

[Title Page]

**Novel Methods for Estimating Lithium-Ion Battery State of Energy and
Maximum Available Energy**

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2 Available Energy

3 **Abstract**

4 The battery state of energy (SOE) allows a direct determination of the ratio between the
5 remaining and maximum available energy of a battery, which is critical for energy
6 optimization and management in energy storage systems. In this paper, the ambient
7 temperature, battery discharge/charge current rate and cell aging level dependencies of
8 battery maximum available energy and SOE are comprehensively analyzed. An explicit
9 quantitative relationship between SOE and state of charge (SOC) for LiMn_2O_4 battery
10 cells is proposed for SOE estimation, and a moving-window energy-integral technique
11 is incorporated to estimate battery maximum available energy. Experimental results
12 show that the proposed approaches can estimate battery maximum available energy and
13 SOE with high precision. The robustness of the proposed approaches against various
14 operation conditions and cell aging levels is systematically evaluated.

15

16 **Key words:** Battery management system (BMS); State of energy (SOE); State of
17 charge (SOC); Maximum available energy.

18

19 **1. Introduction**

20 Lithium-ion batteries have many desirable merits such as high energy density, light
21 weight and long cycle life, and are widely developed as energy storage devices in smart
22 grids and electric vehicles [1,2], etc. To meet the application power and energy demands,
23 a battery system usually contains hundreds, even thousands of cells connected in series
24 and parallel. To ensure safe and reliable operation, an effective battery management
25 system (BMS) is required to monitor and control these cells. Much of the BMS
26 functionalities, such as the state of charge (SOC) estimation, state of health estimation,
27 cell monitoring and balancing techniques [3-8], have been sophisticatedly developed
28 for applications. Nevertheless, due to the nonlinear battery characteristics and
29 unpredictable operating conditions, accurate and reliable battery state of energy (SOE)
30 and maximum available energy estimations still pose significant challenges.

31 Traditionally, the SOC is regarded as an indicator of battery available energy. A wide
32 variety of approaches for SOC estimation has been reported in recent literature [2,9-19],
33 and remarkable results have been achieved on novel SOC estimation methods and
34 improving the estimated accuracy. For example, the proportional-integral (PI) observer
35 [11], Luenberger observer [12,13], Sliding-mode observer [14,15] and Kalman-filter-
36 based algorithms [2,16-19] were employed in model-based SOC estimation methods to
37 obtain estimated results of high accuracy. Defined as the ratio of the remaining charge
38 stored in a battery to its full capacity, however, SOC actually indicates the state of
39 available capacity rather than the state of available energy. K. Mamadou etc. [20,21]

40 introduced a new criterion, state of energy (SOE), for battery energetic performances
41 evaluation. SOE allows a direct determination of the ratio of battery remaining energy
42 to its maximum available energy, which is critical for energy optimization and
43 management in energy storage systems.

44 Compared with the SOC estimation approaches, there are few studies report the
45 systematic research for SOE estimation. Refs. [22,23] presented SOE estimation
46 methods based on Neural Network, which treats the target battery as a “black-box”
47 system and needs a great number of sample data to train the network parameters. The
48 main disadvantage of this method is that the estimation errors are strongly dependent
49 on the training data. In [24,25], an adaptive unscented Kalman filter algorithm and the
50 relationship between the SOE and open circuit voltage (OCV) were employed in the
51 model-based SOE estimation approaches. In [26], the particle filter and a battery model
52 are utilized to develop a method for joint estimation of the SOE and the SOC, and the
53 robustness of the method has been verified under dynamic temperature conditions. H.
54 He etc. [27] employed a Gaussian model oriented battery model and proposed a data-
55 driven estimator with a central difference Kalman filter algorithm for SOE estimation,
56 and the approach was evaluated by two kinds of batteries including LiFePO₄ and
57 LiMn₂O₄ cells. Although these SOE estimation approaches are able to achieve
58 acceptable accuracy, the complex algorithms produce a heavy computational burden on
59 the microprocessor with limited computation capability within BMSs.

60 Besides, a common drawback of these SOE estimation methods is that they fail to

61 achieve desirable predictions against various operating conditions during battery aging
62 processes. The trajectory of the neural network parameters or battery model parameters
63 cannot be fully described within a limited number of experiments [27]. Various battery
64 operating conditions and cell aging levels with pre-set parameters may lead to
65 inaccurate SOE estimated results. It is also noted that the above-mentioned battery
66 available energy studies focus just on the SOE estimation. Unfortunately, there are very
67 few studies involving the estimation of battery maximum available energy (i.e. battery
68 actual energy). Since the battery maximum available energy is strongly related to the
69 battery operating conditions [22], it is necessary to systematically study the effects of
70 ambient temperature, current rate, and aging level in order to estimate the SOE and
71 maximum available energy more accurately, and further improve the robustness of
72 estimation approaches against uncertain operating conditions.

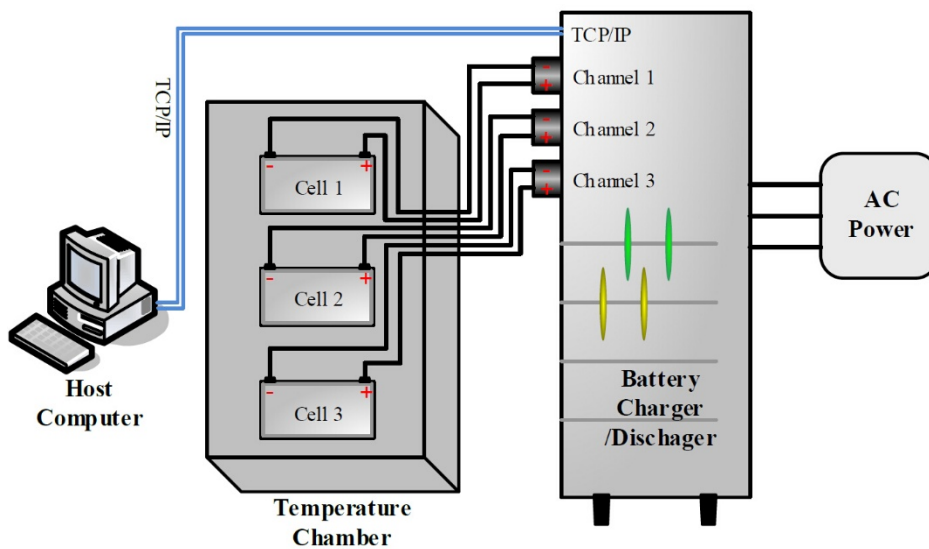
73 To implement this work, a battery test bench was developed, and the characteristics of
74 LiMn_2O_4 battery cells with a nominal capacity of 90 Ah were tested under different
75 aging levels, current rates, and ambient temperatures. The tests cover a broad aging
76 level range from 92 Ah to 69.5 Ah, a wide temperature range from 10 °C to 40 °C and
77 a commonly used current rate range from 1/3 C to 1 C. Based on the test data, the
78 relationships between SOE and SOC under various operating conditions are
79 systematically analyzed and quantified for SOE estimation. A moving-window energy-
80 integral technique is incorporated to estimate the battery maximum available energy.
81 The robustness and feasibility of the proposed approaches are validated in different
82 operating condition tests during battery aging processes.

83 The remainder of the paper is arranged as follows: Section 2 introduces the battery test
84 bench and analyzes the dependencies of battery available energy and SOE on the
85 temperature, current and cell aging level. Section 3 presents the proposed algorithms of
86 battery SOE and maximum available energy estimations. The experimental results and
87 evaluation of the proposed approaches are reported in Section 4, followed by the
88 conclusions and future work in Section 5.

89 2. Battery Experiments and Results

90 2.1. Battery Test Bench

91 The LiMn_2O_4 cells with a nominal capacity of 90 Ah were used to investigate the battery
92 energy characteristics at various experimental conditions of different ambient
93 temperatures, current rates, and cell aging levels. A battery test bench was set up to
94 obtain battery characterization experimental data, as shown in Fig. 1.



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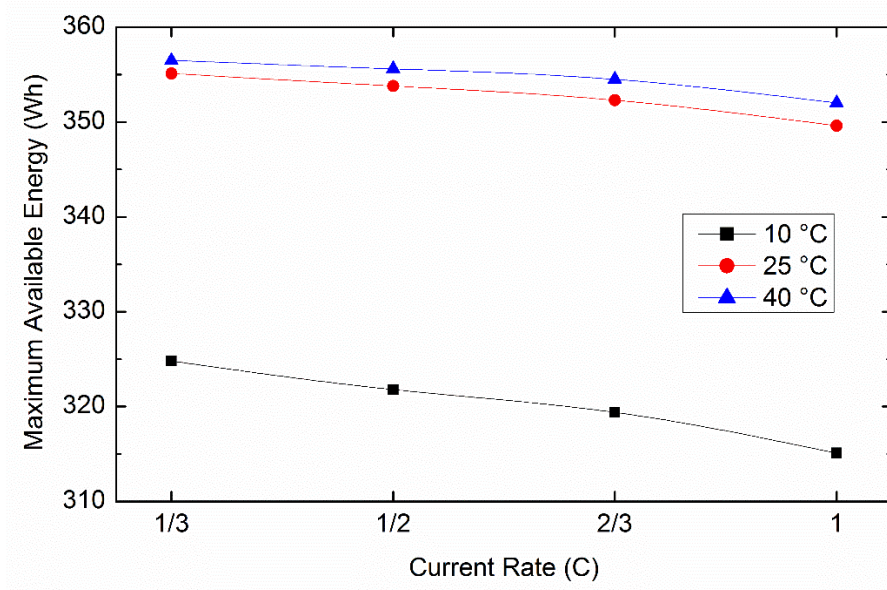
Fig. 1. Configuration of the battery test bench.

97 The battery test bench is composed of a battery charger/discharger, a host computer, a
98 programmable temperature chamber and Lithium-ion battery cells. The battery
99 charger/discharger functions to charge or discharge battery cells according to preset
100 loading profiles and its voltage and current measurement accuracy is 0.05% full scale.
101 The host computer is used to set the loading profiles and control the battery
102 charger/discharger through the TCP/IP communications. It is also used to record a set
103 of real-time battery variables, such as battery terminal voltage, loading current, and
104 charge/discharge energy. The programmable temperature chamber can simulate various
105 ambient temperatures and is used to control the battery operated under the designed
106 temperatures.

107 *2.2. Temperature, current and aging level dependencies of battery maximum available*
108 *energy*

109 In order to investigate the battery maximum available energy with different currents at
110 various ambient temperatures, the battery cells were loaded with the discharge current
111 rates of C/3, 2C/3, C/2 and 1C at temperatures of 10 °C, 25 °C and 40 °C, respectively.
112 At each temperature, the battery cells were firstly charged with a preset constant current
113 to the upper limit voltage 4.2 V followed by a constant voltage charge at 4.2 V until
114 C/20 cutoff. Then, there was a rest time for 1 h followed by the preset constant current
115 discharge to the lower limit voltage 3 V. After that, the battery was given a rest for 1 h
116 and the procedure was carried out repeatedly. During the battery discharge processes,
117 the maximum available energy results with different currents at various temperatures

118 are shown in Fig. 2.



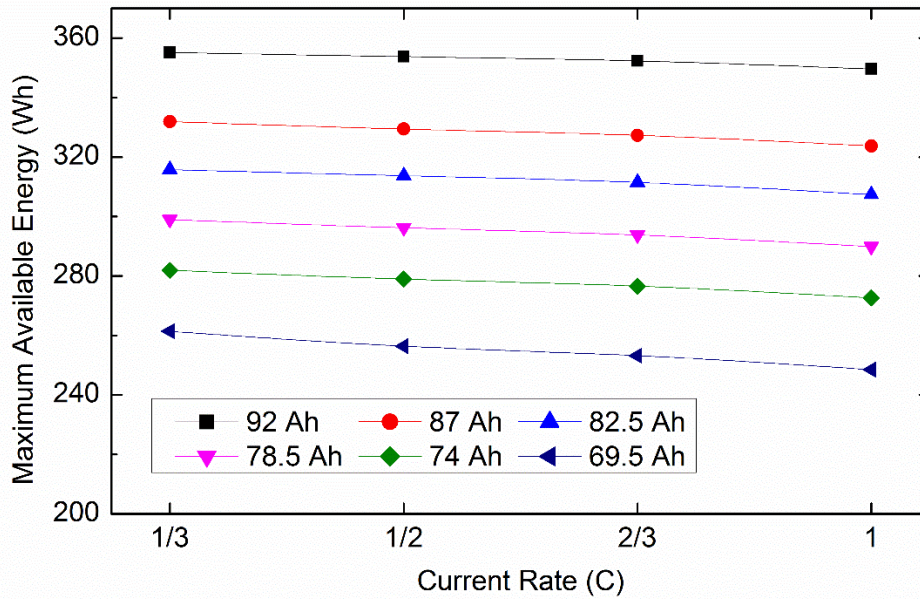
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120 Fig. 2. The maximum available energy with different currents at various temperatures.

121 From Fig. 2, it can be found that the battery maximum available energy presents a
122 change with different currents at various temperatures. At the same ambient temperature,
123 the available energy appears a decreasing trend with the increasing discharge current
124 rate. For example, when the discharge current rate was increased from 1/3C to 1C, the
125 available energy dropped from 324.8 Wh to 315.1 Wh at 10 °C. At various temperatures,
126 when the discharge current rate is kept at 1/3C, the maximum available energies are
127 324.8 Wh, 355.1 Wh, and 356.5 Wh at 10 °C, 25 °C and 40 °C, respectively, presenting
128 an increasing trend with the rising temperature.

129 To investigate the battery maximum available energy with different currents at various
130 battery cell aging levels, accelerated aging tests with the charge/discharge current of 1C
131 at 60 °C were applied to the battery cell to obtain different cell aging levels including

132 92 Ah, 87 Ah, 82.5 Ah, 78 Ah, 74.5 Ah and 69.5 Ah, and at each cell aging level, the
 133 battery cell was loaded with the discharge currents of $C/3$, $C/2$, $2C/3$ and $1C$ at the room
 134 temperature ($25\text{ }^{\circ}\text{C}$), respectively. The battery maximum available energy values are
 135 plotted in Fig. 3.



136

137 Fig. 3. The maximum available energy with different currents at various aging levels.

138 In Fig. 3, when the discharge current rate is $1/3C$, the battery maximum available energy
 139 values are 355.1 Wh, 331.9 Wh, 315.8 Wh, 299.0 Wh, 281.9 Wh and 261.4 Wh at the
 140 battery capacity 92 Ah, 87 Ah, 82.5 Ah, 78.5 Ah, 74 Ah and 69.5 Ah, respectively. The
 141 maximum available energy shows similar declining trends with different discharge
 142 current rates such as $1/2C$, $2/3C$, and $1C$ at different aging levels, indicating that the
 143 battery maximum available energy appears a significant decrease during battery aging
 144 processes.

145 It can be concluded that the battery maximum available energy varies with the operating

146 conditions and is greatly related to the ambient temperature and cell aging level.
147 Accordingly, it is necessary to develop reliable approaches for accurate battery
148 maximum available energy and SOE estimations with strong robustness against the
149 varying operating conditions during the battery aging processes.

150 *2.3. Temperature, current and aging level dependencies of the relationship between*
151 *SOE and SOC*

152 Being similar to the SOC range, the SOE reaches its maximum value 100% when the
153 battery is fully charged which means it has the maximum available energy, and it
154 reaches its minimum value 0% when the battery is fully discharged which means there
155 is not any remaining energy can be discharged. Since the battery charger/discharger is
156 able to measure cell voltage and loading current with high precision, the referenced data
157 are represented by the measurement data detected by the charger/discharger which are
158 recorded in the host computer. The recorded data include the battery cell terminal
159 voltage, loading current, charge/discharge capacity and energy, and therefore the SOC
160 and SOE can be easily calculated by Eq. (1) and Eq. (2), respectively,

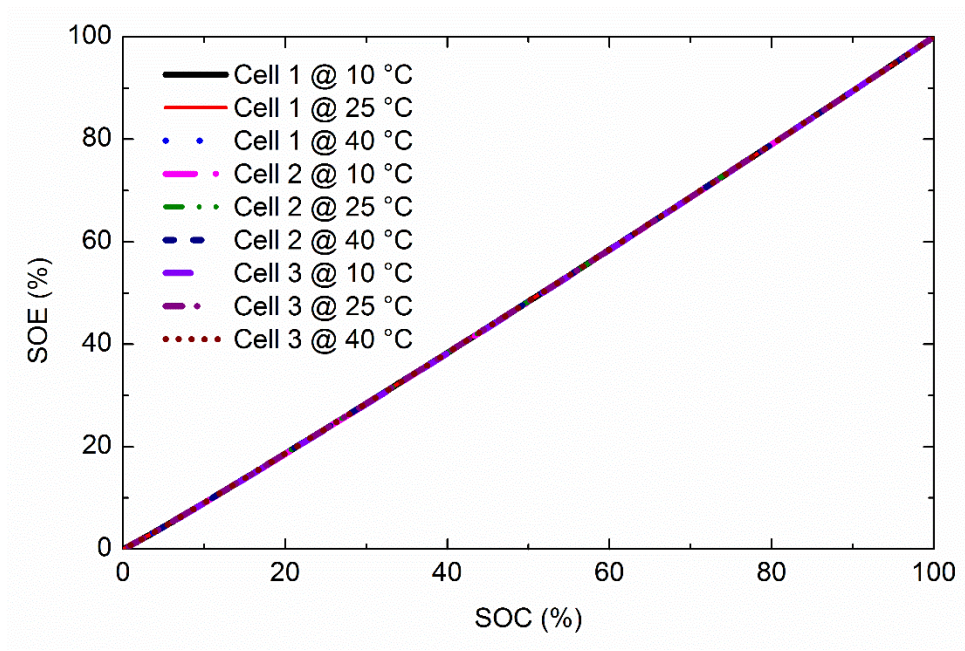
161
$$SOC(k) = SOC(k-1) + \eta_c I(k) \Delta t / C_a \quad (1)$$

162
$$SOE(k) = SOE(k-1) + U(k) I(k) \Delta t / E_a \quad (2)$$

163 where $SOC(k)$ denotes the SOC value at time k , $SOC(k-1)$ the SOC value at time $(k-1)$,
164 $SOE(k)$ the SOE value at time k , $SOE(k-1)$ the SOE value at time $(k-1)$, Δt the sampling
165 time interval, $I(k)$ the loading current at time k (positive for charging and negative for

166 discharging), $U(k)$ the battery cell terminal voltage at time k , C_a the battery maximum
167 available capacity (i.e. the battery actual capacity), E_a the battery maximum available
168 energy (i.e. the battery actual energy), and η_C the coulombic efficiency which is
169 considered to be approximately equal to 1 [26].

170 It has been reported that there is a positive correlation between the SOE and SOC [24],
171 but the relationship between SOE and SOC has not been clearly defined. Thus, the
172 relationship between SOE and SOC should be further studied. To investigate the
173 temperature dependency of the relationship between SOE and SOC, different battery
174 cells of the same batch were loaded with the discharge current $C/3$ at 10 °C, 25 °C and
175 40 °C, respectively. The relationships between SOE and SOC at different temperatures
176 are plotted in Fig. 4 where the SOC is regarded as the X-axis and the SOE as the Y-axis.



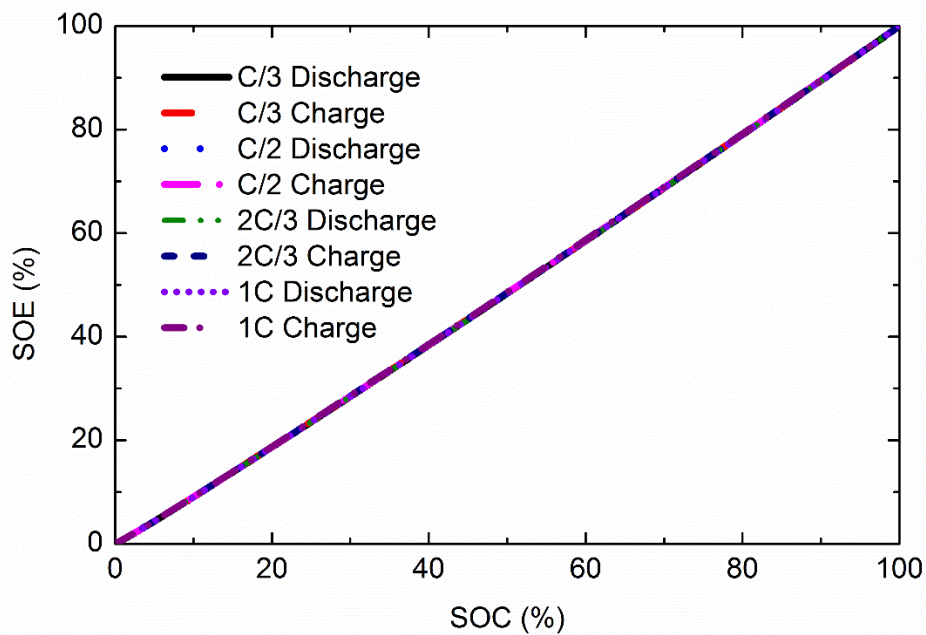
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178 Fig. 4. The relationships between SOE and SOC at different temperatures.

179 Fig. 4 shows a perfect coincidence among the relationships between SOE and SOC at

180 different temperatures. It indicates that the relationship between SOE and SOC has
181 strong robustness against the changing ambient temperature. Besides, it is noted that
182 for three different cells of the same batch, the relationships between SOE and SOC also
183 coincide well with each other. Thus, the relationship between SOE and SOC can be
184 readily extended for each cell of whole battery pack operated at different ambient
185 temperatures.

186 In order to investigate the current dependence of the relationship between SOE and
187 SOC, the battery cells were loaded with the discharge and charge current rates of C/3,
188 C/2, 2C/3 and 1C, respectively. The results are shown in Fig. 5.



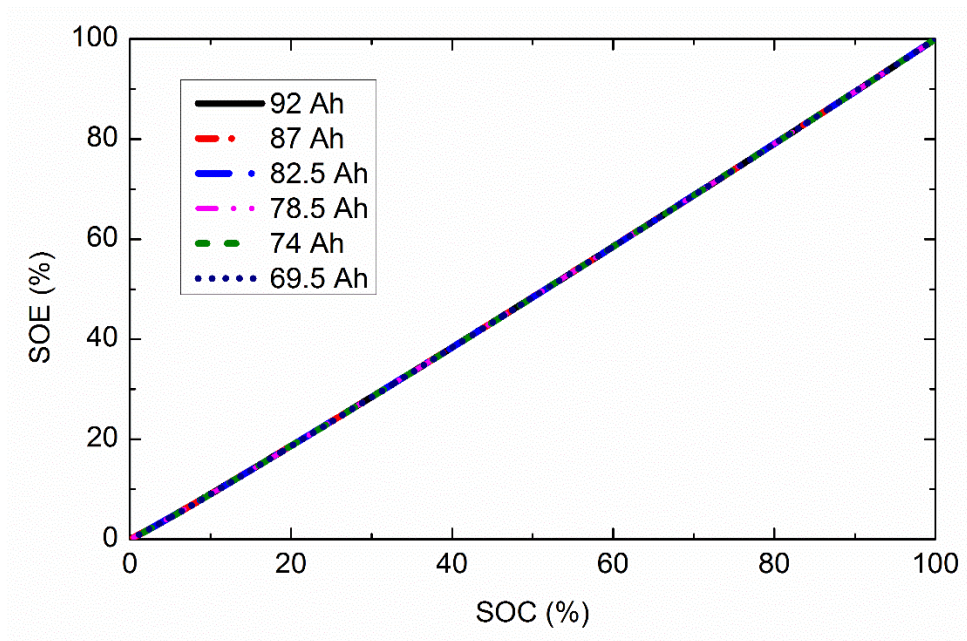
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190 Fig. 5. The relationships between SOE and SOC with various current rates.

191 From Fig. 5, it can be seen that the relationships between SOE and SOC with various
192 discharge or charge current rates almost coincide with each other. It manifests that the
193 charging and discharging current rates have little effect on the relationship between

194 SOE and SOC. Thus, the relationship can be applied not only in battery constant current
195 charging/discharging processes but also in dynamic changed current working
196 conditions.

197 To investigate the aging level dependence of the relationship between SOE and SOC,
198 the battery cell was loaded with a discharging current rate of $C/3$ at battery capacity
199 degraded from 92 Ah to 69.5 Ah, respectively, and the relationships are shown in Fig.
200 6.



201

202 Fig. 6. The relationships between SOE and SOC at different aging levels.

203 In Fig.6, the relationships between SOE and SOC at different aging levels appear a
204 superior overlapping characteristic. It demonstrates that the relationship between SOE
205 and SOC remains steady during battery aging processes and has strong robustness
206 against the battery capacity fade.

207 From above experimental results, it can be summarized that under different operating
208 conditions and cell aging levels, the relationship between battery SOE and SOC always
209 keeps unchanged. Although the maximum available energy and maximum available
210 capacity of a battery cell are significantly dependent on its operated ambient
211 temperature, loading current rate and aging level, it is noted that these factors have
212 negligible effects on the relationship between SOE and SOC. This is because the SOE
213 and SOC values were calculated by Eq. (1) and Eq. (2) with the maximum available
214 energy and maximum available capacity, respectively, which have already included
215 these influence factors.

216 **3. The Proposed Algorithms**

217 It has been reported that the model-based SOC estimation methods are able to achieve
218 high estimated accuracy [9-19]. Thus, the estimated SOC and the stable relationship
219 between SOE and SOC can be utilized to estimate SOE. According to the results shown
220 in Figs. 4-6, the relationship between SOE and SOC can be expressed as an explicitly
221 quantitative expression which is assumed to be a quadratic function, as given by,

$$222 \quad SOE(k) = aSOC(k)^2 + bSOC(k) + c \quad (3)$$

223 where a , b and c are three coefficients of the quadratic function.

224 The coefficients of the quadratic equation are fit by using Levenberg-Marquardt
225 algorithm [28,29] for the relationship between SOE and SOC under different
226 temperatures, current rates, and cell aging levels. The optimal parameters are listed in

227 Table 1. The coefficient of determination *R-Square* is 0.999989, which means the fitting
228 function can precisely match the real relationship between SOE and SOC.

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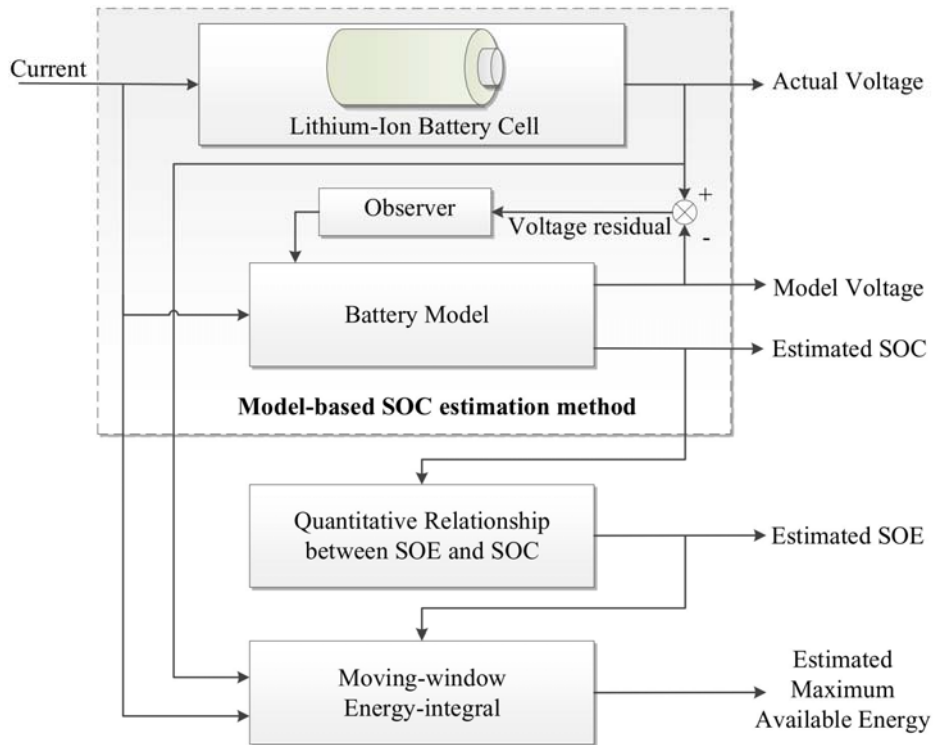
230 Table 1. Optimal parameters of the relationship function between SOE and SOC.

Parameter	Coefficient
<i>a</i>	0.000600
<i>b</i>	0.944954
<i>c</i>	-0.426930

231

232 Based on the quantitative relationship between SOE and SOC with estimation SOC, the
233 overall structure of the proposed algorithms for both battery SOE and maximum
234 available energy estimation is shown in Fig. 7.

235



236

237

Fig. 7. The structure of the proposed algorithms.

238 The SOC is firstly estimated by a model-based estimation method. Since the model-

239 based SOC estimation method is not the emphasis of this paper, we briefly explain the

240 working principle of the method, and refer readers to Refs. [11-19,30] where give a

241 more comprehensive description on the model-based SOC estimation methods. Briefly,

242 a battery model such as equivalent circuit models and electrochemical models is

243 employed to calculate the model output voltage with the given initial SOC value and

244 loading current. Then the voltage residual between the model output voltage and the

245 cell terminal voltage (i.e. cell actual voltage) is fed to an observer or filter such as PI

246 observer, Luenberger observer, Sliding-mode observer and Kalman-filter-based filters,

247 for producing a compensation value. After that, the compensation value is used to

248 modify state variables of the battery model and therefore the estimated SOC is able to

249 track with the actual SOC.

250 Subsequently, the estimated SOC and the quantitative relationship are employed to
251 estimate SOE. Furthermore, a moving-window energy-integral technique with the SOE
252 estimation is incorporated to estimate the battery maximum available energy and its
253 detailed estimation process is described as follows.

254 Eq. (2) expresses the relationship between SOE and battery maximum available energy,
255 and therefore the battery maximum available energy can be derived reversely, as given
256 by,

$$257 \quad E_a = \sum_{i=0}^k (U(i)I(i)\Delta t) / (SOE(k) - SOE(0)) \quad (4)$$

258 where $\sum_{i=0}^k (U(i)I(i)\Delta t)$ is the energy integral from the beginning time to the time k
259 and $SOE(0)$ is the SOE value at the beginning time.

260 As mentioned in Section 2, the battery maximum available energy is greatly related to
261 the ambient temperature, cell aging level and loading current rate. However, it is noted
262 that these three variables are not included in Eq. (4). This is because that in Eq. (4), the
263 battery maximum available energy is calculated with the estimated SOE, which is
264 calculated by Eq. (3). Eq. (3) describes the quantitative relationship between SOC and
265 SOE, which was obtained by fitting the experimental SOC and SOE data under various
266 ambient temperatures, cell aging levels and loading current rates. From Figs. 4-6, it can
267 be seen that these variables have negligible effects on the relationship between SOE

268 and SOC. Thus, the variables are not included in Eq. (3) and also not included in Eq.
269 (4). Since the SOC value is considered as the input for calculating the SOE given by
270 Eq. (3) at different operating conditions, the SOC should be the value under the
271 corresponding operating conditions, which has considered the variables of ambient
272 temperature, cell aging level and loading current rate, and therefore the estimated SOE
273 and maximum available energy values are also related to these variables.

274 As presented in Eq. (4), the battery maximum available energy can be calculated by
275 using two certain SOE points such as the beginning charge/discharge point and the final
276 charge/discharge point. However, the SOE estimation errors in these two points may
277 lead to incorrect battery maximum available energy estimation results. From experience,
278 one way to decrease the uncertainty in experimental data is to make multiple
279 measurements and take the average. Accordingly, a moving-window energy-integral
280 technique with multiple calculations is incorporated for the estimation. The battery
281 maximum available energy is calculated in each 200 seconds' moving-window. Then
282 the average of the maximum available energy values of each moving-window is
283 considered as the final estimated result, as given by,

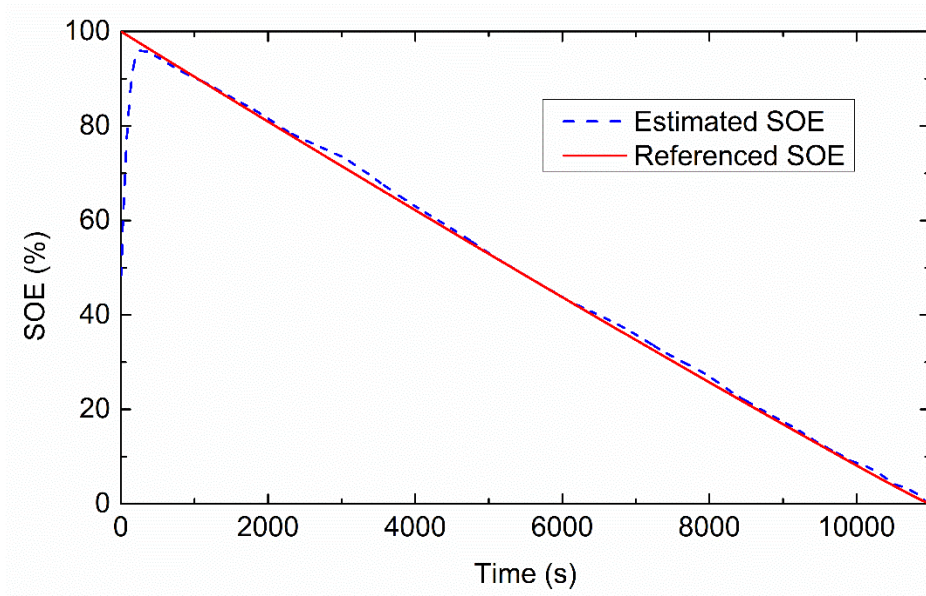
$$284 \quad E_{a_avg} = \sum_{i=1}^n E_{ai} / n \quad (5)$$

285 where E_{ai} is the maximum available energy in each moving-window and n the number
286 of moving-windows.

287 **4. Verification and Discussion**

288 *4.1. SOE estimation*

289 As presented in our previous SOC estimation work [13], the SOC estimation error can
290 be limited to a +/-2% error band and the estimated SOC can track with the referenced
291 SOC quickly even with an erroneous initial SOC value. Combining the estimated SOC
292 and the relationship between SOE and SOC, the SOE estimation result of a battery cell
293 with 92 Ah and 1/3C discharging current rate is shown in Fig. 8 where the referenced
294 SOE values are calculated by Eq. (2) with the experimental test data.



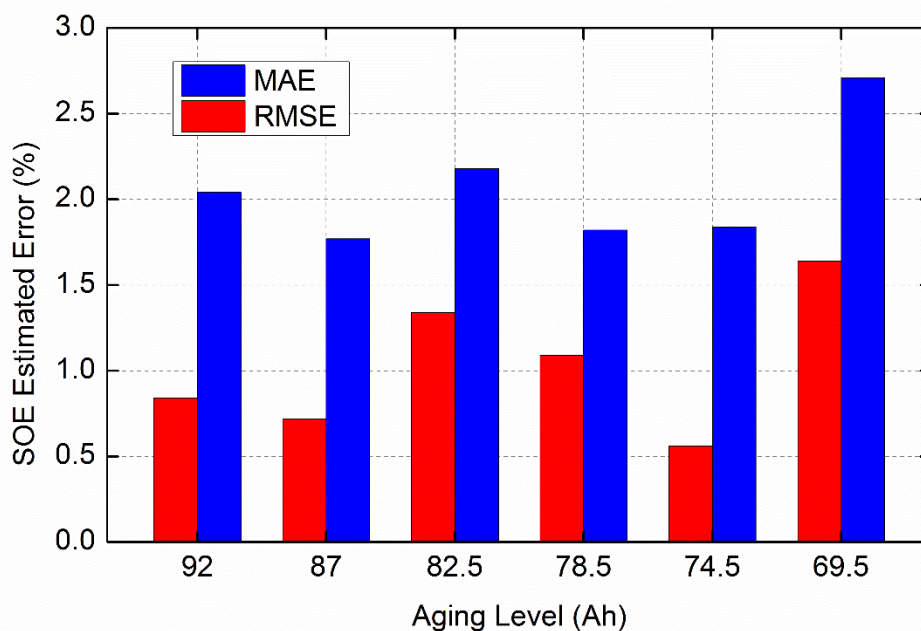
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296 Fig. 8. SOE estimation result.

297 In Fig. 8, the referenced initial SOE value is 100% while there is an erroneous initial
298 SOC value of the battery model that caused an incorrect initial SOE value 48%. It can
299 be seen that in the first 400 s, the estimated SOE increases quickly to catch up with the
300 referenced SOE, and therefrom the estimated SOE is able to follow the tracks of the

301 referenced value well. It indicates that the proposed SOE estimation method can work
302 well even when a grossly erroneous initial SOE value is supplied to the program. The
303 detailed SOE estimation errors at different battery aging levels and operation conditions
304 will be depicted as follows.

305 To investigate the effectiveness of the proposed method during the process of battery
306 aging, the battery cell degraded from 92 Ah to 69.5 Ah was used for the verification.
307 The SOE estimation errors including the maximum absolute error (MAE) and the root
308 mean square error (RMSE) are shown in Fig. 9 at six different aging levels with 92 Ah,
309 87 Ah, 82.5 Ah, 78.5 Ah, 74 Ah and 69.5 Ah, respectively.

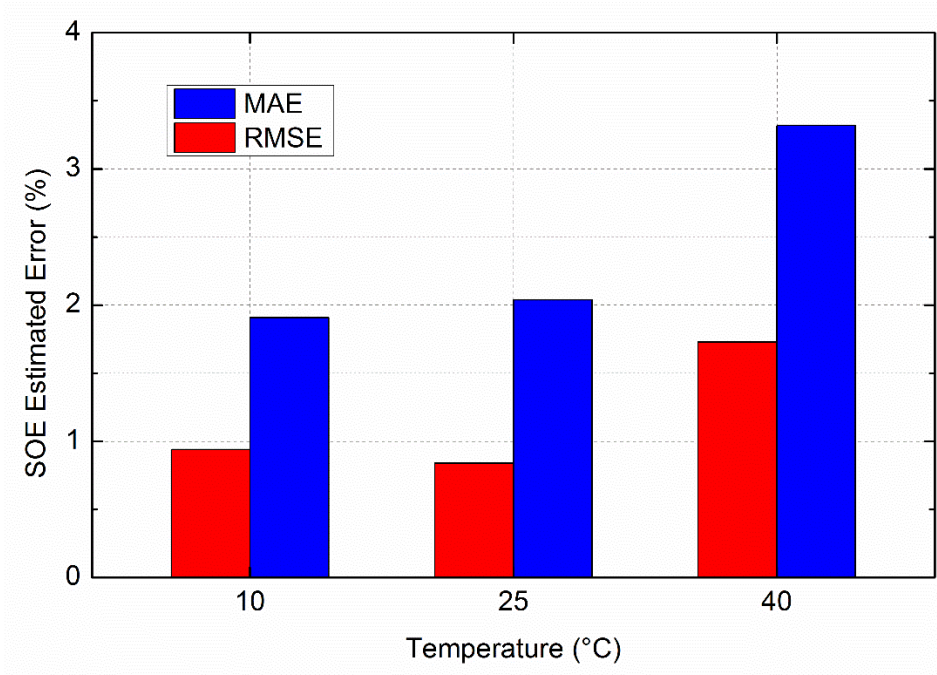


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311 Fig. 9. SOE estimation errors at different battery aging levels.

312 In Fig. 9, the SOE estimation MAEs at different battery aging levels are less than 3.0%
313 while the SOE estimation RMSEs are less than 2.0%, indicating that the proposed
314 method can handle different battery aging levels quite well.

315 The characteristic test data at 10 °C, 25 °C and 40 °C were used to validate the
316 effectiveness of the proposed method under different ambient temperatures. The SOE
317 estimation errors are shown in Fig. 10.

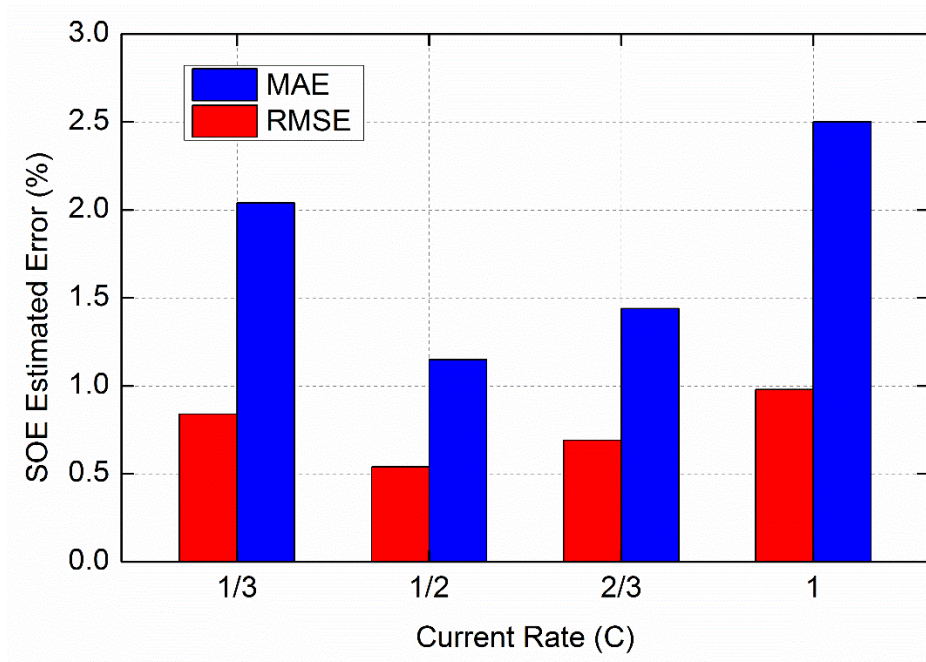


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319 Fig. 10. SOE estimation errors under various ambient temperatures.

320 From Fig. 10, it can be seen that the maximum SOE estimation MAE occurred at 40 °C,
321 which is about 3.32%. At different ambient temperatures, the SOE estimation RMSEs
322 are less than 2.0%. It can be concluded that the proposed approach is able to achieve
323 desirable SOE estimation results under various ambient temperatures.

324 To investigate the effectiveness of the proposed method with different charge current
325 rates, the characteristic test data with four discharging current rates: 1/3C, 1/2C, 2/3C
326 and 1C at the room temperature (25 °C) were used to verify the method. The SOE
327 estimation errors are shown in Fig. 11.



328

329

Fig. 11. SOE estimation errors with different discharge current rates.

330

In Fig. 11, the SOE estimation MAEs can be limited in a 2.5% error band and the SOE

331

estimation RMSEs are less than 1.0% with different discharging current rates,

332

indicating that the proposed approach can perform well with different discharge current

333

rates.

334

4.2. Maximum available energy estimation

335

The battery maximum available energy is calculated by the proposed moving-window

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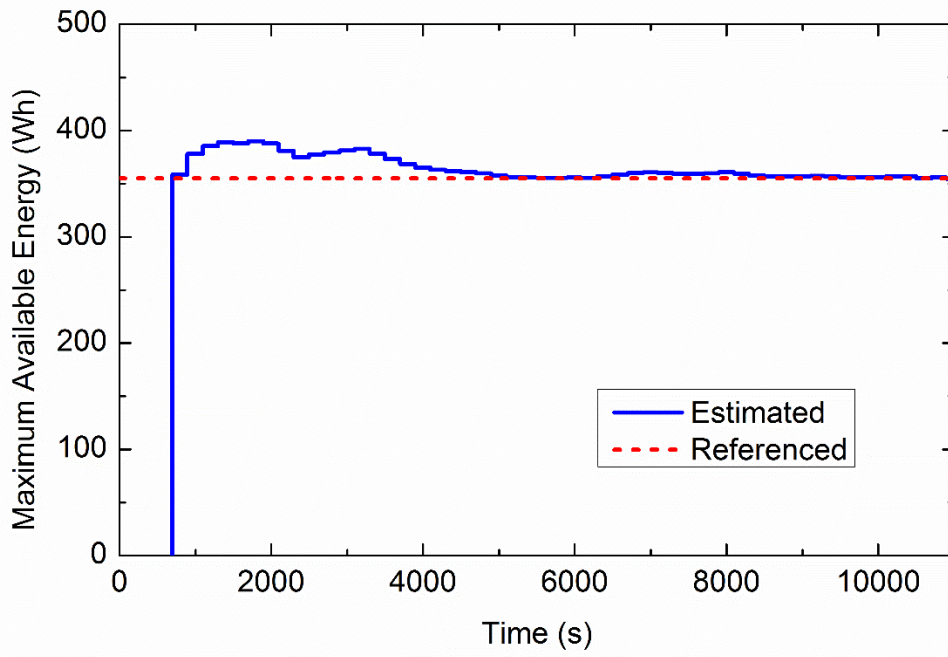
energy-integral and average methods. During the discharge process of a battery cell

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with 92 Ah and 1/3C discharging current rate, the maximum available energy estimation

338

results are plotted in Fig. 12.



339

340

Fig. 12. Battery maximum available energy estimation results.

341

In Fig. 12, the proposed algorithm begins to estimate battery maximum available energy

342

at about 700 s. This is because that the first 500 s are used for SOE estimation correction

343

and the followed 200 s are used for the first moving-window calculation. Although

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some significant estimation errors occurred during the first 4000 s, the estimated

345

maximum available energy can finally converge to the referenced value.

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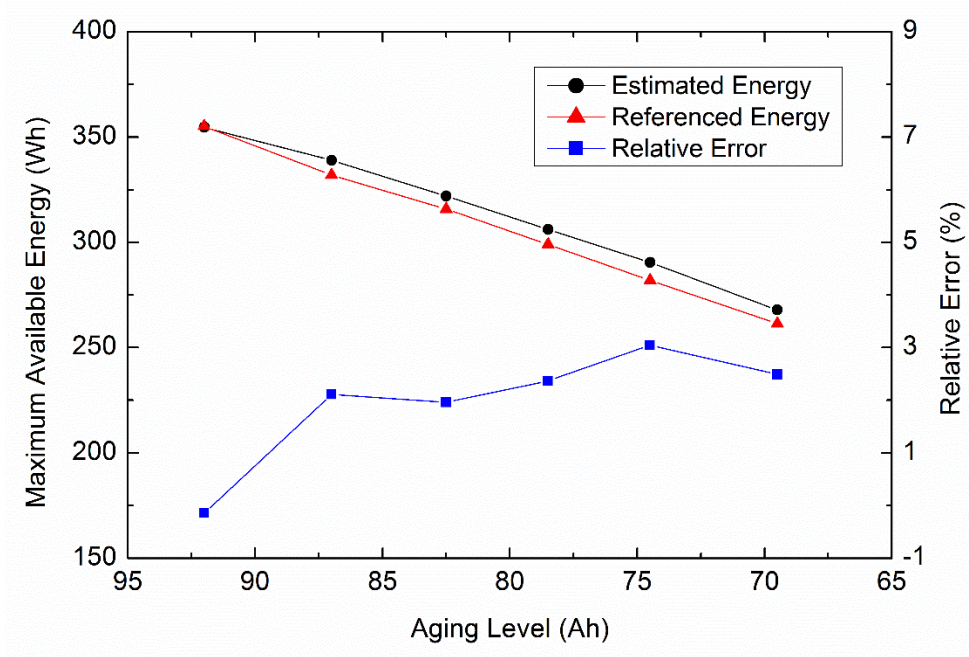
The battery test data at different aging levels are used to verify the effectiveness of the

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proposed method for battery maximum available energy estimation. The estimated

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results and relative estimation errors are shown in Fig. 13.

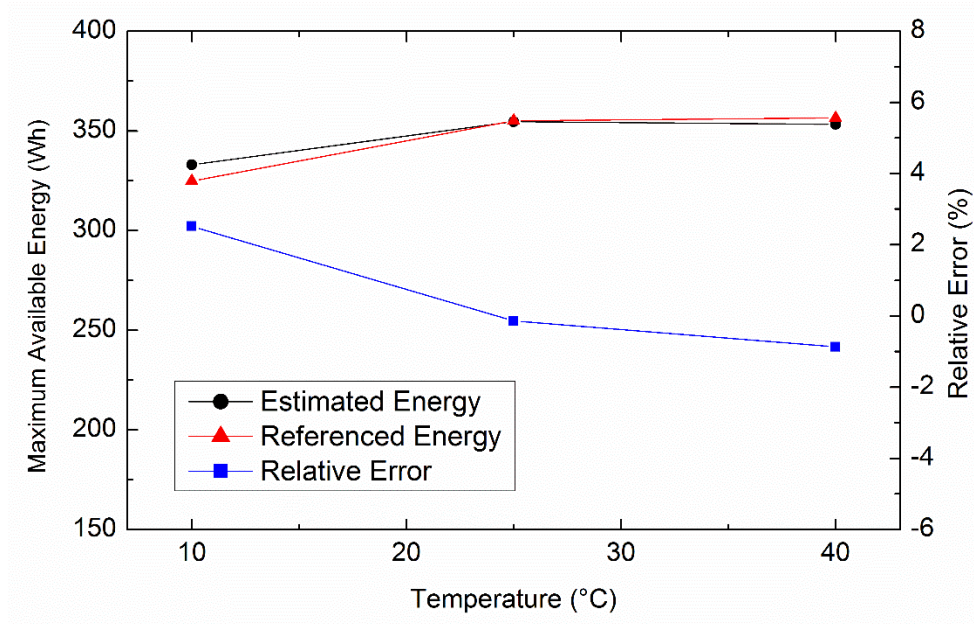


349

350 Fig. 13. Battery maximum available energy estimation results at different aging levels.

351 In Fig. 13, the estimated maximum available energies can track well with the referenced
 352 values at different battery aging levels, and the relative estimation errors can be limited
 353 in a +/-3% error band, indicating that the proposed method is feasible for various battery
 354 aging levels.

355 To verify the effectiveness of the proposed approach under different ambient
 356 temperatures, the estimated processes were performed at 10 °C, 25 °C and 40 °C,
 357 respectively, and the results are shown in Fig. 14.

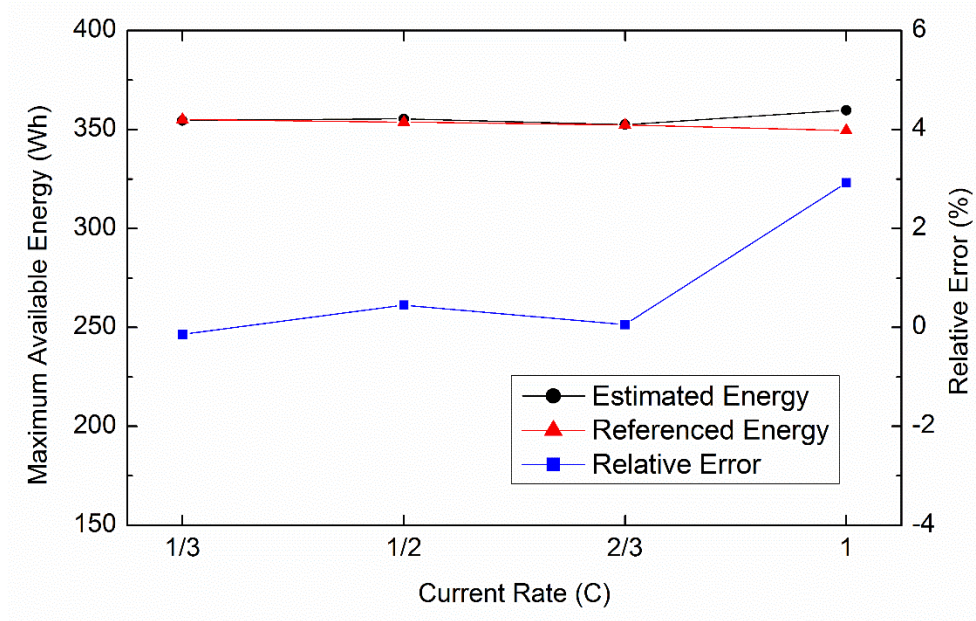


358

359 Fig. 14. Battery maximum available energy estimation results under different ambient
 360 temperatures.

361 Under various ambient temperatures, the estimated results presented in Fig. 14 show
 362 that the battery maximum available energy estimation method can work well at the
 363 above-mentioned temperatures and the relative estimation errors are able to be limited
 364 in a +/-2% error band.

365 To investigate the effectiveness of the proposed method with different charging current
 366 rates, the characteristic test data with four discharging current rates: 1/3C, 1/2C, 2/3C
 367 and 1C at the room temperature (25 °C) were used to verify the battery maximum
 368 available estimation, and the results are shown in Fig. 15.



369

370 Fig. 15. Battery maximum available energy estimation results with different discharge

371

current rates.

372 From Fig. 15, it can be seen that the estimated maximum available energies can follow

373 the tracks of the referenced values well with different battery discharging current rates.

374 The maximum estimated error is 2.92% at 1C current rate, showing that the proposed

375 method can handle different discharging current rates quite well.

376 4.3. Dynamic stress test cycles verification

377 The dynamic stress test (DST) cycle [31] is widely used to simulate the dynamic

378 changed loading conditions of batteries in real applications. The current profiles of DST

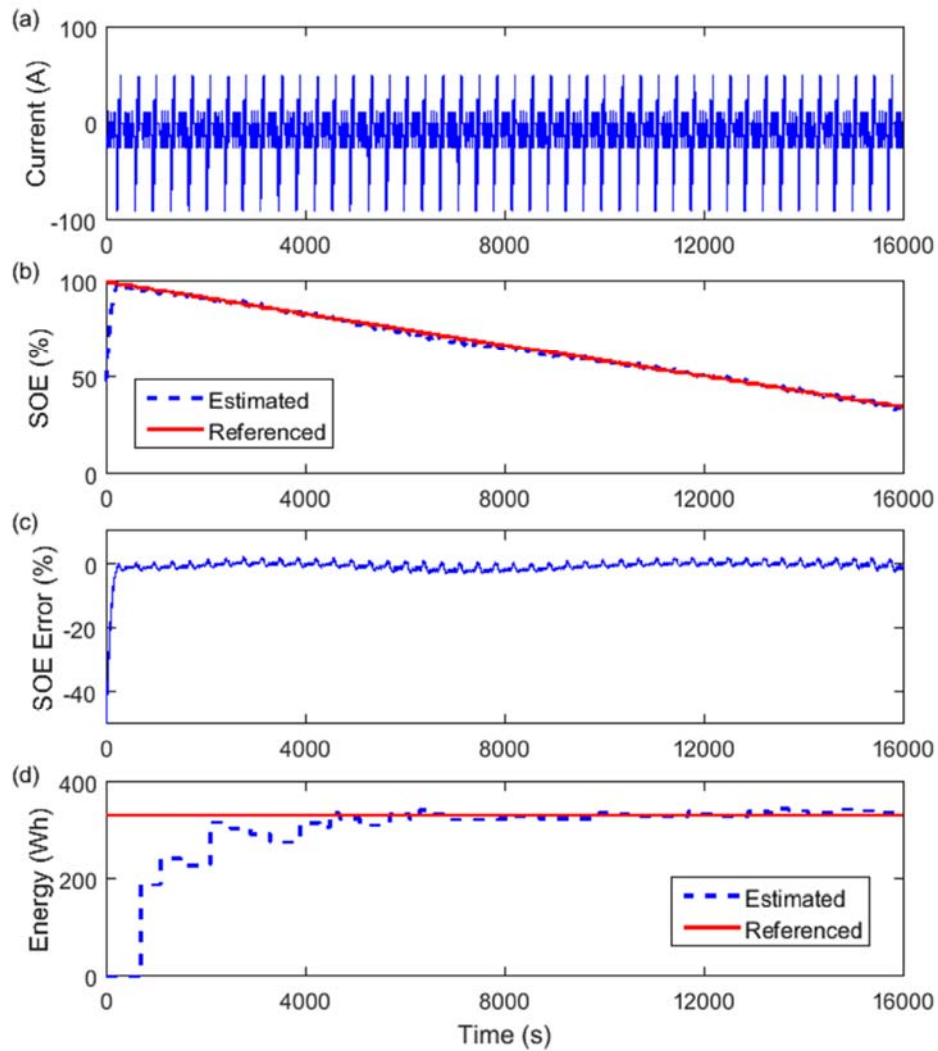
379 cycles are depicted in Fig. 16(a). Before the DST test, the battery cell was fully charged

380 in a constant current and constant voltage regime and the initial referenced SOE was

381 100% while the initial SOE of the algorithm was set to an incorrect value, 48%. The

382 referenced SOE and the estimated SOE are compared in Fig. 16(b). It can be seen that

383 the estimated SOE is able to track the referenced value quickly. Fig. 16(c) shows the
384 estimated SOE errors, in which the SOE estimation MAE and RMSE are 3.2% and
385 1.2%, respectively. The battery maximum available energy estimation results are
386 plotted in Fig. 16(d). The resultant estimated maximum available energy is 324.2 Wh
387 in contrast to the referenced value of 331.9 Wh, and the relative error is 2.32%. The
388 estimated results indicate that the proposed methods can perform well with small errors
389 even under dynamic loading conditions.



390

391 Fig. 16. Estimation results with DST cycles: (a) current profile of DST cycles, (b)

392 SOE estimated results, (c) SOE estimated errors and (d) maximum available energy
393 estimated results.

394 **5. Conclusion**

395 Different from SOC, SOE allows a direct determination of the ratio of battery remaining
396 energy to maximum available energy, which is critical for energy optimization and
397 management in energy storage systems. In order to estimate the battery SOE and
398 maximum available energy accurately, the temperature, current rate and battery aging
399 level dependencies of battery maximum available energy and SOE were systematically
400 analyzed. The relationships between SOC and SOE for different influence factors, such
401 as the ambient temperature, charging and discharging current rates, and battery aging
402 levels, were explicitly quantified for the SOE estimation. Besides, a moving-window
403 energy-integral and average method were incorporated for battery maximum available
404 energy estimation. Experimental results show that the proposed approaches can
405 estimate the battery maximum available energy and SOE with high precision even
406 under the dynamic loading conditions. The robustness of the proposed estimation
407 approaches against various operation conditions and cell aging levels is systematically
408 evaluated. The simplicity of the proposed SOE estimation method can avoid heavy
409 computation cost required by conventional model-based SOE estimation methods,
410 which causes a severe computational burden to the microprocessor with limited
411 computation capability used in BMSs, and therefore the proposed method has the
412 potential to be implemented in practical applications. Further work will be conducted

413 on the relationship between SOE and SOC and estimation of SOE and maximum
414 available energy for other types of batteries.

415 **Acknowledgment**

416 This work was financially supported by the Automotive Australia 2020 Cooperative
417 Research Centre (AutoCRC). The authors would also like to acknowledge the National
418 Active Distribution Network Technology Research Center (NANTEC), Beijing
419 Jiaotong University, for the prior work on battery tests.

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