

Comparison of UKF and EKF based State of Charge Estimation for Lithium ion Battery

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Abstract — The battery state of charge (SoC) is a crucial function in battery management system (BMS) of electric vehicles (EVs). However SoC cannot be directly measured from the battery. Therefore, SoC should be estimated by using the measured signals, such as voltage and current via accurate model of the li-ion battery. In this paper, Unscented Kalman filter (UKF) is proposed to estimate the SoC of the lithium-ion (Li-ion) battery. The Li-ion battery is modelled with second order Thevenin model. The equivalent circuit parameters of the Thevenin model are identified and promoted by experimental data. The experimental test bench is developed for SoC estimation based on extended Kalman filter (EKF) and UKF. UKF based SoC estimation results are compared with EKF based SoC estimation results aspect of SoC performance. Experimental results show that EKF and UKF both are applicable and UKF is better than EKF with SoC accuracy and computational time.

Keywords—state of charge (SoC); battery management system (BMS); unscented kalman filter (UKF); extended kalman filter (EKF); lithium-ion battery

I. INTRODUCTION

Recently, rechargeable battery technology has gained more and more attentions worldwide with the development of electric vehicles due to energy crisis and environmental issues [1]. Lithium-ion batteries are widely used in EVs in view of their high energy and power density, high nominal cell voltage, long life cycle, low self-discharge rate and not having a memory effect [2]. A battery pack is usually including battery cells connected in series and parallel. Hence, lithium-ion batteries need to be used with battery management system (BMS) to improve battery safety, reliability and performance [3]. As one of the most important function for BMS, state of charge (SoC) directly affects battery performance. Therefore, the estimation of battery SoC is a key parameter for BMS. Unfortunately, in practical applications the SoC cannot be directly measured, but it can be estimated by using a battery model based on the measured signals such as the voltage, current and temperature [4].

In the literature, various methods for SOC estimation have been proposed [5]. Common methods are the Coulomb counting method and open circuit voltage (OCV) method use for SoC estimation. Coulomb counting method only requires to

measurement of the battery current and accurate knowledge of the initial SoC value. However this method has accumulated error problem from the integration process due to current drift [6,7]. Open circuit method estimate the SoC with relationship the OCV and the SoC, but this method needs to long resting time to reach the battery's steady-state. Hence, it is not suitable for online estimation [8,9]. To estimate SoC, computational algorithms such as neural networks and fuzzy logic have also developed. These methods which do not require battery model and detailed knowledge of battery systems define the battery as a black-box system and can achieve accurate SoC results. These methods are required a large amount and quality of the training data set, but collecting this data set is time consuming and nearly impossible [10,11].

Recently, researchers have been focused on model-based and close-loop estimation methods, among which the famous three methods are Kalman filter, extended Kalman filter and unscented Kalman filter [12,13]. Kalman filter which can solve initial SoC and cumulative error problems is widely used as accurate SoC estimator, but this method is only suitable for linear systems [14]. The Extended Kalman Filter (EKF) method which is used in non-linear systems linearizes the battery model using partial derivatives (Jacobian matrix) and first order Taylor series expansion. EKF provides accurate prediction of SoC of the battery, but linearization causes more computational running time and more estimation errors [15-20]. UKF uses an unscented transformation with a set of sample points called as sigma points to estimate SoC without any linearization. UKF has a higher accuracy in estimating posterior mean and covariance of the state distribution than EKF owing to this transformation [21-26].

In this study, lithium-ion battery is modelled using second order Thevenin equivalent circuit model and the experimental test bench is setup to SoC estimation. UKF and EKF are applied to estimate SoC of lithium-ion battery used in EVs. Error signals, mean square errors (MSE) and computational times were calculated to compare the performances of both algorithms. Experimental results show that both UKF and EKF perform SoC estimation with high accuracy, but UKF is better than EKF with SoC accuracy and computational time.

II. MODELING OF LITHIUM-ION BATTERY

In order to employ unscented Kalman filter and extended Kalman filter for state of charge estimation, an accurate model of the li-ion battery is required. Thevenin model (RC model), Randles model, NREL (National Renewable Energy Laboratory) model, PNGV (Partnership for a New Generation of Vehicles) model are widely used in equivalent circuit modeling equivalent circuit modeling techniques. Thevenin model has less computational complexity and more model accuracy than the other equivalent circuit models.

A. Thevenin Equivalent Circuit Model of Lithium-ion Battery

Second order Thevenin model is chosen shown in Fig. 1 as the cell model of the li-ion battery.

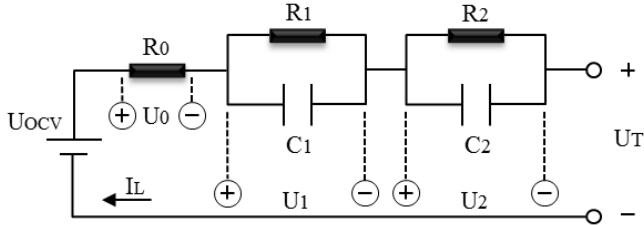


Fig. 1. Equivalent circuit model.

This model is a dynamic model of the battery that consists of a ohmic resistance R_0 , polarization resistances R_1 and R_2 , polarization capacitances C_1 and C_2 , polarization voltages U_1 and U_2 , open circuit voltage U_{OCV} , load current I_L .

The electrical behavior of the second order Thevenin model can be expressed as following equations:

$$\dot{U}_1 = -\frac{1}{C_1 R_1} U_1 + \frac{1}{C_1} I_L \quad (1)$$

$$\dot{U}_2 = -\frac{1}{C_2 R_2} U_2 + \frac{1}{C_2} I_L \quad (2)$$

$$U_T = U_{OCV} - U_1 - U_2 - I_L R_0 \quad (3)$$

B. State of Charge Description

SoC is defined as a ratio of the remaining capacity to the maximum available capacity of a battery; it is given by

$$SoC_t = SoC_0 - \frac{1}{C_b} \int_0^t \eta I_{L,\tau} d\tau \quad (4)$$

where SoC_t is the present state of charge, SoC_0 is the initial state of charge, C_b is the maximum available capacity, η is the charge-discharge efficiency, $I_{L,t}$ is the load current.

The discretization of (4) is,

$$SoC_k = SoC_{k-1} - \frac{\eta I_{L,k} \Delta_t}{C_b} \quad (5)$$

where SoC_k is the state of charge k th sampling time, SoC_{k-1} is the state of charge $(k-1)$ th sampling time, Δ_t is the sampling period.

C. State-Space Model of Lithium-ion Battery

The continuous state-space equation of a linear system can be expressed as,

$$\dot{x} = Ax + Bu \quad (6)$$

$$y = Cx + Du \quad (7)$$

where x is the state variables, u is the input vector, y is the output vector, A is the system matrix, B is the control matrix, C is the output matrix and D is the transmission matrix. For further analysis, state of charge and polarization voltages are chosen as the state variables in (6) and (7).

$$x = [SoC \quad U_1 \quad U_2]^T \quad (8)$$

In order to apply EKF method for SoC estimation, the state-space equation can be defined as,

$$\dot{x} = \begin{bmatrix} 1 & 0 & 0 \\ 0 & -1/C_1 R_1 & 0 \\ 0 & 0 & -1/C_2 R_2 \end{bmatrix} x + \begin{bmatrix} -\eta/C_b \\ 1/C_1 \\ 1/C_2 \end{bmatrix} I_L \quad (9)$$

$$y = U_T = [f(U_{OCV}, SoC) \quad -1 \quad -1] x + [-R_0] I_L \quad (10)$$

III. STATE OF CHARGE ESTIMATION METHODS

In this section state of charge estimation techniques will be given.

A. Extended Kalman Filter

Extended Kalman filter is the nonlinear version of the Kalman filter which linearizes with first order Taylor series expansion. To estimate SoC based on EKF, the second order Thevenin model should be transformed to discrete-time state-

space model. Discrete-time state-space model of nonlinear system can be described as:

$$x_{k+1} = f(x_k, u_k) + w_k \quad (11)$$

$$y_k = h(x_k, u_k) + v_k \quad (12)$$

$$w_k \cong N(0, Q(t)) \quad (13)$$

$$v_k \cong N(0, R(t)) \quad (14)$$

x_k : System state vector

y_k : System output vector

u_k : System input vector

v_k : Measurement noise vector

w_k : Process noise vector

$Q(t)$ and $R(t)$: Weight matrices

$f(\cdot)$ and $h(\cdot)$: Nonlinear process and measurement function, respectively

The functions $f(\cdot)$ and $h(\cdot)$ are linearized using the Jacobian matrix and first-order Taylor-series expansion. The state-space model can be rewritten as:

$$x_{k+1} = A_k x_k + B_k u_k + w_k \quad (15)$$

$$y_k = C_k x_k + D_k u_k + v_k \quad (16)$$

Where,

$$A_k = \left. \frac{d[f(x_k, u_k)]}{d[x_k]} \right|_{x_k, u_k} \quad (17)$$

$$B_k = \left. \frac{d[f(x_k, u_k)]}{d[u_k]} \right|_{x_k, u_k} \quad (18)$$

$$C_k = \left. \frac{d[g(x_k, u_k)]}{d[x_k]} \right|_{x_k, u_k} \quad (19)$$

$$D_k = \left. \frac{d[g(x_k, u_k)]}{d[u_k]} \right|_{x_k, u_k} \quad (20)$$

The EKF consist of three major parts of initialization, prediction and correction as follows,

- Initialization (for $k = 0$)

At the beginning of EKF, initial value of state (x_0) and covariance (p_0) should be selected.

$$\hat{x}_0 = E[x_0] = x_0 \quad (21)$$

$$p_0 = E[(x_0 - \hat{x}_0)(x_0 - \hat{x}_0)^T] = p_{x0} \quad (22)$$

- Prediction (for $k = 1, 2, \dots, \infty$)

In this stage, priori state estimate \hat{x}_{k+1}^- and priori error covariance matrix P_k^- are calculated by using the following equations:

$$\hat{x}_{k+1}^- = A_k \hat{x}_k^+ + B_k u_k \quad (23)$$

$$P_k^- = A_k P_k^+ A_k^T + Q_k \quad (24)$$

- Correction (for $k = 1, 2, \dots, \infty$)

In this stage, first Kalman gain K_k and measurement of system output vector \hat{y}_k are calculated by using (25) and (26). Then state estimation and covariance matrix estimation are updated.

$$K_k = P_k^- C_k^T / (C_k P_k^- C_k^T + R_k) \quad (25)$$

$$\hat{y}_k = C_k x_k^- + D_k u_k \quad (26)$$

$$\hat{x}_k^+ = \hat{x}_k^- + K_k (y_k - \hat{y}_k) \quad (27)$$

$$P_k = (I - K_k C_k) P_k^- \quad (28)$$

B. Unscented Kalman Filter

Unscented Kalman filter is a widely used state estimator for nonlinear systems using unscented transformation principle. In unscented transformation principle, a set of sigma points are selected and transform each sigma point through the non-linear function $f(\cdot)$. Then the statistics of the transformed points are calculated to form the mean and covariance estimate. The UKF consists of four major parts of initialization, sigma point calculation, state prediction and measurement update as follows,

- Initialization (for $k = 0$)

$$\hat{x}_0^a = E[x_0^a] \quad (29)$$

$$P_0^a = E[(x_0^a - \hat{x}_0^a)(x_0^a - \hat{x}_0^a)^T] \quad (30)$$

- Sigma point calculation (for $k = 1, 2, \dots, \infty$)

$$X_{i,k-1}^a = \begin{cases} \hat{x}_{k-1}^a & i = 0, \\ \hat{x}_{k-1}^a + \sqrt{(N + \lambda)P_{k-1}^a} & i = 1, \dots, N, \\ \hat{x}_{k-1}^a - \sqrt{(N + \lambda)P_{k-1}^a} & i = N + 1, \dots, 2N, \end{cases} \quad (31)$$

where λ is a scale

$$\lambda = a^2(N + \kappa) - N \quad (32)$$

where a is a scale parameter in the range $0 \leq a \leq 1$ and κ is the other tuning parameter. In order to guarantee that the covariance matrix is a positive semidefinite, the condition $\kappa \geq 0$ must be satisfied.

- State prediction (for $k = 1, 2, \dots, \infty$)

Each sigma point through the non-linear function $f(\cdot)$,

$$X_{i,k-1}^x = f(X_{i,k-1}^x, X_{i,k-1}^v, u_{k-1}), \quad i = 0, \dots, 2N \quad (33)$$

Then priori state estimate and priori error covariance matrix are calculated as:

$$\hat{x}_{k|k-1} = \sum_{i=0}^{2N} (w_m^{(i)} X_{i,k|k-1}^x) \quad (34)$$

$$P_{k|k-1} = \sum_{i=0}^{2N} w_c^{(i)} (X_{i,k|k-1}^x - \hat{x}_{k-1}) (X_{i,k|k-1}^x - \hat{x}_{k-1})^T \quad (35)$$

where $w_m^{(i)}$ and $w_c^{(i)}$ are weights defined as:

$$w_m^{(i)} = \frac{\lambda}{N + \lambda}, \quad i = 0 \quad (36)$$

$$w_c^{(i)} = \frac{\lambda}{N + \lambda} + (1 - a^2 + \beta), \quad i = 0 \quad (37)$$

$$w_m^{(i)} = w_c^{(i)} = \frac{1}{2(N + \lambda)} \quad i = 1, \dots, 2N \quad (38)$$

Each sigma point through the non-linear function $h(\cdot)$,

$$Y_{i,k-1} = h(X_{i,k-1}^x, X_{i,k-1}^v, u_k), \quad i = 0, 1, \dots, 2N \quad (39)$$

Then measurement of system output vector \hat{y}_{k-1} is calculated as:

$$\hat{y}_{k-1} = \sum_{i=0}^{2N} w_m^i Y_{i,k-1} \quad (40)$$

- Measurement update (for $k = 1, 2, \dots, \infty$)

The measurement covariance P_{y_k} and the cross-correlation covariance P_{x_k, y_k} are calculated as,

$$P_{y_k} = \sum_{i=0}^{2N} w_c^{(i)} (Y_{i,k|k-1} - \hat{y}_{k-1}) (Y_{i,k|k-1} - \hat{y}_{k-1})^T \quad (41)$$

$$P_{x_k, y_k} = \sum_{i=0}^{2N} w_c^{(i)} (X_{i,k|k-1}^x - \hat{x}_{k-1}) (Y_{i,k|k-1} - \hat{y}_{k-1})^T \quad (42)$$

Then Kalman gain is calculated based on measurement covariance and cross-correlation covariance

$$K_k = P_{x_k, y_k} P_{y_k}^{-1} \quad (43)$$

Finally, posteriori state estimate and posteriori error covariance matrix are calculated as:

$$\hat{x}_{k|k} = \hat{x}_{k|k-1} + K_k (y_k - \hat{y}_k) \quad (44)$$

$$P_{k|k} = P_{k|k-1} - K_k P_{y_k} K_k^T \quad (45)$$

IV. EXPERIMENTAL VALIDATION

In order to validate the estimation of SoC based on UKF and EKF, the experimental test bench is developed as shown in Fig. 2. The test bench consists of a Panasonic NCR18650B lithium-ion battery whose nominal voltage and nominal capacity are 3.6 V and 3200 mAh respectively, a Gwinstek PEL-2002/2040 programmable dc load, a Gwinstek PSH-3620A programmable dc power supply, a real-time controller DS1104 and a host computer.

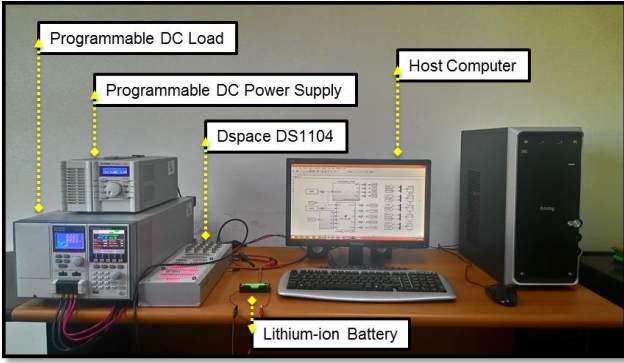


Fig. 2. Experimental setup.

For UKF and EKF, the initial parameters are given in Table I. and discrete state-space equations are specified the same as follows:

$$A_{k+1} = \begin{bmatrix} 1 & 0 & 0 \\ 0 & \exp(-\Delta t/C_1 R_1) & 0 \\ 0 & 0 & \exp(-\Delta t/C_2 R_2) \end{bmatrix} \quad (46)$$

$$B_{k+1} = \begin{bmatrix} -\eta \Delta t / C_b \\ R_1 (1 - \exp(-\Delta t / C_1 R_1)) \\ R_2 (1 - \exp(-\Delta t / C_2 R_2)) \end{bmatrix} \quad (47)$$

$$C_{k+1} = [f(U_{OCV}, SoC_k) \quad -1 \quad -1] \quad (48)$$

$$D_{k+1} = [-R_0] \quad (49)$$

TABLE I. INITIAL PARAMETERS FOR UKF AND EKF

	UKF	EKF
Initial state	$x_0 = [1 \ 0 \ 0]$	$x_0 = [1 \ 0 \ 0]$
Initial covariance	$p_0 = \text{diag}([1 \ 1 \ 1])$	$p_0 = \text{diag}([0 \ 0 \ 0])$
Weight matrix	$Q = \begin{bmatrix} 1e-10 & 0 & 0 \\ 0 & 1e-10 & 0 \\ 0 & 0 & 1e-10 \end{bmatrix}$	$Q = \begin{bmatrix} 1e-8 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{bmatrix}$
Weight matrix	$R = 1e10$	$R = 1$

Q and R weight matrices are randomly determined after several attempts. UKF and EKF are developed on the proposed battery model. To estimate SoC of the lithium-ion battery, UKF and EKF are implemented with determined initial conditions. The experimental results of both algorithms are compared according to the SoC estimation results, error signals, mean square error and computational time criteria. SoC estimation results are given in Fig.3 (extended figure is given in Fig.4), error signals are given in Fig.5 and estimation performance with mean square error and computational time are given in Table II.

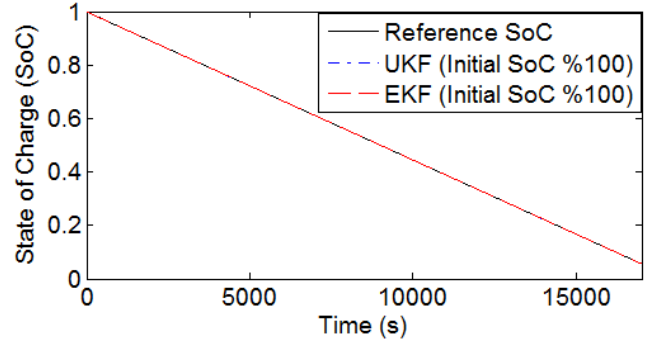


Fig. 3. Comparison of SoC estimation results of UKF and EKF.

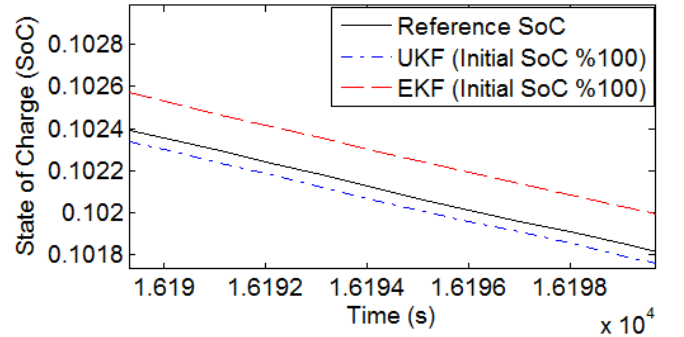


Fig. 4. Comparison of SoC estimation results of UKF and EKF (extended).

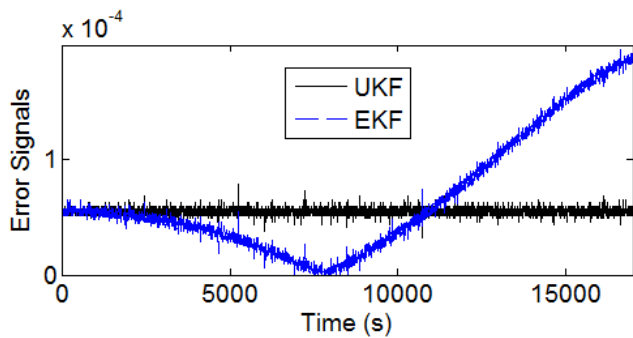


Fig. 5. Error signals.

TABLE II. ESTIMATION PERFORMANCE

Estimation Algorithm	Mean Square Error (10^{-9})	Computational Time (10^{-4} sec.)
Unscented Kalman Filter	3.0788	5.6932
Extended Kalman Filter	7.2494	150

V. CONCLUSION

In this paper, EKF and UKF methods have been carried out to estimate the state of charge of the lithium ion battery. Then, the performances have been compared experimentally in terms of mean square error and computational time. Experimental results show that UKF and EKF both are applicable. However, UKF estimated SoC almost two times accurate than EKF and also had almost thirty times less computational volume.

Possible future work is taking the ambient temperature effect in the account. Other possible future work includes developing battery management system to achieve the balancing the cells of the battery package by using the estimated SoC values based on EKF and UKF.

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