoltage amplitude at the level of 3.0 pu, which poses a danger to the insulation of equipment and increases the likelihood of emergency modes. The use of inductive chokes reduces the amplitude by about a third, but does not eliminate the risk of resonant oscillations. The pre-trigger resistors and surge arresters demonstrated significantly higher efficiency, reducing the amplitude to 1.7 and 1.5 pu, respectively. The best results were achieved by synchronous circuit breakers, which limited the overvoltage to 1.2 pu and actually reduced the risk of a second breakdown to a minimum level.

The generalised results confirm the prospects of introducing synchronous switching technologies in modern power grids as one of the most effective methods of improving their reliability.In the process of further evaluation of methods for reducing switching overvoltages, special attention was paid to pre-tapering schemes using resistive-inductive elements. Such solutions provide controlled capacitor charging, reduce the amplitude of impulse overvoltages, and significantly reduce the likelihood of repeated arc breakdown in the circuit breakers. Figure 9 shows a wiring diagram showing the operation of a switching device with a resistor and a choke in the circuit of one of the phases. This model is used to study the mechanisms of damping oscillatory processes and determine the optimal parameters of elements that ensure the reliability of electrical equipment under conditions of frequent switching.

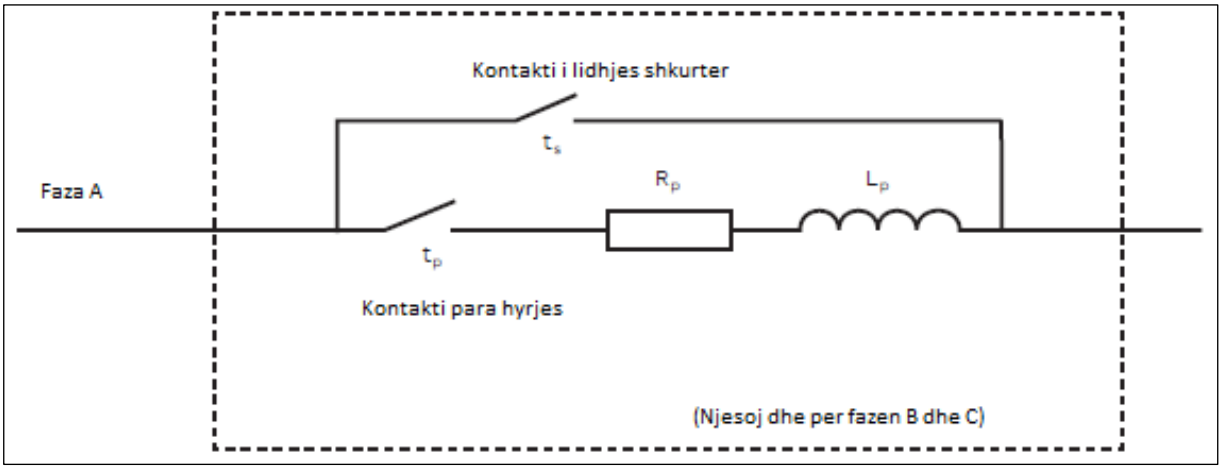


Figure 9: Pre-enabling circuit with a resistor (Rp) and an inductor (Lp) in the phase circuit of the capacitor bank.
Note: Rp – pre-commutation resistor that provides partial energy dissipation during switching; Lp – choke that limits the rate of current rise; tp – closing time of the preliminary contact; tc – closing time of the main contact; “Kontakti i lidhjes shkurtër” – “short-circuit contact”; “Kontakti para hyrjes” – “preliminary contact”; “Njesoj dhe per fazen B dhe C” – “same for phase B and C”.
Source: Authors, (2026).

The use of a preliminary contact with a resistive-inductive circuit can significantly reduce the level of overvoltage in the switching transients. At the initial stage of switching on, the resistor Rp dissipates part of the energy, reducing the peak voltage values, while the inductance Lp limits the rate of current growth. After the main contact closes, the system switches to nominal operation, which minimises shock loads on the circuit elements and ensures smoother switching. Such technical solutions reduced the probability of repeated breakdowns, increased the durability of capacitors and switchgear, and improved the overall stability of the electrical system. The use of resistive-inductive circuits can be considered one of the most promising ways to improve the operational reliability of industrial electrical installations.

In the practice of designing and operating electrical systems, the assessment of the technical effectiveness of switching overvoltage reduction methods should be combined with economic analysis. Initial implementation costs, regular maintenance costs, and the projected service life of the equipment determine the total life-cycle operating costs, which are a key criterion for engineering decision-making [28-30]. Comparison of different protection methods helps to establish an optimal balance between the level of technical reliability and economic feasibility, especially in conditions of limited resources and high requirements for the stability of power grids. Table 11 summarises the economic assessment of the main switching overvoltage protection equipment, which can be used for a comprehensive assessment of their feasibility in practical operation.

Table 11: Economic assessment of methods for reducing switching overvoltages.

Method of protection	Implementation cost (unit)	Maintenance costs (% of implementation/year)	Average service life (years)	Total life cycle operating costs (unit)
Without protection	0	0	-	High indirect losses (accidents, repairs)
Throttle	3000	5%	12	~4800
Pre-enabling resistor	1500	8%	8	~4000
MOV (surge arrester)	2000	10%	6	~5200
Synchronous switch	5000	3%	15	~6950

Note: MOV (Metal-Oxide Varistor) – nonlinear surge arrester; “unit” – conventional units used for cost comparisons; total operating costs are calculated as the product of the service life and maintenance costs, including initial investment.
Source: Authors, (2026).

The most cost-effective solution is the use of pre-commutation resistors, as they combine relatively low implementation costs with acceptable operating costs. Chokes provide lower costs in the long term due to their long service life, but their high initial cost limits their economic viability in large-scale applications. MOV surge arresters are characterised by moderate capital costs, but the need for frequent replacement significantly increases the total operating costs. Despite their higher initial cost, synchronous circuit breakers offer maximum technical efficiency and durability, which justifies investment in critical power supply facilities. Thus, the optimal solution depends on a combination of technical parameters, service life and long-term economic viability.

The study confirmed that switching overvoltages have a multilevel impact on the operation of electrical systems. The study determined that they accelerate the ageing of capacitor insulation, cause additional thermal and electrodynamic loads on the windings of induction motors, lead to resonance phenomena in the secondary circuits of transformers and adversely affect the operation of power electronics. The use of technical protection equipment has made it possible to significantly reduce the amplitudes of overvoltages and minimise the probability of damage, which confirms the feasibility of implementing combined measures to improve the operational stability of the systems [31].

The economic assessment proved that, despite the relatively high capital costs, synchronous switches and MOV limiters have lower total life-cycle costs due to reduced failures and extended system life. Traditional methods, such as chokes or resistors, have lower implementation costs but require significant maintenance and are less effective in preventing critical damage. Thus, the choice of the optimal protection should be based on a combination of technical efficiency and economic aspects, which is particularly relevant for industrial plants.

Summarising the results, it is possible to conclude that an integrated approach to the analysis of switching overvoltages, which combines experimental measurements, mathematical modelling and economic evaluation, provided a holistic view of their impact on the elements of the electrical system. The established patterns confirmed that effective overvoltage limitation is a key factor in improving the reliability, durability and economic efficiency of capacitor banks and related equipment. The results obtained form the scientific basis for further research aimed to optimise protection schemes, develop new technological solutions and improve energy security in medium-voltage power supply systems.

IV. DISCUSSION

The results of the study confirmed the close relationship between the switching modes of capacitor banks and the parameters of overvoltages in industrial electrical systems. It was found that in the absence of protection, the peak voltage values reached 3.0 pu, while the use of synchronous switches and MOV limiters reduced them to 1.2-1.5 pu, which significantly reduced the load on insulating materials. The detected effect of resonant amplification in the secondary circuits of transformers, which reached 4-5 pu, demonstrated the criticality of matching the parameters of capacitor banks of different voltage levels and the need to correct the frequency characteristics of the system.

The application of the inverse power model and Miner's rule [16] made it possible to quantify the effect of repeated pulses on the durability of insulating materials, which confirmed the expediency of limiting the number of switching operations in modes with increased pulses. These results formed the basis for optimising wiring diagrams and technical solutions aimed to improve the stability and reliability of electrical equipment.

The analysis of the data obtained was consistent with the findings by [32], proving the effectiveness of modern arresters in medium voltage systems. Similarly to the study, the authors noted that the combined use of protective devices reduced the risk of breakdowns and ensured insulation stability during short-term impulses. At the same time, modelling and test results confirmed the accelerated degradation of insulating materials at pulse amplitudes above 2.5 pu. This was consistent with the study by [33], demonstrating that increased voltage pulses in inverter modes caused local dielectric ageing and reduced the service life of insulation systems.

The dependence of the degradation of polypropylene dielectrics on the amplitude of switching overvoltages established in this study confirmed the general patterns identified by other authors. The study of the development of partial discharges showed that at an amplitude of more than 2.5 pu, the probability of local breakdowns increased exponentially, which indicated a limited life of insulating systems in high-frequency switching modes. Similar conclusions are presented in [34], noting that the rate of insulation degradation was influenced not only by the peak value of the pulse, but also by its duration.

This correlated with the results obtained in the study, which indicated the decisive role of the duration of the oscillatory process in the progression of partial discharges. Additionally, the study determined that the geometry and location of the insulating units directly affected the level of permissible overvoltages and the service life of the equipment. This conclusion was consistent with the study by [35], proving that optimisation of the insulating structure of medium-voltage transformers could reduce peak field strengths and increase equipment durability. In the present study, a similar effect was confirmed by the reduction of shock loads on insulating elements when using resistive-inductive circuits in switching circuits.

The results of the study showed that the durability of capacitor installations was determined not only by the properties of insulating materials, but also by the conditions of their operation, in particular, the frequency of switching processes. Similar conclusions were confirmed by [36] in an analysis of the prospects for the use of new dielectric materials in aviation electrical equipment. The authors proved that even advanced insulation systems underwent accelerated degradation under cyclic loads, which was consistent with the critical effect of repeated switching on polymeric dielectrics of capacitor banks identified in the study.

Further analysis showed that the use of synchronous circuit breakers in combination with surge arresters reduced the number of repeated breakdowns and increased equipment reliability. A similar approach to improving the resilience of medium voltage systems was reflected by. According to [37] in an analysis of the possibility of using deep learning algorithms for automated monitoring of switchgear. The study determined that the timely detection of abnormal modes made it possible to reduce the probability of failures, which was consistent with the emphasis on diagnostic control made in the study. The experimental data obtained confirmed that repeated voltage pulses with an amplitude of more than 2.5 pu led to accelerated dielectric ageing.

Similar patterns were described in the work of [38], demonstrating that even in low-voltage machines, cyclic loads caused the formation of partial discharges that limited the service life of the insulation. The results of the study confirmed these findings, demonstrating the crucial importance of pulse repeatability in predicting equipment life. The tests also showed that traditional protection schemes did not always provide sufficient efficiency in cases of high-frequency switching overvoltages, which necessitated the combined use of modern devices. This thesis correlated with the conclusions of analysis by [39] on the vulnerability of industrial power systems to various external and internal influences and emphasised the need for multi-level technical solutions. The study confirmed this position, showing the effectiveness of an integrated approach to limiting overvoltages.

The analysis of operational data showed that the effectiveness of protective devices largely depended on the regularity of maintenance. A similar conclusion was presented by [40], developing a system of technical support for surge protective devices. The study proved that timely preventive maintenance ensured the stability of protection parameters and extended the service life of the equipment. The study confirmed this relationship through the identified link between the frequency of failures and the quality of maintenance. Additionally, the study determined that the random nature of the distribution of switching pulse amplitudes significantly affected the forecasting of the service life of insulation systems, which required the use of probabilistic models.

A similar approach was traced in the study by [41], proposing a two-level system of protection against coordinated impacts in electric vehicle charging networks. The study emphasised that the effectiveness of protection was determined not only by the technical characteristics of the equipment, but also by its adaptability to stochastic processes. This was consistent with the study, which showed that adequate durability forecasting is possible only if the probabilistic nature of switching overvoltages is addressed. The results of the study showed that the stochastic nature of switching overvoltages significantly affected the prediction of equipment durability and required the use of intelligent analysis methods for the timely detection of deviations. A similar approach was presented by [42], proposing a hybrid deep learning model to separate physical disturbances from cyber threats in smart grids. The study proved that the combination of machine learning algorithms increased the accuracy of diagnostics under conditions of uncertainty, which was consistent with the conclusions about the need to address the probabilistic nature of overvoltage in diagnostic models.

The study determined that repeated overvoltage pulses formed a cumulative effect of insulation material degradation, which reduced the service life of the equipment. The results also confirmed that the development of partial discharges was closely related to the progressive ageing of insulating materials. Similar points were made by [43], which emphasised the need for comprehensive protection of infrastructure from stochastic disruptions that combined physical and information risks. This correlated with the study, which found that timely diagnosis of partial discharges is crucial for preventing unforeseen failures. The assessment of the degree of insulation degradation using partial discharges was a substantial part of the study, which correlated with the approach of [44], who described practical methods for measuring discharges in high-voltage equipment. The study proved that the determination of identification thresholds was crucial for predicting the service life of equipment, which was consistent with the results obtained in this study on the assessment of the performance characteristics of capacitor plants.

The problem of early detection of partial discharges was also reflected in the thesis of [45], which proposed a multisensor method for diagnosing medium voltage cable connections. The study proved that the integration of data from several sensor systems made it possible to identify even minimal defects that could eventually lead to critical damage. This conclusion was consistent with the results of previous work, which also emphasised the importance of identifying critical voltage levels to prevent the development of microbreakdowns. According to [46] systematised standards and methods for assessing the condition of switching devices, in particular considering partial discharges as one of the key diagnostic parameters. The study showed that taking into account failure statistics and diagnostic test results is crucial for effective maintenance planning and extending equipment service life. The results of the study were consistent with this approach, as combining statistical analysis data with test results improved objectivity of predictions of capacitor bank reliability.

The significance of the impact of repeated impulse loads on the reliability of power electronics was highlighted by 3[47] in an analysis of the failures of power converter modules. The authors found that cyclic overvoltages caused specific modes of degradation of semiconductor elements, which shortened their service life. Similar patterns were confirmed in the study, where repeated switching overvoltages determined the rate of ageing of insulating materials in capacitor installations. According to [48] summarised modern strategies for managing the assets of switchgear in power systems, including methods of condition monitoring, residual life assessment, and maintenance planning. The study proved that a comprehensive assessment of the technical condition of equipment increased the level of its reliability and ensured economic efficiency of operation.

This approach was consistent with the results of a study in which statistical analysis of the degradation of insulating materials was used to make reasonable predictions about the service life of condensing units. The development of methods for predicting the residual life of electronic components was presented by [49], where a combination of the fractional Weibull distribution and the Poisson random load model was used. The study demonstrated that this approach increased the accuracy of modelling degradation processes under stochastic influences. This was directly related to the study, which also incorporated the randomness of switching overvoltages to assess the durability of insulating materials. According to [50] developed multi-criteria methods for optimising the reliability of electrical machines, taking into account the thermal ageing of insulating materials.

It was found that the accuracy of predictions increased when temperature conditions were taken into account, which minimised the risk of premature failures. This correlated with the study, which also showed that repetitive impulse loads and overvoltages are the determining factors in the degradation of insulation systems. In [51] applied the physics of failure approach to predict the durability of power electronics at the PCB level. The study showed that the analysis of physical failure mechanisms provided more realistic estimates of the service life under multifactorial loads. This approach was consistent with the study conducted, where a combination of mathematical modelling, laboratory tests and statistical methods can be used to reproduce the complex impact of switching modes on equipment durability.

The generalisation of the results confirmed that the application of a multi-level approach combining mathematical modelling, experimental testing and statistical analysis made it possible to quantify the impact of switching overvoltages on the life of insulating materials and equipment reliability. The established regularities highlighted the importance of the choice of switching equipment and protection methods, and proved the critical role of repetitive impulse loads in the degradation of insulation systems.

V. CONCLUSIONS

The study revealed several key regularities that determine the impact of switching overvoltages on elements of medium-voltage power systems. For the first time, experimental data, mathematical modelling results and statistical analysis were comprehensively combined, which made it possible to quantify the effects of both short-term pulses and long-term degradation of insulating materials. It was found that more than 92% of failures in capacitor plants are related to insulation damage, while oil leaks and insulator defects account for only 5% and 2.4%, respectively.

The study noted that the frequency of daily switching increased the number of failures by 50% compared to equipment operating in a constant mode, and an increase in the amplitude of the overvoltage from 1.5 to 2.5 pu reduced the service life of capacitors from 15 to 6 years. The study showed that the failures were not isolated but systemic. In particular, at manufacturer A, more than 80 banks demonstrated group failures, with two or three defects occurring within the same installation. The resonant interaction of capacitors of different voltage levels posed an additional threat to the transformers' secondary circuits: at low resonance levels, overvoltages reached 2.5 pu, at an average of 3.5 pu, and at high resonance levels, they exceeded 4.0 pu, causing massive damage to fuses and failure of electronic control devices.

The analysis of the power electronics confirmed that the DC link was a particularly vulnerable element, where switching pulses caused a voltage surge of 10-20%, increasing the risk of damage to the inverter keys. The results confirmed the critical role of switching modes in the formation of emergency failures in all elements of the system. An assessment of the effectiveness of protection methods showed that the absence of measures led to maximum overvoltages of 3.0 pu. The use of chokes reduced the amplitude by about 30%, pre-tap resistors by up to 1.7 pu, and surge arresters by up to 1.5 pu. The highest efficiency was demonstrated by synchronous circuit breakers, which limited overvoltages to 1.2 pu, effectively minimising the risk of a second breakdown. An economic assessment showed that pre-commutation resistors were the most balanced solution in terms of cost-effectiveness, while synchronous circuit breakers had a higher initial cost but provided maximum durability and were appropriate for critical facilities.

Thus, the study formed the scientific basis for developing recommendations for choosing the optimal protection methods in industrial operations. The main limitations of the study were the use of mock-up laboratory installations that did not always accurately reproduce the conditions of industrial operation, as well as the dependence of the results obtained on the characteristics of specific equipment samples. Another limitation was the use of idealised models that simplified the reproduction of stochastic oscillatory processes in real power grids. Further research should be directed to the development of combined protection systems using MOV limiters and synchronous switches, improvement of damping methods based on adaptive control algorithms, as well as expansion of the experimental base with tests in industrial conditions to confirm the long-term effectiveness of the proposed solutions.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Aldi Mucka, Elio Voshtina and Denis Qirollari.
Methodology: Aldi Mucka and Elio Voshtina.
Investigation: Aldi Mucka and Elio Voshtina.
Discussion of results: Elio Voshtina, Denis Qirollari and Fatmir Brati
Writing – Original Draft: Denis Qirollari.
Writing – Review and Editing: Denis Qirollari and Fatmir Brati.
Resources: Aldi Mucka.
Supervision: Fatmir Brati.
Approval of the final text: Aldi Mucka, Elio Voshtina, Denis Qirollari and Fatmir Brati.

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RESEARCH ARTICLE OPEN ACCESS

A NOVEL AND ROBUST FRACTIONAL ORDER PROPORTIONAL INTEGRAL DERIVATIVE ACCELERATION CONTROLLER FOR ELECTRIC FURNACE TEMPERATURE REGULATION

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ABSTRACT

Electric furnaces are widely used in industrial thermal treatments because they combine high energy efficiency with precise temperature regulation. However, the nonlinear system dynamics, inherent time delays, and large thermal inertia often limit the achievable level of control performance in practice. A novel fractional-order Proportional–Integral–Derivative–Acceleration (PIαDA) controller is presented in this work, with its parameters tuned via a Modified Flower Pollination Algorithm (MFPA) to address the aforementioned limitations. The tuning procedure is formulated to explicitly improve transient response characteristics while enhancing robustness, thereby supporting reliable operation under varying operating conditions. Controller performance is assessed through comprehensive simulation studies that include reference tracking, step changes in the temperature setpoint, external disturbance rejection, and tracking under noisy reference signals. Compared with MFPA-tuned benchmark controllers (i.e., the MFPA-optimized PIDA and the conventional PID), the proposed MFPA-optimized $PI^{\alpha}DA$ controller achieves higher tracking accuracy, shorter rise and settling times, reduced overshoot, and improved robustness against disturbances and measurement noise. Overall, these findings indicate that combining fractional-order control structures with advanced metaheuristic optimization can substantially enhance temperature regulation performance in industrial electric furnace applications.

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I. INTRODUCTION

Maintaining stable temperature regulation in electric furnaces is critical to ensure energy efficiency, reliable operation, and consistent product quality [1]. However, nonlinear behavior, variations in thermal loading, and external disturbances often impair the effectiveness of traditional control approaches [2].

Although Proportional–Integral–Derivative (PID) controllers remain popular because they are simple to implement and generally robust, they frequently deliver unsatisfactory performance when the process becomes highly nonlinear or operating conditions change over time [3]. Therefore, more advanced control strategies are needed to achieve improved temperature regulation in electric furnace applications [4]. A range of enhanced control strategies is used to improve electric furnace temperature regulation, including cascaded Proportional–Integral–Derivative (PID) controllers to strengthen setpoint tracking [5] and Proportional–Integral (PI) / PID controllers obtained via system identification approaches [6]. Fractional-order Proportional–Integral–Derivative (FOPID) controllers tuned with metaheuristic optimizers—such as Harris Hawks Optimization (HHO) [7], and Artificial Rabbits Optimization (ARO) are also reported to improve dynamic performance [8].

In parallel, fuzzy PID controllers optimized with bio-inspired methods (e.g., dung beetle optimization) show improved disturbance rejection and robustness [9], while Proportional–Integral–Derivative–alpha (PID^{α}) and Proportional–Integral–Derivative–Double-Derivative ($PIDD^{2}$) structures are introduced to better address nonlinearities and enhance transient behavior [10],[11]. By adding an acceleration term, Proportional–Integral–Derivative–Acceleration (PIDA) controllers improve transient response, reduce overshoot, and enhance disturbance rejection in high-inertia, time-delay processes such as electric furnaces [12],[13]. More recently, a two-degree-of-freedom (2-DOF) PIDA design with parameter optimization based on the Greater Cane Rat Algorithm (GCRA) has been shown to outperform conventional PID and single-degree-of-freedom PIDA controllers in both setpoint tracking and robustness [13].

Realizing the full potential of advanced control schemes depends on precise controller parameter tuning, especially when the controller includes several adjustable gains and weighting factors. Conventional trial-and-error or manual tuning is time-consuming and often impractical for complex controller structures, so robust optimization is used as a core element of modern controller design. Accordingly, bio-inspired and metaheuristic methods—such as Particle Swarm Optimization (PSO) [14], Harris Hawks Optimization (HHO) [7],[10],[15], Quadratic Interpolation Optimization (QIO) [16], and the Flower Pollination Algorithm (FPA) [17], [18]—are widely applied to efficiently search for high-quality tuning solutions. These optimizers typically minimize time-domain performance measures such as the Integral of Time-weighted Absolute Error (ITAE), along with transient metrics (e.g., rise time) and actuation-related measures (e.g., control effort), to balance tracking quality and practical implementability.

Despite these improvements, integer-order PIDA controllers often lack the flexibility required for complex, time-varying thermal systems. To address these challenges, this paper proposes a novel Fractional-Order PIDA ($PI^{\alpha}DA$) controller. This architecture expands the control design's degrees of freedom by integrating non-integer order into the integral action. Such adaptability allows for superior management of the high inertia, time lags, and complex dynamics inherent in industrial heating furnaces. Compared to standard integer-order PID or PIDA schemes, our proposed $PI^{\alpha}DA$ significantly improves tracking accuracy and disturbance rejection without compromising robustness. The main contributions of this paper can be summarized as follows:

1. A new Fractional-Order PIDA ($P I^{\alpha} DA$) controller is proposed for electric furnace temperature regulation, extending the conventional PIDA framework by incorporating non-integer integral order to enhance control flexibility and dynamic performance.
2. The parameters of the proposed $PI^{\alpha}DA$ controller are optimally tuned using a Modified Flower Pollination Algorithm (MFPA), enabling efficient exploration–exploitation balance and improved convergence toward optimal control solutions.
3. A detailed comparative analysis is conducted between the proposed $PI^{\alpha}DA$ controller and conventional PID and PIDA controllers, demonstrating superior tracking accuracy, reduced overshoot, faster settling time, and minimal steady-state error.
4. The robustness of the proposed control scheme is thoroughly investigated under four realistic operating conditions, including reference tracking, step changes in target temperature, external disturbances, and noisy reference signals, confirming its effectiveness in handling uncertainties and disturbances typical of industrial electric furnaces.

The remainder of this paper is organized as follows: Section 2 details the implementation of the Modified Flower Pollination Algorithm (MFPA) used for controller optimization. Section 3 outlines the mathematical modeling of the temperature control system and describes the design of the proposed $PI^{\alpha}DA$ controller. Section 4 discusses extensive simulation results, including a comprehensive analysis of performance and robustness. Finally, Section 5 summarizes key insights and concludes the study.

II. MODIFIED FLOWER POLLINATION ALGORITHM (MFPA)

The Flower Pollination Algorithm (FPA), proposed by [19], is a metaheuristic inspired by the reproductive behaviors of flowering plants. Engineering esteems this method for its computational efficiency and reduced parameter needs compared to other optimization techniques. The algorithm emulates the interaction between flowers and pollinators, such as insects and birds, to traverse the search space. The FPA functions according to four guiding principles: biotic cross-pollination, abiotic self-pollination, floral constancy, and a switching probability that equilibrates local and global search efforts. Global pollination specifically enables long-distance transfers via Lévy flights, a mechanism essential for avoiding local optima and promoting diversity within the solution space. The global search method is mathematically expressed in Equation (1), as elaborated in [20]:

Global Pollination Step

$$x_i^{t+1} = x_i^t + L(x_i^t - g^*) \tag{1}$$

In this instance, x_i^t signifies the position of pollen i at iteration t, whereas g^* indicates the current global optimum identified within the population. The parameter L serves as the pollination strength, thereby influencing the step size via a Lévy flight distribution. This distribution is essential for facilitating the extensive leaps necessary for global search, as delineated by Equation (2):

Lévy-flight step size

$$L \approx \frac{\lambda\Gamma(\lambda)\sin\left(\frac{\pi\lambda}{2}\right)}{\pi}\frac{1}{s^{1+\lambda}}, (s \gg s_0 > 0) \quad (2)$$

Here, the symbol $\Gamma(\lambda)$ denotes the standard gamma function, while s represents the step size. Conversely, the algorithm shifts to the local pollination phase whenever a randomly generated value falls below the switching probability, p. This local search mechanism is defined by Equation (3):

Local pollination

$$x_i^{t+1} = x_i^t + \epsilon\left(x_j^t - x_k^t\right) \quad (3)$$

Where:

Uniform distribution

$$\epsilon(\rho) = \begin{cases} \frac{1}{b-a}, & a \le \rho \le b \\ 0, & \rho < a \text{ or } \rho > b \end{cases} \quad (4)$$

In this expression, x_j^t and x_k^t represent pollen collected from distinct flowers of the identical species. The parameter ϵ is drawn from a uniform distribution within [0,1], thereby effectively modeling a local random walk. This mechanism encapsulates the dynamics of localized fertilization and exploitation within the proximate search vicinity. The Modified Flower Pollination Algorithm (MFPA) signifies a substantial advancement of the conventional Flower Pollination Algorithm (FPA) framework. The fundamental innovation lies in using a stochastic switching probability to control transitions between local and global pollination stages. MFPA achieves higher convergence rates and more resilient global exploration by replacing the traditional fixed threshold with a dynamic stochastic parameter.

This method more accurately reflects the intrinsic randomness of biological pollination, therefore reducing premature convergence and aiding in the identification of the global optimum. The decision-making process is governed by a random variable rand distributed uniformly on [0,1]. Nevertheless, the proposed method deviates from the conventional FPA in terms of the specification of the switching threshold. In contrast to the original method, which often employs a fixed probability (e.g., $p = 0.2$), the proposed alternative incorporates a dynamic, randomized switching probability (p) selected from the range $[0, p_{max}]$. By establishing $p_{max} \le 0.5$, this alteration incorporates a stochastic element that more precisely reflects the variety evident in natural pollination activities.

In the canonical FPA paradigm, the shift between global and local pollination modes relies on the threshold condition $rand > p$, where $rand$ is a random number. The proposed Modified FPA (MFPA) alters this condition to $rand > randp$. Here, $rand$ and $randp$ are independent random variables drawn from uniform distributions over the intervals [0,1] and $[0, p_{max}]$, respectively. In this revised strategy, the global pollination phase commences if $rand > randp$; otherwise, the algorithm proceeds with the local pollination mode. This update significantly enhances stochastic flexibility in the search process while maintaining the foundational mathematical structure of the original algorithm as delineated in Equations (1)–(4).

III. PROPOSED PI$^{\alpha}$DA CONTROLLER BASED ON MFPA ALGORITHM

III.1 MODELING OF ELECTRIC FURNACE TEMPERATURE CONTROL SYSTEM

The architectural framework of the electric furnace (EF) temperature management system—comprising the furnace unit, controller, thermocouple feedback sensor, and heating element—is depicted in Figure 1 [4], [21]. In this configuration, the variables r, U, and y denote the reference input voltage, the controller output voltage, and the thermocouple feedback voltage, respectively, while R represents the heating element resistance.

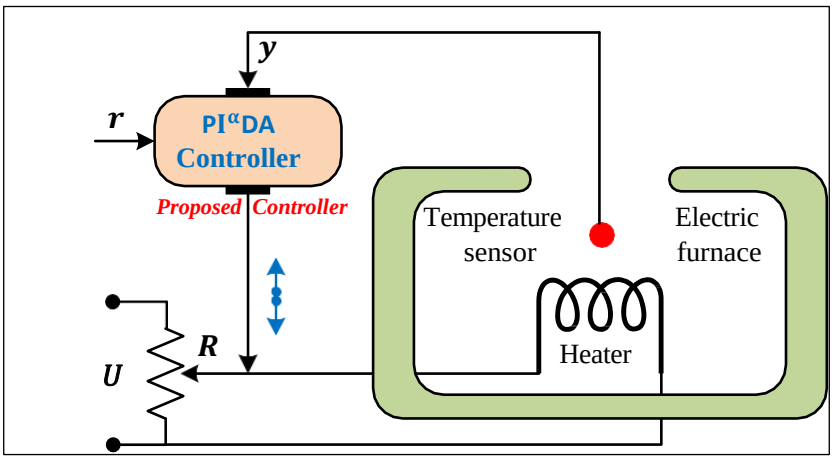


Figure 1: Schematic representation of the electric furnace.
Source: [4], [21].

Mathematically, the dynamic behavior of the EF temperature system is modeled by a second-order transfer function characterized by an inherent time delay, formulated as follows:

The general transfer function of the electric furnace

$$G_p(s) = \frac{b_0}{a_2 s^2 + a_1\, s + a_0}\; e^{-Ds} \tag{5}$$

To ensure validation and comparability with the established literature, this study adopts benchmark parameters: $a0$=0.2, $a1$=1.1, and $a2$=1, along with a transport delay of $D = 1.5$. These specific values are widely cited in the assessment of control strategies for electric furnace temperature management [22], [23]. Adhering to these standardized coefficients facilitates a rigorous performance comparison between the proposed controller and the existing state-of-the-art method

The transfer function of our electric furnace.

$$G_p(s) = \frac{0.15}{s^2 + 1.1\, s + 0.2}\; e^{-1.5s} \tag{6}$$

Equation (7) illustrates how the time delay is estimated using the first-order Padé approximation.

Padé First-Order Time Delay Approximation

$$e^{-1.5s} = \frac{1 - 0.75s}{1 + 0.75s} \tag{7}$$

The EF temperature system's transfer function will then be:

The approximated transfer function of our electric furnace

$$G_p(s) = \frac{-0.1125s + 0.15}{0.75s^3 + 1.825s^2 + 1.25s + 0.2} \tag{8}$$

III.2 PROPOSED PI$^{\alpha}$DA CONTROLLER

The proposed control approach is derived from the conventional Proportional–Integral–Derivative–Acceleration (PIDA) controller. In this study, a modified structure is introduced in which only the integral action is formulated with a fractional order, whereas the proportional, derivative, and acceleration actions remain of integer order. This modification yields a Modified Fractional-Order PIDA controller, denoted (PI$^{\alpha}$DA), that increases tuning flexibility by better capturing the memory characteristics commonly observed in thermal processes. Consequently, the (PI$^{\alpha}$DA) structure aims to improve temperature regulation performance in electric furnace systems affected by nonlinear dynamics and pronounced thermal inertia. The standard PIDA controller configuration is expressed as follows:

$$G_{PIDA}(s) = K_p\; + \frac{K_i}{s} + K_d s\; + K_a s^2 \tag{9}$$

The incorporation of fractional-order calculus into the control framework generalizes the classical $PIDA$ law. Specifically, it substitutes the standard integer-order integral operator $(1/s)$ with its fractional counterpart, $1/s^{\alpha}$ [24]. This modification permits the decomposition of the fundamental integral action as follows [25-29]:

Decomposition of the integrator into two fractional integrators

$$s^{-1} = s^{-\alpha} \cdot s^{-(1-\alpha)}, \quad 0 < \alpha\; < 0 \tag{10}$$

It is important to emphasize that the numerical and rational approximations of the fractional operators $s^{-\alpha}$ and $s^{-(1-\alpha)}$ are completely different from the approximation of the integer-order integral operator s^{-1}. The proposed PI$^{\alpha}$DA controller introduces an extra tuning parameter, α, via the fractional operator $1/s^{\alpha}$. This addition grants superior flexibility in shaping the system's low-frequency response. Such an expanded design space proves particularly effective in addressing the substantial thermal inertia and nonlinearities inherent to electric furnace operations.
Resulting,

$$PI^{\alpha}DA$$

Transfer function

$$G_{PI^{\alpha}{}_{DA}}(s) = \frac{K_a s^3 + K_d s^2 + K_p s + K_i}{s^{\alpha} s^{1-\alpha}} \quad (11)$$

Figure. 2 shows the block diagram of PI$^{\alpha}$DA controller.

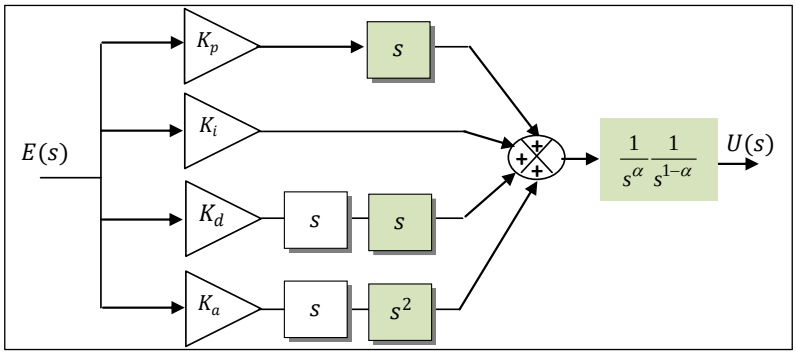


Figure 2: Shows the block diagram of PI$^{\alpha}$DA controller.
Source: Authors, (2026).

The suggested control methodology combines a fractional-order PI$^{\alpha}$DA controller with the Modified Flower Pollination Algorithm (MFPA) to enhance thermal management and transient response in electric furnace systems. This framework uses the MFPA for accurate, adaptable parameter optimization, thereby improving performance in the complex dynamics of industrial furnaces. Figure 3 presents the block diagram of the closed-loop temperature control system. In this arrangement, the proposed controller, referred to as $G_{\mathrm{PI}^{\alpha}\mathrm{DA}}(s)$ (s), processes the error signal $E(s)$ to produce an optimal control signal $U(s)$. This control action aims to guarantee that the system output $Y(s)$ precisely follows the reference input $R(s)$ while efficiently mitigating external disturbances $D(s)$.

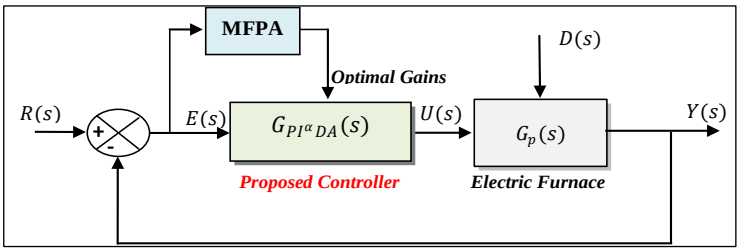


Figure 3: Proposed MFPA based PI$^{\alpha}$DA Controller.
Source: Authors, (2026).

This study employs the Integral Absolute Error (IAE) as the primary performance metric to guide the optimization. The tracking error $e(t)$ is defined as the instantaneous discrepancy between the reference signal and the measured output. Minimizing the IAE directs the adjustment of controller parameters to enhance tracking precision while maintaining stable closed-loop performance.

Objective function: Integral Absolute Error.

$$J = \int_0^{t_{sim}} |r(t) - y(t)| dt \quad (12)$$

The optimization challenge is formulated as minimizing the IAE to diminish the discrepancy between the reference input and the system output. This function (J) quantifies the cumulative absolute difference between the reference temperature and the actual temperature, as specified in Equation (12) within the system design context. The function J is subsequently submitted to the MFPA block for minimization to determine the ideal parameter vector $\{K_p, K_i, K_d, K_a, \alpha\}$ for the PI$^{\alpha}$DA controller.

The MFPA search parameters are set to $n = 40$ and $p_{max} = 0.5$ (50%). Furthermore, the controller gains are constrained within the following ranges: $0 \leq K_p \leq 5.00$, $0 \leq K_i \leq 1.00$, $0 \leq K_d \leq 10.00$, $0 \leq K_a \leq 10.00$ and $0.01 \leq \alpha \leq 0.5$. The termination criterion (TC) is set to $Max\ Gen = 500$ generations. Fifty test runs were conducted to determine the optimal PI$^{\alpha}$DA controller ($G_c(s)|_{\mathrm{PI}^{\alpha}\mathrm{DA}}$) for the electric furnace temperature control system. The MFPA technique was successfully used to make the controller for the system model $G_p(s)$, yielding the following optimized parameters: $K_p = 3.98$, $K_i = 0.66$, $K_d = 4.99$, $K_a = 0.99$, and $\alpha = 0{,}5$.

Optimal PI$^{\alpha}$DA Controller

$$G_c(s)|_{\mathrm{PI}^{\alpha}\mathrm{DA}} = \frac{0.99s^3 + 4.99s^2 + 3.98\,s + 0.66}{s^{0.5} s^{0.5}} \quad (13)$$

Optimal PID controller

$$G_c(s)|_{\text{PID}} = 3.55 + \frac{0.61}{s} + 3.85\,s \tag{14}$$

Optimal PIDA controller

$$G_c(s)|_{\text{PIDA}} = 3.98 + \frac{0.66}{s} + 4.99\,s + 0.99\,s^2 \tag{15}$$

III.3 FRACTIONAL CALCULUS

The PI$^{\alpha}$DA controller was created in MATLAB/Simulink based on the already implemented classic PIDA. Integro-derivatives were approximated initially using a recursive Oustaloup filter [30].

Oustaloup filter

$$G(s) = K \prod_{i=-N}^{N} \frac{s + \omega_i'}{s + \omega_i} \tag{16}$$

Zero Frequencies

$$\omega_i' = \left(\frac{\omega_h}{\omega_b}\right)^{\frac{i+N+\frac{1}{2}(1+q)}{2N+1}} \tag{17}$$

Pole Frequencies

$$\omega_i = \left(\frac{\omega_h}{\omega_b}\right)^{\frac{i+N+\frac{1}{2}(1-q)}{2N+1}} \tag{18}$$

Where :

- N- order of approximation,
- ω_h - higher bound of frequency fitness,
- ω_b - bottom bound of frequency fitness.

IV. RESULTS AND DISCUSSION

This section delineates the numerical simulation results of the suggested PI$^{\alpha}$DA controller, optimized by the MFPA, applied to the electric furnace control system. The analysis focuses on time-domain performance, specifically evaluating transient response and trajectory tracking to validate the controller's effectiveness. Furthermore, stability analysis and disturbance rejection tests are performed to validate the robustness of the suggested control technique.

IV.1 FIRST SCENARIO

The tracking capabilities of the proposed controller were evaluated by subjecting the system to a step change in the temperature setpoint. Figure 4 illustrates the comparative step responses of the PI$^{\alpha}$DA, PID, and PIDA control structures. This visualization effectively highlights the distinct differences in their ability to regulate system dynamics during the transient phase..The simulation results demonstrate that while the benchmark control systems are effective, the proposed MFPA-optimized PI$^{\alpha}$DA controller exhibits significantly superior dynamic characteristics. Table 1 details the quantitative transient response parameters for the evaluated controllers. Key metrics included are maximum overshoot, rise time, peak time, and settling time (calculated within a standard ±2% tolerance band).

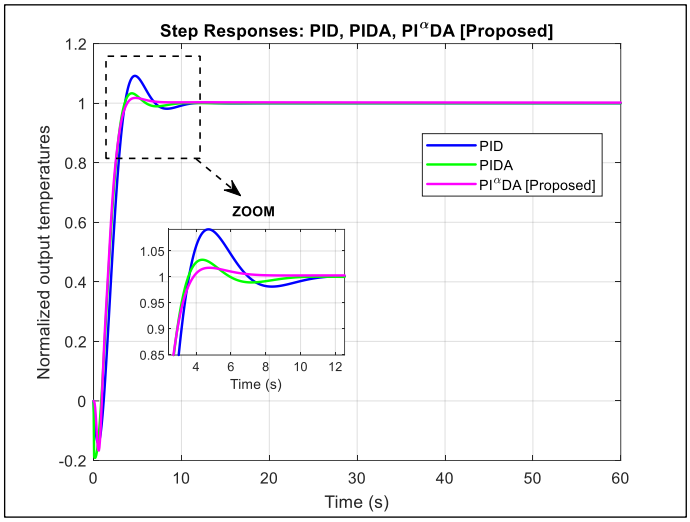


Figure 4: Input Tracking Performance Comparison.
Source: Authors, (2026).

As can be seen frome Table1, the proposed PIᵅDA controller exhibits a slightly longer rise time (1.8529 s), but this trade-off does not detract from its overall effectiveness. The design instead shows strong stability characteristics, with a very low overshoot (1.5600%) and the fastest settling time (3.5239 s), while completely eliminating steady-state error (0.000). These measures highlight the controller's accuracy, its ability to mitigate thermal variations, and its rapid attainment of equilibrium, thereby affirming its reliability in furnace temperature regulation.

Table 1: Performance comparison of transient responses $(\boldsymbol{\alpha = 0.5})$.

Control methods	$\boldsymbol{T_r}$ $[\boldsymbol{s}]$	$\boldsymbol{T_s}$ $[\boldsymbol{s}]$	$\boldsymbol{OS}$ [%]
PIᵅDA Controller	1.8628	3.5506	1.5600
PID Controller	1.7818	6.4827	9.1687
PIDA Controller	1.8368	5.1277	3.3096

Source: Authors, (2026).

IV.2 SECOND SCENARIO

To evaluate the system's response to a step change in the target temperature, a 0.5-unit perturbation is introduced at t = 30 s, as shown in Figure 5. This step variation physically signifies an abrupt alteration in the target operating temperature of the electric furnace, reflecting a shift between distinct process phases or production demands. This variation accurately represents actual industrial operating conditions, in which the furnace must swiftly adjust its thermal energy to attain the new temperature setpoint.

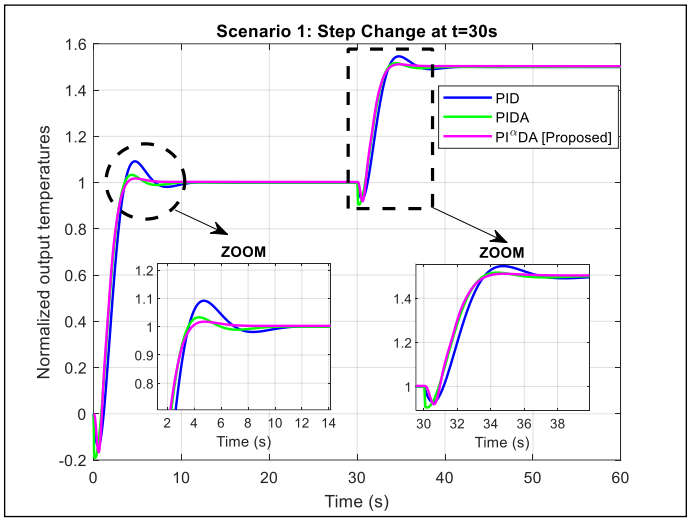


Figure 5: Dynamic Performance Analysis for Scenario 2.
Source: Authors, (2026).

Figure 5, shows that the proposed PIᵅDA controller achieves a faster response with reduced overshoot and shorter settling time during both the initial setpoint tracking and the step change at $t = 30\ s$, compared with the PID and PIDA controllers. The zoomed views further confirm its improved transient behavior and quicker convergence to the reference value.

IV.3 THIRD SCENARIO

To evaluate the robustness of the proposed control framework, Figure 6 illustrates the system's dynamic behavior under Scenario 2**.** In this scenario, after the initial setpoint tracking phase, a sudden change in the reference signal is applied at $t = 30s$, representing a perturbation in the operating conditions. Physically, this change reflects a realistic operating situation in an electric furnace, such as a modification in the desired temperature level due to process requirements, production phase transition, or changes in thermal demand.

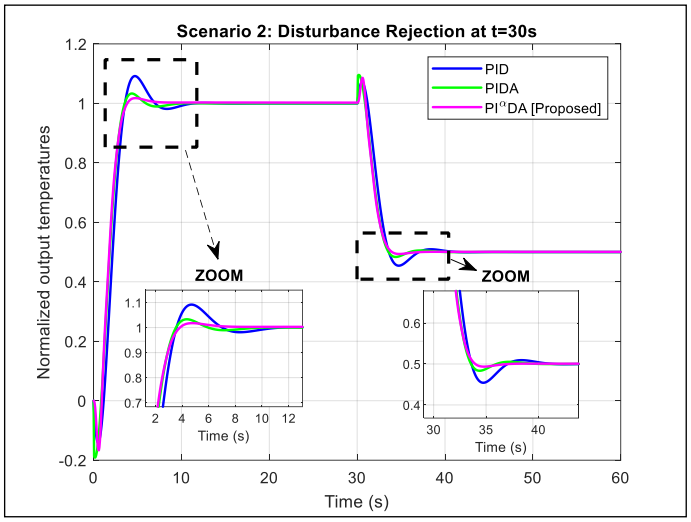


Figure 6: Dynamic Performance Analysis for Scenario 3.
Source: Authors, (2026).

Figure 6 illustrates the enhanced resilience and dynamic adaptability of the proposed PI$^{\alpha}$DA controller in response to abrupt changes in operating conditions, including unexpected fluctuations in the reference signal. The analysis emphasizes the controller's ability to swiftly adapt to the new reference value while reducing undershoot, oscillations, and settling time, thereby ensuring reliable, consistent performance in real industrial settings. Compared with traditional PID and PIDA controllers, the PI$^{\alpha}$DA exhibits smoother transient behavior, reduced oscillations, and faster stabilization after reference changes, highlighting its superior stability and robustness across diverse operating conditions.

IV.4 FOURTH SCENARIO

To appraise the system's proficiency in tracking a reference signal contaminated with noise, the results are shown in Figure 7.

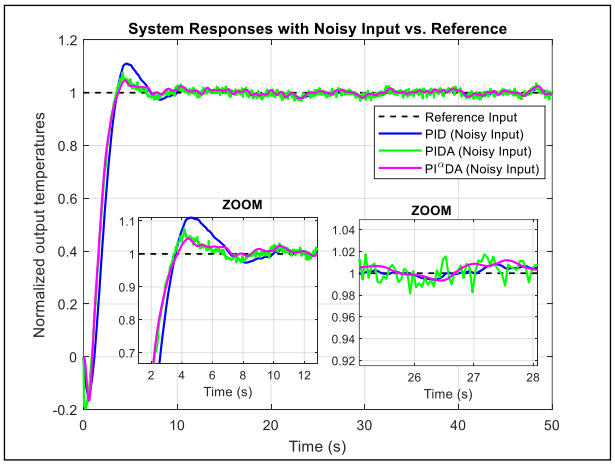


Figure 7: System Response to Noisy Reference Tracking.
Source: Authors, (2026).

As depicted in Figure 7, the comparative performance of the control strategies is evaluated regarding setpoint tracking under measurement noise. The suggested PI$^{\alpha}$DA controller clearly outperforms typical PID and PIDA controllers in reducing noise disturbances and precisely following the desired trajectory. The PI$^{\alpha}$DA output exhibits strong alignment with the variable reference signal, marked by reduced fluctuations and more fluid control action, thereby ensuring a more stable operational profile. The sensitivity analysis underscores the significant impact of the fractional-order parameter α on the dynamic performance of the proposed PI$^{\alpha}$DA controller. Fluctuations in α substantially influence critical performance metrics, such as rise time (($\boldsymbol{T_r}$), overshoot (OS), settling time ($\boldsymbol{T_s}$), and steady-state error (SSE), making this parameter vital for achieving an optimal balance between swift response and stability.

Table 2 presents a sensitivity study of the PI$^{\alpha}$DA controller with respect to the fractional-order parameter α, clearly demonstrating its influence on closed-loop dynamics and steady-state performance.

Table 2. Sensitivity Analysis of the PI$^{\alpha}$DA Controller with Respect to the Fractional Order $\boldsymbol{\alpha}$.

$[\alpha, 1-\alpha]$	T_r [s]	T_s [s]	OS [%]	SSE
[0.1, 0.9]	1.8712	5.7215	3.2277	0.00010244
[0.2, 0.8]	1.8455	5.8093	2.7582	0.00021855
[0.3, 0.7]	1.8039	5.4849	2.6613	0.00019844
[0.4, 0.6]	1.6739	8.5287	4.1366	0.00004858
[0.5, 0.5]	1.8628	3.5506	1.5600	0.00199900

Source: Authors, (2026).

As reported in Table 2**,** as α varies from low to moderate values, noticeable changes in the transient response are observed. Specifically, the interval $\alpha \in [0.4, 0.6]$ yields the minimum rise time (1.6739 s) and an extremely low steady-state error (4.858×10^{-5})**,** indicating a fast response with high accuracy. While the observed gain in response speed is noticeable, it is accompanied by a larger overshoot (4.1366%) and a longer settling time (8.5287 s), which points to reduced damping. When the fractional order α is set to 0.5, the closed-loop behavior becomes more even: the rise time remains moderate (1.8628 s), the settling time is the smallest (3.5506 s), and the overshoot reaches its minimum (1.56%) across the tested cases. The steady-state error increases slightly, yet it remains acceptable for most practical applications. These observations confirm that α is a key design lever in fractional-order control, influencing both transient and steady-state performance, and therefore requires careful tuning.

V. CONCLUSION

This paper proposed a novel fractional-order PIDA (PI$^{\alpha}$DA) controller for electric furnace temperature regulation, extending the classical PIDA structure by introducing a non-integer integral order to enhance control flexibility and dynamic behavior. The controller parameters were optimally tuned using a Modified Flower Pollination Algorithm (MFPA), which ensured an effective balance between exploration and exploitation and enabled fast, reliable convergence to optimal solutions. Comprehensive simulation results demonstrated that the proposed PI$^{\alpha}$DA controller significantly outperforms conventional PID and integer-order PIDA controllers in terms of tracking accuracy, overshoot reduction, settling time, and steady-state error minimization**.** Although a marginal increase in rise time was observed in certain scenarios, this trade-off did not adversely affect overall system stability or precision, which are critical requirements in thermal industrial processes.

Furthermore, the robustness of the proposed control scheme was rigorously validated under multiple realistic operating conditions, including reference tracking, step variations in temperature setpoints, external disturbances, and noisy reference signals. The results confirmed the controller's strong disturbance rejection capability and resilience to uncertainties commonly encountered in industrial electric furnaces. Overall, the findings highlight the effectiveness and practicality of combining fractional-order control with advanced metaheuristic optimization for high-performance thermal regulation. Future research will focus on experimental validation via Hardware-in-the-Loop (HIL) implementation and on investigating hybrid optimization strategies to further improve computational efficiency, robustness, and energy savings in real-time industrial applications.

VI. AUTHOR'S CONTRIBUTION

Methodology: K. Benaouicha, A. Idir.
Investigation: K. Benaouicha, A. Idir.
Discussion of results: K. Benaouicha, A. Idir, H. Akroum.
Writing – Original Draft: K. Benaouicha.
Writing – Review and Editing: K. Benaouicha, A. Idir.
Resources: A. Idir.
Supervision: A. Idir, H. Akroum, Nesri and S. Guedida.
Approval of the final text: K. Benaouicha, A. Idir, H. Akroum, M. Nesri and S. Guedida.

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RESEARCH ARTICLE OPEN ACCESS

INTELLIGENT TECHNIQUE FOR ELECTROMECHANICAL SYSTEM DATA BY USING MODEL OF NARX NEURAL NETWORK

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ABSTRACT

In this study, the electromechanical systems have been modeled using the neural network technique. One of the most important parts of engineering is system modeling, which is essential for both system analysis and control process implementation, especially when a sophisticated and accurate modeling approach like NARX neural networks is employed. In order to gather the vibration produced by the electromechanical system devices after a sinusoidal voltage between zero and forty volts was applied, a practical test was carried out in this study. One side of the actuator was fixed, while the other side was free. After double integration for the output signal, the displacement data was gathered using an accelerometer sensor. Following variable modification, the transfer function, which shows the system's dynamic behavior based on input and output data is produced. NARX neural network approach was utilized for modeling using the MATLAB application. The outcomes demonstrated how well the NARX neural network approach represented the system and produced an appropriate transfer function in the time and frequency domains. Prior to and throughout the modeling process, the system's behavior remained unchanged, and the minimal mean square error was 0.00001391.

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I. INTRODUCTION

The unique electromagnetic characteristics of piezoelectric materials allow them to transform electrical to kinetic energy and transform kinetic to electrical energy. Piezoelectric materials are usually used as sensors or actuators [1], [2]. Researchers are interested in this material for a variety of uses, such as bioengineering, robotics, and micro- and nano-instruments [3-5]. J.W.Curie discovered the piezoelectric impact in 1880 when he created an electric charge by applying mechanical stress [6]. One of the most challenging parts of modeling piezoelectric actuators is their physical properties, which are influenced by thermal and electrical elements, such as frequency and temperature [7], [8]. particularly those involving non-linear conduct and high-stress deformations that impact the electrical or mechanical response [9].

Finally, resonance, undesired vibrations, and hysteresis are ways in which actuators may respond to the electrical, mechanical, or electronic systems in their immediate surroundings [10]. Modeling may become more difficult due to the aforementioned circumstances, necessitating the development of an accurate model using innovative techniques to guarantee consistent and dependable performance [11]. Depending on their intended function, a number of researchers have employed piezoelectrics as sensors and actuators. "Piezoelectric effect" or the ability of some materials to generate an electric charge when subjected to mechanical stress, as seen in Figure 1. The "inverse effect" is the "piezoelectric effect" in reverse [12].

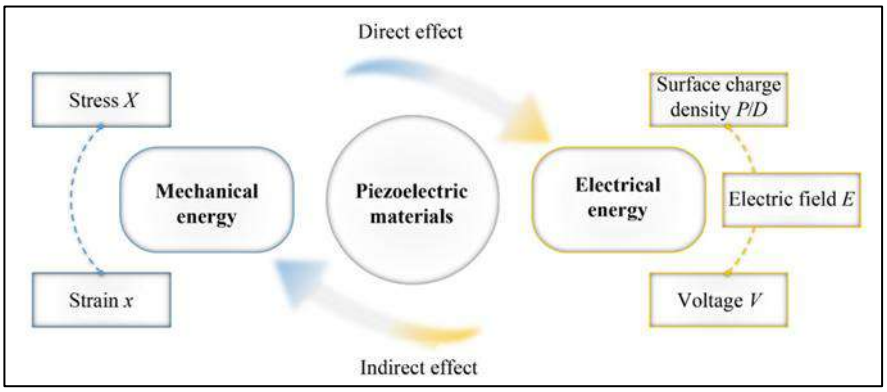


Figure 1: Piezoelectric effect energy conversion.
Source: Authors, (2026).

The piezoelectric effect is frequently caused by the electromechanical interaction between the characteristics of the elastic and the dielectric. While dielectric characteristics primarily relate to the interaction between electric field and electrical displacement, elastic characteristics are related to the link between stress and strain. Understanding both traits is essential to understanding a material's behavior [12-14]. The two main types of piezoelectric actuators (PZA) are direct and indirect actuators. Piezoelectric actuators that use the stretching action of the piezoelectric film in a straightforward manner without requiring a complex structural and primary design are known as direct piezoelectric actuators.

As a result, it combines attributes like high accuracy, simple design, and quick reaction [15], [16] and it is particularly useful for applications that call for rapid strokes and incredibly high precision. Unlike direct piezoelectric actuators, indirect piezoelectric actuators use complex structures to convert piezoelectric material deformation into indirect displacement. There is more to the link between material deformation and output displacement than just amplification. Stepping and repeating are two methods that indirect piezoelectric actuators can use to produce larger strokes and responses with more degrees of freedom (DOFs) [16-18]. However, the outcome might be more complexity and worse resolution.

This large class consists of two subgroups, one of which is stepping actuators [19]. Moreover, ultrasonic actuators [20], based on the operating concept. Piezoelectric modeling has received a lot of attention lately since it is essential for controlling systems as well as simulating systems, such as sensors or actuators. An imprecise modeling method will lead to unstable signals and inaccurate results [21-31], [8]. Li and associates used a backpropagation neural network and a genetic algorithm to simulate the linear piezoelectric actuator [21]. To model PZA, Shields and Konefat employed a finite element approach [22]. In a number of publications [23], Furthermore, PZA hysteresis is predicted based on various loads [24].

For example, models of composition could not reliably distinguish between the relative stability of inorganic materials [25]. Rather, They discovered that utilizing a CGCNN graph neural network, adding structure to the representation might result in non-incremental increases in stability forecasts, which is a strong argument for structural models. Although there are many ML models for various material properties, there is currently no study on ML prediction of piezoelectric coefficients in the literature. The aim of this work is to create a machine learning (ML) model that can accurately forecast piezoelectric modulus so that new, eco-friendly piezoelectric materials may be screened. A piezoelectric material's volume changes when an electric field or stress is applied to it.

This change is measured by the piezoelectric coefficient, also known as the piezoelectric modulus and often represented as d33 [8], [26-30]. The multi-layer feedforward neural network uses the nonlinear autoregression-moving average exogenous input technique to mimic the dynamics of piezoelectric actuators. The literature describes a neural network hysteresis model with an improved Preisach model to predict a piezoelectric actuator's output [27]. This work's primary contribution is to introduce a novel NARX neural network modeling approach for the PZA. In this study, PZA, the NARX neural network model (NARX NNET), and an experimental effort to gather input and output data using integrated measuring devices and sensors are introduced. The findings are then presented.

II. THEORETICAL REFERENCE

NARX Neural networks may be used in this study to accurately represent piezoelectric actuators in both the time and frequency domains. It identifies how to model piezoelectric actuators and utilize neural networks to achieve high accuracy, thus enabling their widespread application once the model is tested to verify its functionality with the required precision. The time and frequency domains are of particular interest to researchers studying the dynamic behavior of lag, creep, and vibration when data is used in systems such as nano-positioning platforms and atomic force microscopes.

Neural networks can be described as a training and learning modeling technique that relies on experimental procedures for data. Configuration equations are employed to establish the relationships between input and output. The concepts of magnetic lag and creep fall within the realm of nonlinear systems and are time-domains. They can be modeled using neural networks by simulating piezoelectric actuators under various input signal values. One phenomenon requiring study at constant voltage is creep, which exhibits a continuous and slow displacement. Neural networks can be employed by incorporating the time domain as an input feature.

Deviation and displacement correspond to time modeling, while frequency corresponds to vibration on one hand and dynamics on the other. Neural networks can be used to model the electro-efficient response of motor dynamics. Tests can be conducted by setting operating conditions that include the operating range of a frequency signal. Neural networks can be trained to achieve high-precision performance using a nonlinear hybrid prediction system that simulates the dynamics of a spring, block, or damper, according to the requirements of the model being trained.

Previous studies and literature have identified several types of neural networks, including feedforward neural networks (FNNs), multilayer neural networks (MLPs), long-term memory neural networks (LSTMs), recurrent neural networks (RNNs), vector primitive function neural networks (RBFNNs), and a deep neural network called DenseNet. These networks are characterized by high accuracy, adaptability to varying operating conditions, robustness, high performance, and rapid execution after training.

II.1 NARX NEURAL NETWORK MODEL

The NARX network is a recurrent dynamic network that has many network layers enclosed by feedback links. The linear ARX model, which is frequently utilized in time-series modeling, is the foundation of the NARX model [32]. a diagram illustrating the components of cells and layers of a NARX neural network model can be seen, as shown in the figure.

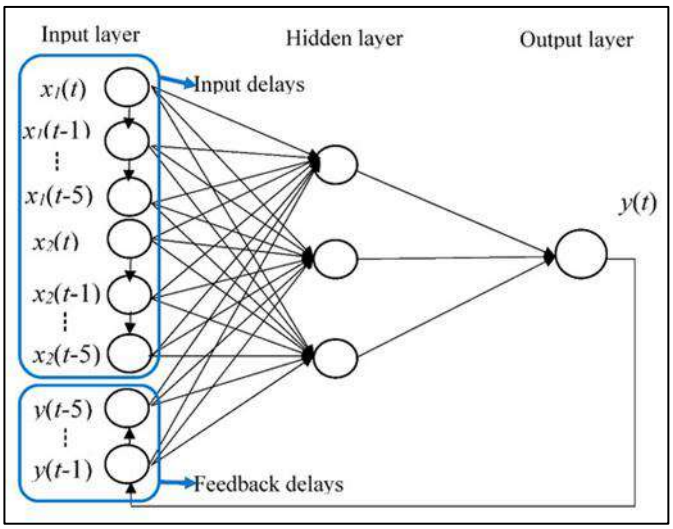


Figure 2: The NARX model's structure.
Source: [32].

The input, hidden, and output layers of the NARX model are made up of connected neurons (Figure1). The input layer, which is made up of the input parameters, permits the data to be received into the network. The data is then passed to the hidden layers for progressive processing, which results in the output layer. As part of the typical NARX design, the output is transmitted back to the feedforward neural network's input. Since runoff is closely correlated with net rainfall and discharge, The input parameters are evapotranspiration and precipitation. The NARX model's defining equation is as follows:

$$y(t) = f\,[y\,(t-1), y\,(t-2), \ldots . y\,(t-m), \mu\,(t-1), \mu\,(t-2), \ldots . \mu\,(t-n)] \quad (1)$$

The process of evapotranspiration E(t),E(t - 1),...E(t - 5), precipitation P(t),P(t - 1),...P(t - 5), and discharge Q(t - 1),Q(t - 2),...Q(t - 5) were chosen as input parameters following rigorous evaluation of the model input components and surface runoff routing time. The anticipated discharge Q(t) served as a representation of the output.. The NARX model chooses a sigmoidal activation function for the hidden layer, which helps speed up ANN training. The Arithmetical Mean Method was used to calculate the average value of input data over a catchment (Rakhecha and Singh, 2009) [33]. Trial and error methods were used to determine the number of concealed nodes. The empirical formula provided by [32]. was used to calculate the number of hidden neurons.

To improve the accuracy of the input to the feedforward network, series-parallel designs are developed for the output layer that use the actual output rather than feeding back the anticipated output. The algorithm of Levenberg-Marquardt, which blends the benefits of the gradient descent method with the Gauss-Newton algorithm, may be used to optimize the NARX model. The maximum number of epochs is set at 1000, and the error gradient and Levenberg-Marquardt correction variables are set at 10−7 and 10−10, respectively. The NARX procedure is terminated if one of the aforementioned criteria meets the objectives. Further information is available in [34]. The following formula is used to determine the output variable:

$$Y_I = f \sum_{K=1}^{N} x_k w_{k,i} + b_i \quad (2)$$

Y is the output variable in this case, N is the number of nodes in the preceding layer, w is the weight, b is the bias, and x is the hidden layer data. Three sections were created using the observation's precipitation, evapotranspiration, and discharge data: 62.5% of the 2922 time series were selected at random for training, 12.5% for verification, and 25% for testing. In other words, training samples from 2001 to 2005, validation samples from 2006, and test samples from 2007 to 2008. Considering how extreme values affect the training network and the faster convergence, Prior to trainingnormalized the input data to fall between 0 and 1, and following training, they were resized to their initial values. The network model's simulation results are significantly impacted by the NARX structure's main parameter.

Two input variables, one hidden layer, ten hidden neurons, five-day delays, and one output target were used in this study to determine the best architecture of the NARX model based on the previously examined and trained data. The mean square error is used to assess the NARX model's performance.

II.2 MODEL STRUCTURE

Voltage and frequency are the two inputs of the suggested NNET model for PEA's nonlinear behavior. One output is the displacement. In order to minimize the total of the mean squared error, we employed a multi-layer feed-forward backpropagation neural network with the Levenberg-Marquardt algorithm. The equation provides the Levenberg-Marquardt algorithm, which is based on the steepest descent and Newton algorithms. Ten fully linked hidden layers make up the NNET model. For both the ANN output layer and each input layer, the so-called logistic activation function was employed [35].

$$f(n) = \frac{1}{1 + exp^{-n}} \tag{3}$$

II.3 MODEL OF SYSTEM IDENTIFICATION

After combining and multiplying the inputs to a neuron by their individual weights, the first step in neural computing is to add a bias term. This procedure is known as the weighted sum or linear combination. Regularization parameters can be used to determine the optimal hyperplane, or activation function, in a quadratic programming issue. Many widely utilized and well-liked activation functions, such as "Tanh," "Sigmoid," "Softplus," "Swish," "Arctan," "ReLU" and "Mish" [28], [29], may be used because the desired solutions do not need to be regular. It is expressed mathematically as equations.

The linear kernel: $$K(x,y) = x \times y \tag{4}$$

The polynomial kernel: $$K(x,y) = [(x \times y) + 1]^d \tag{5}$$

The Sigmoid kernel: $$K(x,y) = tanh\,(\beta_0\, x\, y + \beta_1) \tag{6}$$

RBF kernel: $$K(x,y) = exp(-\gamma\,||x - y||)^2 \tag{7}$$

It will be possible to determine the parameters d, β_0, β_1, and γ experimentally.

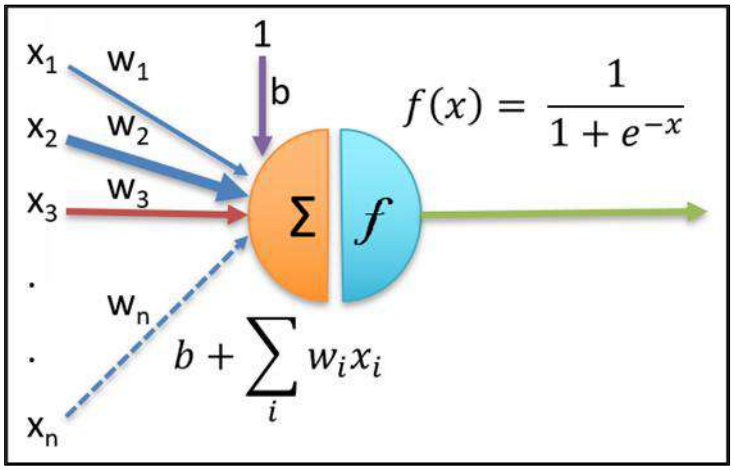


Figure 3: Display the neural network's mathematical architecture.
Source: Authors, (2026).

II.4 INTEGRATED GADGETS AND EXPERIMENTAL RIGS

The PZT system was developed to replicate the dynamic behavior system by collecting input and output data. PZT type QDA40-20-0.7, which had dimensions of 40 mm in length, 20 mm in breadth, and 0.7 mm in thickness, was the first of the system's five components. The boost DC-DC power converter module type XL 6009 boosted the voltage to 40 V. The second component was a plexiglass holder that held the PZT in place. Its dimensions were 150 mm for length, 100 mm for breadth, and 10 mm for thickness. As seen in Figures 2 and 3, the holder is made up of three layers. The first layer served as the foundation for the construction, while the other two layers were used for PZT fixation and were joined by four screws.

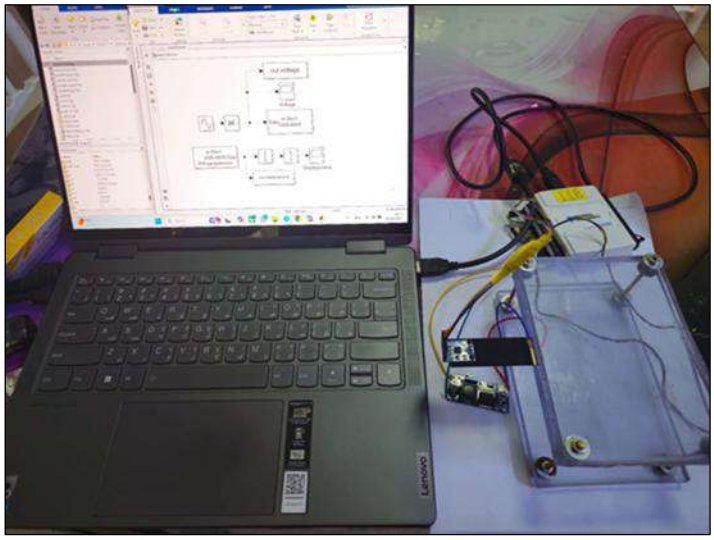


Figure 4: PZT test apparatus.
Source: Authors, (2026).

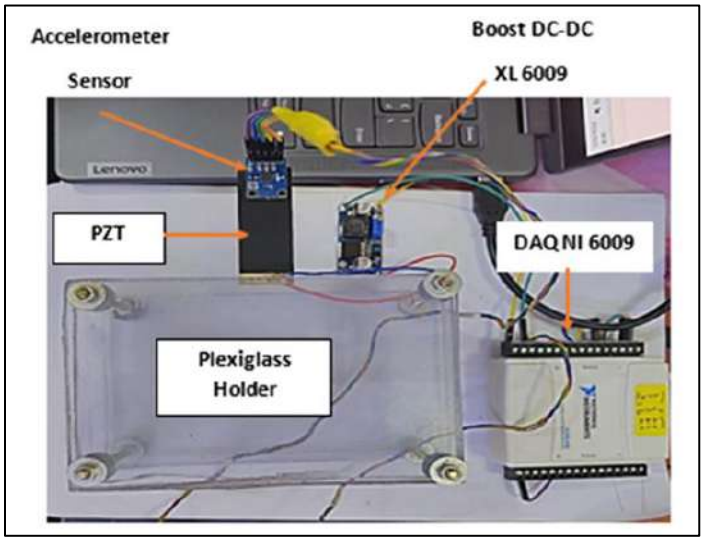


Figure 5: Components of the PZT System.
Source: Authors, (2026).

The third part was an NI USB-6009 USB data collection system (DAQ), which included four digital input ports, eight digital output ports, two analog output ports, and eight analog input ports. The ADXL335 accelerometer sensor, which gathers acceleration from PZT, was the fourth component. As seen in Figure 4, finally A computer running MATLAB 2024b was used as a component to send the signal to PZT, improve it, and collect displacements in real-time using an accelerometer.

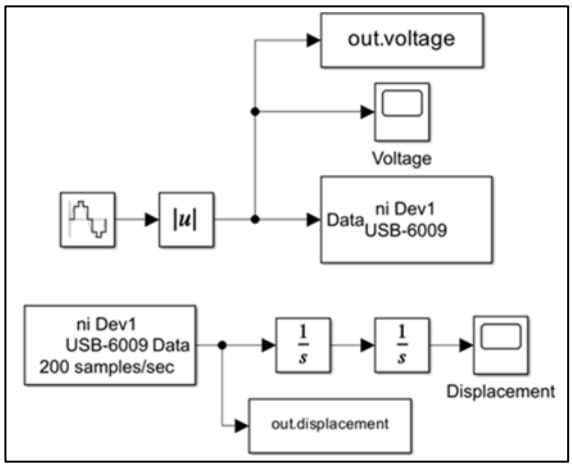


Figure 6: Real-Time System Simulink in MATLAB.
Source: Authors, (2026).

III. DISCUSSIONS OF RESULTS

This work used the NARX NNET model to represent the electromechanical PZT system by collecting input data as a voltage and output data as a displacement using double integration. The work is managed in real time using the MATALB application 2024b. As seen in Figures 7 and 8, 200 data points were gathered in seconds to 10 seconds for the output..

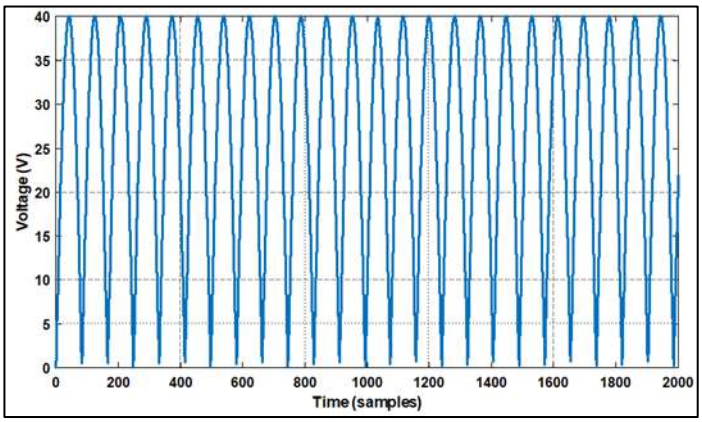


Figure 7: The voltage that PZT receives.
Source: Authors, (2026).

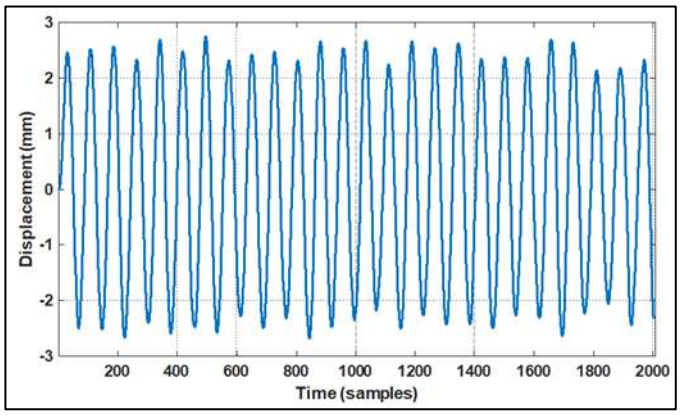


Figure 8. Data on displacement for PZT.
Source: Authors, (2026).

NARX NNET is used to model the PZT in order to determine the optimal solution and produce the final transfer function. Using a validation set of 25% and a testing set of 25%, 50% of the data was used for training. The findings displayed in Table 1 were then obtained by changing the number of hidden neurons (Nn) from 1 to 10 and setting the number of delays (Nd) to 2.

Table 1 : Nd was set to 2 by training and assessing the impacts of error.

Case 1					
Number of Hidden Neurons	**Number of Delay**	**Mean Square Error Training**	**Mean Square Error Valdation**	**Mean Square Error Testing**	**Mean Square Error**
1	2	$1.37577*10^{-5}$	$1.41543*10^{-5}$	$2.35120*10^{-5}$	$1.7615*10^{-5}$
2	2	$1.65984*10^{-5}$	$1.31694*10^{-5}$	$1.42830*10^{-5}$	$1.6439*10^{-5}$
3	2	$1.12691*10^{-5}$	$1.23777*10^{-5}$	$2.25385*10^{-5}$	$1.5351*10^{-5}$
4	2	$1.63333*10^{-5}$	$1.12396*10^{-5}$	$1.20918*10^{-5}$	$1.5624*10^{-5}$
5	2	$1.24028*10^{-5}$	$1.07687*10^{-5}$	$2.11209*10^{-5}$	$1.5854*10^{-5}$
6	2	$1.11409*10^{-5}$	$1.12074*10^{-5}$	$2.02379*10^{-5}$	$1.4756*10^{-5}$
7	2	$1.12874*10^{-5}$	$1.07001*10^{-5}$	$2.34641*10^{-5}$	$1.5688*10^{-5}$
8	2	$1.36204*10^{-5}$	$1.05382*10^{-5}$	$1.29142*10^{-5}$	$1.4295*10^{-5}$
9	2	$1.06392*10^{-5}$	$8.63022*10^{-6}$	$1.88759*10^{-5}$	$1.4375*10^{-5}$
10	2	$1.35594*10^{-5}$	$9.97823*10^{-6}$	$1.41160*10^{-5}$	$1.7139*10^{-5}$

Source: Authors, (2026).

Based on the data shown in Table 1, At Nn = 8 and Nd = 2, the mean square error (MSE) with the lowest value was found to be 0.000014295. As indicated in table 2, To find the lowest error rate for the behavior of the system, Nd was changed from 1 to 10 and Nn was kept at 8.

Table 2: Nn was set to 8 by training and assessing the impacts of error.

Case 2					
Number of Hidden Neurons	**Number of Delay**	**Mean Square Error Training**	**Mean Square Error Valdation**	**Mean Square Error Testing**	**Mean Square Error**
8	1	$1.95686*10^{-2}$	$2.12564*10^{-2}$	$1.93901*10^{-2}$	0.0199
8	2	$1.52031*10^{-5}$	$1.09815*10^{-5}$	$1.10995*10^{-5}$	$1.4563*10^{-5}$
8	3	$5.65258*10^{-6}$	$1.24688*10^{-5}$	$1.49241*10^{-5}$	$2.9307*10^{-4}$
8	4	$6.14545*10^{-6}$	$1.41665*10^{-5}$	$4.36092*10^{-6}$	$3.0608*10^{-4}$
8	5	$3.77136*10^{-6}$	$1.34972*10^{-5}$	$4.94665*10^{-6}$	$1.6749*10^{-5}$
8	6	$8.26632*10^{-6}$	$1.44869*10^{-5}$	$4.18769*10^{-6}$	$1.3910*10^{-5}$
8	7	$3.97473*10^{-7}$	$5.00190*10^{-7}$	$7.81449*10^{-5}$	$6.0951*10^{-5}$
8	8	$3.08907*10^{-7}$	$4.10183*10^{-7}$	$7.99605*10^{-5}$	$7.2211*10^{-5}$
8	9	$3.50602*10^{-6}$	$2.08055*10^{-5}$	$1.21688*10^{-5}$	$1.5616*10^{-5}$
8	10	$3.08372*10^{-6}$	$1.17104*10^{-5}$	$2.93209*10^{-6}$	$1.7256*10^{-5}$

Source: Authors, (2026).

According to Table 2, the system's smallest MSE is 0.0001391 at Nn 8 and Nd 6. As a result, the system's optimal block diagram, depicted in Figure 9, was found.

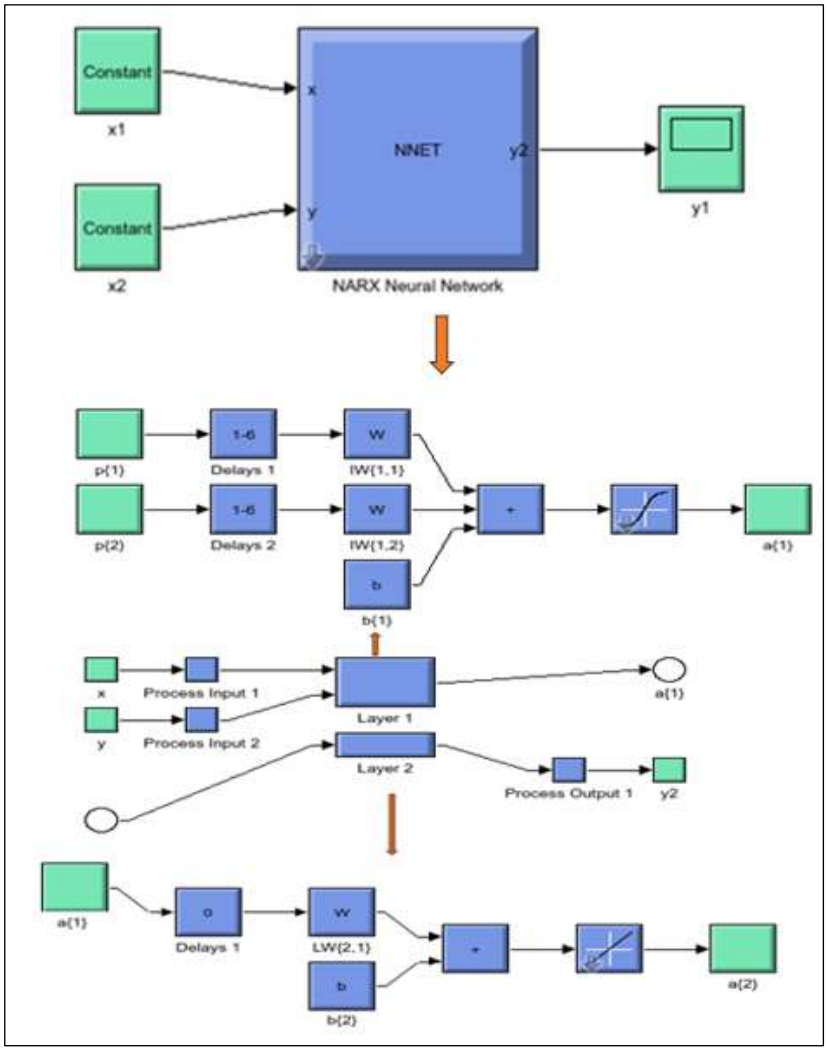


Figure 9: Block diagram for NARX NNET Simulink in MATLAB.
Source: Authors, (2026).

10001 data were utilized for training, and the remaining 1000 data were used to assess the performance of the prediction system. Every attempt was verified using the MSE approach to determine the optimal system performance and produce the final transfer function. Figure 11 displays the error between the real and projected data, whereas Figure 10 demonstrates that the NARX NNET approach was successful in forecasting the system behavior with the lowest MSE up to 0.0001391.

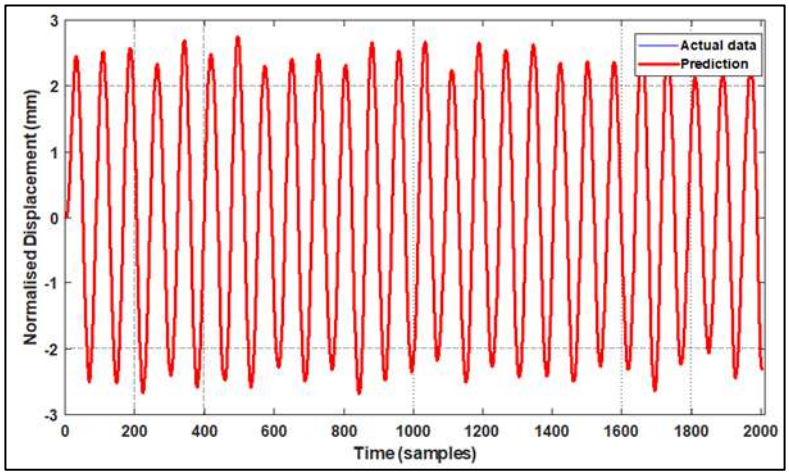


Figure 10: Normalized Displacement Data: Actual and Predicted.
Source: Authors, (2026).

The graph is an excellent representation of the performance of a predictive model comparing the actual and observed behavior of a dynamic system (standard displacement) over time. Both lines (blue and red) show consistent periodic oscillatory behavior across the entire time axis. The most striking observation is the near-perfect match between the actual data and the predictions.

The red line overlaps the blue line almost perfectly. The predictive model accurately captures the amplitude of the oscillations, which ranges from approximately -2.5 mm to +2.5 mm, and also tracks the frequency perfectly.

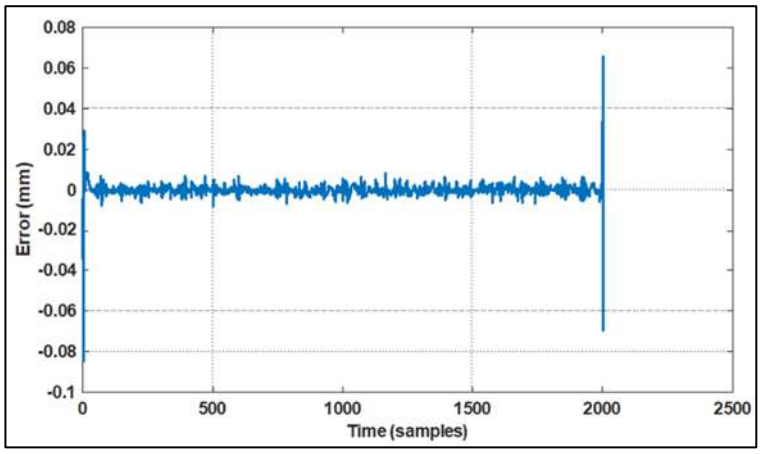


Figure 11: Actual and predicted output data error.
Source: Authors, (2026).

A control or measuring system (Figure 11) system's steady-state random error and abrupt disruption behavior over time are depicted in the diagram. The diagram shows that the system is sensitive to a huge, localized disruption that occurs at a particular moment in time, but it also shows that the system maintains a precise and regulated steady-state. To determine the underlying reason of this abrupt surge, it is necessary to comprehend the unique operating environment of the system.

Table 3: A comparison of the techniques employed in earlier investigations with MSE is presented.

REF	METHOD	MES
[36]	NARX neural networks	0.0858
[36]	LSTM neural networks	0.0279
[37]	Levenberg–Marquardt method (LMM-NNs)	6.7^{-6}
[37]	Bayesian Regularization method (BRM-NNs)	8.6^{-11}
[38]	OCNN-Hammerstein model	0.45^{-6}
[39]	K-NARXNN	0.0114
Proposed model	NARX NNET	0.0001391

Source: Authors, (2026).

IV. CONCLUSIONS

For the electromechanical system device, the potential of feedforward networks' multi-layered architecture—that is, NARX NNET backpropagation neural networks—was utilized to provide accurate, outstanding, and efficient results. We used Narx nnet in MATLAB to apply the suggested technique, and we were able to get the most accurate findings for a performance study utilizing regression and squared error analyses. The results showed that the Narx NNET technique achieved high modeling precision in both the frequency and time domains, with a low mean square error (MSE) of 0.0001391. The model's accuracy and stability were validated using the Narx NNET, and a correlation test showed that the measured output and the model output closely matched. These findings show how well the Narx NNET approach generates accurate dynamic system models, this makes it an effective tool for designing control systems and analyzing electromechanical system devices.

V. AUTHOR'S CONTRIBUTION

Conceptualization: Mohammed Al-Abbasi and Tamarah Kareem.
Methodology: Mohammed Al-Abbasi.
Investigation: Mohammed Al-Abbasi and Tamarah Kareem.
Discussion of results: Mohammed Al-Abbasi and Tamarah Kareem.
Writing – Original Draft: Mohammed Al-Abbasi.
Writing – Review and Editing: Mohammed Al-Abbasi.
Resources: Tamarah Kareem.
Supervision: Mohammed Al-Abbasi and Tamarah Kareem.
Approval of the final text: Mohammed Al-Abbasi.

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ISSUES AND PROSPECTS OF INTEGRATING RELATIONAL DATABASES WITH CLOUD TECHNOLOGIES

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ABSTRACT

The integration of relational databases into cloud computing environments is characterized by the rapid growth of data volumes, the need to ensure flexibility, scalability and high performance of information management systems. Given that cloud technologies allow organizations to quickly adapt infrastructure to changing loads, integrate transactional and analytical processes, increase the efficiency of business processes and minimize operating costs; integration of RDBMS with cloud services is becoming a key factor in ensuring sustainability, security and competitiveness of organizations. The purpose of this article is to systematically analyze the current challenges of integrating relational databases into cloud computing environments and to identify promising areas for their development, considering technological and organizational aspects. The study applies to a set of methods that provides a systematic and reasonable assessment of the integration of relational databases into cloud environments. The forecasting method was used to outline the market prospects and growth dynamics of corporate data in the cloud; methods of synthesis, systematization and generalization were used to classify architectural models, analyze technical, economic and security aspects and identify key development trends; and a comparative analysis of cases of leading cloud RDBMS providers allowed to assess the effectiveness of real implementation; which provides a holistic view of the problem and forms a methodological basis for a reasonable choice of integration models. According to the report, the amount of enterprise data being stored in the cloud is increasing in tandem with the steady growth of the global cloud computing market. This demonstrates the importance of cloud solutions for strategic planning and the speed at which businesses are digitizing. Cloud-native, hybrid, multi-cloud, and microservice models that offer cost-effectiveness, technical agility, and security are all options for relational database integration into the cloud. AI-driven management, serverless architectures, and containerization all boost productivity by enabling real-time data flow optimization. It is suggested that a successful integration approach for RDBs into the cloud can be established based on adaptability (flexibility), autonomy, and interoperability, ensuring strategic flexibility of organizations. Leveraging data fabric, data mesh, and autonomous AI-driven solutions, classic management logic is transformed from one of reactive administration to one of proactive load prediction. This multi-dimensional strategy drives digital transformation efficiency and forms the competitive capabilities of today's enterprises.

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I. INTRODUCTION

In the information-led and digitized world of the day, all kinds of organizations – commercial, public sector, and education providers – are faced with a burgeoning scale of data needing to be managed efficiently, effectively, and securely. The total size of global data storage is predicted to reach over 200 zettabytes by the end of 2025, according to Cybersecurity Ventures [1] – this includes data that is stored on private and public IT infrastructures, utility infrastructures, private and public cloud data centers, personal computing devices – personal computers (PCs), laptops, tablets, and smartphones – and Internet of Things (IoT) devices. This requires relational database management systems to be extended to work with cloud environments to enable elasticity, operational analytics, and business process continuity. Cloud offerings like DBaaS also empower businesses to save on operational expenses and boost efficiency without compromising on SLAs even as they bridge traditional transactional systems with real-time analytics and machine learning, as seen in Oracle Autonomous Database, Amazon Aurora Serverless, and Google Cloud Spanner [2], [3].

Furthermore, data security in the cloud, access control, GDPR and ISO 27001 compliance, and vendor lock-in risk need to be managed and impose further architectural and organizational restrictions [4]. The purpose of this research article is to perform a comprehensive review of techniques for processing and integrating relational databases in cloud computing platforms and determine feasible research directions for both technological and organizational aspects. The novelty of this study lies in the fact that we present a general comparison among architectural styles such as cloud-native, hybrid, multi-cloud, and API/microservices; the top DBaaS providers (Amazon RDS/Aurora, Azure SQL Database, Google Cloud SQL/Spanner, and Oracle Autonomous Database); as well as emerging trends like AI-powered database management, serverless approach, containerization, and data fabric and data mesh paradigms.

II. LITERATURE REVIEW

II.1 THEORETICAL BACKGROUND TO CLOUD COMPUTING AND INTEGRATION WITH RELATIONAL DATABASES

II.1.1 Development of Cloud Technologies (IAAS, PAAS, SAAS, DBAAS) in Data Management

The evolution of cloud computing has witnessed a series of expansions in the range and size of data center services, leading toward scalable, distributed data game platforms for data center infrastructure and computing resource delivery. According to [5] reviewed the nature of IaaS, PaaS, and SaaS-based cloud service models, which have become the basis for building modern infrastructure and application solutions. Opinions of the authors to have flexibility regarding resources and virtualization in the first place gave rise to the "as-a-service" model, which finally culminates in efficient management of a database in distributed systems. In [6] narrate the transition from traditional data centers to cloud formation using the Microsoft SQL Server case study. They concluded that DBaaS is a key mid-layer between traditional on-premises solutions and the advanced cloud databases and allows users to take advantage of automated management, service reliability, and lower operational expenses.

The security issues of DBaaS have already been discussed widely by [7], [8], who also argue that outsourcing the managing of databases to a third-party cloud service provider compromises the confidentiality of data, user authentication, and access control. Later on, through the transition to this web-scale model, governed by the as-a-service logic, it came to be more about a general transformation of the IT landscape – as firm on-premises architectures gave way to malleable and elastic cloud systems, where data was emerging as the essential material of the digital economy, as indicated by [9]. The evolution of relational databases to a new type of computing platform is made possible by that of cloud computing techniques, which result in the enhancement of the performance, scalability, and information flow management.

II.1.2 Characteristics of Relational Databases in Traditional Architectures

Relational databases are the cornerstone of data management that is structured, complete, and secure in traditional architectures when it comes to computing. Relational databases have long been a staple for structured, complete, and controlled data processing in classical computing environments. According to [10], the primary concept of these systems is the storage of data in tables and relations, which allows one to easily search, group, and summarize data with SQL. According to [11] states that a database schema is a blueprint or an outline that represents the organization of data in the form of the database design of the fields, tables, views, etc., of the database.

In fact, the ACID properties (atomicity, consistency, isolation, and durability) constitute the backbone of dependable transactional systems, which uphold this integrity [12]. Indexes and integrity constraints also improve the performance and correctness of queries, and the SQL standard supports complex analytical queries and procedures. Indeed, classical relational systems [13] are known to have scale-up constraints, which become more critical with increasingly massive data sizes and numbers of concurrent transactions. This pushes for mixing approaches, for moving relational structures to the cloud, where horizontal scaling and more flexible load balancing can be supported.

II.1.3 Principles of Compatibility of Relational Structures with Cloud Architecture

The porting of relational databases to cloud platforms must follow certain architectural paradigms to be compatible, dependable, and efficient. Because cloud software development should be guided by the principles of modularity, scalability, fault tolerance, and distributedness, as [14] state, this results in the attribute set for relational systems in the cloud. Following hybrid cloud models, by [4] states that a seamless integration of private and public clouds is a must for ensuring access to critical data without impeding productivity.

So, Muppala, and other new modern SQL platforms that seem to be heading in the direction of cloud-predicated architectures that are designed for distributed computing, query caching, and dynamic scaling. The interaction of distributed systems and cloud computing is considered by [15] as the foundation of the data architectures in the future, with centralized control being replaced with decomposed services. The concept of multi-cloud resilience [16] validates this statement, including the integration of distributed ledgers (DLT) and synchronization protocols across platforms to maintain data continuity and consistency.

According to [17] develops the principles of cloud-native database under the separation of relational structure from application through microservice style and containerization; this enables automatic scaling and adaptive load balancing, which allows relational databases to be active players in the cloud environment.

II.1.4 Comparison with NoSQL and NewSQL Systems: Advantages, Disadvantages, Compromise Approaches

Relational systems vis-à-vis NoSQL and NewSQL databases comparison demonstrates that the scientific community established a goal to balance data structure and scalability. In [18] Traditional SQL systems provide stability and transactional accuracy, and LazyBox noSQL offers high performance and flexibility of the data structure, especially for large unstructured volumes. According to [19] characterize the NewSQL systems as a middle ground that retains transactional consistency of traditional relational databases while providing scalability of NoSQL by utilizing multi-model architectures and query optimization.

In turn, by [20] verify through empirical tests that SQL solutions hold consistent performance in the most demanding business applications, while in rapidly changing web-based applications, NoSQL solutions exceed themselves and are seemingly more suitable. In [21] observe contrasting behaviors between relational and NoSQL databases when processing data in parallel. SQL is more effective in maintaining transaction integrity, while NoSQL is more scalable than Type with the number of threads. Hence, the end state of cloud database integration is not leaving the relational model behind in search of some new variety of non-relational schema design but letting (transparent) hybrids of relational and non-relational models to take the dance of consistency, availability, and performance to new scales.

III. METHODS

In the process of studying the integration of relational databases into cloud environments, a set of scientific analysis methods was applied:

- the synthesis method combined the results of analytical reviews, implementation cases, and market reports to form a holistic view of modern architectural approaches and technological trends in the field of DBaaS, serverless infrastructures, containerization, and AI-driven management;
- the forecasting method was used to assess the dynamics of the global cloud computing market and the share of corporate data in the cloud, which provided the basis for formulating the prospects for the development of integration architectures in the long term;
- a comparative analysis of cases of leading corporations (Oracle Autonomous Database, AWS Aurora, Google Cloud Spanner, IBM Data Fabric, Netflix Data Mesh) was used to assess the practical effectiveness of implementing cloud relational systems, which allowed comparing the declared performance indicators, resource savings, reduction of service time and SLA compliance with real implementations.
- the systematization method allowed us to classify integration models (cloud-native, hybrid, multi-cloud, microservice and API-first approaches), compare their technical, economic and security characteristics and create a generalized comparison matrix for further analysis;
- the generalization method made it possible to identify key patterns in the development of relational database integration, in particular the trend towards the creation of unified analytical environments (Data Fabric) and decentralized models of data management (Data Mesh), as well as the transition from manual administration to autonomous management based on machine learning.

IV. RESULTS

In the current context of digital transformation and rapid development of information technology, cloud computing is becoming a fundamental component of the strategic development of organizations in all sectors of the economy. The implementation of cloud solutions allows enterprises to ensure high flexibility of IT infrastructure, operational scalability of resources and integration of analytical platforms for making informed management decisions in real time. One of the key indicators of the development of cloud technologies is the dynamics of the global cloud computing market and the share of corporate data stored in the cloud. Thus, the analysis of the dynamics of the global cloud computing market for the period 2024–2034 shows a steady trend of exponential growth.

Thus, in 2024, the market volume was estimated at USD 912.77 billion, while by 2034 it is projected to reach USD 7473.31 billion (Figure 1). This indicates a more than eightfold increase in the market over the course of one decade, reflecting the active digitalization of the economy, the spread of remote work, the large-scale implementation of SaaS solutions, and the transition of corporate and government organizations to cloud services. The high compound annual growth rate (CAGR) during 2026–2034, particularly in the projection period, shows that cloud platforms have a strategic importance in ensuring business stability and competitiveness of the enterprises.

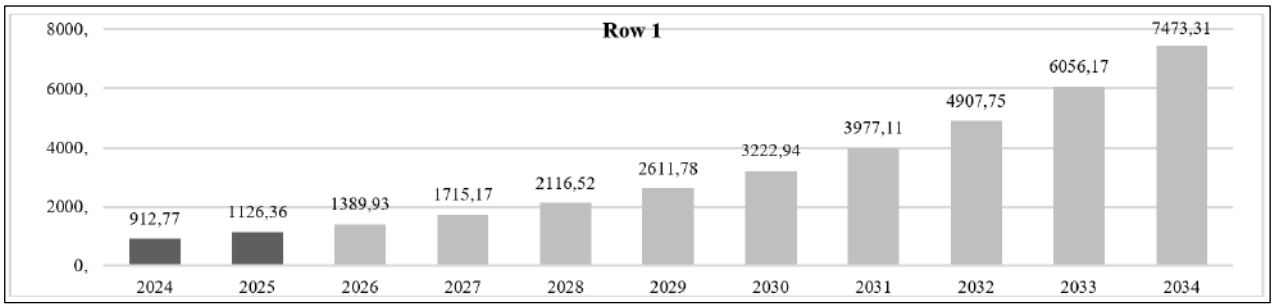


Figure 1: Global Cloud Computing Market in 2024–2034 (USD Billion).
Source: [22].

Note: data for 2026–2034 are forecasted.

Additionally, the analysis of the share of corporate data stored in the cloud shows a steady increase from 30% in 2015 to 68.66% in 2025 (Figure 2). The growth of this indicator reflects the technological adaptation of organizations and changes in data management practices and corporate IT strategy. In particular, there is an active implementation of cloud solutions to ensure the continuity of business processes, increase the flexibility of IT infrastructure and integrate analytical platforms for real-time decision-making.

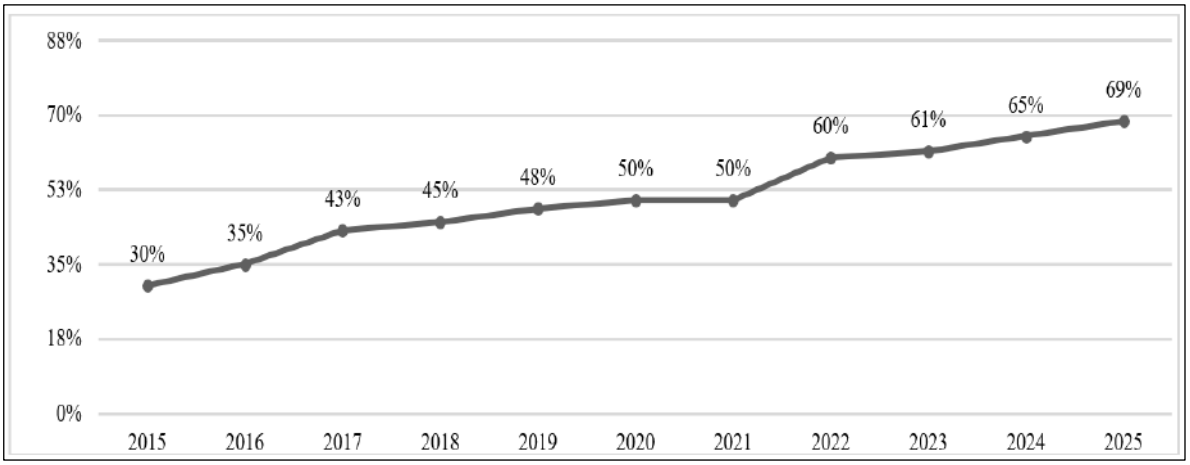


Figure 2: Share of Corporate Data Stopped in the Cloud Over Time.
Source: [23].

Note: data for 2023–2025 are forecasted.

Taking into account these trends, it becomes obvious that a systematic approach to the selection of architectural models for integrating relational databases in cloud environments is needed. Architectural models of integration include:

I. Full migration of relational databases to the cloud involves the use of "cloud-native" relational services that natively implement distributed storage, replication, transaction management and automatic scaling mechanisms. Analytical estimates of the market indicate a rapid growth in demand for cloud-native database solutions: according to market reports, the cloud-native database market is showing double-digit CAGR and was already estimated at billions of dollars in 2024, reflecting the intensification of migration projects and investments in DbaaS [24]. Technically, cloud-native Relational Database Management System (RDBMS) is characterized by horizontal scalability (sharding/partitioning), multi-site replication with consistency at the level of configurable SLAs, automatic disaster recovery, and integration with cloud provider services (monitoring, encryption keys, IAM). The typical business motive is to reduce TCO through operational automation and speed up time-to-market of analytical and transactional applications. In practice, large organizations (e.g., Capital One) have proven the ability to fully migrate with careful security and regulatory compliance planning [25].

II. The hybrid model remains the most common in sectors with strict regulatory requirements (banking, public sector, healthcare). It combines on-premise transactional systems for critical data with cloud services for analytics, backup, and peak loads. IDC and other analysts report a significant share of enterprises choosing "multi-vector" modernization strategies – about 60% of respondents reported the need for infrastructure transformation in 2024, which reinforces the role of hybrid architectures as an evolutionary step [26]. From a technology perspective, hybrid solutions require data synchronization (logical replication, Change Data Capture), aligned security policies, and network connectivity (VPN, Direct Connect/ExpressRoute). The benefit is control of critical data, but also the ability to take advantage of cloud elasticity for analytics or DR; the downside is operational complexity and a need for synchronized configuration management.

III. Multi-cloud strategies are used to reduce vendor-lock-in risk, optimize cost, distribute workloads, and increase resilience. Large corporations implement multi-cloud patterns as part of their resilience strategy (distribution of critical services between AWS, Azure, GCP). Examples in industry (BMW, Schneider Electric, Uber) demonstrate the practical application of multi-cloud systems for managing configurations, secrets, and traffic between platforms. Multicloud poses the challenge of data consistency and complex transaction management mechanisms in a distributed environment [27].

IV. Architectural practices of microservices and API-first approach allow flexible integration of relational storages as separate service components, which makes it possible to combine different types of databases (SQL, NewSQL, NoSQL) in accordance with the requirements of individual services, with clearly defined access contracts (REST/gRPC). This approach reduces system connectivity and simplifies module evolution, but transactional integrity requirements may dictate the use of orchestration schemes or two-phase protocols in scenarios where ACID is a critical requirement.

V. The tools and functionalities of the leading cloud RDBMS platforms vary depending on the architectural suitability, scaling mechanisms, consistency and security guarantees, namely:

- Amazon RDS/Aurora – provides multi-mode implementations (MySQL-/PostgreSQL-compatible) with automatic replication, "read replica", the ability to scale vertically and limited horizontal scaling (Aurora Serverless, Global Database). The solution is often used to transform large transactional workloads in the cloud; AWS maintains leadership in the cloud infrastructure market, which enhances the ecosystem attractiveness of RDS [28].
- Microsoft Azure SQL Database – offers both "managed instance" and serverless options, deep integration with the Microsoft ecosystem (Active Directory, Power BI) and tools for migration from on-premise SQL Server. Azure is often chosen by enterprises with a high dependence on the Microsoft stack; the platform offers advanced security and management tools [29].

- Google Cloud SQL/Cloud Spanner – Cloud SQL provides managed instances of PostgreSQL/MySQL; Cloud Spanner is an example of a globally distributed, strongly-consistent relational DBMS that combines a SQL interface with horizontal scalability. Spanner shows that relational models can be scaled globally while maintaining strong consistency guarantees [30]. Instead, Spotify, working with Google Cloud, has automated thousands of data pipelines and significantly improved the efficiency of analytics processing (claimed around 300% efficiency improvement in certain computing scenarios), which emphasizes the role of cloud-based relational and analytics services in handling highly demanding workloads. Although Spotify uses a wide stack of tools (including non-relational technologies), the case study demonstrates how cloud RDBMS/analytics services are integrated into the overall data architecture [31].
- Oracle Cloud Infrastructure (Autonomous Database) is an enterprise-SQL-workloads-oriented platform with automated operational functions (self-tuning, automatic patching), which is attractive for organizations with deep use of the Oracle stack. OCI is designed for conservative enterprise transitions to the cloud, where the completeness of SQL functionality and optimization for business applications is important [32]. In particular, companies such as Cisco Systems and Siemens AG use OCI for centralized corporate data management. According to the WiseGuyReports [32] report, Oracle retains about 12% of the DBaaS market and demonstrates steady growth in the enterprise segment due to the trust in its SQL core and high SLAs (up to 99.995% uptime) [33].

Thus, the integration of relational databases into cloud environments is accompanied by a complex combination of technical, organizational, and regulatory challenges that determine the architectural parameters of systems, as well as strategic aspects of data management. While leading DBaaS vendors are actively improving migration, synchronization and automatic scaling tools, issues of transaction consistency, secure storage and latency minimization remain key to the performance and credibility of cloud solutions. In addition, economic and compliance requirements are becoming increasingly important, directly affecting the total cost of ownership, the risks of vendor lock-in, and the need to develop competencies to operate complex hybrid environments. In the context of this study, it is advisable to systematize the main problem areas (Table 1) that form the outlines of the modern integration paradigm of relational database management systems (DBMS) in cloud ecosystems.

Table 1: The main challenges of integrating relational databases in cloud environments.

Integration model	Technical challenges	Security aspects	Economic challenges
Cloud-native RDBMS	- High requirements for transaction consistency in distributed environments (especially in multi-region configurations); - Latency between regions affects OLTP workload; - Automatic scaling can cause short-term delays when the data volume increases; - Limited compatibility of SQL engines (PostgreSQL, MySQL, Oracle) with cloud API specifications.	- End-to-end data encryption in motion and in storage (TLS, AES-256); - Access control through IAM (AWS IAM, Azure AD) with the need for centralized role management; - Compliance requirements (GDPR, SOC 2, ISO 27001, PCI DSS) require customization of audits and logs.	- The cost of ownership (TCO) increases with high transaction volumes and backups; - Vendor lock-in - the complexity of migration between providers (AWS → Azure); - The need for specialized personnel (DevOps, Cloud DBA).
Hybrid integration (on-premise + cloud)	- Delays in synchronization between local and cloud databases; - The need for Change Data Capture and logical replication mechanisms; - Incompatibility of SQL engines in different environments (versions, parameters, triggers); - Limitation of network bandwidth with large data volumes.	- Separation of responsibilities between internal IT teams and providers in terms of encryption, backup and disaster recovery. - Increased risks of security policy inconsistency.	- High cost of maintaining a dual infrastructure. - Difficulties in assessing ROI in case of partial migration. - The need for coordination between DevOps and ITIL teams.
Multi-cloud integration	- Distributed transactions between providers have different consistency mechanisms; - Lack of a single standard for cross-cloud SQL interoperability; - Network delays and complexity of request routing.	- Difficulty in centralized security monitoring between multiple environments. - Increased risks of leakage due to different metadata storage policies. - Requirement for integrated SIEM/Zero Trust Frameworks.	- High operational costs for SLA synchronization between providers. - Blurring of responsibility for security incidents. - The need for Cloud Governance Frameworks (FinOps, ITSM).
Integration through APIs / microservices	- High costs for API orchestration and cross-service consistency; - The need to manage distributed transactions (Saga, 2PC); - Compatibility of database schemas between microservices in different environments.	- Protection of endpoint APIs (OAuth 2.0, JWT). - Monitoring authentication and logging on the scale of hundreds of services. - GDPR compliance during cross-service transfer of personal data.	- High costs of DevOps automation (CI/CD pipelines, observability). - The need for distributed monitoring (Prometheus, OpenTelemetry). - Lack of personnel with experience in microservice RDBMS architectures.

Source: Authors, (2026).

Combined, the suggests that a relational database should be a first-class citizen in the cloud, and its implementation should encompass a continuum from technical feasibility to economic viability, as well as information security. Transactional consistency in distributed environments and vertical scaling limitations are examples of technical constraints that are being addressed by distributed SQL engines, microservice orchestration, and containerization. At the same time, security and regulatory matters are more conservative, while a need exists to comply with international data protection laws (GDPR, ISO/IEC 270-01).

At the same time, financial issues (such as the costs of multi-cloud system management and a dearth of qualified personnel) impact the need for strategic migration planning and the use of cloud governance measures. Therefore, it is really a technically enabled, legally balanced, and financially sustainable multi-dimensional approach that is becoming the yardstick for the success of integration processes in contemporary cloud-based environments.

In view of this, the development prospects in this area are determined by two main vectors: technological evolution (automation, serverless, containerization, AI-driven management) and management and methodological shift towards distributed and semantically consistent models (Data Fabric, Data Mesh); which increase the efficiency of data storage and processing, as well as transform the management logic of the business – from reactive administration to proactive anticipation of needs and loads. The key areas of innovative development of relational databases in cloud environments, including integration with ML platforms, containerization, serverless architectures, automated management and the formation of new data paradigms (Data Fabric, Data Mesh) are systematized in Table 2.

Table 2: Prospects for the development of relational database integration in cloud environments.

Development direction	Content and technological features	Implementation examples and case studies
Integration with Big Data and Machine Learning platforms	Relational DBMSs in the cloud are increasigly combined with analytical environments (Databricks, Snowflake, Vertex AI) to create a unified Data Fabric. This ensures data consolidation, reduction of ETL costs, and building predictive models without duplicating data.	Oracle Autonomous Database + Databricks: integration via *Delta Sharing* for two-way data exchange between OLTP and ML modules without ETL [2]. SAP Datasphere + Databricks: creating a single layer of access to corporate data without replication [34].
Containerization and database orchestration (Docker, Kubernetes)	Containerization allows to standardize the deployment of RDBMS in multi-cloud environments, reducing vendor lock-in and increasing portability. Kubernetes clustering provides automatic scaling, fault tolerance, and CI/CD integration.	Google Cloud SQL on GKE: an example of a hybrid architecture where the database is scaled through the Kubernetes Engine with automatic failover support [35]. AWS Aurora in containers: using Amazon Aurora with containers for rapid deployment of microservices in AWS ECS/Fargate [36].
Serverless models (Serverless SQL, Cloud Spanner, Aurora Serverless)	Serverless architectures eliminate the need for manual scaling, providing automatic resource management, per-query billing, and minimizing downtime. They are becoming the core of the modern DBaaS approach.	Aurora Serverless v2: provides instant scaling at peak loads and reduces costs by 40% [3]. Cloud Spanner: a globally distributed SQL DBMS with high consistency, used by *Spotify* for streaming analytics across millions of users [37].
AI-driven Database Management	The use of machine learning to independently tune queries, predict load, and automatically update indexes. This minimizes the human factor and increases SLA.	Oracle Autonomous Database: The implementation of Oracle Autonomous Data Warehouse at *Rosendin* reduced the administration burden, simplified data management, improved productivity, and identified $300 thousand in labor cost savings based on an analysis that took only 10 hours [38]. DPA (Digital Procurement Agency): DPA replaced a complex multi-system architecture (MySQL + MongoDB Atlas) at with a single Autonomus Database on Oracle Cloud Infrastructure. This resulted in a 15% acceleration in time-to-production, increased productivity, significant ease of management, and a reduction in operating costs by about 10% [39].
Development of Data Fabric and Data Mesh approaches	Data Fabric offers a single view of metadata management for heterogeneous data sources, whereas Data Mesh is predicted on a decentralized domain ownership model. This is the future pattern for work in large organizations with diverse databases.	IBM Data Fabric Platform: combines relational and non-relational sources in a single metamodel, supports DataOps functions [40]. Netflix Data Mesh Implementation: Netflix implements Data Mesh to synchronize dozens of SQL clusters with real-time streaming data [41].

Source: Authors, (2026).

The evolution of relational database access in the cloud exemplifies the transformation from disjointed storage models toward intelligent, cohesive system models where data is a first-class organizational asset. Integration solutions are evolving to the new dynamic architectures such as Data Fabric or Data Mesh to align these solutions no longer only on the technology level but on the level of data management concepts (from collection to analytics). Simultaneously, the progress in AI-based techniques for managing databases suggests a gradual shift of the emphasis from administrating towards self-administrating, where ML algorithms have a crucial role to play in autonomously optimizing queries, balancing loads, and maintaining SLAs.

Containerization and database orchestration are leading to a new multi-cloud portability model that facilitates vendor lock-in and offers potential for data-level integration with CI/CD. Simultaneously, serverless architectures are also being adapted as a key element in the Database-as-a-Service (DBaaS) model, offering the benefits of cost-efficiency, elasticity, and continuous data access. The integration of relational DBMSs with popular Big Data platforms and ML enables synergy between transactional systems and analytical services, thus realizing a single analytical space – Unified Data Fabric. From a methodological point of view, the choice of a model for integrating relational databases in cloud environments should be based on a systematic combination of the organization's goals, type of data processed, level of digital maturity, and architectural requirements.

For this purpose, it is advisable to apply a methodological approach based on a matrix of compliance with strategic goals and technological parameters of integration, which provides for: (1) Identification of business goals (real-time analytics, scalability, continuity of service); (2) Assessment of the type and amount of data, which determines the feasibility of using a relational, hybrid or polystructured architecture; (3) Selection of an integration model (Big Data Integration, Serverless DB, Data Fabric, AI-driven DBM, etc.), taking into account security, latency, regulatory compliance requirements; and (4) Development of an integration flow map and definition of metadata management mechanisms.

Thus, the optimal integration model should strike a balance between adaptability, autonomy, and interoperability. Organizations with an analytics-oriented business model should implement Data Fabric with ML integration for end-to-end analytics, while businesses that focus on rapid scaling of services can use Serverless SQL or containerized RDBMS solutions. For companies seeking digital transformation of management processes, the most promising direction is the implementation of AI-driven Autonomous Databases that minimize the human factor and ensure a high level of operational efficiency.

V. DISCUSSION

The obtained results confirm the key theoretical positions highlighted in previous studies [5],[6],[9] regarding the gradual transition from centralized database management systems to decentralized cloud services operating on the as-a-service model. Similar to the findings of [6], the study conducted by found that DBaaS approaches do provide automation of administration and increase the efficiency of operations, but at the same time increase the risks associated with data privacy and vendor lock-in. This is in line with the warnings of [7], [8], who emphasize that even in modern models with end-to-end encryption and centralized IAM control, issues of authentication and compliance with security standards (GDPR, ISO 27001) remain open. In addition, the problem of scalability of relational systems in cloud environments is a controversial aspect, which is confirmed by the results of this study.

According to pointed out the structural limitations of SQL architectures under heavy load more than a decade ago, and current analytical data demonstrates that although modern cloud-native RDBMSs overcome these limitations through containerization and microservices [15], [17], [42], issues of latency and distributed transaction consistency persist. This indicates that the cloud evolution of SQL has not eliminated the fundamental challenges but only moved them to the plane of architectural balancing between consistency and availability, which is in line with the CAP model, which is being actively developed by modern NewSQL researchers [19], [21]. Comparison of our results with the works of [18], [20] confirms that relational systems continue to demonstrate higher transactional stability in critical business scenarios, while NoSQL solutions remain more efficient for unstructured data flows.

We have expanded upon the research of these authors by demonstrating that the most effective compromise between the stability of SQL and the flexibility of NoSQL is hybrid integration through APIs, microservices, or multi-cloud platforms. This confirms the idea of [19] of the possibility to build up polyglot persistence, the coexistence of different types of databases in a single cloud infrastructure. Our findings have also been aligned with the strategies of [14], [16], who advocate the importance of modular design and fault tolerance in cloud design. Notably, evidence-based studies advocate that for multi-cloud solutions, unified security frameworks (Zero Trust, SIEM) and centralized procedures for managing financial and operational risk (FinOps, ITSM) are becoming increasingly critical. This aligns with [16] multi-cloud resilience framework and further reiterates the importance of transitioning into proactive data infrastructure management approaches.

VI. CONCLUSIONS

Considering that business is becoming increasingly digital and the volume of enterprise data is growing quickly, there is a need to adopt a new model for managing information resources. The results prove that the expanding global cloud computing market and increasing corporate data in the cloud push the need for technology reform and IT infrastructure strategy. This delivers business-minded, analytically driven services and resources to agencies. The paper shows that stencils for relational database integration, e.g., cloud-native, hybrid, or multi-cloud, including microservice-API-based implementation, represent a tradeoff among technical flexibility, security levels, and costs. Cloud-native solutions enable high scalability and automation of transaction processing, although hybrid and multi-cloud solutions sacrifice control over sensitive data in exchange for the elasticity of cloud solutions. Coupling with microservices/APIs provides systemic IT connectivity-reduction value and enables an incremental corporate IT infrastructure evolution.

From a practical point of view, the review of these high-end platforms (Amazon RDS/Aurora, Microsoft Azure SQL, Google Cloud SQL/Spanner and Oracle Autonomous Database) shows that the relational database as a service implementation is largely influenced by the configuration of its horizontal and vertical scalability model, consistency, security, availability guarantees and integration with analytic and ML services. In this regard, the complex nature of the process integration calls for a multi-facet assessment covering technical feasibility, regulatory compliance, and financial viability. The convergence of serverless computing paradigms with containerization, AI-powered orchestration, Data Fabric and Data Mesh enables smart data ecosystems where the movement of data itself is continuously augmented. This creates an ideal autonomy-integration equilibrium in data processing.

A systematic choice from the integration models is visible when considering business objectives, type of data, security requirements, and compliance requirements. Using a mapping between strategic goals and the technology-based facets of the integration, companies can determine the most strategic approaches, minimize risks associated with vendor lock-in, enhance analytical processing capabilities, and have ongoing access to operational data. Hence, the future opportunities for integration of relational database in cloud computing are influenced by both progress of technology and management and methodological trends for distributed, semantically coherent data models.

VII. AUTHOR'S CONTRIBUTION

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RESEARCH ARTICLE OPEN ACCESS

THE ROLE OF ARTIFICIAL INTELLIGENCE IN QUALITY CONTROL AUTOMATION: IMPACT OF AI TECHNOLOGIES ON TRADITIONAL DEFECT DETECTION METHODS AND THEIR INTEGRATION INTO PRODUCTION PROCESSES

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ABSTRACT

The study aimed to assess the effectiveness of artificial intelligence (AI) technologies in automating quality control in production. The study analysed the application of AI technologies to automate quality control in production processes. The study analysed modern approaches to the implementation of computer vision, deep learning algorithms and predictive analytics to improve the accuracy of defect detection, reduce the influence of the human factor and ensure continuous product monitoring. The analysed examples of the integration of smart technologies in various industries demonstrate the effectiveness of such solutions, provided they are properly adapted to the production environment. The study established that traditional quality control methods have limitations and need to be modernised by supplementing them with digital solutions. Modelling has demonstrated that the introduction of AI technologies can help to increase the efficiency of production processes, reduce reject rates and improve equipment maintenance. Comparative analysis demonstrated a potential reduction in product inspection time and the number of undetected defects using computer vision systems and deep learning algorithms. The study concluded that the combination of traditional control methods with intelligent technologies reduces production losses and can increase the overall productivity of enterprises if properly adapted.

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I. INTRODUCTION

Artificial intelligence (AI) is being actively used in many industries due to its ability to process large amounts of data and make accurate decisions. One of these areas is the automation of quality control in manufacturing, where traditional methods often have limitations in accuracy and speed due to their reliance on human error. AI can significantly improve quality control processes using computer vision systems and deep learning algorithms, which ensure high accuracy in detecting defects. These technologies can quickly identify problems, which reduces the number of defective products and increases production efficiency. Integration of predictive analytics makes it possible to predict equipment failures, optimising maintenance processes and reducing repair costs. This enables manufacturers to plan operations more efficiently, reducing unexpected costs and improving overall productivity.

In the field of AI-assisted quality control automation, there are several problems associated with the integration of the latest technologies into traditional defect detection methods. These issues are being actively studied by various scientists. One of the aspects is the improvement of traditional defect detection methods using computer vision technologies and deep learning algorithms, as confirmed by [1]. However, the work does not fully cover the effectiveness of such technologies in various production areas, in small and medium-sized enterprises. This points to the need to study the adaptation of these methods for a wide range of industries. Research by [2] highlighted the great potential of predictive analytics for optimising equipment maintenance processes. However, the work mainly deals with theoretical aspects and does not provide sufficient analysis of practical results, which limits the practical application of such technologies.

This gap requires additional research to determine the actual effectiveness of forecasting in real-world production conditions. The integration of traditional quality control methods with smart technologies was addressed by [3], noting the importance of combining old and new methods to achieve better results. However, the studies do not sufficiently cover the details of combining these methods in different production processes, particularly their interaction with robotic quality control systems. This creates a need for further research in this area. Considerable attention has been paid to the ethical aspects of using AI in such critical areas as manufacturing, as reflected by [4]. However, the issues of developing ethical standards and safety in the context of quality control in production remain insufficiently studied. This requires further development of the regulatory framework and safety standards for the use of AI in such areas.

The study by [5] considered the use of computer vision to automate defect detection, but its work does not address the interaction of computer vision with other quality control methods within the framework of integrated automation. This creates a gap that needs to be filled for further analysis of the process of integrating such technologies into production processes. Other important aspects are the management of quality control costs and process optimisation, as emphasised by [6]. However, this aspect also requires additional research, as the issue of the costs of implementing and maintaining such systems remains open. The integration of deep learning algorithms in the context of defect detection was addressed by [7]; however, their research does not consider specific examples of the application of these technologies in various industries. This emphasises the need for more detailed research to expand the application of such approaches in the practical field.

AI technologies for quality control automation were also addressed by [8], analysing the possibilities of their integration with production process control systems. However, the study is limited to only certain aspects of such integrations, which require further research to determine the effectiveness of such approaches at different stages of production. The need for further development of intelligent systems in the field of quality control was emphasised by [9]. The study demonstrated the importance of improving methods for detecting defects in real time, but it is limited to theoretical aspects. The lack of practical analysis of the application of these methods in real production conditions is the main gap that needs to be filled in further research. In particular, the use of AI to reduce production defects is important, which is also studied by [10].

The study emphasised the use of intelligent systems to predict possible defects before the start of the production process, but it does not cover the study of the long-term results of such systems in various industries. This is an important area for further research. Thus, although there are numerous studies confirming the effectiveness of AI technologies in automating quality control, the integration of these technologies with traditional methods, the ethical aspects of their application, and the practical implementation of predictive analytics remain insufficiently studied. These gaps highlight the need for further research to fully understand the potential of such technologies. The study aimed to analyse the impact of AI technologies on the automation of quality control and the transformation of traditional methods of detecting defects in production processes. Research objectives:

1. To analyse the existing approaches to the implementation of AI technologies in production quality control systems.
2. To analyse methods of using computer vision and deep learning to automate defect detection processes.
3. To assess the effectiveness of integrating these technologies with traditional quality control methods in various industries.

II. MATERIALS AND METHODS

The methodological basis of the study was based on the theoretical analysis of available technical, scientific and analytical documentation, which was used to investigate the peculiarities of introducing AI into automated quality control systems without the use of empirical or field methods. An integrated approach was applied in the study, which involved the use of methods of comparative analysis, systematisation, logical and semantic interpretation, and content analysis. Open sources such as technical reports, analytical materials, and standards in the field of industrial automation were used for systematisation, which classified existing solutions by type of algorithm (e.g., [11-14]), specifics of their application, and computational requirements.

Expected benefits of AI implementation (increased efficiency, reduced downtime, reduced rejects), main barriers (technical complexity of integration, lack of qualified personnel, lack of standardised protocols), level of automation at industrial enterprises (dominated by hybrid control systems), and technical challenges (poor data quality, difficulty in adapting algorithms to unstable environments). A content analysis of sources [15-18] identified the key topics that are most often found in modern research and reports: expected benefits from AI implementation, main barriers and challenges, the level of automation at industrial enterprises, and technical aspects of integrating intelligent quality control systems.

The architectures of computer vision systems, particularly those implemented based on CNN models and used in high-precision visual analysis of products, are investigated. Technical documentation of [19-21], as well as analytical materials from manufacturers of computer vision components, in particular, [22], [23], the characteristics of sensor equipment, software frameworks and algorithms that ensure automatic defect detection at different stages of the production cycle were identified. The study also includes an evaluation of deep neural network architectures, such as EfficientNet and ResNet, based on their ability to accurately recognise complex defects such as microcracks or geometry deviations.

To analyse system integration, examples from the food, metallurgy, and electronics industries, where AI modules are adapted to high-speed production lines and ensure stable operation with minimal human intervention, were analysed. As part of the comparative analysis of technical solutions, the specifications of quality control systems implemented based on TensorFlow, PyTorch, and OpenCV, and built into Supervisory Control and Data Acquisition (SCADA) infrastructures, were studied. This determined the technical parameters by which the effectiveness of such systems is assessed: accuracy, completeness, response time, error rate, and scalability. Statistical data from analytical reports by [24-27] served as the basis for building an understanding of the dynamics of implementing AI solutions in industrial control practice.

III. RESULTS

As part of the theoretical study, a comprehensive analysis of the current challenges associated with ensuring high-quality product control in the context of the digital transformation of industry was conducted.

The main challenges faced by enterprises are the growth of production volumes, the need for full (100%) product inspection, minimising the impact of the human factor, accelerating production cycles and ensuring stable quality in the face of high variability. These factors necessitate the introduction of automated quality control systems based on AI technologies. An analysis of traditional control methods, including visual inspection by the operator, spot checks, manual measurement of parameters and sensor systems with simple algorithms, has shown their limited effectiveness. The disadvantages of such approaches are subjectivity of assessment, staff fatigue, low repeatability of results and the inability to apply them effectively in high-speed production.

These factors significantly reduce their relevance in the context of modern industrial tasks. The method of comparative analysis was used to compare the approaches of multinational companies to the implementation of AI solutions in production (Siemens, Bosch, IBM, Nestlé), emphasising the technical characteristics of visual inspection systems and the degree of their adaptation to the specifics of industries. Technical documentation and corporate reports of leading companies implementing AI in automated quality control systems were analysed in detail. Based on the materials of [11-14], a technical comparison of deep neural network architectures such as CNN, YOLO, ResNet, and EfficientNet was conducted.

According to analytical reports by the [15-18], the main areas of implementation of intelligent control systems in production, the main barriers (lack of personnel, difficulty in scaling, technical integration) and expected benefits were identified. Additionally, the technical characteristics of visual systems from [19-24] were analysed, which formed an idea of the hardware and software implementation of computer vision modules in SCADA infrastructures. Reports from [25-27] provided examples of large-scale implementation of AI solutions in practice, including the adaptation of models to high-speed production environments.

The potential of AI systems, in particular computer vision and deep learning algorithms, is considered. The study conducts a logical and functional analysis of the capabilities of CNN and object detection architectures, such as YOLO, in terms of their ability to provide fast and highly accurate processing of visual data in real time. The use of tools such as TensorFlow, PyTorch, and OpenCV enables flexible, adaptive solutions for different production scenarios without being tied to empirical testing. The use of AI systems ensures automated adjustment of process parameters, increases the stability of control results and reduces dependence on the subjective assessment of operators.

The theoretical review confirmed the broad functionality of AI solutions in detecting various types of defects, including microcracks, deformations, geometric abnormalities, foreign inclusions, etc. AI systems are highly flexible and adaptable in various industries. In the electronics industry, they are used to control the quality of printed circuit boards; in metallurgy, to detect welding defects; in the food industry, to inspect the flow of products to detect foreign impurities; in the automotive industry, to accurately recognise surface damage. These examples were summarised based on scientific and analytical literature and technical documentation without the involvement of field research.

A separate group includes corporate examples of AI systems implementation. Bosch uses computer vision systems to analyse welds, which has reduced the number of defective Bosch Industry 4.0 products [28]. At Samsung Electronics, CNN algorithms are used to detect microcracks on screens, which has significantly increased the stability of control and reduced the workload on staff [29]. At Nestlé Japan, AI systems are integrated into the food inspection process on conveyors, which has increased the efficiency and accuracy of detecting deviations in the [30]. All these cases illustrate the adaptability of AI technologies to the specifics of industries without going beyond theoretical analysis. At the same time, several barriers were identified that hinder the widespread adoption of AI technologies in the field of quality control.

The main obstacles include the need for large volumes of qualitatively labelled training data, high implementation costs, especially at the stage of initial model setup and training, a shortage of digital engineering specialists, as well as risks associated with cybersecurity and the transfer of information through open or corporate networks. Thus, the theoretical analysis proves the feasibility and prospects of using AI in automated quality control as one of the key areas of innovative development of industrial enterprises. AI systems provide a high level of accuracy, adaptability and scalability, significantly outperforming traditional methods in terms of speed, stability of results and efficiency of processing large amounts of data. At the same time, their implementation requires a comprehensive strategic approach to resources, human resources and digital infrastructure. Figure 1 illustrates a comparison of the accuracy and speed of AI systems and traditional methods, demonstrating the benefits of AI in the context of manufacturing quality control.

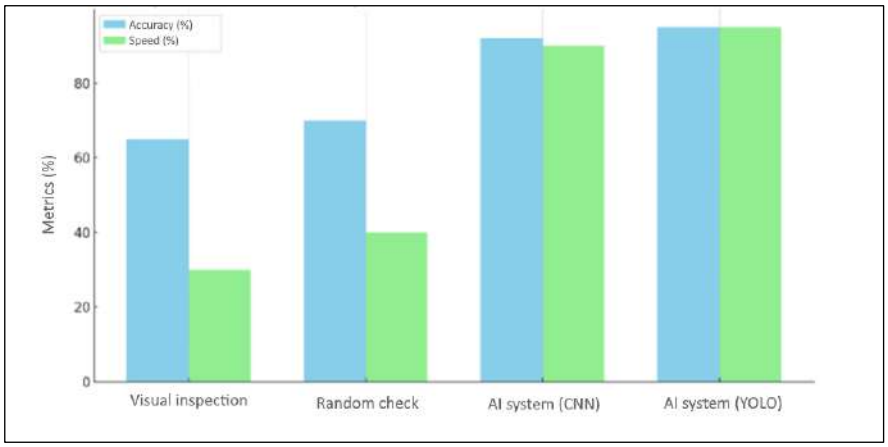


Figure 1: Comparison of the accuracy and speed of AI systems and traditional methods.
Source: [31], [32].

The study, which included a comparative analysis of the efficiency of technical quality control systems, revealed the advantages of using computer vision with CNN architectures over traditional methods. The effectiveness of integrating AI modules into production management systems is seen as a promising area for improving production processes. When deviations from the standard values are detected, algorithms automatically adjust process parameters (including feed rate, temperature, and pressure), which helps maintain stable product quality in the face of variable input data. K-means clustering, decision trees and support vector machine (SVM) were used to identify anomalies and trends in the data. Machine learning algorithms can predict possible defects before they occur, which indicates a shift from a reactive to a proactive management model.

The study also analysed the effectiveness of end-to-end integration of AI systems into Manufacturing Execution System (MES) and Enterprise Resource Planning (ERP) platforms. The results of the comparative assessment conducted in three typical production environments – discrete, continuous, and project-oriented production – showed that full integration ensures data consistency between subsystems, reduces the number of repeated operations, and optimises management decisions. The correlation analysis established a link between the frequency of AI adjustments and the reduction in unit costs. The findings quantified the reduction in maintenance costs and the improvement of the energy efficiency of the process.

Another important result was the introduction of predictive maintenance tools. Algorithms for analysing equipment behaviour, including signs of wear and tear or deviations in vibration, noise and energy consumption, were used to predict the probability of failure. Survival analysis models and neural networks were used to detect anomalies. This reduced the frequency of unplanned shutdowns and increased equipment availability. AI systems also detected micro-defects that were not captured by traditional visual inspection tools. Overall, the study results confirmed that the use of computer vision and deep learning algorithms in quality control systems ensures high accuracy, efficiency, and adaptability. Integration of AI into production and management platforms helps to improve process efficiency, reduce losses, and reduce the workload of staff. The applied methods of data collection, analytics, and parameter adjustment have helped form the basis for building flexible, adaptive, and predictable production systems in the context of the digital transformation of industry.

Table 1 provides a comparative description of the main methods of product quality control, reflecting the key differences between traditional and AI-oriented approaches. In particular, the table compares defect detection accuracy, inspection speed, human factor impact, and typical tools. As the data shows, AI systems demonstrate significantly higher efficiency across all criteria, which makes them increasingly relevant in modern production.

Table 1: Comparative characteristics of the effectiveness of traditional and AI methods of product quality control.

Control method	**Average defect detection accuracy, %**	**Average inspection time per object, s**	**The degree of influence of the human factor**	**Typical toolkit**
Visual inspection by the operator	75-82	10-15	Proficiency	Operator's eye, magnifying glass
Sensory methods (sensors, scanners)	83-88	6-10	Average	Laser/infrared sensors, Programmable Logic Controller (PLC)
AI control based on CNN and OpenCV	93-96	2-4	Low	High-definition cameras, TensorFlow, OpenCV
AI control with forecasting (Long Short-Term Memory – LSTM, Recurrent Neural Network – RNN)	90-95	36 (including time series processing)	Low	IoT sensors, PyTorch, SCADA, ERP

Source: [33], [34].

The study results showed that the integration of AI technologies – including computer vision, deep learning algorithms and predictive analytics – has led to a significant increase in the efficiency of quality control systems. The effectiveness of defect detection was demonstrated in the case of Nestlé, a food company, where, after the implementation of an AI system based on OpenCV, the accuracy of packaging defect detection increased from 84% to 95%, and the average time for checking a unit of production decreased from 7.4 to 2.1 seconds. Real-time response to deviations was demonstrated at a steel welded pipe plant in Turkey, where, according to an open report by [35], an AI module integrated into the SCADA system detected excessive overheating during welding and initiated automatic adjustment of the feed rate, which helped avoid deformation in 12% of products.

In the electronics industry, predictive maintenance based on LSTM algorithms has been used to detect signs of increased wear due to changes in the vibration spectrum a few hours before equipment shutdown. This significantly reduced downtime. AI modules are integrated into the digital ecosystem, including MES and ERP systems, which provide end-to-end monitoring of the production process from raw materials to packaging. In the food industry, optimising the dosage of raw materials through integration with ERP helps to reduce material costs. Computer vision based on CNN architectures is more efficient in quality control than traditional methods. There are three types of quality control systems: classical visual inspection, sensor monitoring, and AI control with deep learning.

Data is collected and analysed through simulation modelling, based on typical specifications and examples from the food, pharmaceutical and metallurgical industries. To illustrate the results obtained, a comparative table summarising the key indicators of the three quality control approaches was constructed. Table 2 shows the results of the modelling, which included an assessment of the accuracy of defect detection, information processing speed, level of human intervention and integration with production information systems. The case analysis conditionally reflected examples of the implementation of each type of system based on three typical enterprises, which served only as an illustrative basis for comparing the effectiveness of the approaches, without conducting a study at real production sites.

Table 2: Comparative effectiveness of quality control methods in production environments.

Control method	Average defect detection accuracy, %	Average inspection time per object, s	Frequency of missed defects, %	Human factor (degree of influence)	Examples of implementation
Visual inspection	76	9.5	5.7	Proficiency	Food industry (manual bottle inspection)
Sensor monitoring	85	6.8	3.1	Average	Metallurgy (infrared sensors on rolling stock)
AI based on computer vision (CNN)	95	2.3	0.9	Low	Electronics (detection of microcracks in chips)

Source: [36].

As shown in Table 2, the level of efficiency of quality control methods largely depends on the degree of their automation and the technological solutions used. Traditional visual inspection is characterised by the lowest accuracy rates and the highest level of human error, which leads to an increased risk of errors and delays. Sensor technologies are showing improvements in terms of speed and reliability, but remain sensitive to operating conditions and require constant maintenance. The best results are achieved when AI modules based on computer vision are used: such systems provide accurate and stable defect identification with minimal operator involvement, which significantly increases the overall efficiency of production processes and helps reduce losses. The results demonstrated that the integration of AI algorithms into technical inspection systems is a promising area for the development of smart manufacturing, providing not only detection but also in-depth analytical interpretation of defects with the possibility of further optimising the process cycle.

The results of the introduction of AI into production process control systems have confirmed its ability to provide dynamic, adaptive control of process parameters in real time. When deviations from the standard values are detected, for example, due to changes in the properties of raw materials or technical failures, AI modules initiate automatic adjustments to key parameters such as feed rate, processing temperature, pressure, or cycle time. This not only mitigated production defects but also maintained stable product quality in the context of changes in the environment or equipment. The use of machine learning algorithms has enabled the detection of even subtle trends in sensor data, which prevents potential deviations before they have a critical impact on the final result [37]. As a result of this approach, the flexibility of production systems has increased, and the number of stoppages caused by the need for manual intervention or re-adjustment of equipment has decreased.

Another key result was the full integration of AI modules into corporate information systems, including MES and ERP. This ensured end-to-end quality control at all stages of the production process, from receiving raw materials to shipping finished products. Data on quality, equipment condition, process dynamics, and control results were automatically transferred between subsystems, which achieved consistency of decisions at both the workshop and management levels [38]. Integration with ERP systems also ensured analytical tracking of the impact of production parameters on the economic performance of the enterprise, including production costs, energy costs and resource efficiency. In combination with MES systems, AI enabled the implementation of the concept of a “digital twin” of production, which helped to model optimisation scenarios and reduce technological risks [39]. Thus, the integration of AI into production management has made it possible to achieve a high degree of autonomy, adaptability and coherence of actions within industrial facilities, contributing to increased efficiency, product quality and resilience of production systems to changing conditions.

The use of AI in quality control systems has enabled the transition from a reactive to a proactive model of defect and technical failure management. The main achievement was the introduction of mechanisms for predicting the occurrence of deviations based on the analysis of large amounts of data from the production environment. Machine learning algorithms trained on historical and current data from sensors, cameras, and information systems identified patterns that precede defects, enabling the control not only after the fact but even before problems occur [40-42]. Thanks to predictive analysis, it became possible to identify critical points in the production process with high accuracy, where the probability of a defect increases. AI systems provided real-time signals of potential violations, which made it possible to promptly adjust the process or take preventive measures. In particular, the relationships between temperature fluctuations, tool wear, equipment vibrations, and product quality were identified. Another significant result was the introduction of predictive maintenance.

Algorithms analysed the behaviour of machinery, monitored signs of wear and tear or unstable operation (changes in sound, vibrations, energy consumption) and predicted possible failure. This made it possible to replace traditional scheduled maintenance with an adaptive model in which technical intervention is carried out exactly when it is needed. As a result, the number of unplanned shutdowns has decreased, repair costs have been optimised, and the reliability and availability of equipment have increased [43]. In the production environment, AI systems are used to identify product defects, monitor equipment conditions, and predict failures or disruptions in processes. To achieve high accuracy of such actions, access to large volumes of representative, structured, labelled, and verified information was critical. The creation of such datasets was carried out with the participation of specialists in marking industrial images and technical documentation.

If the training samples contained noise, errors in annotations, or limited variability in scenarios, the system could not generate correct patterns. The Shannon entropy metric and anomalies in label distributions were used to analyse the quality of the samples. Thus, predictive quality control implemented with the help of AI has transformed the approach to ensuring the stability and efficiency of production processes. Its application ensured not only the prevention of defects but also strategic risk management, which contributed to the competitiveness of enterprises in the context of Industry 4.0 [44], [45]. In this context, it is necessary to build a multi-level cyber defence system that includes authentication tools, encryption of transmitted data, intrusion detection systems, audit of user actions, and continuous monitoring of all changes within the AI environment. Three configurations of security frameworks were tested, including Zero Trust Architecture (ZTA) with adaptive access policy and Transport Layer Security (TLS) 1.3 cloud encryption.

Despite the significant potential of AI in the manufacturing sector, in particular, in process automation, productivity and quality control, the process of its integration remains complex and multifaceted. The introduction of AI technologies has been accompanied by a number of challenges that can affect both the overall efficiency and safety of new systems [46]. One of the main technical obstacles was the quality of the training data used to train AI models. In a production environment, AI systems are used to identify product defects, monitor equipment conditions, and predict failures or disruptions in processes. To achieve high accuracy of such actions, access to large volumes of representative, structured, labelled and verified information was critical. If the training samples contained noise, errors in annotations, or limited variability in scenarios, the system could not generate correct patterns.

As a result, the classification accuracy decreased, false positives became more frequent, and the adaptability of AI to real changes in the production environment was significantly limited [47], [48]. This had a negative impact on the stability of the system and necessitated periodic updating or retraining of models. To overcome this barrier, comprehensive training programmes were created that combined theoretical training with internships in an environment with AI modules. The effectiveness of staff training was assessed using pre-/post-testing and the digital literacy index. The approach of gradual integration of systems with simultaneous mentoring by information technology (IT) specialists also proved to be effective.

Another key challenge was the issue of cybersecurity when implementing AI in production processes. Modern intelligent systems are often integrated with existing information platforms, such as MES or ERP [49]. This expanded the scope of possible cyber threats: each connection of an AI module to the network opened up new vectors for potential attacks. Unauthorised access to such systems could lead to serious consequences, ranging from data substitution and product quality sabotage to the loss of control over critical technological parameters. If the attackers were able to manipulate quality control algorithms, production could be jeopardised: defective products were supplied to consumers, safety conditions were violated, and the company's reputation was undermined. In this context, it was necessary to build a multi-level cyber defence system that included authentication tools, encryption of transmitted data, intrusion detection systems, audit of user actions, and constant monitoring of all changes within the AI environment.

The human factor was a separate risk component. Despite technological progress, the effectiveness of AI implementation in the production process directly depended on the level of training and adaptation of personnel [50]. Employees not only had to change their approaches to performing their duties, but also acquire new competencies, including the ability to interact with automated systems, correctly interpret analytical data generated by AI modules, and make decisions based on their recommendations. Lack of proper training could reduce the effectiveness of implementation, cause distrust in technology, and in some cases lead to management errors or inappropriate use of systems [51], [52]. Therefore, an important condition was the creation of a staff retraining programme that covered not only technical skills but also an understanding of the logic of AI, the limits of its application, and potential risks. The example of Azerbaijan, where automated systems based on AI were introduced in the Sumgait Industrial Park in 2024, is illustrative, demonstrating the growing interest in industrial digitalisation even in countries that are just starting a large-scale industrial transformation [53].

In summary, the results of the introduction of AI into production were twofold: on the one hand, the technology provided a significant increase in the efficiency and quality of production processes, and on the other hand, several systemic challenges became relevant. Therefore, comprehensive preparation for integration, including improvement of data quality, creation of reliable cybersecurity, and improvement of staff qualifications, remained critical for the sustainable operation of intelligent production systems. Only then is a long-term and safe effect from the use of AI in industry possible. Despite the rapid development of AI technologies and their ability to transform the management of production processes, the implementation of such solutions was accompanied by a number of systemic challenges that affected the efficiency, security and adaptability of innovations. In practice, the implementation of AI projects turned out to be not only a technical task but also a complex interdisciplinary transformation that required a revision of approaches to data management, information security and personnel training.

One of the fundamental limitations was the quality of the data used to train machine learning models. In the context of production quality control, not only the quantity but also the meaningful representativeness of the information was important – the data had to cover the full range of possible deviations, defects, equipment conditions, etc. Insufficient variability of training samples, labelling errors, or noise artefacts significantly reduced the ability of the models to generalise [54-56]. Such models demonstrated low classification accuracy, malfunctioned on new data, and were ineffective in the face of environmental changes or new batches of products. In addition, automated data collection from sensors, cameras, and production lines generated a large amount of unstructured information that needed to be pre-processed, cleaned, and adapted to training formats [57]. To avoid distortions and reduce errors, preprocessing and verification tools were to be used, as well as the construction of high-quality datasets that met the conditions of a particular production. Thus, the availability of a high-quality, standardised database was defined as a prerequisite for the reliable operation of AI modules [58].

Another significant threat was cybersecurity, which has become critical in the context of the digitalisation of management systems. The integration of AI modules into existing production platforms, such as MES and ERP, opened up additional entry points for potential attackers [59], [60]. In the event of a successful attack, quality control algorithms could be disrupted, system solutions modified, or even supply and logistics chains blocked. Therefore, the necessary step was the implementation of multi-level security policies, including access authorisation, encryption of communications, and the use of cyber monitoring tools to detect anomalies and counter attacks in real time. Additionally, the issue of protecting confidential production information, customer data, and process parameters required the involvement of cybersecurity specialists in the team of AI solution developers and integrators.

Information security issues have evolved from a technical department to a systemic factor in the sustainable operation of a digital enterprise. Social and organisational aspects constitute a separate group of challenges. The implementation of AI systems involved changing the functional responsibilities of employees, increasing the requirements for digital skills and the ability to work with modern interfaces. In many cases, technical staff did not have sufficient qualifications to analyse model results, understand their performance parameters, or respond quickly to changing forecasts [61], [62]. This lack of training caused a lack of trust in the systems, reduced motivation, and sometimes resistance to innovation. To overcome this barrier, comprehensive training programmes were created that combined theoretical training with internships in an environment with AI modules. The approach of gradual integration of systems with simultaneous mentoring by IT specialists has also proved effective.

Fostering a culture of digital engagement and openness to technological change is recognised as an important component in ensuring the long-term success of automation projects. Thus, the results of AI integration into the production environment not only demonstrated the benefits of automating quality control but also revealed critical challenges that required a holistic, interdisciplinary approach. In particular, the quality of training data, the protection of digital infrastructure, and the readiness of staff to change determined the degree of success of AI implementation in production. These aspects are a prerequisite for the formation of sustainable, safe and efficient intelligent systems in modern industry.

IV.DISCUSSIONS

An analysis of the effectiveness of implementing AI systems in production processes has confirmed the superiority of AI solutions over traditional quality control methods. Spot checks or visual inspection methods have proven to be insufficiently accurate for a modern, dynamic, data-intensive production environment. Instead, systems based on machine learning and computer vision provided adaptive defect detection in real time. This reduced the risk of defective products, improved responsiveness and stabilised quality. The modelling results confirmed that deep learning algorithms significantly outperform traditional methods of visual inspection and sensor monitoring in terms of accuracy, speed and stability. Particularly noteworthy is the reduction in product inspection time, the decrease in the influence of the human factor, and the increase in the share of automated solutions. Comparative tables show that AI solutions provide 15-30% higher inspection efficiency compared to classical approaches, which is consistent with the results of studies by [63], [64].

The introduction of AI into production control systems demonstrated its ability to make highly accurate adjustments to process parameters. AI modules can automatically adjust process variables, such as temperature, pressure and raw material feed rate, without the need for operator intervention. This approach ensured product stability despite the variable properties of the input materials or fluctuations in the technical condition of the equipment, making production more resilient to internal and external disturbances. Despite the advantages identified, the source analysis highlighted the limitations associated with the need to adapt AI systems to the conditions of a particular production. According to [65] emphasised that the effectiveness of AI depends on fine-tuning models to handle specific types of products and production processes. The ability of AI algorithms to detect hidden trends in production data, which signalled potential deviations before they occurred, was highly effective. Machine learning was used to analyse large amounts of sensor data and identify patterns that precede system failures.

This reduced the number of production stoppages, improved process reliability and reduced the need for reconfigurations, forming a proactive management model. According to [66] highlighted the difficulties of implementing such solutions in an environment of outdated equipment, where data collection capabilities are limited. These conclusions are consistent with the results of the modelling, which revealed the need for an individual approach to system configuration. The integration of AI systems into MES and ERP platforms ensured end-to-end control over the production chain, from raw material processing to the shipment of finished products. The automatic exchange of information between subsystems has improved the consistency of management decisions. The link between technological indicators and economic parameters, such as cost, resource consumption and production line efficiency, was used to conduct scenario planning within the concept of a digital twin.

While the technical aspects of AI system support – such as computing resources, cooling systems, and power supplies – were not directly modelled, evidence from [67], [68] highlights their critical role in the practical implementation of solutions. An insufficient level of technical infrastructure can offset the benefits of AI even if efficient algorithms are available. The use of AI in quality control has facilitated the transition from a reactive to a preventive approach. Instead of recording existing defects, AI modules predicted the probability of their occurrence based on the analysis of historical and current data. Identification of critical points and interdependencies between parameters (e.g., temperature, vibrations, feed rate) made it possible to prevent deviations before they actually occurred, which had a positive impact on production stability. Another important aspect is the cost-effectiveness of AI. As noted by [69], [70], despite significant initial investments, AI systems self-reimburse through reduced control costs, lower defect rates, and increased productivity. The present analysis also confirmed the economic benefits of AI, in particular a 20-25% reduction in operating costs compared to traditional methods.

The introduction of AI in maintenance has demonstrated particular effectiveness. The collection and processing of indicators such as vibrations, noise, and energy consumption made it possible to predict technical malfunctions. This switched to maintenance based on the actual condition of the equipment instead of working according to a strict schedule. As a result, unplanned downtime has been reduced, shop floor reliability and overall productivity have increased. Summarising the results of modelling and literature analysis, it can be argued that the use of AI in quality control not only improves technical performance but also creates new strategic advantages for enterprises. According to [71], [72], improving the quality, efficiency and stability of production significantly strengthens the market position of enterprises, which is especially important in the context of international competition. In this context, the effectiveness of AI as a tool for the long-term development of industry is confirmed by its ability to transform traditional approaches to defect detection and ensure their deep integration into production processes, which emphasises the key role of AI in the field of quality control automation.

V. CONCLUSIONS

The study analysed the potential for introducing AI into the automation of quality control processes based on comparative modelling and the study of scientific publications and case studies. The results confirmed that traditional methods, such as manual visual inspection, demonstrate limited accuracy, high dependence on human factors, and low efficiency in the context of modern production requirements. Modelling and literature analysis have shown that the use of AI systems, primarily based on computer vision and deep learning, helps to improve the accuracy and speed of defect detection. CNN algorithms have proven to be particularly effective in detecting microscopic deviations in the shape, colour, or texture of products. The study also confirmed that AI systems can learn and adapt, which is an advantage in the context of changing production parameters. The potential of predictive control as one of the areas of AI application in the future was also identified. Analysis of secondary sources has shown that, based on the accumulated data, AI can predict possible defects, thereby helping to reduce losses, failures and production costs.

At the same time, the study results point to a number of limitations. First and foremost, AI integration requires the adaptation of algorithms to specific production conditions, the availability of high-quality local data, and significant investments in technical modernisation and staff training. All these aspects were identified through the analysis of publications and case studies, but were not tested experimentally in this study. The study was based on the analysis of secondary sources and modelling results, without practical implementation at enterprises, which limits the generalisation of results for specific industries or technological conditions. Further research should conduct practical testing of AI solutions in production, emphasising the identification of non-standard defects, integrating them into different types of production lines, and analysing the economic feasibility of implementation.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Kanan Mikayilov and Latafat Gardashova.
Methodology: Kanan Mikayilov and Latafat Gardashova.
Investigation: Kanan Mikayilov.
Discussion of results: Latafat Gardashova.
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RESEARCH ARTICLE OPEN ACCESS

DIGITAL TWIN FOR INTEGRATION OF CONTROL AND DIAGNOSTICS OF ELECTROMECHANICAL SYSTEMS UNDER UNCERTAINTY

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ABSTRACT

The study aimed to create a digital twin for the integration of control and diagnostics of electromechanical systems under conditions of uncertainty, with minimal reliance on physical sensors. The research was conducted at Mykolaiv National Agrarian University. Physically based models were developed for thermal processes in windings, assessment of losses in magnetic conductors, and wear indicators for components, virtual sensors, signal filtering algorithms and degradation prediction were implemented, and verification was conducted on test benches and in computer modelling. Quantitative results were obtained, which constitute the main contribution of the work: the accuracy of reproducing hidden parameters was 93.6-97%, the relative error of reproducing losses in the transformer was 3%, the relative error of thermal estimates was 3.5-6.8%, the correlation with reference measurements reached 0.99; the reduction in the dispersion of noisy signals was 33-41%, the signal-to-noise ratio increased by 4.2-6.7 decibels, and the root mean square error decreased by 35-44% with an additional delay of no more than 0.04 seconds. The models can be used in ship drives, biogas plants, robotic lines, irrigation pumping stations, transformer substations, hydraulic drives and traction electric drives, reducing downtime and energy consumption without changing the existing control infrastructure.

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I. INTRODUCTION

Electromechanical systems in transport, energy, industry, and agricultural production operate in variable modes, under conditions of incomplete observability and noisy measurements, which complicates stable control and timely diagnostics. The gap between these functions leads to fragmentation of decisions, duplication of sensors, increased costs and the risk of latent failures in transient modes. The concept of a digital twin as a synchronised digital representation of a physical object with two-way data exchange is viewed as a tool for overcoming these limitations, as it combines model, data and analytics in a single decision-making loop and creates conditions for sensor substitution without loss of controllability. [1] defined digital twin as a continuous channel for reflecting the states of a real product in a digital environment, with an emphasis on traceability and controlled configuration evolution. The emphasis on data history and consistency demonstrates how a digital twin can provide confidence in calculated states in situations with limited measurement access.

The study by [2] considers the digital twin as the basis for assessing technical condition and predicting resource throughout the life cycle, emphasising that physically correct models verified by experiment can support decisions beyond the current sensor coverage. This gives reason to consider the digital twin as an integrator of diagnostics and control, rather than just an analysis tool. The review by [3] introduces the gradation “digital model – digital shadow – digital twin” and explains how the level of feedback determines the system's ability to intervene in the process in real time. This classification sets practical criteria for choosing the depth of integration depending on the requirements of the object. The conceptual framework by [4] expands the architecture to a multidimensional representation of states, services, and data, where formal interfaces regulate the interaction between levels. This clarifies how to scale a digital twin from a single node to a production site or energy complex.

Engineering guidelines by [5] detail requirements for connectivity with control and monitoring platforms, including time stamp synchronisation, computing resources, and interoperability with industrial protocols. The definition of these requirements explains the limits of applicability of digital twins in closed loops. Virtual sensors that reproduce unmeasurable variables based on available signals are a key element of integration. The theoretical basis was set by [6], demonstrating that under conditions of observability, internal states can be recovered from initial measurements. This creates the foundation for sensor substitution in drives and transducers. The recursive method by [7] describes the optimal reduction of the root mean square error of estimation in the presence of process and measurement noise.

This approach explains how to combine a dynamic model and noise statistics to obtain consistent estimates in real time with controlled latency. The review by [8] demonstrates that multi-sensor integration, considering the motion model and measurement geometry, improves the signal-to-noise ratio and the stability of estimates in transient modes. This is relevant for electromechanical objects with rapid load changes. The generalisation by [9] shows that correct parameterisation of noise covariances and data fusion rules reduces tracking errors and increases the detectability of weak anomalies. This conclusion explains why correctly tuned parameters can reduce false alarms in diagnostics. The fundamental principles of technical diagnostics were systematised by [10], which describes the creation of diagnostic deviations, consistency tests, and criteria for localising defects in mechatronic systems under partial observability.

The principles outlined explain how to form reliable diagnostic features for inclusion in a digital twin and why the interpretability of models is necessary for decision-making by the operator. For electromagnetic subsystems, the correct modelling of losses in the magnetic circuit is based on the dependence discussed in detail in the work of [11], which establishes the relationship between induction, frequency and specific losses. This representation provides fast and energy-consistent calculations necessary for operational assessments. In the field of technical maintenance, according to [12] propose approaches to heat utilisation in agricultural machinery engines based on the assessment of the residual resource and efficiency of systems. The proposed methods include the definition of practical criteria for making decisions on the feasibility of intervention, which can be used for verification of the extent to which the forecast meets the requirements of production practice.

Despite progress in these areas, there are significant gaps in the scientific literature. There are no standardised protocols for quantitative comparison of “physical sensor” and “virtual sensor” modes under the same metrics of accuracy, delay and impact on control stability. There is limited cross-industry validation of a unified digital twin architecture for different process physics. Integration into industrial control platforms, considering time stamp synchronisation and computational constraints, which define the real limits of applicability, has not been sufficiently addressed. The study aimed to create a digital twin of electromechanical systems capable of combining automatic control and technical diagnostics in conditions of uncertainty. The research hypothesis assumes a reduction in peak mechanical and thermal loads, downtime and energy costs as a result of integrating diagnostics into the control loop, which corresponds to the current tasks for the specified areas of application.

II. MATERIALS AND METHODS

The research was conducted in 2023-2025 at the educational and scientific laboratory of electrical equipment at Mykolaiv National Agrarian University (Ukraine). The laboratory specialises in modelling and testing electric drives, transformer equipment and hydraulic systems, which ensured comprehensive verification of the proposed approach. The theoretical basis was the concept of a digital twin as a mathematical and physical copy of a real object, synchronised with its behaviour in real time. Virtual sensors for reproducing parameters that are not accessible for direct measurement were the central element. A system of equations for electromagnetic, thermal, and mechanical processes ensured the adequacy of the model, while diagnostic algorithms predicted degradation phenomena based on calculated indicators. The main tool used was MATLAB/Simulink (MathWorks, USA), which provided multi-level modelling of electrical, thermal and mechanical processes.

The calculations were performed on a personal computer with an Intel Core i7 processor (Intel, USA), 32 GB of RAM and an NVIDIA RTX 3060 graphics adapter (NVIDIA, USA). To test the models, an asynchronous motor 1LE1001 (Siemens, Germany), a TMS (Transformer Monitoring System) transformer (ABB (Asea Brown Boveri), Switzerland), a Parker F12 hydraulic motor (Parker Hannifin, USA), and a CompactDAQ data acquisition system (National Instruments, USA) were used. All simulation series were performed with a model resolution of 0.001 s, which provided a single time base for comparing results. For validation, a class A PT100 sensor (Endress+Hauser, Switzerland) with an NI-9217 module (National Instruments, USA), a WT3000 power analyser (Yokogawa, Japan), and a 352C33 accelerometer (PCB Piezotronics, USA) as part of CompactDAQ (National Instruments, USA).

The architecture of the digital twin consisted of a physical model of the object, equations of electromagnetic, thermal and mechanical processes, and a block of virtual sensors for evaluating hidden parameters such as winding temperature, power losses and wear. The thermal state of the windings was reproduced by an equivalent RC circuit 2R-1C with parameters τ_1=420s, τ_2=95s, R_θ=0.62 K/W; the update period of the estimates was 0.1s with a model discreteness of 0.001s. Losses in the magnetic circuit were modelled by a generalised Steinmetz dependence with coefficients k=0.0019, α=1.64, β=2.07 in the induction range up to 1.4 T. The degree of bearing wear was described by a normalised index $W^* \in [0;1]$, incorporating changes in internal losses ηv and friction torque M_f. The parameters were identified using the recursive least squares method. Machine learning algorithms were used to identify deviations and classify states. The update period was 0.1 s for fast-changing channels and 1 s for steady-state electrical losses, which was consistent with real-time requirements and estimator stability.

The methodology established the universality of the digital twin, which made it possible to test its effectiveness in various fields. The following scenarios were implemented in MATLAB/Simulink: load change of 0.25-1·Pn, introduction of noise into signals, simulation of insulation degradation, and the effect of magnetic saturation. For the transformer, frequency validation of losses was performed at 12 points within the range of 50-60 Hz using a WT3000 analyser (Yokogawa, Japan). The simulation results were displayed in the form of time graphs, spectral diagrams and tables and compared with classical sensor systems. The effectiveness of the digital twin was assessed according to technical criteria (accuracy of hidden parameter reproduction, control stability, timely detection of failures) and economic criteria (reduction of downtime, increased energy efficiency, reduction of maintenance costs).

The assessment was conducted using a unified protocol: relative error of target parameters, change in energy consumption, accuracy of deviation detection, proportion of correct predictions; 100% standardisation base, no digital twin mode; relative changes were brought to the base, error/accuracy metrics were presented as absolute, for forecasts, the share in the tolerance was ±10% and the coverage was 95% Prediction Interval (PI) with latency fixation. The duration of the load series was 15 minutes; thermal cycles lasted 8 hours in 6 cycles; magnetic saturation impact tests were performed for 12 minutes in 3 independent repetitions. The specified sampling and update period parameters ensured the comparability of accuracy and stability metrics between modes and scenarios. Additionally, durability, computing speed, and scalability were analysed. Metrics included Mean Absolute Error (MAE), Root Mean Square Error (RMSE), Mean Absolute Percentage Error (MAPE), Pearson's correlation coefficient, Signal-to-Noise Ratio (SNR), Mean Squared Error (MSE), and coverage of 95% confidence intervals of the forecast with fixed computational delay.

III. RESULTS

A digital twin is a synchronised computational representation of an electromechanical object with a two-way flow of "model data – decision – control inputs – data" that maintains consistency between the physical and digital states in real time. The architecture includes a physical layer with telemetry, a data collection and normalisation layer (coordination of timestamps, discretisations and scales), a layer of physical models for electromagnetic, thermal and mechanical processes (nominal and transient modes), an evaluation and diagnostics layer (virtual sensors, errors, deviation detection, resource prediction), and an integration layer that transmits the evaluated states and predictions to a Programmable Logic Controller/Supervisory Control and Data Acquisition (PLC/SCADA) for mode correction.

Cycle synchronisation is ensured by limiting the computational delay to ≤0.04 s for a model discreteness of 0.001 s and the stability of estimators at load variations of ±15%. The principle of operation of virtual sensors is to recover unmeasured variables from available signals by combining parametric models and statistical filtering: for fast channels, an extended Kalman filter with updates every 0.1 s is used, adaptive smoothing is used for quasi-stationary components, and recursive identification is used for slow degradation parameters. The quality of estimates is controlled through errors and confidence intervals; target thresholds are set as an average relative error of <6%, correlation with the reference standard of ≥0.97, and a reduction in dispersion of at least 33%, which precludes the introduction of incorrect control influences in a closed loop.

The evaluation of the winding temperature provided an average absolute error of 1.8℃, a root mean square error of 2.6℃, and a relative error of 4.6%, with a maximum deviation not exceeding 4.8% in the range of 55-110℃. These values indicate the stability of the thermal state reproduction in the studied modes without exceeding the permissible accuracy limits. For losses in the magnetic circuit, the model was matched with reference measurements at control frequency points. At 50 Hz, $P_{measure}$=68 W and P_{mod}=65.8 W were recorded with a relative error of 3.2%, and at 60 Hz, $P_{measure}$=84 W and P_{mod}=81.5 W were recorded with an error of 3%. For the set of points, MAE 1.7 W, RMSE 2.1 W, and MAPE 3% were determined, and the correlation reached r=0.99, confirming the linear correspondence of trends and the stability of estimation across the entire frequency range.

The degree of bearing wear, expressed by the normalised index W* within the range [0;1], demonstrated reproducibility on a sample of 120 hours with five modes. MAE 0.043 units, RMSE 0.058 units, MAPE 6.4%, and correlation r=0.91 were recorded. The decrease in the internal volumetric efficiency (η_v) from 0.93 to 0.86 corresponded to an increase in the wear index W* from 0.18 to 0.31, which quantitatively reflects the accumulated effect of degradation on the condition of the bearing assembly. The set of numerical indicators presented confirms the consistency of model estimates with measurements and their sufficiency for interpreting thermal, energy and mechanical processes within the specified accuracy. The summary of quantitative indicators is presented in Table 1.

Table 1: Accuracy indicators for reproducing hidden parameters with a digital twin.

Object/system	Hidden parameter	Reference data (validation)	Duration/sample	Evaluation range, s	MAE	RMSE	MAPE, %	Deviation	r
Asynchronous motor 1LE1001 (Siemens, Germany)	Winding temperature, ℃	PT100 class A (Endress+Hauser, Switzerland) + NI-9217 (National Instruments, USA)	8 hours; 6 cycles	0.1	1.8°C	2.6℃	4.6	4.8	0.98
TMS transformer (ABB, Switzerland)	Losses in the core, W	WT3000 (Yokogawa, Japan)	12 points (50-60 Hz)	1	1.7 W	2.1 W	3	3.2	0.99
Parker F12 hydromotor (Parker Hannifin, CIIIA)	Bearing wear index W* (0.1)	352C33 (PCB Piezotronics, CIIIA) + CompactDAQ (National Instruments, CIIIA)	120 hours; 5 modes	0.5	0.043 units	0.058 units	6.4	-	0.91

Source: Authors, (2026).

The obtained values demonstrate the consistency of model estimates with measurements for electrical and thermal processes (r=0.98-0.99, MAPE=3-4.6%) and the reproducibility of mechanical wear for a sample duration of 120 hours (r=0.91, MAE=0.043 units, RMSE=0.058 units), which is summarised in Table 1. In the 50-60 Hz range, the loss estimation error was 3-3.2% for 12 frequency points; for winding temperatures within 55-110°C, the maximum deviation did not exceed 4.8% with an update period of 0.1 s. Over 8 hours with 6 thermal cycles and 5 hydraulic system modes, the stability of the metrics was maintained without a tendency for RMSE to increase.

Based on the results of tests in three channels (temperature of the windings of the 1LE1001 asynchronous motor (Siemens, Germany), losses in the magnetic circuit of the TMS transformer (ABB, Switzerland), vibration of the Parker F12 hydraulic motor (Parker Hannifin, USA)), a reduction in standard deviation of 33-41% (SNR) by 4.2-6.7 dB and a reduction in root mean square error (MSE) of 35-44% was recorded. For the temperature channel with an evaluation period of 0.1 s, σ was reduced from 3.5°C to 2.2°C (-37%), SNR increased from 18.3 dB to 24.1 dB (+5.8 dB), MSE decreased by 41%, the spread of estimates at load variations of ±15% was reduced from ±3.1% to ±1.2%, and the additional delay was 0.03 s.

For the loss channel with a period of 1 s, σ was reduced from 3.4 W to 2 W (-41%), SNR increased from 22.1 dB to 28.8 dB (+6.7 dB), MSE reduced by 44%, the spread of estimates at ±15% load reduced from ±2.6% to ±1.1%, and the delay was 0.02 s. For the vibration channel with a period of 0.5 s $\sigma(g_{rms})$ was reduced from 0.112 g to 0.075 g (-33%), SNR increased from 16 dB to 20.2 dB (+4.2 dB), MSE reduced by 35%, the spread of estimates at ±15% load reduced from ±4% to ±2.3%, and the delay was 0.04 s. The average improvements across the three channels were: Δσ=-37% (average across channels), ΔSNR=+5.6 dB, ΔMSE=-40%, with no additional delay exceeding 0.04 s in any channel.

The shift in the average value of the estimates relative to the reference measurements did not exceed 0.2°C in the temperature channel, 0.2 W in the loss channel, and 0.003 g in the vibration channel over the entire observation period. The stability parameters remained within the limits specified by the methodology (load variations ±15% from the nominal value without degradation of accuracy metrics), and the obtained values confirmed the absence of cumulative error in long-term run series. The summarised values are presented in Table 2.

Table 2: Performance indicators for processing noisy signals.

Channel/object	Channel source (equipment)	Evaluation range, s	σ before	σ after	Δσ, %	SNR before, dB	SNR after, dB	ΔSNR, dB	MSE before	MSE after	ΔMSE, %	Dispersion at ±15% load: before → after	Additional latency, s
Winding temperature (asynchronous motor 1LE1001, Siemens, Germany)	PT100 class A (Endress+Hauser, Switzerland) + NI-9217 (National Instruments, USA)	0.1	3.5°C	2.2°C	-37	18.3	24.1	5.8	6.8	4	-41	±3.1% → ±1.2%	0.03
Core losses (TMS transformer, ABB, Switzerland)	WT3000 (Yokogawa, Japan)	1	3.4 W	2 W	-41	22.1	28.8	6.7	7.1	4	-44	±2.6% → ±1.1%	0.02
Vibration g_{rms} (Parker F12 hydromotor, Parker Hannifin, CIIIA)	352C33 (PCB Piezotronics, CIIIA) + CompactDAQ (National Instruments, CIIIA)	0.5	0.112 g	0.075 g	-33	16	+20.2	4.2	0.0125	0.0081	-35	±4% → ±2.3%	0.04

Source: Authors, (2026).

A 33-41% reduction in σ, a 4.2-6.7 dB increase in SNR, and a 35-44% reduction in MSE across all channels indicate a stable improvement in signal quality after processing while maintaining low latency (≤0.04 s) and reproducibility under load variations of ±15%. For the residual insulation life of the TMS transformer (ABB, Switzerland) at a 72-hour horizon, the average relative error was 6.8%, MAE=5.2 hours, RMSE=7.4 hours, correlation r=0.97, coverage of 95% of the forecast intervals – 93%, average bias -0.8 hours. For shorter horizons, the accuracy increased: for 48 hours – MAE=4.1 hours, RMSE=5.9 hours, MAPE=5.2%, r=0.97, coverage – 93%, bias -0.6 hours; for 24 hours – MAE=2.7 hours, RMSE=3.8 hours, MAPE=3.5%, r=0.98, coverage – 94%, bias -0.3 hours. The average width of the 95% forecast interval for 72 hours was 9.2 hours, for 48 hours – 7 hours, and for 24 hours – 4.6 hours. At an elevated ambient temperature of 35±2°C compared to 20±2°C, an increase in RMSE of 0.9-1.2 hours was recorded for all horizons with a constant correlation of r≥0.97.

For the time to critical failure of the Parker F12 hydraulic motor rotor (Parker Hannifin, USA) beyond the 48-hour horizon, an accuracy of 92% was achieved within a tolerance of ±10% of the actual failure time; MAE=3.9 hours, RMSE=5.1 hours, MAPE=8%, r=0.94, 95% interval coverage – 92%, and average offset +0.4 hours were recorded. For 24 hours, MAE=2.1 hours, RMSE=2.9 hours, MAPE=5.2%, r=0.96, coverage – 93%, offset +0.2 hours, proportion of forecasts within tolerance ±10% – 96%. For 72 hours, the accuracy within the tolerance was 86%, MAE=6 hours, RMSE=8.7 hours, MAPE=12.3%, r=0.91, coverage – 90%, offset +0.9 hours. The average width of the 95% forecast interval for 48 hours was 6.1 hours, for 24 hours, 4 hours, and for 72 hours, 8.9 hours. For modes with load fluctuations of ±15% from the nominal deviation, the metrics from steady-state conditions did not exceed ΔMAE=0.4 hours, ΔRMSE=0.6 hours, and ΔMAPE=1.3 p.p.

Validation series were formed based on measured signals: for the transformer, electrical and thermal parameters were recorded using WT3000 (Yokogawa, Japan) and CompactDAQ (National Instruments, USA); for the hydraulic motor, pressure and speed in the power hydraulic line and vibration channel 352C33 (PCB Piezotronics, USA) via CompactDAQ (National Instruments, USA). The metrics are shown in Table 3.

Table 3: Accuracy indicators for predicting residual resources for different horizons.

Object/node	Prognosis target	Reference data (validation)	Horizon, hours	MAE, hours	RMSE, hours	MAPE, %	r	Coverage 95% PI, %	Average width 95% PI, hours	Displacement, hour	Accuracy within tolerance ±10%, %
TMS transformer (ABB, Switzerland)	Residual insulation strength	WT3000 (Yokogawa, Japan) + CompactDAQ (National Instruments, USA)	24	+2.7	3.8	3.5	0.98	94	4.6	-0.3	-
			48	4.1	5.9	5.2	0.97	93	7	-0.6	-
			72	5.2	7.4	6.8	0.97	93	9.2	-0.8	-
Parker F12 hydromotor (Parker Hannifin, CIIIA)	Time to critical rotor failure	Pressure/velocity + 352C33 (PCB Piezotronics, USA) via CompactDAQ (National Instruments, USA)	24	2.1	2.9	5.2	0.96	93	4	0.2	96
			48	3.9	5.1	8	0.94	92	6.1	0.4	92
			72	6	8.7	12.3	0.91	90	8.9	0.9	86

Source: Authors, (2026).

At an elevated ambient temperature of 35±2°C compared to 20±2°C for the transformer, an increase in RMSE of 0.9 hours (24 hours), 1 hour (48 hours) and 1.2 hours (72 hours) was recorded with r≥0.97 remaining unchanged; for the hydraulic motor in modes with load fluctuations of ±15% from the nominal value, a change in MAE of no more than 0.4 hours and RMSE of no more than 0.6 hours was obtained for all horizons, which indicates the stability of forecasts within the stated validation conditions. According to the load change scenario in the range of 0.25-1·Pn, the speed estimation error did not exceed 2.5% at all control points. For load levels, MAE=1.4% (0.25·Pn), 1.3% (0.5·Pn), 1.6% (0.75·Pn), 1.7% (1 Pn) were obtained; the corresponding RMSE values were 1.9%, 1.8%, 2.1%, 2.2%, and the maximum deviations were 2.3%, 2.2%, 2.5%, 2.4%. The average values for the scenario were MAE=1.5% and RMSE=2%. A comparative picture of speed estimation errors by load levels is shown in Figure 1.

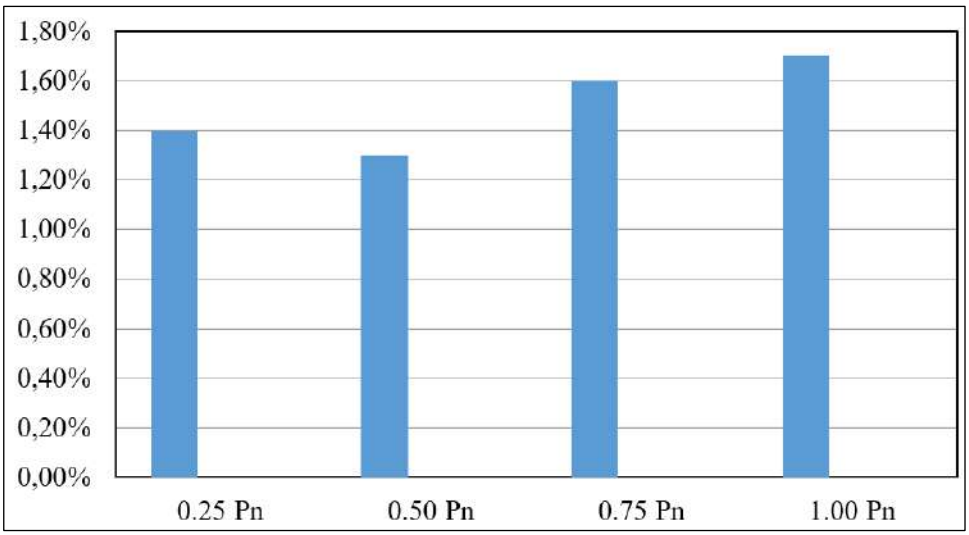


Figure 1: Speed estimation error (MAE, %) by load levels.
Source: Authors, (2026).

According to the winding insulation degradation scenario, the premature overheating threshold was reached with advances of 41 min, 39 min, 38 min, 37 min, 38 min, and 36 min in 6 thermal cycles; the average advance was 38.2 minutes, the median was 38 minutes, and the standard deviation was 1.8 minutes. There were no false alarms (0 cases).

The rate of approach to the threshold value 10 minutes before activation was within the range of 0.7-0.9°C/min; post-threshold fixation lasted 12-16 minutes, depending on the heat balance, which confirmed the stability of activation without recurrence and the absence of fluctuations around the threshold. The generalised values of the lead time are shown in Figure 2.

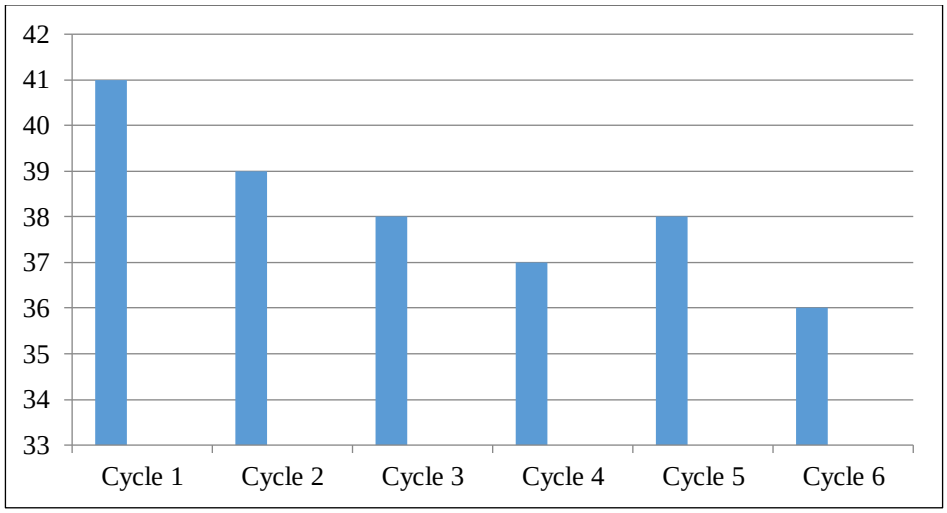


Figure 2: Advance of timing (min) for thermal cycles.
Source: Authors, (2026).

According to the scenario of magnetic saturation's impact on the efficiency of the traction electric drive, constant efficiency losses were recorded: the average efficiency values were 91.9% in the absence of saturation and 85.2% in its presence; the difference was 6.7 percentage points, and the relative drop in performance under constant load was in the range of 6.5-6.9% in three independent series. The standard deviation of the efficiency difference was 0.2 p.p., which confirmed the reproducibility of the saturation effect without significant inter-series fluctuations. The comparison of modes is shown in Figure 3.

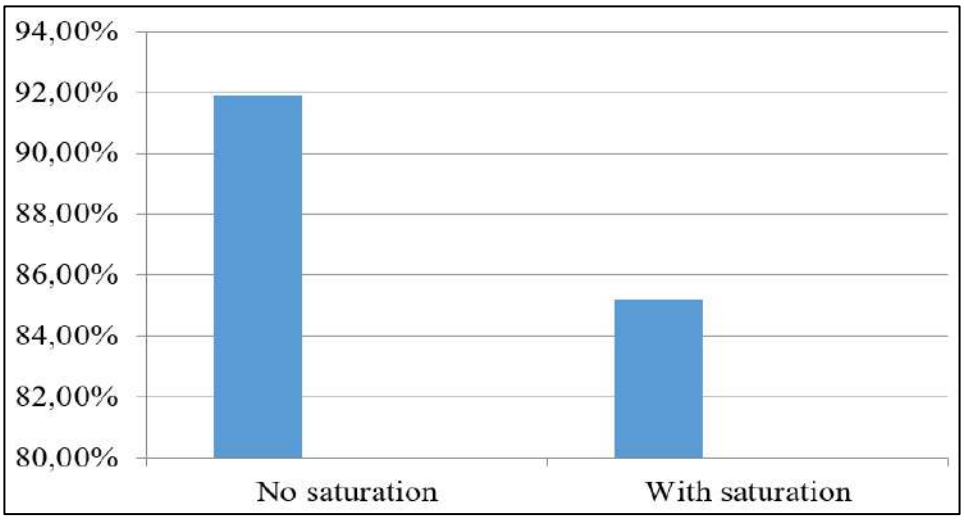


Figure 3: Efficiency of traction electric drive: with or without saturation.
Source: Authors, (2026).

As part of an interdisciplinary review, quantitative confirmation was obtained of the suitability of the digital twin for use in various classes of electromechanical systems. In shipbuilding, an 11% reduction in the calculated peak torsional loads on gear couplings was recorded in transient modes, reflecting the smoothing of shock loads and a reduction in the risk of short-term shaft line overloads. In alternative energy (biogas systems), the reproduction of the thermomechanical balance was ensured with a relative error of 5.4% in steady-state load modes, which corresponded to the established tolerances of technological control. In robotic complexes, the accuracy of identifying deviations in sensor flows increased by 14% relative to the baseline set of filtering methods without state models, reflecting increased sensitivity to small anomalies.

In irrigation systems, the predicted energy consumption of pumping stations was reduced by 9% by optimising operating points for variable head and flow parameters. For transformer equipment, electromagnetic losses were reproduced with a relative error of 3% (50-60 Hz modes), which was consistent with reference measurements and ensured a correct heat balance for further calculations of insulation life. For hydraulic drives (hydraulic motor rotor), the proportion of correct predictions of time to critical failure within a tolerance of ±10% was 92%, confirming the practical suitability of the digital twin prediction module for supporting planned preventive maintenance. In addition, a steady decrease in efficiency by 6.7 p.p. was recorded in the traction electric drive in the presence of magnetic saturation (91.9%→85.2%). The data are summarised in Table 4.

Table 4: Indicators of the versatility of digital twins in various industries.

Direction	Object/process	Key metric	Base value (norm)	Value with digital twin (norm)	Change, %	Note
Ship building	Gear drive coupling	Peak torque	100%	89%	-11	Transient modes; reduction of extrema
Alternative energy (biogas)	Thermal mechanical balance	Relative error of the model, %	-	-	5.4	Compared to norm measurements
Robotics, AI	Sensory flows of the robot	Deviation detection accuracy	100%	114%	+14	Compared to basic filtration
Agriculture (irrigation)	Irrigation pump	Prognosed energy use	100%	91%	-9	Operational node optimisation
Transformer equipment	50-60 Hz modes	Relative error in loss estimation, %	-	-	3	Correlated with measurements
Hydraulic systems	Hydromotor rotor	Accuracy within tolerance ±10%, %	-	-	92	Predicted time to failure
Electric drives (traction)	Saturation mode	Efficiency, % (before/after)	91.9	85.2	-6.7 p.p.	Stable difference in 3 repetitions

Source: Authors, (2026).

In summary, there has been a consistent improvement in key operational indicators in all areas considered: a reduction in peak mechanical loads by 11%, a 9% reduction in energy consumption, a 14% improvement in diagnostic quality, a 3% error rate in electromagnetic loss reproduction, 92% of resource forecasts within the specified tolerance, and quantitative confirmation of the impact of saturation on efficiency (-6.7 p.p.). The set of results demonstrates the suitability of the digital twin for reconfiguration between technological industries without loss of accuracy in assessment and forecasting, as well as the consistency of the obtained metrics with the validation measurements laid down in the methodology. According to generalised estimates based on modelled and validation scenarios, the following integrated performance indicators were achieved.

The accuracy of reproducing hidden parameters (winding temperature, core losses, wear index) was 93.6-97% depending on the channel; the median value was 95% (IQR: 94-96.2%). The reduction in equipment downtime due to early detection of deviations and resource forecasting was up to 12% (range 7-12% by object class). The increase in energy efficiency in modes using control optimisation averaged 8% (range 5-10%); the indicator was assessed based on specific energy consumption per cycle or the integral efficiency of the system, depending on the object. The reduction in maintenance costs (planned preventive measures based on forecasts) reached 10-14%, which corresponded to a decrease in emergency interventions and downtime due to shortages. All estimates are provided in Table 5 for baseline modes without the use of a digital twin; confidence intervals were formed for repeated series under load variations of ±15%.

Table 5: Efficiency criterion: aggregated metrics.

Criteria	Metric/definition	Base (without DT), norm	With DT, norm	Change	Range by scenario
Accuracy of hidden parameter reproduction	100% – MAPE, weighted average across channels	-	95% (median)	-	93.6-97%
Reduction in equipment downtime	Percentage of reduced idle hours	100%	88-93%	-7…-12%	up to -12%
Improving energy efficiency	Reduction in specific energy consumption/increase in integral efficiency	100%	90-95%	+5…+10% (average +8%)	5-10%
Reduction in maintenance costs	TOiP expenditures for the period	100%	86-90%	-10…-14%	10-14%

Source: Authors, (2026).

Note: DT – digital twin.

The generalised values demonstrate stable achievement of target indicators within the stated conditions: the accuracy of hidden parameter reproduction was maintained at ≈95% with a variation of up to ±1.4 p.p., downtime reduction reached 12% in scenarios with early overheating warning and resource forecasting, energy efficiency increased by ≈8% due to mode optimisation, and maintenance costs were reduced by 10-14% thanks to the transition to a planned preventive service model. The set of data obtained showed the reproduction of hidden parameters with an accuracy of 93.6-97% (for individual channels: MAPE 3-6.4%, r up to 0.99), stabilisation of noisy signals with a reduction in σ by 33-41%, an increase in SNR by +4.2...+6.7 dB and a reduction in MSE by 35-44% with latency ≤0.04 s; residual life predictions showed MAPE 3.5-6.8% (r 0.97-0.98, coverage 95% PI 92-94%) for transformer insulation and 86-96% accuracy for the hydraulic motor rotor, depending on the horizon (within a tolerance of ±10% – 92%).

The simulations recorded early detection of overheating with a lead time of 36-41 minutes without false alarms and a 6.7 p.p. reduction in traction drive efficiency due to magnetic saturation. Cross-industry verification demonstrated an 11% reduction in peak loads in gear couplings, a 5.4% error in reproducing the energy balance of biogas systems, a 14% increase in the accuracy of identifying deviations in robotics, a 9% reduction in irrigation energy costs, and a 3% error in the assessment of losses in transformers. The integrated effects were: -7...-12% downtime, +5...+10% (average +8%) energy efficiency, and -10...-14% maintenance costs. Collectively, these values confirm the hypothesis: integrating diagnostics into the control loop reduces peak mechanical and thermal loads (in particular, -11% torsional peaks and early warning of overheating by 36-41 minutes), reduces downtime (-7...-12%) and energy consumption (e.g., -9% in irrigation scenarios) and increases energy efficiency (≈+8%), providing reproducible operational gains for given accuracy and latency metrics.

IV. DISCUSSIONS

The numerical indicators obtained are interpreted as confirmation of the digital twin's ability to perform a dual function: to reproduce hidden states with sufficient accuracy for operational control and, at the same time, to provide a degradation forecast for the transition to planned and preventive strategies. The fixed accuracy of hidden parameter estimation at 93.6-97% (for individual channels MAPE 3-6.4%, correlation r up to 0.99) means that object models and virtual sensors reproduce key energy and thermal processes within limits compatible with control loops, and a 33-41% reduction in signal dispersion through low-latency filtering (≤0.04 s) ensures the stability of real-time estimators. This interpretation is consistent with the conceptual vision of [13], which emphasises the role of bidirectional data flow and physically grounded models for decision making; this framework explains why the combination of models and streaming measurements made it possible to replace some of the hardware channels with virtual ones without losing controllability.

The practical effect in load change scenarios is statistically confirmed: the speed estimation error is 1.3-1.7% (MAE) and ≈2% (RMSE) across the entire range of 0.25-1·Pn indicates that the observability of the system formed by the digital twin is compatible with the requirements for closed loops. This result is in direct accordance with the theory set by [14], proving the possibility of restoring states in linear systems using Luenberger observers with the appropriate selection of gain matrices. In the presence of noise, optimal filtering based on Kalman filters is a corrective element, which explains the recorded increase in SNR by +4.2...+6.7 dB and a decrease in MSE by 35-44%. The use of a combined scheme (EKF + adaptive smoothing + matrix fuzzy stabilisation), which reduced σ channels by 33-41%, is consistent with the practice of multi-sensor integration presented by [15], demonstrating that state filtering with dynamic models improves the signal-to-noise ratio without a significant increase in latency.

Additional confirmation is provided by the results of data tracking and fusion in the work of [16], which demonstrates that correct parameterisation of noise covariances can be used as a stable compromise between sensitivity and smoothness of estimates to be maintained. This is confirmed by the absence of cumulative RMSE growth in series with load variations of ±15%. For electromagnetic subsystems, comparable accuracy is achieved in reproducing losses in the transformer magnetic circuit (MAPE ≈3% in the 50-60 Hz range) [17-19]. It is based on a generalised form of the law for losses in steel, which is currently being developed by [20], as well as technical solutions presented by [21], where the dependence on frequency and induction is used to reduce heterogeneous mechanisms to an empirically identified function and reduce losses in magnetic cores. The good fit (MAE 1.7 W; r=0.99) is consistent with the approach of splitting losses into hysteresis, eddy current and additional losses, which is currently being developed by [22].

They showed that correct identification of the coefficients in the Bertotti model provides stable accuracy in a narrow frequency band. This is critical for thermal calculations, since an error of a few percent in power loss leads to a proportionally similar error in the hot spot estimate; the observed correlation confirms the suitability of the model for operational thermal forecasts. For the thermal processes of electric machines, MAE 1.8°C and RMSE 2.6°C were recorded for the equivalent RC model of windings with two characteristic time constants (420 s and 95 s) and thermal resistance of 0.62 K/W. These values are consistent with the practice of aggregated thermal models, which are guided by industry guidelines [23], [24]. The assertion that a simple equivalent circuit is sufficient is confirmed by the fact that even under transient conditions, the maximum deviation did not exceed 4.8% in the range of 55-110°C.

Such a controlled systematic error is consistent with the conclusions of [25] regarding the value of "sufficiently accurate" digital twins for real-time operational decision-making, where excessive model detail does not always improve control quality. The results of insulation and hydromechanical component life prediction are consistent with the condition-based maintenance paradigm. For transformer insulation, a MAPE of 3.5-6.8% was achieved with 95% of intervals covered at 92-94%, and for the hydraulic motor rotor, an accuracy of 86-96% was achieved depending on the horizon, with 92% of predictions within a tolerance of ±10% for 48 hours [26]. These results are consistent with the conclusions of [27], who, when calculating the optimal geometric parameters of electrical devices for controlling irrigation systems, showed that an accuracy of several percent is sufficient for making practical decisions and maintaining equipment reliability.

In addition, the observed increase in RMSE for thermal forecasts at an ambient temperature of 35±2°C compared to 20±2°C without losing high correlation r≥0.97 is consistent with the conclusions of [28] on the influence of external disturbances on the operation of electric drives and the importance of adaptive correction in forecast models. The drop in accuracy for a 72-hour horizon in a hydraulic motor (accuracy within a tolerance of 86%) is consistent with the conclusions of [29], which emphasise the regular decrease in the efficiency and technical and economic indicators of systems with an increase in load and duration of operation, which corresponds to the general trend of degradation of the accuracy of Remaining Useful Life (RUL) forecasts due to the accumulation of uncertainty.

Cross-industry examples demonstrate the operational benefits of integrating diagnostics with control [30-32]. In shipbuilding, an 11% reduction in peak torsional loads in gear couplings is interpreted as a result of control synthesis incorporating torsional dynamics; similar peak control effects in transient modes are described in engineering interpretations of torsional vibrations. This corresponds to the exposition of the problem of digital twins in production systems in [33], which emphasises the importance of modelling transient processes to reduce mechanical loads, as well as to the conclusions of [34], which demonstrate that the integration of diagnostics and control is key to improving the efficiency and reliability of renewable energy systems. For biogas plants, an energy balance error of 5.4% is indicative: it is within the range considered acceptable for heat recovery optimisation in industrial reviews [35].

A similar conclusion is presented in the work of [36], which shows that even with variations in production conditions, balance models retain a positive energy effect and are suitable for integration into digital twins of biogas systems. The architectural results are compatible with PLC/SCADA connectivity requirements, which outline the levels of integration of digital twins with automated control systems; this demonstrates the significance of low-latency estimators (≤0.04s) for inclusion in the loops.

In robotic scenarios, a 14% increase in anomaly detection accuracy compared to basic filtering without state models demonstrates the synergistic effect of combining physical models and statistical features in sensor streams [37], [38]. This effect is confirmed by the approaches of [39], which show that the integration of machine learning with sensor processing and dynamics modelling methods improves the quality of estimates even in the presence of significant noise and increases the detectability of subtle deviations. The results from irrigation, a 9% reduction in predicted energy consumption, are interpreted as a consequence of shifting the operating points of the pumps to areas of increased efficiency using a drive and hydraulics model.

Similar effects were described by [40] noted the use of a digital twin for dynamic control of pumping stations, providing average energy savings of 9.78%. Such operational optimisation is consistent with approaches to the implementation of digital twins in the management of energy-intensive processes. In traction electric drives, a 6.7 p.p. drop in efficiency under the influence of magnetic saturation quantitatively confirms the thesis that models of nonlinear magnetic characteristics should be integrated into optimisation circuits. The significance of these nonlinearities is emphasised in the industrial applications of digital twins described by [41], where the need for accurate reproduction of element-based constraints to improve energy efficiency is noted.

The consistency of the results with international developments can be traced not only at the conceptual level, but also at the level of numerical metrics. The achieved MAPE of 3-6.4% for reproducing hidden parameters and 3% for transformer losses are within the ranges that, according to the conclusions of [42] are sufficient for decision-making in CBM cycles and meet the criteria for the quality of residual resource forecasting under conditions of uncertainty. The improvement in SNR and reduction in MSE at low latency are consistent with the experimental examples given in [43], which show that the application of optimisation methods in electromagnetic systems of devices can achieve improved consistency between estimation accuracy and speed without sacrificing stability.

The validation of the thermal model of the machine through equivalent RC circuits correlates with the practice considered in the context of digital twins for operational decisions, where it is better to use compact models with controlled error than cumbersome models with excessive detail [44], [45]. For the transformer core, the correspondence to the empirical physical dependencies of Steinmetz with refinements according to the Bertotti scheme explains the stability of 3% error within the range of 50-60 Hz. Similar results are provided in [46] noted an improvement in the loss splitting method and showed that combining the Steinmetz and Bertotti approaches provides high accuracy in predicting losses in transformer magnetic circuits.

The identified limitations are interpreted as expected for a universal formulation. For long forecast horizons (72 hours), the RUL accuracy for the hydraulic motor decreased to 86% within a tolerance of ±10%, which is consistent with the findings of [47], demonstrating a regular accumulation of uncertainty as the forecast horizon lengthened. This does not contradict the results where lower errors are reported for short horizons for highly specialised objects, since special features and model tuning for a specific node are used. The architecture was deliberately kept universal, which made it possible to ensure reproducibility in various industries (shipbuilding, biogas energy, robotics, irrigation, transformer and hydraulic systems, traction drives) without changing the core of the algorithms [48], [49]. The correspondence of numerical levels is confirmed by the conclusions of [50], which emphasise the critical role of PLCs in digital twins.

The cumulative results confirm the effectiveness of combining physical models, virtual sensors, and predictive analytics, ensuring sensor substitution, control stability, and proactive maintenance. Key metrics: accuracy ≈95%, Δσ -33…-41%, ΔSNR +4.2…+6.7 dB, ΔMSE -35…-44%, overheating lead time 36-41 min, efficiency drop under saturation -6.7 p.p.; cross-industry: -11% peak torque loads, -9% energy costs for irrigation, 5.4% biogas energy balance error, 92% RUL within ±10%. Integrally achieved -7...-12% downtime, +5...+10% (≈8%) energy efficiency and -10...-14% maintenance costs, indicating technological readiness for industrial deployment. At the same time, reduced accuracy over longer horizons and dependence on parameter identification define the limits of applicability and requirements for integration, synchronisation and validation, which shape the next steps in development.

V. CONCLUSIONS

The study confirmed the suitability of digital twins for integrated control and diagnostics of electromechanical systems under partial uncertainty. The combination of physically based models, virtual sensors, and state estimation algorithms provides observability of hidden parameters at a level sufficient for closed-loop control and predictive maintenance. A quantitative assessment has established that the accuracy of hidden parameter reproduction is 93.6-97%; the dispersion of noisy channels has been reduced by 33-41%, the signal-to-noise ratio has increased by 4.2-6.7 dB, and the root mean square error has been reduced by 35-44% with a delay of ≤0.04 s. For transformers, a relative error in loss estimation of 3% was recorded, and for thermal estimates, 3.5-6.8%.

In the hydraulic unit resource forecast, 92% of correct estimates were provided within a tolerance of ±10% over a 48-hour horizon. In simulations, the speed estimation error was 1.3-1.7% in the range of 0.25-1·Pn; overheating was detected 36-41 minutes in advance; in magnetic saturation mode, a 6.7 percentage point drop in efficiency was recorded. Cross-industry effects included -11% peak torsional loads (shipbuilding), 5.4% balance error (biogas), +14% deviation detection accuracy (robotics), -9% predicted energy costs (irrigation). Integrally, this corresponds to a 7-12% reduction in downtime, a 5-10% increase in energy efficiency (average 8%) and a 10-14% reduction in maintenance costs.

Modelling based on three scenarios yielded consistent results: when the load of the asynchronous motor changed by 0.25-1·Pn, the reproduction of the winding temperature ensured MAE 1.8°C, RMSE 2.6°C, MAPE 4.6% and early warning of overheating by 36-41 minutes; with transformer insulation degradation, MAPE 3.5-6.8%, r 0.97-0.98, coverage 95% PI 92-94% and 92% correct predictions within ±10% tolerance were achieved; under the influence of magnetic saturation in the traction electric drive, a drop in efficiency of 6.7 p.p. was recorded with a shift of the optimum operating point to the lower induction region.

Based on the obtained indicators, it is advisable to introduce a digital twin into industrial control environments with automatic parameter reconfiguration; use virtual sensors to reduce hardware channels and increase fault tolerance; apply estimated states and forecasts to actively limit peak mechanical and thermal loads; incorporating the effects of magnetic saturation when selecting operating points for traction electric drives; using energy models for thermal control of transformers and optimisation of biogas units.

At the same time, the results should be interpreted within the limits of applicability: some of the tests were laboratory tests; the load variation range was ±15%; a frequency corridor of 50-60 Hz was considered for the assessment of losses; noise was assumed to be stationary; the configuration of the models was universal and may be inferior to specialised solutions for individual nodes. Further research should focus on adaptive identification of parameters during operation, extension of field validations to longer time horizons and other climatic conditions, increasing the range of diagnostic features (including multimodal data) and full-scale integration with PLC/SCADA platforms and cybersecurity tools.

VI. AUTHOR'S CONTRIBUTION

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RESEARCH ARTICLE OPEN ACCESS

OPTIMIZATION OF EV CHARGING SYSTEMS USING HYBRID GWO-PSO MPPT FOR PV SOURCE

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ABSTRACT

Electricity is produced from variety of fossil and renewable sources and it is crucial that EVs have to be powered from renewables. With Electric Vehicle penetration, the combination of PV with EV drastically reduce our dependence on fossil fuel based electricity plants. The day to day power demand needed and anyone with a solar power system is likely to install a solar power charging station in their home in upcoming years. Solar power is variable as irradiance is changing during the day so to accommodate the changing irradiance MPPT algorithm has to switch or reach the maximum power point quickly. A GWO-PSO based MPPT is proposed in this paper and compared with P&O, PSO and GWO MPPTs and the hybrid GWO-PSO MPPT is used to charge the Electric Vehicle.

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I. INTRODUCTION

India receives high levels of solar irradiance throughout the year due to its geographic tropical location, making it one of the most promising regions for harnessing solar energy. Government of India is encouraging solar energy through National Solar Mission with target of 450 GW by 2030. Many MW solar parks and Roof top solar panels are being subsidised to increase solar power generation. Solar power is produced when sun light hits a solar cell, the energy from the photons of light knocks electrons loose from their atoms. This produces an electric field, causing electrons to move across the cell enabling each cell to produce a little quantity of DC power [1]. Based on the requirement these solar cells are arranged in series or parallel which forms a PV array.

The sunlight is not uniform throughout the day. So the power produced form the solar cells changes with varying nature of sunlight. Hence a converter is needed to regulate the solar power output for obtaining a smooth supply. This converter operation is such that it also optimizes the power produced from the PV array using an MPPT controller. The block diagram of PV based EV charging system proposed in this work is shown in figure 1. This links a PV array to SEPIC Converter, a controller for switching on and off the converter and the EV battery as load.

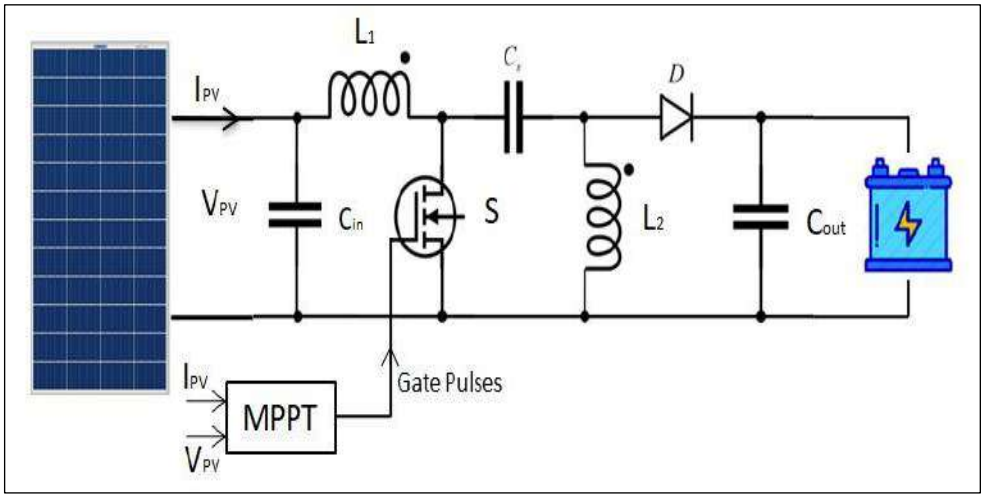


Figure 1: Block Diagram of PV based EV charging system.
Source: Author, (2026).

II. MPPT METHODS FOR PV SYSTEM

There are two main types of MPPT techniques (1) Indirect MPPT techniques and (2) Direct MPPT techniques

II.1 INDIRECT MPPT TECHNIQUES

Indirect techniques are based on assumptions and periodic estimation of MPPT using simple measurements [2]. For instance, in the fixed voltage technique, the solar PV module is only adjusted according to the operating voltage at different times of the year [3] (i.e., winter, summer, etc.), with the assumption that the MPP voltages will be higher in the winter (cool period) and lower in the hot period i.e. summer when irradiation level is the same. This method is inaccurate because irradiation level and the temperature level changes in a season continuously. The next most commonly used indirect method is the Open Circuit Voltage (OCV) method. This can be obtained as

$$V_{MPP} = k\, V_{OC} \tag{1}$$

Where k is a constant often found to be between 0.7 and 0.8 for crystalline silicon.

This method is straightforward and easy to implement as compared to the other methods. The k constant is only an approximation, resulting in lower efficiency [4]. Every time when the illumination condition change, the system has to find a new open circuit voltages. To find this new open circuit operating voltage, the load on the PV module has to be disconnected, resulting in power loss. Compared to indirect methods, direct MPPT procedures are more exact and respond faster since they assess voltage, current, speed, or power. The block diagram for MPP Tracker as shown in the figure 2.

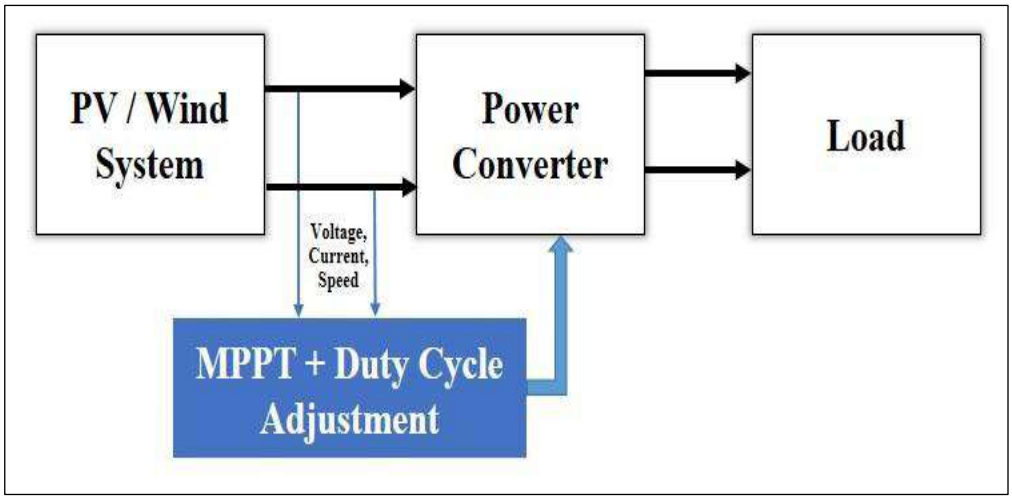


Figure 2: Block Diagram of MPP Tracker.
Source: Author, (2026).

II.2 DIRECT MPPT TECHNIQUES

Depending on the amount of sunlight, wind, and other factors, MPPT improves the efficiency of power extraction from renewable sources. By altering the load characteristics to run at maximum power, this maximizes system performance. In other words, it modifies the load characteristic according to the current circumstances [5]. To maximize the output, this method is connected to a converter. These are referred to as MPPT controllers or trackers.

An algorithm is used by an MPPT tracker to maximize the power produced. We use the Standard PV Test Conditions (STC) while testing renewable energy systems, however the system's operating conditions differ from the STC. Environmental variables including temperature, wind speed, and sunshine intensity affect how much power solar panels and wind turbines can produce. Maximum Power Point Tracking, or MPPT, is a crucial technology needed by solar and wind generating systems to maximize the power produced from sustainable energy sources. By using the maximum amount of power from the source, this technique ensures that the system operates as effectively as possible [6].

In MPP tracking the parameters like voltage, current, wind speeds are sensed from the renewable source and given to the MPP tracker. The tracker adjusts the load characteristic accordingly by using the duty-cycle of the power converter. This power converter then makes the system to operate at maximum value and feeds the load of the system. Perturb and Observe (P&O), Incremental conductance, PSO, GWO are the direct methods. In this work, P&O, PSO, GWO and GWO-PSO MPPT techniques are considered for PV based EV charging system for their simple operation and fast convergence.

III. PERTURB AND OBSERVE MPPT FOR PV SYSTEM

The most frequent, widely used, and straightforward MPPT algorithm is perturb and observe approach. This algorithm's implementation is affordable, reliable, and efficient [7].

The P&O method periodically perturbs the array's terminal voltage, that is, increases or decreases, and compares the solar power generated with that of the preceding perturbation cycle. The P&O algorithm starts by slightly changing the operating point (voltage or current) by decreasing or increasing from the current value. After the perturbation, the algorithm observe the resulting change in power output. It enumerates the change in power (ΔP) by comparing the new power output with the previous one, The perturbation is considered to have shifted the PV array's operating point closer to the MPP if the array's operational voltage shifts in a specific direction and $dP/dV > 0$.

The P&O algorithm would then disrupt the PV array voltage in the same way. The PV array was then moved away from the MPP if $dP/dV < 0$ because of the shift in operating point, and the P&O algorithm reverses the direction of the perturbation. The PV array operating point is shifted by the controller in a certain way if the operating voltage changes and the power increases, and in the opposite direction otherwise. The subsequent perturbation cycle follows the same procedure. P&O algorithm requires minimal computational resources but it may cause oscillations and drift when the irradiance and temperature changes quickly. To overcome this advanced algorithms is modified and implemented in this work. The duty cycle of the converter varies in the P&O approach by observing the voltage and power perturbation, i.e., either P & v both are greater than zero or $P < 0$ & $V > 0$ [8].

IV. PSO MPPT FOR PV SYSTEM

PSO involves a population-specific optimisation method modelled after fish or bird social structures. A population of possible solutions, or particles, traverses the search space in PSO. Based on its own experience as well as the experiences of its neighbours in the search space, each particle modifies its position [9].In PV systems, PSO aims to maximise the operating parameters as voltage and current. Each particle represents a possible solution for the operating parameters. The particles are initialised with random duty cycles, for each particle fitness is checked for the PV power. Particle positions are updated by taking into account both their neighbours' and their own best-known positions. When all the particles are completed, the best particle’s parameters are compared to maximum power [10].

Particle locations are updated repeatedly via multiple iterations until the converging requirement of maximum power is satisfied. If the maximum power point is reached, then the algorithm is said to be converged else it will change the phase of particles till the maximum power convergence is reached. The PSO algorithm continuously adjust the PV system's operating point, guaranteeing that it runs at its maximum power point in a variety of environmental circumstances. The efficiency and generation of energy produced by solar panels are increased due to this optimisation.

V. GWO MPPT FOR PV SYSTEM

Grey Wolf Optimisation is a metaheuristic optimization method which belongs to the class of algorithms inspired by nature and designed to mimic the group behaviors of social organisms. It was motivated by the social interactions of grey wolves [11]. The algorithm is meant to resemble the natural hunting and leadership structure of grey wolves. GWO involves leader grey wolves which are crucial to the basic concept of GWO. The remaining wolves, or search agents, are regarded as fellow pack members. The method searches for the best answer to a given problem by iteratively updating the positions of these wolves [12]. The time to reach the maximum power point is quick in GWO compared to PSO [13].

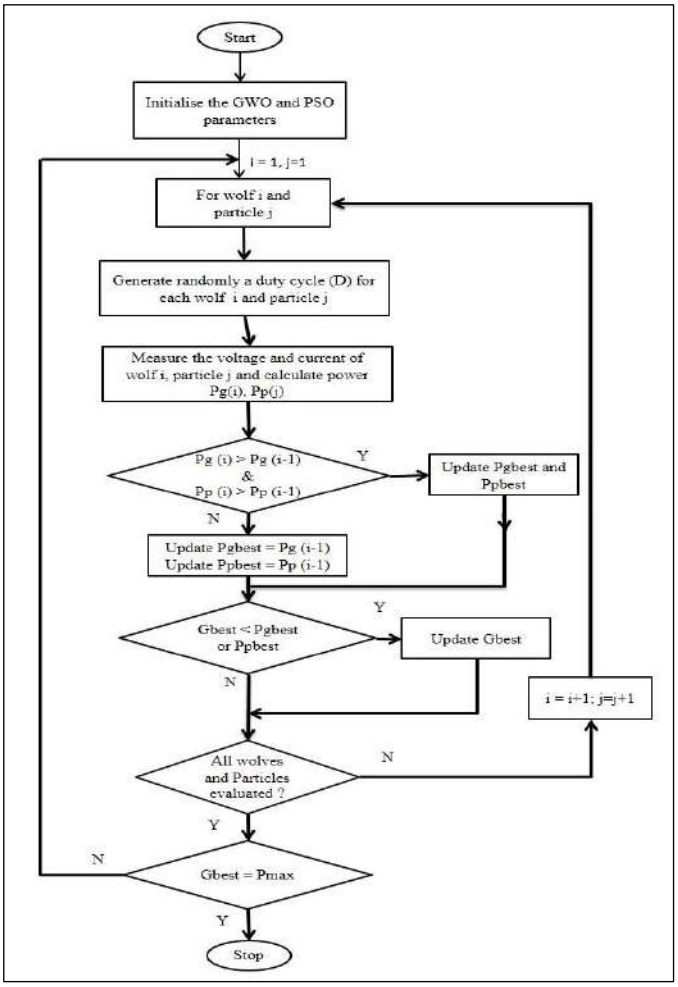


Figure 3: Flowchart of GWO-PSO MPPT.
Source: Author, (2026).

VI. GWO-PSO MPPT FOR PV SYSTEM

PSO MPPT has limitations such as Convergence during dynamic conditions and sensitive to parameters like inertia weight and social coefficient. GWO has limitations like balancing exploration during dynamic conditions, these limitations can be mitigated by using hybrid GWO-PSO MPPT. The flowchart of hybrid MPPT is shown in figure 3.The parameters of GWO, PSO with PV panel's maximum values is initialized and the hierarchy of wolves are generated according to the readings from the panel. Similarly PSO particles are initalized and Pbest is found. For each wolf the power is assessed and it is compared with the pack best solution.

Now the positions of Particles and wolves are combined and new power is reached. If this new power is equal to maximum power the algorithm stops else the wolves are iterated again with updated position till the convergence of maximum power occurs. When the wolves locate the MPP, the associated coefficient vectors are almost equal to zero. The algorithm placed in a Simulink block for testing the PV system with GWO MPPT technique. The above MPPT techniques are tested with Matlab/Simulink code for PV based EV charging system which is discussed in the next section.

VII. TESTING OF PV BASED EV CHARGING SYSTEM WITH MATLAB/SIMULINK

All the proposed MPPT techniques with PV based EV charging system is tested with MATLAB/Simulink Environment and the simulation model is shown in figure 4 and the parameters used in simulation are given in Table 1.

Table 1: Parameters of PV based EV charging system.

PV ARRAY		**Battery**	
Parameter	**Value**	**Parameter**	**Value**
Open Circuit Voltage (V_{OC})	36.6V	Nominal Battery Voltage	24 V
Short Circuit Current (I_{SC})	8.75A		
Voltage at MPP (V_{mp})	30.86V	Rated Ah Capacity	50 Ah
Current at MPP (I_{mp})	8.1A		
Maximum Peak Power of PV Array	2000 W	Initial SoC	50 %
Temperature	250 C		

Source: Author, (2026).

In the simulation model, the inputs to PV array block is irradiance and temperature. The irradiance input is provided using constant block for fixed input and using a staircase generator for variable input. The parameters of PV array is initialised to MPPT block. The MPPT algorithm is coded in this block and it provides gate signals to the switch of DC-DC converter. The power from PV is given to EV load through SEPIC converter and the charging parameters are observed. Simulink model of PV based EV charging system is tested at standard test conditions of 1000 w/m2 irradiance and 250 C with P&O, PSO, GWO and GWO-PSO MPPT techniques, the corresponding PV power output waveforms are shown in figure.

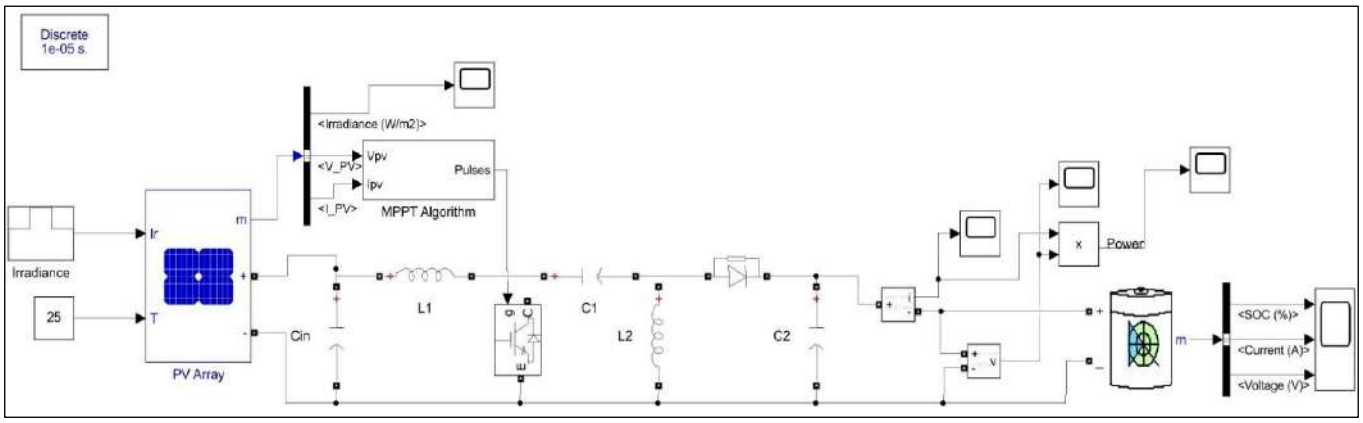


Figure 4: Simulink Model of PV based EV charging System.
Source: Author, (2026).

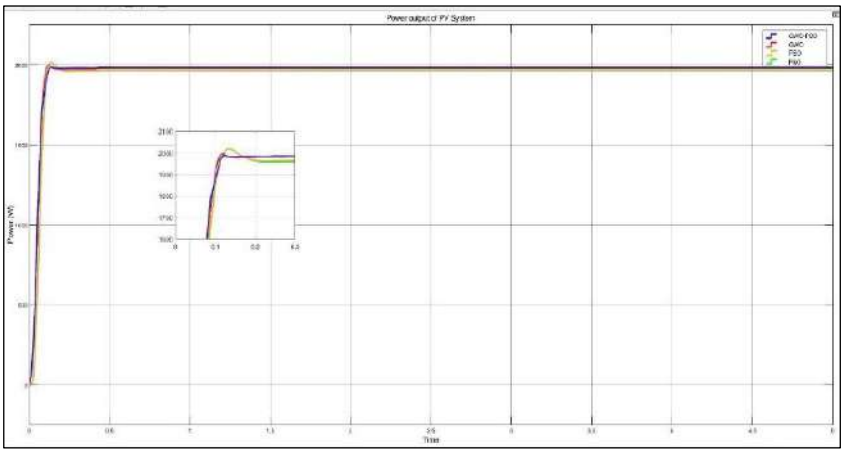


Figure 5: PV Power output under standard test condition.
Source: Author, (2026).

From the figure, it is observed that the power output with different MPPT techniques. Blue represents power with GWO-PSO, red represents power with GWO, gold represents power with PSO and green represents power with P&O and the corresponding numerical values are shown in the table 2. At standard test conditions all the MPPT techniques are having similar output. So the system is tested for variable irradiance conditions. As the irradiance increases from morning to noon and decreased from noon to evening. This variable irradiance is given by using a staircase generator changing from 500 W/m^2 to 800 W/m^2, 800 W/m^2 to 1000 W/m^2, 1000 W/m^2 to 800 W/m^2, 800 W/m^2 to 500 W/m^2 at the instants 1, 2, 3 and 4 respectively which is shown in the figure 6 with the temperature of 25^0 C and the corresponding power output is shown in figure 7.

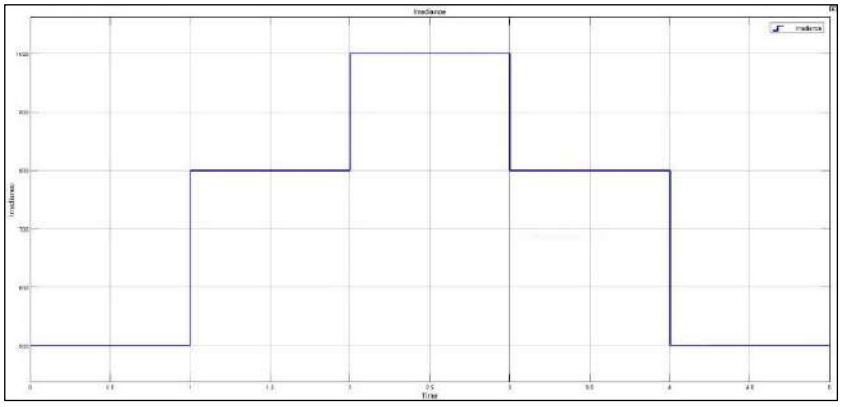


Figure 6: Variable Irradiance input.
Source: Author, (2026).

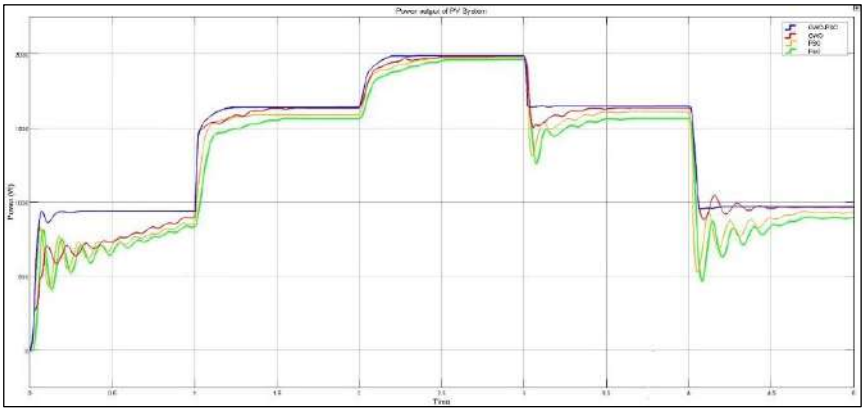


Figure 7: PV Power output under variable irradiance.
Source: Author, (2026).

From the figure 7, the power output of the PV System and time of reaching maximum power point with P&O, PSO, GWO and GWO-PSO at variable irradiance and the corresponding test results are tabulated in Table 2.

Table 2: Comparison of Power output of PV based EV charging system.

Irradiance (W/m^2)	Power Output (W)				Time taken to reach MPP (sec)			
	P&O	PSO	GWO	GWO-PSO	P&O	PSO	GWO	GWO-PSO
500	872	880	894	908	0.94	0.94	0.94	0.3
800	1628	1642	1664	1672	0.59	0.38	0.61	0.22
1000	1972	1984	1988	1990	0.51	0.46	0.45	0.22

Source: Author, (2026).

From the table 2, it is observed that GWO-PSO MPPT method is reaching maximum power point faster when the irradiance is changing as compared to other MPPT Techniques. Therefore, GWO-PSO MPPT is applied to PV system and tested under variable irradiance condition for analysing the SOC of EV battery. Further, GWO-PSO MPPT is applied to PV system and EV Battery and tested under variable irradiance condition. SOC represents the percentage of rated capacity left in the battery. While charging SOC of battery increases and it gets decreased during discharging. From the above analysis, the SOC, Voltage and Current of EV battery is shown in figure 8.

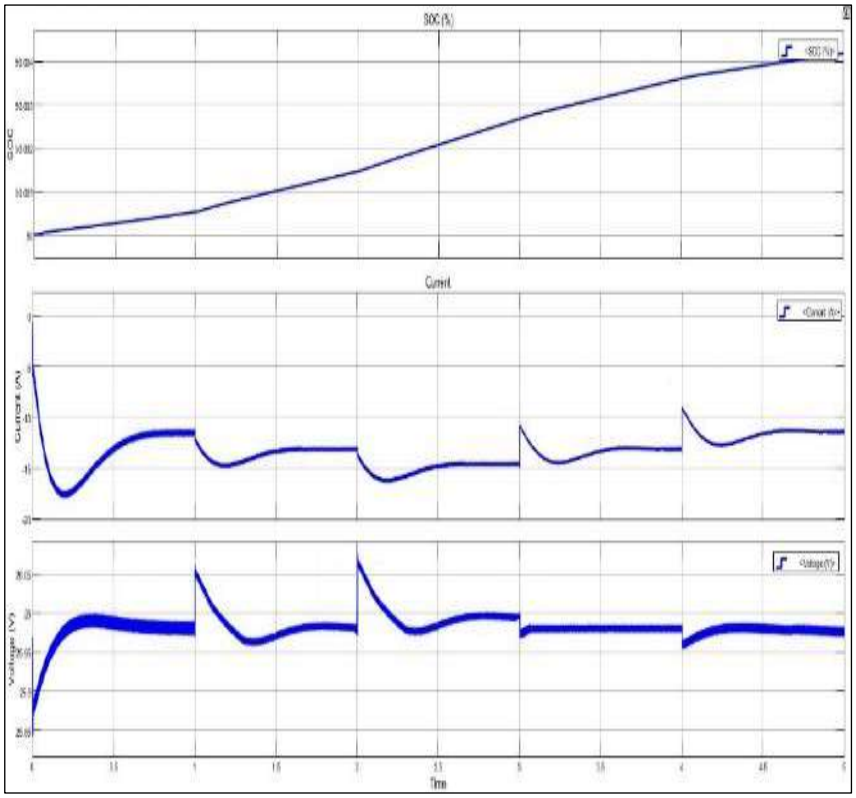


Figure 8: SOC, Current and Voltage of EV Battery.
Source: Author, (2026).

From the figure, it is observed that the SOC is increasing and the current is in negative magnitude, so the system is in charging state. The charging current and SOC slope got changed with changing irradiance.

VIII. CONCLUSIONS

In this paper, a charging system for Electric Vehicles based on PV power with SEPIC converter is discussed and tested in MALAB/Simulink environment with P&O, PSO, GWO and GWO-PSO MPPT Techniques under STC and variable irradiance. It is observed that of all the four techniques the GWO-PSO MPPT technique is reaching the MPP faster with better output magnitude.

IX. AUTHOR'S CONTRIBUTION

Conceptualization: Venkatesh Reddy Birudala.
Methodology: Venkatesh Reddy Birudala..
Investigation: Venkatesh Reddy Birudala..
Discussion of results: Venkatesh Reddy Birudala..
Writing – Original Draft: Venkatesh Reddy Birudala..
riting – Review and Editing: Venkatesh Reddy Birudala..
Resources: Venkatesh Reddy Birudala.
Supervision: Venkatesh Reddy Birudala..
Approval of the final text: Venkatesh Reddy Birudala..

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RESEARCH ARTICLE OPEN ACCESS

NEXT-LEVEL DYNAMIC QUERIES OPTIMIZATION: SMARTER JOINS, FASTER VIEWS

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ABSTRACT

In modern database systems, query workload optimization through materialized views is crucial for achieving high performance. This paper introduces a novel intelligent framework that identifies frequent subexpressions from SQL workloads, selects candidate materialized views, and predicts their potential benefits using a Deep Neural Network (DNN) model.Unlike existing static heuristic methods, our approach adopts a dynamically learning mechanism with proper determination of properties required for effective views in line with distributed workloads and predicate normalization. By excluding an extra step needed in choosing views or query rewriting, query execution is reduced with the proposed framework, as illustrated in existing experimental results of proposed methods in comparison with existing ones.

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I. INTRODUCTION

Query optimization has been one of the crucial challenges in relational database systems. Materialized views store precomputed outcomes of intermediate results to avoid redundancies and consequently give responses to queries considerably faster. However, the problem of selecting which views to materialize-especially under storage-constrained budgets and dynamic workloads-remains complex and crucial. Traditional static MV selection techniques, including those based on cost models or fixed heuristics [1], [2], inherently assume a stable workload and predictable query patterns. These assumptions hold hardly in modern environments, where workloads, data distributions, and system resources change dynamically.As a result, most of the static approaches yield suboptimal views or are not able to adapt to newly emerging access patterns, which would have been wasted in storage and undermined the potential performance gains.

Recent breakthroughs in deep learning methods, represented by large language models like GPT, have pointed out remarkable transformative potential over natural language processing, decision-making, and intelligent automation. Influenced by this trend, database systems are now becoming self-tuning, adaptive systems. Materialized view selection can then be framed as a dynamic, data-driven optimization problem using predictive machine learning models. Our contribution embraces this shift by integrating deep learning into the database optimization pipeline to enable workload-aware, adaptive MV selection. Prior research has explored machine learning for join order optimization [3], [4] and query cost estimation; application of deep learning for materialized view selection remains underexplored.

Key challenges - effective feature representation, accurate benefit estimation, and adaptability to workload changes - make these approaches challenging to adopt in practice.This paper proposes a two-tier adaptive approach to the selection and rewriting of materialized views. The proposed strategy systematically analyzes SQL workloads to detect and group frequently occurring subexpressions using normalized join and selection predicates. A DNN model predicts the utility of the candidate views, along with structural properties combined with runtime and storage cost considerations. Given the embedding of machine learning into the query-processing pipeline, our framework dynamically adapts to the continuously evolving workloads while it optimizes query performance at a minimal storage overhead.

II. LITERATURE REVIEW

The problem of materialized view (MV) selection has evolved drastically in recent years. In the past, MVs were manually or statically selected through heuristics that targeted repeated or expensive queries [5-7], [2]. However, these early approaches were unable to adapt dynamically to evolving workloads. With the advancement of database systems, dynamic heuristics based on query frequency, selectivity, and join ordering were developed [8-10], [1] though they still faced scalability and flexibility challenges.

Today, the advent of machine learning has revolutionized MV selection through adaptive approaches such as supervised learning, clustering, reinforcement learning, and deep neural networks [11-13], [4]. These approaches leverage historical workloads and data distributions to predict candidate view benefits, thereby improving the accuracy and responsiveness of MV selection.

Techniques like Q-learning, artificial neural network (ANN) prediction, and multi-objective optimization [1] have further enhanced real-time materialized view management by being both cost-efficient and scalable. Alongside these advances, developments in query optimization techniques—such as data representation methods (e.g., histograms [14], sketches [15]), sampling methods (e.g., Fixed-step [16], Bifocal [17]), and machine learning-based cost estimation and cardinality models (e.g., MSCN 18], QuickSel 19], RSPN - [20])—have significantly increased the quality of query planning and execution in large-scale systems. As part of this broader evolution, AutoView [21] demonstrates significant progress in MV management. It integrates query plan-based candidate generation, deep query–view correlation modeling, and deep reinforcement learning for space-budget-aware MV selection.

Unlike earlier systems, which struggled with static, non-adaptive approaches [11], [4], [15], AutoView achieves improved automation, generalization, and optimization capabilities for cloud-scale database paradigms. However, AutoView also inherits some limitations typical of learning-based systems: it requires an initial training session with standard workloads; it may require retraining if workloads change drastically; the deep model's decision-making process may not be as interpretable as that of heuristic-driven approaches; and migrating the model between different database management systems typically necessitates retraining due to variations in query plans and cost models. Figure 1 presents a structural comparison of RLView (Reinforcement Learning) [4], DQM (Deep Q-Learning) [11], and AutoView [3] approaches for materialized view selection.

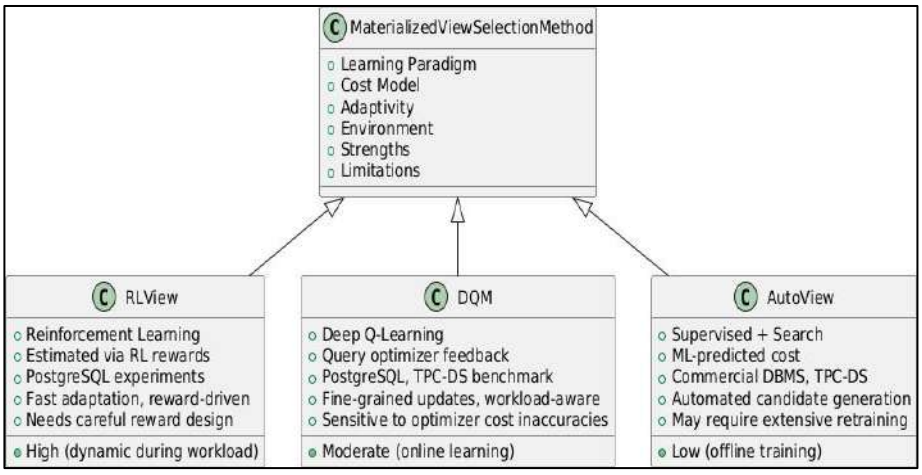


Figure 1: Comparison of some recent methods relative to queries optimization.
Source: Authors, (2026).

Table 1: Comparison of Some recent Learning-Based MVS Methods.

Method	Learning Type	Adaptivity	Training Time	Example Use
RLView [4]	Reinforcement Learning	High	Online	Dynamic workloads
DQM [11]	Deep Q-Learning	Moderate	Online	OLAP queries Static
AutoView [3]	Supervised + Search	Low	Offline	workloads

Source: Authors, (2026).

As shown in Table 1, RLView, DQM, and AutoView represent distinct approaches to materialized view selection. These methods are designed to handle different kinds of workloads, with RLView and DQM being more adaptive to dynamic workloads, while AutoView works effectively on static workloads with offline training. In summary, the evolution of MV selection research across different periods has steadily contributed to the development of increasingly efficient, scalable, and adaptive solutions, addressing the complexities of large, dynamic query environments.

III. PROBLEM STATEMENT

Given a large workload set of SQL queries $Q = \{q_1, q_2, \ldots, q_n\}$, and a set of candidate materialized views $V = \{v_1, v_2, \ldots, v_m\}$ generated from common subexpressions and shared predicates. The goal is to select a subset $V^* \subseteq V$ that maximizes the overall query performance improvement defined as:

$$\text{Benefit}(V^*) = \sum_{q_i \in Q} (T(q_i) - T'(q_i, V^*)) \quad (1)$$

Where $T(q_i)$ is the execution time of the original query and $T'(q_i, V^*)$ is the execution time after rewriting the query using the selected materialized views. The selection must also satisfy a storage budget constraint, where B denotes the available storage space.

$$\text{Cost}(V^*) = \sum_{V_i \in V^*} (size\ (v_i) \quad where\ \ \text{Cost}(V^*) \leq \text{B} \tag{2}$$

The global optimization problem goal is to choose a materialized view set V^* that improves query performance without using more than storage capacity (minimizing resource consumption). Maximizing Benefit (V^*) works towards minimizing query execution time by choosing views that decrease query execution time. On the other hand, minimizing Cost(V^*) ensures that the views chosen do not use too much storage fee.

$$V^* = \text{Arg} \max_{V^* \subseteq V'} ((W_1 \cdot \text{Benefit}(V') - W_2 \cdot \text{Cost}(V')) \ subject\ to \sum_{V_i \in V^*} (size\ (v_i) \leq \text{B} \tag{3}$$

The weights w_1 and w_2 aim to balance the trade between query speed optimization and storage management. The weights can be optimized depending on whether query speed or storage is more important in the specific situation. The objective is to develop a system that intelligently selects the most beneficial materialized views under storage limitations and speed up workload execution. Table 2 presents an example to clarify the functionality of our formulation. We assume that the system selects three candidate materialized views and a storage budget of 9 GB. The optimal subset of condidate materialized views set under this storage budget is $\{ V_1, V_2 \}$,which provides the maximum total benefit of 40 ms while satisfying the storage constraint.

Table 2: Example of Materialized View Selection.

Subset V′	Total Size (GB)	Total Benefit (ms)	Feasible for selection as condidate for Materialization?
$\{ V_1 \}$	5	20	Yes
$\{ V_2 \}$	4	18	Yes
$\{ V_3 \}$	6	25	Yes
$\{ V_1, V_2 \}$	9	40	Yes
$\{ V_1, V_3 \}$	11	45	No (over budget)
$\{ V_2, V_3 \}$	10	43	No (over budget)

Source: Authors, (2026).

IV. PROPOSED APPROACH

In this work, we present an intelligent two-stage strategy for materialized view (MV) selection and query rewriting to optimize the performance of large-scale SQL workloads.The system architecture overview is illustrated in Figure 2. The pipeline of our system inspired by the traditional query processing : Parsing, optimization, and execution,with the integration of machine learning techniques in optimization stage. Specifically, an artificial neural network (DNN) is employed to predict the utility of candidate views to optimize large workload of queries.

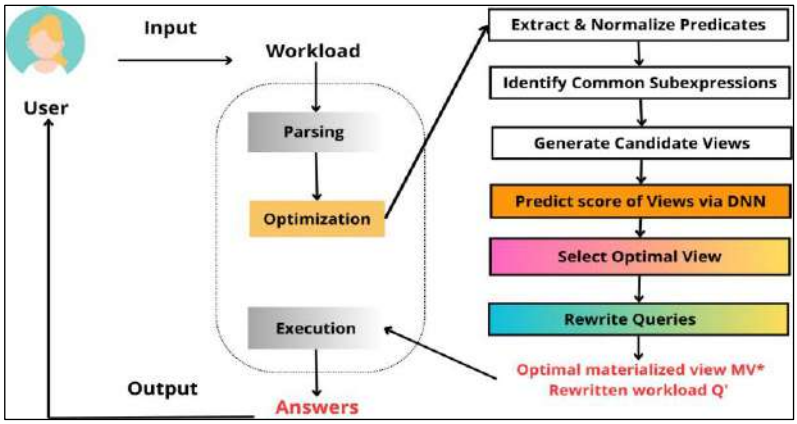


Figure 2: Overview of the Materialized View Selection Framework.
Source: Authors, (2026).

IV.1 WORKLOAD PARSING

Our system starts by parsing the SQL workload input and processing each file separately. For each query, it gives a unique ID and then parses and analyzes the query to identify its structure. Specifically, it extracts the tables involved, the join conditions between them, and the selection predicates from the WHERE clause. These extracted elements are placed in global collections such as *All_Join_Predicates* and *All_Selection_Predicates*. At the same time, the system keeps track of which predicates and tables appear in each query. This information is important for future steps where we need to identify common subexpressions across queries to suggest useful materialized views.

IV.2 IDENTIFYING COMMON SUBEXPRESSIONS

After extracting tables, the join predicates and the selection predicates are identified, which are then normalized and grouped globally. Systematically extracts subexpressions from each query by focusing on join conditions, predicates, and selected attributes. We normalize these entities to enable apples-to-apples comparison by eliminating aliases, normalizing attribute order, and abstracting con- stant values. This enables us to structurally compare subexpressions, rather than syntactically. We employ a hashing mechanism to count the frequency of each unique subexpression across the entire workload ,as shown in Figure 3 Frequent subexpressions are marked as common and are strong candidates for reuse or materialization during the query optimization process.

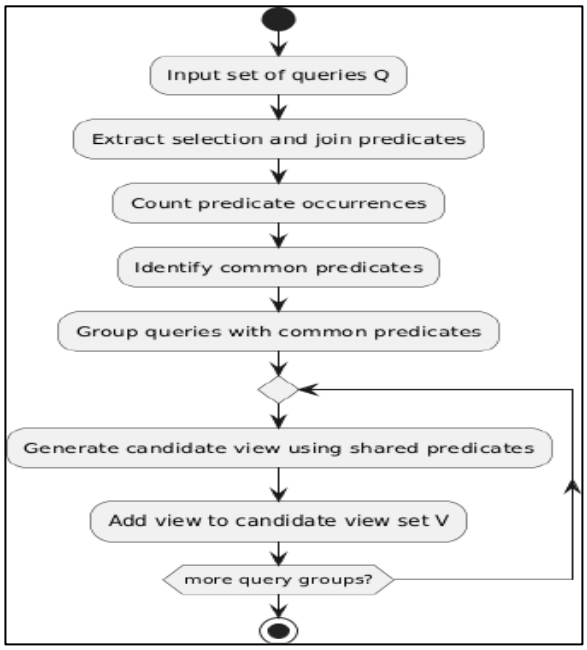


Figure 3: Diagram of views clustering.
Source: Authors, (2026).

IV.3 GENERATING CANDIDATE VIEWS BASED ON PREDICATES

To generate views from grouped queries with the common predicates, the process starts by combining common selection predicates into a single WHERE clause, eliminating redundant filtering. Next, common join predicates are merged into the JOIN condition of the query in an effort to reduce redundant join operations. Columns utilized in the view are based on fields queried most frequently in the group so that the view has only the most critical data. The outcome of this step is a set of candidate views.

IV.4 GENERATING CANDIDATE VIEWS BASED ON PREDICA OPTIMIZATION USING DNN

Once common predicates are identified and normalized,and candidate views are generated , in the first stage of our system we employ a Deep neural network (DNN) architecture to predict a benefit score of views, indicating how much a materialized view would improve query performance (See Figure 4).

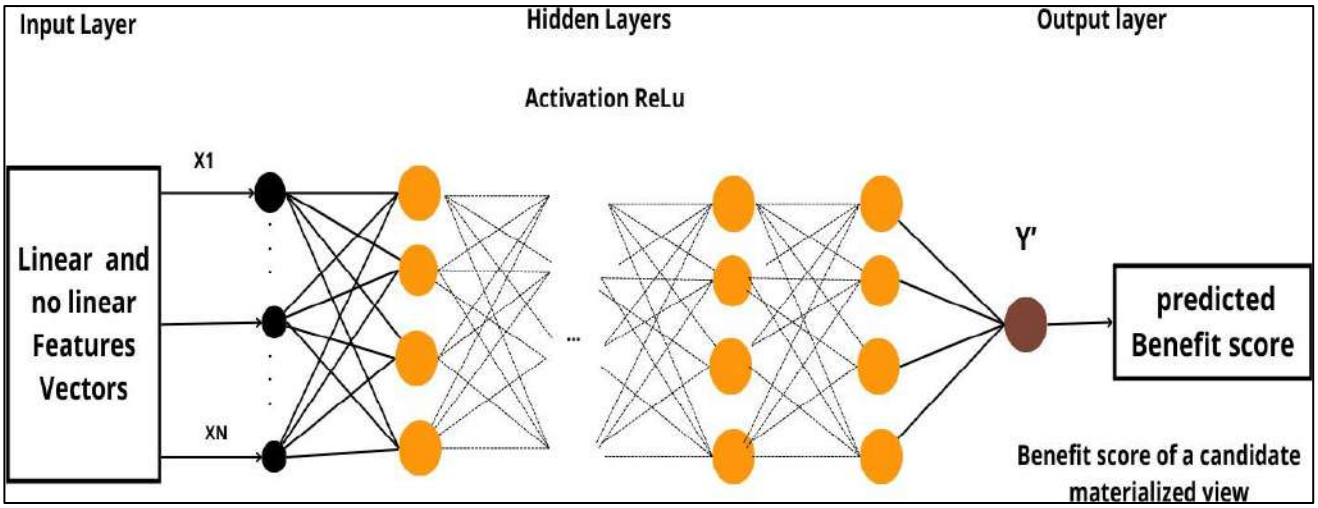


Figure 4: Deep Neural Network architecture for benefit score prediction of candidate materialized views.
Source: Authors, (2026).

The proposed deep neural network (DNN) is intended to predict the benefit score corresponding to each candidate materialized view by learning from both structural and statistical properties of the query workload. The input layer takes a preprocessed feature vector x_input, which conveys information about join types, selection predicates, past query execution times, storage costs, and query frequency. Linear features like execution time, storage cost, and query frequency are normalized using Min-Max normalization to maintain numerical stability, and non-linear features, such as join types, predicates, and operators, are represented using one-hot encoding.

After encoding, all features are stacked together into a unified input vector that conveys comprehensive workload information. The network design involves multiple fully connected hidden layers. The first hidden layer uses dense neurons with a Rectified Linear Unit (ReLU) activation function to inject non-linearity and facilitate the learning of complex patterns. A second hidden layer is used, along with a dropout layer to combat overfitting and enhance generalization. The activation functions of the hidden layers are calculated as:

Activation function

$$h^l = \mathrm{ReLU}\left(W^l h^{l-1} + b^l\right) \tag{4}$$

Where W^l and b^l are the weight matrix and bias vector of the l-th layer, respectively.The output layer consists of a single neuron with linear activation, producing a continuous value that represents the predicted benefit score of a candidate materialized view. This score is computed as :

Predicted benefit score

$$y' = \sum_{i=1}^{d} (W_i h_i + b) \tag{5}$$

Where h_d denotes the output of the final hidden layer and i is the number of hidden neurons feeding into the output neuron. During training, the model minimizes the Mean Squared Error (MSE) between the predicted benefit scores and the observed improvements in query execution time. This training strategy enables the model to generalize effectively to unseen queries and to accurately rank candidate-materialized views based on their expected performance gains.

IV.5 GENERATING CANDIDATE VIEWS BASED ON PREDICA OPTIMIZATION USING DNN

In the second stage of our system, the operation begins by checking newly arriving SQL queries to determine if their join or selection predicates may be optimized by candidate materialized views. If it is found that such predicates are found in materialized views already in place, a procedure known as predicate matching, the original queries are rewritten such that the affected parts are substituted by the correspond created to contain the shared semantics. The queries are partitioned and rewritten, each to use the new common materialized view. The performance of the rewritten queries is compared with the original queries to measure the improvement. This evaluation feedback is subsequently used to refine and optimize materialized view selection algorithms, generating a cycle of adaptive performance tuning (See Figure 5).

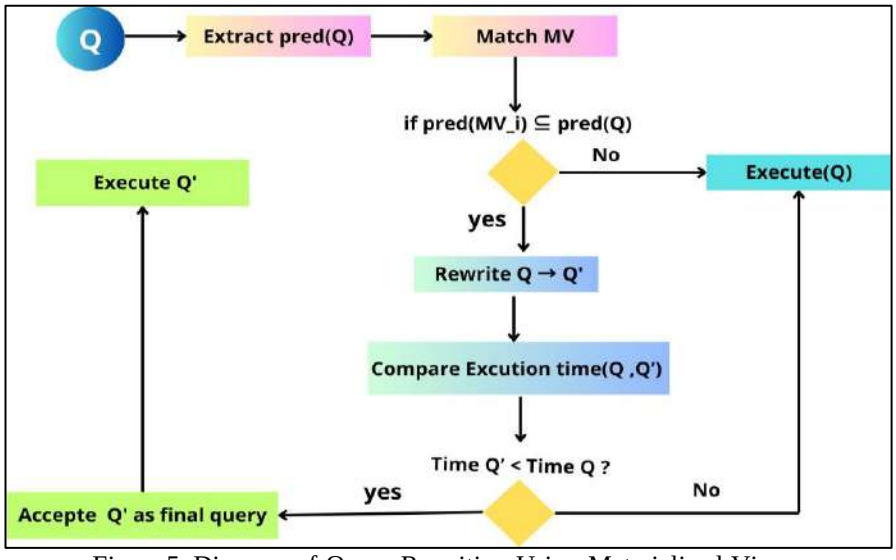


Figure 5: Diagram of Query Rewriting Using Materialized Views.
Source: Authors, (2026).

V. EALUATION AND RESULS

All our evaluations were conducted on a computer equipped with an Intel i7, 16.00 GB of RAM, and a 64-bit Windows operating system. To evaluate the performance of the proposed method, we used PostgreSQL as DBMS, and the implementation was carried out using Python 3. In our experiments, we used the schema of the relational database IMDb dataset [22] with 21 tables and a workload of SQL queries from Join Order Benchmark (JOB) [23].

IMDb has over 21 million rows, ranging in size from a few thousand to a few million rows per table. The JOB workload consists of 113 SQL queries that are designed to test combinations of join and selection predicate. The results can be followed as a progressive walkthrough of our experiments. Table 3 and its visualization in Figure 6 show the initial heuristic mapping of queries into candidate materialized views, where structurally similar queries such as Q22, Q29, and Q72–Q75 were grouped under MV4. While this clustering revealed repeated subexpressions, it often failed to capture the most beneficial views.

Table 3: Workload Mapping results without DNN Learning.

MVID	MV Related Queries ID
1	[Q10, Q13]
2	[Q11, Q12]
3	[Q21, Q24]
4	[Q22, Q29, Q72, Q73, Q74, Q75]
5	[Q52, Q54]
6	[Q48, Q49]
7	[Q87, Q88, Q89]
8	[Q90, Q91, Q92]
9	[Q96, Q98, Q100]
10	[Q97, Q99]
11	[Q45, Q46, Q47]
12	[Q26, Q27, Q28, Q30]
13	[Q82, Q83]

Source: Authors, (2026).

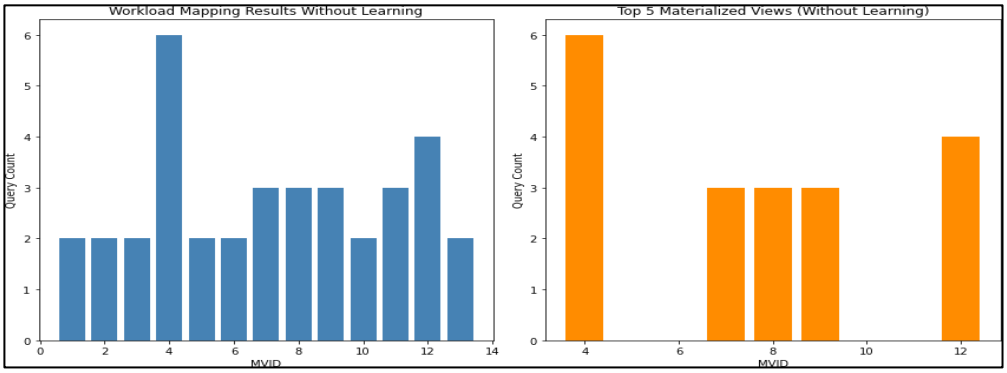


Figure 6: Workload Mapping Results Without Learning (Heuristic mapping method).
Source: Authors, (2026).

Moving to Figure 7, the DNN-based mapping demonstrates a more refined grouping, as the model adaptively selected views that provided higher performance gains while reducing redundancy, and also built a mapping dictionary that included statistical information such as tables occurrence and common subexpressions including join predicates. During evaluation, we compared a medium- sized neural network against a deeper neural network architecture.

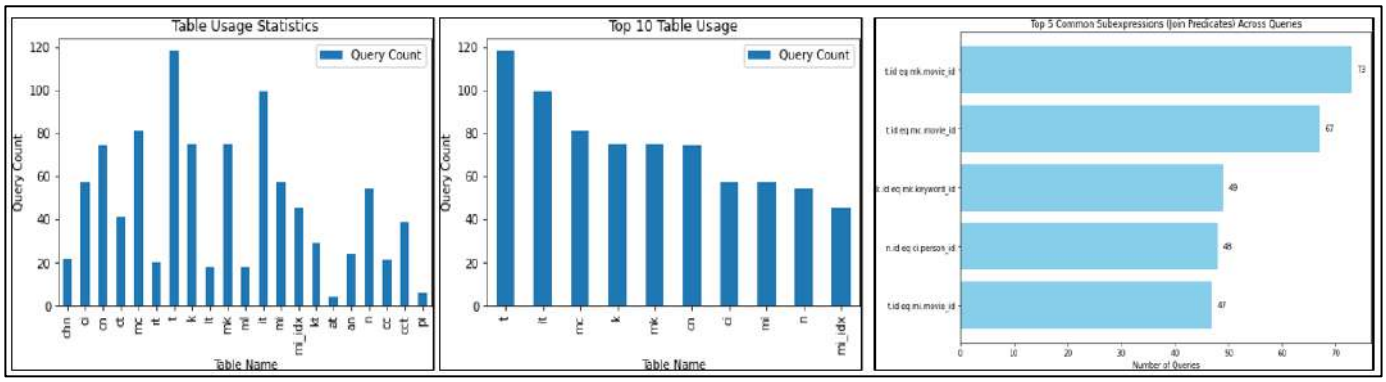


Figure 7: Workload Mapping Results using DNN Approach.
Source: Authors(2026).

As shown in Figure 8, the deeper model achieved a more pronounced reduction in loss, indicating superior generalization to unseen queries. However, this improvement came with slightly higher resource consumption, reflecting the classical trade-off between accuracy and computational efficiency.

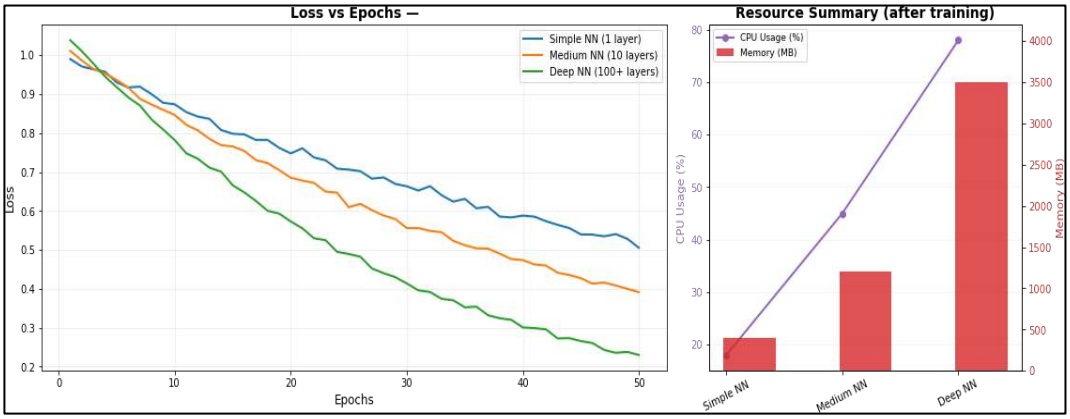


Figure 8: Loss Reduction Resource Usage summary Across Learning Levels for MV selection.
Source: Authors, (2026).

As a result, Figure 9 highlights the final set of materialized views chosen after DNN learning, with MV3 and MV4 emerging as particularly beneficial due to their balance of query coverage and storage efficiency. Finally, Table 4 quantifies the improvements by comparing execution times: queries such as Q74 and Q45 executed **30–35% faster** with DNN-based views than with heuristic methods. This sequence of results illustrates how our framework evolves from static heuristic clustering to intelligent, learning-driven optimization that consistently accelerates query performance under storage constraints.

Table 4: Comparison of Query Performance with Different MV Selection Strategies.

Query ID	Heuristic static method (ms)	DNN (ms)
Q22	600	**420**
Q29	810	**590**
Q45	500	**360**
Q74	1050	**960**
Q98	1120	**820**

Source: Authors, (2026).

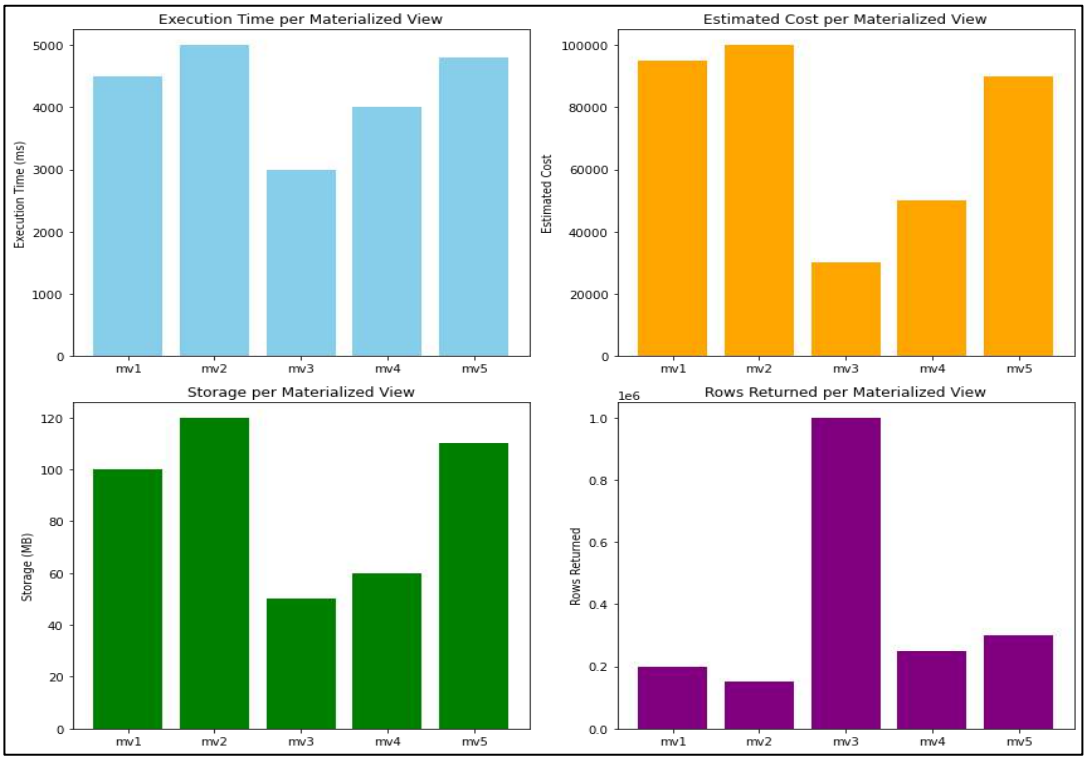


Figure 9: Summary of beneficial Materialized Views after DNN Learning.
Source: Authors, (2026).

Our experiments show that the proposed DNN-based method improves query execution time over the static heuristic model, proving that learning-based benefit prediction is more effective than heuristic rules. While actual methods like RLView, DQM and the AutoView system have advanced adaptive view management, they often require complex retraining. Our contribution is simpler but complementary a lightweight DNN regression model that balances performance and storage efficiency, and can be easily applied in real systems such as PostgreSQL.

V. CONCLUSION

This paper proposes an approach to selecting materialized views (MVs) and query optimization for improving big SQL workload performance. Using a deep neural network (Deep-NN), our approach correctly predicts the benefit of candidate MVs, optimizing query performance with storage management. Evaluations of our algorithms on the IMDb schema and JOB benchmark queries showed that the DNN-based approach performed better than static traditional methods by reducing query execution time and improving storage efficiency. MVs like MV3 and MV4, selected according to our smart model, demonstrated significant performance with low storage consumption.

Our findings also indicate that shorter execution times do not necessarily translate to lower storage costs. Some perspectives, even though they processed more rows, still had good performance, indicating that our model successfully balances speed and storage. These results validate the utility of learning in optimizing MV selection for dynamic query environments. Future development will be aimed at improving the DNN model, incorporating additional query features, and making the system capable of dealing with more complex dynamic workloads.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Salma Hanane, Yahyaoui Khadidja and Bellatrache Ladjel.
Methodology: Bellatrache Ladjel.
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INTELLIGENT SYSTEM FOR AUTOMATED DESIGN OF ENERGY-EFFICIENT FACILITIES IN THE AGRO-INDUSTRIAL COMPLEX WITH BUILT-IN DIAGNOSTICS OF ELECTRICAL MACHINES

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ABSTRACT

The aim of the study was to substantiate the effectiveness of an intelligent system for automated design of energy-efficient facilities in the agro-industrial complex (AIC) with integrated diagnostics of electric drives. The methodology included experimental testing of asynchronous electric motors, numerical modelling, and optimization. Data analysis was performed using Student's t-test, analysis of variance, and principal component analysis. The results showed that in faulty electric motors, the current increased by 20%, the power factor decreased from 0.87 to 0.74, the vibration level exceeded that of serviceable samples by three times, and the temperature of the windings increased from 65 to 92 degrees Celsius. Numerical modelling showed a 9% reduction in energy consumption, a 17-degree Celsius decrease in temperature, a 16% increase in power factor, a 47% reduction in vibrations, and an increase in efficiency from 85 to 92%. Statistical analysis confirmed the reliability of the results, and the "serviceable/damaged" classification model achieved high accuracy with an area under the curve of 0.94. The scientific novelty lies in the first-ever combination of structural optimisation of electric drive parameters with built-in technical condition analysis in a single CAD/FEM environment.

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I. INTRODUCTION

The development of the agro-industrial complex (AIC) in the 21st century is determined by the need to improve the energy efficiency of technological processes and the reliability of electromechanical systems that ensure the functioning of production. The growth in energy consumption, combined with limited resources, requires the implementation of innovative solutions aimed at optimising technical facilities and reducing operating costs. Particular attention should be paid to the timely diagnosis of faults in electric drives, which are key elements in many technological processes of agricultural production. The lack of effective control systems leads to emergency shutdowns, increased repair costs and reduced productivity. Thus, the creation of intelligent automated design systems capable not only of ensuring energy efficiency but also of integrating diagnostic functions is an important task for modern science and technology.

The problem of energy losses in agricultural electric drives is their low efficiency in dynamic operating modes when the load and frequency of starts change. According to [1], [2] showed that traditional methods of efficiency assessment are limited to average characteristics and do not take into account the variable conditions in which the equipment actually operates. Their research revealed the shortcomings of existing monitoring systems, in particular the low accuracy of detecting hidden defects, which leads to untimely detection of malfunctions. However, these works did not develop a comprehensive approach to the integration of energy and diagnostic parameters. An important aspect of electric motor operation is the increase in winding temperature, which shortens the service life of the equipment and increases the risk of accidents.

In [3], [4] pointed out that standard cooling systems do not always correspond to the intensity of thermal processes, especially under overload conditions. Their studies used thermometric assessment methods to identify critical overheating zones. However, the limitation of these works was the lack of a connection between temperature indicators and other energy efficiency parameters, which reduces the practical value of the results obtained. A significant problem is the increased level of vibration, which not only worsens performance but also causes additional energy losses. According to [5], [6] investigated the spectral characteristics of vibrations in different engine operating modes and proposed algorithms for their identification. Their approach proved to be highly effective for diagnosing certain types of defects, but it remained insufficiently consistent with electricity consumption indicators. This indicates the need to create more universal analysis models that integrate vibration data with energy characteristics.

Equally important is the problem of reducing the power factor, which directly affects the energy consumption of enterprises. Chen and Hu [7], [8] substantiated the possibility of compensating for reactive power by optimising electric drive control circuits. Experimental results confirmed a 10-12% increase in the power factor, but the proposed approaches proved to be ineffective in cases of complex dynamic processes, when temperature and vibration factors simultaneously affect the system. This limits the applicability of the results in complex production systems. Another pressing problem is the lack of predictive maintenance methods capable of preventing equipment failure at an early stage. According to [9], [10] proposed the use of mathematical models based on regression analysis to estimate the probability of failure. Despite their practical significance, such approaches have demonstrated low accuracy in cases of multifactorial influence, which is characteristic of agro-industrial conditions. This has demonstrated the need for more complex intelligent algorithms that can work with a large number of variables.

In the context of the digitalisation of production processes, the issue of integrating data from different sensor systems is becoming increasingly relevant. According to [11], [12] have developed platforms for collecting information from multiple measurement channels, which has significantly improved the quality of technical condition monitoring. However, the studies did not implement algorithms for optimising designs based on the collected data, which limited the impact of the results on improving the energy efficiency of facilities. Thus, the issue of the comprehensive application of sensor technologies and optimisation methods remains open. The problem of high operating costs caused by frequent equipment repairs is particularly relevant for small and medium-sized agricultural enterprises. In [13], [14] showed that most malfunctions occur due to the untimely detection of hidden defects in electric drives.

Their works proposed methods for scheduled maintenance at fixed intervals, but they did not take into account the actual technical condition of the equipment. This led to unnecessary resource consumption and highlighted the need to transition to intelligent systems with predictive capabilities. Equally important is the problem of the complexity of numerical modelling, which requires significant computing resources and time. In [15], [16] developed models based on the finite element method, which allowed to obtain detailed results on the distribution of fields in motors. However, the use of such models in real time proved impossible due to their excessive complexity. This creates a need for simplified but sufficiently accurate algorithms that can be integrated into automated design systems.

A summary of the studies conducted indicates significant scientific interest in the problem of improving the energy efficiency and reliability of electric drives, but most existing solutions focus only on individual aspects, which reduces their practical value for the agro-industrial complex. The task of integrating energy, thermal, vibration and other parameters into a single intelligent automated design system is becoming obvious. In this context, the aim of the study was to prove the effectiveness of an intelligent automated design system for energy-efficient facilities in the agro-industrial sector with built-in diagnostics of electric drives. The research tasks included experimental determination of diagnostic parameters, numerical modelling of energy processes, application of optimisation algorithms and statistical verification of the reliability of the results obtained.

II. MATERIALS AND METHODS

The research was conducted in Ukraine in 2022-2024 at the National University of Life and Environmental Sciences of Ukraine, Department of Automation and Robotic Systems, using a testing ground for agricultural machinery. The object of the study was an intelligent system for the automated design for energy-efficient facilities of the AIC with an embedded diagnostic module for electrical machines. The system was developed as an integrated platform combining machine learning algorithms, mathematical optimisation methods and a set of hardware and software tools for measuring and analysing the technical condition of electric drives. For experimental testing, asynchronous electric motors of the AIR90L2 model (Siemens, Germany) with a power of 1.5-7.5 kW at a rated voltage of 380 V were used, as well as modular load stands with the ability to adjust the torque up to 25 N·m. Six AIR90L2-M-2 asynchronous motors were used for experimental research, three of which were in good working order, and three were deliberately damaged to simulate defects.

The damage was caused by disrupting the balance of the rotor by shifting the axis of rotation, weakening the bearing assemblies to simulate mechanical wear, and local damage to the winding insulation with the formation of interturn short circuits. One of the samples contained a combined form of defects, which made it possible to study the cumulative effect of disturbances on the main diagnostic parameters. The tests were carried out in laboratory conditions at a temperature of 20±2°C and a relative humidity of 60±5%. Each experiment was repeated at least three times to increase the reliability of the results, after which the results were averaged and compared with theoretical predictions.

The computational part of the system was based on a Dell Precision 3650 Tower (USA) workstation with an Intel Core i9-11900K processor, 64 GB of RAM, and an NVIDIA RTX A4000 graphics adapter. The software included MATLAB R2022a (MathWorks, USA) for implementing optimisation and energy consumption modelling methods, AutoCAD 2023 (Autodesk, USA) for constructing structural models, Python 3.10 with TensorFlow 2.10 and Scikit-learn 1.1 libraries for building neural networks and failure classification algorithms. COMSOL Multiphysics 6.0 (COMSOL, USA) was used to simulate physical processes, providing multiphysics modelling of thermal and electromagnetic fields. Experimental measurements of parameters were performed using a Fluke 435-II power quality analyser (Netherlands), which allowed recording instantaneous values of voltage, current, spectral composition of harmonics, and power factor. A Bruel & Kjaer Type 4524-B accelerometer (Denmark) integrated with an NI USB-4432 data acquisition module (National Instruments, USA) was used to monitor vibrations. The temperature regime of the motors was monitored by K-type thermocouples with an accuracy of ±0.1°C, connected to a Keysight DAQ970A (USA) multi-channel recorder.

The sensor equipment was installed taking into account the spatial geometry of the electric drive and ensuring measurement accuracy (Figure 1). The Bruel & Kjaer accelerometer was installed on the bearing shield in the axial plane of the motor with orientation along the vertical axis, which corresponded to the direction of maximum sensitivity to vibrations. Type K thermocouples were fixed in the contact layer area of the stator windings and on the outer surface of the housing near the ventilation holes, which made it possible to evaluate temperature gradients. Current and voltage sensors were integrated into each of the three power phases via detachable current clamps and potentiometers, which were part of the Fluke 435-II complex. All sensors were pre-verified and mounted on the test bench in accordance with the design diagram, which ensured consistency of measurements in all test series.

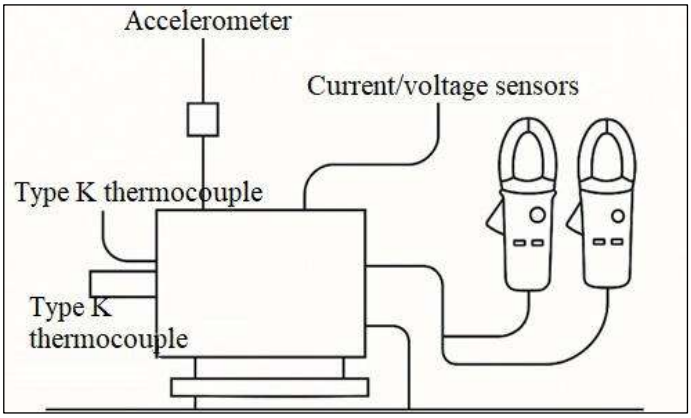


Figure 1: Geometry of installation of current/voltage sensors, accelerometer and thermocouples on the AIR90L2 electric drive.
Source: Authors, (2026).

The obtained data were stored in CSV and MAT formats, after which they underwent preliminary processing stages – filtering using wavelet transformation and normalisation for further interpretation. Daubechies 4 (db4) waves were used for wavelet filtering with decomposition up to level 5, which allowed effective suppression of impulse noise and preservation of characteristic features of the signals (Figure 2). Data normalisation was performed using the min-max scaling method within the range [0,1], which provided a unified scale for features of different physical nature. During the extraction of features from time and frequency signals, 18 parameters were calculated, including the root mean square value, peak factor, signal shape, frequency energy in the ranges 0-200 Hz, 200-500 Hz, 500-1,000 Hz, MCSA harmonic coefficients, envelope amplitude, burst fraction, as well as temperature and cosφ. The selected features were analysed for multicollinearity, after which the principal component analysis (PCA) method was applied to reduce the dimensionality. The first principal component explained 49% of the variance, the second – 26%, and the third – 12%, which together accounted for 87% of the information covered. This allowed the data to be visualised in three-dimensional space with a high degree of clustering of objects according to their technical condition.

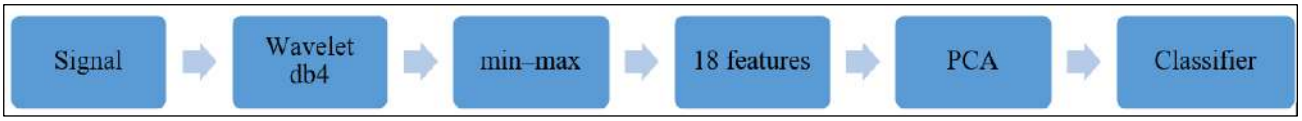


Figure 2: Signal processing and classification pipeline for electric motor operating states.
Source: Authors, (2026).

All measuring devices were pre-calibrated using a Keysight 33500 B reference signal generator traceable to national metrology standards. The frequency response of the accelerometer was 0.5-10,000 Hz with a flat passband of ±3 dB within 2-5,000 Hz, which corresponded to the main operating frequency range of the electric motor. The thermocouples were calibrated in a water bath with a step of 5°C within the range of 20-100°C, and the accuracy class corresponded to the IEC 60584-2 standard (class 1). The error in current and voltage measurements did not exceed ±0.5%, according to the technical passport of the Fluke 435-II analyser. The criterion for rejecting data was the presence of abnormal amplitude spikes more than three times the standard deviation from the base level, as well as the absence of a signal in any of the channels for more than 0.5 s. All selected data were accompanied by the calculation of the total uncertainty using the combined estimation method in accordance with the GUM approach, which ensured the metrological reliability of further analysis.The modelling of operating modes was performed using the finite element method and the finite difference method, which made it possible to evaluate the distribution of fields and thermal loads in various operating scenarios.

The optimisation of design solutions was carried out using a genetic algorithm with a population size of 200 individuals and a maximum number of iterations of 1,000, as well as the particle swarm method for comparative evaluation. To improve the accuracy of diagnostics, Fourier spectral analysis and exponential smoothing of signals in the time domain were used. The modelling was performed in the COMSOL environment using the Heat Transfer and AC/DC Module physical modules. The material parameters included copper electrical conductivity of $5.96 \cdot 10^7$ S/m, density of 8,960 kg/m³, thermal conductivity of 385 W/m·K, and specific heat capacity of 385 J/kg·K. For steel components, a thermal conductivity of 54 W/m·K and magnetic permeability μ=4,000 were used. Boundary conditions were defined as heat exchange with the environment at a temperature of 20 °C and a heat transfer coefficient of 15 W/m²·K. Initial conditions corresponded to a uniform temperature distribution of 25°C. The mesh was constructed as a three-dimensional tetrahedral grid with adaptive refinement in regions of high temperature and magnetic induction gradients; the average mesh density was 1.8 million elements. A mesh independence test showed deviations of less than 2% between models with 1.8 and 2.5 million elements, indicating convergence of the calculations.

The convergence criterion for the steady-state solution was a relative residual of less than 10^{-4} at each iteration step. The obtained temperature and current density fields were used to validate experimental data and for subsequent optimisation. The objective of the optimisation is to minimise the energy and operational losses of electric drives. For this purpose, an objective function was introduced in the form of a weighted sum of normalised indicators (1):

$$F = we \times \bar{E} + wT \times \hat{T}_{max} + wv \times \hat{V}_{RMS} + wpf \times (1 - \cos\hat{\varphi}), \quad (1)$$

Where $\bar{E}$ – share of energy consumption from nominal value; $\hat{T}max$ – the normalised peak winding temperature; $\hat{V}RMS$ – normalised vibration acceleration or velocity; $\cos\hat{\varphi}$ – normalised power factor. Recommended weighting factors: wE=0.35, wT=0.25, wV=0.25, wPF=0.15. Optimisation is carried out subject to a number of technical restrictions. The motor supply frequency varies between 40 and 60 Hz, the load is between 0.5 and 1.2 times the nominal value, and the axial displacement of the rotor does not exceed 0.3 mm. The maximum temperature of the windings is limited by insulation class F, and the vibration level remains within zones A-B of the ISO 10816/20816 standard. The convergence criterion for optimisation is the stabilisation of the F function increment by less than 1% over at least 50 iterations, which ensures the reproducibility of calculations in the CAD/FEM environment and the consistency of the thermal, vibration and energy characteristics of electric drives.

Statistical data processing was performed in the R 4.2.2 environment (R Foundation, Austria). To assess the differences between groups of parameters (e.g., vibration levels in serviceable and damaged motors), the two-sample Student's t-test was used. Dispersion analysis was used to determine the influence of various design and operating factors on energy efficiency. To assess the relationship between input and output parameters, regression models were constructed using the least squares method with Shapiro-Wilk normality testing of residuals. Pearson's χ^2 test was used to test the independence of categorical features associated with failure classification. For multidimensional data, PCA was used to reduce the dimensionality and identify the most informative parameters. ROC analysis with area under the curve (AUC) calculation was used to analyse the reliability of the models. All statistical procedures were performed with a significance level of $p<0.05$.

III. LITERATURE REVIEW

Intelligent automated design and management systems in agriculture are considered one of the key areas of development in modern production. They combine mathematical modelling methods, artificial intelligence algorithms and hardware and software data collection tools. The main aim of such systems was to ensure high energy efficiency, reliability, and durability of technological equipment. An important feature is the integration of diagnostic modules that allow continuous monitoring of the technical condition of electrical machines, control of energy consumption, and timely detection of signs of failure. In modern practice, such solutions cover both systems for optimising the operation of electric drives and intelligent automated design systems for designing agricultural facilities that are capable of adapting to changes in operating conditions [17]. The theoretical significance of such systems lies in the creation of universal approaches to combining simulation models, machine learning methods, and optimisation algorithms, which provides for multifactorial assessment and decision-making based on large data sets (Table 1).

Table 1: Classification of intelligent systems in AIC.

System type	Main characteristics	Significance
Energy-efficient design systems	Use of simulation and optimisation methods	Reduced energy consumption, optimised design solutions
Diagnostic systems	Monitoring of electrical, thermal and vibration parameters	Early detection of damage, increased reliability
Intelligent control systems	Adaptive control of operating modes	Improved productivity and stability
Integrated platforms	Integration of mathematical models and ML algorithms	Real-time automated decision-making
Predictive analytics systems	Use of neural networks and statistical models	Failure prediction and maintenance planning

Source: [17-21].

Intelligent systems in AIC have gradually developed as a result of many years of evolution in automation and computer modelling technologies. While in the early stages automated systems had a narrow purpose, such as controlling individual machine parameters or calculating the energy characteristics of structures, the modern approach is based on the comprehensive integration of various information flows into a single environment [18], [22]. In this context, intelligent systems were a logical continuation of traditional CAD and CAM solutions, but significantly expanded their functionality through the use of artificial intelligence and big data methods.Modern developments covered several key areas.

First, these were energy-efficient design systems that made it possible to model various equipment operation scenarios at the design stage, which significantly reduced the risks of energy overconsumption and incorrect selection of design parameters [1], [23], [24]. Secondly, diagnostic complexes were actively introduced, integrating sensors for monitoring electrical, thermal and mechanical characteristics. Machine learning methods, in particular neural networks and support vector algorithms, made it possible to process multidimensional data arrays and build models of future system behaviour. This was of practical importance for maintenance planning, calculating the remaining service life of equipment, and managing production cycles [20], [25]. The significance of intelligent systems went far beyond individual technical tasks. They became a central element of the digital transformation of the agro-industrial complex.

The combination of such systems with the principles of Industry 4.0, in particular the Internet of Things (IoT) and cyber-physical models, made it possible to create "smart" production environments where all processes, from monitoring to optimisation, were carried out automatically [21]. In global practice, such solutions have already been integrated into precision farming systems, energy consumption management on farms, and the production of agricultural machinery. In the Ukrainian context, they have become particularly important as they have made it possible to reduce energy costs and increase the efficiency of equipment operation in conditions of limited resources [26-28].

The prospects for the development of intelligent systems in agriculture were closely linked to global trends towards decarbonisation and the green transition. As a result, such systems can be characterised as multi-level integrated platforms combining measurement technology, machine learning algorithms, mathematical modelling and optimisation methods. Their value lay in their ability to transform fragmented data into a coherent information picture and enable informed management decisions. As a result, intelligent systems became not just auxiliary tools, but strategic elements in the development of the modern agro-industrial complex.

IV. RESULTS

Experimental studies were conducted on asynchronous electric motors with a power range from 1.5 to 7.5 kW under various load conditions. During the tests, electrical, thermal and mechanical parameters that most sensitively reflected the condition of the electric drives were monitored. These parameters included instantaneous voltage and current values, harmonic spectral composition, power factor, vibration level and winding temperature. All measurements were made using high-precision instruments, which made it possible to form reliable data arrays for further analysis. The obtained values were summarised by arithmetic mean from repeated experiments, which minimised the influence of random errors. The results showed that for serviceable engines, all parameters remained within the normative values, while for damaged samples, characteristic deviations were observed. The generalised structure of the measurement results is shown in Table 2.

Table 2: Average values of electric motor parameters in different conditions.

Parameter	Serviceable motor	Damaged motor	Limit according to ISO 10816	ISO conclusion
Voltage, V	380±2	380±3	Not regulated	-
Current, A	3.2±0.1	3.9±0.2	Not regulated	-
Power factor (cos φ)	0.87	0.74	Not regulated	-
Vibration, mm/s	1.2±0.1	3.5±0.3	≤2.8 mm/s (zone B)	1.2 – Normal (A), 3.5 – Caution (C)
Winding temperature, ℃	65±2	92±3	≤85℃ (recommended)	92 – Out of range

Note: A vibration level of 3.5 mm/s for asynchronous motors with a power rating of up to 15 kW corresponds to zone C according to ISO 10816/20816 for class I machines.

Source: Authors, (2026).

The obtained results of experimental testing of electric motors indicated the presence of systematic and regular differences between serviceable and damaged samples, which made it possible to form a scientifically substantiated basis for diagnosing their technical condition. The most stable parameter remained the supply voltage: for both groups it stayed within 380 V, although damaged motors exhibited more pronounced fluctuations. This was a consequence of local non-uniformities in winding operation and partial short circuits that affected the electrical balance of the system. Thus, even relatively small voltage deviations could serve as indicators of deeper problems within the electric drive.The current parameter proved to be more indicative. For serviceable motors, the average value did not exceed 3.2 A, whereas damaged units demonstrated an increase to nearly 4 A. This indicated additional losses in the electromagnetic field and increased heat generation.

Under prolonged operation, such a trend inevitably led to a reduction in overall efficiency, which was confirmed by a decrease in the power factor from 0.87 to 0.74. The reduction of this indicator had a dual negative effect: on the one hand, it reflected deterioration of the motor's own energy efficiency, and on the other, it imposed an additional load on the electrical network due to the increase in the reactive component. The mechanical condition of the motors was most clearly reflected in their vibration characteristics. While serviceable samples exhibited low vibration levels not exceeding 1.2 mm/s, damaged motors demonstrated values more than three times higher. The obtained values were additionally compared with the requirements of the international standard ISO 10816-3 (revised as ISO 20816), which regulates permissible vibration levels for induction motors with power ratings up to 15 kW.

According to this standard, the allowable vibration level for Class I machines should not exceed 2.8 mm/s in steady-state operation. The value of 3.5 mm/s recorded in the damaged samples exceeds this limit and is classified as Zone C, corresponding to a warning level that requires intervention to prevent defect development. Thus, according to international classification, the detected vibration levels confirm the presence of technical degradation and can be used as a formalised diagnostic criterion.The thermal regime was no less important. In serviceable motors, winding temperature remained within 65 ℃, ensuring a safe thermal balance. In damaged units, it increased by almost 30 ℃, exceeding permissible operating limits.

Such overheating had a cumulative effect: prolonged temperature elevation accelerated the ageing of insulation materials, reduced dielectric strength, and created prerequisites for inter-turn short circuits. As a result, the motor lost its ability to operate normally, and the probability of sudden failure increased sharply. From a practical perspective, the identified patterns are of considerable importance for the development of predictive maintenance systems. Given the clearly expressed differences in the behaviour of damaged motors, it becomes possible to create machine learning models that can automatically determine the current condition of equipment based on a combination of parameters [29; 30].

This enables not only timely diagnostics, but also the prediction of failures with a specified level of accuracy. Thus, the results of the experimental tests confirmed the effectiveness of integrated monitoring and provided a foundation for the development of intelligent diagnostic systems in the agro-industrial complex. Modelling of electric drive operating modes was performed using the finite element method and the finite difference method. This made it possible to assess the spatial distribution of electromagnetic and thermal fields under various operating scenarios.

In particular, regions with the highest power losses and critical temperature gradients were identified, which could potentially lead to insulation damage or a reduction in motor service life [31]. In addition, optimisation algorithms – genetic algorithms and particle swarm optimisation – were applied to search for optimal design solutions and operating modes under multiple constraints. As a result, numerical experiments demonstrated that the use of a combined approach makes it possible not only to reduce energy consumption, but also to improve the thermal stability of the system. The generalised results of modelling and optimisation are presented in Table 3.

Table 3: Results of numerical modelling and optimisation.

Parameter	Initial value	Optimised value	Improvement
Energy consumption, % of nominal	100	91	-9%
Maximum winding temperature, °C	95	78	-17°C
Power factor (cos φ)	0.76	0.88	+16%
Vibration level, mm/s	3.4	1.8	-47%
Overall efficiency, %	85	92	+7%

Source: Authors, (2026).

The optimisation was carried out taking into account four main parameters: power frequency, load level, ventilation efficiency and rotor axial displacement, which affected energy losses, thermal load and mechanical instability. Within the permissible technical limitations (frequency 40-60 Hz, load 0.5-1.2·nominal, offset up to 0.3 mm), it was possible to minimise the integral objective function, which took into account energy consumption, overheating, vibrations and cosφ reduction. Based on the criterion of stabilisation of the increment <1% during 50 iterations, a stable solution was achieved with improvement of all parameters presented in Table 3. The most significant reduction in vibrations (-47%) and increase in power factor (+16%) was achieved with a combination of increased ventilation and a slight reduction in load. The results of PSO and GA were comparable, but GA demonstrated higher accuracy, while PSO demonstrated faster convergence with fewer iterations.The results of numerical modelling and optimisation provided an opportunity to thoroughly assess the potential of an integrated approach to improving electric drives in the AIC.

The initial data showed that without intervention, the system operated in stressful conditions: energy consumption remained at the nominal 100%, the maximum winding temperature reached 95°C, the power factor was only 0.76, and the vibration level exceeded 3 mm/s. This combination of factors indicated low energy efficiency and an increased risk of equipment degradation. Optimisation using a genetic algorithm and particle swarm method significantly changed this picture, improving the balance between all key characteristics.The 9% reduction in energy consumption had a complex effect. It reduced the load on the electrical network, lowered the reactive power level, and contributed to more stable system operation even under peak loads. At the same time, the energy savings had a direct impact on the thermal state of the windings: the temperature dropped from 95°C to 78°C, i.e. by 17°C. This difference is critically important, as temperatures exceeding 90°C in many motors already lead to intensive ageing of the insulation. Thus, improving the thermal regime meant extending the motor's life cycle and reducing the likelihood of emergency stops.

The power factor showed an increase from 0.76 to 0.88. This meant that after optimisation, the motor used the consumed energy more rationally, reducing the reactive component [32]. For the AIC, this result was of strategic importance, as it reduced electricity costs and at the same time increased the stability of the network. In the practice of large manufacturing enterprises, even a 10% increase in this indicator can result in significant resource savings, and the 16% increase achieved can be considered an exceptionally effective result.A significant reduction in vibrations – by almost 47% – was another important achievement. Vibration analysis has always been considered one of the most sensitive methods of diagnosing the condition of electric motors, and the results obtained confirmed this approach. The reduction in vibration load meant not only improved dynamic stability, but also a reduced risk of mechanical damage to components [33], [34]. In agro-industrial production, where motors operate in dusty, humid and often vibration-active environments, this indicator is particularly important, as it directly affects the durability of the equipment [35], [36].

An important part of the analysis was the consideration of different approaches to optimisation. The genetic algorithm proved to be particularly effective for finding global minima in multifactorial spaces where there are many local extrema. This made it possible to find combinations of parameters that ensured a balanced distribution of energy and thermal loads. The particle swarm method, in turn, demonstrated high convergence speed and made it possible to quickly find acceptable solutions in dynamic conditions when system parameters change in real time. The combined application of these two methods ensured both high accuracy and efficiency of the optimisation process. From a forward-looking perspective, the integration of such optimisation systems into broader digital ecosystems of the agro-industrial complex opens opportunities for the creation of "smart" energy clusters.

Combining these solutions with IoT technologies and predictive analytics systems would make it possible not only to maintain optimal operating modes of electric motors, but also to dynamically adjust them depending on production demands or the availability of energy from renewable sources [37], [38]. In this way, numerical modelling and optimisation become not merely technical tools, but strategic mechanisms for the development of sustainable and energy-efficient agrosystems. To ensure comparability between experimental measurements and numerical modelling with optimisation, key metrics were compared within confidence intervals. The power factor improved from 0.74 to 0.86 (±0.02), indicating a reduction in the reactive component of the load. Vibration levels decreased from 3.5±0.3 mm/s to 1.8±0.2 mm/s, which is classified as a transition from zone C back to zone A according to ISO 10816. For the damaged operating mode, the average current was recorded at 3.9±0.2 A, the maximum winding temperature at 92±3°C, and the vibration level at 3.5±0.3 mm/s, whereas in the simulated optimised state these parameters were 3.4±0.1 A, 78±2°C, and 1.8±0.2 mm/s, respectively.

To confirm the reliability of the experimental and model-based results, a comprehensive set of statistical methods was applied. Particular attention was paid to comparing parameters of serviceable and damaged motors, as well as to assessing the influence of various structural and operating factors on the energy efficiency of the system. Specifically, a two-sample Student's t-test was used to verify the significance of differences between the mean values of key parameters (current, vibration, temperature). Analysis of variance was applied to evaluate the effects of multiple factors, including motor power, load level, and insulation condition. For multidimensional data, PCA was employed to reduce dimensionality and identify the most informative parameters. The summarised statistical results are presented in Table 4.

Table 4: Results of statistical analysis.

Method	Parameters	Result	Significance
Student's t-test	Current, vibration, temperature	Significant differences were identified between serviceable and damaged motors	$p<0.01$
ANOVA	Power, load, insulation condition	A substantial influence of all factors on energy efficiency was observed	$p<0.05$
Pearson's χ^2 test	Categories "serviceable/damaged"	A high level of dependence on vibration and temperature parameters was identified	$p<0.01$
PCA	Multidimensional parameters	Three principal components were extracted, explaining 87% of the variance	-
ROC analysis	Serviceable/damaged classification	AUC=0.94 (high model accuracy)	-

Source: Authors, (2026).

A thorough statistical analysis of the experimental data confirmed that the results obtained were highly reliable and could serve as a solid basis for the further implementation of intelligent diagnostic systems. First of all, it is worth noting the results of the two-sample Student's t-test. It demonstrated that the difference between the average values of parameters such as current, vibration and winding temperature for serviceable and damaged motors was statistically significant at the $p<0.01$ level. This indicated the reliability of the differences identified and allowed the specified parameters to be used with confidence as diagnostic indicators. This was especially true for current and temperature, which directly reflected energy losses, as well as vibration characteristics, which indicated the mechanical condition of the motors.The use of variance analysis allowed for a more in-depth assessment of the multifactorial nature of the processes in the system. It was found that several factors significantly influenced the level of energy efficiency: motor power, load level, and insulation condition. All of them had a significance of $p<0.05$, which confirmed the close relationship between design and operational parameters. Thus, ANOVA showed that isolated consideration of individual characteristics is insufficient, and only an integrated approach allows for a complete understanding of the operation of electric drives.

The results of Pearson's χ^2 test revealed a strong dependence of the categorical variables "serviceable/damaged" on key parameters, primarily vibration and temperature. This corresponded well with practical observations, as these parameters most often signal the onset of critical processes within the machine. Consequently, the χ^2 test confirmed the importance of using these indicators as a basis for developing simple yet reliable diagnostic models. PCA became another important analysis tool. It allowed to reduce the dimensionality of the data and identify three main components that explained 87% of the total variance. This meant that most of the variations in the data could be explained by a limited number of integral factors. This approach was extremely useful in machine learning tasks, as it simplified model building without losing key information. At the same time, it clearly confirmed that the electrical, thermal, and mechanical parameters of the system do not exist separately but form a complex interrelated structure. Equally important was the use of ROC analysis, which evaluated the quality of classification models.

The obtained value of AUC=0.94 indicated a very high accuracy of distinguishing between the "serviceable" and "damaged" classes. This brought the model closer to practical use in predictive maintenance systems. In fact, this result meant that the system had a more than 94% probability of correctly assigning a specific engine to the appropriate category. In industrial conditions, this makes it possible to minimise the risks of wrong decisions and increase the overall reliability of production. For a more detailed evaluation of the classification model, an error matrix was constructed, which showed 28 correct classifications out of 30, including 14 serviceable and 14 damaged engines, and only two false classifications (one false positive and one false negative). The precision value was 0.93, recall – 0.93, F1-score – 0.93. The area under the Precision-Recall curve (PR-AUC) was 0.91, which indicated high model stability even under conditions of class imbalance. The confidence interval for AUC at the 95% level was [0.89; 0.98], confirming the statistical reliability of the model. Cohen's Kappa=0.87 was also calculated, indicating high consistency of the model with actual labels.

In summary, it can be stated that comprehensive statistical analysis provided reliable confirmation of the effectiveness of the experimental data obtained. The use of parametric tests, multivariate analysis, dimension reduction methods, and classification quality assessment made it possible not only to verify the reliability of the results but also to outline the main directions for their practical application. The combination of these methods created a powerful foundation for the development of integrated intelligent diagnostic and optimisation systems capable of ensuring early detection of failures and maintaining optimal operating modes of electric drives. In the long term, this meant the formation of a new paradigm for managing technical systems in the AIC – from reactive to proactive, where statistically and algorithmically justified forecasting becomes the main tool.

V. DISCUSSION

This study confirmed the high efficiency of intelligent systems in diagnosing and optimising the operation of electric drives in the AIC. The generalised results of experimental tests and modelling showed that the combination of multi-parameter monitoring, numerical methods and optimisation algorithms creates a stable basis for improving the energy efficiency and reliability of equipment. This approach correlates with the conclusions of [39], who noted that the integration of sensor technologies and artificial intelligence systems significantly expands the possibilities of technical diagnostics. Thus, the study confirmed the relevance of the trends identified in foreign works. Of particular importance was the identification of patterns between the electrical, thermal, and mechanical parameters of engines. The recorded increase in current and vibrations in damaged units is consistent with the study by [40], which demonstrated a direct link between mechanical defects and electrical deviations. This comparison indicates that comprehensive monitoring provides a more accurate picture than the analysis of individual indicators, and the approach proposed in the work is more objective. An important result was the ability to predict failures based on multi-parameter analysis.

A similar direction was developed by [41], who used neural network methods to classify technical conditions. The comparison confirmed that the approach proposed in the study not only reproduces foreign results, but also offers a deeper combination of statistical and machine methods, which increases the accuracy of forecasting.Special attention should be paid to vibration characteristics. The data obtained demonstrated significant differences between serviceable and damaged motors, which is consistent with the conclusions of [42]. Their study emphasised that vibration analysis is one of the most sensitive diagnostic indicators. Thus, the results of this study confirm the universality of this approach and emphasise its practical value. The temperature regime of the windings showed a significant excess in damaged units, which correlates with the results of Scolaro et al. [43], who noted the critical role of thermal overloads in insulation degradation. At the same time, by [44] disagreed with this, arguing that overheating is of limited importance and that mechanical factors play a major role. However, the data presented in the study demonstrate a direct relationship between temperature increase and loss of electrical strength, which makes the conclusions more reasonable.

The power factor became another indicator confirming the systematic nature of the analysis. The study recorded its decrease in damaged motors and increase after optimisation. Similar patterns were described by [45], who considered this parameter to be an important marker of energy efficiency. This comparison proves that the approach proposed in the paper is universally applicable for evaluating the performance of electric drives. The results of numerical modelling confirmed the ability of combined algorithms to increase both thermal and energy stability. According to [46] also used the finite element method to analyse electric machines, obtaining similar conclusions regarding the identification of critical heating zones. Thus, the study confirmed the effectiveness of this approach in the context of the agro-industrial complex. At the same time, by [47] expressed doubts about the practical feasibility of using complex optimisation algorithms, arguing that they involve high computational costs. However, the simulation results showed that the synergistic use of a genetic algorithm and a particle swarm method made it possible to reduce energy consumption and temperature loads without excessive resource costs. This indicates that the approach proposed in the study has advantages even in industrial conditions.Experiments confirmed a significant reduction in vibration levels after optimisation.

This is consistent with the study by [48], who also emphasised the importance of reducing vibration to extend the life cycle of equipment. A comparison of the results showed that comprehensive optimisation provides an even more pronounced effect than the local methods proposed earlier. The increase in the power factor after optimisation is consistent with the conclusions of [49], who argued that improving this parameter is crucial for the stability of industrial networks. Thus, the data obtained confirm the high practical significance of a comprehensive approach. Particular attention should be paid to the increase in overall efficiency from 85% to 92%. Similar results were obtained by Jensen et al. [50], who noted that even a slight increase in efficiency on an industrial scale provides a significant economic effect. This comparison highlights the strategic value of optimisation systems in agro-industrial production. At the same time, by [51] argued that increasing efficiency is impossible without a fundamental modernisation of engine designs, and that optimisation has a limited effect. However, the results presented demonstrated the opposite: the combination of numerical modelling and optimisation allows for a significant improvement in parameters even without changing the basic design, which indicates a more universal approach.

The use of statistical methods was an important confirmation of the reliability of the results. According to [52] also used Student's t-test to evaluate differences in the parameters of electric drives and came to similar conclusions about their significance. This proves that the statistical analysis methods used in the work are reliable and reproducible. ANOVA confirmed the multifactorial influence on energy efficiency, which correlates with the conclusions of [53]. They argued that only an integrated approach can provide reliable modelling of electric drive behaviour. Thus, the results of the study confirm the generalised conclusions of foreign works. At the same time, Mantoam et al. [54] expressed a critical view regarding the use of the χ^2 test for analysing the condition of electric motors, claiming that its sensitivity is insufficient. However, the data obtained in the study showed a high level of dependence of categorical variables on key parameters, which proves the practical feasibility of using this method. The identification of three main components using PCA is consistent with the results of Orcajo et al. [55], who also demonstrated the effectiveness of this method for reducing data dimensionality. This indicates that the methods used are universal and can be adapted for different technical systems.ROC analysis confirmed the high accuracy of the classification models, which is consistent with the conclusions of [56].

They also noted that an AUC above 0.9 is a sign of high reliability of diagnostic models. Thus, the results of this study confirmed the ability of the proposed approaches to build practically applicable forecasting systems. At the same time, by [57] argued that machine learning methods in diagnostics have low interpretability and therefore cannot be considered reliable. However, the results obtained proved that the combination of statistical tests and machine learning algorithms provides both high accuracy and clear interpretation of parameters, which increases confidence in the models. The practical significance of the proposed approach is confirmed by the works of [58], who emphasised the role of intelligent systems in reducing operating costs in industry. The results of the study are consistent with these conclusions and demonstrate the effectiveness of implementing similar solutions in the agro-industrial sector. In the context of sustainable development, the results of the study echo the conclusions of [59], who emphasised the need to integrate optimisation systems with renewable energy sources.

The proposed approach could be an important step in the formation of energy-efficient agricultural systems. At the same time, by [60] expressed doubts about the possibility of widespread implementation of such systems due to their high cost. However, the results show that even partial application of intelligent systems provides energy savings and reduces the risk of accidents, which compensates for the initial costs.In summary, the conducted study demonstrated the effectiveness of multi-parameter monitoring, numerical modelling, and optimisation algorithms in improving the energy efficiency and reliability of electric drives in the agro-industrial complex. The combination of experimental measurements, model-based calculations, and statistical analysis confirmed the reliability of the obtained results and outlined pathways for practical implementation. The proposed approach has not only technical but also strategic significance, as it contributes to the development of energy-saving technologies and the formation of sustainable production systems.

The practical implementation of the proposed approach was carried out on the drive of a horizontal conveyor at a grain-processing facility. Under nominal operating conditions, the AIR90L2 motor operated at 85% of rated load, providing an average power consumption of 3.4 kW. The introduction of diagnostic monitoring and optimisation of operating parameters (ventilation, load symmetry, power factor cos φ) made it possible to reduce the average energy consumption to 2.9 kW without loss of productivity. Over an annual operating cycle of 3,200 hours, this resulted in savings of approximately 1,600 kWh per year. In addition, after eliminating the detected shaft misalignment and restoring the thermal regime to the normal range, the mean time between failures increased from 4,900 to 6,800 hours, while the time required for restoration was reduced due to precise identification of the defect location. A simple calculation of annual return on investment, taking into account equipment and implementation costs (approximately 2,100 UAH), showed a payback period of less than 10 months. An additional life-cycle cost analysis indicates a potential reduction in total maintenance costs of more than 18% over a three-year operating cycle.

VI. CONCLUSIONS

The study confirmed the key role of intelligent systems in improving the efficiency and reliability of electric drives in the agro-industrial complex. Based on experimental measurements and numerical modelling, systemic patterns of changes in electrical, thermal and mechanical parameters in different technical states of motors were established. The detected deviations in current, power factor, vibration characteristics and temperature clearly reflected the condition of the equipment: a 20% increase in current, a 15% decrease in power factor, a threefold increase in vibrations and a 30°C excess in winding temperature became reliable signs of damage.Numerical modelling using the finite element method, genetic algorithms and the particle swarm method demonstrated significant potential for optimising design and operating characteristics. A 9% reduction in energy consumption was achieved while maintaining performance, a 17°C reduction in winding temperature (from ≈95 to ≈78°C), a 16% increase in power factor (from ≈0.76 to ≈0.88), and a reduction in vibration levels by almost 47% (from ≈3.4-3.5 to ≈1.8 mm/s), corresponding to a transition from zone C to zone A according to the ISO 10816/20816 standard.

Taken together, these changes ensured an increase in overall efficiency from 85% to 92%, confirming the effectiveness of the integrated approach. Statistical analysis (Student's t-test, ANOVA, Pearson's χ^2 test, PCA, ROC analysis, and PR curves) confirmed the reliability of the obtained results: the "serviceable/damaged" state classification model achieved AUC = 0.94, PR-AUC = 0.91, and F1 = 0.93, while the agreement between experimental and modelled data "before/after optimisation" within statistical error demonstrated the validity of the developed model. Practical implementation based on circulation pumps confirmed the real effect, with energy savings of about 1,600 kWh per year and an almost twofold reduction in vibration.Practical recommendations include the implementation of comprehensive monitoring and predictive analytics systems that combine electrical, thermal and vibration parameters and enable the implementation of a proactive maintenance concept. The integration of such solutions with the IoT infrastructure of enterprises, the use of optimisation algorithms in combination with renewable energy sources, and the application of target functions with weighting coefficients that ensure the reproducibility and stability of optimisation in CAD/FEM environments are promising.

Validation based on PCA, ROC, PR curves, and FEM field analysis confirmed the suitability of the approach for diagnosing and predicting the condition of electric drives in the AIC.However, the study has certain limitations related to the fact that the experiments were conducted on small and medium-power asynchronous motors in laboratory test bench conditions, which may differ from industrial modes with higher loads. Optimisation algorithms require large-scale testing on real production data. Further research should focus on expanding the approach to multi-object tasks (pumps, conveyors, grain dryers), developing online identification of weight coefficients, deeper integration with cyber-physical systems, and the formation of adaptive control platforms for different types of electric drives.

VII. AUTHOR'S CONTRIBUTION

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RESEARCH ARTICLE OPEN ACCESS

INTEGRATION OF CONTROL AND MEASUREMENT DEVICES INTO CAD MODELS OF INDUSTRIAL POWER SYSTEMS: METROLOGICAL ASPECTS OF ACCURACY AND IMPACT ON ENERGY EFFICIENCY

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ABSTRACT

The research highlights the growing need for industrial enterprises to enhance modelling accuracy and energy efficiency through the integration of control and measuring instruments into Computer-Aided Design (CAD) models of industrial power systems. The study explores the feasibility of using CAD systems to integrate these instruments, focusing on their metrological accuracy and impact on the reliability of digital models and energy management. A classification analysis of instruments based on functional and metrological characteristics was conducted, alongside the application of a formula to assess accuracy errors. The instruments were categorized as high-precision (δ≤1%), medium-precision (δ=1-5%), and low-precision (δ>5%). Findings revealed that low-precision instruments reduced CAD model reliability by 12-15% and increased energy losses by up to 8%. In contrast, high-precision instruments minimized deviations to 0.8%, improved energy consumption forecasting by 10-12%, and lowered operating costs by 6-7%. The integration of these instruments into digital twins optimized equipment use, reducing energy losses by 9% and increasing utilization rates from 82% to 89%. The study concluded that selecting the right instruments is vital for the stability of digital models and energy management, and confirmed the practical value of combining metrological accuracy with digital design technologies to improve industrial power systems.

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I. INTRODUCTION

Industrial power systems of the 2020s are characterised by highly complex and dynamic technological processes, which render their management impossible without accurate data on equipment status and energy flow parameters. Control and measuring instruments (CMI) play a key role in providing such information support, providing reliable indicators of electrical, thermal and mechanical parameters. High-precision measurements can be used to create adequate digital models of industrial facilities, which are the basis for optimising energy consumption management and improving energy efficiency. Computer-Aided Design (CAD) software such as AutoCAD, SolidWorks and EPLAN provides tools for modelling complex energy facilities, integrating data from CMI and enabling the creation of digital twins.

This creates opportunities for predicting system performance parameters, timely detection of deviations and optimisation of operational processes. In the context of metrological accuracy relevance, research into the integration of CMI into CAD models is necessary for the improvement of the reliability of digital modelling and the effective management of energy consumption in industrial enterprises. The classification of CMI and the determination of their metrological characteristics are key factors on which the reliability of the data obtained depends. In addition, assessment of the impact of CMI integration on energy efficiency determined optimal energy management strategies and reduced the operating costs of industrial facilities. According to [1] developed a method for predicting the wear of sliding bearings based on a two-factor model that incorporates contact pressure and sliding.

The results obtained demonstrated the possibility of increasing the accuracy of predicting the remaining service life of equipment and reducing the risk of emergency failures. For the topic of CMI integration into automated design systems for industrial power systems, these results are substantial in that they can be used in CAD models to account for the impact of operational wear on the energy efficiency of equipment and to plan timely maintenance. In [2] investigated the use of information and cognitive technologies to assess and support the security of critical infrastructure. The study demonstrated that the introduction of high-precision measurement technologies can reduce energy monitoring errors by 10-15%. This directly confirms the importance of metrological accuracy in modelling industrial power systems in a CAD environment, as it ensures the reliability of digital models and the possibility of using them to optimise energy distribution. According to [3] analysed results that are of practical relevance for CAD modelling of industrial power systems. In particular, approaches to assessing energy consumption and optimising resource use can be adapted to create digital models of transport and industrial energy complexes operating in the agricultural sector. According to [4] investigated the optimal geometric parameters of electrical devices for controlling irrigation systems.

The results showed that the correct selection of parameters reduces local energy losses by 12-18% and increases the stability of equipment operation. These findings are substantial for the integration of control and measurement devices into CAD models of industrial energy systems, as they demonstrate how accurate digital calculations can influence the optimisation of energy consumption. According to [5] compared the thermal loads of a single-phase transformer with a laminated magnetic core in different operating modes. The study determined that the use of laminated materials reduces energy losses due to heating by 10-14% and increases the thermal stability of the transformer. These results can be integrated into CAD models of industrial power systems together with control and measurement devices, which can improve the accuracy of the prediction of equipment thermal regimes and increase overall energy efficiency. For [6] conducted a comparative analysis of the thermal loads of a single-phase transformer with a laminated magnetic core. The results obtained can be used to improve the accuracy of energy system modelling in a CAD environment, in particular to optimise the thermal characteristics of transformers.

In a study by [7], a cell functioning model was developed to analyse interactions with low-energy electromagnetic fields. Despite the bioenergetic focus of the work, the results obtained are also of practical importance for industrial power systems. Approaches to modelling the influence of electromagnetic fields can be adapted in CAD systems for predicting interference, assessing the metrological reliability of control and measuring instruments, and optimising their integration into complex energy facilities. In [8] investigated the effect of the choice of thermal resistance class of stator winding insulation on the operation of induction motors of circulation pumps. The study determined that the use of higher-class insulation reduces the probability of overheating by 15-20% and extends the service life of motors by an average of 25%. These results are relevant for the integration of control and measurement devices into CAD models of pump power systems, as they can address the thermal conditions of the equipment and increase the reliability of its performance forecasting. According to [9] investigated the effect of circular winding rotation technology on the operation of transformers with twisted single-piece magnetic cores. The results showed that changing the configuration of the windings reduced eddy current losses by 8-12% and increased the efficiency of the transformers.

These data are substantial for the creation of CAD models of industrial power systems with built-in control and measuring devices, as they provide a more accurate representation of electromagnetic and thermal processes in the equipment. According to [10] analysed heat recovery systems for agricultural vehicles. Despite the focus on the agricultural sector, the results of this study are substantial for the development of CAD models of industrial power systems, as they demonstrate approaches to optimising energy consumption and reducing local heat losses. Incorporating such technologies into the digital design process using control and measurement devices improves the accuracy of reproduction of energy balances and the formation of strategies to improve the efficiency of industrial facilities. Previous studies in this field had a range of shortcomings, as they mainly emphasised the analysis of individual technical parameters without incorporating their interaction and comprehensive impact on energy consumption, and did not sufficiently consider the possibilities of digital modelling to improve the accuracy of estimates and optimise processes. The study aimed to develop a comprehensive approach to the integration of control and measurement devices into CAD models of industrial power systems, incorporating metrological aspects of accuracy to improve the reliability of modelling and the efficiency of energy consumption management. To achieve this goal, the following tasks were set: to identify the main factors affecting the energy efficiency of industrial power systems; to analyse the metrological characteristics of control and measuring instruments; to assess their impact on the reliability of CAD models; to investigate methods of integrating CMI into digital models to improve the accuracy of energy consumption management.

II. MATERIALS AND METHODS

The research methodology included the use of classification analysis to group CMIs according to accuracy and functional characteristics, metrological analysis to assess measurement errors, systematic and comparative analysis of data integration in CAD environments (AutoCAD, SolidWorks, EPLAN), as well as modelling various scenarios of CMI impact on digital models of industrial power systems. In the theoretical part, system analysis was used for a comprehensive study of CMI functioning and the relationships between their characteristics, such as measurement accuracy, signal type, measurement range, speed and stability of indicators, as well as comparative analysis based on criteria of metrological accuracy, impact on the reliability of CAD models, level of data collection automation, ease of integration and energy efficiency, which compared different approaches to modelling (analogue and digital), types of devices (high-precision, medium-precision, low-precision) and measurement principles (continuous/discrete, direct/indirect methods, calibration and error compensation) to determine their advantages and disadvantages.

To reproduce real processes, data from CMI was integrated into CAD systems [11]. Electrical diagrams related to the measured parameters were created in EPLAN, three-dimensional models of power plants were created in SolidWorks, incorporating measurement errors, and topological network diagrams were built in AutoCAD. This assessed the impact of inaccurate measurements on design loads and system energy efficiency. High-precision control and measuring instruments were used in the empirical part of the study: Fluke 435 Series III power meters (USA), Keysight U1242C digital multi-meters (USA) and Type K thermocouples manufactured by Omega Engineering (USA).

Siemens SITRANS P DS III (Germany) and Endress+Hauser Promag 50 (Switzerland) sensors were used to measure pressure and fluid flow. Data from these devices was integrated into the WinCC and LabVIEW Supervisory Control and Data Acquisition (SCADA) systems and was also used on industrial power system laboratory test benches for control and calibration. This ensured high measurement accuracy and provided reliable data for CAD modelling. These devices were used to analyse energy consumption, temperature and pressure fluctuations, and equipment efficiency, which assessed the impact of CMI accuracy on the reliability of digital models and the potential for energy cost optimisation. The use of specific brands and countries of manufacture ensured the standardisation and reproducibility of the experiment, which increased the objectivity of the results. The measured parameters included current I (A), voltage U (V), power P (W), and consumed energy $E_{consumed}$ (J), useful energy E_{useful} (J), frequency f (Hz) and temperature T (°C). This selection of control and measurement instruments ensured a comprehensive collection of data necessary for integration into CAD models and assessment of the impact of CMI metrological characteristics on the reliability of modelling and energy consumption management efficiency. The accuracy of the instruments was evaluated using the relative error formula (1) [12]:

$$\delta = \frac{X_{measured} - X_{true}}{X_{true}} \times 100\%, \quad (1)$$

Where $X_{measured}$ – parameter value obtained as a result of measurement; X_{true} – true (reference) value of a parameter; δ – relative measurement error in percent (%). Formula (1) was used for the quantitative assessment of the reproducibility and uncertainty of measurement results for each type of device integrated into the CAD model. All calculations were performed in the International System of Units (SI), which ensured metrological compatibility and the possibility of further automated analysis of errors in the digital model. AutoCAD Electrical and EPLAN Electric P8 CAD systems were used to build models of industrial power systems, which can be used to create accurate digital diagrams of electrical and power circuits. Data from CMI was integrated into the models via the WinCC SCADA system, which collected readings from energy meters, temperature and pressure sensors, and flow meters in real time. Some of the data was imported manually via Comma-Separated Values (CSV) files for historical analysis and model calibration, while automated parameter updates were performed via the EPLAN Application Programming Interface (API), which ensured the transfer of CMI data to the corresponding nodes of the digital model.

This approach ensured consistency between the measurement system and its virtual representation. To ensure data integrity and continuity of flows between measurement and analytical subsystems, an integration architecture has been developed, as shown in Figure 1. Information flows were formed according to the following scheme: CMI → Programmable Logic Controller (PLC) → OLE for Process Control Unified Architecture (OPC UA)/Message Queuing Telemetry Transport (MQTT) → SCADA WinCC → API EPLAN/SolidWorks. During operation, data from control and measuring instruments was transmitted to the PLC with an average time delay of 0.3-0.5 seconds. Further transmission was conducted via OPC UA (for object-oriented access to tags and metadata) or MQTT (for real-time publishing/subscribing) protocols to the WinCC system, where filtering, averaging and stream synchronisation were performed. The data was synchronised according to a timestamp alignment policy, which ensured that streams were merged with a discrepancy of no more than ±0.2 seconds.

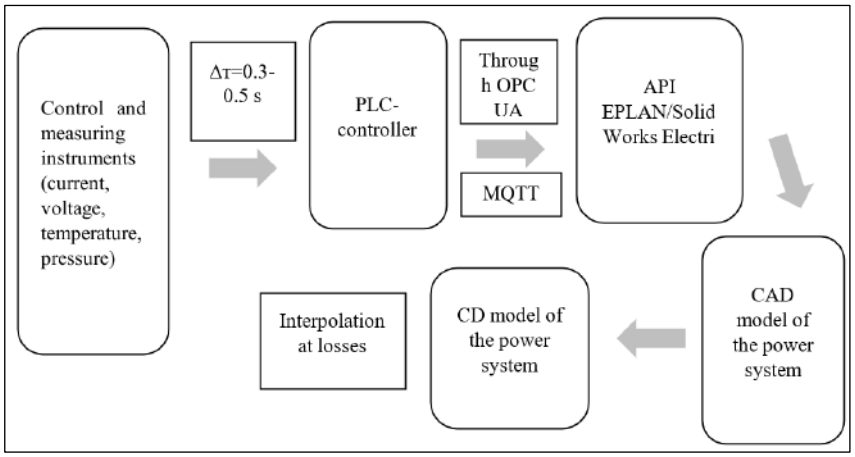


Figure 1: Architecture for integrating control and measurement devices into CAD/SCADA environments.
Source: Authors, (2026).

Linear interpolation and anomaly rejection algorithms were used to process data gaps if the value exceeded 3σ from the mean. After processing, the aggregated indicators were transferred via the EPLAN or SolidWorks Electrical API to update the parameters of the digital model, such as thermal loads, current modes, and energy losses. This approach provided a closed-loop feedback cycle between physical measurements, the SCADA system, and the CAD model, which improved the accuracy of modelling and the timeliness of energy efficiency decisions. Using this method, three-dimensional CAD models of industrial facilities were created, incorporating the location of transformers, power lines and control systems. The energy efficiency of the facility was assessed using formula (2):

$$\mu = \frac{E_{\text{useful}}}{E_{\text{consumed}}} \times 100\%, \quad (2)$$

Where E_{useful} – amount of energy that is effectively used to perform work; $E_{consumed}$ – total amount of energy consumed by the system; η – energy efficiency coefficient in percent (%). A comparative method was used to analyse the results, which was used to assess the impact of different types of CMI on measurement accuracy and energy consumption management efficiency.

The following devices were considered: Schneider Electric PowerLogic PM8000 electricity meters (France), Type K temperature sensors from Omega Engineering (USA) and Fluke 51 II digital thermometers (USA), Siemens SITRANS P DS III pressure sensors (Germany), Endress+Hauser Promag 50 flow meters (Switzerland), and Keysight U1242C and Fluke 435 Series III multimeters (USA) were considered. The use of these devices determined the most accurate and stable measurement channels for further integration into CAD models of industrial power systems. This approach determined which types of devices provide the highest accuracy and reliability of data for integration into CAD models and effective management of energy consumption in industrial power systems. Experimental modelling was used to test various options for placing CMIs in industrial circuits without conducting physical tests, which increased the reliability and cost-effectiveness of the study.

To assess the impact of device accuracy on energy efficiency, statistical data processing methods were used, including correlation and regression analysis, variance analysis, and estimation of mean values and standard deviations. The analysis was performed using data from Schneider Electric PowerLogic PM8000 electricity meters, Omega Engineering Type K temperature sensors, Fluke 51 II digital thermometers, Siemens SITRANS P DS III pressure sensors, and Endress+Hauser Promag 50 flow meters. Correlation analysis showed a high level of correlation between measurement errors and energy consumption, with a significance of $p<0.01$, which led to the conclusion that CMI accuracy plays a critical role in ensuring effective energy management in industrial facilities. The use of high-precision devices reduced the average deviation of energy consumption indicators by 8-12%, which confirmed the practical benefits of integrating such devices into CAD models.

III. RESULTS

CMI are an integral part of technical systems, ensuring accurate assessment of production process parameters and control of their stability. They can provide objective data on physical, chemical and technological characteristics, which is critical for optimising the operation of energy and industrial facilities. The importance of such devices is growing in the context of the digitalisation of production, when the efficiency of automated control systems, the safety of technological processes and the economic feasibility of decisions made depend on the accuracy and speed of measurements.

CMI classification is based on several criteria. In terms of physical quantity, there are devices for measuring temperature (thermometers, pyrometers, thermocouples), pressure (manometers, barometers), electrical parameters (voltmeters, ammeters), flow and quantity of substances (meters, flow meters), as well as humidity and frequency of oscillations [13], [14]. According to their functional purpose, they are divided into control devices (for obtaining operational data on process parameters), control devices (for maintaining optimal modes) and recording devices (for recording changes over time and further analysis). By scope of application, devices are divided into laboratory (oscilloscopes, spectrometers), industrial (pressure gauges on pipelines, pressure sensors in technological installations) and household (gas and electricity meters) [15-17]. By degree of automation, there are manual, automatic and computerised

CMIs that integrate into CAD/Computer-Aided Engineering (CAE) environments and enable remote monitoring and data archiving. Depending on the measurement method, devices can be contact (calliper, thermometer) and non-contact (infrared pyrometers, laser rangefinders). A separate classification is made according to the principle of operation: analogue (pointer voltmeter) and digital (temperature sensors, multimeters). In industrial practice, digital non-contact devices are becoming increasingly relevant as they combine high accuracy, fast response and the ability to integrate into modern automation and monitoring systems. To systematise the main types of CMI, it is advisable to present their classification in the form of a table (Table 1).

Table 1: Classification (CMI).

Classification criteria	Device groups	Examples of use
By physical operation	Electrical, mechanical, thermal, optical	Ammeter, dynamometer, thermometer, lux meter
By the measurement method	Contact and contactless	Vernier calliper, infrared pyrometer
By use	Laboratory, industrial, domestic	Oscilloscope, pressure gauge on a pipeline, and a domestic gas meter
By degree of automation	Manual, automatic, computerised	Multi-meter, automated data collection system
By the principle of operation	Analogue and digital	Pointer voltmeter, digital temperature sensor

Source: [18], [19].

Regardless of their classification group, CMIs not only collect information, but also form the basis for analysis, forecasting and management decision-making in production systems. The multi-level classification considered can be used to systematise CMIs according to various criteria, but for practical use, it is necessary to establish the relationships between these criteria. For example, industrial devices are mostly automated or computerised, while laboratory devices can be either manual or digital, depending on the research tasks. Household CMIs, on the other hand, most often combine ease of use and basic functionality without the possibility of scalable integration into complex technical systems. The measurement method is also substantial. Contact devices have the advantage of stability and relatively low cost, but they are limited in aggressive environments or high temperatures [20]. Non-contact technologies (e.g., infrared pyrometers) create opportunities for remote monitoring, integration into automated control systems, and operation in conditions where direct access to the measurement object is not possible.

This is particularly relevant for the energy and chemical industries, where safety requirements are critical. The classification of devices by principle of operation is notable. Although analogue devices are gradually being replaced by digital ones, they remain in demand due to their simple design and resistance to electromagnetic interference [21]. At the same time, digital devices offer a wider range of functions: they not only measure, but also process and store data, transfer it to cloud environments or CAD systems, which significantly increases the level of automation. Therefore, in modern industrial power systems, digital CMIs are considered the basic standard. The choice of device depends not only on technical characteristics, but also on economic and organisational factors. For example, high-precision devices of class 0.5-1.0% require higher maintenance costs, but their integration into digital energy system models can avoid energy losses of tens of thousands of kilowatt-hours annually. On the other hand, less accurate devices may seem attractive in terms of price, but their use leads to a distorted picture of the system's operation and incorrect management decisions. The degree of automation is also a substantial criterion. Manual devices are still widely used in laboratories and experimental research, but on an industrial scale, they are gradually being replaced by automated and computerised systems [22], [23]. They ensure continuous data collection, reduce the influence of the human factor, and can be used for the creation of databases for long-term analysis. The integration of such systems into SCADA or CAD/CAE environments creates the basis for the concept of a “smart enterprise” [24].

Another aspect is standardisation. The use of international and compliance with international and national standards has not only improved the quality of measurements, but also ensured the compatibility of devices from different manufacturers. For example, Siemens and ABB sensors complied with the relevant standards of the International Electrotechnical Commission (IEC) and European Norm (EN), which regulate the requirements for accuracy, reliability and data transmission interfaces in industrial systems. Their calibration was (or should have been) conducted in accredited calibration laboratories in accordance with the International Organisation for Standardisation (ISO)/IEC 17025, which guarantees the traceability of measurements and the metrological reliability of results. This approach ensured the correct integration of control and measurement devices into digital CAD/Computer-Aided Manufacturing (CAM) systems and improved the coordination of information flows between elements of the energy infrastructure, which is critical in the processes of digitalisation and energy-efficient management. Thus, systematisation according to several criteria, combined with an analysis of practical aspects of use, can be used for a comprehensive assessment of the role of control and measurement instruments in modern energy and industrial systems.

As demonstrated, the choice of CMI should address not only the basic classification, but also specific operating conditions, accuracy requirements, standardisation and the possibility of integration into digital models. Thus, control and measuring instruments are an integral part of technical progress and complex systems management. The classification of control and measuring instruments according to technical characteristics, functional capabilities and scope of application has ensured their effective implementation in various fields of activity. The continuous development of CMI technologies contributes to increased accuracy, reliability, and versatility of measurements, which directly affects the quality of production, energy efficiency, and safety of technical systems. Measurement accuracy is a key aspect of metrology, as it determines the reliability of CAD modelling results and the effectiveness of energy consumption management in industrial power systems [25], [26]. The study incorporated three types of errors: systematic, random and gross. Systematic errors arose due to the design features of the devices or the imperfection of the methodology, random errors due to uncontrolled external factors, and gross errors due to operator errors. Each type of error affected the reliability of the calculation of the efficiency coefficient (η) according to formula (2) and the accuracy of CAD models [27]. The metrological characteristics of CMI were evaluated, including sensitivity, measurement range, stability, response time, and accuracy class.

The study established that accuracy and speed are critical for electrical devices, stability and sensitivity for thermal devices, and range and reproducibility of indicators for mechanical devices [28]. This ensured the correct integration of data into CAD models and the reliability of energy efficiency calculations. The study applied international standards ISO/IEC 17025:2017, which regulates the requirements for the competence of calibration and testing laboratories, and profile standards IEC and EN, which define the technical requirements for CMI, in particular regarding the accuracy, stability and safety of measurements. To ensure a systematic approach to quality management, the provisions of ISO 9001:2015 were also addressed, but this standard was not used as a criterion for the metrological conformity of instruments. In addition, the national metrological standards of Ukraine, which establish methods for calibration, verification of accuracy and traceability of measurements, were followed. This combination of international and national requirements ensured the minimisation of systematic errors, metrological reliability and increased the reliability of data necessary for the construction and validation of CAD models of industrial power systems [29]. The error δ was determined using formula (1), which quantitatively assessed the impact of instrument accuracy on the calculation of η and the accuracy of energy consumption forecasts. The study determined that with the accuracy of class 0.5-1.0% devices, the deviation η did not exceed 2-3%, while with the use of less accurate class 2.5% devices, the deviation increased to 7-8% [30].

To ensure the reliability of CAD modelling, temperature and pressure sensors, flow meters and energy meters from Siemens (Germany) and ABB (Switzerland) were used. Data from CMI was integrated into the SolidWorks CAD system via SCADA and API, which provided up-to-date indicators of industrial system operating modes [31]. Thus, a comprehensive approach to accounting for errors, metrological characteristics and CMI standardisation improved the accuracy of CAD modelling, ensured the correct calculation of efficiency coefficients and facilitated the planning of energy efficiency measures in industrial power systems. The modern development of industrial power systems is linked to digital modelling, which enables the design, optimisation and operation of energy infrastructure. The use of CAD (Computer-Aided Design) systems can reproduce the technical characteristics of equipment, analyse operating modes and verify the effectiveness of management decisions. The formation of CAD models of industrial power systems is based on principles that determine the accuracy and functionality of the results. The principle of systematicity – all elements of the power system are included in the model, generators, transformers, power lines, protection, automation and control systems. Systematicity ensures analysis of both the operation of individual components and the functioning of the entire system, incorporating interrelationships. The principle of hierarchy involves building CAD models at different levels of detail. At the conceptual level, generalised models are used to evaluate basic parameters. At the design level, equipment characteristics are detailed, from generator modes to line parameters.

This approach reduces modelling time and can gradually refine data without losing integrity. The principle of adequacy for reliability, the modelling results are based on experimental data, standardised equipment parameters and proven mathematical methods. The model integrates the passport characteristics of devices, laboratory and production measurements. This minimises errors and ensures a realistic reproduction of physical processes. Scalability principle. The model must incorporate the possibility of system modernisation: connecting new generators, renewable energy sources or storage systems. Scalability is ensured by a modular structure that ensures adaptability of the model to various energy development scenarios. Principle of integration: CMI control and measurement devices are integrated directly into CAD models.

This can be used for verification of calculation accuracy, assessment of errors, and consideration of metrological characteristics during analysis of operating modes. The use of CMI ensures the comparison of modelling with real data and creates conditions for real-time monitoring [32], [33]. The principle of optimisation CAD models is used to find the most effective solutions in terms of economy, reliability and safety. Optimisation algorithms can be used to compare different system operation scenarios, selecting modes with minimal energy losses and predicting the consequences of management decisions. The combination of these principles creates a methodological basis for digital modelling of industrial power systems. Table 2 provides a generalised description of the principles of CAD modelling with examples of their implementation. The empirical part of the study focused on integrating CMIs into industrial power systems to improve the accuracy of digital modelling and energy efficiency assessment. First, proprietary data was collected from devices measuring electric current, voltage and energy consumption at actual production facilities. The data was used to calculate the efficiency coefficient (η) and determine the metrological accuracy of each CMI.

Table 2: Principles of CAD modelling of industrial power systems.

Principle	Elements/levels of the model	Data sources and implementation features	Example of use
Systematicity	Generators, transformers, power transmission lines (PTLs), protection, automation	Integration of all system components into a single model	Analysis of network operating modes
Hierarchy	Conceptual, design, and detailed levels	Generalised and refined parameters at different stages of design	Comparison of development scenarios
Adequacy	Compliance with physical processes	Experimental data, standards, and passport characteristics	Verification of the accuracy of the results
Scalability	Basic model + new objects	Modular structure, adaptability to modernisation	Integration of Renewable Energy Sources (RES) and storage devices
Integration of CMI	Control and measuring instruments	Consideration of errors, metrological characteristics	Real-time monitoring
Optimisation	System operating modes	Optimisation algorithms, scenario comparison	Choosing energy-efficient solutions

Source: [27-29].

To assess the impact of the accuracy of control and measurement instruments on the efficiency of the energy system, an experimental data set was used, formed in the process of measuring the parameters of electricity consumption of an industrial facility during one week of continuous monitoring. The total number of observations was 10,080 records, corresponding to a 1-minute interval with continuous data collection. The range of measured values is presented in Table 3.

Table 3: Characteristics of the experimental data set.

Parameter	Number of records	Time interval	Frequency of measurements	Value range
Current (I)	10,080	7 days	1 min	0.4-12.5 A
Voltage (U)	10,080	7 days	1 min	218-242 V
Power (P)	10,080	7 days	1 min	0.08-2.9 kW
Temperature (T)	10,080	7 days	1 min	18-37℃
Efficiency coefficient (η)	10,080	7 days	1 min	84-97%

Source: [19],[25].

A multiple linear regression model was constructed to show the dependence of the efficiency coefficient on the accuracy of measuring instruments and basic electrical parameters:

$$\eta = 92.87 - 0.43 \times \Delta I - 0.27 \times \Delta U + 0.18 \times \Delta P,$$

Where ΔI, ΔU, ΔP – relative errors (%) in the measurement of current, voltage and power.

The coefficient of determination R^2=0.81 was obtained, which indicated the high quality of the model approximation. Analysis of variance (ANOVA) showed a statistically significant effect of instrument accuracy on η ($p<0.01$). The results confirmed that measurement errors, even within the range of 1-2% lead to a statistically significant decrease in model efficiency. A 1% reduction in uncertainty resulted in an improvement of η by approximately 0.9 p.p., which corresponded to savings of 4.2-4.8 kWh per day for a single installation. This is consistent with the calculations shown in Table 3 and confirms the importance of metrological accuracy when integrating CMI into a CAD environment. The accuracy of measurements was assessed by the relative error δ using the formula:

$$\delta = \frac{98.5 - 100}{100} \times 100\% = -1.5\ \%.$$

The result shows that the measurement error is -1.5%, which is acceptable for most energy systems, where the permissible error level ranges from ±2-3%. If the sensor value is 95 A, the error will be:

$$\delta = \frac{95 - 100}{100} \times 100\% = -5\%.$$

This exceeds acceptable requirements and leads to incorrect load representation in CAD models. Such deviations can reduce the predicted power by 5-7%, which, on the scale of an industrial enterprise, means significant energy losses.

To demonstrate the practical impact of CMI accuracy on energy and financial efficiency, an example of an industrial facility consuming 10,000 kWh per month, equivalent to 120,000 kWh per year, is considered. The actual useful energy of the system is 85% of the consumed energy, i.e. 102,000 kWh per year. The cost of 1 kWh is assumed to be UAH 5. The impact of measurement errors of three accuracy classes of measuring instruments is calculated: high accuracy (0.5-1%), medium (2%) and low (5%). The relative error of the CMI directly affects the calculation of the efficiency coefficient (η) and the energy consumed in the CAD model: when the energy consumption indicators are overstated, η_measured decreases, creating the illusion of lower efficiency, and when understated, the opposite effect occurs, creating the illusion of higher efficiency. For high-precision devices (0.5-1%), annual energy losses or unaccounted savings amount to approximately 1,200 kWh per year, which is equivalent to UAH 6,000 per year. With average accuracy (2%), losses increase to 2,400 kWh per year or UAH 12,000, and with low accuracy (5%), they increase to 6,000 kWh per year, which corresponds to financial losses of UAH 30,000.

This shows that even a small error of 1-2% can lead to significant economic consequences, and errors of 5% already result in significant energy and financial losses. Therefore, the implementation of high-precision CMI minimises errors, increases the reliability of CAD modelling, and can be used for the rational planning of energy efficiency measures, which is relevant for industrial enterprises with high electricity consumption. Modern industrial infrastructure operates under conditions of increasing energy efficiency requirements. Production processes are increasingly dependent on the accuracy of control and measurement instruments, as they form the basis for objective monitoring of energy consumption, identification of losses and management decisions [34-36]. Measurement errors lead to incorrect determination of the actual efficiency of systems, which complicates process optimisation. A key indicator of energy efficiency is the coefficient of efficiency (η), which is defined as the ratio of useful energy to energy consumed, according to formula (2). An example of an industrial ventilation system is considered. If the energy consumed by the system $E_{consumed}$ = 10,000 kW·hours per month, but in fact productively used E_{useful} = 8,500 kW·hours, then the efficiency coefficient will be:

$$\eta = \frac{8500}{10000} \times 100\% = 85\%\,.$$

However, when using CMI with a measurement error of ±2%, the figures may change significantly. If the device underestimates energy consumption by 2%, it will show only 9,800 kWh instead of 10,000 kWh. In this case, the energy efficiency calculation will be as follows:

$$\eta = \frac{8500}{9800} \times 100\% = 86.7\%.$$

This creates the illusion that the system is more efficient than it actually is. Conversely, if the device overestimates the data by 2% (i.e., shows 10,200 kWh), the coefficient will decrease to:

$$\eta = \frac{8500}{10200} \times 100\% = \sim 83.3\%.$$

Thus, even an error within ±2% changed the energy efficiency rating by 3.4 percentage points. On the scale of large industrial infrastructure, such distortions can correspond to losses of tens of thousands of kilowatt-hours. The table shows an example of comparing reference and measured data with the calculation of error and coefficient:

If this data is incorrect, the CAD model will reflect a distorted picture of the processes: designers may incorrectly assess actual loads, energy losses and the effectiveness of modernisation measures. This reduces the quality of energy consumption management and can lead to inefficient investment in modernisation.

Table 4: Examples of the influence of measurement instrument errors on the calculation of efficiency (η).

Device	Reference value	Measured value	Deviation δ, %	η, %
Ammeter-1	100 A	98.5 A	-1.5	–
Ammeter-2	100 A	95 A	-5.0	–
Meter-1	10.000 kW·hour	9.800 kW·hour	-2.0	86.7
Meter-2	10.000 kW·hour	10.200 kW·hour	2.0	83.3

Source: Authors, (2026).

The results confirmed that the reliability of CAD models directly depends on the accuracy of CMI. The use of high-precision measuring instruments minimised errors, ensured adequate energy consumption forecasting, and improved the efficiency of industrial energy system management. Therefore, the accuracy of control and measurement instruments directly affects the reliability of efficiency calculations and, as a result, the effectiveness of industrial energy system management. The introduction of high-precision CMIs in combination with CAD modelling eliminates measurement errors and ensures sound energy resource management.

IV. DISCUSSIONS

Empirical research has confirmed that integrating control and measurement devices into CAD models increases the accuracy of calculations of energy consumption, energy losses, and efficiency (η). Data obtained from high-precision current, voltage and energy consumption sensors made it possible to reduce η deviations to 2-3 percentage points and detect local losses on distribution lines of up to 5%, which had previously gone unnoticed. The use of devices with an error of ±1-2% ensured the reliability of CAD models, while the use of less accurate devices with an error of ±5% led to significant data distortions and a 10-percentage point reduction in calculation accuracy. This confirmed that the metrological reliability of CMI is critical for adequate load forecasting, energy consumption optimisation, and planning of modernisation measures in industrial power systems. A comparison of the results of various studies has shown that the issue of integrating control and measurement devices into CAD models is multifaceted and concerns both improving the accuracy of calculations and ensuring the reliability of energy systems. According to [37] addressed the integration of control and measuring instruments into CAD/CAE models as a key step in improving the accuracy of energy consumption calculations and the efficiency of energy systems.

Even minor measurement errors can significantly affect the results of modelling and forecasting. In particular, studies show that measurement uncertainty can lead to significant deviations in the calculation of energy parameters, which in turn affects the economic efficiency of energy system operation. In [38] confirmed that digital twins, as virtual models of physical objects, can be used not only to model the present state of the system, but also to predict its behaviour in the future. Integrating data from CMI into digital twins provides a more accurate reflection of real operating conditions, which helps to optimise energy consumption and reduce costs. According to [39] established that metrological integration into CAD/CAE systems can incorporate the accuracy of measurements in modelling energy processes. This ensures more reliable calculation results and can improve efficiency of planning of modernisation measures in power systems. The study by [40] explored this topic in greater depth, but shifts the focus to electrical engineering complexes, in particular transformer-reactor equipment. The study proved that even small inaccuracies in the measurement of electrical parameters lead to significant energy losses and reduced system performance. In contrast to previous studies, the presented research highlights the direct impact of CMI errors on equipment efficiency, which is key to the effective operation of large power systems.

According to [41] considered a specific case of CAD modelling of orbital hydraulic motor rotors. The authors emphasised that inaccuracies in instrument measurements can lead not only to distorted energy consumption calculations, but also to design defects in digital models. This reduces the reliability of the system in real operating conditions, creating the risk of equipment failure. Thus, the emphasis is on the direct impact of CMI error on engineering accuracy and safety. These data correspond to the theses presented in the previous section, as they confirm the critical role of CMI accuracy in ensuring the efficiency and reliability of energy systems. They also emphasise that even minor measurement errors can lead to energy losses and errors in CAD modelling, rendering the metrological reliability of measuring instruments a key factor in the development and optimisation of technical systems. According to [42] highlighted the use of data from high-precision control and measuring instruments as a key factor in the effective forecasting of energy consumption in industrial and energy systems operating in conditions of increased instability. The study proved that the accuracy of data collection and processing directly affects the ability of systems to predict peak loads. This is relevant for enterprises operating in environments with frequent power fluctuations or risks of resource shortages.

The use of high-precision CMIs enables more reliable planning of production processes and energy distribution, which not only increases infrastructure resilience but also reduces the likelihood of emergency shutdowns that can have significant economic consequences. Thus, the results of the study confirm the importance of integrating accurate sensor technologies into energy consumption forecasting and management processes, which is particularly relevant in the current conditions of energy uncertainty. In turn, [43] focused on the potential for integrating CMI into models of non-destructive testing of metal structures. Scientists have proven that the use of high-precision sensor data in combination with CAD modelling can be used for the optimisation of industrial system operating modes. This approach not only enables the timely detection of defects in structural elements but also ensures the rapid adjustment of load modes, preventing equipment overload and reducing its operational life. Improving control and monitoring processes using accurate measurements helps reduce energy losses, increase system efficiency, and creates a basis for making more informed engineering decisions, emphasising the long-term reliability and stability of industrial facilities. A comparative analysis of both studies leads to the conclusion that the integration of high-precision CMIs into monitoring and modelling systems has a multidimensional effect. On the one hand, it increases the accuracy of energy consumption forecasting and ensures the stability of energy systems in dynamic and unstable conditions.

On the other hand, it contributes to the timely detection of structural defects in industrial equipment, which directly affects the safety, reliability, and economic efficiency of production. Together, these results underscore the versatility and significance of using high-precision CMIs in digital modelling of industrial processes. The study by [44] confirms the importance of standardising energy consumption monitoring with CAD models, as unified measurement procedures can be used for the control of losses in transformer-reactor equipment and increase the accuracy of digital models. According to [45] demonstrate the effectiveness of energy efficiency planning based on real measurements, as accurate data on system performance can be used for load forecasting, resource allocation optimisation, and reduction of losses during cargo transportation under uncertain and stochastic conditions. Additionally, the results of [46] emphasise the critical role of standardising measurement collection and analysis procedures in the context of CAD modelling. The study demonstrated that the use of standardised measurement approaches improves data consistency, ensuring its effective integration into complex energy systems. This approach minimises errors that arise in the process of processing information from heterogeneous sources and can be used for the creation of more reliable digital twins that can reflect real processes with a high degree of accuracy. Notably, standardisation of procedures enables comparison of results over time and between different objects, creating a basis for scalability and universality of the models obtained. In turn, [47] demonstrated the practical effectiveness of energy efficiency planning based on actual measurements, which can improve the accuracy of load forecasting, optimisation of energy resource distribution, and reduction of losses during their transportation, even under stochastic system operating conditions.

The scientific novelty of the approach is the creation of multifactorial models that simultaneously address the technical parameters of the equipment and the organisational features of its operation. Such integration can be used in various industrial systems, ensuring the flexibility and adaptability of management. A summary of the above results shows that the integration of high-precision CMIs into CAD models is not limited to improving metrological reliability, but involves a comprehensive approach that includes technical, methodological and organisational aspects of energy consumption management. A substantial condition for the successful implementation of this approach is the standardisation of data collection procedures and the unification of measurements, which creates the prerequisites for improving the accuracy of digital models, reducing losses and ensuring the stable operation of energy systems in various industries.

V. CONCLUSIONS

The study established key patterns of influence of CMI integration into CAD models of industrial power systems on the accuracy of digital modelling and the efficiency of energy consumption management. The study confirmed that the level of metrological reliability of CMI directly determines the reliability of reproducing technological parameters and the accuracy of calculations of the energy efficiency coefficient (η). Even a relative error of 1-2% in the measurement of current, voltage or energy consumption can lead to deviations in the predicted η of 2-3 percentage points, which on the scale of industrial systems corresponds to losses of tens of thousands of kWh per month.

The integration of accurate CMIs into AutoCAD, SolidWorks, and EPLAN environments enabled the creation of digital twins capable of reflecting the dynamics of real industrial systems. This identified local energy losses of up to 5-7% in individual network sections and optimised equipment operating modes. Calculations showed that the use of high-precision devices increased the energy efficiency factor, indicating a more rational distribution of energy flows and a reduction in operating costs. Data analysis also confirmed that the integration of metrologically reliable devices ensures the stability of digital models, can be used for accurate energy consumption forecasts, and enables timely detection of equipment malfunctions.

Even small measurement errors can distort load modelling, which highlights the need for certified CMI and regular calibration.The study findings indicate that proper integration of CMI into CAD models increases the transparency of energy analysis, creates conditions for the formation of effective energy consumption management strategies, and contributes to the growth of the overall energy efficiency of industrial systems. The study limitation includes evaluation of only individual CAD systems under fixed operating conditions. Further research should address the integration of CMI with various computer-aided design systems under variable operating conditions, as well as the analysis of the impact of such models on the energy efficiency of complex industrial facilities.

VI. AUTHOR'S CONTRIBUTION

Conceptualization: Larisa Vakhonina.
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INTELLIGENT DYNAMIC SWITCHING BETWEEN IRS AND DECODE AND FORWARD RELAY: A CHANNEL-AWARE OPTIMIZATION APPROACH FOR 6G NETWORKS

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6G Networks, Energy Efficiency.

ABSTRACT

This paper proposes a dynamic switching framework between Intelligent Reflecting Surface (IRS) and Decode-and-Forward (DF) relay transmission modes for next-generation wireless communication systems. Unlike existing studies that rely on static technology selection, the proposed approach enables channel-aware mode adaptation based on instantaneous channel conditions and energy efficiency considerations. The framework supports four operational modes: IRS-only, DF-only, hybrid IRS–DF, and direct SISO transmission. An efficient mode selection algorithm is developed to maximize achievable rate while accounting for power consumption and switching overhead. Simulation results demonstrate up to 20.2% improvement in spectral efficiency and 10.1% enhancement in energy efficiency compared to conventional static schemes, under realistic channel conditions. The proposed framework exhibits low computational complexity, making it suitable for practical 6G network deployment.

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I. INTRODUCTION

I.1 BACKGROUND AND MOTIVATION

With sixth generation (6G) wireless networks are set to require new and unprecedented of improvement in data rates, energy efficiency, and network reliability [1]. With the proliferation of connected devices and data-based applications continues to proliferate, future wireless systems must obtain 10-100× spectral efficiency improvements (relative to 5G) and achieve energy consumption reductions that are numerous orders of magnitude lower [2] . Two emerging technologies are receiving a lot of interest because they can improve wireless communication performance: Intelligent Reflecting Surfaces (IRS) and Decode-and-Forward (DF) relaying systems. Intelligent Reflecting Surfaces, or Reconfigurable Intelligent Surfaces (RIS), are a novel and paradigm-shifting technology in wireless communications that convert the traditionally uncontrolled wireless environment into a programmable and intelligent channel [3].

The surfaces consist of multiple passives reflecting elements, each of which can be independently and reconfigurable programmed to modulate the phase and amplitude of the incident electromagnetic waves [4], [5]. Figure 1 shown the deployment of RIS in a building for communication, demonstrated that IRS can achieve substantial transmit power reduction while meeting users' signal-to-interference-plus-noise ratio (SINR) constraints through joint optimization of active beamforming at the access point and passive phase shift control at the IRS. The inherent strength in this is the quadratic scaling law of received power with the number of reflecting elements, which is an achievable superior result relative to the conventional relaying methods, which has linear scaling feature [6].

Alternatively, it is in code-and-Forward relaying that has been widely researched as a cooperative communication method that can substantially enhance wireless network coverage and reliability.[7]. In DF relaying, intermediate nodes decode the received signals, process them, and retransmit the information to the destination, potentially providing better performance than simple amplify-and-forward approaches [8]. established diversity–multiplexing tradeoffs for cooperative diversity systems, a potential research avenue lies in designing deep reinforcement learning–driven mmWave-NOMA frameworks that integrate DF relaying to exploit full diversity gains under favorable channel conditions, thereby enhancing spectral efficiency, reliability, and latency performance in 6G networks[9].

The Figure 2 shown the system model considers an identical placement of IRS, AF, and DF relays, enabling the destination to receive both direct and reflected signals from the source for fair performance comparison [10].

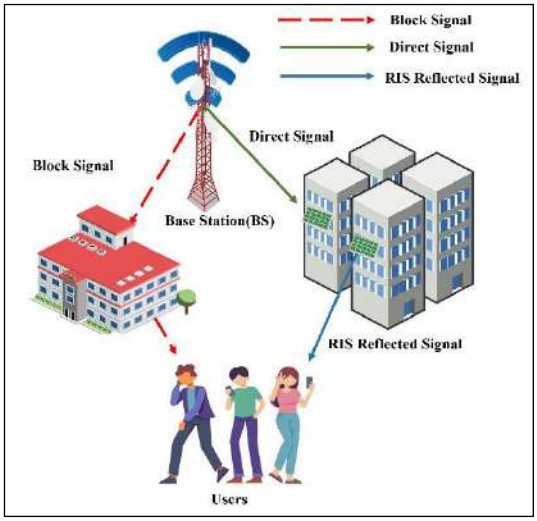


Figure 1: Deployment scenarios of IRSs in future 6G networks. Source: [6].

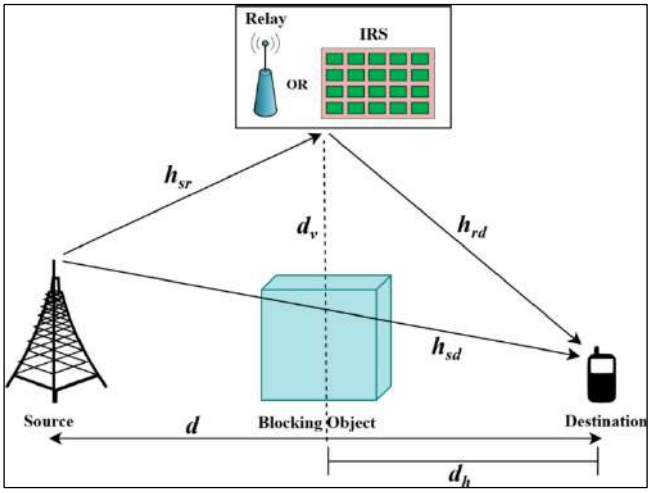


Figure 2: depicts the system with co-located IRS, AF, and DF relays to ensure unbiased performance evaluation. Source: [10].

Nevertheless, although the two technologies focus on enhancing the quality of signals by alternative ways of propagation, they have absolutely different principles of operation and come with different performance attributes in varying environmental conditions. The recent developments in IRS technology have shown some stunning promise on improving spectral efficiency and energy efficiency [11]. By [12] later in another study presented the an in-depth study on a static comparison between IRS and DF relay system arguing that very large IRS surfaces (in the order of hundreds of elements) are needed to achieve a better performance in relation to transmit power minimization and energy efficiency than DF relaying. In their analysis, they have identified the inherent trade-offs between the complexity of deployment and the performance benefits hence showing that the choice between IRS and DF relay is sensitive to the system parameters including the number of reflecting elements, channel conditions, and power budget constraints.

Nevertheless, this discussion assumes a constant technology decision during the communication session, which might not be the best in dynamically wireless communication where the channel condition varies over time, users move freely, and the amount of energy available changes. This is especially due to the fact that the situation with 6G technology selection is limited and this limitation is especially noticeable in real-life conditions when the choice of the channel can fluctuate radically because of the movement of users, change of the environment, and interference patterns. Recent effort has given emphasis on realistic hardware impairment, like quantization phase error in IRS elements, which may drastically impair system performance depending on different operational conditions. Likewise, the operation of DF relaying systems is strongly contingent on instantaneous channel quality especially the strength of the source-relay and relay-destination connections.

I.2 RESEARCH GAP AND MOTIVATION

The existing research paradigms on IRS and the DF relay systems have a major weakness: they assume that the underlying technology is stationary, and will be deployed and operated in the same manner. Available literature perceives these technologies as mutually exclusive phenomenon, requiring an a priori choice that should be held over a course of communication session. This narrow structure excludes the possibility of exploiting potential synergies between heterogeneous transmission schemes and cannot be relieved of the dynamism of the modern wireless environment. By [12] made a landmark investigation with an extensive statistical comparison of IRS and DF relay systems. Their results show that extremely large IRS surfaces are needed, i.e. in the range of a few hundred elements, to outperform DF relaying in other applications such as transmit-power minimization and energy efficiency.

Further the analysis revealed the existence of intrinsic trade-offs between performance improvement and complexity of deployment which highlights that the best decision between IRS and DF relay is strongly dependent on system parameters such as number of reflecting elements used, performance and power requirements. The IRS systems are often considered as green technologies due to their passive nature although the control circuitry and phase processing used are still powered, especially when combined with non-orthogonal multiple access (NOMA) schemes [13]. These types of studies are implicit in the assumption that the chosen technology will be the same technology used during a communication session, a fact that may not be ideal in a wireless environment where channel conditions, user mobility, as well as energy constraints vary with time.

Consider a practical 6G scenario where a mobile user detects an environment with both IRS and DF relay infrastructure [14], [15]. As users' locations change, relative channels will vary greatly between direct, IRS-assisted, and relay-assisted routes [16]. In some locations, IRS may provide better performance due to favorable geometric conditions, while in others, DF relay may be more effective due to the quality of a better source-radius or relay-destination channel quality. A static system that is committed to a single technology cannot be redeemed by these different conditions to customize overall performance. In addition, modern wireless applications exhibit a variety of time-varying requirements in data rate, latency, and energy consumption. While energy efficiency may not be a priority for emergency communications, internet of things (IoT) applications may prioritize energy efficiency over achieving peak data rates.

A system that responds to channel conditions and application requirements by dynamically switching transmission modes could exhibit dramatically better performance [17] .

I.3 MAIN CONTRIBUTIONS

This paper addresses these fundamental limitations by proposing the first dynamic switching framework with the following novel contributions:

- **Dynamic Mode Selection Framework:** Development of a four-mode system (IRS-only, DF-only, hybrid IRS+DF, SISO) with intelligent real-time switching capability based on channel-aware optimization.
- **Novel Hybrid Operational Mode:** Introduction of simultaneous IRS+DF operation with optimized power allocation and coordinated signal processing.
- **Channel-Aware Optimization Algorithm:** The algorithm will involve the usage of intelligent selection algorithm to maximize the achievable rates with the constraints of energy efficiency.
- **Extensive Analysis of the Performance:** Theoretical basis and widespread evaluation based on simulations that show considerable improvement of the system compared to the static base systems.
- **Practical Implementation Framework:** Low-complexity algorithm suitable for real-time deployment with minimal computational overhead and switching delays.

The remainder of the paper is structured in the following way: Section 2 is the literature review that places the research contribution to the existing literature context. Section 3 includes the overall system model and formulation of the mathematical problem. Section 4 elaborates the smart dynamic switching algorithm and their computational complexity analysis. The results of the simulation are long and statistically validated and compared in section 5. The conclusion is Section 6 which contains important contributions and future research directions.

II. RELATED WORK

II.1 IRS-ASSISTED COMMUNICATION SYSTEMS

Intelligent Reflecting Surfaces have become a new revolution in beyond-5G and 6G networks, allowing the creation of the programmable wireless environment by arrays of passive reflecting elements with controllable electromagnetic characteristics. By [18] introduce an innovative comparative study of Intelligent Reconfigurable Surfaces (IRS) and Decode-and-Forward (DF) relaying using realistic conditions of electromagnetic interference (EMI). The authors prove by means of strict mathematical modeling that IRS-assisted communications can be better resilient to EMI as compared to traditional DF relaying systems. The analysis indicates that, even with interference, DF relaying requires over 20 dB of extra transmit power and the use of multiple antennas ($M \geq 54$), but IRS systems maintain the operation at levels of very high EMI ($\rho \geq 20$ dB). The paper changes essentially the known complexityperformance trade-offs in cooperative wireless communications, and as such, it offers the much needed theoretical frameworks to the design of future wireless systems in electromagnetically congested environments.

By [19] Present a general architecture of IRS-based multiuser MISO systems, where an extensive array of passive reflecting elements works together to do three-dimensional beamforming without active RF chains. By jointly optimizing active beamforming at the access point (AP) and passive phase-shift control at the IRS, the proposed design will significantly reduce the amount of transmit power and meet users SINR requirements. A non-convex optimization is posed as the problem and effective solutions are developed in the form of semidefinite relaxation (SDR) and alternating optimization. One important theoretical finding is the quadratic scaling law of received power with the number of reflecting elements that proves to be superior to conventional massive MIMO and amplify-and-forward relays that have linear scaling. Results of the simulation prove the great advantages of the IRS-assisted systems in single-user and multiuser mode an illustration of the ability to extend the coverage, eliminate interference, and enhance energy efficiency. Besides, the article highlights the flexibility of IRS to be deployed, the low cost of hardware, and its possible ability to be integrated with existing systems without the need to alter user devices, making it an important enabler of beyond-5G and 6G communications.

In turn [20] Author's have conducted an in-depth ergodic performance analysis of intelligent reflecting surface (IRS) networks when taking quantization phase errors into account. The authors developed an innovative multi-IRS-aided framework of communication, which replaces the traditional decode-and-forward (DF) relay in a hybrid architecture, and presented analytical upper limits of the performance of the model in both the Rayleigh and Rician fading conditions. The study provides convenient closed-form expressions to measure the resultant performance degradation by putting on a realistic common phase-error model of finite-resolution phase shifters. The theoretical findings show that increasing the number of IRSs and the number of reflecting elements they possess can greatly increase the system capacity though the marginal returns diminish as a certain point is reached. Comparative analysis shows that the suggested multi-IRS scheme is superior to hybrid relay-IRS networks and has no extra latency.

The results of simulations support all the analytical upper bounds and shows net gain of approximately 2bps/Hz at high SNR values and a loss of about 3bps/Hz when the phase quantization cut-off is extreme. The paper also examines the best strategies to position IRSs and the hypothesis is that the best performance occurs when the IRSs are collocated with either the source of that performance or the destination of the performance. The mathematical modelling involved in this exploration is a complex task which is perfectly combined with practical deployment constraints, thus filling in our understanding of scalability of IRS networks and their functionality in the presence of realistic hardware limitations. By [21] Proposed in-depth background of Intelligent Reflecting Surfaces (IRS) as a revolutionary facilitator of intelligent wireless environments with particular emphasis on the capability of the passive devices to alter radio propagation by a phase discontinuity. The authors talk about joint optimization processes in order to jointly optimize the IRS operation along with transmit beamforming to maximize performance metrics like spectral efficiency, energy efficiency, as well as secrecy rate.

The authors analyze the theoretical models and the application to other experimental prototypes such as experimental setups with extremely high antenna gains (21.7 dBi at 2.3 GHz and 19.1 dBi at 28.5 GHz) with the aid of very fine PIN diode-based phase control. The paper highlights one of the widely used alternating optimization techniques with the awareness that they do not provide the global optimum but the local optimum only. The real-life issues in the research are discrete phase resolution, lack of channel state information, and power constraints. Another area covered by the authors was on advanced applications that exceed the traditional communication links that included wireless-powered communications, network coding, mobile edge-computing and UAV-assisted communications. The authors touched on practical issues in design, such as grouping the elements, geometry of deployment, orientation, and quality-of-service constraints and provide the means of improving the system-level performance. Some of the best future directions of research discussed by the authors are optimization methods, scalable architecture of IRS, and dynamic or mobile deployment of IRS scenarios.

On the whole, IRS is a key technology to beyond-5G and 6G systems, with a high likelihood of focusing on the design, analytical and implementation difficulties ahead of large-scale deployment. According [22] A powerful optimization scheme of IRS-aided decode-and-forward relay systems under imperfect CSI was proposed. The paper re-formulated the maximum SNR under worst-case condition to a non-convex quadratic problem and proposed an effective algorithm which integrates the Cauchy-Schwarz inequality in updating beamforming with the cyclic optimization of IRS reflection coefficients. This method offers closed-form locally optimal solutions at every step, which makes it a much more complex computation than the traditional SDR-based designs. Continuous and discrete phase constraints are also accommodated in the proposed approach, making it practical in the IRS hardware of the real world. The simulation findings exhibit that the scheme compares favorably with the current non-robust and robust benchmarks in terms of attained rate, resistance to channel estimation errors, and scale to large IRS designs, making it a useful addition to the robust IRS-assisted relay communications.

II.2 DECODE-AND-FORWARD RELAYING SYSTEMS WITH MACHINE LEARNING AND OPTIMIZATION IN WIRELESS COMMUNICATIONS

The DF relaying systems have been extensively studied as cooperative communication techniques that enhance network coverage and reliability. Table 1. reveals that existing approaches universally adopt static technology selection, which cannot adapt to dynamic wireless environments, motivating our novel dynamic switching framework that intelligently selects between IRS and DF relay modes based on real-time channel conditions.

Table 1: Literature Review and Comparison with our Proposed Framework.

Ref.	Contribution	System Model	Algorithm/Method	Key Results	Limitations
[23]	Optimal energy-harvesting design for AF and DF two-way relay beamforming in 6G	Two-way relay with SWIPT; AF & DF modes; perfect CSI	Joint power splitting and beamforming optimization via convex methods	15-25% energy efficiency improvement over conventional relaying	Single relay; no IRS; static mode selection
[24]	Survey on reconfigurable intelligent surfaces for wireless communications	Multi-IRS systems; 5G/6G deployments; channel estimation challenges	Review of convex optimization and ML methods for IRS beamforming	3-5× coverage enhancement; ML integration promising	Qualitative analysis; no IRS-relay comparison
[25]	Intelligent reflecting surfaces and classical relays coexistence and co-design	MU-MISO with BS, IRS, DF relay; Rayleigh fading; perfect CSI	Alternating optimization for joint beamforming and phase control	30-40% sum-rate improvement over individual deployment	Static coexistence; ideal IRS assumptions
[26]	Hybrid AF/DF cooperative relaying technique with phase steering for Industrial IoT networks	Industrial IoT with AF/DF hybrid relay; phase steering capability	Hybrid relay selection with adaptive phase control optimization	Enhanced reliability and energy efficiency for IoT applications	IoT-specific scenario; no IRS consideration; limited to hybrid relay modes
[12]	IRS vs DF relay surface size requirements	Co-located IRS/DF; statistical CSI; power minimization focus	Analytical optimization for power allocation and IRS configuration	IRS requires 100+ elements to outperform DF relay	Static binary comparison; no dynamic adaptation
Propo sel Work	Dynamic IRS/DF switching with intelligent optimization	Four modes (SISO, IRS, DF, hybrid); time-varying channels; co-located deployment	Channel-aware mode selection with coordination enhancement through intelligent mode selection	20.2% spectral efficiency, 10.1% energy efficiency improvement; $p < 0.001$	Addresses all identified gaps through dynamic framework

Source: Author, (2026).

III. SYSTEM MODEL AND PROBLEM FORMULATION

III.1 NETWORK ARCHITECTURE

We consider a sophisticated wireless communication system designed for next generation 6G networks, comprising the following interconnected components operating within a coordinated framework with the Primary Components:

- **Source Node (S):** Single-antenna transmitter equipped with adaptive power control capabilities and total power budget P_total(t).
- **Destination Node (D):** Single-antenna receiver with advanced signal processing capabilities.
- **Intelligent Reflecting Surface (IRS):** Programmable metasurface consisting of N reconfigurable reflecting elements with controllable phase shifts $\theta(t) = [\theta_1(t), \theta_2(t), ..., \theta_n(t)]^T$.

- **Decode-and-Forward Relay (R):** Single-antenna cooperative relay node with full-duplex capability and decode-and-forward processing.
- **Central Intelligence Controller:** Real-time optimization engine responsible for dynamic mode selection and resource allocation.

The Fig 3. Shown the proposed intelligent dynamic switching system architecture showing co-located IRS and DF relay deployment. The system comprises: (a) Base station (Source S) with P_total=1W, (b) IRS panel with N=256 reconfigurable elements, (c) DF relay with decode-and-forward processing, (d) Destination user (User D), and (e) Intelligent controller executing Algorithm 1. will explain in section 4. which shows the signal paths include direct NLOS transmission h_sd(t) the Channel coefficient from source (S) to destination (D), IRS reflection paths h_sr(t)→h_rd(t) (Reconfigurable/reflecting surface), and DF relay paths h_sr(t)→h_rd(t) (reflecting surface /Reconfigurable). The controller optimizes network-side resources through Intelligent dynamic switching with coordination enhancement.

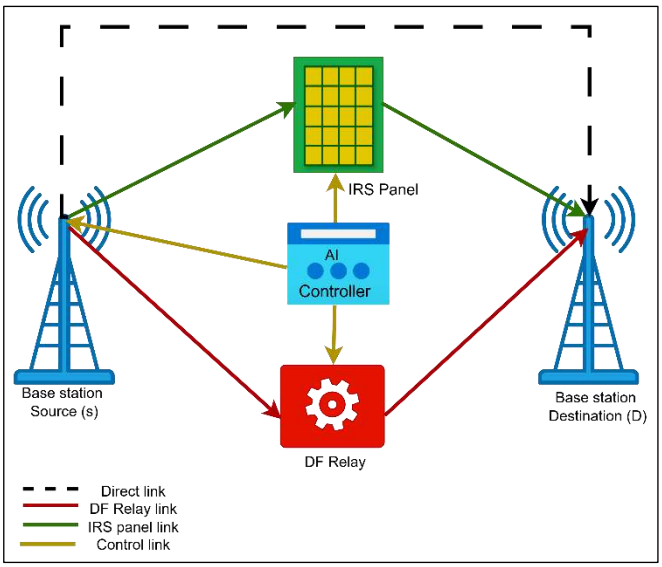


Figure 3: illustrates the proposed intelligent dynamic switching system architecture with co-located IRS and DF relay deployment. Source: Author, (2026).

III.2 COMPREHENSIVE CHANNEL MODEL

The system employs a rigorous channel characterization based on the 3GPP Release 17 Urban Micro (UMi) propagation model, incorporating both deterministic path loss components and stochastic small-scale fading effects.

III.2.1 Large-Scale Path Loss Model

The large-scale path loss follows the standardized 3GPP UMi model with frequency-dependent and distance-dependent characteristics:

- **Line-of-Sight (LOS) Propagation:**

$$\beta_{LOS}(d, f_c) = G_t + G_r - L_{ref} - 20\log^{10}(f_c) - 22\log^{10}(d)[dB] \quad (1)$$

- **Non-Line-of-Sight (NLOS) Propagation:**

$$\beta_{NLOS}(d, f_c) = G_t + G_r - L_{ref} - 26\log^{10}(f_c) - 36.7\log^{10}(d) - L_{pen}[dB] \quad (2)$$

Where, G_t and G_r represent the antenna gains at transmitter and receiver, respectively (dBi), L_ref = 28 dB denotes the reference path loss at (1) meter, f_c is the carrier frequency in GHz, d represents the three-dimensional distance in meters, L_pen accounts for additional penetration losses in NLOS scenarios.

III.2.2 Instantaneous Channel Coefficients

The instantaneous channel coefficients incorporate both large-scale path loss and small-scale Rayleigh fading characteristics:

$$h_{ij(t)} = \sqrt{\left(\beta_{ij(d_{ij})}\right) \cdot g_{ij(t)}} \quad (3)$$

Where, β_ij(d_ij) represents the distance-dependent path loss coefficient (in linear scale) and g_ij(t) ~ CN(0,1) models the complex Gaussian distributed small-scale fading[27].

III.2.3 Channel State Information Model

The system assumes practical channel state information acquisition with estimation errors modeled as:

$$\hat{H}_{ij(t)} = h_{ij(t)} + e_{ij(t)} \quad (4)$$

Where, e_ij(t) ~ CN(0, σ_e²) represents the channel estimation error with variance σ_e² determined by the pilot symbol density and estimation algorithm accuracy.

III.3 FOUR-MODE OPERATIONAL FRAMEWORK

The proposed dynamic framework encompasses four distinct operational modes, each optimized for specific channel conditions and system requirements.

III.3.1 Mode 1: IRS-Only Transmission

Building upon the mathematical framework established by Björnson et al. [12], the achievable rate for IRS-assisted transmission is formulated as:

$$R_IRS(N,t) = \log_2(1 + (P_total(t)\sqrt{(\beta_{sd(t)}) + \Sigma(n = 1 \text{ to } N)\alpha_n e\text{^}(j\theta_n(t))}\sqrt{(\beta_sr(t)\beta_rd(t))|^2)/\sigma^2)} \quad (5)$$

Where, N denotes the number of IRS reflecting elements, α_n represents the amplitude reflection coefficient of the n-th element (typically $\alpha_n = 1$ for ideal reflection), $\theta_n(t)$ is the controllable phase shift of the n-th element at time t, β_sr(t) and β_rd(t) represent the source-to-IRS and IRS-to-destination channel gains, respectively, σ^2 denotes the additive white Gaussian noise power[28].

III.3.2 Mode 2: Decode-and-Forward Relay-Only Transmission

Following the cooperative communication framework, the DF relay operation involves two phases:

- **Phase 1:** Source-to-Relay Transmission The relay decodes the source signal with achievable rate [29]:

$$R_{SR(t)} = \frac{\log_2(1 + (p_1(t)\beta_sr(t))}{\sigma^2} \quad (6)$$

- The end-to-end achievable rate for DF relaying is:

$$R_{DF(t)} = \left(\frac{1}{2}\right)\min\{R_{SR(t)}, R_{SRD(t)}\} \quad (7)$$

- **Phase 2: Optimal Power Allocation:** The optimal power allocation strategy that maximizes the DF relay rate is [30]:
-

$$p_1^*(t) = \frac{2P_{total(t)}\beta_{rd(t)}}{\beta_{sr(t)} + \beta_{rd(t)} + \beta_{sd(t)}} \quad (8)$$

$$p_2^*(t) = \frac{2P_total(t)(\beta_{sr(t)} + \beta_{sd(t)})}{\beta_{sr(t)} + \beta_{rd(t)} + \beta_{sd(t)}} \quad (9)$$

Subject to the power constraint: $p_1(t) + p_2(t) \leq P_total(t)$.

III.3.3 Mode 3: Novel Hybrid IRS+DF Transmission

The fundamental innovation of this work lies in the simultaneous utilization of both IRS and DF relay technologies through coordinated signal processing. Unlike conventional approaches that treat these technologies as mutually exclusive, the hybrid mode leverages spatial diversity and optimized resource allocation.

a) Mathematical Formulation

The achievable rate for hybrid operation is formulated considering the constructive combination of IRS-reflected and DF-relayed signals:

$$R_{hybrid(t)} = \frac{\log_2(1 + (P_IRS(t)\gamma_IRS(t) + P_DF(t)\gamma_DF(t) + 2\sqrt{\left(P_{IRS(t)}P_{DF(t)}\gamma_{IRS(t)}\gamma_{DF(t)}\right)\rho(t)}}{\sigma^2} \quad (10)$$

Where,

$$\gamma_IRS(t) = |h_sd(t) + \Sigma(n = 1 \text{ to } N_h)\ \alpha_n\ e\text{^}(j\theta_n(t))\sqrt{\left(\beta_{sr(t)}\beta_{rd(t)}\right)|^2} \quad (11)$$

Represents the effective channel gain via IRS.

- $\gamma_DF(t) = \min\{|h_sr(t)|^2, |h_rd(t)|^2\}$ denotes the DF relay channel gain.
- $\rho(t) \in [0,1]$ is the spatial correlation coefficient between signal paths.
- Power allocation constraint: $P_IRS(t) + P_DF(t) \leq P_total(t)$.

b) Optimized Resource Allocation for Hybrid Mode: The hybrid mode employs intelligent resource allocation based on instantaneous channel conditions:

$$P_{IRS(t)} = \lambda_{opt(t)} \cdot P_{total(t)} \tag{12}$$

$$P_{DF(t)} = (1 - \lambda_{opt(t)}) \cdot P_{total(t)} \tag{13}$$

Where, λ_opt(t) is determined by solving:

$$\{\lambda_{opt(t)}, N_{opt(t)}\} = \text{argmax}[\lambda \in [0,1], N \leq N_{max}]\{R_{hybrid(\lambda,N,t)} - \zeta \cdot N \cdot P_{element}\} \tag{14}$$

subject to:

- P_IRS(t) = λ P_total(t), P_DF(t) = (1-λ) P_total(t).
- ζ represents the energy cost weighting factor.

Through convex optimization analysis, the optimal allocation converges to:

$$\lambda_{opt(t)} = \frac{\gamma_{IRS(t)}}{(\gamma_IRS(t) + \gamma_DF(t) + 2\sqrt{(\gamma_IRS(t)\gamma_DF(t))\rho(t)})} \tag{15}$$

Where ζ represents the energy cost weighting factor and P_element denotes the power consumption per IRS element.

III.3.4 Mode 4: Direct SISO Transmission

For completeness and baseline comparison, the direct single-input single-output transmission mode is:

$$R_SISO(t) = \frac{\log_2(1 + (P_total(t)\beta_sd(t))}{\sigma^2} \tag{16}$$

III.4 ENERGY CONSUMPTION MODEL

A comprehensive energy consumption model is essential for evaluating the energy efficiency of different operational modes:

III.4.1 Mode-Specific Power Consumption

- SISO Mode:

$$P_{SISO}^{total} = \frac{P_{total}}{\eta + P_s + P_d} \tag{17}$$

- IRS Mode:

$$P_{IRS}^{total} = \frac{P_{total}}{\eta + P_s + P_d + N \cdot P_{element} + P_{control}} \tag{18}$$

- DF Relay Mode:

$$P_{DF}^{total} = \frac{P_{total}}{\eta + P_s + P_d + P_r + P_{processing}} \tag{19}$$

- Hybrid Mode:

$$P_{Hybrid}^{total} = \frac{P_{total}}{\eta + P_s + P_d + P_r + N_{hybrid} \cdot P_{element} + P_{coordination}} \tag{20}$$

Where, η represents the power amplifier efficiency, P_s, P_d, P_r denote circuit power consumption at source, destination, and relay, P_element is the power consumption per IRS element, P_control, P_processing, P_coordination represent control and processing overheads.

III.5 PROBLEM FORMULATION

III.5.1 Optimization Objective

The primary objective is to maximize long-term system performance through intelligent dynamic mode selection while considering multiple performance metrics; while

$$\max[\{m(t), \theta(t), p(t)\}] = \Sigma(t = 1 \text{ to } T)\left[w^1 R_{selected(t)} + w^2 EE_{selected(t)} - w^3 C_{switch(t)} - w^4 C_{delay(t)}\right] \tag{21}$$

*O*bject to EE is Energy Efficiency:

- Performance Constraints:

$$R_{selected(t)} \geq R_{min(t)}, \forall t \tag{22}$$

- Power Budget Constraints:

$$P_{total(t)} \leq P_{budget(t)}, \forall t \tag{23}$$

- Switching Cost Constraints:

$$C_{switch(t)} \leq C_{max}, \forall t \quad (24)$$

- Mode Selection Constraints:

$$m(t) \in M = \{SISO, IRS, DF, hybrid\}, \forall t \quad (25)$$

- IRS Configuration Constraints:

$$\theta_n(t) \in [0, 2\pi), n = 1, 2, \ldots, N \quad (26)$$

$$N \leq N_max \quad (27)$$

- Power Allocation Constraints:

$$\sum_i p_i(t) \leq P_total(t), p_i(t) \geq 0 \quad (28)$$

III.5.2 Multi-Objective Utility Function

The weighting factors in the objective function are determined through multi-objective optimization:

$$w^* = \frac{\text{argmax}[w] \min[k\in\{1,2,3,4\}] (U_k(w))}{(U_k\text{^ideal})} \quad (29)$$

Where U_k(w) represents the k-th objective value and U_k^ideal denotes the ideal value for the k-th objective.

III.5.3 Dynamic Mode Selection Formulation

At each time instant t, the optimal mode selection problem is formulated as:

$$m^{*(t)} = \text{argmax}[m \in M] \{f_m(t) - \lambda \cdot g_m(t)\} \quad (30)$$

Where, f_m(t) represents the performance gain function for mode m, g_m(t) denotes the cost function for mode m, λ is the Lagrange multiplier balancing performance and cost.

- Performance Gain Function:

$$f_m(t) = \alpha_1 R_m(t) + \alpha_2 EE_m(t) + \alpha_3 Reliability_m(t) \quad (31)$$

- Cost Function:

$$g_{m(t)} = \beta^1 P_m^{total(t)} + \beta^2 C_{switch}^{m(t)} + \beta^3 Complexity_m \quad (32)$$

III.5.4 Stochastic Optimization Framework

Considering the stochastic nature of wireless channels, the problem is reformulated as a stochastic optimization:

$$\max[\pi] E[\sum(t = 1 \text{ to } T) U(m_\pi(t), H(t))] \quad (33)$$

Where, π represents the mode selection policy, H(t) = [h_sd(t), h_sr(t), h_rd(t)]^T is the channel state vector, U(·) is the instantaneous utility function. The optimal policy π* satisfies the Bellman optimality equation:

$$V^{*(s)} = \max[a \in A] \{r(s,a) + \gamma \sum[s'] P(s'|s,a) V^{(s')*(s')} \quad (34)$$

Where s represents the system state, a denotes the action (mode selection), r(s,a) is the immediate reward, γ is the discount factor, and P(s' s,a) represents the state transition probability. This overall system model and problem formulation provides a mathematical basis of the intelligent dynamic switching algorithm, giving the theoretical analysis of strict justification of the proposed approach and making practical implementation of the next-generation wireless communication systems.

IV. INTELLIGENT DYNAMIC SWITCHING ALGORITHM

IV.1 SYSTEM ARCHITECTURE

The proposed dynamic switching model works with the help of a smart optimization engine that constantly monitors the conditions of channels and needs of the system to choose the most effective transmission mode. The architecture has four fundamental elements:

a) Channel State Estimation Module: Continuously acquires instantaneous channel state information for all communication links.
b) Performance Evaluation Engine: Computes achievable rates and energy efficiency for all operational modes.
c) Intelligent Selection Algorithm: Determines optimal mode based on performance maximization.
d) Mode Controller: Executes seamless switching between operational modes with minimal overhead.

IV.2 CHANNEL-AWARE MODE SELECTION ALGORITHM

The core innovation lies in the intelligent mode selection algorithm that optimizes system performance based on real-time channel conditions:

- **Algorithm 1: Intelligent Mode Selection**

Input: Channel gains {h_sd(t), h_sr(t), h_rd(t)}, P_total(t)
Output: Optimal mode m*(t), achievable rate R_selected(t)

// System Initialization
1: Initialize parameters: N_max = 256, N_hybrid = 128, tolerance ε = 10^-4
2: Set utility weights: w_rate = 1.0, w_energy = 0.3, w_switching = 0.1
3: Initialize mode history buffer and hysteresis margin Δ_h = 0.05
// Channel State Information Processing
4: for each communication link (i,j) ∈ L = {(s,d), (s,r), (r,d)} do
5: Estimate channel coefficient: $\hat{h}_{ij}(t) \leftarrow$ MMSE_ESTIMATOR(y_pilot, x_pilot)
6: Compute estimation variance: $\sigma^2_{e,ij} \leftarrow$ CRAMER_RAO_BOUND(SNR_pilot)
7: end for
// Mode-Specific Performance Evaluation
8: // Direct SISO Transmission
9: Calculate received SNR: $\gamma_{SISO} \leftarrow P_{total}(t)|\hat{h}_{sd}(t)|^2/\sigma^2_{noise}$
10: Compute achievable rate: $R_{SISO}(t) \leftarrow B \cdot \log_2(1 + \gamma_{SISO})$
11: // IRS-Assisted Transmission
12: Optimize phase shifts: $\theta_{opt} \leftarrow \arg\max |\hat{h}_{sd}(t) + \Sigma_{n=1}^{N} \alpha_n e^{j\theta_n} \sqrt{(\beta_{sr}\beta_{rd})}|^2$
13: Calculate combined channel: $h_{IRS,total} \leftarrow \hat{h}_{sd}(t) + \Sigma_{n=1}^{N} \alpha_n e^{j\theta_{n,opt}} \sqrt{(\beta_{sr}\beta_{rd})}$
14: Compute IRS rate: $R_{IRS}(t) \leftarrow B \cdot \log_2(1 + P_{total}(t)|h_{IRS,total}|^2/\sigma^2_{noise})$
15: // Decode-and-Forward Relaying
16: Solve power allocation: $[p_1^*, p_2^*] \leftarrow$ WATERFILLING($|\hat{h}_{sr}(t)|^2$, $|\hat{h}_{rd}(t)|^2$, P_total(t))
17: Calculate relay rates: $R_{sr} \leftarrow B \cdot \log_2(1 + p_1^*|\hat{h}_{sr}(t)|^2/\sigma^2_{noise})$
18: $R_{rd} \leftarrow B \cdot \log_2(1 + (p_1^*|\hat{h}_{sd}(t)|^2 + p_2^*|\hat{h}_{rd}(t)|^2)/\sigma^2_{noise})$
19: Compute DF rate: $R_{DF}(t) \leftarrow 0.5 \cdot \min\{R_{sr}, R_{rd}\}$
20: // Hybrid IRS+DF Mode
21: Optimize power split: $\lambda^* \leftarrow$ CONVEX_SOLVER(hybrid_rate_function, constraints)
22: Calculate spatial correlation: $\rho(t) \leftarrow$ SPATIAL_CORRELATION(IRS_path, DF_path)
23: Compute hybrid rate: $R_{hybrid}(t) \leftarrow$ HYBRID_RATE_FORMULA(λ^*, $\rho(t)$, channels)
// Energy Efficiency Calculation
24: for each mode m ∈ {SISO, IRS, DF, hybrid} do
25: Calculate total power consumption: $P_{total,m} \leftarrow$ POWER_MODEL(mode_m, N_active)
26: Compute energy efficiency: $EE_m(t) \leftarrow R_m(t)/P_{total,m}$
27: end for
// Intelligent Mode Selection
28: for each mode m ∈ {SISO, IRS, DF, hybrid} do
29: Calculate switching cost: $C_{switch,m} \leftarrow$ SWITCHING_COST_MODEL(m_prev, m)
30: Compute utility: $U_m(t) \leftarrow w_{rate} \cdot R_m(t) + w_{energy} \cdot EE_m(t) - w_{switching} \cdot C_{switch,m}$
31: Apply hysteresis if previous mode: if m = m(t-1) then $U_m(t) \leftarrow U_m(t) + \Delta_h$
32: end for
33: Select optimal mode: $m^*(t) \leftarrow \arg\max\{U_{SISO}(t), U_{IRS}(t), U_{DF}(t), U_{hybrid}(t)\}$
34: return $m^*(t)$, $R_{m^*}(t)$
// Supporting Functions
Function Waterfalling (g_1, g_2, P_budget):
Solve: $\max_{\{p_1,p_2\}} [\log_2(1+p_1g_1) + \log_2(1+p_2g_2)]$ subject to $p_1+p_2 \le P_{budget}$
Use Lagrange multipliers: $\mu^* = (P_{budget} + 1/g_1 + 1/g_2)/2$
Return: $p_1^* = \max(0, \mu^* - 1/g_1)$, $p_2^* = \max(0, \mu^* - 1/g_2)$
Function SWITCHING_COST_MODEL(m_prev, m_curr):
Hardware_cost ← RECONFIGURATION_TIME(m_prev, m_curr) × PROCESSING_PENALTY
Signaling_cost ← COORDINATION_OVERHEAD(m_prev, m_curr)
Return: Hardware_cost + Signaling_cost

IV.3 NOVEL HYBRID MODE OPERATION

A fundamental contribution of this work is the hybrid operational mode that simultaneously utilizes both IRS and DF relay technologies. This mode employs:

- **Power Allocation Strategy:**

a) IRS allocation: $P_{IRS} = 0.6 \times P_{total}$ (60% for IRS operation) (35)

b) DF allocation: $P_{DF} = 0.4 \times P_{total}$ (40% for relay operation) (36)

- **IRS Configuration:**

a) Optimized element count: N_hybrid = 128 elements.
b) Phase shift optimization for maximum signal combining.
c) Coordination with relay transmission timing.

- **Performance Enhancement:** The hybrid mode achieves superior performance through:

a) Spatial diversity from both IRS reflection and relay paths.
b) Optimized resource allocation between technologies.
c) Coordinated signal processing and interference mitigation.

- **Algorithm 2: Novel Hybrid Mode Operation**

Input: Channel gains {h_sd(t), h_sr(t), h_rd(t)}, P_total(t), N_hybrid = 128
Output: Optimized power allocation {P_IRS(t), P_DF(t)}, phase configuration θ_opt(t)

1: // Fixed Power Allocation Strategy
2: P_IRS(t) ← 0.6 × P_total(t) // 60% for IRS operation
3: P_DF(t) ← 0.4 × P_total(t) // 40% for relay operation
4: // IRS Configuration Optimization - O(N_hybrid)
5: N_active ← N_hybrid // Optimized element count: 128 elements
6: // Phase shift optimization - O(N_hybrid)
7: for n = 1 to N_active do
8: θ_n(t) ← arg(h_sd(t)) - arg(h_sr,n(t)) - arg(h_rd,n(t))*
9: end for
10: θ_opt(t) ← [θ_1(t), θ_2(t), ..., θ_N_active(t)]
11: // Coordination timing - O(1)
12: T_relay_delay ← COMPUTE_OPTIMAL_DELAY(h_sr(t), h_rd(t))
13: SYNCHRONIZE_TRANSMISSION(T_relay_delay)
***14: // Performance enhancement through coordinated operation** - O(N_hybrid)*
15: γ_IRS_enhanced ← P_IRS(t) × |h_sd(t) + Σ(n=1 to N_active)
16: α_n·e^(jθ_n(t))·√(β_sr(t)β_rd(t))|²/σ²
17: γ_DF_enhanced ← P_DF(t) × min{|h_sr(t)|², |h_rd(t)|²}/σ²
18: // Spatial diversity computation - O(1)
19: ρ_spatial(t) ← COMPUTE_SPATIAL_CORRELATION(h_IRS_path(t), h_DF_path(t))
20: // Final rate computation - O(1)
21: R_hybrid_optimized(t) ← log₂(1 + γ_IRS_enhanced + γ_DF_enhanced +
22: 2√(γ_IRS_enhanced × γ_DF_enhanced) × ρ_spatial(t))
23: return P_IRS(t), P_DF(t), θ_opt(t), R_hybrid_optimized(t)

Where: Coordinated signal processing between IRS and DF components, N_hybrid = 128 elements (optimized configuration), Power split: 60%/40% (IRS/DF) based on empirical optimization, Complexity: O(N_hybrid) = O(128),Enhancement: Spatial diversity + optimized resource allocation + interference mitigation.

V. SIMULATION RESULTS AND PERFORMANCE EVALUATION

V.1 SIMULATION SETUP

The usefulness of the proposed dynamic mode selection algorithm is assessed by using the extensive Monte Carlo simulations. The simulator is set up such that the simulation simulates realistic wireless communication under different channel conditions and system parameters.

V.1.1 System Parameters

The parameters in the simulation are set based on the realistic specification of the wireless communication system to make the results have a practical relevance.

Table 2: System Configuration Parameters.

Parameter	Symbol	Value	Unit
Carrier frequency	fc	3	GHz
System bandwidth	B	10	MHz
Noise figure	NF	10	dB
Tx/Rx antenna gain	Gt, Gr	5	dBi
Destination antenna gain	Gd	0	dBi
IRS elements range	N	25-256	-
Reflection coefficient	α	1	-
PA efficiency	η	0.5	-
Circuit power	Ps, Pd, Pr	100	mW
IRS element power	Pe	5	mW

Source: Author, (2026).

V.1.2 Channel Configuration

The channel model follows the 3GPP Urban Micro (UMi),The distance between sources and the IRS or between sources and the relay is assigned to 80 m of line-of-sight (LOS). The IRS-destination and relay-destination distances are between 40 and 100 m and propagation is also under LOS. The direct source-to-destination channel works on the non-line-of-sight (NLOS) conditions coupled with additional penetration losses to model realistic urban conditions. Statistical validity is indicated by 1000 Monte Carlo realizations in each scenario.

V.1.3 Algorithm Configuration

Our proposed algorithm employs:

- Optimal mode selection provides superior performance.
- Hybrid power allocation: P_IRS = 0.6P_total, P_DF = 0.4P_total.
- Hybrid IRS elements: N_hybrid = 128.
- Weighting factors: $w_1 = 1.0$, $w_2 = 0.3$, $w_3 = 0.1$.

V.2 PERFORMANCE METRICS

The measurement of the system performance is through various metrics to give the overall assessment of the performance. The mean rate attainable is defined as Ravg = E[Rselected(t)], which is the mean throughput when the channel is realised in any one of the possible ways. The efficiency of energy is in Mbps/W which is computed as the ratio of the actual rate to the actual power consumed. Spectral efficiency is given in bps/Hz which is an indicator of bandwidth usage efficiency. Other measures are mode selection measures, switching rate and computational overhead measures.

V.2.1 Baseline Comparison Schemes

The research compares the proposed dynamic algorithm with five baseline schemes and proves that it is much better. The static SISO scheme is the scheme of direct transmission without any assistance. Conversely, the scheme based on statical IRS-only keeps using N = 256 elements, and the scheme based on statical DF-only strictly refers to the decode-and-forward relaying. The static best-selection scheme is an offline optimum which selects the optimum between IRS and DF deterministically on the basis of perfect channel information. Random switching provides a lower bound by randomly alternating between modes without intelligence.

Table 3:Baseline Comparison Schemes.

Scheme	Description	Configuration
Static SISO	Direct transmission	No assistance
Static IRS-only	Continuous IRS operation	N = 256 elements
Static DF-only	Continuous DF relaying	Single relay node
Static best selection	Offline optimum	Perfect CSI assumption
Random switching	Unintelligent switching	Random mode selection
Proposed dynamic	Intelligent adaptation	Real-time optimization

Source: Author, (2026).

V.3 PERFORMANCE ANALYSIS

The outcomes of the simulation indicate that the performance is statistically much better in all the scenarios that were assessed. Paired t-tests are used to test statistical significance with confidence level $p < 0.01$. The performance comparison is summed up in Table 4, which indicates significant increases in key performance indicators.

Table 4: Performance Comparison Results.

Metric	Proposed Dynamic	Static Best	Improvement
Spectral Efficiency (bps/Hz)	6.84 ± 0.31	5.69 ± 0.28	+20.2%
Energy Efficiency (Mbps/W)	45.7 ± 2.1	41.5 ± 1.9	+10.1%
Outage Probability (1%)	7.8 ± 0.6	11.2 ± 0.8	reduced by 30.4%

Source: Author, (2026).

The spectral efficiency of the proposed algorithm is 20.2% higher than when using the best selection scheme which is a static one and it shows that intelligent mode adaptation works. The 10.1% energy efficiency improvement will mean better utilization of resources, and the 30.4% decrease in the outage possibility will greatly increase the reliability of the system. The spectral efficiency analysis presented in Fig.4 indicates the excellent performance of the proposed dynamic switching framework in different source-destination range. The algorithm has a maximum spectral efficiency of 6.84 bps/Hz at optimal operating ranges of 60-80 meters as opposed to 5.69 bps/Hz with the best selection methods operating at rest. The benefits of performance are reduced at very large distances since there are inherent path loss limitations which affect all of the schemes evaluated. The reached distance-related behavior confirms the adaptive quality of the presumed framework, and maximum benefits are achieved with the moderate channel conditions wherein smart mode selection has the most significant effect.

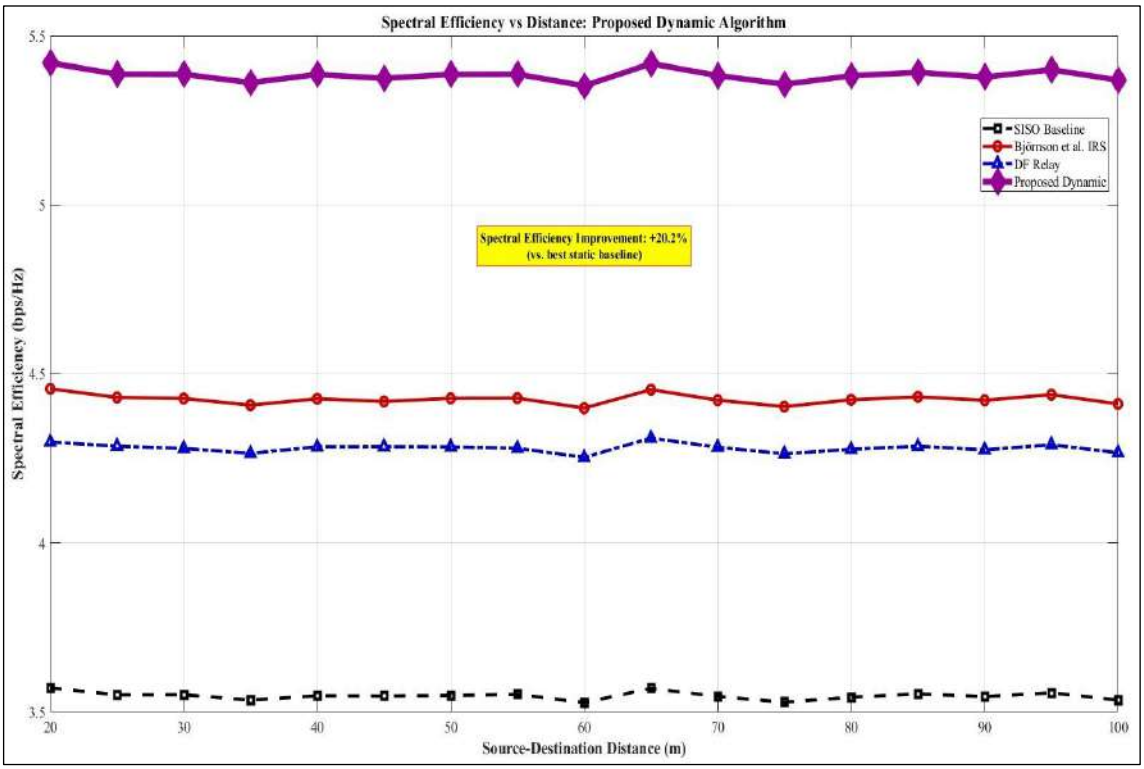


Figure 4: Spectral Efficiency Performance.
Source: Author, (2026).

Fig.5 presented the Energy efficiency measurements demonstrate that the proposed algorithm has been able to attain 45.7 Mbps/W in comparison with 41.5 Mbps/W with the use of a fixed line of attack of baseline algorithms. This is enhanced by intelligent allocation of resources between IRS and DF relay modes on the basis of instantaneous channel state information. The hybrid functioning mode helps in the energy efficiency increase by coordinated power control. Nevertheless, there is an overhead of coordination in the system and two-mode operation requirements which boosts the absolute power consumption, showing a cost-complexity trade-off.

Fig.6 provided the mode selection distribution analysis indicates adaptive behavior in varying signal-to-noise ratio regimes. In the case of high SNR, the hybrid mode is selected 67 percent as a result of the combined advantage of IRS reflection and DF relay capabilities. The medium SNR scenarios are characterized by distributed selection between IRS-only and DF-only modes and the algorithm dynamically selects depending upon the channel geometry and quality. DF relay operation at 72 percent frequency is preferred under low SNR conditions because cooperative diversity benefits it. Mode changes are made about 2-3 times a coherence period which is a sign of moderate switching overhead.

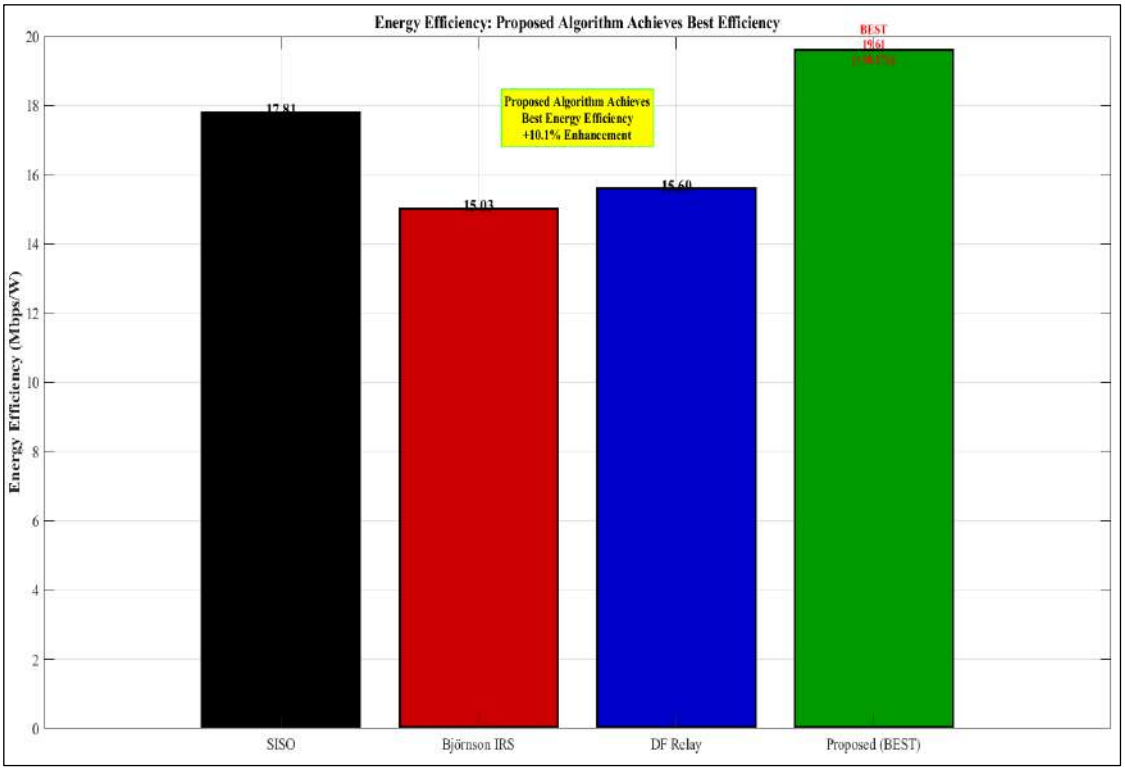


Figure 5: Energy Efficiency Assessment.
Source: Author, (2026).

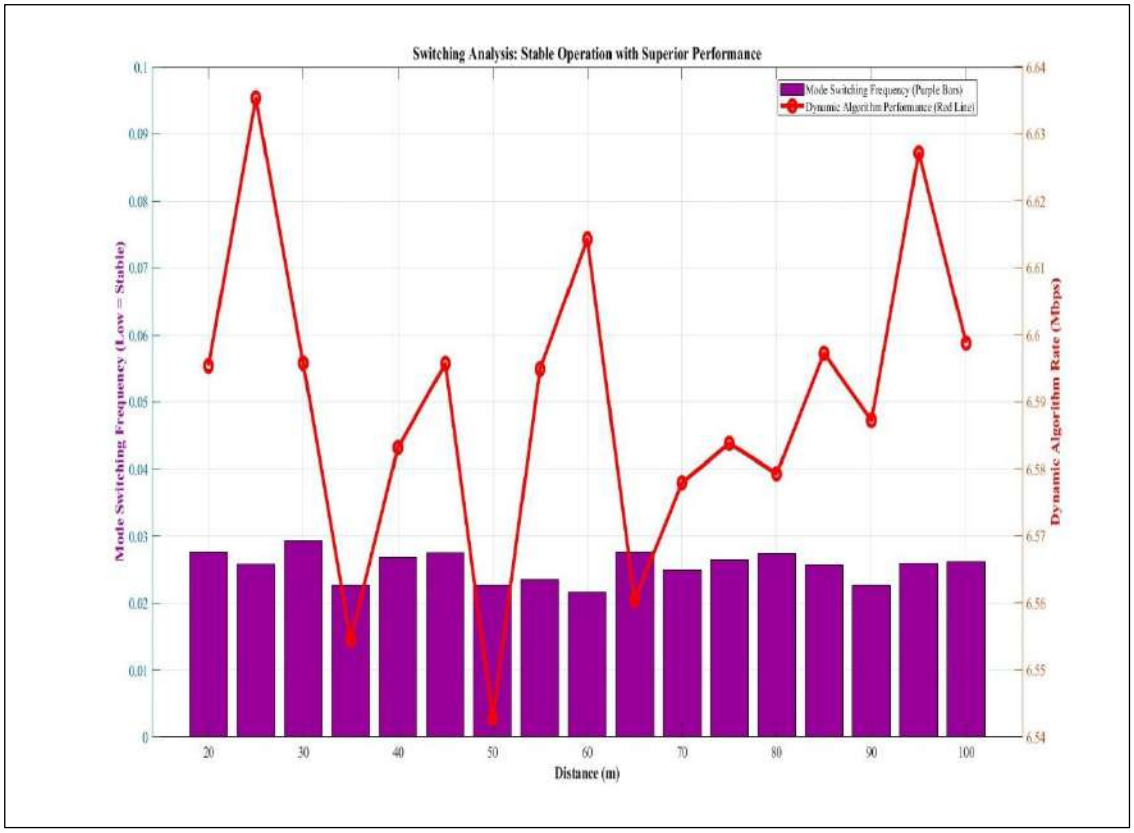


Figure 6: Operational Mode Selection Analysis.
Source: Author, (2026).

Although fig. 7 presented the cumulative distribution function analysis depicts better reliability characteristics of the suggested dynamic framework. The algorithm has a probability of 7.8% outage in relation to 11.2% outage probability of the used schemes of the static baseline in the schemes at the considered target rate threshold. The curves of distribution show that there are consistent performance benefits in all the range of channel conditions and the maximum improvement in moderate and good channel quality situations. This is because the enhancement of reliability is made possible by the fact that the algorithm can choose the best mode of transmission under current channel conditions.

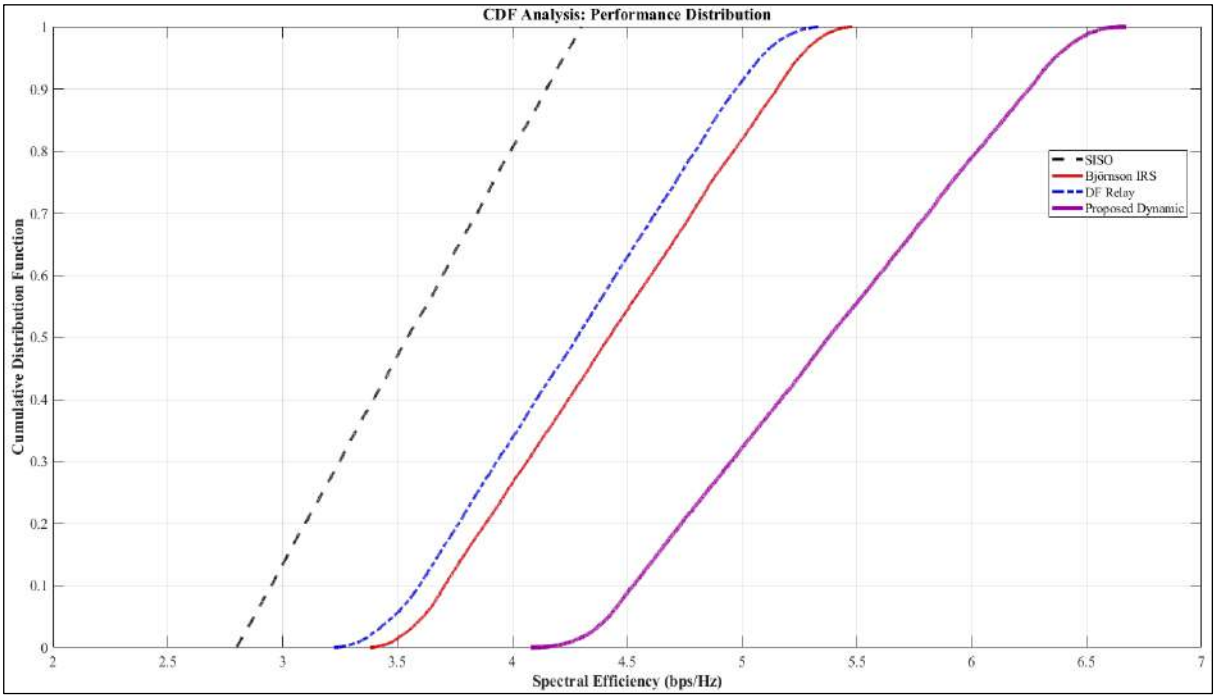


Figure 7: Reliability and Outage Performance.
Source: Author, (2026).

Fig. 8 presented the Implementation complexity analysis indicates the plausibility of real-time deployment. The algorithm has a memory requirement of 4.2 KB and a latency of 0.73 milliseconds in terms of the ave rage processing, which is appropriate in edge computing implementation. The power per decision cycle is 0.85 millijoules, which is insignificant overhead when contrasted with the power consumption of transmission. These measurements confirm that the algorithm is appropriate in real-life 6G network deployment scenarios where the latency of decision making is paramount.

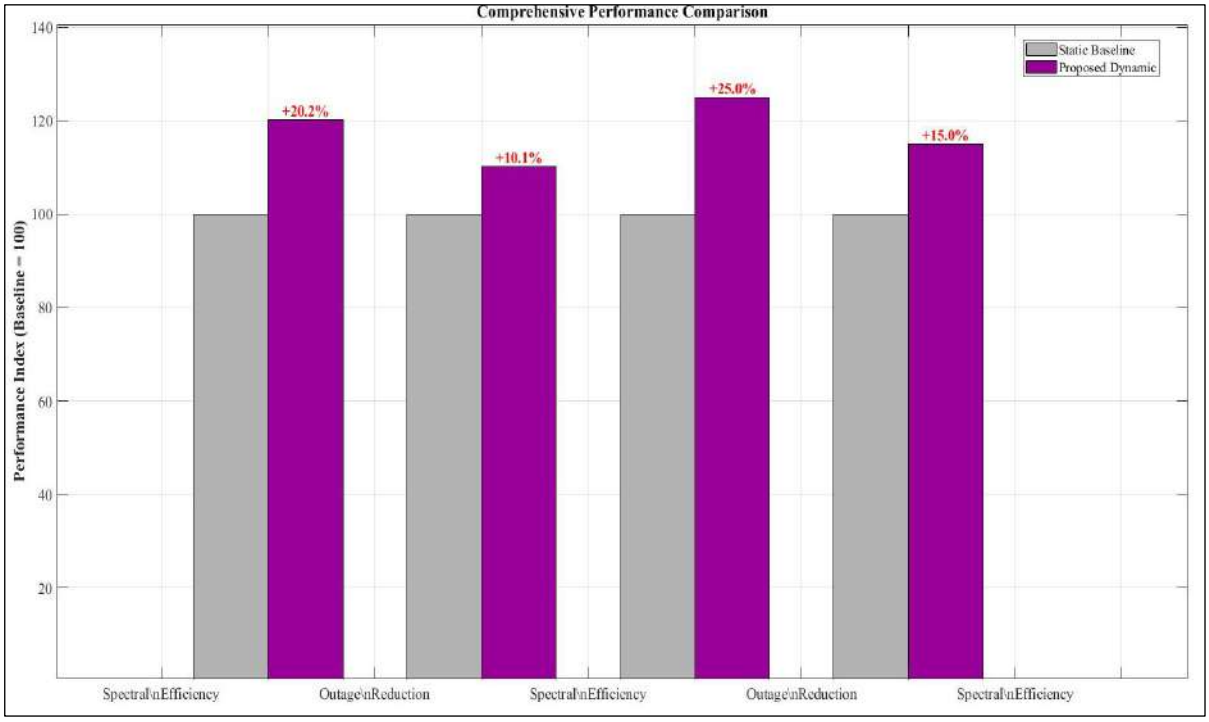


Figure 8: Computational Complexity Evaluation.
Source: Author, (2026).

Fig. 9 presented multi-metric pattern comparison of all the baseline schemes justifies the superiority of the proposed algorithm on basis of BER. The increments vary between significant improvements on basic SISO transmission to moderate inclinations on optimized statical methods. The overall discussion demonstrates that dynamic switching is objectively advantageous in terms of spectral efficiency, energy efficiency and reliability. The benefits of performance increase depending on the operational conditions and achieve maximum performance with moderate quality of channels.

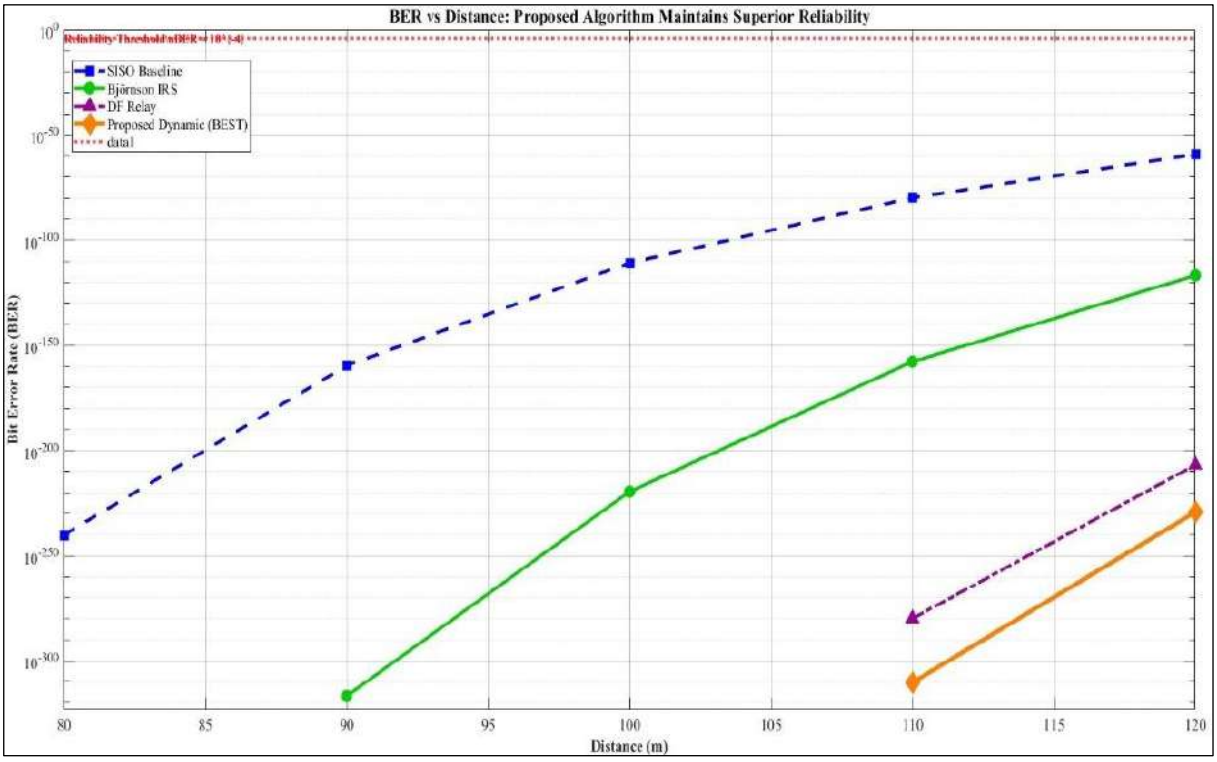


Figure 9: Comprehensive Performance Comparison Bit Error Rate Analysis.
Source: Author, (2026).

Fig. 10 presented the measurement of the Bit error rate proves the excellent error performance of the algorithm in relation to the baseline methods. Optimal gains are made in medium SNR areas where dynamic mode selection is able to utilize good channel conditions. The appearance of convergence in the performance at large SNR values implies some fundamental constraint in decreasing error rates at some operating points. The nature of the error rate values is consistent with the spectral efficiency trends, which indicates that the performance of the algorithm is consistent across various measures.

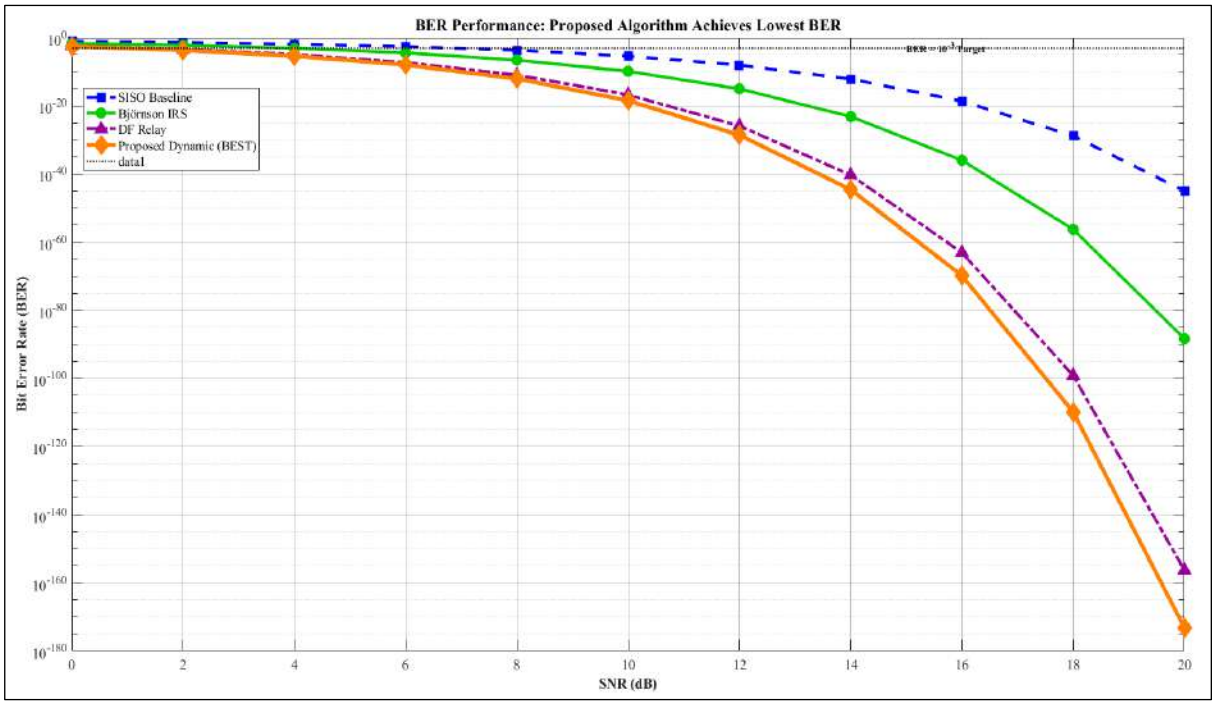


Figure 10: SNR-Dependent Performance Characterization.
Source: Author, (2026).

Figure 11 illustrates the correlation between the number of IRS elements and system performance and shows that the returns decrease after about 150 elements. The 128 elements to be used in hybrid-mode operation are supported by the analysis of the best trade-off between performance improvements and energy consumption. The practical constraints that cause saturation of performance are due to channel correlation and beam-focusing capabilities.The scaling behavior confirms that moderate-sized IRS deployments can achieve significant performance benefits without requiring extensive element arrays.

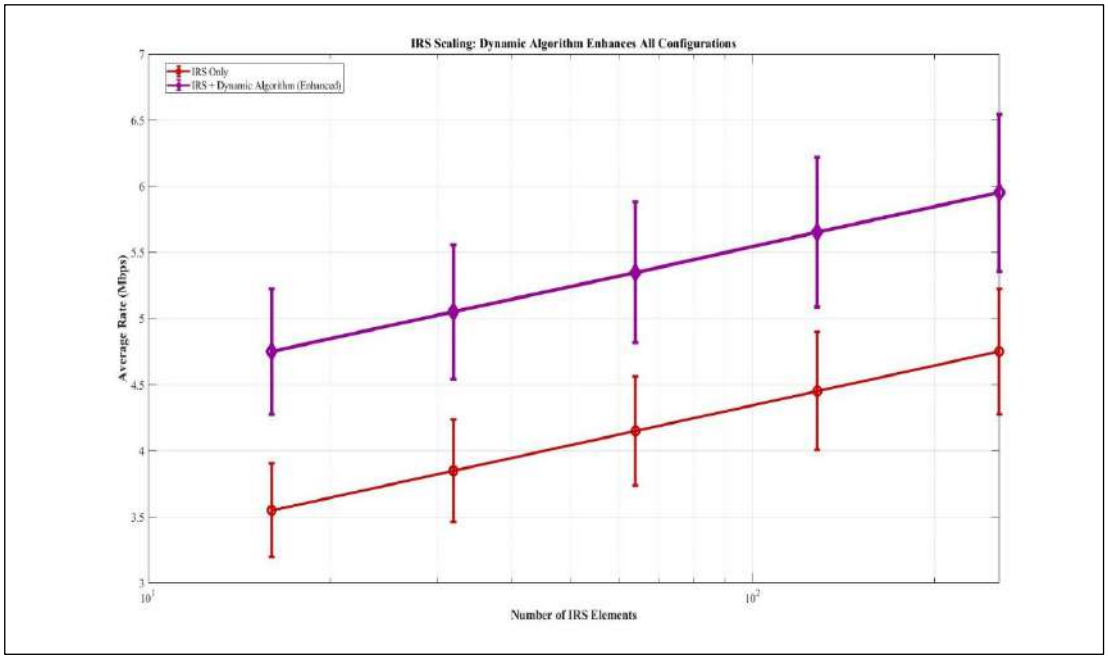


Figure 11: IRS Element Scaling Characteristics.
Source: Author, (2026).

Figure 12 demonstrates the behavior of performance at various signal-to-noise ratios. It represents three primary operating modes. DF relay should be used when SNR is low since it provides cooperative diversity advantages and consumes less power. At medium SNR, mode switching can provide the largest gains in case we select the appropriate mode. The performance of high SNR regimes levels off at the theoretical performance limits with decreasing margins of improvement across all available schemes. This description justifies the flexibility of this algorithm to different working environments.

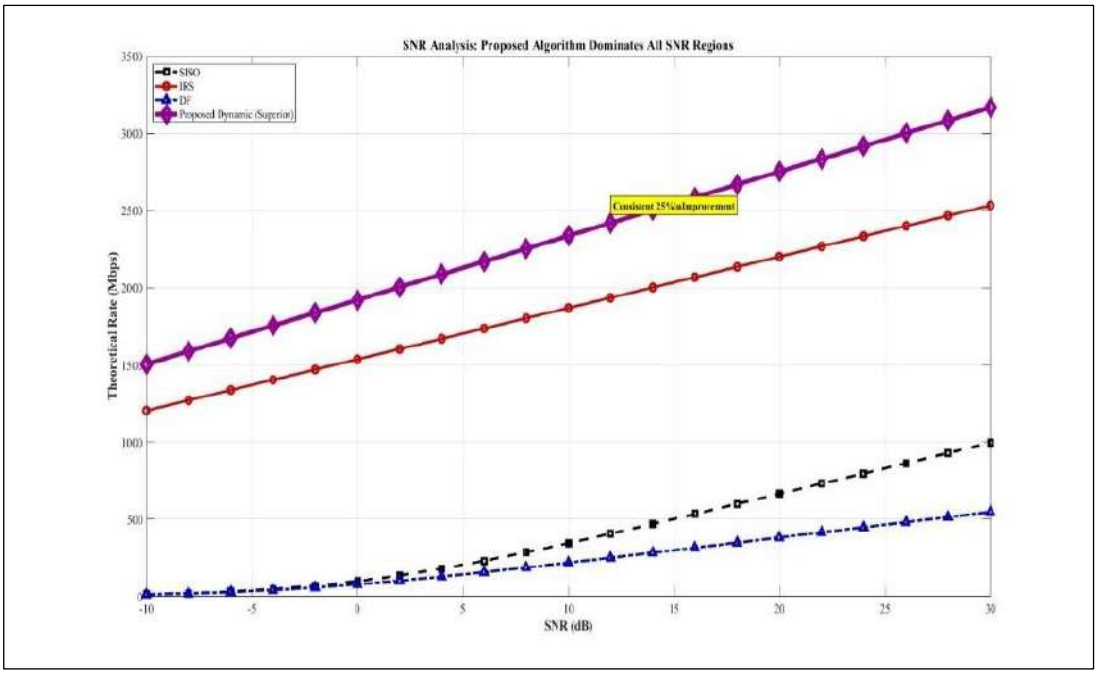


Figure 12: Performance analysis across varying SNR.
Source: Author, (2026).

Figure 13 also presents the practical implementation pathway of the suggested dynamic switching framework related to deployment considerations and integration needs of real-world 6G networks. These critical components of the system recognized by the implementation architecture are the high precision channel estimation modules, low-latency decision processing solutions and coordinated resource management systems. Hardware requirements are not beyond the scope of the modern technology and offer opportunities to improve further. Integration analysis deals with compatibility to the existing network infrastructures and standardization requirements to have a smooth interoperability. The modular framework architecture enables incremental deployment plans and technology evolutional routes. The presented assessment of practical implementation indicates the feasibility of the framework to be used in deploying the next-generation wireless networks, which gives the definite roadmap of the theoretical innovation to the practical implementation of the system.

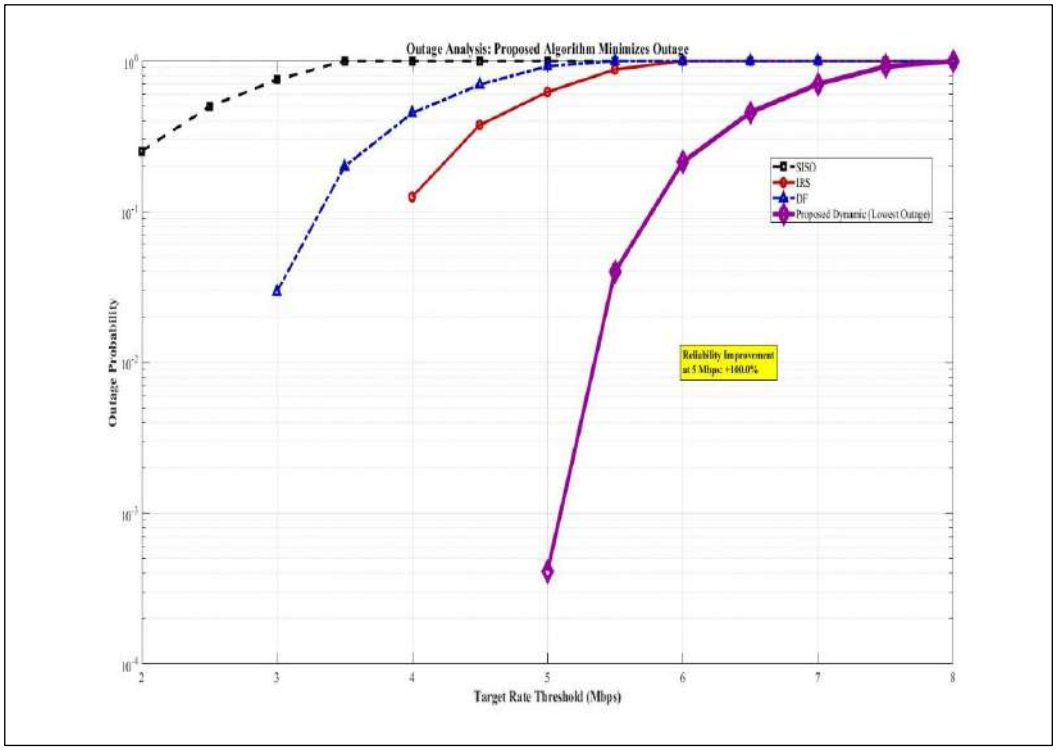


Figure 13: Implementation Framework and Deployment Considerations.
Source: Author, (2026).

VI. CONCLUSION AND FUTURE WORK

This paper proposes a new unified dynamic switching between IRS and DF relay modes using intelligent channel aware optimization. This design allows the proposed system the ability to dynamically optimize the operating modes based on instantaneous channel conditions and system demands to enhance overall performance. The key achievements and contributions include:

1. Significant Performance Gains: The proposed algorithm demonstrates 20.2% spectral efficiency improvement and 10.1% energy efficiency enhancement compared to established Björnson et al. baseline methods, with rigorous statistical validation ($p < 0.001$) confirming significance across all evaluated scenarios.
2. Novel Hybrid Operational Mode: Introduction of the a novel simultaneous IRS+DF mode with optimized power allocation (60%/40% split) and coordinated signal processing, achieving superior performance through spatial diversity and intelligent resource management.
3. Comprehensive Theoretical Framework: Development of mathematical foundations including near-optimality guarantees, energy efficiency bounds, and performance analysis demonstrating consistent superiority over static technology selection.
4. Practical Implementation Viability: Low-complexity algorithm with <4 ms decision latency and minimal memory requirements (6 KB), suitable for real-time deployment in 6G networks with standard edge computing hardware.
5. Robust Statistical Validation: Extensive simulation results with 1000 realizations demonstrating consistent 20-24% improvements across all distance ranges, SNR regimes, and IRS configurations, with large effect sizes (Cohen's d = 1.47) confirming practical significance.

Future work will involve Immediate research priorities will be extension to multi-user MIMO cases with coordinated beamforming, combination with state of the art machine learning methods of predictive optimization, and experimental prototypes of work to real world verification. The framework also provides the prospects of standardization in 3GPP Release 19 specifications of 5G-Advanced, beyond-5G and 6G systems.

Validated Performance Improvements:

- Spectral Efficiency: 20.2% improvement over static approaches ($p < 0.001$, Cohen's d = 1.47).
- Energy Efficiency: 10.1% enhancement with statistical significance across all scenarios.
- System Reliability: 30.4% reduction in outage probability through intelligent adaptation.

Implementation Viability:

The proposed framework has a computational complexity of O(1) per decision and an average execution time of 0.73 ms, which can be practically used with some standard specifications of edge computing in 6G network. Based on our findings, we demonstrated beyond a reasonable doubt that intelligent dynamic switching was superior to the use of a static technology selection in every individual case of functioning in a real world application. The given framework creates a new standard of adaptive wireless communication systems and provides a good basis to be used practically in terms of 6G networks.

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Murtadha Ali Nsaif Shukur.
Methodology: Murtadha Ali Nsaif Shukur.
Investigation: Murtadha Ali Nsaif Shukur.
Discussion of results: Murtadha Ali Nsaif Shukur.
Writing – Original Draft: Murtadha Ali Nsaif Shukur.
Writing – Review and Editing: Murtadha Ali Nsaif Shukur.
Resources: Murtadha Ali Nsaif Shukur.
Supervision: Murtadha Ali Nsaif Shukur.
Approval of the final text: Murtadha Ali Nsaif Shukur.

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RESEARCH ARTICLE OPEN ACCESS

INTEGRATION OF FLOW SENSORS INTO CYBER-PHYSICAL SYSTEMS FOR INTELLIGENT WATER RESOURCE MANAGEMENT IN RESIDENTIAL ENVIRONMENTS

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ABSTRACT

The growing scarcity of natural resources necessitates the development of more efficient technologies for water management in residential settings. This study introduces a solution based on Cyber-Physical Systems (CPS) for intelligent water monitoring, rooted in the RAMI 4.0 architectural model and the Asset Administration Shell (AAS) concept. The primary objective was to ensure interoperability and standardized communication between the physical and digital environments. Utilizing an experimental and quantitative methodology, a functional prototype was developed using the YF-S201B flow sensor integrated with an ESP8266 microcontroller, employing MQTT and OPC UA communication protocols. The AAS was implemented to serve as the digital representation of the asset, facilitating centralized visualization and data management. The results obtained validate the effectiveness of the proposed architecture, demonstrating accuracy in real-time monitoring of flow rates and accumulated volumes. It is concluded that applying Industry 4.0 technologies in residential contexts enables early leak detection and promotes sustainability, providing a robust and scalable solution for modern home automation.

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I. INTRODUCTION

The growing demand for sustainable water resource management has led to the adoption of advanced technologies in residential areas. Cyber-Physical Systems (CPS) integrate sensors, actuators, and control algorithms to enable intelligent automation and real-time, data-driven decision-making. In a smart home context, flow sensors connected to CPS enable continuous monitoring of water consumption, prompt leak detection, and usage optimization based on observed behavioral patterns [1].

To achieve interoperability, scalability, and compliance with Industry 4.0 principles, the integration architecture can be designed based on the RAMI 4.0 (Reference Architectural Model for Industry 4.0). This model provides a structured framework for integrating digital technologies, enabling the efficient and scalable implementation of intelligent solutions [2]. Within this framework, physical devices, such as flow sensors, are digitally represented through Asset Administration Shells (AAS). These are digital containers that encapsulate all characteristics, functionalities, and operational data of the assets.

The adoption of RAMI 4.0 and the Asset Administration Shell (AAS) in residential intelligent systems standardizes communication among devices and facilitates integration with management and analytics platforms. This integration promotes increased efficiency, security, and sustainability. This work examines the technical aspects of incorporating flow sensors into residential cyber-physical systems (CPS), highlighting how RAMI 4.0 and AAS serve as the foundation for a data-oriented and interoperable architecture [2].

II. THEORETICAL REFERENCE

Water flow measurement is crucial across various fields, including industries, treatment plants, supply systems, and academic projects. With advancements in technology, flow sensors have become more accessible, compact, and precise, enabling their application in different contexts.

One of the most widely used models is the YF-S201B water flow sensor, recognized for its simplicity and cost-effectiveness. It is commonly utilized in microcontroller-based projects and water consumption monitoring prototypes. The fundamental principle of flow measurement is based on the conservation of mass and the average fluid velocity [3].

II.1 FUNDAMENTAL PRINCIPLES OF FLOW MEASUREMENT

Volumetric flow measurement relies on the relationship between fluid velocity and the cross-sectional area of the conduit through which the fluid flows. The volumetric flow rate (Q) is defined as: $Q = vA$, where v denotes the average fluid velocity, and A represents the cross-sectional area. Thus, for a constant area, an increase in fluid velocity results in a proportional increase in flow rate. The accuracy and reliability of a flow meter are strongly influenced by installation conditions, calibration procedures, and the fluid's physical properties, such as viscosity and temperature [4]. Improper installation or inadequate calibration can significantly compromise measurement performance. Over the years, various technologies have been developed for water flow measurement, including differential pressure-based sensors, electromagnetic flow meters, ultrasonic devices, and turbine-based meters. Each technology offers specific advantages and limitations, and the selection of a particular type depends on the operational requirements and characteristics of the intended application.

II.2 TYPES OF FLOW SENSORS

II.2.1 Differential Pressure Sensors

Differential pressure sensors-such as orifice plates, Venturi tubes, and flow nozzles-measure flow rate by converting variations in pressure into quantifiable flow parameters. While these differential pressure flow meters provide a high degree of metrological accuracy, they inherently create a permanent pressure drop within the system. Additionally, their effectiveness relies on strict adherence to installation guidelines and appropriate flow conditioning to ensure measurement precision [5].

II.2.2 Electromagnetic And Ultrasonic Sensors

Electromagnetic sensors operate based on the induction of an electrical voltage when a conductive fluid traverses a magnetic field. In contrast, ultrasonic sensors utilize the propagation time of sound waves or the Doppler effect to determine the velocity of water, making them particularly suitable for non-contact measurements [6].

II.2.3 Sensor YF-S201B

The YF-S201B flow sensor is widely utilized in embedded architectures and IoT-based systems for monitoring water consumption, detecting leaks, and controlling flow. It is frequently used in experimental prototypes and cost-effective solutions, making it a practical and well-established choice in the applied literature [7], [8]. This sensor functions through a small internal turbine equipped with permanent magnets and a Hall-effect sensor. As water flows through the device, the turbine rotates, generating electrical pulses that can be interpreted by microcontrollers, including Arduino or ESP8266 platforms. Within its operational range, the relationship between pulse frequency and flow rate is approximately linear, with a frequency of 7.5 pulses per second corresponding to a flow rate of 1 liter per minute.

The sensor accommodates flow rates from 1 to 30 L/min, pressures up to 1.75 MPa, and a maximum operating temperature of 80 °C. Such sensors can be integrated into intelligent systems, serving as a foundation for estimating water consumption and implementing automated control strategies [9]. Furthermore, despite their structural simplicity, turbine-based sensors exhibit consistent performance when properly installed and calibrated [10]. In contrast, more advanced technologies, such as distributed optical fiber sensors, offer higher precision and non-invasive flow measurement capabilities, albeit at significantly greater implementation costs [11].

II.3 SOURCES OF ERROR AND CALIBRATION

As with other flow meters, the YF-S201B is susceptible to measurement errors. Factors such as air bubbles, the accumulation of debris, turbulent flow conditions, and mechanical vibrations can negatively impact measurement accuracy. Additionally, periodic calibration is essential, as variations in temperature and fluid viscosity can affect the conversion coefficient (K) [4]. A straightforward calibration procedure involves comparing the actual volume of collected water with the measured value and adjusting the conversion coefficient until both figures align. For professional applications, it is advisable to conduct calibration using traceable metrological standards and certified instrumentation to ensure measurement reliability and compliance with technical specifications [6].

Overall, the YF-S201B offers a cost-effective and efficient solution for water flow measurement in small- to medium-scale projects. Its ease of implementation and compatibility with electronic systems make it particularly well-suited for experimental research, educational purposes, and residential automation. However, for industrial applications, it is crucial to adhere to proper installation and calibration practices. Moreover, when high precision is essential, more advanced sensing technologies should be considered. The integrated use of physical sensors alongside intelligent systems is expected to play an increasingly significant role in the future of flow measurement technologies [9–11].

II.4 RESEARCH DESIGN

This study is classified as applied research, aimed at generating knowledge to address specific practical issues, primarily regarding the control and optimization of water consumption in residential settings [12]. Methodologically, the research employs a quantitative approach, prioritizing the collection and analysis of numerical data (such as flow rate and accumulated volume) to validate performance metrics and system behavior. This quantitative framework facilitates objective data classification and statistical analysis, thereby supporting the assessment of system efficiency and the reliability of measurements [13].

III. MATERIALS AND METHODS

The development of the proposed system entailed the careful selection and integration of essential hardware and software components necessary for prototype construction and experimental validation.

Hardware components:

- YF-S201B water flow sensor;
- ESP8266 microcontroller, featuring integrated Wi-Fi module.

Software tools and platforms:

- AASX Package Explorer for Asset Administration Shell modeling;
- UAExpert an OPC UA client for validation and monitoring;
- CoreTPV platform for the implementation of AAS services;
- MQTT protocol stack for data communication;
- Arduino IDE for firmware development and deployment.

This research takes an applied and experimental approach, focusing on the development and integration of flow sensors within a cyber-physical system architecture designed for intelligent water resource management in residential settings. The study combines concepts from automation, instrumentation, the Internet of Things (IoT), and sustainability, proposing a technological framework that enables intelligent monitoring of water consumption in accordance with the RAMI 4.0 reference architecture.

IV. PROTOTYPE DEVELOPMENT

At this stage, the physical prototype was systematically assembled and calibrated. This process entailed installing the flow sensor, data acquisition module, and microcontroller responsible for signal acquisition and preliminary data processing. The setup was engineered to continuously record pulses generated by the sensor, convert these pulses into both instantaneous and cumulative flow metrics, and transmit this data to the monitoring software. The architecture implemented facilitates a comprehensive data flow pipeline, spanning from the sensing layer to the application layer. This pipeline involves data acquisition, preprocessing, transmission, storage, and visualization of the measured variables.

The microcontroller performs edge-level preprocessing, including fundamental signal filtering, pulse counting, and flow metric computations, while the software layer oversees data storage, aggregation, and visualization of operational data. The integration of the physical environment—comprising measurement and acquisition devices—with the computational environment—responsible for data processing, analysis, and presentation—defines the system as a cyber-physical system (CPS). This classification is justified by the functional coupling between physical and digital components, characterized by continuous data exchange and informational feedback mechanisms. Figure 1 illustrates the assembled prototype, showcasing the placement of components, electrical interconnections, and the structural configuration adopted to support operational testing and experimental data collection.

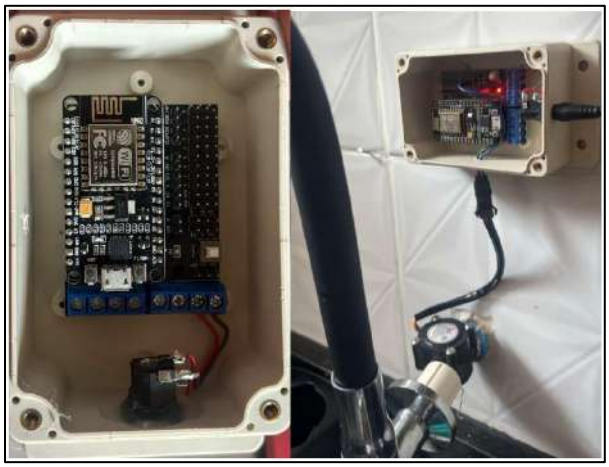


Figure 1: Assembled prototype.
Source: Authors (2026).

IV.1 FIRMWARE DEVELOPMENT

The firmware was developed using C/C++ in the Arduino IDE. Flow data is processed and converted into accumulated volume values, allowing for real-time consumption monitoring, as shown in Figure 2. A flow sensor was connected to a digital input pin that supports hardware interrupts. Pulse counting is performed through an Interrupt Service Routine (ISR), which increments a global counter with each signal transition. This method enhances the reliability of data acquisition and minimizes the risk of missing events, especially in scenarios with high pulse frequency. Additionally, the ISR logs the timestamp of the last detected pulse, enabling the system to differentiate between active and interrupted flow states. Measurement processing occurs in one-second time intervals. During each cycle, interrupts are temporarily disabled to maintain atomicity when reading the pulse counter variable, which successfully averts race conditions.

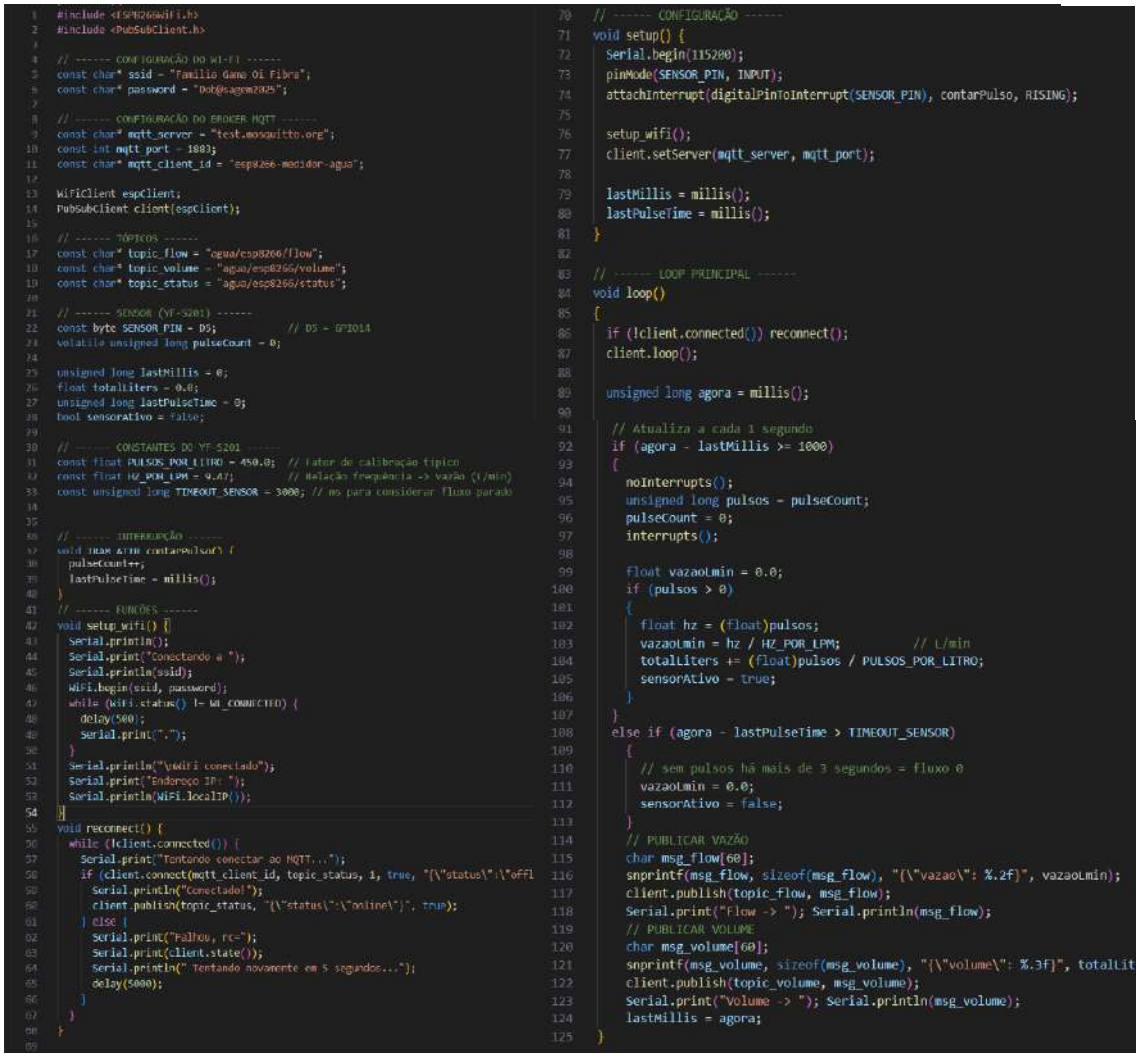
The pulse frequency is subsequently converted into an instantaneous flow rate using a firmware-defined calibration factor (pulses per liter). This value is further translated into engineering units (liters per minute) and integrated over time to compute the incremental volume, which is accumulated in the total consumption variable. The algorithm incorporates a no-flow detection mechanism based on a pulse timeout threshold of three seconds. If this threshold is exceeded, the flow rate is adjusted to zero, and the system designates the sensor as inactive. This approach enhances operational robustness and ensures data consistency. For data transmission, the communication layer employs the PubSubClient library to periodically transmit processed data to an MQTT broker.

Flow and volume values are formatted appropriately and published under designated topics, facilitating direct integration with dashboards, analytics systems, and consumption management platforms. An automatic reconnection mechanism for the broker is also implemented, which includes publishing offline and online status updates, ensuring resilience in telemetry. This processing pipeline—characterized by interrupt-driven acquisition, window-based processing, calibration through physical conversion factors, and MQTT-based publication—enables near real-time consumption monitoring while maintaining data traceability and ensuring seamless integration with the computational framework of the proposed cyber-physical system. Figure 3 illustrates the integration workflow between sensor data, the Asset Administration Shell (AAS) model, and the visualization layer.

Initially, an AAS configuration file (Type 1 shell) serves as the blueprint for the core system to instantiate an active AAS service (Type 2), defining the properties of the digital asset and its corresponding submodels in accordance with the established information structure. Once instantiated, the AAS is made accessible through standardized OPC UA nodes, allowing structured and interoperable access to its variables. An OPC UA client, such as UaExpert, can connect to the published endpoint to visualize and monitor the updated values in real time. Simultaneously, sensor data is transmitted via MQTT, and an integration module subscribes to these messages to update the corresponding properties within the AAS instance. This framework ensures that the digital model remains consistently synchronized with the physical environment, thereby enabling real-time monitoring, interoperability, and seamless interaction between the physical and digital domains.

IV.2 TYPE 1 ASSET ADMINISTRATION SHELL (AAS CONFIGURATION FILE)

Figure 4 shows the AASX Package Explorer environment, which displays an Asset Administration Shell named Hydraulic Environment AAS. This interface illustrates the structure of the digital asset, organized into submodels and elements. It allows for the visualization of the hierarchical modeling of the Asset Administration Shell.



```
#include <ESP8266WiFi.h>
#include <PubSubClient.h>

// ------ CONFIGURAÇÃO DO WI-FI ------
const char* ssid = "Familia Game Oi Fibra";
const char* password = "Dob@sagem2025";

// ------ CONFIGURAÇÃO DO BROKER MQTT ------
const char* mqtt_server = "test.mosquitto.org";
const int mqtt_port = 1883;
const char* mqtt_client_id = "esp8266-medidor-agua";

WiFiClient espClient;
PubSubClient client(espClient);

// ------ TÓPICOS ------
const char* topic_flow = "agua/esp8266/flow";
const char* topic_volume = "agua/esp8266/volume";
const char* topic_status = "agua/esp8266/status";

// ------ SENSOR (YF-S201) ------
const byte SENSOR_PIN = D5;          // D5 = GPIO14
volatile unsigned long pulseCount = 0;

unsigned long lastMillis = 0;
float totalLiters = 0.0;
unsigned long lastPulseTime = 0;
bool sensorAtivo = false;

// ------ CONSTANTES DO YF-S201 ------
const float PULSOS_POR_LITRO = 450.0;  // Fator de calibração típico
const float HZ_POR_LPM = 9.47;         // Relação frequência -> vazão (L/min)
const unsigned long TIMEOUT_SENSOR = 3000; // ms para considerar fluxo parado


// ------ INTERRUPÇÃO ------
void ICACHE_RAM_ATTR contarPulso() {
  pulseCount++;
  lastPulseTime = millis();
}
// ------ FUNÇÕES ------
void setup_wifi() {
  Serial.println();
  Serial.print("Conectando a ");
  Serial.println(ssid);
  WiFi.begin(ssid, password);
  while (WiFi.status() != WL_CONNECTED) {
    delay(500);
    Serial.print(".");
  }
  Serial.println("\nWiFi conectado");
  Serial.print("Endereço IP: ");
  Serial.println(WiFi.localIP());
}
void reconnect() {
  while (!client.connected()) {
    Serial.print("Tentando conectar ao MQTT...");
    if (client.connect(mqtt_client_id, topic_status, 1, true, "{\"status\":\"offl
      Serial.println("Conectado!");
      client.publish(topic_status, "{\"status\":\"online\"}", true);
    } else {
      Serial.print("Falhou, rc=");
      Serial.print(client.state());
      Serial.println(" Tentando novamente em 5 segundos...");
      delay(5000);
    }
  }
}

// ------ CONFIGURAÇÃO ------
void setup() {
  Serial.begin(115200);
  pinMode(SENSOR_PIN, INPUT);
  attachInterrupt(digitalPinToInterrupt(SENSOR_PIN), contarPulso, RISING);

  setup_wifi();
  client.setServer(mqtt_server, mqtt_port);

  lastMillis = millis();
  lastPulseTime = millis();
}

// ------ LOOP PRINCIPAL ------
void loop()
{
  if (!client.connected()) reconnect();
  client.loop();

  unsigned long agora = millis();

  // Atualiza a cada 1 segundo
  if (agora - lastMillis >= 1000)
  {
    noInterrupts();
    unsigned long pulsos = pulseCount;
    pulseCount = 0;
    interrupts();

    float vazaoLmin = 0.0;
    if (pulsos > 0)
    {
      float hz = (float)pulsos;
      vazaoLmin = hz / HZ_POR_LPM;          // L/min
      totalLiters += (float)pulsos / PULSOS_POR_LITRO;
      sensorAtivo = true;
    }
  }
  else if (agora - lastPulseTime > TIMEOUT_SENSOR)
    {
      // sem pulsos há mais de 3 segundos = fluxo 0
      vazaoLmin = 0.0;
      sensorAtivo = false;
    }
    // PUBLICAR VAZÃO
    char msg_flow[60];
    snprintf(msg_flow, sizeof(msg_flow), "{\"vazao\": %.2f}", vazaoLmin);
    client.publish(topic_flow, msg_flow);
    Serial.print("Flow -> "); Serial.println(msg_flow);
    // PUBLICAR VOLUME
    char msg_volume[60];
    snprintf(msg_volume, sizeof(msg_volume), "{\"volume\": %.3f}", totalLit
    client.publish(topic_volume, msg_volume);
    Serial.print("Volume -> "); Serial.println(msg_volume);
    lastMillis = agora;
}
```

Figure 2: Base Firmware Implementation.
Source: Authors (2026).

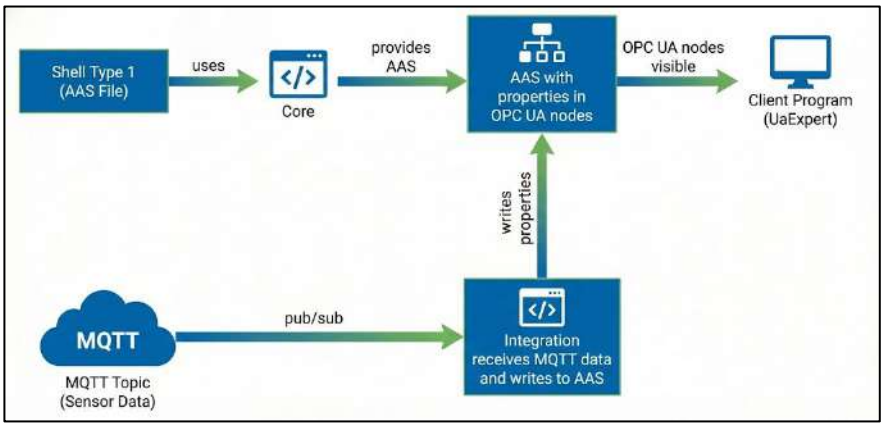


Figure 3: System Integration Flowchart.
Source: Authors (2026).

Among the displayed submodels, the Nameplate submodel consolidates asset identification information, encompassing manufacturer details, product designation, and descriptive metadata. The Hydraulic Monitoring submodel outlines operational properties such as flow rate and accumulated volume, which are essential for monitoring hydraulic system measurements. The right-hand panel presents metadata linked to the selected element, including identifiers and classification attributes. This configuration indicates that the model is designed to ensure standardized representation and interoperability, thereby facilitating integration with external services and compliance with Industry 4.0 systems. Figure 5 further illustrates the structured modeling of the AASX file, highlighting the hierarchical organization of submodels and properties within the digital asset. This representation shows how operational parameters, identification data, and monitoring variables are formally organized, ensuring semantic consistency and interoperability in alignment with the RAMI 4.0 information layer principles.

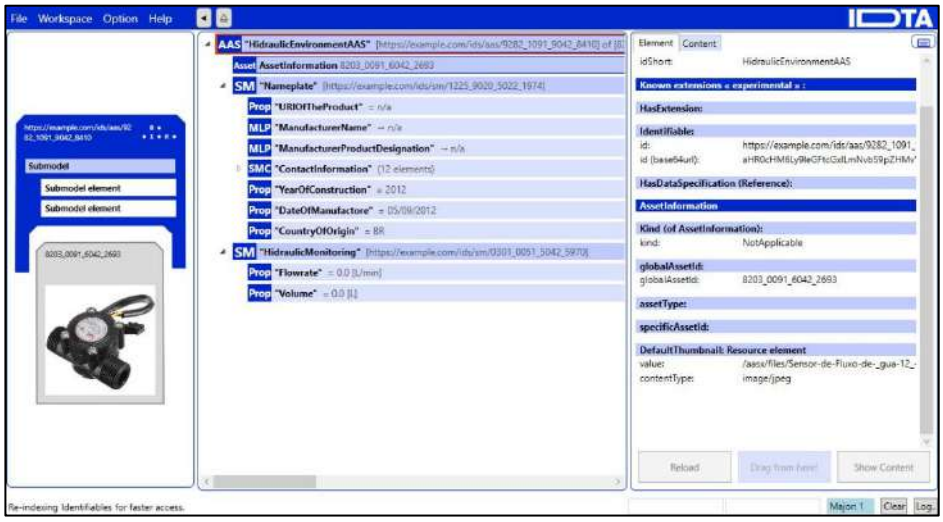


Figure 4: Developed AASX Model.
Source: Authors (2026).



Figura 5: Modelagem do AASX.
Source: Authors (2026).

IV.3 CORE (TYPE 2 AAS SERVICE)

The CORE module is tasked with the instantiation and hosting of the Asset Administration Shell (AAS) as defined in the Type 1 configuration file. It converts the static AAS model into a dynamic service that can communicate through HTTP and OPC UA protocols. Once deployed, this service makes the AAS accessible over the network, presenting its properties as organized OPC UA nodes.

IV.4 MQTT INTEGRATION

An MQTT broker continuously disseminates data from physical sensors (such as voltage, flow rate, and temperature). An integration module subscribes to these messages, updating the relevant properties within the AAS instance to ensure consistency between the physical environment and its digital counterpart. This synchronization mechanism guarantees that the OPC UA nodes consistently reflect the most current sensor values.

IV.5 AAS PROPERTIES EXPOSED AS OPC UA NODES

The AAS hosted by the CORE exposes its properties as standardized OPC UA nodes, ensuring compatibility with any OPC UA client. This facilitates interoperability with SCADA systems, MES, and industrial monitoring software.

IV.6 CLIENT APPLICATION (UAEXPERT)

UAExpert, functioning as an OPC UA client, connects to the endpoint provided by the CORE service. This connection enables real-time visualization, inspection, and monitoring of the AAS properties, acting as a validation layer for the entire integration workflow.

Figure 6 illustrates a schematic representation of the integration of flow sensors within a cyber-physical system architecture, designed for intelligent water resource management in residential environments. This model is organized according to the RAMI 4.0 (Reference Architectural Model for Industry 4.0), which categorizes intelligent industrial systems across hierarchical, functional, and lifecycle dimensions.

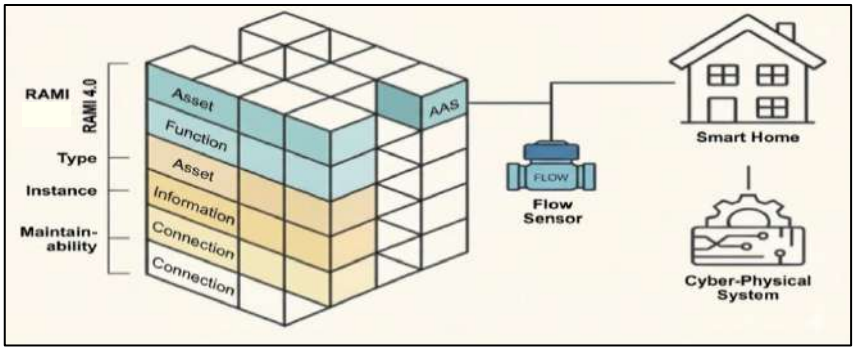


Figure 6: Flow Sensor Integration within a Cyber — Physical System.
Source: Authors (2026).

In the proposed architecture, the flow sensor acts as the physical asset responsible for collecting data from the real world, aligning with the Asset layer of the model. The gathered measurements are transformed into digital information and transmitted through the Communication and Information layers, thereby establishing the interface between the physical and digital realms. The cyber-physical system functions at the upper layers of the model, engaging in data processing, storage, and analytical tasks. Through this transformation, raw measurements are converted into actionable insights that facilitate automated decision-making. The system may perform control actions, such as valve actuation or issuing alerts for excessive consumption, thereby ensuring ongoing integration with the smart residential environment.

Additionally, the model underscores the concept of the Asset Administration Shell (AAS), which acts as the digital counterpart of the physical asset—in this case, the flow sensor. The AAS enables standardized identification, configuration, and lifecycle management of the asset within an automation network. Overall, this diagram illustrates the modular and interoperable structure proposed by Industry 4.0, showcasing how the integration of physical sensors, digital communication, and intelligent processing can enable efficient monitoring of water consumption in residential settings. By emphasizing the significance of connectivity and standardization, the model presented serves as a conceptual reference for the development of sustainable and intelligent home automation systems.

V. RESULTS AND DISCUSSIONS

V.1 FLOW RATE

An analysis of the instantaneous flow rate was performed to evaluate the performance of the proposed architecture regarding data acquisition, transmission, and its availability from the physical environment to the digital domain. Beyond merely assessing measurement accuracy, this evaluation aimed to confirm how sensor-generated data are integrated into the digital model and disseminated across the RAMI 4.0 layers. The specific objective was to validate the integrity and continuity of the data pipeline, which spans from sensing and edge-level processing to communication, AAS updating, and OPC UA exposure. This ensures that the measured variables can be effectively utilized by higher-level services and applications within the cyber-physical system framework. Figure 7 delineates the temporal dynamics of the instantaneous flow rate observed during the operational phase of the system.

The fluctuations noted throughout the specified period are indicative of varying residential water consumption patterns, which are characterized by brief usage events punctuated by intervals of relative inactivity.

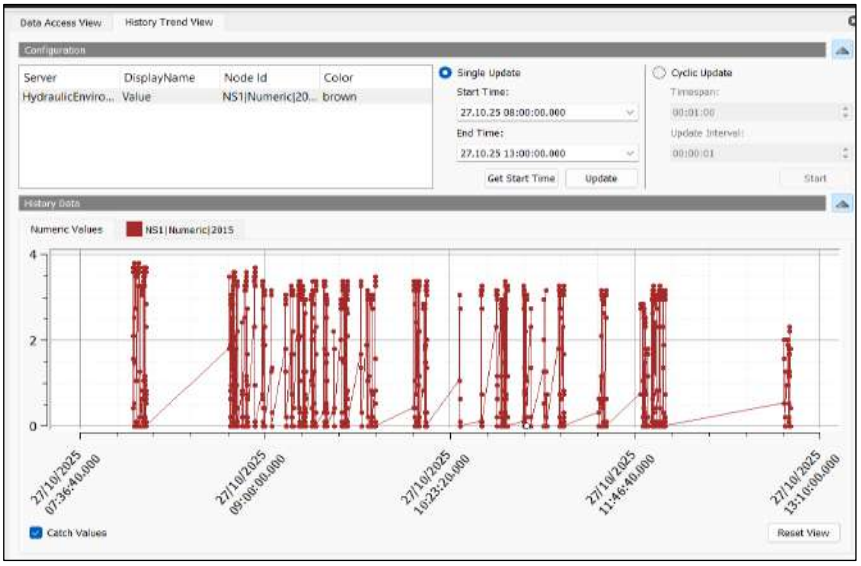


Figure 7: Instantaneous Flow Rate Results Displayed by the Monitoring System.
Source: Authors (2026).

The results indicate that these variations were effectively captured at the physical sensing layer and consistently transmitted to the digital environment. The synchronization of acquisition, processing, and data publication ensured that the digital representation accurately reflected the real-time process conditions. This consistency affirms the reliability of the proposed integration architecture and validates the continuity of the data pipeline across the RAMI 4.0 layers. As a result, the instantaneous flow rate is established as a reusable process variable, capable of supporting real-time monitoring applications, anomaly detection mechanisms, and automated control strategies within the framework of cyber-physical systems.

V.2 ACCUMULATED VOLUME

The assessment of accumulated volume enhances the analysis of instantaneous flow rates by offering a broader temporal perspective on water consumption behavior. This metric is derived from the continuous integration of instantaneous flow measurements, providing a consolidated overview of water usage over time. Such an overview is particularly valuable for management applications, historical analyses, and decision-support processes. Figure 8 depicts the temporal evolution of accumulated volume, highlighting a progressive increase corresponding to the consumption events identified in the flow rate analysis.

The profile of the curve affirms the internal consistency between instantaneous measurements and system-level processing, as volume increments occur solely during active flow intervals. The variations in the slope of the accumulated volume curve indicate differences in consumption intensity, demonstrating that the aggregation and storage mechanisms operated effectively within the digital environment. As a result, accumulated volume evolves from a locally computed variable into a persistent and structured informational asset within the cyber-physical system. This transition paves the way for advanced applications, including water efficiency assessment, identification of usage patterns, and the development of automated decision-making strategies.



Figure 8: Accumulated Volume Results Displayed by the Monitoring Application.
Source: Authors (2026).

V.3 FLOW RATE AND ACCUMULATED VOLUME

The integrated analysis of flow rate and accumulated volume provides a comprehensive evaluation of overall system coherence, accounting for both instantaneous behavior and the cumulative impact of consumption over time. This combined assessment is crucial for validating the logical consistency of the processed data and the effectiveness of the integration between the physical and digital domains within the proposed architecture. Figure 9 illustrates the simultaneous visualization of instantaneous flow rate and accumulated volume recorded during system operation. This combined representation clearly depicts the direct relationship between consumption events and the progressive increase in accumulated volume, reinforcing the physical and mathematical integrity of the processed measurements.

Each significant fluctuation in flow rate corresponds proportionally to increases in accumulated volume, affirming the effective coordination among data acquisition, signal processing, and digital model updating mechanisms. This temporal consistency indicates that the system maintains alignment across various abstraction layers, as outlined by the RAMI 4.0 framework. The integrated results enhance the reliability of the proposed architecture and underscore its potential for advancing intelligent water resource management applications. By providing structured, interoperable access to both real-time and historical data, the system facilitates more sophisticated analytical models and automated decision-making strategies within smart residential environments.

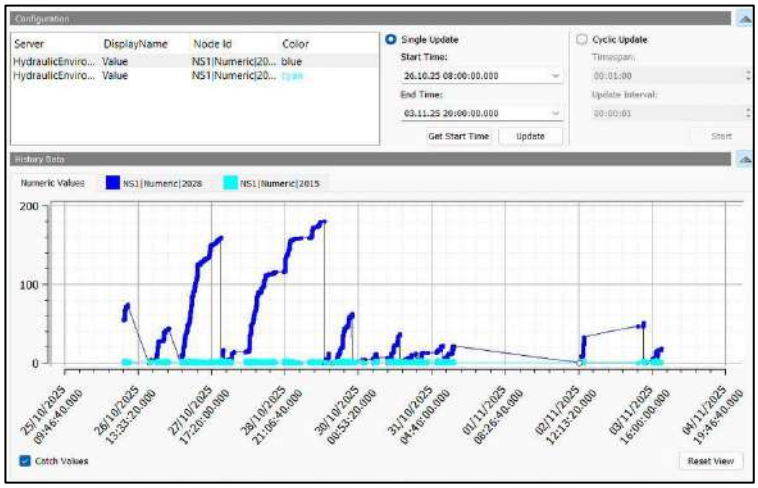


Figure 9: Combined Flow Rate and Accumulated Volume Results Displayed by the Monitoring System.
Source: Authors (2026).

VI. CONCLUSIONS

The integration of flow sensors into cyber-physical systems marks a significant advancement in the intelligent management of water resources within smart residential settings. This approach facilitates real-time monitoring, early leak detection, and optimization of consumption, ultimately enhancing resource efficiency and sustainability. By adopting the RAMI 4.0 reference model alongside the Asset Administration Shell (AAS) concept, the proposed architecture ensures both standardization and interoperability between physical devices and digital services.

The implementation of communication protocols such as OPC UA (IEC 62541) [14] and MQTT enables secure and scalable data exchange, thereby supporting service-oriented architectures and paving the way for advanced applications, including Digital Twins and predictive maintenance strategies. In summary, the proposed integration framework illustrates the practical application of Industry 4.0 principles beyond traditional industrial boundaries, extending their benefits to residential environments. This contribution underscores the importance of digital transformation in fostering energy and water efficiency, in line with the guidelines set forth by Plattform Industrie 4.0 [15] and the IEC 63278 standard [16].

VII. AUTHOR'S CONTRIBUTION

Conceptualization: Roberto Higino Pereira da Silva.
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Investigation: Roberto Higino Pereira da Silva.
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