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(71) Applicant: **YAZAMI IP PTE. LTD.** [SG/SG]; 12 Kensington Park Drive, #04-01, Singapour 557325 (SG).

(72) Inventors: **YAZAMI, Rachid**; 12 Kensington Park Drive, #04-01, Singapour 557325 (SG). **EL OUTMANI, Sohaib**; 47 Cours de la Libération, 38100 Grenoble (FR).

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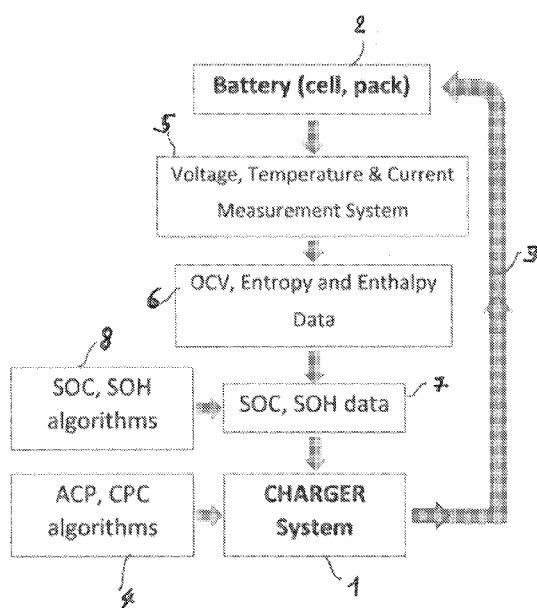


FIG.1

(57) Abstract: A method for online assessing a state of health (SOH) of an electrochemical cell, comprises a step for estimating said state of health (SOH) of said electrochemical cell from thermodynamics data related to said cell, said thermodynamics data including entropy and enthalpy variations  $\Delta S$ ,  $\Delta H$  within said cell. A system for fast-charging a rechargeable battery with terminals connected to internal electrochemical cells, comprises a power supply connected to said rechargeable battery and arranged for applying a time-varying charging voltage to said battery terminals, a charging-control processor for controlling said power supply, and a system for online assessing a state of health (SOH) of said battery, said SOH assessment system comprising means for estimating said state of health (SOH) of said electrochemical cell from thermodynamics data related to said battery.

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“Method and system for online assessing state of health of a battery”

The present patent application claims the priority of Singapore patent application n°10201710153U filed on December 7, 2017.

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### TECHNICAL FIELD

The invention relates to a method for online assessing state of health of a battery (SOH). It also relates to a system implementing said online SOH assessing method.

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### TECHNICAL BACKGROUND

Over the last decades Energy Storage Systems (ESS) surrounded us. We are at their contact every day. With smartphones, laptops and others embedded systems hundreds of millions of lithium-ion batteries are produced each year. Moreover, with the expecting growing of electric vehicles market, even more batteries will be manufactured.

15

With such an amount of batteries used all over the world, it is important to ensure safety and reliability of the ESS. In order to achieve those requirements, a batteries management system (BMS) has to be used. The BMS is an electronic system which manages the battery to guarantee its safe operation. It elaborates a diagnosis from measurements and provides an optimal management of the ESS.

20

One part of the diagnosis is to estimate the state of health (SOH). It is a very important characteristic for a cell as well as for a pack. SOH is an indicator that evaluates the ageing of a battery compared to its fresh state. Knowing the SOH is useful for predicting when the battery should be removed. And if the battery is not operating normally, it is impacted on this indicator. Moreover to be able to perform an adaptive charging, this parameter is needed. Indeed since the battery is evolving with time, at the charging process, SOH should be used to improve battery life.

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Currently SOH is assessed mostly by testing a battery during charging and discharging at a certain rate. This enables discharge capacity and voltage to be determined. Then SOH can be defined as the ratio of capacity or energy of a used battery vs. the same of a fresh one. The need to fully charge and discharge a cell is not practical to assess battery SOH on real-time basis.

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This parameter SOH is difficult to estimate because it cannot be directly measured. Different estimation methods have been developed. Each of them has advantages and drawbacks.

The purpose of the present invention is to overcome these drawbacks by proposing a new method for assessing SOH.

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### SUMMARY OF THE INVENTION

This goal is achieved with a method for online assessing a state of health (SOH) of an electrochemical cell, said method comprising a step for estimating said state of health (SOH) of said electrochemical cell from thermodynamics data related to said cell, said thermodynamics data including entropy and enthalpy variations  $\Delta S$ ,  $\Delta H$  within said cell.

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The SOS assessment method according to the invention can further comprise a step for identifying the reference and chemistry of the electrochemical cell, or a step for implementing a model providing relationships between entropy  $\Delta S$  and the state of health (SOH) for the electrochemical cell.

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In a particular embodiment of the invention, the  $\Delta S$ -SOH model has been previously obtained off line from analyzing entropy data and relating said entropy data analysis to chemical characteristics of the electrochemical cell and then to the state of health (SOH) of said cell.

20

The  $\Delta S$ -SOH model can be implemented within an entropy-revealer tool dedicated to state of health (SOH) assessment. This entropy-revealer tool can be adapted to fill and update a database on thermodynamics and/or chemistry and/or state of health (SOH).

25

The entropy-revealer tool can be advantageously adapted to generate machine-learning models.

In a specific version of a SOH-assessment method of the invention, implemented for a not already known battery, the entropy-revealer tool is adapted to identify the type of said battery by accessing the database and machine learning models, and then to deliver an estimation of the state of health (SOH) with previously found learning models.

30

The off-line entropy analysis can detect particular open-circuit voltage (OCV) values where  $\Delta S$  changes are more pronounced as the electrochemical cell ages.

The relationships between the entropy variations  $\Delta S$  and the state of health (SOH) are established by using pattern recognition algorithms.

The step of estimating the state of health (SOH) comprises a step of estimating said state of health (SOH) from entropy variation  $\Delta S$  profiles.

The step of estimating the state of health (SOH) comprises a step of estimating said state of health (SOH) from enthalpy variation  $\Delta H$  profiles.

The entropy-revealer tool is adapted to estimate the state of health (SOH) of an electrochemical cell including a chemistry not yet referenced in the database.

5 The step of estimating the state of health (SOH) from thermodynamics data can advantageously comprise:

- measuring profiles of open-circuit voltage (OCV),  $\Delta S$  and  $\Delta H$ , for different battery references and chemistries,
- measuring profiles of OCV,  $\Delta S$  and  $\Delta H$ , for different battery states of health,
- 10 - defining which part of the profiles is the most interesting regarding identification and SOH estimation.
- finding a relationship between OCV,  $\Delta S$  and  $\Delta H$  profiles in one hand and battery reference or chemistry in another hand with a model.

The step of estimating the state of health (SOH) of a battery can comprise:

- 15 - measuring thermodynamics profiles,
- identifying the reference of said battery by using the entropy-revealer tool and from said measured thermodynamics profiles,
- estimating the state of health (SOH) by using said entropy-revealer tool and from said measured thermodynamics profiles.

20 According to another aspect of the invention, it is proposed a system for online assessing a state of health (SOH) of an electrochemical cell, said system comprising means for estimating said state of health (SOH) of said electrochemical cell from thermodynamics data related to said cell, said thermodynamics data including entropy and enthalpy variations  $\Delta S$ ,  $\Delta H$  within said cell.

25 The SOH assessment system according to the invention can further comprise means for identifying the reference and chemistry of the electrochemical cell.

The SOH assessment system according to the invention can further comprise means for implementing a model providing relationships between entropy  $\Delta S$  and the state of health (SOH) for the electrochemical cell.

30 The SOH assessment system according to the invention can further comprise an entropy-revealer tool implementing the  $\Delta S$ -SOH model.

The SOH assessment system according to the invention can further comprise a database on thermodynamics and/or chemistry and/or state of health (SOH), said database being filled and updated by the entropy-revealer tool.

The SOH assessment system according to the invention can further implement machine-learning models generated by the entropy-revealer tool.

The SOH assessment system according to the invention can further comprise means for detecting particular open-circuit voltage (OCV) values where  $\Delta S$  changes are more pronounced as the electrochemical cell ages.

The SOH assessment system according to the invention can further implement pattern recognition algorithms used for establishing the relationships between the entropy variations  $\Delta S$  and the state of health (SOH).

The SOH estimation means can advantageously comprise:

- 10 - means for measuring profiles of open-circuit voltage (OCV),  $\Delta S$  and  $\Delta H$ , for different battery references and chemistries,
- means for measuring profiles of OCV,  $\Delta S$  and  $\Delta H$ , for different battery states of health,
- means for defining which part of the profiles is the most interesting regarding identification and SOH estimation.
- 15 - Means for finding a relationship between OCV,  $\Delta S$  and  $\Delta H$  profiles in one hand and battery reference or chemistry in another hand with a model.

The SOH estimation means can also comprise:

- 20 - means for measuring thermodynamics profiles,
- means for identifying the reference of said battery by using the entropy-revealer tool and from said measured thermodynamics profiles,
- means for estimating the state of health (SOH) by using said entropy-revealer tool and from said measured thermodynamics profiles.

According to another aspect of the invention, it is proposed a system for fast-charging a rechargeable battery with terminals connected to internal electrochemical cells, said fast-charging system comprising:

- 25 - a power supply connected to said rechargeable battery and arranged for applying a time-varying charging voltage to said battery terminals, thereby generating a charging current resulting in charging of said electrochemical cells,
- 30 - a charging-control processor for controlling said power supply,

said fast-charging system further comprising a system for online assessing a state of health (SOH) of said battery, said SOH assessment system comprising means for estimating said state of health (SOH) of said electrochemical cell from thermodynamics data related to said battery, said thermodynamics data including entropy and enthalpy

variations  $\Delta S$ ,  $\Delta H$  within said cell.

Battery state of health (SOH) is a key parameter as SOH controls the energy and the power performances of a battery together with its cycle and calendar life. SOH can be used to apply an adapted charging protocol. SOH gives valuable information on battery state of safety (SOS). Accurate SOH assessment is very important for performance and life prediction.

A new online method has been developed to assess battery SOH by the profile analysis of open-circuit voltage (OCV), entropy  $\Delta S$  and enthalpy  $\Delta H$ . A tool called "Entropy Revealer" (ER) is created and used for the purpose of SOH assessment. ER is based on a software which analyzes entropy data and relates them to a chemistry and then to SOH. The newly developed program automatically detects particular OCV values where  $\Delta S$  changes are more pronounced as battery ages. A relationship between Entropy and SOH is then established by ER using pattern recognition algorithms. Then the models found can be used online for different applications such as smart and fast charging and for battery safety risk assessment.

### BRIEF DESCRIPTION OF THE DRAWINGS

These and other features and advantages of the present invention will become better understood with regard to the following description, appended claims, and accompanying drawings wherein:

- **FIG.1** is a functional scheme of a fast-charging system implementing the SOH-assessment method according to the invention,

**FIG.2** illustrates  $\Delta S$  (OCV) profiles for ten different batteries from reference A, four of which are aged,

**FIG.3** illustrates  $\Delta S$  (OCV) profiles for nine different batteries from reference B, four of which are aged,

**FIG.4** illustrates  $\Delta S$  (OCV) profiles for nine different batteries from reference C,

**FIG.5** illustrates  $\Delta S$  (OCV) profiles for eight different batteries from reference D, four of which are aged,

**FIG.6** illustrates  $\Delta S$  (OCV) profiles for four different batteries from reference E,

**FIG.7** illustrates  $\Delta S$  (OCV) profiles for ten different batteries from reference F,

**FIG. 8** features SOH computed from energy from four batteries of reference A, said batteries being aged until 350 cycles at 55 °C Celsius, and SOH being measured every 50 cycles,

**FIG.9** is an OCV (SOC) plot at different cycles for Battery A1,  
**FIG.10** is a  $\Delta S$  (SOC) plot for four Batteries from Reference A when fresh,  
**FIG.11** is a  $\Delta S$  (SOC) plot for four Batteries from Reference A at 350 cycles,  
**FIG. 12** is a  $\Delta H$  (SOC) plot for four Batteries from Reference A when fresh,  
5 **FIG.13** is a  $\Delta H$  (SOC) plot for four Batteries from Reference A at 350 cycles,  
**FIG. 14** is a  $\Delta S$  (OCV) plot for four Batteries from Reference A when fresh,  
**FIG.15** is a  $\Delta S$  (OCV) plot for four Batteries from Reference A at 350 cycles,  
**FIG. 16** is a  $\Delta H$  (OCV) plot for four Batteries from Reference A when fresh,  
**FIG.17** is a  $\Delta H$  (OCV) plot for four Batteries from Reference A at 350 cycles,  
10 **FIG. 18** is a  $\Delta S$  (OCV) plot for Battery A1,  
**FIG. 19** is a  $\Delta H$  (OCV) plot for Battery A1,  
**FIG.20-22** represent in first row  $\Delta S$  data between 3.7 and 3.9 volts at different  
ageing for different batteries, and in second row SOH evolution with ageing, each graph  
of this row corresponding to a battery,  
15 **FIG.23-24** are  $\Delta S$  (SOC) profiles at different ageing for a LIB coin cell, and  
**FIG.25-27** illustrate SOH vs Cycle Number for a LIB coin cell.

### DETAILED DESCRIPTION

Thermodynamics of batteries can be seen as “fingerprints”. Indeed  
20 thermodynamic data are directly linked to batteries microscopic structure. It can give us  
information about chemistry, age, state of charge. It is then possible to use  
thermodynamics for identification and characterization of batteries.

Digital fingerprint is a good analogy. The signature is unique for each individual,  
and statically this assertion is verified. The analogy can be pushed to the reference level.  
25 Indeed, it was observed that the thermodynamic profiles, especially  $\Delta S$ , are different  
from one reference to another. It is the same for batteries with the same reference.

There is a better analogy than digital fingerprint. The digital fingerprint is  
invariant with human age or shape. It is of the same kind as DNA profiling. No matter  
what is the shape or the age of the person, DNA and digital fingerprint are not affected.

30 Thermodynamics profile are closer to voice or human face regarding this aspect.  
By looking at a face it is possible to recognize someone, to give its age, to have an idea  
of how well this person is. And there are several algorithms that use face characteristics  
from a picture to recognize someone, to determine its gender and even to estimate its age.

Same considerations can be made with the voice. Analogy can be even pushed

further with batteries. Voice is the reflect of anatomic features such as size and shape of throat and mouth. Entropy of a battery is the reflect of internal microscopic structure and state of charge of anode and cathode. Voice can give us information about the gender. Entropy can give us information on the battery chemistry.

5 It is possible to estimate the age of a person with its voice. In the same fashion it is possible to estimate the age of a battery from its entropic profile. One can tell if a person is smoking just by hearing its voice. One can also tell if a battery was overheated or overcharged from its Entropy profile.

10 Various technologies are used to address the process and the storage of voice printing: pattern matching algorithms, neural networks, matrix representation, Vector Quantization, or decision trees. Same kind of techniques can be used as well to process thermodynamics fingerprint of a battery.

Entropy of a battery can be seen as their voice. We need to “listen” carefully to them to know more about them. Their “voice” can tell us who they are and how they feel.

15 Thermodynamic fingerprints for batteries include two components: Entropic and enthalpic fingerprints. These fingerprints are measured and processed to estimate the state of health.

20 With reference to Figure 1, a charger system 1 is provided for charging for charging a battery (cell, pack) 2 via an electric connection 3. The charger system 1 implements an Adaptive Control Protocol (ACP) algorithm or a Cascade Pulse Charging (CPC) algorithm 4. The battery 2 is monitored by a measurement system 6 for measuring Voltage, Temperature and Current. From these measurement, Data 6 on Entropy, Enthalpy and Open-Circuit Voltage (OCV) are calculated and then processed by means of SOC, SOH Algorithms to deliver Data 7 on State of Charge (SOC) and State of Health (SOH) of the battery 2. SOC and SOH Data 7 are processed by the charger system 1.

## MAIN METHODS OF SOH ESTIMATION

According to [1], SOH methods estimation can be done with two different approaches, experimental or adaptive one.

30 With the experimental approach, cycling data is stored. Then previous knowledge of the operation performance of the cell or battery is used to estimate the SOH.

With the adaptive method, calculation of parameters sensitive to the cell degradation is used to estimate the SOH. Each of these approaches has advantages and drawbacks.

One experimental technique for SOH estimation is the direct measurement of internal resistance of the cell/battery [2] [3] [4] [5] [6] [7]. Indeed, these measurements evaluate the resistance degradation during the testing.

Another well-known experimental technique is the impedance measurement. To estimate it, Electrochemical Impedance Spectroscopy (EIS) is performed. This method is used for instance in [8] [9] [10] [11] [12] [13] [14] [15] [16] [17].

Indeed, since battery impedance is increasing with ageing, SOH estimation can be done through it. Moreover, the impedance at different frequency ranges gives information on different dynamics of the battery. So a lot of information can be extracted from the impedance. However, this methodology is not universal for all battery type. The cost and complexity of using it is then very high.

Another very popular experimental technic is the coulomb counting [18]. This method is indeed very simple. During charging and discharging the number of Ah is counted. This way transferred amount of Ah is tracked. Remain capacity is then known. Using voltage data, remained energy can also be computed. Even though it is very used, this methodology is not very accurate.

Concerning the adaptive method, an equivalent circuit is necessary. The goal is then to estimate parameters of the model that are linked to the SOH.

The first adaptive method that we are going to mention is the Kalman filter for the SOH estimation [19]. Several measurements are done over time to estimate the output variables that tend to be more precise. This method can be run online and is very accurate. However, the computational cost is pretty high.

Another adaptive method that can be mentioned is the extended Kalman filter [20] [21] [22]. This is the Kalman filter for nonlinear systems, which is usually the case for a battery system.

The approach that is proposed here is different. According to [23], there is a link between thermodynamics and battery ageing.

Using the appropriate measurement device, one can calculate the Gibbs free energy, entropy and enthalpy of an electrochemical cell from the temperature dependence of the open circuit voltage (OCV). The measurement is nondestructive.

By looking at these thermodynamic properties, it is possible to quantify the effect of ageing. The ageing effect on electrochemical cell thermodynamics is also shown in [24] [25] [26] [27].

Following is shown how to calculate the thermodynamics properties of the

electrochemical cell from the temperature dependence of the OCV.

By definition, the Gibbs Energy,  $\Delta G = -nFU$ , where  $n$  is the ionic charge,  $F$  is the Faraday constant, and  $U$  is the open circuit voltage.  $\Delta G$  is equal to  $\Delta H - T \Delta S$ . By measuring the temperature dependence of  $U$  at a fixed state of charge, the entropy can be calculated from the slope and the enthalpy calculated from the absolute zero temperature intercept:  $\Delta S = nF \partial U / \partial T$ ;  $\Delta H = -nFU + nFT \partial U / \partial T$  or  $\Delta H = -nFU$  when extrapolated to  $T=0$ .

What is proposed here is to quantitatively establish the relation between thermodynamic properties of an electrochemical cell and SOH.

10

## EXPERIMENTAL

Table 1 lists the batteries used for the study. Cells with the same letter in the name have the same reference and energy are measured at C/10 rate.

| Name      | Type  | Capacity (mAh) | Cathode chemistry  |
|-----------|-------|----------------|--|
| <b>A1</b> | 18650 | 3200           | $\text{Li}_{0.879}\text{Ni}_{0.769}\text{Mn}_{0.111}\text{Co}_{0.119}\text{O}_2$ |
| <b>A2</b> | 18650 | 3200           | $\text{Li}_{0.879}\text{Ni}_{0.769}\text{Mn}_{0.111}\text{Co}_{0.119}\text{O}_2$ |
| <b>A3</b> | 18650 | 3200           | $\text{Li}_{0.879}\text{Ni}_{0.769}\text{Mn}_{0.111}\text{Co}_{0.119}\text{O}_2$ |
| <b>A4</b> | 18650 | 3200           | $\text{Li}_{0.879}\text{Ni}_{0.769}\text{Mn}_{0.111}\text{Co}_{0.119}\text{O}_2$ |

15

**Table 1 . Batteries used for ageing**

Thermodynamic properties measurement is then performed with the BA 2000 from KVI.

20

Cells are then placed in an environmental chamber at 55 °C Celsius and cycled at 1.5 C rate 50 times. They are then removed from the environmental chamber. Capacity, energy and thermodynamic properties are measured again. This process is repeated again until 350 cycles. At the end of the testing we have SOH and thermodynamic properties of the cells every 50 cycles from 0 to 350 cycles. 55 °C Celsius was chosen to accelerate the ageing process by a factor 8 compared to ambient temperature.

25

The SOH indicator that we are going to use to compare it with the thermodynamic properties of the cell is defined as following:

$$SOH = \frac{En_{max}}{En_{nominal}} \cdot 100 \%$$

$En_{max}$  is the maximum available energy and  $En_{nominal}$  is the measured energy. The cell energy is computed as following:

$$En = \int U \cdot I \, dt$$

5

The energy of battery is computed from discharge curve of the cell. In our case discharge is done at C/10 rate. For example for an electrical vehicle a battery is considered dead if the SOH value is below 80%.

10 Knowing that SOH has an effect on thermodynamic properties of the cell, the idea is to fetch thermodynamic data to quantitatively establish a relation between them, the SOH and thermodynamics data.

Thermodynamic data can be plotted in different ways, as illustrated by the plots in Figures 1-27:

- 15
- OCV (Open circuit voltage) vs SOC ( State of charge)
  - $\Delta S$  (SOC)
  - $\Delta H$  (SOC)
  - $\Delta S$  (OCV)
  - $\Delta H$  (OCV)
- 20
- $\Delta S$  ( $\Delta H$ )
  - SOC ( $\Delta S$ ,  $\Delta H$ )

The purpose of these plots is to show the reproducibility of the results for different cells from the same reference. It shows that for a given cell it is difficult to use OCV to determine the ageing level and subsequently the SOH. Coulomb counting to determine SOC is probably not well computed because probably of bad connections between the

25 cells and the measurement device.

## SOH ESTIMATION METHODOLOGY

### Reference identification

Before estimating the SOH, a prior operation has to be carried. Indeed the relationship between Thermodynamics profiles and SOH is different from a reference to another. So the first step is to identify the battery reference.

It has been said that Thermodynamics profiles are also shaped by the battery chemistry; it is then expected to recognize a battery reference from their fingerprints.

To do so a large amount of thermodynamic profiles from different battery has been collected. The dataset has 126  $\Delta S$  profiles from 6 battery references. Following is a description of the measured profiles:

- Reference A: 38  $\Delta S$  profiles from 10 different batteries at different SOH ( represented in Fig. 2)
- Reference B: 37  $\Delta S$  profiles from 9 different batteries at different SOH ( represented in Fig. 3)
- 15 - Reference C : 9  $\Delta S$  profiles from 9 different batteries at fresh state ( represented in Fig. 4)
- Reference D : 28  $\Delta S$  profiles from 8 different batteries at different SOH ( represented in Fig. 5)
- Reference E: 4  $\Delta S$  profiles from 4 different batteries at fresh state ( represented in Fig. 6)
- 20 - Reference F: 10  $\Delta S$  profiles from 10 different batteries at fresh state ( represented in Fig. 7)

Once the data collected and normalized (represented in Fig. 8), pattern recognition algorithms are used to classify the profiles. Different algorithms are used 22 are tested and compared.

To evaluate the accuracy of the different algorithms a cross validation is carried. The different algorithms learn on 75 % of data and they are been asked to classify the 25% remaining.

By looking at the results at Table 2, the conclusion is that by using pattern recognition algorithms, it is possible to recognize a battery reference by its entropy profiles.

For example, SVM (Support vector machine) performs a perfect classification with the samples. Some algorithms can also provide a confidence on the classification.

Once the battery identified, it is time to estimate the SOH. Of course this step is not

needed if we already know it.

### SOH determination methodology diagram

This diagram explains the process in order to estimate battery SOH from thermodynamic data. The process is based on two main tasks: learning and estimating.  
5 The tool using this process is called entropy revealer.

To learn, entropy revealer has to fill and update a database as well as to generate models. This happens when thermodynamics data and information on the battery is already known , such as reference, chemistry or SOH.

- 10 • To estimate SOH from thermodynamic data, entropy revealer will first identify the battery type if not known already. This is done thanks to the database and machine learning models. Once known, SOH is estimated with previously found machine learning models.

### 15 SOH estimation

#### SOH estimation from $\Delta S$

The strategy is going to be similar at the one used previously for identification. Pattern recognition algorithms will be used to estimate SOH. The model will learn and then estimate SOH.

20 The difference is that instead of identifying a reference, an SOH value is going to be estimated from  $\Delta S$  profiles. To illustrate this, a battery reference is chosen: batteries labeled with the letter A. For a reference four batteries have been aged in the way described in the experimental section.

|              |                        |                         |
|--------------|------------------------|-------------------------|
| 1.1          | Tree                   | Accuracy: 92.9%         |
| Last change: | Complex Tree           | 20/20 features          |
| 1.2          | Tree                   | Accuracy: 92.8%         |
| Last change: | Medium Tree            | 20/20 features          |
| 1.3          | Tree                   | Accuracy: 86.5%         |
| Last change: | Simple Tree            | 20/20 features          |
| 1.4          | Linear Discriminant    | Accuracy: 87.3%         |
| Last change: | Linear Discriminant    | 20/20 features          |
| 1.5          | Quadratic Discriminant | Accuracy: 97.8%         |
| Last change: | Quadratic Discriminant | 20/20 features          |
| 1.6          | SVM                    | Accuracy: 96.8%         |
| Last change: | Linear SVM             | 20/20 features          |
| 1.7          | SVM                    | Accuracy: <b>100.0%</b> |
| Last change: | Quadratic SVM          | 20/20 features          |
| 1.8          | SVM                    | Accuracy: <b>100.0%</b> |
| Last change: | Cubic SVM              | 20/20 features          |
| 1.9          | SVM                    | Accuracy: 89.7%         |
| Last change: | Fine Gaussian SVM      | 20/20 features          |
| 1.10         | SVM                    | Accuracy: <b>100.0%</b> |
| Last change: | Medium Gaussian SVM    | 20/20 features          |
| 1.11         | SVM                    | Accuracy: 87.3%         |
| Last change: | Coarse Gaussian SVM    | 20/20 features          |
| 1.12         | KNN                    | Accuracy: <b>100.0%</b> |
| Last change: | Fine KNN               | 20/20 features          |
| 1.13         | KNN                    | Accuracy: 91.3%         |
| Last change: | Medium KNN             | 20/20 features          |
| 1.14         | KNN                    | Accuracy: 30.2%         |
| Last change: | Coarse KNN             | 20/20 features          |
| 1.15         | KNN                    | Accuracy: 92.9%         |
| Last change: | Cosine KNN             | 20/20 features          |
| 1.16         | KNN                    | Accuracy: 92.1%         |
| Last change: | Cubic KNN              | 20/20 features          |
| 1.17         | KNN                    | Accuracy: 99.2%         |
| Last change: | Weighted KNN           | 20/20 features          |
| 1.18         | Ensemble               | Accuracy: 30.2%         |
| Last change: | Boosted Trees          | 20/20 features          |
| 1.19         | Ensemble               | Accuracy: 99.2%         |
| Last change: | Bagged Trees           | 20/20 features          |
| 1.20         | Ensemble               | Accuracy: 98.4%         |
| Last change: | Subspace Discriminant  | 20/20 features          |
| 1.21         | Ensemble               | Accuracy: <b>100.0%</b> |
| Last change: | Subspace KNN           | 20/20 features          |
| 1.22         | Ensemble               | Accuracy: 87.3%         |
| Last change: | RUSBoosted Trees       | 20/20 features          |

**Table 2.** Comparison of different pattern recognition algorithms that identify a battery reference

First an OCV region is chosen. For this reference the range [3.7; 3.9] is considered. The reason is that the  $\Delta S$  profiles vary more significantly with cycling in this area.

Therefore, to train the pattern recognition models,  $\Delta S$  data in the chosen region are going to be used as input to the model. And SOH data computed from energy are considered for output.

Data used are in Table 3. Data from each battery is in one color. The goal is to link  $\Delta S$  values at 3.7, 3.75, 3.8, 3.85 and 3.9 Volt to the output SOH.

So for one line of Table 3, we have to find a model that can predict SOH, the last column. This prediction should be based on the five  $\Delta S$  values, the first five columns.

The model found has to work for all the lines of Table 3.

The simplest model is the multiple linear one. It can be written this way in our case:

$$SOH = a_1 * \Delta S(3.7) + a_2 * \Delta S(3.75) + a_3 * \Delta S(3.8) + a_4 * \Delta S(3.85) + a_5 * \Delta S(3.9) + c$$

It is then needed to find the six parameters to get the model (  $a_1$  ,  $a_2$ ,  $a_3$ ,  $a_4$ ,  $a_5$  and  $c$  ) and validate it.

|    | $\Delta S$ at 3.7V<br>(J/K/mol) | $\Delta S$ at 3.75 V<br>(J/K/mol) | $\Delta S$ at 3.8 V<br>(J/K/mol) | $\Delta S$ at 3.85V (J/K/mol) | $\Delta S$ at 3.9 V<br>(J/K/mol) | SOH (%) |
|----|---------------------------------|-----------------------------------|----------------------------------|-------------------------------|----------------------------------|---------|
| 1  | 16.2512                         | 12.0876                           | 2.9175                           | 3.0505                        | 5.1176                           | 100     |
| 2  | 19.6495                         | 16.6629                           | 9.2703                           | 4.8147                        | 6.5785                           | 95.5806 |
| 3  | 17.0372                         | 15.0715                           | 8.4591                           | 3.9121                        | 5.476                            | 91.7678 |
| 4  | 16.1038                         | 15.848                            | 9.9115                           | 3.9968                        | 5.348                            | 89.8614 |
| 5  | 17.007                          | 17.5516                           | 9.9724                           | 5.0274                        | 5.1774                           | 87.6651 |
| 6  | 17.0293                         | 16.8205                           | 11.1173                          | 5.5732                        | 5.11                             | 84.687  |
| 7  | 17.1642                         | 16.9583                           | 12.6148                          | 6.6178                        | 5.1554                           | 84.1361 |
| 8  | 17.4857                         | 17.5343                           | 14.312                           | 5.3294                        | 4.9653                           | 82.3942 |
| 9  | 15.8957                         | 13.6904                           | 4.2626                           | 2.9626                        | 5.0441                           | 100     |
| 10 | 20.4008                         | 17.7164                           | 7.2951                           | 4.5617                        | 6.5331                           | 97.747  |
| 11 | 17.5181                         | 15.4227                           | 8.1058                           | 3.6829                        | 5.4391                           | 97.8943 |
| 12 | 16.0911                         | 15.773                            | 9.2852                           | 5.0771                        | 5.406                            | 91.5078 |

|   |         |         |         |        |        |         |
|---|---------|---------|---------|--------|--------|---------|
| 1 | 16.8859 | 16.4492 | 10.3556 | 5.404  | 5.612  | 89.5123 |
| 3 |         |         |         |        |        |         |
| 1 | 17.3915 | 16.7929 | 12.1482 | 5.1064 | 5.2267 | 88.5441 |
| 4 |         |         |         |        |        |         |
| 1 | 17.2416 | 16.9324 | 12.5677 | 6.721  | 5.3049 | 86.5905 |
| 5 |         |         |         |        |        |         |
| 1 | 17.8504 | 17.6292 | 13.6603 | 7.4829 | 5.17   | 84.7103 |
| 6 |         |         |         |        |        |         |
| 1 | 16.2274 | 12.0963 | 3.2596  | 2.966  | 4.9968 | 100     |
| 7 |         |         |         |        |        |         |
| 1 | 20.0402 | 18.2706 | 9.6853  | 4.8683 | 6.7784 | 96.1938 |
| 8 |         |         |         |        |        |         |
| 1 | 17.0678 | 15.9123 | 8.9438  | 3.7977 | 5.5263 | 91.263  |
| 9 |         |         |         |        |        |         |
| 2 | 16.174  | 16.793  | 10.3973 | 5.0481 | 5.0702 | 88.7543 |
| 0 |         |         |         |        |        |         |
| 2 | 17.1127 | 17.2736 | 12.4167 | 5.7159 | 5.1969 | 83.5842 |
| 1 |         |         |         |        |        |         |
| 2 | 17.3729 | 17.3294 | 14.0527 | 7.624  | 4.9263 | 83.8154 |
| 2 |         |         |         |        |        |         |
| 2 | 17.44   | 17.3174 | 14.4978 | 7.9727 | 5.006  | 81.7131 |
| 3 |         |         |         |        |        |         |
| 2 | 15.9723 | 13.1536 | 4.3035  | 2.9073 | 4.9544 | 100     |
| 4 |         |         |         |        |        |         |
| 2 | 19.8995 | 18.9157 | 9.3795  | 4.6881 | 6.5599 | 96.9351 |
| 5 |         |         |         |        |        |         |
| 2 | 17.0723 | 15.6106 | 7.773   | 3.7137 | 5.216  | 92.1466 |
| 6 |         |         |         |        |        |         |
| 2 | 15.9947 | 16.014  | 8.9392  | 4.3833 | 4.955  | 90.2269 |
| 7 |         |         |         |        |        |         |
| 2 | 16.7177 | 16.0324 | 11.516  | 4.5625 | 4.9224 | 88.0199 |
| 8 |         |         |         |        |        |         |
| 2 | 16.6057 | 16.5542 | 12.4441 | 4.6874 | 4.8362 | 87.1979 |
| 9 |         |         |         |        |        |         |
| 3 | 18.8983 | 17.9038 | 14.1798 | 5.4787 | 4.5672 | 83.228  |
| D |         |         |         |        |        |         |
| 3 | 17.2307 | 17.4241 | 14.9859 | 6.8525 | 4.8805 | 82.7027 |
| 1 |         |         |         |        |        |         |

Table 3.  $\Delta S$  values at five OCV and the corresponding SOH

To validate the model a cross-validation is computed. Data are spitted in four sets. Then the pattern recognition algorithm learns with 75 % of data and test the resulting model on the remaining 25% of the data.

The parameters found are:

| a1     | a2     | a3     | a4     | a5     | c       |
|--------|--------|--------|--------|--------|---------|
| 0.8593 | 0.1299 | -      | -      | 0.4448 | 89.1968 |
|        |        | 1.5315 | 0.5339 |        |         |

A prediction can then be done. Line 15, for instance, of table 3 is considered. Parameters found and  $\Delta S$  values will be used to estimate SOH:

$$\widehat{SOH} = 0.8593 * 17.24 + 0.1299 * 16.93 - 1.5315 * 12.57 - 0.5339 * 6.72 + 0.4448 * 5.30 + 89.2$$

$$\widehat{SOH} = 85.7 \%$$

5

The real value is **86.6 %**. The error in SOH is less than 1 % for this estimation.

Same can be done with line 18, which correspond to another battery and another ageing:

$$\widehat{SOH} = 0.8593 * 20.04 + 0.1299 * 18.27 - 1.5315 * 9.68 - 0.5339 * 4.87 + 0.4448 * 6.78 + 89.2$$

$$\widehat{SOH} = 94.4 \%$$

10

The real value is **96.2 %**. The model is still good enough, the difference is 1.8 %.

When considering multiple linear regressions, results are displayed in Fig. 20. The graphs in the first row represent input data:  $\Delta S$  (OCV) profiles for the four batteries in the [3.7; 3.9] OCV range.

15 The graphs in the second row represent the real measured SOH of the four batteries. The estimated ones by multiple linear regressions and cross validation are also represented.

20 The maximum error on the SOH estimation is 3.77 % and the average error is 1.57 %. It is then reasonable to consider that by using  $\Delta S$  profiles and machine learning tools, one can estimate SOH with good accuracy in a robust way.

To reinforce this idea, Gaussian process regression is also tested. It gives another model with a different relationship between  $\Delta S$  and SOH, but the principle is the same. It is a more complex model. Results are represented in Fig. 21.

25 The maximum error 3.08 % and the average error is 1.33%. This model gives even better accuracy, however the complexity is increased.

### SOH estimation from $\Delta H$

So far, only entropy variation profiles have been used. However it is also possible

to estimate SOH from enthalpy variation profiles.

Same as for  $\Delta S$  has been done for  $\Delta H$  in the same OCV region. Findings are that higher complex model is needed to estimate SOH compared to  $\Delta S$ .

Multiple linear regressions don't work well, so results are not presented here.

5 Gaussian process regression performs good results. According to Fig. 22 the maximum error is 3.46 % and the average error is 1.48%. Results which are comparable to SOH estimated from  $\Delta S$  with Gaussian process regression.

### SOH estimation for another chemistry

10 To reinforce the idea of universality of the methodology, this latter has been applied to another dataset. Cycling data of a 44 mAh Lib coin cell is available until 1000 cycles. The cell was cycled at C/2 rate at ambient temperature. Thermodynamic data and Energy are measured every 100 cycles.

This time  $\Delta S$  (SOC) is considered instead of  $\Delta S$  (OCV) to show that both can be used. At Fig. 23,  $\Delta S$  (SOC) profiles are plotted at different ageing. The region [65%; 15 90%] SOC is chosen because the profiles evolves more in this area. Data plotted in Fig. 24 are then used as input to find the model. To be more accurate, six  $\Delta S$  values are used: the ones at 65, 70, 75, 80, 85 and 90% SOC.

Fig.25 shows the evolution of SOH with cycling; they are the output data used to 20 find the model. As previously, multiple linear regression and Gaussian process regression are tested to find a model.

Multiple linear regression give a good estimation. The max error is 3.4 % and the mean error is 2.2 %. The estimated and measures SOH are plotted on Figs. 26 and 27.

For the Gaussian process regression a max error of 0.5 % is found. The mean 25 error is 0.2 %. This model is very accurate. It is demonstrated here that even with another battery composition, the methodology developed is applicable to estimate SOH accurately.

30

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## CLAIMS

1. A method for online assessing a state of health (SOH) of an electrochemical cell, said method comprising a step for estimating said state of health (SOH) of said electrochemical cell from thermodynamics data related to said cell, said thermodynamics data including entropy and enthalpy variations  $\Delta S$ ,  $\Delta H$  within said cell.
2. The method of Claim 1, further comprising a step for identifying the reference and chemistry of the electrochemical cell.
3. The method of Claim 1, further comprising a step for implementing a model providing relationships between entropy  $\Delta S$  and the state of health (SOH) for the electrochemical cell.
4. The method of Claim 3, wherein the  $\Delta S$ -SOH model has been previously obtained off line from analyzing entropy data and relating said entropy data analysis to chemical characteristics of the electrochemical cell and then to the state of health (SOH) of said cell.
5. The method of Claim 4, wherein the  $\Delta S$ -SOH model is implemented within an entropy-revealer tool dedicated to state of health (SOH) assessment.
6. The method of Claim 6, wherein the entropy-revealer tool is adapted to fill and update a database on thermodynamics and/or chemistry and/or state of health (SOH).
7. The method of Claim 5 or 6, wherein the entropy-revealer tool is adapted to generate machine-learning models.
8. The method of Claim 7, implemented for a not already known battery, wherein the entropy-revealer tool is adapted to identify the type of said battery by accessing the database and machine learning models, and then to deliver an estimation of the state of health (SOH) with previously found learning models.
9. The method of any of Claims 4 to 8, wherein the off-line entropy analysis detects particular open-circuit voltage (OCV) values where  $\Delta S$  changes are more pronounced as

the electrochemical cell ages.

10. The method of any of Claim 3 to 9, wherein the relationships between the entropy variations  $\Delta S$  and the state of health (SOH) are established by using pattern recognition  
5 algorithms.

11. The method of Claim 1, wherein the step of estimating the state of health (SOH) comprises a step of estimating said state of health (SOH) from entropy variation  $\Delta S$  profiles.  
10

12. The method of Claim 1, wherein the step of estimating the state of health (SOH) comprises a step of estimating said state of health (SOH) from enthalpy variation  $\Delta H$  profiles.  
15

13. The method of Claim 1, wherein the entropy-revealer tool is adapted to estimate the state of health (SOH) of an electrochemical cell including a chemistry not yet referenced in the database.

14. The method of Claim 1, wherein the step of estimating the state of health (SOH) from thermodynamics data comprises:  
20

- measuring profiles of open-circuit voltage (OCV),  $\Delta S$  and  $\Delta H$ , for different battery references and chemistries,
- measuring profiles of OCV,  $\Delta S$  and  $\Delta H$ , for different battery states of health,
- defining which part of the profiles is the most interesting regarding identification  
25 and SOH estimation.
- finding a relationship between OCV,  $\Delta S$  and  $\Delta H$  profiles in one hand and battery reference or chemistry in another hand with a model.

15. The method of Claim 14, wherein the step of estimating the state of health (SOH) of a battery comprises:  
30

- measuring thermodynamics profiles,
- identifying the reference of said battery by using the entropy-revealer tool and from said measured thermodynamics profiles,
- estimating the state of health (SOH) by using said entropy-revealer tool and from

said measured thermodynamics profiles.

16. A system for online assessing a state of health (SOH) of an electrochemical cell, said system comprising means for estimating said state of health (SOH) of said  
5 electrochemical cell from thermodynamics data related to said cell, said thermodynamics data including entropy and enthalpy variations  $\Delta S$ ,  $\Delta H$  within said cell.

17. The SOH assessment system of Claim 1, further comprising means for identifying  
the reference and chemistry of the electrochemical cell.  
10

18. The SOH assessment system of Claim 16, further comprising means for  
implementing a model providing relationships between entropy  $\Delta S$  and the state of health  
(SOH) for the electrochemical cell.

19. The SOH assessment system of Claim 18, further comprising an entropy-revealer  
tool implementing the  $\Delta S$ -SOH model.  
15

20. The SOH assessment system of Claim 19, further comprising a database on  
thermodynamics and/or chemistry and/or state of health (SOH), said database being filled  
and updated by the entropy-revealer tool.  
20

21. The SOH assessment system of Claim 19, implementing machine-learning  
models generated by the entropy-revealer tool.

22. The SOH assessment system of Claim 19, further comprising means for detecting  
particular open-circuit voltage (OCV) values where  $\Delta S$  changes are more pronounced as  
the electrochemical cell ages.  
25

23. The SOH assessment system of Claim 19, implementing pattern recognition  
algorithms used for establishing the relationships between the entropy variations  $\Delta S$  and  
the state of health (SOH).  
30

24. The SOH assessment system of Claim 19, wherein the SOH estimation means  
comprise  
35 - means for measuring profiles of open-circuit voltage (OCV),  $\Delta S$  and  $\Delta H$ , for

different battery references and chemistries,

- means for measuring profiles of OCV,  $\Delta S$  and  $\Delta H$ , for different battery states of health,

- means for defining which part of the profiles is the most interesting regarding identification and SOH estimation.

- Means for finding a relationship between OCV,  $\Delta S$  and  $\Delta H$  profiles in one hand and battery reference or chemistry in another hand with a model.

25. The SOH assessment system of Claim 19, wherein the SOH estimation means  
10 comprise:

- means for measuring thermodynamics profiles,

- means for identifying the reference of said battery by using the entropy-revealer tool and from said measured thermodynamics profiles,

- means for estimating the state of health (SOH) by using said entropy-revealer tool  
15 and from said measured thermodynamics profiles.

26. A system for fast-charging a rechargeable battery with terminals connected to internal electrochemical cells, said fast-charging system comprising:

- a power supply connected to said rechargeable battery and arranged for applying a  
20 time-varying charging voltage to said battery terminals, thereby generating a charging current resulting in charging of said electrochemical cells,

- a charging-control processor for controlling said power supply,

said fast-charging system further comprising a system for online assessing a state of health (SOH) of said battery, said SOH assessment system comprising means for  
25 estimating said state of health (SOH) of said electrochemical cell from thermodynamics data related to said battery, said thermodynamics data including entropy and enthalpy variations  $\Delta S$ ,  $\Delta H$  within said cell.

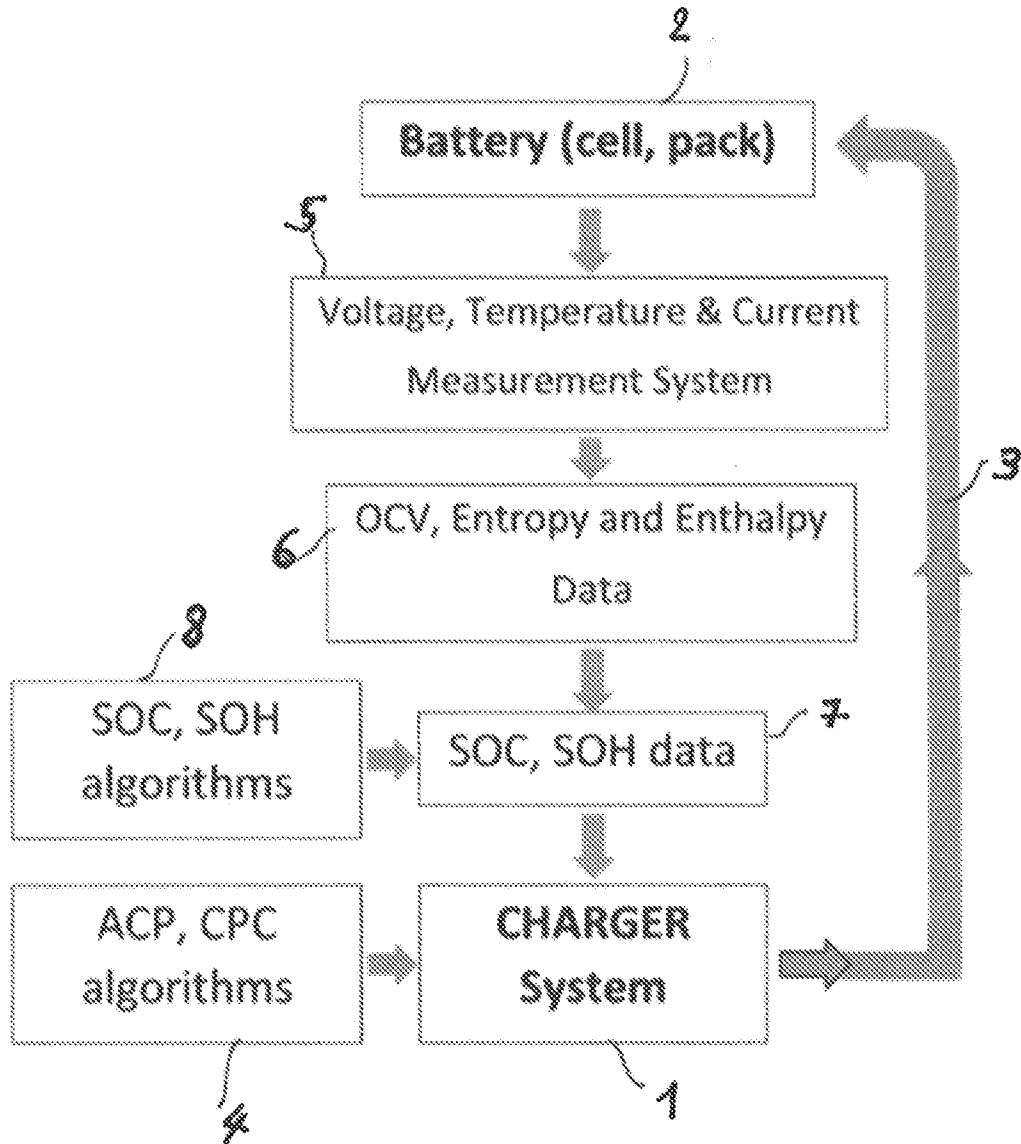


FIG.1

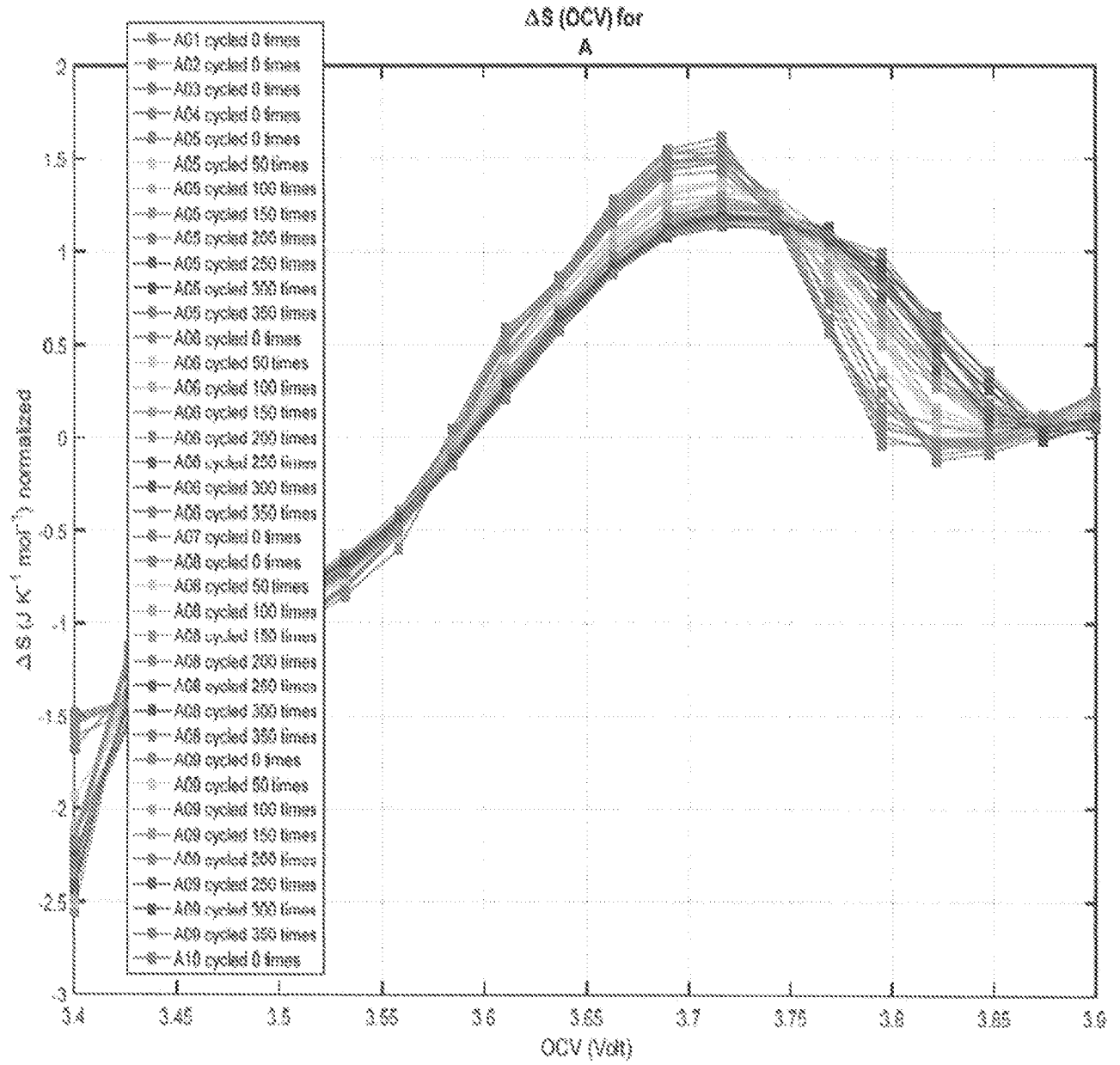
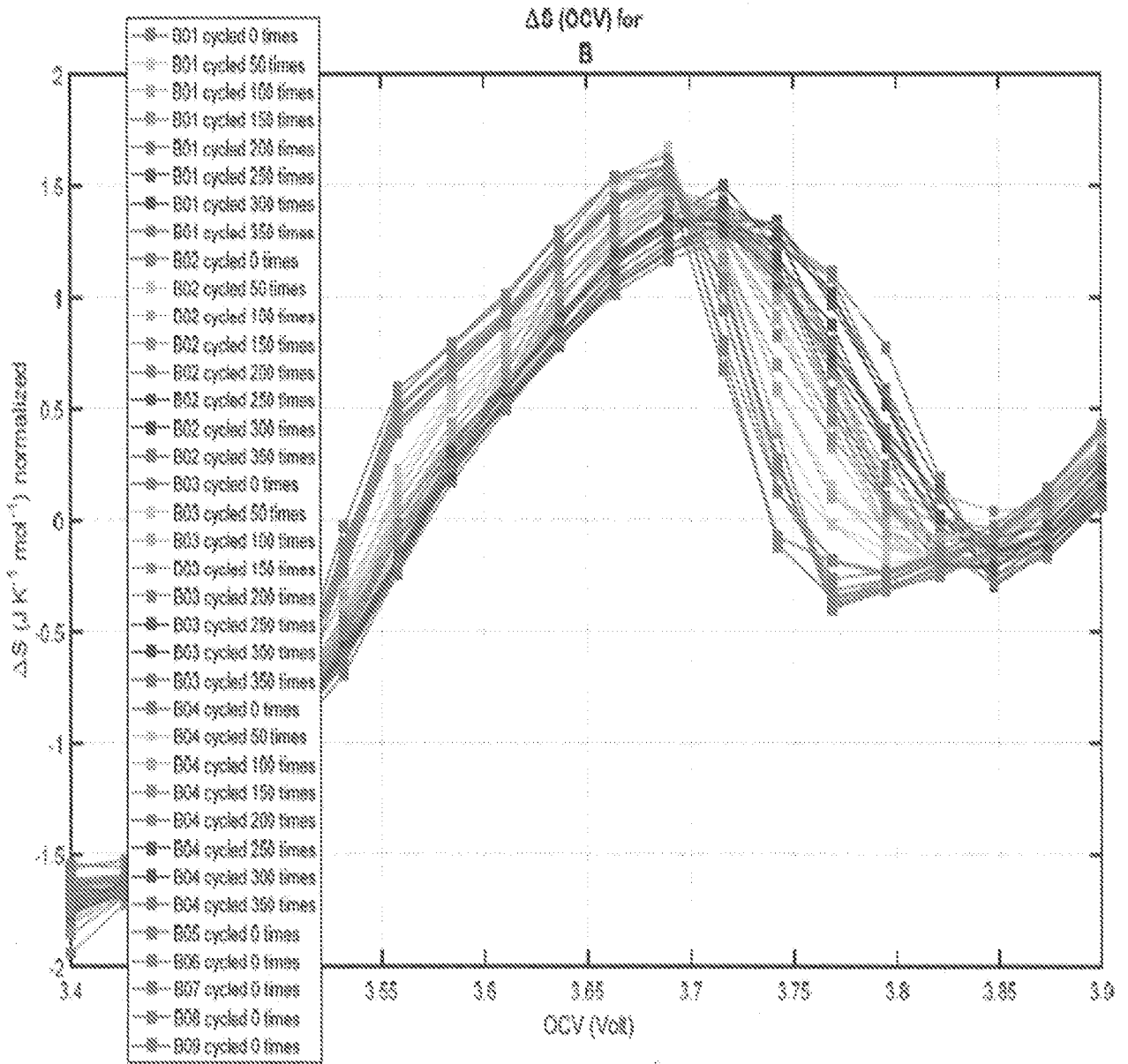


FIG.2



**FIG.3**

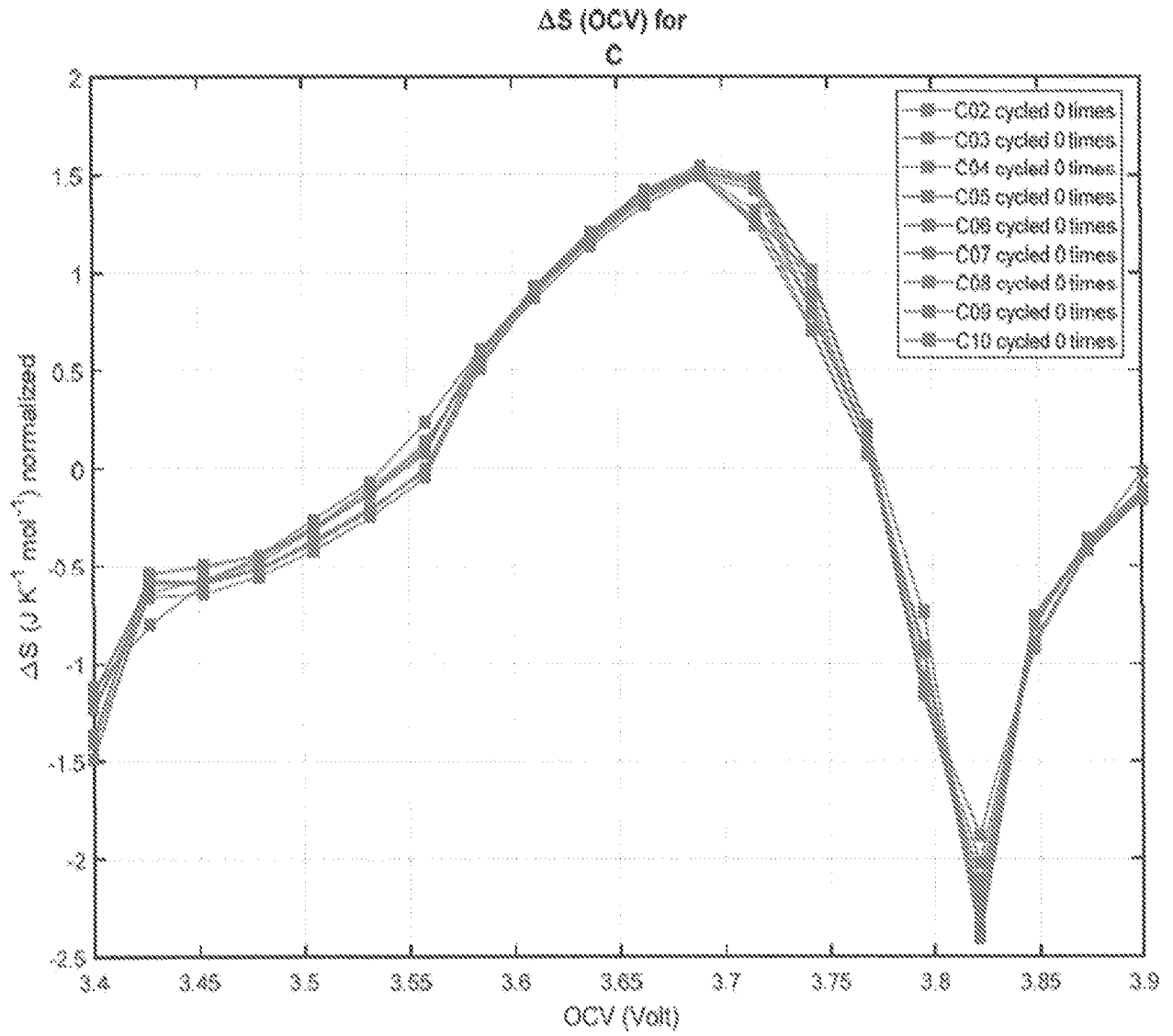
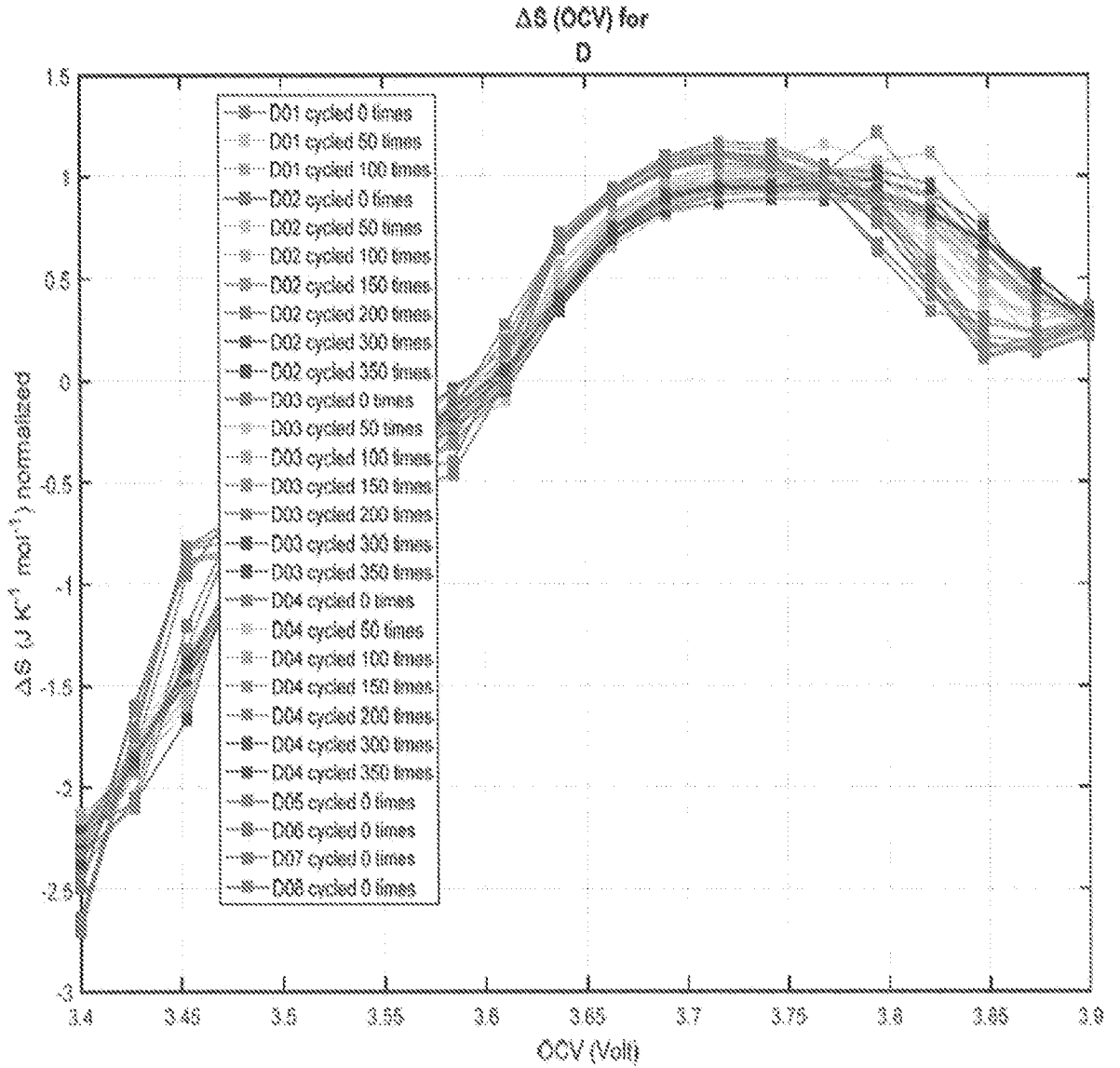


FIG.4



**FIG.5**

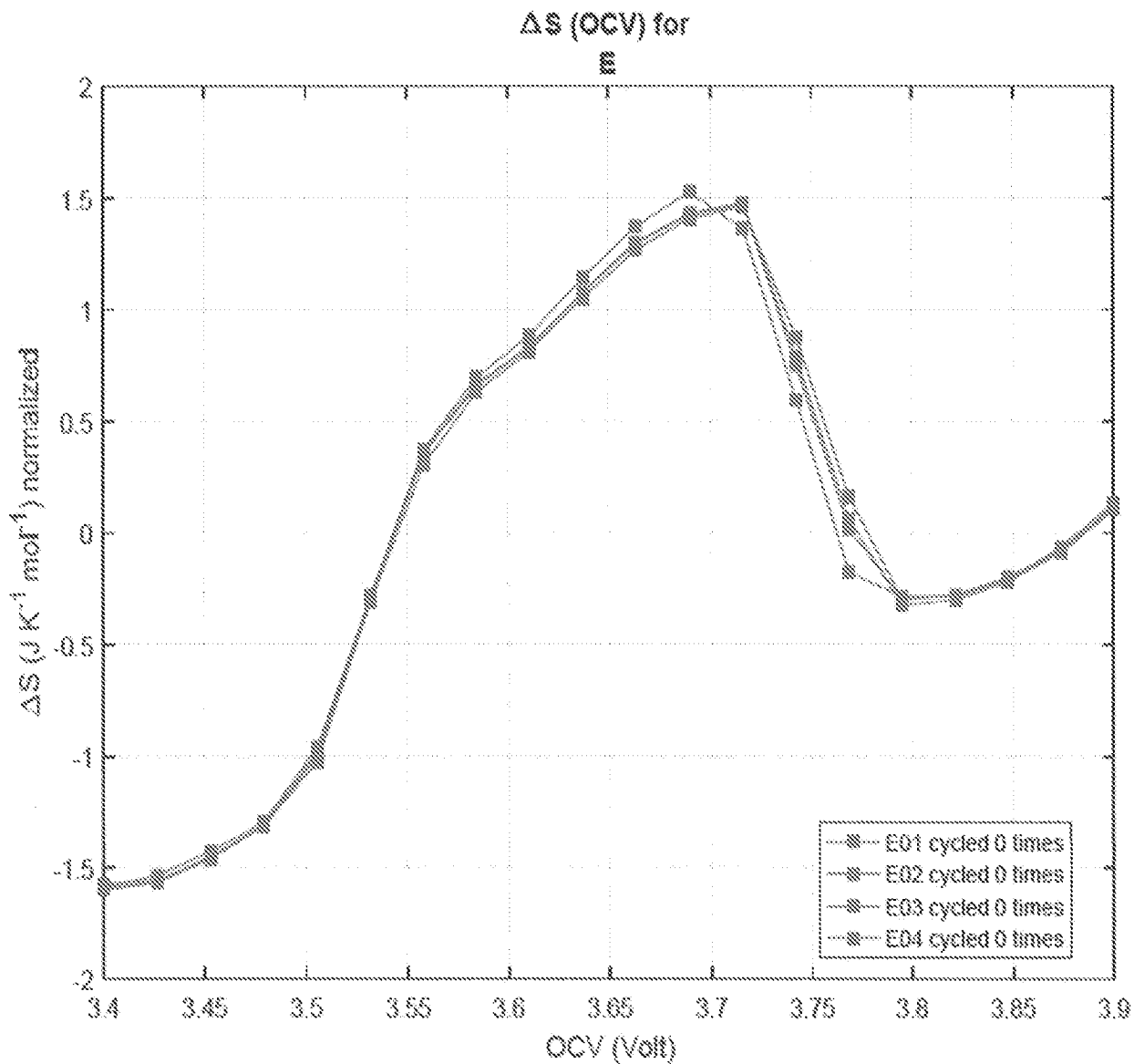


FIG.6

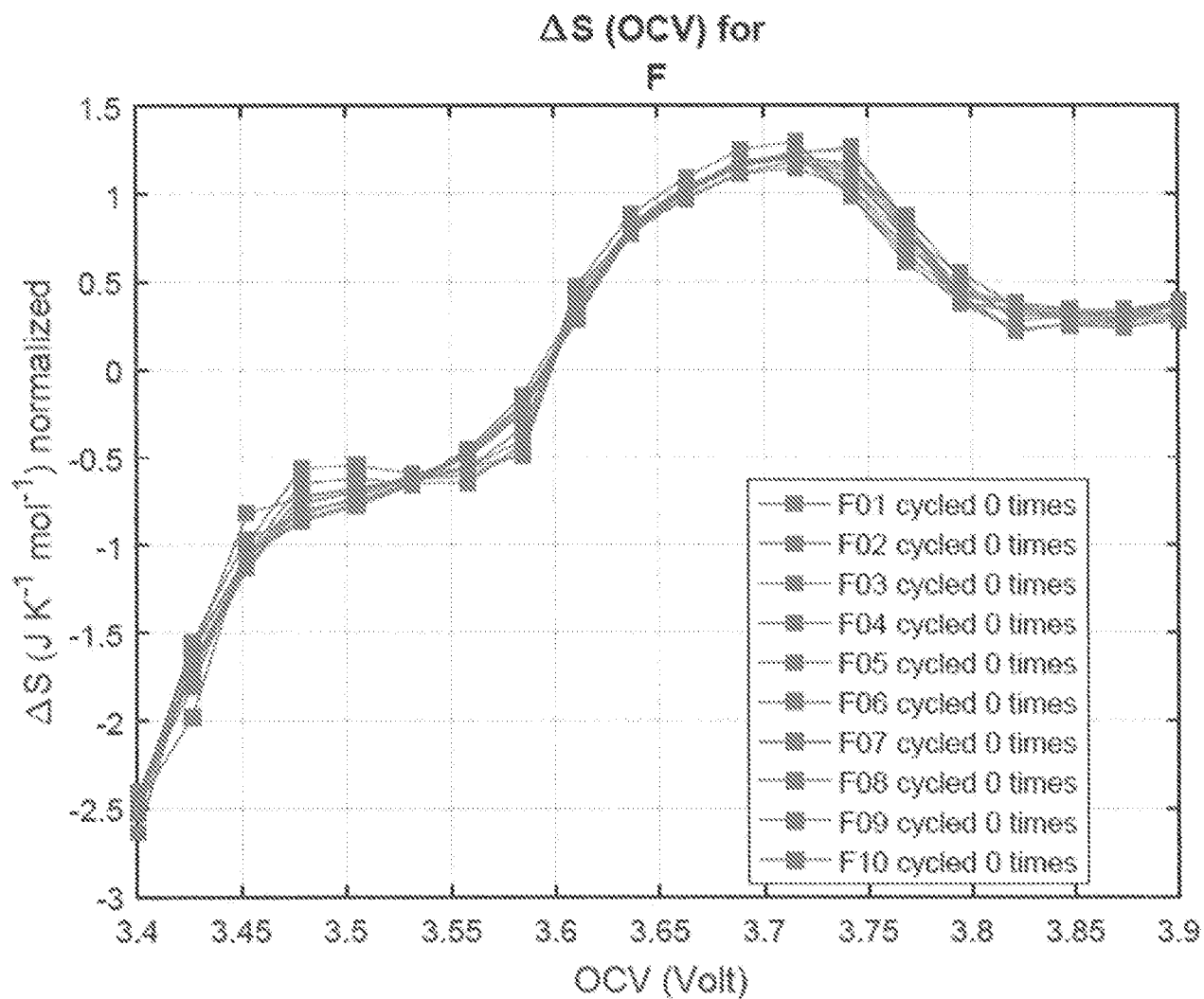


FIG.7

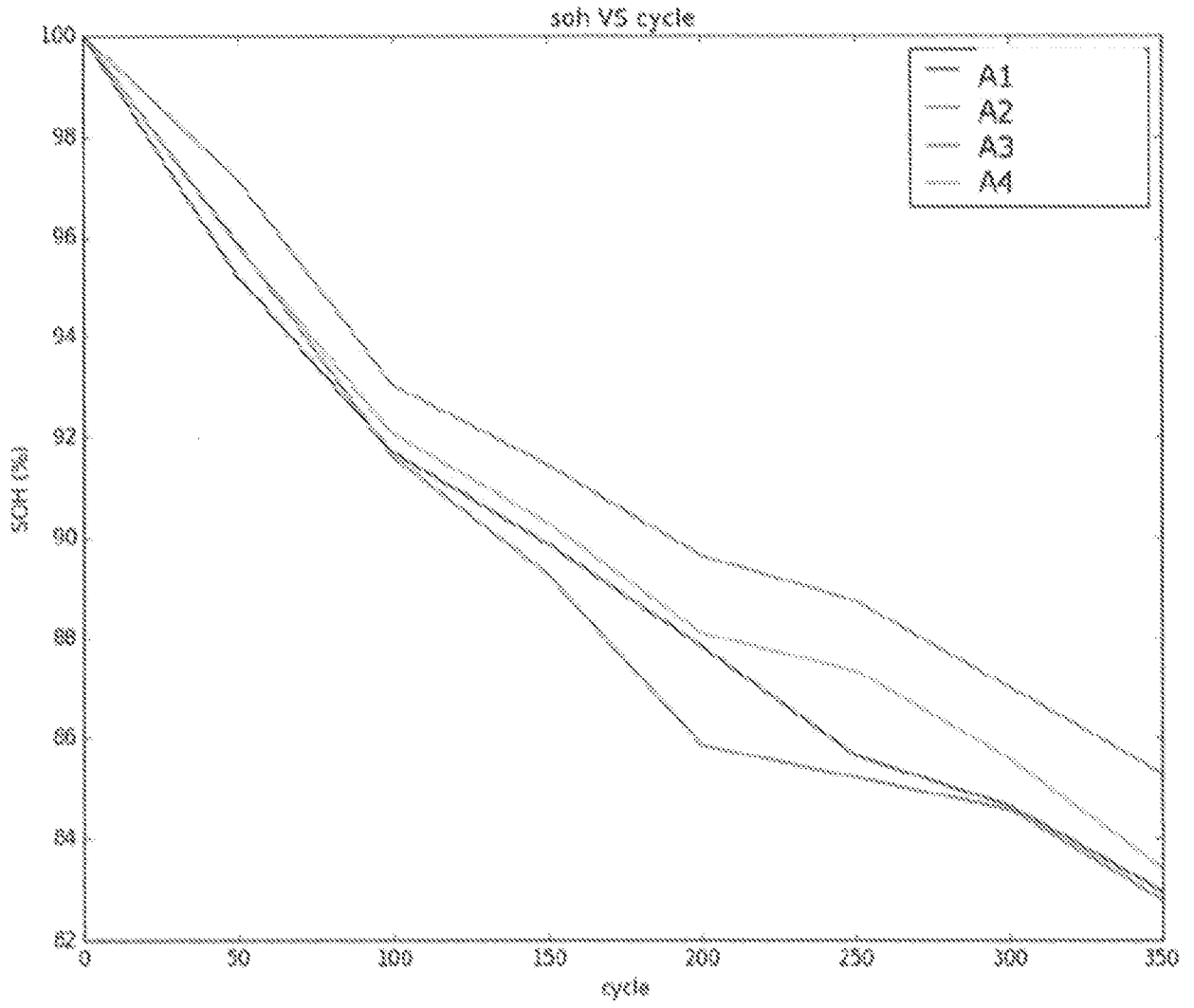


FIG.8

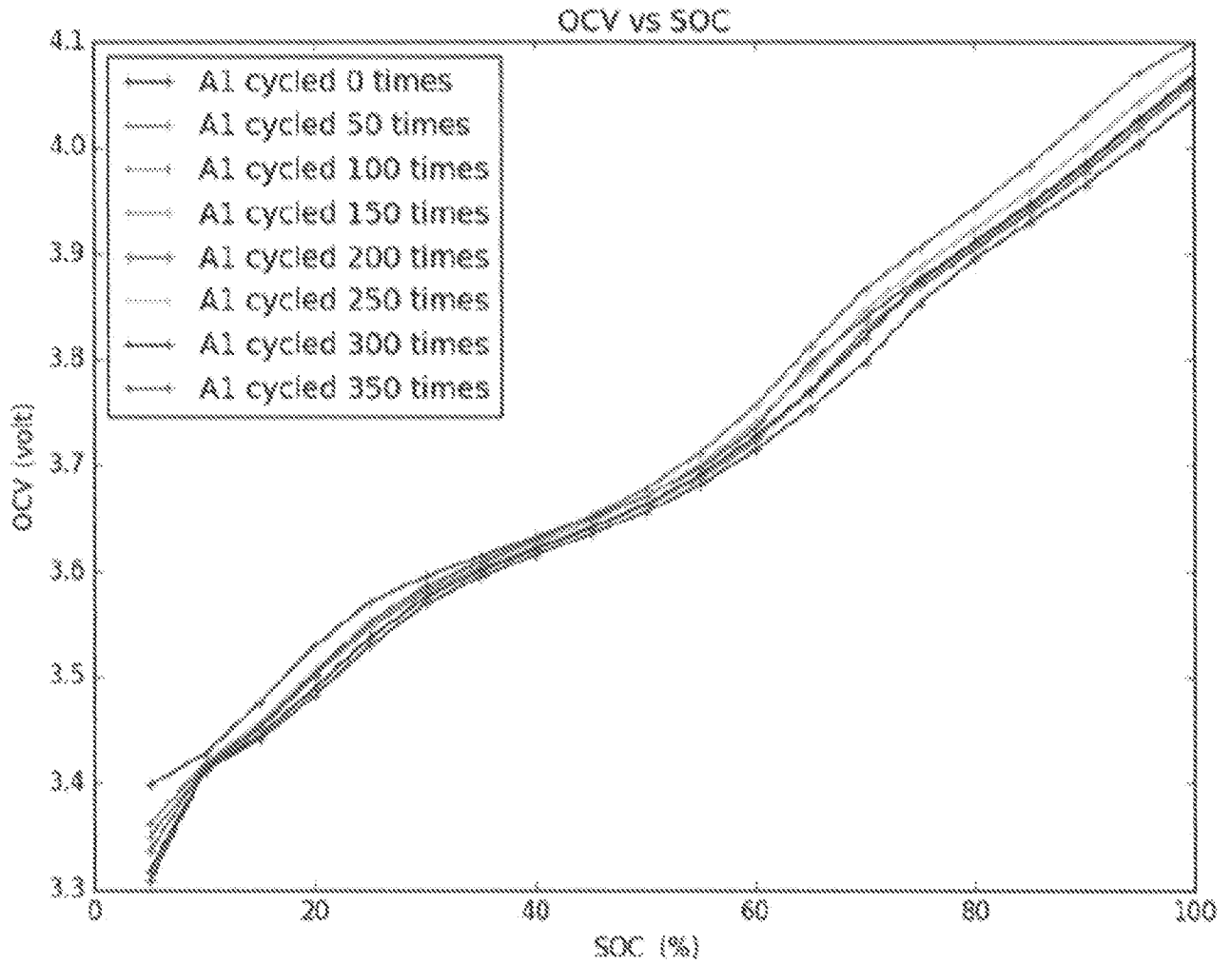


FIG.9

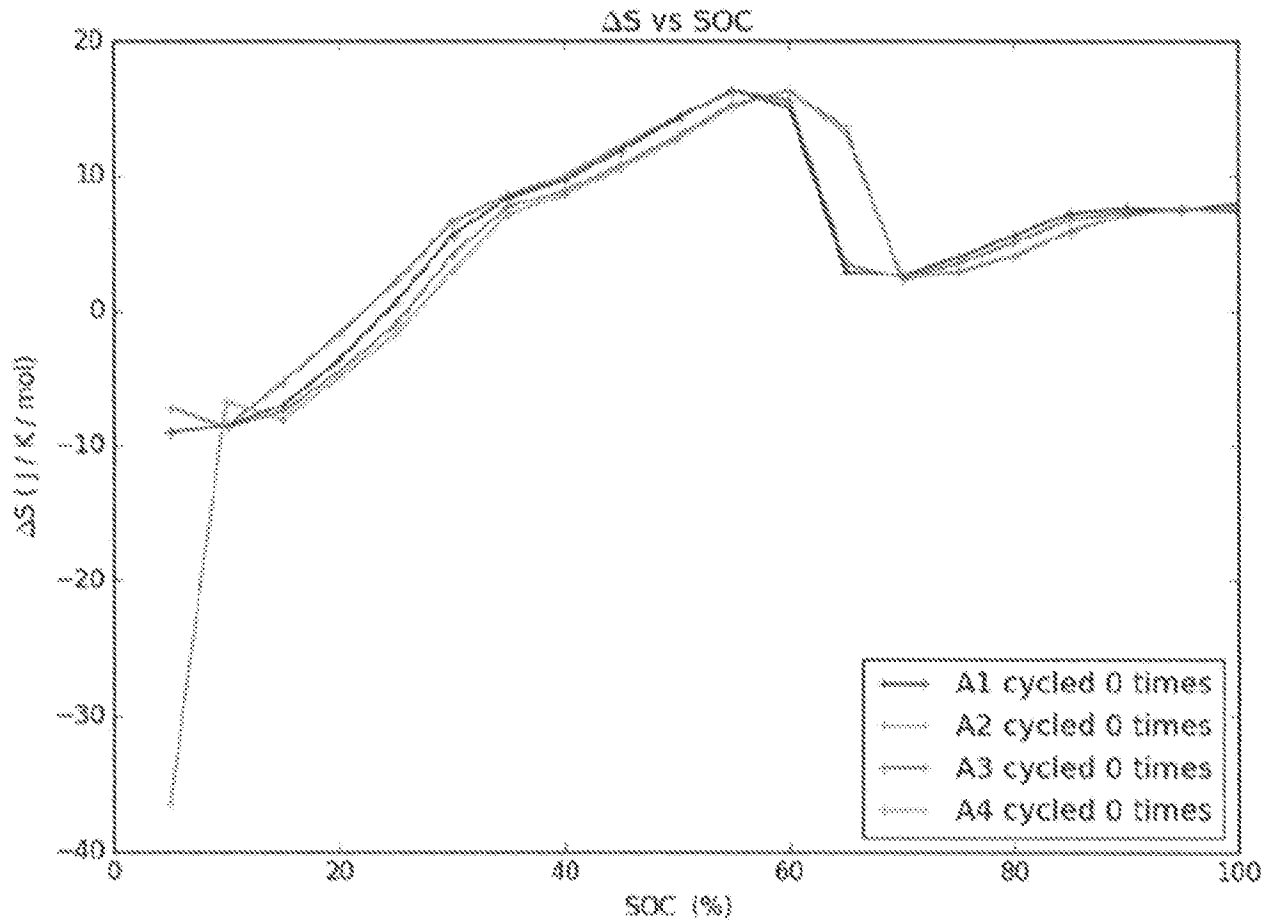


FIG.10

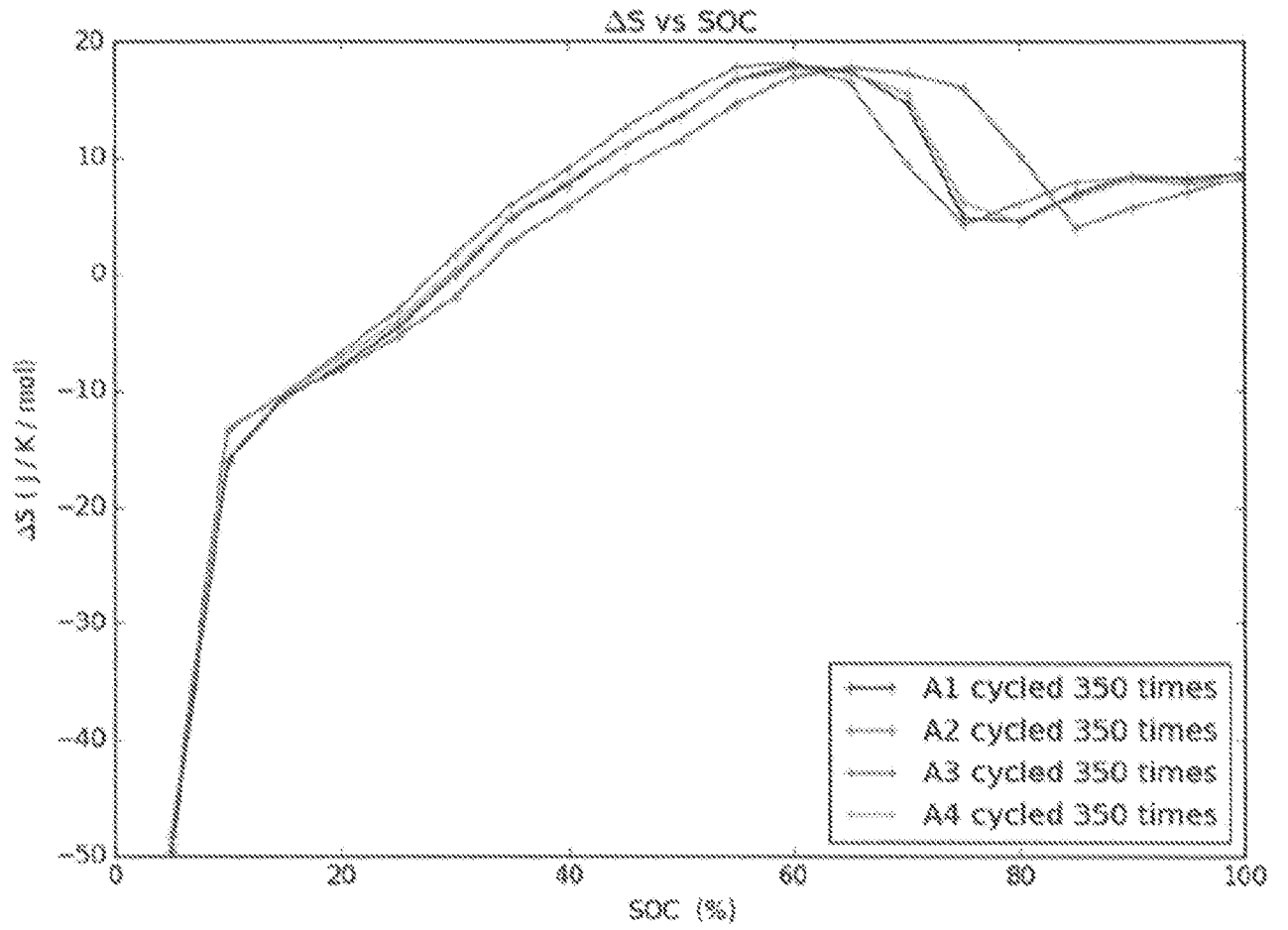


FIG.11

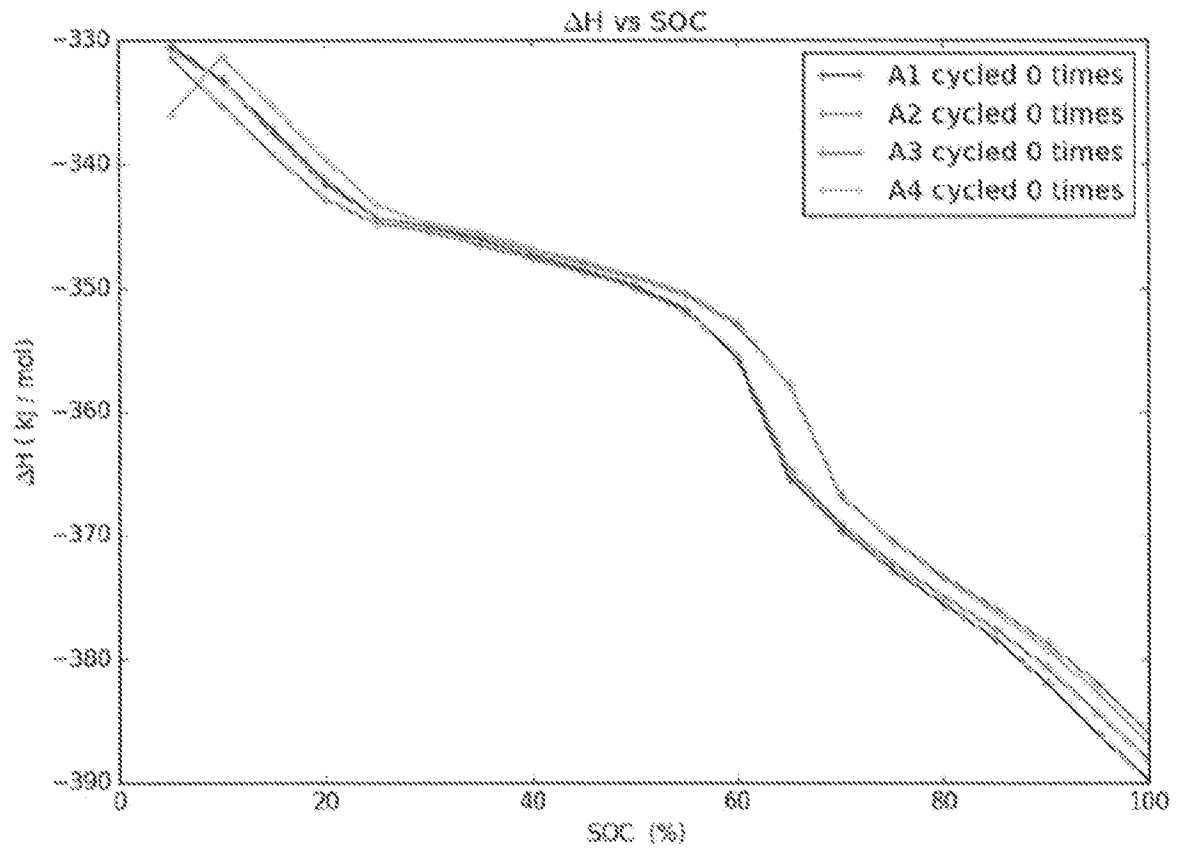
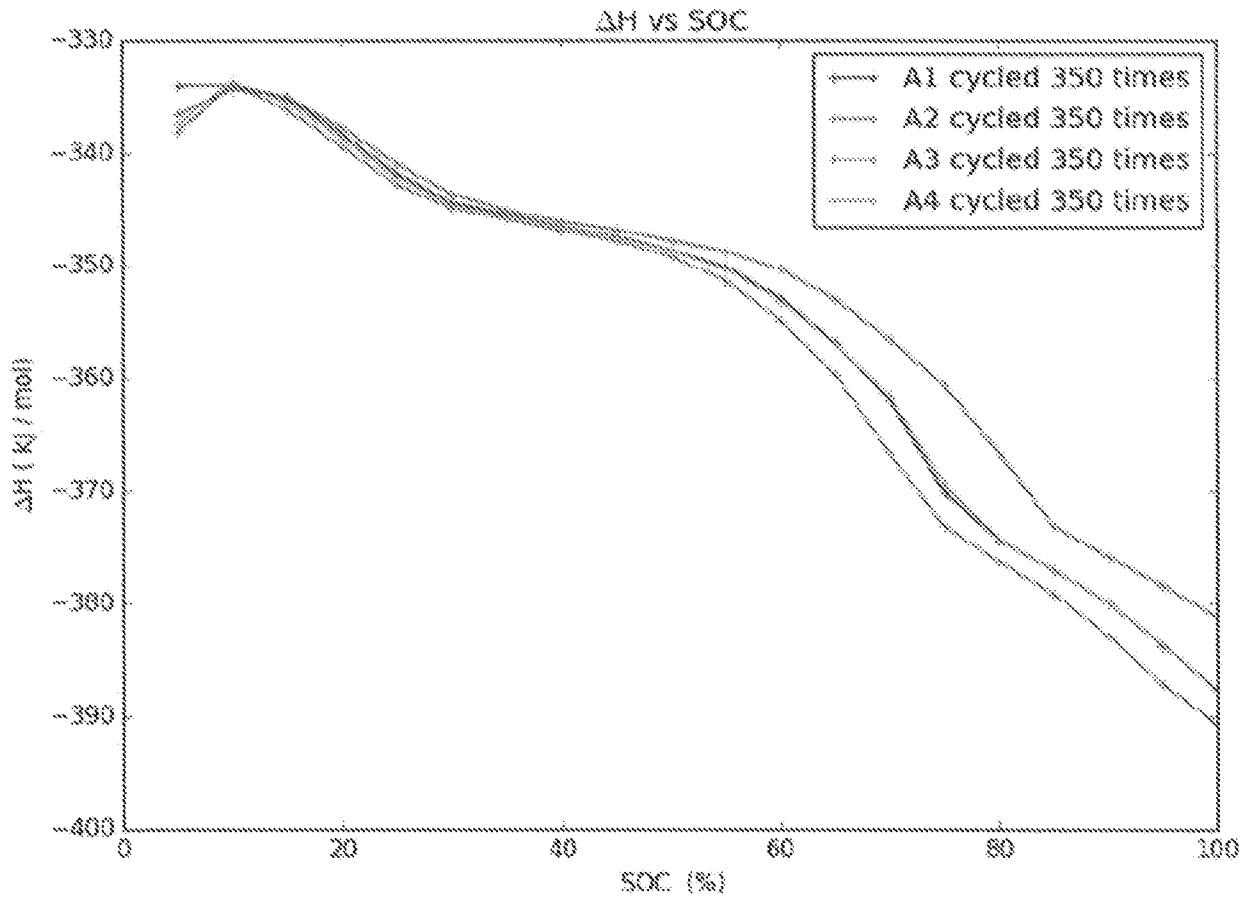


FIG.12



**FIG.13**

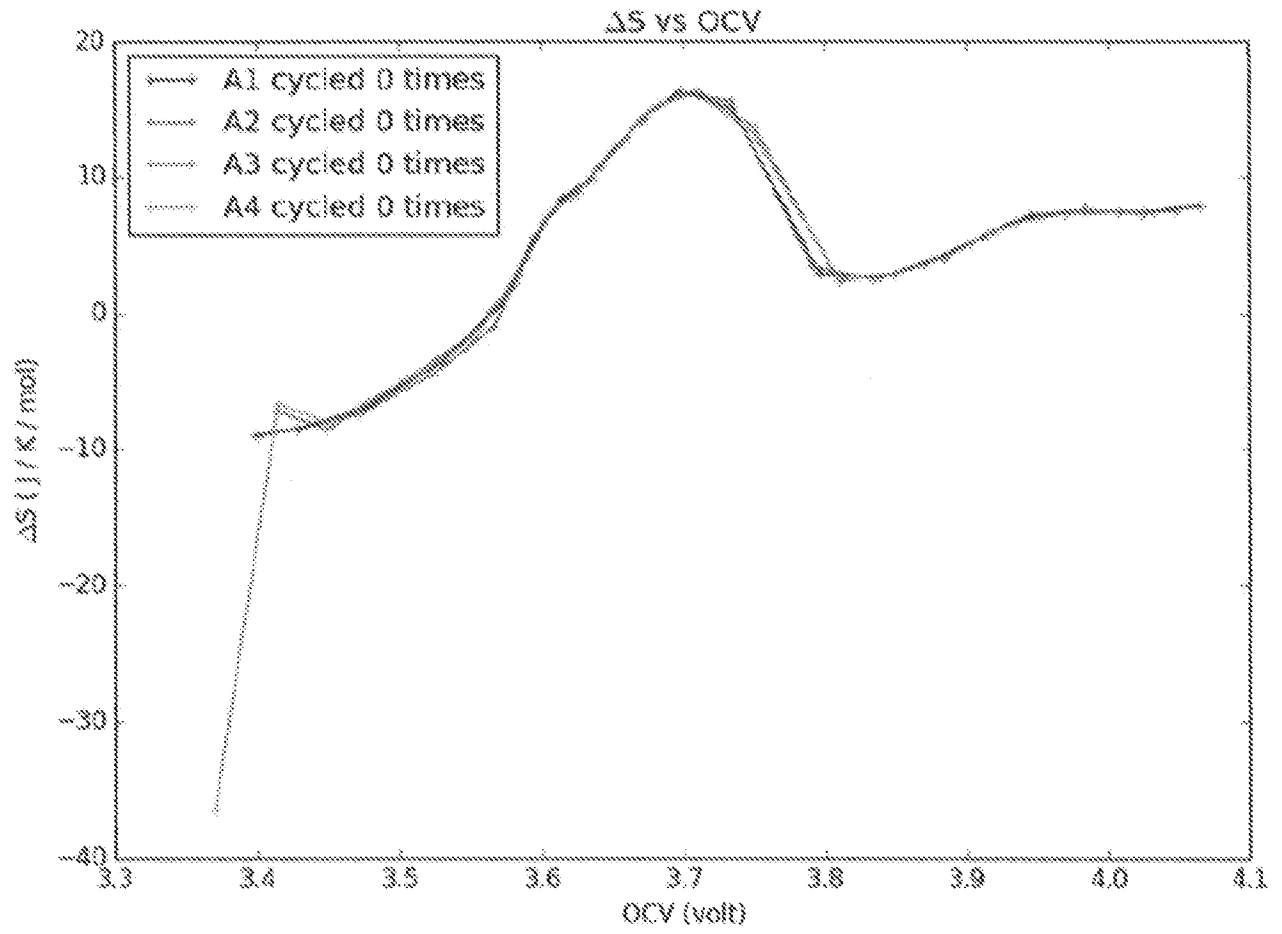


FIG.14

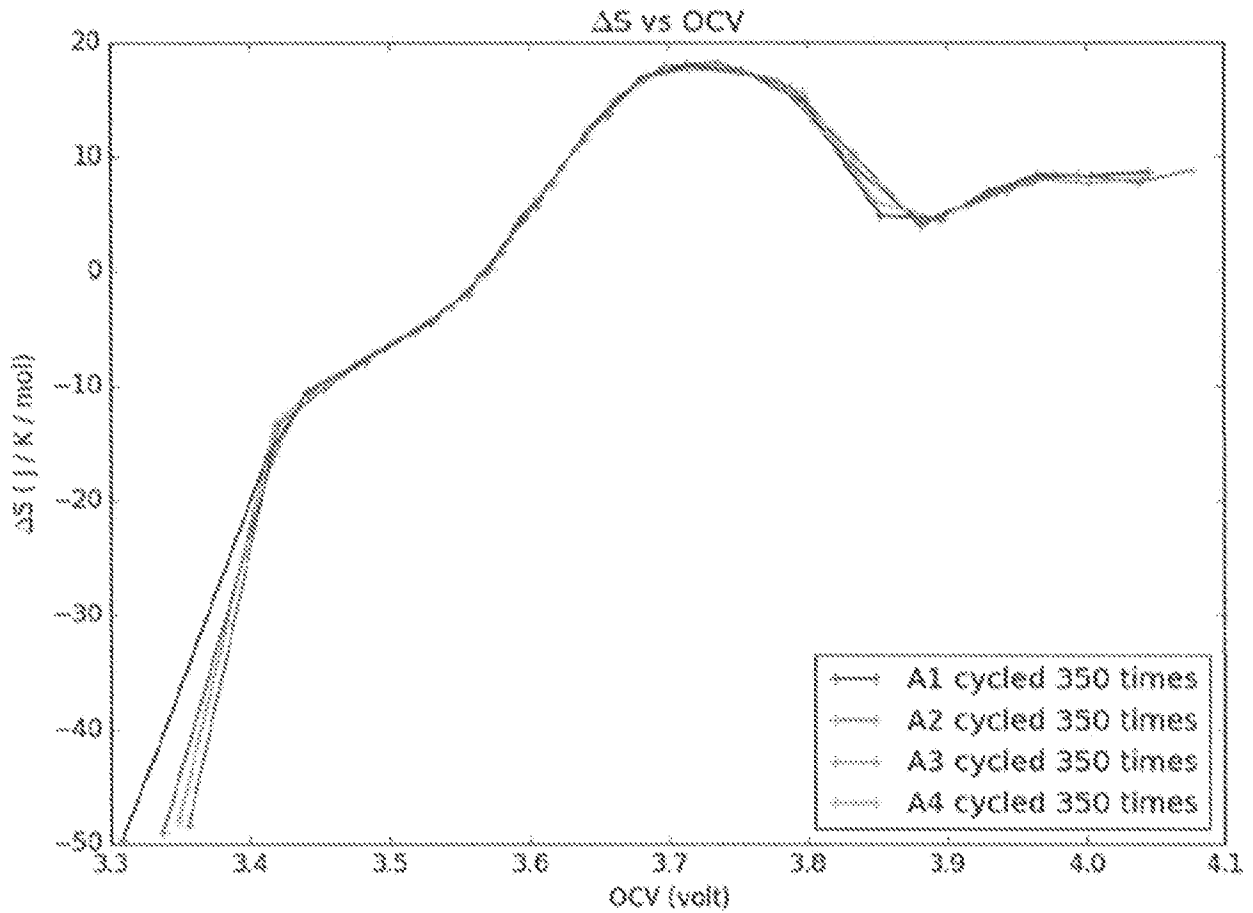


FIG.15

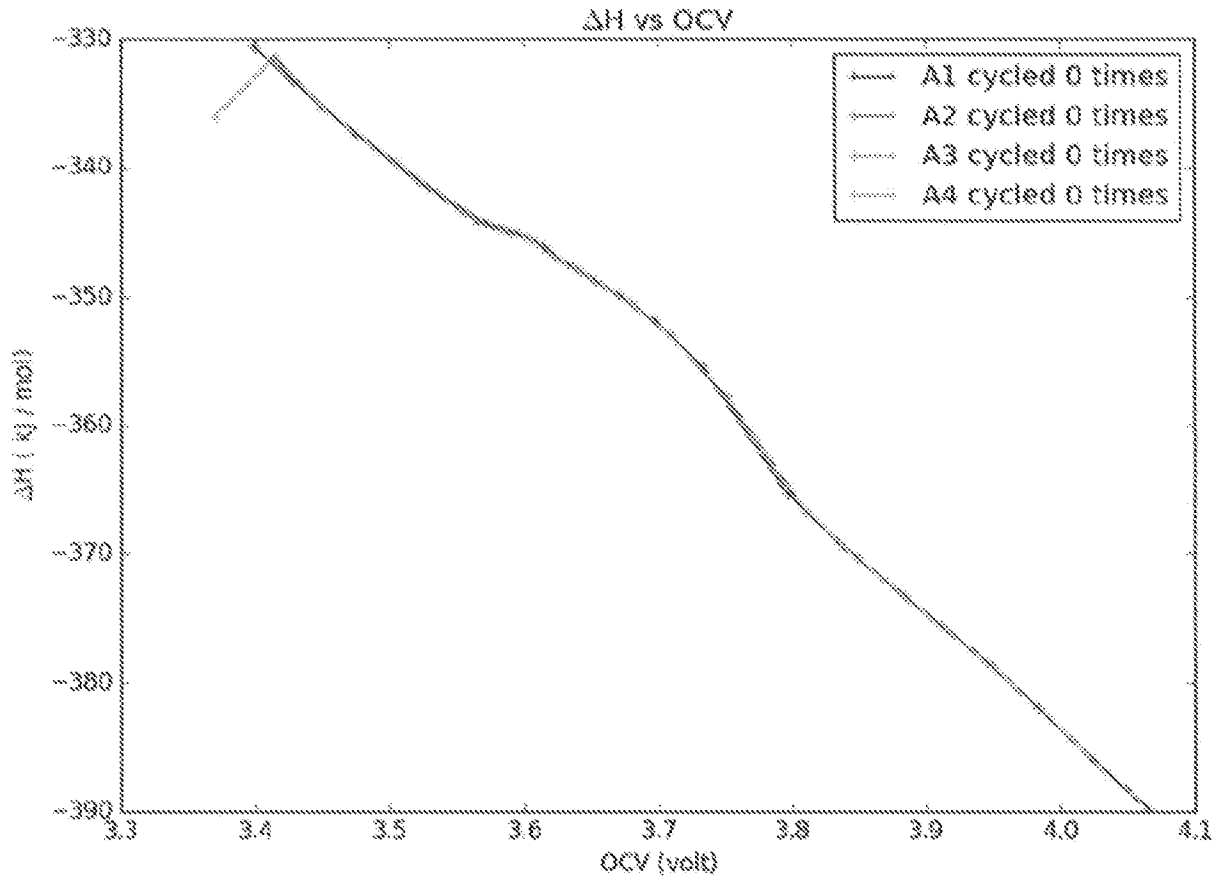


FIG.16

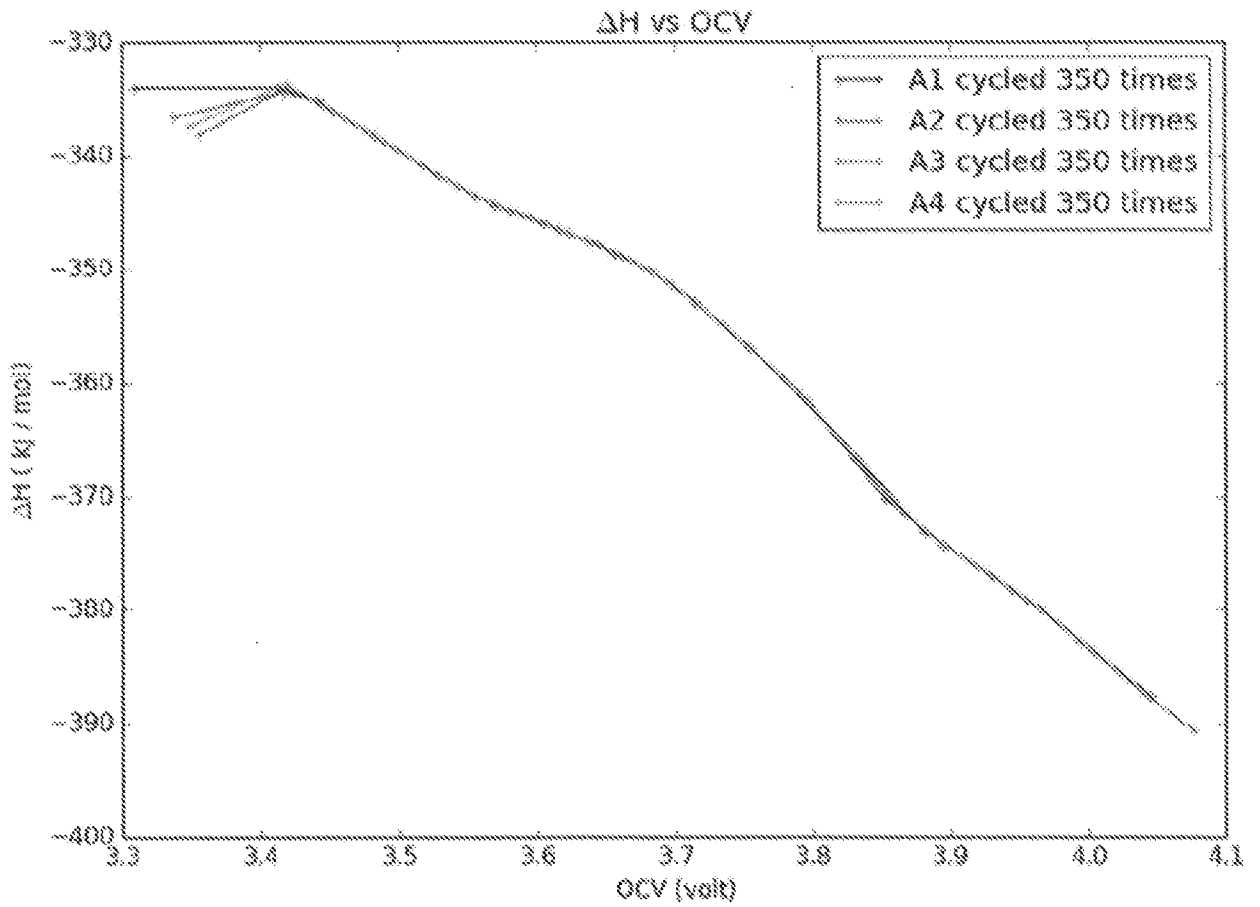


FIG.17

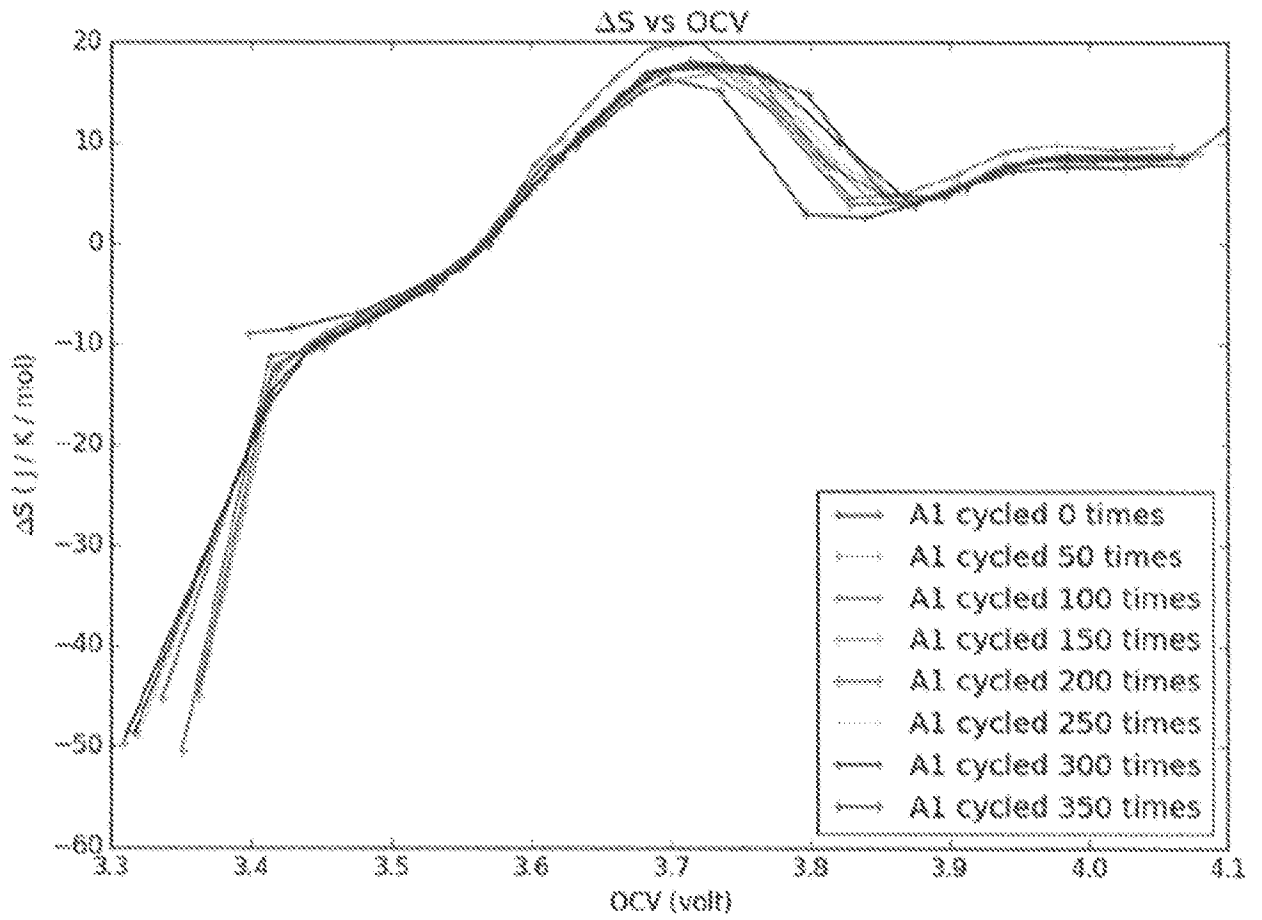


FIG.18

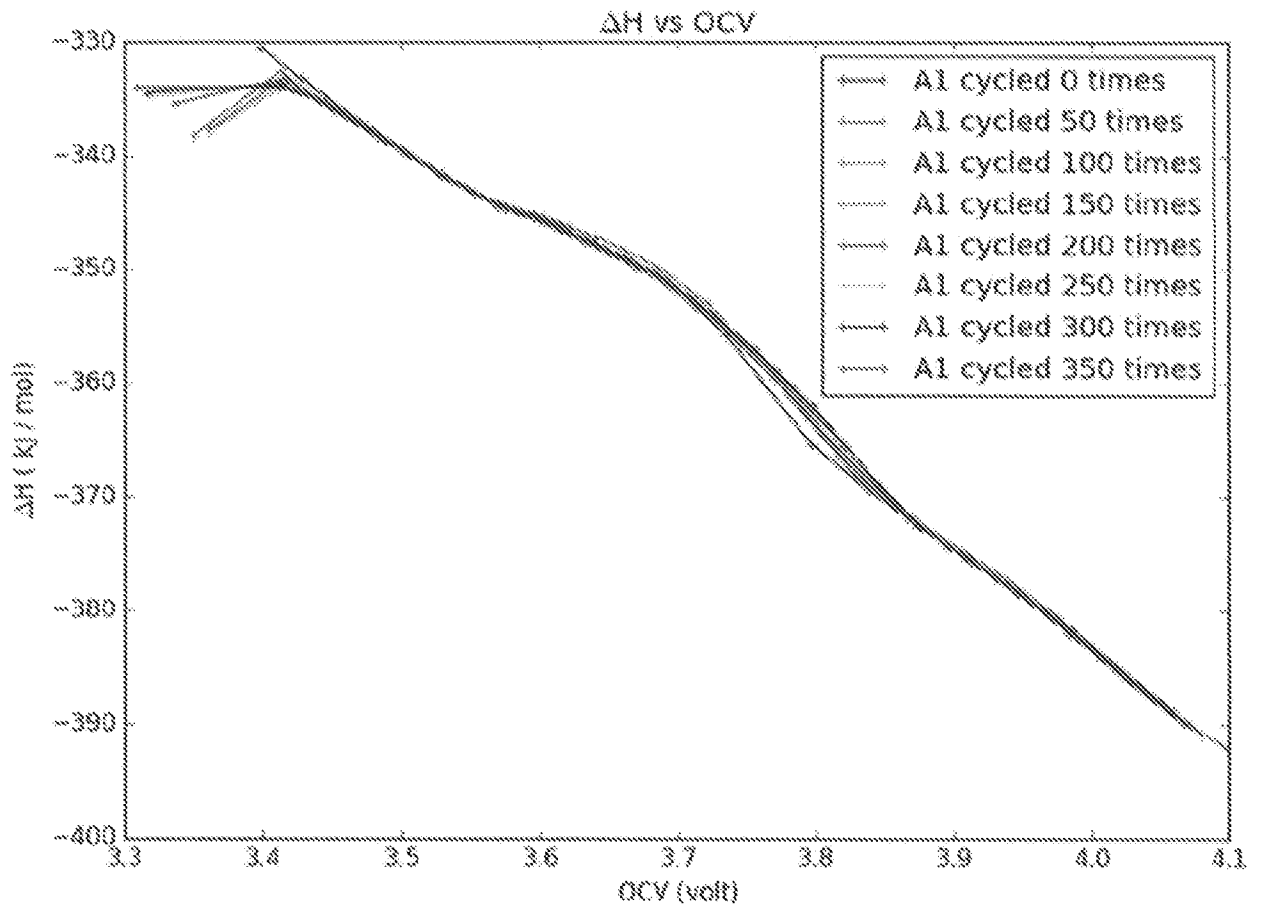


FIG.19

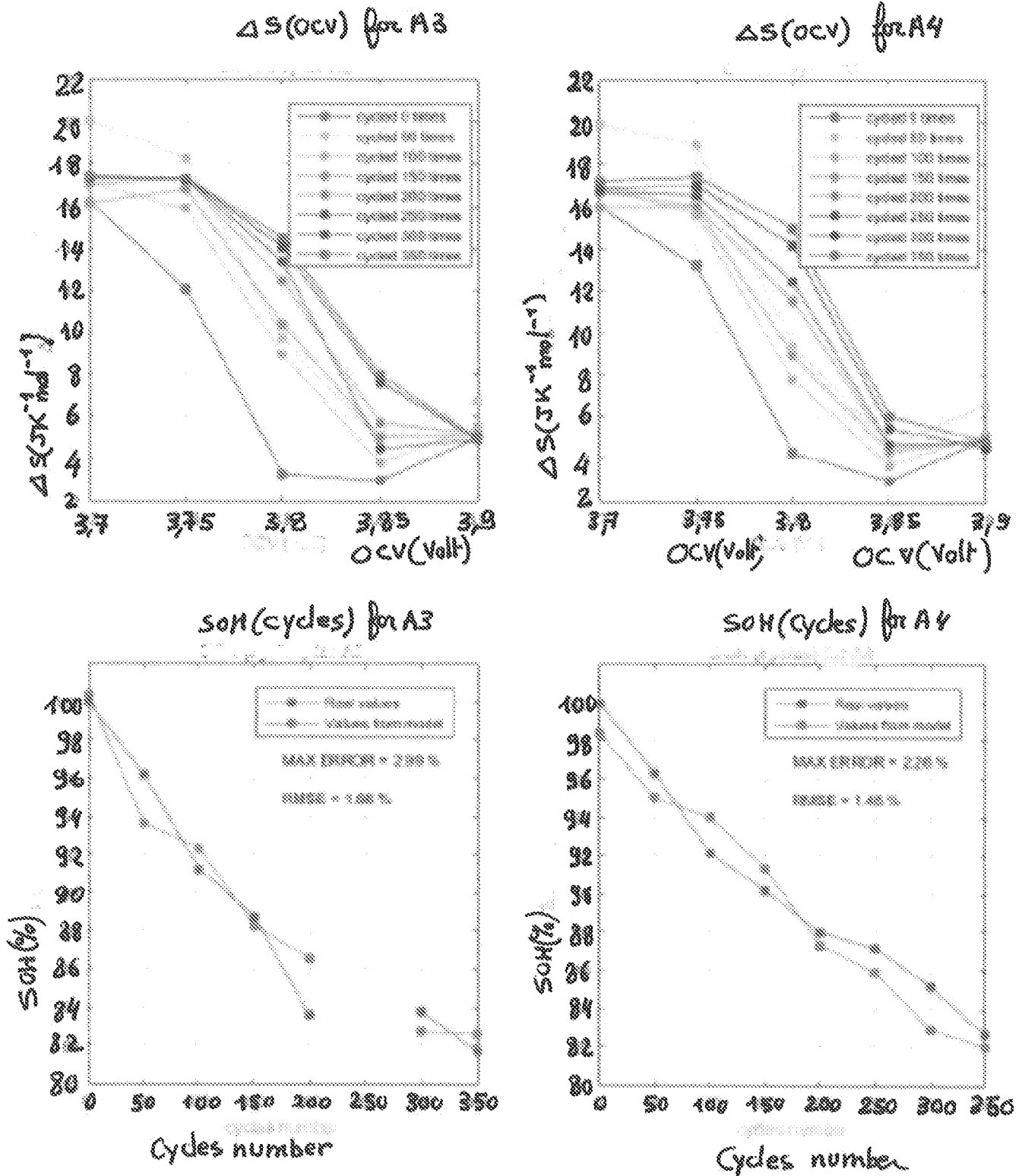


FIG.20

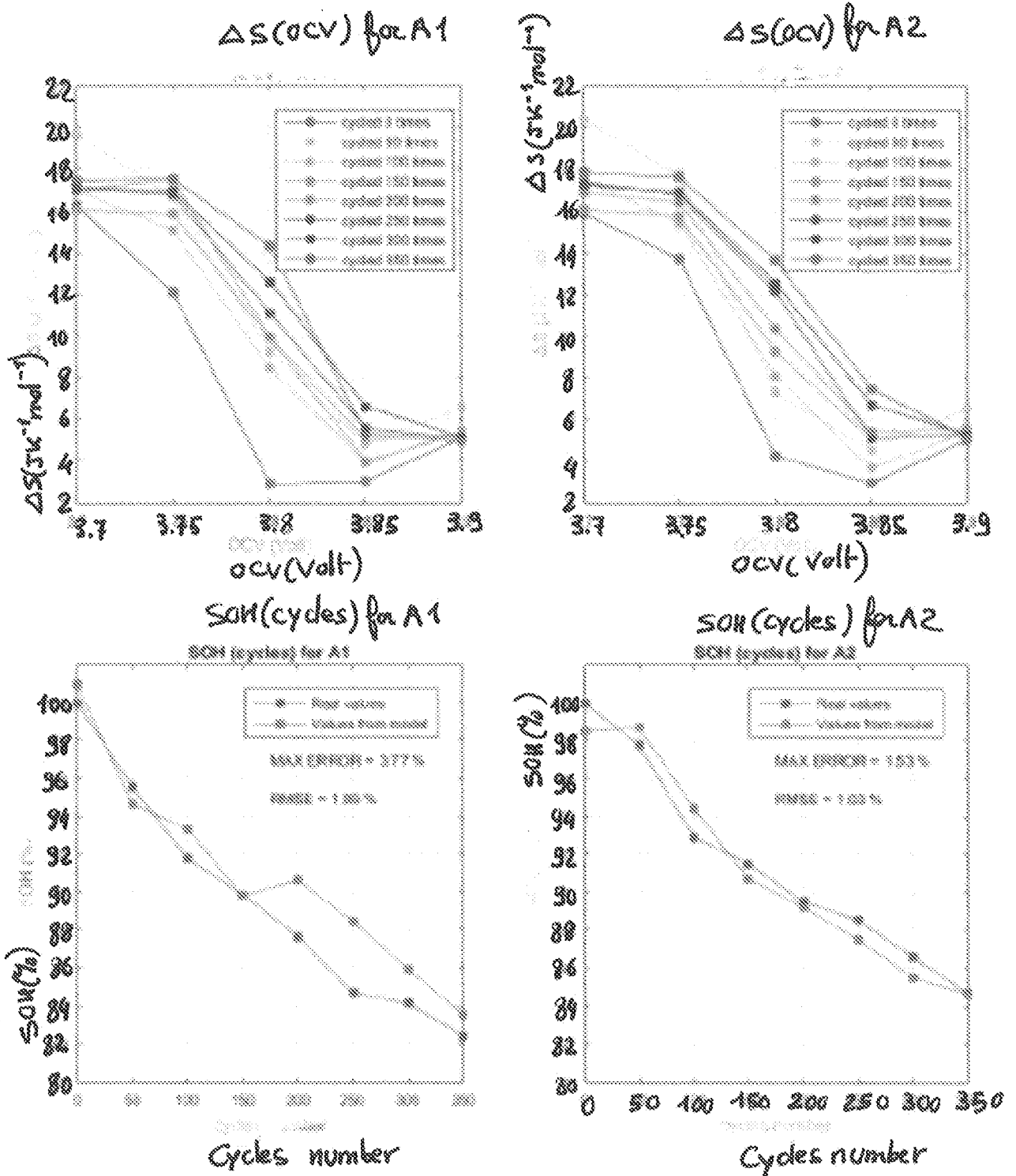


FIG 20 (suite)

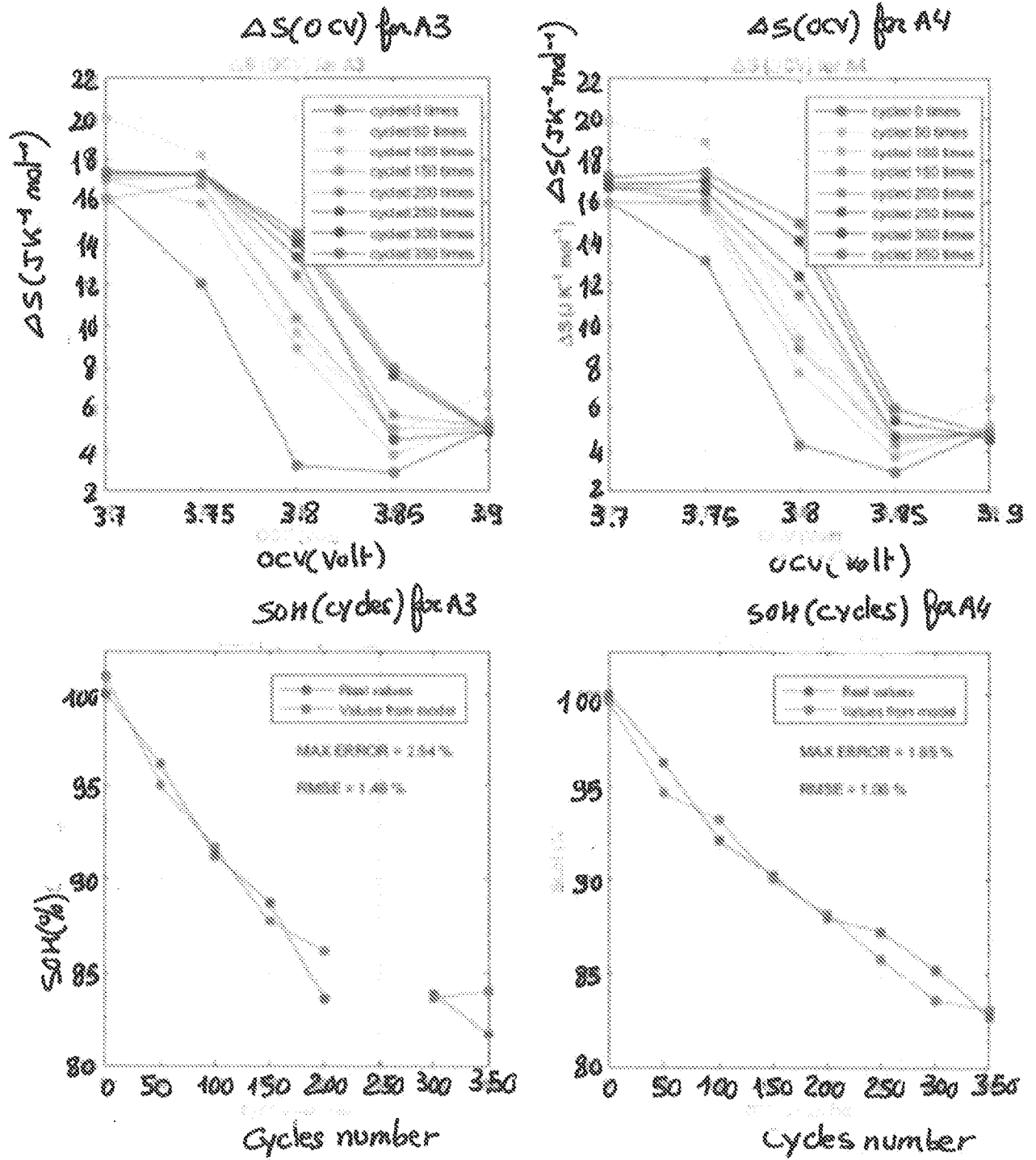


FIG.21

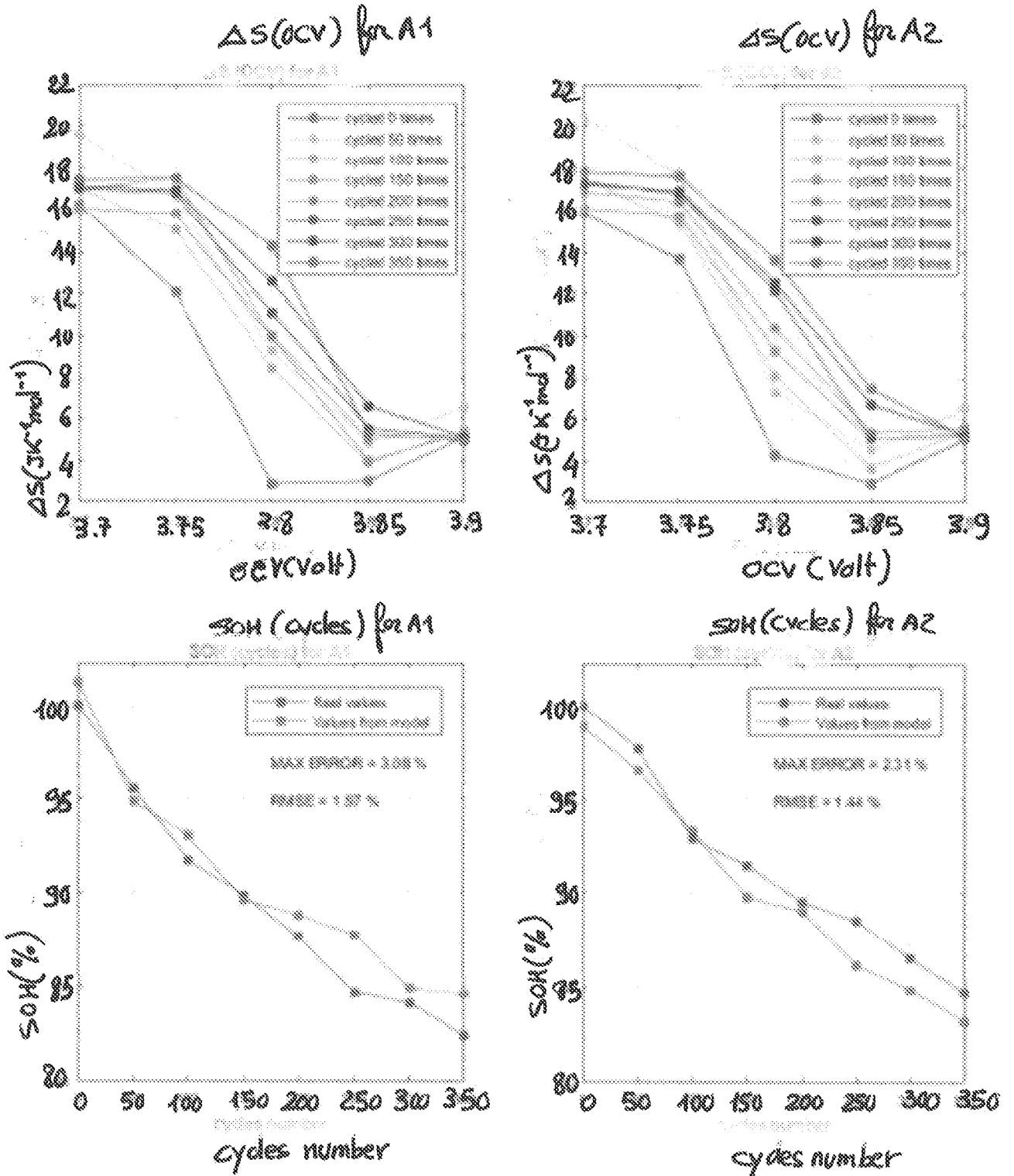


FIG.21 (suite)

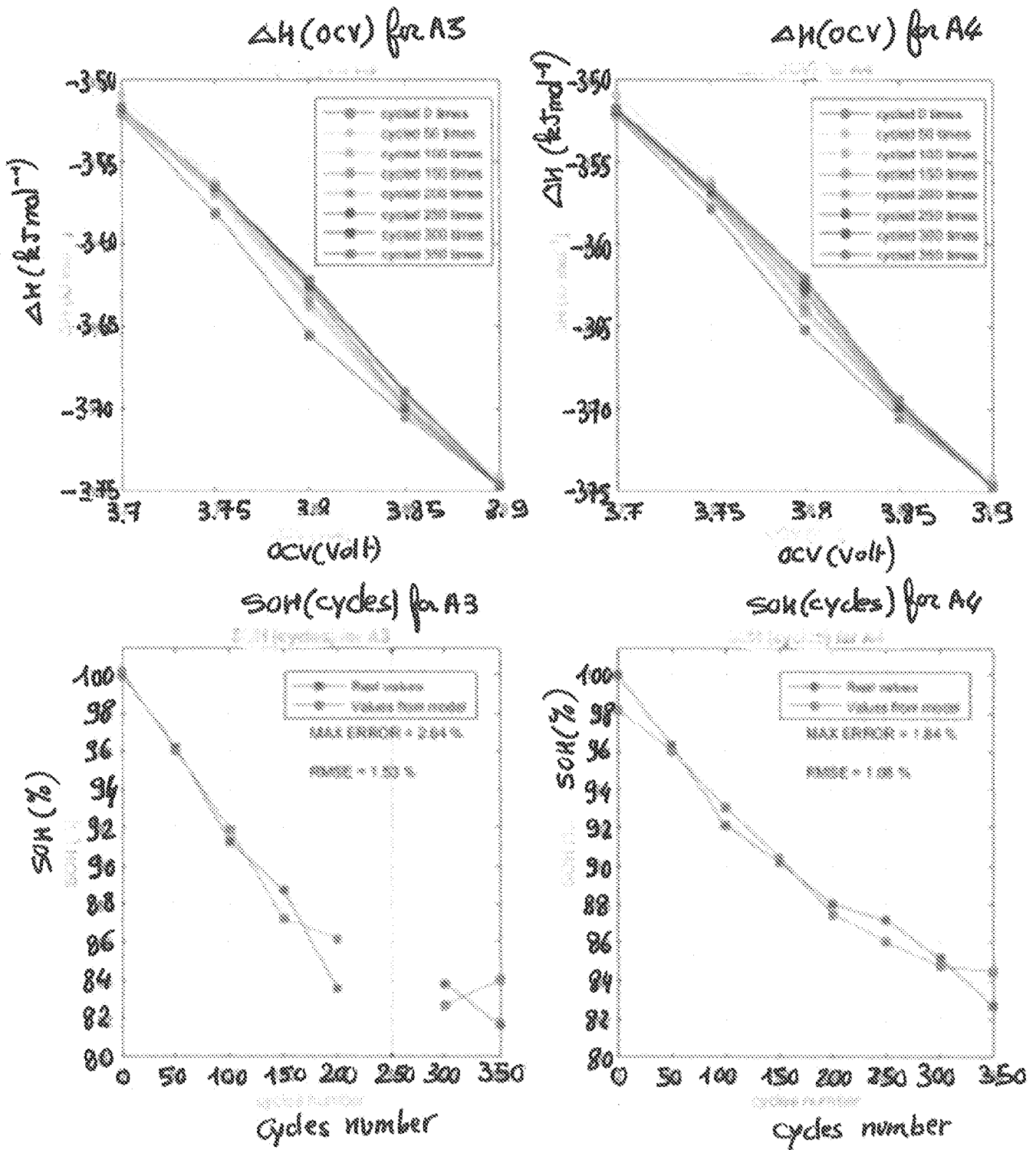


FIG.22

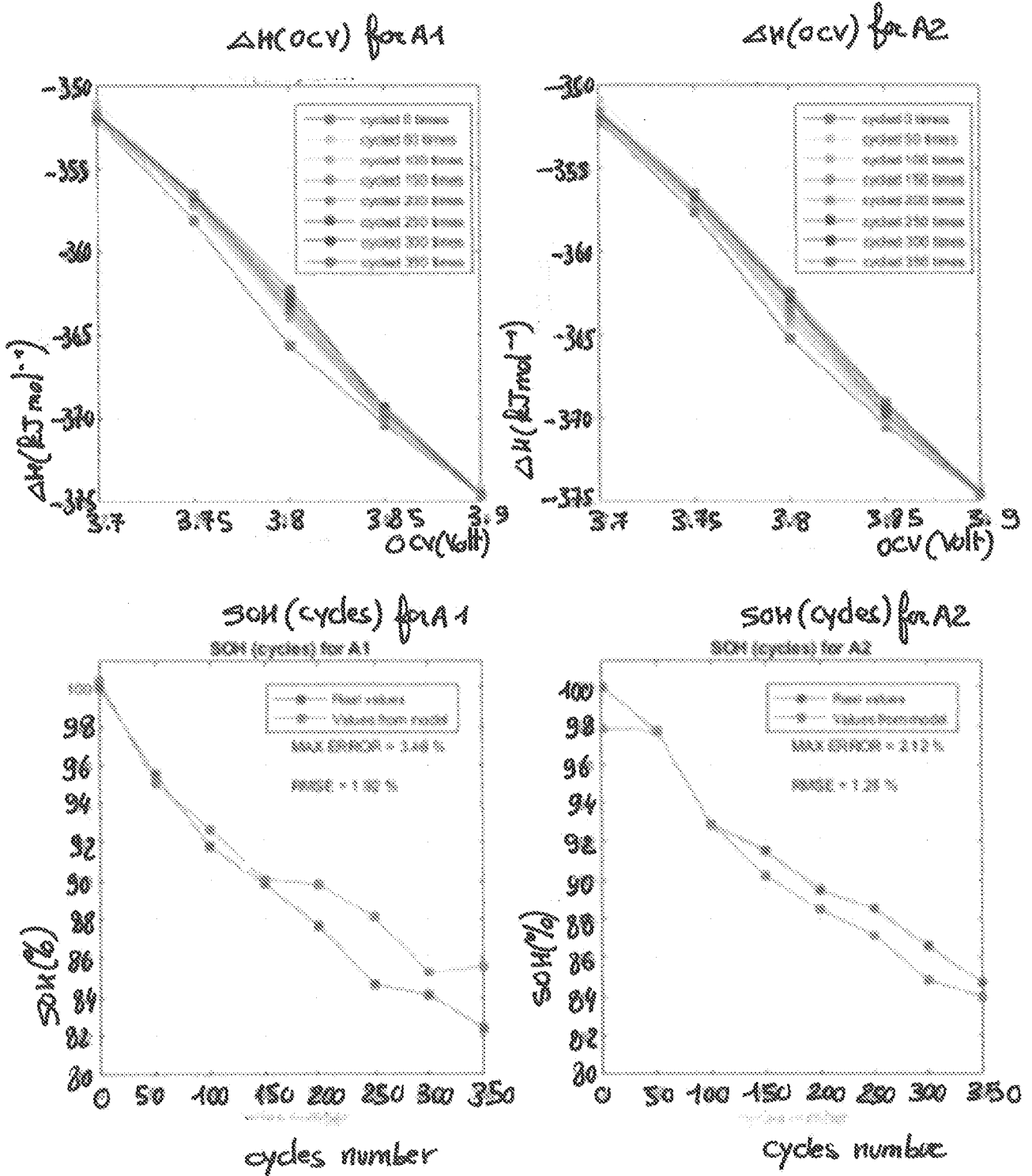


FIG.22 (suite)

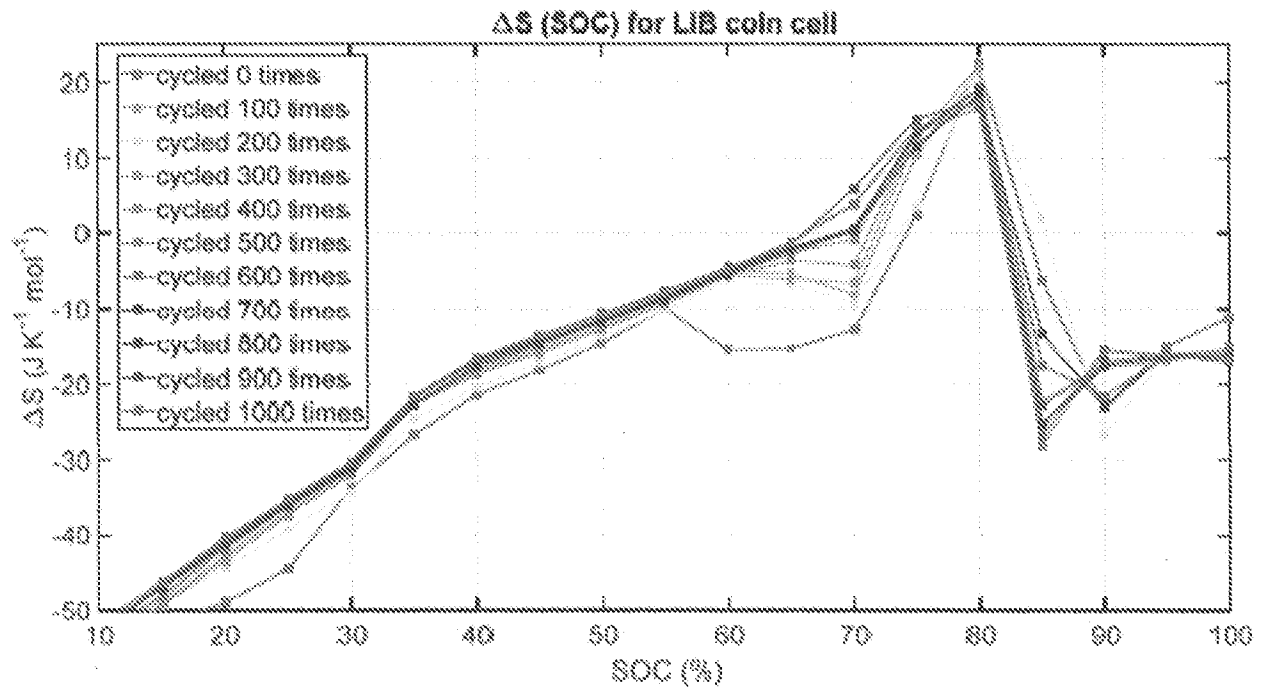
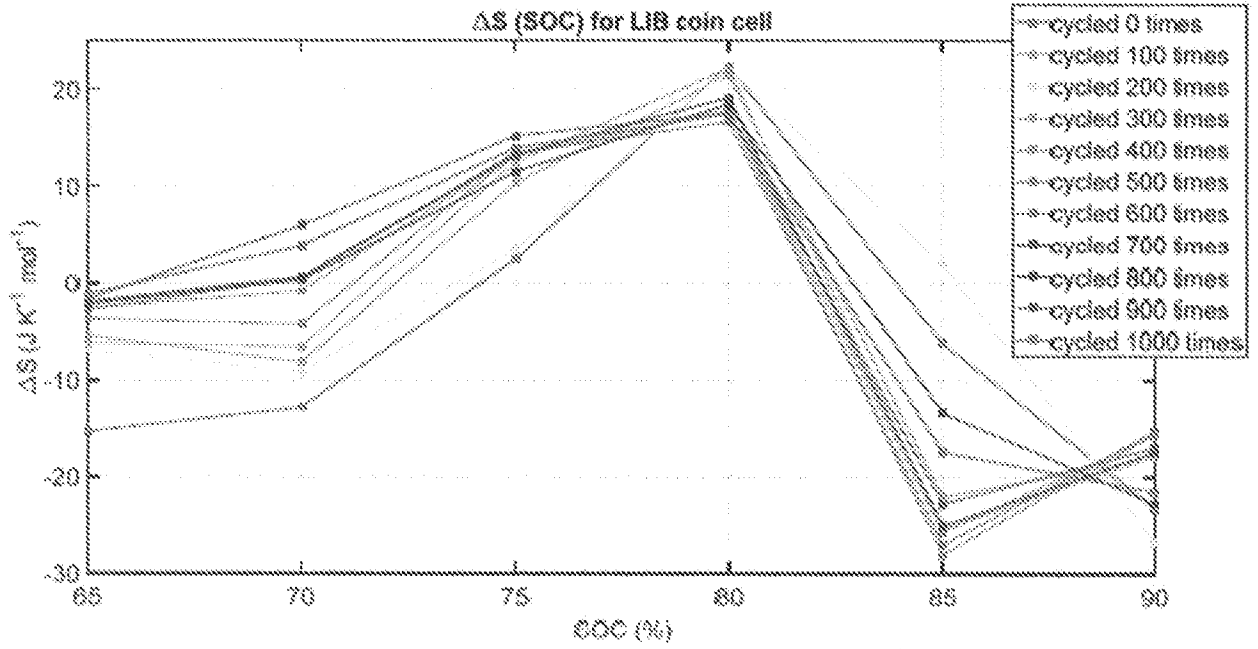


FIG.23



**FIG.24**

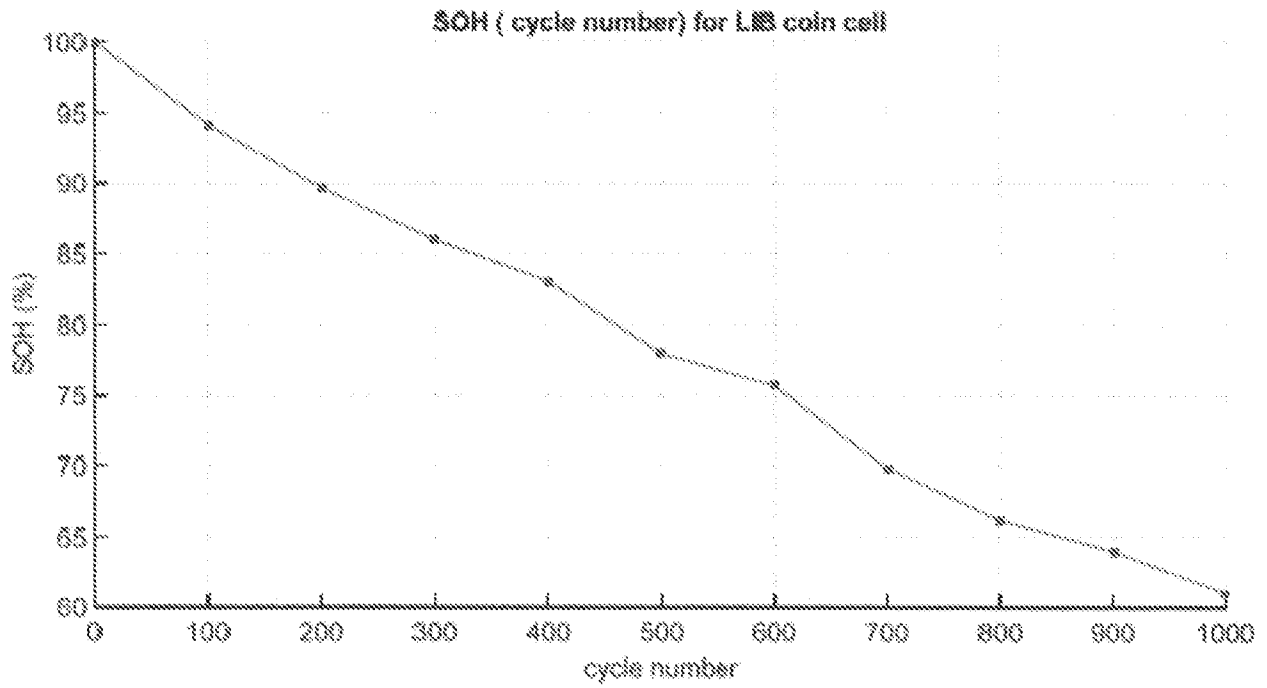


FIG.25

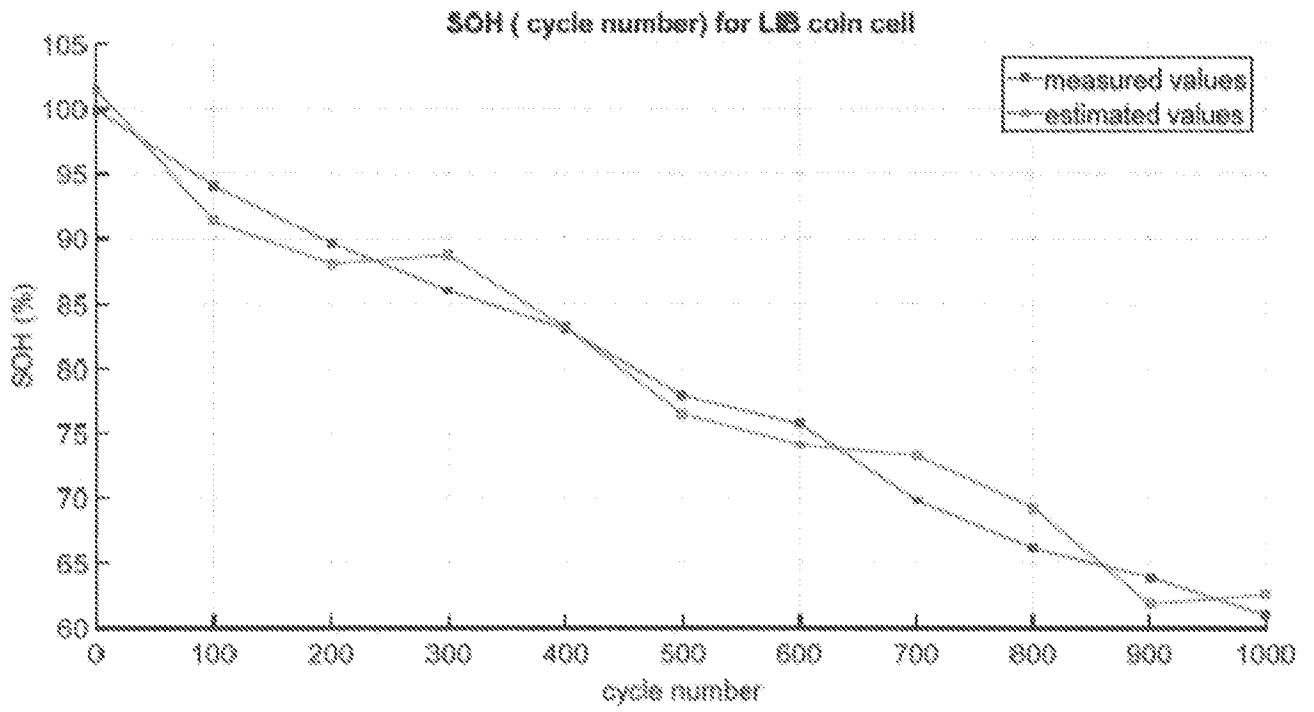


FIG.26

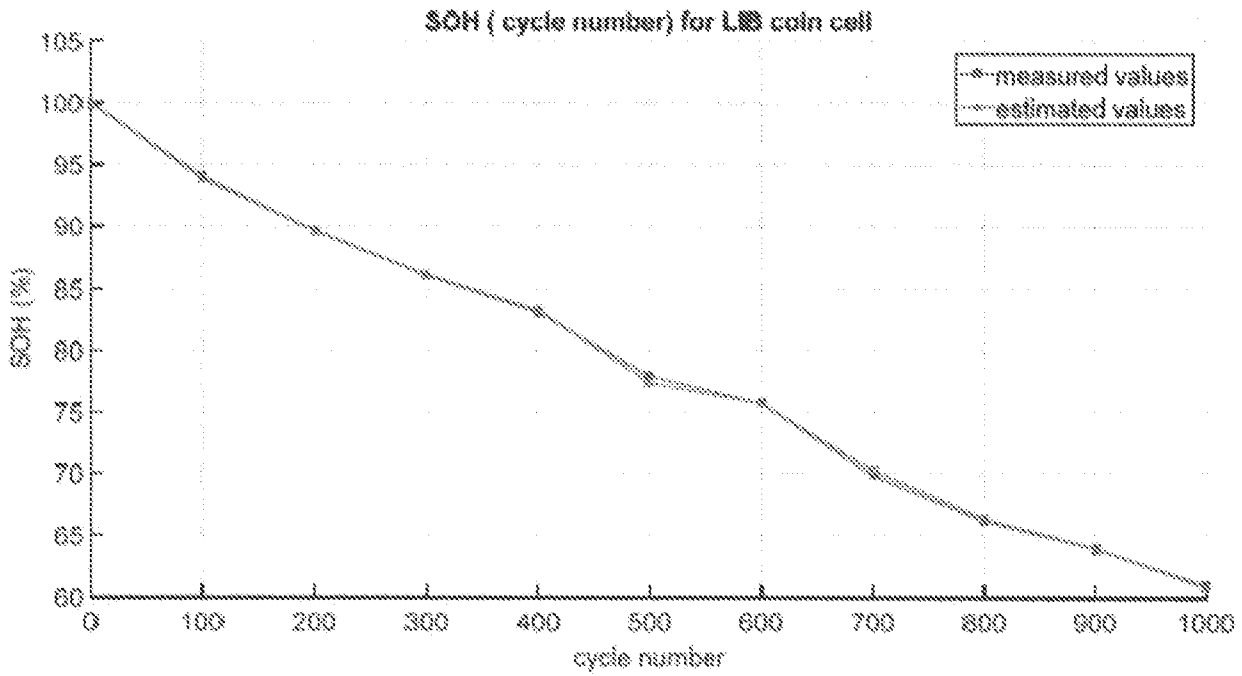


FIG.27

# INTERNATIONAL SEARCH REPORT

|   |
|---|
| International application No<br>PCT/IB2018/059755 |
|---|

|   |  |                       |  |  |
|---|--|-----------------------|--|--|
| <b>A. CLASSIFICATION OF SUBJECT MATTER</b><br>INV. H01M10/42      H01M10/48      G01R31/367      G01R31/392<br>ADD. H01M10/44   |  |                       |  |  |
| According to International Patent Classification (IPC) or to both national classification and IPC   |  |                       |  |  |
| <b>B. FIELDS SEARCHED</b>   |  |                       |  |  |
| Minimum documentation searched (classification system followed by classification symbols)<br>H01M G01R  |  |                       |  |  |
| Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched   |  |                       |  |  |
| Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)<br>EPO-Internal, WPI Data  |  |                       |  |  |
| <b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>   |  |                       |  |  |
| Category*   | Citation of document, with indication, where appropriate, of the relevant passages   | Relevant to claim No. |  |  |
| X   | EP 2 841 956 A2 (CALIFORNIA INST OF TECHN [US]; CENTRE NAT RECH SCIENT [FR] ET AL.)<br>4 March 2015 (2015-03-04)<br>paragraph [0007] - paragraphs [0012], [0035]   | 1-26                  |  |  |
| X   | -----<br>WO 2010/105062 A1 (CALIFORNIA INST OF TECHN [US]; YAZAMI RACHID [US] ET AL.)<br>16 September 2010 (2010-09-16)<br>paragraph [0008] - paragraph [0012]<br>paragraph [0047] - paragraph [0049]<br>paragraph [0060] - paragraph [0070]<br>-----  | 1-26                  |  |  |
| <input type="checkbox"/> Further documents are listed in the continuation of Box C. <input checked="" type="checkbox"/> See patent family annex.  |  |                       |  |  |
| * Special categories of cited documents :<br><table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none; vertical-align: top;">                     "A" document defining the general state of the art which is not considered to be of particular relevance<br/>                     "E" earlier application or patent but published on or after the international filing date<br/>                     "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)<br/>                     "O" document referring to an oral disclosure, use, exhibition or other means<br/>                     "P" document published prior to the international filing date but later than the priority date claimed                 </td> <td style="width: 50%; border: none; vertical-align: top;">                     "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention<br/>                     "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone<br/>                     "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art<br/>                     "&amp;" document member of the same patent family                 </td> </tr> </table> |  |                       | "A" document defining the general state of the art which is not considered to be of particular relevance<br>"E" earlier application or patent but published on or after the international filing date<br>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)<br>"O" document referring to an oral disclosure, use, exhibition or other means<br>"P" document published prior to the international filing date but later than the priority date claimed | "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention<br>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone<br>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art<br>"&" document member of the same patent family |
| "A" document defining the general state of the art which is not considered to be of particular relevance<br>"E" earlier application or patent but published on or after the international filing date<br>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)<br>"O" document referring to an oral disclosure, use, exhibition or other means<br>"P" document published prior to the international filing date but later than the priority date claimed  | "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention<br>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone<br>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art<br>"&" document member of the same patent family |                       |  |  |
| Date of the actual completion of the international search   | Date of mailing of the international search report   |                       |  |  |
| 19 March 2019   | 10/04/2019   |                       |  |  |
| Name and mailing address of the ISA/<br>European Patent Office, P.B. 5818 Patentlaan 2<br>NL - 2280 HV Rijswijk<br>Tel. (+31-70) 340-2040,<br>Fax: (+31-70) 340-3016  | Authorized officer<br><br>Topalov, Angel   |                       |  |  |

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Information on patent family members

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| International application No<br>PCT/IB2018/059755 |
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| Patent document cited in search report | Publication date | Patent family member(s) | Publication date  |
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