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Fault detection and identification methodology under an incremental learning framework applied to industrial machinery

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Abstract— An industrial machinery condition monitoring methodology based on ensemble novelty detection and evolving classification is proposed in this study. The methodology contributes to solve current challenges dealing with classical electromechanical system monitoring approaches applied in industrial frameworks, that is, the presence of unknown events, the limitation to the nominal healthy condition as starting knowledge and, the incorporation of new patterns to the available knowledge. The proposed methodology is divided in four main stages. First, a dedicated feature calculation and reduction over available physical magnitudes to increase novelty detection and fault classification capabilities. Second, a novelty detection based on ensemble of one-class support vector machines to identify not previously considered events. Third, a diagnosis by means of *eClass* evolving classifiers for patterns recognition. And fourth, re-training to include new patterns to the novelty detection and fault classification models. The effectiveness of the proposed fault detection and identification methodology has been compared with classical approaches, and verified by experimental results obtained from an automotive end-of-line test machine.

Index Terms — Condition Monitoring; Fault Diagnosis; Industry applications; Machine Learning.

I. INTRODUCTION

Currently, one of the most important challenges towards the implementation of reliable Condition-Based Monitoring (CBM) schemes in the industrial sector, refers to the management of unexpected events [1]. That is, classical CBM is supported by a set of malfunction conditions that, a priori characterized, can be recognized later during the diagnosis process. However, the presence of faults not previously considered, or even deviations of performance over the nominal behaviour, represent common conditions that lead to diagnosis errors. Indeed, classical CBM schemes are being redefined by the separation of the fault detection and identification (FDI) tasks in two different stages. Novelty detection is the first stage, and becomes critical since the objective is to detect whether the measurement under analysis corresponds to a *known* or *unknown* condition. In this stage, no specific information about the fault is provided. Thus, the diagnosis of the fault is the objective of the second stage, and it presents its own challenges and obstacles to identify the fault, that can be handled independently from the previous one. However, most of the related works available up to now correspond to static approaches, where the healthy and a set of fault conditions are previously characterized following a classical diagnosis approach, and uncorrelated events are detected and just set apart [2].

Indeed, in most of industrial applications, just the healthy operating condition is available, which leads to two main challenges: (i) the incursion of new information to the novelty detection and fault diagnosis models and how it affects their

performance and, (ii) how to characterize electromechanical system conditions if there is no available information of possible faults scenarios.

Traditional data-driven CBM methodologies face the knowledge increase by means of a batch scheme, where a complete retrain of the whole diagnostic model structure is carried out with the data combining the initial and new knowledge. However, storing all the historical measurements is not a desired solution and, moreover, the complexity of the retraining process is increased as the data is accumulated, which represents an unsustainable approach. As alternative, two main adaptive strategies for novelty detection are being currently investigated: ensemble-based and incremental approaches [3], [4]. The objective of both strategies is to provide more flexibility to work in on-line mode. The advantages of these strategies focus in lessen the computation efforts of the models, decrease the number of configuration parameters, and provide the capability to update the models without necessity of the base knowledge used for the initial training. Dealing with the particular case of fault diagnosis, a third adaptive strategy is being also investigated: the evolving approach. Indeed, considering the need of data labelling for diagnosis purposes, such evolving strategy represents a good trade-off between supervised model growing and computational complexity. Such three adaptive approaches for novelty detection and fault diagnosis, however, present, currently, an important restriction related with the characterization of electromechanical system behaviour under no initial information of the possible faults conditions. In this regard, the processing of the available signals, and the estimation of relevant features to characterize the machine condition can only be performed in regard with the healthy conditions.

To cope with the aforementioned limitations an adaptive CBM methodology for electromechanical systems is proposed in this study. First, a set of statistical time-based features are estimated in order to characterize the available physical magnitudes. Next, an ensemble based novelty detection model is proposed to describe the available knowledge and identify eventual novelty conditions. Finally, an adaptive diagnosis structure is implemented by the evolving classifiers *eClass0* and *eClass1*. The proposed methodology is compared with classical approaches and an exhaustive combination of tests are performed to analyse the capabilities to include new fault scenarios and the relevance of the initially selected features to the incremental learning problem.

In this regard, four main contributions are proposed in this work. First, a new methodology for incremental learning with suitable novelty detection and diagnosis approaches with the capability to start from data corresponding only to the nominal healthy condition. Second, the verification of evolving and ensemble based approaches as reliable and performing

strategies for electromechanical systems in front of classical schemes. Third, the identification of the performances and limitations of the features analyzed and the aforementioned models in respect of the incursion of new fault scenarios. And, fourth, the validation of the proposed methodology in front of multiple conditions, including *known* and *unknown* events, measured from an industrial electromechanical system provided by an automotive sector company. Note that it is the first time that this proposed methodology under an incremental learning framework, is applied to industrial electromechanical systems, and it represents a significant step towards the investigation of the adaptive condition based monitoring in such application field [5], [6].

This paper is organized as follows: Section II presents the state of the art of adaptive modeling for novelty detection and fault identification; Section III describes the proposed adaptive CBM method; Section IV includes the experimental system description used for validation; Section V presents the experimental results; finally, Section VI includes conclusion remarks.

II. BACKGROUND ON FAULT DETECTION AND IDENTIFICATION

In the related scientific literature it is possible to identify several proposed strategies or models to include new information for novelty detection and fault diagnosis, nevertheless, most of them perform well under specific circumstances which does not allow the direct implementation to other applications. In this regard, a coherent review of these strategies or models is necessary to understand the selection of the most appropriate options to cope with the challenges related with fault detection and identification system implementation over industrial electromechanical systems.

Two main strategies are considered by the scientific community regarding the implementation of an incremental learning novelty detection stage: incremental models and ensemble of one-class classifiers. Incremental novelty detection models are commonly used in data streaming applications to cope with classical problems as the so called concept-drift, by including forgetting and adaptive capabilities [7]. For instance, Krawczyk *et al.* in [8], proposed an incremental One-Class Support Vector Machine (OC-SVM) based on a weighting matrix to adapt the knowledge' boundaries to variations in the incoming data. Similarly, Al-Behadili *et al.* in [9], proposed an incremental parzen window kernel density estimator to address also the data drift problem. Indeed, most of incremental approaches are developed to adapt models to current conditions of the monitored system, which means that past knowledge is considered obsolete [8]. Thus, incremental models are mainly applied within big data analytics, where a great deal of continuous data is available. The performance of such approach over electromechanical systems may be limited, considering the low inertia of multiple wear based faults and the necessity of multi-fault patterns recognition. Some disadvantages are present as well, for instance, the necessity of an offline training stage for each new model. This fact requires that a representative set of data must be identified and temporally stored to train the corresponding new model. The ensemble of one-class classifiers is the other main alternative based on training one novelty detection model for each available new data set, combining the outputs to determine if the measurement under analysis corresponds to a *known* condition or differs in some

aspect from the available knowledge. For instance, the work presented by Lazzaretti *et al.* in [2], proposes a fault detection and identification system based on an ensemble of one-class classifiers applied to voltage waveforms in electrical distribution networks. Like most of the works, the incursion of new information is not faced; nevertheless, the method allows the addition of new Support Vector Data Description (SVDD) models if data regarding a new type of fault is available. In general terms, the use of an ensemble of one-class classifiers provides more design flexibility in comparison of the incremental based models. That is, dealing with an ensemble-based approach, a new model can be created when a new data set is detected; therefore, there is no loss of previous knowledge because it is retained within the set of models. Moreover, any novelty detection technique can be used to be part of an ensemble-based scheme. In this sense, dealing with electromechanical condition monitoring, where relative small sets of training data are usually available, a suitable option are the domain-based approaches: OC-SVM or SVDD. Initial research has been presented in this regard, and the work presented by L. Duan *et al.* in [10], where a SVDD based method is considered to deal with an unbalanced and small sampled dataset for rotor severity classification.

Regarding fault diagnosis, the same both discussed strategies for novelty detection apply. There is some works considering incremental learning and ensemble-based classifiers, and all the characteristics discussed in the novelty detection side also apply [11], [12]. Incremental and ensemble approaches have their variants for multi-class classification problem, mainly, the incremental SVM [13], and the ensemble of SVM classifiers [14], respectively. Other proposed models for incremental or ensemble fault diagnosis include an incremental version of probabilistic neural network [15], a combination of discriminant analysis and principal component analysis (PCA) [16], decision trees based techniques [17], AdaBoost [18], among others. The differences and characteristics of such incremental or ensemble models are focused on the classification accuracy improvement by modifying the training procedure, basically, adding robustness to outliers and improving the rules regarding the number of classifiers used in the ensemble-based scheme. However, dealing with fault diagnosis purposes a third strategy based on evolving strategy is being considered recently as a superior adaptive approach in multiple studies [4]. For instance, in [6], an evolving approach is used for fault detection and identification; a recursive density estimation calculation is used as novelty detection to detect outliers, meanwhile for fault identification an unsupervised evolving classifier AutoClass is considered. Indeed, the fault diagnosis stage requires the consideration of a more complex data boundary structure. Unlike novelty detection problem, where a binary scenario is considered, the fault diagnosis applied to electromechanical system requires the consideration of a multi-fault scenario. In this sense, the conclusions of different studies suggest that the computational complexity of an ensemble-based approach for diagnosis can lead to unfordable structures after different adaptations to new data sets. Evolving strategies, however, allow the possibility of modify the structure of a unique model in function of the different boundaries to be considered. Indeed, such evolving strategy avoids the risk of a complex ensemble-based fault diagnosis

structure, in which the relations among the multiple models must be defined manually depending on their labels. A family of fuzzy-rule based evolving classifiers have been used in recent works, as for example in [19], based on simpleClass, in [6], based on AutoClass, or in [20], based on eClass algorithms,. All of them provide an evolving and online solution for fault diagnosis under low-computational cost requirements.

Indeed, the eClass0 and eClass1 represent two performing evolving classifiers Fuzzy-Rule-Based (FRB), and work under an on-line unsupervised framework. In such approaches, a set of prototypes (focal points), are selected from the stream of data following a Gaussian membership function to generate the corresponding fuzzy rules. A set of measurements, like the potential and age of the prototypes, are determined to change the fuzzy rules in front of new measurements availability for re-training. Their architecture is different regarding the actions performed when a new measurement is evaluated after the activation of the rules; while eClass0 follows the typical construct of an FRB classifier with class labels as direct output, the eClass1 regresses over the feature vector using first-order multiple-input-multiple-output evolving Takagi-Sugeno models and the normalized outputs per rule can be interpreted as the possibility of the data sample belonging to a certain class. It is important to stress that both methods are capable of including new classes as new information is presented and automatically tune the dynamically adapting parameters to define the classification boundaries for each class. A detailed discussion about advantages and disadvantages of these methods can be found in [4], [20].

In this regard, as conclusion, dealing with an incremental learning framework for CBM methodologies applied to an industrial electromechanical system, the ensemble-based approach for novelty detection and the evolving approach for fault diagnosis represent currently the most suitable solutions. Indeed, considering real applications of electromechanical systems, generally, a small number of measurements per class is available. Also, due to the nature of the application domain, if an anomaly is detected, the user inspection is required to label the data; therefore, unsupervised and autonomous approaches are not convenient.

III. EXPERIMENTAL SETUP

Some adaptive approaches have been successfully applied in industrial plant processes monitoring, network intrusion, aerospace vehicles, and others. Nevertheless, to the extent of the authors' knowledge, adaptive methodology considering both, novelty detection and fault diagnosis, has not been applied yet to industrial machinery, which requires specific consideration to allow its applicability. In this regard, in this study the experimental platform used to validate the proposed method consist on an End-of-Line (EOL) test machine that performs a friction test over a steering system. It is important to mention that the condition of the steering system is determined separately, and the aim of this work is focused on assessing the condition of the EOL test machine. The EOL test machine is composed by a 1.48kW synchronous servomotor integrated with 4 pair of poles, 3000 rpm of rated speed and a rated torque of 4.7 Nm is connected to a 60:1 reduction gearbox. The experimental setup is shown in Fig. 1, in addition to the servomotor, the EOL test machine is also

composed by a gearbox, an encoder, a torque transducer and a pneumatic clamp to hold the intermediate shaft of the steering system.

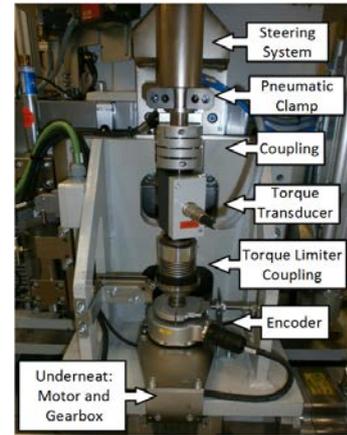


Fig. 1. EOL test machine that performs the friction test for steering systems.

The 9000 points encoder is placed after the gearbox, which is coupled by a torque limiter coupling to a 10Nm torque transducer. The steering system under test is coupled to the other end of the torque transducer. A scheme of the EOL test machine is shown in Fig. 2. The acquisition system registers the torque signal of the transducer and the position from the shaft by the encoder. The friction test is sampled at a 1kHz frequency by a NI cDAQ-9188 composed by the modules NI 9411 and NI 9215.

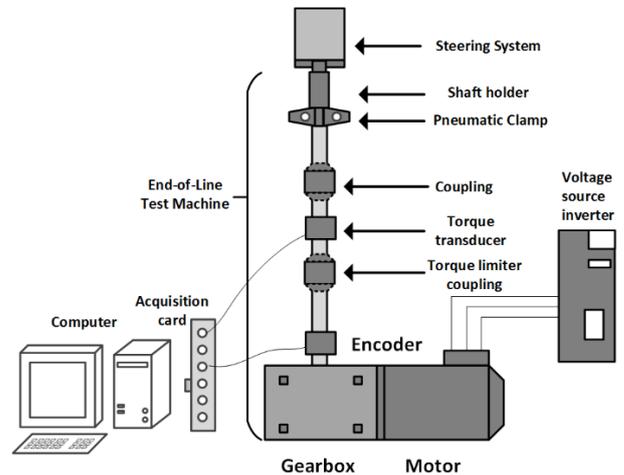


Fig. 2. Schematic of the EOL test machine under monitoring and the acquisition system.

A. Description of the friction test

The friction test quantifies the torque needed to rotate the steering system. The steering system column follows a predefined speed profile that consists of a complete clockwise turn (CW) and a complete counter clockwise turn (CCW) which is shown in Fig. 3.

Until a speed set point is reached, the test begins smoothly in a clockwise direction for the first 45°. During the next 455°, the speed is fixed at a set point, in this case 15 rpm. After that, the same procedure is employed to return to the original start point in the opposite direction. The speed profile is shown in Fig. 3. This speed profile provokes a torque in the shaft that it is measured by the torque transducer. An example of the

torque measurement of a complete test under machine healthy conditions and the analyzed segment of three different conditions are shown in Fig. 4.

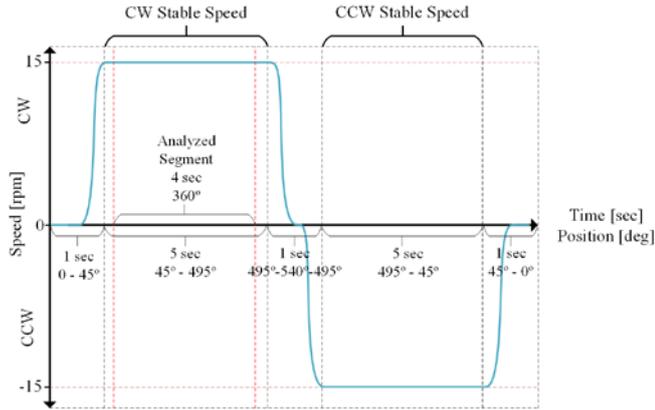


Fig. 3. Speed profile applied by the EOL test machine.

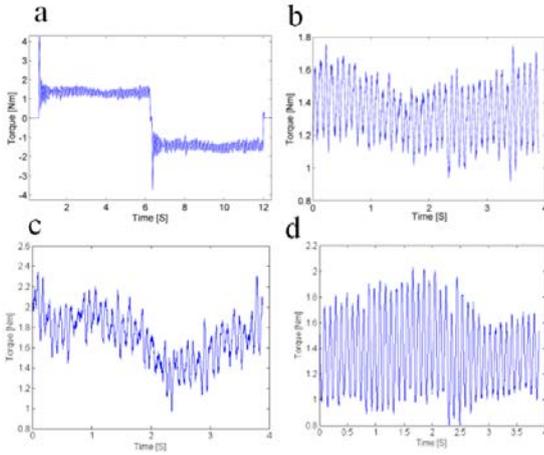


Fig. 4. Torque signal measured during the EOL test a) Complete torque measurement under machine healthy conditions b) Analyzed segment of a healthy machine measurement c) Analyzed segment of a machine misalignment fault d) Analyzed segment of a machine coupling wear fault

As can be seen in, a fault in the EOL test machine alters the torque signal form and, therefore, the statistical properties of the signal tend to vary (crest and shape factor, RMS value, etc.). On this work, the signal processing stage in the proposed methodology has the objective to highlight these changes without altering the part test itself; therefore, the methodology can be applied online.

A segment of 4 seconds is extracted of each torque signal measurement corresponding to the CW stable speed period. That is, the torque signal corresponding to the stationary speed set point during 360° rotation.

B. Machine faults under consideration

Some alterations have been induced in the machine to provoke two common fault conditions typically encountered on these EOL test machines; also, three severity levels are also considered for each fault. Therefore, two fault conditions with three severity degrees are present: three degrees of misalignment, MIS_5 , MIS_6 and MIS_7 , and three degrees of coupling wear, CW_1 , CW_2 , and CW_3 . The misalignment fault of the shaft has been provoked by a displacement of the base of the fixture holding the steering system. This induces a misalignment of the steering system respect to the shaft

holder. Three degrees of severities are considered regarding the distance of horizontal displacement: 5mm (MIS_5), 6mm (MIS_6) and 7mm (MIS_7). The coupling wear fault is emulated by employing three different intermediate elastomers in the torque limiter coupling, each one with different dynamic torsional stiffness (DTS). The values of the DTS of the used elastomers are all lower than the standard used in the healthy condition in order to emulate a degradation of the material. The DTS values of the three elastomers corresponds to a low degradation degree, 2580Nm/rad (CW_1), intermediate degradation degree, 2540 Nm/rad (CW_2), and high degradation degree, 876 Nm/rad (CW_3). Additionally, a sliding malfunction is caused by varying the tightening torque of the screws of the coupling between the torque transducer and the pneumatic clamp. The screws are loosened 0.5 Nm from the nominal tightening measured by a torque wrench. The measurements corresponding to this fault are going to be considered as an emerging novelty condition (Nc).

IV. METHODOLOGY

The majority of condition-based monitoring schemes operate on the premise that *a priori* information of healthy and faulty scenarios of the monitored machine is available. However, in real-world industrial applications, information regarding faulty conditions is not always accessible; therefore, additional problems arise and classical approaches need to be adapted. The main considerations to overcome are:

- The capability to work under the premise that only information of the healthy condition is initially available.
- The adaptation of the novelty detection and fault identification models to incorporate new scenarios detected without the need of a database that stores measurements of the previous scenarios already incorporated.

Such requirements are addressed on this work by means of the proposed condition-monitoring methodology depicted in Fig. 5. The general structure of the methodology is intended to serve as a guide to extend such condition monitoring scheme to other electrical machine based systems presenting the same aforementioned circumstances; yet, the modules to process the data and the feature calculation have been proposed to obtain relevant information dealing an automotive EOL test machine.

The proposed method is composed by two stages: a continuous monitoring stage to assess the condition of the machine and a re-training stage to include new information to the novelty detection and fault detection models. During the continuous monitoring stage, a torque signal analysis is performed, then the novelty detection and fault identification stages assess if the measurement analyzed of the machine correspond to a: healthy condition, faulty condition or novel condition. If a novel condition is detected a user analyze the machine to find the cause of the anomaly. If the user confirms that the novel condition corresponds to a new fault, the re-training stage is triggered to incorporate the new fault to the novelty detection model and the fault identification model.

A. Signal processing - Continuous Monitoring Stage

First, a torque signal analysis is carried out during the stationary speed set point. As previously proposed in [21], it is expected that malfunctions and anomalies could be reflected in

the torque signal during segments of the revolution of the steering system, thus, the segmentation will provide resolution

during the characterization. Thus, the four seconds torque signal is segmented in four parts of 1 second.

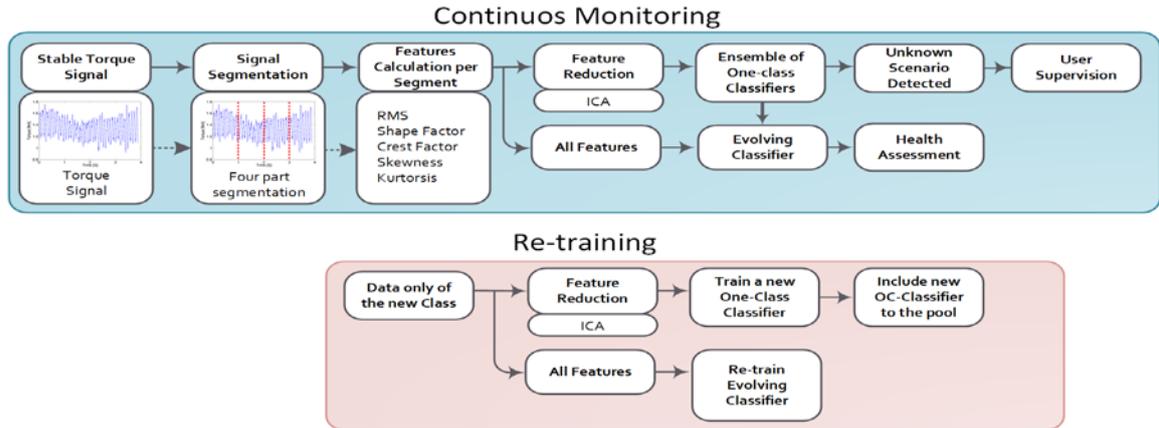


Fig. 5. Proposed methodology for the EOL test machine. The monitoring method is composed by a signal processing stage where statistical features are calculated and analyzed by a novelty detection and a multi-fault classification models to assess the condition of the machine.

The number of segments chosen represents a tradeoff between resolution and total number of features. A larger number of segmentations increase the resolution but also increase the number of features, and could lead to overfitted models, meanwhile choosing a lower number of segments could not provide enough resolution.

A set of five statistical time-domain features are calculated from each segment of the torque signal. The proposed features are listed in Table I. These features have been successfully employed in different studies for electromechanical systems fault detection [22]. Therefore, a total of 20 features are calculated from each torque signal measurement.

TABLE I.
STATISTICAL TIME FEATURES

Root Mean Square (RMS)	$RMS = \sqrt{\frac{1}{n} \cdot \sum_{k=1}^n (x_k)^2}$	(10)
Shape Factor	$SF = \frac{RMS}{\frac{1}{n} \cdot \sum_{k=1}^n x_k }$	(11)
Crest Factor (CF)	$CF = \frac{\max(x)}{RMS}$	(12)
Skewness	$S_k = \frac{\sum_{k=1}^n (x_k - \bar{x})^3}{n\sigma^3}$	(13)
Kurtosis	$k = \frac{\sum_{k=1}^n (x_k - \bar{x})^4}{n\sigma^4}$	(14)

B. Dimensionality reduction - Continuous Monitoring Stage

In order to exploit the potentiality of a separate novelty detection and fault identification stages, two different dimensionality reduction approaches are applied over the features sets.

For the novelty detection module, an Independent Component Analysis (ICA) is used to extract a reduced set of features. A typical approach for this task is the use of PCA which maximizes the variance in a Gaussian distributed dataset. Indeed, from the novelty detection point of view, the data variance represents one of the most convenient characteristics to be considered, nevertheless, the analyzed torque signal, shown in Fig. 4, does not follow a Gaussian distribution, therefore, a typical modification of the PCA regarding non-Gaussian distribution is proposed for this

application. Components in ICA are claimed to be independent under non-Gaussian distribution leading to a better representation of the analyzed dataset [23]. The dimensionality reduction for the fault identification task is classically approached by supervised methods that maximize the distances among available labeled classes. Nevertheless, one of the challenges considered in this work is the initial availability of only one class, the healthy condition, therefore such supervised approaches are not viable. Thus, in order to deal with such scenario, all the twenty estimated features are considered.

C. Condition assessment - Continuous Monitoring Stage

After the feature reduction, the novelty detection and fault identification models are initially trained using healthy measurements of the friction tests. As the monitoring of the machine progresses and new faults are identified, the models are eventually re-trained with new classes of detected faults.

The corresponding reduced set of features is first examined by the novelty detection model. Then, the measurement can be catalogued as *novel* or *known*. If the measurement is catalogued as novel, the machine is considered to be working under unknown conditions, therefore an alarm is activated to the user for supervision. This can be triggered by different scenarios, including outliers, the presence of a new fault or by a new operation condition of the machine. If the user determinates that the unknown condition correspond to a new fault in the machine or a new operation point the re-training stage is activated, otherwise, the alarm is considered to be a false alarm and the measurements are discarded.

If the measurement is catalogued as *known*, it means that the machine is working under a previously known scenario, which can be healthy or faulty. To discern between the known scenarios, the measurement is analyzed by an evolving classifier. The output of the model is a label that identifies the analyzed measurement as one of the considered classes.

In this application, instead of analyzing each EOL test individually, a batch-type analysis is performed, where 20 measurements (which corresponds to 20 EOL tests) are stored and then evaluated simultaneously by the methodology. The number of analyzed measurements corresponds, in this case, to the number of EOL tests performed for each shaft of the

steering system. The number of tests is empirically selected to provide a robust decision of the friction test; if only one test is performed then the rate of false alarms could be increased drastically due to outliers. The condition of the machine is determined according to the majority of the labels.

D. Model selection - Continuous Monitoring Stage

An ensemble of one-class classifiers is used to perform the novelty detection task. An increasing amount of studies point out that domain based novelty detection models present promising results. Thus in this work the OC-SVM with Gaussian kernel is used as a one-class classifier for the ensemble method. The preparation of each OC-SVM includes the selection of the parameters for configuration and the training of the model.

The ensemble method consists on training one novelty model for each class known and combine their outputs to detect if an analyzed measurement are *known* or *novel*. Each OC-SVM is trained with information of one known scenario (can be healthy and faulty sets). This means that the model defines a novelty threshold that encloses all the *known* scenarios, if a new measurement evaluated has a novelty score lower than the threshold defined, then, it is considered *novel*, on the contrary, if the novelty score is above the threshold, it is considered *known*. Each measurement is evaluated by all the OC-SVM trained, and if at least one of the model labels the measurement as *known* then the final label for that measurement is *known*, consequentially if none of the models label a measurement as *known*, then the final label is *novel*.

Regarding the fault identification stage, the evolving classifiers eClass0 and eClass1 are used. These classifiers are able to adapt dynamically to the new data with no need of any specific threshold to be specified. The FRB structure of both classifiers changes according to the data streams. In addition, in the case of eClass1, the parameters of the regression models are also constantly updated. The prototypes (existing data samples) to create the fuzzy rules are selected via the calculation of the potential, which is a Cauchy function of the sum of the distances between a certain data sample and all other data samples in the feature space. It is very important to remark that since the formulation of the potential is calculated in a recursive manner, instead of using the complete dataset, the current measurement uses only $(n + 1)$ memorized quantities, where n is the number of features [20]. This aspect is essential in online applications.

To evaluate a new measurement, a firing level (degree of confidence) of the fuzzy rules is calculated and the output of the rules determinate the class of the evaluated measurements. For eClass0 the output label is directly associated to the activated rule, meanwhile, for the eClass1 an *eTS* model regress the feature vector to determinate the confidence value.

E. Re-training Stage

The re-training stage is triggered when a novel scenario is detected and the user determinates that it corresponds to a new fault or a new operating condition of the machine. The models used in the novelty detection stage and the fault identification stage have different re-training procedures to include a new class to their base knowledge.

Regarding the re-training of the novelty detection stage, a new OC-SVM model is trained including only information of

the new class, this allows the monitoring system to include new information without needing access of the measurements initially used for training. Since the proposed approach for novelty detection considers a low number of features, three after the ICA, the model can perform an adequate novelty boundary for the new class with a limited number of samples and avoid the curse of dimensionality. The training of the model consists on selecting the configuration parameters and tuning them according the distribution of the data to select an appropriate novelty threshold.

Regarding the re-training of the evolving classifiers, both eClass0 and eClass1 have the capability of including automatically new measurements to their base knowledge to increase the robustness of classification of the known classes or to include new classes. In case a set of measurements with a new class is used for re-training, for both of the classifiers a new prototype is selected and a new rule is created for the new class; additionally, for eClass1, the parameters of the *eTS* models are updated. This is performed automatically as long as the true label of the measurements of the new class is provided.

V. EXPERIMENTAL RESULTS

In order to validate the proposed methodology, eight classes regarding the condition of the machine are considered:

- Healthy condition: *Hc*.
- Six faulty conditions: *MIS*₅, *MIS*₆, *MIS*₇, *CW*₁, *CW*₂, *CW*₃.
- Novelty condition: *Nc*.

For each one of the 4 models, 20 friction tests are performed, that leads to a total of 80 measurements for each class. Then, the complete dataset consists of a total of 640 measurements.

A. Performance analysis

Seven different scenarios for test are used to evaluate the capability of the methodology to detect and classify novel scenarios and the response of the models to the incorporation of new classes to the initially available information. The distribution of the classes for each scenario is presented in Table II. The 8 classes are grouped in three sets: *training set*, *known set* and *novelty set*. Each of the scenarios correspond to a progressing stage of the continuous monitoring approach, from an initial knowledge of only the Healthy condition, (*Hc*) to a scenario where information of 7 classes is available. These scenarios are intended to test the capabilities of the proposed methodology in the industrial framework where initially the healthy condition is initially available, and progressively new classes are detected and incorporated, in this case, one class to the training stage in each iteration.

The dimensionality reduction for novelty detection, the ICA, is performed in all seven scenarios using only measurements of the healthy condition (*Hc*). Since some of the contributions in this work are focused on providing an alternative of classical approaches that need storing a historical database of measurements of the monitored machine, a selection of more appropriate features whenever a new class is incorporated is out of scope in this work.

The proposed methodology is based on a sequential monitoring scheme, which implies that each sample is

analyzed by the novelty detection model and then, if is labeled as *known*, analyzed by the fault identification model. If the tests are performed using this sequential monitoring scheme, the results obtained can mislead the analysis of the performance of the models due to an integration of error. For example, if all the measurements are labeled incorrectly by the novelty detection stage, the performance of the fault identification stage is not analyzed. Therefore, to avoid misleading interpretation of results, the tests are performed separately to the models. Thus, to analyze the performance of each stage, two sets of performance metrics are considered: one for the novelty detection stage and the other for the fault identification stage.

Regarding the results obtained from the novelty detection model, the following metrics are calculated:

- **Test Set Performance:** This metric refers to the number of correctly classified measurements of the *novelty set* and the *known set* divided by the total of test examples. This metric is used to obtain a novelty model global performance. Nevertheless, it is important to notice that it does not contemplate the accuracy of discriminating between the different classes composing the *known class* in the fault identification stage.
- **Known Set Performance:** This metric refers to the number of correctly classified measurements of the *known set* divided by the total of measurements belonging to the same set. This metric can be seen as the true negative rate (TNR).
- **Novelty Set Performance:** This metric refers to the number of correctly classified measurements of the *novelty set* divided by the total of measurements belonging to the same set. This metric can be seen as the true positive rate (TPR).

Regarding the results obtained from the fault identification stage, the following metrics are calculated:

- **Training set Performance:** This metric represents the capacity of the fault identification model to classify the samples used in the training. A low training performance indicates that the model is not able to discriminate among classes, which can be caused by an overlapping of the data in the feature space.
- **Test Set Performance:** This metric represents the measurements analyzed of the *known set* by the fault identification model that are correctly classified divided by the total number of measurements of the *known set*. It is important to notice that the *novelty set* is not contemplated in the fault identification stage because it is assumed that these samples were previously discarded by the novelty detection model. Including such class in the

comparison between fault identification models induce an unnecessary constant error in the tests.

B. Model estimation and parameter selection

For the *training set* 70% of the available measurements per class are used, then a five-fold cross-validation is used in order to adjust each of the OC-SVMs parameters of the ensemble method. The kernel used is the *Gaussian* and the value of the width of the kernel is limited among the following set of discrete values: {1, 2, 3, 5, 10, 15}. Regarding the neural network, a configuration of one hidden layer with 10 neurons is used. The neurons are configured with a sigmoid activation function and the training procedure corresponds to a classical back propagation algorithm using all the training samples.

Once the models are trained and adjusted in each scenario, the test is performed using the remaining 30% of the measurements of each class of the *known set* and the *novelty set*. This process was repeated five times with five different training-test set distributions, randomly selected and fixed.

C. Results and discussions

In order to highlight the contribution and motivation of this work, the outline of the results will be presented as follows: first, the seven scenarios are tested by the novelty detection model proposed, then, the seven scenarios are tested again but using the 20 calculated features instead of the proposed ICA, after the novelty detection is tested, the proposed method for fault identification is tested and compared with a classical approach. The performance metrics are analyzed on each case to highlight the advantages and disadvantage of each model and each dimensionality reduction approach.

The number of selected features is reduced from an initial 20-dimensional space to a reduced 3-dimensional space, taking into consideration that the reduced set of features fulfill the respective restrictions from each dimensionality reduction approach.

The ensemble of novelty models is first tested with the seven scenarios proposed, the number of OC-SVM models trained correspond to the number of classes included on the training set of each scenario. It is important to mention that the scenarios tested are performed in consecutive order, therefore, the OC-SVM model trained with the Healthy class, *Hc*, is used on all the scenarios and not modified in a re-training. A re-training is performed when a new class is included, for example, from the scenario T_1 to the scenario T_2 to include a new class in a new OC-SVM, in this case the fault CW1. For a better understanding of the test, the novelty score of the testing set of the scenario T_1 is presented in Fig. 6.

TABLE II.
CONTENTS OF THE TRAINING AND TESTING SETS FOR EACH SCENARIO

Scenario Name	Training Set	Testing Set	
		Known Set	Novelty Set
T_1	<i>Hc</i>	<i>Hc</i>	<i>CW1, CW2, CW3, MIS5, MIS6, MIS7, Nc</i>
T_2	<i>Hc, CW1</i>	<i>Hc, CW1</i>	<i>CW2, CW3, MIS5, MIS6, MIS7, Nc</i>
T_3	<i>Hc, CW1, CW2</i>	<i>Hc, CW1, CW2</i>	<i>CW3, MIS5, MIS6, MIS7, Nc</i>
T_4	<i>Hc, CW1, CW2, CW3</i>	<i>Hc, CW1, CW2, CW3</i>	<i>MIS5, MIS6, MIS7, Nc</i>
T_5	<i>Hc, CW1, CW2, CW3, MIS5</i>	<i>Hc, CW1, CW2, CW3, MIS5</i>	<i>MIS6, MIS7, Nc</i>

T_6	$Hc, CW1, CW2, CW3, MIS5, MIS6$	$Hc, CW1, CW2, CW3, MIS5, MIS6$	$MIS7, Nc$
T_7	$Hc, CW1, CW2, CW3, MIS5, MIS6, MIS7$	$Hc, CW1, CW2, CW3, MIS5, MIS6, MIS7$	Nc

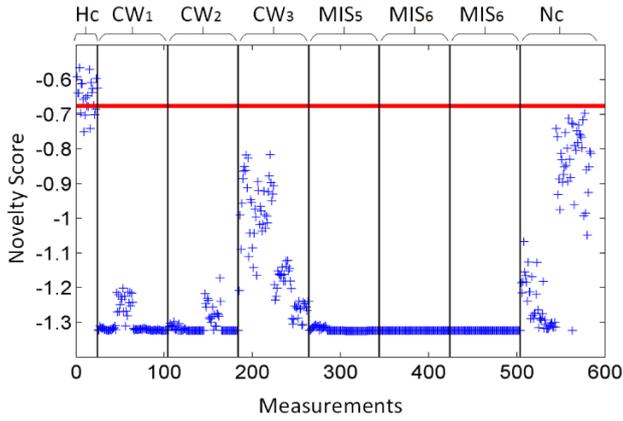


Fig. 6. Resulting Novelty Score of the T1. The red line is the novelty threshold, Th , which is set to -0.67 . The black lines represent the division among the different classes during the test.

The horizontal line represents the novelty threshold, the samples on the upper side of the novelty threshold are labeled as *known* and the samples on the lower side are labeled as *novel*. Varying the novelty threshold, for example lowering the threshold value, can lead to a better detection of the *known* class, Hc , increasing the known set performance, but that variation also leads to labeling samples of the novelty class, Nc , as *known*, which lead to a lower outlier set performance. The vertical lines represent the division of classes among the measurements used of the testing set. In this scenario only one class is included in the training set, therefore only one novelty score per measurement is obtained in the novelty detection stage, which implies that the labeling of measurements depends only of one model. To perform the test of the scenario T_2 , where two classes are included in the training set, a new OC-SVM is trained for the $CW1$ class and two novelty scores are obtained. The novelty scores of both OC-SVM is shown in Fig. 7.

As can be seen, all measurements from the test set are evaluated by the ensemble of models, therefore, all samples are labeled as *novel* or *known* by both OC-SVMs. As mentioned before, if at least one of the models label a measurement as *known*, then the final label of that measurement is *known*, consequentially if none of the models label a measurement as *known*, then the final label is *novel*. Since each of the OC-SVMs is trained to identify similar measurements of different classes, both output labels are equally important, therefore the only case when a sample is considered novel is when it does not belong to any distribution learned by the method. In this case, in a continuous monitoring approach, if a measurement is labeled as *known* the fault identification stage analyze such measurement to identify if the measurement belongs to a healthy case, Hc , or the fault case, $CW1$.

Some authors propose to use the output of the ensemble of the OC-SVMs to perform the fault identification of the measurement; nevertheless, while in this scenario, T_2 , such approach seems like a viable option, problems appear when

classes with similar distributions are included. A solution for this problem is addressed in the methodology proposed in this work and discussed further ahead in this section.

The results of the proposed novelty detection approach in the seven scenarios are shown in Table III. A high test set performance, around 96%, is obtained on the T_1 and T_2 scenarios, nevertheless, the performance gradually decrease to a final 81% as new classes are incorporated to the base knowledge. This decrease of performance is expected, in each scenario new information is incorporated to the model, therefore more variability and cases are considered normal to the model and this limits the capacity of the model to detect anomalies. To verify if the dimensionality reduction stage improves the performance of the model, the seven scenarios are also tested using the 20 calculated features, the results are shown in Table IV.

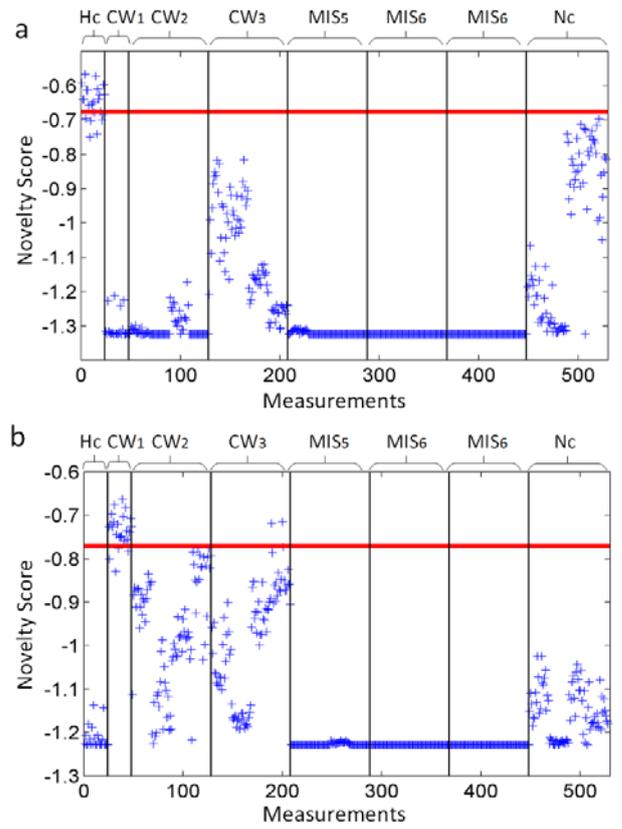


Fig. 7. Resulting Novelty Score of the T_2 . The red line is the novelty threshold, Th , which is set to -0.67 for the first OC-SVM and -0.77 for second. The black lines represent the division among the different classes during the test. a) The novelty results of the OC-SVM trained using measurements of the Hc class. b) The novelty results of the OC-SVM trained using measurements of the $CW1$ class.

As can be seen that, regarding the T_1 to T_3 scenarios, a performance around 96% is obtained in both approaches, nevertheless starting from the T_4 scenario, the performance of the model using the 20 features start decreasing at a higher rate in comparison to the ICA proposed approach. The decrease of performance is caused by the misclassification of the known set, labeling them as *novel*, which implies that

reducing the features allows a more adequate tuning of the novelty detection boundary to achieve a more robust detection of the known classes. To test the fault identification stage a separate analysis is performed where only the scenario T₇ is used. Testing the fault identification method over an evident

class discrimination scenario would lead to non-significant information about the limitations and advantages of each model and features used for comparison. Therefore, the scenario which presents a more adequate challenge regarding number of classes for discrimination is used.

TABLE III.
PERFORMANCE OF THE PROPOSED NOVELTY DETECTION SCHEME

	Novelty Detection ICA - 3 Features						
	T1	T2	T3	T4	T5	T6	T7
Test Set Performance	0.960(±0.004)	0.956(±0.008)	0.895(±0.002)	0.891(±0.014)	0.877(±0.019)	0.837(±0.027)	0.811(±0.031)
Known Set Performance	0.968(±0.005)	0.961(±0.002)	0.916(±0.007)	0.915(±0.009)	0.927(±0.017)	0.905(±0.028)	0.839(±0.068)
Outlier Set Performance	0.842(±0.046)	0.843(±0.064)	0.768(±0.053)	0.805(±0.044)	0.773(±0.029)	0.764(±0.033)	0.766(±0.023)

TABLE IV.
PERFORMANCE OF THE NOVELTY DETECTION CONSIDERING 20 FEATURES CALCULATED

	Novelty Detection 20 Features						
	T1	T2	T3	T4	T5	T6	T7
Test Set Performance	0.971(±0.004)	0.949(±0.014)	0.908(±0.014)	0.834(±0.011)	0.813(±0.01)	0.748(±0.006)	0.656(±0.006)
Known Set Performance	0.981(±0.003)	0.957(±0.01)	0.920(±0.015)	0.815(±0.012)	0.793(±0.012)	0.691(±0.015)	0.395(±0.029)
Outlier Set Performance	0.850(±0.054)	0.863(±0.047)	0.861(±0.034)	0.896(±0.024)	0.855(±0.029)	0.811(±0.013)	0.780(±0.008)

TABLE V.
RESULTS OF THE T₇ SCENARIO FOR THE FAULT IDENTIFICATION STAGE. THE EVOLVING CLASSIFIERS ARE COMPARED TO A CLASSICAL APPROACH IN BOTH FEATURE SELECTION APPROACHES.

	Fault Identification					
	20 Features			ICA		
	eClass0	eClass1	NN	eClass0	eClass1	NN
Training Set Performance	0.872(±0.024)	0.736(±0.024)	0.942(±0.015)	0.587(±0.052)	0.366(±0.038)	0.637(±0.022)
Test Set Performance	0.839(±0.016)	0.726(±0.032)	0.874(±0.014)	0.548(±0.044)	0.370(±0.035)	0.602(±0.023)

The confusion matrix of one iteration of the cross-validation algorithm of the fault identification stage is shown in Table VI. All measurements of the T₇ scenario are used to analyze the performance of the eClass0 classifier, and as can be seen, most of the most of the misclassifications are assigned among the degradation degrees of each faults rather than among different faults.

TABLE VI.
CONFUSION MATRIX OF THE ECLASS0 USING ALL MEASUREMENTS OF THE T₇ SCENARIO.

True Class	Assigned Class						
	Hc	CW ₁	CW ₂	CW ₃	MIS ₅	MIS ₆	MIS ₇
Hc	22	1	0	0	1	0	0
CW ₁	0	20	4	0	0	0	0
CW ₂	0	16	8	0	0	0	0
CW ₃	0	0	0	22	2	0	0
MIS ₅	1	0	0	0	20	3	0
MIS ₆	0	0	0	0	0	23	1
MIS ₇	0	0	0	0	0	0	24

The result of the fault identification stage using evolving classifiers and a supervised classical approach used in many condition monitoring systems, the multi-layer Neural Network (NN), is shown in Table V. Regarding the Neural Network, a configuration of one hidden layer with 10 neurons is used. The neurons are configured with a sigmoid activation function and the training procedure corresponds to a classical back propagation algorithm.

A comparison between using the 20 calculated features and a dimensionality reduction by ICA is also performed. Better

results are obtained with all three models using the 20 features than the ICA approach. Meanwhile the ICA represents a better option to detect outliers in the novelty detection stage, for the fault identification stage the use of 20 features represent a better option to discern between classes. The misclassification is caused by an overlapping of classes in the feature space, this can be highlighted by the training set performance and the consistent low performance in all three models. If the novelty detection task and the fault identification task are performed in the same stage, the selection of a different feature selection for each stage would lower the performance of the methodology.

Regarding the test set performance of the three models using the 20 calculated features as input, the Neural Network approach present a slightly better performance, around 3%, than the evolving classifier eClass0 and a 15% increased performance than the eClass1, nevertheless, the advantage of the evolving methods in terms of incursion of different classes and low computational cost of training and testing, represent a better option for the fault identification stage for online applications.

VI. CONCLUSIONS

This paper proposes a methodology for continuous learning of condition monitoring applied to an End-of-Line test machine of the automotive sector by analyzing the torque signal. The methodology assess the condition of the machine under monitoring without altering the undergoing operation.

Taking into consideration that the methodology presented work under the assumption that only the healthy condition is

initially available, the main contributions presented are focused on: (i) the analysis and selection of a separate feature calculation and reduction method to increase the performance of the novelty detection and fault classification stages and (ii) the proposition of an ensemble of novelty detection models and an evolving classifier to perform incremental learning when a database storing the measurements of the machine is not available.

The methodology proposed is compared in each stage with different feature reduction approaches to perform a proper selection of features for each model taking in consideration the challenges of an industrial framework. A set of several tests with the corresponding performance metrics are proposed for the evaluation of both stages, novelty detection and fault identification. By monitoring separately the accuracy of the models, it is possible to identify the advantages and limitations of the methodology and compare different models for each stage.

Regarding the novelty detection stage, the ensemble method of OC-SVMs successfully discerned among the known set and the outlier set of the seven performed tests. Using the ICA to select a reduced number of features in comparison of using the 20 features lead to a better performance, especially at the last test, where an increment of 44% of accuracy on the known set is achieved.

Regarding the fault identification stage, among the evolving classifiers, the eClass0 obtained better results than the eClass1, where an increment of 11% of accuracy on the test set is achieved using the 20 features and an increment of 17% on the test set is achieved using the ICA. Since each class is composed by four different models of steering systems, four different distributions are expected among the data; therefore, the eClass0 is more suitable in this case to enclosure a multimodal distribution of the data with the Gaussian enclosure of the prototypes than the regression performed by the eClass1. Regarding the Neural Network classifier comparison, the eClass0 obtained a slightly lower accuracy; nevertheless, Neural Network the intensive offline training of the Neural Network is not suitable for online applications where a database of historical measurements is not available.

In general, the results obtained in this work suggest that this methodology may be also useful for any other industrial machines, with a corresponding signal processing stage to identify a suitable set of features of the monitored machine.

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