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Additional Information

Fault diagnosis of angle grinders and electric impact 1 drills using acoustic signals 2

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44	Abstract: Electric motors use about 68% of total generated electricity. Fault diagnosis of
45	electrical motors is an important task, because it allows saving a large amount of money and time.

46 An analysis of acoustic signals is a promising tool to improve the accuracy of fault diagnosis. It is 47

essential to analyze acoustic signals to assess the state of the motor. In this paper, three electric

48 impact drills (EID) were analyzed using acoustic signals: healthy EID, EID with damaged rear 49 bearing, EID with damaged front bearing. Three angle grinders (AG) were analyzed: healthy AG, 50 AG with 1 blocked air inlet, AG with 2 blocked air inlets. The authors proposed a method for feature 51 extraction: SMOFS-NFC (Shortened Method of Frequencies Selection Nearest Frequency 52 Components). Acoustic features vectors were classified by the nearest neighbor classifier and Naive 53 Bayes classifier. The classification accuracy were in the range of 89.33–97.33% for three electric 54 impact drills. The classification accuracy were in the range of 90.66–100% for three angle grinders. 55 The presented method is very useful for diagnosis of bearings, ventilation faults and other

- 56 mechanical faults of power tools. It can be also useful for diagnosis of similar power tools.
- 57
- 58 59

Keywords: degradation, acoustic, fault diagnosis, bearings, power tool, ventilation

60 1. Introduction

61

62 Electric motors and power tools are often used in the industry. Reduction of maintenance costs 63 and proper operation of motors are main goals of fault diagnosis. Financial income can be reduced in 64 the event of production downtimes. Faulty bearings, gears and other mechanical and electrical faults 65 can yield motor shutdowns and hence, interrupt the whole production line. In the industry, many 66 electric motors operate 24 hours per day. This makes a continuous online fault diagnosis necessary. 67 It can be achieved by using computers and proper sensors.

68 Power tools are used in the industry. Application of power tools can be found in: construction 69 of buildings, industry, home applications, grinding, cutting and drilling. For the mentioned reasons, 70 the authors are motivated to develop new fault diagnostic methods based on acoustic signals. 71 Motivation is also found in the following literature [1-27]. However, most of these works are 72 referred to industrial motors and few works have been devoted to analysis of power tools. In 73 comparison with other techniques, the analysis of acoustic signals is a promising non-invasive tool 74 to improve the accuracy of fault diagnosis of power tools. Moreover, it is an inexpensive technique. 75 It is very attractive for many applications.

To apply the acoustic analysis, it is essential to extract acoustic signal to assess the state of the power tool. The acoustic analysis can be used for diagnosis of different types of motors and faults. In this research 3 EID (electric impact drills) and 3 AG (angle grinders) were analyzed. Each of the analyzed power tool has one state (6 analyzed power tools in total).

The authors proposed a method of feature extraction – SMOFS-NFC (SMOFS Nearest
Frequency Components). The article consists of: 1) Introduction, 2) Considered faults of power tools,
3) Theoretical background, 4) proposed approach and experimental setup, 5) Results of acoustic
fault diagnosis, 6) Discussion, 7) Conclusions and future work.

84

85 2. Considered faults of power tools

86

Faults of the power tools can be different. There are different mechanical and electrical faults.
Mechanical faults, namely: damaged bearings, damaged shaft, broken rotor blades, broken gears,
broken teeth, shifted brushes, uneven air gap, misalignment, ventilation faults. On the other hand,
some examples of electrical faults of power tools are: broken rotor coils, shorted stator coils, shorted

91 rotor coils, degraded rotor/stator coil insulation. Approximate failure rates of electric motors are as

92 follows: bearings faults ~ 40%, rotor faults ~ 10%, insulation faults ~40%, others types of faults 93 10% [1].

Ball bearings are used by the motor of power tools. Normal operation of the motor causes
abrasion of bearing parts. Operation of faulty bearing usually yields increases in the sound level.
Moreover, acoustic signals of different state of the EID/AG have different frequency spectra.

- 97 Acoustic signals of Verto 50G515 electric impact drills (500 W) were measured. The acoustic
- 98 signals were measured and analyzed for the following cases: healthy EID (Fig. 1), EID with damaged
- rear bearing (Fig. 2), EID with damaged front bearing (Fig. 3). Rear bearing has a diameter of 0.2 m.
- 100 Front bearing has a diameter of 0.3 m.
- 101

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103



Figure 1. Healthy EID



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Figure 2. EID with damaged rear bearing (indicated by yellow circle)



- 108 Acoustic signals of Verto 51G053 angle grinders (500W) were also measured. The acoustic
- 109 signals were measured and analyzed for the following cases: healthy angle grinder (Fig. 4), angle
- 110 grinder with 2 blocked air inlets (Fig. 5), angle grinder with 1 blocked air inlet (Fig. 6).



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Figure 4. Healthy angle grinder



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Figure 5. Angle grinder with 2 blocked air inlets



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Figure 6. Angle grinder with 1 blocked air inlet

117 **3. Theoretical background**

Various types of diagnostic signals are used by fault diagnosis systems. Vibrations, acoustic signals, thermal signals and current signals are often used for fault diagnosis. Each of them has advantages and disadvantages. Fault diagnosis based on electrical signals were described in following papers [2–7]. They require the connection of an ammeter/sensor to measure the electrical signal. Wireless sensors can be also used. The analysis of electrical signals is an interesting research topic. However, it is often limited to electrical faults such as: rotor and stator faults. Moreover, it can
be only used in electric motors; it is not good for mechanical engines. It can localize the fault.

125 Paper [2] presented a method to integrate vibration analysis and current analysis. Wavelet 126 packet decomposition and support vector machines were used for the analysis [2]. Reference [3] 127 described a novel approach for gear fault diagnosis of the three-phase motor using Park and 128 Concordia transforms and Frenet-Serret equations. The obtained results were good for healthy and 129 faulty conditions [3]. Inter-turn winding faults were analyzed in [4]. The authors of the paper 130 analyzed two methods: Zero-sequence voltage component (ZSVC) and motor current signature 131 analysis (MCSA). The ZSVC was more sensitive than the MCSA for inter-turn faults [4]. Reference 132 [5] presented an approach using MCSA, Independent component analysis (ICA) and neural network 133 for detection of broken bar of induction motors. The authors of the paper conducted analysis and 134 obtained classification accuracy in the range 90-99% [5]. Reference [6] described mechanical fault 135 detection of squirrel cage induction motors. It was based on the Fast Fourier Transform (FFT) of the 136 stator current signal. The authors of the paper used the discrete wavelet transform. The MCSA-DWT 137 technique was presented [6]. The authors of the paper presented fault diagnosis using stator current 138 of three-phase induction motor [7]. They used frequency spectral subtraction using: wavelet packet 139 decomposition, discrete wavelet transform, stationary wavelet transform [7].

Another well-known technique using vibration data analysis. Vibrations are good diagnostic signals for electric motors and mechanical engines [8–14]. In general terms, electrical and mechanical faults can be measured and analyzed using vibrations. Vibration analysis enables to detect a faulty state of the machine. Localization of the fault can be more difficult using vibration signals. There are also technical difficulties of the proper position of the sensor and noise contamination.

In [8], the authors dealt with fault diagnosis of rolling bearings. The authors of the paper used graph spectrum coefficients in the highest order range. Next, they used the Hilbert envelope spectrum. The proposed method was noise tolerant and effective for rolling bearings [8].

148 On the other hand, [9] described fault diagnosis of vibration signals using parameterized 149 time-frequency transform (PTFT) and Polynomial chirplet transform (PCT). Bearing faults were 150 detected using maximum correlated kurtosis deconvolution-based envelope order spectrum. The 151 proposed method was efficient for bearing fault diagnosis under varying speed conditions [9]. Fault 152 diagnosis approach based on the multi-scale fuzzy measure entropy (MFME) was presented in [10]. 153 Bearing fault diagnosis was carried out using MFME and support vector machine. The presented 154 results showed that the proposed approach was efficient [10]. Multi-Input Single-Output model was 155 presented for fault diagnosis of gearbox [11]. Vibration data acquired from a gearbox were analyzed. 156 Conducted analysis showed that the proposed approach was good for extracting the meshing 157 frequency component [11]. A fault diagnosis approach using Convolutional Neural Networks and 158 Extreme Learning Machine was proposed in [12]; the authors of the paper used Continuous Wavelet 159 Transform for preprocessing of vibration signal, while a Convolutional Neural Networks extracted 160 features. The proposed method was effective for vibration analysis of gearbox and bearing. The 161 proposed approach can recognize different types of faults [12]. In [13], a convolutional neural 162 network method was used for vibration signals of gear faults. Training and test vibration signals 163 were measured for different faults. The different faults were recognized properly [13]. Vibration 164 signal of rolling bearing using empirical mode decomposition was analyzed in [14]. The authors 165 used crest factor, kurtosis, skewness, for fault diagnosis. The empirical mode decomposition was 166 good for analysis of roller bearings [14].

167 Thermal analysis has been also used for fault diagnosis [15–18]. Thermal (infrared) images are 168 good diagnostic signals for electrical faults (electrical insulation faults, rotor, stator faults) and for 169 specific mechanical faults (for example bearings faults). However thermal imaging is often 170 expensive. Processing of thermal images is slower than processing of acoustic, vibration or electric

171 current signals. Infrared imaging is based on measuring the superficial temperatures of the object.
172 Thermal imaging camera needs time to measure the change of temperature. Faulty and healthy
173 motors need time to heat up.

174 In [15], infrared thermal images and a convolutional neural network were used for fault 175 diagnosis of a gearbox. The proposed approach was efficient for gear faults: cracks, breakages, tooth 176 pitting [15]. In [16], thermal phenomena of the kinematic chain of the induction machine was 177 analyzed using an infrared thermography technique; it was based on the analysis of the 178 segmentation of thermal image. The proposed technique is useful for locating the damage and 179 influence of the damage [16]. Reference [17] described thermal signature analysis of the brushed DC 180 motor. The authors of the paper used thermocouples with the data logger. Thermocouples were 181 mounted on different machine parts. Healthy DC motor and commutator fault DC motor were 182 recognized using characteristic temperature profile of the DC motor [17]. A fault diagnosis method 183 using thermal images of bearings was presented in [18]. The authors of the paper used 184 bag-of-visual-word and convolutional neural network. The described method was used to analyze 185 test images of bearings. The obtained results showed that it was efficient method of fault diagnosis 186 [18]. Reference [19] described feature extraction of thermal images BCAoID. The BCAoID method 187 was used for three electric impact drills. The recognition results of the performed analysis were in 188 the range of 97.91–100%.

Acoustic signal analysis is also interesting diagnostic technique [20–30]. It can be used to detect and localize faults of the machine. A microphone array is a suitable equipment for localization of faults using acoustic analysis. However, one-channel microphone is less expensive. Moreover, the processing of one-channel signal is faster for recognition. Acoustic analysis is proper for mechanical and electrical faults.

194 In [20], it is shown that the sound and vibration levels of a diesel engine are different for 195 different states of engine [20]. The FFT and statistical feature extraction methods were used in that 196 work for the analysis of the liner scuffing fault. The results showed that the presented methods were 197 adequate for the recognition of this fault. Moreover, the acoustic emission level of the analyzed 198 machine was increased [20]. In [21], fault diagnosis of low-speed bearings was considered; the 199 analysis was carried out using support vector machines and genetic algorithms. Three classes were 200 used for the analysis. The methods of the analysis of acoustic signals were suitable for the detection 201 of bearing faults. On the other hand, in [22] the authors proposed a wayside acoustic defective 202 bearing detector system for bearing fault diagnosis. The obtained simulation and experimental 203 results showed that the presented method using microphone array can be helpful for fault diagnosis 204 [22]. Vibration and acoustic signals were used for fault diagnosis of bearing defects. Both signals 205 were processed. Next signals were classified by the K-nearest neighbor. Vibration signals were 206 useful for detection of inner race and outer race defects. Besides, acoustic signals were helpful for 207 detection of ball defects [23]. Acoustic fault detection of rotating bearings was described in [24]. A 208 single microphone was used for capture sound signal. Kernel linear discriminant analysis, K-nearest 209 neighbor classifier, support vector machine and sparse discriminant analysis were used for 210 processing the acoustic signals. Ball defects as well as inner and outer race faults were recognized 211 properly [24]. An acoustic-based fault detection of the induction motor was presented in [25]. 212 Bearing faults, single phasing, broken rotor bars were analyzed. Rational-dilation wavelet transform 213 was used to extract feature vector. Acoustic signals of faults had better representation of faults using 214 Q-factor filters [25]. In [26], a single stage spur gearbox was diagnosed using acoustic signals. The 215 authors of the paper used continuous wavelet transform. The results of conducted analysis showed 216 that acoustic signals are effective for fault diagnosis of the gearbox [26]. In [27], vibration and 217 acoustic signals were used for gear fault diagnosis; the analysis of signals was based on the general 218 linear chirplet transform. The results proved that non-contact acoustic measurement and the 219 proposed method of fault diagnosis is useful for gear condition monitoring [27]. A review of fault 220 diagnosis of multi-sensors information fusion for rolling bearings was presented in [28]. In [29], the 221 authors collected acoustic signals of roller bearings and deep graph convolutional network was used 222 for processing of acoustic data. Acoustic data were transformed into graphs. Next, the deep graph 223 convolution network used the training sets of graphs. Testing accuracy was in the range of 80-100%. 224 The experimental results showed usefulness of the deep graph convolutional network for fault 225 detection [29]. Finally, in [30], acoustic signals were also used for technical condition estimation of 226 defects of on-load tap-changers. The authors of the paper showed usefulness of acoustic analysis.

227 Technical diagnosis is very important from economic point of view. For instance, the 228 collaborative alliance of national metrological organizations from member states of the European 229 Union EURAMET in 2014 published the roadmap for thermometry [31], where it declared the 230 problem of creating the sensors with selfvalidation as one of the key problems of metrology. Even 231 new devices appear to fit the recommendations from the roadmap [32, 33]. The problem of diagnosis 232 is not new in many areas [34-36]. However, it is always preferable to carry out noninvasive diagnosis 233 in order not to change the existing devices and sensors. That is why a lot of attention is now paid to 234 develop the noninvasive methods of diagnosis, especially when such procedure is possible during 235 normal operation of devices and appliances.

In summary, there are many methods of fault diagnosis of bearing, namely: vibration, acoustic, oil, temperature and ultrasonic analysis. Each type of signal has its own advantages and disadvantages. Acoustic analysis is low-cost, fast and non-invasive, but it is easy to be interfered by background noise. Vibration analysis has high recognition rate. It can detect several faults of the motor. It is difficult to localize fault. Vibration signal is not noisy. Analysis of thermal images can detect and localize fault, but it is not fast. The motor needs time to heat up. It is also expensive analysis.

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244 4. The proposed approach and experimental setup

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Measurements were carried out in a 4.5x4.5 m room. The walls of room consisted of bricks. Acoustic signals were generated by operation, rotations, friction of bearings, shaft, gear and other parts of the power tool. To measure the acoustic signals, the authors used a notebook and a microphone (tracer KTM 43948). The main characteristics of the microphone were: sensitivity 58 dB +/-3 dB, frequency response 30–16,000 Hz. Distance between microphone and the power tool was equal to 0.5 m.

252 Acoustic signals were acquired and saved as .WAV digital files. The sampling rate of each 253 .WAV file was equal to 44,100 Hz. The number of channels was equal to 1. To compare the .WAV 254 files, the authors used 1-s samples. The length of sample was equal to 1 second (44,100 values). It was 255 enough to recognize signal properly. To compare sound level of each sample, the authors used 256 amplitude normalization in the range of -1 to 1. It was easier to compare samples measured for 257 example from distance 0.5 m and 0.1 m. In order to avoid difficulties, the authors measured all 258 acoustic signals from the same distance. After that, SMOFS-NFC method was applied to compute 259 selected features. Next, the features were used for computation of feature vectors. The next step was 260 the classification. The classification methods were: Nearest Neighbor, Naive Bayes classifier. The 261 Nearest Neighbor was used for the computation of the distances between feature vectors (training

vector and test vector). The result of recognition was a name of recognized class for example'healthy_EID'. A flowchart of the proposed approach was shown in figure 7.



Figure 7. Flowchart of the proposed approach

Proposition of an experimental setup is shown in Figure 8. The experimental setup uses
acoustic signal of power tools (electric impact drills and angle grinders), microphone and notebook
(personal computer), software of processing acoustic data.

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Figure 8. Experimental setup

272 4.1. SMOFS-NFC (SMOFS Nearest Frequency Components)

The proposed approach of fault diagnosis is based on the SMOFS-NFC method. The SMOFS-NFC is a feature extraction method. It analyzes FFT spectrum of acoustic signal. It computes adjacent frequency components. Next it computes feature vectors. Steps of the SMOFS-NFC are following:

- 2781.Use FFT (Fast Fourier Transform) method to compute frequency spectrum of an acoustic signal.279If we have 3 different electric drills, then it requires to compute 3 frequency spectra of acoustic280signals. A vector of 16,384-elements is formed. Each element of the vector is a frequency281component (1.345825 Hz, 22,050/16,384 \approx 1.345825). Following 16,384-elements vectors are282computed for 3 classes: healthy EID $h=[h_1, h_2, ..., h_{16384}]$, EID with damaged rear bearing -283 $r=[r_1, r_2, ..., r_{16384}]$, EID with damaged front bearing $f=[f_1, f_2, ..., f_{16384}]$.
- 284 2. Subtract one frequency spectrum from another: **h f**, **h r**, **f r**.
- 285 3. Compute: |h f|, |h r|, |f r|.
- 2864.Automatically set a threshold TSM_n of the SMOFS-NFC method. If frequency component is287greater that a threshold TSM_n (initially $TSM_n = (sum of all absolute values of frequency components /28816,384) and <math>TSM_n$ is increasing), next select frequency component (1).

$$||X_1| - |Y_1|| > TSM_n, \tag{1}$$

where TSM_n – threshold of the SMOFS-NFC method for *n*-th iteration, $|X_1|, |Y_1|$ – frequency components of different signals with the same index for example $|h_1 - f_1|$ or $|h_{1000} - r_{1000}|$ or $|f_{16384} - r_{16384}|$ and **h**=[$X_1, ..., X_{16384}$], **f**=[$Y_1, ..., Y_{16384}$], **r**=[$r_1, r_2, ..., r_{16384}$].

- 295 5. Increase threshold *TSM_n*. Threshold *TSM_n* is computed by following equation (2):
- 296

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$$TSM_{n} = \frac{\sum_{NF_{n}=1}^{NF_{n}} \|X_{1}| - |Y_{1}\|}{NF_{n}},$$
(2)

298

297

 $NF_n \le 18, \tag{3}$

299

300	where NF_n – Number of frequency components after <i>n</i> -th iterations. At the start NF_n is
301	equal to 16,384. This number is decreased for each iteration. If $NF_n \leq 18$, then iterations are
302	stopped (3). If $NF_n > 18$, then SMOFS-NFC uses formula (2). The value of TSM_n is increased.
303	The SMOFS-NFC method finds 1-18 frequency components. The values of TSMn, NFn,
304	number of iterations n depend on frequency spectra of acoustic signals. The maximum
305	value of NF_n (value of 18) is set experimentally.
306	For example,
307	initial threshold_h_f = ((h_1 -f ₁)+(h_2 -f ₂)++(h_{16384} -f ₁₆₃₈₄))/ 16384 = 0.00048897 (Fig. 13).
308	initial threshold_h_r = ((h_1 -r ₁)+(h_2 -r ₂)++(h_{16384} -r ₁₆₃₈₄))/ 16384 = 0.00049407 (Fig. 14).
309	initial threshold_f_r = $((f_1-r_1)+(f_2-r_2)++(f_{16384}-r_{16384}))/16384 = 0.00046504$ (Fig. 15).
310	If the value of frequency coefficient is below the threshold, frequency coefficient is
311	removed. If the value of frequency coefficient is above the threshold, then frequency
312	coefficient is used for further computation. The threshold is changeable. Each iteration

313 means new higher threshold and less analyzed frequency components (please see Fig. 13 –

- 314 Fig. 15). If the remaining frequency components \mathbf{x} , \mathbf{y} , \mathbf{z} have length ≤ 18 elements then we 315 do not compute a new threshold, where \mathbf{x} , \mathbf{y} , \mathbf{z} , – vector consisted of remaining frequency 316 components after *n*-th iteration (for example, sixth iteration, 8 frequency components).
- 317 final threshold_h_f= $((h_1-f_1)+...+(h_x-f_x))/\text{length}(x)=0.0079$ (Fig. 13), after sixth iteration,
- 318 final threshold_h_r=((h₁-r₁)+...+(h_y-r_y))/length(**y**)=0.0100 (Fig. 14), after sixth iteration,
- 319 final threshold_f_r = $((f_1-r_1)+...+(f_z-r_z))/\text{length}(\mathbf{z}) = 0.0079$ (Fig. 15), after sixth iteration, 320 where length(\mathbf{x}) ≤ 18 , length(\mathbf{y}) ≤ 18 , length(\mathbf{z}) ≤ 18 .
- The value of final threshold is depended on type of analyzed acoustic signals. We set only the length of final feature vector for example 1–18 elements. The threshold is computed automatically. Next we set parameter *PT*.
- 324 Set a parameter of threshold PT. It is defined as: PT=(minimum number of common frequency 6. 325 components)/(number of all differences in training set). The minimum number of common frequency 326 components is set experimentally. The parameter PT determines accuracy of expected results. 327 We can analyze following example. Nine acoustic signals are generated H1, H2, H3, F1, F2, F3, 328 R1, R2, R3, where H1, H2, H3 – test samples of the first class of acoustic signals, F1, F2, F3 – test 329 samples of the second class of acoustic signals, R1, R2, R3 - test samples of the third class of 330 acoustic signals. The frequencies in bold fonts are preselected by SMOFS-NFC. Let's suppose 331 that SMOFS-NFC finds following frequency components: 100 Hz, 200 Hz, 300 Hz for |H1-F1|, 332 99 Hz, 220 Hz, 310 Hz, 620 Hz for |H1-R1|, 99 Hz, 110 Hz, 230 Hz, 309 Hz, 310 Hz, 620 Hz for 333 |R1-F1|. 100 Hz, 250 Hz, 350 Hz for |H2-F2|, 101 Hz, 220 Hz, 311 Hz, 340 Hz for |H2-R2|, 160 334 Hz, 260 Hz, 309 Hz for |R2-F2|. 101 Hz, 170 Hz, 270 Hz, 311 Hz for |H3-F3|, 100 Hz, 280 Hz, 335 380 Hz for |H3-R3|, 190 Hz, 290 Hz, 310 Hz, 620 Hz for |R3-F3|. Frequency components 100 Hz 336 and 310 Hz were found 3 times. We also find 99 Hz, 101 Hz, 311 Hz, 309 Hz. As we see there are 337 no proper frequency component. 100 Hz is proper for |H-F| and |H-R|. However it is not 338 proper for |R-F|. 310 Hz and 620 Hz are good for |R-F| and |H-R|. If we set PT=3/9=0.3333, 339 then frequency components 100 Hz, 310 Hz and 620 Hz are selected. It forms a group of 340 frequency components. If we set PT=4/9=0.4444, then SMOFS-NFC finds 0 frequency 341 components.
- Find adjacent frequency components (100-1; 100+1; 310-1; 310+1) (100; 310). The range of adjacent frequency components should be selected experimentally. Let's consider the range of the 2 nearest frequency components: 99 Hz, 101 Hz, 309 Hz, 311 Hz. We need to set *PT=2/9=0.2222*. The SMOFS-NFC method finds frequency components: 99 Hz, 100 Hz, 101 Hz, 309 Hz, 310 Hz, 310 Hz, 311 Hz. However frequency component 620 Hz is not adjacent. If we use 4 nearest frequency components, SMOFS-NFC will find: (100-2; 100-1; 100+1; 100+2; 310-2; 310-1; 310+1; 310+2) (100; 310).
- 349 8. Use found adjacent frequency components to form feature vector.
- 350
- 351 The described SMOFS-NFC method is depicted in Fig. 9.





Figure 9. Steps of the SMOFS-NFC method

Rotating rotor, bearings, gears and other parts of the analyzed power tool generate acoustic signals. The authors analyzed 12 training samples of each type of acoustic signal (total 72 training samples). Following differences of spectra $|\mathbf{h} - \mathbf{f}|$, $|\mathbf{h} - \mathbf{r}|$, $|\mathbf{f} - \mathbf{r}|$ were computed and presented in figures 10–12. Feature extraction using SMOFS-NFC were presented (Fig. 10–12). For difference of spectra ($|\mathbf{h} - \mathbf{f}|$) SMOFS-NFC found 15 frequency coefficients (Fig. 10). For difference of spectra ($|\mathbf{h} - \mathbf{r}|$) SMOFS-NFC found 14 frequency coefficients (Fig. 11). For difference of spectra ($|\mathbf{f} - \mathbf{r}|$) SMOFS-NFC found 14 frequency coefficients (Fig. 12).



Figure 10. Difference of spectra (|h - f|) – step 3 of the SMOFS-NFC



Figure 11. Difference of spectra (|h - r|) – step 3 of the SMOFS-NFC



Figure 12. Difference of spectra (|f - r|) – step 3 of the SMOFS-NFC









Figure 14. Feature extraction using SMOFS-NFC for difference (|h - r|) - step 5 of the SMOFS-NFC



372 **Figure 15.** Feature extraction using SMOFS-NFC for difference (|**f** - **r**|) – step 5 of the SMOFS-NFC

- Figures 10–15 show steps (2–5) of the SMOFS-NFC method. Next the method finds adjacent frequency components. Next the method uses found adjacent frequency components to form feature
- vector. It analyzes all training examples each other. The SMOFS-NFC method selected (for parameter *PT*=0.083=3/36) following adjacent frequency components of acoustic signal of the EID:
- 377 parameter *PT*=0.083=3/36) following adjacent frequency components of acoustic signal of the EID:
 378 133, 149, 355, 356 Hz for SMOFS-0NFC, 132, 133, 134, 135, 354, 355, 356, 357 Hz for SMOFS-2NFC,
- **131**, 132, 133, 134, 135, **136**, **353**, 354, 355, 356, 357, **358** Hz for SMOFS-4NFC.
- 380 The SMOFS-NFC method selected (for parameter PT=0.083) following adjacent frequency
- 381 components of acoustic signal of the AG: 428, 429, 430, 473, 474, 475, 476 Hz for SMOFS-0NFC, **427**, 382 428, 429, 430, **431**, **472**, 473, 474, 475, 476, **477** Hz for SMOFS-2NFC, **426**, 427, 428, 429, 430, 431, **432**,
- 428, 429, 430, 431, 472, 473, 474, 475, 476, 477 Hz for SMOFS-2NFC, 426, 427, 428, 429, 430, 431, 432,
 471, 472, 473, 474, 475, 476, 477, 478 Hz for SMOFS-4NFC.
- 384 Computed features (adjacent frequency components) of the EID are presented in figures 16–21.
- Adjacent frequency components (8 features SMOFS-2NFC) of acoustic signals of the healthy EID
 are presented (Fig. 16).
- 387



388

Figure 16. Feature vector of the healthy EID (8 features) – step 7 of the SMOFS-NFC

389

390 Adjacent frequency components (8 features - SMOFS-2NFC) of acoustic signals of the EID with

- 391 damaged rear bearing are presented (Fig. 17).
- 392



Figure 17. Feature vector of the EID with damaged rear bearing (8 features) – step 7 of the
 SMOFS-NFC

395

396 Adjacent frequency components (8 features – SMOFS-2NFC) of acoustic signals of the EID with

- damaged front bearing are presented (Fig. 18).
- 398



Figure 18. Feature vector of the EID with damaged front bearing (8 features) – step 7 of the
 SMOFS-NFC

402 Adjacent frequency components (12 features – SMOFS-4NFC) of acoustic signals of the healthy EID

403 are presented (Fig. 19).



404 **Figure 19.** Feature vector of the healthy EID (12 features) – step 7 of the SMOFS-NFC

- 405
- 406

407 Adjacent frequency components (12 features – SMOFS-4NFC) of acoustic signals of the EID with 408 damaged rear bearing are presented (Fig. 20).

408 damaged re





412

413 Adjacent frequency components (12 features - SMOFS-4NFC) of acoustic signals of the EID with

- 414 damaged front bearing are presented (Fig. 21).
- 415



416 Figure 21. Feature vector of the EID with damaged front bearing (12 features) – step 7 of the
 417 SMOFS-NFC

- 418
- 419 Computed features (adjacent frequency components) of the angle grinder (AG) are presented in
- 420 figures 22–27. Adjacent frequency components (11 features SMOFS-2NFC) of acoustic signals of the
- 421 healthy AG are presented (Fig. 22).
- 422



Number of feature

Figure 22. Feature vector of the healthy AG (11 features)

- 425 Adjacent frequency components (11 features SMOFS-2NFC) of acoustic signals of the AG with 2
- 426 blocked air inlets are presented (Fig. 23).



427 428

Figure 23. Feature vector of the AG with 2 blocked air inlets (11 features)

- 430 blocked air inlet are presented (Fig. 24).
- 431

⁴²⁹ Adjacent frequency components (11 features - SMOFS-2NFC) of acoustic signals of the AG with 1



Number of feature



432 433

434 Adjacent frequency components (15 features - SMOFS-4NFC) of acoustic signals of the healthy AG

- 435 are presented (Fig. 25).
- 436



Number of feature



Figure 25. Feature vector of the healthy AG (15 features)

438

439 Adjacent frequency components (15 features - SMOFS-4NFC) of acoustic signals of the AG with 2

- 440 blocked air inlets are presented (Fig. 26).
- 441



Figure 26. Feature vector of the AG with 2 blocked air inlets (15 features)

442 443

444 Adjacent frequency components (15 features - SMOFS-4NFC) of acoustic signals of the AG with 1 445 blocked air inlet are presented (Fig. 27).





Figure 27. Feature vector of the AG with 1 blocked air inlet (15 features)

The authors used SMOFS-0NFC, SMOFS-2NFC, SMOFS-4NFC methods to extract features (figures
13–27). Acoustic features vectors were classified by the nearest neighbor classifier and Naive Bayes
classifier. Other classification methods can be also considered.

451 Neural networks [37, 38, 39], Neuro-fuzzy systems [40], Support Vector Machine (SVM) [21, 41],

452 fuzzy logic can be also proper for recognition. The authors used the Nearest Neighbor classifier and

453 Naive Bayes classifier. They are fast and efficient. They can classify multidimensional vectors. The

454 NN classifier allows us to check errors in the classification step.

455 4.2.The Nearest Neighbor classification method

456

The NN (Nearest Neighbor) is used for classification of data. It is a supervised machine learning method. It is used for many applications such as: text recognition, speaker recognition, sound recognition, image recognition, recognition of heart diseases, recognition of air quality, pattern recognition, fault diagnosis [42, 43, 44, 45]. The NN classifier finds distances between a new test vector and all training vectors. Next based on computed distance it selects the label of the closest training vector. This label is a result of classification.

Advantages of the NN classifier are: simplicity of implementation, we do not need to build a complex model, we do not need additional parameters and assumptions. It is versatile classifier. It can be used for many applications and problems. It has also some disadvantages. First we can have wrong nearest neighbor – noisy sample. If we use noisy sample, we will get wrong results. Next disadvantage is that the classifier gets slower if we have too many training samples. The authors used several similar training samples for each class. The acoustic signal was periodic, so the probability of noisy sample was decreased.

470 The Nearest Neighbor classifier can be used for different distance functions (metrics) –
471 Manhattan, Euclidean, Minkowski distance etc. The authors used Manhattan distance. This distance
472 metric is often used for the NN classifier. The Manhattan distance is defined as follows (4):

473 474

 $M(\mathbf{A}, \mathbf{B}) = \sum_{i=1}^{p} |(a_i - b_i)|$ (4)

475

476 where $M(\mathbf{A}, \mathbf{B})$ – is the Manhattan distance of vectors, $\mathbf{A}=[a_1,...,a_j]$ – is the test feature vector and 477 $\mathbf{B}=[b_1,...,b_j]$ – is the training feature vector, p – number of frequency components (features), index 478 i=1,...,p. The authors computed Manhattan distances for all features.

- 479
- 480
- 481

482 4.3.Naive Bayes classifier

484 Naive Bayes classifier is supervised machine learning method. It uses assumptions of naive 485 independence between elements of the feature vectors. It is the probabilistic classification method. 486 For test feature vector it computes a probability distribution of all analyzed classes. It finds 487 application in text classification, real-time prediction, multi-class prediction, recommendation 488 system, classification of incoming emails as spam or not spam, face recognition, fault diagnosis, 489 classification of articles [46-48]. Naive Bayes classifier is defined as follows (5):

490 491

$$N_{k} = \underset{k \in \{1, \dots, K\}}{\arg \max} P(N_{k}) \prod_{i=1}^{n} p(x_{i} \mid N_{k})$$
(5)

492

493 where the prior probability of class N_k is denoted as $P(N_k)$; the likelihood of class N_k is denoted as 494 $p(x_i|N_k)$; 1...*n* are elements of feature vectors; the assumption that $x_1,..., x_n$ are conditionally 495 independent; 1,...,*K* are number of classes.

496

497 Advantages of Naive Bayes classifier are: small amount of training feature vectors are required for
498 proper classification, easy to implement, it has high recognition rate for high-dimensional data
499 points. More information about Naive Bayes classifier are available in following articles [46-48].

500 5. Results of acoustic fault diagnosis

501 Results of acoustic fault diagnosis were carried out for three same electric impact drills and 502 three same angle grinders. Each power tool consisted of commutator motor and other parts such 503 brushes, shaft, gear, gearwheels. Power tools were brand new. The authors made special faults that 504 may occur during normal operation. Acoustic measurements were carried out in a room of 5 m x 4 505 m. Acoustic signals of healthy EID, EID with damaged rear bearing, EID with damaged front 506 bearing, healthy angle grinder, angle grinder with 1 blocked air inlet, angle grinder with 2 blocked 507 air inlets were measured and analyzed. Commutator motors of electric impact drills and angle 508 grinders were powered by 230 V/50 Hz. Rated power of each motor was equal to 500 W. Weight of 509 the EID was equal to 1.84 kg. Weight of the AG was equal to 1.64 kg. Rotor speed of the motor of the 510 EID was equal to 3,000 rpm. Rotor speed of the motor of the AG was equal to 12,000 rpm. 511 Considered motors operated without load.

The authors analyzed 100 test samples of healthy EID, 100 test samples of EID with damaged rear bearing, 100 test samples of EID with damaged front bearing. The authors analyzed 50 test samples of healthy AG, 50 test samples of AG with 1 blocked air inlet, 50 test samples of AG with 2 blocked. The authors analyzed 12 training samples of each type of acoustic signal (total 72 training samples).

517 The proposed approach used cross-validation for classification. Formula (6) was used for 518 computation of performance results:

519 520

$$EF_{EID} = (S_{EID}) / (S_{ALL-EID}) \quad 100\%$$
(6)

521 522

where: *S*_{EID} – number of properly recognized test samples of test set (for example properly recognized test samples of healthy EID), *S*_{ALL-EID} – number of all test samples of test set (all test

recognized test samples of healthy EID), $S_{ALL-EID}$ – number of all test samples of test set (all test samples of healthy EID), EF_{EID} – efficiency of recognition for one class of the EID (for example EF_{EID1} – healthy EID).

- 526 *EF*_{AG} efficiency of recognition for one class of the AG (formula (7)) is computed similar to *EF*_{EID}.
- 527

(7)

(8)

528
$$EF_{AG} = (S_{AG}) / (S_{ALL-AG})$$
 100%

529

530 Formula (8) was used for computation of *EFeiD-3-CLASSES* – efficiency of recognition for three classes of acoustic signal.

- 532
- 533

 $EF_{EID-3-CLASSES} = (EF_{EID1} + EF_{EID2} + EF_{EID3})/3$

534

where $EF_{EID1} - EF_{EID}$ of the healthy EID, $EF_{EID2} - EF_{EID}$ of the EID with damaged rear bearing, $EF_{EID3} - EF_{EID}$ of the EID with damaged front bearing. $EF_{AG-3-CLASSES}$ (formula (9)) is computed similar to EF_{EID-3-CLASSES}.

538

 $EF_{AG-3-CLASSES} = (EF_{AG1} + EF_{AG2} + EF_{AG3})/3$ (9)

540

Results of acoustic fault diagnosis of the EID using SMOFS-NFC (SMOFS-0NFC, SMOFS-2NFC, SMOFS-4NFC) and NN classifier were shown in Tables 1-3.

543

544

Table 1. Results of acoustic fault diagnosis of the EID using SMOFS-0NFC and NN classifier (4 features)

Type of acoustic signal	EFeid [%]
Healthy EID	72
EID with damaged rear bearing	96
EID with damaged front bearing	100
	EFeid-3-classes [%]
EFeid-3-classes [%]	89.33

545

546

Table 2. Results of acoustic fault diagnosis of the EID using SMOFS-2NFC and NN classifier (8 features)

Type of acoustic signal	EFeid [%]
Healthy EID	80
EID with damaged rear bearing	100
EID with damaged front bearing	100
	EFeid-3-classes [%]
EFeid-3-classes [%]	91.33

547

548

- 549
- 550

Table 3. Results of acoustic fault diagnosis of the EID using SMOFS-4NFC and NN classifier (12 features)

Type of acoustic signal	EFeid [%]
Healthy EID	80
EID with damaged rear bearing	100
EID with damaged front bearing	100
	EFeid-3-classes [%]
EFeid-3-classes [%]	91.33

- 552 Results of acoustic fault diagnosis of the EID using SMOFS-NFC and Naive Bayes classifier were
- shown in Tables 4-6.
- 554

Table 4. Results of acoustic fault diagnosis of the EID using SMOFS-0NFC and Naive Bayes classifier (4

features) Type of acoustic signal EFeID [%] Healthy EID 96 EID with damaged rear bearing 92 EID with damaged front bearing 100 EFEID.3-CLASSES [%] 96

features)	
Type of acoustic signal	EFeid [%]
Healthy EID	100
EID with damaged rear bearing	92
EID with damaged front bearing	100
	EFeid-3-classes [%]
EFeid-3-classes [%]	97.33

Table 5. Results of acoustic fault diagnosis of the EID using SMOFS-2NFC and Naive Bayes classifier (8

features)	
Type of acoustic signal	EFeid [%]
Healthy EID	100
EID with damaged rear bearing	92
EID with damaged front bearing	100
	EFeid-3-classes [%]
EFeid-3-classes [%]	97.33

Table 6. Results of acoustic fault diagnosis of the EID using SMOFS-4NFC and Naive Bayes classifier (12

564 Recognition efficiency for 3 classes *EFeID-3-CLASSES* was in the range of 89.33-91.33% for NN classifier.

EFeid-3-CLASSES was in the range of 96-97.33% for Naive Bayes classifier.

The results of acoustic fault diagnosis of the AG using SMOFS-NFC and NN classifier were shown inTables 7-9.

Table 7. Results of acoustic fault diagnosis of the AG using SMOFS-0NFC and NN classifier (7 features)

Type of acoustic signal	EFAG [%]
Healthy AG	72
AG with 1 blocked air inlet	100
AG with 2 blocked air inlets	100
	EFAG-3-CLASSES [%]
EFag-3-classes [%]	90.66

Table 8. Results of acoustic fault diagnosis of the AG using SMOFS-2NFC and NN classifier (11 features)

8	· · · · · · · · · · · · · · · · · · ·
Type of acoustic signal	EFAG [%]
Healthy AG	80
AG with 1 blocked air inlet	100
AG with 2 blocked air inlets	100
	EFAG-3-CLASSES [%]
EFag-3-classes [%]	93.33

Table 9. Results of acoustic fault diagnosis of the AG using SMOFS-4NFC and NN classifier (15 features)

Type of acoustic signal	EFag [%]
Healthy AG	80

AG with 1 blocked air inlet	100
AG with 2 blocked air inlets	100
	EFag-3-classes [%]
EFAG-3-CLASSES [%]	93.33

575 The results of acoustic fault diagnosis of the AG using SMOFS-NFC and Naive Bayes classifier were

576 shown in Tables 10-12.

577

578 Table 10. Results of acoustic fault diagnosis of the AG using SMOFS-0NFC and Naive Bayes classifier (7

579

reatures)	
Type of acoustic signal	EFAG [%]
Healthy AG	100
AG with 1 blocked air inlet	100
AG with 2 blocked air inlets	100
	EFAG-3-CLASSES [%]
EFag-3-classes [%]	100

580

581 **Table 11.** Results of acoustic fault diagnosis of the AG using SMOFS-2NFC and Naive Bayes classifier (11

582

features)	
Type of acoustic signal	EFAG [%]
Healthy AG	100
AG with 1 blocked air inlet	100
AG with 2 blocked air inlets	100
	EFAG-3-CLASSES [%]
EFag-3-classes [%]	100

583

584 Table 12. Results of acoustic fault diagnosis of the AG using SMOFS-4NFC and Naive Bayes classifier (15

585

features)	
Type of acoustic signal	EFag [%]
Healthy AG	100
AG with 1 blocked air inlet	100
AG with 2 blocked air inlets	100
	EFAG-3-CLASSES [%]
EFag-3-classes [%]	100

586

587 Recognition efficiency for 3 classes *EF_{AG-3}-cLASSES* was in the range of 90.66-93.33% for NN classifier.
 588 *EF_{AG-3}-cLASSES* was equal to 100% for Naive Bayes classifier.

589 We can notice that SMOFS-0NFC computes same components frequency as 590 SMOFS-MULTIEXPANDED method [23]. The proposed methods SMOFS-2NFC and SMOFS-4NFC compute 591 more frequency components. SMOFS-2NFC and SMOFS-4NFC have higher recognition efficiency for 3 592 classes (EFAG-3-CLASSES) than SMOFS-MULTIEXPANDED [23].

593

594 6. Discussion

595

596 Fault diagnosis is an essential task for many industrial processes. It ensures the safety of 597 electrical and mechanical systems. Moreover, it enables to decide whether a fault has occurred or 598 not. If faults have occurred, then they can be detected by diagnostic information such as: acoustic 599 signals, vibration, temperature, electric current, voltage signals etc. Electrical faults can be detected 500 by all mentioned signals. However, some of mechanical faults (for example faulty shaft) are difficult 601 to detect using electrical or thermal signals. Acoustic signals are good for detection of both types of 602 faults. However acoustic signals contain noise. The recognition results can be low if there are no 603 training samples of specific fault in training set. The presented technique is based on training and 604 test set. There is a need to capture similar acoustic signals from a similar motor. Appropriate 605 microphone and appropriate distance from the microphone (tracer KTM 43948) to the motor are also 606 required.

607 Several types of faults can be diagnosed by acoustic based technique. The authors analyzed 608 bearings faults and ventilation faults. Other mechanical (faulty gears, faulty shafts, damaged 609 sprockets) and electrical faults (broken rotor coils, shorted coils) can be also diagnosed similarly. The 610 acoustic based approach is not expensive compared to thermal analysis or vibration analysis.

611 The SMOFS-NFC method has recognition results in the range of 89.33–100%. It is good method 612 compared to other acoustic based fault diagnosis methods [20–30]. Adjacent frequency components 613 are used in the analysis. Adjacent frequency components are slightly better than several frequency 614 components (for example SMOFS-MULTIEXPANDED). The SMOFS-0NFC finds same frequency 615 components as SMOFS-MULTIEXPANDED (Tab. 1, 4, 7, 10). SMOFS-2NFC and SMOFS-4NFC have 616 higher recognition efficiency for 3 classes (*EFAG-3-CLASSES*) than SMOFS-MULTIEXPANDED [23].

higher recognition efficiency for 3 classes (*EFAG-3-CLASSES*) than SMOFS-MULTIEXPANDED [23].
 Analyzed Verto 50G515 electric impact drills (500 W) and Verto 51G053 angle grinders (500W)

618 have similar construction as other power tools. The proposed approach based on the SMOFS-NFC

619 method can be also used for different power tools and types of faults.

620

621 7. Conclusions and future work

Predictive maintenance of power tools is essential process in the industry. It prevents downtimes and accidents. It also decreases maintenance costs. Many fault diagnosis techniques have been developed to protect electrical motors. In this study, the authors analyzed following acoustic signals: healthy EID, EID with damaged rear bearing, EID with damaged front bearing, healthy AG, AG with 1 blocked air inlet, AG with 2 blocked air inlets.

627 The authors proposed the method of feature extraction SMOFS-NFC. The SMOFS-NFC 628 (SMOFS-0NFC, SMOFS-2NFC, SMOFS-4NFC) was used to extract features of acoustic signals of 629 power tools. Features were classified by the nearest neighbor classifier and Naive Bayes classifier. 630 The authors analyzed 100 test samples of healthy EID, 100 test samples of EID with damaged rear 631 bearing, 100 test samples of EID with damaged front bearing. The authors analyzed 50 test samples 632 of healthy AG, 50 test samples of AG with 1 blocked air inlet, 50 test samples of AG with 2 blocked. 633 The authors analyzed 12 training samples of each type of acoustic signal (total 72 training samples). 634 The authors used supervised learning. Training and test sets were known for the authors. However 635 computer knows only training set. Analysis showed that test set were analyzed properly by the

636 computer. Moreover the proposed method was verified by thermal analysis.

637 The proposed analysis is efficient and has high recognition rate. The classification accuracy was
638 in the range of 89.33-97.33% for three electric impact drills. The classification accuracy was in the
639 range of 90.66-100% for three angle grinders.

- 640 The conducted analysis shows that:
- 641 1) The acoustic based fault diagnosis technique is proposed for detection of bearings faults and642 ventilation faults of power tools.
- 643 2) The acoustic based analysis is also useful for analysis of electrical and other mechanical faults644 of machines.
- 645 3) The SMOFS-NFC works well for analysis of acoustic signal of power tools.
- 646 4) The same microphone should be used to capture training and test set.

- 5) The same distance from the microphone to the motor should be used.
- 648 6) There is a need to use similar motors and machines for the analysis. It is difficult to recognize
 649 sound samples properly if we have different types of the motors for training and testing (for
 650 example motor of the train and motor of the electric drill).

The acoustic based analysis is useful for non-invasive fault diagnosis. This analysis is instant. The cost of equipment is about 350\$. In the future the authors will develop the new acoustic based techniques. New feature extraction methods will be developed. It will be analyzed for noisy environment. In the future the authors will analyze microphone array and acoustic signals of electrical motors. Vibrations signals will be also analyzed. Different motors and types of faults will be also considered.

- 657
- 658

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- 661
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- 663

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